



Metropolitan Transportation Authority

Meeting of the Metro-North Railroad Committee

December 2015

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
C. Wortendyke
N. Zuckerman

Metro-North Railroad Committee Meeting

**2 Broadway
20th Floor Board Room
New York, New York
Monday, 12/14/2015
8:30 - 9:30 AM ET**

1. PUBLIC COMMENTS PERIOD

2. Approval of Minutes

Approval of Minutes - Page 4

3. 2015 Work Plan

2015 WORK PLAN - Page 11

4. President's Report

Safety Report

Safety Report - Page 14

i. Enhanced Safety Report

Enhanced Safety Report - Page 17

MTA Police Report

MTA Police Report - Page 18

5. Action Item

2016 Final Proposed Budget

Final Proposed Budget - Page 23

6. Information Items

2016 Proposed Committee Work Plan

2016 Proposed Committee Work Plan - Page 35

Track Program Quarterly Update

Track Program Quarterly Update - Page 42

Diversity/EEO Report – 3rd Quarter 2015

Diversity_EEO Report - 3rd Quarter 2015 - Page 53

7. Procurements

Procurements - Page 61

Non-Competitive

Non-Competitive - Page 65

Competitive - NONE

Ratifications

Ratifications - Page 67

8. Monthly Reports

Operations

Operations Report - Page 68

Financial

Finance Report - Page 77

Ridership

Ridership Report - Page 98

Capital Program

Capital Program Report - Page 108

Next Meeting: MNR on January 25, 2016 at 8:30 am

Minutes of the Regular Meeting
Metro-North Committee
Monday, November 16, 2015

Meeting held at
2 Broadway – 20th Floor
New York, New York 10004
8:30 a.m.

The following members were present:

Hon. James L. Sedore, Jr., Chairman of the Metro-North Committee
Hon. Mitchell H. Pally, Chairman of the Long Island Rail Road Committee
Hon. Jonathan A. Ballan
Hon. Robert C. Bickford
Hon. Norman Brown
Hon. Ira R. Greenberg
Hon. Susan G. Metzger
Hon. John J. Molloy
Hon. Carl V. Wortendyke
Hon. Neal Zuckerman

Not Present:

Hon. Fernando Ferrer, Vice Chairman, MTA
Hon. Jeffrey A. Kay
Hon. Charles G. Moerdler
Hon. Vincent Tessitore, Jr.

Also Present:

Joseph J. Giulietti – President, Metro-North Railroad
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
Glen Hayden – Vice President - Engineering
Kevin O'Connor – Chief Transportation Officer
Kim Porcelain – Vice President, Finance and Information Systems
Susan Sarch – Acting General Counsel
Michael Shiffer – Vice President, Operations Planning and Analysis
Joseph Streany – Acting Chief Safety Officer

The members of the Metro-North Committee met jointly with the members of the Long Island Committee. Mr. Pally, as Chairman of the Long Island Committee, called the joint meeting to order. In addition to the Metro-North President and Metro-North staff noted above, President

Nowakowski and various staff of the Long Island Rail Road attended the joint committee meeting. The minutes of the Long Island Committee for the meeting of November 16, 2015, should be consulted for matters addressed at the joint committee meeting relating to Long Island Rail Road.

PUBLIC COMMENT

Three public speakers addressed the Committee.

Randy Glucksman, Chairman Metro-North Railroad Commuter Council and the Permanent Citizen's Advisory Committee for the MTA stated that both he and Rockland County Executive Ed Day are not pleased that a suitable alternative plan has not been implemented to accommodate riders who commuted on west of Hudson train 1601. He commented on the 2015-2019 Capital Plan, stating that little improvements will be made under the plan on the Pascack Valley Line but a number of improvements are scheduled to be made on the Port Jervis Line. He stated that funding is required to construct two passing sidings on the Pascack Valley Line so that there can be hourly service on that Line in both directions. He discussed the condition of Amtrak's North River Tunnel, stating that if one of the tunnels were to be closed for necessary repairs, it would adversely affect some west of Hudson riders.

Orrin Getz spoke about a reduction in late night service affecting Rockland County commuters. He expressed his opinion that the MTA should partner with New Jersey Transit to make Suffern Station an ADA accessible station and improvements should be made to make Spring Valley Station a transportation center. He stated that the Town of Clarkstown is on a task force to relocate Nanuet Station as part of a transit oriented development project and funding is needed for this project. Mr. Getz expressed his opinion that the MTA should become an active partner in Gateway Project to build new rail tunnels under the Hudson River.

Murray Bodin expressed his opinion that there have been positive changes in the Metro-North organization.

Additional details of the comments made by the public speakers are contained in the video recording of the meeting produced by the MTA and maintained in the MTA records.

APPROVAL OF MINUTES AND 2015 WORK PLAN

Upon motion duly made and seconded, the Committee approved the minutes of the October 26, 2015 Metro-North Committee meeting. President Nowakowski stated that due to the September Positive Train Control ("PTC") presentation and the extension of the 2015 deadline, the next PTC update will be provided in 2016. He also stated that the Work Plans for LIRR and Metro-North are depicted differently in the Committee books and that both railroads will work together to correct this issue.

MTA METRO-NORTH RAILROAD PRESIDENT'S REPORT

President Giulietti recognized Croton-Harmon Sheet Metal Worker Charles Mullins who, on the evening of October 27, assisted the crew of the Haverstraw-Ossining ferry in rescuing a

boater whose boat had capsized in the Hudson River. The ferry, responding to a Coast Guard distress call, headed south in the river and sighted a man sitting on a capsized boat with a lifejacket and wetsuit on. As the ferry pulled up as close as possible to the distressed man, Mr. Mullins raced to help First Mate Tom Lennane lower a ladder and pull the man up and on board the ferry. The boater was quickly transported to Ossining for evaluation by EMS personnel and later taken to an area hospital. On behalf of the Committee and the entire railroad, President Giulietti thanked Mr. Mullins for his actions and presented him with a certificate of appreciation for his role in the rescue.

President Giulietti discussed service reliability, noting that in the month of October, Metro-North trains operated system-wide reliably at 94.1% with 155 trains (0.8%) delayed greater than 15 minutes. The a.m. and p.m. peak service continued to operate reliably at 93.1%, off-peak service operated at 93.4% and weekend service operated at 97.1%. Infrastructure constraints contributed to 41% of train delay minutes. In October 2015, system-wide west of Hudson service operated at 95.2%.

President Giulietti reported on the results of the 2015 Customer Satisfaction Survey, noting that there were significant increases in satisfaction among most major categories compared to the 2014 survey results. In 2015, overall satisfaction with Metro-North increased 10 points to 83% satisfied. On-Time Performance improved by 16 points to 74% satisfied, reflective of an improvement in service reliability. Customer satisfaction on the New Haven Line rose 17 points to 76%, but still its counterparts on the Hudson and Harlem Lines, both of which were 89% satisfied. Customer satisfaction during the reverse peak increased 8 points to 83% satisfied. Customer satisfaction, west of Hudson, was down 5 points to 84% satisfied. The 2015 Survey was conducted in June and July as Metro-North continued to rebound from a challenging period which had adversely impacted customer perceptions of performance. At the time of the survey, Metro-North had developed a series of action plans designed to rebuild its infrastructure and provide a safe and reliable service for its customers. As Metro-North continues on that path, it is anticipated that satisfaction will continue to improve.

President Giulietti continued his report with a discussion of the November 16 schedule changes on the New Haven and Hudson Lines, noting that the schedules reflect the completion of two critical infrastructure projects. On the New Haven Line, Waterbury Branch customers will no longer need to change trains at Devon Transfer. Waterbury Branch customers who transferred to trains at Devon will resume making their transfer at Bridgeport. The Devon Transfer accommodated the final phase of a \$5.8 million priority repair project on the Devon Moveable Bridge undertaken by the Connecticut Department of Transportation (CDOT) and Metro-North. Its completion was a prerequisite to the next and final phase of CDOT's overhead catenary wire replacement project. CDOT worked with Metro-North to ensure that the bridge work occurred with the least customer impact possible. This project also helped ensure the future reliability of the Waterbury Branch as track 3 at Devon is critical to providing the main line connection at Bridgeport. President Giulietti thanked Metro-North's forces for its efforts and hard work to get the job done. On the Hudson Line, major switch replacement work at a key location in the Bronx near Yankee Stadium was completed this past weekend. When this work started, a single-track operation was required in a six-mile section from Harlem-125th Street Station through Marble Hill and resulted in some customers having to change trains at Marble Hill and Croton Harmon. Regular weekend train service will now resume and a new Hudson Line schedule is in effect.

President Giulietti noted that weekend busing is taking place on the Port Jervis Line in the month of November in both directions between Port Jervis and Harriman to accommodate infrastructure improvements. Substitute buses are following the train schedule while bridge deck and switch work takes place at Salisbury Mills and Campbell Hall. In addition, weekday off-peak busing for select trains is underway while Metro-North performs track work between Port Jervis and Otisville stations.

President Giulietti noted that Hudson Line service will be reduced in the evening the weekend of November 20 and 21 to ensure that no passenger trains are beneath the work site where workers building the bridge to replace the Tappan Zee Bridge will be installing 700-ton girder assemblies over the tracks at Tarrytown. President Giulietti expressed his appreciation of the bridge team for scheduling its work in a way that will minimize impacts to Metro-North's service and customers.

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

SAFETY REPORT

Mr. Streany gave the safety report on injuries through September 2015, noting that employee FRA reportable injury frequency index and employee lost time and restricted duty injuries have declined significantly. Customer slip, trip and fall injuries have significantly increased, and seat cards will be placed on trains to address this issue. Metro-North will be conducting an emergency preparedness exercise on November 21 in Brewster, New York. Several local and county emergency service agencies will participate in that exercise. Mr. Streany completed his report with an overview of the actions that have been taken and are to be taken as part of the Enhanced Safety Action Plan.

The details of Mr. Streany's report are contained in a 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.

MTA POLICE DEPARTMENT REPORT

Chief Coan reported that year-to-date, system-wide crime is down 15%; there was a 19% decrease in crime during the month of for October; and a 42% year-to-date system-wide decrease in robberies.

Chief Coan reported that the MTA Police Department (MTAPD) is continuing its grade crossing initiatives. Year-to-date 1,680 summonses have been issued, 455 of those for grade crossing infractions; over 5,000 educational pamphlets have been distributed at those grade crossings.

As a result of the recent events in Paris, Chief Coan reported that the MTAPD is monitoring events overseas. MTAPD deployment has increased and the Department is coordinating its security efforts with the New York State Police, the New York City Police Department, the Amtrak Police Department and the National Guard. The MTAPD is also working with the Joint Terrorism Task Force, the New York Police Department Intelligence Units and Homeland Security regarding security communications.

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.

INFORMATION ITEMS:

Joint Item:

The following joint information item was presented to the Committee:

- Bi-Annual Report on M-9 Procurement

President Nowakowski reported that the Joint Bi-Annual Report on M-9 Procurement will be presented at the CPOC meeting to be held this day.

Metro-North Information Items:

Three information items were presented to the Committee:

- Review of Committee Charter
- Metro-North 2015 Customer Satisfaction Survey
- 2015 Holiday Schedule

President Giulietti noted that Metro-North has developed special timetables to address the travel demands of its customers over these holiday periods.

The details of the above items are contained in reports filed with the records of this meeting and in the video recording of the meeting produced by the MTA and maintained in the MTA records, which recording includes Board members comments regarding customer satisfaction.

PROCUREMENTS:

MTA Metro-North Railroad

Two non-competitive Metro-North procurements were presented to the Committee:

- Approval of a five-year, negotiated miscellaneous service agreement with Koni North America, the Original Equipment Manufacturer and sole authorized repair facility, for

the repair and return of horizontal, vertical, and lateral dampers for the Metro-North Genesis Locomotive and M-7 fleets.

- Approval for additional funding in the not to exceed amount of \$1,007,516 to Transportation Technology Center, Inc. for additional technical and track testing assistance throughout Metro-North's territory.

Four competitive procurements were presented to the Committee:

- Approval requested to award a five-year competitively negotiated, miscellaneous service contract to Carrier Corporation to provide preventative maintenance services for two absorption units located in Grand Central Terminal.
- Approval to award a three-year competitively solicited, miscellaneous service contract to Capus Automation Services, Inc. to provide semiannual preventative maintenance, inspection and emergency repairs to various types of vertical lift machines located at Metro-North maintenance and warehouse facilities in New York and Connecticut.
- Approval to award a three-year competitively solicited, miscellaneous service contract to Chem Treat, Inc. to provide chemical and treatment evaluation services on 13 boilers located throughout the Metro-North territory.
- Approval to award a three-year competitively solicited, miscellaneous service contract to AKA Pest Control, Inc., d/b/a Bye-Bye Birdie to provide inspection and maintenance services for bird control netting repair services at various locations throughout the Metro-North territory.

Upon motion duly made and seconded, 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.

METRO-NORTH REPORTS ON OPERATIONS, FINANCIAL, RIDERSHIP AND THE CAPITAL PROGRAM:

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

There was discussion among Chairman Pally, Board Member Ballan, Board Member Brown, Metro-North Vice President-Finance and Information Systems Kim Porcelain and LIRR Vice President-Management & Finance and Chief Financial Officer Mark Young regarding fare box operating percentages and the differences between LIRR and Metro-North.

ADJOURNMENT

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

Respectfully submitted,

A handwritten signature in cursive script, reading "Linda Montanino", written over a horizontal line.

Linda Montanino
Assistant Secretary

Nov 2015 Committee Minutes
Legal/Corporate/Committee Minutes Current



2015 Metro-North Railroad Committee Work Plan

I. RECURRING AGENDA ITEMS

Responsibility

Approval of Minutes
2015 Committee Work Plan
President's Report
 Safety Report
 MTA Police Report
Information Items (if any)
Action Items (if any)
Procurements
Agency Reports
 Operations
 Finance
 Ridership
 Capital Program

Committee Chairs & Members
Committee Chairs & Members
President/Senior Staff

Senior Staff

II. SPECIFIC AGENDA ITEMS

Responsibility

December 2015
2016 Final Proposed Budget
2016 Proposed Committee Work Plan
Track Program Quarterly Update
Diversity/EEO Report – 3rd Quarter 2015

Finance
Committee Chairs & Members
Engineering
Diversity and EEO

METRO-NORTH RAIL ROAD COMMITTEE WORK PLAN

DETAILED SUMMARY

I. RECURRING AGENDA ITEMS

Approval of Minutes

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

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

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.

Diversity & EEO Report– 3rd 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.

Track Program Quarterly Update

A quarterly report will be provided that highlights the progress made on track maintenance work to bring the infrastructure to a state of good repair.



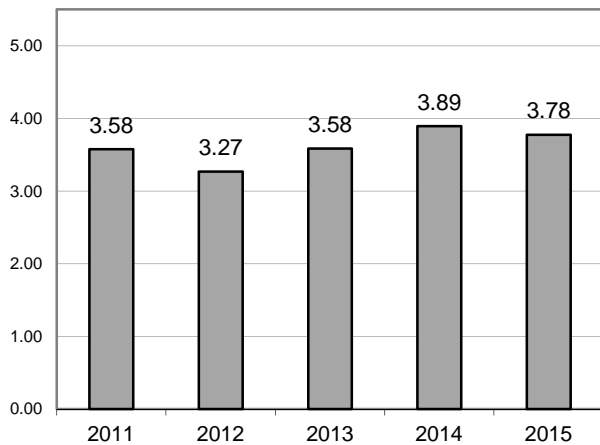
Metro-North Railroad

Safety Report

December 2015

MTA Metro-North Railroad

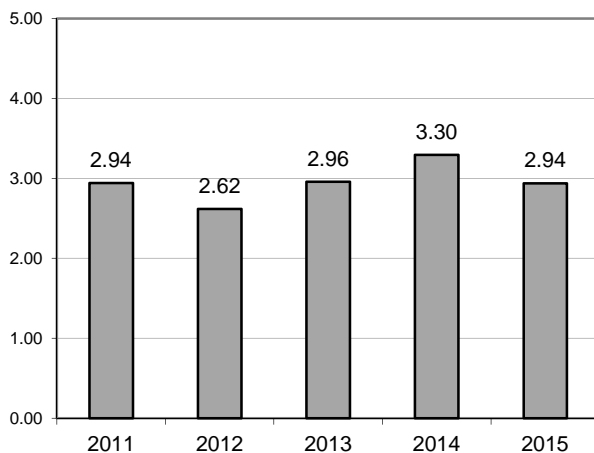
Summary of Employee Injuries thru October



Total Employee* Injuries

Year	Total	Total FI**
2011	186	3.58
2012	171	3.27
2013	195	3.58
2014	215	3.89
2015	221	3.78

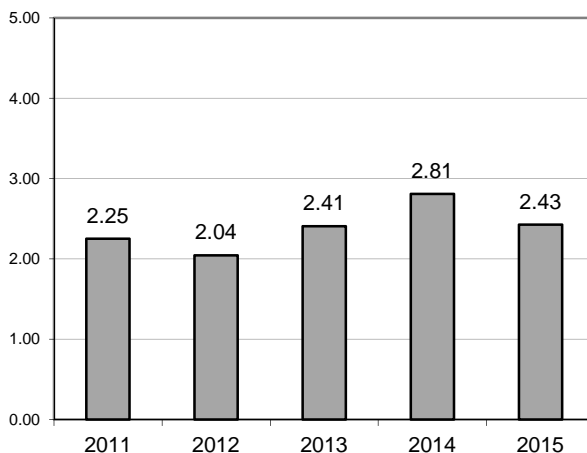
% change from last year: -3.0%
2015 Total FI Goal 3.00



Employee* FRA Reportable Injuries

Year	Total	FRA FI**
2011	153	2.94
2012	137	2.62
2013	161	2.96
2014	182	3.30
2015	172	2.94

% change from last year: -10.8%
2015 FRA FI Goal 2.50



Employee* Lost Time and Restricted Duty Injuries

Year	LT	RD	LT FI**	RD FI**	LT&RD FI**
2011	91	26	1.75	0.50	2.25
2012	101	6	1.93	0.11	2.04
2013	125	6	2.30	0.11	2.41
2014	154	1	2.79	0.02	2.81
2015	140	2	2.39	0.03	2.43

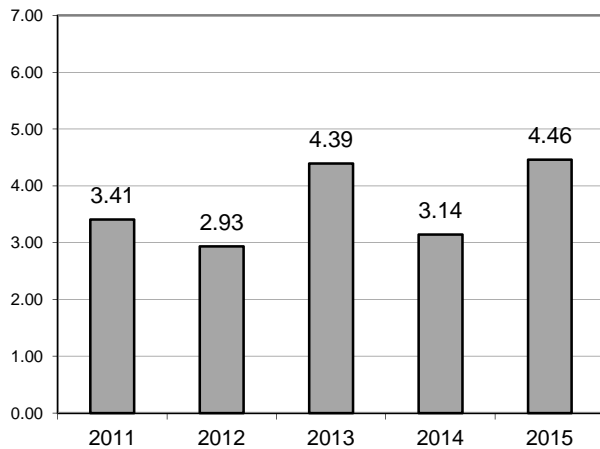
% change from last year: -13.6%
2015 LT&RD FI Goal 2.00

* - On-Duty Employee Injuries

** - Injuries per 200,000 hours worked

MTA Metro-North Railroad

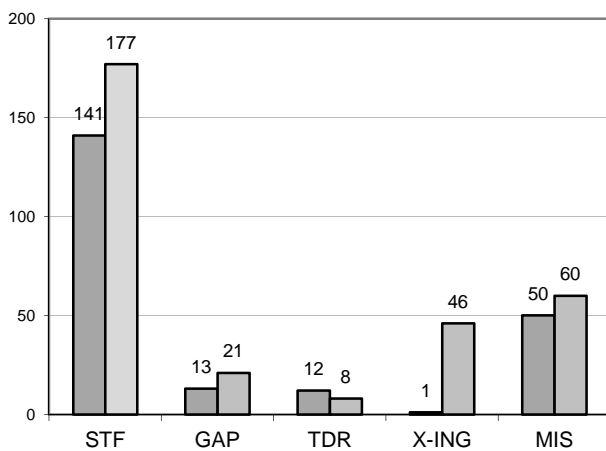
Summary of Customer/Contractor Injuries thru October



Total Customer* Injuries

Year	Total	Total FI**
2011	226	3.41
2012	200	2.93
2013	300	4.39
2014	217	3.14
2015	312	4.46

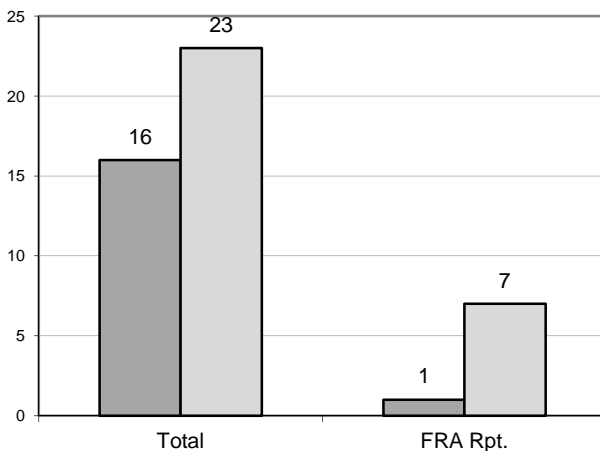
% change from last year: 42.0%
2015 Total FI Goal 2.80



Top 5 Customer* Injuries by Type

Year	Slip/Trip/Fall	Gap	Train Doors	Grade X-ing	Misc.
2014	141	13	12	1	50
2015	177	21	8	46	60

*All 2015 Grade X-ing Injuries are from the 2/3/15 Valhalla Incident



Contractor Injuries

Year	Total	FRA Rpt.
2014	16	1
2015	23	7
% Chg	43.8%	600.0%

* - Customer Injuries are the sum of all Passenger and Non-Trespasser On or Off Railroad Property Injuries

** - Injuries per 1,000,000 rides




Metro-North Railroad

Memorandum

Date: December, 2015

To: Metro-North Committee

From: Joe Giulietti 

Re: **Enhanced Safety Action Update**

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

- We continue to work with Operation Lifesaver to improve safety on and around highway-rail grade crossings and tracks through public awareness and education.
- Our 4th Quarter Safety Stand Down took place on December 2, 2015 and focused on seasonal precautions, snow removal, personal protective equipment, safety help line, driving safely, yard clean up, grade-crossing safety, storage housekeeping, stress reducing tips and security concerns such as, employee identification, access control and trespassers.

ACTION ITEM	STATUS
NTSB/FRA/MTA Recommendations	All recommendations have been accepted and we are coordinating with the other MTA agencies to ensure best practices are shared. Many have been fully implemented; the remaining are being implemented and we are progressing them to completion.
Speed Compliance Program	During the month of November, 141 radar observations and 50 event recorder reviews were performed. There was one exception with a verbal reinstruction. Through November, there have been 1,542 radar observations and 902 event recorders reviewed in 2015. Final production testing is being performed on a new automated web-based system that will further expedite event recorder reviews for speed compliance.
Obstructive Sleep Apnea Pilot	The screening of all Locomotive Engineers has been completed. 25% were referred to our Sleep Disorder Consultant for evaluation. 6% are still currently being evaluated with completion this year. The remainder of those referred have completed pilot.
Confidential Close Call Reporting System (C3RS)	The Transportation Peer Review Team, initiated in April, has received a total of 414 close call reports and conducted incident analysis of 156 cases. Ten additional crafts within Engineering and Mechanical have provided concurrence with a drafted C3RS agreement which is currently under FRA review before it is expected to be finalized in the first quarter of 2016.
Rolling Stock Cameras Forward, Cab, Passenger	Contract awarded in March to provide audio and image recorders that meet or exceed the NTSB recommendations. Final design development for all cars is nearing completion. The first prototype installation on an M7 pair was completed October 2nd. The M8 prototype installation began October 26 th and is expected to be finished by December.



