



**Metropolitan Transportation Authority**

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

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## **January 2016**

### **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, 1/25/2016  
8:30 - 9:30 AM ET

## **1. Public Comments**

## **2. Approval of Minutes**

*Committee Minutes - Page 4*

## **3. Approval of 2016 Work Plan**

*Approval of 2016 Work Plan - Page 11*

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

### **Safety/Enhanced Safety Update**

*Safety Report - Page 18*

*Enhanced Safety Action Update - Page 21*

### **MTA Police Report**

*MTA Police Report - Page 22*

## **5. Information Items**

### **Sleepy Hollow property agreement**

*Sleepy Hollow property agreement - Page 27*

## **6. Procurements**

*Procurement - Page 30*

### **Competitive**

*Competitive - Page 34*

## **7. Operations Report**

*Operations Report - Page 37*

## **8. Financial Report**

*Financial Report - Page 46*

## **9. Ridership Report**

*Ridership Report - Page 67*

## **10. Capital Program Report**

*Capital Program Report - Page 78*

Date of next meeting: Joint Meeting with Long Island on Monday, February 22, 2016 at 8:30 am

Minutes of the Regular Meeting  
Metro-North Committee  
Monday, December 14, 2015

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

The following members were present:

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

Not Present:

Hon. James L. Sedore, Jr., Chairman of the Metro-North Committee  
Hon. Ira Greenberg  
Hon. Jeffrey A. Kay

Also Present:

Joseph J. Giulietti – President, Metro-North Railroad  
Catherine Rinaldi – Executive Vice President  
Ralph Agritelley – Vice President, Labor Relations  
Katherine Betries-Kendall - Vice President, Human Resources  
Susan J. Doering – Vice President, Customer Service and Stations  
Glen Hayden – Vice President, Engineering  
John Kesich – Senior Vice President, Operations  
Kim Porcelain – Vice President, Finance and Information Systems  
Kim Rehbein – Deputy Chief, MTA Police Department  
Tobey Ritz – Chief Engineer, Capital Engineering  
Susan Sarch – Acting General Counsel  
Michael Shiffer – Vice President, Operations Planning and Analysis  
Joseph Streany – Acting Chief Safety Officer

Board member Metzger called the meeting of the Metro-North Committee to order.

## **PUBLIC COMMENT**

Three public speakers addressed the Committee.

Bradley Brashears of Permanent Citizens Advisory Committee (PCAC) to the MTA commented on the PCAC's proposed Freedom Ticket that would permit riders traveling from railroad stations within New York City to ride for a reduced rate with a free transfer to subways and buses.

Orrin Getz stated that there are more trains available to east of Hudson riders commuting from Croton-Harmon to Grand Central Terminal than west of Hudson riders commuting from Nanuet to Penn Station, even though the fare from Nanuet to Penn Station is now higher than the fare from Croton-Harmon to Grand Central Terminal. He commented on the Capital Program, expressing his opinion that more improvements should be implemented west of Hudson, including improvements to make Suffern Station ADA accessible, the addition of a mid-day Orange County train and construction of a new station at Woodbury Commons.

Murray Bodin expressed his opinion that train horns should not be blown at Hartsdale and Harlem-125<sup>th</sup> Street Stations.

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 November 16, 2015 Metro-North Committee meeting. There are no changes to the Metro-North 2015 Committee Work Plan.

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

President Giulietti announced the appointment of Justin R. Vonashek to the position of Vice President of System Safety, effective January 4, 2016. Mr. Vonashek will report to President Giulietti and work closely with MTA Chief Safety Officer David Mayer and MTA Sr. Advisor, Corporate Safety Initiatives, Anne Kirsch. He will oversee all efforts to ensure the safety of Metro-North's customers and employees as Metro-North continues to improve work practices and invest in new technology and equipment. President Giulietti discussed the highlights of Mr. Vonashek's career. He thanked Mr. Streany for his leadership of the Safety Department through the transitional period since Anne Kirsch's departure when he served in the acting role.

President Giulietti continued his report with a discussion of the November 2015 emergency preparedness exercise that was held at Metro-North's Brewster Yard in partnership with first responders from Putnam County and over 20 participating agencies. He noted that the drills provide Metro-North with an opportunity to partner with local first responders on joint training and emergency preparedness. President Giulietti stated that ensuring the safety and security of Metro-North customers, employees and the public at large is of paramount importance. In 2015, Metro-

North trained almost 1,900 first responders in its Passenger Train Emergency Response curriculum. President Giulietti expressed his appreciation of the assistance Metro-North received from Putnam County Executive Mary Ellen Odell, Brewster Mayor James Schoenig and all of the teams of first responders who participated in the exercise.

President Giulietti discussed service reliability, noting that in November 2015, east of Hudson overall system-wide on-time performance was 92.5% and year-to-date system-wide on-time performance was 93.3%. In November 2015, 1.1% of trains were delayed greater than 15 minutes, a.m. and p.m. peak service operated at 91.6%, off-peak service operated at 90.4% and weekend service operated at 96.3%. There was an increase in train delays of six to 10 minutes due to slip-slide conditions. However, overall train delays due to slip-slide conditions during the 2015 leaf season that takes place from September to November were the third lowest in the last 10 years and 30 percent below average. West of Hudson service operated at 92.3%. In October 2015, the fleets' Mean Distance Between Failure (MDBF) of almost 296,000 miles was above goal. The year-to-date October MDBF was also above goal. President Giulietti noted that the higher the MDBF, the more reliable the equipment and the service Metro-North provides to its customers.

President Giulietti reported on the steps Metro-North is taking to prepare for the winter. In 2014, Metro-North purchased additional blowers to allow crews to clean yard switches and the third rail simultaneously at more locations. Metro-North also purchased an additional front-end loader and backhoe to enable Metro-North to plow more of its right-of-way in order to access track interlockings and power substation locations. Metro-North has also completed retrofitting its three jet hot air blowers for greater power and fuel efficiency. Most importantly, Metro-North has taken steps to ensure that customers are kept well-informed in a timely manner before, during and after a storm event or emergency by providing timely and accurate information through station announcements, platform display signs, email alerts, social media, special notices and service status box updates on the website. The Metro-North Train Time App also provides real-time service status on Smartphones and/or computers. During any severe weather event, Metro-North's goal is to provide customers with the best and safest service available and to return to regularly scheduled service as soon as possible.

President Giulietti reported that from January to September 2015, overall customer complaints decreased by 52% and the volume of complaints received in September was at the lowest monthly level since March 2008. Complaints are continuing a downward trend and decreased 4%, from September to October, breaking September's record when complaints were the lowest since March 2008. Since January, complaints have dropped 54 percent system-wide.

President Giulietti discussed Metro-North's ongoing recruitment efforts, noting that Metro-North has hired 31 veterans. Almost 11% of Metro-North's workforce is made up of veterans.

President Giulietti noted that, on January 1, 2016, a Connecticut Department of Transportation (CDOT) fare increase of 1% goes into effect on the Connecticut portion of the New Haven Line. The increase is the fifth of seven consecutive annual increases requested by CDOT to help finance the purchase of the new M-8 cars. The increase will affect ticket prices for travel between Connecticut and New York stations and between stations within Connecticut. However, some fares may not increase due to rounding and the small percentage of the increase. The fare

increase does not affect travel to and from stations within New York State. Metro-North began communicating the new fare information to its New Haven Line customers earlier this month.

President Giulietti reported that Hudson Line service will be reduced from the evening of December 18 into the morning of December 19 when workers building the bridge to replace the Tappan Zee Bridge will be installing the third and final 700-ton girder assembly 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. The coordination will ensure that no passenger trains are beneath the work site while the girder assembly is moving overhead.

President Giulietti noted that the annual Grand Central Holiday Fair, featuring over 70 merchants is in Vanderbilt Hall until December 24. In addition, The New York Transit Museum's Annual Holiday Train Show is taking place until February 21.

There was a discussion among Board member Ballan, President Giulietti and Mr. Kesich regarding the manner in which delays related to maintenance of equipment, engineering and maintenance of way are reported. It was noted that delays related to the rolling stock are unscheduled delays while delays related to maintenance of way and engineering may be scheduled or unscheduled. Metro-North will determine whether it is possible to report on which delays are scheduled and which are unscheduled. Board member Ballan would also like to see more detail in the elevator/escalator report.

There was also a discussion between Board member Zuckerman, President Giulietti and Mr. Streany regarding the reporting of trespassing incidents. Metro-North has had discussions with other railroads, the New York State Office of Mental Health and David Mayer regarding how to address the increase in these incidents. President Giulietti noted that Metro-North is attempting to follow the proper protocol for the reporting of these incidents and that the issue will be discussed at the Safety Committee meeting and handled with a MTA-wide response. There was a discussion between Board member Moerdler and President Giulietti regarding preparations for winter weather.

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, which recording includes discussions between Board members President Giulietti and staff regarding the President's report.

## **SAFETY REPORT**

Mr. Streany gave the safety report on injuries through October 2015 and gave an overview of the actions that have been taken and are to be taken as part of the Enhanced Safety Action Plan.

There was a discussion among Board members, President Giulietti and staff regarding the obstructive sleep apnea pilot. It was noted that 25% of the total population of locomotive engineers were referred to the sleep disorder consultant for further evaluation and are following-up with their doctors and medical facilities; six percent of the total population of locomotive engineers are in the

final stages of the pilot which will be completed by the end of 2015. President Giulietti noted that the entire railroad industry, the FRA and the NTSB are following the results of the pilot.

Board member Ballan, President Giulietti and staff discussed the Confidential Close Call Reporting System (C3RS). It was noted that the system encourages employees to report all events, even if they are not qualifying events. The data is sent to NASA where it is scrubbed before being forwarded to the peer review team and discussed at its monthly meeting. C3RS allows the railroad to address safety issues which may have otherwise gone unreported.

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, which recording includes discussions among Board members, President Giulietti and staff regarding safety issues.

### **MTA POLICE DEPARTMENT REPORT**

Deputy Chief Rehbein reported on crime on the Metro-North system in November 2015. There was a discussion among Board member Moerdler, Deputy Chief Rehbein and Mr. Diaz regarding the manner in which arrests for terrorist threats are reported. Board member Moerdler would like to have more information regarding the specifics of each arrest. Board member Ballan discussed the data pertaining to arrests for panhandling and public lewdness. Deputy Chief Rehbein noted that the MTA Police work with homeless organizations to address panhandling.

The details of Deputy Chief Rehbein's report are contained in the MTA Police Report filed with the records of this meeting and in the video recording of the meeting produced by the MTA and maintained in the MTA records, which recording includes discussions between Board members and staff regarding police matters.

### **ACTION ITEM:**

One action item was presented to the Committee:

- 2016 Final Proposed Budget and 2016-2019 Financial Plan Adoption.

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

Three information items were presented to the Committee:

- 2016 Proposed Committee Work Plan – President Giulietti noted that the draft work plan for 2016 was prepared based upon reports that both railroads provided in 2015. It



was coordinated with LIRR's work plan for consistency in reporting to the Committee . The Committee will approve the final work plan in January.

- Track Program Quarterly Update – Mr. Hayden gave a progress report on Metro-North's ongoing track maintenance work to bring the infrastructure to a state of good repair. Metro-North crews continued to perform aggressive track improvements this fall. The details of Mr. Hayden's report are contained in the Track Program Quarterly Update filed with the records of this meeting.
- Diversity/EEO Report – 3<sup>rd</sup> Quarter 2015 – President Giulietti noted that the report will be discussed at the Diversity Committee Meeting.

There was discussion between Board member Moerdler and Mr. Hayden regarding grade crossings and Hurricane Sandy renewal work to address erosion along the Hudson Line. Board member Moerdler also asked Mr. Hayden to remove a walking bridge south of Riverdale Station that is in a state of disrepair or, in the alternative, alert the bridge owner of the hazardous condition of that bridge. President Giulietti noted that the coordination between Engineering, Safety, Transportation and the unions have permitted Metro-North to address maintenance issues. Board member Zuckerman commented on the manner in which the track program is reported. He asked that future reports report milestones in percentages. He would also like riders to be informed of the work that has been done on maintaining the infrastructure, increase safety and decrease commute times.

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 discussions between Board members, President Giulietti and staff regarding the above information items.

## **PROCUREMENTS:**

### **MTA Metro-North Railroad**

One non-competitive Metro-North procurement was presented to the Committee:

- Approval of 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 New York State Industries for the Disabled (NYSID) for as-needed temporary personnel services.

One ratification was presented to the Committee:

- Approval for a non-competitive procurement with Wesco Distribution, Inc. to overhaul one power traction transformer that is used on Metro-North's Harlem Line.

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.

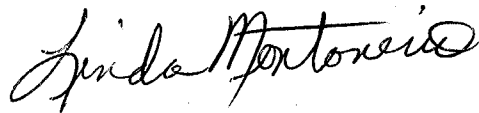
**OPERATIONS, FINANCIAL, RIDERSHIP AND CAPITAL PROGRAM REPORTS:**

The details of the Operations, Financial, Ridership and Capital Program Reports of Metro-North are contained in reports filed with the records of the meeting.

**ADJOURNMENT**

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

Respectfully submitted,

A handwritten signature in cursive script, reading "Linda Montanino".

Linda Montanino  
Assistant Secretary

Dec 2015 Committee Minutes  
Legal/Corporate/Committee Minutes Current

## 2016 Metro-North Railroad Committee Work Plan

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### **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 <sup>th</sup> 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 <sup>st</sup> 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 – 2<sup>nd</sup> 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 – 3<sup>rd</sup> 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

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## DETAILED SUMMARY

### I. RECURRING AGENDA ITEMS

#### **Approval of Minutes**

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

#### **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– 4<sup>th</sup> 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– 1<sup>st</sup> 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– 2<sup>nd</sup> 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– 3<sup>rd</sup> 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.

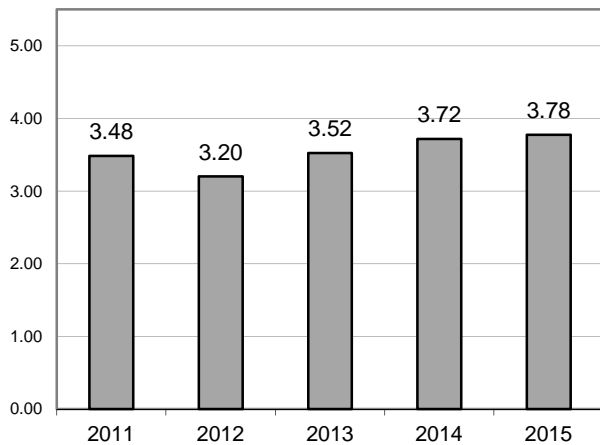


**Metro-North Railroad**

# **Safety Report**

## MTA Metro-North Railroad

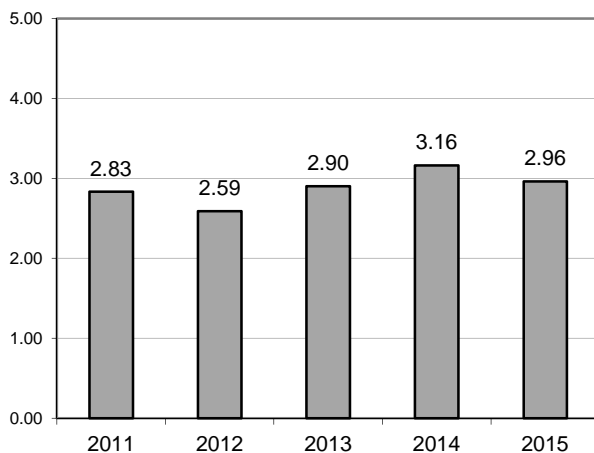
### Summary of Employee Injuries thru November



Total Employee\* Injuries

Year	Total	Total FI**
2011	199	3.48
2012	184	3.20
2013	210	3.52
2014	227	3.72
2015	241	3.78

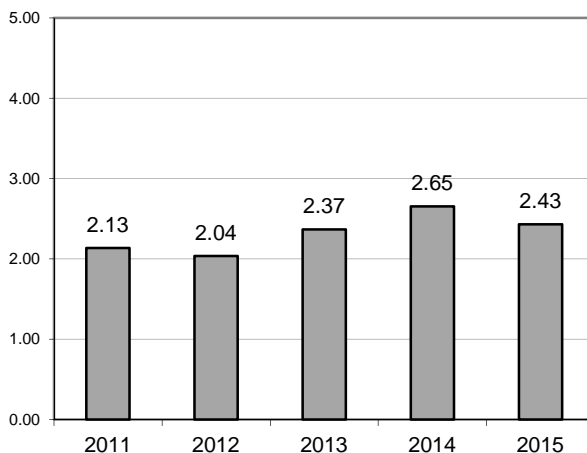
% change from last year: 1.5%  
2015 Total FI Goal 3.00



Employee\* FRA Reportable Injuries

Year	Total	FRA FI**
2011	162	2.83
2012	149	2.59
2013	173	2.90
2014	193	3.16
2015	189	2.96

% change from last year: -6.3%  
2015 FRA FI Goal 2.50



Employee\* Lost Time and Restricted Duty Injuries

Year	LT	RD	LT FI**	RD FI**	LT&RD FI**
2011	96	26	1.68	0.45	2.13
2012	110	7	1.91	0.12	2.04
2013	135	6	2.27	0.10	2.37
2014	161	1	2.64	0.02	2.65
2015	151	4	2.37	0.06	2.43

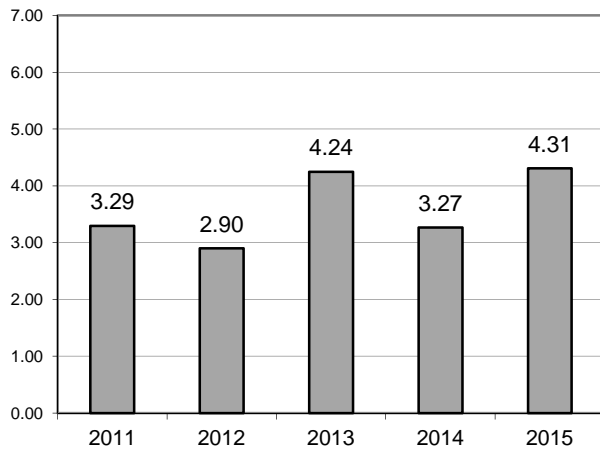
% change from last year: -8.5%  
2015 LT&RD FI Goal 2.00

\* - On-Duty Employee Injuries

\*\* - Injuries per 200,000 hours worked

## MTA Metro-North Railroad

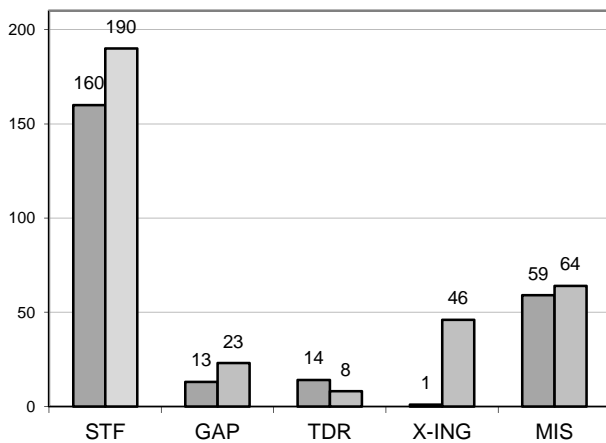
### Summary of Customer/Contractor Injuries thru November



Total Customer\* Injuries

Year	Total	Total FI**
2011	241	3.29
2012	216	2.90
2013	318	4.24
2014	247	3.27
2015	331	4.31

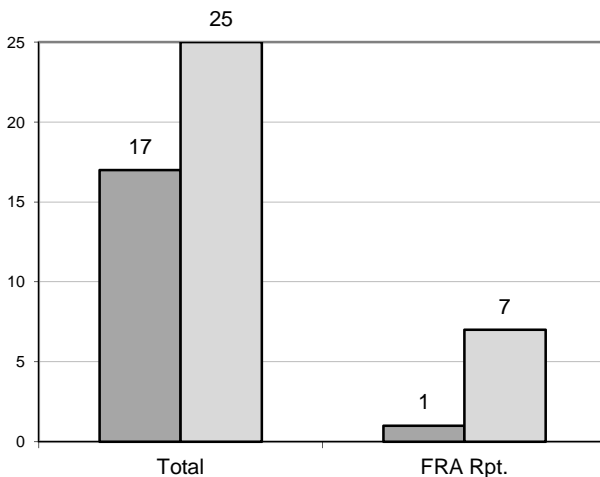
% change from last year: 32.0%  
2015 Total FI Goal 2.80



Top 5 Customer\* Injuries by Type

Year	Slip/Trip/Fall	Gap	Train Doors	Grade X-ing	Misc.
2014	160	13	14	1	59
2015	190	23	8	46	64

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



Contractor Injuries

Year	Total	FRA Rpt.
2014	17	1
2015	25	7
% Chg	47.1%	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:** January, 2016  
**To:** Metro-North Committee  
**From:** Joseph Giulietti  
**Re:** Enhanced Safety Action Update

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

- We continue to work with Operation Lifesaver to improve safety on and around highway-rail grade crossings and tracks through public awareness and education.

