



**Metropolitan Transportation Authority**

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

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## **December 2014**

### **Members**

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

# **Metro-North Railroad Committee Meeting**

**347 Madison Avenue  
Fifth Floor Board Room  
New York, NY 10017  
Monday, 12/15/2014  
8:30 - 9:30 AM ET**

## **1. Public Comments**

## **2. Approval of Minutes**

*Approval of Minutes - Page 4*

## **3. 2014 Work Plan**

*2014 MNR Work Plan - Page 10*

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

### **Safety Report**

*Safety Report - Page 12*

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

*Enhanced Safety Report - Page 15*

### **MTA Police Report**

*MTA Police Report - Page 16*

## **5. Action Items**

### **2015 Final Proposed Budget**

*MNR 2015 Final Proposed Budget and 2015-2018 Financial Plan Adoption - Page 21*

## **6. Information Items**

### **2015 Proposed MNR Committee Work Plan**

*2015 Proposed MNR Committee Work Plan - Page 33*

## **7. Procurements**

*Procurements - Page 39*

### **Non-Competitive**

*Non-Competitive - Page 42*

### **Competitive**

*Competitive - Page 45*

## **8. Operations Report**

*Operations Report - Page 61*

**9. Financial Report**

*Financial Report - Page 76*

**10. Ridership Report**

*Ridership Report - Page 100*

**11. Capital Program Report**

*Capital Program Report - Page 110*

Date of next meeting: Tuesday, January 20, 2015 at 8:30 AM

Minutes of the Regular Meeting  
Metro-North Committee  
Monday, November 17, 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 Metro-North Committee  
Hon. Mitchell H. Pally, Chairman of the Long Island Committee  
Hon. Jonathan A. Ballan  
Hon. Robert C. Bickford  
Hon. Norman Brown  
Hon. Ira R. Greenberg  
Hon. Susan G. Metzger  
Hon. Charles G. Moerdler  
Hon. John J. Molloy  
Hon. Carl V. Wortendyke

Not Present:

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

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  
Kim Porcelain – Vice President, Finance and Information Systems  
Robert Rodriguez – Director, Diversity and EEO  
Michael Shiffer – Vice President – Operations Planning

The members of the Metro-North Committee met jointly with the members of the Long Island Committee. Mr. Sedore, as Chairman of the Metro-North Committee, called the joint meeting to order. For matters relating to Long Island Rail Road business, please see the separate minutes of the Long Island Committee.

Two public speakers addressed the Committee. Murray Bodin expressed his opinion that Chairmen Sedore and Pally have the responsibility for ensuring that changes are made to what the speaker regards as outdated rules, such as, the blowing of train horns at high-level stations. Michael Doyle, the ACRE representative for Metro-North Engineers, read a letter he wrote to the Metro-North Vice President of Labor Relations regarding contract negotiations, in which he expressed, among other things, ACRE's desire to resolve differences and come to an agreement. Additional details of the comments made by Mr. Bodin and Mr. Doyle 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 October 27, 2014 Committee meeting. Board member Moerdler was not present for the vote. There were no changes to the 2014 work plans.

### **MTA METRO-NORTH RAILROAD PRESIDENT'S REPORT**

President Giulietti noted that this is his first joint meeting with Patrick A. Nowakowski, and recognized the partnership that exists between the two railroads.

President Giulietti discussed the NTSB findings on five Metro-North accidents, noting that the reports focus on significant events and point out necessary corrective measures. He noted that Metro-North has taken corrective action and will continue to implement reforms needed to better ensure the safety of its customers and employees. President Giulietti, Anne Kirsch and Donna Evans will be attending a meeting with the NTSB on Wednesday, November 19, 2014, in Washington, D.C., to discuss the safety issues identified during the in-depth special investigation of Metro-North that was initiated as a result of the early findings from the five investigations conducted by the NTSB. Metro-North will continue to work with the NTSB to identify and implement any further improvements to the safety of its operation.

President Giulietti reported on Metro-North operations, noting that ongoing, aggressive track maintenance and improvement work, an increase in number of speed restrictions due to enhanced track inspections and delays related to slip-slide conditions were contributing factors in the significant increase in train delays of six to 10 minutes in October 2014. He noted that the slip-slide condition is a typical fall occurrence which will continue through November. Slip-slide conditions and speed restrictions have also created issues in the sequencing of trains at Woodlawn, where the New Haven and Harlem Lines converge and at Mott Haven where trains merge with the Hudson Line. As a result, in October, the AM Peak operated 8.3% below goal; while the PM Peak continued to perform above goal across all three lines. Train performance issues led to an increase in customer complaints of 12% from September to October primarily in the categories of "late or canceled trains" and "insufficient consists" (crowded conditions). However, overall, customer complaints have fallen 42% system-wide since May.

President Giulietti noted that no major issues have arisen as a result of the November 9 schedule change. Metro-North is monitoring its service and the input from train crew observations, customer feedback, and actual customer counts. As of November 17, cars have been added to three New Haven Line trains to reduce crowding. Metro-North has developed special timetables for Thanksgiving Weekend, Christmas and New Year's to address the travel demands of its customers over these holiday periods. Shoppers' Specials will also operate during the holiday travel period.

President Giulietti reported on on-going station enhancements, noting that station improvements will be completed in 2014 at Brewster, Purdy's, Golden's Bridge, Hartsdale and Otisville Stations. Work at Scarsdale Station to improve the appearance of the station environment, including painting of the structural steel, improved lighting and wire mesh benches, will also be completed.

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 September 2014 and gave an overview of Metro-North's enhanced safety actions. She noted that while employee injuries increased 5% as compared to September 2013, customer injuries decreased 34%. She reported that a Safety Stand-down was held on September 30, 2014, and that the next Safety Stand-down will take place on December 11. She also 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 discussed crime on the Metro-North system, noting that in October 2014, total major felonies decreased compared to the comparable period in 2013. The details of Chief Coan's report are contained in the MTA Police Report filed with the records of this meeting and in the video recording of the meeting produced by the MTA and maintained in the MTA records.

### **MTA Metro-North Railroad Information Items:**

Five informational items were reported to the Committee:

- 2015 Preliminary Budget – President Giulietti noted that the preliminary budget was presented at the July MTA Board meeting, is available on the website and is placed on the agenda of the Committee meetings to facilitate and invite public comment.

- Review of Committee Charter – President Giulietti stated that the Charter is a required annual work plan information item with no changes recommended at this time.
- Customer Satisfaction Survey – President Giulietti noted that the survey was distributed following a lengthy period where the railroad performed below expectations. Overall satisfaction with Metro-North was 73% in the 2014 survey, which was a full 20 points below the 93% rating achieved in 2013. President Giulietti stressed that Metro-North will continue to make improvements to its service.
- Diversity/EEO Report – 3<sup>rd</sup> Quarter 2014 – President Giulietti noted that the report will be discussed in detail at the Diversity Committee meeting. He noted that he is pleased with the achievements made by Metro-North’s Office of Diversity and EEO and by the Human Resources Office.
- Elevator & Escalator Service Report – 3<sup>rd</sup> Quarter 2014 – President Giulietti reported that the overall reliability of the elevators and escalators is good and that escalators three and four located near the market in Grand Central Terminal have been placed back in service.

The details of the 2015 Preliminary Budget are on the MTA Website. The details of the above items are contained in staff summaries and reports filed with the records of this meeting and in the video recording of the meeting produced by the MTA and maintained in the MTA records, which recording includes discussions between the Committee members and President Giulietti related to the information items.

**MTA Metro-North Railroad Action Item:**

- New Haven Line Connecticut Fare Increase – 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.

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

**Procurements:**

**MTA Metro-North Railroad**

One non-competitive procurement was presented to the Committee:

- Approval for additional funding to an in-place, negotiated and Board approved All-Agency agreement with New York State Industries for the Disabled (NYSID) for as-needed temporary personnel services.

Five competitive procurements were presented to the Committee.

- Approval of a 36-month competitively solicited and negotiated design-build contract with 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.
- Approval of two 36 month competitively solicited contracts to (1) 4D Security Solutions and (2) Sepsa North America for the Design and Delivery of Video Recording systems for Metro-North and Long Island Rail Road.
- Approval of a competitively solicited and negotiated 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.
- Approval of a competitively solicited three-year miscellaneous service contract to retain (1) Peter Pan Lines, (2) Leprechaun Lines, (3) White Plains Bus Co. and (4) Greater Bridgeport Transit to furnish emergency and scheduled bus services on an as-needed basis.

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

### **Long Island Rail Road**

Upon motion duly made and seconded, the Long Island Committee voted to recommend various Long Island Rail Road procurements to the Board for approval, including the following Long Island Rail Road non-competitive procurement that relates to Metro-North:

- A sole source omnibus award to Ansaldo STS USA, Inc. for a 36-month period for engineering services and parts to support Long Island Rail Road, Metro-North Railroad and New York City Transit's current inventory of equipment designed and manufactured by Ansaldo, the OEM and designer and only responsible source for various wayside switch and signal systems installed and operated by Long Island Rail Road, Metro-North Railroad and New York City Transit, as well as Automatic Speed Control Systems installed on Long Island Rail Road and Metro-North Railroad rolling stock.

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

The details of these items are contained in the reports filed with the records of the meeting and in the video recording of the meeting produced by the MTA and maintained in the

MTA records, which recording includes discussions between Committee members, staff and President Giulietti relating to the above items.

**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

Nov 2014 Committee Minutes  
Legal/Corporate/Committee Minutes Current

## 2014 Metro-North Railroad Committee Work Plan

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<b><u>I. 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	
<b><u>II. SPECIFIC AGENDA ITEMS</u></b>	<u>Responsibility</u>
<u>December 2014</u>	
2015 Final Proposed Budget	Finance
2015 Proposed Committee Work Plan	Committee Chairs & Members
<u>January 2015</u>	
Approval of 2015 Committee Work Plan	Committee Chairs & Members
<u>February 2015</u>	
Adopted Budget/Financial Plan 2015	Finance
2014 Annual Operating Results	Operations
Elevator & Escalator Service Report–4 <sup>th</sup> Quarter 2014	Operations
<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
<u>April 2015 (Joint meeting with LIRR)</u>	
Final Review of 2014 Operating Budget Results	Finance
2015 Spring/Summer Schedule Change	Operations Planning & Analysis
Annual Inventory Report	Procurement
<u>May 2015</u>	
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  
Grand Central Terminal Retail Development

President  
MTA Real Estate

July 2015

Environmental Audit

Environmental Compliance

September 2015

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

Finance  
Finance  
Operations  
Diversity and EEO

October 2015

2016 Preliminary Budget (Public Comment)  
2015 Fall Schedule Change

Finance  
Operations Planning & Analysis

November 2015 (Joint meeting with LIRR)

2016 Preliminary Budget (Public Comment)  
Annual Committee Charter Review  
Holiday Schedule  
Elevator & Escalator Service Report–3<sup>rd</sup> Quarter 2015  
Diversity/EEO Report – 3<sup>rd</sup> Quarter 2016

Finance  
Committee Chairs & Members  
Operations Planning & Analysis  
Operations  
Diversity and EEO

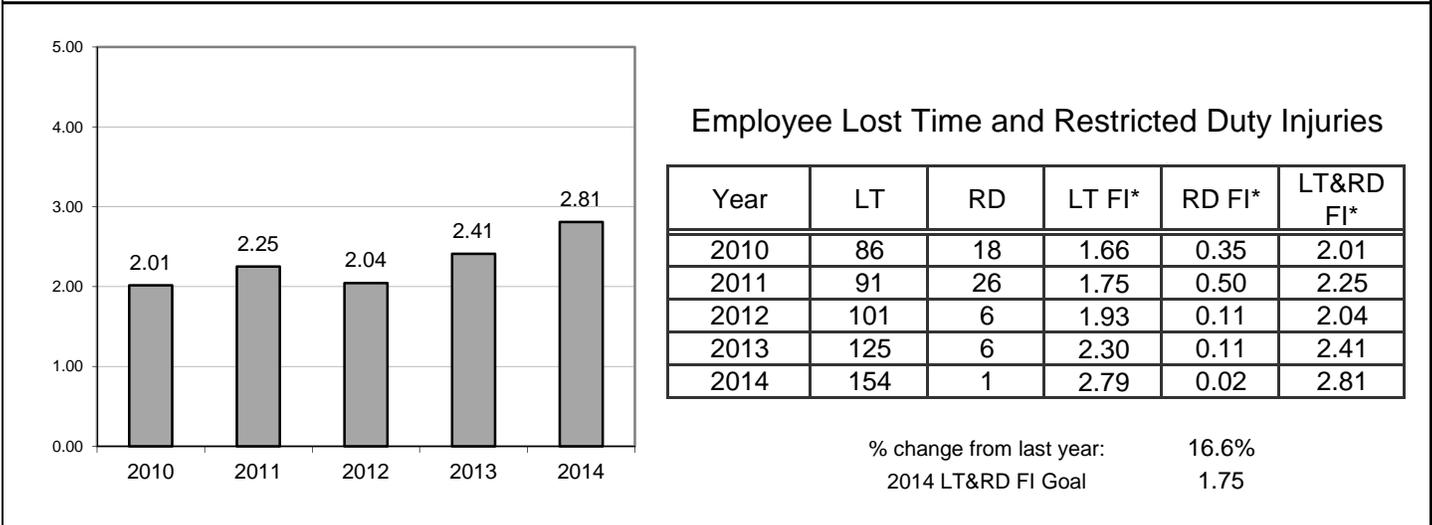
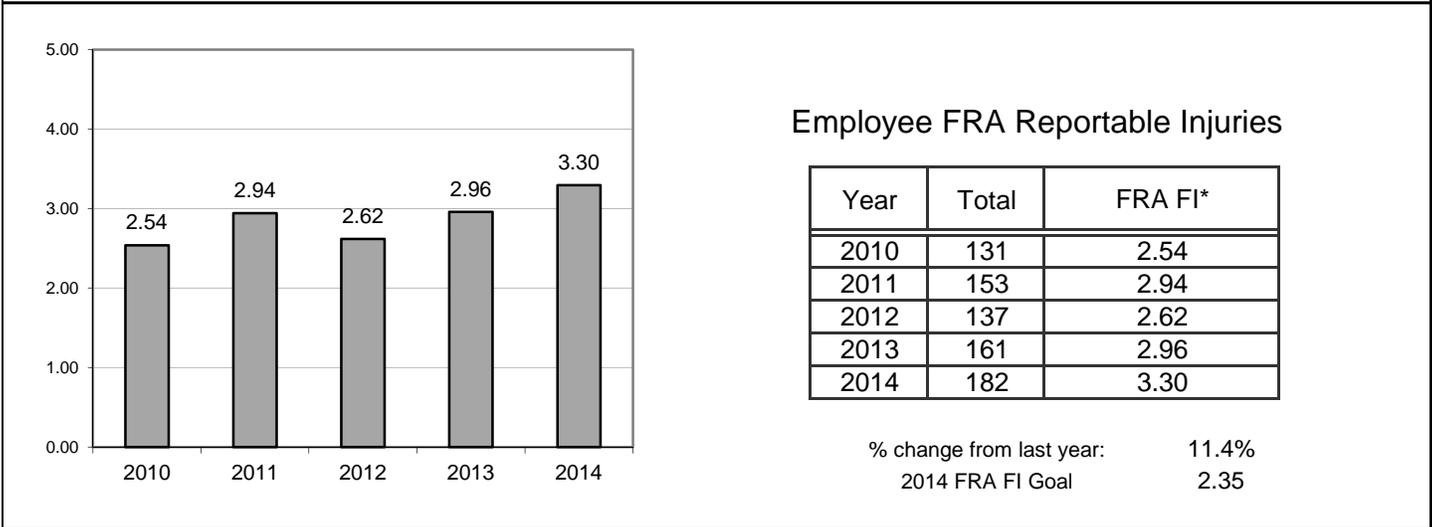
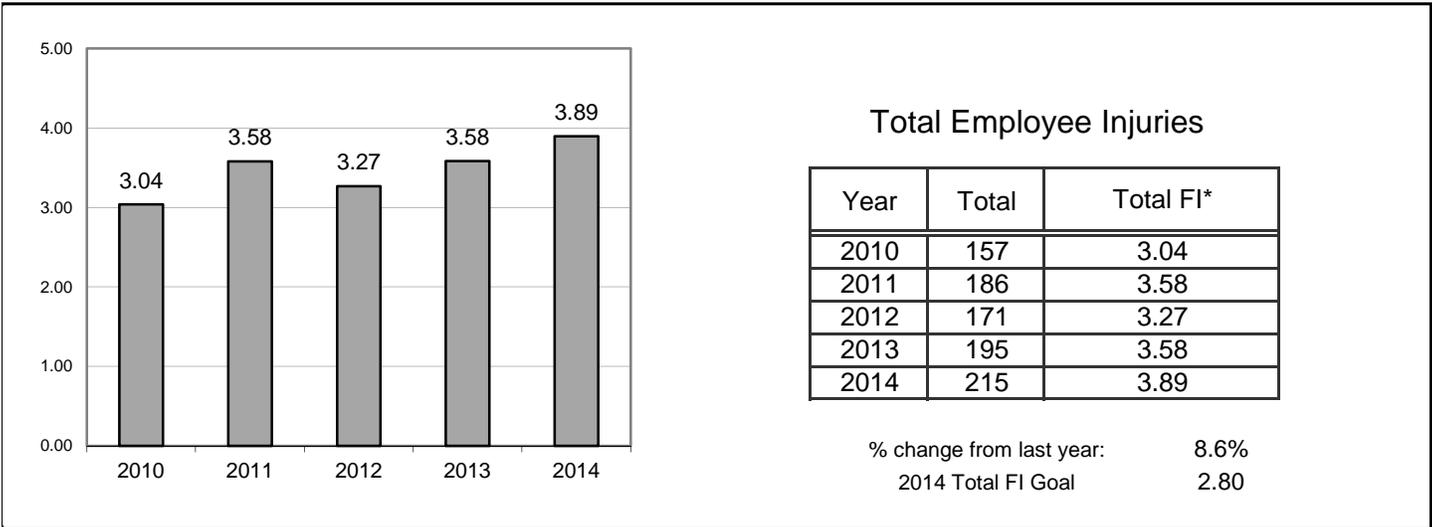


**Metro-North Railroad**

# **Safety Report**

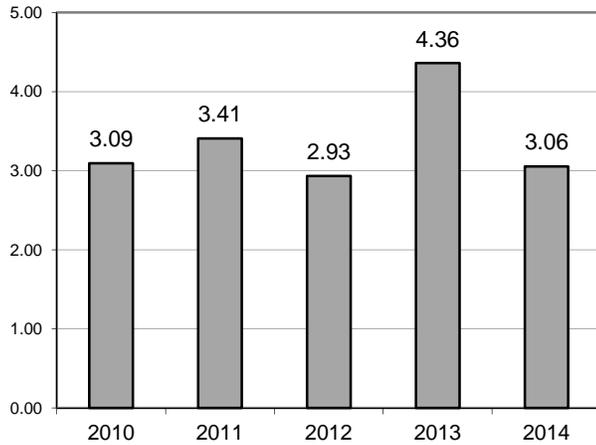
# **December 2014**

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



\* - Injuries per 200,000 hours worked

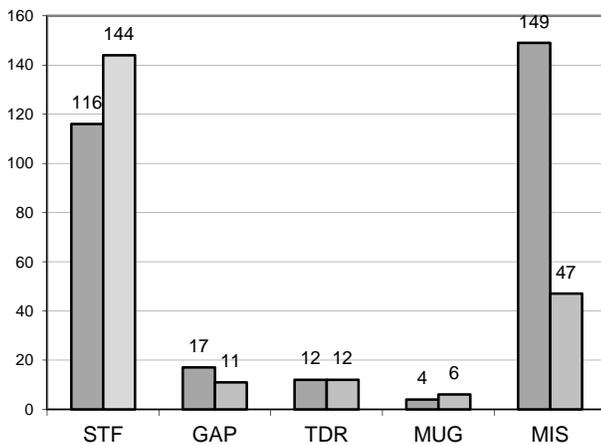
## MTA Metro-North Railroad Summary of Customer/Contractor Injuries thru October



### Total Customer Injuries

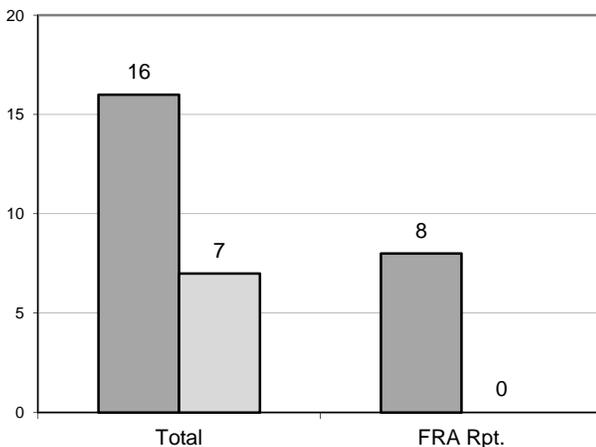
Year	Total	Total FI*
2010	203	3.09
2011	226	3.41
2012	200	2.93
2013	298	4.36
2014	211	3.06

% change from last year: -30.0%  
2014 Total FI Goal 2.70



### Top 5 Customer Injuries by Type

Year	Slip/Trip/Fall	Gap	Train Doors	Mugging	Misc.
2013	116	17	12	4	149
2014	144	11	12	6	47



### Contractor Injuries

Year	Total	FRA Rpt.
2013	16	8
2014	7	0
% Chg	-56.3%	0.0%

\* - Injuries per 1,000,000 rides

# Memorandum



**Metro-North Railroad**

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

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

- Our fourth quarter safety stand down was held on December 11, 2014, with a continued focus on motor vehicle safety and winter safety preparedness. Our next stand down will be scheduled for the end of the first quarter.
- Our waiver request was submitted to the FRA and we are awaiting their acceptance.

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 82% complete. The coach cab car fleet is 77% complete. The M2 fleet is 70% 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>• All NTSB Permanent Speed Restriction signs have been installed and placed in service.</li></ul>
<b>Speed Compliance</b>	<ul style="list-style-type: none"><li>• For the month of November, 139 compliant radar observations were performed and 189 event recorder Download Reviews with no failures. Observations are up 40% from October.</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. Delivery of key components is scheduled for mid-December in preparation for the improved installation schedule, thereby accommodating future Permanent Speed Restriction Enforcement.</li></ul>



# **Police Report December 2014**



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

**November 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>2</b>	<b>3</b>	<b>-1</b>	<b>-33%</b>
<b>Felony Assault</b>	<b>3</b>	<b>0</b>	<b>3</b>	<b>100%</b>
<b>Burglary</b>	<b>2</b>	<b>0</b>	<b>2</b>	<b>100%</b>
<b>Grand Larceny</b>	<b>7</b>	<b>8</b>	<b>-1</b>	<b>-13%</b>
<b>Grand Larceny Auto</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0%</b>
<b>Total Major Felonies</b>	<b>14</b>	<b>11</b>	<b>3</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>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>18</b>	<b>15</b>	<b>3</b>	<b>20%</b>
<b>Felony Assault</b>	<b>12</b>	<b>13</b>	<b>-1</b>	<b>-8%</b>
<b>Burglary</b>	<b>16</b>	<b>6</b>	<b>10</b>	<b>167%</b>
<b>Grand Larceny</b>	<b>94</b>	<b>89</b>	<b>5</b>	<b>6%</b>
<b>Grand Larceny Auto</b>	<b>1</b>	<b>6</b>	<b>-5</b>	<b>-83%</b>
<b>Total Major Felonies</b>	<b>141</b>	<b>130</b>	<b>11</b>	<b>8%</b>



**METROPOLITAN TRANSPORTATION AUTHORITY  
Police Department  
System Wide**

**November 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>3</b>	<b>6</b>	<b>-3</b>	<b>-50%</b>
<b>Felony Assault</b>	<b>5</b>	<b>0</b>	<b>5</b>	<b>100%</b>
<b>Burglary</b>	<b>4</b>	<b>0</b>	<b>4</b>	<b>100%</b>
<b>Grand Larceny</b>	<b>21</b>	<b>17</b>	<b>4</b>	<b>24%</b>
<b>Grand Larceny Auto</b>	<b>0</b>	<b>1</b>	<b>-1</b>	<b>-100%</b>
<b>Total Major Felonies</b>	<b>33</b>	<b>24</b>	<b>9</b>	<b>38%</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>58</b>	<b>40</b>	<b>18</b>	<b>45%</b>
<b>Felony Assault</b>	<b>34</b>	<b>27</b>	<b>7</b>	<b>26%</b>
<b>Burglary</b>	<b>22</b>	<b>10</b>	<b>12</b>	<b>120%</b>
<b>Grand Larceny</b>	<b>223</b>	<b>214</b>	<b>9</b>	<b>4%</b>
<b>Grand Larceny Auto</b>	<b>2</b>	<b>7</b>	<b>-5</b>	<b>-71%</b>
<b>Total Major Felonies</b>	<b>339</b>	<b>300</b>	<b>39</b>	<b>13%</b>

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

**INDEX CRIME REPORT**  
**Per Day Average**  
**November 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>	3	0	2	1
<b>Fel. Assault</b>	5	2	3	0
<b>Burglary</b>	4	2	2	0
<b>Grand Larceny</b>	21	13	7	1
<b>GLA</b>	0	0	0	0
<b>Total</b>	<b>33</b>	<b>17</b>	<b>14</b>	<b>2</b>
<b>Crimes Per Day</b>	<b>1.10</b>	<b>0.57</b>	<b>0.47</b>	<b>0.07</b>



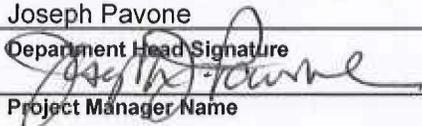
# MTA Police Department Arrest Summary: Department Totals

1/1/2014 to 11/30/2014

Arrest Classification	Total Arrests	
	2014	2013
Murder	0	2
Robbery	52	44
Felony Assault	30	34
Burglary	10	10
Grand Larceny	66	65
Grand Larceny Auto	3	1
Aggravated Harassment	2	2
Aggravated Unlicensed Operator	34	47
Assault-Misdemeanor	53	62
Breach of Peace	10	9
Child Endangerment	1	3
Conspiracy	0	12
Criminal Contempt	4	6
Criminal Impersonation	2	10
Criminal Mischief	28	41
Criminal Possession Stolen Property	15	26
Criminal Tampering	0	3
Criminal Trespass	22	39
Disorderly Conduct	2	10
Drug Offenses	48	30
DUI Offenses	12	16
Failure to Appear	0	1
Falsely Reporting an Incident	4	9
Forgery	87	22
Fraud	6	8
Graffiti	10	5
Harassment	6	5
Identity Theft	0	1
Issue a Bad Check	0	2
Make Terrorist Threat	1	0
Menacing	8	16
Obstruct Government	4	10
Panhandling	1	0
Petit Larceny	97	92
Public Lewdness	38	24
Reckless Endangerment	7	8
Resisting Arrest	48	65
Sex Offenses	11	10
Stalking	2	1
Theft of Services	132	89
Unlawful Imprisonment/Kidnapping	0	2
Unlawful Surveillance	2	1
VTL Offenses	2	4
Warrant Arrest	52	35
Weapons Offenses	7	7
Unauthorized Use Vehicle	0	1
<b>Total Arrests</b>	<b>919</b>	<b>890</b>



## Staff Summary

<b>Subject</b> MNR 2015 Budget and 2015-2018 Financial Plan Adoption
<b>Department</b> Budget
<b>Department Head Name</b> Joseph Pavone
<b>Department Head Signature</b> 
<b>Project Manager Name</b>

<b>Date</b> December 4, 2014
<b>Vendor Name</b>
<b>Contract Number</b>
<b>Contract Manager Name</b>
<b>Table of Contents Ref#</b>

Board Action					
Order	To	Date	Approval	Info	Other
1	MNR&LIRR Comm. Mtg.	12/15			
2	MTA Fin. Comm.	12/15			
3	MTA Board Mtg.	12/17			

Internal Approvals			
Order	Approval	Order	Approval
1	President		Budget
	VP Operations		VP Capital Programs
2	VP Finance & IT		Engr/Const
	Controller		Project Reporting

Internal Approvals (cont.)							
Order	Approval	Order	Approval	Order	Approval	Order	Approval
	VP Planning & Development		Corporate & Public Affairs		Labor Relations		General Counsel
	Press		VP Human Resources		Human Resources		Other

### Purpose

To secure MTA Board adoption of the MTA Metro-North Railroad's (MNR) 2014 November Forecast, 2015 Final Proposed Budget, and the Four-Year Financial Plan 2015-2018.

### Discussion:

The November 2015-2018 Financial Plan reflects the financial resources required to continue Metro-North's focus on strategic investments that promote safe, secure and reliable transportation service for our customers, and a safe and secure working environment for our employees. To meet this goal, Metro-North has proposed a significant number of new initiatives to assess and improve the safety and reliability of the railroad's operations and infrastructure. These initiatives, which are described below, were driven by recommendations from recently completed reviews by the Federal Railroad Administration (FRA), the National Transportation Safety Board (NTSB), Transportation Technology Center Inc. (TTCI), the MTA Blue Ribbon Panel on safety and on-going reviews by Metro-North management. The cost of these proposed safety investments is excluded from Metro-North's November 2015-2018 Financial Plan; however, they have been incorporated as part of the MTA consolidated Financial Plan presentation. Similarly, new West of Hudson service has been proposed which is also described below and is part of the MTA-wide service investment plan.

In addition to new safety and service investments, Metro-North's 2015 Final Proposed Budget sustains core programs, and incorporates initiatives that support or improve service reliability and enhance customer service delivery, convenience and communication.