Police Report

December 2015



METROPOLITAN TRANSPORTATION AUTHORITY
Police Department
Metro North Railroad

November 2015 vs. 2014

	2015	2014	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	1	2	-1	-50%
Felony Assault	0	3	-3	-100%
Burglary	0	2	-2	-100%
Grand Larceny	9	7	2	29%
Grand Larceny Auto	0	0	0	0%
Total Major Felonies	10	14	-4	-29%

Year to Date 2015 vs. 2014

	2015	2014	Diff	% Change
Murder	0	0	0	0%
Rape	1	0	1	100%
Robbery	10	18	-8	-44%
Felony Assault	7	12	-5	-42%
Burglary	13	16	-3	-19%
Grand Larceny	99	94	5	5%
Grand Larceny Auto	5	1	4	400%
Total Major Felonies	135	141	-6	-4%



METROPOLITAN TRANSPORTATION AUTHORITY

Police Department

System Wide

November 2015 vs. 2014

	2015	2014	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	1	3	-2	-67%
Felony Assault	1	5	-4	-80%
Burglary	1	2	-1	-50%
Grand Larceny	19	21	-2	-10%
Grand Larceny Auto	0	0	0	0%
Total Major Felonies	22	31	-9	-29%

Year to Date 2015 vs. 2014

	2015	2014	Diff	% Change
Murder	0	0	0	0%
Rape	2	0	2	100%
Robbery	33	58	-25	-43%
Felony Assault	26	34	-8	-24%
Burglary	19	20	-1	-5%
Grand Larceny	194	223	-29	-13%
Grand Larceny Auto	8	2	6	300%
Total Major Felonies	282	337	-55	-16%

INDEX CRIME REPORT

Per Day Average

November 2015

	Systemwide	LIRR	MNRR	SIRT
Murder	0	0	0	0
Rape	0	0	0	0
Robbery	1	0	1	0
Fel. Assault	1	1	0	0
Burglary	1	1	0	0
Grand Larceny	19	10	9	0
GLA	0	0	0	0
Total	22	12	10	0
Crimes Per Day	0.73	0.40	0.33	0.00



MTA Police Department


Arrest Summary: Department Totals

1/1/2015 to 11/30/2015

Arrest Classification	Total Arrests	
	2015	2014
Murder	1	0
Rape	2	0
Robbery	28	52
Felony Assault	25	30
Burglary	9	10
Grand Larceny	49	66
Grand Larceny Auto	0	3
Aggravated Harassment	1	2
Aggravated Unlicensed Operator	10	34
Arson	1	0
Assault-Misdemeanor	43	53
Breach of Peace	16	10
Child Endangerment	3	1
Criminal Contempt	10	4
Criminal Impersonation	5	2
Criminal Mischief	37	28
Criminal Possession Stolen Property	15	15
Criminal Tampering	10	0
Criminal Trespass	32	22
Disorderly Conduct	4	2
Drug Offenses	62	48
DUI Offenses	8	12
Falsely Reporting an Incident	5	4
Forgery	50	87
Fraud	7	6
Graffiti	10	10
Harassment	4	6
Identity Theft	3	0
Impairment Integrity Gov Licencing Exam	13	0
Issue a Bad Check	1	0
Make Terrorist Threat	3	1
Menacing	13	8
Obstruct Government	8	4
Panhandling	0	1
Petit Larceny	102	97
Probation/Parole Violation	1	0
Promoting Prostitution	1	0
Public Lewdness	27	38
Reckless Endangerment	9	7
Resisting Arrest	26	48
Sex Offenses	7	11
Stalking	1	2
Theft of Services	165	132
Unlawful Surveillance	2	2
VTL Offenses	2	2
Warrant Arrest	53	52
Weapons Offenses	6	7
Unauthorized Use Vehicle	2	0
Total Arrests	892	919



Staff Summary

Subject MNR 2016 Budget and 2016-2019 Financial Plan Adoption
Department Budget
Department Head Name Joseph Pavone
Department Head Signature 
Project Manager Name

Date December 4, 2015
Vendor Name
Contract Number
Contract Manager Name
Table of Contents Ref#

Board Action					
Order	To	Date	Approval	Info	Other
1	MNR&LIRR Comm. Mtg.	12/14			
2	MTA Fin. Comm.	12/14			
3	MTA Board Mtg.	12/16			

Internal Approvals			
Order	Approval	Order	Approval
3	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) 2015 November Forecast, 2016 Final Proposed Budget, and the Four-Year Financial Plan 2016-2019.

Discussion:

The November 2016-2019 Financial Plan reflects the financial resources required to continue Metro-North's focus on strategic investments that encompass the following four key goals:

- *Promoting a Culture of Safety* in which safety is embedded in all decisions, actions, and initiatives.
- *Adopting Concrete Safety Enhancements* that guarantee safe operations and safe work practices.
- *Restoring Reliable Service* that is safe and of high quality.
- *Improving Communications* of the railroad's goals, operations and policies so customers can make informed choices regarding the use of our service and employees can provide the best customer service possible.

To date, outreach programs have been implemented to reinforce safety as the company's first priority. In addition, safety and training resources have been added and reorganized; employee testing, evaluation, oversight and training practices have been revamped; and the company has instituted a confidential close call reporting system so employees can report safety issues without fear of reprisal.

The comprehensive assessment of Metro-North's infrastructure has also identified immediate and long-term needs resulting in:

- Redeployment of existing maintenance forces.
- Creation of specialized track gangs to focus on drainage improvements and track interlocking tie replacements.
- Identification and acquisition of specialized track monitoring equipment.
- Installation of a new interlocking near Fordham station which will improve operating capabilities in this critical section of the Bronx.
- Stone ballast cleaning or replacement throughout the territory.
- Installation of eight miles of continuous welded rail and fiberglass brackets and channels to support new aluminum third rail in key locations.
- Replacement of six grade crossings in Connecticut and six grade crossings in New York.

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

The November 2016-2019 Financial Plan also reflects the financial impact of the labor settlement with all MNR unions as well as several new and ongoing programs. MNR projections do not include the estimated impacts from projected fare increases in New York State, unidentified MTA efficiencies, and MTA policy actions. These impacts will be presented as part of MTA consolidated materials.

Major Programmatic Initiatives included in the 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.

- **Power Control (SCADA) and Centralized Traffic Control System Upgrades** – These critical operating systems monitor and control the traction power and signal infrastructure that support train operations, Grand Central Terminal (GCT) and outlying shops & yards. These systems are beyond their useful life and require upgrades to improve functionality, compatibility with current software operating systems, and integration with other railroad infrastructure.
- **New Haven Line (NHL) Infrastructure Improvements** - have been identified for the maintenance or repair of grade crossings, bridges, interlockings and the roadbed. These programs are jointly funded by the MTA and Connecticut Department of Transportation (CDOT) and specifically include:
 - **Branch Line Grade Crossing** – The track infrastructure and roadway surface at the 60 grade crossings on the New Haven Line's Danbury, Waterbury and New Canaan branch lines require additional maintenance forces for replacement work due to wear and tear from rail and highway traffic as well as weather conditions.
 - **Bridge & Culvert Maintenance** – To enhance maintenance efforts on NHL railroad bridges and culverts, additional track maintenance forces will be hired.
 - **East Norwalk to Southport Maintenance (CP243 - CP 248)** - A new track interlocking control point (CP 243) will be constructed east of the Walk Movable Bridge on the New Haven Line. To ensure optimal operation and maintenance of the interlocking during the approved replacement of the Walk Movable Bridge and to meet FRA inspection and maintenance regulations, an additional temporary gang will be required for two-shift coverage, seven days per week to ensure operating flexibility and support.
 - **Track Bed Undercutting** - To ensure compliance with Metro-North clearance standards and ensure a safe route for rail traffic, track bed undercutting (lowering of the track bed) is required to increase clearances at overhead structures and beneath New Haven Line catenary.
- **Third Rail Construction Gangs** – Recently, the installation of fiberglass brackets and channels to support the third rail structure has been found to completely stop third rail arcing events and will be implemented in other areas of the power system.
- **Grand Central Terminal Platform Rehabilitation Gang** – As part of recent condition assessments of Metro-North's infrastructure, GCT platform tracks require a more cyclical maintenance program.
- **Install Cameras and Audio Equipment on West of Hudson Rolling Stock** - Similar to the program for the East of Hudson rolling stock fleet, this initiative will equip Metro-North's West of Hudson rolling stock with on-board cameras to aid post-accident/incident investigations and form training programs that will promote safe operating practices.

Improve Service Reliability

- **M8 Cars** - In partnership with CDOT, Metro-North has conditionally accepted all 380 multiple unit and 25 single unit M8 cars.
- **M7 Cars** - This car fleet is in the midst of its 10-year life cycle maintenance program that began in 2014.
- **Locomotive life cycle maintenance programs** include the continuation of the Genesis locomotive program, the start of the BL20 Reliability Centered Maintenance (RCM) program, and overhauls that extend the useful life of the GP35 work locomotive fleet.

Customer Service initiatives that improve customer communication and convenience

- Continue installation of new customer information monitors and platform signage at New York State outlying stations.
- A joint effort with the LIRR to develop a Mobile Ticketing Application to allow customers to purchase tickets with smartphones and other mobile devices.
- Continuation of the cyclical station inspection, maintenance and enhancement program.
- Improvements to the Integrated Voice Response Customer Call-in System.
- Develop a new long-term strategy for fare collections in conjunction with the LIRR.

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Other Emerging New Needs

- **Enterprise Asset Management (EAM)** - In an effort to manage physical assets more efficiently, Metro-North is taking part in an MTA-wide project to develop and implement an Enterprise Asset Management information system. The objective of this system is to enable better management of assets by accurately determining total cost of ownership, improving management of the workforce, and optimizing the use of capital funds to replace assets in a priority manner that ensures safety, reliability and quality of service.
- **Reorganization of both the Power Department and Operations Systems Control Group** - expand and reorganize the workforce of each Unit to ensure an improved safety culture, proper succession planning, and increased managerial oversight of functions that maintain software and hardware of centralized power and signal systems.

Utilization

The 2015 November Forecast projects nearly 86 million East and West of Hudson riders, an increase of 1.5% over 2014. 2016-2019 ridership is projected to grow approximately 1.5% 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 2016 through 2018.

2015 Budget Reduction Initiatives of \$3.6 million have been incorporated into Metro-North's 2015 November Forecast-Baseline and continue in the 2016 Final Proposed Budget and 2016-2019 Financial Plan. These initiatives include: one-time vacancy savings that are expected to exceed budgeted levels, enforcing tighter management controls and increased oversight of non-payroll budgets with a particular emphasis on contractual services, and utilizing internal and external websites for communication and information sharing, thereby reducing dependency on corporate printing costs.

2015 November Forecast-Baseline

The 2015 non-reimbursable forecast reflects revenues totaling \$737.5 million, including \$675.7 million of Farebox Revenues and \$61.8 million in Other Operating Revenue. Total Operating Expense projections of \$1,507.4 million consist of labor costs of \$836.5 million, non-labor costs of \$370.9 million and non-cash accruals of \$300.1 million for Depreciation (\$226.6 million), Other Post-Employment Benefits (\$68.3 million) and Environmental Remediation (\$5.1 million). After including additional cash requirements adjustment of \$117.7 million, the projected net cash deficit is \$587.5 million of which \$438.6 million represents the MTA share and \$148.9 million the ConnDOT share. Projected reimbursable expenses of \$232.4 million are fully offset by capital reimbursements. Total end-of-year authorized positions are projected at 6,698 and include 6,116 non-reimbursable positions and 582 reimbursable positions.

2016 Final Proposed Budget-Baseline

The 2016 final proposed non-reimbursable budget reflects revenues totaling \$753.6 million. Farebox Revenue of \$693.3 million reflecting slightly higher non-commutation ridership and a 1% State of Connecticut annual fare increase effective January 1st, 2016 through 2018. Other Operating Revenue of \$60.3 million reflects GCT net retail revenues, advertising, commissary operations, outlying station & parking revenue as well as interagency revenues for commuter rail passes. Total Operating Expense projections of \$1,558.3 million consist of labor costs of \$864.6 million, non-labor costs of \$386.3 million and non-cash accruals of \$307.4 million, which are comprised of Depreciation (\$234.1 million), Other Post-Employment Benefits (\$68.3 million) and Environmental Remediation (\$5.0 million). After additional cash requirements adjustment of \$63.8 million, the projected net cash deficit is \$561.1 million of which \$440.7 million represents the MTA share and \$120.4 million the ConnDOT share. Projected reimbursable expenses of \$255.9 million are fully offset by capital reimbursements. Total end-of-year authorized positions are projected at 6,829 and include 6,243 non-reimbursable positions and 586 reimbursable positions.

Impact on Funding: The 2015 November Forecast, the 2016 Final Proposed Budget and the Four-Year Financial Plan for 2016-2019, which are presented in the attached schedules, are consistent with the proposed MTA Financial Plan

Recommendation: It is recommended that the MTA Board adopt the 2015 November Forecast, 2016 Final Proposed Budget, and the Four-Year Financial Plan for 2016-2019 for MTA Metro-North Railroad.

MTA Metro-North Railroad
November Financial Plan 2016-2019
Accrual Statement of Operations by Category
(\$ in millions)

NON-REIMBURSABLE						
	2014 Actual	2015 November Forecast	2016 Final Proposed Budget	2017	2018	2019
Operating Revenue						
Farebox Revenue	\$649.850	\$675.692	\$693.277	\$707.320	\$718.706	\$726.688
Toll Revenue	0.000	0.000	0.000	0.000	0.000	0.000
Other Operating Revenue	62.536	61.846	60.341	62.226	63.683	64.212
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
Total Revenue	\$712.386	\$737.539	\$753.618	\$769.546	\$782.389	\$790.901
Operating Expenses						
Labor:						
Payroll	\$512.139	\$468.600	\$480.363	\$496.923	\$513.145	\$523.548
Overtime	98.089	96.254	98.451	100.427	102.436	104.484
Health and Welfare	92.410	94.754	107.051	108.092	113.995	118.829
OPEB Current Payment	24.103	26.965	27.282	27.779	28.986	30.240
Pensions	91.385	91.874	91.904	93.020	94.821	98.011
Other Fringe Benefits	113.054	111.874	117.375	120.765	124.120	126.352
Reimbursable Overhead	(48.421)	(53.856)	(57.806)	(59.131)	(59.868)	(60.125)
Total Labor	\$882.759	\$836.465	\$864.620	\$887.876	\$917.637	\$941.338
Non-Labor:						
Electric Power	\$81.415	\$86.768	\$82.288	\$85.920	\$90.944	\$96.319
Fuel	27.642	20.432	21.229	22.553	25.275	28.043
Insurance	17.303	19.064	20.015	21.329	22.914	24.714
Claims	6.129	1.273	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	103.253	107.580	127.374	125.503	127.819	127.548
Professional Service Contracts	24.214	35.291	39.754	38.128	39.698	39.977
Materials & Supplies	70.434	74.991	78.869	83.662	86.141	88.303
Other Business Expenses	24.345	25.491	15.754	17.332	16.727	17.147
Total Non-Labor	\$354.734	\$370.890	\$386.283	\$395.427	\$410.519	\$423.052
Other Expenses Adjustments:						
Other	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Total Other Expense Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Total Expenses before Depreciation and GASB Adjs.	\$1,237.493	\$1,207.354	\$1,250.903	\$1,283.303	\$1,328.155	\$1,364.390
Depreciation	\$232.100	\$226.647	\$234.092	\$234.092	\$234.092	\$234.092
OPEB Obligation	58.372	68.316	68.316	68.316	68.316	68.316
Environmental Remediation	1.632	5.109	5.000	5.000	5.000	5.000
Total Expenses	\$1,529.598	\$1,507.426	\$1,558.311	\$1,590.711	\$1,635.564	\$1,671.798
Net Surplus/(Deficit)	(\$817.212)	(\$769.887)	(\$804.693)	(\$821.165)	(\$853.174)	(\$880.898)
Cash Conversion Adjustments:						
Depreciation	\$232.100	\$226.647	\$234.092	\$234.092	\$234.092	\$234.092
Operating/Capital	(22.823)	(32.240)	(48.695)	(45.037)	(28.496)	(13.963)
Other Cash Adjustments	82.291	(12.058)	58.231	63.706	67.952	69.054
Total Cash Conversion Adjustments	\$291.568	\$182.349	\$243.628	\$252.761	\$273.548	\$289.183
Net Cash Surplus/(Deficit)	(\$525.644)	(\$587.538)	(\$561.064)	(\$568.404)	(\$579.626)	(\$591.715)

MTA Metro-North Railroad
November Financial Plan 2016-2019
Accrual Statement of Operations by Category
(\$ in millions)

REIMBURSABLE						
	2014	2015	2016			
	Actual	November Forecast	Final Proposed Budget	2017	2018	2019
Revenue						
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	95.392	136.303	151.064	154.205	157.749	160.986
MNR - CDOT	78.834	81.028	88.378	90.337	92.319	94.147
MNR - Other	17.087	15.055	16.425	16.709	17.063	17.380
Capital and Other Reimbursements	191.313	232.386	255.867	261.251	267.131	272.513
Total Revenue	\$191.313	\$232.386	\$255.867	\$261.251	\$267.131	\$272.513
Expenses						
Labor:						
Payroll	\$42.901	\$46.143	\$44.179	\$45.535	\$46.597	\$47.512
Overtime	20.813	17.678	18.498	18.813	19.240	19.617
Health and Welfare	12.461	14.201	14.347	14.416	15.035	15.657
OPEB Current Payment	0.000	0.000	0.000	0.000	0.000	0.000
Pensions	8.777	9.930	9.439	9.521	9.640	9.964
Other Fringe Benefits	10.288	9.153	10.977	11.285	11.547	11.774
Reimbursable Overhead	46.509	52.892	55.007	56.232	56.909	57.135
Total Labor	\$141.749	\$149.996	\$152.447	\$155.802	\$158.970	\$161.658
Non-Labor:						
Electric Power	\$0.059	\$0.478	\$0.000	\$0.000	\$0.000	\$0.000
Fuel	0.000	0.000	0.000	0.000	0.000	0.000
Insurance	3.405	3.559	3.481	3.557	3.640	3.711
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	14.306	12.764	10.803	10.991	11.275	11.558
Professional Service Contracts	13.845	12.224	28.070	28.290	29.020	29.748
Materials & Supplies	14.625	52.708	60.630	62.164	63.767	65.368
Other Business Expenses	3.325	0.658	0.437	0.448	0.459	0.471
Total Non-Labor	\$49.564	\$82.390	\$103.420	\$105.449	\$108.161	\$110.855
Other Adjustments:						
Other	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Total Other Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Total Expenses before Depreciation	\$191.313	\$232.386	\$255.867	\$261.251	\$267.131	\$272.513
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
Total Expenses	\$191.313	\$232.386	\$255.867	\$261.251	\$267.131	\$272.513
Net Surplus/(Deficit)	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Cash Conversion Adjustments:						
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
Total Cash Conversion Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Net Cash Surplus/(Deficit)	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000

MTA Metro-North Railroad
November Financial Plan 2016-2019
Accrual Statement of Operations by Category
(\$ in millions)

NON-REIMBURSABLE / REIMBURSABLE							
	2014	2015	2016				
	Actual	November Forecast	Final Proposed Budget	2017	2018	2019	
Revenue							
Farebox Revenue	\$649.850	\$675.692	\$693.277	\$707.320	\$718.706	\$726.688	
Toll Revenue	0.000	0.000	0.000	0.000	0.000	0.000	
Other Operating Revenue	62.536	61.846	60.341	62.226	63.683	64.212	
MNR - MTA	95.392	136.303	151.064	154.205	157.749	160.986	
MNR - CDOT	78.834	81.028	88.378	90.337	92.319	94.147	
MNR - Other	17.087	15.055	16.425	16.709	17.063	17.380	
Capital and Other Reimbursements	191.313	232.386	255.867	261.251	267.131	272.513	
Total Revenue	\$903.699	\$969.925	\$1,009.485	\$1,030.797	\$1,049.521	\$1,063.414	
Expenses							
Labor:							
Payroll	\$555.040	\$514.743	\$524.542	\$542.459	\$559.743	\$571.060	
Overtime	118.902	113.932	116.949	119.239	121.677	124.101	
Health and Welfare	104.871	108.955	121.398	122.508	129.030	134.486	
OPEB Current Payment	24.103	26.965	27.282	27.779	28.986	30.240	
Pensions	100.162	101.804	101.343	102.541	104.461	107.975	
Other Fringe Benefits	123.342	121.027	128.352	132.050	135.668	138.125	
Reimbursable Overhead	(1.912)	(0.965)	(2.799)	(2.898)	(2.958)	(2.990)	
Total Labor	\$1,024.508	\$986.460	\$1,017.067	\$1,043.678	\$1,076.607	\$1,102.996	
Non-Labor:							
Electric Power	\$81.474	\$87.246	\$82.288	\$85.920	\$90.944	\$96.319	
Fuel	27.642	20.432	21.229	22.553	25.275	28.043	
Insurance	20.708	22.623	23.496	24.886	26.554	28.425	
Claims	6.129	1.273	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	117.559	120.344	138.177	136.494	139.094	139.106	
Professional Service Contracts	38.059	47.514	67.824	66.418	68.718	69.726	
Materials & Supplies	85.059	127.699	139.499	145.825	149.909	153.672	
Other Business Expenses	27.669	26.149	16.190	17.779	17.186	17.618	
Total Non-Labor	\$404.298	\$453.280	\$489.703	\$500.876	\$518.680	\$533.907	
Other Adjustments:							
Other	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	
Total Other Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	
Total Expenses before Depreciation and GASB Adjs.	\$1,428.806	\$1,439.740	\$1,506.770	\$1,544.554	\$1,595.287	\$1,636.903	
Depreciation	\$232.100	\$226.647	\$234.092	\$234.092	\$234.092	\$234.092	
OPEB Obligation	58.372	68.316	68.316	68.316	68.316	68.316	
Environmental Remediation	1.632	5.109	5.000	5.000	5.000	5.000	
Total Expenses	\$1,720.911	\$1,739.812	\$1,814.178	\$1,851.962	\$1,902.695	\$1,944.311	
Net Surplus/(Deficit)	(\$817.212)	(\$769.887)	(\$804.693)	(\$821.165)	(\$853.174)	(\$880.898)	
Cash Conversion Adjustments:							
Depreciation	\$232.100	\$226.647	\$234.092	\$234.092	\$234.092	\$234.092	
Operating/Capital	(22.823)	(32.240)	(48.695)	(45.037)	(28.496)	(13.963)	
Other Cash Adjustments	82.291	(12.058)	58.231	63.706	67.952	69.054	
Total Cash Conversion Adjustments	\$291.568	\$182.349	\$243.628	\$252.761	\$273.548	\$289.183	
Net Cash Surplus/(Deficit)	(\$525.644)	(\$587.538)	(\$561.064)	(\$568.404)	(\$579.626)	(\$591.715)	

MTA Metro-North Railroad
November Financial Plan 2016-2019
Cash Receipts & Expenditures
(\$ in millions)

CASH RECEIPTS AND EXPENDITURES						
	2014	2015	2016			
	Actual	November Forecast	Final Proposed Budget	2017	2018	2019
Receipts						
Farebox Revenue	\$655.977	\$680.395	\$698.155	\$712.431	\$724.097	\$732.416
Toll Revenue	0.000	0.000	0.000	0.000	0.000	0.000
Other Operating Revenue	86.530	98.209	142.657	97.307	96.644	97.341
MNR - MTA	80.068	129.603	157.207	153.134	156.406	160.138
MNR - CDOT	67.296	90.740	88.378	90.337	92.319	94.147
MNR - Other	13.070	16.863	17.659	16.644	16.968	17.320
Capital and Other Reimbursements	160.434	237.206	263.244	260.116	265.693	271.604
Total Receipts	\$902.941	\$1,015.810	\$1,104.055	\$1,069.854	\$1,086.433	\$1,101.361
Expenditures						
Labor:						
Payroll	\$496.996	\$592.261	\$531.586	\$547.084	\$561.012	\$570.811
Overtime	100.307	132.358	116.651	119.456	121.326	123.722
Health and Welfare	115.068	113.621	125.144	126.413	133.085	138.693
OPEB Current Payment	25.436	25.614	27.282	27.779	28.986	30.240
Pensions	113.236	90.970	102.525	103.318	105.244	108.440
Other Fringe Benefits	113.038	128.230	129.421	133.104	136.111	137.870
GASB Account	4.458	0.000	0.000	0.000	0.000	0.000
Reimbursable Overhead	0.000	0.255	(0.000)	0.000	(0.000)	(0.000)
Total Labor	\$968.539	\$1,083.309	\$1,032.608	\$1,057.155	\$1,085.764	\$1,109.776
Non-Labor:						
Electric Power	\$85.389	\$88.745	\$83.859	\$87.539	\$92.611	\$98.036
Fuel	28.149	19.558	20.349	21.647	24.341	27.081
Insurance	20.781	23.306	23.914	25.377	27.080	28.967
Claims	27.461	22.843	56.473	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	111.664	125.807	156.192	149.286	140.589	136.761
Professional Service Contracts	38.715	53.322	78.552	77.100	74.748	71.674
Materials & Supplies	95.696	129.410	149.496	154.917	156.152	154.786
Other Business Expenses	52.191	57.047	63.678	64.093	63.631	64.851
Total Non-Labor	\$460.046	\$520.038	\$632.513	\$581.105	\$580.299	\$583.302
Other Adjustments:						
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
Total Other Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Total Expenditures	\$1,428.585	\$1,603.347	\$1,665.121	\$1,638.260	\$1,666.063	\$1,693.078
Net Cash Surplus/(Deficit)	(\$525.644)	(\$587.537)	(\$561.066)	(\$568.406)	(\$579.630)	(\$591.717)
Subsidies						
MTA	\$425.094	\$438.601	\$440.679	\$452.569	\$456.693	\$461.862
CDOT	98.004	148.937	120.385	115.835	122.933	129.853
Total Subsidies	\$523.098	\$587.538	\$561.064	\$568.404	\$579.626	\$591.715