ACTION ITEM	STATUS
<b>NTSB/FRA/MTA Recommendations</b>	<p>All recommendations have been accepted and we are coordinating with the other MTA agencies to ensure best practices are shared.</p> <p>MTA Audit Service has provided their subject audit report concerning the NTSB recommendations. They deemed our responses as adequate and timely, with eleven recommendations still outstanding. Those remaining are being implemented and we are progressing them to completion.</p>
<b>Speed Compliance Program</b>	<p>During the month of December, 231 radar observations and 35 event recorder reviews were performed. There was one exception with C3RS receipt.</p> <p>In 2015 there were a total of 1,814 radar observations and 941 event recorders reviewed. Final production testing is being performed on a new automated web-based system that will further expedite event recorder reviews for speed compliance.</p>
<b>Obstructive Sleep Apnea Pilot</b>	<p>The screening of all 404 Locomotive Engineers has been completed.</p> <p>Approximately 110 employees were referred for further testing and all but 20 have completed the process.</p> <p>These 20 employees should complete the pilot within the next month.</p>
<b>Confidential Close Call Reporting System (C3RS)</b>	<p>The Transportation Peer Review Team, initiated in April, has received a total of 527 close call reports and conducted incident analysis of 231 cases. Ten additional crafts within Engineering and Mechanical have signed the C3RS agreement on Jan 19th.</p>
<b>Rolling Stock Cameras Forward, Cab, Passenger</b>	<p>Contract awarded in March 2015 to provide audio and video recorders that meet or exceed the NTSB recommendations. The first prototype installation on an M7 and M8 pair was completed in October 2015 and December 2015, respectively.</p> <p>Final design review pending completion of final design refinement, change order negotiation and approval.</p> <p>The completion date of this project, as stated in notice to proceed at March 2015, is projected to be at December 2018."</p>



# Police Report



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

**December 2015 vs. 2014**

	2015	2014	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	1	2	-1	-50%
Felony Assault	1	1	0	0%
Burglary	1	0	1	100%
Grand Larceny	13	9	4	44%
Grand Larceny Auto	0	0	0	0%
Total Major Felonies	16	12	4	33%

**Year to Date 2015 vs. 2014**

	2015	2014	Diff	% Change
Murder	0	0	0	0%
Rape	1	0	1	100%
Robbery	11	20	-9	-45%
Felony Assault	8	13	-5	-38%
Burglary	14	16	-2	-13%
Grand Larceny	112	103	9	9%
Grand Larceny Auto	5	1	4	400%
Total Major Felonies	151	153	-2	-1%



# **METROPOLITAN TRANSPORTATION AUTHORITY**

## **Police Department**

### **System Wide**

#### **December 2015 vs. 2014**

	<b>2015</b>	<b>2014</b>	<b>Diff</b>	<b>% Change</b>
<b>Murder</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0%</b>
<b>Rape</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0%</b>
<b>Robbery</b>	<b>2</b>	<b>6</b>	<b>-4</b>	<b>-67%</b>
<b>Felony Assault</b>	<b>2</b>	<b>4</b>	<b>-2</b>	<b>-50%</b>
<b>Burglary</b>	<b>1</b>	<b>0</b>	<b>1</b>	<b>100%</b>
<b>Grand Larceny</b>	<b>18</b>	<b>17</b>	<b>1</b>	<b>6%</b>
<b>Grand Larceny Auto</b>	<b>1</b>	<b>0</b>	<b>1</b>	<b>100%</b>
<b>Total Major Felonies</b>	<b>24</b>	<b>27</b>	<b>-3</b>	<b>-11%</b>

#### **Year to Date 2015 vs. 2014**

	<b>2015</b>	<b>2014</b>	<b>Diff</b>	<b>% Change</b>
<b>Murder</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0%</b>
<b>Rape</b>	<b>2</b>	<b>0</b>	<b>2</b>	<b>100%</b>
<b>Robbery</b>	<b>35</b>	<b>64</b>	<b>-29</b>	<b>-45%</b>
<b>Felony Assault</b>	<b>28</b>	<b>38</b>	<b>-10</b>	<b>-26%</b>
<b>Burglary</b>	<b>20</b>	<b>20</b>	<b>0</b>	<b>0%</b>
<b>Grand Larceny</b>	<b>212</b>	<b>240</b>	<b>-28</b>	<b>-12%</b>
<b>Grand Larceny Auto</b>	<b>9</b>	<b>2</b>	<b>7</b>	<b>350%</b>
<b>Total Major Felonies</b>	<b>306</b>	<b>364</b>	<b>-58</b>	<b>-16%</b>



# INDEX CRIME REPORT

## Per Day Average

### December 2015

	Systemwide	LIRR	MNRR	SIRT
<b>Murder</b>	0	0	0	0
<b>Rape</b>	0	0	0	0
<b>Robbery</b>	2	1	1	0
<b>Fel. Assault</b>	2	1	1	0
<b>Burglary</b>	1	0	1	0
<b>Grand Larceny</b>	18	4	13	1
<b>GLA</b>	1	1	0	0
<b>Total</b>	24	7	16	1
<b>Crimes Per Day</b>	0.77	0.23	0.52	0.03



# MTA Police Department

## Arrest Summary: Department Totals

1/1/2015 to 12/31/2015

Arrest Classification	Total Arrests	
	2015	2014
Murder	1	0
Rape	2	0
Robbery	30	58
Felony Assault	27	33
Burglary	9	10
Grand Larceny	57	67
Grand Larceny Auto	0	3
Aggravated Harassment	4	5
Aggravated Unlicensed Operator	10	34
Arson	1	0
Assault-Misdemeanor	49	56
Breach of Peace	16	10
Child Endangerment	3	1
Criminal Contempt	11	4
Criminal Impersonation	5	2
Criminal Mischief	44	29
Criminal Possession Stolen Property	16	15
Criminal Tampering	10	0
Criminal Trespass	33	25
Disorderly Conduct	4	2
Drug Offenses	70	49
DUI Offenses	9	12
Falsely Reporting an Incident	6	4
Forgery	56	89
Fraud	7	6
Graffiti	11	10
Harassment	4	6
Identity Theft	3	0
Impairment Integrity Gov Licencing Exam	13	0
Issue a Bad Check	1	0
Menacing	13	8
Obstruct Government	10	6
Official Misconduct	1	0
Panhandling	0	1
Petit Larceny	108	103
Probation/Parole Violation	1	0
Promoting Prostitution	1	0
Public Lewdness	30	38
Rail Road Rules & Regulations	0	1
Reckless Endangerment	10	7
Resisting Arrest	31	52
Sex Offenses	13	12
Stalking	1	2
Theft of Services	189	139
Unlawful Surveillance	2	2
VTL Offenses	2	2
Warrant Arrest	58	54
Weapons Offenses	8	7
Unauthorized Use Vehicle	2	0
<b>Total Arrests</b>	<b>992</b>	<b>964</b>

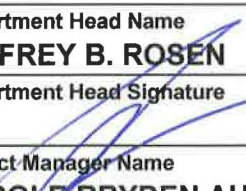


**Metro-North Railroad**

# **Information Items**




# Staff Summary



Subject <b>PROPERTY ACQUISITION</b>
Department <b>REAL ESTATE</b>
Department Head Name <b>JEFFREY B. ROSEN</b>
Department Head Signature 
Project Manager Name <b>CAROLE BRYDEN AUGRIS</b>

Date <b>JANUARY 25, 2016</b>
Vendor Name
Contract Number
Contract Manager Name
Table of Contents Ref. #

Board Action					
Order	To	Date	Approval	Info	Other
1	MNR Committee	1/25/16		x	
2	Finance Committee	1/25/16	X		
3	Board	1/27/16	x		

Internal Approvals			
Order	Approval	Order	Approval
		1	Legal 
3	Chief of Staff 		
2	Chief Financial Officer 		

AGENCY: MTA Metro-North Railroad ("Metro-North")  
 SELLER/GRANTOR: Sleepy Hollow Local Development Corporation ("SHLDC")  
 LOCATION: Village of Sleepy Hollow, Westchester County, Hudson Line  
 ACTIVITY: Acquisition of land, permanent access easement and interim license  
 ACTION REQUESTED: Approval of terms  
 PROPERTY: (1) Track Area – 61,000± sq. ft. (2 full sidetracks, 1 partial 3<sup>rd</sup> sidetrack, 3 turnouts, a retaining wall and a galvanized metal walkway)  
                   (2) Easement Area – 10,950± sq. ft. (ingress/egress for Track Area)  
                   (3) Car Loading Area – 49,650± sq. ft. (6 sidetracks)  
 PURCHASE PRICE: \$1,573,155  
 INTERIM COMPENSATION: \$157,316.00 per annum for combined Track and Easement Areas, continuing month-to-month from December 22, 2014 until closing, to be credited against such Purchase Price  
                                       \$109,744.00 one-time payment, for use of Car Loading Area from December 22, 2014 to November 17, 2015

## COMMENTS:

For many years, General Motors ("GM") operated a car manufacturing facility at the subject location, north of the Tappan Zee Bridge. After GM closed its facility in 1996, the riverfront portion of its property, abutting the west side of Metro-North's Hudson Line, was sold and a mixed-use residential/commercial development was built there. The subject Property adjoins the east side of the Hudson Line right-of-way, across from such riverfront site, and is part of a larger, 29± acre site that was conveyed to SHLDC in December 2014.

GM had tacitly allowed Metro-North to continue to use the Property after GM ceased operations in 1996. However, after it acquired title to the Property in December 2014, SHLDC demanded that Metro-North enter into an agreement to pay for its past and future use of the Property.

MNR's use of the Car Loading Area ended as of November 17, 2015. However, Metro-North needs the Track Area and the associated Easement Area to park equipment (clear of its Hudson Line tracks) for the staging of construction and

# Staff Summary

## FINANCE COMMITTEE MEETING Subject (Cont'd.)

maintenance work in the mid-Hudson area. Ongoing use of the Property will be particularly critical to the Sandy Remediation Project over the next few years.

SHLDC has agreed to convey its fee interest in the Track Area to Metro-North, along with a permanent ingress/egress easement across the Easement Area. To facilitate Metro-North's ongoing use of the Property, the parties have agreed to enter into an interim license agreement providing for interim payments at the above-stated rate to be applied toward the Purchase Price at closing. The above-stated one-time fee has been negotiated to compensate SHLDC for past use of the Car Loading Area back to the date SHDLC acquired the fee interest in that parcel, which will be excluded from the license and purchase. The Purchase Price and such interim compensation are consistent with an independent appraisal that has been obtained by MTA Real Estate.






The purchase will be subject to satisfactory completion of additional due diligence by Metro-North with respect to sub-surface conditions. The purchase of this Property is exempt from SEQRA under section 1266(11) of the Public Authorities Law, as it involves an expansion of an existing transportation use on a contiguous property of less than 10 acres.

Based on the foregoing, MTA Real Estate requests authorization to acquire the Track Area and above-described easement and to enter into the above-described license agreement on the terms and conditions described above.



**Metro-North Railroad**

# **Procurements**

<b>Subject</b> Request for Authorization to Award Various Procurements <b>Department</b> Procurement and Material Management <b>Department Head Name</b> Alfred Muir, Sr. Director <b>Department Head Signature</b>  <b>Project Manager Name</b>						<b>Date</b> January 11, 2016 <b>Vendor Name</b> Various <b>Contract Number</b> Various <b>Contract Manager Name</b> Various <b>Table of Contents Ref #</b>			
<b>Board Action</b>						<b>Internal Approvals</b>			
<b>Order</b>	<b>To</b>	<b>Date</b>	<b>Approval</b>	<b>Info</b>	<b>Other</b>	<b>Approval</b>	<b>Approval</b>		
1	MNR Comm. Mtg.	1-25-16	X			X	President		V.P. Planning
2	MTA Board Mtg.	1-27-16	X			X	Executive V.P.		X V.P. Capital Programs
						X	Sr. V.P. Operations		X Acting V.P. & General Counsel
						X	VP Finance & IT		
<b>Internal Approvals (cont.)</b>									
<b>Order</b>	<b>Approval</b>	<b>Order</b>	<b>Approval</b>	<b>Order</b>	<b>Approval</b>	<b>Order</b>	<b>Approval</b>		
—	—	—	—	—	—	—	—		

**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	
<u>Schedules Requiring Majority Vote</u>	NONE	
SUB TOTAL:		

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

		<u># of Actions</u>	<u>\$ Amount</u>
<u>Schedules Requiring Two-Thirds Vote (or more, where noted)</u>		<u>NONE</u>	
<u>Schedules Requiring Majority Vote</u>			
Schedule G:	Miscellaneous Service Contracts	2	\$104,500
	• Fred A. Cook, Jr Inc. \$65,000		
	• The Metro-Group, Inc. \$39,500		
Schedule H:	Modifications to Personal/Miscellaneous Service Contracts	1	\$1,203,741
	• Gannett Fleming/Clifton Weiss Associates \$1,203,741		
SUB TOTAL:		3	\$1,308,241

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

<u>Requiring Two-Thirds Vote (or more, where noted)</u>		<u>NONE</u>	
<u>Schedules Requiring Majority Vote</u>		<u>NONE</u>	
SUB TOTAL:			
TOTAL:		3	\$1,308,241

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.

**JANUARY 2016**

**METRO-NORTH RAILROAD**

**LIST OF COMPETITIVE PROCUREMENTS FOR BOARD APPROVAL**

**Schedules Requiring Majority Vote:**

**G. Miscellaneous Service Contracts**

**(Staff Summaries required for all items greater than: \$100K Sole Source; \$250K Other Non-Competitive; \$1M RFP; No Staff Summary required if Sealed Bid Procurement.)**

**1. Fred A. Cook, Jr Inc. \$65,000 (not-to-exceed)**

**Septic Holding Tank Waste Water Pumping Services at MNR's Harmon Campus**

Approval is requested to award a discretionary, competitively bid, miscellaneous service three year contract (one base year and (2) one year renewal options) to the firm Fred A. Cook, Jr Inc. ("FACI") for providing waste water pumping services for three holding tanks at the Croton-Harmon Yard. This service is required to maintain the trailer offices and the C&S facility in sanitary condition and to ensure a clean environment that will provide safe and healthy working locations for MNR personnel and its vendors.

In accordance with the MTA All-Agency Discretionary Procurement Procedure, an advertisement for the required services was posted on the MNR website under Discretionary Procurements and solicitation packages were forwarded directly to nine known NYS MWBEs and small businesses. A single bid was received from FACI in the amount of \$65,000. FACI's proposed base year rate is \$205 for three tanks at two pumping's per week and \$210 for the optional years. The rate for optional years showed a 2.4% escalation. The existing contract rate is at \$120 for two tanks at one pumping per week. The new base year rate reflects a reduction of approximately 14.6% per pumping, or a \$9,880 saving over a three year period. MNR determined FACI's proposed costs are fair and reasonable and acceptable for the level of efforts required to perform this service. The total three year cost is not to exceed \$65,000. This procurement is to be funded by the MNR Operating Budget.

**2. The Metro-Group, Inc. \$39,500**

**Grand Central Terminal (GCT) Water Tank Cleaning**

Approval is requested to award a five year, competitively solicited (one bid received), miscellaneous service contract to The Metro-Group, Inc. This service is for the internal cleaning of four domestic water tanks located in Grand Central Terminal (GCT).

The Department of Health and Mental Hygiene provides guidelines for the manner and timeframe that building owners report the results of their annual inspections of drinking water tanks. The Operations Department requires the services of a vendor to provide annual cleaning and disinfection of the interior surfaces for the four domestic water tanks within GCT.

The Metro-Group was the sole responsive and responsible bidder. A comparison of prices paid from the previous one year agreement (2014) with the new five year agreement reflects a decrease of 55% for the

13.8 thousand gallon tank, a decrease of 42% for the 20 thousand gallon tank, and a decrease of 76% for the two 10 thousand gallon tanks. The significant reduction in overall cost is directly attributable to the longer duration of this agreement. The pricing shall escalate at a rate of 3% for each year beginning in 2017 and is deemed to be fair and reasonable. This procurement is to be funded by the MNR Operating Budget.

