



**Metropolitan Transportation Authority**

# **Meeting of the Metro-North Railroad Committee**

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## **October 2014**

### **Members**

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

# **Metro-North Railroad Committee Meeting**

**347 Madison Avenue, 5th floor Board Room**

**New York, NY 10017**

**Monday, 10/27/2014**

**8:30 - 9:30 AM ET**

## **1. Pubic Comments**

## **2. Approval of Minutes**

*Approval of Minutes - Page 3*

## **3. 2014 Work Plan**

*2014 Work Plan - Page 8*

## **4. President's Reports**

### **Safety Report**

*Safety Report - Page 14*

#### **a. Enhanced Safety Report**

*Enhanced Safety Report - Page 17*

### **MTA Police Report**

*MTA Police Report - Page 18*

## **5. Information Items**

**2015 Preliminary Budget (Public Comment - materials previously distributed)**

## **6. Procurements**

*Procurements - Page 23*

### **Competitive**

*Competitive - Page 27*

## **7. Operations Report**

*Operations Report - Page 31*

## **8. Financial Report**

*Finance Report - Page 40*

## **9. Ridership Report**

*Ridership Report - Page 61*

## **10. Capital Program Report**

*Capital Program Report - Page 71*

Date of next meeting: Joint Meeting with Long Island on Monday, November 17, 2014 at 8:30 am

Minutes of the Regular Meeting  
Metro-North Committee  
Monday, September 22, 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. Mitchell H. Pally  
Hon. Jonathan A. Ballan  
Hon. Robert C. Bickford  
Hon. Norman Brown  
Hon. Susan G. Metzger  
Hon. Charles G. Moerdler  
Hon. John J. Molloy  
Hon. Carl V. Wortendyke  
Hon. Neal Zuckerman

Not Present:

Hon. James L. Sedore, Jr., Chairman of the Committee  
Hon. James F. Blair  
Hon. Jeffrey A. Kay  
Hon. Andrew M. Saul

Also Present:

Joseph J. Giulietti – President, Metro-North Railroad  
Donna Evans – Chief of Staff  
Katherine Betries-Kendall, Vice President Human Resources  
Michael R. Coan – Chief, MTA Police Department  
Susan J. Doering – Vice President, Customer Service and Stations  
Randall Fleischer – Vice President, GCT and Corporate Development  
Delana Glenn – Director, Operations Planning  
Glen Hayden – Vice President – Chief Engineer, Maintenance of Way  
James B. Henly – Vice President and General Counsel  
Anne Kirsch – Chief Safety Officer  
Timothy McCarthy – Senior Director, Capital Programs  
Kevin O'Connor – Chief Transportation Officer  
Andrew Paul – Director, Labor Relations  
Kim Porcelain – Vice President, Finance and Information Systems  
Robert Rodriguez – Director, Diversity and EEO

Board member Metzger called the meeting to order.

Three public speakers addressed the Committee. Orrin Getz of NJ-ARP discussed west of Hudson issues, including the desirability of construction of sidings on the Pascack Valley Line to enhance Pascack Valley Line service. He also addressed the subject of hiring of veterans by Metro-North. Murray Bodin expressed his opinion regarding regulatory requirements governing horn blowing by trains approaching stations that have a public address system. Charles King, a resident of the Village of Pelham, stated that announcements made on the new railcars are extremely loud, affecting hundreds of people who reside near the train tracks. Additional details of the comments made by the public speakers are contained in the video recording of the meeting produced by the MTA and maintained in the MTA records and in the minutes of the Long Island Rail Road Committee held this day.

Upon motion duly made and seconded, the Committee approved the minutes of the July 28, 2014 Committee meeting. There were no changes to the 2014 work plan.

### **PRESIDENT'S REPORT**

President Giulietti stated that safety remains Metro-North's number one priority. President Giulietti discussed service reliability, noting that Metro-North's service has been more reliable since the July schedule adjustments to the May schedule. He reported that Metro-North and CDOT worked together to resolve operational issues arising with the new grade crossing technology on the Danbury Branch, resulting in this work being completed on August 28. President Giulietti also reported that Metro-North forces have successfully rebuilt the Cos Cob Switch Control House that was destroyed by a fire on May 10, completing this work approximately four months ahead of the expedited schedule. The switch house, a critical piece of equipment that controls switches and signals near Greenwich on the New Haven Line, is now fully operational, permitting train dispatchers to switch trains between all four tracks by moving small segments of rail in a complex of switches covering the nine mile section of track between Port Chester and Stamford. President Giulietti commended all employees who were involved in the effort to work around the loss of the control house and to rebuild it using an innovative approach.

President Giulietti noted that for the third month in a row total customer complaints have been trending downward and that complaints have decreased 40% system-wide since May. While the leading complaints remain in the category of "late or cancelled trains," Metro-North has seen a direct, though inverse relationship between service reliability and late or cancelled trains. As Metro-North's performance has improved since May, overall complaints in that category are down 84% since May. Complaints in the "train scheduling complaints" category increased initially in May. However, overall complaints in this category have since decreased by 68%. Complaints in the "insufficient consist" category have decreased 82% since May.

With respect to ridership, President Giulietti reported that total ridership in August 2014 was 1.7% higher than in August 2013. Also August was the fifth month in a row in which non-commutation ridership was higher than in the comparable month in 2013. Year-to-date August ridership is .5% higher than in the comparable period of 2013.

President Giulietti discussed the work to be done on the Harlem Lift Bridge project, noting that the bridge will not open for boats for six months while workers replace 60-year old cables that lift the bridge and install all new electrical components designed to increase their resiliency to potential storm surge flooding. The project also includes a new electrical control system, wiring and a new third rail power supply system. He noted that most boats can navigate under the unopened bridge. The project will improve the reliability, efficiency, and safety of the bridge and allow Metro-North to meet our obligation to keep the bridge's moving parts in working order. The bridge serves more than 280,000 Metro-North customers on 700 trains each weekday.

President Giulietti also reported that Governors Cuomo and Malloy announced projects that will receive storm resiliency funding from the federal government. The projects that will benefit Metro-North include a \$38 million federal grant for power and signals resiliency that involves elevating and waterproofing power and communications equipment, primarily along the Hudson Line, \$161 million in federal funding that will go towards the design and replacement of the New Haven Line Walk Railroad Bridge and a \$9 million grant to upgrade the power system at the New Haven Yard.

President Giulietti closed out his report with a discussion of recent recognition Metro-North has received. He cited the Grand Central Terminal Energy Conservation Project, consisting of a comprehensive upgrade and replacement of utility systems with energy-saving components throughout the terminal (including replaced or upgraded chillers, cooling towers, fans, compressors, air handlers and an extensive steam distribution system) which was recently selected as an award winner for the 2014 Build Smart New York Award for Innovation and Excellence in Energy Management. He also noted that the Hudson Line Embankment Stabilization Project was recently recognized by the trade publication, "Engineering News Record," in its New York's Best Projects awards competition held this year.

Further details concerning President Giulietti's report are contained in 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.

## **SAFETY REPORT**

Ms. Kirsch gave the safety report on injuries in June and July 2014. She gave an overview of Metro-North's enhanced safety actions. She reported that the C3RS program is progressing with Metro-North currently working with the Teamsters to develop a memorandum of understanding. She further reported that the installation of alerters is on schedule and PTC acceleration continues.

Further details concerning Ms. Kirsch's report are contained in the Safety Report filed with the records of this meeting and the video recording of the meeting produced by the MTA and maintained in the MTA records, which recording includes discussions between Committee members, staff and President Giulietti relating to safety matters.

## **MTA POLICE DEPARTMENT REPORT**

Chief Coan reported that, as a result of activity in the Middle East, additional security measures are being employed, including an increased police presence on trains and at stations and increased bag checks. He noted that the National Guard has also increased its presence. Chief Coan gave the crime

report for the months of July and August, the details of which may be found in the police reports filed with the records of this meeting. As per Board member Moerdler's request, Chief Coan indicated he would provide comparative data in future reports. Board member Metzger congratulated Chief Coan, Metro-North and Apple for the incredible crowd control performed during the release of the new iPhone.

Further 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 which recording includes discussions between Committee members and Chief Coan relating to police matters.

### **INFORMATION ITEMS:**

Five informational items were reported to the Committee:

- 2014 Mid-Year Forecast
- 2015 Preliminary Budget
- Elevator & Escalator Service Report 2<sup>nd</sup> Quarter 2014
- Diversity/EEO Report – 2<sup>nd</sup> Quarter 2014
- Harrison Transit Oriented Development

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, President Giulietti and staff relating to the above items.

### **ACTION ITEM:**

One action item was presented to the Committee:

- NYSDOT Grant for Connecting Services.

Upon motion duly made and seconded, the foregoing action item was approved for recommendation to the Board. The details of the above item are contained in a staff summary 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.

### **PROCUREMENTS**

One non-competitive procurement was presented to the Committee:

- Non-competitive, three-year, miscellaneous purchase contract with various original equipment manufacturers (OEM) for OEM parts for various Metro-North railcar and locomotive fleets.

Two competitive procurements were presented to the Committee.

- A competitively solicited, miscellaneous service contract with Granite Fluid Power, Inc. to provide preventative maintenance, inspection, repair and replacement parts for two 600-ton wheel press machines located at the Croton Harmon Wheel Shop.
- A competitively solicited, miscellaneous service contract with Power 4U, Inc. to provide preventative maintenance and inspection services for the Uninterrupted Power Supply (UPS) systems in Grand Central Terminal.

Two ratifications were presented to the Committee:

- Ratification of an emergency purchase of 100 disc brake assemblies for Shoreliner Railcars.
- Ratification of an emergency of a 5100 FCM vacuum pump.

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.

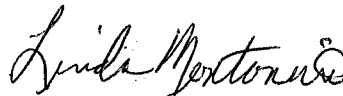
**Reports on Operations, Finance and Ridership and the Capital Program:**

The details of these items are contained in the reports filed with the records of the meeting 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, President Giulietti and staff relating to the above items.

**Adjournment**

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

Respectfully submitted,



Linda Montanino  
Assistant Secretary

## 2014 Metro-North Railroad Committee Work Plan

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### 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

<u>October 2014</u>	
2015 Preliminary Budget (Public Comment)	Finance2014
Fall Schedule Change	Operations Planning & Analysis
<u>November 2014 (Joint meeting with LIRR)</u>	
2015 Preliminary Budget (Public Comment)	Finance
Annual Committee Charter Review	Committee Chairs & Members
Holiday Schedule	Operations Planning & Analysis
Elevator & Escalator Service Report–3 <sup>rd</sup> Quarter 2014	Operations
Diversity/EEO Report – 3 <sup>rd</sup> Quarter 2014	Diversity and EEO
<u>December 2014</u>	
2015 Final Proposed Budget	Finance
2015 Proposed Committee Work Plan	Committee Chairs & Members
<u>January 2015</u>	
Approval of 2015 Committee Work Plan	Committee Chairs & Members
<u>February 2015</u>	
Adopted Budget/Financial Plan 2015	Finance
2014 Annual Operating Results	Operations
Elevator & Escalator Service Report–4 <sup>th</sup> Quarter 2014	Operations



### March 2015

2014 Annual Ridership Report	Operations Planning & Analysis
Annual Strategic Investments & Planning Studies Report	Capital Planning
Diversity/EEO Report – 4 <sup>th</sup> 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

### May 2015

RCM Fleet Maintenance	Operations
Elevator & Escalator Service Report–1 <sup>st</sup> Quarter 2015	Operations
Diversity/EEO Report – 1 <sup>st</sup> Quarter 2015	Diversity and EEO

### June 2015

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

### July 2015

Environmental Audit	Environmental Compliance
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### September 2015

2015 Final Mid-Year Forecast	Finance
2016 Preliminary Budget (Public Comment)	Finance
Elevator & Escalator Service Report–2 <sup>nd</sup> Quarter 2015	Operations
Diversity/EEO Report – 2 <sup>nd</sup> Quarter 2015	Diversity and EEO

# METRO-NORTH RAIL ROAD COMMITTEE WORK PLAN

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## DETAILED SUMMARY

### I. RECURRING AGENDA ITEMS

#### **Approval of Minutes**

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

#### **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**

### **OCTOBER 2014**

#### 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.

### **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 – 3<sup>rd</sup> Quarter 2014

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

#### Diversity & EEO Report– 3<sup>rd</sup> 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 – 4<sup>th</sup> 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– 4<sup>th</sup> 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.

### **MAY 2015**

#### 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 – 1<sup>st</sup> Quarter 2015

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

#### Diversity & EEO Report– 1<sup>st</sup> Quarter 2015

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 2015**

### 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 2015**

### Environmental Audit Report

The Committee will be briefed on the results of the 2015 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 2015**

### 2015 Final Mid-Year Forecast

The agency will provide the 2015 Mid-Year Forecast financial information for revenue and expense by month.

### 2016 Preliminary Budget

Public comment will be accepted on the 2016 Budget.

### Elevator & Escalator Service Report – 2<sup>nd</sup> Quarter 2015

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

### Diversity & EEO Report– 2<sup>nd</sup> Quarter 2015

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.

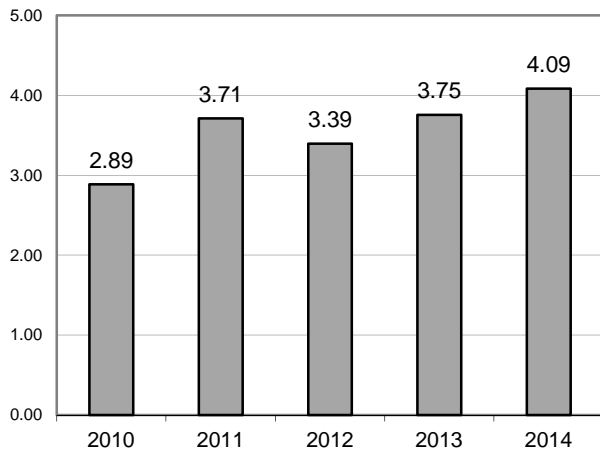


**Metro-North Railroad**

# **Safety Report October 2014**

## MTA Metro-North Railroad

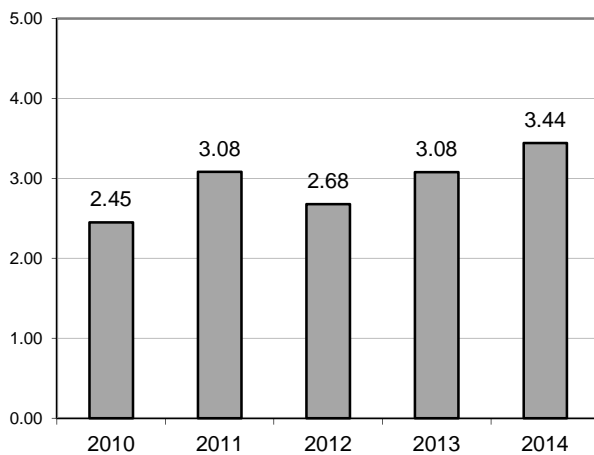
### Summary of Employee Injuries thru August



#### Total Employee Injuries

Year	Total	Total FI*
2010	119	2.89
2011	154	3.71
2012	142	3.39
2013	161	3.75
2014	178	4.09

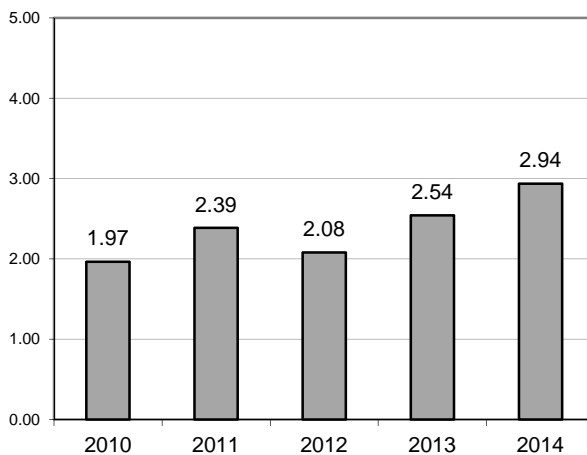
% change from last year: 8.8%  
2014 Total FI Goal 2.80



#### Employee FRA Reportable Injuries

Year	Total	FRA FI*
2010	101	2.45
2011	128	3.08
2012	112	2.68
2013	132	3.08
2014	150	3.44

% change from last year: 11.8%  
2014 FRA FI Goal 2.35



#### Employee Lost Time and Restricted Duty Injuries

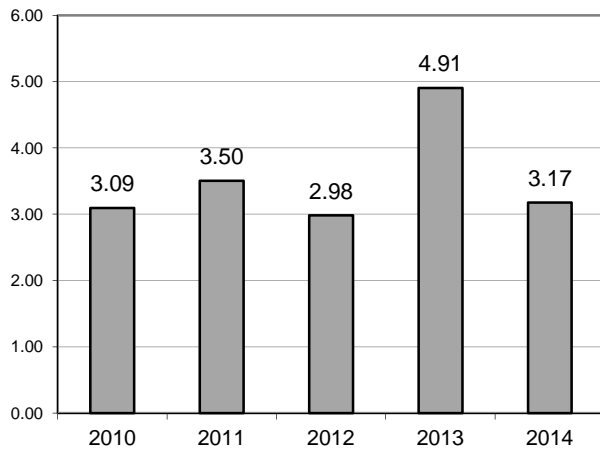
Year	LT	RD	LT FI*	RD FI*	LT&RD FI*
2010	67	14	1.63	0.34	1.97
2011	76	23	1.83	0.55	2.39
2012	81	6	1.94	0.14	2.08
2013	103	6	2.40	0.14	2.54
2014	127	1	2.91	0.02	2.94

% change from last year: 15.6%  
2014 LT&RD FI Goal 1.75

\* - Injuries per 200,000 hours worked

## MTA Metro-North Railroad

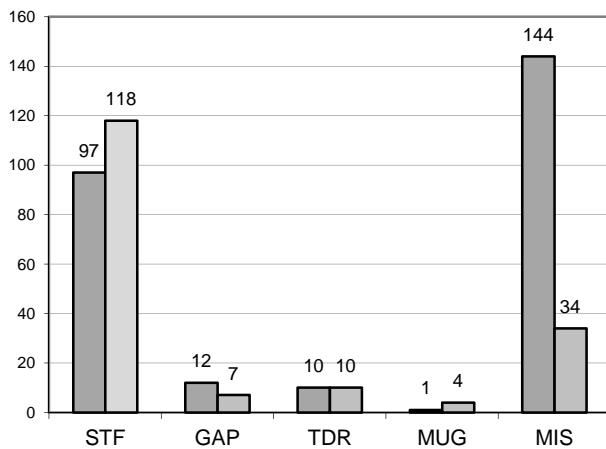
### Summary of Customer/Contractor Injuries thru August



#### Total Customer Injuries

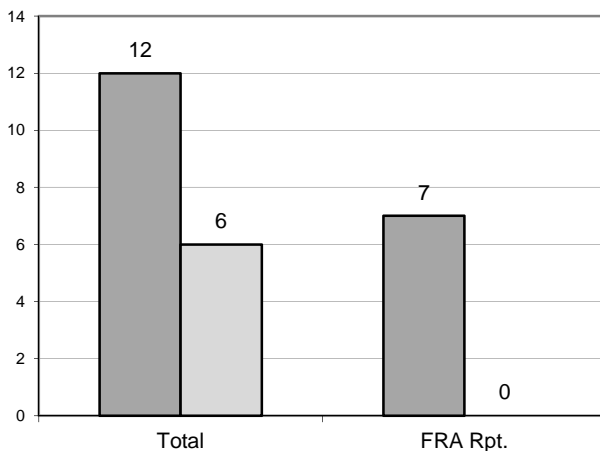
Year	Total	Total FI*
2010	161	3.09
2011	184	3.50
2012	164	2.98
2013	267	4.91
2014	173	3.17

% change from last year: -35.3%  
2014 Total FI Goal 2.70



#### Top 5 Customer Injuries by Type

Year	Slip/Trip/Fall	Gap	Train Doors	Mugging	Misc.
2013	97	12	10	1	144
2014	118	7	10	4	34



#### Contractor Injuries

Year	Total	FRA Rpt.
2013	12	7
2014	6	0
% Chg	-50.0%	0.0%

\* - Injuries per 1,000,000 rides



# Memorandum



**Metro-North Railroad**

**Date:** October, 2014

**To:** Metro-North Committee

**From:** Joseph Giuliotti, President

**Re:** **Enhanced Safety Action Update**

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

- Our Corporate quarterly stand down was held on September 30, with a continued focus on communication and Job Safety briefings. We added discussions relating to high visibility garments, hurricane preparedness and motor vehicle Safety. Our next stand down will be held in November.
- We continue to work with our labor organizations to develop the elements required for implementing the C3RS program.