MTA Metro-North Railroad
November Financial Plan 2016-2019
Cash Conversion (Cash Flow Adjustments)
(\$ in millions)

CASH FLOW ADJUSTMENTS						
	2014	2015	2016			
	Actual	November Forecast	Final Proposed Budget	2017	2018	2019
Receipts						
Farebox Revenue	\$6.127	\$4.703	\$4.877	\$5.111	\$5.391	\$5.728
Toll Revenue	0.000	0.000	0.000	0.000	0.000	0.000
Other Operating Revenue	23.994	36.363	82.316	35.081	32.960	33.129
MNR - MTA	(15.324)	(6.700)	6.143	(1.070)	(1.343)	(0.849)
MNR - CDOT	(11.538)	9.712	0.000	0.000	0.000	0.000
MNR - Other	(4.017)	1.808	1.234	(0.065)	(0.095)	(0.060)
Capital and Other Reimbursements	(30.879)	4.820	7.377	(1.136)	(1.438)	(0.909)
Total Receipts	(\$0.758)	\$45.885	\$94.570	\$39.056	\$36.913	\$37.948
Expenditures						
Labor:						
Payroll	\$58.044	(\$77.518)	(\$7.044)	(\$4.626)	(\$1.269)	\$0.248
Overtime	18.595	(18.426)	0.298	(0.217)	0.351	0.378
Health and Welfare	(10.198)	(4.666)	(3.746)	(3.905)	(4.055)	(4.207)
OPEB Current Payment	(1.333)	1.351	0.000	0.000	0.000	0.000
Pensions	(13.074)	10.834	(1.182)	(0.777)	(0.783)	(0.465)
Other Fringe Benefits	10.304	(7.203)	(1.069)	(1.054)	(0.443)	0.255
GASB Account	(4.458)	0.000	0.000	0.000	0.000	0.000
Reimbursable Overhead	(1.912)	(1.220)	(2.799)	(2.898)	(2.958)	(2.990)
Total Labor	\$55.968	(\$96.849)	(\$15.542)	(\$13.477)	(\$9.158)	(\$6.780)
Non-Labor:						
Electric Power	(\$3.916)	(\$1.499)	(\$1.571)	(\$1.618)	(\$1.667)	(\$1.717)
Fuel	(0.507)	0.874	0.880	0.907	0.934	0.962
Insurance	(0.074)	(0.683)	(0.418)	(0.491)	(0.526)	(0.542)
Claims	(21.332)	(21.570)	(55.473)	(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	5.895	(5.463)	(18.015)	(12.792)	(1.495)	2.345
Professional Service Contracts	(0.656)	(5.808)	(10.728)	(10.682)	(6.030)	(1.949)
Materials & Supplies	(10.637)	(1.711)	(9.997)	(9.092)	(6.244)	(1.114)
Other Business Expenditures	(24.521)	(30.898)	(47.487)	(46.314)	(46.445)	(47.234)
Total Non-Labor	(\$55.748)	(\$66.758)	(\$142.810)	(\$80.229)	(\$61.619)	(\$49.395)
Other Adjustments:						
Other	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Total Other Expenditure Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Total Cash Conversion Adjustments before Depreciation and GASB Adjs.	(\$0.538)	(\$117.721)	(\$63.782)	(\$54.650)	(\$33.864)	(\$18.228)
Depreciation Adjustment	\$232.100	\$226.647	\$234.092	\$234.092	\$234.092	\$234.092
OPEB Obligation	58.372	68.316	68.316	68.316	68.316	68.316
Environmental Remediation	1.632	5.109	5.000	5.000	5.000	5.000
Total Cash Conversion Adjustments	\$291.567	\$182.350	\$243.626	\$252.758	\$273.544	\$289.181

MTA Metro-North Railroad
November Financial Plan 2016-2019
Ridership (Utilization) *
(in millions)

	2014 Actual	2015 November Forecast	2016 Final Proposed Budget	2017	2018	2019
<u>Ridership</u>						
Harlem Line	27.127	27.426	28.013	28.523	28.900	29.216
Hudson Line	16.237	16.404	16.728	17.061	17.313	17.533
New Haven Line	39.611	40.362	40.871	41.479	41.966	42.421
Total Ridership	82.975	84.192	85.612	87.064	88.178	89.170
<u>Farebox Revenue</u>						
Harlem Line	\$192.203	\$200.717	\$207.053	\$210.885	\$213.679	\$216.048
Hudson Line	140.416	146.569	150.796	153.925	156.293	158.388
New Haven Line	316.805	328.010	335.020	342.094	348.299	351.799
West of Hudson Mail & Ride	0.425	0.396	0.408	0.417	0.435	0.452
Total Farebox Revenue	\$649.850	\$675.692	\$693.277	\$707.320	\$718.706	\$726.688

* Reflects East of Hudson Service

MTA Metro-North Railroad
November Financial Plan 2016-2019
2015 Budget Reduction Plan Summary
(\$ in millions)

	Favorable/(Unfavorable)									
	Pos.	2015	Pos.	2016	Pos.	2017	Pos.	2018	Pos.	2019
<u>Administration</u>										
Ongoing Position Vacancies Resulting from Attrition and Time to Hire (July Plan)	-	\$0.000	-	\$1.920	-	\$1.920	-	1.920	-	1.920
Reductions to Other Business Expenses (July Plan)	-	0.000	-	0.500	-	0.500	-	0.500	-	0.500
Subtotal Administration	-	0.000	-	2.420	-	2.420	-	2.420	-	2.420
<u>Customer Convenience/Amenities</u>										
None	-	0.000	-	0.000	-	0.000	-	0.000	-	0.000
Subtotal Customer Convenience/Amenities	-	0.000	-	0.000	-	0.000	-	0.000	-	0.000
<u>Maintenance</u>										
Miscellaneous Contract Services Reductions (July Plan)	-	0.000	-	1.200	-	1.200	-	1.200	-	1.200
Subtotal Maintenance	-	0.000	-	1.200	-	1.200	-	1.200	-	1.200
<u>Revenue Enhancement</u>										
None	-	0.000	-	0.000	-	0.000	-	0.000	-	0.000
Subtotal Revenue Enhancement	-	0.000	-	0.000	-	0.000	-	0.000	-	0.000
<u>Safety/Security</u>										
None	-	0.000	-	0.000	-	0.000	-	0.000	-	0.000
Subtotal Safety	-	0.000	-	0.000	-	0.000	-	0.000	-	0.000
<u>Service</u>										
None	-	0.000	-	0.000	-	0.000	-	0.000	-	0.000
Subtotal Service	-	0.000	-	0.000	-	0.000	-	0.000	-	0.000
<u>Service Support</u>										
None	-	0.000	-	0.000	-	0.000	-	0.000	-	0.000
Subtotal Service Support	-	0.000	-	0.000	-	0.000	-	0.000	-	0.000
<u>Other</u>										
None	-	0.000	-	0.000	-	0.000	-	0.000	-	0.000
Subtotal Other	-	0.000	-	0.000	-	0.000	-	0.000	-	0.000
Agency Submission	-	\$0.000	-	\$3.620	-	\$3.620	-	\$3.620	-	\$3.620

MTA METRO-NORTH RAILROAD
November Financial Plan 2016-2019
Total Positions by Function and Department
Non-Reimbursable/Reimbursable and Full-Time/Full-Time Equivalents

FUNCTION/DEPARTMENT	2014 Actual	2015 November Forecast	2016 Final Proposed Budget	2017	2018	2019
Administration						
President	2	4	4	4	4	4
Labor Relations	7	15	18	18	18	18
Safety/Security	35	72	73	73	73	73
Corporate & Public Affairs ⁽¹⁾	15	18	28	28	28	28
Customer Service ⁽¹⁾	45	52	62	62	62	62
Legal	19	18	19	19	19	19
Claims	10	14	14	14	14	14
Environmental Compliance & Svce	7	8	8	8	8	8
VP Administration	2	0	0	0	0	0
VP Human Resources	6	7	7	7	7	7
Human Resources & Diversity	25	36	36	36	36	36
Training	50	98	98	98	98	98
Employee Relations & Diversity	5	6	6	6	6	6
VP Planning	2	2	2	2	2	2
Operations Planning & Analysis	15	22	22	22	22	22
Capital Planning & Programming ⁽¹⁾	13	14	20	20	20	20
GCT & Corporate Development ⁽¹⁾	32	31	0	0	0	0
Long Range Planning	6	8	8	8	8	8
VP Finance & Info Systems	1	4	6	6	6	6
Controller	75	81	79	79	79	79
Information Technology & Project Mgmt	93	0	0	0	0	0
Budget	18	20	20	20	20	20
Procurement & Material Management	30	44	44	44	44	44
Corporate	0	0	0	0	0	0
Total Administration	512	574	574	574	574	574
Operations						
Operations Administration	53	89	89	89	89	89
Transportation ⁽²⁾	1,454	1,470	1,470	1,470	1,470	1,470
Customer Service	230	241	330	330	330	330
GCT & Corporate Development ⁽¹⁾	33	38	0	0	0	0
Metro-North West	33	46	46	46	46	46
Total Operations	1,802	1,884	1,935	1,935	1,935	1,935
Maintenance						
GCT & Corporate Development ⁽¹⁾	158	171	0	0	0	0
Maintenance of Equipment	1,607	1,748	1,764	1,751	1,751	1,751
Maintenance of Way ⁽¹⁾	1,848	2,085	2,317	2,338	2,343	2,348
Procurement & Material Management	119	121	121	121	121	121
Total Maintenance	3,731	4,125	4,202	4,210	4,215	4,220
Engineering/Capital						
Construction Management	31	43	43	43	43	43
Engineering & Design ⁽¹⁾	60	72	75	75	75	75
Total Engineering/Capital	91	115	118	118	118	118
Total Positions	6,136	6,698	6,829	6,837	6,842	6,847
Non-Reimbursable	5,681	6,116	6,243	6,264	6,269	6,274
Reimbursable	455	582	586	573	573	573
Total Full-Time	6,135	6,697	6,828	6,836	6,841	6,846
Total Full-Time-Equivalents	1	1	1	1	1	1

⁽¹⁾ Reflects the January 2016 reorganization of the GCT and Corporate Development department and allocates 240 positions to the Maintenance of Way (129), Customer Service (99), COS/Corporate & Public Affairs (6), Capital Planning & Programming (3) and Engineering & Design (3) departments.

⁽²⁾ Please note that the Transportation department has recently undergone a name change and was formerly known as Operation Services.

MTA METRO-NORTH RAILROAD
November Financial Plan 2016-2019
Total Positions by Function and Occupation

FUNCTION/OCCUPATIONAL GROUP		2014 Actual	2015 November Forecast	2016 Final Proposed Budget	2017	2018	2019
Administration							
	Managers/Supervisors	135	164	162	162	162	162
	Professional, Technical, Clerical	378	409	411	411	411	411
	Operational Hourlies	-	-	-	-	-	-
	Total Administration	512	574	574	574	574	574
Operations							
	Managers/Supervisors	130	236	243	243	243	243
	Professional, Technical, Clerical	223	199	243	243	243	243
	Operational Hourlies	1,449	1,450	1,450	1,450	1,450	1,450
	Total Operations	1,802	1,884	1,935	1,935	1,935	1,935
Maintenance							
	Managers/Supervisors	489	619	630	630	630	630
	Professional, Technical, Clerical	509	529	515	530	535	540
	Operational Hourlies	2,732	2,978	3,058	3,051	3,051	3,051
	Total Maintenance	3,731	4,125	4,202	4,210	4,215	4,220
Engineering/Capital							
	Managers/Supervisors	40	53	55	55	55	55
	Professional, Technical, Clerical	51	62	63	63	63	63
	Operational Hourlies	-	-	-	-	-	-
	Total Engineering/Capital	91	115	118	118	118	118
Public Safety							
	Managers/Supervisors	-	-	-	-	-	-
	Professional, Technical, Clerical	-	-	-	-	-	-
	Operational Hourlies	-	-	-	-	-	-
	Total Public Safety	-	-	-	-	-	-
Total Positions							
	Managers/Supervisors	794	1,072	1,090	1,090	1,090	1,090
	Professional, Technical, Clerical	1,160	1,199	1,232	1,247	1,252	1,257
	Operational Hourlies	4,182	4,427	4,507	4,500	4,500	4,500
	Total Positions	6,136	6,698	6,829	6,837	6,842	6,847

Proposed 2016 Metro-North Railroad Committee Work Plan

I. RECURRING AGENDA ITEMS

Responsibility

Approval of Minutes	Committee Chairs & Members
2016 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	

II. SPECIFIC AGENDA ITEMS

Responsibility

<u>January 2016</u>	
Approval of 2016 Committee Work Plan	Committee Chairs & Members
<u>February 2016 (Joint meeting with LIRR)</u>	
Adopted Budget/Financial Plan 2016	Finance
2015 Annual Operating Results	Operations
2015 Annual Fleet Maintenance Report	Operations
Status Update on PTC	President
Diversity/EEO Report – 4 th Quarter 2015	Diversity and EEO
<u>March 2016</u>	
Annual Strategic Investments & Planning Studies	Capital Planning
2016 Spring/Summer Schedule Change	Operations Planning & Analysis
Annual Elevator & Escalator Report	Engineering
Track Program Quarterly Update	Engineering
<u>April 2016 (Joint meeting with LIRR)</u>	
Final Review of 2015 Operating Budget Results	Finance
2015 Annual Ridership Report	Operations Planning & Analysis
Annual Inventory Report	Procurement
<u>May 2016</u>	
Diversity/EEO Report – 1 st Quarter 2016	Diversity and EEO
<u>June 2016 (Joint meeting with LIRR)</u>	
Status Update on PTC	President
Bi-Annual Report on M-9 Procurement	President
Track Program Quarterly Update	Engineering

July 2016

Grand Central Terminal Retail Development
Environmental Audit

MTA Real Estate
Environmental Compliance

September 2016

2017 Preliminary Budget (Public Comment)
2016 Mid-Year Forecast
Diversity/EEO Report – 2nd Quarter 2016
Track Program Quarterly Update
2016 Fall Schedule Change

Finance
Finance
Diversity and EEO
Engineering
Operations Planning & Analysis

October 2016 (Joint meeting with LIRR)

2017 Preliminary Budget (Public Comment)
Status Update on PTC

Finance
President

November 2016

Review of Committee Charter
Holiday Schedule

Committee Chairs & Members
Operations Planning & Analysis

December 2016(Joint meeting with LIRR)

2017 Final Proposed Budget
2017 Proposed Committee Work Plan
Diversity/EEO Report – 3rd Quarter 2015
Bi-Annual Report on M-9 Procurement
Track Program Quarterly Update

Finance
Committee Chairs & Members
Diversity and EEO
President
Engineering

METRO-NORTH RAIL ROAD COMMITTEE WORK PLAN

DETAILED SUMMARY

I. RECURRING AGENDA ITEMS

Approval of Minutes

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

2016 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 and 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 2016

Approval of 2016 Committee Work Plan

The Committee will approve the Proposed Metro-North Railroad Committee Work Plan for 2016 that will address initiatives to be reported on throughout the year.

FEBRUARY 2016 (Joint Meeting with LIRR)

Adopted Budget/Financial Plan 2016

The Agency will present its revised 2016 Financial Plan. These plans will reflect the 2016 Adopted Budget and an updated Financial Plan for 2016 reflecting the out-year impact of any changes incorporated into the 2016 Adopted Budget.

2015 Annual Operating Results

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

2015 Annual Fleet Maintenance Report

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

Status Update on PTC

The Committee will be briefed on the status of PC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008. Highlights to include cost of PTC along with operation and implementation risks.

Diversity & EEO Report– 4th Quarter 2015

A quarterly report to the Committee providing data on key Equal Employment Opportunity (EEO) and Human Resources indicators relating to MNR's EEO 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 2016

Annual Strategic Investments & Planning Studies

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.

2016 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 2016.

Annual Elevator/Escalator Report

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

Track Program Quarterly Update

A quarterly report will be provided that highlights the progress made on track maintenance work to bring the infrastructure to a state of good repair.

APRIL 2016 (Joint Meeting with LIRR)

Final Review of 2015 Operating Results

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

2015 Annual Ridership Report

A report will be presented to the Committee on Metro-North's ridership trends during 2015 based on monthly ticket sales data and the results of train ridership counts conducted by Metro-North.

Annual Inventory Report

The Agency will present its annual report on Inventory.

MAY 2016

Diversity & EEO Report– 1st Quarter 2016

A quarterly report to the Committee providing data on key Equal Employment Opportunity (EEO) and Human Resources indicators relating to MNR's EEO 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 2016 (Joint Meeting with LIRR)

Status Update on PTC

The Committee will be briefed on the status of PC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008. Highlights to include cost of PTC along with operation and implementation risks.

Bi-Annual Report on M-9 Procurement

The committee will be briefed on the status of the M-9 procurement, including design, fabrication and delivery status, plus budget and schedule performance.

Track Program Quarterly Update

A quarterly report will be provided that highlights the progress made on track maintenance work to bring the infrastructure to a state of good repair.

JULY 2016

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.

Environmental Audit Report

The Committee will be briefed on the results of the 2016 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 2016

2017 Preliminary Budget

Public comment will be accepted on the 2017 Budget.

2016 Final Mid-Year Forecast

The agency will provide the 2016 Mid-Year Forecast financial information for revenue and expense by month.

Diversity & EEO Report– 2nd Quarter 2016

A quarterly report to the Committee providing data on key Equal Employment Opportunity (EEO) and Human Resources indicators relating to MNR's EEO 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.

Track Program Quarterly Update

A quarterly report will be provided that highlights the progress made on track maintenance work to bring the infrastructure to a state of good repair.

2016 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 2016.

OCTOBER 2016 (Joint Meeting with LIRR)

2017 Preliminary Budget

Public comment will be accepted on the 2017 Budget.

Status Update on PTC

The Committee will be briefed on the status of PC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008. Highlights to include cost of PTC along with operation and implementation risks.

NOVEMBER 2016

Review of Committee Charter

Annual review and approval of the MNR Committee Charter.

Holiday Schedule

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

DECEMBER 2016 (Joint Meeting with LIRR)

2017 Final Proposed Budget

The Committee will recommend action to the Board on the Final Proposed Budget for 2017.

2017 Proposed Committee Work Plan

The Committee Chair will present a draft Metro-North Committee Work Plan for 2017 that will address initiatives to be reported throughout the year.

Diversity & EEO Report– 3rd Quarter 2015

A quarterly report to the Committee providing data on key Equal Employment Opportunity (EEO) and Human Resources indicators relating to MNR's EEO 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.

Bi-Annual Report on M-9 Procurement

The committee will be briefed on the status of the M-9 procurement, including design, fabrication and delivery status, plus budget and schedule performance.

Track Program Quarterly Update

A quarterly report will be provided that highlights the progress made on track maintenance work to bring the infrastructure to a state of good repair.



2015 Metro-North YTD Totals

Maintenance of Way Division

(Track, Structures, Stations & Facilities)



2015 Track Work*

Ties

- ❖ Hudson – 22,693 ties
- ❖ Port Jervis – 16,208 ties
- ❖ Total 2015 to date – 38,901 ties [in 2014 - 42,810 ties]

Rail

- ❖ Hudson – 41,061 feet
- ❖ Harlem – 940 feet
- ❖ New Haven – 14,887 feet
- ❖ Port Jervis - 9,586 feet
- ❖ Total 2015 to date – 66,474 feet (12.59 miles) [in 2014 – 2.47 miles]

Surfacing

- ❖ GCT – 16,542 feet
- ❖ Hudson – 344,487 feet
- ❖ Harlem – 81,570 feet
- ❖ New Haven – 200,948 feet
- ❖ Port Jervis – 89,337 feet
- ❖ Total 2015 to date – 732,884 feet (138.8 miles) [in 2014 – 109.25 miles]

2015 Track Work*

Switch Renewal

- ❖ GCT – 8 switches
- ❖ Hudson – 18 switches
- ❖ Harlem – 4 switches
- ❖ New Haven – 17 switches
- ❖ Port Jervis – 2 switches
- ❖ Total 2015 to date – 49 switches [in 2014 – 33 switches]

Grade Crossings

- ❖ Hudson – 2 crossings
- ❖ Harlem – 6 crossings
- ❖ New Haven – 8 crossings
- ❖ Total 2015 to date – 16 crossings [in 2014 – 16 crossings]

Welds

- ❖ GCT – 12 joints
- ❖ Hudson – 628 joints
- ❖ Harlem – 317 joints
- ❖ New Haven – 394 joints
- ❖ Port Jervis – 77 joints
- ❖ Total 2015 to date – 1,428 joints [in 2014 – 1,327]

2015 Track Work*

Rail Vac

- ❖ Hudson – 2,385 ties
- ❖ Harlem – 1,366 ties
- ❖ New Haven – 1,258 ties
- ❖ Total 2015 to date – 5,009 ties [in 2014 – 7,981 ties]

GCT Station Track Rehabilitation

- ❖ Completed:
 - Track 17 – 2,000 ft. rail, 1,000 block ties
 - Track 18 – 468 ft. rail, 200 block ties, 50 direct fixation plates
 - Track 19 – 2,400 ft. rail, 1,200 block ties, 50 direct fixation plates
 - Track 24 – 50 direct fixation plates
 - Track 39 – 400 ft. rail, 300 block ties
 - Track 42 – 585 ft. rail, 500 block ties
- ❖ Ongoing (rail, plate, & tie renewal):
 - Tracks 26, 102, 103, 104, 105
- ❖ Total 2015 to date:
 - Rail – 4,653 feet (0.88 miles)
 - Ties – 2,200 block ties
 - Plates – 150 direct fixation plates

2015 Automated Inspection Work

Sperry Rail

- ❖ 1st run - field survey 100% complete, 103 defects corrected
- ❖ 2nd run – field survey 21% complete, 23 defects corrected

Georgetown (Aurora)

- ❖ Field survey 100% complete
- ❖ Results received for wood tie locations, data processing ongoing for concrete
- ❖ 119 Corrective Action Reports issued, repairs on-going

FRA Geometry Car

- ❖ Field survey completed early June
- ❖ All FRA defects repaired, maintenance work on-going

Mermec Geometry Car

- ❖ Field survey completed late April
- ❖ All FRA defects repaired, maintenance work on-going

Track Loading Vehicle

- ❖ Field survey completed mid July
- ❖ All FRA defects repaired, maintenance work on-going

2015 Structures Work

Overhead Bridge Program

❖ New Haven

- North Barry Avenue (MP 20.89) – 100% complete
- Hillside Avenue (MP 20.73) – 99% complete
- West Street (MP 21.45) – 90% complete

Undergrade Bridge Program

- ❖ Typical repairs include strengthening the bottom girder flanges, replacing deteriorated members, rebuilding deteriorated bridge seats, installing new ballast retainers and repairing abutment walls.
- ❖ New Haven – Columbus Avenue (MP 14.37) 100% complete
- ❖ Port Jervis
 - Slaughter Road (MP JS 69.77) 100% complete
 - 5 additional on-going (JS 32.06, JS 64.13, JS 66.4, JS 73.44, SR 86.44)

Railtop Culvert Replacement

- ❖ Hudson
 - Underpass (MP 72.19) – 100% complete (steel superstructure fabricated & installed)
- ❖ Harlem
 - Culvert (MP 25.62) – 50% complete (concrete superstructure has been fabricated & will be installed in 2016)

2015 Structures Work

Timber Replacement Program

- ❖ Harlem – 3 decks complete
- ❖ New Haven – 11 decks complete (includes Devon track 3)
- ❖ Port Jervis – 4 decks complete (includes Moodna Viaduct & O&W RR bridges)

Walk Bridge (New Haven)

- ❖ Completed rail lift roller extensions & west end centering pin
- ❖ Replacement of center pivot pier roller shafts ongoing (67% complete - 60 of 90 installed)

Unitex Retaining Walls

- ❖ New Haven – MP 14 track 3 (Mt. Vernon East) – 100% complete

Bridge Hit Monitoring System

- ❖ New Haven – Installation complete on 4 bridges (NY portion):
 - Fenimore Road (MP 20.11)
 - Mamaroneck Avenue (MP 20.37)
 - Westchester Avenue (MP 25.54)
 - King Street (MP 25.68)

Direct Fixation Fastener & Pad Repair

- ❖ Park Avenue Viaduct – replaced approximately 3,200 failed concrete inserts
- ❖ GCT Trainshed - replaced direct fixation pads on 5 tracks

2015 Structures Work

Right-of-Way Fencing

- ❖ Hudson – approximately 1,500 total feet
- ❖ Harlem – approximately 1,100 total feet
- ❖ Port Jervis – approximately 900 total feet

Graffiti Removal Program

- ❖ Hudson & Harlem - cleaned graffiti off various buildings, bridges, retaining walls & rock cuts

Obsolete Materials

- ❖ Hudson - 2 obsolete transmission towers removed (Tarrytown)
- ❖ Harlem - obsolete cable tower removal in-process (Williams Bridge)

S-Program (New Haven – CDOT)

- ❖ Bridge Street (MP 42.65) – Steel repairs 100% complete
- ❖ Greenwich Station – Catenary tower repairs 100% complete
- ❖ Greenwich Avenue (MP 32.81) & Hamilton Avenue (MP 34.72) - Steel repairs 50% complete

Railroad Maintenance Memorandum Items (New Haven - CDOT)

- ❖ Completed various (minor) steel and/or concrete repairs

2015 Stations & Facilities Work

Station Enhancement

- ❖ Typically consists of installing new signage; repainting gutters, downspouts, platform edges, hand rails, & 'WATCH THE GAP' stenciling; replacing tactile strips and old light fixtures with new LED fixtures; repairing masonry, shelter houses & right-of-way fencing; and installing new wire benches.
- ❖ **Hudson Line**
 - Morris Heights – 95% complete
 - University Heights – 95% complete
 - Spuyten Duyvil – 60% complete
 - Marble Hill – 10% complete (lighting only, remainder deferred to 2016)
- ❖ **Harlem Line**
 - Hartsdale – 100% complete
 - Purdy's – 100% complete
 - Croton Falls – 100% complete
 - Scarsdale – 90% complete
 - Southeast – 75% complete
- ❖ **Pascack Valley Line**
 - Spring Valley – 100% complete

2015 Stations & Facilities Work

Substation Door Replacement

- ❖ Hudson Line – 15 of 18 doors replaced

Substation Roof Repairs & Silver Coating

- ❖ Hudson Line – 6 locations completed
- ❖ Harlem Line – 2 locations completed

CIL Roof/Building Repairs

- ❖ Hudson & Harlem Lines – 3 of 5 locations completed

Employee Facility Lighting Enhancements

- ❖ Beacon (MofW & MofE)
 - Lighting enhancements: replacing old light fixtures with new, more energy efficient LEDs (T-5), and installing occupancy sensors.
 - Recurring monthly bill is expected to be reduced by approximately 50%

2015 Track Program Goals

Ties

- ❖ Hudson – 32,750 ties
- ❖ New Haven – 1,800 ties
- ❖ Port Jervis – 14,000 ties
- ❖ Currently achieved 80.1% of goal

Rail

- ❖ Hudson – 18,650 feet (3.5 miles)
- ❖ New Haven – 37,400 feet (7 miles)
- ❖ Currently achieved 119.9% of goal

Surfacing

- ❖ Hudson – 31 miles
- ❖ Harlem – 23.5 miles
- ❖ New Haven – 55 miles
- ❖ Currently achieved 126.9% of goal

Switch Renewal

- ❖ Hudson – 17 switches
- ❖ Harlem – 17 switches
- ❖ New Haven – 18 switches
- ❖ Currently achieved 94.2% of goal

Grade Crossings

- ❖ Hudson – 5 crossings
- ❖ Harlem – 4 crossings
- ❖ New Haven – 6 crossings
- ❖ Currently achieved 106.7% of goal

Welds

- ❖ Systemwide – 1,300
- ❖ Currently achieved 109.8% of goal



Metro-North Railroad

Diversity/EEO Report

3rd Quarter 2015

Overview

MTA Metro-North Railroad has conducted an availability analysis of females and minorities in its workforce. The availability analysis consists of comparing Metro-North's September 30, 2015 workforce percentages for females and minorities to 80 percent of the females and minorities available within the relevant labor market based on the U.S. Census.