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

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

##### **3. Gannett Fleming/Clifton Weiss Associates \$1,203,741**

**Staff Summary Attached**

##### **New Haven Line Signal System Design**

Approval is requested for additional funding in the amount of \$1,203,741 for a contract modification to an existing, competitively solicited personal service contract with Gannett Fleming/Clifton Weiss Associates ("GF/CWA"). This contract, which was competitively solicited and awarded in September 2013, is for engineering and design services required for the replacement of the communications & signal systems for wayside signal enclosures (CP-229 to CP-274) on MNR's New Haven Line.

The Connecticut Department of Transportation ("ConnDOT") has recently accelerated the project to replace the Walk Bridge located in Norwalk, Connecticut. Due to the configuration of the new bridge, a new interlocking is now required within the limits of the existing signal design project. Because the GF/CWA's signal design is complete significant changes are now required. This additional work includes designing a new interlocking at milepost 43, modifying the completed design of CP-241 and modifications to the Signal Design Speed ("SDS"). This change is a result of recommendation from a study conducted by ConnDOT and Amtrak which concluded that to reduce train running times through interlockings, modifications are necessary to the signal system as currently designed. These modifications will increase operational speeds and reduce trip times, providing an enhanced level of service for our passengers. This work is essential for completing the signal system design in accordance with operational requirements.

All rates and payment terms remain unchanged. The total cost of this agreement is not to exceed amount of \$1,203,741 is to be funded by ConnDOT.

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

Item Number: H

<b>Vendor Name (&amp; Location)</b> Gannett Fleming/Clifton Weiss Associates ("GF/CWA")
<b>Description</b> New Haven Line Signal System Design
<b>Contract Term (including Options, if any)</b> 112 months
<b>Option(s) included in Total</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>Procurement</b> <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive
<b>Solicitation Type</b> <input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input type="checkbox"/> Other:
<b>Funding Source</b> <input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input type="checkbox"/> Federal <input checked="" type="checkbox"/> Other: ConnDOT
<b>Requesting Dept./Div. &amp; Dept./Div. Head Name:</b> Procurement & Material Management, Al Muir, Sr. Director

<b>Contract Number</b> 46057	<b>AWO/Modification #</b> 03
<b>Original Amount:</b>	\$3,309,366
<b>Prior Modifications:</b>	\$ 935,691
<b>Prior Budgetary Increases:</b>	\$ 0
<b>Current Amount:</b>	\$4,245,057
<b>This Request:</b>	\$1,203,741
<b>% of This Request to Current</b>	28.3 %
<b>% of Modifications (including This Request) to Original Amount:</b>	64.6%

**Discussion:**

Approval is requested for additional funding in the amount of \$1,203,741 for a contract modification to an existing, competitively solicited personal service contract with Gannett Fleming/Clifton Weiss Associates ("GF/CWA"). This contract, which was competitively solicited and awarded in September 2013, is for engineering and design services required for the replacement of the communications & signal systems for wayside signal enclosures (CP-229 to CP-274) on MNR's New Haven Line.

The Connecticut Department of Transportation ("ConnDOT") has recently accelerated the project to replace the Walk Bridge located in Norwalk, Connecticut. Due to the configuration of the new bridge, a new interlocking is now required within the limits of the existing signal design project. Because the GF/CWA's signal design is complete significant changes are now required. This additional work includes designing a new interlocking at milepost 43, modifying the completed design of CP-241 and modifications to the Signal Design Speed ("SDS"). This change is a result of recommendation from a study conducted by ConnDOT and Amtrak which concluded that to reduce train running times through interlockings, modifications are necessary to the signal system as currently designed. These modifications will increase operational speeds and reduce trip times, providing an enhanced level of service for our passengers. This work is essential for completing the signal system design in accordance with operational requirements.

All rates and payment terms remain unchanged. The total cost of this agreement in the not to exceed amount of \$1,203,741 is to be funded by ConnDOT.



**Metro-North Railroad**

# **Operations Report**





# **MONTHLY OPERATING REPORT**

December 2015

Date Issued:

Thursday, January 07, 2016

Performance Summary			2015 Data			2014 Data	
			Annual Goal	December	YTD thru December	December	YTD thru December
<b>On Time Performance</b> <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i>	<b>System</b>	<b>Overall</b>	<b>93.0%</b>	<b>96.3%</b>	<b>93.5%</b>	<b>92.8%</b>	<b>91.5%</b>
		AM Peak	93.0%	92.8%	90.4%	89.5%	88.1%
		AM Reverse Peak	93.0%	97.7%	94.7%	95.0%	93.4%
		PM Peak	93.0%	97.6%	95.8%	96.7%	94.3%
		<b>Total Peak</b>	<b>93.0%</b>	<b>95.5%</b>	<b>93.2%</b>	<b>93.2%</b>	<b>91.4%</b>
		Off Peak Weekday	92.0%	95.8%	92.5%	90.6%	90.9%
		Weekend	92.0%	99.0%	95.8%	96.0%	92.7%
	<b>Hudson Line</b>	<b>Overall</b>	<b>93.0%</b>	<b>96.3%</b>	<b>94.2%</b>	<b>93.8%</b>	<b>91.8%</b>
		AM Peak	93.0%	93.9%	91.6%	86.9%	89.3%
		AM Reverse Peak	93.0%	97.9%	96.8%	98.3%	93.5%
		PM Peak	93.0%	96.8%	96.9%	99.0%	94.9%
		<b>Total Peak</b>	<b>93.0%</b>	<b>95.6%</b>	<b>94.4%</b>	<b>93.4%</b>	<b>92.2%</b>
		Off Peak Weekday	92.0%	95.6%	93.1%	93.3%	91.4%
		Weekend	92.0%	99.0%	95.5%	95.3%	92.1%
	<b>Harlem Line</b>	<b>Overall</b>	<b>93.0%</b>	<b>97.3%</b>	<b>94.3%</b>	<b>94.9%</b>	<b>93.6%</b>
		AM Peak	93.0%	94.6%	90.7%	91.5%	90.5%
		AM Reverse Peak	93.0%	97.8%	94.7%	96.2%	95.8%
		PM Peak	93.0%	98.2%	95.7%	97.6%	95.9%
		<b>Total Peak</b>	<b>93.0%</b>	<b>96.6%</b>	<b>93.4%</b>	<b>94.8%</b>	<b>93.5%</b>
		Off Peak Weekday	92.0%	96.8%	93.9%	93.8%	93.3%
		Weekend	92.0%	99.6%	96.6%	97.2%	94.1%
	<b>New Haven Line</b>	<b>Overall</b>	<b>93.0%</b>	<b>95.6%</b>	<b>92.6%</b>	<b>90.6%</b>	<b>89.7%</b>
		AM Peak	93.0%	90.6%	89.3%	89.5%	85.4%
		AM Reverse Peak	93.0%	97.4%	93.6%	92.3%	91.1%
		PM Peak	93.0%	97.5%	95.2%	94.3%	92.6%
		<b>Total Peak</b>	<b>93.0%</b>	<b>94.5%</b>	<b>92.4%</b>	<b>91.9%</b>	<b>89.1%</b>
		Off Peak Weekday	92.0%	95.1%	91.2%	86.9%	88.9%
		Weekend	92.0%	98.5%	95.5%	95.5%	92.1%
<b>Operating Statistics</b>							
	<b>Trains Scheduled</b>			<b>19,540</b>	<b>231,199</b>	<b>19,371</b>	<b>227,598</b>
	<b>Avg. Delay per Late Train (min)</b> <i>excluding trains canceled or terminated</i>			9.7	11.6	9.9	11.5
	<b>Trains Over 15 min. Late</b> <i>excluding trains canceled or terminated</i>		1,800	75	2,439	150	2,930
	<b>Trains Canceled</b>		220	6	258	7	368
	<b>Trains Terminated</b>		220	18	312	14	430
	<b>Percent of Scheduled Trips Completed</b>		99.7%	99.9%	99.8%	99.9%	99.6%
<b>Consist Compliance</b> <i>(Percent of trains where the number of seats provided was greater than or equal to the required number of seats per loading standards)</i>	<b>System</b>	<b>Overall</b>	<b>99.8%</b>	<b>99.7%</b>	<b>99.7%</b>	<b>99.8%</b>	<b>99.5%</b>
		AM Peak	99.8%	99.2%	99.4%	99.7%	99.0%
		AM Reverse Peak	99.8%	100.0%	99.9%	100.0%	99.9%
		PM Peak	99.8%	99.2%	99.0%	99.4%	99.0%
		<b>Total Peak</b>	<b>99.8%</b>	<b>99.3%</b>	<b>99.3%</b>	<b>99.6%</b>	<b>99.1%</b>
		Off Peak Weekday	99.8%	99.9%	99.9%	99.8%	99.7%
		Weekend	99.8%	99.9%	99.9%	100.0%	99.9%
	<b>Hudson Line</b>	AM Peak	99.8%	99.9%	99.9%	100.0%	99.7%
		PM Peak	99.8%	100.0%	99.8%	99.9%	99.8%
	<b>Harlem Line</b>	AM Peak	99.8%	99.1%	99.1%	99.3%	99.3%
		PM Peak	99.8%	99.8%	99.0%	99.7%	99.3%
	<b>New Haven Line</b>	AM Peak	99.8%	98.8%	99.2%	99.7%	98.3%
		PM Peak	99.8%	98.2%	98.4%	98.9%	98.2%

**SYSTEM Category of Delay**

Delay Minutes / Delay Threshold	% Total	November	2015 Data YTD thru December		2015 Data YTD thru December		YTD 2015 Vs 2014
Engineering	28.6%	840	323	12,956	1,296	18,534	-5,578
Maintenance of Equipment	23.8%	491	269	4,870	297	4,476	394
Transportation	5.9%	62	67	1,015	62	2,028	-1,013
Capital Projects	0.6%	52	7	84	0	181	-97
Weather and Environmental	6.0%	615	68	3,238	70	3,908	-670
Police	8.5%	234	96	2,144	186	2,096	48
Customers	10.8%	170	122	1,423	64	1,342	81
Other	15.6%	181	176	2,166	304	3,149	-983
3rd Party Operations	0.0%	1	0	58	2	9	49
<b>TOTAL</b>	<b>100.0%</b>	<b>2,646</b>	<b>1,128</b>	<b>27,954</b>	<b>2,281</b>	<b>35,723</b>	<b>-7,769</b>

HUDSON LINE	% Total	November	December	YTD thru December	December	YTD thru December	YTD 2015 Vs 2014
Engineering	35.7%	233	102	3,017	310	4,087	-1,070
Maintenance of Equipment	10.8%	102	31	973	71	967	6
Transportation	4.5%	7	13	214	16	546	-332
Capital Projects	0.7%	2	2	5	0	10	-5
Weather and Environmental	4.9%	109	14	584	8	817	-233
Police	3.1%	17	9	318	14	428	-110
Customers	9.1%	30	26	376	9	461	-85
Other	31.1%	13	89	518	26	569	-51
3rd Party Operations	0.0%	1	0	8	0	0	8
<b>TOTAL</b>	<b>100.0%</b>	<b>514</b>	<b>286</b>	<b>6,013</b>	<b>454</b>	<b>7,885</b>	<b>-1,872</b>

HARLEM LINE	% Total	November	December	YTD thru December	December	YTD thru December	YTD 2015 Vs 2014
Engineering	31.5%	156	80	3,499	252	4,570	-1,071
Maintenance of Equipment	22.0%	141	56	1,275	75	931	344
Transportation	9.1%	27	23	268	5	548	-280
Capital Projects	0.0%	2	0	2	0	9	-7
Weather and Environmental	7.1%	203	18	1,120	21	1,210	-90
Police	7.9%	166	20	878	37	527	351
Customers	11.8%	42	30	355	27	230	125
Other	10.6%	14	27	574	63	672	-98
3rd Party Operations	0.0%	0	0	0	0	0	0
<b>TOTAL</b>	<b>100.0%</b>	<b>751</b>	<b>254</b>	<b>7,971</b>	<b>480</b>	<b>8,697</b>	<b>-726</b>

NEW HAVEN LINE	% Total	November	December	YTD thru December	December	YTD thru December	YTD 2015 Vs 2014
Engineering	24.1%	450	141	6,441	735	9,877	-3,436
Maintenance of Equipment	31.1%	248	182	2,622	151	2,578	44
Transportation	5.3%	27	31	532	42	934	-402
Capital Projects	0.7%	48	4	77	0	163	-86
Weather and Environmental	6.1%	303	36	1,534	40	1,880	-346
Police	11.3%	51	66	947	135	1,140	-193
Customers	11.3%	98	66	692	28	651	41
Other	10.2%	154	60	1,074	216	1,908	-834
3rd Party Operations	0.0%	0	0	50	2	9	41
<b>TOTAL</b>	<b>100.0%</b>	<b>1,379</b>	<b>586</b>	<b>13,969</b>	<b>1,349</b>	<b>19,140</b>	<b>-5,171</b>





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

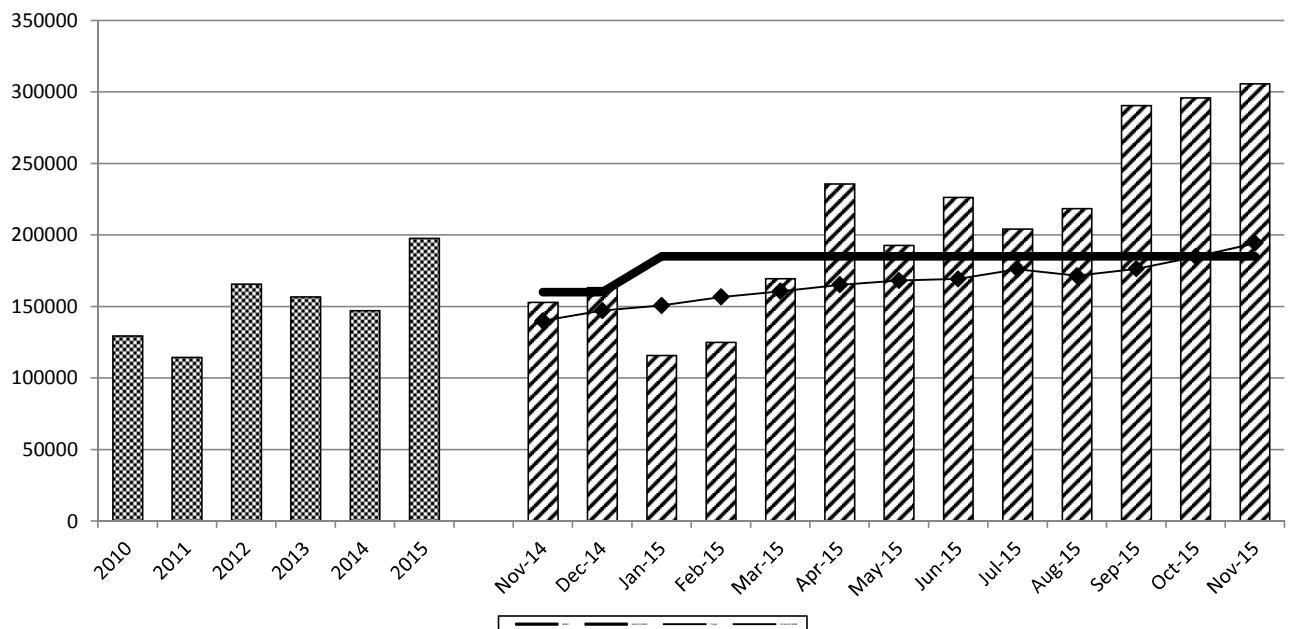
Date	Day	DESCRIPTION OF EVENT	Number of Late Trains												TOTAL		
			AM Peak			AM Reverse			PM Peak			Off Peak			TOTAL		
			L	C	T	L	C	T	L	C	T	L	C	T	Late	Cxld	Term
12/01	Tue	A truck struck the overpass at 129th Street and Park Avenue, restricted speed is in effect on all tracks.	48	0	0	7	0	0	0	0	0	4	0	0	59	0	0
12/02	Wed	A Drop Pantograph Order (DPO) on track 3 from Cat.183 to Cat.185 account of a section breaker hanging.	0	0	0	0	0	0	2	0	0	9	0	0	11	0	0
12/04	Fri	Train 963 terminated with a Speed Sensor Fault at 125th Street.	0	0	0	0	0	0	12	0	1	7	0	0	19	0	1
12/07	Mon	Slip slide conditions on track 2 between CP 136 and CP 124.	9	0	0	0	0	0	0	0	0	3	0	0	12	0	0
12/09	Wed	Train 1315 was disabled on track 3 east of Greenwich at Cat.288, unable to take power due to air blowing.	15	0	1	3	0	0	0	0	0	0	0	0	18	0	1
12/17	Thu	Train 1417 was terminated at Noroton Heights due to request of police assistance for an unattended bag on board the train.	11	0	1	2	0	0	0	0	0	0	0	0	13	0	1
12/21	Mon	Hazmat spill near track 3 at Ossining Station, foul time on all tracks between CP 26 and CP 33.	0	0	0	0	0	0	14	0	1	12	3	4	26	3	5
<b>TOTAL FOR MONTH</b>			83	0	2	12	0	0	28	0	2	35	3	4	158	3	8
															<b>169</b>		

	Equip- ment Type	Total Fleet Size	2015 Data						2014 Data		
			MDBF Goal (miles)	Nov MDBF (miles)	Primary Failure Goal	Nov No. of Primary Failures	YTD MDBF thru Nov (miles)	12 month MDBF Rolling Avg (miles)	Nov MDBF (miles)	Nov No. of Primary Failures	YTD MDBF thru Nov (miles)
<b>Mean Distance Between Failures</b>	M246	36	40,000	59,291	2	0	42,120	38,060	42,263	6	33,180
	M8	405	280,000	312,907	10	8	292,377	297,132	181,935	13	212,444
	M3	140	135,000	254,972	2	0	143,151	143,470	58,099	5	152,334
	M7	336	460,000	1,029,296	4	2	471,567	474,724	240,015	8	373,595
	Coach	213	295,000	332,745	5	4	311,400	321,346	343,525	4	255,962
	P-32	31	35,000	43,679	5	4	23,743	23,026	45,354	4	24,447
	BL-20	12	13,000	12,963	3	3	15,950	15,722	18,166	2	17,879
	<b>Fleet</b>	<b>1173</b>	<b>185,000</b>	<b>305,748</b>	<b>31</b>	<b>21</b>	<b>197,664</b>	<b>194,172</b>	<b>152,886</b>	<b>42</b>	<b>145,690</b>
	M2/4/6/8		185,000	320,319	12	8	215,656	207,453	137,828	19	115,917
	M3/7		320,000	1,156,782	6	2	365,178	367,174	170,047	13	309,616
	Diesel/Coach		120,000	140,417	13	11	110,113	109,128	159,185	10	107,798