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

<b>ACTION ITEM</b>	<b>STATUS</b>
<b>Alerters</b>	<ul style="list-style-type: none"><li>• Modifications continue. The M3 fleet is 44% complete. The coach cab car fleet is 10% complete. The M2 fleet is will begin modification the week of October 13th. All three fleets are anticipated to be completed by December 31, 2014.</li></ul>
<b>NTSB R-14-07 Permanent Speed Restriction Signs</b>	<ul style="list-style-type: none"><li>• We continue to work with the NTSB to develop parameters for the placement of Permanent Speed Restriction Signs. Signs at ten (10) locations have been installed and twenty-five (25) other locations have been agreed upon.</li></ul>
<b>Speed Compliance</b>	<ul style="list-style-type: none"><li>• For the month of September, 100 compliant radar observations were performed and 77 event recorder Download Reviews with no failures. Observations are up 22% from August.</li></ul>
<b>PTC</b>	<ul style="list-style-type: none"><li>• PCT Acceleration schedule was submitted.</li><li>• Acceleration Plan and Staffing Plans have been submitted by the System Integrator (BT/Siemens).</li><li>• System Integrator is mobilized for the Acceleration work.</li></ul>



# **Police Report October 2014**



# **METROPOLITAN TRANSPORTATION AUTHORITY**

## **Police Department**

### **Metro North Railroad**

#### **September 2014 vs. 2013**

	<b>2014</b>	<b>2013</b>	<b>Diff</b>	<b>% Change</b>
<b>Murder</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0%</b>
<b>Rape</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0%</b>
<b>Robbery</b>	<b>1</b>	<b>2</b>	<b>-1</b>	<b>-50%</b>
<b>Felony Assault</b>	<b>0</b>	<b>3</b>	<b>-3</b>	<b>-100%</b>
<b>Burglary</b>	<b>2</b>	<b>1</b>	<b>1</b>	<b>100%</b>
<b>Grand Larceny</b>	<b>7</b>	<b>6</b>	<b>1</b>	<b>17%</b>
<b>Grand Larceny Auto</b>	<b>0</b>	<b>2</b>	<b>-2</b>	<b>-100%</b>
<b>Total Major Felonies</b>	<b>10</b>	<b>14</b>	<b>-4</b>	<b>-29%</b>

#### **Year to Date 2014 vs. 2013**

	<b>2014</b>	<b>2013</b>	<b>Diff</b>	<b>% Change</b>
<b>Murder</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0%</b>
<b>Rape</b>	<b>0</b>	<b>1</b>	<b>-1</b>	<b>-100%</b>
<b>Robbery</b>	<b>15</b>	<b>11</b>	<b>4</b>	<b>36%</b>
<b>Felony Assault</b>	<b>8</b>	<b>12</b>	<b>-4</b>	<b>-33%</b>
<b>Burglary</b>	<b>14</b>	<b>5</b>	<b>9</b>	<b>180%</b>
<b>Grand Larceny</b>	<b>79</b>	<b>70</b>	<b>9</b>	<b>13%</b>
<b>Grand Larceny Auto</b>	<b>1</b>	<b>6</b>	<b>-5</b>	<b>-83%</b>
<b>Total Major Felonies</b>	<b>117</b>	<b>105</b>	<b>12</b>	<b>11%</b>



# **METROPOLITAN TRANSPORTATION AUTHORITY**

## **Police Department**

### **System Wide**

#### **September 2014 vs. 2013**

	<b>2014</b>	<b>2013</b>	<b>Diff</b>	<b>% Change</b>
<b>Murder</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0%</b>
<b>Rape</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0%</b>
<b>Robbery</b>	<b>7</b>	<b>2</b>	<b>5</b>	<b>250%</b>
<b>Felony Assault</b>	<b>2</b>	<b>3</b>	<b>-1</b>	<b>-33%</b>
<b>Burglary</b>	<b>2</b>	<b>1</b>	<b>1</b>	<b>100%</b>
<b>Grand Larceny</b>	<b>18</b>	<b>20</b>	<b>-2</b>	<b>-10%</b>
<b>Grand Larceny Auto</b>	<b>0</b>	<b>2</b>	<b>-2</b>	<b>-100%</b>
<b>Total Major Felonies</b>	<b>29</b>	<b>28</b>	<b>1</b>	<b>4%</b>

#### **Year to Date 2014 vs. 2013**

	<b>2014</b>	<b>2013</b>	<b>Diff</b>	<b>% Change</b>
<b>Murder</b>	<b>0</b>	<b>1</b>	<b>-1</b>	<b>-100%</b>
<b>Rape</b>	<b>0</b>	<b>1</b>	<b>-1</b>	<b>-100%</b>
<b>Robbery</b>	<b>50</b>	<b>31</b>	<b>19</b>	<b>61%</b>
<b>Felony Assault</b>	<b>26</b>	<b>26</b>	<b>0</b>	<b>0%</b>
<b>Burglary</b>	<b>18</b>	<b>9</b>	<b>9</b>	<b>100%</b>
<b>Grand Larceny</b>	<b>178</b>	<b>176</b>	<b>2</b>	<b>1%</b>
<b>Grand Larceny Auto</b>	<b>2</b>	<b>6</b>	<b>-4</b>	<b>-67%</b>
<b>Total Major Felonies</b>	<b>274</b>	<b>250</b>	<b>24</b>	<b>10%</b>

# INDEX CRIME REPORT

## Per Day Average

### September 2014

	Systemwide	LIRR	MNRR	SIRT
<b>Murder</b>	0	0	0	0
<b>Rape</b>	0	0	0	0
<b>Robbery</b>	7	2	1	4
<b>Fel. Assault</b>	2	1	0	1
<b>Burglary</b>	2	0	2	0
<b>Grand Larceny</b>	18	11	7	0
<b>GLA</b>	0	0	0	0
<b>Total</b>	29	14	10	5
<b>Crimes Per Day</b>	0.97	0.47	0.33	0.17



# MTA Police Department

## Arrest Summary: Department Totals

1/1/2014 to 9/30/2014

Arrest Classification	Total Arrests	
	2014	2013
Murder	0	2
Robbery	43	35
Felony Assault	23	34
Burglary	9	10
Grand Larceny	50	56
Grand Larceny Auto	2	1
Aggravated Harassment	1	2
Aggravated Unlicensed Operator	31	44
Assault-Misdemeanor	48	52
Breach of Peace	8	6
Child Endangerment	1	3
Conspiracy	0	12
Criminal Contempt	4	6
Criminal Impersonation	2	9
Criminal Mischief	24	34
Criminal Possession Stolen Property	9	22
Criminal Tampering	0	2
Criminal Trespass	14	29
Disorderly Conduct	2	9
Drug Offenses	39	18
DUI Offenses	11	13
Falsely Reporting an Incident	4	7
Forgery	81	16
Fraud	6	7
Graffiti	8	3
Harassment	6	5
Identity Theft	0	1
Issue a Bad Check	0	1
Make Terrorist Threat	1	0
Menacing	7	14
Obstruct Government	4	10
Panhandling	1	0
Petit Larceny	79	71
Public Lewdness	34	23
Reckless Endangerment	7	7
Resisting Arrest	41	57
Sex Offenses	8	7
Stalking	2	1
Theft of Services	102	70
Unlawful Imprisonment/Kidnapping	0	1
Unlawful Surveillance	2	1
VTL Offenses	2	4
Warrant Arrest	39	30
Weapons Offenses	7	4
Unauthorized Use Vehicle	0	1
<b>Total Arrests</b>	<b>762</b>	<b>740</b>



**Metro-North Railroad**

# **Procurements October 2014**



<b>Subject</b> Request for Authorization to Award Various Procurements						<b>Date</b> October 6, 2014			
<b>Department</b> Procurement and Material Management						<b>Vendor Name</b> Various			
<b>Department Head Name</b> Alfred Muir, Acting Sr. Director <i>AM</i>						<b>Contract Number</b> Various			
<b>Department Head Signature</b>						<b>Contract Manager Name</b> Various			
<b>Project Manager Name</b>						<b>Table of Contents Ref #</b>			
<b>Board Action</b>									
<b>Order</b>	<b>To</b>	<b>Date</b>	<b>Approval</b>	<b>Info</b>	<b>Other</b>	<b>Internal Approvals</b>			
1	M-N Comm. Mtg.	10-27-14	X			X	President <i>JS</i>		V.P. Planning
2	MTA Board Mtg.	10-29-14	X			X	Sr. V.P. Operations <i>JLB</i>		Capital Programs
						X	V.P. Finance & IT <i>JLB</i>	X	V.P. General Counsel <i>JD</i>
						X	V.P. Engineering <i>JLB</i>	X	Chief of Staff <i>DAVE</i>
<b>Internal Approvals (cont.)</b>									
<b>Order</b>	<b>Approval</b>	<b>Order</b>	<b>Approval</b>	<b>Order</b>	<b>Approval</b>	<b>Order</b>	<b>Approval</b>	<b>Order</b>	<b>Approval</b>
		X	Chief Safety Officer <i>REP</i>						Other

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

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

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



**MNR proposes to award competitive procurements in the following categories:**

	<u># of Actions</u>	<u>\$ Amount</u>
<u>Schedules Requiring Two-Thirds Vote (or more, where noted)</u>	NONE	
<u>Schedules Requiring Majority Vote</u>		
Schedule G: Miscellaneous Service Contracts	3	\$5,869,697
• Miller Environmental Group, Inc.		\$3,174,550
• Moran Environmental Recover, LLC		\$1,550,687
• Tri-Lift, Inc.		\$1,144,460
	SUB TOTAL:	3      \$5,869,697

**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>	NONE	
	SUB TOTAL:	
	TOTAL:	3      \$5,869,697

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.

**OCTOBER 2014**

**METRO-NORTH RAILROAD**

**LIST OF COMPETITIVE PROCUREMENTS FOR BOARD APPROVAL**

**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.)

- |                                      |                             |                               |
|--------------------------------------|-----------------------------|-------------------------------|
| 1. Miller Environmental Group, Inc.  | \$3,174,550 (not-to-exceed) | <u>Staff Summary Attached</u> |
| 2. Moran Environmental Recovery, LLC | \$1,550,687 (not-to-exceed) |                               |

**System Wide Environmental Remediation Services**

Approval is requested to award two competitively negotiated, five-year, miscellaneous service contracts to the firms Miller Environmental Group Inc., to perform system wide environmental remediation services in the State of New York and Moran Environmental Recovery, LLC, to perform system wide environmental remediation services in the State of Connecticut. These services are required at MNR's facilities throughout the Harlem, Hudson, New Haven, and West of Hudson Lines. Work includes: 1) cleanup of hazardous material, petroleum and biological releases; 2) clean out tanks, storm water detention systems, oil water separator systems, wastewater treatment systems and track drains; 3) prepare waste, both hazardous and non-hazardous, for transport and disposal; 4) take samples from various environmental systems and clean-up sites; 5) install, maintain and remove monitoring wells; 6) monitor, operate and maintain remedial systems; 7) provide confined space air monitoring for confined space entry by MNR employees; and 8) remediate mold conditions.

In accordance with MNR and MTA procurement guidelines, an RFP was advertised in the New York State Contract Reporter, New York Post, El Diario, and the MNR website. A Selection Committee comprised of members representing MNR's Procurement and Material Management, Safety and Environmental Compliance and Services Departments evaluated the proposals. Eight proposals were received; four firms were shortlisted. Miller Environmental Group Inc. ("Miller") was selected to perform remediation services in New York State and Moran Environmental Recovery, LLC ("Moran") was selected to perform work in Connecticut. The MNR Selection Committee unanimously determined these firms' best met the criteria for selection of the Request for Proposal. Services are split between the two states which will allow quicker response times with a larger available workforce that can comply with the statutory emergency response time of two hours for petroleum and hazardous material spills.

Both firms submitted the lowest fixed proposal prices for their territory for the full term of the contract. Miller proposed \$3,174,550 and Moran proposed \$1,550,687. The period of performance is five years and the total cost for this work is not-to-exceed \$4,725,237. This procurement is to be funded by the MNR Operating Budget.

**3. Tri-Lift, Inc. \$1,144,460 (not-to-exceed)**  
**Preventative Maintenance, Inspections and Repair of Material Handling Equipment**

Approval is requested to award a competitively solicited (two bids received) three-year miscellaneous service contract to Tri-Lift, Inc. the lowest, responsive, responsible bidder for the Preventative and Remedial Maintenance of material handling equipment. This scope of work covers repair and maintenance of equipment which includes propane & electric forklifts, electric pallet jacks, scissor lifts, man lifts, and all charging station equipment used within facilities and storerooms by various MNR Departments. The maintenance and upkeep of MNR's material handling equipment is critical as the equipment is integral to administering support to various aspects of rail service operations.

In accordance with MNR and MTA procurement guidelines, an advertisement for the Preventive and Remedial Repairs of Material Handling Equipment was placed in the New York Post, the minority publications, El Diario and The Daily Challenge, New York State Contract Reporter and posted on Metro-North's website.

The solicitation was forwarded to vendors known to perform this type of work. A total of 17 firms received this solicitation. The pricing (based on an hourly labor rate) will remain fixed for the initial year with annual increases, as determined by the Bureau of Labor Statistics, for the remaining two-year period. A comparison of hourly rates from the previous agreement with the new three-year agreement reflects a 5.12% increase. Tri-Lift's proposed hourly rates are significantly lower than the other bidder's rates. Therefore, based on the above, the pricing offered by Tri-Lift, Inc. has been deemed fair and reasonable.

The total cost of this procurement is not-to-exceed \$1,144,460. This procurement is to be funded by the MNR Operating Budget.

# Staff Summary

Item Number G					
Dept. & Dept. Head Name: Procurement & Material Management – Alfred Muir, Acting Sr. Director					
Division & Division Head Name:					
Board Reviews					
Order	To	Date	Approval	Info	Other
1	M-N Comm.Mtg.	10-27-14	X		
2	MTA Board Mtg.	10-29-14	X		
Internal Approvals					
Order	Approval	Order	Approval		
X	President		V.P. Planning		
	Sr. V.P. Operations	X	V.P. & General Counsel		
X	V.P. Finance & IT	X	V.P. Engineering		
	V.P. Capital Programs	X	Chief Safety Officer		

<b>SUMMARY INFORMATION</b>	
<b>Vendor Name</b> Miller Environmental Group, Inc. (NY) Moran Environmental Recovery, LLC (CT)	<b>Contract Number</b> 30215 39265
<b>Description</b> System-Wide Environmental Remediation Services	
<b>Total Amount</b> \$4,725,237 (\$3,174,550 for NY & \$1,550,687 for CT)	
<b>Contract Term (including Options, if any)</b> Five years	
<b>Option(s) included in Total Amount?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<b>Renewal?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<b>Procurement Type</b> <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive	
<b>Solicitation Type</b> <input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input type="checkbox"/> Other:	
<b>Funding Source</b> <input checked="" type="checkbox"/> Operating <input type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other:	

## Narrative

### I. PURPOSE/RECOMMENDATION:

Approval is requested to award two competitively negotiated, five-year, miscellaneous service contracts (one RFP process resulting in two awards, eight proposals received) to Miller Environmental Group Inc., to perform system wide environmental remediation services in the State of New York and Moran Environmental Recovery, LLC, to perform system wide environmental remediation services in the State of Connecticut.

### II. DISCUSSION:

MNR operates facilities in New York State and Connecticut. MNR's facilities include passenger stations, shops, yards, power and communications facilities, railroad right-of-way and other structures that are located throughout the Harlem, Hudson, New Haven, and West of Hudson Lines. In support of these facilities, MNR's Environmental Compliance and Services, Safety and Maintenance of Way Departments must be prepared to, in part: 1) cleanup hazardous material, petroleum and biological releases; 2) clean out tanks, storm water detention systems, oil water separator systems, wastewater treatment systems and track drains; 3) prepare waste, both hazardous and non-hazardous, for transport and disposal; 4) take samples from various environmental systems and clean-up sites; 5) install, maintain, and remove monitoring wells; 6) monitor, operate, and maintain remedial systems; 7) provide confined space air monitoring for confined space entry by MNR employees; and 8) remediate mold conditions.

In support of these requirements, MNR requires the services of one vendor to primarily provide services in New York State and another to primarily provide services in Connecticut. Services are split between the two regions to allow for quicker response times with a larger available workforce that can comply with the statutory emergency response time of two hours for petroleum and hazardous material spills and in order to promptly address environmental and safety issues. . MNR plans to award two competitively negotiated, five-year miscellaneous service contracts to provide on-call environmental remediation services.

# Staff Summary

In accordance with MNR and MTA procurement guidelines, RFP No. 30215 was advertised in the New York State Contract Reporter, New York Post, El Diario, and the MNR website. A Selection Committee comprised of members representing MNR's Procurement and Material Management, Safety and Environmental Compliance and Services Departments evaluated the proposals. Eight proposals were received on April 2, 2014. Proposals were evaluated based on the criteria for selection established by the RFP, which were; 1) Project Plan, 2) Past Experience on Similar Projects, 3) Experience, and 4) Cost.

As a result of that evaluation, the Selection Committee unanimously shortlisted four firms; two firms proposing to perform work in New York State and two in Connecticut. Miller Environmental Group, Inc. @\$5,160,156 and AB Oil Services Ltd @\$7,119,687 were shortlisted for work in New York State. Moran Environmental Recovery LLC @\$2,684,612 and Triumvirate Environmental, Inc. @\$3,769,644 were shortlisted for work in Connecticut. All four best met MNR's selection criteria. Cost proposals were derived by each firm providing fixed unit prices for the period of performance, based on MNR's estimated maximum quantities for every potential remediation service possible. Their technical and cost proposals were further evaluated and oral presentations were conducted. After oral presentations, the Selection Committee unanimously recommended Miller Environmental Group Inc. ("Miller") to perform the subject work in New York State and Moran Environmental Recovery, LLC ("Moran") to perform the work in Connecticut. The Committee determined that the proposals from both Miller and Moran were complete, demonstrated the proper understanding of the services to be provided and showed that both firms could supply the required services. Both Miller and Moran provided the lowest average fixed unit and overall prices. Miller's northern and southern New York locations offer resources that best meet the demands and specific response times for MNR's New York State territories. Moran has particular expertise in dealing with the specific issues in MNR's Connecticut territory.

Subsequent to selection, MNR's Environmental Compliance and Services Department refined the estimated quantities of remediation work necessary over the next five year period. After the adjustments to total anticipated quantities; with no change to the proposed rates, the revised proposal prices for Miller and Moran, equal \$3,174,550 and \$1,550,687 respectively. The MNR in-house estimates equal \$3,094,658 and \$1,804,370 for New York State and Connecticut respectively. In consideration of the marginal variance between the proposed unit prices and in-house estimated unit prices, Miller and Moran's cost proposals are deemed to be fair and reasonable.

