



Metropolitan Transportation Authority

Meeting of Metro-North and Long Island Committees

October 2016

Members

S. Metzger, MNR Chair

M. Pally, LIRR Chair

N. Brown

I. Greenberg

C. Moerdler

J. Molloy

A. Saul

V. Tessitore

V. Vanterpool

J. Vitiello

C. Wortendyke

N. Zuckerman

Joint Metro-North and Long Island Committees Meeting

**2 Broadway
20th Floor Board Room
New York, NY
Wednesday, 10/26/2016
8:30 - 10:00 AM ET**

1. Public Comments Period

2. Approval of Minutes - September 26, 2016

a. LIRR Minutes

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b. MNR Minutes

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3. 2016 Work Plans

a. LIRR 2016 Work Plan

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b. MNR 2016 Work Plan

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4. AGENCY PRESIDENTS'/CHIEF'S REPORTS

a. LIRR Report (no material)

b. MNR Report (no material)

- **MNR Safety Report**

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c. MTA Capital Construction Report

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d. MTA Police Report

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5. AGENCY INFORMATION ITEMS

a. Joint Information Items

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- **MTA Homeless Outreach**

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- **LIRR/MNR PTC Project Update**

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b. LIRR Information Items

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Staff Summary - Lease of Wireless Spectrum to NJT in Support of PTC - Page 74

7. PROCUREMENTS

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- **Competitive**

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- **Non-Competitive**

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c. MTA CC Procurements (NONE)

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- **LIRR Finance**

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- **LIRR Ridership**

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- **Operations**

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- **Finance**

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- **Ridership**

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- **Capital Program**

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Date of Next Meeting: Monday, November 14, 2016
MNR at 8:30 a.m., LIRR at 9:30 a.m.

**Minutes of the Regular Meeting
Long Island Rail Road Committee
Monday, September 26, 2016**

**Meeting held at
2 Broadway – 20th Floor
New York, New York 10004
9:30 a.m.**

The following members were present:

Hon. Mitchell H. Pally, Chairperson of the Long Island Committee
Hon. Ira R. Greenberg
Hon. Susan G. Metzger
Hon. Charles G. Moerdler
Hon. John J. Molloy
Hon. Vincent Tessitore, Jr.
Hon. Veronica Vanterpool
Hon. Carl V. Wortendyke
Hon. Neal Zuckerman

The following members were not present:

Hon. James E. Vitiello

Representing Long Island Rail Road: Patrick A. Nowakowski, Bruce R. Pohlot,
Loretta Ebbighausen, Dennis Mahon, Elisa Picca, and Mark D. Hoffer

Representing MTA Capital Construction Company: Michael Horodniceanu, Evan Eisland,
David Cannon, and Peter Kohner

Representing MTA Police: Michael Coan

Chairperson Mitchell H. Pally called the meeting to order.

PUBLIC COMMENT

There were three public speakers.

Omar Vera expressed his thanks to the Long Island Committee for correcting the spelling of his last name in the minutes of the July 25, 2016 Committee Meeting (sometimes “July 25 Meeting”); and to LIRR for implementing Wi-Fi at Ronkonkoma and Jamaica Stations. Mr. Vera commended the MTA Police Department (“MTAPD”) for its efforts to reduce crime while noting that robberies and burglaries remain an issue. He also thanked MTA Capital Construction (“MTACC”) President Dr. Michael Horodniceanu for MTACC’s progress on the East Side Access Project (“ESA Project”), reiterating his comments from the July 25 Meeting. Mr. Vera concluded by

thanking Board Member Veronica Vanterpool for being the champion of commuters throughout the Tri-State area.

Murray Bodin spoke about safety at railroad grade crossings, reiterating his comments from the July 25 Meeting that grade crossings at railroads should be protected by traffic lights and cameras. He stated that he looks to the three newest Long Island Committee members, Board Member Neal Zuckerman, Board Member Veronica Vanterpool, and Board Member James E. Vitiello to be advocates for safety and to take responsibility for asking questions and making these changes.

Orrin Getz spoke about the New Jersey Transit ("NJT") fare increase, which affects Metro-North customers west of the Hudson River. He stated that NJT controls the fares into Penn Station which he stated have increased by 34% over the past 10 years. Mr. Getz invited Board Member Vanterpool to speak at the next NJT Board meeting regarding this issue.

Mr. Getz also spoke about service problems on the Oyster Bay Branch due to the shortage of LIRR locomotives and coaches. He stated that a few years ago, LIRR prepared a request for an expression of interest to acquire additional locomotive coaches, but he was not sure of the outcome. Mr. Getz asked the Committee to follow up with LIRR regarding additional equipment to enhance service to eastern Long Island. He noted that Metro-North had acquired some retired Bombardier Comet cars from NJT, which also has surplus diesel locomotives, and that Maryland Commuter had some available surplus single-level coaches. He suggested that LIRR look into these possibilities.

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 2016 WORK PLAN CHANGES

Upon motion duly made and seconded, the Committee approved the minutes of the July 25, 2016 Long Island Committee Meeting. There were no reported changes to the 2016 Work Plan.

MTA LONG ISLAND RAIL ROAD PRESIDENT'S REPORT

President Nowakowski stated that last week, MTA Chairman and CEO Thomas F. Prendergast held a press conference and Governor Andrew Cuomo issued a press release regarding the initiative to rebuild the Hicksville Station and to create a new Platform F at Jamaica Station. He wanted the Committee to be aware of the Jamaica Station work which is a low bid contract that would not ordinarily go the Committee for action. The Platform F contract was recently awarded and the work began last week.

President Nowakowski reported on On-Time Performance ("OTP"). In July, OTP was not good, although it was a little better in August. In September, OTP is doing well so far. He stated that this points to the vulnerability of the LIRR system: LIRR operates largely at capacity, and an incident on one train can impact ten trains or more. In addition, extreme weather conditions tend to generate greater delays. He stated that this is an area that LIRR continuously focuses on, in an effort to lessen the effect of these factors on the system.

President Nowakowski reported that LIRR continues to see strong ridership growth. Compared to 2015, there was an increase in July and August ridership. Year-to-date ("YTD") ridership increased 2.2% and for each of the past 19 months, LIRR has exceeded the monthly ridership for the same month during the prior year.

President Nowakowski reported that the MTA has upgraded and rebranded its email and text alert subscription service, *My MTA Alerts®*, which allows customers to customize their service alerts and request service information at specific times.

President Nowakowski reported that September is Suicide Prevention Awareness Month, and that Vice President-Corporate Safety Loretta Ebbighausen will discuss in detail LIRR's efforts to promote suicide prevention awareness in LIRR's Safety Report.

President Nowakowski reported on the installation of cameras on LIRR trains, at stations, and at railroad crossings. Last week, New York State Senator Todd Kaminsky held a press conference pushing for a rapid installation of cameras throughout LIRR's system. President Nowakowski reported that as of today there are 124 LIRR stations: 24 are equipped with cameras; and seven camera station installations are in progress. LIRR has a program in place and will have cameras installed at all stations by 2019. Approximately 10,000 cameras are planned. President Nowakowski discussed the need to improve bandwidth, and the need to build the backbone of a system that will support the cameras, including installation of fiber optic cables and communication nodes. He stated that LIRR initiated a program to install cameras at grade crossings when signal work is needed. These cameras will capture the image of the vehicle and license plate number when a violation occurs. President Nowakowski stated that although LIRR is not able to issue fines, it will use the information generated by the cameras to identify problem areas, investigate incidents, and enhance community awareness.

Board Member Charles G. Moerdler expressed his concerns regarding customer privacy and cameras at stations and on board trains. He stated that in his opinion, cameras are useful after, but not during, an event. He asked that LIRR use discretion and judgment regarding camera placement and also encouraged the LIRR to install cameras at grade crossings.

Board Member Ira R. Greenberg asked about the disparity in the passenger issues category of delay statistics for July and August. President Nowakowski responded that service is impacted by heavy loading such as on Friday nights, Sunday nights and Monday mornings for

trains operating to and from Eastern Long Island during the summer season, and during special events such as Met games at Mets-Willets Point. He noted that on games days, the schedule is the same as on non-game days, but a stop is added. Board Member Greenberg stated that he understood the railroad's challenges but asked LIRR to consider purchasing additional diesel equipment and coaches for next summer. President Nowakowski responded that LIRR is looking into purchasing additional equipment to improve service during the summer season.

LIRR SAFETY REPORT

Vice President Corporate Safety, Loretta Ebbighausen reported that LIRR's Safety Report for the months of June and July can be found on Pages 94 and 96 of the Long Island Committee book.

During the month of September, LIRR will be participating in four community/employee safety events.

September is Suicide Prevention Awareness Month. The LIRR has a long standing partnership with Long Island Crisis Center ("LICC") and Response Long Island ("Response") to provide their telephone support to individuals in crisis via a suicide/crisis hotline. LIRR also worked with New York State Office of Mental Health and the Suicide Prevention Coalition of Long Island, which includes LICC and Response, to create a new station poster increasing public awareness about the suicide/crisis hotline.

In addition to LIRR's Community Outreach Program, Vice President Ebbighausen reported that LIRR is continuing to collaborate with the MTAP Police Department ("MTAPD") on its T.R.A.C.K.S. classroom program. LIRR also is sponsoring a safety slogan and essay contest for elementary, middle, and high school students, sending a mailing with contest rules to schools with LIRR's back-to-school TRACKS program material. At the elementary school level, LIRR is asking classes to submit slogans about safety along the tracks; and at the middle school level, LIRR is asking individual students to submit slogans about safety while riding on the LIRR. LIRR is asking high school students to participate in a 500-word essay contest about the importance of grade crossing safety; the contest starts October 1st with a submission deadline of October 31st.

On Friday, September 23rd, employees, senior leadership, and members of labor organizations gathered to honor 56 employees who received the 2015 Safety Incentive Award. This award recognizes and rewards employees identified by their departments and/or fellow employees for exemplary safety performance and/or safety initiative recommendations that assist in reducing injuries in the workplace.

LIRR's next Safety FOCUS Day for employees is September 29th, which will be discussed at the Safety Committee Meeting on Wednesday, September 28th.

Board Member Moerdler noted that Page 95 of the Committee Book referred to two elevator entrapments: one at Atlantic Terminal and one at Woodside. He asked how many elevator entrapments there have been this year and what is being done regarding preventative maintenance.

Vice President Ebbighausen responded that LIRR will look into this issue and get back to him. She stated that LIRR works closely with the MTAPD in this situation to ensure prompt emergency assistance to anyone who may be in the elevator. LIRR has a dedicated group which oversees third-party contractors to insure that LIRR's elevators and escalators are regularly inspected, maintained, and timely repaired and to immediately respond to any incidents.

Board Member Moerdler asked whether action is taken against elevator companies for repeated instances of breakdown. In response to this question, Bruce Pohlot, Senior Vice President-Engineering stated that we review all the reports of breakdowns and evaluate the situation, including whether there have been repeated repairs when elevators and escalators go out of service. Our Capital Plan provides for replacing elevators and escalators when necessary. In addition, we conduct an evaluation of any repeated repairs. Board Member Moerdler stressed the importance, based on his experience as a former New York City Commissioner of Housing and Buildings, of elevator and escalator safety. He stated that elevator and escalator companies that do the work should be doing it properly and not used again if they don't. He noted that he would continue to focus on this issue.

Board Member Greenberg asked if the mainline derailment figures reported to the FRA included derailments involving LIRR's freight operator. Vice President Ebbighausen responded in the negative. Board Member Greenberg stated that the New York & Atlantic Railway ("NYAR") was involved in several incidents off the LIRR main line and that an FRA report had been issued about one such incident last week. He asked how LIRR ensures that NYAR crews are properly trained. Vice President Ebbighausen stated that a few years ago, there were a series of incidents on and off LIRR territory, and as a result, LIRR and NYAR have developed a more collaborative relationship. When an incident occurs on their property or on LIRR property, we work together to investigate, identify and implement any corrective actions needed and also monitoring the effectiveness of the corrected action. LIRR also qualifies and trains a certain number of NYAR employees to operate. We have a responsibility to our customers in the communities we serve to ensure the highest level of safety and accountability by NYAR employees who operate throughout our system.

Board Member Greenberg stated that he asked these questions because their lease is up for renewal and as we come up to that date we are assured that they are a safe operator and have a good relationship with them, especially regarding safety.

Chairperson Pally stated that the good news is that the MTAPD is doing a great job regarding issuing summonses and warnings and making arrests for grade crossing violations, but the bad news is that the people are still violating the law in record numbers. It is an intolerable situation and we will continue to try to do everything we can to do something about it.

In response to the question by Board Member Carl V. Wortendyke about penalties, Chairperson Pally stated that the Legislature and the Governor are reviewing what happens at grade crossings and they may also have to look at the penalties. He doesn't know whether increased penalties alone will reduce violations but perhaps they will be helpful as part of larger package of measures to address behavior at grade crossings.

Board Member Moerdler asked whether LIRR used crossing gates with wires that extended down from the gate, as they do in Florida. In response, President Nowakowski stated that LIRR does not use that type of gate. Board Moerdler suggested that this might help make the gates more obvious, and that traffic lights and cameras would have an impact as well.

Chairperson Pally stated that we discussed the conspicuous nature of grade crossings and everything that goes with them at the Safety Committee a few months ago. The Safety Committee will be coming back to us with a report on improvements that can be made to try to make crossings more conspicuous and safer in this regard. However, since human nature is a major factor in grade crossing accidents, it is very important that we do everything we can to get people to take the necessary safety precautions in advance.

MTA CAPITAL CONSTRUCTION

MTACC President Dr. Michael Horodniceanu reported on progress on the ESA Project.

In Manhattan, the GCT Concourse and Facilities Fit-Out (CM014B) contractor has achieved Milestone 3 which enables the Systems Package 1 – Facilities Systems (CS179) contractor to begin work in several rooms that the CM014B contractor has now vacated. The CM014B contract is also receiving change orders to implement design changes to add Wi-Fi service and revenue generating advertising as well as to remediate pre-existing leaks.

MTACC plans to advertise the contract for construction of the SA entrance at 48th Street between Madison Avenue and Park Avenue in the next few months.

In Queens, work on the 48th Street Bridge is advancing and MTACC expects the work to be completed in October. MTACC expects the track work on the bridge to be completed in December and for the cutover for operation to happen sometime in 2017. In addition, MTACC

expects the Plaza Substation and Queens Structures (CQ032) contractor to achieve Substantial Completion within the next few months.

With regard to procurements, ten bids were received for the Track A Cut and Cover Structure (CQ61A) contract. The bids were competitive and the lowest was within budget. In addition, we intend to advertise the contract for the mid-day storage yard (CQ033) in the next few months.

Dr. Horodniceanu noted that he remains concerned about the lack of Amtrak support which is causing delays and cost increases. Work in the Harold Interlocking has taken over the critical path for the project.

MTACC Chief Safety Officer Peter Kohner reported a reduction in the ESA Project's lost time injury rate. Mr. Kohner also reported an increase in recordable injuries by 0.6% for August, primarily impacting the electrical trade. That issue is being address with the contractor.

MTA POLICE DEPARTMENT

Chief Coan reported that crime is down on LIRR. During the month of August, there was a decrease in crime of 31%, with 9 incidents compared to 13 in 2015. Year-to-date ("YTD"), there was a decrease of 14%, 80 incidents compared to 93 in 2015. YTD there were 15 robberies of which 12 arrests have been made. Of the eight burglaries, four arrests have been made. This is an increase from the five burglaries in 2015.

After the September 17th incident on 23rd street, MTAPD added additional coverage not only in Penn Station but throughout the LIRR and Metro-North regions. This included additional patrols, canines who are trained in explosive detection, additional emergency service officers and plainclothes officers. MTAPD patrols were supplemented by the New York State Police and canines and the National Guard increased their patrols as well. MTAPD is continuing to monitor the situation and continuing additional coverage. The Joint Terrorism Task Force is providing daily updates from the New York City Police Department. The general public is very much engaged. Seven days prior to the incident, MTAPD cleared 66 unattended items; seven days after the incident, MTAPD cleared 149 unattended items, a 125% increase. A majority of those unattended items were brought to MTAPD's attention by our commuters.

The details of the MTAPD report are contained in the records of this meeting and in the video recording of the meeting produced by MTA and maintained in the MTA records.

LIRR ACTION ITEMS

There was one action item presented to the Committee for approval.

- **Parking Rehabilitation Projects: Little Neck, Cedarhurst, and Gibson Stations** - LIRR seeks MTA Board approval to utilize \$1,333,000 from the 2005- 09 Capital Program for Parking and State of Good Repair (SOGR) work at three (3) LIRR stations - Little Neck, Cedarhurst, and Gibson.

Board Member Greenberg asked whether these funds were originally programmed for some other parking work.

Executive Vice President Elisa Picca stated that the funding from the Transportation Bond Act was not specified at the time we got the grant. The funds were set aside generally for parking and improvements but not specified exactly.

Board Member Vanterpool noted that she understood the money was coming from the 2005 Bond Act. She asked where is the leasing revenue for these three facilities and any other facilities that LIRR owns and is that applied toward maintenance.

President Nowakowski responded that any type of revenue, such as from individuals renting space from us or advertising is handled through MTA Real Estate. Regarding LIRR's annual budget, there is a certain amount that is generated from fares; there is a certain amount that comes from subsidies; and part of the budget comes from revenue generated from leases.

Upon motion duly made and seconded, the foregoing Action Item was approved by the Committee. Details of the item are set forth in the materials provided in the Committee Book.

MTACC ACTION ITEM

There were no action items presented to the Committee for approval.

MTA LONG ISLAND RAIL ROAD INFORMATION ITEMS

The following information items were on the agenda:

- 2017 Preliminary Budget
- 2016 Mid-Year Forecast
- Diversity / EEO Report - 2nd Quarter 2016
- Track Work Program / October Schedule

The details of the above information items are contained in the records of this meeting and in the video recording of the meeting produced by MTA and maintained in the MTA records.

MTA LONG ISLAND RAIL ROAD

Procurements

The following procurements were presented to the Committee for approval. Details of the items are set forth in the Staff Summaries, copies of which are on file with the records of this meeting.

Non-Competitive:

- **Siemens Industry, Inc.** - LIRR requests MTA Board approval to award a five (5)-year Sole Source Purchase Agreement in the total not-to-exceed amount of \$16,850,000 to Siemens Industries, Inc. ("Siemens"), the Original Equipment Manufacturer (OEM), to supply, on an as needed basis, complete systems, parts, other equipment, technical/field support and repair services required to perform scheduled and unscheduled maintenance and repairs to the LIRR's diesel fleet of DE/DM locomotives in support of LIRR's Reliability Centered Maintenance Program.
- **Sybase, Inc.** - MTA IT/LIRR requests approval to award a contract modification to Sybase, Inc. ("Sybase") in the amount of \$413,136.30 to extend the existing contract for an additional two (2) years through December 31, 2018 with an option for one additional year to December 31, 2019. LIRR is progressing this extension as a result of BSC Procurement consolidation.

Board Member Moerdler made a statement to Chairperson Pally and to the other Board Members on the Committee about the Siemens procurement. He recalled that at the combined June Metro-North and LIRR Committee Meeting, he had spoken in opposition to a version of this Siemens spare parts procurement. The reason for his opposition was that the staff report did not disclose Siemens' significant adverse record in a number of respects. After the meeting, MTA Chairman and CEO Prendergast asked him to explain his concerns in detail and lay out exactly what information he had obtained. He commended the Chairman for his open-mindedness and his commitment to transparency. Board Member Moerdler went on to note that the staff report now contained a disclosure of sorts, which he considered to be opaque and of limited value, not providing sufficient information for Board members considering this item to discharge their fiduciary responsibilities. Board Member Moerdler stated that the cryptic statement in the last paragraph on Page 68 of the Committee Book does not even give you public information available on the Internet, such as: Siemen's guilty plea in May 2016 to bribery of public officials and entities

and other misconduct to secure a utility contract, resulting in payment of a \$37 million fine in Israel; Siemens' former Chief Financial Officer pleading guilty, in the Eastern District of New York in September 2015, to a Foreign Corrupt Practices Act violation; and Siemens' 2008 payment of \$700 million to the Securities and Exchange Commission and to the Justice Department to settle related claims. At around the same time, Siemens paid \$850 million in fines in Germany for the same kind of conduct, and in March 2015, several of its officials were indicted in Greece for bribery. He stated that the sad story goes on and on, aptly summarized by *The New York Times* as follows: "At Siemens, bribery was just a line item." Board Member Moerdler added that to its enormous credit, Siemens embarked in recent years on a highly publicized effort to clean up the mess and to resolve the charges. It has initiated a robust compliance program, perhaps the best in the country. However, while all of the foregoing facts are a matter of public record, available by searching the Internet, none have ever been disclosed to this Board at any time prior to voting on this procurement. Board Member Moerdler stated that following the discussion in June, MTA Chairman and CEO Prendergast directed that the procurement staff at New York City Transit ("NYCT") conduct a careful review of Siemens, including the propounding of his questions and concerns. NYCT's Stephen Plochochi conducted a thorough investigation, and the Chairman concluded that sufficient safeguards appear to exist to insure that Siemens is today a responsible vendor and will be policed. Board Member Moerdler stated that he accepts that finding not only because of his complete confidence in the Chairman's integrity and ability but also because he believes he now has the relevant facts to make a judgment, to cast an educated vote and to recognize the system's need for the spare parts to be procured from Siemens. Board Member Moerdler stated that two serious problems remained. First, the transparency and nondisclosure problem is not limited to Siemens. It occurs on a frequent basis and impacted two procurements adopted by the full Board at the July Board meeting, as to which he abstained. One involved a consent criminal antitrust judgment entered into last year by a parent of a vendor and the other a False Claims Act violation and a Foreign Corrupt Practices Act violation resulting in a \$23 million fine. In both instances, just as in the June staff report on Siemens, no mention whatsoever was made in the staff reports of this misconduct which was publicly reported and available on the Internet. Board Member Moerdler stated that his view is that the Board in these circumstances is not being fully informed and is not able to faithfully discharge its fiduciary responsibilities.

Board Member Moerdler stated that in his view, the omission of information stems from a practice that was implemented before MTA Chairman and CEO Prendergast's tenure and before his own tenure, arising from inadequate guidelines and practices adopted in 2010. Board Member Moerdler's first recommendation is that these practices and guidelines must be revised. Board Member Moerdler also stated that while we do not need to know of every non-public inquiry, in his view, every criminal action or other serious act of misconduct which is a matter of public record during a five-10 year period against a vendor, its affiliates or parent, should be reported to the Board, to enable Board members to exercise their responsibilities effectively. Board Member Moerdler stated that the same problem arose concerning a procurement involving Parsons Brinckerhoff. The process following the investigation and report to the Board remains an additional concern. Board Member Moerdler stated that meaningful steps are promptly needed to put in place

procedures that ensure that a prerequisite of vendors under consideration is that they are honest and have integrity. Board Member Moerdler stated his belief that this problem will be focused on now.

Board Member Moerdler apologized for taking up so much of the Committee's time on this issue, thanked the Committee for listening, and expressed the hope that together we can follow up on these concerns. He also thanked Board Member Susan G. Metzger for her encouragement and assistance.

Chairperson Pally thanked Board Member Moerdler on his own behalf and on behalf of the other Board Members, for his research on this matter and for providing the Committee with all of the pertinent information that should have been provided on this individual item. In addition, Chairperson Pally stated that there was general agreement that all Staff Summaries for all MTA Agencies going forward, not just LIRR, include much more pertinent information than the statement that was provided for this case and that this information be provided in a timely and efficient manner before the Board votes. This issue will be discussed with the MTA General Counsel.

Upon motion duly made by Board Member Moerdler and seconded by Board Member Metzger, the foregoing procurement items were approved for recommendation to the Board.

MTA CAPITAL CONSTRUCTION

Procurement

MTACC Chief Procurement Officer David Cannon presented one competitive procurement item to the Committee for approval. Details of the item are set forth below and in the Staff Summary, a copy of which is on file with the record of this meeting.

The competitive procurement item is as follows:

- A modification to the East Side Access General Engineering Consultant (GEC) Services (98-0040-01R) contract to provide Project Management and Project Controls staff and services for the ESA Project through 2017 in the amount of \$6,200,000.

In regards to the finding that Parsons Brinckerhoff was responsible notwithstanding significant adverse information (SAI) pursuant to the All-Agency Responsibility Guidelines, Board Member Charles Moerdler asked what the SAI was.

MTACC Senior Vice President and General Counsel Evan Eisland responded by saying that the SAI was from 2007 as was the finding of the MTA Chairman at that time that the contractor was responsible notwithstanding that SAI. Mr. Eisland noted that we are only reporting in the current staff summary that there has been no new significant adverse information since 2007.

September 26, 2016

Upon motion duly made and seconded, the procurement item was approved for recommendation to the Board.

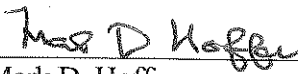
LIRR Reports on Operations, Safety, Finance, Ridership, and Capital Program

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

Adjournment

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

Respectfully submitted,



Mark D. Hoffer
Secretary

Minutes of the Regular Meeting
Metro-North Committee
Monday, September 26, 2016

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

The following members were present:

Hon. Susan G. Metzger – Chairperson of the Metro-North Committee
Hon. Norman Brown
Hon. Charles G. Moerdler
Hon. John J. Molloy
Hon. Mitchell H. Pally
Hon. Andrew Saul
Hon. Veronica Vanterpool
Hon. James E. Vitiello
Hon. Carl V. Wortendyke
Hon. Neal J. Zuckerman

Also Present:

Joseph J. Giulietti – President, Metro-North Railroad
Catherine Rinaldi – Executive Vice President
Katherine Betries-Kendall – Vice President, Human Resources
Michael R. Coan – Chief, MTA Police Department
Richard Gans – Vice President and General Counsel
Glen Hayden – Vice President, Engineering
John Kennard – Vice President – Capital Programs
John Kesich – Senior Vice President, Operations
James McGovern – Controller
Thomas Mitchell - Director – Customer Service and Stations
Andrew Paul – Acting Vice President, Labor Relations
James P. Redeker – Commissioner of Transportation, CDOT
Robert Rodriguez – Director, Diversity and EEO
Michael Shiffer – Vice President, Operations Planning and Analysis
Justin Vonashek – Vice President, System Safety

Ms. Metzger called the meeting to order.

PUBLIC COMMENT

Three public speakers addressed the Committee.

Orrin Getz, Vice Chairman, Metro-North Railroad Commuter Council expressed his opinion that more emergency telephones should be installed west of Hudson, particularly at Nanuet Station, because many of the stations are located in isolated areas and are in need of security and that some repairs need to be made at Nanuet Station. He stated that the parking lot and station at Spring Valley need renovation and that the empty police booth should be manned. Mr. Getz asked Metro-North to work with NYSDOT to make that station a first class transit center. He asked Metro-North to work with New Jersey Transit to make Suffern Station ADA accessible.

Randy Glucksman, Chairman Metro-North Railroad Commuter Council and the Permanent Citizen's Advisory Committee for the MTA discussed e-mails that the Rockland County DOT sent to Metro-North, New Jersey Transit and Board member Wortendyke regarding the cancellation of express train 1618 from Spring Valley on four mornings due to mechanical problems which required commuters to take the local train that arrives in Secaucus 30 minutes later. Mr. Glucksman stated that since express train 1601 was eliminated about one year ago, the Pascack Valley line only has 18 trains in each direction. He expressed his opinion that Rockland County riders are not getting full value for their high taxes and fares. He expressed his opinion that the MTA should be involved in the Gateway Project and in bringing the number 7 line into Secaucus Junction.

Murray Bodin commented on the red box that was installed at the Mt. Kisco crossing and he expressed his opinion that "don't block the box" signs should be used at rail crossings. Mr. Bodin asked why Metro-North sounds the train horn at Harlem-125th Street. He expressed his opinion that there is no need for Metro-North to purchase rail cars in married pairs.

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 2016 WORK PLAN

Upon motion duly made and seconded, the Committee approved the minutes of the July 25, 2016 Metro-North Committee meeting. There were no changes to the 2016 Metro-North Committee Work Plan.

MTA METRO-NORTH RAILROAD PRESIDENT'S REPORT

President Giulietti recognized Metro-North conductor John Kelly who, after seeing a flier circulated by Metro-North's Security Department and the MTA Police about a suspect wanted for 16 burglaries across the Hudson Valley, saw the individual boarding his train at Poughkeepsie Station and immediately notified the MTA Police, who contacted the Dutchess County Sheriff's Office. The police met the train at the station and the suspect was arrested without incident. President Giulietti noted that Mr. Kelly's actions are a reminder of how important it is that, "when you see something, you should say something." He stated that Mr. Kelly's actions represent the embodiment of safety and security at the railroad. He thanked MTA Police, in particular Detective Kenneth Stewart, for their efforts in safely apprehending the suspect.

President Giulietti recognized the following three employees for their recent achievements:

- Anamaria Bonilla, Assistant Chief Engineer, Track and Structures, was recently chosen as the “2016 Outstanding Woman of the Year” by the League of Railway Industry Women and will be officially recognized at the 2016 Rail Expo and Technical Conference in Omaha. President Giulietti noted that, as the nomination criteria states, Ms. Bonilla “consistently demonstrates vision, initiative, creativity and guidance in a leadership role within her professional railway field.”
- Frank Mesa, Director of Operations, Training and Development, was recently elected as President of the New York chapter of the Conference of Minority Transportation Officials (COMTO) whose mission is to ensure a level playing field and maximum participation in the transportation industry for minority individuals, businesses and communities of color through advocacy, information sharing, training, education and professional development. Mr. Mesa also ran for and was elected as a Council of Presidents’ representative on COMTO’s National Board of Directors.
- Jeff Bernstein, Director of Finance, Administration and Crew Management, was recently recognized as a Rising Star by Progressive Railroading Magazine at the American Association of Railroad Superintendents’ 2016 annual meeting in Pittsburgh. The magazine defines a Rising Star as “someone under the age of 40, who has made or is making a positive impact on his or her company, organization, department or team and is viewed by others as an up-and-coming leader in the rail industry.”

President Giulietti stated that these three employees have made us all proud and there is nothing more rewarding then to be nominated and recognized by your peers both within Metro-North and the industry as a whole. He noted that these three employees, along with John Kelly, help keep Metro-North operating safely and efficiently. He thanked them all for their extraordinary efforts.

President Giulietti reported that the Federal Railroad Administration (FRA) recently awarded over \$5 million to the New York State Department of Transportation (NYSDOT) to be allocated to increase safety at railroad crossings, train stations and tracks. Of the funding directed to Metro-North, \$1.34 million will be used to add highway traffic signal preemption to seven grade crossings on the Harlem and Port Jervis Lines, to activate the traffic signals at the intersections and allow queued traffic to exit onto the highway prior to the activation of the railroad grade crossing warning systems; \$1.90 million will fund the installation of upgrades to three grade crossings to mitigate potentially hazardous conditions between highway and rail traffic, including upgrades to the roadway, pavement markings, and signage at the Virginia Road grade crossing in North White Plains; and \$1.91 million will fund the installation of Closed Circuit TV cameras to record grade crossing movements at 43 identified grade crossings within Metro-North and LIRR territory.

President Giulietti reported on service reliability in the months of July and August 2016. He reported that overall east of Hudson service reliability in August 2016 dropped primarily as the result of the warm temperatures. New Haven Line Service in August also decreased mainly due to several infrastructure incidents tied to the record high temperatures. Infrastructure issues, such as switch and signal failures, accounted for 61% of all system-wide delay minutes, again due to the extended period of high temperatures. The May 17, 2016 fire under the Park Avenue Viaduct continued to impact train service performance through August 30 when the temporary support system to the Viaduct was completed, permitting the lifting of remaining speed restrictions. The contractor is currently working on the permanent replacement of the existing 1893 column that was

damaged in the fire. This work will be done by the end of the year. To date, September's east of Hudson performance is operating above goal. West of Hudson service operated at 96.2% in the month of August.

President Giulietti reported that, as a result of the decline in service reliability during August, customer complaints were up by 13% from July. However, overall complaints were down by 27% in August 2016 as compared to August of 2015.

President Giulietti reported that in August 2016, the Governor announced the completed renovation of Metro-North's Croton-Harmon Station's customer waiting area which included both station structural renovations and aesthetic improvements. The station is an important hub and the upgrades will improve the commuting experience for the thousands of riders who depend on it every day. The station renovation was completed with funding from the MTA Capital Program, including a contribution of \$300,000 of MTA Capital Reserve funds from State Assemblywoman Sandy Galef.

President Giulietti reported that, in August 2016, senior management and customer service representatives attended an informal customer forum held at Croton-Harmon. These forums provide an opportunity for customers to engage in a dialogue with railroad management and for management to listen and respond to customer comments and suggestions. Representatives of Metro-North's TRACKS program (Together Railroads and Communities Keeping Safe) were present to educate and promote the importance of rail safety and provide safety-related information to Metro-North's customers. Metro-North plans to conduct customer forums on a monthly basis at stations throughout its system.

In response to Board member Moerdler's question regarding the engineering category of delays, Mr. Kesich noted that delays due to track outages required for infrastructure upgrades and improvements fall in the category of engineering delays. President Giulietti noted that the railroad tries to do these improvements with minimal out impacts to service. Board member Vanterpool asked whether drivers pay for broken cross bucks at rail crossings. Mr. Gans noted that, when a driver damages a gate, the railroad pursues payment through the driver's insurance policy. Board member Vanterpool asked whether the municipality contributes to the cost of monitoring crossings. President Giulietti noted that a bill that would allocate funds to the monitoring of crossings by installing cameras to be used to assess fines for crossing violations, did not pass. He stated that footage from the cameras that are being installed at crossings may increase awareness of driver behavior at crossings.

The details of the President's Report and comments by Board members are contained in the video recording of the meeting produced by the MTA and maintained in the MTA records, which recording includes Board member comments regarding the President's Report.

MTA METRO-NORTH RAILROAD SAFETY REPORT

Mr. Vonashek reported that customer injuries in July 2016 were lower than they had been in the previous three years and were 30% lower than in the previous 12 months. The employee lost time injury rate increased approximately 16% versus the previous 12 month period. Year-to-date

July, a total of 421 Confidential Close Call Reporting System (C3RS) reports were received, 393 of these reports met the criteria for review by the Peer Review Team and 346 reports met the C3RS criteria. Metro-North's community outreach program TRACKS reached 11,000 people through July. In August 2015, Metro-North began the installation of on-board cameras with 10 cameras in the passenger area, one in the engineer's compartment and one facing outward on the lead end. As part of Suicide Prevention Month, Metro-North has partnered with the National Suicide Prevention Lifeline and Mental Health Association of NYC Campaign to connect those in need with a support system; materials are displayed in kiosks and posters throughout Metro-North's system and postings on Metro-North's social media page.

There was a discussion between Board member Moerdler, Mr. Vonashek and Chief Coan concerning the increase in employee lost time injuries due to the increase in assaults on conductors. Chief Coan noted that an assault on a conductor is a felony and that there have been four assaults on conductors, year-to-date, all of which have resulted in an arrest. He will inform the Board of the outcome of these cases. Board member Moerdler, President Giulietti and Mr. Vonashek discussed the process for taking corrective action pursuant to C3RS. Board member Zuckerman would like the Committee to be kept informed of the lessons learned as a result of C3RS. Board member Metzger asked that the Committee be informed when a report requiring corrective action is resolved. Board members Vitiello and Moerdler, President Giulietti and Mr. Gans discussed whether the railroad could take action against drivers after cameras at crossings have been installed.

The details of Mr. Vonashek's report are contained in the safety report filed with the records of this meeting and the video recording of the meeting produced by the MTA and maintained in the MTA records, which recording includes Board member comments regarding the Safety Report.

MTA POLICE DEPARTMENT REPORT

Chief Coan reported that year-to-date August 2016, there was a 6% decrease in total major felonies system-wide. There were 15 major felonies on the Metro-North system in August 2016 versus 14 in 2015. On the Metro-North system, year-to-date August, there was a four percent increase in total major felonies, the increase was mainly due to an increase in felony assaults. Year-to-date August, there were 12 assault cases, 10 of which were closed by arrests. An attempted assault at Purdys Station resulted in an arrest. There were four arrests for assaults on conductors. Grade crossing safety is a priority for Metro-North and the MTAPD. Year-to-date 1478 summons have been issued at grade crossings, 157 of which were for grade crossing violations. Chief Coan noted that the MTAPD will continue to enforce the Vehicle and Traffic law which requires motorists to stop when the grade crossing lights are flashing and to remain stopped until the lights stop flashing.

Board members Vanterpool and Vitiello, Chief Coan and President Giulietti discussed assaults on Metro-North conductors and the data gathered regarding these assaults. It was noted that none of the assaults, which occurred during peak hours, resulted in serious injuries. Board member Metzger noted that assaults on conductors are very upsetting to the Committee. President Giulietti noted that the MTAPD immediately respond to conductor assaults. Board member Moerdler and Chief Coan discussed tracking of criminal cases. Chief Coan noted that the police do

not necessarily receive information concerning the results of summonses that have been issued. However, if the case is heard in Court, the MTAPD would receive information regarding the outcome of these cases. President Giulietti noted that Metro-North is actively working with the MTAPD at grade crossings.

The details of Chief Coan's report are contained in the MTA Police Report filed with the records of this meeting and in the video recording of the meeting produced by the MTA and maintained in the MTA records, which recording includes Board member comments regarding the police report.

INFORMATION ITEMS:

Five information items were presented to the Committee:

- 2017 Preliminary Budget (Public Comment).
- 2016 Mid-Year Forecast.
- Diversity/EEO Report – President Giulietti noted that the report would be fully discussed at the Diversity Committee meeting to be held this date.
- Track Program Quarterly Report – Mr. Hayden gave the third quarter progress report on Metro-North's ongoing track maintenance work to bring the infrastructure to a state of good repair to ensure the safety and reliability of Metro-North's service.
- 2016 Fall Schedule Change – President Giulietti reported on the October 2, 2016 east of Hudson schedule change which includes adjustments to address on-time performance issues during peak periods, support critical capital and maintenance of way work and address customer and stakeholder requests. The schedule provides increased service, earlier inbound service on weekdays and later outbound service on weekdays and weekends at Tremont and Melrose stations.

Board member Moerdler and Mr. Hayden discussed the cleaning of debris on tracks. Mr. Hayden noted that there are initiatives in place for the reporting of debris on tracks. The right-of-way task force and the police speak to adjacent property owners regarding trash on adjoining property and have had good results. Board members Metzger and Moerdler stated that the railroad workers do a great job in cleaning of debris.

The details of the above items are contained in staff summaries and reports filed with the records of this meeting and in the video recording of the meeting produced by the MTA and maintained in the MTA records, which recording contains the discussions between Board members and staff regarding the above information items.

ACTION ITEMS:

Two action items were presented to the Committee:

- New Haven Line Connecticut Fare Increase – President Giulietti noted that the Committee will be asked to recommend that the Board approve a resolution authorizing the fare increases proposed by the Connecticut Department of Transportation (CDOT)

on the New Haven Line for travel to or from Connecticut stations. The proposed increase only affects travel between New York and Connecticut stations, and travel between Connecticut stations. Fares within New York State would not be affected. He noted that Metro-North participated in the public hearings held by CDOT. The CDOT proposal would raise fares 6%, effective in December, and is needed to help CDOT fill a projected budget gap. The increase includes a previously approved 1% increase that is scheduled to go into effect on January 1. Under the Service Agreement between MTA and the CDOT, both MTA and CDOT must approve all New Haven Line Fares. Mr. Redeker thanked Metro-North for its participation in the public hearings.

- NYSDOT Grant for Connecting Services – a \$565,000 in a Congestion Mitigation/Air Quality (CMAQ) grant from New York State Department of Transportation to support connecting services through a variety of operational and marketing activities.

Board members Vanterpool and Saul addressed the Committee, stating that they would not support the fare increase. They noted that the fare increase would impact many New York riders as the largest reverse commute is that from New York to Stamford. Board members Metzger, Zuckerman, Vitiello, Pally and Brown also commented on the proposed fare increase. Thereafter, upon motion duly made and seconded, the foregoing action items were approved for recommendation to the Board. Board members Vanterpool and Saul voted in opposition to the New Haven Line Connecticut Fare Increase. The details of the above items are contained in a staff summaries and reports filed with the records of this meeting and in the video recording of the meeting produced by the MTA and maintained in the MTA records, which recording contains the discussions between Board members and staff regarding the above action items.

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 and in the video recording of the meeting produced by the MTA and maintained in the MTA records.

ADJOURNMENT

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

Respectfully submitted,



Linda Montanino
Assistant Secretary



2016 Long Island Rail Road Committee Work Plan

I. RECURRING AGENDA ITEMS

Responsibility

Approval of Minutes	Committee Chair & Members
2016 Committee Work Plan	Committee Chair & Members
Agency President's/Chief's Reports	President/Senior Staff
Information Items (if any)	
Action Items (if any)	
Procurements	Procurement & Logistics
Performance Summaries	President/Senior Staff
Status of Operations	Sr. VP - Operations
Safety	Chief Safety Officer
Financial/Ridership Report	VP & CFO
Capital Program Report	SVP - Engineering

II. SPECIFIC AGENDA ITEMS

Responsibility

October 2016 (Joint Meeting with MNR)

2017 Preliminary Budget (Public Comment)	
Status Update on PTC	President/Sr. Staff

November 2016

Review of Committee Charter	Committee Chair & Members
East Side Access Support Projects Update	President/Sr. Staff
2016 Holiday Schedule	Service Planning

December 2016 (Joint Meeting with MNR)

Diversity/EEO Report – 3 rd Q 2016	Administration/Diversity
2017 Final Proposed Budget	Management & Budget
2017 Proposed Committee Work Plan	Committee Chair & Members
Bi-Annual Report on M-9 Procurement	President/Sr. Staff

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January 2017

Approval of 2017 Committee Work Plan	Committee Chair & Members
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February 2017 (Joint Meeting with MNR)

Adopted Budget/Financial Plan 2017	Management & Budget
2016 Annual Operating Results	Operations
2016 Annual RCM Fleet Maintenance Report	Operations
Status Update on PTC	President/Sr. Staff
Diversity/EEO Report – 4 th Q 2016	Administration/Diversity
2017 Spring Schedule Change	Service Planning

March 2017

Annual Strategic Investments & Planning Study
Annual Elevator/Escalator Report

Strategic Investments
Engineering

April 2017 (Joint Meeting with MNR)

Final Review of 2016 Operating Results
Annual Inventory Report
2016 Annual Ridership/Marketing Plan Report
2017 Summer Schedule Change

Management & Budget
Procurement
Finance/Marketing
Service Planning

May 2017

Diversity/EEO Report – 1st Q 2017

Administration/Diversity

June 2017 (Joint Meeting with MNR)

Status Update on PTC
Bi-Annual Report on M-9 Procurement

President/Sr. Staff
President/Sr. Staff

July 2017

Penn Station Retail Development
Environmental Audit
2017 Fall Construction Schedule Change

MTA Real Estate
Corporate Safety
Service Planning

September 2017

2018 Preliminary Budget (Public Comment)
2017 Mid Year Forecast
Diversity/EEO Report – 2nd Q 2017

Management & Budget
Administration/Diversity

LONG ISLAND RAIL ROAD COMMITTEE WORK PLAN

DETAILED SUMMARY

I. RECURRING AGENDA ITEMS

Approval of Minutes

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

2016 Work Plan

The Work Plan will list, by month, the topics scheduled for review. The Committee will be advised if any changes have been made to the plan.