The 2014 November Forecast projects 84.9 million East and West of Hudson riders, an increase of 1.8% over 2013. 2015-2018 ridership is projected to grow approximately 1.9% annually with growth occurring across all commuter lines. Metro-North's financial plan projections assume no fare increase in New York State and an approved fare increase in the State of Connecticut of 1.0% in 2015, followed by annual increases of 1.0% in 2016 through 2018.

The November 2015-2018 Financial Plan also reflects the financial impact of the recent settlement with several MNR unions, following the pattern established in the LIRR Union Coalition settlement, and the assumption that all unsigned unions will follow the same pattern.

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

## Major Programmatic Initiatives included in the Financial Plan

### **Improve Service Reliability**

- In partnership with CDOT, Metro-North continues to phase-in new M-8 cars to replace the entire New Haven Line electric car fleet, with all new cars expected to be in service by the end of 2014.
- The M-7 car fleet is beginning a 10-year life cycle maintenance program which includes both mechanical component replacement as well as interior seat replacement.
- To ensure the efficient management and maintenance of Metro-North's assets, resources have been added for the development of a new Enterprise Asset Management system.

### **Customer Service initiatives that improve customer communication and convenience**

- Continuation of the cyclical station inspection, maintenance and enhancement program.
- Joint commuter railroad replacement of on-board Ticket Issuing Machines (TIMs) that support smartphones and other mobile devices.
- A joint study with the LIRR to develop a new long-term strategy for fare collections.
- Installation of new customer information monitors and platform signage at New York State outlying stations.
- Improvements to the Integrated Voice Response Customer Call-in System.

## Proposed Initiatives included in the MTA Consolidated Financial Plan

### **Safety Investments**

The majority of new Metro-North initiatives are safety-related and crucial to the achievement of short and long-term operating plans. They specifically address regulatory requirements or recommended actions by the FRA, NTSB, railroad industry experts and Metro-North management.

- **Safety Department Reorganization** – includes the separation of the previously combined safety and security departments to ensure dedicated attention to each of these important functions. A more focused and expanded Safety Department will be better equipped to promote changes to Metro-North's safety culture, provide concrete safety enhancements, perform a review and overhaul of the System Safety Program Plan, implement employee safety training and testing programs, and create a new Data Analysis and Incident Investigation Unit.
- **Continuation and Expansion of the Maintenance of Way Infrastructure Improvement Program**
  - Reorganization of the MofW department will continue in 2015 to provide a more efficient and productive management structure, ensure better compliance with industry standards, and incorporate best maintenance practices.
  - Two specialized track gangs will be established to create cyclical maintenance programs that improve track interlocking maintenance and right-of-way drainage systems.
  - Continue to employ advanced inspection technology to increase the effectiveness of track maintenance programs.
  - Procure track and power system geometry equipment to improve the accuracy and efficiency of infrastructure testing and maintenance.
  - Upgrade GCT Fire Life Safety systems.
- **Training Department Reorganization** – will improve the oversight and coordination of all training functions across Metro-North, undertake a comprehensive review of all existing training programs, and centralize training record keeping and reporting.
- **Positive Train Control (PTC)** – additional maintenance forces will be phased-in with the installation of PTC as this system will significantly increase the volume of signal equipment and electronic systems requiring mandated inspection, maintenance and repair.
- **Video /Audio Recording Equipment on Passenger Equipment and Locomotives** – will be installed to aid in post-accident/incident investigations.

### **Service Investments:**

- Proposed 2015 West of Hudson service investments include:
  - A one year pilot program to reduce parking fees at Metro-North owned facilities for both daily and annual permit holders.
  - Additional mid-day Port Jervis Line train service scheduled for late 2015.

**2014 Budget Reduction Initiatives** of \$4.5 million have been incorporated into Metro-North's 2014 November Forecast-Baseline and continue in the 2015 Final Proposed Budget and 2015-2018 Financial Plan. These initiatives include lower consumption of inventory and supplies, an increase in GCT retail revenue, a reduction of contracted service costs, and expenditure timing adjustments.

**2014 November Forecast-Baseline**

The 2014 non-reimbursable forecast reflects revenues totaling \$714.0 million, including \$653.9 million of farebox revenues and \$60.1 million in other operating revenue. Total operating expense projections of \$1,555.9 million consist of labor costs of \$890.3 million, non-labor costs of \$368.8 million and non-cash accruals of \$296.8 million for depreciation (\$228.5 million), other post-employment benefits (\$65.1 million) and environmental remediation (\$3.2 million). After including additional favorable cash adjustments of \$25.3 million, the projected net cash deficit is \$519.9 million of which \$424.8 million represents the MTA share and \$95.0 million the ConnDOT share. Projected reimbursable expenses of \$203.9 million are fully offset by capital reimbursements. Total end-of-year positions are projected at 6,587 and include 5,969 non-reimbursable positions and 618 reimbursable positions.

**2015 Final Proposed Budget-Baseline**

The 2015 final proposed non-reimbursable budget reflects revenues totaling \$730.8 million. Farebox Revenue of \$672.2 million reflecting slightly higher non-commutation ridership and a 1% State of Connecticut annual fare increase effective January 1<sup>st</sup>, 2015 through 2018. Other Operating Revenue of \$58.6 million reflects GCT net retail revenues, advertising, commissary operations, outlying station & parking revenue as well as a one-time recovery of Tropical Storm Sandy damages that was rescheduled to 2015 from 2014. Total Operating Expense projections of \$1,494.1 million consist of labor costs of \$835.1 million, non-labor costs of \$356.1 million and non-cash accruals of \$303.0 million, which are comprised of depreciation (\$231.5 million), other post-employment benefits (\$68.3 million) and Environmental Remediation (\$3.2 million). After additional cash adjustments of \$130.4 million, the projected net cash deficit is \$590.8 million of which \$449.1 million represents the MTA share and \$141.7 million the ConnDOT share. Projected reimbursable expenses of \$211.5 million are fully offset by capital reimbursements. Total end-of-year positions are projected at 6,648 and include 5,946 non-reimbursable positions and 702 reimbursable positions.

**Impact on Funding:** The 2014 November Forecast, the 2015 Final Proposed Budget and the Four-Year Financial Plan for 2015-2018, which are presented in the attached schedules, are consistent with the proposed MTA Financial Plan

**Recommendation:** It is recommended that the MTA Board adopt MTA Metro-North Railroad's 2014 November Forecast, 2015 Final Proposed Budget, and the Four-Year Financial Plan for 2015-2018

**MTA Metro-North Railroad**  
**November Financial Plan 2015 - 2018**  
**Accrual Statement of Operations by Category**  
(\$ in millions)

<b>NON-REIMBURSABLE</b>						
	<b>2013</b>	<b>2014</b>	<b>2015</b>			
	<b>Actual</b>	<b>November</b>	<b>Final Proposed</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>
		<b>Forecast</b>	<b>Budget</b>			
<b>Operating Revenue</b>						
Farebox Revenue	\$618.812	\$653.883	\$672.236	\$686.878	\$703.272	\$715.313
Toll Revenue	0.000	0.000	0.000	0.000	0.000	0.000
Other Operating Revenue	62.094	60.111	58.605	55.768	57.162	57.606
MNR - MTA	0.000	0.000	0.000	0.000	0.000	0.000
MNR - CDOT	0.000	0.000	0.000	0.000	0.000	0.000
MNR - Other	0.000	0.000	0.000	0.000	0.000	0.000
Capital and Other Reimbursements	0.000	0.000	0.000	0.000	0.000	0.000
<b>Total Revenue</b>	<b>\$680.906</b>	<b>\$713.994</b>	<b>\$730.841</b>	<b>\$742.646</b>	<b>\$760.434</b>	<b>\$772.920</b>
<b>Operating Expenses</b>						
<b>Labor:</b>						
Payroll	\$412.077	\$512.627	\$477.386	\$492.352	\$508.374	\$517.135
Overtime	68.741	100.672	93.864	94.357	97.047	99.070
Health and Welfare	90.742	100.776	98.793	103.736	109.629	114.788
OPEB Current Payment	21.692	24.000	25.186	26.021	27.301	28.656
Pensions	77.182	95.314	85.511	86.518	86.869	87.308
Other Fringe Benefits	110.474	111.946	107.597	107.937	109.764	110.560
Reimbursable Overhead	(36.298)	(55.020)	(53.255)	(53.823)	(54.839)	(55.869)
<b>Total Labor</b>	<b>\$744.610</b>	<b>\$890.315</b>	<b>\$835.083</b>	<b>\$857.097</b>	<b>\$884.146</b>	<b>\$901.648</b>
<b>Non-Labor:</b>						
Electric Power	\$74.416	\$83.361	\$80.735	\$85.790	\$95.395	\$102.352
Fuel	29.637	29.070	27.390	26.800	27.068	27.860
Insurance	14.386	17.755	19.925	22.063	24.142	26.428
Claims	39.328	7.613	1.000	1.000	1.000	1.000
Paratransit Service Contracts	0.000	0.000	0.000	0.000	0.000	0.000
Maintenance and Other Operating Contracts	95.298	102.140	108.683	113.287	116.617	117.703
Professional Service Contracts	23.309	28.505	30.023	32.266	32.157	32.297
Materials & Supplies	65.081	74.876	74.371	78.696	77.566	75.628
Other Business Expenses	31.457	25.523	13.953	19.055	19.965	21.144
<b>Total Non-Labor</b>	<b>\$372.912</b>	<b>\$368.843</b>	<b>\$356.080</b>	<b>\$378.957</b>	<b>\$393.910</b>	<b>\$404.412</b>
<b>Other Expenses Adjustments:</b>						
Other	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>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>
<b>Total Expenses before Depreciation and GASB Adjs.</b>	<b>\$1,117.522</b>	<b>\$1,259.158</b>	<b>\$1,191.163</b>	<b>\$1,236.054</b>	<b>\$1,278.055</b>	<b>\$1,306.060</b>
Depreciation	\$230.045	\$228.525	\$231.476	\$227.237	\$229.237	\$231.237
OPEB Obligation	57.724	65.098	68.316	69.982	73.366	76.940
Environmental Remediation	1.927	3.169	3.172	3.172	3.172	3.172
<b>Total Expenses</b>	<b>\$1,407.219</b>	<b>\$1,555.949</b>	<b>\$1,494.127</b>	<b>\$1,536.446</b>	<b>\$1,583.831</b>	<b>\$1,617.409</b>
<b>Baseline Surplus/(Deficit)</b>	<b>(\$726.313)</b>	<b>(\$841.955)</b>	<b>(\$763.286)</b>	<b>(\$793.800)</b>	<b>(\$823.397)</b>	<b>(\$844.489)</b>
<b>Cash Conversion Adjustments:</b>						
Depreciation	\$230.045	\$228.525	\$231.476	\$227.237	\$229.237	\$231.237
Operating/Capital	(24.512)	(26.382)	(38.524)	(31.489)	(22.726)	(27.312)
Other Cash Adjustments	121.538	119.961	(20.420)	87.138	77.677	76.247
<b>Total Cash Conversion Adjustments</b>	<b>\$327.071</b>	<b>\$322.104</b>	<b>\$172.532</b>	<b>\$282.887</b>	<b>\$284.188</b>	<b>\$280.173</b>
<b>Baseline Cash Surplus/(Deficit)</b>	<b>(\$399.242)</b>	<b>(\$519.851)</b>	<b>(\$590.754)</b>	<b>(\$510.913)</b>	<b>(\$539.208)</b>	<b>(\$564.316)</b>

**MTA Metro-North Railroad**  
**November Financial Plan 2015 - 2018**  
**Accrual Statement of Operations by Category**  
(\$ in millions)

<b>REIMBURSABLE</b>	<b>2014</b>		<b>2015</b>			
	<b>2013</b>	<b>November</b>	<b>Final Proposed</b>			
	<b>Actual</b>	<b>Forecast</b>	<b>Budget</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>
<b>Revenue</b>						
Farebox Revenue	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Toll Revenue	0.000	0.000	0.000	0.000	0.000	0.000
Other Operating Revenue	0.000	0.000	0.000	0.000	0.000	0.000
MNR - MTA	81.571	114.748	131.311	142.183	142.023	144.978
MNR - CDOT	58.111	74.207	59.062	74.725	94.426	114.487
MNR - Other	11.688	14.940	21.111	19.803	20.171	20.559
Capital and Other Reimbursements	151.370	203.895	211.483	236.711	256.620	280.024
<b>Total Revenue</b>	<b>\$151.370</b>	<b>\$203.895</b>	<b>\$211.483</b>	<b>\$236.711</b>	<b>\$256.620</b>	<b>\$280.024</b>
<b>Expenses</b>						
<b>Labor:</b>						
Payroll	\$36.561	\$47.083	\$53.625	\$54.631	\$55.664	\$56.716
Overtime	15.822	25.877	17.756	18.088	18.430	18.778
Health and Welfare	12.040	13.583	15.562	15.899	16.606	17.433
OPEB Current Payment	0.000	0.000	0.000	0.000	0.000	0.000
Pensions	7.274	10.643	8.690	8.808	8.772	8.865
Other Fringe Benefits	9.259	11.075	12.624	12.944	13.286	13.587
Reimbursable Overhead	33.940	52.756	51.844	52.813	53.811	54.821
<b>Total Labor</b>	<b>\$114.896</b>	<b>\$161.018</b>	<b>\$160.100</b>	<b>\$163.183</b>	<b>\$166.569</b>	<b>\$170.200</b>
<b>Non-Labor:</b>						
Electric Power	\$0.215	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Fuel	0.001	0.000	0.000	0.000	0.000	0.000
Insurance	2.891	3.691	4.309	4.408	4.491	4.576
Claims	0.000	0.000	0.000	0.000	0.000	0.000
Paratransit Service Contracts	0.000	0.000	0.000	0.000	0.000	0.000
Maintenance and Other Operating Contracts	14.605	8.778	11.533	18.826	26.260	33.802
Professional Service Contracts	5.412	8.908	4.771	9.920	15.123	20.450
Materials & Supplies	11.626	18.904	30.204	39.800	43.594	50.402
Other Business Expenses	1.724	2.597	0.565	0.574	0.583	0.593
<b>Total Non-Labor</b>	<b>\$36.475</b>	<b>\$42.878</b>	<b>\$51.383</b>	<b>\$73.528</b>	<b>\$90.051</b>	<b>\$109.824</b>
<b>Other Adjustments:</b>						
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>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>
<b>Total Expenses before Depreciation</b>	<b>\$151.370</b>	<b>\$203.895</b>	<b>\$211.483</b>	<b>\$236.711</b>	<b>\$256.620</b>	<b>\$280.024</b>
Depreciation	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
OPEB Obligation	0.000	0.000	0.000	0.000	0.000	0.000
Environmental Remediation	0.000	0.000	0.000	0.000	0.000	0.000
<b>Total Expenses</b>	<b>\$151.370</b>	<b>\$203.895</b>	<b>\$211.483</b>	<b>\$236.711</b>	<b>\$256.620</b>	<b>\$280.024</b>
<b>Baseline Surplus/(Deficit)</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>
<b>Cash Conversion Adjustments:</b>						
Depreciation	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Operating/Capital	0.000	0.000	0.000	0.000	0.000	0.000
Other Cash Adjustments	0.000	0.000	0.000	0.000	0.000	0.000
<b>Total Cash Conversion Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>
<b>Baseline Cash Surplus/(Deficit)</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>

**MTA Metro-North Railroad**  
**November Financial Plan 2015 - 2018**  
**Accrual Statement of Operations by Category**  
(\$ in millions)

NON-REIMBURSABLE / REIMBURSABLE	2014		2015		2016	2017	2018
	2013	November	Final Proposed				
	Actual	Forecast	Budget				
<b>Revenue</b>							
Farebox Revenue	\$618.812	\$653.883	\$672.236	\$686.878	\$703.272	\$715.313	
Toll Revenue	0.000	0.000	0.000	0.000	0.000	0.000	
Other Operating Revenue	62.094	60.111	58.605	55.768	57.162	57.606	
MNR - MTA	81.571	114.748	131.311	142.183	142.023	144.978	
MNR - CDOT	58.111	74.207	59.062	74.725	94.426	114.487	
MNR - Other	11.688	14.940	21.111	19.803	20.171	20.559	
Capital and Other Reimbursements	151.370	203.895	211.483	236.711	256.620	280.024	
<b>Total Revenue</b>	<b>\$832.276</b>	<b>\$917.889</b>	<b>\$942.325</b>	<b>\$979.357</b>	<b>\$1,017.054</b>	<b>\$1,052.944</b>	
<b>Expenses</b>							
<b>Labor:</b>							
Payroll	\$448.638	\$559.710	\$531.010	\$546.983	\$564.038	\$573.851	
Overtime	84.563	126.549	111.620	112.445	115.477	117.848	
Health and Welfare	102.782	114.359	114.355	119.634	126.235	132.221	
OPEB Current Payment	21.692	24.000	25.186	26.021	27.301	28.656	
Pensions	84.456	105.958	94.201	95.326	95.641	96.173	
Other Fringe Benefits	119.733	123.021	120.221	120.881	123.050	124.147	
Reimbursable Overhead	(2.358)	(2.265)	(1.410)	(1.010)	(1.028)	(1.048)	
<b>Total Labor</b>	<b>\$859.506</b>	<b>\$1,051.332</b>	<b>\$995.183</b>	<b>\$1,020.280</b>	<b>\$1,050.715</b>	<b>\$1,071.848</b>	
<b>Non-Labor:</b>							
Electric Power	\$74.630	\$83.361	\$80.735	\$85.790	\$95.395	\$102.352	
Fuel	29.638	29.070	27.390	26.800	27.068	27.860	
Insurance	17.278	21.446	24.234	26.471	28.633	31.004	
Claims	39.328	7.613	1.000	1.000	1.000	1.000	
Paratransit Service Contracts	0.000	0.000	0.000	0.000	0.000	0.000	
Maintenance and Other Operating Contracts	109.904	110.918	120.217	132.113	142.877	151.505	
Professional Service Contracts	28.721	37.413	34.794	42.186	47.279	52.747	
Materials & Supplies	76.707	93.780	104.576	118.496	121.160	126.030	
Other Business Expenses	33.180	28.119	14.518	19.629	20.548	21.737	
<b>Total Non-Labor</b>	<b>\$409.386</b>	<b>\$411.720</b>	<b>\$407.463</b>	<b>\$452.485</b>	<b>\$483.961</b>	<b>\$514.236</b>	
<b>Other Adjustments:</b>							
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>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	
<b>Total Expenses before Depreciation and GASB Adjs.</b>	<b>\$1,268.892</b>	<b>\$1,463.053</b>	<b>\$1,402.646</b>	<b>\$1,472.765</b>	<b>\$1,534.676</b>	<b>\$1,586.084</b>	
Depreciation	\$230.045	\$228.525	\$231.476	\$227.237	\$229.237	\$231.237	
OPEB Obligation	57.724	65.098	68.316	69.982	73.366	76.940	
Environmental Remediation	1.927	3.169	3.172	3.172	3.172	3.172	
<b>Total Expenses</b>	<b>\$1,558.589</b>	<b>\$1,759.844</b>	<b>\$1,705.610</b>	<b>\$1,773.157</b>	<b>\$1,840.451</b>	<b>\$1,897.433</b>	
<b>Baseline Surplus/(Deficit)</b>	<b>(\$726.313)</b>	<b>(\$841.955)</b>	<b>(\$763.286)</b>	<b>(\$793.800)</b>	<b>(\$823.397)</b>	<b>(\$844.489)</b>	
<b>Cash Conversion Adjustments:</b>							
Depreciation	\$230.045	\$228.525	\$231.476	\$227.237	\$229.237	\$231.237	
Operating/Capital	(24.512)	(26.382)	(38.524)	(31.489)	(22.726)	(27.312)	
Other Cash Adjustments	121.538	119.961	(20.420)	87.138	77.677	76.247	
<b>Total Cash Conversion Adjustments</b>	<b>\$327.071</b>	<b>\$322.104</b>	<b>\$172.532</b>	<b>\$282.887</b>	<b>\$284.188</b>	<b>\$280.173</b>	
<b>Baseline Cash Surplus/(Deficit)</b>	<b>(\$399.242)</b>	<b>(\$519.851)</b>	<b>(\$590.754)</b>	<b>(\$510.913)</b>	<b>(\$539.208)</b>	<b>(\$564.316)</b>	

**MTA Metro-North Railroad  
November Financial Plan 2015 - 2018  
Cash Receipts & Expenditures  
(\$ in millions)**

CASH RECEIPTS AND EXPENDITURES						
	2013	2014	2015			
	Actual	November Forecast	Final Proposed Budget	2016	2017	2018
<b>Receipts</b>						
Farebox Revenue	\$627.680	\$659.527	\$678.065	\$692.872	\$709.501	\$721.846
Toll Revenue	0.000	0.000	0.000	0.000	0.000	0.000
Other Operating Revenue	76.869	90.834	77.250	66.721	70.284	69.403
MNR - MTA	76.808	94.602	140.864	139.332	141.242	144.095
MNR - CDOT	59.747	64.842	69.650	74.703	93.836	113.671
MNR - Other	24.616	13.272	21.766	20.106	20.083	20.467
Capital and Other Reimbursements	161.171	172.715	232.280	234.141	255.162	278.232
<b>Total Receipts</b>	<b>\$865.720</b>	<b>\$923.076</b>	<b>\$987.596</b>	<b>\$993.734</b>	<b>\$1,034.947</b>	<b>\$1,069.482</b>
<b>Expenditures</b>						
<b>Labor:</b>						
Payroll	\$443.133	\$498.946	\$608.413	\$544.201	\$563.414	\$570.882
Overtime	84.693	110.056	127.938	110.121	113.724	115.517
Health and Welfare	104.543	118.345	118.218	123.275	129.892	135.661
OPEB Current Payment	20.966	24.000	25.186	26.021	27.301	28.656
Pensions	80.958	78.212	110.995	94.715	94.777	95.015
Other Fringe Benefits	102.764	115.823	126.330	119.082	121.844	122.355
GASB Account	0.000	4.450	0.000	0.000	0.000	0.207
Reimbursable Overhead	0.000	0.000	(0.000)	0.000	(0.000)	0.000
<b>Total Labor</b>	<b>\$837.057</b>	<b>\$949.831</b>	<b>\$1,117.080</b>	<b>\$1,017.415</b>	<b>\$1,050.951</b>	<b>\$1,068.293</b>
<b>Non-Labor:</b>						
Electric Power	\$75.677	\$84.833	\$87.127	\$87.379	\$97.032	\$104.038
Fuel	24.074	27.518	26.535	25.920	26.162	26.926
Insurance	15.895	22.516	23.905	25.941	29.105	30.468
Claims	1.423	33.882	9.419	1.146	1.146	1.146
Paratransit Service Contracts	0.000	0.000	0.000	0.000	0.000	0.000
Maintenance and Other Operating Contracts	123.780	127.378	115.316	128.473	145.468	162.059
Professional Service Contracts	33.120	41.200	45.230	51.492	53.797	60.615
Materials & Supplies	100.961	103.622	108.653	122.104	124.807	132.096
Other Business Expenses	52.975	52.148	45.083	44.777	45.689	48.158
<b>Total Non-Labor</b>	<b>\$427.905</b>	<b>\$493.095</b>	<b>\$461.268</b>	<b>\$487.232</b>	<b>\$523.205</b>	<b>\$565.506</b>
<b>Other Adjustments:</b>						
Other	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Cash Timing and Availability Adjustment	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>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>
<b>Total Expenditures</b>	<b>\$1,264.962</b>	<b>\$1,442.927</b>	<b>\$1,578.349</b>	<b>\$1,504.647</b>	<b>\$1,574.156</b>	<b>\$1,633.799</b>
<b>Baseline Cash Deficit</b>	<b>(\$399.242)</b>	<b>(\$519.851)</b>	<b>(\$590.753)</b>	<b>(\$510.913)</b>	<b>(\$539.209)</b>	<b>(\$564.317)</b>
<b>Subsidies</b>						
MTA	\$333.789	\$424.829	\$449.083	\$414.842	\$440.475	\$462.479
CDOT	70.838	95.021	\$141.671	\$96.072	\$98.733	\$101.801
<b>Total Subsidies</b>	<b>\$404.627</b>	<b>\$519.851</b>	<b>\$590.754</b>	<b>\$510.914</b>	<b>\$539.208</b>	<b>\$564.280</b>

**MTA Metro-North Railroad**  
**November Financial Plan 2015 - 2018**  
**Cash Conversion (Cash Flow Adjustments)**  
(\$ in millions)

<b>CASH FLOW ADJUSTMENTS</b>						
	<b>2013</b>	<b>2014</b>	<b>2015</b>			
	<b>Actual</b>	<b>November</b>	<b>Final Proposed</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>
<b>Receipts</b>						
Farebox Revenue	\$8.868	\$5.644	\$5.830	\$5.995	\$6.229	\$6.533
Toll Revenue	0.000	0.000	0.000	0.000	0.000	0.000
Other Operating Revenue	14.775	30.723	18.645	10.953	13.122	11.797
MNR - MTA	(4.763)	(20.146)	9.554	(2.851)	(0.781)	(0.883)
MNR - CDOT	1.636	(9.366)	10.588	(0.023)	(0.589)	(0.816)
MNR - Other	12.928	(1.668)	0.655	0.303	(0.088)	(0.093)
Capital and Other Reimbursements	9.801	(31.180)	20.797	(2.570)	(1.459)	(1.792)
<b>Total Receipts</b>	<b>\$33.444</b>	<b>\$5.187</b>	<b>\$45.271</b>	<b>\$14.377</b>	<b>\$17.893</b>	<b>\$16.538</b>
<b>Expenditures</b>						
<b>Labor:</b>						
Payroll	\$5.505	\$60.764	(\$77.402)	\$2.782	\$0.625	\$2.968
Overtime	(0.130)	16.493	(16.319)	2.323	1.753	2.331
Health and Welfare	(1.761)	(3.986)	(3.863)	(3.641)	(3.656)	(3.440)
OPEB Current Payment	0.726	0.000	0.000	0.000	0.000	0.000
Pensions	3.498	27.746	(16.794)	0.611	0.864	1.158
Other Fringe Benefits	16.969	7.198	(6.109)	1.799	1.206	1.791
GASB Account	0.000	(4.450)	0.000	0.000	0.000	(0.207)
Reimbursable Overhead	(2.358)	(2.265)	(1.410)	(1.010)	(1.028)	(1.048)
<b>Total Labor</b>	<b>\$22.449</b>	<b>\$101.501</b>	<b>(\$121.897)</b>	<b>\$2.865</b>	<b>(\$0.237)</b>	<b>\$3.555</b>
<b>Non-Labor:</b>						
Electric Power	(\$1.046)	(\$1.472)	(\$6.393)	(\$1.589)	(\$1.637)	(\$1.686)
Fuel	5.564	1.552	0.855	0.880	0.907	0.934
Insurance	1.383	(1.070)	0.330	0.530	(0.472)	0.536
Claims	37.905	(26.268)	(8.419)	(0.146)	(0.146)	(0.146)
Paratransit Service Contracts	0.000	0.000	0.000	0.000	0.000	0.000
Maintenance and Other Operating Contracts	(13.876)	(16.460)	4.901	3.640	(2.591)	(10.554)
Professional Service Contracts	(4.399)	(3.787)	(10.436)	(9.306)	(6.517)	(7.868)
Materials & Supplies	(24.254)	(9.842)	(4.078)	(3.608)	(3.647)	(6.066)
Other Business Expenditures	(19.795)	(24.029)	(30.565)	(25.148)	(25.141)	(26.421)
<b>Total Non-Labor</b>	<b>(\$18.518)</b>	<b>(\$81.375)</b>	<b>(\$53.805)</b>	<b>(\$34.747)</b>	<b>(\$39.244)</b>	<b>(\$51.270)</b>
<b>Other Adjustments:</b>						
Other	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
<b>Total Other Expenditure Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>
<b>Total Cash Conversion Adjustments before</b>						
<b>Depreciation and GASB Adjs.</b>	<b>\$37.375</b>	<b>\$25.313</b>	<b>(\$130.431)</b>	<b>(\$17.505)</b>	<b>(\$21.588)</b>	<b>(\$31.177)</b>
Depreciation Adjustment	\$230.045	\$228.525	\$231.476	\$227.237	\$229.237	\$231.237
OPEB Obligation	57.724	65.098	68.316	69.982	73.366	76.940
Environmental Remediation	1.927	3.169	3.172	3.172	3.172	3.172
<b>Baseline Total Cash Conversion Adjustments</b>	<b>\$327.071</b>	<b>\$322.104</b>	<b>\$172.533</b>	<b>\$282.887</b>	<b>\$284.187</b>	<b>\$280.172</b>

**MTA Metro-North Railroad  
November Financial Plan 2015 - 2018  
Ridership (Utilization)  
(in millions)**

	2014		2015	2016	2017	2018
	2013 Actual	November Forecast	Final Proposed Budget			
<b><u>Ridership*</u></b>						
Harlem Line	26.950	27.216	27.863	28.514	29.186	29.635
Hudson Line	15.878	16.278	16.608	16.964	17.364	17.632
New Haven Line	38.975	39.706	40.555	41.131	41.847	42.354
<b>Total Ridership</b>	<b>81.802</b>	<b>83.200</b>	<b>85.027</b>	<b>86.609</b>	<b>88.397</b>	<b>89.621</b>
<b><u>Farebox Revenue</u></b>						
Harlem Line	\$188.512	\$193.132	\$198.062	\$202.869	\$207.797	\$211.057
Hudson Line	136.007	141.324	144.307	147.483	151.055	153.437
New Haven Line	293.841	319.011	329.437	336.084	343.964	350.346
West of Hudson Mail & Ride	0.462	0.416	0.429	0.441	0.455	0.474
<b>Total Farebox Revenue</b>	<b>\$618.822</b>	<b>\$653.883</b>	<b>\$672.236</b>	<b>\$686.878</b>	<b>\$703.272</b>	<b>\$715.313</b>

