



**Metropolitan Transportation Authority**

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

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## **December 2018**

### **Members**

S. Metzger, Chair, MNR Committee

M. Pally, Chair, LIRR Committee

N. Brown

R. Glucksman

I. Greenberg

C. Moerdler

A. Saul

S. Rechler

V. Tessitore, Jr.

V. Vanterpool

N. Zuckerman

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

**2 Broadway  
20th Floor Board Room New York, NY  
Monday, 12/10/2018  
8:30 - 10:00 AM ET**

## **1. Public Comments Period**

## **2. Approval of Minutes - November 13, 2018**

### **a. MNR Minutes**

*MNR Minutes - Page 5*

### **b. LIRR Minutes**

*LIRR Minutes - Page 15*

## **3. 2018 Work Plans**

### **a. MNR Work Plan**

*MNR Work Plan - Page 25*

### **b. LIRR Work Plan**

*LIRR Work Plan - Page 32*

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

### **a. MNR Report (no material)**

- **MNR Safety Report**

*MNR Safety Report - Page 39*

### **b. LIRR Report (no material)**

- **LIRR Safety Report**

*LIRR Safety Report - Page 42*

### **c. MTA Capital Construction Report**

*MTA Capital Construction Report - Page 46*

### **d. MTA Police Report**

*MTA Police Report - Page 50*

## **5. AGENCY ACTION ITEMS**

### **a. MNR Item**

- **2019 Final Proposed Budget**

*2019 Final Proposed Budget - Page 58*

### **b. LIRR Item**

- **2019 Final Proposed Budget**

*2019 Final Proposed Budget - Page 70*

## **6. AGENCY INFORMATION ITEMS**

### **a. Joint Information Item**

- **LIRR/MNR PTC Project Update**  
*LIRR/MNR PTC Project Update - Page 82*

### **b. MNR Information Items**

- **2019 Proposed Committee Work Plan**  
*2019 Proposed Work Plan - Page 96*
- **Diversity/EEO Report – 3rd Quarter 2018**  
*Diversity-EEO Report - 3rd Quarter 2018 - Page 103*
- **Acquisition of property from HPH Fleetwood LLC for commuter parking at the Fleetwood Station**  
*Acquisiton of Property in Mount Vernon, NY - Page 120*

### **c. LIRR Information Items**

- **2019 Proposed Committee Work Plan**  
*2019 Proposed Committee Work Plan - Page 121*
- **Diversity/EEO Report - 3rd Quarter 2018**  
*Diversity/EEO Report 3rd Quarter 2018 - Page 129*
- **January Timetable Change & Trackwork Programs**  
*January Timetable Change & Trackwork Programs - Page 146*

## **7. PROCUREMENTS**

### **a. MNR Procurements**

*MNR Procurements - Page 149*

- **Non-Competitive - None**
- **Competitive**  
*MNR Competitive Procurements - Page 153*
- **Ratifications - None**

### **b. LIRR Procurements**

*LIRR Procurements - Page 156*

- **Non-Competitive (No Items)**
- **Competitive**  
*LIRR Competitive Procurements - Page 160*
- **Ratifications (No Items)**

### **c. MTA CC Procurements**

*MTA CC Procurments - Page 163*

- **Non-Competitive (No Items)**
- **Competitive**  
*MTA CC Competitve - Page 167*
- **Ratifications (No Items)**

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

### **a. MNR Reports**

- **MNR Operations Report**  
*MNR Operations Report - Page 171*
- **MNR Finance Report**  
*MNR Finance Report - Page 184*
- **MNR Ridership Report**  
*MNR Ridership Report - Page 207*
- **MNR Capital Program Report**  
*Capital Program Report - Page 218*

### **b. LIRR - Performance Summaries**

- **LIRR Operations - Transportation**  
*LIRR Operations - Transportation Report - Page 228*
- **LIRR Operations - Mechanical**  
*LIRR Operations - Mechanical Report - Page 234*
- **LIRR Finance Report**  
*LIRR Finance Report - Page 239*
- **LIRR Ridership Report**  
*LIRR Ridership Report - Page 264*
- **LIRR Capital Program Report**  
*LIRR Capital Program Report - Page 272*

Minutes of the Regular Meeting  
Metro-North Committee  
Tuesday, November 13, 2018

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

The following members were present:

Hon. Susan G. Metzger, Chair of the Metro-North Committee  
Hon. Mitchell H. Pally, Chair of the Long Island Committee  
Hon. Norman Brown  
Hon. Charles G. Moerdler  
Hon. Veronica Vanterpool  
Hon. Carl V. Wortendyke

Not Present:

Hon. Randy Glucksman  
Hon. Andrew Saul  
Hon. Neal J. Zuckerman

Also Present:

Janno Lieber, MTA Chief Development Officer  
Catherine Rinaldi – President, Metro-North Railroad  
Susan J. Doering – Executive Vice President, Metro-North Railroad  
Glen Hayden – Vice President, Engineering  
Yvonne Hill-Donald - Vice President, Human Resources  
Richard L. Gans – Vice President and General Counsel  
John Kennard – Vice President – Capital Programs  
Kevin O'Connor – Chief Transportation Officer, Transportation  
Mark Mannix – Sr. Director, Corporate and Public Affairs  
Thomas Mitchell – Vice President, Customer Service and Stations  
Owen Monaghan, Chief, MTA Police Department  
Andrew Paul – Vice President, Labor Relations  
Michael Shiffer – Vice President, Planning  
Justin Vonashek – Vice President, System Safety  
Steve Weiss – Executive Director Management and Budget

Chair Metzger called the meeting to order.

**1. SAFETY PROCEDURES**

Justin Vonashek, Vice President, System Safety, reviewed the emergency safety procedures.

## **2. PUBLIC COMMENT**

Orrin Getz, Vice Chairman Metro-North Railroad Commuter Council, commented on the Way Ahead Plan. He stated that the only west of Hudson matter mentioned in the plan is for the Mid-Hudson Yard at Campbell Hall. Mr. Getz stated that the June 2016 letter written by Rockland County Executive Ed Day provides a detailed explanation regarding what Rockland County needs from the MTA, noting that stations are a major issue. He expressed his opinion that the Spring Valley Station needs to be rehabilitated. He stated that Suffern Station which is a New Jersey Transit (NJT) station, also needs to be rehabilitated. Mr. Getz noted that a hearing regarding Transit Oriented Development will be held at the Clarkstown Town Hall this evening.

Jason Pineiro stated that he hopes Metro-North makes the December 31, 2018 deadline for Positive Train Control (PTC). He enjoyed President Rinaldi's presentation of the Way Ahead Plan and looks forward to Metro-North's progress.

Murray Bodin stated that he is working with the New Jersey Commissioner of Transportation's representative on New Jersey's manual for uniform traffic control devices. He stated that he has commented that the red box painted on the roadway at the Roaring Brook Road grade crossing is illegal and nothing has been done about it. He expressed his opinion that the Committee has the job of ensuring that Metro-North abides by the law.

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.

## **3. APPROVAL OF MINUTES**

Upon motion duly made and seconded, the Committee approved the minutes of the October 22, 2018 Metro-North Committee meeting.

## **METRO-NORTH 2018 WORK PLAN**

The Metro-North 2018 Work Plan has been changed. The Charter Review has been removed from the Work Plan because the Committee on Corporate Governance and the full Board completed the annual review of all the charters in March, 2018.

The details of the Metro-North 2018 Work Plan are contained in a 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.

## **MOMENT OF SILENCE**

President Rinaldi led the Committee in observing a moment of silence to recall MTA's Director of Strategic Planning Bill Wheeler who recently passed away. She stated that Mr. Wheeler was a Metro-North commuter and a friend to Metro-North.

## **PRESIDENT'S REPORT**

President Rinaldi reported on the progress Metro-North has made on the implementation of PTC. She reported that the railroad has performed PTC interoperability testing with Amtrak and CSX, who operate on Metro-North's lines. Metro-North's test train continues to run on the pilot track between Croton-Harmon and Tarrytown in order to successfully demonstrate safe and reliable PTC operations. At the end of October 2018, several state and federal representatives

and staff traveled with the project team on the test track and saw first-hand the complexity of the PTC system. On the Port Jervis Line, the railroad has completed the latest phase of the signal system upgrades that will support the installation of PTC. With the Federal Railroad Administration's (FRA) conditional approval of Metro-North's Revenue Service Demonstration (RSD) application, the railroad is on target to begin the RSD later this month. Metro-North is currently working on a schedule that calls for the simultaneous commissioning of PTC on multiple segments; the railroad will have a better idea of how quickly that can be accomplished once it enters into RSD.

President Rinaldi reported on the initiatives taken in September 2018 with the goal of improving service reliability. Infrastructure improvements were performed over several fall weekends to remove speed restrictions at critical locations on the Hudson Line. Undercutting work was suspended on the New Haven Line and the undercut track was restored. Substitute bus service was provided on the Danbury and Waterbury branches over two consecutive weeks in October for the installation of PTC equipment and infrastructure improvements. President Rinaldi reported that since undertaking these initiatives, the railroad has begun to see an improvement in running times and in the reliability of the service. In the month of October 2018, on-time performance on the Hudson Line was at 92.1%, on-time performance on the New Haven Line improved slightly at 88.1%, and system wide on-time performance improved slightly from the month of September but was below goal at 89.6%. Year-to-date October 2018, system wide on-time performance was below goal at 90.5% against a goal of 93%.

President Rinaldi reported that a significant storm moved through Metro-North's region on October 2, 2018 with high winds and tornadoes, heavily impacting Harlem Line service for two days. Track 2 just north of Hawthorne Station experienced significant damage with a washout that was repaired by 6 a.m. on October 4. As a result of the storm, on-time performance on the Harlem Line in the month of October was 89.6%.

President Rinaldi reported that the railroad is beginning to see an increase in train delays of six to 10 minutes during the a.m. peak due to the onset of slippery rail conditions. She noted that Metro-North has taken a very proactive approach to minimize the delays and inconvenience that slippery rail may create for Metro-North customers. Metro-North engineers have been instructed to report slippery conditions immediately to the Operations Control Center and have been provided with additional training in how to operate through "slippery" areas. The railroad has enhanced its computerized train-tracking system to allow for automatic reporting of slip-slide incidents and conditions to enable the railroad to take corrective action more quickly and has installed a Wheel Impact Load Detector (WILD) across all four tracks in the Park Avenue Tunnel to monitor for wheel flats that may have developed during operation, permitting Metro-North to identify and prioritize wheels for repair. Metro-North has installed a tandem Wheel Truing Lathe in Harmon Shop. This state-of-the-art wheel true facility can cut both wheels on a truck simultaneously which allows for proper wheel diameter matching and also helps the railroad to return cars to service more quickly so that enough cars are available for our customers. The Connecticut Department of Transportation has built a second identical facility in New Haven to support the M-8 Fleet. The railroad is also working to keep the right-of-way as leaf-free as possible by using two large high-pressure rail washers and several smaller rail scrubbers to remove crushed leaf residue from the tracks. On-board sanders on the railroad's diesel trains automatically drop sand on the tracks to help improve traction and reduce wheel slippage when it begins to occur. Mr. O'Connor noted that the railroad has had issues with wheel slippage and flat wheels, but the issue is better than in past years. Chair Metzger stated that this is good news because the conditions have not led to fewer cars in service. She asked if the monitoring system in the Park Avenue Tunnel is helping. Mr. O'Connor noted that the monitoring system has helped Metro-North to determine whether there is a significant problem with the equipment that would

require sending the car to the wheel true shop for repair. President Rinaldi noted that recent weather conditions have contributed to slippage conditions.

President Rinaldi noted that station enhancements to improve customers' day-to-day experience are one of the railroad's key initiatives under the Way Ahead Plan. She presented a slide show containing before and after photographs of the first phase of capital improvements at White Plains Station and the work completed at Riverdale Station, both of which were completed the end of September 2018. Chair Metzger stated that she would like the Committee to be kept abreast of future improvements and that the Committee should receive updates regarding what is being done west of Hudson. President Rinaldi will provide the Committee with a report during the December Committee meeting regarding the work being performed at Spring Valley. Metro-North is also making capital investments at Nanuet Station.

President Rinaldi welcomed Mayra Bell who has been appointed as Metro-North's Director, Office of EEO and Diversity. She noted that Ms. Bell has a distinguished career that includes time with the New York City Board of Education, as a Trial Attorney and with New York City Transit, as a Senior Labor Attorney. Ms. Bell joins Metro-North from the New York City Mayor's Office of Labor Relations where she served as General Counsel, responsible for managing all aspects of the legal department, conducting EEO investigations and representing the City of New York in labor proceedings. She graduated from Fisk University with a Bachelor of Arts and Georgetown University Law Center with a Juris Doctor. President Rinaldi acknowledged the efforts of Mayela Clarke, who served as Acting Director for the past nine months. During her tenure as Acting Director, Ms. Clarke led an aggressive training program, reaching employees at all shifts and locations. President Rinaldi thanked Ms. Clarke for her dedication and hard work in the acting role.

The details of the President's Report are contained in the video recording of the meeting produced by the MTA and maintained in the MTA records, which recording contains Chair Metzger's comments and discussion regarding the President's Report.

### **CUSTOMER SERVICE REPORT**

Mr. Mitchell reported that the railroad will be launching a Station Ambassador pilot program similar to the Usher program in Grand Central Terminal (GCT). The program will take place at major outlying stations and will begin in December during the a.m. peak hours at Harlem-125<sup>th</sup> Street Station, Fordham Station, White Plains Station, and Stamford Station. If successful, the pilot will be expanded to the p.m. peak. Ambassadors, wearing an identifiable uniform or jacket, will greet customers; provide needed information or assistance; assist customers with directions pertaining to travel throughout the MTA service territory, major connection points, stations, connecting mass transit systems, local points of interest, landmarks, elevators/escalators, exits, and ticket windows; provide information during service changes or major service disruptions and assist with alternate transportation, if needed; assist customers in the use of ticket vending machines (TVMs); do daily systems checks, including elevators and escalators, the public address system, digital signage, TVM's and report issues for repair; assist customers with limited mobility to exits, platforms, bus stops, cab stands, and other mass transit points; perform frequent safety and security checks and report any issues to appropriate personnel; perform cleanliness and structural inspections of station and platforms and report issues to appropriate personnel; and immediately address any safety concerns by correcting the issue or coning off areas until the item can be removed or corrected by maintenance forces. Ambassadors can be relocated to other stations, if needed. Mr. Mitchell acknowledged the Transportation Communications Union for their cooperation in the development of this pilot. Since

the presence of station personnel has declined over the years, this Pilot will provide a much needed infusion of personal attention at stations.

The details of Mr. Mitchell's report are contained in the video recording of the meeting produced by the MTA and maintained in the MTA records.

### **MTA METRO-NORTH RAILROAD SAFETY REPORT**

Mr. Vonashek reported that both customer and employee lost time injuries in the current 12-month period from October 2017 to September 2018 trended better than the previous 12-month period. Customer injuries decreased by nearly 10% versus the previous 12 months and employee lost time injuries decreased 22%. Metro-North's community outreach program, TRACKS, reached 9,500 individuals in September bringing the total year-to-date September 2018 to over 91,000. In October, Metro-North held its annual full-scale emergency preparedness exercise in the Park Avenue Tunnel. The scenario simulated the evacuation of a train in the tunnel and included response from Metro-North, the MTA Police Department (MTAPD), and the New York City Fire Department. The exercise evaluated the coordination and communication processes between the agencies. Thanks to the efforts of all of the agencies, this was a successful exercise and further ensured Metro-North's ability to respond in a real life situation.

Board member Moerdler stated the problem with broken crossing gates has continued. Mr. Vonashek stated that broken gates are the result of drivers not yielding to warning devices. Board member Moerdler asked if cameras are posted at crossings. Mr. Vonashek reported that there are cameras at some crossings that are used to evaluate a pilot program. However, Metro-North does not have cameras that are used to enforce violations. President Rinaldi noted that for approximately 10 years Metro-North has been submitting a proposed legislative package jointly with the Long Island Rail Road seeking the ability to install cameras at grade crossings to be used for enforcement. Metro-North will continue to advocate for cameras and will seek to have the bill reintroduced. President Rinaldi noted that the railroad believes the legislation will be an extremely important safety initiative to improve driver behavior at crossings. A copy of the proposed legislation will be provided to Board members. Chair Metzger stated that the Committee will address this legislative hurdle. Board member Moerdler stated that the Board's energies have been harnessed in a constructive manner with Board members using their talents, contacts and abilities. President Rinaldi stated that the railroad appreciates any support the Board can provide in terms of obtaining legislative support for this initiative.

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 contains discussions between Chair Metzger, Board member Moerdler, President Rinaldi, and staff regarding the Safety Report.

### **MTAPD REPORT**

Chief Monaghan reported on crime statistics, noting that in October 2018 total major felonies system-wide decreased by 9 crimes versus the comparable period of 2017, 13 versus 22 or a decrease of 41%. System-wide total major felonies in October 2018 were lower than in any prior October. In October 2018, total major felonies on the Metro-North system decreased by 9 crimes versus the comparable period of 2017, six versus 15 or a decrease of 60%. There were two robberies, one burglary, and three grand larcenies; half of these crimes resulted in arrest. Year-to-date October 2018, total major felonies on the Metro-North system decreased by 9 versus the comparable period of 2017, 110 versus 119 or a decrease of 8%. Year-to-date October 2018,

there were 24 hate crimes versus 23 in the comparable period of 2017. There were two aggravated harassments, one misdemeanor assault and 20 criminal mischiefs.

Board member Moerdler congratulated the MTAPD force. He asked about the six hate crimes against Blacks. Chief Monaghan reported that there was one assault which resulted in arrest and five were in the form of graffiti. He noted that there were also 13 anti-Semitic hate crimes in the form of graffiti. Board member Moerdler discussed the impact of graffiti preceding the Holocaust. He noted that graffiti is the first step towards hate, war and worse and must be stamped out. He stated that the riding public should be involved in stopping graffiti. Chief Monaghan understands and agrees with Board member Moerdler's comments. He stated that "See Something Say Something" is to be utilized for any time of crime and, in particular, for that type of hate crime when the MTAPD response can result in an arrest. Board member Moerdler stated that those arrested for hate crimes should be vigorously prosecuted and receive heavy sentences.

The details of Chief Monaghan's report are contained in the MTAPD 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 contains discussion between Board member Moerdler and Chief Monaghan regarding hate crimes.

### **INFORMATION ITEMS:**

Five information items were presented to the Committee.

- Diversity – EEO Report – 2nd Quarter 2018 – President Rinaldi gave the report. She reported that from January 1, 2018 to June 30, 2018, Metro-North's workforce consisted of 6,749 employees. Of the 6,749 employees, 13% are female, 38% are minorities and 8% are veterans. With respect to new hires, females and minorities are being hired at a higher percentage compared to their current representation in the workforce. During that same time period, Metro-North hired 250 employees. Of the 250 new hires, 15% are females and 48% are minorities. Metro-North is working to promote diversity in the workforce.

To retain females and promote female professional development, Metro-North has hosted several Women's History Month Lunch & Learn forums focused on women and transportation. The railroad has had several corporate events focusing on mentoring, work/life balance, and promotional opportunities for females in transportation. Metro-North has developed and launched new and interactive training on EEO, Harassment, Gender Expansive and Respect in the Workplace for Maintenance of Way employees. As of the week of November 5, over 1900 employees have been trained. Metro-North has hosted a number of events to celebrate diversity and foster inclusion, including a guest speaker during Jewish-American Heritage Month, an Asian Pacific-American Heritage Potluck, a National Caribbean American Heritage Celebration, an LGBTQ Pride Month acknowledgment article in MTA Today, published a guide for promoting employee appreciation month, and a Yankee versus Mets game diversity and inclusion event.

Through the Way Ahead Plan, the railroad is also trying to foster cross-functional teamwork to increase interaction between multiple levels of management and provide networking and mentoring opportunities. Specific strategies highlighted in the Way Ahead Plan include partnering with schools to develop apprenticeship programs geared toward attracting qualified minority applicants; attending recruitment

and best workplace practice seminars to increase female hiring and maintain female retention in the workplace; and a networking group that was formed by some of Metro-North's woman engineers. The group discusses networking opportunities, work life balance opportunities and works together to develop strategies to attract more woman engineers to the workforce. Metro-North hopes that this group can be replicated in other groups so that there may be more networking opportunities for women at Metro-North. President Rinaldi noted that there have been positive conversations regarding what can be done to increase female representation in the workforce. President Rinaldi hopes that in the future the railroad will be able to build up the female workforce to be more representative than the current 13%, which she views as completely unacceptable.

Board member Vanterpool commented on the diversity reports across the MTA agencies, stating that she noticed some very positive milestones and some areas of concern. She thanked President Rinaldi for providing details regarding the initiatives Metro-North is taking to increase the female workforce. She noted that among the new hires the percentage of women and people of color is increasing. Board member Vanterpool noted that she is concerned with the number of internal EEO complaints across the MTA agencies, noting that the percentage is alarmingly high for those employees internally who have made complaints based on race and color. She stated that across the MTA agencies, 100% of the Title VI complaints are ruled in favor of the agencies. Board member Vanterpool believes a different agency-wide strategy should be employed to tackle the issue and bring the percentages down. President Rinaldi wants employees to come forward with their complaints. However, employees will not come forward with these complaints if there is a culture in which employees feel to complain would be futile, and those complaints will not be investigated in a timely and complete way. President Rinaldi noted that Ms. Bell will work to create a culture in which employees feel that their complaints will be heard and investigated thoroughly. President Rinaldi stated that her commitment to the Committee is to continue to take steps to create a climate in which employees feel confident that any allegations they bring forward are fully investigated and redressed if they are found to be substantiated. She believes that the high number of cases agency-wide are indicative of a healthy reporting culture. President Rinaldi reported that Metro-North has retained a diversity and inclusion consultant who is assisting the railroad in terms of developing tactics to create a better and more diverse workplace culture. An employee survey has been launched that addresses diversity and inclusion issues. The railroad is also creating cross-departmental focus groups that will consist of a cross-section of Metro-North employees and will gather information with respect to diversity and inclusion issues at Metro-North and areas which may be improved. The focus group efforts will culminate in the creation of a strategy lab session during which the railroad will receive recommendations as to what it can do better to create a diverse and inclusive workforce. President Rinaldi is hopeful that these efforts will be beneficial in creating a more diverse and inclusive workforce.

Board member Moerdler noted that, in his experience, not all EEO complaints are valid with some being the result of management's efforts to have employees do a better job, but there are also a significant number of valid complaints, many of which do not rise to the point of a formal complaint. He suggested that the MTA as a whole should appoint an ombudsman whose function is to look at complaints and, if the complaints rise to a level that needs to be addressed in some sort of adversarial or investigative context, refer the complaint to that source. If the complaint rises to a lesser level wherein the complaint is a general complaint that a certain group is not being treated

fairly, then something needs to be done by the ombudsman to focus on that area and let management know that there is a problem. Board member Moerdler stated that a good ombudsman will make the workday better for the employees and for management, government, and the public at large. He stated that this will give people the impression that the employer really cares.

Board member Brown stated that culture needs to be nurtured. He stated that employees have told him there is a reporting and retribution cycle at the railroad. He noted that only a small amount of reports have been ruled in favor of the complainant. He stated when verbal threats are made of what will happen to you if you make a complaint, the culture you begin with is a culture that discourages reporting. Board member Brown asked to be provided with a breakdown of the vertical distribution of race and ethnicity by department.

President Rinaldi stated that it takes time to develop trust, takes a while for employees to believe that their complaints will be taken seriously, and that investigations will be through. President Rinaldi acknowledged that change does not occur overnight; she noted that the railroad is building a new team. She noted that Ms. Clarke drove to different facilities, at all shifts and locations during the summer and fall of 2018 to train employees and 2,000 employees were trained over a four month period. President Rinaldi noted that the department has new leadership and that Ms. Bell has a long history of successfully dealing with unions. Ms. Bell's history with unions, along with her legal and EEO background sends the right message that Metro-North will be seriously investigating the allegations it receives.

Chair Metzger thanked the Board members and President Rinaldi for their honesty. She believes that this is a very important issue and that discussions should be held at all of the operating agency Committee meetings, as well as at the Diversity Committee of which Board Member Metzger is the Chair.

- 2018 Holiday and Special Event Services – President Rinaldi gave the report. She reported that Metro-North has developed special timetables for Thanksgiving weekend, Christmas and the New Year's Holiday to address the travel demands of its customers over these holiday periods. In addition, a number of Shoppers' Specials trains will operate for six weekends between November 17 and December 23 to attract customers during the holiday travel period.
- PTC Project Update – President Rinaldi noted that the report is in the committee book and was discussed in her report.
- Option to Purchase Grand Central Terminal and the Harlem and Hudson Lines - President Rinaldi reported that the Committee book contains a Staff Summary as an information item which will be presented to the Finance Committee and the full Board for approval. The Staff Summary seeks approval of the exercise of the option to purchase the fee interest in Grand Central Terminal and Metro-North's Harlem and Hudson Lines.

Board member Moerdler asked if the proposed purchase includes air rights. Mr. Lieber replied that the air rights associated with Grand Central Terminal were alienated pursuant to the Penn Central bankruptcy purchase. This purchase does not include air rights and is strictly for the terminal and Metro-North's Harlem and Hudson Lines and the development rights pertinent thereto.

The details of the above information items are contained in the Committee book 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 contains discussion between Board members and President Rinaldi.

### **PROCUREMENTS:**

One competitive procurement was presented to the Committee:

- Board approval of a contract modification in the not-to-exceed amount of \$2,004,290 to the firm Tully Construction/Richards Plumbing Joint Venture LLC ("Tully/Richards") for the Fire Standpipe System Upgrades located in Grand Central Terminal.

Board member Moerdler noted that a significant mistake was made during the design of the stand pipe which was documented in the contract drawings. Metro-North was paying for that mistake. Mr. Muir noted that Grand Central Terminal is a very complicated area in terms of power sources and availability. He noted that after an inspection was conducted, Metro-North gave the designer specific directions as to where the power source was going to come from. The inspection located an available power source, but the power source that was available for use was subsequently used by force account work for signal power. At that point, there was an error between what the designer was given and the actual condition. There was a lack of communication between the Power Department and the subsequent designer who sent the documents out. Procurement now coordinates with the user departments, especially in GCT where there is so much demand for power due to the number of projects going on. Each involved department has to sign off on what the project is and what the drawings indicate before it goes out to be bid. Board member Moerdler stated that this never should have happened and we have to make sure that this never happens again. President Rinaldi will examine the railroad's existing processes to make sure there is appropriate communication between and among departments.

Upon motion duly made and seconded, the Committee approved the foregoing competitive procurement for recommendation to the Board. Board member Moerdler abstained from the vote.

One ratification was presented to the Committee:

- Board approval of a non-competitive procurement deemed as an "Immediate Operating Need" in the not-to-exceed amount of \$516,650 to ORX Railway Corporation for the purchase of 225 axles for the Metro-North Railroad Coach Cars and M-3 Fleet.

Upon motion duly made and seconded, the Committee approved the foregoing ratification for recommendation to the Board.

The details of the procurements are contained in staff summaries and documentation 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 discussion between Board member Moerdler and staff regarding the above procurements.

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

Board member Moerdler stated that there was a significant increase in trains that arrived more than 15 minutes late which he understands is due to the weather and delays due

to Engineering (unscheduled). He asked what Engineering (unscheduled) delays are and how the railroad is addressing those delays. Mr. Hayden stated that this category is for any work that was not scheduled or anticipated and needs to be done immediately, such as a broken rail or signal failure. Board member Moerdler asked for data for a certain time period, such as a month that would provide a list of the kinds of emergency repairs that are encountered. President Rinaldi noted that a presentation will be given to the Committee at its January 2019 meeting on the 2019 infrastructure program and the impact that work has on service delivery.

Board member Vanterpool noted that page 102 of the Committee book indicates that there is reduced advertising revenue from a smaller Metro-North allocation. She asked if this was due to our contract with Outfront. She also asked about the anticipated subsidy to New Jersey Transit. Mr. Weiss noted that the advertising allocation is part of a broader MTA allocation which is at a fixed total MTA level. The allocation for Metro-North is based on the actual proportion of Metro-North specific allocations. At this point Metro-North is getting a smaller amount of the allocation from the Outfront contract. The NJT subsidy is based on the service NJT provides to Metro-North. Mr. Weiss will get back to the Committee with the specific drivers of the NJT costs.

Board member Moerdler noted that the number of standees on the Harlem and New Haven Line has significantly increased. Mr. Shiffer noted that there were an increased number of standees on the New Haven Line due to the lack of available rail cars which resulted in shorter trains. On the Harlem Line there were an increased number of standees because railcars have been taken out of service for PTC installation, again resulting in shorter trains. Chair Metzger noted that the rollout of PTC is going to cause some issues. The Committee will discuss the effect of PTC on service during the January meeting. President Rinaldi noted that the M-2 fleet used on the New Haven Line is going to be retired because it is not equipped with PTC. The 66 M-8 cars that were ordered for the New Haven Line are not scheduled to arrive until late 2019 so there will be a gap between the retiring of the M-2 cars and the arrival of the M-8 cars which will affect the number of standees. Board member Moerdler noted that a value judgment was made not to equip the older cars on the New Haven Line with PTC. President Rinaldi noted that the railroad will not be running any equipment that is not PTC compliant.

The details of the Operations, Financial, Ridership and Capital Program Reports 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 which recording contains discussion between Board members, President Rinaldi, and staff regarding the Operations Report.

#### **ADJOURNMENT**

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

Respectfully submitted,



Linda Montanino  
Assistant Secretary

**Minutes of the Regular Meeting  
Long Island Rail Road Committee  
Tuesday, November 13, 2018**

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

**The following members were present:**

Hon. Mitchell H. Pally, Chair, Long Island Rail Road Committee  
Hon. Ira R. Greenberg  
Hon. Susan G. Metzger  
Hon. Charles G. Moerdler  
Hon. Scott Rechler  
Hon. Veronica Vanterpool  
Hon. Carl V. Wortendyke

**The following members were not present:**

Hon. Randy Glucksman  
Hon. Vincent Tessitore, Jr.  
Hon. Neal Zuckerman

**Representing Long Island Rail Road:** Phillip Eng, Elisa Picca, Rod Brooks, Chris Calvagna, Loretta Ebbighausen, Mark Young, Richard Mack, and Mark D. Hoffer

**Representing MTA Capital Construction Company:** Janno Lieber, Evan Eisland, David Canon and Peter Kohner

**Representing MTA Police:** Chief Owen Monahan

Long Island Committee Chair Mitchell H. Pally called the meeting of the Long Island Rail Road Committee (“LIC”) to order.

**PUBLIC COMMENTS**

Mark D. Hoffer, LIRR Vice President - General Counsel & Secretary reviewed the emergency safety procedures and introduced the four public speakers, requesting them to limit their comments to two minutes, and to address matters on the agenda for the meeting.

Jason Piniero spoke about LIRR performance, and recent train cancellations with no explanation to riders. He commented that LIRR needs to make changes within its management, and be responsible and more communicative with LIRR riders.

Murray Bodin commended Board Member Charles G. Moerdler and the Metro-North Railroad Committee members for recognizing that the culture at the MTA has changed with the hiring of individuals with new skills, and that people are being recognized for who they are and given the opportunity to express their concerns within the organization.

Matt Kamper, LIRR rider and MTA advocate, spoke about customer notification of temporary platform schedules at Kew Gardens, Forest Hills and Woodside, particularly during events being held at Citi Field and Madison Square Garden; his perception of preferential treatment of Babylon Branch riders; and scheduling additional service along the Ronkonkoma Branch. He commented that President Philip Eng is addressing these issues, and called for the resignation of LIRR senior staff appointed by former LIRR President Nowakowski. He asked President Eng to make LIRR a railroad for everyone.

Omar Vera suggested that there be an information center for East Side Access (“ESA”). He commented about temporary platforms at Kew Gardens, Forest Hills and Woodside, and suggested that LIRR provide discounted tickets for LIRR riders travelling from Penn Station to Woodside to connect to bus service to LaGuardia Airport. Mr. Vera thanked former Chairman Joseph J. Lhota for his MTA service.

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 2018 WORK PLAN CHANGES**

Upon motion duly made and seconded, the Committee approved the minutes of the October 22, 2018 LIC meeting. There was one reported change to the 2018 Work Plan. President Eng reported that LIRR removed the Committee Charter Review because the Corporate Governance Committee and full Board completed the annual review of all Charters in March.

### **MTA LONG ISLAND RAIL ROAD PRESIDENT’S REPORT**

President Eng reported that in September and October, LIRR’s On-Time Performance (“OTP”) is trending upward, 92.36% for September and 92.30% for October. Making a difference is our new sense of urgency under the LIRR Forward plan, and the progress made on our Modern Long Island projects. President Eng stated that sustaining OTP will take time, but he is certain that LIRR staff is focusing on the right priorities. That is why our fall and pre-winter operations are critical for long-term reliable performance.

President Eng stated that he is pleased to report that our fall and pre-winter operations are in full swing. As promised, we have and will continue to take a proactive and aggressive approach to mitigate and reduce weather-related disruptions as we are seeing now in the first half of November.

President Eng stated that this year we have two debris removal trains equipped with power washers to remove the leaves from our rails. We increased their speed and pressure to clean more frequently and effectively. At the same time, we are testing laser technology to remove leaves and slippery pection from the tracks. Both technologies will continue to be enhanced for the future to increase the speed of trains, allowing for more frequent and daytime use.

Our aggressive 180-mile vegetation clearing program is now complete, over one year ahead of schedule. This will help alleviate delays caused by trees and branches falling onto the tracks.

President Eng stated that we are leaving no stone unturned in our efforts to reduce flat wheels and slip-slide delays associated with the fall season.

President Eng stated that LIRR is also continuing to communicate to customers that our operators are taking every measure to ensure the safety of riders, which sometimes means proactively operating at slightly slower speeds in critical corridors when rails are slick. President Eng stated that he would rather allow for an additional 10 minutes of travel time to avoid the worse case scenario of taking cars out of service for flat wheels.

President Eng stated that, we have also been preparing for the upcoming winter season, significantly accelerating all of our initiatives. In doing so, we are challenging the industries that support us to meet higher expectations. Every partner involved is being held accountable and held to a higher standard. Manufacturers and vendors are being pushed to prioritize work to meet our new timeframes.

President Eng stated that simultaneously, we have not lost sight of approaching construction activities with a new eye on how we do business. We are accelerating work for ESA on our tracks within Harold Interlocking for a full week. While this does not require any service changes for our customers, it does reduce the flexibility of our operations. However, we are preparing to protect against any issues that may arise with staffing at key locations during this work.

President Eng stated that as safety is our number one priority, he would be remiss not to discuss Positive Train Control ("PTC"). While an update is in the Committee Book, he noted several key accomplishments. On October 23<sup>rd</sup>, we were notified by the Federal Railroad Administration ("FRA") that it had conditionally approved our Revenue Service Demonstration ("RSD") application. LIRR has completed 100% of all required hardware installations and employee training for PTC compliance. LIRR plans to initiate RSD on the Port Washington branch in December. Finally, LIRR is finalizing its Alternative Schedule for FRA approval that we will be ready to present to the Board next month.

President Eng stated that as we work around the clock to improve our operations we also continue to improve and enhance the customer experience. Last month, we opened two new beautiful station houses at Farmingdale and Wantagh. President Eng thanked LIRR crews and

the industry for their commitment and tirelessness for working so hard to get these projects completed on a timely basis. We also launched LIRR's new Loyalty Program: monthly customers can enjoy discounts at over 100 stores, restaurants and cafes in New York City and throughout Long Island. Since its launch, LIRR has nearly doubled participation in this program. Discounts are provided by participants at no cost to LIRR. We have received positive feedback from the business community and our riders. Our Autumn Weekend service has also been a great success, increasing ridership by 58% from last year. In addition, construction to provide new wireless service throughout the Atlantic Tunnel is underway. We are looking to improve the customer experience throughout the railroad.

President Eng stated that, as promised last month, he wanted to follow up on LIRR's six-month extension for on-call and scheduled rubbish removal. We have reviewed this procurement and have identified internal issues regarding resources that resulted in the need for this extension. However, we are reviewing our policies and procedures and are making changes in order to prioritize needs and better streamline our procurements to avoid similar extensions. In this case, we reviewed the cost and the total cost increase for the extension is estimated at \$147,000, out of a total extension cost of \$3.165 million. This amounts to only a 4.6% increase from prices we received competitively in 2013 when the contract was first awarded. President Eng stated that he has instructed staff to further monitor usage while we seek new contracts beyond the six-month extension. LIRR is committed to identify and participate in the cost containment and procurement reform initiatives underway at MTA.

President Eng then discussed a concern raised by a public speaker at last month's Board meeting, about an industrial facility adjacent to our Bay Ridge Branch. This facility makes use of certain LIRR-owned property and there have been reports of fires occurring at the facility. He stated that we have made it clear to the facility operator, Brooklyn Resource Recovery, that its continued use of LIRR property is conditioned on compliance with an agreement that ensures safe operations and helps protect the quality of life for our neighbors.

President Eng stated that in the same vein, we continue to work with Civics United for Railroad Environmental Solutions ("CURES") CURES to replace the locomotives currently used at Fresh Pond Yard with Tier 4 locomotives. Towards that goal, we have hired an independent firm to review the matter and LIRR's pending Tier 4 locomotive procurement. We will be providing updates soon on these findings, any actions needed on our part, and our continued dialogue with CURES.

President Eng stated that there is tremendous growth across the New York City metropolitan area and it is time for LIRR be more at the forefront of Long Island's growth. No longer can we afford to be reacting to communities and business centers as they grow around us. We are seeking out opportunities where the private sector can help us help them. He stated that he looked forward to exploring this vision in the upcoming months.

President Eng expressed his appreciation for LIRR staff and our labor partners for their tremendous commitment.

## **LIRR SAFETY REPORT**

Vice President-Corporate Safety Loretta Ebbighausen stated that LIRR's Safety Performance Report appears on Page 26 of the Committee Book, reporting through the end of September 2018.

Vice President Ebbighausen reported that LIRR continues to see a downward trend in both customer and employee FRA reportable Lost Time injuries.

She thanked our partners at the MTA Police Department ("MTAPD"), the FRA, New York & Atlantic Railway and the Public Transportation Safety Board for their support of LIRR's efforts during Rail Safety Week. With their support, LIRR was able to visit 10 locations and reached over 4, 200 customers and community members during the course of that week.

On Page 26 of the Committee Book, there are photographs from the October 12<sup>th</sup> awards ceremony for LIRR's Employee Safety Incentive Award Program, which has been recognizing LIRR employees for the past 25 years. The program lets employees nominate their fellow employees for actions ranging from performing lifesaving Cardio-Pulmonary Resuscitation ("CPR"), preventing suicides, extinguishing fires, aiding law enforcement, and preventing rail incidents. Vice President Ebbighausen discussed two incidents involving LIRR employees going above and beyond the call of duty. The first incident involved two Track Gangs that intervened after a car went around the gates and was struck by a train. The second incident was featured in the local news media where two of LIRR's Bridges & Buildings employees intervened in an incident on the Southern State Parkway to assist a New York State trooper who had pulled over a car. While the trooper was engaged with the driver, the driver took off across the parkway, dragging the trooper with him, and ultimately crashing into the median barrier. Our employees saw this occurring and stopped their car, went to the aid of the trooper and held the driver until help arrived. LIRR is proud every year to recognize our employees for their exemplary safety performance.

Board Member Moerdler referred to Page 28 of the Committee Book. Referring to broken gates, he asked if LIRR has cameras at gates.

Vice President Ebbighausen responded that LIRR looks forward to installing cameras and currently has cameras at two pilot locations as part of another program. In addition, as discussed earlier at the Metro-North meeting, we are looking forward to the support of the Committee in getting legislation needed to be able to institute camera enforcement at grade crossings. Vice President Ebbighausen stated that LIRR shares broken gate data monthly with the MTAPD, so they can strategically manage their patrols and focus on the areas where there is broken gate activity. In the absence of cameras, LIRR is using this data to assist the MTAPD.

Board Member Moerdler asked LIRR to share with the Board the information concerning the proposed camera enforcement legislation. This will enable Board members to communicate with the people they know to try to get such legislation passed, which involves public safety and the public interest. Board Member Moerdler also questioned the statistics regarding MTAPD details, 901 vs. 734.

Vice President Ebbighausen responded that police details are the number of details at grade crossings.

### **MTA CAPITAL CONSTRUCTION**

MTA Chief Development Officer Janno Lieber reported on the progress of the East Side Access Project (ESA). MTA Capital Construction (MTACC) has awarded Contract CH058A Tunnel B/C Approach Structure, the last major contract for the completion of ESA. CH058A work will be performed in the tunnel approach for the bi-directional service track, which is a particularly complicated job because there are operational tracks on both sides of the contract work. The contractor's bid was 10% below ESA estimate. MTACC, Amtrak, and Long Island Railroad (LIRR) are coordinating to provide outages to ensure all predecessor work will be performed on schedule. The work is vital, but needs to be balanced with the needs of the LIRR. Another major ESA milestone was achieved with the energization of the B10 Bulk Power Substation. This energization allows ESA to begin the Queens side testing, which is on the Critical Path.

One of the items on that will be brought to the Finance Committee this afternoon includes the ESA Wireless Communications system. The system will be paid for by the carrier and will support a full complement of Wi-Fi and cellular service for MTA customers and MTA operations.

Mr. Lieber reported on the progress of the Third Track Project (Third Track). The Mineola Community Outreach Center has opened. In addition to the community meetings and the monthly mayoral meetings, people can go to the center anytime with questions and to seek information. In addition, students are invited to learn about the project and to foster an interest in engineering and science.

The contractor is currently preparing the work area at Carle Place and making room for sound walls at Madison Avenue in Westbury. The contractor is also setting up work zone traffic control areas near the new Harrison Avenue Garage in Mineola. We are importantly maintaining positive community relationships by keeping commitments to the community through efforts to minimize construction impacts. The monthly meeting with the five impacted community's mayors has been going well in keeping communication open. The project is performing well with regards to budget and schedule.

Commissioner Moerdler commented that it seemed that ESA was eliminating a freight rail in the CH058A construction area. Mr. Lieber explained that this is a temporary relocation. Commissioner Moerdler asked whether Mr. Lieber would consider sound barriers that are transparent at the Third Track construction sites. Mr. Lieber confirmed he would, but noted that the sound barriers had been developed with input from the communities.

Commissioner Rechler asked whether the Third Track project has found any existing conditions that have required impactful change orders. Mr. Lieber explained that there have been some adjustments, but no significant change orders to date.

## **MTA POLICE DEPARTMENT**

Chief Monaghan reported that for the month of October, total major felony crimes Year-to-Date (“YTD”) decreased by 9 crimes; 13 compared to 22 in 2017. For the month of October, LIRR total major felonies compared to 2017 are even at 6; 2 felony assaults and 4 grand larcenies resulting in arrests by patrol. LIRR total major felonies YTD compared to 2017 are even at 82. Most notable this year is that violent crimes and robberies have decreased by 58%.

Board Member Moerdler commented that there were six instances of hate crimes against Blacks. As reported in the Metro-North Committee meeting, five of those are graffiti oriented. There are 13 instances of anti-Semitic hate crimes, of which the majority are graffiti. Board Member Moerdler expressed his concern that graffiti is not a harmless crime. It is the product of a deranged mind and a portent of the kind of hate the people in Pittsburgh and people throughout the country have witnessed and is increasing. It has to be stamped out. He thanked the MTAPD for its help.

Chair Pally stated the Committee strongly supports Board Member Moerdler’s comments and appreciates his bringing them to our attention.

The details of Chief Monaghan’s report are contained in the MTAPD report filed with the records of this meeting, which recording includes discussion regarding the MTAPD report.

## **MTA LONG ISLAND RAIL ROAD INFORMATION ITEMS**

- Holiday & Year-End Service & Trackwork Programs
- East Side Access Support Projects Update
- PTC Status Update
- Diversity/EEO Report – 2<sup>nd</sup> Quarter 2018

Board Member Veronica Vanterpool commented regarding the Diversity/EEO Report. She stated that internally, LIRR’s EEO employee complaints are at resolved in favor of the agency 35% of the time, which is consistent with Metro-North. Regarding Title VI complaints, 100% of those complaints are resolved in favor of the agency. She commented that she appreciated Metro-North Committee Chair Susan Metzger’s comments during the Metro-North Committee meeting, acknowledging that, as the new Chair of the Diversity Committee, she intends to address all topics and issues agency-wide. Board Member Vanterpool expressed her concern about the high number of internal employee EEO complaints. That is the reported number, and it could be assumed that there is a higher number of cases where employees have issues or feelings of discrimination that do not necessarily result in a formal complaint. Board Member Vanterpool added that although she is not on the Diversity Committee, she is seizing this opportunity to raise some of the concerns she has about our need as an agency to reduce this number significantly. She commented that she understands that some initiatives are underway. She acknowledged and thanked her fellow Board Members, Chair Metzger, and Metro-North Railroad President Catherine Rinaldi for their thoughts and comments on this matter. She stated

that this is a concern because we want to ensure agency-wide, across the MTA, that our employees feel respected. She knows this sentiment is shared by President Eng, his staff and this Board.

Metro North Committee Chair Metzger asked that in the future, LIRR help the Board understand what its diversity initiatives are. She commented that she does not believe that diversity and workforce inclusion is something that you can delegate to a committee called Diversity. She believes that it belongs in each of the operating agencies and that this agency has a responsibility to explain to its own committee what efforts it is making along the lines of greater workforce inclusion for all people and asked President Eng to do so.

President Eng responded in the affirmative. He stated that diversity is a major priority for LIRR, which operates in one of the most diverse areas, the New York metropolitan area. He stated that LIRR's workforce should reflect that diversity, and agreed to report back to the Committee on this subject.

Board Member Moerdler thanked Board Member Vanterpool for focusing on a critical issue and stated that it is time for a change. He commented that it is true that many complaints that are filed under the rubric of discrimination are based on other motives, such as self-defense, in a case where an employee is being investigated or charged. However, it is also true that there are many legitimate cases that go unreported because of fear of retribution, and some of these are not looked at in the right light. The day has come where it is not sufficient merely to focus on behavior that is criminal or actionable. We must look to talk with staff and educate them that a change in culture must be forthcoming. To that end, Board Member Moerdler suggested that an ombudsman be appointed in each agency, someone that all these issues can be referred to, anonymously or by name, for examination to determine whether a wrong was committed and, if so, what investigation or remedial action is called for. He felt that such an appointment was necessary to help effect an underlying change in culture.

Chair Pally encouraged the Committee to look at Page 45 of the Committee Book, for the report on ESA support projects which are already completed or soon to be completed. Each one has an effect on ESA and will have an impact on regular service as they all go into operation. He also encouraged the Committee to look at the PTC status update, which was discussed at the Metro-North Committee meeting, indicating that the railroads are on track to be in compliance with all federal requirements by the end of the year, a commitment this Board made to all Metro-North and LIRR riders and one we look forward to implementing very soon.

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

## **MTA LONG ISLAND RAIL ROAD**

### **Procurements**

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

## **MTA CAPITAL CONSTRUCTION**

### **Procurements**

MTA Capital Construction Vice President and Chief Procurement Officer, David Cannon, presented three procurement items to the Committee for approval. The procurement items are as follows:

- A modification to the Harold Structures Part I (CH053) Contract for the East Side Access Project for compensable delays and associated impact costs during the period from the February 18, 2015 through February 29, 2016 in the amount of \$2,043,800.
- The ratification of a modification to the Systems Facility Package No. 1 (CS179) Contract for the East Side Access Project to resolve errors and deficiencies in the Tunnel SCADA System design and the hardware specifications for associated Field Network devices in the amount of \$2,815,865.
- The ratification of a unilateral modification to the Track A Approach Structure (CH061A) Contract for the East Side Access Project for the additional costs to recover and accelerate the Contract to ensure that critical work for the Track A Approach Structure was completed by June 14, 2018 in the amount of \$1,424,301.

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

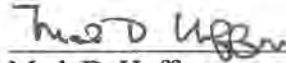
### **LIRR Reports on Operations, Safety, Finance, Ridership, and Capital Program**

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,

A handwritten signature in dark ink, appearing to read "Mark D. Hoffer", is written over a horizontal line.

Mark D. Hoffer  
Secretary

## 2018 Metro-North Railroad Committee Work Plan

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### I. RECURRING AGENDA ITEMS

#### Responsibility

Approval of Minutes	Committee Chairs & Members
2018 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

#### December 2018 (Joint meeting with LIRR)

2019 Final Proposed Budget	Finance
2019 Proposed Committee Work Plan	Committee Chairs & Members
Diversity/EEO Report – 3 <sup>rd</sup> Quarter 2018	Diversity and EEO
LIRR/MNR PTC Project Update	President

#### January 2019

Approval of 2019 Committee Work Plan	Committee Chairs & Members
Track Program Quarterly Update	Engineering
PTC Status Report	Engineering

#### February 2019 (Joint meeting with LIRR)

Adopted Budget/Financial Plan 2019	Finance
2018 Annual Operating Results	Operations
2018 Annual Fleet Maintenance Report	Operations
LIRR/MNR PTC Project Update	President
Diversity/EEO Report – 4 <sup>th</sup> Quarter 2018	Diversity and EEO
2019 Spring/Summer Schedule Change	Operations Planning & Analysis

#### March 2019

Annual Strategic Investments & Planning Studies	Capital Planning
Annual Elevator & Escalator Report	Engineering
Customer Satisfaction Survey Report	Operations Planning & Analysis
PTC Status Report	Engineering

April 2019 (Joint meeting with LIRR)

Final Review of 2018 Operating Budget Results  
2018 Annual Ridership Report  
Annual Inventory Report  
Track Program Quarterly Update  
MTA Homeless Outreach  
LIRR/MNR PTC Project Update

Finance  
Operations Planning & Analysis  
Procurement  
Engineering  
MTA  
President

May 2019

Diversity/EEO Report – 1<sup>st</sup> Quarter 2019  
PTC Status Report

Diversity and EEO  
Engineering

June 2019 (Joint meeting with LIRR)

LIRR/MNR PTC Project Update

President

July 2019

Grand Central Terminal Retail Development  
Environmental Audit  
Track Program Quarterly Update  
PTC Status Report

MTA Real Estate  
Environmental Compliance  
Engineering  
Engineering

September 2019

2020 Preliminary Budget (Public Comment)  
2019 Mid-Year Forecast  
2019 Fall Schedule Change  
PTC Status Report

Finance  
Finance  
Operations Planning & Analysis  
Engineering

October 2019 (Joint meeting with LIRR)

2020 Preliminary Budget (Public Comment)  
LIRR/MNR PTC Project Update  
Track Program Quarterly Update  
MTA Homeless Outreach

Finance  
President  
Engineering  
MTA

November 2019

Holiday Schedule  
PTC Status Report  
Diversity/EEO Report – 2<sup>nd</sup> Quarter 2019

Operations Planning & Analysis  
Engineering  
Diversity and EEO

# METRO-NORTH RAIL ROAD COMMITTEE WORK PLAN

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## DETAILED SUMMARY

### I. RECURRING AGENDA ITEMS

#### **Approval of Minutes**

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

#### **2018 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**

### **DECEMBER 2018 (Joint Meeting with LIRR)**

#### 2019 Final Proposed Budget

The Committee will recommend action to the Board on the Final Proposed Budget for 2019.

#### 2019 Proposed Committee Work Plan

The Committee Chair will present a draft Metro-North Committee Work Plan for 2019 that will address initiatives to be reported throughout the year.

#### Diversity & EEO Report– 3<sup>rd</sup> Quarter 2018

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.

#### LIRR/MNR PTC Project Update

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.

### **JANUARY 2019**

#### Approval of 2019 Committee Work Plan

The Committee will approve the Proposed Metro-North Railroad Committee Work Plan for 2019 that will address initiatives to be reported on throughout the year.

#### 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.

#### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

### **FEBRUARY 2019 (Joint Meeting with LIRR)**

#### Adopted Budget/Financial Plan 2019

The Agency will present its revised 2019 Financial Plan. These plans will reflect the 2019 Adopted Budget and an updated Financial Plan for 2019 reflecting the out-year impact of any changes incorporated into the 2019 Adopted Budget.

#### 2018 Annual Operating Results

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

#### 2018 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.

#### LIRR/MNR PTC Project Update

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– 4<sup>th</sup> Quarter 2018

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.

#### 2019 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 2019.

### **MARCH 2019**

#### 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.

#### Annual Elevator/Escalator Report

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

#### Customer Satisfaction Survey Report

The committee will be informed on the results of the 2018 survey distributed to customers on the Hudson, Harlem and New Haven Lines and West of Hudson service.

#### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

### **APRIL 2019 (Joint Meeting with LIRR)**

#### Final Review of 2018 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.

#### 2018 Annual Ridership Report

A report will be presented to the Committee on Metro-North's ridership trends during 2018 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.

#### 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.

#### MTA Homeless Outreach

MTA Operations Support will provide a bi-annual report on homeless outreach efforts including an update on service providers and placements.

#### LIRR/MNR PTC Project Update

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.

### **MAY 2019**

#### Diversity & EEO Report– 1<sup>st</sup> Quarter 2019

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.

#### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

### **JUNE 2019 (Joint Meeting with LIRR)**

#### LIRR/MNR PTC Project Update

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.

### **JULY 2019**

#### 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 2018 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.

#### 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.

#### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

### **SEPTEMBER 2019**

#### 2020 Preliminary Budget

Public comment will be accepted on the 2020 Budget.

#### 2019 Mid-Year Forecast

The agency will provide the 2019 Mid-Year Forecast financial information for revenue and expense by month.

#### 2019 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 2019.

#### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

### **OCTOBER 2019 (Joint Meeting with LIRR)**

#### 2020 Preliminary Budget

Public comment will be accepted on the 2019 Budget.

#### LIRR/MNR PTC Project Update

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.

#### 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.

#### MTA Homeless Outreach

MTA Operations Support will provide a bi-annual report on homeless outreach efforts including an update on service providers and placements.

### **NOVEMBER 2019**

#### Holiday Schedule

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

#### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

#### Diversity & EEO Report– 2<sup>nd</sup> Quarter 2019

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.

## Long Island Rail Road Committee Work Plan

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

Approval of Minutes	<u>Responsibility</u> Committee Chair & Members
2018 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

#### December 2018 (Joint Meeting with MNR)

2019 Final Proposed Budget	Management & Budget
2019 Proposed Committee Work Plan	Committee Chair & Members
Diversity/EEO Report – 3 <sup>rd</sup> Q 2018	Administration/Diversity
LIRR/MNR PTC Project Update	President
January Timetable Change	Service Planning

#### January 2019

Approval of 2019 Committee Work Plan	Committee Chair & Members
PTC Status Report	Engineering

#### February 2019 (Joint Meeting with MNR)

Adopted Budget/Financial Plan 2019	Management & Budget
2018 Annual Operating Results	Operations
2018 Annual RCM Fleet Maintenance Report	Operations
Status Update on PTC	President/Sr. Staff
Diversity/EEO Report – 4 <sup>th</sup> Q 2018	Administration/Diversity
2019 Spring Schedule Change	Service Planning
LIRR/MNR PTC Project Update	President

#### March 2019

Annual Strategic Investments & Planning Study	Strategic Investments
Annual Elevator/Escalator Report	Engineering
Spring Track Work	Service Planning
Customer Satisfaction Survey Report	Public Affairs
PTC Status Report	Engineering

#### April 2019 (Joint Meeting with MNR)

Final Review of 2018 Operating Budget Results	Management & Budget
2018 Annual Ridership Report	Finance/Marketing
Annual Inventory Report	Procurement

May Timetable Change & Spring Trackwork Programs	Service Planning
MTA Homeless Outreach	MTA
LIRR/MNR PTC Project Update	President

May 2019

Diversity/EEO Report – 1 <sup>st</sup> Q 2019	Administration/Diversity
Summer Service & Track Work Programs	Service Planning
PTC Status Report	Engineering

June 2019 (Joint Meeting with MNR)  
 Bi-Annual Report on M-9 Procurement  
 Track Work Programs  
 LIRR/MNR PTC Project Update

President/Sr. Staff  
 Service Planning  
 President

July 2019

Penn Station Retail Development  
 Environmental Audit  
 September Timetable & Trackwork Programs  
 PTC Status Report

MTA Real Estate  
 Corporate Safety  
 Service Planning  
 Engineering

September 2019

2020 Preliminary Budget (Public Comment)  
 2019 Mid-Year Forecast  
 Fall Trackwork Programs  
 PTC Status Report

Management & Budget  
 Service Planning  
 Engineering

October 2019 (Joint Meeting with MNR)

2020 Preliminary Budget (Public Comment)  
 MTA Homeless Outreach  
 Diversity/EEO Report – 2<sup>nd</sup> Quarter 2019  
 Bi-Annual Report on M-9 Procurement  
 LIRR/MNR PTC Project Update  
 November Timetable Change & Trackwork Programs

MTA  
 Administration/Diversity  
 President/Sr. Staff  
 President  
 Service Planning

November 2019

East Side Access Support Projects Update  
 Holiday & Year-End Service & Trackwork Programs  
 PTC Status Report

President/Sr. Staff  
 Service Planning  
 Engineering

## LONG ISLAND RAIL ROAD COMMITTEE WORK PLAN

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### DETAILED SUMMARY

#### I. RECURRING AGENDA ITEMS

Approval of Minutes

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

2018 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.

## **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**

### **DECEMBER 2018 (Joint Meeting with MNR)**

#### **Diversity & EEO Report– 3<sup>rd</sup> Quarter 2018**

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.