Information Items (if any)

Materials presented to the Committee for review pertaining to certain agency initiatives and functions.

Action Items (if any)

Staff summary documents presented to the Board for approval of items affecting business standards and practices.

Procurements

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

Police Activity Report

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

Police Activity Report

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

PERFORMANCE SUMMARIES

Report on Transportation

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

Report on Mechanical

A monthly report will be given highlighting key fleet performance statistics and indicators.

Report on Safety

A monthly report will be given highlighting key safety performance statistics and indicators.

Financial Report

A monthly report will be provided that compares the Railroad's actual financial performance against its budget and/or forecast.

Ridership Report

A monthly report will be provided that compares actual monthly ticket sales, ridership and revenues against prior year results.

Capital Program Progress Report

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

II. SPECIFIC AGENDA ITEMS

OCTOBER 2016 (Joint Meeting with MNR)

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 PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008 and as amended by the "Positive Train Control Enforcement and Implementation Act of 2015." Highlights to include cost of PTC along with operation and implementation risks.

NOVEMBER 2016

Review Committee Charter

Annual review of Long Island Committee Charter for Committee revision/approval.

East Side Access Support Projects Update

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

Holiday Schedule

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

DECEMBER 2016 (Joint Meeting with MNR)

Diversity & EEO Report– 3rd Quarter 2016

Quarterly report to the Committee providing data on key EEO and Human Resources indicators relating to LIRR's Equal Employment Opportunity and Diversity efforts, such as composition of the agency's workforce, new hires, and discrimination complaints. In alternating quarters, the report will include additional information on diversity initiatives.

2017 Final Proposed Budget

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

Proposed 2017 Committee Work Plan

The Committee Chair will present a draft Long Island Rail Road Committee Work Plan for 2017 that will address initiatives to be reported throughout the year.

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.

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JANUARY 2017

The Committee will approve the Proposed Long Island Rail Road Committee Work Plan for 2017 that will address initiatives to be reported on throughout the year.

FEBRUARY 2017 (Joint Meeting with MNR)

Adopted Budget/Financial Plan 2017

The Agency will present its revised 2017 Financial Plan. These plans will reflect the 2017 Adopted Budget and an updated Financial Plan for 2017 reflecting the out-year impact of any changes incorporated into the 2017 Adopted Budget.

2016 Annual Operating Results

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

2016 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 PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008 and as amended by the "Positive Train Control Enforcement and Implementation Act of 2015". Highlights to include cost of PTC along with operation and implementation risks.

Diversity & EEO Report– 4th Quarter 2016

Quarterly report to the Committee providing data on key EEO and Human Resources indicators relating to LIRR's Equal Employment Opportunity and Diversity efforts, such as composition of the agency's workforce, new hires, and discrimination complaints. In alternating quarters, the report will include additional information on diversity initiatives.

2017 Spring/Summer Construction Schedule Changes

The Committee will be advised of plans to adjust schedules to support construction projects during the spring and summer of 2017.

MARCH 2017

Annual Strategic Investments & Planning Study

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.

Annual Elevator/Escalator Report

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

APRIL 2017 (Joint Meeting with MNR)

Final Review of 2016 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.

Annual Inventory Report

The Agency will present its annual report on Inventory.

2016 Annual Ridership/Marketing Plan Report

A report will be presented to the Committee on Agency ridership trends during 2016 based on monthly ticket sales data and the results of train ridership counts conducted by the Agency.

2017 Summer Schedule Change

The Committee will be advised of Agency plans to adjust schedules to support construction projects during the summer of 2017.

MAY 2017

Diversity & EEO Report– 1st Quarter 2017

Quarterly report to the Committee providing data on key EEO and Human Resources indicators relating to LIRR's Equal Employment Opportunity and Diversity efforts, such as composition of the agency's workforce, new hires, and discrimination complaints. In alternating quarters, the report will include additional information on diversity initiatives.

JUNE 2017 (Joint Meeting with MNR)

Status Update on PTC

The Committee will be briefed on the status of PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008 and as amended by the "Positive Train Control Enforcement and Implementation Act of 2015." 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.

JULY 2017

Penn Station 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 Penn Station.

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.

2017 Fall Construction Schedule Change

The Committee will be advised of Agency plans to adjust schedules to support construction projects during the fall of 2016.

SEPTEMBER 2017

2018 Preliminary Budget

Public comment will be accepted on the 2017 Budget.

2017 Mid-Year Forecast

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

Diversity & EEO Report– 2nd Quarter 2017

Quarterly report to the Committee providing data on key EEO and Human Resources indicators relating to LIRR's Equal Employment Opportunity and Diversity efforts, such as composition of the agency's workforce, new hires, and discrimination complaints. In alternating quarters, the report will include additional information on diversity initiatives.

2016 Metro-North Railroad Committee Work Plan

I. RECURRING AGENDA ITEMS

Responsibility

Approval of Minutes	Committee Chairs & Members
2016 Committee Work Plan	Committee Chairs & Members
President's Report	President/Senior Staff
Safety Report	
MTA Police Report	
Information Items (if any)	
Action Items (if any)	
Procurements	
Agency Reports	Senior Staff
Operations	
Finance	
Ridership	
Capital Program	

II. SPECIFIC AGENDA ITEMS

Responsibility

<u>October 2016 (Joint meeting with LIRR)</u>	
2017 Preliminary Budget (Public Comment)	Finance
Status Update on PTC	President
 <u>November 2016</u>	
Review of Committee Charter	Committee Chairs & Members
Holiday Schedule	Operations Planning & Analysis
 <u>December 2016(Joint meeting with LIRR)</u>	
2017 Final Proposed Budget	Finance
2017 Proposed Committee Work Plan	Committee Chairs & Members
Diversity/EEO Report – 3 rd Quarter 2016	Diversity and EEO
Bi-Annual Report on M-9 Procurement	President
Track Program Quarterly Update	Engineering

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January 2017

Approval of 2017 Committee Work Plan	Committee Chairs & Members
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February 2017 (Joint meeting with LIRR) – MNR Lead

Adopted Budget/Financial Plan 2017	Finance
2016 Annual Operating Results	Operations
2016 Annual Fleet Maintenance Report	Operations
Status Update on PTC	President
Diversity/EEO Report – 4 th Quarter 2016	Diversity and EEO

March 2017

Annual Strategic Investments & Planning Studies
2017 Spring/Summer Schedule Change
Annual Elevator & Escalator Report
Track Program Quarterly Update

Capital Planning
Operations Planning & Analysis
Engineering
Engineering

April 2017 (Joint meeting with LIRR)

Final Review of 2016 Operating Budget Results
2016 Annual Ridership Report
Annual Inventory Report

Finance
Operations Planning & Analysis
Procurement

May 2017

Diversity/EEO Report – 1st Quarter 2017

Diversity and EEO

June 2017 (Joint meeting with LIRR)

Status Update on PTC
Bi-Annual Report on M-9 Procurement
Track Program Quarterly Update

President
President
Engineering

July 2017

Grand Central Terminal Retail Development
Environmental Audit

MTA Real Estate
Environmental Compliance

September 2017

2018 Preliminary Budget (Public Comment)
2017 Mid-Year Forecast
Diversity/EEO Report – 2nd Quarter 2017
Track Program Quarterly Update
2017 Fall Schedule Change

Finance
Finance
Diversity and EEO
Engineering
Operations Planning & Analysis

METRO-NORTH RAIL ROAD COMMITTEE WORK PLAN

DETAILED SUMMARY

I. RECURRING AGENDA ITEMS

Approval of Minutes

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

2016 Work Plan

The Work Plan will list, by month, the topics scheduled for review. The Committee will be advised if any changes have been made to the plan.

President's Report

A monthly report will be provided highlighting major accomplishments and progress on key initiatives and performance indicators.

Safety

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

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

OCTOBER 2016 (Joint Meeting with LIRR)

2017 Preliminary Budget

Public comment will be accepted on the 2017 Budget.

Status Update on PTC

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

NOVEMBER 2016

Review of Committee Charter

Annual review and approval of the MNR Committee Charter.

Holiday Schedule

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

DECEMBER 2016 (Joint Meeting with LIRR)

2017 Final Proposed Budget

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

2017 Proposed Committee Work Plan

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

Diversity & EEO Report– 3rd Quarter 2015

A quarterly report to the Committee providing data on key Equal Employment Opportunity (EEO) and Human Resources indicators relating to MNR's EEO and Diversity efforts, such as composition of the agency's workforce, new hires, and discrimination complaints. In alternating quarters, the report will include additional information on diversity initiatives.

Bi-Annual Report on M-9 Procurement

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

Track Program Quarterly Update

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

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JANUARY 2017

Approval of 2017 Committee Work Plan

The Committee will approve the Proposed Metro-North Railroad Committee Work Plan for 2017 that will address initiatives to be reported on throughout the year.

FEBRUARY 2017 (Joint Meeting with LIRR)

Adopted Budget/Financial Plan 2017

The Agency will present its revised 2017 Financial Plan. These plans will reflect the 2017 Adopted Budget and an updated Financial Plan for 2017 reflecting the out-year impact of any changes incorporated into the 2017 Adopted Budget.

2016 Annual Operating Results

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

2016 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 PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008. Highlights to include cost of PTC along with operation and implementation risks.

Diversity & EEO Report– 4th Quarter 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.

MARCH 2017

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.

2017 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 2017.

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 2017 (Joint Meeting with LIRR)

Final Review of 2016 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.

2016 Annual Ridership Report

A report will be presented to the Committee on Metro-North's ridership trends during 2016 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 2017

Diversity & EEO Report– 1st Quarter 2017

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 2017 (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 2017

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 2017 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 2017

2018 Preliminary Budget

Public comment will be accepted on the 2018 Budget.

2017 Final Mid-Year Forecast

The agency will provide the 2017 Mid-Year Forecast financial information for revenue and expense by month.

Diversity & EEO Report– 2nd Quarter 2017

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.

2017 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 2017.



Metro-North Railroad

Safety Report

August 2016 Safety Report

Statistical results for the 12-Month period are shown below.

Performance			
Performance Indicator	12-Month Average		
	September 2013 - August 2014	September 2014 - August 2015	September 2015 - August 2016
FRA Reportable Customer Accident Rate per Million Customers	2.16	1.74	1.25
FRA Reportable Employee Lost Time Injury Rate per 200,000 worker hours	2.71	2.21	2.67
Grade Crossing Incidents ¹	3	1	3
Mainline FRA Reportable Train Derailments	1	1	1
Mainline FRA Reportable Train Collisions	0	0	0

¹ Per FRA - Any impact between railroad on-track equipment and a highway user at a highway-rail grade crossing. The term "highway user" includes automobiles, buses, trucks, motorcycles, bicycles, farm vehicles, pedestrians, and all other modes of surface transportation motorized and un-motorized.

Leading Indicators				
Employee: Focus on C3RS	2015		2016	
	August	Year end	August	Year to Date
Total Reports Received	0	574	18	415
Total Reports Reviewed by PRT	0	261	48	579
Total Reports that Meet C3RS Program Criteria	0	212	40	476
Total Corrective Actions being Developed	0	0	4	6
Total Corrective Actions Implemented	0	3	0	0
Customer and Community: Focus on Grade Crossings	August	Year to Date	August	Year to Date
Broken Gates	1	24	5	39
MTA Police Details	110	1,170	112	1,060
Summons	27	559	25	277
Warnings	9	175	4	83
Community Education and Outreach	NA	NA	7,613	20,368
Cameras on Rolling Stock	Fleet Size	Total Installed	% Complete	
Inward / Outward Facing Cab Cameras	956	4	0.42%	
Passenger Compartment Cameras	1,083	5	0.46%	
Total	2,039	9	0.44%	

Definitions:

Confidential Close Call Reporting System (C3RS) - Labor, Management, and Federal Railroad Administration (FRA) partnership designed to enhance safety through analysis of confidential reports of employee close calls. The Peer Review Team (PRT) meets to review reports and recommend corrective actions.

Broken Gates - The number of events at grade crossing locations where a vehicle broke a crossing gate.

MTA Police Detail - The number of details specifically for the purpose of monitoring behavior at Grade Crossings.

Summons for Grade Crossing Violation and other Infractions- The number of violations issued to a motorist for going around a crossing gate or due to behavior that put the motorist at risk (i.e. cell phone use, etc.).

Warnings - The number of warnings issued to motorists due to behavior that put the motorist at risk (i.e. cell phone use, etc.).

Community Education and Outreach - The number of participants who attended a TRACKS, Operation LifeSaver, or Railroad Safety Awareness Event. Program began in May 2016.

Cameras on Rolling Stock - Number of complete inward/outward and passenger compartment camera installations on rolling stock. Installation began in August 2016.

MTA CAPITAL CONSTRUCTION

PROJECT UPDATE

EAST SIDE ACCESS

East Side Access Active and Future Construction Contracts

Report to the Railroad Committee - October 2016

Expenditures thru September 2016; \$s in million

	Budget	Committed	Expenditures
Construction	\$ 8,038.0	\$ 7,078.5	\$ 5,051.6
Design	\$ 723.5	\$ 702.5	\$ 676.1
Project Management	\$ 1,036.2	\$ 878.7	\$ 725.2
Real Estate	\$ 178.0	\$ 119.3	\$ 115.9
Rolling Stock†	\$ 202.0	\$ -	\$ -
Total	\$ 10,177.8	\$ 8,779.0	\$ 6,568.9

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

	Schedule
Project Design Start	March-1999
Project Design Completion	June-2017
Project Construction Start	September-2001
Revenue Service Date	December-2022

Project Description	Budget (Bid + Contingency)	Current Contract (Bid + Approved AWOs)	Remaining Budget	Expenditures	2014 Replan Award Date	Actual/ Forecast Award Date	Planned Completion at Award	Forecast Completion
Manhattan Construction								
CM014A: GCT Concourse Finishes Early Work <i>Yonkers Contracting</i>	\$59.1	\$58.8	\$0.3	\$56.4	Nov-2011	Nov-2011	Apr-2013	Nov-2016
CM006: Manhattan Northern Structures <i>Frontier Kemper Constructors, Inc.</i>	\$361.6	\$350.0	\$11.6	\$278.3	Mar-2014	Mar-2014	Nov-2016	Jun-2017
CM014B: GCT Concourse & Cavern Fit-Out <i>GCT Constructors JV</i>	\$463.6	\$431.5	\$32.1*	\$89.4	Dec-2014	Feb-2015	Aug-2018	Jan-2019
CM007: Manhattan Cavern Structure & Facilities Fit-Out <i>Tutor Perini Corporation</i>	\$712.3	\$663.1	\$49.2	\$13.1	Jul-2015	Apr-2016	Jan-2020	Jan-2020
Queens Construction								
CQ032: Plaza Substation & Queens Struct Construction <i>Tutor Perini Corporation</i>	\$263.9	\$260.1	\$3.9	\$236.5	Aug-2011	Aug-2011	Aug-2014	Nov-2016
Harold Construction								
CH057A: Harold Structures - Part 3: West Bound Bypass <i>Harold Structures JV</i>	\$126.8	\$116.8	\$10.0	\$42.9	Nov-2013	Nov-2013	Feb-2016	Oct-2017
CH057: Harold Structures - Part 3: Track D Approach, 48th St Bridge <i>Tutor Perini Corporation</i>	\$89.9	\$56.5	\$33.3	\$23.8	Nov-2014	Dec-2015	Aug-2017	Oct-2017
CH058A: Harold Structures - Part 3A: B/C Approach**	<i>In Design</i>							
					Jul-2015	Jun-2018	N/A	Oct-2020
Systems Contracts								
Systems Package 1: Tunnel Ventilation, Facility Power, Communications, Controls, Security, Fire Detection (CS179) <i>Tutor Perini Corporation</i>	\$606.9	\$518.2	\$88.7***	\$119.9	Mar-2014	Mar-2014	Dec-2019	Jul-2020
Systems Package 2: Signal Installation (CS086) <i>Ansaldo STS USA Inc.</i>	\$21.8	\$19.9	\$1.9	\$2.4	TBD	May-2017	N/A	Jul-2020
Systems Package 3: Signal Equipment (VS086)					Jun-2014	Jun-2014	Dec-2019	Jul-2020
Systems Package 4: Traction Power (CS084) <i>E-J Electrical Installation Company</i>	\$79.7	\$72.5	\$7.2	\$7.5	Sep-2014	Oct-2014	Dec-2019	Jul-2020

* Remaining contingency includes unawarded options and associated contingency (originally \$26M).

** CH058 contract package is being split into two packages. The first package will be CH058A Harold Structures Part 3A B/C Approach. There will be a future package CH058B which will include regional investment of the Eastbound Reroute.

*** Remaining contingency includes unawarded options and associated contingency (originally \$238.48M).

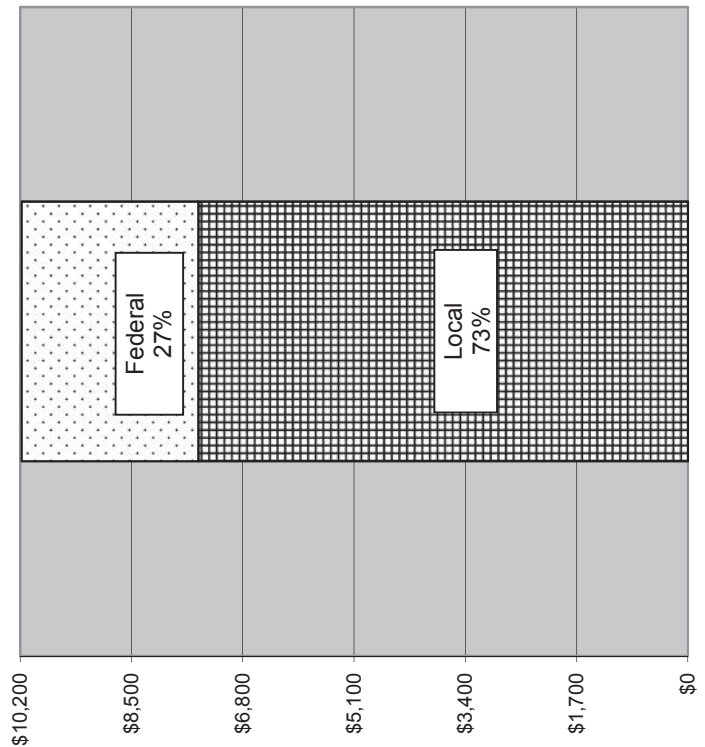
East Side Access Status

Report to the Railroad Committee - October 2016

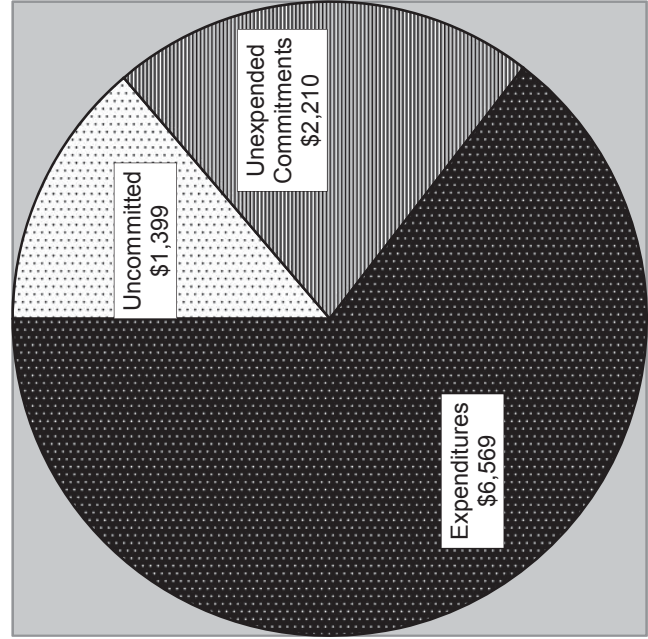
data thru September 2016

MTA Capital Program \$ in Millions	Budgeted	Funding Sources		Status of Commitments		
		Local Funding	Federal Funding	Committed	Uncommitted	Expended
1995-1999	\$ 158	\$ 94	\$ 64	\$ 158	\$ -	\$ 158
2000-2004	1,534	742	792	1,533	1	1,522
2005-2009	2,683	840	1,843	2,677	6	2,623
2010-2014	3,232	3,232	-	3,141	91	2,159
2015-2019	2,572	2,572	-	1,270	1,301	106
Total	\$ 10,178	\$ 7,479	\$ 2,699	\$ 8,779	\$ 1,399	\$ 6,569

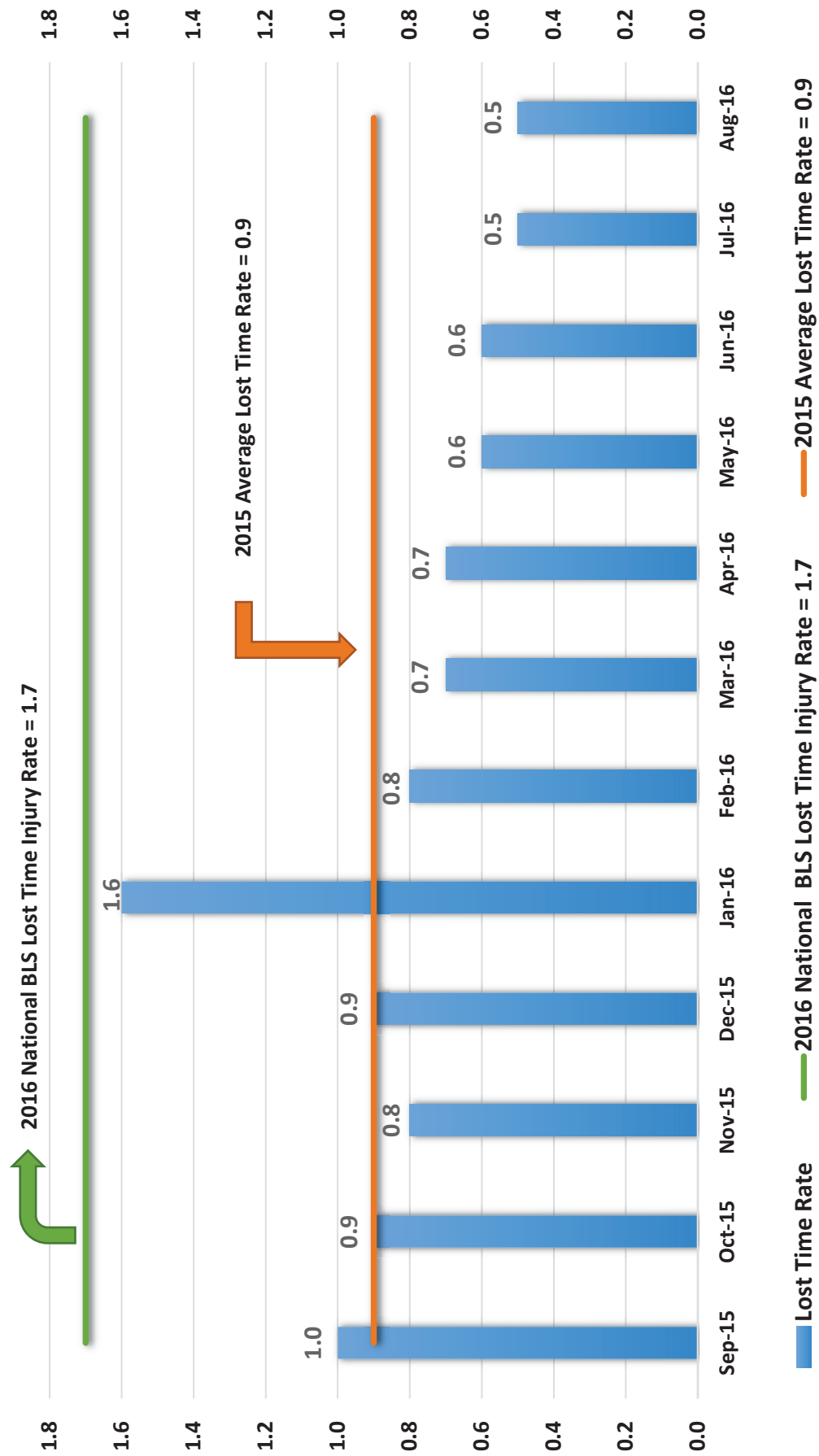
Project Budget: \$10.178 Billion



Commitments and Expenditures (\$ in Millions)



ESA Annual Cumulative Profile of Lost Time Injury Rates





POLICE REPORT



METROPOLITAN TRANSPORTATION AUTHORITY
Police Department
Long Island Rail Road

September 2016 vs. 2015

	2016	2015	Diff	% Change
Murder	0	0	0	0%
Rape	0	1	-1	-100%
Robbery	1	2	-1	-50%
Felony Assault	2	2	0	0%
Burglary	0	0	0	0%
Grand Larceny	11	11	0	0%
Grand Larceny Auto	1	0	1	100%
Total Major Felonies	15	16	-1	-6%

Year to Date 2016 vs. 2015

	2016	2015	Diff	% Change
Murder	0	0	0	0%
Rape	0	1	-1	-100%
Robbery	17	15	2	13%
Felony Assault	12	15	-3	-20%
Burglary	8	5	3	60%
Grand Larceny	56	70	-14	-20%
Grand Larceny Auto	3	3	0	0%
Total Major Felonies	96	109	-13	-12%



METROPOLITAN TRANSPORTATION AUTHORITY
Police Department
Metro North Railroad

September 2016 vs. 2015

	2016	2015	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	1	0	1	100%
Felony Assault	1	0	1	100%
Burglary	3	0	3	100%
Grand Larceny	10	8	2	25%
Grand Larceny Auto	0	1	-1	-100%
Total Major Felonies	15	9	6	67%

Year to Date 2016 vs. 2015

	2016	2015	Diff	% Change
Murder	0	0	0	0%
Rape	0	1	-1	-100%
Robbery	11	9	2	22%
Felony Assault	13	7	6	86%
Burglary	14	9	5	56%
Grand Larceny	78	79	-1	-1%
Grand Larceny Auto	3	5	-2	-40%
Total Major Felonies	119	110	9	8%



METROPOLITAN TRANSPORTATION AUTHORITY

Police Department

System Wide

September 2016 vs. 2015

	2016	2015	Diff	% Change
Murder	0	0	0	0%
Rape	0	1	-1	-100%
Robbery	4	2	2	100%
Felony Assault	3	2	1	50%
Burglary	3	0	3	100%
Grand Larceny	21	19	2	11%
Grand Larceny Auto	1	1	0	0%
Total Major Felonies	32	25	7	28%

Year to Date 2016 vs. 2015

	2016	2015	Diff	% Change
Murder	0	0	0	0%
Rape	0	2	-2	-100%
Robbery	34	31	3	10%
Felony Assault	26	24	2	8%
Burglary	22	14	8	57%
Grand Larceny	141	156	-15	-10%
Grand Larceny Auto	6	8	-2	-25%
Total Major Felonies	229	235	-6	-3%

INDEX CRIME REPORT

Per Day Average

September 2016

	Systemwide	LIRR	MNRR	SIRT
Murder	0	0	0	0
Rape	0	0	0	0
Robbery	4	1	1	2
Fel. Assault	3	2	1	0
Burglary	3	0	3	0
Grand Larceny	21	11	10	0
GLA	1	1	0	0
Total	32	15	15	2
Crimes Per Day	1.07	0.50	0.50	0.07



MTA Police Department

Arrest Summary: Department Totals

1/1/2016 to 9/30/2016

Arrest Classification	Total Arrests	
	2016	2015
Murder	0	1
Rape	0	2
Robbery	23	26
Felony Assault	28	24
Burglary	18	7
Grand Larceny	42	38
Grand Larceny Auto	3	0
Aggravated Harassment	3	1
Aggravated Unlicensed Operator	16	10
Arson	0	1
Assault-Misdemeanor	36	32
Breach of Peace	9	13
Child Endangerment	3	3
Criminal Contempt	3	8
Criminal Impersonation	5	3
Criminal Mischief	36	30
Criminal Possession Stolen Property	12	10
Criminal Tampering	2	10
Criminal Trespass	25	21
Disorderly Conduct	3	2
Drug Offenses	39	44
DUI Offenses	7	7
Falsely Reporting an Incident	3	4
Forgery	54	40
Fraud	8	7
Graffiti	10	9
Harassment	0	4
Identity Theft	1	3
Impairment Integrity Gov Licencing Exam	0	13
Issue a Bad Check	1	1
Menacing	5	12
Obstruct Government	14	7
Official Misconduct	5	0
Panhandling	1	0
Petit Larceny	159	82
Probation/Parole Violation	0	1
Promoting Prostitution	0	1
Public Lewdness	100	22
Reckless Endangerment	3	8
Resisting Arrest	25	22
Sex Offenses	7	4
Stalking	0	1
Theft of Services	131	132
Unlawful Fleeing a Police Officer	1	0
Unlawful Imprisonment/Kidnapping	1	0
Unlawful Surveillance	0	2
VTL Offenses	1	2
Warrant Arrest	35	47
Weapons Offenses	5	6
Unauthorized Use Vehicle	0	2
Total Arrests	883	725



Long Island Rail Road



Metro-North Railroad

JOINT INFORMATION ITEMS

MTA HOMELESS OUTREACH

Long Island Rail Road

Metro-North Railroad

October 2016



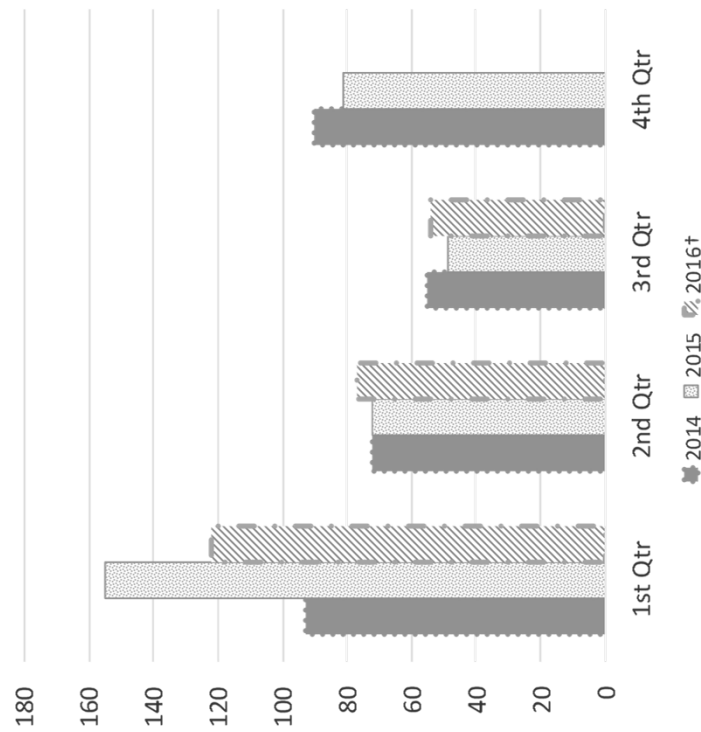
MTA HOMELESS OUTREACH

- Service Providers
 - Bowery Residents' Committee
 - LIRR & MNR property within NYC
 - Services for the Underserved (SUS)
 - LIRR suburban property
 - MNR issuing RFP for suburban outreach
- Placements
 - Voluntary
 - Exception for those individuals who pose a danger to themselves or others
- Partners
 - MTAPD
 - Amtrak



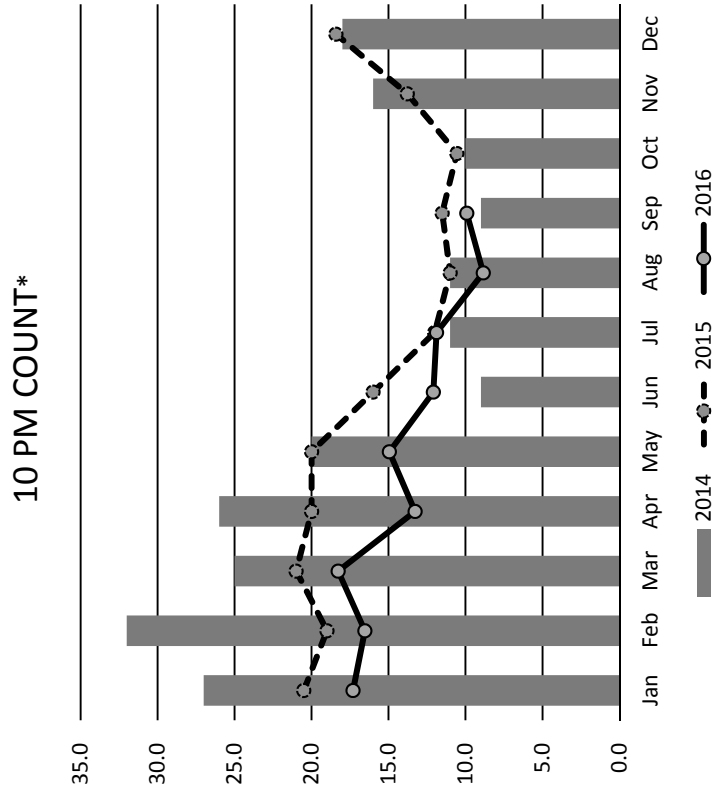
MTA HOMELESS OUTREACH

GCT Placements



† Preliminary March 2016 data has been updated. Preliminary Sept 2016 data

GCT Homeless Counts



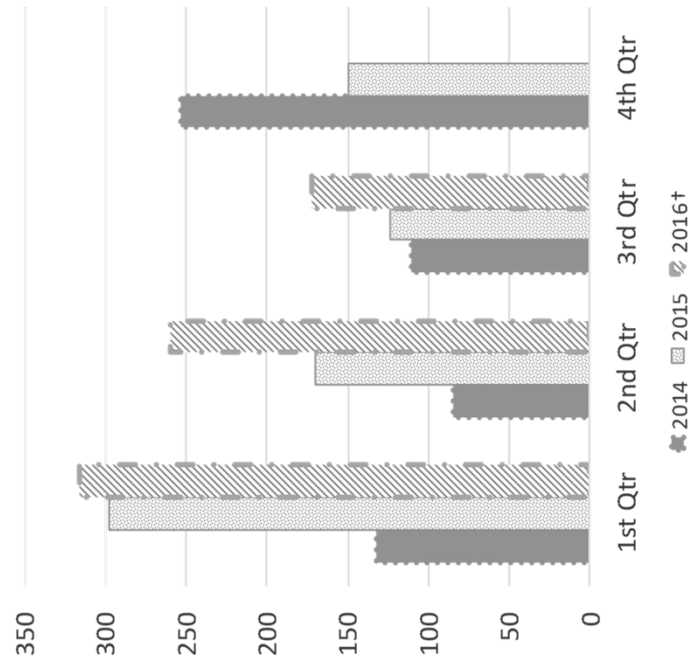
* Inside Terminal

Metropolitan Transportation Authority



MTA HOMELESS OUTREACH

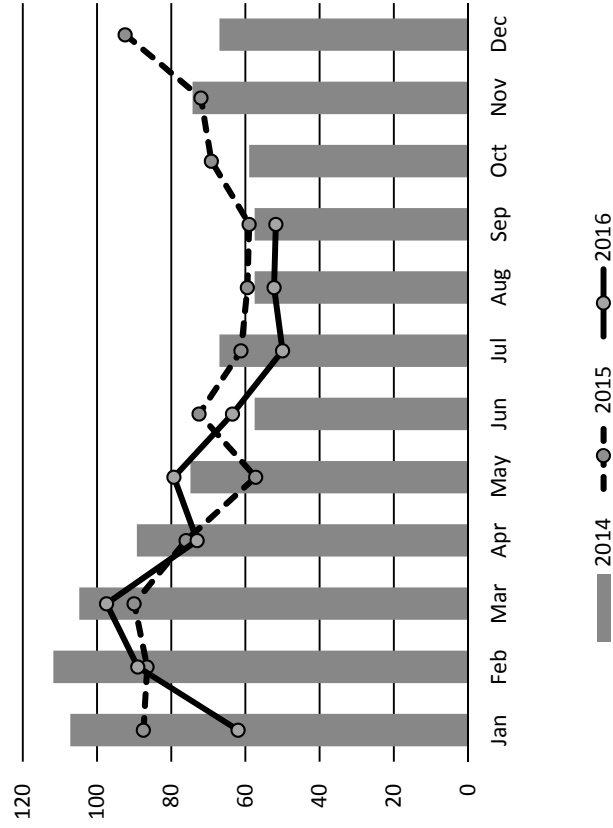
Penn Placements



† Preliminary March 2016 data has been updated. Preliminary Sept 2016 data.

Penn Homeless Counts

Average of Penn Initiative Weekly Counts*



*Penn Initiative includes Amtrak level, Subway areas & Street level

Metropolitan Transportation Authority



October 2016 CPOC LIRR/MNR PTC Project Update

October 26, 2016

Budget / Schedule

Budget

- The Railroads' current estimated Project Cost remains \$968M.
- 29% or \$278M of the budget is expended to date.

Schedule

- The Railroads remain on schedule to meet December 2018 deadline.
- Final Design is still pending – Completion targeted by 2nd Qtr. 2017
- Designs, deliveries, installations and testing activities are moving ahead in parallel.
- Progress to date for each Railroad is approximately 30%

Update from June 2016 CPOC

Key Accomplishments

- LIRR/MNR acquired all radio spectrum for PTC
- LIRR/MNR approved the contractor's system design and all PTC hardware
 - Completed First Article Inspections of all hardware elements
 - Finalized system level interoperability agreements with Amtrak
- The Contractor started development of vehicle and office software
- LIRR completed all applications to FCC and Tribal Nations for antenna pole installations

Update from June 2016 CPOC

Other achievements

- MNR completed FCC surveys and applications for pilot lines
- LIRR/MNR collected test data from pilot testing to validate design
 - LIRR will need to add and re-position some transponders
- LIRR/MNR continued to install on-board, signal and communications equipment
- LIRR/MNR completed transponder installations and verified operation on the test track
- MNR started installation of office equipment at back up command center.
- LIRR/MNR continued training of railroad forces

120 Day Look Ahead

- LIRR/MNR will finalize subsystem designs and start Final Design Review (FDR).
- LIRR/MNR will continue pilot testing with interface to communications subsystem including the PTC radios.
- LIRR to receive FCC and Tribal Nations approvals for antenna pole installations. MNR to complete surveys and application process.
- LIRR/MNR will complete installation of PTC office equipment at back up locations.
- LIRR/MNR will continue training of Railroad Forces.
- LIRR /MNR will continue installation of wayside and vehicle components

	<u>LIRR</u>	<u>MNR</u>
Equipment	120 Day Target Quantity	120 Day Target Quantity
Transponders	600	500
Wayside Interface Units	24	15
Communication Cases	10	3
Antenna Poles	0	0
M7	61	36

Risks / Mitigation Strategies

- A Risk Assessment is in progress.
- The Railroads are reviewing new risks identified to formulate appropriate mitigation strategies.