\* Reflects East of Hudson Service

**MTA Metro-North Railroad**  
**Novemer Financial Plan 2015 - 2018**  
**2014 Budget Reduction Plan Summary**  
(\$ in millions)

	Favorable/(Unfavorable)									
	Pos.	2014	Pos.	2015	Pos.	2016	Pos.	2017	Pos.	2018
<b>Administration</b>										
Non-Agreement Position Vacancies (July Plan)	-	\$1,000	-	\$0,000	-	\$0,000	-	\$0,000	-	\$0,000
<i>Subtotal Administration</i>	-	1,000	-	0,000	-	0,000	-	0,000	-	0,000
<b>Customer Convenience/Amenities</b>										
None	-	0,000	-	0,000	-	0,000	-	0,000	-	0,000
<i>Subtotal Customer Convenience/Amenities</i>	-	0,000	-	0,000	-	0,000	-	0,000	-	0,000
<b>Maintenance</b>										
Timing in Locomotive Overhaul Programs (July Plan)		1,441		0,000		0,000		0,000		0,000
Changes to Genesis and BL20 Locomotive Overhaul Cycles (July Plan)		0,000		1,000		1,000		1,000		1,000
Reduction in Provisions for Contracted Shop Equipment and Communication Equipment Maintenance (July Plan)		0,200		0,700		0,400		0,400		0,400
Lower Material Requirements for NHL New Car Fleet and Communications Equipment (July Plan)		0,300		0,800		0,800		0,800		0,800
Reduce Provision for M7 Car Seat Replacement Material (July Plan)		0,000		0,500		0,500		0,500		0,500
<i>Subtotal Maintenance</i>	-	1,941	-	3,000	-	2,700	-	2,700	-	2,700
<b>Revenue Enhancement</b>										
Increase in GCT Retail and NWP Parking Spaces (July Plan)		0,500		0,500		0,500		0,500		0,500
<i>Subtotal Other</i>	-	0,500	-	0,500	-	0,500	-	0,500	-	0,500
<b>Safety/Security</b>										
None	-	0,000	-	0,000	-	0,000	-	0,000	-	0,000
<i>Subtotal Safety</i>	-	0,000	-	0,000	-	0,000	-	0,000	-	0,000
<b>Service</b>										
Delay Start of 2014 Service Change to November (July Plan)		1,000		0,000		0,000		0,000		0,000
Eliminate 2015 Service Plan Provisional (July Plan)	-	0,000	11	1,000	11	1,300	11	1,300	11	1,300
<i>Subtotal Service</i>	-	1,000	11	1,000	11	1,300	11	1,300	11	1,300
<b>Service Support</b>										
None	-	0,000	-	0,000	-	0,000	-	0,000	-	0,000
<i>Subtotal Service Support</i>	-	0,000	-	0,000	-	0,000	-	0,000	-	0,000
<b>Other</b>										
None	-	0,000	-	0,000	-	0,000	-	0,000	-	0,000
<i>Subtotal Other</i>	-	0,000	-	0,000	-	0,000	-	0,000	-	0,000
<b>Agency Submission</b>	-	\$4,441	11	\$4,500	11	\$4,500	11	\$4,500	11	\$4,500

**MTA METRO-NORTH RAILROAD**  
**November Financial Plan 2015 - 2018**  
**Total Positions by Function and Department**  
**Non-Reimbursable/Reimbursable and Full-Time/Full-Time Equivalents**

FUNCTION/DEPARTMENT	2013	2014	2015	2016	2017	2018
	Actual	November Forecast	Final Proposed Budget			
<b>Administration</b>						
President	3	3	4	4	4	4
Labor Relations	7	10	10	10	10	10
Safety <sup>(1)</sup>	18	44	46	46	46	46
COS/ Corporate & Public Affairs <sup>(2)</sup>	15	17	18	18	18	18
Customer Service <sup>(2)</sup>	44	52	52	52	52	52
Legal	18	18	18	18	18	18
Claims	13	14	14	14	14	14
Environmental Compliance & Svce	7	8	8	8	8	8
VP Administration	3	2	2	2	2	2
VP Human Resources	3	7	7	7	7	7
Human Resources & Diversity	28	31	32	32	32	32
Training	48	58	58	58	58	58
Employee Relations & Diversity	5	5	5	5	5	5
VP Planning	2	2	2	2	2	2
Operations Planning & Analysis	15	19	20	20	20	20
Capital Planning & Programming	13	16	16	16	16	16
Business Development Facilities & Mktg <sup>(2)</sup>	26	0	0	0	0	0
GCT & Corporate Development <sup>(2)</sup>	0	31	31	31	31	31
Long Range Planning	8	8	8	8	8	8
VP Finance & Info Systems	1	3	6	6	6	6
Controller	78	81	81	81	81	81
Information Technology & Project Mgmt	99	125	125	125	125	125
Budget	17	18	18	18	18	18
Procurement & Material Management	30	43	43	43	43	43
Corporate	0	0	0	0	0	0
<b>Total Administration</b>	<b>500</b>	<b>615</b>	<b>624</b>	<b>624</b>	<b>624</b>	<b>624</b>
<b>Operations</b>						
Operations Administration	49	61	62	62	62	62
Operations Services <sup>(4)</sup>	1,749	1,457	1,448	1,451	1,454	1,457
Customer Service	228	238	238	238	238	238
Business Development Facilities & Mktg <sup>(2)</sup>	36	0	0	0	0	0
GCT & Corporate Development <sup>(2)</sup>	0	38	38	38	38	38
Metro-North West	37	33	46	46	46	46
<b>Total Operations</b>	<b>2,100</b>	<b>1,827</b>	<b>1,832</b>	<b>1,835</b>	<b>1,838</b>	<b>1,841</b>
<b>Maintenance</b>						
GCT <sup>(1)</sup>	370	0	0	0	0	0
GCT & Corporate Development <sup>(2)</sup>	0	171	171	171	171	171
Maintenance of Equipment <sup>(4)</sup>	1,249	1,735	1,748	1,748	1,735	1,735
Maintenance of Way <sup>(2)</sup>	1,667	2,002	2,036	2,027	2,012	2,012
Procurement & Material Management <sup>(3)</sup>	120	124	124	124	124	124
<b>Total Maintenance</b>	<b>3,406</b>	<b>4,032</b>	<b>4,079</b>	<b>4,070</b>	<b>4,042</b>	<b>4,042</b>
<b>Engineering/Capital</b>						
Construction Management	38	43	43	43	43	43
Engineering & Design	57	70	70	70	70	70
<b>Total Engineering/Capital</b>	<b>94</b>	<b>113</b>	<b>113</b>	<b>113</b>	<b>113</b>	<b>113</b>
<b>Total Positions</b>	<b>6,099</b>	<b>6,587</b>	<b>6,648</b>	<b>6,642</b>	<b>6,617</b>	<b>6,620</b>
<i>Non-Reimbursable</i>	5,842	5,969	5,946	5,940	5,946	5,949
<i>Reimbursable</i>	257	618	702	702	671	671
<i>Total Full-Time</i>	6,098	6,586	6,647	6,641	6,616	6,619
<i>Total Full-Time-Equivalents</i>	1	1	1	1	1	1

<sup>(1)</sup>Reflects the combination of the Safety and newly formed Security department.

<sup>(2)</sup>Reflects the January 2014 reorganization of the GCT and Business Development departments which combines the two depts to create GCT & Corporate Development and transfers a portion of the combined dept. to the Maintenance of Way, Safety, Customer Service, Corporate and Public Affairs departments.

<sup>(3)</sup>Reflects the following transfer of positions between departments or functional groups:  
- 2 positions transferred from the Budget Department to the VP Finance Department.  
- 4 Procurement Specialists were reclassified from Administrative to Maintenance functions.

<sup>(4)</sup>Reflects the January 2014 transfer of the Car Appearance Unit (363 in Operational Hourly positions & 7 in Managers/Supervisors) from Operations (Operation Services Dept.) to Maintenance (Maintenance of Equipment Dept.).

**MTA METRO-NORTH RAILROAD**  
**November Financial Plan 2015 - 2018**  
**Total Positions by Function and Occupation**

FUNCTION/OCCUPATIONAL GROUP	2013	2014	2015	2016	2017	2018
	Actual	November Forecast	Final Proposed Budget			
<b>Administration</b>						
Managers/Supervisors	168	194	194	194	194	194
Professional, Technical, Clerical	332	420	429	429	429	429
Operational Hourlies	-	-	-	-	-	-
<b>Total Administration</b>	<b>500</b>	<b>615</b>	<b>624</b>	<b>624</b>	<b>624</b>	<b>624</b>
<b>Operations</b>						
Managers/Supervisors	143	149	149	149	149	149
Professional, Technical, Clerical	222	237	238	238	238	238
Operational Hourlies	1,735	1,442	1,446	1,449	1,452	1,455
<b>Total Operations</b>	<b>2,100</b>	<b>1,827</b>	<b>1,832</b>	<b>1,835</b>	<b>1,838</b>	<b>1,841</b>
<b>Maintenance</b>						
Managers/Supervisors	482	549	550	550	550	550
Professional, Technical, Clerical	488	507	526	534	539	539
Operational Hourlies	2,436	2,977	3,004	2,987	2,954	2,954
<b>Total Maintenance</b>	<b>3,406</b>	<b>4,032</b>	<b>4,079</b>	<b>4,070</b>	<b>4,042</b>	<b>4,042</b>
<b>Engineering/Capital</b>						
Managers/Supervisors	39	51	51	51	51	51
Professional, Technical, Clerical	55	62	62	62	62	62
Operational Hourlies	-	-	-	-	-	-
<b>Total Engineering/Capital</b>	<b>94</b>	<b>113</b>	<b>113</b>	<b>113</b>	<b>113</b>	<b>113</b>
<b>Public Safety</b>						
Managers/Supervisors	-	-	-	-	-	-
Professional, Technical, Clerical	-	-	-	-	-	-
Operational Hourlies	-	-	-	-	-	-
<b>Total Public Safety</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total Positions</b>						
Managers/Supervisors	831	943	944	944	944	944
Professional, Technical, Clerical	1,098	1,226	1,255	1,263	1,268	1,268
Operational Hourlies	4,171	4,418	4,449	4,435	4,405	4,408
<b>Total Positions</b>	<b>6,099</b>	<b>6,587</b>	<b>6,648</b>	<b>6,642</b>	<b>6,617</b>	<b>6,620</b>

## 2015 Proposed Metro-North Railroad Committee Work Plan

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<b><u>I. RECURRING AGENDA ITEMS</u></b>	<u>Responsibility</u>
Approval of Minutes	Committee Chairs & Members
2015 Committee Work Plan	Committee Chairs & Members
President's Report	President/Senior Staff
Safety Report	
MTA Police Report	
Information Items (if any)	
Action Items (if any)	
Procurements	
Agency Reports	Senior Staff
Operations	
Finance	
Ridership	
Capital Program	
<b><u>II. SPECIFIC AGENDA ITEMS</u></b>	<u>Responsibility</u>
<u>January 2015</u>	
Approval of 2015 Committee Work Plan	Committee Chairs & Members
<u>February 2015</u>	
Adopted Budget/Financial Plan 2015	Finance
2014 Annual Operating Results	Operations
Elevator & Escalator Service Report–4 <sup>th</sup> Quarter 2014	Engineering
Diversity/EEO Report – 4 <sup>th</sup> Quarter 2014	Diversity and EEO
<u>March 2015</u>	
Annual Strategic Investments & Planning Studies Report	Capital Planning
2015 Spring/Summer Schedule Change	Operations Planning & Analysis
<u>April 2015 (Joint meeting with LIRR)</u>	
Final Review of 2014 Operating Budget Results	Finance
2014 Annual Ridership Report	Operations Planning & Analysis
Annual Inventory Report	Procurement
<u>May 2015</u>	
RCM Fleet Maintenance	Operations
Elevator & Escalator Service Report–1 <sup>st</sup> Quarter 2015	Engineering
Diversity/EEO Report – 1 <sup>st</sup> Quarter 2015	Diversity and EEO

June 2015

Positive Train Control Status Report  
Grand Central Terminal Retail Development

President  
MTA Real Estate

July 2015

Environmental Audit

Environmental Compliance

September 2015

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

Finance  
Finance  
Engineering  
Diversity and EEO

October 2015

2016 Preliminary Budget (Public Comment)  
2015 Fall Schedule Change

Finance  
Operations Planning & Analysis

November 2015 (Joint meeting with LIRR)

2016 Preliminary Budget (Public Comment)  
Annual Committee Charter Review  
Holiday Schedule  
Elevator & Escalator Service Report–3<sup>rd</sup> Quarter 2015  
Diversity/EEO Report – 3<sup>rd</sup> Quarter 2015

Finance  
Committee Chairs & Members  
Operations Planning & Analysis  
Engineering  
Diversity and EEO

December 2015

2016 Final Proposed Budget  
2016 Proposed Committee Work Plan

Finance  
Committee Chairs & Members

# 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.

#### **2015 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.

#### **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 and an update on enhanced safety actions throughout Metro-North's system.

#### **Police Activity Report**

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

#### **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.

#### **Operations**

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

#### **Finance**

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.

## II. SPECIFIC AGENDA ITEMS

### 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

A quarterly report will be presented to the Committee on system-wide reliability and availability for elevators and escalators.

#### Diversity & EEO Report– 4<sup>th</sup> Quarter 2014

A 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.

### MARCH 2015

#### 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.

#### 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.

### 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.

#### 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 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

A quarterly report will be presented to the Committee on system-wide reliability and availability for elevators and escalators.

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

A 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

A quarterly report will be presented to the Committee on system-wide reliability and availability for elevators and escalators.

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

A 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 2015**

### 2016 Preliminary Budget

Public comment will be accepted on the 2016 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 2015.

## **NOVEMBER 2015**

### 2016 Preliminary Budget

Public comment will be accepted on the 2016 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 2015

A quarterly report will be presented to the Committee on system-wide reliability and availability for elevators and escalators.

### Diversity & EEO Report– 3<sup>rd</sup> Quarter 2015

A 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 2015**

### 2016 Final Proposed Budget

The Committee will recommend action to the Board on the Final Proposed Budget for 2016.

### Proposed 2016 Committee Work Plan

The Committee Chair will present a draft Metro-North Committee Work Plan for 2016 that will address initiatives to be reported throughout the year.

<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				
<b>Department Head Signature</b>	<i>Al Muir for M/Muir</i>				
<b>Project Manager Name</b>					
<b>Board Action</b>					
<b>Order</b>	<b>To</b>	<b>Date</b>	<b>Approval</b>	<b>Info</b>	<b>Other</b>
1	M-N Comm. Mtg.	12-15-14	X		
2	MTA Board Mtg.	12-17-14	X		

<b>Date</b>	December 1, 2014		
<b>Vendor Name</b>	Various		
<b>Contract Number</b>	Various		
<b>Contract Manager Name</b>	Various		
<b>Table of Contents Ref #</b>			
<b>Internal Approvals</b>			
	<b>Approval</b>		<b>Approval</b>
X	President	X	V.P. Planning
X	Sr. V.P. Operations	X	V.P. Capital Programs
X	V.P. Finance & IT	X	V.P. & General Counsel
	V.P. Engineering	X	Chief of Staff

<b>Internal Approvals (cont.)</b>							
<b>Order</b>	<b>Approval</b>	<b>Order</b>	<b>Approval</b>	<b>Order</b>	<b>Approval</b>	<b>Order</b>	<b>Approval</b>
		X	Chief Safety Officer				Other

**PURPOSE:**

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

**DISCUSSION:**

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

	# of Actions	\$ Amount
<u>Schedules Requiring Two-Thirds Vote (or more, where noted)</u>	NONE	
<u>Schedules Requiring Majority Vote</u>		
Schedule E: Miscellaneous Procurement Contracts	1	\$177,140
• Smart Software, Inc. \$177,140		
<b>SUB TOTAL:</b>	1	\$177,140

**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 (Award of Purchase and Public Work Contracts)	1	\$17,619,622
• HNTB New York Engineering & Architecture, P.C.		\$17,619,622
 <u>Schedules Requiring Majority Vote</u>		
Schedule F: Personal Service Contracts	2	\$250,200,000
• General Engineering Consultants		\$250,000,000
• Persante Health Care, Inc.		\$200,000
Schedule H: Modifications to Personal/Miscellaneous Service Contracts	2	\$660,440
• Gannett Fleming Engineers and Architects, P.C.		\$510,826
• Konecranes, Inc.		\$149,614
SUB TOTAL:	5	\$268,480,062

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

<u>Schedules Requiring Two-Thirds Vote (or more, where noted)</u>	NONE
 <u>Schedules Requiring Majority Vote</u>	 NONE
SUB TOTAL:	
TOTAL:	6      \$268,657,202

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.



# Staff Summary

Item Number E					
Dept & Dept Head Name: Procurement & Material Management, Al Muir, Acting Sr. Director					
Division & Division Head Name: <i>Muir for Al Muir</i>					
<b>Board Reviews</b>					
Order	To	Date	Approval	Info	Other
1	M-N Comm.Mtg.	12-15-14	X		
2	MTA Board Mtg.	12-17-14	X		
<b>Internal Approvals</b>					
Order	Approval	Order	Approval		
X	President <i>[Signature]</i>		V.P. Planning		
	Sr. V.P. Operations	X	V.P. General Counsel <i>[Signature]</i>		
X	V.P. Finance & IT <i>[Signature]</i>				
	V.P. Capital Programs				

SUMMARY INFORMATION	
Vendor Name Smart Software, Inc.	Contract Number 45748
Description Maintenance and Support Services for Algorithmic Forecasting System	
Total Amount \$177,140 (not-to-exceed)	
Contract Term (including Options, if any) Three years	
Option(s) included in Total Amount? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Renewal? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Procurement Type <input type="checkbox"/> Competitive <input checked="" type="checkbox"/> Non-competitive	
Solicitation Type <input type="checkbox"/> RFP <input type="checkbox"/> Bid <input checked="" type="checkbox"/> Other:	
Funding Source <input checked="" type="checkbox"/> Operating <input type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other:	

**Narrative**

**I. PURPOSE/RECOMMENDATION:**

Approval is requested to award a non-competitive miscellaneous service contract to Smart Software, Inc. for a period of three years to provide maintenance and support of Metro-North's Algorithmic Forecasting System. This software system (SmartForecasts) provides a forecasting tool for MNR's operating material needs and optimizes material inventory re-order points to meet varied requirements in support of MNR's overall operation. This tool has performed well and at this time MNR seeks to extend the maintenance services contract in support of this software which is proprietary and custom-designed for MNR.

**II. DISCUSSION:**

In 2010, Smart Software, Inc. was awarded a competitively solicited 42 months (6 months implementation and 36 months of maintenance services) contract to design, furnish, implement and support a Material Forecasting System as part of the Procurement & Material Management (P&MM) Materials Management Shortage Control System. Smart Software is the innovative leader in enterprise demand forecasting, planning, and inventory optimization. They have automated and customized MNR's forecasting of inventory for increased forecast accuracy, reduction of inventory levels and improved customer service. In addition, the use of SmartForecasts has facilitated control of MNR's supply chain and provided cost savings.

The maintenance contract includes all software with unlimited 24/7 phone support, diagnostics and software engineering services for specified enhancements when requested by MNR. Negotiations with Smart Software, Inc. resulted in a cap of 2% in the annual increase in years 2 and 3 in lieu of their normal 5% annual increase. The yearly renewal costs break down is shown below:

- Year 1: January 1, 2015 – December 31, 2015 = \$57,881
- Year 2: January 1, 2016 – December 31, 2016 = \$59,039
- Year 3: January 1, 2017 – December 31, 2017 = \$60,220

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

No MBE/WBE participation goals were assigned to this project.

# Staff Summary

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

The total cost for maintenance and support services for a period of three years is \$177,140. This procurement is to be funded by MNR's Operating Budget.

## **V. ALTERNATIVES:**

There are no reasonable available alternatives to maintaining and supporting the SmartForecasts Algorithmic Forecasting System. MNR does not have the resources or technical skill necessary to maintain the SmartForecasts system.

**DECEMBER 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. HNTB New York Engineering & Architecture, P.C. \$17,619,622 Staff Summary Attached  
Customer Service Initiatives Communication System Design**

Approval is requested to award a 48 month competitively solicited and negotiated design contract (RFP process, four proposals received) to HNTB New York Engineering and Architecture, P.C. (HNTB) to design various customer communication systems at Grand Central Terminal (GCT) and at outlying passenger stations.

This project will provide connectivity improvements that will support current and future planned application initiatives as well as deliver improved customer communication services including new passenger station Public Address systems, new and upgraded Visual Message Signs (VMS) with real-time train information, upgraded communication links for Ticket Selling and Ticket Vending Machines (TSM/TVM), LAN connections to passenger stations to provide corporate services to staffed ticket offices, elevator monitoring and control from a centralized control center, and Train Locator Systems for train detection at select passenger stations with integration into the existing Virtual Train Tracking System (VTTS) and Centralized networking of CCTV at all passenger stations to Security control center (SCC). HNTB has extensive experience with railroad design, build and construction, including LIRR Jamaica Stations Capacity Improvements which included replacement of PA, VIS and expansion of CCTV and access control system.

In accordance with MTA procurement guidelines, an advertisement for the requisitioned service was placed in the New York State Contract Reporter, The Daily Challenge, El Diario, the New York Post, and posted on the MNR website. Four proposals were received and evaluated based on the criteria established in the RFP. All four firms were short-listed and invited for oral presentations. At the conclusion of the evaluation process, the Selection Committee unanimously selected HNTB. Negotiations resulted in a 5.4% or \$1,008,378 savings from HNTB's cost proposal. This procurement will be funded by the current MTA Capital Program Budget.

Schedules Requiring Majority Vote:

**F. Personal Service Contracts**

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

**2. General Engineering Consultants \$250,000,000 (not-to-exceed) Staff Summary Attached**  
**GEC 2015-2019 Consultant Prequalification**

Approval is requested to obtain MTA board approval to retain the consultants listed in Attachment, who propose to perform personal services for design, engineering, supervision inspection services and miscellaneous professional services to support both the 2015-2019 Capital Program and the needs of the Operating Divisions.

A joint procurement endeavor was initiated by Metro-North Railroad, Long Island Rail Road, MTA Capital Construction, MTA Headquarters and New York City Transit (for rolling stock) (hereinafter “the Agencies”) only to identify and retain qualified engineering, design and construction management consultant firms (“GEC”) who will be available to the Agencies for future service assignments. The GEC pre-qualification and retention approach has been used successfully for the past 15 years. It had been proven by the Agencies to streamline the request for proposal process and reduce procurement lead time and overall project time as well as administrative costs while ensuring appropriate on-going competition and best value in making GEC project assignments.

A Request for Proposal was developed and advertised in accordance with MTA All-Agency Guidelines in the New York State Contract Reporter, New York Post, El Diario, Daily Challenge and posted on the MNR website. In addition, all firms on the current GEC were solicited. Proposals were received from 480 firms during three separate weeks in July-August 2014 for the three major types of services to be performed and the twenty-eight categories of work. 407 firms have been selected in 28 categories of work for execution of retention agreements. All consultants selected who met the requirements of the RFP will be deemed eligible to propose on individual task assignments offered by the individual Agency in their respective category of work.

The total period of performance for this arrangement is five years and is estimated at a total value not-to-exceed \$250,000,000 for all the Agencies. Funding for work under these contracts will be taken from the funding source applicable to each Project.

**3. Persante Health Care, Inc. \$200,000 (not-to-exceed)**  
**Obstructive Sleep Apnea/Sleep Disorder Pilot program**

Approval is requested to award a competitively solicited and negotiated (RFP process, four proposals received) seven month personal service contract to the firm, Persante Health Care Inc. to screen (through the use of a home sleep study), manage, coordinate, evaluate and monitor treatment for up to 250 Locomotive Engineers for Obstructive Sleep Apnea.

This Pilot program shall consist of an initial evaluation of Locomotive Engineers, based upon industry best practices. MNR’s Occupational Health Services offices will evaluate employees based upon factors identified in industry leader’s best practices including, medical history and represents a medical questionnaire. Those employees who are deemed at risk based upon the initial screening will be sent for further testing and potential diagnosis. This pilot program will enable the Railroad to evaluate the effectiveness of this type of program and possible application on a larger scale.

In accordance with MTA procurement guidelines, an advertisement for the required services was placed in the New York State Contract Reporter, New York Post, El Diario and the Daily Challenge and was posted on the MNR website. RFP documents were sent to eight firms.

Four firms were short-listed, and technical evaluations and oral presentations were conducted. Vendor evaluations were based on established selection criteria contained within the RFP documents and included: understanding of work scope requirements, detailed description of how the Services will be performed, commitment of relevant resources to the project, including the qualifications of key personnel and reliability to perform the services, demonstrated past experience and skills provided on similar projects, and overall cost.

Persante's technical and cost proposal conveyed a comprehensive understanding of MNR requirements. As a result, the Selection Committee unanimously selected Persante as the best qualified and cost-effective firm for these services. Persante demonstrated extensive expertise in Obstructive Sleep Apnea/Sleep Disorder and proposed geographically advantageous resources with specialized medical experience. A budgetary amount of \$200,000 is being proposed for this Pilot program. MNR has established unit pricing that will remain fixed throughout this program. This procurement will be funded by MNR's Operating Budget.

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

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

#### **4. Gannett Fleming Engineers and Architects, P.C. \$510,826 (not-to-exceed) Staff Summary Attached Additional Funding and Time Extension for Design and Inspection Services for the Replacement of Grand Central Terminal (GCT) Escalators**

Approval is requested for additional funding totaling \$510,826 and a one year extension to Gannett Fleming Engineers and Architects, P.C. ("Gannett Fleming") for additional design services to advance the Grand Central Terminal ("GCT") escalator replacement drawings from 30% to 100% complete design. The additional design services are required to develop viable plans and specifications that are best suited to support construction.

The subject design services were competitively solicited to consulting firms pre-approved under the 2010 – 2014 General Engineering Consultant Services program. In response to a Request for Proposal ("RFP") issued, Gannett Fleming was selected for award and a 27 month contract was executed in August 2013. The contract required Gannett Fleming to provide design-build plans and specifications to approximately the 30% completion level for the replacement of all eleven escalators in GCT. Plans and specifications were completed and an RFP for design-build construction services was solicited in June 2014. No proposals were received from any of the nine plan holders. Based upon subsequent discussions conducted with MNR and plan holders, MNR concluded that the design-build approach must be revised to a design-bid-build approach (100% complete design).

Gannett Fleming's cost proposal to complete the design in the amount of \$510,826 was significantly less than our in-house estimate and is deemed to be fair and reasonable. The additional funding will be provided by the MNR Operating Budget.

**5. Konecranes, Inc. \$149,614**  
**Additional Funding for Preventative Maintenance, Inspection and Repair of Jib and Overhead Cranes**

Approval is requested for additional funding totaling \$149,614 to Konecranes, Inc. to provide preventative maintenance, inspection, and repair for all Jib and Overhead Cranes located throughout Metro-North Railroad (MNR) New York and Connecticut facilities.

In July 2014, the MTA Board approved a one year (with options) miscellaneous service contract for preventative maintenance, and inspection for all Jib and Overhead Cranes located throughout MNR's New York and Connecticut facilities. The services included but are not limited to monthly and yearly inspection of all Jib and Overhead cranes in New York and Connecticut, as well as repair services. These cranes are essential to the Maintenance of Equipment (MofE) Department's ability to lift and move heavy equipment on a daily basis. It is critical this equipment be maintained to current operational and safety requirements.

The recent inspections from Konecranes, indicate a higher level of repair than originally projected due to the aging of the equipment; some of these cranes are well over 25 years old and are failing at a faster rate than originally envisioned by the MofE Department. The total amount of these repairs exceeds the original budget and is valued at \$149,614. This additional funding will be provided by the MNR Operating Budget.

# Staff Summary

Item Number C					
Dept & Dept Head Name: Procurement & Material Management, Alfred Muir					
Division & Division Head Name: <i>Muir for M Muir</i>					
<b>Board Reviews</b>					
Order	To	Date	Approval	Info	Other
1	M-N Comm.Mtg.	12-15-14	x		
2	MTA Board Mtg.	12-17-14	x		
<b>Internal Approvals</b>					
Order	Approval	Order	Approval		
X	President <i>JH</i>				
X	Sr. V.P. Operations <i>JH</i>	X	V.P. Planning <i>JH</i>		
X	V.P. Finance & IT <i>JH</i>	X	V.P. & General Counsel <i>GRH</i>		
X	V.P. Capital Programs <i>JH</i>				

SUMMARY INFORMATION	
Vendor Name HNTB New York Engineering & Architecture, P.C.	Contract Number 40554
Description Customer Service Initiatives Communications System Design	
Total Amount \$17,619,622	
Contract Term (including Options, if any) 48 months	
Option(s) included in Total Amount? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Renewal? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Procurement Type <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive	
Solicitation Type <input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input type="checkbox"/> Other:	
Funding Source <input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other:	

**Narrative**

**I. PURPOSE/RECOMMENDATION:**

Approval is requested to award a 48 month competitively solicited and negotiated design contract (RFP process, four proposals received) to HNTB New York Engineering and Architecture, P.C. (HNTB) to design various customer communication systems at Grand Central Terminal (GCT) and at outlying passenger stations.

**II. DISCUSSION:**

Metro-North intends to improve customer communications in GCT and at outlying passenger stations through the rollout of a Customer Service Initiatives Program. These initiatives support MTA initiatives for transformational customer communications improvements. This project will provide connectivity improvements that will support current and future planned application initiatives as well as provide improved customer communication services including new passenger station Public Address (PA) systems, new and upgraded Visual Message Signs (VMS) with real-time train information, upgraded communication links for Ticket Selling and Ticket Vending Machines (TSM/TVM), LAN connections to passenger stations to provide corporate services to staffed ticket offices, elevator monitoring and control from a centralized control center, and Train Locator Systems (TLS) for train detection at select passenger stations with integration into the existing Virtual Train Tracking System (VTTS) and centralized networking of Closed Circuit Television (CCTV) at all passenger stations to the Security Control Center (SCC).