#### **2019 Final Proposed Budget**

The Committee will recommend action to the Board on the Final Proposed Budget for 2018.

#### **Proposed 2019 Committee Work Plan**

The Committee Chair will present a draft Long Island Rail Road Committee Work Plan for 2018 that will address initiatives to be reported throughout the year.

### Project 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.

## **JANUARY 2019**

### Approval of 2019 Committee Work Plan

The Committee will approve the Proposed Long Island Rail Road Committee Work Plan for 2018 that will address initiatives to be reported on throughout the year.

### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation.

## **FEBRUARY 2019 (Joint Meeting with MNR)**

### Adopted Budget/Financial Plan 2019

The Agency will present its revised 2019 Financial Plan. These plans will reflect the 2019 Adopted Budget and an updated Financial Plan for 2018 reflecting the out-year impact of any changes incorporated into the 2018 Adopted Budget.

### 2018 Annual Operating Results

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

### 2018 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.

### Project 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– 4<sup>th</sup> Quarter 2018

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.

### 2019 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 2019.

## **MARCH 2019**

### 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.

#### Customer Satisfaction Survey Report

The committee will be informed on the results of the 2017 survey distributed to customers on the Hudson, Harlem and New Haven Lines and West of Hudson service.

#### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation.

### **APRIL 2019 (Joint Meeting with MNR)**

#### Final Review of 2018 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.

#### 2018 Annual Ridership Report

A report will be presented to the Committee on Agency ridership trends during 2018 based on monthly ticket sales data and the results of train ridership counts conducted by the Agency.

#### 2019 Summer Schedule Change

The Committee will be advised of Agency plans to adjust schedules to support construction projects during the summer of 2018.

#### MTA Homeless Outreach

MTA Operations Support will provide a bi-annual report on homeless outreach efforts including an update on service providers and placements.

#### Project 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.

### **MAY 2019**

#### Diversity & EEO Report– 1<sup>st</sup> Quarter 2019

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.

#### 2019 Summer Service and Trackwork Programs

The Committee will be advised of Agency plans to adjust schedules to support construction projects during the summer of 2019.

#### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation.

### **JUNE 2019 (Joint Meeting with MNR)**

#### 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.

#### Project 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.

#### Track Work Programs

This is to inform the Long Island Committee of the MTA Long Island Rail Road's plans to adjust schedules to support various trackwork programs, Main Line Second Track construction and East Side Access Readiness projects

### **JULY 2019**

#### 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.

#### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation.

#### 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 Timetable & Trackwork Programs

The Committee will be advised of Agency plans to adjust schedules to support construction projects during the fall of 2019.

### **SEPTEMBER 2019**

#### 2020 Preliminary Budget

Public comment will be accepted on the 2020 Budget.

#### 2019 Mid-Year Forecast

The agency will provide the 2019 Mid-Year Forecast financial information for revenue and expense by month.

#### Diversity & EEO Report– 2<sup>nd</sup> Quarter 2019

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.

#### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation.

### **OCTOBER 2019 (Joint Meeting with MNR)**

#### 2020 Preliminary Budget

Public comment will be accepted on the 2020 Budget.

#### Project 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.

#### MTA Homeless Outreach

MTA Operations Support will provide a bi-annual report on homeless outreach efforts including an update on service providers and placements.

#### 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.

### **NOVEMBER 2019**

#### 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.

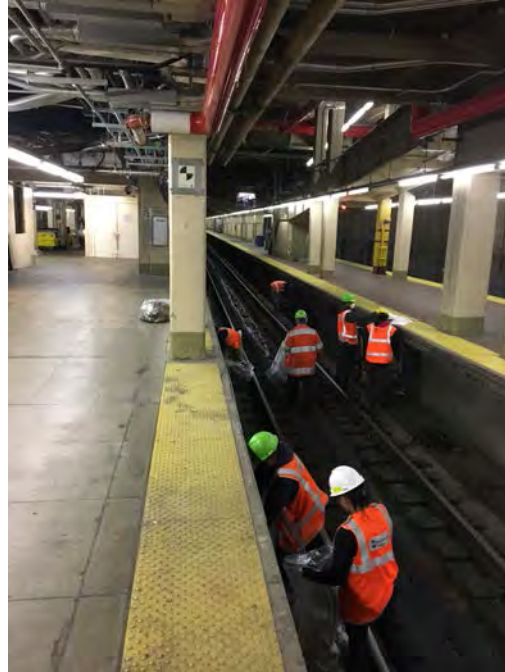
#### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation

# Safety Report

**Justin R. Vonashek**

Vice President, Office of System Safety



Grand Central Terminal Track Clean-Up



# Metro-North Railroad

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## **October 2018 Highlights: Safety Report**

MNR's fourth quarter Safety Focus Day was held on November 28, 2018 at work locations system wide. Safety Focus Day provides opportunities for our employees to discuss relevant safety topics and provide feedback as well as report safety concerns. Some of the topics covered were the importance of detailed safety briefings, winter safety hazards and the importance of the safety related components of MNR's strategic plan.

On October 26, 2018, MNR conducted a full-scale emergency preparedness exercise in the Park Avenue Tunnel. The scenario simulated the derailment and evacuation of a passenger train in the tunnel, and included response from MNR, MTAPD and FDNY. The exercise was designed to validate each agency's capabilities for responding to an incident in the Park Avenue Tunnel, and helped to evaluate coordination and communication processes between these agencies during a multi-agency incident response to a train emergency.

MNR continues to see positive trends in reducing employee lost time injuries. Overall, for the current 12-month period (November 17 – October 18) versus the previous 12-month period (November 16 – October 17), lost time per 200,000 working hours were reduced by 15.4%. The decrease can be attributed to various ongoing safety initiatives. A new system wide housekeeping initiative was launched to support a collaborative approach between employees and management to transform work areas into safer work zones. The goal of this initiative is to identify, evaluate, and prevent potential housekeeping issues from occurring. The most recent effort was focused on cleaning the track and yard areas around Grand Central Terminal.

Customer injuries continue to experience a decline. For the current 12-month period (November 17 – October 18), the customer reportable injury rate per million customers decreased by 9.3% compared to the previous 12-month period (November 16 – October 17). Although customer injuries are on the decline, we continue to maintain a strong effort to promote safe behaviors at or around trains, tracks and grade crossings through our safety education community outreach program, Together Railroads and Communities Keeping Safe (TRACKS).

**Justin R. Vonashek**  
Vice President  
Office of System Safety

## October 2018 Safety Report

Performance				
Performance Indicator	12-Month Average			
	November 2015 - October 2016	November 2016 - October 2017	November 2017 - October 2018	
FRA Reportable Customer Accident Rate per Million Customers	1.25	0.86	0.78	
FRA Reportable Employee Lost Time Injury Rate per 200,000 worker hours	2.92	2.93	2.48	
	2017		2018	
	October	Year to Date	October	Year to Date
Grade Crossing Incidents <sup>1</sup>	0	1	0	1
Mainline FRA Reportable Train Derailments	0	2	0	0
Mainline FRA Reportable Train Collisions	0	0	0	0

<sup>1</sup> 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				
Safety Training	2017		2018	
	October	Year to Date	October	Year to Date
First Responders Trained	240	1,331	219	1,924
Employee Safety Training Courses	133	300	141	345
Employees Trained	1,540	6,326	2,049	6,253
Employee Safety Training Hours	24,645	231,071	23,960	250,966
Customer and Community: Focus on Grade Crossings	2017		2018	
	October	Year to Date	October	Year to Date
Broken Gates	1	20	3	26
MTA Police Details	111	1,227	74	1,104
Summons	32	547	58	589
Warnings	11	151	5	67
Community Education and Outreach	11,276	66,993	4,345	96,010
Cars Equipped with Cameras				
	Fleet Size	Total Cars Equipped	% Complete	
Inward / Outward Facing Cab Cameras	956	825	86.30%	
Passenger Compartment Cameras	1,085	796	73.36%	

### Definitions:

**First Responders Trained** - The number of first responders trained by MNR's Emergency Management to assist in crisis events, such as train evacuation.

**Employee Safety Training Courses** - The number of distinct safety-related courses offered, including technical courses that have a safety element. Repeats are excluded so that each course is counted only once.

**Employees Trained** - The number of unique employees that attended one or more of these safety-related courses.

**Employee Safety Training Hours** - The total hours of training completed by employees in all safety-related courses attended.

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

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

**Summons** - 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 individuals reached at a TRACKS event.

**Cars Equipped with Cameras** - Number of complete inward/outward and passenger compartment camera installations on rolling stock.



# Long Island Rail Road

## Safety Report Highlights



**Protect your eyes.**

*Here's how:*

- 1) Wear your safety glasses.**
- 2) Wear eyewear properly tinted for the particular job you are working at.**
- 3) Wear your safety glasses!**
- 4) Wear eye protection when working with power tools or chemicals.**
- 5) Keep your eye protection clean.**
- 6) Wear prescription lenses if you should.**
- 7) Get regular eye exams to prevent eye problems.**
- 8) Wear your safety glasses!**
- 9) Wear glasses that provide proper UV protection.**
- 10) Wear your safety glasses!**
- 11) Get regular eye exams to prevent eye problems.**
- 12) Get medical attention immediately if you have an accident.**
- 13) ...and most importantly, Wear your safety glasses!**



# Long Island Rail Road

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## Safety Report Highlights

For the reporting period ending October 2018, the average Reportable Customer Injury Rate decreased fifty-one percent from 4.2 injuries per million customers to 2.06 injuries per million customers. Slips, trips, and falls generate the majority of injury reports. In partnership with the MTA Police, Together Railroads and Communities Keeping Safe (TRACKS), reached over 101,700 participants through the end of October 2018.

On December 5<sup>th</sup> we worked with our partners at New York City Transit, Amtrak, and New Jersey Transit to host our biannual Customer Safety Awareness Day at Penn Station. For the first time, we were located in the new West End Concourse. To foster customer engagement, we once again used our Safety Wheel. Customers who correctly answered a safety question were entered into a raffle to win one grand prize of a monthly ticket. Two second prizes of ten trip ticket will also be awarded. The intent of Customer Safety Awareness Day is to highlight for all Penn Station customers the importance of traveling together with a focus on how we can help each other reach our destinations safely.

During this reporting period, there was a twenty-one percent decrease in the average Reportable Employee Lost Time Injury Rate. The rate decreased from 3.73 injuries per 200,000 hours worked to 2.94 injuries per 200,000 hours worked. Slip, trips, and falls are the category of injury that generates the most reports. Soft tissue injuries are the greatest type of injury sustained.

During the months of September and October we conducted targeted SAFER Observations related to safety eyewear. SAFER is an acronym for Situational Awareness for Efficient Railroad. In compliance with Federal Railroad Administration regulation, we conduct observations of our employees in the field to assess compliance with operating rules. At the LIRR we also include observations of Safety Rule compliance. The purpose of the safety eyewear observations was to educate employees about the regulations and hazards associated with the risk of eye injuries as well as get feedback about our current safety eyewear. As a result of the feedback, we are making two new types of safety eyewear available to employees. We will continue to educate employees about the risks and how to protect themselves and their colleagues from eye injury.

**Lori Ebbighausen**  
**Vice President**  
**Corporate Safety**

# October Safety Report

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

Performance				
Performance Indicator	12-Month Average			
	November 2015 - October 2016	November 2016 October 2017	November 2017 - October 2018	
FRA Reportable Customer Accident Rate per Million Customers	4.01	4.20	2.06	
FRA Reportable Employee Lost Time Injury Rate per 200,000 worker hours	2.98	3.73	2.94	
	2017		2018	
	October	Year to Date	October	Year to Date
Grade Crossing Incidents <sup>1</sup>	0	11	0	7
Mainline FRA Reportable Train Derailments	0	1	0	1
Mainline FRA Reportable Train Collisions	0	1	0	3

<sup>1</sup> 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				
Focus on Safety Training	2017		2018	
	October	Year to Date	October	Year to Date
First Responders Trained	130	1,362	95	1,929
Employee Safety Training Courses	90	598	86	868
Employees Trained	1,116	8,929	1,040	10,932
Employee Safety Training Hours	26,980	223,123	19,860	232,810
Customer and Community: Focus on Grade Crossings	October	Year to Date	October	Year to Date
Broken Gates	14	98	14	96
MTA Police Details	148	883	69	970
Summons	93	1,589	47	986
Warnings	85	736	20	426
Arrests	0	1	0	2
Community Education and Outreach	18,894	99,386	17,279	101,736
	Completed		Total	% Complete
Cameras on Rolling Stock	M7 (Cars)		228	27.27
	C3 Cab		23	100.00
	C3 Trailer		26	23.42
	DE/DM		1	2.22

**First Responders Trained** - The number of first responders trained to assist in crisis events.

**Employee Safety Training Courses** - The number of distinct safety-related courses offered, including technical courses that have a safety element. Repeats are excluded so that each course is counted only once.

**Employees Trained** - The number of unique employees that attended one or more of these safety-related courses.

**Employee Safety Training Hours** - The total hours of training completed by employees in all safety-related courses attended.

**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.

**ELEVATOR AND ESCALATOR INJURY/ENTRAPMENT REPORT  
FOR THE MONTH OF NOVEMBER 2018**

<b>Elevators</b>	<b>Mechanical Injury</b>	<b>Human Factor Injury</b>	<b>Entrapment</b>
<b>Wantagh</b>	<b>0</b>	<b>0</b>	<b>1</b>
<b>Woodside 419X</b>	<b>0</b>	<b>0</b>	<b>1</b>

<b>Escalators</b>	<b>Mechanical Injury</b>	<b>Human Factor Injury</b>
<b>Amityville</b>	<b>0</b>	<b>1</b>

**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.

# **MTA CAPITAL CONSTRUCTION**

## **PROJECT UPDATE**

### **EAST SIDE ACCESS**

# East Side Access Active and Future Construction Contracts

## Report to the Railroad Committee - December 2018

Expenditures thru November 2018; \$\$ in million

	April 2018 EAC Forecast	Budget	Committed	Expenditures
Construction	\$ 7,054.3	\$ 6,715.1	\$ 6,785.2	\$ 5,572.1
Force Account	\$ 959.8	\$ 821.5	\$ 649.5	\$ 553.0
Soft Costs	\$ 2,192.9	\$ 1,860.5	\$ 1,813.6	\$ 1,725.7
OCIP	\$ 457.4	\$ 379.2	\$ 379.2	\$ 371.9
Rolling Stock†	\$ 202.0	\$ 7.5	\$ 3.2	\$ 0.2
Unallocated & Program Support Contingency	\$ 267.0	\$ 551.2	\$ -	\$ -
<b>Total</b>	<b>\$ 11,133.3</b>	<b>\$ 10,335.1</b>	<b>\$ 9,630.7</b>	<b>\$ 8,222.9</b>

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

	Schedule
Project Design Start	March-1999
Project Design Completion	December-2018
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
<b>Manhattan Construction</b>								
CM006: Manhattan Northern Structures <i>Frontier Kemper Constructors, Inc.</i>	\$361.6	\$350.2	\$11.4	\$335.9	Mar-2014	Mar-2014	Nov-2016	Dec-2018
CM014B: GCT Concourse & Cavern Fit-Out <i>GCT Constructors JV</i>	\$484.7	\$462.7	\$22.1*	\$292.3	Dec-2014	Feb-2015	Aug-2018	Jul-2020
CM007: Manhattan Cavern Structure & Facilities Fit-Out <i>Tutor Perini Corporation</i>	\$712.3	\$662.6	\$49.7	\$365.8	Jul-2015	Apr-2016	Jan-2020	Mar-2020
<b>Queens Construction</b>								
CQ032: Plaza Substation & Queens Struct Construction <i>Tutor Perini Corporation</i>	\$265.4	\$262.2	\$3.2	\$245.5	Aug-2011	Aug-2011	Aug-2014	Dec-2018
CQ033: Mid-Day Storage Yard <i>Tutor Perini Corporation</i>	\$325.0	\$307.8	\$17.1	\$134.3	N/A	Apr-2017	Aug-2020	Nov-2020
<b>Harold Construction</b>								
CH057D: Harold Structures - Part 3, Trackwork <i>Railroad Construction Company</i>	\$29.6	\$22.4	\$7.2	\$0.0	N/A	Apr-2018	Jan-2019	Mar-2019
CH058A: Harold Structures - Part 3A: B/C Approach** <i>Skanska USA Civil Northeast Inc.</i>	\$68.7	\$60.2	\$8.6	\$0.0	Jul-2015	Oct-2018	Mar-2021	Mar-2021
<b>Systems Contracts</b>								
Systems Package 1: Tunnel Ventilation, Facility Power, Communications, Controls, Security, Fire Detection (CS179) <i>Tutor Perini Corporation</i>	\$606.9	\$576.9	\$30.0***	\$415.9	Mar-2014	Mar-2014	Dec-2019	Nov-2021
Systems Package 2: Signal Installation (CS086) <i>Five Star/Comstock JV</i>	\$60.9	\$53.0	\$7.9	\$0.0	N/A	Sep-2018	Feb-2021	Feb-2021
Systems Package 3: Signal Equipment (VS086) <i>Ansaldo STS USA Inc.</i>	\$21.8	\$19.9	\$1.9	\$11.2	Jun-2014	Jun-2014	Dec-2019	Feb-2021
Systems Package 4: Traction Power (CS084) <i>E-J Electrical Installation Company</i>	\$79.7	\$73.5	\$6.3	\$19.4	Sep-2014	Oct-2014	Dec-2019	Apr-2021

\* 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).

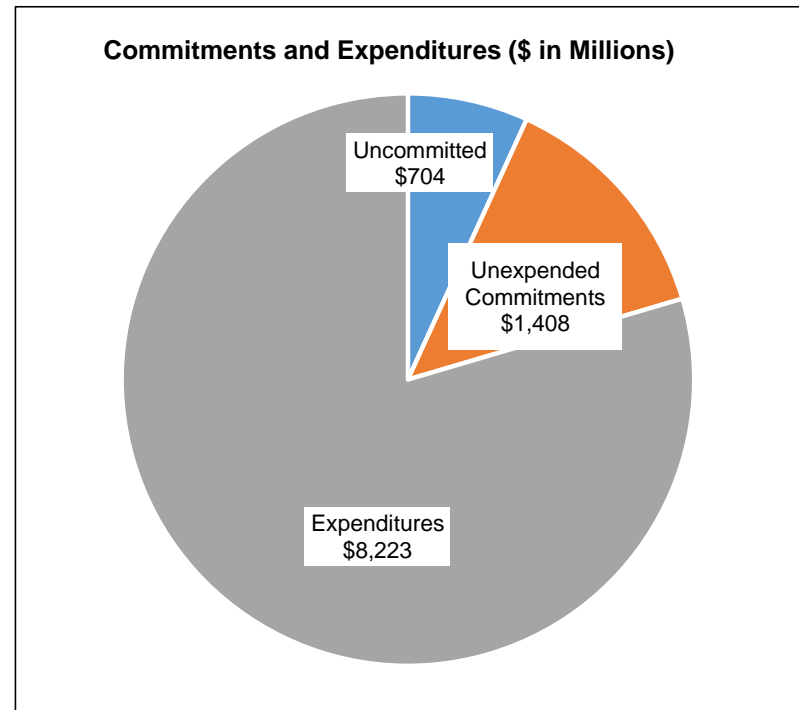
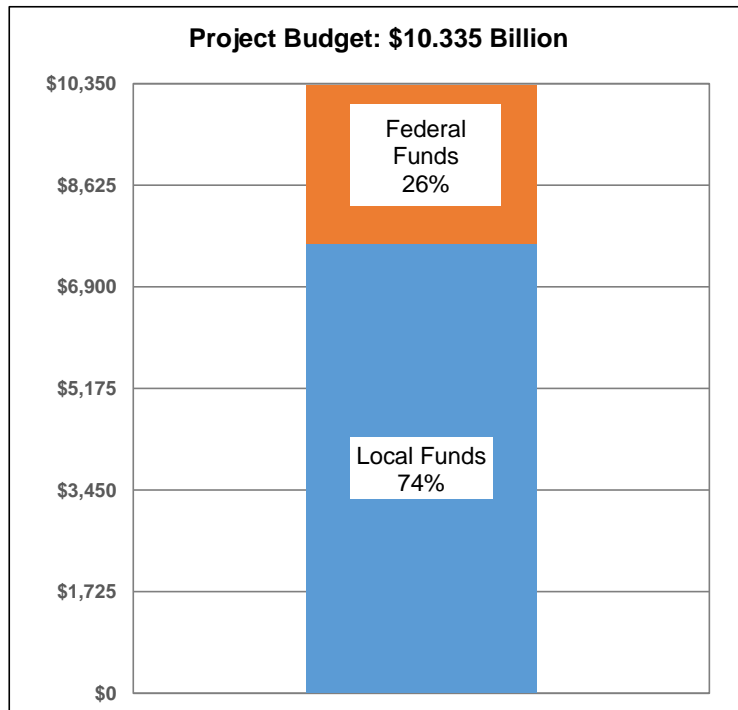
## East Side Access Status

### Report to the Railroad Committee - December 2018

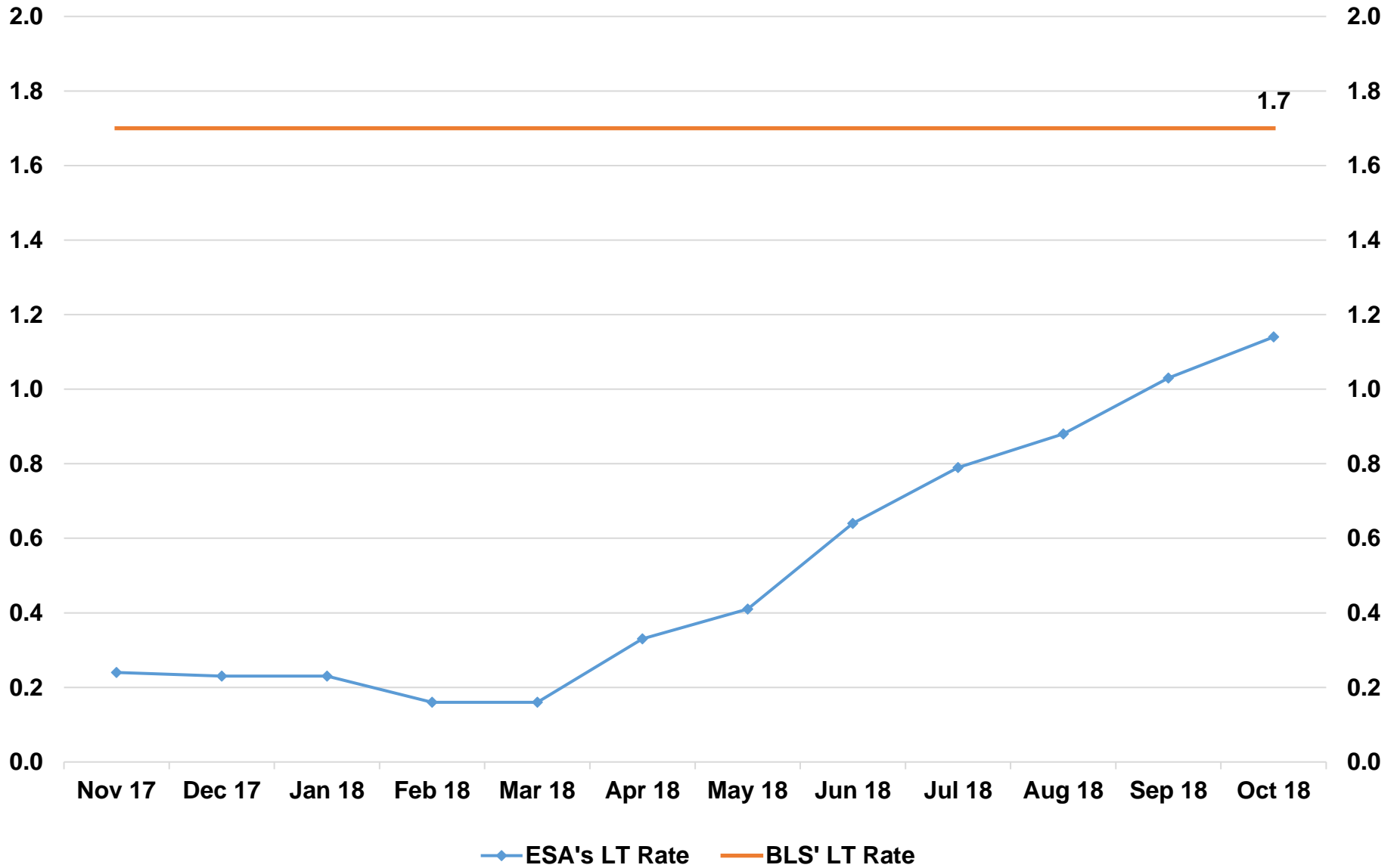
data thru November 2018

MTA Capital Program \$ in Millions	Budgeted	Funding Sources			Status of Commitments		
		Local Funding	Federal Funding	Federal Received	Committed	Uncommitted	Expended
1995-1999	\$ 158	\$ 94	\$ 64	\$ 64	\$ 158	\$ -	\$ 158
2000-2004	1,533	737	797	797	1,533	0	1,528
2005-2009	2,683	1,697	986	986	2,676	6	2,658
2010-2014	3,251	2,399	852	852	3,170	82	2,805
2015-2019	2,710	2,710	-	-	2,093	616	1,074
Total	\$ 10,335 *	\$ 7,636	\$ 2,699	\$ 2,699	\$ 9,631	\$ 704	\$ 8,223

\* April 2018 EAC forecast is \$11.133 billion.



## East Side Access 12 Month Rolling Average Lost Time(LT) Injury Rates





## **November 2018 Highlights: MTA Police Report**

- Metro-North Railroad experienced an equal amount of major felonies (13 vs 13) for the month of November compared to the same period last year.
- Year to date Metro-North Railroad is down 7 crimes (125 vs 132).
- There were three (3) hate crimes to report on Metro-North Railroad for the month of November.

**Owen Monaghan**  
Chief of Police



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

**November 2018 vs. 2017**

	2018	2017	Diff	% Change
<b>Murder</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0%</b>
<b>Rape</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0%</b>
<b>Robbery</b>	<b>1</b>	<b>2</b>	<b>-1</b>	<b>-50%</b>
<b>Felony Assault</b>	<b>4</b>	<b>0</b>	<b>4</b>	<b>100%</b>
<b>Burglary</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>0%</b>
<b>Grand Larceny</b>	<b>6</b>	<b>10</b>	<b>-4</b>	<b>-40%</b>
<b>Grand Larceny Auto</b>	<b>1</b>	<b>0</b>	<b>1</b>	<b>100%</b>
<b>Total Major Felonies</b>	<b>13</b>	<b>13</b>	<b>0</b>	<b>0%</b>

**Year to Date 2018 vs. 2017**

	2018	2017	Diff	% Change
<b>Murder</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0%</b>
<b>Rape</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0%</b>
<b>Robbery</b>	<b>15</b>	<b>14</b>	<b>1</b>	<b>7%</b>
<b>Felony Assault</b>	<b>21</b>	<b>15</b>	<b>6</b>	<b>40%</b>
<b>Burglary</b>	<b>17</b>	<b>12</b>	<b>5</b>	<b>42%</b>
<b>Grand Larceny</b>	<b>70</b>	<b>83</b>	<b>-13</b>	<b>-16%</b>
<b>Grand Larceny Auto</b>	<b>2</b>	<b>8</b>	<b>-6</b>	<b>-75%</b>
<b>Total Major Felonies</b>	<b>125</b>	<b>132</b>	<b>-7</b>	<b>-5%</b>



# Long Island Rail Road

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## **November 2018 Highlights: MTA Police Report**

- Long Island Rail Road experienced a decrease in the amount of major felonies (9 vs 13) for the month of November compared to the same period last year.
- Year to date Long Island Rail Road is down (91 vs 95).
- There were zero Hate Crimes on Long Island Rail Road for the month of November

**Owen Monaghan**  
Chief of Police



**METROPOLITAN TRANSPORTATION AUTHORITY**  
**Police Department**  
**Long Island Rail Road**

**November 2018 vs. 2017**

	2018	2017	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	1	3	-2	-67%
Felony Assault	1	2	-1	-50%
Burglary	0	1	-1	-100%
Grand Larceny	7	7	0	0%
Grand Larceny Auto	0	0	0	0%
Total Major Felonies	9	13	-4	-31%

**Year to Date 2018 vs. 2017**

	2018	2017	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	9	22	-13	-59%
Felony Assault	18	14	4	29%
Burglary	2	2	0	0%
Grand Larceny	61	55	6	11%
Grand Larceny Auto	1	2	-1	-50%
Total Major Felonies	91	95	-4	-4%



# **METROPOLITAN TRANSPORTATION AUTHORITY**

## **Police Department**

### **System Wide**

#### **November 2018 vs. 2017**

	<b>2018</b>	<b>2017</b>	<b>Diff</b>	<b>% Change</b>
<b>Murder</b>	0	0	0	0%
<b>Rape</b>	0	0	0	0%
<b>Robbery</b>	2	6	-4	-67%
<b>Felony Assault</b>	5	2	3	150%
<b>Burglary</b>	1	2	-1	-50%
<b>Grand Larceny</b>	13	20	-7	-35%
<b>Grand Larceny Auto</b>	1	0	1	100%
<b>Total Major Felonies</b>	22	30	-8	-27%

#### **Year to Date 2018 vs. 2017**

	<b>2018</b>	<b>2017</b>	<b>Diff</b>	<b>% Change</b>
<b>Murder</b>	0	0	0	0%
<b>Rape</b>	0	0	0	0%
<b>Robbery</b>	27	44	-17	-39%
<b>Felony Assault</b>	41	33	8	24%
<b>Burglary</b>	19	14	5	36%
<b>Grand Larceny</b>	136	146	-10	-7%
<b>Grand Larceny Auto</b>	3	10	-7	-70%
<b>Total Major Felonies</b>	226	247	-21	-9%



# Metropolitan Transportation Authority Police Department

## Hate Crimes Report (January - November 2018)

Motivation	2018	2017	Diff	% Change
Asian	0	0	0	0 %
Black	6	6	0	0 %
Ethnic	0	0	0	0 %
Gender	0	0	0	0 %
Hispanic	2	0	2	0 %
Muslim	0	1	-1	-100 %
Other	1	0	1	0 %
Anti-Semitic	16	16	0	0 %
Sexual Orientation	1	0	1	0 %
White	0	1	-1	-100 %
<b>Motivation Total</b>	<b>26</b>	<b>24</b>	<b>2</b>	<b>8 %</b>

Crime Name	2018	2017	Diff	% Change
Aggravated Harassment #1	3	0	3	0 %
Aggravated Harassment #2	2	0	2	0 %
Felony Assault	0	1	-1	-100 %
Misdemeanor Assault	1	1	0	0 %
Criminal Mischief #3	0	0	0	0 %
Criminal Mischief #4	20	22	-2	-9 %
Grand Larceny #4	0	0	0	0 %
Menacing #2	0	0	0	0 %
Robbery #2	0	0	0	0 %
<b>Crime Total</b>	<b>26</b>	<b>24</b>	<b>2</b>	<b>8 %</b>

# INDEX CRIME REPORT

## Per Day Average

### November 2018

	Systemwide	LIRR	MNRR	SIRT
<b>Murder</b>	0	0	0	0
<b>Rape</b>	0	0	0	0
<b>Robbery</b>	2	1	1	0
<b>Fel. Assault</b>	5	1	4	0
<b>Burglary</b>	1	0	1	0
<b>Grand Larceny</b>	13	7	6	0
<b>GLA</b>	1	0	1	0
<b>Total</b>	22	9	13	0
<b>Crimes Per Day</b>	0.73	0.30	0.43	0.00



# MTA Police Department Arrest Summary: Department Totals

1/1/2018 to 11/30/2018

Arrest Classification	Total Arrests	
	2018	2017
Robbery	35	34
Felony Assault	44	38
Burglary	21	9
Grand Larceny	57	53
Grand Larceny Auto	2	2
Aggravated Harassment	4	4
Aggravated Unlicensed Operator	15	17
Assault-Misdemeanor	68	53
Breach of Peace	18	9
Child Endangerment	1	2
Conspiracy	1	0
Criminal Contempt	8	6
Criminal Impersonation	9	10
Criminal Mischief	50	62
Criminal Possession Stolen Property	15	21
Criminal Tampering	0	8
Criminal Trespass	44	33
Disorderly Conduct	2	3
Drug Offenses	145	99
DUI Offenses	17	7
Failure to Appear	0	1
Falsely Reporting an Incident	9	5
Forgery	55	53
Fraud	3	1
Graffiti	22	24
Harassment	1	4
Make Terrorist Threat	3	0
Menacing	21	10
NYC Admin Code	2	0
Obstruct Government	11	9
Petit Larceny	153	118
Public Lewdness	28	20
Reckless Endangerment	6	8
Resisting Arrest	46	32
Sex Offenses	24	19
Stalking	1	1
Theft of Services	218	173
Unlawful Fleeing a Police Officer	0	1
VTL Offenses	1	0
Warrant Arrest	122	53
Weapons Offenses	13	7
Unauthorized Use Vehicle	1	1
<b>Total Arrests</b>	<b>1,296</b>	<b>1,010</b>

## Staff Summary

<b>Subject</b> MNR 2019 Budget and 2019-2022 Financial Plan Adoption	<b>Date</b> December 5, 2018
<b>Department</b> Budget	<b>Vendor Name</b>
<b>Department Head Name</b> Steven Weiss	<b>Contract Number</b>
<b>Department Head Signature</b> 	<b>Contract Manager Name</b>
<b>Project Manager Name</b>	<b>Table of Contents Ref#</b>

Board Action					
Order	To	Date	Approval	Info	Other
1	MNR&LIRR Comm. Mtg.	12/10/2018			
2	MTA Fin. Comm.	12/10/2018			
3	MTA Board Mtg.	12/12/2018			

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

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

### Purpose

To secure MTA Board adoption of the MTA Metro-North Railroad's (MNR) 2018 November Forecast, 2019 Final Proposed Budget, and the Four-Year Financial Plan 2019-2022.

### Discussion:

The November 2019-2022 Financial Plan reflects the financial impact of both new and ongoing programs. MNR projections do not include the estimated impacts from projected fare increases in New York State, unidentified MTA efficiencies, and MTA policy actions. These impacts will be presented as part of MTA consolidated materials.

### **Our Strategic Plan: Our Railroad, Our Vision, Our Future**

In June of 2016, we launched a new five-year Metro-North Strategic Plan. Our mission is to be a safe, reliable and efficient railroad providing regional mobility and excellent service to our customers. Our plan identifies three Priority Areas: Our Customers, Our Infrastructure, and Our People:

- *Our Customers – Consistently meet customer expectations by ensuring safe, reliable, accessible and comfortable service, and by providing timely, accurate and open communication.*
- *Our Infrastructure – Ensure that all assets are in a state of good repair.*
- *Our People – Be an engaged, accountable and high performing workforce.*

October 2018 saw the launch of Metro-North's "Way Ahead" Program. This program, which is based upon the same three priority areas as the MNR Strategic Plan, is a roadmap for the railroad's future that details actions to enhance safety, service, infrastructure, and communications, and to transform the customers' day-to-day experience.

### Major Programmatic Initiatives included in the Financial Plan

The November Financial Plan focuses on resources to continue the support of Metro-North's Strategic Plan. New investments that are part of the November Financial Plan are listed in the following sections focusing on our Customers, our Infrastructure and our People.

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

### Investments in Our Customers

- **Accelerated Video Surveillance System Initiative at 10 Metro-North Stations (Way Ahead)**  
We will introduce security cameras and Help Points – high tech, connected intercoms, allowing customers to access emergency services – to 10 stations.
- **Coach Center Door Seat Replacement Program / Coach Center Door Vestibule Floor Replacement (Way Ahead)**  
Revitalize our aging diesel fleet by replacing seats and floors in 99 coaches.
- **Enhanced Station Platform Signage for Real-Time Train Status (Way Ahead)**  
Add an additional 41 stations to the platform signage upgrade which, as part of our initial Customer Service Initiative, already includes 20 new stations.
- **Americans with Disabilities Act (ADA) Compliant Signage in Grand Central Terminal (Way Ahead)**  
Develop an ADA-compliant signage program on platforms at Grand Central Terminal and North End Access locations.
- **Rockland County Bus Service Subsidy Continuation**  
Metro-North has been providing Rockland County with an annual subsidy of \$480,000 to assist with expanded bus service for the system connecting Suffern, Spring Valley, Nanuet, and Nyack with Metro-North (MNR) stations in Tarrytown and White Plains. This program continues that annual subsidy.

### Investments in our Infrastructure

- **Acquire 66 M-8 Rail Cars Pursuant to a Previously Negotiated Option (Way Ahead)**  
Metro-North has exercised the remaining contract option with Kawasaki to purchase 66 M-8 railcars to accommodate increased ridership.
- **Install a Four-Megawatt Wayside Energy Storage System (WESS) on Metro-North's Upper Harlem Line (Way Ahead)**  
This program will pilot a solution to address severe voltage sags on MNR's Harlem Line between White Plains and Brewster, which occur due to the limited number of substations available.
- **Upper Harlem Transmission Pole Line System Replacement (Way Ahead)**  
Rehabilitate the Upper Harlem Line Pole System by replacing all 1,200 transmission poles to minimize outages caused by severe weather.
- **Grand Central Terminal - Emergency Roof Platform Project /Exhaust Duct State of Good Repair**  
Survey and test all the kitchen exhaust ducts at Grand Central Terminal to ensure their integrity. In order to safely access these ducts, permanent platforms on the roof will be installed.

### Investments in Our People

- **Maintenance of Equipment Diesel Shop Second Shift Staffing**  
MNR will add a second shift of 15 employees to ensure excellent performance of the aging P32/Genesis diesel fleet.
- **Third Party Contractor for Family Medical Leave Act (FMLA)**  
To increase employee availability, Metro-North will participate in an MTA All-Agency contract which utilizes a third-party contractor to provide FMLA administrative services.
- **Installation of Stations Cleaning Dry-Water Line System**  
Install new high-pressure, dry-water line systems at 53 stations on the Hudson, Harlem & New Haven Lines, which will make the station cleaning process significantly simpler and safer.

**On-going Programs and Assumptions** previously included in the July Financial Plan, which continue in the 2019 Final Proposed Budget are as follows:

- Major Infrastructure Projects include the addition of four signal maintainers to conduct FRA-mandated Signal and Train Control Systems testing, aggressive tree trimming program, and Environmental Protection Agency (EPA) Mandated Fuel Pad Repairs in Harmon, North White Plains, and Brewster.
- Major investments in Our People include the reorganization of the Drug and Alcohol Program, funding for an outside contractor to perform confined space monitoring, an enhanced safety shoe program, the addition of seven staff members to more effectively integrate the Procurement Group with the Enterprise Asset Management (EAM) Program, the addition of one staff member in the Office of EEO and Diversity to maximize employee outreach and engagement, and the addition of one Chief Rail Traffic Controller Position in the Operation Control Center (OCC) to assist with the initial implementation of Revenue Service Demonstration (RSD) for Positive Train Control (PTC).

### Utilization

The 2018 November Forecast projects nearly 86.8 million East and West of Hudson riders, a slight increase of 0.4% over 2017. Ridership in 2019-2022 is projected to grow by 1.3% in 2019 and 0.7% in 2020, remain essentially flat in 2021, and

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grow by 0.9% in 2022, with growth occurring across all commuter lines. There are no budgeted fare increases in New York or Connecticut through 2022.

**2018 Budget Reduction Initiatives** of \$15.1 million have been incorporated into Metro-North's 2018 November Forecast-Baseline with an annual average of \$48.7 million scheduled for the 2019 Final Proposed Budget and the 2020-2022 Financial Plan. These initiatives include targeted reductions to professional services and maintenance and other operating contracts as well as numerous operational efficiency and trend-based cost reductions.

#### **2018 November Forecast-Baseline**

The 2018 non-reimbursable forecast reflects revenues totaling \$800.9 million, including \$747.9 million of Farebox Revenues and \$53.0 million in Other Operating Revenue. Total Operating Expense projections of \$1,658.8 million consist of labor costs of \$932.6 million, non-labor costs of \$409.2 million and non-cash accruals of \$317.1 million for Depreciation (\$243.6 million), Other Post-Employment Benefits (\$58.0 million), GASB 68 Pension Adjustment of (\$11.5 million) and Environmental Remediation (\$4.0 million). After including additional cash requirements adjustment of \$288.7 million, the projected net cash deficit is \$569.2 million of which \$448.2 million represents the MTA share and \$121.0 million the CDOT share. Total reimbursable expense projections of \$284.5 million are fully offset by capital reimbursements. Total end-of-year authorized positions are projected at 7,134 and include 6,495 non-reimbursable positions and 639 reimbursable positions.

#### **2019 Final Proposed Budget-Baseline**

The 2019 final proposed non-reimbursable budget reflects revenues totaling \$814.7 million. Farebox Revenue of \$758.0 million primarily reflects a 1.3% ridership increase. Other Operating Revenue of \$56.7 million reflects GCT net retail revenues, advertising, and outlying station & parking revenue. Total Operating Expense projections of \$1,606.4 million consist of labor costs of \$924.2 million, non-labor costs of \$397.7 million and non-cash accruals of \$284.5 million, which are comprised of Depreciation (\$246.5 million), Other Post-Employment Benefits (\$58.0 million), GASB 68 Pension Adjustment credit (\$24.0 million) and Environmental Remediation (\$4.0 million). After additional cash requirements adjustment of \$170.4 million, the projected net cash deficit is \$621.3 million, of which \$502.6 million represents the MTA share and \$118.6 million the CDOT share. Total reimbursable expense projections of \$319.6 million are fully offset by capital reimbursements. Total end-of-year authorized positions are projected at 7,135 and include 6,369 non-reimbursable positions and 766 reimbursable positions.

**Impact on Funding:** The 2018 November Forecast, the 2019 Final Proposed Budget and the Four-Year Financial Plan for 2019-2022, which are presented in the attached schedules, are consistent with the proposed MTA Financial Plan.

**Recommendation:** It is recommended that the MTA Board adopt the 2018 November Forecast, 2019 Final Proposed Budget, and the Four-Year Financial Plan for 2019-2022 for MTA Metro-North Railroad.

**MTA METRO-NORTH RAILROAD**  
**November Financial Plan 2019 - 2022**  
**Accrual Statement of Operations By Category**  
(\$ in millions)

	Actual 2017	November Forecast 2018	Final Proposed Budget 2019	2020	2021	2022
<b>Non-Reimbursable</b>						
<b>Operating Revenue</b>						
Farebox Revenue	\$733.409	\$747.923	\$758.005	\$764.450	\$764.963	\$772.089
Other Operating Revenue	58.506	52.991	56.741	81.694	88.488	62.736
Capital and Other Reimbursements	0.000	0.000	0.000	0.000	0.000	0.000
<b>Total Revenues</b>	<b>\$791.914</b>	<b>\$800.913</b>	<b>\$814.746</b>	<b>\$846.144</b>	<b>\$853.451</b>	<b>\$834.825</b>
<b>Operating Expense</b>						
<b>Labor:</b>						
Payroll	\$512.114	\$520.243	\$522.948	\$544.677	\$554.701	\$564.880
Overtime	91.419	94.715	95.257	97.162	99.105	101.087
Health and Welfare	103.629	111.427	111.256	116.241	118.054	119.926
OPEB Current Payments	33.010	34.000	35.000	36.000	37.000	38.000
Pension	112.551	107.206	104.897	101.746	96.388	83.950
Other Fringe Benefits	132.998	123.554	124.413	128.792	130.877	133.045
Reimbursable Overhead	(54.004)	(58.594)	(69.543)	(66.153)	(69.003)	(57.595)
<b>Total Labor Expenses</b>	<b>\$931.716</b>	<b>\$932.552</b>	<b>\$924.228</b>	<b>\$958.465</b>	<b>\$967.122</b>	<b>\$983.293</b>
<b>Non-Labor:</b>						
Electric Power	\$66.149	\$76.069	\$70.894	\$73.331	\$75.936	\$79.053
Fuel	16.817	21.452	22.306	22.230	21.754	21.518
Insurance	17.343	17.635	18.828	20.276	21.816	23.541
Claims	9.507	4.716	1.000	1.000	1.000	1.000
Paratransit Service Contracts	0.000	0.000	0.000	0.000	0.000	0.000
Maintenance and Other Operating Contracts	101.655	122.800	114.327	112.004	116.145	122.903
Professional Services Contracts	35.424	39.058	40.357	40.036	40.749	41.070
Materials and Supplies	91.257	98.205	101.233	96.157	98.552	96.687
Other Business Expenses	31.609	29.224	28.762	18.905	31.037	30.912
<b>Total Non-Labor Expenses</b>	<b>\$369.760</b>	<b>\$409.159</b>	<b>\$397.706</b>	<b>\$383.940</b>	<b>\$406.988</b>	<b>\$416.683</b>
<b>Other Expense Adjustments:</b>						
Other Expense Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
<b>Total Other Expense Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>
<b>Total Expenses Before Depreciation and GASB Adjs.</b>	<b>\$1,301.477</b>	<b>\$1,341.712</b>	<b>\$1,321.934</b>	<b>\$1,342.405</b>	<b>\$1,374.110</b>	<b>\$1,399.975</b>
Depreciation	\$240.178	\$243.636	\$246.507	\$246.507	\$246.507	\$246.507
OPEB Liability Adjustment	98.810	58.000	58.000	58.000	58.000	58.000
GASB 68 Pension Expense Adjustment	(16.848)	11.500	(24.000)	(25.700)	(41.700)	(30.200)
Environmental Remediation	1.227	4.000	4.000	4.000	4.000	4.000
<b>Total Expenses</b>	<b>\$1,624.844</b>	<b>\$1,658.848</b>	<b>\$1,606.441</b>	<b>\$1,625.212</b>	<b>\$1,640.917</b>	<b>\$1,678.282</b>
<b>Net Surplus/(Deficit)</b>	<b>(\$832.929)</b>	<b>(\$857.934)</b>	<b>(\$791.695)</b>	<b>(\$779.068)</b>	<b>(\$787.466)</b>	<b>(\$843.457)</b>
<b>Cash Conversion Adjustments</b>						
Depreciation	\$240.178	\$243.636	\$246.507	\$246.507	\$246.507	\$246.507
Operating/Capital	(49.264)	(77.299)	(100.334)	(91.193)	(26.864)	(10.638)
Other Cash Adjustments	91.662	122.363	24.263	22.555	21.639	33.239
<b>Total Cash Conversion Adjustments</b>	<b>\$282.576</b>	<b>\$288.699</b>	<b>\$170.435</b>	<b>\$177.869</b>	<b>\$241.281</b>	<b>\$269.108</b>
<b>Net Cash Surplus/(Deficit)</b>	<b>(\$550.353)</b>	<b>(\$569.235)</b>	<b>(\$621.260)</b>	<b>(\$601.198)</b>	<b>(\$546.185)</b>	<b>(\$574.349)</b>

Note: Beginning with 2017, ticket sales revenue collected on West of Hudson operations by New Jersey Transit has been reclassified to the Farebox Revenue category. Previously, such revenue was classified as an offset under the Other Business Expenses category.

**MTA METRO-NORTH RAILROAD**  
**November Financial Plan 2019 - 2022**  
**Accrual Statement of Operations By Category**  
(\$ in millions)

	Actual 2017	November Forecast 2018	Final Proposed Budget 2019	2020	2021	2022
<b>Reimbursable</b>						
<b>Operating Revenue</b>						
Farebox Revenue	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Other Operating Revenue	0.000	0.000	0.000	0.000	0.000	0.000
MNR - MTA	114.813	134.825	155.610	154.630	163.171	155.720
MNR - CDOT	91.152	138.594	158.767	107.551	90.409	77.998
MNR - Other	18.228	11.110	5.179	6.556	9.933	9.479
Capital and Other Reimbursements	224.193	284.529	319.556	268.737	263.513	243.197
<b>Total Revenues</b>	<b>\$224.193</b>	<b>\$284.529</b>	<b>\$319.556</b>	<b>\$268.737</b>	<b>\$263.513</b>	<b>\$243.197</b>
<b>Operating Expense</b>						
<b>Labor:</b>						
Payroll	\$43.786	\$47.782	\$58.386	\$60.107	\$62.944	\$64.805
Overtime	24.614	23.993	26.143	27.298	28.586	29.443
Health and Welfare	15.354	16.454	19.409	20.064	20.980	21.575
OPEB Current Payments	0.000	0.000	0.000	0.000	0.000	0.000
Pension	9.633	11.366	13.295	13.730	14.384	14.818
Other Fringe Benefits	11.473	12.448	14.554	15.028	15.734	16.189
Reimbursable Overhead	49.808	55.422	65.875	64.025	67.369	56.294
<b>Total Labor Expenses</b>	<b>\$154.668</b>	<b>\$167.466</b>	<b>\$197.662</b>	<b>\$200.252</b>	<b>\$209.997</b>	<b>\$203.123</b>
<b>Non-Labor:</b>						
Electric Power	\$0.145	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Fuel	0.000	0.000	0.000	0.000	0.000	0.000
Insurance	4.931	4.368	4.523	4.605	5.007	3.957
Claims	0.000	0.000	0.000	0.000	0.000	0.000
Paratransit Service Contracts	0.000	0.000	0.000	0.000	0.000	0.000
Maintenance and Other Operating Contracts	18.492	29.904	33.538	19.810	16.751	14.551
Professional Services Contracts	20.819	38.797	57.162	22.462	10.817	1.053
Materials and Supplies	24.874	43.715	26.467	21.283	20.739	20.309
Other Business Expenses	0.263	0.278	0.204	0.325	0.200	0.205
<b>Total Non-Labor Expenses</b>	<b>\$69.525</b>	<b>\$117.062</b>	<b>\$121.894</b>	<b>\$68.485</b>	<b>\$53.516</b>	<b>\$40.074</b>
<b>Other Expense Adjustments:</b>						
Other Expense Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
<b>Total Other Expense Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>
<b>Total Expenses Before Depreciation</b>	<b>\$224.193</b>	<b>\$284.529</b>	<b>\$319.556</b>	<b>\$268.737</b>	<b>\$263.513</b>	<b>\$243.197</b>
<b>Net Surplus/(Deficit)</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>

**MTA METRO-NORTH RAILROAD**  
**November Financial Plan 2019 - 2022**  
**Accrual Statement of Operations By Category**  
(\$ in millions)

	Actual 2017	November Forecast 2018	Final Proposed Budget 2019	2020	2021	2022
<b>Non-Reimbursable / Reimbursable</b>						
<b>Operating Revenue</b>						
Farebox Revenue	\$733.409	\$747.923	\$758.005	\$764.450	\$764.963	\$772.089
Other Operating Revenue	58.506	52.991	56.741	81.694	88.488	62.736
MNR - MTA	114.813	134.825	155.610	154.630	163.171	155.720
MNR - CDOT	91.152	138.594	158.767	107.551	90.409	77.998
MNR - Other	18.228	11.110	5.179	6.556	9.933	9.479
Capital and Other Reimbursements	224.193	284.529	319.556	268.737	263.513	243.197
<b>Total Revenues</b>	<b>\$1,016.107</b>	<b>\$1,085.442</b>	<b>\$1,134.302</b>	<b>\$1,114.881</b>	<b>\$1,116.964</b>	<b>\$1,078.022</b>
<b>Operating Expense</b>						
<b>Labor:</b>						
Payroll	\$555.900	\$568.025	\$581.334	\$604.784	\$617.645	\$629.685
Overtime	116.032	118.709	121.400	124.460	127.692	130.530
Health and Welfare	118.983	127.882	130.665	136.306	139.034	141.500
OPEB Current Payments	33.010	34.000	35.000	36.000	37.000	38.000
Pension	122.184	118.573	118.192	115.476	110.772	98.768
Other Fringe Benefits	144.471	136.002	138.967	143.820	146.610	149.234
Reimbursable Overhead	(4.196)	(3.172)	(3.668)	(2.128)	(1.634)	(1.301)
<b>Total Labor Expenses</b>	<b>\$1,086.384</b>	<b>\$1,100.019</b>	<b>\$1,121.890</b>	<b>\$1,158.717</b>	<b>\$1,177.119</b>	<b>\$1,186.416</b>
<b>Non-Labor:</b>						
Electric Power	\$66.294	\$76.069	\$70.894	\$73.331	\$75.936	\$79.053
Fuel	16.817	21.452	22.306	22.230	21.754	21.518
Insurance	22.275	22.003	23.351	24.882	26.823	27.497
Claims	9.507	4.716	1.000	1.000	1.000	1.000
Paratransit Service Contracts	0.000	0.000	0.000	0.000	0.000	0.000
Maintenance and Other Operating Contracts	120.147	152.705	147.865	131.815	132.896	137.454
Professional Services Contracts	56.243	77.855	97.519	62.497	51.566	42.122
Materials and Supplies	116.131	141.920	127.700	117.440	119.292	116.996
Other Business Expenses	31.872	29.502	28.966	19.230	31.237	31.117
<b>Total Non-Labor Expenses</b>	<b>\$439.285</b>	<b>\$526.222</b>	<b>\$519.600</b>	<b>\$452.425</b>	<b>\$460.504</b>	<b>\$456.757</b>
<b>Other Expense Adjustments:</b>						
Other Expense Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
<b>Total Other Expense Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>
<b>Total Expenses Before Depreciation and GASB Adjs.</b>	<b>\$1,525.669</b>	<b>\$1,626.241</b>	<b>\$1,641.490</b>	<b>\$1,611.142</b>	<b>\$1,637.623</b>	<b>\$1,643.172</b>
Depreciation	\$240.178	\$243.636	\$246.507	\$246.507	\$246.507	\$246.507
OPEB Liability Adjustment	98.810	58.000	58.000	58.000	58.000	58.000
GASB 68 Pension Expense Adjustment	(16.848)	11.500	(24.000)	(25.700)	(41.700)	(30.200)
Environmental Remediation	1.227	4.000	4.000	4.000	4.000	4.000
<b>Total Expenses</b>	<b>\$1,849.036</b>	<b>\$1,943.376</b>	<b>\$1,925.997</b>	<b>\$1,893.948</b>	<b>\$1,904.430</b>	<b>\$1,921.479</b>
<b>Net Surplus/(Deficit)</b>	<b>(\$832.929)</b>	<b>(\$857.934)</b>	<b>(\$791.695)</b>	<b>(\$779.068)</b>	<b>(\$787.466)</b>	<b>(\$843.457)</b>
<b>Cash Conversion Adjustments</b>						
Depreciation	\$240.178	\$243.636	\$246.507	\$246.507	\$246.507	\$246.507
Operating/Capital	(49.264)	(77.299)	(100.334)	(91.193)	(26.864)	(10.638)
Other Cash Adjustments	91.662	122.363	24.263	22.555	21.639	33.239
<b>Total Cash Conversion Adjustments</b>	<b>\$282.576</b>	<b>\$288.699</b>	<b>\$170.435</b>	<b>\$177.869</b>	<b>\$241.281</b>	<b>\$269.108</b>
<b>Net Cash Surplus/(Deficit)</b>	<b>(\$550.353)</b>	<b>(\$569.235)</b>	<b>(\$621.260)</b>	<b>(\$601.198)</b>	<b>(\$546.185)</b>	<b>(\$574.349)</b>

**MTA METRO-NORTH RAILROAD**  
**November Financial Plan 2019 - 2022**  
**Cash Receipts and Expenditures**  
(\$ in millions)

	Actual 2017	November Forecast 2018	Final Proposed Budget 2019	2020	2021	2022
<b>Cash Receipts and Expenditures</b>						
<b>Receipts</b>						
Farebox Revenue	\$719.650	\$734.880	\$744.603	\$750.825	\$751.110	\$757.946
Other Operating Revenue	85.853	107.744	84.932	106.395	113.654	88.433
MNR - MTA	124.594	136.280	154.606	155.058	161.115	158.191
MNR - CDOT	75.265	138.594	158.767	107.551	90.409	77.998
MNR - Other	24.461	11.110	6.748	6.556	9.933	9.479
Capital and Other Reimbursements	224.320	285.984	320.122	269.165	261.457	245.669
<b>Total Receipts</b>	<b>\$1,029.823</b>	<b>\$1,128.607</b>	<b>\$1,149.657</b>	<b>\$1,126.385</b>	<b>\$1,126.221</b>	<b>\$1,092.047</b>
<b>Expenditures</b>						
<b><u>Labor:</u></b>						
Payroll	\$548.138	\$561.658	\$597.905	\$616.095	\$617.645	\$631.799
Overtime	115.603	119.221	124.989	126.818	127.359	130.734
Health and Welfare	134.387	132.107	135.249	137.160	143.246	145.637
OPEB Current Payments	33.005	34.000	35.000	36.000	37.000	38.000
Pension	123.978	119.180	118.921	116.038	111.167	99.050
Other Fringe Benefits	130.061	125.571	136.013	140.603	139.845	143.206
Contribution to GASB Fund	0.000	0.000	0.000	3.536	0.000	0.000
Reimbursable Overhead	0.000	0.000	0.000	0.000	0.000	0.000
<b>Total Labor Expenditures</b>	<b>\$1,085.172</b>	<b>\$1,091.738</b>	<b>\$1,148.078</b>	<b>\$1,176.250</b>	<b>\$1,176.262</b>	<b>\$1,188.426</b>
<b><u>Non-Labor:</u></b>						
Electric Power	\$69.708	\$78.130	\$72.977	\$75.414	\$78.018	\$81.135
Fuel	15.787	20.972	21.817	21.730	21.244	20.998
Insurance	30.134	21.122	23.668	25.845	26.876	27.563
Claims	12.868	6.744	1.498	1.648	1.146	1.146
Paratransit Service Contracts	0.000	0.000	0.000	0.000	0.000	0.000
Maintenance and Other Operating Contracts	138.788	188.774	204.912	189.457	145.300	136.668
Professional Services Contracts	57.166	91.269	108.810	75.561	53.772	43.596
Materials and Supplies	123.687	151.929	137.396	124.404	122.100	119.404
Other Business Expenses	46.866	47.165	51.761	37.275	47.686	47.461
<b>Total Non-Labor Expenditures</b>	<b>\$495.004</b>	<b>\$606.105</b>	<b>\$622.838</b>	<b>\$551.334</b>	<b>\$496.143</b>	<b>\$477.970</b>
<b><u>Other Expenditure Adjustments:</u></b>						
Other	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Cash Timing and Availability Adjustment	0.000	0.000	0.000	0.000	0.000	0.000
<b>Total Other Expense Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>
<b>Total Expenditures</b>	<b>\$1,580.176</b>	<b>\$1,697.842</b>	<b>\$1,770.916</b>	<b>\$1,727.583</b>	<b>\$1,672.406</b>	<b>\$1,666.396</b>
<b>Net Cash Balance</b>	<b>(\$550.353)</b>	<b>(\$569.235)</b>	<b>(\$621.260)</b>	<b>(\$601.198)</b>	<b>(\$546.185)</b>	<b>(\$574.349)</b>
<b>Subsidies</b>						
MTA	\$418.895	\$448.212	\$502.624	\$480.632	\$421.836	\$444.210
CDOT	130.586	121.023	118.636	120.566	124.349	130.139
<b>Total Subsidies</b>	<b>\$549.481</b>	<b>\$569.235</b>	<b>\$621.260</b>	<b>\$601.198</b>	<b>\$546.185</b>	<b>\$574.349</b>

