



**Metropolitan Transportation Authority**

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

## **November 2014**

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### **Members**

**M. Pally, Chair, Long Island Committee**

**J. Sedore, Chair, Metro-North Committee**

**J. Ballan**

**R. Bickford**

**N. Brown**

**F. Ferrer, MTA Vice Chairman**

**I. Greenberg**

**J. Kay**

**S. Metzger**

**C. Moerdler**

**J. Molloy**

**A. Saul**

**V. Tessitore, Jr.**

**C. Wortendyke**

**N. Zuckerman**

# Joint Metro-North/Long Island Committees Meeting

347 Madison Avenue - 5th Floor Board Room

New York, New York

Monday, 11/17/2014

8:30 - 10:30 AM ET

## 1. Public Comments Period

## 2. Approval of Minutes - October 27, 2014

### a. MNR Minutes

*MNR Minutes of October 27, 2014 - Page 5*

### b. LIRR Minutes

*LIRR Minutes of Oct. 27, 2014 Meeting - Page 11*

## 3. 2014 Work Plans

### a. MNR 2014 Work Plan

*2014 MNR Work Plan - Page 18*

### b. LIRR 2014 Work Plan

*LIRR 2014 WORK PLAN - Page 24*

## 4. AGENCY PRESIDENTS'/CHIEF'S REPORTS

### a. MNR Report

- **MNR Safety Report**

*MNR Safety Report - November 2014 - Page 27*

- **Enhanced Safety Action Update**

*Enhanced Safety Action Update - Page 29*

### b. LIRR Report (no material)

### c. MTA Capital Construction Report

*MTA CC Report - Page 30*

### d. MTA Police Report

*MTA Police Report - Page 36*

## 5. AGENCY INFORMATION ITEMS

### a. MNR Information Items

- **2015 Preliminary Budget (Public Comment - No Materials)**

- **Review of Committee Charter**

*MNR Committee Charter - Page 41*

- **Customer Satisfaction Survey**

*2014 MNR Customer Satisfaction Survey Report - Page 44*

- **Diversity/EEO Report - 3rd Q 2014**

*MNR Diversity-EEO Report - 3rd Q 2014 - Page 80*

- **Elevator & Escalator Service Report - 3rd Q 2014**  
*MNR Escalator-Elevator Service Report 3rd Q 2014 - Page 88*

## **b. LIRR Information Items**

- **2015 Preliminary Budget (Public Comment - No Materials)**
- **Review of Committee Charter**  
*LIRR Committee Charter - Page 97*
- **Customer Satisfaction Survey**  
*2014 LIRR Customer Satisfaction Survey - Page 101*
- **Diversity/EEO Report - 3rd Q 2014**  
*LIRR Diversity/EEO Report - 3rd Q 2014 - Page 122*
- **Elevator & Escalator Service Report - 3rd Q 2014**  
*LIRR Elevator & Escalator Service Report 3Q 2014 - Page 129*
- **2014 LIRR Holiday Schedule**  
*LIRR 2014 Holiday Schedule - Page 136*

## **6. ACTION ITEM**

- a. MNR - New Haven Line Connecticut Fare Increase**  
*MNR - New Haven Line Connecticut Fare Increase - Page 138*

## **7. PROCUREMENTS**

*November Procurements - Page 156*

### **a. MNR Procurements**

*MNR Procurements - Page 160*

- **Non-Competitive**  
*MNR Non Competitive Procurements - Page 163*
- **Competitive**  
*MNR Competitive Procurements - Page 166*
- **Ratifications (None)**

### **b. LIRR Procurements**

*LIRR November Procurements - Page 179*

- **Non-Competitive**  
*LIRR Non-Competitive Procurements - Page 182*
- **Competitive**  
*LIRR Competitive Procurements - Page 184*
- **Ratifications (No Items)**

### **c. MTA CC Procurements (No Items)**

## **8. AGENCY REPORTS ON OPERATIONS, FINANCE, RIDERSHIP AND CAPITAL PROGRAM**

### **a. MNR**

- **Operations**  
*MNR Operations Report - November 2014 - Page 186*

- **Finance**

*MNR Finance Report - November 2014 - Page 201*

- **Ridership**

*MNR Ridership Report - November 2014 - Page 221*

- **Capital Program**

*MNR Capital Program Report - November 2014 - Page 231*

**b. LIRR**

- **Operations**

*LIRR Operations Report - Page 235*

- **Enhanced Safety Action Update**

*LIRR Enhanced Safety Action Update - Page 247*

- **Finance and Ridership**

*LIRR Finance and Ridership Report - Page 248*

- **Capital Program**

*LIRR Capital Program Report - Page 269*

Date of Next Meeting: Monday, December 15, 2014

Metro-North Railroad Committee at 8:30 am

Long Island Rail Road Committee at 9:30 am

Minutes of the Regular Meeting  
Metro-North Committee  
Monday, October 27, 2014

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

8:30 a.m.

The following members were present:

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

Not Present:

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

Also Present:

Joseph J. Giulietti – President, Metro-North Railroad  
Donna Evans – Chief of Staff  
Ralph Agritelley– Vice President, Labor Relations  
Katherine Betries-Kendall, Vice President Human Resources  
Michael R. Coan – Chief, MTA Police Department  
Susan J. Doering – Vice President, Customer Service and Stations  
Randall Fleischer – Vice President, GCT and Corporate Development  
James B. Henly – Vice President and General Counsel  
John Kesich– Senior Vice President Operations  
Anne Kirsch – Chief Safety Officer  
Timothy McCarthy – Vice President, Capital Programs  
Robert Rodriguez – Director, Diversity and EEO  
Joseph Pavone – Director, Budget  
Michael Shiffer – Vice President – Operations Planning

Chairman Sedore called the meeting of the Metro-North Committee to order.

Two public speakers addressed the Committee. Susan Mutti, Trustee, Village of Pelham commented on noise issues and the condition of the railroad bridge located in the village. Murray Bodin expressed his opinion regarding regulatory requirements governing horn blowing by trains approaching stations that have a public address system. 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.

Upon motion duly made and seconded, the Committee approved the minutes of the September 22, 2014 Committee meeting. There were no changes to the 2014 work plan.

## **PRESIDENT'S REPORT**

President Giulietti noted that he will be presenting a progress report at the Safety Committee meeting to be held this day regarding the safety reforms being implemented by Metro-North to better ensure customer and employee safety.

President Giulietti presented David Tooley, a Drawbridge Electrician in Metro-North's Power Department at Bridgeport, with a certificate in honor of his bravery and heroism for saving 11 people from a two-story, faith-based residential home for females recovering from addiction that was engulfed in flame.

President Giulietti discussed the new timetables that will go into effect on November 9. He noted that the schedule adjustments, ranging from changes in train times of one to five minutes, will improve reliability. Reverse peak trains that arrive in Grand Central Terminal between 5 p.m. and 7 p.m. will have an additional one to two minutes running time between Harlem-125th Street and Grand Central Terminal. In conjunction with the Connecticut Department of Transportation (CDOT), as the final round of the 2012 Service Investments Program, Metro-North will be adding weekday off-peak and weekend half-hourly service between New Haven and Grand Central Terminal. On weekends, later evening service will begin on the Waterbury Branch. Two weekday mid-day Danbury-South Norwalk shuttles that were temporarily discontinued last winter while grade crossing work was being done will return to service.

President Giulietti provided an update on funding for the design and replacement of the WALK Bridge, noting that the project will be fully funded with 34 percent of the funds coming from the State of Connecticut and 66 percent of the funds coming from the Federal Transit Administration. He reported that Governor Malloy outlined the state's aggressive schedule for the project using an "alternative delivery" process, specifically the Construction Manager/General Contractor (CMGC) process. CDOT will issue a request for qualifications (RFQ) to start contractor selection and expects the design for the replacement bridge to be complete by 2016. With a contract bid package complete by late 2016, construction of the replacement bridge could begin in 2017 with a projected completion date in 2020. The combination of the additional funding and the alternative project delivery method is anticipated to result in getting this project done many years ahead of the original schedule.

President Giulietti reported that customers traveling on the Wassaic and Danbury Branches can now purchase tickets onboard their trains with a credit card as part of a limited pilot program to test new Ticket Issuing Machines (TIMs). Tickets may be purchased with any major credit card or a debit card used as a credit card. Conductors will also be able to print out customer receipts from their upgraded TIMs. The new customer convenience is being tested on these branch lines before being expanded to all lines.

President Giulietti also reported that, as part of the New York State's effort to promote New York's agricultural economy, a Taste New York store opened in Grand Central Terminal on October 13. This is the first store of its kind in a rail station in New York State and carries Taste NY products, including candy, dairy products, spirits, wines, craft beers, sauces, maple syrups and snack foods. The store occupies 460 square feet of space on the west side of the Terminal, adjacent to the Biltmore Room across from Track 37. Metro-North assisted the MTA and New York State with this effort and is a proud participant in the Governor's Taste NY initiative. Metro-North's Grand Central Terminal trackside commissary carts also have been selling New York State locally produced beer, wine, liquor and snacks. This offering has been well received by our customers and successful in terms of sales.

President Giulietti commented on a New York Post article regarding a conductor who opened the train doors off of the platform. President Giulietti noted that there were three incidents subject to investigation and, where investigation warrants, crews involved are going through the disciplinary process.

President Giulietti noted that work was done to stabilize a rocky slope on the Pt. Jervis Line. Mr. McCarthy, Vice President – Capital Programs, provided a description of the work that was done. He noted that the work is being performed over several weekends and will be completed this coming weekend.

Further details concerning President Giulietti's report are contained in the video recording of the meeting produced by the MTA and maintained in the MTA records, which recording includes discussions between Committee members and President Giulietti.

## **SAFETY REPORT**

Ms. Kirsch gave the safety report on injuries through August 2014. She gave an overview of Metro-North's enhanced safety actions. She reported that over the past several months there has been an increase in certain types of employee injuries. Safety is working with the departments that have seen an increase in injuries to address the causes of these injuries. Metro-North continues to hold quarterly Safety Standdowns; the last Standdown was held on September 30, 2014. The C3RS program is progressing, with Metro-North currently working with the Teamsters to develop a memorandum of understanding. Metro-North is working with the NTSB to install permanent speed restriction signs. 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 in September 2014 there was a decrease in the total number of major felonies and a decrease in robberies. There was an increase in grand larcenies, mainly involving unattended property; one involving a cell phone resulted in an arrest.

Chairman Sedore commented on a visit he and the Dutchess County Executive made to the K-9 facility in Dutchess County. He stated that the facility is a very impressive, state of the art facility. Chief Coan noted that the facility will be used to train MTA Police Department dogs, as well as, dogs from other agencies. He noted that four New York Police Department dogs have been trained at the facility. Mr. McCarthy noted that the facility is nearing completion and should be completed in two to three months.

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 and Mr. McCarthy relating to police matters.

### **INFORMATION ITEMS:**

One informational item was reported to the Committee:

- 2015 Preliminary Operating Budget – President Giulietti noted that the preliminary budget was presented at the July MTA Board meeting and is available on the website. The item appears on the Committee agenda to provide an opportunity for public comment.

### **PROCUREMENTS:**

Three competitive procurements were presented to the Committee:

- Two competitively solicited, five-year, miscellaneous service contracts, one with Miller Environmental Group, Inc. to perform system-wide environmental remediation services in the State of New York, and one with System Wide Environmental Remediation Services to perform system-wide environmental remediation services in the State of Connecticut.
- A competitively solicited, three-year, miscellaneous service contract with Tri-Lift, Inc. for the preventative and remedial maintenance of material handling equipment.

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.

## **OPERATIONS REPORT:**

Mr. Kesich gave the report through the month of September 2014. A discussion was held regarding the year-to-date increase in late trains. It was noted that necessary infrastructure maintenance was a major cause of the delays. Extreme weather conditions in January and February 2014 and police incidents also contributed to the delays. In addition, following Executive Order 29, more realistic schedules were instituted to account for the exhaustive maintenance required to bring the system back to a state of good repair.

The details of Mr. Kesich's report are contained in the Operations Report 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.

## **FINANCIAL REPORT:**

Mr. Pavone reported that year-to-date August 2014 financial results were 5.2% better than the financial plan. Farebox revenue was higher than the mid-year forecast due to higher non-commutation ridership.

The details of Mr. Pavone's report are contained in the financial 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.

## **RIDERSHIP REPORT:**

Mr. Shiffer reported that total rail ridership in the month of September 2014 was 1.1% higher than forecast and 3.5% higher than in the comparable period of 2013. President Giulietti noted that the ridership trends support the need to obtain additional rail cars.

The details of Mr. Shiffer's report are contained in the ridership 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.

## **CAPITAL PROGRAM REPORT:**

Mr. McCarthy presented the highlights of the capital program. The details of that report are contained in the October 2014 Capital Program Report filed with the records of the meeting and in the video recording of the meeting produced by the MTA and maintained in the MTA records.

**ADJOURNMENT:**

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

Respectfully submitted,

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

Linda Montanino  
Assistant Secretary

October 2014 Committee Minutes  
Legal/Corporate/Committee Minutes Current

**Minutes of the Regular Meeting**  
**Meeting of the Long Island Committee**  
Monday, October 27, 2014  
Meeting held at  
347 Madison Avenue  
New York, New York 10017  
9:30 a.m.

**The following members were present:**

Hon. Mitchell H. Pally, Chairman of the Committee  
Hon. Jonathan A. Ballan  
Hon. Ira R. Greenberg  
Hon. Fernando Ferrer  
Hon. Charles G. Moerdler  
Hon. John J. Molloy  
Hon. James Sedore  
Hon. Vincent Tessitore, Jr.  
Hon. Carl V. Wortendyke

**The following member was not present:**

Hon. Jeffrey Kay

**Representing Long Island Rail Road:** Patrick A. Nowakowski, Daniel Cleary, Loretta Ebbighausen, Robert Free, Mark Young

**Representing MTA Capital Construction Company:** Anthony D'Amico, William Goodrich, David Cannon

**Representing MTA Police:** Michael Coan

Also attending: Hon. Robert Bickford, Hon. Neal Zuckerman

Chairman Pally called the meeting of the Long Island Committee to order.

There was one public speaker. Murray Bodin spoke about positive change at the MTA.

Upon motion duly made and seconded, the minutes of the September 22, 2014 Committee meeting were approved. Board Members Ballan and Ferrer were not present for this vote. There were no changes to the Work Plan.

**MTA LONG ISLAND RAIL ROAD**

LIRR President Patrick A. Nowakowski reported on continued growth in ridership. In September 2014, ridership increased by 5 % as compared to the same month in 2013. The LIRR's

ridership for the first nine months of 2014 is 3% above the same period last year. President Nowakowski said that LIRR continues to see excellent growth in ridership for 2014.

President Nowakowski reported on the completion of two projects on the Port Washington Branch. The first was at the Port Washington Station, where LIRR worked closely with the community to erect a temporary “bailey” pedestrian bridge to replace a structure that was taken out of service due to its deteriorated structural condition. The work was completed during the weekend of October 18-19. The second project was the completion of the rehabilitation of the station platform at the Great Neck Station, which was accomplished in two phases so that the entire platform was never out of service at one time.

President Nowakowski then discussed LIRR’s new public safety media campaign which emphasizes trespasser safety on our Right-of-Way. He said that the campaign (“Don’t Shortcut Your Life”) received favorable coverage in *Newsday* and has been well received by the general public. President Nowakowski discussed the updated version of LIRR’s popular “Train Time” mobile app, which features improvements that make it even easier for LIRR customers to obtain the most up-to-date train information available. The customer-friendly app can be downloaded from the Apple Store and the Google Play Store.

President Nowakowski said that on November 17, 2014, the LIRR new timetables and new schedules will go into effect.

### **MTA CAPITAL CONSTRUCTION**

William Goodrich, Executive Vice President and Senior Program Executive for the East Side Access Project reported on the project’s status.

The Manhattan South Structures (CM005) contract is progressing well. The Contractor is scheduled to achieve Milestone No. 3 (the north half of the West Cavern) by the end of October and overall the Contract is on schedule. The 55<sup>th</sup> Street Vent Plant Facility (CM013A) reached its first Milestone at the end of September with the completion of the Lower Fan Room and the Facility & Traction Power Station. The Lower Fan Room is ready to be turned over to the Systems Package 1 (CS179) contractor and not the CM006 contractor as mistakenly noted in the Board Book. Overall, the Vent Plant Facility is approximately 60% complete and substantial completion is expected in the spring of 2015. Also in Manhattan, the remaining civil structures contract, the Manhattan Cavern Structures & Facilities Fit-Out Contract (CM007) is expected to be advertised in November.

In Queens, the Harold Structures (CH053) contractor is commissioning the new 12kv feeder system. This work, which was originally scheduled to be performed by Amtrak, is expected to be completed by the end of the year.

On September 27, 2014, MTA Capital Construction participated in a ceremony at the new 50<sup>th</sup> Street Commons Pocket Park. Congresswoman Carolyn Maloney presented a symbolic check from the Federal Government to the MTA in the amount of \$203,000,000.

Board Member Ira Greenberg asked whether Systems Package 4: Traction Power (CS084) would be awarded this month. David Cannon responded that CS084 would be awarded by the end of the week.

### **MTA POLICE DEPARTMENT**

Chief Coan reported for the month of September there were 14 incidents compared to 13 in September 2013. There were two robberies, one in Lindenhurst and one in Ronkonkoma. Year-to-date there were 23 robberies with 12 arrests. The MTA Police Department (“MTAPD”) is actively pursuing all open cases.

In response to Board Member Charles G. Moerdler’s question about the significant increase in robberies, Chief Coan said that there is no apparent reason for this increase. He identified a pattern in Wyandanch, which had seven incidents; there have been four arrests so far. Chief Coan stated that a patrol plan is in place to deter future incidents.

Chief Coan then responded to Board Member Jonathan A. Ballan’s question regarding the cooperation with the local authorities concerning lighting and cameras. He said that the MTAPD works closely with Nassau and Suffolk police, the NYPD and the LIRR Office of Security, sharing information in a collaborative effort.

In response to a question from Chairman Pally, Chief Coan said that he did not see any discernable pattern in robberies regarding how long people have to walk to and from their vehicles to the platform. He said that the incidents on LIRR property generally occur on the platform or when the customer is entering or departing from the staircase.

### **MTA LONG ISLAND RAIL ROAD**

#### **Information Items**

There were two LIRR information items:

- 2015 Preliminary Budget (Public Comment – Materials Previously Provided)
- November Track Work Program

President Nowakowski discussed the November Track Work Program, which will impact the Railroad’s service. He said that LIRR will be doing some rail replacement work on the Port Washington Branch at Shea Yard and on the Port Jefferson Branch between Hicksville and Syosset. On the Babylon Branch surfacing work will be performed between Rockville and

Freeport; tie replacement work will be done on the Atlantic Branch in Brooklyn near East New York; and switch repairs will be done on the Far Rockaway Branch at Far Rockaway. He said that LIRR notifies customers when work is performed and when schedule adjustments are made.

### **Action Item**

There was one Action Item:

- LIRR Service Enhancements

LIRR General Counsel Richard Gans presented the Action Item for approval to restore weekend and holiday service on the West Hempstead Branch. Upon motion duly made and seconded, this item was approved for recommendation to the Board.

### **Procurements**

There were five LIRR procurement items, presented by Deputy Chief Procurement Officer Cynthia Carter:

- Approval to award a 60-month, sole source miscellaneous service contract in the not-to-exceed amount of \$210,268.33 to Basin Haulage, Inc., for rubbish removal at the LIRR Bethpage facility.
- Approval to award a sole source miscellaneous service renewal contract to Heidelberg, USA, Inc. for maintenance and repair of print shop equipment, for a term of 24 months, in the not-to-exceed amount of \$60,000.
- Approval to award, pursuant to a competitive Request for Proposal “(RFP)”, a firm fixed price contract to Ansaldo-STS USA, Inc., in the amount of \$1,855,000, to design and build the Signal Hut System for Massapequa Pocket Track.
- Approval to award, pursuant to a competitive RFP, a firm fixed price contract to Railroad Construction Company, Inc., in the amount of \$24,900,000 for the installation of a double-ended pocket track and replacement of the Colonial Road Bridge, and improved drainage beneath the bridge.
- Approval to award a competitively solicited personal services contract to Strategic Planning Partners for a Security Protocol and Document Control Consultant for the West Side Yard Overbuild Project, in the not-to-exceed amount of \$606,662, for a period of two years with two one-year options.

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

## **MTA CAPITAL CONSTRUCTION**

### **Procurements**

Two procurement items were presented to the Committee for approval. Details of the items are set forth below and in the Staff Summaries, copies of which are on file with the record of this meeting.

The procurement items are as follows:

- A Contract modification to CM005 – Manhattan South Structures for the installation of the structural concrete walls in the lower level of the Main GCT Station Caverns for the East Side Access Project. This is a scope and budget transfer in the amount of \$26,700,000.
- Ratification of a modification to CM005 – Manhattan South Structures for the creation of three new unit rate payment items for concrete surface preparation and replenishment of Bid Item No. 5 in the amount of \$2,132,500.

Upon motion duly made and seconded, the above procurement items were approved for recommendation to the Board.

### **LIRR Reports on Operations (including Enhanced Safety Actions Update), Financial and Ridership and the Capital Program**

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

President Nowakowski responded to Board Member Moerdler's concerns regarding standees, particularly at Huntington. He said that LIRR is trying to improve on-time performance at Huntington and is working with the County to try to move forward with a long-term plan addressing capacity.

President Nowakowski addressed Board Member Moerdler's suggestion that LIRR utilize train consists that are longer than platforms and have customers walk through train cars to board. President Nowakowski noted that long consists would block the interlocking in Penn Station and the adjacent track. Chairman Pally commented that in Huntington there is a major new redevelopment planning process taking place. As part of that process, LIRR has asked the Town of Huntington to look at the options relating to expanding the yard at Huntington to allow for additional train storage capacity. LIRR is hopeful that the Town will come up with a short-term plan to alleviate that problem. President Nowakowski also said that in the long term, the County has taken the position that increased capacity on the entire Port Jefferson branch is essential for economic development. The County has taken the lead on trying to make that happen, including the location of a new Yard and other improvements to the Port Jefferson Branch which will affect Huntington service as well. He further stated that there is funding in

the next Capital Plan for this purpose. President Nowakowski then addressed the importance of working with the various towns, villages and communities on Long Island in this regard.

President Nowakowski responded to Board Member Ira R. Greenberg's comment regarding on-time performance, particularly regarding the Babylon PM Peak and the Oyster Bay Branch. He stated that the only way to improve on-time performance is by incrementally examining the performance of each and every train.

President Nowakowski responded to Board Member Moerdler's concerns regarding the Categories of Delay (on p. 54 of the Committee book). He said that LIRR can provide a more detailed description of the delay categories. He also explained the process of reviewing each and every significant service disruption. With respect to growth in the category of "public" delays, President Nowakowski noted events such as the concerts at Forest Hills, which require longer dwell times at stations as well as additional service. He noted that service disruptions due to trespasser incidents are addressed by our new public safety campaign discussed above.

President Nowakowski addressed Board Member Greenberg's concerns regarding the description of the major incidents (on p. 55 of the Committee book). He stated that LIRR analyzes each event, such as broken rails and signal problems, to make sure the Railroad is being maintained in a good state of repair and can recover from delays quickly.

President Nowakowski then discussed his plan to work with LIRR staff on setting goals, with a focus on on-time performance on a branch-by-branch basis.

President Nowakowski then addressed Board Members' concerns regarding safety and reliability. He stated that the LIRR strives to provide reliable service but safety is always paramount.

Loretta Ebbighausen, Chief Safety Officer, reported on LIRR's safety performance. She stated that year-to-date through August, injuries are up 28%. Regarding employee injuries, the LIRR is up 16% from 2013 to 2014. She stated that LIRR is partnering with MTAPD regarding the "Don't Cut Your Life Short" public safety campaign discussed above. Chief Safety Officer Ebbighausen said that through the end of August, the campaign reached over 70,000 children, teens and adults in Nassau, Suffolk and Queens. She also reported on LIRR's enhanced safety action updates. LIRR completed its third quarterly safety stand-down, which reached over 4,200 employees. Chief Safety Officer Ebbighausen also reported that LIRR is working with our labor partners to finalize the Memorandum of Understanding for the Confidential Close Call Reporting System and that the Federal Railroad Administration ("FRA") recently published notice of the required waivers. Installation of alerter software began on the M3 fleet. Regarding speed compliance during the month of September, LIRR observed 78 LIRR engineers and two New York & Atlantic Railway ("NYA") engineers. Work has commenced on LIRR's tangent track for speed compliance and 68 segments are complete. The Positive Train Control ("PTC") Systems Integrator has progressed Conceptual Design and the pilot implementation remains on schedule.

Ms. Ebbighausen then responded to Board Member Neal Zuckerman regarding the summary of employee injuries through August 2015 (on p. 59 of the Committee book) noting that the accurate statistics are contained in the table on that page.

President Nowakowski then addressed Board Member Moerdler's comment at the September Committee meeting regarding working with labor following the potential work stoppage. He reported that LIRR has had meetings with labor in this regard, and that it is moving forward with the Confidential Close Call Reporting System. Chief Safety Officer Ebbighausen reported that the LIRR has meet with Board Member Vincent Tessitore, Jr., to discuss current safety programs and possible future programs.

President Nowakowki responded to Board Member Moerdler's question regarding injury occurrence. He stated that the LIRR reviews that information and tries to address any systemic types of failures. He said he would provide the Committee with information as to the locations where accidents occur.

Mark Young, Vice President, Management & Finance and Chief Financial Officer, reported on ridership and finance. He stated that commutation is up 2-1/2 % year-to-date and there has been significant growth in City Zones, Long Beach and Port Washington. He also reported that LIRR is on budget regarding revenue. Fare box revenue is up 1% and expenses are well below budget year-to-date, although LIRR expects a correction from a reporting perspective next month based on the timing of retroactive wage adjustments.

Board Member Moerdler asked about the feasibility of having someone check each station platform and stairway to see what could be done to reduce customer slip and falls, particularly during the winter season; he also asked about the possibility of having some form of notice requirement which may have an impact on deterring claims.

### **Adjournment**

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

Respectfully submitted,



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Richard L. Gans  
Secretary

## 2014 Metro-North Railroad Committee Work Plan

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| <b>I. <u>RECURRING AGENDA ITEMS</u></b>                          | <u>Responsibility</u>          |
|--|--------------------------------|
| 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  |                                |
| <br>   |                                |
| <b>II. <u>SPECIFIC AGENDA ITEMS</u></b>                          | <u>Responsibility</u>          |
| <br>   |                                |
| <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              |
| <br>   |                                |
| <u>December 2014</u>   |                                |
| 2015 Final Proposed Budget                                       | Finance                        |
| 2015 Proposed Committee Work Plan                                | Committee Chairs & Members     |
| <br>   |                                |
| <u>January 2015</u>  |                                |
| Approval of 2015 Committee Work Plan                             | Committee Chairs & Members     |
| <br>   |                                |
| <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                     |
| <br>   |                                |
| <u>March 2015</u>  |                                |
| 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 |
|---------------------|--------------------------|

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 |

October 2015

|  |                                |
|--|--------------------------------|
| 2016 Preliminary Budget (Public Comment) | Finance                        |
| 2015 Fall Schedule Change                | Operations Planning & Analysis |

# 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

### 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.

### **OCTOBER 2014**

#### 2016 Preliminary Budget

Public comment will be accepted on the 2015 Budget.

#### 2015 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.



## **2014 Long Island Rail Road Committee Work Plan**

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### **I. RECURRING AGENDA ITEMS**

### Responsibility

|                                    |                             |
|------------------------------------|-----------------------------|
| Approval of Minutes                | Committee Chair & Members   |
| 2014 Committee Work Plan           | Committee Chair & Members   |
| Agency President's/Chief's Reports | President/Senior Staff      |
| Information Items (if any)         |                             |
| Action Items (if any)              |                             |
| Procurements                       | Procurement & Logistics     |
| Performance Summaries              | President/Senior Staff      |
| Status of Operations/Safety        | Sr. VP - Operations         |
| Financial/Ridership Report         | VP & CFO                    |
| Capital Program Report             | Dept. of Program Management |

### **II. SPECIFIC AGENDA ITEMS**

### Responsibility

|  |                           |
|--|---------------------------|
| <u>November 2014 (Joint Meeting with MNR)</u>                |                           |
| 2015 Preliminary Budget (Public Comment)                     |                           |
| Review of Committee Charter                                  | Committee Chair & Members |
| Diversity/EEO Report – 3 <sup>rd</sup> Q 2014                | Administration/Diversity  |
| Elevator & Escalator Service Report – 3 <sup>rd</sup> Q 2014 | Customer Services         |
| 2014 Holiday Schedule  | Service Planning          |
| <br><u>December 2014</u>                                     |                           |
| ESA Readiness Update   | President                 |
| 2015 Final Proposed Budget                                   | Management & Budget       |
| 2015 Proposed Committee Work Plan                            | Committee Chair & Members |

# LONG ISLAND RAIL ROAD COMMITTEE WORK PLAN

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## DETAILED SUMMARY

### I. RECURRING AGENDA ITEMS

#### **Approval of Minutes**

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

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

#### **Police Activity Report**

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

#### **Report on Operations/Safety**

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

#### **Monthly Financial & Ridership Report**

A monthly report will be provided that compares the Railroad's actual financial performance against its budget and/or forecast both on an accrual and cash basis. It will also include a comparison of actual monthly ticket sales, ridership and revenues with the budget and prior year results.

#### **Capital Program Progress Report**

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

## II. SPECIFIC AGENDA ITEMS

### **NOVEMBER 2014** (Joint Meeting with MNR)

#### Review Committee Charter

Annual review of LIRR/LI Bus Committee Charter for Committee revision/approval.

#### 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.

#### 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 throughout the system.

#### Holiday Schedule

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

### **DECEMBER 2014**

#### East Side Access (ESA)

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

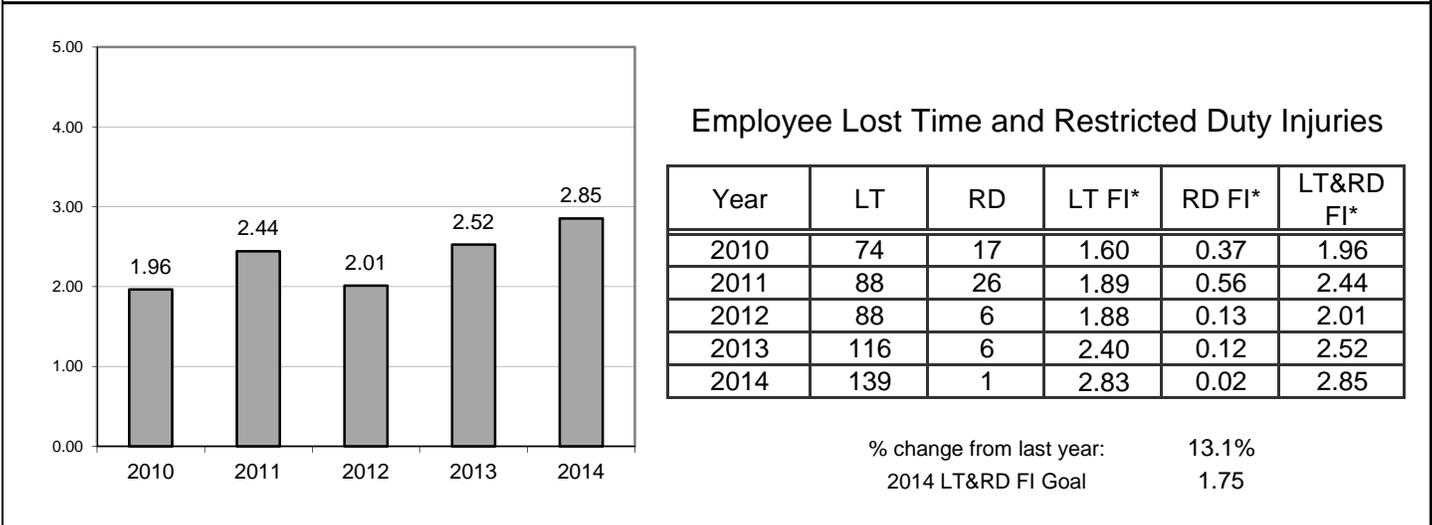
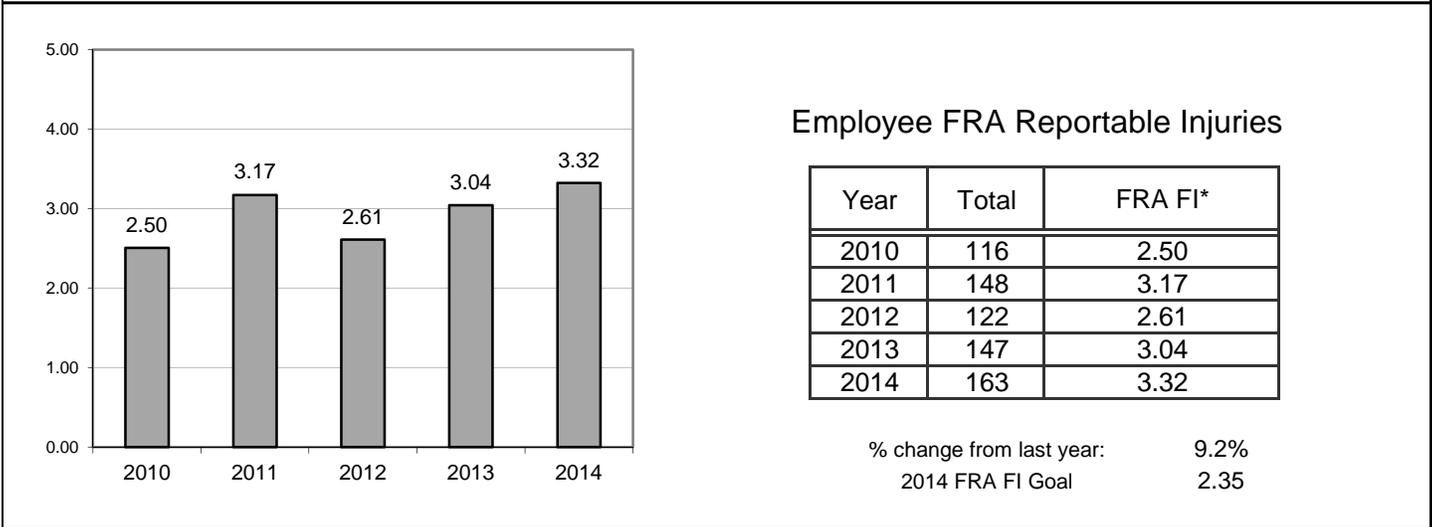
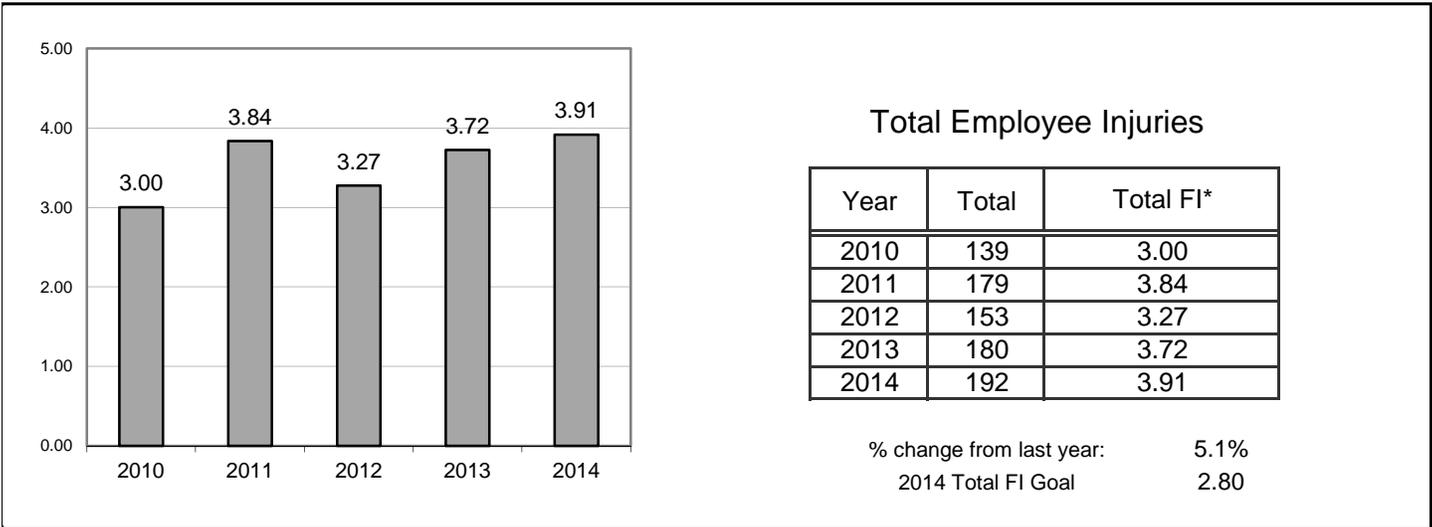
#### 2015 Final Proposed Budget

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

#### Proposed 2015 Committee Work Plan

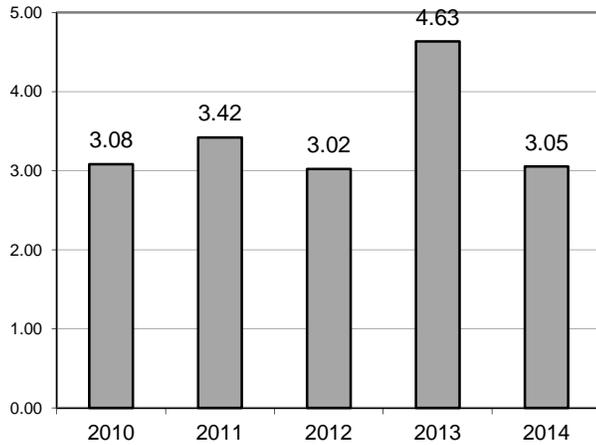
The Committee Chair will present a draft Long Island Rail Road Committee Work Plan for 2015 that will address initiatives to be reported throughout the year.

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



\* - Injuries per 200,000 hours worked

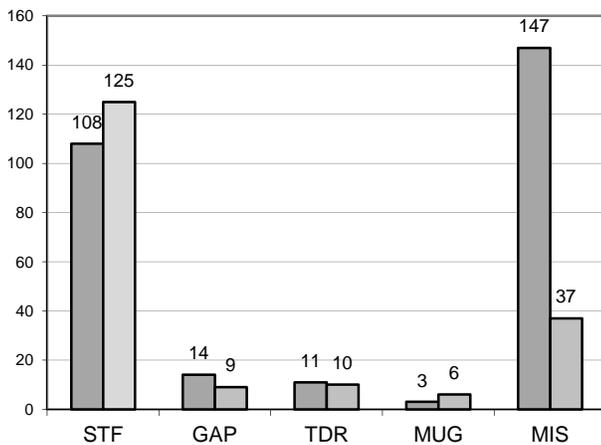
## MTA Metro-North Railroad Summary of Customer/Contractor Injuries thru September



### Total Customer Injuries

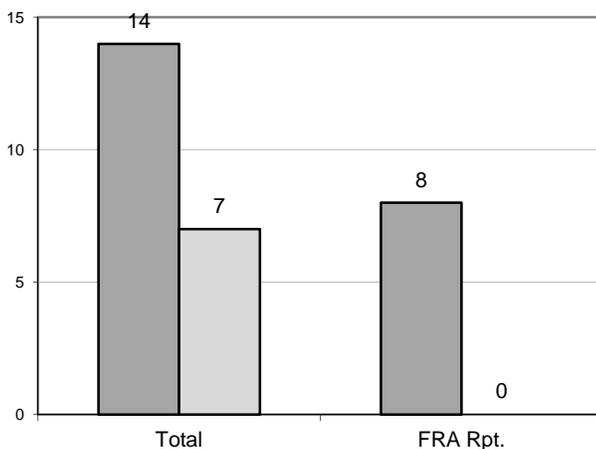
| Year | Total | Total FI* |
|------|-------|-----------|
| 2010 | 181   | 3.08      |
| 2011 | 203   | 3.42      |
| 2012 | 186   | 3.02      |
| 2013 | 283   | 4.63      |
| 2014 | 188   | 3.05      |

% change from last year: -34.1%  
2014 Total FI Goal 2.70



### Top 5 Customer Injuries by Type

| Year | Slip/Trip/Fall | Gap | Train Doors | Mugging | Misc. |
|------|----------------|-----|-------------|---------|-------|
| 2013 | 108            | 14  | 11          | 3       | 147   |
| 2014 | 125            | 9   | 10          | 6       | 37    |



### Contractor Injuries

| Year  | Total  | FRA Rpt. |
|-------|--------|----------|
| 2013  | 14     | 8        |
| 2014  | 7      | 0        |
| % Chg | -50.0% | 0.0%     |

\* - Injuries per 1,000,000 rides

# Memorandum



**Metro-North Railroad**

**Date:** November  
**To:** Metro-North Committee  
**From:** Joseph Giulietti, President   
**Re:** **Enhanced Safety Action Update**

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

- Our third quarter safety 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 on December 11<sup>th</sup>.
- We continue to work with our labor organizations to develop the elements required for implementing the C3RS program. Waiver requests were submitted to the FRA and we are awaiting approval.

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 67% complete. The coach cab car fleet is 29% complete. The M2 fleet is 17% complete. We are still on track 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>• Signs at ten (10) locations are in service along with twenty-five (25) additional locations installed and ready to be placed in service by bulletin order. We are awaiting final acceptance by the NTSB.</li></ul>  |
| <b>Speed Compliance</b>                               | <ul style="list-style-type: none"><li>• For the month of October, 75 compliant radar observations were performed and 160 event recorder Download Reviews with no failures. Observations are up 93% from September.</li></ul>  |
| <b>PTC</b>  | <ul style="list-style-type: none"><li>• The Systems Integrator (SI) is progressing Preliminary Design. Radio Frequency and some PTC design elements are lagging. Additional resources are being obtained by the SI as part of mitigation.</li><li>• Current communications subcontractor/supplier scope is being significantly reduced and will be performed by other vendors. Pilot implementation and improved delivery rates remain on schedule.</li></ul> |

# **MTA CAPITAL CONSTRUCTION**

## **PROJECT UPDATE**

### **EAST SIDE ACCESS**

# MTA CAPITAL CONSTRUCTION PROJECT UPDATE

## East Side Access November 2014

### Project Description

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

### Budget and Estimate at Completion (EAC)

|                           | <u>New Budget</u>       | <u>Current Month<br/>EAC</u> | <u>Expenditures</u>    |
|---------------------------|-------------------------|------------------------------|------------------------|
| Design                    | \$720,615,810           | \$720,615,810                | \$628,511,883          |
| Construction              | \$8,036,910,326         | \$8,036,910,326              | \$3,974,800,748        |
| Project Management        | \$1,036,168,644         | \$1,036,168,644              | \$596,448,334          |
| Real Estate               | \$182,076,230           | \$182,076,230                | \$114,086,255          |
| Rolling Stock*            | \$202,000,000           | \$202,000,000                | \$0                    |
| <b>Total Project Cost</b> | <b>\$10,177,771,010</b> | <b>\$10,177,771,010</b>      | <b>\$5,313,847,220</b> |

\* An additional \$463 million budgeted for ESA rolling stock is included in a reserve.

### Major Milestones and Forecasts

|                            | <u>Original Schedule</u> | <u>New Schedule</u> | <u>Current Month<br/>Schedule</u> |
|----------------------------|--------------------------|---------------------|-----------------------------------|
| Project Design Start       | March 1999               | March 1999          | March 1999                        |
| Project Design Completion  | 4th Q 2008               | November 2014       | July 2015                         |
| Project Construction Start | September 2001           | September 2001      | September 2001                    |
| Revenue Service Date       | 2nd Q 2012               | December 2022       | December 2022                     |

### Current Issues/Highlights

- **Manhattan South Structure (CM005):** Rebar installation and concrete placement continues to progress in Eastbound GCT 1&2, Westbound GCT 1&2, Tail Track 1 and Fan Chambers.
- **Manhattan North Structures (CM006):** Contractor has completed invert concrete for the east side of the 50<sup>th</sup> St and 55<sup>th</sup> structures. Smoothing shotcrete and waterproofing continues to progress in GCT 4 and GCT 5 West Wyes, Crossover and Facility Room.
- **Plaza Substation and Queens Structures (CQ032):** Contractor plans to begin pile driving for the Yard Service Building in November. Installation of the ductbank at the 63<sup>rd</sup> Street tunnel has begun. Backfilling at the 63<sup>rd</sup> Street Tunnel extension (which began on 10/29/2014) continues.
- **Harold Structures (CH053):** Commissioning of the new 12kV feeder system will continue until the end of the year. Contractor is progressing on the utilities for the signal power and G02 substation for LIRR.
- **Harold Structures (CH054A):** Work continues on the installation of the 12kV feeder system until the end of the year. The storm sewer microtunnel is scheduled to be completed in November.

- **Harold Structures-Part 3 (CH057A):** Contractor continues drilling of the soldier piles for the Westbound Bypass. Demolition of the Tower 14 superstructure will begin, allowing for work on the east approach.
- **System Package 4 – Traction Power Procurement and Installation (CS084):** Notice of Award and Notice to Proceed was given to E-J Electrical Installation Company on October 29, 2014. The total bid amount of the contract is \$71,284,884.

# East Side Access Active and Future Construction Contracts

## Report to the Railroad Committee - November 2014

Expenditures thru October 2014; \$s in million

|                    | Budget             | Committed         | Expenditures      |
|--------------------|--------------------|-------------------|-------------------|
| Construction       | \$ 8,036.9         | \$ 5,343.5        | \$ 3,974.8        |
| Design             | \$ 720.6           | \$ 666.0          | \$ 628.5          |
| Project Management | \$ 1,036.2         | \$ 661.5          | \$ 596.4          |
| Real Estate        | \$ 182.1           | \$ 116.5          | \$ 114.1          |
| Rolling Stock†     | \$ 202.0           | \$ -              | \$ -              |
| <b>Total</b>       | <b>\$ 10,177.8</b> | <b>\$ 6,787.6</b> | <b>\$ 5,313.8</b> |

† An additional \$463 million budgeted for ESA rolling stock is included in a reserve and \$50 million is included in the Regional Investment budget.

| Project Description   | Budget<br>(Bid +<br>Contingency) | Current Contract<br>(Bid + Approved<br>AWOs) | Remaining<br>Budget | Expenditures | 2014 Replan<br>Award Date | Actual/<br>Forecast<br>Award Date | Planned<br>Completion<br>at Award* | Forecast<br>Completion |
|---|----------------------------------|--|---------------------|--------------|---------------------------|-----------------------------------|------------------------------------|------------------------|
| <b>Manhattan Construction</b>   |                                  |  |                     |              |                           |                                   |                                    |                        |
| CM014A: GCT Concourse Finishes Early Work<br><i>Yonkers Contracting</i>   | \$57.2                           | \$52.0                                       | \$5.3               | \$40.3       | Nov-2011                  | Nov-2011                          | Apr-2013                           | Mar-2015               |
| CM013A: 55th St Vent Facility<br><i>SCC-JPP, JV</i>   | \$58.9                           | \$57.2                                       | \$1.7               | \$31.7       | Aug-2012                  | Aug-2012                          | Apr-2015                           | Apr-2015               |
| CM005: Manhattan Southern Structures<br><i>Michels Corp.</i>  | \$223.4                          | \$207.3                                      | \$16.1              | \$102.1      | Jul-2013                  | Jul-2013                          | Feb-2016                           | Feb-2016               |
| CM006: Manhattan Northern Structures<br><i>Frontier Kemper Constructors, Inc.</i>   | \$340.3                          | \$294.2                                      | \$46.1              | \$4.0        | Mar-2014                  | Mar-2014                          | Nov-2016                           | Nov-2016               |
| CM014B: GCT Concourse & Cavern Fit-Out  |                                  | <i>In Procurement</i>                        |                     |              | Dec-2014                  | Dec-2014                          | N/A                                | Aug-2019               |
| CM007: Manhattan Cavern Structure & Facilities Fit-Out  |                                  | <i>In Design</i>                             |                     |              | Jul-2015                  | Jul-2015                          | N/A                                | Jul-2019               |
| <b>Queens Construction</b>  |                                  |  |                     |              |                           |                                   |                                    |                        |
| CQ032: Plaza Substation & Queens Struct Construction<br><i>Tutor Perini Corporation</i>   | \$238.9                          | \$213.4                                      | \$25.5              | \$141.2      | Aug-2011                  | Aug-2011                          | Aug-2014                           | Feb-2016               |
| <b>Harold Construction</b>  |                                  |  |                     |              |                           |                                   |                                    |                        |
| CH053: Harold Structures (Part 1)<br><i>Tutor Perini Corporation</i>  | \$316.5                          | \$294.9                                      | \$21.7              | \$253.6      | Jan-2008                  | Jan-2008                          | Feb-2011                           | May-2015               |
| CH057A: Harold Structures - Part 3: West Bound Bypass<br><i>Harold Structures JV</i>  | \$126.3                          | \$104.4                                      | \$21.9              | \$5.7        | Nov-2013                  | Nov-2013                          | Feb-2016                           | Jul-2016               |
| CH057: Harold Structures - Part 3: Track D Approach, 48th St<br>Bridge, Loop Box Structure  |                                  | <i>In Design (Repackaging)</i>               |                     |              | Nov-2014                  | Apr-2015                          | N/A                                | Dec-2016               |
| CH058: Harold Structures - Part 3: Eastbound Reroute  |                                  | <i>In Design</i>                             |                     |              | Jul-2015                  | Jan-2016                          | N/A                                | Jun-2019               |
| <b>Systems Contracts</b>  |                                  |  |                     |              |                           |                                   |                                    |                        |
| Systems Package 1: Tunnel Ventilation, Facility Power,<br>Communications, Controls, Security, Fire Detection (CS179)<br><i>Tutor Perini Corporation</i> | \$605.4                          | \$333.6                                      | \$271.8**           | \$7.3        | Mar-2014                  | Mar-2014                          | Dec-2019                           | Dec-2019               |
| Systems Package 2: Tunnel Systems (CS284)   |                                  | <i>In Design (Repackaging)</i>               |                     |              | TBD                       | TBD                               | N/A                                | TBD                    |
| Systems Package 3: Signal Equipment (VS086)<br><i>Ansaldo STS USA Inc.</i>  | \$21.8                           | \$19.9                                       | \$1.9               | \$0.0        | Jun-2014                  | Jun-2014                          | Dec-2019                           | Dec-2019               |
| Systems Package 4: Traction Power (CS084)<br><i>E-J Electrical Installation Company</i>   | \$78.4                           | \$71.2                                       | \$7.1               | \$0.0        | Sep-2014                  | Oct-2014                          | Dec-2019                           | Dec-2019               |

\*Planned Completion at Award date for contract CH053 is adjusted to the 2009 plan.

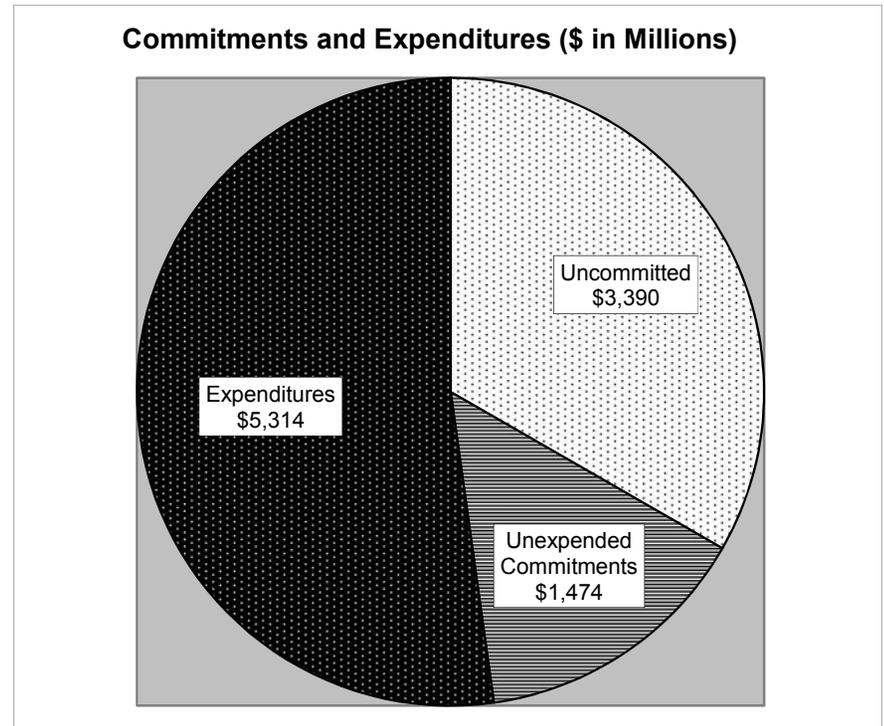
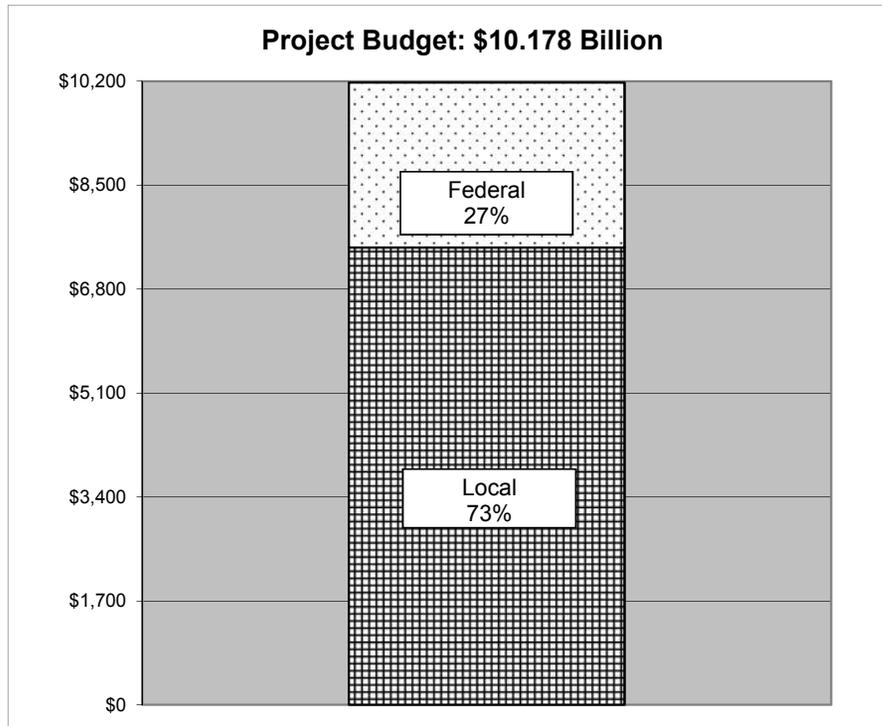
\*\* Remaining contingency includes \$238.48M for unawarded options and associated contingency.

# East Side Access Status

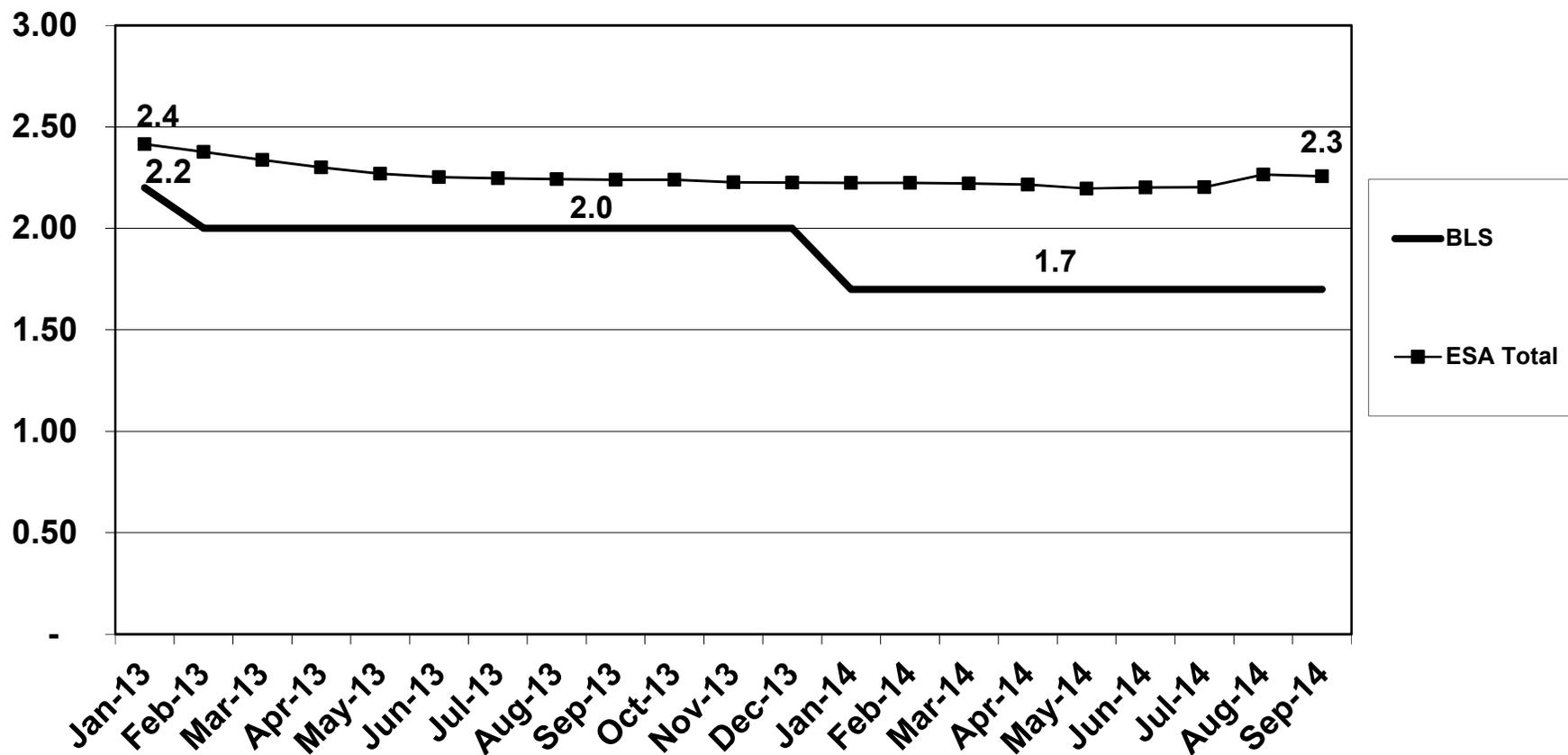
## Report to the Railroad Committee - November 2014

data thru October 2014

| MTA Capital Program<br>\$ in Millions | Budgeted         | Funding Sources |                      |                 |                  | Status of Commitments |                 |                 |
|---------------------------------------|------------------|-----------------|----------------------|-----------------|------------------|-----------------------|-----------------|-----------------|
|                                       |                  | Local Funding   | Future Local Funding | Federal Funding | Federal Received | Committed             | Uncommitted     | Expended        |
| 1995-1999                             | \$ 158           | \$ 94           | \$ -                 | \$ 64           | \$ 64            | \$ 158                | \$ -            | \$ 157          |
| 2000-2004                             | 1,534            | 748             | -                    | 785             | 785              | 1,533                 | 1               | 1,510           |
| 2005-2009                             | 2,683            | 838             | -                    | 1,845           | 1,176            | 2,675                 | 8               | 2,556           |
| 2010-2014                             | 3,232            | 3,228           | -                    | 5               | 5                | 2,422                 | 810             | 1,090           |
| 2015-2019                             | 2,572            |                 | 2,572                | -               | -                | -                     | 2,572           | -               |
| <b>Total</b>                          | <b>\$ 10,178</b> | <b>\$ 4,907</b> | <b>\$ 2,572</b>      | <b>\$ 2,699</b> | <b>\$ 2,030</b>  | <b>\$ 6,788</b>       | <b>\$ 3,390</b> | <b>\$ 5,314</b> |



### Lost Time Injury Rate East Side Access Project, 2013-2014 vs. US BLS National Standard for Heavy & Civil Construction



**Note:**

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



# METROPOLITAN TRANSPORTATION AUTHORITY

## Police Department Long Island Rail Road

### October 2014 vs. 2013

|                      | 2014 | 2013 | Diff | % Change |
|----------------------|------|------|------|----------|
| Murder               | 0    | 0    | 0    | 0%       |
| Rape                 | 0    | 0    | 0    | 0%       |
| Robbery              | 3    | 2    | 1    | 50%      |
| Felony Assault       | 2    | 0    | 2    | 100%     |
| Burglary             | 0    | 0    | 0    | 0%       |
| Grand Larceny        | 13   | 9    | 4    | 44%      |
| Grand Larceny Auto   | 0    | 0    | 0    | 0%       |
| Total Major Felonies | 18   | 11   | 7    | 64%      |

### Year to Date 2014 vs. 2013

|                      | 2014 | 2013 | Diff | % Change |
|----------------------|------|------|------|----------|
| Murder               | 0    | 1    | -1   | -100%    |
| Rape                 | 0    | 0    | 0    | 0%       |
| Robbery              | 26   | 15   | 11   | 73%      |
| Felony Assault       | 19   | 13   | 6    | 46%      |
| Burglary             | 4    | 4    | 0    | 0%       |
| Grand Larceny        | 108  | 105  | 3    | 3%       |
| Grand Larceny Auto   | 1    | 0    | 1    | 100%     |
| Total Major Felonies | 158  | 138  | 20   | 14%      |



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

**October 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>1</b>    | <b>0</b>    | <b>0%</b>       |
| <b>Felony Assault</b>       | <b>1</b>    | <b>1</b>    | <b>0</b>    | <b>0%</b>       |
| <b>Burglary</b>             | <b>0</b>    | <b>1</b>    | <b>-1</b>   | <b>-100%</b>    |
| <b>Grand Larceny</b>        | <b>10</b>   | <b>11</b>   | <b>-1</b>   | <b>-9%</b>      |
| <b>Grand Larceny Auto</b>   | <b>0</b>    | <b>0</b>    | <b>0</b>    | <b>0%</b>       |
| <b>Total Major Felonies</b> | <b>12</b>   | <b>14</b>   | <b>-2</b>   | <b>-14%</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>16</b>   | <b>12</b>   | <b>4</b>    | <b>33%</b>      |
| <b>Felony Assault</b>       | <b>9</b>    | <b>13</b>   | <b>-4</b>   | <b>-31%</b>     |
| <b>Burglary</b>             | <b>14</b>   | <b>6</b>    | <b>8</b>    | <b>133%</b>     |
| <b>Grand Larceny</b>        | <b>89</b>   | <b>81</b>   | <b>8</b>    | <b>10%</b>      |
| <b>Grand Larceny Auto</b>   | <b>1</b>    | <b>6</b>    | <b>-5</b>   | <b>-83%</b>     |
| <b>Total Major Felonies</b> | <b>129</b>  | <b>119</b>  | <b>10</b>   | <b>8%</b>       |



**METROPOLITAN TRANSPORTATION AUTHORITY  
Police Department  
System Wide**

**October 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>5</b>    | <b>3</b>    | <b>2</b>    | <b>67%</b>      |
| <b>Felony Assault</b>       | <b>3</b>    | <b>1</b>    | <b>2</b>    | <b>200%</b>     |
| <b>Burglary</b>             | <b>0</b>    | <b>1</b>    | <b>-1</b>   | <b>-100%</b>    |
| <b>Grand Larceny</b>        | <b>25</b>   | <b>21</b>   | <b>4</b>    | <b>19%</b>      |
| <b>Grand Larceny Auto</b>   | <b>0</b>    | <b>0</b>    | <b>0</b>    | <b>0%</b>       |
| <b>Total Major Felonies</b> | <b>33</b>   | <b>26</b>   | <b>7</b>    | <b>27%</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>55</b>   | <b>34</b>   | <b>21</b>   | <b>62%</b>      |
| <b>Felony Assault</b>       | <b>29</b>   | <b>27</b>   | <b>2</b>    | <b>7%</b>       |
| <b>Burglary</b>             | <b>18</b>   | <b>10</b>   | <b>8</b>    | <b>80%</b>      |
| <b>Grand Larceny</b>        | <b>204</b>  | <b>197</b>  | <b>7</b>    | <b>4%</b>       |
| <b>Grand Larceny Auto</b>   | <b>2</b>    | <b>6</b>    | <b>-4</b>   | <b>-67%</b>     |
| <b>Total Major Felonies</b> | <b>308</b>  | <b>276</b>  | <b>32</b>   | <b>12%</b>      |

*FIGURES ARE PRELIMINARY AND SUBJECT TO FURTHER ANALYSIS AND REVISION*



# MTA Police Department Arrest Summary: Department Totals

1/1/2014 to 10/31/2014

| Arrest Classification               | Total Arrests |            |
|-------------------------------------|---------------|------------|
|                                     | 2014          | 2013       |
| Murder                              | 0             | 2          |
| Robbery                             | 49            | 40         |
| Felony Assault                      | 25            | 34         |
| Burglary                            | 10            | 10         |
| Grand Larceny                       | 62            | 63         |
| Grand Larceny Auto                  | 2             | 1          |
| Aggravated Harassment               | 1             | 2          |
| Aggravated Unlicensed Operator      | 34            | 45         |
| Assault-Misdemeanor                 | 49            | 59         |
| Breach of Peace                     | 10            | 8          |
| Child Endangerment                  | 1             | 3          |
| Conspiracy                          | 0             | 12         |
| Criminal Contempt                   | 4             | 6          |
| Criminal Impersonation              | 2             | 9          |
| Criminal Mischief                   | 28            | 37         |
| Criminal Possession Stolen Property | 10            | 25         |
| Criminal Tampering                  | 0             | 2          |
| Criminal Trespass                   | 15            | 38         |
| Disorderly Conduct                  | 2             | 9          |
| Drug Offenses                       | 44            | 27         |
| DUI Offenses                        | 12            | 15         |
| Falsely Reporting an Incident       | 4             | 8          |
| Forgery                             | 85            | 20         |
| Fraud                               | 6             | 8          |
| Graffiti                            | 9             | 5          |
| Harassment                          | 6             | 5          |
| Identity Theft                      | 0             | 1          |
| Issue a Bad Check                   | 0             | 1          |
| Make Terrorist Threat               | 1             | 0          |
| Menacing                            | 8             | 15         |
| Obstruct Government                 | 4             | 10         |
| Panhandling                         | 1             | 0          |
| Petit Larceny                       | 87            | 82         |
| Public Lewdness                     | 36            | 23         |
| Reckless Endangerment               | 7             | 8          |
| Resisting Arrest                    | 44            | 60         |
| Sex Offenses                        | 8             | 8          |
| Stalking                            | 2             | 1          |
| Theft of Services                   | 118           | 78         |
| Unlawful Imprisonment/Kidnapping    | 0             | 2          |
| Unlawful Surveillance               | 2             | 1          |
| VTL Offenses                        | 2             | 4          |
| Warrant Arrest                      | 47            | 33         |
| Weapons Offenses                    | 7             | 7          |
| Unauthorized Use Vehicle            | 0             | 1          |
| <b>Total Arrests</b>                | <b>844</b>    | <b>828</b> |

**INDEX CRIME REPORT**  
**Per Day Average**  
**October 2014**

|                       | <b>Systemwide</b> | <b>LIRR</b> | <b>MNRR</b> | <b>SIRT</b> |
|-----------------------|-------------------|-------------|-------------|-------------|
| <b>Murder</b>         | 0                 | 0           | 0           | 0           |
| <b>Rape</b>           | 0                 | 0           | 0           | 0           |
| <b>Robbery</b>        | 5                 | 3           | 1           | 1           |
| <b>Fel. Assault</b>   | 3                 | 2           | 1           | 0           |
| <b>Burglary</b>       | 0                 | 0           | 0           | 0           |
| <b>Grand Larceny</b>  | 25                | 13          | 10          | 2           |
| <b>GLA</b>            | 0                 | 0           | 0           | 0           |
| <b>Total</b>          | <b>33</b>         | <b>18</b>   | <b>12</b>   | <b>3</b>    |
| <b>Crimes Per Day</b> | <b>1.06</b>       | <b>0.58</b> | <b>0.39</b> | <b>0.10</b> |

## **THE METROPOLITAN TRANSPORTATION AUTHORITY**

### **COMMITTEE ON OPERATIONS OF THE METRO-NORTH COMMUTER RAILROAD**

This Charter for the Committee on the Operations of the Metro-North Commuter Railroad was adopted by the Board Chair and a majority of the members of Board of the Metropolitan Transportation Authority, a public benefit corporation established under the laws of the State of New York (together with any other entity or corporation for which the members of the Metropolitan Transportation Authority serve as a board of directors, the “MTA”), on July 24, 2013.

#### **I. PURPOSE**

The Committee on the Operations of the Metro-North Commuter Railroad (the “Committee”) shall assist the Board Chair and the Board in fulfilling their responsibility to monitor and oversee the operations of the Metro-North Commuter Railroad Company (“Metro-North”).

#### **II. COMMITTEE AUTHORITY**

In discharging its role, the Committee is empowered to investigate any matter brought to its attention. To facilitate any such investigation, the chairperson of the Committee shall have access to all books, records, facilities and staff of the MTA and/or Metro-North. The foregoing is not intended to alter or curtail existing rights of individual Board members to access books, records or staff in connection with the performance of their fiduciary duties as Board members.

#### **III. COMMITTEE MEMBERSHIP**

The Committee shall consist of 3 or more members of the Board, appointed by the Board Chair. If not otherwise a member of the Committee, each Vice-Chair of the Board shall be an *ex officio* member of the Committee. The Board Chair shall appoint the chairperson of the Committee. In the absence of the chairperson at a meeting of the Committee, the Board Chair shall appoint a temporary chairperson to chair such meeting. A member of the Committee may be removed, for cause or without cause, by the Board Chair.

#### **IV. COMMITTEE MEETINGS**

The Committee shall meet on a regularly-scheduled basis at least 11 times per year, and more frequently as circumstances dictate. The Committee shall cause to be kept adequate minutes of all its proceedings, which shall include records of any action taken. Committee members will be furnished with copies of the minutes of each meeting. Meetings of the Committee shall be open to the public, and the Committee shall be governed by the rules regarding public meetings set forth in the applicable provisions of the Public Authorities Law and Article 7 of the Public Officers Law that relate to public notice, public speaking and the conduct of executive session. The Committee may form and assign responsibilities to subcommittees when appropriate.

The Committee may request that any member of the Board, the Auditor General, any officer or staff of the MTA, Metro-North or any other person whose advice and counsel are sought by the Committee, attend any meeting of the Committee to provide such pertinent information at the Committee requests. The President of Metro-North and the President of the MTA Capital Construction Company shall each (1) furnish the Committee with all material information pertinent to matters appearing on the Committee agenda relating to his or her organization, (2) provide the chairperson of the Committee with all information regarding the affairs of his or her organization that is material to the Committee's monitoring and oversight of the operations of such organization, and (3) inform the chairperson of the Committee of any matters not already on the Committee agenda that should be added to the agenda in order for the Committee to be adequately monitoring and overseeing the operations of his or her organization.

## **V. COMMITTEE REPORTS.**

The chairperson of the Committee shall report on the Committee's proceedings, and any recommendations made.

## **VI. KEY RESPONSIBILITIES**

The following responsibilities are set forth as a guide with the understanding that the Committee may diverge as appropriate given the circumstances. The Committee is authorized to carry out these and such other responsibilities assigned by the Board Chair or the Board from time to time, and take any actions reasonably related to the mandate of this Charter.

To fulfill its purpose, the Committee shall:

- 1 monitor and update the Board Chair and the Board on the operating performance of Metro-North, including information on railroad service;
- 2 monitor and update the Board Chair and the Board on the safety record of Metro-North; such monitoring shall include reviewing and monitoring customer and employee safety;
- 3 monitor and update the Board Chair and the Board on the implementation of security programs pertaining to Metro-North operations and facilities;
- 4 monitor and update the Board Chair and the Board on the finances of Metro-North, including financial reports, ridership reports, and the use of funds by Metro-North;
- 5 review and make recommendations to the Board Chair and the Board regarding proposed procurement contracts of Metro-North that require Board approval;
- 6 review and make recommendations to the Board Chair and the Board on proposed capital projects of Metro-North and monitor the status of such projects;
- 7 review and make recommendations to the Board Chair and the Board regarding Metro-North service and policy changes that require Board approval;

- 8 facilitate the identification of approaches and solutions that address Metro-North security issues, including best practices in national and international security respecting transportation operations and facilities and review and make recommendations to the Board Chair and the Board regarding Metro-North security issues;
- 9 review periodically with the Counsel of the MTA, the Chief Compliance Officer, and the Counsel of Metro-North: (i) legal and regulatory matters that may have a material impact on Metro-North; and (ii) the scope and effectiveness of compliance policies and programs;
- 10 conduct an annual self-evaluation of the performance of the Committee, including its effectiveness and compliance with this Charter;
- 11 review and assess the adequacy of this Charter annually; and
- 12 report regularly to the Board Chair and the Board on Committee findings and recommendations and any other matters the Committee deems appropriate or the Board Chair or the Board requests, and maintain minutes or other records of Committee meetings and activities.

With respect to capital projects undertaken by the MTA Capital Construction Company (MTACC) on behalf of Metro-North:

- 1 Review and make recommendations to the Board Chair and Board with respect to the proposed procurements made by the MTACC that require Board approval;
- 2 Review and make recommendations to the Board Chair and the Board with respect to contract procurement solicitations that require Board approval;
- 3 Monitor the progress of the capital projects undertaken by the MTACC;
- 4 Monitor the budget and the schedule of capital projects undertaken by the MTACC;
- 5 Monitor the progress of contract commitments and completions with respect to capital projects; and
- 6 Track funding needs of capital projects as well as the availability of funds to meet such needs from all sources of funding.

# 2014 Customer Satisfaction Survey Metro-North Railroad



# Overall Context

- **Metro-North's 2014 Customer Satisfaction Survey was conducted in June 2014, following a period which saw several incidents occur on the railroad which adversely impacted:**
  - **Perceptions of the safety of railroad operations, and**
  - **The railroad's on-time performance record**
- **Metro-North established a 100 Day Action Plan which called for a series of specific changes designed to enhance customer and employee safety and restore the railroad's reputation for reliability.**
- **It incorporated input received from elected and other public officials, national safety experts, customers and employees.**
- **In the months following the survey, the successful integration of much of the plan has led to improved safety and performance throughout the system.**



# KEY FINDINGS

- **There were dramatic decreases in satisfaction among all major categories compared to the 2013 results**
- **Satisfaction with Metro-North overall dropped by 20 points to just 73%**
- **On-Time Performance, a critical component of customer satisfaction, declined by 28 points in 2014 to 58% satisfied.**
- **New Haven Line customers were more dissatisfied than their counterparts on the Hudson and Harlem Lines. Their satisfaction with Metro-North plunged to 58%, 29 points below last year.**
- **Reverse Peak customer satisfaction dropped 11 points to 75%**
- **Customer satisfaction West of Hudson was stable at 89% satisfied.**



# METRO-NORTH EAST OF HUDSON SURVEY RESULTS

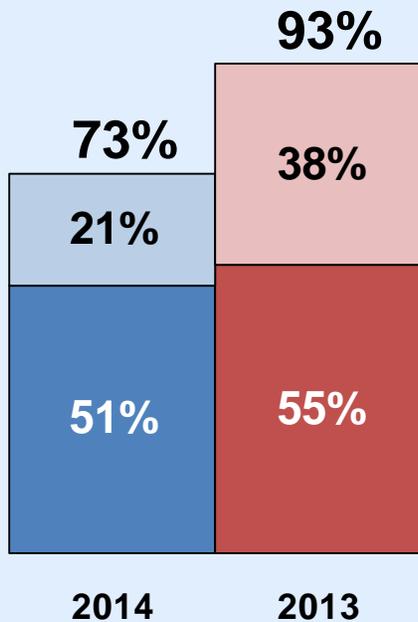


Metro-North Railroad

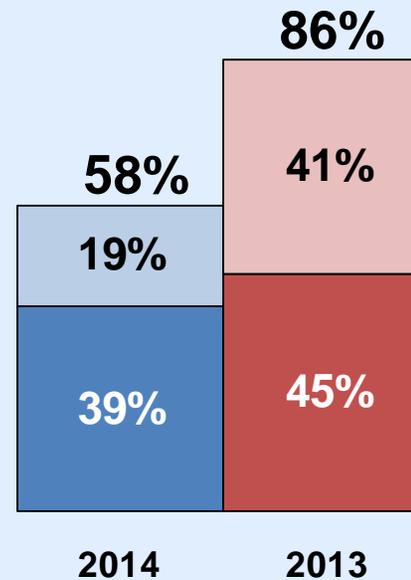
# Overall Customer Satisfaction

## East of Hudson

### Metro-North Overall



### On-Time Performance



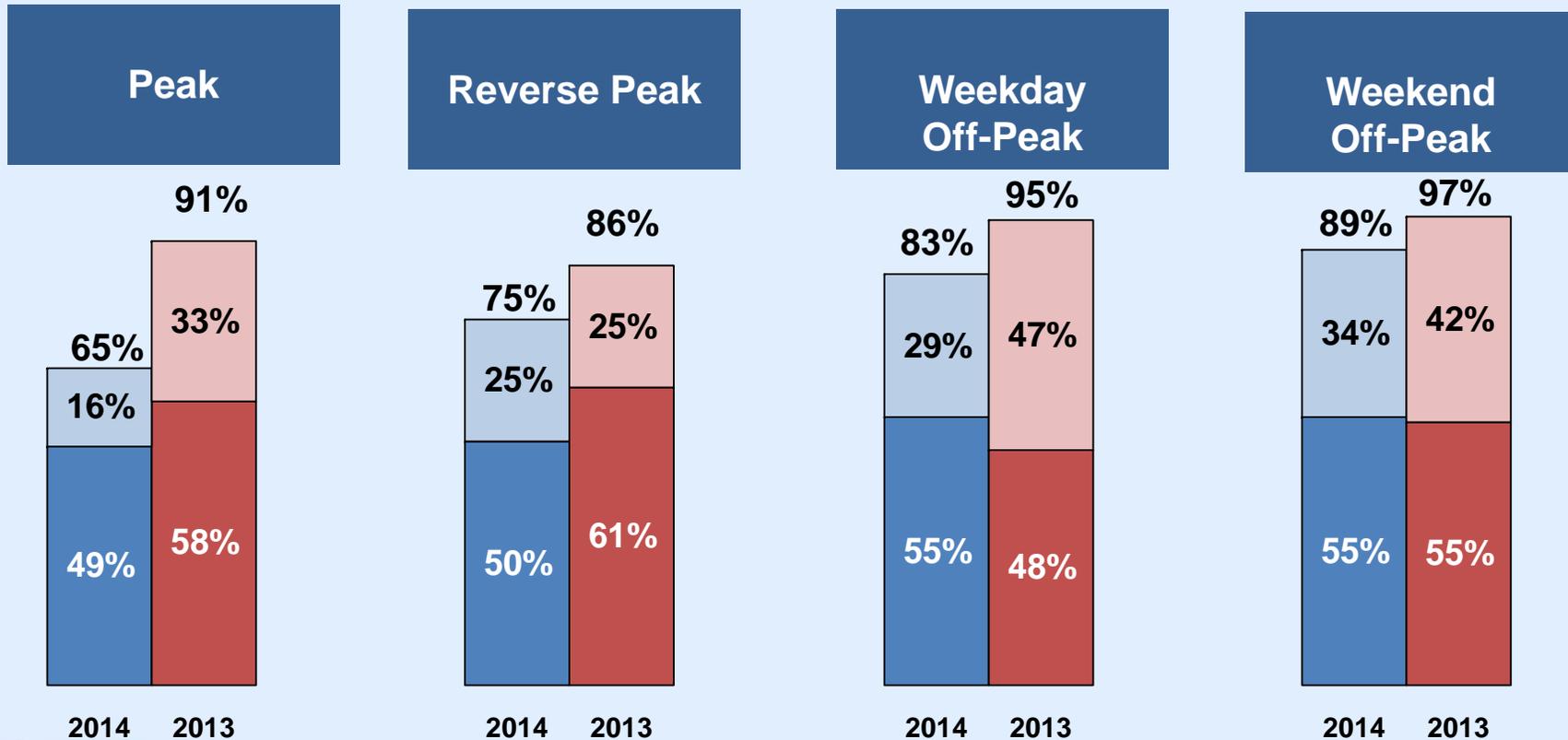
Top Area = Very Satisfied Bottom Area = Satisfied

Percentages may not add to the total due to rounding.

Metro-North Railroad



# Overall Customer Satisfaction By Time Period East of Hudson



**Top Area = Very Satisfied    Bottom Area = Satisfied**

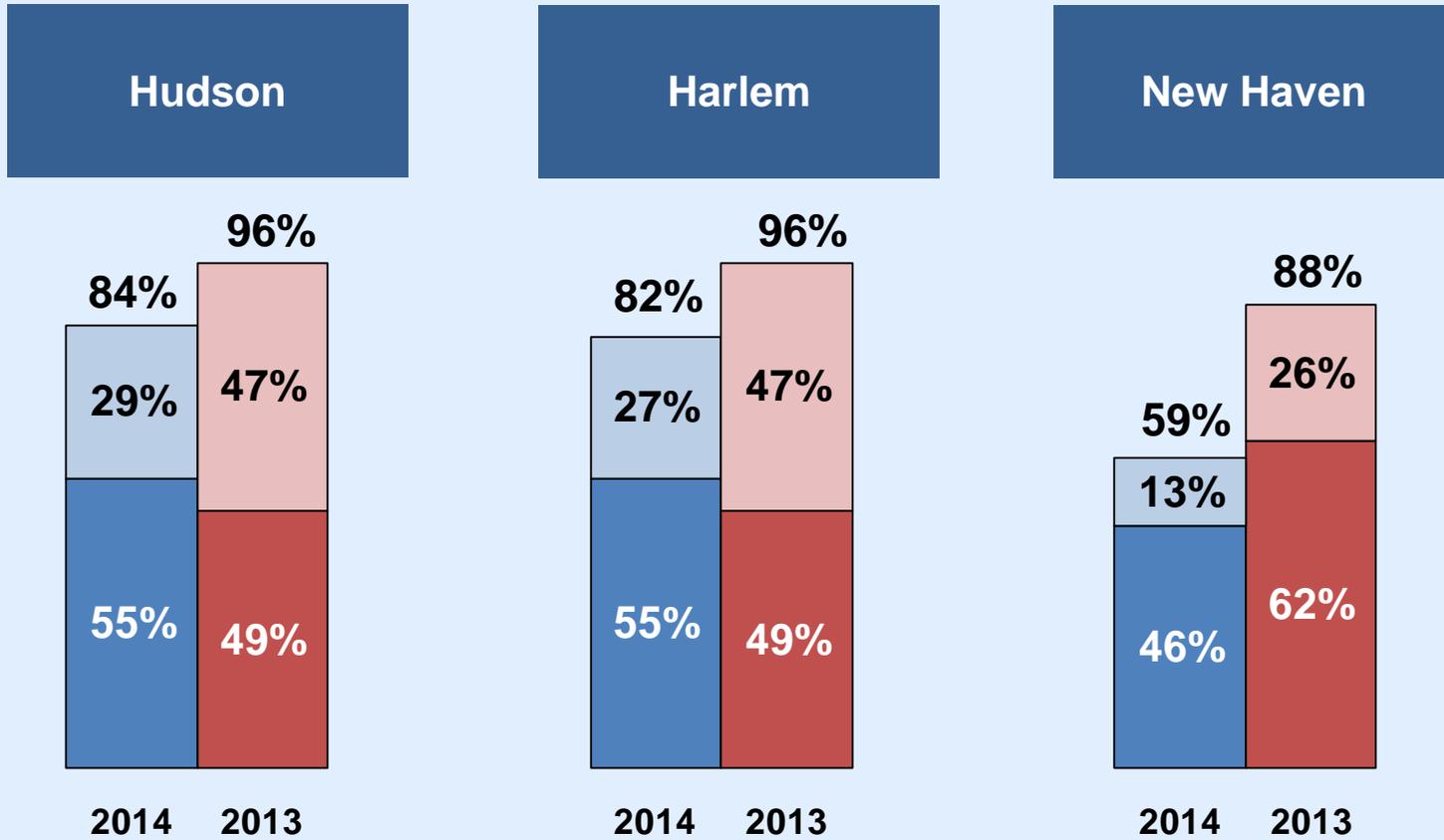
Percentages may not add to total due to rounding.

Metro-North Railroad



# Overall Satisfaction By Line

## East of Hudson



Top Area = Very Satisfied    Bottom Area = Satisfied

Percentages may not add to total due to rounding.

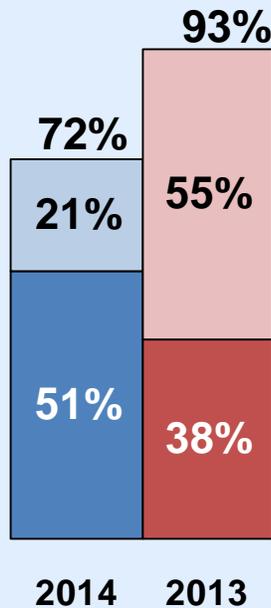
Metro-North Railroad



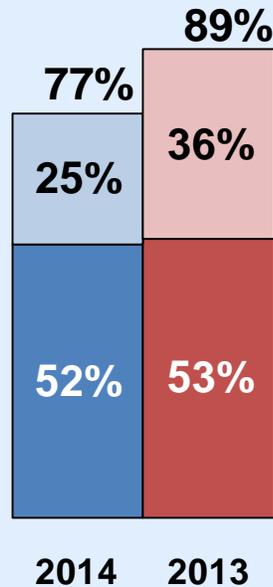
# Metro-North Train Service Overall

## East of Hudson

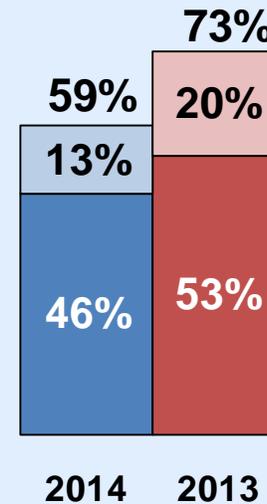
### MNR Train Service Overall



### Overall Train Schedules



### Value For The Money Using The Railroad



Top Area = Very Satisfied Bottom Area = Satisfied

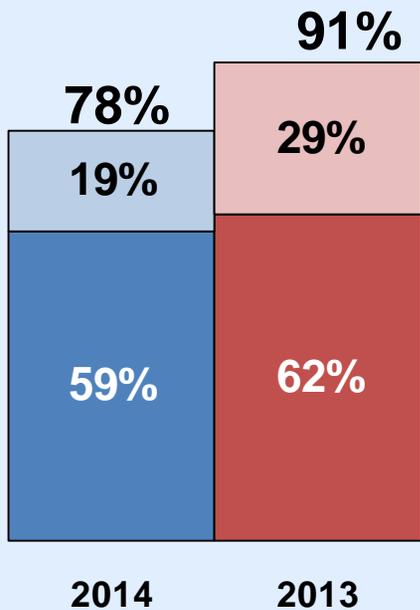
Percentages may not add to total due to rounding.