A Request for Proposal (RFP), dated August 21, 2014, was prepared and advertised in the New York State Contract Reporter, the New York Post, El Diario, The Daily Challenge and posted on the MNR website. On September 18, 2014, technical proposals containing qualifications and cost from the following four firms (Aecom, Gannett Fleming, HNTB, and STV) were received.

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

- A. Project plan (detailed description of how the services will be performed).

- B. Confidence level, commitment of relevant resources to the project including the qualifications of key personnel and reliability to perform the services including Subconsultant services.
- C. Demonstrated understanding of the workscope requirements, including but not limited to the quality and completeness of any required submissions.
- D. Cost.
- E. Past experience on similar projects

The Selection Committee was comprised of members representing MNR's Procurement and Material Management, Customer Service, GCT & Corporate Development, Maintenance of Way (M of W) Communications & Signals, and MTA Information Technology departments. The Committee evaluated the proposals and decided that all four firms should be invited to come in for an oral presentation.

Upon completion of oral presentations and in accordance with the criteria for selection, the Selection Committee unanimously recommended contract award to HNTB. HNTB proposed viable comprehensible integration design concepts that were deemed to be well engineered, time/labor efficient, and compliant with the scope of work. HNTB has extensive experience with railroad design, build and construction, including LIRR Jamaica Stations Capacity Improvements which included replacement of PA, VIS and expansion of CCTV and access control system.

Negotiations with HNTB resulted in a reduction of 5.4% or \$1,008,378 savings from HNTB's original cost proposal. The negotiated price of \$17,619,622 is inclusive of options for the GCT PA system, CSI for West of Hudson, and the preparation of concept of operations for all tasks.

### **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. DDCR has determined that HNTB, Inc. has responded satisfactorily to the MBE/WBE submission requirements established for this contract.

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

Board approval is requested in the amount of \$17,619,622. This project is state funded and is included in the MTA 2010-2014 Capital Program Budget.

### **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

Item Number F					
Dept & Dept Head Name: Procurement & Material Management, Al Muir- Acting Sr. Director					
Division & Division Head Name: <i>Maucher for Al Muir</i>					
<b>Board Reviews</b>					
Order	To	Date	Approval	Info	Other
1	M-N Comm.Mtg.	12-15-14	x		
2	MTA Board Mtg.	12-17-14	x		
<b>Internal Approvals</b>					
Order	Approval	Order	Approval		
X	President <i>JJA</i>	X	Sr. V.P. Operations <i>JJA</i>		
X	V.P. IT & Finance <i>JP</i>	X	V.P. Planning <i>JJA</i>		
X	V.P. Capital Programs <i>JP</i>	X	V.P. & General Counsel <i>JJA</i>		

SUMMARY INFORMATION	
Vendor Name Various	Contract Number N/A
Description GEC 2015-2019 Consultant Engagements	
Total Amount \$250,000,000 (not-to-exceed)	
Contract Term (including Options, if any) Five Years	
Option(s) included in Total Amount? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Renewal? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Procurement Type <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive	
Solicitation Type <input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input type="checkbox"/> Other:	
Funding Source <input checked="" type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other:	

**Narrative**

**I. PURPOSE/RECOMMENDATION:** To obtain MTA board approval to retain the consultants listed in Attachment who propose to perform personal services for design, engineering, supervision inspection services and miscellaneous professional services to support both the 2015-2019 Capital Program and the needs of the Operating Divisions.

**II. DISCUSSION:** A joint procurement endeavor was initiated by Metro-North Railroad, Long Island Rail Road, MTA Capital Construction, MTA Headquarters and New York City Transit (for rolling stock) (hereinafter “the Agencies”) to identify and retain qualified engineering, design and construction management consultant firms (“GEC”) who will be available to the Agencies for future service assignments. The GEC pre-qualification and retention approach has been used successfully for the past 15 years. It had been proven by the Agencies to streamline the request for proposal process and reduce procurement lead time and overall project time as well as administrative costs while ensuring appropriate on-going competition and best value in making GEC project assignments.

A Request for Proposal was developed and advertised in accordance with MTA All-Agency Guidelines in the New York State Contract Reporter, New York Post, El Diario, Daily Challenge and posted on MNR’s website. In addition, all firms on the current GEC were solicited. Proposals were received from 480 firms during three separate weeks in July-August 2014 for the three major types of services to be performed and the twenty-eight categories of work. Independent selection committees were formed by the Agencies for each category of work and the committees evaluated the proposals received using the criteria of selection as set forth in the RFP. Proposals were evaluated based on the following selection criteria listed in equal order of importance:

1. Demonstrated experience of the Consultant in the execution of work of similar nature;
2. Expertise and experience of key personnel proposed to be assigned to perform the work;
3. Proposed approach to organize, direct and manage the work (Project Management Plan”);
4. Knowledge of and experience with railroad operations; or demonstrated ability to adapt to railroad operations.

The committees selected a pool of consultants for specific categories based on the merits of the responding firms’ qualifications with respect to the established selection criteria. There were no restraints as to size of the final consultant pool for any category. Final selection of any firm was based upon a pass/fail method with 75 points being the minimum requirement for a firm’s selection and receipt of an offer of retention.

# Staff Summary

407 firms have been selected in 28 categories of work for execution of retention agreements. All consultants selected who met the requirements of the RFP may be deemed eligible to propose on individual task assignments offered by the individual Agency in their respective category of work. Prior to the award of any task assignment to any of these firms, a full responsibility review will be required to be performed in accordance with the MTA guidelines.

The categories of work included are listed below:

## **A. Design and Engineering Services**

- Category 1: Line Structures
- Category 2: Buildings, Passenger Stations, Shops & Yards, and Parking Facilities
- Category 3: Power
- Category 4: Track
- Category 5: Signals & Communications
- Category 6: Rolling Stock
- Category 7: Value Engineering
- Category 8: Security Engineering
- Category 9: Environmental Engineering
- Category 10: Forensic Engineering / Laboratory Testing Services
- Category 11: Soils / Foundation Engineering

## **B. Construction Supervision & Inspection Services**

- Category 1: Line Structures
- Category 2: Buildings, Passenger Stations, Shops & Yards, and Parking Facilities
- Category 3: Power
- Category 4: Track
- Category 5: Signals & Communications
- Category 6: Rolling Stock
- Category 7: Environmental Engineering

## **C. Misc. Professional Services**

- Category 1: Scheduling
- Category 2: Cost Estimating
- Category 3: Claims Support
- Category 4: Constructability
- Category 5: Test and Evaluation
- Category 6: Useful Life Analysis
- Category 7: Design Reviews
- Category 8: Technical Writer
- Category 9: Quality Management
- Category 10: Operational Studies & Simulation Models

When a specific workscope requiring GEC services is identified and approved, the responsible Agency will solicit technical and level of effort proposals from consultants listed in the category to which the workscope belongs. The responsible Agency will request proposals from the consultants within the relevant category, Based on exigent circumstances, an Agency may seek task assignment proposals from a limited number of consultants in a category. Also, where a consultant demonstrates sufficient qualification, an Agency may solicit a proposal from a firm approved in a different category of work. For New York State funded task assignments, a consultant's receipt of a task assignment will usually involve a two phase selection process, taking into account costs and technical aspects of a consultant's proposal. All federally funded task assignments will utilize the "Brooks Method" of selection. The Federal Brooks Act requires a qualification-based selection process for federally-funded engineering contracts. Each specific proposal will be evaluated in accordance with specific evaluation criteria established at the time the task assignments are solicited.

Attachment lists the categories of work and the firms selected for each category. The firms on the Attachment will be eligible for task assignments for a period of five years. To promote competition, new firms that are not contained on this Attachment that wish to compete for GEC assignments in connection with the 2015-19 Capital Program and other Agency operating needs, as well as firms which were not selected or did not participate in this selection process, will be given further opportunity to compete for such assignments by participating in a supplemental GEC selection process, to be initiated by the Agencies in approximately 24 months of the Board's approval of Attachment.

**III. D/M/WBE INFORMATION:** Minority participation goals will be sought on a task assignment basis.

**IV. IMPACT ON FUNDING:** The total period of performance for this arrangement is five years and is estimated at a total value not-to-exceed \$250,000,000 for all the Agencies. Funding for work under these contracts will be taken from the funding source applicable to each Project.

**V. ALTERNATIVES:** The Agencies will continue to require consultant assistance to provide essential design, construction supervision and inspection and specialty engineering services to support both the Capital Programs and respective Operating Divisions. The alternative is to use an individual Request for Proposal process for each individual project requirement. The general engineering approach described herein is strongly recommended as a replacement to the traditional method as a means to significantly lessen the procurement lead-time for task award, thus reducing overall project time and costs.

## **Firms Recommended for \$0 Award - MNR General Engineering Consultant Contract**

## **Attachment**

### **A Design and Engineering Services**

#### **01 Line Structures**

A. DiCesare Associates, P.C.  
AECOM USA, Inc.  
Ammann and Whitney Consulting Engineers, P.C.  
CH2M HILL New York, Inc.  
CHA Consulting, Inc.  
Dewberry Engineers, Inc.  
Erdman Anthony  
FST Engineers, Inc.  
Gannett Fleming Engineers and Architects, P.C.  
Garg Consulting Services, Inc.  
Greenman-Pedersen, Inc.  
HAKS Engineers, Architects and Land Surveyors, P.C.  
Hardesty and Hanover, LLC  
Hatch Mott MacDonald NY, Inc.  
Henningson, Durham and Richardson Architecture and Engineering, P.C.  
HNTB New York Engineering and Architecture, PC  
HVEA Engineers  
Jacobs Civil Consultants, Inc.  
KS Engineers, P.C.  
LiRo Engineers, Inc.  
Lochner Engineering, P.C.  
McLaren Engineering Group  
Michael Baker Engineering, Inc.  
Mueser Rutledge Consulting Engineers  
Ove Arup and Partners, PC  
Parsons Brinckerhoff, Inc.

Parsons Transportation Group of NY, Inc.  
SJH Engineering, P.C.  
Stantec Consulting Services, Inc.  
STV, Inc.  
Tectonic Engineering and Surveying Consultants, P.C.  
TranSystems Architect and Engineer, P.C.  
URS Corporation  
VHB Engineering, Surveying and Landscape Architecture, P.C.  
WSP USA Corp.

#### **35 Firms Selected**

#### **02 Stations/Bldgs/Shops/Yards/Parking**

AECOM USA, Inc.  
AI Engineers, Inc., P.C.  
B. Thayer Associates  
Cameron Engineering and Associates, LLP  
CHA Consulting, Inc.  
CSA Group NY Architects and Engineers, P.C.  
D&B Engineers and Architects, P.C.  
Dattner Architects  
Dewberry Engineers, Inc.  
DHK Architects, Inc.  
di Domenico + Partners, LLP  
FST Engineers, Inc.  
Gannett Fleming Engineers and Architects, P.C.  
Garg Consulting Services, Inc.  
Greenman-Pedersen, Inc.  
H2M Architects + Engineers  
HAKS Engineers, Architects and Land Surveyors, P.C.  
Hatch Mott MacDonald NY, Inc.

Henningson, Durham and Richardson Architecture and Engineering, P.C.  
HNTB New York Engineering and Architecture, PC  
HVEA Engineers  
IBI Group - Gruzen Samton  
Jacobs Civil Consultants, Inc.  
KS Engineers, P.C.  
Langan Engineering, Environmental, Surveying and Landscape Architecture, D.P.C.  
Lee Harris Pomeroy Architects + Weidlinger Associates  
LiRo Engineers, Inc.  
Lochner  
McLaren Engineering Group  
Michael Baker Engineering, Inc.  
Ove Arup and Partners, PC  
Parsons Brinckerhoff, Inc.  
Parsons Transportation Group of NY, Inc.  
SIMCO Engineering, P.C.  
SJH Engineering, P.C.  
Stantec Consulting Services, Inc.  
Studio V Architecture, PLLC  
STV, Inc.  
SUPERSTRUCTURES Engineering + Architecture, PLLC  
SYSTRA Engineering, Inc.  
TranSystems Architect and Engineer, P.C.  
Urbahn Architects, PLLC  
URS Corporation  
VHB Engineering, Surveying and Landscape Architecture, P.C.  
WSP USA Corp.

#### **45 Firms Selected**

**03 Power**

AECOM USA, Inc.  
 Gannett Fleming Engineers and Architects, P.C.  
 Henningson, Durham & Richardson Architecture and Engineering, P.C.  
 HNTB New York Engineering and Architecture, PC  
 Jacobs Civil Consultants, Inc.  
 Louis T. Klauder And Associates  
 Parsons Brinckerhoff, Inc.  
 Parsons Transportation Group of NY, Inc.  
 STV, Inc.  
 SYSTRA Engineering, Inc.  
 URS Corporation

**11 Firms Selected**

**04 Track**

AECOM USA, Inc.  
 Ove Arup and Partners, PC  
 CHA Consulting, Inc.  
 Gannett Fleming Engineers and Architects, P.C.  
 Hatch Mott MacDonald NY, Inc.  
 Henningson, Durham and Richardson Architecture and Engineering, P.C.  
 HNTB New York Engineering and Architecture, PC  
 Jacobs Civil Consultants, Inc.  
 Lochner Engineering, P.C.  
 Michael Baker Engineering, Inc.  
 Parsons Brinckerhoff, Inc.  
 Parsons Transportation Group of NY, Inc.  
 STV, Inc.  
 SYSTRA Engineering, Inc.  
 TranSystems Architect and Engineer, P.C.

URS Corporation  
 VHB Engineering, Surveying and Landscape Architecture, P.C.  
 WSP USA Corp.

**18 Firms Selected**

**05 Signals and Communications**

AECOM USA, Inc.  
 Gannett Fleming Engineers and Architects, P.C.  
 Hatch Mott MacDonald NY, Inc.  
 HNTB New York Engineering and Architecture, PC  
 Jacobs Civil Consultants, Inc.  
 Louis T. Klauder and Associates  
 Parsons Brinckerhoff, Inc.  
 Parsons Transportation Group of NY, Inc.  
 STV, Inc.  
 SYSTRA Engineering, Inc.  
 VHB Engineering, Surveying and Landscape Architecture, P.C.

**11 Firms Selected**

**06 Rolling Stock**

CH2M HILL New York, Inc.  
 Interfleet Technology, Inc.  
 Louis T. Klauder and Associates  
 Parsons Brinckerhoff, Inc.  
 Parsons Transportation Group of NY, Inc.  
 STV, Inc.

**6 Firms Selected**

**07 Value Engineering**

AECOM USA, Inc.  
 ARCADIS of New York, Inc.  
 Greenman-Pedersen, Inc.

Hatch Mott MacDonald NY, Inc.  
 Henningson, Durham and Richardson Architecture and Engineering, P.C.  
 HNTB New York Engineering and Architecture, PC  
 Jacobs Civil Consultants, Inc.  
 LiRo Engineers, Inc.  
 Parsons Brinckerhoff, Inc.  
 PMA Consultants

**10 Firms Selected**

**08 Security Engineering**

AECOM USA, Inc.  
 Gannett Fleming Engineers and Architects, P.C.  
 HNTB New York Engineering and Architecture, PC  
 Ove Arup and Partners, PC  
 Parsons Brinckerhoff, Inc.  
 Parsons Transportation Group of NY, Inc.  
 TRC Engineers, Inc.  
 URS Corporation

**8 Firms Selected**

**09 Environmental Engineering**

AECOM USA, Inc.  
 AKRF Engineering, P.C.  
 ARCADIS of New York, Inc.  
 CH2M HILL New York, Inc.  
 CORE Environmental Consultants, Inc.  
 D&B Engineers and Architects, P.C.  
 Dewberry Engineers, Inc.  
 FPM Group, Ltd.  
 Gannett Fleming Engineers and Architects, P.C.  
 GZA GeoEnvironmental of New York  
 H2M Architects + Engineers

Hatch Mott MacDonald NY, Inc.

Henningson, Durham and Richardson Architecture and Engineering, P.C.

HNTB New York Engineering and Architecture, PC

Jacobs Civil Consultants, Inc.

Langan Engineering, Environmental, Surveying and Landscape Architecture, D.P.C.

LiRo Engineers, Inc.

Lochner Engineering, P.C.

Matrix New World Engineering, Inc.

Parsons Brinckerhoff, Inc.

STV, Inc.

Tectonic Engineering and Surveying Consultants, P.C.

TRC Engineers, Inc.

URS Corporation

VHB Engineering, Surveying and Landscape Architecture, P.C.

YU and Associates, PC

**26 Firms Selected**

**10 Forensic Eng/Laboratory Testing Services**

HAKS Engineers, Architects and Land Surveyors, P.C.

HNTB New York Engineering and Architecture, PC

HVEA Engineers

McLaren Engineering Group

Simpson Gumpertz and Heger Associates, Inc.

Tectonic Engineering and Surveying Consultants, P.C.

Thornton Tomasetti, Inc.

WSP USA Corp.

**8 Firms Selected**

**11 Soils / Foundation Engineering**

AECOM USA, Inc.

Dewberry Engineers, Inc.

Gannett Fleming Engineers and Architects, P.C.

GeoDesign, Inc., P.C.

GZA GeoEnvironmental of New York

Hardesty and Hanover, LLC

Hatch Mott MacDonald NY, Inc.

HNTB New York Engineering and Architecture, PC

Jacobs Civil Consultants, Inc.

Langan Engineering, Environmental, Surveying and Landscape Architecture, D.P.C.

Matrix New World Engineering, Inc.

Mueser Rutledge Consulting Engineers

Ove Arup and Partners, PC

Parsons Brinckerhoff, Inc.

Stantec Consulting Services, Inc.

STV, Inc.

Tectonic Engineering and Surveying Consultants, P.C.

URS Corporation

YU and Associates Engineers, PC

**19 Firms Selected**

**B Construction Supervision and Inspection Services**

**01 Line Structures**

A. DiCesare Associates, P.C.

AECOM USA, Inc.

AI Engineers, Inc., P.C.

Ammann and Whitney Consulting Engineers, P.C.

ARCADIS of New York, Inc.

B&H Engineering, P.C.

CH2M HILL New York, Inc.

CHA Consulting, Inc.

Dewberry Engineers, Inc.

Gannett Fleming Engineers and Architects, P.C.

Garg Consulting Services, Inc.

Greenman-Pedersen, Inc.

Haider Engineering, P.C.

HAKS Engineers, Architects and Land Surveyors, P.C.

Hardesty and Hanover Construction Services, LLC

Hatch Mott MacDonald NY, Inc.

Henningson, Durham and Richardson Architecture and Engineering, P.C.

Hirani Engineering and Land Surveying, P.C.

HNTB New York Engineering and Architecture, PC

HVEA Engineers, PC

Jacobs Civil Consultants, Inc.

JED Engineering, P.C.

KS Engineers, P.C.

LiRo Engineers, Inc.

Lochner Engineering, P.C.

Michael Baker Engineering, Inc.

Parsons Brinckerhoff, Inc.

Parsons Transportation Group of NY, Inc.

STV, Inc.

SYSTRA Engineering, Inc.

Tectonic Engineering and Surveying Consultants, P.C.

TRC Engineers, Inc.

URS Corporation

WSP USA Corp.

**34 Firms Selected**

**02 Stations/Bldgs/Shops/Yards/Parking**

AECOM USA, Inc.

AI Engineers, Inc., P.C.

Ammann and Whitney Consulting Engineers, P.C.

ARCADIS of New York, Inc.

CHA Consulting, Inc.

D&B Engineers and Architects, P.C.

Gannett Fleming Engineers and Architects, P.C.

Garg Consulting Services, Inc.

Greenman-Pedersen, Inc.

HAKS Engineers, Architects and Land Surveyors, P.C.

Hatch Mott MacDonald NY, Inc.

Henningson, Durham and Richardson, Architecture and Engineering, P.C.

HNTB New York Engineering and Architecture, PC

HVEA Engineers, PC

Jacobs Civil Consultants, Inc.

Jois Construction Management Systems, Inc.

KS Engineers, P.C.

Langan Engineering, Environmental, Surveying and | Landscape Architecture, D.P.C.

LiRo Engineers, Inc.

Lochner Engineering, P.C.

Michael Baker Engineering, Inc.

Parsons Brinckerhoff, Inc.

Parsons Transportation Group of NY, Inc.

Simco Engineering, P.C.

STV, Inc.

SYSTRA Engineering, Inc.

Tectonic Engineering and Surveying Consultants, P.C.

URS Corporation

WSP USA Corp.

**29 Firms Selected**

**03 Power**

AECOM USA, Inc.

Gannett Fleming Engineers and Architects, P.C.

Hatch Mott MacDonald NY, Inc.

Henningson, Durham and Richardson, Architecture and Engineering, P.C.

HNTB New York Engineering and Architecture, PC

Jacobs Civil Consultants, Inc.

LiRo Engineers, Inc.

STV, Inc.

SYSTRA Engineering, Inc.

URS Corporation

**10 Firms Selected**

**04 Track**

AECOM USA, Inc.

ARCADIS of New York, Inc.

CHA Consulting, Inc.

Gannett Fleming Engineers and Architects, P.C.

Hatch Mott MacDonald NY, Inc.

Henningson, Durham and Richardson Architecture and Engineering, P.C.

HNTB New York Engineering and Architecture, PC

Jacobs Civil Consultants, Inc.

Jois Construction Management Systems, Inc.

LiRo Engineers, Inc.

Michael Baker Engineering, Inc.

Parsons Brinckerhoff, Inc.

STV, Inc.

SYSTRA Engineering, Inc.

URS Corporation

WSP USA Corp.

**16 Firms Selected**

**05 Signals and Communications**

AECOM USA, Inc.

Gannett Fleming Engineers and Architects, P.C.

Garg Consulting Services, Inc.

Hatch Mott MacDonald NY, Inc.

HNTB New York Engineering and Architecture, PC

Jacobs Civil Consultants, Inc.

Louis T. Klauder and Associates

STV, Inc.

SYSTRA Engineering, Inc.

URS Corporation

**10 Firms Selected**

**06 Rolling Stock**

CH2M HILL New York, Inc.

Interfleet Technology, Inc.

Louis T. Klauder and Associates

STV, Inc.

**4Firms Selected**

**07 Environmental Engineering**

ARCADIS of New York, Inc.

CH2M HILL New York, Inc.

D&B Engineers and Architects, P.C.

Dewberry Engineers, Inc.

FPM Group, Ltd.

Gannett Fleming Engineers and Architects, P.C.

GZA GeoEnvironmental of New York

Hatch Mott MacDonald NY, Inc.

Henningson, Durham and Richardson, Architecture and Engineering, P.C.

HNTB New York Engineering and Architecture, PC

Langan Engineering, Environmental, Surveying and Landscape Architecture, D.P.C.

LiRo Engineers, Inc.

Parsons Brinckerhoff, Inc.

STV, Inc.

Tectonic Engineering and Surveying Consultants, P.C.

TRC Engineers, Inc.

URS Corporation

**17 Firms Selected**

**C Miscellaneous Professional Services**

**01 Scheduling**

Ammann and Whitney Consulting Engineers, P.C.

ARCADIS of New York, Inc.

Atkins, P.A.

HAKS Engineers, Architects and Land Surveyors, P.C.

Henningson, Durham and Richardson Architecture and Engineering, P.C.

Hill International, Inc.

HNTB New York Engineering and Architecture, PC

Jois Construction Management System

LiRo Engineers, Inc.

M&J Engineering, P.C.

Parsons Brinckerhoff, Inc.

PMA Consultants

STV, Inc.

Toscano Clements Taylor, LLC

URS Corporation

**15 Firms Selected**

**02 Cost Estimating**

Accu-Cost Construction Consultants, Inc.

ARCADIS of New York, Inc.

Atkins, P.A.

HAKS Engineers, Architects and Land Surveyors, P.C.

Henningson, Durham and Richardson, Architecture and Engineering, P.C.

Hill International, Inc.

HNTB New York Engineering and Architecture, PC

Jois Construction Management System

LiRo Engineers, Inc.

Parsons Brinckerhoff, Inc.

PMA Consultants

STV, Inc.

Toscano Clements Taylor, LLC

URS Corporation

**14 Firms Selected**

**03 Claims Support**

Ammann and Whitney Consulting Engineers, P.C.

ARCADIS of New York, Inc.

Henningson, Durham and Richardson Architecture and Engineering, P.C.

Hill International, Inc.

HNTB New York Engineering and Architecture, PC

Jois Construction Management System

MDC Systems

PMA Consultants

SYSTRA Engineering, Inc.

**9 Firms Selected**

**04 Constructability**

ARCADIS of New York, Inc.

CES Consultants, Inc.

FST Engineers, Inc.

Greenman-Pedersen, Inc.

Hatch Mott MacDonald NY, Inc.

Henningson, Durham and Richardson, Architecture and Engineering, P.C.

Hill International, Inc.

HNTB New York Engineering and Architecture, PC

Jacobs Civil Consultants, Inc.

LiRo Engineers, Inc.

Michael Baker Engineering, Inc.

Parsons Brinckerhoff, Inc.

PMA Consultants

STV, Inc.

SYSTRA Engineering, Inc.

URS Corporation

**16 Firms Selected**

**05 Test & Evaluation**

Interfleet Technology, Inc.

**1 Firm Selected**

**06 Useful Life Analysis**

Henningson, Durham and Richardson, Architecture and Engineering, P.C.

**1 Firm Selected**

**07 Design Reviews**

Atkins, P.A.

CH2M HILL New York, Inc.

FST Engineers, Inc.

Greenman-Pedersen, Inc.

Hatch Mott MacDonald NY, Inc.

Henningson, Durham and Richardson, Architecture and Engineering, P.C.

Hill International, Inc.

HNTB New York Engineering and Architecture, PC

Jacobs Civil Consultants, Inc.

LiRo Engineers, Inc.

Louis T. Klauder and Associates  
Michael Baker Engineering, Inc.

Ove Arup and Partners, PC

Parsons Brinckerhoff, Inc.

STV, Inc.

URS Corporation

**16 Firms Selected**

VHB Engineering, Surveying and Landscape Architecture,  
P.C.

**9 Firms Selected**

**08** ***Technical Writer***

CES Consultants, Inc.

Henningson, Durham and Richardson, Architecture and  
Engineering, P.C.

HNTB New York Engineering and Architecture, PC

SIMCO Engineering, P.C.

**4 Firms Selected**

**09** ***Quality Management***

CES Consultants, Inc.

Greenman-Pedersen, Inc.

HNTB New York Engineering and Architecture, PC

Parsons Brinckerhoff, Inc.

SYSTRA Engineering, Inc.

**5 Firms Selected**

**10** ***Operational Studies & Simulations***

CH2M HILL New York, Inc.

Gannett Fleming Engineers and Architects, P.C.

HNTB New York Engineering and Architecture, PC

Louis T. Klauder and Associates

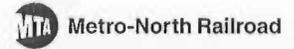
Ove Arup and Partners, PC

Parsons Brinckerhoff, Inc.

STV, Inc.

SYSTRA Engineering, Inc.

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



Item Number: H

<b>Vendor Name (&amp; Location)</b> Gannett Fleming Engineers and Architects, P.C.
<b>Description</b> Design and Inspection Services for the Replacement of Grand Central Terminal Escalators
<b>Contract Term (including Options, if any)</b> 26 months
<b>Option(s) included in Total Amount?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>Procurement Type</b> <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive
<b>Solicitation Type</b> <input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input type="checkbox"/> Other:
<b>Funding Source</b> <input checked="" type="checkbox"/> Operating <input type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other:
<b>Requesting Dept./Div. &amp; Dept./Div. Head Name:</b> <i>Al Muir for Al Muir</i> Procurement & Material Management, Al Muir, Acting Sr. Director

<b>Contract Number</b> 24442	<b>AWO/Modification #</b> 1
<b>Original Amount:</b>	\$672,906
<b>Prior Modifications:</b>	\$ 0.00
<b>Prior Budgetary Increases:</b>	\$ 0.00
<b>Current Amount:</b>	\$672,906 (not-to-exceed)
<b>This Request:</b>	\$510,826
<b>% of This Request to Current Amount:</b>	75.9%
<b>% of Modifications (including This Request) to Original Amount:</b>	75.9%

**Discussion:**

Approval is requested for funding totaling \$510,826 for additional design services to advance the Grand Central Terminal (“GCT”) escalator replacement design from 30% to 100% complete design. The additional design services from Gannett Fleming Engineers and Architects, P.C. (“Gannett Fleming”) are required to develop viable plans and specifications that are best suited to support construction.

The subject design services were competitively solicited to consulting firms pre-approved under the 2010 – 2014 General Engineering Consultant Services program. In response to a Request for Proposal (“RFP”) issued, Gannett Fleming was selected for award and a 27 month contract was executed in August 2013. The contract required Gannett Fleming to provide design-build plans and specifications to approximately the 30% completion level for the replacement of all eleven escalators in GCT. Plans and specifications were completed and an RFP for design-build construction services was solicited in June 2014. No proposals were received from any of the nine plan holders on the required due date. Based on subsequent phone inquiries conducted by MNR with plan holders, MNR concluded that the design-build plan must be revised to a design-bid-build approach (100% complete design). This change is required to: 1) minimize construction contractor risk due to unidentified existing conditions; and 2) better define the optimum capacity rating of each escalator, based on its location.

Gannett Fleming’s cost proposal to complete the design in the amount of \$510,826 was significantly less than our in-house estimate and is deemed to be fair and reasonable. A one year extension to the period of performance is also required and the additional funding will be provided by the MNR Operating Budget.