**MTA METRO-NORTH RAILROAD**  
**November Financial Plan 2019 - 2022**  
**Cash Conversion (Cash Flow Adjustments)**  
(\$ in millions)

	Actual 2017	November Forecast 2018	Final Proposed Budget 2019	2020	2021	2022
<b>Cash Flow Adjustments</b>						
<b>Receipts</b>						
Farebox Revenue	(\$13.759)	(\$13.043)	(\$13.402)	(\$13.625)	(\$13.853)	(\$14.143)
Other Operating Revenue	27.347	54.753	28.192	24.701	25.166	25.697
MNR - MTA	9.781	1.455	(1.003)	0.429	(2.056)	2.472
MNR - CDOT	(15.887)	0.000	0.000	0.000	0.000	0.000
MNR - Other	6.233	0.000	1.569	0.000	0.000	0.000
Total Capital and Other Reimbursements	\$0.127	\$1.455	\$0.566	\$0.429	(\$2.056)	\$2.472
<b>Total Receipts</b>	<b>\$13.716</b>	<b>\$43.165</b>	<b>\$15.355</b>	<b>\$11.504</b>	<b>\$9.257</b>	<b>\$14.025</b>
<b>Expenditures</b>						
<b>Labor:</b>						
Payroll	\$7.762	\$6.368	(\$16.571)	(\$11.311)	\$0.001	(\$2.114)
Overtime	0.429	(0.513)	(3.590)	(2.359)	0.332	(0.203)
Health and Welfare	(15.404)	(4.226)	(4.583)	(0.855)	(4.213)	(4.137)
OPEB Current Payments	0.005	0.000	0.000	0.000	0.000	0.000
Pension	(1.794)	(0.607)	(0.729)	(0.562)	(0.395)	(0.283)
Other Fringe Benefits	14.410	10.431	2.954	3.218	6.766	6.028
Contribution to GASB Fund	0.000	0.000	0.000	(3.536)	0.000	0.000
Reimbursable Overhead	(4.196)	(3.172)	(3.668)	(2.128)	(1.634)	(1.301)
<b>Total Labor Expenditures</b>	<b>\$1.212</b>	<b>\$8.281</b>	<b>(\$26.188)</b>	<b>(\$17.533)</b>	<b>\$0.857</b>	<b>(\$2.010)</b>
<b>Non-Labor:</b>						
Electric Power	(\$3.414)	(\$2.061)	(2.082)	(\$2.082)	(\$2.082)	(\$2.082)
Fuel	1.030	0.480	0.490	0.499	0.509	0.520
Insurance	(7.859)	0.881	(0.317)	(0.963)	(0.053)	(0.066)
Claims	(3.361)	(2.028)	(0.498)	(0.648)	(0.146)	(0.146)
Paratransit Service Contracts	0.000	0.000	0.000	0.000	0.000	0.000
Maintenance and Other Operating Contracts	(18.641)	(36.069)	(57.048)	(57.642)	(12.404)	0.786
Professional Services Contracts	(0.923)	(13.414)	(11.291)	(13.064)	(2.206)	(1.473)
Materials and Supplies	(7.556)	(10.008)	(9.696)	(6.963)	(2.808)	(2.408)
Other Business Expenses	(14.994)	(17.663)	(22.795)	(18.045)	(16.449)	(16.344)
<b>Total Non-Labor Expenditures</b>	<b>(\$55.719)</b>	<b>(\$79.883)</b>	<b>(\$103.238)</b>	<b>(\$98.909)</b>	<b>(\$35.640)</b>	<b>(\$21.213)</b>
<b>Other Expenditure Adjustments:</b>						
Other Expense Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
<b>Total Other Expenditure Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>
<b>Total Expenditures</b>	<b>(\$54.507)</b>	<b>(\$71.602)</b>	<b>(\$129.426)</b>	<b>(\$116.442)</b>	<b>(\$34.783)</b>	<b>(\$23.224)</b>
<b>Total Cash Conversion Adjustments before Depreciation</b>	<b>(\$40.791)</b>	<b>(\$28.437)</b>	<b>(\$114.071)</b>	<b>(\$104.937)</b>	<b>(\$25.525)</b>	<b>(\$9.199)</b>
Depreciation	\$240.178	\$243.636	\$246.507	\$246.507	\$246.507	\$246.507
OPEB Liability Adjustment	98.810	58.000	58.000	58.000	58.000	58.000
GASB 68 Pension Expense Adjustment	(16.848)	11.500	(24.000)	(25.700)	(41.700)	(30.200)
Environmental Remediation	1.227	4.000	4.000	4.000	4.000	4.000
<b>Total Cash Conversion Adjustments</b>	<b>\$282.576</b>	<b>\$288.699</b>	<b>\$170.435</b>	<b>\$177.869</b>	<b>\$241.281</b>	<b>\$269.108</b>

**MTA METRO-NORTH RAILROAD**  
**November Financial Plan 2019 - 2022**  
**Ridership (Utilization)**  
(in millions)

Actual 2017	November Forecast 2018	Final Proposed Budget 2019	2020	2021	2022
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**RIDERSHIP**

<i>Harlem Line Ridership - Commutation</i>	16.683	16.704	16.892	17.028	17.014	17.223
<i>Harlem Line Ridership - Non-Commutation</i>	<u>11.129</u>	<u>11.002</u>	<u>11.268</u>	<u>11.358</u>	<u>11.349</u>	<u>11.489</u>
Harlem Line	27.812	27.706	28.161	28.386	28.364	28.712
<i>Hudson Line Ridership - Commutation</i>	9.309	9.370	9.598	9.689	9.698	9.776
<i>Hudson Line Ridership - Non-Commutation</i>	<u>7.589</u>	<u>7.756</u>	<u>7.824</u>	<u>7.898</u>	<u>7.905</u>	<u>7.969</u>
Hudson Line	16.897	17.126	17.423	17.587	17.603	17.745
<i>New Haven Line Ridership - Commutation</i>	22.201	22.158	22.530	22.671	22.685	22.827
<i>New Haven Line Ridership - Non-Commutation</i>	<u>17.968</u>	<u>18.213</u>	<u>18.235</u>	<u>18.348</u>	<u>18.360</u>	<u>18.475</u>
New Haven Line	40.169	40.371	40.765	41.019	41.045	41.302
<b>Total Commutation Ridership</b>	<b>48.193</b>	<b>48.231</b>	<b>49.021</b>	<b>49.387</b>	<b>49.397</b>	<b>49.826</b>
<b>Total Non-Commutation Ridership</b>	<b><u>36.686</u></b>	<b><u>36.972</u></b>	<b><u>37.328</u></b>	<b><u>37.605</u></b>	<b><u>37.615</u></b>	<b><u>37.933</u></b>
<b>Total East of Hudson Ridership</b>	<b>84.879</b>	<b>85.203</b>	<b>86.349</b>	<b>86.992</b>	<b>87.011</b>	<b>87.759</b>
<b>West of Hudson Ridership</b>	<b>1.617</b>	<b>1.599</b>	<b>1.614</b>	<b>1.625</b>	<b>1.638</b>	<b>1.667</b>
<b>Total Ridership</b>	<b>86.496</b>	<b>86.802</b>	<b>87.962</b>	<b>88.617</b>	<b>88.650</b>	<b>89.426</b>

**FAREBOX REVENUE**

<i>Harlem Line - Commutation Revenue</i>	111.009	112.344	113.561	114.592	114.439	116.040
<i>Harlem Line - Non-Commutation Revenue</i>	<u>101.292</u>	<u>101.272</u>	<u>103.620</u>	<u>104.561</u>	<u>104.422</u>	<u>105.882</u>
Harlem Line	\$212.301	\$213.616	\$217.181	\$219.153	\$218.861	\$221.923
<i>Hudson Line - Commutation Revenue</i>	72.539	73.715	75.625	76.438	76.464	77.067
<i>Hudson Line - Non-Commutation Revenue</i>	<u>84.843</u>	<u>87.481</u>	<u>88.452</u>	<u>89.403</u>	<u>89.434</u>	<u>90.138</u>
Hudson Line	\$157.383	\$161.196	\$164.077	\$165.842	\$165.899	\$167.205
<i>New Haven Line - Commutation Revenue</i>	156.827	161.295	162.547	163.717	163.996	165.113
<i>New Haven Line - Non-Commutation Revenue</i>	<u>192.543</u>	<u>197.425</u>	<u>199.566</u>	<u>201.002</u>	<u>201.345</u>	<u>202.716</u>
New Haven Line	\$349.371	\$358.720	\$362.113	\$364.719	\$365.340	\$367.828
<b>Total Commutation Revenue</b>	<b>\$340.376</b>	<b>\$347.354</b>	<b>\$351.733</b>	<b>\$354.747</b>	<b>\$354.900</b>	<b>\$358.219</b>
<b>Total Non-Commutation Revenue</b>	<b><u>378.679</u></b>	<b><u>386.178</u></b>	<b><u>391.638</u></b>	<b><u>394.966</u></b>	<b><u>395.200</u></b>	<b><u>398.736</u></b>
<b>Total East of Hudson Revenue</b>	<b>\$719.055</b>	<b>\$733.532</b>	<b>\$743.371</b>	<b>\$749.713</b>	<b>\$750.100</b>	<b>\$756.956</b>
<b>West of Hudson Revenue</b>	<b>\$14.354</b>	<b>\$14.391</b>	<b>\$14.634</b>	<b>\$14.737</b>	<b>\$14.863</b>	<b>\$15.133</b>
<b>Total Farebox Revenue</b>	<b>\$733.409</b>	<b>\$747.923</b>	<b>\$758.005</b>	<b>\$764.450</b>	<b>\$764.963</b>	<b>\$772.089</b>

Notes: West of Hudson total ridership is both Pascack Valley and Port Jervis lines.

**MTA Metro-North Railroad**  
**November Financial Plan 2019 - 2022**  
**2018 Budget Reduction Plan Summary**  
(\$ in millions)

	Favorable/(Unfavorable)									
	Pos.	2018	Pos.	2019	Pos.	2020	Pos.	2021	Pos.	2022
<b>Administration</b>										
Reductions to Professional Service Contracts (July Plan)	-	\$1.676	-	\$2.341	-	\$2.237	-	\$2.322	-	\$2.558
Reductions to Other Business Expenses (July Plan)	-	0.376	-	0.379	-	0.384	-	0.385	-	0.382
OTE GOER Mandated Training Reduction (November Plan)	-	<u>2.755</u>	-	<u>2.755</u>	-	<u>0.000</u>	-	<u>2.755</u>	-	<u>2.755</u>
<i>Subtotal Administration</i>	-	<i>4.807</i>	-	<i>5.474</i>	-	<i>2.621</i>	-	<i>5.461</i>	-	<i>5.695</i>
<b>Customer Convenience/Amenities</b>										
Elimination of GCT North End Signage Project (July Plan)	-	0.300	-	0.300	-	0.300	-	0.300	-	0.300
Elimination of Temperature Measurement Program (July Plan)	-	0.203	-	0.203	-	0.203	-	0.203	-	0.203
Ticket Office Closings at Three Stations on the Harlem Line (November Plan)	-	<u>0.000</u>	3	<u>0.535</u>	3	<u>0.546</u>	3	<u>0.557</u>	3	<u>0.568</u>
<i>Subtotal Customer Convenience/Amenities</i>	-	<i>0.503</i>	3	<i>1.038</i>	3	<i>1.049</i>	3	<i>1.060</i>	3	<i>1.071</i>
<b>Maintenance/Operations</b>										
Re-allocation of Infrastructure Improvement Repairs from Operating to Capital (July Plan)	-	0.000	-	3.538	-	3.538	-	3.538	-	3.538
Miscellaneous Maintenance and Other Operating Contracts Reductions (July Plan)	-	1.806	-	2.383	-	2.531	-	2.671	-	2.906
FRA Waiver to allow retiming of M8 airbrake maintenance cycle from 5 to 6 years (July Plan)	-	2.061	-	1.942	-	1.733	-	1.673	-	1.554
Renegotiation of Middleman Charges for New Haven Line Energy Expenses (July Plan)	-	1.300	-	1.300	-	1.300	-	1.300	-	1.300
Reductions to Materials & Supplies (July Plan)	-	0.985	-	0.985	-	0.985	-	0.985	-	0.985
Rightsizing of NYSGOER Annual Training and Policy Certifications Budget (July Plan)	-	0.940	-	0.940	-	0.940	-	0.940	-	0.940
Rightsizing of Engineering Services Budget for GCT Trainshed Inspection (July Plan)	-	0.500	-	0.500	-	0.500	-	0.500	-	0.500
Elimination of Engineering Consultant for P-32 RCM Phase 2 (July Plan)	-	0.500	-	0.750	-	0.750	-	0.500	-	0.000
Elimination of Track Geometry Car Lease (July Plan)	-	0.000	-	0.166	-	0.166	-	0.166	-	0.166
Lower Energy Consumption due to ISO 50001 Requirements and Reduced Car Miles (November Plan)	-	0.000	-	1.938	-	1.874	-	1.911	-	1.962
Reduction of Infrastructure Contractual Services (November Plan)	-	1.584	-	3.052	-	2.318	-	2.369	-	2.425
Maintenance of Equipment Early Reduction of Capital Positions; Potential Furlough of 4-12 Employees (November Plan)	-	0.000	30	3.215	30	0.000	30	0.000	30	0.000
Extend Car/Coach Cleaning Cycle from 92 to 184 days; Eliminate 25 Car Cleaner Positions and Immediate Furlough of 25 Employees (November Plan)	-	0.000	25	2.679	25	2.733	25	2.787	25	2.843
Deferral of M8 Seat Replacement (November Plan)	-	0.000	-	0.000	-	0.000	-	2.019	-	3.541
Grand Central Terminal Weekend Coverage Reduction (November Plan)	-	0.000	5	0.632	5	0.645	5	0.658	5	0.671
Operating Capital Reduction (November Plan)	-	<u>0.000</u>	-	<u>2.000</u>	-	<u>3.000</u>	-	<u>2.000</u>	-	<u>2.000</u>
<i>Subtotal Maintenance/Operations</i>	-	<i>9.677</i>	60	<i>26.020</i>	60	<i>23.013</i>	60	<i>24.017</i>	60	<i>25.330</i>
<b>Revenue Enhancement</b>										
None	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>
<i>Subtotal Revenue Enhancement</i>	-	<i>0.000</i>	-	<i>0.000</i>	-	<i>0.000</i>	-	<i>0.000</i>	-	<i>0.000</i>
<b>Safety/Security</b>										
None	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>
<i>Subtotal Safety</i>	-	<i>0.000</i>	-	<i>0.000</i>	-	<i>0.000</i>	-	<i>0.000</i>	-	<i>0.000</i>
<b>Service</b>										
Reductions to Overtime & Fringe (July Plan)	-	<u>0.000</u>	-	<u>4.069</u>	-	<u>4.069</u>	-	<u>4.069</u>	-	<u>4.069</u>
<i>Subtotal Service</i>	-	<i>0.000</i>	-	<i>4.069</i>	-	<i>4.069</i>	-	<i>4.069</i>	-	<i>4.069</i>
<b>Service Support</b>										
None	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>
<i>Subtotal Service Support</i>	-	<i>0.000</i>	-	<i>0.000</i>	-	<i>0.000</i>	-	<i>0.000</i>	-	<i>0.000</i>
<b>Other</b>										
Tighter Control and Prioritization of Non-Payroll Expenses (November Plan)	-	<u>0.119</u>	-	<u>12.531</u>	-	<u>16.080</u>	-	<u>14.905</u>	-	<u>13.197</u>
<i>Subtotal Other</i>	-	<i>0.119</i>	-	<i>12.531</i>	-	<i>16.080</i>	-	<i>14.905</i>	-	<i>13.197</i>
<b>Agency Submission</b>	-	<b>\$15.106</b>	<b>63</b>	<b>\$49.132</b>	<b>63</b>	<b>\$46.831</b>	<b>63</b>	<b>\$49.512</b>	<b>63</b>	<b>\$49.362</b>

**MTA METRO-NORTH RAILROAD**  
**November Financial Plan 2019 - 2022**  
**Total Positions by Function and Department**  
**Non-Reimbursable/Reimbursable and Full-Time/Full-Time Equivalents**

FUNCTION/DEPARTMENT	2017 Actual	2018 November Estimate	2019 Final Proposed Budget	2020	2021	2022
<b>Administration</b>						
President	2	3	3	3	3	3
Labor Relations	17	20	20	20	20	20
Safety	54	59	59	59	59	59
Security	23	26	26	26	26	26
Office of the Executive VP	10	10	10	10	10	10
Corporate & Public Affairs	20	19	19	19	19	19
Customer Service	65	69	69	69	69	69
Legal	13	19	19	19	19	19
Claims	12	14	14	14	14	14
Environmental Compliance & Svce	7	8	8	8	8	8
VP Human Resources	44	51	51	51	51	51
Training	83	101	101	101	101	101
Employee Relations & Diversity	6	7	7	7	7	7
VP Planning	2	2	2	2	2	2
Operations Planning & Analysis	19	22	22	22	22	22
Capital Planning & Programming	12	18	18	18	18	18
Long Range Planning	8	8	8	8	8	8
VP Finance & Info Systems	4	2	2	2	2	2
Controller	74	82	82	82	82	82
Information Technology & Project Mgmt	0	0	0	0	0	0
Budget	18	23	23	23	23	23
Procurement & Material Management	22	39	39	39	39	39
Corporate	0	0	0	0	0	0
<b>Total Administration</b>	<b>515</b>	<b>602</b>	<b>602</b>	<b>602</b>	<b>602</b>	<b>602</b>
<b>Operations</b>						
Operations Administration	67	105	106	106	106	106
Transportation	1,614	1,637	1,674	1,674	1,683	1,683
Customer Service	280	294	291	291	291	291
Metro-North West	31	46	46	46	46	46
<b>Total Operations</b>	<b>1,992</b>	<b>2,082</b>	<b>2,117</b>	<b>2,117</b>	<b>2,126</b>	<b>2,126</b>
<b>Maintenance</b>						
Maintenance of Equipment	1,664	1,764	1,724	1,724	1,724	1,724
Maintenance of Way	2,116	2,416	2,415	2,417	2,417	2,417
Procurement & Material Management	120	134	141	141	141	141
<b>Total Maintenance</b>	<b>3,900</b>	<b>4,314</b>	<b>4,280</b>	<b>4,282</b>	<b>4,282</b>	<b>4,282</b>
<b>Engineering/Capital</b>						
Construction Management	40	43	43	43	43	43
Engineering & Design	72	93	93	93	93	93
<b>Total Engineering/Capital</b>	<b>112</b>	<b>136</b>	<b>136</b>	<b>136</b>	<b>136</b>	<b>136</b>
<b>Total Positions</b>	<b>6,519</b>	<b>7,134</b>	<b>7,135</b>	<b>7,137</b>	<b>7,146</b>	<b>7,146</b>
<b>Non-Reimbursable</b>	<b>5,995</b>	<b>6,495</b>	<b>6,369</b>	<b>6,388</b>	<b>6,380</b>	<b>6,388</b>
<b>Reimbursable</b>	<b>524</b>	<b>639</b>	<b>766</b>	<b>749</b>	<b>766</b>	<b>758</b>
<b>Total Full-Time</b>	<b>6,518</b>	<b>7,133</b>	<b>7,134</b>	<b>7,136</b>	<b>7,145</b>	<b>7,145</b>
<b>Total Full-Time-Equivalents</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>1</b>

**MTA METRO-NORTH RAILROAD**  
**November Financial Plan 2019 - 2022**  
**Total Positions by Function and Occupational Group**  
**Non-Reimbursable and Reimbursable**

	Actual 2017	November Forecast 2018	Final Proposed Budget 2019	2020	2021	2022
<b>FUNCTION / OCCUPATIONAL GROUP</b>						
<b>Administration</b>						
Managers/Supervisors	177	201	201	201	201	201
Professional/Technical/Clerical	338	401	401	401	401	401
Operational Hourlies	0	0	0	0	0	0
<b>Total Administration Headcount</b>	<b>515</b>	<b>602</b>	<b>602</b>	<b>602</b>	<b>602</b>	<b>602</b>
<b>Operations</b>						
Managers/Supervisors	238	234	234	234	234	234
Professional/Technical/Clerical	175	236	237	237	237	237
Operational Hourlies	1,580	1,612	1,646	1,646	1,655	1,655
<b>Total Operations Headcount</b>	<b>1,992</b>	<b>2,082</b>	<b>2,117</b>	<b>2,117</b>	<b>2,126</b>	<b>2,126</b>
<b>Maintenance</b>						
Managers/Supervisors	625	701	686	686	686	686
Professional/Technical/Clerical	504	564	570	570	570	570
Operational Hourlies	2,770	3,049	3,024	3,026	3,026	3,026
<b>Total Maintenance Headcount</b>	<b>3,900</b>	<b>4,314</b>	<b>4,280</b>	<b>4,282</b>	<b>4,282</b>	<b>4,282</b>
<b>Engineering / Capital</b>						
Managers/Supervisors	46	52	52	52	52	52
Professional/Technical/Clerical	66	84	84	84	84	84
Operational Hourlies	0	0	0	0	0	0
<b>Total Engineering Headcount</b>	<b>112</b>	<b>136</b>	<b>136</b>	<b>136</b>	<b>136</b>	<b>136</b>
<b>Public Safety</b>						
Managers/Supervisors	0	0	0	0	0	0
Professional/Technical/Clerical	0	0	0	0	0	0
Operational Hourlies	0	0	0	0	0	0
<b>Total Public Safety Headcount</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Total Positions</b>						
Managers/Supervisors	<b>1,086</b>	<b>1,188</b>	<b>1,173</b>	<b>1,173</b>	<b>1,173</b>	<b>1,173</b>
Professional/Technical/ Clerical	<b>1,084</b>	<b>1,285</b>	<b>1,292</b>	<b>1,292</b>	<b>1,292</b>	<b>1,292</b>
Operational Hourlies	<b>4,350</b>	<b>4,661</b>	<b>4,670</b>	<b>4,672</b>	<b>4,681</b>	<b>4,681</b>
<b>Total Positions</b>	<b>6,519</b>	<b>7,134</b>	<b>7,135</b>	<b>7,137</b>	<b>7,146</b>	<b>7,146</b>



<b>Subject</b> LIRR 2019 Budget & 2019-2022 Financial Plan Adoption	<b>Date</b> November 30, 2018
<b>Department</b> Office of Management & Budget	<b>Vendor Name</b> 
<b>Department Head Name</b> Francis Landers	<b>Contract Number</b> 
<b>Department Head Signature</b> 	<b>Contract Manager Name</b> 
<b>Project Manager Name</b> 	<b>Table of Contents Ref #</b> 

Board Action						Internal Approvals			
Order	To	Date	Approval	Info	Other	Order	Approval	Order	Approval
1	MNR & LIRR Committee	12/10/18	X			3	President		VP Svc PIng Tech & CPM
2	Finance Committee	12/10/18	X				Exec Vice President		VP Mkt Dev & Public Affairs
3	MTA Board	12/12/18	X				Sr. VP Operations		General Counsel
							VP Labor Relations	2	VP & CFO

Internal Approvals (cont.)							
Order	Approval	Order	Approval	Order	Approval	Order	Approval
1	Exec Dir Mgmt & Budget						

### Purpose

To secure MTA Board adoption of the MTA Long Island Rail Road's (LIRR) 2018 November Forecast, 2019 Final Proposed Budget, and the Four-Year Financial Plan for 2019 – 2022.

### Discussion

The 2019 Final Proposed Budget, which is consistent with information presented to the Board in November, provides sufficient funding to maintain the Long Island Rail Road's commitment to provide safe, secure and reliable transportation and first-class customer service to the metropolitan New York region. The 2019 Final Proposed Budget continues funding initiatives in support of these goals. The LIRR projections do not include the estimated impacts from projected fare increases, unidentified MTA efficiencies, and MTA policy actions. These impacts will be presented as part of MTA consolidated materials.

The LIRR's financial plan contains funding to support the LIRR's ongoing safety initiatives, asset maintenance efforts and system expansion projects. It reflects the full integration of the LIRR Forward philosophy into how the LIRR manages every day. Announced in May 2018, LIRR Forward represents a solve-it-now approach with a reinvigorated customer focus that is being applied to all aspects of the operation. Particular attention is being paid to customer communication, station and car cleaning, and operational resiliency. The financial plan focuses on Reliability Centered Maintenance (RCM) for rolling stock to ensure maximum fleet availability and on maintenance of the right-of way to maintain a state of good repair. This is particularly important as many components will enter critical maintenance stages. Funding and resources also are included to maintain the new Positive Train Control (PTC) system, both onboard trains and along the right of way. The financial plan also reflects ramp-up costs for East Side Access (ESA) readiness efforts and other operating budget impacts including Moynihan Station, Main Line Double Track and Main Line Expansion.

Achieving an efficient operation remains a priority. The baseline projections outlined below reflect both continued financial savings from past non-service related budget reduction initiatives and new or enhanced reduction initiatives. The LIRR continues to subject all areas of the budget to intensive review.

### **2018 November Forecast - Baseline**

Non-Reimbursable/Reimbursable expenses for the 2018 November Forecast before non-cash liability adjustments total \$1,997.4 million. This is comprised of \$1,528.5 million of Non-Reimbursable expenses and \$468.9 million of Reimbursable expenses. Total Non-Reimbursable/Reimbursable revenue for the 2018 November Forecast is \$1,256.0 million. This is comprised of \$787.0 million of Non-Reimbursable revenue and \$468.9 million of Reimbursable revenue. Total positions is 7,690.

The Non-Reimbursable revenue for the 2018 November Forecast of \$787.0 million includes Farebox Revenue projections of \$740.2 million. This is based on a projected annual ridership of 89.5 million customers, which is a 0.3 million increase over 2017. The Forecast also assumes \$46.8 million in other revenue from advertising, rental fees, special services, freight and other miscellaneous revenue.

Excluding non-cash liability adjustments, Non-Reimbursable expenses for the 2018 November Forecast totals \$1,528.5 million. Including non-cash liability adjustments, total Non-Reimbursable expenses for the 2018 November Forecast increases to \$2,054.7 million. The cash adjustments for non-cash items and timing of expenses/receipts total \$580.1 million. The resulting Net Cash Deficit is projected to be \$687.6 million in 2018.

Total Non-Reimbursable positions is 6,504 positions. Total Reimbursable positions is 1,186.

### **2019 Final Proposed Budget - Baseline**

Non-Reimbursable/Reimbursable expenses for the 2019 Final Proposed Budget before non-cash liability adjustments are \$2,069.5 million, comprised of \$1,686.6 million of Non-Reimbursable expenses and \$382.9 million of Reimbursable expenses. The total Non-Reimbursable/Reimbursable revenue for the 2019 Final Proposed Budget is \$1,173.6 million, comprised of \$790.7 million of Non-Reimbursable revenue and \$382.9 million of Reimbursable revenue.

The Non-Reimbursable revenue for the 2019 Final Proposed Budget of \$790.7 million includes Passenger Revenue projections of \$743.7 million and \$47.0 million in other revenue from advertising and rental fees. The Farebox revenue is based on a projected annual ridership of 89.9 million passengers, which is a 0.5% increase over 2018. Excluding non-cash liability adjustments, Non-Reimbursable expenses for the 2019 Final Proposed Budget totals \$1,686.6 million. Including non-cash liability adjustments, total Non-Reimbursable expenses for the 2019 Final Proposed Budget increases to \$2,220.6 million. Cash adjustments for non-cash items and timing of expenses/receipts total \$495.7 million. The resulting Net Cash Deficit is projected to be \$934.1 million in 2019.

The Non-Reimbursable expense budget, before non-cash liability adjustments, of \$1,686.6 million is comprised of \$1,215.0 million in labor expenses (payroll and benefits), which represent 72% of total expenses. The balance of the expenses are non-payroll and are related to the operation and maintenance of the fleet and infrastructure, with expenses allocated for electric power and fuel of \$112.3 million, materials & supplies of \$173.0 million, professional and maintenance services contracts of \$137.1 million and all other costs of \$49.2 million.

Total Non-Reimbursable headcount is 6,672 positions. Total Reimbursable headcount is 1,180 positions. The Total Non-Reimbursable/Reimbursable headcount is 7,852, of which 90.4 percent are in the operating departments.

**Budget Reduction Initiatives**

Tighter management control and increased oversight of non-payroll budgets, reduced fleet maintenance costs, improved efficiency of right of way maintenance, ESA operating efficiencies, hiring restrictions, reduced administrative positions and infrastructure investments allowing for reduced operating material usage result in savings of \$330 million and 146 positions over the financial plan.

**Impact on Funding**

The 2018 November Forecast, 2019 Final Proposed Budget and the Four-Year Financial Plan 2019 – 2022, which are presented in the attached tables, are consistent with the proposed MTA Financial Plan.

**Recommendation**

It is recommended that the MTA Board adopt the 2018 November Forecast, the 2019 Final Proposed Budget and the Four-Year Financial Plan for 2019 – 2022 for the MTA Long Island Rail Road.

**MTA LONG ISLAND RAIL ROAD**  
**November Financial Plan 2019 - 2022**  
**Accrual Statement of Operations By Category**  
(\$ in millions)

	Actual 2017	November Forecast 2018	Final Proposed Budget 2019	2020	2021	2022
<b>Non-Reimbursable</b>						
<b>Operating Revenue</b>						
Farebox Revenue	\$727.597	\$740.170	\$743.650	\$746.313	\$746.592	\$746.257
Other Operating Revenue	53.019	46.841	47.044	42.881	43.476	44.064
Capital and Other Reimbursements	0.000	0.000	0.000	0.000	0.000	0.000
<b>Total Revenues</b>	<b>\$780.616</b>	<b>\$787.011</b>	<b>\$790.694</b>	<b>\$789.194</b>	<b>\$790.068</b>	<b>\$790.322</b>
<b>Operating Expense</b>						
<b>Labor:</b>						
Payroll	\$501.665	\$541.162	\$613.488	\$643.885	\$688.263	\$701.728
Overtime	131.604	151.127	136.158	139.631	160.194	160.828
Health and Welfare	100.334	110.070	134.543	146.450	166.052	176.817
OPEB Current Payments	59.822	64.329	72.934	77.894	82.636	87.617
Pension	142.354	122.127	131.977	138.437	139.820	128.219
Other Fringe Benefits	128.237	156.643	152.257	158.730	171.633	175.758
Reimbursable Overhead	(46.506)	(45.498)	(26.319)	(18.211)	(17.949)	(16.450)
<b>Total Labor Expenses</b>	<b>\$1,017.510</b>	<b>\$1,099.959</b>	<b>\$1,215.037</b>	<b>\$1,286.817</b>	<b>\$1,390.648</b>	<b>\$1,414.516</b>
<b>Non-Labor:</b>						
Electric Power	\$84.769	\$88.287	\$89.671	\$90.337	\$96.248	\$135.240
Fuel	16.253	21.167	22.608	22.438	21.866	21.600
Insurance	20.524	20.477	21.947	23.638	25.453	27.457
Claims	18.301	5.039	6.894	4.546	4.612	4.682
Paratransit Service Contracts	0.000	0.000	0.000	0.000	0.000	0.000
Maintenance and Other Operating Contracts	90.287	80.228	92.073	91.330	124.914	113.403
Professional Services Contracts	35.779	38.261	45.071	32.586	32.375	31.951
Materials and Supplies	121.812	161.293	172.969	179.664	168.564	164.450
Other Business Expenses	25.684	13.747	20.330	21.255	22.486	22.118
<b>Total Non-Labor Expenses</b>	<b>\$413.408</b>	<b>\$428.500</b>	<b>\$471.562</b>	<b>\$465.793</b>	<b>\$496.518</b>	<b>\$520.900</b>
<b>Other Expense Adjustments:</b>						
Other Expense Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
<b>Total Other Expense Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>
<b>Total Expenses Before Depreciation and GASB Adjs.</b>	<b>\$1,430.919</b>	<b>\$1,528.460</b>	<b>\$1,686.599</b>	<b>\$1,752.609</b>	<b>\$1,887.167</b>	<b>\$1,935.416</b>
Depreciation	\$340.114	\$384.603	\$388.118	\$391.998	\$395.918	\$399.877
OPEB Liability Adjustment	142.396	139.644	143.833	148.148	152.592	157.170
GASB 68 Pension Expense Adjustment	(3.936)	0.000	0.000	0.000	0.000	0.000
Environmental Remediation	3.401	2.000	2.000	2.000	2.000	2.000
<b>Total Expenses</b>	<b>\$1,912.894</b>	<b>\$2,054.706</b>	<b>\$2,220.550</b>	<b>\$2,294.756</b>	<b>\$2,437.677</b>	<b>\$2,494.463</b>
<b>Net Surplus/(Deficit)</b>	<b>(\$1,132.277)</b>	<b>(\$1,267.695)</b>	<b>(\$1,429.856)</b>	<b>(\$1,505.562)</b>	<b>(\$1,647.609)</b>	<b>(\$1,704.141)</b>
<b>Cash Conversion Adjustments</b>						
Depreciation	\$340.114	\$384.603	\$388.118	\$391.998	\$395.918	\$399.877
Operating/Capital	(11.952)	(19.938)	(26.586)	(12.998)	(13.612)	(12.986)
Other Cash Adjustments	64.219	215.406	134.195	146.055	142.098	147.311
<b>Total Cash Conversion Adjustments</b>	<b>\$392.381</b>	<b>\$580.070</b>	<b>\$495.726</b>	<b>\$525.056</b>	<b>\$524.404</b>	<b>\$534.201</b>
<b>Net Cash Surplus/(Deficit)</b>	<b>(\$739.897)</b>	<b>(\$687.625)</b>	<b>(\$934.130)</b>	<b>(\$980.506)</b>	<b>(\$1,123.205)</b>	<b>(\$1,169.940)</b>

**MTA LONG ISLAND RAIL ROAD**  
**November Financial Plan 2019 - 2022**  
**Accrual Statement of Operations By Category**  
(\$ in millions)

	Actual 2017	November Forecast 2018	Final Proposed Budget 2019	2020	2021	2022
<b>Reimbursable</b>						
<b>Operating Revenue</b>						
Farebox Revenue	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Other Operating Revenue	0.000	0.000	0.000	0.000	0.000	0.000
Capital and Other Reimbursements	412.641	468.939	382.949	307.114	295.164	290.529
<b>Total Revenues</b>	<b>\$412.641</b>	<b>\$468.939</b>	<b>\$382.949</b>	<b>\$307.114</b>	<b>\$295.164</b>	<b>\$290.529</b>
<b>Operating Expense</b>						
<b>Labor:</b>						
Payroll	\$119.502	\$141.795	\$135.391	\$117.638	\$116.487	\$114.579
Overtime	50.011	54.355	32.699	20.545	20.956	21.375
Health and Welfare	29.252	33.243	27.882	23.021	22.881	22.536
OPEB Current Payments	0.000	0.000	0.000	0.000	0.000	0.000
Pension	45.628	50.773	45.301	37.403	37.175	36.615
Other Fringe Benefits	32.446	35.109	28.512	23.541	23.398	23.045
Reimbursable Overhead	46.506	45.498	26.319	18.211	17.949	16.450
<b>Total Labor Expenses</b>	<b>\$323.346</b>	<b>\$360.773</b>	<b>\$296.105</b>	<b>\$240.358</b>	<b>\$238.846</b>	<b>\$234.600</b>
<b>Non-Labor:</b>						
Electric Power	\$1.272	\$1.276	\$0.268	\$0.268	\$0.268	\$0.268
Fuel	0.068	0.042	0.000	0.000	0.000	0.000
Insurance	7.742	8.778	9.000	7.496	7.536	7.345
Claims	0.000	0.000	0.000	0.000	0.000	0.000
Paratransit Service Contracts	0.000	0.000	0.000	0.000	0.000	0.000
Maintenance and Other Operating Contracts	16.130	24.564	22.416	12.480	12.494	12.484
Professional Services Contracts	6.207	2.977	0.831	0.669	0.682	0.696
Materials and Supplies	56.290	69.616	53.941	45.524	35.022	34.824
Other Business Expenses	1.587	0.913	0.386	0.319	0.317	0.312
<b>Total Non-Labor Expenses</b>	<b>\$89.295</b>	<b>\$108.166</b>	<b>\$86.844</b>	<b>\$66.756</b>	<b>\$56.318</b>	<b>\$55.929</b>
<b>Other Expense Adjustments:</b>						
Other Expense Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
<b>Total Other Expense Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>
<b>Total Expenses Before Depreciation</b>	<b>\$412.641</b>	<b>\$468.939</b>	<b>\$382.949</b>	<b>\$307.114</b>	<b>\$295.164</b>	<b>\$290.529</b>
<b>Net Surplus/(Deficit)</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>

**MTA LONG ISLAND RAIL ROAD**  
**November Financial Plan 2019 - 2022**  
**Accrual Statement of Operations By Category**  
(\$ in millions)

	Actual 2017	November Forecast 2018	Final Proposed Budget 2019	2020	2021	2022
<b><u>Non-Reimbursable / Reimbursable</u></b>						
<b>Operating Revenue</b>						
Farebox Revenue	\$727,597	\$740,170	\$743,650	\$746,313	\$746,592	\$746,257
Other Operating Revenue	53,019	46,841	47,044	42,881	43,476	44,064
Capital and Other Reimbursements	412,641	468,939	382,949	307,114	295,164	290,529
<b>Total Revenues</b>	<b>\$1,193,258</b>	<b>\$1,255,950</b>	<b>\$1,173,643</b>	<b>\$1,096,308</b>	<b>\$1,085,232</b>	<b>\$1,080,850</b>
<b>Operating Expense</b>						
<b>Labor:</b>						
Payroll	\$621,167	\$682,957	\$748,879	\$761,523	\$804,750	\$816,307
Overtime	181,615	205,482	168,857	160,176	181,150	182,202
Health and Welfare	129,586	143,313	162,425	169,471	188,932	199,353
OPEB Current Payments	59,822	64,329	72,934	77,894	82,636	87,617
Pension	187,982	172,900	177,278	175,840	176,995	164,834
Other Fringe Benefits	160,683	191,752	180,769	182,271	195,030	198,802
Reimbursable Overhead	0.000	0.000	0.000	0.000	0.000	0.000
<b>Total Labor Expenses</b>	<b>\$1,340,856</b>	<b>\$1,460,732</b>	<b>\$1,511,142</b>	<b>\$1,527,175</b>	<b>\$1,629,494</b>	<b>\$1,649,115</b>
<b>Non-Labor:</b>						
Electric Power	\$86,040	\$89,563	\$89,939	\$90,606	\$96,516	\$135,508
Fuel	16,322	21,208	22,608	22,438	21,866	21,600
Insurance	28,266	29,255	30,947	31,133	32,989	34,803
Claims	18,301	5,039	6,894	4,546	4,612	4,682
Paratransit Service Contracts	0.000	0.000	0.000	0.000	0.000	0.000
Maintenance and Other Operating Contracts	106,417	104,793	114,490	103,810	137,408	125,886
Professional Services Contracts	41,985	41,238	45,902	33,255	33,057	32,647
Materials and Supplies	178,101	230,909	226,911	225,168	203,586	199,274
Other Business Expenses	27,271	14,661	20,717	21,574	22,803	22,430
<b>Total Non-Labor Expenses</b>	<b>\$502,704</b>	<b>\$536,666</b>	<b>\$558,406</b>	<b>\$532,549</b>	<b>\$552,837</b>	<b>\$576,829</b>
<b>Other Expense Adjustments:</b>						
Other Expense Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
<b>Total Other Expense Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>
<b>Total Expenses Before Depreciation and GASB Adjs.</b>	<b>\$1,843,560</b>	<b>\$1,997,398</b>	<b>\$2,069,548</b>	<b>\$2,059,723</b>	<b>\$2,182,331</b>	<b>\$2,225,945</b>
Depreciation	\$340,114	\$384,603	\$388,118	\$391,998	\$395,918	\$399,877
OPEB Liability Adjustment	142,396	139,644	143,833	148,148	152,592	157,170
GASB 68 Pension Expense Adjustment	(3,936)	0.000	0.000	0.000	0.000	0.000
Environmental Remediation	3,401	2,000	2,000	2,000	2,000	2,000
<b>Total Expenses</b>	<b>\$2,325,535</b>	<b>\$2,523,645</b>	<b>\$2,603,499</b>	<b>\$2,601,870</b>	<b>\$2,732,841</b>	<b>\$2,784,991</b>
<b>Net Surplus/(Deficit)</b>	<b>(\$1,132,277)</b>	<b>(\$1,267,695)</b>	<b>(\$1,429,856)</b>	<b>(\$1,505,562)</b>	<b>(\$1,647,609)</b>	<b>(\$1,704,141)</b>
<b>Cash Conversion Adjustments</b>						
Depreciation	\$340,114	\$384,603	\$388,118	\$391,998	\$395,918	\$399,877
Operating/Capital	(11,952)	(19,938)	(26,586)	(12,998)	(13,612)	(12,986)
Other Cash Adjustments	64,219	215,406	134,195	146,055	142,098	147,311
<b>Total Cash Conversion Adjustments</b>	<b>\$392,381</b>	<b>\$580,070</b>	<b>\$495,726</b>	<b>\$525,056</b>	<b>\$524,404</b>	<b>\$534,201</b>
<b>Net Cash Surplus/(Deficit)</b>	<b>(\$739,897)</b>	<b>(\$687,625)</b>	<b>(\$934,130)</b>	<b>(\$980,506)</b>	<b>(\$1,123,205)</b>	<b>(\$1,169,940)</b>

**MTA LONG ISLAND RAIL ROAD**  
**November Financial Plan 2019 - 2022**  
**Cash Receipts and Expenditures**  
(\$ in millions)

	Actual 2017	November Forecast 2018	Final Proposed Budget 2019	2020	2021	2022
<b>Cash Receipts and Expenditures</b>						
<b>Receipts</b>						
Farebox Revenue	\$745.862	\$757.261	\$760.150	\$762.814	\$763.092	\$762.757
Other Operating Revenue	40.845	33.469	32.443	27.896	28.106	28.319
Capital and Other Reimbursements	309.755	499.211	355.913	293.655	281.080	277.060
<b>Total Receipts</b>	<b>\$1,096.461</b>	<b>\$1,289.941</b>	<b>\$1,148.506</b>	<b>\$1,084.365</b>	<b>\$1,072.278</b>	<b>\$1,068.136</b>
<b>Expenditures</b>						
<b>Labor:</b>						
Payroll	\$627.564	\$673.583	\$742.506	\$755.007	\$798.086	\$809.494
Overtime	176.163	206.182	168.857	160.176	181.150	182.202
Health and Welfare	125.308	140.747	162.425	169.472	188.932	199.353
OPEB Current Payments	59.848	64.329	72.934	77.894	82.636	87.617
Pension	183.488	170.279	177.278	175.840	176.995	164.834
Other Fringe Benefits	158.222	183.809	184.769	181.271	194.030	197.802
Contribution to GASB Fund	0.000	0.000	0.000	0.000	0.000	0.000
Reimbursable Overhead	0.000	0.000	0.000	0.000	0.000	0.000
<b>Total Labor Expenditures</b>	<b>\$1,330.593</b>	<b>\$1,438.929</b>	<b>\$1,508.769</b>	<b>\$1,519.660</b>	<b>\$1,621.829</b>	<b>\$1,641.302</b>
<b>Non-Labor:</b>						
Electric Power	\$86.060	\$89.707	\$89.939	\$90.606	\$96.516	\$135.508
Fuel	16.982	21.209	22.608	22.438	21.867	21.599
Insurance	32.375	24.022	31.508	30.759	32.585	35.362
Claims	2.963	2.417	6.723	1.822	1.837	1.852
Paratransit Service Contracts	0.000	0.000	0.000	0.000	0.000	0.000
Maintenance and Other Operating Contracts	103.439	114.574	114.490	103.810	137.408	125.886
Professional Services Contracts	29.543	41.496	41.702	28.845	28.426	27.785
Materials and Supplies	196.812	211.498	226.977	226.095	212.891	206.975
Other Business Expenses	19.032	17.214	23.420	24.336	25.624	25.307
<b>Total Non-Labor Expenditures</b>	<b>\$487.206</b>	<b>\$522.137</b>	<b>\$557.367</b>	<b>\$528.711</b>	<b>\$557.154</b>	<b>\$580.274</b>
<b>Other Expenditure Adjustments:</b>						
Other	\$17.745	\$16.500	\$16.500	\$16.500	\$16.500	\$16.500
<b>Total Other Expenditure Adjustments</b>	<b>\$17.745</b>	<b>\$16.500</b>	<b>\$16.500</b>	<b>\$16.500</b>	<b>\$16.500</b>	<b>\$16.500</b>
<b>Total Expenditures</b>	<b>\$1,835.543</b>	<b>\$1,977.566</b>	<b>\$2,082.636</b>	<b>\$2,064.871</b>	<b>\$2,195.483</b>	<b>\$2,238.076</b>
<b>Net Cash Balance</b>	<b>(\$739.082)</b>	<b>(\$687.625)</b>	<b>(\$934.130)</b>	<b>(\$980.506)</b>	<b>(\$1,123.205)</b>	<b>(\$1,169.940)</b>
Cash Timing and Availability Adjustment	(0.814)	(0.000)	(0.000)	(0.000)	(0.000)	(0.000)
<b>Net Cash Balance after Cash Timing &amp; Availability Adj</b>	<b>(\$739.897)</b>	<b>(\$687.625)</b>	<b>(\$934.130)</b>	<b>(\$980.506)</b>	<b>(\$1,123.205)</b>	<b>(\$1,169.940)</b>

**MTA LONG ISLAND RAIL ROAD**  
**November Financial Plan 2019 - 2022**  
**Cash Conversion (Cash Flow Adjustments)**  
(\$ in millions)

	Actual 2017	November Forecast 2018	Final Proposed Budget 2019	2020	2021	2022
<b>Cash Flow Adjustments</b>						
<b>Receipts</b>						
Farebox Revenue	\$18,264	\$17,091	\$16,500	\$16,501	\$16,500	\$16,500
Other Operating Revenue	(12,175)	(13,372)	(14,601)	(14,985)	(15,370)	(15,745)
Capital and Other Reimbursements	(102,886)	30,272	(27,036)	(13,459)	(14,084)	(13,469)
<b>Total Receipts</b>	<b>(\$96,797)</b>	<b>\$33,991</b>	<b>(\$25,137)</b>	<b>(\$11,943)</b>	<b>(\$12,954)</b>	<b>(\$12,714)</b>
<b>Expenditures</b>						
<b>Labor:</b>						
Payroll	(\$6,397)	\$9,374	\$6,373	\$6,516	\$6,664	\$6,813
Overtime	5,453	(0,700)	0,000	0,000	0,000	0,000
Health and Welfare	4,278	2,566	0,000	(0,001)	0,000	0,000
OPEB Current Payments	(0,025)	0,000	0,000	0,000	0,000	0,000
Pension	4,494	2,621	0,000	0,000	0,000	0,000
Other Fringe Benefits	2,461	7,943	(4,000)	1,000	1,000	1,000
Contribution to GASB Fund	0,000	0,000	0,000	0,000	0,000	0,000
Reimbursable Overhead	0,000	0,000	0,000	0,000	0,000	0,000
<b>Total Labor Expenditures</b>	<b>\$10,264</b>	<b>\$21,803</b>	<b>\$2,373</b>	<b>\$7,515</b>	<b>\$7,665</b>	<b>\$7,813</b>
<b>Non-Labor:</b>						
Electric Power	(\$0,020)	(\$0,144)	0,000	\$0,000	\$0,000	\$0,000
Fuel	(0,660)	(0,001)	0,000	0,000	(0,001)	0,001
Insurance	(4,109)	5,233	(0,561)	0,374	0,404	(0,559)
Claims	15,338	2,622	0,171	2,724	2,775	2,830
Paratransit Service Contracts	0,000	0,000	0,000	0,000	0,000	0,000
Maintenance and Other Operating Contracts	2,977	(9,781)	0,000	0,000	0,000	0,000
Professional Services Contracts	12,443	(0,258)	4,200	4,410	4,631	4,862
Materials and Supplies	(18,710)	19,411	(0,066)	(0,907)	(9,305)	(7,701)
Other Business Expenses	8,239	(2,553)	(2,703)	(2,762)	(2,821)	(2,877)
<b>Total Non-Labor Expenditures</b>	<b>\$15,498</b>	<b>\$14,529</b>	<b>\$1,039</b>	<b>\$3,838</b>	<b>(\$4,317)</b>	<b>(\$3,445)</b>
<b>Other Expenditure Adjustments:</b>						
Other Expense Adjustments	(\$17,745)	(\$16,500)	(\$16,500)	(\$16,500)	(\$16,500)	(\$16,500)
<b>Total Other Expenditure Adjustments</b>	<b>(\$17,745)</b>	<b>(\$16,500)</b>	<b>(\$16,500)</b>	<b>(\$16,500)</b>	<b>(\$16,500)</b>	<b>(\$16,500)</b>
<b>Total Expenditures</b>	<b>\$8,017</b>	<b>\$19,832</b>	<b>(\$13,088)</b>	<b>(\$5,148)</b>	<b>(\$13,152)</b>	<b>(\$12,131)</b>
<b>Total Cash Conversion Adjustments before Depreciation</b>	<b>(\$88,780)</b>	<b>\$53,824</b>	<b>(\$38,225)</b>	<b>(\$17,091)</b>	<b>(\$26,106)</b>	<b>(\$24,846)</b>
Depreciation	\$340,114	\$384,603	\$388,118	\$391,998	\$395,918	\$399,877
OPEB Liability Adjustment	142,396	139,644	143,833	148,148	152,592	157,170
GASB 68 Pension Expense Adjustment	(3,936)	0,000	0,000	0,000	0,000	0,000
Environmental Remediation	3,401	2,000	2,000	2,000	2,000	2,000
Cash Timing and Availability Adjustment	(0,814)	0,000	0,000	0,000	0,000	0,000
<b>Total Cash Conversion Adjustments</b>	<b>\$392,381</b>	<b>\$580,070</b>	<b>\$495,726</b>	<b>\$525,056</b>	<b>\$524,404</b>	<b>\$534,201</b>

**MTA LONG ISLAND RAIL ROAD**  
**November Financial Plan 2019 - 2022**  
**Ridership (Utilization)**  
(in millions)

	Actual 2017	November Forecast 2018	Final Proposed Budget 2019	2020	2021	2022
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**RIDERSHIP**

Monthly Ridership	48.832	48.939	49.222	49.604	49.438	49.415
Weekly Ridership	1.889	1.952	1.964	1.971	1.970	1.969
<b>Total Commutation</b>	<b>50.722</b>	<b>50.891</b>	<b>51.185</b>	<b>51.575</b>	<b>51.408</b>	<b>51.385</b>
One-way Full Fare	8.820	9.021	9.074	9.106	9.109	9.105
One-way Off-Peak	18.830	18.649	18.667	18.734	18.741	18.733
All Other	10.788	10.919	10.999	11.039	11.043	11.038
<b>Total Non-Commutation</b>	<b>38.437</b>	<b>38.588</b>	<b>38.740</b>	<b>38.879</b>	<b>38.893</b>	<b>38.876</b>
<b>Total Ridership</b>	<b>89.159</b>	<b>89.479</b>	<b>89.925</b>	<b>90.453</b>	<b>90.301</b>	<b>90.261</b>

**FAREBOX REVENUE**

<b>Baseline Total Farebox Revenue</b>	<b>\$727.597</b>	<b>\$740.170</b>	<b>\$743.650</b>	<b>\$746.313</b>	<b>\$746.592</b>	<b>\$746.257</b>
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**MTA LONG ISLAND RAIL ROAD**  
**November Financial Plan 2019 - 2022**  
**2018 Budget Reduction Summary**  
(\$ in millions)

	Favorable/(Unfavorable)									
	Pos.	2018	Pos.	2019	Pos.	2020	Pos.	2021	Pos.	2022
<b>Administration</b>										
Eliminate Vacant Non Represented Administration Positions and reduction in intern program (July Plan)	5	0.905	5	0.920	5	0.938	5	0.953	5	0.968
Hiring Restrictions (July Plan)	-	4.511	-	-	-	-	-	-	-	-
Eliminate Administration Positions (November Plan)	4	0.217	20	0.837	19	2.628	20	2.790	20	2.705
Lower Traction Power costs due to more aggressive review of PSE&G and NYPA Billings (November Plan)	-	1.000	-	0.000	-	0.000	-	0.000	-	0.000
<b>Subtotal Administration</b>	<b>9</b>	<b>6.633</b>	<b>25</b>	<b>1.756</b>	<b>24</b>	<b>3.567</b>	<b>25</b>	<b>3.743</b>	<b>25</b>	<b>3.673</b>
<b>Customer Convenience/Amenities</b>										
<b>Subtotal Customer Convenience/Amenities</b>	<b>-</b>	<b>0.000</b>	<b>-</b>	<b>0.000</b>	<b>-</b>	<b>0.000</b>	<b>-</b>	<b>0.000</b>	<b>-</b>	<b>0.000</b>
<b>Maintenance</b>										
Anticipated reduced RCM Maintenance with the elimination of the M3s and the new M9s being under warranty (July Plan)	-	2.000	10	4.009	10	4.006	10	4.039	10	4.022
Lower Rolling Stock running repair and fleet modifications based on fleet performance (July Plan)	-	7.700	-	6.700	-	6.700	-	6.700	-	6.700
Operating Funded Capital (July Plan)	-	0.000	-	2.000	-	2.000	-	2.000	-	2.000
Lower Traction Power Consumption due to lower overall car miles and more aggressive review of PSE&G and NYPA Billings (July Plan)	-	2.119	-	2.153	-	2.221	-	2.297	-	2.297
Joint Facility Agreement/PRIIA savings as a result of continued review and challenging of new NECC models (July Plan)	-	2.000	-	0.000	-	0.000	-	0.000	-	0.000
Infrastructure Investment (July Plan)	-	0.000	-	4.155	-	4.076	-	3.919	-	3.874
Tighter Control and Prioritization of Non-Payroll Funds to Core Mission Initiatives (July Plan)	-	5.885	-	5.287	-	5.275	-	5.306	-	5.347
LIRR Forward Reductions (November Plan)	2	0.118	51	1.034	51	5.978	51	5.977	51	5.978
Fleet Maintenance Initiatives (November Plan)	4	3.731	10	13.068	10	16.892	10	16.151	10	16.183
Enterprise Asset Management (November Plan)	-	0.000	3	1.019	3	1.028	3	1.037	3	1.045
Improve efficiency of right of way maintenance (November Plan)	-	0.000	44	3.214	44	8.029	44	8.030	44	7.928
East Side Access Operating Efficiencies (November Plan)	-	0.000	-	7.500	-	4.500	-	9.500	-	9.500
Tighter Control and Prioritization of Non Payroll Funds to Core Mission Initiatives (November Plan)	-	1.353	-	3.441	-	3.752	-	3.725	-	3.736
<b>Subtotal Maintenance</b>	<b>6</b>	<b>24.906</b>	<b>118</b>	<b>53.580</b>	<b>118</b>	<b>64.459</b>	<b>118</b>	<b>68.680</b>	<b>118</b>	<b>68.610</b>
<b>Revenue Enhancement</b>										
Station Rental Revenue (November Plan)	-	0.000	-	0.045	-	0.090	-	0.093	-	0.095
<b>Subtotal Revenue Enhancement</b>	<b>-</b>	<b>0.000</b>	<b>-</b>	<b>0.045</b>	<b>-</b>	<b>0.090</b>	<b>-</b>	<b>0.093</b>	<b>-</b>	<b>0.095</b>
<b>Safety</b>										
Help Points (November Plan)	-	5.000	-	5.000	-	0.000	-	0.000	-	0.000
<b>Subtotal Safety</b>	<b>-</b>	<b>5.000</b>	<b>-</b>	<b>5.000</b>	<b>-</b>	<b>0.000</b>	<b>-</b>	<b>0.000</b>	<b>-</b>	<b>0.000</b>
<b>Security</b>										
<b>Subtotal Security</b>	<b>-</b>	<b>0.000</b>	<b>-</b>	<b>0.000</b>	<b>-</b>	<b>0.000</b>	<b>-</b>	<b>0.000</b>	<b>-</b>	<b>0.000</b>
<b>Service</b>										
<b>Subtotal Service</b>	<b>-</b>	<b>0.000</b>	<b>-</b>	<b>0.000</b>	<b>-</b>	<b>0.000</b>	<b>-</b>	<b>0.000</b>	<b>-</b>	<b>0.000</b>
<b>Service Support</b>										
Reduction in budgeted hours overtime hours based on more efficient use of resources (July Plan)	-	1.622	-	1.623	-	1.629	-	1.633	-	1.639
Reduce Special Event Staffing (November Plan)	-	0.000	-	0.875	-	0.843	-	0.916	-	0.939
Reduce Ticket Selling and Ticket Remittance (November Plan)	-	0.000	3	0.351	3	0.363	3	0.369	3	0.378
<b>Subtotal Service Support</b>	<b>-</b>	<b>1.622</b>	<b>3</b>	<b>2.849</b>	<b>3</b>	<b>2.835</b>	<b>3</b>	<b>2.918</b>	<b>3</b>	<b>2.955</b>
<b>Other</b>										
Inventory Draw Down - Lower Projected New Material Purchases (November Plan)	-	7.000	-	0.000	-	0.000	-	0.000	-	0.000
<b>Subtotal Other</b>	<b>-</b>	<b>7.000</b>	<b>-</b>	<b>0.000</b>	<b>-</b>	<b>0.000</b>	<b>-</b>	<b>0.000</b>	<b>-</b>	<b>0.000</b>
<b>Agency Submission</b>	<b>15</b>	<b>\$45.161</b>	<b>146</b>	<b>\$63.231</b>	<b>145</b>	<b>\$70.950</b>	<b>146</b>	<b>\$75.433</b>	<b>146</b>	<b>\$75.333</b>