1. Risk: Delays in design process (including software development) will impact timely completion

Mitigation:

- Proceeded with software and hardware designs in parallel
- Started installation of approved hardware before final design completion
- Conducting Pilot testing as design progresses
- Accepting interim software builds to start testing PTC functionality earlier
- Accepting risk of repeat work

2. Risk: Equipment manufacturing and deliveries impacted by late designs

Mitigation:

- Contractor acquiring additional suppliers and engineering support

Risks / Mitigation Strategies

3. Risk: Railroads forced to perform installations within shorter timeframe

Mitigation:

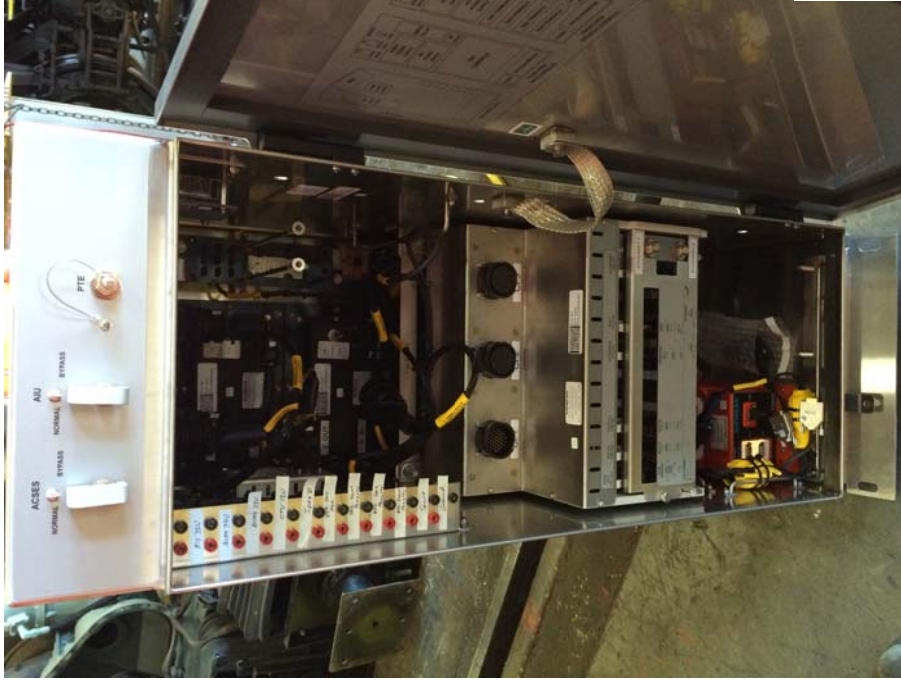
- MNR using a contractor to complete M7 installations
- LIRR accepting/installing partial equipment deliveries

4. Risk: Testing may strain current RR resources and track availability

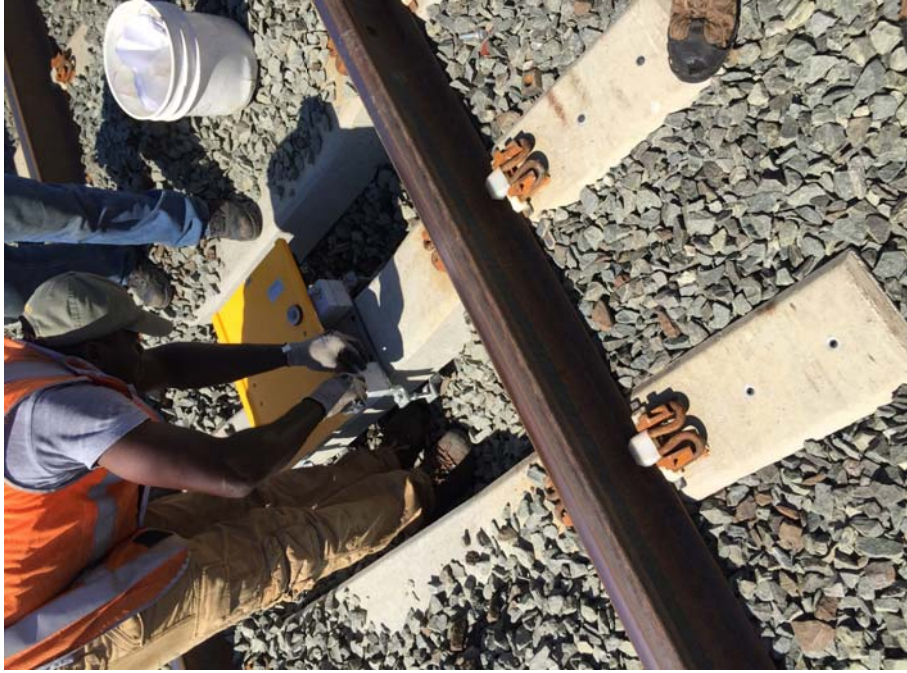
Mitigations

- Implemented dedicated Test Tracks
- Developing detailed test plans and acquiring appropriate manpower
- Conducting testing in between service and nights
- Evaluating the possibility of taking tracks out of service to perform testing
- Giving PTC the highest priority

LIRR PTC Photos

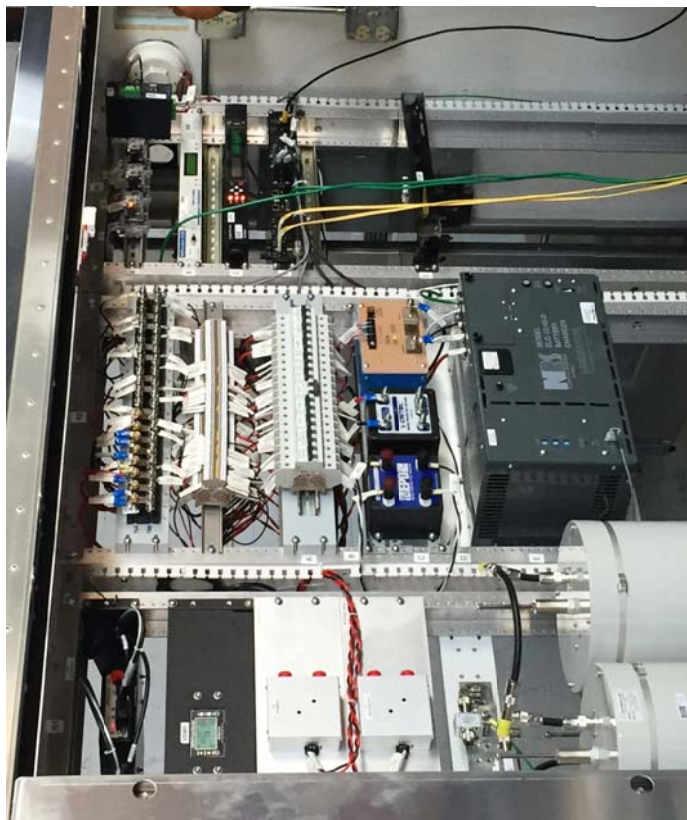


DE/DM On-Board Computer



Transponders Installation
on Concrete Tie

MNR PTC Photos



Radio Case



Pole and Antenna installation

Appendix (as of 9/30/2016)

LIRR Wayside Equipment Installation Tracking

LIRR Pilot 1 (Babylon to Patchogue)				
PTC Equipment	Target Quantity	Actuals to Date	Remaining	% Complete
Transponders	318	200	128	60%
Wayside Interface Unit (WIU) Locations	17	17	0	100%
Communication Cases	7	0	7	0%
Poles / Antennas	7	7	0	100%
LIRR Pilot 2 (Port Washington to Harold)				
PTC Equipment	Target Quantity	Actuals to Date	Remaining	% Complete
Transponders	174	135	39	78%
Wayside Interface Units Locations	8	8	0	100%
Communication Cases	9	0	9	0%
Poles / Antennas	9	9	0	100%
LIRR System Total				
PTC Equipment	Target Quantity	Actuals to Date	Remaining	% Complete
Transponders	3903	971	2932	25%
Wayside Interface Units Locations	155	46	109	30%
Communication Cases	108	0	108	0%
Poles / Antennas	108	16	92	15%

LIRR On-Board Equipment Installation Tracking

Appendix (as of 9/30/2016)

Car Type	Vehicles Total		Pilot 1 Babylon to Patchogue		Pilot 2 Port Washington to Harold	
	Planned	Actual	Planned	Actual	Planned	Actual
M7	418	15	NA	NA	4	4
DE/ DM	45	0	4	0	NA	NA
C3	23	0	4	0	NA	NA
E15	19	0	6	0	NA	NA
NYAR	8	0	4	0	NA	NA
TC-82	1	0	NA	NA	NA	NA
M9	66	0	NA	NA	NA	NA
Totals	580	15	18	0	4	4

M7 Train Partial Installation Tracking				
Train Type	Undercar Scanner Antenna	OBC/ Completion	Roof Antenna	MCP
M7	73	40	51	15
DE/DM	1	1	1	0

Appendix (as of 9/30/2016)

MNR Wayside Equipment Installation Tracking

MNR Pilot 1 (Bridgeport to New Haven)				
PTC Equipment	Target Quantity	Actuals to Date	Remaining	% Complete
Transponders	403	397	6	99%
Wayside Interface Unit (WIU) Locations	10	10	0	100%
Communication Cases	10	0	10	0%
Poles / Antennas	10	8	2	80%
MNR Pilot 2 (Tarrytown – Croton Harmon)				
PTC Equipment	Target Quantity	Actuals to Date	Remaining	% Complete
Transponders	208	208	0	100%
Wayside Interface Unit (WIU) Locations	2	2	0	100%
Communication Cases	6	0	6	0%
Poles / Antennas	5	3	2	60%
MNR System Total				
PTC Equipment	Target Quantity	Actuals to Date	Remaining	% Complete
Transponders	4593	1122	3471	24%
Wayside Interface Unit (WIU) Locations	104	13	91	13%
Communication Cases	104	0	104	0%
Poles / Antennas	104	11	94	11%

Appendix (as of 9/30/2016)

MNR On-Board Equipment Installation Tracking

Car Type	Vehicles Total		MNR Pilot 1 Location (Bridgeport to New Haven)		Pilot 2 Location (Tarrytown – Croton Harmon)	
	Planned	Actual	Planned	Actual	Planned	Actual
M7	168	2	NA	NA	4	2
Cab Car C34/38	36	2	1	1	1	1
Cab Car C12/19/21	19	0	1	0	1	0
M3	69	0	NA	NA	4	0
BL20	12	3	2	2	1	1
BL14	2	0	0	0	0	0
P32	33	4	2	2	2	2
GP35	7	0	1	0	1	0
M8 Car	215	0	4	0	NA	NA
Totals	561	11	11	5	14	4
Partial Installation Tracking						
168 - M7	2 Complete (OBC/Undercar Antenna/MCP)					
36 - Cab Car C34/38	23 Partials (OBC & Undercar Antenna)					
33 - P32	26 Partials (OBC & Undercar Antenna)					
12 - BL20	11 Partials (OBC & Undercar Antenna)					
7 - GP 35	3 Partials (OBC & Undercar Antenna)					
190 - M8	190 Partials (OBC & Undercar Antenna)					







Long Island Rail Road

INFORMATION

ITEMS



Staff Summary

Subject NOVEMBER TIMETABLE CHANGE & TRACKWORK PROGRAMS						Date September 30, 2016			
Department SR. VICE PRESIDENT – OPERATIONS						Vendor Name			
Department Head Name D. KUBICEK						Contract Number			
Department Head Signature 						Contract Manager Signature			
Project Manager Name									
Board Action						Internal Approval			
Order	To	Date	Approval	Info	Other	Order	Approval	Order	Approval
1	LI COMM	9/26/16				3	Sr VP – Eng. 	1	President 
						2	VP Mktg & PA 		

PURPOSE:

This is to inform the Long Island Committee of the MTA Long Island Rail Road's plan to adjust schedules beginning November 14, 2016, through March 6, 2017. Projects supported during this timetable include Continuous Welded Rail replacement on the Atlantic Branch, Mechanized Tie completion work and other tasks on the Port Washington Branch, and Concrete Tie replacement prep work on the Montauk Branch. Continuing projects include East Side Access work in Harold Interlocking, Wantagh Station rehabilitation, West Side Yard Overbuild, Jamaica Capacity Improvements, Long Beach Branch Sandy restoration activities, and Vanderbilt (VD) Yard construction. Additionally, various trackwork programs in late October and early November will support track surfacing on the Main Line and Hempstead Branch, switch and concrete tie replacement on the Montauk Branch, and mud spot remediation on the Port Washington Branch.

NOVEMBER 14 TIMETABLE CHANGE:

Construction Activities:

- **Atlantic Branch, East New York-Jamaica – Continuous Welded Rail Replacement** – One of two Main Tracks of the Atlantic Branch between East New York at Dunton Interlocking in Jamaica will be out of service midday weekdays for the replacement of Continuously Welded Rail.
- **Port Washington Branch, Shea Interlocking-Bayside – Mechanized Tie Finish Work, Hand Ties & Misc. Work** – One of two Main Tracks of the Port Washington Branch between Shea Interlocking and Bayside will be out of service midday weekdays for the completion of Mechanized Tie work, as well as Hand Tie replacement and other miscellaneous work. This is the last phase of Mechanized Tie work that began last year on the Port Washington Branch.

- **Montauk Branch, Valley Stream-Rockville Centre – Concrete Tie Prep Work** – One of two Main Tracks of the Montauk Branch between Valley Stream and Rockville Centre will be out of service weekday overnights and weekends for layout and preparation work for a Concrete Tie Installation project that will occur in the Spring and Fall of 2017.

Service Improvements & Adjustments:

- **Greenport Weekend Service** – Weekend service between Ronkonkoma and Greenport, reduced to seasonal in 2010, is now restored year-round. Two trains in each direction will operate each weekend day.
- **Montauk Branch/Babylon Branch Adjustments** – In order to improve operational performance of the 5:39 AM Peak train from Montauk to Hunterspoint Avenue, two other trains ahead of it have had minor adjustments to their schedules: The 7:03 AM Peak train from Patchogue to Babylon will now operate 2 minutes earlier, leaving Patchogue at 7:01 AM and arriving Babylon at 7:31 AM. The connection for this train, the 7:37 AM train from Babylon to Penn Station, will now depart Babylon at 7:35 AM, operating 2 minutes earlier at all station stops Babylon through Seaford, then reverting to its regular schedule with Penn Station arrival remaining at 8:48 AM.

TRACK WORK PROGRAMS

Construction Activities:

- **Montauk Branch, Rockville Centre-Wantagh – Switch Replacement at Port Interlocking** – One of two Main Tracks of the Montauk Branch will be out of service between Rockville Centre and Wantagh for replacement of switches at Port Interlocking in Freeport for 48 hours on two weekends, October 29-30 and November 5-6, 2016. In addition, on the second weekend (November 5-6), there will be an 8-hour period at the end of the program when both Main Tracks will be out of service to complete surfacing of the new switches. This program is for the completion of work that began last month.
- **Montauk Branch, Babylon-Speonk – Concrete Tie Replacement and Miscellaneous Work** – Both Main Tracks of the Montauk Branch between Babylon and Sayville, and the Single Main Track from Sayville to Speonk, will be out of service for the replacement of concrete ties, rail grinding, grade crossing improvements, and miscellaneous work for 48 hours on two weekends, November 5-6 and 12-13, 2016. This program is for the completion of work that began last month.
- **Hempstead Branch, Queens Village-Hempstead – Garden Interlocking & Hempstead Single Track Surfacing** – Both Main Tracks of the Hempstead Branch between Queens Interlocking and Garden City, as well as the single track from Garden City to Hempstead, will be out of service on Saturday, October 29, for surfacing at Garden Interlocking. On Sunday, October 30, Hempstead Branch Single Main Track between Garden City and Hempstead will be out of service for the completion of surfacing.
- **Main Line, Queens Village-Merillon Avenue – Surfacing of Queens Interlocking** – One of two main tracks of the Main Line between Queens Village and Merillon Avenue will be out of service for surfacing of switches in Queens Interlockings for 48 hours on the weekend of November 12-13, 2016. In addition, for a portion of the weekend, one of two Main Tracks of the Hempstead Branch will be out of service between Queens Village and Garden City.

- **Port Washington Branch, Great Neck-Port Washington – Mud Spot Remediation** – Single Main Track between Great Neck and Port Washington will be out of service for mud spot remediation for 12 hours on Saturday, October 29, 2016.

DISCUSSION:

Timetable Change - Construction Activities:

- **Atlantic Branch, East New York-Jamaica – Continuous Welded Rail Replacement** – One of two Main Tracks of the Atlantic Branch between East New York at Dunton Interlocking in Jamaica will be out of service midday weekdays for the replacement of Continuously Welded Rail. As a result, 4 eastbound Hempstead Branch trains are adjusted 4 minutes later, and 5 westbound Hempstead Branch trains are adjusted 6 minutes later. Additionally, 6 eastbound and 6 westbound Far Rockaway Branch trains are adjusted 4 minutes earlier. As a result of connection adjustments and clearances, 4 westbound Ronkonkoma Branch trains are adjusted 4 minutes later, 6 eastbound Huntington trains are adjusted 4 minutes earlier, 2 eastbound Huntington trains are adjusted 3 minutes earlier, 3 eastbound Oyster Bay Branch trains are adjusted 3 minutes later and 4 westbound Oyster Bay Branch trains are adjusted between 1 and 3 minutes earlier, and 3 westbound Farmingdale trains are adjusted between 3 minutes earlier and 13 minutes later.
- **Port Washington Branch, Shea Interlocking-Bayside – Mechanized Tie Finish Work, Hand Ties & Misc. Work** – One of two Main Tracks of the Port Washington Branch between Shea Interlocking and Bayside will be out of service midday weekdays for the completion of Mechanized Tie work, as well as Hand Tie replacement and other miscellaneous work. As a result, 12 eastbound Port Washington Branch trains are adjusted between 12 and 16 minutes later, and 12 westbound Port Washington Branch trains are adjusted 6 minutes later. Additionally, 5 eastbound Long Beach Branch, 5 eastbound Ronkonkoma Branch and 2 westbound Babylon Branch trains are adjusted between 1 minute earlier and 4 minutes later for Penn Station slotting.
- **Montauk Branch, Valley Stream-Rockville Centre – Concrete Tie Prep Work** – One of two Main Tracks of the Montauk Branch between Valley Stream and Rockville Centre will be out of service weekday overnights and weekends for layout and preparation work. In the overnight period, 3 eastbound and 3 westbound Babylon Branch trains are adjusted between 7 minutes earlier and 6 minutes later. On weekends, 6 eastbound Babylon Branch trains are adjusted between 3 minutes earlier and 2 minutes later, and 5 westbound Babylon Branch trains are adjusted 9 minutes later. An additional Babylon Branch weekend overnight train is adjusted 14 minutes earlier. In addition, trains through the work zone have been given 1 minute added running time. This results in most Babylon Branch westbound weekend trains departing 1 minute earlier (except those mentioned above with greater adjustment). This prep work will be followed by installation work in the Spring and Fall of 2017.

Trackwork Programs - Construction Activities:

- **Montauk Branch, Rockville Centre-Wantagh – Switch Replacement at Port Interlocking** – One of two Main Tracks of the Montauk Branch will be out of service between Rockville Centre and Wantagh for replacement of switches at Port Interlocking in Freeport for 48 hours on two weekends, October 29-30 and November 5-6, 2016. Babylon Branch service will be reduced from half-hourly to hourly, and some trains will operate on adjusted schedules. In addition, on the second weekend (November 5-6), there will be an 8-hour period at the end of the program when both Main Tracks will be out of service to complete surfacing of the new switches. During this 8-hour period on Sunday

evening, November 6, a bus bridge will replace train service between Rockville Centre and Wantagh. Customers can expect up to 45 minutes additional travel time. This program is for the completion of work that began last month.

- **Montauk Branch, Babylon-Speonk – Concrete Tie Replacement and Miscellaneous Work** – Both Main Tracks of the Montauk Branch between Babylon and Sayville, and the Single Main Track from Sayville to Speonk, will be out of service for the replacement of concrete ties, rail grinding, grade crossing improvements, and miscellaneous work for 48 hours on two weekends, November 5-6 and 12-13, 2016. As a result, buses will replace trains between Babylon and Speonk. Customers can expect up to 37 minutes additional travel time between Babylon and Speonk. Train service will be provided on adjusted schedules between Speonk and Montauk. On the weekend of November 5-6, customers transferring at Babylon to or from points west will also be impacted by the Port Interlocking Switch Replacement work described above. This program is for the completion of work that began last month.
- **Hempstead Branch, Queens Village-Hempstead – Garden Interlocking & Hempstead Single Track Surfacing** – Both Main Tracks of the Hempstead Branch between Queens Interlocking and Garden City, as well as the single track from Garden City to Hempstead, will be out of service on Saturday, October 29, for surfacing at Garden Interlocking. As a result, buses will replace trains between Jamaica and Hempstead, and customers can expect up to 49 minutes additional travel time. On Sunday, October 30, Hempstead Branch Single Main Track between Garden City and Hempstead will be out of service for the completion of surfacing on the single track east of Garden City. As a result, buses will replace trains between Garden City and Hempstead, and customers can expect up to 15 minutes additional travel time.
- **Main Line, Queens Village-Merillon Avenue – Surfacing of Queens Interlocking** – One of two main tracks of the Main Line between Queens Village and Merillon Avenue will be out of service for surfacing of switches in Queens Interlockings for 48 hours on the weekend of November 12-13, 2016. In addition, for a portion of the weekend, one of two Main Tracks of the Hempstead Branch will be out of service between Queens Village and Garden City. Huntington service will be reduced from half-hourly to hourly, and connecting service between Huntington and Port Jefferson will be reduced from every 90 minutes to every two hours. Some Oyster Bay Branch trains will be adjusted between 7 minutes earlier and 6 minutes later. Some Hempstead Branch trains will be adjusted between 10 minutes earlier and 12 minutes later. Some eastbound Ronkonkoma Branch trains will be adjusted up to 7 minutes later. As a result, connecting Greenport trains will be adjusted 7 minutes later. In addition, three trains in each direction, which normally provide half-hourly service between Ronkonkoma and Penn Station during certain day parts, will be cancelled.
- **Port Washington Branch, Great Neck-Port Washington – Mud Spot Remediation** – Single Main Track between Great Neck and Port Washington will be out of service for mud spot remediation for 12 hours on Saturday, October 29, 2016. Service on the Port Washington Branch will be reduced from half-hourly to hourly during the outage, and buses will replace trains between Great Neck and Port Washington. Customers at Manhasset, Plandome and Port Washington can anticipate up to 25 minutes additional travel time. Westbound buses will depart up to 25 minutes earlier than normal train times in order to allow connections with trains at Great Neck.

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

IMPACT ON FUNDING

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



Long Island Rail Road

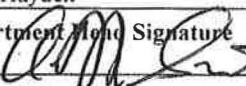


Metro-North Railroad

JOINT ACTION ITEMS

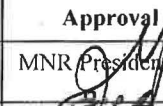
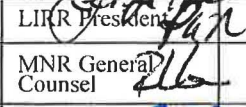
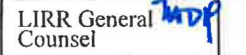
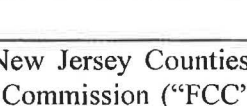
Staff Summary

Page 1 of 2

Subject Lease of Wireless Spectrum to NJ Transit in Support of PTC
Department Engineering
Department Head Name Glen Hayden
Department Head Signature 
Project Manager Name Anthony Forcina, Executive Director, Positive Train Control, MNR

Date October 26, 2016
Vendor Name
Contract Number
Contract Manager Name
Table of Contents Ref#

Board Action					
Order	To	Date	Approval	Info	Other
1	MNR/LIRR Committee	10/26	X		
2	MTA Board	10/28	X		

Internal Approvals			
Order	Approval	Order	Approval
2	MNR President 		
4	LIRR President 		
1	MNR General Counsel 		
3	LIRR General Counsel 		

Purpose: To obtain approval to lease wireless spectrum in seven New Jersey Counties to New Jersey Transit ("NJT"), in compliance with an Order of the Federal Communications Commission ("FCC") requiring the MTA to "sell or lease on commercially reasonable terms" spectrum to NJ Transit as part of the granting of additional spectrum to the MTA for implementation of Positive Train Control ("PTC").

Discussion: The implementation of PTC technology, as required by federal statute and regulation, requires an extensive communications infrastructure to support the transmission of train control based communications. Because interoperability is required among all railroads using common rights-of-way, passenger and freight railroads in the Northeast are utilizing a data radio that works within a range of radio frequencies from 217 MHz to 222 MHz (the "Interoperable Range").

Radio spectrum licenses are granted by the FCC. The FCC has required railroads to obtain licenses for spectrum needed for PTC operations through the open market. In 2012, the MTA Commuter Railroads (LIRR and Metro-North), following the issuance of a competitive Request for Proposals and with approval of the Board, were able to jointly purchase 500 kHz of spectrum in the Interoperable Range at a cost of \$7,250,000 (the "License"). The purchase encompassed a geographical area (determined by the preexisting FCC license grant) covering all of LIRR territory, most of Metro-North territory (excluding four northern counties – Orange and Dutchess in New York and Fairfield and New Haven counties in Connecticut), as well as certain areas within New Jersey. At the time of the 2012 License purchase, the Board was informed that further efforts were required to gain spectrum in the four northern counties, and that the Commuter Railroads might seek to transfer surplus New Jersey spectrum to other railroad(s) who might need this spectrum for PTC implementation.

After this purchase, the FCC was asked to directly grant spectrum covering the four northern counties to the MTA through the FCC's administrative processes. However, the FCC first required the MTA to once again attempt to obtain this needed spectrum through the open market. A Supplemental RFP was issued in a second attempt to purchase this spectrum, but given the limited commercial availability of spectrum within the Interoperable Range, the

Staff Summary

Page 2 of 2

Supplemental RFP was unsuccessful. Finally, after conclusively demonstrating to the FCC that the needed spectrum was not otherwise obtainable, the FCC issued an Order, dated August 10, 2016, effectuating a “swap” whereby 250 kHz of spectrum in five New Jersey counties (Essex, Morris, Passaic, Somerset and Union) were removed from the License, and the MTA was granted 250 kHz of spectrum in the four northern counties. The granted spectrum is sufficient for Metro-North’s needs in that region and completes the Commuter Railroads’ acquisition of spectrum needed for PTC implementation.

The FCC Order also requires the MTA to “sell or lease on commercially reasonable terms” spectrum to NJ Transit (as NJ Transit similarly had difficulty obtaining sufficient spectrum for its PTC needs through the commercial market) in seven New Jersey counties (the five counties indicated above plus Bergen and Hudson counties). MTA is required to file a letter with the FCC on or about November 10, 2016, advising the FCC whether the MTA has authorized the transfer of this spectrum to NJ Transit, and three months later to file an application with the FCC for the actual lease or sale of spectrum.

Based upon the FCC Order, the Commuter Railroads entered into negotiations to lease NJ Transit up to 14, 12.5 kHz frequencies of spectrum in each of the seven New Jersey counties. The Commuter Railroads and NJ Transit negotiated a lease price of \$701,566.82, payable at the start of the lease term. The price is based upon the “per population” price paid by the MTA upon the acquisition of the MTA’s License. The lease will remain in effect for as long as NJ Transit requires the frequencies for PTC purposes, up to a maximum of 100 years. However, if due to technology changes NJ Transit no longer requires the spectrum for PTC purposes, MTA after 25 years can recapture the spectrum at no cost, and thereafter sell or lease out the spectrum at market value. NJ Transit has also agreed to compensate the Commuter Railroads for its pro rata share of certain engineering costs that will be incurred to allocate the frequencies between the railroads in a manner that avoids interference issues.

Recommendation: That the Board approve the lease of wireless spectrum to NJ Transit as provided herein, so that the MTA may be compliant with the FCC Order, which granted needed spectrum in four northern Metro-North counties.

LONG ISLAND RAIL ROAD

PROCUREMENTS

FOR

BOARD ACTION

October 28, 2016

Staff Summary



Long Island Rail Road

Subject : Request for Authorization to Award Various Procurements						Date <div style="text-align: center;">October 28, 2016</div>			
Department Procurement and Logistics									
Department Head Name Dennis L. Mahon, Chief Procurement and Logistics Officer									
Department Head Signature 									
Board Action						Internal Approvals			
Order	To	Date	Approval	Info	Other	Order	Approval	Order	Approval
1	LI Committee	10.26.16				X	President		VP & CFO
2	MTA Board	10.28.16				X	Sr. VP-Administration		VP, Gen. Counsel & Secy
							Sr. VP-Operations		
							Executive VP		

PURPOSE:

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

DISCUSSION:

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

	<u># of Actions</u>	<u>\$ Amount</u>
	None	

LIRR proposes to award Competitive Procurements in the following categories:

	<u># of Actions</u>	<u>\$ Amount</u>
<u>Schedules Requiring Two-Thirds Vote</u>		
Schedule B: Competitive Requests for Proposals (Solicitation)	1	\$TBD
Schedule C: Competitive Requests for Proposals (Award)	1	\$2,366,187
<u>Schedules Requiring Majority Vote</u>		
Schedule H: Mods to Personal Service Contracts & Misc. Service Contracts	1	\$7,000,000
SUBTOTAL:	3	\$9,366,187

LIRR proposes to award Ratifications in the following categories:

	<u># of Actions</u>	<u>\$ Amount</u>
	None	
<u>TOTAL:</u>	<u>3</u>	<u>\$9,366,187</u>

BUDGET IMPACT:

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

RECOMMENDATION:

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

METROPOLITAN TRANSPORTATION AUTHORITY

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

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

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

NOW, the Board resolves as follows:

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

OCTOBER 2016

MTA LONG ISLAND RAIL ROAD

LIST OF COMPETITIVE PROCUREMENTS FOR BOARD APPROVAL

Procurements Requiring Two-Thirds Vote

Schedule B: Competitive Requests for Proposals (Solicitation of Purchase and Public Works Contracts)

(Staff Summaries only required for items estimated to be greater than \$1 million)

- | | | | |
|-----------|---|--------------|--------------------------------------|
| 1. | TBD
Competitive RFP
Contract No. TBD | \$TBD | <i><u>Staff Summary Attached</u></i> |
|-----------|---|--------------|--------------------------------------|

LIRR requests MTA Board approval to adopt a resolution declaring that competitive bidding is impractical or inappropriate and that it is in the public's best interest to use the Request for Proposal (RFP) procurement method pursuant to Section 1265-a of the Public Authorities Law to award a Design/Build construction contract for the new Mid-Suffolk Electric Yard on the Main Line Ronkonkoma Branch. A 30% preliminary design was previously completed. The purpose of the Project is to construct a new Mid-Suffolk Electric Yard by expanding the existing train storage Yard in Ronkonkoma to accommodate additional storage space needed for fleet expansion associated with East Side Access (ESA) service. This expanded yard will be utilized for overnight train storage, light interior cleaning, toilet servicing, inspections and light repairs.

Procurements Requiring Two-Thirds Vote

Schedule C: Competitive Requests for Proposals (Award of Purchase and Public Works Contracts)

(Staff Summaries required for items requiring Board approval)

- | | | | |
|-----------|--|-----------------------|--------------------------------------|
| 2. | Power Resources International, Inc.
Competitive RFP
Contract No. 6178 | \$2,366,187.73 | <i><u>Staff Summary Attached</u></i> |
|-----------|--|-----------------------|--------------------------------------|

LIRR requests MTA Board approval to award a Design/Build contract to Power Resources International, Inc. (PRI) for the lump sum price of \$2,366,187.73 (which includes \$19,340 for Optional Training) to furnish and install a Supervisory Control and Data Acquisition (SCADA) System at LIRR's Long Beach Branch.

Procurements Requiring Majority Vote

**Schedule H: Mods. To Personal Service Contracts and Miscellaneous Service Contracts
Awarded as Contracts for Services**

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

3. **Eleven Bus Companies** **\$7,000,000** Staff Summary Attached
 (Eastern & Western Suffolk, Not to Exceed
 Nassau, Queens, and Kings Counties)
 Competitive RFP
 Contract Nos. 04...620 thru 04...635,
 04...638 thru 04...641 and
 04...644 thru 04...645 (Various)

LIRR requests MTA Board approval to issue contract modifications in the aggregate amount of \$7,000,000 to increase the not to exceed funding amount of (11) estimated quantity contracts with bus companies who provide the Railroad with scheduled and emergency bus services. Of the \$7,000,000 being requested, \$4,000,000 will be allocated to scheduled bus services, and \$3,000,000 will be allocated to emergency bus services. Under these contracts, LIRR orders bus services on an as-needed basis, with no minimum obligation or expenditures. Each bus company may be called out using established protocols based on available resources that differ by location, vehicle type and quantity. The additional funding will increase the option amount covering the last two years of services through the contract term of February 2018.

Staff Summary



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Item Number: 1					
Dept/Dept Head Name: Procurement & Logistics, Dennis Mahon					
Department Head Signature & Date <i>CM Costa for</i>					
Division/Division Head Name: Program Management, Richard Oakley					
Division Head Signature & Date <i>Richard C. Oakley</i>					
Board Reviews					
Order	To	Date	Approval	Info	Other
1	LI Committee	10.26.16			
2	MTA Board	10.28.16			
Internal Approvals					
Order	Approval	Order	Approval		
6	President <i>ECR 10/20/16</i>	3	SVP/Engineering <i>RCO</i>		
5	Executive Vice President <i>ECR</i>	2	Vice President & CFO <i>WJ</i>		
4	SVP/Operations <i>OTR</i>	1	VP, Gen'l Counsel & Sec'y <i>WJ</i>		

SUMMARY INFORMATION	
Vendor Name	Contract Number
TBD	TBD
Description	
Mid-Suffolk Electric Yard	
Total Amount	
\$TBD	
Contract Term (including Options, if any)	
March 31, 2017 – January 31, 2020	
Options(s) included in Total Amount: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Renewal? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Procurement Type	
<input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-Competitive	
Solicitation Type	
<input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input type="checkbox"/> Other:	
Funding Source	
<input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other:	

Narrative:

I. PURPOSE/RECOMMENDATION

LIRR requests MTA Board approval to adopt a resolution declaring that competitive bidding is impractical or inappropriate and that it is in the public's best interest to use the Request for Proposal (RFP) procurement method pursuant to Section 1265-a of the Public Authorities Law to award a Design/Build construction contract for the new Mid-Suffolk Electric Yard on the Main Line Ronkonkoma Branch. A 30% preliminary design was previously completed. The purpose of the Project is to construct a new Mid-Suffolk Electric Yard by expanding the existing train storage yard in Ronkonkoma to accommodate additional storage space needed for fleet expansion associated with East Side Access (ESA) service. This expanded yard will be utilized for overnight train storage, light interior cleaning, toilet servicing, inspections and light repairs.

II. DISCUSSION

To accommodate the fleet expansion necessary to serve both Manhattan terminals (Penn Station and GCT), the 2001 ESA Environmental Impact Statement (EIS) identified the need for a new train storage yard on the eastern end of the Main Line/Ronkonkoma Branch. The proposed new Mid-Suffolk Electric Yard is an integral element supporting the full implementation of LIRR's future ESA service plan and will allow increased AM and PM peak period service along the Main Line, including stations in Nassau, Suffolk and Queens County.

The proposed Yard also includes constructing a new employee facility to replace the original 30-year old welfare facility which must be relocated to make way for the additional storage tracks. Additional secured indoor and outdoor storage space will also be included.

Staff Summary



Utilizing a Design/Build methodology will permit the construction to be advanced along with the final design, which will include extensive site preparation and civil elements as well as construction of various operational facilities. As already seen on other projects, the use of Design/Build RFP method of procurement will achieve expedited delivery, support staged construction, and promote construction innovation. It will also ensure that the design is consistent with the necessary construction means and methods through close coordination between the designer and contractor, and will encourage the selected proposer to identify construction methods to minimize project schedule and the impact to LIRR's customer operations and services. Furthermore, the competitive RFP procurement method allows the LIRR to select a Contractor based upon considerations of technical capability, experience, and seek opportunities to shorten the construction schedule and reduce support costs.

Use of the RFP procurement method will also permit an earlier commencement and completion of the project through negotiation, facilitating a time savings benefit.

III. D/M/WBE INFORMATION

Goals for this Contract are to be determined by the MTA Department of Diversity and Civil Rights.

IV. IMPACT ON FUNDING

Funding for the third party Design/Build construction of the new Mid-Suffolk Electric Yard is included in LIRR's approved 2010 – 2014 and 2015-2019 Capital Plan.

V. ALTERNATIVES

The alternative is to use the Invitation for Bid (IFB) procurement method. The IFB procurement method does not allow the LIRR to negotiate cost or schedule, or to select a Contractor based upon best experience, technical capability and/or proposed work completion schedule. In addition, an IFB would (i) require drawings to be at the 100% level, thus potentially delaying the start of construction, and (ii) delay meaningful dialogue with the Contractor until after award, thereby preventing the LIRR from being able to negotiate improvements to the construction schedule and incorporate more efficient means and methods for construction.

Staff Summary



Long Island Rail Road

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Item Number: 2					
Dept & Dept Head Name: Procurement & Logistics; Dennis Mahon					
Department Head Signature & Date <i>[Signature]</i> 10/18/16					
Division & Division Head Name: Department of Program Management, Richard Oakley					
Division Head Signature & Date <i>[Signature]</i> 10/18/2016					
Board Reviews					
Order	To	Date	Approval	Info	Other
1	LI Committee	10.26.2016			
2	MTA Board	10.28.2016			
Internal Approvals					
Order	Approval	Order	Approval		
6	President <i>[Signature]</i> 10/19/16	3	SVP/Engineering <i>[Signature]</i> RCO		
5	Executive Vice President <i>[Signature]</i> 10/19/16	2	Vice President & CFO <i>[Signature]</i> M		
4	SVP/Operations <i>[Signature]</i> 10/20/16	1	VP, Gen'l Counsel & Sec'y <i>[Signature]</i> 10/20/16		

SUMMARY INFORMATION	
Vendor Name	Contract Number
Power Resources International, Inc.	6178
Description	
Furnish and Install Supervisory Control and Data Acquisition System (SCADA) for Long Beach Branch	
Total Amount	
\$2,366,187.73 (includes \$19,340 Option for Training)	
Contract Term (including Options, if any)	
930 consecutive calendar days	
Options(s) included in Total Amount:	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Renewal?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Procurement Type	
<input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-Competitive	
Solicitation Type	
<input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input type="checkbox"/> Other:	
Funding Source	
<input type="checkbox"/> Operating <input type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other:	

Narrative

I. PURPOSE/RECOMMENDATION:

LIRR requests MTA Board approval to award a Design/Build contract to Power Resources International, Inc. (PRI) for the lump sum price of \$2,366,187.73 (which includes \$19,340 for Optional Training) to furnish and install a Supervisory Control and Data Acquisition (SCADA) System at LIRR's Long Beach Branch.

II. DISCUSSION:

The Long Beach Branch was one of the four key areas on LIRR's property severely damaged by Super Storm Sandy. Following the storm, the LIRR took short term measures to get all its branches back in service. However, permanent infrastructure replacement at this location is now crucial to ensure that LIRR maintains its service and on-time performance for its daily commuters on the Long Beach Branch. The SCADA System is a critical element of train operations on the Long Beach Branch. Supervisory equipment, communications to signal huts and cases; control of switch machines, and other wayside and network equipment are to be replaced as part of storm hardening measures to restore the branch's infrastructure.

The MTA Board granted an "omnibus" approval to use the "Request for Proposal" (RFP) method to solicit various Design-Build and other contracts in connection with post-Super Storm Sandy restoration, mitigation and resiliency initiatives (specifically citing the Long Beach Branch Signal and SCADA, among others) at its November 2013 meeting.

Staff Summary



Page 2 of 2

Advertisement of this "Request for Proposals" for design-build services ran in the New York State Contract Reporter, MTA Website and the New York Post on September 9, 2015. In addition, a copy of the advertisement was sent directly to 4 firms known to have experience with this type of work. The proposers' conference and site tour was attended by 5 firms.

Two firms responded to the Railroad's RFP: PRI (\$2,701,587.53) and Rockwell Collins/ARINC (ARINC) (\$3,970,287.00). A Technical Evaluation Committee (TEC) reviewed these proposals against the technical criteria given in the RFP: Technical Approach; Company and Project Team/Key Personnel Qualifications; and Demonstrated Ability to Meet Schedule. Following a preliminary evaluation, both firms were found to be technically compliant with the RFP requirements, with PRI technically ranked superior to ARINC. Following oral presentations, both firms were asked to provide a "Best and Final Offer," which included a revision to the delivery of equipment to the sites, with the LIRR providing a track car, pilot and boom operator to move equipment. The firms submitted BAFOs as follows: PRI for \$2,604,543.45 and ARINC for \$3,739,711. A formal TEC final evaluation based on the orals and the BAFOs yielded PRI having the superior offering.

LIRR further negotiated with PRI a final price of \$2,366,187.73 for the Contract, which includes \$19,340 in an Option for Training. PRI's negotiated price for the Base Work is 12.4% less than their original proposal and 9.1% less than their BAFO, and is considered comprehensive, fair, and reasonable in comparison to the final scope of work and LIRR estimate.

PRI has been reviewed and found to be responsible.

III. D/M/WBE INFORMATION:

The MTA Department of Diversity and Civil Rights (DDCR) established a 10% DBE goal for this contract, which PRI will meet. PRI has achieved its MWDBE goals on previous MTA contracts.

IV. IMPACT ON FUNDING:

This contract will be funded by the LIRR 2010 – 2014 Capital Program supported by federal Super Storm Sandy relief funds.

V. ALTERNATIVES:

The LIRR does not have the ability to undertake the furnishing and installation of the SCADA System with in-house forces. The alternative is to not undertake this project, which is impractical since SCADA is an essential component of the Long Beach Branch Signal System.

Staff Summary



Item Number: 3

Vendor Name (& Location)	
Eleven Bus Companies (Eastern & Western Suffolk, Nassau, Queens, and Kings Counties)	
Description	
Scheduled & Emergency Bus Service	
Contract Term (including Options, if any)	
March 1, 2013 – February 29, 2018	
Option(s) included in Total Amount? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Procurement Type <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-Competitive	
Solicitation Type <input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input type="checkbox"/> Other:	
Funding Source	
<input checked="" type="checkbox"/> Operating <input type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other:	
Requesting Dept/Div & Dept/Div. Head Name:	
Service Planning - Charles McKiernan, General Manager Transportation - John Anzalone, Director Ops & Support	

Contract Number	AWO/Modificaiton #
04...620 thru 04...635, and 04...638 thru 04...641, and 04...644 thru 04...645 (Various)	Modification #1
Original Amount:	\$11,250,000
Prior Modifications:	\$0
Prior Budgetary Increases:	\$0
Current Amount:	\$11,250,000
This Request:	\$7,000,000
% of This Request to Current Amount:	62.22%%
% of Modifications (including This Request) to Original Amount:	62.22%

Discussion:

LIRR requests MTA Board approval to issue contract modifications in the aggregate amount of \$7,000,000 to increase the not to exceed funding amount of (11) estimated quantity contracts with bus companies who provide the Railroad with scheduled and emergency bus services. Of the \$7,000,000 being requested, \$4,000,000 will be allocated to scheduled bus services, and \$3,000,000 will be allocated to emergency bus services. Under these contracts, LIRR orders bus services on an as-needed basis, with no minimum obligation or expenditures. Each bus company may be called out using established protocols based on available resources that differ by location, vehicle type and quantity. The additional funding will increase the option amount covering the last two years of services through the contract term of February 2018.

On March 1, 2013, LIRR received MTA Board approval to award Miscellaneous Service estimated quantity contracts to fifteen (15) bus companies through a competitive-RFP process, in the total amount of \$11,250,000 for as-needed scheduled and emergency bus services throughout Nassau, Suffolk, Queens and Kings Counties. Subsequent to board approval, three firms were disqualified for failure to meet DOT safety standards (a requirement for award), and one firm went out of business, leaving eleven firms remaining. These firms were awarded separate contracts for Scheduled and Emergency services, with the aggregate not-to-exceed amount of all contracts totaling \$11,250,000.00, covering a three year term. In addition, the LIRR budgeted an amount of \$4M for the additional two year option period. Over the contract term, LIRR reallocates money between the blanket purchase orders in accordance with required services and as determined by actual usage.

Significant call-outs for services related to winter storms, and unanticipated service disruptions due to derailments have depleted funding at a higher rate than planned. Furthermore, the scope and scale of several large Capital Projects (i.e. - Ellison Ave Bridge Replacement, Farmingdale to Ronkonkoma Maintenance, Main Line Second Track Phase I, and Colonial Road Bridge Replacement) required train service to be suspended between certain locations while third party work was performed, resulting in increased requirements to provide alternate bus services. In the near future, major projects such as the Concrete Tie Replacement Project east of

Staff Summary



Long Island Rail Road

Babylon, Main Line Second track Phase II will require continuous use of bus services during scheduled work outages, which will further impact the current contract budget. These Capital Projects will take place over the next two years in locations with very high ridership and they will require large planned programs for bus services in order to accommodate LIRR customers. To date, LIRR has expended approximately \$10,251,546 (90.2%) of the original \$11,250,000 contract funding. The option amount for the last two years of the contract term was \$4,000,000 and inadequate to sustain the remaining term. This rapid reduction in allotted funding has facilitated the need for a replenishment of funds.

In order to mitigate the effect to Railroad operations for unexpected disruptions to service, and to sustain valuable and reliable ancillary services to its customers in these instances, LIRR estimates an additional \$7,000,000 is needed within the contracts to cover services throughout the two year option period. This contract modification will be funded by a combination of the LIRR's Operating Budget and Capital Budget, the latter of which may include federal dollars. All pricing, terms and conditions remain firm throughout the five year contract term. There are no other alternatives, as these services are critical to operations. Based upon the above, it is the recommendation of LIRR that contract option of \$4.0M be increased by \$7.0M and that the Board approve an amended option in the amount of \$11,000,000.



Metro-North Railroad



Procurements

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

Board Action					
Order	To	Date	Approval	Info	Other
1	MNR Comm. Mtg.	10-26-16	X		
2	MTA Board Mtg.	10-28-16	X		

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

Date	October 19, 2016
Vendor Name	Various
Contract Number	Various
Contract Manager Name	Various
Table of Contents Ref #	

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

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>			
Schedule G:	Miscellaneous Service Contracts	2	\$3,105,000
	• American Tower Corporation (ATC)		\$355,000
	• Swisslog Logistics, Inc.		\$2,750,000
Schedule J:	Modifications to Miscellaneous Procurement Contracts	1	\$1,232,509
	• Railware, Inc.		\$1,232,509
SUB TOTAL:		3	\$4,337,509

MNR proposes to award competitive procurements in the following categories:

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

MNR presents the following procurement actions for Ratification:

<u>Schedules Requiring Two-Thirds Vote (or more, where noted)</u>	NONE	
<u>Schedules Requiring Majority Vote</u>	NONE	
SUB TOTAL:		
TOTAL:		3 \$4,337,509

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

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

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

METROPOLITAN TRANSPORTATION AUTHORITY

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

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

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

NOW, the Board resolves as follows:

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

OCTOBER 2016

METRO-NORTH RAILROAD

LIST OF NON-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. American Tower Corporation (ATC) \$355,000 (not-to-exceed) Staff Summary Attached
Lease of Land and Tower Space

Approval is requested to award a non-competitive ten year (five-year base with five-year option) miscellaneous service contract with American Tower Corporation (ATC) for the lease of secured land, tower and transmitter space. The lease includes the cost of required air conditioning, electricity and generator backup. This rental tower provides radio signal coverage for dispatching of Metropolitan Transportation Authority (MTA) Police and MNR operations personnel covering the upper Hudson and Harlem Lines.

At this time, there is no other known geographically located tower that would provide this coverage. The criticality of ongoing radio communication dictates that space continue to be leased from ATC at the Stony Point location.