**Metro-North Railroad**

# **Operations Report December 2014**



# **MONTHLY OPERATING REPORT**

November 2014

Date Issued:  
Friday, December 05, 2014

Performance Summary			2014 Data			2013 Data		
			Annual Goal	November	YTD thru November	November	YTD thru November	
<b>On Time Performance</b> <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i>	<b>System</b>	<b>Overall</b>	<b>93.0%</b>	<b>86.9%</b>	<b>91.4%</b>	<b>92.9%</b>	<b>95.1%</b>	
		AM Peak	93.0%	77.2%	87.9%	88.3%	93.2%	
		AM Reverse Peak	93.0%	87.8%	93.2%	83.4%	94.7%	
		PM Peak	93.0%	95.5%	94.1%	93.9%	95.3%	
		<b>Total Peak</b>	<b>93.0%</b>	<b>86.2%</b>	<b>91.2%</b>	<b>89.8%</b>	<b>94.3%</b>	
		Off Peak Weekday	93.0%	86.6%	91.0%	93.5%	94.7%	
		Weekend	93.0%	88.0%	92.4%	96.0%	97.2%	
		<b>Hudson Line</b>	<b>Overall</b>	<b>94.0%</b>	<b>88.0%</b>	<b>91.7%</b>	<b>96.3%</b>	<b>97.3%</b>
			AM Peak	94.0%	78.9%	89.6%	93.8%	96.7%
			AM Reverse Peak	94.0%	83.7%	93.1%	86.8%	97.3%
			PM Peak	94.0%	97.6%	94.5%	97.1%	97.6%
			<b>Total Peak</b>	<b>94.0%</b>	<b>87.2%</b>	<b>92.1%</b>	<b>94.2%</b>	<b>97.1%</b>
			Off Peak Weekday	94.0%	90.1%	91.2%	97.2%	97.0%
			Weekend	94.0%	86.5%	91.8%	97.8%	97.9%
		<b>Harlem Line</b>	<b>Overall</b>	<b>94.0%</b>	<b>88.6%</b>	<b>93.4%</b>	<b>93.6%</b>	<b>96.6%</b>
			AM Peak	94.0%	81.3%	90.4%	89.8%	95.5%
			AM Reverse Peak	94.0%	91.2%	95.8%	78.1%	95.0%
			PM Peak	94.0%	96.9%	95.8%	95.3%	96.6%
			<b>Total Peak</b>	<b>94.0%</b>	<b>89.2%</b>	<b>93.4%</b>	<b>90.0%</b>	<b>95.8%</b>
			Off Peak Weekday	94.0%	89.0%	93.3%	95.0%	96.5%
			Weekend	94.0%	87.4%	93.8%	96.5%	98.0%
		<b>New Haven Line</b>	<b>Overall</b>	<b>92.0%</b>	<b>85.0%</b>	<b>89.6%</b>	<b>90.2%</b>	<b>92.6%</b>
			AM Peak	92.0%	73.0%	85.0%	83.7%	89.3%
			AM Reverse Peak	92.0%	86.8%	91.0%	86.1%	92.9%
			PM Peak	92.0%	93.1%	92.5%	90.8%	92.9%
			<b>Total Peak</b>	<b>92.0%</b>	<b>83.2%</b>	<b>88.9%</b>	<b>86.9%</b>	<b>91.3%</b>
			Off Peak Weekday	92.0%	82.9%	89.1%	90.1%	91.9%
		Weekend	92.0%	89.3%	91.8%	94.7%	96.2%	
<b>Operating Statistics</b>	<b>Trains Scheduled</b>		<b>18,223</b>	<b>208,227</b>	<b>18,246</b>	<b>203,897</b>		
	<b>Avg. Delay per Late Train (min)</b> <small>excluding trains canceled or terminated</small>		10.2	11.7	13.5	12.1		
	<b>Trains Over 15 min. Late</b> <small>excluding trains canceled or terminated</small>		1,000	284	2,780	251	1,773	
	<b>Trains Canceled</b>		160	15	361	15	236	
	<b>Trains Terminated</b>		160	21	416	26	347	
	<b>Percent of Scheduled Trips Completed</b>		99.8%	99.8%	99.6%	99.8%	99.7%	
<b>Consist Compliance</b>	<b>System</b>	<b>Overall</b>	<b>99.8%</b>	<b>99.7%</b>	<b>99.5%</b>	<b>99.6%</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%	99.2%	99.0%	99.5%	99.4%	
		AM Reverse Peak	99.8%	100.0%	99.9%	100.0%	99.9%	
		PM Peak	99.8%	99.3%	99.0%	99.5%	99.5%	
		<b>Total Peak</b>	<b>99.8%</b>	<b>99.4%</b>	<b>99.1%</b>	<b>99.6%</b>	<b>99.5%</b>	
		Off Peak Weekday	99.8%	99.7%	99.7%	99.6%	99.8%	
		Weekend	99.8%	100.0%	99.9%	99.7%	99.8%	
		<b>Hudson Line</b>	AM Peak	99.8%	99.7%	99.7%	100.0%	99.9%
			PM Peak	99.8%	100.0%	99.8%	99.8%	99.8%
		<b>Harlem Line</b>	AM Peak	99.8%	99.0%	99.3%	99.4%	99.7%
			PM Peak	99.8%	99.6%	99.3%	99.5%	99.6%
		<b>New Haven Line</b>	AM Peak	99.8%	99.0%	98.2%	99.3%	98.9%
			PM Peak	99.8%	98.6%	98.2%	99.4%	99.4%

Categories of Delay	2014 Data			2013 Data	
	October	November	YTD thru November	November	YTD thru November
<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>	4229	4540	26519	1060	11629
<b>Capital Projects</b>	18	10	137	2	105
<b>Maintenance of Equipment</b>	217	289	2858	118	1751
<b>Operations Services</b>	73	57	1148	31	308
<b>Police Incidents</b>	86	72	949	66	570
<b>Other</b>	18	10	137	2	234
<b>Customers</b>	155	212	1887	94	685
<b>3rd Party Operations</b> <i>(Other railroads, marine traffic, etc.)</i>	7	10	248	1	8
<b>Weather and Environmental</b>	578	1105	3396	438	1060

**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	
11/01	Sat	Operating restrictions at various locations on all three lines.	0	0	0	0	0	0	0	0	0	0	0	0	62	0	0	62	0	0
11/01	Sat	Speed restriction enroute account LA-1 in effect.	0	0	0	0	0	0	0	0	0	0	0	0	111	0	0	111	0	0
11/01	Sat	Delays account slippery rail conditions.	0	0	0	0	0	0	0	0	0	0	0	0	26	0	0	26	0	0
11/01	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	106	0	0	106	0	0
11/02	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	64	0	0	64	0	0
11/02	Sun	Operating restrictions at various locations on all three lines.	0	0	0	0	0	0	0	0	0	0	0	0	62	0	0	62	0	0
11/03	Mon	Speed restriction enroute account LA-1 in effect.	39	0	0	1	0	0	0	0	0	1	0	0	0	0	0	41	0	0
11/03	Mon	Delays account slippery rail conditions.	29	0	0	0	0	0	0	0	0	2	0	0	0	0	0	31	0	0
11/03	Mon	Delays at various locations due to programmed Track Work on all three lines.	0	0	0	0	0	0	0	0	0	18	0	0	0	0	0	18	0	0
11/03	Mon	Operating restrictions at various locations on all three lines.	46	0	0	3	0	0	0	0	0	6	0	0	0	0	0	55	0	0
11/03	Mon	Trains were held due to scheduled trains ahead.	5	0	0	0	0	0	0	0	0	10	0	0	0	0	0	15	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
11/04	Tue	Speed restriction enroute account LA-1 in effect.	10	0	0	3	0	0	0	0	0	4	0	0	0	0	0	17	0	0
11/04	Tue	Trains were held due to scheduled trains ahead.	0	0	0	0	0	0	2	0	0	18	0	0	0	0	0	20	0	0
11/04	Tue	Delays at various locations due to programmed Track Work on all three lines.	1	0	0	1	0	0	2	0	0	18	0	0	0	0	0	22	0	0
11/04	Tue	Operating restrictions at various locations on all three lines.	24	0	0	7	0	0	0	0	0	14	0	0	0	0	0	45	0	0
11/05	Wed	Operating restrictions at various locations on all three lines.	33	0	0	3	0	0	0	0	0	13	0	0	0	0	0	49	0	0
11/07	Fri	Delays at various locations due to programmed Track Work on all three lines.	1	0	0	0	0	0	1	0	0	19	0	0	0	0	0	21	0	0
11/07	Fri	Speed restriction enroute account LA-1 in effect.	34	0	0	1	0	0	15	0	0	43	0	0	0	0	0	93	0	0
11/07	Fri	Delays account slippery rail conditions.	0	0	0	0	0	0	2	0	0	11	0	0	0	0	0	13	0	0
11/07	Fri	Congestion account ground in overhead wire from Cat 130 to Cat 184 on track 2.	0	0	0	0	0	0	8	0	0	12	1	1	0	0	0	20	1	1
11/07	Fri	Operating restrictions at various locations on all three lines.	30	0	0	1	0	0	0	0	0	14	0	0	0	0	0	45	0	0
11/08	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	43	0	0	43	0	0
11/08	Sat	Operating restrictions at various locations on all three lines.	0	0	0	0	0	0	0	0	0	0	0	0	42	0	0	42	0	0

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

Date	Day	DESCRIPTION OF EVENT	Number of Late Trains									TOTAL								
			AM Peak			AM Reverse			PM Peak			Off Peak			Weekend			TOTAL		
			L	C	T	L	C	T	L	C	T	L	C	T	L	C	T	Late	Cxld	Term
11/08	Sat	Two feeders lost for approximately 25 minutes (08:00 - 08:28) on the Upper Harlem Line from CP124 and CP153.	0	0	0	0	0	0	0	0	0	0	0	0	19	3	3	19	3	3
11/10	Mon	Trains were held due to scheduled trains ahead.	1	0	0	0	0	0	0	0	0	28	0	0	0	0	0	29	0	0
11/10	Mon	Speed restriction enroute account LA-1 in effect.	16	0	0	0	0	0	0	0	0	0	0	0	0	0	0	16	0	0
11/10	Mon	Delays at various locations due to programmed Track Work on all three lines.	1	0	0	0	0	0	0	0	0	40	0	0	0	0	0	41	0	0
11/10	Mon	Operating restrictions at various locations on all three lines.	37	0	0	3	0	0	0	0	0	17	0	0	0	0	0	57	0	0
11/11	Tue	Speed restriction enroute account LA-1 in effect.	23	0	0	1	0	0	0	0	0	1	0	0	0	0	0	25	0	0
11/11	Tue	Operating restrictions at various locations on all three lines.	43	0	0	5	0	0	0	0	0	16	0	0	0	0	0	64	0	0
11/11	Tue	Delays at various locations due to programmed Track Work on all three lines.	8	0	0	0	0	0	1	0	0	25	0	0	0	0	0	34	0	0
11/12	Wed	The 3C Track Circuit at CP112 was down intermittently.	30	0	0	11	0	0	0	0	0	12	0	0	0	0	0	53	0	0
11/12	Wed	Operating restrictions at various locations on all three lines.	40	0	0	10	0	0	1	0	0	25	0	0	0	0	0	76	0	0
11/12	Wed	Speed restriction enroute account LA-1 in effect.	32	0	0	8	0	0	0	0	0	3	0	0	0	0	0	43	0	0
11/12	Wed	Delays at various locations due to programmed Track Work on all three lines.	2	0	0	0	0	0	1	0	0	22	0	0	0	0	0	25	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
11/12	Wed	Trains were held due to scheduled trains ahead.	1	0	0	0	0	0	0	0	0	11	0	0	0	0	0	12	0	0
11/12	Wed	Delays account slippery rail conditions.	21	0	0	6	0	0	0	0	0	3	0	0	0	0	0	30	0	0
11/13	Thu	Delays at various locations due to programmed Track Work on all three lines.	2	0	0	2	0	0	0	0	0	25	0	0	0	0	0	29	0	0
11/13	Thu	Speed restriction enroute account LA-1 in effect.	6	0	0	0	0	0	22	0	0	35	0	0	0	0	0	63	0	0
11/13	Thu	Operating restrictions at various locations on all three lines.	18	0	0	5	0	0	2	0	0	23	0	0	0	0	0	48	0	0
11/13	Thu	Trains were held due to scheduled trains ahead.	6	0	0	0	0	0	1	0	0	10	0	0	0	0	0	17	0	0
11/14	Fri	Delays at various locations due to programmed Track Work on all three lines.	5	0	0	0	0	0	1	0	0	23	0	0	0	0	0	29	0	0
11/14	Fri	Speed restriction enroute account LA-1 in effect.	15	0	0	3	0	0	3	0	0	4	0	0	0	0	0	25	0	0
11/14	Fri	Trains 843 and 1571 were disabled on tracks 1 and 2 respectively at 125th Street Station, causing delays.	0	0	0	0	0	0	5	0	0	30	0	1	0	0	0	35	0	1
11/14	Fri	The 3EBK circuit was down on track 3 at New Rochelle due to a broken rail.	9	0	0	0	0	0	0	0	0	1	0	0	0	0	0	10	0	0
11/14	Fri	Trains were held due to scheduled trains ahead.	0	0	0	0	0	0	0	0	0	16	0	0	0	0	0	16	0	0
11/14	Fri	Operating restrictions at various locations on all three lines.	29	0	0	3	0	0	0	0	0	8	0	0	0	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
11/15	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	84	0	0	84	0	0
11/15	Sat	Operating restrictions at various locations on all three lines.	0	0	0	0	0	0	0	0	0	0	0	0	51	0	0	51	0	0
11/16	Sun	Operating restrictions at various locations on all three lines.	0	0	0	0	0	0	0	0	0	0	0	0	40	0	0	40	0	0
11/16	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	35	0	0	35	0	0
11/17	Mon	Operating restrictions at various locations on all three lines.	44	0	0	6	0	0	1	0	0	8	0	0	0	0	0	59	0	0
11/17	Mon	Delays at various locations due to programmed Track Work on all three lines.	1	0	0	4	0	0	7	0	0	31	0	0	0	0	0	43	0	0
11/17	Mon	Trains were held due to scheduled trains ahead.	1	0	0	0	0	0	2	0	0	23	0	0	0	0	0	26	0	0
11/18	Tue	Trains were held due to scheduled trains ahead.	1	0	0	0	0	0	2	0	0	21	0	0	0	0	0	24	0	0
11/18	Tue	The 401BK Track Circuit on track 1 at Harlem – 125th Street, the 4AT Track Circuit on track 4 at CP215 and 5EBK Track Circuit at CP235 were down.	1	0	0	0	0	0	4	0	0	11	0	0	0	0	0	16	0	0
11/18	Tue	Delays at various locations due to programmed Track Work on all three lines.	3	0	0	1	0	0	3	0	0	34	0	0	0	0	0	41	0	0
11/18	Tue	Operating restrictions at various locations on all three lines.	26	0	0	5	0	0	2	0	0	20	0	0	0	0	0	53	0	0
11/19	Wed	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

**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
11/19	Wed	Delays at various locations due to programmed Track Work on all three lines.	1	0	0	0	0	0	1	0	0	17	0	0	0	0	0	19	0	0
11/19	Wed	Operating restrictions at various locations on all three lines.	34	0	0	3	0	0	1	0	0	22	0	0	0	0	0	60	0	0
11/20	Thu	Operating restrictions at various locations on all three lines.	9	0	0	1	0	0	0	0	0	10	0	0	0	0	0	20	0	0
11/21	Fri	Delays at various locations due to programmed Track Work on all three lines.	0	0	0	0	0	0	0	0	0	21	0	0	0	0	0	21	0	0
11/21	Fri	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
11/21	Fri	Operating restrictions at various locations on all three lines.	15	0	0	1	0	0	0	0	0	10	0	0	0	0	0	26	0	0
11/22	Sat	Operating restrictions at various locations on all three lines.	0	0	0	0	0	0	0	0	0	0	0	0	48	0	0	48	0	0
11/22	Sat	The 10 derail failed on an scheduled opening of Saga Bridge and, once corrected and opened, Bridge Locks were down on tracks 1 and 3, causing delays.	0	0	0	0	0	0	0	0	0	0	0	0	18	0	0	18	0	0
11/22	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	54	0	0	54	0	0
11/24	Mon	Speed restriction enroute account LA-2 in effect.	49	0	0	11	0	0	2	0	0	48	0	0	0	0	0	110	0	0
11/24	Mon	Delays account slippery rail conditions.	25	0	0	10	0	0	4	0	0	17	0	0	0	0	0	56	0	0
11/24	Mon	Train 2829 reported ground fault in engine 223 and not taken power, reset at Poughkeepsie, yet had continuous ground faults again and top speed was 40mph. Swap equipment at Harmon.	14	0	0	0	0	0	0	0	0	1	0	0	0	0	0	15	0	0

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

Date	Day	DESCRIPTION OF EVENT	Number of Late Trains									TOTAL								
			AM Peak			AM Reverse			PM Peak			Off Peak			Weekend			LATE		
			L	C	T	L	C	T	L	C	T	L	C	T	L	C	T	Late	Cxld	Term
11/24	Mon	Lost signal power from CP212 to CP229 for 1 minute due to Con Ed power failure, restricted cab on track 1 from CAT 125 to CAT 96 and on track 4 from CAT 80 to CAT 99, causing delays.	14	0	0	3	0	0	0	0	0	0	0	0	0	0	0	17	0	0
11/24	Mon	Trains were held due to scheduled trains ahead.	0	0	0	0	0	0	1	0	0	15	0	0	0	0	0	16	0	0
11/24	Mon	A large tree fell on the New Canaan Branch at Cat. 108 (MP5) and damaged both signal and Catenary Wire between Talmadge Hill and Springdale.	2	0	0	0	0	2	0	0	0	16	0	0	0	0	0	18	0	2
11/24	Mon	Delays at various locations due to programmed Track Work on all three lines.	18	0	0	2	0	0	1	0	0	29	0	0	0	0	0	50	0	0
11/24	Mon	Operating restrictions at various locations on all three lines.	43	0	0	13	0	0	0	0	0	27	0	0	0	0	0	83	0	0
11/25	Tue	Trains were held due to scheduled trains ahead.	1	0	0	0	0	0	0	0	0	14	0	0	0	0	0	15	0	0
11/25	Tue	Operating restrictions at various locations on all three lines.	13	0	0	0	0	0	0	0	0	9	0	0	0	0	0	22	0	0
11/25	Tue	Delays at various locations due to programmed Track Work on all three lines.	5	0	0	1	0	0	0	0	0	11	0	0	0	0	0	17	0	0
11/26	Wed	Trains were held due to scheduled trains ahead.	0	0	0	0	0	0	0	0	0	32	0	0	0	0	0	32	0	0
11/26	Wed	Congestion due to Ladder K out of service at CP1 and speed restriction on track 2.	17	0	0	0	0	0	0	0	0	0	0	0	0	0	0	17	0	0
11/26	Wed	Heavy travel en-route.	0	0	0	0	0	0	4	0	0	44	0	0	0	0	0	48	0	0
11/26	Wed	Delays account slippery rail conditions.	29	0	0	12	0	0	0	0	0	5	0	0	0	0	0	46	0	0

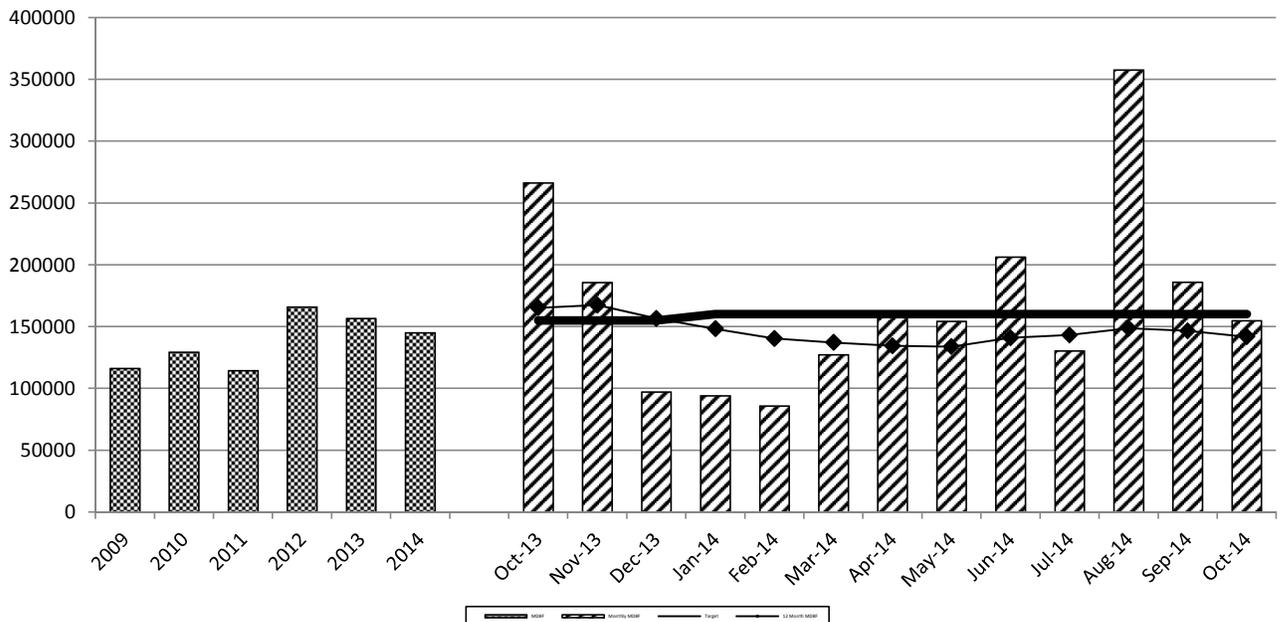
**EVENTS RESULTING IN 10 or MORE LATE (L), CANCELED (C) or TERMINATED (T) TRAINS**

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
11/26	Wed	Speed restriction en-route account LA-1 in effect.	34	0	0	11	0	0	0	0	0	5	0	0	0	0	0	50	0	0
11/26	Wed	Operating restrictions at various locations on all three lines.	27	0	0	10	0	0	2	0	0	51	0	0	0	0	0	90	0	0
11/26	Wed	Delays at various locations due to programmed Track Work on all three lines.	0	0	0	0	0	0	0	0	0	13	0	0	0	0	0	13	0	0
11/30	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	16	0	0	16	0	0
<b>TOTAL FOR MONTH</b>			1024	0	0	171	0	2	104	0	0	1176	1	2	881	3	3	3356	4	7
																		<b>3367</b>		

	Equipment Type	Total Fleet Size	2014 Data						2013 Data		
			MDBF Goal (miles)	Oct MDBF (miles)	Primary Failure Goal	Oct No. of Primary Failures	YTD MDBF thru Oct (miles)	12 month MDBF Rolling Avg (miles)	Oct MDBF (miles)	Oct No. of Primary Failures	YTD MDBF thru Oct (miles)
<b>Mean Distance Between Failures</b>	M246	91	60,000	36,883	7	9	32,751	32,950	176,934	4	66,332
	M8	374	280,000	189,348	9	13	216,370	214,830	293,807	5	205,811
	M3	140	135,000	125,375	2	3	177,133	182,838	153,738	2	205,433
	M7	336	460,000	417,562	4	5	394,549	387,395	1,963,613	1	644,065
	Coach	213	295,000	244,840	5	6	249,708	250,177	369,471	4	316,187
	P-32	31	35,000	27,697	5	7	23,401	23,920	29,718	7	30,229
	BL-20	12	12,000	19,377	3	2	17,848	17,509	12,947	2	10,827
	<b>Fleet</b>	<b>1197</b>	<b>160,000</b>	<b>154,646</b>	<b>35</b>	<b>45</b>	<b>145,022</b>	<b>141,736</b>	<b>246,387</b>	<b>25</b>	<b>157,313</b>
	M2/4/6/8		140,000	126,976	16	22	114,091	108,628	241,863	9	109,087
	M3/7		320,000	307,992	6	8	335,536	333,821	757,030	3	494,289
Diesel/Coach		120,000	113,445	13	15	104,483	105,506	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	November	YTD thru November	November	YTD thru November	
<b>On Time Performance</b> <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i>	<b>West of Hudson Total</b>	<b>Overall</b>	<b>97.0%</b>	<b>94.4%</b>	<b>95.4%</b>	<b>96.8%</b>	<b>97.0%</b>	
		AM Peak	97.1%	95.5%	95.2%	96.4%	97.8%	
		PM Peak	96.3%	90.2%	94.7%	95.8%	96.9%	
		<b>Total Peak</b>		<b>93.0%</b>	<b>94.9%</b>	<b>96.1%</b>	<b>97.4%</b>	
		Off Peak Weekday	97.1%	94.3%	95.6%	96.9%	96.6%	
		Weekend	97.3%	96.2%	95.5%	97.4%	97.1%	
		<b>Pascack Line</b>	<b>Overall</b>	<b>97.6%</b>	<b>94.7%</b>	<b>95.9%</b>	<b>97.9%</b>	<b>97.5%</b>
		AM Peak	97.8%	97.4%	96.0%	97.5%	98.7%	
		PM Peak	97.3%	88.7%	95.0%	97.1%	97.5%	
		<b>Total Peak</b>		<b>93.3%</b>	<b>95.5%</b>	<b>97.3%</b>	<b>98.1%</b>	
		Off Peak Weekday	97.5%	94.5%	95.9%	97.7%	97.2%	
		Weekend	97.8%	96.6%	96.5%	98.8%	97.4%	
		<b>Port Jervis Line</b>	<b>Overall</b>	<b>96.2%</b>	<b>93.8%</b>	<b>94.5%</b>	<b>95.2%</b>	<b>96.2%</b>
		AM Peak	96.2%	93.0%	94.1%	95.0%	96.8%	
		PM Peak	95.2%	92.0%	94.4%	94.1%	96.3%	
		<b>Total Peak</b>		<b>92.5%</b>	<b>94.2%</b>	<b>94.6%</b>	<b>96.5%</b>	
		Off Peak Weekday	96.5%	94.0%	95.1%	95.7%	95.8%	
	Weekend	96.5%	95.5%	93.8%	95.1%	96.6%		
<b>Operating Statistics</b>	<b>Trains Scheduled</b>		<b>1,617</b>	<b>18,411</b>	<b>1,642</b>	<b>17,836</b>		
	<b>Avg. Delay per Late Train (min)</b> <small>excluding trains canceled or terminated</small>		16.7	19.5	19.9	22.5		
	<b>Trains Over 15 min. Late</b> <small>excluding trains canceled or terminated</small>	80	31	343	31	226		
	<b>Trains Canceled</b>		5	73	0	34		
	<b>Trains Terminated</b>		6	48	2	42		
	<b>Percent of Scheduled Trips Completed</b>		99.8%	99.3%	99.3%	99.9%	99.6%	

## NOVEMBER 2014 STANDEE REPORT

East of Hudson			NOV 2013	YTD 2013	NOV 2014	YTD 2014
Daily Average	Hudson Line	Program Standees	0	0	0	0
		Add'l Standees	0	0	3	1
		<b>Total Standees</b>	<b>0</b>	<b>0</b>	<b>3</b>	<b>1</b>
AM Peak	Harlem Line	Program Standees	0	0	0	0
		Add'l Standees	0	1	11	10
		<b>Total Standees</b>	<b>0</b>	<b>1</b>	<b>11</b>	<b>10</b>
	New Haven Line	Program Standees	0	0	0	0
		Add'l Standees	12	23	20	50
		<b>Total Standees</b>	<b>12</b>	<b>23</b>	<b>20</b>	<b>50</b>
<b>EAST OF HUDSON TOTAL - AM PEAK</b>			<b>12</b>	<b>24</b>	<b>34</b>	<b>61</b>
Daily Average	Hudson Line	Program Standees	0	0	0	0
		Add'l Standees	0	4	0	2
		<b>Total Standees</b>	<b>0</b>	<b>4</b>	<b>0</b>	<b>2</b>
PM Peak	Harlem Line	Program Standees	0	0	0	0
		Add'l Standees	7	4	10	6
		<b>Total Standees</b>	<b>7</b>	<b>4</b>	<b>10</b>	<b>6</b>
	New Haven Line	Program Standees	0	0	0	0
		Add'l Standees	37	18	30	40
		<b>Total Standees</b>	<b>37</b>	<b>18</b>	<b>30</b>	<b>40</b>
<b>EAST OF HUDSON TOTAL - PM PEAK</b>			<b>44</b>	<b>26</b>	<b>40</b>	<b>48</b>

West of Hudson			NOV 2013	YTD 2013	NOV 2014	YTD 2014
Daily Average	Port Jervis 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>
AM Peak	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>
Daily Average	Port Jervis 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>
PM Peak	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.

**The 2013 Year to Date averages for the New Haven Line do not include standees resulting from the Con Ed power failure between Sept. 25 and Oct. 4. If these standees are included, year to date New Haven Line standees are 68 for the AM Peak and 60 for the PM Peak**



# **Metro-North Railroad**

## **Financial Report December 2014**



**FINANCIAL STATEMENTS**  
**MONTH ENDED: OCTOBER 2014**

OFFICE OF VICE PRESIDENT OF FINANCE & INFORMATION SYSTEMS

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

October YTD financial results were 5.0% better than plan with a net operating deficit that was \$36.7 million lower than the Mid-Year Forecast. Operating Revenues were \$3.8 million higher than Forecast reflecting better than expected growth in non-commutation ridership. Operating expenses were \$32.9 million or 2.5% lower than projected due to lower expenditures for contracted services, energy and material, as well as revised pension costs related to the estimated wage settlement accrual. These decreases were partially offset by West of Hudson employee claims payments and higher year-to-date overtime costs. The overtime costs reflect higher estimated wage settlement accruals and coverage of must-fill train dispatching and maintenance positions due to vacancies and employees in training.

Reimbursable Capital program expenditures (and reimbursements) were \$24.3 million lower than Forecast due to revised timing of several budgeted projects (Hurricane Sandy Infrastructure, Technology relocation, Positive Train Control, Cyclical Track Program and Overhead Bridge support work) partially offset by higher wage settlement accruals vs. forecast.