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	December	YTD thru December	December	YTD thru December
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%	96.9%	94.9%	95.6%	95.4%
		AM Peak	95.5%	96.4%	94.8%	98.1%	95.4%
		PM Peak	95.5%	97.2%	94.8%	92.0%	94.5%
		Total Peak	95.5%	96.8%	94.8%	95.1%	95.0%
		Off Peak Weekday	95.5%	98.2%	95.1%	95.1%	95.5%
		Weekend	95.5%	94.2%	94.8%	97.7%	95.7%
	Pascack Line	Overall	96.5%	97.3%	95.2%	95.7%	95.9%
	Valley Line	AM Peak	96.5%	95.5%	95.3%	99.4%	96.3%
		PM Peak	96.5%	95.5%	94.4%	89.6%	94.5%
		Total Peak	96.5%	95.5%	94.9%	94.8%	95.5%
		Off Peak Weekday	96.5%	99.1%	95.3%	94.6%	95.8%
		Weekend	96.5%	96.3%	95.3%	99.5%	96.8%
	Port Jervis Line	Overall	95.0%	96.4%	94.6%	95.4%	94.6%
		AM Peak	95.0%	97.7%	94.2%	96.2%	94.3%
		PM Peak	95.0%	99.2%	95.2%	94.7%	94.4%
		Total Peak	95.0%	98.5%	94.7%	95.5%	94.3%
		Off Peak Weekday	95.0%	97.0%	94.8%	95.8%	95.2%
		Weekend	95.0%	90.5%	93.9%	94.4%	93.9%
Operating Statistics							
	Trains Scheduled		1,732	20,167	1,728	20,139	
	Avg. Delay per Late Train (min) <small>excluding trains canceled or terminated</small>		15.1	18.3	17.7	19.4	
	Trains Over 15 min. Late <small>excluding trains canceled or terminated</small>		200	15	378	24	367
	Trains Canceled		60	4	71	7	80
	Trains Terminated		60	2	57	6	54
Percent of Scheduled Trips Completed			99.4%	99.7%	99.4%	99.2%	99.3%

## DECEMBER 2015 STANDEE REPORT

### East of Hudson

East of Hudson			DEC 2014	YTD 2014	DEC 2015	YTD 2015	
Daily Average AM Peak	Hudson Line	Program Standees	0	0	0	0	
		Add'l Standees	0	1	0	0	
		Total Standees	0	1	0	0	
	Harlem Line	Program Standees	0	0	0	0	
		Add'l Standees	19	11	24	20	
		Total Standees	19	11	24	20	
	New Haven Line	Program Standees	0	0	0	0	
		Add'l Standees	2	46	10	15	
		Total Standees	2	46	10	15	
	EAST OF HUDSON TOTAL - AM PEAK		21	58	34	35	
	Daily Average PM Peak	Hudson Line	Program Standees	0	0	0	0
			Add'l Standees	2	2	0	1
			Total Standees	2	2	0	1
Harlem Line		Program Standees	0	0	0	0	
		Add'l Standees	7	6	2	19	
		Total Standees	7	6	2	19	
New Haven Line		Program Standees	0	0	0	0	
		Add'l Standees	45	41	72	33	
		Total Standees	45	41	72	33	
EAST OF HUDSON TOTAL - PM PEAK		54	49	74	53		

### West of Hudson

West of Hudson			DEC 2014	YTD 2014	DEC 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 December 2015

Elevator Availability	2015		2014	
	December	Year to Date	December	Year to Date
Grand Central Terminal	99.63%	99.10%	100.00%	98.27%
Harlem	100.00%	99.11%	98.87%	99.61%
Hudson	99.94%	99.78%	98.86%	99.64%
New Haven	100.00%	99.96%	100.00%	99.33%
Overall Average	99.89%	99.49%	99.43%	99.21%

Escalator Availability	2015		2014	
	December	Year to Date	December	Year to Date
Grand Central Terminal	93.00%	97.63%	100.00%	92.94%
White Plains	100.00%	99.88%	100.00%	100.00%
Overall Average	96.50%	98.75%	100.00%	96.47%

*Grand Central Terminal - Escalator #11 (North-End Access) has been Out of Service since Monday, December 7, 2015 due to Defective Motor. Back in service by February 2016.*



**Metro-North Railroad**

# **Financial Report**



## **FINANCIAL STATEMENTS**

**MONTH ENDED: NOVEMBER 2015**

OFFICE OF VICE PRESIDENT OF FINANCE & INFORMATION SYSTEMS

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

November YTD Operating results were favorable with a net operating deficit that was \$45 million or 6.3% lower than the Mid-Year Forecast. Operating Revenues through November were \$3.0 million above the Mid-Year Forecast reflecting improved passenger revenues and higher net GCT retail revenue. Total Operating Expenses through November were \$42 million favorable due to lower expenditures for contracted maintenance and professional fees (\$19.6 million), lower electric power and fuel rates (\$12 million) and lower net labor expenses (\$9.9 million).

YTD Reimbursable Capital program expenditures (and reimbursements) of \$180.4 million were \$1.8 million higher than the Mid-Year Forecast due to the timing of interagency reimbursements and scheduling changes of several forecasted projects (GCT Turnouts and East of Hudson Overhead Bridge Program).

**Ridership**

Total ridership through November of 78.4 million was slightly above the Mid-Year Forecast.

**East of Hudson**

- YTD ridership of 76.8 million was on target to the Mid-Year Forecast and 1.5% higher than 2014.
- November ridership of 6.9 million was 0.2% above the Mid-Year Forecast.
- YTD commutation ridership was 0.1% higher than the Mid-Year Forecast. For the month commutation ridership was 0.5% higher than the Mid-Year Forecast. Compared to 2014, YTD commutation was 1.0% higher.
- YTD non-commutation ridership was on target to the Mid-Year Forecast. For the month, non-commutation ridership was 0.1% lower than the Mid-Year Forecast. Compared to 2014, YTD non-commutation was 2.3% higher.

**West of Hudson**

- YTD ridership was 0.2% lower than the Mid-Year Forecast. November ridership was 7.5% higher than the Mid-Year Forecast.

**Revenue and Reimbursements**

Total YTD Revenue and Reimbursements through November was \$855.2 million and \$4.8 million higher than the Mid-Year Forecast:

- Farebox Revenue of \$617.3 million was \$1.8 million higher than the Mid-Year Forecast due to the higher than forecasted ridership noted above.
- Other Operating Revenue of \$57.5 million was \$1.2 million higher than the Mid-Year Forecast primarily due to an increase in net GCT retail revenue from a higher percentage of sales tenant rents and lower management expenses.
- Capital and Other Reimbursements of \$180.4 million were \$1.8 million higher than the Mid-Year Forecast due to the timing of interagency reimbursements and project timing previously discussed.

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

Total YTD Non-Reimbursable and Reimbursable expenses of \$1,248.4 million through November were \$38.6 million (3.0%) lower than the Mid-Year Forecast:

- Non-labor costs were \$42.4 million lower primarily due to lower operational costs for contractual services, scheduling changes for capital project expenditures and favorable energy rates.
- Labor costs were \$3.8 million higher due to higher capital project activity and an increase in Railroad Retirement taxes partially offset by lower overtime costs.

**Financial Performance Measures**

The YTD performance indicators primarily reflect lower overall expenses:

- Adjusted Farebox Operating Ratio of 67.1% through November was 3.1% higher than the Mid-Year Forecast.
- Adjusted Cost per Passenger of \$13.39 for the period was \$0.57 lower than the Mid-Year Forecast.
- Revenue per Passenger of \$8.12 for the period was slightly above the Mid-Year Forecast.



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

**REVENUE**

**Total Revenue and Reimbursements** were \$4.8 million (0.6%) higher than the Mid-Year Forecast through November:

- **Farebox Revenue** – YTD and the month were higher than the Mid-Year Forecast by \$1.8 million and \$0.4 million, respectively, due to higher than forecasted commutation and non-commutation ridership.
- **Other Operating Revenue** – YTD was \$1.2 million above the Mid-Year Forecast primarily due to an increase in net GCT retail revenue from a higher percentage of sales tenant rents and lower management expenses. For the month, revenue was \$1.5 million higher than the Mid-Year Forecast.
- **Capital and Other Reimbursements** – YTD was higher by \$1.8 million primarily due to the timing of interagency reimbursements and scheduling changes of several capital projects (GCT Turnouts and East of Hudson Overhead Bridge Program). For the month, reimbursements were \$2.2 million lower than the Mid-Year Forecast.

**EXPENSES**

**Total Expenses** – YTD expenses of \$1,521.2 million were \$40.2 million (2.6%) lower than the Mid-Year Forecast. For the month, expenses were \$9.0 million (6.2%) lower than the Mid-Year Forecast.

- **Labor Expenses (including fringes and overhead recoveries)** – YTD expenses of \$898.4 million were \$3.8 million higher than the Mid-Year Forecast primarily due to higher capital project work as well as higher Railroad Retirement taxes due to the timing of retroactive wage payments and an increase in Tier II employer contribution rates. 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 \$3.4 million lower than the Mid-Year Forecast.
- **Non-Labor Expenses** were \$350 million YTD; \$42.4 million lower than Mid-Year Forecast and \$4.7 million lower for the month:
  - **Electric Power** – YTD was \$8.2 million below the Mid-Year Forecast primarily due to lower rates partially offset by reimbursable prior period billing adjustments. For the month, expenses were \$1.0 million lower than the Mid-Year Forecast.
  - **Fuel** – YTD was \$3.3 million below the Mid-Year Forecast due to lower diesel fuel prices per gallon. For the month, expenses were \$0.8 million lower than the Mid-Year Forecast.
  - **Maintenance & Other Operating Contracts** – YTD was \$10.3 million below the Mid-Year Forecast primarily due to lower expenditures for maintenance contracts and GCT utilities as well as timing differences in payments for locomotive overhauls partially offset by higher reimbursable activity for Positive Train Control and the Hurricane Sandy Program. For the month, expenses were \$0.2 million higher than the Mid-Year Forecast.
  - **Professional Services** – YTD was \$6.4 million below the Mid-Year Forecast primarily due to timing differences for engineer services, outside training, consulting services, medical services and legal fees. For the month, expenses were \$1.6 million lower than the Mid-Year Forecast.
  - **Materials & Supplies** – YTD was \$13.7 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 Infrastructure Restoration). For the month, expenses were \$1.0 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 and timing differences for reimbursable project activity. This decrease was largely offset by non-capitalizable Madison Avenue relocation expenses, employee settlement payments and the timing of cost recoveries from other railroads. For the month, expenses were slightly higher than the Mid-Year Forecast.

**Depreciation and Other Non-Cash Liability Adjustments** – \$1.7 million lower than the Mid-Year Forecast due to the timing of projects requiring environmental remediation (\$1.0 million) and the timing of the capitalization of assets (\$0.6 million).

**CASH DEFICIT**

The Cash Deficit through November of \$534.4 million was \$30.6 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**  
**November 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
<b>Revenue</b>												
Farebox Revenue	\$57.459	\$57.866	\$0.406	0.7	\$0.000	\$0.000	\$0.000	-	\$57.459	\$57.866	\$0.406	0.7
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	5.129	6.645	1.515	29.5	0.000	0.000	0.000	-	5.129	6.645	1.515	29.5
<i>Capital &amp; Other Reimbursements:</i>												
MTA	0.000	0.000	0.000	-	11.487	10.144	(1.343)	(11.7)	11.487	10.144	(1.343)	(11.7)
CDOT	0.000	0.000	0.000	-	5.998	3.584	(2.414)	(40.3)	5.998	3.584	(2.414)	(40.3)
Other	0.000	0.000	0.000	-	1.602	3.186	1.583	98.8	1.602	3.186	1.583	98.8
Total Capital and Other Reimbursements	0.000	0.000	0.000	-	19.088	16.913	(2.174)	(11.4)	19.088	16.913	(2.174)	(11.4)
<b>Total Revenue/Receipts</b>	<b>\$62.589</b>	<b>\$64.510</b>	<b>\$1.922</b>	<b>3.1</b>	<b>\$19.088</b>	<b>\$16.913</b>	<b>(\$2.174)</b>	<b>(11.4)</b>	<b>\$81.677</b>	<b>\$81.424</b>	<b>(\$0.253)</b>	<b>(0.3)</b>
<b>Expenses</b>												
<i>Labor:</i>												
Payroll	\$39.272	\$38.439	\$0.833	2.1	\$4.220	\$3.524	\$0.696	16.5	\$43.492	\$41.963	\$1.529	3.5
Overtime	8.175	7.648	0.527	6.4	1.664	1.187	0.477	28.7	9.839	8.834	1.004	10.2
Health and Welfare	8.115	7.686	0.429	5.3	1.245	0.992	0.253	20.3	9.360	8.678	0.682	7.3
OPEB Current Payment	2.064	2.214	(0.150)	(7.2)	0.000	0.000	0.000	-	2.064	2.214	(0.150)	(7.2)
Pensions	7.609	6.700	0.909	11.9	0.837	0.673	0.164	19.6	8.446	7.372	1.074	12.7
Other Fringe Benefits	9.187	10.038	(0.851)	(9.3)	0.953	0.801	0.152	15.9	10.140	10.840	(0.700)	(6.9)
Reimbursable Overhead	(4.697)	(3.821)	(0.876)	(18.7)	4.500	3.656	0.845	18.8	(0.197)	(0.166)	(0.032)	(16.0)
<b>Total Labor</b>	<b>\$69.725</b>	<b>\$68.903</b>	<b>\$0.822</b>	<b>1.2</b>	<b>\$13.419</b>	<b>\$10.832</b>	<b>\$2.587</b>	<b>19.3</b>	<b>\$83.144</b>	<b>\$79.735</b>	<b>\$3.409</b>	<b>4.1</b>
<i>Non-Labor:</i>												
Electric Power	\$6.779	\$5.777	\$1.002	14.8	\$0.000	\$0.005	(\$0.005)	-	\$6.779	\$5.782	\$0.997	14.7
Fuel	2.114	1.282	0.832	39.4	0.000	0.000	0.000	-	2.114	1.282	0.832	39.4
Insurance	1.706	1.545	0.162	9.5	0.403	0.235	0.168	41.7	2.110	1.780	0.330	15.6
Claims	0.098	0.040	0.058	59.1	0.000	0.000	0.000	-	0.098	0.040	0.058	59.1
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	11.029	8.235	2.795	25.3	0.837	3.795	(2.958)	*	11.866	12.030	(0.163)	(1.4)
Professional Service Contracts	3.224	2.676	0.547	17.0	1.359	0.318	1.041	76.6	4.583	2.994	1.588	34.7
Materials & Supplies	6.243	6.582	(0.339)	(5.4)	3.023	1.655	1.368	45.2	9.266	8.238	1.028	11.1
Other Business Expenses	1.395	1.387	0.008	0.6	0.047	0.074	(0.027)	(57.9)	1.442	1.461	(0.019)	(1.3)
<b>Total Non-Labor</b>	<b>\$32.589</b>	<b>\$27.524</b>	<b>\$5.065</b>	<b>15.5</b>	<b>\$5.669</b>	<b>\$6.081</b>	<b>(\$0.413)</b>	<b>(7.3)</b>	<b>\$38.258</b>	<b>\$33.606</b>	<b>\$4.652</b>	<b>12.2</b>
<i>Other Adjustments:</i>												
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
<b>Total Other Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>
<b>Total Expenses before Non-Cash Liability Adjs.</b>	<b>\$102.314</b>	<b>\$96.427</b>	<b>\$5.886</b>	<b>5.8</b>	<b>\$19.088</b>	<b>\$16.913</b>	<b>\$2.174</b>	<b>11.4</b>	<b>\$121.402</b>	<b>\$113.341</b>	<b>\$8.061</b>	<b>6.6</b>
Depreciation	19.021	18.042	0.979	5.1	0.000	0.000	0.000	-	19.021	18.042	0.979	5.1
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	-
<b>Total Expenses</b>	<b>\$127.028</b>	<b>\$120.162</b>	<b>\$6.865</b>	<b>5.4</b>	<b>\$19.088</b>	<b>\$16.913</b>	<b>\$2.174</b>	<b>11.4</b>	<b>\$146.115</b>	<b>\$137.076</b>	<b>\$9.040</b>	<b>6.2</b>
<b>Net Surplus/(Deficit)</b>	<b>(\$64.439)</b>	<b>(\$55.652)</b>	<b>\$8.787</b>	<b>13.6</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>(\$64.439)</b>	<b>(\$55.652)</b>	<b>\$8.787</b>	<b>13.6</b>
<i>Cash Conversion Adjustments:</i>												
Depreciation	19.021	18.042	(0.979)	(5.1)	0.000	0.000	0.000	-	19.021	18.042	(0.979)	(5.1)
Operating/Capital	(4.766)	(3.629)	1.137	23.9	0.000	0.000	0.000	-	(4.766)	(3.629)	1.137	23.9
Other Cash Adjustments	6.976	12.038	5.062	72.6	0.000	0.000	0.000	-	6.976	12.038	5.062	72.6
<b>Total Cash Conversion Adjustments</b>	<b>\$21.231</b>	<b>\$26.451</b>	<b>\$5.220</b>	<b>24.6</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$21.231</b>	<b>\$26.451</b>	<b>\$5.220</b>	<b>24.6</b>
<b>Net Cash Surplus/(Deficit)</b>	<b>(\$43.208)</b>	<b>(\$29.201)</b>	<b>\$14.007</b>	<b>32.4</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>(\$43.208)</b>	<b>(\$29.201)</b>	<b>\$14.007</b>	<b>32.4</b>