Before requesting this Board authorization, MNR has complied with the public advertisement requirements of PAL§ 1265-a (3) and PAL§ 1265-a (4) (b) and with MTA' All-agency Procurement Guidelines for the procurement of sole source items. An advertisement for the required services was placed in the New York State Contract Reporter, New York Post, El Diario and the Daily Challenge and was posted on the MNR website.

Background investigations and materials submitted by ATC disclosed no significant adverse information within the meaning of the All-Agency Responsibility Guidelines. ATC was found responsible for award.

A new lease agreement was negotiated for a contract term of ten years (five-year base with five-year option) with yearly increases of 5% per year which is consistent with the previous ten year agreement. The total cost of this award inclusive of the option is not-to-exceed \$355,000. This procurement is to be funded by the MNR Operating Budget.

2. Swisslog Logistics, Inc. \$2,750,000 Staff Summary Attached
Maintenance and Support of Swisslog Automated Storage and Retrieval System

Approval is requested to award a non-competitive ten year (five year base with option for five additional years), miscellaneous service contract with Swisslog Logistics, Inc. (Swisslog) for the maintenance and support of MNR's warehouse Automated Storage and Retrieval System. This new system is located in the new Central Distribution Warehouse facility.

As part of the new (ConnDOT procured and funded) Central Distribution Warehouse Facility, Swisslog furnished and installed a state of the art Automated Storage and Retrieval System. This system will enable MNR to manage the storage and retrieval of materials for the M-8 Fleet. As MNR will start to utilize the ASRS in January 2017, we will require a contract to provide support and maintenance.

Before requesting this Board authorization, MNR has complied with the public advertisement requirements of PAL§1265-a (3) and PAL§ 1265-a (4) (b) and with MTA All-agency Procurement Guidelines for the procurement of sole source items. An advertisement for the required services was placed in the New York State Contract Reporter, New York Post, El Diario and the Daily Challenge and was posted on the MNR website.

Background investigations and materials submitted by SwissLog disclosed no significant adverse information within the meaning of the All-Agency Responsibility Guidelines. SwissLog was found responsible for award.

Negotiations resulted in a reduction in price from \$3,080,930 to \$2,750,000 for a savings of \$330,930. As MNR does not have the technical resources to maintain and support this system, Swisslog is the only source for support for its proprietary system. The annual cost to be paid to Swisslog Logistics, Inc. for the five year base with option for five additional years is \$275,000 and is to be funded by the MNR Operating Budget.

J. Modifications to Miscellaneous Procurement Contracts

(Approvals/Staff Summaries required for individual change orders greater than \$250K. Approvals without Staff Summaries required for change orders greater than 15% of previously approved amount which are also at least \$50K)

**3. Railware, Inc. \$1,232,509 (not-to-exceed) Staff Summary Attached
Centralized Traffic Control (CTC) System Software Replacement**

Approval is requested for additional funding in the not-to-exceed amount of \$1,232,509 for a contract modification to an existing miscellaneous procurement contract with Railware, Inc. (Railware) to upgrade the current customized proprietary software to our current Centralized Traffic Control (CTC) System. The original contract was a negotiated non-competitive procurement awarded in June 2014 for the maintenance and support of the CTC system. As part of the system software replacement, Railware will design, develop, implement, and train the Rail Traffic Controllers (RTC) on additional enhancements of the system. This includes a new Trouble Desk Software program that will allow a multi-user interface and a call out dialer upgrade that will bring the current system up to date with the most recent available version of operating systems, development systems, and data processing systems.

Background investigations and materials submitted by Railware disclosed no significant adverse information within the meaning of the All-Agency Responsibility Guidelines. Railware was found responsible for award.

Negotiations resulted in a reduction of 2% of the overall cost from \$1,255,486 to \$1,232,509 for a savings of \$22,977.

The software upgrade in the not-to-exceed amount of \$1,232,509 will be completed in 24 months and is to be funded by the MNR Operating Budget.

Schedule G: Miscellaneous Service Contracts

Item Number: G

Vendor Name (& Location) American Tower Corporation (ATC) Stony Point, NY
Description Antenna Rental Services
Contract Term (including Options, if any) November 2016 through December 2026
Option(s) included in Total Amount? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Procurement Type <input type="checkbox"/> Competitive <input checked="" type="checkbox"/> Non-competitive
Solicitation Type <input type="checkbox"/> RFP <input type="checkbox"/> Bid <input checked="" type="checkbox"/> Other: Sole Source

Contract Number TBD	AWO/Modification # N/A
Renewal? Yes <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Total Amount: \$355,000 not-to-exceed	
Funding Source <input checked="" type="checkbox"/> Operating <input type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other:	
Requesting Dept./Div. & Dept./Div. Head Name: Procurement & Material Management, Al Muir, Sr. Director	

Discussion:

Approval is requested to award a non-competitive ten year (five-year base with five-year option) miscellaneous service contract with American Tower Corporation (ATC) for the lease of secured land, tower and transmitter space. The lease includes the cost of required air conditioning, electricity and generator backup. This rental tower provides radio signal coverage for dispatching of Metropolitan Transportation Authority (MTA) Police and MNR operations personnel covering the upper Hudson and Harlem Lines.

At this time, there is no other known geographically located tower that would provide this coverage. The criticality of ongoing radio communication dictates that space continue to be leased from ATC at the Stony Point location.

Before requesting this Board authorization, MNR has complied with the public advertisement requirements of PAL§ 1265-a (3) and PAL§ 1265-a (4) (b) and with MTA All-agency Procurement Guidelines for the procurement of sole source items. An advertisement for the required services was placed in the New York State Contract Reporter, New York Post, El Diario and the Daily Challenge and was posted on the MNR website.

Background investigations and materials submitted by ATC disclosed no significant adverse information within the meaning of the All-Agency Responsibility Guidelines. ATC was found responsible for award.

A new lease agreement was negotiated for a contract term of ten years (five-year base with five-year option) with yearly increases which is consistent with the previous ten year agreement. The total cost of this award inclusive of the option is not-to-exceed \$355,000. This procurement is to be funded by the MNR Operating Budget.

Schedule G: Miscellaneous Service Contracts

Item Number: G

Vendor Name (& Location) Swisslog Logistics, Inc.		Contract Number 76514		AWO/Modification #	
Description Maintenance and Support of Swisslog Automated Storage and Retrieval System		Renewal? <input type="radio"/> Yes <input checked="" type="radio"/> No			
Contract Term (including Options, if any) Five Years with an option to renew for another five years		Total Amount: \$2,750,000			
Option(s) included in Total Amount? <input checked="" type="radio"/> Yes <input type="radio"/> No		Funding Source <input checked="" type="radio"/> Operating <input type="radio"/> Capital <input type="radio"/> Federal <input type="radio"/> Other:			
Procurement Type <input type="radio"/> Competitive <input checked="" type="radio"/> Non-competitive Sole Source/OEM		Requesting Dept/Div & Dept/Div Head Name: Procurement & Material Management, Al Muir, Sr. Director			
Solicitation Type <input type="radio"/> RFP <input type="radio"/> Bid <input checked="" type="radio"/> Other:					

Discussion:

Approval is requested for a ten-year (five-year base with option for five additional years) non-competitive, miscellaneous service contract with Swisslog Logistics, Inc. (Swisslog) for the maintenance and support of its warehouse Automated Storage and Retrieval System (ASRS). This new system is located in the New Haven Central Distribution Warehouse facility.

As part of the new \$21,000,000 (ConnDOT procured and funded) Central Distribution Warehouse Facility built by the Rizzo Corporation, Swisslog (subcontractor to Rizzo) furnished and installed a state of the art Automated Storage and Retrieval System. This system will enable MNR to manage the storage and retrieval of materials for the M-8 Fleet. MNR will start to utilize the ASRS in January 2017 and requires a contract to provide support and maintenance. Swisslog is the OEM and the sole authorized provider of all equipment and associated maintenance and support services. This support and maintenance includes the following:

- Unlimited 24x7 Remote, Operational/Mechanical/PLC Technical Support
- Software Licensing Services
- Twelve weeks (480 hours annually) of On-Site support
- Preventive maintenance of all equipment (lubrication, adjustments, inspection, software maintenance, etc.)

Before requesting this Board authorization, MNR complied with the public advertisement requirements of PAL §1265-a (3) and PAL§ 1265-a (4) (b) and with MTA All-Agency Procurement Guidelines for the procurement of sole source items. An advertisement for the required services was placed in the New York State Contract Reporter, New York Post, El Diario and the Daily Challenge and was posted on the MNR website.

Background investigations and materials submitted by SwissLog disclosed no significant adverse information within the meaning of the All-Agency Responsibility Guidelines. SwissLog was found responsible for award.

Negotiations resulted in a reduction from \$3,080,930 to \$2,750,000 for a savings of \$330,930. As MNR does not have the technical resources to maintain and support this system, Swisslog is the only source for support for its proprietary system. The annual cost is \$275,000 and is to be funded by the MNR Operating Budget.

Schedule J: Modifications to Miscellaneous Procurement Contracts



Item Number: J

Vendor Name (& Location) Railware, Inc.	Contract Number 36844	AWO/Modification # 1
Description Centralized Traffic Control (CTC) System Software Replacement	Original Amount:	\$1,406,473
Contract Term (including Options, if any) 24 months	Prior Modifications:	\$0
Option(s) included in Total Amount? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Prior Budgetary Increases:	\$
Procurement Type <input type="checkbox"/> Competitive <input checked="" type="checkbox"/> Non-competitive	Current Amount:	\$1,406,473
Solicitation Type <input type="checkbox"/> RFP <input type="checkbox"/> Bid <input checked="" type="checkbox"/> Other:	This Request:	\$1,232,509
Funding Source <input checked="" type="checkbox"/> Operating <input type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other:	% of This Request to Current Amount:	88%
Requesting Dept/Div & Dept/Div Head Name: Procurement & Material Management, Al Muir, Sr. Director	% of Modifications (including This Request) to Original Amount:	88%

Discussion:

Approval is requested for additional funding in the not-to-exceed amount of \$1,232,509 for a contract modification to an existing miscellaneous procurement contract with Railware, Inc. (Railware) to upgrade the current customized proprietary software to our current Centralized Traffic Control (CTC) System. The original contract was a negotiated non-competitive procurement awarded in June 2014 for the maintenance and support of the CTC system. As part of the system software replacement, Railware will design, develop, implement, and train the Rail Traffic Controllers (RTC) on additional enhancements of the system. This includes a new Trouble Desk Software program that will allow a multi-user interface and a call out dialer upgrade that will bring the current system up to date with the most recent available version of operating systems, development systems, and data processing systems.

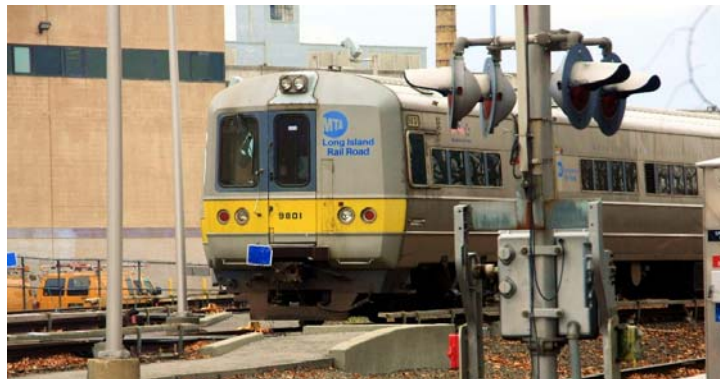
Background investigations and materials submitted by Railware disclosed no significant adverse information within the meaning of the All-Agency Responsibility Guidelines. Railware was found responsible for award.

Negotiations resulted in a reduction of 2% of the overall cost from \$1,255,486 to \$1,232,509 for a savings of \$22,977.

The software upgrade in the not-to-exceed amount of \$1,232,509 will be completed in 24 months and is to be funded by the MNR Operating Budget.



LONG ISLAND RAIL ROAD



Monthly Operating Report September 2016

Patrick Nowakowski
President

10/26/16 *****

Performance Summary

			2016 Data			2015 Data	
			Annual	YTD thru		YTD thru	
			Goal	Sept	Sept	Sept	Sept
On Time Performance <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i>	System	Overall	94.0%	94.4%	93.1%	90.4%	91.2%
		AM Peak		96.2%	93.4%	85.0%	89.3%
		PM Peak		90.5%	90.1%	87.0%	86.8%
		Total Peak		93.5%	91.8%	86.0%	88.1%
		Off Peak Weekday		93.6%	92.9%	90.5%	91.6%
		Weekend		97.0%	94.9%	95.3%	94.1%
	Babylon Branch	Overall	93.9%	93.6%	92.0%	91.3%	91.3%
		AM Peak		97.3%	94.2%	89.3%	90.0%
		PM Peak		90.5%	88.5%	86.9%	86.3%
		Total Peak		94.1%	91.5%	88.2%	88.3%
		Off Peak Weekday		92.0%	92.1%	92.3%	92.3%
		Weekend		96.7%	92.4%	94.2%	93.9%
	Far Rockaway Branch	Overall	96.6%	97.8%	96.7%	95.4%	95.4%
		AM Peak		96.1%	94.1%	85.7%	89.5%
		PM Peak		97.4%	96.4%	96.3%	94.2%
		Total Peak		96.7%	95.1%	90.5%	91.6%
		Off Peak Weekday		97.6%	96.9%	96.7%	96.3%
		Weekend		99.5%	97.6%	97.5%	97.2%
	Huntington Branch	Overall	92.5%	94.2%	91.9%	86.0%	88.4%
		AM Peak		94.6%	92.9%	82.9%	87.9%
		PM Peak		88.8%	89.1%	81.3%	82.8%
		Total Peak		91.8%	91.1%	82.1%	85.4%
		Off Peak Weekday		93.6%	90.3%	81.7%	85.9%
		Weekend		97.2%	94.5%	95.3%	94.2%
	Hempstead Branch	Overall	96.5%	96.8%	96.2%	94.6%	94.3%
		AM Peak		99.0%	96.9%	89.0%	93.5%
		PM Peak		95.2%	92.8%	92.1%	90.2%
		Total Peak		97.2%	95.0%	90.5%	92.0%
		Off Peak Weekday		96.5%	96.8%	95.5%	94.7%
		Weekend		97.1%	96.0%	96.9%	95.6%
	Long Beach Branch	Overall	95.9%	94.7%	94.8%	91.8%	92.7%
		AM Peak		97.2%	95.5%	83.7%	90.6%
		PM Peak		91.3%	92.6%	93.1%	90.3%
		Total Peak		94.4%	94.1%	88.2%	90.5%
		Off Peak Weekday		95.0%	94.8%	92.4%	93.1%
		Weekend		94.3%	95.8%	95.1%	94.8%
	Montauk Branch	Overall	90.8%	93.1%	90.2%	89.8%	89.1%
		AM Peak		91.1%	88.4%	84.5%	88.6%
		PM Peak		93.0%	90.2%	84.1%	86.0%
		Total Peak		92.0%	89.3%	84.3%	87.3%
		Off Peak Weekday		93.0%	90.8%	91.2%	91.0%
		Weekend		94.3%	89.9%	92.4%	87.4%
	Oyster Bay Branch	Overall	94.1%	97.0%	93.6%	90.0%	92.6%
		AM Peak		98.0%	94.8%	82.3%	92.5%
		PM Peak		92.1%	86.5%	84.9%	84.0%
		Total Peak		95.2%	91.0%	83.5%	88.6%
		Off Peak Weekday		97.6%	94.4%	90.3%	93.2%
		Weekend		98.0%	95.5%	98.4%	96.9%

Performance Summary		2016 Data			2015 Data	
		Annual	YTD thru		YTD thru	
		Goal	Sept	Sept	Sept	Sept
Port Jefferson Branch	Overall	90.9%	92.9%	90.3%	82.4%	87.0%
	AM Peak		93.5%	90.4%	78.0%	84.8%
	PM Peak		92.5%	90.4%	77.6%	83.6%
	Total Peak		93.0%	90.4%	77.8%	84.2%
	Off Peak Weekday		90.6%	87.2%	77.2%	84.6%
	Weekend		97.2%	96.3%	99.2%	96.4%
Port Washington Branch	Overall	95.3%	92.8%	93.0%	90.9%	91.1%
	AM Peak		97.6%	94.1%	87.3%	90.7%
	PM Peak		84.7%	86.6%	84.7%	83.4%
	Total Peak		91.0%	90.2%	86.0%	86.9%
	Off Peak Weekday		91.1%	92.0%	91.8%	91.4%
	Weekend		98.5%	98.1%	94.8%	95.1%
Ronkonkoma Branch	Overall	91.6%	92.4%	91.5%	86.8%	88.4%
	AM Peak		93.9%	90.7%	78.6%	84.3%
	PM Peak		88.9%	91.8%	86.6%	88.4%
	Total Peak		91.6%	91.2%	82.4%	86.2%
	Off Peak Weekday		91.5%	91.1%	86.9%	89.0%
	Weekend		95.5%	92.7%	93.2%	90.1%
West Hempstead Branch	Overall	95.8%	97.9%	96.5%	95.3%	95.0%
	AM Peak		99.0%	95.4%	88.6%	93.3%
	PM Peak		91.3%	92.0%	93.7%	89.3%
	Total Peak		94.8%	93.6%	91.3%	91.1%
	Off Peak Weekday		98.7%	98.1%	96.7%	96.5%
	Weekend		100.0%	96.8%	97.5%	96.8%
Operating Statistics		Trains Scheduled	20,521	185,002	20,472	184,492
Avg. Delay per Late Train (min) excluding trains canceled or terminated			-11.7	-13.3	-14.9	-13.0
Trains Over 15 min. Late excluding trains canceled or terminated			174	2,347	364	3,058
Trains Canceled			32	957	218	1,112
Trains Terminated			18	356	106	562
Percent of Scheduled Trips Completed			99.8%	99.3%	98.4%	99.1%
Consist Compliance (Percent of trains where the number of seats provided was greater than or equal to the required number of seats per loading standards)						
		AM Peak	99.4%			
		PM Peak	98.2%			
		Total Peak	98.8%			

System Categories Of Delay	% Total	August	2016 Data		2015 Data		YTD 2016 Vs 2015
			Sept	YTD Thru Sept	Sept	YTD Thru Sept	
Engineering (Scheduled)	2.9%	52	33	302	37	321	(19)
Engineering (Unscheduled)	9.6%	183	111	1,399	324	1,623	(224)
Maintenance of Equipment	13.9%	146	160	1,164	190	1,446	(282)
Transportation	2.9%	139	34	432	128	666	(234)
Capital Projects	0.9%	26	10	367	35	295	72
Weather and Environmental	3.0%	32	35	1,601	60	2,975	(1,374)
Police	14.8%	284	171	1,524	196	1,775	(251)
Customers	37.0%	510	427	3,562	406	3,545	17
Other	8.9%	213	103	1,464	106	1,457	7
3rd Party Operations	6.1%	140	70	1,040	493	2,182	(1,142)
Total	100.0%	1,725	1,154	12,855	1,975	16,285	(3,430)



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

Date	Day	DESCRIPTION OF EVENT	AM Peak			PM Peak			Off Peak			TOTAL		
			L	C	T	L	C	T	L	C	T	Late	Cxld	Term
2-Sep	Fri	Heavy holiday loading				3			17			20		
2-Sep	Fri	Trespasser strike west of Brentwood Station				6	3	1	1	1		7	4	1
8-Sep	Thurs	Track conditions between Wood Interlocking and Forest Hills				2			19			21		
9-Sep	Fri	Train 768 with equipment trouble				13		1	2			15		1
14-Sep	Wed	Police assistance in Douglaston				9	3		3	4		12	7	
16-Sep	Fri	Track circuit failure at Beth Interlocking	15						1			16		
22-Sep	Thurs	Police investigation on train 119 in Babylon				3			9	1		12	1	
23-Sep	Fri	Signal trouble between Babylon and Amityville				1	2		12	2		13	4	
23-Sep	Fri	Train 1054 with equipment trouble				35	2	1	16			51	2	1
26-Sep	Mon	Train 1103 with equipment trouble	11						2			13		
27-Sep	Tues	Amtrak related smoke condition in "C" Interlocking				6	1		5			11	1	
30-Sep	Fri	Operator error in JO Interlocking				11			3			14		
TOTAL FOR MONTH			26	0	0	89	11	3	90	8	0	205	19	3
													227	



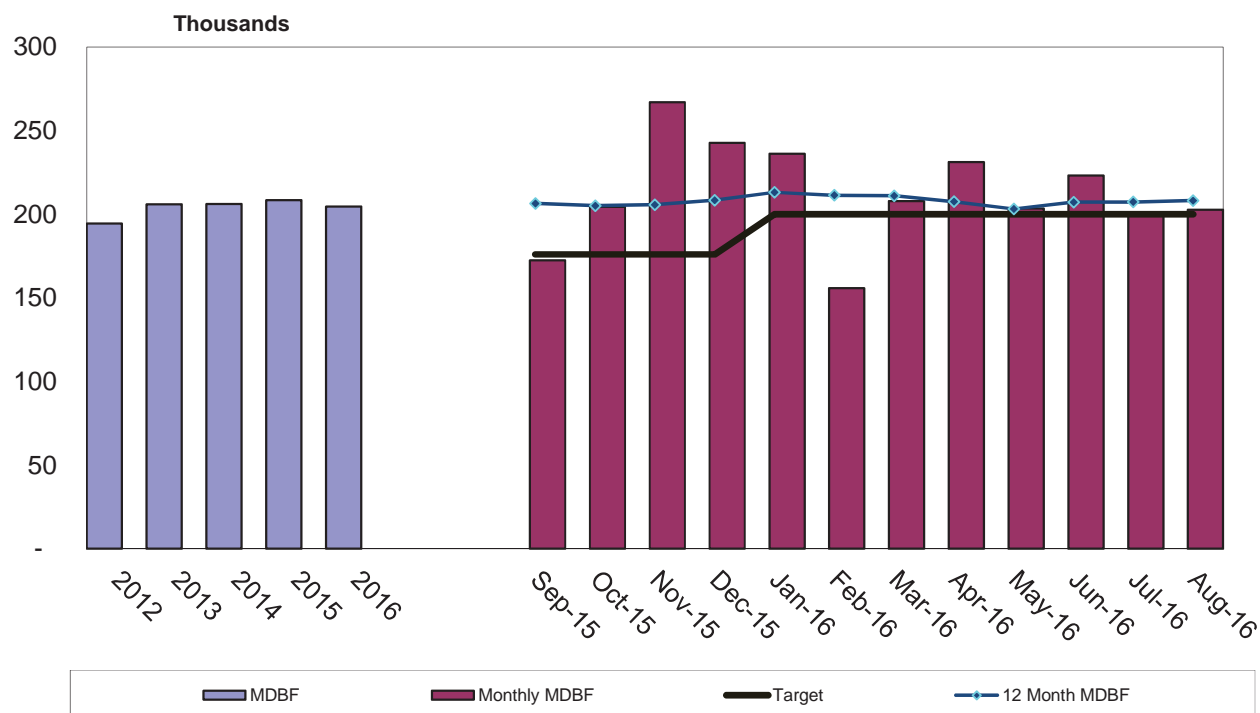
Long Island Rail Road

MEAN DISTANCE BETWEEN FAILURES - AUGUST 2016

	Equip- ment Type	Total Fleet Size	2016 Data					2015 Data		
			MDBF Goal (miles)	August MDBF (miles)	August No. of Primary Failures	YTD MDBF thru August (miles)	12 month MDBF Rolling Avg (miles)	August MDBF (miles)	August No. of Primary Failures	YTD MDBF thru August (miles)
Mean Distance Between Failures	M-3	150	75,000	47,921	12	67,993	67,154	67,516	8	62,911
	M-7	836	460,000	537,173	10	422,077	420,040	378,058	14	534,896
	DM	21	22,000	19,507	5	25,157	28,819	23,198	4	20,155
	DE	24	22,000	29,087	3	18,470	21,132	85,208	1	23,401
	C-3	134	100,000	189,804	4	164,401	156,328	96,668	8	112,042
	Diesel	179	60,000	78,668	12	70,941	75,984	73,180	13	62,837
	Fleet	1,165	200,000	202,671	34	204,670	208,172	193,837	35	205,021

Mean Distance Between Failures (MDBF) is the average number of miles a railcar or locomotive travels before breaking down and causing a delay. The higher the MDBF, the more reliable the equipment and the service.

ALL FLEETS Mean Distance Between Failure 2012 - 2016





Standee Report

East Of Jamaica

			2016 Data September	
			AM Peak	PM Peak
Daily Average	Babylon Branch	Program Standees	0	0
		Add'l Standees	23	27
		Total Standees	23	27
	Far Rockaway Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Huntington Branch	Program Standees	40	0
		Add'l Standees	12	0
		Total Standees	52	0
	Hempstead Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Long Beach Branch	Program Standees	0	0
		Add'l Standees	0	1
		Total Standees	0	1
	Montauk Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Oyster Bay Branch	Program Standees	0	0
		Add'l Standees	5	0
		Total Standees	5	0
	Port Jefferson Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Port Washington Branch	Program Standees	0	0
		Add'l Standees	2	70
		Total Standees	2	70
	Ronkonkoma Branch	Program Standees	0	0
		Add'l Standees	4	16
		Total Standees	4	16
	West Hempstead Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
System Wide PEAK			87	113

Definitions

Weekday standees are calculated based on the most recent average weekday customer counts

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

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

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

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



Long Island Rail Road

OPERATING REPORT FOR MONTH OF SEPTEMBER 2016

Standee Report

West Of Jamaica

			2016 Data September	
			AM Peak	PM Peak
Daily Average	Babylon Branch	Program Standees	0	0
		Add'l Standees	31	34
		Total Standees	31	34
	Far Rockaway Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Huntington Branch	Program Standees	0	0
		Add'l Standees	4	29
		Total Standees	4	29
	Hempstead Branch	Program Standees	0	0
		Add'l Standees	0	33
		Total Standees	0	33
	Long Beach Branch	Program Standees	28	0
		Add'l Standees	10	2
		Total Standees	38	2
	Montauk Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Oyster Bay Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Port Jefferson Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Port Washington Branch	Program Standees	0	0
		Add'l Standees	2	70
		Total Standees	2	70
	Ronkonkoma Branch	Program Standees	0	0
		Add'l Standees	5	14
		Total Standees	5	14
	West Hempstead Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
System Wide PEAK			80	181

Definitions

Weekday standees are calculated based on the most recent average weekday customer counts

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

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

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

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

ELEVATOR AND ESCALATOR OPERATING REPORT FOR MONTH OF SEPTEMBER 2016

Elevator Availability		2016		2015	
		September	Year to Date	September	Year to Date
Branch	Babylon Branch	97.40%	98.70%	98.90%	98.50%
	Far Rockaway Branch	97.90%	98.80%	98.40%	98.80%
	Hempstead Branch	98.70%	99.00%	98.60%	99.30%
	Long Beach Branch	99.50%	99.30%	99.10%	97.70%
	Port Jefferson Branch	98.80%	96.60%	98.90%	97.40%
	Port Washington Branch	98.90%	98.60%	98.00%	98.90%
	Ronkonkoma Branch	99.70%	99.20%	98.70%	98.80%
	City Terminal Stations	99.70%	98.50%	98.90%	97.90%
	Overall Average	98.90%	98.60%	98.80%	98.30%

Escalator Availability		2016		2015	
		September	Year to Date	September	Year to Date
Branch	Babylon Branch	99.10%	97.70%	98.50%	98.20%
	Far Rockaway Branch	99.20%	98.20%	97.10%	98.10%
	Hempstead Branch	98.40%	97.80%	99.20%	99.20%
	Long Beach Branch	92.50%	96.70%	98.80%	98.50%
	Port Jefferson Branch	97.10%	97.60%	97.40%	94.20%
	City Terminal	97.70%	98.50%	99.20%	99.20%
	Overall Average	98.10%	98.00%	98.80%	98.40%

**ELEVATOR AND ESCALATOR INJURY/ENTRAPMENT REPORT
FOR MONTH OF SEPTEMBER 2016**

Elevators	Mechanical Injury	Human Factor Injury	Entrapment
Great Neck	0	0	1

Escalators	Mechanical Injury	Human Factor Injury
Bellmore	0	1
Penn Station	0	4

Definitions:

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

August Safety Report

Statistical results for the 12-Month period are shown below.

Performance			
Performance Indicator	12-Month Average		
	July 2013 - August 2014	July 2014 - August 2015	July 2015 - August 2016
FRA Reportable Customer Accident Rate per Million Customers	5.78	4.29	3.22
FRA Reportable Employee Lost Time Injury Rate per 200,000 worker hours	3.57	3.61	3.17
Grade Crossing Incidents ¹	6	10	7
Mainline FRA Reportable Train Derailments	0	0	1
Mainline FRA Reportable Train Collisions	3	2	2

¹ Per FRA - Any impact between railroad on-track equipment and a highway user at a highway-rail grade crossing. The term "highway user" includes automobiles, buses, trucks, motorcycles, bicycles, farm vehicles, pedestrians, and all other modes of surface transportation motorized and un-motorized.

Leading Indicators				
Employee: Focus on C3RS	2015		2016	
	August	Year to Date	August	Year to Date
Total Reports Received	0	18	18	151
Total Reports Reviewed by PRT	3	18	25	142
Total Reports that Meet C3RS Program Criteria	3	13	25	150
Total Corrective Actions being Developed	0	0	1	9
Total Corrective Actions Implemented	0	0	0	5
Customer and Community: Focus on Grade Crossings	August	Year to Date	August	Year to Date
Broken Gates	17	93	15	88
MTA Police Details	70	663	31	328
Summons	84	807	234	1201
Warnings	57	380	64	602
Arrests	0	0	0	5
Community Education and Outreach	6,057	61,083	4,318	72,025
		Completed	Total	% Complete
Cameras on Rolling Stock	Scheduled to Begin in December		TBD	TBD

Definitions:

Confidential Close Call Reporting System (C3RS) - Labor, Management, and Federal Railroad Administration (FRA) partnership designed to enhance safety through analysis of confidential reports of employee close calls. The Peer Review Team (PRT) meets to review reports and recommend corrective actions.

Broken Gates - The number of events at grade crossing locations where a vehicle broke a crossing gate.

MTA Police Detail - The number of details specifically for the purpose of monitoring behavior at Grade Crossings.

Summons for Grade Crossing Violation and other Infractions- The number of violations issued to a motorist for going around a crossing gate or due to behavior that put the motorist at risk (i.e. cell phone use, etc.).

Warnings - The number of warnings issued to motorists due to behavior that put the motorist at risk (i.e. cell phone use, etc.).

Community Education and Outreach - The number of participants who attended a TRACKS, Operation LifeSaver, or Railroad Safety Awareness Event.

Cameras on Rolling Stock - Number of complete inward/outward camera installations on rolling stock.



Long Island Rail Road

Monthly Financial Report

August 2016

**MTA LONG ISLAND RAIL ROAD
AUGUST 2016 FINANCIAL REPORT
YEAR TO DATE ACTUAL VERSUS MID-YEAR FORECAST
(\$ In Millions)**

SUMMARY

August YTD operating results were favorable by \$46.9 million or 6.4% lower than the Mid-Year Forecast.

Non-Reimbursable revenues through August were \$2.8 million or 0.6% above the Mid-Year Forecast due to higher ridership. Total Non-Reimbursable expenses through August were \$44.1 million lower than projected due to timing of non-payroll related expenses and lower labor expenses as a result of vacant positions and associated fringe costs, partially offset by higher Depreciation, GASB 68 Pension Adjustment, Maintenance Overtime and Claims.

YTD capital and other reimbursable expenditures (and reimbursements) were \$10.7 million higher than the budget due to timing of capital and other reimbursements.

REVENUE/RIDERSHIP

Year-to-date August **Total Revenues** (including Capital and Other Reimbursements) of \$730.9 were \$13.5 or 1.9% favorable to the Mid-Year Forecast.

- **Y-T-D Farebox Revenues** were \$0.6 favorable to forecast due to higher ridership. Ridership through August was 59.1 million. This was 2.2% above 2015 (adjusted for same number of calendar work days) and 0.3% higher than the forecast.
- **Y-T-D Other Operating Revenues** were \$2.2 favorable to forecast due to prior period right of way lease revenue.
- **Y-T-D Capital and Other Reimbursements** were \$10.7 million favorable due to timing of capital activity and interagency reimbursements.

EXPENSES

Year-to-date August **Total Expenses** (including depreciation and other) of \$1,418.7 were favorable to forecast by \$33.4 or 2.3%.

Labor Expenses, \$5.0 favorable Y-T-D.

- **Payroll**, \$11.0 favorable Y-T-D (primarily vacant positions, lower rates, vacation pay and wage claim accruals, partially offset by the timing of retiree vacation and sick payouts).
- **Overtime**, \$(7.7) unfavorable Y-T-D (higher capital project activity, maintenance and vacancy/absentee coverage, partially offset by lower scheduled/ unscheduled service).
- **Health & Welfare**, \$0.8 favorable Y-T-D (vacant positions).
- **OPEB Current Payment**, \$2.1 favorable Y-T-D (fewer retirees/beneficiaries than projected).
- **Other Fringe**, \$(1.1) unfavorable Y-T-D (primarily higher FELA indemnity reserves, partially offset by lower Railroad Retirement Taxes).

Non-Labor Expenses, \$47.1 favorable Y-T-D.

- **Electric Power**, \$3.1 favorable Y-T-D (lower rates and consumption).
- **Fuel**, \$(0.1) unfavorable Y-T-D (primarily higher rates).
- **Insurance**, \$0.4 favorable Y-T-D (lower Force Account insurance).
- **Claims**, \$(1.2) unfavorable Y-T-D (increase in reserves of public liability expenses).
- **Maintenance and Other Operating Contracts**, \$5.7 favorable Y-T-D (primarily timing of various safety/security related projects, HVAC, vegetation management and various other maintenance contracts, partially offset by higher non-revenue vehicle maintenance).
- **Professional Services**, \$2.9 favorable Y-T-D (timing of invoices for document scanner system and medical provider and timing of activities for enterprise asset).
- **Materials and Supplies**, \$36.6 favorable Y-T-D (primarily timing of modifications and Reliability Centered Maintenance activity for revenue fleet and capital project activity and miscellaneous inventory adjustments).
- **Other Business Expenses**, \$(0.3) unfavorable Y-T-D (Higher bad debt reserves, partially offset by the delayed decommissioning of M3 rolling stock).

Depreciation and Other, \$(18.7) unfavorable Y-T-D (unfavorable Depreciation, GASB 68 Pension Adjustment, and Environmental Remediation).

CASH DEFICIT SUMMARY

The Cash Deficit through August of \$407.5 million was \$71.1 favorable to forecast due to higher receipts and lower expenses.

FINANCIAL PERFORMANCE MEASURES

- The year-to-date Farebox Operating Ratio was 52.5%, 4.0 percentage points above the forecast resulting from lower expenses and higher revenue.
- Through August, the Adjusted Farebox Operating Ratio was 61.8%, which is favorable to forecast due to lower expenses and higher revenue.
- Through August, the Adjusted Cost per Passenger was \$13.90, which is lower than forecast due to lower expenses and higher ridership.
- Through August, the Revenue per Passenger was \$8.00, which was in line with forecast.

TABLE 1

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
ACCURAL STATEMENT OF OPERATIONS by CATEGORY
August 2016
(\$ in millions)

	Nonreimbursable				Reimbursable				Total			
	Favorable (Unfavorable)				Favorable (Unfavorable)				Favorable (Unfavorable)			
	Forecast	Actual	Variance	Percent	Forecast	Actual	Variance	Percent	Forecast	Actual	Variance	Percent
Revenue												
Freight Revenue	\$62,682	\$62,391	(\$0,291)	(0.5)	\$0,000	\$0,000	\$0,000	-	\$62,682	\$62,391	(\$0,291)	(0.5)
Vehicle Toll Revenue	0,000	0,000	0,000	-	0,000	0,000	0,000	-	0,000	0,000	0,000	-
Other Operating Revenue	3,954	5,770	1,816	45.9	0,000	0,000	0,000	-	3,954	5,770	1,816	45.9
Capital & Other Reimbursements	0,000	0,000	0,000	-	31,880	31,757	(0,123)	(0.4)	31,880	31,757	(0,123)	(0.4)
Total Revenue	\$66,636	\$68,160	\$1,524	2.3	\$31,880	\$31,757	(\$0,123)	(0.4)	\$98,516	\$99,918	\$1,402	1.4
Expenses												
Labor:												
Payroll	\$41,996	\$40,730	\$1,266	3.0	\$10,755	\$9,950	\$0,805	7.5	\$52,751	\$50,680	\$2,071	3.9
Overtime	10,099	10,978	(0,879)	(8.7)	2,328	3,954	(1,626)	(69.9)	12,427	14,932	(2,505)	(20.2)
Health and Welfare	7,841	7,454	0,387	4.9	2,150	2,350	(0,200)	(9.3)	9,991	9,804	0,187	1.9
OP&B Current Payment	5,321	4,799	0,522	9.8	0,000	0,000	0,000	-	5,321	4,799	0,522	9.8
Pensions	12,379	11,572	0,807	6.5	3,494	4,300	(0,806)	(23.1)	15,873	15,873	0,000	0.0
Other Fringe Benefits	11,355	11,194	0,161	1.4	2,199	2,474	(0,275)	(12.5)	13,554	13,668	(0,114)	(0.8)
Reimbursable Overhead	(1,778)	(3,487)	1,709	96.1	1,778	3,487	(1,709)	(96.1)	0,000	0,000	0,000	-
Total Labor Expenses	\$87,213	\$83,239	\$3,974	4.6	\$22,704	\$26,516	(\$3,812)	(16.8)	\$109,917	\$109,755	\$0,162	0.1
Non-Labor:												
Electric Power	\$7,334	\$7,288	\$0,046	0.6	\$0,041	\$0,028	\$0,013	31.6	\$7,375	\$7,316	\$0,059	0.8
Fuel	1,292	1,254	0,038	2.9	0,000	0,000	0,000	-	1,292	1,254	0,038	2.9
Insurance	1,796	1,823	(0,027)	(1.5)	0,799	0,674	0,125	15.7	2,595	2,497	0,098	3.8
Claims	0,341	0,380	(0,039)	(11.6)	0,000	0,000	0,000	-	0,341	0,380	(0,039)	(11.6)
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	7,368	5,416	1,952	26.5	2,424	1,458	0,966	39.9	9,792	6,874	2,918	29.8
Professional Service Contracts	3,782	2,910	0,872	23.0	0,306	0,272	0,034	11.1	4,088	3,182	0,906	22.2
Materials & Supplies	18,869	10,857	8,012	42.5	5,576	2,775	2,801	50.2	24,445	13,631	10,814	44.2
Other Business Expenses	2,129	1,362	0,767	36.0	0,030	0,035	(0,005)	(16.2)	2,159	1,397	0,762	35.3
Total Non-Labor Expenses	\$42,911	\$31,291	\$11,620	27.1	\$9,176	\$5,241	\$3,935	42.9	\$52,087	\$36,532	\$15,555	29.9
Other Expense Adjustments:												
Other	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-
Total Other Expense Adjustments	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-
Total Expenses before Depreciation & Other Post Employment Benefits	\$130,124	\$114,530	\$15,594	12.0	\$31,880	\$31,757	\$0,123	0.4	\$162,004	\$146,287	\$15,717	9.7
Depreciation												
Other Post Employment Benefits	\$27,377	\$27,372	\$0,005	0.0	\$0,000	\$0,000	\$0,000	-	\$27,377	\$27,372	\$0,005	0.0
GASB 68 Pension Expense Adjustment	6,956	7,029	(0,073)	(1.0)	0,000	0,000	0,000	-	6,956	7,029	(0,073)	(1.0)
Environmental Remediation	0,000	0,000	0,000	-	0,000	0,000	0,000	-	0,000	0,000	0,000	-
Environmental Remediation	0,142	0,167	(0,025)	(17.4)	0,000	0,000	0,000	-	0,142	0,167	(0,025)	(17.4)
Total Expenses	\$164,599	\$149,097	\$15,502	9.4	\$31,880	\$31,757	\$0,123	0.4	\$196,479	\$180,854	\$15,625	8.0
Net Surplus/(Deficit)	(\$97,963)	(\$80,937)	\$17,026	17.4	\$0,000	\$0,000	\$0,000	-	(\$97,963)	(\$80,937)	\$17,026	17.4
Cash Conversion Adjustments												
Depreciation	\$27,377	\$27,372	(\$0,005)	(0.0)	\$0,000	\$0,000	\$0,000	-	\$27,377	\$27,372	(\$0,005)	(0.0)
Operating/Capital	(3,400)	(1,077)	2,323	68.3	0,000	0,000	0,000	-	(3,400)	(1,077)	2,323	68.3
Other Cash Adjustments	21,184	31,085	9,901	46.7	0,000	0,000	0,000	-	21,184	31,085	9,901	46.7
Total Cash Conversion Adjustments	\$45,161	\$57,380	\$12,218	27.1	0,000	\$0,000	\$0,000	-	\$45,161	\$57,380	\$12,218	27.1
Net Cash Surplus/(Deficit)	(\$52,802)	(\$23,557)	\$29,245	55.4	\$0,000	\$0,000	\$0,000	-	(\$52,802)	(\$23,557)	\$29,245	55.4

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

TABLE 2

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
ACCURAL STATEMENT OF OPERATIONS by CATEGORY
August Year-To-Date
(\$ in millions)

	Nonreimbursable				Reimbursable				Total			
	Favorable (Unfavorable)			Percent	Favorable (Unfavorable)			Percent	Favorable (Unfavorable)			Percent
	Forecast	Actual	Variance		Forecast	Actual	Variance		Forecast	Actual	Variance	
Revenue												
Farebox Revenue	\$470,352	\$470,955	\$0,603	0.1	\$0,000	\$0,000	\$0,000	-	\$470,352	\$470,955	\$0,603	0.1
Vehicle Toll Revenue	0,000	0,000	0,000	-	0,000	0,000	0,000	-	0,000	0,000	0,000	-
Other Operating Revenue	34,744	36,952	2,208	6.4	0,000	0,000	0,000	-	34,744	36,952	2,208	6.4
Capital & Other Reimbursements	0,000	0,000	0,000	-	212,300	223,009	10,709	5.0	212,300	223,009	10,709	5.0
Total Revenue	\$505,096	\$507,907	\$2,811	0.6	\$212,300	\$223,009	\$10,709	5.0	\$717,396	\$730,916	\$13,520	1.9
Expenses												
Labor:												
Payroll	\$340,665	\$332,315	\$8,350	2.5	\$68,520	\$65,874	\$2,646	3.9	\$409,185	\$398,189	\$10,996	2.7
Overtime	79,096	79,528	(0,432)	(0.5)	19,414	26,728	(7,314)	(37.7)	98,510	106,255	(7,745)	(7.9)
Health and Welfare	65,753	63,617	2,136	3.2	14,530	15,828	(1,298)	(8.9)	80,283	79,444	839	1.0
OP&B Current Payment	41,221	39,166	2,055	5.0	0,000	0,000	0,000	-	41,221	39,166	2,055	5.0
Pensions	92,603	88,597	4,006	4.3	24,806	28,812	(4,006)	(16.1)	117,409	117,409	0,000	0.0
Other Fringe Benefits	96,824	96,546	0,278	0.3	15,114	16,560	(1,436)	(9.5)	111,938	113,086	(1,158)	(1.0)
Reimbursable Overhead	(16,267)	(23,261)	7,014	43.1	16,267	23,261	(7,014)	(43.1)	0,000	0,000	0,000	-
Total Labor Expenses	\$699,895	\$676,487	\$23,408	3.3	\$158,651	\$177,073	(\$18,422)	(11.6)	\$858,546	\$853,560	\$4,986	0.6
Non-Labor:												
Electric Power	\$52,752	\$49,363	\$3,389	6.4	\$0,367	\$0,699	(\$0,332)	(90.4)	\$53,119	\$50,062	\$3,057	5.8
Fuel	9,353	9,418	(0,065)	(0.7)	0,000	0,000	0,000	-	9,353	9,418	(0,065)	(0.7)
Insurance	15,387	15,381	0,006	0.0	4,830	4,412	0,418	8.7	20,217	19,793	0,424	2.1
Claims	3,037	4,279	(1,242)	(40.9)	0,000	0,000	0,000	-	3,037	4,279	(1,242)	(40.9)
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	47,296	42,261	5,035	10.6	14,231	13,548	0,683	4.8	61,527	55,810	5,717	9.3
Professional Service Contracts	17,900	14,721	3,179	17.8	0,909	1,136	(0,227)	(24.9)	18,809	15,857	2,952	15.7
Materials & Supplies	102,313	73,244	29,069	28.4	32,973	25,433	7,540	22.9	135,286	98,677	36,609	27.1
Other Business Expenses	10,734	10,693	0,041	0.4	0,339	0,710	(0,371)	-	11,073	11,403	(0,330)	(3.0)
Total Non-Labor Expenses	\$258,772	\$219,361	\$39,411	15.2	\$53,649	\$45,937	\$7,712	14.4	\$312,421	\$265,298	\$47,123	15.1
Other Expense Adjustments												
Other	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-	0,000	\$0,000	\$0,000	-
Total Other Expense Adjustments	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-
Total Expenses before Depreciation & Other Post Employment Benefits	\$958,667	\$895,848	\$62,819	6.6	\$212,300	\$223,009	(\$10,709)	(5.0)	\$1,170,967	\$1,118,858	\$52,109	4.5
Depreciation												
Other Post Employment Benefits	\$223,973	\$224,933	(0,960)	(0.4)	\$0,000	\$0,000	\$0,000	-	\$223,973	\$224,933	(\$0,960)	(0.4)
GASB 68 Pension Expense Adjustment	55,649	55,459	0,190	0.3	0,000	0,000	0,000	-	55,649	55,459	0,190	0.3
Environmental Remediation	0,000	17,825	(17,825)	-	0,000	0,000	0,000	-	0,000	17,825	(17,825)	-
	1,437	1,585	(0,148)	(10.3)	0,000	0,000	0,000	-	1,437	1,585	(0,148)	(10.3)
Total Expenses	\$1,239,726	\$1,195,650	\$44,076	3.6	\$212,300	\$223,009	(\$10,709)	(5.0)	\$1,452,026	\$1,418,660	\$33,366	2.3
Net Surplus/(Deficit)	(\$734,630)	(\$687,743)	\$46,887	6.4	\$0,000	\$0,000	\$0,000	-	(\$734,630)	(\$687,743)	\$46,887	6.4
Cash Conversion Adjustments												
Depreciation	\$223,973	\$224,933	\$0,960	0.4	\$0,000	\$0,000	\$0,000	-	223,973	\$224,933	\$0,960	0.4
Operating/Capital	(15,084)	(4,907)	10,178	67.5	0,000	0,000	0,000	-	(15,084)	(4,907)	10,178	67.5
Other Cash Adjustments	47,106	60,172	13,066	27.7	0,000	0,000	0,000	-	47,106	60,172	13,066	27.7
Total Cash Conversion Adjustments	\$255,995	\$280,199	\$24,204	9.5	\$0,000	\$0,000	\$0,000	-	\$255,995	\$280,199	\$24,204	9.5
Net Cash Surplus/(Deficit)	(\$478,635)	(\$407,545)	\$71,090	14.9	\$0,000	\$0,000	\$0,000	0.0	(\$478,635)	(\$407,545)	\$71,090	14.9

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.