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

2015, 3rd QUARTER EEO REPORT

AGENCY NAME: **METRO-NORTH RAILROAD**

WORKFORCE UTILIZATION ANALYSIS AS OF 09/30/15

JOB CATEGORY	FEMALES*			BLACKS			HISPANICS			ASIANS			AI/AN**			NHOP***			OTHER		
	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)
Officials & Administrators	27%	24%	No	8%	16%	Yes	9%	7%	No	8%	8%	Yes	0%	0%	Yes	0%	0%	Yes	1%	2%	Yes
Professionals	40%	39%	No	10%	18%	Yes	9%	10%	Yes	8%	10%	Yes	0%	0%	Yes	0%	0%	Yes	1%	3%	Yes
Technicians	30%	8%	No	12%	19%	Yes	15%	6%	No	12%	13%	Yes	0%	2%	Yes	0%	0%	Yes	1%	2%	Yes
Protective Services	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes
Paraprofessionals	62%	60%	No	11%	28%	Yes	11%	8%	No	6%	12%	Yes	0%	0%	Yes	0%	0%	Yes	1%	4%	Yes
Administrative Support	59%	43%	No	13%	34%	Yes	13%	14%	Yes	5%	4%	No	0%	0%	Yes	0%	0%	Yes	2%	5%	Yes
Skilled Craft	4%	6%	Yes	14%	18%	Yes	10%	8%	No	2%	2%	Yes	1%	0%	No	0%	0%	Yes	2%	2%	Yes
Service Maintenance	8%	12%	Yes	16%	33%	Yes	27%	19%	No	3%	1%	No	0%	0%	Yes	0%	0%	Yes	1%	3%	Yes

Metro-North Railroad has conducted a utilization analysis of females and minorities in its workforce. The utilization analysis compares MNR'S March 31, 2015 actual workforce percentages for females and minorities in the above-indicated job categories to labor market availability percentages (at the 80% level). Availabiilty percentages for external labor market availability are computed based on the percentage of females and minorities in the same job categories in the relevant labor market, as measured by the U.S. Census data.

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

**American Indian/Alaskan Native

***Native Hawaiian Other Pacific Islander

DEFINITIONS OF EEO JOB CATEGORIES:

Officials & Administrators

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

Professionals

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

Technicians

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

Protective Services

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

Paraprofessionals

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

Administrative Support

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

Skilled Craft

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

Service Maintenance

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

2015, 3rd QUARTER EEO REPORT

AGENCY NAME: METRO-NORTH RAILROAD

NEW HIRES
AS OF 09/30/15

JOB CATEGORY	TOTAL ¹	FEMALES ²		MINORITIES		NON MINORITIES		BLACKS		HISPANICS		ASIANS		AI/AN		NHOPI		OTHER	
		#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Officials & Administrator	45	14	31.1%	17	37.8%	28	62.2%	6	13.3%	2	4.4%	8	17.8%	0	0.0%	0	0.0%	1	2.2%
Professionals	41	14	34.1%	19	46.3%	22	53.7%	9	22.0%	2	4.9%	8	19.5%	0	0.0%	0	0.0%	0	0.0%
Technicians	1	0	0.0%	1	100.0%	0	0.0%	1	100.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Protective Services	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Paraprofessionals	4	1	25.0%	2	50.0%	2	50.0%	1	25.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	25.0%
Administrative Support	67	27	40.3%	47	70.1%	20	29.9%	22	32.8%	8	11.9%	12	17.9%	0	0.0%	0	0.0%	5	7.5%
Skilled Craft	156	9	5.8%	62	39.7%	94	60.3%	22	14.1%	26	16.7%	6	3.8%	1	0.6%	0	0.0%	7	4.5%
Service Maintenance	130	9	6.9%	73	56.2%	57	43.8%	34	26.2%	29	22.3%	3	2.3%	0	0.0%	0	0.0%	7	5.4%
Total	444	74	16.7%	221	49.8%	223	50.2%	95	21.4%	67	15.1%	37	8.3%	1	0.2%	0	0.0%	21	4.7%

Total includes male and female new hires, both minority and non-minority.

Total includes female new hires, both minority and non-minority.

2015, 3rd QUARTER EEO REPORT

AGENCY NAME: **METRO-NORTH RAILROAD**

EEO AND TITLE VI COMPLAINTS

1/1/15 to 09/30/15

Category	Race	Disability	Gender	National Origin	Age	Sexual Harassment	Religion	Other ²	Total Issues ³	Total Cases	Status (# Open)
EEO	21	9	11	7	11	10	0	29	98	63	12
External Complaints	7	5	4	2	6	0	0	7	31	21	7
Internal Complaints	14	4	7	5	5	10	0	22	67	42	5

Category	Race	National Origin	Color	Total Issues ³	Total Cases	Status (# Open)
Title VI	17	0	11	28	18	7

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

² "Other" contains all EEO categories not otherwise specifically mentioned on the chart.

³ In some instances a single complaint may involve two or more EEO categories.

**EEO DISCRIMINATION COMPLAINT RESOLUTION FROM 1/1/15 TO 09/30/15
EXTERNAL**

Agency	Decided In Favor of Agency	Decided In Favor of Complainant	Administrative Closure	Withdrawn	Dismissed	Resolved / Settled	Total
MTA MNR	5	0	5	0	0	4	14

**EEO DISCRIMINATION COMPLAINT RESOLUTION FROM 1/1/15 TO 09/30/15
INTERNAL**

Agency	Decided In Favor of Agency	Decided In Favor of Complainant	Administrative Closure	Withdrawn	Dismissed	Resolved / Settled	Total
MTA MNR	9	6	16	3	0	3	37

**TITLE VI COMPLAINT RESOLUTION FROM 1/1/15 TO 09/30/15
DETERMINATION**

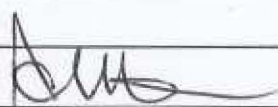
Agency	Decided In Favor of Agency	Decided In Favor of Complainant	Administrative Closure	Withdrawn	Dismissed	Resolved / Settled	Total
MTA MNR	4	1	6	0	0	0	11



Metro-North Railroad

Procurements

December 2015

Subject	Request for Authorization to Award Various Procurements
Department	Procurement and Material Management
Department Head Name	Alfred Muir, Sr. Director
Department Head Signature	
Project Manager Name	

Date	December 4, 2015
Vendor Name	Various
Contract Number	Various
Contract Manager Name	Various
Table of Contents Ref #	

Board Action					
Order	To	Date	Approval	Info	Other
1	MNR Comm. Mtg.	12-14-15	X		
2	MTA Board Mtg.	12-16-15	X		

Internal Approvals			
	Approval		Approval
X	President 		V.P. Planning
X	Executive V.P. 		V.P. Capital Programs
X	Sr. V.P. Operations 	X	Acting V.P. & General Counsel 
X	VP Finance & IT 		

Internal Approvals (cont.)							
Order	Approval	Order	Approval	Order	Approval	Order	Approval
_____	_____	_____	_____	_____	_____	_____	_____

PURPOSE:

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

DISCUSSION:

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

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

Schedules Requiring Majority Vote

Schedule H: Modifications to Personal/Miscellaneous Service Contracts	1	\$2,972,000
• New York State Industries for the Disabled (NYSID) \$2,972,000		
SUB TOTAL:		1 \$2,972,000

MNR proposes to award competitive procurements in the following categories:

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

SUB TOTAL:

MNR presents the following procurement actions for Ratification:

<u>Schedules Requiring Two-Thirds Vote (or more, where noted)</u>		
Schedule D: Ratification of Completed Procurement Actions	<u>NONE</u>	
<u>Schedules Requiring Majority Vote</u>		
Schedule K: Ratification of Completed Procurement Actions	1	\$134,147
• Wesco Distribution, Inc. \$134,147		
SUB TOTAL:	1	\$134,147
TOTAL:	2	\$3,106,147

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.

DECEMBER 2015

METRO-NORTH RAILROAD

LIST OF NON-COMPETITIVE PROCUREMENTS FOR BOARD APPROVAL

Schedules Requiring Majority Vote:

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 the monetary or durational threshold required for Board approval)

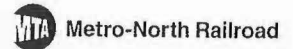
1. New York State Industries for the Disabled (NYSID) \$2,972,000 (estimated) Staff Summary Attached
Additional funding to MTA All-Agency Temporary Personnel Services Agreement

Approval is requested for a six month time extension with additional funding totaling an estimated \$2,972,000 to an in-place, negotiated and Board approved all-Agency agreement with NYSID for as-needed Temporary Personnel Services. In November 2010, the MTA Board approved a five-year (2011 through 2015), Metro-North led, all-agency personal services agreement with NYSID for as-needed and short-term temporary personnel services. Participating Agencies/Departments include: Metro-North Railroad, MTA Business Service Center, New York City Transit, Long Island Rail Road, MTA Bus Company and MTA Audit. The master agreement consolidated separate agreements that were previously held individually by the Agencies.

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

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

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



Item Number: H

Vendor Name (& Location) New York State Industries for the Disabled (NYSID)	
Description Temporary Personnel Services	
Contract Term (Including Options, if any) 1/1/11-12/31/15	
Option(s) included in Total Amount? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Procurement Type <input type="checkbox"/> Competitive <input checked="" type="checkbox"/> Non-competitive	
Solicitation Type <input type="checkbox"/> RFP <input type="checkbox"/> Bid <input checked="" type="checkbox"/> Other:	
Funding Source <input checked="" type="checkbox"/> Operating <input type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other:	
Requesting Dept/Div & Dept/Div Head Name: Procurement & Material Management, A. Muir Sr. Director	

Contract Number 62940	AWO/Modification # 3
Original Amount:	\$16,800,000
Prior Modifications:	\$0
Prior Budgetary Increases:	\$14,300,000
Current Amount:	\$31,100,000
This Request:	\$2,972,000
% of This Request to Current Amount:	9.56%
% of Modifications (including This Request) to Original Amount:	102.8%

Discussion:

Approval is requested for a six month time extension with additional funding totaling an estimated \$2,972,000 to an in-place, negotiated and Board approved all-Agency agreement with NYSID for as-needed temporary personnel services. Use of NYSID's services is in accordance with Section 162 of the New York State Finance Law, which provides that preferred sources shall be granted the right to provide services to New York State Agencies in order to advance social and economic goals. Under the State Finance Law, a contract award to a preferred source provider such as NYSID is exempt from New York State Statutory competitive procurement requirements provided, (i) it is capable of providing the service in the form, function and utility required and (ii) the price offered is as close to the prevailing market prices as is practicable.

In November 2014, the MTA Board approved additional funding in the amount of \$4,350,000 bringing the overall contract value to \$31,100,000. The current values for each participating Agencies/Departments are Metro-North Railroad (\$8,000,000), MTA Business Service Center (\$5,500,000), New York City Transit (\$13,700,000), Long Island Rail Road (\$2,350,000), MTA Bus Company (\$900,000) and MTA Audit (\$450,000). In addition, as the contract was awarded in 2011, the contract included Long Island Bus (\$200,000).

This is a final modification as an All-Agency competitive Request for Proposal is currently planned for public advertisement by the Business Service Center, and is expected to be presented to the Board for award by June 2016. Significant requests for short-term temporary personnel have led to higher than anticipated usage of NYSID's services. The increased usage reduced allotted funding at a faster pace than originally anticipated and has led to a request for funding replenishment. Since the award, MTA Agencies have had to supplement existing staff with short-term temporary personnel at larger numbers than originally anticipated during recent periods of increased production and as such additional funds are required by the Agencies to cover services through the six month extension period. The additional requested funding totaling \$2,972,000 is broken down by agency as follows: NYCT \$1,682,000, MNR \$1,030,000, LIRR \$225,000 and MTA Audit \$35,000.

Without the support of temporary staffing retained via this contract, required business services for critical operational and administrative functions would be adversely impacted as MTA does not currently have available resources to support these functions. The negotiated rates established under the base agreement were fixed for a five year period and have been approved for a 2.5% increase for the extended period of service and are deemed to be fair and reasonable. Services are rendered on an as-needed, as-requested task order basis and are not guaranteed. Individual tasks or requests for short-term temporary personnel and related funding are approved within each agency prior to any personnel request. Funding is included in each Agency's Operating Budget.

DECEMBER 2015

METRO-NORTH RAILROAD

LIST OF RATIFICATIONS FOR BOARD APPROVAL

Schedules Requiring Majority Vote:

K. Ratification of Completed Procurement Actions

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

**1. Wesco Distribution, Inc. \$134,147 (not-to-exceed)
Overhaul of One Power Traction Transformer**

Non-competitive procurement to overhaul one Power Traction Transformer that is used on MNR's Harlem Line to the firm Wesco Distribution, Inc. This emergency repair was necessitated by the failure of the in service transformer at Substation B29. In order to return that substation to service, MNR forces used the one Traction Transformer currently held in inventory. The B29 substation serves a heavily travelled section of the Railroad between Thornwood and Chappaqua on the Harlem Line. For the safe operation of the railroad and to avoid serious train disruptions, it was critical that the transformer be expeditiously repaired and returned to MNR to ensure that the railroad has a spare unit, if necessary.

The total cost of this not to exceed \$134,147 for this emergency is deemed to be fair and reasonable in accordance with the current terms and conditions and is to be funded by the MNR Operating Budget.



MONTHLY OPERATING REPORT

November 2015

Date Issued:
Friday, December 04, 2015

Performance Summary			2015 Data			2014 Data	
			Annual Goal	November	YTD thru November	November	YTD thru November
On Time Performance <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i>	System	Overall	93.0%	92.5%	93.3%	86.9%	91.4%
		AM Peak	93.0%	89.3%	90.1%	77.2%	87.9%
		AM Reverse Peak	93.0%	93.6%	94.4%	87.8%	93.2%
		PM Peak	93.0%	93.4%	95.7%	95.5%	94.1%
		Total Peak	93.0%	91.6%	93.0%	86.2%	91.2%
		Off Peak Weekday	92.0%	90.4%	92.2%	86.6%	91.0%
		Weekend	92.0%	96.3%	95.5%	88.0%	92.4%
	Hudson Line	Overall	93.0%	93.4%	94.0%	88.0%	91.7%
		AM Peak	93.0%	91.0%	91.4%	78.9%	89.6%
		AM Reverse Peak	93.0%	96.2%	96.7%	83.7%	93.1%
		PM Peak	93.0%	95.8%	96.9%	97.6%	94.5%
		Total Peak	93.0%	93.6%	94.3%	87.2%	92.1%
		Off Peak Weekday	92.0%	93.3%	92.9%	90.1%	91.2%
		Weekend	92.0%	93.3%	95.2%	86.5%	91.8%
	Harlem Line	Overall	93.0%	93.7%	94.0%	88.6%	93.4%
		AM Peak	93.0%	88.6%	90.3%	81.3%	90.4%
		AM Reverse Peak	93.0%	92.2%	94.4%	91.2%	95.8%
		PM Peak	93.0%	95.1%	95.5%	96.9%	95.8%
		Total Peak	93.0%	91.8%	93.1%	89.2%	93.4%
		Off Peak Weekday	92.0%	92.6%	93.7%	89.0%	93.3%
		Weekend	92.0%	98.0%	96.3%	87.4%	93.8%
	New Haven Line	Overall	93.0%	91.0%	92.3%	85.0%	89.6%
		AM Peak	93.0%	88.8%	89.2%	73.0%	85.0%
		AM Reverse Peak	93.0%	93.6%	93.3%	86.8%	91.0%
		PM Peak	93.0%	90.6%	95.0%	93.1%	92.5%
		Total Peak	93.0%	90.2%	92.2%	83.2%	88.9%
		Off Peak Weekday	92.0%	87.5%	90.8%	82.9%	89.1%
		Weekend	92.0%	97.1%	95.2%	89.3%	91.8%
Operating Statistics							
	Trains Scheduled			18,623	211,659	18,223	208,227
	Avg. Delay per Late Train (min) <i>excluding trains canceled or terminated</i>			11.5	11.7	10.2	11.7
	Trains Over 15 min. Late <i>excluding trains canceled or terminated</i>		1,800	212	2,364	284	2,780
	Trains Canceled		220	12	252	15	361
	Trains Terminated		220	12	294	21	416
	Percent of Scheduled Trips Completed		99.7%	99.9%	99.7%	99.8%	99.6%
Consist Compliance <i>(Percent of trains where the number of seats provided was greater than or equal to the required number of seats per loading standards)</i>	System	Overall	99.8%	99.6%	99.7%	99.7%	99.5%
		AM Peak	99.8%	99.2%	99.4%	99.2%	99.0%
		AM Reverse Peak	99.8%	100.0%	99.9%	100.0%	99.9%
		PM Peak	99.8%	99.2%	99.0%	99.3%	99.0%
		Total Peak	99.8%	99.3%	99.3%	99.4%	99.1%
		Off Peak Weekday	99.8%	99.8%	99.9%	99.7%	99.7%
		Weekend	99.8%	99.8%	99.9%	100.0%	99.9%
	Hudson Line	AM Peak	99.8%	99.9%	99.9%	99.7%	99.7%
		PM Peak	99.8%	100.0%	99.8%	100.0%	99.8%
	Harlem Line	AM Peak	99.8%	98.8%	99.1%	99.0%	99.3%
		PM Peak	99.8%	99.1%	98.9%	99.6%	99.3%
	New Haven Line	AM Peak	99.8%	99.1%	99.2%	99.0%	98.2%
		PM Peak	99.8%	98.8%	98.5%	98.6%	98.2%

SYSTEM Category of Delay

Delay Minutes / Delay Threshold	% Total	October	2015 Data YTD thru November		2014 Data YTD thru November		YTD 2015 Vs 2014
Engineering	31.7%	867	840	12,633	2,182	17,238	-4,605
Maintenance of Equipment	18.6%	451	491	4,601	374	4,179	422
Transportation	2.3%	114	62	948	78	1,966	-1,018
Capital Projects	2.0%	2	52	77	11	181	-104
Weather and Environmental	23.2%	351	615	3,170	760	3,838	-668
Police	8.8%	110	234	2,048	85	1,910	138
Customers	6.4%	106	170	1,300	148	1,278	22
Other	6.8%	128	181	1,990	360	2,845	-855
3rd Party Operations	0.0%	0	1	58	0	6	52
TOTAL	100.0%	2,129	2,646	26,825	3,998	33,441	-6,616

HUDSON LINE	% Total	October	November	YTD thru November	November	YTD thru November	YTD 2015 Vs 2014
Engineering	45.3%	296	233	2,915	526	3,778	-863
Maintenance of Equipment	19.8%	64	102	942	70	896	46
Transportation	1.4%	34	7	202	13	530	-328
Capital Projects	0.4%	0	2	2	0	10	-8
Weather and Environmental	21.2%	38	109	570	124	809	-239
Police	3.3%	29	17	310	10	415	-105
Customers	5.8%	34	30	350	30	452	-102
Other	2.5%	12	13	429	38	543	-114
3rd Party Operations	0.2%	0	1	8	0	0	8
TOTAL	100.0%	507	514	5,728	811	7,433	-1,705

HARLEM LINE	% Total	October	November	YTD thru November	November	YTD thru November	YTD 2015 Vs 2014
Engineering	20.8%	208	156	3,418	614	4,318	-900
Maintenance of Equipment	18.8%	184	141	1,219	75	857	362
Transportation	3.6%	26	27	246	14	544	-298
Capital Projects	0.3%	0	2	2	1	9	-7
Weather and Environmental	27.0%	161	203	1,102	269	1,189	-87
Police	22.1%	20	166	858	33	490	368
Customers	5.6%	30	42	324	28	203	121
Other	1.9%	42	14	547	87	609	-62
3rd Party Operations	0.0%	0	0	0	0	0	0
TOTAL	100.0%	671	751	7,716	1,121	8,219	-503

NEW HAVEN LINE	% Total	October	November	YTD thru November	November	YTD thru November	YTD 2015 Vs 2014
Engineering	32.6%	364	450	6,300	1,042	9,143	-2,843
Maintenance of Equipment	18.0%	203	248	2,440	228	2,427	13
Transportation	2.0%	54	27	501	50	892	-391
Capital Projects	3.5%	2	48	73	10	163	-90
Weather and Environmental	22.0%	152	303	1,498	367	1,840	-342
Police	3.7%	61	51	881	42	1,005	-124
Customers	7.1%	41	98	626	90	624	2
Other	11.2%	75	154	1,014	234	1,692	-678
3rd Party Operations	0.0%	0	0	50	0	6	44
TOTAL	100.0%	952	1,379	13,383	2,063	17,792	-4,409



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

DateDayDESCRIPTION OF EVENT			Number of Late Trains															
			AM Peak			AM Reverse			PM Peak			Off Peak			TOTAL			
			L	C	T	L	C	T	L	C	T	L	C	T	Late	Cxld	Term	
11/05	Thu	Train 502 struck a trespasser on track 4 south of Bronxville.	45	5	1	14	1	0	0	0	0	0	6	0	0	65	6	1
11/05	Thu	Slippery rail conditions on all three lines.	1	0	0	2	0	0	2	0	0	10	0	0	15	0	0	
11/05	Thu	Track circuit down on track 3 at Mt. Vernon East due to a broken rail west of Cat. 15.	15	0	0	2	0	0	0	0	0	7	0	0	24	0	0	
11/06	Fri	Due to possible trespasser at Woodlawn Station, trains operated at 10mph speed restriction.	11	0	0	0	0	0	0	0	0	0	0	0	11	0	0	
11/06	Fri	Slippery rail conditions on all three lines.	2	0	0	0	0	0	3	0	0	23	0	0	28	0	0	
11/09	Mon	Train 626 requested EMS at 125th Street on track 1 due to unresponsive customer onboard.	11	0	0	0	0	0	1	0	0	0	0	0	12	0	0	
11/10	Tue	Delays due to track 2 out of service from CP217-CP223 and track 4 out of service from CP233-CP229.	6	0	0	1	0	0	0	0	0	3	0	0	10	0	0	
11/10	Tue	Slippery rail conditions on all three lines.	3	0	0	4	0	0	48	0	0	123	0	0	178	0	0	
11/11	Wed	Amtrak 190 struck a trespasser on track 2 at Stratford Station.	1	0	0	4	0	1	0	0	0	10	0	1	15	0	2	
11/12	Thu	Slippery rail conditions on all three lines.	11	0	0	1	0	0	12	0	0	44	0	0	68	0	0	
11/12	Thu	Train 520 terminated on track 4 at Bronxville due to no brake release light.	9	0	1	3	0	0	0	0	0	9	0	0	21	0	1	