**Ridership**

Total ridership was 7.7 million for October, and 70.5 million YTD which was 0.8% above the Mid-Year Forecast, reflecting higher non-commutation ridership.

**East of Hudson**

- YTD Ridership of 69.1 million was 0.8% higher than the Mid-Year Forecast and 0.2% above 2013 actuals results.
- October ridership of 7.5 million was 0.9% above the Mid-Year Forecast.
- YTD Commutation ridership was 0.3% above the Mid-Year Forecast and 1.2% higher for the month. October YTD commutation was 0.2% higher than 2013.
- YTD Non-commutation ridership was 1.4% higher than the Mid-Year Forecast and 0.5% higher for the month. Compared to 2013 YTD non-commutation was 2.4% higher.

**West of Hudson**

- YTD Ridership was higher than the Mid-Year Forecast by 1.2%. October ridership was 3.1% higher than the Mid-Year Forecast.

**Revenue and Reimbursements**

Total YTD Revenue and Reimbursements through October was \$739.8 million, or 2.7% lower than the Mid-Year Forecast:

- Fare Box Revenue of \$537.7 million was \$3.1 million higher than the Mid-Year Forecast due to the higher non-commutation ridership noted above.
- Other Operating Revenue of \$44.7 million was \$0.7 million higher than the Mid-Year Forecast due to higher GCT net retail revenue.
- Capital and Other Reimbursements of \$157.4 million was \$24.3 million lower than the Mid-Year Forecast due to project timing previously discussed.

**Expenses**

Total YTD non-reimbursable and reimbursable expenses of \$1,434.1 million through October were \$57.2 million (3.8%) lower than the Mid-Year Forecast:

- \$48.2 million was attributable to lower non-labor costs. These were primarily driven by timing differences in capital project expenditures, materials usage, and contractual services, in addition to lower energy prices.
- Total Labor costs (operating and capital) were \$11.5 million lower than the Mid-Year Forecast primarily due to a lower pension actuarial estimate than forecasted, lower employee claims, and vacancies, offset by higher overtime costs.

**Financial Performance Measures**

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

- Adjusted Farebox Operating Ratio of 59.8% through October was 3.0% higher than the Mid-Year Forecast (67.0% excluding retroactive wage settlement accruals).
- Adjusted Cost per Passenger of \$14.48 for the period was \$0.77 lower than the Mid-Year Forecast (would be \$12.92 excluding retroactive wage settlement accruals).
- Revenue per Passenger of \$7.87 for the period was on target to the Mid-Year Forecast.

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

**REVENUE**

**Total Revenue and reimbursements** were \$20.5 million (2.7%) lower than the Mid-Year Forecast through October:

- **Fare Box Revenue** – year-to-date was higher than the Mid-Year Forecast by \$3.1 million due to higher non-commutation ridership. For the month, Fare Box revenue was \$0.3 million above the Mid-Year Forecast.
- **Other Operating Revenue** – year-to-date and the month were higher than the Mid-Year Forecast by \$0.7 million and \$0.6 million, respectively, primarily due to higher GCT net retail revenue.
- **Capital and Other Reimbursements** – year-to-date was lower by \$24.3 million due to timing differences/rescheduling of capital projects (Hurricane Sandy Infrastructure, Technology relocation, Positive Train Control, Cyclical Track Program and Overhead Bridge support work), partially offset by timing differences in recording retroactive wage adjustment (RWA) accruals. For the month, reimbursements were \$3.9 million below the Mid-Year Forecast.

**EXPENSES**

**Total Expenses** – Year-to-date expenses of \$1,434.1 million were \$57.2 million (3.8%) lower than the Mid-Year Forecast. For the month, expenses were \$7.4 million (5.2%) lower than the Mid-Year Forecast.

- **Labor expenses** (including fringes and overhead recoveries) were \$856.3 million YTD. This was \$11.5 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 (\$5.4 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 \$328.7 million, \$48.2 million lower than Mid-Year Forecast and \$5.9 million lower for the month.
  - **Electric Power** – \$6.9 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 \$0.9 million lower than the Mid-Year Forecast.
  - **Fuel** – year-to-date was \$0.4 million unfavorable due to higher pricing primarily on the New Haven Line. For the month, expenses were \$0.4 million lower than the Mid-Year Forecast.
  - **Claims** – \$3.6 million higher year-to-date due to settlement of NJT employee injury claims on West of Hudson service. For the month, expenses were \$0.6 million lower than the Mid-Year Forecast.
  - **Maintenance & Other Operating Contracts** – year-to-date was \$10.9 million below the Mid-Year Forecast 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). For the month, expenses were \$2.0 million higher than the Mid-Year Forecast.
  - **Professional Services** – YTD was \$10.8 million below the Mid-Year Forecast primarily due to timing differences in expenditures for IT services, outside training, legal fees, a market share study as well as reimbursable project activity. For the month, expenses were favorable by \$4.5 million to the Mid-Year Forecast.
  - **Materials & Supplies** – year-to-date and month expenditures were \$23.2 million and \$0.9 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 \$0.5 million higher than the Mid-Year Forecast due to higher than budgeted material purchases for reimbursable capital projects partially offset by lower NJT subsidy payments. For the month, expenses were \$0.4 million lower than the Mid-Year Forecast.
  - **Depreciation and Other Non-Cash Liability Adjustments** – \$2.5 million higher than the Mid-Year Forecast primarily due to fixed asset write-offs.

**CASH DEFICIT**

The Cash Deficit through October of \$369.6 million was \$34.8 million favorable to the Mid-Year Forecast mainly due to the overall lower expenses and higher cash receipts, partly offset by lower capital reimbursements (timing).

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

SCHEDULE I - A

	Nonreimbursable				Reimbursable				Total			
	Mid-Year Forecast	Favorable (Unfavorable)			Mid-Year Forecast	Favorable (Unfavorable)			Mid-Year Forecast	Favorable (Unfavorable)		
		Actual	Variance	Percent		Actual	Variance	Percent		Actual	Variance	Percent
<b>Revenue</b>												
Farebox Revenue	\$55.443	\$55.697	\$0.254	0.5	\$0.000	\$0.000	\$0.000	-	\$55.443	\$55.697	\$0.254	0.5
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	4.343	4.966	0.623	14.3	0.000	0.000	0.000	-	4.343	4.966	0.623	14.3
<i>Capital &amp; Other Reimbursements:</i>												
MTA	0.000	0.000	0.000	-	10.008	6.704	(3.304)	(33.0)	10.008	6.704	(3.304)	(33.0)
CDOT	0.000	0.000	0.000	-	7.188	6.777	(0.410)	(5.7)	7.188	6.777	(0.410)	(5.7)
Other	0.000	0.000	0.000	-	2.042	1.893	(0.149)	(7.3)	2.042	1.893	(0.149)	(7.3)
Total Capital and Other Reimbursements	0.000	0.000	0.000	-	19.238	15.375	(3.863)	(20.1)	19.238	15.375	(3.863)	(20.1)
<b>Total Revenue/Receipts</b>	<b>\$59.786</b>	<b>\$60.663</b>	<b>\$0.877</b>	<b>1.5</b>	<b>\$19.238</b>	<b>\$15.375</b>	<b>(\$3.863)</b>	<b>(20.1)</b>	<b>\$79.024</b>	<b>\$76.037</b>	<b>(\$2.986)</b>	<b>(3.8)</b>
<b>Expenses</b>												
<i>Labor:</i>												
Payroll	\$38.082	\$38.219	(\$0.137)	(0.4)	\$3.455	\$3.451	\$0.004	0.1	\$41.537	\$41.670	(\$0.133)	(0.3)
Overtime	6.000	6.648	(0.648)	(10.8)	1.448	1.615	(0.167)	(11.5)	7.448	8.263	(0.815)	(10.9)
Health and Welfare	8.782	8.257	0.525	6.0	1.225	1.096	0.129	10.5	10.007	9.353	0.654	6.5
OPEB Current Payment	1.977	2.060	(0.082)	(4.2)	0.000	0.000	0.000	-	1.977	2.060	(0.082)	(4.2)
Pensions	7.656	7.131	0.525	6.9	0.804	0.752	0.053	6.5	8.460	7.883	0.577	6.8
Other Fringe Benefits	9.267	7.755	1.512	16.3	0.918	0.835	0.083	9.1	10.185	8.589	1.596	15.7
Reimbursable Overhead	(3.512)	(3.904)	0.392	11.2	3.400	3.835	(0.434)	(12.8)	(0.111)	(0.069)	(0.042)	(37.9)
<b>Total Labor</b>	<b>\$68.252</b>	<b>\$66.165</b>	<b>\$2.087</b>	<b>3.1</b>	<b>\$11.251</b>	<b>\$11.582</b>	<b>(\$0.331)</b>	<b>(2.9)</b>	<b>\$79.503</b>	<b>\$77.748</b>	<b>\$1.756</b>	<b>2.2</b>
<i>Non-Labor:</i>												
Electric Power	\$7.082	\$6.189	\$0.893	12.6	\$0.000	\$0.000	\$0.000	-	\$7.082	\$6.189	\$0.893	12.6
Fuel	2.445	2.024	0.421	17.2	0.000	0.000	0.000	-	2.445	2.024	0.421	17.2
Insurance	1.555	1.413	0.142	9.1	0.350	0.332	0.018	5.0	1.905	1.745	0.160	8.4
Claims	0.127	(0.434)	0.561	*	0.000	0.000	0.000	-	0.127	(0.434)	0.561	*
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	8.277	9.877	(1.600)	(19.3)	1.522	1.924	(0.402)	(26.4)	9.800	11.801	(2.001)	(20.4)
Professional Service Contracts	3.151	1.608	1.543	49.0	3.456	0.481	2.975	86.1	6.607	2.089	4.518	68.4
Materials & Supplies	6.303	6.947	(0.644)	(10.2)	2.606	1.034	1.572	60.3	8.909	7.981	0.928	10.4
Other Business Expenses	2.316	1.953	0.363	15.6	0.053	0.021	0.032	59.7	2.368	1.975	0.394	16.6
<b>Total Non-Labor</b>	<b>\$31.256</b>	<b>\$29.577</b>	<b>\$1.678</b>	<b>5.4</b>	<b>\$7.987</b>	<b>\$3.793</b>	<b>\$4.194</b>	<b>52.5</b>	<b>\$39.243</b>	<b>\$33.370</b>	<b>\$5.873</b>	<b>15.0</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>\$99.508</b>	<b>\$95.743</b>	<b>\$3.765</b>	<b>3.8</b>	<b>\$19.238</b>	<b>\$15.375</b>	<b>\$3.863</b>	<b>20.1</b>	<b>\$118.746</b>	<b>\$111.118</b>	<b>\$7.628</b>	<b>6.4</b>
Depreciation	18.936	19.152	(0.216)	(1.1)	0.000	0.000	0.000	-	18.936	19.152	(0.216)	(1.1)
OPEB Obligation	5.425	5.425	0.000	0.0	0.000	0.000	0.000	-	5.425	5.425	0.000	0.0
Environmental Remediation	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
<b>Total Expenses</b>	<b>\$123.869</b>	<b>\$120.320</b>	<b>\$3.550</b>	<b>2.9</b>	<b>\$19.238</b>	<b>\$15.375</b>	<b>\$3.863</b>	<b>20.1</b>	<b>\$143.107</b>	<b>\$135.695</b>	<b>\$7.412</b>	<b>5.2</b>
<b>Net Surplus/(Deficit)</b>	<b>(\$64.083)</b>	<b>(\$59.657)</b>	<b>\$4.426</b>	<b>6.9</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>(\$64.083)</b>	<b>(\$59.657)</b>	<b>\$4.426</b>	<b>6.9</b>
<i>Cash Conversion Adjustments:</i>												
Depreciation	18.936	19.152	0.216	1.1	0.000	0.000	0.000	-	18.936	19.152	0.216	1.1
Operating/Capital	(4.390)	(2.866)	1.524	34.7	0.000	0.000	0.000	-	(4.390)	(2.866)	1.524	34.7
Other Cash Adjustments	(13.436)	(12.152)	1.284	9.6	0.000	0.000	0.000	-	(13.436)	(12.152)	1.284	9.6
<b>Total Cash Conversion Adjustments</b>	<b>\$1.111</b>	<b>\$4.134</b>	<b>\$3.023</b>	<b>*</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$1.111</b>	<b>\$4.134</b>	<b>\$3.023</b>	<b>*</b>
<b>Net Cash Surplus/(Deficit)</b>	<b>(\$62.973)</b>	<b>(\$55.523)</b>	<b>\$7.450</b>	<b>11.8</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>(\$62.973)</b>	<b>(\$55.523)</b>	<b>\$7.450</b>	<b>11.8</b>

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

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

SCHEDULE I - B

	Nonreimbursable				Reimbursable				Total			
	Mid-Year Forecast	Actual	Favorable (Unfavorable)		Mid-Year Forecast	Actual	Favorable (Unfavorable)		Mid-Year Forecast	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent			Variance	Percent
<b>Revenue</b>												
Farebox Revenue	\$534.537	\$537.674	\$3.137	0.6	\$0.000	\$0.000	\$0.000	-	\$534.537	\$537.674	\$3.137	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	43.970	44.657	0.686	1.6	0.000	0.000	0.000	-	43.970	44.657	0.686	1.6
<i>Capital &amp; Other Reimbursements:</i>												
MTA	0.000	0.000	0.000	-	104.186	77.334	(26.852)	(25.8)	104.186	77.334	(26.852)	(25.8)
CDOT	0.000	0.000	0.000	-	60.669	65.822	5.153	8.5	60.669	65.822	5.153	8.5
Other	0.000	0.000	0.000	-	16.878	14.290	(2.588)	(15.3)	16.878	14.290	(2.588)	(15.3)
Total Capital and Other Reimbursements	0.000	0.000	0.000	-	181.733	157.446	(24.287)	(13.4)	181.733	157.446	(24.287)	(13.4)
<b>Total Revenue/Receipts</b>	<b>\$578.508</b>	<b>\$582.330</b>	<b>\$3.823</b>	<b>0.7</b>	<b>\$181.733</b>	<b>\$157.446</b>	<b>(\$24.287)</b>	<b>(13.4)</b>	<b>\$760.241</b>	<b>\$739.776</b>	<b>(\$20.464)</b>	<b>(2.7)</b>
<b>Expenses</b>												
<i>Labor:</i>												
Payroll	\$434.868	\$435.095	(\$0.226)	(0.1)	\$38.031	\$36.931	\$1.100	2.9	\$472.899	\$472.026	\$0.874	0.2
Overtime	79.604	82.769	(3.165)	(4.0)	15.751	17.953	(2.202)	(14.0)	95.356	100.723	(5.367)	(5.6)
Health and Welfare	82.771	81.450	1.320	1.6	11.131	10.103	1.027	9.2	93.901	91.554	2.347	2.5
OPEB Current Payment	19.711	20.008	(0.297)	(1.5)	0.000	0.000	0.000	-	19.711	20.008	(0.297)	(1.5)
Pensions	78.514	70.443	8.071	10.3	7.676	6.902	0.774	10.1	86.190	77.346	8.845	10.3
Other Fringe Benefits	92.229	87.526	4.703	5.1	8.526	8.726	(0.200)	(2.3)	100.755	96.252	4.503	4.5
Reimbursable Overhead	(36.543)	(41.326)	4.782	13.1	35.437	39.671	(4.234)	(11.9)	(1.107)	(1.655)	0.549	49.6
<b>Total Labor</b>	<b>\$751.154</b>	<b>\$735.966</b>	<b>\$15.188</b>	<b>2.0</b>	<b>\$116.552</b>	<b>\$120.287</b>	<b>(\$3.735)</b>	<b>(3.2)</b>	<b>\$867.706</b>	<b>\$856.254</b>	<b>\$11.453</b>	<b>1.3</b>
<i>Non-Labor:</i>												
Electric Power	\$75.670	\$68.721	\$6.949	9.2	\$0.000	\$0.049	(\$0.049)	-	\$75.670	\$68.770	\$6.900	9.1
Fuel	23.126	23.575	(0.449)	(1.9)	0.000	0.000	0.000	-	23.126	23.575	(0.449)	(1.9)
Insurance	14.999	14.091	0.908	6.1	2.947	2.797	0.150	5.1	17.946	16.888	1.058	5.9
Claims	1.754	5.351	(3.597)	*	0.000	0.000	0.000	-	1.754	5.351	(3.597)	*
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	87.314	82.746	4.568	5.2	14.505	8.186	6.319	43.6	101.819	90.932	10.887	10.7
Professional Service Contracts	25.482	17.160	8.322	32.7	14.752	12.290	2.462	16.7	40.234	29.450	10.784	26.8
Materials & Supplies	62.196	58.851	3.345	5.4	30.904	11.091	19.813	64.1	93.100	69.942	23.158	24.9
Other Business Expenses	21.204	21.078	0.126	0.6	2.074	2.746	(0.673)	(32.4)	23.278	23.824	(0.546)	(2.3)
<b>Total Non-Labor</b>	<b>\$311.746</b>	<b>\$291.575</b>	<b>\$20.171</b>	<b>6.5</b>	<b>\$65.181</b>	<b>\$37.159</b>	<b>\$28.023</b>	<b>43.0</b>	<b>\$376.927</b>	<b>\$328.733</b>	<b>\$48.194</b>	<b>12.8</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>\$1,062.900</b>	<b>\$1,027.541</b>	<b>\$35.359</b>	<b>3.3</b>	<b>\$181.733</b>	<b>\$157.446</b>	<b>\$24.287</b>	<b>13.4</b>	<b>\$1,244.633</b>	<b>\$1,184.987</b>	<b>\$59.646</b>	<b>4.8</b>
Depreciation	189.149	193.258	(4.109)	(2.2)	0.000	0.000	0.000	-	189.149	193.258	(4.109)	(2.2)
OPEB Obligation	54.248	54.248	0.000	0.0	0.000	0.000	0.000	-	54.248	54.248	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>\$1,309.511</b>	<b>\$1,276.641</b>	<b>\$32.871</b>	<b>2.5</b>	<b>\$181.733</b>	<b>\$157.446</b>	<b>\$24.287</b>	<b>13.4</b>	<b>\$1,491.244</b>	<b>\$1,434.086</b>	<b>\$57.158</b>	<b>3.8</b>
<b>Net Surplus/(Deficit)</b>	<b>(\$731.004)</b>	<b>(\$694.310)</b>	<b>\$36.693</b>	<b>5.0</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>(\$731.004)</b>	<b>(\$694.310)</b>	<b>\$36.693</b>	<b>5.0</b>
<i>Cash Conversion Adjustments:</i>												
Depreciation	189.149	193.258	4.109	2.2	0.000	0.000	0.000	-	189.149	193.258	4.109	2.2
Operating/Capital	(29.289)	(17.620)	11.669	39.8	0.000	0.000	0.000	-	(29.289)	(17.620)	11.669	39.8
Other Cash Adjustments	166.813	149.123	(17.690)	(10.6)	0.000	0.000	0.000	-	166.813	149.123	(17.690)	(10.6)
<b>Total Cash Conversion Adjustments</b>	<b>\$326.673</b>	<b>\$324.760</b>	<b>(\$1.913)</b>	<b>(0.6)</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$326.673</b>	<b>\$324.760</b>	<b>(\$1.913)</b>	<b>(0.6)</b>
<b>Net Cash Surplus/(Deficit)</b>	<b>(\$404.331)</b>	<b>(\$369.550)</b>	<b>\$34.781</b>	<b>8.6</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>(\$404.331)</b>	<b>(\$369.550)</b>	<b>\$34.781</b>	<b>8.6</b>

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

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

Generic Revenue or Expense Category	Non Reimb. or Reimb.	Current Month vs. Mid-Year Forecast			Year to Date vs. Mid-Year Forecast		
		Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
		\$	%		\$	%	
OTHER OPERATING REVENUE	Non-Reimb	\$0.623	14.3%	Primarily due to higher net GCT retail revenue.	\$0.686	1.6%	
CAPITAL AND OTHER REIMBURSEMENTS	Reimb	(\$3.863)	(20.1%)	Lower reimbursements reflect scheduling changes in capital project expenditures.	(\$24.287)	(13.4%)	Lower reimbursements reflect scheduling changes in capital project expenditures.
OVERTIME	Non-Reimb	(\$0.648)	(10.8%)	Unfavorable variance is primarily due to higher requirements for improved track/infrastructure maintenance programs and accrual RWA adjustments.	(\$3.165)	(4.0%)	Primarily due to higher requirements for improved track/infrastructure maintenance programs, station enhancements, the implementation of safety enhancements and emergency responses (Cos Cob Fire, Yonkers mudslide and Danbury Branch grade crossing issues), vacancy and sick time coverage and accrual RWA adjustments.
	Reimb	(\$0.167)	(11.5%)	Reflects higher than forecasted expenses for the Undergrade Timber Replacement project.	(\$2.202)	(14.0%)	Unfavorable variance primarily reflects a higher overtime RWA accrual estimate for reimbursable projects.
HEALTH AND WELFARE	Non-Reimb	\$0.525	6.0%	Primarily lower than projected premiums.	\$1.320	1.6%	
	Reimb	\$0.129	10.6%	Reflects lower project activity.	\$1.027	9.2%	Reflects lower project activity.
PENSIONS	Non-Reimb	\$0.525	6.9%	Favorable variance reflects a lower than forecasted increase in the Annual Required Contribution (ARC) as a result of the wage settlement.	\$8.071	10.3%	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	\$0.053	6.5%	Primarily reflects lower project activity.	\$0.774	10.1%	
OTHER FRINGE BENEFITS	Non-Reimb	\$1.512	16.3%	Primarily reflects a reclassification of claims related medical payments against the accrued liability for the Spuyten Duyvil and Bridgeport incidents.	\$4.703	5.1%	Primarily reflects a reclassification of claims related medical payments against the accrued liability for the Spuyten Duyvil and Bridgeport incidents.
	Reimb	\$0.083	9.1%	Reflects rate differentials and project adjustments.	(\$0.200)	(2.3%)	
REIMBURSABLE OVERHEAD	Non-Reimb	\$0.392	11.2%	The non-reimbursable and reimbursable variances reflect higher activity on the following projects: Cyclical Track Program, GCT Leaks Remediation, and Undergrade Timber Replacement project.	\$4.782	13.1%	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, MNR Technology Move, Positive Train Control, Cyclical Track Program and Overhead Bridge Program.
	Reimb	(\$0.434)	(12.8%)		(\$4.234)	(11.9%)	

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

Generic Revenue or Expense Category	Non Reimb. or Reimb.	Current Month vs. Mid-Year Forecast			Year to Date vs. Mid-Year Forecast		
		Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
		\$	%		\$	%	
ELECTRIC POWER	Non-Reimb	\$0.893	12.6%	Reflects lower rates on the Harlem and Hudson lines partially offset by higher expenses for an additional substation in New Haven.	\$6.949	9.2%	Reflects lower rates across all lines partially offset by higher expenses for an additional substation in New Haven.
FUEL	Non-Reim	\$0.421	17.2%	Primarily due to the timing of expenses for heating fuel.	(\$0.449)	(1.9%)	Primarily due to higher rates.
INSURANCE	Non-Reimb	\$0.142	9.1%	Lower liability insurance expense for the month.	\$0.908	6.1%	Lower liability insurance expense.
	Reimb	\$0.018	5.0%	Reflects lower project activity.	\$0.150	5.1%	Reflects lower project activity.
CLAIMS	Non-Reimb	\$0.561	*	Primarily reflects a reclassification of claims expense against the accrued liability for the Spuyten Duyvil and Bridgeport incidents.	(\$3.597)	*	Primarily reflects an accrual for a \$5.4M claim settlement for NJT employees injured on MNR property partially offset by a reclassification of claims expense against the accrued liability for the Spuyten Duyvil and Bridgeport incidents.
MAINTENANCE AND OTHER OPERATING CONTRACTS	Non-Reimb	(\$1.600)	(19.3%)	Primarily due to higher expenses for uniforms and payments for as needed maintenance and repairs.	\$4.568	5.2%	Favorable variance primarily reflects timing of expenses for facility maintenance contracts, Genesis locomotive overhaul, and GCT utilities.
	Reimb	(\$0.402)	(26.4%)	Reflects the timing of Positive Train Control, GCT Leaks Remediation and the New Haven Independent Wheel True Shop partially offset by delays on the WoH Signal Improvement and the C-30 Track program.	\$6.319	43.6%	Reflects delay on the WoH Signal Improvements, Overhead Bridge Program - EOFH, C-30 Track Program and the GCT Leaks Remediation project.
PROFESSIONAL SERVICE CONTRACTS	Non-Reimb	\$1.543	49.0%	Primarily reflects timing of expenses for IT costs, engineering services and outside training.	\$8.322	32.7%	Favorable variance primarily reflects timing of expenses for IT costs, engineering services, outside training, medical services, market share studies, and legal fees.
	Reimb	\$2.975	86.1%	Reflects timing of Positive Train Control and the Overhead Bridge Program.	\$2.462	16.7%	Reflects timing of the Overhead Bridge Program and the NHL - Waterbury Branch CWR Replacement.
MATERIAL AND SUPPLIES	Non-Reimb	(\$0.644)	(10.2%)	Primarily reflects earlier than anticipated repairs of Spuyten Duyvil damaged cars.	\$3.345	5.4%	Primarily reflects lower rolling stock mechanical material usage and inventory accounting adjustments.
	Reimb	\$1.572	60.3%	Reflects lower activity on the MNR Technology Move project and the delay on the Hurricane Sandy C&S & Power Projects, Bronx Stations/Capacity Imp, NH Rail Yard - Component Change Out Shop and the Positive Train Control.	\$19.813	64.1%	Reflects delay on the Hurricane Sandy Power, MNR Technology Move, Cyclical Track Program, Positive Train Control, Bronx Stations/Capacity Imp, NH Rail Yard - Component Change Out Shop, Devon Bridge Repair and the NHL - Stamford Station Real-Time Info System,

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

Generic Revenue or Expense Category	Non Reimb. or Reimb.	Current Month vs. Mid-Year Forecast			Year to Date vs. Mid-Year Forecast		
		Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
		\$	%		\$	%	
OTHER BUSINESS EXPENSES	Non-Reimb	\$0.362	15.6%	Primarily due to lower NJT Subsidy payments.	\$0.126	0.6%	
	Reimb	\$0.032	59.7%	Reflects insignificant favorable variances for several projects.	(\$0.673)	(32.4%)	Reflects higher than forecasted material purchases for 525 North Broadway and MNR Technology Move.
ENVIRONMENTAL REMEDIATION	Non-Reimb	\$0.000	0.0%		\$1.620	50.4%	Reflects timing of projects requiring remediation.
OPERATING CAPITAL	Non-Reim	\$1.524	34.7%	Reflects lower activity during the period on the Lan Hardware Replacement and Upgrade, Cameras/Audios in Locomotives, Cabcars, and Passenger Compartments, Demolition of Carey Hole Space in GCT, Vehicle Replacement Provision, Ticket Vending Machines (TVMs), and Expand Real Time Train Status Information - NYS projects, partially offset by higher than anticipated activity on the Upgrade of Locomotive Simulators and Roof Replacement of the North Wing at 525 N Broadway projects.	\$11.669	39.8%	Reflects lower activity during the period on the Ticket Issuing Machines (TVMs), Upgrade of Locomotive Simulators, Vehicle Replacement Provision, Expand Real-Time Train Status Information - NYS, IT Infrastructure System Resiliency, Hot Box And Wheel Impact Detectors, Employee Welfare Facility Improvements, Demolition of Carey Hole in GCT, Purchase 4 Prefab Bldgs for Croton-Harmon, and Snowmelter Elements 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)

	October						October 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>	44,811	\$2.4	36,731	\$2.2	8,080	\$0.2	462,143	\$23.8	436,647	\$24.3	25,496	(\$0.5)
					18.0%	7.7%					5.5%	-2.0%
<u>Unscheduled Service</u>	0	\$0.0	637	\$0.0	(637)	\$0.0	0	\$0.0	637	\$0.0	(637)	\$0.0
					-	-					-	-
<u>Programmatic/Routine Maintenance</u>	53,810	\$2.5	60,613	\$2.9	(6,803)	(\$0.4)	450,779	\$21.1	483,168	\$22.4	(32,389)	(\$1.3)
					-12.6%	-14.7%					-7.2%	-6.0%
<u>Unscheduled Maintenance</u>	1,224	\$0.1	1,446	\$0.1	(222)	(\$0.0)	7,246	\$0.3	20,612	\$1.3	(13,366)	(\$1.0)
					-18.2%	-22.0%					*	*
<u>Vacancy/Absentee Coverage</u> <sup>2</sup>	20,227	\$1.2	25,660	\$1.2	(5,433)	\$0.0	193,717	\$10.5	256,253	\$11.7	(62,536)	(\$1.2)
					-26.9%	2.1%					-32.3%	-10.9%
<u>Weather Emergencies</u>	598	\$0.0	486	\$0.0	112	\$0.0	84,152	\$4.0	85,189	\$3.9	(1,037)	\$0.0
					18.7%	36.1%					-1.2%	0.6%
<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>	1,540	(\$0.2)	494	\$0.3	1,046	(\$0.5)	17,764	\$19.8	15,977	\$19.1	1,786	\$0.7
					67.9%	*					10.1%	3.6%
Subtotal	122,210	\$6.0	126,069	\$6.6	(3,859)	(\$0.6)	1,215,801	\$79.6	1,298,483	\$82.8	(82,682)	(\$3.2)
					-3.2%	-10.8%					-6.8%	(\$0.0)
<b>REIMBURSABLE OVERTIME</b>	26,900	\$1.4	31,191	\$1.6	(4,291)	(\$0.2)	276,796	\$15.8	285,621	\$18.0	(8,825)	(\$2.2)
					-16.0%	-11.5%					-3.2%	(\$0.1)
<b>TOTAL OVERTIME</b>	<b>149,110</b>	<b>\$7.4</b>	<b>157,260</b>	<b>\$8.3</b>	<b>(8,150)</b>	<b>(\$0.8)</b>	<b>1,492,597</b>	<b>\$95.4</b>	<b>1,584,104</b>	<b>\$100.7</b>	<b>(91,507)</b>	<b>(\$5.4)</b>
					-5.5%	-10.9%					-6.1%	-5.6%