Metro-North Railroad

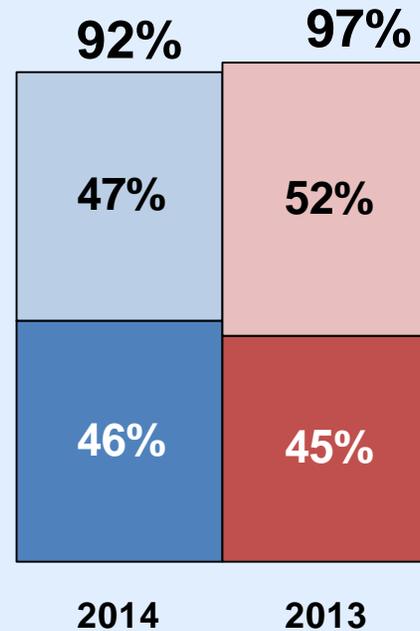


# Overall Communication and Employee Courtesy and Responsiveness East of Hudson

## Overall Communication



## Courtesy and Responsiveness of Employees



**Top Area = Very Satisfied    Bottom Area = Satisfied**

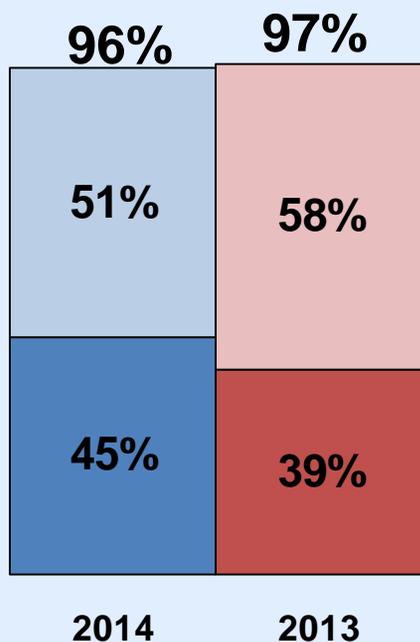
Percentages may not add to total due to rounding.

Metro-North Railroad

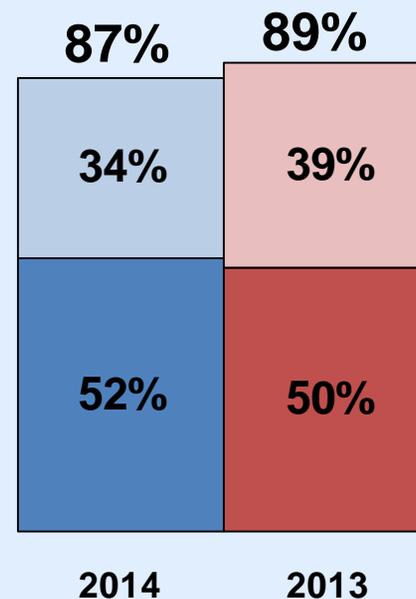


# Grand Central Terminal and Boarding Stations East of Hudson

## GCT Overall



## Home Boarding Station Overall



**Top Area = Very Satisfied    Bottom Area = Satisfied**

Percentages may not add to total due to rounding.

Metro-North Railroad



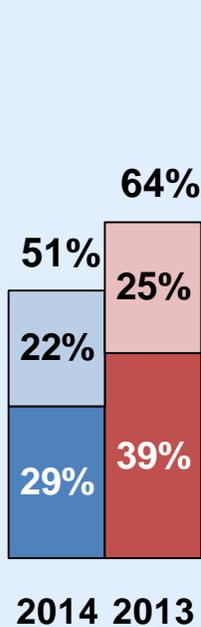
# EAST OF HUDSON REVERSE PEAK SURVEY RESULTS



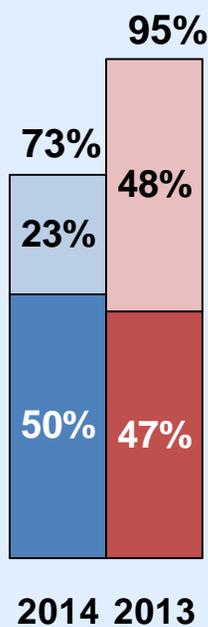
Metro-North Railroad

# Reverse Peak Major Categories East of Hudson

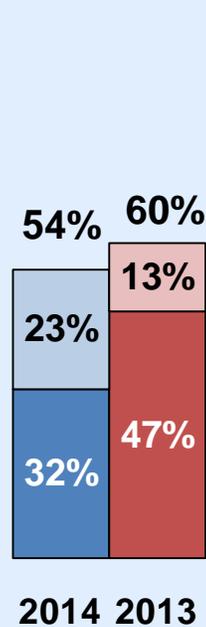
## On-time Performance



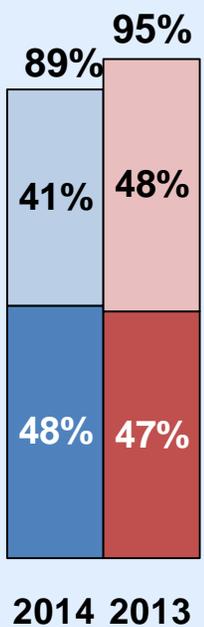
## Overall Train Service



## Value For The Money Using The Railroad



## Overall Courtesy and Responsiveness of our Employees



Top Area = Very Satisfied    Bottom Area = Satisfied

Percentages may not add to total due to rounding.

Metro-North Railroad



# WEST OF HUDSON SURVEY RESULTS



Metro-North Railroad

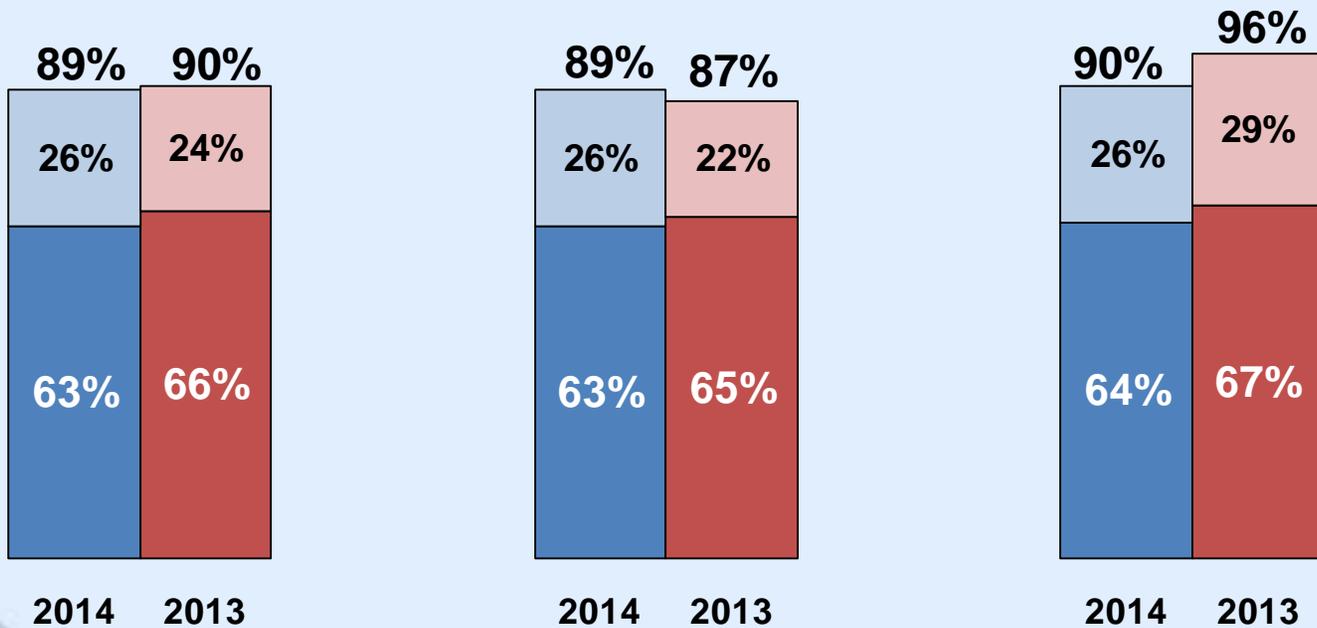
# Overall Customer Satisfaction

## West of Hudson

**West of Hudson  
Total**

**Port Jervis**

**Pascack Valley**



**Top Area = Very Satisfied    Bottom Area = Satisfied**

Percentages may not add to total due to rounding.

Metro-North Railroad



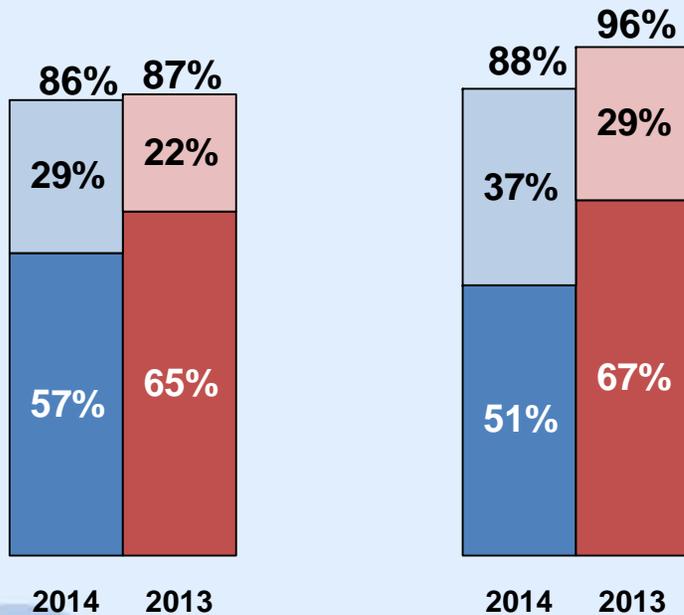
# Metro-North Train Service By Line

## West of Hudson

### On-Time Performance

Port Jervis

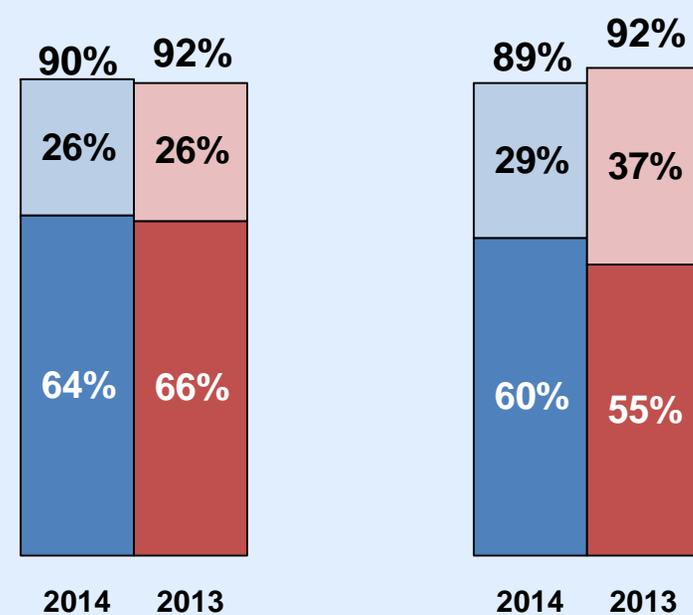
Pascack Valley



### MNR Train Service Overall

Port Jervis

Pascack Valley



**Top Area = Very Satisfied    Bottom Area = Satisfied**

Percentages may not add to total due to rounding.

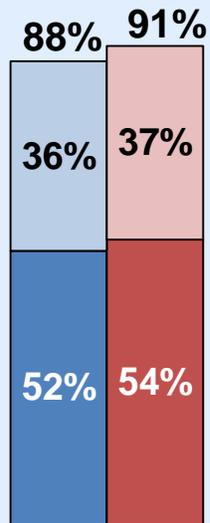
Metro-North Railroad



# Satisfaction With Other Major Service Categories West of Hudson

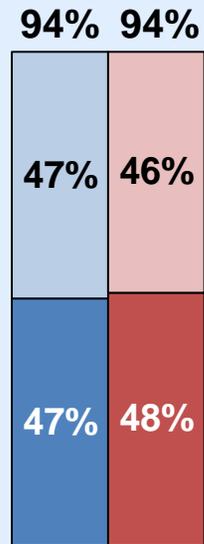
Master Page # 59 of 271 - Joint Metro-North/Long Island Commitees Meeting 11/17/2014

**Home Boarding Station Overall**



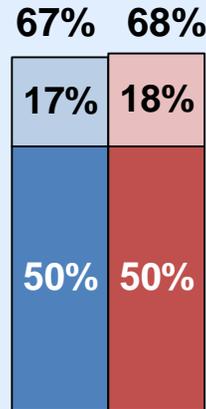
2014 2013

**Courtesy & Responsiveness Of Employees**



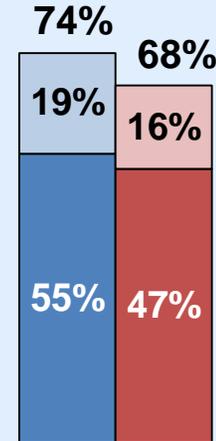
2014 2013

**Overall Train Schedules**



2014 2013

**Value For The Money Using The Railroad**

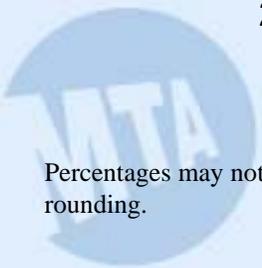


2014 2013

**Top Area = Very Satisfied    Bottom Area = Satisfied**

Percentages may not add to total due to rounding.

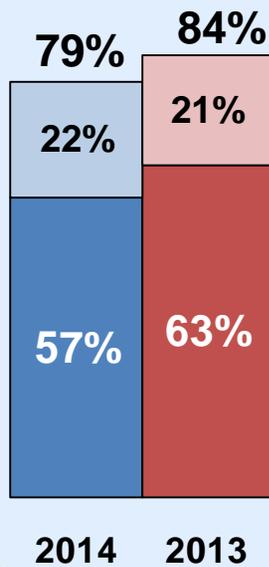
Metro-North Railroad



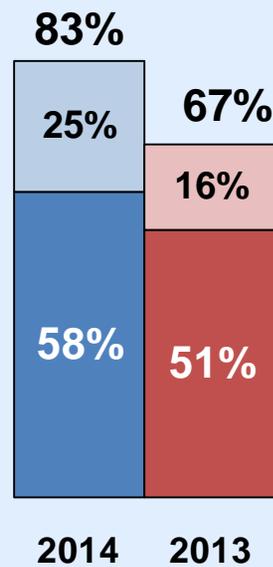
# Satisfaction With Other Major Service Categories

## West of Hudson

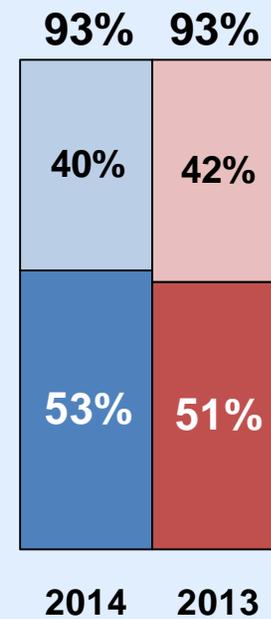
### Overall Communications



### Hoboken Terminal



### Secaucus Junction



**Top Area = Very Satisfied    Bottom Area = Satisfied**

Percentages may not add to total due to rounding.

Metro-North Railroad



# APPENDIX

- Methodology
- Questionnaires
- Full Set of Attribute Ratings



# Methodology

- The MNR survey used an onboard distribution methodology among a sample of trains
- A total of 5,469 surveys were completed and tabulated, as follows:

|                   | MNR East of Hudson Survey |            |           |           | Reverse Peak    |
|-------------------|---------------------------|------------|-----------|-----------|-----------------|
|                   | Total                     | AM Peak    | Off-Peak  | Weekend   |                 |
| Completed Surveys | 4,751                     | 1803       | 1256      | 1554      | 138             |
| Survey dates      |                           | 6/25- 7/02 | 6/25-7/02 | 6/21-22   | 6/25-7/02       |
| Trains sampled    | 104                       | 34         | 42        | 18        | 10              |
|                   | MNR West of Hudson Survey |            |           |           | No Reverse Peak |
|                   | Total                     | AM Peak    | Off-Peak  | Weekend   |                 |
| Completed Surveys | 718                       | 326        | 167       | 225       |                 |
| Survey dates      |                           | 6/18-6/19  | 7/23-7/24 | 6/14-6/15 |                 |
| Trains sampled    | 29                        | 12         | 11        | 6         |                 |



# Questionnaires



Metro-North Railroad

# East of Hudson Questionnaire

## Customer Satisfaction Survey 2014

Si Ud. prefiere completar una version de esta encuesta en Espanol, por favor llame a Metro-North Railroad al 511. En Connecticut: 877-690-5114. Se la haremos llegar a Ud. por correo.



Metro-North Railroad



## Dear MTA Metro-North Customer:

Thank you for riding Metro-North today. To help us find out if your recent travel on Metro-North has been as convenient and comfortable as we would like it to be, please take some time to complete this survey. Your input will let us know what we need to do to improve your experience on our trains and at our stations.

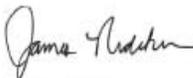
When you have completed the survey, please return it to our representative on your train today or the one who will meet this train in Grand Central Terminal. If you prefer, you may mail it back to us within the next three days. The postage has already been paid. Please use only tape to seal it - not staples.

Thank you for your time and cooperation.

Sincerely,



Joseph J. Giulietti  
President, MTA Metro-North Railroad



James Redeker  
Commissioner, Connecticut Department of Transportation



Randolph Glucksman  
Chair, Metro-North Rail Commuter Council



Terri Cronin  
Chair, Connecticut Metro-North Rail  
New Haven Commuter Council

## Instructions

In the first portion of this survey, please tell us how satisfied you have been with various aspects of our services over the past 12 months, beginning with your overall rating, then the environment of your home station and ending when you leave the train.

Please circle one of the numbers in the scale below that best reflects your opinion of our service. Circle numbers 1 or 2 if you are "very dissatisfied" with our performance on a regular basis. Circle numbers 3, 4, or 5 to indicate you are generally "dissatisfied" with our service levels and delivery. Circle numbers 6, 7 or 8 if you are generally "satisfied" with our service. Circle 9 or 10 to indicate you are "very satisfied" with aspects of our service.

If you are not familiar with a particular aspect, please circle NA.

### OVER THE PAST 12 MONTHS:

## Metro-North Overall

How satisfied are you with:

- |   | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | NA |
|---|---|---|---|---|---|---|---|---|---|----|----|
| 1. Metro-North overall                    |   |   |   |   |   |   |   |   |   |    |    |
| 2. Value for the money using the railroad |   |   |   |   |   |   |   |   |   |    |    |

## Your Home Boarding Station

How satisfied are you with:

- |   |  |  |  |  |  |  |  |  |  |  |  |
|---|--|--|--|--|--|--|--|--|--|--|--|
| 3. Your home boarding station overall                             |  |  |  |  |  |  |  |  |  |  |  |
| 4. Directional signage to the station                             |  |  |  |  |  |  |  |  |  |  |  |
| 5. Personal security  |  |  |  |  |  |  |  |  |  |  |  |
| 6. Cleanliness inside the station building (excluding rest rooms) |  |  |  |  |  |  |  |  |  |  |  |
| 7. Maintenance of station   |  |  |  |  |  |  |  |  |  |  |  |
| 8. Sound quality of audio announcements                           |  |  |  |  |  |  |  |  |  |  |  |
| 9. Availability of parking on weekdays                            |  |  |  |  |  |  |  |  |  |  |  |
| 10. Security of your car while parked at the station              |  |  |  |  |  |  |  |  |  |  |  |
| 11. Cleanliness of platforms and outdoor shelters                 |  |  |  |  |  |  |  |  |  |  |  |
| 12. Cleanliness of the track area around the station              |  |  |  |  |  |  |  |  |  |  |  |

## On Trains (All time periods)

How satisfied are you with:

- |  | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | NA |
|--|---|---|---|---|---|---|---|---|---|----|----|
| 13. MNR train service overall                              |   |   |   |   |   |   |   |   |   |    |    |
| 14. On-time performance                                    |   |   |   |   |   |   |   |   |   |    |    |
| 15. Availability of seats on trains                        |   |   |   |   |   |   |   |   |   |    |    |
| 16. The temperature on the train                           |   |   |   |   |   |   |   |   |   |    |    |
| 17. Personal security on trains                            |   |   |   |   |   |   |   |   |   |    |    |
| 18. Cleanliness of the rest rooms                          |   |   |   |   |   |   |   |   |   |    |    |
| 19. Cleanliness of train's interior (excluding rest rooms) |   |   |   |   |   |   |   |   |   |    |    |
| 20. Sound quality of audio announcements                   |   |   |   |   |   |   |   |   |   |    |    |
| 21. The Quiet Car Program (when available)                 |   |   |   |   |   |   |   |   |   |    |    |

## Courtesy and Responsiveness of Employees

How satisfied are you with:

- |   |  |  |  |  |  |  |  |  |  |  |  |
|---|--|--|--|--|--|--|--|--|--|--|--|
| 22. The overall courtesy and responsiveness of our employees                          |  |  |  |  |  |  |  |  |  |  |  |
| 23. Conductors  |  |  |  |  |  |  |  |  |  |  |  |
| 24. Ticket Sellers  |  |  |  |  |  |  |  |  |  |  |  |
| 25. Customer Service Representatives (Ushers) in Grand Central Terminal               |  |  |  |  |  |  |  |  |  |  |  |
| 26. Information Booth and Station Master's Office Personnel at Grand Central Terminal |  |  |  |  |  |  |  |  |  |  |  |
| 27. Information Center Representatives (in NY: 511; In CT: 877-690-5114)              |  |  |  |  |  |  |  |  |  |  |  |
| 28. Professional appearance of conductors   |  |  |  |  |  |  |  |  |  |  |  |

## Train Scheduling

How satisfied are you with:

- |   |  |  |  |  |  |  |  |  |  |  |  |
|---|--|--|--|--|--|--|--|--|--|--|--|
| 29. Overall train schedules   |  |  |  |  |  |  |  |  |  |  |  |
| 30. The weekday AM and PM peak schedule to or from your station                         |  |  |  |  |  |  |  |  |  |  |  |
| 31. The weekday off-peak schedule to and from your station including late night service |  |  |  |  |  |  |  |  |  |  |  |
| 32. The weekend schedule to and from your station                                       |  |  |  |  |  |  |  |  |  |  |  |

## Communication

Dissatisfied  
 Very  
 Satisfied  
 Very  
 Satisfied

How satisfied are you with:

- |  |    |     |     |     |    |
|--|----|-----|-----|-----|----|
| 33. Our overall communications to you  | 12 | 345 | 678 | 910 | NA |
| 34. Our overall communications during normal service conditions                                | 12 | 345 | 678 | 910 | NA |
| 35. Our overall communications during scheduled service disruptions (alternative busing, etc.) | 12 | 345 | 678 | 910 | NA |
| 36. Our overall communications during unscheduled service disruptions                          | 12 | 345 | 678 | 910 | NA |

### Communication during normal service conditions

How satisfied are you with the information we give to you:

- |   |    |     |     |     |    |
|---|----|-----|-----|-----|----|
| 37. At your home boarding station   | 12 | 345 | 678 | 910 | NA |
| 38. On board our trains   | 12 | 345 | 678 | 910 | NA |
| 39. At Grand Central Terminal   | 12 | 345 | 678 | 910 | NA |
| 40. On our website (www.mta.info)   | 12 | 345 | 678 | 910 | NA |
| 41. Via our email alerts (if you subscribe)   | 12 | 345 | 678 | 910 | NA |
| 42. Via our social media sites (on Facebook and Twitter)                                    | 12 | 345 | 678 | 910 | NA |
| 43. Through the TrainTime Mobile App (if used)  | 12 | 345 | 678 | 910 | NA |
| 44. With the automated phone system for schedules, fares, etc.                              | 12 | 345 | 678 | 910 | NA |
| 45. With Travel Information Phone Center Representatives (in NYC: 511, In CT: 877-690-5114) | 12 | 345 | 678 | 910 | NA |

### Communication during unscheduled service disruptions

How satisfied are you with the information we give you about the length and cause of the delay :

- |  |    |     |     |     |    |
|--|----|-----|-----|-----|----|
| 46. At your home boarding station                        | 12 | 345 | 678 | 910 | NA |
| 47. On board our trains                                  | 12 | 345 | 678 | 910 | NA |
| 48. At Grand Central Terminal                            | 12 | 345 | 678 | 910 | NA |
| 49. On our website (www.mta.info)                        | 12 | 345 | 678 | 910 | NA |
| 50. Through the "Service Status" box on our website      | 12 | 345 | 678 | 910 | NA |
| 51. Via our email alerts (if you subscribe)              | 12 | 345 | 678 | 910 | NA |
| 52. Via our social media sites (on Facebook and Twitter) | 12 | 345 | 678 | 910 | NA |

## Communication (continued)

Dissatisfied  
 Very  
 Satisfied  
 Very  
 Satisfied

- |   |    |     |     |     |    |
|---|----|-----|-----|-----|----|
| 53. Through the TrainTime Mobile App (if used)  | 12 | 345 | 678 | 910 | NA |
| 54. With the automated phone system for schedules, fares, etc.                              | 12 | 345 | 678 | 910 | NA |
| 55. With Travel Information Phone Center Representatives (in NYC: 511, In CT: 877-690-5114) | 12 | 345 | 678 | 910 | NA |

## Grand Central Terminal (GCT)

How satisfied are you with:

- |   |    |     |     |     |    |
|---|----|-----|-----|-----|----|
| 56. Grand Central Terminal overall  | 12 | 345 | 678 | 910 | NA |
| 57. The Station Master's Office, including the customer waiting area  | 12 | 345 | 678 | 910 | NA |
| 58. Personal security in GCT  | 12 | 345 | 678 | 910 | NA |
| 59. Customer information given on digital screens near MetLife escalators   | 12 | 345 | 678 | 910 | NA |
| 60. Presence of MTA Police  | 12 | 345 | 678 | 910 | NA |
| 61. Signs providing direction to/from connecting buses or subways   | 12 | 345 | 678 | 910 | NA |
| 62. Sound quality of audio announcements  | 12 | 345 | 678 | 910 | NA |
| 63. Have you used any of the restrooms in GCT during the past 12 months? <input type="checkbox"/> Yes <input type="checkbox"/> No |    |     |     |     |    |
| 64. Cleanliness of rest rooms in GCT  | 12 | 345 | 678 | 910 | NA |
| 65. Cleanliness of GCT (excluding restrooms)  | 12 | 345 | 678 | 910 | NA |

## About Your Trip

66. a. At what station did you board this train today? (Please Print)

b. Is this your home boarding station?

Yes  No

c. If no, please print your home boarding station.

## About Your Trip (continued)

67. How do you usually travel to your home station?

- |   |                                  |
|---|----------------------------------|
| <input type="checkbox"/> Dropped off at station                       | <input type="checkbox"/> Walk    |
| <input type="checkbox"/> Drive and park                               | <input type="checkbox"/> Taxi    |
| <input type="checkbox"/> Carpool/Vanpool                              | <input type="checkbox"/> Bicycle |
| <input type="checkbox"/> Public Bus (Route No. _____ Operator: _____) |                                  |
| <input type="checkbox"/> Other (Please specify) _____                 |                                  |

68. How frequently do you travel on Metro-North?

- |  |  |
|--|--|
| <input type="checkbox"/> 6-7 days per week   | <input type="checkbox"/> 1 - 2 days a month        |
| <input type="checkbox"/> 5 days per week     | <input type="checkbox"/> Other (Specify frequency) |
| <input type="checkbox"/> 3 - 4 days per week |  |
| <input type="checkbox"/> 1 - 2 days per week |  |

69. What type of ticket are you using today?

- |  |                                     |                                  |
|--|-------------------------------------|----------------------------------|
| <input type="checkbox"/> Monthly   | <input type="checkbox"/> Weekly     | <input type="checkbox"/> 10 Trip |
| <input type="checkbox"/> One Way   | <input type="checkbox"/> Round Trip |                                  |
| <input type="checkbox"/> UniTicket (Combined MNR & Bus ticket)           |                                     |                                  |
| <input type="checkbox"/> UniRail (Combined MNR & Shore Line East ticket) |                                     |                                  |
| <input type="checkbox"/> Other (Please specify) _____                    |                                     |                                  |

70. At which station will you end this trip today?

- |   |   |
|---|---|
| <input type="checkbox"/> Grand Central Terminal | <input type="checkbox"/> Harlem-125th St. |
| <input type="checkbox"/> Stamford               | <input type="checkbox"/> White Plains     |
| <input type="checkbox"/> Other (Specify) _____  |   |

71. When you leave the train, how will you get to your final destination?

- |   |                                  |
|---|----------------------------------|
| <input type="checkbox"/> Subway                                       | <input type="checkbox"/> Walk    |
| <input type="checkbox"/> Public Bus (Route No. _____ Operator: _____) |                                  |
| <input type="checkbox"/> Taxi   | <input type="checkbox"/> Bicycle |
| <input type="checkbox"/> Other _____                                  |                                  |

72. What is the purpose of your trip today?

- |   |
|---|
| <input type="checkbox"/> Commute to/from work                         |
| <input type="checkbox"/> Commute to/from school                       |
| <input type="checkbox"/> For business reasons (but not for commuting) |
| <input type="checkbox"/> Personal reasons                             |
| <input type="checkbox"/> Shopping                                     |
| <input type="checkbox"/> Entertainment                                |
| <input type="checkbox"/> Other  |

### About Your Trip *(continued)*

73. What is the zip code of your final destination today? \_\_\_\_\_
74. Under normal service conditions, do you think the number of announcements, (other than station announcements) given on the train are:
- \_\_\_ too many  
 \_\_\_ too few  
 \_\_\_ just right

### About You

74. Do you subscribe to email alerts from Metro-North?  
 \_\_\_ Yes \_\_\_ No \_\_\_ Not aware of email alerts
75. Are you aware of the Train Time mobile app, Metro-North's real-time train status and scheduling tool available via tablets and SmartPhones?  
 \_\_\_ Yes \_\_\_ No
76. Would you be interested in any of the following potential customer amenities if they were offered in GCT? (Check as many as you want)
- \_\_\_ Discount coupon book for GCT stores and restaurants  
 \_\_\_ GCT gift cards  
 \_\_\_ Access to a privately-operated GCT Conference Center and lounge  
 \_\_\_ Personal Shopper Service
77. Which of the following categories includes your age?
- \_\_\_ Under 18 years old      \_\_\_ 45-54 years old  
 \_\_\_ 18-24 years old      \_\_\_ 55-64 years old  
 \_\_\_ 25-34 years old      \_\_\_ 65 years old or more  
 \_\_\_ 35-44 years old
78. Are you: \_\_\_ Male      \_\_\_ Female
79. How long have you been riding Metro-North?
- \_\_\_ Less than one year  
 \_\_\_ 1 - 3 years  
 \_\_\_ 3 - 5 years  
 \_\_\_ 5 - 10 years  
 \_\_\_ 10 years or more
80. What is your home zip code? \_\_\_\_\_
81. In which county or borough do you reside? \_\_\_\_\_

### About You *(continued)*

Metro-North is required by the Federal Transit Administration to ask Questions 82-86 in order to retain federal funding for the railroad

82. Are you:
- \_\_\_ White  
 \_\_\_ Black or African American  
 \_\_\_ American Indian or Alaska Native  
 \_\_\_ Asian  
 \_\_\_ Other (Please specify) \_\_\_\_\_
83. In which country were you born?  
 \_\_\_ United States \_\_\_ Other (Specify: \_\_\_\_\_)
84. In which country or countries were your parents/ancestors born?  
 \_\_\_ United States \_\_\_ Dominican Republic  
 \_\_\_ Mexico \_\_\_ Jamaica  
 \_\_\_ China \_\_\_ Other (Specify: \_\_\_\_\_)
85. In which language would you most prefer to receive written or electronically displayed information from Metro-North?  
 \_\_\_ English \_\_\_ Another language (specify) \_\_\_\_\_  
 \_\_\_ Spanish \_\_\_ No preference
86. In which language would you most prefer to hear announcements from Metro-North (or converse with Metro-North personnel e.g. to ask for travel directions)?  
 \_\_\_ English \_\_\_ Another language (specify) \_\_\_\_\_  
 \_\_\_ Spanish \_\_\_ No preference
87. Including yourself, how many people lived in your household in 2013?  
 \_\_\_ 1 \_\_\_ 3 \_\_\_ 5-6 \_\_\_ 9 or more  
 \_\_\_ 2 \_\_\_ 4 \_\_\_ 7-8
88. What was your approximate annual 2013 household income before taxes and other deductions?
- \_\_\_ Under \$12,500      \_\_\_ \$75,000 to \$99,999  
 \_\_\_ \$12,500 - \$24,999      \_\_\_ \$100,000 to \$199,999  
 \_\_\_ \$25,000 - \$37,499      \_\_\_ \$200,000 to \$299,999  
 \_\_\_ \$37,500 - \$49,999      \_\_\_ \$300,000 or more  
 \_\_\_ \$50,000 - \$74,999

89. Which of the following have you used in the past 30 days?

|  | Have Used | Have Not Used |
|--|-----------|---------------|
| Desktop computer                                   | ___       | ___           |
| Laptop computer                                    | ___       | ___           |
| Tablet/iPad  | ___       | ___           |
| Cell phone without internet access                 | ___       | ___           |
| Smartphone, cell phone or PDA with internet access | ___       | ___           |
| Text message (sent or received)                    | ___       | ___           |
| Used a transit app or widget                       | ___       | ___           |

90. If you are not satisfied with our performance in any of the areas in questions 1 through 65, please explain why below. Please also include any other comments or service suggestions.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### Thank you for taking the time to complete this survey.

If you are interested in participating in future Metro-North market research projects, please write your name, street address, email address and day or evening phone numbers below. All information will be kept confidential.

Name: \_\_\_\_\_

Street: \_\_\_\_\_

City/Town \_\_\_\_\_ Zip Code \_\_\_\_\_

E-mail Address \_\_\_\_\_

Phone (H) \_\_\_\_\_ (W) \_\_\_\_\_

# West of Hudson Questionnaire

## Customer Satisfaction Survey 2014

Si Ud. prefiere completar una version de esta encuesta en Espanol, por favor llame a Metro-North Railroad al 511. Se la haremos llegar a Ud. por correo.



Metro-North Railroad



## Dear MTA Metro-North Customer:

Thank you for riding Metro-North today. To help us find out if your recent travel on Metro-North has been as convenient and comfortable as we would like it to be, please take some time to complete this survey. Your input will allow us to discuss ways to improve with NJ TRANSIT.

When you have completed the survey, please return it to our representative on your train today or the one who will meet this train in Hoboken Terminal or Secaucus Junction. If you prefer, you may mail it back to us within the next three days. The postage has already been paid. Please use only tape to seal it - not staples.

Thank you for your time and cooperation.

Sincerely,



Joseph Giuliotti  
President, MTA Metro-North Railroad



Randolph Glucksman  
Chair, Metro-North Rail Commuter Council

## Instructions

In the first portion of this survey, please tell us how satisfied you have been with various aspects of our services over the past 12 months, beginning with your overall rating, then the environment of your home station and ending when you leave the train.

Please circle one of the numbers in the scale that best reflects your opinion of our service. Circle numbers 1 or 2 if you are "very dissatisfied" with our performance on a regular basis. Circle numbers 3, 4, or 5 to indicate you are generally "dissatisfied" with our service levels and delivery. Circle numbers 6, 7 or 8 if you are generally "satisfied" with our service. Circle 9 or 10 to indicate you are "very satisfied" with aspects of our service.

If you are not familiar with a particular aspect, please circle NA.

### OVER THE PAST 12 MONTHS:

#### Metro-North Overall

How satisfied are you with:

- |   | Disatisfied | Very Dissatisfied | Satisfied | Very Satisfied | NA |
|---|-------------|-------------------|-----------|----------------|----|
| 1. Metro-North overall                    | 12          | 345               | 678       | 910            | NA |
| 2. Value for the money using the railroad | 12          | 345               | 678       | 910            | NA |

#### Your Home Boarding Station

How satisfied are you with:

- |  |    |     |     |     |    |
|--|----|-----|-----|-----|----|
| 3. Your home boarding station overall                            | 12 | 345 | 678 | 910 | NA |
| 4. Directional signage to the station                            | 12 | 345 | 678 | 910 | NA |
| 5. Personal security   | 12 | 345 | 678 | 910 | NA |
| 6. Cleanliness inside the station building (excluding restrooms) | 12 | 345 | 678 | 910 | NA |
| 7. Maintenance of station  | 12 | 345 | 678 | 910 | NA |
| 8. Sound quality of audio announcements                          | 12 | 345 | 678 | 910 | NA |
| 9. Availability of parking on weekdays                           | 12 | 345 | 678 | 910 | NA |
| 10. Security of your car while parked at the station             | 12 | 345 | 678 | 910 | NA |
| 11. Cleanliness of platforms and outdoor shelters                | 12 | 345 | 678 | 910 | NA |
| 12. Cleanliness of the track area around the station             | 12 | 345 | 678 | 910 | NA |

#### On Trains (All time periods)

How satisfied are you with:

- |   |    |     |     |     |    |
|---|----|-----|-----|-----|----|
| 13. MNR train service overall                             | 12 | 345 | 678 | 910 | NA |
| 14. On-time performance                                   | 12 | 345 | 678 | 910 | NA |
| 15. Availability of seats on trains                       | 12 | 345 | 678 | 910 | NA |
| 16. The temperature on the train                          | 12 | 345 | 678 | 910 | NA |
| 17. Personal security on trains                           | 12 | 345 | 678 | 910 | NA |
| 18. Cleanliness of the restrooms                          | 12 | 345 | 678 | 910 | NA |
| 19. Cleanliness of train's interior (excluding restrooms) | 12 | 345 | 678 | 910 | NA |
| 20. Sound quality of audio announcements                  | 12 | 345 | 678 | 910 | NA |
| 21. The Quiet Car Program (when available)                | 12 | 345 | 678 | 910 | NA |

## Courtesy and Responsiveness of Railroad Employees

How satisfied are you with:

- |   | Disatisfied | Very Dissatisfied | Satisfied | Very Satisfied | NA |
|---|-------------|-------------------|-----------|----------------|----|
| 22. The overall courtesy and responsiveness of railroad employees         | 12          | 345               | 678       | 910            | NA |
| 23. Conductors  | 12          | 345               | 678       | 910            | NA |
| 24. Ticket Sellers  | 12          | 345               | 678       | 910            | NA |
| 25. Metro-North Telephone Information Center representatives (in NY: 511) | 12          | 345               | 678       | 910            | NA |

## Train Scheduling

How satisfied are you with:

- |  |    |     |     |     |    |
|--|----|-----|-----|-----|----|
| 26. Overall train schedules  | 12 | 345 | 678 | 910 | NA |
| 27. The weekday AM and PM peak schedule to or from your home station | 12 | 345 | 678 | 910 | NA |
| 28. The weekday off-peak schedule to and from your home station      | 12 | 345 | 678 | 910 | NA |
| 29. The weekend schedule to and from your home station               | 12 | 345 | 678 | 910 | NA |

## Communication

How satisfied are you with:

- |  |    |     |     |     |    |
|--|----|-----|-----|-----|----|
| 30. Our overall communications to you  | 12 | 345 | 678 | 910 | NA |
| 31. Our overall communications during normal service conditions              | 12 | 345 | 678 | 910 | NA |
| 32. Our overall communications during <u>unscheduled</u> service disruptions | 12 | 345 | 678 | 910 | NA |

### Communication during normal service conditions

How satisfied are you with the information we give to you:

- |   |    |     |     |     |    |
|---|----|-----|-----|-----|----|
| 33. At your home boarding station                 | 12 | 345 | 678 | 910 | NA |
| 34. On board our trains                           | 12 | 345 | 678 | 910 | NA |
| 35. At Hoboken Terminal                           | 12 | 345 | 678 | 910 | NA |
| 36. At Secaucus Junction                          | 12 | 345 | 678 | 910 | NA |
| 37. At Penn Station New York                      | 12 | 345 | 678 | 910 | NA |
| 38. On the Metro-North website (www.mta.info)     | 12 | 345 | 678 | 910 | NA |
| 39. On the NJ TRANSIT website (www.njtransit.com) | 12 | 345 | 678 | 910 | NA |

### Communication (cont.)

|  | Dissatisfied | Very Dissatisfied | Satisfied | Very Satisfied |    |
|--|--------------|-------------------|-----------|----------------|----|
| 40. With Metro-North's social media sites (Facebook, Twitter)                          | 12           | 345               | 678       | 910            | NA |
| 41. With Metro-North's automated phone system for schedules, fares, etc. (In NY: 511)  | 12           | 345               | 678       | 910            | NA |
| 42. With Metro-North's Telephone Information Center Representatives (In NY: 511)       | 12           | 345               | 678       | 910            | NA |
| 43. With NJ TRANSIT's automated phone system for schedules, fares, etc. (973-275-5555) | 12           | 345               | 678       | 910            | NA |
| 44. With NJ TRANSIT's Travel Information Center Representatives (973-275-5555)         | 12           | 345               | 678       | 910            | NA |

#### Communication during unscheduled service disruptions

How satisfied are you with the information we give you about the length and cause of the delay :

|  |    |     |     |     |    |
|--|----|-----|-----|-----|----|
| 45. At your home boarding station  | 12 | 345 | 678 | 910 | NA |
| 46. On board our trains  | 12 | 345 | 678 | 910 | NA |
| 47. At Hoboken Terminal  | 12 | 345 | 678 | 910 | NA |
| 48. At Secaucus Junction   | 12 | 345 | 678 | 910 | NA |
| 49. At Penn Station New York   | 12 | 345 | 678 | 910 | NA |
| 50. In the "Service Status" box on the Metro-North website (www.mta.info)              | 12 | 345 | 678 | 910 | NA |
| 51. With Metro-North's automated phone system for schedules, fares, etc. (In NY: 511)  | 12 | 345 | 678 | 910 | NA |
| 52. With Metro-North's Telephone Information Center Representatives (In NY: 511)       | 12 | 345 | 678 | 910 | NA |
| 53. On the NJ TRANSIT website (www.njtransit.com)                                      | 12 | 345 | 678 | 910 | NA |
| 54. With NJ TRANSIT's automated phone system for schedules, fares, etc. (973-275-5555) | 12 | 345 | 678 | 910 | NA |
| 55. With NJ TRANSIT's Telephone Information Center Representatives (973-275-5555)      | 12 | 345 | 678 | 910 | NA |

### Hoboken Terminal

How satisfied are you with:

|  | Dissatisfied | Very Dissatisfied | Satisfied | Very Satisfied |    |
|--|--------------|-------------------|-----------|----------------|----|
| 56. Hoboken Terminal overall   | 12           | 345               | 678       | 910            | NA |
| 57. Personal security in Hoboken Terminal  | 12           | 345               | 678       | 910            | NA |
| 58. Have you used any of the restrooms in Hoboken Terminal during the past 12 months?<br>___ Yes (continue)      ___ No (Go to Q.59) |              |                   |           |                |    |
| 59. Cleanliness of restrooms   | 12           | 345               | 678       | 910            | NA |
| 60. Cleanliness of the terminal (excluding restrooms)  | 12           | 345               | 678       | 910            | NA |

### Secaucus Junction

How satisfied are you with:

|  |    |     |     |     |    |
|--|----|-----|-----|-----|----|
| 61. Secaucus Junction overall              | 12 | 345 | 678 | 910 | NA |
| 62. Personal security in Secaucus Junction | 12 | 345 | 678 | 910 | NA |

### About Your Trip

63. a. At what station did you board this train today? (Please Print)

b. Is this your home boarding station?

\_\_\_ Yes    \_\_\_ No

c. If no, please print your home boarding station.

64. How do you usually travel to your home station?

\_\_\_ Dropped off at station    \_\_\_ Taxi  
 \_\_\_ Drive and park    \_\_\_ Walk  
 \_\_\_ Carpool/Vanpool    \_\_\_ Bicycle  
 \_\_\_ Public Bus (Route No. \_\_\_ Operator: \_\_\_)  
 \_\_\_ Other (Please specify) \_\_\_\_\_

65. How frequently do you travel on Metro-North?

\_\_\_ 6-7 days per week  
 \_\_\_ 5 days per week  
 \_\_\_ 1-2 days per week  
 \_\_\_ 3-4 days per week  
 \_\_\_ 1-2 days a month  
 \_\_\_ Other (Specify frequency) \_\_\_\_\_

66. What type of ticket are you using today?

\_\_\_ Monthly    \_\_\_ Weekly    \_\_\_ 10 Trip  
 \_\_\_ One Way    \_\_\_ Round Trip

### About Your Trip (cont.)

67. At which station will you end this trip today?

\_\_\_ Hoboken Terminal    \_\_\_ Secaucus Junction  
 Other (Specify) \_\_\_\_\_

68. When you leave the train, how will you get to your final destination?

\_\_\_ NYC subway or bus    \_\_\_ Walk  
 \_\_\_ Ferry to midtown Manhattan    \_\_\_ PATH  
 \_\_\_ Ferry to downtown Manhattan    \_\_\_ Bicycle  
 \_\_\_ Other (specify) \_\_\_\_\_

69. (MANHATTAN-BOUND CUSTOMERS ONLY) Which of the following areas of Manhattan will be your final destination today?

\_\_\_ Above 60th Street  
 \_\_\_ 34th-60th Streets, 5th Avenue and EAST  
 \_\_\_ 34th-60th Streets WEST of 5th Avenue  
 \_\_\_ 14th-33rd Streets  
 \_\_\_ Canal Street to 13th Street  
 \_\_\_ Below Canal Street

70. What is the purpose of your trip today?

\_\_\_ Commute to/from work  
 \_\_\_ Commute to/from school  
 \_\_\_ For business reasons (but not for commuting)  
 \_\_\_ Personal reasons  
 \_\_\_ Shopping  
 \_\_\_ Entertainment  
 \_\_\_ Other

71. What is the zip code of your final destination today?

\_\_\_\_\_

### About You

72. Which of the following categories includes your age?

\_\_\_ Under 18 years old  
 \_\_\_ 18-24 years old  
 \_\_\_ 25-34 years old  
 \_\_\_ 35-44 years old  
 \_\_\_ 45-54 years old  
 \_\_\_ 55-64 years old  
 \_\_\_ 65 years old or more

73. Are you: \_\_\_ Male    \_\_\_ Female

## About you (cont.)

74. How long have you been riding Metro-North?

- Less than one year  
 1 – 3 years  
 3 – 5 years  
 5 – 10 years  
 10 years or more

75. What is your home zip code? \_\_\_\_\_

76. In which county do you reside?

- Orange  
 Rockland  
 Other (Specify: \_\_\_\_\_)

Metro-North is required by the Federal Transit Administration to ask Questions 77-81 in order to retain federal funding for the railroad

77. Are you:

- White  
 Black or African American  
 American Indian or Alaska Native  
 Asian  
 Other (Specify: \_\_\_\_\_)

78. In which country were you born?

- United States  Other (Specify: \_\_\_\_\_)

79. In which country or countries were your parents/ancestors born?

- United States  Dominican Republic  
 Mexico  Jamaica  
 China  Other (Specify: \_\_\_\_\_)

80. In which language would you most prefer to receive written or electronically displayed information from Metro-North?

- English  Another language (specify) \_\_\_\_\_  
 Spanish  No preference

81. In which language would you most prefer to hear announcements from Metro-North (or converse with Metro-North personnel e.g. to ask for travel directions)?

- English  Another language (specify) \_\_\_\_\_  
 Spanish  No preference

82. Including yourself, how many people lived in your household in 2013?

- 1  3  5-6  9 or more  
 2  4  7-8

83. What was your approximate annual 2013 household income before taxes and other deductions?

- Under \$12,500  \$75,000 to \$99,999  
 \$12,500 – \$24,999  \$100,000 to \$199,999  
 \$25,000 - \$37,499  \$200,000 to \$299,999  
 \$37,500 - \$49,999  \$300,000 or more  
 \$50,000 - \$74,999

84. If you are not satisfied with our performance in any of the areas in questions 1 through 62, please explain why below. Please also include any other comments or service suggestions.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

If you are interested in participating in future Metro-North market research projects, please write your name, street address, email address and day or evening phone numbers below. All information will be kept confidential.

Name: \_\_\_\_\_

Street: \_\_\_\_\_

City/Town \_\_\_\_\_ Zip Code \_\_\_\_\_

E-mail Address \_\_\_\_\_

Phone (H) \_\_\_\_\_ (W) \_\_\_\_\_

**Thank you for taking the time to complete this survey.**



# **SERVICE ATTRIBUTE RATINGS 2010-2014**



| CUSTOMER SATISFACTION RATINGS OF METRO-NORTH RAILROAD            |                 |           |           |           |           |
|--|-----------------|-----------|-----------|-----------|-----------|
| EAST OF HUDSON   | TOTAL SATISFIED |           |           |           |           |
|  | 2010            | 2011      | 2012      | 2013      | 2014      |
|  | %               | %         | %         | %         | %         |
| <b>1. Metro-North Railroad overall</b>                           | <b>93</b>       | <b>89</b> | <b>93</b> | <b>93</b> | <b>73</b> |
| 2. Value for the money using the railroad                        | 74              | 70        | 76        | 73        | 59        |
| <b>Home Boarding Station</b>                                     |                 |           |           |           |           |
| 3. Your home boarding station overall                            | 88              | 89        | 89        | 89        | 87        |
| 4. Directional signage to the station                            | 88              | 87        | 89        | 89        | 87        |
| 5. Personal security   | 87              | 87        | 87        | 86        | 87        |
| 6. Cleanliness inside the station building (excluding restrooms) | 83              | 84        | 85        | 86        | 84        |
| 7. Maintenance of station  | 84              | 85        | 87        | 87        | 84        |
| 8. Sound quality of audio announcements                          | 75              | 74        | 77        | 75        | 71        |
| 9. Availability of parking on weekdays                           | 65              | 62        | 68        | 70        | 67        |
| 10. Security of your car while parked at the station             | 87              | 86        | 88        | 88        | 88        |
| 11. Cleanliness of platforms and outdoor shelters                | 85              | 86        | 87        | 88        | 85        |
| 12. Cleanliness of the track area around the station             | 81              | 81        | 82        | 83        | 80        |
| <b>On Trains (AM &amp; PM)</b>                                   |                 |           |           |           |           |
| 13. MNR train service overall                                    | 92              | 88        | 92        | 91        | 72        |
| 14. On-time performance  | 91              | 88        | 91        | 86        | 58        |
| 15. Availability of seats on train                               | 73              | 72        | 77        | 77        | 69        |
| 16. The temperature on the train                                 | 81              | 81        | 87        | 87        | 84        |
| 17. Personal security  | 94              | 94        | 95        | 95        | 93        |
| 18. Cleanliness of the restrooms                                 | 56              | 55        | 61        | 66        | 68        |
| 19. Cleanliness of train's interior (excluding rest rooms)       | 76              | 75        | 80        | 83        | 81        |
| 20. Sound quality of audio announcements                         | 78              | 77        | 80        | 81        | 79        |
| 21. The Quiet Car Program  | NA              | NA        | NA        | NA        | 87        |



| Metro-North Railroad  | TOTAL SATISFIED |      |      |      |      |
|---|-----------------|------|------|------|------|
|   | 2010            | 2011 | 2012 | 2013 | 2014 |
|   | %               | %    | %    | %    | %    |
| <b>Communication</b>  |                 |      |      |      |      |
| <b>Courtesy and Responsiveness of Employees</b>   |                 |      |      |      |      |
| 22. The overall courtesy and responsiveness of our employees                            | 94              | 95   | 95   | 95   | 92   |
| 23. Conductors  | 95              | 96   | 95   | 96   | 93   |
| 24. Ticket Sellers  | 91              | 90   | 91   | 91   | 89   |
| 25. Customer Service Representatives (ushers) in GCT                                    | 92              | 92   | 92   | 92   | 89   |
| 26. Information Booth and Station Master's Office Personnel at GCT                      | 91              | 92   | 93   | 92   | 90   |
| 27. Telephone Information Center Representatives  | NA              | NA   | NA   | 91   | 86   |
| 28. Professional Appearance of Conductors   | NA              | NA   | NA   | 96   | 94   |
| <b>Train Scheduling</b>   |                 |      |      |      |      |
| 29. Overall train schedules   | 88              | 86   | 89   | 89   | 77   |
| 30. The weekday AM and PM peak schedule to and from your station                        | 87              | 86   | 88   | 88   | 76   |
| 31. The weekday off-peak schedule to and from your station including late night service | 81              | 80   | 83   | 84   | 78   |
| 32. The weekend schedule to and from your station                                       | 80              | 79   | 82   | 85   | 79   |
| 33. Our overall communication to you  | 91              | 88   | 91   | 91   | 78   |
| 34. Our overall communications during normal service conditions                         | NA              | 91   | 93   | 93   | 85   |
| 35. Our overall communications during unplanned service disruptions                     | NA              | 71   | 76   | 76   | 56   |
| 36. Overall communications during planned service disruptions (track work, etc.)        | NA              | 84   | 88   | 84   | 69   |
| <b>Communication during normal service conditions</b>                                   |                 |      |      |      |      |
| 37. At your home boarding station   | 87              | 82   | 86   | 86   | 76   |
| 38. On board our trains   | 90              | 89   | 90   | 90   | 82   |
| 39. At GCT  | 93              | 89   | 92   | 92   | 84   |
| 40. On our website (www.mta.info)   | 92              | 91   | 92   | 90   | 81   |
| 41. Via our email alerts (if you subscribe)   | NA              | NA   | NA   | NA   | 81   |
| 42. Via our social media sites (on Facebook and Twitter)                                | NA              | NA   | NA   | NA   | 79   |
| 43. Through the TrainTime Mobile App (if used)  | NA              | NA   | NA   | NA   | 79   |
| 44. With the automated phone system for schedules, fares, etc.                          | 87              | 86   | 87   | 88   | 78   |
| 45. With Travel Information Phone Center Representatives                                | 91              | 87   | 86   | 87   | 77   |

| Metro-North Railroad   | TOTAL SATISFIED |      |      |      |      |
|--|-----------------|------|------|------|------|
|  | 2010            | 2011 | 2012 | 2013 | 2014 |
|  | %               | %    | %    | %    | %    |
| <b>Communication</b>   |                 |      |      |      |      |
| <b>Communication (During Unplanned Service Disruptions)</b>                      |                 |      |      |      |      |
| 46. At your boarding station   | 76              | 67   | 73   | 71   | 55   |
| 47. On board our trains  | 81              | 75   | 80   | 78   | 63   |
| 48. At Grand Central Terminal  | 83              | 76   | 81   | 79   | 65   |
| 49. On our website (www.mta.info)  | 82              | 80   | 83   | 80   | 67   |
| 50. Through the "Service Status" box on our website                              | NA              | 81   | 85   | 81   | 67   |
| 51. Via our e-mail alerts (if you subscribe)                                     | 83              | 82   | 86   | 85   | 69   |
| 52. Via our social media sites (on Facebook and Twitter)                         | NA              | NA   | NA   | NA   | 68   |
| 53. Through the TrainTime Mobile App (if used)                                   | NA              | NA   | NA   | NA   | 70   |
| 54. With the automated phone system for schedules, fares, etc.                   | 82              | 80   | 83   | 84   | 71   |
| 55. With Travel Information Phone Center representatives                         | 87              | 80   | 84   | 84   | 70   |
| <b>Grand Central Terminal (GCT)</b>  |                 |      |      |      |      |
| 56. Grand Central Terminal overall   | 97              | 97   | 97   | 97   | 96   |
| 57. The Station Master's Office, including the customer waiting area             | 94              | 94   | 94   | 93   | 91   |
| 58. Personal security  | 95              | 95   | 95   | 96   | 93   |
| 59. Customer information given on digital screens near MetLife escalator         | NA              | NA   | NA   | NA   | 93   |
| 60. Presence of MTA Police   | 93              | 94   | 94   | 95   | 91   |
| 61. Signs providing direction to/from connecting buses or subways                | 92              | 90   | 93   | 94   | 90   |
| 62. Sound quality of audio announcements   | 89              | 85   | 87   | 86   | 81   |
| 63. Have you used any of the restrooms in GCT during the past 12 months? (% Yes) | NA              | 78   | 77   | 78   | 77   |
| 64. Cleanliness of rest rooms in GCT   | 76              | 65   | 65   | 70   | 64   |
| 65. Cleanliness of GCT (excluding restrooms)                                     | 94              | 94   | 94   | 94   | 92   |



| WEST OF HUDSON   | Total Satisfied |           |           |           |           |
|--|-----------------|-----------|-----------|-----------|-----------|
|  | 2010            | 2011      | 2012      | 2013      | 2014      |
|  | %               | %         | %         | %         | %         |
| <b>1. Metro-North Railroad overall</b>                           | <b>86</b>       | <b>86</b> | <b>92</b> | <b>90</b> | <b>89</b> |
| 2. Value for the money using the railroad                        | 64              | 63        | 90        | 68        | 74        |
| <b>Home Boarding Station</b>                                     |                 |           |           |           |           |
| 3. Your home boarding station overall                            | 89              | 90        | 90        | 91        | 88        |
| 4. Directional signage to the station                            | 86              | 87        | 87        | 87        | 86        |
| 5. Personal security   | 77              | 81        | 82        | 85        | 84        |
| 6. Cleanliness inside the station building (excluding restrooms) | 80              | 82        | 81        | 82        | 82        |
| 7. Maintenance of station  | 84              | 83        | 85        | 85        | 84        |
| 8. Sound quality of audio announcements                          | 60              | 58        | 67        | 65        | 58        |
| 9. Availability of parking on weekdays                           | 91              | 91        | 94        | 93        | 92        |
| 10. Security of your car while parked at the station             | 80              | 85        | 89        | 90        | 90        |
| 11. Cleanliness of platforms and outdoor shelters                | 85              | 85        | 86        | 87        | 87        |
| 12. Cleanliness of the track area around the station             | 82              | 85        | 86        | 87        | 87        |
| <b>On Trains (AM &amp; PM)</b>                                   |                 |           |           |           |           |
| 13. MNR train service overall                                    | 83              | 87        | 92        | 90        | 89        |
| 14. On-time performance  | 84              | 84        | 92        | 89        | 87        |
| 15. Availability of seats on train                               | 80              | 84        | 93        | 89        | 88        |
| 16. The temperature on the train                                 | 79              | 74        | 82        | 89        | 89        |
| 17. Personal security  | 93              | 94        | 97        | 94        | 95        |
| 18. Cleanliness of the restrooms                                 | 62              | 59        | 75        | 69        | 68        |
| 19. Cleanliness of train's interior (excluding rest rooms)       | 83              | 83        | 89        | 88        | 88        |
| 20. Sound quality of audio announcements                         | 68              | 63        | 78        | 76        | 76        |

| WEST OF HUDSON  | Total Satisfied |      |      |      |      |
|---|-----------------|------|------|------|------|
|   | 2010            | 2011 | 2012 | 2013 | 2014 |
| <b>Courtesy and Responsiveness of Employees</b>   | %               | %    | %    | %    |      |
| 21. The overall courtesy and responsiveness of our employees                            | 90              | 91   | 95   | 94   | 94   |
| 22. Conductors  | 91              | 92   | 96   | 96   | 95   |
| 23. Ticket Sellers  | 86              | 90   | 92   | 90   | 92   |
| 24. Information Center Representatives (In NY: 511)                                     | NA              | NA   | NA   | 79   | 80   |
| <b>Train Scheduling</b>   |                 |      |      |      |      |
| 25. Overall train schedules   | 59              | 62   | 69   | 68   | 67   |
| 26. The weekday AM and PM peak schedule to and from your station                        | 64              | 67   | 74   | 71   | 72   |
| 27. The weekday off-peak schedule to and from your station including late night service | 49              | 48   | 56   | 56   | 57   |
| 28 The weekend schedule to and from your station  | 52              | 54   | 59   | 61   | 60   |



| WEST OF HUDSON   | Total Satisfied |      |      |      |      |
|--|-----------------|------|------|------|------|
|  | 2010            | 2011 | 2012 | 2013 | 2014 |
| <b>Communication</b>   | %               | %    | %    | %    | %    |
| 29. Our overall communication to you   | 76              | 80   | 86   | 84   | 79   |
| 30. Our overall communications during normal service conditions                            | NA              | 86   | 88   | 88   | 82   |
| 31. Our overall communications during <u>unplanned</u> service disruptions                 | NA              | 55   | 74   | 72   | 63   |
| <b>Communication during normal service conditions</b>                                      |                 |      |      |      |      |
| 32. At your boarding station   | 70              | 70   | 78   | 77   | 75   |
| 33. On board our trains  | 83              | 81   | 87   | 86   | 86   |
| 34. At Hoboken Terminal  | 84              | 83   | 88   | 82   | 84   |
| 35. At Secaucus Junction   | 84              | 83   | 91   | 90   | 87   |
| 36. At Penn Station New York   | NA              | 73   | 83   | 81   | 75   |
| 37. On the Metro-North website   | 85              | 83   | 90   | 86   | 84   |
| 38. On the NJ TRANSIT website ( <a href="http://www.njtransit.com">www.njtransit.com</a> ) | 85              | 83   | 91   | 88   | 84   |
| 39. With Metro-North's automated phone system for schedules, fares, etc.                   | 73              | 77   | 81   | 79   | 81   |
| 40. With Metro-North's Travel Information Center Representatives                           | 73              | 77   | 87   | 75   | 76   |
| 41. With NJ TRANSIT's automated phone system for schedules, fares, etc.                    | 70              | 73   | 82   | 76   | 75   |
| 42. With NJ TRANSIT's Travel Information Center Representatives                            | 73              | 74   | 84   | 77   | 78   |
| <b>Communication (During Unplanned Service Disruptions)</b>                                |                 |      |      |      |      |
| 43. At your boarding station   | 54              | 50   | 65   | 63   | 57   |
| 44. On board our trains  | 72              | 67   | 80   | 76   | 74   |
| 45. At Hoboken Terminal  | 71              | 66   | 77   | 71   | 72   |
| 46. At Secaucus Junction   | 76              | 71   | 80   | 80   | 73   |
| 47. At Penn Station New York   | NA              | 64   | 75   | 73   | 66   |
| 48. On the Metro-North website   | 73              | 66   | 83   | 79   | 75   |
| 49. With Metro-North's automated phone system for schedules, fares, etc.                   | 66              | 65   | 74   | 71   | 75   |
| 50. With Metro-North's Travel Information Center Representatives                           | 70              | 64   | 77   | 73   | 76   |
| 51. On the NJ TRANSIT website ( <a href="http://www.njtransit.com">www.njtransit.com</a> ) | 74              | 72   | 80   | 80   | 77   |
| 52. With NJ TRANSIT's automated phone system for schedules, fares, etc.                    | 68              | 63   | 79   | 74   | 73   |
| 53. With NY TRANSIT'S Travel Information Center Representatives                            | 67              | 64   | 77   | 73   | 74   |

| WEST OF HUDSON  | Total Satisfied |           |           |           |           |
|---|-----------------|-----------|-----------|-----------|-----------|
|   | 2010            | 2011      | 2012      | 2013      | 2014      |
|   | %               | %         | %         | %         | %         |
| <b>54. Hoboken Terminal overall</b>   | <b>86</b>       | <b>79</b> | <b>82</b> | <b>67</b> | <b>83</b> |
| 55. Cleanliness of the Terminal (excluding restrooms)   | 87              | 77        | 79        | 75        | 85        |
| 56. Personal security   | 89              | 87        | 90        | 89        | 90        |
| 57. Have you used any of the restrooms in Hoboken Terminal during the past 12 months? (% Yes) | NA              | 77        | 68        | 49        | 66        |
| 58. Cleanliness of restrooms  | 73              | 66        | 59        | 54        | 71        |
| <b>Secaucus Junction</b>  |                 |           |           |           |           |
| 59. Secaucus Junction overall   | 92              | 92        | 94        | 93        | 93        |
| 60. Personal security   | NA              | 95        | 97        | 96        | 97        |



**MNR Diversity/EEO Report**  
**3<sup>rd</sup> Quarter 2014**  
**November 2014**

## OVERVIEW

MTA Metro-North Railroad has conducted an availability analysis of females and minorities in its workforce. The availability analysis consists of comparing Metro-North's September 30, 2014 workforce percentages for females and minorities to 80 percent of the females and minorities available within the relevant labor market based on the U.S. Census.

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

2014, 3RD QUARTER EEO REPORT

AGENCY NAME: METRO-NORTH RAILROAD

**WORKFORCE UTILIZATION ANALYSIS  
AS OF 9/30/14**

| JOB CATEGORY               | FEMALES*  |          |                    | BLACKS    |          |                    | HISPANICS |          |                    | ASIANS    |          |                    | AI/AN**   |          |                    | NHOPJ***  |          |                    | OTHER     |          |                    |
|----------------------------|-----------|----------|--------------------|-----------|----------|--------------------|-----------|----------|--------------------|-----------|----------|--------------------|-----------|----------|--------------------|-----------|----------|--------------------|-----------|----------|--------------------|
|                            | Est Avail | Actual % | Met Avail (Yes/No) | Est Avail | Actual % | Met Avail (Yes/No) | Est Avail | Actual % | Met Avail (Yes/No) | Est Avail | Actual % | Met Avail (Yes/No) | Est Avail | Actual % | Met Avail (Yes/No) | Est Avail | Actual % | Met Avail (Yes/No) | Est Avail | Actual % | Met Avail (Yes/No) |
| Officials & Administrators | 26%       | 23%      | No                 | 8%        | 15%      | Yes                | 9%        | 6%       | No                 | 7%        | 7%       | Yes                | 0%        | 0%       | Yes                | 0%        | 0%       | Yes                | 1%        | 2%       | Yes                |
| Professionals              | 33%       | 34%      | Yes                | 7%        | 19%      | Yes                | 6%        | 12%      | Yes                | 11%       | 15%      | Yes                | 0%        | 0%       | Yes                | 0%        | 0%       | Yes                | 1%        | 2%       | Yes                |
| Technicians                | 26%       | 7%       | No                 | 10%       | 19%      | Yes                | 8%        | 6%       | No                 | 18%       | 11%      | No                 | 0%        | 0%       | Yes                | 0%        | 0%       | Yes                | 1%        | 2%       | Yes                |
| Protective Services        | 0%        | 0%       | Yes                |
| Paraprofessionals          | 69%       | 55%      | No                 | 12%       | 14%      | Yes                | 12%       | 14%      | Yes                | 5%        | 22%      | Yes                | 0%        | 0%       | Yes                | 0%        | 0%       | Yes                | 1%        | 2%       | Yes                |
| Administrative Support     | 59%       | 43%      | No                 | 14%       | 34%      | Yes                | 15%       | 13%      | No                 | 6%        | 4%       | No                 | 0%        | 1%       | Yes                | 0%        | 0%       | Yes                | 1%        | 4%       | Yes                |
| Skilled Craft              | 3%        | 6%       | Yes                | 12%       | 18%      | Yes                | 10%       | 8%       | No                 | 2%        | 2%       | Yes                | 1%        | 0%       | No                 | 0%        | 0%       | Yes                | 2%        | 2%       | Yes                |
| Service Maintenance        | 8%        | 14%      | Yes                | 15%       | 35%      | Yes                | 27%       | 17%      | No                 | 3%        | 1%       | No                 | 0%        | 0%       | Yes                | 0%        | 0%       | Yes                | 1%        | 2%       | Yes                |

Metro-North Railroad has conducted a utilization analysis of females and minorities in its workforce. The utilization analysis compares MNR'S September 30, 2014 actual workforce percentages for females and minorities in the above-indicated job categories to labor market availability percentages (at the 80% level). Availability percentages for external labor market availability are computed based on the percentage of females and minorities in the same job categories in the relevant labor market, as measured by the U.S. Census data. MNR's availability analysis now uses un-weighted U.S. Census data for each of the counties composing the relevant identified labor market, in order to standardize the availability analysis methodology across all MTA agencies.

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

\*\*American Indian/Alaskan Native

\*\*\*Native Hawaiian Other Pacific Islander

**DEFINITIONS OF EEO JOB CATEGORIES:**

**Officials & Administrators**

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

**Professionals**

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

**Technicians**

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

**Protective Services**

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

**Paraprofessionals**

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

**Administrative Support**

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

**Skilled Craft**

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

**Service Maintenance**

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

**2014, 3RD QUARTER EEO REPORT**

**AGENCY NAME: METRO-NORTH RAILROAD**

**NEW HIRES  
AS OF 9/30/14**

| JOB CATEGORY               | TOTAL <sup>1</sup> | FEMALES <sup>2</sup> |              | BLACKS    |              | HISPANICS |              | ASIANS    |             | AI/AN    |             | NHOPI    |             | OTHER    |             |
|----------------------------|--------------------|----------------------|--------------|-----------|--------------|-----------|--------------|-----------|-------------|----------|-------------|----------|-------------|----------|-------------|
|                            |                    | #                    | %            | #         | %            | #         | %            | #         | %           | #        | %           | #        | %           | #        | %           |
| Officials & Administrators | 22                 | 6                    | 27.3%        | 3         | 13.6%        | 1         | 4.5%         | 6         | 27.3%       | 0        | 0.0%        | 0        | 0.0%        | 0        | 0.0%        |
| Professionals              | 27                 | 7                    | 25.9%        | 5         | 18.5%        | 5         | 18.5%        | 5         | 18.5%       | 0        | 0.0%        | 0        | 0.0%        | 0        | 0.0%        |
| Technicians                | 11                 | 2                    | 18.2%        | 0         | 0.0%         | 3         | 27.3%        | 2         | 18.2%       | 0        | 0.0%        | 0        | 0.0%        | 1        | 9.1%        |
| Protective Services        | 0                  | 0                    | 0.0%         | 0         | 0.0%         | 0         | 0.0%         | 0         | 0.0%        | 0        | 0.0%        | 0        | 0.0%        | 0        | 0.0%        |
| Paraprofessionals          | 4                  | 2                    | 50.0%        | 0         | 0.0%         | 1         | 25.0%        | 0         | 0.0%        | 0        | 0.0%        | 0        | 0.0%        | 0        | 0.0%        |
| Administrative Support     | 75                 | 32                   | 42.7%        | 15        | 20.0%        | 19        | 25.3%        | 11        | 14.7%       | 0        | 0.0%        | 0        | 0.0%        | 2        | 2.7%        |
| Skilled Craft              | 169                | 10                   | 5.9%         | 30        | 17.8%        | 22        | 13.0%        | 5         | 3.0%        | 0        | 0.0%        | 0        | 0.0%        | 2        | 1.2%        |
| Service Maintenance        | 106                | 12                   | 11.3%        | 28        | 26.4%        | 23        | 21.7%        | 2         | 1.9%        | 0        | 0.0%        | 0        | 0.0%        | 2        | 1.9%        |
| <b>Total</b>               | <b>414</b>         | <b>71</b>            | <b>17.1%</b> | <b>81</b> | <b>19.6%</b> | <b>74</b> | <b>17.9%</b> | <b>31</b> | <b>7.5%</b> | <b>0</b> | <b>0.0%</b> | <b>0</b> | <b>0.0%</b> | <b>7</b> | <b>1.7%</b> |

<sup>1</sup> Total includes male and female new hires, both minority and non-minority.

<sup>2</sup> Total includes female new hires, both minority and non-minority.

**2014, 3RD QUARTER EEO REPORT**

**AGENCY NAME: METRO-NORTH RAILROAD**

**EEO AND TITLE VI COMPLAINTS**

**1/1/14 to 9/30/14<sup>1</sup>**

| Category            | Race      | Disability | Gender    | National Origin | Age       | Sexual Harassment | Religion | Other <sup>2</sup> | Total Issues <sup>3</sup> | Total Cases | Status (# Open) |
|---------------------|-----------|------------|-----------|-----------------|-----------|-------------------|----------|--------------------|---------------------------|-------------|-----------------|
| <b>EEO</b>          | <b>20</b> | <b>11</b>  | <b>15</b> | <b>5</b>        | <b>15</b> | <b>3</b>          | <b>3</b> | <b>18</b>          | <b>90</b>                 | <b>56</b>   | <b>20</b>       |
| External Complaints | 10        | 11         | 5         | 2               | 12        | 0                 | 3        | 14                 | 57                        | 27          | 12              |
| Internal Complaints | 10        | 0          | 10        | 3               | 3         | 3                 | 0        | 4                  | 33                        | 29          | 8               |

| Category        | Race     | National Origin | Color    | Total Issues <sup>3</sup> | Total Cases | Status (# Open) |
|-----------------|----------|-----------------|----------|---------------------------|-------------|-----------------|
| <b>Title VI</b> | <b>9</b> | <b>0</b>        | <b>0</b> | <b>9</b>                  | <b>9</b>    | <b>0</b>        |

<sup>1</sup> This chart includes all pending matters as of the date of the report; some of the matters were filed prior to the reporting period.

<sup>2</sup> "Other" contains all EEO categories not otherwise specifically mentioned on the chart.

<sup>3</sup> In some instances a single complaint may involve two or more EEO categories.

**EEO DISCRIMINATION COMPLAINT RESOLUTION FROM 1/1/14 TO 9/30/14  
EXTERNAL**

| <b>Agency</b>  | <b>Decided In Favor of Agency</b> | <b>Decided In Favor of Complainant</b> | <b>Administrative Closure</b> | <b>Withdrawn</b> | <b>Dismissed</b> | <b>Resolved / Settled</b> | <b>Total</b> |
|----------------|-----------------------------------|--|-------------------------------|------------------|------------------|---------------------------|--------------|
| <b>MTA MNR</b> | 8                                 | 0                                      | 7                             | 0                | 0                | 0                         | 15           |

**EEO DISCRIMINATION COMPLAINT RESOLUTION FROM 1/1/14 TO 9/30/14  
INTERNAL**

| <b>Agency</b>  | <b>Decided In Favor of Agency</b> | <b>Decided In Favor of Complainant</b> | <b>Administrative Closure</b> | <b>Withdrawn</b> | <b>Dismissed</b> | <b>Resolved / Settled</b> | <b>Total</b> |
|----------------|-----------------------------------|--|-------------------------------|------------------|------------------|---------------------------|--------------|
| <b>MTA MNR</b> | 10                                | 3                                      | 8                             | 0                | 0                | 0                         | 21           |

**TITLE VI COMPLAINT RESOLUTION FROM 1/1/14 TO 9/30/14  
DETERMINATION**

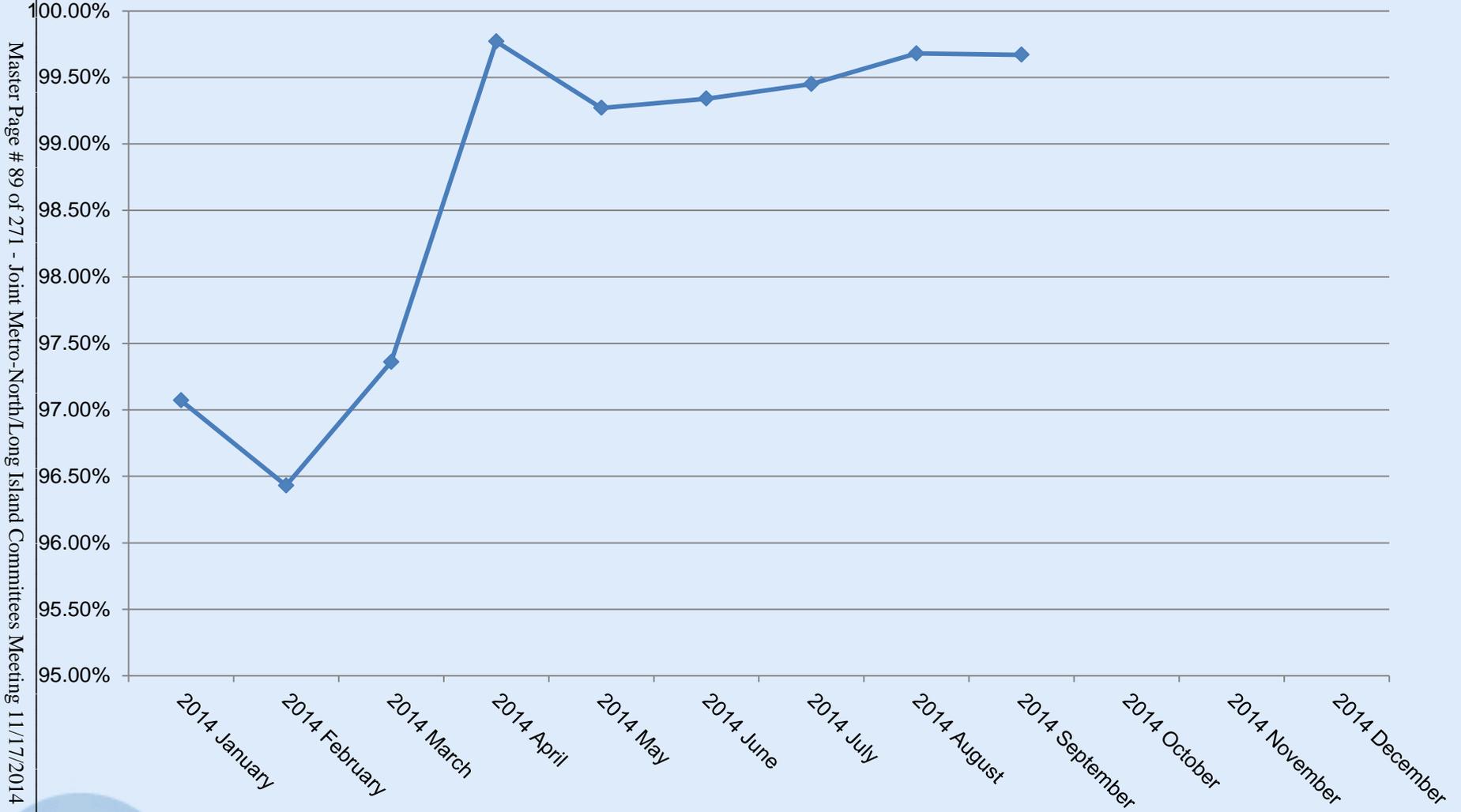
| <b>Agency</b>  | <b>Decided In Favor of Agency</b> | <b>Decided In Favor of Complainant</b> | <b>Administrative Closure</b> | <b>Withdrawn</b> | <b>Dismissed</b> | <b>Resolved / Settled</b> | <b>Total</b> |
|----------------|-----------------------------------|--|-------------------------------|------------------|------------------|---------------------------|--------------|
| <b>MTA MNR</b> | 5                                 | 0                                      | 4                             | 0                | 0                | 0                         | 9            |

# Metro-North Railroad Elevator/Escalator

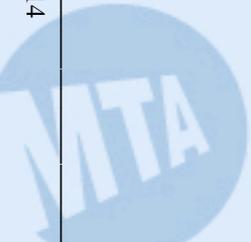
3<sup>rd</sup> Quarter Report  
2014



# Passenger Elevator Availability

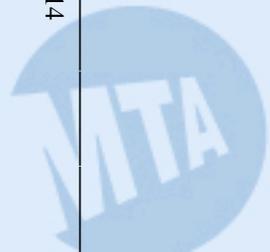


Definition: Availability measures the percent of time that a unit is running and available for customer service **as of 7:00 AM daily**.



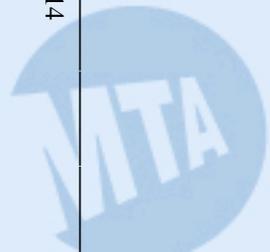
# 2014 3<sup>rd</sup> Quarter Elevator Availability by Station – Hudson Line

| Elevator Name     | Elevator Number | % Available (Mechanical Failures only) | Elevator Name                | Elevator Number | % Available (Mechanical Failures only) |
|-------------------|-----------------|--|------------------------------|-----------------|--|
| ARDSLEY-ON-HUDSON | 026N            | 100%                                   | HARLEM 125th                 | 002S            | 100%                                   |
| ARDSLEY-ON-HUDSON | 026S            | 100%                                   | HASTINGS-ON-HUDSON           | 022N            | 100%                                   |
| BEACON            | 056I            | 100%                                   | HASTINGS-ON-HUDSON           | 022S            | 100%                                   |
| COLD SPRING       | 054N            | 96%                                    | GRAND CENTRAL TERMINAL       | T-6             | 99%                                    |
| COLD SPRING       | 054S            | 99%                                    | GRAND CENTRAL TERMINAL       | T-7             | 100%                                   |
| CORTLANDT         | 043P            | 100%                                   | GRAND CENTRAL TERMINAL       | T-8             | 100%                                   |
| CORTLANDT         | 043I            | 100%                                   | GRAND CENTRAL TERMINAL       | T-9             | 99%                                    |
| CORTLANDT         | 043PW           | 100%                                   | GRAND CENTRAL TERMINAL       | T-10            | 100%                                   |
| CROTON-HARMON     | 3813            | 100%                                   | GRAND CENTRAL TERMINAL       | T-11            | 100%                                   |
| CROTON-HARMON     | 3821            | 100%                                   | GRAND CENTRAL TERMINAL       | T-12            | 98%                                    |
| CROTON-HARMON     | 3842            | 100%                                   | GRAND CENTRAL TERMINAL       | T-18            | 100%                                   |
| CROTON-HARMON     | 038P            | 100%                                   | GRAND CENTRAL TERMINAL       | T-19            | 91%                                    |
| DOBBS FERRY       | 024N            | 100%                                   | GRAND CENTRAL TERMINAL       | T-20            | 100%                                   |
| DOBBS FERRY       | 024S            | 100%                                   | GRAND CENTRAL TERMINAL       | WCL             | 91%                                    |
| GARRISON          | 050N            | 100%                                   | GRAND CENTRAL TERMINAL NORTH | NE-1            | 100%                                   |
| GARRISON          | 050S            | 100%                                   | GRAND CENTRAL TERMINAL NORTH | NE-2            | 100%                                   |
| GLENWOOD          | 018N            | 100%                                   | GRAND CENTRAL TERMINAL NORTH | NE-3            | 100%                                   |
| GLENWOOD          | 018S            | 100%                                   | GRAND CENTRAL TERMINAL NORTH | NE-5            | 100%                                   |
| GREYSTONE         | 020N            | 100%                                   | GRAND CENTRAL TERMINAL NORTH | NE-6            | 100%                                   |
| GREYSTONE         | 020S            | 100%                                   |                              |                 |  |
| HARLEM 125th      | 002N            | 100%                                   |                              |                 |  |



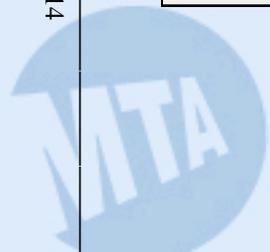
# 2014 3<sup>rd</sup> Quarter Elevator Availability by Station – Hudson Line

| Elevator Name  | Elevator Number | % Available (Mechanical Failures only) | Elevator Name             | Elevator Number | % Available (Mechanical Failures only) |
|----------------|-----------------|--|---------------------------|-----------------|--|
| MORRIS HEIGHTS | 004I            | 100%                                   | RIVERDALE                 | 012S            | 100%                                   |
| OSSINING       | 3624            | 100%                                   | SCARBOROUGH               | 034N            | 100%                                   |
| OSSINING       | 363             | 99%                                    | SCARBOROUGH               | 034S            | 100%                                   |
| OSSINING       | 036N            | 97%                                    | TARRYTOWN                 | 030N            | 100%                                   |
| OSSINING       | 036R            | 100%                                   | TARRYTOWN                 | 030S            | 100%                                   |
| PEEKSKILL      | 046N            | 100%                                   | UNIVERSITY HEIGHTS        | 006N            | 95%                                    |
| PEEKSKILL      | 046S            | 100%                                   | YANKEES - E. 153RD STREET | 321             | 100%                                   |
| POUGHKEEPSIE   | 058N            | 100%                                   | YANKEES - E. 153RD STREET | 364             | 100%                                   |
| POUGHKEEPSIE   | 058PE           | 100%                                   | YANKEES - E. 153RD STREET | 003P            | 100%                                   |
| POUGHKEEPSIE   | 058PW           | 100%                                   | YANKEES - E. 153RD STREET | 003W            | 100%                                   |
| POUGHKEEPSIE   | 058S            | 100%                                   | YONKERS                   | 016N            | 100%                                   |
| RIVERDALE      | 012N            | 99%                                    | YONKERS                   | 016S            | 100%                                   |



# 2014 3<sup>rd</sup> Quarter Elevator Availability by Station – Harlem Line

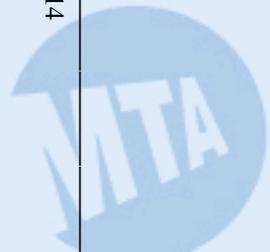
| Elevator Name    | Elevator Number | % Available (Mechanical Failures only) | Elevator Name      | Elevator Number | % Available (Mechanical Failures only) |
|------------------|-----------------|--|--------------------|-----------------|--|
| BEDFORD HILLS    | 152P            | 100%                                   | HAWTHORNE          | 142I            | 100%                                   |
| BEDFORD HILLS    | 152I            | 100%                                   | KATONAH            | 154P            | 100%                                   |
| BOTANICAL GARDEN | 110N            | 100%                                   | KATONAH            | 154I            | 100%                                   |
| BOTANICAL GARDEN | 110S            | 100%                                   | MOUNT KISCO        | 150P            | 100%                                   |
| BREWSTER         | 162P            | 100%                                   | MOUNT KISCO        | 150I            | 100%                                   |
| BREWSTER         | 162I            | 100%                                   | MOUNT VERNON WEST  | 118N            | 100%                                   |
| CHAPPAQUA        | 148P            | 100%                                   | MOUNT VERNON WEST  | 118S            | 100%                                   |
| CHAPPAQUA        | 148I            | 100%                                   | NORTH WHITE PLAINS | 134N            | 99%                                    |
| CRESTWOOD        | 126N            | 100%                                   | NORTH WHITE PLAINS | 134P            | 99%                                    |
| CRESTWOOD        | 126P            | 100%                                   | NORTH WHITE PLAINS | 134S            | 99%                                    |
| CRESTWOOD        | 126S            | 100%                                   | PLEASANTVILLE      | 146I            | 100%                                   |
| CROTON FALLS     | 160P            | 100%                                   | PURDYS             | 158P            | 100%                                   |
| CROTON FALLS     | 160I            | 100%                                   | PURDYS             | 158I            | 100%                                   |
| FLEETWOOD        | 120N            | 97%                                    | SCARSDALE          | 128N            | 99%                                    |
| FLEETWOOD        | 120S            | 100%                                   | SOUTHEAST          | 163P            | 100%                                   |
| FORDHAM          | 108N            | 100%                                   | SOUTHEAST          | 163I            | 100%                                   |
| FORDHAM          | 108S            | 100%                                   | TUCKAHOE           | 124N            | 100%                                   |
| GOLDENS BRIDGE   | 156P            | 100%                                   | VALHALLA           | 136P            | 100%                                   |
| GOLDENS BRIDGE   | 156I            | 100%                                   | VALHALLA           | 136I            | 98%                                    |
| HAWTHORNE        | 142P            | 100%                                   | WHITE PLAINS       | 132I            | 97%                                    |



# 2014 3<sup>rd</sup> Quarter Elevator Availability by Station - New Haven Line

| Elevator Name     | Elevator Number | % Available (Mechanical Failures) |
|-------------------|-----------------|-----------------------------------|
| GREENWICH         | 218E            | 100%                              |
| GREENWICH         | 218T            | 100%                              |
| GREENWICH         | 218W            | 97%                               |
| HARRISON          | 212E            | 100%                              |
| HARRISON          | 212W            | 100%                              |
| LARCHMONT         | 208E            | 100%                              |
| LARCHMONT         | 208W            | 100%                              |
| MOUNT VERNON EAST | 202E            | 100%                              |
| MOUNT VERNON EAST | 202W            | 100%                              |
| NEW ROCHELLE      | 206E            | 100%                              |
| NEW ROCHELLE      | 206W            | 100%                              |
| RYE               | 214E            | 100%                              |
| RYE               | 214W            | 100%                              |

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



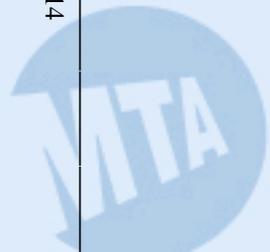
# 2014 3<sup>rd</sup> Quarter Escalator Availability

| Escalator Number | Escalator Location                  | % Available | Escalator Number | Escalator Location                        | % Available |
|------------------|-------------------------------------|-------------|------------------|---|-------------|
| 1                | West Side near Transit Museum       | 98%         | NE-8             | 47th ST Cross Passage to East Spine       | 99%         |
| 2                | West Side near Transit Museum       | 100%        | NE-9             | East Spine to 48th ST and Park            | 99%         |
| 3                | East Side near Market               | 86% (a)     | NE-10            | 45th ST Cross Passage to West Spine       | 100%        |
| 4                | East Side near Market               | 84% (a)     | NE-11            | 47th ST Cross Passage to 47th and Madison | 100%        |
| 5                | East Side near Market               | 99%         | NE-12            | 245 Park Ave                              | 98%         |
| 6                | East Side near Market               | 100%        | N                | White Plains                              | 100%        |
| NE-7             | 45th ST Cross Passage to East Spine | 100%        | S                | White Plains                              | 100%        |

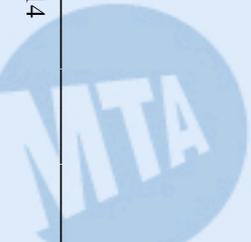
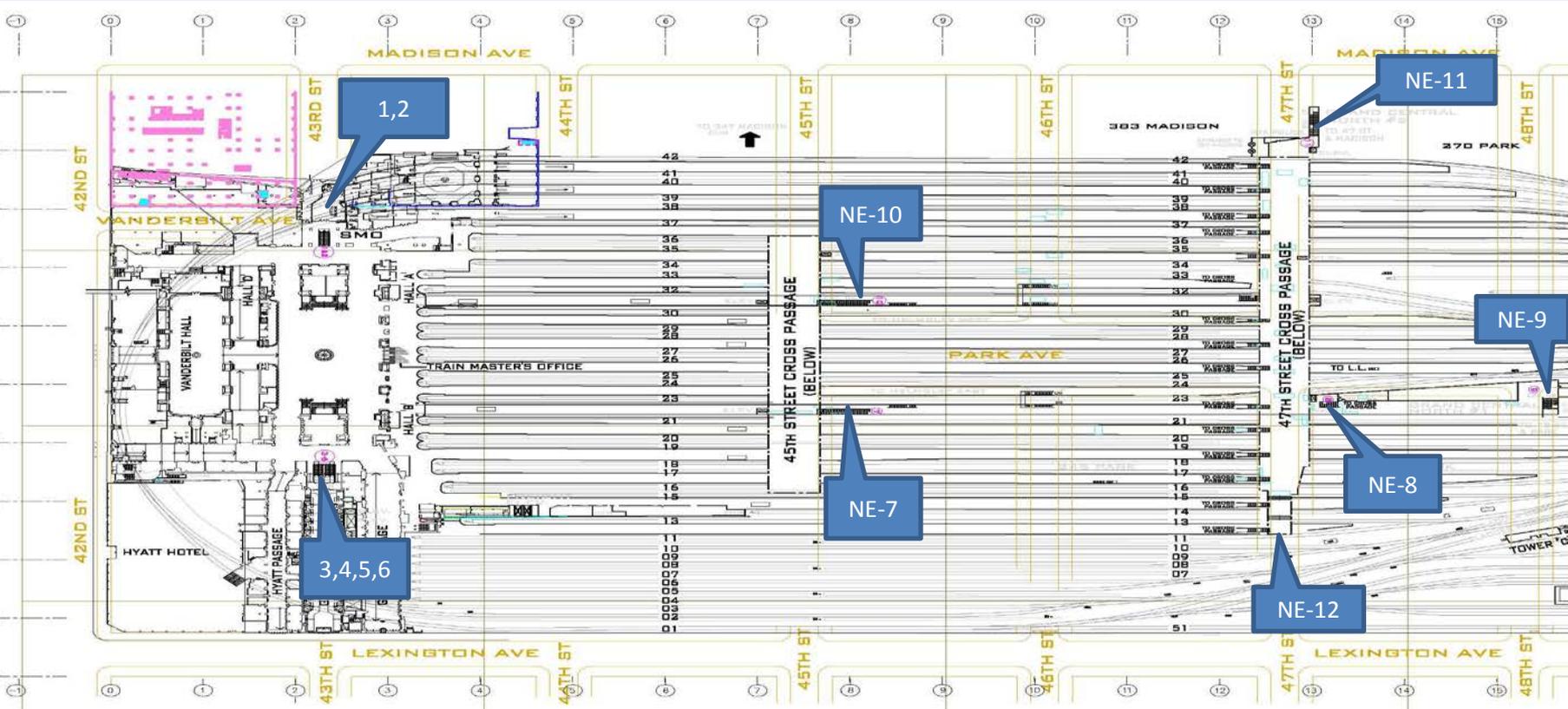
## Notes:

- (a) Escalators 3 and 4 were removed from service to repair bearings, and subsequent gear box renewal. Expected to return to service 11/3/14.