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

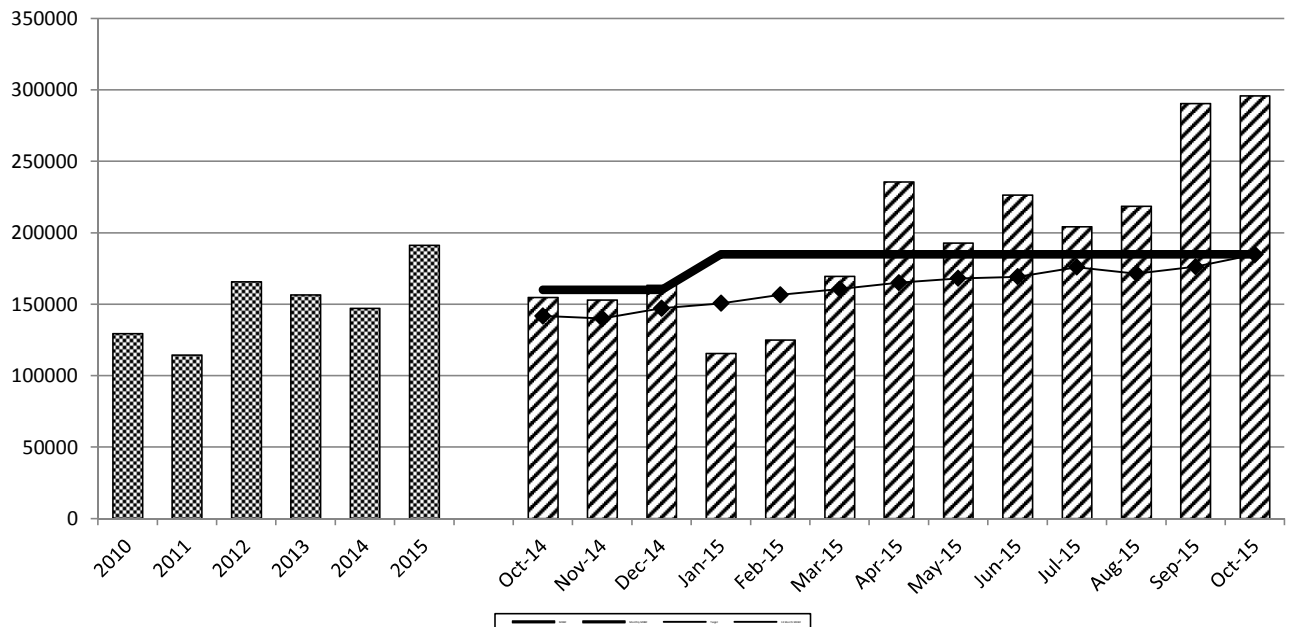
Date	Day	DESCRIPTION OF EVENT	Number of Late Trains											
			AM Peak			AM Reverse			PM Peak			Off Peak		
			L	C	T	L	C	T	L	C	T	L	C	T
11/13	Fri	Train 426 disabled at Dobbs Ferry due to locked axel fault.	11	0	0	1	0	0	0	0	0	0	0	0
11/13	Fri	A ground to the overhead wire on track 4 from Cat. 130 to CP223, train 1310 inspected pantographs and found no defects.	3	0	0	3	0	0	0	0	0	7	0	0
11/19	Thu	Slippery rail conditions on all three lines.	0	0	0	0	0	0	18	0	0	86	0	0
11/20	Fri	Congestion due to Third Rail Feeder issues from CP5 to GCT.	0	0	0	0	0	0	6	0	0	20	0	0
11/23	Mon	On track 2, train 520 was stopped south of Tremont and train 920 was stopped north of Tremont reporting cab signal reduction and sustained penalty brake applications.	18	0	0	0	0	0	0	0	0	4	0	0
11/23	Mon	Delays account a VCOR Alarm at CP248.	12	0	0	0	0	0	0	0	0	0	0	0
11/25	Wed	Delays due to heavy holiday travel.	0	0	0	0	0	0	2	0	0	29	0	0
TOTAL FOR MONTH			159	5	2	35	1	1	92	0	0	381	0	1
												677		

	Equip- ment Type	Total Fleet Size	2015 Data						2014 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)
Mean Distance Between Failures	M246	36	40,000	69,321	2	0	40,709	37,492	36,883	9	32,751
	M8	405	280,000	292,007	10	9	290,490	281,956	189,348	13	216,371
	M3	140	135,000	99,006	2	3	132,065	120,742	125,375	3	177,133
	M7	336	460,000	1,109,873	4	2	447,318	423,227	417,562	5	394,549
	Coach	213	295,000	342,309	5	4	309,544	322,160	244,840	6	249,708
	P-32	31	35,000	35,600	5	5	22,771	23,095	27,697	7	23,401
	BL-20	12	13,000	42,108	3	0	16,309	16,161	19,377	2	17,848
	Fleet	1173	185,000	295,804	31	23	191,198	184,800	154,646	45	145,023
	M2/4/6/8		185,000	299,710	12	9	209,166	194,125	126,976	22	114,091
	M3/7		320,000	503,353	6	5	342,233	320,107	307,992	8	335,536
	Diesel/Coach		120,000	176,594	13	9	107,934	109,997	113,445	15	104,483

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 2010 - 2015



West of Hudson Performance Summary			2015 Data			2014 Data	
			Annual Goal	November	YTD thru November	November	YTD thru November
On Time Performance <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i>	West of Hudson Total	Overall	95.5%	92.3%	94.7%	94.4%	95.4%
		AM Peak	95.5%	93.6%	94.7%	95.5%	95.2%
		PM Peak	95.5%	88.8%	94.5%	90.2%	94.7%
		Total Peak	95.5%	91.3%	94.6%	93.0%	94.9%
		Off Peak Weekday	95.5%	93.8%	94.8%	94.3%	95.6%
		Weekend	95.5%	90.8%	94.8%	96.2%	95.5%
	Pascack Line	Overall	96.5%	92.8%	95.0%	94.7%	95.9%
	Valley Line	AM Peak	96.5%	96.3%	95.3%	97.4%	96.0%
		PM Peak	96.5%	90.7%	94.3%	88.7%	95.0%
		Total Peak	96.5%	93.7%	94.9%	93.3%	95.5%
		Off Peak Weekday	96.5%	92.7%	94.9%	94.5%	95.9%
		Weekend	96.5%	92.1%	95.2%	96.6%	96.5%
	Port Jervis Line	Overall	95.0%	91.5%	94.4%	93.8%	94.5%
		AM Peak	95.0%	90.0%	93.8%	93.0%	94.1%
		PM Peak	95.0%	86.6%	94.8%	92.0%	94.4%
		Total Peak	95.0%	88.3%	94.3%	92.5%	94.2%
		Off Peak Weekday	95.0%	95.3%	94.6%	94.0%	95.1%
		Weekend	95.0%	88.7%	94.2%	95.5%	93.8%
Operating Statistics	Trains Scheduled			1,646	18,435	1,617	18,411
	Avg. Delay per Late Train (min) <small>excluding trains canceled or terminated</small>			16.7	18.5	16.7	19.5
	Trains Over 15 min. Late <small>excluding trains canceled or terminated</small>		200	50	363	31	343
	Trains Canceled		60	0	67	5	73
	Trains Terminated		60	3	55	6	48
	Percent of Scheduled Trips Completed		99.4%	99.8%	99.3%	99.3%	99.3%

NOVEMBER 2015 STANDEE REPORT

East of Hudson

East of Hudson			NOV 2014	YTD 2014	NOV 2015	YTD 2015
Daily Average AM Peak	Hudson Line	Program Standees	0	0	0	0
		Add'l Standees	3	1	0	0
		Total Standees	3	1	0	0
	Harlem Line	Program Standees	0	0	0	0
		Add'l Standees	11	10	37	19
		Total Standees	11	10	37	19
	New Haven Line	Program Standees	0	0	0	0
		Add'l Standees	20	50	45	15
		Total Standees	20	50	45	15
	EAST OF HUDSON TOTAL - AM PEAK		34	61	82	34
Daily Average PM Peak	Hudson Line	Program Standees	0	0	0	0
		Add'l Standees	0	2	0	1
		Total Standees	0	2	0	1
	Harlem Line	Program Standees	0	0	0	0
		Add'l Standees	10	6	14	21
		Total Standees	10	6	14	21
	New Haven Line	Program Standees	0	0	0	0
		Add'l Standees	30	40	50	29
		Total Standees	30	40	50	29
	EAST OF HUDSON TOTAL - PM PEAK		40	48	64	51

West of Hudson

West of Hudson			NOV 2014	YTD 2014	NOV 2015	YTD 2015
Daily Average AM Peak	Port Jervis Line	Program Standees	0	0	0	0
		Add'l Standees	0	0	0	0
		Total Standees	0	0	0	0
	Pascack Valley Line	Program Standees	0	0	0	0
		Add'l Standees	0	0	0	0
		Total Standees	0	0	0	0
	WEST OF HUDSON TOTAL - AM PEAK		0	0	0	0
	Daily Average PM Peak	Port Jervis Line	Program Standees	0	0	0
Add'l Standees			0	0	0	0
Total Standees			0	0	0	0
Pascack Valley Line		Program Standees	0	0	0	0
		Add'l Standees	0	0	0	0
		Total Standees	0	0	0	0
WEST OF HUDSON TOTAL - PM PEAK		0	0	0	0	

Definitions

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

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

"Additional Standees" reflect the impact of reduced train car consists reported as consist compliance less than 100%.

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.

ELEVATOR AND ESCALATOR OPERATING REPORT FOR MONTH OF November 2015

Elevator Availability	2015		2014	
	November	Year to Date	November	Year to Date
Grand Central Terminal	100.00%	99.05%	100.00%	98.11%
Harlem	97.50%	99.03%	100.00%	99.68%
Hudson	100.00%	99.76%	100.00%	99.71%
New Haven	100.00%	99.96%	100.00%	99.27%
Overall Average	99.38%	99.45%	100.00%	99.19%

Escalator Availability	2015		2014	
	November	Year to Date	November	Year to Date
Grand Central Terminal	99.42%	98.05%	94.42%	92.30%
White Plains	100.00%	99.86%	100.00%	100.00%
Overall Average	99.71%	98.96%	97.21%	96.15%



Metro-North Railroad

Financial Report

December 2015



FINANCIAL STATEMENTS

MONTH ENDED: OCTOBER 2015

OFFICE OF VICE PRESIDENT OF FINANCE & INFORMATION SYSTEMS

**MTA METRO-NORTH RAILROAD
OCTOBER 2015 FINANCIAL AND RIDERSHIP REPORT
EXECUTIVE SUMMARY**

October YTD Operating results were favorable with a net operating deficit that was \$36.2 million or 5.6% lower than the Mid-Year Forecast. Operating Revenues through October were \$1.0 million above the Mid-Year Forecast reflecting improved passenger revenues due to higher than forecasted commutation and non-commutation ridership. Total Operating Expenses through October were \$35.2 million lower than projected due to the timing of contracted maintenance and professional fees (\$16.2 million), lower net labor expenses (\$9.1 million) and favorable electric power rates (\$7.7 million).

YTD Reimbursable Capital program expenditures (and reimbursements) were \$4.0 million higher than the Mid-Year Forecast due to the timing of interagency reimbursements and scheduling changes of several forecasted projects (GCT Turnouts, East of Hudson Overhead Bridge Program and EMU Fleet Replacement).

Ridership

Total ridership through October of 71.4 million was slightly above the Mid-Year Forecast primarily due to higher than anticipated commutation and non-commutation ridership.

East of Hudson

- YTD ridership of 69.9 million was on target to the Mid-Year Forecast and 2.3% higher than 2014.
- October ridership of 7.5 million was 0.5% above the Mid-Year Forecast.
- Month and YTD commutation ridership were on target to the Mid-Year Forecast. Compared to 2014, YTD commutation was 0.9% higher than the Mid-Year Forecast.
- YTD non-commutation ridership was on target to the Mid-Year Forecast. For the month, non-commutation ridership was 1.2% higher than the Mid-Year Forecast. Compared to 2014, YTD non-commutation was 2.3% higher than the Mid-Year Forecast.

West of Hudson

- YTD ridership was 0.9% lower than the Mid-Year Forecast. October ridership was 3.3% lower than the Mid-Year Forecast.

Revenue and Reimbursements

Total YTD Revenue and Reimbursements through October was \$773.8 million and \$5.0 million higher than the Mid-Year Forecast:

- Farebox Revenue of \$559.4 million was \$1.4 million higher than the Mid-Year Forecast due to the higher than forecasted ridership noted above.
- Other Operating Revenue of \$50.8 million was \$0.3 million below the Mid-Year Forecast primarily due to seasonal timing differences in advertising revenue and lower interagency reimbursements from NYCT partially offset by higher net GCT retail revenue.
- Capital and Other Reimbursements of \$163.5 million was \$4.0 million higher than the Mid-Year Forecast due to project timing previously discussed.

Expenses (before Depreciation and Other Non-Cash Liability Adjustments)

Total YTD Non-Reimbursable and Reimbursable expenses of \$1,135.0 million through October were \$30.5 million (2.6%) lower than the Mid-Year Forecast:

- Non-labor costs were \$37.7 million lower primarily due to reduced contractual expenditures for maintenance and professional services and scheduling changes for capital project expenditures.
- Labor costs were \$7.2 million higher due to higher Railroad Retirement taxes and capital project activity partially offset by lower overtime costs.

Financial Performance Measures

The YTD performance indicators reflect lower overall expenses:

- Adjusted Farebox Operating Ratio of 66.8% through October was 2.6% higher than the Mid-Year Forecast.
- Adjusted Cost per Passenger of \$13.36 for the period was \$0.50 lower than the Mid-Year Forecast.
- Revenue per Passenger of \$8.09 for the period was slightly above the Mid-Year Forecast.

**MTA METRO-NORTH RAILROAD
OCTOBER 2015 FINANCIAL REPORT
YEAR-TO-DATE ACTUAL VERSUS MID-YEAR FORECAST**

REVENUE

Total Revenue and Reimbursements were \$5.0 million (0.7%) higher than the Mid-Year Forecast through October:

- **Farebox Revenue** – YTD and the month were higher than the Mid-Year Forecast by \$1.4 million and \$0.7 million, respectively, due to higher than forecasted commutation and non-commutation ridership.
- **Other Operating Revenue** – YTD was \$0.3 million below the Mid-Year Forecast primarily due to seasonal timing differences in advertising revenue and lower interagency reimbursements from NYCT partially offset by higher net GCT retail revenue. For the month, revenue was \$1.6 million lower than the Mid-Year Forecast.
- **Capital and Other Reimbursements** – YTD was higher by \$4.0 million primarily due to timing of interagency reimbursements and scheduling changes of capital projects (GCT Turnouts, East of Hudson Overhead Bridge Program and EMU Fleet Replacement). For the month, reimbursements were \$1.7 million higher than the Mid-Year Forecast.

EXPENSES

Total Expenses – YTD expenses of \$1,384.1 million were \$31.2 million (2.2%) lower than the Mid-Year Forecast. For the month, expenses were \$6.0 million (4.2%) lower than the Mid-Year Forecast.

- **Labor Expenses (including fringes and overhead recoveries)** – YTD expenses of \$818.6 million were \$7.2 million higher than the Mid-Year Forecast primarily due to higher Railroad Retirement taxes due to the timing of retroactive wage payments and an increase in Tier II employer contribution rates as well as higher capital project work. These increases were partially offset by favorable overtime costs due to improved employee availability for train service coverage, reduced infrastructure improvement requirements and fewer weather emergencies. For the month, expenses were slightly lower than the Mid-Year Forecast.
- **Non-Labor Expenses** were \$316.4 million YTD; \$37.7 million lower than Mid-Year Forecast and \$5.3 million lower for the month:
 - **Electric Power** – YTD was \$7.2 million below the Mid-Year Forecast primarily due to lower rates, partially offset by higher usage and reimbursable prior period billing adjustments. For the month, expenses were \$0.2 million lower than the Mid-Year Forecast.
 - **Fuel** – YTD was \$2.5 million below the Mid-Year Forecast due to lower diesel fuel prices per gallon. For the month, expenses were \$0.6 million lower than the Mid-Year Forecast.
 - **Maintenance & Other Operating Contracts** – YTD was \$10.4 million below the Mid-Year Forecast primarily due to timing differences for maintenance contracts, GCT utilities and locomotive overhauls. For the month, expenses were \$0.7 million lower than the Mid-Year Forecast.
 - **Professional Services** – YTD was \$4.8 million below the Mid-Year Forecast primarily due to timing differences for engineer services and consulting, legal fees, outside training and medical fees. For the month, expenses were \$1.2 million lower than the Mid-Year Forecast.
 - **Materials & Supplies** – YTD was \$12.6 million below the Mid-Year Forecast primarily due to timing differences in reimbursable project activity (C-30 Track Program, Component Change-Out Shop, Positive Train Control, Turnouts Mainline Program, Replace Timbers Project and C&S Restoration). For the month, expenses were \$2.6 million lower than the Mid-Year Forecast.
 - **Other Business Expenses** – YTD was \$0.3 million below the Mid-Year Forecast primarily due to lower NJT subsidy payments due to inflationary adjustments. This decrease was largely offset by non-capitalizable Madison Avenue relocation expenses, employment settlement payments and the timing of cost recoveries from other railroads. For the month, expenses were \$0.2 million lower than the Mid-Year Forecast.

Depreciation and Other Non-Cash Liability Adjustments – \$0.7 million lower than the Mid-Year Forecast due to the timing of projects requiring environmental remediation (\$1.0 million) offset by the timing of the capitalization of assets (\$0.4 million).

CASH DEFICIT

The Cash Deficit through October of \$505.2 million was \$16.6 million favorable to the Mid-Year Forecast primarily due to lower expenses partially offset by the timing of capital reimbursements and claim reimbursements from FMTAC.

MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2015 MID-YEAR FORECAST
ACCRUAL STATEMENT of OPERATIONS by CATEGORY
October 2015
(\$ 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
Revenue												
Farebox Revenue	\$58.252	\$59.001	\$0.749	1.3	\$0.000	\$0.000	\$0.000	-	\$58.252	\$59.001	\$0.749	1.3
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	6.612	5.059	(1.553)	(23.5)	0.000	0.000	0.000	-	6.612	5.059	(1.553)	(23.5)
<i>Capital & Other Reimbursements:</i>												
MTA	0.000	0.000	0.000	-	11.403	13.269	1.866	16.4	11.403	13.269	1.866	16.4
CDOT	0.000	0.000	0.000	-	7.026	5.024	(2.002)	(28.5)	7.026	5.024	(2.002)	(28.5)
Other	0.000	0.000	0.000	-	1.551	3.403	1.852	*	1.551	3.403	1.852	*
Total Capital and Other Reimbursements	0.000	0.000	0.000	-	19.980	21.696	1.716	8.6	19.980	21.696	1.716	8.6
Total Revenue/Receipts	\$64.864	\$64.059	(\$0.804)	(1.2)	\$19.980	\$21.696	\$1.716	8.6	\$84.844	\$85.756	\$0.912	1.1
Expenses												
<i>Labor:</i>												
Payroll	\$39.850	\$39.731	\$0.119	0.3	\$4.348	\$4.425	(\$0.077)	(1.8)	\$44.197	\$44.156	\$0.041	0.1
Overtime	7.709	6.575	1.133	14.7	1.900	1.717	0.183	9.7	9.609	8.292	1.317	13.7
Health and Welfare	8.198	7.742	0.455	5.6	1.321	2.316	(0.994)	(75.3)	9.519	10.058	(0.539)	(5.7)
OPEB Current Payment	2.064	2.246	(0.182)	(8.8)	0.000	0.000	0.000	-	2.064	2.246	(0.182)	(8.8)
Pensions	7.655	6.844	0.811	10.6	0.884	0.447	0.437	49.5	8.539	7.290	1.249	14.6
Other Fringe Benefits	9.248	9.069	0.179	1.9	1.006	3.534	(2.528)	*	10.254	12.603	(2.349)	(22.9)
Reimbursable Overhead	(5.000)	(6.501)	1.502	30.0	4.789	5.688	(0.899)	(18.8)	(0.210)	(0.813)	0.603	*
Total Labor	\$69.723	\$65.707	\$4.016	5.8	\$14.249	\$18.126	(\$3.877)	(27.2)	\$83.972	\$83.833	\$0.139	0.2
<i>Non-Labor:</i>												
Electric Power	\$5.667	\$5.490	\$0.177	3.1	\$0.000	\$0.004	(\$0.004)	-	\$5.667	\$5.494	\$0.173	3.1
Fuel	2.049	1.465	0.584	28.5	0.000	0.000	0.000	-	2.049	1.465	0.584	28.5
Insurance	1.676	1.538	0.138	8.2	0.448	0.835	(0.387)	(86.6)	2.123	2.373	(0.250)	(11.8)
Claims	0.098	0.037	0.061	62.3	0.000	0.000	0.000	-	0.098	0.037	0.061	62.3
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	9.362	8.664	0.698	7.5	0.899	0.889	0.010	1.2	10.261	9.553	0.708	6.9
Professional Service Contracts	3.180	2.429	0.752	23.6	1.399	0.969	0.430	30.7	4.580	3.398	1.182	25.8
Materials & Supplies	6.198	5.710	0.488	7.9	2.938	0.837	2.101	71.5	9.136	6.548	2.588	28.3
Other Business Expenses	1.305	1.108	0.196	15.0	0.047	0.036	0.011	23.5	1.352	1.144	0.207	15.3
Total Non-Labor	\$29.535	\$26.441	\$3.093	10.5	\$5.731	\$3.570	\$2.161	37.7	\$35.266	\$30.012	\$5.254	14.9
<i>Other Adjustments:</i>												
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Total Other Adjustments	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Expenses before Non-Cash Liability Adjs.	\$99.258	\$92.148	\$7.110	7.2	\$19.980	\$21.696	(\$1.716)	(8.6)	\$119.238	\$113.845	\$5.394	4.5
Depreciation	19.021	18.439	0.582	3.1	0.000	0.000	0.000	-	19.021	18.439	0.582	3.1
OPEB Obligation	5.693	5.693	0.000	0.0	0.000	0.000	0.000	-	5.693	5.693	0.000	0.0
Environmental Remediation	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Total Expenses	\$123.972	\$116.280	\$7.692	6.2	\$19.980	\$21.696	(\$1.716)	(8.6)	\$143.952	\$137.976	\$5.975	4.2
Net Surplus/(Deficit)	(\$59.108)	(\$52.221)	\$6.887	11.7	\$0.000	\$0.000	\$0.000	-	(\$59.108)	(\$52.221)	\$6.887	11.7
<i>Cash Conversion Adjustments:</i>												
Depreciation	19.021	18.439	(0.582)	(3.1)	0.000	0.000	0.000	-	19.021	18.439	(0.582)	(3.1)
Operating/Capital	(4.344)	(1.195)	3.149	72.5	0.000	0.000	0.000	-	(4.344)	(1.195)	3.149	72.5
Other Cash Adjustments	(6.570)	(13.276)	(6.706)	*	0.000	0.000	0.000	-	(6.570)	(13.276)	(6.706)	*
Total Cash Conversion Adjustments	\$8.106	\$3.968	(\$4.139)	(51.1)	\$0.000	\$0.000	\$0.000	-	\$8.106	\$3.968	(\$4.139)	(51.1)
Net Cash Surplus/(Deficit)	(\$51.002)	(\$48.253)	\$2.749	5.4	\$0.000	\$0.000	\$0.000	-	(\$51.002)	(\$48.253)	\$2.749	5.4

Notes:

-- Results are based on the preliminary close of the general ledger and are subject to review and adjustment. Please note that the current months' actuals do not include post-close adjustments, which will be captured in the subsequent month's YTD results.

-- Differences are due to rounding.

* Variance exceeds 100%.

MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2015 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) Variance	Percent	Mid-Year Forecast	Actual	Favorable (Unfavorable) Variance	Percent	Mid-Year Forecast	Actual	Favorable (Unfavorable) Variance	Percent
Revenue												
Farebox Revenue	\$558.046	\$559.433	\$1.387	0.2	\$0.000	\$0.000	\$0.000	-	\$558.046	\$559.433	\$1.387	0.2
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	51.160	50.820	(0.341)	(0.7)	0.000	0.000	0.000	-	51.160	50.820	(0.341)	(0.7)
<i>Capital & Other Reimbursements:</i>												
MTA	0.000	0.000	0.000	-	92.812	99.008	6.197	6.7	92.812	99.008	6.197	6.7
CDOT	0.000	0.000	0.000	-	53.366	49.122	(4.244)	(8.0)	53.366	49.122	(4.244)	(8.0)
Other	0.000	0.000	0.000	-	13.358	15.387	2.028	15.2	13.358	15.387	2.028	15.2
Total Capital and Other Reimbursements	0.000	0.000	0.000	-	159.537	163.517	3.981	2.5	159.537	163.517	3.981	2.5
Total Revenue/Receipts	\$609.207	\$610.253	\$1.046	0.2	\$159.537	\$163.517	\$3.981	2.5	\$768.743	\$773.770	\$5.027	0.7
Expenses												
<i>Labor:</i>												
Payroll	\$387.304	\$387.647	(\$0.343)	(0.1)	\$38.687	\$42.589	(\$3.902)	(10.1)	\$425.991	\$430.236	(\$4.245)	(1.0)
Overtime	78.526	72.186	6.340	8.1	14.912	16.813	(1.901)	(12.7)	93.438	88.999	4.439	4.8
Health and Welfare	79.803	76.875	2.928	3.7	11.339	14.390	(3.051)	(26.9)	91.142	91.265	(0.123)	(0.1)
OPEB Current Payment	20.671	22.759	(2.088)	(10.1)	0.000	0.000	0.000	-	20.671	22.759	(2.088)	(10.1)
Pensions	73.652	68.185	5.467	7.4	7.579	8.544	(0.964)	(12.7)	81.231	76.728	4.503	5.5
Other Fringe Benefits	90.890	98.975	(8.085)	(8.9)	9.061	10.562	(1.501)	(16.6)	99.951	109.537	(9.586)	(9.6)
Reimbursable Overhead	(40.391)	(45.223)	4.832	12.0	39.379	44.335	(4.956)	(12.6)	(1.012)	(0.888)	(0.124)	(12.3)
Total Labor	\$690.455	\$681.404	\$9.051	1.3	\$120.957	\$137.232	(\$16.275)	(13.5)	\$811.412	\$818.636	(\$7.224)	(0.9)
<i>Non-Labor:</i>												
Electric Power	\$75.113	\$67.442	\$7.671	10.2	\$0.000	\$0.494	(\$0.494)	-	\$75.113	\$67.936	\$7.177	9.6
Fuel	18.015	15.527	2.488	13.8	0.000	0.000	0.000	-	18.015	15.527	2.488	13.8
Insurance	16.113	15.268	0.845	5.2	3.461	3.844	(0.383)	(11.1)	19.574	19.112	0.462	2.4
Claims	0.716	1.283	(0.567)	(79.2)	0.000	0.000	0.000	-	0.716	1.283	(0.567)	(79.2)
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	91.597	80.354	11.242	12.3	6.719	7.542	(0.824)	(12.3)	98.315	87.897	10.418	10.6
Professional Service Contracts	29.579	24.588	4.992	16.9	5.059	5.240	(0.181)	(3.6)	34.638	29.828	4.811	13.9
Materials & Supplies	62.273	63.644	(1.371)	(2.2)	22.869	8.860	14.009	61.3	85.142	72.504	12.638	14.8
Other Business Expenses	22.114	21.987	0.127	0.6	0.471	0.304	0.167	35.5	22.586	22.291	0.294	1.3
Total Non-Labor	\$315.520	\$290.094	\$25.426	8.1	\$38.579	\$26.285	\$12.294	31.9	\$354.099	\$316.379	\$37.721	10.7
<i>Other Adjustments</i>												
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Total Other Adjustments	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Expenses before Non-Cash Liability Adjs.	\$1,005.975	\$971.497	\$34.477	3.4	\$159.537	\$163.517	(\$3.981)	(2.5)	\$1,165.511	\$1,135.015	\$30.497	2.6
Depreciation	188.165	188.522	(0.357)	(0.2)	0.000	0.000	0.000	-	188.165	188.522	(0.357)	(0.2)
OPEB Obligation	56.930	56.930	0.000	0.0	0.000	0.000	0.000	-	56.930	56.930	0.000	0.0
Environmental Remediation	4.643	3.609	1.034	22.3	0.000	0.000	0.000	-	4.643	3.609	1.034	22.3
Total Expenses	\$1,255.713	\$1,220.559	\$35.154	2.8	\$159.537	\$163.517	(\$3.981)	(2.5)	\$1,415.250	\$1,384.077	\$31.173	2.2
Net Surplus/(Deficit)	(\$646.507)	(\$610.307)	\$36.200	5.6	\$0.000	\$0.000	\$0.000	-	(\$646.507)	(\$610.307)	\$36.200	5.6
<i>Cash Conversion Adjustments:</i>												
Depreciation	188.165	188.522	0.357	0.2	0.000	0.000	0.000	-	188.165	188.522	0.357	0.2
Operating/Capital	(23.223)	(16.252)	6.971	30.0	0.000	0.000	0.000	-	(23.223)	(16.252)	6.971	30.0
Other Cash Adjustments	(40.270)	(67.180)	(26.910)	(66.8)	0.000	0.000	0.000	-	(40.270)	(67.180)	(26.910)	(66.8)
Total Cash Conversion Adjustments	\$124.672	\$105.091	(\$19.582)	(15.7)	\$0.000	\$0.000	\$0.000	-	\$124.672	\$105.091	(\$19.582)	(15.7)
Net Cash Surplus/(Deficit)	(\$521.834)	(\$505.216)	\$16.618	3.2	\$0.000	\$0.000	\$0.000	-	(\$521.834)	(\$505.216)	\$16.618	3.2

Notes:

-- Results are based on the preliminary close of the general ledger and are subject to review and adjustment. Please note that the current months' actuals do not include post-close adjustments, which will be captured in the subsequent month's YTD results.

-- Differences are due to rounding.

* Variance exceeds 100%.

MTA METRO-NORTH RAILROAD
ACCRUAL STATEMENT OF OPERATIONS BY CATEGORY
EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS
JULY FINANCIAL PLAN - 2015 MID-YEAR FORECAST
OCTOBER 2015
(\$ 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	(\$1.553)	(23.5%)	Reflects lower net GCT revenues due to timing differences in the recognition of holiday fare revenue.	(\$0.341)	(0.7%)	
CAPITAL AND OTHER REIMBURSEMENTS	Reimb	\$1.716	8.6%	Higher reimbursements reflect increased monthly activity and capital project expenditures.	\$3.981	2.5%	
PAYROLL	Reimb	(\$0.077)	(1.8%)		(\$3.902)	(10.1%)	Reflects unbudgeted intercompany charges that will be reimbursed by MTA partially offset by retroactive wage adjustments.
OVERTIME	Non-Reimb	\$1.133	14.7%	See overtime tables.	\$6.340	8.1%	See overtime tables.
	Reimb	\$0.183	9.7%	See overtime tables.	(\$1.901)	(12.7%)	See overtime tables.
HEALTH AND WELFARE	Non-Reimb	\$0.455	5.6%	Primarily due to unfilled positions.	\$2.928	3.7%	
	Reimb	(\$0.994)	(75.3%)	Primarily reflects unbudgeted intercompany charges that will be reimbursed by MTA.	(\$3.051)	(26.9%)	Reflects unbudgeted intercompany charges that will be reimbursed by MTA and higher activity for the GCT Turnouts and C-29 Programs.
OPEB CURRENT PAYMENT	Non-Reimb	(\$0.182)	(8.8%)	Reflects a higher than forecasted number of retirees.	(\$2.088)	(10.1%)	Reflects an adjustment for prior period premiums combined with a higher than forecasted number of retirees.
PENSIONS	Non-Reimb	\$0.811	10.6%	Primarily due to unfilled positions.	\$5.467	7.4%	Primarily due to unfilled positions. Pension expenses will be further adjusted pending year-end Actuarial Valuation report.
	Reimb	\$0.437	49.5%	Reflects retroactive wage adjustments.	(\$0.964)	(12.7%)	Reflects higher project activity for the East of Hudson Overhead Bridge Program and GCT Turnouts.
OTHER FRINGE BENEFITS	Non-Reimb	\$0.179	1.9%		(\$8.085)	(8.9%)	Primarily reflects the timing of Railroad Retirement Tier II payments related to RWA, YTD Railroad Retirement Tier II tax rate adjustment and higher employee claims.
	Reimb	(\$2.528)	*	Reflects retroactive wage adjustments, unbudgeted intercompany charges that will be reimbursed by MTA and higher activity for the following projects: CT Track Program, GCT Turnouts and C-29.	(\$1.501)	(16.6%)	Reflects retroactive wage adjustments.

MTA METRO-NORTH RAILROAD
ACCRUAL STATEMENT OF OPERATIONS BY CATEGORY
EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS
JULY FINANCIAL PLAN - 2015 MID-YEAR FORECAST
OCTOBER 2015
(\$ in millions)

Generic Revenue or Expense Category	Non Reimb. or Reimb.	Current Month vs. Mid-Year Forecast			Year to Date vs. Mid-Year Forecast		
		Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
		\$	%		\$	%	
REIMBURSABLE OVERHEAD	Non-Reimb	\$1.502	30.0%	The non-reimbursable and reimbursable variances reflect higher project activity.	\$4.832	12.0%	The non-reimbursable and reimbursable variances reflect higher project activity.
	Reimb	(\$0.899)	(18.8%)		(\$4.956)	(12.6%)	
ELECTRIC POWER	Non-Reimb	\$0.177	3.1%		\$7.671	10.2%	Primarily due to favorable rates partially offset by higher consumption. Reflects prior period billing adjustments for Shore Line East service power utilization on the New Haven Line.
	Reimb	(\$0.004)	-		(\$0.494)	-	
FUEL	Non-Reimb	\$0.584	28.5%	Primarily reflects lower diesel fuel price per gallon.	\$2.488	13.8%	Primarily reflects lower diesel fuel price per gallon.
INSURANCE	Non-Reimb	\$0.138	8.2%	Primarily reflects lower property insurance and all agency excess liability premiums for the period.	\$0.845	5.2%	Primarily reflects lower property insurance premiums.
	Reimb	(\$0.387)	(86.6%)	Reflects higher activity for the CT Track program and GCT Turnouts.	(\$0.383)	(11.1%)	Reflects higher activity on the following projects: CT Track Program, East of Hudson Overhead Bridge Program and Turnouts Program.
CLAIMS	Non-Reimb	\$0.061	62.3%	Primarily due to timing of claim payments for the period.	(\$0.567)	(79.2%)	Primarily due to accrual adjustments related to the Bridgeport derailment.
MAINTENANCE AND OTHER OPERATING CONTRACTS	Non-Reimb	\$0.698	7.5%	Primarily reflects timing of expenses for various maintenance contracts, GCT utilities and real estate rentals.	\$11.242	12.3%	Primarily reflects timing of expenses for various maintenance contracts, GCT utilities and locomotive overhauls.
	Reimb	\$0.010	1.2%		(\$0.824)	(12.3%)	Reflects higher activity for Positive Train Control partially offset by lower activity on the NHL Real Time Info System and the Rehab Over Merritt Bridge.
PROFESSIONAL SERVICE CONTRACTS	Non-Reimb	\$0.752	23.6%	Reflects the timing of expenses for engineer services, audit services, legal fees and outside training.	\$4.992	16.9%	Favorable variance reflects the timing of expenses for engineer services, legal fees, consulting services, outside training and medical fees.
	Reimb	\$0.430	30.7%	Primarily reflects lower project activity for the CCO Shop Program.	(\$0.181)	(3.6%)	

MTA METRO-NORTH RAILROAD
ACCRUAL STATEMENT OF OPERATIONS BY CATEGORY
EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS
JULY FINANCIAL PLAN - 2015 MID-YEAR FORECAST
OCTOBER 2015
(\$ in millions)

Generic Revenue or Expense Category	Non Reimb. or Reimb.	Current Month vs. Mid-Year Forecast			Year to Date vs. Mid-Year Forecast		
		Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
		\$	%		\$	%	
MATERIAL AND SUPPLIES	Non-Reimb	\$0.488	7.9%	Primarily reflects lower material usage for the Infrastructure Improvement Program.	(\$1.371)	(2.2%)	
	Reimb	\$2.101	71.5%	Reflects lower project activity for the following: C&S Restoration, Turnouts Mainline Program, Replace Timber Project and the Bronx Stations Program.	\$14.009	61.3%	Reflects lower project activity for the following: C-30 Track Program, CCO Shop Program, PTC, Turnouts Mainline Program, Replace Timbers Project and C&S Infrastructure Restoration.
OTHER BUSINESS EXPENSES	Non-Reimb	\$0.196	15.0%	Reflects lower NJT Subsidy payments partially offset by the timing of cost recoveries from Amtrak.	\$0.127	0.6%	
	Reimb	\$0.011	23.5%	Reflects timing of the M-9 Specification project.	\$0.167	35.5%	Reflects timing of the M-9 Specification project and the Anchor Bridge Substation replacement.
DEPRECIATION	Non-Reimb	\$0.582	3.1%	Reflects the timing of capitalization of assets.	(\$0.357)	(0.2%)	
ENVIRONMENTAL REMEDIATION	Non-Reimb	\$0.000	-		\$1.034	22.3%	Reflects the timing of projects requiring remediation and a true up adjustment for revised contracts.
OPERATING CAPITAL	Non-Reimb	\$3.149	72.5%	Reflects lower activity during the period on the GCT Service Elevator, Cameras/Audios for M8, Non-M8 and WoH Fleet, and Locomotive Simulators Upgrade projects partially offset by higher than forecasted activity on the Expand Real-Time Train Status Information project.	\$6.971	30.0%	Reflects lower activity during the period on the Locomotive Overhaul for 8 GP 35 Locos, Mobile Ticketing System Upgrade, Cameras/Audios for M8, Non-M8 and WoH Fleet, Demolition of Carey's Hole Space, and Avaya Software Upgrade projects partially offset by higher than forecasted activity on the Vehicle Fleet Replacement and Railtop Culvert Replacement projects.

* Variance exceeds 100%.

MTA Metro-North Railroad
July Financial Plan - 2015 Mid-Year Forecast
Non-Reimbursable/Reimbursable Overtime
(\$ in millions)

NON-REIMBURSABLE OVERTIME	October						October Year-to-Date					
	Mid-Year Forecast		Actuals		Var. - Fav./(Unfav)		Mid-Year Forecast		Actuals		Var. - Fav./(Unfav)	
	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$
<u>Scheduled Service</u> ¹	46,550	\$ 2.746	34,909	\$ 2.113	11,641	\$ 0.634 25.0% 23.1%	519,826	\$ 30.589	457,470	\$ 27.096	62,356	\$ 3.493 12.0% 11.4%
<u>Unscheduled Service</u>	0	\$ -	0	\$ -	0	\$ - - -	0	\$ -	0	\$ -	0	\$ - - -
<u>Programmatic/Routine Maintenance</u>	57,354	\$ 3.099	52,675	\$ 2.852	4,679	\$ 0.247 8.2% 8.0%	472,964	\$ 25.611	450,272	\$ 24.087	22,692	\$ 1.524 4.8% 6.0%
<u>Unscheduled Maintenance</u>	1,057	\$ 0.054	635	\$ 0.033	422	\$ 0.021 39.9% 38.9%	11,768	\$ 0.618	15,653	\$ 0.835	(3,885)	\$ (0.217) -33.0% (0.351)
<u>Vacancy/Absentee Coverage</u> ²	28,269	\$ 1.485	24,025	\$ 1.274	4,244	\$ 0.211 15.0% 14.2%	255,466	\$ 13.420	274,304	\$ 14.392	(18,838)	\$ (0.972) -7.4% -7.2%
<u>Weather Emergencies</u>	5,941	\$ 0.325	1,525	\$ 0.083	4,416	\$ 0.241 74.3% 74.2%	138,953	\$ 7.567	109,098	\$ 5.919	29,855	\$ 1.648 21.5% 21.8%
<u>Safety/Security/Law Enforcement</u> ³	0	\$ -	0	\$ -	0	\$ - - -	0	\$ -	0	\$ -	0	\$ - - -
<u>Other</u> ⁴	0	\$ (0.001)	0	\$ 0.220	0	\$ (0.222) - *	0	\$ 0.720	0	\$ (0.145)	0	\$ 0.865 - *
Subtotal	139,171	\$ 7.708	113,769	\$ 6.575	25,402	\$ 1.132 18.3% 14.7%	1,398,977	\$ 78.525	1,306,797	\$ 72.186	92,180	\$ 6.339 6.6% 8.1%
REIMBURSABLE OVERTIME	33,341	\$ 1.900	30,000	\$ 1.717	3,341	\$ 0.183 10.0% 9.6%	261,619	\$ 14.912	288,562	\$ 16.813	(26,943)	\$ (1.901) -10.3% -12.7%
TOTAL OVERTIME	172,512	\$ 9.608	143,769	\$ 8.292	28,743	\$ 1.315 16.7% 13.7%	1,660,596	\$ 93.437	1,595,359	\$ 88.999	65,237	\$ 4.438 3.9% 4.7%

Totals may not add due to rounding.

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

* Exceeds 100%

¹ Includes Service Delay and Tour Length related overtime.

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

³ Not Applicable

⁴ Reflects timing differences related to payroll and calendar cutoff dates.

MTA Metro-North Railroad
July Financial Plan - 2015 Mid-Year Forecast
Non-Reimbursable/Reimbursable Overtime
(\$ in millions)

	October			October Year To Date		
	Var. - Fav./(Unfav)		Explanations	Var. - Fav./(Unfav)		Explanations
	Hours	\$		Hours	\$	
NON-REIMBURSABLE OVERTIME						
<u>Scheduled Service</u> ¹	11,641	\$0.634	Higher staff availability due to newly graduated conductor classes available for service coverage as well as lower than anticipated attrition.	62,356	\$3.493	Higher staff availability due to newly graduated conductor classes available for service coverage as well as lower than anticipated attrition.
	25.0%	23.1%		12.0%	11.4%	
<u>Unscheduled Service</u>	0.0%	\$0.000		0.0%	\$0.000	
	-	-		-	-	
<u>Programmatic/Routine Maintenance</u>	4,679	\$0.247	Reflects lower requirements for the Infrastructure Improvement Program due to a reduced number of continuous track outages resulting in less night/weekend work.	22,692	\$1.524	Reflects lower requirements for the Infrastructure Improvement Program due to a reduced number of continuous track outages resulting in less night/weekend work.
	8.2%	8.0%		4.8%	6.0%	
<u>Unscheduled Maintenance</u>	422	\$0.021		(3,885)	(\$0.217)	Primarily due to coverage for the CSX derailment.
	39.9%	38.9%		-33.0%	-35.1%	
<u>Vacancy/Absentee Coverage</u> ²	4,244	\$0.211	Lower vacation, sick and vacancy coverage requirements.	(18,838)	(\$0.972)	Primarily due to vacation, sick and vacancy coverage for M of E and M of W must-fill positions.
	15.0%	14.2%		-7.4%	-7.2%	
<u>Weather Emergencies</u>	4,416	\$0.241	No severe weather events for the month.	29,855	\$1.648	No severe weather events for the last several months.
	74.3%	74.2%		21.5%	21.8%	
<u>Safety/Security/Law Enforcement</u> ³	0.0%	\$0.000		0.0%	\$0.000	
	-	-		-	-	
<u>Other</u> ⁴	0.0%	(\$0.222)	Reflects timing differences related to payroll and calendar cut-off dates.	0.0%	\$0.865	Reflects timing differences related to payroll and calendar cut-off dates.
	-	*		-	*	
Subtotal	25,402	\$1.132		92,180	\$6.341	
	18.3%	14.7%		6.6%	8.1%	
REIMBURSABLE OVERTIME	3,341	\$0.183	Reflects lower than anticipated project activity in the C-30 Track and NHL Bridge Timber Programs.	(26,943)	(\$1.901)	Reflects higher than anticipated project activity for the 2015 GCT Turnouts as well as the Overhead Bridge and C-29 Programs.
	10.0%	9.6%		-10.3%	-12.7%	
TOTAL OVERTIME	28,743	\$1.315		65,237	\$4.440	

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

* Exceeds 100%

¹ Includes Service Delay and Tour Length related overtime.

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

³ Not Applicable

⁴ Reflects timing differences related to payroll and calendar cutoff dates.

MTA METRO-NORTH RAILROAD
2015 Overtime Report
Overtime Legend

REVISED OVERTIME DECOMPOSITION LEGEND DEFINITIONS

<u>Type</u>	<u>Definition</u>
<i>Scheduled Service</i>	Crew book/Regular Run/Shift hours (above 8 hours) required by train crews, bus/tower/block operators, transportation supervisors/dispatchers, fare sales and collection, Train & Engineers, as well as non-transportation workers whose work is directly related to providing service (includes coverage for holidays).
<i>Unscheduled Service</i>	Service coverage resulting from extraordinary events not related to weather, such as injuries, mechanical breakdowns, unusual traffic, tour length, late tour relief, and other requirements that arise that are non-absence related.
<i>Programmatic/Routine Maintenance</i>	<i>Program Maintenance</i> work for which overtime is planned (e.g. Railroad Tie Replacement, Sperry Rail Testing, Running Board Replacement Programs). This also includes <i>Routine Maintenance</i> work for which OT has been planned, as well as all other maintenance <u>not resulting from extraordinary events</u> , including running repairs. Program/Routine maintenance work is usually performed during hours that are deemed more practical in order to minimize service disruptions, and includes contractual scheduled pay over 8 hours.
<i>Unscheduled Maintenance</i>	Resulting from an <u>extraordinary event</u> (not weather-related) requiring the use of unplanned maintenance to perform repairs on trains, buses, subway and bus stations, depots, tracks and administrative and other facilities, including derailments, tour length and weekend coverage.
<i>Vacancy/Absentee Coverage</i>	Provides coverage for an absent employee or a vacant position.
<i>Weather Emergencies</i>	Coverage necessitated by extreme weather conditions (e.g. snow, flooding, hurricane, and tornadoes), as well as preparatory and residual costs.
<i>Safety/Security/Law Enforcement</i>	Coverage required to provide additional customer & employee protection and to secure MTA fleet facilities, transportation routes, and security training.
<i>Other</i>	Reflects timing differences related to payroll and calendar cutoff dates.
<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 - 2015 MID-YEAR FORECAST
CASH RECEIPTS AND EXPENDITURES
(\$ in millions)

SCHEDULE III

	October 2015				Year-to-Date			
	Mid-Year Forecast	Actual	Favorable (Unfavorable)		Mid-Year Forecast	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent
<u>Receipts</u>								
Farebox Receipts	\$58.650	\$58.721	\$0.071	0.1	\$560.825	\$563.354	\$2.529	0.5
Toll Receipts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Receipts	18.010	7.293	(10.717)	(59.5)	85.563	63.229	(22.334)	(26.1)
<i>Capital & Other Reimbursements:</i>								
MTA	12.689	5.476	(7.213)	(56.8)	88.667	57.589	(31.078)	(35.1)
CDOT	6.136	0.003	(6.133)	(100.0)	59.085	57.257	(1.828)	(3.1)
Other	1.690	2.630	0.940	55.6	15.173	13.239	(1.934)	(12.7)
Total Capital and Other Reimbursements	20.515	8.109	(12.406)	(60.5)	162.925	128.085	(34.840)	(21.4)
Total Receipts	\$97.175	\$74.123	(\$23.052)	(23.7)	\$809.313	\$754.668	(\$54.645)	(6.8)
<u>Expenditures</u>								
<i>Labor:</i>								
Payroll	\$50.706	\$50.656	\$0.050	0.1	\$509.104	\$501.180	\$7.924	1.6
Overtime	14.163	8.297	5.866	41.4	103.825	104.331	(0.506)	(0.5)
Health and Welfare	9.177	12.613	(3.436)	(37.4)	95.168	99.217	(4.049)	(4.3)
OPEB Current Payment	1.825	2.498	(0.673)	(36.9)	21.151	22.848	(1.697)	(8.0)
Pensions	11.241	9.383	1.858	16.5	64.436	56.082	8.354	13.0
Other Fringe Benefits	8.485	9.214	(0.729)	(8.6)	113.011	120.155	(7.144)	(6.3)
GASB Account	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Reimbursable Overhead	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Total Labor	\$95.597	\$92.661	\$2.936	3.1	\$906.695	\$903.813	\$2.882	0.3
<i>Non-Labor:</i>								
Electric Power	\$6.321	\$6.401	(\$0.080)	(1.3)	\$75.362	\$68.998	\$6.364	8.4
Fuel	1.758	2.211	(0.453)	(25.7)	17.742	20.220	(2.478)	(14.0)
Insurance	6.108	1.617	4.491	73.5	23.378	18.651	4.727	20.2
Claims	10.064	0.332	9.732	96.7	39.522	13.401	26.121	66.1
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	10.084	7.490	2.594	25.7	95.265	81.843	13.422	14.1
Professional Service Contracts	5.194	1.755	3.439	66.2	37.533	26.965	10.568	28.2
Materials & Supplies	9.202	7.329	1.873	20.4	93.961	90.619	3.342	3.6
Other Business Expenditures	3.848	2.580	1.268	33.0	41.689	35.374	6.315	15.1
Total Non-Labor	\$52.580	\$29.715	\$22.865	43.5	\$424.453	\$356.071	\$68.382	16.1
<i>Other Adjustments:</i>								
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Post Employment Benefits	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Total Other Adjustments	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Expenditures	\$148.177	\$122.376	\$25.801	17.4	\$1,331.148	\$1,259.884	\$71.264	5.4
Net Cash Deficit (excludes Opening Cash Balance)	(\$51.002)	(\$48.253)	\$2.749	5.4	(\$521.834)	(\$505.216)	\$16.618	3.2
<u>Subsidies</u>								
MTA	39.489	28.955	(10.534)	(26.7)	393.894	386.126	(7.768)	(2.0)
CDOT	11.512	9.797	(1.715)	(14.9)	122.023	116.713	(5.310)	(4.4)
Total Subsidies	\$51.002	\$38.752	(\$12.250)	(24.0)	\$515.917	\$502.839	(\$13.078)	(2.5)
Cash Timing and Availability Adjustment	\$0.000	\$7.687	\$7.687	-	\$5.918	\$5.127	(\$0.791)	(13.4)

-- Results are preliminary and subject to audit review.