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)**

	October			October 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>	8,080	\$0.2		25,496	(\$0.5)	Reflects service coverage versus available staff and train dispatchment needs.
	18.0%	7.7%		5.5%	-2.0%	
<u>Unscheduled Service</u>	(637)	\$0.0		(637)	\$0.0	
	-	-		-	-	
<u>Programmatic/Routine Maintenance</u>	(6,803)	(\$0.4)	Higher requirements to support Infrastructure Improvement Program.	(32,389)	(\$1.3)	Higher requirements to support Infrastructure Improvement and Station Enhancement programs.
	-12.6%	-14.7%		-7.2%	-6.0%	
<u>Unscheduled Maintenance</u>	(222)	(\$0.0)		(13,366)	(\$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.
	-18.2%	-22.0%		*	*	
<u>Vacancy/Absentee Coverage</u> <sup>2</sup>	(5,433)	\$0.0		(62,536)	(\$1.2)	Reflects vacation and sick coverage for must-fill positions within MofE required to perform FRA mandated functions and periodic maintenance requirements.
	-26.9%	2.1%		-32.3%	-10.9%	
<u>Weather Emergencies</u>	112	\$0.0		(1,037)	\$0.0	
	18.7%	36.1%		-1.2%	0.6%	
<u>Safety/Security/Law Enforcement</u> <sup>3</sup>	0	\$0.0		0	\$0.0	
	-	-		-	-	
<u>Other</u> <sup>4</sup>	1,046	(\$0.5)	Accrual adjustments for retroactive wage agreement (RWA).	1,786	\$0.7	Accrual adjustments for retroactive wage agreement (RWA) offset by payroll timing adjustments.
	67.9%	*		10.1%	3.6%	
<b>Subtotal</b>	<b>(3,859)</b>	<b>(\$0.6)</b>		<b>(82,682)</b>	<b>(\$3.2)</b>	
	-3.2%	-10.8%		-6.8%	-4.0%	
<b>REIMBURSABLE OVERTIME</b>	(4,291)	(\$0.2)	Reflects higher than forecasted expenses for the Undergrade Timber Replacement project.	(8,825)	(\$2.2)	Unfavorable variance primarily reflects a higher overtime RWA accrual estimate for reimbursable projects.
	-16.0%	-11.5%		-3.2%	-14.0%	
<b>TOTAL OVERTIME</b>	<b>(8,150)</b>	<b>(\$0.8)</b>		<b>(91,507)</b>	<b>(\$5.4)</b>	

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

\* Exceeds 100%

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

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

<sup>3</sup> Not Applicable

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

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

**REVISED OVERTIME DECOMPOSITION LEGEND DEFINITIONS**

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

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

SCHEDULE III

	October 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	\$55.785	\$58.622	\$2.837	5.1	\$539.242	\$544.553	\$5.311	1.0
Toll Receipts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Receipts	5.984	4.613	(1.371)	(22.9)	59.569	60.829	1.260	2.1
<i>Capital &amp; Other Reimbursements:</i>								
MTA	12.015	11.883	(0.132)	(1.1)	83.869	67.590	(16.279)	(19.4)
CDOT	8.216	7.717	(0.499)	(6.1)	56.331	48.295	(8.036)	(14.3)
Other	1.859	0.981	(0.878)	(47.2)	15.231	10.740	(4.491)	(29.5)
Total Capital and Other Reimbursements	22.090	20.581	(1.509)	(6.8)	155.431	126.625	(28.806)	(18.5)
<b>Total Receipts</b>	<b>\$83.858</b>	<b>\$83.816</b>	<b>(\$0.042)</b>	<b>(0.1)</b>	<b>\$754.242</b>	<b>\$732.007</b>	<b>(\$22.235)</b>	<b>(2.9)</b>
<b>Expenditures</b>								
<i>Labor:</i>								
Payroll	\$57.930	\$43.768	\$14.162	24.4	\$398.938	\$379.079	\$19.859	5.0
Overtime	7.490	8.630	(1.140)	(15.2)	74.433	78.244	(3.811)	(5.1)
Health and Welfare	9.909	21.256	(11.347)	*	97.669	97.531	0.138	0.1
OPEB Current Payment	1.723	3.686	(1.963)	*	20.221	21.383	(1.163)	(5.7)
Pensions	7.240	6.977	0.263	3.6	58.258	57.175	1.083	1.9
Other Fringe Benefits	11.401	8.950	2.451	21.5	95.001	94.639	0.362	0.4
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>\$95.692</b>	<b>\$93.267</b>	<b>\$2.425</b>	<b>2.5</b>	<b>\$748.969</b>	<b>\$732.509</b>	<b>\$16.460</b>	<b>2.2</b>
<i>Non-Labor:</i>								
Electric Power	\$8.125	\$5.496	\$2.629	32.4	\$74.419	\$64.746	\$9.673	13.0
Fuel	1.760	2.308	(0.548)	(31.2)	20.929	23.948	(3.019)	(14.4)
Insurance	1.659	3.617	(1.958)	*	17.496	18.486	(0.990)	(5.7)
Claims	0.627	0.966	(0.339)	(54.1)	6.377	20.802	(14.425)	*
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	14.882	10.483	4.399	29.6	108.023	83.875	24.148	22.4
Professional Service Contracts	8.581	10.077	(1.496)	(17.4)	45.319	34.497	10.822	23.9
Materials & Supplies	10.814	8.477	2.337	21.6	95.602	78.926	16.676	17.4
Other Business Expenditures	4.692	4.648	0.044	0.9	41.439	43.768	(2.329)	(5.6)
<b>Total Non-Labor</b>	<b>\$51.139</b>	<b>\$46.072</b>	<b>\$5.067</b>	<b>9.9</b>	<b>\$409.603</b>	<b>\$369.048</b>	<b>\$40.555</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>\$146.831</b>	<b>\$139.339</b>	<b>\$7.492</b>	<b>5.1</b>	<b>\$1,158.573</b>	<b>\$1,101.557</b>	<b>\$57.016</b>	<b>4.9</b>
<b>Net Cash Deficit ( excludes Opening Cash Balance)</b>	<b>(\$62.973)</b>	<b>(\$55.523)</b>	<b>\$7.450</b>	<b>11.8</b>	<b>(\$404.331)</b>	<b>(\$369.550)</b>	<b>\$34.781</b>	<b>8.6</b>
<b>Subsidies</b>								
MTA	56.580	49.791	(6.789)	(12.0)	317.367	274.906	(42.461)	(13.4)
CDOT	6.392	8.978	2.586	40.5	84.896	86.307	1.411	1.7
<b>Total Subsidies</b>	<b>\$62.972</b>	<b>\$58.769</b>	<b>(\$4.203)</b>	<b>(6.7)</b>	<b>\$402.263</b>	<b>\$361.213</b>	<b>(\$41.050)</b>	<b>(10.2)</b>
<b>Cash Timing and Availability Adjustment</b>	<b>\$0.000</b>	<b>(\$5.002)</b>	<b>(\$5.002)</b>	<b>-</b>	<b>\$0.000</b>	<b>\$8.337</b>	<b>\$8.337</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	October Month vs Mid-Year Forecast			Year-To-Date as of October 31, 2014		
	Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
	\$	%		\$	%	
FARE REVENUE	2.837	5.1%	Timing of cash receipts combined with higher non-commuter ridership.	5.311	1.0%	
OTHER OPERATING REVENUE	(1.371)	(22.9%)	Timing of quarterly payments to MTA for LaSalle charges combined with timing of receipts for commuter parking partially offset by Amtrak reimbursements.	1.260	2.1%	
CAPITAL AND OTHER REIMBURSEMENTS:						
MTA	(0.132)	(1.1%)		(16.279)	(19.4%)	Lower receipts due to lower project activity combined with timing of payments.
CDOT	(0.499)	(6.1%)	Lower cash receipts due to lower project activity partially offset by timing of payments.	(8.036)	(14.3%)	Lower cash receipts due to timing of payments partially offset by higher project activity.
OTHER	(0.878)	(47.2%)	Lower cash receipts due to timing of payments partially offset by higher project activity.	(4.491)	(29.5%)	Lower receipts due to lower project activity combined with timing of payments.
PAYROLL	14.162	24.4%	Timing of estimated RWA payments to agreement personnel combined with vacancy and delays in hiring.	19.859	5.0%	Timing of estimated RWA payments to agreement personnel combined with vacancy and delays in hiring.
OVERTIME	(1.140)	(15.2%)	Higher requirements to support Infrastructure Improvement Program, timing of capital related projects and vacancies/absenteeism coverage for must-fill positions.	(3.811)	(5.1%)	Timing of capital related projects, higher requirements to support Infrastructure Improvement and Station Enhancement Programs and vacancies/absenteeism coverage for must-fill positions.
HEALTH & WELFARE	(11.347)	*	Timing of monthly payment to NYSHIP combined with quarterly payments for Connecticut and Dental/Vision.	0.138	0.1%	
OPEB CURRENT PAYMENT	(1.963)	*	Timing of September payment made in October.	(1.162)	(5.7%)	Higher retiree health benefit payments.
PENSIONS	0.263	3.6%		1.083	1.9%	
OTHER FRINGE BENEFITS	2.451	21.5%	Lower payroll taxes due to timing of RWA payments combined with lower employee claims.	0.362	0.4%	
GASB ACCOUNT	0.000	0.0%		(0.008)	(0.2%)	
ELECTRIC POWER	2.629	32.4%	Rate favorability combined with timing of delivery portion of Connecticut Light & Power payment and delivery and generation charges from United Illuminating.	9.673	13.0%	Delivery portion of Conn. Light & Power for June - October, rate favorability and delivery and generation from United Illuminating for Feb - Oct.
FUEL	(0.548)	(31.1%)	Timing of payments combined with change in NHL locomotive fueling procedures.	(3.018)	(14.4%)	Change in NHL locomotive fueling procedures combined with timing of payments.
INSURANCE	(1.958)	*	Timing of premium payments for All Agency Property and Catastrophic Bond partially offset by Automobile.	(0.991)	(5.7%)	Timing of premium payments for All Agency Property and Station Liability partially offset by Force Account timing.

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	October Month vs Mid-Year Forecast			Year-To-Date as of October 31, 2014		
	Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
	\$	%		\$	%	
CLAIMS	(0.339)	(54.1%)	Claim payments made for passenger injury settlements relating to the New Haven Line and Spuyten Duyvil incidents.	(14.425)	*	Claim payments made for passenger injury settlements relating to Spuyten Duyvil, West of Hudson and New Haven Line incidents.
MAINTENANCE & OTHER OPERATING CONTRACTS	4.399	29.6%	Timing of quarterly payments to MTA police and monthly track leases for Harlem & Hudson Lines partially offset by timing of capital related projects (Upgrade of Locomotive Simulators).	24.148	22.4%	Timing of capital related projects (West of Hudson Signal Improvements, Overhead Bridge Program, Upgrade Locomotive Simulators, Employee Welfare Facility Improvements, Vehicle Replacement Provision, Installation of wood crossties and grade crossings and GCT Leaks Remediation) combined with timing of MTA Police Services, Maintenance & Repair, Harlem & Hudson Track Leases and Steam.
PROFESSIONAL SERVICE CONTRACTS	(1.496)	(17.4%)	Timing of capital related projects (Overhead Bridge Program, 525 N. Broadway, NHL Fleet Replacement and GCT Leaks Remediation).	10.822	23.9%	Timing of capital related projects (Ticket Issuing Machines, Overhead Bridge Program, PTC, MNR Technology Move and IT Infrastructure Resiliency), I.T. Costs, BSC Costs, Advertising and Market Research.
MATERIALS & SUPPLIES	2.337	21.6%	Timing of capital related projects (MNR Technology Move, Hurricane Sandy Infrastructure Improvements, Camera's/Audio for M8 Fleet, Emergency Generators for Station Platforms and Bronx Station/Capacity Improvements) combined with timing of material purchases (Truck Suspension and Carbody) partially offset by timing of inventory purchases.	16.676	17.4%	Timing of capital related projects (Hurricane Sandy Infrastructure Program, MNR Technology Move, 2013 Cyclical Track Program, PTC, Bronx Station/Capacity Improvements, Expansion of Real-Time Train Status Information and Hot Box and Wheel Impact Detector) partially offset by timing of payments of items placed in inventory.
OTHER BUSINESS EXPENSES	0.044	0.9%		(2.329)	(5.6%)	Timing of New Jersey Transit subsidy payments combined with timing of capital related projects (Employee Welfare Facility Improvements, 525 N. Broadway and MNR Technology Move).
MTA SUBSIDY RECEIPTS	(6.789)	(12.0%)	Lower subsidy draw due to lower net cash deficit combined with higher CDOT subsidy receipts partially offset by impact of utilization of cash balances.	(42.461)	(13.4%)	Lower subsidy draw due to lower net cash deficit, impact of utilization of cash balances and higher CDOT subsidy receipts.
CDOT SUBSIDY RECEIPTS	2.586	40.5%	Primarily timing of payment for Admin Assets.	1.411	1.7%	
TOTAL SUBSIDY RECEIPTS	(4.203)	(6.7%)		(41.050)	(10.2%)	

\* Variance exceeds 100%

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

	October 2014				Year-to-Date			
	Mid-Year Forecast	Actual	Favorable (Unfavorable)		Mid-Year Forecast	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent
<b>Receipts</b>								
Farebox Revenue	\$0.342	\$2.925	\$2.583	*	\$4.705	\$6.879	\$2.174	46.2
Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	1.641	(0.353)	(1.994)	*	15.598	16.172	0.574	3.7
<i>Capital &amp; Other Reimbursements:</i>		0.000			0.000	0.000		
MTA	2.007	5.179	3.171	*	(20.317)	(9.744)	10.573	52.0
CDOT	1.028	0.940	(0.089)	(8.6)	(4.338)	(17.527)	(13.189)	*
Other	(0.184)	(0.912)	(0.729)	*	(1.647)	(3.550)	(1.903)	*
Total Capital and Other Reimbursements	2.852	5.206	2.354	82.6	(26.302)	(30.821)	(4.519)	(17.2)
<b>Total Revenue/Receipts</b>	<b>\$4.835</b>	<b>\$7.779</b>	<b>\$2.944</b>	<b>60.9</b>	<b>(\$5.998)</b>	<b>(\$7.769)</b>	<b>(\$1.771)</b>	<b>(29.5)</b>
<b>Expenditures</b>								
<i>Labor:</i>								
Payroll	(\$16.393)	(\$2.098)	\$14.294	87.2	\$73.962	\$92.947	\$18.985	25.7
Overtime	(0.041)	(0.367)	(0.326)	*	20.922	22.479	1.556	7.4
Health and Welfare	0.098	(11.903)	(12.001)	*	(3.768)	(5.977)	(2.209)	(58.6)
OPEB Current Payment	0.255	(1.626)	0.000		(0.509)	(1.375)	(0.865)	*
Pensions	1.220	0.906	(0.314)	(25.8)	27.933	20.171	(7.762)	(27.8)
Other Fringe Benefits	(1.216)	(0.361)	0.855	70.3	5.754	1.613	(4.141)	(72.0)
GASB Account	0.000	0.000	0.000	-	(4.450)	(4.458)	(0.008)	(0.2)
Reimbursable Overhead	(0.111)	(0.069)	0.042	37.9	(1.107)	(1.655)	(0.549)	(49.6)
<b>Total Labor</b>	<b>(\$16.189)</b>	<b>(\$15.519)</b>	<b>\$0.669</b>	<b>4.1</b>	<b>\$118.737</b>	<b>\$123.745</b>	<b>\$5.008</b>	<b>4.2</b>
<i>Non-Labor:</i>								
Electric Power	(\$1.043)	\$0.693	\$1.736	*	\$1.252	\$4.024	\$2.772	*
Fuel	0.686	(0.284)	(0.970)	*	2.197	(0.373)	(2.569)	*
Insurance	0.245	(1.872)	(2.117)	*	0.450	(1.598)	(2.048)	*
Claims	(0.500)	(1.400)	(0.900)	*	(4.623)	(15.451)	(10.827)	*
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	(5.082)	1.318	6.400	*	(6.204)	7.057	13.261	*
Professional Service Contracts	(1.974)	(7.988)	(6.014)	*	(5.085)	(5.047)	0.038	0.8
Materials & Supplies	(1.905)	(0.496)	1.409	74.0	(2.502)	(8.984)	(6.482)	*
Other Business Expenses	(2.323)	(2.673)	(0.350)	(15.1)	(18.161)	(19.944)	(1.783)	(9.8)
<b>Total Non-Labor</b>	<b>(\$11.897)</b>	<b>(\$12.702)</b>	<b>(\$0.805)</b>	<b>(6.8)</b>	<b>(\$32.676)</b>	<b>(\$40.315)</b>	<b>(\$7.638)</b>	<b>(23.4)</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>(\$28.085)</b>	<b>(\$28.221)</b>	<b>(\$0.136)</b>	<b>(0.5)</b>	<b>\$86.060</b>	<b>\$83.430</b>	<b>(\$2.630)</b>	<b>(3.1)</b>
Depreciation	18.936	19.152	0.216	1.1	189.149	193.258	4.109	2.2
OPEB Obligation	5.425	5.425	0.000	0.0	54.248	54.248	0.000	0.0
Environmental Remediation	0.000	0.000	0.000	-	3.214	1.594	(1.620)	50.4
<b>Total Expenditures Adjustments</b>	<b>(\$3.724)</b>	<b>(\$3.644)</b>	<b>\$0.080</b>	<b>2.1</b>	<b>\$332.671</b>	<b>\$332.529</b>	<b>(\$0.142)</b>	<b>(0.0)</b>
<b>Total Cash Conversion Adjustments</b>	<b>\$1.111</b>	<b>\$4.134</b>	<b>\$3.023</b>	<b>*</b>	<b>\$326.673</b>	<b>\$324.760</b>	<b>(\$1.913)</b>	<b>(0.6)</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 October</u>		<u>Variance</u>		<u>Year-to-Date October</u>		<u>Variance</u>	
	<u>MY Frst</u>	<u>Actual</u>	<u>Fav (Unfav)</u>		<u>MY Frst</u>	<u>Actual</u>	<u>Fav (Unfav)</u>	
			<u>Amount</u>	<u>%</u>			<u>Amount</u>	<u>%</u>
<u>Farebox Revenue</u>								
Harlem Line	\$16.435	\$16.514	\$0.080	0.5	\$159.358	\$159.295	(\$0.064)	0.0
Hudson Line	\$12.081	\$12.202	\$0.121	1.0	\$114.964	\$116.495	\$1.532	1.3
New Haven Line	\$26.894	\$26.945	\$0.051	0.2	\$259.858	\$261.534	\$1.676	0.6
Total Farebox Revenue	\$55.410	\$55.662 <sup>(1)</sup>	\$0.252	0.5	\$534.180	\$537.324 <sup>(1)</sup>	\$3.144	0.6
 <u>Ridership</u>								
Harlem Line	2.449	2.466	0.016	0.7	22.524	22.591	0.066	0.3
Hudson Line	1.445	1.466	0.021	1.4	13.372	13.545	0.173	1.3
New Haven Line	3.537	3.568	0.031	0.9	32.630	32.928	0.298	0.9
Total Ridership East of Hudson	7.431	7.500	0.068	0.9	68.527	69.064	0.537	0.8
West of Hudson	0.149	0.153	0.005	3.1	1.390	1.408	0.017	1.2
Total Ridership	7.580	7.653	0.073	1.0	69.917	70.471	0.554	0.8

(1) Excludes West of Hudson Mail & Ride revenue totaling \$0.035 million for the month and \$0.350 million year-to-date.

**East of Hudson:**

East of Hudson YTD ridership of 69.1 million was 0.8% higher than the Mid-Year Forecast reflecting the continued improvement in the regional economy. Results for the month were 0.9% better than forecast reflecting increases of 0.7% on the Harlem Line, 1.4% on the Hudson Line and 0.9% on the New Haven Line.

Commutation ridership was 0.3% higher for the year-to-date and 1.2% higher for the month vs. the Mid-Year Forecast. Compared to 2013, October year-to-date commutation ridership was 0.2% higher. Non-commutation ridership was 1.4% higher than the Mid-Year Forecast year-to-date and 2.4% higher than 2013. For the month, non-commutation ridership was 0.5% higher than the Mid-Year Forecast and 6.3% better than 2013.

**West of Hudson:**

West of Hudson ridership was higher by 1.2% YTD and 3.1% for the month vs. the Mid-Year Forecast and 6.8% better than 2013 reflecting an improving regional economy and a continuation of the recovery from the ridership losses experienced from Hurricane Irene and Superstorm Sandy.

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

<u>Department</u>	<u>Mid-Year Forecast</u>	<u>Actual</u>	<u>Favorable (Unfavorable) Variance</u>
<b>Administration</b>			
President	3	3	-
Labor Relations	10	7	3
Safety (1)	57	34	23
COS/Corporate & Public Affairs	17	15	2
Legal (2)	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 (3)	29	24	6
Training (1)	66	50	16
Employee Relations & Diversity	4	4	-
VP Planning	2	2	-
Operations Planning & Analysis	18	16	3
Capital Planning & Programming	15	14	1
GCT & Corporate Development	32	32	-
Long Range Planning	7	6	1
VP Finance & Information Systems	3	1	2
Controller	81	74	7
Information Technology & Project Mgmt (3)	125	97	28
Budget	18	18	0
Customer Service	46	45	2
Procurement & Material Mgmt	30	27	3
Corporate	-	-	0
<b>Total Administration</b>	<b>610</b>	<b>509</b>	<b>101</b>
<b>Operations</b>			
Operations Administration (1)	64	50	15
Operations Services (1)	1,467	1,442	25
Customer Service (3)	237	232	5
GCT & Corporate Development	34	31	3
Metro-North West (4)	29	34	(5)
<b>Total Operations</b>	<b>1,831</b>	<b>1,788</b>	<b>43</b>
<b>Maintenance</b>			
GCT & Corporate Development	173	161	12
Maintenance of Equipment (3)	1,669	1,606	63
Maintenance of Way (3)	1,934	1,850	84
Procurement & Material Mgmt	121	115	6
<b>Total Maintenance</b>	<b>3,897</b>	<b>3,732</b>	<b>165</b>
<b>Engineering/Capital</b>			
Construction Management	33	31	1
Engineering & Design (5)	60	61	(1)
<b>Total Engineering/Capital</b>	<b>93</b>	<b>92</b>	<b>1</b>
<b>Total Positions</b>	<b>6,430</b>	<b>6,121</b>	<b>309</b>
<b>Non-Reimbursable</b>	<b>5,776</b>	<b>5,684</b>	<b>92</b>
<b>Reimbursable</b>	<b>655</b>	<b>437</b>	<b>217</b>
<b>Total Full-Time</b>	<b>6,429</b>	<b>6,120</b>	<b>309</b>
<b>Total Full-Time-Equivalents (of part-time positions)</b>	<b>1</b>	<b>1</b>	<b>-</b>

(1) Variance reflects new and existing vacant positions.

(2) Variance reflects early hiring of vacant positions.

(3) Variance reflects existing vacant positions.

(4) 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.

(5) Variance reflects lower attrition than planned.

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

FUNCTION/OCCUPATION	Mid-Year Forecast	Actual	Favorable (Unfavorable) Variance
<b>Administration (1)</b>			
Managers/Supervisors	188	153	35
Professional, Technical, Clerical	422	356	66
Operational Hourlies	-	-	-
<b>Total Administration</b>	<b>610</b>	<b>509</b>	<b>101</b>
<b>Operations (1)</b>			
Managers/Supervisors	152	131	21
Professional, Technical, Clerical	242	219	24
Operational Hourlies	1,437	1,439	(2)
<b>Total Operations</b>	<b>1,831</b>	<b>1,788</b>	<b>43</b>
<b>Maintenance (1)</b>			
Managers/Supervisors	506	495	11
Professional, Technical, Clerical	499	496	3
Operational Hourlies	2,892	2,741	151
<b>Total Maintenance</b>	<b>3,897</b>	<b>3,732</b>	<b>165</b>
<b>Engineering/Capital</b>			
Managers/Supervisors	40	40	(0)
Professional, Technical, Clerical	53	52	1
Operational Hourlies	-	-	-
<b>Total</b>	<b>93</b>	<b>92</b>	<b>1</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	885	818	67
Professional, Technical, Clerical	1,216	1,123	93
Operational Hourlies	4,329	4,180	149
<b>Total Positions</b>	<b>6,430</b>	<b>6,121</b>	<b>309</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**

October 31, 2014

<b>Agency-wide (Non-Reimbursable and Reimbursable)</b>	<b>Mid-Year Forecast</b>	<b>Actual</b>	<b>Favorable (Unfavorable) Variance</b>	<b>Explanation of Variances</b>
<i>Functional Classification:</i>				
Operations (1)	1,831	1,788	43	Reflects vacancies in Operation Services (train operations staff) and Customer Service (custodians).
Maintenance (1)	3,897	3,732	165	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)	610	509	101	Reflects vacancies in Information Technology (computer support analysts, application developers and network analysts).
Engineering / Capital	93	92	1	Reflects delayed attrition in Construction Management positions.
<b>Total Agency-wide Headcount</b>	<b>6,430</b>	<b>6,121</b>	<b>309</b>	
Non-Reimbursable	5,776	5,684	92	Reflects a transfer of reimbursable Maintenance of Way positions to perform operating work.
Reimbursable	655	437	217	

**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**  
**MID-YEAR FORECAST AND NOVEMBER FORECAST vs. ACTUAL RESULTS (NON-REIMBURSABLE)**  
**OCTOBER 2014 YEAR-TO-DATE**  
**(\$ in millions)**

	October Year-to-Date			Favorable(Unfavorable) Variance			
	Mid-Year Forecast	November Forecast	Actual	Mid-Year Forecast		November Forecast	
	\$	\$	\$	\$	%	\$	%
Total Revenue	578.5	582.3	582.3	3.8	0.7	0.1	0.0
Total Expenses before Non-Cash Liability Adjs	1,062.9	1,047.5	1,027.5	35.4	3.3	20.0	1.9
Depreciation	189.1	190.4	193.3	(4.1)	(2.2)	(2.9)	(1.5)
OPEB Obligation	54.2	54.2	54.2	-	0.0	-	0.0
Environmental Remediation	3.2	2.5	1.6	1.6	50.4	1.0	37.4
Total Expenses	1,309.5	1,294.7	1,276.6	32.9	2.5	18.1	1.4
<b>Net Surplus/(Deficit)</b>	<b>(731.0)</b>	<b>(712.5)</b>	<b>(694.3)</b>	<b>36.7</b>	<b>5.0</b>	<b>18.2</b>	<b>2.5</b>

Note: Totals may not add due to rounding

**MTA METRO-NORTH RAILROAD  
EXPLANATION OF VARIANCES BETWEEN NOVEMBER FORECAST AND ACTUAL RESULTS  
NON-REIMBURSABLE  
OCTOBER 2014 YEAR-TO-DATE  
(\$ in millions)**

	<u>Favorable/(Unfavorable)</u>		<u>Variance Explanation</u>
	<u>Variance</u>	<u>Percent</u>	
Total Revenue	\$0.1	0.0	No significant variances
Total Expenses	\$18.1	1.4	Variance comprised of favorable fringe costs (pension, taxes and employee claims), contracts and materials offset by accelerated depreciation expenses

NOTE: Mid-Year Forecast vs. Actual Variance explanations are provided in the monthly report to the Finance Committee

**MTA METRO-NORTH RAILROAD  
JULY FINANCIAL PLAN - 2014 MID-YEAR FORECAST  
MONTHLY PERFORMANCE INDICATORS \*  
October 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>	58.8%	55.5%	57.5%	3.3%	1.3%
Adjusted <sup>(2)</sup>	67.5%	62.0%	65.0%	5.5%	2.5%
Cost per Passenger					
Standard <sup>(1)</sup>	\$12.78	\$13.60	\$12.79	\$0.82	\$0.01
Adjusted <sup>(2)</sup>	\$12.35	\$13.39	\$12.51	\$1.04	\$0.16
Passenger Revenue/Passenger <sup>(4)</sup>	\$7.52	\$7.55	\$7.36	(\$0.03)	\$0.16
	<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>	53.4%	51.0%	61.0%	2.4%	-7.6%
Adjusted <sup>(2) (3)</sup>	59.8%	56.8%	69.4%	3.0%	-9.6%
Cost per Passenger					
Standard <sup>(1) (3)</sup>	\$14.74	\$15.48	\$12.52	\$0.74	(\$2.22)
Adjusted <sup>(2) (3)</sup>	\$14.48	\$15.25	\$12.30	\$0.77	(\$2.18)
Passenger Revenue/Passenger <sup>(4)</sup>	\$7.87	\$7.89	\$7.64	(\$0.02)	\$0.23

(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 October performance indicators would be as follows:

	<u>Standard</u>	<u>Adjusted</u>
Fare Operating Ratio	59.7%	67.0%
Cost per Passenger	\$13.18	\$12.92

(4) Includes Bar Car Services.