TABLE 3

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
EXPLANATION OF VARIANCES BETWEEN MID YEAR AND ACTUAL: ACCRUAL BASIS

		August 2016				Year-to-Date August 2016			
Generic Revenue or Expense Category	Non Reimb. Or Reimb.	Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance	Reason for Variance			
		\$	%			\$	%		
Revenue									
Farebox Revenue	Non Reimb.	(0.291)	(0.5)	Higher ridership \$0.032, partially offset by lower yield per passenger \$(0.323).	0.603	0.1	Higher ridership \$1.510, partially offset by lower yield per passenger \$(0.907).		
Other Operating Revenue	Non Reimb.	1.816	45.9	Primarily due to higher rental revenue and timing of station privileges, slightly offset by timing of freight revenue.	2.208	6.4	Primarily due to higher rental revenue and timing of all other operating revenue.		
Capital & Other Reimbursements	Reimb.	(0.123)	(0.4)	Timing of capital project activity.	10.709	5.0	Timing of capital project activity.		
Expenses									
Payroll	Non Reimb.	1.266	3.0	Primarily vacant positions, rates and lower retiree payments.	8.350	2.5	Primarily vacant positions, rates, lower vacation pay and wage claim accruals, partially offset by the timing of payments for retiree sick/vacation buyout.		
	Reimb.	0.805	7.5	Primarily due to timing of project activity.	2.646	3.9	Primarily due to timing of project activity.		
Overtime	Non Reimb.	(0.879)	(8.7)	Higher vacancy/absentee coverage and maintenance overtime, partially offset by lower scheduled/unscheduled service.	(0.432)	(0.5)	Higher vacancy/absentee coverage and maintenance overtime, partially offset by lower scheduled/unscheduled service.		
	Reimb.	(1.626)	(69.9)	Over-run attributed to annual track program, East Side Access, Jamaica capacity improvements and Second Track Main Line.	(7.314)	(37.7)	Over-run attributed to annual track program, Atlantic tunnel mitigation, East Side Access, East Rail Yard, Jamaica capacity improvements and Second Track Main Line, partially offset by PTC delays.		
Health and Welfare	Non Reimb.	0.387	4.9	Vacant positions.	2.136	3.2	Vacant positions.		
	Reimb.	(0.200)	(9.3)	Primarily due to timing of project activity.	(1.298)	(8.9)	Primarily due to timing of project activity.		
OPEB Current Payment	Non Reimb.	0.522	9.8	Fewer retirees/beneficiaries.	2.055	5.0	Fewer retirees/beneficiaries.		

TABLE 3

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
EXPLANATION OF VARIANCES BETWEEN MID YEAR AND ACTUAL: ACCRUAL BASIS

August 2016				Year-to-Date August 2016		
Generic Revenue or Expense Category	Non Reimb. Or Reimb.	Favorable/ (Unfavorable) Variance	Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
				\$	%	
Pensions	Non Reimb.	0.807	6.5	4.006	4.3	Total pension is on plan. However the estimated percentage of pension allocated to reimbursable was under-estimated.
	Reimb.	(0.806)	(23.1)	(4.006)	(16.1)	Total pension is on plan. However the estimated percentage of pension allocated to reimbursable was under-estimated.
Other Fringe Benefits	Non Reimb.	0.161	1.4	0.278	0.3	Lower Railroad Retirement Taxes, partially offset by higher FELA indemnity reserves.
	Reimb.	(0.275)	(12.5)	(1.436)	(9.5)	Primarily due to timing of project activity.
Reimbursable Overhead	Reimb.	(1.709)	(96.1)	(7.014)	(43.1)	Primarily due to timing of project activity.
	Non Reimb.	1.709	96.1	7.014	43.1	Primarily due to timing of project activity.
Electric Power	Non Reimb.	0.046	0.6	3.389	6.4	Primarily lower rates and consumption.
	Reimb.	0.013	31.6	(0.332)	(90.4)	
Fuel	Non Reimb.	0.038	2.9	(0.065)	(0.7)	Primarily higher rates.
Insurance	Non Reimb.	(0.027)	(1.5)	0.006	0.0	
	Reimb.	0.125	15.7	0.418	8.7	Force Account Insurance associated with project activity.
Claims	Non Reimb.	(0.039)	(11.6)	(1.242)	(40.9)	Higher reserves for public liability claims.

TABLE 3

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
EXPLANATION OF VARIANCES BETWEEN MID YEAR AND ACTUAL: ACCRUAL BASIS

		August 2016			Year-to-Date August 2016		
Generic Revenue or Expense Category	Non Reimb. Or Reimb.	Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
		\$	%		\$	%	
Maintenance & Other Operating Contracts	Non Reimb.	1.952	26.5	Timing of payments/activities for vegetation management, platform investments, safety/security initiatives, uniforms and hazardous waste cleanup, partially offset by higher non-revenue vehicle repairs.	5.035	10.6	Timing of payments/activities for vegetation management, safety/security related initiatives and lower TVM and parking facility maintenance, partially offset by higher non-revenue vehicle repairs.
	Reimb.	0.966	39.9	Primarily due to timing of project activity.	0.683	4.8	Primarily due to timing of project activity.
Professional Service Contracts	Non Reimb.	0.872	23.0	Timing of advertising activities, Enterprise Asset Management initiatives and delayed propulsion consultant.	3.179	17.8	Delayed Enterprise Asset Management initiatives, purchase of document scanner and delayed propulsion consultant services and timing of payments for medical services.
	Reimb.	0.034	11.1	Primarily due to timing of project activity.	(0.227)	(24.9)	Primarily due to timing of project activity and medical services contract.
Materials & Supplies	Non Reimb.	8.012	42.5	Primarily due to delayed contracts for rolling stock non-recurring engineering costs (C-3 CCU and phase 3 door) and for contracts related to fleet modifications (DE/DM gate unit and observer seats).	29.069	28.4	Primarily due to delayed fleet modifications (DE/DM gate units and M7 Observer seats), contracts for non-recurring engineering costs (C-3 CCU and C-3 Phase 3 door), delays RCM initiatives M7 door thresholds and propulsion control units, higher reclaims of pool material, lower chargeouts of running repair material (primarily wheels) and lower corporate inventory adjustments.
	Reimb.	2.801	50.2	Primarily due to timing of project activity.	7.540	22.9	Primarily due to timing of project activity.

TABLE 3

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
EXPLANATION OF VARIANCES BETWEEN MID YEAR AND ACTUAL: ACCRUAL BASIS

August 2016		Year-to-Date August 2016		
Generic Revenue or Expense Category	Non Reimb. Or Reimb.	Favorable/ (Unfavorable) Variance		Reason for Variance
		\$	%	
Other Business Expenses	Non Reimb.	0.767	36.0	Decommissioning of 20 M3 cars delayed until 2017.
	Reimb.	(0.005)	(16.2)	Primarily due to timing of project activity.
Depreciation	Non Reimb.	0.005	0.0	
Other Post Employment Benefits	Non Reimb.	(0.073)	(1.0)	Primarily due to latest actuarial estimates.
GASB 68 Pension Expense Adj.	Non Reimb.	0.000	-	Quarterly cash adjustment made by MTA Headquarters for the employer cash contributions made to the pension plan.
Environmental Remediation	Non Reimb.	(0.025)	(17.4)	Higher environmental remediation reserves.
		(0.148)	(10.3)	Higher environmental remediation reserves.

Table 4

MTA LONG ISLAND RAIL ROAD									
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST									
CASH RECEIPTS and EXPENDITURES									
August 2016									
(\$ in millions)									
	Month			Favorable (Unfavorable)			Year-to-Date		
	Mid-Year Forecast	Actual	Variance	Percent	Mid-Year Forecast	Actual	Variance	Percent	
Receipts									
Farebox Revenue	\$64.360	\$67.565	\$3.205	5.0	\$484.593	\$486.696	\$2.103	0.4	
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	
Other Operating Revenue	1.914	2.187	0.273	14.2	36.721	35.720	(1.001)	(2.7)	
Capital & Other Reimbursements	27.947	44.275	16.327	58.4	165.050	192.157	27.107	16.4	
Total Receipts	\$94.221	\$114.026	\$19.805	21.0	\$686.364	\$714.573	\$28.209	4.1	
Expenditures									
Labor:									
Payroll	\$48.890	\$46.844	\$2.046	4.2	\$401.149	\$389.207	\$11.942	3.0	
Overtime	9.770	11.870	(2.100)	(21.5)	97.988	103.185	(5.197)	(5.3)	
Health and Welfare	9.991	8.256	1.735	17.4	69.250	76.287	(7.037)	(10.2)	
OP&B Current Payment	5.321	4.216	1.105	20.8	36.975	38.443	(1.468)	(4.0)	
Pensions	15.873	15.444	0.429	2.7	116.098	114.685	1.413	1.2	
Other Fringe Benefits	11.528	11.018	0.510	4.4	110.737	109.842	0.895	0.8	
GASB	0.000	0.000	0.000	-	0.000	0.000	0.000	-	
Reimbursable Overhead	0.000	0.000	0.000	-	0.000	0.000	0.000	-	
Total Labor Expenditures	\$101.373	\$97.649	\$3.724	3.7	\$832.197	\$831.649	\$0.548	0.1	
Non-Labor:									
Electric Power	\$7.375	\$11.994	(\$4.619)	(62.6)	\$53.728	\$49.599	\$4.129	7.7	
Fuel	1.292	1.279	0.013	1.0	9.453	9.211	0.242	2.6	
Insurance	0.430	1.550	(1.120)	*	19.197	14.870	4.327	22.5	
Claims	0.119	0.280	(0.161)	*	1.257	1.701	(0.444)	(35.3)	
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-	
Maintenance and Other Operating Contracts	10.386	6.442	3.944	38.0	70.220	56.680	13.540	19.3	
Professional Service Contracts	3.298	1.889	1.409	42.7	17.889	15.898	1.991	11.1	
Materials & Supplies	18.953	11.809	7.144	37.7	137.216	118.726	18.490	13.5	
Other Business Expenses	2.119	1.453	0.666	31.4	10.554	8.892	1.662	15.7	
Total Non-Labor Expenditures	\$43.972	\$36.696	\$7.276	16.5	\$319.514	\$275.576	\$43.938	13.8	
Other Expenditure Adjustments:									
Other	\$1.678	\$1.741	(\$0.063)	(3.7)	\$13.288	\$13.516	(\$0.228)	(1.7)	
Total Other Expenditure Adjustments	\$1.678	\$1.741	(\$0.063)	(3.7)	\$13.288	\$13.516	(\$0.228)	(1.7)	
Total Expenditures	\$147.023	\$136.085	\$10.938	7.4	\$1,164.999	\$1,120.741	\$44.258	3.8	
Cash Timing and Availability Adjustment	0.000	(1.498)	(1.498)	-	0.000	(1.377)	(1.377)	*	
Net Cash Deficit (excludes opening balance)									
Subsidies	(\$52.802)	(\$23.557)	\$29.245	55.4	(\$478.635)	(\$407.545)	\$71.090	14.9	
MTA	52.802	26.346	(26.455)	(50.1)	478.635	410.333	(68.302)	(14.3)	

Table 5

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
EXPLANATION OF VARIANCES BETWEEN JULY FORECAST AND ACTUAL CASH BASIS

Generic Revenue or Expense Category	August 2016			Year-to-Date as of August 31, 2016		
	Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
	\$	%		\$	%	
Receipts						
Farebox Revenue	3,205	5.0	Higher advance sales impact \$3,466, higher ridership \$0.032 and higher Metrocard/AirTrain sales \$0.030, partially offset by lower yields \$(0.323).	2,103	0.4	Higher ridership \$1,510, higher advance sales impact \$1,259 and higher Metrocard/AirTrain sales \$0.241, partially offset by lower yields \$(0.907).
Other Operating Revenue	0,273	14.2	Primarily due to the timing of and higher miscellaneous revenue.	(1,001)	(2.7)	Primarily due to the timing of rental and freight receipts, partially offset by higher miscellaneous revenue.
Capital and Other Reimbursements	16,327	58.4	Timing of activity and reimbursement for capital and other reimbursements.	27,107	16.4	Timing of activity and reimbursement for capital and other reimbursements.
Expenditures						
Labor:						
Payroll	2,046	4.2	Primarily due to vacant positions, rates, lower retiree payments and higher sick pay law claims.	11,942	3.0	Primarily due to vacant positions, rates and higher sick pay law claims, partially offset by the timing of intercompany reimbursements and vacation buyout payments.
Overtime	(2,100)	(21.5)	Primarily due to higher project overtime and higher vacancy/absentee coverage.	(5,197)	(5.3)	Primarily due to higher project overtime, vacancy/absentee coverage and maintenance, partially offset by lower scheduled/unscheduled service.
Health and Welfare	1,735	17.4	Primarily due to intercompany reimbursements and lower headcount.	(7,037)	(10.2)	Primarily due to the timing of NYSHIP payments, partially offset by intercompany reimbursements and lower headcount.
OPEB Current Payment	1,105	20.8	Primarily due to fewer retirees/beneficiaries.	(1,468)	(4.0)	Primarily due to the timing of NYSHIP payments, partially offset by fewer retirees/beneficiaries.
Pensions	0,429	2.7	Due to intercompany reimbursements.	1,413	1.2	Due to higher intercompany reimbursements.

Table 5

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
EXPLANATION OF VARIANCES BETWEEN JULY FORECAST AND ACTUAL CASH BASIS

Generic Revenue or Expense Category	August 2016			Year-to-Date as of August 31, 2016		
	Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
	\$	%		\$	%	
Other Fringe Benefits	0.510	4.4	Primarily the timing of FELA and Railroad Retirement payments, partially offset by higher meal payments.	0.895	0.8	Primarily the timing of Railroad Retirement payments and intercompany reimbursements, partially offset by the timing of and higher FELA payments and higher meal payments.
Non-Labor:						
Electric Power	(4.619)	(62.6)	Primarily due to a catch up PSEG Traction payment, partially offset by lower consumption.	4.129	7.7	Primarily due to lower rates and lower consumption.
Fuel	0.013	1.0		0.242	2.6	Primarily the timing of payments, partially offset by higher rates.
Insurance	(1.120)	*	Timing of Insurance premium payments.	4.327	22.5	Timing of Insurance premium payments.
Claims	(0.161)	*	Higher claim payments.	(0.444)	(35.3)	Higher claim payments.
Maintenance and Other Operating Contracts	3.944	38.0	Timing of payments.	13.540	19.3	Timing of payments.
Professional Service Contracts	1.409	42.7	Primarily due to the timing of intercompany reimbursements and other professional services and payments, partially offset by the timing of MTA Chargeback payments.	1.991	11.1	Primarily the timing of services and payments, partially offset by the timing of intercompany reimbursements.
Materials and Supplies	7.144	37.7	Primarily the timing of program, production plan, and operating funded capital material and supplies.	18.490	13.5	Primarily the timing of program, production plan, and operating funded capital material and supplies.
Other Business Expenses	0.666	31.4	Primarily due to the scheduling of and payments for M3 decommissioning which has been shifted to 2017, partially offset by higher credit card fee payments.	1.662	15.7	Primarily due to accelerated ROCLA concrete tie restitution forecast in 2017 and 2018 received in 2016 and the shifting of other miscellaneous expenses and associated payments to 2017, partially offset by higher credit card fee payments.

Table 5

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
EXPLANATION OF VARIANCES BETWEEN JULY FORECAST AND ACTUAL CASH BASIS

August 2016		Year-to-Date as of August 31, 2016	
Generic Revenue or Expense Category	Favorable/ (Unfavorable) Variance	Reason for Variance	
	\$	\$	%
Other Expenditure Adjustments	(0.063)	(0.228)	(1.7)
		Higher Metrocard/AirTrain pass through payments.	

Table 6

MTA LONG ISLAND RAIL ROAD JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST CASH CONVERSION (CASH FLOW ADJUSTMENTS) August 2016 (\$ in millions)									
	Month			Year-to-Date					
	Favorable (Unfavorable)			Favorable (Unfavorable)					
	Mid-Year Forecast	Actual	Variance	Percent	Mid-Year Forecast	Actual	Variance	Percent	
Receipts									
Farebox Revenue	\$1,678	\$5,174	\$3,496	*	\$14,241	\$15,741	\$1,500	10.5	
Vehicle Toll Revenue	0,000	0,000	0,000	-	0,000	0,000	0,000	-	
Other Operating Revenue	(2,040)	(3,583)	(1,543)	(75.6)	1,977	(1,231)	(3,208)	*	
Capital & Other Reimbursements	(3,933)	12,517	16,450	*	(47,250)	(30,853)	16,397	34.7	
Total Receipts	(\$4,295)	\$14,108	\$18,403	*	(\$31,032)	(\$16,343)	\$14,689	47.3	
Expenditures									
<i>Labor:</i>									
Payroll	\$3,861	\$3,836	(\$0,025)	(0.7)	\$8,036	\$8,982	\$0,946	11.8	
Overtime	2,657	3,061	0,404	15.2	0,522	3,071	2,549	*	
Health and Welfare	0,000	1,548	1,548	-	11,033	3,158	(7,875)	(71.4)	
OPEB Current Payment	0,000	0,583	0,583	-	4,246	0,723	(3,523)	(83.0)	
Pensions	0,000	0,429	0,429	-	1,311	2,724	1,413	*	
Other Fringe Benefits	2,026	2,850	0,624	30.8	1,201	3,254	2,053	*	
GASB	0,000	0,000	0,000	-	0,000	0,000	0,000	-	
Reimbursable Overhead	0,000	0,000	0,000	-	0,000	0,000	0,000	-	
Total Labor Expenditures	\$8,544	\$12,106	\$3,562	41.7	\$26,349	\$21,911	(\$4,438)	(16.8)	
<i>Non-Labor:</i>									
Electric Power	\$0,000	(\$4,678)	(\$4,678)	-	(\$0,609)	\$0,463	\$1,072	*	
Fuel	0,000	(0,024)	(0,024)	-	(0,100)	0,207	0,307	*	
Insurance	2,165	0,947	(1,218)	(56.3)	1,020	4,923	3,903	*	
Claims	0,222	0,100	(0,122)	(54.9)	1,780	2,578	0,798	44.8	
Paratransit Service Contracts	0,000	0,000	0,000	-	0,000	0,000	0,000	-	
Maintenance and Other Operating Contracts	(0,594)	0,432	1,026	*	(8,693)	(0,870)	7,823	90.0	
Professional Service Contracts	0,790	1,293	0,503	63.7	0,920	(0,041)	(0,961)	*	
Materials & Supplies	5,492	1,822	(3,670)	(66.8)	(1,930)	(20,049)	(18,119)	*	
Other Business Expenses	0,040	(0,056)	(0,096)	*	0,519	2,511	1,992	*	
Total Non-Labor Expenditures	\$8,115	(\$0,164)	(\$8,279)	*	(\$7,093)	(\$10,278)	(\$3,185)	(44.9)	
<i>Other Expenditure Adjustments:</i>									
Other	(\$1,678)	(\$1,741)	(\$0,063)	(3.7)	(\$13,288)	(\$13,516)	(\$0,228)	(1.7)	
Total Other Expenditure Adjustments	(\$1,678)	(\$1,741)	(\$0,063)	(3.7)	(\$13,288)	(\$13,516)	(\$0,228)	(1.7)	
Total Expenditures before Depreciation	\$14,981	\$10,202	(\$4,779)	(31.9)	\$5,968	(\$1,883)	(\$7,851)	*	
Depreciation Adjustment	\$27,377	\$27,372	(\$0,005)	(0.0)	\$223,973	\$224,933	\$0,960	0.4	
Other Post Employment Benefits	6,956	7,029	0,073	1.0	55,649	55,459	(0,190)	(0.3)	
GASB 68 Pension Expense Adjustment	0,000	0,000	0,000	-	0,000	17,825	17,825	-	
Environmental Remediation	0,142	0,167	0,025	17.4	1,437	1,585	0,148	10.3	
Total Expenditures	\$49,456	\$44,769	(\$4,687)	(9.5)	\$287,027	\$297,918	\$10,891	3.8	
Cash Timing and Availability Adjustment	0,000	(1,498)	(1,498)	-	0,000	(1,377)	(1,377)	*	
Total Cash Conversion Adjustments	\$45,161	\$57,380	\$12,218	27.1	\$255,995	\$280,199	\$24,204	9.5	

MTA LONG ISLAND RAIL ROAD
2016 July Financial Plan
Non-Reimbursable/Reimbursable Overtime
(\$ in millions)

	August 2016			August Year-to-Date		
	Var. - Fav./Unfav)	Explanations		Var. - Fav./Unfav)	Explanations	
	Hours	\$		Hours	\$	
NON-REIMBURSABLE OVERTIME						
<u>Scheduled Service</u>	(619)	(\$0.024)	Greater than anticipated crew book overtime within Transportation.	3,365	\$0.230	Lower holiday overtime within Transportation and Engineering as well as lower than anticipated crew book overtime within Transportation.
	-2.9%	-1.8%		1.4%	1.6%	
<u>Unscheduled Service</u>	(1,109)	(\$0.066)	Greater than forecasted overtime needed to maintain on-time performance.	9,058	\$0.574	Lower than forecasted overtime needed to maintain on-time performance.
	-11.0%	-10.4%		12.7%	12.8%	
<u>Programmatic/Routine Maintenance</u>	755	(\$0.003)		1,417	(\$0.092)	Greater than anticipated maintenance efforts within Engineering which can only be completed on overtime due to track time outage and track availability, partially offset by lower than anticipated rolling stock maintenance within Equipment.
	1.1%	-0.1%		0.3%	-0.3%	
<u>Unscheduled Maintenance</u>	(1,609)	(\$0.095)	Due to system wide emergencies, including derailment at Speonk Yard and Urban Avenue car fire.	(4,807)	(\$0.284)	Higher system wide emergencies, including derailments at Hall, Woodside and Speonk Yard.
	*	*		*	*	
<u>Vacancy/Absentee Coverage</u>	(15,049)	(\$0.773)	Due to higher unavailability and open jobs within Equipment, and higher tour coverage for Barclays Golf Tournament and Straight Path Crossing Renewal within Stations. Partially offset by lower than forecasted tours and higher availability within Transportation.	(15,697)	(\$0.843)	Due to open jobs and higher unavailability within Equipment, partially offset by higher availability within Stations, Transportation and Engineering and lower than forecasted tours within Transportation.
	-20.6%	-18.2%		-3.8%	-3.6%	
<u>Weather Emergencies</u>	725	\$0.036	Lower than forecasted weather related expenses.	(99)	(\$0.019)	
	45.6%	38.7%		-0.1%	-0.2%	
<u>Safety/Security/Law Enforcement</u>						
<u>Other</u>	810	\$0.046	Favorable variance between actual and forecasted wage rates, partially offset by double time impact and higher rates crafts.	1,888	\$0.002	
	35.5%	40.3%		12.8%	0.2%	
NON-REIMBURSABLE OVERTIME	(16,095)	(\$0.879)		(4,876)	(\$0.432)	
	-9.2%	-8.7%		-0.4%	-0.5%	
REIMBURSABLE OVERTIME						
	(24,499)	(\$1.626)	Over-run attributed to annual track program, East Side Access, Jamaica capacity improvements and Second Track Main Line.	(110,724)	(\$7.314)	Over-run attributed to annual track program, Atlantic tunnel mitigation, East Side Access, East Rail Yard, Jamaica capacity improvements and Second Track Main Line, partially offset by PTC delays.
	-59.8%	-69.9%		-33.3%	-37.7%	
TOTAL OVERTIME	(40,594)	(\$2.505)		(115,600)	(\$7.745)	
	-18.8%	-20.2%		-6.8%	-7.9%	

* Exceeds 100%

METROPOLITAN TRANSPORTATION AUTHORITY - LONG ISLAND RAIL ROAD
2016 Overtime Reporting
Overtime Legend

OVERTIME DECOMPOSITION LEGEND DEFINITIONS

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

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
TOTAL POSITIONS BY FUNCTION AND DEPARTMENT
NON-REIMBURSABLE/REIMBURSABLE AND FULL-TIME/FULL-TIME EQUIVALENTS
END-of-MONTH AUGUST 2016

	Mid-Year Forecast	Actual	Favorable/ (Unfavorable) Variance
Administration			
Executive VP	2	2	0
Sr. Vice President - Engineering/PTC	11	10	1
Labor Relations	19	16	3
Procurement & Logistics (excl. Stores)	84	80	4
Human Resources	33	32	2
Sr VP Administration	2	1	1
Strategic Investments	25	23	2
President	4	4	0
VP & CFO	5	2	3
Information Technology	0	0	0
Controller	43	42	1
Management & Budget	21	19	2
BPM, Controls & Compliance	7	7	0
Market Dev. & Public Affairs	69	66	3
Gen. Counsel & Secretary	32	30	2
Diversity Management	3	3	0
Security	14	7	7
System Safety	36	34	2
Training	65	61	4
Service Planning	23	20	3
Sr. VP Operations/Rolling Stock	13	12	1
Total Administration	511	471	41
Operations			
Train Operations	2,161	2,137	24
Customer Services	304	290	14
Total Operations	2,465	2,427	38
Maintenance			
Engineering	1,860	1,868	(8)
Equipment	2,100	2,078	22
Procurement (Stores)	93	94	(1)
Total Maintenance	4,053	4,040	13
Engineering/Capital			
Department of Project Management	153	129	25
Special Projects	46	41	5
Total Engineering/Capital	199	170	30
Baseline Total Positions	7,228	7,107	121
<i>Non-Reimbursable</i>	6,077	6,104	(27)
<i>Reimbursable</i>	1,151	1,003	148
Total Full-Time	7,228	7,107	121
Total Full-Time-Equivalents			

Note: Totals may not add due to rounding

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
FULL-TIME POSITIONS and FULL-TIME EQUIVALENTS
NON-REIMBURSABLE and REIMBURSABLE
END-OF-MONTH AUGUST 2016

Explanation of Variances
NON-REIMBURSABLE POSITIONS - Unfavorable 27 positions due to Engineering field forces working on maintenance activities versus capital activity, partially offset by vacant positions in Administration departments, Train Operations and Maintenance of Equipment.
REIMBURSABLE POSITIONS - Favorable 148 positions primarily due to the timing of project activity in the Engineering and Department of Project Management departments.

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
TOTAL FULL-TIME POSITIONS and FULL-TIME EQUIVALENTS by FUNCTION and OCCUPATION
END-of-MONTH AUGUST 2016

	Mid-Year Forecast	Actual	Favorable/ (Unfavorable) Variance
Administration			
Managers/Supervisors	256	241	16
Professional, Technical, Clerical	152	121	31
Operational Hourlies	103	109	(6)
Total Administration	511	471	41
Operations			
Managers/Supervisors	292	289	3
Professional, Technical, Clerical	99	94	5
Operational Hourlies	2,074	2,044	30
Total Operations	2,465	2,427	38
Maintenance			
Managers/Supervisors	741	683	58
Professional, Technical, Clerical	238	287	(49)
Operational Hourlies	3,074	3,070	5
Total Maintenance	4,053	4,040	14
Engineering/Capital			
Managers/Supervisors	139	113	26
Professional, Technical, Clerical	60	57	3
Operational Hourlies	-	-	-
Total Engineering/Capital	199	170	29
Total Positions			
Managers/Supervisors	1,428	1,326	103
Professional, Technical, Clerical	549	559	(10)
Operational Hourlies	5,251	5,223	29
Total Positions	7,228	7,107	121

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2016 MID YEAR
RIDERSHIP
(In Thousands)

	AUGUST 2016					
	Month		Variance			
	Actual	Adjusted*	Mid Year	%	Adjusted*	
	2016	2015			2015	
RIDERSHIP						
Monthly	4,065	4,202	0.137	3.4%	0.176	4.4%
Weekly	0.236	0.227	(0.009)	-4.0%	-0.022	-8.9%
Total Commutation	4,301	4,429	0.128	3.0%	0.154	3.6%
One-Way Full Fare	0.822	0.809	(0.013)	-1.6%	0.024	3.1%
One-Way Off-Peak	1.795	1.712	(0.083)	-4.6%	-0.081	-4.5%
All Other	1.018	0.990	(0.028)	-2.8%	-0.021	-2.1%
Total Non-Commutation	3.635	3.511	(0.124)	-3.4%	-0.077	-2.1%
Total	7,936	7,940	0.004	0.1%	0.077	1.0%

	AUGUST YEAR TO DATE 2016					
	YTD		Variance			
	Actual	Adjusted*	Mid Year	%	Adjusted*	
	2016	2015			2015	
RIDERSHIP						
Monthly	33,171	31,992	0.342	1.0%	1.179	3.7%
Weekly	1,291	1,382	(0.019)	-1.5%	-0.091	-6.6%
Total Commutation	34,462	33,374	0.323	0.9%	1.089	3.3%
One-Way Full Fare	5,698	5,611	(0.059)	-1.0%	0.028	0.5%
One-Way Off-Peak	11,919	11,827	(0.079)	-0.7%	0.092	0.8%
All Other	7,120	7,036	0.004	0.1%	0.084	1.2%
Total Non-Commutation	24,678	24,474	(0.134)	-0.5%	0.204	0.8%
Total	58,951	57,847	0.189	0.3%	1.293	2.2%

*Prior year adjusted to reflect current year calendar.

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
MONTHLY PERFORMANCE INDICATORS
August 2016

	MONTH			VARIANCE	
	Actual 2016	Mid-Year Forecast	Actual 2015	vs. Forecast	vs. 2015
Farebox Operating Ratio					
Standard ⁽¹⁾	54.2%	47.1%	57.4%	7.1%	-3.2%
Adjusted ⁽²⁾	64.5%	54.3%	69.8%	10.2%	-5.3%
Cost Per Passenger					
Standard ⁽¹⁾	\$14.56	\$16.83	\$14.33	\$2.27	(\$0.23)
Adjusted ⁽²⁾	\$13.31	\$15.46	\$12.50	\$2.15	(\$0.81)
Passenger Revenue/Passenger ⁽³⁾	\$7.89	\$7.93	\$8.23	(\$0.04)	(\$0.34)
	YEAR-TO-DATE			VARIANCE	
	Actual 2016	Mid-Year Forecast	Actual 2015	vs. Forecast	vs. 2015
Farebox Operating Ratio					
Standard ⁽¹⁾	52.5%	48.5%	49.7%	4.0%	2.8%
Adjusted ⁽²⁾	61.8%	56.7%	60.4%	5.1%	1.3%
Cost Per Passenger					
Standard ⁽¹⁾	\$15.23	\$16.52	\$16.01	\$1.29	\$0.78
Adjusted ⁽²⁾	\$13.90	\$15.12	\$14.07	\$1.22	\$0.17
Passenger Revenue/Passenger ⁽³⁾	\$8.00	\$8.01	\$7.96	(\$0.01)	\$0.04

(1) The Standard Farebox Operating Ratio and Cost Per Passenger indicators reflect MTA-wide adopted calculations that exclude non-cash liability adjustments: Depreciation, Other Post Employment Benefits and Environmental Remediation (GASB-49).

(2) Adjusted Fare Box Operating Ratio and Cost Per Passenger indicators have been adjusted for comparability between the Long Island Rail Road and Metro-North Railroad and are being presented only at the railroad operating committees. These adjustments are not being used MTA-wide. Adjustments have been made to reflect all operating revenue and significant financial impacts that are outside management's control. These adjustments include: Inclusion of Other Operating Revenue, Removal of OPEB Current Payment expenses for retirees, and Removal of the UAAL associated with the LIRR's closed pension plan.

(3) Passenger Revenue/Passenger includes Bar Car Services

MTA LONG ISLAND RAIL ROAD

MONTHLY RIDERSHIP REPORT

AUGUST 2016

AUGUST 2016 RIDERSHIP & REVENUE REPORT MTA LONG ISLAND RAIL ROAD

EXECUTIVE SUMMARY

August Ridership and Revenue (millions)

	August 2016	% Change vs. 2015
Total Rail Ridership	7.940	1.0% ▲
Commutation Ridership	4.429	3.6% ▲
Non-Commutation Ridership	3.511	-2.1% ▼
Rail Revenue	\$62.4	0.6% ▲

Key Factors Impacting August Ridership

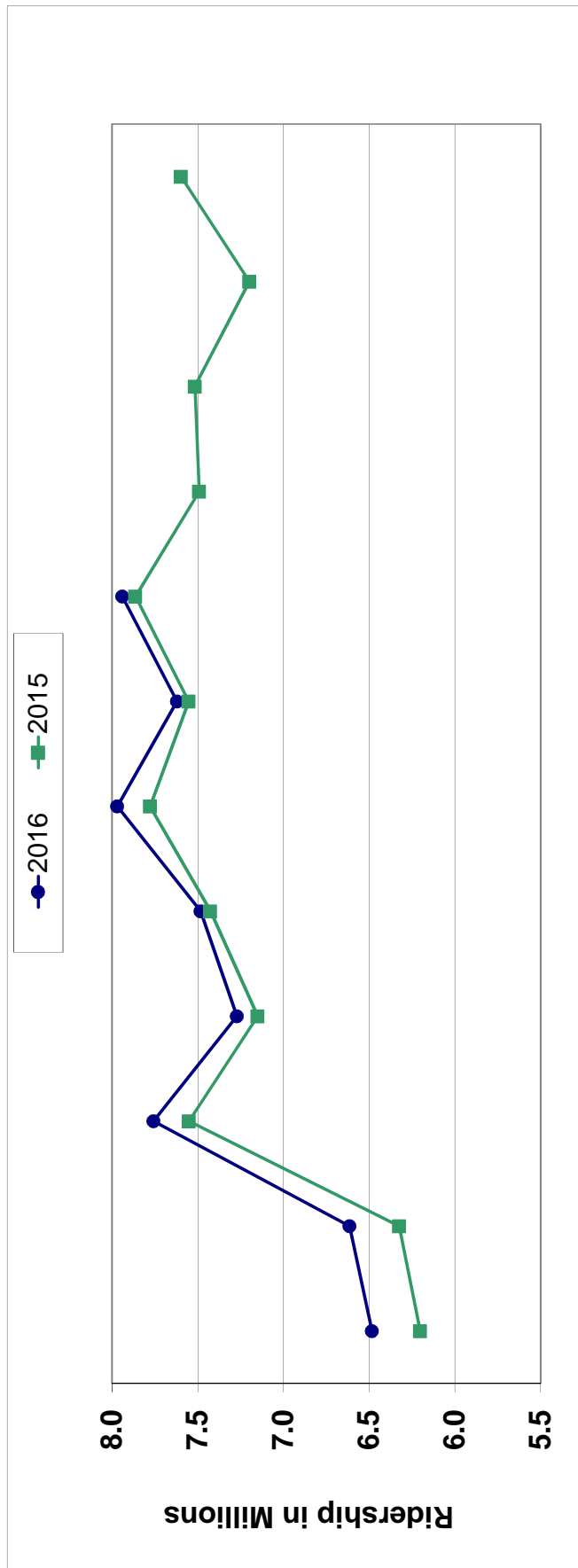
- Gains in the local job employment continue to support growth in the Commutation market.
- Non-commutation ridership losses were related to having two less weekend days occurring this August when compared to last year.
- The Barclays PGA Golf Tournament at the Bethpage Park, along with additional concert events at the Forest Hills Stadium provided new opportunities for incremental ridership this August.

Year-to-Date through August Ridership and Revenue (millions)

	August 2016	% Change vs. 2015	Comparison to Mid-Year
Total Rail Ridership	59.140	2.2% ▲	0.3% ▲
Commutation Ridership	34.462	3.3% ▲	0.9% ▲
Non-Commutation Ridership	24.678	0.8% ▲	-0.5% ▼
Rail Revenue	\$471.0	3.0% ▲	0.1% ▲

AUGUST RIDERSHIP

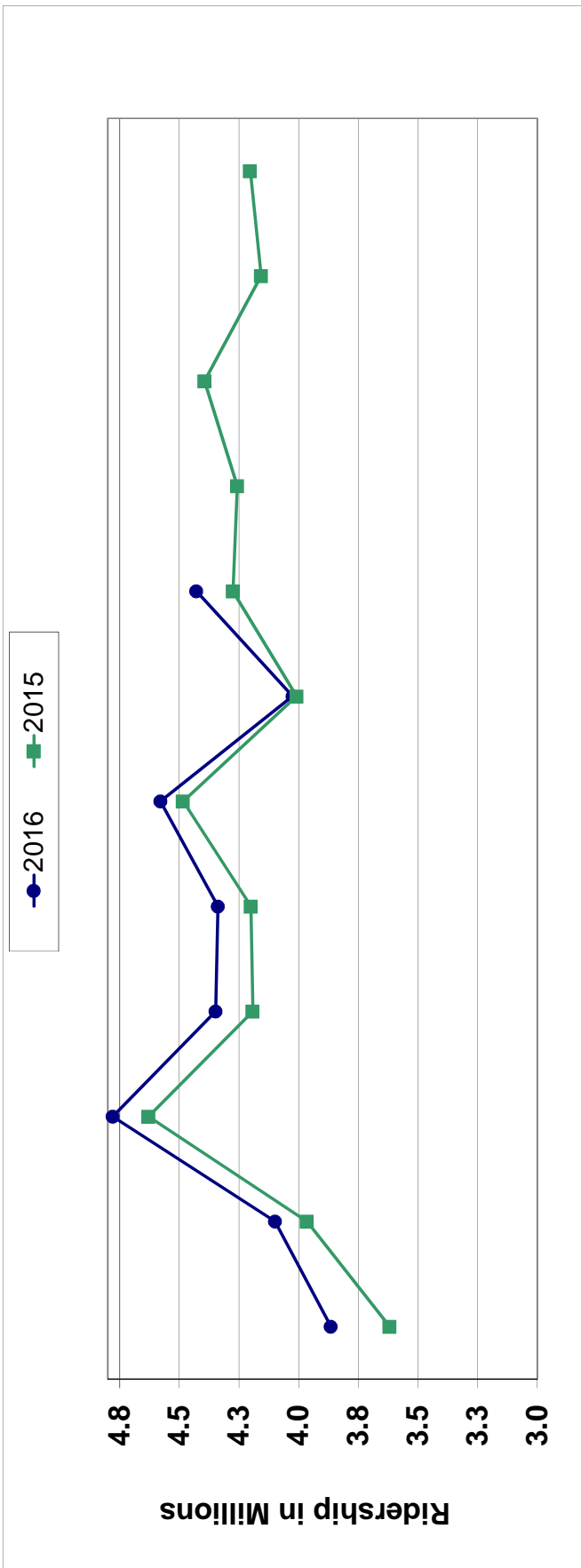
- August's Total Ridership was 1.0% above '15 and 0.1% above Mid-Year Forecast.