**MTA LONG ISLAND RAIL ROAD**  
**November Financial Plan 2019-2022**  
**Total Positions by Function and Department**  
**Non-Reimbursable/Reimbursable and Full-Time/Full Time Equivalents**

FUNCTION/DEPARTMENT	2017 Actual	2018 November Forecast	2019 Final Proposed Budget	2020	2021	2022
<b>Administration</b>						
Executive VP	2	2	2	2	2	2
Enterprise Asset Management	5	7	7	7	7	7
Sr Vice President - Engineering	2	2	2	2	2	2
Labor Relations	17	19	18	18	18	18
Procurement & Logistics (excl. Stores)	64	80	75	74	81	79
Human Resources	34	40	44	39	39	39
Sr VP Administration	2	2	2	2	2	2
Strategic Investments	16	18	18	18	18	18
President	3	9	9	9	9	9
VP & CFO	3	4	3	3	3	3
Controller	42	45	45	45	45	45
Management and Budget	17	18	18	18	18	18
BPM, Controls, & Compliance	6	6	6	6	6	6
Market Dev. & Public Affairs	69	71	71	71	71	71
Gen. Counsel & Secretary	33	33	33	33	33	33
Diversity Management	3	3	3	3	3	3
Security	9	13	14	14	14	14
System Safety	34	39	42	42	42	42
Training	65	68	68	75	76	76
Service Planning	24	31	31	31	31	31
Rolling Stock Programs	10	17	17	17	17	17
Sr Vice President - Operations	2	2	2	2	2	2
<b>Total Administration</b>	<b>462</b>	<b>529</b>	<b>530</b>	<b>531</b>	<b>539</b>	<b>537</b>
<b>Operations</b>						
Train Operations	2,214	2,267	2,391	2,506	2,533	2,532
Customer Service	300	313	308	310	422	422
<b>Total Operations</b>	<b>2,514</b>	<b>2,580</b>	<b>2,699</b>	<b>2,816</b>	<b>2,955</b>	<b>2,954</b>
<b>Maintenance</b>						
Engineering	1,997	2,105	2,110	2,040	2,111	2,086
Equipment	2,079	2,153	2,195	2,171	2,395	2,507
Procurement (Stores)	98	97	95	95	95	95
<b>Total Maintenance</b>	<b>4,174</b>	<b>4,355</b>	<b>4,400</b>	<b>4,306</b>	<b>4,601</b>	<b>4,688</b>
<b>Engineering/Capital</b>						
Department of Program Management	130	155	152	151	151	150
Special Projects/East Side Access	40	57	57	57	56	56
Positive Train Control	11	14	14	14	3	3
<b>Total Engineering/Capital</b>	<b>181</b>	<b>226</b>	<b>223</b>	<b>222</b>	<b>210</b>	<b>209</b>
<b>Total Baseline Positions</b>	<b>7,331</b>	<b>7,690</b>	<b>7,852</b>	<b>7,875</b>	<b>8,305</b>	<b>8,388</b>
<i>Non-Reimbursable</i>	6,220	6,504	6,672	6,933	7,394	7,506
<i>Reimbursable</i>	1,111	1,186	1,180	942	911	882
<b>Total Full-Time</b>	<b>7,331</b>	<b>7,690</b>	<b>7,852</b>	<b>7,875</b>	<b>8,305</b>	<b>8,388</b>
<i>Total Full-Time Equivalents</i>	-	-	-	-	-	-

**MTA LONG ISLAND RAIL ROAD**  
**November Financial Plan 2019 - 2022**  
**Total Positions by Function and Occupational Group**  
**Non-Reimbursable and Reimbursable**

<b>FUNCTION / OCCUPATIONAL GROUP</b>	<b>Actual 2017</b>	<b>November Forecast 2018</b>	<b>Final Proposed Budget 2019</b>	<b>2020</b>	<b>2021</b>	<b>2022</b>
<b>Administration</b>						
Managers/Supervisors	242	273	275	275	273	273
Professional/Technical/Clerical	109	150	151	153	163	161
Operational Hourlies	111	106	104	104	104	104
<b>Total Administration Headcount</b>	<b>462</b>	<b>529</b>	<b>530</b>	<b>531</b>	<b>539</b>	<b>537</b>
<b>Operations</b>						
Managers/Supervisors	295	316	316	329	360	359
Professional/Technical/Clerical	93	104	99	99	108	108
Operational Hourlies	2,126	2,160	2,284	2,388	2,487	2,487
<b>Total Operations Headcount</b>	<b>2,514</b>	<b>2,580</b>	<b>2,699</b>	<b>2,816</b>	<b>2,955</b>	<b>2,954</b>
<b>Maintenance</b>						
Managers/Supervisors	715	832	862	833	882	863
Professional/Technical/Clerical	248	311	281	303	342	336
Operational Hourlies	3,211	3,212	3,257	3,170	3,377	3,489
<b>Total Maintenance Headcount</b>	<b>4,174</b>	<b>4,355</b>	<b>4,400</b>	<b>4,306</b>	<b>4,601</b>	<b>4,688</b>
<b>Engineering / Capital</b>						
Managers/Supervisors	125	153	152	151	144	143
Professional/Technical/Clerical	56	73	71	71	66	66
Operational Hourlies	0	0	0	0	0	0
<b>Total Engineering Headcount</b>	<b>181</b>	<b>226</b>	<b>223</b>	<b>222</b>	<b>210</b>	<b>209</b>
<b>Public Safety</b>						
Managers/Supervisors	0	0	0	0	0	0
Professional/Technical/Clerical	0	0	0	0	0	0
Operational Hourlies	0	0	0	0	0	0
<b>Total Public Safety Headcount</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Total Positions</b>						
Managers/Supervisors	1,377	1,574	1,605	1,588	1,659	1,638
Professional/Technical/ Clerical	506	638	602	626	679	671
Operational Hourlies	5,448	5,478	5,645	5,662	5,968	6,080
<b>Total Positions</b>	<b>7,331</b>	<b>7,690</b>	<b>7,852</b>	<b>7,875</b>	<b>8,305</b>	<b>8,388</b>



**Long Island Rail Road**



**Metro-North Railroad**

## **JOINT INFORMATION ITEMS**

# **December 2018 Joint MNR/LIRR Committee Meeting PTC Project Update**

December 10, 2018



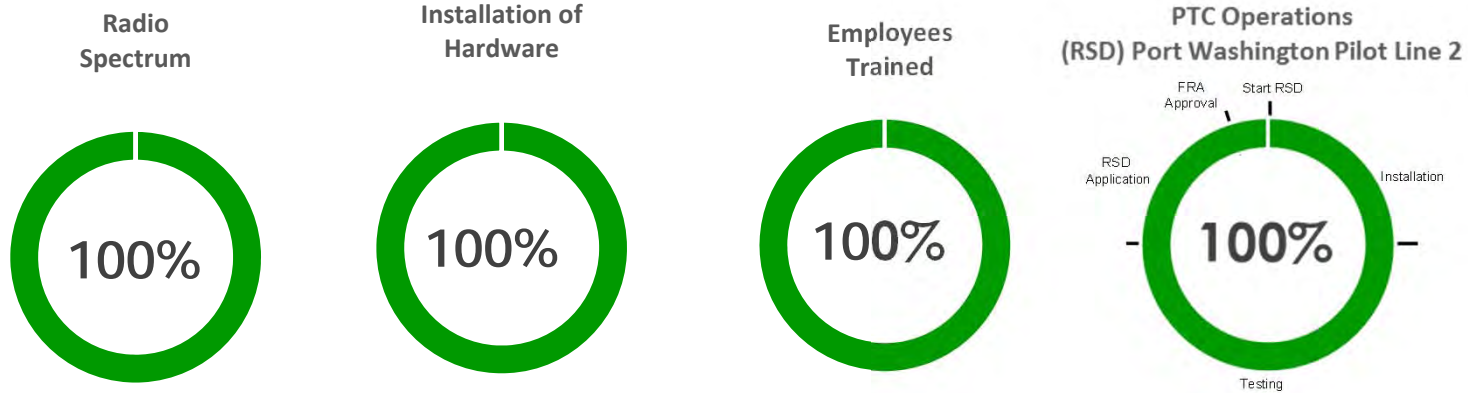
# LIRR/MNR Overall PTC Project Status

Item	Comments
Schedule	<input type="checkbox"/> LIRR/MNR achieved the four major FRA PTC milestones to be in compliance by December 31, 2018: <ul style="list-style-type: none"> <li>• All employees have been trained in how to operate the system.</li> <li>• PTC equipment (such as radios, transponders, antennas, etc.) installed on-board trains, Office and the wayside.</li> <li>• Required radio spectrum acquired.</li> <li>• MNR initiated RSD on the Hudson Line on November 21<sup>st</sup></li> <li>• LIRR received approval to initiate RSD on its Port Washington Line with a target date of December 17<sup>th</sup>.</li> </ul>
% Complete	LIRR – 86% MNR - 84%
Budget	\$1.037B

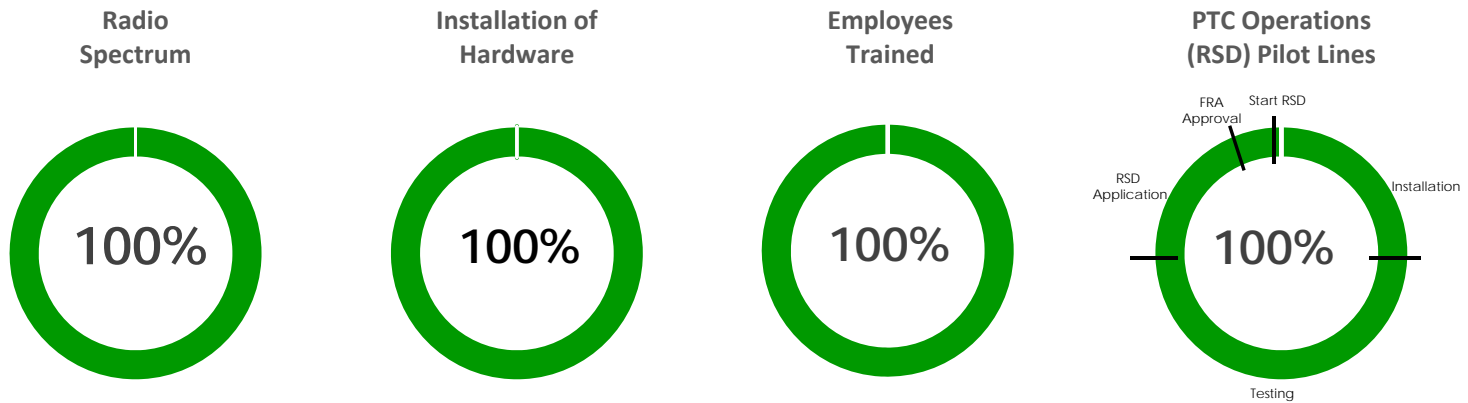


# LIRR/MNR PTC Project Progress Dashboard

## Long Island Rail Road



## Metro-North Railroad



## MNR/LIRR Project Update (November 2018)

- MNR initiated RSD on Hudson line on November 21<sup>st</sup>
- MNR/LIRR had met all federal requirements for 2018 for PTC Compliance and to qualify for a revised schedule.
- MNR completed all their required hardware installations. (LIRR completed hardware installations in October 2018)
- MNR continued repeatability demonstration of PTC functions on their pilot line with different types of equipment.
- MNR continues to operate Civil Speed Enforcement on all rolling stock.
- MNR successfully performed interoperability testing with CSX and AMTRAK.
- LIRR submitted their PTCIP with revised schedule to FRA for approval.
- LIRR submitted their written *Notification and Certification of Compliance* to FRA.



# LIRR PTC – 2018 Hardware Installations

PTC Subsystem	System Requirements	FRA Goals	Installs through November 2018	% Complete FRA Goal	18-Nov		18-Dec	2019
					Forecast	Actual	Forecast	Forecast
Transponders	3367	3367	3367	100%	0	0	0	0
WIUs	162*	151	151	100%	0	0	0	0
C-Cases	111*	108	108	100%	0	0	0	0
M7	418**	240	414	100%	0	0	0	0
DE/DM	45***	30	43	100%	0	0	0	0
C3	23	17	23	100%	0	0	0	0
E15	16	5	14	100%	2	2	2	0
NYAR	10****	6	6	100%	2	0	1	3
M3	40	N/A	2	N/A	0	0	18	20

Data date November 30, 2018


\*11 WIUs and 3 C-Cases will be installed in the future by the ESA contractor

\*\* Four M7 pairs are out of service and installs will be completed prior to return to service.

\*\*\* Two (2) DE/DM locomotives are long term out of service and installs will be completed prior to return to service.

\*\*\*\* Three NYAR vehicles are currently out of service and installs will be completed prior to return to service.

NOTE: M3s will be completed within FRA compliance requirements.

 Month when FRA goal is met



# MNR East of Hudson PTC 2018 Hardware Installations

PTC Subsystem	System Requirements	FRA Goals	Installs through November 2018	% Complete FRA Goal	Remaining to meet FRA Goals	18-Nov		18-Dec
						Forecast	Actual	Forecast
Transponders	2931	2931	2963	100%	0	464	377	
WIUs	84	84	84	100%	0	1	1	0
Radio Cases	107	107	107	100%	0	4	4	0
M7	167	167	167	100%	0	0	0	0
M3	69	32	69	100%	0	0	0	0
P32	31	23	25 complete	100%/100%	0	3	2	6
			31 Partial (OBC)					
Cab Cars	51	35	46 complete	100%/100%	0	6	4	5
			50 Partial (OBC)					
M8	190	106	160 Complete	100%/100%	0	20	20	10
			190 Partial (OBC)					
BL20	12	9	9 complete 12 Partial	100%	0	5	5	3
GP35	8	4	4 complete 8 Partial	100%	0	2	2	4




Month when FRA goal is met

# MNR Port Jarvis Line 2018 Hardware Installations

PTC Subsystem	System Requirements	FRA Goals	Installs through Nov 2018	% Complete FRA Goal	Remaining to meet FRA Goals	Nov 2018		18-Dec
						Forecast	Actual	Forecast
Transponders	254	240	240	100%	0	56	56	0
WIUs	10	10	10	100%	0	9	9	0
Radio Cases	11	11	11	100%	0	0	0	0

Note : Port Jarvis Line Wayside Hardware Installation Schedule is dependent on NJ Transit PTC Contractor design and deliveries.



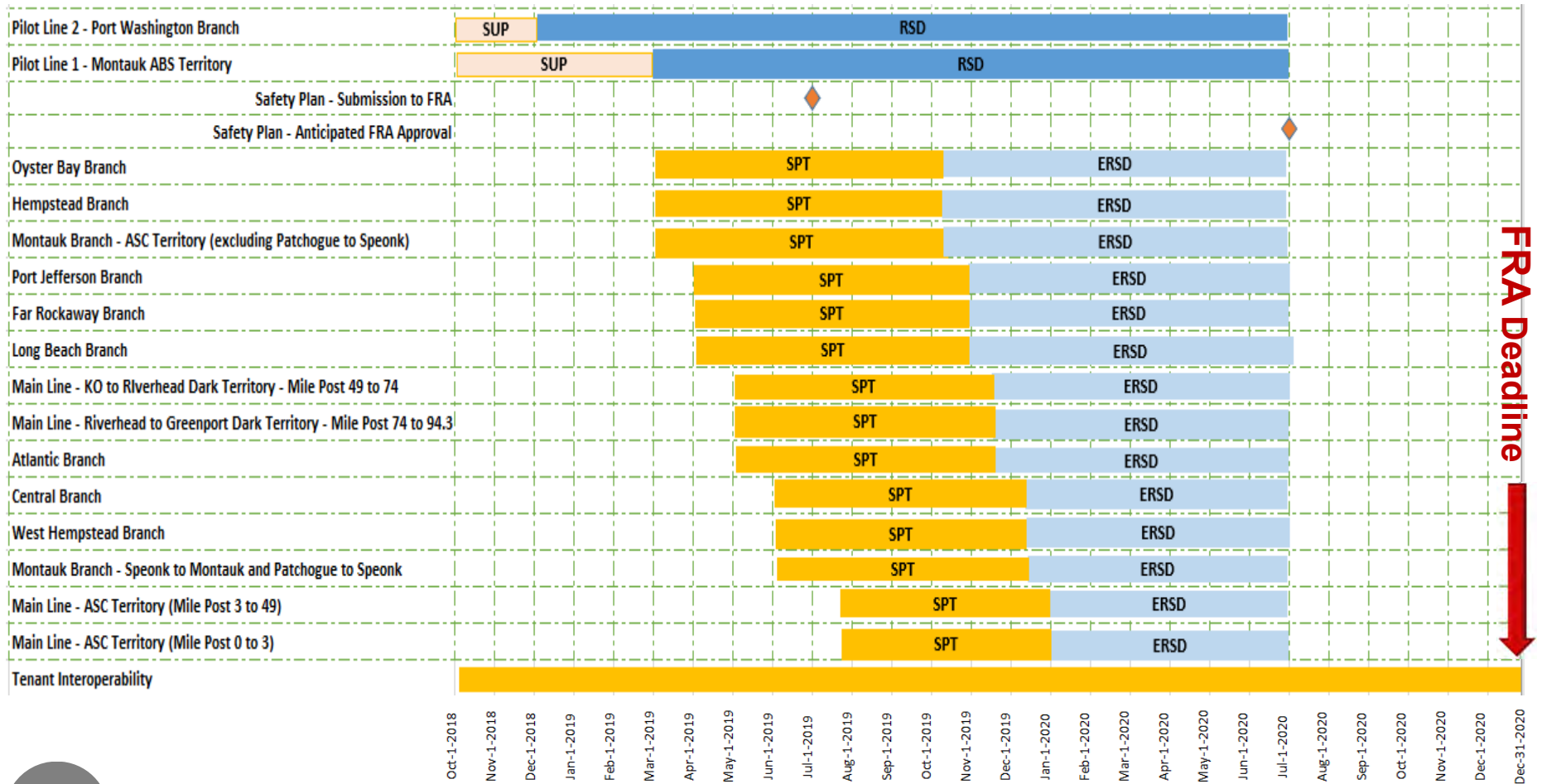
 Month when FRA goal is met

# LIRR Working Schedule and Sequence

Start RSD on Babylon to Patchogue pilot segment in March 2019

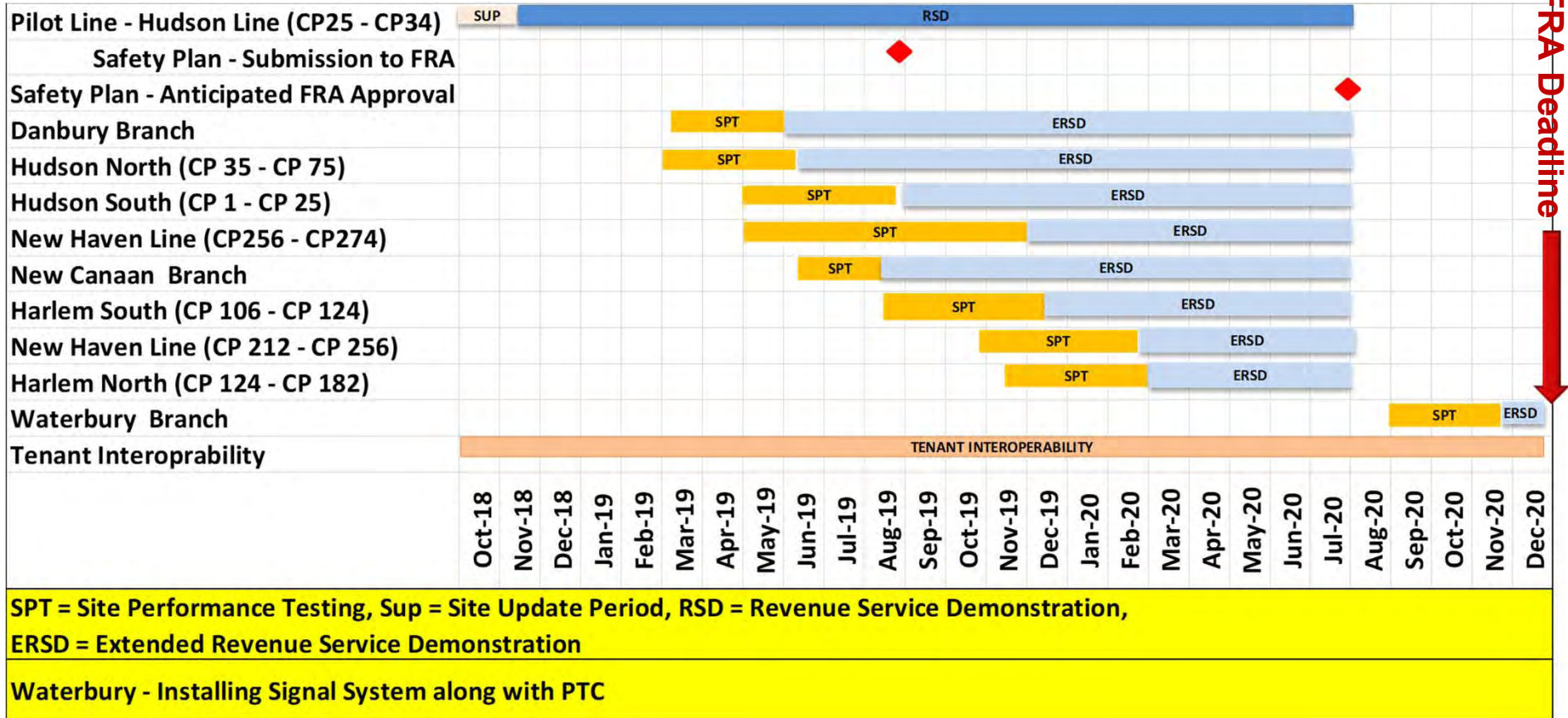
Start ERSD in October 2019

Last non-pilot segment in ERSD in Jan 2020

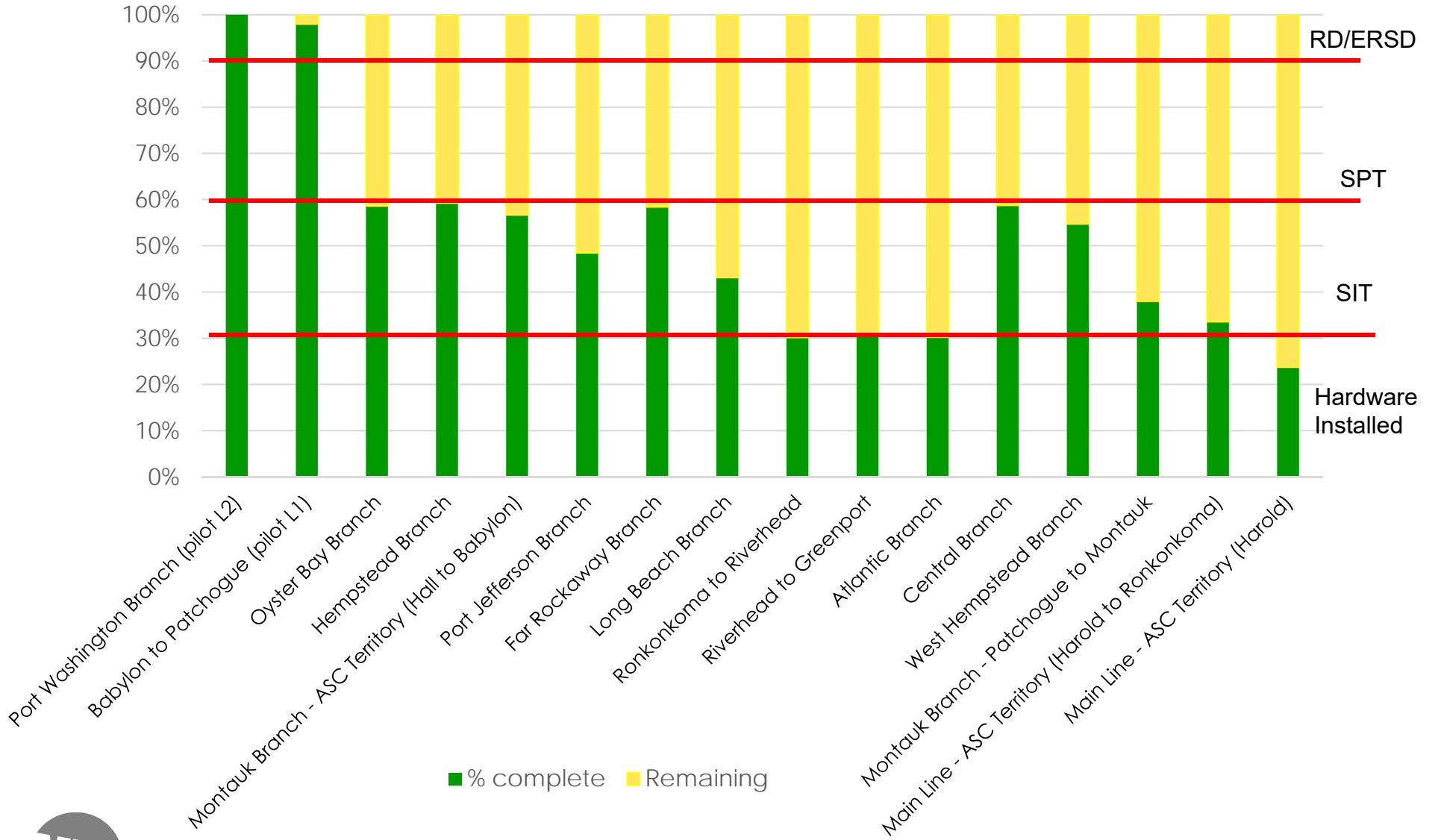


SPT = Site Performance Tests ; SUP = Site Update Period ; RSD = Revenue Service Demonstration; ERSD = Extended RSD

# MNR Working Schedule and Sequence



# LIRR Segment RSD Readiness

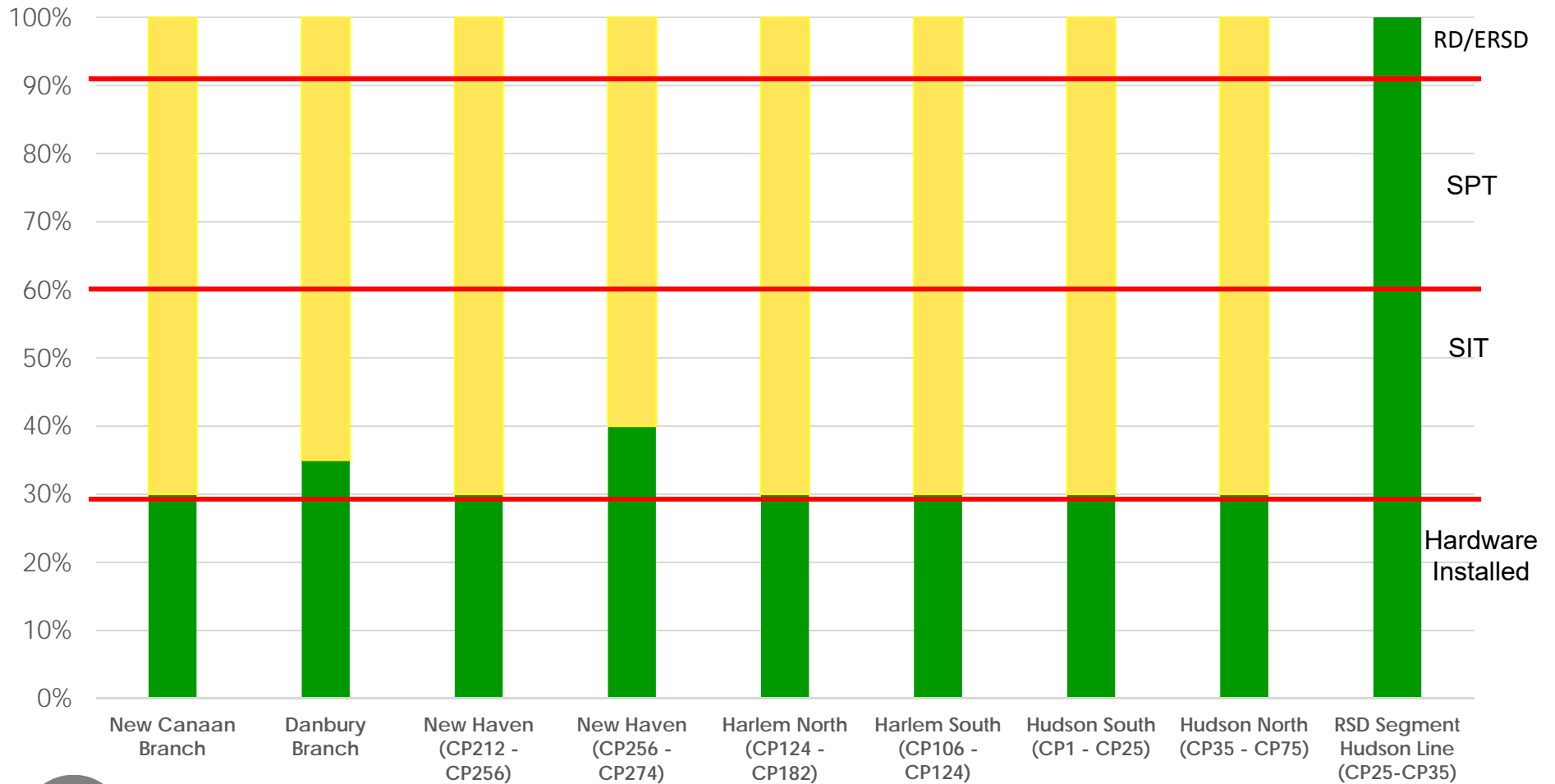


SIT = Site Integration Testing

SPT = Site Performance Testing

RD/ERSD = Repeatability Demonstration/Extended Revenue Service Demonstration.

# MNR Segment RSD Readiness



SIT = Site Integration Testing

SPT = Site Performance Testing

RD/ERSD = Repeatability Demonstration/Extended Revenue Service Demonstration.

■ % complete ■ Remaining

## LIRR/MNR Project Risks and Concerns

- Slow resolution of several software issues may elongate the completion of RSD on the Pilot segments and impact project completion.
- The SI's CPM schedule shows that the final baseline of system software for ERSD will be available in late July 2019.
  - The Railroads feel that this date is at risk given the number of outstanding technical issues and the SI's track record.
- The SI continues to have resource limitations to support both LIRR & MNR.
- Reliability of the system while performing RSD.
- Completion of the project depends on timely resolution of interoperability issues with Amtrak.



# LIRR/MNR PTC Timeline and Look-ahead

## **November 2018**

- ✓ MNR initiated RSD on Tarrytown to Croton-Harmon pilot segment (Hudson Line).
- ✓ MNR completed all on-board and wayside installations of PTC hardware.
- ✓ LIRR updated their PTC Implementation Plan with revised schedule to FRA.
- ✓ LIRR submitted *Notification and Certification of Compliance* to FRA.

## **December 2018**

- LIRR to initiate RSD on Port Washington branch (pilot L2).
- MNR continues running trains in RSD.
- MNR to submit their PTC Implementation Plan with revised schedule to FRA.
- MNR to submit *Notification and Certification of Compliance* to FRA.
- MNR continues Site Performance Testing on non-pilot segments.

## **2019**

- LIRR/MNR to submit their PTC Safety Plans to FRA for approval.
- LIRR to initiate RSD on Babylon to Patchogue branch (pilot L1) in 1<sup>st</sup> Qtr.
- LIRR to start Site Performance Testing on non-pilot segments.
- LIRR/MNR to place non-pilot segments in PTC Operations (ERSD).



## 2019 Proposed Metro-North Railroad Committee Work Plan

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### I. RECURRING AGENDA ITEMS

#### Responsibility

Approval of Minutes	Committee Chairs & Members
2019 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

#### January 2019

Approval of 2019 Committee Work Plan	Committee Chairs & Members
Track Program Quarterly Update	Engineering
PTC Status Report	Engineering

#### February 2019 (Joint meeting with LIRR)

Adopted Budget/Financial Plan 2019	Finance
2018 Annual Operating Results	Operations
2018 Annual Fleet Maintenance Report	Operations
LIRR/MNR PTC Project Update	President
Diversity/EEO Report – 4 <sup>th</sup> Quarter 2018	Diversity and EEO
2019 Spring/Summer Schedule Change	Operations Planning & Analysis

#### March 2019

Annual Strategic Investments & Planning Studies	Capital Planning
Annual Elevator & Escalator Report	Engineering
Customer Satisfaction Survey Report	Operations Planning & Analysis
PTC Status Report	Engineering

April 2019 (Joint meeting with LIRR)

Final Review of 2018 Operating Budget Results  
2018 Annual Ridership Report  
Annual Inventory Report  
Track Program Quarterly Update  
MTA Homeless Outreach  
LIRR/MNR PTC Project Update

Finance  
Operations Planning & Analysis  
Procurement  
Engineering  
MTA  
President

May 2019

Diversity/EEO Report – 1<sup>st</sup> Quarter 2019  
PTC Status Report  
Progress on Way Ahead Strategic Plan

Diversity and EEO  
Engineering  
Strategic Initiatives

June 2019 (Joint meeting with LIRR)

LIRR/MNR PTC Project Update

President

July 2019

Grand Central Terminal Retail Development  
Environmental Audit  
Track Program Quarterly Update  
PTC Status Report

MTA Real Estate  
Environmental Compliance  
Engineering  
Engineering

September 2019

2020 Preliminary Budget (Public Comment)  
2019 Mid-Year Forecast  
2019 Fall Schedule Change  
PTC Status Report  
Diversity/EEO Report – 2<sup>nd</sup> Quarter 2019

Finance  
Finance  
Operations Planning & Analysis  
Engineering  
Diversity and EEO

October 2019 (Joint meeting with LIRR)

2020 Preliminary Budget (Public Comment)  
LIRR/MNR PTC Project Update  
Track Program Quarterly Update  
MTA Homeless Outreach

Finance  
President  
Engineering  
MTA

November 2019

Review of Committee Charter  
Holiday Schedule  
PTC Status Report  
Progress on Way Ahead Strategic Plan

Committee Chair & Members  
Operations Planning & Analysis  
Engineering  
Strategic Initiatives

December 2019 (Joint meeting with LIRR)

2020 Final Proposed Budget  
2020 Proposed Committee Work Plan  
Diversity/EEO Report – 3<sup>rd</sup> Quarter 2019  
LIRR/MNR PTC Project Update

Finance  
Committee Chairs & Members  
Diversity and EEO  
President

# METRO-NORTH RAIL ROAD COMMITTEE WORK PLAN

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## DETAILED SUMMARY

### I. RECURRING AGENDA ITEMS

#### **Approval of Minutes**

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

#### **2019 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**

### **JANUARY 2019**

#### Approval of 2019 Committee Work Plan

The Committee will approve the Proposed Metro-North Railroad Committee Work Plan for 2019 that will address initiatives to be reported on throughout the year.

#### 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.

#### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

### **FEBRUARY 2019 (Joint Meeting with LIRR)**

#### Adopted Budget/Financial Plan 2019

The Agency will present its revised 2019 Financial Plan. These plans will reflect the 2019 Adopted Budget and an updated Financial Plan for 2019 reflecting the out-year impact of any changes incorporated into the 2019 Adopted Budget.

#### 2018 Annual Operating Results

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

#### 2018 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.

#### LIRR/MNR PTC Project Update

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– 4<sup>th</sup> Quarter 2018

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.

#### 2019 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 2019.

### **MARCH 2019**

#### 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.

#### Annual Elevator/Escalator Report

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

#### Customer Satisfaction Survey Report

The committee will be informed on the results of the 2018 survey distributed to customers on the Hudson, Harlem and New Haven Lines and West of Hudson service.

#### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

### **APRIL 2019 (Joint Meeting with LIRR)**

#### Final Review of 2018 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.

#### 2018 Annual Ridership Report

A report will be presented to the Committee on Metro-North's ridership trends during 2018 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.

#### 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.

#### MTA Homeless Outreach

MTA Operations Support will provide a bi-annual report on homeless outreach efforts including an update on service providers and placements.

#### LIRR/MNR PTC Project Update

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.

### **MAY 2019**

#### Diversity & EEO Report– 1<sup>st</sup> Quarter 2019

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.

#### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

### Progress on Way Ahead Strategic Plan

A biannual report to the Committee on Metro-North's progress in setting the standard for safety, reliability and innovation in the delivery of excellent customer service.

### **JUNE 2019** (Joint Meeting with LIRR)

#### LIRR/MNR PTC Project Update

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.

### **JULY 2019**

#### 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 2019 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.

#### 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.

#### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

### **SEPTEMBER 2019**

#### 2020 Preliminary Budget

Public comment will be accepted on the 2020 Budget.

#### 2019 Mid-Year Forecast

The agency will provide the 2019 Mid-Year Forecast financial information for revenue and expense by month.

#### 2019 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 2019.

#### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

#### Diversity & EEO Report– 2<sup>nd</sup> Quarter 2019

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.

## **OCTOBER 2019** (Joint Meeting with LIRR)

### 2020 Preliminary Budget

Public comment will be accepted on the 2020 Budget.

### LIRR/MNR PTC Project Update

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.

### 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.

### MTA Homeless Outreach

MTA Operations Support will provide a bi-annual report on homeless outreach efforts including an update on service providers and placements.

## **NOVEMBER 2019**

### 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.

### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

### Progress on Way Ahead Strategic Plan

A biannual report to the Committee on Metro-North's progress in setting the standard for safety, reliability and innovation in the delivery of excellent customer service.

## **DECEMBER 2019** (Joint Meeting with LIRR)

### 2020 Final Proposed Budget

The Committee will recommend action to the Board on the Final Proposed Budget for 2020.

### 2020 Proposed Committee Work Plan

The Committee Chair will present a draft Metro-North Committee Work Plan for 2020 that will address initiatives to be reported throughout the year.

### Diversity & EEO Report– 3<sup>rd</sup> Quarter 2019

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.

### LIRR/MNR PTC Project Update

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.

# Metro-North Railroad MNR

## **EEO Report – 3<sup>rd</sup> Quarter 2018**

December 10, 2018



# Executive Summary

## ■ EEO

As of **September 30, 2018**, MNR's workforce included 6,727 total employees. This represents no significant change from the third quarter 2017 (3Q17) workforce.

- Females represent 13% (849) of our workforce, remaining constant, when compared to 3Q17 despite current outreach efforts.
- Females were hired consistent with their current representation despite continued job fairs and various outreach programs.
- Minorities represent 38% (2,586) of our workforce, remaining constant when compared to 3Q17 due to attrition.
- Minorities were hired above their current representation due to increased outreach efforts. This was partially due to high minority hiring rates in the Service Maintenance/EEO category.



# Executive Summary

MNR conducted a **utilization analysis**\* of females and minorities in its workforce as of September 30, 2018. Based on the analysis, the majority of underrepresentation for females and minorities occurred in the following EEO categories:

## Females:

- ☐ Officials & Administrators – Whites
- ☐ Professionals – Hispanics and Whites
- ☐ Technicians – Asians and Whites
- ☐ Paraprofessionals – Hispanics, 2+ Races, and Whites
- ☐ Administrative Support – Hispanics, Asians, and Whites
- ☐ Skilled Craft – Hispanics and Whites
- ☐ Service Maintenance – Hispanics and Asians

## Minorities:

- ☐ Professionals – Hispanics
- ☐ Technicians – Asians
- ☐ Protective Services – Blacks and Asians
- ☐ Paraprofessionals – Blacks, Hispanics, Asians, and 2+ Races
- ☐ Administrative Support – Hispanics and Asians
- ☐ Skilled Craft – Hispanics and Asians
- ☐ Service Maintenance – Hispanics and Asians

\*The utilization analysis compares the percentages of females and minorities employed in each job group to 80 percent of the females and minorities available within the relevant labor market.



# Executive Summary

## ■ Diversity Initiatives to increasing representation

- Initiatives/challenges to **address** underrepresentation for **females** and **minorities**
  - Female – MNR launched its first Women Engineer Group consisting of female engineers. Senior level female managers are partnering with HR to attend job fairs and outreach events to attract female engineers.
  - Minority/Female - HR attended Circle of Sisters Expo and Harlem Week Festival to attract female and minority applicants.
- Initiatives to **increase** representation for **veterans** and **persons with disabilities**
  - Veteran – MNR continued its partnership with MTA and the Office of Veterans Affairs to promote employment opportunities for veterans by attending 3 events.
  - Persons with disability - MNR attended the Mayor's Office for People with Disabilities (MOPD) seminar, the Rusk Rehabilitation outreach event and the NYC: ATWORK initiative to attract qualified persons with disabilities as candidates for employment at Metro-North.



MNR's

# Workforce

as of September 30, 2018



# Definitions of EEO Job Categories

## **Officials & Administrators**

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

## **Professionals**

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

## **Technicians**

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

## **Protective Services**

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

## **Paraprofessionals**

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

## **Administrative Support**

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

## **Skilled Craft**

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

## **Service Maintenance**

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



# MNR's Workforce

JOB CATEGORY	TOTAL <sup>1</sup>		Minorities		WHITES		BLACKS		HISPANICS		ASIANS		AI/AN		NHOPI		2+ RACES		VETERANS	
	#	%	#	%	#	#	#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>Officials &amp; Administrators</b>	<b>833</b>		297	36%	536	64%	119	14%	73	9%	68	8%	2	0%	2	0%	33	4%	74	9%
F	186	22%	100	12%	86	10%	39	5%	25	3%	27	3%	1	0%	1	0%	7	1%	4	5%
M	647	78%	197	24%	450	54%	80	10%	48	6%	41	5%	1	0%	1	0%	26	3%	70	95%
<b>Professionals</b>	<b>287</b>		151	53%	136	47%	61	21%	34	12%	41	14%	2	1%	0	0%	13	5%	8	3%
F	105	37%	73	25%	32	11%	34	12%	14	5%	16	6%	2	1%	0	0%	7	2%	1	13%
M	182	63%	78	27%	104	36%	27	9%	20	7%	25	9%	0	0%	0	0%	6	2%	7	88%
<b>Technicians</b>	<b>135</b>		61	45%	74	55%	31	23%	16	12%	8	6%	0	0%	0	0%	6	4%	20	15%
F	15	11%	11	8%	4	3%	6	4%	3	2%	0	0%	0	0%	0	0%	2	1%	3	15%
M	120	89%	50	37%	70	52%	25	19%	13	10%	8	6%	0	0%	0	0%	4	3%	17	85%
<b>Protective Services</b>	<b>13</b>		4	31%	9	69%	0	0%	1	8%	0	0%	0	0%	0	0%	3	23%	0	0%
F	1	8%	0	0%	1	8%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	#DIV/0!
M	12	92%	4	31%	8	62%	0	0%	1	8%	0	0%	0	0%	0	0%	3	23%	0	#DIV/0!
<b>Paraprofessionals</b>	<b>14</b>		4	29%	10	71%	2	14%	0	0%	1	7%	0	0%	0	0%	1	7%	0	0%
F	8	57%	3	21%	5	36%	2	14%	0	0%	1	7%	0	0%	0	0%	0	0%	0	#DIV/0!
M	6	43%	1	7%	5	36%	0	0%	0	0%	0	0%	0	0%	0	0%	1	7%	0	#DIV/0!
<b>Administrative Support</b>	<b>412</b>		240	58%	172	42%	144	35%	59	14%	14	3%	0	0%	0	0%	23	6%	18	4%
F	174	42%	130	32%	44	11%	87	21%	29	7%	5	1%	0	0%	0	0%	9	2%	3	17%
M	238	58%	110	27%	128	31%	57	14%	30	7%	9	2%	0	0%	0	0%	14	3%	15	83%
<b>Skilled Craft</b>	<b>2,943</b>		985	33%	1,958	67%	516	18%	307	10%	44	1%	17	1%	0	0%	101	3%	296	10%
F	51	2%	37	1%	14	0%	29	1%	6	0%	0	0%	0	0%	0	0%	2	0%	2	1%
M	2,892	98%	948	32%	1,944	66%	487	17%	301	10%	44	1%	17	1%	0	0%	99	3%	294	99%
<b>Service Maintenance</b>	<b>2,090</b>		844	40%	1,246	60%	483	23%	243	12%	37	2%	5	0%	0	0%	76	4%	137	7%
F	309	15%	180	9%	129	6%	117	6%	43	2%	5	0%	1	0%	0	0%	14	1%	11	8%
M	1,781	85%	664	32%	1,117	53%	366	18%	200	10%	32	2%	4	0%	0	0%	62	3%	126	92%
<b>Total</b>	<b>6,727</b>		2,586	38%	4,141	62%	1,356	20%	733	11%	213	3%	26	0%	2	0%	256	4%	553	8%

\* American Indian/Alaskan Native

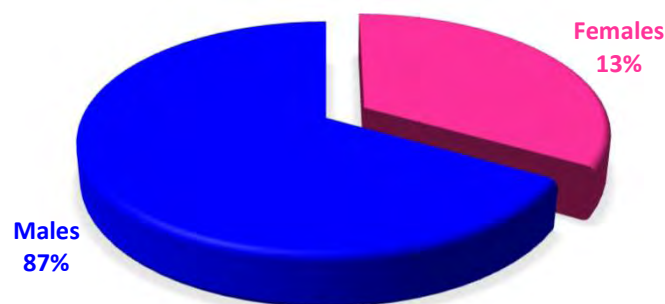
\*\*Native Hawaiian Other Pacific Islander

Note: All percentages have been rounded up to the nearest whole number.

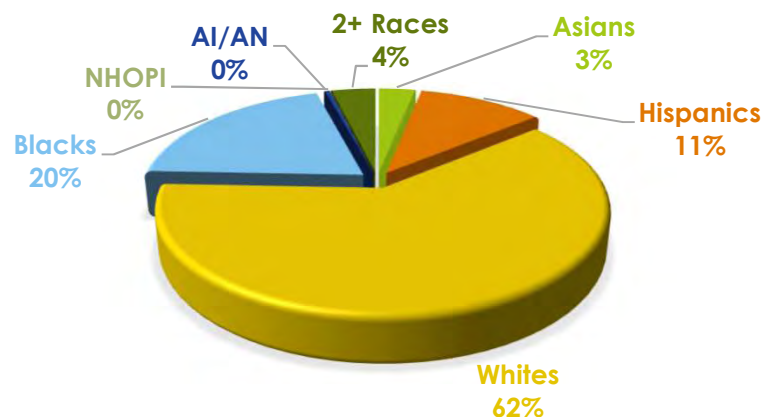


# MNR's Workforce

WORKFORCE BY GENDER



WORKFORCE BY RACE/ETHNICITY



MNR's workforce consists of 6,727 employees

- ❑ 13% females, 38% minorities, and 8% veterans.
- ❑ The percentage of females employed remained constant when compared to 3Q17.
- ❑ The percentage of minorities remained constant as it relates to race and ethnicity when compared to 3Q17.



# Underutilization Analysis Overview

A utilization analysis was conducted to determine whether there is underutilization of females and minorities in its workforce. This analysis consists of comparing **September 30, 2018** workforce percentages for females and minorities to 80 percent of the females and minorities available within the relevant labor market. Underutilization exists if the percentage of females or minorities in a job category is less than 80% of their expected estimated availability.

The following chart provide shaded/bolded areas that represent below 80 percent of the Census availability or underutilization: (1) the female and minority workforce percentages for this agency; (2) 80% of the females and minorities available for work based on the 2010 Census by job category; and (3) whether or not the estimated availability percentages were met for females and minorities within each of the job categories.



# MNR Underutilization Analysis

JOB CATEGORY	Gender	BLACKS		HISPANIC		ASIANS		AI/AN*		NHOPI**		2+ RACES		WHITES	
		Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %
Officials & Administrators	F	4%	5%	3%	3%	3%	3%	0%	0%	0%	0%	1%	1%	13%	10%
	M	6%	10%	4%	6%	4%	5%	0%	0%	0%	0%	2%	3%	1%	0%
Professionals	F	7%	12%	6%	5%	4%	6%	0%	1%	0%	0%	1%	2%	24%	11%
	M	4%	9%	4%	7%	4%	9%	0%	0%	0%	0%	0%	2%	4%	5%
Technicians	F	4%	4%	2%	2%	1%	0%	0%	0%	0%	0%	1%	1%	4%	3%
	M	13%	19%	8%	10%	5%	6%	0%	0%	0%	0%	3%	3%	4%	4%
Protective Services	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	3%	8%
	M	4%	0%	6%	8%	1%	0%	0%	0%	0%	0%	4%	23%	2%	0%

\*American Indian/Alaskan Native

\*\*Native Hawaiian Other Pacific Islander

Note: Pursuant to FTA Circular 4704.1A, EEO requirements and guideline, *white males* have been excluded from the underutilization analysis. The shaded areas represent underutilization.



# MNR Underutilization Analysis

JOB CATEGORY	Gender	BLACKS		HISPANIC		ASIANS		AI/AN*		NHOPI**		2+ RACES		WHITES	
		Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %
Paraprofessionals	F	12%	14%	12%	0%	4%	7%	0%	0%	0%	0%	1%	0%	41%	36%
	M	2%	0%	2%	0%	1%	0%	0%	0%	0%	0%	0%	7%		
Administrative Support	F	11%	21%	11%	7%	4%	1%	0%	0%	0%	0%	0%	2%	30%	11%
	M	4%	14%	5%	7%	2%	2%	0%	0%	0%	0%	0%	3%		
Skilled Craft	F	1%	1%	1%	0%	0%	0%	0%	0%	0%	0%	0%	0%	2%	0%
	M	12%	17%	10%	10%	2%	1%	0%	1%	0%	0%	2%	3%		
Service Maintenance	F	4%	6%	6%	2%	1%	0%	0%	0%	0%	0%	0%	1%	5%	6%
	M	14%	18%	18%	10%	2%	2%	0%	0%	0%	0%	1%	3%		

\*American Indian/Alaskan Native

\*\*Native Hawaiian Other Pacific Islander

Note: Pursuant to FTA Circular 4704.1A, EEO requirements and guideline, *white males* have been excluded from the underutilization analysis. The shaded areas represent underutilization.



MNR's

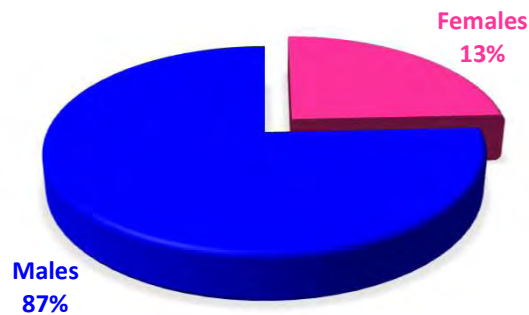
# **New Hires and Veterans**

**January 1, 2018 – September 30, 2018**

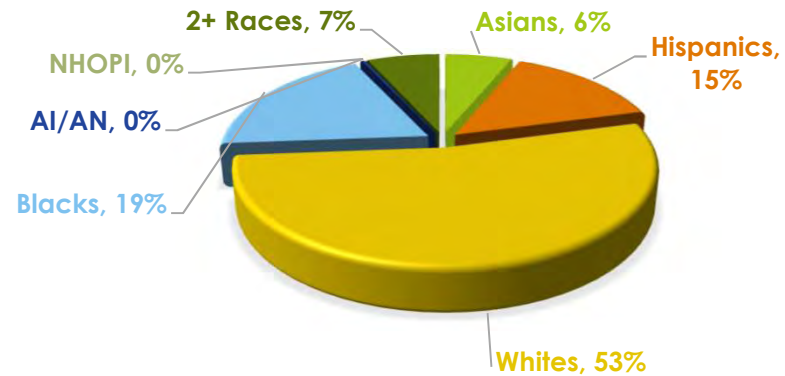


# MNR's New Hires and Veterans

**NEW HIRE BY GENDER**



**NEW HIRE BY RACE/ETHNICITY**



We added 370 employees including 15 veterans

- ❑ 13% females of which 0% were female veterans.
- ❑ Female hires were the same percentage when compared to their current representation in the workforce.
- ❑ 47% minorities of which 3% were minority veterans.
- ❑ Minorities were hired at higher percentage when compared to their current representation in the workforce.

MNR's

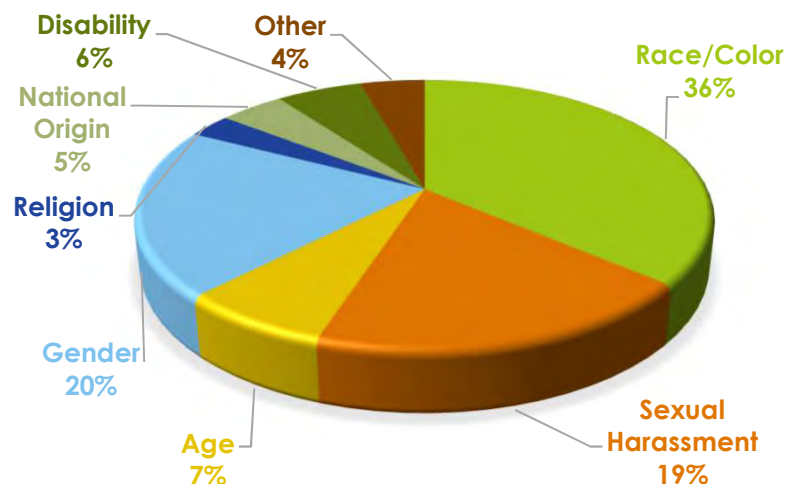
# Complaints and Lawsuits

January 1, 2018 – September 30, 2018

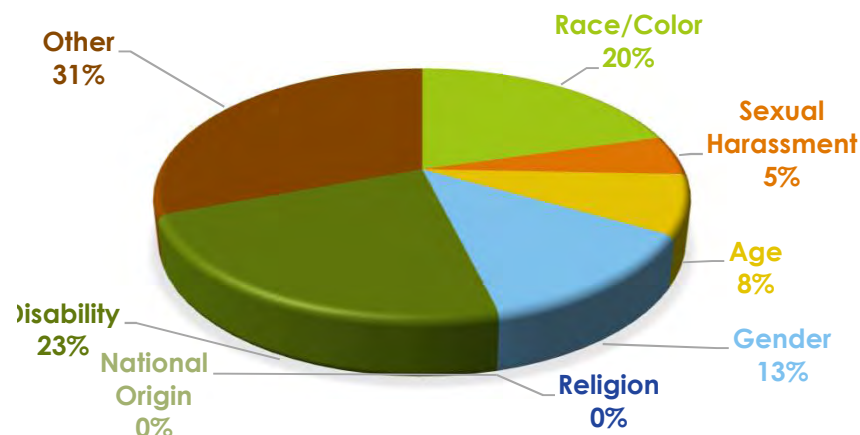


# MNR's Internal/External EEO Complaints and Lawsuits

## INTERNAL EEO COMPLAINTS



## EXTERNAL EEO COMPLAINTS



MNR handled 71 EEO complaints, citing 108 separate allegations, and 10 lawsuits.