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



# Grand Central Escalator Map



## 3<sup>rd</sup> Quarter - Elevator Customer Injuries/Entrapments by Station

| Station Name                        | Mechanical (Injury) | Human Factor (Injury) | Entrapment |
|-------------------------------------|---------------------|-----------------------|------------|
| GCT                                 | 0                   | 0                     | 18         |
| Yankees – E 153 <sup>rd</sup> (321) | 0                   | 0                     | 1          |

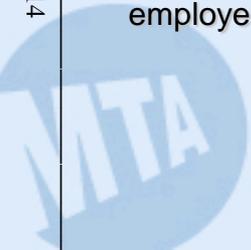
## 3<sup>rd</sup> Quarter - Escalator Customer Injuries by Station

| Station Name | Mechanical | Human Factor |
|--------------|------------|--------------|
| GCT          | 0          | 4            |

### Definitions:

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

**Please note:** These numbers are subject to change based upon additional customer injury reports and claims that may be received after the reporting period end date of September 30, 2014.





**Long Island Rail Road**

# **INFORMATION**

# **ITEMS**

## **THE METROPOLITAN TRANSPORTATION AUTHORITY**

### **COMMITTEE ON OPERATIONS OF THE LONG ISLAND RAIL ROAD AND THE METROPOLITAN SUBURBAN BUS AUTHORITY**

This Charter for the Committee on Operations of the Long Island Railroad and the Metropolitan Suburban Bus Authority was adopted by the Board Chair and a majority of the members of Board of the Metropolitan Transportation Authority, a public benefit corporation established under the laws of the State of New York (together with any other entity or corporation for which the members of the Metropolitan Transportation Authority serve as a board of directors, the “MTA”), on July 24, 2013.

#### **I. PURPOSE**

The Committee on Operations of the Long Island Railroad and the Metropolitan Suburban Bus Authority (the “Committee”) shall assist the Board Chair and the Board in fulfilling their responsibility to monitor and oversee the operations of the Long Island Railroad Company and the Metropolitan Suburban Bus Authority (referred to as “Long Island Bus” or “LIB” and with LIRR as the “LIRR/LIB”).

#### **II. COMMITTEE AUTHORITY**

In discharging its role, the Committee is empowered to investigate any matter brought to its attention. To facilitate any such investigation, the chairperson of the Committee shall have access to all books, records, facilities and staff of the MTA and/or the LIRR/LIB. The foregoing is not intended to alter or curtail existing rights of individual Board members to access books, records or staff in connection with the performance of their fiduciary duties as Board members.

#### **III. COMMITTEE MEMBERSHIP**

The Committee shall consist of 3 or more members of the Board, appointed by the Board Chair. If not otherwise a member of the Committee, each Vice-Chair of the Board shall be an *ex officio* member of the Committee. The Board Chair shall appoint the chairperson of the Committee. In the absence of the chairperson at a meeting of the Committee, the Board Chair shall appoint a temporary chairperson to chair such meeting. A member of the Committee may be removed, for cause or without cause, by the Board Chair.

#### **IV. COMMITTEE MEETINGS**

The Committee shall meet on a regularly-scheduled basis at least 11 times per year, and more frequently as circumstances dictate. The Committee shall cause to be kept adequate minutes of all its proceedings, which shall include records of any action taken. Committee members will be furnished with copies of the minutes of each meeting. Meetings of the Committee shall be open to the public, and the Committee shall be governed by the rules regarding public meetings set forth in the applicable provisions of the Public Authorities Law and Article 7 of the Public Officers Law that relate to public notice, public speaking and the conduct of executive session. The Committee may form and assign responsibilities to subcommittees when appropriate. The Committee may request

that any member of the Board, the Auditor General, any officer or staff of the MTA, LIRR/LIB or any other person whose advice and counsel are sought by the Committee, attend any meeting of the Committee to provide such pertinent information as the Committee requests. The President of the LIRR, the President of LIB and the President of the MTA Capital Construction Company shall each (1) furnish the Committee with all material information pertinent to matters appearing on the Committee agenda relating to his or her respective organization, (2) provide the chairperson of the Committee with all information regarding the affairs of his or her respective organization that is material to the Committee's monitoring and oversight of the operations of such organization, and (3) inform the chairperson of the Committee of any matters not already on the Committee agenda that should be added to the agenda in order for the Committee to be adequately monitoring and overseeing the operations of his or her respective organization.

## **V. COMMITTEE REPORTS.**

The chairperson of the Committee shall report on the Committee's proceedings, and any recommendations made.

## **VI. KEY RESPONSIBILITIES**

The following responsibilities are set forth as a guide with the understanding that the Committee may diverge as appropriate given the circumstances. The Committee is authorized to carry out these and such other responsibilities assigned by the Board Chair or the Board from time to time, and take any actions reasonably related to the mandate of this Charter.

To fulfill its purpose, the Committee shall:

- 1 monitor and update the Board Chair and the Board on the operating performance of the LIRR/LIB, including information on railroad, bus and paratransit service;
- 2 monitor and update the Board Chair and the Board on the safety record of LIRR/LIB; such monitoring shall include reviewing and monitoring customer and employee safety;
- 3 monitor and update the Board Chair and the Board on the implementation of security programs pertaining to LIRR/LIB operations and facilities;
- 4 monitor and update the Board Chair and the Board on the finances of the LIRR/LIB, including financial reports, ridership reports, and the use of LIRR/LIB funds;
- 5 review and make recommendations to the Board Chair and the Board regarding proposed procurement contracts of the LIRR/LIB that require Board approval;
- 6 review and make recommendations to the Board Chair and the Board on proposed capital projects of the LIRR/LIB and monitor the status of such projects;
- 7 review and make recommendations to the Board Chair and the Board regarding service and policy changes that require Board approval;

- 8 facilitate the identification of approaches and solutions that address LIRR/LIB security issues, including best practices in national and international security respecting transportation operations and facilities and review and make recommendations to the Board Chair and the Board regarding LIRR/LIB security issues;
- 9 review periodically with the Counsel of the MTA, the Chief Compliance Officer, and the Counsel of the LIRR/LIB: (i) legal and regulatory matters that may have a material impact on the LIRR/LIB; and (ii) the scope and effectiveness of compliance policies and programs;
- 10 conduct an annual self-evaluation of the performance of the Committee, including its effectiveness and compliance with this Charter;
- 11 review and assess the adequacy of this Charter annually; and
- 12 report regularly to the Board Chair and the Board on Committee findings and recommendations and any other matters the Committee deems appropriate or the Board Chair or the Board requests, and maintain minutes or other records of Committee meetings and activities.

With respect to capital projects undertaken by the MTA Capital Construction Company (MTACC) on behalf of Long Island Railroad or Long Island Bus:

- 1 Review and make recommendations to the Board Chair and Board with respect to the proposed procurements made by the MTACC that require Board approval;
- 2 Review and make recommendations to the Board Chair and the Board with respect to contract procurement solicitations that require Board approval;
- 3 Monitor the progress of the capital projects undertaken by the MTACC;
- 4 Monitor the budget and the schedule of capital projects undertaken by the MTACC;
- 5 Monitor the progress of contract commitments and completions with respect to capital projects; and
- 6 Track funding needs of capital projects as well as the availability of funds to meet such needs from all sources of funding.

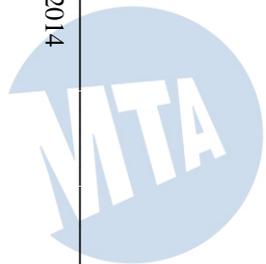
# 2014 Customer Satisfaction Survey

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## Long Island Rail Road

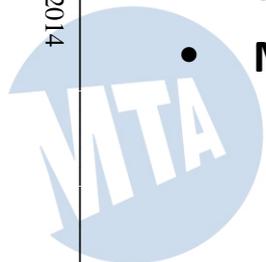
# Overall Context

- **Survey fieldwork was conducted in June 2014, one month prior to the LIRR strike settlement, which had dominated media coverage.**
- **Heavy weather conditions during winter months adversely affected train service and OTP.**
- **Additional service was added to the Montauk Branch.**



# Key Findings

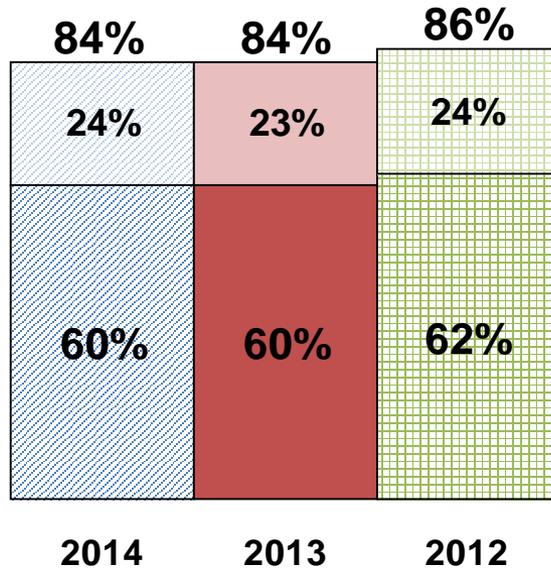
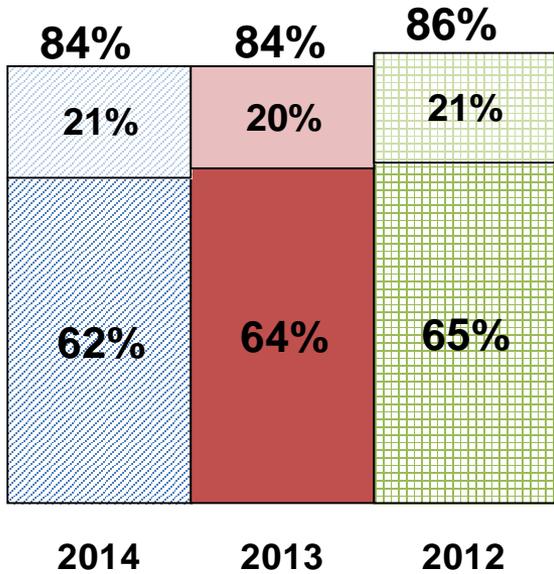
- Overall customer satisfaction remained the same in 2014 at 84% as in 2013.
- The highest scoring satisfaction attributes “ Safety from Train Accidents and “Courtesy and Responsiveness of Conductors” achieved a satisfaction score of 92% (unchanged from 2013).
- “Usefulness of Facebook” experienced the highest percent increase from 2013 rebounding to the 2012 satisfaction score. Users of social media were more satisfied with Facebook and Twitter in 2014 (78% and 77%, respectively) compared to 75% for both in 2013.
- “Communication During Service Disruptions” through both Customer Service Representatives and the Automated Phone System increased by two percentage points to 86% satisfied in 2014.
- Overall satisfaction with Penn Station continues to decline to 81% in 2014 from 82% in 2013. However, Atlantic Terminal shows an increase to 86% in 2014 from 79% in 2013.
- Train service attributes related to OTP and Availability of Seats show a declining trend in satisfaction.
- Montauk Branch satisfaction continues to benefit from additional train service provided.



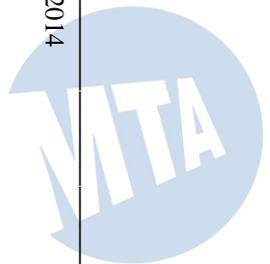
# LIRR Overall Customer Satisfaction

**LIRR Overall**

**Train Service Overall**



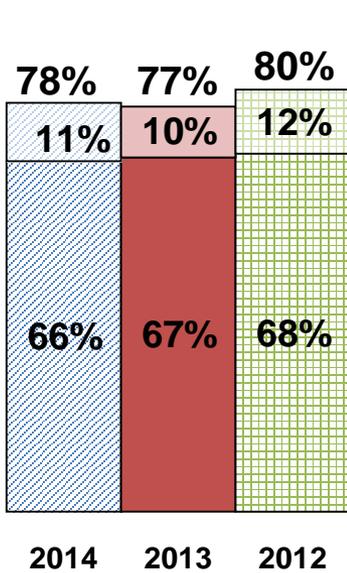
**Top Area = Very Satisfied    Bottom Area = Satisfied**



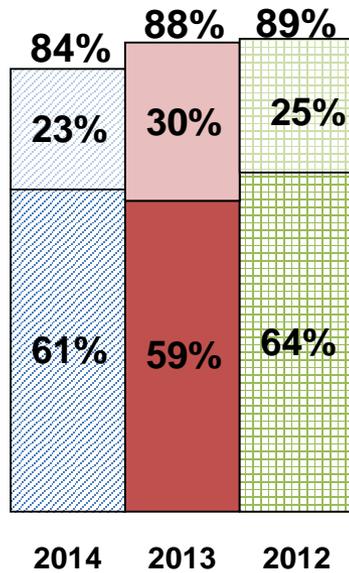
# LIRR Overall Customer Satisfaction

## By Time Period

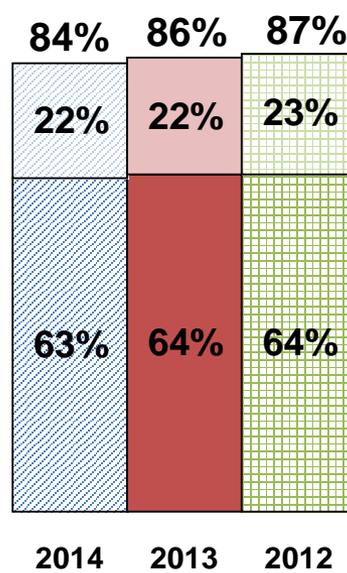
### Peak



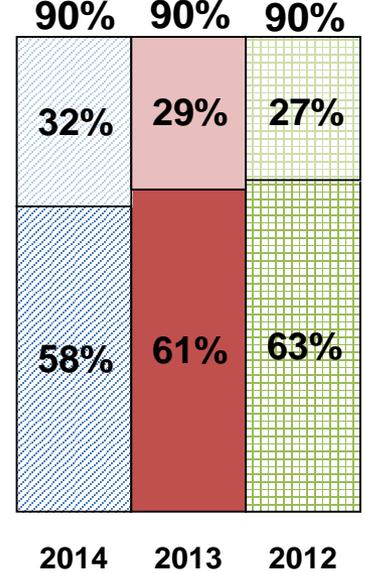
### Reverse Peak



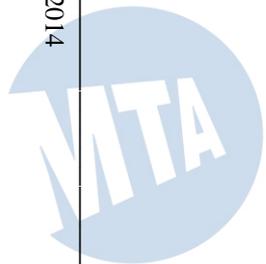
### Weekday Off-Peak



### Weekend Off-Peak

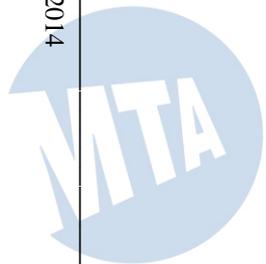


**Top Area = Very Satisfied    Bottom Area = Satisfied**



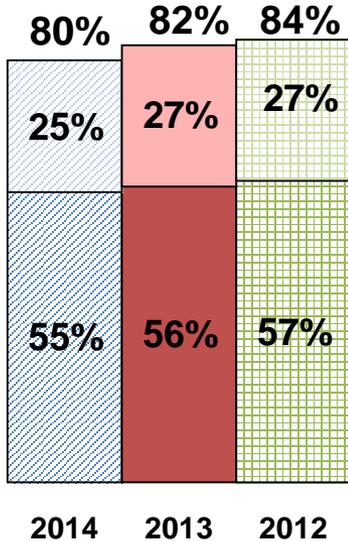
# Overall Satisfaction By Branch

|                       | 2014 | 2013 | 2012 |
|-----------------------|------|------|------|
| Port Washington       | 87%  | 88%  | 90%  |
| Montauk               | 87%  | 84%  | 89%  |
| Oyster Bay            | 86%  | 87%  | 79%  |
| West Hempstead        | 86%  | 86%  | 84%  |
| Far Rockaway          | 86%  | 81%  | 87%  |
| Hempstead             | 84%  | 87%  | 87%  |
| Long Beach            | 84%  | 83%  | 90%  |
| Huntington            | 83%  | 82%  | 86%  |
| Babylon               | 82%  | 82%  | 84%  |
| Ronkonkoma (Electric) | 81%  | 83%  | 80%  |
| Port Jefferson        | 79%  | 73%  | 90%  |

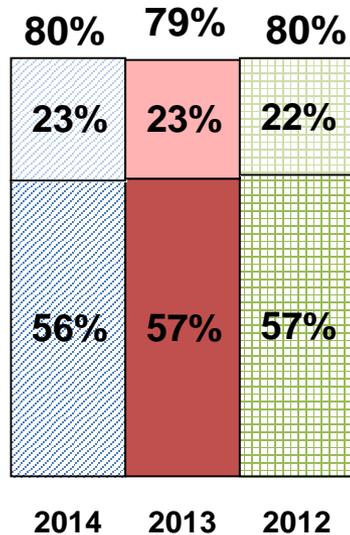


# LIRR Train Service

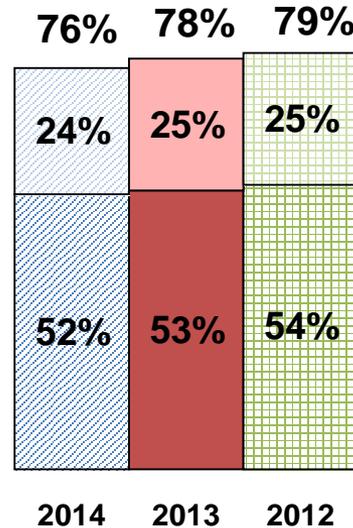
## On-Time Performance



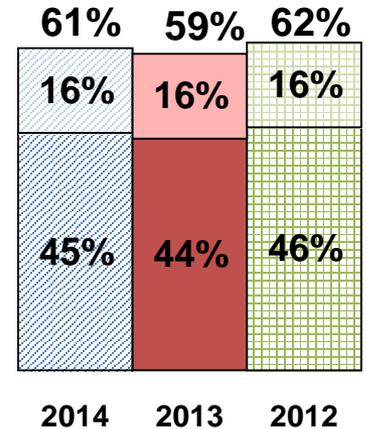
## Overall Schedule Of Trains



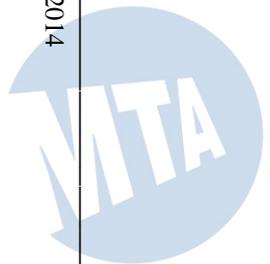
## Availability of Seats



## Value for the Money Using the Railroad

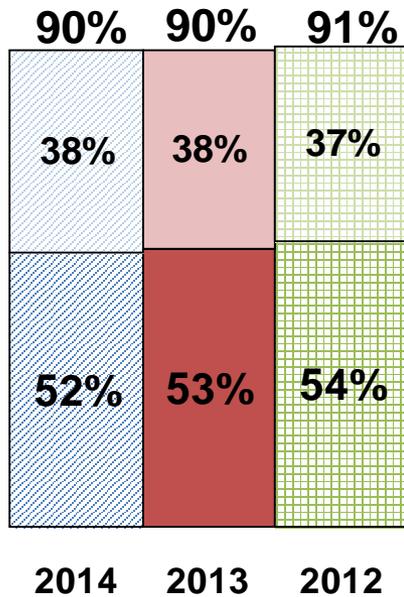


**Top Area = Very Satisfied    Bottom Area = Satisfied**

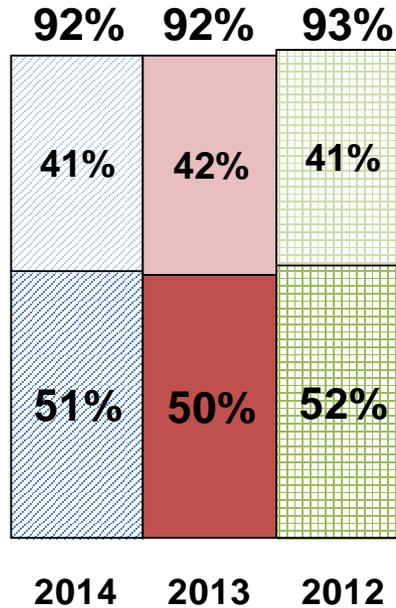


# LIRR Employees

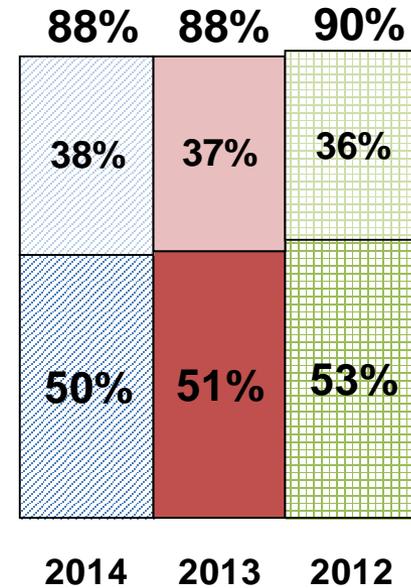
## Overall Courtesy and Responsiveness



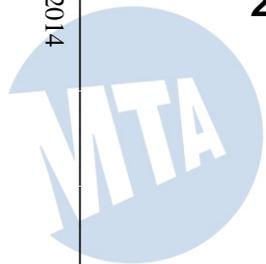
## Train Conductors



## Ticket Sellers

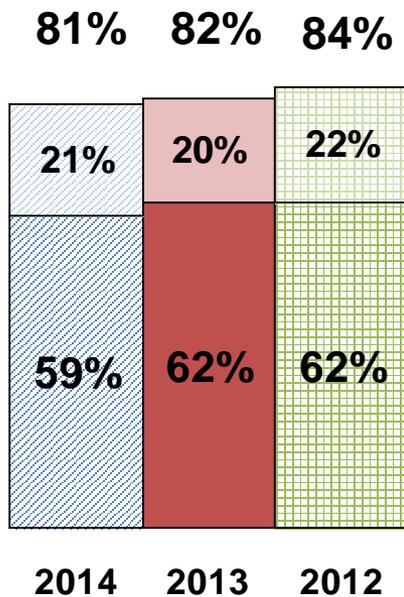


Top Area = Very Satisfied Bottom Area = Satisfied

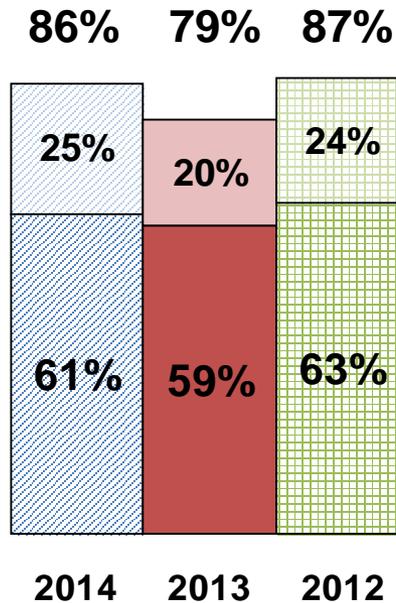


# Penn Station / Atlantic Terminal and Boarding Stations

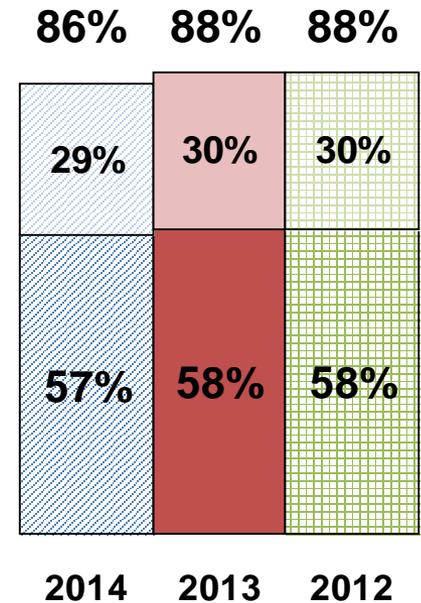
**Overall Penn Station**



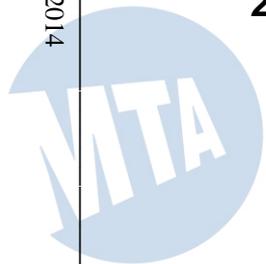
**Overall Atlantic Terminal**



**Overall Home Boarding Station**

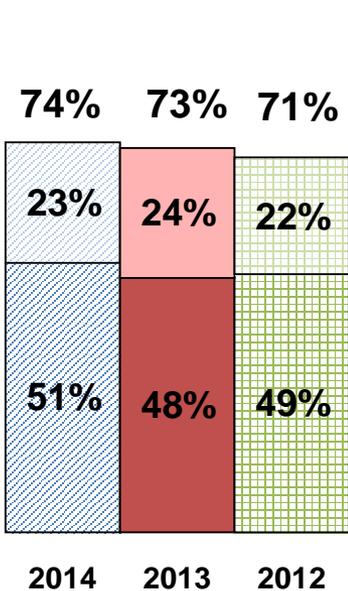


**Top Area = Very Satisfied    Bottom Area = Satisfied**

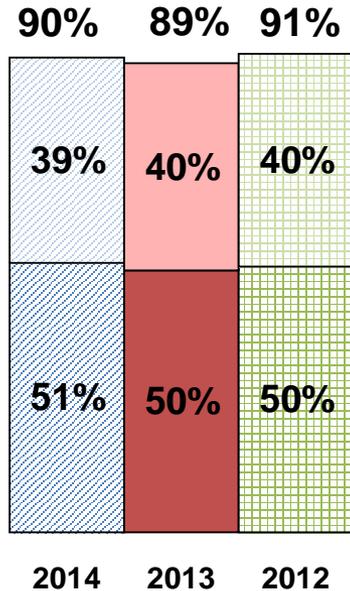


# LIRR Boarding Station

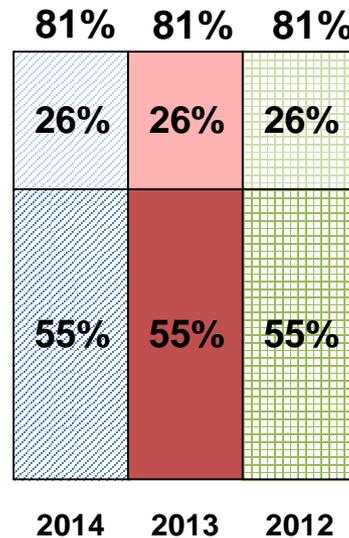
## Audio Announcements During Service Disruptions



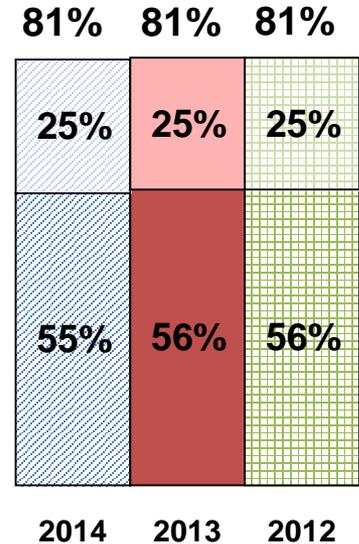
## Electronic/LED Signs with Train Schedules



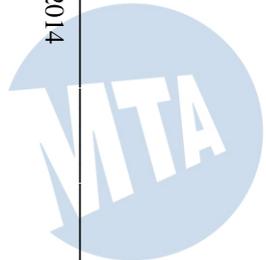
## Cleanliness of Platforms & Shelters



## Cleanliness of Track Area Around the Station

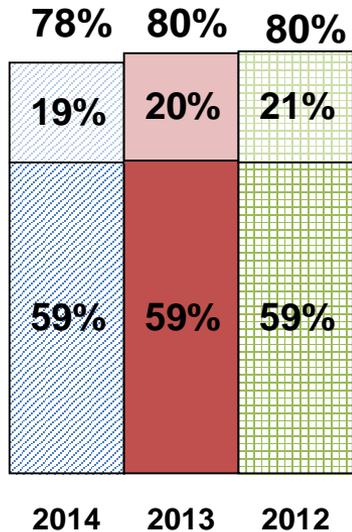


**Top Area = Very Satisfied    Bottom Area = Satisfied**

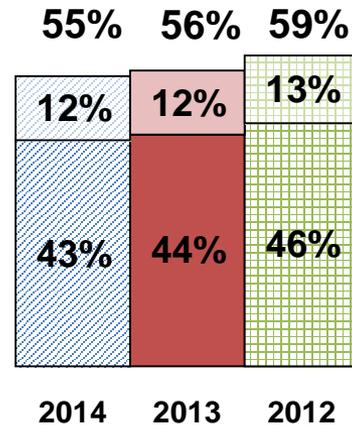


# LIRR On-Board Conditions

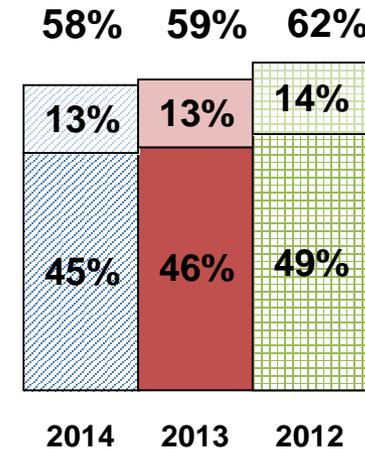
## Train Interior Cleanliness



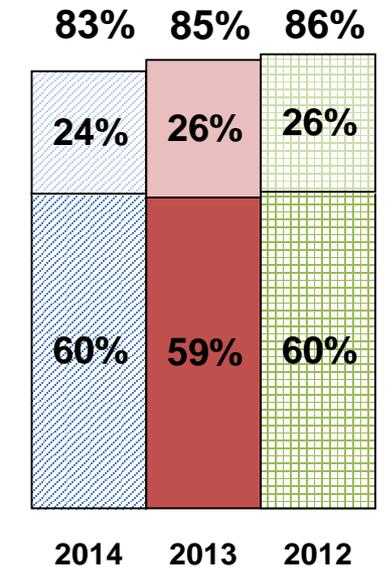
## Cleanliness of Restrooms



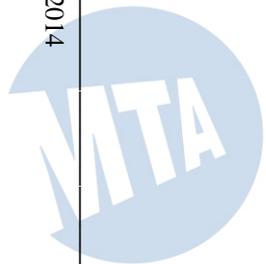
## Physical Condition of Restrooms



## Train Interior Maintenance

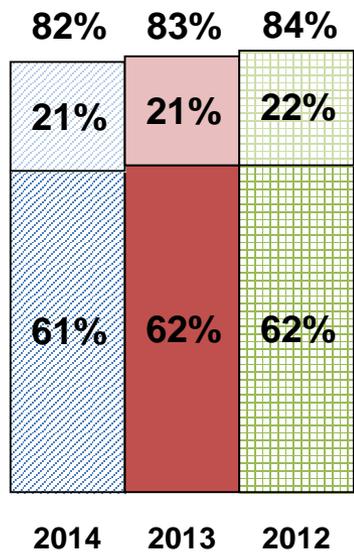


**Top Area = Very Satisfied    Bottom Area = Satisfied**

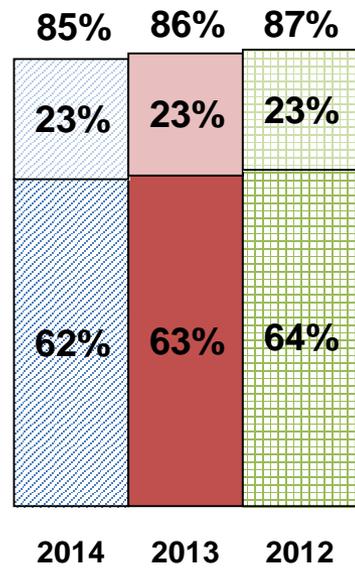


# LIRR Customer Communication

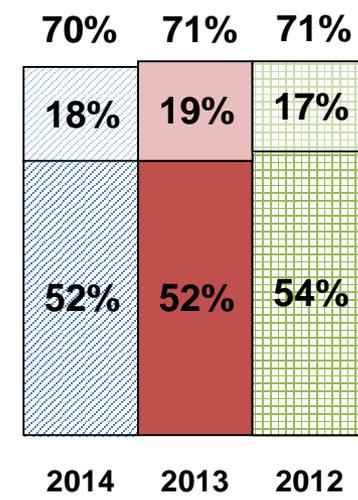
## Overall Communication



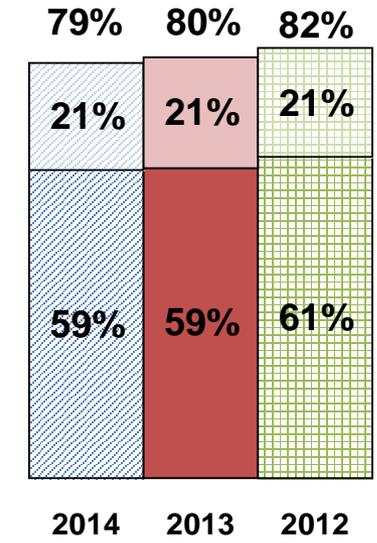
## Normal Service



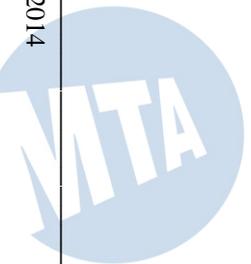
## Unplanned Service Disruptions



## Planned Service Changes

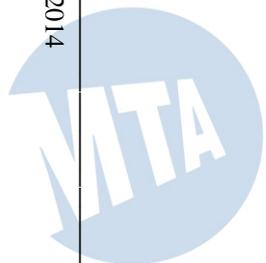


**Top Area = Very Satisfied    Bottom Area = Satisfied**



# Appendix

- Methodology
- Full Set of Attribute Ratings



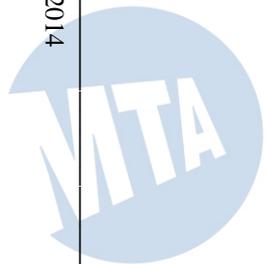
# Methodology

- The LIRR survey used an onboard distribution methodology among a sample of trains
- A total of 15,496 surveys were completed and tabulated, as follows:

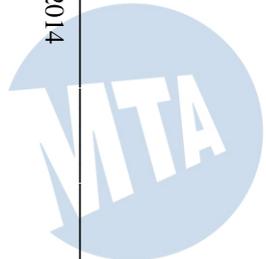
|                   | LIRR Survey                           |                                       |               |                 |
|-------------------|---------------------------------------|---------------------------------------|---------------|-----------------|
|                   | Total                                 | AM Peak                               | Off-Peak      | Reverse Peak    |
| Completed Surveys | 15,496                                | 10,180                                | 4,623         | 693             |
| Survey dates      | 6/2-5, 6/9-14,<br>6/15-19,<br>6/23-24 | 6/2-5, 6/9-12,<br>6/16-19,<br>6/23-24 | 6/10, 6/14-15 | 6/3, 6/19, 6/23 |
| Trains sampled    | 110                                   | 80                                    | 22            | 8               |

- The sample selection allowed for maximum representation of lines while keeping data collection as cost efficient as possible.
- In 2014, the sample size was increased to allow for further data analysis at the station level.
- Survey data were first weighted to actual ridership levels within line segments by time period. Weighting survey data helps ensure representativeness of results.
- Margin of error:  $\pm 1\%$  at the 95% level of statistical confidence for a total satisfaction rating of 84% overall. At a 50% total satisfaction level, the margin of error is  $\pm 2\%$ .

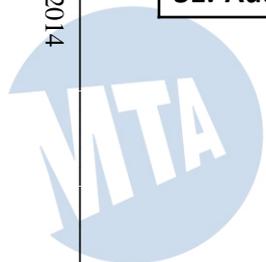
# **SERVICE ATTRIBUTE RATINGS 2010-2014**



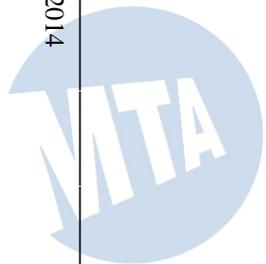
|   | TOTAL SATISFIED |           |           |           |           |
|---|-----------------|-----------|-----------|-----------|-----------|
|   | 2014            | 2013      | 2012      | 2011      | 2010      |
|   | %               | %         | %         | %         | %         |
| <b>1. Long Island Rail Road overall</b>                                 | <b>84</b>       | <b>84</b> | <b>86</b> | <b>78</b> | <b>89</b> |
| <b>Home Boarding Station</b>  |                 |           |           |           |           |
| <b>2. Your boarding station overall</b>                                 | <b>86</b>       | <b>88</b> | <b>88</b> | <b>86</b> | <b>90</b> |
| <b>3. Personal security</b>   | <b>85</b>       | <b>85</b> | <b>85</b> | <b>82</b> | <b>85</b> |
| <b>4. Cleanliness inside the station building (excluding restrooms)</b> | <b>78</b>       | <b>79</b> | <b>81</b> | <b>80</b> | <b>84</b> |
| <b>5. Maintenance of station</b>  | <b>80</b>       | <b>82</b> | <b>82</b> | <b>81</b> | <b>85</b> |
| <b>6. Station signage</b>   | <b>88</b>       | <b>88</b> | <b>89</b> | <b>87</b> | <b>90</b> |
| <b>7. Cleanliness of restroom</b>                                       | <b>60</b>       | <b>60</b> | <b>61</b> | <b>61</b> | <b>68</b> |
| <b>8. Physical condition of restroom</b>                                | <b>63</b>       | <b>63</b> | <b>65</b> | <b>64</b> | <b>70</b> |
| <b>9. Sound quality of audio announcements</b>                          | <b>80</b>       | <b>80</b> | <b>81</b> | <b>79</b> | <b>81</b> |
| <b>10. Audio announcements under normal conditions</b>                  | <b>85</b>       | <b>84</b> | <b>85</b> | <b>84</b> | <b>85</b> |
| <b>11. Audio announcements during service disruptions</b>               | <b>74</b>       | <b>73</b> | <b>71</b> | <b>69</b> | <b>74</b> |
| <b>12. Electronic or LED signs with train schedules</b>                 | <b>90</b>       | <b>89</b> | <b>91</b> | <b>89</b> | <b>91</b> |
| <b>13. Availability of parking on weekdays</b>                          | <b>61</b>       | <b>62</b> | <b>62</b> | <b>60</b> | <b>62</b> |
| <b>14. Security of your car while parked at the station</b>             | <b>80</b>       | <b>79</b> | <b>79</b> | <b>77</b> | <b>77</b> |
| <b>15. Cleanliness of platforms and outdoor shelters</b>                | <b>81</b>       | <b>81</b> | <b>81</b> | <b>81</b> | <b>82</b> |
| <b>16. Cleanliness of the track area around the station</b>             | <b>81</b>       | <b>81</b> | <b>81</b> | <b>79</b> | <b>82</b> |



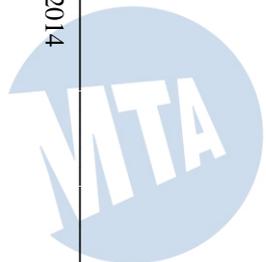
|   | TOTAL SATISFIED |      |      |      |      |
|---|-----------------|------|------|------|------|
|   | 2014            | 2013 | 2012 | 2011 | 2010 |
|   | %               | %    | %    | %    | %    |
| <b>Your Train (AM &amp; PM)</b>   |                 |      |      |      |      |
| <b>17. LIRR train service overall</b>   | 84              | 84   | 86   | 79   | 89   |
| <b>18. On-time performance</b>  | 80              | 82   | 84   | 79   | 86   |
| <b>19. Availability of seats</b>  | 76              | 78   | 79   | 76   | 80   |
| <b>20. Condition of seats</b>   | 79              | 82   | 84   | 83   | 88   |
| <b>21. Train interior maintenance – lights, floors, windows, etc. (excluding seats)</b> | 83              | 85   | 86   | 85   | 89   |
| <b>22. The temperature on the train</b>   | 88              | 87   | 88   | 88   | 89   |
| <b>23. Personal security</b>  | 89              | 90   | 90   | 88   | 90   |
| <b>24. Cleanliness of restroom</b>  | 55              | 56   | 59   | 57   | 64   |
| <b>25. Physical condition of restroom</b>   | 58              | 59   | 62   | 62   | 69   |
| <b>26. Cleanliness of train’s interior (excluding restrooms)</b>                        | 78              | 80   | 80   | 79   | 83   |
| <b>27. Safety from train accidents</b>  | 92              | 92   | 93   | 93   | 93   |
| <b>28. Value for the money using the railroad</b>                                       | 61              | 59   | 62   | 56   | 67   |
| <b>29. Sound quality of audio announcements</b>   | 78              | 79   | 81   | 78   | 81   |
| <b>30. Audio announcements under normal conditions</b>                                  | 82              | 83   | 84   | 82   | 85   |
| <b>31. Audio announcements during service disruptions</b>                               | 73              | 73   | 74   | 70   | 75   |



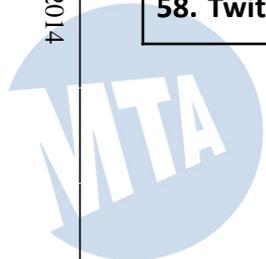
|  | TOTAL SATISFIED |      |      |      |      |
|--|-----------------|------|------|------|------|
|  | 2014            | 2013 | 2012 | 2011 | 2010 |
|  | %               | %    | %    | %    | %    |
| <b>Courtesy and Responsiveness of Our Employees</b>  |                 |      |      |      |      |
| <b>32. The overall courtesy and responsiveness of our employees</b>                                    | 90              | 90   | 91   | 90   | 91   |
| <b>33. Conductors</b>  | 92              | 92   | 93   | 92   | 93   |
| <b>34. Ticket Sellers</b>  | 88              | 88   | 90   | 87   | 90   |
| <b>35. Overall schedule of trains</b>  | 80              | 79   | 80   | 75   | 81   |
| <b>36. The weekday AM and PM peak schedule to and from your station</b>                                | 81              | 81   | 82   | 79   | 82   |
| <b>37. The weekday off-peak schedule to and from your station (including late night train service)</b> | 76              | 75   | 75   | 70   | 77   |
| <b>38. The weekend schedule to and from your station</b>   | 77              | 75   | 75   | 71   | 78   |



|   | TOTAL SATISFIED |           |           |           |           |
|---|-----------------|-----------|-----------|-----------|-----------|
|   | 2014            | 2013      | 2012      | 2011      | 2010      |
|   | %               | %         | %         | %         | %         |
| <b>Communication (During Normal Service Conditions)</b>                                 |                 |           |           |           |           |
| <b>39. Overall communication to you</b>   | <b>82</b>       | <b>83</b> | <b>84</b> | <b>79</b> | <b>85</b> |
| <b>40. Overall communications during normal service conditions</b>                      | <b>85</b>       | <b>86</b> | <b>87</b> | <b>84</b> | <b>NA</b> |
| <b>41. Overall communications during unplanned service disruptions</b>                  | <b>70</b>       | <b>71</b> | <b>71</b> | <b>66</b> | <b>NA</b> |
| <b>42. Overall communications during planned service disruptions (track work, etc.)</b> | <b>79</b>       | <b>80</b> | <b>82</b> | <b>79</b> | <b>NA</b> |
| <b>43. At your boarding station</b>   | <b>86</b>       | <b>87</b> | <b>88</b> | <b>85</b> | <b>89</b> |
| <b>44. On board your trains</b>   | <b>86</b>       | <b>87</b> | <b>87</b> | <b>86</b> | <b>89</b> |
| <b>45. At your destination station</b>  | <b>87</b>       | <b>88</b> | <b>88</b> | <b>87</b> | <b>90</b> |
| <b>46. At our website (www.mta.info)</b>  | <b>86</b>       | <b>86</b> | <b>89</b> | <b>85</b> | <b>89</b> |
| <b>47. With the Automated Phone System (Schedules, Fares, etc.)</b>                     | <b>83</b>       | <b>82</b> | <b>84</b> | <b>81</b> | <b>83</b> |
| <b>48. With Customer Service Center representatives</b>                                 | <b>83</b>       | <b>83</b> | <b>86</b> | <b>84</b> | <b>88</b> |



|   | TOTAL SATISFIED |      |      |      |      |
|---|-----------------|------|------|------|------|
|   | 2014            | 2013 | 2012 | 2011 | 2010 |
|   | %               | %    | %    | %    | %    |
| <b>Communication (During Unplanned Service Disruptions)</b>         |                 |      |      |      |      |
| <b>49. At your boarding station</b>                                 | 69              | 69   | 70   | 65   | 74   |
| <b>50. On board your trains</b>                                     | 71              | 71   | 72   | 67   | 73   |
| <b>51. At your destination station</b>                              | 73              | 73   | 73   | 69   | 77   |
| <b>52. At our website (www.mta.info)</b>                            | 75              | 74   | 76   | 72   | 79   |
| <b>53. Through e-mail alerts (if you subscribe)</b>                 | 76              | 75   | 78   | 73   | 81   |
| <b>54. With the Automated Phone System (Schedules, Fares, etc.)</b> | 75              | 73   | 76   | 71   | 79   |
| <b>55. With Customer Service Center representatives</b>             | 76              | 74   | 77   | 74   | 82   |
| <b>56. LIRR Train Time App</b>                                      | 84              | NA   | NA   | NA   | NA   |
| <b>57. Facebook page (MTALIRR)</b>                                  | 78              | 75   | 78   | NA   | NA   |
| <b>58. Twitter feed(@LIRRScoop)</b>                                 | 77              | 75   | 81   | NA   | NA   |



|  | TOTAL SATISFIED |           |           |           |           |
|--|-----------------|-----------|-----------|-----------|-----------|
|  | 2014            | 2013      | 2012      | 2011      | 2010      |
|  | %               | %         | %         | %         | %         |
| <b>Destination Station</b>   |                 |           |           |           |           |
| <b>59. LIRR destination station overall</b>                                      | <b>81</b>       | <b>82</b> | <b>84</b> | <b>84</b> | <b>88</b> |
| <b>60. Cleanliness of restroom</b>   | <b>61</b>       | <b>62</b> | <b>64</b> | <b>64</b> | <b>71</b> |
| <b>61. Physical condition of restroom</b>  | <b>63</b>       | <b>65</b> | <b>67</b> | <b>68</b> | <b>74</b> |
| <b>62. Cleanliness of destination station/waiting room (excluding restrooms)</b> | <b>72</b>       | <b>72</b> | <b>76</b> | <b>75</b> | <b>78</b> |
| <b>63. Personal security</b>   | <b>80</b>       | <b>80</b> | <b>83</b> | <b>82</b> | <b>85</b> |
| <b>64. Signs providing directions to and from LIRR trains</b>                    | <b>86</b>       | <b>87</b> | <b>88</b> | <b>87</b> | <b>88</b> |
| <b>65. Signs providing directions to and from connecting buses or subways</b>    | <b>83</b>       | <b>83</b> | <b>85</b> | <b>83</b> | <b>85</b> |
| <b>66. Presence of MTA Police</b>  | <b>80</b>       | <b>82</b> | <b>84</b> | <b>83</b> | <b>81</b> |
| <b>67. Sound quality of audio announcements</b>                                  | <b>79</b>       | <b>80</b> | <b>81</b> | <b>80</b> | <b>82</b> |
| <b>68. Audio announcements under normal conditions</b>                           | <b>82</b>       | <b>83</b> | <b>84</b> | <b>82</b> | <b>84</b> |
| <b>69. Audio announcements during service disruptions</b>                        | <b>73</b>       | <b>73</b> | <b>74</b> | <b>72</b> | <b>78</b> |
| <b>70. Electronic or LED signs with train schedules</b>                          | <b>86</b>       | <b>87</b> | <b>89</b> | <b>87</b> | <b>90</b> |



# DIVERSITY / EEO REPORT

3<sup>rd</sup> Quarter

2014

## **Overview**

The Long Island Rail Road has conducted an availability analysis of females and minorities in its workforce. The availability analysis consists of comparing the LIRR's September 30, 2014 workforce percentages for females and minorities to 80 percent of the females and minorities available within the relevant labor market based on the U.S. Census.

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

2014 3rd QUARTER EEO REPORT

AGENCY NAME: LONG ISLAND RAIL ROAD

**UTILIZATION ANALYSIS  
WORKFORCE DATA AS OF SEPTEMBER 30, 2014**

| JOB CATEGORY               | FEMALES * |          |           | BLACKS    |          |           | HISPANICS |          |           | ASIANS    |          |           | AI/AN **  |          |           | NHOPI *** |          |           | OTHER     |          |           |
|----------------------------|-----------|----------|-----------|-----------|----------|-----------|-----------|----------|-----------|-----------|----------|-----------|-----------|----------|-----------|-----------|----------|-----------|-----------|----------|-----------|
|                            | Est Avail | Actual % | Met Avail | Est Avail | Actual % | Met Avail | Est Avail | Actual % | Met Avail | Est Avail | Actual % | Met Avail | Est Avail | Actual % | Met Avail | Est Avail | Actual % | Met Avail | Est Avail | Actual % | Met Avail |
| Officials & Administrators | 22.4%     | 21.0%    | No        | 12.2%     | 10.1%    | No        | 7.0%      | 7.2%     | Yes       | 4.0%      | 6.2%     | Yes       | 0.0%      | 0.3%     | Yes       | 0.8%      | 0.0%     | No        | 1.5%      | 2.2%     | Yes       |
| Professionals              | 18.9%     | 21.6%    | Yes       | 10.3%     | 12.3%    | Yes       | 7.2%      | 9.0%     | Yes       | 6.4%      | 14.7%    | Yes       | 0.0%      | 0.0%     | Yes       | 1.9%      | 0.0%     | No        | 1.4%      | 3.3%     | Yes       |
| Technicians                | 11.0%     | 8.7%     | No        | 10.8%     | 19.4%    | Yes       | 8.4%      | 12.6%    | Yes       | 6.7%      | 9.7%     | Yes       | 0.1%      | 0.0%     | No        | 1.2%      | 0.0%     | No        | 1.0%      | 0.0%     | No        |
| Administrative Support     | 49.4%     | 46.8%    | No        | 18.5%     | 27.7%    | Yes       | 11.1%     | 10.7%    | No        | 2.9%      | 4.5%     | Yes       | 0.1%      | 0.6%     | Yes       | 1.6%      | 0.0%     | No        | 1.5%      | 2.6%     | Yes       |
| Skilled Craft              | 9.3%      | 10.1%    | Yes       | 16.5%     | 16.4%    | No        | 12.0%     | 10.2%    | No        | 2.2%      | 2.6%     | Yes       | 0.1%      | 0.2%     | Yes       | 1.1%      | 0.0%     | No        | 1.8%      | 1.7%     | No        |
| Service Maintenance        | 17.4%     | 19.1%    | Yes       | 16.5%     | 26.2%    | Yes       | 21.6%     | 13.5%    | No        | 2.0%      | 2.3%     | Yes       | 0.1%      | 0.2%     | Yes       | 1.3%      | 0.2%     | No        | 1.8%      | 3.0%     | Yes       |

\* Females are also included in the percentage totals for each of the minority groups.

\*\* American Indian / Alaskan Native

\*\*\* Native Hawaiian / Other Pacific Islander

## **DEFINITIONS OF EEO JOB CATEGORIES:**

### **Officials & Administrators**

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

### **Professionals**

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

### **Technicians**

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

### **Administrative Support**

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

### **Skilled Craft**

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

### **Service Maintenance**

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

**2014 3rd QUARTER EEO REPORT**

**AGENCY NAME: LONG ISLAND RAIL ROAD**

**NEW HIRES  
AS OF SEPTEMBER 30, 2014**

| JOB CATEGORY              | TOTAL <sup>1</sup> | FEMALES <sup>2</sup> |              | BLACKS    |              | HISPANICS |              | ASIANS    |              | AI/AN    |             | NHOPI    |             | OTHER    |             |
|---------------------------|--------------------|----------------------|--------------|-----------|--------------|-----------|--------------|-----------|--------------|----------|-------------|----------|-------------|----------|-------------|
|                           |                    | #                    | %            | #         | %            | #         | %            | #         | %            | #        | %           | #        | %           | #        | %           |
| Officials & Administrator | 26                 | 4                    | 15.4%        | 6         | 23.1%        | 1         | 3.8%         | 5         | 19.2%        | 0        | 0.0%        | 0        | 0.0%        | 0        | 0.0%        |
| Professionals             | 40                 | 9                    | 22.5%        | 4         | 10.0%        | 8         | 20.0%        | 13        | 32.5%        | 1        | 2.5%        | 0        | 0.0%        | 0        | 0.0%        |
| Technicians               | 17                 | 3                    | 17.6%        | 2         | 11.8%        | 2         | 11.8%        | 5         | 29.4%        | 0        | 0.0%        | 0        | 0.0%        | 0        | 0.0%        |
| Administrative Support    | 35                 | 13                   | 37.1%        | 4         | 11.4%        | 4         | 11.4%        | 6         | 17.1%        | 0        | 0.0%        | 0        | 0.0%        | 3        | 8.6%        |
| Skilled Craft             | 153                | 21                   | 13.7%        | 34        | 22.2%        | 18        | 11.8%        | 13        | 8.5%         | 0        | 0.0%        | 1        | 0.7%        | 5        | 3.3%        |
| Service Maintenance       | 53                 | 7                    | 13.2%        | 13        | 24.5%        | 9         | 17.0%        | 3         | 5.7%         | 0        | 0.0%        | 0        | 0.0%        | 1        | 1.9%        |
| <b>Total</b>              | <b>324</b>         | <b>57</b>            | <b>17.6%</b> | <b>63</b> | <b>19.4%</b> | <b>42</b> | <b>13.0%</b> | <b>45</b> | <b>13.9%</b> | <b>1</b> | <b>0.3%</b> | <b>1</b> | <b>0.3%</b> | <b>9</b> | <b>2.8%</b> |

<sup>1</sup> Total includes males and females, both minority and non-minority.

<sup>2</sup> Total includes females, both minority and non-minority.

## 2014 3rd Quarter EEO Report

AGENCY NAME: LONG ISLAND RAIL ROAD

### EEO AND TITLE VI COMPLAINTS JANUARY 1, 2014 THROUGH SEPTEMBER 30, 2014<sup>1</sup>

| Category            | Race/Color | Sexual Harassment | Gender | Disability | National Origin | Age | Religion | Other <sup>2</sup> | Total Issues <sup>3</sup> | Total Cases | Status (# Open) |
|---------------------|------------|-------------------|--------|------------|-----------------|-----|----------|--------------------|---------------------------|-------------|-----------------|
| EEO                 | 12         | 1                 | 3      | 2          | 2               | 3   | 1        | 6                  | 30                        | 21          | 9               |
| External Complaints | 7          | 1                 | 2      | 2          | 2               | 1   | 0        | 3                  | 18                        | 12          | 8               |
| Internal Complaints | 5          | 0                 | 1      | 0          | 0               | 2   | 1        | 3                  | 12                        | 9           | 1               |

| Category | Race | National Origin | Color | Total Issues | Total Cases | Status (# Open) |
|----------|------|-----------------|-------|--------------|-------------|-----------------|
| Title VI | 4    | 0               | 0     | 4            | 4           | 0               |

<sup>1</sup> This chart includes all pending matters as of the date of the report; some of the matters were filed prior to the reporting period.

<sup>2</sup> "Other" contains all EEO categories not otherwise specifically mentioned on the chart.

<sup>3</sup> In some instances, a single complaint may involve two or more EEO protected classifications.

**EEO DISCRIMINATION COMPLAINT RESOLUTION FROM 1/1/14 TO 9/30/14**  
**EXTERNAL**

| Agency       | Decided In Favor of Agency | Decided In Favor of Complainant | Administrative Closure | Withdrawn | Dismissed | Resolved / Settled | Total    |
|--------------|----------------------------|---------------------------------|------------------------|-----------|-----------|--------------------|----------|
| MTA LIRR     | 0                          | 0                               | 0                      | 0         | 2         | 2                  | 4        |
| <b>TOTAL</b> | <b>0</b>                   | <b>0</b>                        | <b>0</b>               | <b>0</b>  | <b>2</b>  | <b>2</b>           | <b>4</b> |

\* Please note that non-final/interim resolutions are not included.

**EEO DISCRIMINATION COMPLAINT RESOLUTION FROM 1/1/14 TO 9/30/14**  
**INTERNAL**

| Agency       | Decided In Favor of Agency | Decided In Favor of Complainant | Administrative Closure | Withdrawn | Dismissed | Resolved / Settled | Total    |
|--------------|----------------------------|---------------------------------|------------------------|-----------|-----------|--------------------|----------|
| MTA LIRR     | 7                          | 1                               | 0                      | 0         | 0         | 0                  | 8        |
| <b>TOTAL</b> | <b>7</b>                   | <b>1</b>                        | <b>0</b>               | <b>0</b>  | <b>0</b>  | <b>0</b>           | <b>8</b> |

**TITLE VI COMPLAINT RESOLUTION FROM 1/1/14 TO 9/30/14**

| Agency       | Decided In Favor of Agency | Decided In Favor of Complainant | Administrative Closure | Withdrawn | Dismissed | Resolved / Settled | Total    |
|--------------|----------------------------|---------------------------------|------------------------|-----------|-----------|--------------------|----------|
| MTA LIRR     | 4                          | 0                               | 0                      | 0         | 0         | 0                  | 4        |
| <b>TOTAL</b> | <b>4</b>                   | <b>0</b>                        | <b>0</b>               | <b>0</b>  | <b>0</b>  | <b>0</b>           | <b>4</b> |

# MEMORANDUM



Long Island Rail Road

**DATE:** November 17, 2014

**TO:** Members of Long Island Committee

**FROM:** Patrick Nowakowski, President

A handwritten signature in black ink, appearing to read "Patrick G. Nowakowski".

**RE: LIRR Report on Elevator/Escalator Performance:  
Third Quarter 2014**

Attached for your review is the LIRR's third quarter (2014) report on the performance of its customer elevators and escalators.

The report provides data on the 19 escalators and 28 elevators directly maintained by the LIRR and the 15 escalators and 6 elevators maintained by AMTRAK. Performance data on the 6 escalators and 10 elevators in Jamaica station that are maintained by the Port Authority of NY/NJ remains unavailable.

During the third quarter there were a few long-term outages. First, as a result of platform state of good repair work at Great Neck, the westbound elevator was taken out of service on June 30, 2014 and was subsequently returned to service on October 19, 2014. Second, as part of our modernization efforts within the Capital Program, the original Atlantic Terminal elevator was taken out of service on June 2, 2014. The elevator's return to service is anticipated for November 2014. Lastly, the eastbound escalator at Hicksville was out of service for approximately 3 weeks in September due to a fire under the trestle.

In addition, the report provides data on customer injuries/entrapments. LIRR is notified of customer injuries through employee and customer accident reports, customer claims, and police reports.

## **Highlights: 3rd Quarter 2014**

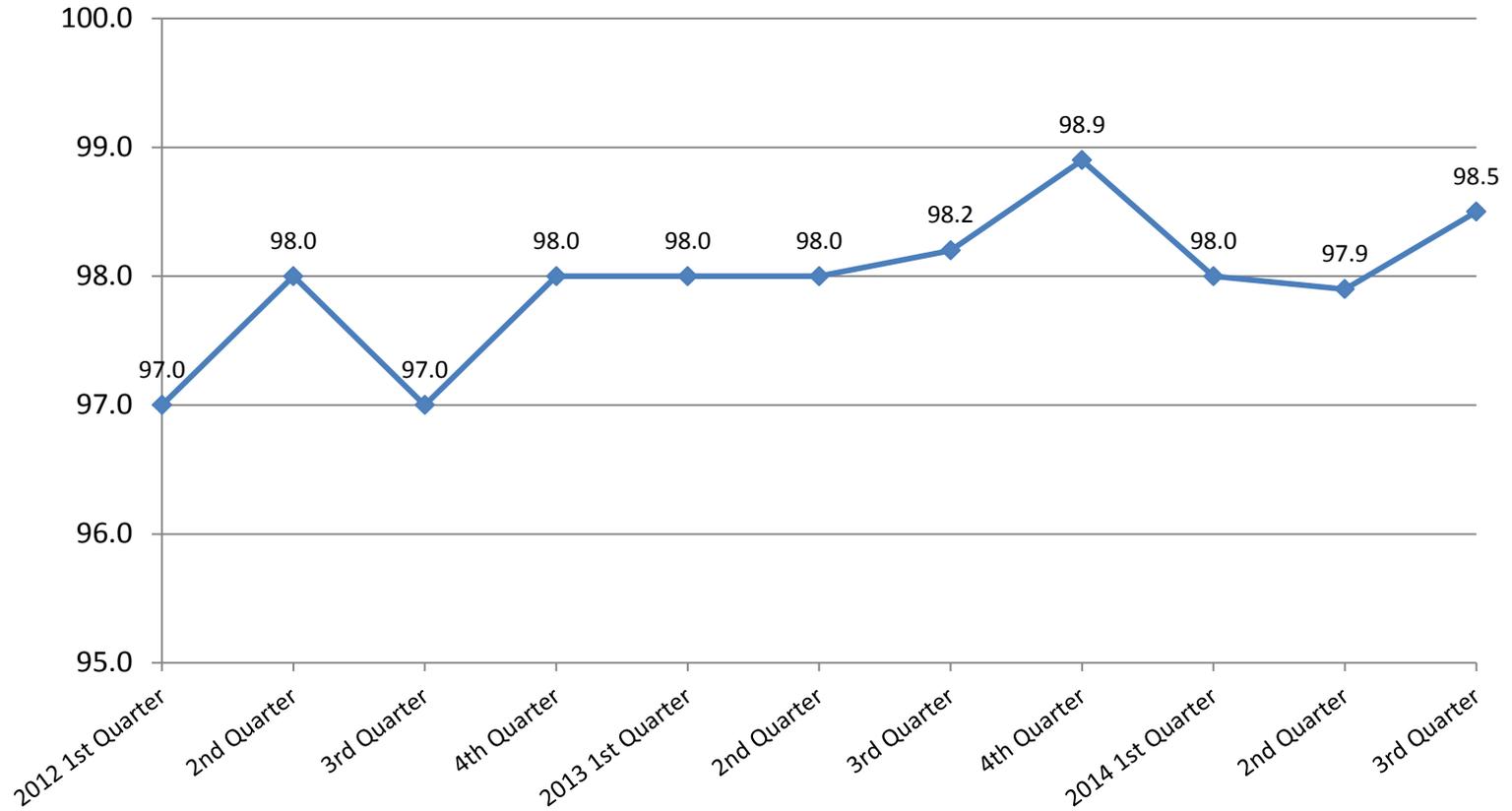
- Elevator Availability – 98.5%
  - Bellmore Elevator door upgrades
  - Freeport Elevator saddle replacement
- Escalator Availability – 97.1%
- No mechanical injuries related to elevators and escalators

# Long Island Rail Road Elevator/Escalator

Third Quarter Report  
2014

The MTA logo is a light blue circle containing the letters "MTA" in white, bold, sans-serif font. The letters are slightly tilted and overlap each other.

# Passenger Elevator Availability



Definition: Availability measures the percent of time that a unit is running and available for customer service.  
Please note: Massapequa Elevator taken out of service for Capital Replacement on 8/21/13

# 2014 Third Quarter Elevator Availability by Station

| Branch/Station         | Availability | Branch/Station        | Availability |
|------------------------|--------------|-----------------------|--------------|
| <b>BABYLON</b>         |              | <b>FAR ROCKAWAY</b>   |              |
| Babylon (A)            | 99.5%        | Valley Stream         | 99.3%        |
| Babylon (B)            | 99.5%        | Rosedale              | 99.5%        |
| Massapequa             | (2)          | <b>PORT JEFFERSON</b> |              |
| Seaford                | 99.2%        | Hicksville (A)        | 98.9%        |
| Bellmore               | 95.5%        | Hicksville (B)        | 98.4%        |
| Merrick                | 99.6%        | <b>LONG BEACH</b>     |              |
| Freeport               | 94.2%        | Lynbrook (A)          | 99.1%        |
| Baldwin                | 99.2%        | Lynbrook (B)          | 99.3%        |
| Rockville Centre       | 99.5%        | <b>CITY TERMINAL</b>  |              |
| <b>PORT WASHINGTON</b> |              | Atlantic Terminal 1   | (4)          |
| Great Neck (A)         | (3)          | Atlantic Terminal 2   | 98.9%        |
| Great Neck (B)         | 99.6%        | Woodside 415x         | 99.3%        |
| Auburndale             | 98.7%        | Woodside 418x         | 99.6%        |
| <b>RONKONKOMA</b>      |              | Woodside 419x         | 95.8%        |
| Ronkonkoma (A)         | 98.7%        | Penn 34S-ELV-P34      | 99% (1)      |
| Ronkonkoma (B)         | 99.6%        | Penn CEN-ELV-P-7      | 100% (1)     |
| Ronkonkoma (C)         | 99.7%        | Penn CEN-ELV-P-8      | 99% (1)      |
| <b>HEMPSTEAD</b>       |              | Penn CEN-ELV-P-9      | 88% (1) (5)  |
| Queens Village (A)     | 99.7%        | Penn CEN-ELV-P10      | 98% (1)      |
| Queens Village (B)     | 99.5%        | Penn CEN-ELV-P11      | 100% (1)     |

(1) Penn Station data provided by Amtrak

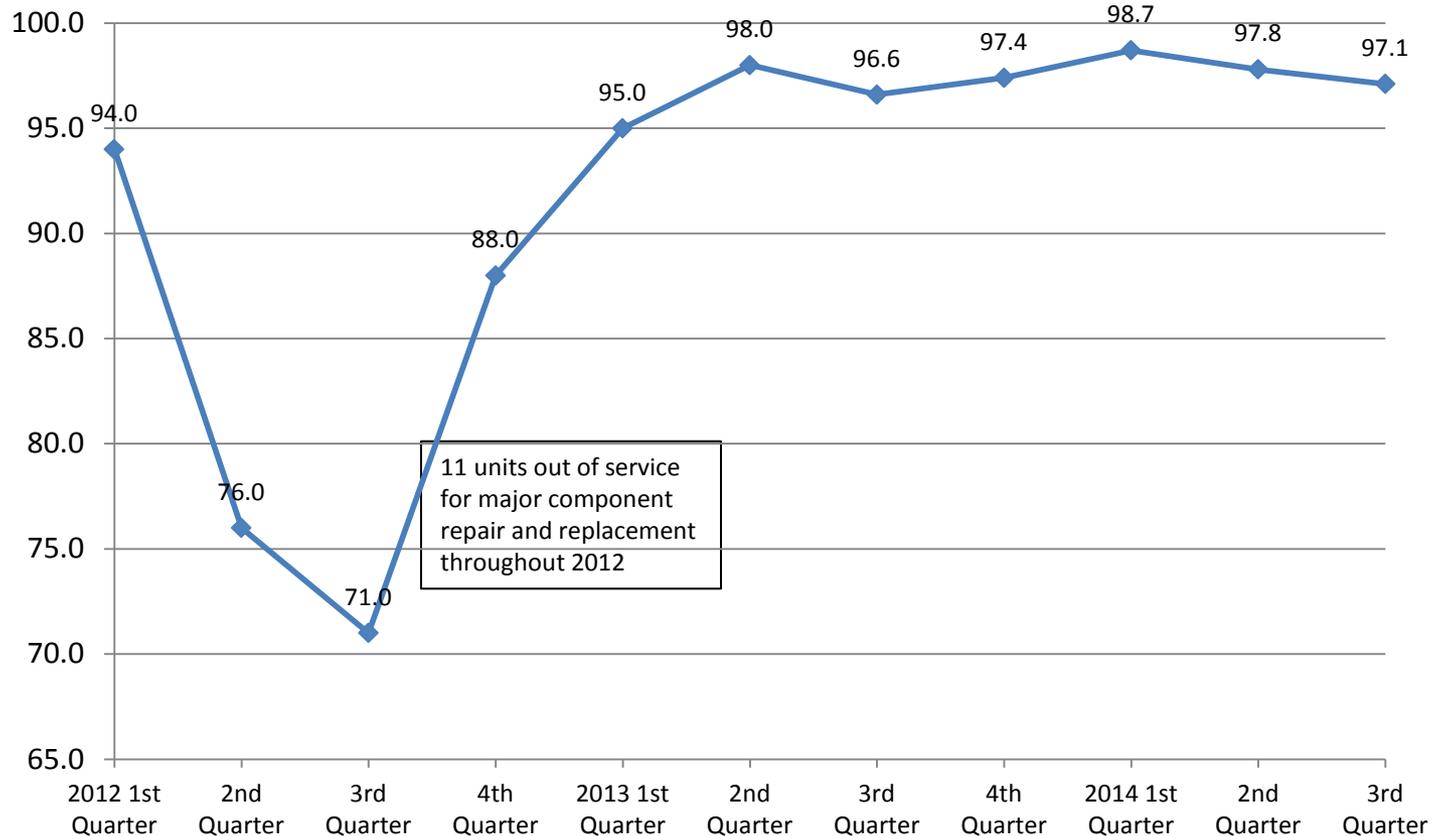
(2) Massapequa out of service for Capital replacement on 8/21/13

(3) Great Neck Elevator A shutdown for platform work on 6/30/14

(4) Atlantic Terminal 1 taken out of service for Capital work on 6/2/14

(5) Elevator had defective mother board

# Passenger Escalator Availability



Definition: Availability measures the percent of time that a unit is running and available for customer service. Please note: Massapequa Escalator taken out of service for Capital replacement on 6/10/13.

# 2014 Third Quarter Escalator Availability by Station

| Branch/Station   | Availability | Branch/Station        | Availability | Branch/Station          | Availability |
|------------------|--------------|-----------------------|--------------|-------------------------|--------------|
| <b>BABYLON</b>   |              | <b>FAR ROCKAWAY</b>   |              | <b>PENN STATION (1)</b> |              |
| Babylon A (W/B)  | 94.8%        | Valley Stream         | 97.6%        | Penn 34S-ESC-34A        | 100%         |
| Babylon B (E/B)  | 97%          | <b>PORT JEFFERSON</b> |              | Penn 34S-ESC-34B        | 100%         |
| Lindenhurst      | 98.4%        | Hicksville A (W/B)    | 93.6%        | Penn 34S-ESC-34C        | 97%          |
| Copiague         | 98.6%        | Hicksville B (E/B)    | 75.2% (5)    | Penn EXI-ESC-09E        | 98%          |
| Amityville       | 97.6%        | <b>LONG BEACH</b>     |              | Penn EXI-ESC-10E        | 100%         |
| Massapequa Park  | 99.1%        | Lynbrook              | 95.3%        | Penn EXI-ESC-10W        | 100%         |
| Massapequa       | (2)          | <b>HEMPSTEAD</b>      |              | Penn EXI-ESC-7EW        | 100%         |
| Seaford          | 98.4%        | Floral Park           | 94.3%        | Penn EXI-ESC-8EW        | 100%         |
| Wantagh          | 96.6%        |                       |              | Penn MG-ESC-011         | 100%         |
| Bellmore         | 98.8%        |                       |              | Penn MG-ESC-1MG         | 100%         |
| Merrick          | 97.7%        |                       |              | Penn MG-ESC-2MG         | 87% (4)      |
| Freeport         | 99%          |                       |              | Penn MG-ESC-3MG         | 100%         |
| Baldwin          | 98.4%        |                       |              | Penn MG-ESC-7MG         | 100%         |
| Rockville Center | 98.6%        |                       |              | Penn MG-ESC-8MG         | 97%          |
|                  |              |                       |              | Penn WEC-ESC-8WE        | (3)          |

(1) Penn Station data provided by Amtrak

(2) Escalator out of service for Capital replacement on 6/10/13

(3) Escalator taken out of service on 12/8/13 for Moynihan Project

(4) Defective missing step sensors

(5) Escalator damaged due to street level fire on 9/8/14

# Elevator Customer Injuries/Entrapments by Station

| Station Name     | Mechanical Injuries | Human Factor Injuries | Entrapment |
|------------------|---------------------|-----------------------|------------|
| Auburndale       | 0                   | 0                     | 1          |
| Woodside         | 0                   | 0                     | 1          |
| Hicksville       | 0                   | 0                     | 2          |
| Jamaica (1)      | 0                   | 1                     | 0          |
| Penn Station (2) | 0                   | 1                     | 0          |

# Escalator Customer Injuries by Station

| Station Name     | Mechanical Injuries | Human Factor Injuries |
|------------------|---------------------|-----------------------|
| Babylon          | 0                   | 2                     |
| Lynbrook         | 0                   | 1                     |
| Massapequa Park  | 0                   | 1                     |
| Rockville Center | 0                   | 1                     |
| Hicksville       | 0                   | 1                     |
| Penn Station (2) | 0                   | 3                     |
| Jamaica (1)      | 0                   | 1                     |

**Definitions:**

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

**Please note:** These numbers are subject to change based upon additional customer injury reports and claims that may be received after the reporting period end date of September 30, 2014.

- (1) Jamaica elevators and escalators maintained by Port Authority
- (2) Penn Station elevators and escalators maintained by Amtrak

# Staff Summary



|   |           |             |                 |             |              |                                   |                         |              |                     |
|---|-----------|-------------|-----------------|-------------|--------------|-----------------------------------|-------------------------|--------------|---------------------|
| <b>Subject</b><br>DECEMBER TRACK WORK PROGRAM/HOLIDAY SERVICE |           |             |                 |             |              | <b>Date</b><br>NOVEMBER 17, 2014  |                         |              |                     |
| <b>Department</b><br>PRESIDENT                                |           |             |                 |             |              | <b>Vendor Name</b>                |                         |              |                     |
| <b>Department Head Name</b><br>PATRICK NOWAKOWSKI             |           |             |                 |             |              | <b>Contract Number</b>            |                         |              |                     |
| <b>Department Head Signature</b><br>                          |           |             |                 |             |              | <b>Contract Manager Signature</b> |                         |              |                     |
| <b>Project Manager Name</b>                                   |           |             |                 |             |              |                                   |                         |              |                     |
| <b>Board Action</b>   |           |             |                 |             |              | <b>Internal Approval</b>          |                         |              |                     |
| <b>Order</b>  | <b>To</b> | <b>Date</b> | <b>Approval</b> | <b>Info</b> | <b>Other</b> | <b>Order</b>                      | <b>Approval</b>         | <b>Order</b> | <b>Approval</b>     |
| 1   | LI COMM   | 11/17/14    |                 |             |              | 3                                 | Executive VP <i>acc</i> | 1            | President <i>PN</i> |
|   |           |             |                 |             |              | 2                                 | VP Mktg & PA <i>acc</i> |              |                     |
|   |           |             |                 |             |              |                                   |                         |              |                     |
|   |           |             |                 |             |              |                                   |                         |              |                     |

**PURPOSE:**

This is to inform the Long Island Committee of the MTA Long Island Rail Road’s plan to adjust schedules to support track work programs during the month of December and to provide added service during the 2014-2015 Holiday Season. During the last quarter of the year, the LIRR provides added service for each of the major holidays and weekends from Thanksgiving through the weekend following New Year’s Day. Each program fulfills a different function and provides a different pattern of extra service. The programs for each of these days are detailed below.

**TRACK WORK PROGRAMS:**

- West Hempstead Branch – Mechanized Tie and Resurfacing - Single main track will be out of service midday weekdays between Valley Stream and West Hempstead from Monday December 1, to Friday December 19, 2014 for Mechanized Tie replacement and track resurfacing.

**DISCUSSION:**

- West Hempstead Branch – Mechanized Tie and Resurfacing - Eastbound West Hempstead branch customers will detrain at Valley Stream and board buses for stations Westwood through West Hempstead. Eastbound customers can expect up to 18 minutes of additional travel time. Westbound customers will board buses at stations West Hempstead through Westwood up to 19 minutes later than normal for Valley Stream where train service will resume. Customers will experience up to 24 minutes of additional travel time.

**HOLIDAY SERVICE**

Due to increased travel demand during the holiday season, on weekends between November 29<sup>th</sup> and January-4<sup>th</sup>, service will be added on the Long Beach Branch during the peak demand time periods. The branch will receive eight additional trains that will operate westbound between 9 AM and 1 PM and eastbound between 4 PM and 8 PM. This increase in service will provide customers with half- hourly service during this holiday

travel time period. In addition, two overnight trains from Penn Station have been added to accommodate customers taking in late night events throughout the city during the holiday season. One train will operate to Huntington, and one to Babylon.

**Thanksgiving Eve Program** (*Wednesday, November 26, 2014*)

The LIRR will operate a regular weekday schedule with additional service added. The Thanksgiving Eve program includes 10 early release afternoon eastbound trains for people leaving the City early, plus an additional Montauk Branch service opportunity (4 Babylon trains, 2 Huntington, 1 Hicksville, 1 Great Neck, 1 Far Rockaway, 1 Ronkonkoma and Train 2710 to Montauk).

**Thanksgiving Day Program** (*Thursday, November 27, 2014*)

The Thanksgiving Day program includes six extra westbound trains on Thanksgiving morning for those attending the parade in NYC, and 11 early afternoon eastbound extra trains for those returning home from the parade or heading to Long Island for Thanksgiving gatherings.

The westbound Thanksgiving morning extras operate from Babylon (2), Speonk (1), Ronkonkoma (2), Port Jefferson (1).

The eastbound Thanksgiving afternoon extras will operate from Speonk, Farmingdale, Huntington, Port Jefferson, Ronkonkoma (3) and Babylon (4).

**Christmas Eve Program** (*Wednesday, December 24, 2014*)

On Christmas Eve the LIRR will operate on a regular weekday schedule with the addition of 13 extra eastbound trains to accommodate customers traveling early. The program includes our standard 10 early release trains (4 Babylon trains, 2 Huntington, 1 Hicksville, 1 Great Neck, 1 Far Rockaway and 1 Ronkonkoma), plus two more Babylon Branch trains and one additional train to Ronkonkoma. There will also be one additional service opportunity to Huntington with Port Jefferson Train 652 making an added Jamaica stop.

**Christmas Day** (*Thursday, December 25*)

The LIRR will be operating on a regular weekend/holiday schedule.

**New Year's Eve Program** (*Wednesday, December 31, 2014*)

On New Year's Eve the LIRR will be on a regular, weekday schedule with the addition of 13 early release eastbound trains in the afternoon. The program includes our standard 10 early release trains (4 Babylon trains, 2 Huntington, 1 Hicksville, 1 Great Neck, 1 Far Rockaway and 1 Ronkonkoma), plus two more Babylon Branch trains and one additional train to Ronkonkoma. There will also be one additional service opportunity to Huntington with Port Jefferson Train 652 making an added Jamaica stop. For westbound customers attending events in New York City we will operate 18 additional westbound trains (14 to Penn Station and 4 to Atlantic Terminal). The added service will operate from Babylon (6), Huntington (2), Ronkonkoma (4), Port Washington (3), Port Jefferson, Long Beach and Montauk.

**New Year's Day Program** (*Thursday, January 1, 2015*)

The LIRR will operate on a regular weekend/holiday schedule on Thursday, January 1. For those heading back home after the New Year's festivities we will operate 18 extra early morning extra eastbound trains. Trains will operate to Ronkonkoma (4), Babylon (6), Speonk, Huntington (2), Port Jefferson, Long Beach and Port Washington (3).

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

**IMPACT ON FUNDING**

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

# Staff Summary

|   |
|---|
| <b>Subject</b><br>New Haven Line Connecticut Fare Increase      |
| <b>Department</b><br>Operations Planning and Analysis           |
| <b>Department Head Name</b><br>Delana Glenn <i>Delana Glenn</i> |
| <b>Department Head Signature</b>                                |
| <b>Project Manager Name</b><br>Jay Fiegerman                    |

|                                     |
|-------------------------------------|
| <b>Date</b><br>November 3, 2014     |
| <b>Vendor Name</b><br>N/A           |
| <b>Contract Number</b><br>N/A       |
| <b>Contract Manager Name</b><br>N/A |
| <b>Table of Contents Ref#</b>       |

| Board Action |                |       |          |      |       |
|--------------|----------------|-------|----------|------|-------|
| Order        | To             | Date  | Approval | Info | Other |
|              | M-N Comm. Mtg. | 11/17 |          |      |       |
|              | MTA Fin. Comm. | 11/17 |          |      |       |
|              | MTA Board Mtg. | 11/19 |          |      |       |

| Internal Approvals   |                              |       |                     |
|----------------------|------------------------------|-------|---------------------|
| Order                | Approval                     | Order | Approval            |
| 4                    | President <i>[Signature]</i> |       | Budget              |
|                      | VP Operations                |       | VP Capital Programs |
| 3 <i>[Signature]</i> | VP Financial Admin           |       | Engr/Const          |
|                      | Controller                   |       | Project Reporting   |

| Internal Approvals (cont.) |                                |       |                      |       |                 |       |                                    |
|----------------------------|--------------------------------|-------|----------------------|-------|-----------------|-------|------------------------------------|
| Order                      | Approval                       | Order | Approval             | Order | Approval        | Order | Approval                           |
| 1                          | VP Planning <i>[Signature]</i> |       | Government Relations |       | Labor Relations | 2     | General Counsel <i>[Signature]</i> |
|                            | Press                          |       | VP Human Resources   |       | Human Resources |       | Other                              |

**PURPOSE:** To obtain Board adoption of a resolution authorizing implementation of one percent increases legislated by the State of Connecticut in Metro-North New Haven Main Line fares for travel to or from Connecticut stations.