**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**  
**November Year-To-Date**  
(\$ in millions)

SCHEDULE I - B

	Nonreimbursable				Reimbursable				Total			
	Mid-Year Forecast	Actual	Variance	Percent	Mid-Year Forecast	Actual	Variance	Percent	Mid-Year Forecast	Actual	Variance	Percent
<b>Revenue</b>												
Farebox Revenue	\$615.505	\$617.299	\$1.793	0.3	\$0.000	\$0.000	\$0.000	-	\$615.505	\$617.299	\$1.793	0.3
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	56.290	57.464	1.174	2.1	0.000	0.000	0.000	-	56.290	57.464	1.174	2.1
<i>Capital &amp; Other Reimbursements:</i>												
MTA	0.000	0.000	0.000	-	104.299	109.153	4.853	4.7	104.299	109.153	4.853	4.7
CDOT	0.000	0.000	0.000	-	59.364	52.706	(6.658)	(11.2)	59.364	52.706	(6.658)	(11.2)
Other	0.000	0.000	0.000	-	14.961	18.572	3.612	24.1	14.961	18.572	3.612	24.1
Total Capital and Other Reimbursements	0.000	0.000	0.000	-	178.624	180.431	1.806	1.0	178.624	180.431	1.806	1.0
<b>Total Revenue/Receipts</b>	<b>\$671.795</b>	<b>\$674.763</b>	<b>\$2.968</b>	<b>0.4</b>	<b>\$178.624</b>	<b>\$180.431</b>	<b>\$1.806</b>	<b>1.0</b>	<b>\$850.420</b>	<b>\$855.194</b>	<b>\$4.774</b>	<b>0.6</b>
<b>Expenses</b>												
<i>Labor:</i>												
Payroll	\$426.576	\$426.086	\$0.490	0.1	\$42.907	\$46.113	(\$3.206)	(7.5)	\$469.483	\$472.199	(\$2.716)	(0.6)
Overtime	86.700	79.833	6.867	7.9	16.576	18.000	(1.424)	(8.6)	103.277	97.834	5.443	5.3
Health and Welfare	87.919	84.561	3.357	3.8	12.584	15.381	(2.798)	(22.2)	100.502	99.943	0.560	0.6
OPEB Current Payment	22.736	24.973	(2.237)	(9.8)	0.000	0.000	0.000	-	22.736	24.973	(2.237)	(9.8)
Pensions	81.261	74.884	6.376	7.8	8.416	9.216	(0.800)	(9.5)	89.677	84.101	5.576	6.2
Other Fringe Benefits	100.077	109.014	(8.937)	(8.9)	10.014	11.363	(1.349)	(13.5)	110.091	120.377	(10.286)	(9.3)
Reimbursable Overhead	(45.089)	(49.044)	3.955	8.8	43.879	47.990	(4.111)	(9.4)	(1.209)	(1.054)	(0.156)	(12.9)
<b>Total Labor</b>	<b>\$760.180</b>	<b>\$750.307</b>	<b>\$9.873</b>	<b>1.3</b>	<b>\$134.376</b>	<b>\$148.064</b>	<b>(\$13.688)</b>	<b>(10.2)</b>	<b>\$894.556</b>	<b>\$898.371</b>	<b>(\$3.815)</b>	<b>(0.4)</b>
<i>Non-Labor:</i>												
Electric Power	\$81.892	\$73.219	\$8.673	10.6	\$0.000	\$0.498	(\$0.498)	-	\$81.892	\$73.718	\$8.174	10.0
Fuel	20.129	16.809	3.320	16.5	0.000	0.000	0.000	-	20.129	16.809	3.320	16.5
Insurance	17.819	16.813	1.006	5.6	3.864	4.079	(0.215)	(5.6)	21.684	20.892	0.791	3.6
Claims	0.814	1.324	(0.509)	(62.5)	0.000	0.000	0.000	-	0.814	1.324	(0.509)	(62.5)
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	102.626	88.589	14.037	13.7	7.555	11.337	(3.782)	(50.1)	110.181	99.926	10.255	9.3
Professional Service Contracts	32.803	27.264	5.539	16.9	6.418	5.558	0.860	13.4	39.221	32.822	6.399	16.3
Materials & Supplies	68.515	70.226	(1.711)	(2.5)	25.892	10.516	15.377	59.4	94.408	80.742	13.666	14.5
Other Business Expenses	23.509	23.374	0.136	0.6	0.518	0.378	0.140	27.0	24.028	23.752	0.276	1.1
<b>Total Non-Labor</b>	<b>\$348.109</b>	<b>\$317.618</b>	<b>\$30.491</b>	<b>8.8</b>	<b>\$44.248</b>	<b>\$32.367</b>	<b>\$11.882</b>	<b>26.9</b>	<b>\$392.357</b>	<b>\$349.985</b>	<b>\$42.373</b>	<b>10.8</b>
<i>Other Adjustments</i>												
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
<b>Total Other Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>
<b>Total Expenses before Non-Cash Liability Adjs.</b>	<b>\$1,108.289</b>	<b>\$1,067.925</b>	<b>\$40.364</b>	<b>3.6</b>	<b>\$178.624</b>	<b>\$180.431</b>	<b>(\$1.806)</b>	<b>(1.0)</b>	<b>\$1,286.913</b>	<b>\$1,248.356</b>	<b>\$38.557</b>	<b>3.0</b>
Depreciation	207.186	206.564	0.622	0.3	0.000	0.000	0.000	-	207.186	206.564	0.622	0.3
OPEB Obligation	62.623	62.623	0.000	0.0	0.000	0.000	0.000	-	62.623	62.623	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
<b>Total Expenses</b>	<b>\$1,382.741</b>	<b>\$1,340.721</b>	<b>\$42.019</b>	<b>3.0</b>	<b>\$178.624</b>	<b>\$180.431</b>	<b>(\$1.806)</b>	<b>(1.0)</b>	<b>\$1,561.365</b>	<b>\$1,521.152</b>	<b>\$40.213</b>	<b>2.6</b>
<b>Net Surplus/(Deficit)</b>	<b>(\$710.946)</b>	<b>(\$665.959)</b>	<b>\$44.987</b>	<b>6.3</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>(\$710.946)</b>	<b>(\$665.959)</b>	<b>\$44.987</b>	<b>6.3</b>
<i>Cash Conversion Adjustments:</i>												
Depreciation	207.186	206.564	(0.622)	(0.3)	0.000	0.000	0.000	-	207.186	206.564	(0.622)	(0.3)
Operating/Capital	(27.989)	(19.881)	8.108	29.0	0.000	0.000	0.000	-	(27.989)	(19.881)	8.108	29.0
Other Cash Adjustments	(33.294)	(55.142)	(21.848)	(65.6)	0.000	0.000	0.000	-	(33.294)	(55.142)	(21.848)	(65.6)
<b>Total Cash Conversion Adjustments</b>	<b>\$145.903</b>	<b>\$131.542</b>	<b>(\$14.362)</b>	<b>(9.8)</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$145.903</b>	<b>\$131.542</b>	<b>(\$14.362)</b>	<b>(9.8)</b>
<b>Net Cash Surplus/(Deficit)</b>	<b>(\$565.043)</b>	<b>(\$534.417)</b>	<b>\$30.626</b>	<b>5.4</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>(\$565.043)</b>	<b>(\$534.417)</b>	<b>\$30.626</b>	<b>5.4</b>

**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**  
**ACCUAL STATEMENT OF OPERATIONS BY CATEGORY**  
**EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS**  
**JULY FINANCIAL PLAN - 2015 MID-YEAR FORECAST**  
**NOVEMBER 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	\$1.515	29.5%	Primarily reflects higher net GCT revenues due to timing differences in the recognition of Vanderbilt Hall Holiday Fair revenue (forecasted in October, recorded in November).	\$1.174	2.1%	
CAPITAL AND OTHER REIMBURSEMENTS	Reimb	(\$2.174)	(11.4%)	Lower reimbursements reflect scheduling changes in capital project activity.	\$1.806	1.0%	
PAYROLL	Reimb	\$0.696	16.5%	Primarily reflects lower project activity for the C-30 Track Program.	(\$3.206)	(7.5%)	Reflects unbudgeted intercompany charges that will be reimbursed by MTA partially offset by retroactive wage adjustments.
OVERTIME	Non-Reimb	\$0.527	6.4%	See overtime tables.	\$6.867	7.9%	See overtime tables.
	Reimb	\$0.477	28.7%	See overtime tables.	(\$1.424)	(8.6%)	See overtime tables.
HEALTH AND WELFARE	Non-Reimb	\$0.429	5.3%	Primarily due to unfilled positions.	\$3.357	3.8%	
	Reimb	\$0.253	20.3%	Reflects lower project activity for the Turnouts Mainline Program.	(\$2.798)	(22.2%)	Primarily reflects unbudgeted intercompany charges that will be reimbursed by MTA.
OPEB CURRENT PAYMENT	Non-Reimb	(\$0.150)	(7.2%)	Reflects a higher than forecasted number of retirees.	(\$2.237)	(9.8%)	Reflects an adjustment for prior period premiums combined with a higher than forecasted number of retirees.
PENSIONS	Non-Reimb	\$0.909	11.9%	Primarily due to unfilled positions.	\$6.376	7.8%	Primarily due to unfilled positions. Pension expenses will be further adjusted pending year-end Actuarial Valuation report.
	Reimb	\$0.164	19.6%	Reflects lower project activity for the Turnouts Mainline Program.	(\$0.800)	(9.5%)	Primarily reflects unbudgeted intercompany charges that will be reimbursed by MTA.
OTHER FRINGE BENEFITS	Non-Reimb	(\$0.851)	(9.3%)	Primarily reflects higher employee claims.	(\$8.937)	(8.9%)	Primarily reflects a YTD Railroad Retirement Tier II tax rate adjustment, the timing of Railroad Retirement Tier II payments related to RWA and higher employee claims.
	Reimb	\$0.152	15.9%	Reflects lower project activity for the Turnouts Mainline Program, GCT Fire Life Safety and C-30 Track Program.	(\$1.349)	(13.5%)	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**  
**NOVEMBER 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	(\$0.876)	(18.7%)	The non-reimbursable and reimbursable variances reflect lower project activity.	\$3.955	8.8%	The non-reimbursable and reimbursable variances reflect higher project activity.
	Reimb	\$0.845	18.8%		(\$4.111)	(9.4%)	
ELECTRIC POWER	Non-Reimb	\$1.002	14.8%	Primarily reflects favorable rates.	\$8.673	10.6%	Primarily due to favorable rates.
	Reimb	(\$0.005)	-		(\$0.498)	-	Reflects prior period billing adjustments for Shore Line East service power utilization on the New Haven Line.
FUEL	Non-Reimb	\$0.832	39.4%	Primarily reflects lower diesel fuel price per gallon.	\$3.320	16.5%	Primarily reflects lower diesel fuel price per gallon.
INSURANCE	Non-Reimb	\$0.162	9.5%	Primarily reflects lower property insurance premiums.	\$1.006	5.6%	Primarily reflects lower property insurance premiums.
	Reimb	\$0.168	41.7%	Reflects lower activity for the CT Track project and Turnouts Mainline Programs.	(\$0.215)	(5.6%)	Reflects higher than forecasted activity for the GCT Turnout/Switch Renewal project and EMU Fleet Replacement Program.
CLAIMS	Non-Reimb	\$0.058	59.1%	Primarily due to the timing of claim payments.	(\$0.509)	(62.5%)	Primarily due to the timing of claim payments.
MAINTENANCE AND OTHER OPERATING CONTRACTS	Non-Reimb	\$2.795	25.3%	Primary reflects the reclassification of operating expenses for ferry services for 2014 and 2015 to the reimbursable budget and lower expenditures for various maintenance contracts and GCT utilities.	\$14.037	13.7%	Primarily due to lower expenditures for maintenance contracts and GCT utilities, timing differences in payments for locomotive overhauls and the reclassification of operating expenses for ferry services for 2014 and 2015 to the reimbursable budget.
	Reimb	(\$2.958)	*	Reflects the reclassification of operating expenses for ferry services for 2014 and 2015 to the reimbursable budget.	(\$3.782)	(50.1%)	Reflects the reclassification of operating expenses for ferry services for 2014 and 2015 to the reimbursable budget and higher activity for Positive Train Control and the Hurricane Sandy Program.
PROFESSIONAL SERVICE CONTRACTS	Non-Reimb	\$0.547	17.0%	Primarily due to an adjustment for 2014 NHL BSC costs and the timing of expenses for outside training and medical services.	\$5.539	16.9%	Favorable variance reflects the timing of expenses for engineer services, outside training, consulting services, medical services and legal fees.
	Reimb	\$1.041	76.6%	Reflects lower project activity for the CCO Shop and EMU Fleet Replacement Program.	\$0.860	13.4%	Reflects lower project activity for the CCO Shop Program.

**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**  
**NOVEMBER 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	(\$0.339)	(5.4%)	Primarily due to higher expenses for rolling stock parts & supplies partially offset by an inventory valuation adjustment.	(\$1.711)	(2.5%)	
	Reimb	\$1.368	45.2%	Reflects lower project activity for the C&S Infrastructure Restoration, Turnouts Mainline Program and Replace Timber Projects.	\$15.377	59.4%	Reflects lower project activity for the following projects: C-30 Track Program, CCO Shop, Positive Train Control, Turnouts Mainline Program, Replace Timbers Projects, and C&S Infrastructure Restoration.
OTHER BUSINESS EXPENSES	Reimb	(\$0.027)	(57.9%)	Due to the timing of the Monthly Ticket Hologram Program.	\$0.140	27.0%	Reflects the timing of the M-8 Specification, Anchor Bridge Substation replacement and H&H Lines Power Improvements.
DEPRECIATION	Non-Reimb	\$0.979	5.1%	Primarily due to the timing of capitalization of assets.	\$0.622	0.3%	
ENVIRONMENTAL REMEDIATION	Non-Reimb	\$0.000	-		\$1.034	22.3%	Primarily due to the timing of projects requiring remediation and an adjustment for revised contracts.
OPERATING CAPITAL	Non-Reim	\$1.137	23.9%	Reflects lower activity for the following projects: Cameras/Audios for M8 and Non-M8 Fleet, WoH Camera Installation, Vehicle Fleet Replacement, Furniture for CCO Shop in NH, GCT Service Elevator, and Long Term Fare Collection Strategy projects partially offset by higher monthly activity for the Locomotive Overhaul for 8 GP35 Locos project.	\$8.108	29.0%	Reflects lower activity for the following projects: Cameras/Audios for M8 and Non-M8 Fleet, WoH Camera Installation, Furniture for CCO Shop in NH, Mobile Ticketing System Upgrade, Avaya Software Upgrade, Demolition of Carey's Hole Space in GCT, GCT Terrazzo Floor Rehabilitation, Hudson Rail Link Bus Replacement, Tarrytown Employee Parking Lot, Hot Box and Wheel Impact Detectors, and Upgrade of Locomotive Simulators project partially offset by higher than anticipated activity on the Locomotive Overhaul For 8 GP35 Locos project.

\* Variance exceeds 100%.

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

<b>NON-REIMBURSABLE OVERTIME</b>	<b>November</b>						<b>November Year-to-Date</b>					
	<b>Mid-Year Forecast</b>		<b>Actuals</b>		<b>Var. - Fav./(Unfav)</b>		<b>Mid-Year Forecast</b>		<b>Actuals</b>		<b>Var. - Fav./(Unfav)</b>	
	<b>Hours</b>	<b>\$</b>	<b>Hours</b>	<b>\$</b>	<b>Hours</b>	<b>\$</b>	<b>Hours</b>	<b>\$</b>	<b>Hours</b>	<b>\$</b>	<b>Hours</b>	<b>\$</b>
<u>Scheduled Service</u> <sup>1</sup>	56,442	\$ 3.330	34,082	\$ 2.077	22,360	\$ 1.254 39.6% 37.7%	576,268	\$ 33.919	491,551	\$ 29.173	84,717	\$ 4.746 14.7% 14.0%
<u>Unscheduled Service</u>	0	\$ -	0	\$ -	0	\$ - - -	0	\$ -	0	\$ -	0	\$ - - -
<u>Programmatic/Routine Maintenance</u>	56,296	\$ 3.042	56,311	\$ 3.068	(15)	\$ (0.026) 0.0% -0.9%	529,260	\$ 28.653	506,583	\$ 27.155	22,677	\$ 1.498 4.3% 5.2%
<u>Unscheduled Maintenance</u>	1,306	\$ 0.067	617	\$ 0.031	689	\$ 0.036 52.8% 53.7%	13,075	\$ 0.685	16,270	\$ 0.866	(3,195)	\$ (0.181) -24.4% -26.4%
<u>Vacancy/Absentee Coverage</u> <sup>2</sup>	26,911	\$ 1.414	25,902	\$ 1.334	1,009	\$ 0.080 3.7% 5.7%	282,377	\$ 14.834	300,206	\$ 15.726	(17,829)	\$ (0.892) -6.3% -6.0%
<u>Weather Emergencies</u>	5,908	\$ 0.324	1,025	\$ 0.059	4,883	\$ 0.264 82.7% 81.5%	144,861	\$ 7.891	110,123	\$ 5.978	34,738	\$ 1.913 24.0% 24.2%
<u>Safety/Security/Law Enforcement</u> <sup>3</sup>	0	\$ -	0	\$ -	0	\$ - - -	0	\$ -	0	\$ -	0	\$ - - -
<u>Other</u> <sup>4</sup>	0	\$ (0.001)	0	\$ 1.078	0	\$ (1.080) - *	0	\$ 0.719	0	\$ 0.933	0	\$ (0.214) - -29.8%
Subtotal	146,864	\$ 8.175	117,937	\$ 7.647	28,927	\$ 0.527 19.7% 6.4%	1,545,841	\$ 86.701	1,424,733	\$ 79.833	121,108	\$ 6.867 7.8% 7.9%
<b>REIMBURSABLE OVERTIME</b>	29,196	\$ 1.664	20,740	\$ 1.187	8,456	\$ 0.477 29.0% 28.7%	290,815	\$ 16.576	309,302	\$ 18.000	(18,487)	\$ (1.424) -6.4% -8.6%
<b>TOTAL OVERTIME</b>	<b>176,060</b>	<b>\$ 9.839</b>	<b>138,677</b>	<b>\$ 8.834</b>	<b>37,382</b>	<b>\$ 1.005</b> 21.2% 10.2%	<b>1,836,655</b>	<b>\$ 103.277</b>	<b>1,734,035</b>	<b>\$ 97.833</b>	<b>102,621</b>	<b>\$ 5.443</b> 5.6% 5.3%

Totals may not add due to rounding.