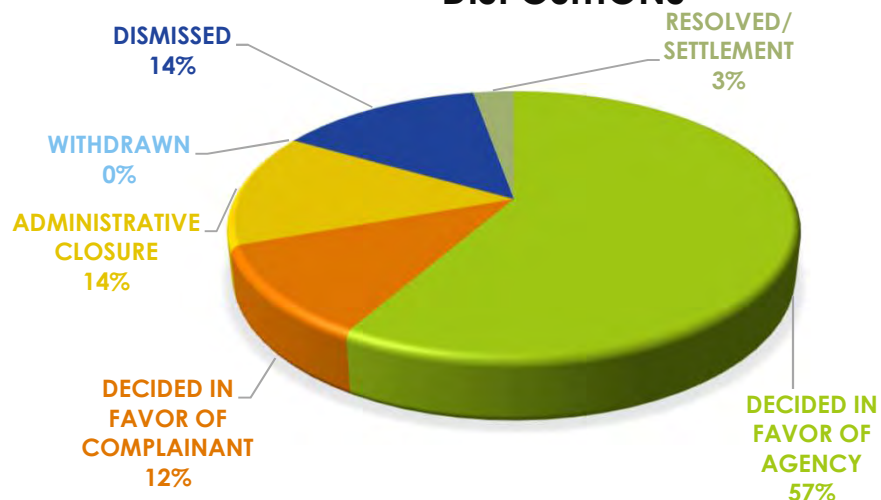
- ❑ 48 handled internal complaints.
- ❑ 23 handled external complaints.
- ❑ The most frequently cited allegation internally was race/color and externally was other.



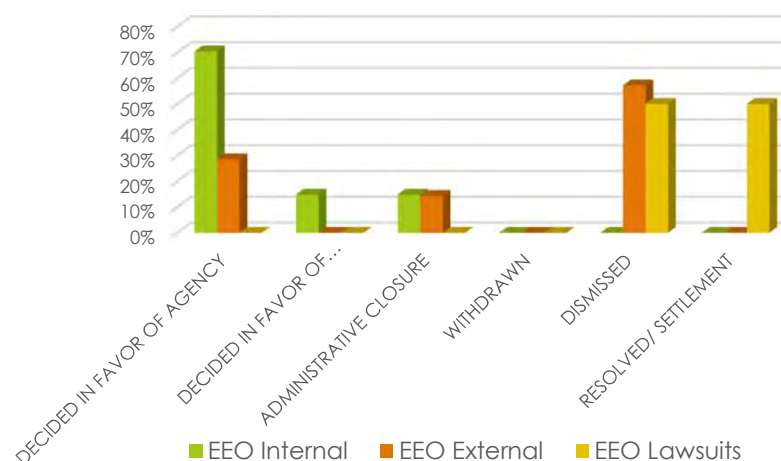
These charts include all pending matters as of the date of the report; including matters filed prior to the reporting period.  
**"Other"** contains all EEO categories not otherwise specifically mentioned on the chart (i.e. Retaliation, Sexual Orientation, Military status, or Marital Status etc.).

# MNR's EEO Complaints and Lawsuits Dispositions

**OVERALL EEO COMPLAINTS AND LAWSUITS DISPOSITIONS**



**EEO COMPLAINTS AND LAWSUITS DISPOSITIONS**

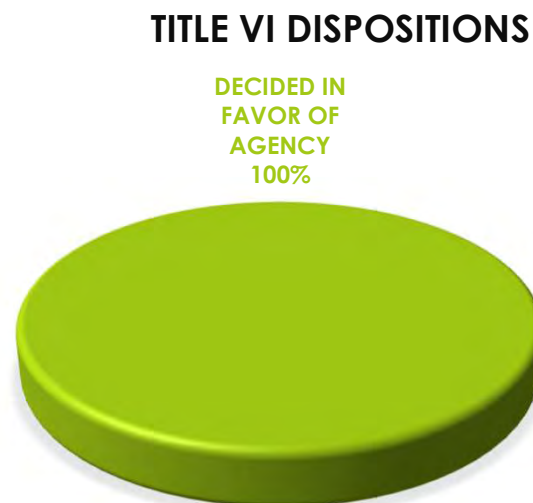
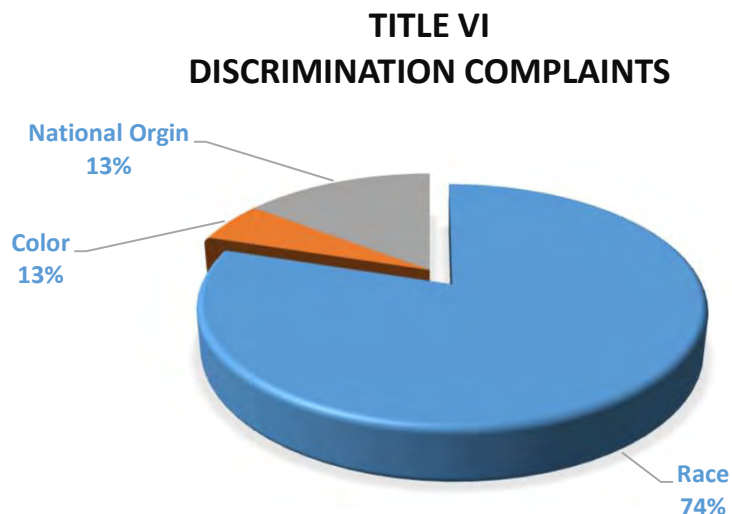


MNR disposed of 34 EEO complaints and 2 EEO lawsuits.

- 57% complaints/lawsuits decided in favor of the agency.
- 12% complaints /lawsuits decided in favor of the complainant.
- 14% complaints/lawsuits were administrative closures.
- 3% complaints/lawsuits were resolved/settled.
- 0% of complaints/lawsuits were withdrawn.



## MNR's Title VI Discrimination Complaints, Lawsuits and Dispositions

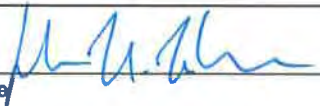


MNR handled 20 Title VI Complaints, citing 23 separate allegations and 0 Title VI lawsuits. Agency disposed of 13 complaints and 0 lawsuits.

- ❑ 100% complaints/lawsuits decided in favor of the agency.
- ❑ 00% complaints/lawsuits decided in favor of the complainant.
- ❑ 00% complaints/lawsuits were administrative closures.
- ❑ 00% complaints/lawsuits were resolved/settled.




# Staff Summary

Subject <b>ACQUISITION OF PROPERTY IN MOUNT VERNON, NY</b>
Department <b>REAL ESTATE</b>
Department Head Name <b>JOHN N. LIEBER</b>
Department Head Signature 
Project Manager Name <b>ANTHONY CAMPBELL</b>

Date <b>DECEMBER 10, 2018</b>
Vendor Name
Contract Number
Contract Manager Name
Table of Contents Ref. #

Board Action					
Order	To	Date	Approval	Info	Other
1	MNR Committee	12/12/18		X	
2	Finance Committee	12/10/18	X		
3	Board	12/12/18	X		

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

AGENCY: MTA Metro-North Railroad ("Metro-North")  
 SELLER: HPH Fleetwood LLC ("HPH")  
 LOCATION: MacQuesten Parkway, Mount Vernon, NY

ACTIVITY: Acquisition of the fee simple title to the Property, as is  
 ACTION REQUESTED: Authorization to acquire property  
 PROPERTY: Approximately .53 acres of land with improvements consisting of Section 165.21 Block 1052 Lot 2.1, Section 165.21 Block 1052 Lot 2.3 and Section 165.22 Block 1052 Lot 4 (collectively referred to as the "Property")

PURCHASE PRICE: \$2,500,000

## COMMENTS:

Metro-North seeks to acquire the Property to provide parking for commuters at the Fleetwood Station (the "Station"). The Property is currently operating as a surface parking lot with approximately 125-130 spaces supporting Metro-North's Harlem Line commuters. The Property has been identified as an important location to preserve for Metro-North's current parking facility needs and for future development as there is a limited capacity of unimproved real estate located near the Station.

Based upon the fair market value appraisal obtained by MTA Real Estate, the Purchase Price being paid, after negotiations with HPH, is below the appraised value for the Property.

Metro-North's Environmental Compliance and Services Department completed an environmental site assessment and it was determined that no remedial action is necessary. The purchase of this Property is exempt from SEQRA under section 1266(11) of the Public Authorities Law, as it involves an expansion of an existing transportation use on a contiguous property of less than 10 acres.

Based on the foregoing, MTA Real Estate requests authorization for Metro-North to enter into a contract of sale for the purchase of the Property and to acquire the Property on the above terms and conditions.



**Long Island Rail Road**

**INFORMATION**

**ITEMS**

## Proposed – 2019 Long Island Rail Road Committee Work Plan

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### I. RECURRING AGENDA ITEMS

Approval of Minutes	<u>Responsibility</u> Committee Chair & Members
2019 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

#### January 2019

Approval of 2019 Committee Work Plan	Committee Chair & Members
PTC Status Report	Engineering

#### February 2019 (Joint Meeting with MNR)

Adopted Budget/Financial Plan 2019	Management & Budget
2018 Annual Operating Results	Operations
2018 Annual RCM Fleet Maintenance Report	Operations
Diversity/EEO Report – 4 <sup>th</sup> Q 2018	Administration/Diversity
2019 Spring Schedule Change	Service Planning
LIRR/MNR PTC Project Update	President

#### March 2019

Annual Strategic Investments & Planning Study	Strategic Investments
Annual Elevator/Escalator Report	Engineering
Spring Track Work	Service Planning
Customer Satisfaction Survey Report	Public Affairs
PTC Status Report	Engineering

#### April 2019 (Joint Meeting with MNR)

Final Review of 2018 Operating Budget Results	Management & Budget
2018 Annual Ridership Report	Finance/Marketing
Annual Inventory Report	Procurement
May Timetable Change & Spring Trackwork Programs	Service Planning
MTA Homeless Outreach	MTA
LIRR/MNR PTC Project Update	President

#### May 2019

Diversity/EEO Report – 1 <sup>st</sup> Q 2019	Administration/Diversity
Summer Service & Track Work Programs	Service Planning
PTC Status Report	Engineering

June 2019 (Joint Meeting with MNR)  
Bi-Annual Report on M-9 Procurement  
Track Work Programs  
LIRR/MNR PTC Project Update

President/Sr. Staff  
Service Planning  
President

July 2019

Penn Station Retail Development  
Environmental Audit  
September Timetable & Trackwork Programs  
PTC Status Report

MTA Real Estate  
Corporate Safety  
Service Planning  
Engineering

September 2019

2020 Preliminary Budget (Public Comment)  
2019 Mid-Year Forecast  
Fall Trackwork Programs  
PTC Status Report  
Diversity/EEO Report – 2<sup>nd</sup> Quarter 2019

Management & Budget  
Service Planning  
Engineering  
Administration/Diversity

October 2019 (Joint Meeting with MNR)

2020 Preliminary Budget (Public Comment)  
MTA Homeless Outreach  
Bi-Annual Report on M-9 Procurement  
LIRR/MNR PTC Project Update  
November Timetable Change & Trackwork Programs

MTA  
President/Sr. Staff  
President  
Service Planning

November 2019

Review of Committee Charter  
East Side Access Support Projects Update  
Holiday & Year-End Service & Trackwork Programs  
PTC Status Report

Committee Chair & Members  
President/Sr. Staff  
Service Planning  
Engineering

December 2019 (Joint Meeting with MNR)

2020 Final Proposed Budget  
2020 Proposed Committee Work Plan  
Diversity/EEO Report – 3<sup>rd</sup> Q 2019  
LIRR/MNR PTC Project Update

Management & Budget  
Committee Chair & Members  
Administration/Diversity  
President

## **LONG ISLAND RAIL ROAD COMMITTEE WORK PLAN**

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### **DETAILED SUMMARY**

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

##### **Approval of Minutes**

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

### **2019 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.

## **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**

### **JANUARY 2019**

#### **Approval of 2019 Committee Work Plan**

The Committee will approve the Proposed Long Island Rail Road Committee Work Plan for 2018 that will address initiatives to be reported on throughout the year.

#### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation.

### **FEBRUARY 2019 (Joint Meeting with MNR)**

#### Adopted Budget/Financial Plan 2019

The Agency will present its revised 2019 Financial Plan. These plans will reflect the 2019 Adopted Budget and an updated Financial Plan for 2018 reflecting the out-year impact of any changes incorporated into the 2018 Adopted Budget.

#### 2018 Annual Operating Results

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

#### 2018 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.

#### Project 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– 4<sup>th</sup> Quarter 2018

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.

#### 2019 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 2019.

### **MARCH 2019**

#### 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.

#### Customer Satisfaction Survey Report

The committee will be informed on the results of the 2017 survey distributed to customers on the Hudson, Harlem and New Haven Lines and West of Hudson service.

#### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation.

### **APRIL 2019 (Joint Meeting with MNR)**

#### Final Review of 2018 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.

#### 2018 Annual Ridership Report

A report will be presented to the Committee on Agency ridership trends during 2018 based on monthly ticket sales data and the results of train ridership counts conducted by the Agency.

#### 2019 Summer Schedule Change

The Committee will be advised of Agency plans to adjust schedules to support construction projects during the summer of 2018.

#### MTA Homeless Outreach

MTA Operations Support will provide a bi-annual report on homeless outreach efforts including an update on service providers and placements.

#### Project 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.

### **MAY 2019**

#### Diversity & EEO Report– 1<sup>st</sup> Quarter 2019

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.

#### 2019 Summer Service and Trackwork Programs

The Committee will be advised of Agency plans to adjust schedules to support construction projects during the summer of 2019.

#### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation.

### **JUNE 2019 (Joint Meeting with MNR)**

#### 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.

#### Project 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.

#### Track Work Programs

This is to inform the Long Island Committee of the MTA Long Island Rail Road's plans to adjust schedules to support various trackwork programs, Main Line Second Track construction and East Side Access Readiness projects

### **JULY 2019**

#### 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.

#### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation.

#### 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 Timetable & Trackwork Programs

The Committee will be advised of Agency plans to adjust schedules to support construction projects during the fall of 2019.

### **SEPTEMBER 2019**

#### 2020 Preliminary Budget

Public comment will be accepted on the 2020 Budget.

#### 2019 Mid-Year Forecast

The agency will provide the 2019 Mid-Year Forecast financial information for revenue and expense by month.

#### Diversity & EEO Report– 2<sup>nd</sup> Quarter 2019

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.

#### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation.

### **OCTOBER 2019 (Joint Meeting with MNR)**

#### 2020 Preliminary Budget

Public comment will be accepted on the 2020 Budget.

#### Project 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.

#### MTA Homeless Outreach

MTA Operations Support will provide a bi-annual report on homeless outreach efforts including an update on service providers and placements.

#### 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

### **NOVEMBER 2019**

#### 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.

#### PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation.

#### **DECEMBER 2019** (Joint Meeting with MNR)

##### Diversity & EEO Report– 3<sup>rd</sup> Quarter 2019

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.

##### 2020 Final Proposed Budget

The Committee will recommend action to the Board on the Final Proposed Budget for 2020.

##### Proposed 2020 Committee Work Plan

The Committee Chair will present a draft Long Island Rail Road Committee Work Plan for 2018 that will address initiatives to be reported throughout the year.

##### Project 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.

# MTA Long Island Rail Road (LIRR)

## **EEO Report – 3<sup>rd</sup> Quarter 2018**

December 10, 2018



# Executive Summary

## ■ EEO

As of **September 30, 2018**, LIRR's workforce included 7,651 total employees. This represents a 4% increase from the third quarter 2017 (3Q17) workforce.

- Females represent 15% (1148) of our workforce, remaining constant, when compared to 3Q17, due to hiring activity combined with attrition.
- Females were hired above their current representation due to recruitment efforts.
- Minorities represent 36% (2,783) of our workforce, remaining constant when compared to 3Q17, due to hiring activity combined with attrition.
- Minorities were hired above their current representation due to recruitment efforts.



# Executive Summary

MTA LIRR conducted a **utilization analysis**\* of females and minorities in its workforce as of September 30, 2018. Based on the analysis, the majority of underrepresentation for females and minorities occurred in the following EEO categories:

## Females:

- ☐ Officials & Administrators - Whites
- ☐ Professionals - Whites
- ☐ Technicians – Blacks, Hispanics and Whites
- ☐ Administrative Support – Hispanics, Asians, and Whites
- ☐ Skilled Craft– Blacks and Hispanics
- ☐ Service Maintenance – Hispanics and Asians

## Minorities:

- ☐ Technicians – Blacks and Hispanics
- ☐ Administrative Support – Hispanics and Asians
- ☐ Skilled Craft – Blacks, Hispanics, Asians and NHOP
- ☐ Service Maintenance – Hispanics and Asians

\*The utilization analysis compares the percentages of females and minorities employed in each job group to 80 percent of the females and minorities available within the relevant labor market.



# Executive Summary

## ■ Diversity Initiatives to increasing representation

- Initiatives/challenges to **address** underrepresentation for **females** and **minorities**
  - Female - non-traditional/male dominated industry; limited availability of technical, skilled craft and service maintenance qualified females, private sector competitive salaries.
  - Minority – private sector competitive salaries.
- Initiatives to **increase** representation for **veterans** and **persons with disabilities**
  - Continue partnership with MTA Office of Veterans Affairs to promote employment opportunities for veterans.
  - Continue coordination with the NYC Mayor's Office for People with Disabilities to promote employment opportunities for persons with disabilities.



# MTA LIRR

## **Workforce** as of September 30, 2018



# Definitions of EEO Job Categories

## **Officials & Administrators**

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

## **Professionals**

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

## **Technicians**

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

## **Protective Services**

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

## **Paraprofessionals**

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

## **Administrative Support**

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

## **Skilled Craft**

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

## **Service Maintenance**

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



# MTA LIRR Workforce

JOB CATEGORY	TOTAL		Minorities		WHITES		BLACKS		HISPANICS		ASIANS		AI/AN*		NHOP**		2+ RACES		VETERANS	
	#	%	#	%	#	#	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Officials & Administrators	1,358		460	34%	898	66%	173	13%	134	10%	82	6%	8	1%	1	0%	62	5%	94	7%
	F 276	20%	136	10%	140	10%	64	5%	33	2%	24	2%	0	0%	0	0%	15	1%	8	9%
	M 1,082	80%	324	24%	758	56%	109	8%	101	7%	58	4%	8	1%	1	0%	47	3%	86	91%
Professionals	350		151	43%	199	57%	51	15%	35	10%	51	15%	0	0%	1	0%	13	4%	21	6%
	F 56	16%	30	9%	26	7%	9	3%	6	2%	11	3%	0	0%	1	0%	3	1%	0	0%
	M 294	84%	121	35%	173	49%	42	12%	29	8%	40	11%	0	0%	0	0%	10	3%	21	100%
Technicians	20		10	50%	10	50%	0	0%	4	20%	3	15%	1	5%	0	0%	2	10%	1	5%
	F 4	20%	3	15%	1	5%	0	0%	0	0%	1	5%	0	0%	0	0%	2	10%	0	0%
	M 16	80%	7	35%	9	45%	0	0%	4	20%	2	10%	1	5%	0	0%	0	0%	1	100%
Administrative Support	375		190	51%	185	49%	116	31%	48	13%	12	3%	2	1%	0	0%	12	3%	13	3%
	F 196	52%	120	32%	76	20%	78	21%	28	7%	8	2%	1	0%	0	0%	5	1%	3	23%
	M 179	48%	70	19%	109	29%	38	10%	20	5%	4	1%	1	0%	0	0%	7	2%	10	77%
Skilled Craft	4,612		1529	33%	3,083	67%	721	16%	522	11%	144	3%	8	0%	1	0%	133	3%	342	7%
	F 446	10%	199	4%	247	5%	132	3%	38	1%	13	0%	1	0%	0	0%	15	0%	10	3%
	M 4,166	90%	1330	29%	2,836	61%	589	13%	484	10%	131	3%	7	0%	1	0%	118	3%	332	97%
Service Maintenance	936		443	47%	493	53%	248	26%	142	15%	19	2%	5	1%	1	0%	28	3%	51	5%
	F 170	18%	113	12%	57	6%	75	8%	31	3%	1	0%	0	0%	0	0%	6	1%	6	12%
	M 766	82%	330	35%	436	47%	173	18%	111	12%	18	2%	5	1%	1	0%	22	2%	45	88%
Total	7,651		2,783	36%	4,868	64%	1,309	17%	885	12%	311	4%	24	0%	4	0%	250	3%	522	7%



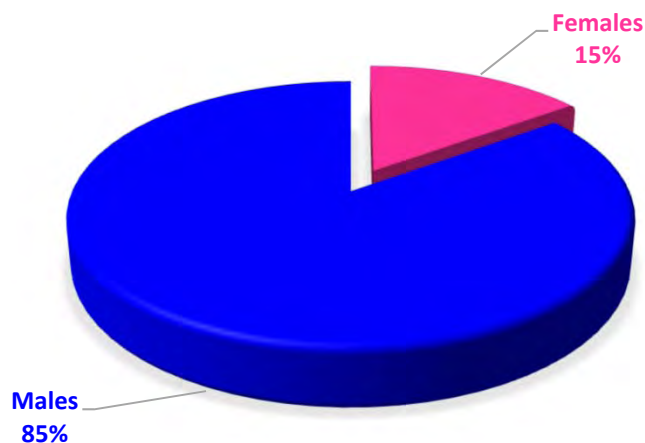
\* American Indian/Alaskan Native

\*\*Native Hawaiian Other Pacific Islander

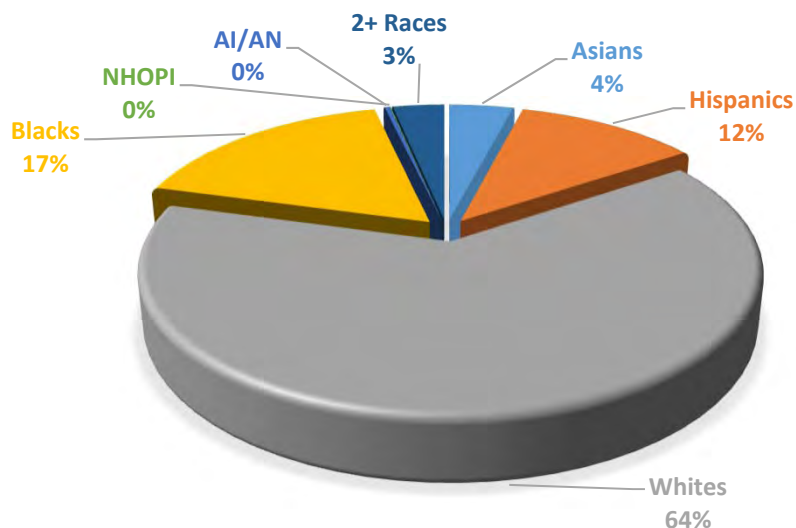
Note: All percentages have been rounded up to the nearest whole number.

# MTA LIRR Workforce

**WORKFORCE BY GENDER**



**WORKFORCE BY RACE/ETHNICITY**



LIRR's workforce consists of 7,651 employees

- ❑ 15% females, 36% minorities, and 7% veterans.
- ❑ The percentage of females employed has remained constant when compared to 3Q17.
- ❑ The percentage of minorities has remained constant as it relates to race and ethnicity when compared to 3Q17.



# Underutilization Analysis Overview

A utilization analysis was conducted to determine whether there is underutilization of females and minorities in its workforce. This analysis consists of comparing **September 30, 2018** workforce percentages for females and minorities to 80 percent of the females and minorities available within the relevant labor market. Underutilization exists if the percentage of females or minorities in a job category is less than 80% of their expected estimated availability.

The following chart provide shaded/bolded areas that represent below 80 percent of the Census availability or underutilization: (1) the female and minority workforce percentages for this agency; (2) 80% of the females and minorities available for work based on the 2010 Census by job category; and (3) whether or not the estimated availability percentages were met for females and minorities within each of the job categories.



# MTA LIRR Underutilization Analysis

JOB CATEGORY	Gender	BLACKS		HISPANIC		ASIANS		AI/AN*		NHOPI**		2+ RACES		WHITES	
		Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %
Officials & Administrators	F	5%	5%	2%	2%	1%	2%	0%	0%	0%	0%	1%	1%	11%	10%
	M	7%	8%	6%	7%	3%	4%	0%	1%	0%	0%	1%	3%		
Professionals	F	3%	3%	2%	2%	2%	3%	0%	0%	0%	0%	0%	1%	14%	7%
	M	6%	12%	5%	8%	6%	11%	0%	0%	0%	0%	1%	3%		
Technicians	F	3%	0%	3%	0%	2%	5%	0%	0%	0%	0%	0%	10%	6%	5%
	M	10%	0%	9%	20%	8%	10%	0%	5%	0%	0%	0%	0%		

\*American Indian/Alaskan Native

\*\*Native Hawaiian Other Pacific Islander

Note: Pursuant to FTA Circular 4704.1A, EEO requirements and guideline, *white males* have been excluded from the underutilization analysis. The shaded areas represent underutilization.



# MTA LIRR Underutilization Analysis

JOB CATEGORY	Gender	BLACKS		HISPANIC		ASIANS		AI/AN*		NHOPI**		2+ RACES		WHITES	
		Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %
Administrative Support	F	13%	21%	10%	7%	4%	2%	0%	0%	0%	0%	1%	1%	26%	20%
	M	5%	10%	4%	5%	2%	1%	0%	0%	0%	0%	1%	2%		
Skilled Craft	F	5%	3%	2%	1%	0%	0%	0%	0%	0%	0%	0%	0%	5%	5%
	M	14%	13%	11%	10%	4%	3%	0%	0%	1%	0%	2%	3%		
Service Maintenance	F	6%	8%	5%	3%	1%	0%	0%	0%	0%	0%	0%	1%	6%	6%
	M	13%	18%	16%	12%	2%	2%	0%	1%	0%	0%	1%	2%		

\*American Indian/Alaskan Native

\*\*Native Hawaiian Other Pacific Islander

Note: Pursuant to FTA Circular 4704.1A, EEO requirements and guideline, *white males* have been excluded from the underutilization analysis. The shaded areas represent underutilization.



# MTA LIRR

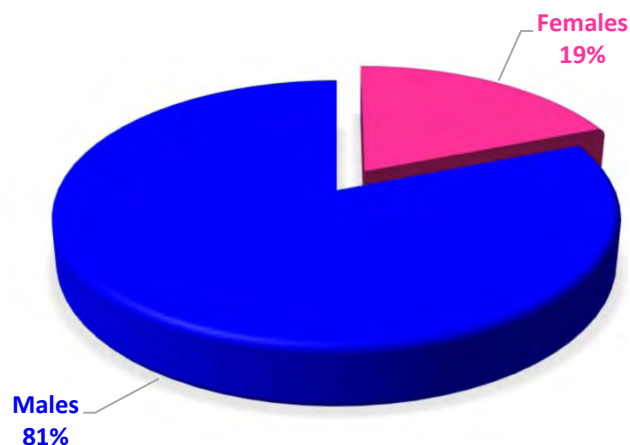
## **New Hires and Veterans**

**January 1, 2018 – September 30, 2018**

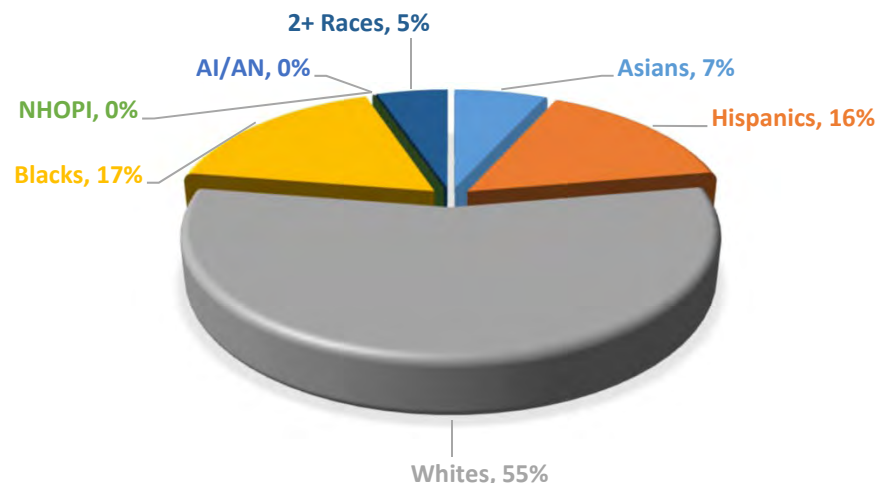


## MTA LIRR New Hires and Veterans

NEW HIRE BY GENDER



NEW HIRE BY RACE/ETHNICITY



LIRR added 516 employees, including 31 veterans;

- ❑ 19% females of which 3% were female veterans.
- ❑ Female hires were above the percentage when compared to their current representation in the workforce.
- ❑ 45% minorities of which 5% were minority veterans.
- ❑ Minorities were hired above the percentage when compared to their current representation in the workforce.



# MTA LIRR

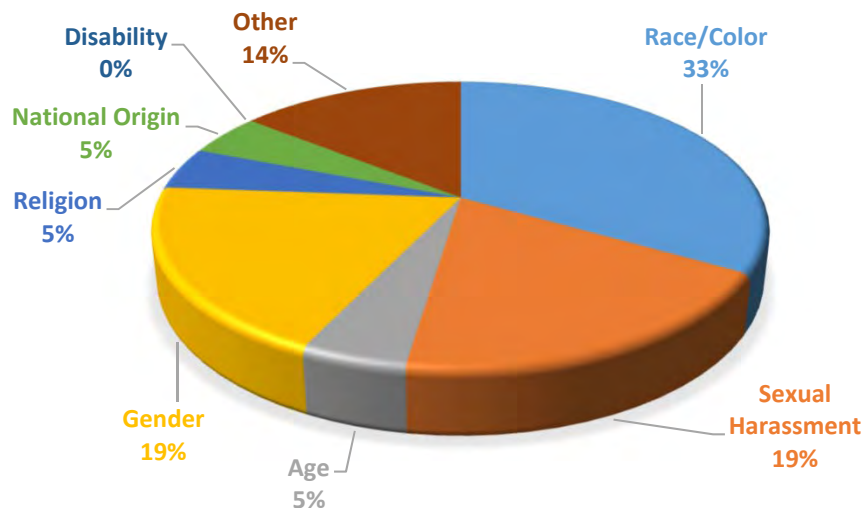
## **Complaints and Lawsuits**

**January 1, 2018 – September 30, 2018**

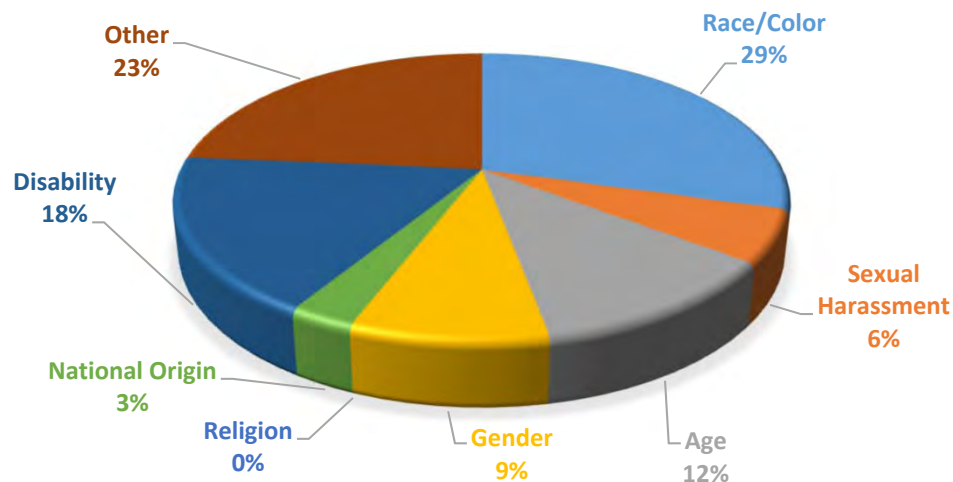


## MTA LIRR Internal/External EEO Complaints and Lawsuits

### INTERNAL EEO COMPLAINTS



### EXTERNAL EEO COMPLAINTS



LIRR handled 31 EEO complaints, citing 55 separate allegations, and 8 lawsuits.

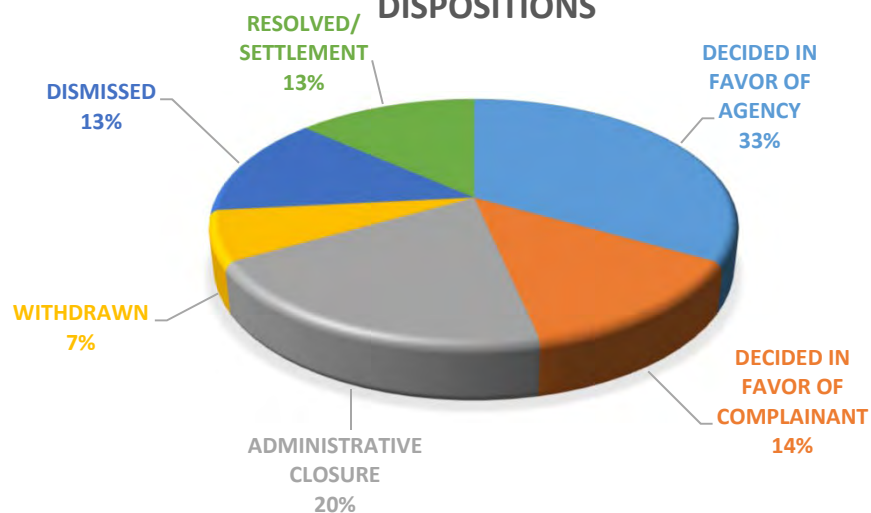
- ❑ 17 handled internal complaints.
- ❑ 14 handled external complaints.
- ❑ The most frequently cited allegation internally and externally was Race/Color.



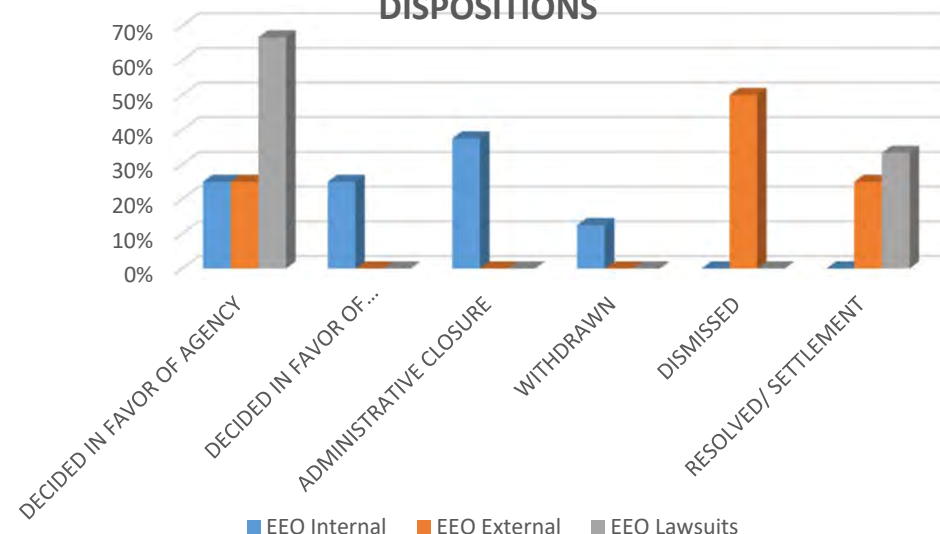
These charts include all pending matters as of the date of the report; including matters filed prior to the reporting period.  
 "Other" contains all EEO categories not otherwise specifically mentioned on the chart (i.e. Retaliation, Sexual Orientation, Military status, or Marital Status etc.).

## MTA LIRR EEO Complaints and Lawsuits Dispositions

**OVERALL EEO COMPLAINTS AND LAWSUITS  
DISPOSITIONS**



**EEO COMPLAINTS AND LAWSUITS  
DISPOSITIONS**

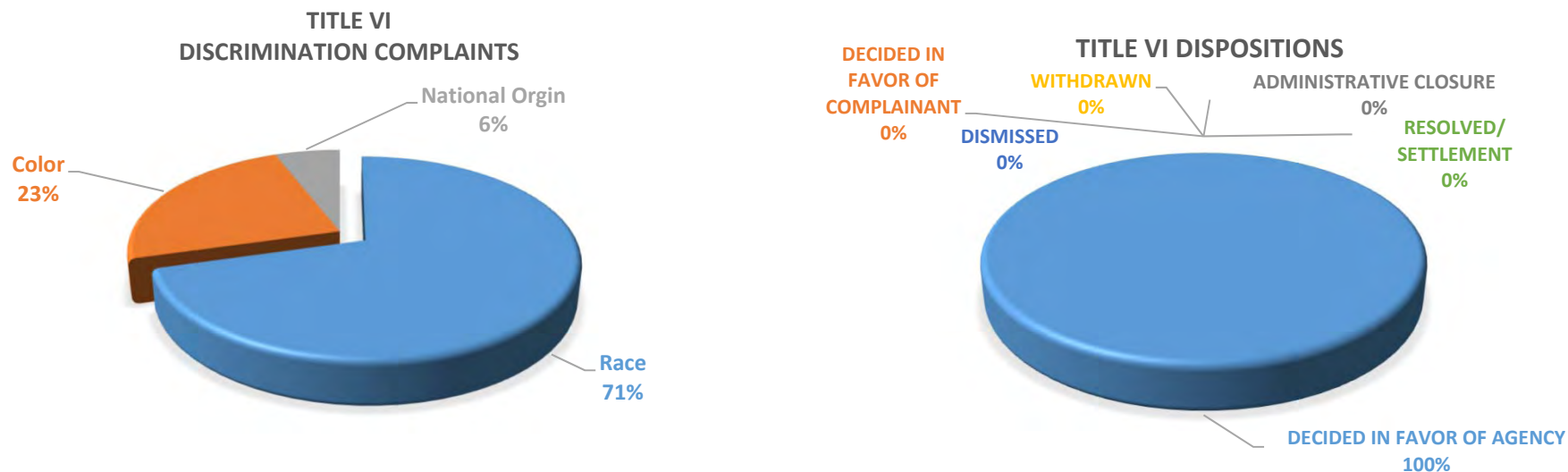


LIRR disposed of 12 EEO complaints and 3 EEO lawsuits.

- ❑ 33% complaints/lawsuits decided in favor of the agency.
- ❑ 13% complaints /lawsuits decided in favor of the complainant.
- ❑ 20% complaints/lawsuits were administrative closures.
- ❑ 13% complaints/lawsuits were resolved/settled.
- ❑ 13% complaints/lawsuits were dismissed.
- ❑ 7% of complaints/lawsuits were withdrawn.



## MTA LIRR Title VI Discrimination Complaints, Lawsuits and Dispositions



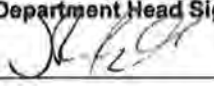




LIRR handled 12 Title VI Complaints, citing 17 separate allegations and no Title VI lawsuits. Agency disposed of 8 complaints.

- 100% complaints/lawsuits decided in favor of the agency.



## Staff Summary



<b>Subject</b> <b>JANUARY TIMETABLE CHANGE &amp; TRACKWORK PROGRAMS</b>						<b>Date</b> <b>DECEMBER 6, 2018</b>			
<b>Departments</b> <b>SR. VICE PRESIDENT – OPERATIONS</b>						<b>Vendor Name</b>			
<b>Department Head Names</b> <b>R. BROOKS</b>						<b>Contract Number</b>			
<b>Department Head Signature</b> 						<b>Contract Manager Signature</b>			
<b>Board Action</b>						<b>Internal Approval</b>			
<b>Order</b>	<b>To</b>	<b>Date</b>	<b>Approval</b>	<b>Info</b>	<b>Other</b>	<b>Order</b>	<b>Approval</b>	<b>Order</b>	<b>Approval</b>
1	LI COMM	12/10/18				4	Sr VP – Eng. 	1	President 
						3	VP Mktg & PA 		
						2	Exec VP 		

### PURPOSE:

This is to inform the Long Island Committee of the MTA Long Island Rail Road's plan to adjust schedules beginning January 7, 2019, through March 3, 2019. Projects supported during this timetable include Main Line Expansion, DOT work at Atlantic Avenue on Atlantic Branch, Amtrak State Of Good Repair work at Penn Station, and Main Line Switch, Signal and Concrete Tie work. Continuing projects include Positive Train Control Installation, East Side Access work in Harold Interlocking, West Side Yard Overbuild, Long Beach Branch Hurricane Sandy Restoration Work, and Jamaica Capacity Improvements. In addition, schedules will be temporarily adjusted January 5- February 3, 2019, for a Trackwork Program related to East Side Access B/C Tunnel Prep Work.

### JANUARY 7 TIMETABLE CHANGE

#### *Construction Activities*

- **Atlantic Branch, Atlantic Terminal-East New York – DOT Work on Atlantic Avenue at East New York** – One of two main tracks will be out of service middays between Atlantic Terminal and East New York for DOT work on Atlantic Avenue at East New York.
  - **Temporary Service Adjustments:** With one of two main tracks out of service middays between Atlantic Terminal and East New York, midday trains to and from Brooklyn are adjusted between 6 minutes earlier and 4 minutes later. Connecting trains at Jamaica are likewise adjusted between 4 minutes earlier and 4 minutes later.
- **Penn Station – Amtrak State of Good Repair Project 2019** – Various tracks and switches within Penn Station will be out of service to allow Amtrak to make necessary repairs in the next phase of the project. This phase of the work will have weekday Peak period service impacts beginning Monday, January 7, and continuing through the Spring.

- **Temporary Service Adjustments:** As a result of reduced capacity in Penn Station, the MTA Long Island Rail Road will be required to make the following changes to Peak period service: AM Peak – 2 trains have been added to Penn Station in the early AM peak; 4 regular AM Peak Penn Station trains have been diverted, 3 to Atlantic Terminal, and one to Jamaica; and one train will be cancelled and combined with another train. In the PM Peak, the following changes will occur – 2 trains have been added from Penn Station in the early afternoon shoulder peak period; 1 new Peak train is added in the 7 PM hour from Hunterspoint Avenue; 2 trains will originate at Atlantic Terminal instead of Penn Station, 1 train will originate at Jamaica instead of Penn Station; 2 trains will be cancelled at Penn Station and combined with other trains; and 1 PM Reverse Peak train will be diverted to Atlantic Terminal. In both the AM and PM, stops will be added to trains as necessary to preserve service opportunities from diverted or cancelled trains, and cars will be added to lengthen select existing trains.
- **Main Line, Nassau 1-Nassau 3 – Main Line Expansion** – One of two main tracks will be out of service weekends between Nassau 1 interlocking in New Hyde Park and Nassau 3 interlocking in Carle Place for work related to the Main Line Expansion Project.
  - **Temporary Service Adjustments:** With one of two main tracks out of service between New Hyde Park and Carle Place overnight for the Main Line Expansion Project, a number of schedule adjustments will take place on the Port Jefferson and Oyster Bay Branches. Some westbound trains from Huntington are adjusted up to 8 minutes later, and most eastbound trains to Huntington are adjusted between 5 minutes earlier and 3 minutes later. In addition, westbound Oyster Bay trains are adjusted up 19 minutes earlier.
- **Main Line, Bethpage-Wyandanch – Main Line Signal, Switch & Concrete Tie Work** – One of two main tracks will be out of service weekends between Bethpage and Wyandanch for switch installation, concrete tie installation and signal testing.
  - **Temporary Service Adjustments:** With one of two main tracks out of service between Bethpage and Wyandanch for switch installation, concrete tie installation and signal testing, most westbound Ronkonkoma Branch trains are adjusted 5 minutes later.

## **TRACK WORK PROGRAMS**

*Construction Activities* (Short-term trackwork items requiring a special program)

- **East Side Access Tunnel B/C Prep Work** – Tracks and switches in the middle of Harold Interlocking will be taken out of service for prep work related to the construction of Tunnel B/C from January 5- February 3, 2019.
  - **Temporary Service Adjustments:** Beginning Monday January 5 through February 3, 2019, tracks and switches in the middle of Harold interlocking will be taken out of service for prep work related to the installation of Tunnel B/C. As a result, schedules will be adjusted on some Peak and Reverse Peak trains as well as associated connecting trains. These adjustments will operate in addition to the schedule changes made for Amtrak State Of Good Repair work in Penn Station and described above. During the AM Peak, two Montauk Branch trains that normally terminate in Long Island City will instead terminate in Jamaica, with connecting services available. In addition, four AM Reverse Peak trains on the Port Washington Branch will have stopping pattern adjustments as well as minor schedule adjustments. During the PM Peak, one Babylon Branch train will originate at

Atlantic Terminal instead of Penn Station, and one Babylon Branch train will be cancelled and combined with another train. Also during the PM Peak, 11 trains systemwide will have minor schedule adjustments, and two Port Washington Branch trains will have stops removed. An additional shoulder PM Peak train on the Port Washington Branch will also have adjusted stops.

As part of our communication campaign for these service changes, public timetables will be issued, and additional information will be shared via our website, e-mail alerts, and social media messaging. Stay connected. Find real-time LIRR service status information on [www.mta.info](http://www.mta.info), by signing up for E-Alerts at [www.MyMTAAlerts.com](http://www.MyMTAAlerts.com), or call the LIRR's Customer Service Center at 511 or 718-217-LIRR (718-217-5477).

### **IMPACT ON FUNDING**

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



**Metro-North Railroad**

# **Procurements**



<b>Subject</b> Request for Authorization to Award Various Procurements					
<b>Department</b> Procurement and Material Management					
<b>Department Head Name</b> Al Muir, Sr Director					
<b>Department Head Signature</b>					
<b>Project Manager Name</b>					
<b>Board Action</b>					
<b>Order</b>	<b>To</b>	<b>Date</b>	<b>Approval</b>	<b>Info</b>	<b>Other</b>
1	M-N Comm Mtg.	12-10-18	X		
2	MTA Board Mtg.	12-12-18	X		

<b>Date</b> December 3, 2018			
<b>Vendor Name</b> Various			
<b>Contract Number</b> Various			
<b>Contract Manager Name</b> Various			
<b>Table of Contents Ref #</b>			
<b>Internal Approvals</b>			
	<b>Approval</b>		<b>Approval</b>
X	President	X	V.P. Capital Programs
X	Executive V.P.	X	V.P. & General Counsel
X	Sr. V.P. Operations		
X	V.P. Finance & IT		

<b>Internal Approvals (cont.)</b>							
<b>Order</b>	<b>Approval</b>	<b>Order</b>	<b>Approval</b>	<b>Order</b>	<b>Approval</b>	<b>Order</b>	<b>Approval</b>
—	—	—	—	—	—	—	—

**PURPOSE:**

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

**DISCUSSION:**

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

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



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

<u>Schedules Requiring Two-Thirds Vote (or more, where noted)</u>		<u># of Actions</u>	<u>\$ Amount</u>
Schedule B:	Competitive Requests for Proposals (Solicitation of Purchase and Public Work Contracts) (Award of Purchase and Public Work Contracts)	1	TBD
	• Request to Use the RFP Process		TBD

Schedules Requiring Majority Vote

SUB TOTAL: 1 TBD

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

Schedules Requiring Two-Thirds Vote (or more, where noted) NONE

Schedules Requiring Majority Vote NONE

SUB TOTAL:

TOTAL: 1 TBD

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

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

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

## METROPOLITAN TRANSPORTATION AUTHORITY

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

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

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

NOW, the Board resolves as follows:

1. As to each purchase and public work contract set forth in the annexed Schedule A, the Board declares competitive bidding to be impractical or inappropriate for the reasons specified therein and authorizes the execution of each such contract.

2. As to each request for proposals (for purchase and public work contracts) set forth in Schedule B for which it is deemed in the public interest to obtain authorization to solicit competitive proposals through a publicly advertised RFP for the reasons specified therein the Board declares it to be impractical or inappropriate to utilize a procurement process inviting sealed bids with award to the lowest responsive/responsible bidder.

3. As to each request for proposals (for purchase and public work contracts) set forth in Schedule C for which a recommendation is made to award the contract, the Board authorizes the execution of said contract.

4. The Board ratifies each action taken set forth in Schedule D for which ratification is requested.

5. The Board authorizes the execution of each of the following for which Board authorization is required: i) the miscellaneous procurement contracts set forth in Schedule E; ii) the personal service contracts set forth in Schedule F; iii) the miscellaneous service contracts set forth in Schedule G; iv) the modifications to personal/miscellaneous service contracts set forth in Schedule H; v) the contract modifications to purchase and public work contracts set forth in Schedule I; and vi) the modifications to miscellaneous procurement contracts set forth in Schedule J.

6. The Board ratifies each action taken set forth in Schedule K for which ratification is requested.

DECEMBER 2018

## METRO-NORTH RAILROAD

## LIST OF COMPETITIVE PROCUREMENTS FOR BOARD APPROVAL

**Schedules Requiring Two-Thirds Vote:**

**B. Competitive Requests for Proposals (Solicitation of Purchase and Public Work Contracts)**  
(Staff Summaries only required for items estimated to be greater than \$1 million)

1.	Request to Use RFP Process Replacement of Third Avenue Bridge in Mount Vernon, NY	TBD	<u>Staff Summary Attached</u>
----	--	-----	-------------------------------

MTA Metro-North Railroad (Metro-North) requests that the Board adopt a resolution declaring that competitive, sealed bidding is impractical or inappropriate and that it is therefore in the public interest to use the competitive Request for Proposal (RFP) process, pursuant to Public Authorities Law Section 1265-a, to solicit proposals for the design, demolition and construction for the replacement of the superstructure and rehabilitation of the substructure of the 3rd Avenue Bridge (NH 13.66) for the Metro-North Railroad (MNR).

Metro-North has identified the Third Avenue Bridge located on the New Haven Line in Mt. Vernon, NY as an immediate need for replacement along with the rehabilitation of its substructure.

The RFP process will give Metro-North the ability to evaluate terms other than price alone, such as technical approach, contractor and design professional qualifications and past performance. Metro-North will work with the design-build team and develop an innovative approach to construction of this bridge which will accelerate the delivery of this critical replacement project.

This procurement will be funded by the 2015-2019 MNR Capital Program and the City of Mt. Vernon.

# Staff Summary

Item Number <b>B</b>					
<b>Dept. &amp; Dept. Head Name:</b> Procurement & Material Management, Al Muir, Sr. Director					
<b>Division &amp; Division Head Name:</b> Executive Vice President, Susan Doering					
<b>Board Reviews</b>					
Order	To	Date	Approva	Info	Other
1	MNR Comm. Mtg.	12-10-18	x		
2	MTA Board Mtg.	12-12-18	x		
<b>Internal Approvals</b>					
Order	Approval	Order	Approval		
X	President	X	V.P. & General Counsel		
X	Sr. V.P. Operations				
X	V.P. Finance & IT				
X	V.P. Capital Programs				

<b>SUMMARY INFORMATION</b>	
<b>Vendor Name</b> TBD	<b>Contract Number</b> TBD
<b>Description</b> Request to use the RFP Process - Replacement of Third Avenue Bridge in Mount Vernon, NY	
<b>Total Amount</b> TBD	
<b>Contract Term (including Options, if any)</b> Various	
<b>Option(s) included in Total Amount?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<b>Renewal?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<b>Procurement Type</b> <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive	
<b>Solicitation Type</b> <input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input type="checkbox"/> Other:	
<b>Funding Source</b> <input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other:	

## Narrative

### I. PURPOSE/RECOMMENDATION

MTA Metro-North Railroad (Metro-North) requests that the Board adopt a resolution declaring that competitive, sealed bidding is impractical or inappropriate and that it is therefore in the public interest to use the competitive Request for Proposal (RFP) process, pursuant to Public Authorities Law Section 1265-a, to solicit proposals for the design, demolition and construction for the replacement of the superstructure and rehabilitation of the substructure of the 3rd Avenue Bridge (NH 13.66) for the Metro-North Railroad (MNR).

### II. BACKGROUND & DISCUSSION

Metro-North has identified the Third Avenue Bridge located on the New Haven Line in Mt. Vernon, NY as an immediate need for replacement along with the rehabilitation of its substructure. These repairs and improvements shall include but are not limited to:

- The Design-Builder will be required to develop the design to the final level, and assume the responsibility of Designer of Record;
- Demolition and removal of existing bridge elements including all bridge mounted utilities immediately adjacent to the bridge approaches;
- Excavate and demolish upper portion of both existing abutments. Provide and install new concrete bridge seats, tie-backs and all related work, including wing walls and utilities;
- Provide and install new bridge superstructure, including reinforced concrete deck;
- Install new pavement, curbs, driveways and sidewalks, including tie-in/meeting of existing roadway.

The RFP process will give Metro-North the ability to evaluate terms other than price alone, such as technical approach, contractor and design professional qualifications and past performance. Metro-North will work with the design-build team and develop an innovative approach to construction of this bridge which will accelerate the delivery of this critical replacement project.

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

The MTA Department of Diversity and Civil Rights (DDCR) will be consulted in order to establish DBE goals.

**IV. IMPACT ON FUNDING**

This procurement will be funded by the 2015-2019 MNR Capital Program and the City of Mt. Vernon.

**V. ALTERNATIVES**

The alternative is to use the sealed competitive bidding process. This alternative is not recommended, as it would require Metro-North to first obtain 100% designs of the work to be implemented, thereby losing the advantages of Design/Build construction and possibly causing a delay in this critical replacement project.

**LONG ISLAND RAIL ROAD**

**PROCUREMENTS**

**FOR**

**BOARD ACTION**

**December 12, 2018**

# Staff Summary



Long Island Rail Road

Subject : Request for Authorization to Award Various Procurements						Date December 12, 2018			
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	12.10.18				X	President		VP & CFO
2	MTA Board	12.12.18				X	Executive VP		VP, Gen. Counsel & Secy
							Sr. VP-Operations		
							Sr. VP-Engineering		

## 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** # of Actions \$ Amount

Schedules Requiring Two-Thirds Vote

None

**LIRR proposes to award Competitive Procurements in the following** # of Actions \$ Amount

Schedules Requiring Two-Thirds Vote

Schedule C: Competitive Requests for Proposals (Award)

	<u>1</u>	<u>\$5,449,854</u>
<b>SUBTOTAL:</b>	<u>1</u>	<u>\$5,449,854</u>

**LIRR proposes to award Ratifications in the following categories:** # of Actions \$ Amount

None

<b>TOTAL:</b>	<u><b>1</b></u>	<u><b>\$5,449,854</b></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.

**DECEMBER 2018**

**MTA LONG ISLAND RAIL ROAD**

**LIST OF COMPETITIVE PROCUREMENTS FOR BOARD APPROVAL**

*Procurements Requiring Two-Thirds Vote*

**Schedule C: Competitive Request for Proposals (Award of Purchase and Public Work Contracts)** (Staff Summaries only required for items requiring Board approval)

- |           |  |  |                                      |
|-----------|--|--|--------------------------------------|
| <b>1.</b> | <b>Ansaldo STS USA, Inc.<br/>Competitive RFP<br/>Contract No. 6288</b> | <b>\$5,152,854<br/>+ <u>297,000</u> (option)<br/>\$5,449,854</b> | <i><u>Staff Summary Attached</u></i> |
|-----------|--|--|--------------------------------------|

Long Island Rail Road (LIRR) requests MTA Board approval to award a Public Works contract to Ansaldo STS USA, Inc. in the amount of \$5,152,854 to design, furnish and deliver manufactured signal equipment for the LIRR's new Beaver Interlocking and Johnson Avenue Yard, associated with Phase I of the Jamaica Capacity Improvements (JCI) project. This contract also contains an option for hardware warranty in the additional amount of \$297,000, to be exercised at LIRR's sole discretion.

## Staff Summary



Page 1 of 2

Item Number: 1					
Dept & Dept Head Name: Procurement & Logistics, Dennis Mahon					
Department Head Signature & Date <i>[Signature]</i> 12/10/18					
Division & Division Head Name: Department of Program Management, Paul Dietlin					
Division Head Signature & Date <i>[Signature]</i> 12/10/18					
Board Reviews					
Order	To	Date	Approval	Info	Other
1	LI Committee	12/10/18			
2	MTA Board	12/12/18			
Internal Approvals					
Order	Approval	Order	Approval		
6	President <i>[Signature]</i>	3	Sr. VP/Engineering <i>[Signature]</i>		
5	Executive VP <i>[Signature]</i>	2	VP & CFO <i>[Signature]</i>		
4	Sr. VP/Operations <i>[Signature]</i>	1	VP, Gen'l Counsel & Sec'y <i>[Signature]</i>		

<b>SUMMARY INFORMATION</b>	
Vendor Name Ansaldo STS USA, Inc. (ASTS)	Contract Number 6288
Description: Jamaica Capacity Improvements Phase-I, Design, Furnish and Delivery of Wired Signal Instrument Huts and Cases for Beaver Interlocking and Johnson Yard	
Total Amount: \$5,152,854 (Base) + \$297,000 (Option) = \$5,449,854	
Contract Term (including Options, if any): 1 Year, 2 Months Base + Option TBD	
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:	

**I. PURPOSE/RECOMMENDATION**

Long Island Rail Road (LIRR) requests MTA Board approval to award a Public Works contract to Ansaldo STS USA, Inc. in the amount of \$5,152,854 to design, furnish and deliver manufactured signal equipment for the LIRR's new Beaver Interlocking and Johnson Avenue Yard, associated with Phase I of the Jamaica Capacity Improvements (JCI) project. This contract also contains an option for hardware warranty in the additional amount of \$297,000, to be exercised at LIRR's sole discretion.

**II. DISCUSSION**

Under the contract, Ansaldo STS USA, Inc. (ASTS) will progress the existing 30% design to 100% design, furnish and deliver wired signal instrument huts, battery huts, and signal cases, including the vital and non-vital software necessary for the functionality of the equipment being provided. The manufactured equipment will be utilized in both Johnson Avenue Yard (located south of the existing Jamaica Station, requiring signalization to facilitate opening day JCI Phase I Platform F operational requirements) and Beaver Interlocking (new interlocking to be installed on the Atlantic Branch east of Jamaica Station, being constructed as part of the JCI Phase I project to facilitate universal Jamaica Station-track access).