**DISCUSSION:** In 2011, as part of the plan of finance for the new M-8 cars, the Connecticut Legislature enacted legislation providing for a series of seven consecutive annual one percent fare increases for travel on the New Haven Main Line to or from Connecticut stations. The first three of these fare increases, in combination with other larger fare increases, were approved by the Board on October 26, 2011. Fares were increased by 5.3% on January 1, 2012; 5.04% on January 1, 2013, and 5.04% on January 1, 2014.

With 2015 approaching, the Connecticut Department of Transportation (CDOT) requests Board authorization of the remaining series of Connecticut-legislated one percent New Haven Line fare increases for travel to or from stations located in the State of Connecticut, consisting of a 1.0% increase effective on January 1, 2015; a 1.0% increase effective on January 1, 2016; a 1.0% increase effective on January 1, 2017 and a 1.0% increase effective on January 1, 2018. The cumulative amount of these four consecutive annual one percent increases is approximately 4.1%.

Under the terms of the MTA/Metro-North/State of Connecticut Service Agreement, joint approval by the Board and CDOT is needed to implement the remaining years of the CDOT-proposed fare increases for the New Haven Main Line. As noted, the series of seven consecutive increases is a significant component of Connecticut's plan of finance for the new M-8 cars. No additional public hearings are necessary prior to action on the remainder of these fare increases as CDOT, with Metro-North participation, in August 2011 held public hearings for the entire set of one percent proposed fare increases. Since MTA Board approval previously obtained extended only to the first three of the proposed consecutive fare increases, a further resolution of the Board is required at this time to implement the remainder of this series of Connecticut-legislated increases.

The specific proposed individual fare increases for 2015 are detailed in the tables attached (with fare tables for the one percent increases that will take effect in 2016 through 2018 to be provided to the Board for informational purposes prior to their implementation). Metro-North will also implement Connecticut Branch Line fare increases in the same percentage amounts and at the same times as the New Haven Main Line increases as requested by CDOT. (Under the Service Agreement, Branch Line fares are solely determined by CDOT). UniRail and UniTicket prices will also be increased based upon CDOT's determination of fares.

## Staff Summary

The one percent increases proposed will not change fares charged on the New Haven Line for travel taking place wholly within New York State.

**BUDGET IMPACT:** With a January 1, 2015 effective date, it is estimated that the proposed fare increase of 1.0% will increase 2015 total New Haven Line revenue by approximately \$2.2 million (the MTA share is about \$0.8 million and the CDOT share is about \$1.4 million). Over four years, it is estimated that the proposed fare increases will increase total New Haven Line revenue by approximately \$8 million (the MTA share is about \$2.8 million and the CDOT share is about \$5.2 million).

**RECOMMENDATION:** That the Board adopt the Resolution attached to this staff summary, authorizing the CDOT-proposed increases in Metro-North New Haven Line fares for travel to or from Connecticut stations.

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

## RESOLUTION

### FARE CHANGES APPLICABLE TO METRO-NORTH'S NEW HAVEN MAIN LINE FOR TRAVEL TO OR FROM CONNECTICUT STATIONS

WHEREAS, the Amended and Restated Service Agreement by and among the Metropolitan Transportation Authority ("MTA"), Metro-North Commuter Railroad Company ("Metro-North") and the Connecticut Department of Transportation ("CDOT") requires joint approval by the MTA Board and CDOT to implement fare increases for travel to or from Connecticut stations on Metro-North's New Haven Main Line;

WHEREAS, public hearings for these fare increases were previously conducted by CDOT, with the participation of Metro-North, in August 2011;

WHEREAS, at CDOT's request, the Board has reviewed the results of the analysis of the fare proposals prepared in accordance with Title VI requirements, has considered impacts of proposed fare changes upon riders of mass transportation services, including minority and low-income users of such services and approves the analysis of this proposed change;

NOW, THEREFORE, upon motion duly made and seconded, the following resolution was adopted by the MTA Board:

RESOLVED, that in accordance with the requirements of section 1266 of the Public Authorities Law, the MTA Board hereby approves an increase to the Metro-North New Haven Line Main Lines fares for travel to or from Connecticut stations in the cumulative amount of approximately 4.1%, which increase shall be implemented in four phases: a 1.0% increase, effective January 1, 2015; a 1.0% increase, effective January 1, 2016; a 1.0% increase, effective January 1, 2017; and a 1.0% increase, effective January 1, 2018; that the increases to specific fares to become effective on January 1, 2015, shall be as set forth in Attachment A hereto (based upon a 1.0% increase); and the President of Metro-North and his designees are hereby authorized and directed to take such additional and further steps as may be necessary or desirable to implement the approved increases in fares.

November 19, 2014  
New York, New York

**MTA Metro-North Railroad**  
**2015-2018 Connecticut Fare Increase Proposal Overview**

**2015-2018 Cumulative Fare Increase:**

| <b>Travel to From Manhattan</b>  | <b>Range of Increase</b> |
|----------------------------------|--------------------------|
| One-Way, Round-Trip and Ten Trip | 1.6%-6.6%                |
| Monthly Commutation              | 3.9%-4.2%                |
| Weekly Commutation               | 3.7%-4.4%                |
| <br>                             |                          |
| <b>Intermediate Travel</b>       | <b>Range of Increase</b> |
| One-Way, Round-Trip and Ten Trip | 0%-11.1%                 |
| Monthly Commutation              | 3.4%-5.2%                |
| Weekly Commutation               | 3.0%-6.1%                |

Increases of more than 5% will be held to a maximum of \$0.75 per ride.

**Proposed January 2015 Fares:**

- Table 1: Proposed New Haven Line Station Fares to/from Manhattan
- Table 2: Proposed New Haven Line Intermediate One Way Station Fares
- Table 3: Proposed New Haven Line Intermediate Monthly Commutation Fares
- Table 4: Proposed New Haven Line Intermediate Weekly Commutation Fares
- Table 5: Proposed New Haven Line Intermediate Ten-Trip Fares
- Table 6: Proposed New Haven Line Intermediate One Way Senior Citizen/Disabled Fares
- Table 7: Proposed New Haven Line Intermediate School Commutation Fares

**Table 1**  
**PROPOSED NEW HAVEN LINE STATION FARES TO/FROM MANHATTAN** <sup>(1,2)</sup>  
**(Effective 1/1/2015)**  
 (Page 1 of 2)

| Station   | Monthly Commutation |          | Weekly Commutation |          | 10-Trip Peak |          | 10-Trip Off-Peak |          | 10-Trip Senior/ Disabled/Medicare |          |
|---|---------------------|----------|--------------------|----------|--------------|----------|------------------|----------|-----------------------------------|----------|
|   | Existing            | Proposed | Existing           | Proposed | Existing     | Proposed | Existing         | Proposed | Existing                          | Proposed |
| Mount Vernon<br>Pelham<br>New Rochelle  | \$222.00            | \$222.00 | \$71.00            | \$71.00  | \$100.00     | \$100.00 | \$63.75          | \$63.75  | \$50.00                           | \$50.00  |
| Larchmont<br>Mamaroneck<br>Harrison   | \$249.00            | \$249.00 | \$79.75            | \$79.75  | \$112.50     | \$112.50 | \$72.25          | \$72.25  | \$55.00                           | \$55.00  |
| Rye<br>Port Chester   | \$269.00            | \$269.00 | \$86.00            | \$86.00  | \$120.00     | \$120.00 | \$76.50          | \$76.50  | \$60.00                           | \$60.00  |
| Greenwich<br>Cos Cob<br>Riverside<br>Old Greenwich                            | \$276.00            | \$279.00 | \$88.50            | \$89.25  | \$127.50     | \$127.50 | \$80.75          | \$80.75  | \$62.50                           | \$62.50  |
| Stamford<br>Noroton Heights<br>Darien<br>Rowayton                             | \$307.00            | \$310.00 | \$98.25            | \$99.25  | \$145.00     | \$145.00 | \$91.50          | \$93.50  | \$72.50                           | \$72.50  |
| South Norwalk<br>East Norwalk   | \$330.00            | \$333.00 | \$105.50           | \$106.50 | \$152.50     | \$152.50 | \$95.75          | \$97.75  | \$75.00                           | \$75.00  |
| Westport<br>Green's Farms<br>Southport<br>Fairfield<br>Fairfield Metro        | \$358.00            | \$362.00 | \$114.50           | \$115.75 | \$165.00     | \$165.00 | \$104.25         | \$106.25 | \$82.50                           | \$82.50  |
| Bridgeport  | \$390.00            | \$394.00 | \$124.75           | \$126.00 | \$180.00     | \$182.50 | \$114.75         | \$117.00 | \$90.00                           | \$90.00  |
| Stratford   | \$411.00            | \$415.00 | \$131.25           | \$132.75 | \$192.50     | \$195.00 | \$125.50         | \$125.50 | \$95.00                           | \$97.50  |
| Milford   | \$458.00            | \$463.00 | \$146.50           | \$148.25 | \$215.00     | \$217.50 | \$138.25         | \$138.25 | \$107.50                          | \$107.50 |
| New Haven<br>NH State Street  | \$458.00            | \$463.00 | \$146.50           | \$148.25 | \$215.00     | \$217.50 | \$138.25         | \$138.25 | \$107.50                          | \$107.50 |
| Glenbrook<br>Springdale<br>Talmadge Hill<br>New Canaan                        | \$307.00            | \$310.00 | \$98.25            | \$99.25  | \$145.00     | \$145.00 | \$91.50          | \$93.50  | \$72.50                           | \$72.50  |
| Merritt-7<br>Wilton<br>Cannondale   | \$340.00            | \$343.00 | \$109.00           | \$109.75 | \$157.50     | \$157.50 | \$97.75          | \$100.00 | \$77.50                           | \$77.50  |
| Branchville<br>Redding<br>Bethel<br>Danbury                                   | \$358.00            | \$361.00 | \$114.50           | \$115.50 | \$165.00     | \$165.00 | \$104.25         | \$106.25 | \$82.50                           | \$82.50  |
| Derby Shelton<br>Ansonia<br>Seymour<br>Beacon Falls<br>Naugatuck<br>Waterbury | \$413.00            | \$417.00 | \$132.25           | \$133.50 | \$190.00     | \$192.50 | \$123.25         | \$123.25 | \$95.00                           | \$95.00  |

**Notes:**

- (1) Reflects fares for principal ticket types sold at ticket offices and ticket vending machines.
- (2) Fares for travel within NY state do not change.
- (3) Fares for one way peak and one way off-peak tickets purchased onboard trains are calculated as the station fare plus \$6.00, rounded to the nearest dollar. Fares for senior citizen/disabled tickets purchased onboard trains are the same as the station fares.
- (4) Discounts of 2% for monthly commutation tickets and 5% for weekly and ten-trip tickets are available for advance ticket purchases through Mail&Ride and WebTicket programs for travel to/from Connecticut stations.

Table 1 (continued)  
**PROPOSED NEW HAVEN LINE STATION FARES TO/FROM MANHATTAN** <sup>(1,2)</sup>  
 (Effective 1/1/2015)  
 (Page 2 of 2)

| Station   | One-Way Peak |          | One-Way Off-Peak |          | One-Way Senior/ Disabled/Medicare |          | School Commutation |          |
|---|--------------|----------|------------------|----------|-----------------------------------|----------|--------------------|----------|
|   | Existing     | Proposed | Existing         | Proposed | Existing                          | Proposed | Existing           | Proposed |
| Mount Vernon<br>Pelham<br>New Rochelle  | \$10.00      | \$10.00  | \$7.50           | \$7.50   | \$5.00                            | \$5.00   | \$149.00           | \$149.00 |
| Larchmont<br>Mamaroneck<br>Harrison   | \$11.25      | \$11.25  | \$8.50           | \$8.50   | \$5.50                            | \$5.50   | \$167.00           | \$167.00 |
| Rye<br>Port Chester   | \$12.00      | \$12.00  | \$9.00           | \$9.00   | \$6.00                            | \$6.00   | \$180.00           | \$180.00 |
| Greenwich<br>Cos Cob<br>Riverside<br>Old Greenwich                            | \$12.75      | \$12.75  | \$9.50           | \$9.50   | \$6.25                            | \$6.25   | \$185.00           | \$187.00 |
| Stamford<br>Noroton Heights<br>Darien<br>Rowayton                             | \$14.50      | \$14.50  | \$10.75          | \$11.00  | \$7.25                            | \$7.25   | \$206.00           | \$208.00 |
| South Norwalk<br>East Norwalk   | \$15.25      | \$15.25  | \$11.25          | \$11.50  | \$7.50                            | \$7.50   | \$221.00           | \$223.00 |
| Westport<br>Green's Farms<br>Southport<br>Fairfield<br>Fairfield Metro        | \$16.50      | \$16.50  | \$12.25          | \$12.50  | \$8.25                            | \$8.25   | \$240.00           | \$243.00 |
| Bridgeport  | \$18.00      | \$18.25  | \$13.50          | \$13.75  | \$9.00                            | \$9.00   | \$261.00           | \$264.00 |
| Stratford<br>Milford  | \$19.25      | \$19.50  | \$14.75          | \$14.75  | \$9.50                            | \$9.75   | \$275.00           | \$278.00 |
| New Haven<br>NH State Street  | \$21.50      | \$21.75  | \$16.25          | \$16.25  | \$10.75                           | \$10.75  | \$307.00           | \$310.00 |
| Glenbrook<br>Springdale<br>Talmadge Hill<br>New Canaan                        | \$14.50      | \$14.50  | \$10.75          | \$11.00  | \$7.25                            | \$7.25   | \$206.00           | \$208.00 |
| Merritt-7<br>Wilton<br>Cannondale   | \$15.75      | \$15.75  | \$11.50          | \$11.75  | \$7.75                            | \$7.75   | \$228.00           | \$230.00 |
| Branchville<br>Redding<br>Bethel<br>Danbury                                   | \$16.50      | \$16.50  | \$12.25          | \$12.50  | \$8.25                            | \$8.25   | \$240.00           | \$242.00 |
| Derby Shelton<br>Ansonia<br>Seymour<br>Beacon Falls<br>Naugatuck<br>Waterbury | \$19.00      | \$19.25  | \$14.50          | \$14.50  | \$9.50                            | \$9.50   | \$277.00           | \$279.00 |

**Notes:**

- (1) Reflects fares for principal ticket types sold at ticket offices and ticket vending machines.
- (2) Fares for travel within NY state do not change.
- (3) Fares for one way peak and one way off-peak tickets purchased onboard trains are calculated as the station fare plus \$6.00, rounded to the nearest dollar. Fares for senior citizen/disabled tickets purchased onboard trains are the same as the station fares.
- (4) Discounts of 2% for monthly commutation tickets and 5% for weekly and ten-trip tickets are available for advance ticket purchases through Mail&Ride and WebTicket programs for travel to/from Connecticut stations.

**Table 2**  
**PROPOSED NEW HAVEN LINE INTERMEDIATE ONE WAY STATION FARES**  
**Effective 1/1/2015**  
 (Page 1 of 2)

| Zone # | Station                            | Fare            | 11            | 12                   | 13                    | 14                 | 15                     | 16                    | 17                    | 18                     | 19       | 20                    | 21                   | 31                   | 41                     | 42                    | 51                  |
|--------|------------------------------------|-----------------|---------------|----------------------|-----------------------|--------------------|------------------------|-----------------------|-----------------------|------------------------|----------|-----------------------|----------------------|----------------------|------------------------|-----------------------|---------------------|
|        |                                    |                 | Fordham       | Mt. Vrn-<br>New Roch | Larchmnt-<br>Harrison | Rye-<br>Port Chstr | Greenwch-<br>Old Grwch | Stamford-<br>Rowayton | S.Norwkl-<br>E.Norwkl | Westport-<br>Fairfield | Bridgept | Stratford-<br>Milford | West Hvn-<br>New Hvn | Glenbrk-<br>New Can. | Merritt-7-<br>Cannondl | Branchvle-<br>Danbury | Waterbury<br>Branch |
| 12     | Mt. Vernon East                    | <b>Proposed</b> | <b>\$3.00</b> | <b>\$3.00</b>        |                       |                    |                        |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
|        | Pelham                             | Existing        | \$3.00        | \$3.00               |                       |                    |                        |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
|        | New Rochelle                       |                 |               |                      |                       |                    |                        |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
| 13     | Larchmont                          | <b>Proposed</b> | <b>\$3.50</b> | <b>\$3.00</b>        | <b>\$3.00</b>         |                    |                        |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
|        | Mamaroneck<br>Harrison             | Existing        | \$3.50        | \$3.00               | \$3.00                |                    |                        |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
| 14     | Rye                                | <b>Proposed</b> | <b>\$4.75</b> | <b>\$3.25</b>        | <b>\$3.25</b>         | <b>\$3.00</b>      |                        |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
|        | Port Chester                       | Existing        | \$4.75        | \$3.25               | \$3.25                | \$3.00             |                        |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
| 15     | Greenwich                          | <b>Proposed</b> | <b>\$4.75</b> | <b>\$4.50</b>        | <b>\$3.50</b>         | <b>\$3.25</b>      | <b>\$2.75</b>          |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
|        | Cos Cob                            | Existing        | \$4.75        | \$4.25               | \$3.50                | \$3.25             | \$2.50                 |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
|        | Riverside<br>Old Greenwich         |                 |               |                      |                       |                    |                        |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
| 16     | Stamford                           | <b>Proposed</b> | <b>\$5.50</b> | <b>\$5.50</b>        | <b>\$4.75</b>         | <b>\$4.50</b>      | <b>\$2.75</b>          | <b>\$2.75</b>         |                       |                        |          |                       |                      |                      |                        |                       |                     |
|        | Noroton Hts.<br>Darien<br>Rowayton | Existing        | \$5.50        | \$5.50               | \$4.75                | \$4.25             | \$2.50                 | \$2.50                |                       |                        |          |                       |                      |                      |                        |                       |                     |
| 17     | South Norwalk                      | <b>Proposed</b> | <b>\$6.50</b> | <b>\$6.50</b>        | <b>\$5.50</b>         | <b>\$5.25</b>      | <b>\$3.25</b>          | <b>\$2.75</b>         | <b>\$2.75</b>         |                        |          |                       |                      |                      |                        |                       |                     |
|        | East Norwalk                       | Existing        | \$6.50        | \$6.50               | \$5.50                | \$5.25             | \$3.25                 | \$2.50                | \$2.50                |                        |          |                       |                      |                      |                        |                       |                     |
| 18     | Westport                           | <b>Proposed</b> | <b>\$8.00</b> | <b>\$8.00</b>        | <b>\$6.75</b>         | <b>\$6.50</b>      | <b>\$4.00</b>          | <b>\$2.75</b>         | <b>\$2.75</b>         | <b>\$2.75</b>          |          |                       |                      |                      |                        |                       |                     |
|        | Greens Farms                       | Existing        | \$7.75        | \$7.75               | \$6.75                | \$6.50             | \$4.00                 | \$2.50                | \$2.50                | \$2.50                 |          |                       |                      |                      |                        |                       |                     |
|        | Southport                          |                 |               |                      |                       |                    |                        |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
|        | Fairfield<br>Fairfield Metro       |                 |               |                      |                       |                    |                        |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |

**Notes:**

- (1) Reflects fares for tickets sold at ticket offices and ticket vending machines.
- (2) A 5% discount is available for tickets purchased thru WebTicket program for travel to/from Connecticut stations.
- (3) Fares shown for NY State stations will not change.

**Table 2 (continued)**  
**PROPOSED NEW HAVEN LINE INTERMEDIATE ONE WAY STATION FARES**  
**Effective 1/1/2015**  
 (Page 2 of 2)

| Zone # | Station   | Fare            | 11             | 12                   | 13                    | 14                 | 15                     | 16                    | 17                  | 18                     | 19            | 20                    | 21                   | 31                   | 41                     | 42                    | 51                  |
|--------|---|-----------------|----------------|----------------------|-----------------------|--------------------|------------------------|-----------------------|---------------------|------------------------|---------------|-----------------------|----------------------|----------------------|------------------------|-----------------------|---------------------|
|        |   |                 | Fordham        | Mt. Vrn-<br>New Roch | Larchmnt-<br>Harrison | Rye-<br>Port Chstr | Greenwch-<br>Old Grwch | Stamford-<br>Rowayton | S.Norwk-<br>E.Norwk | Westport-<br>Fairfield | Bridgept      | Stratford-<br>Milford | West Hvn-<br>New Hvn | Glenbrk-<br>New Can. | Merritt-7-<br>Cannondl | Branchvle-<br>Danbury | Waterbury<br>Branch |
| 19     | Bridgeport  | <b>Proposed</b> | <b>\$9.50</b>  | <b>\$9.50</b>        | <b>\$8.25</b>         | <b>\$7.75</b>      | <b>\$5.50</b>          | <b>\$4.00</b>         | <b>\$3.50</b>       | <b>\$2.75</b>          |               |                       |                      |                      |                        |                       |                     |
|        |   | Existing        | \$9.25         | \$9.25               | \$8.25                | \$7.50             | \$5.50                 | \$4.00                | \$3.50              | \$2.50                 |               |                       |                      |                      |                        |                       |                     |
| 20     | Stratford<br>Milford  | <b>Proposed</b> | <b>\$10.50</b> | <b>\$10.50</b>       | <b>\$9.50</b>         | <b>\$8.75</b>      | <b>\$6.75</b>          | <b>\$5.00</b>         | <b>\$4.25</b>       | <b>\$3.25</b>          | <b>\$2.75</b> | <b>\$2.75</b>         |                      |                      |                        |                       |                     |
|        |   | Existing        | \$10.50        | \$10.50              | \$9.25                | \$8.75             | \$6.75                 | \$5.00                | \$4.00              | \$3.25                 | \$2.50        | \$2.50                |                      |                      |                        |                       |                     |
| 21     | West Haven<br>New Haven<br>NH State Street                    | <b>Proposed</b> | <b>\$13.00</b> | <b>\$13.00</b>       | <b>\$11.75</b>        | <b>\$11.25</b>     | <b>\$9.00</b>          | <b>\$7.25</b>         | <b>\$6.50</b>       | <b>\$5.25</b>          | <b>\$3.50</b> | <b>\$3.25</b>         | <b>\$2.75</b>        |                      |                        |                       |                     |
|        |   | Existing        | \$12.75        | \$12.75              | \$11.50               | \$11.00            | \$9.00                 | \$7.25                | \$6.50              | \$5.00                 | \$3.50        | \$3.25                | \$2.50               |                      |                        |                       |                     |
| 31     | Glenbrook<br>Springdale<br>Talmadge Hill<br>New Canaan        | <b>Proposed</b> | <b>\$5.50</b>  | <b>\$5.50</b>        | <b>\$4.75</b>         | <b>\$4.50</b>      | <b>\$2.75</b>          | <b>\$2.75</b>         | <b>\$3.25</b>       | <b>\$4.00</b>          | <b>\$5.25</b> | <b>\$5.75</b>         | <b>\$8.00</b>        | <b>\$2.75</b>        |                        |                       |                     |
|        |   | Existing        | \$5.50         | \$5.50               | \$4.75                | \$4.25             | \$2.50                 | \$2.50                | \$3.25              | \$4.00                 | \$5.25        | \$5.75                | \$7.75               | \$2.50               |                        |                       |                     |
| 41     | Merritt-7<br>Wilton<br>Cannondale                             | <b>Proposed</b> | <b>\$7.00</b>  | <b>\$7.00</b>        | <b>\$5.75</b>         | <b>\$5.50</b>      | <b>\$3.75</b>          | <b>\$3.25</b>         | <b>\$2.75</b>       | <b>\$3.25</b>          | <b>\$4.00</b> | <b>\$4.75</b>         | <b>\$6.50</b>        | <b>\$4.00</b>        | <b>\$2.25</b>          |                       |                     |
|        |   | Existing        | \$7.00         | \$7.00               | \$5.75                | \$5.50             | \$3.75                 | \$3.25                | \$2.50              | \$3.25                 | \$4.00        | \$4.75                | \$6.50               | \$4.00               | \$2.25                 |                       |                     |
| 42     | Branchville<br>Redding<br>Bethel<br>Danbury                   | <b>Proposed</b> | <b>\$9.00</b>  | <b>\$8.00</b>        | <b>\$7.00</b>         | <b>\$6.50</b>      | <b>\$5.25</b>          | <b>\$4.50</b>         | <b>\$3.25</b>       | <b>\$4.75</b>          | <b>\$5.50</b> | <b>\$5.75</b>         | <b>\$8.25</b>        | <b>\$5.25</b>        | <b>\$2.25</b>          | <b>\$2.25</b>         |                     |
|        |   | Existing        | \$9.00         | \$7.75               | \$7.00                | \$6.50             | \$5.25                 | \$4.25                | \$3.25              | \$4.75                 | \$5.50        | \$5.75                | \$8.25               | \$5.25               | \$2.25                 | \$2.25                |                     |
| 51     | Derby-Shelton<br>Ansonia<br>Seymour<br>Naugatuck<br>Waterbury | <b>Proposed</b> | <b>\$11.25</b> | <b>\$10.75</b>       | <b>\$10.00</b>        | <b>\$9.75</b>      | <b>\$7.25</b>          | <b>\$6.25</b>         | <b>\$5.50</b>       | <b>\$4.75</b>          | <b>\$2.75</b> | <b>\$2.75</b>         | <b>\$5.50</b>        | <b>\$7.25</b>        | <b>\$6.50</b>          | <b>\$8.25</b>         | <b>\$2.25</b>       |
|        |   | Existing        | \$11.00        | \$10.75              | \$10.00               | \$9.50             | \$7.25                 | \$6.00                | \$5.50              | \$4.75                 | \$2.50        | \$2.50                | \$5.50               | \$7.25               | \$6.50                 | \$8.25                | \$2.25              |

**Notes:**

- (1) Reflects fares for tickets sold at ticket offices and ticket vending machines.
- (2) A 5% discount is available for tickets purchased thru WebTicket program for travel to/from Connecticut stations.
- (3) Fares shown for NY State stations will not change.

**Table 3**  
**PROPOSED NEW HAVEN LINE INTERMEDIATE MONTHLY COMMUTATION FARES**  
**Effective 1/1/2015**  
 (Page 1 of 2)

| Zone # | Station   | Fare                        | 11                          | 12                          | 13                          | 14                          | 15                        | 16                        | 17                        | 18                        | 19       | 20                    | 21                   | 31                   | 41                     | 42                    | 51                  |
|--------|---|-----------------------------|-----------------------------|-----------------------------|-----------------------------|-----------------------------|---------------------------|---------------------------|---------------------------|---------------------------|----------|-----------------------|----------------------|----------------------|------------------------|-----------------------|---------------------|
|        |   |                             | Fordham                     | Mt. Vrn-<br>New Roch        | Larchmnt-<br>Harrison       | Rye-<br>Port Chstr          | Greenwch-<br>Old Grwch    | Stamford-<br>Rowayton     | S.Norwtk-<br>E.Norwtk     | Westport-<br>Fairfield    | Bridgept | Stratford-<br>Milford | West Hvn-<br>New Hvn | Glenbrk-<br>New Can. | Merritt-7-<br>Cannondl | Branchvle-<br>Danbury | Waterbury<br>Branch |
| 12     | Mt. Vernon East<br>Pelham<br>New Rochelle                             | <b>Proposed</b><br>Existing | <b>\$64.75</b><br>\$64.75   | <b>\$64.75</b><br>\$64.75   |                             |                             |                           |                           |                           |                           |          |                       |                      |                      |                        |                       |                     |
| 13     | Larchmont<br>Mamaroneck<br>Harrison                                   | <b>Proposed</b><br>Existing | <b>\$72.00</b><br>\$72.00   | <b>\$64.75</b><br>\$64.75   | <b>\$64.75</b><br>\$64.75   |                             |                           |                           |                           |                           |          |                       |                      |                      |                        |                       |                     |
| 14     | Rye<br>Port Chester   | <b>Proposed</b><br>Existing | <b>\$90.75</b><br>\$90.75   | <b>\$65.75</b><br>\$65.75   | <b>\$65.75</b><br>\$65.75   | <b>\$62.50</b><br>\$62.50   |                           |                           |                           |                           |          |                       |                      |                      |                        |                       |                     |
| 15     | Greenwich<br>Cos Cob<br>Riverside<br>Old Greenwich                    | <b>Proposed</b><br>Existing | <b>\$91.75</b><br>\$90.75   | <b>\$91.75</b><br>\$90.75   | <b>\$71.75</b><br>\$71.00   | <b>\$63.25</b><br>\$62.50   | <b>\$58.75</b><br>\$58.25 |                           |                           |                           |          |                       |                      |                      |                        |                       |                     |
| 16     | Stamford<br>Noroton Hts.<br>Darien<br>Rowayton                        | <b>Proposed</b><br>Existing | <b>\$121.00</b><br>\$119.75 | <b>\$121.00</b><br>\$119.75 | <b>\$101.75</b><br>\$100.75 | <b>\$87.00</b><br>\$86.25   | <b>\$58.75</b><br>\$58.25 | <b>\$58.75</b><br>\$58.25 |                           |                           |          |                       |                      |                      |                        |                       |                     |
| 17     | South Norwalk<br>East Norwalk   | <b>Proposed</b><br>Existing | <b>\$142.25</b><br>\$140.75 | <b>\$142.25</b><br>\$140.75 | <b>\$122.00</b><br>\$120.75 | <b>\$108.25</b><br>\$107.25 | <b>\$65.75</b><br>\$65.00 | <b>\$58.75</b><br>\$58.25 | <b>\$58.75</b><br>\$58.25 |                           |          |                       |                      |                      |                        |                       |                     |
| 18     | Westport<br>Greens Farms<br>Southport<br>Fairfield<br>Fairfield Metro | <b>Proposed</b><br>Existing | <b>\$170.25</b><br>\$168.50 | <b>\$170.25</b><br>\$168.50 | <b>\$149.00</b><br>\$147.50 | <b>\$133.50</b><br>\$132.25 | <b>\$83.50</b><br>\$82.75 | <b>\$63.25</b><br>\$62.50 | <b>\$58.75</b><br>\$58.25 | <b>\$58.75</b><br>\$58.25 |          |                       |                      |                      |                        |                       |                     |

**Notes:**

- (1) Reflects fares for tickets sold at ticket offices and ticket vending machines.
- (2) A 2% discount is available for monthly commutation tickets purchased thru Mail&Ride or WebTicket program for travel to/from Connecticut stations.
- (3) Fares shown for NY State stations will not change.

**Table 3 (continued)**  
**PROPOSED NEW HAVEN LINE INTERMEDIATE MONTHLY COMMUTATION FARES**  
**Effective 1/1/2015**  
 (Page 2 of 2)

| Zone # | Station   | Fare            | 11              | 12                   | 13                    | 14                 | 15                     | 16                    | 17                    | 18                     | 19              | 20                    | 21                   | 31                   | 41                     | 42                    | 51                  |
|--------|---|-----------------|-----------------|----------------------|-----------------------|--------------------|------------------------|-----------------------|-----------------------|------------------------|-----------------|-----------------------|----------------------|----------------------|------------------------|-----------------------|---------------------|
|        |   |                 | Fordham         | Mt. Vrn-<br>New Roch | Larchmnt-<br>Harrison | Rye-<br>Port Chstr | Greenwch-<br>Old Grwch | Stamford-<br>Rowayton | S.Norwtk-<br>E.Norwtk | Westport-<br>Fairfield | Bridgept        | Stratford-<br>Milford | West Hvn-<br>New Hvn | Glenbrk-<br>New Can. | Merritt-7-<br>Cannondl | Branchvle-<br>Danbury | Waterbury<br>Branch |
| 19     | Bridgeport  | <b>Proposed</b> | <b>\$203.25</b> | <b>\$203.25</b>      | <b>\$178.25</b>       | <b>\$170.25</b>    | <b>\$116.25</b>        | <b>\$85.25</b>        | <b>\$69.50</b>        | <b>\$58.75</b>         |                 |                       |                      |                      |                        |                       |                     |
|        |   | Existing        | \$201.25        | \$201.25             | \$176.50              | \$168.50           | \$115.00               | \$84.50               | \$68.75               | \$58.25                |                 |                       |                      |                      |                        |                       |                     |
| 20     | Stratford<br>Milford  | <b>Proposed</b> | <b>\$222.75</b> | <b>\$222.75</b>      | <b>\$198.50</b>       | <b>\$183.00</b>    | <b>\$136.25</b>        | <b>\$105.00</b>       | <b>\$82.00</b>        | <b>\$58.75</b>         | <b>\$58.75</b>  | <b>\$58.75</b>        |                      |                      |                        |                       |                     |
|        |   | Existing        | \$220.50        | \$220.50             | \$196.50              | \$181.25           | \$135.00               | \$104.00              | \$81.00               | \$58.25                | \$58.25         | \$58.25               |                      |                      |                        |                       |                     |
| 21     | West Haven<br>New Haven<br>NH State Street                    | <b>Proposed</b> | <b>\$271.25</b> | <b>\$271.25</b>      | <b>\$246.75</b>       | <b>\$231.25</b>    | <b>\$184.00</b>        | <b>\$153.00</b>       | <b>\$130.00</b>       | <b>\$108.25</b>        | <b>\$70.50</b>  | <b>\$70.50</b>        | <b>\$59.75</b>       |                      |                        |                       |                     |
|        |   | Existing        | \$268.50        | \$268.50             | \$244.25              | \$229.00           | \$182.25               | \$151.25              | \$128.25              | \$107.25               | \$69.75         | \$69.75               | \$59.25              |                      |                        |                       |                     |
| 31     | Glenbrook<br>Springdale<br>Talmadge Hill<br>New Canaan        | <b>Proposed</b> | <b>\$121.00</b> | <b>\$121.00</b>      | <b>\$101.75</b>       | <b>\$87.00</b>     | <b>\$58.75</b>         | <b>\$58.75</b>        | <b>\$68.00</b>        | <b>\$88.00</b>         | <b>\$112.25</b> | <b>\$125.75</b>       | <b>\$166.75</b>      | <b>\$58.75</b>       |                        |                       |                     |
|        |   | Existing        | \$119.75        | \$119.75             | \$100.75              | \$86.25            | \$58.25                | \$58.25               | \$67.25               | \$87.25                | \$111.25        | \$124.50              | \$165.00             | \$58.25              |                        |                       |                     |
| 41     | Merritt-7<br>Wilton<br>Cannondale                             | <b>Proposed</b> | <b>\$154.75</b> | <b>\$151.25</b>      | <b>\$131.50</b>       | <b>\$116.25</b>    | <b>\$81.00</b>         | <b>\$67.00</b>        | <b>\$51.50</b>        | <b>\$68.00</b>         | <b>\$91.75</b>  | <b>\$100.75</b>       | <b>\$137.25</b>      | <b>\$87.00</b>       | <b>\$51.50</b>         |                       |                     |
|        |   | Existing        | \$153.25        | \$149.75             | \$130.25              | \$115.00           | \$80.25                | \$66.25               | \$51.00               | \$67.25                | \$90.75         | \$99.75               | \$136.00             | \$86.25              | \$51.00                |                       |                     |
| 42     | Branchville<br>Redding<br>Bethel<br>Danbury                   | <b>Proposed</b> | <b>\$186.50</b> | <b>\$170.25</b>      | <b>\$154.75</b>       | <b>\$139.75</b>    | <b>\$112.25</b>        | <b>\$94.00</b>        | <b>\$68.00</b>        | <b>\$100.75</b>        | <b>\$118.25</b> | <b>\$125.75</b>       | <b>\$175.00</b>      | <b>\$112.25</b>      | <b>\$51.50</b>         | <b>\$51.50</b>        |                     |
|        |   | Existing        | \$184.75        | \$168.50             | \$153.25              | \$138.25           | \$111.25               | \$93.00               | \$67.25               | \$99.75                | \$117.00        | \$124.50              | \$173.25             | \$111.25             | \$51.00                | \$51.00               |                     |
| 51     | Derby-Shelton<br>Ansonia<br>Seymour<br>Naugatuck<br>Waterbury | <b>Proposed</b> | <b>\$234.50</b> | <b>\$225.50</b>      | <b>\$204.25</b>       | <b>\$190.00</b>    | <b>\$154.75</b>        | <b>\$131.50</b>       | <b>\$118.25</b>       | <b>\$100.75</b>        | <b>\$62.00</b>  | <b>\$62.00</b>        | <b>\$118.25</b>      | <b>\$154.75</b>      | <b>\$138.25</b>        | <b>\$175.00</b>       | <b>\$51.50</b>      |
|        |   | Existing        | \$232.25        | \$223.25             | \$202.25              | \$188.00           | \$153.25               | \$130.25              | \$117.00              | \$99.75                | \$61.50         | \$61.50               | \$117.00             | \$153.25             | \$137.00               | \$173.25              | \$51.00             |

**Notes:**

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**Table 4**  
**PROPOSED NEW HAVEN LINE INTERMEDIATE WEEKLY COMMUTATION FARES**  
**Effective 1/1/2015**  
 (Page 1 of 2)

| Zone # | Station   | Fare                        | 11                        | 12                        | 13                        | 14                        | 15                        | 16                        | 17                        | 18                        | 19      | 20                    | 21                   | 31                   | 41                     | 42                    | 51                  |
|--------|---|-----------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------|-----------------------|----------------------|----------------------|------------------------|-----------------------|---------------------|
|        |   |                             | Fordham                   | Mt. Vrn-<br>New Roch      | Larchmnt-<br>Harrison     | Rye-<br>Port Chstr        | Greenwch-<br>Old Grwch    | Stamford-<br>Rowayton     | S.Norwtk-<br>E.Norwtk     | Westport-<br>Fairfield    | Bridgpt | Stratford-<br>Milford | West Hvn-<br>New Hvn | Glenbrk-<br>New Can. | Merritt-7-<br>Cannondl | Branchvle-<br>Danbury | Waterbury<br>Branch |
| 12     | Mt. Vernon East<br>Pelham<br>New Rochelle                             | <b>Proposed</b><br>Existing | <b>\$20.00</b><br>\$20.00 | <b>\$20.00</b><br>\$20.00 |                           |                           |                           |                           |                           |                           |         |                       |                      |                      |                        |                       |                     |
| 13     | Larchmont<br>Mamaroneck<br>Harrison                                   | <b>Proposed</b><br>Existing | <b>\$22.25</b><br>\$22.25 | <b>\$20.00</b><br>\$20.00 | <b>\$20.00</b><br>\$20.00 |                           |                           |                           |                           |                           |         |                       |                      |                      |                        |                       |                     |
| 14     | Rye<br>Port Chester   | <b>Proposed</b><br>Existing | <b>\$28.25</b><br>\$28.25 | <b>\$20.50</b><br>\$20.50 | <b>\$20.50</b><br>\$20.50 | <b>\$19.50</b><br>\$19.50 |                           |                           |                           |                           |         |                       |                      |                      |                        |                       |                     |
| 15     | Greenwich<br>Cos Cob<br>Riverside<br>Old Greenwich                    | <b>Proposed</b><br>Existing | <b>\$28.50</b><br>\$28.25 | <b>\$28.50</b><br>\$28.25 | <b>\$22.25</b><br>\$22.00 | <b>\$19.50</b><br>\$19.50 | <b>\$18.25</b><br>\$18.00 |                           |                           |                           |         |                       |                      |                      |                        |                       |                     |
| 16     | Stamford<br>Noroton Hts.<br>Darien<br>Rowayton                        | <b>Proposed</b><br>Existing | <b>\$37.50</b><br>\$37.00 | <b>\$37.50</b><br>\$37.00 | <b>\$31.50</b><br>\$31.25 | <b>\$27.00</b><br>\$26.75 | <b>\$18.25</b><br>\$18.00 | <b>\$18.25</b><br>\$18.00 |                           |                           |         |                       |                      |                      |                        |                       |                     |
| 17     | South Norwalk<br>East Norwalk   | <b>Proposed</b><br>Existing | <b>\$44.00</b><br>\$43.75 | <b>\$44.00</b><br>\$43.75 | <b>\$37.75</b><br>\$37.50 | <b>\$33.50</b><br>\$33.25 | <b>\$20.50</b><br>\$20.25 | <b>\$18.25</b><br>\$18.00 | <b>\$18.25</b><br>\$18.00 |                           |         |                       |                      |                      |                        |                       |                     |
| 18     | Westport<br>Greens Farms<br>Southport<br>Fairfield<br>Fairfield Metro | <b>Proposed</b><br>Existing | <b>\$52.75</b><br>\$52.25 | <b>\$52.75</b><br>\$52.25 | <b>\$46.25</b><br>\$45.75 | <b>\$41.50</b><br>\$41.00 | <b>\$26.50</b><br>\$26.00 | <b>\$19.50</b><br>\$19.50 | <b>\$18.25</b><br>\$18.00 | <b>\$18.25</b><br>\$18.00 |         |                       |                      |                      |                        |                       |                     |

**Notes:**

- (1) Reflects fares for tickets sold at ticket offices and ticket vending machines.
- (2) A 5% discount is available for tickets purchased thru WebTicket program for travel to/from Connecticut stations.
- (3) Fares shown for NY State stations will not change.

**Table 4 (continued)**  
**PROPOSED NEW HAVEN LINE INTERMEDIATE WEEKLY COMMUTATION FARES**  
**Effective 1/1/2015**  
 (Page 2 of 2)

| Zone # | Station   | Fare            | 11             | 12                   | 13                    | 14                 | 15                     | 16                    | 17                    | 18                     | 19             | 20                    | 21                   | 31                   | 41                     | 42                    | 51                  |
|--------|---|-----------------|----------------|----------------------|-----------------------|--------------------|------------------------|-----------------------|-----------------------|------------------------|----------------|-----------------------|----------------------|----------------------|------------------------|-----------------------|---------------------|
|        |   |                 | Fordham        | Mt. Vrn-<br>New Roch | Larchmnt-<br>Harrison | Rye-<br>Port Chstr | Greenwch-<br>Old Grwch | Stamford-<br>Rowayton | S.Norwlk-<br>E.Norwlk | Westport-<br>Fairfield | Bridgept       | Stratford-<br>Milford | West Hvn-<br>New Hvn | Glenbrk-<br>New Can. | Merritt-7-<br>Cannondl | Branchvle-<br>Danbury | Waterbury<br>Branch |
| 19     | Bridgeport  | <b>Proposed</b> | <b>\$63.00</b> | <b>\$63.00</b>       | <b>\$55.25</b>        | <b>\$52.75</b>     | <b>\$36.75</b>         | <b>\$26.75</b>        | <b>\$21.50</b>        | <b>\$18.25</b>         |                |                       |                      |                      |                        |                       |                     |
|        |   | Existing        | \$62.50        | \$62.50              | \$54.75               | \$52.25            | \$36.25                | \$26.50               | \$21.25               | \$18.00                |                |                       |                      |                      |                        |                       |                     |
| 20     | Stratford<br>Milford  | <b>Proposed</b> | <b>\$69.00</b> | <b>\$69.00</b>       | <b>\$61.50</b>        | <b>\$56.75</b>     | <b>\$43.50</b>         | <b>\$33.50</b>        | <b>\$26.25</b>        | <b>\$18.25</b>         | <b>\$18.25</b> | <b>\$18.25</b>        |                      |                      |                        |                       |                     |
|        |   | Existing        | \$68.25        | \$68.25              | \$61.00               | \$56.25            | \$42.75                | \$33.00               | \$25.75               | \$18.00                | \$18.00        | \$18.00               |                      |                      |                        |                       |                     |
| 21     | West Haven<br>New Haven<br>NH State Street                    | <b>Proposed</b> | <b>\$84.00</b> | <b>\$84.00</b>       | <b>\$76.50</b>        | <b>\$71.75</b>     | <b>\$59.00</b>         | <b>\$49.00</b>        | <b>\$41.75</b>        | <b>\$33.50</b>         | <b>\$22.25</b> | <b>\$21.75</b>        | <b>\$18.50</b>       |                      |                        |                       |                     |
|        |   | Existing        | \$83.25        | \$83.25              | \$75.75               | \$71.00            | \$58.00                | \$48.25               | \$41.00               | \$33.25                | \$21.75        | \$21.50               | \$18.25              |                      |                        |                       |                     |
| 31     | Glenbrook<br>Springdale<br>Talmadge Hill<br>New Canaan        | <b>Proposed</b> | <b>\$37.50</b> | <b>\$37.50</b>       | <b>\$31.50</b>        | <b>\$27.00</b>     | <b>\$18.25</b>         | <b>\$18.25</b>        | <b>\$21.00</b>        | <b>\$27.25</b>         | <b>\$34.75</b> | <b>\$39.00</b>        | <b>\$51.75</b>       | <b>\$18.25</b>       |                        |                       |                     |
|        |   | Existing        | \$37.00        | \$37.00              | \$31.25               | \$26.75            | \$18.00                | \$18.00               | \$20.75               | \$27.00                | \$34.50        | \$38.50               | \$51.25              | \$18.00              |                        |                       |                     |
| 41     | Merritt-7<br>Wilton<br>Cannondale                             | <b>Proposed</b> | <b>\$48.00</b> | <b>\$47.00</b>       | <b>\$40.75</b>        | <b>\$36.00</b>     | <b>\$25.00</b>         | <b>\$20.75</b>        | <b>\$16.00</b>        | <b>\$21.00</b>         | <b>\$28.50</b> | <b>\$31.25</b>        | <b>\$42.50</b>       | <b>\$27.00</b>       | <b>\$16.00</b>         |                       |                     |
|        |   | Existing        | \$47.50        | \$46.50              | \$40.50               | \$35.75            | \$25.00                | \$20.50               | \$15.75               | \$20.75                | \$28.25        | \$31.00               | \$42.25              | \$26.75              | \$15.75                |                       |                     |
| 42     | Branchville<br>Redding<br>Bethel<br>Danbury                   | <b>Proposed</b> | <b>\$57.75</b> | <b>\$52.75</b>       | <b>\$48.00</b>        | <b>\$43.25</b>     | <b>\$34.75</b>         | <b>\$29.25</b>        | <b>\$21.00</b>        | <b>\$31.25</b>         | <b>\$36.75</b> | <b>\$39.00</b>        | <b>\$54.25</b>       | <b>\$34.75</b>       | <b>\$16.00</b>         | <b>\$16.00</b>        |                     |
|        |   | Existing        | \$57.25        | \$52.25              | \$47.50               | \$42.75            | \$34.50                | \$28.75               | \$20.75               | \$31.00                | \$36.25        | \$38.50               | \$53.75              | \$34.50              | \$15.75                | \$15.75               |                     |
| 51     | Derby-Shelton<br>Ansonia<br>Seymour<br>Naugatuck<br>Waterbury | <b>Proposed</b> | <b>\$72.75</b> | <b>\$70.00</b>       | <b>\$63.25</b>        | <b>\$59.00</b>     | <b>\$48.00</b>         | <b>\$40.75</b>        | <b>\$36.75</b>        | <b>\$31.25</b>         | <b>\$19.25</b> | <b>\$19.25</b>        | <b>\$36.75</b>       | <b>\$48.00</b>       | <b>\$42.75</b>         | <b>\$54.25</b>        | <b>\$16.00</b>      |
|        |   | Existing        | \$72.00        | \$69.25              | \$62.75               | \$58.25            | \$47.50                | \$40.50               | \$36.25               | \$31.00                | \$19.00        | \$19.00               | \$36.25              | \$47.50              | \$42.50                | \$53.75               | \$15.75             |

**Notes:**

- (1) Reflects fares for tickets sold at ticket offices and ticket vending machines.
- (2) A 5% discount is available for tickets purchased thru WebTicket program for travel to/from Connecticut stations.
- (3) Fares shown for NY State stations will not change.

**Table 5**  
**PROPOSED NEW HAVEN LINE INTERMEDIATE TEN-TRIP FARES**  
**Effective 1/1/2015**  
 (Page 1 of 2)

| Zone # | Station   | Fare            | 11             | 12                   | 13                    | 14                 | 15                     | 16                    | 17                    | 18                     | 19       | 20                    | 21                   | 31                   | 41                     | 42                    | 51                  |
|--------|---|-----------------|----------------|----------------------|-----------------------|--------------------|------------------------|-----------------------|-----------------------|------------------------|----------|-----------------------|----------------------|----------------------|------------------------|-----------------------|---------------------|
|        |   |                 | Fordham        | Mt. Vrn-<br>New Roch | Larchmnt-<br>Harrison | Rye-<br>Port Chstr | Greenwch-<br>Old Grwch | Stamford-<br>Rowayton | S.Norwtk-<br>E.Norwtk | Westport-<br>Fairfield | Bridgept | Stratford-<br>Milford | West Hvn-<br>New Hvn | Glenbrk-<br>New Can. | Merritt-7-<br>Cannondl | Branchvle-<br>Danbury | Waterbury<br>Branch |
| 12     | Mt. Vernon East<br>Pelham<br>New Rochelle                             | <b>Proposed</b> | <b>\$25.50</b> | <b>\$25.50</b>       |                       |                    |                        |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
|        |   | Existing        | \$25.50        | \$25.50              |                       |                    |                        |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
| 13     | Larchmont<br>Mamaroneck<br>Harrison                                   | <b>Proposed</b> | <b>\$29.75</b> | <b>\$25.50</b>       | <b>\$25.50</b>        |                    |                        |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
|        |   | Existing        | \$29.75        | \$25.50              | \$25.50               |                    |                        |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
| 14     | Rye<br>Port Chester   | <b>Proposed</b> | <b>\$40.50</b> | <b>\$27.75</b>       | <b>\$27.75</b>        | <b>\$25.50</b>     |                        |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
|        |   | Existing        | \$40.50        | \$27.75              | \$27.75               | \$25.50            |                        |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
| 15     | Greenwich<br>Cos Cob<br>Riverside<br>Old Greenwich                    | <b>Proposed</b> | <b>\$40.50</b> | <b>\$38.25</b>       | <b>\$29.75</b>        | <b>\$27.75</b>     | <b>\$23.50</b>         |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
|        |   | Existing        | \$40.50        | \$36.25              | \$29.75               | \$27.75            | \$21.25                |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
| 16     | Stamford<br>Noroton Hts.<br>Darien<br>Rowayton                        | <b>Proposed</b> | <b>\$46.75</b> | <b>\$46.75</b>       | <b>\$40.50</b>        | <b>\$38.25</b>     | <b>\$23.50</b>         | <b>\$23.50</b>        |                       |                        |          |                       |                      |                      |                        |                       |                     |
|        |   | Existing        | \$46.75        | \$46.75              | \$40.50               | \$36.25            | \$21.25                | \$21.25               |                       |                        |          |                       |                      |                      |                        |                       |                     |
| 17     | South Norwalk<br>East Norwalk   | <b>Proposed</b> | <b>\$55.25</b> | <b>\$55.25</b>       | <b>\$46.75</b>        | <b>\$44.75</b>     | <b>\$27.75</b>         | <b>\$23.50</b>        | <b>\$23.50</b>        |                        |          |                       |                      |                      |                        |                       |                     |
|        |   | Existing        | \$55.25        | \$55.25              | \$46.75               | \$44.75            | \$27.75                | \$21.25               | \$21.25               |                        |          |                       |                      |                      |                        |                       |                     |
| 18     | Westport<br>Greens Farms<br>Southport<br>Fairfield<br>Fairfield Metro | <b>Proposed</b> | <b>\$68.00</b> | <b>\$68.00</b>       | <b>\$57.50</b>        | <b>\$55.25</b>     | <b>\$34.00</b>         | <b>\$23.50</b>        | <b>\$23.50</b>        | <b>\$23.50</b>         |          |                       |                      |                      |                        |                       |                     |
|        |   | Existing        | \$66.00        | \$66.00              | \$57.50               | \$55.25            | \$34.00                | \$21.25               | \$21.25               | \$21.25                |          |                       |                      |                      |                        |                       |                     |

**Notes:**

- (1) Reflects fares for tickets sold at ticket offices and ticket vending machines.
- (2) A 5% discount is available for tickets purchased thru WebTicket program for travel to/from Connecticut stations.
- (3) Fares shown for NY State stations will not change.

**Table 5 (continued)**  
**PROPOSED NEW HAVEN LINE INTERMEDIATE TEN-TRIP FARES**  
**Effective 1/1/2015**  
 (Page 2 of 2)

| Zone # | Station   | Fare            | 11              | 12                   | 13                    | 14                 | 15                     | 16                    | 17                    | 18                     | 19             | 20                    | 21                   | 31                   | 41                     | 42                    | 51                  |
|--------|---|-----------------|-----------------|----------------------|-----------------------|--------------------|------------------------|-----------------------|-----------------------|------------------------|----------------|-----------------------|----------------------|----------------------|------------------------|-----------------------|---------------------|
|        |   |                 | Fordham         | Mt. Vrn-<br>New Roch | Larchmnt-<br>Harrison | Rye-<br>Port Chstr | Greenwch-<br>Old Grwch | Stamford-<br>Rowayton | S.Norwtk-<br>E.Norwtk | Westport-<br>Fairfield | Bridgept       | Stratford-<br>Milford | West Hvn-<br>New Hvn | Glenbrk-<br>New Can. | Merritt-7-<br>Cannondl | Branchvle-<br>Danbury | Waterbury<br>Branch |
| 19     | Bridgeport  | <b>Proposed</b> | <b>\$80.75</b>  | <b>\$80.75</b>       | <b>\$70.25</b>        | <b>\$66.00</b>     | <b>\$46.75</b>         | <b>\$34.00</b>        | <b>\$29.75</b>        | <b>\$23.50</b>         |                |                       |                      |                      |                        |                       |                     |
|        |   | Existing        | \$78.75         | \$78.75              | \$70.25               | \$63.75            | \$46.75                | \$34.00               | \$29.75               | \$21.25                |                |                       |                      |                      |                        |                       |                     |
| 20     | Stratford<br>Milford  | <b>Proposed</b> | <b>\$89.25</b>  | <b>\$89.25</b>       | <b>\$80.75</b>        | <b>\$74.50</b>     | <b>\$57.50</b>         | <b>\$42.50</b>        | <b>\$36.25</b>        | <b>\$27.75</b>         | <b>\$23.50</b> | <b>\$23.50</b>        |                      |                      |                        |                       |                     |
|        |   | Existing        | \$89.25         | \$89.25              | \$78.75               | \$74.50            | \$57.50                | \$42.50               | \$34.00               | \$27.75                | \$21.25        | \$21.25               |                      |                      |                        |                       |                     |
| 21     | West Haven<br>New Haven<br>NH State Street                    | <b>Proposed</b> | <b>\$110.50</b> | <b>\$110.50</b>      | <b>\$100.00</b>       | <b>\$95.75</b>     | <b>\$76.50</b>         | <b>\$61.75</b>        | <b>\$55.25</b>        | <b>\$44.75</b>         | <b>\$29.75</b> | <b>\$27.75</b>        | <b>\$23.50</b>       |                      |                        |                       |                     |
|        |   | Existing        | \$108.50        | \$108.50             | \$97.75               | \$93.50            | \$76.50                | \$61.75               | \$55.25               | \$42.50                | \$29.75        | \$27.75               | \$21.25              |                      |                        |                       |                     |
| 31     | Glenbrook<br>Springdale<br>Talmadge Hill<br>New Canaan        | <b>Proposed</b> | <b>\$46.75</b>  | <b>\$46.75</b>       | <b>\$40.50</b>        | <b>\$38.25</b>     | <b>\$23.50</b>         | <b>\$23.50</b>        | <b>\$27.75</b>        | <b>\$34.00</b>         | <b>\$44.75</b> | <b>\$49.00</b>        | <b>\$68.00</b>       | <b>\$23.50</b>       |                        |                       |                     |
|        |   | Existing        | \$46.75         | \$46.75              | \$40.50               | \$36.25            | \$21.25                | \$21.25               | \$27.75               | \$34.00                | \$44.75        | \$49.00               | \$66.00              | \$21.25              |                        |                       |                     |
| 41     | Merritt-7<br>Wilton<br>Cannondale                             | <b>Proposed</b> | <b>\$59.50</b>  | <b>\$59.50</b>       | <b>\$49.00</b>        | <b>\$46.75</b>     | <b>\$32.00</b>         | <b>\$27.75</b>        | <b>\$23.50</b>        | <b>\$27.75</b>         | <b>\$34.00</b> | <b>\$40.50</b>        | <b>\$55.25</b>       | <b>\$34.00</b>       | <b>\$19.25</b>         |                       |                     |
|        |   | Existing        | \$59.50         | \$59.50              | \$49.00               | \$46.75            | \$32.00                | \$27.75               | \$21.25               | \$27.75                | \$34.00        | \$40.50               | \$55.25              | \$34.00              | \$19.25                |                       |                     |
| 42     | Branchville<br>Redding<br>Bethel<br>Danbury                   | <b>Proposed</b> | <b>\$76.50</b>  | <b>\$68.00</b>       | <b>\$59.50</b>        | <b>\$55.25</b>     | <b>\$44.75</b>         | <b>\$38.25</b>        | <b>\$27.75</b>        | <b>\$40.50</b>         | <b>\$46.75</b> | <b>\$49.00</b>        | <b>\$70.25</b>       | <b>\$44.75</b>       | <b>\$19.25</b>         | <b>\$19.25</b>        |                     |
|        |   | Existing        | \$76.50         | \$66.00              | \$59.50               | \$55.25            | \$44.75                | \$36.25               | \$27.75               | \$40.50                | \$46.75        | \$49.00               | \$70.25              | \$44.75              | \$19.25                | \$19.25               |                     |
| 51     | Derby-Shelton<br>Ansonia<br>Seymour<br>Naugatuck<br>Waterbury | <b>Proposed</b> | <b>\$95.75</b>  | <b>\$91.50</b>       | <b>\$85.00</b>        | <b>\$83.00</b>     | <b>\$61.75</b>         | <b>\$53.25</b>        | <b>\$46.75</b>        | <b>\$40.50</b>         | <b>\$23.50</b> | <b>\$23.50</b>        | <b>\$46.75</b>       | <b>\$61.75</b>       | <b>\$55.25</b>         | <b>\$70.25</b>        | <b>\$19.25</b>      |
|        |   | Existing        | \$93.50         | \$91.50              | \$85.00               | \$80.75            | \$61.75                | \$51.00               | \$46.75               | \$40.50                | \$21.25        | \$21.25               | \$46.75              | \$61.75              | \$55.25                | \$70.25               | \$19.25             |

**Notes:**

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- (3) Fares shown for NY State stations will not change.

**Table 6**  
**PROPOSED NEW HAVEN LINE INTERMEDIATE ONE WAY SENIOR CITIZEN/DISABLED FARES**  
**Effective 1/1/2015**  
 (Page 1 of 2)

| Zone # | Station   | Fare            | 11            | 12                   | 13                    | 14                 | 15                     | 16                    | 17                    | 18                     | 19       | 20                    | 21                   | 31                   | 41                     | 42                    | 51                  |
|--------|---|-----------------|---------------|----------------------|-----------------------|--------------------|------------------------|-----------------------|-----------------------|------------------------|----------|-----------------------|----------------------|----------------------|------------------------|-----------------------|---------------------|
|        |   |                 | Fordham       | Mt. Vrn-<br>New Roch | Larchmnt-<br>Harrison | Rye-<br>Port Chstr | Greenwch-<br>Old Grwch | Stamford-<br>Rowayton | S.Norwtk-<br>E.Norwtk | Westport-<br>Fairfield | Bridgept | Stratford-<br>Milford | West Hvn-<br>New Hvn | Glenbrk-<br>New Can. | Merritt-7-<br>Cannondl | Branchvle-<br>Danbury | Waterbury<br>Branch |
| 12     | Mt. Vernon East<br>Pelham<br>New Rochelle                             | <b>Proposed</b> | <b>\$1.50</b> | <b>\$1.50</b>        |                       |                    |                        |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
|        |   | Existing        | \$1.50        | \$1.50               |                       |                    |                        |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
| 13     | Larchmont<br>Mamaroneck<br>Harrison                                   | <b>Proposed</b> | <b>\$1.75</b> | <b>\$1.50</b>        | <b>\$1.50</b>         |                    |                        |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
|        |   | Existing        | \$1.75        | \$1.50               | \$1.50                |                    |                        |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
| 14     | Rye<br>Port Chester   | <b>Proposed</b> | <b>\$2.25</b> | <b>\$1.50</b>        | <b>\$1.50</b>         | <b>\$1.50</b>      |                        |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
|        |   | Existing        | \$2.25        | \$1.50               | \$1.50                | \$1.50             |                        |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
| 15     | Greenwich<br>Cos Cob<br>Riverside<br>Old Greenwich                    | <b>Proposed</b> | <b>\$2.25</b> | <b>\$2.25</b>        | <b>\$1.75</b>         | <b>\$1.50</b>      | <b>\$1.25</b>          |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
|        |   | Existing        | \$2.25        | \$2.00               | \$1.75                | \$1.50             | \$1.25                 |                       |                       |                        |          |                       |                      |                      |                        |                       |                     |
| 16     | Stamford<br>Noroton Hts.<br>Darien<br>Rowayton                        | <b>Proposed</b> | <b>\$2.75</b> | <b>\$2.75</b>        | <b>\$2.25</b>         | <b>\$2.25</b>      | <b>\$1.25</b>          | <b>\$1.25</b>         |                       |                        |          |                       |                      |                      |                        |                       |                     |
|        |   | Existing        | \$2.75        | \$2.75               | \$2.25                | \$2.00             | \$1.25                 | \$1.25                |                       |                        |          |                       |                      |                      |                        |                       |                     |
| 17     | South Norwalk<br>East Norwalk   | <b>Proposed</b> | <b>\$3.25</b> | <b>\$3.25</b>        | <b>\$2.75</b>         | <b>\$2.50</b>      | <b>\$1.50</b>          | <b>\$1.25</b>         | <b>\$1.25</b>         |                        |          |                       |                      |                      |                        |                       |                     |
|        |   | Existing        | \$3.25        | \$3.25               | \$2.75                | \$2.50             | \$1.50                 | \$1.25                | \$1.25                |                        |          |                       |                      |                      |                        |                       |                     |
| 18     | Westport<br>Greens Farms<br>Southport<br>Fairfield<br>Fairfield Metro | <b>Proposed</b> | <b>\$4.00</b> | <b>\$4.00</b>        | <b>\$3.25</b>         | <b>\$3.25</b>      | <b>\$2.00</b>          | <b>\$1.25</b>         | <b>\$1.25</b>         | <b>\$1.25</b>          |          |                       |                      |                      |                        |                       |                     |
|        |   | Existing        | \$3.75        | \$3.75               | \$3.25                | \$3.25             | \$2.00                 | \$1.25                | \$1.25                | \$1.25                 |          |                       |                      |                      |                        |                       |                     |

**Notes:**

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- (2) A 5% discount is available for tickets purchased thru WebTicket program for travel to/from Connecticut stations.
- (3) Fares shown for NY State stations will not change.

**Table 6 (continued)**  
**PROPOSED NEW HAVEN LINE INTERMEDIATE ONE WAY SENIOR CITIZEN/DISABLED FARES**  
**Effective 1/1/2015**  
 (Page 2 of 2)

| Zone # | Station   | Fare            | 11            | 12                   | 13                    | 14                 | 15                     | 16                    | 17                    | 18                     | 19            | 20                    | 21                   | 31                   | 41                     | 42                    | 51                  |
|--------|---|-----------------|---------------|----------------------|-----------------------|--------------------|------------------------|-----------------------|-----------------------|------------------------|---------------|-----------------------|----------------------|----------------------|------------------------|-----------------------|---------------------|
|        |   |                 | Fordham       | Mt. Vrn-<br>New Roch | Larchmnt-<br>Harrison | Rye-<br>Port Chstr | Greenwch-<br>Old Grwch | Stamford-<br>Rowayton | S.Norwtk-<br>E.Norwtk | Westport-<br>Fairfield | Bridgept      | Stratford-<br>Milford | West Hvn-<br>New Hvn | Glenbrk-<br>New Can. | Merritt-7-<br>Cannondl | Branchvle-<br>Danbury | Waterbury<br>Branch |
| 19     | Bridgeport  | <b>Proposed</b> | <b>\$4.75</b> | <b>\$4.75</b>        | <b>\$4.00</b>         | <b>\$3.75</b>      | <b>\$2.75</b>          | <b>\$2.00</b>         | <b>\$1.75</b>         | <b>\$1.25</b>          |               |                       |                      |                      |                        |                       |                     |
|        |   | Existing        | \$4.50        | \$4.50               | \$4.00                | \$3.75             | \$2.75                 | \$2.00                | \$1.75                | \$1.25                 |               |                       |                      |                      |                        |                       |                     |
| 20     | Stratford<br>Milford  | <b>Proposed</b> | <b>\$5.25</b> | <b>\$5.25</b>        | <b>\$4.75</b>         | <b>\$4.25</b>      | <b>\$3.25</b>          | <b>\$2.50</b>         | <b>\$2.00</b>         | <b>\$1.50</b>          | <b>\$1.25</b> | <b>\$1.25</b>         |                      |                      |                        |                       |                     |
|        |   | Existing        | \$5.25        | \$5.25               | \$4.50                | \$4.25             | \$3.25                 | \$2.50                | \$2.00                | \$1.50                 | \$1.25        | \$1.25                |                      |                      |                        |                       |                     |
| 21     | West Haven<br>New Haven<br>NH State Street                    | <b>Proposed</b> | <b>\$6.50</b> | <b>\$6.50</b>        | <b>\$5.75</b>         | <b>\$5.50</b>      | <b>\$4.50</b>          | <b>\$3.50</b>         | <b>\$3.25</b>         | <b>\$2.50</b>          | <b>\$1.75</b> | <b>\$1.50</b>         | <b>\$1.25</b>        |                      |                        |                       |                     |
|        |   | Existing        | \$6.25        | \$6.25               | \$5.75                | \$5.50             | \$4.50                 | \$3.50                | \$3.25                | \$2.50                 | \$1.75        | \$1.50                | \$1.25               |                      |                        |                       |                     |
| 31     | Glenbrook<br>Springdale<br>Talmadge Hill<br>New Canaan        | <b>Proposed</b> | <b>\$2.75</b> | <b>\$2.75</b>        | <b>\$2.25</b>         | <b>\$2.25</b>      | <b>\$1.25</b>          | <b>\$1.25</b>         | <b>\$1.50</b>         | <b>\$2.00</b>          | <b>\$2.50</b> | <b>\$2.75</b>         | <b>\$4.00</b>        | <b>\$1.25</b>        |                        |                       |                     |
|        |   | Existing        | \$2.75        | \$2.75               | \$2.25                | \$2.00             | \$1.25                 | \$1.25                | \$1.50                | \$2.00                 | \$2.50        | \$2.75                | \$3.75               | \$1.25               |                        |                       |                     |
| 41     | Merritt-7<br>Wilton<br>Cannondale                             | <b>Proposed</b> | <b>\$3.50</b> | <b>\$3.50</b>        | <b>\$2.75</b>         | <b>\$2.75</b>      | <b>\$1.75</b>          | <b>\$1.50</b>         | <b>\$1.25</b>         | <b>\$1.50</b>          | <b>\$2.00</b> | <b>\$2.25</b>         | <b>\$3.25</b>        | <b>\$2.00</b>        | <b>\$1.00</b>          |                       |                     |
|        |   | Existing        | \$3.50        | \$3.50               | \$2.75                | \$2.75             | \$1.75                 | \$1.50                | \$1.25                | \$1.50                 | \$2.00        | \$2.25                | \$3.25               | \$2.00               | \$1.00                 |                       |                     |
| 42     | Branchville<br>Redding<br>Bethel<br>Danbury                   | <b>Proposed</b> | <b>\$4.50</b> | <b>\$4.00</b>        | <b>\$3.50</b>         | <b>\$3.25</b>      | <b>\$2.50</b>          | <b>\$2.25</b>         | <b>\$1.50</b>         | <b>\$2.25</b>          | <b>\$2.75</b> | <b>\$2.75</b>         | <b>\$4.00</b>        | <b>\$2.50</b>        | <b>\$1.00</b>          | <b>\$1.00</b>         |                     |
|        |   | Existing        | \$4.50        | \$3.75               | \$3.50                | \$3.25             | \$2.50                 | \$2.00                | \$1.50                | \$2.25                 | \$2.75        | \$2.75                | \$4.00               | \$2.50               | \$1.00                 | \$1.00                |                     |
| 51     | Derby-Shelton<br>Ansonia<br>Seymour<br>Naugatuck<br>Waterbury | <b>Proposed</b> | <b>\$5.50</b> | <b>\$5.25</b>        | <b>\$5.00</b>         | <b>\$4.75</b>      | <b>\$3.50</b>          | <b>\$3.00</b>         | <b>\$2.75</b>         | <b>\$2.25</b>          | <b>\$1.25</b> | <b>\$1.25</b>         | <b>\$2.75</b>        | <b>\$3.50</b>        | <b>\$3.25</b>          | <b>\$4.00</b>         | <b>\$1.00</b>       |
|        |   | Existing        | \$5.50        | \$5.25               | \$5.00                | \$4.75             | \$3.50                 | \$3.00                | \$2.75                | \$2.25                 | \$1.25        | \$1.25                | \$2.75               | \$3.50               | \$3.25                 | \$4.00                | \$1.00              |

**Notes:**

- (1) Reflects fares for tickets sold at ticket offices and ticket vending machines.
- (2) A 5% discount is available for tickets purchased thru WebTicket program for travel to/from Connecticut stations.
- (3) Fares shown for NY State stations will not change.

**Table 7**  
**PROPOSED NEW HAVEN LINE INTERMEDIATE SCHOOL COMMUTATION FARES**  
**Effective 1/1/2015**  
 (Page 1 of 2)

| Zone # | Station   | Fare                        | 11                          | 12                          | 13                        | 14                        | 15                        | 16                        | 17                        | 18                        | 19       | 20                    | 21                   | 31                   | 41                     | 42                    | 51                  |
|--------|---|-----------------------------|-----------------------------|-----------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|----------|-----------------------|----------------------|----------------------|------------------------|-----------------------|---------------------|
|        |   |                             | Fordham                     | Mt. Vrn-<br>New Roch        | Larchmnt-<br>Harrison     | Rye-<br>Port Chstr        | Greenwch-<br>Old Grwch    | Stamford-<br>Rowayton     | S.Norwtk-<br>E.Norwtk     | Westport-<br>Fairfield    | Bridgept | Stratford-<br>Milford | West Hvn-<br>New Hvn | Glenbrk-<br>New Can. | Merritt-7-<br>Cannondl | Branchvle-<br>Danbury | Waterbury<br>Branch |
| 12     | Mt. Vernon East<br>Pelham<br>New Rochelle                             | <b>Proposed</b><br>Existing | <b>\$43.50</b><br>\$43.50   | <b>\$43.50</b><br>\$43.50   |                           |                           |                           |                           |                           |                           |          |                       |                      |                      |                        |                       |                     |
| 13     | Larchmont<br>Mamaroneck<br>Harrison                                   | <b>Proposed</b><br>Existing | <b>\$48.25</b><br>\$48.25   | <b>\$43.50</b><br>\$43.50   | <b>\$43.50</b><br>\$43.50 |                           |                           |                           |                           |                           |          |                       |                      |                      |                        |                       |                     |
| 14     | Rye<br>Port Chester   | <b>Proposed</b><br>Existing | <b>\$60.75</b><br>\$60.75   | <b>\$44.00</b><br>\$44.00   | <b>\$44.00</b><br>\$44.00 | <b>\$42.00</b><br>\$42.00 |                           |                           |                           |                           |          |                       |                      |                      |                        |                       |                     |
| 15     | Greenwich<br>Cos Cob<br>Riverside<br>Old Greenwich                    | <b>Proposed</b><br>Existing | <b>\$61.50</b><br>\$60.75   | <b>\$61.50</b><br>\$60.75   | <b>\$48.00</b><br>\$47.50 | <b>\$42.50</b><br>\$42.00 | <b>\$39.25</b><br>\$39.00 |                           |                           |                           |          |                       |                      |                      |                        |                       |                     |
| 16     | Stamford<br>Noroton Hts.<br>Darien<br>Rowayton                        | <b>Proposed</b><br>Existing | <b>\$81.00</b><br>\$80.25   | <b>\$81.00</b><br>\$80.25   | <b>\$68.25</b><br>\$67.50 | <b>\$58.25</b><br>\$57.75 | <b>\$39.25</b><br>\$39.00 | <b>\$39.25</b><br>\$39.00 |                           |                           |          |                       |                      |                      |                        |                       |                     |
| 17     | South Norwalk<br>East Norwalk   | <b>Proposed</b><br>Existing | <b>\$95.25</b><br>\$94.25   | <b>\$95.25</b><br>\$94.25   | <b>\$81.75</b><br>\$81.00 | <b>\$72.50</b><br>\$71.75 | <b>\$44.00</b><br>\$43.50 | <b>\$39.25</b><br>\$39.00 | <b>\$39.25</b><br>\$39.00 |                           |          |                       |                      |                      |                        |                       |                     |
| 18     | Westport<br>Greens Farms<br>Southport<br>Fairfield<br>Fairfield Metro | <b>Proposed</b><br>Existing | <b>\$114.00</b><br>\$113.00 | <b>\$114.00</b><br>\$113.00 | <b>\$99.75</b><br>\$98.75 | <b>\$89.50</b><br>\$88.50 | <b>\$56.00</b><br>\$55.50 | <b>\$42.50</b><br>\$42.00 | <b>\$39.25</b><br>\$39.00 | <b>\$39.25</b><br>\$39.00 |          |                       |                      |                      |                        |                       |                     |

**Notes:**

- (1) Reflects fares for tickets sold at ticket offices and ticket vending machines.  
 (2) Fares shown for NY State stations will not change.

**Table 7 (continued)**  
**PROPOSED NEW HAVEN LINE INTERMEDIATE SCHOOL COMMUTATION FARES**  
**Effective 1/1/2015**  
 (Page 2 of 2)

| Zone # | Station   | Fare            | 11              | 12                   | 13                    | 14                 | 15                     | 16                    | 17                    | 18                     | 19             | 20                    | 21                   | 31                   | 41                     | 42                    | 51                  |
|--------|---|-----------------|-----------------|----------------------|-----------------------|--------------------|------------------------|-----------------------|-----------------------|------------------------|----------------|-----------------------|----------------------|----------------------|------------------------|-----------------------|---------------------|
|        |   |                 | Fordham         | Mt. Vrn-<br>New Roch | Larchmnt-<br>Harrison | Rye-<br>Port Chstr | Greenwch-<br>Old Grwch | Stamford-<br>Rowayton | S.Norwtk-<br>E.Norwtk | Westport-<br>Fairfield | Bridgept       | Stratford-<br>Milford | West Hvn-<br>New Hvn | Glenbrk-<br>New Can. | Merritt-7-<br>Cannondl | Branchvle-<br>Danbury | Waterbury<br>Branch |
| 19     | Bridgeport  | <b>Proposed</b> | <b>\$136.25</b> | <b>\$136.25</b>      | <b>\$119.50</b>       | <b>\$114.00</b>    | <b>\$78.00</b>         | <b>\$57.00</b>        | <b>\$46.50</b>        | <b>\$39.25</b>         |                |                       |                      |                      |                        |                       |                     |
|        |   | Existing        | \$134.75        | \$134.75             | \$118.25              | \$113.00           | \$77.00                | \$56.50               | \$46.00               | \$39.00                |                |                       |                      |                      |                        |                       |                     |
| 20     | Stratford<br>Milford  | <b>Proposed</b> | <b>\$149.25</b> | <b>\$149.25</b>      | <b>\$133.00</b>       | <b>\$122.50</b>    | <b>\$91.25</b>         | <b>\$70.25</b>        | <b>\$55.00</b>        | <b>\$39.25</b>         | <b>\$39.25</b> | <b>\$39.25</b>        |                      |                      |                        |                       |                     |
|        |   | Existing        | \$147.75        | \$147.75             | \$131.75              | \$121.50           | \$90.50                | \$69.75               | \$54.25               | \$39.00                | \$39.00        | \$39.00               |                      |                      |                        |                       |                     |
| 21     | West Haven<br>New Haven<br>NH State Street                    | <b>Proposed</b> | <b>\$181.75</b> | <b>\$181.75</b>      | <b>\$165.25</b>       | <b>\$155.00</b>    | <b>\$123.25</b>        | <b>\$102.50</b>       | <b>\$87.00</b>        | <b>\$72.50</b>         | <b>\$47.25</b> | <b>\$47.25</b>        | <b>\$40.00</b>       |                      |                        |                       |                     |
|        |   | Existing        | \$180.00        | \$180.00             | \$163.75              | \$153.50           | \$122.00               | \$101.25              | \$86.00               | \$71.75                | \$46.75        | \$46.75               | \$39.75              |                      |                        |                       |                     |
| 31     | Glenbrook<br>Springdale<br>Talmadge Hill<br>New Canaan        | <b>Proposed</b> | <b>\$81.00</b>  | <b>\$81.00</b>       | <b>\$68.25</b>        | <b>\$58.25</b>     | <b>\$39.25</b>         | <b>\$39.25</b>        | <b>\$45.50</b>        | <b>\$59.00</b>         | <b>\$75.25</b> | <b>\$84.25</b>        | <b>\$111.75</b>      | <b>\$39.25</b>       |                        |                       |                     |
|        |   | Existing        | \$80.25         | \$80.25              | \$67.50               | \$57.75            | \$39.00                | \$39.00               | \$45.00               | \$58.50                | \$74.50        | \$83.50               | \$110.50             | \$39.00              |                        |                       |                     |
| 41     | Merritt-7<br>Wilton<br>Cannondale                             | <b>Proposed</b> | <b>\$103.75</b> | <b>\$101.25</b>      | <b>\$88.00</b>        | <b>\$78.00</b>     | <b>\$54.25</b>         | <b>\$45.00</b>        | <b>\$34.50</b>        | <b>\$45.50</b>         | <b>\$61.50</b> | <b>\$67.50</b>        | <b>\$92.00</b>       | <b>\$58.25</b>       | <b>\$34.50</b>         |                       |                     |
|        |   | Existing        | \$102.75        | \$100.25             | \$87.25               | \$77.00            | \$53.75                | \$44.50               | \$34.25               | \$45.00                | \$60.75        | \$66.75               | \$91.00              | \$57.75              | \$34.25                |                       |                     |
| 42     | Branchville<br>Redding<br>Bethel<br>Danbury                   | <b>Proposed</b> | <b>\$125.00</b> | <b>\$114.00</b>      | <b>\$103.75</b>       | <b>\$93.75</b>     | <b>\$75.25</b>         | <b>\$63.00</b>        | <b>\$45.50</b>        | <b>\$67.50</b>         | <b>\$79.25</b> | <b>\$84.25</b>        | <b>\$117.25</b>      | <b>\$75.25</b>       | <b>\$34.50</b>         | <b>\$34.50</b>        |                     |
|        |   | Existing        | \$123.75        | \$113.00             | \$102.75              | \$92.75            | \$74.50                | \$62.25               | \$45.00               | \$66.75                | \$78.50        | \$83.50               | \$116.00             | \$74.50              | \$34.25                | \$34.25               |                     |
| 51     | Derby-Shelton<br>Ansonia<br>Seymour<br>Naugatuck<br>Waterbury | <b>Proposed</b> | <b>\$157.00</b> | <b>\$151.00</b>      | <b>\$136.75</b>       | <b>\$127.25</b>    | <b>\$103.75</b>        | <b>\$88.00</b>        | <b>\$79.25</b>        | <b>\$67.50</b>         | <b>\$41.50</b> | <b>\$41.50</b>        | <b>\$79.25</b>       | <b>\$103.75</b>      | <b>\$92.75</b>         | <b>\$117.25</b>       | <b>\$34.50</b>      |
|        |   | Existing        | \$155.50        | \$149.50             | \$135.50              | \$126.00           | \$102.75               | \$87.25               | \$78.50               | \$66.75                | \$41.25        | \$41.25               | \$78.50              | \$102.75             | \$91.75                | \$116.00              | \$34.25             |

**Notes:**

- (1) Reflects fares for tickets sold at ticket offices and ticket vending machines.  
 (2) Fares shown for NY State stations will not change.

**PROCUREMENTS**

**FOR**

**BOARD ACTION**

**November 19, 2014**

| <p><b>Subject</b><br/>Request for Authorization to Award Various Procurements</p> <p><b>Department</b><br/>Procurement &amp; Material Management - MNR</p> <p><b>Department Head Name</b><br/>Al Muir, Acting Sr. Director, Procurement &amp; Material Management</p> <p><b>Department Head Signature</b><br/></p> <p><b>Department</b><br/>Procurement &amp; Logistics - LIRR</p> <p><b>Department Head Name</b><br/>Dennis L. Mahon, Chief Procurement &amp; Logistics Officer</p> <p><b>Department Head Signature</b></p> | <p><b>Date</b> November 3, 2014</p> <p><b>Department</b><br/>Law and Procurement - MTACC</p> <p><b>Department Head Name</b><br/>Evan M. Eisland, Sr. Vice President &amp; General Counsel</p> <p><b>Department Head Signature</b></p> |          |          |          |       |       |   |                    |          |   |  |  |   |           |          |   |  |  |  |       |          |       |          |   |   |  |  |   |  |  |  |   |                  |  |  |
|---|---|----------|----------|----------|-------|-------|---|--------------------|----------|---|--|--|---|-----------|----------|---|--|--|--|-------|----------|-------|----------|---|---|--|--|---|--|--|--|---|------------------|--|--|
| <b>Board Action</b>   | <b>Internal Approvals</b>   |          |          |          |       |       |   |                    |          |   |  |  |   |           |          |   |  |  |  |       |          |       |          |   |   |  |  |   |  |  |  |   |                  |  |  |
| <table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th>Order</th> <th>To</th> <th>Date</th> <th>Approval</th> <th>Info</th> <th>Other</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>MNR/LIRR Committee</td> <td>11-17-14</td> <td style="text-align: center;">X</td> <td></td> <td></td> </tr> <tr> <td>2</td> <td>MTA Board</td> <td>11-19-14</td> <td style="text-align: center;">X</td> <td></td> <td></td> </tr> </tbody> </table>  | Order   | To       | Date     | Approval | Info  | Other | 1 | MNR/LIRR Committee | 11-17-14 | X |  |  | 2 | MTA Board | 11-19-14 | X |  |  | <table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th>Order</th> <th>Approval</th> <th>Order</th> <th>Approval</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">X</td> <td>President, MNR </td> <td></td> <td></td> </tr> <tr> <td style="text-align: center;">X</td> <td>President, LIRR </td> <td></td> <td></td> </tr> <tr> <td style="text-align: center;">X</td> <td>President, MTACC</td> <td></td> <td></td> </tr> </tbody> </table> | Order | Approval | Order | Approval | X | President, MNR  |  |  | X | President, LIRR  |  |  | X | President, MTACC |  |  |
| Order   | To  | Date     | Approval | Info     | Other |       |   |                    |          |   |  |  |   |           |          |   |  |  |  |       |          |       |          |   |   |  |  |   |  |  |  |   |                  |  |  |
| 1   | MNR/LIRR Committee  | 11-17-14 | X        |          |       |       |   |                    |          |   |  |  |   |           |          |   |  |  |  |       |          |       |          |   |   |  |  |   |  |  |  |   |                  |  |  |
| 2   | MTA Board   | 11-19-14 | X        |          |       |       |   |                    |          |   |  |  |   |           |          |   |  |  |  |       |          |       |          |   |   |  |  |   |  |  |  |   |                  |  |  |
| Order   | Approval  | Order    | Approval |          |       |       |   |                    |          |   |  |  |   |           |          |   |  |  |  |       |          |       |          |   |   |  |  |   |  |  |  |   |                  |  |  |
| X   | President, MNR    |          |          |          |       |       |   |                    |          |   |  |  |   |           |          |   |  |  |  |       |          |       |          |   |   |  |  |   |  |  |  |   |                  |  |  |
| X   | President, LIRR   |          |          |          |       |       |   |                    |          |   |  |  |   |           |          |   |  |  |  |       |          |       |          |   |   |  |  |   |  |  |  |   |                  |  |  |
| X   | President, MTACC  |          |          |          |       |       |   |                    |          |   |  |  |   |           |          |   |  |  |  |       |          |       |          |   |   |  |  |   |  |  |  |   |                  |  |  |

**PURPOSE:**

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

**DISCUSSION:**

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

| <u>Schedules Requiring Majority Vote</u>   | <u># of Actions</u> | <u>\$ Amount</u> |
|--|---------------------|------------------|
| Schedule L: Information Items/Budget Adjustments to Estimated Quantity Contracts | 1                   | \$4,350,000      |
| <b>SUBTOTAL:</b>   | 1                   | \$4,350,000      |

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

| <u>Schedules Requiring Two-Thirds Vote</u>                      | <u># of Actions</u> | <u>\$ Amount</u> |
|---|---------------------|------------------|
| Schedule A: Non-Competitive Purchases and Public Work Contracts | 1                   | \$14,800,000     |
| <b>SUBTOTAL:</b>  | 1                   | \$14,800,000     |

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

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

| <u>Schedules Requiring Two-Thirds Vote (or more, where noted)</u> |                                    | <u># of Actions</u> | <u>\$ Amount</u> |
|---|------------------------------------|---------------------|------------------|
| Schedule C:   | Competitive Requests for Proposals | 3                   | \$279,835,384    |
|   |                                    | <hr/>               | <hr/>            |
|   |                                    | 3                   | \$279,835,384    |
| <u>Schedules Requiring Majority Vote</u>                          |                                    |                     |                  |
| Schedule G:   | Miscellaneous Service Contracts    | 2                   | \$22,000,000     |
|   |                                    | <hr/>               | <hr/>            |
|   |                                    | 2                   | \$22,000,000     |

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

| <u>Schedules Requiring Two-Thirds Vote</u> |                            | <u># of Actions</u> | <u>\$ Amount</u> |
|--|----------------------------|---------------------|------------------|
| Schedule F:                                | Personal Service Contracts | 2                   | \$229,952        |
|  |                            | <hr/>               | <hr/>            |
|  |                            | 2                   | \$229,952        |

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

**MNR proposes to award Ratifications in the following categories: NONE**

**LIRR proposes to award Ratifications in the following categories: NONE**

**MTACC proposes to award Ratifications in the following categories: NONE**

**TOTAL: 9 \$321,215,336**

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

**BUDGET IMPACT:**

The purchases/contracts will result in obligating Long Island Rail Road, Metro-North Railroad and MTA Capital Construction operating and capital funds in the amount listed. Funds are available in the current operating/capital budgets for this purpose.