The period of performance is five years. The current approved funding allocation from the MNR Operating Budget will be sufficient to fund work for the five-year period. The total budget requirements are based on the number of MNR facilities and the length of right-of-way existing in each state, as well as past experience with vendor billings on previous projects.

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

The MTA Department of Diversity and Civil Rights established 0% MBE and WBE minority participation goals for this contract.

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

The total cost for this work is not-to-exceed \$4,725,237 with \$3,174,550 for NYS and \$1,550,687 for CT. The period of performance is five years and is to be funded by the MNR Operating Budget.

### **V. ALTERNATIVES:**

None at this time. MNR does not have the required environmental equipment and personnel to provide the required services.



**Metro-North Railroad**

# **Operations Report**

## **October 2014**



Performance Summary			2014 Data			2013 Data	
			Annual Goal	September	YTD thru September	September	YTD thru September
<b>On Time Performance</b> <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i>	<b>System</b>	<b>Overall</b>	<b>93.0%</b>	<b>95.7%</b>	<b>92.1%</b>	<b>94.4%</b>	<b>95.5%</b>
		AM Peak	93.0%	94.6%	89.4%	93.6%	93.8%
		AM Reverse Peak	93.0%	96.6%	93.9%	94.4%	96.1%
		PM Peak	93.0%	98.7%	93.6%	94.5%	95.7%
		<b>Total Peak</b>	<b>93.0%</b>	<b>96.5%</b>	<b>91.8%</b>	<b>94.1%</b>	<b>94.9%</b>
		Off Peak Weekday	93.0%	95.8%	91.6%	93.4%	95.0%
		Weekend	93.0%	94.1%	93.7%	96.5%	97.4%
	<b>Hudson Line</b>	<b>Overall</b>	<b>94.0%</b>	<b>95.7%</b>	<b>92.1%</b>	<b>98.1%</b>	<b>97.3%</b>
		AM Peak	94.0%	95.0%	91.2%	98.5%	96.8%
		AM Reverse Peak	94.0%	99.2%	94.0%	99.2%	98.2%
		PM Peak	94.0%	98.6%	93.6%	98.5%	97.8%
		<b>Total Peak</b>	<b>94.0%</b>	<b>97.1%</b>	<b>92.6%</b>	<b>98.6%</b>	<b>97.4%</b>
		Off Peak Weekday	94.0%	95.0%	91.1%	97.8%	97.0%
		Weekend	94.0%	94.7%	93.0%	97.8%	97.8%
	<b>Harlem Line</b>	<b>Overall</b>	<b>94.0%</b>	<b>97.5%</b>	<b>94.3%</b>	<b>98.1%</b>	<b>96.9%</b>
		AM Peak	94.0%	96.4%	91.9%	97.9%	95.9%
		AM Reverse Peak	94.0%	97.2%	96.5%	96.4%	97.1%
		PM Peak	94.0%	98.9%	95.7%	99.3%	96.7%
		<b>Total Peak</b>	<b>94.0%</b>	<b>97.6%</b>	<b>94.1%</b>	<b>98.2%</b>	<b>96.4%</b>
		Off Peak Weekday	94.0%	98.1%	93.8%	98.0%	96.8%
		Weekend	94.0%	96.0%	95.7%	97.9%	98.1%
	<b>New Haven Line</b>	<b>Overall</b>	<b>92.0%</b>	<b>94.3%</b>	<b>90.5%</b>	<b>89.1%</b>	<b>93.2%</b>
		AM Peak	92.0%	92.8%	86.5%	86.7%	90.2%
		AM Reverse Peak	92.0%	94.6%	91.5%	89.7%	94.1%
		PM Peak	92.0%	98.5%	92.0%	87.9%	93.7%
		<b>Total Peak</b>	<b>92.0%</b>	<b>95.3%</b>	<b>89.4%</b>	<b>87.7%</b>	<b>92.2%</b>
		Off Peak Weekday	92.0%	94.5%	90.1%	87.1%	92.5%
		Weekend	92.0%	92.3%	92.8%	94.5%	96.6%
<b>Operating Statistics</b>							
	<b>Trains Scheduled</b>			<b>18,957</b>	<b>170,349</b>	<b>18,342</b>	<b>166,353</b>
	<b>Avg. Delay per Late Train (min)</b> <i>excluding trains canceled or terminated</i>			10.9	12.1	12.3	11.9
	<b>Trains Over 15 min. Late</b> <i>excluding trains canceled or terminated</i>		1,000	108	2,218	174	1,283
	<b>Trains Canceled</b>		160	7	342	132	205
	<b>Trains Terminated</b>		160	21	375	75	297
	<b>Percent of Scheduled Trips Completed</b>		99.8%	99.9%	99.6%	98.9%	99.7%
<b>Consist Compliance</b> <i>(Percent of trains where the number of seats provided was greater than or equal to the required number of seats per loading standards)</i>	<b>System</b>	<b>Overall</b>	<b>99.8%</b>	<b>99.8%</b>	<b>99.5%</b>	<b>99.6%</b>	<b>99.7%</b>
		AM Peak	99.8%	99.8%	98.9%	99.4%	99.4%
		AM Reverse Peak	99.8%	100.0%	99.9%	99.9%	99.9%
		PM Peak	99.8%	99.5%	98.9%	99.1%	99.6%
		<b>Total Peak</b>	<b>99.8%</b>	<b>99.7%</b>	<b>99.0%</b>	<b>99.3%</b>	<b>99.5%</b>
		Off Peak Weekday	99.8%	99.9%	99.7%	99.7%	99.8%
		Weekend	99.8%	99.9%	99.8%	99.8%	99.8%
	<b>Hudson Line</b>	AM Peak	99.8%	100.0%	99.6%	99.9%	99.9%
		PM Peak	99.8%	99.9%	99.8%	99.1%	99.8%
	<b>Harlem Line</b>	AM Peak	99.8%	99.5%	99.3%	99.3%	99.8%
		PM Peak	99.8%	99.3%	99.3%	98.8%	99.7%
	<b>New Haven Line</b>	AM Peak	99.8%	99.8%	98.0%	99.0%	98.8%
		PM Peak	99.8%	99.4%	98.0%	99.4%	99.4%



<b>Categories of Delay</b>		<b>2014 Data</b>			<b>2013 Data</b>	
		August	September	YTD thru September	September	YTD thru September
<b>Train Delay Incidents Resulting in Late Trains.</b> <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>	<b>Maintenance of Way</b>	1704	1035	17720	1056	9046
	<b>Capital Projects</b>	4	21	108	7	88
	<b>Maintenance of Equipment</b>	96	183	2444	109	1436
	<b>Operations Services</b>	61	41	979	28	246
	<b>Police Incidents</b>	78	143	1148	57	468
	<b>Other</b>	4	21	108	7	217
	<b>Customers</b>	167	127	1517	70	505
	<b>3rd Party Operations</b> <i>(Other railroads, marine traffic, etc.)</i>	4	2	231	1	5
	<b>Weather and Environmental</b>	26	7	1376	72	461



**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			TOTAL		
			L	C	T	L	C	T	L	C	T	L	C	T	L	C	T	Late	Cxld	Term
09/02	Tue	Delays at various locations due to programmed Track Work on all three lines.	1	0	0	0	0	0	0	0	0	15	0	0	0	0	0	16	0	0
09/02	Tue	Congestion account bridge locks were down on track 2 at CP4, 138th Street Bridge.	0	0	0	0	0	0	0	0	0	16	0	0	0	0	0	16	0	0
09/04	Thu	Operating restrictions at various locations on all three lines.	3	0	0	0	0	0	0	0	0	12	0	0	0	0	0	15	0	0
09/04	Thu	Smoke condition in rear car 8906 of train 1529, in air condition unit on track 2 south of 125th Street Station, causing congestion.	15	0	0	1	0	0	0	0	0	0	0	0	0	0	0	16	0	0
09/05	Fri	Congestion from CP5 to CP3 due to disabled train 2016 on track 4 at Harlem 125th Street.	0	0	0	0	0	0	4	0	0	19	0	0	0	0	0	23	0	0
09/06	Sat	Train 9618 struck a trespasser at Purdys Station on track 2.	0	0	0	0	0	0	0	0	0	0	0	0	12	0	1	12	0	1
09/06	Sat	AC Power Hit from Cos Cob to New Haven, OCC was unable to route trains.	0	0	0	0	0	0	0	0	0	0	0	0	11	0	0	11	0	0
09/07	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	14	0	0	14	0	0
09/07	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
09/08	Mon	Train 718 requested medical assistance on track 2 at Harlem-125th Street for an unconscious passenger.	13	0	0	1	0	0	0	0	0	0	0	0	0	0	0	14	0	0
09/08	Mon	Operating restrictions at various locations on all three lines.	9	0	0	0	0	0	0	0	0	8	0	0	0	0	0	17	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		
			L	C	T	L	C	T	L	C	T	L	C	T	L	C	T
09/13	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	17	0	0
09/13	Sat	Operating restrictions at various locations on all three lines.	0	0	0	0	0	0	0	0	0	0	0	0	31	0	0
09/13	Sat	A Vicor alarm at CP266, did not reset itself, had to be reset in the field, causing delays.	0	0	0	0	0	0	0	0	0	0	0	0	6	1	3
09/14	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	13	0	0
09/16	Tue	Train 605 was terminated at Fordham due to striking debris south of Fordham on track 3, causing congestion.	51	0	0	17	0	0	0	0	0	4	0	0	0	0	0
09/19	Fri	Operating restrictions at various locations on all three lines.	0	0	0	1	0	0	2	0	0	16	0	0	0	0	0
09/20	Sat	Operating restrictions at various locations on all three lines.	0	0	0	0	0	0	0	0	0	0	0	0	13	0	0
09/20	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	16	0	0
09/21	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	14	0	0
09/21	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
09/22	Mon	Delays at various locations due to programmed Track Work on all three lines.	0	0	0	1	0	0	2	0	0	24	0	0	0	0	0
09/23	Tue	All Code Lines and all radios were down systemwide due to power failure in 347 Madison Avenue Communication Room, causing delays and congestion.	0	0	0	0	0	0	0	0	0	30	0	0	0	0	0

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

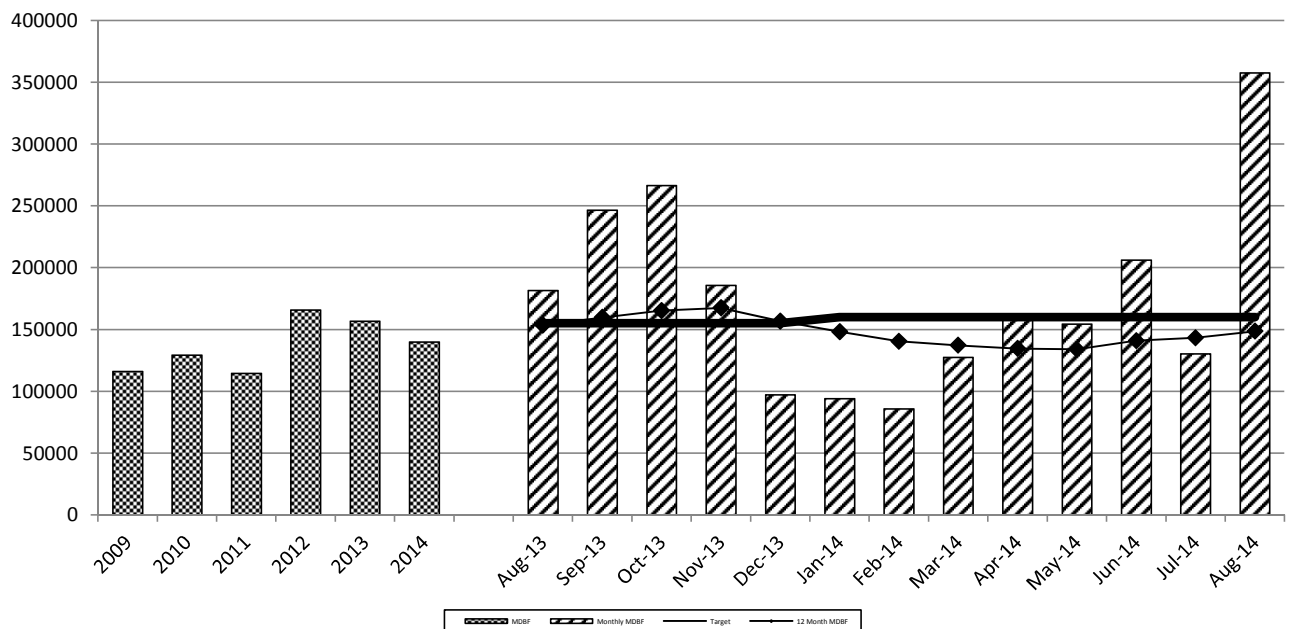
Date	Day	DESCRIPTION OF EVENT	Number of Late Trains															TOTAL		
			AM Peak			AM Reverse			PM Peak			Off Peak			Weekend					
			L	C	T	L	C	T	L	C	T	L	C	T	L	C	T	Late	Cxld	Term
09/24	Wed	Operating restrictions at various locations on all three lines.	2	0	0	0	0	0	0	0	0	12	0	0	0	0	0	14	0	0
09/26	Fri	Train 367 was terminated on track 3 at Tremont Station, unable to take power account no brake release indication.	0	0	0	0	0	0	4	0	1	7	0	0	0	0	0	11	0	1
09/26	Fri	Delays at various locations due to programmed Track Work on all three lines.	0	0	0	2	0	0	2	0	0	14	0	0	0	0	0	18	0	0
09/27	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	20	0	0	20	0	0
09/28	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	14	0	0	14	0	0
TOTAL FOR MONTH			94	0	0	23	0	0	14	0	1	177	0	0	204	1	4	512	1	5
																				518

	Equip- ment Type	Total Fleet Size	2014 Data						2013 Data		
			MDBF Goal (miles)	Aug MDBF (miles)	Primary Failure Goal	Aug No. of Primary Failures	YTD MDBF thru Aug (miles)	12 month MDBF Rolling Avg (miles)	Aug MDBF (miles)	Aug No. of Primary Failures	YTD MDBF thru Aug (miles)
<b>Mean Distance Between Failures</b>	M246	82	60,000	54,840	7	5	30,450	36,249	88,316	11	63,031
	M8	368	280,000	1,231,902	9	2	223,847	231,997	269,909	6	197,954
	M3	140	135,000	338,002	2	0	176,691	198,994	344,485	1	214,049
	M7	336	460,000	410,867	4	5	364,152	427,739	1,031,161	2	593,314
	Coach	213	295,000	1,437,582	5	1	231,264	264,255	164,725	9	310,267
	P-32	31	35,000	31,903	5	6	25,280	26,544	29,932	7	30,298
	BL-20	12	12,000	33,252	3	0	17,595	18,621	26,251	1	10,604
	<b>Fleet</b>	<b>1182</b>	<b>160,000</b>	<b>357,505</b>	<b>35</b>	<b>19</b>	<b>139,901</b>	<b>148,540</b>	<b>181,515</b>	<b>37</b>	<b>150,665</b>
	M2/4/6/8		140,000	391,144	16	7	107,404	109,300	152,407	17	102,798
	M3/7		320,000	478,467	6	5	316,492	367,543	802,269	3	473,546
	Diesel/Coach		120,000	237,465	13	7	105,378	114,539	101,077	17	120,996

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 2009 - 2014



<b>West of Hudson Performance Summary</b>			<b>2014 Data</b>			<b>2013 Data</b>	
			Annual Goal	September	YTD thru September	September	YTD thru September
<b>On Time Performance</b> <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i>	<b>West of Hudson Total</b>	<b>Overall</b>	<b>97.0%</b>	<b>95.0%</b>	<b>95.3%</b>	<b>95.9%</b>	<b>97.0%</b>
		AM Peak	97.1%	94.6%	94.9%	96.4%	98.0%
		PM Peak	96.3%	93.4%	95.2%	97.7%	97.1%
		<b>Total Peak</b>		<b>94.0%</b>	<b>95.0%</b>	<b>97.0%</b>	<b>97.6%</b>
		Off Peak Weekday	97.1%	95.4%	95.4%	94.2%	96.6%
		Weekend	97.3%	95.6%	95.5%	96.6%	96.9%
	<b>Pascack Line</b>	<b>Overall</b>	<b>97.6%</b>	<b>95.3%</b>	<b>95.9%</b>	<b>97.3%</b>	<b>97.5%</b>
	<b>Valley Line</b>	AM Peak	97.8%	92.3%	95.7%	98.8%	98.7%
		PM Peak	97.3%	95.2%	95.4%	98.6%	97.6%
		<b>Total Peak</b>		<b>93.7%</b>	<b>95.6%</b>	<b>98.7%</b>	<b>98.2%</b>
		Off Peak Weekday	97.5%	95.7%	95.8%	96.0%	97.1%
		Weekend	97.8%	96.8%	96.4%	97.1%	97.2%
	<b>Port Jervis Line</b>	<b>Overall</b>	<b>96.2%</b>	<b>94.5%</b>	<b>94.5%</b>	<b>94.1%</b>	<b>96.4%</b>
		AM Peak	96.2%	97.6%	93.9%	93.3%	97.2%
		PM Peak	95.2%	91.3%	94.9%	96.7%	96.6%
		<b>Total Peak</b>		<b>94.4%</b>	<b>94.4%</b>	<b>95.0%</b>	<b>96.9%</b>
		Off Peak Weekday	96.5%	94.9%	94.9%	92.5%	96.0%
		Weekend	96.5%	93.7%	93.8%	95.7%	96.6%
<b>Operating Statistics</b>							
	<b>Trains Scheduled</b>			<b>1,666</b>	<b>15,041</b>	<b>1,451</b>	<b>14,441</b>
	<b>Avg. Delay per Late Train (min)</b> <small>excluding trains canceled or terminated</small>			25.3	19.9	34.3	22.8
	<b>Trains Over 15 min. Late</b> <small>excluding trains canceled or terminated</small>		80	49	286	36	174
	<b>Trains Canceled</b>			2	67	2	29
	<b>Trains Terminated</b>			12	41	5	37
	<b>Percent of Scheduled Trips Completed</b>		99.8%	99.2%	99.3%	99.5%	99.5%

## SEPTEMBER 2014 STANDEE REPORT

### East of Hudson

East of Hudson			SEPT 2013	YTD 2013	SEPT 2014	YTD 2014
Daily Average AM Peak	Hudson Line	Program Standees	0	0	0	0
		Add'l Standees	1	0	0	1
		Total Standees	1	0	0	1
	Harlem Line	Program Standees	0	0	0	0
		Add'l Standees	0	0	5	11
		Total Standees	0	0	5	11
	New Haven Line	Program Standees	0	0	0	0
		Add'l Standees	* 0	24	0	58
		Total Standees	0	24	0	58
	EAST OF HUDSON TOTAL - AM PEAK		1	24	5	70
Daily Average PM Peak	Hudson Line	Program Standees	0	0	0	0
		Add'l Standees	2	1	2	2
		Total Standees	2	1	2	2
	Harlem Line	Program Standees	0	0	0	0
		Add'l Standees	12	4	4	6
		Total Standees	12	4	4	6
	New Haven Line	Program Standees	0	0	0	0
		Add'l Standees	* 16	16	12	44
		Total Standees	16	16	12	44
	EAST OF HUDSON TOTAL - PM PEAK		30	21	18	52

### West of Hudson

West of Hudson			SEPT 2013	YTD 2013	SEPT 2014	YTD 2014
Daily Average AM Peak	Port Jervis Line	Program Standees	0	0	0	0
		Add'l Standees	0	0	0	0
		Total Standees	0	0	0	0
	Pascack Valley Line	Program Standees	0	0	0	0
		Add'l Standees	0	0	0	0
		Total Standees	0	0	0	0
	WEST OF HUDSON TOTAL - AM PEAK		0	0	0	0
	Daily Average PM Peak	Port Jervis Line	Program Standees	0	0	0
Add'l Standees			0	0	0	0
Total Standees			0	0	0	0
Pascack Valley Line		Program Standees	0	0	0	0
		Add'l Standees	0	0	0	0
		Total Standees	0	0	0	0
WEST OF HUDSON TOTAL - PM PEAK		0	0	0	0	

### Definitions

Weekday standees are calculated based on the most recent average weekday customer counts for the train's maximum load point. For Hudson, Harlem and most New Haven Line trains, this point occurs at GCT/125th St.. However, for certain New Haven Line trains, this maximum load point is east of Stamford.