The MTA Board granted approval to issue the Request for Proposal (RFP) method to solicit qualified firms that are capable of designing, furnishing and delivering the signal huts at its September 2017 meeting. On June 21, 2018, LIRR publicly advertised the RFP for this project in the New York State Contract Reporter, New York Post, and on the MTA website.

A single proposal was received, from ASTS. Other prospective proposers who initially had expressed interest advised thereafter that they had workload issues; did not believe they could meet the technical requirements; or preferred to serve in a subcontracting capacity. LIRR conducted a technical evaluation of the proposal

## Staff Summary



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submitted by ASTS. It was determined that ASTS demonstrated an acceptable approach to the work, utilized effective means and methods, and met the RFP's experience requirements. Therefore, LIRR entered into negotiations with ASTS, addressing various cost-savings initiatives and scope clarifications. As a result, ASTS's best and final offer reduced the proposed price by \$592,146.00 (10.3%), resulting in a final negotiated price of \$5,152,854 for the Base work and \$297,000 for an additional option for hardware warranty. ASTS's final price was reviewed by DPM Estimating and was compared to past competitively bid pricing for similar work and deemed acceptable.

In connection with a previous contract awarded to Ansaldo, Ansaldo<sup>1</sup> was found to be responsible notwithstanding significant adverse information (SAI) pursuant to the All-Agency Responsibility Guidelines and such responsibility finding was approved by the MTA Managing Director in consultation with the MTA General Counsel in November 2017. No new SAI has been found relating to Ansaldo and Ansaldo has been found to be responsible.

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

The MTA Department of Diversity and Civil Rights (DDCR) has established a 20% DBE goal for this project. Ansaldo STS, USA Inc. has submitted a plan that could meet the goal. The approval of the plan is subject to review and approval by DDCR. Ansaldo has achieved its previous MWDBE goals on previous MTA contracts.

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

Funding for this project is included in the LIRR's 2010-2014 Capital Program Budget.

### **V. ALTERNATIVES**

There are no alternatives, since LIRR does not have the ability to undertake the design and fabrication of these customized signal huts with in-house forces.

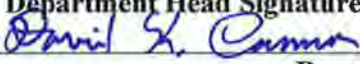
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<sup>1</sup> The SAI relates to conduct of the ultimate parent, Hitachi Ltd., and not directly to Ansaldo nor its immediate parent, Ansaldo STS, Spa.

**PROCUREMENT PACKAGE**  
**December 2018**

### PROCUREMENTS

The Procurement Agenda this month includes three actions for a proposed expenditure of \$3,477,717

<b>Subject</b>	Request for Authorization to Award Various Procurements				
<b>Department</b>	Procurement				
<b>Department Head Name</b> David K. Cannon					
<b>Department Head Signature</b> 					
<b>Board Action</b>					
<b>Order</b>	<b>To</b>	<b>Date</b>	<b>Approval</b>	<b>Info</b>	<b>Other</b>
1	MNR and LIRR Joint Committee	12/10/18	X		
2	Board	12/12/18	X		

<b>Date:</b> December 5, 2018			
<b>Vendor Name</b> Tutor Perini Corporation			
<b>Contract Number</b> Various			
<b>Contract Manager Name</b> Various			
<b>Internal Approvals</b>			
	<b>Approval</b>		<b>Approval</b>
2	Executive Vice President & General Counsel 	3	President 
1	Vice President & Chief Financial Officer 		

**PURPOSE**

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

**DISCUSSION**

MTA Capital Construction proposes to award Competitive Procurements in the following category:

	<u># of Actions</u>	<u>\$ Amount</u>
<u>Schedules Requiring Majority Vote</u>		
Schedule I Modifications to Purchase and Public Work Contracts	3	\$ 3,477,717
<b>TOTAL</b>	<b>3</b>	<b>\$ 3,477,717</b>

**Budget Impact:**

The approval of the modifications will obligate MTA Capital Construction capital funds in the amounts listed. Funds are available in the capital budget for this purpose.

**Recommendation:**

That the modifications be approved as proposed. (The items are included in the resolution of approval at the beginning of the Procurement Section.)

**MTA Capital Construction Company**

**BOARD RESOLUTION**

**WHEREAS**, in accordance with Section 1265-a and 1209 of the Public Authorities Law and the All Agency Procurement guidelines, the Board authorizes the award of certain non-competitive purchase and public works 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 service and miscellaneous procurement contracts, certain change orders to purchase, public work, and miscellaneous service and miscellaneous procurement contracts;

**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 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 authorization to solicit proposals is requested, for the reasons specified therein, the Board declares competitive bidding to be impractical or inappropriate, declares it is in the public interest to solicit competitive request for proposals and authorizes the solicitation of such proposals.
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. As to each action set forth in Schedule D, the Board declares competitive bidding impractical or inappropriate for the reasons specified therein, and ratifies each action 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; 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.
7. The Board authorizes the budget adjustments to estimated contracts set forth in Schedule L.

December 2018

**LIST OF COMPETITIVE PROCUREMENTS FOR BOARD APPROVAL**

**Procurements Requiring Two-Thirds Vote:**

**Schedule I. Modification To Purchase and Public Work Contracts**

(Staff Summaries required for individual change orders greater than \$750K. Approval without Staff Summary required for change orders greater than 15% of the adjusted contract amount which are also at least \$250K)

<b>Tutor Perini Corporation</b>		<b><u>Staff Summary Attached</u></b>
1. <b>Contract No. CS179 Modification No. 158</b>	<b>\$ 952,717</b>	↓
2. <b>Contract No. CS179 Modification No. 159</b>	<b>\$ 975,000</b>	↓

In accordance with Article VIII of the All Agency General Contract Procurement Guidelines, MTACC requests that the Board approve changes to the design of the Tunnel Ventilation Control System (TVCS).

3. <b>Tutor Perini Corporation</b>	<b>\$ 1,550,000</b>	<b><u>Staff Summary Attached</u></b>
<b>Contract No. CQ033</b>		
<b>Modification No. 29</b>		

In accordance with Article VIII of the All Agency General Contract Procurement Guidelines, MTACC requests that the Board approve a Modification which will allow for access to the Arch Street Yard and Shop while the Work of this contract proceeds, by accelerating and resequencing select portions of trackwork and by installing, new traction power jumpers and ductbanks.

Item Numbers 1 and 2

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<b>Vendor Name (&amp; Location)</b> Tutor Perini Corporation (Peekskill, New York)		<b>Contract Number</b> CS179	<b>AWO/Modification</b> 158 & 159
<b>Description</b> Systems Facilities Package No. 1			
<b>Contract Term (including Options, if any)</b> 75 Months		<b>Original Amount:</b>	\$ 333,588,000
		<b>Prior Modifications:</b>	\$ 25,975,157
		<b>Exercised Options:</b>	\$ 216,800,001
<b>Option(s) included in Total Amount?</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A		<b>Current Amount:</b>	\$ 576,363,158
<b>Procurement Type</b> <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive			
<b>Solicitation Type</b> <input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input checked="" type="checkbox"/> Other: Modification			
<b>Funding Source</b> <input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other:			
<b>Requesting Dept/Div &amp; Dept/Div Head Name:</b> East Side Access, Rob Troup		<b>This Request</b>	\$ 1,927,717
		<b>% of This Request to Current Amount:</b>	0.3%
		<b>% of Modifications (including This Request) to Original Amount:</b>	8.4%

**Discussion:**

This Contract provides the systems for the East Side Access (“ESA”) project, including the fire detection, tunnel ventilation, facility power, signal power, tunnel lighting and SCADA systems. In accordance with Article VIII of the All-Agency General Contract Procurement Guidelines, MTACC requests that the Board approve the following changes to the design of the Tunnel Ventilation Control System (TVCS).

As part of the operations of the ESA project, LIRR requires the ability to receive and display the status of facility power substation breakers so that LIRR operations personnel at Grand Central Terminal (GCT) can monitor the status of facility power on a real-time basis. The transmission of the real-time statuses of the facility power substation (FPSS) circuit breakers to the ESA Control System is a critical requirement to ensuring the correct and safe operation of the tunnel fans. In 2008, a technical working group, including participants from LIRR, the Project Management Team and the General Engineering Consultant (GEC) determined that the ESA Control System at GCT, which will be used by LIRR to monitor facility power electrification, should receive indications regarding the status of facility power substation breakers directly from the breakers, and not to have the information regarding the status of the breakers passed on to the ESA Control System from an intermediate network, to address concerns concerning the security of access to this information.

However, when the CS179 Contract was awarded in April 2014, its specifications provided that the circuit breaker indications were to be passed on to the ESA Control System over a network interface from the ESA Power SCADA Network, rather than received directly to the ESA Control System from the breakers. Subsequently, in a January 2016 Concurrence, signed by representatives of the LIRR and MTACC, it was agreed that the specifications should be revised so that the ESA Control System can receive these indications directly from the breakers as originally determined in 2008. The design provided in proposed Modifications 158 and 159 provides for the necessary changes to conform to this requirement.

In addition, Modifications 158 and 159 will add additional input/output (I/O) points to the Tunnel Ventilation Control System field controllers at various facilities to meet Contract requirements for monitoring fan temperature, fan circuit conditions, and vibrational shock. These inputs were omitted from the Contract Drawings, which appears to be an omission by the GEC. The work includes both software changes and the addition of cable and conduit at various ESA facilities.

The Work added under modification 158 is for the programming and testing required to implement the aforementioned changes. This includes reconfiguring the ESA Control System headend and Tunnel Ventilation Control System field controllers, additional local testing, updating test documents, updating workstation displays, and procuring and installing additional I/O modules in the Tunnel Ventilation Control Panels. The Work added under modification 159 is for the procurement, installation, and testing of all additional cable, conduit, and miscellaneous hardware required to provide connectivity from the Tunnel Ventilation Control Panels to the FPSS circuit breakers and TVCS Instrument Panels. The added Work was separated into two Modifications to permit, if possible, earlier commencement of the programming and software configuration.

These modifications appear to be the result of design errors or omissions on the part of the GEC and have been referred to the Project's Cost Recovery Panel as such.

#### Modification 158

The Contractor's proposal for the modification 158 work was in the amount of \$1,859,478. MTACC's estimate was in the amount of \$866,750. Negotiations were held and the parties agreed to a cost of \$952,717 for the direct costs of the work (inclusive of contract stipulated markups) which is deemed to be fair and reasonable. The Contractor has also asserted a claim for time impacts and has sought \$188,251 in overhead costs in excess of the negotiated direct costs. MTACC has not agreed to pay any compensation in connection with these claims. In order to advance the Work without delay, MTACC seeks approval to issue this Modification to provide for the payment of the negotiated direct costs and to address time impacts and additional overhead separately, without prejudice to MTACC's defenses to such claims.

#### Modification 159

The Contractor's proposal for the modification 159 work was in the amount of \$1,281,421. MTACC's estimate was in the amount of \$866,750. Negotiations were held and the parties agreed to \$975,000 for the direct costs of the work (inclusive of contract stipulated markups) which is deemed to be fair and reasonable. The Contractor has also asserted a claim for time impacts and has sought \$120,144 in overhead costs in excess of the negotiated direct costs. MTACC has not agreed to pay any compensation in connection with these claims. In order to advance the Work without delay, MTACC seeks approval to issue this Modification to provide for the payment of the negotiated direct costs, and to address time impacts and additional overhead separately, without prejudice to MTACC's defenses to such claims.

In connection with previous contracts awarded, the Tutor Perini Corporation was found to be responsible, notwithstanding significant adverse information ("SAI") pursuant to the All-Agency Responsibility Guidelines, and such responsibility findings were approved by the MTA Chairman/CEO in consultation with the MTA General Counsel in February 2017. No new significant adverse information has been found relating to Tutor Perini Corporation. Therefore, Tutor Perini Corporation has been determined to be responsible.

# Schedule I Modifications to Purchase and Public Work Contracts

Item Number 3

<b>Vendor Name (&amp; Location)</b> Tutor Perini Corporation	
<b>Description</b> Mid-Day Storage Yard for the East Side Access Project	
<b>Contract Term (including Options, if any)</b> 1,217 Days	
<b>Option(s) included in Total Amount?</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
<b>Procurement Type</b> <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive	
<b>Solicitation Type</b> <input type="checkbox"/> RFP <input checked="" type="checkbox"/> Bid <input checked="" type="checkbox"/> Other: Modification	
<b>Funding Source</b> <input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other:	
<b>Requesting Dept/Div &amp; Dept/Div Head Name:</b> East Side Access, Rob Troup	

Contract Number	AWO/Modification #
CQ033	29
<b>Original Amount:</b>	
	\$ 291,503,430
<b>Prior Modifications:</b>	
	\$ 18,676,647
<b>Options:</b>	
	\$ 1,873,570
<b>Current Amount:</b>	
	\$ 310,180,077
<b>This Request</b>	
	\$ 1,550,000
<b>% of This Request to Current Amount:</b>	
	0.5%
<b>% of Modifications (including This Request) to Original Amount:</b>	
	5.8 %

## Discussion:

This Contract is for the demolition and removal of the existing catenary structures, railroad buildings and Montauk Cutoff Bridge and Ramp and the construction of the Mid-Day Storage Yard ("MDSY") in the Harold Interlocking. In accordance with Article VIII of the All Agency General Contract Procurement Guidelines, MTACC requests that the Board approve a Modification which will allow for access to the Arch Street Yard and Shop while the Work of this Contract proceeds, by accelerating and resequencing select portions of trackwork and by installing new traction power jumpers and ductbanks.

The CQ033 Contract requires that access to the Arch Street Yard and Shop be maintained throughout the duration of the Work. The Contract requires that the track currently used for access be demolished after an alternate route is installed. However, the alternate route contemplated by the Contract cannot be installed as specified because Amtrak forces are not available to relocate catenary wires in the path of the specified alternate route.

This modification involves creating an alternative access route to Arch Street by resequencing the installation of track. Track that was not to be built until later in the Contract, the installation of which does not require the relocation of catenary wires by Amtrak forces, will be built now in order to provide access to Arch Street while the current track is demolished. The track that was originally intended to be constructed to provide access to Arch Street will then be installed later in the Contract.

If this plan is not implemented, then the CQ033 Substantial Completion date may be delayed by up to 12 months and the Project may incur the associated impact costs. In contrast, an ESA schedule analysis shows that the projected August 2021 Substantial Completion date can be reduced to January 2020 or earlier by implementing this mitigation plan.

In connection with this Modification, the Contractor submitted a cost proposal of \$1,868,145 while the MTACC project estimate was \$1,666,990. After negotiations, both parties agreed to a cost of \$1,550,000, which is considered fair and reasonable. The work is not expected to cause any delay to Substantial Completion of CQ033.

In connection with previous contracts awarded, the Tutor Perini Corporation was found to be responsible, notwithstanding significant adverse information ("SAI") pursuant to the All-Agency Responsibility Guidelines, and such responsibility findings were approved by the MTA Chairman/CEO in consultation with the MTA General Counsel in February 2017. No new significant adverse information has been found relating to Tutor Perini Corporation. Therefore, Tutor Perini Corporation has been determined to be responsible.

# Operations Report

**John Kesich**

Senior Vice President, Operations



M7 EMU



M8 EMU



Comet 5 Cab Car

## **November 2018 Highlights: Operations Report**

November service delivery operated below goal at 83.3%. YTD OTP is below goal at 89.9% against a goal of 93%. During the first half of November 6-10" delays increased due to the peak of slippery rail conditions coupled with Winter Storm Avery that struck on the 15<sup>th</sup>; OTP for this period was 79%. As conditions improved, OTP for the second half of the month operated at 89%.

Service delivery continued to be challenged by infrastructure work across all three lines resulting in reduced track capacity. On-going Track work across all three lines includes Sperry UT Rail Inspections, Track Geometry Inspections, Welding of Rail Joints, remediation of track defects, track surfacing and bridge repairs.

### **Hudson Line – 83.1%      89.7% YTD**

94.6% of trains arrived within 10" of schedule in Nov with 6 (0.1%) cancelled or terminated

### **Harlem Line – 83.9%      91.7% YTD**

92.7% of trains arrived within 10" of schedule in Nov with 12 (0.2%) cancelled or terminated

### **New Haven Line – 82.9%      88.6% YTD**

92.8% of trains arrived within 10" of schedule in Nov with 33 (0.4%) cancelled or terminated

In November 10% of trains arrived 6-10" late with 51 (0.3%) cancelled or terminated.  
Overall, 93.3% of trains arrived within 10" of schedule.

**Consist Compliance:** 97.2% overall with 94.5% during Peak. 98.5% YTD

We have a reduced number of cars available due to on-going PTC Installations that will continue thru December. We also have additional M3/M8 cars out of service to correct wheels damaged during slippery rails conditions. This work will be completed in December as we retire the last 20 old M2 cars from service.

Harmon Shop releases provide the Hudson Line the ability to generate replacement cars to meet the requirement. Due to the lack of spare cars the Harlem Line has difficulty recovering from cars becoming unavailable for service later in the day for the following morning. We are working with LIRR to procure new M9A cars in the next Capital Program to provide additional capacity and replace M3s.

Due to significant ridership increases on the New Haven we have the minimum number cars to support the daily requirement. The additional 66 new M8 cars will start to be available for service late next year with delivery completion in the summer of 2020.

**West of Hudson Service** operated below goal at 84.2% due Weather, Slippery Rail conditions and equipment failures. Overall YTD is **90.8%**

**Pascack Valley – 87.4%**      **94.0% YTD**

**Port Jervis – 79.8%**      **86.2% YTD**

### **Cancelled Trains**

**12** (0.7%) PVL: 9, PJL: 3

4 trains (33%) were cancelled due to lack of Crews; 2 PVL, 2 PJL.

5 trains (33%) were cancelled due to NJT equipment failures

3 trains (33%) were cancelled due to Grade Crossing accidents

### **Equipment Performance**

Fleet Availability was under target due to ongoing PTC Installations and wheels damaged due to slippery rail conditions with a consist compliance of 97.2%

Fleet MDBF in October operated below goal at 144,144 with YTD at 142,944.

We are experiencing increased failures due to implementation of new PTC equipment.

Excluding PTC System failures adjusted MDBF for October is 183,102 adjusted YTD is 197,460.

M7/M8 fleets experienced a higher number of failures and Maintenance of Equipment is evaluating as to cause.

Genesis locomotives operated 37% below goal thru October. The 31 locomotives are at the end of their useful life and we are proceeding with a RFP for their replacement.

**John Kesich**

Senior Vice President

Operations

Performance Summary			2018 Data			2017 Data	
			Annual Goal	November	YTD thru November	November	YTD thru November
<b>On Time Performance</b> <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i>	<b>System</b>	<b>Overall</b>	<b>93.0%</b>	<b>83.3%</b>	<b>89.9%</b>	<b>91.8%</b>	<b>93.7%</b>
		AM Peak	93.0%	71.9%	87.3%	87.0%	93.4%
		AM Reverse Peak	93.0%	85.3%	93.0%	91.0%	95.2%
		PM Peak	93.0%	80.2%	89.5%	94.8%	94.9%
		<b>Total Peak</b>	<b>93.0%</b>	<b>77.3%</b>	<b>89.1%</b>	<b>90.8%</b>	<b>94.3%</b>
		Off Peak Weekday	93.0%	82.9%	88.1%	90.7%	92.0%
		Weekend	93.0%	92.6%	94.5%	95.0%	95.9%
	<b>Hudson Line</b>	<b>Overall</b>	<b>93.0%</b>	<b>83.1%</b>	<b>89.7%</b>	<b>92.2%</b>	<b>93.8%</b>
		AM Peak	93.0%	72.3%	85.9%	86.2%	93.3%
		AM Reverse Peak	93.0%	90.0%	95.2%	92.7%	96.9%
		PM Peak	93.0%	84.1%	92.0%	94.4%	96.4%
		<b>Total Peak</b>	<b>93.0%</b>	<b>79.4%</b>	<b>89.6%</b>	<b>90.4%</b>	<b>95.0%</b>
		Off Peak Weekday	93.0%	82.5%	87.2%	91.2%	91.6%
		Weekend	93.0%	89.3%	94.1%	96.2%	95.7%
	<b>Harlem Line</b>	<b>Overall</b>	<b>93.0%</b>	<b>83.9%</b>	<b>91.7%</b>	<b>91.7%</b>	<b>95.3%</b>
		AM Peak	93.0%	69.3%	88.9%	87.5%	95.1%
		AM Reverse Peak	93.0%	77.6%	92.2%	90.8%	96.6%
		PM Peak	93.0%	80.8%	89.0%	95.4%	95.5%
		<b>Total Peak</b>	<b>93.0%</b>	<b>75.3%</b>	<b>89.5%</b>	<b>91.2%</b>	<b>95.5%</b>
		Off Peak Weekday	93.0%	85.8%	91.9%	90.1%	94.3%
		Weekend	93.0%	94.5%	95.4%	95.1%	97.0%
	<b>New Haven Line</b>	<b>Overall</b>	<b>93.0%</b>	<b>82.9%</b>	<b>88.6%</b>	<b>91.6%</b>	<b>92.4%</b>
		AM Peak	93.0%	73.8%	87.0%	87.2%	92.2%
		AM Reverse Peak	93.0%	89.8%	92.6%	90.2%	93.1%
		PM Peak	93.0%	77.3%	88.2%	94.6%	93.4%
		<b>Total Peak</b>	<b>93.0%</b>	<b>77.6%</b>	<b>88.4%</b>	<b>90.6%</b>	<b>92.8%</b>
		Off Peak Weekday	93.0%	81.1%	85.8%	90.8%	90.5%
		Weekend	93.0%	93.1%	94.2%	94.1%	95.3%
<b>Operating Statistics</b>							
<b>Trains Scheduled</b>			<b>18,800</b>	<b>210,814</b>		<b>18,817</b>	<b>211,650</b>
<b>Avg. Delay per Late Train (min)</b> <i>excluding trains cancelled or terminated</i>				12.2	12.6	11.0	12.2
<b>Trains Over 15 min. Late</b> <i>excluding trains cancelled or terminated</i>			2,300	631	4,103	263	2,431
<b>Trains Canceled</b>			230	21	591	11	252
<b>Trains Terminated</b>			230	30	367	21	253
<b>Percent of Scheduled Trips Completed</b>			99.8%	99.7%	99.5%	99.8%	99.8%
<b>Consist Compliance</b> <i>(Percent of trains where the number of seats provided was greater than or equal to the required number of seats per loading standards)</i>	<b>System</b>	<b>Overall</b>	<b>99.0%</b>	<b>97.2%</b>	<b>98.5%</b>	<b>98.4%</b>	<b>99.1%</b>
		AM Peak	98.0%	92.9%	96.5%	96.0%	98.1%
		AM Reverse Peak	99.5%	99.9%	99.9%	99.3%	99.8%
		PM Peak	98.0%	92.9%	96.5%	96.1%	98.1%
		<b>Total Peak</b>	<b>98.0%</b>	<b>94.5%</b>	<b>97.3%</b>	<b>96.5%</b>	<b>98.1%</b>
		Off Peak Weekday	99.5%	99.1%	99.4%	99.0%	99.5%
		Weekend	99.5%	99.2%	99.5%	99.8%	99.8%
	<b>Hudson Line</b>	AM Peak	99.5%	99.6%	99.5%	99.2%	99.8%
		PM Peak	99.5%	99.3%	99.0%	99.8%	99.9%
	<b>Harlem Line</b>	AM Peak	98.5%	93.9%	96.1%	96.4%	98.3%
		PM Peak	98.5%	94.5%	97.1%	98.3%	98.6%
	<b>New Haven Line</b>	AM Peak	97.5%	87.2%	94.7%	93.6%	96.8%
		PM Peak	97.5%	87.1%	94.3%	91.8%	96.4%

**SYSTEM Category of Delay**

Delay Minutes / Delay Threshold	% Total	October	2018 Data November YTD thru November	2017 Data November YTD thru November	YTD 2018 Vs 2017
Engineering (Scheduled)	4.9%	281	311 5,819	558 5,164	654
Engineering (Unscheduled)	17.1%	917	1,079 11,449	836 6,696	4,753
Maintenance of Equipment	16.1%	616	1,012 6,939	444 3,923	3,016
Transportation	1.3%	214	80 1,186	91 1,001	185
Capital Projects	8.5%	463	536 2,484	1 9	2,475
Weather and Environmental	39.6%	746	2,495 8,172	382 2,685	5,486
Police	7.5%	221	471 2,669	268 2,738	-69
Customers	1.7%	269	106 1,627	144 1,024	603
Other	3.1%	125	193 2,292	66 2,692	-400
3rd Party Operations	0.2%	10	13 184	8 40	145
<b>TOTAL</b>	<b>100.0%</b>	<b>3,861</b>	<b>6,296 42,818</b>	<b>2,796 25,970</b>	<b>16,848</b>

HUDSON LINE	% Total	October	November YTD thru November	November YTD thru November	YTD 2018 Vs 2017
Engineering (Scheduled)	12.0%	74	168 1,657	194 1,800	-143
Engineering (Unscheduled)	14.8%	136	207 2,819	143 1,264	1,555
Maintenance of Equipment	19.9%	111	278 1,811	111 951	860
Transportation	1.9%	53	26 306	28 195	111
Capital Projects	13.7%	95	192 998	0 0	998
Weather and Environmental	23.8%	19	333 1,212	68 546	666
Police	7.4%	24	103 396	36 595	-199
Customers	1.6%	61	23 572	18 363	209
Other	4.6%	32	65 379	11 312	67
3rd Party Operations	0.2%	5	3 55	2 13	42
<b>TOTAL</b>	<b>100.0%</b>	<b>610</b>	<b>1,398 10,205</b>	<b>611 6,039</b>	<b>4,166</b>

HARLEM LINE	% Total	October	November YTD thru November	November YTD thru November	YTD 2018 Vs 2017
Engineering (Scheduled)	2.4%	58	51 937	184 989	-52
Engineering (Unscheduled)	13.0%	289	280 3,307	182 1,529	1,778
Maintenance of Equipment	15.2%	161	327 1,702	82 900	802
Transportation	1.3%	64	27 326	25 252	74
Capital Projects	3.2%	66	68 279	0 0	279
Weather and Environmental	53.5%	623	1,154 3,467	226 1,245	2,222
Police	7.6%	82	164 754	87 808	-54
Customers	1.7%	98	36 428	65 229	199
Other	2.2%	36	48 564	6 378	186
3rd Party Operations	0.0%	0	0 19	0 0	19
<b>TOTAL</b>	<b>100.0%</b>	<b>1,477</b>	<b>2,155 11,783</b>	<b>857 6,330</b>	<b>5,453</b>

NEW HAVEN LINE	% Total	October	November YTD thru November	November YTD thru November	YTD 2018 Vs 2017
Engineering (Scheduled)	3.4%	149	92 3,224	180 2,375	849
Engineering (Unscheduled)	21.6%	492	592 5,327	510 3,904	1,423
Maintenance of Equipment	14.8%	344	407 3,425	251 2,072	1,353
Transportation	1.0%	96	27 553	38 554	-1
Capital Projects	10.1%	302	276 1,206	1 9	1,197
Weather and Environmental	36.7%	104	1,008 3,492	88 894	2,598
Police	7.4%	115	204 1,518	144 1,334	184
Customers	1.7%	110	47 626	61 432	194
Other	2.9%	56	80 1,349	49 2,002	-653
3rd Party Operations	0.4%	5	10 106	6 26	80
<b>TOTAL</b>	<b>100.0%</b>	<b>1,773</b>	<b>2,743 20,826</b>	<b>1,328 13,602</b>	<b>7,224</b>



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

Date	Day	DESCRIPTION OF EVENT	Number of Late Trains												TOTAL		
			AM Peak			AM Reverse			PM Peak			Off Peak			Late Cxld Term		
			L	C	T	L	C	T	L	C	T	L	C	T			
11/01	Thu	Signal power loss from CP215 to CP274.	11	0	0	0	0	0	0	0	0	2	0	0	13	0	0
11/02	Fri	Slippery rail conditions on all 3 lines.	2	0	0	3	0	0	3	0	1	2	0	0	10	0	1
11/02	Fri	Delays on all 3 lines due to inclement weather conditions.	29	0	0	10	0	0	35	0	0	47	0	0	121	0	0
11/05	Mon	Track circuit down at CP119 on Track 1.	6	0	0	7	0	0	0	0	0	0	0	0	13	0	0
11/05	Mon	A motor vehicle was on Tracks 1 and 2 at Cleveland Avenue in Valhalla.	0	0	0	0	0	0	4	0	1	7	1	0	11	1	1
11/05	Mon	Train 920 stopped on TK2 north of CP109 due to Loco 202 air compressor failure.	27	0	1	1	0	0	0	0	0	2	0	0	30	0	1
11/05	Mon	Slippery rail conditions on all 3 lines.	27	0	0	11	0	0	42	0	0	112	0	0	192	0	0
11/05	Mon	Delays on all 3 lines due to inclement weather conditions.	59	0	0	24	0	0	0	0	0	15	0	0	98	0	0
11/06	Tue	Delays on the Harlem line due to inclement weather conditions.	17	0	0	1	0	0	0	0	0	1	0	0	19	0	0
11/06	Tue	Slippery rail conditions on all 3 lines.	0	0	0	0	0	0	12	0	0	21	0	0	33	0	0
11/07	Wed	Intermittent loss of signal power on the New Haven line between CP212 and CP274.	0	0	0	0	0	0	2	0	0	17	0	0	19	0	0
11/07	Wed	Delays on the Harlem line due to inclement weather conditions.	14	0	0	1	0	0	0	0	0	2	0	0	17	0	0
11/08	Thu	Delays on all 3 lines due to inclement weather conditions.	27	0	0	4	0	0	0	0	0	2	0	0	33	0	0
11/09	Fri	Delays on all 3 lines due to inclement weather conditions.	4	0	0	0	0	0	75	0	0	149	0	0	228	0	0
11/12	Mon	Slippery rail conditions on all 3 lines.	23	0	1	9	0	0	0	0	0	6	0	0	38	0	1

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

DateDayDESCRIPTION OF EVENT			Number of Late Trains														
			AM Peak			AM Reverse			PM Peak			Off Peak			TOTAL		
			L	C	T	L	C	T	L	C	T	L	C	T	Late	Cxld	Term
11/12	Mon	Trespasser along tracks in GCT. Arrested by MTAPD.	0	0	0	0	0	0	21	0	1	14	1	0	35	1	1
11/12	Mon	Delays on all 3 lines due to inclement weather conditions.	33	0	0	10	0	0	0	0	0	23	0	0	66	0	0
11/12	Mon	Unable to close Cos Cob bridge after a scheduled opening.	0	0	0	0	0	0	2	0	0	16	0	0	18	0	0
11/12	Mon	Train 614 had air blowing from equipment south of CP 153 on Track 2.	8	0	0	0	0	0	1	0	0	3	0	0	12	0	0
11/13	Tue	Delays on Harlem and New Haven lines due to inclement weather conditions.	15	0	0	2	0	0	0	0	0	9	0	0	26	0	0
11/14	Wed	Transformer Fire on Track 1 at Catenary 867 in Devon.	0	0	0	0	0	0	13	2	0	10	2	6	23	4	6
11/14	Wed	The 21B Switch flashed out of correspondence at CP121.	19	0	0	4	0	0	0	0	0	1	0	0	24	0	0
11/14	Wed	Flat spots being inspected on various trains in the vicinity of 125th Street Station.	9	0	0	2	0	0	8	0	0	3	0	0	22	0	0
11/15	Thu	Train 816 had coach door problems on Track 2 at New Hamburg Station.	15	0	0	2	0	0	0	0	0	0	0	0	17	0	0
11/15	Thu	Train 878, loco 204 was unable to take power on Track 1 at Croton-Harmon Station.	0	0	0	0	0	0	7	0	0	6	0	0	13	0	0
11/15	Thu	Column struck at 129th Street under the Park Avenue Viaduct, reduced speed in effect for all trains between CP4 and 125th Street Station.	22	0	0	1	0	0	0	0	0	0	0	0	23	0	0
11/15	Thu	Delays due to inclement weather.	0	0	0	0	0	0	94	0	0	118	1	0	212	1	0
11/16	Fri	Slippery rail conditions on all 3 lines.	2	0	0	1	0	0	4	0	0	15	0	0	22	0	0
11/16	Fri	Third Rail bracket failure on Track 1 at White Plains Station.	22	0	0	8	0	0	0	0	0	0	0	0	30	0	0
11/16	Fri	Delays due to CSX Q704 had an undesired emergency brake application on Track 2 at MP69.3.	12	0	0	2	0	0	0	0	0	0	0	0	14	0	0
11/16	Fri	A vehicle struck the overpass at Purchase St.	7	0	0	0	0	0	0	0	0	3	0	0	10	0	0

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

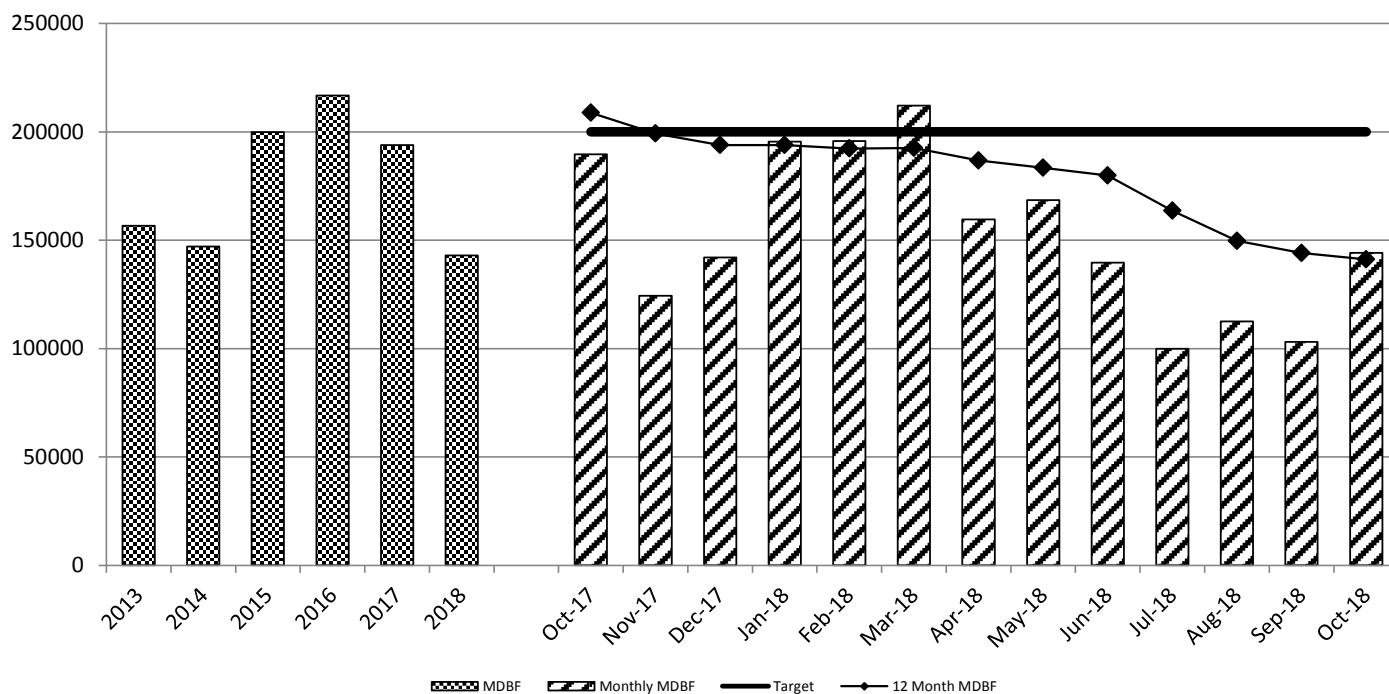
DateDayDESCRIPTION OF EVENT			Number of Late Trains														
			AM Peak			AM Reverse			PM Peak			Off Peak			TOTAL		
			L	C	T	L	C	T	L	C	T	L	C	T	Late	Cxld	Term
11/19	Mon	Train 1510 experienced cab signal failure.	8	0	0	5	0	0	8	0	1	5	0	0	26	0	1
11/19	Mon	Four track outage between CP257 and CP266 account replacement of Catenary Breaker inside CP261.	25	0	0	0	0	0	1	0	0	7	0	0	33	0	0
11/20	Tue	The M4C Track Circuit was down at CP5.	0	0	0	0	0	0	9	0	0	17	0	0	26	0	0
11/21	Wed	Slippery rail conditions due to inclement weather.	0	0	0	0	0	0	17	0	0	21	0	0	38	0	0
11/21	Wed	Train 1710 was unable to obtain brake release on Track 3 south of 125th Street Station.	68	1	0	13	0	0	0	0	0	4	0	0	85	1	0
11/26	Mon	Train 916 lost air in consist on Track 2 at Pleasantville Station.	15	0	0	6	0	0	0	0	0	3	0	0	24	0	0
11/26	Mon	Police requested on Train 1406 at 125th Street Station on Track 3 due to non-payment of fare.	9	0	0	6	0	0	0	0	0	8	0	0	23	0	0
11/26	Mon	Stop and Warn on the New Canaan Branch at Camp Avenue and Hoyt Street crossing due to Stop Light defect.	2	0	0	1	0	0	1	0	0	14	0	1	18	0	1
11/26	Mon	Slippery rail conditions on all 3 lines.	5	0	0	1	0	0	23	0	0	25	0	0	54	0	0
11/27	Tue	Deadhead train 1024 had continuous alerter in Head Car on Track 4 west of CP215.	13	0	0	1	0	0	3	0	0	1	0	0	18	0	0
11/27	Tue	Track circuits were down on the Lower Level of GCT.	11	0	0	0	0	0	0	0	0	1	0	0	12	0	0
11/30	Fri	Slippery rail conditions on all 3 lines.	7	0	0	2	0	0	21	0	0	17	0	0	47	0	0
TOTAL FOR MONTH			573	1	2	138	0	0	406	2	4	729	5	7	1846	8	13
															1867		

	Equip- ment Type	Total Fleet Size	2018 Data						2017 Data		
			MDBF Goal (miles)	Oct MDBF (miles)	Primary Failure Goal	Oct No. of Primary Failures	YTD MDBF thru Oct (miles)	12 month MDBF Rolling Avg (miles)	Oct MDBF (miles)	Oct No. of Primary Failures	YTD MDBF thru Oct (miles)
<b>Mean Distance Between Failures</b>	M2	28	20,000	51,404	2	1	62,707	48,225	40,126	2	30,121
	M8	405	350,000	162,918	7	16	207,740	200,784	523,695	5	359,830
	M3	138	120,000	40,098	3	8	75,097	68,065	325,065	0	124,100
	M7	334	440,000	228,697	4	9	312,031	281,473	230,282	9	342,515
	Coach	209	260,000	375,431	6	4	161,466	174,259	186,131	8	345,015
	P-32	31	27,000	22,117	7	9	17,091	18,311	16,083	12	25,120
	BL-20	12	13,000	36,833	3	0	18,179	17,536	46,583	0	31,502
	<b>Fleet</b>	<b>1157</b>	<b>200,000</b>	<b>144,144</b>	<b>32</b>	<b>47</b>	<b>142,944</b>	<b>141,127</b>	<b>189,582</b>	<b>36</b>	<b>213,193</b>
	M2/8		260,000	156,359	9	17	193,773	182,941	385,533	7	276,535
	M3/7		300,000	139,945	7	17	225,233	203,436	266,401	9	273,136
	Diesel/Coach		110,000	133,662	16	13	75,206	79,865	86,431	20	128,364

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 2013 - 2018



**West of Hudson  
Performance Summary**

			2018 Data			2017 Data	
			Annual Goal	November	YTD thru November	November	YTD thru November
<b>On Time Performance</b> <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i>	<b>West of Hudson Total</b>	<b>Overall</b>	<b>95.5%</b>	<b>84.2%</b>	<b>90.8%</b>	<b>91.4%</b>	<b>94.3%</b>
		AM Peak	95.5%	79.2%	90.5%	92.5%	93.4%
		PM Peak	95.5%	87.5%	91.5%	89.3%	94.1%
		<b>Total Peak</b>	<b>95.5%</b>	<b>83.3%</b>	<b>91.0%</b>	<b>91.0%</b>	<b>93.7%</b>
		Off Peak Weekday	95.5%	83.9%	90.1%	90.6%	94.7%
		Weekend	95.5%	86.1%	91.8%	94.0%	94.2%
	<b>Pascack Valley Line</b>	<b>Overall</b>	<b>96.5%</b>	<b>87.4%</b>	<b>94.0%</b>	<b>93.6%</b>	<b>95.9%</b>
		AM Peak	96.5%	83.8%	93.8%	92.9%	95.6%
		PM Peak	96.5%	90.5%	95.4%	89.1%	95.5%
		<b>Total Peak</b>	<b>96.5%</b>	<b>87.1%</b>	<b>94.6%</b>	<b>91.1%</b>	<b>95.6%</b>
		Off Peak Weekday	96.5%	86.6%	93.6%	94.6%	96.2%
		Weekend	96.5%	89.3%	94.1%	95.0%	95.8%
	<b>Port Jervis Line</b>	<b>Overall</b>	<b>95.0%</b>	<b>79.8%</b>	<b>86.2%</b>	<b>88.5%</b>	<b>92.0%</b>
		AM Peak	95.0%	73.8%	86.4%	92.1%	90.5%
		PM Peak	95.0%	84.0%	86.8%	89.6%	92.4%
		<b>Total Peak</b>	<b>95.0%</b>	<b>78.9%</b>	<b>86.6%</b>	<b>90.8%</b>	<b>91.4%</b>
		Off Peak Weekday	95.0%	80.3%	85.3%	85.1%	92.6%
		Weekend	95.0%	80.5%	87.7%	92.2%	91.5%
<b>Operating Statistics</b>							
<b>Trains Scheduled</b>				<b>1,640</b>	<b>18,264</b>	<b>1,671</b>	<b>18,553</b>
<b>Avg. Delay per Late Train (min)</b> <small>excluding trains canceled or terminated</small>				17.5	20.3	21.8	21.0
<b>Trains Over 15 min. Late</b> <small>excluding trains canceled or terminated</small>			300	104	669	55	426
<b>Trains Canceled</b>			60	12	230	17	119
<b>Trains Terminated</b>			60	8	62	5	49
<b>Percent of Scheduled Trips Completed</b>			99.4%	98.8%	98.4%	98.7%	99.1%
<b>Consist Compliance*</b> <i>(Percent of trains where the number of coaches provided met the scheduled requirement)</i>	<b>System - AM</b>	<b>Overall</b>	<b>99.0%</b>	<b>98.2%</b>	<b>97.7%</b>	<b>99.0%</b>	<b>98.8%</b>
	<b>Pascack Valley - AM</b>		99.0%	97.6%	97.3%	99.6%	99.0%
	<b>Port Jervis - AM</b>		99.0%	99.0%	98.1%	98.3%	98.5%

\* Consist Compliance Reporting for West of Hudson PM Peak trains is currently unavailable.



**WEST OF HUDSON**

**EVENTS RESULTING IN 5 or MORE LATE (L), CANCELED (C) or TERMINATED (T) TRAINS**

Date	Day	DESCRIPTION OF EVENT	Number of Late Trains											
			AM Peak			PM Peak			Off Peak			Weekend		
			L	C	T	L	C	T	L	C	T	L	C	T
11/02	Fri	Congestion due to Midtown Direct Service being diverted to Hoboken.	3	0	0	0	0	0	3	0	0	0	0	0
11/05	Mon	Reported slippery rail conditions on both PVL and PJJ.	5	0	0	0	0	0	6	0	0	0	0	0
11/12	Mon	PJJ: Train 1604 was terminated at Nanuet with mechanical problems.	5	0	1	0	0	0	2	0	1	0	0	0
11/15	Thu	PJJ: Motor vehicle accidents at Atlantic St MP 12.9 and Dutch Lane MP 30.2.	0	0	0	5	1	2	2	0	0	0	0	0
11/15	Thu	Slow travel account inclement weather on both PJJ and PVL.	0	0	0	7	0	0	12	0	0	0	0	0
11/16	Fri	Slow travel account inclement weather on both PJJ and PVL.	7	0	0	0	0	0	4	0	0	0	0	0
11/21	Wed	Congestion due to a Rules Violation in Hoboken.	1	0	0	0	0	0	8	0	0	0	0	0
11/28	Wed	PJJ: Necessary to protect failing grade crossing at Washington Avenue.	3	0	0	2	0	0	1	0	0	0	0	0
<b>TOTAL FOR MONTH</b>			24	0	1	14	1	2	38	0	1	0	0	0
												<b>81</b>		

**NOVEMBER 2018 STANDEE REPORT**
**East of Hudson**

			NOV 2017	YTD 2017	NOV 2018	YTD 2018
<b>Daily Average AM Peak</b>	<b>Hudson Line</b>	Program Standees	0	0	0	0
		Add'l Standees	12	4	5	12
		<b>Total Standees</b>	<b>12</b>	<b>4</b>	<b>5</b>	<b>12</b>
	<b>Harlem Line</b>	Program Standees	0	0	31	3
		Add'l Standees	75	33	155	103
		<b>Total Standees</b>	<b>75</b>	<b>33</b>	<b>186</b>	<b>106</b>
	<b>New Haven Line</b>	Program Standees	0	0	24	2
		Add'l Standees	51	32	354	120
		<b>Total Standees</b>	<b>51</b>	<b>32</b>	<b>378</b>	<b>122</b>
	<b>EAST OF HUDSON TOTAL - AM PEAK</b>		<b>137</b>	<b>69</b>	<b>569</b>	<b>240</b>
<b>Daily Average PM Peak</b>	<b>Hudson Line</b>	Program Standees	0	0	0	0
		Add'l Standees	0	1	2	6
		<b>Total Standees</b>	<b>0</b>	<b>1</b>	<b>2</b>	<b>6</b>
	<b>Harlem Line</b>	Program Standees	0	0	0	0
		Add'l Standees	12	15	65	31
		<b>Total Standees</b>	<b>12</b>	<b>15</b>	<b>65</b>	<b>31</b>
	<b>New Haven Line</b>	Program Standees	0	0	140	13
		Add'l Standees	210	100	327	141
		<b>Total Standees</b>	<b>210</b>	<b>100</b>	<b>467</b>	<b>154</b>
	<b>EAST OF HUDSON TOTAL - PM PEAK</b>		<b>222</b>	<b>116</b>	<b>534</b>	<b>191</b>

**West of Hudson**

			NOV 2017	YTD 2017	NOV 2018	YTD 2018
<b>Daily Average AM Peak</b>	<b>Port Jervis Line</b>	Program Standees	0	0	0	0
		Add'l Standees	0	0	0	0
		<b>Total Standees</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
	<b>Pascack Valley Line</b>	Program Standees	0	0	0	0
		Add'l Standees	0	0	0	0
		<b>Total Standees</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
	<b>WEST OF HUDSON TOTAL - AM PEAK</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

\* Consist compliance and Standee Reporting for the West of Hudson PM Peak trains is currently unavailable .

**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.

Operations Planning and Analysis/jc

## ELEVATOR AND ESCALATOR OPERATING REPORT

### FOR MONTH OF November 2018

Elevator Availability	2018		2017	
	November	Year to Date	November	Year to Date
Grand Central Terminal	87.31%	90.26%	93.75%	93.55%
Harlem	100.00%	99.86%	100.00%	99.87%
Hudson	100.00%	99.88%	100.00%	99.96%
New Haven	100.00%	99.80%	100.00%	99.73%
Overall Average	96.83%	97.45%	98.44%	98.28%

*GCT Availability for November 2018 is impacted by the NE-1 Elevator being Out of Service due to East Side Access construction since February 2017. The T-20 Elevator (leftmost B-Hall elevator) is Out of Service for conversion for Tracking Center Program*

Escalator Availability	2018		2017	
	November	Year to Date	November	Year to Date
Grand Central Terminal	81.67%	95.02%	88.33%	97.17%
White Plains	100.00%	100.00%	100.00%	98.41%
Overall Average	90.83%	97.51%	94.17%	97.79%

*Escalator #7 (45th St Cross Passage to East Spine) was Out of Service for the repair for drive repair. Escalator #11 (47th St Cross Passage to 47th and Madison) was Out of Service since October 22 for brake issue and drive repair, returned to service on November 9th. Escalator #12 (245 Park Ave) is Out of Service since October 16 for repair to the step chain.*

# Finance Report

**Steven Weiss**

Executive Director, Management & Budget



*On October 9<sup>th</sup>, 2018, Metro-North's Track Production Gang installed a record-setting 1,161 ties.*



# Metro-North Railroad

## October 2018 Highlights: Financial Report

The Metro-North Railroad's Monthly Financial Report provides year-to-date fiscal information comparing actual revenues, expenses and staffing levels to Budget and key financial performance indicators. These results are compared to the Mid-Year Forecast.

### Summary of Non-Reimbursable Year-to-Date (YTD) October 2018 Financial Results

Ridership and accrual results, versus forecast, are summarized as follows:

- Ridership of 72.1 million, which includes East of Hudson ridership of 70.7 million and West of Hudson ridership of 1.4 million, was 0.3% unfavorable vs. forecast. Consequently, Farebox revenue of \$611.9 million was \$5.9 million (0.9%) lower than forecast.
- Total revenue of \$653.5 million was \$9.2 million (1.4%) lower than forecast primarily due to lower farebox revenue, advertising revenue and net GCT retail income.
- Total expenses of \$1,105.2 million were \$1.2 million (0.1%) unfavorable vs. forecast primarily due to higher labor costs partially offset by lower discretionary contractual spending in the Maintenance and Other Operating Contracts category.

Financial results for Year-to-Date (YTD) October 2018 are presented in the table below and compared to the forecast.

October 2018 Year-to-Date Results					
(in millions)					
				Fav/(Unfav) Variance	
	Mid-Year Forecast	Actual		\$ Var	% Var
<b>Total Revenue</b>	\$662.7	\$653.5		(\$9.2)	-1.4%
<b>Total Expenses before Non-Cash Liability Adjs.</b>	1,104.0	1,105.2		(1.2)	-0.1%
<b>Other Non-Cash Liabilities</b>	263.6	256.1		7.6	2.9%
<b>Net Surplus/(Deficit) after Non-Cash Liability Adjs.</b>	(705.0)	(707.8)		(2.8)	-0.4%
<b>Cash Adjustments</b>	274.6	291.8		17.2	6.3%
<b>Net Cash Surplus/(Deficit)</b>	(\$430.4)	(\$416.0)		\$14.4	3.3%

**Steven Weiss**

Executive Director, Management & Budget

## **NON-REIMBURSABLE and REIMBURSABLE SUMMARY**

October 2018 YTD Net Deficit (Non-Reimbursable and Reimbursable) of \$707.8 million was \$2.8 million or 0.4% unfavorable vs. the Mid-Year Forecast. The month of October Net Deficit (Non-Reimbursable and Reimbursable) of \$87.6 million was \$20.9 million or 31.3% unfavorable vs. the Mid-Year Forecast.

Major drivers of the October 2018 YTD unfavorable result of \$2.8 million include lower Non-Reimbursable Revenues of \$9.2 million primarily due to lower farebox revenue (\$5.9 million), advertising revenue (\$2.3 million) and net GCT retail income (\$1.6 million). Partly offsetting these unfavorable revenue results are lower Non-Reimbursable Expenses of \$6.4 million mainly due to favorable maintenance and other operating contracts and timing of non-cash liability adjustments.

October 2018 YTD Reimbursable Expenses of \$206.1 million was \$32.1 million favorable vs. the Mid-Year Forecast primarily due to timing for several capital projects including Positive Train Control and the Cyclical Track and Turnout Replacement Programs.

## **REVENUE/RIDERSHIP**

- **Farebox Revenue** – YTD was \$5.9 million (0.9%) unfavorable vs. the Mid-Year Forecast due to lower than anticipated yield in commutation ridership due to growth in shorter distance commuter trips as well as lower non-commutation ridership driven by adverse weather conditions and station improvement work on the Harlem line.
  - YTD Ridership of 72.1 million was 0.3% unfavorable vs. the Mid-Year Forecast and 0.2% unfavorable vs. YTD 2017.
- **Other Operating Revenue** – YTD was \$3.3 million (7.4%) unfavorable vs. the Mid-Year Forecast primarily due to lower advertising revenue and net GCT retail income.
- **Capital and Other Reimbursements** – YTD was \$32.1 million (13.5%) unfavorable vs. the Mid-Year Forecast due to scheduling and timing changes noted above.

## **TOTAL EXPENSES (Non-Reimbursable and Reimbursable)**

**Total Expenses** – YTD expenses of \$1,567.4 million were \$38.5 million or 2.4% favorable vs. the Mid-Year Forecast.

**Labor Expenses (including fringes and overhead recoveries)** of \$926.3 million YTD were \$11.3 million unfavorable vs. the Mid-Year Forecast.

- **Payroll** – YTD was \$0.4 million unfavorable vs. the Mid-Year Forecast.
- **Overtime** – YTD was \$5.3 million unfavorable vs. the Mid-Year Forecast primarily due to impacts from several nor'easter storms in March and significant storms in April and May as well as higher Reimbursable activity.

**Non-Labor Expenses** of \$385.1 million YTD were \$42.2 million favorable vs. the Mid-Year Forecast.

- **Electric Power** – Higher rates yielded unfavorable YTD results of \$1.3 million vs. the Mid-Year Forecast.
- **Fuel** – YTD expenses were \$0.2 million unfavorable vs. the Mid-Year Forecast due to a higher diesel fuel price per gallon.
- **Maintenance & Other Operating Contracts** – YTD was \$7.7 million favorable vs. the Mid-Year Forecast primarily due to lower than anticipated Non-Reimbursable expenses for BL-20 Locomotive Overhauls, Bridgeport Derailment M-8 repairs and other lower maintenance and operating contracts as well as GCT utilities costs partially offset by higher Reimbursable project activity.

operating contracts as well as GCT utilities costs partially offset by higher Reimbursable project activity.

- **Professional Services** – YTD was \$27.7 million favorable vs. the Mid-Year Forecast primarily due to lower Reimbursable project activity as well as lower than anticipated Non-Reimbursable expenses for engineering and consulting services, medical services and outside training.
- **Materials & Supplies** – YTD was \$7.8 million favorable vs. the Mid-Year Forecast primarily due to lower Reimbursable project activity partially offset by higher usage of materials for infrastructure repairs and Reliability Centered Maintenance (RCM) programs.
- **Other Business Expenses** – YTD was \$0.5 million unfavorable vs. the Mid-Year Forecast due to higher subsidy payments to New Jersey Transit for West of Hudson Operations resulting from inflationary adjustments.

**Depreciation and Other Non-Cash Liability Adjustments** were \$7.6 million favorable vs. the YTD Mid-Year Forecast primarily due to timing.

### **CASH DEFICIT SUMMARY**

October YTD Net Cash Deficit of \$416.0 million was \$14.4 million or 3.3% favorable to the Mid-Year Forecast. This is mainly due to revised milestone scheduling of capital projects and timing of payments in several expenditure categories.

### **FINANCIAL PERFORMANCE MEASURES**

- Adjusted Farebox Operating Ratio of 61.2% was flat vs. the Mid-Year Forecast.
- Adjusted Cost per Passenger of \$15.00 was \$0.16 favorable to the Mid-Year Forecast.
- Revenue per Passenger of \$8.49 was (\$0.06) unfavorable vs. the Mid-Year Forecast.