**RECOMMENDATION:**

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

## METROPOLITAN TRANSPORTATION AUTHORITY

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

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

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

NOW, the Board resolves as follows:

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

|                                  |   |
|----------------------------------|---|
| <b>Subject</b>                   | Request for Authorization to Award Various Procurements |
| <b>Department</b>                | Procurement and Material Management                     |
| <b>Department Head Name</b>      | Al Muir, Acting Sr. Director <i>AM</i>                  |
| <b>Department Head Signature</b> | <i>[Signature]</i>                                      |
| <b>Project Manager Name</b>      |   |

|                                |                  |
|--------------------------------|------------------|
| <b>Date</b>                    | November 3, 2014 |
| <b>Vendor Name</b>             | Various          |
| <b>Contract Number</b>         | Various          |
| <b>Contract Manager Name</b>   | Various          |
| <b>Table of Contents Ref #</b> |                  |

| Board Action |                |          |          |      |       |
|--------------|----------------|----------|----------|------|-------|
| Order        | To             | Date     | Approval | Info | Other |
| 1            | MNR Comm. Mtg. | 11-17-14 | X        |      |       |
| 2            | MTA Board Mtg. | 11-19-14 | X        |      |       |
|              |                |          |          |      |       |

| Internal Approvals |  |   |   |
|--------------------|--|---|---|
|                    | Approval                               |   | Approval                                  |
| X                  | President <i>[Signature]</i>           | X | V.P. Planning <i>[Signature]</i>          |
| X                  | Sr. V.P. Operations <i>[Signature]</i> | X | V.P. Capital Programs <i>[Signature]</i>  |
| X                  | V.P. Finance & IT <i>[Signature]</i>   | X | V.P. & General Counsel <i>[Signature]</i> |
| X                  | V.P. Engineering <i>[Signature]</i>    | X | Chief of Staff <i>[Signature]</i>         |

| Internal Approvals (cont.) |          |       |          |       |          |       |          |
|----------------------------|----------|-------|----------|-------|----------|-------|----------|
| Order                      | Approval | Order | Approval | Order | Approval | Order | Approval |
| —                          | —        | —     | —        | —     | —        | —     | —        |

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

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

|  | # of Actions | \$ Amount   |
|--|--------------|-------------|
| <u>Schedules Requiring Two-Thirds Vote (or more, where noted)</u>                | NONE         |             |
| <u>Schedules Requiring Majority Vote</u>   |              |             |
| Schedule L: Information Items/Budget Adjustments to Estimated Quantity Contracts | 1            | \$4,350,000 |
| • New York State Industries for the Disabled (NYSID) \$4,350,000                 |              |             |
| <b>SUB TOTAL:</b>  | 1            | \$4,350,000 |

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

| <u>Schedules Requiring Two-Thirds Vote (or more, where noted)</u>   | <u># of Actions</u> | <u>\$ Amount</u> |
|---|---------------------|------------------|
| Schedule C: Competitive Requests for Proposals<br>(Award of Purchase and Public Work Contracts)   | 3                   | \$279,835,384    |
| <ul style="list-style-type: none"> <li>• Skanska-ECCO III Joint Venture \$245,213,556</li> <li>• Sepsa North America (MNR) \$17,923,300</li> <li>• 4D Security Solutions (LIRR) \$16,698,528</li> </ul> |                     |                  |
| <br><u>Schedules Requiring Majority Vote</u>  |                     |                  |
| Schedule G: Miscellaneous Service Contracts   | 2                   | \$22,000,000     |
| <ul style="list-style-type: none"> <li>• Port Imperial Ferry Corp. d/b/a NY Waterway \$16,000,000</li> <li>• Bus Services \$6,000,000</li> </ul>  |                     |                  |
| SUB TOTAL:  | 5                   | \$301,835,384    |

**MNR presents the following procurement actions for Ratification:**

|   |               |
|---|---------------|
| <u>Schedules Requiring Two-Thirds Vote (or more, where noted)</u> | <u>NONE</u>   |
| <u>Schedules Requiring Majority Vote</u>                          | <u>NONE</u>   |
| SUB TOTAL:  |               |
| TOTAL:  | 6             |
|   | \$306,185,384 |

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.

**NOVEMBER 2014**

**METRO-NORTH RAILROAD**

**LIST OF NON-COMPETITIVE PROCUREMENTS FOR BOARD APPROVAL**

**Schedules Requiring Majority Vote:**

**L. Information Items/Budget Adjustments to Estimated Quantity Contracts**

**1. New York State Industries for the Disabled (NYSID) \$4,350,000 (estimated) Staff Summary Attached  
Additional funding to MTA All-Agency Temporary Personnel Services Agreement**

Approval is requested for additional funding totaling an estimated \$4,350,000 to an in-place, negotiated and Board approved all-Agency agreement with NYSID for as-needed Temporary Personnel Services. In November 2010, the MTA Board approved a five-year (2011 through 2015), Metro-North led, all-agency personal services agreement with NYSID for as-needed and short-term temporary personnel services. Participating Agencies/Departments include: Metro-North Railroad, MTA Business Service Center, New York City Transit, Long Island Rail Road, MTA Bus Company and MTA Audit. The master agreement consolidated separate agreements that were previously held individually by the Agencies.

Since award, MTA Agencies have had to supplement existing staff with short-term temporary personnel at larger numbers than originally anticipated during recent periods of increased production and as such, additional funds are required by the Agencies to cover services through the remaining contract term.

All Board-approved pricing and terms from 2010 are in-place and will remain fixed for the remaining contract term. Personnel are utilized on an as-needed, as-requested task order basis and no services are guaranteed. Individual tasks or requests for short-term temporary personnel and related funding are approved within each agency prior to any personnel request. The alternative of hiring permanent MTA employees to perform short-term work would greatly exceed the cost of this contract. Funding is included in each Agency's Operating Budget.

**Schedule L: Budget Adjustments to Estimated Quantity Contracts**



**Name of Vendor:**

**New York State Industries for the Disabled (NYSID)**

**Original Amount:** \$ 16,800,000

**Contract Number: 62940**

**Prior Modifications:** \$ 0

**Term of Contract: 1/1/11 – 12/31/15**

**Prior Budgetary Increases:** \$ 9,950,000

**Current Amount:** \$ 26,750,000

**This Request:** \$ 4,350,000

**% of This Request to Current Amount:** 16%

**% of Modifications (including This Request) to Original Amount:** 84%

**Discussion:**

Approval is requested for additional funding totaling an estimated \$4,350,000 to an in-place, negotiated and Board approved all-Agency agreement with NYSID for as-needed Temporary Personnel Services. This master agreement was awarded in January 2011 for a five-year period and consolidated separate agreements that were previously held individually by the Agencies. Use of NYSID’s services is in accordance with Section 162 of the New York State Finance Law, which provides that preferred sources shall be granted the right to provide services to New York State Agencies in order to advance social and economic goals. Under the State Finance Law, a contract award to a preferred source provider such as NYSID is exempt from New York State Statutory competitive procurement requirements provided, (i) it is capable of providing the service in the form, function and utility required and (ii) the price offered is as close to the prevailing market prices as is practicable.

In May 2012, the MTA Board approved additional funding in the amount of \$9,950,000 bringing the overall contract value to \$26,750,000. The current values for each participating Agencies/Departments are Metro-North Railroad (\$6,800,000), MTA Business Service Center (\$5,500,000), New York City Transit (\$11,200,000), Long Island Rail Road (\$1,700,000), MTA Bus Company (\$900,000) and MTA Audit (\$450,000). In addition, as the contract was awarded in 2011, the contract included Long Island Bus (\$200,000).

Significant requests for short-term temporary personnel have led to higher than anticipated usage of NYSID’s services. The increased usage reduced allotted funding at a faster pace than originally anticipated and has led to a request for funding replenishment. Since the award, MTA Agencies have had to supplement existing staff with short-term temporary personnel at larger numbers than originally anticipated during recent periods of increased production and as such additional funds are required by the Agencies to cover services through the remaining contract term. The additional requested funding totaling \$4,350,000 is broken down by agency as follows: NYCT \$2,500,000, MNR \$1,200,000 and LIRR \$650,000.

New York City Transit has required additional temporary resources to backfill vacant positions for various departments, to support operations in departments such as ParaTransit to process reimbursement vouchers and provide database support, in Corporate Communications to assist in the call centers and print shop, as well as in the EMD, Law, CPM and Material departments for other administrative functions formerly administered by DCAS.

Metro-North has required additional funds to cover significant increases in temporary personnel in support of the Temperature Measurement and Passenger Count functions, as well as for increases in administrative personnel gaps for critical office functions, which include FMLA Administrator, Revenue Control Specialist, and several Administrative Analysts. The Long Island Rail Road requires additional funds to provide for additional Passenger Counts which will need to be performed in 2014 and 2015, and the continued need for a temporary legal counsel and clerical labor, both of which are due to various extended medical leaves of LIRR employees. The required funds will back fill and cover anticipated usage through the completion of the

contract.

All Board-approved pricing and terms from 2010 are in place and will remain fixed for the remaining contract term. Services are rendered on an as-needed, as-requested task order basis and are not guaranteed. Individual tasks or requests for short-term temporary personnel and related funding are approved within each agency prior to any personnel request. Funding is included in each Agency's Operating Budget.

**NOVEMBER 2014**

**METRO-NORTH RAILROAD**

**LIST OF COMPETITIVE PROCUREMENTS FOR BOARD APPROVAL**

**Schedules Requiring Two-Thirds Vote:**

**C. Competitive Requests for Proposals (Award of Purchase and Public Work Contracts)**

(Staff Summaries required for items requiring Board approval)

**1. Skanska-ECCO III Joint Venture            \$245,213,556 (not-to-exceed)            Staff Summary Attached**  
**Design/Build Harmon Yard Shop Improvements Phase V, Stage 1**

Approval is requested to award a 36-month competitively solicited and negotiated design-build contract (RFP process, 6 proposals received; 2 shortlisted) to Skanska-ECCO III Joint Venture (Skanska-ECCO) for the first stage of the complete replacement of the current Main Shop (Bldg. 6) along with a new EMU Annex Building located in Croton Harmon, New York.

MNR solicited proposals from Design-Build teams to provide for the replacement of a portion of the current Main Shop (Bldg. 6) with a consist-based maintenance facility as the first stage of the new Harmon Electric Multiple Unit (EMU) Shop. MNR also included an option to build an EMU Annex Building in addition to the consist-based maintenance facility.

In accordance with MNR and MTA procurement guidelines, an advertisement for the required services was placed in the New York State Contract Reporter, New York Post, El Diario, Daily Challenge and posted on MNR's website. On February 14, 2014, proposals containing qualifications from six design-build teams were received. Six proposals were received and evaluated based on the criteria established in the RFP. The Selection Committee short-listed two firms and invited them for oral presentations and to submit Best and Final Offers. At the conclusion of the evaluation process, the Selection Committee unanimously selected Skanska-ECCO. Skanska-ECCO not only offered the lowest proposal price but proposed viable design and construction concepts that were deemed to be well engineered, time/labor efficient, and compliant with the intent of the preliminary design. Skanska-ECCO has been determined to be technically competent, capable and compliant with the contract terms and conditions.

Skanska-ECCO's Best and Final Offer of \$245,213,556 is 2% below the amount of the in-house estimate and is deemed to be fair and reasonable. The not-to-exceed cost includes options for the EMU Annex; removal of the round house and fan building foundation; and, the purchase of the construction trailer complex. This thirty-six month project is to be funded by the MNR Capital Budget.

2. **SepSA North America – MNR \$17,923,300 (not-to-exceed)** Staff Summary Attached  
**4D Security Solutions – LIRR \$16,698,528 (not-to-exceed)**

**Design, Manufacture, Assembly and Deliver of an On-Board Video Camera Recording System**

Metro-North Railroad on behalf of itself and Long Island Railroad requests approval to award two 36 month competitively solicited contracts (RFP process, 11 proposals received) to 4D Security Solutions and SepSA North America for the Design and Delivery of Video Recording Systems for Metro-North and Long Island Railroads.

The Railroads have elected to install inward and outward facing video and audio recorders consistent with the Rail Industry's necessity to increase safety and security. In March 2014, MTA Metro-North Railroad (MNR), on behalf of itself and LIRR (the "Railroads") requested and received permission to utilize the Request for Proposal (RFP) process to solicit and evaluate proposals from prospective vendors for the design, manufacture, assembly, and delivery of an On-Board Video Camera Recording System ("System"). In addition to the two cab cameras, the Railroads have elected to incorporate passenger area cameras to improve passenger and crew safety by acting as a deterrent to crime and providing forensic investigative capability.

In May 2014, a Request for Proposal (RFP) was advertised in the New York State Contract Reporter, New York Post, El Diario, and posted on MNR's website. The Selection Committee was comprised of members representing the Railroads Capital, Maintenance and Security Departments. MNR's Procurement and Material Management Department chaired the committee. The four firms shortlisted (4D Security, SepSA North America, Wabtec and Axion) all demonstrated prior experience in the delivery of camera systems on heavy rail equipment. The firms were requested to submit their Best and Final Offers. After careful consideration of the selection criteria, 4D's price of \$16,698,528 was approximately 8% less than the competitions. 4D was deemed the best value for the LIRR M-7 fleet Railroad. 4D's proposed equipment and design is based upon commercial off the shelf components (COTS) with no proprietary software design. SepSA's price of \$17,923,300 was approximately 15% less than the competition. SepSA's proposed equipment and design is fully compliant to the technical specification and is deemed fair and reasonable for the level of work performed and material anticipated for this project.

At this time, Board approval is requested in the not-to-exceed amount of \$34,621,828 (MNR = \$17,923,300, LIRR = \$16,698,528). This project is to be funded by the each Agency's Operating Budget and CDOT. The Railroads shall retain the right to elect options in the amount of \$9,321,735 (included in the total cost) which may be elected as funding becomes available.

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.)

3. **Port Imperial Ferry Corp. d/b/a NY Waterway \$16,000,000 (not-to-exceed)** Staff Summary Attached  
**Ferry & Ancillary Services**

Approval is requested to award a competitively solicited and negotiated (RFP process, one proposal received) miscellaneous service contract to Port Imperial Ferry Corp. d/b/a NY Waterway for trans-Hudson River Commuter Ferry and Ancillary Services. The period of performance for this contract is four years with three (2)-year renewal options. The Haverstraw-Ossining Ferry Service began in September 2000, and the Newburgh-Beacon Ferry Service was launched in October 2005. The ferry

services for both routes provide regularly-scheduled commuter ferry service from a dock facility to the pre-determined Metro-North Railroad (MNR) train station from Monday through Friday during AM and PM peak times, and on holidays recognized in MNR's timetables. These services play an important role in providing needed transportation services for MNR's Orange and Rockland constituents.

In accordance with MNR and MTA procurement guidelines, an advertisement for the required service was placed in the New York State Contract Reporter, Daily Challenge, El Diario, New York Post, Minority Commerce Weekly and posted on MNR's website. In addition, the RFP was issued to 11 firms.

A single proposal was received and evaluated based on established selection criteria contained within the RFP documents which included: understanding of work scope requirements; detailed description of how the services would be performed; commitment of relevant resources to the project including qualifications of key personnel and reliability to perform the services; demonstrated past experience on similar projects; and, overall cost.

The NY Waterway's original proposed cost vs. their BAFO (\$3,425,760 vs. \$3,271,320) yielded savings of \$154,440 or 4.5% overall, and all costs were deemed fair and reasonable. The total award of this contract is not-to-exceed \$16,000,000 for the four year period of performance. Funding is being finalized for this contract and will be provided by MNR and NYSDOT grants using Federal and State funds.

**4. Greater Bridgeport Transit/ Peter Pan Lines/  
Leprechaun Lines/ White Plains Bus Co. \$6,000,000 (not-to-exceed) Staff Summary Attached  
Emergency & Scheduled Bus Services**

Approval is requested to award a competitively solicited three-year miscellaneous service contract (RFP process, four proposals received) to retain four pre-qualified vendors to furnish emergency and scheduled bus services on an as-needed basis: Peter Pan Bus Lines, Leprechaun Lines, White Plains Bus Co. and Greater Bridgeport Transit. Emergency and scheduled bus services are needed to transport railroad passengers and/or crews between stations and various MNR locations. Emergency busing is defined as the need for immediate service due to a sudden disruption in scheduled train service and scheduled busing is a request for service to supplement a planned disruption in scheduled train service as a result of capital improvement projects.

In accordance with MNR and MTA procurement guidelines, an advertisement for the required services was placed in the New York State Contract Reporter, Daily Challenge, New York Post, El Diario, Minority Commerce Weekly and posted on the MNR's website.

Four proposals were received and evaluated based on the requirements established in the RFP which included: available bus fleet, response times, 24/7 dispatching centers, pricing, and overall qualifications and reliability to perform the services. The selection committee determined that all four firms met the required criteria for the work and were selected for pre-qualification. The Procurement Department obtained Best and Final Offer submissions which yielded up to 22% reductions in proposed hourly rates. All prices are fixed for the three-year term, and are deemed fair and reasonable for the services to be provided. The total award of this contract is not-to-exceed \$6,000,000 for the total three-year period. This procurement is to be funded by the State of Connecticut, the MNR Operating and Capital Budgets, and FTA funds.

# Staff Summary

| Item Number C   |                       |          |                        |      |       |
|---|-----------------------|----------|------------------------|------|-------|
| Dept. & Dept. Head Name:<br>Procurement & Material Management, Al Munir - Acting Sr. Director |                       |          |                        |      |       |
| Division & Division Head Name:  |                       |          |                        |      |       |
| Board Reviews   |                       |          |                        |      |       |
| Order   | To                    | Date     | Approval               | Info | Other |
| 1   | MNR Comm. Mtg.        | 11-17-14 | X                      |      |       |
| 2   | MTA Board Mtg.        | 11-19-14 | X                      |      |       |
| Internal Approvals  |                       |          |                        |      |       |
| Order   | Approval              | Order    | Approval               |      |       |
| X   | President             | X        | V.P. & General Counsel |      |       |
|   | Sr. V.P. Operations   |          | V.P. Planning          |      |       |
| X   | V.P. Finance & IT     |          | V.P. Engineering       |      |       |
| X   | V.P. Capital Programs |          |                        |      |       |

| SUMMARY INFORMATION   |                          |
|---|--------------------------|
| Vendor Name<br>Skanska-ECCO III Joint Venture   | Contract Number<br>27044 |
| Description<br>Design/Build Harmon Yard Shop Improvements Phase V, Stage 1  |                          |
| Total Amount<br>\$245,213,556 (not-to-exceed)   |                          |
| Contract Term (including Options, if any)<br>36 months  |                          |
| Option(s) included in Total Amount? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No   |                          |
| Renewal? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  |                          |
| Procurement Type<br><input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive  |                          |
| Solicitation Type<br><input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input type="checkbox"/> Other:   |                          |
| Funding Source<br><input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other: |                          |

**Narrative**

**I. PURPOSE/RECOMMENDATION:**

Approval is requested to award a 36-month contract to Skanska-ECCO III Joint Venture (Skanska-ECCO) to design and construct the first stage of the complete replacement of the current Main Shop (Building 6) along with a new EMU Annex Building both located in Croton Harmon, New York.

**II. DISCUSSION:**

The Harmon Shops & Yards campus has been and remains the center of Metro-North Railroad's equipment maintenance activities. The current Main Shop facility (Building #6) was built in 1909, expanded in 1928, and is still in use over 100 years later. This project is a continuation of MNR's multi-phase Harmon Shop Replacement project.

The major elements of the Design/Build Harmon Yard Shop Improvements Phase V, Stage 1 include:

1. Demolition of the eastern portion of Bldg. #6 and construction of a consist-based maintenance facility in its place between the current footprints of Tracks 132 & 146. Elements of the 141,000 square foot facility include:

- Two 10-car Consist Tracks and supporting area
- Partial second floor and mezzanine

2. Stand-alone EMU Annex Building west of yard tracks 84 and 86 and Building #6. (This item is an elected Option.) The new EMU Annex Building, a two-story 55,600 square foot structure includes space for the following functional work areas and support spaces:

- Wheel and Axle Shop
- Plant Maintenance Workshop
- Carpentry Shop
- Machine Shop
- Sheet Metal Shop
- Mobile Equipment Storage Area
- Support Shop Supervisors' Offices
- Mechanical Department Locker Rooms and Welfare Facilities.

# Staff Summary

A Request for Proposal (RFP), dated December 5, 2013, was prepared and advertised in the New York State Contract Reporter, New York Post, El Dario, Daily Challenge and posted on the Metro-North's website. On February 14, 2014, proposals containing qualifications from six design-build teams were received.

The criteria for selection established in the RFP for the qualification round are as follows:

1. Past experience on similar projects
  - a. Design-Build Projects
  - b. Specific experience in Shops and Yards Construction
  - c. Experience working together as a Design-Build Team
  - d. Performance on Design-Build Projects
2. Confidence level, commitment of relevant resources to the project including the qualifications and experience of key personnel, team qualifications and reliability to perform the services including subcontractor services including Proposer's demonstrated capability and financial resources to perform the work in the time projected
3. Demonstrated understanding of the Work Scope requirements, including but not limited to the quality and completeness of the Work Plan and any required submissions
4. Proposed staging plan and effective use of Railroad support personnel

The Selection Committee was comprised of members representing MNR's Procurement and Material Management, Capital Engineering, Transportation, Maintenance of Equipment and Power Departments. The Committee evaluated all proposals received in accordance with the selection criteria of the RFP and MNR's procedures. Two firms were short-listed as a result of the Selection Committee meeting: Tutor Perini Corporation and Skanska-ECCO III Joint Venture. The two short-listed firms submitted technical proposals, including cost. The Committee invited the two shortlisted firms to prepare an oral presentation and submit a Best and Final Offer. Following oral presentations, both firms were deemed to be technically competent, capable, and compliant with the contract terms and conditions and preliminary design.

The criteria for selection established in the RFP for the technical round are as follows:

1. Cost
2. Confidence Level
  - Qualifications and experience of key personnel
  - Commitment of relevant resources
  - Team qualifications
  - Reliability to perform the services including subcontracts
3. Demonstrated Understanding of the work scope
  - Quality and completeness of work plan
  - Constructability
  - Maintainability
4. Quality & Innovativeness of design
  - Innovativeness
  - Quality of materials
5. Proposed Staging Plan and Schedule
  - Proposed Staging Plan
  - Schedule

Final BAFO prices (inclusive of option items) were submitted. Gross sum proposal prices were received in the following amounts: 1) Tutor-Perini at \$318,280,000; 2) Skanska-ECCO at \$251,800,000. In accordance with the criteria for selection, the Selection Committee unanimously recommended contract award to Skanska-ECCO. Skanska-ECCO not only offered the lowest proposal price but proposed viable design alternatives and construction concepts that were deemed to be well engineered, time/labor efficient, and compliant with the intent of the preliminary design. Skanska-ECCO has extensive experience with building maintenance facilities in rail yards, including the design-build of the Harmon Coach and Locomotive Shops.

# Staff Summary

Further negotiations with Skanska-ECCO resulted in a negotiated price of \$245,213,556, inclusive of options for the EMU Annex; removal of the round house and fan building foundation; and, the purchase of the construction trailer complex. Costs are 2% below our in-house estimate and deemed to be fair and reasonable.

A background check performed by the Procurement & Material Management Department revealed that information disclosed by Skanska is considered Significant Adverse Information (SAI) within the meaning of the All Agency Responsibility Guidelines. An award will not be made until the required approvals are obtained and Skanska has been determined to be a responsible proposer.

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

The MTA Department of Diversity and Civil Rights (DDCR) established 10% MBE and a 10% WBE goals for this project. The contract will not be awarded until DDCR requirements have been satisfied.

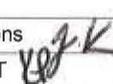
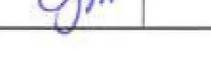
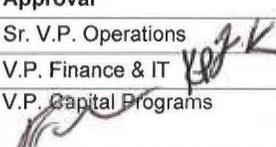
### **IV. IMPACT ON FUNDING:**

Board approval is requested in the not-to-exceed amount of \$245,213,556. Funding originally programmed in the 2010-2014 Capital Program for the rehabilitation of select stations on the Harlem Line will be utilized to advance the EMU Annex as part of the Consist Facility construction. Implementation of the station project had already been pushed back until after the completion of a new interlocking in the Bronx (CP109) which will allow for a more efficient construction. Funding for the station project will be a priority in the 2015-2019 Capital Program.

### **V. ALTERNATIVES:**

MNR does not have the available in-house staff with both the expertise and capability to perform the required design and construction services as specified.

# Staff Summary

|   |  |              |  |             |              |
|---|--|--------------|--|-------------|--------------|
| <b>Item Number</b> C  |  |              |  |             |              |
| <b>Dept &amp; Dept Head Name:</b><br>Procurement & Material Management – Al Muir, Acting Sr. Director |  |              |  |             |              |
| <b>Division &amp; Division Head Name:</b>   |  |              |  |             |              |
| <b>Board Reviews</b>  |  |              |  |             |              |
| <b>Order</b>  | <b>To</b>  | <b>Date</b>  | <b>Approval</b>  | <b>Info</b> | <b>Other</b> |
| 1   | MNR Comm. Mtg.   | 11-17-14     | X  |             |              |
| 2   | MTA Board Mtg.   | 11-19-14     | X  |             |              |
| <b>Internal Approvals</b>   |  |              |  |             |              |
| <b>Order</b>  | <b>Approval</b>  | <b>Order</b> | <b>Approval</b>  |             |              |
| x   | President                 |              | Sr. V.P. Operations  |             |              |
| x   | V.P. Planning            | x            | V.P. Finance & IT      |             |              |
| x   | V.P. & General Counsel  | x            | V.P. Capital Programs  |             |              |

|  |                               |
|--|-------------------------------|
| <b>SUMMARY INFORMATION</b>   |                               |
| <b>Vendor Name</b><br>Sepsa North America.- MNR<br>4D Security Solutions - LIRR  | <b>Contract Number</b><br>TBD |
| <b>Description</b><br>Design, Manufacture, Assembly, and Delivery of an On-Board Video Camera Recording System   |                               |
| <b>Total Amount</b><br>\$34,621,828 (not-to-exceed) (MNR = \$ 17,923,300<br>LIRR = \$16,698,528) (inclusive of options)  |                               |
| <b>Contract Term (including Options, if any)</b><br>36 months  |                               |
| <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><br><input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive  |                               |
| <b>Solicitation Type</b><br><input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input type="checkbox"/> Other:   |                               |
| <b>Funding Source</b><br><input checked="" type="checkbox"/> Operating <input type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other: |                               |

**Narrative**

**I. PURPOSE/RECOMMENDATION:**

Metro-North Railroad (MNR), on behalf of itself and Long Island Rail Road (LIRR), is requesting approval to award two 36-month competitively solicited contracts for the Design and Delivery of Video and Audio Recording Systems to Sepsa North America (for MNR) and 4D Security Solutions (for LIRR). Board approval is requested in the amount of \$34,621,828 (MNR = \$17,923,300 LIRR = \$16,698,528), inclusive of base and option work.

**II. DISCUSSION:**

As a result of recommendations from the National Transportation Safety Board (NTSB), the Chairman/CEO of the Metropolitan Transportation Authority (MTA) directed the MTA’s Commuter Railroads to begin the process for design, delivery and installation of inward and outward facing video and audio recorders in the cabs of their railcar fleets. The outward facing camera shall be used to record track and wayside activities; the inward facing camera shall be used to record the engineer’s control stand area while the equipment is in operation.

In March 2014, MTA Metro-North Railroad (MNR), on behalf of itself and LIRR (the “Railroads”), requested and received permission to utilize the Request for Proposal (RFP) process to solicit and evaluate proposals from prospective vendors for the design, manufacture, assembly, and delivery of an On-Board Video Camera Recording System (“System”). In addition to the two cab cameras, the Railroads have elected to incorporate passenger area cameras, which are intended to improve passenger and crew safety by acting as a deterrent to crime and providing forensic investigative capability.

A Request for Proposal (RFP) dated May 5, 2014 was advertised in the New York State Contract Reporter, New York Post, El Diario, and posted on MNR’s website. As a result, 11 proposals were received.

A Selection Committee was established to evaluate the proposals. The Selection Committee was comprised of members representing the Capital, Maintenance and Security Departments of both Railroads. MNR’s Procurement and Material Management Department chaired the committee. The Committee evaluated all eleven proposals received in accordance

# Staff Summary

with the selection criteria of the RFP and MNR's procedures. The criteria for selection established in the RFP were as follows:

1. **Technical Capability:** Ability to provide technical services, equipment and systems as required in the RFP, including but not limited to quality and completeness of the required engineering, testing, training and documentation. (A system that can be installed with the least labor on the part of railroad forces is desirable and an efficient installation is considered a key design element.)
2. **Cost:** Completeness and competitiveness of cost and price submittal.
3. **Experience:** Recently designed and implemented systems that were both similar to the requirements of this RFP and successfully installed in heavy rail vehicles within the last 5 years. Demonstrated qualifications and availability of key personnel including a commitment that the key resources remain constant throughout the project, including subconsultant/subcontractor services.
4. **Project Plan:** Proposer's demonstrated ability to manage and coordinate the Work in the RFP.

The scope of work as articulated in the RFP includes:

- Detailed engineering/design of all hardware and system configuration requirements.
- Delivery of camera equipment and recording devices.
- Provide written installation instructions on a Fleet by Fleet basis
- Provide the Railroad employee training on system installation servicing and maintenance.
- Provide on-site field support during the Railroad's installation of the equipment.

The following cars/car classes are included in the base contract requirements:

- MNR's M-8 railcars, locomotive fleet (P32, BL-20, BL-14, GP-35) coach fleet
- MNR's and LIRR's M-7 railcar fleets
- LIRR's Locomotive fleet (DE/DM30,MP15,SW1001) and C3 Coaches

A total of 2,064 Railcars and/or Locomotives are to be outfitted under base contract requirements.

The Railroads have also elected to retain the right to exercise the following options:

- MNR's M-3 fleet
- Increased memory capacity (from 7 days to 30 days)
- The addition of a multiple functioning WIFI antenna.
- LIRR's Remote Access Capability

Certain of the above option items may be elected with the base award, dependent on funding.

As a result of the evaluation, the Committee shortlisted four firms: 4D Security, Sepsa North America, Wabtec and Axion. These four firms were then requested to submit their Best and Final Offers.

After considering the Best and Final Offers submitted, and in accordance with the selection criteria, the Committee unanimously recommended awarding 4D Security Solutions for LIRR and Sepsa North America for MNR. This recommendation is based on the overall quality of the technical proposals submitted by both 4D Security Solutions and Sepsa North America in meeting the respective Railroads' needs, and the assessment of their cost proposals.

4D's price of \$16,698,528 was approximately 8% less than the closest competitor's price for LIRR's video recording needs, and accordingly was determined to be the best value for LIRR. 4D's proposed equipment and design is fully compliant to the technical specification and is deemed fair and reasonable for the level of work performed and material anticipated for this project. 4D's proposed equipment and design is based upon commercial off the shelf components with no proprietary software design. This is deemed to be highly advantageous in the long-term maintainability of this equipment and maximizes the efficiencies of installation and possible future maintenance.

With respect to MNR's video recording needs, Sepsa's price of \$ 17,923,300 was approximately 15% less than the closest competitor's cost, and accordingly was determined to be the best value for MNR. Sepsa's proposed equipment and design is fully compliant to the technical specification and is deemed fair and reasonable for the level of work to be performed and

# Staff Summary

material anticipated for this project. The Sepsa design is also based upon interchangeability of components that will preclude future sole sourcing of materials to support the fleet.

The Railroads have conducted a responsibility review and other due diligence with regard to 4D Security Solutions and Sepsa North America and has deemed 4D and Sepsa to be responsible for award.

Post-BAFO, Sepsa and 4D were given the chance to reduce their overall price based upon an award encompassing the M-7 fleets of both Railroads. Neither firm offered an additional discount in response to this request.

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

The MTA Department of Diversity and Civil Rights (DDCR) established a 10% MBE and 10% WBE goal for this project. The contracts will not be awarded until satisfactory utilization plans are provided to MTA Department of Diversity and Civil Rights (DDCR).

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

At this time, Board approval is requested in the not-to-exceed amount of \$34,621,828 (MNR = \$ 17,923,300 LIRR = \$16,698,528), inclusive of base and option work. This project is to be funded by the each Agency's Operating Budget and CDOT. The Railroads shall retain the right to elect options in the amount of \$ 9,321,735 (included in the total cost) which may be elected as funding becomes available and technical determinations are made that warrants inclusion of options.

### **V. ALTERNATIVES:**

The Railroads do not have the available in-house staff with both the expertise and experience to complete the full spectrum of design, engineering, and fabrication of video camera systems as specified.

# Staff Summary

| Item Number G   |  |          |   |      |       |
|---|--|----------|---|------|-------|
| Dept. & Dept. Head Name: <i>Al Muir</i>                         |  |          |   |      |       |
| Procurement & Material Management, Al Muir, Acting Sr. Director |  |          |   |      |       |
| Division & Division Head Name:                                  |  |          |   |      |       |
| Board Reviews   |  |          |   |      |       |
| Order   | To                                     | Date     | Approval                                  | Info | Other |
| 1   | MNR Comm. Mtg.                         | 11-17-14 | X   |      |       |
| 2   | MTA Board Mtg.                         | 11-19-14 | X   |      |       |
| Internal Approvals  |  |          |   |      |       |
| Order   | Approval                               | Order    | Approval                                  |      |       |
| X   | President <i>[Signature]</i>           | X        | V.P. & General Counsel <i>[Signature]</i> |      |       |
|   | Sr. V.P. Operations <i>[Signature]</i> | X        | V.P. Planning <i>[Signature]</i>          |      |       |
| X   | V.P. Finance & IT <i>[Signature]</i>   |          |   |      |       |
|   | V.P. Capital Programs                  |          |   |      |       |

| SUMMARY INFORMATION   |                               |
|---|-------------------------------|
| Vendor Name<br>Port Imperial Ferry Corp. d/b/a NY Waterway  | Contract Number<br>1000044225 |
| Description<br>Ferry Services (including Ancillary Services)  |                               |
| Total Amount<br>\$16,000,000  |                               |
| Contract Term (including Options, if any)<br>Four Year with three (2) -Year Renewal Options   |                               |
| Option(s) included in Total Amount? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No   |                               |
| Renewal? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  |                               |
| Procurement Type<br><input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive  |                               |
| Solicitation Type<br><input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input type="checkbox"/> Other:   |                               |
| Funding Source<br><input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input checked="" type="checkbox"/> Other: |                               |

**Narrative**

**I. PURPOSE/RECOMMENDATION:**

Approval is requested to award a competitively solicited and negotiated (RFP process, one proposal received) miscellaneous service contract to Port Imperial Ferry Corp. d/b/a NY Waterway (NY Waterway) for trans-Hudson River Commuter Ferry and Ancillary Services. The period of performance for this contract is four years with three (2)-year renewal options. The not-to-exceed amount of \$16,000,000 includes the four-year base period.

**II. DISCUSSION:**

The Haverstraw-Ossining Ferry Service began in September 2000. In October 2005, the Newburgh-Beacon Ferry Service was launched. Ferry services have been provided under contract to NY Waterway since their inceptions. The ferry services are funded by NYSDOT and MTA grants using state and federal funds. The Ferry Services for both routes provides regularly-scheduled commuter ferry service Monday through Friday during AM and PM peak times, and on certain holidays designated by MNR. Ancillary services provided include daily maintenance of the parking facilities; trash removal; snow removal; repairs; and, management of substitute bus services when the ferry cannot operate.

A comprehensive RFP was advertised in the New York State Contract Reporter, New York Post, Daily Challenge, El Diario, Minority Commerce Weekly and posted on MNR's website in June 2014. The RFP was issued to 11 firms on July 3, 2014. The RFP established minimum vendor requirements and requested supporting information that provided evidence of their capability to meet the requirements on an ongoing basis.

A Selection Committee, comprised of representatives from MNR's Operations Planning & Analysis, Legal and the Procurement & Material Management departments, evaluated the single proposal received using the established selection criteria set forth in the RFP as follows:

- (1) Demonstrated understanding of the workscope requirements, including but not limited to the quality and completeness of any required submissions;
- (2) Project plan (detailed description of how the services will be performed);
- (3) Confidence level, based on commitment of relevant resources to the project including the qualifications of key personnel and reliability to perform the services including subconsultant/subcontractor services;
- (4) Past experience on similar projects;
- (5) Cost.

# Staff Summary

A single proposal was received on August 1, 2014. The Selection Committee agreed that NY Waterway met all the criteria and negotiations might yield additional cost savings to MNR. After considerable negotiation, NY Waterway proposed a Best and Final Offer, which yielded a 3.5% reduction in their proposed hourly rate for ferry services on both routes, from \$700 to \$675. Parking lot maintenance was also negotiated from \$32 per hour to \$24 per hour, for an estimated 25% in savings for these ancillary services. NY Waterway's original proposed cost vs. their BAFO (\$3,425,760 vs. \$3,271,320) yielded savings of \$154,440 or 4.5% overall, and all costs are considered fair and reasonable.

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

The MTA Department of Diversity and Civil Rights established a 17% DBE goal for this project. NY Waterway has partnered with a certified DBE firm to provide fuel to meet this 17% requirement.

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

The total cost of this agreement is not-to-exceed \$16,000,000, for the four year base period. Funding is being finalized for this contract and will be provided by MNR and NYSDOT grants using Federal and State funds.

### **V. ALTERNATIVES:**

There are no alternatives to these services.

# Staff Summary

| Item Number G   |                               |          |                                  |      |       |
|---|-------------------------------|----------|----------------------------------|------|-------|
| Dept. & Dept. Head Name: <i>AM</i><br>Procurement & Material Management, Al Muir, Acting Sr. Director |                               |          |                                  |      |       |
| Division & Division Head Name:  |                               |          |                                  |      |       |
| Board Reviews   |                               |          |                                  |      |       |
| Order   | To                            | Date     | Approval                         | Info | Other |
| 1   | MNR Comm. Mtg.                | 11-17-14 | X                                |      |       |
| 2   | MTA Board Mtg.                | 11-19-14 | X                                |      |       |
| Internal Approvals  |                               |          |                                  |      |       |
| Order   | Approval                      | Order    | Approval                         |      |       |
| X   | President <i>J. Kelly</i>     | X        | V.P. Planning <i>AM</i>          |      |       |
|   | Sr. V.P. Operations <i>AM</i> | X        | V.P. & General Counsel <i>AM</i> |      |       |
| X   | V.P. Finance & IT <i>VP</i>   |          |                                  |      |       |
|   | V.P. Capital Programs         |          |                                  |      |       |

| SUMMARY INFORMATION  |                           |
|--|---------------------------|
| Vendor Name<br>Various Bus Companies   | Contract Number<br>9319-A |
| Description<br>Emergency & Scheduled Bus Services  |                           |
| Total Amount<br>\$6,000,000 (estimated)  |                           |
| Contract Term (including Options, if any)<br>Three Years   |                           |
| Option(s) included in Total Amount? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  |                           |
| Renewal? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No   |                           |
| Procurement Type<br><input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive   |                           |
| Solicitation Type<br><input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input type="checkbox"/> Other:  |                           |
| Funding Source<br><input checked="" type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input checked="" type="checkbox"/> Other: |                           |

**Narrative**

**I. PURPOSE/RECOMMENDATION:**

Approval is requested to award a three-year, miscellaneous services contract (RFP process, four proposals received) to retain pre-qualified vendors to furnish emergency and scheduled bus services on an as-needed basis for a total estimated not-to-exceed cost of \$6,000,000. Metro-North Railroad requires emergency and scheduled bus service for transporting railroad passengers and/or crews between stations and various MNR locations.

**II. DISCUSSION:**

Metro-North Railroad has evaluated how bus services are provided with the intent of leveraging both public and private resources to achieve better responses within geographic zones, improve communications and contain overall costs. To this end, a Memorandum of Understanding (MOU) was established with both MTA Bus and CT Transit for the provision of programmed bus services. These MOU's will be used in conjunction with a competitive RFP process that will utilize the vendor prequalification approach to support scheduled capital and operations requirements and unscheduled bus services related to mechanical failures and storms. The primary work requested under this solicitation is emergency busing services which by nature are difficult to predict. Emergency busing is defined as the need for immediate service due to a sudden disruption in scheduled train service. Scheduled busing is a request for service to supplement a planned disruption in scheduled train service as a result of capital improvement projects.

A comprehensive RFP was advertised in the New York State Contract Reporter, New York Post, Daily Challenge, El Diario, Minority Commerce Weekly and posted on MNR's website in June 2014. The RFP was issued to 17 firms on July 1, 2014. The RFP established minimum vendor requirements and requested supporting information that provided evidence of their capability to meet the requirements on an ongoing basis.

A Selection Committee, comprised of representatives from MNR's Customer Service, Operations Services and the Procurement departments, evaluated the proposals received using the established selection criteria set forth in the RFP as follows:

- (1) Demonstrated understanding of MNRs' operating territory and commitment to responding to emergency requests, including but not limited to facility locations, available bus fleet and qualified operators and 24/7 dispatching center.
- (2) Confidence level, commitment of relevant resources to MNR's work, including the qualifications of key

# Staff Summary

- personnel and reliability to perform the Services.
- (3) Cost per hour.

Four proposals were received on August 7, 2014. After considerable internal discussion and vendor negotiations, the Selection Committee unanimously agreed to select all four participating firms for contract award: Greater Bridgeport Transit, Peter Pan Bus Lines, Leprechaun Lines, and White Plains Bus Co.

Final Best and Final Offer submissions yielded up to 22% reductions in proposed hourly rates. Leprechaun Lines reduced their hourly rate for emergency bus service from \$253.75 to \$199, and also reduced their hourly rate for scheduled bus service from \$137.50 to \$119; Peter Pan confirmed that their hourly rates for emergency and scheduled services would remain the same as those under the previous contract, at \$160 and \$139 - respectively. Both White Plains Bus Co. and Greater Bridgeport Transit proposed rates that were consistent with the industry for their respective geographical locations. White Plains Bus Co. confirmed an hourly rate of \$125 for emergency services and \$105 for scheduled services. Greater Bridgeport Transit confirmed an hourly rate of \$125 for both emergency and scheduled bus services. The price schedule is fixed for a three-year term, and the costs are deemed fair and reasonable for the services to be provided.

The agreements will provide emergency bus services within five defined zones, back-up services for scheduled work and an hourly rate structure based on a 4 hour minimum service block. MNR will continue to utilize these bus company agreements in conjunction with an MOU agreement already in-place with MTA Bus and CT Transit, to provide a comprehensive plan for emergency and scheduled bus services throughout MNR's territory in the most responsive and cost effective manner.

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

The MTA Department of Diversity and Civil Rights established a 0% DBE goal for this procurement.

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

The total three-year cost is estimated at \$6,000,000. This procurement is to be funded by the State of Connecticut, MNR Operating and Capital Budgets, and FTA funds.

### **V. ALTERNATIVES:**

Independent contracts with individual bus firms would not result in Metro-North Railroad receiving the most favorable rates. The prequalification approach significantly reduces the procurement lead time for bus service demands, and reduces the overall cost and response times to service requests. This approach also allows MNR to foster relationships with bus companies to meet increasing bus service needs.

# Staff Summary



|   |              |             |                 |             |              |                                  |                                 |              |                         |
|---|--------------|-------------|-----------------|-------------|--------------|----------------------------------|---------------------------------|--------------|-------------------------|
| <b>Subject : Request for Authorization to Award Various Procurements</b>              |              |             |                 |             |              | <b>Date</b><br>November 19, 2014 |                                 |              |                         |
| <b>Department</b><br>Procurement & Logistics  |              |             |                 |             |              |                                  |                                 |              |                         |
| <b>Department Head Name</b><br>Dennis L. Mahon, Chief Procurement & Logistics Officer |              |             |                 |             |              |                                  |                                 |              |                         |
| <b>Department Head Signature</b><br><i>C. W. Carter for D. Mahon</i>                  |              |             |                 |             |              |                                  |                                 |              |                         |
| <b>Board Action</b>   |              |             |                 |             |              | <b>Internal Approvals</b>        |                                 |              |                         |
| <b>Order</b>  | <b>To</b>    | <b>Date</b> | <b>Approval</b> | <b>Info</b> | <b>Other</b> | <b>Order</b>                     | <b>Approval</b>                 | <b>Order</b> | <b>Approval</b>         |
| 1   | LI Committee | 11.17.14    | X               |             |              | X                                | President <i>PhN</i>            |              | VP & CFO                |
| 2   | MTA Board    | 11.19.14    | X               |             |              | X                                | Sr. VP-Administration <i>DM</i> |              | VP, Gen. Counsel & Secy |
|   |              |             |                 |             |              |                                  | Sr. VP-Operations               |              |                         |
|   |              |             |                 |             |              |                                  | Executive VP                    |              |                         |

**PURPOSE:**

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

**DISCUSSION:**

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

Schedules Requiring Two-Thirds Vote

|   |              |           |
|---|--------------|-----------|
| Schedule A: Non-Competitive Purchases and Public Work Contracts | # of Actions | \$ Amount |
|   | 1            | \$14.8M   |
| <b>SUBTOTAL:</b>  | 1            | \$14.8M   |

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

Schedules Requiring Majority Vote

|  |              |           |
|--|--------------|-----------|
| Schedule F: Personal Service Contracts | # of Actions | \$ Amount |
|  | 2            | \$0.230M  |
| <b>SUBTOTAL:</b>                       | 2            | \$0.230M  |

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

|                      |                 |                         |
|----------------------|-----------------|-------------------------|
|                      | # of Actions    | \$ Amount               |
|                      | None            |                         |
| <b><u>TOTAL:</u></b> | <b><u>3</u></b> | <b><u>\$15.030M</u></b> |

**BUDGET IMPACT:**

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

**RECOMMENDATION:**

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

## METROPOLITAN TRANSPORTATION AUTHORITY

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

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

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

NOW, the Board resolves as follows:

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

**NOVEMBER 2014**

**MTA LONG ISLAND RAIL ROAD**

**LIST OF NON-COMPETITIVE PROCUREMENTS FOR BOARD APPROVAL**

*Procurements Requiring Two-Thirds Vote*

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

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

|    |                              |  |                               |
|----|------------------------------|--|-------------------------------|
| 1. | <b>Ansaldo STS USA, Inc.</b> | <b>\$ 4,300,000 – LIRR</b>                 | <i>Staff Summary Attached</i> |
|    | <b>Sole Source</b>           | <b>\$ 4,000,000 – MNR</b>                  |                               |
|    | <b>Contract No. TBD</b>      | <b><u>\$ 6,500,000 – NYCT</u></b>          |                               |
|    |                              | <b><u>\$14,800,000 – Not-to-Exceed</u></b> |                               |

Long Island Rail Road (LIRR), on behalf of itself, Metro-North Railroad (MNR), and New York City Transit (NYCT), (“the Agencies”) requests Board approval to issue a Sole Source Omnibus award to Ansaldo STS USA, Inc. (Ansaldo) in an aggregate not-to-exceed amount of \$14.8M (\$4.3M – LIRR; \$4M – MNR; \$6.5M – NYCT, parts only for NYCT) over a 36-month period for engineering services and parts to support the Agencies’ current inventory of equipment designed and manufactured by Ansaldo. Ansaldo is the Original Equipment Manufacturer (OEM) and designer and only responsible source for, various wayside switch and signal systems installed and operated by LIRR, NYCT and MNR (“the Agencies”), as well as Automatic Speed Control System installed on LIRR and MNR rolling stock. The Agencies will procure these items on an “as required” basis, in various quantities during the 36-month term of this contract to allow the Agencies to operate and maintain the safety-critical systems.

## Schedule A: Non-Competitive Purchases and Public Works

### Staff Summary



Item Number: 1

|  |
|--|
| <b>Vendor Name</b><br>Ansaldo STS USA, Inc. - Batesburg, SC  |
| <b>Description</b><br>Various Signal, Switch, Car Borne Parts and Services   |
| <b>Contract Term (including Options, if any)</b><br>3 Years  |
| <b>Option(s) included in Total Amount?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                   |
| <b>Procurement Type</b><br><br><input type="checkbox"/> Competitive <input checked="" type="checkbox"/> Non-Competitive                          |
| <b>Solicitation Type</b><br><br><input type="checkbox"/> RFP <input type="checkbox"/> Bid <input checked="" type="checkbox"/> Other: Sole Source |

|  |   |
|--|---|
| <b>Contact Number</b><br>TBD   | <b>Renewal?</b><br><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No                            |
| <b>Total Amount:</b>   | \$14,800,000 (Not-to-Exceed)<br>MNR = \$4,000,000(NTE);<br>LIRR = \$4,300,000 (NTE);<br>NYCT = \$6,500,000 (NTE). |
| <b>Funding Source</b><br><input checked="" type="checkbox"/> Operating <input type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other:                                  |   |
| <b>Requesting Dept/Div &amp; Dept/Div Head Name:</b><br>Maintenance of Way – John Collins, Chief Engineer<br>Maintenance of Equipment – Dan Cleary, CMO<br>LIRR/East Side Access/Special Projects – Lori Katzman, VP |   |
| <b>Contract Manager:</b><br>Richard Barone/Carl Cipriano   |   |

#### Discussion:

Long Island Rail Road (LIRR), on behalf of itself, Metro-North Railroad (MNR), and New York City Transit (NYCT), (“the Agencies”) requests Board approval to issue a Sole Source Omnibus award to Ansaldo STS USA, Inc. (Ansaldo) in an aggregate not-to-exceed amount of \$14.8M (\$4.3M – LIRR; \$4M – MNR; \$6.5M – NYCT, parts only for NYCT) over a 36-month period for engineering services and parts to support the Agencies’ current inventory of equipment designed and manufactured by Ansaldo.

Ansaldo is the Original Equipment Manufacturer (OEM) and designer and only responsible source for various wayside switch and signal systems operated by the Agencies. With regard to these systems, Ansaldo provides approximately 225 different replacement parts for LIRR, 1,100 for NYCT and 120 for MNR. The Agencies will procure these items on an “as required” basis, in various quantities during the 36-month term of this contract, thereby allowing the Agencies to operate and maintain these safety-critical systems in a safe and reliable manner.

Ansaldo is also the OEM for the Automatic Speed Control (ASC) systems installed on LIRR’s entire fleet of rolling stock and various MNR cars. The ASC system is a safety-critical system that is fully integrated with associated wayside systems. In support of LIRR and MNR rolling stock, Ansaldo provides approximately 75 different replacement parts. In addition to the hardware discussed above, the LIRR and MNR (but not NYCT) require the services, on an as required basis, of Ansaldo engineers and technicians to assist with trouble shooting and non-warranty repairs of Ansaldo parts and systems, including software. This work, if and when required, will be performed on a time and material basis, pursuant to approved labor rates.

Ansaldo possesses the proprietary designs and software, as well as the requisite expertise, necessary to support the LIRR and MNR maintenance and operation of their safety-critical equipment. LIRR advertised this procurement in the New York State Contract Reporter, New York Post and the LIRR web site and no other firm expressed an interest in participating in this procurement. Thus, Ansaldo is the only responsible source from which to obtain these parts and services.

Pursuant to the Omnibus process, a determination of price reasonableness will be made prior to issuing any individual Purchase Orders resulting from this authorization. All orders issued under the previous Omnibus approval were found fair and reasonable by the Procurement departments of LIRR and MNR. Upon review of 45 high-usage items with comparative price history, the Cost/Price Analysis Unit of NYC Transit has found Ansaldo’s price offerings fair and reasonable. The items that were analyzed were NYCT high-usage items with releases over \$15,000 that were made pursuant to the current Ansaldo Omnibus approval. The Agencies are confident that through the use of these joint procurements, Ansaldo is offering each Agency more beneficial prices than if each Agency were to procure the same items individually. There is no obligation for the Agencies to procure any minimum quantity of parts under these contracts.

The parts and services identified above will be funded via the Agencies’ Operating, Capital (Federal) and ESA Budgets.

**NOVEMBER 2014**

**MTA LONG ISLAND RAIL ROAD**

**LIST OF COMPETITIVE PROCUREMENTS FOR BOARD APPROVAL**

*Procurements Requiring Two-Thirds Vote*

**Schedule F: Personal Service Contracts**

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

- 2. HARSCO Rail \$59,578**  
**Competitive Bid Not-To-Exceed**  
**Contract No. 150101GS5SAN**

Long Island Rail Road hereby requests MTA Board approval to award a competitively bid Personal Service Contract to HARSCO Rail (HARSCO), for Derailment Investigation & Prevention Training Seminars, for a period of three years, with two one-year options, in the total not-to-exceed amount of \$59,578. Under the terms of this contract, HARSCO will conduct customized derailment investigation and prevention training relevant to LIRR's operating rules, equipment, and infrastructure for employees who may be involved in the investigation of rail incidents. This training will provide these employees with the knowledge and skills to successfully investigate various types of rail incidents, and to comply with all applicable laws and regulations. This solicitation was advertised on the MTA Website and in the NYS Contract Reporter beginning on July 29, 2014, and in the New York Post on August 7, 2014. MTA Department of Diversity and Civil Rights has established 0%/0% M/WBE Goals for this procurement. Notification of this solicitation was sent out to four M/WBE companies, none of which responded to this invitation. Two vendors submitted Bids under this solicitation; HARSCO (\$59,578) and TUV Rheinland (TUV) (\$275,800). HARSCO's rates were 78.4% lower than TUV's rates. The LIRR has reviewed HARSCO's references and qualifications and deem them acceptable. All appropriate due diligence has been performed revealing no adverse information. Accordingly, HARSCO is deemed the lowest responsive and responsible bidder. This Contract will be funded by the LIRR's Operating Budget.

- 3. Phoenix Environmental Labs, Inc. \$170,374**  
**Competitive IFB Not-To-Exceed**  
**Contract No: 150101GS7-SA-N**

Long Island Rail Road requests MTA Board approval to award a competitively bid Personal Service Contract, in the total amount of \$170,374 to Phoenix Environmental Labs, Inc. (Phoenix) for as-needed laboratory testing services, for a period of three years. Under this contract, Phoenix will provide certified environmental analytical services (on-site sample collection and laboratory analysis) of various media (air, water, soil, industrial wastewater influent/effluent, waste characterization, etc.) from LIRR facilities. In accordance with MTA initiatives, all agencies were invited to join the solicitation and all declined. MTA Department of Diversity and Civil Rights has established 0%/0%

M/WBE Goals for this procurement. The solicitation was initially advertised as a Discretionary Procurement on the MTA website 8/5/2014 and sent to eleven (11) MWBE firms, however there were no respondents. Subsequently, a competitive solicitation was publically advertised in the New York State Contract Reporter on 9/16/2014, on the MTA website and in the New York Post on 9/18/2014. The Invitations to Bid were sent to thirty-seven (37) firms. Six (6) bids were received and opened on October 8, 2014. Pricing ranged from \$170,374 to \$331,939. Phoenix was the low bidder at \$170,374.00, which was \$20,736, or 10.8 % less than the next lowest bidder, Pace Analytical Services (\$191,110). The LIRR has reviewed Phoenix's references and qualifications and deem them acceptable. All appropriate due diligence has been performed revealing no adverse information. Accordingly Phoenix is deemed the lowest responsive and responsible bidder. Funding will be provided through the LIRR's Operating Budget.



# MONTHLY OPERATING REPORT

October 2014

Date Issued:  
Thursday, November 06, 2014

| Performance Summary   |  |                       | 2014 Data         |                |                  | 2013 Data      |                  |              |
|---|--|-----------------------|-------------------|----------------|------------------|----------------|------------------|--------------|
|   |  |                       | Annual Goal       | October        | YTD thru October | October        | YTD thru October |              |
| <b>On Time Performance</b><br><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>88.9%</b>   | <b>91.8%</b>     | <b>93.8%</b>   | <b>95.3%</b>     |              |
|   |  | AM Peak               | 93.0%             | 83.7%          | 88.8%            | 93.2%          | 93.7%            |              |
|   |  | AM Reverse Peak       | 93.0%             | 92.1%          | 93.7%            | 92.2%          | 95.7%            |              |
|   |  | PM Peak               | 93.0%             | 96.7%          | 94.0%            | 93.1%          | 95.5%            |              |
|   |  | <b>Total Peak</b>     | <b>93.0%</b>      | <b>90.3%</b>   | <b>91.6%</b>     | <b>93.0%</b>   | <b>94.7%</b>     |              |
|   |  | Off Peak Weekday      | 93.0%             | 89.4%          | 91.4%            | 93.2%          | 94.8%            |              |
|   |  | Weekend               | 93.0%             | 84.8%          | 93.0%            | 97.0%          | 97.4%            |              |
|   |  | <b>Hudson Line</b>    | <b>Overall</b>    | <b>94.0%</b>   | <b>91.2%</b>     | <b>92.0%</b>   | <b>97.6%</b>     | <b>97.4%</b> |
|   |  |                       | AM Peak           | 94.0%          | 84.8%            | 90.5%          | 98.0%            | 96.9%        |
|   |  |                       | AM Reverse Peak   | 94.0%          | 93.1%            | 93.9%          | 98.9%            | 98.2%        |
|   |  |                       | PM Peak           | 94.0%          | 99.3%            | 94.2%          | 96.1%            | 97.6%        |
|   |  |                       | <b>Total Peak</b> | <b>94.0%</b>   | <b>91.9%</b>     | <b>92.5%</b>   | <b>97.4%</b>     | <b>97.4%</b> |
|   |  |                       | Off Peak Weekday  | 94.0%          | 92.6%            | 91.3%          | 97.1%            | 97.0%        |
|   |  |                       | Weekend           | 94.0%          | 86.5%            | 92.4%          | 99.3%            | 98.0%        |
|   |  | <b>Harlem Line</b>    | <b>Overall</b>    | <b>94.0%</b>   | <b>90.1%</b>     | <b>93.9%</b>   | <b>96.5%</b>     | <b>96.9%</b> |
|   |  |                       | AM Peak           | 94.0%          | 85.1%            | 91.2%          | 97.2%            | 96.0%        |
|   |  |                       | AM Reverse Peak   | 94.0%          | 93.4%            | 96.2%          | 91.8%            | 96.5%        |
|   |  |                       | PM Peak           | 94.0%          | 95.8%            | 95.7%          | 96.7%            | 96.7%        |
|   |  |                       | <b>Total Peak</b> | <b>94.0%</b>   | <b>90.8%</b>     | <b>93.8%</b>   | <b>96.1%</b>     | <b>96.4%</b> |
|   |  |                       | Off Peak Weekday  | 94.0%          | 92.0%            | 93.6%          | 96.0%            | 96.7%        |
|   |  |                       | Weekend           | 94.0%          | 83.5%            | 94.7%          | 99.0%            | 98.1%        |
|   |  | <b>New Haven Line</b> | <b>Overall</b>    | <b>92.0%</b>   | <b>86.7%</b>     | <b>90.1%</b>   | <b>89.2%</b>     | <b>92.8%</b> |
|   |  |                       | AM Peak           | 92.0%          | 82.0%            | 86.0%          | 86.7%            | 89.8%        |
|   |  |                       | AM Reverse Peak   | 92.0%          | 90.5%            | 91.4%          | 88.5%            | 93.5%        |
|   |  |                       | PM Peak           | 92.0%          | 95.7%            | 92.4%          | 88.3%            | 93.1%        |
|   |  |                       | <b>Total Peak</b> | <b>92.0%</b>   | <b>88.8%</b>     | <b>89.3%</b>   | <b>87.6%</b>     | <b>91.7%</b> |
|   |  |                       | Off Peak Weekday  | 92.0%          | 85.8%            | 89.7%          | 88.7%            | 92.1%        |
|   |  | Weekend               | 92.0%             | 84.8%          | 92.1%            | 94.0%          | 96.4%            |              |
| <b>Operating Statistics</b>   | <b>Trains Scheduled</b>  |                       | <b>19,655</b>     | <b>190,004</b> | <b>19,280</b>    | <b>185,651</b> |                  |              |
|   | <b>Avg. Delay per Late Train (min)</b><br><small>excluding trains canceled or terminated</small> |                       | 10.4              | 11.9           | 12.3             | 11.9           |                  |              |
|   | <b>Trains Over 15 min. Late</b><br><small>excluding trains canceled or terminated</small>        |                       | 1,000             | 278            | 2,496            | 236            |                  |              |
|   | <b>Trains Canceled</b>   |                       | 160               | 4              | 346              | 16             |                  |              |
|   | <b>Trains Terminated</b>   |                       | 160               | 20             | 395              | 24             |                  |              |
|   | <b>Percent of Scheduled Trips Completed</b>  |                       | 99.8%             | 99.9%          | 99.6%            | 99.8%          |                  |              |
| <b>Consist Compliance</b>   | <b>System</b>  | <b>Overall</b>        | <b>99.8%</b>      | <b>99.8%</b>   | <b>99.5%</b>     | <b>99.5%</b>   | <b>99.7%</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> |  | AM Peak               | 99.8%             | 99.6%          | 98.9%            | 99.2%          | 99.4%            |              |
|   |  | AM Reverse Peak       | 99.8%             | 99.9%          | 99.9%            | 99.8%          | 99.9%            |              |
|   |  | PM Peak               | 99.8%             | 99.3%          | 98.9%            | 99.4%          | 99.5%            |              |
|   |  | <b>Total Peak</b>     | <b>99.8%</b>      | <b>99.5%</b>   | <b>99.1%</b>     | <b>99.4%</b>   | <b>99.5%</b>     |              |
|   |  | Off Peak Weekday      | 99.8%             | 99.9%          | 99.7%            | 99.6%          | 99.8%            |              |
|   |  | Weekend               | 99.8%             | 99.9%          | 99.8%            | 99.8%          | 99.8%            |              |
|   |  | <b>Hudson Line</b>    | AM Peak           | 99.8%          | 99.9%            | 99.7%          | 99.9%            | 99.9%        |
|   |  |                       | PM Peak           | 99.8%          | 99.9%            | 99.8%          | 99.4%            | 99.8%        |
|   |  | <b>Harlem Line</b>    | AM Peak           | 99.8%          | 99.4%            | 99.3%          | 98.9%            | 99.7%        |
|   |  |                       | PM Peak           | 99.8%          | 99.1%            | 99.3%          | 99.6%            | 99.7%        |
|   |  | <b>New Haven Line</b> | AM Peak           | 99.8%          | 99.6%            | 98.1%          | 98.9%            | 98.8%        |
|   |  |                       | PM Peak           | 99.8%          | 99.1%            | 98.1%          | 99.3%            | 99.3%        |

| <b>Categories of Delay</b>   | <b>2014 Data</b> |         |                     | <b>2013 Data</b> |                     |
|--|------------------|---------|---------------------|------------------|---------------------|
|  | September        | October | YTD thru<br>October | October          | YTD thru<br>October |
| <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>  | 1035             | 4229    | 21979               | 1523             | 10569               |
| <b>Capital Projects</b>  | 21               | 18      | 127                 | 15               | 103                 |
| <b>Maintenance of Equipment</b>  | 183              | 217     | 2569                | 197              | 1633                |
| <b>Operations Services</b>   | 41               | 73      | 1091                | 31               | 277                 |
| <b>Police Incidents</b>  | 143              | 86      | 877                 | 36               | 504                 |
| <b>Other</b>   | 21               | 18      | 127                 | 15               | 232                 |
| <b>Customers</b>   | 127              | 155     | 1675                | 86               | 591                 |
| <b>3rd Party Operations</b><br><i>(Other railroads, marine traffic, etc.)</i>  | 2                | 7       | 238                 | 2                | 7                   |
| <b>Weather and Environmental</b>   | 7                | 578     | 2291                | 161              | 622                 |



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

| Date  | Day | DESCRIPTION OF EVENT   | Number of Late Trains |   |   |            |   |   |         |   |   |          |   |   |         |   |   |       |           |   |
|-------|-----|--|-----------------------|---|---|------------|---|---|---------|---|---|----------|---|---|---------|---|---|-------|-----------|---|
|       |     |  | AM Peak               |   |   | AM Reverse |   |   | PM Peak |   |   | Off Peak |   |   | Weekend |   |   | TOTAL |           |   |
|       |     |  | L                     | C | T | L          | C | T | L       | C | T | L        | C | T | L       | C | T | Late  | Cxld Term |   |
| 10/01 | Wed | Operating restrictions at various locations on all three lines.  | 9                     | 0 | 0 | 5          | 0 | 0 | 0       | 0 | 0 | 20       | 0 | 0 | 0       | 0 | 0 | 34    | 0         | 0 |
| 10/01 | Wed | Delays at various locations due to programmed Track Work on all three lines.                                 | 3                     | 0 | 0 | 0          | 0 | 0 | 2       | 0 | 0 | 11       | 0 | 0 | 0       | 0 | 0 | 16    | 0         | 0 |
| 10/01 | Wed | A passenger reported seeing a person walking in Park Avenue Tunnel, resulting in restricted speed operation. | 8                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 2        | 0 | 0 | 0       | 0 | 0 | 10    | 0         | 0 |
| 10/01 | Wed | TLV reported a wide gauge was found on track 2 between MP 43.3 - MP 43.4, north of Peekskill.                | 5                     | 0 | 0 | 4          | 0 | 0 | 0       | 0 | 0 | 4        | 0 | 0 | 0       | 0 | 0 | 13    | 0         | 0 |
| 10/01 | Wed | Trains were held due to scheduled trains ahead.  | 4                     | 0 | 0 | 0          | 0 | 0 | 1       | 0 | 0 | 8        | 0 | 0 | 0       | 0 | 0 | 13    | 0         | 0 |
| 10/02 | Thu | Operating restrictions at various locations on all three lines.  | 16                    | 0 | 0 | 2          | 0 | 0 | 0       | 0 | 0 | 6        | 0 | 0 | 0       | 0 | 0 | 24    | 0         | 0 |
| 10/02 | Thu | Delays due to train 838 unable to take power, fouling track 35 - H, in Park Avenue Tunnel.                   | 14                    | 0 | 0 | 1          | 0 | 0 | 0       | 0 | 0 | 1        | 0 | 0 | 0       | 0 | 0 | 16    | 0         | 0 |
| 10/02 | Thu | Operating restrictions at various locations on all three lines.  | 16                    | 0 | 0 | 2          | 0 | 0 | 0       | 0 | 0 | 6        | 0 | 0 | 0       | 0 | 0 | 24    | 0         | 0 |
| 10/04 | 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 | 83      | 0 | 0 | 83    | 0         | 0 |
| 10/04 | Sat | Speed restriction enroute account LA-2 in effect.  | 0                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 0        | 0 | 0 | 28      | 0 | 0 | 28    | 0         | 0 |
| 10/04 | Sat | Operating restrictions at various locations on all three lines.  | 0                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 0        | 0 | 0 | 53      | 0 | 0 | 53    | 0         | 0 |

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

| Date  | Day | DESCRIPTION OF EVENT   | Number of Late Trains |   |   |            |   |   |         |   |   |          |   |   |         |   |   |       |      |      |
|-------|-----|--|-----------------------|---|---|------------|---|---|---------|---|---|----------|---|---|---------|---|---|-------|------|------|
|       |     |  | AM Peak               |   |   | AM Reverse |   |   | PM Peak |   |   | Off Peak |   |   | Weekend |   |   | TOTAL |      |      |
|       |     |  | L                     | C | T | L          | C | T | L       | C | T | L        | C | T | L       | C | T | Late  | Cxld | Term |
| 10/05 | Sun | Operating restrictions at various locations on all three lines.              | 0                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 0        | 0 | 0 | 43      | 0 | 0 | 43    | 0    | 0    |
| 10/05 | 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 | 83      | 0 | 0 | 83    | 0    | 0    |
| 10/06 | Mon | Delays at various locations due to programmed Track Work on all three lines. | 8                     | 0 | 0 | 1          | 0 | 0 | 0       | 0 | 0 | 20       | 0 | 0 | 0       | 0 | 0 | 29    | 0    | 0    |
| 10/06 | Mon | Operating restrictions at various locations on all three lines.              | 20                    | 0 | 0 | 1          | 0 | 0 | 0       | 0 | 0 | 4        | 0 | 0 | 0       | 0 | 0 | 25    | 0    | 0    |
| 10/06 | Mon | Speed restriction enroute account LA-1 in effect.                            | 8                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 3        | 0 | 0 | 0       | 0 | 0 | 11    | 0    | 0    |
| 10/06 | Mon | Trains were held due to scheduled trains ahead.                              | 3                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 9        | 0 | 0 | 0       | 0 | 0 | 12    | 0    | 0    |
| 10/07 | Tue | Speed restriction enroute account LA-1 in effect.                            | 18                    | 0 | 0 | 1          | 0 | 0 | 0       | 0 | 0 | 2        | 0 | 0 | 0       | 0 | 0 | 21    | 0    | 0    |
| 10/07 | Tue | Operating restrictions at various locations on all three lines.              | 14                    | 0 | 0 | 1          | 0 | 0 | 0       | 0 | 0 | 18       | 0 | 0 | 0       | 0 | 0 | 33    | 0    | 0    |
| 10/07 | Tue | Delays at various locations due to programmed Track Work on all three lines. | 1                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 26       | 0 | 0 | 0       | 0 | 0 | 27    | 0    | 0    |
| 10/08 | Wed | Delays at various locations due to programmed Track Work on all three lines. | 1                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 18       | 0 | 0 | 0       | 0 | 0 | 19    | 0    | 0    |
| 10/08 | Wed | Operating restrictions at various locations on all three lines.              | 11                    | 0 | 0 | 0          | 0 | 0 | 2       | 0 | 0 | 13       | 0 | 0 | 0       | 0 | 0 | 26    | 0    | 0    |
| 10/08 | Wed | Trains were held due to scheduled trains ahead.                              | 0                     | 0 | 0 | 0          | 0 | 0 | 3       | 0 | 0 | 9        | 0 | 0 | 0       | 0 | 0 | 12    | 0    | 0    |

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

| Date  | Day | DESCRIPTION OF EVENT   | Number of Late Trains |   |   |            |   |   |         |   |   |          |   |   |         |   |   |       |      |      |
|-------|-----|--|-----------------------|---|---|------------|---|---|---------|---|---|----------|---|---|---------|---|---|-------|------|------|
|       |     |  | AM Peak               |   |   | AM Reverse |   |   | PM Peak |   |   | Off Peak |   |   | Weekend |   |   | TOTAL |      |      |
|       |     |  | L                     | C | T | L          | C | T | L       | C | T | L        | C | T | L       | C | T | Late  | Cxld | Term |
| 10/09 | Thu | Delays at various locations due to programmed Track Work on all three lines. | 0                     | 0 | 0 | 0          | 0 | 0 | 2       | 0 | 0 | 15       | 0 | 0 | 0       | 0 | 0 | 17    | 0    | 0    |
| 10/09 | Thu | Operating restrictions at various locations on all three lines.              | 14                    | 0 | 0 | 0          | 0 | 0 | 2       | 0 | 0 | 24       | 0 | 0 | 0       | 0 | 0 | 40    | 0    | 0    |
| 10/10 | Fri | Operating restrictions at various locations on all three lines.              | 4                     | 0 | 0 | 0          | 0 | 0 | 2       | 0 | 0 | 31       | 0 | 0 | 0       | 0 | 0 | 37    | 0    | 0    |
| 10/10 | Fri | Delays at various locations due to programmed Track Work on all three lines. | 0                     | 0 | 0 | 0          | 0 | 0 | 1       | 0 | 0 | 26       | 0 | 0 | 0       | 0 | 0 | 27    | 0    | 0    |
| 10/10 | Fri | Trains were held due to scheduled trains ahead.                              | 0                     | 0 | 0 | 0          | 0 | 0 | 1       | 0 | 0 | 13       | 0 | 0 | 0       | 0 | 0 | 14    | 0    | 0    |
| 10/11 | Sat | Speed restriction enroute account LA-1 in effect.                            | 0                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 0        | 0 | 0 | 46      | 0 | 0 | 46    | 0    | 0    |
| 10/11 | Sat | Operating restrictions at various locations on all three lines.              | 0                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 0        | 0 | 0 | 60      | 0 | 0 | 60    | 0    | 0    |
| 10/11 | 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 | 73      | 0 | 0 | 73    | 0    | 0    |
| 10/12 | Sun | Operating restrictions at various locations on all three lines.              | 0                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 0        | 0 | 0 | 55      | 0 | 0 | 55    | 0    | 0    |
| 10/12 | Sun | Delays at various locations due to programmed Track Work on all three lines. | 0                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 0        | 0 | 0 | 27      | 0 | 0 | 27    | 0    | 0    |
| 10/13 | Mon | Operating restrictions at various locations on all three lines.              | 28                    | 0 | 0 | 5          | 0 | 0 | 0       | 0 | 0 | 5        | 0 | 0 | 0       | 0 | 0 | 38    | 0    | 0    |
| 10/13 | Mon | Delays at various locations due to programmed Track Work on all three lines. | 0                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 33       | 0 | 0 | 0       | 0 | 0 | 33    | 0    | 0    |

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

| Date  | Day | DESCRIPTION OF EVENT  | Number of Late Trains |   |   |            |   |   |         |   |   |          |   |   |         |   |   |       |      |      |
|-------|-----|---|-----------------------|---|---|------------|---|---|---------|---|---|----------|---|---|---------|---|---|-------|------|------|
|       |     |   | AM Peak               |   |   | AM Reverse |   |   | PM Peak |   |   | Off Peak |   |   | Weekend |   |   | TOTAL |      |      |
|       |     |   | L                     | C | T | L          | C | T | L       | C | T | L        | C | T | L       | C | T | Late  | Cxld | Term |
| 10/13 | Mon | The 2401BK Track Circuit is down (1st circuit north of CP124).                              | 22                    | 0 | 0 | 5          | 0 | 0 | 0       | 0 | 0 | 1        | 0 | 0 | 0       | 0 | 0 | 28    | 0    | 0    |
| 10/14 | Tue | Operating restrictions at various locations on all three lines.                             | 16                    | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 14       | 0 | 0 | 0       | 0 | 0 | 30    | 0    | 0    |
| 10/14 | Tue | Delays at various locations due to programmed Track Work on all three lines.                | 4                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 25       | 0 | 0 | 0       | 0 | 0 | 29    | 0    | 0    |
| 10/14 | Tue | Overhead power de-energized on all tracks from Cat. 37 to Cat. 184, causing delays.         | 13                    | 0 | 1 | 7          | 0 | 0 | 0       | 0 | 0 | 0        | 0 | 0 | 0       | 0 | 0 | 20    | 0    | 1    |
| 10/15 | Wed | Train 920 disabled on track 2 at Purdys due to a parking brake fault.                       | 6                     | 0 | 1 | 4          | 0 | 0 | 5       | 0 | 0 | 6        | 0 | 0 | 0       | 0 | 0 | 21    | 0    | 1    |
| 10/15 | Wed | Trains were held due to scheduled trains ahead.   | 0                     | 0 | 0 | 0          | 0 | 0 | 4       | 0 | 0 | 20       | 0 | 0 | 0       | 0 | 0 | 24    | 0    | 0    |
| 10/15 | Wed | Train 842 disabled on track 2 at 125th Street Station, unable to take power.                | 5                     | 0 | 1 | 1          | 0 | 0 | 0       | 0 | 0 | 3        | 0 | 0 | 0       | 0 | 0 | 9     | 0    | 1    |
| 10/15 | Wed | Slippery rail conditions, causing delays.   | 0                     | 0 | 0 | 0          | 0 | 0 | 11      | 0 | 0 | 5        | 0 | 0 | 0       | 0 | 0 | 16    | 0    | 0    |
| 10/15 | Wed | Delays at various locations due to programmed Track Work on all three lines.                | 1                     | 0 | 0 | 0          | 0 | 0 | 21      | 0 | 0 | 61       | 0 | 0 | 0       | 0 | 0 | 83    | 0    | 0    |
| 10/15 | Wed | Operating restrictions at various locations on all three lines.                             | 11                    | 0 | 0 | 3          | 0 | 0 | 2       | 0 | 0 | 22       | 0 | 0 | 0       | 0 | 0 | 38    | 0    | 0    |
| 10/16 | Thu | Trains were held due to scheduled trains ahead.   | 2                     | 0 | 0 | 0          | 0 | 0 | 1       | 0 | 0 | 16       | 0 | 0 | 0       | 0 | 0 | 19    | 0    | 0    |
| 10/16 | Thu | The 3EBK (CP 248) track circuit was dropping intermittently, causing delays and congestion. | 12                    | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 2        | 0 | 0 | 0       | 0 | 0 | 14    | 0    | 0    |

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

| Date  | Day | DESCRIPTION OF EVENT   | Number of Late Trains |   |   |            |   |   |         |   |   |          |   |   |         |   |   |       |      |      |
|-------|-----|--|-----------------------|---|---|------------|---|---|---------|---|---|----------|---|---|---------|---|---|-------|------|------|
|       |     |  | AM Peak               |   |   | AM Reverse |   |   | PM Peak |   |   | Off Peak |   |   | Weekend |   |   | TOTAL |      |      |
|       |     |  | L                     | C | T | L          | C | T | L       | C | T | L        | C | T | L       | C | T | Late  | Cxld | Term |
| 10/16 | Thu | Operating restrictions at various locations on all three lines.  | 24                    | 0 | 0 | 12         | 0 | 0 | 1       | 0 | 0 | 23       | 0 | 0 | 0       | 0 | 0 | 60    | 0    | 0    |
| 10/16 | Thu | Speed restriction enroute account LA-1 in effect.  | 14                    | 0 | 0 | 2          | 0 | 0 | 1       | 0 | 0 | 8        | 0 | 0 | 0       | 0 | 0 | 25    | 0    | 0    |
| 10/16 | Thu | Delays at various locations due to programmed Track Work on all three lines.   | 0                     | 0 | 0 | 0          | 0 | 0 | 1       | 0 | 0 | 18       | 0 | 0 | 0       | 0 | 0 | 19    | 0    | 0    |
| 10/17 | Fri | Delays at various locations due to programmed Track Work on all three lines.   | 0                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 35       | 0 | 0 | 0       | 0 | 0 | 35    | 0    | 0    |
| 10/17 | Fri | Operating restrictions at various locations on all three lines.  | 1                     | 0 | 0 | 1          | 0 | 0 | 0       | 0 | 0 | 11       | 0 | 0 | 0       | 0 | 0 | 13    | 0    | 0    |
| 10/18 | Sat | Operating restrictions at various locations on all three lines.  | 0                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 0        | 0 | 0 | 32      | 0 | 0 | 32    | 0    | 0    |
| 10/18 | Sat | Delays at various locations due to programmed Track Work on all three lines.   | 0                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 0        | 0 | 0 | 33      | 0 | 0 | 33    | 0    | 0    |
| 10/19 | Sun | Operating restrictions at various locations on all three lines.  | 0                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 0        | 0 | 0 | 20      | 0 | 0 | 20    | 0    | 0    |
| 10/19 | Sun | Broken rail on track 1 at Tremont Station,   | 0                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 0        | 0 | 0 | 19      | 0 | 0 | 19    | 0    | 0    |
| 10/20 | Mon | Operating restrictions at various locations on all three lines.  | 18                    | 0 | 0 | 6          | 0 | 0 | 1       | 0 | 0 | 31       | 0 | 0 | 0       | 0 | 0 | 56    | 0    | 0    |
| 10/20 | Mon | Congestion from CP112 - CP1 due to speed restrictions in Tunnel account reported possible track condition on track 2 between 70th and 72nd Street. | 25                    | 0 | 0 | 5          | 0 | 0 | 0       | 0 | 0 | 5        | 0 | 0 | 0       | 0 | 0 | 35    | 0    | 0    |
| 10/21 | Tue | Trains were held due to scheduled trains ahead.  | 0                     | 0 | 0 | 0          | 0 | 0 | 2       | 0 | 0 | 15       | 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 |   |   |            |   |   |         |   |   |          |   |   |         |   |   |       |      |      |
|-------|-----|--|-----------------------|---|---|------------|---|---|---------|---|---|----------|---|---|---------|---|---|-------|------|------|
|       |     |  | 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 |
| 10/21 | Tue | Operating restrictions at various locations on all three lines.              | 15                    | 0 | 0 | 2          | 0 | 0 | 0       | 0 | 0 | 15       | 0 | 0 | 0       | 0 | 0 | 32    | 0    | 0    |
| 10/21 | Tue | Delays at various locations due to programmed Track Work on all three lines. | 0                     | 0 | 0 | 0          | 0 | 0 | 4       | 0 | 0 | 65       | 0 | 0 | 0       | 0 | 0 | 69    | 0    | 0    |
| 10/21 | Tue | Congestion from CP6 to GCT due to a broken stock rail at CP1.                | 0                     | 0 | 0 | 0          | 0 | 0 | 1       | 0 | 0 | 33       | 0 | 0 | 0       | 0 | 0 | 34    | 0    | 0    |
| 10/22 | Wed | Delays at various locations due to programmed Track Work on all three lines. | 0                     | 0 | 0 | 1          | 0 | 0 | 4       | 0 | 0 | 29       | 0 | 0 | 0       | 0 | 0 | 34    | 0    | 0    |
| 10/22 | Wed | Speed restriction enroute account LA-1 in effect.                            | 9                     | 0 | 0 | 4          | 0 | 0 | 0       | 0 | 0 | 2        | 0 | 0 | 0       | 0 | 0 | 15    | 0    | 0    |
| 10/22 | Wed | Congestion account slippery rail conditions and LA-1 in effect.              | 0                     | 0 | 0 | 1          | 0 | 0 | 17      | 0 | 0 | 48       | 0 | 0 | 0       | 0 | 0 | 66    | 0    | 0    |
| 10/22 | Wed | Trains were held due to scheduled trains ahead.                              | 0                     | 0 | 0 | 0          | 0 | 0 | 1       | 0 | 0 | 9        | 0 | 0 | 0       | 0 | 0 | 10    | 0    | 0    |
| 10/22 | Wed | Operating restrictions at various locations on all three lines.              | 28                    | 0 | 0 | 7          | 0 | 0 | 0       | 0 | 0 | 10       | 0 | 0 | 0       | 0 | 0 | 45    | 0    | 0    |
| 10/23 | Thu | Congestion account slippery rail conditions.                                 | 1                     | 0 | 0 | 0          | 0 | 0 | 4       | 0 | 0 | 23       | 0 | 0 | 0       | 0 | 0 | 28    | 0    | 0    |
| 10/23 | Thu | Delays at various locations due to programmed Track Work on all three lines. | 0                     | 0 | 0 | 0          | 0 | 0 | 2       | 0 | 0 | 11       | 0 | 0 | 0       | 0 | 0 | 13    | 0    | 0    |
| 10/23 | Thu | Operating restrictions at various locations on all three lines.              | 31                    | 0 | 0 | 5          | 0 | 0 | 1       | 0 | 0 | 13       | 0 | 0 | 0       | 0 | 0 | 50    | 0    | 0    |
| 10/23 | Thu | Trains were held due to scheduled trains ahead.                              | 1                     | 0 | 0 | 0          | 0 | 0 | 1       | 0 | 0 | 9        | 0 | 0 | 0       | 0 | 0 | 11    | 0    | 0    |

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

| Date  | Day | DESCRIPTION OF EVENT   | Number of Late Trains |   |   |            |   |   |         |   |   |          |   |   |         |   |   |       |      |      |
|-------|-----|--|-----------------------|---|---|------------|---|---|---------|---|---|----------|---|---|---------|---|---|-------|------|------|
|       |     |  | AM Peak               |   |   | AM Reverse |   |   | PM Peak |   |   | Off Peak |   |   | Weekend |   |   | TOTAL |      |      |
|       |     |  | L                     | C | T | L          | C | T | L       | C | T | L        | C | T | L       | C | T | Late  | Cxld | Term |
| 10/23 | Thu | Speed restriction enroute account LA-1 in effect.  | 30                    | 0 | 0 | 7          | 0 | 0 | 0       | 0 | 0 | 5        | 0 | 0 | 0       | 0 | 0 | 42    | 0    | 0    |
| 10/24 | Fri | Congestion due to a track condition on track 2 between 60th and 72nd Street, placing a 30mph speed restriction in effect along with unable to normal the 12 Switch at CP5. | 78                    | 0 | 0 | 8          | 0 | 0 | 0       | 0 | 0 | 8        | 0 | 0 | 0       | 0 | 0 | 94    | 0    | 0    |
| 10/24 | Fri | Delays as a result of the 3EBK3 Track Circuit, east of CP217, being down.  | 0                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 15       | 0 | 0 | 0       | 0 | 0 | 15    | 0    | 0    |
| 10/24 | Fri | Trains were held due to scheduled trains ahead.  | 0                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 10       | 0 | 0 | 0       | 0 | 0 | 10    | 0    | 0    |
| 10/24 | Fri | Speed restriction enroute account LA-1 in effect.  | 79                    | 0 | 0 | 6          | 0 | 0 | 0       | 0 | 0 | 3        | 0 | 0 | 0       | 0 | 0 | 88    | 0    | 0    |
| 10/24 | Fri | Operating restrictions at various locations on all three lines.  | 5                     | 0 | 0 | 1          | 0 | 0 | 0       | 0 | 0 | 10       | 0 | 0 | 0       | 0 | 0 | 16    | 0    | 0    |
| 10/24 | Fri | Delays at various locations due to programmed Track Work on all three lines.   | 0                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 20       | 0 | 0 | 0       | 0 | 0 | 20    | 0    | 0    |
| 10/25 | Sat | Operating restrictions at various locations on all three lines.  | 0                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 0        | 0 | 0 | 46      | 0 | 0 | 46    | 0    | 0    |
| 10/25 | 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 | 46      | 0 | 0 | 46    | 0    | 0    |
| 10/25 | Sat | Track equipment derailed just south of the 2S2 signal at CP1.  | 0                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 0        | 0 | 0 | 79      | 0 | 1 | 79    | 0    | 1    |
| 10/26 | Sun | Operating restrictions at various locations on all three lines.  | 0                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 0        | 0 | 0 | 25      | 0 | 0 | 25    | 0    | 0    |
| 10/26 | 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 | 40      | 0 | 0 | 40    | 0    | 0    |