-- Differences are due to rounding.

* Variance exceeds 100%.

MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2015 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, 2015		
	Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
	\$	%		\$	%	
OTHER OPERATING REVENUE	(10.717)	(59.5%)	Timing of anticipated claim reimbursement from FMTAC combined with timing of cash receipts for Holiday Fair and higher percentage of sales revenue partially offset by receipt of Inter-Agency revenue from NYCTA for 2014 and Q1 of 2015.	(22.334)	(26.1%)	Timing of anticipated claim reimbursement from FMTAC partially offset by timing of Amtrak reimbursement.
CAPITAL AND OTHER REIMBURSEMENTS:						
MTA	(7.213)	(56.8%)	Lower cash receipts due to timing of payments combined with lower capital related project activity.	(31.078)	(35.1%)	Lower cash receipts due to timing of payments combined with lower capital related project activity.
CDOT	(6.133)	(100.0%)	Lower cash receipts due to timing of payments combined with lower capital related project activity.	(1.827)	(3.1%)	
OTHER	0.940	55.6%	Timing of Tappan Zee Construction prepayment.	(1.935)	(12.8%)	Lower cash receipts due to lower capital related project activity partially offset by timing of payments.
OVERTIME	5.866	41.4%	Timing of payments combined with lower scheduled service, programmatic maintenance and no weather emergencies.	(0.506)	(0.5%)	
HEALTH & WELFARE	(3.437)	(37.5%)	Timing of Dental/Vision and Connecticare health insurance premiums.	(4.049)	(4.3%)	
OPEB CURRENT PAYMENT	(0.673)	(36.9%)	Timing of retiree health benefit payments.	(1.697)	(8.0%)	Timing of retiree health benefit payments.
PENSIONS	1.858	16.5%	Lower than forecasted rates.	8.353	13.0%	Lower than forecasted rates.
OTHER FRINGE BENEFITS	(0.729)	(8.6%)	Timing of unemployment and Tier I & II payroll taxes.	(7.144)	(6.3%)	Timing of Tier I & II payroll taxes, employee claims (FELA) and unemployment insurance.
ELECTRIC POWER	(0.080)	(1.3%)		6.364	8.4%	Lower electric rates on all lines partially offset by timing of payments.
FUEL	(0.453)	(25.7%)	Timing of payments partially offset by lower diesel fuel price per gallon.	(2.478)	(14.0%)	Timing of payments partially offset by lower diesel fuel price per gallon.
INSURANCE	4.491	73.5%	Timing of All Agency-Catastrophic Bond, Station Liability, Excess Liability and All Agency Property premiums.	4.727	20.2%	Timing of All Agency Property, All Agency-Catastrophic Bond and Excess Liability premiums.
CLAIMS	9.732	25.7%	Timing of claim payments for Spuyten Duyvil and Bridgeport incidents.	26.121	14.1%	Timing of claim payments for Spuyten Duyvil and Bridgeport incidents.

MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2015 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, 2015		
	Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
	\$	%		\$	%	
MAINTENANCE & OTHER OPERATING CONTRACTS	2.594	25.7%	Timing of operating capital related projects (Vehicle Replacement, Furniture for CCO Shop, GCT-Apple Elevator and Upgrade Locomotive Simulators), Real Estate Management Services and Real Estate Rentals.	13.422	14.1%	Timing of capital related projects (Locomotive Overhaul, Demolition of Carey's Hole Space, Furniture for CCO Shop, GCT Leaks Remediation, Rehab over Merritt Pkwy Bridge, Real-Time Information System and Haverstraw - Ossining Ferry), Real Estate Rentals, Maint. & Repair and Track Leases.
PROFESSIONAL SERVICE CONTRACTS	3.439	66.2%	Timing of capital related projects (West of Hudson Camera Installation, Component Change Out Shop, Cameras/Audio for Fleet) and Engineering Services.	10.568	28.2%	Timing of payments for Engineering Services, NHL BSC Costs and capital related projects (Component Change Out Shop and Cameras/Audio for Fleet).
MATERIALS & SUPPLIES	1.873	20.4%	Timing of Truck Suspension, Friction Brake, Oil/Lubricants and Other Materials & Supplies.	3.341	3.6%	
OTHER BUSINESS EXPENSES	1.268	33.0%	Reclass of technology costs from MNR to MTA Headquarters.	6.315	15.2%	Reclass of YTD technology costs from MNR to MTA Headquarters combined with lower NJT subsidy, stationary & office supplies and timing of CSX Recovery.
MTA SUBSIDY RECEIPTS	(10.534)	(26.7%)	Impact of cash balances and lower cash deficit partially offset by lower CDOT subsidy.	(7.768)	(2.0%)	
CDOT SUBSIDY RECEIPTS	(1.715)	(14.9%)	Lower estimated monthly deficit than forecasted offset by timing of admin asset payment.	(5.310)	(4.4%)	Lower estimated deficits of prior months than forecasted offset by timing of admin asset payment.

* Variance exceeds 100%

MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2015 MID-YEAR FORECAST
CASH CONVERSION (CASH FLOW ADJUSTMENT)
(\$ in millions)

	October 2015				Year-to-Date			
			Favorable (Unfavorable)				Favorable (Unfavorable)	
	Mid-Year Forecast	Actual	Variance	Percent	Mid-Year Forecast	Actual	Variance	Percent
Receipts								
Farebox Revenue	\$0.398	(\$0.280)	(\$0.678)	*	\$2.779	\$3.921	\$1.142	41.1
Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	11.398	2.234	(9.164)	(80.4)	34.403	12.409	(21.993)	(63.9)
Capital & Other Reimbursements:		0.000			0.000	0.000		
MTA	1.286	(7.793)	(9.079)	*	(4.144)	(41.419)	(37.275)	*
CDOT	(0.890)	(5.021)	(4.131)	*	5.719	8.135	2.416	42.3
Other	0.139	(0.773)	(0.912)	*	1.814	(2.148)	(3.962)	*
Total Capital and Other Reimbursements	0.535	(13.587)	(14.122)	*	3.389	(35.432)	(38.821)	*
Total Revenue/Receipts	\$12.331	(\$11.633)	(\$23.964)	*	\$40.570	(\$19.102)	(\$59.672)	*
Expenditures								
<i>Labor:</i>								
Payroll	(\$6.509)	(\$6.500)	\$0.009	0.1	(\$83.113)	(\$70.944)	\$12.169	14.6
Overtime	(4.554)	(0.005)	4.549	99.9	(10.387)	(15.332)	(4.945)	(47.6)
Health and Welfare	0.342	(2.555)	(2.897)	*	(4.026)	(7.952)	(3.927)	(97.5)
OPEB Current Payment	0.239	(0.252)	0.000		(0.479)	(0.089)	0.391	81.5
Pensions	(2.703)	(2.093)	0.610	22.6	16.795	20.646	3.851	22.9
Other Fringe Benefits	1.769	3.389	1.620	91.6	(13.061)	(10.618)	2.443	18.7
GASB Account	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Reimbursable Overhead	(0.210)	(0.813)	(0.603)	*	(1.012)	(0.888)	0.124	12.3
Total Labor	(\$11.625)	(\$8.828)	\$2.797	24.1	(\$95.283)	(\$85.177)	\$10.106	10.6
<i>Non-Labor:</i>								
Electric Power	(\$0.654)	(\$0.907)	(\$0.253)	(38.7)	(\$0.249)	(\$1.062)	(\$0.813)	*
Fuel	0.291	(0.746)	(1.037)	*	0.273	(4.693)	(4.966)	*
Insurance	(3.984)	0.756	4.740	*	(3.804)	0.461	4.266	*
Claims	(9.966)	(0.295)	9.671	97.0	(38.806)	(12.118)	26.689	68.8
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	0.177	2.063	1.886	*	3.050	6.054	3.004	98.5
Professional Service Contracts	(0.615)	1.643	2.258	*	(2.894)	2.863	5.757	*
Materials & Supplies	(0.066)	(0.781)	(0.716)	*	(8.819)	(18.115)	(9.296)	*
Other Business Expenses	(2.497)	(1.436)	1.061	42.5	(19.103)	(13.083)	6.021	31.5
Total Non-Labor	(\$17.314)	\$0.297	\$17.611	*	(\$70.353)	(\$39.692)	\$30.661	43.6
<i>Other Adjustments:</i>								
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Total Other Adjustments	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Expenditures Adjustments before Non-Cash Liability Adjs.								
	(\$28.939)	(\$8.531)	\$20.407	70.5	(\$165.636)	(\$124.869)	\$40.767	24.6
Depreciation	19.021	18.439	(0.582)	(3.1)	188.165	188.522	0.357	0.2
OPEB Obligation	5.693	5.693	0.000	0.0	56.930	56.930	0.000	0.0
Environmental Remediation	0.000	0.000	0.000	-	4.643	3.609	(1.034)	22.3
Total Expenditures Adjustments	(\$4.225)	\$15.600	\$19.825	*	\$84.102	\$124.193	\$40.091	47.7
Total Cash Conversion Adjustments	\$8.106	\$3.968	(\$4.139)	(51.1)	\$124.672	\$105.091	(\$19.582)	(15.7)

Notes:
-- Results are based on the preliminary close of the general ledger and are subject to review and adjustment. Please note that the current months' actuals do not include post-close adjustments, which will be captured in the subsequent month's YTD results.
-- Differences are due to rounding.
* Variance exceeds 100%.

MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2015 MID-YEAR FORECAST
UTILIZATION
(in millions)

	Month of October		Variance		Year-to-Date October		Variance	
	MYF	Actual	Fav (Unfav) Amount	%	MYF	Actual	Fav (Unfav) Amount	%
<u>Farebox Revenue</u>								
Harlem Line	\$17.401	\$17.702	\$0.302	1.7	\$165.778	\$166.679	\$0.901	0.5
Hudson Line	\$12.845	\$13.025	\$0.180	1.4	\$121.477	\$121.572	\$0.095	0.1
New Haven Line	\$27.968	\$28.244	\$0.276	1.0	\$270.450	\$270.877	\$0.427	0.2
Total Farebox Revenue	\$58.214	\$58.972 ⁽¹⁾	\$0.757	1.3	\$557.705	\$559.129 ⁽¹⁾	\$1.423	0.3
<u>Ridership</u>								
Harlem Line	2.443	2.472	0.029	1.2	22.734	22.822	0.087	0.4
Hudson Line	1.455	1.468	0.013	0.9	13.689	13.669	(0.021)	-0.2
New Haven Line	3.576	3.573	(0.003)	-0.1	33.486	33.436	(0.050)	-0.2
Total Ridership East of Hudson	7.473	7.513	0.040	0.5	69.910	69.926	0.016	0.0
West of Hudson	0.158	0.153 ⁽²⁾	(0.005)	-3.3	1.473	1.459 ⁽²⁾	(0.013)	-0.9
Total Ridership	7.631	7.666	0.035	0.5	71.383	71.386	0.003	0.0

(1) Excludes West of Hudson Mail & Ride revenue totaling \$0.029 million for the month and \$0.304 million year-to-date.

(2) West of Hudson for the month and year-to-date is an average of the last 4 months. Actual information was not available at the time of the report.

East of Hudson:

East of Hudson ridership for the month reflected an increase of 0.5% or 40K rides as compared to the Forecast:

- Harlem Line had a 1.2% increase due to higher than projected non-commutation growth
- Hudson Line had a 0.9% increase due to higher than projected non-commutation growth
- New Haven Line reflected a decrease of 0.1% due lower than projected non-commutation
- Compared to October 2014, East of Hudson ridership was up by 2.3%

YTD East of Hudson ridership was overall on target to the Forecast:

- Harlem Line was 0.4% higher due to both higher commutation and non-commutation growth
- Hudson Line was 0.2% lower due to lower commutation rides
- New Haven Line was 0.2% lower due to lower non-commutation rides
- Compared to YTD October 2014, East of Hudson ridership was up by 1.5%

Commutation ridership as compared to the Forecast was:

- Overall on target for the month to the Forecast
- YTD Commutation was on target to the Forecast
- Compared to YTD October 2014, commutation ridership was 0.9% higher

Non-commutation ridership as compared to the Forecast was:

- 1.2% higher for the month reflecting higher than projected growth on the Harlem and Hudson Lines
- Overall, YTD Non-Commutation was on target to the forecast
- Compared to YTD October 2014, non-commutation ridership was 2.3% higher

West of Hudson:

West of Hudson ridership as compared to the Forecast was:

- 3.3% lower for the month and 0.9% lower YTD

MTA METRO-NORTH RAILROAD
2015 MID-YEAR FORECAST VS. ACTUALS
TOTAL FULL-TIME POSITIONS AND FULL-TIME EQUIVALENTS
October 31, 2015

<u>Department</u>	<u>Mid-Year Forecast</u>	<u>Actual</u>	<u>Favorable (Unfavorable) Variance</u>
Administration			
President	4	4	-
Labor Relations	18	16	2
Safety/Security (1)(2)	67	57	11
COS/Corporate & Public Affairs (3)	18	22	(4)
Legal	19	17	2
Claims Services	14	13	1
Environmental Compliance & Svce	8	7	1
VP Human Resources	4	4	0
Human Resources (4)	38	33	5
Training (1)	97	62	35
Employee Relations & Diversity	6	6	-
VP Planning	2	2	-
Operations Planning & Analysis	21	20	1
Capital Planning & Programming	14	10	4
GCT & Corporate Development (3)	32	24	8
Long Range Planning	8	7	1
VP Finance & Information Systems	4	1	3
Controller	77	75	2
Budget	20	17	3
Customer Service	49	45	4
Procurement & Material Mgmt	35	30	5
Total Administration	555	471	84
Operations			
Operations Administration (4)	86	77	9
Transportation (5)(6)	1,492	1,497	(5)
Customer Service (4)	232	224	9
GCT & Corporate Development (4)	36	30	6
Metro-North West (7)	28	30	(2)
Total Operations	1,874	1,857	17
Maintenance			
GCT & Corporate Development (4)	172	156	16
Maintenance of Equipment (1)(4)	1,693	1,610	83
Maintenance of Way (1)	1,970	1,865	105
Procurement & Material Mgmt	123	120	4
Total Maintenance	3,958	3,751	207
Engineering/Capital			
Construction Management (8)	35	36	(1)
Engineering & Design (3)	65	66	(1)
Total Engineering/Capital	100	102	(2)
Total Positions	6,487	6,181	306
Non-Reimbursable	5,705	5,706	(1)
Reimbursable	782	475	307
Total Full-Time	6,486	6,180	306
Total Full-Time-Equivalents	1	1	-

(1) Variance reflects new vacant positions.

(2) Reflects the combination of the Safety and Security departments.

(3) Variance reflects the transfer of positions from GCT and Corporate Development to the COS/Corporate & Public Affairs and Engineer & Design departments as a result of the GCT and Corporate Development reorganization.

(4) Variance reflects existing vacant positions.

(5) Please note that the Transportation department has recently undergone a name change and was formerly known as Operation Services.

(6) Variance reflects lower attrition than planned as well as employees in training not ready for service.

(7) Metro-North West unfavorable variance is due to the transfer of Maintenance of Way OT&E staff on various West of Hudson projects.

(8) Variance reflects earlier hiring of positions than planned. (Paid positions are within authorized levels.)

MTA METRO-NORTH RAILROAD
2015 MID-YEAR FORECAST VS. ACTUALS
TOTAL FULL-TIME POSITIONS AND FULL-TIME EQUIVALENTS
October 31, 2015

FUNCTION/OCCUPATION	Mid-Year Forecast	Actual	Favorable (Unfavorable) Variance
Administration (1)			
Managers/Supervisors	154	138	16
Professional, Technical, Clerical	401	333	68
Operational Hourlies	-	-	-
Total Administration	555	471	84
Operations (1)			
Managers/Supervisors	228	211	17
Professional, Technical, Clerical	190	174	17
Operational Hourlies	1,456	1,473	(16)
Total Operations	1,874	1,857	17
Maintenance (1)			
Managers/Supervisors	619	574	44
Professional, Technical, Clerical	518	483	34
Operational Hourlies	2,822	2,694	128
Total Maintenance	3,958	3,751	207
Engineering/Capital			
Managers/Supervisors	42	39	3
Professional, Technical, Clerical	58	63	(5)
Operational Hourlies	-	-	-
	100	102	(2)
Public Safety			
Managers/Supervisors	-	-	-
Professional, Technical, Clerical	-	-	-
Operational Hourlies	-	-	-
Total Public Safety	-	-	-
Total Positions			
Managers/Supervisors	1,043	962	80
Professional, Technical, Clerical	1,167	1,053	114
Operational Hourlies	4,278	4,166	112
Total Positions	6,487	6,181	306

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
2015 MID-YEAR FORECAST VS. ACTUALS**

October 31, 2015

Agency-wide (Non-Reimbursable and Reimbursable)	Mid-Year Forecast	Actual	Favorable (Unfavorable) Variance	Explanation of Variances
<i>Functional Classification:</i>				
Operations (1)	1,874	1,857	17	
Maintenance (1)	3,958	3,751	207	Reflects vacant positions in Maintenance of Way (managers, engineers, directors, electrical workers, plumbers and tinsmith) and Maintenance of Equipment (technicians, directors, foreman, electricians, machinists and laborers) which are under active recruitment. Vacancies are driven by a high degree of internal transfers in filling open jobs which has extended the time of reducing vacant positions.
Administration (1)	555	471	84	Vacancies reflect timing differences in hiring of newly created positions in the Training and Safety departments.
Engineering / Capital	100	102	(2)	
Total Agency-wide Headcount	6,487	6,181	306	
Non-Reimbursable	5,705	5,706	(1)	Reflects a transfer of reimbursable Maintenance of Way positions to perform operating work.
Reimbursable	782	475	307	

Notes

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

**MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2015 MID-YEAR FORECAST
MONTHLY PERFORMANCE INDICATORS *
OCTOBER 2015**

	MONTH			VARIANCE	
	2015	MYF	2014	MYF	2014
Farebox Operating Ratio					
Standard ⁽¹⁾	66.3%	58.2%	58.8%	8.1%	7.5%
Adjusted ⁽²⁾	74.8%	66.7%	67.5%	8.1%	7.3%
Cost per Passenger					
Standard ⁽¹⁾	\$11.99	\$13.53	\$12.78	\$1.54	\$0.79
Adjusted ⁽²⁾	\$11.70	\$13.33	\$12.35	\$1.63	\$0.65
Passenger Revenue/Passenger ⁽³⁾	\$7.95	\$7.88	\$7.52	\$0.07	\$0.43
	YEAR-TO-DATE			VARIANCE	
	2015	MYF	2014	MYF	2014
Farebox Operating Ratio					
Standard ⁽¹⁾	59.3%	57.1%	53.4%	2.2%	5.9%
Adjusted ⁽²⁾	66.8%	64.2%	59.8%	2.6%	7.0%
Cost per Passenger					
Standard ⁽¹⁾	\$13.65	\$14.12	\$14.74	\$0.47	\$1.09
Adjusted ⁽²⁾	\$13.36	\$13.86	\$14.48	\$0.50	\$1.12
Passenger Revenue/Passenger ⁽³⁾	\$8.09	\$8.06	\$7.87	\$0.03	\$0.22

(1) Standard Farebox Operating Ratio and Cost Per Passenger indicators reflect MTA-wide adopted calculations that exclude non-cash liability adjustments: Depreciation, Other Post Employment Benefits, Environmental Remediation (GASB-49), and the NHL share of MTA Police and Business Service Center costs.

(2) Adjusted Fare Operating Ratio and Cost Per Passenger indicators have been adjusted for comparability between Metro-North and the LIRR and are being presented only at the railroad operating committees. These adjustments are not being used MTA-wide. Adjustments have been made to reflect all operating revenues and significant financial impacts that are outside management's control. These adjustments include: Inclusion of Other Operating Revenue, Removal of OPEB retiree expenses, and Inclusion of estimated farebox revenue from an equalization of the Connecticut fare structure.

(3) Includes Commissary Services.

* Includes East and West of Hudson revenues and expenses.

2014 actual results include the impact of the retroactive wage adjustment consistent with the Commuter Rail Labor - July 17th Agreement with LIRR.



Metro-North Railroad

Ridership Report

December 2015

OCTOBER 2015 RIDERSHIP & REVENUE REPORT

MTA METRO-NORTH RAILROAD

EXECUTIVE SUMMARY

October Ridership and Revenue (millions)

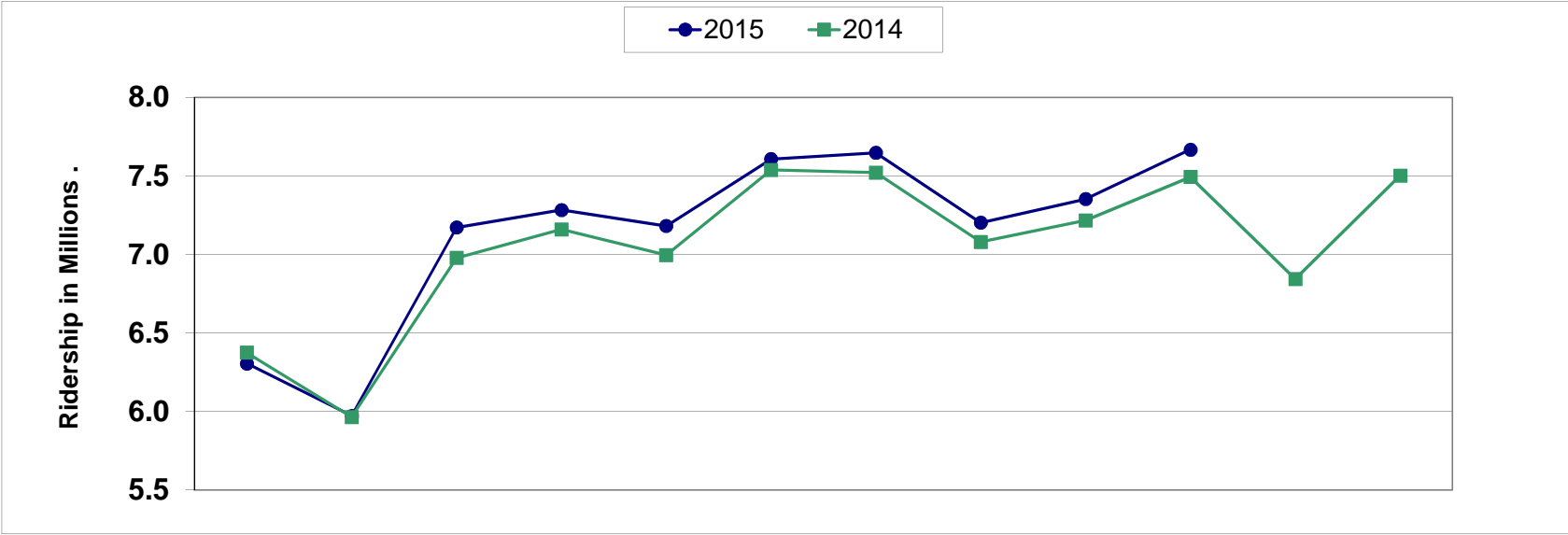
	October 2015	% Change vs. 2014
Total Rail Ridership	7.668	+2.3% ▲
Commutation Ridership	4.498	+1.3% ▲
Non-Commutation Ridership	3.170	+3.8% ▲
Connecting Service Ridership	0.051	+3.3% ▲
Total MNR System Ridership	7.719	+2.3% ▲
Rail Revenue	\$60.3	+6.0% ▲

Year-to-Date to October Ridership and Revenue (millions)

	YTD 2015	% Change vs. 2014	Comparison to Forecast
Total Rail Ridership	71.388	+1.5% ▲	+0.0% ▲
Commutation Ridership	41,257	+0.9% ▲	+0.0% ▲
Non-Commutation Ridership	30.131	+2.4% ▲	+0.1% ▲
Connecting Service Ridership	0.465	+3.8% ▲	+3.0% ▲
Total MNR System Ridership	71.853	+1.5% ▲	0.0% ▲
Rail Revenue	\$571.6	+4.1% ▲	-0.4% ▼

OCTOBER RAIL RIDERSHIP ⁽¹⁾

- October's Total Rail Ridership was 2.3% above 2014 and 0.5% above forecast.