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

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

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

\* - New Haven Line averages for 2013 include through September 24 only, due to the Con Ed feeder failure on Sept. 25. Standees incurred between Sept. 26-30 averaged 1,270 in the morning for the three days, or 191 for the month. Standees for the evening peak averaged 1,176 for the three days, or 176 for the month.



**Metro-North Railroad**

# **Financial Report October 2014**





**FINANCIAL STATEMENTS**  
**MONTH ENDED: AUGUST 2014**

OFFICE OF VICE PRESIDENT OF FINANCE & INFORMATION SYSTEMS

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

August YTD financial results were 5.2% better than plan with a net operating deficit that was \$31.3 million lower than the Mid-Year Forecast. Operating Revenues were \$3.0 million higher than Forecast reflecting better than expected growth in non-commutation ridership. Operating expenses were \$28.3 million or 2.7% lower than projected due to timing differences in recording estimated wage settlement accruals (\$14 million), as well as lower professional services fees, energy costs and material usage. These decreases were partially offset by West of Hudson employee claims payments.

Operating expense results include higher year-to-date overtime costs of \$1.6 million. The primary drivers of this increase include higher than projected costs for operations coverage and repair costs for fire damaged signal equipment at Cos Cob, as well as higher holiday and vacation coverage requirements, and the completion of grade crossing repairs on the Danbury Branch.

Reimbursable Capital program expenditures (and reimbursements) were \$20.4 million lower than Forecast due to revised timing of several budgeted projects (Hurricane Sandy Infrastructure, West of Hudson Signal Improvement, Positive Train Control and Overhead Bridge support work) partially offset by timing differences in recording retroactive wage adjustment (RWA) accruals.

**Ridership**

Total ridership was 7.1 million for August and 55.6 million YTD which was 0.7% above the Mid-Year Forecast, reflecting higher non-commutation ridership.

**East of Hudson**

- YTD Ridership of 54.5 million was 0.7% higher than the Mid-Year Forecast on all lines.
- August ridership of 6.9 million was 1.4% above the Mid-Year Forecast.
- YTD Commutation ridership was on target to the Mid-Year Forecast and 0.9% lower for the month. August YTD commutation was 0.2% lower than 2013.
- YTD Non-commutation ridership was 1.7% higher than the Mid-Year Forecast and 4.1% higher for the month. Compared to 2013 YTD non-commutation was 1.4% higher.

**West of Hudson**

- YTD Ridership was higher than the Mid-Year Forecast by 0.6%. August ridership was 1.3% higher than the Mid-Year Forecast.

**Revenue and Reimbursements**

Total YTD Revenue and Reimbursements through August was \$584.8 million, or 2.9% lower than the Mid-Year Forecast:

- Fare Box Revenue of \$427.1 million was \$2.8 million higher than the Mid-Year Forecast due to the higher non-commutation ridership noted above.
- Other Operating Revenue of \$35.4 million was \$0.2 million above the Mid-Year Forecast mainly due to higher GCT net retail revenue.
- Capital and Other Reimbursements of \$122.3 million was \$20.4 million lower than the Mid-Year Forecast due to project timing previously discussed.

**Expenses**

Total YTD non-reimbursable and reimbursable expenses of \$1,155.0 million through August were \$48.7 million (4.0%) lower than the Mid-Year Forecast:

- \$32.9 million was attributable to lower non-labor costs. These were primarily driven by timing differences in capital project expenditures and lower operations costs for contractual services and material usage also due to timing.
- Total Labor costs (operating and capital) were \$18.9 million lower than the Mid-Year Forecast primarily due to vacancies and timing of recording wage settlement accruals for pensions.

**Financial Performance Measures**

The YTD performance indicators reflect lower overall expenses and higher non-commutation ridership:

- Adjusted Farebox Operating Ratio of 58.6% through August was 2.9% higher than the Mid-Year Forecast (67.4% excluding retroactive wage settlement accruals).
- Adjusted Cost per Passenger of \$14.85 for the period was \$0.78 lower than the Mid-Year Forecast (\$12.92 excluding retroactive wage settlement accruals).
- Revenue per Passenger of \$7.92 for the period was on target to the Mid-Year Forecast.

**MTA METRO-NORTH RAILROAD  
AUGUST 2014 FINANCIAL REPORT  
YEAR-TO-DATE ACTUAL VERSUS MID-YEAR FORECAST**

**REVENUE**

**Total Revenue and reimbursements** were \$17.4 million (2.9%) lower than the Mid-Year Forecast through August:

- **Fare Box Revenue** – year-to-date and the month were higher than the Mid-Year Forecast by \$2.8 and \$0.6 million, respectively, due to higher non-commutation ridership.
- **Other Operating Revenue** – year-to-date was higher than the Mid-Year Forecast by \$0.2 million primarily due to higher GCT net retail revenue (slightly higher event revenue and parking proceeds at outlying stations). For the month, revenue was \$0.3 million lower than the Mid-Year Forecast.
- **Capital and Other Reimbursements** – year-to-date was lower by \$20.4 million due to timing differences/rescheduling of capital projects (Hurricane Sandy Infrastructure, West of Hudson Signal Improvement, Positive Train Control and Overhead Bridge support work), partially offset by timing differences in recording retroactive wage adjustment (RWA) accruals. For the month, reimbursements were \$10.9 million higher than the Mid-Year Forecast.

**EXPENSES**

**Total Expenses** – Year-to-date expenses of \$1,155.0 million were \$48.7 million (4.0%) lower than the Mid-Year Forecast. For the month, expenses were \$1.9 million (1.3%) lower than the Mid-Year Forecast.

- **Labor expenses** (including fringes and overhead recoveries) were \$691.4 million YTD. This was \$18.9 million below the Mid-Year Forecast primarily due to vacant positions and timing differences in the recording of estimated wage settlement accruals for pensions.
- **Non-Labor Expenses**  
YTD non-labor expenses were \$263.3 million, \$32.9 million lower than Mid-Year Forecast and \$7.2 million lower for the month.
  - **Electric Power** – \$6.2 million lower year-to-date than the Mid-Year Forecast primarily due to lower than projected rates across all lines. For the month, expenses were \$1.8 million lower than the Mid-Year Forecast.
  - **Fuel** – year-to-date and month expenditures were \$0.8 million and \$0.1 million above the Mid-Year Forecast, respectively, due to higher pricing primarily on the New Haven Line.
  - **Claims** – \$4.5 million higher year-to-date due to settlement of NJT employee injury claims on West of Hudson service. For the month, expenses were \$0.1 million lower than the Mid-Year Forecast.
  - **Maintenance & Other Operating Contracts** – \$8.8 million lower year-to date than the Mid-Year Forecast primarily due to timing differences for maintenance contracts and reimbursable project activity. For the month, these costs were \$0.4 million lower than the Mid-Year Forecast.
  - **Professional Services** – YTD was \$6.7 million below the Mid-Year Forecast primarily due to timing differences in expenditures for IT services, outside training, legal fees, market share study and reimbursable project activity. For the month, expenses were favorable by \$0.1 million to the Mid-Year Forecast.
  - **Materials & Supplies** – year-to-date and month expenditures were \$17.0 million and \$4.8 million below the Mid-Year Forecast, respectively, primarily due to timing differences in reimbursable project activity and lower rolling stock material usage.
  - **Other Business Expenses** –YTD was \$1.2 million higher than the Mid-Year Forecast due to timing of track rights recoveries and higher than budgeted material purchases for reimbursable capital projects. For the month, expenses were \$0.2 million higher than the Mid-Year Forecast.
  - **Depreciation and Other Non-Cash Liability Adjustments** – \$3.1 million higher than the Mid-Year Forecast due to higher depreciation expense as a result of timing.

**CASH DEFICIT**

The Cash Deficit through August of \$294.8 million was \$6.5 million favorable to the Mid-Year Forecast. This is primarily due to lower cash disbursements of \$22.9 million (mainly due to the lower overall expenses), \$2.4 million higher cash collections (timing and higher farebox receipts); these were partly offset by lower capital reimbursements of \$18.8 million (timing).

**MTA METRO-NORTH RAILROAD**  
**JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST**  
**ACCRUAL STATEMENT of OPERATIONS by CATEGORY**  
**August 2014**  
(\$ in millions)

SCHEDULE I - A

	Nonreimbursable				Reimbursable				Total			
	Favorable (Unfavorable)				Favorable (Unfavorable)				Favorable (Unfavorable)			
	Mid-Year Forecast	Actual	Variance	Percent	Mid-Year Forecast	Actual	Variance	Percent	Mid-Year Forecast	Actual	Variance	Percent
<b>Revenue</b>												
Farebox Revenue	\$54.906	\$55.462	\$0.556	1.0	\$0.000	\$0.000	\$0.000	-	\$54.906	\$55.462	\$0.556	1.0
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	4.302	3.998	(0.303)	(7.0)	0.000	0.000	0.000	-	4.302	3.998	(0.303)	(7.0)
<i>Capital &amp; Other Reimbursements:</i>												
MTA	0.000	0.000	0.000	-	14.075	13.205	(0.870)	(6.2)	14.075	13.205	(0.870)	(6.2)
CDOT	0.000	0.000	0.000	-	5.302	16.058	10.755	*	5.302	16.058	10.755	*
Other	0.000	0.000	0.000	-	2.061	3.110	1.049	50.9	2.061	3.110	1.049	50.9
Total Capital and Other Reimbursements	0.000	0.000	0.000	-	21.438	32.373	10.935	51.0	21.438	32.373	10.935	51.0
<b>Total Revenue/Receipts</b>	<b>\$59.208</b>	<b>\$59.460</b>	<b>\$0.252</b>	<b>0.4</b>	<b>\$21.438</b>	<b>\$32.373</b>	<b>\$10.935</b>	<b>51.0</b>	<b>\$80.646</b>	<b>\$91.833</b>	<b>\$11.187</b>	<b>13.9</b>
<b>Expenses</b>												
<i>Labor:</i>												
Payroll	\$38.029	\$36.090	\$1.939	5.1	\$3.836	\$8.158	(\$4.322)	*	\$41.865	\$44.248	(\$2.383)	(5.7)
Overtime	6.033	6.326	(0.293)	(4.9)	1.638	5.680	(4.041)	*	7.671	12.005	(4.334)	(56.5)
Health and Welfare	8.026	7.677	0.350	4.4	1.336	1.016	0.320	24.0	9.362	8.692	0.670	7.2
OPEB Current Payment	1.977	2.040	(0.062)	(3.2)	0.000	0.000	0.000	-	1.977	2.040	(0.062)	(3.2)
Pensions	7.209	6.074	1.135	15.7	0.868	0.634	0.234	26.9	8.077	6.708	1.369	16.9
Other Fringe Benefits	8.718	7.550	1.168	13.4	0.996	1.502	(0.506)	(50.8)	9.714	9.052	0.662	6.8
Reimbursable Overhead	(3.856)	(10.020)	6.163	*	3.726	9.893	(6.166)	*	(0.130)	(0.127)	(0.003)	(2.1)
<b>Total Labor</b>	<b>\$66.137</b>	<b>\$55.736</b>	<b>\$10.400</b>	<b>15.7</b>	<b>\$12.401</b>	<b>\$26.882</b>	<b>(\$14.482)</b>	<b>*</b>	<b>\$78.537</b>	<b>\$82.619</b>	<b>(\$4.081)</b>	<b>(5.2)</b>
<i>Non-Labor:</i>												
Electric Power	\$7.725	\$5.890	\$1.836	23.8	\$0.000	\$0.004	(\$0.004)	-	\$7.725	\$5.894	\$1.831	23.7
Fuel	2.094	2.189	(0.095)	(4.5)	0.000	0.000	0.000	-	2.094	2.189	(0.095)	(4.5)
Insurance	1.555	1.425	0.129	8.3	0.386	0.254	0.132	34.3	1.941	1.679	0.262	13.5
Claims	0.122	0.028	0.094	77.2	0.000	0.000	0.000	-	0.122	0.028	0.094	77.2
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	8.758	8.782	(0.024)	(0.3)	1.729	1.311	0.419	24.2	10.487	10.092	0.394	3.8
Professional Service Contracts	3.020	1.876	1.144	37.9	1.174	2.208	(1.034)	(88.1)	4.194	4.084	0.110	2.6
Materials & Supplies	6.285	5.842	0.443	7.1	5.694	1.381	4.313	75.7	11.979	7.224	4.756	39.7
Other Business Expenses	2.204	2.116	0.088	4.0	0.053	0.332	(0.278)	*	2.258	2.448	(0.190)	(8.4)
<b>Total Non-Labor</b>	<b>\$31.763</b>	<b>\$28.147</b>	<b>\$3.616</b>	<b>11.4</b>	<b>\$9.037</b>	<b>\$5.490</b>	<b>\$3.547</b>	<b>39.2</b>	<b>\$40.800</b>	<b>\$33.638</b>	<b>\$7.163</b>	<b>17.6</b>
<i>Other Adjustments:</i>												
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
<b>Total Other Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>
<b>Total Expenses before Non-Cash Liability Adjs.</b>	<b>\$97.900</b>	<b>\$83.884</b>	<b>\$14.016</b>	<b>14.3</b>	<b>\$21.438</b>	<b>\$32.373</b>	<b>(\$10.935)</b>	<b>(51.0)</b>	<b>\$119.338</b>	<b>\$116.256</b>	<b>\$3.081</b>	<b>2.6</b>
Depreciation	18.936	20.143	(1.206)	(6.4)	0.000	0.000	0.000	-	18.936	20.143	(1.206)	(6.4)
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	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
<b>Total Expenses</b>	<b>\$122.261</b>	<b>\$109.451</b>	<b>\$12.810</b>	<b>10.5</b>	<b>\$21.438</b>	<b>\$32.373</b>	<b>(\$10.935)</b>	<b>(51.0)</b>	<b>\$143.699</b>	<b>\$141.824</b>	<b>\$1.875</b>	<b>1.3</b>
<b>Net Surplus/(Deficit)</b>	<b>(\$63.053)</b>	<b>(\$49.991)</b>	<b>\$13.062</b>	<b>20.7</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>(\$0.000)</b>	<b>-</b>	<b>(\$63.053)</b>	<b>(\$49.991)</b>	<b>\$13.062</b>	<b>20.7</b>
<i>Cash Conversion Adjustments:</i>												
Depreciation	18.936	20.143	1.206	6.4	0.000	0.000	0.000	-	18.936	20.143	1.206	6.4
Operating/Capital	(7.383)	(3.648)	3.735	50.6	0.000	0.000	0.000	-	(7.383)	(3.648)	3.735	50.6
Other Cash Adjustments	11.376	(21.566)	(32.941)	*	0.000	0.000	0.000	-	11.376	(21.566)	(32.941)	*
<b>Total Cash Conversion Adjustments</b>	<b>\$22.929</b>	<b>(\$5.071)</b>	<b>(\$28.000)</b>	<b>*</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$22.929</b>	<b>(\$5.071)</b>	<b>(\$28.000)</b>	<b>*</b>
<b>Net Cash Surplus/(Deficit)</b>	<b>(\$40.124)</b>	<b>(\$55.062)</b>	<b>(\$14.938)</b>	<b>(37.2)</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>(\$0.000)</b>	<b>-</b>	<b>(\$40.124)</b>	<b>(\$55.062)</b>	<b>(\$14.938)</b>	<b>(37.2)</b>

-- Results are preliminary and subject to audit review.

-- Differences are due to rounding.

\* Variance exceeds 100%.

**MTA METRO-NORTH RAILROAD**  
**JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST**  
**ACCRUAL STATEMENT of OPERATIONS by CATEGORY**  
**August Year-To-Date**  
(\$ in millions)

SCHEDULE I - B

	Nonreimbursable				Reimbursable				Total			
	Mid-Year Forecast	Actual	Favorable (Unfavorable)		Mid-Year Forecast	Actual	Favorable (Unfavorable)		Mid-Year Forecast	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent			Variance	Percent
<b>Revenue</b>												
Farebox Revenue	\$424.254	\$427.090	\$2.837	0.7	\$0.000	\$0.000	\$0.000	-	\$424.254	\$427.090	\$2.837	0.7
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	35.224	35.396	0.173	0.5	0.000	0.000	0.000	-	35.224	35.396	0.173	0.5
<i>Capital &amp; Other Reimbursements:</i>												
MTA	0.000	0.000	0.000	-	82.644	60.896	(21.748)	(26.3)	82.644	60.896	(21.748)	(26.3)
CDOT	0.000	0.000	0.000	-	47.238	50.959	3.721	7.9	47.238	50.959	3.721	7.9
Other	0.000	0.000	0.000	-	12.788	10.435	(2.353)	(18.4)	12.788	10.435	(2.353)	(18.4)
Total Capital and Other Reimbursements	0.000	0.000	0.000	-	142.670	122.290	(20.380)	(14.3)	142.670	122.290	(20.380)	(14.3)
<b>Total Revenue/Receipts</b>	<b>\$459.477</b>	<b>\$462.487</b>	<b>\$3.009</b>	<b>0.7</b>	<b>\$142.670</b>	<b>\$122.290</b>	<b>(\$20.380)</b>	<b>(14.3)</b>	<b>\$602.147</b>	<b>\$584.777</b>	<b>(\$17.370)</b>	<b>(2.9)</b>
<b>Expenses</b>												
<i>Labor:</i>												
Payroll	\$359.463	\$356.931	\$2.533	0.7	\$31.053	\$28.787	\$2.266	7.3	\$390.516	\$385.717	\$4.798	1.2
Overtime	67.614	69.236	(1.622)	(2.4)	12.807	14.696	(1.889)	(14.7)	80.421	83.932	(3.510)	(4.4)
Health and Welfare	65.624	65.228	0.396	0.6	8.681	7.800	0.882	10.2	74.305	73.028	1.277	1.7
OPEB Current Payment	15.756	15.942	(0.185)	(1.2)	0.000	0.000	0.000	-	15.756	15.942	(0.185)	(1.2)
Pensions	63.451	49.573	13.878	21.9	6.067	4.859	1.208	19.9	69.518	54.432	15.086	21.7
Other Fringe Benefits	73.979	72.833	1.146	1.5	6.691	6.583	0.108	1.6	80.669	79.416	1.253	1.6
Reimbursable Overhead	(29.479)	(32.781)	3.302	11.2	28.600	31.702	(3.102)	(10.8)	(0.878)	(1.079)	0.200	22.8
<b>Total Labor</b>	<b>\$616.409</b>	<b>\$596.962</b>	<b>\$19.447</b>	<b>3.2</b>	<b>\$93.899</b>	<b>\$94.426</b>	<b>(\$0.527)</b>	<b>(0.6)</b>	<b>\$710.308</b>	<b>\$691.388</b>	<b>\$18.920</b>	<b>2.7</b>
<i>Non-Labor:</i>												
Electric Power	\$61.561	\$55.353	\$6.208	10.1	\$0.000	\$0.044	(\$0.044)	-	\$61.561	\$55.397	\$6.164	10.0
Fuel	18.611	19.426	(0.815)	(4.4)	0.000	0.000	0.000	-	18.611	19.426	(0.815)	(4.4)
Insurance	11.890	11.266	0.623	5.2	2.253	2.105	0.148	6.6	14.143	13.371	0.771	5.5
Claims	1.500	6.029	(4.529)	*	0.000	0.000	0.000	-	1.500	6.029	(4.529)	*
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	68.238	65.491	2.746	4.0	11.311	5.243	6.068	53.6	79.548	70.734	8.814	11.1
Professional Service Contracts	19.398	13.774	5.624	29.0	9.867	8.829	1.038	10.5	29.265	22.603	6.662	22.8
Materials & Supplies	49.610	46.981	2.628	5.3	23.372	8.998	14.374	61.5	72.981	55.980	17.002	23.3
Other Business Expenses	16.658	17.157	(0.499)	(3.0)	1.968	2.644	(0.676)	(34.4)	18.626	19.801	(1.175)	(6.3)
<b>Total Non-Labor</b>	<b>\$247.464</b>	<b>\$235.477</b>	<b>\$11.987</b>	<b>4.8</b>	<b>\$48.771</b>	<b>\$27.864</b>	<b>\$20.907</b>	<b>42.9</b>	<b>\$296.235</b>	<b>\$263.341</b>	<b>\$32.893</b>	<b>11.1</b>
<i>Other Adjustments</i>												
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
<b>Total Other Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>
<b>Total Expenses before Non-Cash Liability Adjs.</b>	<b>\$863.873</b>	<b>\$832.439</b>	<b>\$31.434</b>	<b>3.6</b>	<b>\$142.670</b>	<b>\$122.290</b>	<b>\$20.380</b>	<b>14.3</b>	<b>\$1,006.543</b>	<b>\$954.729</b>	<b>\$51.814</b>	<b>5.1</b>
Depreciation	151.276	155.233	(3.957)	(2.6)	0.000	0.000	0.000	-	151.276	155.233	(3.957)	(2.6)
OPEB Obligation	43.399	43.399	0.000	0.0	0.000	0.000	0.000	-	43.399	43.399	0.000	0.0
Environmental Remediation	2.427	1.594	0.833	34.3	0.000	0.000	0.000	-	2.427	1.594	0.833	34.3
<b>Total Expenses</b>	<b>\$1,060.974</b>	<b>\$1,032.664</b>	<b>\$28.310</b>	<b>2.7</b>	<b>\$142.670</b>	<b>\$122.290</b>	<b>\$20.380</b>	<b>14.3</b>	<b>\$1,203.644</b>	<b>\$1,154.954</b>	<b>\$48.690</b>	<b>4.0</b>
<b>Net Surplus/(Deficit)</b>	<b>(\$601.497)</b>	<b>(\$570.178)</b>	<b>\$31.319</b>	<b>5.2</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>(\$601.497)</b>	<b>(\$570.178)</b>	<b>\$31.319</b>	<b>5.2</b>
<i>Cash Conversion Adjustments:</i>												
Depreciation	151.276	155.233	3.957	2.6	0.000	0.000	0.000	-	151.276	155.233	3.957	2.6
Operating/Capital	(19.545)	(13.090)	6.455	33.0	0.000	0.000	0.000	-	(19.545)	(13.090)	6.455	33.0
Other Cash Adjustments	168.490	133.250	(35.240)	(20.9)	0.000	0.000	0.000	-	168.490	133.250	(35.240)	(20.9)
<b>Total Cash Conversion Adjustments</b>	<b>\$300.220</b>	<b>\$275.393</b>	<b>(\$24.828)</b>	<b>(8.3)</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$300.220</b>	<b>\$275.393</b>	<b>(\$24.828)</b>	<b>(8.3)</b>
<b>Net Cash Surplus/(Deficit)</b>	<b>(\$301.277)</b>	<b>(\$294.785)</b>	<b>\$6.492</b>	<b>2.2</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>(\$301.277)</b>	<b>(\$294.785)</b>	<b>\$6.492</b>	<b>2.2</b>