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

| Date  | Day | DESCRIPTION OF EVENT   | Number of Late Trains |   |   |            |   |   |         |   |   |          |   |   |         |   |   |       |      |      |
|-------|-----|--|-----------------------|---|---|------------|---|---|---------|---|---|----------|---|---|---------|---|---|-------|------|------|
|       |     |  | AM Peak               |   |   | AM Reverse |   |   | PM Peak |   |   | Off Peak |   |   | Weekend |   |   | TOTAL |      |      |
|       |     |  | L                     | C | T | L          | C | T | L       | C | T | L        | C | T | L       | C | T | Late  | Cxld | Term |
| 10/27 | Mon | Operating restrictions at various locations on all three lines.  | 10                    | 0 | 0 | 3          | 0 | 0 | 0       | 0 | 0 | 8        | 0 | 0 | 0       | 0 | 0 | 21    | 0    | 0    |
| 10/28 | Tue | Delays at various locations due to programmed Track Work on all three lines.   | 1                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 20       | 0 | 0 | 0       | 0 | 0 | 21    | 0    | 0    |
| 10/28 | Tue | Trains were held due to scheduled trains ahead.  | 0                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 15       | 0 | 0 | 0       | 0 | 0 | 15    | 0    | 0    |
| 10/28 | Tue | Operating restrictions at various locations on all three lines.  | 15                    | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 8        | 0 | 0 | 0       | 0 | 0 | 23    | 0    | 0    |
| 10/29 | Wed | Delays at various locations due to programmed Track Work on all three lines.   | 1                     | 0 | 0 | 0          | 0 | 0 | 3       | 0 | 0 | 17       | 0 | 0 | 0       | 0 | 0 | 21    | 0    | 0    |
| 10/29 | Wed | A bad clearance joint at CP 3, the 1A and 2A track circuits were intermittently going down on tracks 1 and 2 at CP 3 over the 12 Switch on track 2. Necessary to single track. | 39                    | 0 | 0 | 1          | 0 | 0 | 0       | 0 | 0 | 7        | 0 | 0 | 0       | 0 | 0 | 47    | 0    | 0    |
| 10/29 | Wed | Trains were held due to scheduled trains ahead.  | 1                     | 0 | 0 | 0          | 0 | 0 | 1       | 0 | 0 | 13       | 0 | 0 | 0       | 0 | 0 | 15    | 0    | 0    |
| 10/29 | Wed | Delays due to slippery rail conditions.  | 0                     | 0 | 0 | 0          | 0 | 0 | 5       | 0 | 0 | 13       | 0 | 0 | 0       | 0 | 0 | 18    | 0    | 0    |
| 10/29 | Wed | Operating restrictions at various locations on all three lines.  | 18                    | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 7        | 0 | 0 | 0       | 0 | 0 | 25    | 0    | 0    |
| 10/30 | Thu | Operating restrictions at various locations on all three lines.  | 11                    | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 1        | 0 | 0 | 0       | 0 | 0 | 12    | 0    | 0    |
| 10/30 | Thu | Trains were held due to scheduled trains ahead.  | 8                     | 0 | 0 | 0          | 0 | 0 | 1       | 0 | 0 | 9        | 0 | 0 | 0       | 0 | 0 | 18    | 0    | 0    |
| 10/31 | Fri | Trains were held due to scheduled trains ahead.  | 3                     | 0 | 0 | 1          | 0 | 0 | 2       | 0 | 0 | 12       | 0 | 0 | 0       | 0 | 0 | 18    | 0    | 0    |

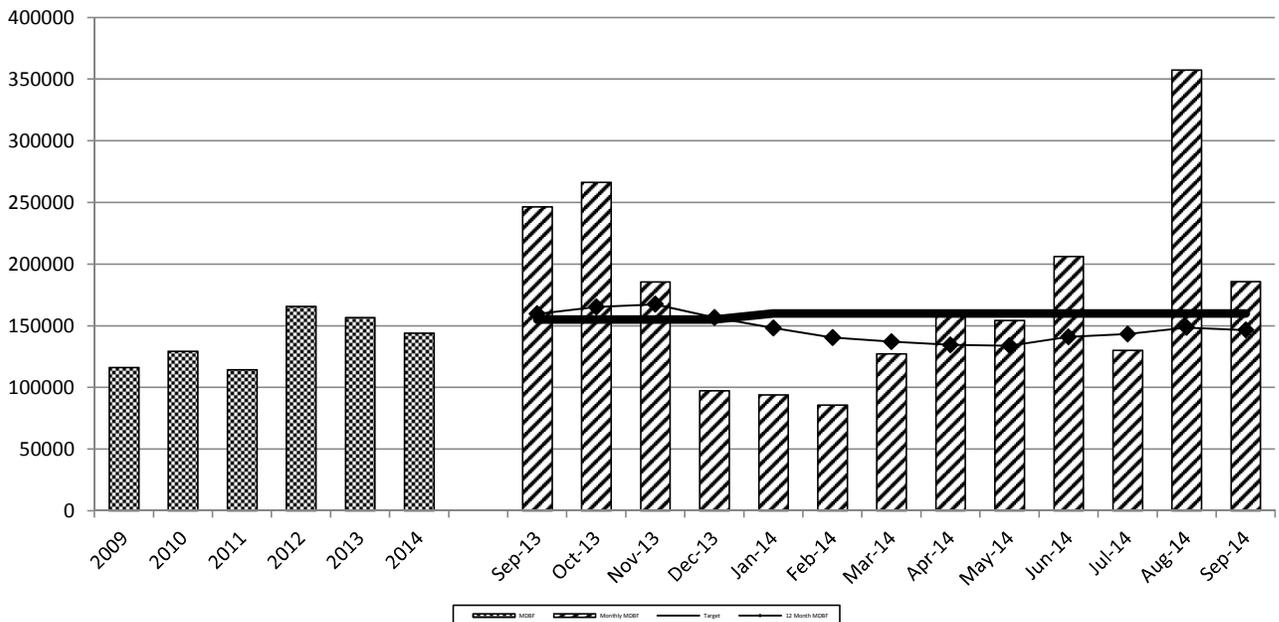
**EVENTS RESULTING IN 10 or MORE LATE (L), CANCELED (C) or TERMINATED (T) TRAINS**

| Date                   | Day | DESCRIPTION OF EVENT   | Number of Late Trains |   |   |            |   |   |         |   |   |          |   |   |         |   |             |       |           |   |
|------------------------|-----|--|-----------------------|---|---|------------|---|---|---------|---|---|----------|---|---|---------|---|-------------|-------|-----------|---|
|                        |     |  | AM Peak               |   |   | AM Reverse |   |   | PM Peak |   |   | Off Peak |   |   | Weekend |   |             | TOTAL |           |   |
|                        |     |  | L                     | C | T | L          | C | T | L       | C | T | L        | C | T | L       | C | T           | Late  | Cxld Term |   |
| 10/31                  | Fri | Operating restrictions at various locations on all three lines.              | 8                     | 0 | 0 | 1          | 0 | 0 | 0       | 0 | 0 | 16       | 0 | 0 | 0       | 0 | 0           | 25    | 0         | 0 |
| 10/31                  | Fri | Delays account slippery rail conditions.                                     | 0                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 16       | 0 | 0 | 0       | 0 | 0           | 16    | 0         | 0 |
| 10/31                  | Fri | Delays at various locations due to programmed Track Work on all three lines. | 0                     | 0 | 0 | 0          | 0 | 0 | 0       | 0 | 0 | 16       | 0 | 0 | 0       | 0 | 0           | 16    | 0         | 0 |
| <b>TOTAL FOR MONTH</b> |     |  | 771                   | 0 | 3 | 117        | 0 | 0 | 113     | 0 | 0 | 1164     | 0 | 0 | 891     | 0 | 1           | 3056  | 0         | 4 |
|                        |     |  |                       |   |   |            |   |   |         |   |   |          |   |   |         |   | <b>3060</b> |       |           |   |

|                                       | 2014 Data      |                  |                   |                  |                      |                             |                           |                                   | 2013 Data        |                             |                           |
|---------------------------------------|----------------|------------------|-------------------|------------------|----------------------|-----------------------------|---------------------------|-----------------------------------|------------------|-----------------------------|---------------------------|
|                                       | Equipment Type | Total Fleet Size | MDBF Goal (miles) | Sep MDBF (miles) | Primary Failure Goal | Sep No. of Primary Failures | YTD MDBF thru Sep (miles) | 12 month MDBF Rolling Avg (miles) | Sep MDBF (miles) | Sep No. of Primary Failures | YTD MDBF thru Sep (miles) |
| <b>Mean Distance Between Failures</b> | M246           | 94               | 60,000            | 108,565          | 7                    | 3                           | 32,436                    | 34,239                            | 176,934          | 4                           | 66,332                    |
|                                       | M8             | 374              | 280,000           | 198,287          | 9                    | 12                          | 220,362                   | 225,510                           | 293,807          | 5                           | 205,809                   |
|                                       | M3             | 140              | 135,000           | 339,029          | 2                    | 1                           | 186,837                   | 211,128                           | 153,738          | 2                           | 205,433                   |
|                                       | M7             | 336              | 460,000           | 1,005,751        | 4                    | 2                           | 392,048                   | 421,075                           | 1,963,613        | 1                           | 644,065                   |
|                                       | Coach          | 213              | 295,000           | 706,954          | 5                    | 2                           | 250,292                   | 271,748                           | 369,471          | 4                           | 316,187                   |
|                                       | P-32           | 31               | 35,000            | 13,336           | 5                    | 14                          | 22,989                    | 24,317                            | 29,718           | 7                           | 30,229                    |
|                                       | BL-20          | 12               | 12,000            | 18,219           | 3                    | 2                           | 17,668                    | 19,123                            | 12,947           | 2                           | 10,827                    |
|                                       | <b>Fleet</b>   | <b>1200</b>      | <b>160,000</b>    | <b>185,909</b>   | <b>35</b>            | <b>36</b>                   | <b>143,961</b>            | <b>146,478</b>                    | <b>246,387</b>   | <b>25</b>                   | <b>157,312</b>            |
|                                       | M2/4/6/8       |                  | 140,000           | 180,343          | 16                   | 15                          | 112,715                   | 108,848                           | 241,855          | 9                           | 109,087                   |
|                                       | M3/7           |                  | 320,000           | 783,510          | 6                    | 3                           | 339,090                   | 368,588                           | 757,030          | 3                           | 494,289                   |
| Diesel/Coach                          |                | 120,000          | 90,947            | 13               | 18                   | 103,523                     | 110,860                   | 131,677                           | 13               | 122,153                     |                           |

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      | October       | YTD thru October | October          | YTD thru October |              |
| <b>On Time Performance</b><br><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>96.7%</b>  | <b>95.5%</b>     | <b>96.8%</b>     | <b>97.0%</b>     |              |
|  |  | AM Peak                 | 97.1%            | 96.9%         | 95.1%            | 97.5%            | 98.0%            |              |
|  |  | PM Peak                 | 96.3%            | 94.6%         | 95.1%            | 96.3%            | 97.0%            |              |
|  |  | <b>Total Peak</b>       |                  | <b>95.8%</b>  | <b>95.1%</b>     | <b>96.9%</b>     | <b>97.5%</b>     |              |
|  |  | Off Peak Weekday        | 97.1%            | 97.9%         | 95.7%            | 96.3%            | 96.6%            |              |
|  |  | Weekend                 | 97.3%            | 95.4%         | 95.5%            | 98.0%            | 97.0%            |              |
|  |  | <b>Pascack Line</b>     | <b>Overall</b>   | <b>97.6%</b>  | <b>97.6%</b>     | <b>96.0%</b>     | <b>97.9%</b>     | <b>97.5%</b> |
|  |  | AM Peak                 | 97.8%            | 97.3%         | 95.9%            | 99.5%            | 98.8%            |              |
|  |  | PM Peak                 | 97.3%            | 96.9%         | 95.6%            | 96.9%            | 97.5%            |              |
|  |  | <b>Total Peak</b>       |                  | <b>97.1%</b>  | <b>95.7%</b>     | <b>98.3%</b>     | <b>98.2%</b>     |              |
|  |  | Off Peak Weekday        | 97.5%            | 97.8%         | 96.0%            | 97.6%            | 97.1%            |              |
|  |  | Weekend                 | 97.8%            | 97.9%         | 96.5%            | 97.9%            | 97.2%            |              |
|  |  | <b>Port Jervis Line</b> | <b>Overall</b>   | <b>96.2%</b>  | <b>95.5%</b>     | <b>94.6%</b>     | <b>95.2%</b>     | <b>96.3%</b> |
|  |  | AM Peak                 | 96.2%            | 96.4%         | 94.2%            | 94.9%            | 96.9%            |              |
|  |  | PM Peak                 | 95.2%            | 92.0%         | 94.6%            | 95.7%            | 96.5%            |              |
|  |  | <b>Total Peak</b>       |                  | <b>94.2%</b>  | <b>94.4%</b>     | <b>95.3%</b>     | <b>96.7%</b>     |              |
|  |  | Off Peak Weekday        | 96.5%            | 98.1%         | 95.2%            | 94.1%            | 95.8%            |              |
|  | Weekend  | 96.5%                   | 91.1%            | 93.6%         | 98.2%            | 96.7%            |                  |              |
| <b>Operating Statistics</b>  | <b>Trains Scheduled</b>  |                         | <b>1,753</b>     | <b>16,794</b> | <b>1,753</b>     | <b>16,194</b>    |                  |              |
|  | <b>Avg. Delay per Late Train (min)</b><br><small>excluding trains canceled or terminated</small> |                         | 19.7             | 19.8          | 23.3             | 22.9             |                  |              |
|  | <b>Trains Over 15 min. Late</b><br><small>excluding trains canceled or terminated</small>        | 80                      | 26               | 312           | 21               | 195              |                  |              |
|  | <b>Trains Canceled</b>   |                         | 1                | 68            | 5                | 34               |                  |              |
|  | <b>Trains Terminated</b>   |                         | 1                | 42            | 3                | 40               |                  |              |
|  | <b>Percent of Scheduled Trips Completed</b>  |                         | 99.8%            | 99.9%         | 99.3%            | 99.5%            | 99.5%            |              |

## OCTOBER 2014 STANDEE REPORT

### East of Hudson

|                                       |             |                  | OCT<br>2013 | YTD<br>2013 | OCT<br>2014 | YTD<br>2014 |
|---------------------------------------|-------------|------------------|-------------|-------------|-------------|-------------|
| <b>Daily Average</b>                  | Hudson Line | Program Standees | 0           | 0           | 0           | 0           |
|                                       |             | Add'l Standees   | 0           | 0           | 0           | 1           |
| <b>Total Standees</b>                 |             |                  | <b>0</b>    | <b>0</b>    | <b>0</b>    | <b>1</b>    |
| <b>AM Peak</b>                        | Harlem Line | Program Standees | 0           | 0           | 0           | 0           |
|                                       |             | Add'l Standees   | 7           | 1           | 3           | 10          |
| <b>Total Standees</b>                 |             |                  | <b>7</b>    | <b>1</b>    | <b>3</b>    | <b>10</b>   |
| New Haven                             | Line        | Program Standees | 0           | 0           | 0           | 0           |
|                                       |             | Add'l Standees   | *           | 19          | 23          | 9           |
| <b>Total Standees</b>                 |             |                  | <b>19</b>   | <b>23</b>   | <b>9</b>    | <b>53</b>   |
| <b>EAST OF HUDSON TOTAL - AM PEAK</b> |             |                  | <b>26</b>   | <b>24</b>   | <b>12</b>   | <b>64</b>   |
| <b>Daily Average</b>                  | Hudson Line | Program Standees | 0           | 0           | 0           | 0           |
|                                       |             | Add'l Standees   | 1           | 1           | 1           | 2           |
| <b>Total Standees</b>                 |             |                  | <b>1</b>    | <b>1</b>    | <b>1</b>    | <b>2</b>    |
| <b>PM Peak</b>                        | Harlem Line | Program Standees | 0           | 0           | 0           | 0           |
|                                       |             | Add'l Standees   | 2           | 4           | 4           | 6           |
| <b>Total Standees</b>                 |             |                  | <b>2</b>    | <b>4</b>    | <b>4</b>    | <b>6</b>    |
| New Haven                             | Line        | Program Standees | 0           | 0           | 0           | 0           |
|                                       |             | Add'l Standees   | *           | 19          | 17          | 18          |
| <b>Total Standees</b>                 |             |                  | <b>19</b>   | <b>17</b>   | <b>18</b>   | <b>41</b>   |
| <b>EAST OF HUDSON TOTAL - PM PEAK</b> |             |                  | <b>22</b>   | <b>22</b>   | <b>23</b>   | <b>49</b>   |

### West of Hudson

|                                       |             |                  | OCT<br>2013 | YTD<br>2013 | OCT<br>2014 | YTD<br>2014 |
|---------------------------------------|-------------|------------------|-------------|-------------|-------------|-------------|
| <b>Daily Average</b>                  | Port Jervis | Program Standees | 0           | 0           | 0           | 0           |
|                                       |             | Add'l Standees   | 0           | 0           | 0           | 0           |
| <b>Total Standees</b>                 |             |                  | <b>0</b>    | <b>0</b>    | <b>0</b>    | <b>0</b>    |
| <b>AM Peak</b>                        | Line        | Program Standees | 0           | 0           | 0           | 0           |
|                                       |             | Add'l Standees   | 0           | 0           | 0           | 0           |
| <b>Total Standees</b>                 |             |                  | <b>0</b>    | <b>0</b>    | <b>0</b>    | <b>0</b>    |
| Pascack                               | Valley Line | Program Standees | 0           | 0           | 0           | 0           |
|                                       |             | Add'l Standees   | 0           | 0           | 0           | 0           |
| <b>Total Standees</b>                 |             |                  | <b>0</b>    | <b>0</b>    | <b>0</b>    | <b>0</b>    |
| <b>WEST OF HUDSON TOTAL - AM PEAK</b> |             |                  | <b>0</b>    | <b>0</b>    | <b>0</b>    | <b>0</b>    |
| <b>Daily Average</b>                  | Port Jervis | Program Standees | 0           | 0           | 0           | 0           |
|                                       |             | Add'l Standees   | 0           | 0           | 0           | 0           |
| <b>Total Standees</b>                 |             |                  | <b>0</b>    | <b>0</b>    | <b>0</b>    | <b>0</b>    |
| <b>PM Peak</b>                        | Line        | Program Standees | 0           | 0           | 0           | 0           |
|                                       |             | Add'l Standees   | 0           | 0           | 0           | 0           |
| <b>Total Standees</b>                 |             |                  | <b>0</b>    | <b>0</b>    | <b>0</b>    | <b>0</b>    |
| Pascack                               | Valley Line | Program Standees | 0           | 0           | 0           | 0           |
|                                       |             | Add'l Standees   | 0           | 0           | 0           | 0           |
| <b>Total Standees</b>                 |             |                  | <b>0</b>    | <b>0</b>    | <b>0</b>    | <b>0</b>    |
| <b>WEST OF HUDSON TOTAL - PM PEAK</b> |             |                  | <b>0</b>    | <b>0</b>    | <b>0</b>    | <b>0</b>    |

### Definitions

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

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

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

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

Annulled or terminated trains are not included in this report.

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

\* - New Haven 2013 averages exclude October 1 - 4, when service was limited due to the Con Ed power failure.

AM Peak standees during the period of limited service averaged 1,709 for the four days, or 297 for the month.

PM Peak standees during the period of limited service averaged 1,523 for the four days, or 265 for the month.



**FINANCIAL STATEMENTS**

**MONTH ENDED: SEPTEMBER 2014**

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

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

September YTD financial results were 4.8% better than plan with a net operating deficit that was \$32.3 million lower than the Mid-Year Forecast. Operating Revenues were \$2.9 million higher than Forecast reflecting better than expected growth in non-commutation ridership. Operating expenses were \$29.3 million or 2.5% lower than projected due to revised pension estimates related to the impact of the wage settlement accrual estimate, as well as lower professional services fees, maintenance and other operating contracts, 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 \$2.5 million. The primary drivers of this increase includes higher than projected costs for rebuilding a switching control house in Cos Cob four months ahead of schedule, as well as an improved track maintenance program, 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 and Overhead Bridge support work) partially offset by higher wage settlement accruals vs. forecast.

**Ridership**

Total ridership was 7.2 million for September and 62.8 million YTD which was 0.8% above the Mid-Year Forecast, reflecting higher non-commutation ridership.

**East of Hudson**

- YTD Ridership of 61.6 million was 0.8% higher than the Mid-Year Forecast and 2013 actuals results.
- September ridership of 7.1 million was 1.1% above the Mid-Year Forecast.
- YTD Commutation ridership was on target to the Mid-Year Forecast and 1.8% higher for the month. September YTD commutation was 0.1% lower than 2013.
- YTD Non-commutation ridership was 1.5% higher than the Mid-Year Forecast and 0.2% higher for the month. Compared to 2013 YTD non-commutation was 2.0% higher.

**West of Hudson**

- YTD Ridership was higher than the Mid-Year Forecast by 1.0%. September ridership was 3.9% higher than the Mid-Year Forecast.

**Revenue and Reimbursements**

Total YTD Revenue and Reimbursements through September was \$663.7 million, or 2.6% lower than the Mid-Year Forecast:

- Fare Box Revenue of \$482.0 million was \$2.9 million higher than the Mid-Year Forecast due to the higher non-commutation ridership noted above.
- Other Operating Revenue of \$39.7 million was on target to the Mid-Year Forecast.
- Capital and Other Reimbursements of \$142.1 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 \$1,298.4 million through September were \$49.7 million (3.7%) lower than the Mid-Year Forecast:

- \$42.3 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 \$9.7 million lower than the Mid-Year Forecast primarily due to a lower pension actuarial estimate than forecasted, lower employee claims, and vacancies.

**Financial Performance Measures**

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

- Adjusted Farebox Operating Ratio of 59.0% through September was 2.7% higher than the Mid-Year Forecast (66.8% excluding retroactive wage settlement accruals).
- Adjusted Cost per Passenger of \$14.75 for the period was \$0.73 lower than the Mid-Year Forecast (\$13.02 excluding retroactive wage settlement accruals).
- Revenue per Passenger of \$7.91 for the period was on target to the Mid-Year Forecast.

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

**REVENUE**

**Total Revenue and reimbursements** were \$17.5 million (2.6%) lower than the Mid-Year Forecast through September:

- **Fare Box Revenue** – year-to-date was higher than the Mid-Year Forecast by \$2.9 million due to higher non-commutation ridership. For the month, Fare Box revenue was flat to the Mid-Year Forecast.
- **Other Operating Revenue** – year-to-date was nearly flat to the Mid-Year Forecast and was lower for the month by \$0.1 million.
- **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 and Overhead Bridge support work), partially offset by timing differences in recording retroactive wage adjustment (RWA) accruals. For the month, reimbursements were flat to the Mid-Year Forecast.

**EXPENSES**

**Total Expenses** – Year-to-date expenses of \$1,298.4 million were \$49.7 million (3.7%) lower than the Mid-Year Forecast. For the month, expenses were \$1.1 million (0.7%) lower than the Mid-Year Forecast.

- **Labor expenses** (including fringes and overhead recoveries) were \$778.5 million YTD. This was \$9.7 million below the Mid-Year Forecast primarily due to a lower than forecasted increase in the Annual Required Contribution (ARC) for Pensions, lower employee claims expenses and vacancies. Higher overtime costs (\$4.6 million) offset these favorable results due to higher reimbursable retroactive wage settlements estimates, accelerated repair and coverage for fire-damaged Cos Cob signal house, comprehensive track program work and holiday and vacation coverage of must-fill positions.
- **Non-Labor Expenses**  
YTD non-labor expenses were \$295.4 million, \$42.3 million lower than Mid-Year Forecast and \$9.4 million lower for the month.
  - **Electric Power** – \$6.0 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 \$0.2 million higher than the Mid-Year Forecast.
  - **Fuel** – year-to-date and month expenditures were \$0.9 million and \$0.1 million above the Mid-Year Forecast, respectively, due to higher pricing primarily on the New Haven Line.
  - **Claims** – \$4.2 million higher year-to-date due to settlement of NJT employee injury claims on West of Hudson service. For the month, expenses were \$0.4 million lower than the Mid-Year Forecast.
  - **Maintenance & Other Operating Contracts** – year-to-date and month expenditures were \$12.9 million and \$4.1 million below the Mid-Year Forecast, respectively, primarily due to timing differences for maintenance contracts and locomotive overhauls as well as reimbursable project activity (West of Hudson Signal Improvement and Overhead Bridge work).
  - **Professional Services** – YTD was \$6.3 million below the Mid-Year Forecast primarily due to timing differences in expenditures for IT services, outside training, legal fees and market share studies. For the month, expenses were unfavorable by \$0.4 million to the Mid-Year Forecast.
  - **Materials & Supplies** – year-to-date and month expenditures were \$22.2 million and \$5.2 million below the Mid-Year Forecast, respectively, primarily due to timing differences in reimbursable project activity (Hurricane Sandy work, Technology relocation, PTC and Track Program projects) and lower rolling stock material usage.
  - **Other Business Expenses** – YTD was \$0.9 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 lower than the Mid-Year Forecast.
  - **Depreciation and Other Non-Cash Liability Adjustments** – \$2.3 million higher than the Mid-Year Forecast primarily due to higher depreciation expense as a result of timing partially offset by fewer projects requiring remediation.

**CASH DEFICIT**

The Cash Deficit through September of \$314.0 million was \$27.3 million favorable to the Mid-Year Forecast due to lower cash disbursements and higher cash collections offset by lower capital reimbursements (timing).

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

SCHEDULE I - A

|   | Nonreimbursable      |                   |                            |              | Reimbursable         |                 |                            |               | Total                |                   |                            |               |
|---|----------------------|-------------------|----------------------------|--------------|----------------------|-----------------|----------------------------|---------------|----------------------|-------------------|----------------------------|---------------|
|   | Mid-Year<br>Forecast | Actual            | Favorable<br>(Unfavorable) |              | Mid-Year<br>Forecast | Actual          | Favorable<br>(Unfavorable) |               | Mid-Year<br>Forecast | Actual            | Favorable<br>(Unfavorable) |               |
|   |                      |                   | Variance                   | Percent      |                      |                 | Variance                   | Percent       |                      |                   | Variance                   | Percent       |
| <b>Revenue</b>  |                      |                   |                            |              |                      |                 |                            |               |                      |                   |                            |               |
| Farebox Revenue                                       | \$54.840             | \$54.887          | \$0.046                    | 0.1          | \$0.000              | \$0.000         | \$0.000                    | -             | \$54.840             | \$54.887          | \$0.046                    | 0.1           |
| Vehicle Toll Revenue                                  | 0.000                | 0.000             | 0.000                      | -            | 0.000                | 0.000           | 0.000                      | -             | 0.000                | 0.000             | 0.000                      | -             |
| Other Operating Revenue                               | 4.404                | 4.295             | (0.109)                    | (2.5)        | 0.000                | 0.000           | 0.000                      | -             | 4.404                | 4.295             | (0.109)                    | (2.5)         |
| <i>Capital &amp; Other Reimbursements:</i>            |                      |                   |                            |              |                      |                 |                            |               |                      |                   |                            |               |
| MTA   | 0.000                | 0.000             | 0.000                      | -            | 11.535               | 9.734           | (1.801)                    | (15.6)        | 11.535               | 9.734             | (1.801)                    | (15.6)        |
| CDOT  | 0.000                | 0.000             | 0.000                      | -            | 6.244                | 8.086           | 1.842                      | 29.5          | 6.244                | 8.086             | 1.842                      | 29.5          |
| Other   | 0.000                | 0.000             | 0.000                      | -            | 2.047                | 1.961           | (0.085)                    | (4.2)         | 2.047                | 1.961             | (0.085)                    | (4.2)         |
| Total Capital and Other Reimbursements                | 0.000                | 0.000             | 0.000                      | -            | 19.825               | 19.781          | (0.045)                    | (0.2)         | 19.825               | 19.781            | (0.045)                    | (0.2)         |
| <b>Total Revenue/Receipts</b>                         | <b>\$59.244</b>      | <b>\$59.181</b>   | <b>(\$0.063)</b>           | <b>(0.1)</b> | <b>\$19.825</b>      | <b>\$19.781</b> | <b>(\$0.045)</b>           | <b>(0.2)</b>  | <b>\$79.070</b>      | <b>\$78.962</b>   | <b>(\$0.108)</b>           | <b>(0.1)</b>  |
| <b>Expenses</b>                                       |                      |                   |                            |              |                      |                 |                            |               |                      |                   |                            |               |
| <i>Labor:</i>   |                      |                   |                            |              |                      |                 |                            |               |                      |                   |                            |               |
| Payroll   | \$37.323             | \$39.945          | (\$2.622)                  | (7.0)        | \$3.523              | \$4.694         | (\$1.170)                  | (33.2)        | \$40.846             | \$44.639          | (\$3.792)                  | (9.3)         |
| Overtime  | 5.990                | 6.885             | (0.895)                    | (14.9)       | 1.496                | 1.643           | (0.147)                    | (9.8)         | 7.486                | 8.528             | (1.042)                    | (13.9)        |
| Health and Welfare                                    | 8.366                | 7.966             | 0.400                      | 4.8          | 1.224                | 1.208           | 0.016                      | 1.3           | 9.590                | 9.174             | 0.416                      | 4.3           |
| OPEB Current Payment                                  | 1.977                | 2.007             | (0.030)                    | (1.5)        | 0.000                | 0.000           | 0.000                      | -             | 1.977                | 2.007             | (0.030)                    | (1.5)         |
| Pensions  | 7.408                | 13.740            | (6.332)                    | (85.5)       | 0.805                | 1.292           | (0.487)                    | (60.5)        | 8.212                | 15.031            | (6.819)                    | (83.0)        |
| Other Fringe Benefits                                 | 8.983                | 6.938             | 2.045                      | 22.8         | 0.918                | 1.308           | (0.391)                    | (42.6)        | 9.901                | 8.247             | 1.654                      | 16.7          |
| Reimbursable Overhead                                 | (3.553)              | (4.641)           | 1.088                      | 30.6         | 3.436                | 4.134           | (0.698)                    | (20.3)        | (0.117)              | (0.507)           | 0.390                      | *             |
| <b>Total Labor</b>                                    | <b>\$66.493</b>      | <b>\$72.840</b>   | <b>(\$6.346)</b>           | <b>(9.5)</b> | <b>\$11.402</b>      | <b>\$14.279</b> | <b>(\$2.877)</b>           | <b>(25.2)</b> | <b>\$77.895</b>      | <b>\$87.118</b>   | <b>(\$9.223)</b>           | <b>(11.8)</b> |
| <i>Non-Labor:</i>                                     |                      |                   |                            |              |                      |                 |                            |               |                      |                   |                            |               |
| Electric Power  | \$7.027              | \$7.179           | (\$0.152)                  | (2.2)        | \$0.000              | \$0.004         | (\$0.004)                  | -             | \$7.027              | \$7.184           | (\$0.156)                  | (2.2)         |
| Fuel  | 2.070                | 2.125             | (0.055)                    | (2.7)        | 0.000                | 0.000           | 0.000                      | -             | 2.070                | 2.125             | (0.055)                    | (2.7)         |
| Insurance   | 1.555                | 1.413             | 0.142                      | 9.1          | 0.344                | 0.360           | (0.015)                    | (4.5)         | 1.899                | 1.772             | 0.127                      | 6.7           |
| Claims  | 0.127                | (0.244)           | 0.371                      | *            | 0.000                | 0.000           | 0.000                      | -             | 0.127                | (0.244)           | 0.371                      | *             |
| Paratransit Service Contracts                         | 0.000                | 0.000             | 0.000                      | -            | 0.000                | 0.000           | 0.000                      | -             | 0.000                | 0.000             | 0.000                      | -             |
| Maintenance and Other Operating Contracts             | 10.799               | 7.377             | 3.421                      | 31.7         | 1.672                | 1.019           | 0.653                      | 39.1          | 12.470               | 8.396             | 4.074                      | 32.7          |
| Professional Service Contracts                        | 2.933                | 1.778             | 1.155                      | 39.4         | 1.429                | 2.980           | (1.551)                    | *             | 4.362                | 4.758             | (0.396)                    | (9.1)         |
| Materials & Supplies                                  | 6.284                | 4.923             | 1.361                      | 21.7         | 4.926                | 1.059           | 3.867                      | 78.5          | 11.210               | 5.981             | 5.228                      | 46.6          |
| Other Business Expenses                               | 2.231                | 1.968             | 0.263                      | 11.8         | 0.053                | 0.081           | (0.028)                    | (53.0)        | 2.284                | 2.049             | 0.235                      | 10.3          |
| <b>Total Non-Labor</b>                                | <b>\$33.026</b>      | <b>\$26.520</b>   | <b>\$6.506</b>             | <b>19.7</b>  | <b>\$8.423</b>       | <b>\$5.502</b>  | <b>\$2.922</b>             | <b>34.7</b>   | <b>\$41.449</b>      | <b>\$32.022</b>   | <b>\$9.428</b>             | <b>22.7</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>\$99.519</b>      | <b>\$99.360</b>   | <b>\$0.160</b>             | <b>0.2</b>   | <b>\$19.825</b>      | <b>\$19.781</b> | <b>\$0.045</b>             | <b>0.2</b>    | <b>\$119.345</b>     | <b>\$119.140</b>  | <b>\$0.205</b>             | <b>0.2</b>    |
| Depreciation  | 18.936               | 18.872            | 0.064                      | 0.3          | 0.000                | 0.000           | 0.000                      | -             | 18.936               | 18.872            | 0.064                      | 0.3           |
| 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                             | 0.787                | 0.000             | 0.787                      | 100.0        | 0.000                | 0.000           | 0.000                      | -             | 0.787                | 0.000             | 0.787                      | 100.0         |
| <b>Total Expenses</b>                                 | <b>\$124.668</b>     | <b>\$123.657</b>  | <b>\$1.011</b>             | <b>0.8</b>   | <b>\$19.825</b>      | <b>\$19.781</b> | <b>\$0.045</b>             | <b>0.2</b>    | <b>\$144.493</b>     | <b>\$143.437</b>  | <b>\$1.056</b>             | <b>0.7</b>    |
| <b>Net Surplus/(Deficit)</b>                          | <b>(\$65.423)</b>    | <b>(\$64.475)</b> | <b>\$0.948</b>             | <b>1.4</b>   | <b>\$0.000</b>       | <b>\$0.000</b>  | <b>(\$0.000)</b>           | <b>-</b>      | <b>(\$65.423)</b>    | <b>(\$64.475)</b> | <b>\$0.948</b>             | <b>1.4</b>    |
| <i>Cash Conversion Adjustments:</i>                   |                      |                   |                            |              |                      |                 |                            |               |                      |                   |                            |               |
| Depreciation  | 18.936               | 18.872            | (0.064)                    | (0.3)        | 0.000                | 0.000           | 0.000                      | -             | 18.936               | 18.872            | (0.064)                    | (0.3)         |
| Operating/Capital                                     | (5.354)              | (1.664)           | 3.690                      | 68.9         | 0.000                | 0.000           | 0.000                      | -             | (5.354)              | (1.664)           | 3.690                      | 68.9          |
| Other Cash Adjustments                                | 11.760               | 28.025            | 16.266                     | *            | 0.000                | 0.000           | 0.000                      | -             | 11.760               | 28.025            | 16.266                     | *             |
| <b>Total Cash Conversion Adjustments</b>              | <b>\$25.342</b>      | <b>\$45.233</b>   | <b>\$19.892</b>            | <b>78.5</b>  | <b>\$0.000</b>       | <b>\$0.000</b>  | <b>\$0.000</b>             | <b>-</b>      | <b>\$25.342</b>      | <b>\$45.233</b>   | <b>\$19.892</b>            | <b>78.5</b>   |
| <b>Net Cash Surplus/(Deficit)</b>                     | <b>(\$40.081)</b>    | <b>(\$19.242)</b> | <b>\$20.839</b>            | <b>52.0</b>  | <b>\$0.000</b>       | <b>\$0.000</b>  | <b>(\$0.000)</b>           | <b>-</b>      | <b>(\$40.081)</b>    | <b>(\$19.242)</b> | <b>\$20.839</b>            | <b>52.0</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**  
**September Year-To-Date**  
(\$ in millions)

SCHEDULE I - B

|   | Nonreimbursable      |                            |                  |              | Reimbursable         |                            |                   |               | Total                |                            |                   |              |
|---|----------------------|----------------------------|------------------|--------------|----------------------|----------------------------|-------------------|---------------|----------------------|----------------------------|-------------------|--------------|
|   | Mid-Year<br>Forecast | Favorable<br>(Unfavorable) |                  |              | Mid-Year<br>Forecast | Favorable<br>(Unfavorable) |                   |               | Mid-Year<br>Forecast | Favorable<br>(Unfavorable) |                   |              |
|   |                      | Actual                     | Variance         | Percent      |                      | Actual                     | Variance          | Percent       |                      | Actual                     | Variance          | Percent      |
| <b>Revenue</b>  |                      |                            |                  |              |                      |                            |                   |               |                      |                            |                   |              |
| Farebox Revenue                                       | \$479.094            | \$481.977                  | \$2.883          | 0.6          | \$0.000              | \$0.000                    | \$0.000           | -             | \$479.094            | \$481.977                  | \$2.883           | 0.6          |
| Vehicle Toll Revenue                                  | 0.000                | 0.000                      | 0.000            | -            | 0.000                | 0.000                      | 0.000             | -             | 0.000                | 0.000                      | 0.000             | -            |
| Other Operating Revenue                               | 39.628               | 39.691                     | 0.063            | 0.2          | 0.000                | 0.000                      | 0.000             | -             | 39.628               | 39.691                     | 0.063             | 0.2          |
| <i>Capital &amp; Other Reimbursements:</i>            |                      |                            |                  |              |                      |                            |                   |               |                      |                            |                   |              |
| MTA   | 0.000                | 0.000                      | 0.000            | -            | 94.178               | 70.630                     | (23.549)          | (25.0)        | 94.178               | 70.630                     | (23.549)          | (25.0)       |
| CDOT  | 0.000                | 0.000                      | 0.000            | -            | 53.481               | 59.044                     | 5.563             | 10.4          | 53.481               | 59.044                     | 5.563             | 10.4         |
| Other   | 0.000                | 0.000                      | 0.000            | -            | 14.835               | 12.397                     | (2.439)           | (16.4)        | 14.835               | 12.397                     | (2.439)           | (16.4)       |
| Total Capital and Other Reimbursements                | 0.000                | 0.000                      | 0.000            | -            | 162.495              | 142.071                    | (20.424)          | (12.6)        | 162.495              | 142.071                    | (20.424)          | (12.6)       |
| <b>Total Revenue/Receipts</b>                         | <b>\$518.722</b>     | <b>\$521.668</b>           | <b>\$2.946</b>   | <b>0.6</b>   | <b>\$162.495</b>     | <b>\$142.071</b>           | <b>(\$20.424)</b> | <b>(12.6)</b> | <b>\$681.217</b>     | <b>\$663.739</b>           | <b>(\$17.478)</b> | <b>(2.6)</b> |
| <b>Expenses</b>                                       |                      |                            |                  |              |                      |                            |                   |               |                      |                            |                   |              |
| <i>Labor:</i>   |                      |                            |                  |              |                      |                            |                   |               |                      |                            |                   |              |
| Payroll   | \$396.786            | \$396.876                  | (\$0.089)        | (0.0)        | \$34.576             | \$33.480                   | \$1.096           | 3.2           | \$431.362            | \$430.356                  | \$1.006           | 0.2          |
| Overtime  | 73.604               | 76.121                     | (2.517)          | (3.4)        | 14.303               | 16.339                     | (2.036)           | (14.2)        | 87.907               | 92.460                     | (4.553)           | (5.2)        |
| Health and Welfare                                    | 73.989               | 73.194                     | 0.796            | 1.1          | 9.906                | 9.008                      | 0.898             | 9.1           | 83.895               | 82.201                     | 1.693             | 2.0          |
| OPEB Current Payment                                  | 17.734               | 17.949                     | (0.215)          | (1.2)        | 0.000                | 0.000                      | 0.000             | -             | 17.734               | 17.949                     | (0.215)           | (1.2)        |
| Pensions  | 70.859               | 63.313                     | 7.546            | 10.6         | 6.872                | 6.151                      | 0.721             | 10.5          | 77.730               | 69.463                     | 8.267             | 10.6         |
| Other Fringe Benefits                                 | 82.962               | 79.771                     | 3.190            | 3.8          | 7.608                | 7.891                      | (0.283)           | (3.7)         | 90.570               | 87.663                     | 2.907             | 3.2          |
| Reimbursable Overhead                                 | (33.032)             | (37.422)                   | 4.390            | 13.3         | 32.036               | 35.836                     | (3.800)           | (11.9)        | (0.995)              | (1.586)                    | 0.591             | 59.4         |
| <b>Total Labor</b>                                    | <b>\$682.902</b>     | <b>\$669.801</b>           | <b>\$13.101</b>  | <b>1.9</b>   | <b>\$105.301</b>     | <b>\$108.705</b>           | <b>(\$3.404)</b>  | <b>(3.2)</b>  | <b>\$788.203</b>     | <b>\$778.506</b>           | <b>\$9.697</b>    | <b>1.2</b>   |
| <i>Non-Labor:</i>                                     |                      |                            |                  |              |                      |                            |                   |               |                      |                            |                   |              |
| Electric Power  | \$68.588             | \$62.532                   | \$6.056          | 8.8          | \$0.000              | \$0.049                    | (\$0.049)         | -             | \$68.588             | \$62.580                   | \$6.008           | 8.8          |
| Fuel  | 20.681               | 21.552                     | (0.871)          | (4.2)        | 0.000                | 0.000                      | 0.000             | -             | 20.681               | 21.552                     | (0.871)           | (4.2)        |
| Insurance   | 13.444               | 12.679                     | 0.766            | 5.7          | 2.597                | 2.465                      | 0.132             | 5.1           | 16.041               | 15.143                     | 0.898             | 5.6          |
| Claims  | 1.627                | 5.785                      | (4.158)          | *            | 0.000                | 0.000                      | 0.000             | -             | 1.627                | 5.785                      | (4.158)           | *            |
| 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             | 79.036               | 72.869                     | 6.167            | 7.8          | 12.983               | 6.262                      | 6.721             | 51.8          | 92.019               | 79.131                     | 12.888            | 14.0         |
| Professional Service Contracts                        | 22.331               | 15.552                     | 6.779            | 30.4         | 11.296               | 11.809                     | (0.513)           | (4.5)         | 33.627               | 27.361                     | 6.266             | 18.6         |
| Materials & Supplies                                  | 55.894               | 51.904                     | 3.989            | 7.1          | 28.298               | 10.057                     | 18.241            | 64.5          | 84.191               | 61.961                     | 22.230            | 26.4         |
| Other Business Expenses                               | 18.889               | 19.124                     | (0.236)          | (1.2)        | 2.021                | 2.725                      | (0.704)           | (34.8)        | 20.910               | 21.850                     | (0.940)           | (4.5)        |
| <b>Total Non-Labor</b>                                | <b>\$280.490</b>     | <b>\$261.997</b>           | <b>\$18.493</b>  | <b>6.6</b>   | <b>\$57.194</b>      | <b>\$33.366</b>            | <b>\$23.828</b>   | <b>41.7</b>   | <b>\$337.684</b>     | <b>\$295.363</b>           | <b>\$42.321</b>   | <b>12.5</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>\$963.392</b>     | <b>\$931.798</b>           | <b>\$31.594</b>  | <b>3.3</b>   | <b>\$162.495</b>     | <b>\$142.071</b>           | <b>\$20.424</b>   | <b>12.6</b>   | <b>\$1,125.887</b>   | <b>\$1,073.869</b>         | <b>\$52.018</b>   | <b>4.6</b>   |
| Depreciation  | 170.212              | 174.105                    | (3.893)          | (2.3)        | 0.000                | 0.000                      | 0.000             | -             | 170.212              | 174.105                    | (3.893)           | (2.3)        |
| OPEB Obligation                                       | 48.824               | 48.824                     | 0.000            | 0.0          | 0.000                | 0.000                      | 0.000             | -             | 48.824               | 48.824                     | 0.000             | 0.0          |
| Environmental Remediation                             | 3.214                | 1.594                      | 1.620            | 50.4         | 0.000                | 0.000                      | 0.000             | -             | 3.214                | 1.594                      | 1.620             | 50.4         |
| <b>Total Expenses</b>                                 | <b>\$1,185.642</b>   | <b>\$1,156.321</b>         | <b>\$29.321</b>  | <b>2.5</b>   | <b>\$162.495</b>     | <b>\$142.071</b>           | <b>\$20.424</b>   | <b>12.6</b>   | <b>\$1,348.137</b>   | <b>\$1,298.392</b>         | <b>\$49.745</b>   | <b>3.7</b>   |
| <b>Net Surplus/(Deficit)</b>                          | <b>(\$666.920)</b>   | <b>(\$634.653)</b>         | <b>\$32.267</b>  | <b>4.8</b>   | <b>\$0.000</b>       | <b>\$0.000</b>             | <b>(\$0.000)</b>  | <b>-</b>      | <b>(\$666.920)</b>   | <b>(\$634.653)</b>         | <b>\$32.267</b>   | <b>4.8</b>   |
| <i>Cash Conversion Adjustments:</i>                   |                      |                            |                  |              |                      |                            |                   |               |                      |                            |                   |              |
| Depreciation  | 170.212              | 174.105                    | 3.893            | 2.3          | 0.000                | 0.000                      | 0.000             | -             | 170.212              | 174.105                    | 3.893             | 2.3          |
| Operating/Capital                                     | (24.899)             | (14.754)                   | 10.145           | 40.7         | 0.000                | 0.000                      | 0.000             | -             | (24.899)             | (14.754)                   | 10.145            | 40.7         |
| Other Cash Adjustments                                | 180.249              | 161.275                    | (18.975)         | (10.5)       | 0.000                | 0.000                      | 0.000             | -             | 180.249              | 161.275                    | (18.975)          | (10.5)       |
| <b>Total Cash Conversion Adjustments</b>              | <b>\$325.562</b>     | <b>\$320.626</b>           | <b>(\$4.936)</b> | <b>(1.5)</b> | <b>\$0.000</b>       | <b>\$0.000</b>             | <b>\$0.000</b>    | <b>-</b>      | <b>\$325.562</b>     | <b>\$320.626</b>           | <b>(\$4.936)</b>  | <b>(1.5)</b> |
| <b>Net Cash Surplus/(Deficit)</b>                     | <b>(\$341.358)</b>   | <b>(\$314.027)</b>         | <b>\$27.331</b>  | <b>8.0</b>   | <b>\$0.000</b>       | <b>\$0.000</b>             | <b>(\$0.000)</b>  | <b>-</b>      | <b>(\$341.358)</b>   | <b>(\$314.027)</b>         | <b>\$27.331</b>   | <b>8.0</b>   |

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-- Differences are due to rounding.  
\* Variance exceeds 100%.

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

| Generic Revenue<br>or Expense Category | Non Reimb.<br>or Reimb. | Current Month vs. Mid-Year Forecast |         |  |                         | Year to Date vs. Mid-Year Forecast |   |  |  |
|--|-------------------------|-------------------------------------|---------|--|-------------------------|------------------------------------|---|--|--|
|  |                         | Variance<br>Fav (Unfav)             |         | Reason for Variance  | Variance<br>Fav (Unfav) |                                    | Reason for Variance   |  |  |
|  |                         | \$                                  | %       |  | \$                      | %                                  |   |  |  |
| OTHER OPERATING REVENUE                | Non-Reimb               | (\$0.109)                           | (2.5%)  | Primarily due to lower net GCT retail revenue.   | \$0.063                 | 0.2%                               |   |  |  |
| CAPITAL AND OTHER REIMBURSEMENTS       | Reimb                   | (\$0.045)                           | (2.6%)  |  | (\$20.424)              | (12.6%)                            | Lower reimbursements reflect scheduling changes in capital project expenditures.  |  |  |
| PAYROLL                                | Non-Reimb               | (\$2.622)                           | (7.0%)  | Unfavorable variance reflects retroactive wage adjustment (RWA) accruals for Non-Agreement employees.  | (\$0.089)               | (0.0%)                             |   |  |  |
|  | Reimb                   | (\$1.170)                           | (33.2%) | Unfavorable variance reflects the recording of reimbursable payroll retroactive wage adjustment (RWA) accruals. In addition, higher than forecasted activity on the Cyclical Track Program partially offset by lower activity on the C-30 Track Program.                 | \$1.096                 | 3.2%                               |   |  |  |
| OVERTIME                               | Non-Reimb               | (\$0.895)                           | (14.9%) | Primarily due to higher requirements for improved track maintenance program, station enhancements, the implementation of safety enhancements and unscheduled emergency responses (Cos Cob Fire and Yonkers mudslide) and vacancy and sick time coverage.                 | (\$2.517)               | (3.4%)                             | Primarily due to higher requirements for improved track maintenance program, station enhancements, the implementation of safety enhancements and emergency responses (Cos Cob Fire, Yonkers mudslide and Danbury Branch grade crossing issues) and vacancy and sick time coverage.          |  |  |
|  | Reimb                   | (\$0.147)                           | (9.8%)  | Reflects higher project activity on the 2013 Cyclical Track Program and Mainline High Speed Turnouts.  | (\$2.036)               | (14.2%)                            | Unfavorable variance reflects a higher overtime RWA accrual estimate for reimbursable projects than projected compounded by higher activity for several projects including the Turnouts Mainline/High Speed project as well as the Danbury Branch Signals and the C30 track projects in CT. |  |  |
| HEALTH AND WELFARE                     | Non-Reimb               | \$0.400                             | 4.8%    | Primarily lower than projected premiums.   | \$0.796                 | 1.1%                               |   |  |  |
|  | Reimb                   | \$0.016                             | 1.3%    |  | \$0.898                 | 9.1%                               | Reflects lower project activity.  |  |  |
| PENSIONS                               | Non-Reimb               | (\$6.332)                           | (85.5%) | The non-reimbursable and reimbursable variances reflect an increase in the Annual Required Contribution (ARC) as a result of the wage settlement. A portion of the adjustment was recorded in September, with the remaining amount to be recorded in the fourth quarter. | \$7.546                 | 10.6%                              | The non-reimbursable and reimbursable variances reflects a lower than forecasted increase in the Annual Required Contribution (ARC) as a result of the wage settlement.   |  |  |
|  | Reimb                   | (\$0.487)                           | (60.5%) |  | \$0.721                 | 10.5%                              |   |  |  |

**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**  
**SEPTEMBER 2014**  
(\$ in millions)

| Generic Revenue<br>or Expense Category       | Non Reimb.<br>or Reimb. | Current Month vs. Mid-Year Forecast |         |   |                         | Year to Date vs. Mid-Year Forecast |   |  |  |
|--|-------------------------|-------------------------------------|---------|---|-------------------------|------------------------------------|---|--|--|
|  |                         | Variance<br>Fav (Unfav)             |         | Reason for Variance   | Variance<br>Fav (Unfav) |                                    | Reason for Variance   |  |  |
|  |                         | \$                                  | %       |   | \$                      | %                                  |   |  |  |
| OTHER FRINGE BENEFITS                        | Non-Reimb               | \$2.045                             | 22.8%   | Primarily reflects a reclassification of claims-related medical payments against the 2013 accrued liabilities for the Bridgeport and Spuyten Duyvil incidents.  | \$3.190                 | 3.8%                               | Reflects rate differentials and project adjustments.  |  |  |
|  | Reimb                   | (\$0.391)                           | (42.6%) | Reflects rate differentials and project adjustments.  | (\$0.283)               | (3.7%)                             |   |  |  |
| REIMBURSABLE OVERHEAD                        | Non-Reimb               | \$1.088                             | 30.6%   | The non-reimbursable and reimbursable variances reflect higher activity due to the reimbursable retroactive wage adjustment (RWA) and higher activity on Positive Train Control and Cyclical Track Program. Partially offset by lower activity on Hurricane Sandy Infrastructure and the MNR Technology Move. | \$4.390                 | 13.3%                              | The non-reimbursable and reimbursable variances reflect higher activity due to the timing of reimbursable retroactive wage adjustment (RWA) partially offset by lower activity on the following projects: Hurricane Sandy Infrastructure, Cyclical Track Program and Overhead Bridge Program. |  |  |
|  | Reimb                   | (\$0.698)                           | (20.3%) |   | (\$3.800)               | (11.9%)                            |   |  |  |
| ELECTRIC POWER                               | Non-Reimb               | (\$0.152)                           | (2.2%)  |   | \$6.056                 | 8.8%                               | Reflects lower rates across all lines.  |  |  |
| FUEL   | Non-Reim                | (\$0.055)                           | (2.7%)  |   | (\$0.871)               | (4.2%)                             | Primarily due to higher rates.  |  |  |
| INSURANCE                                    | Non-Reimb               | \$0.142                             | 9.1%    | Lower liability insurance expense for the month.  | \$0.766                 | 5.7%                               | Lower liability insurance expense for the month.  |  |  |
|  | Reimb                   | (\$0.015)                           | (4.5%)  | Reflects higher project activity.   | \$0.132                 | 5.1%                               | Reflects lower project activity.  |  |  |
| CLAIMS                                       | Non-Reimb               | \$0.371                             | *       | Primarily reflects a reclassification of claims expense against the accrued liability for the Spuyten Duyvil and Bridgeport incidents.  | (\$4.158)               | *                                  | Primarily reflects an accrual for a \$5.4M claim settlement for NJT employees injured on MNR service partially offset by a reclassification of claims expense against the accrued liability for the Spuyten Duyvil and Bridgeport incidents.  |  |  |
| MAINTENANCE AND OTHER<br>OPERATING CONTRACTS | Non-Reimb               | \$3.421                             | 31.7%   | Favorable variance primarily reflects timing of expenses for the Genesis locomotive overhaul and facility maintenance contracts.  | \$6.167                 | 7.8%                               | Favorable variance primarily reflects timing of expenses for the Genesis locomotive overhaul, facility maintenance contracts, and GCT utilities.  |  |  |
|  | Reimb                   | \$0.653                             | 39.1%   | Reflects delays on the WoH Signal Improvements, C-30 Track program and the GCT Leaks Remediation.   | \$6.721                 | 51.8%                              | Reflects delays on the WoH Signal Improvements, Overhead Bridge Program - EOFH, GCT Leaks Remediation project and the C-30 Track Program.   |  |  |

**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**  
**SEPTEMBER 2014**  
(\$ in millions)

| Generic Revenue<br>or Expense Category | Non Reimb.<br>or Reimb. | Current Month vs. Mid-Year Forecast |         |  |                         | Year to Date vs. Mid-Year Forecast |  |  |  |
|--|-------------------------|-------------------------------------|---------|--|-------------------------|------------------------------------|--|--|--|
|  |                         | Variance<br>Fav (Unfav)             |         | Reason for Variance  | Variance<br>Fav (Unfav) |                                    | Reason for Variance  |  |  |
|  |                         | \$                                  | %       |  | \$                      | %                                  |  |  |  |
| PROFESSIONAL SERVICE<br>CONTRACTS      | Non-Reimb               | \$1.155                             | 39.4%   | Reflects timing of expenses for IT costs, outside training and legal fees.   | \$6.779                 | 30.4%                              | Favorable variance primarily reflects timing of expenses for IT costs, outside training, medical services, market share studies, and legal fees.   |  |  |
|  | Reimb                   | (\$1.551)                           | *       | Reflects higher than forecasted expenses for the following projects: Positive Train Control, GCT Leaks Remediation, LIRR Share of Metrocard ticket and the New Haven Independent Wheel True Shop. Partially offset by lower than anticipated activity on the MNR Technology Move and the Overhead Bridge Program.  | (\$0.513)               | (4.5%)                             | Reflects higher than forecasted expenses for the following projects: NHL Signal System CP229 Greenwich to NH and Positive Train Control. Partially offset by lower than anticipated activity on the Overhead Bridge Program and the MNR Technology Move.   |  |  |
| MATERIAL AND SUPPLIES                  | Non-Reimb               | \$1.361                             | 21.7%   | Primarily reflects lower rolling stock mechanical material usage and inventory accounting adjustments.   | \$3.989                 | 7.1%                               | Primarily reflects lower rolling stock mechanical material usage and inventory accounting adjustments.   |  |  |
|  | Reimb                   | \$3.867                             | 78.5%   | Reflects timing differences for the following projects: Hurricane Sandy Power Project, MNR Technology Move, 2013 Cyclical Track Program, Bronx Stations/Capacity imp., MainLine High Speed Turnouts, Devon Bridge Repairs, NHL - Rail Yard - Component Change Out Shop and Positive Train Control.   | \$18.241                | 64.5%                              | Reflects timing differences for the following projects: Hurricane Sandy Power C&S Infrastructure Restoration project, MNR Technology Move, Cyclical Track Program, Positive Train Control, Bronx Stations/Capacity Imp., Devon Bridge Repair, NHL - Stamford Station Real-Time Info System and the NH Rail Yard - Component Change out Shop.   |  |  |
| OTHER BUSINESS EXPENSES                | Non-Reimb               | \$0.263                             | 11.8%   | Primarily due to lower NJT Subsidy payments and miscellaneous expenses.  | (\$0.236)               | (1.2%)                             |  |  |  |
|  | Reimb                   | (\$0.028)                           | (53.0%) | Primarily reflects higher than forecasted purchases for the PBX Equipment Upgrades.  | (\$0.704)               | (34.8%)                            | Reflects higher-than-forecasted purchases for 525 North Broadway, White Plains Projects and MNR Technology move.   |  |  |
| ENVIRONMENTAL REMEDIATION              | Non-Reimb               | \$0.787                             | 100.0%  | Primarily due to fewer projects requiring remediation.   | \$1.620                 | 50.4%                              | Primarily due to fewer projects requiring remediation.   |  |  |
| OPERATING CAPITAL                      | Non-Reim                | \$3.690                             | 68.9%   | Reflects lower activity during the period on the Upgrade of Locomotive Simulators, Demolition of Carey's Hole Space in GCT, Vehicle Replacement Provision, Purchase 4 Prefab Bldgs for Croton Harmon, Power Reliability Bucket Truck for NHL Catenary Maintenance, and Line Segment Ridership Forecasting Models projects, partially offset by higher than anticipated activity on the Roof Replacement of the North Wing at 525 N Broadway project. | \$10.145                | 40.7%                              | Reflects lower activity during the period on the Upgrade of Locomotive Simulators, Ticket Issuing Machines (TIMs), Vehicle Replacement Provision, IT Infrastructure System Resiliency, Hot Box And Wheel Impact Detectors, Expand Real-Time Train Status Information - NYS, and Purchase 4 Prefab Bldgs for Croton-Harmon projects, partially offset by higher activity on the Roof Replacement of North Wing at 525 N Broadway project. |  |  |

\* Variance exceeds 100%.

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

|   | September      |                |                |                |                     | September Year-to-Date |                  |                 |                  |                 |                     |                  |
|---|----------------|----------------|----------------|----------------|---------------------|------------------------|------------------|-----------------|------------------|-----------------|---------------------|------------------|
|   | Forecast       |                | Actuals        |                | Var. - Fav./(Unfav) |                        | Forecast         |                 | Actuals          |                 | Var. - Fav./(Unfav) |                  |
|   | Hours          | \$             | Hours          | \$             | Hours               | \$                     | Hours            | \$              | Hours            | \$              | Hours               | \$               |
| <b>NON-REIMBURSABLE OVERTIME</b>                    |                |                |                |                |                     |                        |                  |                 |                  |                 |                     |                  |
| <u>Scheduled Service</u> <sup>1</sup>               | 54,698         | \$2.1          | 46,787         | \$2.6          | 7,911               | (\$0.5)                | 417,332          | \$21.5          | 399,916          | \$22.1          | 17,416              | (\$0.7)          |
|   |                |                |                |                | 14.5%               | -24.1%                 |                  |                 |                  |                 | 4.2%                | -3.1%            |
| <u>Unscheduled Service</u>                          | 0              | \$0.0          | 0              | \$0.0          | 0                   | \$0.0                  | 0                | \$0.0           | 0                | \$0.0           | 0                   | \$0.0            |
|   |                |                |                |                | -                   | -                      |                  |                 |                  |                 | -                   | -                |
| <u>Programmatic/Routine Maintenance</u>             | 46,026         | \$2.2          | 58,670         | \$2.8          | (12,644)            | (\$0.6)                | 396,969          | \$18.6          | 422,555          | \$19.5          | (25,585)            | (\$0.9)          |
|   |                |                |                |                | -27.5%              | -29.1%                 |                  |                 |                  |                 | -6.4%               | -4.8%            |
| <u>Unscheduled Maintenance</u>                      | 1,222          | \$0.1          | 2,788          | \$0.1          | (1,566)             | (\$0.1)                | 6,022            | \$0.3           | 19,165           | \$1.3           | (13,143)            | (\$1.0)          |
|   |                |                |                |                | *                   | *                      |                  |                 |                  |                 | *                   | *                |
| <u>Vacancy/Absentee Coverage</u> <sup>2</sup>       | 14,158         | \$0.8          | 24,150         | \$1.1          | (9,992)             | (\$0.3)                | 173,490          | \$9.3           | 230,593          | \$10.5          | (57,102)            | (\$1.2)          |
|   |                |                |                |                | -70.6%              | -31.7%                 |                  |                 |                  |                 | -32.9%              | -12.6%           |
| <u>Weather Emergencies</u>                          | 223            | \$0.0          | 422            | \$0.0          | (199)               | (\$0.0)                | 83,554           | \$3.9           | 84,702           | \$3.9           | (1,148)             | \$0.0            |
|   |                |                |                |                | -89.3%              | -54.7%                 |                  |                 |                  |                 | -1.4%               | 0.3%             |
| <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>                           | 2,532          | \$0.8          | 236            | \$0.2          | 2,296               | \$0.6                  | 16,224           | \$20.0          | 15,483           | \$18.8          | 741                 | \$1.2            |
|   |                |                |                |                | 90.7%               | 76.4%                  |                  |                 |                  |                 | 4.6%                | 6.0%             |
| Subtotal  | 118,859        | \$5.990        | 133,053        | \$6.885        | (14,194)            | (\$0.895)              | 1,093,591        | \$73.604        | 1,172,414        | \$76.120        | (78,823)            | (\$2.516)        |
|   |                |                |                |                | -11.9%              | -14.9%                 |                  |                 |                  |                 | -7.2%               | -3.4%            |
| <b>REIMBURSABLE OVERTIME</b>                        | 27,792         | \$1.496        | 29,126         | \$1.643        | (1,334)             | (\$0.147)              | 249,896          | \$14.303        | 254,430          | \$16.339        | (4,535)             | (\$2.036)        |
|   |                |                |                |                | -4.8%               | -9.8%                  |                  |                 |                  |                 | -1.8%               | -14.2%           |
| <b>TOTAL OVERTIME</b>                               | <b>146,651</b> | <b>\$7.486</b> | <b>162,179</b> | <b>\$8.528</b> | <b>(15,528)</b>     | <b>(\$1.0)</b>         | <b>1,343,487</b> | <b>\$87.907</b> | <b>1,426,845</b> | <b>\$92.459</b> | <b>(83,357)</b>     | <b>(\$4.552)</b> |
|   |                |                |                |                | -10.6%              | -13.9%                 |                  |                 |                  |                 | -6.2%               | -5.2%            |

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)**

|   | September           |                |   | September 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>               | 7,911               | (\$0.5)        | Reflects service coverage versus available staff and train dispatchment needs.  | 17,416                 | (\$0.7)        | Reflects service coverage versus available staff and train dispatchment needs.  |
|   | 14.5%               | -24.1%         |   | 4.2%                   | -3.1%          |   |
| <u>Unscheduled Service</u>                          | 0                   | \$0.0          |   | 0                      | \$0.0          |   |
|   | -                   | -              |   | -                      | -              |   |
| <u>Programmatic/Routine Maintenance</u>             | (12,644)            | (\$0.6)        | Primarily due to higher requirements for on-going infrastructure inspection and station enhancement program.  | (25,585)               | (\$0.9)        | Primarily due to higher requirements for on-going infrastructure inspection and station enhancement program.  |
|   | -27.5%              | -29.1%         |   | -6.4%                  | -4.8%          |   |
| <u>Unscheduled Maintenance</u>                      | (1,566)             | (\$0.1)        | Higher requirements for operations coverage for the Cos Cob fire and right-of-way maintenance related to the Yonkers mud slide.                           | (13,143)               | (\$1.0)        | Right-of-way maintenance related to the Yonkers mud slide, repairs and operations coverage for the Cos Cob fire and grade crossing repairs on the Danbury Branch.   |
|   | *                   | *              |   | *                      | *              |   |
| <u>Vacancy/Absentee Coverage</u> <sup>2</sup>       | (9,992)             | (\$0.3)        | Reflects vacation and sick coverage for must-fill positions within MofE required to perform FRA mandated functions and periodic maintenance requirements. | (57,102)               | (\$1.2)        | Reflects vacation and sick coverage for must-fill positions within MofE required to perform FRA mandated functions and periodic maintenance requirements.   |
|   | -70.6%              | -31.7%         |   | -32.9%                 | -12.6%         |   |
| <u>Weather Emergencies</u>                          | (199)               | (\$0.0)        |   | (1,148)                | \$0.0          |   |
|   | -89.3%              | -54.7%         |   | -1.4%                  | 0.3%           |   |
| <u>Safety/Security/Law Enforcement</u> <sup>3</sup> | 0                   | \$0.0          |   | 0                      | \$0.0          |   |
|   | -                   | -              |   | -                      | -              |   |
| <u>Other</u> <sup>4</sup>                           | 2,296               | \$0.6          | Accrual adjustments for retroactive wage agreement (RWA).   | 741                    | \$1.2          | Accrual adjustments for retroactive wage agreement (RWA).   |
|   | 90.7%               | 76.4%          |   | 4.6%                   | 6.0%           |   |
| <b>Subtotal</b>                                     | <b>(14,194)</b>     | <b>(\$0.9)</b> |   | <b>(78,823)</b>        | <b>(\$2.5)</b> |   |
|   | -11.9%              | -14.9%         |   | -7.2%                  | -3.4%          |   |
| <b>REIMBURSABLE OVERTIME</b>                        | (1,334)             | (\$0.1)        |   | (4,535)                | (\$2.0)        | Unfavorable variance reflects a higher overtime RWA accrual estimate for reimbursable projects than projected compounded by higher activity for several projects including the Turnouts Mainline/High Speed project as well as the Danbury Branch Signals and the C30 track projects in CT. |
|   | -4.8%               | -9.8%          |   | -1.8%                  | -14.2%         |   |
| <b>TOTAL OVERTIME</b>                               | <b>(15,528)</b>     | <b>(\$1.0)</b> |   | <b>(83,357)</b>        | <b>(\$4.6)</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**

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

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

SCHEDULE III

|  | September 2014    |                   |                         |               | Year-to-Date       |                    |                         |               |
|--|-------------------|-------------------|-------------------------|---------------|--------------------|--------------------|-------------------------|---------------|
|  | Mid-Year Forecast | Actual            | Favorable (Unfavorable) |               | Mid-Year Forecast  | Actual             | Favorable (Unfavorable) |               |
|  |                   |                   | Variance                | Percent       |                    |                    | Variance                | Percent       |
| <b>Receipts</b>  |                   |                   |                         |               |                    |                    |                         |               |
| Farebox Receipts   | \$55.081          | \$55.516          | \$0.435                 | 0.8           | \$483.457          | \$485.931          | \$2.474                 | 0.5           |
| Toll Receipts  | 0.000             | 0.000             | 0.000                   | -             | 0.000              | 0.000              | 0.000                   | -             |
| Other Operating Receipts                                 | 5.883             | 8.146             | 2.263                   | 38.5          | 53.585             | 56.216             | 2.631                   | 4.9           |
| <i>Capital &amp; Other Reimbursements:</i>               |                   |                   |                         |               |                    |                    |                         |               |
| MTA  | 10.014            | 4.696             | (5.318)                 | (53.1)        | 71.854             | 55.707             | (16.147)                | (22.5)        |
| CDOT   | 6.795             | 5.087             | (1.708)                 | (25.1)        | 48.115             | 40.578             | (7.537)                 | (15.7)        |
| Other  | 2.082             | 0.588             | (1.494)                 | (71.8)        | 13.372             | 9.759              | (3.613)                 | (27.0)        |
| Total Capital and Other Reimbursements                   | 18.891            | 10.371            | (8.520)                 | (45.1)        | 133.342            | 106.044            | (27.298)                | (20.5)        |
| <b>Total Receipts</b>                                    | <b>\$79.856</b>   | <b>\$74.033</b>   | <b>(\$5.823)</b>        | <b>(7.3)</b>  | <b>\$670.384</b>   | <b>\$648.191</b>   | <b>(\$22.193)</b>       | <b>(3.3)</b>  |
| <b>Expenditures</b>                                      |                   |                   |                         |               |                    |                    |                         |               |
| <i>Labor:</i>  |                   |                   |                         |               |                    |                    |                         |               |
| Payroll  | \$36.958          | \$33.653          | \$3.305                 | 8.9           | \$341.008          | \$335.311          | \$5.697                 | 1.7           |
| Overtime   | 6.009             | 7.275             | (1.266)                 | (21.1)        | 66.944             | 69.614             | (2.670)                 | (4.0)         |
| Health and Welfare                                       | 10.051            | 0.152             | 9.899                   | 98.5          | 87.760             | 76.275             | 11.485                  | 13.1          |
| OPEB Current Payment                                     | 1.723             | 0.123             | 1.600                   | 92.9          | 18.498             | 17.697             | 0.801                   | 4.3           |
| Pensions   | 7.185             | 6.935             | 0.250                   | 3.5           | 51.018             | 50.198             | 0.820                   | 1.6           |
| Other Fringe Benefits                                    | 7.346             | 7.937             | (0.591)                 | (8.0)         | 83.600             | 85.689             | (2.089)                 | (2.5)         |
| 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>\$69.271</b>   | <b>\$56.075</b>   | <b>\$13.196</b>         | <b>19.1</b>   | <b>\$653.278</b>   | <b>\$639.242</b>   | <b>\$14.036</b>         | <b>2.1</b>    |
| <i>Non-Labor:</i>  |                   |                   |                         |               |                    |                    |                         |               |
| Electric Power   | \$7.997           | \$5.629           | \$2.368                 | 29.6          | \$66.294           | \$59.250           | \$7.044                 | 10.6          |
| Fuel   | 1.355             | 1.986             | (0.631)                 | (46.6)        | 19.170             | 21.640             | (2.470)                 | (12.9)        |
| Insurance  | 3.097             | 0.302             | 2.795                   | 90.2          | 15.836             | 14.869             | 0.967                   | 6.1           |
| Claims   | 1.177             | 3.584             | (2.407)                 | *             | 5.750              | 19.836             | (14.086)                | *             |
| Paratransit Service Contracts                            | 0.000             | 0.000             | 0.000                   | -             | 0.000              | 0.000              | 0.000                   | -             |
| Maintenance and Other Operating Contracts                | 15.157            | 12.214            | 2.943                   | 19.4          | 93.141             | 73.392             | 19.749                  | 21.2          |
| Professional Service Contracts                           | 6.227             | 2.808             | 3.419                   | 54.9          | 36.738             | 24.420             | 12.318                  | 33.5          |
| Materials & Supplies                                     | 11.342            | 6.068             | 5.274                   | 46.5          | 84.788             | 70.449             | 14.339                  | 16.9          |
| Other Business Expenditures                              | 4.313             | 4.609             | (0.296)                 | (6.9)         | 36.747             | 39.120             | (2.373)                 | (6.5)         |
| <b>Total Non-Labor</b>                                   | <b>\$50.665</b>   | <b>\$37.200</b>   | <b>\$13.465</b>         | <b>26.6</b>   | <b>\$358.464</b>   | <b>\$322.976</b>   | <b>\$35.488</b>         | <b>9.9</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>\$119.937</b>  | <b>\$93.275</b>   | <b>\$26.662</b>         | <b>22.2</b>   | <b>\$1,011.742</b> | <b>\$962.218</b>   | <b>\$49.524</b>         | <b>4.9</b>    |
| <b>Net Cash Deficit ( excludes Opening Cash Balance)</b> | <b>(\$40.081)</b> | <b>(\$19.242)</b> | <b>\$20.839</b>         | <b>52.0</b>   | <b>(\$341.358)</b> | <b>(\$314.027)</b> | <b>\$27.331</b>         | <b>8.0</b>    |
| <b>Subsidies</b>   |                   |                   |                         |               |                    |                    |                         |               |
| MTA  | 33.639            | 19.637            | (14.002)                | (41.6)        | 260.787            | 225.115            | (35.672)                | (13.7)        |
| CDOT   | 6.442             | 0.000             | (6.442)                 | (100.0)       | 78.504             | 77.329             | (1.175)                 | (1.5)         |
| <b>Total Subsidies</b>                                   | <b>\$40.081</b>   | <b>\$19.637</b>   | <b>(\$20.444)</b>       | <b>(51.0)</b> | <b>\$339.290</b>   | <b>\$302.444</b>   | <b>(\$36.846)</b>       | <b>(10.9)</b> |
| <b>Cash Timing and Availability Adjustment</b>           | <b>\$0.000</b>    | <b>\$1.361</b>    | <b>\$1.361</b>          | <b>-</b>      | <b>\$0.000</b>     | <b>\$13.339</b>    | <b>\$13.339</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 RECEIPTS AND EXPENDITURES  
 EXPLANATION OF VARIANCE BETWEEN FORECAST AND ACTUAL RESULTS  
 (\$ in millions)

\$ Detail

| Generic Receipt or Expense Category | September Month vs Mid-Year Forecast |         |  | Year-To-Date as of September 30, 2014 |         |  |
|-------------------------------------|--------------------------------------|---------|--|---------------------------------------|---------|--|
|                                     | Variance Fav (Unfav)                 |         | Reason for Variance  | Variance Fav (Unfav)                  |         | Reason for Variance  |
|                                     | \$                                   | %       |  | \$                                    | %       |  |
| FARE REVENUE                        | 0.435                                | 0.8%    |  | 2.474                                 | 0.5%    |  |
| OTHER OPERATING REVENUE             | 2.263                                | 38.5%   | Timing of holiday fair rental receipts, quarterly payments to MTA for LaSalle charges combined with higher LaSalle revenues.   | 2.631                                 | 4.9%    |  |
| CAPITAL AND OTHER REIMBURSEMENTS:   |                                      |         |  |                                       |         |  |
| MTA                                 | (5.318)                              | (53.1%) | Lower cash receipts due to lower project activity combined with lower receipts due to timing.  | (16.147)                              | (22.5%) | Lower cash receipts due to lower project activity combined with lower receipts due to timing.                      |
| CDOT                                | (1.708)                              | (25.1%) | Lower cash receipts due to timing of payments partially offset by higher project activity.   | (7.537)                               | (15.7%) | Lower cash receipts due to timing of payments partially offset by higher project activity.                         |
| OTHER                               | (1.494)                              | (71.8%) | Lower cash receipts due to timing of payments combined with lower project activity.  | (3.614)                               | (27.0%) | Lower cash receipts due to lower project activity.   |
| PAYROLL                             | 3.305                                | 8.9%    | Primarily due to vacancies and delay in hiring combined with timing of payments for employee pension withholdings.   | 5.697                                 | 1.7%    |  |
| OVERTIME                            | (1.266)                              | (21.1%) | Mainly due to vacancies/absenteeism coverage for must-fill positions within the crafts required to perform FRA mandated functions and periodic maintenance requirements. | (2.670)                               | (4.0%)  |  |
| HEALTH & WELFARE                    | 9.899                                | 98.5%   | Timing of September NYSHIP payment, rate favorability, timing of Dental & Vision premium and headcount favorability.   | 11.485                                | 13.1%   | Timing of September NYSHIP payment and Dental & Vision premium as well as rate and headcount favorability.         |
| OPEB CURRENT PAYMENT                | 1.600                                | 92.9%   | Timing of September OPEB payment to be made in October.  | 0.801                                 | 4.3%    |  |
| PENSIONS                            | 0.250                                | 3.5%    |  | 0.820                                 | 1.6%    |  |
| OTHER FRINGE BENEFITS               | (0.591)                              | (8.0%)  | Timing of employee claims paid in September partially offset by lower payroll taxes.   | (2.089)                               | (2.5%)  |  |
| GASB ACCOUNT                        | 0.000                                | 0.0%    |  | (0.008)                               | (0.2%)  |  |
| ELECTRIC POWER                      | 2.368                                | 29.6%   | Rate favorability combined with timing of supplier portion of Connecticut Light & Power payment.   | 7.044                                 | 10.6%   | Timing of supplier portion of Connecticut Light & Power payments (June September) combined with rate favorability. |
| FUEL                                | (0.631)                              | (46.6%) | Timing of payments combined with change in NHL locomotive fueling procedures.  | (2.470)                               | (12.9%) | Change in NHL locomotive fueling procedures combined with timing of payments.                                      |

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     | September Month vs Mid-Year Forecast |          |   | Year-To-Date as of September 30, 2014 |         |  |
|---|--------------------------------------|----------|---|---------------------------------------|---------|--|
|   | Variance Fav (Unfav)                 |          | Reason for Variance   | Variance Fav (Unfav)                  |         | Reason for Variance  |
|   | \$                                   | %        |   | \$                                    | %       |  |
| INSURANCE                               | 2.795                                | 90.2%    | Timing of premium payments for All Agency Property and Force Account partially offset by Automobile paid in September.  | 0.967                                 | 6.1%    | Timing of premium payments for Catastrophic Bond, Force Account and All Agency Property partially offset by Station Liability and Automobile.  |
| CLAIMS                                  | (2.407)                              | *        | Claim payments made for passenger injury settlements relating to the Spuyten Duyvil and New Haven Line incidents.   | (14.086)                              | *       | Claim payments made for passenger injury settlements relating to Spuyten Duyvil, West of Hudson and New Haven Line incidents.  |
| MAINTENANCE & OTHER OPERATING CONTRACTS | 2.943                                | 19.4%    | Timing of capital related projects (Upgrade Locomotive Simulator, Vehicle Replacement Program, Demolition of Carey's Hole, West of Hudson Signal Improvements, Employee Welfare Facility Improvements) combined with the timing of payments for maintenance & repair, construction costs, real estate rentals and Harlem/Hudson track leases partially offset by quarterly payment of MTA police. | 19.749                                | 21.2%   | Timing of capital related projects (Upgrade Locomotive Simulator, WOH Signal Improvement, Overhead Bridge Program, Employee Welfare Facility Improvement, Vehicle Replacement Provision and GCT Leaks Remediation), combined with lower maintenance & repairs, Harlem/Hudson track leases, real estate rental and steam.   |
| PROFESSIONAL SERVICE CONTRACTS          | 3.419                                | 54.9%    | Timing of engineering services, New Haven Line BCS costs, IT maintenance & repair, advertising and medical services partially offset by capital related projects (PTC).   | 12.318                                | 33.5%   | Timing of engineering services, capital related projects (Overhead Bridge Program, Ticket Issuing Machines and IT Infrastructure System Resiliency partially offset by NHL Signal System and PTC) combined with timing of IT related costs, New Haven Line BSC costs, market research and advertising.   |
| MATERIALS & SUPPLIES                    | 5.274                                | 46.5%    | Timing of capital related projects (Hurricane Sandy Infrastructure Improvements, MNR Technology Move, Devon Bridge Repairs, PTC, Cyclical Track Program and Park Avenue Tunnel 3rd Rail Fire Alarm System) combined with timing of material purchases (Truck Suspension, Locomotive Simulator, Carbody and Friction Brakes) partially offset by timing of inventory.                              | 14.339                                | 16.9%   | Timing of capital related projects (Hurricane Sandy Infrastructure Improvements, MNR Technology Move, 2013 Cyclical Track Program, PTC, Hot Box and Wheel Impact Detectors, Bronx Station Capacity, Expansion of Real-Time Train Status Information - NYS Stations, Devon Bridge Repairs, and NHL - Stamford Station Real-Time Information System) partially offset by timing of communication materials, material & supplies and switch & signal equipment. |
| OTHER BUSINESS EXPENSES                 | (0.296)                              | (6.9%)   | Timing of payments for Holiday Fair kiosks and outside bus companies for uniticket sales.   | (2.373)                               | (6.5%)  | Timing of New Jersey Transit subsidy payments combined with timing of Employee Facility Improvement Project and purchase of safety equipment for 525 N. Broadway Project.  |
| MTA SUBSIDY RECEIPTS                    | (14.002)                             | (41.6%)  | Lower subsidy draw due to lower net cash deficit partially offset by September CDOT subsidy received in August.   | (35.672)                              | (13.7%) | Lower subsidy draw due to lower net cash deficit combined with impact of utilization of cash balances partially offset by higher receipts of CDOT subsidy.   |
| CDOT SUBSIDY RECEIPTS                   | (6.442)                              | (100.0%) | Timing of September subsidy received in August.   | (1.174)                               | (1.5%)  |  |
| TOTAL SUBSIDY RECEIPTS                  | (20.444)                             | (51.0%)  |   | (36.846)                              | (10.9%) |  |

\* Variance exceeds 100%

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

|   | September 2014       |                  |                            |             | Year-to-Date         |                   |                            |               |
|---|----------------------|------------------|----------------------------|-------------|----------------------|-------------------|----------------------------|---------------|
|   | Mid-Year<br>Forecast | Actual           | Favorable<br>(Unfavorable) |             | Mid-Year<br>Forecast | Actual            | Favorable<br>(Unfavorable) |               |
|   |                      |                  | Variance                   | Percent     |                      |                   | Variance                   | Percent       |
| <b>Receipts</b>   |                      |                  |                            |             |                      |                   |                            |               |
| Farebox Revenue   | \$0.241              | \$0.629          | \$0.389                    | *           | \$4.363              | \$3.954           | (\$0.409)                  | (9.4)         |
| Toll Revenue  | 0.000                | 0.000            | 0.000                      | -           | 0.000                | 0.000             | 0.000                      | -             |
| Other Operating Revenue   | 1.480                | 3.851            | 2.372                      | *           | 13.957               | 16.525            | 2.568                      | 18.4          |
| <i>Capital &amp; Other Reimbursements:</i>                            |                      | 0.000            |                            |             | 0.000                | 0.000             |                            |               |
| MTA   | (1.520)              | (5.038)          | (3.517)                    | *           | (22.324)             | (14.923)          | 7.402                      | 33.2          |
| CDOT  | 0.551                | (2.999)          | (3.549)                    | *           | (5.366)              | (18.466)          | (13.100)                   | *             |
| Other   | 0.035                | (1.373)          | (1.409)                    | *           | (1.463)              | (2.638)           | (1.175)                    | (80.3)        |
| Total Capital and Other Reimbursements                                | (0.934)              | (9.410)          | (8.475)                    | *           | (29.153)             | (36.027)          | (6.873)                    | (23.6)        |
| <b>Total Revenue/Receipts</b>   | <b>\$0.786</b>       | <b>(\$4.929)</b> | <b>(\$5.715)</b>           | <b>*</b>    | <b>(\$10.833)</b>    | <b>(\$15.548)</b> | <b>(\$4.715)</b>           | <b>(43.5)</b> |
| <b>Expenditures</b>   |                      |                  |                            |             |                      |                   |                            |               |
| <i>Labor:</i>   |                      |                  |                            |             |                      |                   |                            |               |
| Payroll   | \$3.888              | \$10.986         | \$7.097                    | *           | \$90.354             | \$95.045          | \$4.691                    | 5.2           |
| Overtime  | 1.477                | 1.253            | (0.224)                    | (15.2)      | 20.963               | 22.846            | 1.882                      | 9.0           |
| Health and Welfare  | (0.461)              | 9.022            | 9.483                      | *           | (3.865)              | 5.926             | 9.792                      | *             |
| OPEB Current Payment  | 0.255                | 1.884            | 0.000                      |             | (0.764)              | 0.252             | 1.016                      | *             |
| Pensions  | 1.027                | 8.096            | 7.069                      | *           | 26.713               | 19.265            | (7.447)                    | (27.9)        |
| Other Fringe Benefits   | 2.555                | 0.310            | (2.245)                    | (87.9)      | 6.970                | 1.974             | (4.996)                    | (71.7)        |
| GASB Account  | 0.000                | 0.000            | 0.000                      | -           | (4.450)              | (4.458)           | (0.008)                    | (0.2)         |
| Reimbursable Overhead   | (0.117)              | (0.507)          | (0.390)                    | *           | (0.995)              | (1.586)           | (0.591)                    | (59.4)        |
| <b>Total Labor</b>  | <b>\$8.624</b>       | <b>\$31.043</b>  | <b>\$22.420</b>            | <b>*</b>    | <b>\$134.925</b>     | <b>\$139.264</b>  | <b>\$4.339</b>             | <b>3.2</b>    |
| <i>Non-Labor:</i>   |                      |                  |                            |             |                      |                   |                            |               |
| Electric Power  | (\$0.970)            | \$1.555          | \$2.524                    | *           | \$2.294              | \$3.330           | \$1.036                    | 45.2          |
| Fuel  | 0.715                | 0.139            | (0.576)                    | (80.5)      | 1.511                | (0.088)           | (1.600)                    | *             |
| Insurance   | (1.198)              | 1.470            | 2.668                      | *           | 0.205                | 0.274             | 0.069                      | 33.8          |
| Claims  | (1.050)              | (3.828)          | (2.778)                    | *           | (4.123)              | (14.051)          | (9.927)                    | *             |
| Paratransit Service Contracts   | 0.000                | 0.000            | 0.000                      | -           | 0.000                | 0.000             | 0.000                      | -             |
| Maintenance and Other Operating Contracts                             | (2.687)              | (3.818)          | (1.131)                    | (42.1)      | (1.122)              | 5.739             | 6.860                      | *             |
| Professional Service Contracts  | (1.866)              | 1.950            | 3.816                      | *           | (3.111)              | 2.941             | 6.052                      | *             |
| Materials & Supplies  | (0.132)              | (0.087)          | 0.046                      | 34.6        | (0.597)              | (8.488)           | (7.891)                    | *             |
| Other Business Expenses   | (2.029)              | (2.560)          | (0.531)                    | (26.2)      | (15.838)             | (17.270)          | (1.433)                    | (9.0)         |
| <b>Total Non-Labor</b>  | <b>(\$9.216)</b>     | <b>(\$5.178)</b> | <b>\$4.038</b>             | <b>43.8</b> | <b>(\$20.780)</b>    | <b>(\$27.613)</b> | <b>(\$6.833)</b>           | <b>(32.9)</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>(\$0.592)</b>     | <b>\$25.865</b>  | <b>\$26.457</b>            | <b>*</b>    | <b>\$114.146</b>     | <b>\$111.651</b>  | <b>(\$2.494)</b>           | <b>(2.2)</b>  |
| Depreciation  | 18.936               | 18.872           | (0.064)                    | (0.3)       | 170.212              | 174.105           | 3.893                      | 2.3           |
| OPEB Obligation   | 5.425                | 5.425            | 0.000                      | 0.0         | 48.824               | 48.824            | 0.000                      | 0.0           |
| Environmental Remediation   | 0.787                | 0.000            | (0.787)                    | (100.0)     | 3.214                | 1.594             | (1.620)                    | 50.4          |
| <b>Total Expenditures Adjustments</b>                                 | <b>\$24.556</b>      | <b>\$50.162</b>  | <b>\$25.606</b>            | <b>*</b>    | <b>\$336.395</b>     | <b>\$336.174</b>  | <b>(\$0.222)</b>           | <b>(0.1)</b>  |
| <b>Total Cash Conversion Adjustments</b>                              | <b>\$25.342</b>      | <b>\$45.233</b>  | <b>\$19.892</b>            | <b>78.5</b> | <b>\$325.562</b>     | <b>\$320.626</b>  | <b>(\$4.936)</b>           | <b>(1.5)</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  
UTILIZATION  
(in millions)**

|                                    | <u>Month of September</u> |                             | <u>Variance</u>    |          | <u>Year-to-Date September</u> |                              | <u>Variance</u>    |          |
|------------------------------------|---------------------------|-----------------------------|--------------------|----------|-------------------------------|------------------------------|--------------------|----------|
|                                    | <u>MY Frcst</u>           | <u>Actual</u>               | <u>Fav (Unfav)</u> |          | <u>MY Frcst</u>               | <u>Actual</u>                | <u>Fav (Unfav)</u> |          |
|                                    |                           |                             | <u>Amount</u>      | <u>%</u> |                               |                              | <u>Amount</u>      | <u>%</u> |
| <u>Farebox Revenue</u>             |                           |                             |                    |          |                               |                              |                    |          |
| Harlem Line                        | \$16.299                  | \$16.143                    | (\$0.156)          | -1.0     | \$142.924                     | \$142.780                    | (\$0.143)          | -0.1     |
| Hudson Line                        | \$12.035                  | \$12.096                    | \$0.060            | 0.5      | \$102.883                     | \$104.293                    | \$1.410            | 1.4      |
| New Haven Line                     | \$26.473                  | \$26.613                    | \$0.140            | 0.5      | \$232.964                     | \$234.589                    | \$1.625            | 0.7      |
| <br>Total Farebox Revenue          | <br>\$54.808              | <br>\$54.852 <sup>(1)</sup> | <br>\$0.044        | <br>0.1  | <br>\$478.770                 | <br>\$481.662 <sup>(1)</sup> | <br>\$2.892        | <br>0.6  |
| <br><u>Ridership</u>               |                           |                             |                    |          |                               |                              |                    |          |
| Harlem Line                        | 2.298                     | 2.298                       | 0.001              | 0.0      | 20.075                        | 20.125                       | 0.050              | 0.2      |
| Hudson Line                        | 1.382                     | 1.403                       | 0.020              | 1.5      | 11.927                        | 12.080                       | 0.152              | 1.3      |
| New Haven Line                     | 3.316                     | 3.371                       | 0.055              | 1.7      | 29.093                        | 29.360                       | 0.267              | 0.9      |
| <br>Total Ridership East of Hudson | <br>6.996                 | <br>7.072                   | <br>0.076          | <br>1.1  | <br>61.095                    | <br>61.564                   | <br>0.469          | <br>0.8  |
| <br>West of Hudson                 | <br>0.138                 | <br>0.144                   | <br>0.005          | <br>3.9  | <br>1.242                     | <br>1.254                    | <br>0.013          | <br>1.0  |
| <br>Total Ridership                | <br>7.134                 | <br>7.216                   | <br>0.082          | <br>1.1  | <br>62.337                    | <br>62.818                   | <br>0.481          | <br>0.8  |

(1) Excludes West of Hudson Mail & Ride revenue totaling \$0.035 million for the month and \$0.315 million year-to-date.