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



# **Metro-North Railroad**

## **Ridership Report December 2014**

# OCTOBER 2014 RIDERSHIP REPORT MTA METRO-NORTH RAILROAD

## EXECUTIVE SUMMARY

### October

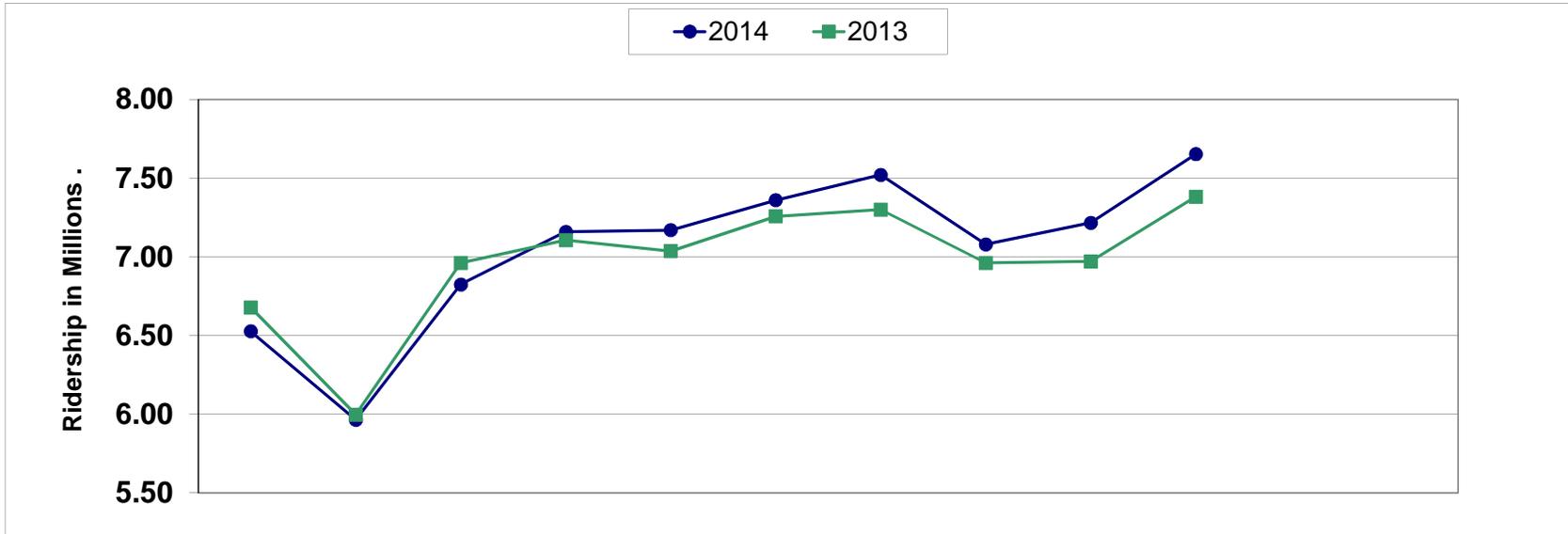
- October 2014 **Total MNR System Ridership** was 7.705 million vs. 7.435 million in October 2013, an increase of 269,960 passengers (+3.6%).
- October 2014 **Total Rail Ridership** was 7.653 million vs. 7.382 million in October 2013, an increase of 270,719 passengers (+3.7%).
  - **Rail Commutation Ridership** was +1.9% vs. 2013
  - **Rail Non-commutation Ridership** was +6.4% vs. 2013
- October 2014 **East of Hudson Ridership** was 7.500 million vs. 7.242 million in October 2013, an increase of 257,813 passengers (+3.6%).
- October 2014 **West of Hudson Ridership** was 0.153 million vs. 0.140 million in October 2013, an increase of 12,906 passengers (+9.2%).
- October 2014 **Connecting Services Ridership** was 0.052 million vs. 0.053 million in October 2013, a decrease of 759 passengers (-1.4%).
- October 2014 **Rail Revenue** was \$56.8 million vs. \$53.7 million in October 2013, an increase of \$3,185,213 (+5.9%).

### Year To Date

- 2014 YTD **Total MNR System Ridership** was 1.2% above 2013 and 0.8% above forecast.
- 2014 YTD **Total Rail Ridership** was 1.2% above 2013 and 0.8% above forecast.
- 2014 YTD **East of Hudson Ridership** was 1.1% above 2013 and 0.8% above forecast.
- 2014 YTD **West of Hudson ridership** was 6.8% above 2013 and 1.2% above forecast.
- 2014 YTD **Connecting Services Ridership** was 2.4% below 2013 and 5.0% below forecast.
- 2014 YTD **Rail Revenue** was 4.3% above 2013 and 0.6% above forecast.

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

- October's Total Rail Ridership was 3.7% above 2013 and 1.0% above forecast.

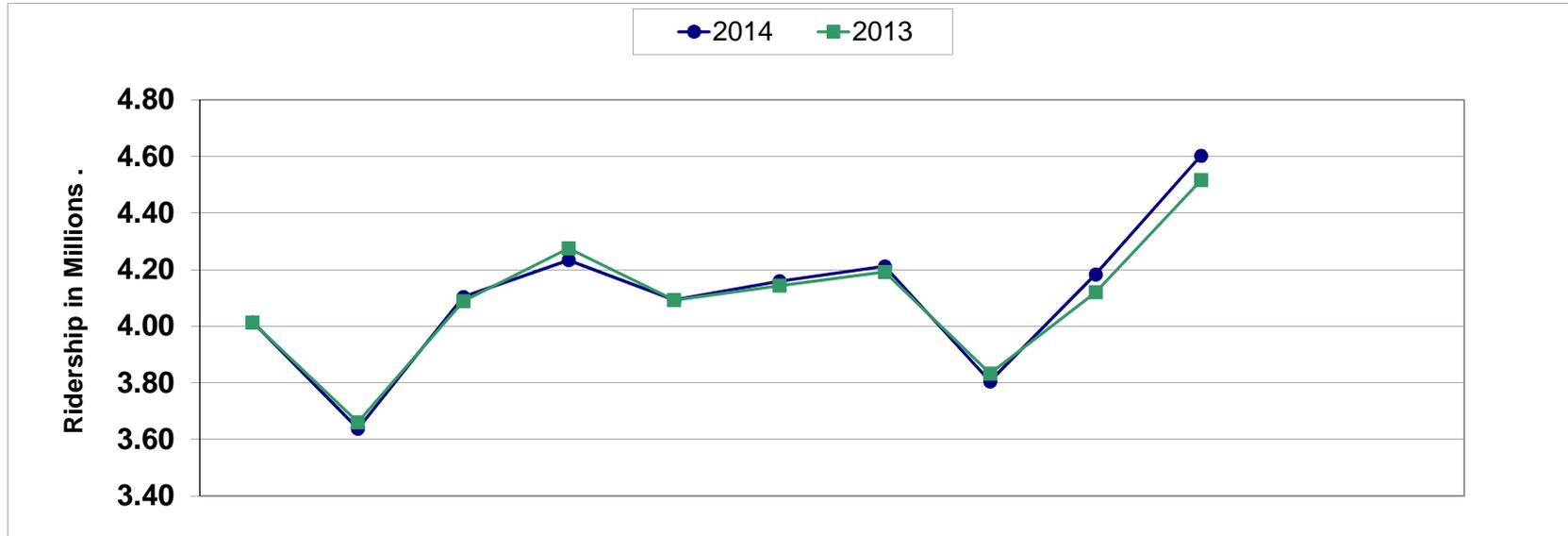


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
<b>2014</b>	6.53	5.96	6.82	7.16	7.17	7.36	7.52	7.08	7.22	7.65			70.47
<b>2013</b>	6.68	6.00	6.96	7.11	7.04	7.26	7.30	6.96	6.97	7.38			69.65
<b>PCT CHG.</b>	-2.3%	-0.5%	-2.0%	0.7%	1.9%	1.4%	3.0%	1.7%	3.5%	3.7%			1.2%

1) Includes East and West of Hudson.

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

- October's Rail Commutation Ridership was 1.9% above 2013 and 1.1% above forecast.

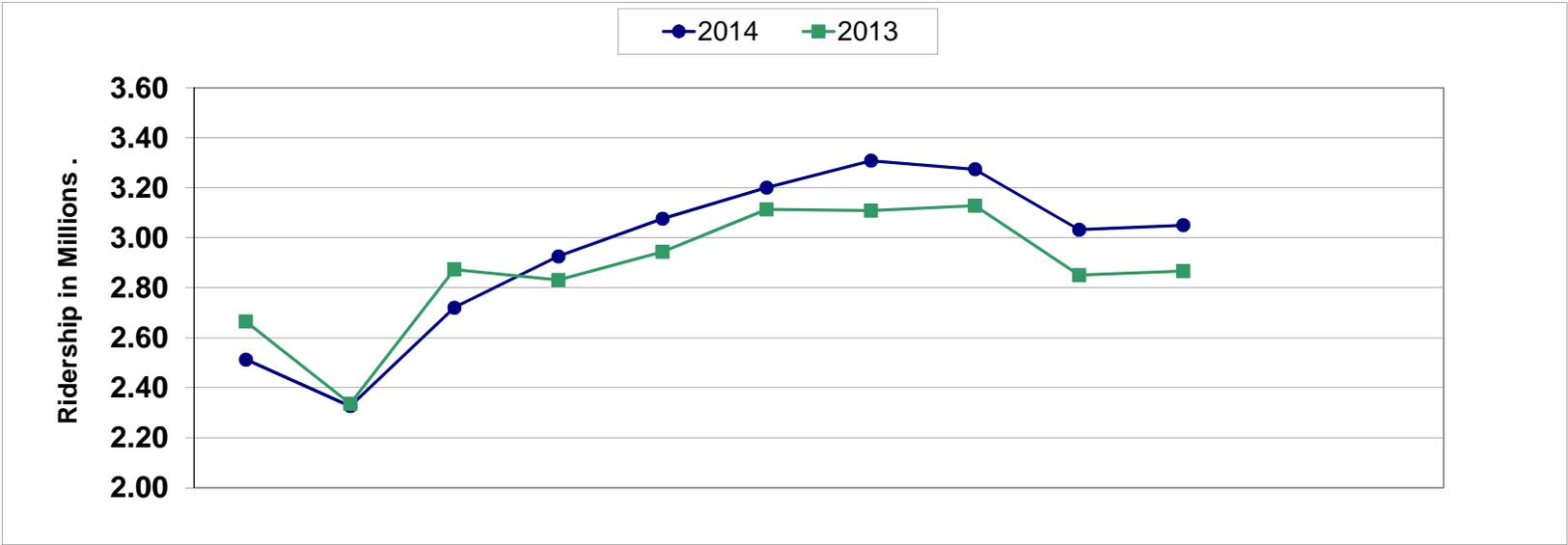


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
<b>2014</b>	4.01	3.64	4.10	4.23	4.09	4.16	4.21	3.80	4.18	4.60			41.04
<b>2013</b>	4.01	3.66	4.09	4.27	4.09	4.14	4.19	3.83	4.12	4.52			40.93
<b>PCT CHG.</b>	0.0%	-0.6%	0.4%	-1.0%	0.0%	0.4%	0.5%	-0.7%	1.5%	1.9%			0.3%

1) Includes East and West of Hudson.

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

• October's Rail Non-Commutation Ridership was 6.4% above 2013 and 0.7% above forecast.

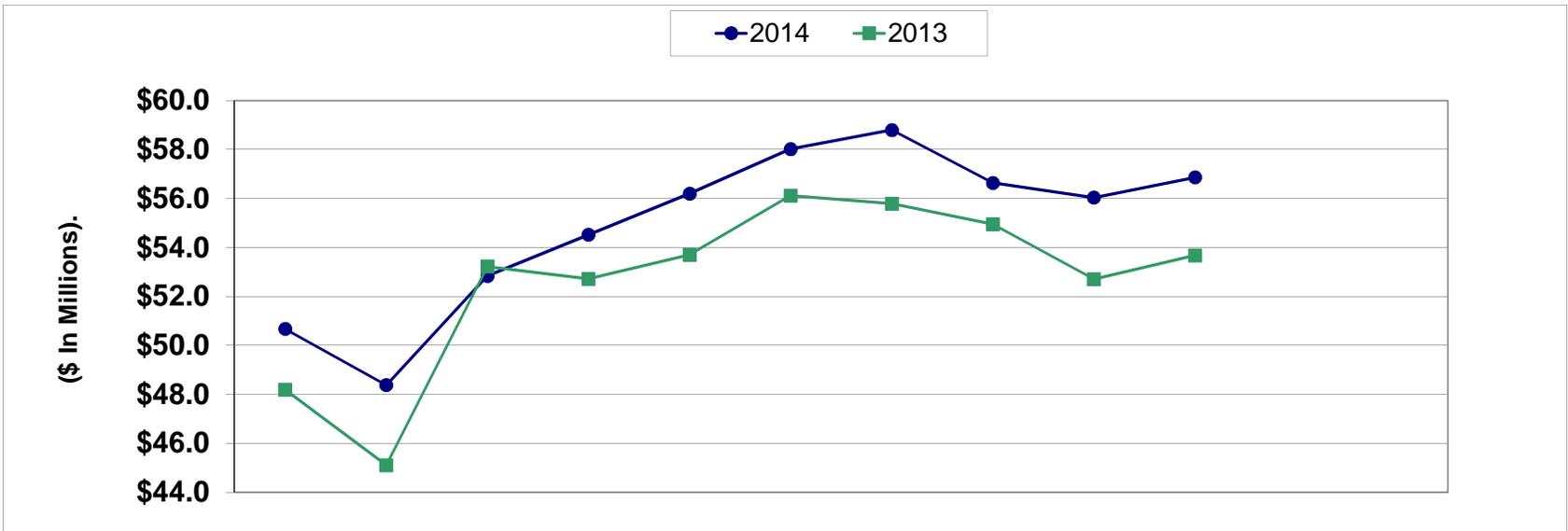


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
<b>2014</b>	2.51	2.33	2.72	2.93	3.08	3.20	3.31	3.27	3.03	3.05			29.43
<b>2013</b>	2.66	2.34	2.87	2.83	2.94	3.11	3.11	3.13	2.85	2.87			28.72
<b>PCT CHG.</b>	-5.7%	-0.4%	-5.3%	3.3%	4.5%	2.8%	6.4%	4.6%	6.4%	6.4%			2.5%

1) Includes East and West of Hudson.

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

- October's Total Rail Revenue was 5.9% above 2013 and 0.5% 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	\$56.9			\$549.0
<b>2013</b>	\$48.2	\$45.1	\$53.2	\$52.7	\$53.7	\$56.1	\$55.8	\$54.9	\$52.7	\$53.7			\$526.2
<b>PCT CHG.</b>	5.1%	7.3%	-0.7%	3.4%	4.7%	3.4%	5.4%	3.1%	6.3%	5.9%			4.3%

1) Includes East and West of Hudson.

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

TICKET TYPE/SERVICE	OCTOBER 2014	OCTOBER 2013 (1)	CHANGE VS. 2013	
			AMOUNT	PERCENT
<b>RAIL COMMUTATION RIDERSHIP</b>				
East of Hudson	4,511,241	4,429,874	81,367	1.8%
West of Hudson	91,381	85,843	5,538	6.5%
<b>Total Rail Commutation Ridership</b>	<b>4,602,622</b>	<b>4,515,717</b>	<b>86,905</b>	<b>1.9%</b>
<b>RAIL NON-COMMUTATION RIDERSHIP</b>				
East of Hudson	2,988,394	2,811,948	176,446	6.3%
West of Hudson	61,985	54,617	7,368	13.5%
<b>Total Rail Non-Commutation Ridership</b>	<b>3,050,379</b>	<b>2,866,565</b>	<b>183,814</b>	<b>6.4%</b>
<b>TOTAL RAIL RIDERSHIP</b>				
East of Hudson	7,499,635	7,241,822	257,813	3.6%
West of Hudson	153,366	140,460	12,906	9.2%
<b>TOTAL RAIL RIDERSHIP</b>	<b>7,653,001</b>	<b>7,382,282</b>	<b>270,719</b>	<b>3.7%</b>
<b>CONNECTING SERVICES RIDERSHIP (2)</b>	<b>52,085</b>	<b>52,844</b>	<b>(759)</b>	<b>-1.4%</b>
<b>TOTAL MNR SYSTEM RIDERSHIP</b>	<b>7,705,086</b>	<b>7,435,126</b>	<b>269,960</b>	<b>3.6%</b>

Notes:

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

2) Includes Hudson Rail Link, Haverstraw-Ossining Ferry and Newburgh-Beacon Ferry.

## MTA METRO-NORTH RAILROAD RIDERSHIP SUMMARY 2014 YEAR-TO-DATE

TICKET TYPE/SERVICE	2014 YTD	2013 YTD (1)	CHANGE VS. 2013	
			AMOUNT	PERCENT
<b>RAIL COMMUTATION RIDERSHIP</b>				
East of Hudson	40,226,383	40,165,202	61,181	0.2%
West of Hudson	815,211	764,995	50,216	6.6%
<b>Total Rail Commutation Ridership</b>	<b>41,041,594</b>	<b>40,930,197</b>	<b>111,397</b>	<b>0.3%</b>
<b>RAIL NON-COMMUTATION RIDERSHIP</b>				
East of Hudson	28,837,249	28,165,424	671,825	2.4%
West of Hudson	592,400	552,805	39,595	7.2%
<b>Total Rail Non-Commutation Ridership</b>	<b>29,429,649</b>	<b>28,718,229</b>	<b>711,420</b>	<b>2.5%</b>
<b>TOTAL RAIL RIDERSHIP</b>				
East of Hudson	69,063,632	68,330,626	733,006	1.1%
West of Hudson	1,407,611	1,317,800	89,811	6.8%
<b>TOTAL RAIL RIDERSHIP</b>	<b>70,471,243</b>	<b>69,648,426</b>	<b>822,817</b>	<b>1.2%</b>
<b>CONNECTING SERVICES RIDERSHIP (2)</b>	<b>450,587</b>	<b>461,819</b>	<b>(11,232)</b>	<b>-2.4%</b>
<b>TOTAL MNR SYSTEM RIDERSHIP</b>	<b>70,921,830</b>	<b>70,110,245</b>	<b>811,585</b>	<b>1.2%</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  
OCTOBER 2014**

LINE	OCTOBER 2014 ACTUAL	OCTOBER 2014 FORECAST	VARIANCE VS. FORECAST		OCTOBER 2013 RESTATE <sup>(1)</sup>	CHANGE FROM 2013	
			AMOUNT	PERCENT		AMOUNT	PERCENT
<b>EAST OF HUDSON</b>							
Harlem Line	2,465,785	2,449,325	16,460	0.7%	2,436,355	29,430	1.2%
Hudson Line	1,465,645	1,445,012	20,633	1.4%	1,447,870	17,775	1.2%
New Haven Line	3,568,205	3,537,143	31,062	0.9%	3,357,597	210,608	6.3%
<b>Total East of Hudson</b>	<b>7,499,635</b>	<b>7,431,480</b>	<b>68,155</b>	<b>0.9%</b>	<b>7,241,822</b>	<b>257,813</b>	<b>3.6%</b>
<b>WEST OF HUDSON</b>							
Port Jervis Line	93,068	89,881	3,187	3.5%	86,989	6,079	7.0%
Pascack Valley Line	60,298	58,812	1,486	2.5%	53,471	6,827	12.8%
<b>Total West of Hudson</b>	<b>153,366</b>	<b>148,693</b>	<b>4,673</b>	<b>3.1%</b>	<b>140,460</b>	<b>12,906</b>	<b>9.2%</b>
<b>TOTAL RAIL RIDERSHIP</b>	<b>7,653,001</b>	<b>7,580,173</b>	<b>72,828</b>	<b>1.0%</b>	<b>7,382,282</b>	<b>270,719</b>	<b>3.7%</b>
<b>CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS</b>							
Hudson Rail Link	32,830	34,995	(2,165)	-6.2%	33,877	(1,047)	-3.1%
Haverstraw-Ossining Ferry	11,702	11,861	(159)	-1.3%	11,674	28	0.2%
Newburgh-Beacon Ferry	7,553	7,293	260	3.6%	7,293	260	3.6%
<b>Total Connecting Services</b>	<b>52,085</b>	<b>54,149</b>	<b>(2,064)</b>	<b>-3.8%</b>	<b>52,844</b>	<b>(759)</b>	<b>-1.4%</b>
<b>TOTAL MNR SYSTEM</b>	<b>7,705,086</b>	<b>7,634,322</b>	<b>70,764</b>	<b>0.9%</b>	<b>7,435,126</b>	<b>269,960</b>	<b>3.6%</b>

Notes:

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

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

TICKET TYPE/SERVICE	2014 YTD ACTUAL	2014 YTD FORECAST	VARIANCE VS. FORECAST		2013 YTD RESTATE <sup>(1)</sup>	CHANGE FROM 2013	
			AMOUNT	PERCENT		AMOUNT	PERCENT
<b>EAST OF HUDSON</b>							
Harlem Line	22,590,529	22,524,207	66,322	0.3%	22,490,443	100,086	0.4%
Hudson Line	13,545,240	13,372,451	172,789	1.3%	13,343,220	202,020	1.5%
New Haven Line	32,927,863	32,629,858	298,005	0.9%	32,496,963	430,900	1.3%
<b>Total East of Hudson</b>	<b>69,063,632</b>	<b>68,526,516</b>	<b>537,116</b>	<b>0.8%</b>	<b>68,330,626</b>	<b>733,006</b>	<b>1.1%</b>
<b>WEST OF HUDSON</b>							
Port Jervis Line	852,102	850,706	1,396	0.2%	824,875	27,227	3.3%
Pascack Valley Line	555,509	539,725	15,784	2.9%	492,925	62,584	12.7%
<b>Total West of Hudson</b>	<b>1,407,611</b>	<b>1,390,431</b>	<b>17,180</b>	<b>1.2%</b>	<b>1,317,800</b>	<b>89,811</b>	<b>6.8%</b>
<b>TOTAL RAIL RIDERSHIP</b>	<b>70,471,243</b>	<b>69,916,947</b>	<b>554,296</b>	<b>0.8%</b>	<b>69,648,426</b>	<b>822,817</b>	<b>1.2%</b>
<b>CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS</b>							
Hudson Rail Link	304,922	307,746	(2,824)	-0.9%	296,919	8,003	2.7%
Haverstraw-Ossining Ferry	93,373	109,645	(16,272)	-14.8%	107,918	(14,545)	-13.5%
Newburgh-Beacon Ferry	52,292	56,982	(4,690)	-8.2%	56,982	(4,690)	-8.2%
<b>Total Connecting Services</b>	<b>450,587</b>	<b>474,373</b>	<b>(23,786)</b>	<b>-5.0%</b>	<b>461,819</b>	<b>(11,232)</b>	<b>-2.4%</b>
<b>TOTAL MNR SYSTEM</b>	<b>70,921,830</b>	<b>70,391,320</b>	<b>530,510</b>	<b>0.8%</b>	<b>70,110,245</b>	<b>811,585</b>	<b>1.2%</b>

Notes:

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



**Metro-North Railroad**

**Capital Program Report**  
**December 2014**

**CAPITAL PROGRAM  
HIGHLIGHTS  
December 15, 2014**

***STATIONS/PARKING/FACILITIES***

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

New utility building: rough-in electrical, water piping, and duct work, are nearing completion. Boilers have been installed, and installation of the new Con Edison gas meter and activation of the new gas service are imminent. Testing and commissioning of fire alarm and suppression systems continue. Switchover of utilities for the new utility building is forecasted for the middle of December 2014. Station entrance improvements: new canopy painting and roofing are complete.

**Poughkeepsie Station Improvements**

Design consultant submitted a schematic design of various facility improvements and is under review by MNR stakeholders.

**Fordham Station Improvements**

At the inbound platform: ADA ramp is open to public; canopy steel, platform gutter and roof installations are complete; and permanent conduit installation, demolition and installation of timber rub board are in progress. At the outbound platform: canopy steel installation, concrete pedestal placement, and compacted sub-base and concrete slab installation for platform extension are in progress.

**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 first quarter of 2016; until after the completion of CP109. Phase II stations design (Wakefield, Mount Vernon West, Fleetwood, Bronxville, and Tuckahoe): design has been put on hold at this time and will be resumed in the third quarter of 2016.

***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 continues.

**Power Infrastructure Restoration – Substations – Sandy**

Construction 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 will commence in December 2014.
- *Brewster Substation* – The substation has been integrated with the “Sandy” substations project. Construction 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 for the East Switchgear foundation is complete.

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

Project coordination meetings, submittals, and procurement of long lead items are ongoing. Lead abatement, demolition and removals of existing equipment in Circuit Breaker Houses (CBH) #'s 6 & 7 are complete. Construction of duct banks and installation of conduits are on-going at both CBHs. Demolition and removal of existing equipment in both the Manhattan and Bronx machine rooms are also complete. Jacking operation for main counterweights at all bridge spans is complete.

## ***TRACK AND STRUCTURES***

### **2013 Cyclical Track Program**

Surfacing on the Harlem and Hudson lines for various locations continues, weather permitting. Installation of rail on the New Haven line between Larchmont and Harrison will commence in the second week of December 2014.

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

*NH 20.39 (Mamaroneck Avenue, 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 NYCDOT and is forecasted to commence in the spring of 2015.

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

Rehabilitation of JS 51.00 culvert at Highland Mills commenced following contractor mobilization. A survey was performed for existing conditions topography of the area. Clearing and grading of an access ramp for equipment access is complete. Contractor drilled grout holes and performed pressure grouting of the culvert.

## **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**

Work commenced for the skylights installation, which is the last remaining work for the replacement of the lower roofs of the Maintenance of Way building. The Maintenance of Equipment facility roof is 95% complete.

## **GRAND CENTRAL TERMINAL**

### **Grand Central Terminal Train Shed Rehabilitation**

MNR executed two contracts for Construction Services and the Construction Supervision and Inspection Services. Kickoff meeting is scheduled for early December 2014.

### **GCT Elevators Rehabilitation Phase 4**

Submittal process and site coordination are underway. Mobilization is scheduled to commence mid-January 2015.

### **GCT Utilities**

*Domestic Water System* - Installation and flushing of the domestic water suction tank and pump at 49th Street are complete. Disinfecting commenced last week of November.

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

### **GCT Leaks Remediation**

The street repair, waterproofing and paving work was completed at both Northbound Viaduct and Vanderbilt Ave between 45<sup>th</sup> Street and 43<sup>rd</sup> Street. Overhead concrete repair at the loading dock area is in progress. Contractor removed construction barrier and opened the east and central lanes of Vanderbilt Ave for traffic. Repair work commenced at the northern part of GCT old Taxi stand.

## **ROLLING STOCK**

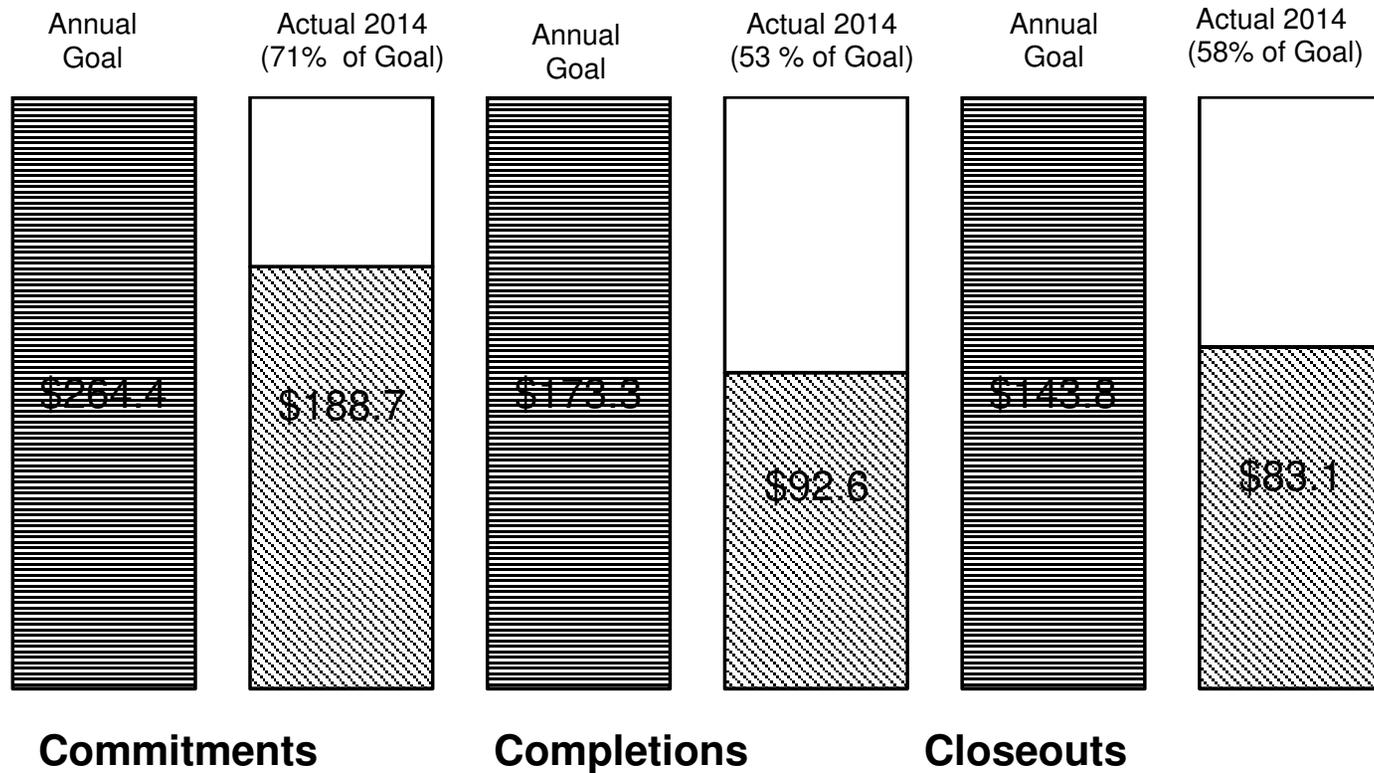
### **M-8 Car Program**

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

# 2014 MNR Capital Program Goals

As of November 30, 2014

In Millions



■ 2014 Goals

▨ Actual as of Novemembr 30, 2014

□ Forecast : November 30, 2014