-- Results are preliminary and subject to audit review.

-- Differences are due to rounding.

\* Variance exceeds 100%.

**MTA METRO-NORTH RAILROAD**  
**ACCUAL STATEMENT OF OPERATIONS BY CATEGORY**  
**EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS**  
**JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST**  
**AUGUST 2014**  
**(\$ in millions)**

		Current Month vs. Mid-Year Forecast			Year to Date vs. Mid-Year Forecast		
Generic Revenue or Expense Category	Non Reimb. or Reimb.	Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
		\$	%		\$	%	
OTHER OPERATING REVENUE	Non-Reimb	(\$0.303)	(7.0%)	Primarily due to lower advertising revenue for the period.	\$0.173	0.5%	
CAPITAL AND OTHER REIMBURSEMENTS	Reimb	\$10.935	51.0%	Higher reimbursements reflect timing differences in recording retroactive wage adjustment (RWA).	(\$20.380)	(14.3%)	Lower reimbursements reflect scheduling changes in capital project expenditures.
PAYROLL	Non-Reimb	\$1.939	5.1%	Primarily due to vacancies partially offset by vacation buy back payouts and additional sick and vacation accruals due to retroactive wage adjustment (RWA).	\$2.533	0.7%	Reflects vacant administrative positions, timing of the following projects: Cyclical Track Program, Hurricane Sandy - C&S and Power, East of Hudson Overhead Bridge Program and Positive Train Control, and lower activity on the following projects: C-29 Track, Misc. NHL I&C, Catenary C1 & C2, and Harmon Shop Improvements.
	Reimb	(\$4.332)	*	Unfavorable variance reflects the recording of reimbursable payroll retroactive wage adjustment (RWA) accruals which was forecasted in July.	\$2.266	7.3%	
OVERTIME	Reimb	(\$4.041)	*	Unfavorable variance reflects the recording of reimbursable payroll retroactive wage adjustment (RWA) accruals which was forecasted in July.	(\$1.889)	(14.7%)	Unfavorable variance reflects a higher overtime RWA accrual estimate for reimbursable projects than projected.
HEALTH AND WELFARE	Reimb	\$0.320	24.0%	Reflects lower project activity.	\$0.882	10.2%	Reflects lower project activity.
PENSIONS	Non-Reimb	\$1.135	15.7%	Favorable variance reflects the timing of RWA accruals for pensions which will be recorded based on subsequent actuarial estimates.	\$13.878	21.9%	Favorable variance reflects the timing of RWA accruals for pensions which will be recorded based on subsequent actuarial estimates.
	Reimb	\$0.234	26.9%	Reflects lower project activity.	\$1.208	19.9%	Reflects lower project activity.
OTHER FRINGE BENEFITS	Non-Reimb	\$1.168	13.4%	Primarily reflects lower payroll expense and lower than forecasted employee claims for the period.	\$1.146	1.5%	
	Reimb	(\$0.506)	(50.8%)	Reflects rate differentials and project adjustments.	\$0.108	1.6%	

**MTA METRO-NORTH RAILROAD**  
**ACCRUAL STATEMENT OF OPERATIONS BY CATEGORY**  
**EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS**  
**JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST**  
**AUGUST 2014**  
**(\$ in millions)**

		Current Month vs. Mid-Year Forecast			Year to Date vs. Mid-Year Forecast		
Generic Revenue or Expense Category	Non Reimb. or Reimb.	Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
		\$	%		\$	%	
REIMBURSABLE OVERHEAD	Non-Reimb	\$6.163	*	The non-reimbursable and reimbursable variances reflect higher activity due to reimbursable payroll retroactive wage adjustment (RWA) accruals which were forecasted in July.	\$3.302	11.2%	The non-reimbursable and reimbursable variances reflect higher activity due to the timing of reimbursable payroll retroactive wage adjustment (RWA) partially offset by lower activity on the following projects: Hurricane Sandy Infrastructure, Cyclical Track Program and WoH Signal Improvements.
	Reimb	(\$6.166)	*		(\$3.102)	(10.8%)	
ELECTRIC POWER	Non-Reimb	\$1.836	23.8%	Reflects lower rates across all lines.	\$6.208	10.1%	Reflects lower rates across all lines.
INSURANCE	Non-Reimb	\$0.129	8.3%	Lower liability insurance expense for the month.	\$0.623	5.2%	Lower liability insurance expense for the month.
	Reimb	\$0.132	34.3%	Reflects lower project activity.	\$0.148	6.6%	Reflects lower project activity.
CLAIMS	Non-Reimb	\$0.094	77.2%	Reflects lower claim payments for the period.	(\$4.529)	*	Primarily reflects an accrual for a \$5.4M claim settlement for NJT employees injured on MNR property partially offset by an accrual adjustment to reflect payments processed through the second quarter of 2014.
MAINTENANCE AND OTHER OPERATING CONTRACTS	Reimb	\$0.419	24.2%	Reflects delays on the WoH Signal Improvements, C-30 Track program, GCT Leaks Remediation partially offset by higher activity on the Replacement of Timbers on Undergrade Bridges.	\$6.068	53.6%	Reflects delays on the WoH Signal Improvements, East of Hudson Overhead Bridge Program, GCT Leaks Remediation, C-30 Track Program and the timing of the Cos Cob West Substation.
PROFESSIONAL SERVICE CONTRACTS	Non-Reimb	\$1.144	37.9%	Favorable variance primarily reflects an adjustment for erroneous accruals.	\$5.624	29.0%	Favorable variance primarily reflects timing of expenses for IT costs, outside training, medical services, legal fees, and MNR market share study.
	Reimb	(\$1.034)	(88.1%)	Reflects higher activity for Positive Train Control, NHL Signal System - CP229 to NH, NHL - EMU Fleet Replacement partially offset by the delay of the Overhead Bridge Program.	\$1.038	10.5%	Reflects timing of the Overhead Bridge program and Positive Train Control and lower activity on the MNR Technology Move. These decreases were partially offset by higher activity on the NHL Signal System - CP229 to NH and the NHL Stamford Station Real-Time Information System.

**MTA METRO-NORTH RAILROAD**  
**ACCRUAL STATEMENT OF OPERATIONS BY CATEGORY**  
**EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS**  
**JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST**  
**AUGUST 2014**  
**(\$ in millions)**

Generic Revenue or Expense Category	Non Reimb. or Reimb.	Current Month vs. Mid-Year Forecast			Year to Date vs. Mid-Year Forecast		
		Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
		\$	%		\$	%	
MATERIAL AND SUPPLIES	Non-Reimb	\$0.443	7.1%	Primarily reflects lower rolling stock mechanical material usage.	\$2.628	5.3%	Primarily reflects lower rolling stock mechanical material usage.
	Reimb	\$4.313	75.7%	Reflect delays on the Hurricane Sandy Power Project and the Bronx Stations Capacity Imp and lower activity on the MNR Technology Move project.	\$14.374	61.5%	Reflects delay on the Hurricane Sandy Power, Cyclical Track Program, Positive Train Control, Bronx Stations Capacity Imp., NHL - Stamford Station Real-Time Info System and the Devon Bridge Repair. Also lower activity than forecasted on the MNR Technology Move and the West of Hudson Track Program.
OTHER BUSINESS EXPENSES	Reimb	(\$0.278)	*	Primarily reflects higher than forecasted purchases for the MNR Technology Move.	(\$0.676)	(34.4%)	Reflects higher-than-forecasted purchases for 525 North Broadway, White Plains Projects and MNR Technology move.
DEPRECIATION	Non-Reimb	(\$1.206)	(6.4%)	Timing of capitalization of assets.	(\$3.957)	(2.6%)	
ENVIRONMENTAL REMEDIATION	Non-Reimb	\$0.000	0.0%		\$0.833	34.3%	Reflects quarterly accrual for projects requiring remediation.
OPERATING CAPITAL	Non-Reim	\$3.735	50.6%	Reflects lower activity during the period on the IT Infrastructure System Resiliency, Hot Box Detector and Wheel Impact Det., Upgrade Locomotive Simulators, Employee Welfare Facility Imp., Park Avenue Tunnel, Ticket Issuing Machines, Purchase 4 Prefab Blds Croton Harmon, Vehicle Replacement Provision, Hudson Rail Link Bus Repl., Purchase Snowmelter Elements, IVR Server Life Cycle Repl., and the Line Segment Ridership Forecasting Models partially offset by RWA Accrual and higher than anticipated activity on the Power Reliability Bucket Truck and the Roof Replacement 525 No. Broadway.	\$6.455	33.0%	Reflects lower activity during the period on the Ticket Issuing Machines (TIMs), IT Infrastructure System Resiliency, Hot Box Detector and Wheel Impact Det., Expand Real-Time Train Status Information - NYS, Vehicle Replacement project, Locomotive Overhaul - 6 GP 35 Locos, Upgrade Loco Simulators, Purchase Snowmelter Cabinets, 4 Prefab blds -Croton Harmon, Employee Welfare Facility Improvements, Hudson Rail Link Bus Repl., Safety Dept. Re-Organization Vehicle and the Replace Substation Batteries and the partially offset by RWA Accrual higher activity on the Power Reliability Bucket Truck, NYPA Improvement Support.

\* Variance exceeds 100%.



**MTA Metro-North Railroad**  
**July Financial Plan - 2014 Mid Year Forecast -**  
**Non-Reimbursable/Reimbursable Overtime**  
(\$ in millions)

	August						August Year-to-Date					
	Forecast		Actuals		Var. - Fav./(Unfav)		Forecast		Actuals		Var. - Fav./(Unfav)	
	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$
<b>NON-REIMBURSABLE OVERTIME</b>												
<u>Scheduled Service</u> <sup>1</sup>	43,537	\$2.3	36,840	\$2.1	6,697 15.4%	\$0.2 8.0%	362,589	\$19.3	351,250	\$19.5	11,339 3.1%	(\$0.1) -0.7%
<u>Unscheduled Service</u>	0	\$0.0	602	\$0.0	(602) -	\$0.0 -	0	\$0.0	1,880	\$0.0	(1,880) -	\$0.0 -
<u>Programmatic/Routine Maintenance</u>	48,350	\$2.3	53,407	\$2.5	(5,057) -10.5%	(\$0.3) -11.5%	350,943	\$16.5	363,884	\$16.7	(12,941) -3.7%	(\$0.3) -1.6%
<u>Unscheduled Maintenance</u>	1,222	\$0.1	5,340	\$0.3	(4,118) *	(\$0.2) *	4,800	\$0.2	16,377	\$1.1	(11,577) *	(\$0.9) *
<u>Vacancy/Absentee Coverage</u> <sup>2</sup>	20,593	\$1.2	31,062	\$1.4	(10,469) -50.8%	(\$0.2) -17.1%	159,332	\$8.5	206,443	\$9.4	(47,110) -29.6%	(\$0.9) -10.7%
<u>Weather Emergencies</u>	119	\$0.0	599	\$0.0	(480) *	(\$0.0) *	83,331	\$3.9	84,280	\$3.9	(949) -1.1%	\$0.0 0.5%
<u>Safety/Security/Law Enforcement</u> <sup>3</sup>	0	\$0.0	0	\$0.0	0 -	\$0.0 -	0	\$0.0	0	\$0.0	0 -	\$0.0 -
<u>Other</u> <sup>4</sup>	2,551	\$0.2	253	(\$0.0)	2,298 *	\$0.2 *	13,692	\$19.2	15,757	\$18.6	(2,065) *	\$0.6 3.2%
Subtotal	116,372	\$6.0	128,103	\$6.3	(11,731) 68.9%	(\$0.3) -4.9%	974,687	\$67.6	1,039,871	\$69.2	(65,183) -34.8%	(\$1.6) -2.4%
<b>REIMBURSABLE OVERTIME</b>	30,433	\$1.6	29,380	\$5.7	1,053 3.5%	(\$4.0) *	222,104	\$12.8	225,305	\$14.7	(3,201) -1.4%	(\$1.9) -14.7%
<b>TOTAL OVERTIME</b>	<b>146,805</b>	<b>\$7.7</b>	<b>157,483</b>	<b>\$12.0</b>	<b>(10,678)</b> 55.4%	<b>(\$4.3)</b> -56.5%	<b>1,196,792</b>	<b>\$80.4</b>	<b>1,265,175</b>	<b>\$83.9</b>	<b>(68,384)</b> -28.6%	<b>(\$3.5)</b> -4.4%

Totals may not add due to rounding.

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

\* Exceeds 100%

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

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

<sup>3</sup> Not Applicable

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

**MTA Metro-North Railroad**  
**July Financial Plan - 2014 Mid-Year Forecast**  
**Non-Reimbursable/Reimbursable Overtime**  
**(\$ in millions)**

	August			August Year To Date		
	Var. - Fav./(Unfav)		Explanations	Var. - Fav./(Unfav)		Explanations
	Hours	\$		Hours	\$	
<b>NON-REIMBURSABLE OVERTIME</b>						
<u>Scheduled Service</u> <sup>1</sup>	6,697	\$0.2	Higher staff availability due to graduating conductor classes and lower retirees.	11,339	(\$0.1)	Lower staff availability in earlier months, partially offset by higher staff availability in August.
	15.4%	8.0%		3.1%	-0.7%	
<u>Unscheduled Service</u>	(602)	\$0.0		(1,880)	\$0.0	
	-	-		-	-	
<u>Programmatic/Routine Maintenance</u>	(5,057)	(\$0.3)	Primarily due to higher requirements for on-going infrastructure inspection and station enhancement program.	(12,941)	(\$0.3)	Primarily due to higher requirements for on-going infrastructure inspection and station enhancement program.
	-10.5%	-11.5%		-3.7%	-1.6%	
<u>Unscheduled Maintenance</u>	(4,118)	(\$0.2)	Higher requirements for operations coverage for the Cos Cob fire and right-of-way maintenance related to the Yonkers mud slide.	(11,577)	(\$0.9)	Right-of-way maintenance related to the Yonkers mud slide, repairs and operations coverage for the Cos Cob fire, WALK bridge coverage, and grade crossing repairs on the Danbury Branch.
	*	*		*	*	
<u>Vacancy/Absentee Coverage</u> <sup>2</sup>	(10,469)	(\$0.2)	Reflects vacation and sick coverage for must-fill positions within MofE required to perform FRA mandated functions and periodic maintenance requirements.	(47,110)	(\$0.9)	Reflects vacation and sick coverage for must-fill positions within MofE required to perform FRA mandated functions and periodic maintenance requirements.
	-50.8%	-17.1%		-29.6%	-10.7%	
<u>Weather Emergencies</u>	(480)	(\$0.0)		(949)	\$0.0	
	*	*		-1.1%	0.5%	
<u>Safety/Security/Law Enforcement</u> <sup>3</sup>	0	\$0.0		0	\$0.0	
	-	-		-	-	
<u>Other</u> <sup>4</sup>	2,298	\$0.2	Accrual adjustments for retroactive wage agreement (RWA).	(2,065)	\$0.6	Accrual adjustments for retroactive wage agreement (RWA).
	*	*		*	3.2%	
<b>Subtotal</b>	<b>(11,731)</b>	<b>(\$0.3)</b>		<b>(65,183)</b>	<b>(\$1.6)</b>	
	68.9%	-4.9%		-34.8%	-2.4%	
<b>REIMBURSABLE OVERTIME</b>						
	1,053	(\$4.0)	Increase reflects timing differences in recording RWA for reimbursable projects ( forecasted in July but actuals recorded in August).	(3,201)	(\$1.9)	Increase reflects a higher overtime RWA accrual estimate for reimbursable projects than projected.
	3.5% *			-1.4%	-14.7%	
<b>TOTAL OVERTIME</b>	<b>(10,678)</b>	<b>(\$4.3)</b>		<b>(68,384)</b>	<b>(\$3.5)</b>	

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

\* Exceeds 100%

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

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

<sup>3</sup> Not Applicable

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

**MTA METRO-NORTH RAILROAD**  
**2014 Overtime Report**  
**Overtime Legend**

**REVISED OVERTIME DECOMPOSITION LEGEND DEFINITIONS**

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

**MTA METRO-NORTH RAILROAD**  
**JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST**  
**CASH RECEIPTS AND EXPENDITURES**  
(\$ in millions)