		Y-T-D											
		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
2016		6.5	6.6	7.8	7.3	7.5	8.0	7.6	7.9				
2015		6.2	6.3	7.6	7.2	7.4	7.8	7.6	7.9	7.5	7.5	7.2	7.6
PCT CHG.		4.5%	4.6%	2.7%	1.7%	0.8%	2.5%	0.9%	1.0%				
		Total											
		59.1											
		57.8											
		2.2%											

AUGUST COMMUTATION RIDERSHIP

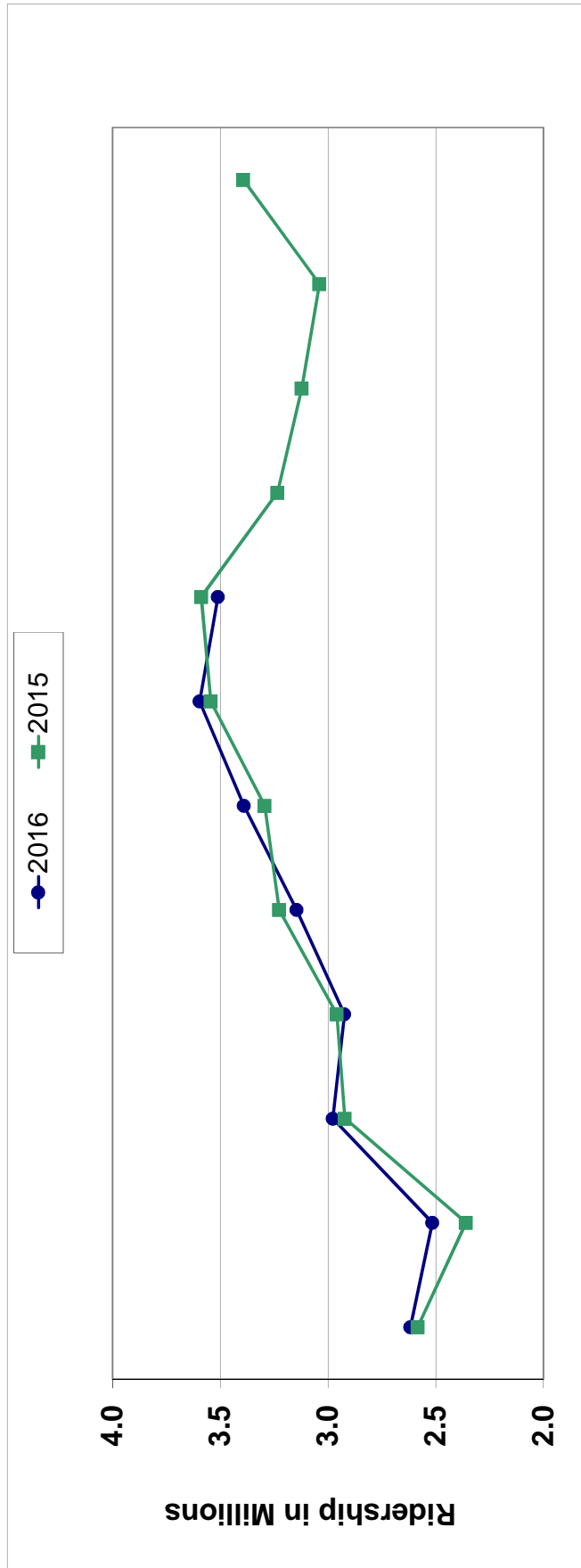
- August's Commutation Ridership was 3.6% above '15 and 3.0% above Mid-Year Forecast.



	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total
2016	3.9	4.1	4.8	4.3	4.3	4.6	4.0	4.4					34.5
2015	3.6	4.0	4.6	4.2	4.2	4.5	4.0	4.3	4.3	4.4	4.2	4.2	33.4
PCT CHG.	6.8%	3.4%	3.2%	3.7%	3.3%	2.1%	0.4%	3.6%					3.3%

AUGUST NON-COMMUTATION RIDERSHIP

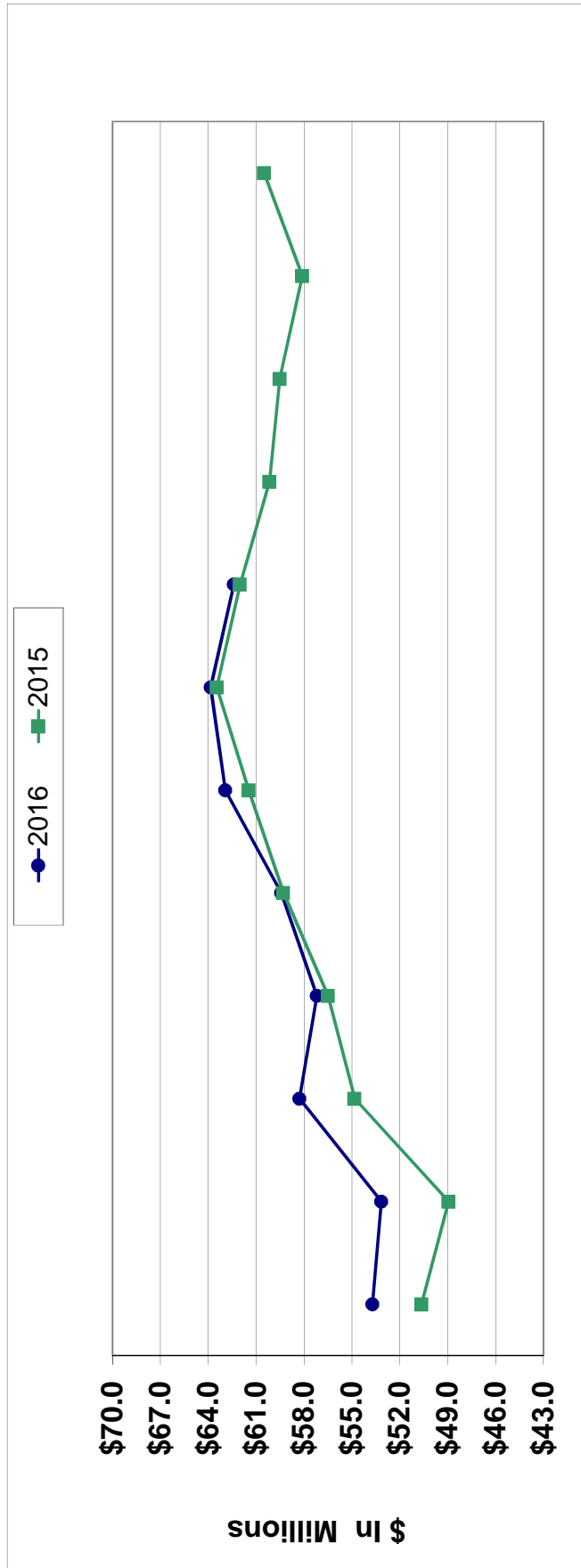
•August's Non-Commutation Ridership was -2.1% below '15 and -3.4% below Mid-Year Forecast.



		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2016		2.6	2.5	3.0	2.9	3.1	3.4	3.6	3.5					24.7
2015		2.6	2.4	2.9	3.0	3.2	3.3	3.5	3.6	3.2	3.1	3.0	3.4	24.5
PCT CHG.		1.4%	6.6%	1.9%	-1.2%	-2.5%	2.9%	1.5%	-2.1%					0.8%

AUGUST REVENUE

- August's Total Revenue was 0.6% above '15 and -0.5% below Mid-Year Forecast.



	Y-T-D											
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
2016	\$53.7	\$53.1	\$58.3	\$57.2	\$59.4	\$62.9	\$63.9	\$62.4				\$471.0
2015	\$50.6	\$48.9	\$54.8	\$56.5	\$59.3	\$61.5	\$63.5	\$62.0	\$60.2	\$59.5	\$58.1	\$60.5
PCT CHG.	6.1%	8.6%	6.3%	1.2%	0.2%	2.4%	0.6%	0.6%				3.0%

**MTA LONG ISLAND RAIL ROAD
RIDERSHIP SUMMARY
AUGUST 2016**

TICKET TYPE/SERVICE	AUGUST 2016	AUGUST 2015	CHANGE VS. 2015	
			NUMBER	PERCENT
COMMUTATION RIDERSHIP	4,428,754	4,274,866	153,888	3.6%
NON-COMMUTATION RIDERSHIP	3,511,297	3,588,199	(76,902)	-2.1%
TOTAL RIDERSHIP	7,940,051	7,863,065	76,986	1.0%

**MTA LONG ISLAND RAIL ROAD
RIDERSHIP SUMMARY
2016 YEAR-TO-DATE**

TICKET TYPE/SERVICE	AUGUST 2016	AUGUST 2015	CHANGE VS. 2015	
			NUMBER	PERCENT
COMMUTATION RIDERSHIP	34,462,171	33,373,630	1,088,540	3.3%
NON-COMMUTATION RIDERSHIP	24,677,880	24,473,636	204,244	0.8%
TOTAL RIDERSHIP	59,140,051	57,847,266	1,292,784	2.2%

* 2015 ridership numbers were adjusted using 2016 factors.

**MTA LONG ISLAND RAIL ROAD
REVENUE SUMMARY
AUGUST 2016**

REVENUE	AUGUST 2016	AUGUST 2015	CHANGE VS. 2015	
			AMOUNT	PERCENT
COMMUTATION REVENUE	\$29,536,267	\$28,657,166	\$879,101	3.1%
NON-COMMUTATION REVENUE	\$32,854,331	\$33,356,010	(\$501,679)	-1.5%
TOTAL REVENUE	\$62,390,598	\$62,013,176	\$377,422	0.6%

**MTA LONG ISLAND RAIL ROAD
REVENUE SUMMARY
2016 YEAR-TO-DATE**

REVENUE	AUGUST 2016	AUGUST 2015	CHANGE VS. 2015	
			AMOUNT	PERCENT
COMMUTATION REVENUE	\$245,000,408	\$235,813,014	\$9,187,394	3.9%
NON-COMMUTATION REVENUE	\$225,954,785	\$221,329,658	\$4,625,127	2.1%
TOTAL REVENUE	\$470,955,193	\$457,142,671	\$13,812,521	3.0%



Long Island Rail Road

CAPITAL PROGRAM REPORT

**LONG ISLAND RAIL ROAD
CAPITAL PROGRAM HIGHLIGHTS & UPDATES
SEPTEMBER 2016**

HIGHLIGHTS

L60304TU: JAMAICA CAPACITY IMPROVEMENTS PHASE I

Project Budget: \$301.65M

Milestone: Contract Award – Construction of Additional Jamaica Station Platform

A Contract for construction of an additional Platform in Jamaica and associated infrastructure Modifications was awarded to E.E. Cruz and Company Inc. for \$64,875,500. Construction of the additional Platform is needed to support LIRR service to Atlantic Terminal and Penn Station, along with East Side Access to Grand Central Terminal. This work, along with key crossovers to be installed under this project, will facilitate operational needs associated with continued improvements to Jamaica infrastructure under the Phase II of Jamaica Capacity Improvements. The new platform will have full connectivity with the rest of Jamaica Station with the extension of the westerly passenger bridge, and new escalator and elevator access to existing portal mezzanine to NYC Transit, the Air Train to JFK Airport, and local bus service at street level.

L60301TG: ATLANTIC BRANCH HALF-TIES

Project Budget: \$29.40M

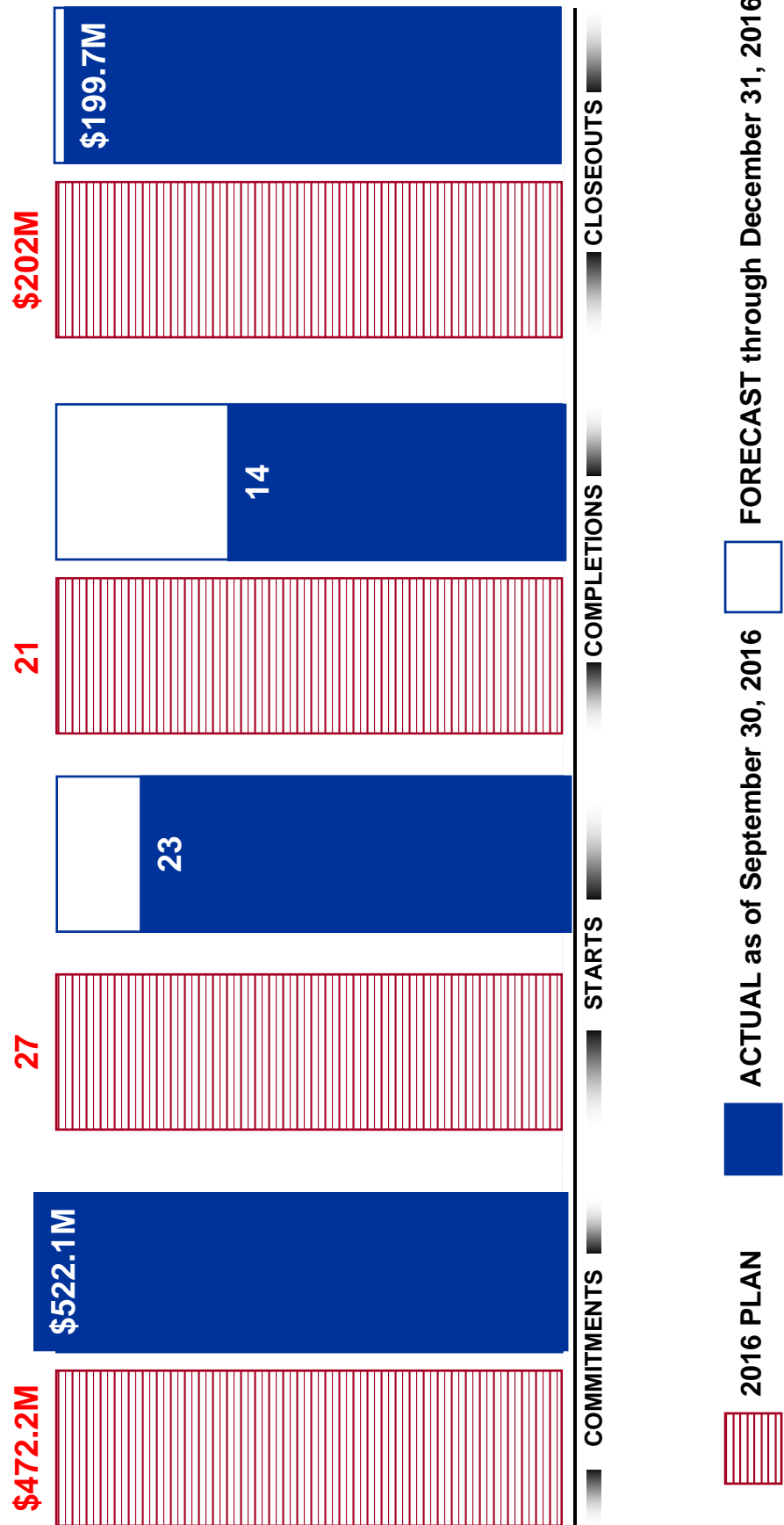
Milestone: Beneficial Use

The replacement of 27,367 deteriorated ties in the Atlantic Branch tunnel between Jamaica and East New York is complete. The replacement work includes installation of the new half-tie rail fastening system [composite block ties, rail plate and clips, lag screws, and rubber insulating pads] and repair of the deteriorated concrete track bed in various locations. This project is part of LIRR's continuous efforts to maintain its vital track structure in a state of good repair.

SMALL BUSINESS MENTOR PROGRAM [SBMP] ACTIVITIES

- Long Beach Branch Equipment Platforms: Work continued.
- DPM Office Fit-out at Hillside: Work continued.
- Morris Park Communication Building: Construction continued.
- Stations Air Conditioning Installations: Submittals in process.
- DOT Bridge Painting: Procurement in process.
- Locust Manor Railings: Procurement in process.
- Colonial Road Landscaping: Contract awarded.

2016 LIRR Capital Program Goals





Metro-North Railroad

Operations Report

Performance Summary			2016 Data			2015 Data	
			Annual Goal	September	YTD thru September	September	YTD thru September
On Time Performance <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i>	System	Overall	93.0%	95.5%	93.9%	96.3%	93.2%
		AM Peak	93.0%	95.7%	92.5%	94.4%	90.5%
		AM Reverse Peak	93.0%	96.9%	95.4%	98.0%	94.4%
		PM Peak	93.0%	96.7%	94.8%	97.1%	95.6%
		Total Peak	93.0%	96.3%	93.9%	96.1%	93.2%
		Off Peak Weekday	93.0%	94.0%	92.6%	95.9%	92.2%
		Weekend	93.0%	97.4%	96.5%	97.2%	95.3%
	Hudson Line	Overall	93.0%	95.3%	95.0%	96.5%	94.0%
		AM Peak	93.0%	96.3%	92.3%	94.7%	91.5%
		AM Reverse Peak	93.0%	98.3%	97.0%	98.7%	97.0%
		PM Peak	93.0%	96.6%	96.6%	96.1%	96.9%
		Total Peak	93.0%	96.7%	94.7%	95.8%	94.4%
		Off Peak Weekday	93.0%	92.8%	94.0%	96.6%	92.9%
		Weekend	93.0%	97.7%	97.1%	97.5%	95.4%
	Harlem Line	Overall	93.0%	96.6%	94.8%	96.9%	94.0%
		AM Peak	93.0%	95.8%	93.8%	93.9%	91.1%
		AM Reverse Peak	93.0%	97.7%	96.0%	97.5%	94.6%
		PM Peak	93.0%	98.1%	94.6%	97.8%	95.3%
		Total Peak	93.0%	97.1%	94.5%	96.1%	93.4%
		Off Peak Weekday	93.0%	95.4%	94.1%	96.8%	93.7%
		Weekend	93.0%	98.2%	96.8%	98.8%	95.8%
	New Haven Line	Overall	93.0%	94.9%	92.6%	95.6%	92.2%
		AM Peak	93.0%	95.2%	91.6%	94.7%	89.2%
		AM Reverse Peak	93.0%	95.2%	94.0%	98.1%	92.7%
		PM Peak	93.0%	95.6%	93.7%	97.2%	95.1%
		Total Peak	93.0%	95.4%	92.8%	96.2%	92.1%
		Off Peak Weekday	93.0%	93.7%	90.8%	95.0%	90.8%
		Weekend	93.0%	96.6%	95.9%	96.0%	94.8%
Operating Statistics							
	Trains Scheduled			19,230	173,525	19,319	173,080
	Avg. Delay per Late Train (min) <i>excluding trains canceled or terminated</i>			11.4	13.0	10.7	11.8
	Trains Over 15 min. Late <i>excluding trains canceled or terminated</i>		1,800	123	2,042	93	1,997
	Trains Canceled		220	12	271	8	229
	Trains Terminated		220	20	269	13	268
	Percent of Scheduled Trips Completed		99.7%	99.8%	99.7%	99.9%	99.7%
Consist Compliance <i>(Percent of trains where the number of seats provided was greater than or equal to the required number of seats per loading standards)</i>	System	Overall	99.8%	99.5%	99.6%	99.8%	99.6%
		AM Peak	99.8%	98.7%	99.1%	99.5%	99.4%
		AM Reverse Peak	99.8%	100.0%	99.9%	100.0%	99.9%
		PM Peak	99.8%	99.1%	99.1%	99.7%	98.9%
		Total Peak	99.8%	99.1%	99.2%	99.6%	99.3%
		Off Peak Weekday	99.8%	99.8%	99.8%	99.9%	99.8%
		Weekend	99.8%	99.9%	99.9%	99.9%	99.9%
	Hudson Line	AM Peak	99.8%	99.9%	99.9%	99.9%	99.9%
		PM Peak	99.8%	100.0%	99.9%	100.0%	99.8%
	Harlem Line	AM Peak	99.8%	99.1%	99.2%	99.1%	99.1%
		PM Peak	99.8%	99.0%	99.0%	99.5%	98.9%
	New Haven Line	AM Peak	99.8%	97.5%	98.5%	99.5%	99.2%
		PM Peak	99.8%	98.6%	98.5%	99.7%	98.3%

SYSTEM Category of Delay

Delay Minutes / Delay Threshold	% Total	August	2016 Data YTD thru September		2015 Data YTD thru September		YTD 2016 Vs 2015
Engineering (Scheduled)	19.9%	641	389	2,637	172	2,696	-59
Engineering (Unscheduled)	36.7%	1,792	719	8,392	537	10,914	-2,522
Maintenance of Equipment	18.3%	873	359	3,791	238	3,656	135
Transportation	4.0%	134	79	709	70	773	-64
Capital Projects	0.3%	4	6	99	1	24	75
Weather and Environmental	1.4%	161	27	1,866	39	2,200	-334
Police	11.5%	172	226	2,888	79	1,704	1,184
Customers	4.3%	102	84	836	102	1,018	-182
Other	3.4%	112	67	3,143	183	1,681	1,462
3rd Party Operations	0.1%	0	1	27	1	57	-30
TOTAL	100.0%	3,991	1,957	24,388	1,422	24,723	-335

HUDSON LINE	% Total	August	September	YTD thru September	September	YTD thru September	YTD 2016 Vs 2015
Engineering	28.7%	241	125	1,438	161	2,382	-944
Maintenance of Equipment	33.1%	103	144	1,013	64	776	237
Transportation	3.2%	25	14	133	12	161	-28
Capital Projects	0.0%	0	0	4	0	0	4
Weather and Environmental	0.0%	29	0	295	24	421	-126
Police	20.5%	21	89	374	10	264	110
Customers	8.5%	36	37	219	20	286	-67
Other	6.0%	43	26	769	20	405	364
3rd Party Operations	0.0%	0	0	2	1	7	-5
TOTAL	100.0%	498	435	4,247	312	4,702	-455

HARLEM LINE	% Total	August	September	YTD thru September	September	YTD thru September	YTD 2016 Vs 2015
Engineering	44.2%	360	176	2,117	127	3,052	-935
Maintenance of Equipment	30.4%	200	121	1,024	72	893	131
Transportation	7.8%	36	31	215	16	192	23
Capital Projects	0.0%	0	0	1	0	0	1
Weather and Environmental	2.0%	28	8	744	4	736	8
Police	11.6%	33	46	751	31	671	80
Customers	2.8%	22	11	204	32	252	-48
Other	1.3%	18	5	958	13	491	467
3rd Party Operations	0.0%	0	0	1	0	0	1
TOTAL	100.0%	697	398	6,015	295	6,287	-272

NEW HAVEN LINE	% Total	August	September	YTD thru September	September	YTD thru September	YTD 2016 Vs 2015
Engineering	56.9%	1,191	419	4,837	249	5,481	-644
Maintenance of Equipment	12.8%	570	94	1,754	101	1,987	-233
Transportation	4.6%	74	34	362	42	420	-58
Capital Projects	0.8%	4	6	94	0	23	71
Weather and Environmental	2.6%	104	19	827	11	1,043	-216
Police	12.5%	118	92	1,763	39	770	993
Customers	4.9%	43	36	413	50	480	-67
Other	4.9%	50	36	1,416	150	785	631
3rd Party Operations	0.1%	0	1	24	0	49	-25
TOTAL	100.0%	2,154	737	11,490	642	11,038	452



**OPERATING REPORT
For The Month of September 2016**

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

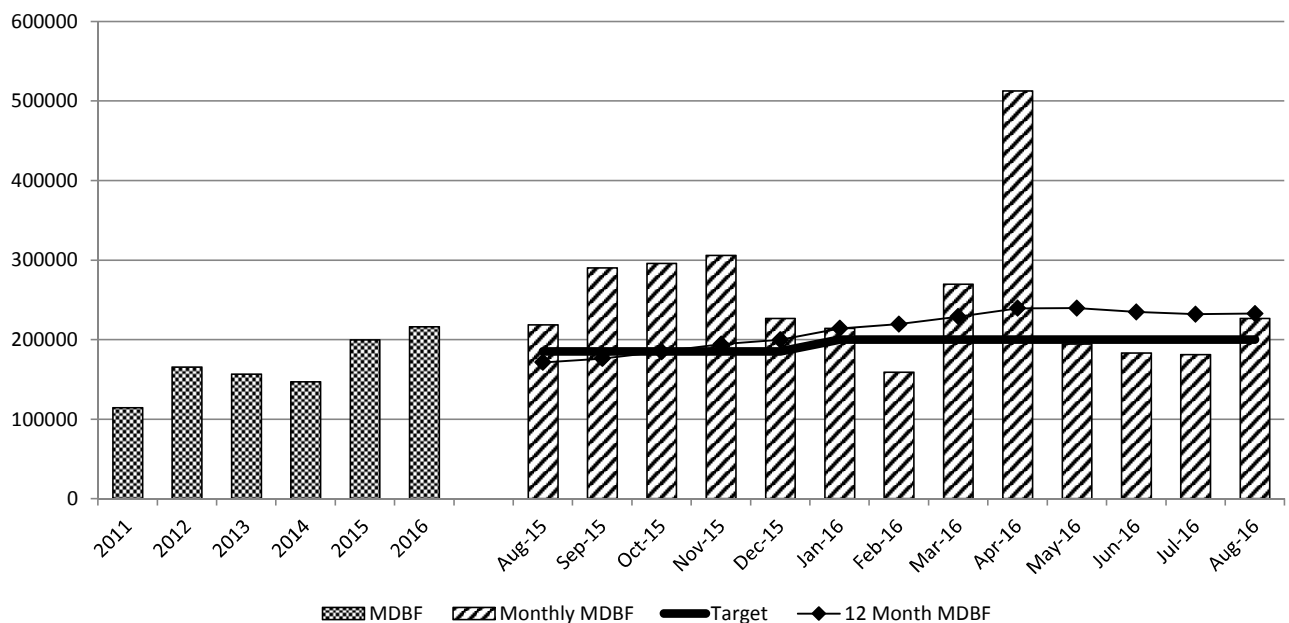
DateDayDESCRIPTION OF EVENT			Number of Late Trains														
			AM Peak			AM Reverse			PM Peak			Off Peak			TOTAL		
			L	C	T	L	C	T	L	C	T	L	C	T	Late	Cxld	Term
09/06	Tue	A ground to the overhead wire on track 1 between Cat 130 and Cat 54.	1	0	0	1	0	0	1	0	0	15	0	0	18	0	0
09/14	Wed	Tree branches in the feeder wire at Hoyt Street.	0	0	0	0	0	0	0	1	5	6	3	1	6	4	6
09/14	Wed	A trespasser threatened to jump off the pedestrian bridge at Yankee - E. 153rd Street.	0	0	0	0	0	0	0	0	0	16	2	6	16	2	6
09/23	Fri	Congestion account the M4B track circuit is down at on track 4 at CP5.	0	0	0	0	0	0	8	0	0	18	0	0	26	0	0
09/30	Fri	Train 357 delayed on track 1 at 125th Street account inoperative windshield wiper.	0	0	0	0	0	0	13	0	0	8	0	0	21	0	0
09/30	Fri	The TK4A track circuit on track 4 at CP112 down causing congestion from CP112 - CP5.	53	0	0	8	0	0	0	0	0	8	0	0	69	0	0
TOTAL FOR MONTH			54	0	0	9	0	0	22	1	5	71	5	7	156	6	12
			174														

	Equip- ment Type	Total Fleet Size	2016 Data						2015 Data		
			MDBF Goal (miles)	Aug MDBF (miles)	Primary Failure Goal	Aug No. of Primary Failures	YTD MDBF thru Aug (miles)	12 month MDBF Rolling Avg (miles)	Aug MDBF (miles)	Aug No. of Primary Failures	YTD MDBF thru Aug (miles)
Mean Distance Between Failures	M2	36	20,000	56,183	3	1	29,957	33,700	36,152	0	38,407
	M8	405	300,000	387,013	8	7	454,132	386,387	657,537	4	278,087
	M3	138	135,000	339,351	2	0	92,029	117,673	147,404	2	129,009
	M7	334	460,000	240,337	4	9	460,454	568,766	350,300	6	406,984
	Coach	210	295,000	302,577	5	5	213,517	248,278	491,487	3	293,278
	P-32	31	30,000	28,409	6	7	23,313	25,553	17,473	11	21,445
	BL-20	12	13,000	20,849	3	2	35,425	30,169	8,701	5	14,093
	Fleet	1166	200,000	226,487	31	31	216,059	232,721	218,486	31	175,833
	M2/8		200,000	345,659	11	8	366,371	325,207	305,801	9	172,446
	M3/7		320,000	278,043	6	9	305,953	385,890	306,391	8	320,273
	Diesel/Coach		120,000	125,246	14	14	104,407	114,812	102,173	17	102,238

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 2011 - 2016



West of Hudson Performance Summary			2016 Data			2015 Data	
			Annual Goal	September	YTD thru September	September	YTD thru September
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%	93.2%	96.4%	97.2%	95.0%
		AM Peak	95.5%	94.6%	96.0%	99.0%	95.0%
		PM Peak	95.5%	88.6%	96.5%	97.8%	94.8%
		Total Peak	95.5%	91.7%	96.2%	98.4%	94.9%
		Off Peak Weekday	95.5%	92.4%	96.3%	96.8%	94.8%
		Weekend	95.5%	97.4%	96.7%	95.9%	95.3%
	Pascack Line	Overall	96.5%	95.2%	96.9%	98.2%	95.2%
	Valley Line	AM Peak	96.5%	95.8%	96.6%	98.8%	95.3%
		PM Peak	96.5%	94.6%	97.4%	97.3%	94.5%
		Total Peak	96.5%	95.2%	97.0%	98.1%	94.9%
		Off Peak Weekday	96.5%	93.5%	96.8%	98.5%	95.2%
		Weekend	96.5%	98.6%	97.1%	97.7%	95.6%
	Port Jervis Line	Overall	95.0%	90.3%	95.5%	95.8%	94.6%
		AM Peak	95.0%	92.9%	95.1%	99.2%	94.5%
		PM Peak	95.0%	81.6%	95.4%	98.4%	95.3%
		Total Peak	95.0%	87.3%	95.3%	98.8%	94.9%
		Off Peak Weekday	95.0%	90.8%	95.5%	94.5%	94.2%
		Weekend	95.0%	95.3%	95.9%	92.9%	94.9%
Operating Statistics	Trains Scheduled			1,669	15,135	1,669	15,057
	Avg. Delay per Late Train (min) <small>excluding trains canceled or terminated</small>			18.2	20.8	17.8	18.9
	Trains Over 15 min. Late <small>excluding trains canceled or terminated</small>		200	26	236	16	282
	Trains Canceled		60	34	60	3	63
	Trains Terminated		60	25	55	5	45
	Percent of Scheduled Trips Completed		99.4%	96.5%	99.2%	99.5%	99.3%



SEPTEMBER 2016 STANDEE REPORT

East of Hudson

East of Hudson			SEPT 2015	YTD 2015	SEPT 2016	YTD 2016
Daily Average AM Peak	Hudson Line	Program Standees	0	0	0	0
		Add'l Standees	0	0	0	0
		Total Standees	0	0	0	0
	Harlem Line	Program Standees	0	0	0	0
		Add'l Standees	42	20	34	17
		Total Standees	42	20	34	17
	New Haven Line	Program Standees	0	0	0	0
		Add'l Standees	9	14	29	28
		Total Standees	9	14	29	28
	EAST OF HUDSON TOTAL - AM PEAK		51	34	63	45
Daily Average PM Peak	Hudson Line	Program Standees	0	0	0	0
		Add'l Standees	0	2	0	1
		Total Standees	0	2	0	1
	Harlem Line	Program Standees	0	0	0	0
		Add'l Standees	3	23	9	17
		Total Standees	3	23	9	17
	New Haven Line	Program Standees	0	0	0	0
		Add'l Standees	8	30	32	46
		Total Standees	8	30	32	46
	EAST OF HUDSON TOTAL - PM PEAK		11	55	41	64

West of Hudson

West of Hudson			SEPT 2015	YTD 2015	SEPT 2016	YTD 2016
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	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%.

Note: These statistics do not include the effects of daily ridership variation or uneven distribution of customers within trains. Holidays and Special Events for which there are special equipment programs are not included.

The September 2016 and YTD 2016 East of Hudson numbers shown above reflect a correction to the September 2016 report previously issued, which contained a calculation error.

ELEVATOR AND ESCALATOR OPERATING REPORT FOR MONTH OF September 2016

Elevator Availability	2016		2015	
	September	Year to Date	September	Year to Date
Grand Central Terminal	99.19%	98.75%	100.00%	98.86%
Harlem	100.00%	99.71%	97.50%	99.37%
Hudson	100.00%	99.86%	99.85%	99.72%
New Haven	100.00%	99.76%	100.00%	99.95%
Overall Average	99.80%	99.52%	99.34%	99.47%

Escalator Availability	2016		2015	
	September	Year to Date	September	Year to Date
Grand Central Terminal	99.50%	98.45%	98.58%	97.74%
White Plains	100.00%	100.00%	100.00%	99.83%
Overall Average	99.75%	99.23%	99.29%	98.79%



Metro-North Railroad

Finance Report



FINANCIAL STATEMENTS
MONTH ENDED: AUGUST 2016

OFFICE OF VICE PRESIDENT OF FINANCE & INFORMATION SYSTEMS

**MTA METRO-NORTH RAILROAD
AUGUST 2016 FINANCIAL REPORT
YEAR TO DATE ACTUAL VERSUS MID-YEAR FORECAST
(\$ in millions)**

SUMMARY

August 2016 YTD Net Deficit (Non-Reimbursable and Reimbursable) of \$495.7 million was \$12.9 million or 2.5% lower than the Mid-Year Forecast. The month of August Net Deficit (Non-Reimbursable and Reimbursable) of \$70.0 million was \$4.6 million or 7.0% higher than the Mid-Year Forecast.

Major drivers of the August 2016 YTD favorable results of \$12.9 million include lower Non-Reimbursable Expenses of \$21.4 million primarily due to a non-cash adjustment to reflect Metro-North's net pension liability (\$14.2 million), timing of both maintenance contracts and professional services expenditures (\$11.4 million), lower than budgeted energy rates for both electric power and fuel (\$4.4 million) and lower depreciation expense due to timing of capitalization of assets (\$2.5 million). Partly offsetting these favorable expense results were the reallocation of reimbursable project forces to operations (\$5.2 million), higher materials & supplies expense related to the component change-out shops, support shop work and on-going repairs (\$3.0 million), higher claims expense related to the Bridgeport derailment (\$2.0 million) as well as higher other fringe benefits primarily due to increased employee claims (\$1.0 million). In addition, Non-Reimbursable Revenues were \$8.5 million unfavorable due to lower farebox revenue (\$6.4 million) reflecting lower overall ridership and lower other operating revenue due to timing of GCT rental income and decreased advertising revenue (\$2.1 million).

August 2016 YTD Reimbursable results (Capital and Other Reimbursements) of \$130.2 million was \$0.7 million lower than the Mid-Year Forecast primarily due to timing for several capital projects including NH Yard – Component Change Out, GCT Turnouts Switch Renewal and Turnouts Mainline/ High Speed partially offset by higher contractual expenditures for the Positive Train Control project.

REVENUE/RIDERSHIP

- Farebox Revenue – YTD was lower than the Mid-Year Forecast by \$6.4 million (1.4%) primarily due to the non-commutation ridership losses from the fire under the Park Avenue Viaduct on May 17th as well as lower than forecasted ridership growth. For the month, revenue was \$1.5 million lower than the Mid-Year Forecast primarily reflecting lower non-commutation ridership.
- YTD Ridership of 57.1 million was 1.2% below the Mid-Year Forecast and 0.6% higher than YTD 2015. August ridership of 7.4 million was 2.2% below the Mid-Year Forecast and 0.6% lower than 2015.
- YTD East of Hudson Ridership of 56.0 million was 1.1% below the Mid-Year Forecast and 0.6% higher than YTD 2015. East of Hudson ridership for August of 7.3 million was 2.2% lower than the Mid-Year Forecast and 0.8% lower than 2015.
 - YTD commutation ridership of 32.6 million was 0.8% lower than the Mid-Year Forecast and 1.1% higher than YTD 2015. August commutation ridership of 4.1 million was 0.8% lower than the Mid-Year Forecast and 1.2% higher than 2015.
 - YTD non-commutation ridership of 23.4 million was 1.5% below the Mid-Year Forecast and in line with YTD 2015. August non-commutation ridership of 3.2 million was 4.0% lower than the Mid-Year Forecast and 3.1% lower than 2015.
- YTD West of Hudson Ridership of 1.1 million was 3.3% lower than the Mid-Year Forecast and 0.7% lower than YTD 2015. August ridership of 0.2 million was 2.8% lower than the Mid-Year Forecast and 5.4% higher than 2015.
- **Other Operating Revenue** – YTD was \$2.1 million (5.0%) below the Mid-Year Forecast reflecting timing of GCT rental income and lower advertising revenue. For the month, revenue was \$0.2 million below the Mid-Year Forecast.
- **Capital and Other Reimbursements** – YTD was \$0.7 million higher than the Mid-Year Forecast due to scheduling and timing changes noted above. For the month, reimbursements were \$2.5 million lower than the Mid-Year Forecast.

TOTAL EXPENSES

Total Expenses – YTD expenses of \$1,118.2 million were \$22.2 million or 1.9% lower than the Mid-Year Forecast through August. For the month, expenses of \$151.6 million were \$0.3 million or 0.2% higher than the Mid-Year Forecast.

Labor Expenses (including fringes and overhead recoveries) of \$675.4 million YTD were \$5.6 million higher than the Mid-Year Forecast. For the month, expenses of \$90.3 million were \$2.1 million higher than the Mid-Year Forecast.

- **Payroll** – YTD was \$0.2 million below the Mid-Year Forecast due to unfilled positions. For the month, expenses were \$0.8 million below the Mid-Year Forecast.
- **Overtime** – YTD was \$4.2 million above the Mid-Year Forecast due to higher Reimbursable project activity and accelerated infrastructure maintenance, partially offset by improved employee availability for train service coverage and fewer weather events. For the month, expenses were \$1.1 million above the Mid-Year Forecast.

Non-Labor Expenses of \$254.8 million YTD were \$10.2 million lower than the Mid-Year Forecast. For the month, expenses of \$36.6 million were lower by \$0.5 million compared to the Mid-Year Forecast.

- **Electric Power** – Lower rates yielded favorable results vs. the Mid-Year Forecast of \$3.3 million YTD and \$0.1 million for the month.
- **Fuel** – YTD expenses were lower by \$1.0 million due to lower diesel fuel prices per gallon. For the month, expenses were \$0.1 million below when compared to the Mid-Year Forecast.
- **Maintenance & Other Operating Contracts** – \$5.8 million below the YTD Mid-Year Forecast primarily due to timing of Non-Reimbursable expenses for maintenance services, contracted repairs of M-8 equipment damaged in the Bridgeport derailment, M7 Systems Equipment Replacement Project and RCM technical support as well as lower expenditures for GCT utilities. For the month, expenses were \$0.6 million higher than the Mid-Year Forecast.
- **Professional Services** – YTD was \$1.9 million below the Mid-Year Forecast primarily due to timing of Reimbursable project activity partially offset by the timing of Non-Reimbursable expenses for consulting and engineering services, market research studies, advertising and outside training. For the month, expenses were favorable by \$2.5 million compared to the Mid-Year Forecast.
- **Materials & Supplies** – YTD was \$0.4 million below the Mid-Year Forecast primarily due to timing of Reimbursable project activity mostly offset by higher Non-Reimbursable expenses for rolling stock parts and supplies related to the component change-out shops, support shop work and on-going repairs as well as purchase price adjustments. For the month, expenses were \$1.0 million below the Mid-Year Forecast.
- **Other Business Expenses** – YTD expenses were on target with the Mid-Year Forecast. For the month, expenses were \$0.2 million higher than the Mid-Year Forecast.

Depreciation and Other Non-Cash Liability Adjustments were \$17.5 million YTD lower than the Mid-Year Forecast primarily due to the GASB 68 Pension Adjustment (\$14.2 million), timing of the capitalization of assets (\$2.5 million) and environmental remediation (\$0.8 million). For the month, expenses were \$1.3 million below the Mid-Year Forecast.

CASH DEFICIT SUMMARY

August YTD Net Cash Deficit of \$302.2 million was \$1.6 million or 0.5% favorable to the Mid-Year Forecast primarily due to lower expenditures for maintenance and professional services (\$17.9 million) and lower subsidy payments to New Jersey Transit (\$2.4 million) largely offset by lower receipts (\$7.2 million), timing of payments for fringe benefits (\$8.3 million) and timing of materials being placed into inventory (\$2.9 million).

FINANCIAL PERFORMANCE MEASURES

August YTD performance indicators primarily reflect lower overall expenses:

- Adjusted Farebox Operating Ratio of 66.7% was 1.4% higher than the Mid-Year Forecast.
- Adjusted Cost per Passenger of \$13.48 was \$0.35 lower than the Mid-Year Forecast.
- Revenue per Passenger of \$8.17 was \$0.02 lower than the Mid-Year Forecast.

MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
ACCURAL STATEMENT OF OPERATIONS by CATEGORY
August 2016
(\$ in millions)

SCHEDULE I - A

	Nonreimbursable				Reimbursable				Total			
	Favorable (Unfavorable)				Favorable (Unfavorable)				Favorable (Unfavorable)			
	Mid-Year Forecast	Actual	Variance	Percent	Mid-Year Forecast	Actual	Variance	Percent	Mid-Year Forecast	Actual	Variance	Percent
Revenue												
Farebox Revenue	\$59,396	\$57,877	(\$1,519)	(2.6)	\$0,000	\$0,000	\$0,000	-	\$59,396	\$57,877	(\$1,519)	(2.6)
Vehicle Toll Revenue	0,000	0,000	0,000	-	0,000	0,000	0,000	-	0,000	0,000	0,000	-
Other Operating Revenue	4,911	4,670	(0,240)	(4.9)	0,000	0,000	0,000	-	4,911	4,670	(0,240)	(4.9)
<i>Capital & Other Reimbursements:</i>												
MTA	0,000	0,000	0,000	-	0,000	8,628	(1,631)	(15.9)	10,259	8,628	(1,631)	(15.9)
CDOT	0,000	0,000	0,000	-	9,531	9,251	(0,280)	(2.9)	9,531	9,251	(0,280)	(2.9)
Other	0,000	0,000	0,000	-	1,734	1,157	(0,577)	(33.3)	1,734	1,157	(0,577)	(33.3)
Total Capital and Other Reimbursements	0,000	0,000	0,000	-	21,525	19,036	(2,488)	(11.6)	21,525	19,036	(2,488)	(11.6)
Total Revenue/Receipts	\$64,307	\$62,548	(\$1,759)	(2.7)	\$21,525	\$19,036	(\$2,488)	(11.6)	\$85,832	\$81,584	(\$4,248)	(4.9)
Expenses												
<i>Labor:</i>												
Payroll	\$41,362	\$42,567	(\$1,205)	(2.9)	\$4,793	\$4,359	\$0,433	9.0	\$46,155	\$46,926	(\$0,772)	(1.7)
Overtime	7,794	8,051	(0,257)	(3.3)	1,531	2,345	(0,815)	(53.2)	9,325	10,397	(1,072)	(11.5)
Health and Welfare	9,040	9,208	(0,167)	(1.8)	1,487	1,476	0,011	0.7	10,527	10,683	(0,156)	(1.5)
OPEB Current Payment	2,423	2,533	(0,110)	(4.5)	0,000	0,000	0,000	-	2,423	2,533	(0,110)	(4.5)
Pensions	7,850	7,998	(0,149)	(1.9)	0,971	0,990	(0,018)	(1.9)	8,821	8,988	(0,167)	(1.9)
Other Fringe Benefits	9,936	9,635	0,302	3.0	1,120	1,141	(0,021)	(1.9)	11,056	10,776	0,281	2.5
Reimbursable Overhead	(4,204)	(4,724)	0,521	12.4	4,023	4,688	(0,665)	(16.5)	(0,181)	(0,036)	(0,145)	(80.1)
Total Labor	\$74,202	\$75,268	(\$1,066)	(1.4)	\$13,925	\$15,000	(\$1,075)	(7.7)	\$88,127	\$90,268	(\$2,141)	(2.4)
<i>Non-Labor:</i>												
Electric Power	\$5,686	\$5,613	\$0,083	1.5	\$0,000	\$0,001	(\$0,001)	-	\$5,686	\$5,614	\$0,083	1.4
Fuel	1,212	1,125	0,088	7.2	0,000	0,000	0,000	-	1,212	1,125	0,088	7.2
Insurance	1,624	1,591	0,033	2.0	0,380	0,502	(0,122)	(32.0)	2,004	2,093	(0,089)	(4.4)
Claims	0,106	2,481	(2,375)	*	0,000	0,000	0,000	-	0,106	2,481	(2,375)	*
Paratransit Service Contracts	0,000	0,000	0,000	-	0,000	0,000	0,000	-	0,000	0,000	0,000	-
Maintenance and Other Operating Contracts	9,293	10,106	(0,813)	(8.7)	0,804	0,588	0,217	26.9	10,098	10,694	(0,596)	(5.9)
Professional Service Contracts	3,899	2,584	1,314	33.7	1,799	0,576	1,223	68.0	5,698	3,160	2,538	44.5
Materials & Supplies	6,481	7,676	(1,195)	(18.4)	4,579	2,352	2,227	48.6	11,060	10,029	1,032	9.3
Other Business Expenses	1,215	1,435	(0,221)	(18.2)	0,036	0,018	0,019	51.4	1,251	1,453	(0,202)	(16.2)
Total Non-Labor	\$29,527	\$32,612	(\$3,086)	(10.5)	\$7,600	\$4,036	\$3,563	46.9	\$37,126	\$36,649	\$0,477	1.3
<i>Other Adjustments:</i>												
Other	0,000	0,000	0,000	-	0,000	0,000	0,000	-	0,000	0,000	0,000	-
Total Other Adjustments	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-
Total Expenses before Non-Cash Liability Adjs.	\$103,729	\$107,880	(\$4,152)	(4.0)	\$21,525	\$19,036	\$2,488	11.6	\$125,253	\$126,916	(\$1,663)	(1.3)
Depreciation	19,883	18,976	0,907	4.6	0,000	0,000	0,000	-	19,883	18,976	0,907	4.6
OPEB Obligation	5,693	5,693	0,000	0.0	0,000	0,000	0,000	-	5,693	5,693	0,000	0.0
GASB68 Pension Adjustment**	0,000	0,000	0,000	-	0,000	0,000	0,000	-	0,000	0,000	0,000	-
Environmental Remediation	0,417	0,000	0,417	100.0	0,000	0,000	0,000	-	0,417	0,000	0,417	100.0
Total Expenses	\$129,721	\$132,550	(\$2,828)	(2.2)	\$21,525	\$19,036	\$2,488	11.6	\$151,246	\$151,586	(\$0,340)	(0.2)
Net Surplus/(Deficit)	(\$65,414)	(\$70,002)	(\$4,588)	(7.0)	\$0,000	\$0,000	\$0,000	-	(\$65,414)	(\$70,002)	(\$4,588)	(7.0)
<i>Cash Conversion Adjustments:</i>												
Depreciation	19,883	18,976	(0,907)	(4.6)	0,000	0,000	0,000	-	19,883	18,976	(0,907)	(4.6)
Operating/Capital	(2,093)	(2,359)	(0,266)	(12.7)	0,000	0,000	0,000	-	(2,093)	(2,359)	(0,266)	(12.7)
Other Cash Adjustments	11,243	13,927	2,684	23.9	0,000	0,000	0,000	-	11,243	13,927	2,684	23.9
Total Cash Conversion Adjustments	\$29,033	\$30,545	\$1,511	5.2	\$0,000	\$0,000	\$0,000	-	\$29,033	\$30,545	\$1,511	5.2
Net Cash Surplus/(Deficit)	(\$36,381)	(\$39,457)	(\$3,076)	(8.5)	\$0,000	\$0,000	\$0,000	-	(\$36,381)	(\$39,457)	(\$3,076)	(8.5)

Notes:
- Results are based on the preliminary close of the general ledger and are subject to review and adjustment. Please note that the current month's 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%.
* - GASB68 became effective 12/31/15

MTA METRO-NORTH RAILROAD JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST ACCURAL STATEMENT of OPERATIONS by CATEGORY August Year-To-Date (\$ in millions)													SCHEDULE I - B	
	Nonreimbursable				Reimbursable				Total					
	Mid-Year Forecast	Favorable (Unfavorable)			Mid-Year Forecast	Favorable (Unfavorable)			Mid-Year Forecast	Favorable (Unfavorable)				
		Actual	Variance	Percent		Actual	Variance	Percent		Actual	Variance	Percent		
Revenue														
Farebox Revenue	\$458,588	\$452,153	(\$6,435)	(1.4)	\$0,000	\$0,000	\$0,000	-	\$458,588	\$452,153	(\$6,435)	(1.4)		
Vehicle Toll Revenue	0,000	0,000	0,000	-	0,000	0,000	0,000	-	0,000	0,000	0,000	-		
Other Operating Revenue	42,244	40,131	(2,112)	(5.0)	0,000	0,000	0,000	-	42,244	40,131	(2,112)	(5.0)		
Capital & Other Reimbursements:														
MTA	0,000	0,000	0,000	-	64,903	60,761	(4,142)	(6.4)	64,903	60,761	(4,142)	(6.4)		
CDOT	0,000	0,000	0,000	-	51,380	54,208	2,828	5.5	51,380	54,208	2,828	5.5		
Other	0,000	0,000	0,000	-	14,618	15,186	0,568	3.9	14,618	15,186	0,568	3.9		
Total Capital and Other Reimbursements	0,000	0,000	0,000	-	130,901	130,155	(746)	(0.6)	130,901	130,155	(746)	(0.6)		
Total Revenue/Receipts	\$500,831	\$492,284	(\$8,548)	(1.7)	\$130,901	\$130,155	(\$746)	(0.6)	\$631,732	\$622,439	(\$9,293)	(1.5)		
Expenses														
Labor:														
Payroll	\$318,778	\$324,020	(\$5,242)	(1.6)	\$32,024	\$26,566	\$5,459	17.0	\$350,802	\$350,586	\$216	0.1		
Overtime	60,590	59,894	695	1.1	11,032	15,947	(4,915)	(44.6)	71,622	75,842	(4,220)	(5.9)		
Health and Welfare	69,014	69,488	(474)	(0.7)	9,861	9,169	692	7.0	78,875	78,656	218	0.3		
OP&B Current Payment	19,308	20,109	(801)	(4.1)	0,000	0,000	0,000	-	19,308	20,109	(801)	(4.1)		
Pensions	60,552	61,142	(590)	(1.0)	6,501	6,109	392	6.0	67,053	67,251	(198)	(0.3)		
Other Fringe Benefits	75,880	76,868	(988)	(1.3)	7,527	7,141	386	5.1	83,407	84,009	(602)	(0.7)		
Reimbursable Overhead	(31,698)	(31,912)	214	0.7	30,479	30,886	(407)	(1.3)	(1,219)	(1,026)	(192)	(15.8)		
Total Labor	\$572,422	\$579,609	(\$7,187)	(1.3)	\$97,425	\$95,818	\$1,607	1.6	\$669,848	\$675,427	(\$5,579)	(0.8)		
Non-Labor:														
Electric Power	\$45,664	\$42,346	\$3,318	7.3	\$0,000	\$0,060	(\$0,060)	-	\$45,664	\$42,406	\$3,258	7.1		
Fuel	9,813	8,771	1,042	10.6	0,000	0,000	0,000	-	9,813	8,771	1,042	10.6		
Insurance	12,670	12,482	1,188	1.5	2,856	3,244	(388)	(13.6)	15,526	15,726	(200)	(1.3)		
Claims	0,678	2,639	(1,961)	*	0,000	0,000	0,000	-	0,678	2,639	(1,961)	*		
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	75,357	68,171	7,186	9.5	8,112	9,457	(1,345)	(16.6)	83,470	77,629	5,841	7.0		
Professional Service Contracts	24,225	20,019	4,206	17.4	6,095	8,406	(2,312)	(37.9)	30,319	28,425	1,894	6.2		
Materials & Supplies	54,866	57,837	(2,971)	(5.4)	16,137	12,767	3,370	20.9	71,003	70,604	3,999	0.6		
Other Business Expenses	8,320	8,235	85	1.0	0,276	0,402	(0,126)	(45.8)	8,596	8,637	(41)	(0.5)		
Total Non-Labor	\$231,593	\$220,500	\$11,093	4.8	\$33,475	\$34,337	(\$861)	(2.6)	\$265,068	\$254,836	\$10,231	3.9		
Other Adjustments														
Other	0,000	0,000	0,000	-	0,000	0,000	0,000	-	0,000	0,000	0,000	-		
Total Other Adjustments	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-		
Total Expenses before Non-Cash Liability Adjs.	\$804,015	\$800,109	\$3,906	0.5	\$130,901	\$130,155	\$746	0.6	\$934,916	\$930,264	\$4,652	0.5		
Depreciation	157,367	154,840	2,527	1.6	0,000	0,000	0,000	-	157,367	154,840	2,527	1.6		
OP&B Obligation	45,544	45,544	0,000	0.0	0,000	0,000	0,000	-	45,544	45,544	0,000	0.0		
GASB68 Pension Adjustment**	0,000	(14,188)	14,188	-	0,000	0,000	0,000	-	0,000	(14,188)	14,188	-		
Environmental Remediation	2,500	1,708	792	31.7	0,000	0,000	0,000	-	2,500	1,708	792	31.7		
Total Expenses	\$1,009,426	\$988,012	\$21,414	2.1	\$130,901	\$130,155	\$746	0.6	\$1,140,326	\$1,118,167	\$22,159	1.9		
Net Surplus/(Deficit)	(\$508,595)	(\$495,728)	\$12,866	2.5	\$0,000	(\$0,000)	(\$0,000)	-	(\$508,595)	(\$495,728)	\$12,866	2.5		
Cash Conversion Adjustments:														
Depreciation	157,367	154,840	(2,527)	(1.6)	0,000	0,000	0,000	-	157,367	154,840	(2,527)	(1.6)		
Operating/Capital	(24,347)	(15,092)	9,255	38.0	0,000	0,000	0,000	-	(24,347)	(15,092)	9,255	38.0		
Other Cash Adjustments	71,732	53,781	(17,951)	(25.0)	0,000	0,000	0,000	-	71,732	53,781	(17,951)	(25.0)		
Total Cash Conversion Adjustments	\$204,751	\$193,528	\$11,223	(5.5)	\$0,000	\$0,000	\$0,000	-	\$204,751	\$193,528	\$11,223	(5.5)		
Net Cash Surplus/(Deficit)	(\$303,843)	(\$302,200)	\$1,643	0.5	\$0,000	(\$0,000)	(\$0,000)	-	(\$303,843)	(\$302,200)	\$1,643	0.5		

Notes:

- Results are based on the preliminary close of the general ledger and are subject to review and adjustment. Please note that the current month's 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%.
- **GASB68 became effective 12/31/15

MTA METRO-NORTH RAILROAD
ACCURAL STATEMENT OF OPERATIONS BY CATEGORY
EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
AUGUST 2016
(\$ in millions)

Generic Revenue or Expense Category	Non Reimb. or Reimb.	Current Month vs. Mid-Year Forecast			Year to Date vs. Mid-Year Forecast		
		Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
		\$	%		\$	%	
OTHER OPERATING REVENUE	Non-Reimb	(\$0.240)	(4.9%)	Primarily due to lower advertising revenue.	(\$2.112)	(5.0%)	Primarily reflects timing of GCT rental income and lower advertising revenue.
CAPITAL AND OTHER REIMBURSEMENTS	Reimb	(\$2.488)	(11.6%)	Lower reimbursements reflect scheduling and timing changes in capital project expenditures.	(\$0.746)	(0.6%)	Lower reimbursements reflect scheduling and timing changes in capital project expenditures.
PAYROLL	Reimb	\$0.433	9.0%	Reflects timing of expenses for the following projects: Turnouts Mainline High Speed, Program Scope Development Program, Positive Train Control, West Of Hudson Signal Improvement, Replace Timbers UG Bridges and Substation Bridge 23 Construction.	\$5.459	17.0%	YTD reflects timing of expenses for the following projects: Program Scope Development, Positive Train Control - NY & CT, Turnouts Mainline/High Speed, C-30 & C-31 Track Programs, GCT Turnouts-Switch Renewal, NHL - Cos Cob Bridge Mitre Rail and West of Hudson Signal Improvements.
OVERTIME	Non-Reimb Reimb	(\$0.257) (\$0.815)	(3.3%) (53.2%)	See overtime tables. See overtime tables.	\$0.695 (\$4.915)	1.1% (44.6%)	See overtime tables. See overtime tables.
HEALTH AND WELFARE	Reimb	\$0.011	0.7%		\$0.692	7.0%	YTD reflects timing of expenses for the following projects: Program Scope Development Program, GCT Turnouts Switch Renewal, Positive Train Control in NY & CT, Turnouts Mainline High Speed, West of Hudson Signal Improvement, and Replacement of Timbers for the UG Bridges.
PENSIONS	Reimb	(\$0.018)	(1.9%)		\$0.392	6.0%	YTD reflects timing of expenses for the following projects: GCT Turnout Switch Renewal, Program Scope Development, Turnouts Mainline High Speed and West of Hudson Signal Improvement.
OTHER FRINGE BENEFITS	Non-Reimb	\$0.302	3.0%		(\$0.989)	(1.3%)	
OTHER FRINGE BENEFITS	Reimb	(\$0.021)	(1.9%)		\$0.386	5.1%	Reflects timing of expenses for the following projects: GCT Turnout Switch Renewal, Positive Train Control in NY & CT, Program Scope Development Program and Turnouts Mainline High Speed.
REIMBURSABLE OVERHEAD	Non-Reimb	\$0.521	12.4%	The non-reimbursable and reimbursable variances reflect timing of expenses for C-31 Track Program, NHL Grade Crossing Renewal and CT Cameras-Audio for M8 Fleet.	\$0.214	0.7%	
	Reimb	(\$0.665)	(16.5%)		(\$0.407)	(1.3%)	

MTA METRO-NORTH RAILROAD
ACCURAL STATEMENT OF OPERATIONS BY CATEGORY
EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
AUGUST 2016
(\$ in millions)

Generic Revenue or Expense Category	Non Reimb. or Reimb.	Current Month vs. Mid-Year Forecast			Year to Date vs. Mid-Year Forecast		
		Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
		\$	%		\$	%	
ELECTRIC POWER	Non-Reimb	\$0.083	1.5%		\$3,318	7.3%	YTD variance primarily due to favorable rates.
FUEL	Non-Reimb	\$0.088	7.2%	Reflects a lower diesel fuel price per gallon.	\$1,042	10.6%	YTD variance reflects a lower diesel fuel price per gallon.
INSURANCE	Reimb	(\$0.122)	(32.0%)	Reflects timing of expenses for C-31 Track Program and NHL Grade Crossing Renewal Program projects.	(\$0.389)	(13.6%)	Reflects timing of expenses for Mainline High Speed Turnouts, GCT Turnouts Switch Renewal, C-31 Track Program and NHL Grade Crossing Renewal Program projects.
CLAIMS	Non-Reimb	(\$2.375)	*	Reflects higher claim expense related to the 2013 Bridgeport derailment.	(\$1.961)	*	Reflects higher claim expense primarily related to the 2013 Bridgeport derailment.
MAINTENANCE AND OTHER OPERATING CONTRACTS	Non-Reimb	(\$0.813)	(8.7%)	Reflects timing of expenses for the Locomotive Overhaul and M7 Systems Equipment Replacement Project partially offset by timing of maintenance services as well as lower expenditures for GCT utilities.	\$7,186	9.5%	Reflects timing of expenses for maintenance services, contracted repairs of M-8 equipment damaged in the Bridgeport derailment, M7 Systems Equipment Replacement Project and RCM technical support as well as lower expenditures for GCT utilities.
	Reimb	\$0.217	26.9%	Reflects timing of expenses for the Devon 26M Substation Replacement project.	(\$1,345)	(16.6%)	Reflects timing of expenses for the following projects: MNR East Side Access, Harmon Shop Improvements, Cyclical Track Program, Drainage and Undercutting and Positive Train Control in CT.
PROFESSIONAL SERVICE CONTRACTS	Non-Reimb	\$1,314	33.7%	Primarily due to timing of expenses for consulting and engineering services and market research studies.	\$4,206	17.4%	Primarily due to timing of expenses for market research studies, consulting and engineering services, advertising and outside training.
	Reimb	\$1,223	68.0%	Reflects timing of expenses for the NH Yard Component Change Out project.	(\$2,312)	(37.9%)	Reflects timing of expenses for the Positive Train Control in CT project offset by NH Yard Component Change Out project.
MATERIAL AND SUPPLIES	Non-Reimb	(\$1,195)	(18.4%)	Primarily due to higher expenses for rolling stock parts and supplies related to the component change-out shops, support shop work and on-going repairs.	(\$2,971)	(5.4%)	YTD variance primarily due to higher expenses for rolling stock parts and supplies related to the component change-out shops, support shop work and on-going repairs as well as purchase price adjustments.
	Reimb	\$2,227	48.6%	Reflects timing of expenses for the following projects: Turnouts Mainline High Speed, Bronx Stations Capacity Improvement, Cyclical Track Program, Positive Train Control in NY & CT C-30 Track Program and NH Yard Component Change Out Shop.	\$3,370	20.9%	Reflects timing of expenses for the following projects: Positive Train Control in NY & CT, Cyclical Track Program, Bronx Stations Capacity Improvement, MNR Technology Move and NH Yard Component Change Out Shop.

MTA METRO-NORTH RAILROAD
ACCURAL STATEMENT OF OPERATIONS BY CATEGORY
EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
AUGUST 2016
(\$ in millions)

Generic Revenue or Expense Category	Non Reimb. or Reimb.	Current Month vs. Mid-Year Forecast			Year to Date vs. Mid-Year Forecast		
		Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
		\$	%		\$	%	
OTHER BUSINESS EXPENSES	Non-Reimb	(\$0.221)	(18.2%)	Primarily reflects lower Amtrak recoveries partially offset by lower subsidy payment to NJT for West of Hudson operations due to favorable fuel-related inflation adjustments.	\$0.085	1.0%	
	Reimb	\$0.019	51.4%	Driven by the M3 EMU Replacement.	(\$0.126)	(45.8%)	Driven primarily by the NHL Grade Crossing Renewal and Positive Train Control - CT projects.
DEPRECIATION	Non-Reimb	\$0.907	4.6%	Reflects the timing of the capitalization of assets.	\$2.527	1.6%	
GASB68 PENSION ADJUSTMENT	Non-Reimb	\$0.000	-		\$14.188	*	This amount reflects MNP's YTD adjustment to account for its net pension liability.
ENVIRONMENTAL REMEDIATION	Non-Reimb	\$0.417	100.0%	Primarily due to the timing of projects requiring remediation.	\$0.792	31.7%	Primarily due to the timing of projects requiring remediation.
OPERATING CAPITAL	Non-Reimb	(\$0.266)	(12.7%)	Reflects timing of expenses for GCT Terrazo Floor Rehabilitation project offset by the timing of invoices for the Catenary Maintenance Vehicles project.	\$9.255	38.0%	Reflects timing of the following projects: Graybar 7th Floor Renovation, Cameras/Audio on M8/Non-M8 Fleet, Overhaul of 6 GP35 Locomotives, WcH Camera Install, Expand Real-Time Train Status, Snow Fighting Equipment, Avaya Phone System Upgrade and Vehicle Replacements.

* Variance exceeds 100%.

	August						Year To Date(August)					
	Mid-Year Forecast		Actual		Var. - Fav/(Unfav)		Mid-Year Forecast		Actual		Var. - Fav/(Unfav)	
	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$
NON-REIMBURSABLE OVERTIME												
Scheduled Service ¹	49,440	\$ 2,917	47,269	\$ 2,879	2,171 4.4%	\$0,038 1.3%	416,808	\$ 24,605	386,326	\$ 23,337	30,482 7.3%	\$1,268 5.2%
Unscheduled Service	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
Programmatic/Routine Maintenance	53,237	\$ 2,928	64,653	\$ 3,642	(11,416) -21.4%	(\$0,714) -24.4%	354,477	\$ 19,520	383,913	\$ 21,431	(29,436) -8.3%	(\$1,911) -9.8%
Unscheduled Maintenance	962	\$ 0.050	794	\$ 0.039	167 17.4%	\$0,011 22.6%	7,076	\$ 0.368	10,115	\$ 0.542	(3,040) -43.0%	(\$0,174) -47.4%
Vacancy/Absentee Coverage ²	30,752	\$ 1,599	36,038	\$ 1,905	(5,285) -17.2%	(\$0,306) -19.1%	218,238	\$ 11,369	226,298	\$ 11,806	(8,060) -3.7%	(\$0,438) -3.8%
Weather Emergencies	5,455	\$ 0.300	1,585	\$ 0.092	3,870 70.9%	\$0,208 69.5%	78,727	\$ 4,346	57,978	\$ 3,227	20,749 26.4%	\$1,119 25.7%
Safety/Security/Law Enforcement ³	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
Other ⁴	0	\$ -	0	\$ (0.506)	-	\$0.506	0	\$ 0.383	0	\$ (0.449)	-	\$0.832
Subtotal	139,845	\$ 7,794	150,339	\$ 8,051	(10,493) -7.5%	(\$0,257) -3.3%	1,075,326	\$ 60,590	1,064,630	\$ 59,894	10,696 1.0%	\$0,695 1.1%
REIMBURSABLE OVERTIME	28,793	\$ 1,531	41,447	\$ 2,345	(12,654) -43.9%	(\$0,814) -53.2%	193,686	\$ 11,032	259,221	\$ 15,947	(65,535) -33.8%	(\$4,915) -44.5%
TOTAL OVERTIME	168,638	\$ 9,325	191,786	\$ 10,396	(23,147) -13.7%	(\$1,071) -11.5%	1,269,012	\$ 71,622	1,323,851	\$ 75,841	(54,839) -4.3%	(\$4,219) -5.9%

* Exceeds 100%

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

⁴ Reflects overtime for Customer Service and Material Management Depts. as well as other administrative functions.

Also reflects timing differences related to payroll and calendar cutoff dates.

**MTA Metro-North Railroad
2016 Midyear Forecast
Non-Reimbursable/Reimbursable Overtime
(\$ in millions)**

	August		Year To Date(August)	
	Var. - Fav. (Unfav)	Explanations	Var. - Fav. (Unfav)	Explanations
	Hours	\$	Hours	\$
NON-REIMBURSABLE OVERTIME				
<u>Scheduled Service</u> ¹	2,171	\$0.038	30,482	\$1.268
	4.4%	1.3%	7.3%	5.2%
<u>Unscheduled Service</u>	0	\$ -	0	\$ -
<u>Programmatic/Routine Maintenance</u>	(11,416)	(\$0.714)	(29,436)	(\$1.911)
	-21.4%	-24.4%	-8.3%	-9.8%
<u>Unscheduled Maintenance</u>	167	\$0.011	(3,040)	(\$0.174)
	17.4%	22.6%	-43.0%	-47.4%
<u>Vacancy/Absentee Coverage</u> ²	(5,285)	(\$0.306)	(8,060)	(\$0.438)
	-17.2%	-19.1%	-3.7%	-3.8%
<u>Weather Emergencies</u>	3,870	\$0.208	20,749	\$1.119
	70.9%	69.5%	26.4%	25.7%
<u>Safety/Security/Law Enforcement</u> ³	0	\$ -	0	\$ -
<u>Other</u> ⁴	0	\$0.506	0	\$0.832
				Reflects timing differences related to payroll and calendar cutoff dates.
Subtotal	(10,493)	(\$0.257)	10,696	\$0.695
	-7.5%	-3.3%	1.0%	1.1%
REIMBURSABLE OVERTIME	(12,654)	(\$0.814)	(65,535)	(\$4.915)
				Reflects higher YTD expense for the following projects: Turnouts Mainline High Speed, GCT Turnouts Switch Renewal, Power Infrastructure Restoration, Drainage and Undercutting Programs, Cyclical Track Program, Fordham Station Improvements, Hudson Line Power and Signal Restoration, Communications & Signal Infrastructure Restoration, NHL Grade Crossing Renewal, Devon Bridge Repairs, Replacement of 6 Anchor Bridge Substation, and NHL Replacement of Signal System
TOTAL OVERTIME	(23,147)	(\$1.071)	(54,839)	(\$4.219)
	-43.9%	-53.2%	-33.8%	-44.5%

NOTE: Percentages are based on each type of Overtime and not on Total Overtime.
* Exceeds 100%

¹ Includes Service Delay and Tour Length related overtime.

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

³ Not Applicable

⁴ Reflects overtime for Customer Service and Material Management Depots, as well as other administrative functions. Also reflects timing differences related to payroll and calendar cutoff dates.

MTA METRO-NORTH RAILROAD
2016 Overtime Report
Overtime Legend

REVISED OVERTIME DECOMPOSITION LEGEND DEFINITIONS

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

MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
CASH RECEIPTS AND EXPENDITURES
(\$ in millions)

	SCHEDULE III					
	August 2016			Year-to-Date		
	Favorable (Unfavorable)		Percent	Favorable (Unfavorable)		Percent
	Mid-Year Forecast	Actual	Variance	Mid-Year Forecast	Actual	Variance
Receipts						
Farebox Receipts	\$59,860	\$61,052	\$1,192	\$463,185	\$456,016	(\$7,169)
Toll Receipts	0,000	0,000	0,000	0,000	0,000	0,000
Other Operating Receipts	7,057	3,866	(3,391)	61,829	52,316	(9,513)
Capital & Other Reimbursements:						
MTA	9,316	15,139	5,823	82,812	93,363	10,551
CDOT	9,531	5,984	(3,547)	51,489	46,934	(4,555)
Other	1,734	1,540	(0,194)	17,450	18,120	0,670
Total Capital and Other Reimbursements	20,581	22,663	2,082	151,751	158,417	6,666
Total Receipts	\$87,498	\$87,381	(\$0,117)	\$676,765	\$666,749	(\$10,016)
Expenditures						
Labor:						
Payroll	\$41,680	\$39,774	\$1,906	\$345,075	\$345,854	(\$0,779)
Overtime	7,764	11,213	(3,449)	71,818	76,308	(4,490)
Health and Welfare	10,824	11,018	(0,194)	86,731	88,782	(2,051)
OPEB Current Payment	2,423	2,232	0,191	19,310	19,889	(0,579)
Pensions	8,936	8,506	0,430	68,235	68,039	0,196
Other Fringe Benefits	9,396	10,512	(1,116)	85,671	93,932	(8,261)
GASB Account	0,000	0,000	0,000	0,000	0,000	0,000
Reimbursable Overhead	0,000	0,000	0,000	0,000	0,000	0,000
Total Labor	\$81,023	\$83,255	(\$2,232)	\$676,841	\$692,804	(\$15,963)
Non-Labor:						
Electric Power	\$5,696	\$4,985	\$0,711	\$42,262	\$38,820	\$3,442
Fuel	1,212	1,431	(0,219)	9,108	8,636	0,472
Insurance	1,958	3,914	(1,956)	14,774	14,844	(0,070)
Claims	5,105	1,078	4,027	13,669	7,341	6,328
Paratransit Service Contracts	0,000	0,000	0,000	0,000	0,000	0,000
Maintenance and Other Operating Contracts	8,611	10,318	(1,707)	82,530	69,375	13,155
Professional Service Contracts	4,706	7,112	(2,406)	33,935	29,186	4,749
Materials & Supplies	11,367	12,004	(0,637)	77,558	80,451	(2,893)
Other Business Expenditures	4,201	2,741	1,460	29,932	27,492	2,440
Total Non-Labor	\$42,856	\$43,583	(\$0,727)	\$303,768	\$276,145	\$27,623
Other Adjustments:						
Other	0,000	0,000	0,000	0,000	0,000	0,000
Other Post Employment Benefits	0,000	0,000	0,000	0,000	0,000	0,000
Total Other Adjustments	\$0,000	\$0,000	\$0,000	\$0,000	\$0,000	\$0,000
Total Expenditures	\$123,879	\$126,838	(\$2,959)	\$980,608	\$968,949	\$11,659
Net Cash Deficit (excludes Opening Cash Balance)	(\$36,381)	(\$39,457)	(\$3,076)	(\$303,843)	(\$302,200)	\$1,643
Subsidies						
MTA	27,711	43,131	15,420	230,479	223,664	(6,815)
CDOT	8,670	7,750	(0,920)	72,080	90,373	18,293
Total Subsidies	\$36,380	\$50,881	\$14,501	\$302,559	\$314,037	\$11,478
Cash Timing and Availability Adjustment	\$0,000	(\$5,465)	(\$5,465)	\$0,000	(\$5,878)	(\$5,878)

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

MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
CASH RECEIPTS AND EXPENDITURES
EXPLANATION OF VARIANCE BETWEEN FORECAST AND ACTUAL RESULTS
(\$ in millions)

Generic Receipt or Expense Category	August Month vs Mid-Year Forecast				Year-To-Date as of August 31, 2016				\$ Detail
	Variance		Reason for Variance	Variance		Reason for Variance			
	Fav (Unfav)	%		Fav (Unfav)	%				
	\$			\$					
OTHER OPERATING REVENUE	(3.391)	(48.1%)	Timing of GCT Revenue and PRIIA reimbursement.	(9.513)	(15.4%)	Timing of PRIIA reimbursement and GCT Revenue partially offset by Other & Misc. and Station Revenues.			
CAPITAL AND OTHER REIMBURSEMENTS:									
MTA	5.823	62.5%	Higher cash receipts due to timing of payments combined with higher capital related project activity.	10.551	12.7%	Higher cash receipts due to timing of payments partially offset by lower capital related project activity.			
CDOT	(3.547)	(37.2%)	Lower cash receipts due to timing of payments combined with lower capital related project activity.	(4.555)	(8.8%)	Lower cash receipts due to timing of payments partially offset by higher capital related project activity.			
OTHER	(0.194)	(11.2%)	Lower cash receipts due to timing of payments partially offset by higher capital related project activity.	0.670	3.8%				
PAYROLL	1.906	4.6%	Timing of hiring reflected in monthly forecast higher than actual.	(0.779)	(0.2%)				
OVERTIME	(3.449)	(44.4%)	Timing of overtime paid for capital projects, (most notably New Turnouts Mainline High Speed, GCT Turnouts Switch Renewal and Power Infrastructure Restoration.	(4.490)	(6.3%)	Timing of overtime paid for capital projects, (most notably New Turnouts Mainline High Speed, GCT Turnouts Switch Renewal and Power Infrastructure Restoration.			
OPEB CURRENT PAYMENT	(0.191)	7.9%	Timing of vision/dental premiums for retirees.	(0.579)	(3.0%)				
OTHER FRINGE BENEFITS	(1.116)	(11.9%)	Higher payroll taxes and employee claims.	(8.261)	(9.6%)	Timing of payroll and unemployment taxes combined with higher employee claims.			
ELECTRIC POWER	0.711	12.5%	Primarily reflects timing of payments combined with lower electric rates.	3.442	8.1%	Primarily reflects lower electric rates partially offset by timing of payments.			
FUEL	(0.219)	(18.0%)	Primarily reflects timing of payments.	0.472	5.2%	Reflects lower diesel fuel prices per gallon partially offset by timing of payments.			

MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
CASH RECEIPTS AND EXPENDITURES
EXPLANATION OF VARIANCE BETWEEN FORECAST AND ACTUAL RESULTS
(\$ in millions)

Generic Receipt or Expense Category	August Month vs Mid-Year Forecast			Year-To-Date as of August 31, 2016			\$ Detail
	Variance		Reason for Variance	Variance		Reason for Variance	
	Fav (Unfav)	%		Fav (Unfav)	%		
	\$			\$			
INSURANCE	(1,956)	(99.9%)	Timing of premiums paid for All Agency Property, Station Liability, Force Account and Auto partially offset by All Agency-Catastrophic Bond.	(0,070)	(0.5%)		
CLAIMS	4,027	78.9%	Timing of passenger injury settlements relating to the Spuyten Duyvil incident and other passenger injury claims.	6,328	46.3%	Timing of passenger injury settlements relating to the Spuyten Duyvil incident and other passenger injury claims.	
MAINTENANCE & OTHER OPERATING CONTRACTS	(1,707)	(19.8%)	Timing of Real Estate Management Services and Ticket Vending Machine Maintenance.	13,155	15.9%	Timing of payments for Operating Capital related projects (Camera/Audio Installation, DVI: Comm - Graybar 7th Floor Renovation and Overhaul 6 GP35 Locomotives), MTA Police and Maintenance & Repairs.	
PROFESSIONAL SERVICE CONTRACTS	(2,406)	(51.1%)	Timing of payments for Engineering Services partially offset by Market Research.	4,749	14.0%	Timing of NHL BSC Costs partially offset by higher I.T. Costs.	
MATERIALS & SUPPLIES	(0,637)	(5.6%)	Timing of materials placed into inventory.	(2,893)	(3.7%)		
OTHER BUSINESS EXPENSES	1,460	34.7%	Timing of reimbursement from MTA for Yogi's and I.T. Expenses.	2,440	8.2%	Lower subsidy payments to New Jersey Transit and Stationary, Printing & Office Supplies.	
MTA SUBSIDY RECEIPTS	15,420	55.6%	Impact of cash balances, higher cash deficit and lower CDOT subsidy.	(6,815)	(3.0%)		
CDOT SUBSIDY RECEIPTS	(0,920)	(10.6%)	Lower estimated monthly deficit than forecasted.	18,293	25.4%	Timing of September subsidy payment, admin assets and YTD calendarization adjustment combined with higher estimated monthly deficit than forecasted.	

* Variance exceeds 100%

MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
CASH CONVERSION (CASH FLOW ADJUSTMENT)
(\$ in millions)

	August 2016				Year-to-Date			
	Mid-Year Forecast	Actual	Favorable (Unfavorable)		Mid-Year Forecast	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent
Receipts								
Farebox Revenue	\$0.464	\$3.175	\$2,711	*	\$4.597	\$3,863	(\$0,734)	(16.0)
Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	2.146	(1.004)	(3,151)	*	19,586	12,185	(7,401)	(37.8)
Capital & Other Reimbursements:								
MTA	(0.944)	6,511	7,454	*	17,909	32,602	14,693	82.0
CDOT	0.000	(3,267)	(3,267)	-	0.109	(7,274)	(7,384)	*
Other	0.000	0.383	0.383	-	2,832	2,934	0.102	3.6
Total Capital and Other Reimbursements	(0.944)	3,627	4,570	*	20,850	28,262	7,412	35.5
Total Revenue/Receipts	\$1,666	\$5,797	\$4,130	*	\$45,033	\$44,310	(\$0,723)	(1.6)
Expenditures								
Labor:								
Payroll	\$4,475	\$7,152	\$2,677	59.8	\$5,727	\$4,732	(\$0,995)	(17.4)
Overtime	1,560	(0,816)	(2,377)	*	(0,197)	(0,466)	(0,270)	*
Health and Welfare	(0,297)	(0,335)	(0,038)	(12.8)	(7,857)	(10,126)	(2,269)	(28.9)
OPEB Current Payment	0.000	0.301	0.000	*	(0,003)	0.220	0.222	*
Pensions	(0,114)	0,482	0,597	*	(1,182)	(0,788)	0,394	33.3
Other Fringe Benefits	1,660	0,264	(1,396)	(84.1)	(2,264)	(9,923)	(7,659)	*
GASB Account	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Reimbursable Overhead	(0,181)	(0,036)	0,145	80.1	(1,219)	(1,026)	0,192	15.8
Total Labor	\$7,104	\$7,013	(\$0,092)	(1.3)	(\$6,993)	(\$17,377)	(\$10,384)	*
Non-Labor:								
Electric Power	\$0.000	\$0,629	\$0,629	-	\$3,402	\$3,586	\$0,184	5.4
Fuel	0.000	(0,306)	(0,306)	-	0.705	0.135	(0,570)	(80.8)
Insurance	0.046	(1,821)	(1,867)	*	0.751	0.882	0.131	17.4
Claims	(4,999)	1,403	6,402	*	(12,991)	(4,702)	8,289	63.8
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	1,486	0,376	(1,111)	(74.7)	0.940	8,254	7,314	*
Professional Service Contracts	0.992	(3,952)	(4,944)	*	(3,616)	(0,761)	2,855	79.0
Materials & Supplies	(0,307)	(1,975)	(1,669)	*	(6,555)	(9,847)	(3,292)	(50.2)
Other Business Expenses	(2,950)	(1,288)	1,662	56.3	(21,336)	(18,855)	2,481	11.6
Total Non-Labor	(\$5,730)	(\$6,934)	(\$1,204)	(21.0)	(\$38,700)	(\$21,309)	\$17,391	44.9
Other Adjustments:								
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Total Other Adjustments	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Expenditures Adjustments before Non-Cash Liability Adjs.	\$1,374	\$0,078	(\$1,296)	(94.3)	(\$45,693)	(\$38,685)	\$7,007	15.3
Depreciation	19,883	18,976	(0,907)	(4.6)	157,367	154,840	(2,527)	(1.6)
OPEB Obligation	5,693	5,693	0.000	0.0	45,544	45,544	0.000	0.0
GASB68 Pension Adjustment**	0.000	0.000	0.000	-	0.000	(14,188)	(14,188)	-
Environmental Remediation	0.417	0.000	(0,417)	(100.0)	2,500	1,708	(0,792)	31.7
Total Expenditures Adjustments	\$27,367	\$24,748	(\$2,619)	(9.6)	\$159,718	\$149,218	(\$10,500)	(6.6)
Total Cash Conversion Adjustments	\$29,033	\$30,545	\$1,511	5.2	\$204,751	\$193,528	(\$11,223)	(5.5)

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%.
**GASB68 became effective 12/31/15.

MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
RIDERSHIP/UTILIZATION
AUGUST 2016
(in millions)

	MONTH		VARIANCE Fav/(Unfav)				YTD		VARIANCE Fav/(Unfav)						
			MID-YEAR FORECAST		2015				MID-YEAR FORECAST		2015				
			\$	%	\$	%			\$	%	\$	%			
FAREBOX REVENUE															
	Harlem Line - Commutation	8,694	8,661	8,484	(0.033)	-0.4%	0.177	2.1%	73,174	72,636	70,366	(0.538)	-0.7%	2,270	3.2%
	Harlem Line - Non-Commutation	8,659	8,397	8,517	(0.262)	-3.0%	(0.120)	-1.4%	63,450	62,239	61,249	(1,211)	-1.9%	0,990	1.6%
	TOTAL HARLEM LINE	\$17,352	\$17,057	\$17,001	(\$0.295)	-1.7%	\$0.056	0.3%	\$136,623	\$134,875	\$131,615	(\$1,748)	-1.3%	\$3,260	2.5%
Hudson Line - Commutation	5,635	5,622	5,553	(0.013)	-0.2%	0.070	1.3%	47,491	47,098	46,112	(0.393)	-0.8%	0,987	2.1%	
Hudson Line - Non-Commutation	7,348	7,008	7,184	(0.340)	-4.6%	(0.176)	-2.4%	51,442	50,686	49,659	(0.756)	-1.5%	1,027	2.1%	
TOTAL HUDSON LINE	\$12,983	\$12,631	\$12,737	(\$0.353)	-2.7%	(\$0.106)	-0.8%	\$98,933	\$97,784	\$95,771	(\$1,149)	-1.2%	\$2,013	2.1%	
New Haven Line - Commutation	12,141	12,016	11,850	(0.125)	-1.0%	0.166	1.4%	101,282	100,408	98,273	(0.885)	-0.9%	2,135	2.2%	
New Haven Line - Non-Commutation	16,894	16,146	16,319	(0.749)	-4.4%	(0.173)	-1.1%	121,508	118,854	116,558	(2,654)	-2.2%	2,296	2.0%	
TOTAL NEW HAVEN LINE	\$29,035	\$28,162	\$28,169	(\$0.873)	-3.0%	(\$0.007)	0.0%	\$222,801	\$219,262	\$214,831	(\$3,539)	-1.6%	\$4,431	2.1%	
All Lines - Commutation	26,470	26,299	25,887	(0.170)	-0.6%	0.413	1.6%	221,957	220,142	214,750	(1,815)	-0.8%	5,392	2.5%	
All Lines - Non-Commutation	32,901	31,551	32,020	(1,350)	-4.1%	(0.469)	-1.5%	236,400	231,779	227,466	(4,621)	-2.0%	4,313	1.9%	
TOTAL EAST OF HUDSON LINES	\$59,371	\$57,850	\$57,907	(\$1,521)	-2.6%	(\$0.057)	-0.1%	\$458,358	\$451,921	\$442,216	(\$6,437)	-1.4%	\$9,705	2.2%	
West of Hudson Mail-n-Ride Revenue (1)	\$0,025	\$0,027	\$0,029	0.002	9.2%	(0.002)	-5.5%	\$0,232	\$0,232	\$0,246	(0.000)	-0.2%	(0.014)	-5.9%	
TOTAL FAREBOX REVENUE	\$59,396	\$57,877	\$57,936	(\$1,519)	-2.6%	(\$0.058)	-0.1%	\$458,590	\$452,153	\$442,462	(\$6,438)	-1.4%	\$9,691	2.2%	
RIDERSHIP															
Harlem Line - Commutation	1,424	1,418	1,392	(0.006)	-0.4%	0.026	1.8%	11,347	11,257	11,096	(0.089)	-0.8%	0,161	1.5%	
Harlem Line - Non-Commutation	0,964	0,930	0,959	(0.033)	-3.5%	(0.028)	-2.9%	7,137	7,025	7,044	(0,112)	-1.6%	(0,019)	-0.3%	
TOTAL HARLEM LINE	2,388	2,348	2,351	(0.040)	-1.7%	(0.003)	-0.1%	18,484	18,282	18,140	(0,201)	-1.1%	0,142	0.8%	
Hudson Line - Commutation	0,794	0,793	0,781	(0.001)	-0.2%	0.012	1.5%	6,288	6,238	6,180	(0,050)	-0.8%	0,058	0.9%	
Hudson Line - Non-Commutation	0,681	0,649	0,672	(0.032)	-4.7%	(0.023)	-3.4%	4,750	4,697	4,680	(0,053)	-1.1%	0,017	0.4%	
TOTAL HUDSON LINE	1,475	1,442	1,454	(0.033)	-2.2%	(0.011)	-0.8%	11,038	10,935	10,860	(0,103)	-0.9%	0,075	0.7%	
New Haven Line - Commutation	1,936	1,912	1,902	(0.024)	-1.3%	0.010	0.5%	15,248	15,108	14,969	(0,139)	-0.9%	0,140	0.9%	
New Haven Line - Non-Commutation	1,652	1,587	1,638	(0.065)	-3.9%	(0.051)	-3.1%	11,852	11,653	11,649	(0,199)	-1.7%	0,003	0.0%	
TOTAL NEW HAVEN LINE	3,588	3,498	3,540	(0.090)	-2.5%	(0.041)	-1.2%	27,100	26,761	26,618	(0,339)	-1.2%	0,143	0.5%	
Total Ridership East of Hudson															
All Lines - Commutation	4,154	4,122	4,075	(0.032)	-0.8%	0.047	1.2%	32,883	32,604	32,245	(0,279)	-0.8%	0,359	1.1%	
All Lines - Non-Commutation	3,297	3,167	3,269	(0,130)	-4.0%	(0,102)	-3.1%	23,739	23,375	23,373	(0,364)	-1.5%	0,002	0.0%	
TOTAL EAST OF HUDSON LINES	7,451	7,289	7,344	(0,162)	-2.2%	(0,055)	-0.8%	56,621	55,979	55,618	(0,642)	-1.1%	0,361	0.6%	
West of Hudson (2)	0,160	0,155	0,147	(0,004)	-2.6%	0,008	5.4%	1,189	1,149	1,157	(0,040)	-3.4%	(0,008)	-0.7%	
TOTAL EAST & WEST OF HUDSON LINES	7,611	7,444	7,492	(0,167)	-2.2%	(0,047)	-0.6%	57,811	57,128	56,776	(0,683)	-1.2%	0,353	0.6%	

(1) West of Hudson ticket sales received through Metro-North Mail & Ride program are reported as Metro-North Farebox Revenues; all other West of Hudson ticket revenues are offset against New Jersey Transit operating costs for providing service to the Pascack Valley Line and Port Jervis Line.