**MTA METRO-NORTH RAILROAD**  
**JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST**  
**ACCRUAL STATEMENT of OPERATIONS by CATEGORY**  
**October 2018**  
(\$ in millions)

SCHEDULE I - A

	Nonreimbursable				Reimbursable				Total			
	Mid-Year Forecast	Favorable (Unfavorable)			Mid-Year Forecast	Favorable (Unfavorable)			Mid-Year Forecast	Favorable (Unfavorable)		
		Actual	Variance	Percent		Actual	Variance	Percent		Actual	Variance	Percent
<b>Revenue</b>												
Farebox Revenue	\$64.951	\$64.151	(\$0.800)	(1.2)	\$0.000	\$0.000	\$0.000	-	\$64.951	\$64.151	(\$0.800)	(1.2)
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	5.519	4.979	(0.540)	(9.8)	0.000	0.000	0.000	-	5.519	4.979	(0.540)	(9.8)
<i>Capital &amp; Other Reimbursements:</i>												
MTA	0.000	0.000	0.000	-	13.438	12.461	(0.976)	(7.3)	13.438	12.461	(0.976)	(7.3)
CDOT	0.000	0.000	0.000	-	14.531	8.569	(5.962)	(41.0)	14.531	8.569	(5.962)	(41.0)
Other	0.000	0.000	0.000	-	0.825	1.382	0.557	67.5	0.825	1.382	0.557	67.5
Total Capital and Other Reimbursements	0.000	0.000	0.000	-	28.793	22.412	(6.382)	(22.2)	28.793	22.412	(6.382)	(22.2)
<b>Total Revenue/Receipts</b>	<b>\$70.470</b>	<b>\$69.130</b>	<b>(\$1.340)</b>	<b>(1.9)</b>	<b>\$28.793</b>	<b>\$22.412</b>	<b>(\$6.382)</b>	<b>(22.2)</b>	<b>\$99.263</b>	<b>\$91.541</b>	<b>(\$7.722)</b>	<b>(7.8)</b>
<b>Expenses</b>												
<i>Labor:</i>												
Payroll	\$44.257	\$45.969	(\$1.712)	(3.9)	\$5.236	\$4.797	\$0.439	8.4	\$49.493	\$50.766	(\$1.273)	(2.6)
Overtime	6.837	8.846	(2.009)	(29.4)	2.487	2.987	(0.500)	(20.1)	9.324	11.832	(2.509)	(26.9)
Health and Welfare	8.815	9.968	(1.153)	(13.1)	1.765	1.700	0.065	3.7	10.580	11.668	(1.088)	(10.3)
OPEB Current Payment	2.812	2.934	(0.122)	(4.3)	0.000	0.000	0.000	-	2.812	2.934	(0.122)	(4.3)
Pensions	8.977	9.056	(0.079)	(0.9)	1.209	1.190	0.019	1.5	10.186	10.246	(0.060)	(0.6)
Other Fringe Benefits	10.479	10.211	0.267	2.5	1.325	1.309	0.015	1.2	11.803	11.521	0.283	2.4
Reimbursable Overhead	(5.884)	(6.465)	0.581	9.9	5.563	6.088	(0.525)	(9.4)	(0.322)	(0.377)	0.056	17.3
<b>Total Labor</b>	<b>\$76.293</b>	<b>\$80.519</b>	<b>(\$4.226)</b>	<b>(5.5)</b>	<b>\$17.584</b>	<b>\$18.071</b>	<b>(\$0.487)</b>	<b>(2.8)</b>	<b>\$93.877</b>	<b>\$98.590</b>	<b>(\$4.713)</b>	<b>(5.0)</b>
<i>Non-Labor:</i>												
Electric Power	\$5.809	\$6.040	(\$0.230)	(4.0)	\$0.000	\$0.000	\$0.000	-	\$5.809	\$6.040	(\$0.230)	(4.0)
Fuel	1.842	2.177	(0.335)	(18.2)	0.000	0.000	0.000	-	1.842	2.177	(0.335)	(18.2)
Insurance	1.454	1.500	(0.045)	(3.1)	0.620	0.402	0.218	35.1	2.074	1.901	0.172	8.3
Claims	0.096	0.000	0.096	100.0	0.000	0.000	0.000	-	0.096	0.000	0.096	100.0
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	11.804	9.437	2.367	20.1	2.501	1.542	0.959	38.3	14.305	10.979	3.326	23.2
Professional Service Contracts	3.517	8.271	(4.754)	*	5.155	0.793	4.362	84.6	8.672	9.064	(0.391)	(4.5)
Materials & Supplies	8.204	8.462	(0.258)	(3.1)	2.905	1.531	1.374	47.3	11.109	9.993	1.116	10.0
Other Business Expenses	2.756	2.486	0.270	9.8	0.027	0.072	(0.044)	*	2.783	2.558	0.225	8.1
<b>Total Non-Labor</b>	<b>\$35.482</b>	<b>\$38.371</b>	<b>(\$2.889)</b>	<b>(8.1)</b>	<b>\$11.209</b>	<b>\$4.340</b>	<b>\$6.869</b>	<b>61.3</b>	<b>\$46.692</b>	<b>\$42.711</b>	<b>\$3.980</b>	<b>8.5</b>
<i>Other Adjustments:</i>												
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
<b>Total Other Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>
<b>Total Expenses before Non-Cash Liability Adjs.</b>	<b>\$111.775</b>	<b>\$118.890</b>	<b>(\$7.115)</b>	<b>(6.4)</b>	<b>\$28.793</b>	<b>\$22.412</b>	<b>\$6.382</b>	<b>22.2</b>	<b>\$140.568</b>	<b>\$141.301</b>	<b>(\$0.733)</b>	<b>(0.5)</b>
Depreciation	20.542	18.870	1.672	8.1	0.000	0.000	0.000	-	20.542	18.870	1.672	8.1
OPEB Obligation	4.833	4.566	0.267	5.5	0.000	0.000	0.000	-	4.833	4.566	0.267	5.5
GASB68 Pension Adjustment	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Environmental Remediation	0.000	14.355	(14.355)	-	0.000	0.000	0.000	-	0.000	14.355	(14.355)	-
<b>Total Expenses</b>	<b>\$137.151</b>	<b>\$156.681</b>	<b>(\$19.530)</b>	<b>(14.2)</b>	<b>\$28.793</b>	<b>\$22.412</b>	<b>\$6.382</b>	<b>22.2</b>	<b>\$165.944</b>	<b>\$179.092</b>	<b>(\$13.149)</b>	<b>(7.9)</b>
<b>Net Surplus/(Deficit)</b>	<b>(\$66.681)</b>	<b>(\$87.551)</b>	<b>(\$20.870)</b>	<b>(31.3)</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>(\$66.681)</b>	<b>(\$87.551)</b>	<b>(\$20.870)</b>	<b>(31.3)</b>
<i>Cash Conversion Adjustments:</i>												
Depreciation	20.542	18.870	(1.672)	(8.1)	0.000	0.000	0.000	-	20.542	18.870	(1.672)	(8.1)
Operating/Capital	(7.450)	(4.533)	2.917	39.1	0.000	0.000	0.000	-	(7.450)	(4.533)	2.917	39.1
Other Cash Adjustments	19.745	34.985	15.240	77.2	0.000	0.000	0.000	-	19.745	34.985	15.240	77.2
<b>Total Cash Conversion Adjustments</b>	<b>\$32.837</b>	<b>\$49.322</b>	<b>\$16.485</b>	<b>50.2</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$32.837</b>	<b>\$49.322</b>	<b>\$16.485</b>	<b>50.2</b>
<b>Net Cash Surplus/(Deficit)</b>	<b>(\$33.844)</b>	<b>(\$38.229)</b>	<b>(\$4.385)</b>	<b>(13.0)</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>(\$33.844)</b>	<b>(\$38.229)</b>	<b>(\$4.385)</b>	<b>(13.0)</b>

**Notes:**

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

--The impact of MNR's Way Ahead which was captured in MTA Re-estimates within below-the-line adjustments in the 2018 July Financial Plan, has been allocated and is now reflected within the baseline Mid-Year Forecast

-- Differences are due to rounding.

\* Variance exceeds 100%.

**MTA METRO-NORTH RAILROAD**  
**JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST**  
**ACCURAL STATEMENT of OPERATIONS by CATEGORY**  
**October Year-To-Date**  
(\$ in millions)

SCHEDULE I - B

	Nonreimbursable				Reimbursable				Total			
	Mid-Year Forecast	Actual	Favorable (Unfavorable) Variance	Percent	Mid-Year Forecast	Actual	Favorable (Unfavorable) Variance	Percent	Mid-Year Forecast	Actual	Favorable (Unfavorable) Variance	Percent
<b>Revenue</b>												
Farebox Revenue	\$617.800	\$611.940	(\$5.860)	(0.9)	\$0.000	\$0.000	\$0.000	-	\$617.800	\$611.940	(\$5.860)	(0.9)
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	44.891	41.547	(3.344)	(7.4)	0.000	0.000	0.000	-	44.891	41.547	(3.344)	(7.4)
<i>Capital &amp; Other Reimbursements:</i>												
MTA	0.000	0.000	0.000	-	116.277	106.834	(9.443)	(8.1)	116.277	106.834	(9.443)	(8.1)
CDOT	0.000	0.000	0.000	-	114.624	88.516	(26.107)	(22.8)	114.624	88.516	(26.107)	(22.8)
Other	0.000	0.000	0.000	-	7.294	10.763	3.469	47.6	7.294	10.763	3.469	47.6
Total Capital and Other Reimbursements	0.000	0.000	0.000	-	238.195	206.113	(32.082)	(13.5)	238.195	206.113	(32.082)	(13.5)
<b>Total Revenue/Receipts</b>	<b>\$662.691</b>	<b>\$653.486</b>	<b>(\$9.204)</b>	<b>(1.4)</b>	<b>\$238.195</b>	<b>\$206.113</b>	<b>(\$32.082)</b>	<b>(13.5)</b>	<b>\$900.886</b>	<b>\$859.600</b>	<b>(\$41.286)</b>	<b>(4.6)</b>
<b>Expenses</b>												
<i>Labor:</i>												
Payroll	\$431.488	\$435.644	(\$4.155)	(1.0)	\$43.551	\$39.747	\$3.805	8.7	\$475.040	\$475.390	(\$0.350)	(0.1)
Overtime	78.508	82.418	(3.910)	(5.0)	21.392	22.733	(1.341)	(6.3)	99.900	105.151	(5.251)	(5.3)
Health and Welfare	87.190	92.988	(5.798)	(6.6)	15.041	14.083	0.958	6.4	102.232	107.072	(4.840)	(4.7)
OPEB Current Payment	28.376	30.365	(1.989)	(7.0)	0.000	0.000	0.000	-	28.376	30.365	(1.989)	(7.0)
Pensions	87.949	86.732	1.217	1.4	10.309	9.801	0.507	4.9	98.258	96.534	1.724	1.8
Other Fringe Benefits	102.528	103.981	(1.453)	(1.4)	11.315	10.765	0.550	4.9	113.844	114.746	(0.902)	(0.8)
Reimbursable Overhead	(50.087)	(51.882)	1.795	3.6	47.427	48.912	(1.485)	(3.1)	(2.661)	(2.970)	0.309	11.6
<b>Total Labor</b>	<b>\$765.953</b>	<b>\$780.246</b>	<b>(\$14.294)</b>	<b>(1.9)</b>	<b>\$149.035</b>	<b>\$146.041</b>	<b>\$2.994</b>	<b>2.0</b>	<b>\$914.988</b>	<b>\$926.287</b>	<b>(\$11.300)</b>	<b>(1.2)</b>
<i>Non-Labor:</i>												
Electric Power	\$61.639	\$62.864	(\$1.226)	(2.0)	\$0.000	\$0.107	(\$0.107)	-	\$61.639	\$62.971	(\$1.332)	(2.2)
Fuel	17.895	18.051	(0.156)	(0.9)	0.000	0.000	0.000	-	17.895	18.051	(0.156)	(0.9)
Insurance	14.497	14.685	(0.189)	(1.3)	5.045	3.619	1.426	28.3	19.542	18.304	1.238	6.3
Claims	4.528	4.709	(0.181)	(4.0)	0.000	0.000	0.000	-	4.528	4.709	(0.181)	(4.0)
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	102.239	85.269	16.969	16.6	10.024	19.315	(9.291)	(92.7)	112.263	104.584	7.679	6.8
Professional Service Contracts	32.482	32.059	0.423	1.3	41.767	14.518	27.250	65.2	74.250	46.576	27.673	37.3
Materials & Supplies	79.831	81.845	(2.014)	(2.5)	32.074	22.268	9.807	30.6	111.906	104.113	7.793	7.0
Other Business Expenses	24.976	25.498	(0.522)	(2.1)	0.249	0.246	0.002	0.9	25.225	25.745	(0.520)	(2.1)
<b>Total Non-Labor</b>	<b>\$338.086</b>	<b>\$324.981</b>	<b>\$13.106</b>	<b>3.9</b>	<b>\$89.160</b>	<b>\$60.072</b>	<b>\$29.088</b>	<b>32.6</b>	<b>\$427.246</b>	<b>\$385.053</b>	<b>\$42.193</b>	<b>9.9</b>
<i>Other Adjustments</i>												
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
<b>Total Other Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>
<b>Total Expenses before Non-Cash Liability Adjs.</b>	<b>\$1,104.039</b>	<b>\$1,105.227</b>	<b>(\$1.188)</b>	<b>(0.1)</b>	<b>\$238.195</b>	<b>\$206.113</b>	<b>\$32.082</b>	<b>13.5</b>	<b>\$1,342.234</b>	<b>\$1,311.341</b>	<b>\$30.894</b>	<b>2.3</b>
Depreciation	202.551	190.588	11.963	5.9	0.000	0.000	0.000	-	202.551	190.588	11.963	5.9
OPEB Obligation	48.333	44.635	3.698	7.7	0.000	0.000	0.000	-	48.333	44.635	3.698	7.7
GASB68 Pension Adjustment**	9.750	3.993	5.757	59.0	0.000	0.000	0.000	-	9.750	3.993	5.757	59.0
Environmental Remediation	3.000	16.859	(13.859)	*	0.000	0.000	0.000	-	3.000	16.859	(13.859)	*
<b>Total Expenses</b>	<b>\$1,367.674</b>	<b>\$1,361.303</b>	<b>\$6.371</b>	<b>0.5</b>	<b>\$238.195</b>	<b>\$206.113</b>	<b>\$32.082</b>	<b>13.5</b>	<b>\$1,605.869</b>	<b>\$1,567.416</b>	<b>\$38.453</b>	<b>2.4</b>
<b>Net Surplus/(Deficit)</b>	<b>(\$704.983)</b>	<b>(\$707.816)</b>	<b>(\$2.833)</b>	<b>(0.4)</b>	<b>\$0.000</b>	<b>(\$0.000)</b>	<b>(\$0.000)</b>	<b>-</b>	<b>(\$704.983)</b>	<b>(\$707.816)</b>	<b>(\$2.833)</b>	<b>(0.4)</b>
<i>Cash Conversion Adjustments:</i>												
Depreciation	202.551	190.588	(11.963)	(5.9)	0.000	0.000	0.000	-	202.551	190.588	(11.963)	(5.9)
Operating/Capital	(49.187)	(39.695)	9.492	19.3	0.000	0.000	0.000	-	(49.187)	(39.695)	9.492	19.3
Other Cash Adjustments	121.197	140.895	19.698	16.3	0.000	0.000	0.000	-	121.197	140.895	19.698	16.3
<b>Total Cash Conversion Adjustments</b>	<b>\$274.562</b>	<b>\$291.788</b>	<b>\$17.227</b>	<b>6.3</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$274.562</b>	<b>\$291.788</b>	<b>\$17.227</b>	<b>6.3</b>
<b>Net Cash Surplus/(Deficit)</b>	<b>(\$430.421)</b>	<b>(\$416.028)</b>	<b>\$14.393</b>	<b>3.3</b>	<b>\$0.000</b>	<b>(\$0.000)</b>	<b>(\$0.000)</b>	<b>-</b>	<b>(\$430.421)</b>	<b>(\$416.028)</b>	<b>\$14.393</b>	<b>3.3</b>

**Notes:**

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

--The impact of MNR's Way Ahead which was captured in MTA Re-estimates within below-the-line adjustments in the 2018 July Financial Plan, has been allocated and is now reflected within the baseline Mid-Year Forecast

-- Differences are due to rounding.

\* Variance exceeds 100%.

**MTA METRO-NORTH RAILROAD**  
**ACCUAL STATEMENT OF OPERATIONS BY CATEGORY**  
**EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS**  
**JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST**  
**OCTOBER 2018**  
**(\$ 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	(\$0.540)	(9.8%)	Lower advertising revenue due to a reduced MNR allocation of the overall MTA contracted advertising revenue.	(\$3.344)	(7.4%)	Lower advertising revenue due to a reduced MNR allocation of the overall MTA contracted advertising revenue as well as lower net GCT retail income.
CAPITAL AND OTHER REIMBURSEMENTS	Reimb	(\$6.382)	(22.2%)	Lower reimbursements reflect scheduling and timing changes in capital project expenditures.	(\$32.082)	(13.5%)	Lower reimbursements reflect scheduling and timing changes in capital project expenditures.
PAYROLL	Non-Reimb	(\$1.712)	(3.9%)	Increase in the reserve for sick-bank payouts due to revised agreement contract terms and higher retiree payouts.	(\$4.155)	(1.0%)	Increase in the reserve for sick-bank payouts due to revised agreement contract terms and higher retiree payouts.
	Reimb	\$0.439	8.4%	Reflects lower monthly activity in the Cyclical Track Program.	\$3.805	8.7%	Reflects lower year-to-date activity in the Cyclical Track Program and Install Bridge Timbers Project.
OVERTIME	Non-Reimb	(\$2.009)	(29.4%)	See overtime tables.	(\$3.910)	(5.0%)	See overtime tables.
	Reimb	(\$0.500)	(20.1%)	See overtime tables.	(\$1.341)	(6.3%)	See overtime tables.
HEALTH AND WELFARE	Non-Reimb	(\$1.153)	(13.1%)	Reflects higher labor costs combined with higher rates than forecasted.	(\$5.798)	(6.6%)	Reflects higher than forecasted rates combined with higher labor costs.
	Reimb	\$0.065	3.7%		\$0.958	6.4%	Reflects lower year-to-date activity in the following projects: Connecticut Track Program and Cyclical Track Program.
OPEB CURRENT PAYMENT	Non-Reimb	(\$0.122)	(4.3%)		(\$1.989)	(7.0%)	Reflects additional retirees as well as higher rates than forecasted.
REIMBURSABLE OVERHEAD	Non-Reimb	\$0.581	9.9%	The non-reimbursable and reimbursable variances reflect higher monthly activity in the following projects: Stamford Catenary Improvement, Turnouts - Yard-Sidings, Enhanced Station Initiative and West of Hudson Signal Improvement.	\$1.795	3.6%	
	Reimb	(\$0.525)	(9.4%)		(\$1.485)	(3.1%)	
FUEL	Non-Reimb	(\$0.335)	(18.2%)	Reflects higher diesel fuel price per gallon.	(\$0.156)	(0.9%)	
INSURANCE	Reimb	\$0.218	35.1%	Reflects lower monthly activity in the following projects: Connecticut Track Program, Cyclical Track Program and Turnouts Mainline High Speed.	\$1.426	28.3%	Reflects lower year-to-date activity in the following projects: Cyclical Track Program, Connecticut Track Programs, Positive Train Control and Turnouts Mainline High Speed.

**MTA METRO-NORTH RAILROAD**  
**ACCUAL STATEMENT OF OPERATIONS BY CATEGORY**  
**EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS**  
**JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST**  
**OCTOBER 2018**  
**(\$ 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
		\$	%		\$	%	
CLAIMS	Non-Reimb	\$0.096	100.0%	Primarily due to lower passenger claims.	(\$0.181)	(4.0%)	
MAINTENANCE AND OTHER OPERATING CONTRACTS	Non-Reimb	\$2.367	20.1%	Reflects timing delays for the Bridgeport Derailment M-8 repairs and lower than anticipated expense for other miscellaneous maintenance and operating contracts as well as lower GCT utilities expense resulting from efficient chiller equipment implemented in conjunction with NYPA.	\$16.969	16.6%	Reflects timing delays for the BL-20 locomotive overhauls, Bridgeport Derailment M-8 repairs, and lower than anticipated expense for other miscellaneous maintenance and operating contracts as well as lower GCT utilities expense resulting from efficient chiller equipment implemented in conjunction with NYPA.
	Reimb	\$0.959	38.3%	Reflects lower monthly activity in the Design of Railway C&S Systems and Tree Removal - NHL in CT projects partially offset by higher activity in the Signal Replacement from Greenwich to South Norwalk Project (budgeted in Professional Services).	(\$9.291)	(92.7%)	Reflects higher year-to-date activity in the Signal Replacement from Greenwich to South Norwalk Project (budgeted in Professional Services).
PROFESSIONAL SERVICE CONTRACTS	Non-Reimb	(\$4.754)	*	True up of 2017 New Haven Line share of MTA IT allocations as well as reimbursable PTC expense charged to non-reimbursable expense (which will be reversed next month).	\$0.423	1.3%	
	Reimb	\$4.362	84.6%	Reflects lower monthly activity in the following projects: Positive Train Control and Signal Replacement from Greenwich to South Norwalk (actuals recorded in Maintenance and Other Operating Contracts).	\$27.250	65.2%	Reflects lower year-to-date activity in the following projects: Positive Train Control, Signal Replacement from Greenwich to South Norwalk (actuals recorded in Maintenance and Other Operating Contracts) and Cameras-Audio for M-8 Fleet.
MATERIAL AND SUPPLIES	Reimb	\$1.374	47.3%	Reflects lower monthly activity in the following projects: Positive Train Control and Turnouts Mainline High Speed.	\$9.807	30.6%	Reflects lower year-to-date activity in the following projects: Positive Train Control, Turnouts Mainline High Speed, Cyclical Track Program, Waterbury Branch Cab Signal, GCT Turnouts-Switch Renewal, Saga Bridge Repairs and Connecticut Track Program.
OTHER BUSINESS EXPENSES	Non-Reimb	\$0.270	9.8%	Primarily due to lower than anticipated expense for travel and meetings as well as other miscellaneous expenses.	(\$0.522)	(2.1%)	
	Reimb	(\$0.044)	*	Reflects higher monthly activity in the Harmon Shop Replacement project.	\$0.002	0.9%	
DEPRECIATION	Non-Reimb	\$1.672	8.1%	Reflects lower capitalization of assets than forecasted due to timing differences in project completions and assets reaching beneficial use.	\$11.963	5.9%	Reflects lower capitalization of assets than forecasted due to timing differences in project completions and assets reaching beneficial use.
OTHER POST EMPLOYMENT BENEFITS	Non-Reimb	\$0.267	5.5%	Reflects an updated actuarial estimate. OPEB obligation will be further adjusted pending the year-end Actuarial Valuation report.	\$3.698	7.7%	Reflects an updated actuarial estimate. OPEB obligation will be further adjusted pending the year-end Actuarial Valuation report.

MTA METRO-NORTH RAILROAD  
 ACCRUAL STATEMENT OF OPERATIONS BY CATEGORY  
 EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS  
 JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST  
 OCTOBER 2018  
 (\$ 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
		\$	%		\$	%	
GASB68 PENSION ADJUSTMENT	Non-Reimb	\$0.000	-		\$5.757	59.0%	Reflects adjustments to account for MNR's net pension liability.
ENVIRONMENTAL REMEDIATION	Non-Reimb	(\$14.355)	-	Primarily reflects the recognition of environmental abatement and disposal costs associated with demolition and excavation activities required as part of the Harmon Shop Improvements Capital Project.	(\$13.859)	*	Primarily reflects the recognition of environmental abatement and disposal costs associated with demolition and excavation activities required as part of the Harmon Shop Improvements Capital Project.
OPERATING CAPITAL	Non-Reimb	\$2.917	39.1%	Reflects lower monthly activity in the following projects: Track Geometry Car, Vehicle Replacement Program, GP 35 Locomotive Overhaul, Harmon 4-K Stak Systems and Snowmelter Cabinets.	\$9.492	19.3%	Reflects lower year-to-date activity in the following projects: Camera-Audio for Non M-8 Fleet, GP 35 Locomotive Overhaul, 525 North Broadway Façade Repair and Hot Box Detector-WILD System.

\* Variance exceeds 100%.

**MTA Metro-North Railroad**  
**July Financial Plan - 2018 Mid-Year Forecast**  
**Non-Reimbursable/Reimbursable Overtime**  
(\$ in millions)

	October						Year To Date(October)					
	Mid-Year Forecast		Actual		Var. - Fav/(Unfav)		Mid-Year Forecast		Actual		Var. - Fav/(Unfav)	
	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$
<b>NON-REIMBURSABLE OVERTIME</b>												
<u>Scheduled Service</u> <sup>1</sup>	34,857	\$ 2.535	47,880	\$ 2.891	(13,023)	(\$0.356)	441,753	\$ 30.208	489,584	\$ 29.325	(47,831)	\$0.883
					-37.4%	-14.0%					-10.8%	2.9%
<u>Unscheduled Service</u>	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
<u>Programmatic/Routine Maintenance</u>	51,900	\$ 3.102	71,510	\$ 4.055	(19,610)	(\$0.954)	484,015	\$ 28.698	517,133	\$ 29.237	(33,117)	(\$0.539)
					-37.8%	-30.7%					-6.8%	-1.9%
<u>Unscheduled Maintenance</u>	348	\$ 0.018	19	\$ 0.001	330	\$0.017	7,307	\$ 0.418	20	\$ 0.001	7,287	\$0.417
					94.7%	94.4%					99.7%	99.7%
<u>Vacancy/Absentee Coverage</u> <sup>2</sup>	20,183	\$ 1.138	31,818	\$ 1.694	(11,636)	(\$0.556)	255,057	\$ 14.099	280,048	\$ 14.854	(24,992)	(\$0.754)
					-57.7%	-48.8%					-9.8%	-5.4%
<u>Weather Emergencies</u>	745	\$ 0.044	9,184	\$ 0.530	(8,439)	(\$0.486)	71,470	\$ 4.011	131,009	\$ 7.319	(59,538)	(\$3.308)
					*	*					-83.3%	-82.5%
<u>Safety/Security/Law Enforcement</u> <sup>3</sup>	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
<u>Other</u>	1	\$ 0.000	16	\$ (0.325)	(15)	\$0.325	37	\$ 1.073	169	\$ 1.682	(132)	(\$0.609)
Subtotal	108,035	\$ 6.837	160,427	\$ 8.846	(52,393)	(\$2.009)	1,259,639	\$ 78.508	1,417,962	\$ 82.418	(158,323)	(\$3.910)
					-48.5%	-29.4%					-12.6%	-5.0%
<b>REIMBURSABLE OVERTIME</b>	39,907	\$ 2.487	55,322	\$ 2.987	(15,415)	(\$0.500)	347,845	\$ 21.392	400,592	\$ 22.733	(52,747)	(\$1.341)
					-38.6%	-20.1%					-15.2%	-6.3%
<b>TOTAL OVERTIME</b>	<b>147,942</b>	<b>\$ 9.324</b>	<b>215,749</b>	<b>\$ 11.832</b>	<b>(67,808)</b>	<b>(\$2.509)</b>	<b>1,607,484</b>	<b>\$ 99.900</b>	<b>1,818,554</b>	<b>\$ 105.151</b>	<b>(211,069)</b>	<b>(\$5.251)</b>
					<b>-45.8%</b>	<b>-26.9%</b>					<b>-13.1%</b>	<b>-5.3%</b>

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

\* Exceeds 100%

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

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

<sup>3</sup> Not Applicable.

**MTA Metro-North Railroad**  
**July Financial Plan - 2018 Mid-Year Forecast**  
**Non-Reimbursable/Reimbursable Overtime**  
**(\$ in millions)**

	October			Year To Date(October)		
	Var. - Fav./(Unfav)		Explanations	Var. - Fav./(Unfav)		Explanations
	Hours	\$		Hours	\$	
<b>NON-REIMBURSABLE OVERTIME</b>						
<u>Scheduled Service</u> <sup>1</sup>	(13,023)	(\$0.356)	Reflects service coverage versus available staff and train dispatchment needs.	(47,831)	\$0.883	Reflects service coverage versus available staff and train dispatchment needs.
	-37.4%	-14.0%		-10.8%	2.9%	
<u>Unscheduled Service</u>	0	\$ -		0	\$ -	
<u>Programmatic/Routine Maintenance</u>	(19,610)	(\$0.954)	Higher infrastructure repair work.	(33,117)	(\$0.539)	Primarily higher Reliability Centered Maintenance (RCM) in Maintenance of Equipment.
	-37.8%	-30.7%		-6.8%	-1.9%	
<u>Unscheduled Maintenance</u>	330	\$0.017	Fewer than planned unscheduled maintenance events.	7,287	\$0.417	Fewer than planned unscheduled maintenance events.
	94.7%	94.4%		99.7%	99.7%	
<u>Vacancy/Absentee Coverage</u> <sup>2</sup>	(11,636)	(\$0.556)	Higher vacation, sick and vacancy coverage requirements.	(24,992)	(\$0.754)	Higher vacation, sick and vacancy coverage requirements.
	-57.7%	-48.8%		-9.8%	-5.4%	
<u>Weather Emergencies</u>	(8,439)	(\$0.486)	Higher right-of-way repairs due to rain storms.	(59,538)	(\$3.308)	Primarily due to the impact of Winter Storms Riley, Quinn, Toby and Skylar in March as well as significant storms in April and May.
	*	*		-83.3%	-82.5%	
<u>Safety/Security/Law Enforcement</u> <sup>3</sup>	0	\$ -		0	\$ -	
<u>Other</u>	(15)	\$0.325	Reflects timing differences related to payroll and calendar cutoff dates.	(132)	(\$0.609)	Reflects timing differences related to payroll and calendar cutoff dates.
<b>Subtotal</b>	<b>(52,393)</b>	<b>(\$2.009)</b>		<b>(158,323)</b>	<b>(\$3.910)</b>	
	-48.5%	-29.4%		-12.6%	-5.0%	
<b>REIMBURSABLE OVERTIME</b>	(15,415)	(\$0.500)	Reflects higher monthly activity in the following projects: Stamford Catenary Improvement, Turnouts Yards-Sidings and Harmon Shop Improvements.	(52,747)	(\$1.341)	Reflects higher year-to-date activity in the following projects: Stamford Catenary Improvement, Turnouts Yards-Sidings and Devon High Tower Guy Wires.
	-38.6%	-20.1%		-15.2%	-6.3%	
<b>TOTAL OVERTIME</b>	<b>(67,808)</b>	<b>(\$2.509)</b>		<b>(211,069)</b>	<b>(\$5.251)</b>	

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

\* Exceeds 100%

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

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

<sup>3</sup> Not Applicable.

**MTA METRO-NORTH RAILROAD**  
**2018 Overtime Report**  
**Overtime Legend**

**REVISED OVERTIME DECOMPOSITION LEGEND DEFINITIONS**

<b><u>Type</u></b>	<b><u>Definition</u></b>
<i>Scheduled Service</i>	Crew book/Regular Run/Shift hours (above 8 hours) required by train crews, bus/tower/block operators, transportation supervisors/dispatchers, fare sales and collection, Train & Engineers, as well as non-transportation workers whose work is directly related to providing service (includes coverage for holidays).
<i>Unscheduled Service</i>	Service coverage resulting from extraordinary events not related to weather, such as injuries, mechanical breakdowns, unusual traffic, tour length, late tour relief, and other requirements that arise that are non-absence related.
<i>Programmatic/Routine Maintenance</i>	<i>Program Maintenance</i> work for which overtime is planned (e.g. Railroad Tie Replacement, Sperry Rail Testing, Running Board Replacement Programs). This also includes <i>Routine Maintenance</i> work for which OT has been planned, as well as all other maintenance <u>not</u> resulting from extraordinary events, 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 - 2018 MID-YEAR FORECAST**  
**CASH RECEIPTS AND EXPENDITURES**  
(\$ in millions)

SCHEDULE III

	October 2018				Year-to-Date			
	Mid-Year Forecast	Actual	Favorable (Unfavorable)		Mid-Year Forecast	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent
<b>Receipts</b>								
Farebox Receipts	\$64.065	\$66.196	\$2.131	3.3	\$608.190	\$602.980	(\$5.210)	(0.9)
Toll Receipts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Receipts	8.370	10.163	1.793	21.4	93.881	99.589	5.708	6.1
<i>Capital &amp; Other Reimbursements:</i>								
MTA	12.890	12.882	(0.008)	(0.1)	109.174	105.974	(3.200)	(2.9)
CDOT	14.531	13.929	(0.602)	(4.1)	119.823	100.917	(18.906)	(15.8)
Other	0.825	0.997	0.172	20.9	9.808	12.549	2.741	28.0
Total Capital and Other Reimbursements	28.245	27.808	(0.437)	(1.5)	238.804	219.440	(19.364)	(8.1)
<b>Total Receipts</b>	<b>\$100.680</b>	<b>\$104.167</b>	<b>\$3.487</b>	<b>3.5</b>	<b>\$940.875</b>	<b>\$922.009</b>	<b>(\$18.866)</b>	<b>(2.0)</b>
<b>Expenditures</b>								
<i>Labor:</i>								
Payroll	\$39.239	\$40.994	(\$1.755)	(4.5)	\$470.946	\$464.452	\$6.494	1.4
Overtime	10.641	12.454	(1.813)	(17.0)	102.359	105.053	(2.694)	(2.6)
Health and Welfare	10.948	20.001	(9.053)	(82.7)	109.094	116.714	(7.620)	(7.0)
OPEB Current Payment	2.812	5.186	(2.374)	(84.4)	26.480	30.386	(3.906)	(14.7)
Pensions	10.245	10.095	0.150	1.5	100.056	98.694	1.362	1.4
Other Fringe Benefits	9.508	8.773	0.735	7.7	115.705	116.659	(0.954)	(0.8)
GASB Account	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Reimbursable Overhead	0.000	0.000	0.000	100.0	0.000	0.000	0.000	100.0
<b>Total Labor</b>	<b>\$83.394</b>	<b>\$97.503</b>	<b>(\$14.109)</b>	<b>(16.9)</b>	<b>\$924.639</b>	<b>\$931.958</b>	<b>(\$7.319)</b>	<b>(0.8)</b>
<i>Non-Labor:</i>								
Electric Power	\$5.983	\$6.807	(\$0.824)	(13.8)	\$61.252	\$66.027	(\$4.775)	(7.8)
Fuel	1.803	1.855	(0.052)	(2.9)	19.078	18.623	0.455	2.4
Insurance	1.850	0.000	1.850	100.0	11.798	11.503	0.295	2.5
Claims	0.096	0.097	(0.001)	(0.8)	6.561	6.203	0.358	5.5
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	16.071	13.407	2.664	16.6	123.154	109.601	13.553	11.0
Professional Service Contracts	7.797	6.720	1.077	13.8	69.985	34.507	35.478	50.7
Materials & Supplies	12.971	12.525	0.446	3.4	118.339	124.836	(6.497)	(5.5)
Other Business Expenditures	4.559	3.482	1.077	23.6	36.489	34.779	1.710	4.7
<b>Total Non-Labor</b>	<b>\$51.130</b>	<b>\$44.893</b>	<b>\$6.237</b>	<b>12.2</b>	<b>\$446.657</b>	<b>\$406.079</b>	<b>\$40.578</b>	<b>9.1</b>
<i>Other Adjustments:</i>								
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-
<b>Total Other Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>
<b>Total Expenditures</b>	<b>\$134.524</b>	<b>\$142.396</b>	<b>(\$7.872)</b>	<b>(5.9)</b>	<b>\$1,371.296</b>	<b>\$1,338.037</b>	<b>\$33.259</b>	<b>2.4</b>
<b>Net Cash Deficit ( excludes Opening Cash Balance)</b>	<b>(\$33.844)</b>	<b>(\$38.229)</b>	<b>(\$4.385)</b>	<b>(13.0)</b>	<b>(\$430.421)</b>	<b>(\$416.028)</b>	<b>\$14.393</b>	<b>3.3</b>
<b>Subsidies</b>								
MTA	24.041	48.768	24.727	*	339.714	340.108	0.394	0.1
CDOT	9.803	4.089	(5.714)	(58.3)	111.288	100.409	(10.879)	(9.8)
<b>Total Subsidies</b>	<b>\$33.844</b>	<b>\$52.857</b>	<b>\$19.013</b>	<b>56.2</b>	<b>\$451.002</b>	<b>\$440.517</b>	<b>(\$10.485)</b>	<b>(2.3)</b>
<b>Cash Timing and Availability Adjustment</b>	<b>\$0.000</b>	<b>(\$11.445)</b>	<b>(\$11.445)</b>	<b>-</b>	<b>\$0.000</b>	<b>(\$24.489)</b>	<b>(\$24.489)</b>	<b>-</b>

-- Results are preliminary and subject to audit review.

--The impact of MNR's Way Ahead which was captured in MTA Re-estimates within below-the-line adjustments in the 2018 July Financial Plan, has been allocated and is now reflected within the baseline Mid-Year Forecast

-- Differences are due to rounding.

\* Variance exceeds 100%.

**MTA METRO-NORTH RAILROAD**  
**JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST**  
**CASH RECEIPTS AND EXPENDITURES**  
**EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS**  
**(\$ in millions)**

\$ Detail

Generic Receipt or Expense Category	October Month vs Mid-Year Forecast			Year-To-Date as of October 31st, 2018		
	Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
	\$	%		\$	%	
FARE REVENUE	2.131	3.3%	Timing of cash in transit partially offset by lower than anticipated yield in commutation ridership due to growth in shorter distance commuter trips as well as lower non-commutation ridership driven by station improvement work on the Harlem line.	(5.210)	(0.9%)	
OTHER OPERATING REVENUE	1.793	21.4%	Timing of Amtrak reimbursement and GCT revenues partially offset by commuter parking revenues.	5.708	6.1%	Timing of GCT revenues partially offset by stations revenue.
CAPITAL AND OTHER REIMBURSEMENTS:						
MTA	(0.008)	(0.1%)	Lower capital related project activity partially offset by higher cash receipts than forecasted.	(3.200)	(2.9%)	Lower capital related project activity partially offset by higher cash receipts than forecasted.
CDOT	(0.602)	(4.1%)		(18.906)	(15.8%)	
OTHER	0.172	20.9%	Higher cash receipts than forecasted partially offset by lower reimbursable related project activity.	2.741	28.0%	Higher cash receipts than forecasted combined with higher reimbursable related project activity.
PAYROLL	(1.755)	(4.5%)	Higher expenditures attributed to intercompany payments combined with higher retiree payouts than forecasted.	6.494	1.4%	
OVERTIME	(1.813)	(17.0%)	Higher infrastructure repair work combined with higher capital related project activity.	(2.694)	(2.6%)	
HEALTH & WELFARE	(9.053)	(82.7%)	Timing of payments for health insurance premiums.	(7.620)	(7.0%)	Reflects higher than forecasted rates, higher labor costs and timing of payments for health insurance premiums.
OPEB CURRENT PAYMENT	(2.374)	(84.4%)	Timing of payments for health insurance premiums for retirees.	(3.906)	(14.7%)	Reflects higher number of retirees receiving healthcare premiums combined with higher rates than forecasted.
OTHER FRINGE BENEFITS	0.735	7.7%	Lower FELA claims paid.	(0.954)	(0.8%)	
ELECTRIC POWER	(0.824)	(13.8%)	Timing of payments combined with higher rates than forecasted.	(4.775)	(7.8%)	Timing of payments combined with higher rates than forecasted.

**MTA METRO-NORTH RAILROAD**  
**JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST**  
**CASH RECEIPTS AND EXPENDITURES**  
**EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS**  
(\$ in millions)

\$ Detail

Generic Receipt or Expense Category	October Month vs Mid-Year Forecast			Year-To-Date as of October 31st, 2018		
	Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
	\$	%		\$	%	
INSURANCE	1.850	100.0%	Timing of payments for insurance premiums relating to Station Liability and Force Account.	0.295	2.5%	
CLAIMS	(0.001)	(0.8%)		0.358	5.5%	Timing of passenger injury settlements.
MAINTENANCE & OTHER OPERATING CONTRACTS	2.664	16.6%	Reflects timing delays for the Bridgeport Derailment M-8 repairs and lower than anticipated expense for other miscellaneous maintenance and operating contracts, timing of Real Estate Management Services and Camera Kits partially offset by timing of payment for MTA Police Services.	13.553	11.0%	Timing delays for the BL-20 locomotive overhauls, Camera Kits, Bridgeport Derailment M-8 repairs and Real Estate Management Services as well as lower than anticipated expense for other miscellaneous maintenance and operating contracts, partially offset by payments for Capital Related Projects.
PROFESSIONAL SERVICE CONTRACTS	1.077	13.8%	Primarily due to timing of payments for Positive Train Control partially offset by timing of Legal Fees and MTA Audit Services.	35.478	50.7%	Primarily due to revised milestone scheduling of Capital Related Projects (Positive Train Control and Signal Replacement - Greenwich to South Norwalk) combined with timing of payments for NHL share of BSC/IT Costs and Engineering Services.
MATERIALS & SUPPLIES	0.446	3.4%	Timing of payments for materials placed into inventory.	(6.497)	(5.5%)	Timing of payments for materials placed into inventory.
OTHER BUSINESS EXPENSES	1.077	23.6%	Timing of payments to New Jersey Transit combined with lower payments for Miscellaneous Expenses.	1.710	4.7%	
MTA SUBSIDY RECEIPTS	24.727	*	Available cash balance combined with lower CDOT subsidy and higher net cash deficit.	0.394	0.1%	
CDOT SUBSIDY RECEIPTS	(5.714)	(58.3%)	Includes adjustment for final 2017 NHL Deficit invoice.	(10.879)	(9.8%)	Includes adjustment for final 2017 NHL Deficit invoice combined with lower share of prior months deficit than forecasted.

**MTA METRO-NORTH RAILROAD**  
**JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST**  
**CASH CONVERSION (CASH FLOW ADJUSTMENT)**  
(\$ in millions)

	October 2018				Year-to-Date			
			Favorable (Unfavorable)				Favorable (Unfavorable)	
	Mid-Year Forecast	Actual	Variance	Percent	Mid-Year Forecast	Actual	Variance	Percent
<b>Receipts</b>								
Farebox Revenue	(\$0.886)	\$2.045	\$2.931	*	(\$9.610)	(\$8.960)	\$0.650	6.8
Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	2.851	5.184	2.334	81.9	48.990	58.042	9.052	18.5
Capital & Other Reimbursements:		0.000			0.000	0.000		
MTA	(0.548)	0.421	0.969	*	(7.104)	(0.860)	6.243	87.9
CDOT	0.000	5.360	5.360	-	5.199	12.401	7.202	*
Other	0.000	(0.385)	(0.385)	-	2.513	1.786	(0.727)	(28.9)
Total Capital and Other Reimbursements	(0.548)	5.396	5.944	*	0.609	13.327	12.718	*
<b>Total Revenue/Receipts</b>	<b>\$1.417</b>	<b>\$12.626</b>	<b>\$11.209</b>	<b>*</b>	<b>\$39.989</b>	<b>\$62.409</b>	<b>\$22.420</b>	<b>56.1</b>
<b>Expenditures</b>								
<i>Labor:</i>								
Payroll	\$10.254	\$9.772	(\$0.482)	(4.7)	\$4.094	\$10.938	\$6.844	*
Overtime	(1.317)	(0.622)	0.696	52.8	(2.459)	0.098	2.557	*
Health and Welfare	(0.368)	(8.333)	(7.965)	*	(6.862)	(9.642)	(2.780)	(40.5)
OPEB Current Payment	0.000	(2.252)	0.000		1.895	(0.021)	(1.916)	*
Pensions	(0.059)	0.151	0.210	*	(1.798)	(2.160)	(0.362)	(20.2)
Other Fringe Benefits	2.295	2.748	0.453	19.7	(1.861)	(1.913)	(0.052)	(2.8)
GASB Account	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Reimbursable Overhead	(0.322)	(0.377)	(0.056)	(17.3)	(2.661)	(2.970)	(0.309)	(11.6)
<b>Total Labor</b>	<b>\$10.483</b>	<b>\$1.087</b>	<b>(\$9.396)</b>	<b>(89.6)</b>	<b>(\$9.651)</b>	<b>(\$5.671)</b>	<b>\$3.981</b>	<b>41.2</b>
<i>Non-Labor:</i>								
Electric Power	(\$0.174)	(\$0.767)	(\$0.594)	*	\$0.386	(\$3.056)	(\$3.442)	*
Fuel	0.039	0.322	0.283	*	(1.183)	(0.572)	0.611	51.7
Insurance	0.224	1.901	1.677	*	7.744	6.801	(0.942)	(12.2)
Claims	0.000	(0.097)	(0.097)	-	(2.033)	(1.494)	0.539	26.5
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	(1.766)	(2.428)	(0.662)	(37.5)	(10.891)	(5.017)	5.875	53.9
Professional Service Contracts	0.875	2.344	1.469	*	4.265	12.069	7.804	*
Materials & Supplies	(1.861)	(2.532)	(0.670)	(36.0)	(6.433)	(20.723)	(14.290)	*
Other Business Expenses	(1.776)	(0.924)	0.852	48.0	(11.264)	(9.034)	2.230	19.8
<b>Total Non-Labor</b>	<b>(\$4.438)</b>	<b>(\$2.182)</b>	<b>\$2.257</b>	<b>50.8</b>	<b>(\$19.410)</b>	<b>(\$21.026)</b>	<b>(\$1.616)</b>	<b>(8.3)</b>
<i>Other Adjustments:</i>								
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-
<b>Total Other Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>
<b>Total Expenditures Adjustments before Non-Cash</b>								
<b>Liability Adjs.</b>	<b>\$6.045</b>	<b>(\$1.095)</b>	<b>(\$7.139)</b>	<b>*</b>	<b>(\$29.062)</b>	<b>(\$26.696)</b>	<b>\$2.365</b>	<b>8.1</b>
Depreciation	20.542	18.870	(1.672)	(8.1)	202.551	190.588	(11.963)	(5.9)
OPEB Obligation	4.833	4.566	(0.267)	5.5	48.333	44.635	(3.698)	7.7
GASB68 Pension Adjustment	0.000	0.000	0.000	-	9.750	3.993	(5.757)	59.0
Environmental Remediation	0.000	14.355	14.355	-	3.000	16.859	13.859	*
<b>Total Expenditures Adjustments</b>	<b>\$31.420</b>	<b>\$36.696</b>	<b>\$5.276</b>	<b>16.8</b>	<b>\$234.573</b>	<b>\$229.379</b>	<b>(\$5.194)</b>	<b>(2.2)</b>
<b>Total Cash Conversion Adjustments</b>	<b>\$32.837</b>	<b>\$49.322</b>	<b>\$16.485</b>	<b>50.2</b>	<b>\$274.562</b>	<b>\$291.788</b>	<b>\$17.227</b>	<b>6.3</b>

**Notes:**

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

--The impact of MNR's Way Ahead which was captured in MTA Re-estimates within below-the-line adjustments in the 2018 July Financial Plan, has been allocated and is now reflected within the baseline Mid-Year Forecast

-- Differences are due to rounding.

\* Variance exceeds 100%.

**MTA METRO-NORTH RAILROAD**  
**JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST**  
**RIDERSHIP/UTILIZATION**  
**OCTOBER 2018**  
(in millions)

	MONTH			VARIANCE Fav/(Unfav)				YTD			VARIANCE Fav/(Unfav)			
	MID-YEAR FORECAST	2018	2017 <sup>(A)</sup>	MID-YEAR FORECAST	2017			MID-YEAR FORECAST	2018	2017 <sup>(A)</sup>	MID-YEAR FORECAST	2017		
<b>FAREBOX REVENUE</b>														
Harlem Line - Commutation	9.596	9.604	9.574	0.007	0.1%	0.030	0.3%	94.047	93.310	92.533	(0.737)	-0.8%	0.778	0.8%
Harlem Line - Non-Commutation	9.139	8.722	8.958	(0.417)	-4.6%	(0.236)	-2.6%	84.530	81.669	83.304	(2.862)	-3.4%	(1.635)	-2.0%
TOTAL HARLEM LINE	\$18.735	\$18.326	\$18.532	(\$0.409)	-2.2%	(\$0.206)	-1.1%	\$178.577	\$174.979	\$175.836	(\$3.598)	-2.0%	(\$0.857)	-0.5%
Hudson Line - Commutation	6.256	6.416	6.270	0.160	2.6%	0.146	2.3%	61.546	61.551	60.445	0.005	0.0%	1.106	1.8%
Hudson Line - Non-Commutation	8.091	8.102	8.165	0.011	0.1%	(0.063)	-0.8%	71.424	71.619	70.008	0.195	0.3%	1.611	2.3%
TOTAL HUDSON LINE	\$14.347	\$14.518	\$14.435	\$0.171	1.2%	\$0.083	0.6%	\$132.970	\$133.170	\$130.453	\$0.200	0.2%	\$2.717	2.1%
New Haven Line - Commutation	14.045	13.757	13.528	(0.288)	-2.1%	0.229	1.7%	134.937	132.399	131.107	(2.538)	-1.9%	1.291	1.0%
New Haven Line - Non-Commutation	16.759	16.672	16.427	(0.087)	-0.5%	0.245	1.5%	159.324	159.530	157.300	0.206	0.1%	2.230	1.4%
TOTAL NEW HAVEN LINE	<u>\$30.804</u>	<u>\$30.429</u>	<u>\$29.955</u>	<u>(\$0.375)</u>	<u>-1.2%</u>	<u>\$0.474</u>	<u>1.6%</u>	<u>\$294.262</u>	<u>\$291.929</u>	<u>\$288.407</u>	<u>(\$2.332)</u>	<u>-0.8%</u>	<u>\$3.522</u>	<u>1.2%</u>
All Lines - Commutation	29.897	29.777	29.372	(0.120)	-0.4%	0.405	1.4%	290.530	287.261	284.085	(3.270)	-1.1%	3.175	1.1%
All Lines - Non-Commutation	33.989	33.496	33.550	(0.493)	-1.5%	(0.054)	-0.2%	315.279	312.818	310.611	(2.461)	-0.8%	2.207	0.7%
TOTAL EAST OF HUDSON LINES	\$63.886	\$63.273	\$62.922	(\$0.613)	-1.0%	\$0.351	0.6%	\$605.809	\$600.078	\$594.696	(\$5.731)	-0.9%	\$5.382	0.9%
West of Hudson <sup>(B)</sup>	<u>\$1.065</u>	<u>\$0.878</u>	<u>\$1.189</u>	<u>(0.187)</u>	<u>-17.5%</u>	<u>(0.311)</u>	<u>-26.1%</u>	<u>\$11.991</u>	<u>\$11.861</u>	<u>\$11.966</u>	<u>(0.130)</u>	<u>-1.1%</u>	<u>(0.105)</u>	<u>-0.9%</u>
TOTAL FAREBOX REVENUE	\$64.951	\$64.151	\$64.111	(\$0.800)	-1.2%	\$0.040	0.1%	\$617.800	\$611.940	\$606.662	(\$5.860)	-0.9%	\$5.277	0.9%
<b>RIDERSHIP</b>														
Harlem Line - Commutation	1.546	1.557	1.556	0.011	0.7%	0.001	0.0%	14.057	14.012	14.063	(0.045)	-0.3%	(0.051)	-0.4%
Harlem Line - Non-Commutation	1.010	0.943	0.997	(0.067)	-6.7%	(0.055)	-5.5%	9.187	8.875	9.178	(0.312)	-3.4%	(0.303)	-3.3%
TOTAL HARLEM LINE	2.556	2.500	2.554	(0.057)	-2.2%	(0.054)	-2.1%	23.244	22.887	23.241	(0.357)	-1.5%	(0.354)	-1.5%
Hudson Line - Commutation	0.858	0.888	0.868	0.031	3.6%	0.020	2.4%	7.853	7.918	7.848	0.065	0.8%	0.070	0.9%
Hudson Line - Non-Commutation	0.707	0.708	0.719	0.001	0.1%	(0.011)	-1.5%	6.343	6.377	6.296	0.034	0.5%	0.081	1.3%
TOTAL HUDSON LINE	1.564	1.596	1.587	0.032	2.0%	0.009	0.6%	14.196	14.295	14.144	0.099	0.7%	0.151	1.1%
New Haven Line - Commutation	2.068	2.088	2.081	0.020	1.0%	0.007	0.3%	18.634	18.633	18.756	(0.001)	0.0%	(0.123)	-0.7%
New Haven Line - Non-Commutation	1.552	1.554	1.565	0.002	0.1%	(0.011)	-0.7%	14.831	14.897	14.736	0.066	0.4%	0.161	1.1%
TOTAL NEW HAVEN LINE	<u>3.620</u>	<u>3.642</u>	<u>3.646</u>	<u>0.022</u>	<u>0.6%</u>	<u>(0.003)</u>	<u>-0.1%</u>	<u>33.465</u>	<u>33.530</u>	<u>33.492</u>	<u>0.065</u>	<u>0.2%</u>	<u>0.038</u>	<u>0.1%</u>
Total Ridership East of Hudson														
All Lines - Commutation	4.471	4.533	4.505	0.062	1.4%	0.028	0.6%	40.544	40.563	40.667	0.020	0.0%	(0.104)	-0.3%
All Lines - Non-Commutation	3.269	3.204	3.281	(0.064)	-2.0%	(0.076)	-2.3%	30.361	30.149	30.210	(0.212)	-0.7%	(0.060)	-0.2%
TOTAL EAST OF HUDSON LINES	7.740	7.738	7.786	(0.002)	0.0%	(0.048)	-0.6%	70.905	70.712	70.876	(0.193)	-0.3%	(0.164)	-0.2%
West of Hudson <sup>(B)</sup>	<u>0.121</u>	<u>0.128</u>	<u>0.143</u>	<u>0.007</u>	<u>5.6%</u>	<u>(0.015)</u>	<u>-10.4%</u>	<u>1.340</u>	<u>1.350</u>	<u>1.360</u>	<u>0.010</u>	<u>0.8%</u>	<u>(0.010)</u>	<u>-0.7%</u>
TOTAL EAST & WEST OF HUDSON LINES	7.861	7.866	7.929	0.004	0.1%	(0.063)	-0.8%	72.245	72.062	72.237	(0.182)	-0.3%	(0.174)	-0.2%

<sup>(A)</sup> 2017 Ridership figures have been restated to simulate the 2018 calendar.

<sup>(B)</sup> West of Hudson current year actuals are preliminary and prior year actuals are stated as received from New Jersey Transit.

**MTA METRO-NORTH RAILROAD**  
**2018 MID-YEAR FORECAST VS. ACTUALS**  
**TOTAL FULL-TIME POSITIONS AND FULL-TIME EQUIVALENTS**  
**October 31, 2018**

<u>Department</u>	<u>Mid-Year Forecast</u>	<u>Actual</u>	<u>Favorable (Unfavorable) Variance</u>	<u>Notes</u>
<b>Administration</b>				
President	3	3	-	
Labor Relations	18	14	4	
Safety	56	56	0	
Security	25	23	2	
Office of the Executive VP	9	9	-	
Corporate & Public Affairs	19	16	3	
Customer Service	67	59	8	A
Legal	12	11	1	
Claims	12	12	0	
Environmental Compliance & Svce	6	6	0	
Human Resources	49	47	2	
Training	85	86	(1)	
Employee Relations & Diversity	6	4	2	
VP Planning	2	2	-	
Operations Planning & Analysis	22	21	1	
Capital Planning & Programming	13	13	-	
Long Range Planning	8	8	0	
VP Finance & Info Systems	4	-	4	B
Controller	75	71	4	C
Budget	17	16	1	
Procurement & Material Management	25	27	(2)	
<b>Total Administration</b>	<b>533</b>	<b>503</b>	<b>30</b>	
<b>Operations</b>				
Operations Administration	70	76	(6)	B
Transportation	1,648	1,625	23	A,D
Customer Service	291	270	21	A
Metro-North West	25	32	(7)	D
<b>Total Operations</b>	<b>2,034</b>	<b>2,003</b>	<b>31</b>	
<b>Maintenance</b>				
Maintenance of Equipment	1,688	1,664	24	A
Maintenance of Way	2,237	2,161	76	A,B,D
Procurement & Material Mgmt	121	120	1	
<b>Total Maintenance</b>	<b>4,046</b>	<b>3,944</b>	<b>102</b>	
<b>Engineering/Capital</b>				
Construction Management	42	36	6	
Engineering & Design	79	77	2	
<b>Total Engineering/Capital</b>	<b>121</b>	<b>113</b>	<b>8</b>	
<b>Total Positions</b>	<b>6,734</b>	<b>6,564</b>	<b>170</b>	
<b>Non-Reimbursable</b>	<b>5,978</b>	<b>5,945</b>	<b>33</b>	
<b>Reimbursable</b>	<b>756</b>	<b>619</b>	<b>137</b>	
<b>Total Full-Time</b>	<b>6,733</b>	<b>6,563</b>	<b>170</b>	
<b>Total Full-Time-Equivalents (of part-time positions)</b>	<b>1</b>	<b>1</b>	<b>-</b>	

**Notes**

(A) Variance reflects delayed hiring of vacant positions.

(B) Variance reflects the transfer of certain Enterprise Asset Management functions and positions from Maintenance of Way and VP Finance & Info Systems to Operations Administration.

(C) Variance reflects higher attrition than planned.

(D) Metro-North West unfavorable variance is due to the transfer of Maintenance of Way and Transportation staff supporting West of Hudson activity.