**SCHEDULE III**

	August 2014				Year-to-Date			
	Mid-Year Forecast	Actual	Favorable (Unfavorable)		Mid-Year Forecast	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent
<b><u>Receipts</u></b>								
Farebox Receipts	\$55.226	\$53.941	(\$1.285)	(2.3)	\$428.376	\$430.415	\$2.039	0.5
Toll Receipts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Receipts	4.883	5.193	0.310	6.4	47.701	48.070	0.369	0.8
<i>Capital &amp; Other Reimbursements:</i>								
MTA	12.777	4.038	(8.739)	(68.4)	61.840	51.011	(10.829)	(17.5)
CDOT	6.016	2.146	(3.870)	(64.3)	41.321	35.491	(5.830)	(14.1)
Other	2.012	0.520	(1.492)	(74.1)	11.290	9.171	(2.119)	(18.8)
Total Capital and Other Reimbursements	20.805	6.704	(14.101)	(67.8)	114.451	95.673	(18.778)	(16.4)
<b>Total Receipts</b>	<b>\$80.913</b>	<b>\$65.838</b>	<b>(\$15.075)</b>	<b>(18.6)</b>	<b>\$590.528</b>	<b>\$574.158</b>	<b>(\$16.370)</b>	<b>(2.8)</b>
<b><u>Expenditures</u></b>								
<i>Labor:</i>								
Payroll	\$38.513	\$37.236	\$1.277	3.3	\$304.050	\$301.658	\$2.392	0.8
Overtime	6.408	7.277	(0.869)	(13.6)	60.935	62.339	(1.404)	(2.3)
Health and Welfare	9.835	6.315	3.520	35.8	77.709	76.122	1.587	2.0
OPEB Current Payment	1.723	1.970	(0.247)	(14.3)	16.775	17.575	(0.800)	(4.8)
Pensions	7.132	6.950	0.182	2.6	43.833	43.263	0.570	1.3
Other Fringe Benefits	9.657	10.254	(0.597)	(6.2)	76.255	77.752	(1.497)	(2.0)
GASB Account	0.000	0.000	0.000	-	4.450	4.458	(0.008)	(0.2)
Reimbursable Overhead	0.000	0.000	0.000	-	0.000	0.000	0.000	-
<b>Total Labor</b>	<b>\$73.268</b>	<b>\$70.002</b>	<b>\$3.266</b>	<b>4.5</b>	<b>\$584.006</b>	<b>\$583.167</b>	<b>\$0.839</b>	<b>0.1</b>
<i>Non-Labor:</i>								
Electric Power	\$8.835	\$5.950	\$2.885	32.7	\$58.297	\$53.621	\$4.676	8.0
Fuel	1.372	2.214	(0.842)	(61.4)	17.815	19.654	(1.839)	(10.3)
Insurance	0.634	8.620	(7.986)	*	12.740	14.567	(1.827)	(14.3)
Claims	1.172	6.448	(5.276)	*	4.573	16.252	(11.679)	*
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	11.208	7.658	3.550	31.7	77.984	61.178	16.806	21.6
Professional Service Contracts	5.853	2.290	3.563	60.9	30.510	21.612	8.898	29.2
Materials & Supplies	14.202	13.534	0.668	4.7	73.446	64.381	9.065	12.3
Other Business Expenditures	4.494	4.184	0.310	6.9	32.434	34.511	(2.077)	(6.4)
<b>Total Non-Labor</b>	<b>\$47.769</b>	<b>\$50.898</b>	<b>(\$3.129)</b>	<b>(6.6)</b>	<b>\$307.799</b>	<b>\$285.776</b>	<b>\$22.023</b>	<b>7.2</b>
<i>Other Adjustments:</i>								
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Post Employment Benefits	0.000	0.000	0.000	-	0.000	0.000	0.000	-
<b>Total Other Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>
<b>Total Expenditures</b>	<b>\$121.037</b>	<b>\$120.900</b>	<b>\$0.137</b>	<b>0.1</b>	<b>\$891.805</b>	<b>\$868.943</b>	<b>\$22.862</b>	<b>2.6</b>
<b>Net Cash Deficit ( excludes Opening Cash Balance)</b>	<b>(\$40.124)</b>	<b>(\$55.062)</b>	<b>(\$14.938)</b>	<b>(37.2)</b>	<b>(\$301.277)</b>	<b>(\$294.785)</b>	<b>\$6.492</b>	<b>2.2</b>
<b><u>Subsidies</u></b>								
MTA	34.151	50.236	16.085	47.1	227.148	205.478	(21.670)	(9.5)
CDOT	5.972	6.691	0.719	12.0	72.062	77.329	5.267	7.3
<b>Total Subsidies</b>	<b>\$40.124</b>	<b>\$56.927</b>	<b>\$16.803</b>	<b>41.9</b>	<b>\$299.209</b>	<b>\$282.807</b>	<b>(\$16.402)</b>	<b>(5.5)</b>
<b>Cash Timing and Availability Adjustment</b>	<b>\$0.000</b>	<b>(\$2.599)</b>	<b>(\$2.599)</b>	<b>-</b>	<b>\$0.000</b>	<b>\$11.978</b>	<b>\$11.978</b>	<b>-</b>

-- Results are preliminary and subject to audit review.

-- Differences are due to rounding.

\* Variance exceeds 100%.

**MTA METRO-NORTH RAILROAD**  
**JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST**  
**CASH CONVERSION (CASH FLOW ADJUSTMENT)**  
(\$ in millions)

	August 2014				Year-to-Date			
	Mid-Year Forecast	Actual	Favorable (Unfavorable)		Mid-Year Forecast	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent
<b>Receipts</b>								
Farebox Revenue	\$0.320	(\$1.521)	(\$1.841)	*	\$4.122	\$3.325	(\$0.798)	(19.3)
Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	0.581	1.195	0.613	*	12.478	12.674	0.196	1.6
Capital & Other Reimbursements:		0.000			0.000	0.000		
MTA	(1.298)	(9.167)	(7.869)	*	(20.804)	(9.885)	10.919	52.5
CDOT	0.713	(13.912)	(14.625)	*	(5.917)	(15.468)	(9.551)	*
Other	(0.049)	(2.590)	(2.541)	*	(1.498)	(1.264)	0.234	15.6
Total Capital and Other Reimbursements	(0.633)	(25.669)	(25.035)	*	(28.219)	(26.617)	1.602	5.7
<b>Total Revenue/Receipts</b>	<b>\$0.268</b>	<b>(\$25.995)</b>	<b>(\$26.262)</b>	<b>*</b>	<b>(\$11.619)</b>	<b>(\$10.619)</b>	<b>\$1.000</b>	<b>8.6</b>
<b>Expenditures</b>								
<i>Labor:</i>								
Payroll	\$3.352	\$7.012	\$3.660	*	\$86.466	\$84.059	(\$2.406)	(2.8)
Overtime	1.263	4.728	3.465	*	19.487	21.593	2.106	10.8
Health and Welfare	(0.473)	2.377	2.850	*	(3.404)	(3.094)	0.310	9.1
OPEB Current Payment	0.255	0.070	0.000		(1.018)	(1.633)	(0.615)	(60.4)
Pensions	0.945	(0.242)	(1.187)	*	25.685	11.169	(14.516)	(56.5)
Other Fringe Benefits	0.057	(1.202)	(1.259)	*	4.415	1.664	(2.751)	(62.3)
GASB Account	0.000	0.000	0.000	-	(4.450)	(4.458)	(0.008)	(0.2)
Reimbursable Overhead	(0.130)	(0.127)	0.003	2.1	(0.878)	(1.079)	(0.200)	(22.8)
<b>Total Labor</b>	<b>\$5.269</b>	<b>\$12.617</b>	<b>\$7.347</b>	<b>*</b>	<b>\$126.302</b>	<b>\$108.221</b>	<b>(\$18.081)</b>	<b>(14.3)</b>
<i>Non-Labor:</i>								
Electric Power	(\$1.109)	(\$0.056)	\$1.053	95.0	\$3.264	\$1.776	(\$1.488)	(45.6)
Fuel	0.722	(0.025)	(0.747)	*	0.796	(0.228)	(1.024)	*
Insurance	1.307	(6.941)	(8.248)	*	1.403	(1.196)	(2.598)	*
Claims	(1.050)	(6.420)	(5.370)	*	(3.073)	(10.223)	(7.150)	*
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	(0.721)	2.434	3.155	*	1.565	9.556	7.992	*
Professional Service Contracts	(1.659)	1.794	3.452	*	(1.245)	0.991	2.236	*
Materials & Supplies	(2.222)	(6.310)	(4.088)	*	(0.464)	(8.401)	(7.937)	*
Other Business Expenses	(2.236)	(1.736)	0.500	22.4	(13.809)	(14.710)	(0.902)	(6.5)
<b>Total Non-Labor</b>	<b>(\$6.969)</b>	<b>(\$17.260)</b>	<b>(\$10.292)</b>	<b>*</b>	<b>(\$11.564)</b>	<b>(\$22.435)</b>	<b>(\$10.871)</b>	<b>(94.0)</b>
<i>Other Adjustments:</i>								
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-
<b>Total Other Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>
<b>Total Expenditures Adjustments before Non-Cash Liability Adjs.</b>	<b>(\$1.700)</b>	<b>(\$4.644)</b>	<b>(\$2.944)</b>	<b>*</b>	<b>\$114.738</b>	<b>\$85.786</b>	<b>(\$28.952)</b>	<b>(25.2)</b>
Depreciation	18.936	20.143	1.206	6.4	151.276	155.233	3.957	2.6
OPEB Obligation	5.425	5.425	0.000	0.0	43.399	43.399	0.000	0.0
Environmental Remediation	0.000	0.000	0.000	-	2.427	1.594	(0.833)	34.3
<b>Total Expenditures Adjustments</b>	<b>\$22.662</b>	<b>\$20.924</b>	<b>(\$1.738)</b>	<b>(7.7)</b>	<b>\$311.839</b>	<b>\$286.011</b>	<b>(\$25.828)</b>	<b>(8.3)</b>
<b>Total Cash Conversion Adjustments</b>	<b>\$22.929</b>	<b>(\$5.071)</b>	<b>(\$28.000)</b>	<b>*</b>	<b>\$300.220</b>	<b>\$275.393</b>	<b>(\$24.828)</b>	<b>(8.3)</b>

-- Results are preliminary and subject to audit review.

-- Differences are due to rounding.

\* Variance exceeds 100%.

**MTA METRO-NORTH RAILROAD**  
**JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST**  
**CASH RECEIPTS AND EXPENDITURES**  
**EXPLANATION OF VARIANCE BETWEEN FORECAST AND ACTUAL RESULTS**  
(\$ in millions)

\$ Detail

Generic Receipt or Expense Category	August Month vs Mid-Year Forecast			Year-To-Date as of August 31, 2014		
	Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
	\$	%		\$	%	
FARE REVENUE	(1.285)	(2.3%)		2.039	0.5%	
OTHER OPERATING REVENUE	0.310	6.3%	Timing of quarterly payments to MTA for LaSalle charges combined with higher LaSalle revenues partially offset by lower Other & Miscellaneous and advertising revenues.	0.369	0.8%	
CAPITAL AND OTHER REIMBURSEMENTS:						
MTA	(8.739)	(68.4%)	Lower cash receipts due to lower project and cap admin activities combined with lower receipts due to timing.	(10.829)	(17.5%)	Lower cash receipts due to lower project activity combined with lower receipts due to timing.
CDOT	(3.870)	(64.3%)	Lower cash receipts due to timing partially offset by higher project activity.	(5.830)	(14.1%)	Lower cash receipts due to timing of payments partially offset by higher project activity.
OTHER	(1.492)	(74.2%)	Lower cash receipts due to lower project activity combined with timing of cash receipts.	(2.119)	(18.8%)	Lower cash receipts due to lower project activity partially offset by higher receipts due to timing.
PAYROLL	1.277	3.3%	Lower headcount vs. forecast of 179 FTE's.	2.392	0.8%	
OVERTIME	(0.869)	(13.6%)	Mainly due to vacancies/absenteeism coverage for must-fill positions within the carmen, machinists and electricians crafts required to perform FRA mandated functions and periodic maintenance requirements.	(1.404)	(2.3%)	
HEALTH & WELFARE	3.520	35.8%	Rate favorability \$2.2M combined with timing of Dental & Vision premium \$0.9M and headcount favorability \$0.3M.	1.587	2.0%	
OPEB CURRENT PAYMENT	(0.247)	(14.3%)	Higher retiree health benefit payments.	(0.800)	(4.8%)	
PENSIONS	0.182	2.6%		0.570	1.3%	
OTHER FRINGE BENEFITS	(0.597)	(6.2%)	Timing of employee claims paid in August.	(1.498)	(2.0%)	
GASB ACCOUNT	0.000	0.0%		(0.008)	(0.2%)	
ELECTRIC POWER	2.885	32.7%	Rate favorability combined with timing of supplier portion of Connecticut Light & Power payment.	4.676	8.0%	Rate favorability combined with timing of supplier portion of Connecticut Light & Power payments.
FUEL	(0.842)	(61.4%)	Timing of payments combined with higher consumption on the Harlem & Hudson lines.	(1.839)	(10.3%)	Timing of payments, higher consumption on the Harlem & Hudson lines and higher consumption of heating fuel due to cold winter.
INSURANCE	(7.986)	*	Timing of Agency Property, Station Liability, Force Account and Automobile premiums paid in August.	(1.827)	(14.3%)	Timing of Agency Property, Station Liability, Agency Property - Terrorism and Automobile premiums, partially offset by timing of Catastrophic Bond premium.
CLAIMS	(5.276)	*	Claim payments made for West of Hudson incident.	(11.679)	*	Claim payments made for West of Hudson incident combined with passenger injury settlements relating to the Spuyten Duyvil and New Haven Line incidents.

MTA METRO-NORTH RAILROAD  
JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST  
CASH RECEIPTS AND EXPENDITURES  
EXPLANATION OF VARIANCE BETWEEN FORECAST AND ACTUAL RESULTS  
(\$ in millions)

\$ Detail

Generic Receipt or Expense Category	August Month vs Mid-Year Forecast			Year-To-Date as of August 31, 2014		
	Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
	\$	%		\$	%	
MAINTENANCE & OTHER OPERATING CONTRACTS	3.550	31.7%	Timing of capital related projects (Upgrade Locomotive Simulator, Employee Welfare Facility Improvements, West of Hudson Signal Improvements, Vehicle Replacement Program), combined with the timing of payments for maintenance & repair, Harlem/Hudson track leases and steam.	16.806	21.6%	Timing of capital related projects (West of Hudson Signal Improvements, Overhead Bridge Program, Employee Welfare Facility Improvements, West of Hudson Improvements (per NJT agreement), GCT Leaks Remediation and Locomotive Overhaul), timing of payment to MTA for police services, lower maintenance & repair and Harlem/Hudson track leases.
PROFESSIONAL SERVICE CONTRACTS	3.563	60.9%	Timing of engineering services, delay in capital related projects (IT Infrastructure System Resiliency (525 N. White Plains)), timing of IT hardware purchases, related maintenance & repair and medical services.	8.898	29.2%	Timing of capital related projects (Ticket Issuer Machines, Overhead Bridge Program and IT Infrastructure System Resiliency), Engineering Services, I.T. Costs, New Haven Line BSC Costs, Market Research, Advertising and Legal Fees.
MATERIALS & SUPPLIES	0.668	4.7%	Timing of capital related projects (Hurricane Sandy Infrastructure Improvements, Hot Box and Wheel Impact Detector, MNR Technology Move and Park Avenue Tunnel 3rd Rail Fire Alarm System) combined with timing of material purchases (Truck Suspension, Carbody and Friction Brakes) partially offset by timing of inventory.	9.065	12.3%	Timing of capital related projects (Hurricane Sandy Infrastructure Improvements, MNR Technology Move, 2013 Cyclical Track Program, PTC, Hot Box and Wheel Impact Detectors, Expansion of Real-Time Train Status Information - NYS Stations, NHL - Stamford Station Real-Time Information System, and Devon Bridge repairs) partially offset by timing of rail, communication materials, and roadway equipment purchases.
OTHER BUSINESS EXPENSES	0.310	6.9%	Lower payment made to NJ Transit subsidy combined with payment timing of Metro Mobility Tax.	(2.077)	(6.4%)	Timing of New Jersey Transit subsidy payments.
MTA SUBSIDY RECEIPTS	16.084	47.1%	Higher subsidy draw due to higher net cash deficit and impact of utilization of cash balances partially offset by higher CDOT subsidy.	(21.670)	(9.5%)	Lower subsidy draw due to impact of utilization of cash balances, lower net cash deficit and higher CDOT subsidy.
CDOT SUBSIDY RECEIPTS	0.719	12.0%	Reimbursement for New Haven service deficit adjustment.	5.268	7.3%	Timing of September subsidy received in August combined with reimbursement for New Haven service deficit adjustment partially offset by lower CDOT share of June deficit.
TOTAL SUBSIDY RECEIPTS	16.803	41.9%		(16.402)	(5.5%)	

\* Variance exceeds 100%

**MTA METRO-NORTH RAILROAD**  
**JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST**  
**UTILIZATION**  
(in millions)

	<u>Month of August</u>		<u>Variance</u>		<u>Year-to-Date August</u>		<u>Variance</u>	
	<u>Mid-Year Forecast</u>	<u>Actual</u>	<u>Fav (Unfav)</u>		<u>Mid-Year Forecast</u>	<u>Actual</u>	<u>Fav (Unfav)</u>	
			<u>Amount</u>	<u>%</u>			<u>Amount</u>	<u>%</u>
<u>Farebox Revenue</u>								
Harlem Line	\$16.095	\$16.043	(\$0.052)	-0.3	\$126.625	\$126.638	\$0.013	0.0
Hudson Line	\$11.862	\$12.146	\$0.284	2.4	\$90.847	\$92.197	\$1.350	1.5
New Haven Line	\$26.915	\$27.240	\$0.325	1.2	\$206.490	\$207.975	\$1.485	0.7
Total Farebox Revenue	\$54.872	\$55.429 <sup>(1)</sup>	\$0.558	1.0	\$423.962	\$426.810 <sup>(1)</sup>	\$2.848	0.7
<u>Ridership</u>								
Harlem Line	2.198	2.207	0.008	0.4	17.777	17.826	0.049	0.3
Hudson Line	1.357	1.381	0.024	1.8	10.545	10.677	0.132	1.2
New Haven Line	3.287	3.348	0.061	1.9	25.777	25.988	0.212	0.8
Total Ridership East of Hudson	6.842	6.936	0.094	1.4	54.099	54.492	0.393	0.7
West of Hudson	0.142	0.143	0.002	1.3	1.103	1.110	0.007	0.6
Total Ridership	6.983	7.079	0.096	1.4	55.203	55.602	0.400	0.7

(1) Excludes West of Hudson Mail & Ride revenue totaling \$0.032 million for the month and \$0.280 million year-to-date.

**East of Hudson:**

East of Hudson ridership for the month increased by 1.4%, or an increase of 94 thousand rides. Results for the month reflect higher than projected ridership growth on the Harlem Line by 0.4%, the Hudson Line by 1.8%, and an increase of 1.9% on the New Haven Line over the Mid-Year Forecast. Year-to-date ridership was 54.5 million, 0.7% higher than the Mid-Year Forecast.

Commutation ridership was lower for the month by 0.9% and on-target year-to-date versus the Mid-Year Forecast. Compared to 2013, August year-to-date commutation ridership was 0.2% lower. Non-commutation ridership was 1.7% higher than the Mid-Year Forecast year-to-date and 1.4% higher than 2013. For the month, non-commutation ridership was 4.1% higher than Mid-Year Forecast, and 4.5% better than 2013.

**West of Hudson:**

West of Hudson ridership was 1.3% higher to the Mid-Year Forecast for the month, 0.6% higher year-to-date, and 6.3% better than 2013 reflecting a progressive growth over the projected ridership.