(2) West of Hudson total ridership for both Pascack Valley and Port Jervis lines.

MTA METRO-NORTH RAILROAD
2016 MID-YEAR FORECAST VS. ACTUALS
TOTAL FULL-TIME POSITIONS AND FULL-TIME EQUIVALENTS
August 31, 2016

<u>Department</u>	<u>Mid-Year Forecast</u>	<u>Actual</u>	<u>Favorable (Unfavorable) Variance</u>	<u>Notes</u>
Administration				
President	4	4	-	
Labor Relations	18	16	2	
Safety	50	45	5	A
Security	19	18	1	
Office of the Executive VP	6	7	(1)	B
Corporate & Public Affairs	19	18	1	
Customer Service	58	56	2	
Legal	17	16	1	
Claims	13	12	1	
Environmental Compliance & Svce	7	6	1	
Human Resources	46	40	6	
Training	88	74	14	A
Employee Relations & Diversity	6	6	-	
VP Planning	2	2	-	
Operations Planning & Analysis	21	19	2	
Capital Planning & Programming	13	12	1	
Long Range Planning	8	7	1	
VP Finance & Info Systems	2	2	-	
Controller	76	73	3	
Budget	20	17	3	
Procurement & Material Management	34	25	9	A
Corporate	-	-	-	
Total Administration	527	474	53	
Operations				
Operations Administration	66	56	10	
Transportation	1,537	1,567	(30)	C
Customer Service	317	304	13	A
Metro-North West	32	27	5	
Total Operations	1,952	1,954	(2)	
Maintenance				
Maintenance of Equipment	1,624	1,613	11	A
Maintenance of Way	2,154	2,044	110	A
Procurement & Material Mgmt	123	115	8	A
Total Maintenance	3,901	3,772	129	
Engineering/Capital				
Construction Management	40	39	1	
Engineering & Design	72	68	4	
Total Engineering/Capital	112	107	5	
Total Positions	6,492	6,307	185	
Non-Reimbursable	5,770	5,852	(83)	D
Reimbursable	723	455	268	
Total Full-Time	6,491	6,306	185	
Total Full-Time-Equivalents (of part-time positions)	1	1	-	

Notes

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

(B) Variance reflects lower attrition than planned.

(C) Variance reflects higher recruiting than planned.

(D) Variance reflects fewer Maintenance of Way and Transportation positions working on reimbursable projects and performing operating work.

MTA METRO-NORTH RAILROAD
2016 MID-YEAR FORECAST VS. ACTUALS
TOTAL FULL-TIME POSITIONS AND FULL-TIME EQUIVALENTS
AUGUST 31, 2016

FUNCTION/OCCUPATION	Mid-Year Forecast	Actual	Favorable (Unfavorable) Variance
Administration			
Managers/Supervisors	159	155	4
Professional, Technical, Clerical	368	319	49
Operational Hourlies	-	-	-
Total Administration	527	474	53
Operations			
Managers/Supervisors	224	239	(15)
Professional, Technical, Clerical	184	164	20
Operational Hourlies	1,544	1,552	(7)
Total Operations	1,952	1,954	(2)
Maintenance			
Managers/Supervisors	624	602	22
Professional, Technical, Clerical	479	472	7
Operational Hourlies	2,798	2,698	100
Total Maintenance	3,901	3,772	129
Engineering/Capital			
Managers/Supervisors	42	40	2
Professional, Technical, Clerical	70	66	4
Operational Hourlies	-	-	-
	112	107	5
Public Safety			
Managers/Supervisors	-	-	-
Professional, Technical, Clerical	-	-	-
Operational Hourlies	-	-	-
Total Public Safety	-	-	-
Total Positions			
Managers/Supervisors	1,049	1,036	13
Professional, Technical, Clerical	1,101	1,021	80
Operational Hourlies	4,342	4,250	92
Total Positions	6,492	6,307	185

MTA METRO-NORTH RAILROAD
2016 MID-YEAR FORECAST VS. ACTUALS
AUGUST 31, 2016

Agency-wide (Non-Reimbursable and Reimbursable)	Mid-Year Forecast	Actual	Favorable (Unfavorable) Variance	Explanation of Variances
<i>Functional Classification:</i>				
Operations	1,952	1,954	(2)	
Maintenance	3,901	3,772	129	Reflects vacant positions in Maintenance of Way (trackworkers, electrical workers, terminal attendants and engineers) 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 filling vacant positions.
Administration	527	474	53	Vacancies reflects timing differences in hiring of positions primarily in the Training, Human Resources and Safety departments.
Engineering / Capital	112	107	5	
Total Agency-wide Headcount	6,492	6,307	185	
Non-Reimbursable	5,770	5,852	(83)	Primarily reflects fewer Maintenance of Way positions working on reimbursable projects and performing operating work.
Reimbursable	723	455	268	

MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
MONTHLY PERFORMANCE INDICATORS ^(A)
AUGUST 2016

	MONTH		VARIANCE	
	M-Y FRCST	2016	Fav/(Unfav)	2015
Farebox Operating Ratio				
Standard ^(B)	58.7%	54.9%	-3.8%	-7.2%
Adjusted ^(C)	65.5%	61.2%	-4.3%	-8.3%
Cost per Passenger				
Standard ^(B)	\$13.70	\$14.60	(\$0.90)	(\$1.24)
Adjusted ^(C)	\$13.44	\$14.34	(\$0.90)	(\$1.24)
Passenger Revenue/Passenger ^(D)	\$8.05	\$8.02	(\$0.03)	(\$0.27)
	YEAR-TO-DATE		VARIANCE	
	M-Y FRCST	2016	Fav/(Unfav)	2015
Farebox Operating Ratio				
Standard ^(B)	58.0%	59.2%	1.2%	1.2%
Adjusted ^(C)	65.3%	66.7%	1.4%	1.3%
Cost per Passenger				
Standard ^(B)	\$14.11	\$13.80	\$0.31	\$0.17
Adjusted ^(C)	\$13.83	\$13.48	\$0.35	\$0.20
Passenger Revenue/Passenger ^(D)	\$8.19	\$8.17	(\$0.02)	\$0.07

(A) Monthly Performance Indicators include both East and West of Hudson revenue and expenses. Total passenger revenue also includes the West of Hudson passenger revenue which is reclassified from the net subsidy paid to New Jersey Transit for west of Hudson Lines operations.

(B) 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, Business Service Center and IT costs.

(C) 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.

(D) Includes Commissary Services.



Metro-North Railroad

Ridership Report

AUGUST 2016 RIDERSHIP & REVENUE REPORT

MTA METRO-NORTH RAILROAD

EXECUTIVE SUMMARY

August Ridership and Revenue (millions)

	August 2016	% Change vs. 2015
Total Rail Ridership	7.444	-0.8% ▼
Commutation Ridership	4.207	+1.2% ▲
Non-Commutation Ridership	3.237	-3.3% ▼
Connecting Service Ridership	0.051	+1.5% ▲
Total MNR System Ridership	7.495	-0.8% ▼
Rail Revenue	\$59.2	-0.1% ▼

Key Factors Impacting August Ridership

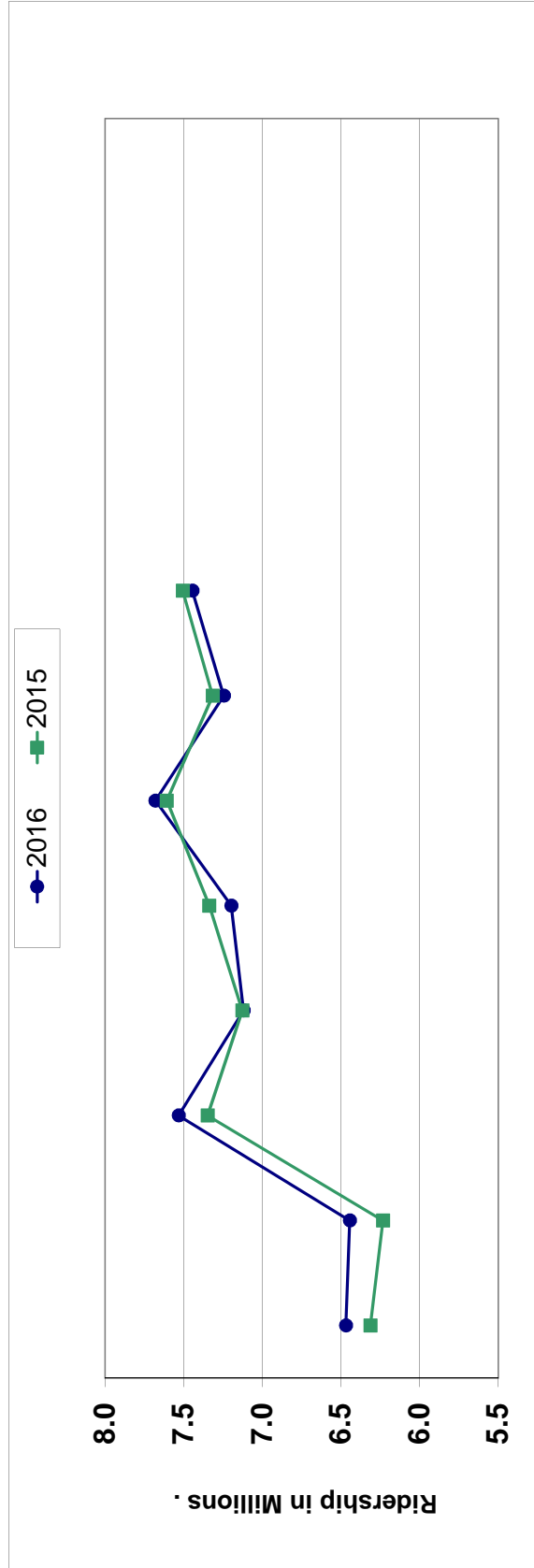
- This large decrease in August non-commutation ridership was primarily due to lower discretionary ridership compared to August 2015:
 - Intermediate Non-Commutation ridership was down 5.8%
 - Non-Commutation travel to/from Manhattan was down 2.4%

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

	YTD 2016	% Change vs. 2015	Comparison to Forecast
Total Rail Ridership	57.128	+0.6% ▲	-1.2% ▼
Commutation Ridership	33.253	+1.0% ▲	-0.8% ▼
Non-Commutation Ridership	23.875	+0.0% ▲	-1.6% ▼
Connecting Service Ridership	0.385	+4.4% ▲	+1.7% ▲
Total MNR System Ridership	57.513	+0.6% ▲	-1.1% ▼
Rail Revenue	\$461.8	+2.2% ▲	-1.4% ▼

AUGUST RAIL RIDERSHIP ⁽¹⁾

- August's Total Rail Ridership was 0.8% below 2015 and 2.2% below forecast.

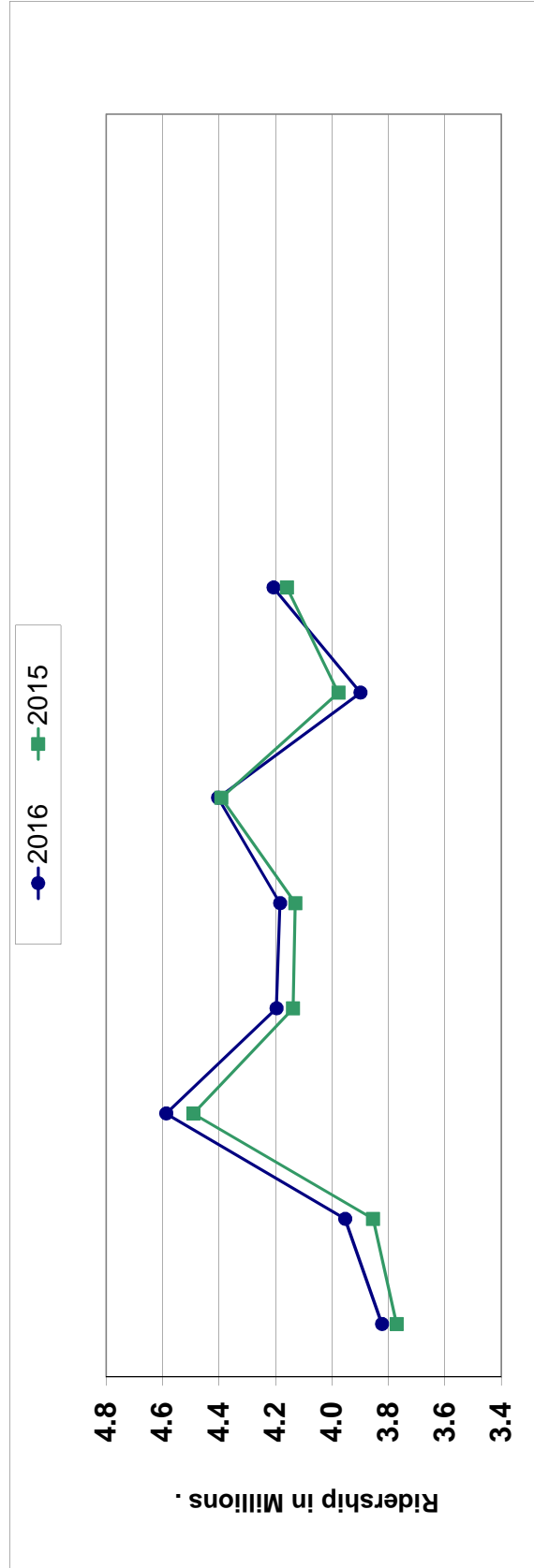


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2016	6.5	6.4	7.5	7.1	7.2	7.7	7.2	7.4					57.1
2015	6.3	6.2	7.3	7.1	7.3	7.6	7.3	7.5					56.8
PCT CHG.	2.5%	3.4%	2.5%	-0.1%	-1.9%	1.0%	-1.0%	-0.8%					0.6%

¹⁾ Includes East and West of Hudson.

AUGUST RAIL COMMUTATION RIDERSHIP ⁽¹⁾

- August's Rail Commutation Ridership was 1.2% above 2015 and 0.7% below forecast.

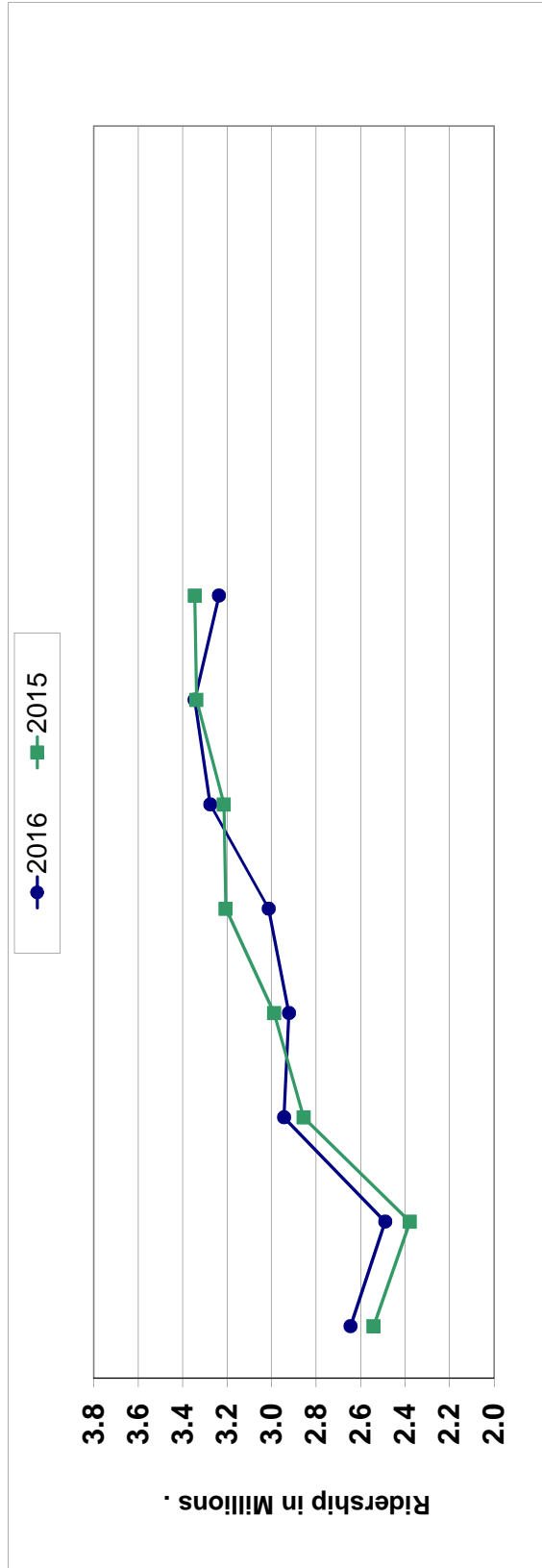


		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2016 2015 PCT CHG.	2016	3.8	4.0	4.6	4.2	4.2	4.4	3.9	4.2					33.3
	2015	3.8	3.9	4.5	4.1	4.1	4.4	4.0	4.2					32.9
	PCT CHG.	1.4%	2.6%	2.1%	1.4%	1.3%	0.3%	-2.0%	1.2%					1.0%

¹⁾ Includes East and West of Hudson.

AUGUST RAIL NON-COMMUTATION RIDERSHIP ⁽¹⁾

- August's Rail Non-Commutation Ridership was 3.3% below 2015 and 4.0% below forecast.

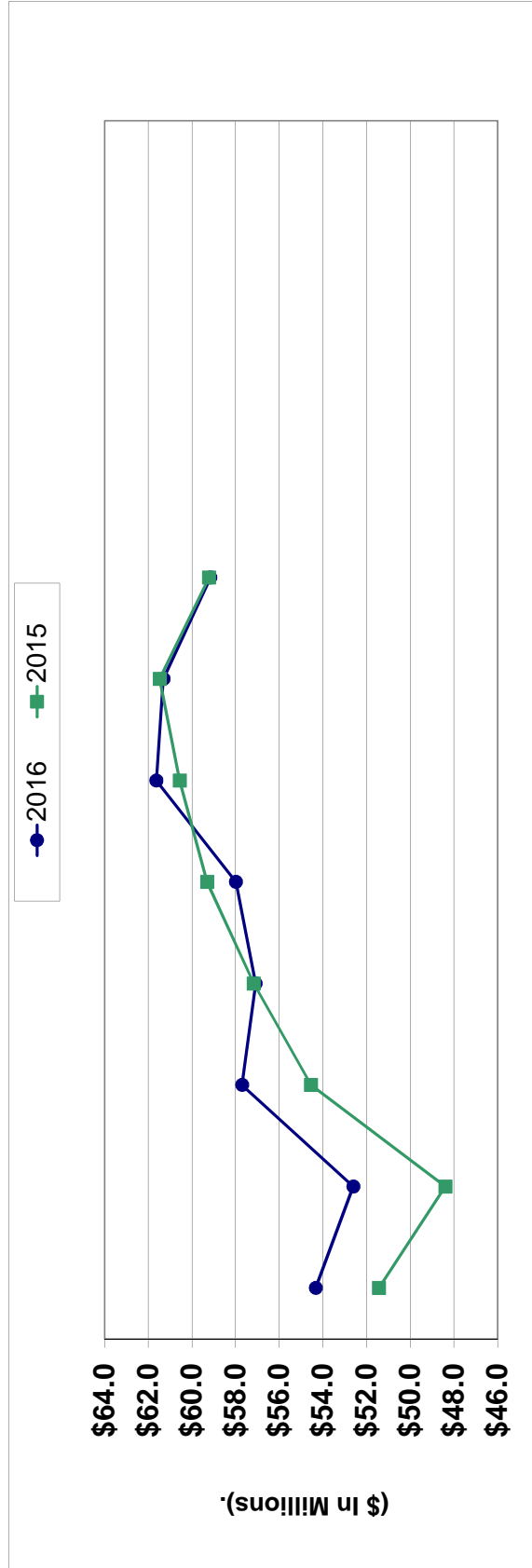


		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total	Y-T-D
2016 2015 PCT CHG.	2016	2.6	2.5	2.9	2.9	3.0	3.3	3.3	3.2					23.9	
	2015	2.5	2.4	2.9	3.0	3.2	3.2	3.3	3.3					23.9	
	PCT CHG.	4.1%	4.7%	3.1%	-2.2%	-6.0%	1.9%	0.2%	-3.3%					0.0%	

¹⁾ Includes East and West of Hudson.

AUGUST RAIL REVENUE⁽¹⁾

- August's Total Rail Revenue was 0.1% below 2015 and 2.6% below forecast.



	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2016	\$54.3	\$52.6	\$57.7	\$57.1	\$58.0	\$61.6	\$61.3	\$59.2					\$461.8
2015	\$51.4	\$48.4	\$54.5	\$57.2	\$59.3	\$60.6	\$61.5	\$59.2					\$452.1
PCT CHG.	5.6%	8.7%	5.8%	-0.1%	-2.2%	1.8%	-0.3%	-0.1%					2.2%

¹⁾ Includes East and West of Hudson.

MTA METRO-NORTH RAILROAD RIDERSHIP SUMMARY AUGUST 2016

TICKET TYPE/SERVICE	AUGUST 2016 ACTUAL	AUGUST 2016 MID-YEAR	VARIANCE VS. MID-YEAR		AUGUST 2015 RESTATE ⁽¹⁾	CHANGE FROM 2015	
			AMOUNT	PERCENT		AMOUNT	PERCENT
RAIL COMMUTATION RIDERSHIP							
East of Hudson	4,122,428	4,154,273	(31,845)	-0.8%	4,075,398	47,030	1.2%
West of Hudson	84,778	82,309	2,469	3.0%	83,578	1,200	1.4%
Total Rail Commutation Ridership	4,207,206	4,236,582	(29,376)	-0.7%	4,158,976	48,230	1.2%
RAIL NON-COMMUTATION RIDERSHIP							
East of Hudson	3,166,529	3,297,011	(130,482)	-4.0%	3,268,763	(102,234)	-3.1%
West of Hudson	70,711	74,943	(4,232)	-5.6%	77,227	(6,516)	-8.4%
Total Rail Non-Commutation Ridership	3,237,240	3,371,954	(134,714)	-4.0%	3,345,990	(108,750)	-3.3%
TOTAL RAIL RIDERSHIP							
East of Hudson	7,288,957	7,451,284	(162,327)	-2.2%	7,344,161	(55,204)	-0.8%
West of Hudson ⁽²⁾	155,489	157,252	(1,763)	-1.1%	160,805	(5,316)	-3.3%
TOTAL RAIL RIDERSHIP	7,444,446	7,608,536	(164,090)	-2.2%	7,504,966	(60,520)	-0.8%
CONNECTING SERVICES RIDERSHIP ⁽³⁾							
	50,970	51,043	(73)	-0.1%	50,216	754	1.5%
TOTAL MNR SYSTEM RIDERSHIP	7,495,416	7,659,579	(164,163)	-2.1%	7,555,182	(59,766)	-0.8%

Notes:

- 1) 2015 ridership figures have been restated to eliminate calendar impacts on ridership.
- 2) West of Hudson ridership figures are preliminary.
- 3) Includes Hudson Rail Link, Haverstraw-Ossining Ferry and Newburgh-Beacon Ferry.

MTA METRO-NORTH RAILROAD RIDERSHIP SUMMARY 2016 YEAR-TO-DATE

TICKET TYPE/SERVICE	2016 YTD ACTUAL	2016 YTD MID-YEAR	VARIANCE VS. MID-YEAR		2015 YTD RESTATE ⁽¹⁾	CHANGE FROM 2015	
			AMOUNT	PERCENT		AMOUNT	PERCENT
RAIL COMMUTATION RIDERSHIP							
East of Hudson	32,603,843	32,882,638	(278,795)	-0.8%	32,245,196	358,647	1.1%
West of Hudson	649,633	652,673	(3,040)	-0.5%	666,185	(16,552)	-2.5%
Total Rail Commutation Ridership	33,253,476	33,535,311	(281,835)	-0.8%	32,911,381	342,095	1.0%
RAIL NON-COMMUTATION RIDERSHIP							
East of Hudson	23,375,221	23,738,861	(363,640)	-1.5%	23,373,139	2,082	0.0%
West of Hudson	499,648	518,918	(19,270)	-3.7%	497,702	1,946	0.4%
Total Rail Non-Commutation Ridership	23,874,869	24,257,779	(382,910)	-1.6%	23,870,841	4,028	0.0%
TOTAL RAIL RIDERSHIP							
East of Hudson	55,979,064	56,621,499	(642,435)	-1.1%	55,618,335	360,729	0.6%
West of Hudson	1,149,281	1,171,591	(22,310)	-1.9%	1,163,887	(14,606)	-1.3%
TOTAL RAIL RIDERSHIP	57,128,345	57,793,090	(664,745)	-1.2%	56,782,222	346,123	0.6%
CONNECTING SERVICES RIDERSHIP ⁽²⁾							
	384,969	378,689	6,280	1.7%	368,735	16,234	4.4%
TOTAL MNR SYSTEM RIDERSHIP	57,513,314	58,171,779	(658,465)	-1.1%	57,150,957	362,357	0.6%

Notes:

1) 2015 ridership figures have been restated to eliminate calendar impacts on ridership.

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

MTA METRO-NORTH RAILROAD

RIDERSHIP BY LINE

AUGUST 2016

LINE	AUGUST 2016 ACTUAL	AUGUST 2015 RESTATED ⁽¹⁾	CHANGE FROM 2015	
			AMOUNT	PERCENT
EAST OF HUDSON				
Harlem Line	2,348,207	2,350,763	(2,556)	-0.1%
Hudson Line	1,442,263	1,453,563	(11,300)	-0.8%
New Haven Line	3,498,487	3,539,835	(41,348)	-1.2%
Total East of Hudson	7,288,957	7,344,161	(55,204)	-0.8%
WEST OF HUDSON				
Port Jervis Line	92,711	96,768	(4,057)	-4.2%
Pascack Valley Line	62,778	64,037	(1,259)	-2.0%
Total West of Hudson ⁽²⁾	155,489	160,805	(5,316)	-3.3%
TOTAL RAIL RIDERSHIP	7,444,446	7,504,966	(60,520)	-0.8%
CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS				
Hudson Rail Link	32,015	31,221	794	2.5%
Haverstraw-Ossining Ferry	12,696	12,487	209	1.7%
Newburgh-Beacon Ferry	6,259	6,508	(249)	-3.8%
Total Connecting Services	50,970	50,216	754	1.5%
TOTAL MNR SYSTEM	7,495,416	7,555,182	(59,766)	-0.8%

Notes:

1) 2015 ridership figures have been restated to eliminate calendar impacts on ridership.

2) West of Hudson ridership figures are preliminary.

MTA METRO-NORTH RAILROAD

RIDERSHIP BY LINE

2016 YEAR-TO-DATE

TICKET TYPE/SERVICE	2016 YTD ACTUAL	2015 YTD RESTATE ⁽¹⁾	CHANGE FROM 2015	
			AMOUNT	PERCENT
EAST OF HUDSON				
Harlem Line	18,282,479	18,140,044	142,435	0.8%
Hudson Line	10,935,381	10,860,127	75,254	0.7%
New Haven Line	26,761,204	26,618,164	143,040	0.5%
Total East of Hudson	55,979,064	55,618,335	360,729	0.6%
WEST OF HUDSON				
Port Jervis Line	679,730	692,535	(12,805)	-1.8%
Pascack Valley Line	469,551	471,352	(1,801)	-0.4%
Total West of Hudson	1,149,281	1,163,887	(14,606)	-1.3%
TOTAL RAIL RIDERSHIP	57,128,345	56,782,222	346,123	0.6%
CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS				
Hudson Rail Link	256,304	253,908	2,396	0.9%
Haverstraw-Ossining Ferry	87,841	75,722	12,119	16.0%
Newburgh-Beacon Ferry	40,824	39,105	1,719	4.4%
Total Connecting Services	384,969	368,735	16,234	4.4%
TOTAL MNR SYSTEM	57,513,314	57,150,957	362,357	0.6%

Notes:

1) 2015 ridership figures have been restated to eliminate calendar impacts on ridership.



Metro-North Railroad

Capital Program Report

CAPITAL PROGRAM

HIGHLIGHTS

September 30, 2016

GRAND CENTRAL TERMINAL (GCT)

GCT Train Shed Rehabilitation

Progress in the train shed continues with: de-leading of steel, fabrication, and delivery of new steel; application of paint around steel repaired connections; installation of protective shield at various deficiency locations; and installation of temporary column supports at girder repair locations. At the street-level repairs are underway with permits received from the NYCDOT for lane closure on 49th Street between Lexington and Park Avenue to enable the work to proceed.

Overall project completion anticipated in February 2017.

GCT Elevators Rehabilitation Phase 4 (SE-1 & SE-2 serve upper and lower levels and Depew Place loading dock; A-car elevator serves M42 substation)

SE-1: Completed all work related elevator control panel wiring and the elevator is ready to be tested. The elevator is forecasted to be placed in service in October 2016.

SE-2: Elevator work will commence upon completion of SE-1 and is forecasted to be placed in service in the January 2017.

A-car: Completed repair and reinforcement of elevator shaft; delivery of new elevator car is forecasted for December 2016. A-Car is anticipated to be placed in service in the second quarter of 2017.

GCT Utilities (fire suppression system upgrade at lower level of train shed and utility tunnels, and replacement of 49th St. existing fire pump)

Installation of pipes and hangers and identification of utility conflicts continues at Track 200 and in the 43rd Street, 45th Street and west tunnels. Field inspections of the facility are also underway for shop drawing generation.

Overall project completion anticipated in December 2017.

GCT Leaks Remediation Phase II

- Vanderbilt Avenue: Continue with masonry restoration and Park Avenue Viaduct balustrade and historic light pole base pier reconstruction. Continue with roadway restoration at the 44th Street intersection. West sidewalk joint excavation and steel

reconstruction work commenced between 43rd and 45th streets. Foundation work is underway for signal installation at East 43rd, 44th & 45th Street intersections.

- 45th Street Bridges: Restoration of the southbound and northbound 45th Street bridges continues with: offsite cleaning and painting of the architectural panels; removal of concrete encasement from columns. Preparations are underway for painting of all bridge steel. Completed: removal of concrete encasement at the girders at street level and within the surrounding sidewalk utilizing temporary enclosures; steel repairs at the southbound 45th Street Bridge columns; and assessment of the 45th Street columns for required structural steel repairs. Estimated completion in December 2016.
- Park Avenue Viaduct: Catch basin replacement as directed along the Park Avenue Viaduct southbound, over sidewalk space adjacent to the La Fonda restaurant, has been completed. Remaining miscellaneous steel work, fireproofing installation, and ceiling restoration work to be completed by November 2016.
- Taxi Stand: In the northern half section, masonry pier repairs are scheduled to commence and be completed in November 2016.

Park Avenue Viaduct Direct Fixation

The design consultant has completed 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. The data that was collected has been evaluated and a draft report has been submitted and reviewed by project stakeholders. The consultant is investigating the replacement grout for the existing grout plinths that support the fastener bodies atop the deck. Upon finalization of the recommended repairs, the consultant will construct a mockup of the recommended design and this will be subjected to cyclical loading to test the integrity of the proposed system. Subsequently, the design consultant will prepare design documents to enable Metro-North force account to commence with repairs. Overall project completion anticipated in December 2016.

STATIONS/PARKING/FACILITIES

Station Building Renewal Projects

The project scope is to furnish and install a new elevator at Port Chester Station and replace the adjacent stairs to the platform (outbound side); demolish an abandoned building; and construct an ADA compliant ramp on the inbound side. Installation of a temporary fence, adjacent to temporary ADA ramp from outbound platform to East Broadway, has been completed. Temporary ADA ramp was delivered and installation is also complete. Work is forecasted to be completed in the third quarter of 2017.

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

Design consultant has finalized design-build documents with project stakeholders. Solicitation for proposals is scheduled to commence in October 2016 with project kickoff by spring 2017. It is anticipated that Prospect Hill Road Bridge will be opened for vehicular service by year end of 2018.

Design of Grand Central Terminal (GCT) and Outlying Stations Audio and Visual Information System Replacements

The purpose of this project is to design a replacement for GCT's Information System (big boards, gate boards, digital track indicators, monitors and platform displays) with a modern, more capable and robust infrastructure as well as develop a new station public address system that will provide audio and visual display of scheduled trains at outlying stations. The preliminary design is under way to prepare GCT and Outlying Station Design Packages for visual and audio public address system infrastructure. Both GCT and Outlying Stations will be proceeding with design-build project delivery methods.

Enhanced Station Improvements at Harlem-125th Street, Riverdale, Crestwood, White Plains and Port Chester

Through a joint procurement, Metro-North and Long Island Rail Road awarded a contract in July 2016 to a Best Practices Design Consultant to advise on industry best practices as a means to enhance the aesthetics and amenities of stations, passenger's experience, and improve stations through design innovation and excellence, all with minimal disruptions to customers. Architectural enhancements such as: artistic lighting and lighting of historic stations as well as other types of enhancement opportunities will be explored as part of this effort. It is anticipated that a design-build contract will be awarded in spring 2017.

POWER

Power, C&S Infrastructure Restoration Phase I – Sandy (Design-Build)

- Continued Track 3 outage from CP26 to CP33 (North of Tarrytown to South of Croton Harmon) and with forecast completion in January 2017. During this outage, reverse off-peak bussing will be provided for customers at Philipse Manor and Scarborough stations. The following work is under way:
 - At Croton-Harmon, continue to progress the installation of foundations for elevated steel platforms and installation of jumpers.
 - At Philipse Manor and Scarborough, continue to install trough, signal power electrical duct bank, elevated raceway, and continuity jumpers.

- At Ossining, at Sing-Sing, continued installation of conduits for signal power and communication & signal on the wall.

Overall project completion is anticipated in December 2017.

Power Infrastructure Restoration – Substations – Sandy

Riverdale and Tarrytown: Substation elevated vault foundation and conduit installations are complete. Factory acceptance tests for the electrical equipment are underway with final testing anticipated in November 2016. Delivery of the prefabricated substation and electrical equipment is anticipated in December 2016.

Croton-Harmon: Substation elevated vault foundation and conduit installations are complete. Fabrication of the substation is underway with Factory Acceptance Testing and delivery of the substation and its associated electrical equipment anticipated in December 2016.

Overall project completion anticipated in April 2017.

Harlem & Hudson Lines Power Improvements

Construction of 86th Street Substation and 110th Negative Return Reactors

- 86th St: Demolition to commence at the west platform. Core drilling on the east platform will commence after MNR completes asbestos abatement in the vicinity. Conduit installation to supply power for Verizon wireless service and emergency radio communication service is in progress. Fabrication of AC and DC switchgears is in progress and forecasted to be delivered in first quarter of 2017. M86 substation shut- down and turn-over to the contractor for removal of existing equipment to commence in November.
- 110th St (replacement of negative return reactors in the substation under the viaduct): Facility is complete and operating as of July 2016.

Brewster Substation

- Completed installation of 15kv manhole, continue to install conduits in ductbanks. Fabrication of switchgear is under way with delivery forecasted in first quarter of 2017.

Brewster Substation completion will be in 3rd quarter 2017 with overall project completion by December.

Substation Replacement Bridge-23

- Mount Vernon - Auto Transformer AT-1 is being tentatively scheduled for testing in October 2016.
- Pelham - Final testing of the voltage balancing station is scheduled to commence in October 2016.
- New Rochelle – Final preparations for a future 15KV power redundancy connection are underway.

Overall project completion anticipated in June 2017.

TRACK AND STRUCTURES

Bronx Drainage Phase II B Improvements between Mott Haven and Fordham

Installation of HDPE pipe along Tracks 1, 2, 3 and 4, per base scope of the contract, has been completed. MNR recently awarded two contract options which will require an additional 8,310 LF of pipe installation from E 162nd street to E 168th street and has commenced. The track outages are being coordinated with the CP109 project. The work includes 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 the New York City Department of Environmental Protection's (NYCDEP) combined sewer at the intersection point where NYCDEP's pipes cross under the tracks.

Overall project completion is anticipated in June 2018.

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

The field inspection phase of the bridges continues and is approximately 75% complete. Bridge inspectors continue to progress with the inspection across Metro-North's territory, focusing on Harlem Line bridges.

Associated Inspection and Load Rating reports continue to be submitted and reviewed by key stakeholders.

Overall project completion anticipated in March 2018.

Repair Park Avenue Viaduct at 118th Street

The Park Avenue Viaduct emergency repairs, as a result of the May 17, 2016 fire, are proceeding on an expedited schedule with: removal of the damaged column complete; fabrication of the new column underway; and removal of existing paint and application with new progressing. Anticipate completion by the end of November 2016.

Undergrade Bridges – West of Hudson

The designs for in-house force account repairs to seven undergrade bridges on the Port Jervis Line (between Harriman and Campbell Hall stations) have the following status: final designs are complete for all seven of the bridges: JS 44.80, JS 63.04, JS 61.56, JS 47.19, JS 58.64, 62.00 and JS 66.22. Anticipate commencement of the force account construction of the repair of two bridges, JS 63.04 and JS 62.00, in the fourth quarter of 2016. Overall project completion anticipated in December 2018.

COMMUNICATIONS AND SIGNAL

Positive Train Control (PTC)

Transponders continue to be installed and tested for Civil Speed Enforcement on both the Hudson and New Haven Lines. Installation and testing of transponders for Civil Speed Enforcement on the New Haven Line are 100% percent complete and Civil Speed Enforcement was placed into revenue service for Amtrak and Freight Carriers from CP 261 to CP 274 on New Haven Line. Installation and testing of PTC transponders is 100% complete for both the Pilot Lines. Wayside subsystem deliveries continue to support the installation of pilot locations. Wayside segment deliveries continue. P32 locomotives and Cab Car On Board hardware installation is ongoing. Project Completion is progressing towards the December 31, 2018 deadline

West of Hudson Signal Improvements

The purpose of this project is to install a new 100 Hz Cab Signal system replacing the existing antiquated system on the Port Jervis Line between Suffern, NY (MP 31.3) and Sparrowbush, NY (MP 89.9), with the work divided into five segments. Currently, Metro-North force account is continuing work along Segment 1 (CP-Sterling to CP-Harriman), with cutover anticipated in the second quarter of 2017.

SHOPS AND YARDS

Harmon Shop Improvements

Phase V, Stage I Design-Build

- Consist Shop Facility/Building 6 (CSF): Continued with preparation for installation of slabs and conduit for traction power in the south area; drainage utilities, and the industrial waste system. Installation of structural steel and decking at the south end of the building continues with forecast completion in December 2016.

- EMU (Electric Multiple Unit) Annex Building: Completed placement of concrete for the passenger elevator pit at the south end. Continued with support steel installation for the metal wall panels on the east and west elevations; and installation of temporary power and lighting for the first and second floors.
- West of the EMU Annex Building (Chirico Street); Installation of medium voltage communication conduits, duct banks, spicing chamber racks, and gas main progressing.
- Welding Training Facility - commenced with installation of fire suppression system.

Phase V Stage II Preliminary Design

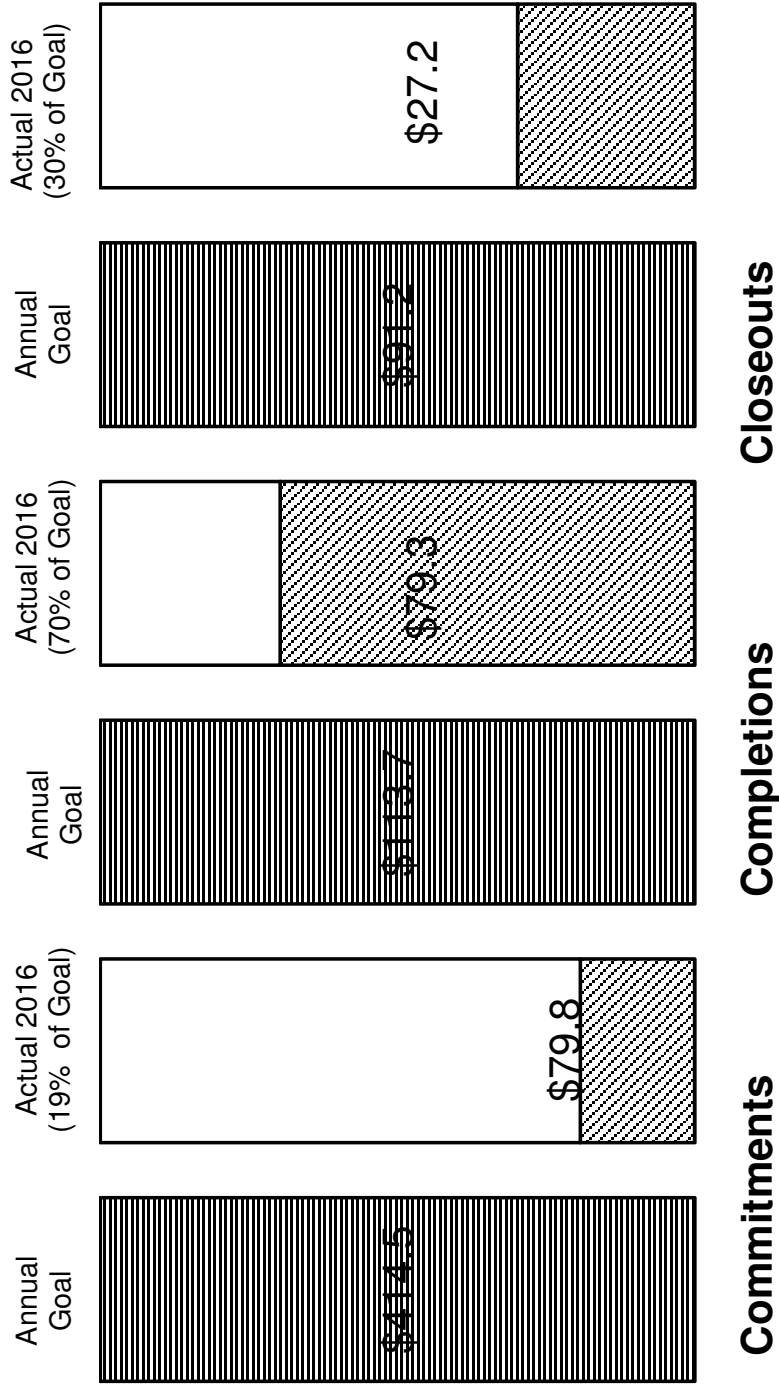
- Stage II Preliminary Design for the Running Repair and Support Facility continues with information and data gathering activities to facilitate the update of the Harlem and Hudson Master Plan for Harmon Yard and other NY Maintenance of Equipment facilities. Design completion anticipated in January 2018.

Overall project completion anticipated in February 2018.

2016 MNR Capital Program Goals

As of September 30, 2016

In Millions



■ 2016 Goals ■ Actual as of September 30, 2016