**East of Hudson:**

East of Hudson ridership for the month increased by 1.1%, or an increase of 76 thousand rides. Results for the month reflect ridership levels that are on target to the mid-year forecast on the Harlem Line, an increase on the Hudson Line by 1.5%, and an increase of 1.7% on the New Haven Line over the Mid-Year Forecast. Year-to-date ridership was 61.6 million, 0.8% higher than the Mid-Year Forecast. These favorable results reflect an improving regional economy.

Commutation ridership was higher for the month by 1.8% and 0.2% higher for the year-to-date from the Mid-Year Forecast. Compared to 2013, September year-to-date commutation ridership was 0.1% lower. Non-commutation ridership was 1.5% higher than Mid-Year Forecast year-to-date and 2.0% higher than 2013. For the month, non-commutation ridership was 0.2% higher than Mid-Year Forecast, and 6.3% better than 2013.

**West of Hudson:**

West of Hudson ridership was 3.9% higher to the Mid-Year Forecast for the month, 1.0% higher year-to-date, and 6.5% 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**  
**September 30, 2014**

| <u>Department</u>   | <u>Mid-Year<br/>Forecast</u> | <u>Actual</u> | <u>Favorable<br/>(Unfavorable)<br/>Variance</u> |
|---|------------------------------|---------------|---|
| <b>Administration</b>   |                              |               |   |
| President   | 3                            | 3             | -   |
| Labor Relations   | 10                           | 7             | 3   |
| Safety  | 41                           | 34            | 7   |
| COS/Corporate & Public Affairs                                  | 17                           | 15            | 2   |
| Legal (1)   | 17                           | 18            | (1)   |
| Claims Services   | 14                           | 10            | 4   |
| Environmental Compliance & Svce                                 | 8                            | 7             | 1   |
| VP Administration   | 2                            | 2             | -   |
| VP Human Resources  | 6                            | 5             | 1   |
| Human Resources (2)   | 29                           | 23            | 6   |
| Training (2)  | 63                           | 53            | 11  |
| Employee Relations & Diversity                                  | 4                            | 4             | -   |
| VP Planning   | 2                            | 2             | -   |
| Operations Planning & Analysis                                  | 18                           | 16            | 2   |
| Capital Planning & Programming                                  | 15                           | 14            | 1   |
| GCT & Corporate Development                                     | 32                           | 32            | 1   |
| Long Range Planning   | 7                            | 6             | 1   |
| VP Finance & Information Systems                                | 3                            | 1             | 2   |
| Controller  | 80                           | 73            | 7   |
| Information Technology & Project Mgmt (2)                       | 125                          | 97            | 28  |
| Budget  | 18                           | 18            | 0   |
| Customer Service  | 46                           | 45            | 1   |
| Procurement & Material Mgmt                                     | 30                           | 27            | 3   |
| Corporate   | -                            | -             | 0   |
| <b>Total Administration</b>                                     | <b>590</b>                   | <b>510</b>    | <b>80</b>                                       |
| <b>Operations</b>   |                              |               |   |
| Operations Administration                                       | 52                           | 50            | 3   |
| Operations Services (1)   | 1,457                        | 1,433         | 24  |
| Customer Service (2)  | 240                          | 232           | 8   |
| GCT & Corporate Development                                     | 34                           | 32            | 2   |
| Metro-North West (3)  | 29                           | 34            | (5)   |
| <b>Total Operations</b>   | <b>1,812</b>                 | <b>1,780</b>  | <b>32</b>                                       |
| <b>Maintenance</b>  |                              |               |   |
| GCT & Corporate Development                                     | 169                          | 161           | 8   |
| Maintenance of Equipment (2)                                    | 1,669                        | 1,610         | 59  |
| Maintenance of Way (2)  | 1,855                        | 1,839         | 16  |
| Procurement & Material Mgmt                                     | 121                          | 114           | 7   |
| <b>Total Maintenance</b>  | <b>3,814</b>                 | <b>3,724</b>  | <b>90</b>                                       |
| <b>Engineering/Capital</b>                                      |                              |               |   |
| Construction Management (4)                                     | 31                           | 33            | (3)   |
| Engineering & Design (4)  | 60                           | 61            | (1)   |
| <b>Total Engineering/Capital</b>                                | <b>91</b>                    | <b>94</b>     | <b>(3)</b>                                      |
| <b>Total Positions</b>  | <b>6,306</b>                 | <b>6,108</b>  | <b>198</b>                                      |
| <b>Non-Reimbursable (5)</b>                                     | <b>5,648</b>                 | <b>5,653</b>  | <b>(5)</b>                                      |
| <b>Reimbursable</b>   | <b>659</b>                   | <b>455</b>    | <b>204</b>                                      |
| <b>Total Full-Time</b>  | <b>6,305</b>                 | <b>6,107</b>  | <b>198</b>                                      |
| <b>Total Full-Time-Equivalents<br/>(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**  
**September 30, 2014**

| FUNCTION/OCCUPATION               | Mid-Year Forecast | Actual       | Favorable<br>(Unfavorable)<br>Variance |
|-----------------------------------|-------------------|--------------|--|
| <b>Administration (1)</b>         |                   |              |  |
| Managers/Supervisors              | 185               | 152          | 33                                     |
| Professional, Technical, Clerical | 404               | 358          | 46                                     |
| Operational Hourlies              | -                 | -            | -                                      |
| <b>Total Administration</b>       | <b>590</b>        | <b>510</b>   | <b>80</b>                              |
| <b>Operations (1)</b>             |                   |              |  |
| Managers/Supervisors              | 151               | 131          | 20                                     |
| Professional, Technical, Clerical | 231               | 221          | 10                                     |
| Operational Hourlies              | 1,430             | 1,429        | 1                                      |
| <b>Total Operations</b>           | <b>1,812</b>      | <b>1,780</b> | <b>32</b>                              |
| <b>Maintenance (1)</b>            |                   |              |  |
| Managers/Supervisors              | 495               | 498          | (3)                                    |
| Professional, Technical, Clerical | 488               | 488          | 0                                      |
| Operational Hourlies              | 2,830             | 2,738        | 92                                     |
| <b>Total Maintenance</b>          | <b>3,814</b>      | <b>3,724</b> | <b>90</b>                              |
| <b>Engineering/Capital</b>        |                   |              |  |
| Managers/Supervisors              | 39                | 40           | (1)                                    |
| Professional, Technical, Clerical | 52                | 54           | (2)                                    |
| Operational Hourlies              | -                 | -            | -                                      |
| <b>Total Engineering/Capital</b>  | <b>91</b>         | <b>94</b>    | <b>(3)</b>                             |
| <b>Public Safety</b>              |                   |              |  |
| Managers/Supervisors              | -                 | -            | -                                      |
| Professional, Technical, Clerical | -                 | -            | -                                      |
| Operational Hourlies              | -                 | -            | -                                      |
| <b>Total Public Safety</b>        | <b>-</b>          | <b>-</b>     | <b>-</b>                               |
| <b>Total Positions</b>            |                   |              |  |
| Managers/Supervisors              | 871               | 820          | 50                                     |
| Professional, Technical, Clerical | 1,176             | 1,121        | 55                                     |
| Operational Hourlies              | 4,260             | 4,167        | 93                                     |
| <b>Total Positions</b>            | <b>6,306</b>      | <b>6,108</b> | <b>198</b>                             |

**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  
2014 MID YEAR FORECAST VS. ACTUALS**

September 30, 2014

| <u>Agency-wide (Non-Reimbursable and Reimbursable)</u> | <u>Mid-Year Forecast</u> | <u>Actual</u> | <u>Favorable (Unfavorable) Variance</u> | <u>Explanation of Variances</u>  |
|--|--------------------------|---------------|---|--|
| <i>Functional Classification:</i>                      |                          |               |   |  |
| Operations (1)   | 1,812                    | 1,780         | 32                                      | Reflects vacancies in Operation Services (train operations staff) and Customer Service (custodians).   |
| Maintenance (1)  | 3,814                    | 3,724         | 90                                      | 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)                                     | 590                      | 510           | 80                                      | Reflects vacancies in Information Technology (computer support analysts, application developers and network analysts).   |
| Engineering / Capital                                  | 91                       | 94            | (3)                                     | Reflects delayed attrition in Construction Management positions.   |
| <b>Total Agency-wide Headcount</b>                     | <b>6,306</b>             | <b>6,108</b>  | <b>198</b>                              |  |
| Non-Reimbursable                                       | 5,648                    | 5,653         | (5)                                     | Reflects a transfer of reimbursable Maintenance of Way positions to perform operating work.  |
| Reimbursable   | 659                      | 455           | 204                                     |  |

**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 \*  
September 2014**

|  | <u>MONTH</u>        |                 |             | <u>VARIANCE</u> |             |
|--|---------------------|-----------------|-------------|-----------------|-------------|
|  | <u>2014</u>         | <u>FORECAST</u> | <u>2013</u> | <u>FORECAST</u> | <u>2013</u> |
| Farebox Operating Ratio                    |                     |                 |             |                 |             |
| Standard <sup>(1)</sup>                    | 56.5%               | 54.4%           | 64.0%       | 2.1%            | -7.5%       |
| Adjusted <sup>(2)</sup>                    | 62.0%               | 61.0%           | 71.7%       | 1.0%            | -9.7%       |
| Cost per Passenger                         |                     |                 |             |                 |             |
| Standard <sup>(1)</sup>                    | \$13.90             | \$14.54         | \$12.26     | \$0.64          | (\$1.64)    |
| Adjusted <sup>(2)</sup>                    | \$13.94             | \$14.32         | \$12.01     | \$0.38          | (\$1.93)    |
| Passenger Revenue/Passenger <sup>(4)</sup> | \$7.85              | \$7.92          | \$7.84      | (\$0.07)        | \$0.01      |
|  | <u>YEAR-TO-DATE</u> |                 |             | <u>VARIANCE</u> |             |
|  | <u>2014</u>         | <u>FORECAST</u> | <u>2013</u> | <u>FORECAST</u> | <u>2013</u> |
| Farebox Operating Ratio                    |                     |                 |             |                 |             |
| Standard <sup>(1) (3)</sup>                | 52.8%               | 50.5%           | 61.4%       | 2.3%            | -8.6%       |
| Adjusted <sup>(2) (3)</sup>                | 59.0%               | 56.3%           | 69.9%       | 2.7%            | -10.9%      |
| Cost per Passenger                         |                     |                 |             |                 |             |
| Standard <sup>(1) (3)</sup>                | \$14.98             | \$15.70         | \$12.48     | \$0.72          | (\$2.50)    |
| Adjusted <sup>(2) (3)</sup>                | \$14.75             | \$15.48         | \$12.28     | \$0.73          | (\$2.47)    |
| Passenger Revenue/Passenger <sup>(4)</sup> | \$7.91              | \$7.93          | \$7.67      | (\$0.02)        | \$0.24      |

(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 September performance indicators would be as follows:

|                      | <u>Standard</u> | <u>Adjusted</u> |
|----------------------|-----------------|-----------------|
| Fare Operating Ratio | 59.7%           | 66.8%           |
| Cost per Passenger   | \$13.26         | \$13.02         |

(4) Includes Bar Car Services.

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

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# **MTA METRO-NORTH RAILROAD**

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## **MONTHLY RIDERSHIP REPORT**

**SEPTEMBER 2014**

Operations Planning & Analysis Department  
November, 2014

# SEPTEMBER 2014 RIDERSHIP REPORT MTA METRO-NORTH RAILROAD

## EXECUTIVE SUMMARY

### September

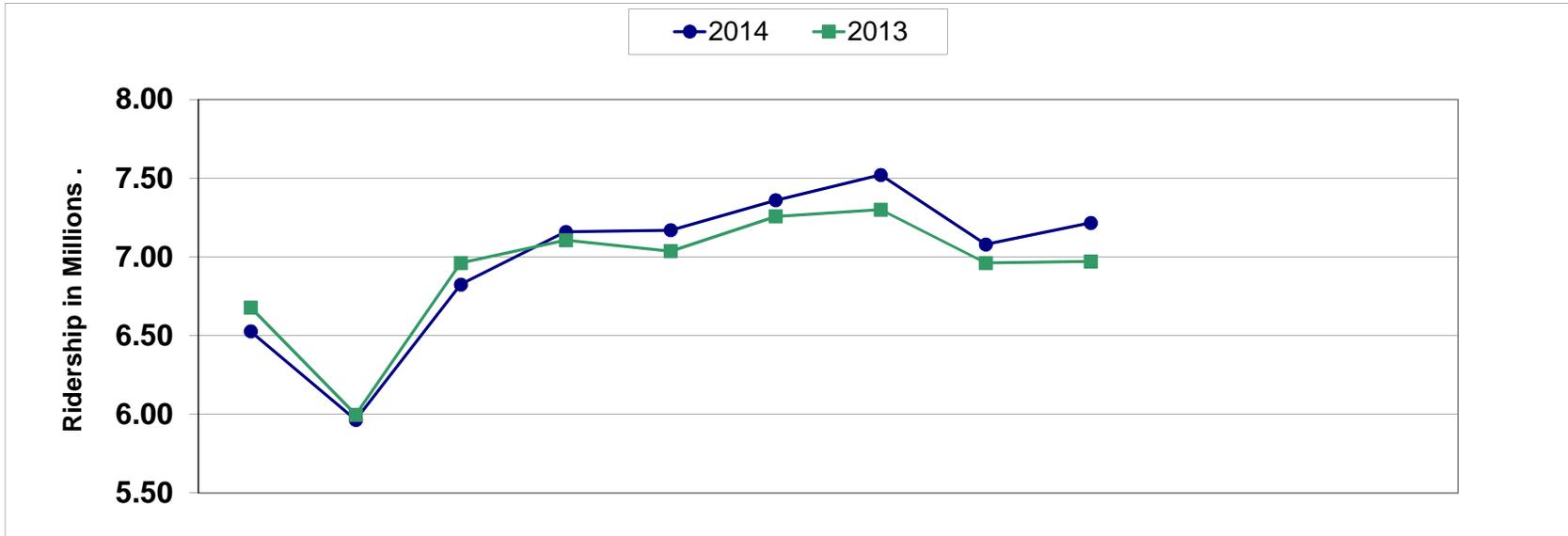
- September 2014 **Total MNR System Ridership** was 7.263 million vs. 7.016 million in September 2013, an increase of 247,116 passengers (+3.5%).
- September 2014 **Total Rail Ridership** was 7.216 million vs. 6.971 million in September 2013, an increase of 245,285 passengers (+3.5%).
  - **Rail Commutation Ridership** was +1.5% vs. 2013
  - **Rail Non-commutation Ridership** was +6.4% vs. 2013
- September 2014 **East of Hudson Ridership** was 7.072 million vs. 6.838 million in September 2013, an increase of 233,848 passengers (+3.4%).
- September 2014 **West of Hudson Ridership** was 0.143 million vs. 0.132 million in September 2013, an increase of 11,437 passengers (+8.6%).
- September 2014 **Connecting Services Ridership** was 0.047 million vs. 0.045 million in September 2013, an increase of 1,831 passengers (+4.1%).
- September 2014 **Rail Revenue** was \$56.0 million vs. \$52.7 million in September 2013, an increase of \$3,335,179 (+6.3%).

### Year To Date

- 2014 YTD **Total MNR System Ridership** was 0.9% above 2013 and 0.7% above forecast.
- 2014 YTD **Total Rail Ridership** was 0.9% above 2013 and 0.8% above forecast.
- 2014 YTD **East of Hudson Ridership** was 0.8% above 2013 and 0.8% above forecast.
- 2014 YTD **West of Hudson ridership** was 6.5% above 2013 and 1.0% above forecast.
- 2014 YTD **Connecting Services Ridership** was 2.6% below 2013 and 5.2% below forecast.
- 2014 YTD **Rail Revenue** was 4.1% above 2013 and 0.6% above forecast.

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

- September's Total Rail Ridership was 3.5% above 2013 and 1.1% above forecast.

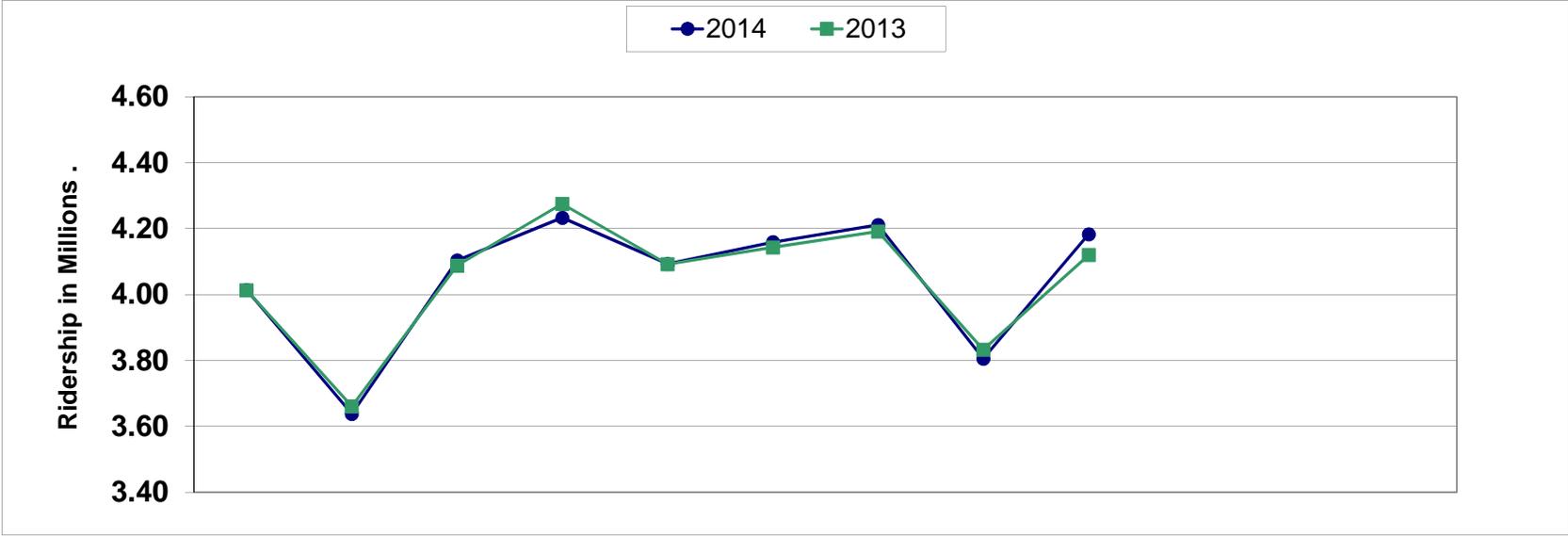


|                 | Jan   | Feb   | Mar   | Apr  | May  | Jun  | Jul  | Aug  | Sep  | Oct | Nov | Dec | Y-T-D Total |
|-----------------|-------|-------|-------|------|------|------|------|------|------|-----|-----|-----|-------------|
| <b>2014</b>     | 6.53  | 5.96  | 6.82  | 7.16 | 7.17 | 7.36 | 7.52 | 7.08 | 7.22 |     |     |     | 62.82       |
| <b>2013</b>     | 6.68  | 6.00  | 6.96  | 7.11 | 7.04 | 7.26 | 7.30 | 6.96 | 6.97 |     |     |     | 62.27       |
| <b>PCT CHG.</b> | -2.3% | -0.5% | -2.0% | 0.7% | 1.9% | 1.4% | 3.0% | 1.7% | 3.5% |     |     |     | 0.9%        |

1) Includes East and West of Hudson.

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

- September's Rail Commutation Ridership was 1.5% above 2013 and 1.7% above forecast.

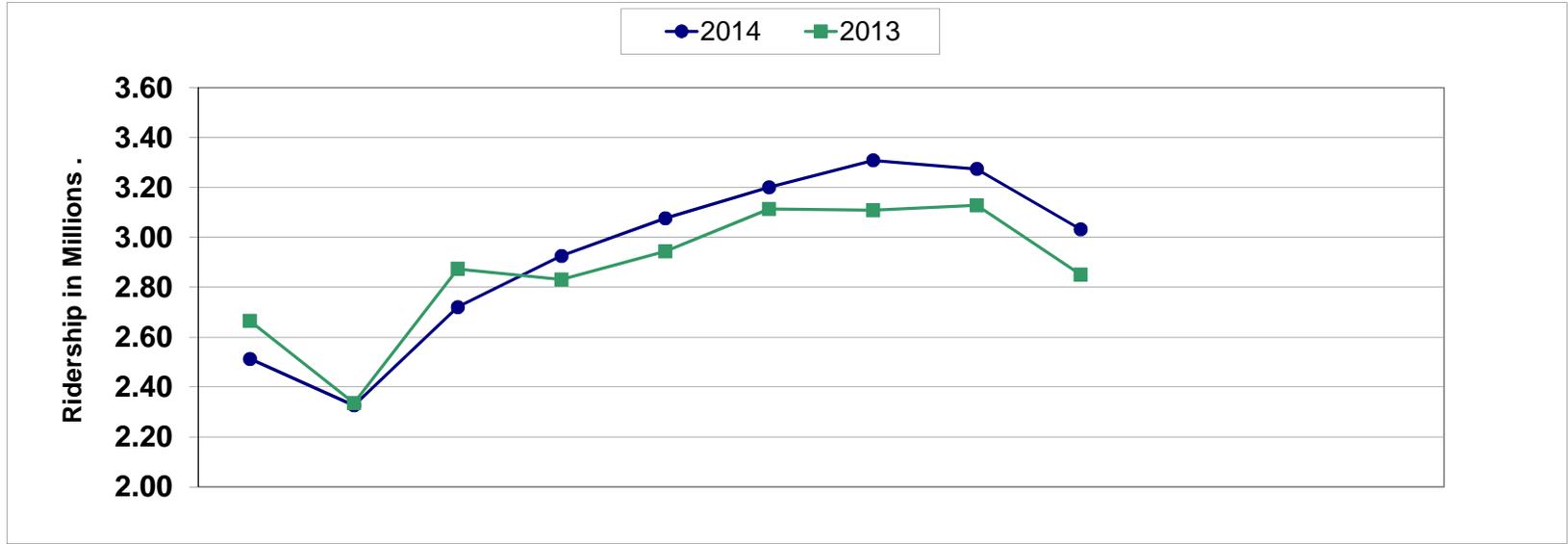


|                 | Jan  | Feb   | Mar  | Apr   | May  | Jun  | Jul  | Aug   | Sep  | Oct | Nov | Dec | Y-T-D Total |
|-----------------|------|-------|------|-------|------|------|------|-------|------|-----|-----|-----|-------------|
| <b>2014</b>     | 4.01 | 3.64  | 4.10 | 4.23  | 4.09 | 4.16 | 4.21 | 3.80  | 4.18 |     |     |     | 36.44       |
| <b>2013</b>     | 4.01 | 3.66  | 4.09 | 4.27  | 4.09 | 4.14 | 4.19 | 3.83  | 4.12 |     |     |     | 36.41       |
| <b>PCT CHG.</b> | 0.0% | -0.6% | 0.4% | -1.0% | 0.0% | 0.4% | 0.5% | -0.7% | 1.5% |     |     |     | 0.1%        |

1) Includes East and West of Hudson.

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

- September's Rail Non-Commutation Ridership was 6.4% above 2013 and 0.3% above forecast.

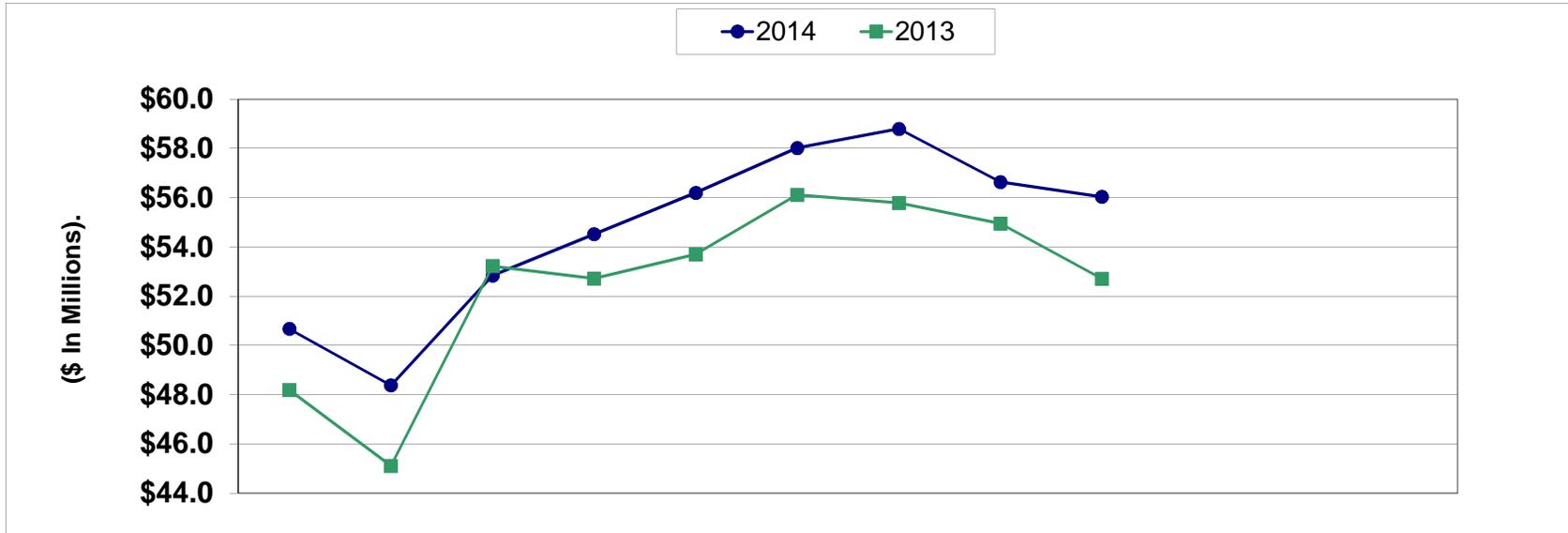


|                 | Jan   | Feb   | Mar   | Apr  | May  | Jun  | Jul  | Aug  | Sep  | Oct | Nov | Dec | Y-T-D Total |
|-----------------|-------|-------|-------|------|------|------|------|------|------|-----|-----|-----|-------------|
| <b>2014</b>     | 2.51  | 2.33  | 2.72  | 2.93 | 3.08 | 3.20 | 3.31 | 3.27 | 3.03 |     |     |     | 26.38       |
| <b>2013</b>     | 2.66  | 2.34  | 2.87  | 2.83 | 2.94 | 3.11 | 3.11 | 3.13 | 2.85 |     |     |     | 25.85       |
| <b>PCT CHG.</b> | -5.7% | -0.4% | -5.3% | 3.3% | 4.5% | 2.8% | 6.4% | 4.6% | 6.4% |     |     |     | 2.0%        |

1) Includes East and West of Hudson.

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

- September's Total Rail Revenue was 6.3% above 2013 and 0.1% 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 | \$56.0 |     |     |     | \$492.1     |
| <b>2013</b>     | \$48.2 | \$45.1 | \$53.2 | \$52.7 | \$53.7 | \$56.1 | \$55.8 | \$54.9 | \$52.7 |     |     |     | \$472.5     |
| <b>PCT CHG.</b> | 5.1%   | 7.3%   | -0.7%  | 3.4%   | 4.7%   | 3.4%   | 5.4%   | 3.1%   | 6.3%   |     |     |     | 4.1%        |

1) Includes East and West of Hudson.

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

| TICKET TYPE/SERVICE                         | SEPTEMBER<br>2014 | SEPTEMBER<br>2013 (1) | CHANGE VS. 2013 |             |
|---|-------------------|-----------------------|-----------------|-------------|
|   |                   |                       | AMOUNT          | PERCENT     |
| <b>RAIL COMMUTATION RIDERSHIP</b>           |                   |                       |                 |             |
| East of Hudson                              | 4,099,470         | 4,041,750             | 57,720          | 1.4%        |
| West of Hudson                              | 83,471            | 78,000                | 5,471           | 7.0%        |
| <b>Total Rail Commutation Ridership</b>     | <b>4,182,941</b>  | <b>4,119,750</b>      | <b>63,191</b>   | <b>1.5%</b> |
| <b>RAIL NON-COMMUTATION RIDERSHIP</b>       |                   |                       |                 |             |
| East of Hudson                              | 2,972,634         | 2,796,506             | 176,128         | 6.3%        |
| West of Hudson                              | 60,283            | 54,317                | 5,966           | 11.0%       |
| <b>Total Rail Non-Commutation Ridership</b> | <b>3,032,917</b>  | <b>2,850,823</b>      | <b>182,094</b>  | <b>6.4%</b> |
| <b>TOTAL RAIL RIDERSHIP</b>                 |                   |                       |                 |             |
| East of Hudson                              | 7,072,104         | 6,838,256             | 233,848         | 3.4%        |
| West of Hudson                              | 143,754           | 132,317               | 11,437          | 8.6%        |
| <b>TOTAL RAIL RIDERSHIP</b>                 | <b>7,215,858</b>  | <b>6,970,573</b>      | <b>245,285</b>  | <b>3.5%</b> |
| <b>CONNECTING SERVICES RIDERSHIP (2)</b>    | <b>46,925</b>     | <b>45,094</b>         | <b>1,831</b>    | <b>4.1%</b> |
| <b>TOTAL MNR SYSTEM RIDERSHIP</b>           | <b>7,262,783</b>  | <b>7,015,667</b>      | <b>247,116</b>  | <b>3.5%</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 SUMMARY 2014 YEAR-TO-DATE

| TICKET TYPE/SERVICE                         | 2014<br>YTD       | 2013<br>YTD (1)   | CHANGE VS. 2013 |              |
|---|-------------------|-------------------|-----------------|--------------|
|   |                   |                   | AMOUNT          | PERCENT      |
| <b>RAIL COMMUTATION RIDERSHIP</b>           |                   |                   |                 |              |
| East of Hudson                              | 35,715,142        | 35,735,328        | (20,186)        | -0.1%        |
| West of Hudson                              | 723,830           | 679,152           | 44,678          | 6.6%         |
| <b>Total Rail Commutation Ridership</b>     | <b>36,438,972</b> | <b>36,414,480</b> | <b>24,492</b>   | <b>0.1%</b>  |
| <b>RAIL NON-COMMUTATION RIDERSHIP</b>       |                   |                   |                 |              |
| East of Hudson                              | 25,848,855        | 25,353,476        | 495,379         | 2.0%         |
| West of Hudson                              | 530,415           | 498,188           | 32,227          | 6.5%         |
| <b>Total Rail Non-Commutation Ridership</b> | <b>26,379,270</b> | <b>25,851,664</b> | <b>527,606</b>  | <b>2.0%</b>  |
| <b>TOTAL RAIL RIDERSHIP</b>                 |                   |                   |                 |              |
| East of Hudson                              | 61,563,997        | 61,088,804        | 475,193         | 0.8%         |
| West of Hudson                              | 1,254,245         | 1,177,340         | 76,905          | 6.5%         |
| <b>TOTAL RAIL RIDERSHIP</b>                 | <b>62,818,242</b> | <b>62,266,144</b> | <b>552,098</b>  | <b>0.9%</b>  |
| <b>CONNECTING SERVICES RIDERSHIP (2)</b>    | <b>398,502</b>    | <b>408,975</b>    | <b>(10,473)</b> | <b>-2.6%</b> |
| <b>TOTAL MNR SYSTEM RIDERSHIP</b>           | <b>63,216,744</b> | <b>62,675,119</b> | <b>541,625</b>  | <b>0.9%</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  
SEPTEMBER 2014**

| LINE   | SEPTEMBER<br>2014<br>ACTUAL | SEPTEMBER<br>2014<br>FORECAST | VARIANCE VS.<br>FORECAST |             | SEPTEMBER<br>2013<br>RESTATE <sup>(1)</sup> | CHANGE FROM 2013 |             |
|--|-----------------------------|-------------------------------|--------------------------|-------------|---|------------------|-------------|
|  |                             |                               | AMOUNT                   | PERCENT     |   | AMOUNT           | PERCENT     |
| <b>EAST OF HUDSON</b>  |                             |                               |                          |             |   |                  |             |
| Harlem Line  | 2,298,402                   | 2,297,755                     | 647                      | 0.0%        | 2,261,600                                   | 36,802           | 1.6%        |
| Hudson Line  | 1,402,529                   | 1,382,038                     | 20,491                   | 1.5%        | 1,369,760                                   | 32,769           | 2.4%        |
| New Haven Line   | 3,371,173                   | 3,316,091                     | 55,082                   | 1.7%        | 3,206,896                                   | 164,277          | 5.1%        |
| <b>Total East of Hudson</b>                                    | <b>7,072,104</b>            | <b>6,995,884</b>              | <b>76,220</b>            | <b>1.1%</b> | <b>6,838,256</b>                            | <b>233,848</b>   | <b>3.4%</b> |
| <b>WEST OF HUDSON</b>  |                             |                               |                          |             |   |                  |             |
| Port Jervis Line   | 86,526                      | 85,755                        | 771                      | 0.9%        | 83,964                                      | 2,562            | 3.1%        |
| Pascack Valley Line  | 57,228                      | 52,625                        | 4,603                    | 8.7%        | 48,353                                      | 8,875            | 18.4%       |
| <b>Total West of Hudson</b>                                    | <b>143,754</b>              | <b>138,380</b>                | <b>5,374</b>             | <b>3.9%</b> | <b>132,317</b>                              | <b>11,437</b>    | <b>8.6%</b> |
| <b>TOTAL RAIL RIDERSHIP</b>                                    | <b>7,215,858</b>            | <b>7,134,264</b>              | <b>81,594</b>            | <b>1.1%</b> | <b>6,970,573</b>                            | <b>245,285</b>   | <b>3.5%</b> |
| <b>CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS</b> |                             |                               |                          |             |   |                  |             |
| Hudson Rail Link   | 30,324                      | 28,400                        | 1,924                    | 6.8%        | 27,493                                      | 2,831            | 10.3%       |
| Haverstraw-Ossining Ferry                                      | 9,867                       | 11,687                        | (1,820)                  | -15.6%      | 11,503                                      | (1,636)          | -14.2%      |
| Newburgh-Beacon Ferry  | 6,734                       | 6,098                         | 636                      | 10.4%       | 6,098                                       | 636              | 10.4%       |
| <b>Total Connecting Services</b>                               | <b>46,925</b>               | <b>46,185</b>                 | <b>740</b>               | <b>1.6%</b> | <b>45,094</b>                               | <b>1,831</b>     | <b>4.1%</b> |
| <b>TOTAL MNR SYSTEM</b>  | <b>7,262,783</b>            | <b>7,180,449</b>              | <b>82,334</b>            | <b>1.1%</b> | <b>7,015,667</b>                            | <b>247,116</b>   | <b>3.5%</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<br>YTD<br>ACTUAL | 2014<br>YTD<br>FORECAST | VARIANCE VS.<br>FORECAST |              | 2013<br>YTD<br>RESTATE <sup>(1)</sup> | CHANGE FROM 2013 |              |
|--|-----------------------|-------------------------|--------------------------|--------------|---------------------------------------|------------------|--------------|
|  |                       |                         | AMOUNT                   | PERCENT      |                                       | AMOUNT           | PERCENT      |
| <b>EAST OF HUDSON</b>  |                       |                         |                          |              |                                       |                  |              |
| Harlem Line  | 20,124,744            | 20,074,882              | 49,862                   | 0.2%         | 20,054,088                            | 70,656           | 0.4%         |
| Hudson Line  | 12,079,595            | 11,927,439              | 152,156                  | 1.3%         | 11,895,350                            | 184,245          | 1.5%         |
| New Haven Line   | 29,359,658            | 29,092,715              | 266,943                  | 0.9%         | 29,139,366                            | 220,292          | 0.8%         |
| <b>Total East of Hudson</b>                                    | <b>61,563,997</b>     | <b>61,095,036</b>       | <b>468,961</b>           | <b>0.8%</b>  | <b>61,088,804</b>                     | <b>475,193</b>   | <b>0.8%</b>  |
| <b>WEST OF HUDSON</b>  |                       |                         |                          |              |                                       |                  |              |
| Port Jervis Line   | 759,034               | 760,825                 | (1,791)                  | -0.2%        | 737,886                               | 21,148           | 2.9%         |
| Pascack Valley Line  | 495,211               | 480,913                 | 14,298                   | 3.0%         | 439,454                               | 55,757           | 12.7%        |
| <b>Total West of Hudson</b>                                    | <b>1,254,245</b>      | <b>1,241,738</b>        | <b>12,507</b>            | <b>1.0%</b>  | <b>1,177,340</b>                      | <b>76,905</b>    | <b>6.5%</b>  |
| <b>TOTAL RAIL RIDERSHIP</b>                                    | <b>62,818,242</b>     | <b>62,336,774</b>       | <b>481,468</b>           | <b>0.8%</b>  | <b>62,266,144</b>                     | <b>552,098</b>   | <b>0.9%</b>  |
| <b>CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS</b> |                       |                         |                          |              |                                       |                  |              |
| Hudson Rail Link   | 272,092               | 272,751                 | (659)                    | -0.2%        | 263,042                               | 9,050            | 3.4%         |
| Haverstraw-Ossining Ferry                                      | 81,671                | 97,784                  | (16,113)                 | -16.5%       | 96,244                                | (14,573)         | -15.1%       |
| Newburgh-Beacon Ferry  | 44,739                | 49,689                  | (4,950)                  | -10.0%       | 49,689                                | (4,950)          | -10.0%       |
| <b>Total Connecting Services</b>                               | <b>398,502</b>        | <b>420,224</b>          | <b>(21,722)</b>          | <b>-5.2%</b> | <b>408,975</b>                        | <b>(10,473)</b>  | <b>-2.6%</b> |
| <b>TOTAL MNR SYSTEM</b>  | <b>63,216,744</b>     | <b>62,756,998</b>       | <b>459,746</b>           | <b>0.7%</b>  | <b>62,675,119</b>                     | <b>541,625</b>   | <b>0.9%</b>  |

Notes:

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

## CAPITAL PROGRAM

### HIGHLIGHTS

November 17, 2014

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

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

Painting with a primer on the masonry walls at the southern end of the garage is underway. Switchover of utilities for the new utility building continues. Station entrance improvements punch list work is on-going.

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

Development of a report listing recommended facility improvements continues.

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

At the inbound platform: old canopy demolition, new canopy installation and roofing are in progress; substructure and platform repairs commenced. At the outbound platform: installation of temporary electrical systems was completed; concrete pedestals placement continues.

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

Phase I Stations (Botanical Gardens, Williams Bridge, and Woodlawn): Design continues to advance to the 95% level. Construction of Phase I Stations is deferred to January 2016; until after the completion of CP109. Phase II stations (Wakefield, 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**

The procurement process to acquire a design-build team to perform the required infrastructure restoration services is underway.

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

Bids were received in October, 2014 and are under review.

##### **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. Mobilization at site is anticipated by November 2014.
- *Brewster Substation* – The substation has been integrated with the “Sandy” substations project. Bids were received in October, 2014 and are under review.

### **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 continues. Installation of temporary platforms for bridge access around the tracks is complete. 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. Removal of existing equipment is on-going.

## **TRACK AND STRUCTURES**

### **2013 Cyclical Track Program**

*Tie work:* Tie installation has been completed on the New Haven Line between Port Chester and New Rochelle.

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

### **Rehabilitate Woodbury Viaduct**

Substantial completion was achieved in October, 2014.

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

*NH 20.39 (Mamaroneck Ave, Mamaroneck)* - Work is 95% complete; anticipate final completion by the end of the fourth quarter.

*HU 3.41 over 110th Street.* The commencement of the repairs is contingent upon the approval of roadway outages from NYC DOT.

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

Contractor mobilization continues for the rehabilitation of JS51.00 culvert at Highland Mills.

## **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 replacement of the lower roofs of the Maintenance of Way building was complete; only the skylight installation remains. The Maintenance of Equipment facility roof is at 70% complete.

## **GRAND CENTRAL TERMINAL**

### **Grand Central Terminal Train Shed Rehabilitation**

Construction bids and proposals for Construction Supervision and Inspection Services for the next phase of the trainshed repairs were received and are under review.

### **GCT Elevators Rehabilitation Phase 4**

Contract was executed in October 2014 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).

### **GCT Utilities**

*Domestic Water System* - Installation of the domestic water suction tank and pump at 49th Street and submittal process continues.

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

### **GCT Leaks Remediation**

Installation of all steel pieces required to reconfigure the deck plate in preparation for placement of structural concrete deck slab and armorless joint system was completed on Vanderbilt Avenue. Partial depth concrete repairs throughout the northbound Viaduct and reinforcing steel work continues on Park Avenue.

## **ROLLING STOCK**

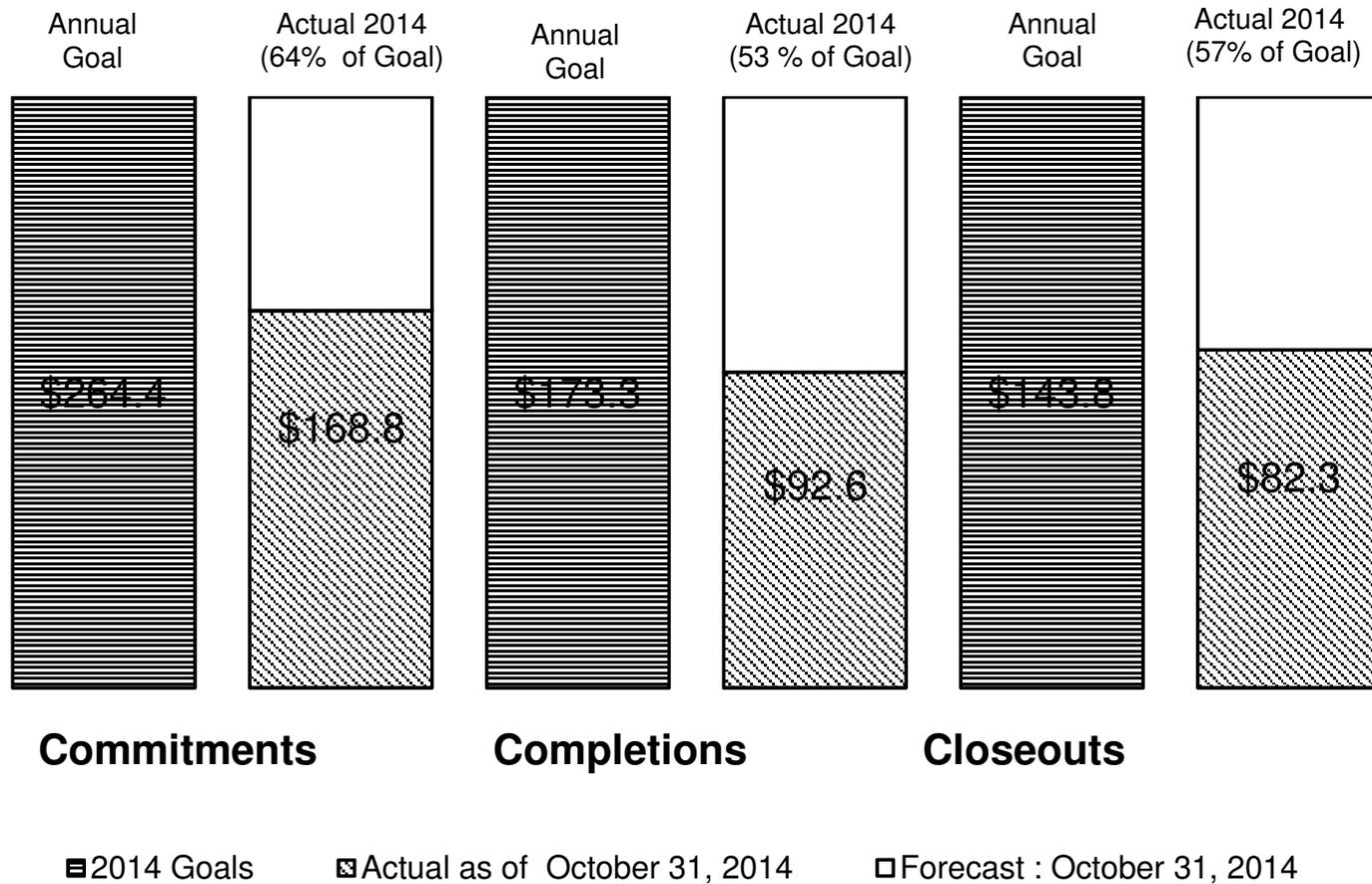
### **M-8 Car Program**

As of October 31, 2014, 374 cars have been conditionally accepted and placed into revenue service.

# 2014 MNR Capital Program Goals

As of October 31, 2014

In Millions





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# LONG ISLAND RAIL ROAD

A graphic featuring a grid of dotted lines. A large, bold, black text "MONTHLY OPERATING REPORT" is centered within the grid. A dotted line also forms a large, stylized "L" shape on the right side of the grid.

# MONTHLY OPERATING REPORT

## October 2014

**Patrick Nowakowski**  
President

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11/17/14 \*\*\*\*\*

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**OPERATING REPORT  
FOR MONTH OF OCTOBER 2014**

| Performance Summary  |                       |                   | 2014 Data    |              |              | 2013 Data    |              |
|--|-----------------------|-------------------|--------------|--------------|--------------|--------------|--------------|
|  |                       |                   | Annual       | YTD thru     |              | YTD thru     |              |
|  |                       |                   | Goal         | Oct          | Oct          | Oct          | Oct          |
| <b>On Time Performance</b><br><i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i> | <b>System</b>         | <b>Overall</b>    | <b>95.1%</b> | <b>92.6%</b> | <b>92.1%</b> | <b>95.0%</b> | <b>93.6%</b> |
|  |                       | AM Peak           |              | 92.6%        | 92.0%        | 94.1%        | 92.5%        |
|  |                       | PM Peak           |              | 87.3%        | 86.7%        | 92.6%        | 90.7%        |
|  |                       | <b>Total Peak</b> |              | <b>90.0%</b> | <b>89.4%</b> | <b>93.4%</b> | <b>91.6%</b> |
|  |                       | Off Peak Weekday  |              | 93.5%        | 92.4%        | 95.4%        | 94.1%        |
|  |                       | Weekend           |              | 94.2%        | 94.6%        | 96.6%        | 95.1%        |
|  | <b>Babylon Branch</b> | <b>Overall</b>    | <b>95.1%</b> | <b>92.4%</b> | <b>91.5%</b> | <b>93.8%</b> | <b>93.0%</b> |
|  |                       | AM Peak           |              | 95.1%        | 93.0%        | 93.9%        | 92.2%        |
|  |                       | PM Peak           |              | 85.9%        | 83.0%        | 91.3%        | 90.3%        |
|  |                       | <b>Total Peak</b> |              | <b>90.8%</b> | <b>88.4%</b> | <b>92.7%</b> | <b>91.3%</b> |
|  | Off Peak Weekday      |                   | 93.7%        | 92.5%        | 93.2%        | 93.3%        |              |
|  | Weekend               |                   | 91.8%        | 94.2%        | 97.8%        | 94.8%        |              |
| <b>Far Rockaway Branch</b>   | <b>Overall</b>        | <b>95.1%</b>      | <b>96.1%</b> | <b>95.7%</b> | <b>98.3%</b> | <b>96.8%</b> |              |
|  | AM Peak               |                   | 90.9%        | 91.8%        | 96.8%        | 93.0%        |              |
|  | PM Peak               |                   | 92.8%        | 93.3%        | 98.6%        | 93.8%        |              |
|  | <b>Total Peak</b>     |                   | <b>91.7%</b> | <b>92.5%</b> | <b>97.6%</b> | <b>93.4%</b> |              |
|  | Off Peak Weekday      |                   | 96.8%        | 96.1%        | 98.3%        | 97.5%        |              |
|  | Weekend               |                   | 99.7%        | 98.1%        | 99.2%        | 98.6%        |              |
| <b>Huntington Branch</b>   | <b>Overall</b>        | <b>95.1%</b>      | <b>89.4%</b> | <b>89.5%</b> | <b>93.7%</b> | <b>92.6%</b> |              |
|  | AM Peak               |                   | 91.6%        | 91.9%        | 93.6%        | 92.9%        |              |
|  | PM Peak               |                   | 78.6%        | 82.7%        | 86.0%        | 88.1%        |              |
|  | <b>Total Peak</b>     |                   | <b>85.3%</b> | <b>87.5%</b> | <b>90.0%</b> | <b>90.6%</b> |              |
|  | Off Peak Weekday      |                   | 88.7%        | 88.1%        | 94.3%        | 92.0%        |              |
|  | Weekend               |                   | 95.3%        | 93.1%        | 96.8%        | 95.0%        |              |
| <b>Hempstead Branch</b>  | <b>Overall</b>        | <b>95.1%</b>      | <b>95.8%</b> | <b>94.9%</b> | <b>97.4%</b> | <b>96.6%</b> |              |
|  | AM Peak               |                   | 95.2%        | 95.3%        | 96.1%        | 95.3%        |              |
|  | PM Peak               |                   | 90.3%        | 90.7%        | 95.7%        | 94.2%        |              |
|  | <b>Total Peak</b>     |                   | <b>92.9%</b> | <b>93.2%</b> | <b>95.9%</b> | <b>94.8%</b> |              |
|  | Off Peak Weekday      |                   | 95.9%        | 95.0%        | 97.9%        | 96.9%        |              |
|  | Weekend               |                   | 98.7%        | 96.4%        | 98.2%        | 97.7%        |              |
| <b>Long Beach Branch</b>   | <b>Overall</b>        | <b>95.1%</b>      | <b>94.7%</b> | <b>93.7%</b> | <b>96.6%</b> | <b>95.2%</b> |              |
|  | AM Peak               |                   | 95.7%        | 93.7%        | 96.0%        | 93.3%        |              |
|  | PM Peak               |                   | 90.9%        | 90.2%        | 96.4%        | 94.0%        |              |
|  | <b>Total Peak</b>     |                   | <b>93.4%</b> | <b>92.0%</b> | <b>96.2%</b> | <b>93.6%</b> |              |
|  | Off Peak Weekday      |                   | 94.6%        | 93.0%        | 96.7%        | 95.2%        |              |
|  | Weekend               |                   | 97.3%        | 97.1%        | 97.0%        | 97.1%        |              |
| <b>Montauk Branch</b>  | <b>Overall</b>        | <b>95.1%</b>      | <b>93.3%</b> | <b>89.6%</b> | <b>93.4%</b> | <b>90.9%</b> |              |
|  | AM Peak               |                   | 91.9%        | 89.4%        | 89.7%        | 91.9%        |              |
|  | PM Peak               |                   | 88.0%        | 85.0%        | 92.6%        | 88.5%        |              |
|  | <b>Total Peak</b>     |                   | <b>89.9%</b> | <b>87.2%</b> | <b>91.2%</b> | <b>90.2%</b> |              |
|  | Off Peak Weekday      |                   | 95.8%        | 91.4%        | 94.8%        | 93.2%        |              |
|  | Weekend               |                   | 91.9%        | 88.4%        | 92.7%        | 87.1%        |              |
| <b>Oyster Bay Branch</b>   | <b>Overall</b>        | <b>95.1%</b>      | <b>92.7%</b> | <b>92.7%</b> | <b>94.1%</b> | <b>92.9%</b> |              |
|  | AM Peak               |                   | 93.8%        | 93.1%        | 96.9%        | 94.1%        |              |
|  | PM Peak               |                   | 84.1%        | 84.6%        | 87.0%        | 87.0%        |              |
|  | <b>Total Peak</b>     |                   | <b>89.3%</b> | <b>89.2%</b> | <b>92.3%</b> | <b>90.9%</b> |              |
|  | Off Peak Weekday      |                   | 95.9%        | 94.2%        | 95.3%        | 93.3%        |              |
|  | Weekend               |                   | 89.1%        | 94.5%        | 93.7%        | 95.0%        |              |

| Performance Summary  |  | 2014 Data    |               |                | 2013 Data     |                |
|--|--|--------------|---------------|----------------|---------------|----------------|
|  |  | Annual       | YTD thru      |                | YTD thru      |                |
|  |  | Goal         | Oct           | Oct            | Oct           | Oct            |
| <b>Port Jefferson Branch</b>   | <b>Overall</b>   | <b>95.1%</b> | <b>87.6%</b>  | <b>87.9%</b>   | <b>94.6%</b>  | <b>91.5%</b>   |
|  | AM Peak  |              | 85.9%         | 87.2%          | 94.0%         | 91.0%          |
|  | PM Peak  |              | 82.0%         | 82.6%          | 88.8%         | 87.3%          |
|  | <b>Total Peak</b>  |              | <b>84.1%</b>  | <b>85.1%</b>   | <b>91.6%</b>  | <b>89.3%</b>   |
|  | Off Peak Weekday   |              | 87.9%         | 86.1%          | 96.2%         | 91.1%          |
|  | Weekend  |              | 92.5%         | 95.3%          | 95.7%         | 95.5%          |
| <b>Port Washington Branch</b>  | <b>Overall</b>   | <b>95.1%</b> | <b>93.0%</b>  | <b>93.3%</b>   | <b>95.8%</b>  | <b>94.3%</b>   |
|  | AM Peak  |              | 92.8%         | 91.8%          | 93.0%         | 91.1%          |
|  | PM Peak  |              | 92.0%         | 87.5%          | 93.6%         | 90.9%          |
|  | <b>Total Peak</b>  |              | <b>92.4%</b>  | <b>89.6%</b>   | <b>93.3%</b>  | <b>91.0%</b>   |
|  | Off Peak Weekday   |              | 93.4%         | 93.5%          | 96.3%         | 95.1%          |
|  | Weekend  |              | 92.9%         | 97.2%          | 99.4%         | 97.3%          |
| <b>Ronkonkoma Branch</b>   | <b>Overall</b>   | <b>95.1%</b> | <b>90.1%</b>  | <b>90.4%</b>   | <b>92.9%</b>  | <b>91.5%</b>   |
|  | AM Peak  |              | 89.6%         | 89.4%          | 93.0%         | 91.4%          |
|  | PM Peak  |              | 87.2%         | 89.9%          | 95.1%         | 91.9%          |
|  | <b>Total Peak</b>  |              | <b>88.5%</b>  | <b>89.7%</b>   | <b>93.9%</b>  | <b>91.6%</b>   |
|  | Off Peak Weekday   |              | 90.6%         | 90.4%          | 92.4%         | 91.1%          |
|  | Weekend  |              | 91.8%         | 91.4%          | 92.6%         | 92.4%          |
| <b>West Hempstead Branch</b>   | <b>Overall</b>   | <b>95.1%</b> | <b>94.4%</b>  | <b>94.7%</b>   | <b>96.1%</b>  | <b>95.4%</b>   |
|  | AM Peak  |              | 91.3%         | 95.1%          | 94.8%         | 94.3%          |
|  | PM Peak  |              | 88.4%         | 88.4%          | 92.8%         | 90.4%          |
|  | <b>Total Peak</b>  |              | <b>89.7%</b>  | <b>91.4%</b>   | <b>93.7%</b>  | <b>92.2%</b>   |
|  | Off Peak Weekday   |              | 97.0%         | 96.8%          | 97.7%         | 97.3%          |
|  | Weekend  |              | 100.0%        | 86.4%          | 75.0%         | 95.6%          |
| <b>Operating Statistics</b>  | <b>Trains Scheduled</b>  |              | <b>21,033</b> | <b>204,484</b> | <b>20,851</b> | <b>199,863</b> |
|  | <b>Avg. Delay per Late Train (min)</b><br><small>excluding trains canceled or terminated</small> |              | -11.2         | -12.2          | -11.6         | -13.1          |
|  | <b>Trains Over 15 min. Late</b><br><small>excluding trains canceled or terminated</small>        |              | 192           | 2,707          | 176           | 2,405          |
|  | <b>Trains Canceled</b>   |              | 87            | 754            | 29            | 813            |
|  | <b>Trains Terminated</b>   |              | 35            | 451            | 19            | 480            |
|  | <b>Percent of Scheduled Trips Completed</b>  |              | 99.4%         | 99.4%          | 99.8%         | 99.4%          |
| <b>Consist Compliance</b><br><i>(Percent of trains where the number of seats provided was greater than or equal to the required number of seats per loading standards)</i> | AM Peak  |              | 99.4%         |                |               |                |
|  | PM Peak  |              | 98.6%         |                |               |                |
|  | <b>Total Peak</b>  |              | 99.0%         |                |               |                |
|  |  |              |               |                |               |                |



**OPERATING REPORT  
FOR MONTH OF OCTOBER 2014**

| Categories Of Delay                 | September | 2014 Data |                     | 2013 Data |                     | YTD 2013<br>Vs 2014 |
|-------------------------------------|-----------|-----------|---------------------|-----------|---------------------|---------------------|
|                                     |           | October   | YTD Thru<br>October | October   | YTD Thru<br>October |                     |
| <b>Late Train Incidents</b>         |           |           |                     |           |                     |                     |
| <b>National Rail Passenger Corp</b> | 82        | 104       | 1,072               | 71        | 1,742               | (670)               |
| <b>Capital Programs</b>             | 20        | 4         | 289                 | 5         | 287                 | 2                   |
| <b>Engineering</b>                  | 410       | 281       | 2,113               | 203       | 1,657               | 456                 |
| <b>Penn Station Central Control</b> | 13        | 10        | 185                 | 25        | 209                 | (24)                |
| <b>Maintenance of Equipment</b>     | 80        | 127       | 1,379               | 64        | 1,272               | 107                 |
| <b>** Other / Miscellaneous</b>     | 159       | 188       | 2,030               | 111       | 1,743               | 287                 |
| <b>Public</b>                       | 562       | 586       | 6,009               | 357       | 4,175               | 1,834               |
| <b>Transportation</b>               | 38        | 40        | 403                 | 51        | 498                 | (95)                |
| <b>Vandalism</b>                    | 13        | 64        | 170                 | 70        | 233                 | (63)                |
| <b>Weather and Environmental</b>    | 4         | 55        | 2,066               | 46        | 678                 | 1,388               |
| <b>Maintenance of Way (Sched.)</b>  | 31        | 101       | 511                 | 42        | 265                 | 246                 |

\* **Other/Miscellaneous** includes incidents that were a direct result of external factors causing disruption to LIRR operations

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

| Date                   | Day   | DESCRIPTION OF EVENT   | AM Peak |   |   | PM Peak |    |   | Off Peak |    |   | TOTAL      |      |      |
|------------------------|-------|--|---------|---|---|---------|----|---|----------|----|---|------------|------|------|
|                        |       |  | L       | C | T | L       | C  | T | L        | C  | T | Late       | Cxld | Term |
| 10/1                   | Wed   | Yardmaster error   | 10      |   | 1 |         |    |   |          |    | 1 | 10         |      | 2    |
| 10/2                   | Thurs | Motor vehicle struck bridge east of Merillon Avenue            |         |   |   | 15      |    |   | 5        |    |   | 20         |      |      |
| 10/7                   | Tues  | Track circuit failure at Rocky Interlocking                    | 8       | 3 |   |         |    | 2 |          |    |   | 10         | 3    |      |
| 10/8                   | Wed   | Derailment in Babylon Yard                                     |         |   |   | 6       | 2  |   | 7        |    |   | 13         | 2    |      |
| 10/8                   | Wed   | Police activity required at Nostrand Avenue                    |         |   |   |         |    |   | 19       |    | 2 | 19         |      | 2    |
| 10/10                  | Fri   | Train 2013 with equipment trouble at Westbury Station          | 15      | 1 | 1 |         |    |   | 2        |    |   | 17         | 1    | 1    |
| 10/11                  | Sat   | Scheduled track work Shea to Neck Interlocking                 |         |   |   |         |    |   | 14       |    |   | 14         |      |      |
| 10/12                  | Sun   | Scheduled track work Shea to Neck Interlocking                 |         |   |   |         |    |   | 12       |    |   | 12         |      |      |
| 10/13                  | Mon   | Switch trouble at Neck 1 Interlocking                          | 8       | 1 |   |         |    |   | 4        |    |   | 12         | 1    |      |
| 10/14                  | Tues  | Amtrak related switch trouble at JO Interlocking               | 13      |   |   |         |    |   |          |    |   | 13         |      |      |
| 10/14                  | Tues  | Switch trouble at Nassau 2 Interlocking                        |         |   |   | 19      | 3  |   | 21       |    |   | 40         | 3    |      |
| 10/16                  | Thurs | Loss of signal systems in Queens Interlocking                  |         |   |   | 41      | 27 | 1 | 46       | 15 |   | 87         | 42   | 1    |
| 10/17                  | Fri   | Amtrak related signal trouble in C Interlocking                |         |   |   | 6       |    |   | 10       |    |   | 16         |      |      |
| 10/17                  | Fri   | Broken crossing gate at New Hyde Park Road                     | 10      |   |   |         |    |   | 3        |    |   | 13         |      |      |
| 10/18                  | Sat   | Scheduled tract work between Valley Stream and Freeport        |         |   |   |         |    |   | 23       | 3  |   | 23         | 3    |      |
| 10/20                  | Mon   | Signal trouble east of Wood Interlocking                       |         |   |   | 10      |    |   |          |    |   | 10         |      |      |
| 10/22                  | Wed   | Various instances of low adhesion system wide                  |         |   |   | 5       |    |   | 12       |    |   | 17         |      |      |
| 10/22                  | Wed   | Train 1154 with equipment trouble in Jamaica                   |         |   |   | 32      |    |   | 6        |    |   | 38         |      |      |
| 10/28                  | Tues  | Amtrak related track circuit failure at F Interlocking         |         |   |   | 16      | 2  |   | 2        |    |   | 18         | 2    |      |
| 10/28                  | Tues  | Train 2082 struck unauthorized person east of Bethpage Station |         |   |   |         |    | 2 | 2        | 5  | 4 | 2          | 5    | 6    |
| 10/29                  | Wed   | Broken crossing gate west of New Hyde Park Station             |         |   |   | 23      |    |   | 4        |    |   | 27         |      |      |
| 10/30                  | Thurs | Amtrak related signal trouble in C Interlocking                | 18      | 2 | 7 |         |    |   | 6        |    |   | 24         | 2    | 7    |
| 10/30                  | Thurs | Signal trouble at Nassau Interlocking due to vandalism         | 42      | 1 |   |         |    |   | 15       | 6  |   | 57         | 7    |      |
| <b>TOTAL FOR MONTH</b> |       |  | 124     | 8 | 9 | 173     | 34 | 3 | 215      | 29 | 7 | 512        | 71   | 19   |
|                        |       |  |         |   |   |         |    |   |          |    |   | <b>602</b> |      |      |

# Long Island Rail Road

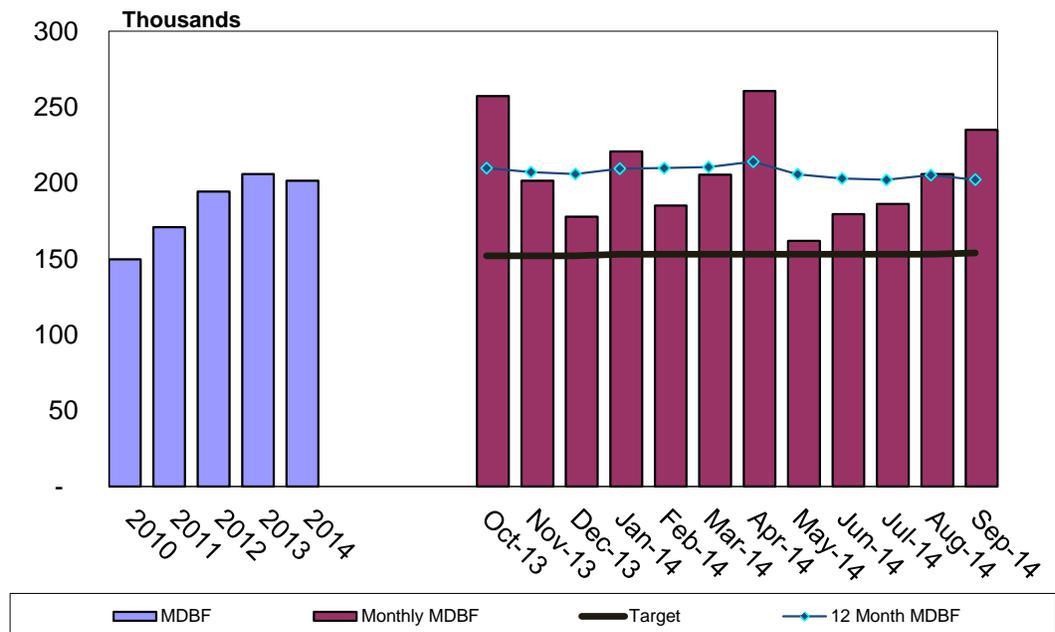
## MEAN DISTANCE BETWEEN FAILURES

|                             | 2014 Data              |                        |                         |                              |  |  |  | 2013 Data                    |  |  |
|-----------------------------|------------------------|------------------------|-------------------------|------------------------------|--|--|--|------------------------------|--|--|
|                             | Equip-<br>ment<br>Type | Total<br>Fleet<br>Size | MDBF<br>Goal<br>(miles) | September<br>MDBF<br>(miles) | September<br>No. of<br>Primary<br>Failures | YTD<br>MDBF thru<br>September<br>(miles) | 12 month<br>MDBF<br>Rolling Avg<br>(miles) | September<br>MDBF<br>(miles) | September<br>No. of<br>Primary<br>Failures | YTD<br>MDBF thru<br>September<br>(miles) |
| <b>Mean</b>                 | M-3                    | 150                    | 55,000                  | 177,799                      | 3  | 100,770                                  | 97,363                                     | 100,935                      | 6  | 92,387                                   |
| <b>Distance</b>             | M-7                    | 836                    | 355,000                 | 641,124                      | 8  | 470,696                                  | 472,293                                    | 805,128                      | 6  | 464,469                                  |
| <b>Between<br/>Failures</b> | DM                     | 21                     | 18,000                  | 24,853                       | 3  | 24,642                                   | 23,970                                     | 76,821                       | 1  | 25,474                                   |
|                             | DE                     | 24                     | 18,000                  | 18,674                       | 5  | 23,694                                   | 24,385                                     | 46,045                       | 2  | 18,025                                   |
|                             | C-3                    | 134                    | 75,000                  | 83,539                       | 9  | 75,424                                   | 78,490                                     | 119,922                      | 6  | 110,910                                  |
|                             | Diesel                 | 179                    | 45,000                  | 54,105                       | 17   | 53,933                                   | 55,179                                     | 98,716                       | 9  | 60,107                                   |
| <b>Fleet</b>                | <b>1,165</b>           | <b>153,000</b>         | <b>235,077</b>          | <b>28</b>                    | <b>200,501</b>                             | <b>202,218</b>                           | <b>301,182</b>                             | <b>21</b>                    | <b>205,313</b>                             |  |

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

### ALL FLEETS Mean Distance Between Failure

2010 - 2014





Standee Report

East Of Jamaica

|                         |                               |                            | 2014 Data        |           |
|-------------------------|-------------------------------|----------------------------|------------------|-----------|
|                         |                               |                            | October          |           |
|                         |                               |                            | AM Peak          | PM Peak   |
| <b>Daily</b>            | <b>Babylon Branch</b>         | Program Standees           | 0                | 0         |
|                         |                               | Add'l Standees             | 0                | 27        |
| Average                 |                               | <b>Total Standees</b>      | <b>0</b>         | <b>27</b> |
|                         |                               | <b>Far Rockaway Branch</b> | Program Standees | 0         |
|                         |                               | Add'l Standees             | 0                | 0         |
|                         |                               | <b>Total Standees</b>      | <b>0</b>         | <b>0</b>  |
|                         | <b>Huntington Branch</b>      | Program Standees           | 60               | 0         |
|                         |                               | Add'l Standees             | 2                | 3         |
|                         |                               | <b>Total Standees</b>      | <b>62</b>        | <b>3</b>  |
|                         | <b>Hempstead Branch</b>       | Program Standees           | 0                | 0         |
|                         |                               | Add'l Standees             | 1                | 0         |
|                         |                               | <b>Total Standees</b>      | <b>1</b>         | <b>0</b>  |
|                         | <b>Long Beach Branch</b>      | Program Standees           | 0                | 0         |
|                         |                               | Add'l Standees             | 0                | 0         |
|                         |                               | <b>Total Standees</b>      | <b>0</b>         | <b>0</b>  |
|                         | <b>Montauk Branch</b>         | Program Standees           | 0                | 0         |
|                         |                               | Add'l Standees             | 1                | 0         |
|                         |                               | <b>Total Standees</b>      | <b>1</b>         | <b>0</b>  |
|                         | <b>Oyster Bay Branch</b>      | Program Standees           | 0                | 0         |
|                         |                               | Add'l Standees             | 5                | 0         |
|                         |                               | <b>Total Standees</b>      | <b>5</b>         | <b>0</b>  |
|                         | <b>Port Jefferson Branch</b>  | Program Standees           | 0                | 0         |
|                         |                               | Add'l Standees             | 2                | 2         |
|                         |                               | <b>Total Standees</b>      | <b>2</b>         | <b>2</b>  |
|                         | <b>Port Washington Branch</b> | Program Standees           | 0                | 0         |
|                         |                               | Add'l Standees             | 14               | 39        |
|                         |                               | <b>Total Standees</b>      | <b>14</b>        | <b>39</b> |
|                         | <b>Ronkonkoma Branch</b>      | Program Standees           | 0                | 0         |
|                         |                               | Add'l Standees             | 4                | 10        |
|                         |                               | <b>Total Standees</b>      | <b>4</b>         | <b>10</b> |
|                         | <b>West Hempstead Branch</b>  | Program Standees           | 0                | 0         |
|                         |                               | Add'l Standees             | 0                | 0         |
|                         |                               | <b>Total Standees</b>      | <b>0</b>         | <b>0</b>  |
| <b>System Wide PEAK</b> |                               |                            | <b>88</b>        | <b>80</b> |

**Definitions**

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

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

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

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

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



Standee Report

West Of Jamaica

|                      |                               | 2014 Data               |           |            |
|----------------------|-------------------------------|-------------------------|-----------|------------|
|                      |                               | October                 |           |            |
|                      |                               | AM Peak                 | PM Peak   |            |
| <b>Daily Average</b> | <b>Babylon Branch</b>         | Program Standees        | 0         | 0          |
|                      |                               | Add'l Standees          | 3         | 36         |
|                      |                               | <b>Total Standees</b>   | <b>3</b>  | <b>36</b>  |
|                      | <b>Far Rockaway Branch</b>    | Program Standees        | 0         | 0          |
|                      |                               | Add'l Standees          | 2         | 0          |
|                      |                               | <b>Total Standees</b>   | <b>2</b>  | <b>0</b>   |
|                      | <b>Huntington Branch</b>      | Program Standees        | 0         | 0          |
|                      |                               | Add'l Standees          | 4         | 28         |
|                      |                               | <b>Total Standees</b>   | <b>4</b>  | <b>28</b>  |
|                      | <b>Hempstead Branch</b>       | Program Standees        | 0         | 0          |
|                      |                               | Add'l Standees          | 1         | 14         |
|                      |                               | <b>Total Standees</b>   | <b>1</b>  | <b>14</b>  |
|                      | <b>Long Beach Branch</b>      | Program Standees        | 18        | 0          |
|                      |                               | Add'l Standees          | 0         | 0          |
|                      |                               | <b>Total Standees</b>   | <b>18</b> | <b>0</b>   |
|                      | <b>Montauk Branch</b>         | Program Standees        | 0         | 0          |
|                      |                               | Add'l Standees          | 0         | 0          |
|                      |                               | <b>Total Standees</b>   | <b>0</b>  | <b>0</b>   |
|                      | <b>Oyster Bay Branch</b>      | Program Standees        | 0         | 0          |
|                      |                               | Add'l Standees          | 0         | 0          |
|                      |                               | <b>Total Standees</b>   | <b>0</b>  | <b>0</b>   |
|                      | <b>Port Jefferson Branch</b>  | Program Standees        | 0         | 0          |
|                      |                               | Add'l Standees          | 0         | 0          |
|                      |                               | <b>Total Standees</b>   | <b>0</b>  | <b>0</b>   |
|                      | <b>Port Washington Branch</b> | Program Standees        | 0         | 0          |
|                      |                               | Add'l Standees          | 14        | 39         |
|                      |                               | <b>Total Standees</b>   | <b>14</b> | <b>39</b>  |
|                      | <b>Ronkonkoma Branch</b>      | Program Standees        | 0         | 0          |
|                      |                               | Add'l Standees          | 0         | 9          |
|                      |                               | <b>Total Standees</b>   | <b>0</b>  | <b>9</b>   |
|                      | <b>West Hempstead Branch</b>  | Program Standees        | 0         | 0          |
|                      |                               | Add'l Standees          | 14        | 0          |
|                      |                               | <b>Total Standees</b>   | <b>14</b> | <b>0</b>   |
|                      |                               | <b>System Wide PEAK</b> | <b>55</b> | <b>126</b> |

**Definitions**

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

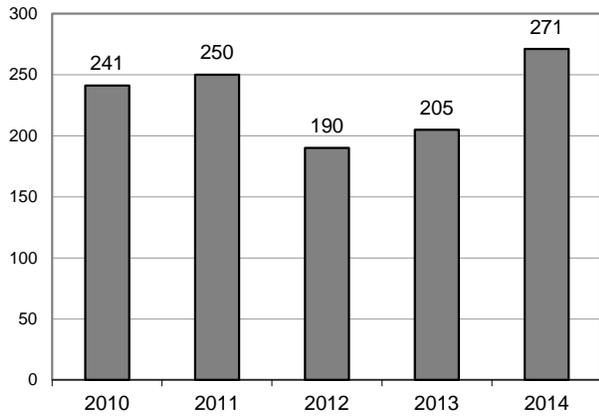
"Program Standees" is the average number of customers in excess of programmed seating capacity.

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

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

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

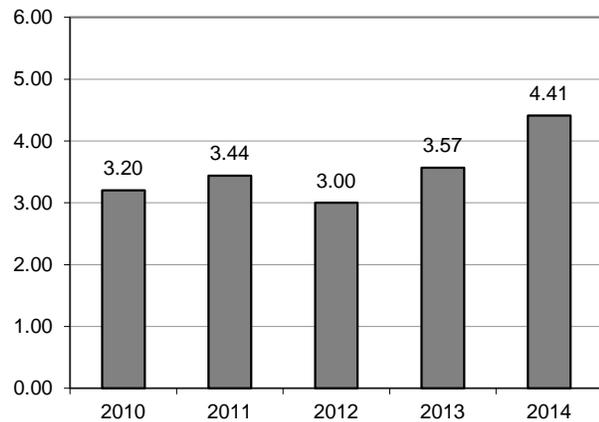
## MTA Long Island Rail Road Summary of Employee Injuries through September 2014



Total Employee Injuries

| Year | Total |
|------|-------|
| 2010 | 241   |
| 2011 | 250   |
| 2012 | 190   |
| 2013 | 205   |
| 2014 | 271   |

% change from last year: 32.2%



Employee FRA Reportable Injuries

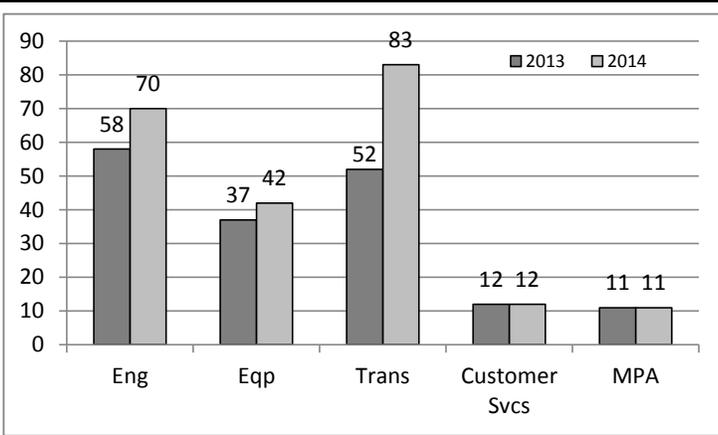
| Year | Total | FRA FI* |
|------|-------|---------|
| 2010 | 159   | 3.20    |
| 2011 | 165   | 3.44    |
| 2012 | 145   | 3.00    |
| 2013 | 170   | 3.57    |
| 2014 | 218   | 4.41    |

% change from last year: 23.5%

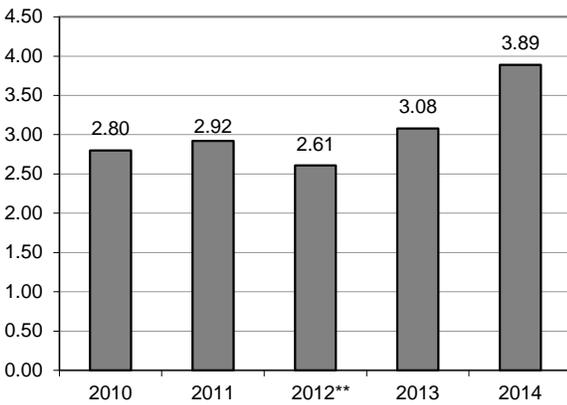
\* Federal Railroad Administration Frequency Index

\* - Injuries per 200,000 hours worked

## MTA Long Island Rail Road Summary of Employee Injuries through September 2014



| Department     | 2013 | 2014 | %<br>Change |
|----------------|------|------|-------------|
| Engineering    | 58   | 70   | 21%         |
| Equipment      | 37   | 42   | 14%         |
| Transportation | 52   | 83   | 60%         |
| Customer Svcs  | 12   | 12   | 0%          |
| MPA            | 11   | 11   | 0%          |



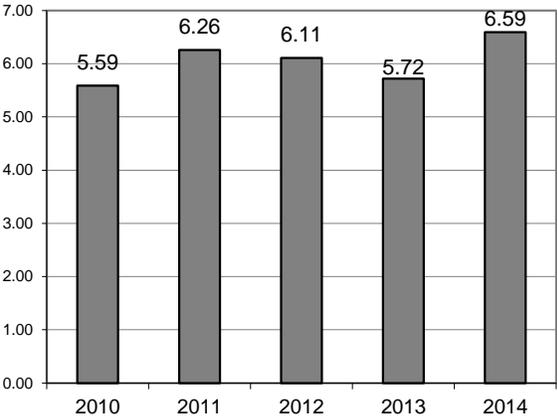
| Year   | LT  | LT FI* | LT & RD FI* |
|--------|-----|--------|-------------|
| 2010   | 136 | 2.74   | 2.80        |
| 2011   | 138 | 2.88   | 2.92        |
| 2012** | 126 | 2.61   | 2.61        |
| 2013   | 147 | 3.08   | 3.08        |
| 2014   | 192 | 3.89   | 3.89        |

% change from last year: 26.3%

\*\*Please note: Prior years data includes Restricted Duty

\* - Injuries per 200,000 hours worked

## MTA Long Island Rail Road Summary of Customer Injuries through September 2014

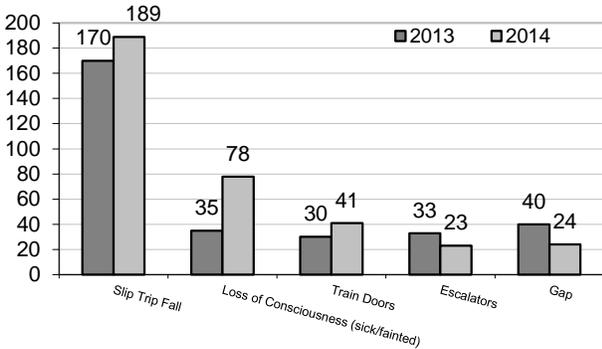


Total Customer Injuries

| Year | Total | FI** |
|------|-------|------|
| 2010 | 342   | 5.59 |
| 2011 | 376   | 6.26 |
| 2012 | 383   | 6.11 |
| 2013 | 355   | 5.72 |
| 2014 | 421   | 6.59 |

% change from last year: 15.2%

\*\*Injuries per 1,000,000 rides

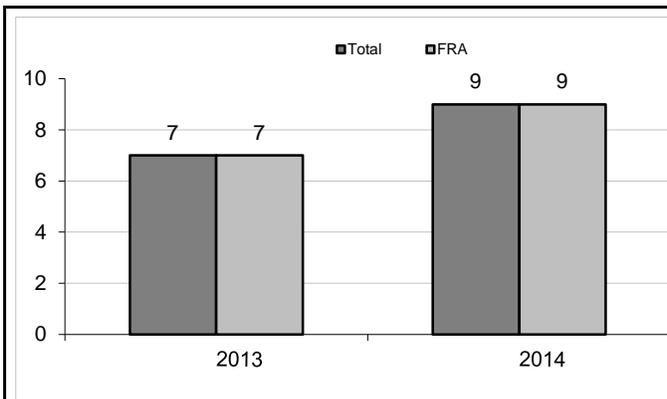


Top 5 Customer Injuries by Type

| Year | Slip Trip Fall | Loss of Consciousness (sick/fainted) | Train Doors | Escalators | Gap |
|------|----------------|--------------------------------------|-------------|------------|-----|
| 2013 | 170            | 35                                   | 30          | 33         | 40  |
| 2014 | 189            | 78                                   | 41          | 23         | 24  |

MTA Long Island Rail Road

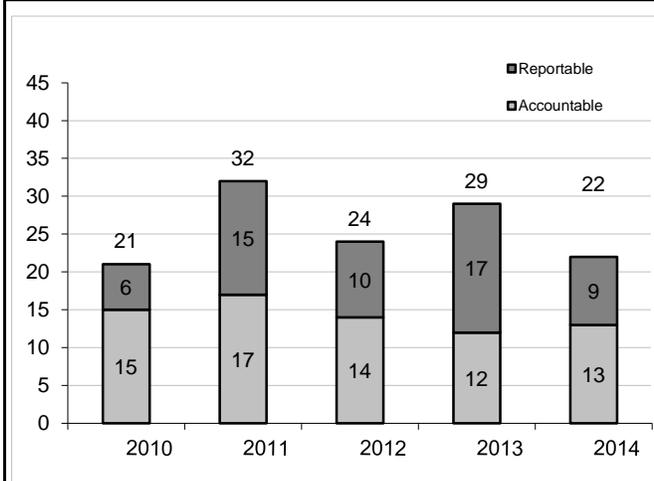
Summary of Contractor Injuries, Train Accidents & T.R.A.C.K.S.  
through September 2014



Contractor Injuries

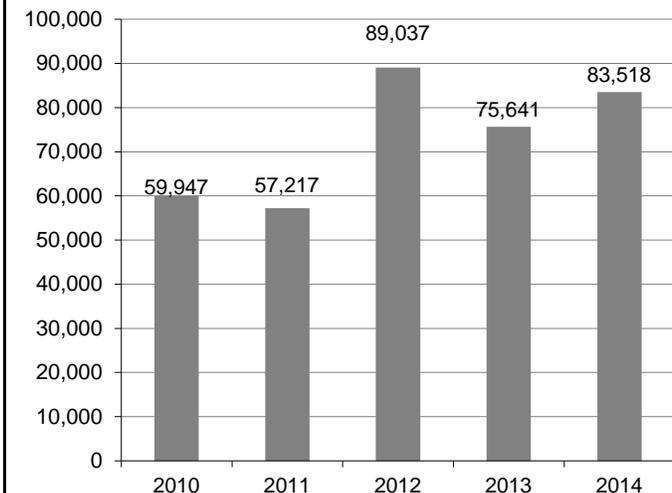
| Year | Total | FRA Rpt. |
|------|-------|----------|
| 2013 | 7     | 7        |
| 2014 | 9     | 9        |

% change from last year: 28.6%



Train Accidents

| Year | Accountable | Reportable |
|------|-------------|------------|
| 2010 | 15          | 6          |
| 2011 | 17          | 15         |
| 2012 | 14          | 10         |
| 2013 | 12          | 17         |
| 2014 | 13          | 9          |



Community Education and Outreach  
(Including T.R.A.C.K.S.)  
2010 - 2014 Year to Date January - September

Total Participants

| Year | Total  |
|------|--------|
| 2010 | 59,947 |
| 2011 | 57,217 |
| 2012 | 89,037 |
| 2013 | 75,641 |
| 2014 | 83,518 |

# Memorandum



## Long Island Rail Road

**Date:** November 2014

**To:** Members of the LIRR Operating Committee

**From:** Patrick A. Nowakowski, President

**Re:** Enhanced Safety Action Update

This is to update you on the LIRR's comprehensive efforts to enhance safety throughout our system:

- Our next Corporate Quarterly Safety Stand-Down is scheduled for Monday, November 24<sup>th</sup>. The Stand-Down will be held in conjunction with a Safety, Health, and Wellness Fair.
- As required for implementation of the Confidential Close Call Reporting System Program, the Federal Railroad Administration (FRA) published our Request for Waivers in the Federal Register on October 20<sup>th</sup>. The public comment period closes December 4<sup>th</sup>. The Implementing Memorandum of Understanding is being finalized with our labor organizations.
- The following progress was made on speed compliance enhancements and Positive Train Control (PTC):

| Action Item               | Status  |
|---------------------------|---|
| <b>Alerters</b>           | M3 software installation has begun. Ansaldo will supply a diesel software revision in November. The General Notice was issued and Maintenance Instructions are complete and being distributed.  |
| <b>Speed Compliance</b>   | For the period 10/1/14 through 10/31/14, there were 122 Radar Observations. 74 different LIRR Engineers and 4 NYAR Engineers were observed. Nineteen event recorder downloads were analyzed. All results indicate compliance.<br><i>Please note:</i> There is a seven day window for radar observations to be entered into our Efficiency Testing System. Numbers are subject to change.          |
| <b>Emergency Order 29</b> | <ul style="list-style-type: none"><li>▪ All critical curves were completed as scheduled by 3/1/14.</li><li>▪ Work is progressing on identified tangent track segments. Six of the eight identified segments are completed. The final two are in progress.</li></ul>   |
| <b>PTC</b>                | The Systems Integrator (SI) is progressing Preliminary Design. Radio Frequency and some PTC design elements are lagging. Additional resources are being obtained by the SI as part of mitigation. Current communications subcontractor/supplier scope is being significantly reduced and will be performed by other vendors. Pilot implementation and improved delivery rates remain on schedule. |



# **Long Island Rail Road**

## **Monthly Financial Report**

**September 2014**

# MTA LONG ISLAND RAIL ROAD

## September Ridership and Financial Report

### Executive Summary

#### Ridership

- During the month of September, total ridership was 7.3 million, which was 5.0% higher than September 2013 (adjusted for same number of work days) and 2.6% above the forecast.
  - Ridership through September was 63.9 million. This was 3.0% higher than 2013 (adjusted for same number of calendar work days) and 1.1% higher than the 2014 forecast.
  - Through September 2014, commutation ridership was 2.5% higher than 2013 (work day adjusted) and 0.6% higher than the 2014 forecast.
  - Through September 2014, non-commutation ridership was 3.6% higher than 2013 and 1.7% above the forecast.
- 

#### Revenues

- Farebox revenue through September totaling \$491.7 million was \$4.7 million above the forecast due to higher ridership
- Capital & Other Revenue of \$236.9 million was \$1.4 million higher than forecast due to retroactive capital and other reimbursements associated with retroactive wage adjustments, partially offset by vacant positions and timing of project activity.
- In summary, total LIRR revenue of \$728.6 million was \$6.1 million higher than the forecast.