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

\* Exceeds 100%

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

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

<sup>3</sup> Not Applicable

<sup>4</sup> Reflects 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)**

	November			November Year To Date		
	Var. - Fav./(Unfav)		Explanations	Var. - Fav./(Unfav)		Explanations
	Hours	\$		Hours	\$	
<b>NON-REIMBURSABLE OVERTIME</b>						
<u>Scheduled Service</u> <sup>1</sup>	22,360	\$1.254	Higher staff availability due to recently graduated conductor classes available for service coverage as well as lower than anticipated attrition.	84,717	\$4.746	Higher staff availability due to recently graduated conductor classes available for service coverage as well as lower than anticipated attrition.
	39.6%	37.7%		14.7%	14.0%	
<u>Unscheduled Service</u>	0.0%	\$0.000		0.0%	\$0.000	
	-	-		-	-	
<u>Programmatic/Routine Maintenance</u>	(15)	(\$0.026)		22,677	\$1.498	Reflects lower requirements for the Infrastructure Improvement Program due to a reduced number of continuous track outages resulting in less night/weekend work.
	0.0%	-0.9%		4.3%	5.2%	
<u>Unscheduled Maintenance</u>	689	\$0.036		(3,195)	(\$0.181)	Primarily due to coverage for the CSX derailment.
	52.8%	53.7%		-24.4%	-26.4%	
<u>Vacancy/Absentee Coverage</u> <sup>2</sup>	1,009	\$0.080	Lower vacation, sick and vacancy coverage requirements.	(17,829)	(\$0.892)	Primarily due to vacation, sick and vacancy coverage for M of E and M of W must-fill positions.
	3.7%	5.7%		-6.3%	-6.0%	
<u>Weather Emergencies</u>	4,883	\$0.264	No severe weather events for the month.	34,738	\$1.913	No severe weather events since April.
	82.7%	81.5%		24.0%	24.2%	
<u>Safety/Security/Law Enforcement</u> <sup>3</sup>	0.0%	\$0.000		0.0%	\$0.000	
	-	-		-	-	
<u>Other</u> <sup>4</sup>	0.0%	(\$1.080)	Reflects timing differences related to payroll and calendar cut-off dates.	0.0%	(\$0.214)	Reflects timing differences related to payroll and calendar cut-off dates.
	-	*		-	-29.8%	
<b>Subtotal</b>	<b>28,926</b>	<b>\$0.527</b>		<b>121,108</b>	<b>\$6.867</b>	
	19.7%	6.4%		7.8%	7.9%	
<b>REIMBURSABLE OVERTIME</b>	8,456	\$0.477	Reflects lower project activity for the Turnouts Mainline program.	(18,487)	(\$1.424)	Reflects higher than forecasted activity for the GCT Turnouts as well as the Overhead Bridge and C-29 Programs.
	29.0%	28.7%		-6.4%	-8.6%	
<b>TOTAL OVERTIME</b>	<b>37,382</b>	<b>\$1.004</b>		<b>102,621</b>	<b>\$5.443</b>	

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

\* Exceeds 100%

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

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

<sup>3</sup> Not Applicable

<sup>4</sup> Reflects timing differences related to payroll and calendar cutoff dates.



**MTA METRO-NORTH RAILROAD**  
**2015 Overtime Report**  
**Overtime Legend**

**REVISED OVERTIME DECOMPOSITION LEGEND DEFINITIONS**

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

	November 2015				Year-to-Date			
	Mid-Year Forecast	Actual	Favorable (Unfavorable)		Mid-Year Forecast	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent
<b>Receipts</b>								
Farebox Receipts	\$57.798	\$57.330	(\$0.468)	(0.8)	\$618.623	\$620.684	\$2.061	0.3
Toll Receipts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Receipts	5.483	8.637	3.154	57.5	91.047	71.866	(19.181)	(21.1)
<i>Capital &amp; Other Reimbursements:</i>								
MTA	15.298	8.523	(6.775)	(44.3)	103.966	66.112	(37.854)	(36.4)
CDOT	5.556	7.544	1.988	35.8	64.641	64.801	0.160	0.2
Other	1.574	1.706	0.132	8.4	16.747	14.945	(1.802)	(10.8)
Total Capital and Other Reimbursements	22.429	17.773	(4.656)	(20.8)	185.354	145.858	(39.496)	(21.3)
<b>Total Receipts</b>	<b>\$85.710</b>	<b>\$83.740</b>	<b>(\$1.970)</b>	<b>(2.3)</b>	<b>\$895.023</b>	<b>\$838.408</b>	<b>(\$56.615)</b>	<b>(6.3)</b>
<b>Expenditures</b>								
<i>Labor:</i>								
Payroll	\$36.575	\$42.205	(\$5.630)	(15.4)	\$545.679	\$543.385	\$2.294	0.4
Overtime	12.810	8.574	4.236	33.1	116.635	112.905	3.730	3.2
Health and Welfare	9.018	8.826	0.192	2.1	104.186	108.042	(3.856)	(3.7)
OPEB Current Payment	1.825	2.275	(0.450)	(24.7)	22.976	25.124	(2.148)	(9.4)
Pensions	11.148	9.313	1.835	16.5	75.584	65.395	10.189	13.5
Other Fringe Benefits	7.582	7.971	(0.389)	(5.1)	120.594	128.126	(7.532)	(6.2)
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	-
<b>Total Labor</b>	<b>\$78.959</b>	<b>\$79.164</b>	<b>(\$0.205)</b>	<b>(0.3)</b>	<b>\$985.654</b>	<b>\$982.977</b>	<b>\$2.677</b>	<b>0.3</b>
<i>Non-Labor:</i>								
Electric Power	\$7.433	\$4.338	\$3.095	41.6	\$82.796	\$73.336	\$9.460	11.4
Fuel	1.824	1.845	(0.021)	(1.2)	19.566	22.065	(2.499)	(12.8)
Insurance	0.000	3.864	(3.864)	-	23.378	22.515	0.863	3.7
Claims	10.064	0.094	9.970	99.1	49.586	13.495	36.091	72.8
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	12.492	8.352	4.140	33.1	107.757	90.195	17.562	16.3
Professional Service Contracts	4.936	2.456	2.480	50.2	42.468	29.421	13.047	30.7
Materials & Supplies	9.332	8.400	0.932	10.0	103.293	99.019	4.274	4.1
Other Business Expenditures	3.879	4.428	(0.549)	(14.1)	45.568	39.802	5.766	12.7
<b>Total Non-Labor</b>	<b>\$49.959</b>	<b>\$33.777</b>	<b>\$16.182</b>	<b>32.4</b>	<b>\$474.412</b>	<b>\$389.848</b>	<b>\$84.564</b>	<b>17.8</b>
<i>Other Adjustments:</i>								
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Post Employment Benefits	0.000	0.000	0.000	-	0.000	0.000	0.000	-
<b>Total Other Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>
<b>Total Expenditures</b>	<b>\$128.918</b>	<b>\$112.941</b>	<b>\$15.977</b>	<b>12.4</b>	<b>\$1,460.066</b>	<b>\$1,372.825</b>	<b>\$87.241</b>	<b>6.0</b>
<b>Net Cash Deficit ( excludes Opening Cash Balance)</b>	<b>(\$43.208)</b>	<b>(\$29.201)</b>	<b>\$14.007</b>	<b>32.4</b>	<b>(\$565.043)</b>	<b>(\$534.417)</b>	<b>\$30.626</b>	<b>5.4</b>
<b>Subsidies</b>								
MTA	25.917	25.764	(0.153)	(0.6)	419.811	411.890	(7.921)	(1.9)
CDOT	17.291	6.976	(10.315)	(59.7)	139.314	123.689	(15.625)	(11.2)
<b>Total Subsidies</b>	<b>\$43.208</b>	<b>\$32.740</b>	<b>(\$10.468)</b>	<b>(24.2)</b>	<b>\$559.125</b>	<b>\$535.579</b>	<b>(\$23.546)</b>	<b>(4.2)</b>
<b>Cash Timing and Availability Adjustment</b>	<b>\$0.000</b>	<b>(\$6.289)</b>	<b>(\$6.289)</b>	<b>-</b>	<b>\$5.918</b>	<b>(\$1.162)</b>	<b>(\$7.080)</b>	<b>*</b>

-- Results are preliminary and subject to audit review.

-- Differences are due to rounding.

\* Variance exceeds 100%.

**MTA METRO-NORTH RAILROAD**  
**JULY FINANCIAL PLAN - 2015 MID-YEAR FORECAST**  
**CASH RECEIPTS AND EXPENDITURES**  
**EXPLANATION OF VARIANCE BETWEEN FORECAST AND ACTUAL RESULTS**  
(\$ in millions)

\$ Detail

Generic Receipt or Expense Category	November Month vs Mid-Year Forecast			Year-To-Date as of November 30, 2015		
	Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
	\$	%		\$	%	
OTHER OPERATING REVENUE	3.154	57.5%	Receipt of Inter-Agency revenue from NYCTA for Q2 and Q3 combined with CSX reimbursement for 2014 derailment.	(19.181)	(21.1%)	Timing of anticipated claim reimbursement from FMTAC partially offset by receipt of Inter-Agency revenue from NYCTA.
CAPITAL AND OTHER REIMBURSEMENTS:						
MTA	(6.775)	(44.3%)	Lower cash receipts due to lower capital related project activity combined with timing of payments.	(37.854)	(36.4%)	Lower cash receipts due to lower capital related project activity combined with timing of payments.
CDOT	1.988	35.8%	Higher cash receipts due to timing of payments partially offset by lower capital related project activity.	0.160	0.2%	
OTHER	0.132	8.4%	Higher cash receipts due to higher capital related project activity partially offset by timing of payments.	(1.802)	(10.8%)	Lower cash receipts due to timing of payments combined with lower capital related project activity.
PAYROLL	(5.630)	(15.4%)	Timing of Retroactive wage adjustment (RWA) settlement payouts.	2.294	0.4%	
OVERTIME	4.236	33.1%	Timing of payments combined with lower scheduled service, programmatic maintenance and no weather events.	3.730	3.2%	Timing of payments combined with lower scheduled service, programmatic maintenance and no weather events.
OPEB CURRENT PAYMENT	(0.450)	(24.7%)	Timing of retiree health benefit payments.	(2.148)	(9.4%)	Timing of retiree health benefit payments.
PENSIONS	1.835	16.5%	Lower than forecasted rates.	10.189	13.5%	Lower than forecasted rates.
OTHER FRINGE BENEFITS	(0.389)	(5.1%)	Timing of claims and suits filed by employees (FELA) partially offset by timing of Tier I & II payroll taxes.	(7.532)	(6.2%)	Claims and suits filed by employees (FELA) combined with the timing of Tier I & II payroll and sick & unemployment taxes.
ELECTRIC POWER	3.095	41.6%	Lower electric rates on all lines combined with timing of payments.	9.460	11.4%	Lower electric rates on all lines partially offset by timing of payments.
FUEL	(0.021)	(1.2%)		(2.499)	(12.8%)	Timing of payments partially offset by lower diesel fuel price per gallon.
INSURANCE	(3.864)	*	Timing of All Agency Property, Station Liability, Force Account and Auto premiums.	0.863	3.7%	
CLAIMS	9.970	99.1%	Timing of claim payments for Spuyten Duyvil and Bridgeport incidents.	36.091	72.8%	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	November Month vs Mid-Year Forecast			Year-To-Date as of November 30, 2015		
	Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
	\$	%		\$	%	
MAINTENANCE & OTHER OPERATING CONTRACTS	4.140	33.1%	Timing of Maintenance & Repair, Operating Capital Projects (Vehicle Replacement and Furniture for CCO Shop), Steam and Telephone.	17.562	16.3%	Timing of Maintenance & Repair, Operating Capital Projects (Demolition of Carey's Hole Space, Furniture for CCO Shop, Hudson Rail Link Replacement and Upgrade of Locomotive Simulators), Real Estate Rentals & Management Services, Steam and MTA Police.
PROFESSIONAL SERVICE CONTRACTS	2.480	50.2%	Timing of Engineering Services and operating capital projects (Cameras/Audio for Fleet).	13.047	30.7%	Timing of payments for Engineering Services, NHL BSC Costs and operating capital related projects (Cameras/Audio for Fleet).
MATERIALS & SUPPLIES	0.932	10.0%	Timing of Truck Suspension Material.	4.274	4.1%	
OTHER BUSINESS EXPENSES	(0.549)	(14.1%)	Timing of Other Non-Operating Expenses and Stationary purchases.	5.766	12.7%	Reclass of YTD technology costs from MNR to MTA Headquarters combined with lower NJT subsidy, stationary & office supplies and Travel & Conventions.
CDOT SUBSIDY RECEIPTS	(10.315)	(59.7%)	Timing of RWA reimbursement combined with lower estimated monthly deficit than forecasted.	(15.625)	(11.2%)	Lower estimated deficits of prior months than forecasted combined with timing of RWA reimbursement partially offset by timing of admin asset payment.

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

	November 2015				Year-to-Date			
	Mid-Year Forecast	Actual	Favorable (Unfavorable)		Mid-Year Forecast	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent
<b>Receipts</b>								
Farebox Revenue	\$0.339	(\$0.536)	(\$0.874)	*	\$3.118	\$3.385	\$0.268	8.6
Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	0.354	1.992	1.638	*	34.757	14.402	(20.355)	(58.6)
<i>Capital &amp; Other Reimbursements:</i>		0.000			0.000	0.000		
MTA	3.811	(1.621)	(5.432)	*	(0.333)	(43.041)	(42.707)	*
CDOT	(0.442)	3.960	4.402	*	5.276	12.095	6.819	*
Other	(0.028)	(1.480)	(1.452)	*	1.786	(3.627)	(5.414)	*
Total Capital and Other Reimbursements	3.341	0.860	(2.481)	(74.3)	6.729	(34.573)	(41.302)	*
<b>Total Revenue/Receipts</b>	<b>\$4.033</b>	<b>\$2.316</b>	<b>(\$1.717)</b>	<b>(42.6)</b>	<b>\$44.604</b>	<b>(\$16.786)</b>	<b>(\$61.389)</b>	<b>*</b>
<b>Expenditures</b>								
<i>Labor:</i>								
Payroll	\$6.917	(\$0.242)	(\$7.159)	*	(\$76.196)	(\$71.186)	\$5.010	6.6
Overtime	(2.971)	0.260	3.231	*	(13.358)	(15.071)	(1.713)	(12.8)
Health and Welfare	0.342	(0.148)	(0.490)	*	(3.683)	(8.099)	(4.416)	*
OPEB Current Payment	0.239	(0.061)	0.000		(0.240)	(0.151)	0.089	37.0
Pensions	(2.703)	(1.941)	0.762	28.2	14.093	18.706	4.613	32.7
Other Fringe Benefits	2.558	2.869	0.311	12.2	(10.503)	(7.749)	2.754	26.2
GASB Account	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Reimbursable Overhead	(0.197)	(0.166)	0.032	16.0	(1.209)	(1.054)	0.156	12.9
<b>Total Labor</b>	<b>\$4.185</b>	<b>\$0.571</b>	<b>(\$3.614)</b>	<b>(86.4)</b>	<b>(\$91.098)</b>	<b>(\$84.606)</b>	<b>\$6.492</b>	<b>7.1</b>
<i>Non-Labor:</i>								
Electric Power	(\$0.654)	\$1.444	\$2.098	*	(\$0.903)	\$0.382	\$1.285	*
Fuel	0.291	(0.563)	(0.854)	*	0.564	(5.256)	(5.819)	*
Insurance	2.110	(2.084)	(4.194)	*	(1.695)	(1.623)	0.072	4.2
Claims	(9.966)	(0.054)	9.912	99.5	(48.772)	(12.171)	36.600	75.0
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	(0.626)	3.678	4.303	*	2.424	9.731	7.307	*
Professional Service Contracts	(0.353)	0.538	0.891	*	(3.247)	3.401	6.648	*
Materials & Supplies	(0.066)	(0.162)	(0.097)	*	(8.885)	(18.277)	(9.392)	*
Other Business Expenses	(2.437)	(2.967)	(0.530)	(21.7)	(21.541)	(16.050)	5.491	25.5
<b>Total Non-Labor</b>	<b>(\$11.702)</b>	<b>(\$0.171)</b>	<b>\$11.531</b>	<b>98.5</b>	<b>(\$82.055)</b>	<b>(\$39.863)</b>	<b>\$42.192</b>	<b>51.4</b>
<i>Other Adjustments:</i>								
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-
<b>Total Other Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>
<b>Total Expenditures Adjustments before Non-Cash Liability Adjs.</b>	<b>(\$7.516)</b>	<b>\$0.400</b>	<b>\$7.916</b>	<b>*</b>	<b>(\$173.153)</b>	<b>(\$124.469)</b>	<b>\$48.684</b>	<b>28.1</b>
Depreciation	19.021	18.042	(0.979)	(5.1)	207.186	206.564	(0.622)	(0.3)
OPEB Obligation	5.693	5.693	0.000	0.0	62.623	62.623	0.000	0.0
Environmental Remediation	0.000	0.000	0.000	-	4.643	3.609	(1.034)	22.3
<b>Total Expenditures Adjustments</b>	<b>\$17.197</b>	<b>\$24.135</b>	<b>\$6.937</b>	<b>40.3</b>	<b>\$101.299</b>	<b>\$148.327</b>	<b>\$47.028</b>	<b>46.4</b>
<b>Total Cash Conversion Adjustments</b>	<b>\$21.231</b>	<b>\$26.451</b>	<b>\$5.220</b>	<b>24.6</b>	<b>\$145.903</b>	<b>\$131.542</b>	<b>(\$14.362)</b>	<b>(9.8)</b>

**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)**

	<u>Month of November</u>		<u>Variance</u>		<u>Year-to-Date November</u>		<u>Variance</u>	
	<u>MYF</u>	<u>Actual</u>	<u>Fav (Unfav)</u> <u>Amount</u>	<u>%</u>	<u>MYF</u>	<u>Actual</u>	<u>Fav (Unfav)</u> <u>Amount</u>	<u>%</u>
<u>Farebox Revenue</u>								
Harlem Line	\$17.079	\$17.251	\$0.172	1.0	\$182.857	\$183.930	\$1.073	0.6
Hudson Line	\$12.465	\$12.465	(\$0.001)	0.0	\$133.942	\$134.037	\$0.094	0.1
New Haven Line	\$27.879	\$28.104	\$0.225	0.8	\$298.329	\$298.982	\$0.652	0.2
 Total Farebox Revenue	 \$57.424	 \$57.820 <sup>(1)</sup>	 \$0.396	 0.7	 \$615.129	 \$616.949 <sup>(1)</sup>	 \$1.820	 0.3
 <u>Ridership</u>								
Harlem Line	2.224	2.240	0.015	0.7	24.959	25.061	0.103	0.4
Hudson Line	1.322	1.318	(0.004)	-0.3	15.011	14.987	(0.025)	-0.2
New Haven Line	3.298	3.302	0.005	0.1	36.784	36.738	(0.046)	-0.1
 Total Ridership East of Hudson	 6.844	 6.860	 0.016	 0.2	 76.754	 76.786	 0.032	 0.0
 West of Hudson	 0.142	 0.152 <sup>(2)</sup>	 0.011	 7.5	 1.614	 1.612 <sup>(2)</sup>	 (0.003)	 -0.2
 Total Ridership	 6.985	 7.012	 0.027	 0.4	 78.368	 78.398	 0.029	 0.0