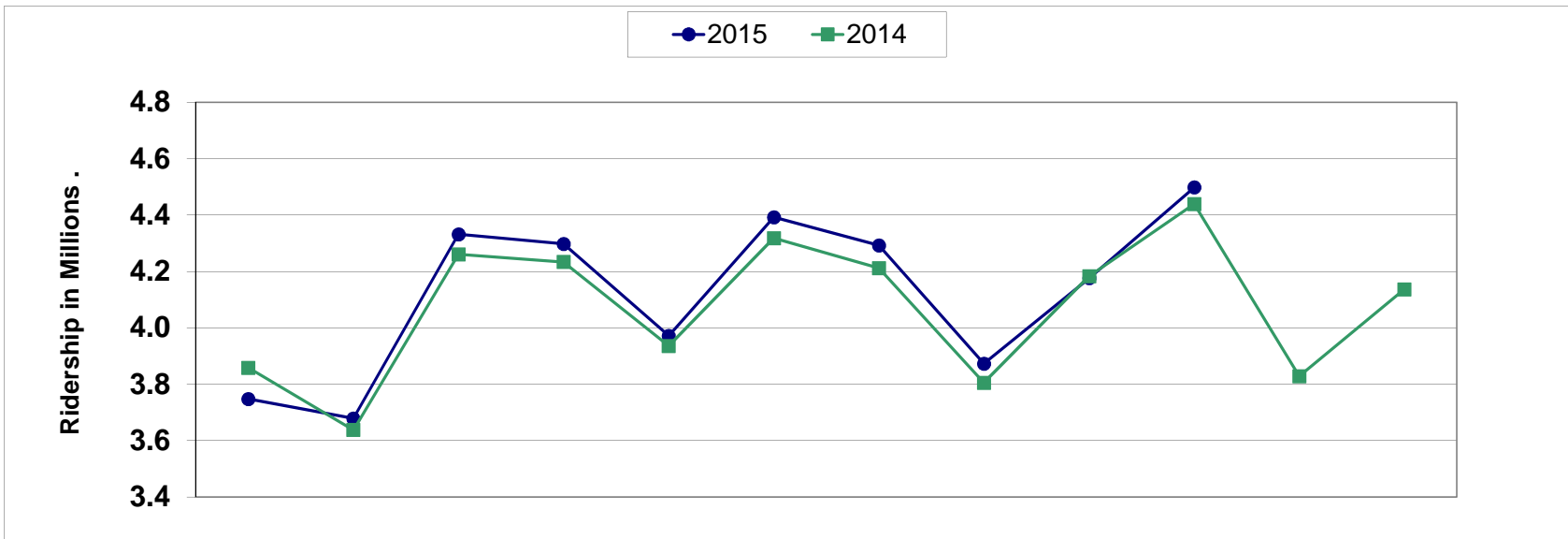


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2015	6.3	6.0	7.2	7.3	7.2	7.6	7.6	7.2	7.4	7.7			71.4
2014	6.4	6.0	7.0	7.2	7.0	7.5	7.5	7.1	7.2	7.5	6.8	7.5	70.3
PCT CHG.	-1.1%	0.1%	2.8%	1.7%	2.7%	0.9%	1.7%	1.7%	1.9%	2.3%			1.5%

1) Includes East and West of Hudson.

OCTOBER RAIL COMMUTATION RIDERSHIP ⁽¹⁾

- October's Rail Commutation Ridership was 1.3% above 2014 and unchanged vs.forecast.

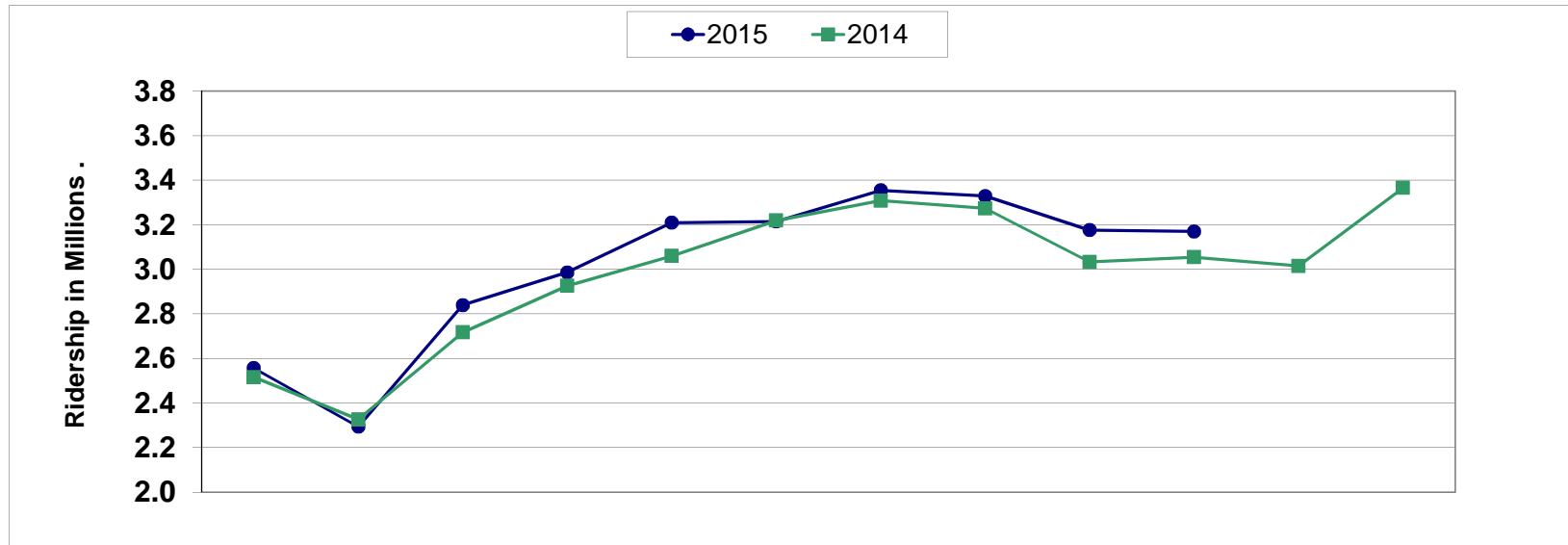


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2015	3.7	3.7	4.3	4.3	4.0	4.4	4.3	3.9	4.2	4.5			41.3
2014	3.9	3.6	4.3	4.2	3.9	4.3	4.2	3.8	4.2	4.4	3.8	4.1	40.9
PCT CHG.	-2.9%	1.1%	1.7%	1.5%	0.9%	1.7%	1.9%	1.8%	-0.2%	1.3%			0.9%

1) Includes East and West of Hudson.

OCTOBER RAIL NON-COMMUTATION RIDERSHIP ⁽¹⁾

- October's Rail Non-Commutation Ridership was 3.8% above 2014 and 1.2% above forecast.

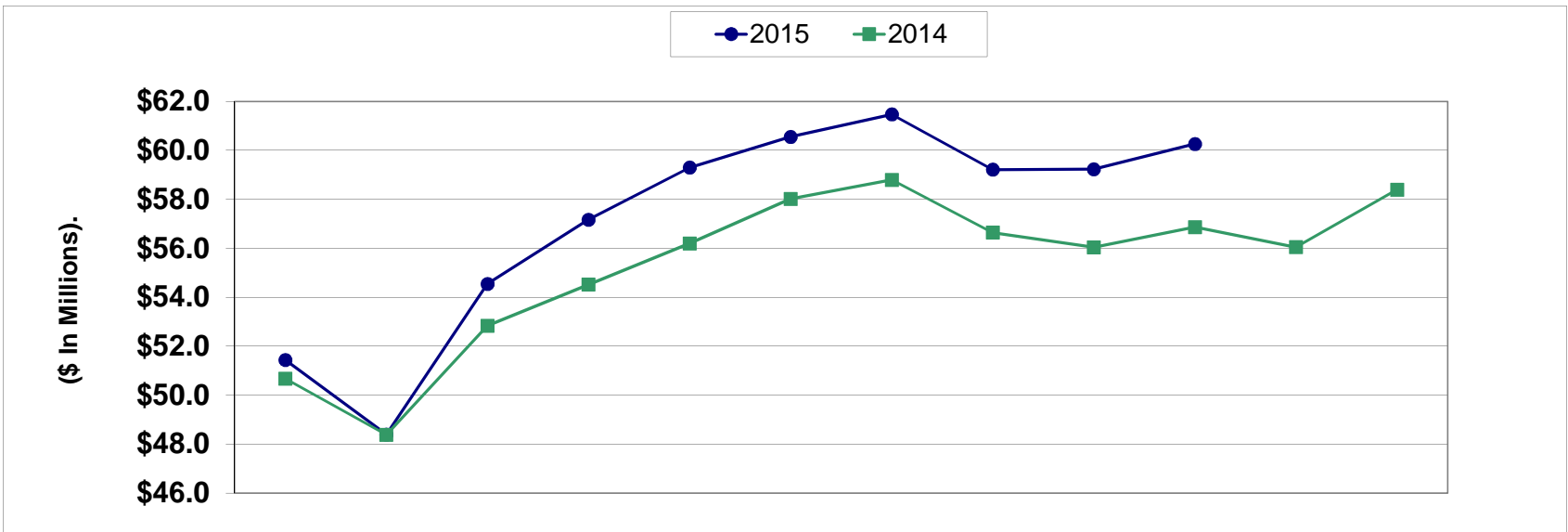


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2015	2.6	2.3	2.8	3.0	3.2	3.2	3.4	3.3	3.2	3.2			30.1
2014	2.5	2.3	2.7	2.9	3.1	3.2	3.3	3.3	3.0	3.1	3.0	3.4	29.4
PCT CHG.	1.6%	-1.4%	4.5%	2.1%	4.9%	-0.1%	1.4%	1.7%	4.7%	3.8%			2.4%

1) Includes East and West of Hudson.

OCTOBER RAIL REVENUE⁽¹⁾

- October's Total Rail Revenue was 6.0% above 2014 and 0.7% above forecast.



	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2015	\$51.4	\$48.4	\$54.5	\$57.2	\$59.3	\$60.6	\$61.5	\$59.2	\$59.2	\$60.3			\$571.6
2014	\$50.7	\$48.4	\$52.8	\$54.5	\$56.2	\$58.0	\$58.8	\$56.6	\$56.0	\$56.9	\$56.0	\$58.4	\$549.0
PCT CHG.	1.5%	0.0%	3.2%	4.9%	5.5%	4.4%	4.6%	4.5%	5.7%	6.0%			4.1%

1) Includes East and West of Hudson.

MTA METRO-NORTH RAILROAD RIDERSHIP SUMMARY OCTOBER 2015

TICKET TYPE/SERVICE	OCTOBER 2015 ACTUAL	OCTOBER 2015 MID-YEAR	VARIANCE VS. MID-YEAR		OCTOBER 2014 RESTATE ⁽¹⁾	CHANGE FROM 2014	
			AMOUNT	PERCENT		AMOUNT	PERCENT
RAIL COMMUTATION RIDERSHIP							
East of Hudson	4,408,935	4,406,772	2,163	0.0%	4,351,006	57,929	1.3%
West of Hudson	88,960	93,296	(4,336)	-4.6%	87,625	1,335	1.5%
Total Rail Commutation Ridership	4,497,895	4,500,068	(2,173)	0.0%	4,438,631	59,264	1.3%
RAIL NON-COMMUTATION RIDERSHIP							
East of Hudson	3,104,196	3,066,390	37,806	1.2%	2,994,206	109,990	3.7%
West of Hudson	65,569	64,544	1,025	1.6%	60,125	5,444	9.1%
Total Rail Non-Commutation Ridership	3,169,765	3,130,934	38,831	1.2%	3,054,331	115,434	3.8%
TOTAL RAIL RIDERSHIP							
East of Hudson	7,513,131	7,473,162	39,969	0.5%	7,345,212	167,919	2.3%
West of Hudson	154,529	157,840	(3,311)	-2.1%	147,750	6,779	4.6%
TOTAL RAIL RIDERSHIP	7,667,660	7,631,002	36,658	0.5%	7,492,962	174,698	2.3%
CONNECTING SERVICES RIDERSHIP ⁽²⁾	51,484	50,227	1,257	2.5%	49,821	1,663	3.3%
TOTAL MNR SYSTEM RIDERSHIP	7,719,144	7,681,229	37,915	0.5%	7,542,783	176,361	2.3%

Notes:

1) 2014 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 2015 YEAR-TO-DATE

TICKET TYPE/SERVICE	2015 YTD ACTUAL	2015 YTD MID-YEAR	VARIANCE VS. MID-YEAR		2014 YTD RESTATE ⁽¹⁾	CHANGE FROM 2014	
			AMOUNT	PERCENT		AMOUNT	PERCENT
RAIL COMMUTATION RIDERSHIP							
East of Hudson	40,423,289	40,409,041	14,248	0.0%	40,068,409	354,880	0.9%
West of Hudson	833,477	858,010	(24,533)	-2.9%	811,603	21,874	2.7%
Total Rail Commutation Ridership	41,256,766	41,267,051	(10,285)	0.0%	40,880,012	376,754	0.9%
RAIL NON-COMMUTATION RIDERSHIP							
East of Hudson	29,503,158	29,501,372	1,786	0.0%	28,843,859	659,299	2.3%
West of Hudson	627,805	614,516	13,289	2.2%	590,889	36,916	6.2%
Total Rail Non-Commutation Ridership	30,130,963	30,115,888	15,075	0.1%	29,434,748	696,215	2.4%
TOTAL RAIL RIDERSHIP							
East of Hudson	69,926,447	69,910,413	16,034	0.0%	68,912,268	1,014,179	1.5%
West of Hudson	1,461,282	1,472,526	(11,244)	-0.8%	1,402,492	58,790	4.2%
TOTAL RAIL RIDERSHIP	71,387,729	71,382,939	4,790	0.0%	70,314,760	1,072,969	1.5%
CONNECTING SERVICES RIDERSHIP ⁽²⁾	465,544	452,198	13,346	3.0%	448,438	17,106	3.8%
TOTAL MNR SYSTEM RIDERSHIP	71,853,273	71,835,137	18,136	0.0%	70,763,198	1,090,075	1.5%

Notes:

1) 2014 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 2015

LINE	OCTOBER 2015 ACTUAL	OCTOBER 2014 RESTATE ⁽¹⁾	CHANGE FROM 2014	
			AMOUNT	PERCENT
EAST OF HUDSON				
Harlem Line	2,472,035	2,412,650	59,385	2.5%
Hudson Line	1,468,000	1,435,982	32,018	2.2%
New Haven Line	3,573,096	3,496,580	76,516	2.2%
Total East of Hudson	7,513,131	7,345,212	167,919	2.3%
WEST OF HUDSON				
Port Jervis Line	93,069	89,635	3,434	3.8%
Pascack Valley Line	61,460	58,115	3,345	5.8%
Total West of Hudson	154,529	147,750	6,779	4.6%
TOTAL RAIL RIDERSHIP	7,667,660	7,492,962	174,698	2.3%
CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS				
Hudson Rail Link	33,983	31,403	2,580	8.2%
Haverstraw-Ossining Ferry	11,723	11,193	530	4.7%
Newburgh-Beacon Ferry	5,778	7,225	(1,447)	-20.0%
Total Connecting Services	51,484	49,821	1,663	3.3%
TOTAL MNR SYSTEM	7,719,144	7,542,783	176,361	2.3%

Notes:

1) 2014 ridership figures have been restated to eliminate calendar impacts on ridership.

MTA METRO-NORTH RAILROAD

RIDERSHIP BY LINE

2015 YEAR-TO-DATE

TICKET TYPE/SERVICE	2015 YTD ACTUAL	2014 YTD RESTATE ⁽¹⁾	CHANGE FROM 2014	
			AMOUNT	PERCENT
EAST OF HUDSON				
Harlem Line	22,821,772	22,538,687	283,085	1.3%
Hudson Line	13,668,546	13,516,670	151,876	1.1%
New Haven Line	33,436,129	32,856,911	579,218	1.8%
Total East of Hudson	69,926,447	68,912,268	1,014,179	1.5%
WEST OF HUDSON				
Port Jervis Line	870,643	848,899	21,744	2.6%
Pascack Valley Line	590,639	553,593	37,046	6.7%
Total West of Hudson	1,461,282	1,402,492	58,790	4.2%
TOTAL RAIL RIDERSHIP	71,387,729	70,314,760	1,072,969	1.5%
CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS				
Hudson Rail Link	316,792	303,453	13,339	4.4%
Haverstraw-Ossining Ferry	98,047	92,961	5,086	5.5%
Newburgh-Beacon Ferry	50,705	52,024	(1,319)	-2.5%
Total Connecting Services	465,544	448,438	17,106	3.8%
TOTAL MNR SYSTEM	71,853,273	70,763,198	1,090,075	1.5%

Notes:

1) 2014 ridership figures have been restated to eliminate calendar impacts on ridership.



Metro-North Railroad

Capital Program Report

December 2015

CAPITAL PROGRAM

HIGHLIGHTS

December 14, 2015

STATIONS/PARKING/FACILITIES

Station Building Renewal Projects

- *Port Chester Station Elevator Design (outbound side of Port Chester Station)* – The 90% design is in development and scheduled for submission in January 2016. Elevator construction is planned to commence in the third quarter of 2016 with completion in the third quarter of 2017.
- *Hartsdale Window and Exterior Renovations (contract is under the Small Business Mentoring Program)* – Window sashes installation has been completed. Curb repairs and ADA ramp installation are expected to commence in December 2015. Door saddle replacements will commence in the first quarter of 2016.

Fordham Station Improvements

Work at the station's platforms includes:

Inbound: Completed installation of concrete curb at the boiler room, and fire alarm & wiring for rehabilitated inbound elevator. Installation of HVAC ductwork for the inbound elevator machine room and inbound stair window glass is in progress and is expected to be completed in January 2016.

Outbound: Completed outbound elevator repair/replacement, electrical and communication precast building, artwork on the platform fence, and placement of concrete for the remaining balance of platform. Installation continues for: HVAC for outbound elevator machine room; platform windscreen and passenger shelter; removal of existing canopy columns; and permanent conduit and wiring in the south tunnel. Installation of new stair and canopy will commence in early December 2015.

Overall project is scheduled to be completed in second quarter 2016.

Strategic Facilities – Replacement of Prospect Hill Road Bridge (Southeast Station)

Design has commenced. Field investigation is underway which includes: surveys, borings, wetland delineation and environmental investigation.

POWER

Power, Communication & Signals Infrastructure Restoration Phase I – Sandy (Design-Build)

Progressing design development towards 60% level for the Phase I limits CP19 (Greystone) to CP35 Croton-Harmon). Continuing with the excavation/installation of: communication & signal trough, signal power duct banks north of the Ossining station; and conduit installation under Philipse Manor station platform.

Power Infrastructure Restoration – Substations – Sandy

Riverdale: Installation of communication, traction power, and 15kv power conduits from the parking lot to the substation continues. The placement of concrete for substation foundation's walls is complete and waterproofing is underway. Excavation for crew quarters is to commence in December 2015. Continued switchgear fabrication with delivery forecasted in April 2016.

Tarrytown: Completed placement of concrete for substation walls and transformer's foundation. Installation of 15 KV conduits from track crossings to substation is underway for the electric switchgear and snowmelter. Continued switchgear fabrication with delivery forecasted in June 2016.

Croton-Harmon: Continued concrete placement for substation foundation walls and conduit installation under track crossings.

Harlem & Hudson Lines Power Improvements

- *Construction of 86th and 110th Street substations*
 - 86th St: Con Edison drawings depicting placement of high voltage point of entry and low voltage property line boxes have been approved. AC switchgear equipment layout and transformer structural/layout submittal process continues.
 - 110th St: Negative return reactor pad - completed excavation, steel reinforcement and grounding grid installation are underway; and concrete placement for the pad is forecasted for January 2016.
- *Brewster Substation* – Mobilization for construction activities at Brewster is complete; erosion control has been installed; and installation of traction power conduits across two track crossings is 60% complete. Excavation for the substation's footings has commenced.

Substation Replacement Bridge-23

Signal power station foundation and conduit work at Mount Vernon is complete. The power and control wiring for the east switchgear is in progress. Factory acceptance test for New Rochelle switchgear is scheduled for December 2015.

Harlem River Lift Bridge-Cable Replacement/Control System

The electrical and control commissioning process continues. Utilizing utility power, testing of the bridge opening/closing in normal and backup modes is complete. Testing in emergency generator power mode is nearing completion. The bridge is available to support river traffic upon request.

TRACK AND STRUCTURES

2014 Cyclical Track Program (Resumption of Program after Bronx Priority Repairs)

The 2014 Cyclical Track program consists of the replacement of 18,650 wood ties, 5 miles of continuous welded rail, and surfacing of 120 miles of track. To date, Metro-North Railroad (MNR) forces have installed approximately 7,620 ties and 6.2 miles of rail, and surfaced 34.2 miles of track on the Hudson, Harlem, and New Haven lines.

Inspection and Load Rating of Select Undergrade Bridges East of Hudson

The field inspection phase of select bridges continues at approximately at 30% complete. Bridge inspectors continue to progress with the inspection at the Park Avenue and Moodna Viaducts.

Undergrade Bridges – West of Hudson

The preliminary design for repairs to seven undergrade bridges on the Port Jervis Line is ongoing. The 30% design for Bridge JS 63.04, Shea Road, is scheduled for submission in December 2015.

SHOPS AND YARDS

Harmon Shop Improvements

Phase V, Stage I Design-Build – The following activities are in progress: asbestos abatement; removal of the existing round-house foundation so that the new foundation work can commence for the Electric Multiple Unit (EMU) Annex; submission of design packages for the Consist Shop and EMU Annex; relocation and installation of underground utility systems; and field activities for fencing and maintenance and protection of traffic around the contractor's work zone.

Phase V, Stage II Preliminary Design – The following design and project activities are in progress: review of preliminary Geo-technical report; design development of the demolition package for the western section of Building 6; Running Repair and Support Shop preliminary design; and technical meetings with user groups.

GRAND CENTRAL TERMINAL (GCT)

GCT Train Shed Rehabilitation

Completed work includes: steel repairs and final paint coat at many locations in the train shed and the replacement of the platform located adjacent to Track 101. In progress work includes: deleading of steel; shop drawing submittal process; and fabrication and delivery of new steel. Steel repair will continue for the rest of the locations in the train shed.

GCT Elevators Rehabilitation Phase 4

Installation of structural members to increase the load bearing capacity is completed in SE-1 shaft. Verification survey and submittals for A-Car elevators are completed and lead abatement of the door frames was performed. Elevators SE-1 and SE-2 are due to be delivered by year's end. (SE-1 & SE-2 serve upper and lower levels and Depew Place loading dock; A-car elevator serves M42 substation).

GCT Utilities

The construction services contract for the replacement of the fire standpipe system in the lower level of the GCT Train shed received bids on October 30, 2015; award process is underway.

GCT Leaks Remediation

The roadway and sidewalk work along Vanderbilt Avenue between 42nd and 43rd Street has been completed and Vanderbilt Avenue has been returned to full service. Restoration activities continued on the 42nd Street bridge abutments at 89 East 42nd Street with lead abatement of the structural members.

Park Avenue Viaduct Direct Fixation

Evaluation of the data collected during field investigation and core sampling continues. The draft report of the inspection findings to date has been reviewed by key MNR stakeholders, with comments to be addressed.

ROLLING STOCK

M-8 Car Program

As of January 2015, 380 married paired cars were conditionally accepted and placed into revenue service. Three (3) new cars that were added to the order in spring 2014 are forecasted for conditional acceptance in first quarter January 2016 to replace three (3) cars destroyed in the Bridgeport derailment. As of June 30, 2015, all 25 Single Cars (S-Cars) have been conditionally accepted and placed into revenue service.

2015 MNR Capital Program Goals

As of November 30, 2015

In Millions