#### Expenses

- Through September, total expenses of \$1,611.0 million were \$64.3 million less than forecast.
- Straight-time payroll spending was \$4.4 million less than forecast due to the existence of vacant positions. At the end of September, 201 of 7,054 positions were vacant. These vacancies consisted primarily of management/supervisory.
- Year-to-date overtime hours worked was 4.1%, or 70,700 hours higher than the forecast primarily as a result of reimbursable, which was 66,625 hours over forecast, and maintenance, which were 42,025 over forecast. This was partially offset by lower weather-related, which was 36,470 below forecast, and unscheduled service, which were 11,900 below forecast.
- Year-to-date overtime hours increased by 14.1% in 2014 compared to 2013 due to weather, maintenance and reimbursable overtime.
- Other variances are primarily timing related.

#### Financial Performance Measures

- Through September, the Adjusted Farebox Operating Ratio was 53.2%, which is favorable to forecast due to lower expenses and higher revenue.
- Through September, the Adjusted Cost per Passenger was \$15.47, which is lower than forecast due to lower expenses and higher ridership.
- Through September, the Revenue per Passenger was \$7.72, which is slightly lower than forecast.

**FINANCIAL REPORT**  
**(\$ In Millions)**  
**For the Month Ending September 30, 2014**

**REVENUE**

Year-to-date September **Total Revenues** (including Capital and Other Reimbursements) of \$728.6 were \$6.1 million or 0.8% favorable to forecast. The month of September of \$98.7 was favorable to forecast by \$12.2 million or 14.1%.

- **Y-T-D Farebox Revenues** were \$4.7 favorable to forecast. The month was \$0.6 favorable to forecast due to higher ridership, partially offset by lower yield per passenger.
- **Y-T-D Other Operating Revenues** were \$(0.4) unfavorable to forecast. The month was \$(0.4) unfavorable to forecast due to timing.
- **Y-T-D Capital and Other Reimbursements** were \$1.8 favorable to forecast. The month was \$11.9 favorable due to retroactive wage adjustments being allocated to Reimbursable.

**OPERATING EXPENSES**

Year-to-date September **Total Expenses** (including depreciation and other) of \$1,611.0 were favorable to the forecast by \$64.3 or 3.8%. The total expenses for the month of \$193.1 were unfavorable to forecast by \$(9.5) or 5.1%.

**Labor Expenses**, \$15.3 favorable Y-T-D; \$19.7 unfavorable for the month.

- **Payroll**, \$4.4 favorable Y-T-D; \$(12.3) unfavorable for the month (primarily additional retro wage rate accruals, partially offset by vacant positions).
- **Overtime**, \$(7.0) unfavorable Y-T-D; \$(4.6) unfavorable for the month (primarily higher accrual for retro wage adjustment, higher right-of-way maintenance and vacancy/absentee coverage, partially offset by lower weather-related overtime and rolling stock maintenance overtime).
- **Health & Welfare**, \$1.5 favorable Y-T-D; \$0.3 favorable for the month (vacant positions).
- **OPEB Current Payment**, \$1.2 favorable Y-T-D; \$0.2 favorable for the month (fewer retirees/beneficiaries).
- **Other Fringe**, \$15.2 favorable Y-T-D; \$(3.4) unfavorable for the month (higher FELA Indemnity payments).

**Non-Labor Expenses**, \$45.5 favorable Y-T-D; \$9.3 favorable for the month.

- **Electric Power**, \$0.1 favorable Y-T-D; \$0.5 favorable for the month (lower rates and consumption).
- **Fuel**, \$0.8 favorable Y-T-D; \$0.2 favorable for the month (primarily lower consumption).
- **Insurance**, \$0.7 favorable Y-T-D; \$0.1 favorable for the month (Force Account Insurance).
- **Claims**, \$(0.3) unfavorable Y-T-D; \$(0.2) unfavorable for the month (timing).
- **Maintenance and Other Operating Contracts**, \$8.2 favorable Y-T-D; \$1.2 favorable for the month (primarily timing of security related expenses, communications, non-revenue vehicle maintenance and general maintenance).
- **Professional Services**, \$3.2 favorable Y-T-D; \$1.5 favorable for the month (primarily timing of IT software, hardware, maintenance and data charges, lower outside services and MTA chargebacks).
- **Materials and Supplies**, \$28.9 favorable Y-T-D; \$4.9 favorable for the month (primarily timing of project activity, delayed rolling stock modifications and lower running repair).
- **Other Business Expenses**, \$3.9 favorable Y-T-D; \$1.1 favorable for the month (primarily prior period accrual reversal for Superstorm Sandy expenses not incurred).

**Depreciation and Other**, \$3.5 favorable Y-T-D; \$1.0 favorable for the month (favorable depreciation).

**FAREBOX OPERATING RATIO**

The year-to-date Farebox Operating Ratio was 44.1%, 0.2 percentage points above year-to-date August. The Farebox Operating Ratio for the month of September of 46.1% was 1.8 percentage points above the forecast resulting from lower expenses and higher revenue. The adjusted year-to-date Farebox Operating Ratio was 53.2%. The adjusted Farebox Operating Ratio reflects the removal of the UAAL associated with the LIRR's closed pension plan and OPEB retiree expenses and the inclusion of Other Operating Revenue to reflect operational actions at the Rail Road.

TABLE 1

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST**  
**ACCRUAL STATEMENT of OPERATIONS by CATEGORY**  
**September 2014**  
(\$ in millions)

|  | Nonreimbursable      |                   |                            |              | Reimbursable         |                 |                            |               | Total                |                   |                            |               |
|--|----------------------|-------------------|----------------------------|--------------|----------------------|-----------------|----------------------------|---------------|----------------------|-------------------|----------------------------|---------------|
|  | Mid-Year<br>Forecast | Actual            | Favorable<br>(Unfavorable) |              | Mid-Year<br>Forecast | Actual          | Favorable<br>(Unfavorable) |               | Mid-Year<br>Forecast | Actual            | Favorable<br>(Unfavorable) |               |
|  |                      |                   | Variance                   | Percent      |                      |                 | Variance                   | Percent       |                      |                   | Variance                   | Percent       |
| <b>Revenue</b>   |                      |                   |                            |              |                      |                 |                            |               |                      |                   |                            |               |
| Farebox Revenue  | \$55.356             | \$55.978          | \$0.622                    | 1.1          | \$0.000              | \$0.000         | \$0.000                    | -             | \$55.356             | \$55.978          | \$0.622                    | 1.1           |
| Vehicle Toll Revenue   | 0.000                | 0.000             | 0.000                      | -            | 0.000                | 0.000           | 0.000                      | -             | 0.000                | 0.000             | 0.000                      | -             |
| Other Operating Revenue  | 3.556                | 3.184             | (0.372)                    | (10.5)       | 0.000                | 0.000           | 0.000                      | -             | 3.556                | 3.184             | (0.372)                    | (10.5)        |
| Capital & Other Reimbursements   | 0.000                | 0.000             | 0.000                      | -            | 27.634               | 39.578          | 11.944                     | 43.2          | 27.634               | 39.578            | 11.944                     | 43.2          |
| <b>Total Revenue</b>   | <b>\$58.912</b>      | <b>\$59.162</b>   | <b>\$0.250</b>             | <b>0.4</b>   | <b>\$27.634</b>      | <b>\$39.578</b> | <b>\$11.944</b>            | <b>43.2</b>   | <b>\$86.546</b>      | <b>\$98.740</b>   | <b>\$12.194</b>            | <b>14.1</b>   |
| <b>Expenses</b>  |                      |                   |                            |              |                      |                 |                            |               |                      |                   |                            |               |
| <i>Labor:</i>  |                      |                   |                            |              |                      |                 |                            |               |                      |                   |                            |               |
| Payroll  | \$40.072             | \$44.871          | (\$4.799)                  | (12.0)       | \$9.518              | \$16.982        | (\$7.464)                  | (78.4)        | \$49.590             | \$61.853          | (\$12.263)                 | (24.7)        |
| Overtime   | 9.122                | 10.223            | (1.101)                    | (12.1)       | 1.636                | 5.089           | (3.453)                    | *             | 10.758               | 15.312            | (4.554)                    | (42.3)        |
| Health and Welfare   | 7.893                | 7.465             | 0.428                      | 5.4          | 1.685                | 1.802           | (0.117)                    | (6.9)         | 9.578                | 9.267             | 0.311                      | 3.2           |
| OPEB Current Payment   | 4.905                | 4.708             | 0.197                      | 4.0          | 0.000                | 0.000           | 0.000                      | -             | 4.905                | 4.708             | 0.197                      | 4.0           |
| Pensions   | 14.130               | 13.400            | 0.730                      | 5.2          | 2.441                | 3.171           | (0.730)                    | (29.9)        | 16.571               | 16.572            | (0.000)                    | (0.0)         |
| Other Fringe Benefits  | 10.428               | 11.935            | (1.507)                    | (14.5)       | 2.030                | 3.930           | (1.901)                    | (93.6)        | 12.458               | 15.866            | (3.408)                    | (27.4)        |
| Reimbursable Overhead  | (3.344)              | (2.889)           | (0.455)                    | (13.6)       | 3.344                | 2.889           | 0.455                      | 13.6          | 0.000                | 0.000             | 0.000                      | -             |
| <b>Total Labor Expenses</b>  | <b>\$83.206</b>      | <b>\$89.713</b>   | <b>(\$6.507)</b>           | <b>(7.8)</b> | <b>\$20.655</b>      | <b>\$33.865</b> | <b>(\$13.210)</b>          | <b>(64.0)</b> | <b>\$103.861</b>     | <b>\$123.578</b>  | <b>(\$19.717)</b>          | <b>(19.0)</b> |
| <i>Non-Labor:</i>  |                      |                   |                            |              |                      |                 |                            |               |                      |                   |                            |               |
| Electric Power   | \$9.483              | \$8.964           | \$0.519                    | 5.5          | \$0.062              | \$0.050         | \$0.012                    | 19.3          | \$9.545              | \$9.014           | \$0.530                    | 5.6           |
| Fuel   | 2.456                | 2.214             | 0.242                      | 9.8          | 0.000                | 0.000           | 0.000                      | -             | 2.456                | 2.214             | 0.242                      | 9.8           |
| Insurance  | 1.952                | 1.946             | 0.006                      | 0.3          | 0.608                | 0.479           | 0.129                      | 21.3          | 2.560                | 2.424             | 0.136                      | 5.3           |
| Claims   | 0.371                | 0.613             | (0.242)                    | (65.3)       | 0.000                | 0.000           | 0.000                      | -             | 0.371                | 0.613             | (0.242)                    | (65.3)        |
| Paratransit Service Contracts  | 0.000                | 0.000             | 0.000                      | -            | 0.000                | 0.000           | 0.000                      | -             | 0.000                | 0.000             | 0.000                      | -             |
| Maintenance and Other Operating Contracts                                      | 6.633                | 5.482             | 1.151                      | 17.4         | 1.210                | 1.189           | 0.021                      | 1.8           | 7.843                | 6.671             | 1.173                      | 15.0          |
| Professional Service Contracts   | 3.896                | 2.392             | 1.504                      | 38.6         | 0.353                | 0.404           | (0.052)                    | (14.6)        | 4.249                | 2.797             | 1.452                      | 34.2          |
| Materials & Supplies   | 12.851               | 9.173             | 3.678                      | 28.6         | 4.720                | 3.490           | 1.230                      | 26.1          | 17.571               | 12.663            | 4.908                      | 27.9          |
| Other Business Expenses  | 1.500                | 0.341             | 1.159                      | 77.2         | 0.026                | 0.101           | (0.075)                    | *             | 1.526                | 0.442             | 1.083                      | 71.0          |
| <b>Total Non-Labor Expenses</b>  | <b>\$39.142</b>      | <b>\$31.126</b>   | <b>\$8.016</b>             | <b>20.5</b>  | <b>\$6.979</b>       | <b>\$5.713</b>  | <b>\$1.266</b>             | <b>18.1</b>   | <b>\$46.121</b>      | <b>\$36.839</b>   | <b>\$9.282</b>             | <b>20.1</b>   |
| <i>Other Expense Adjustments:</i>  |                      |                   |                            |              |                      |                 |                            |               |                      |                   |                            |               |
| Other  | \$0.000              | \$0.000           | \$0.000                    | -            | \$0.000              | \$0.000         | \$0.000                    | -             | \$0.000              | \$0.000           | \$0.000                    | -             |
| <b>Total Other Expense Adjustments</b>   | <b>\$0.000</b>       | <b>\$0.000</b>    | <b>\$0.000</b>             | <b>-</b>     | <b>\$0.000</b>       | <b>\$0.000</b>  | <b>\$0.000</b>             | <b>-</b>      | <b>\$0.000</b>       | <b>\$0.000</b>    | <b>\$0.000</b>             | <b>-</b>      |
| <b>Total Expenses before Depreciation &amp; Other Post Employment Benefits</b> | <b>\$122.348</b>     | <b>\$120.839</b>  | <b>\$1.509</b>             | <b>1.2</b>   | <b>\$27.634</b>      | <b>\$39.578</b> | <b>(\$11.944)</b>          | <b>(43.2)</b> | <b>\$149.982</b>     | <b>\$160.417</b>  | <b>(\$10.435)</b>          | <b>(7.0)</b>  |
| Depreciation   | \$27.749             | \$26.204          | \$1.545                    | 5.6          | \$0.000              | \$0.000         | \$0.000                    | -             | \$27.749             | \$26.204          | \$1.545                    | 5.6           |
| Other Post Employment Benefits   | 5.765                | 5.857             | (0.092)                    | (1.6)        | 0.000                | 0.000           | 0.000                      | -             | \$5.765              | 5.857             | (0.092)                    | (1.6)         |
| Environmental Remediation  | 0.167                | 0.637             | (0.470)                    | *            | 0.000                | 0.000           | 0.000                      | -             | \$0.167              | 0.637             | (0.470)                    | *             |
| <b>Total Expenses</b>  | <b>\$156.029</b>     | <b>\$153.537</b>  | <b>\$2.492</b>             | <b>1.6</b>   | <b>\$27.634</b>      | <b>\$39.578</b> | <b>(\$11.944)</b>          | <b>(43.2)</b> | <b>\$183.663</b>     | <b>\$193.115</b>  | <b>(\$9.452)</b>           | <b>(5.1)</b>  |
| <b>Net Surplus/(Deficit)</b>   | <b>(\$97.117)</b>    | <b>(\$94.375)</b> | <b>\$2.742</b>             | <b>2.8</b>   | <b>\$0.000</b>       | <b>\$0.000</b>  | <b>\$0.000</b>             | <b>-</b>      | <b>(\$97.117)</b>    | <b>(\$94.375)</b> | <b>\$2.742</b>             | <b>2.8</b>    |
| <i>Cash Conversion Adjustments</i>   |                      |                   |                            |              |                      |                 |                            |               |                      |                   |                            |               |
| Depreciation   | \$27.749             | \$26.204          | (\$1.545)                  | (5.6)        | \$0.000              | \$0.000         | \$0.000                    | -             | \$27.749             | \$26.204          | (\$1.545)                  | (5.6)         |
| Operating/Capital  | (2.947)              | (1.027)           | 1.920                      | 65.2         | 0.000                | 0.000           | 0.000                      | -             | (2.947)              | (1.027)           | 1.920                      | 65.2          |
| Other Cash Adjustments   | 21.779               | 39.225            | 17.445                     | 80.1         | 0.000                | 0.000           | 0.000                      | -             | 21.779               | 39.225            | 17.445                     | 80.1          |
| <b>Total Cash Conversion Adjustments</b>                                       | <b>\$46.582</b>      | <b>\$64.401</b>   | <b>\$17.820</b>            | <b>38.3</b>  | <b>\$0.000</b>       | <b>\$0.000</b>  | <b>\$0.000</b>             | <b>-</b>      | <b>\$46.582</b>      | <b>\$64.401</b>   | <b>\$17.820</b>            | <b>38.3</b>   |
| <b>Net Cash Surplus/(Deficit)</b>  | <b>(\$50.535)</b>    | <b>(\$29.973)</b> | <b>\$20.562</b>            | <b>40.7</b>  | <b>\$0.000</b>       | <b>\$0.000</b>  | <b>\$0.000</b>             | <b>-</b>      | <b>(\$50.535)</b>    | <b>(\$29.973)</b> | <b>\$20.562</b>            | <b>40.7</b>   |

TABLE 2

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST**  
**ACCRUAL STATEMENT of OPERATIONS by CATEGORY**  
**September Year-To-Date**  
(\$ in millions)

|  | Nonreimbursable    |                    |                                  |              | Reimbursable      |                  |                                  |               | Total              |                    |                                  |              |
|--|--------------------|--------------------|----------------------------------|--------------|-------------------|------------------|----------------------------------|---------------|--------------------|--------------------|----------------------------------|--------------|
|  | Mid-Year Forecast  | Actual             | Favorable (Unfavorable) Variance | Percent      | Mid-Year Forecast | Actual           | Favorable (Unfavorable) Variance | Percent       | Mid-Year Forecast  | Actual             | Favorable (Unfavorable) Variance | Percent      |
| <b>Revenue</b>   |                    |                    |                                  |              |                   |                  |                                  |               |                    |                    |                                  |              |
| Farebox Revenue  | \$487.042          | \$491.734          | \$4.691                          | 1.0          | \$0.000           | \$0.000          | \$0.000                          | -             | \$487.042          | \$491.734          | \$4.691                          | 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  | 35.061             | 34.707             | (0.354)                          | (1.0)        | 0.000             | 0.000            | 0.000                            | -             | 35.061             | 34.707             | (0.354)                          | (1.0)        |
| Capital & Other Reimbursements   | 0.000              | 0.000              | 0.000                            | -            | 200.409           | 202.166          | 1.757                            | 0.9           | 200.409            | 202.166            | 1.757                            | 0.9          |
| <b>Total Revenue</b>   | <b>\$522.103</b>   | <b>\$526.440</b>   | <b>\$4.337</b>                   | <b>0.8</b>   | <b>\$200.409</b>  | <b>\$202.166</b> | <b>\$1.757</b>                   | <b>0.9</b>    | <b>\$722.512</b>   | <b>\$728.606</b>   | <b>\$6.094</b>                   | <b>0.8</b>   |
| <b>Expenses</b>  |                    |                    |                                  |              |                   |                  |                                  |               |                    |                    |                                  |              |
| <i>Labor:</i>  |                    |                    |                                  |              |                   |                  |                                  |               |                    |                    |                                  |              |
| Payroll  | \$429.021          | \$422.372          | \$6.649                          | 1.5          | \$63.966          | \$66.173         | (\$2.207)                        | (3.4)         | \$492.987          | \$488.545          | \$4.442                          | 0.9          |
| Overtime   | 97.985             | 98.076             | (0.091)                          | (0.1)        | 12.910            | 19.824           | (6.914)                          | (53.6)        | 110.895            | 117.899            | (7.005)                          | (6.3)        |
| Health and Welfare   | 72.602             | 70.248             | 2.354                            | 3.2          | 11.977            | 12.875           | (0.898)                          | (7.5)         | 84.579             | 83.123             | 1.456                            | 1.7          |
| OPEB Current Payment   | 43.848             | 42.655             | 1.193                            | 2.7          | 0.000             | 0.000            | 0.000                            | -             | 43.848             | 42.655             | 1.193                            | 2.7          |
| Pensions   | 131.059            | 127.046            | 4.013                            | 3.1          | 18.084            | 22.097           | (4.013)                          | (22.2)        | 149.143            | 149.144            | (0.000)                          | 0.0          |
| Other Fringe Benefits  | 111.297            | 95.055             | 16.242                           | 14.6         | 13.662            | 14.707           | (1.045)                          | (7.7)         | 124.959            | 109.762            | 15.197                           | 12.2         |
| Reimbursable Overhead  | (20.662)           | (20.123)           | (0.539)                          | (2.6)        | 20.662            | 20.123           | 0.539                            | 2.6           | 0.000              | 0.000              | 0.000                            | -            |
| <b>Total Labor Expenses</b>  | <b>\$865.150</b>   | <b>\$835.329</b>   | <b>\$29.821</b>                  | <b>3.4</b>   | <b>\$141.262</b>  | <b>\$155.799</b> | <b>(\$14.537)</b>                | <b>(10.3)</b> | <b>\$1,006.412</b> | <b>\$991.128</b>   | <b>\$15.284</b>                  | <b>1.5</b>   |
| <i>Non-Labor:</i>  |                    |                    |                                  |              |                   |                  |                                  |               |                    |                    |                                  |              |
| Electric Power   | \$81.256           | \$81.254           | \$0.002                          | 0.0          | \$0.395           | \$0.321          | \$0.073                          | 18.6          | \$81.651           | \$81.575           | \$0.076                          | 0.1          |
| Fuel   | 22.688             | 21.884             | 0.804                            | 3.5          | 0.000             | 0.000            | 0.000                            | -             | 22.688             | 21.884             | 0.804                            | 3.5          |
| Insurance  | 17.456             | 17.463             | (0.007)                          | (0.0)        | 3.882             | 3.175            | 0.707                            | 18.2          | 21.338             | 20.638             | 0.700                            | 3.3          |
| Claims   | 2.752              | 3.003              | (0.251)                          | (9.1)        | 0.000             | 0.000            | 0.000                            | -             | 2.752              | 3.003              | (0.251)                          | (9.1)        |
| 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                                      | 50.816             | 44.645             | 6.171                            | 12.1         | 10.936            | 8.920            | 2.016                            | 18.4          | 61.752             | 53.564             | 8.188                            | 13.3         |
| Professional Service Contracts   | 24.808             | 20.009             | 4.799                            | 19.3         | 3.155             | 4.756            | (1.601)                          | (50.7)        | 27.963             | 24.765             | 3.198                            | 11.4         |
| Materials & Supplies   | 94.909             | 77.911             | 16.998                           | 17.9         | 40.421            | 28.529           | 11.892                           | 29.4          | 135.330            | 106.440            | 28.890                           | 21.3         |
| Other Business Expenses  | 10.377             | 6.187              | 4.190                            | 40.4         | 0.358             | 0.666            | (0.308)                          | (85.9)        | 10.735             | 6.852              | 3.883                            | 36.2         |
| <b>Total Non-Labor Expenses</b>  | <b>\$305.062</b>   | <b>\$272.356</b>   | <b>\$32.706</b>                  | <b>10.7</b>  | <b>\$59.147</b>   | <b>\$46.366</b>  | <b>\$12.781</b>                  | <b>21.6</b>   | <b>\$364.209</b>   | <b>\$318.722</b>   | <b>\$45.487</b>                  | <b>12.5</b>  |
| Other Expense Adjustments  |                    |                    |                                  |              |                   |                  |                                  |               |                    |                    |                                  |              |
| Other  | \$0.000            | \$0.000            | \$0.000                          | -            | \$0.000           | \$0.000          | \$0.000                          | -             | 0.000              | \$0.000            | \$0.000                          | -            |
| <b>Total Other Expense Adjustments</b>   | <b>\$0.000</b>     | <b>\$0.000</b>     | <b>\$0.000</b>                   | <b>-</b>     | <b>\$0.000</b>    | <b>\$0.000</b>   | <b>\$0.000</b>                   | <b>-</b>      | <b>\$0.000</b>     | <b>\$0.000</b>     | <b>\$0.000</b>                   | <b>-</b>     |
| <b>Total Expenses before Depreciation &amp; Other Post Employment Benefits</b> | <b>\$1,170.212</b> | <b>\$1,107.684</b> | <b>\$62.528</b>                  | <b>5.3</b>   | <b>\$200.409</b>  | <b>\$202.166</b> | <b>(\$1.757)</b>                 | <b>(0.9)</b>  | <b>\$1,370.621</b> | <b>\$1,309.850</b> | <b>\$60.771</b>                  | <b>4.4</b>   |
| Depreciation   | \$249.750          | \$245.174          | 4.576                            | 1.8          | \$0.000           | \$0.000          | \$0.000                          | -             | \$249.750          | \$245.174          | \$4.576                          | 1.8          |
| Other Post Employment Benefits   | 51.868             | 52.431             | (0.563)                          | (1.1)        | 0.000             | 0.000            | 0.000                            | -             | 51.868             | 52.431             | (0.563)                          | (1.1)        |
| Environmental Remediation  | 3.100              | 3.570              | (0.470)                          | (15.2)       | 0.000             | 0.000            | 0.000                            | -             | 3.100              | 3.570              | (0.470)                          | (15.2)       |
| <b>Total Expenses</b>  | <b>\$1,474.929</b> | <b>\$1,408.859</b> | <b>\$66.070</b>                  | <b>4.5</b>   | <b>\$200.409</b>  | <b>\$202.166</b> | <b>(\$1.757)</b>                 | <b>(0.9)</b>  | <b>\$1,675.339</b> | <b>\$1,611.025</b> | <b>\$64.314</b>                  | <b>3.8</b>   |
| <b>Net Surplus/(Deficit)</b>   | <b>(\$952.826)</b> | <b>(\$882.419)</b> | <b>\$70.408</b>                  | <b>7.4</b>   | <b>(\$0.000)</b>  | <b>\$0.000</b>   | <b>\$0.000</b>                   | <b>-</b>      | <b>(\$952.826)</b> | <b>(\$882.419)</b> | <b>\$70.408</b>                  | <b>7.4</b>   |
| <i>Cash Conversion Adjustments</i>   |                    |                    |                                  |              |                   |                  |                                  |               |                    |                    |                                  |              |
| Depreciation   | \$249.750          | \$245.174          | (\$4.576)                        | (1.8)        | \$0.000           | \$0.000          | \$0.000                          | -             | \$249.750          | \$245.174          | (\$4.576)                        | (1.8)        |
| Operating/Capital  | (22.893)           | (10.369)           | 12.525                           | 54.7         | 0.000             | 0.000            | 0.000                            | -             | (22.893)           | (10.369)           | 12.525                           | 54.7         |
| Other Cash Adjustments   | 192.319            | 172.524            | (19.795)                         | (10.3)       | 0.000             | 0.000            | 0.000                            | -             | 192.319            | 172.524            | (19.795)                         | (10.3)       |
| <b>Total Cash Conversion Adjustments</b>                                       | <b>\$419.175</b>   | <b>\$407.329</b>   | <b>(\$11.846)</b>                | <b>(2.8)</b> | <b>\$0.000</b>    | <b>\$0.000</b>   | <b>\$0.000</b>                   | <b>-</b>      | <b>\$419.175</b>   | <b>\$407.329</b>   | <b>(\$11.846)</b>                | <b>(2.8)</b> |
| <b>Net Cash Surplus/(Deficit)</b>  | <b>(\$533.651)</b> | <b>(\$475.090)</b> | <b>\$58.561</b>                  | <b>11.0</b>  | <b>(\$0.000)</b>  | <b>\$0.000</b>   | <b>\$0.000</b>                   | <b>0.0</b>    | <b>(\$533.651)</b> | <b>(\$475.090)</b> | <b>\$58.561</b>                  | <b>11.0</b>  |

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST**  
**EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL: ACCRUAL BASIS**

| September 2014                      |                      |                                   |        | Year-to-Date September 2014  |                                   |        |  |
|-------------------------------------|----------------------|-----------------------------------|--------|--|-----------------------------------|--------|--|
| Generic Revenue or Expense Category | Non Reimb. Or Reimb. | Favorable/ (Unfavorable) Variance |        | Reason for Variance  | Favorable/ (Unfavorable) Variance |        | Reason for Variance  |
|                                     |                      | \$                                | %      |  | \$                                | %      |  |
| <b>Revenue</b>                      |                      |                                   |        |  |                                   |        |  |
| Farebox Revenue                     | Non Reimb.           | 0.622                             | 1.1    | Higher ridership \$1.438, partially offset by lower yield per passenger \$(0.816).   | 4.691                             | 1.0    | Higher ridership \$5.325, partially offset by lower yield per passenger \$(0.634).   |
| Other Operating Revenue             | Non Reimb.           | (0.372)                           | (10.5) | Timing of other operating revenue  | (0.354)                           | (1.0)  | Lower rentals and timing of other operating revenue  |
| Capital & Other Reimbursements      | Reimb.               | 11.944                            | 43.2   | Primarily due to retroactive wage adjustments being allocated to the capital program.  | 1.757                             | 0.9    | Primarily due to due to retroactive wage adjustments being allocated to the capital program, partially offset by timing of capital activity.   |
| <b>Expenses</b>                     |                      |                                   |        |  |                                   |        |  |
| Payroll                             | Non Reimb.           | (4.799)                           | (12.0) | Primarily timing of retro wage rate accruals, partially offset by vacant positions.  | 6.649                             | 1.5    | Primarily timing of retro wage rate accruals and vacant positions.   |
|                                     | Reimb.               | (7.464)                           | (78.4) | Primarily due to retroactive wage adjustments being allocated to the capital program, partially offset by vacant positions and timing of project activity and other reimbursements.. | (2.207)                           | (3.4)  | Primarily due to retroactive wage adjustments being allocated to the capital program, partially offset by vacant positions and timing of project activity and other reimbursements.. |
| Overtime                            | Non Reimb.           | (1.101)                           | (12.1) | Higher routine maintenance overtime, vacancy/absentee coverage and retroactive pay accrual, partially offset by lower weather-related overtime and unscheduled service.              | (0.091)                           | (0.1)  | Higher maintenance, retroactive pay accrual and scheduled service, partially offset by lower weather-related overtime, vacancy/absentee coverage and unscheduled service.            |
|                                     | Reimb.               | (3.453)                           | *      | Higher due to retroactive wage adjustments, East Rail Yard and East Side Access projects.  | (6.914)                           | (53.6) | Higher due to retro wage adjustments, East Rail Yard, East Side Access and other capital project activity.   |
| Health and Welfare                  | Non Reimb.           | 0.428                             | 5.4    | Vacant positions.  | 2.354                             | 3.2    | Vacant positions.  |
|                                     | Reimb.               | (0.117)                           | (6.9)  | Primarily due to timing of project activity.   | (0.898)                           | (7.5)  | Primarily due to timing of project activity.   |

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST**  
**EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL: ACCRUAL BASIS**

| September 2014                            |                         |   |        | Year-to-Date September 2014   |   |        |  |
|---|-------------------------|---|--------|---|---|--------|--|
| Generic Revenue<br>or Expense<br>Category | Non Reimb.<br>Or Reimb. | Favorable/<br>(Unfavorable)<br>Variance |        | Reason<br>for Variance  | Favorable/<br>(Unfavorable)<br>Variance |        | Reason<br>for Variance   |
|   |                         | \$                                      | %      |   | \$                                      | %      |  |
| OPEB Current Payment                      | Non Reimb.              | 0.197                                   | 4.0    | Fewer retirees/beneficiaries.   | 1.193                                   | 2.7    | Fewer retirees/beneficiaries.  |
| Pensions                                  | Non Reimb.              | 0.730                                   | 5.2    | Total pension is on plan. However the estimated percentage of pension allocated to reimbursable was under-estimated.  | 4.013                                   | 3.1    | Total pension is on plan. However the estimated percentage of pension allocated to reimbursable was under-estimated. |
|   | Reimb.                  | (0.730)                                 | (29.9) | Total pension is on plan. However the estimated percentage of pension allocated to reimbursable was under-estimated.  | (4.013)                                 | (22.2) | Total pension is on plan. However the estimated percentage of pension allocated to reimbursable was under-estimated. |
| Other Fringe Benefits                     | Non Reimb.              | (1.507)                                 | (14.5) | Higher FELA Indemnity payments, partially offset by other fringe benefits being allocated to reimbursable as part of the retroactive wage adjustments to the capital program. | 16.242                                  | 14.6   | Lower Railroad Retirement taxes due to vacant positions and lower tax rate accrued for retroactive wage adjustments. |
|   | Reimb.                  | (1.901)                                 | (93.6) | Primarily fringe benefits being allocated to reimbursable as part of the retroactive wage adjustments to the capital program.   | (1.045)                                 | (7.7)  | Primarily due to timing of project activity.   |
| Electric Power                            | Non Reimb.              | 0.519                                   | 5.5    | Lower rates and consumption.  | 0.002                                   | 0.0    |  |
|   | Reimb.                  | 0.012                                   | 19.3   | Eastern Rail Yard and VD Yard.  | 0.073                                   | 18.6   | Eastern Rail Yard and VD Yard.   |
| Fuel                                      | Non Reimb.              | 0.242                                   | 9.8    | Lower consumption.  | 0.804                                   | 3.5    | Primarily Lower diesel fuel consumption, partially offset by higher rates.   |
| Insurance                                 | Non Reimb.              | 0.006                                   | 0.3    |   | (0.007)                                 | (0.0)  |  |
|   | Reimb.                  | 0.129                                   | 21.3   | Force Account Insurance associated with project activity.   | 0.707                                   | 18.2   | Force Account Insurance associated with project activity.  |
| Claims                                    | Non Reimb.              | (0.242)                                 | (65.3) | Primarily due to timing of settlement payouts.  | (0.251)                                 | (9.1)  | Primarily due to timing of invoices/payments.  |

**MTA LONG ISLAND RAIL ROAD  
JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST  
EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL: ACCRUAL BASIS**

| September 2014                          |                      |                                   |        | Year-to-Date September 2014   |                                   |        |  |
|---|----------------------|-----------------------------------|--------|---|-----------------------------------|--------|--|
| Generic Revenue or Expense Category     | Non Reimb. Or Reimb. | Favorable/ (Unfavorable) Variance |        | Reason for Variance   | Favorable/ (Unfavorable) Variance |        | Reason for Variance  |
|   |                      | \$                                | %      |   | \$                                | %      |  |
| Maintenance & Other Operating Contracts | Non Reimb.           | 1.151                             | 17.4   | Primarily timing of security related expenses, communications, non-revenue vehicle maintenance and general maintenance.   | 6.171                             | 12.1   | Timing of payments for elevator/escalator maintenance, security services/systems and general maintenance contracts, partially offset by timing of payments for vegetation management, non revenue vehicle maintenance and HVAC.  |
|   | Reimb.               | 0.021                             | 1.8    | Primarily due to timing of project activity.  | 2.016                             | 18.4   | Primarily due to timing of project activity.   |
| Professional Service Contracts          | Non Reimb.           | 1.504                             | 38.6   | Primarily timing of IT software, hardware, maintenance and data charges, lower outside services and MTA chargebacks   | 4.799                             | 19.3   | Primarily due to delay in WMDS (wayside maintenance diagnostic system), timing of payments and activities for IT related expenses and various other professional services, partially offset by higher planning studies consultants.  |
|   | Reimb.               | (0.052)                           | (14.6) | Primarily due to timing of project activity.  | (1.601)                           | (50.7) | Primarily due to timing of project activity.   |
| Materials & Supplies                    | Non Reimb.           | 3.678                             | 28.6   | Primarily due to lower material usage for MU and Diesel fleet modifications, M-7 and C-3 running repair, delay/scope change of M-7 propulsion startup, lower chargeouts within the Wheel Shop, timing of non-revenue vehicle deliveries and reclaims greater than chargeouts for pool material. | 16.998                            | 17.9   | Primarily due to lower material usage for MU and Diesel fleet modifications, M-7 and diesel fleet running repair, delay/scope change of M-7 propulsion startup, lower chargeouts within the Wheel Shop and timing of non-revenue vehicle deliveries, partially offset by high chargeouts of pool material. |
|   | Reimb.               | 1.230                             | 26.1   | Primarily due to timing of project activity, timing of payments for project material and delivery of non-revenue vehicles.  | 11.892                            | 29.4   | Primarily due to timing of project activity, timing of payments for project material and delivery of non-revenue vehicles.   |

**MTA LONG ISLAND RAIL ROAD  
 JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST  
 EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL: ACCRUAL BASIS**

| September 2014                      |                      |                                   |       | Year-to-Date September 2014   |                                   |        |  |
|-------------------------------------|----------------------|-----------------------------------|-------|---|-----------------------------------|--------|--|
| Generic Revenue or Expense Category | Non Reimb. Or Reimb. | Favorable/ (Unfavorable) Variance |       | Reason for Variance   | Favorable/ (Unfavorable) Variance |        | Reason for Variance  |
|                                     |                      | \$                                | %     |   | \$                                | %      |  |
| Other Business Expenses             | Non Reimb.           | 1.159                             | 77.2  | Prior period accrual reversals for Superstorm Sandy.                      | 4.190                             | 40.4   | Prior period accrual reversals for Superstorm Sandy, timing of accruals for mobility tax related to the retro wage adjustments and other miscellaneous expenses, partially offset by higher bad debt and debit/credit card fee expenses. |
|                                     | Reimb.               | (0.075)                           | *     |   | (0.308)                           | (85.9) |  |
| Depreciation                        | Non Reimb.           | 1.545                             | 5.6   | Revised estimate based on certain capital assets being fully depreciated. | 4.576                             | 1.8    | Revised estimate based on certain capital assets being fully depreciated.  |
| Other Post Employment Benefits      | Non Reimb.           | (0.092)                           | (1.6) | Primarily due to timing of payments.                                      | (0.563)                           | (1.1)  | Primarily due to timing of payments.   |
| Environmental Remediation           | Non Reimb.           | (0.470)                           | *     | Primarily timing.   | (0.470)                           | (15.2) | Primarily timing.  |

Table 4

| MTA LONG ISLAND RAIL ROAD                              |                      |                   |                            |              |                      |                    |                            |              |
|--|----------------------|-------------------|----------------------------|--------------|----------------------|--------------------|----------------------------|--------------|
| JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST           |                      |                   |                            |              |                      |                    |                            |              |
| CASH RECEIPTS and EXPENDITURES                         |                      |                   |                            |              |                      |                    |                            |              |
| September 2014   |                      |                   |                            |              |                      |                    |                            |              |
| (\$ in millions)                                       |                      |                   |                            |              |                      |                    |                            |              |
|  | Month                |                   |                            |              | Year-to-Date         |                    |                            |              |
|  | Mid Year<br>Forecast | Actual            | Favorable<br>(Unfavorable) |              | Mid Year<br>Forecast | Actual             | Favorable<br>(Unfavorable) |              |
|  |                      |                   | Variance                   | Percent      |                      |                    | Variance                   | Percent      |
| <b>Receipts</b>  |                      |                   |                            |              |                      |                    |                            |              |
| Farebox Revenue  | \$57.823             | \$59.190          | \$1.367                    | 2.4          | \$506.780            | \$507.336          | \$0.556                    | 0.1          |
| Vehicle Toll Revenue                                   | 0.000                | 0.000             | 0.000                      | -            | 0.000                | 0.000              | 0.000                      | -            |
| Other Operating Revenue                                | 3.720                | 2.465             | (1.255)                    | (33.7)       | 33.741               | 31.396             | (2.345)                    | (7.0)        |
| Capital & Other Reimbursements                         | 26.270               | 21.001            | (5.269)                    | (20.1)       | 181.384              | 169.142            | (12.242)                   | (6.7)        |
| <b>Total Receipts</b>                                  | <b>\$87.813</b>      | <b>\$82.656</b>   | <b>(\$5.157)</b>           | <b>(5.9)</b> | <b>\$721.905</b>     | <b>\$707.874</b>   | <b>(\$14.031)</b>          | <b>(1.9)</b> |
| <b>Expenditures</b>                                    |                      |                   |                            |              |                      |                    |                            |              |
| <i>Labor:</i>  |                      |                   |                            |              |                      |                    |                            |              |
| Payroll  | \$43.429             | \$38.720          | \$4.709                    | 10.8         | \$401.564            | \$373.948          | \$27.616                   | 6.9          |
| Overtime   | 8.271                | 8.728             | (0.457)                    | (5.5)        | 89.514               | 89.039             | 0.475                      | 0.5          |
| Health and Welfare                                     | 9.579                | 0.627             | 8.952                      | 93.5         | 85.128               | 83.008             | 2.120                      | 2.5          |
| OPEB Current Payment                                   | 4.905                | 0.741             | 4.164                      | 84.9         | 43.995               | 42.804             | 1.191                      | 2.7          |
| Pensions   | 16.572               | 16.550            | 0.022                      | 0.1          | 135.669              | 135.687            | (0.018)                    | (0.0)        |
| Other Fringe Benefits                                  | 10.524               | 10.084            | 0.440                      | 4.2          | 107.435              | 98.003             | 9.432                      | 8.8          |
| GASB   | 0.000                | 0.000             | 0.000                      | -            | 0.000                | 0.000              | 0.000                      | -            |
| Reimbursable Overhead                                  | 0.000                | 0.000             | 0.000                      | -            | 0.000                | 0.000              | 0.000                      | -            |
| <b>Total Labor Expenditures</b>                        | <b>\$93.280</b>      | <b>\$75.450</b>   | <b>\$17.830</b>            | <b>19.1</b>  | <b>\$863.305</b>     | <b>\$822.490</b>   | <b>\$40.815</b>            | <b>4.7</b>   |
| <i>Non-Labor:</i>                                      |                      |                   |                            |              |                      |                    |                            |              |
| Electric Power   | \$9.525              | \$9.011           | \$0.514                    | 5.4          | \$87.310             | \$84.123           | \$3.187                    | 3.6          |
| Fuel   | 2.508                | 1.557             | 0.951                      | 37.9         | 23.702               | 21.312             | 2.390                      | 10.1         |
| Insurance  | 2.336                | 1.900             | 0.436                      | 18.7         | 23.734               | 22.505             | 1.229                      | 5.2          |
| Claims   | 0.267                | 1.467             | (1.200)                    | *            | 1.515                | 2.492              | (0.977)                    | (64.5)       |
| Paratransit Service Contracts                          | 0.000                | 0.000             | 0.000                      | -            | 0.000                | 0.000              | 0.000                      | -            |
| Maintenance and Other Operating Contracts              | 9.501                | 5.358             | 4.143                      | 43.6         | 69.264               | 56.488             | 12.776                     | 18.4         |
| Professional Service Contracts                         | 3.570                | 3.564             | 0.006                      | 0.2          | 28.351               | 24.794             | 3.557                      | 12.5         |
| Materials & Supplies                                   | 14.027               | 10.741            | 3.286                      | 23.4         | 130.990              | 122.598            | 8.392                      | 6.4          |
| Other Business Expenses                                | 1.369                | 1.023             | 0.346                      | 25.3         | 10.280               | 9.424              | 0.856                      | 8.3          |
| <b>Total Non-Labor Expenditures</b>                    | <b>\$43.103</b>      | <b>\$34.622</b>   | <b>\$8.481</b>             | <b>19.7</b>  | <b>\$375.146</b>     | <b>\$343.735</b>   | <b>\$31.411</b>            | <b>8.4</b>   |
| <i>Other Expenditure Adjustments:</i>                  |                      |                   |                            |              |                      |                    |                            |              |
| Other  | \$1.965              | \$1.814           | \$0.151                    | 7.7          | \$17.105             | \$16.408           | \$0.697                    | 4.1          |
| <b>Total Other Expenditure Adjustments</b>             | <b>\$1.965</b>       | <b>\$1.814</b>    | <b>\$0.151</b>             | <b>7.7</b>   | <b>\$17.105</b>      | <b>\$16.408</b>    | <b>\$0.697</b>             | <b>4.1</b>   |
| <b>Total Expenditures</b>                              | <b>\$138.348</b>     | <b>\$111.885</b>  | <b>\$26.463</b>            | <b>19.1</b>  | <b>\$1,255.556</b>   | <b>\$1,182.633</b> | <b>\$72.923</b>            | <b>5.8</b>   |
| Cash Timing and Availability Adjustment                | 0.000                | (0.744)           | (0.744)                    | -            | 0.000                | (0.330)            | (0.330)                    | -            |
| <b>Net Cash Deficit<br/>(excludes opening balance)</b> | <b>(\$50.535)</b>    | <b>(\$29.973)</b> | <b>\$20.562</b>            | <b>40.7</b>  | <b>(\$533.651)</b>   | <b>(\$475.090)</b> | <b>\$58.561</b>            | <b>11.0</b>  |
| <b>Subsidies</b>                                       |                      |                   |                            |              |                      |                    |                            |              |
| MTA  | 50.535               | 29.690            | (20.845)                   | (41.2)       | 516.710              | 456.229            | (60.481)                   | (11.7)       |

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST**  
**EXPLANATION OF VARIANCES BETWEEN JULY MID-YEAR FORECAST AND ACTUAL CASH BASIS**

**Table 5**

| Generic Revenue<br>or Expense Category | September 2014                          |        |  | Year-to-Date as of September 30, 2014   |       |  |
|--|---|--------|--|---|-------|--|
|  | Favorable/<br>(Unfavorable)<br>Variance |        | Reason<br>for Variance   | Favorable/<br>(Unfavorable)<br>Variance |       | Reason<br>for Variance   |
|  | \$                                      | %      |  | \$                                      | %     |  |
| <b>Receipts</b>                        |   |        |  |   |       |  |
| Farebox Revenue                        | 1.367                                   | 2.4    | Higher ridership \$1.438 and higher advance sales impact \$0.880, partially offset by lower yields \$(0.816) and lower Metrocard/AirTrain sales \$(0.135).       | 0.556                                   | 0.1   | Higher ridership \$5.325, partially offset by lower advance sales impact \$(3.415), lower Metrocard/AirTrain sales \$(0.720) and lower yields \$(0.634).                             |
| Other Operating Revenue                | (1.255)                                 | (33.7) | Primarily due to lower FEMA reimbursement.   | (2.345)                                 | (7.0) | Primarily lower FEMA reimbursement, the timing of miscellaneous revenue, freight revenue and intercompany receipts, partially offset by the timing of rental revenue.                |
| Capital and Other Reimbursements       | (5.269)                                 | (20.1) | Timing of activity and reimbursement for capital and other reimbursements.   | (12.242)                                | (6.7) | Timing of activity and reimbursement for capital and other reimbursements.   |
| <b>Expenditures</b>                    |   |        |  |   |       |  |
| Labor:                                 |   |        |  |   |       |  |
| Payroll                                | 4.709                                   | 10.8   | Primarily due to lower headcount and rates.  | 27.616                                  | 6.9   | Primarily due to lower headcount and rates.  |
| Overtime                               | (0.457)                                 | (5.5)  | Primarily higher vacancy/absentee coverage, project overtime and maintenance, partially offset by lower weather-related overtime, rates and unscheduled service. | 0.475                                   | 0.5   | Primarily lower weather-related overtime, rates, vacancy/absentee coverage and unscheduled service, partially offset by higher project, maintenance, and scheduled service overtime. |
| Health and Welfare                     | 8.952                                   | 93.5   | Primarily due to the timing of payments.   | 2.120                                   | 2.5   | Primarily due to lower headcount and the timing of payments.   |
| OPEB Current Payment                   | 4.164                                   | 84.9   | Primarily due to the timing of payments.   | 1.191                                   | 2.7   | Primarily due to fewer retirees/beneficiaries.   |

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST**  
**EXPLANATION OF VARIANCES BETWEEN JULY MID-YEAR FORECAST AND ACTUAL CASH BASIS**

**Table 5**

| Generic Revenue<br>or Expense Category    | September 2014                          |      |  | Year-to-Date as of September 30, 2014   |        |  |
|---|---|------|--|---|--------|--|
|   | Favorable/<br>(Unfavorable)<br>Variance |      | Reason<br>for Variance   | Favorable/<br>(Unfavorable)<br>Variance |        | Reason<br>for Variance   |
|   | \$                                      | %    |  | \$                                      | %      |  |
| Other Fringe Benefits                     | 0.440                                   | 4.2  | Primarily lower Railroad Retirement payments, partially offset by the timing of FELA payments and payments for meals and safety shoes. | 9.432                                   | 8.8    | Primarily lower Railroad Retirement payments and the timing of FELA payments, partially offset by meal and safety shoe payments. |
| Non-Labor:                                |   |      |  |   |        |  |
| Electric Power                            | 0.514                                   | 5.4  | Primarily due to lower traction power rates and the timing of payments.  | 3.187                                   | 3.6    | Primarily due to the timing of payments and lower traction rates, partially offset by higher traction usage.                     |
| Fuel                                      | 0.951                                   | 37.9 | Primarily due to lower revenue fuel consumption and the timing of payments.  | 2.390                                   | 10.1   | Primarily due to lower revenue fuel consumption and the timing of payments, partially offset by higher rates.                    |
| Insurance                                 | 0.436                                   | 18.7 | Timing of payments.  | 1.229                                   | 5.2    | Timing of payments.  |
| Claims                                    | (1.200)                                 | *    | Timing of claim payments.  | (0.977)                                 | (64.5) | Timing of claim payments.  |
| Maintenance and Other Operating Contracts | 4.143                                   | 43.6 | Timing of payments and activities.   | 12.776                                  | 18.4   | Timing of payments and activities.   |
| Professional Service Contracts            | 0.006                                   | 0.2  | Primarily the timing of payments and activities for consulting services.   | 3.557                                   | 12.5   | Primarily the timing of payments and activities for consulting services.   |
| Materials and Supplies                    | 3.286                                   | 23.4 | Primarily the timing of program, production plan, and operating funded capital material and supplies.                                  | 8.392                                   | 6.4    | Primarily the timing of program, production plan, and operating funded capital material and supplies.                            |
| Other Business Expenses                   | 0.346                                   | 25.3 | Primarily due to the timing of payments.   | 0.856                                   | 8.3    | Primarily due to the timing of payments.   |
| Other Expenditure Adjustments             | 0.151                                   | 7.7  | Lower Metrocard/AirTrain pass through payments.  | 0.697                                   | 4.1    | Lower Metrocard/AirTrain pass through payments.  |

Table 6

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST**  
**CASH CONVERSION (CASH FLOW ADJUSTMENTS)**  
**September 2014**  
(\$ in millions)

|   | Month             |                   |                         |               | Year-to-Date      |                   |                         |              |
|---|-------------------|-------------------|-------------------------|---------------|-------------------|-------------------|-------------------------|--------------|
|   | Mid Year Forecast | Actual            | Favorable (Unfavorable) |               | Mid Year Forecast | Actual            | Favorable (Unfavorable) |              |
|   |                   |                   | Variance                | Percent       |                   |                   | Variance                | Percent      |
| <b>Receipts</b>                               |                   |                   |                         |               |                   |                   |                         |              |
| Farebox Revenue                               | \$2.467           | \$3.212           | \$0.745                 | 30.2          | \$19.738          | \$15.602          | (\$4.136)               | (21.0)       |
| Vehicle Toll Revenue                          | 0.000             | 0.000             | 0.000                   | -             | 0.000             | 0.000             | 0.000                   | -            |
| Other Operating Revenue                       | 0.164             | (0.719)           | (0.882)                 | *             | (1.320)           | (3.311)           | (1.991)                 | *            |
| Capital & Other Reimbursements                | (1.364)           | (18.577)          | (17.213)                | *             | (19.025)          | (33.024)          | (13.998)                | (73.6)       |
| <b>Total Receipts</b>                         | <b>\$1.267</b>    | <b>(\$16.084)</b> | <b>(\$17.350)</b>       | <b>*</b>      | <b>(\$0.607)</b>  | <b>(\$20.732)</b> | <b>(\$20.125)</b>       | <b>*</b>     |
| <b>Expenditures</b>                           |                   |                   |                         |               |                   |                   |                         |              |
| <i>Labor:</i>                                 |                   |                   |                         |               |                   |                   |                         |              |
| Payroll                                       | \$6.161           | \$23.133          | \$16.972                | *             | \$91.423          | \$114.597         | \$23.174                | 25.3         |
| Overtime                                      | 2.487             | 6.584             | 4.097                   | *             | 21.381            | 28.860            | 7.479                   | 35.0         |
| Health and Welfare                            | (0.001)           | 8.641             | 8.641                   | *             | (0.549)           | 0.115             | 0.664                   | *            |
| OPEB Current Payment                          | 0.000             | 3.967             | 3.967                   | -             | (0.147)           | (0.149)           | (0.002)                 | (1.6)        |
| Pensions                                      | (0.001)           | 0.021             | 0.022                   | *             | 13.474            | 13.456            | (0.018)                 | (0.1)        |
| Other Fringe Benefits                         | 1.934             | 5.782             | 3.849                   | *             | 17.524            | 11.759            | (5.765)                 | (32.9)       |
| GASB  | 0.000             | 0.000             | 0.000                   | -             | 0.000             | 0.000             | 0.000                   | -            |
| Reimbursable Overhead                         | 0.000             | 0.000             | 0.000                   | -             | 0.000             | 0.000             | 0.000                   | -            |
| <b>Total Labor Expenditures</b>               | <b>\$10.581</b>   | <b>\$48.128</b>   | <b>\$37.547</b>         | <b>*</b>      | <b>\$143.107</b>  | <b>\$168.638</b>  | <b>\$25.531</b>         | <b>17.8</b>  |
| <i>Non-Labor:</i>                             |                   |                   |                         |               |                   |                   |                         |              |
| Electric Power                                | \$0.020           | \$0.003           | (\$0.016)               | (82.7)        | (\$5.659)         | (\$2.548)         | \$3.111                 | 55.0         |
| Fuel  | (0.052)           | 0.658             | 0.710                   | *             | (1.014)           | 0.572             | 1.586                   | *            |
| Insurance                                     | 0.224             | 0.524             | 0.300                   | *             | (2.396)           | (1.867)           | 0.529                   | 22.1         |
| Claims  | 0.104             | (0.854)           | (0.958)                 | *             | 1.237             | 0.511             | (0.726)                 | (58.7)       |
| Paratransit Service Contracts                 | 0.000             | 0.000             | 0.000                   | -             | 0.000             | 0.000             | 0.000                   | -            |
| Maintenance and Other Operating Contracts     | (1.658)           | 1.312             | 2.970                   | *             | (7.512)           | (2.923)           | 4.589                   | 61.1         |
| Professional Service Contracts                | 0.679             | (0.768)           | (1.447)                 | *             | (0.388)           | (0.029)           | 0.359                   | 92.7         |
| Materials & Supplies                          | 3.544             | 1.922             | (1.622)                 | (45.8)        | 4.340             | (16.157)          | (20.498)                | *            |
| Other Business Expenses                       | 0.157             | (0.581)           | (0.737)                 | *             | 0.455             | (2.571)           | (3.026)                 | *            |
| <b>Total Non-Labor Expenditures</b>           | <b>\$3.018</b>    | <b>\$2.217</b>    | <b>(\$0.801)</b>        | <b>(26.5)</b> | <b>(\$10.937)</b> | <b>(\$25.013)</b> | <b>(\$14.076)</b>       | <b>*</b>     |
| <i>Other Expenditure Adjustments:</i>         |                   |                   |                         |               |                   |                   |                         |              |
| Other   | (\$1.965)         | (\$1.814)         | \$0.151                 | 7.7           | (\$17.105)        | (\$16.408)        | \$0.697                 | 4.1          |
| <b>Total Other Expenditure Adjustments</b>    | <b>(\$1.965)</b>  | <b>(\$1.814)</b>  | <b>\$0.151</b>          | <b>7.7</b>    | <b>(\$17.105)</b> | <b>(\$16.408)</b> | <b>\$0.697</b>          | <b>4.1</b>   |
| <b>Total Expenditures before Depreciation</b> | <b>\$11.634</b>   | <b>\$48.532</b>   | <b>\$36.898</b>         | <b>*</b>      | <b>\$115.065</b>  | <b>\$127.217</b>  | <b>\$12.152</b>         | <b>10.6</b>  |
| Depreciation Adjustment                       | \$27.749          | \$26.204          | (\$1.545)               | (5.6)         | \$249.750         | \$245.174         | (\$4.576)               | (1.8)        |
| Other Post Employment Benefits                | 5.765             | 5.857             | 0.092                   | 1.6           | 51.868            | 52.431            | 0.563                   | 1.1          |
| Environmental Remediation                     | 0.167             | 0.637             | 0.470                   | *             | 3.100             | 3.570             | 0.470                   | 15.2         |
| <b>Total Expenditures</b>                     | <b>\$45.315</b>   | <b>\$81.229</b>   | <b>\$35.914</b>         | <b>79.3</b>   | <b>\$419.783</b>  | <b>\$428.391</b>  | <b>\$8.609</b>          | <b>2.1</b>   |
| Cash Timing and Availability Adjustment       | 0.000             | (0.744)           | (0.744)                 | -             | 0.000             | (0.330)           | (0.330)                 | -            |
| <b>Total Cash Conversion Adjustments</b>      | <b>\$46.582</b>   | <b>\$64.401</b>   | <b>\$17.820</b>         | <b>38.3</b>   | <b>\$419.175</b>  | <b>\$407.329</b>  | <b>(\$11.846)</b>       | <b>(2.8)</b> |

**MTA LONG ISLAND RAIL ROAD**  
**2014 July Financial Plan**  
**Non-Reimbursable/Reimbursable Overtime**  
(\$ in millions)

|   | September 2014    |                 |                |                 |                     |                  | September Year-to-Date |                  |                  |                  |                     |                  |
|---|-------------------|-----------------|----------------|-----------------|---------------------|------------------|------------------------|------------------|------------------|------------------|---------------------|------------------|
|   | Mid-Year Forecast |                 | Actuals        |                 | Var. - Fav./(Unfav) |                  | Mid-Year Forecast      |                  | Actuals          |                  | Var. - Fav./(Unfav) |                  |
|   | Hours             | \$              | Hours          | \$              | Hours               | \$               | Hours                  | \$               | Hours            | \$               | Hours               | \$               |
| <b>NON-REIMBURSABLE OVERTIME</b>                    |                   |                 |                |                 |                     |                  |                        |                  |                  |                  |                     |                  |
| <u>Scheduled Service</u> <sup>1</sup>               | 32,370            | \$1.696         | 35,047         | \$1.836         | (2,677)             | (\$0.140)        | 260,090                | \$13.453         | 269,141          | \$13.847         | (9,051)             | (\$0.395)        |
|   |                   |                 |                |                 | -8.3%               | -8.3%            |                        |                  |                  |                  | -3.5%               | -2.9%            |
| <u>Unscheduled Service</u>                          | 8,426             | \$0.479         | 4,708          | \$0.253         | 3,719               | \$0.227          | 96,158                 | \$5.495          | 84,260           | \$4.936          | 11,898              | \$0.559          |
|   |                   |                 |                |                 | 44.1%               | 47.3%            |                        |                  |                  |                  | 12.4%               | 10.2%            |
| <u>Programmatic/Routine Maintenance</u>             | 53,884            | \$2.609         | 60,375         | \$2.967         | (6,492)             | (\$0.358)        | 434,434                | \$20.732         | 476,458          | \$22.895         | (42,025)            | (\$2.163)        |
|   |                   |                 |                |                 | -12.0%              | -13.7%           |                        |                  |                  |                  | -9.7%               | -10.4%           |
| <u>Unscheduled Maintenance</u>                      | 445               | \$0.020         | 637            | \$0.029         | (192)               | (\$0.009)        | 4,569                  | \$0.208          | 7,594            | \$0.346          | (3,025)             | (\$0.138)        |
|   |                   |                 |                |                 | -43.1%              | -43.1%           |                        |                  |                  |                  | -66.2%              | -66.1%           |
| <u>Vacancy/Absentee Coverage</u>                    | 58,593            | \$2.942         | 74,989         | \$3.661         | (16,396)            | (\$0.718)        | 478,685                | \$23.673         | 475,658          | \$23.113         | 3,028               | \$0.560          |
|   |                   |                 |                |                 | -28.0%              | -24.4%           |                        |                  |                  |                  | 0.6%                | 2.4%             |
| <u>Weather Emergencies</u>                          | 5,787             | \$0.370         | 534            | \$0.026         | 5,253               | \$0.344          | 204,641                | \$10.797         | 168,169          | \$8.508          | 36,472              | \$2.288          |
|   |                   |                 |                |                 | 90.8%               | 93.0%            |                        |                  |                  |                  | 17.8%               | 21.2%            |
| <u>Safety/Security/Law Enforcement</u> <sup>2</sup> | -                 | \$0.000         | -              | \$0.000         | -                   | \$0.000          | -                      | \$0.000          | -                | \$0.000          | -                   | \$0.000          |
| <u>Other</u> <sup>3</sup>                           | 1,915             | \$1.004         | 1,853          | \$1.451         | 63                  | (\$0.446)        | 17,013                 | \$23.627         | 18,401           | \$24.430         | (1,389)             | (\$0.803)        |
|   |                   |                 |                |                 | 3.3%                | -44.4%           |                        |                  |                  |                  | -8.2%               | *                |
| <b>NON-REIMBURSABLE OVERTIME</b>                    | 161,420           | \$9.122         | 178,142        | \$10.223        | (16,722)            | (\$1.101)        | 1,495,590              | \$97.985         | 1,499,682        | \$98.076         | (4,092)             | (\$0.091)        |
|   |                   |                 |                |                 | -10.4%              | -12.1%           |                        |                  |                  |                  | -0.3%               | -0.1%            |
| <b>REIMBURSABLE OVERTIME</b>                        | 31,127            | \$1.636         | 41,972         | \$5.089         | (10,845)            | (\$3.453)        | 247,305                | \$12.910         | 313,930          | \$19.824         | (66,625)            | (\$6.914)        |
|   |                   |                 |                |                 | -34.8%              | -211.0%          |                        |                  |                  |                  | -26.9%              | -53.6%           |
| <b>TOTAL OVERTIME</b>                               | <b>192,547</b>    | <b>\$10.758</b> | <b>220,114</b> | <b>\$15.312</b> | <b>(27,567)</b>     | <b>(\$4.554)</b> | <b>1,742,895</b>       | <b>\$110.895</b> | <b>1,813,612</b> | <b>\$117.899</b> | <b>(70,717)</b>     | <b>(\$7.005)</b> |
|   |                   |                 |                |                 | -14.3%              | -42.3%           |                        |                  |                  |                  | -4.1%               | -6.3%            |

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

<sup>2</sup> Not Applicable

<sup>3</sup> Reflects overtime for marketing, material management and other administrative functions.

Totals may not add due to rounding.

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

\* Exceeds 100%

**MTA LONG ISLAND RAIL ROAD**  
**2014 July Financial Plan**  
**Non-Reimbursable/Reimbursable Overtime**  
(\$ in millions)

|   | September 2014      |                  |  | September Year-to-Date |                  |   |
|---|---------------------|------------------|--|------------------------|------------------|---|
|   | Var. - Fav./(Unfav) |                  | Explanations   | Var. - Fav./(Unfav)    |                  | Explanations  |
|   | Hours               | \$               |  | Hours                  | \$               |   |
| <b>NON-REIMBURSABLE OVERTIME</b>        |                     |                  |  |                        |                  |   |
| <u>Scheduled Service</u>                | (2,677)             | (\$0.140)        | Unfavorable due to added flagging tours in the crew book and higher than projected Yardmaster crew book overtime.  | (9,051)                | (\$0.395)        | Unfavorable due to added flagging tours in the crew book and higher than projected Yardmaster crew book overtime.   |
|   | -8.3%               | -8.3%            |  | -3.5%                  | -2.9%            |   |
| <u>Unscheduled Service</u>              | 3,719               | \$0.227          | Lower than forecasted outside of assignment penalty payments.  | 11,898                 | \$0.559          | Lower than forecasted outside of assignment penalty payments and weather-related incidents.   |
|   | 44.1%               | 47.3%            |  | 12.4%                  | 10.2%            |   |
| <u>Programmatic/Routine Maintenance</u> | (6,492)             | (\$0.358)        | Higher than anticipated general maintenance needs, third rail tie changing, laying of rail bolted joints and installation of speed restriction signs, partially offset by lower than anticipated running repair. | (42,025)               | (\$2.163)        | Attributed to corrective measures for track rail inspections, replacement of defective rails, testing of high security switches and general maintenance needs, partially offset by lower than anticipated running repair on revenue vehicles. |
|   | -12.0%              | -13.7%           |  | -9.7%                  | -10.4%           |   |
| <u>Unscheduled Maintenance</u>          | (192)               | (\$0.009)        |  | (3,025)                | (\$0.138)        | Attributed to New York & Atlantic Railway equipment train derailment at Jamaica on 05/14/14.  |
|   | -43.1%              | -43.1%           |  | -66.2%                 | -66.1%           |   |
| <u>Vacancy/Absentee Coverage</u>        | (16,396)            | (\$0.718)        | Due to open jobs in Maintenance of Equipment. There are an average of 24.3 open jobs in this department, partially offset by lower tours for Train and Engine.   | 3,028                  | \$0.560          | Primarily due to lower tours for Train and Engine and less coverage needs than expected.  |
|   | -28.0%              | -24.4%           |  | 0.6%                   | 2.4%             |   |
| <u>Weather Emergencies</u>              | 5,253               | \$0.344          | Lower than forecasted weather related expenses.  | 36,472                 | \$2.288          | Lower than forecasted weather related expenses.   |
|   | 90.8%               | 93.0%            |  | 17.8%                  | 21.2%            |   |
| <u>Safety/Security/Law Enforcement</u>  |                     |                  |  |                        |                  |   |
| <u>Other</u>                            | 63                  | (\$0.446)        | Due to contractual retroactive pay.  | (1,389)                | (\$0.803)        | Due to contractual retroactive pay.   |
|   | 3.3%                | -44.4%           |  | -8.2%                  | *                |   |
| <b>NON-REIMBURSABLE OVERTIME</b>        | <b>(16,722)</b>     | <b>(\$1.101)</b> |  | <b>(4,092)</b>         | <b>(\$0.091)</b> |   |
|   | -10.4%              | -12.1%           |  | -0.3%                  | -0.1%            |   |
| <b>REIMBURSABLE OVERTIME</b>            | (10,845)            | (\$3.453)        | Primarily due to retroactive wage adjustments and various components of East Side Access, East Rail yard, increased flagging tours and Queens bridge costs.  | (66,625)               | (\$6.914)        | Primarily due to retroactive wage adjustments and various components of East Side Access, East Rail yard, increased flagging tours and Queens bridge costs.   |
|   | -34.8%              | -211.0%          |  | -26.9%                 | -53.6%           |   |
| <b>TOTAL OVERTIME</b>                   | <b>(27,567)</b>     | <b>(\$4.554)</b> |  | <b>(70,717)</b>        | <b>(\$7.005)</b> |   |
|   | -14.3%              | -42.3%           |  | -4.1%                  | -6.3%            |   |

\* Exceeds 100%

**METROPOLITAN TRANSPORTATION AUTHORITY - LONG ISLAND RAIL ROAD**  
**2014 Overtime Reporting**  
**Overtime Legend**

**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 LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST**  
**TOTAL FULL-TIME POSITIONS and FULL-TIME EQUIVALENTS by FUNCTION and DEPARTMENT**  
**NON-REIMBURSABLE and REIMBURSABLE**  
**END-of-MONTH SEPTEMBER 2014**

|  | Mid-Year<br>Forecast | Actual       | Favorable/<br>(Unfavorable)<br>Variance |
|--|----------------------|--------------|---|
| <b>Administration</b>                    |                      |              |   |
| Executive VP                             | 5                    | 6            | (1)                                     |
| Labor Relations                          | 18                   | 15           | 3                                       |
| Procurement & Logistics (excl. Stores)   | 83                   | 79           | 4                                       |
| Human Resources                          | 32                   | 31           | 1                                       |
| Sr VP Administration                     | 2                    | 2            | 0                                       |
| Strategic Investments                    | 31                   | 28           | 3                                       |
| President                                | 4                    | 5            | (1)                                     |
| VP & CFO                                 | 5                    | 3            | 2                                       |
| Information Technology                   | 164                  | 145          | 19                                      |
| Controller                               | 46                   | 42           | 4                                       |
| Management & Budget                      | 19                   | 19           | 0                                       |
| Process Re-Engineering                   | 7                    | 7            | 0                                       |
| VP - East Side Access & Special Projects | 28                   | 23           | 5                                       |
| Market Dev. & Public Affairs             | 70                   | 71           | (1)                                     |
| Gen. Counsel & Secretary                 | 31                   | 30           | 1                                       |
| Diversity Management                     | 2                    | 2            | 0                                       |
| System Safety/Training                   | 91                   | 74           | 17                                      |
| Security                                 | 12                   | 12           | 0                                       |
| Sr VP Operations/Service Planning        | 24                   | 23           | 1                                       |
| <b>Total Administration</b>              | <b>674</b>           | <b>617</b>   | <b>57</b>                               |
| <b>Operations</b>                        |                      |              |   |
| Train Operations                         | 2,057                | 2,036        | 21                                      |
| Customer Services                        | 301                  | 294          | 7                                       |
| <b>Total Operations</b>                  | <b>2,358</b>         | <b>2,330</b> | <b>28</b>                               |
| <b>Maintenance</b>                       |                      |              |   |
| Engineering                              | 1,753                | 1,691        | 62                                      |
| Equipment                                | 2,029                | 1,985        | 44                                      |
| Procurement (Stores)                     | 93                   | 95           | (2)                                     |
| <b>Total Maintenance</b>                 | <b>3,875</b>         | <b>3,771</b> | <b>104</b>                              |
| <b>Engineering/Capital</b>               |                      |              |   |
| Department of Project Management         | 146                  | 135          | 11                                      |
| <b>Total Engineering/Capital</b>         | <b>146</b>           | <b>135</b>   | <b>11</b>                               |
| <b>Baseline Total Positions</b>          | <b>7,054</b>         | <b>6,853</b> | <b>201</b>                              |
| <i>Non-Reimbursable</i>                  | <b>6,045</b>         | <b>5,963</b> | <b>82</b>                               |
| <i>Reimbursable</i>                      | <b>1,009</b>         | <b>890</b>   | <b>119</b>                              |
| <b>Total Full-Time</b>                   | <b>7,054</b>         | <b>6,853</b> | <b>201</b>                              |
| <b>Total Full-Time-Equivalents</b>       |                      |              |   |

**MTA LONG ISLAND RAIL ROAD  
JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST  
FULL-TIME POSITIONS and FULL-TIME EQUIVALENTS  
NON-REIMBURSABLE and REIMBURSABLE  
END-OF-MONTH SEPTEMBER 2014**

| Explanation of Variances   |
|--|
| <b>NON-REIMBURSABLE POSITIONS</b> - Favorable 82 positions due to lower heads in the Equipment Department and Train Service along with vacancies company-wide. |
| <b>REIMBURSABLE POSITIONS</b> - Favorable 119 positions primarily due to the timing of project activity and vacant positions.                                  |

**MTA LONG ISLAND RAIL ROAD  
 JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST  
 TOTAL FULL-TIME POSITIONS and FULL-TIME EQUIVALENTS by FUNCTION and OCCUPATION  
 END-of-MONTH SEPTEMBER 2014**

|                                   | Mid-Year<br>Forecast | Actual       | Favorable/<br>(Unfavorable)<br>Variance |
|-----------------------------------|----------------------|--------------|---|
| <b>Administration</b>             |                      |              |   |
| Managers/Supervisors              | 338                  | 299          | 39                                      |
| Professional, Technical, Clerical | 336                  | 318          | 18                                      |
| Operational Hourlies              |                      |              | -                                       |
| <b>Total Administration</b>       | <b>674</b>           | <b>617</b>   | <b>57</b>                               |
| <b>Operations</b>                 |                      |              |   |
| Managers/Supervisors              | 328                  | 287          | 41                                      |
| Professional, Technical, Clerical | 170                  | 185          | (15)                                    |
| Operational Hourlies              | 1,860                | 1,858        | 2                                       |
| <b>Total Operations</b>           | <b>2,358</b>         | <b>2,330</b> | <b>28</b>                               |
| <b>Maintenance</b>                |                      |              |   |
| Managers/Supervisors              | 764                  | 680          | 84                                      |
| Professional, Technical, Clerical | 280                  | 269          | 11                                      |
| Operational Hourlies              | 2,831                | 2,822        | 9                                       |
| <b>Total Maintenance</b>          | <b>3,875</b>         | <b>3,771</b> | <b>104</b>                              |
| <b>Engineering/Capital</b>        |                      |              |   |
| Managers/Supervisors              | 111                  | 99           | 12                                      |
| Professional, Technical, Clerical | 35                   | 36           | (1)                                     |
| Operational Hourlies              | -                    | -            | -                                       |
| <b>Total Engineering/Capital</b>  | <b>146</b>           | <b>135</b>   | <b>11</b>                               |
| <b>Total Positions</b>            |                      |              |   |
| Managers/Supervisors              | 1,541                | 1,365        | 176                                     |
| Professional, Technical, Clerical | 821                  | 808          | 13                                      |
| Operational Hourlies              | 4,691                | 4,680        | 11                                      |
| <b>Total Positions</b>            | <b>7,054</b>         | <b>6,853</b> | <b>201</b>                              |

**MTA LONG ISLAND RAIL ROAD  
 JULY FINANCIAL PLAN - 2014 MID YEAR FORECAST  
 RIDERSHIP  
 (In Thousands)**

| RIDERSHIP             | September 2014 |        |   |       | Year-to-Date September 2014 |        |   |      |
|-----------------------|----------------|--------|---|-------|-----------------------------|--------|---|------|
|                       | Mid-Year       | Actual | Favorable/<br>(Unfavorable)<br>Variance | %     | Mid-Year                    | Actual | Favorable/<br>(Unfavorable)<br>Variance | %    |
| Monthly               | 3.913          | 4.047  | 0.134                                   | 3.4%  | 34.954                      | 35.137 | 0.182                                   | 0.5% |
| Weekly                | 0.162          | 0.171  | 0.010                                   | 6.1%  | 1.513                       | 1.564  | 0.051                                   | 3.4% |
| Total Commutation     | 4.074          | 4.218  | 0.144                                   | 3.5%  | 36.467                      | 36.701 | 0.234                                   | 0.6% |
| One-Way Full Fare     | 0.699          | 0.710  | 0.011                                   | 1.5%  | 6.078                       | 6.208  | 0.131                                   | 2.2% |
| One-Way Off-Peak      | 1.511          | 1.500  | (0.011)                                 | -0.8% | 13.236                      | 13.326 | 0.090                                   | 0.7% |
| All Other             | 0.828          | 0.869  | 0.041                                   | 5.0%  | 7.456                       | 7.693  | 0.237                                   | 3.2% |
| Total Non-Commutation | 3.039          | 3.079  | 0.041                                   | 1.3%  | 26.770                      | 27.228 | 0.458                                   | 1.7% |
| Total                 | 7.113          | 7.297  | 0.185                                   | 2.6%  | 63.237                      | 63.928 | 0.691                                   | 1.1% |

**MTA LONG ISLAND RAIL ROAD  
JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST  
MONTHLY PERFORMANCE INDICATORS  
September 2014**

|  | <u>MONTH</u>           |                              |                        | <u>VARIANCE</u>         |                     |
|--|------------------------|------------------------------|------------------------|-------------------------|---------------------|
|  | <u>Actual<br/>2014</u> | <u>Mid-Year<br/>Forecast</u> | <u>Actual<br/>2013</u> | <u>vs.<br/>Forecast</u> | <u>vs.<br/>2013</u> |
| Farebox Operating Ratio                    |                        |                              |                        |                         |                     |
| Standard <sup>(1)</sup>                    | 46.1%                  | 44.3%                        | 48.8%                  | 1.8%                    | -2.7%               |
| Adjusted <sup>(2)</sup>                    | 54.8%                  | 53.2%                        | 59.9%                  | 1.6%                    | -5.1%               |
| Cost Per Passenger                         |                        |                              |                        |                         |                     |
| Standard <sup>(1)</sup>                    | \$16.70                | \$17.62                      | \$16.15                | \$0.92                  | (\$0.55)            |
| Adjusted <sup>(2)</sup>                    | \$14.80                | \$15.57                      | \$13.93                | \$0.77                  | (\$0.87)            |
| Passenger Revenue/Passenger <sup>(3)</sup> | \$7.70                 | \$7.81                       | \$7.88                 | (\$0.11)                | (\$0.18)            |
|  | <u>YEAR-TO-DATE</u>    |                              |                        | <u>VARIANCE</u>         |                     |
|  | <u>Actual<br/>2014</u> | <u>Mid-Year<br/>Forecast</u> | <u>Actual<br/>2013</u> | <u>vs.<br/>Forecast</u> | <u>vs.<br/>2013</u> |
| Farebox Operating Ratio                    |                        |                              |                        |                         |                     |
| Standard <sup>(1)</sup>                    | 44.1%                  | 41.0%                        | 48.7%                  | 3.1%                    | -4.6%               |
| Adjusted <sup>(2)</sup>                    | 53.2%                  | 49.3%                        | 62.3%                  | 4.0%                    | -9.1%               |
| Cost Per Passenger                         |                        |                              |                        |                         |                     |
| Standard <sup>(1)</sup>                    | \$17.49                | \$18.87                      | \$15.60                | \$1.38                  | (\$1.89)            |
| Adjusted <sup>(2)</sup>                    | \$15.47                | \$16.76                      | \$13.43                | \$1.29                  | (\$2.04)            |
| Passenger Revenue/Passenger <sup>(3)</sup> | \$7.72                 | \$7.73                       | \$7.59                 | (\$0.01)                | \$0.13              |

(1) The Standard Farebox Operating Ratio and Cost Per Passenger indicators reflect MTA-wide adopted calculations that exclude non-cash liability adjustments: Depreciation, Other Post Employment Benefits and Environmental Remediation (GASB-49).

(2) Adjusted Fare Box Operating Ratio and Cost Per Passenger indicators have been adjusted for comparability between the Long Island Rail Road and Metro-North Railroad and are being presented only at the railroad operating committees. These adjustments are not being used MTA-wide. Adjustments have been made to reflect all operating revenue and significant financial impacts that are outside management's control. These adjustments include: Inclusion of Other Operating Revenue, Removal of OPEB Current Payment expenses for retirees, and Removal of the UAAL associated with the LIRR's closed pension plan.

(3) Passenger Revenue/Passenger includes Bar Car Services

For reporting purposes, baseline projections include service and safety investments, and the wage impact of the Commuter Rail Labor - July 17th Agreement -- all which were captured below-the-baseline in the 2014 Mid-Year Forecast/July Plan.



**Long Island Rail Road**

# **CAPITAL PROGRAM REPORT**

**November 2014**

**LONG ISLAND RAIL ROAD  
CAPITAL PROGRAM HIGHLIGHTS & UPDATES  
OCTOBER 2014**

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**HIGHLIGHTS**

**PN-BC/TW: COLONIAL ROAD IMPROVEMENTS**

Project Budget: \$35.30M

Milestone: Contract Award

A Design-Build Contract for Improvements at Colonial Road on the Port Washington Branch was awarded to Railroad Construction Company, Inc. for \$24,900,000. The work includes replacement of the 115 year old structurally deficient Colonial Road Bridge, extension of the existing Great Neck Pocket Track to accommodate an additional 12-car train, and improved drainage beneath the bridge. This project will enhance the railroad's operational flexibility, improve service levels along the Port Washington Branch, and maintain the safety of the LIRR infrastructure.

**PN-TV: MASAPEQUA POCKET TRACK**

Project Budget: \$19.60M

Milestone: Contract Award

A Design-Build Contract for the pre-wired Signal System Equipment for the Massapequa Pocket Track was awarded to Ansaldo-STS USA, Inc. [ASUI] for \$1,855,000. The new Signal Equipment will provide the necessary control of train movement into and out of the Pocket Track. The operational flexibility and the additional storage capacity gained with the Pocket Track will facilitate mid-branch train service on the Babylon Branch and support service demands of East Side Access.

**PN-TG: ATLANTIC BRANCH HALF-TIES**

Project Budget: \$14.00M

Milestone: Design Completion

The Design phase for the rehabilitation of up to approximately 21,500 deteriorated half-ties in the Atlantic Branch Tunnel is complete. The existing track structure within the tunnel is primarily wood half-ties embedded in concrete. Design includes an evaluation of alternative products for half-tie replacement options, design of track structure repairs, and prioritizing locations for rehabilitation. Half-tie replacement will consist of the installation of a composite half-tie rail fastening system that is planned to commence in early 2015. This project is part of the railroad's efforts to maintain track structure elements in a state of good repair.

**PN-YB: HILLSIDE FACILITY BUILDING ROOF REHABILITATION**

Project Budget: \$6.00M

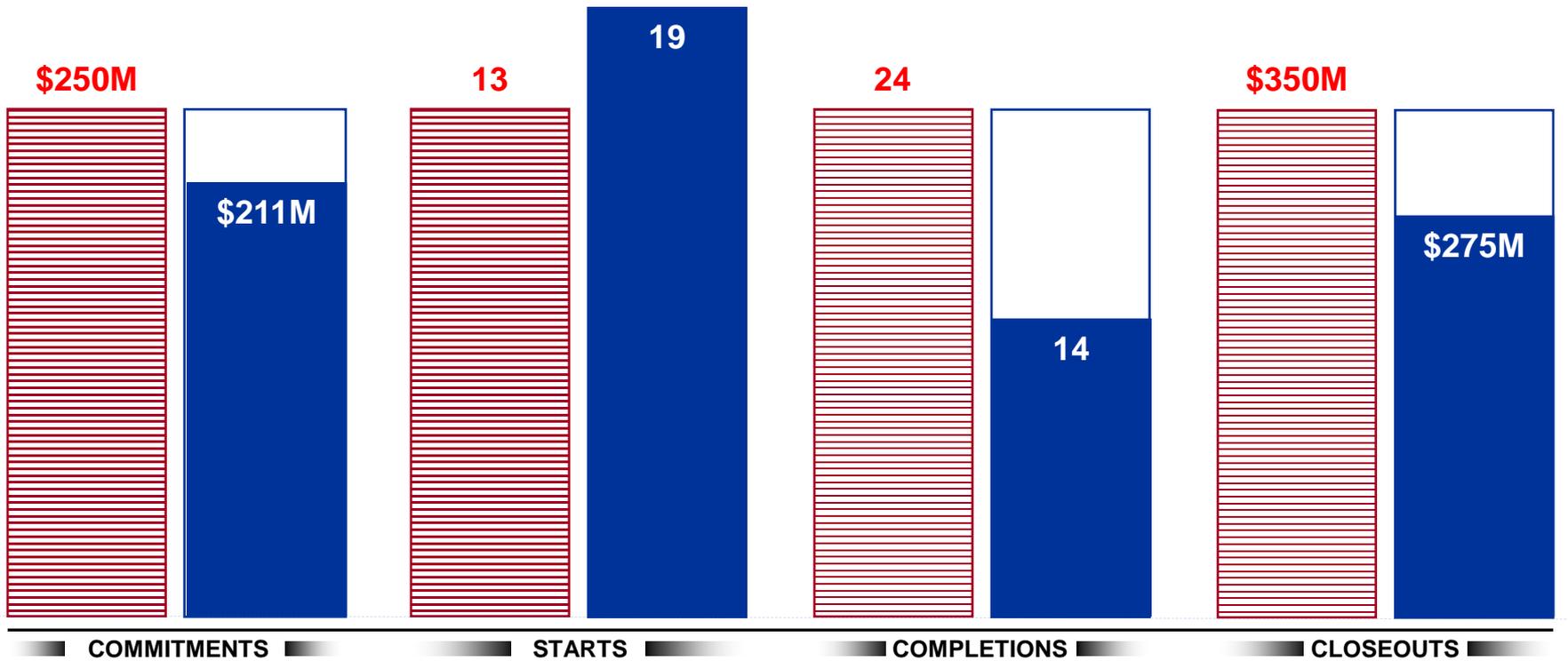
Milestone: Beneficial Use

Replacement of roofing and roof components at the Hillside Car Maintenance Facility is complete. The work included the removal of deteriorated rubber roofing at the Truck Shop and Motor & Wheel Shop. The existing roofing was replaced with a new PVC membrane built-up roofing system. This project is part of an ongoing facilities improvement program.

**MENTORING ACTIVITIES**

- Hillside UCC Shop Elevators [Under Car Cleaning]: Site work continued. Testing commenced.
- Woodside / Merrick Elevator Replacement: Site work at Woodside commenced.
- Sutphin Overpass Painting / Fireproofing: Punchlist work completed.
- Jamaica HR Building Improvements: Work continued.
- Harold Tower Rehabilitation: Work commenced.
- Hillside UCC Shop and Pump House Roof: Work commenced.
- HSF Fire Pump and Boiler Tube Replacement: Work commenced.
- Sandy Roof Replacement [Hillside] and Shelter Shed Replacement [Westbury]: Procurement continued.

# 2014 LIRR Capital Program Goals



2014 PLAN



ACTUAL as of October 31, 2014



FORECAST through December 31, 2014