(1) Excludes West of Hudson Mail & Ride revenue totaling \$0.045 million for the month and \$0.350 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 was 0.2% or 16K rides higher as compared to the Forecast:

- Harlem Line was 0.7% above the Forecast due to higher than projected commutation and non-commutation growth
- New Haven Line was 0.1% above the Forecast due to higher than projected commutation growth
- Hudson Line was 0.3% below the Forecast due to lower than projected commutation growth
- Compared to November 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 than the Forecast due to an increase in both commutation and non-commutation ridership
- Hudson Line was 0.2% below the Forecast due to lower commutation ridership
- New Haven Line was 0.1% below the Forecast due to lower non-commutation ridership
- Compared to YTD November 2014, East of Hudson ridership was up by 1.5%

Commutation ridership as compared to the Forecast was:

- 0.5% higher for the month reflecting higher than projected growth on the Harlem and New Haven Lines
- YTD Commutation was higher by 0.1% vs. the Forecast
- Compared to YTD November 2014, commutation ridership was 1.0% higher

Non-commutation ridership as compared to the Forecast was:

- 0.1% lower for the month reflecting lower than projected growth predominantly on the New Haven Line
- Overall, YTD Non-Commutation was on target vs. the Forecast
- Compared to YTD November 2014, non-commutation was 2.3% higher

**West of Hudson:**

West of Hudson ridership as compared to the Forecast was:

- 7.5% higher for the month and 0.2% lower YTD

**MTA METRO-NORTH RAILROAD**  
**2015 MID-YEAR FORECAST VS. ACTUALS**  
**TOTAL FULL-TIME POSITIONS AND FULL-TIME EQUIVALENTS**  
**November 30, 2015**

<u>Department</u>	<u>Mid-Year Forecast</u>	<u>Actual</u>	<u>Favorable (Unfavorable) Variance</u>
<b>Administration</b>			
President	4	4	-
Labor Relations	18	16	2
Safety/Security (1)(2)	69	58	11
COS/Corporate & Public Affairs (3)	18	22	(4)
Legal	19	17	3
Claims Services	14	13	1
Environmental Compliance & Svce	8	7	1
VP Human Resources	4	4	0
Human Resources (4)	39	33	6
Training (1)	97	63	34
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	21	12
Long Range Planning	8	7	1
VP Finance & Information Systems	4	1	3
Controller	77	75	2
Budget	20	17	3
Customer Service	49	51	(2)
Procurement & Material Mgmt	35	29	7
<b>Total Administration</b>	<b>558</b>	<b>474</b>	<b>84</b>
<b>Operations</b>			
Operations Administration (4)	87	74	13
Transportation (5)(6)	1,496	1,507	(11)
Customer Service (4)	232	227	5
GCT & Corporate Development (4)	36	31	5
Metro-North West (7)	28	32	(4)
<b>Total Operations</b>	<b>1,879</b>	<b>1,870</b>	<b>9</b>
<b>Maintenance</b>			
GCT & Corporate Development (4)	172	157	15
Maintenance of Equipment (1)(4)	1,703	1,622	81
Maintenance of Way (1)	1,979	1,877	102
Procurement & Material Mgmt	123	121	2
<b>Total Maintenance</b>	<b>3,977</b>	<b>3,777</b>	<b>200</b>
<b>Engineering/Capital</b>			
Construction Management	40	37	4
Engineering & Design (3)	64	68	(4)
<b>Total Engineering/Capital</b>	<b>104</b>	<b>104</b>	<b>(0)</b>
<b>Total Positions</b>	<b>6,518</b>	<b>6,225</b>	<b>293</b>
<b>Non-Reimbursable</b>	<b>5,772</b>	<b>5,793</b>	<b>(21)</b>
<b>Reimbursable</b>	<b>746</b>	<b>432</b>	<b>314</b>
<b>Total Full-Time</b>	<b>6,517</b>	<b>6,224</b>	<b>293</b>
<b>Total Full-Time-Equivalents (of part-time positions)</b>	<b>1</b>	<b>1</b>	<b>-</b>

(1) Variance reflects delayed hiring of 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 delayed and internal hiring of 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.

**MTA METRO-NORTH RAILROAD**  
**2015 MID-YEAR FORECAST VS. ACTUALS**  
**TOTAL FULL-TIME POSITIONS AND FULL-TIME EQUIVALENTS**  
**November 30, 2015**

FUNCTION/OCCUPATION	Mid-Year Forecast	Actual	Favorable (Unfavorable) Variance
<b>Administration</b>			
Managers/Supervisors	157	146	11
Professional, Technical, Clerical	401	328	73
Operational Hourlies	-	-	-
<b>Total Administration</b>	<b>558</b>	<b>474</b>	<b>84</b>
<b>Operations</b>			
Managers/Supervisors	233	216	17
Professional, Technical, Clerical	190	175	16
Operational Hourlies	1,456	1,480	(24)
<b>Total Operations</b>	<b>1,879</b>	<b>1,870</b>	<b>9</b>
<b>Maintenance (1)</b>			
Managers/Supervisors	619	567	51
Professional, Technical, Clerical	537	488	48
Operational Hourlies	2,822	2,721	101
<b>Total Maintenance</b>	<b>3,977</b>	<b>3,777</b>	<b>200</b>
<b>Engineering/Capital</b>			
Managers/Supervisors	42	40	3
Professional, Technical, Clerical	62	65	(3)
Operational Hourlies	-	-	-
	<b>104</b>	<b>104</b>	<b>(0)</b>
<b>Public Safety</b>			
Managers/Supervisors	-	-	-
Professional, Technical, Clerical	-	-	-
Operational Hourlies	-	-	-
<b>Total Public Safety</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total Positions</b>			
Managers/Supervisors	1,051	969	82
Professional, Technical, Clerical	1,190	1,055	134
Operational Hourlies	4,278	4,201	77
<b>Total Positions</b>	<b>6,518</b>	<b>6,225</b>	<b>293</b>

**Notes**

(1) Variance reflects delayed and internal hiring of vacant positions.



**MTA METRO-NORTH RAILROAD  
2015 MID-YEAR FORECAST VS. ACTUALS**

November 30, 2015

<b>Agency-wide (Non-Reimbursable and Reimbursable)</b>	<b>Mid-Year Forecast</b>	<b>Actual</b>	<b>Favorable (Unfavorable) Variance</b>	<b>Explanation of Variances</b>
<i>Functional Classification:</i>				
Operations	1,879	1,870	9	
Maintenance (1)	3,977	3,777	200	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	558	474	84	Vacancies reflects timing differences in hiring of newly created positions in the Training and Safety departments.
Engineering / Capital	104	104	(0)	
<b>Total Agency-wide Headcount</b>	<b>6,518</b>	<b>6,225</b>	<b>293</b>	
Non-Reimbursable	5,772	5,793	(21)	Reflects a transfer of reimbursable Maintenance of Way positions to perform operating work.
Reimbursable	746	432	314	

**Notes**

(1) Variance reflects delayed and internal hiring of vacant positions.

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

	MONTH			VARIANCE	
	2015	MYF	2014	MYF	2014
Farebox Operating Ratio					
Standard <sup>(1)</sup>	60.6%	55.4%	67.3%	5.2%	-6.7%
Adjusted <sup>(2)</sup>	69.9%	62.2%	77.0%	7.7%	-7.1%
Cost per Passenger					
Standard <sup>(1)</sup>	\$14.04	\$15.29	\$12.56	\$1.25	(\$1.48)
Adjusted <sup>(2)</sup>	\$13.76	\$15.07	\$12.46	\$1.31	(\$1.30)
Passenger Revenue/Passenger <sup>(3)</sup>	\$8.51	\$8.47	\$8.46	\$0.04	\$0.05
	YEAR-TO-DATE			VARIANCE	
	2015	MYF	2014	MYF	2014
Farebox Operating Ratio					
Standard <sup>(1)</sup>	59.4%	56.9%	54.4%	2.5%	5.0%
Adjusted <sup>(2)</sup>	67.1%	64.0%	61.1%	3.1%	6.0%
Cost per Passenger					
Standard <sup>(1)</sup>	\$13.68	\$14.22	\$14.55	\$0.54	\$0.87
Adjusted <sup>(2)</sup>	\$13.39	\$13.96	\$14.31	\$0.57	\$0.92
Passenger Revenue/Passenger <sup>(3)</sup>	\$8.12	\$8.10	\$7.92	\$0.02	\$0.20

(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**

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# **MTA METRO-NORTH RAILROAD**

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## **MONTHLY RIDERSHIP REPORT**

**NOVEMBER 2015**

Operations Planning & Analysis Department  
January, 2016

# NOVEMBER 2015 RIDERSHIP & REVENUE REPORT

## MTA METRO-NORTH RAILROAD

### EXECUTIVE SUMMARY

#### November Ridership and Revenue (millions)

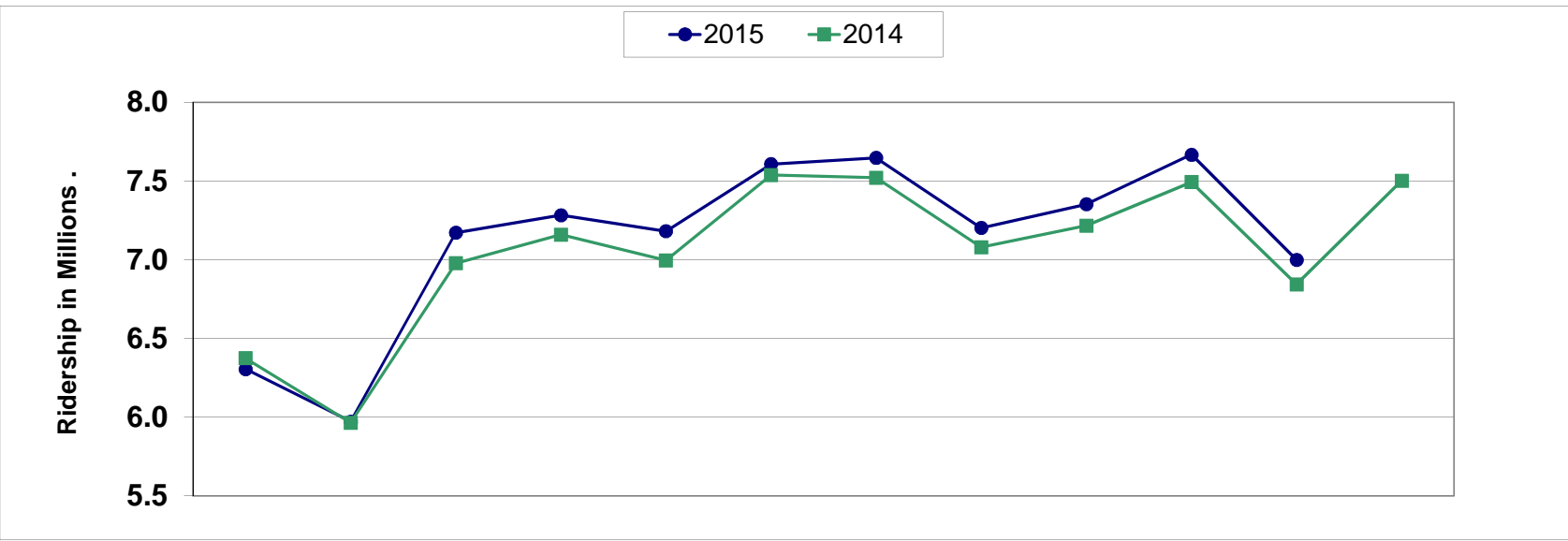
	November 2015	% Change vs. 2014
Total Rail Ridership	6.998	+2.3% ▲
Commutation Ridership	3.894	+1.7% ▲
Non-Commutation Ridership	3.104	+2.9% ▲
Connecting Service Ridership	0.045	+3.8% ▲
Total MNR System Ridership	7.043	+2.3% ▲
Rail Revenue	\$59.1	+5.4% ▲

#### Year-to-Date to November Ridership and Revenue (millions)

	YTD 2015	% Change vs. 2014	Comparison to Forecast
Total Rail Ridership	78.386	+1.6% ▲	+0.0% ▲
Commutation Ridership	45,151	+1.0% ▲	+0.0% ▲
Non-Commutation Ridership	33.235	+2.4% ▲	+0.0% ▲
Connecting Service Ridership	0.510	+3.8% ▲	+3.0% ▲
Total MNR System Ridership	78.896	+1.6% ▲	0.0% ▲
Rail Revenue	\$630.7	+4.2% ▲	-0.6% ▼

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

- November's Total Rail Ridership was 2.3% above 2014 and 0.2% above forecast.

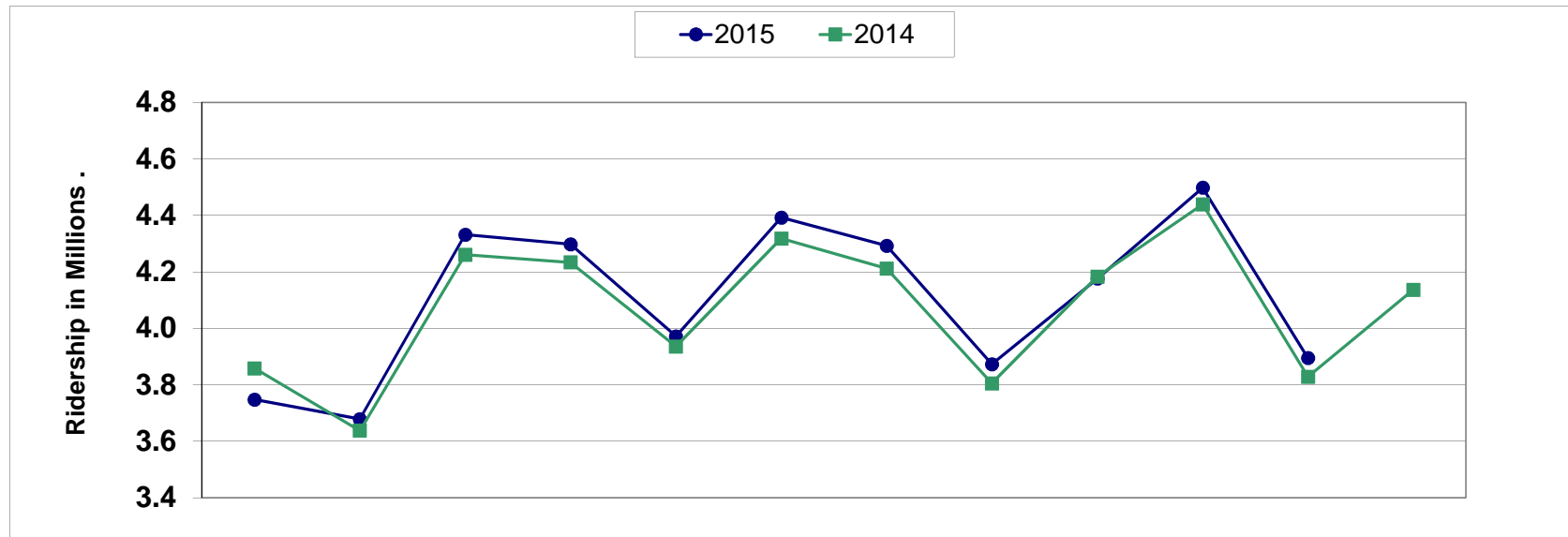


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2015	6.3	6.0	7.2	7.3	7.2	7.6	7.6	7.2	7.4	7.7	7.0		78.4
2014	6.4	6.0	7.0	7.2	7.0	7.5	7.5	7.1	7.2	7.5	6.8	7.5	77.2
PCT CHG.	-1.1%	0.1%	2.8%	1.7%	2.7%	0.9%	1.7%	1.7%	1.9%	2.3%	2.3%		1.6%

1) Includes East and West of Hudson.

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

- November's Rail Commutation Ridership was 1.7% above 2014 and 0.3% above vs.forecast.

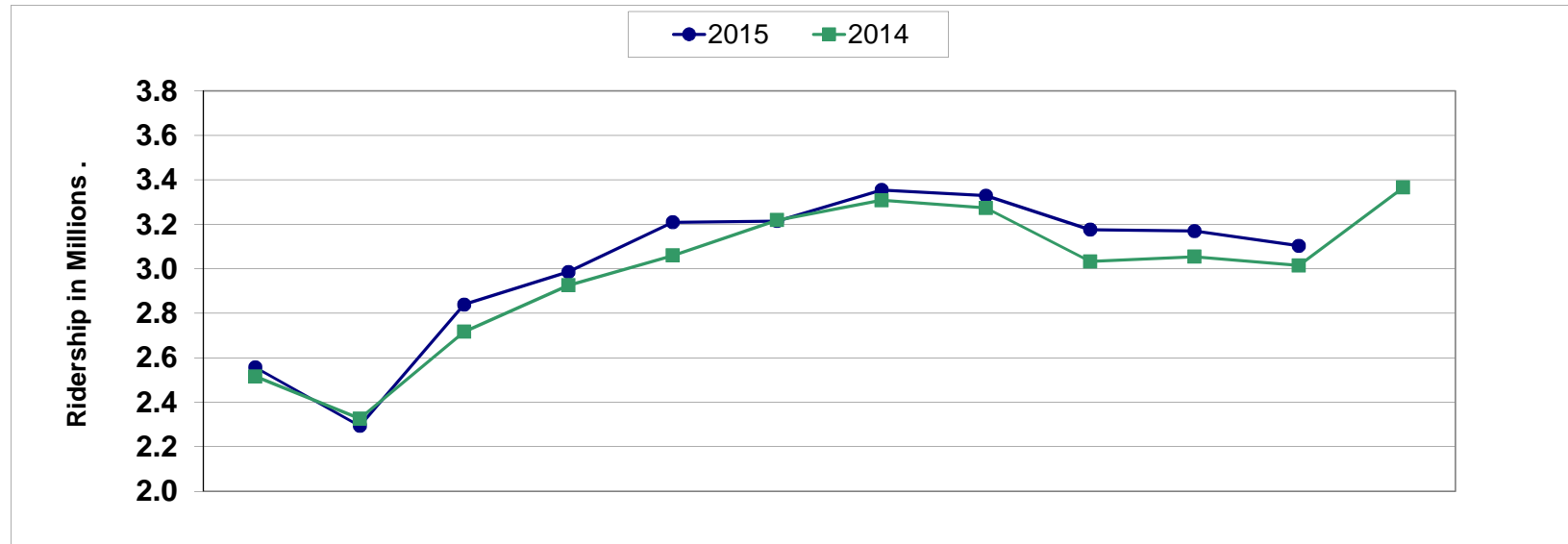


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2015	3.7	3.7	4.3	4.3	4.0	4.4	4.3	3.9	4.2	4.5	3.9		45.2
2014	3.9	3.6	4.3	4.2	3.9	4.3	4.2	3.8	4.2	4.4	3.8	4.1	44.7
PCT CHG.	-2.9%	1.1%	1.7%	1.5%	0.9%	1.7%	1.9%	1.8%	-0.2%	1.3%	1.7%		1.0%

1) Includes East and West of Hudson.