**MTA METRO-NORTH RAILROAD**  
**2014 MID YEAR FORECAST VS. ACTUALS**  
**TOTAL FULL-TIME POSITIONS AND FULL-TIME EQUIVALENTS**  
**August 31, 2014**

<u>Department</u>	<u>Mid-Year Forecast</u>	<u>Actual</u>	<u>Favorable (Unfavorable) Variance</u>
<b>Administration</b>			
President	3	3	-
Labor Relations	9	6	3
Safety	35	34	1
COS/Corporate & Public Affairs	17	14	3
Legal (1)	17	18	(1)
Claims Services	10	10	0
Environmental Compliance & Svce	8	7	1
VP Administration	2	2	-
VP Human Resources	6	5	1
Human Resources (2)	29	23	6
Training (2)	58	51	8
Employee Relations & Diversity	4	4	-
VP Planning	2	1	1
Operations Planning & Analysis	18	17	1
Capital Planning & Programming	15	14	1
GCT & Corporate Development	32	31	1
Long Range Planning	7	7	-
VP Finance & Information Systems	1	1	0
Controller	78	75	3
Information Technology & Project Mgmt (2)	125	98	27
Budget	18	18	0
Customer Service	46	46	0
Procurement & Material Mgmt	27	27	0
Corporate	-	-	0
<b>Total Administration</b>	<b>567</b>	<b>512</b>	<b>55</b>
<b>Operations</b>			
Operations Administration	52	51	2
Operations Services (1)	1,455	1,446	9
Customer Service (2)	239	235	5
GCT & Corporate Development	34	32	2
Metro-North West (3)	29	33	(4)
<b>Total Operations</b>	<b>1,809</b>	<b>1,796</b>	<b>13</b>
<b>Maintenance</b>			
GCT & Corporate Development	167	162	5
Maintenance of Equipment (2)	1,658	1,607	51
Maintenance of Way (2)	1,883	1,829	54
Procurement & Material Mgmt	121	119	2
<b>Total Maintenance</b>	<b>3,829</b>	<b>3,717</b>	<b>113</b>
<b>Engineering/Capital</b>			
Construction Management (4)	31	34	(3)
Engineering & Design	59	58	1
<b>Total Engineering/Capital</b>	<b>90</b>	<b>92</b>	<b>(2)</b>
<b>Total Positions</b>	<b>6,294</b>	<b>6,116</b>	<b>179</b>
<b>Non-Reimbursable (5)</b>	<b>5,641</b>	<b>5,740</b>	<b>(99)</b>
<b>Reimbursable</b>	<b>654</b>	<b>376</b>	<b>278</b>
<b>Total Full-Time</b>	<b>6,293</b>	<b>6,115</b>	<b>179</b>
<b>Total Full-Time-Equivalents (of part-time positions)</b>	<b>1</b>	<b>1</b>	<b>-</b>

(1) Variance reflects early hiring of vacant positions.

(2) Variance reflects existing vacant positions.

(3) Metro-North West unfavorable variance is due to the transfer of Operation Services T&E staff to perform flag work on various West of Hudson projects.

(4) Variance reflects lower attrition than planned.

(5) Reflects a transfer of reimbursable Maintenance of Way positions to perform operating work..

**MTA METRO-NORTH RAILROAD**  
**2014 MID YEAR FORECAST VS. ACTUALS**  
**TOTAL FULL-TIME POSITIONS AND FULL-TIME EQUIVALENTS**  
**August 31, 2014**

FUNCTION/OCCUPATION	Mid-Year Forecast	Actual	Favorable (Unfavorable) Variance
<b>Administration (1)</b>			
Managers/Supervisors	179	153	26
Professional, Technical, Clerical	388	359	29
Operational Hourlies	-	-	-
<b>Total Administration</b>	<b>567</b>	<b>512</b>	<b>55</b>
<b>Operations (1)</b>			
Managers/Supervisors (2)	149	130	19
Professional, Technical, Clerical	231	221	10
Operational Hourlies (2)	1,429	1,445	(16)
<b>Total Operations</b>	<b>1,809</b>	<b>1,796</b>	<b>13</b>
<b>Maintenance (1)</b>			
Managers/Supervisors (2)	497	489	8
Professional, Technical, Clerical	490	491	(1)
Operational Hourlies (2)	2,842	2,737	105
<b>Total Maintenance</b>	<b>3,829</b>	<b>3,717</b>	<b>113</b>
<b>Engineering/Capital</b>			
Managers/Supervisors	38	39	(1)
Professional, Technical, Clerical	52	53	(1)
Operational Hourlies	-	-	-
	<b>90</b>	<b>92</b>	<b>(2)</b>
<b>Public Safety</b>			
Managers/Supervisors	-	-	-
Professional, Technical, Clerical	-	-	-
Operational Hourlies	-	-	-
<b>Total Public Safety</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total Positions</b>			
Managers/Supervisors	863	811	52
Professional, Technical, Clerical	1,161	1,123	38
Operational Hourlies	4,271	4,182	89
<b>Total Positions</b>	<b>6,294</b>	<b>6,116</b>	<b>179</b>

**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 MID YEAR FORECAST VS. ACTUALS**

August 31, 2014

<b>Agency-wide (Non-Reimbursable and Reimbursable)</b>	<b>Mid-Year Forecast</b>	<b>Actual</b>	<b>Favorable (Unfavorable) Variance</b>	<b>Explanation of Variances</b>
<i>Functional Classification:</i>				
Operations (1)	1,809	1,796	13	Reflects vacancies in Operation Services (train operations staff) and Customer Service (custodians).
Maintenance (1)	3,829	3,717	113	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)	567	512	55	Reflects vacancies in Information Technology (computer support analysts, application developers and network analysts).
Engineering / Capital	90	92	(2)	Reflects delayed attrition in Construction Management positions.
<b>Total Agency-wide Headcount</b>	<b>6,294</b>	<b>6,116</b>	<b>179</b>	
Non-Reimbursable	5,641	5,740	(99)	Reflects a transfer of reimbursable Maintenance of Way positions to perform operating work.
Reimbursable	654	376	278	

**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**  
**JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST**  
**MONTHLY PERFORMANCE INDICATORS \***  
**August 2014**

	MONTH			VARIANCE	
	2014	FORECAST	2013	FORECAST	2013
Farebox Operating Ratio					
Standard <sup>(1)</sup>	66.1%	54.3%	60.0%	11.8%	6.1%
Adjusted <sup>(2)</sup>	73.8%	60.7%	66.6%	13.1%	7.2%
Cost per Passenger					
Standard <sup>(1)</sup>	\$12.22	\$14.94	\$12.98	\$2.72	\$0.76
Adjusted <sup>(2)</sup>	\$11.99	\$14.72	\$12.77	\$2.73	\$0.78
Passenger Revenue/Passenger <sup>(4)</sup>	\$8.08	\$8.11	\$7.78	(\$0.03)	\$0.30
	YEAR-TO-DATE			VARIANCE	
	2014	FORECAST	2013	FORECAST	2013
Farebox Operating Ratio					
Standard <sup>(1) (3)</sup>	52.4%	50.0%	61.1%	2.4%	-8.7%
Adjusted <sup>(2) (3)</sup>	58.6%	55.7%	69.7%	2.9%	-11.1%
Cost per Passenger					
Standard <sup>(1) (3)</sup>	\$15.11	\$15.85	\$12.51	\$0.74	(\$2.60)
Adjusted <sup>(2) (3)</sup>	\$14.85	\$15.63	\$12.31	\$0.78	(\$2.54)
Passenger Revenue/Passenger <sup>(4)</sup>	\$7.92	\$7.93	\$7.65	(\$0.01)	\$0.27

(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) For reporting purposes, baseline projections include service and safety investments that were captured below-the-baseline in the 2014 Mid-Year Forecast/July Plan. Baseline projections also include the wage impact of the Commuter Rail Labor - July 17th Agreement with LIRR. Excluding prior period wage accruals adjustment, YTD August performance indicators would be as follows:

	Standard	Adjusted
Fare Operating Ratio	60.1%	67.4%
Cost per Passenger	\$13.19	\$12.92

(4) Includes Bar Car Services.

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



**Metro-North Railroad**

# **Ridership Report October 2014**

# AUGUST 2014 RIDERSHIP REPORT MTA METRO-NORTH RAILROAD

## EXECUTIVE SUMMARY

### August

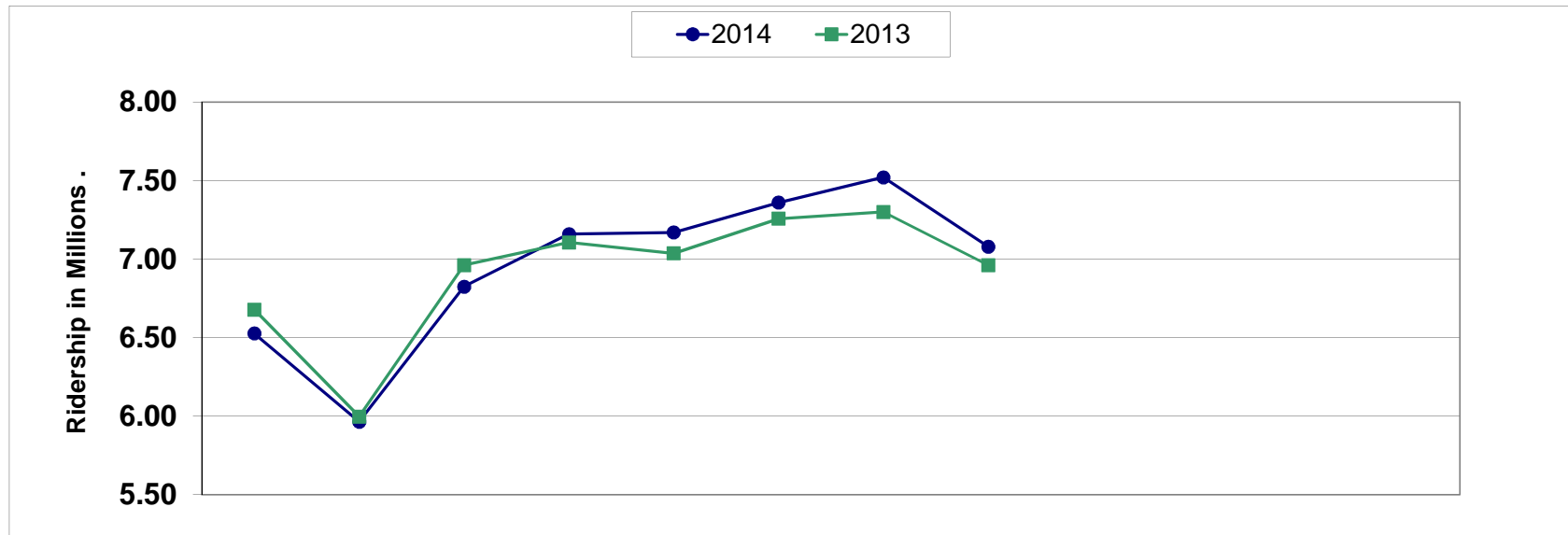
- August 2014 Total MNR System Ridership was 7.123 million vs. 7.005 million in August 2013, an increase of 117,550 passengers (+1.7%).
- August 2014 Total Rail Ridership was 7.079 million vs. 6.961 million in August 2013, an increase of 117,793 passengers (+1.7%).
  - Rail Commutation Ridership was -0.7% vs. 2013
  - Rail Non-commutation Ridership was +4.6% vs. 2013
- August 2014 East of Hudson Ridership was 6.935 million vs. 6.829 million in August 2013, an increase of 106,010 passengers (+1.6%).
- August 2014 West of Hudson Ridership was 0.143 million vs. 0.131 million in August 2013, an increase of 11,783 passengers (+9.0%).
- August 2014 Connecting Services Ridership was 0.044 million vs. 0.044 million in August 2013, a decrease of 243 passengers (-0.6%).
- August 2014 Rail Revenue was \$56.6 million vs. \$54.9 million in August 2013, an increase of \$1,691,417 (+3.1%).

### Year To Date

- 2014 YTD Total MNR System Ridership was 0.5% above 2013 and 0.7% above forecast.
- 2014 YTD Total Rail Ridership was 0.6% above 2013 and 0.7% above forecast.
- 2014 YTD East of Hudson Ridership was 0.4% above 2013 and 0.7% above forecast.
- 2014 YTD West of Hudson ridership was 6.3% above 2013 and 0.6% above forecast.
- 2014 YTD Connecting Services Ridership was 3.4% below 2013 and 6.0% below forecast.
- 2014 YTD Rail Revenue was 3.9% above 2013 and 0.7% above forecast.

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

- August's Total Rail Ridership was 1.7% above 2013 and 1.4% above forecast.

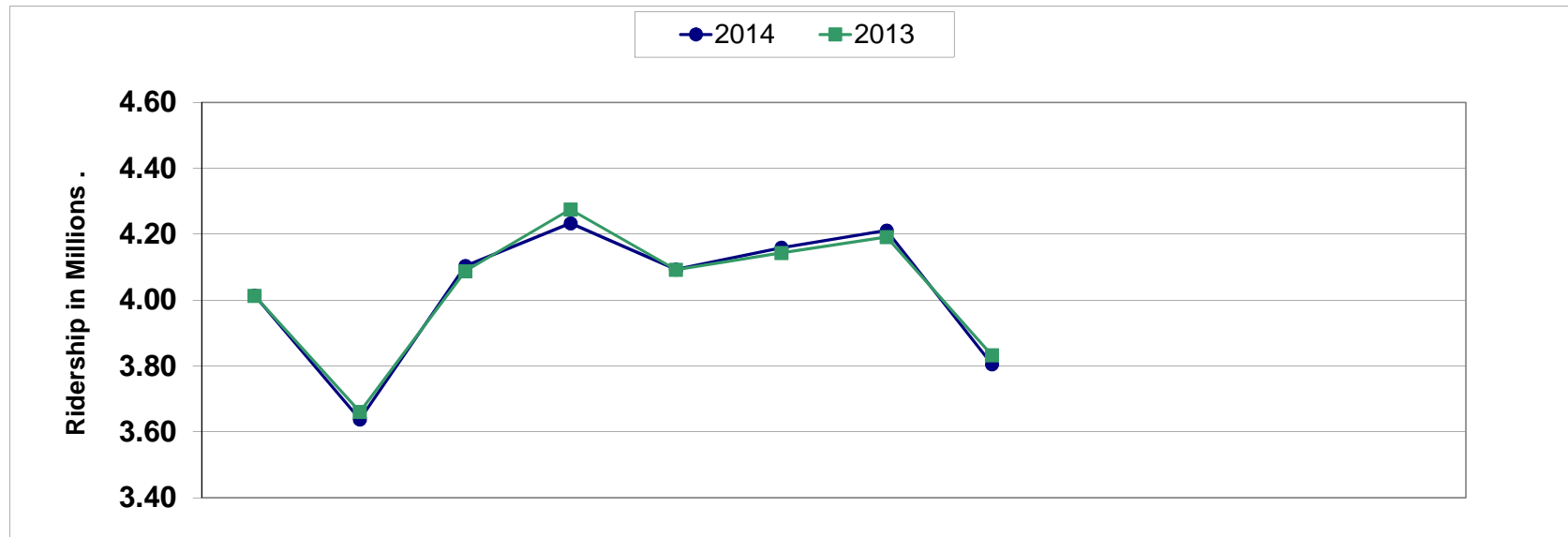


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
<b>2014</b>	6.53	5.96	6.82	7.16	7.17	7.36	7.52	7.08					55.60
<b>2013</b>	6.68	6.00	6.96	7.11	7.04	7.26	7.30	6.96					55.30
<b>PCT CHG.</b>	-2.3%	-0.5%	-2.0%	0.7%	1.9%	1.4%	3.0%	1.7%					0.6%

1) Includes East and West of Hudson.

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

- August's Rail Commutation Ridership was 0.7% below 2013 and 0.9% below forecast.



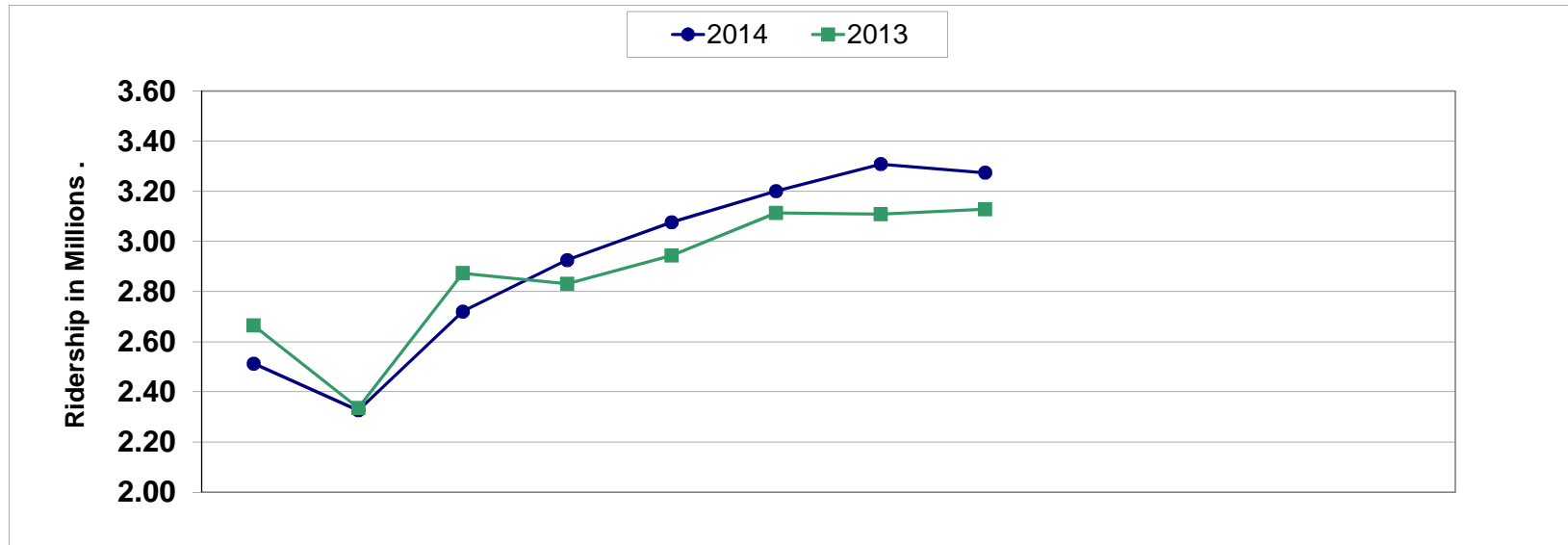
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2014	4.01	3.64	4.10	4.23	4.09	4.16	4.21	3.80					32.26
2013	4.01	3.66	4.09	4.27	4.09	4.14	4.19	3.83					32.29
PCT CHG.	0.0%	-0.6%	0.4%	-1.0%	0.0%	0.4%	0.5%	-0.7%					-0.1%

1) Includes East and West of Hudson.



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

- August's Rail Non-Commutation Ridership was 4.6% above 2013 and 4.2% above forecast.