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

- November's Rail Non-Commutation Ridership was 2.9% above 2014 and unchanged vs. forecast.



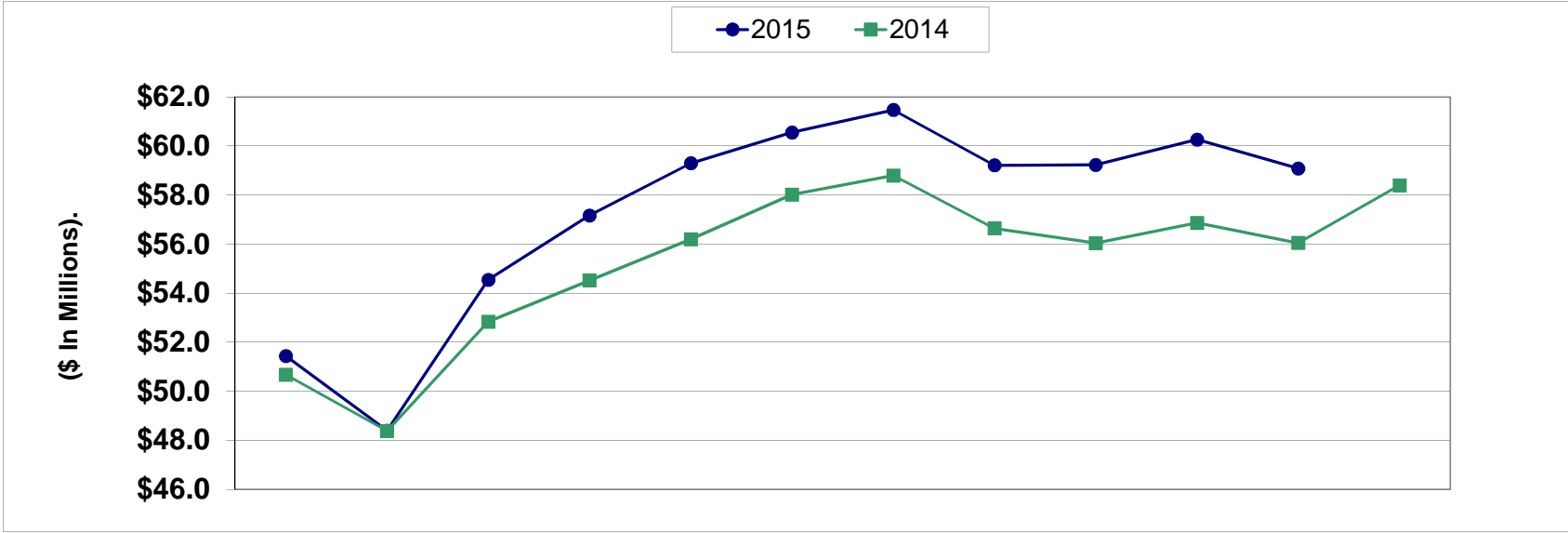
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2015	2.6	2.3	2.8	3.0	3.2	3.2	3.4	3.3	3.2	3.2	3.1		33.2
2014	2.5	2.3	2.7	2.9	3.1	3.2	3.3	3.3	3.0	3.1	3.0	3.4	32.5
PCT CHG.	1.6%	-1.4%	4.5%	2.1%	4.9%	-0.1%	1.4%	1.7%	4.7%	3.8%	2.9%		2.4%

1) Includes East and West of Hudson.



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

- November's Total Rail Revenue was 5.4% above 2014 and 2.7% below 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	\$59.1		\$630.7
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	\$605.0
PCT CHG.	1.5%	0.0%	3.2%	4.9%	5.5%	4.4%	4.6%	4.5%	5.7%	6.0%	5.4%		4.2%

1) Includes East and West of Hudson.

# MTA METRO-NORTH RAILROAD RIDERSHIP SUMMARY NOVEMBER 2015

TICKET TYPE/SERVICE	NOVEMBER 2015 ACTUAL	NOVEMBER 2015 MID-YEAR	VARIANCE VS. MID-YEAR		NOVEMBER 2014 RESTATE <sup>(1)</sup>	CHANGE FROM 2014	
			AMOUNT	PERCENT		AMOUNT	PERCENT
<b>RAIL COMMUTATION RIDERSHIP</b>							
East of Hudson	3,820,213	3,802,170	18,043	0.5%	3,754,058	66,155	1.8%
West of Hudson	74,187	78,761	(4,574)	-5.8%	73,991	196	0.3%
<b>Total Rail Commutation Ridership</b>	<b>3,894,400</b>	<b>3,880,931</b>	<b>13,469</b>	<b>0.3%</b>	<b>3,828,049</b>	<b>66,351</b>	<b>1.7%</b>
<b>RAIL NON-COMMUTATION RIDERSHIP</b>							
East of Hudson	3,039,522	3,041,552	(2,030)	-0.1%	2,952,805	86,717	2.9%
West of Hudson	64,251	62,873	1,378	2.2%	62,531	1,720	2.8%
<b>Total Rail Non-Commutation Ridership</b>	<b>3,103,773</b>	<b>3,104,425</b>	<b>(652)</b>	<b>0.0%</b>	<b>3,015,336</b>	<b>88,437</b>	<b>2.9%</b>
<b>TOTAL RAIL RIDERSHIP</b>							
East of Hudson	6,859,735	6,843,722	16,013	0.2%	6,706,863	152,872	2.3%
West of Hudson	138,438	141,634	(3,196)	-2.3%	136,522	1,916	1.4%
<b>TOTAL RAIL RIDERSHIP</b>	<b>6,998,173</b>	<b>6,985,356</b>	<b>12,817</b>	<b>0.2%</b>	<b>6,843,385</b>	<b>154,788</b>	<b>2.3%</b>
<b>CONNECTING SERVICES RIDERSHIP <sup>(2)</sup></b>	<b>44,771</b>	<b>43,472</b>	<b>1,299</b>	<b>3.0%</b>	<b>43,112</b>	<b>1,659</b>	<b>3.8%</b>
<b>TOTAL MNR SYSTEM RIDERSHIP</b>	<b>7,042,944</b>	<b>7,028,828</b>	<b>14,116</b>	<b>0.2%</b>	<b>6,886,497</b>	<b>156,447</b>	<b>2.3%</b>

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 <sup>(1)</sup>	CHANGE FROM 2014	
			AMOUNT	PERCENT		AMOUNT	PERCENT
<b>RAIL COMMUTATION RIDERSHIP</b>							
East of Hudson	44,243,502	44,211,211	32,291	0.1%	43,822,467	421,035	1.0%
West of Hudson	907,664	936,771	(29,107)	-3.1%	885,594	22,070	2.5%
<b>Total Rail Commutation Ridership</b>	<b>45,151,166</b>	<b>45,147,982</b>	<b>3,184</b>	<b>0.0%</b>	<b>44,708,061</b>	<b>443,105</b>	<b>1.0%</b>
<b>RAIL NON-COMMUTATION RIDERSHIP</b>							
East of Hudson	32,542,680	32,542,924	(244)	0.0%	31,796,664	746,016	2.3%
West of Hudson	692,056	677,389	14,667	2.2%	653,420	38,636	5.9%
<b>Total Rail Non-Commutation Ridership</b>	<b>33,234,736</b>	<b>33,220,313</b>	<b>14,423</b>	<b>0.0%</b>	<b>32,450,084</b>	<b>784,652</b>	<b>2.4%</b>
<b>TOTAL RAIL RIDERSHIP</b>							
East of Hudson	76,786,182	76,754,135	32,047	0.0%	75,619,131	1,167,051	1.5%
West of Hudson	1,599,720	1,614,160	(14,440)	-0.9%	1,539,014	60,706	3.9%
<b>TOTAL RAIL RIDERSHIP</b>	<b>78,385,902</b>	<b>78,368,295</b>	<b>17,607</b>	<b>0.0%</b>	<b>77,158,145</b>	<b>1,227,757</b>	<b>1.6%</b>
<b>CONNECTING SERVICES RIDERSHIP <sup>(2)</sup></b>	<b>510,315</b>	<b>495,670</b>	<b>14,645</b>	<b>3.0%</b>	<b>491,550</b>	<b>18,765</b>	<b>3.8%</b>
<b>TOTAL MNR SYSTEM RIDERSHIP</b>	<b>78,896,217</b>	<b>78,863,965</b>	<b>32,252</b>	<b>0.0%</b>	<b>77,649,695</b>	<b>1,246,522</b>	<b>1.6%</b>

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

### NOVEMBER 2015

LINE	NOVEMBER 2015 ACTUAL	NOVEMBER 2014 RESTATED <sup>(1)</sup>	CHANGE FROM 2014	
			AMOUNT	PERCENT
<b>EAST OF HUDSON</b>				
Harlem Line	2,239,569	2,191,043	48,526	2.2%
Hudson Line	1,317,990	1,301,219	16,771	1.3%
New Haven Line	3,302,176	3,214,601	87,575	2.7%
<b>Total East of Hudson</b>	<b>6,859,735</b>	<b>6,706,863</b>	<b>152,872</b>	<b>2.3%</b>
<b>WEST OF HUDSON</b>				
Port Jervis Line	82,436	81,803	633	0.8%
Pascack Valley Line	56,002	54,719	1,283	2.3%
<b>Total West of Hudson</b>	<b>138,438</b>	<b>136,522</b>	<b>1,916</b>	<b>1.4%</b>
<b>TOTAL RAIL RIDERSHIP</b>	<b>6,998,173</b>	<b>6,843,385</b>	<b>154,788</b>	<b>2.3%</b>
<b>CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS</b>				
Hudson Rail Link	29,825	29,043	782	2.7%
Haverstraw-Ossining Ferry	10,244	8,648	1,596	18.5%
Newburgh-Beacon Ferry	4,702	5,421	(719)	-13.3%
<b>Total Connecting Services</b>	<b>44,771</b>	<b>43,112</b>	<b>1,659</b>	<b>3.8%</b>
<b>TOTAL MNR SYSTEM</b>	<b>7,042,944</b>	<b>6,886,497</b>	<b>156,447</b>	<b>2.3%</b>

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 <sup>(1)</sup>	CHANGE FROM 2014	
			AMOUNT	PERCENT
<b>EAST OF HUDSON</b>				
Harlem Line	25,061,341	24,729,730	331,611	1.3%
Hudson Line	14,986,536	14,817,889	168,647	1.1%
New Haven Line	36,738,305	36,071,512	666,793	1.8%
<b>Total East of Hudson</b>	<b>76,786,182</b>	<b>75,619,131</b>	<b>1,167,051</b>	<b>1.5%</b>
<b>WEST OF HUDSON</b>				
Port Jervis Line	953,079	930,702	22,377	2.4%
Pascack Valley Line	646,641	608,312	38,329	6.3%
<b>Total West of Hudson</b>	<b>1,599,720</b>	<b>1,539,014</b>	<b>60,706</b>	<b>3.9%</b>
<b>TOTAL RAIL RIDERSHIP</b>	<b>78,385,902</b>	<b>77,158,145</b>	<b>1,227,757</b>	<b>1.6%</b>
<b>CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS</b>				
Hudson Rail Link	346,617	332,496	14,121	4.2%
Haverstraw-Ossining Ferry	108,291	101,609	6,682	6.6%
Newburgh-Beacon Ferry	55,407	57,445	(2,038)	-3.5%
<b>Total Connecting Services</b>	<b>510,315</b>	<b>491,550</b>	<b>18,765</b>	<b>3.8%</b>
<b>TOTAL MNR SYSTEM</b>	<b>78,896,217</b>	<b>77,649,695</b>	<b>1,246,522</b>	<b>1.6%</b>

Notes:

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



**Metro-North Railroad**

# **Capital Program Report**

## CAPITAL PROGRAM

### HIGHLIGHTS

December 30, 2015

## STATIONS/PARKING/FACILITIES

### Station Building Renewal Projects

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

### Croton Harmon Station Interior Improvements

A Small Business Development Tier II Program project to perform station improvements which include: new light fixtures, ceiling tiles, wall panels, concession stand panels, floor tiles, and air conditioning throughout the station. The project is in its last phase of work with the construction of a new ticket office in the station. It is anticipated that completion will be achieved in February 2016.

### Fordham Station Improvements

Work at the station's platforms includes:

*Inbound (IB):* Completed installation of HVAC ductwork for the elevator machine room. Continued with installing stair window glass; and painting of fence located on the concrete wall along the platform. Complete in first quarter 2016.

*Outbound (OB):* Completed installation of new stair and walkway steel, canopies above the elevator machine room; HVAC duct work for elevator machine room. Continued with plumbing, aligning, welding of steel members; installation of passenger platform shelter; installation of permanent conduit/wiring to electrical and communication room and signage. Commence in mid-January with under-platform structure and platform repairs for about 120 feet of the concrete platform.

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

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

Design phase is underway: completed field surveys, select borings, wetland delineation, bridge inspection and environmental investigation. Geotechnical recommendations, field inspection reports, as well as survey mapping are underway.

## **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). Continue to perform 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:* Completed placement of concrete for slabs of cable vault and electrical equipment areas; completed backfill and compaction of 15kv trench in parking lot. Continue to place concrete for: crew quarters foundation footings and walls, and transformer foundation footings. Switchgear fabrication is underway with delivery forecasted in April 2016.

*Tarrytown:* Completed excavation; installation of conduits; backfilled with sand and ballast for traction power duct bank from the substation to track number 4; and completed wayside DC negative and positive feed ductbank installation. Switchgear fabrication is underway with delivery forecasted in June 2016.

*Croton-Harmon:* Completed drainage/bypass excavation for oil/water separator outflow. Continue to place concrete for the substation foundation walls; install negative return ductbanks; and install conduit under track crossings.

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

#### *Construction of 86<sup>th</sup> and 110<sup>th</sup> Street substations*

- 86<sup>th</sup> St: AC switchgear equipment layout and transformer structural/layout submittal process continues. AC switchgear is in fabrication and delivery is anticipated in the second quarter of 2016.
- 110<sup>th</sup> St: Negative return reactor pad preparation work underway for upcoming concrete placement. Reactors have been fabricated and are in storage and will be installed upon completion of the concrete pad. Completed rock removal and demolition of the east wall of the substation viaduct in order to provide access for installation of the reactors.

*Brewster Substation* – Completed survey and mark-out of temporary easement lines and the installation of negative return conduit ductbanks under track number 2. Commenced excavation and foundation work for the substation.

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

The power and control wiring for the east switchgear cutover at Mount Vernon installation is nearing completion. Mount Vernon Signal Substation has been released for fabrication. Factory acceptance testing for New Rochelle switchgear continues with completion anticipated by end of January 2016.



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

The electrical and control commissioning process continues. Elevator rehabilitation work continues for the Manhattan and the Bronx towers to gain access to the bridge control and machine rooms. 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 with modified configuration settings for emergency generators and bridge motor control drives. 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 14,000 ties and 6.5 miles of rail, and surfaced 50 miles of track on the Hudson, Harlem, and New Haven lines.

### **Bronx Drainage Improvements from Mott Haven to Fordham**

On December 4, 2015, construction kick-off meeting was held for the installation of a track under-drain system between Mott Haven Yard and Fordham on Metro-North's Harlem Line. This work is the second phase of a multi-phase project in which this system will be connected to New York City Department Environmental Protection's (NYCDEP) combined sewer at the intersection point where NYCDEP's pipes cross under the tracks.

### **Inspection and Load Rating of Select Undergrade Bridges in New York State**

The field inspection phase of select bridges continues and is approximately 50% complete. Bridge inspectors continue to progress with the inspection along the Hudson and Harlem line.

### **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, was submitted to MNR stakeholders for review. Comments have been returned for incorporation in the design and will be resubmitted by end of January 2016.

## **SHOPS AND YARDS**

### **Harmon Shop Improvements**

#### *Phase V, Stage I Design-Build*

- Building 6: Commenced with asbestos abatement and demolition at track numbers 132-136. Continued with roof cutting at column line R to sever the connection between the existing shop that is to remain and the portion of the shop to be demolished. Continued with installation of fire, water and sanitary utilities around the new Consist Shop location. Mass excavation for the north area of the Consist Shop is anticipated to commence towards the end of January 2016.

- EMU (Electric Multiple Unit) Annex: Completed excavation and commenced with forming and installation of reinforcement for east section's foundation and walls. Continued with the demolition and removal of the existing round house foundation from the site, and the installation of storm drainage manholes and pipes south of the EMU annex.

#### *Phase V Stage II Preliminary Design*

- Stage II Preliminary Design for the Running Repair and Support Shop remain on hold until the final design packages for Stage I are completed. However, information and data gathering activities to facilitate the update of the Harlem and Hudson Master Plan for Harmon Yard and other NY Maintenance of Equipment facilities has commenced.

## **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 repairs are progressing at 60% complete with repairs completed at many of the areas and final paint coat applied. Repairs to be performed at the street level will commence in spring 2016; when the weather becomes more favorable.

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

Completed installation of new machine room door and many elevator control components in the machine room. Drilled hole for hydraulic piston and installed piston shaft sleeve for SE-1. Elevators SE-1, SE-2, and A-car elevators are scheduled for delivery in the middle of January 2016. (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 and upgrade of the fire standpipe system in the lower level of the GCT Train Shed and replacement of existing fire pump at 49<sup>th</sup> street was executed on December 30, 2015; a project kickoff meeting to be held in January 2016.

### **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 continue on the 42nd Street bridge abutments at 89th East 42nd Street via removal of the stones encasing the bridge columns. Lead abatement is completed and will be followed by waterproofing and restoration of masonry components.

### **Park Avenue Viaduct Direct Fixation**

Evaluation of the data collected during field investigation and core sampling continues. The design consultant has commenced a program of tension testing of the existing threaded inserts in the concrete deck that anchor the direct fixation "fastener bodies," which sit atop the deck and hold the rails in place. A final report of inspection findings will be issued upon conclusion of all testing and evaluation of results.

# 2015 MNR Capital Program Goals

As of December 31, 2015

In Millions