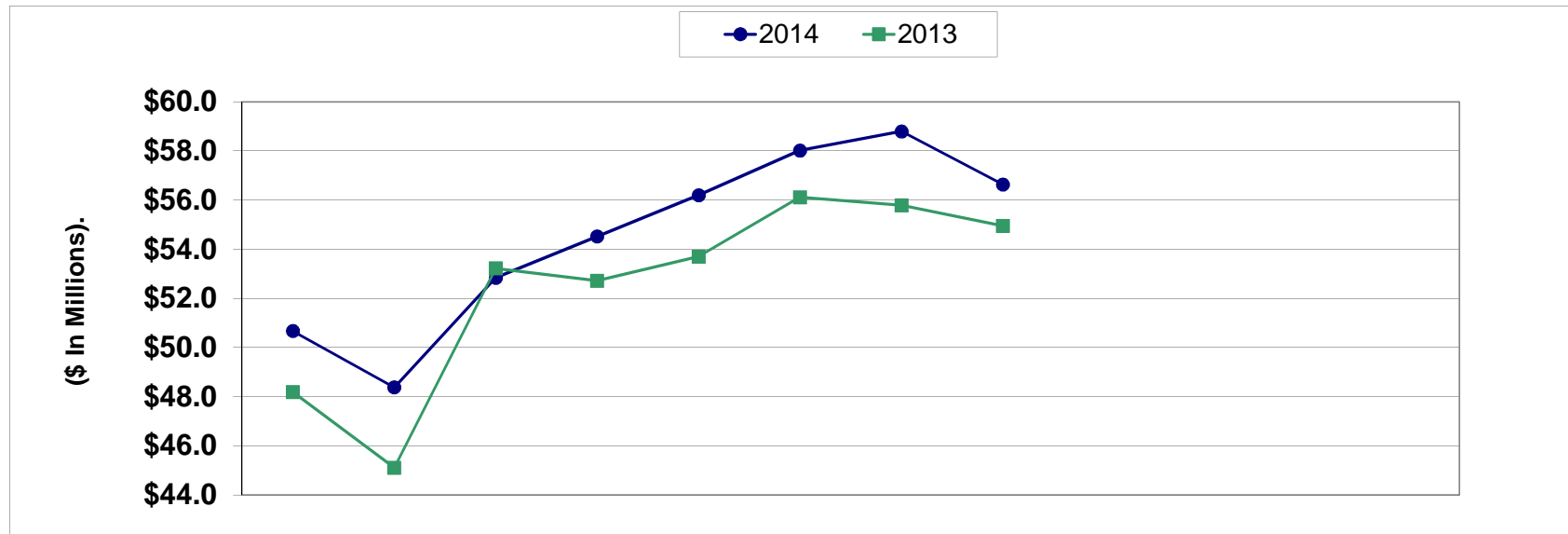


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2014	2.51	2.33	2.72	2.93	3.08	3.20	3.31	3.27					23.35
2013	2.66	2.34	2.87	2.83	2.94	3.11	3.11	3.13					23.00
PCT CHG.	-5.7%	-0.4%	-5.3%	3.3%	4.5%	2.8%	6.4%	4.6%					1.5%

1) Includes East and West of Hudson.

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

- August's Total Rail Revenue was 3.1% above 2013 and 1.0% above forecast.



	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
<b>2014</b>	\$50.7	\$48.4	\$52.8	\$54.5	\$56.2	\$58.0	\$58.8	\$56.6					\$436.1
<b>2013</b>	\$48.2	\$45.1	\$53.2	\$52.7	\$53.7	\$56.1	\$55.8	\$54.9					\$419.8
<b>PCT CHG.</b>	5.1%	7.3%	-0.7%	3.4%	4.7%	3.4%	5.4%	3.1%					3.9%

1) Includes East and West of Hudson.

# MTA METRO-NORTH RAILROAD

## RIDERSHIP SUMMARY

### AUGUST 2014

TICKET TYPE/SERVICE	AUGUST 2014	AUGUST 2013 <sup>(1)</sup>	CHANGE VS. 2013	
			AMOUNT	PERCENT
<b>RAIL COMMUTATION RIDERSHIP</b>				
East of Hudson	3,727,619	3,758,550	(30,931)	-0.8%
West of Hudson	77,290	74,016	3,274	4.4%
<b>Total Rail Commutation Ridership</b>	<b>3,804,909</b>	<b>3,832,566</b>	<b>(27,657)</b>	<b>-0.7%</b>
<b>RAIL NON-COMMUTATION RIDERSHIP</b>				
East of Hudson	3,207,986	3,071,045	136,941	4.5%
West of Hudson	66,040	57,531	8,509	14.8%
<b>Total Rail Non-Commutation Ridership</b>	<b>3,274,026</b>	<b>3,128,576</b>	<b>145,450</b>	<b>4.6%</b>
<b>TOTAL RAIL RIDERSHIP</b>				
East of Hudson	6,935,605	6,829,595	106,010	1.6%
West of Hudson	143,330	131,547	11,783	9.0%
<b>TOTAL RAIL RIDERSHIP</b>	<b>7,078,935</b>	<b>6,961,142</b>	<b>117,793</b>	<b>1.7%</b>
<b>CONNECTING SERVICES RIDERSHIP <sup>(2)</sup></b>	<b>43,604</b>	<b>43,847</b>	<b>(243)</b>	<b>-0.6%</b>
<b>TOTAL MNR SYSTEM RIDERSHIP</b>	<b>7,122,539</b>	<b>7,004,989</b>	<b>117,550</b>	<b>1.7%</b>

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
<b>RAIL COMMUTATION RIDERSHIP</b>				
East of Hudson	31,615,672	31,693,578	(77,906)	-0.2%
West of Hudson	640,359	601,152	39,207	6.5%
<b>Total Rail Commutation Ridership</b>	<b>32,256,031</b>	<b>32,294,730</b>	<b>(38,699)</b>	<b>-0.1%</b>
<b>RAIL NON-COMMUTATION RIDERSHIP</b>				
East of Hudson	22,876,221	22,556,970	319,251	1.4%
West of Hudson	470,132	443,871	26,261	5.9%
<b>Total Rail Non-Commutation Ridership</b>	<b>23,346,353</b>	<b>23,000,841</b>	<b>345,512</b>	<b>1.5%</b>
<b>TOTAL RAIL RIDERSHIP</b>				
East of Hudson	54,491,893	54,250,548	241,345	0.4%
West of Hudson	1,110,491	1,045,023	65,468	6.3%
<b>TOTAL RAIL RIDERSHIP</b>	<b>55,602,384</b>	<b>55,295,571</b>	<b>306,813</b>	<b>0.6%</b>
<b>CONNECTING SERVICES RIDERSHIP (2)</b>	<b>351,577</b>	<b>363,881</b>	<b>(12,304)</b>	<b>-3.4%</b>
<b>TOTAL MNR SYSTEM RIDERSHIP</b>	<b>55,953,961</b>	<b>55,659,452</b>	<b>294,509</b>	<b>0.5%</b>

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 BY LINE  
AUGUST 2014**

LINE	AUGUST 2014 ACTUAL	AUGUST 2014 FORECAST	VARIANCE VS. FORECAST		AUGUST 2013 RESTATE <sup>(1)</sup>	CHANGE FROM 2013	
			AMOUNT	PERCENT		AMOUNT	PERCENT
<b>EAST OF HUDSON</b>							
Harlem Line	2,206,725	2,198,277	8,448	0.4%	2,179,789	26,936	1.2%
Hudson Line	1,381,075	1,356,676	24,399	1.8%	1,340,791	40,284	3.0%
New Haven Line	3,347,805	3,286,884	60,921	1.9%	3,309,015	38,790	1.2%
<b>Total East of Hudson</b>	<b>6,935,605</b>	<b>6,841,837</b>	<b>93,768</b>	<b>1.4%</b>	<b>6,829,595</b>	<b>106,010</b>	<b>1.6%</b>
<b>WEST OF HUDSON</b>							
Port Jervis Line	86,344	89,933	(3,589)	-4.0%	85,851	493	0.6%
Pascack Valley Line	56,986	51,606	5,380	10.4%	45,696	11,290	24.7%
<b>Total West of Hudson</b>	<b>143,330</b>	<b>141,539</b>	<b>1,791</b>	<b>1.3%</b>	<b>131,547</b>	<b>11,783</b>	<b>9.0%</b>
<b>TOTAL RAIL RIDERSHIP</b>	<b>7,078,935</b>	<b>6,983,376</b>	<b>95,559</b>	<b>1.4%</b>	<b>6,961,142</b>	<b>117,793</b>	<b>1.7%</b>
<b>CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS</b>							
Hudson Rail Link	27,348	28,636	(1,288)	-4.5%	27,721	(373)	-1.3%
Haverstraw-Ossining Ferry	10,042	10,276	(234)	-2.3%	10,114	(72)	-0.7%
Newburgh-Beacon Ferry	6,214	6,012	202	3.4%	6,012	202	3.4%
<b>Total Connecting Services</b>	<b>43,604</b>	<b>44,924</b>	<b>(1,320)</b>	<b>-2.9%</b>	<b>43,847</b>	<b>(243)</b>	<b>-0.6%</b>
<b>TOTAL MNR SYSTEM</b>	<b>7,122,539</b>	<b>7,028,300</b>	<b>94,239</b>	<b>1.3%</b>	<b>7,004,989</b>	<b>117,550</b>	<b>1.7%</b>

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 FORECAST	VARIANCE VS. FORECAST		2013 YTD RESTATE <sup>(1)</sup>	CHANGE FROM 2013	
			AMOUNT	PERCENT		AMOUNT	PERCENT
<b>EAST OF HUDSON</b>							
Harlem Line	17,826,342	17,777,127	49,215	0.3%	17,792,488	33,854	0.2%
Hudson Line	10,677,066	10,545,401	131,665	1.2%	10,525,590	151,476	1.4%
New Haven Line	25,988,485	25,776,624	211,861	0.8%	25,932,470	56,015	0.2%
<b>Total East of Hudson</b>	<b>54,491,893</b>	<b>54,099,152</b>	<b>392,741</b>	<b>0.7%</b>	<b>54,250,548</b>	<b>241,345</b>	<b>0.4%</b>
<b>WEST OF HUDSON</b>							
Port Jervis Line	672,508	675,070	(2,562)	-0.4%	653,922	18,586	2.8%
Pascack Valley Line	437,983	428,288	9,695	2.3%	391,101	46,882	12.0%
<b>Total West of Hudson</b>	<b>1,110,491</b>	<b>1,103,358</b>	<b>7,133</b>	<b>0.6%</b>	<b>1,045,023</b>	<b>65,468</b>	<b>6.3%</b>
<b>TOTAL RAIL RIDERSHIP</b>	<b>55,602,384</b>	<b>55,202,510</b>	<b>399,874</b>	<b>0.7%</b>	<b>55,295,571</b>	<b>306,813</b>	<b>0.6%</b>
<b>CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS</b>							
Hudson Rail Link	241,768	244,351	(2,583)	-1.1%	235,549	6,219	2.6%
Haverstraw-Ossining Ferry	71,804	86,097	(14,293)	-16.6%	84,741	(12,937)	-15.3%
Newburgh-Beacon Ferry	38,005	43,591	(5,586)	-12.8%	43,591	(5,586)	-12.8%
<b>Total Connecting Services</b>	<b>351,577</b>	<b>374,039</b>	<b>(22,462)</b>	<b>-6.0%</b>	<b>363,881</b>	<b>(12,304)</b>	<b>-3.4%</b>
<b>TOTAL MNR SYSTEM</b>	<b>55,953,961</b>	<b>55,576,549</b>	<b>377,412</b>	<b>0.7%</b>	<b>55,659,452</b>	<b>294,509</b>	<b>0.5%</b>

Notes:

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



**Metro-North Railroad**

# **Capital Program Report**

## **October 2014**

## **CAPITAL PROGRAM**

### **HIGHLIGHTS**

**October 27, 2014**

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

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

Construction of masonry walls for the new utility building and first floor rooms are complete. The temporary emergency generators were tested and connected to the building loads. Switchover of utilities for the new utility building continues. New curbs and sidewalks around the “kiss and ride” area on Haarlem Avenue are complete.

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

Final Condition Assessment report has been received. Development of a report listing recommended facility improvements continues.

##### **Fordham Station Improvements**

At the inbound platform: – ADA Ramp and installation of permanent conduit have been completed. Temporary systems and switchover for installing the new canopy have been completed and the new canopy installation has commenced. At the outbound platform the following work continues: driving helical piles, installation of temporary electrical systems, demolition and removal of the retaining wall, concrete pedestals placement, and site survey as required.

##### **Harlem Line Station Renewal for Select Components**

Phase I Stations (Botanical Gardens, Williams Bridge, and Woodlawn): Design is being advanced to the 95% level. Construction of Phase I Stations is deferred to January 2016; until after the completion of CP109. Phase II stations (Mount Vernon West, Fleetwood, Bronxville, and Tuckahoe): 30% design documents are under review by MNR stakeholders.

#### ***POWER***

##### **Power & Communication & Signals Infrastructure Restoration Phase I & II – Sandy**

Preliminary Design for Phase I and Phase II was completed in September 2014. The procurement process to acquire a design-build team to perform the required infrastructure restoration services is underway.

##### **Power Infrastructure Restoration – Substations – Sandy**

Construction contract bid opening is scheduled for mid-October of 2014.

##### **Harlem & Hudson Lines Power Improvements**

- *Construction of 86<sup>th</sup> and 110<sup>th</sup> street substations* - Submittal process and site coordination are underway. Limited demolition/abatement has begun at the 86<sup>th</sup> street site.
- *Brewster Substation* – The substation design has been integrated with the three “Sandy” Substations and is complete. Construction contract bid opening is scheduled for mid-October 2014.



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

Fabrication of the long lead equipment including New Rochelle's switchgear continues. Commissioning for Pelham balancing substation is anticipated to commence first quarter of 2015. Construction review of activities at Pelham, New Rochelle and Signal station S-14 continues on new vendor submittals, equipment procurement and design coordination. Excavation and installation of foundations for autotransformers are on-going.

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

Project coordination meetings, submittals, and procurement of long lead items are ongoing. Environmental remediation and installation of temporary platforms for bridge access around the tracks continue. Navigation outage to marine vessels at HRLB, granted by United States Coast Guard, took effect on September 15, 2014 and will extend until March 15, 2015. Commenced with removal of wire rope cables and old electrical equipment. Factory acceptance test of various components has been completed.

## ***TRACK AND STRUCTURES***

### **2013 Cyclical Track Program**

*Tie work:* Tie installation and surfacing continue on the New Haven Line between Port Chester and New Rochelle.

*Track work:* Surfacing on the Harlem and Hudson lines for various locations will continue.

### **Rehabilitate Woodbury Viaduct**

Lead abatement activities and installation of a new railing on the south side of the east abutment have been completed. Punchlist is underway.

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

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

*HU 3.41 over 110th Street:* Repairs will commence in the fall of 2014.

*Design of 5 Undergrade Bridges* – MNR submitted comments on the 90% design of the HA61.06 and HA 61.36 (Patterson, NY). 100% design of HA14.57 (Bronxville, NY) is under review.

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

Repairs to seven (7) undergrade bridges on the Port Jervis Line – Contract was awarded on September 5, 2014 for the rehabilitation of JS51.00 culvert at Highland Mills. Mobilization and preliminary technical submissions commenced.

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

Replacement of Bridge Street Bridge in Poughkeepsie - Water main installation has been completed, punchlist is underway.

## **SHOPS AND YARDS**

### **Harmon Shop Improvements**

- *Phase V, Preliminary Design (Consist Shop)* – Bid support and evaluation continue for the Phase V Stage I Design-Build and the option for the construction of the new stand-alone Wheel Shop.
- *Phase V, Stage I Design-Build* – The selection process to acquire a design-builder continues.

### **Employee Welfare & Storage Facilities**

The roof replacement on the lower roofs of the Maintenance of Way building is on-going: Roof #1 is 98% complete. The replacement on roofs #2, 3, 4, 5, 6 & 7 are 100% complete.

## **GRAND CENTRAL TERMINAL**

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

Bids were received for construction services for the next phase of the Train Shed Repairs project and the low bidder is under evaluation.

### **GCT Elevator Rehabilitation Phase 4**

Bids were received and the lowest bidder was identified to rehabilitate SE1 and SE2 elevators, (which serve the lower and upper levels and Depew Place loading dock) and the A-car elevator (which serves the M-42 substation). Award is anticipated by mid-October.

### **GCT Utilities**

*Domestic Water System* - Continuing with the installation of the domestic water suction tank at 49th Street.

*Fire Suppression Design* –90% fire suppression design package review continues.

### **GCT Leaks Remediation**

Excavation of the existing asphalt, concrete slab, and waterproofing within the work area on Vanderbilt Avenue between 43<sup>th</sup> and 45<sup>th</sup> Streets continues. Demolition of the bottom of the deck beam under the north bound lanes of the 200 Park Avenue loading dock also continues.

## **ROLLING STOCK**

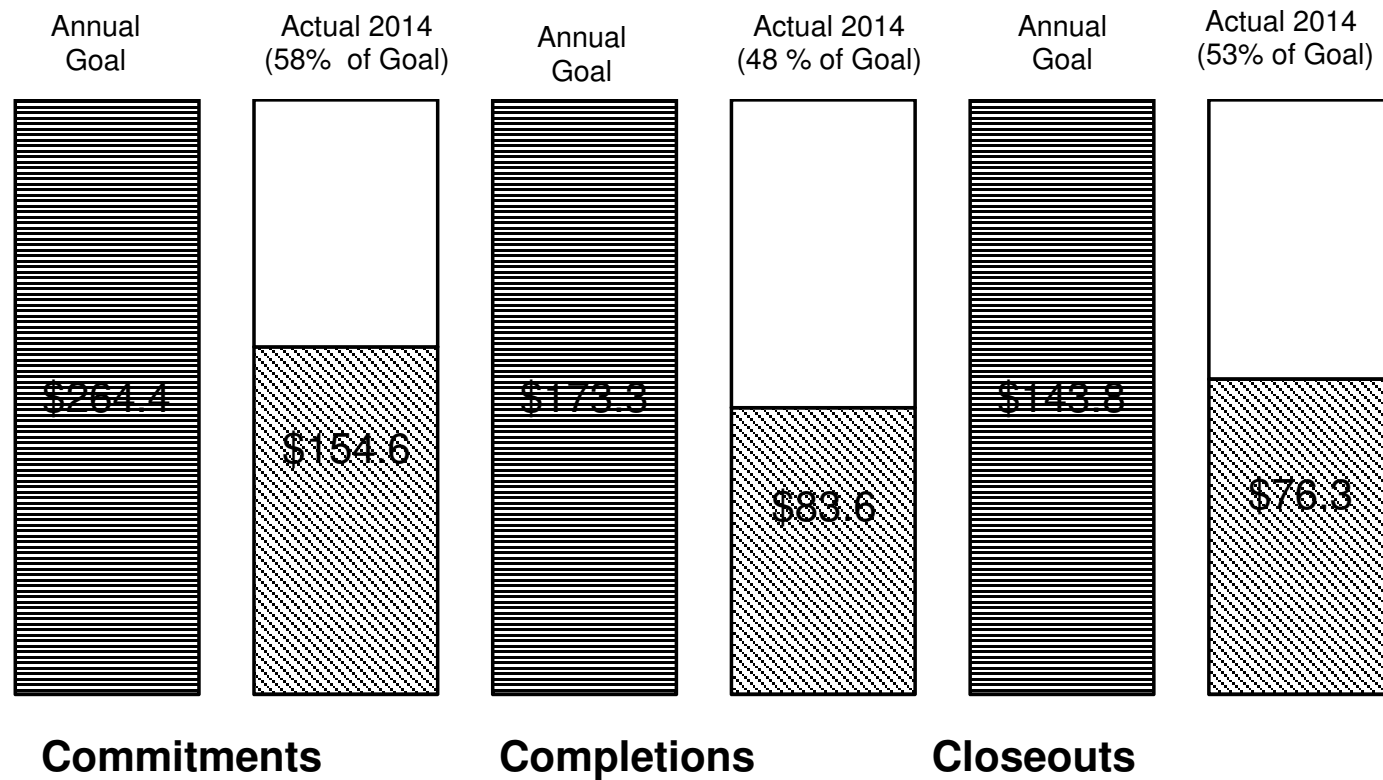
### **M-8 Car Program**

As of September 30, 2014, 374 cars have been conditionally accepted and placed into revenue service.

# 2014 MNR Capital Program Goals

As of September 30, 2014

In Millions



■ 2014 Goals

▨ Actual as of September 30, 2014

□ Forecast : September 30, 2014