**MTA METRO-NORTH RAILROAD**  
**2018 MID-YEAR FORECAST VS. ACTUALS**  
**TOTAL FULL-TIME POSITIONS AND FULL-TIME EQUIVALENTS**  
**October 31, 2018**

<b>FUNCTION/OCCUPATION</b>	<b>Mid-Year Forecast</b>	<b>Actual</b>	<b>Favorable (Unfavorable) Variance</b>
<b>Administration</b>			
Managers/Supervisors	185	170	15
Professional, Technical, Clerical	348	333	15
Operational Hourlies	-	-	-
<b>Total Administration</b>	<b>533</b>	<b>503</b>	<b>30</b>
<b>Operations</b>			
Managers/Supervisors	258	240	18
Professional, Technical, Clerical	184	174	10
Operational Hourlies	1,592	1,589	3
<b>Total Operations</b>	<b>2,034</b>	<b>2,003</b>	<b>31</b>
<b>Maintenance</b>			
Managers/Supervisors	633	649	(16)
Professional, Technical, Clerical	521	493	28
Operational Hourlies	2,892	2,803	89
<b>Total Maintenance</b>	<b>4,046</b>	<b>3,944</b>	<b>102</b>
<b>Engineering/Capital</b>			
Managers/Supervisors	46	47	(1)
Professional, Technical, Clerical	75	66	9
Operational Hourlies	-	-	-
	<b>121</b>	<b>113</b>	<b>8</b>
<b>Public Safety</b>			
Managers/Supervisors	-	-	-
Professional, Technical, Clerical	-	-	-
Operational Hourlies	-	-	-
<b>Total Public Safety</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total Positions</b>			
Managers/Supervisors	1,122	1,106	16
Professional, Technical, Clerical	1,128	1,066	62
Operational Hourlies	4,484	4,391	93
<b>Total Positions</b>	<b>6,734</b>	<b>6,564</b>	<b>170</b>

**MTA METRO-NORTH RAILROAD**  
**2018 MID-YEAR FORECAST VS. ACTUALS**  
**October 31, 2018**

<b>Agency-wide (Non-Reimbursable and Reimbursable)</b>	<b>Mid-Year Forecast</b>	<b>Actual</b>	<b>Favorable (Unfavorable) Variance</b>	<b>Explanation of Variances</b>
<i>Functional Classification:</i>				
Administration	533	503	30	Primarily reflects delayed hiring of vacant positions and higher attrition than planned as well as the transfer of certain Enterprise Asset Management functions and positions from Maintenance of Way and VP Finance & Info Systems to Operations Administration.
Operations	2,034	2,003	31	Primarily reflects delayed hiring of vacant positions partially offset by the transfer of certain Enterprise Asset Management functions and positions from Maintenance of Way and VP Finance & Info Systems to Operations Administration.
Maintenance	4,046	3,944	102	Primarily reflects delayed hiring of vacant positions and the transfer of certain Enterprise Asset Management functions and positions from Maintenance of Way and VP Finance & Info Systems to Operations Administration.
Engineering / Capital	121	113	8	
<b>Total Agency-wide Headcount</b>	<b>6,734</b>	<b>6,564</b>	<b>170</b>	
Non-Reimbursable	5,978	5,945	33	
Reimbursable	756	619	137	

**MTA METRO-NORTH RAILROAD**  
**JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST**  
**MONTHLY PERFORMANCE INDICATORS <sup>(A)</sup>**  
**OCTOBER 2018**

	<b>MONTH</b>			<b>VARIANCE</b>	
	<b>MYF</b>	<b>2018</b>	<b>2017</b>	<b>Fav/(Unfav)</b>	
				<b>MYF</b>	<b>2017</b>
Farebox Operating Ratio					
Standard <sup>(B)</sup>	55.9%	54.8%	61.1%	-1.1%	-6.3%
Adjusted <sup>(C)</sup>	62.8%	61.1%	68.3%	-1.6%	-7.2%
Cost per Passenger					
Standard <sup>(B)</sup>	\$14.77	\$14.88	\$13.54	(\$0.11)	(\$1.35)
Adjusted <sup>(C)</sup>	\$14.43	\$14.53	\$13.34	(\$0.10)	(\$1.19)
Passenger Revenue/Passenger	\$8.26	\$8.16	\$8.27	(\$0.11)	(\$0.11)

	<b>YEAR-TO-DATE</b>			<b>VARIANCE</b>	
	<b>MYF</b>	<b>2018</b>	<b>2017</b>	<b>Fav/(Unfav)</b>	
				<b>MYF</b>	<b>2017</b>
Farebox Operating Ratio					
Standard <sup>(B)</sup>	55.1%	55.1%	57.6%	0.1%	-2.4%
Adjusted <sup>(C)</sup>	61.2%	61.2%	64.5%	0.0%	-3.4%
Cost per Passenger					
Standard <sup>(B)</sup>	\$15.53	\$15.40	\$14.62	\$0.13	(\$0.78)
Adjusted <sup>(C)</sup>	\$15.16	\$15.00	\$14.26	\$0.16	(\$0.74)
Passenger Revenue/Passenger	\$8.55	\$8.49	\$8.42	(\$0.06)	\$0.07

(A) Monthly Performance Indicators include both East and West of Hudson revenue and expenses.

(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.

**MTA METRO-NORTH RAILROAD**  
**MID-YEAR FORECAST AND NOVEMBER FORECAST vs. ACTUAL RESULTS (NON-REIMBURSABLE)**  
**OCTOBER 2018 YEAR-TO-DATE**  
(\$ in millions)

	October Year-to-Date			Fav/(Unfav) Variance			
	Mid-Year Forecast	November Forecast	Actual	Mid-Year Forecast		November Forecast	
	\$	\$	\$	\$ Var	% Var	\$ Var	% Var
Total Revenue	662.7	658.3	653.5	(9.2)	(1.4)	(4.8)	(0.7)
Total Expenses before Non-Cash Liability Adjs	1,104.0	1,110.6	1,105.2	(1.2)	(0.1)	5.4	0.5
Depreciation	202.6	200.9	190.6	12.0	5.9	10.3	5.1
OPEB Obligation	48.3	47.5	44.6	3.7	7.7	2.9	6.1
GASB 68 Pension Adjustment	9.8	6.7	4.0	5.8	59.0	2.7	40.0
Environmental Remediation	3.0	3.2	16.9	(13.9)	(462.0)	(13.7)	(435.2)
Total Expenses	1,367.7	1,368.8	1,361.3	6.4	0.5	7.5	0.5
<b>Net Surplus/(Deficit)</b>	<b>(705.0)</b>	<b>(710.5)</b>	<b>(707.8)</b>	<b>(2.8)</b>	<b>(0.4)</b>	<b>2.7</b>	<b>0.4</b>

Note: Totals may not add due to rounding

**MTA METRO-NORTH RAILROAD**  
**EXPLANATION OF VARIANCES BETWEEN NOVEMBER FORECAST AND ACTUAL RESULTS**  
**NON-REIMBURSABLE**  
**OCTOBER 2018 YEAR-TO-DATE**  
**(\$ in millions)**

	<b>Favorable/(Unfavorable)</b>		<b>Variance Explanation</b>
	<u>Variance</u>	<u>Percent</u>	
Total Revenue	(\$4.8)	(0.7)	Unfavorable variance primarily due to lower than forecasted fare revenue resulting from a lower commutation yield per passenger and lower non-commutation ridership.
Total Expenses	\$7.5	0.5	Favorable variance primarily due to timing of maintenance services contracts partially offset by unfavorable overtime costs resulting from higher than forecasted programmatic maintenance.

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

## Ridership Report

**Michael Shiffer**

Vice President, Planning



MTA Metro-North train traveling southbound on the Hudson Line.

*Photo courtesy of Linda Morris*



# Metro-North Railroad

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## December 2018 Highlights: Ridership Report

### October 2018 vs. 2017

- East of Hudson ridership decreased 0.6% vs. October 2017 and was unchanged vs. forecast
  - Commutation ridership increased 0.6%
  - Non-Commutation ridership decreased 2.3%
- Harlem Line non-commutation ridership was down 5.5% due in part to the reduced weekday off-peak and weekend service levels to accommodate White Plains station improvements. Non-Commutation Hudson Line ridership was also down 1.5% due to upper Hudson weekend track work.
- East of Hudson ridership by line:
  - Hudson Line ridership increased 0.6%
  - Harlem Line ridership decreased 2.1%
  - New Haven Line ridership decreased 0.1%

### 2018 vs. 2017 YTD

- Total YTD rail ridership is 0.2% below 2017 and 0.3% below forecast
  - YTD Commutation ridership is 0.3% below 2017
  - YTD Non-Commutation ridership is 0.2% below 2017

**Michael Shiffer**  
Vice President  
Planning

**OCTOBER 2018 RIDERSHIP & REVENUE REPORT  
MTA METRO-NORTH RAILROAD**

**RIDERSHIP SUMMARY**

**October Ridership and Revenue (millions)**

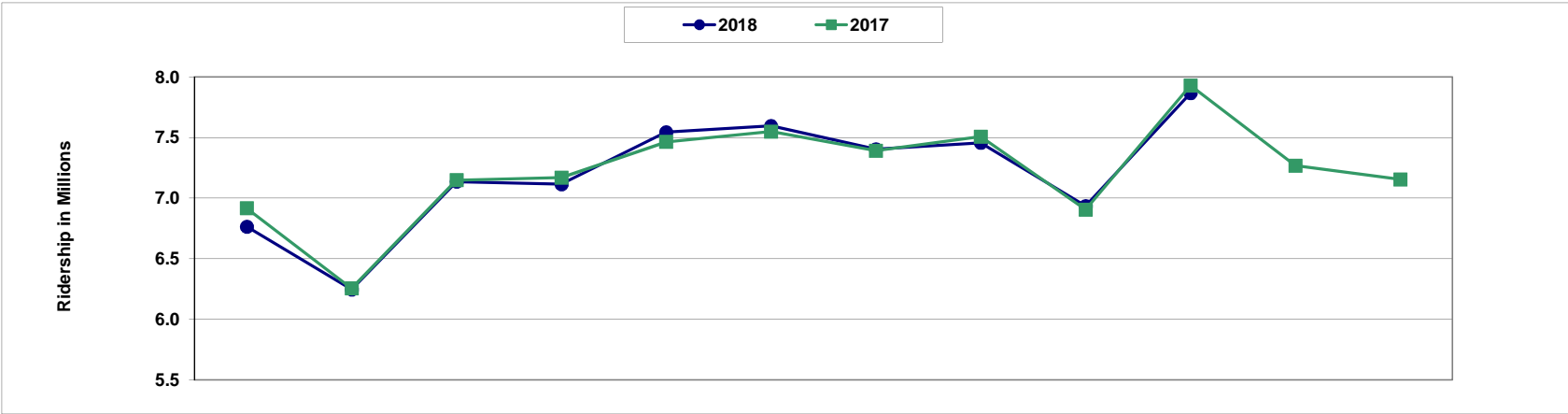
	October 2018	% Change vs. 2017
Total Rail Ridership	7.866	-0.8% ▼
Commutation Ridership	4.606	+0.4% ▲
Non-Commutation Ridership	3.260	-2.4% ▼
Connecting Service Ridership	0.055	+0.5% ▲
Total MNR System Ridership	7.921	-0.8% ▼
Rail Revenue	\$64.2	+0.1% ▲

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

	YTD 2018	% Change vs. 2017	Comparison to Forecast
Total Rail Ridership	72.062	-0.2% ▼	-0.3% ▼
Commutation Ridership	41.310	-0.3% ▼	+0.1% ▲
Non-Commutation Ridership	30.752	-0.2% ▼	-0.7% ▼
Connecting Service Ridership	0.488	-1.5% ▼	+0.2% ▲
Total MNR System Ridership	72.550	-0.2% ▼	-0.2% ▼
Rail Revenue	\$611.9	+0.9% ▲	-0.9% ▼

# OCTOBER RAIL RIDERSHIP (1)

- October's Total Rail Ridership was 0.8% below 2017 and 0.1% above forecast.

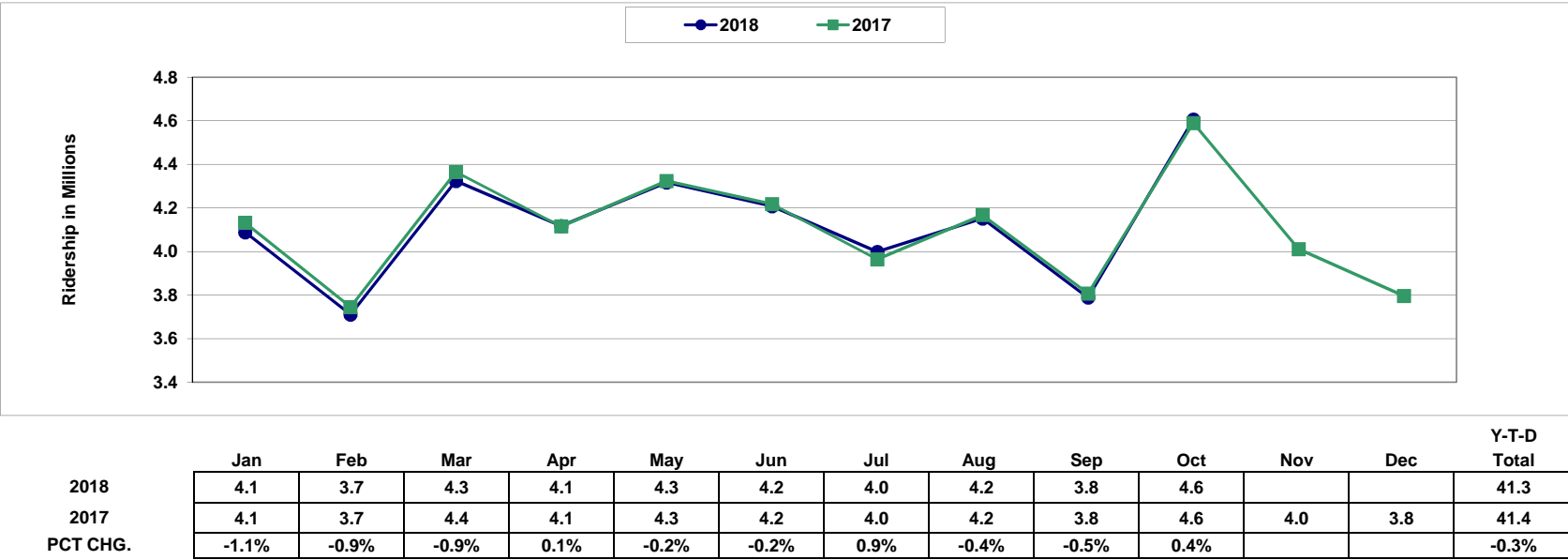


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2018	6.8	6.2	7.1	7.1	7.5	7.6	7.4	7.5	6.9	7.9			72.1
2017	6.9	6.3	7.1	7.2	7.5	7.5	7.4	7.5	6.9	7.9	7.3	7.2	72.2
PCT CHG.	-2.2%	-0.1%	-0.2%	-0.8%	1.1%	0.6%	0.2%	-0.7%	0.4%	-0.8%			-0.2%

1) Includes East and West of Hudson.

OCTOBER RAIL COMMUTATION RIDERSHIP (1)

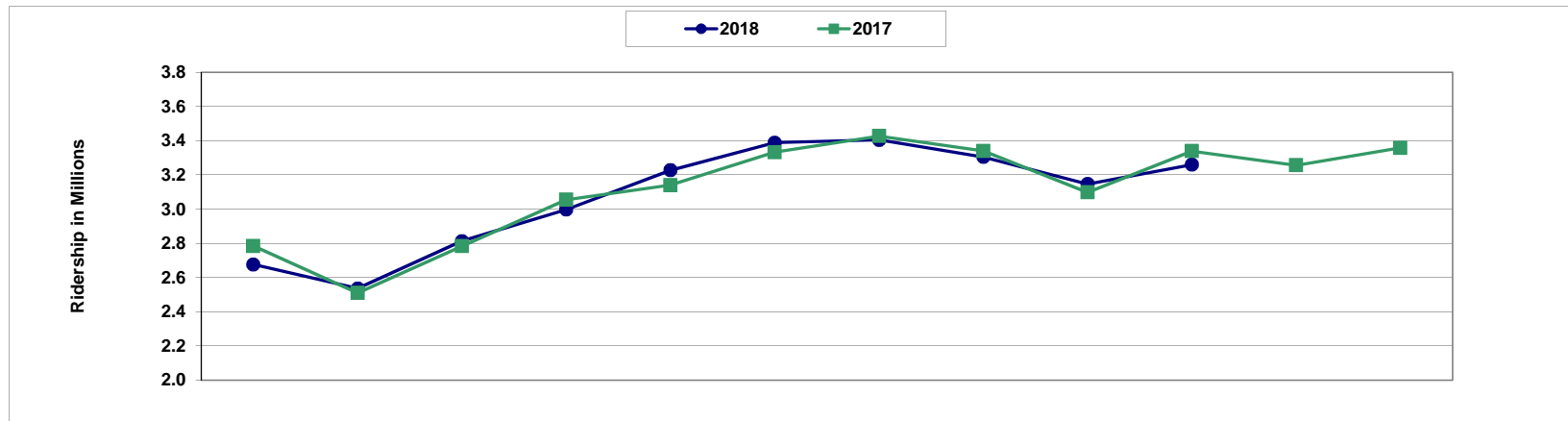
• October's Rail Commutation Ridership was 0.4% above 2017 and 1.4% above forecast.



1) Includes East and West of Hudson.

# OCTOBER RAIL NON-COMMUTATION RIDERSHIP (1)

• October's Rail Non-Commutation Ridership was 2.4% below 2017 and 1.8% below forecast.

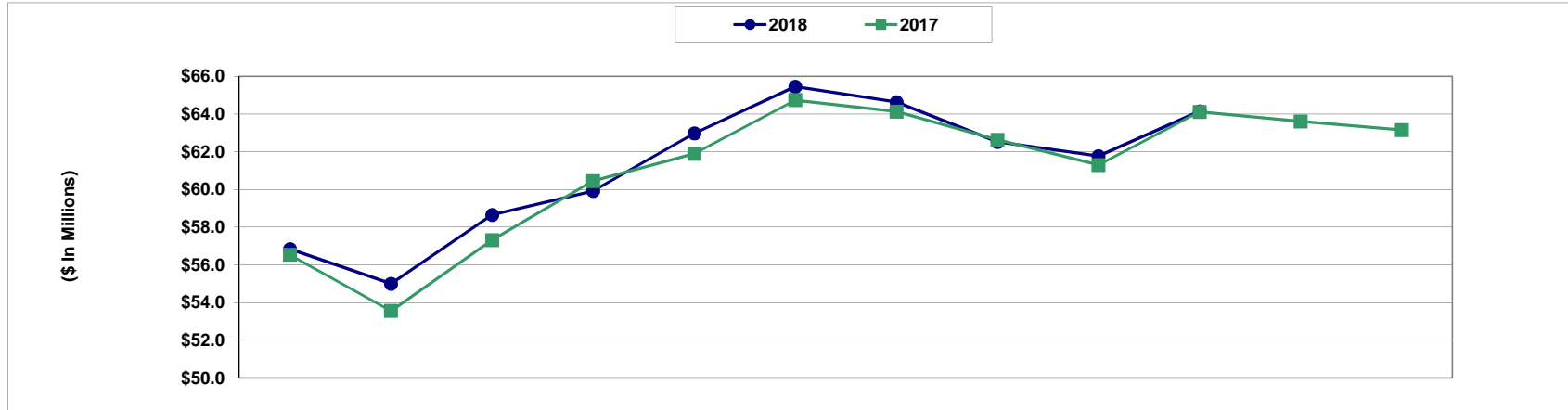


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2018	2.7	2.5	2.8	3.0	3.2	3.4	3.4	3.3	3.1	3.3			30.8
2017	2.8	2.5	2.8	3.1	3.1	3.3	3.4	3.3	3.1	3.3	3.3	3.4	30.8
PCT CHG.	-3.9%	1.0%	1.0%	-1.9%	2.8%	1.7%	-0.7%	-1.0%	1.6%	-2.4%			-0.2%

1) Includes East and West of Hudson.

# OCTOBER RAIL REVENUE (1)

- October's Total Rail Revenue was 0.1% above 2017 and 1.2% below forecast.



	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2018	\$56.8	\$55.0	\$58.6	\$59.9	\$63.0	\$65.5	\$64.6	\$62.5	\$61.8	\$64.2			\$611.9
2017	\$56.5	\$53.6	\$57.3	\$60.4	\$61.9	\$64.7	\$64.1	\$62.6	\$61.3	\$64.1	\$63.6	\$63.2	\$606.7
PCT CHG.	0.5%	2.7%	2.3%	-0.9%	1.7%	1.1%	0.8%	-0.2%	0.8%	0.1%			0.9%

1) Includes East and West of Hudson.

**MTA METRO-NORTH RAILROAD  
RIDERSHIP SUMMARY  
OCTOBER 2018**

TICKET TYPE/SERVICE	OCTOBER 2018 ACTUAL	OCTOBER 2018 FORECAST	VARIANCE VS. FORECAST		OCTOBER 2017 RESTATE (1)	CHANGE FROM 2017	
			AMOUNT	PERCENT		AMOUNT	PERCENT
<b>RAIL COMMUTATION RIDERSHIP</b>							
East of Hudson	4,533,480	4,471,418	62,062	1.4%	4,505,329	28,151	0.6%
West of Hudson	72,922	70,373	2,549	3.6%	84,265	(11,343)	-13.5%
<b>Total Rail Commutation Ridership</b>	<b>4,606,402</b>	<b>4,541,791</b>	<b>64,611</b>	<b>1.4%</b>	<b>4,589,594</b>	<b>16,808</b>	<b>0.4%</b>
<b>RAIL NON-COMMUTATION RIDERSHIP</b>							
East of Hudson	3,204,320	3,268,731	(64,411)	-2.0%	3,280,641	(76,321)	-2.3%
West of Hudson	55,077	50,814	4,263	8.4%	58,616	(3,539)	-6.0%
<b>Total Rail Non-Commutation Ridership</b>	<b>3,259,397</b>	<b>3,319,545</b>	<b>(60,148)</b>	<b>-1.8%</b>	<b>3,339,257</b>	<b>(79,860)</b>	<b>-2.4%</b>
<b>TOTAL RAIL RIDERSHIP</b>							
East of Hudson	7,737,800	7,740,149	(2,349)	0.0%	7,785,970	(48,170)	-0.6%
West of Hudson (2)	127,999	121,187	6,812	5.6%	142,881	(14,882)	-10.4%
<b>TOTAL RAIL RIDERSHIP</b>	<b>7,865,799</b>	<b>7,861,336</b>	<b>4,463</b>	<b>0.1%</b>	<b>7,928,851</b>	<b>(63,052)</b>	<b>-0.8%</b>
<b>CONNECTING SERVICES RIDERSHIP (3)</b>	<b>55,608</b>	<b>55,559</b>	<b>49</b>	<b>0.1%</b>	<b>55,306</b>	<b>302</b>	<b>0.5%</b>
<b>TOTAL MNR SYSTEM RIDERSHIP</b>	<b>7,921,407</b>	<b>7,916,895</b>	<b>4,512</b>	<b>0.1%</b>	<b>7,984,157</b>	<b>(62,750)</b>	<b>-0.8%</b>

Notes:

- 1) 2017 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  
2018 YEAR-TO-DATE**

TICKET TYPE/SERVICE	2018 YTD	2018 YTD	VARIANCE VS. FORECAST		2017 YTD	CHANGE FROM 2017	
	ACTUAL	FORECAST	AMOUNT	PERCENT	RESTATED (1)	AMOUNT	PERCENT
<b>RAIL COMMUTATION RIDERSHIP</b>							
East of Hudson	40,563,084	40,543,502	19,582	0.0%	40,666,613	(103,529)	-0.3%
West of Hudson	747,233	745,098	2,135	0.3%	761,167	(13,934)	-1.8%
<b>Total Rail Commutation Ridership</b>	<b>41,310,317</b>	<b>41,288,600</b>	<b>21,717</b>	<b>0.1%</b>	<b>41,427,780</b>	<b>(117,463)</b>	<b>-0.3%</b>
<b>RAIL NON-COMMUTATION RIDERSHIP</b>							
East of Hudson	30,149,241	30,361,468	(212,227)	-0.7%	30,209,634	(60,393)	-0.2%
West of Hudson	602,914	594,575	8,339	1.4%	599,106	3,808	0.6%
<b>Total Rail Non-Commutation Ridership</b>	<b>30,752,155</b>	<b>30,956,043</b>	<b>(203,888)</b>	<b>-0.7%</b>	<b>30,808,740</b>	<b>(56,585)</b>	<b>-0.2%</b>
<b>TOTAL RAIL RIDERSHIP</b>							
East of Hudson	70,712,325	70,904,970	(192,645)	-0.3%	70,876,247	(163,922)	-0.2%
West of Hudson	1,350,147	1,339,673	10,474	0.8%	1,360,273	(10,126)	-0.7%
<b>TOTAL RAIL RIDERSHIP</b>	<b>72,062,472</b>	<b>72,244,643</b>	<b>(182,171)</b>	<b>-0.3%</b>	<b>72,236,520</b>	<b>(174,048)</b>	<b>-0.2%</b>
<b>CONNECTING SERVICES RIDERSHIP (2)</b>	<b>488,489</b>	<b>487,497</b>	<b>992</b>	<b>0.2%</b>	<b>495,770</b>	<b>(7,281)</b>	<b>-1.5%</b>
<b>TOTAL MNR SYSTEM RIDERSHIP</b>	<b>72,550,961</b>	<b>72,732,140</b>	<b>(181,179)</b>	<b>-0.2%</b>	<b>72,732,290</b>	<b>(181,329)</b>	<b>-0.2%</b>

Notes:

1) 2017 ridership figures have been restated to eliminate calendar impacts on ridership.

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

**MTA METRO-NORTH RAILROAD  
RIDERSHIP BY LINE  
OCTOBER 2018**

LINE	OCTOBER 2018 ACTUAL	OCTOBER 2017 RESTATED (1)	CHANGE FROM 2017	
			AMOUNT	PERCENT
<b>EAST OF HUDSON</b>				
Harlem Line	2,499,505	2,553,701	(54,196)	-2.1%
Hudson Line	1,596,154	1,586,692	9,462	0.6%
New Haven Line	3,642,141	3,645,577	(3,436)	-0.1%
<b>Total East of Hudson</b>	<b>7,737,800</b>	<b>7,785,970</b>	<b>(48,170)</b>	<b>-0.6%</b>
<b>WEST OF HUDSON</b>				
Port Jervis Line	75,435	89,272	(13,837)	-15.5%
Pascack Valley Line	52,564	53,609	(1,045)	-1.9%
<b>Total West of Hudson (2)</b>	<b>127,999</b>	<b>142,881</b>	<b>(14,882)</b>	<b>-10.4%</b>
<b>TOTAL RAIL RIDERSHIP</b>	<b>7,865,799</b>	<b>7,928,851</b>	<b>(63,052)</b>	<b>-0.8%</b>
<b>CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS</b>				
Hudson Rail Link	37,850	34,512	3,338	9.7%
Haverstraw-Ossining Ferry (3)	12,181	13,648	(1,467)	-10.7%
Newburgh-Beacon Ferry	5,577	7,146	(1,569)	-22.0%
<b>Total Connecting Services</b>	<b>55,608</b>	<b>55,306</b>	<b>302</b>	<b>0.5%</b>
<b>TOTAL MNR SYSTEM</b>	<b>7,921,407</b>	<b>7,984,157</b>	<b>(62,750)</b>	<b>-0.8%</b>

Notes:

- 1) 2017 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.

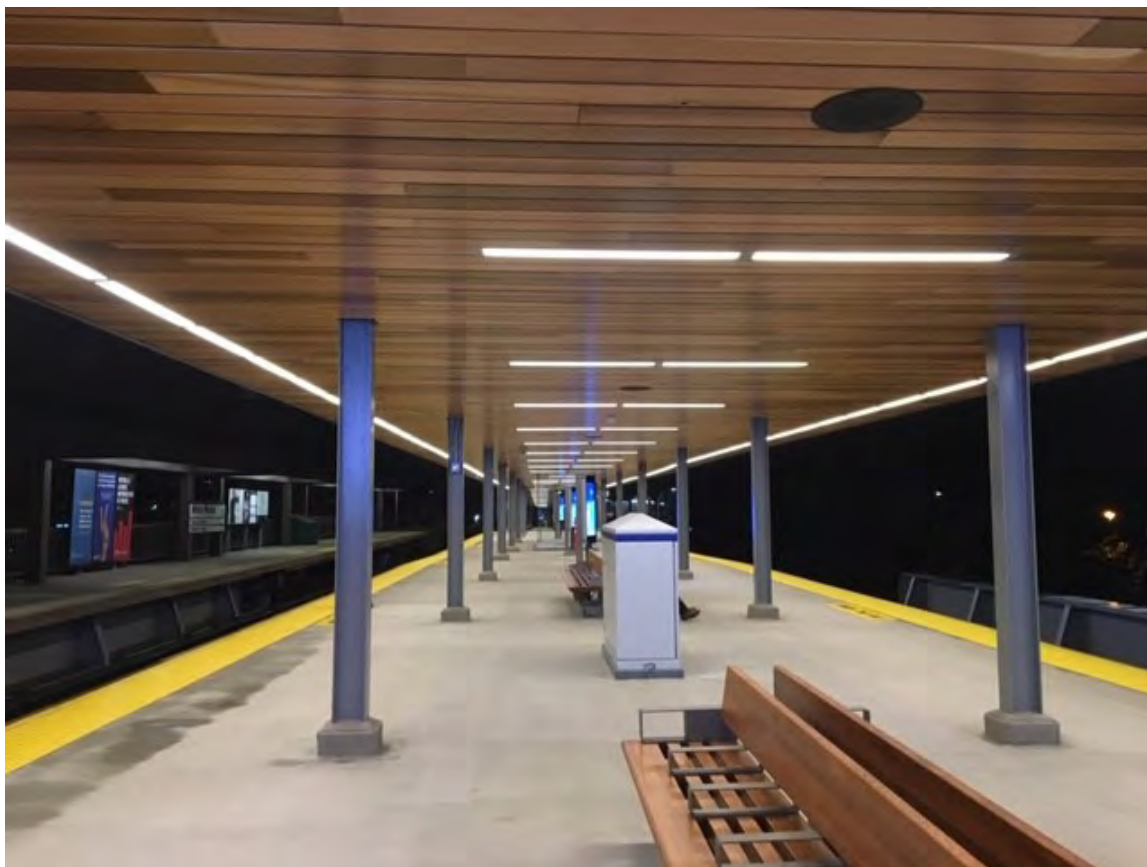
## MTA METRO-NORTH RAILROAD

RIDERSHIP BY LINE  
2018 YEAR-TO-DATE

TICKET TYPE/SERVICE	2018 YTD ACTUAL	2017 YTD RESTATED (1)	CHANGE FROM 2017	
			AMOUNT	PERCENT
<b>EAST OF HUDSON</b>				
Harlem Line	22,887,401	23,241,169	(353,768)	-1.5%
Hudson Line	14,294,996	14,143,526	151,470	1.1%
New Haven Line	33,529,928	33,491,552	38,376	0.1%
<b>Total East of Hudson</b>	<b>70,712,325</b>	<b>70,876,247</b>	<b>(163,922)</b>	<b>-0.2%</b>
<b>WEST OF HUDSON</b>				
Port Jervis Line	797,280	815,680	(18,400)	-2.3%
Pascack Valley Line	552,867	544,593	8,274	1.5%
<b>Total West of Hudson</b>	<b>1,350,147</b>	<b>1,360,273</b>	<b>(10,126)</b>	<b>-0.7%</b>
<b>TOTAL RAIL RIDERSHIP</b>	<b>72,062,472</b>	<b>72,236,520</b>	<b>(174,048)</b>	<b>-0.2%</b>
<b>CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS</b>				
Hudson Rail Link	336,267	332,278	3,989	1.2%
Haverstraw-Ossining Ferry	104,147	109,006	(4,859)	-4.5%
Newburgh-Beacon Ferry	48,075	54,486	(6,411)	-11.8%
<b>Total Connecting Services</b>	<b>488,489</b>	<b>495,770</b>	<b>(7,281)</b>	<b>-1.5%</b>
<b>TOTAL MNR SYSTEM</b>	<b>72,550,961</b>	<b>72,732,290</b>	<b>(181,329)</b>	<b>-0.2%</b>

## Notes:

1) 2017 ridership figures have been restated to eliminate calendar impacts on ridership.



**White Plains Station – New Platform Canopy and Amenities**

Station Improvement Initiatives at Harlem-125<sup>th</sup> Street, Riverdale, Crestwood, White Plains and Port Chester



## **October 2018 Highlights: Safety Report**

MNR's fourth quarter Safety Focus Day was held on November 28, 2018 at work locations system wide. Safety Focus Day provides opportunities for our employees to discuss relevant safety topics and provide feedback as well as report safety concerns. Some of the topics covered were the importance of detailed safety briefings, winter safety hazards and the importance of the safety related components of MNR's strategic plan.

On October 26, 2018, MNR conducted a full-scale emergency preparedness exercise in the Park Avenue Tunnel. The scenario simulated the derailment and evacuation of a passenger train in the tunnel, and included response from MNR, MTAPD and FDNY. The exercise was designed to validate each agency's capabilities for responding to an incident in the Park Avenue Tunnel, and helped to evaluate coordination and communication processes between these agencies during a multi-agency incident response to a train emergency.

MNR continues to see positive trends in reducing employee lost time injuries. Overall, for the current 12-month period (November 17 – October 18) versus the previous 12-month period (November 16 – October 17), lost time per 200,000 working hours were reduced by 15.4%. The decrease can be attributed to various ongoing safety initiatives. A new system wide housekeeping initiative was launched to support a collaborative approach between employees and management to transform work areas into safer work zones. The goal of this initiative is to identify, evaluate, and prevent potential housekeeping issues from occurring. The most recent effort was focused on cleaning the track and yard areas around Grand Central Terminal.

Customer injuries continue to experience a decline. For the current 12-month period (November 17 – October 18), the customer reportable injury rate per million customers decreased by 9.3% compared to the previous 12-month period (November 16 – October 17).). Although customer injuries are on the decline, we continue to maintain a strong effort to promote safe behaviors at or around trains, tracks and grade crossings through our safety education community outreach program, Together Railroads and Communities Keeping Safe (TRACKS).

**Justin R. Vonashek**  
Vice President  
Office of System Safety

**CAPITAL PROGRAM  
HIGHLIGHTS  
November 30, 2018**

**ROLLING STOCK**

**M-8 Procurement Option**

Metro-North, in partnership with Connecticut Department of Transportation, executed an agreement with the manufacturer in January 2017 to purchase 60 additional M-8 cars for the New Haven Line. An additional 6 cars of an up to 34 car option were ordered in June 2018 under the last option which brings the total of additional cars to 66 – 33 “A” Cars and 33 “B” Cars. The new cars will begin to arrive in the fourth quarter 2019. These cars will be fully interoperable and benefit from parts compatibility, reducing operating and future procurement costs with the 405 M-8 cars already purchased. Review and approval of obsolete components replacement continues to ensure specification and performance compliance and backward compatibility with the existing M-8 fleet. Truck frame manufacturing has begun in Kawasaki’s Harima, Japan facility.

**GRAND CENTRAL TERMINAL (GCT)**

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

*Lower Level* – Continued with installation of fire hose valve cabinets, heat tracing, fire alarm cables and polyvinyl pipe insulation at 43rd, 44th, 45th and 46th Street crossings.

*Pipe Tunnel* – Continued installation of zone control assemblies in the east tunnel.

*Upper Level* – Continued with installation of heat tracing and fire alarm cables at tracks 24 and 30 as well as heat tracing at 51st Street crossing.

Overall project completion is anticipated in April 2019.

**Grand Central Terminal Public Address and Visual Information and Real Time Train Database System (RTTDS) Replacements**

The purpose of this project is to replace, update and consolidate the existing Public Address (PA) and Visual Information Systems (VIS) in order to provide improved information to Metro-North customers. The project is divided into three GCT contracts (PA/VIS & RTTDS, Cable Plant, and Big Boards & Gate Boards) which are critical to the implementation of the global Customer Service Initiative Project.

- Final design of RTTDS (Real-Time Train Detection System) and PA/VIS is complete. The General User Interface (GUI) is being refined through iterations of review with Metro-North for functionality and final acceptance.
- Construction of the Customer Service Equipment Room 7C continues. Construction of the GCT cable plant is ongoing. Conduit and cable is being run to the Big Boards and visual information system (VIS) cabinets.

- Prototype Test Unit Gate Boards and Big Boards were tested for functionality at the integrated factory acceptance testing in November 2018. The units performed as expected with the new head end system.

## **STATIONS/PARKING/FACILITIES**

### **Harlem-125th Street Improvements**

- *Exterior Lighting Improvements & Art Work on the Viaduct (Small Business Mentoring Program Tier I)* – Contractor received L2 coves, however the procurement of L2 light fixtures is still ongoing. Once the procurement of L2 light fixtures is complete, installation of L2 coves and light fixtures will commence.

### **CSI Outlying Stations Public Announcement/Visual Information and Surveillance/Access Control Systems**

The CSI Project will enhance the customers' experience and improve operations with a system-wide upgrade of the public address, visual information and video surveillance/access control systems at twenty (20) Metro-North stations and facilities throughout New York. This project also includes upgrades to elevator monitoring, providing network connectivity for new and existing equipment and real-time data improvements.

The Design-Builder has completed 100% design drawings for the first group of five stations (Mt. Vernon East, Larchmont, Pelham, Riverdale and North White Plains IT room) and for the second group of stations (Harlem-125<sup>th</sup> St., Rye, Harrison and New Rochelle). 75% design drawings have been completed for the third group of stations (Mamaroneck, Port Chester, Melrose and Tremont). Site work including raceway installation continues at Mt. Vernon East, Pelham and Riverdale Stations. Mobilization at Harlem -125<sup>th</sup> St. Station has commenced and contract work at North White Plains IT room has commenced.

Installation of node houses (48 VDC power plants) at 25 locations is complete. Installation continues at the remaining locations in sequential order upon availability of flagging support. Design development for facility enhancements continue and surveys continue at Harlem-125<sup>th</sup> St., Rye, Harrison and New Rochelle Stations. Design development continues for: video, access control, elevator & escalator management and security systems.

### **Station Improvement Initiatives at Harlem-125th Street, Riverdale, Crestwood, White Plains and Port Chester**

The purpose of this project is to develop and improve station aesthetics, introduce new technology, and develop sustainability initiatives. A key focus will be to transform and elevate the customer experience at the White Plains Station, Metro-North's third busiest station. White Plains Station improvements will include a renovated and expanded waiting room including new bathrooms, upgraded HVAC, Wi-Fi, charging stations, benches, a new heated side platform, new island platform canopy, and entrance enhancements at Main St., Hamilton Ave., Mott St. Tunnel and the main entrance. The Crestwood, Port Chester and Riverdale Stations will receive a new canopy, waiting plaza, and improvements in station overpasses (Riverdale and Crestwood). Harlem-125th Street will receive station building and platform improvements, as well as, an enhanced lighting installation under the viaduct.

The design portion of the contract is progressing with various packages under review by key stakeholders. Site work is also underway as follows:

- White Plains Station – Phase 2 construction is on-going including demolition of column encasements, canopy ceiling, restrooms, and electrical systems. Additionally, platform crack and spall repairs has continued as well.
- Port Chester Station – Stage 2 construction is on-going including demolition of ramp footings and installation of electric conduit in the middle island. Will commence work on installing rebar for columns and new ramp footings in December.
- Harlem-125<sup>th</sup> Street Station – Survey work in on-going. Will commence work with installing benches on the platform and art work in shelters in December.

There are various interim milestone completion dates at each station, with overall project completion in December 2020.

## **POWER**

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

- *Phase I* – The purpose of this project is to replace and restore to a state of good repair the power and communication and signal (C&S) equipment and infrastructure that were destroyed, damaged and/or compromised by Super Storm Sandy on over 16 miles of railroad along the Hudson Line from CP 19 (Greystone) to CP 35 (Croton-Harmon). Continued installation of conduit raceways for sectionalizing switches; C&S and signal power conduits; performing track crossings and laterals work for sectionalizing switches and negative reactors; signal power cable splicing at manhole as well as removing existing 3rd rail set up and installing new one. Also continued cable pulling for sectionalizing switches, 15KV signal power and C&S and testing/commissioning of sectionalizing switches, transformer and signal power cables at different substations.
- *Phase II* – Replace and restore to a state of good repair the power and C&S equipment and infrastructure that were destroyed, damaged and/or compromised by Super Storm Sandy on over 14 miles of railroad along the Hudson Line from CP 5 (Bronx) to CP 19 (Greystone). Work will include replacement of C&S cable, fiber optic cable, equipment and components, with significant work that is at-grade as well as in and around the track bed adjacent to the Hudson River.
  - Continued field walk throughs and surveys for Phase II design finalization. 90% design review by key stakeholders continues.

Overall project completion of Phase I and II is anticipated in the first quarter 2021.

### **Power Infrastructure Restoration – Substations – Sandy**

- *Tarrytown* – Continued finalizing Supervisory Control and Data Acquisition (SCADA); pre-energization testing and performed Con Ed continuity testing of AC switchgear's breakers and relay at the power control room. Installation of Con Ed meter and energization of the substation power control room is underway.
- *Croton-Harmon* – Continued installation of equipment grating and flood barriers at negative reactors. Energization of the substation power control room is underway.

- *Riverdale* – Continued installation of bathroom tiles and heating; ventilation and air conditioning units (HVAC) at the crew quarters building; grating at demarcation platform and performed Con Ed continuity testing of AC switchgear's breakers and relay at the power control room. Installation of Con Ed meter and energization of the substation power control room is underway.

Substantial completion for the three substations is forecasted for April 2019.

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

- *Construction of 86<sup>th</sup> Street Substation and 110<sup>th</sup> Street Negative Return Reactors*
  - *110th St. (replacement of negative return reactors in the substation under the viaduct):* Operating as of July 2016.
  - *86th St.* – Demolition and removal of equipment on the east and west platforms continue. Installation of the 5KV switchgear building's foundation at the west platform continues as well as new column footings on the east platform.

AC and DC Switchgear equipment are currently in storage. Set-up of AC switchgear equipment with the DC switchgear equipment will follow in early 2019. Overall project completion in the first quarter of 2019.

- *The Brewster Substation* – Continued installation of precast and cast-in-place concrete ductbank tie-in conduits; and prep work to place concrete for the 15KV manhole. Supervisory Control and Data Acquisition (SCADA) testing is underway. Substantial completion is anticipated in April 2019.

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

- *Mount Vernon East* – Signal Substation assembly and testing are complete. Test results are under review by Engineer of Record and Con Ed. Commissioning of the substation continues.
- *Catenary work between Mount Vernon and New Rochelle* - Testing and commissioning is complete.
- *New Rochelle* – Follow-up relay switch control testing requiring power outage is anticipated to begin in December, pending availability of power outage.

Overall project completion is anticipated in first quarter of 2019.

## **TRACK AND STRUCTURES**

### **Undergrade Bridge Program (2010 – 2014 Program) – East of Hudson**

Various Load Rating reports continue to be submitted and reviewed by key stakeholders and is at 97% completion.

Inspection and Load Rating project completion is anticipated in March 2019.

### **Undergrade Bridge Program (2015 to 2019 Program) – East of Hudson**

Patterson Bridge Replacements: The construction contract to replace two undergrade bridges located just north of Patterson, NY was advertised in November 2018 with bids due in December. All permitting from outside agencies are in place to construct this project in an environmentally sensitive area.

### **Overhead Bridge Program (2010 – 2014 Program) – East of Hudson**

- Design of Five Bridge Replacements, Mt. Vernon - The preliminary design documents for the replacement of 14<sup>th</sup> Avenue Bridges are complete. The final design documents for the replacement of 3<sup>rd</sup> Avenue Bridge are complete. 100% design of Fulton Avenue bridge replacement is underway. Design documents for the replacement of the 6<sup>th</sup> and 10<sup>th</sup> Avenue Bridges are complete; with bids received and an award forecasted for January 2019.
- 14<sup>th</sup> Avenue Bridge, Mt. Vernon, NY (Design-Build contract) – Completed truss and floor beam removal. Continued demolition and excavation works on the north and south abutments. The bridge will be opened for vehicular traffic by June 2019.

### **Overhead Bridge Program (2015 to 2019 Program) – East of Hudson**

- Design-Build of Prospect Hill Road Bridge (Southeast Station) - Erection of a bridge fence and retaining wall chain link fence is complete. Applying protective sealer on the concrete deck and installing guard rail and impact attenuators are underway and will be complete by early December. Prospect Hill Road Bridge is anticipated to open for vehicular traffic by year end 2018.
- 6th and 10th Avenue Bridge Replacement, Mt. Vernon - Bids were received for the replacement of both 6th and 10th Avenue overhead bridges in October 2018 and are under review. An award is anticipated in January 2019.
- 3rd Avenue Bridge Replacement, Mt. Vernon - Upon MTA Board approval at the December session to utilize a Design-Build delivery method, proposals will be solicited in January 2019.

### **Harlem River Lift Bridge (HRLB) Security Upgrades**

Construction submittal phase is underway. Installation work of the following continues: fire suppression attachments in the machine room; conduits in the communication shelters; conduit between the Bronx and Manhattan AC houses; CCTV devices; and access control devices are scheduled for completion in January 2019.

### **Harlem River Lift-Bridge Power Cable Tie**

The purpose of this project is to furnish and install a new Bronx-Manhattan power cable tie system to provide back-up power between the two sides of the Harlem River Lift Bridge. The new power cable will be installed in the existing duct bank/manhole system of the existing tunnel that spans across the Harlem River. Construction submittal phase continues, and major equipment installation commenced in November 2018. The overall project completion date is October 2019.

### **2018 Cyclical Track Program**

The 2018 Cyclical Track Program consists of the replacement of 38,400 wood ties, 10 miles of continuous welded rail (CWR), and surfacing of 140 miles of track. To date, Metro-North forces have installed approximately 11,756 ties, 5.82 miles of rail, surfaced 10.83 miles of track, and performed 719 welds for CWR on the Hudson, Harlem, and New Haven Lines.

## **COMMUNICATIONS AND SIGNAL**

### **Positive Train Control (PTC)**

Subsystem designs being finalized. On-Board, office and integrated software is in development. Factory Acceptance Testing (FAT) for sub-system level software for On-Board and Office continues. FAT for integrated system software continues. All communication site locations have been approved by the Federal Communications Commission (FCC). Civil Speed Enforcement is available on all lines for use by Amtrak, freight and Metro-North Advanced Civil Speed Enforcement System equipped rolling stock for revenue service. Wayside subsystem deliveries and installations continue on all lines. All M7A and M3A on-board PTC equipment installation has been completed. M8, P32, BL 20 and Cab Car on-board PTC hardware installations are ongoing. Third party contract work for communications infrastructure installation is nearing completion. Formal pilot testing of all subsystems on Pilot Line 2 continues. Application for Revenue Service Demonstration (RSD) was approved by FRA in October 2018. Training of employees continues. Interoperability discussions with Amtrak and Freight carriers continue. The project is on schedule to meet the FRA requirements of December 31, 2018.

### **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. Metro-North forces are continuing to work on installations in preparation for a series of cut overs. Cut over from CP Harriman to CP Valley was complete in June 2018. Cut over at CP Hudson Junction was complete in November 2018. The next cut over from CP Valley to CP Hudson Junction is scheduled for January 2019.

### **Hudson Line Communication and Express Cable Installation**

The purpose of the project is for the engineering, procurement, installation and the testing of fiber optic and copper cables and related installation materials, enclosures, equipment, conduits and hardware from CP 35 (Harmon) to CP 75 (Poughkeepsie).

- Continue installation of trough between CP-35 (Harmon) to CP-53 (Cold Spring).
- Continue digging test pits between CP-53 (Cold Spring) to CP-75 (Poughkeepsie).
- Commence installation of conduits between CP-35 (Harmon) to CP-53 (Cold Spring).

## **Harlem Line Wayside Communications & Signal System Infrastructure Improvements**

The purpose of the project is for the engineering, procurement, installation and the testing of fiber optic and copper cables and related installation materials, enclosures, equipment, conduits and hardware along CP-112 (Woodlawn) to CP-154 (Southeast).

- Construction submittals phase is underway. Field survey, soil testing, and test pits are all on-going at various locations.
- Installation of the trough is ongoing at segment one from CP-116 (Crestwood) to CP-117 along Track 2.
- Continue installation of surface conduit at Main Street CP-116 (Crestwood).

## **SHOPS AND YARDS**

### **Harmon Shop Improvements**

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

- *Consist Shop Facility (CSF)* – Continued installation of the DC bug and stinger system, pipe identification and application of touch-up paint. Pre-functional testing is underway for: AC/DC substation, emergency generator, various mechanical systems, electrical panel boards, freight/passenger elevator and heating systems. Office furniture installation continued.
- *EMU (Electric Multiple Unit) Annex Building* – Continued with application of touch-up paint. Pre-functional testing is complete and functional testing is underway for the following: fire alarm, mechanical and industrial equipment, emergency generator, Building Management System (BMS), passenger and freight elevators, HVAC, mechanical and industrial equipment. Office furniture installation continued.
- *Yard Utilities and Miscellaneous* – Continued installation of underground utilities at CSF.

Overall, Phase V, Stage I substantial completion is anticipated in February 2019.

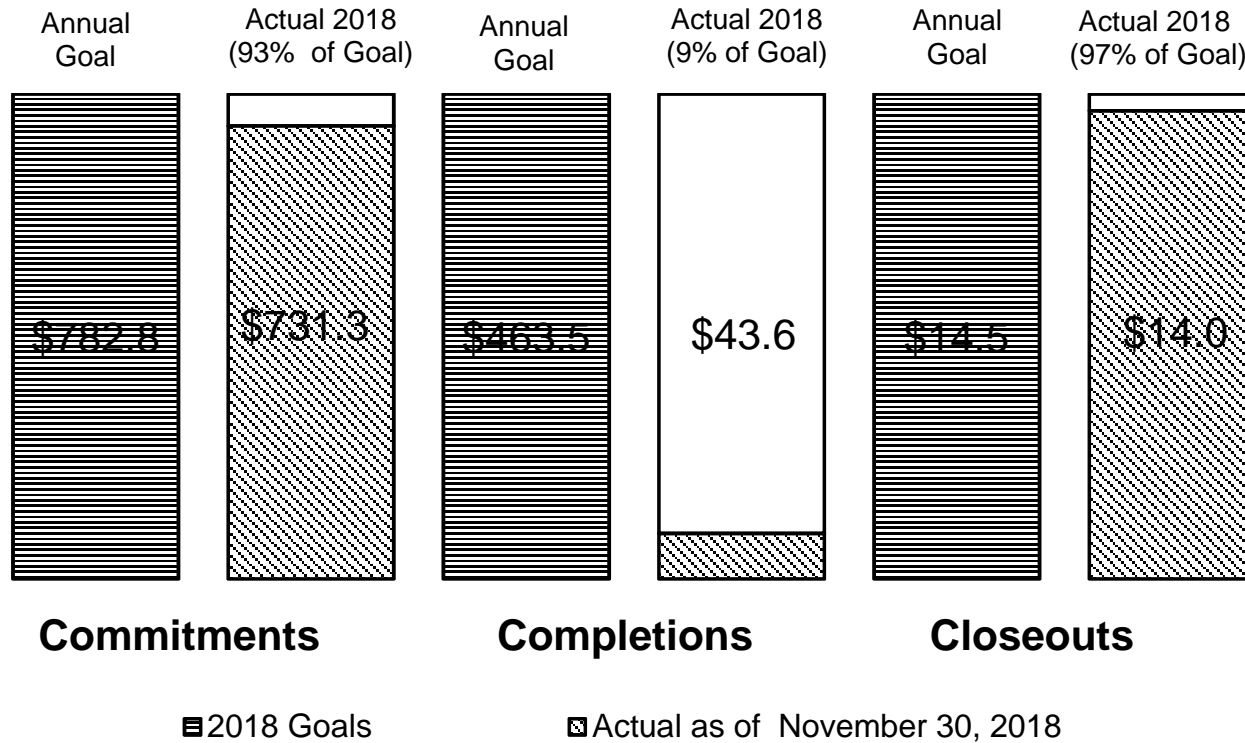
*Phase V, Stage II Preliminary Design - The scope of this work includes the demolition of the remainder of Building 6 as well as the associated Building 5 storeroom and the construction of the balance of the Phase V Electric Car Shop and Support Shop facilities.*

- Executed a design-build contract; kick off meeting was held in November 2018.

# 2018 MNR Capital Program Goals

As of November 30, 2018

In Millions





# Long Island Rail Road

## Performance Summary

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Rod Brooks, Senior Vice President – Operations



Thanksgiving marked the start of the holiday season. The Long Island Rail Road transports its customers to their holiday destinations, whether that be the Macy's Thanksgiving Day Parade, Holiday Shopping or visiting family.



# Long Island Rail Road

## Performance Summary

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### **November 2018 Highlights:**

November On-time performance (OTP), as of **November 27, 2018**, was below goal at **86.47%**. Year to Date (YTD) performance was **90.16%**, which is a 1.42% decrease compared to same period last year.

Special Events accounted for **2.9%** of all late trains for the month of November.

### Major Cause Summary:

- We are in the peak of our Low Adhesion Season which amounted to 22% of total late trains as of November 27, 2018.
- 2 PSEG power issues, amounted to 220 late trains. The majority taking place on Thanksgiving which accounted for 209 late trains.
- There were four incidents, amounting to 269 late trains due to weather and environmental causes. The brunt of which was caused by November 15's unexpected snow storm accounting for 212 late trains.

**All figures reflect January 1st through November 27th only**

**Performance Summary**

			2018 Data		2017 Data	
			Annual	YTD thru	YTD thru	YTD thru
			Goal	Nov	Nov	Nov
<b>On Time Performance</b> (Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)	<b>System</b>	<b>Overall</b>	<b>94.0%</b>	<b>86.5%</b>	<b>90.2%</b>	<b>92.1%</b>
		AM Peak		82.1%	88.0%	92.2%
		PM Peak		82.1%	86.6%	89.0%
		<b>Total Peak</b>		<b>82.1%</b>	<b>87.3%</b>	<b>90.7%</b>
		Off Peak Weekday		87.2%	90.4%	92.1%
		Weekend		89.8%	93.1%	93.6%
	<b>Babylon Branch</b>	<b>Overall</b>	<b>93.9%</b>	<b>83.7%</b>	<b>89.8%</b>	<b>92.4%</b>
		AM Peak		81.6%	88.4%	93.9%
		PM Peak		82.1%	86.2%	90.5%
		<b>Total Peak</b>		<b>81.8%</b>	<b>87.4%</b>	<b>92.3%</b>
		Off Peak Weekday		84.9%	90.2%	91.8%
		Weekend		84.1%	92.5%	93.8%
	<b>Far Rockaway Branch</b>	<b>Overall</b>	<b>96.6%</b>	<b>90.7%</b>	<b>94.6%</b>	<b>96.6%</b>
		AM Peak		79.3%	88.1%	95.5%
		PM Peak		89.5%	93.9%	96.3%
		<b>Total Peak</b>		<b>83.9%</b>	<b>90.7%</b>	<b>95.8%</b>
		Off Peak Weekday		93.6%	95.4%	95.9%
		Weekend		91.1%	96.7%	98.5%
	<b>Huntington Branch</b>	<b>Overall</b>	<b>92.5%</b>	<b>85.1%</b>	<b>88.8%</b>	<b>87.5%</b>
		AM Peak		81.9%	87.6%	91.1%
		PM Peak		77.0%	84.3%	78.6%
		<b>Total Peak</b>		<b>79.5%</b>	<b>86.0%</b>	<b>85.1%</b>
		Off Peak Weekday		84.9%	87.8%	88.5%
		Weekend		90.3%	92.7%	88.2%
	<b>Hempstead Branch</b>	<b>Overall</b>	<b>96.5%</b>	<b>90.4%</b>	<b>92.4%</b>	<b>94.9%</b>
		AM Peak		86.1%	89.7%	95.0%
		PM Peak		85.8%	88.8%	92.0%
		<b>Total Peak</b>		<b>86.0%</b>	<b>89.3%</b>	<b>93.6%</b>
		Off Peak Weekday		90.6%	92.7%	94.4%
		Weekend		93.9%	94.8%	97.0%
	<b>Long Beach Branch</b>	<b>Overall</b>	<b>95.9%</b>	<b>88.4%</b>	<b>92.3%</b>	<b>95.5%</b>
		AM Peak		85.2%	90.0%	96.3%
		PM Peak		88.9%	90.1%	92.4%
		<b>Total Peak</b>		<b>87.0%</b>	<b>90.0%</b>	<b>94.4%</b>
		Off Peak Weekday		89.4%	93.1%	95.7%
		Weekend		87.8%	93.3%	96.2%
	<b>Montauk Branch</b>	<b>Overall</b>	<b>90.8%</b>	<b>85.0%</b>	<b>88.4%</b>	<b>88.7%</b>
		AM Peak		79.2%	86.7%	79.9%
		PM Peak		71.0%	82.5%	87.8%
		<b>Total Peak</b>		<b>75.3%</b>	<b>84.7%</b>	<b>83.6%</b>
		Off Peak Weekday		88.3%	89.9%	91.5%
		Weekend		87.1%	88.8%	88.3%
	<b>Oyster Bay Branch</b>	<b>Overall</b>	<b>94.1%</b>	<b>82.4%</b>	<b>89.8%</b>	<b>91.7%</b>
		AM Peak		78.6%	89.5%	94.4%
		PM Peak		70.4%	78.9%	81.5%
		<b>Total Peak</b>		<b>74.8%</b>	<b>84.6%</b>	<b>88.5%</b>
		Off Peak Weekday		81.3%	90.9%	92.9%
		Weekend		93.4%	94.2%	92.9%

<b>Port Jefferson Branch</b>	<b>Overall</b>	<b>90.9%</b>	<b>79.6%</b>	<b>87.8%</b>	<b>88.2%</b>	<b>91.0%</b>
	AM Peak		81.9%	87.3%	89.6%	89.6%
	PM Peak		74.6%	83.1%	81.7%	87.3%
	<b>Total Peak</b>		<b>78.5%</b>	<b>85.3%</b>	<b>85.9%</b>	<b>88.5%</b>
	Off Peak Weekday		78.2%	86.2%	86.1%	89.2%
	Weekend		83.2%	94.3%	94.8%	97.4%
<b>Port Washington Branch</b>	<b>Overall</b>	<b>95.3%</b>	<b>89.2%</b>	<b>90.5%</b>	<b>94.1%</b>	<b>91.0%</b>
	AM Peak		86.7%	90.5%	91.7%	90.7%
	PM Peak		85.7%	86.5%	94.2%	83.2%
	<b>Total Peak</b>		<b>86.2%</b>	<b>88.5%</b>	<b>92.9%</b>	<b>86.8%</b>
	Off Peak Weekday		87.3%	90.3%	93.2%	90.3%
	Weekend		95.5%	93.2%	96.8%	97.2%
<b>Ronkonkoma Branch</b>	<b>Overall</b>	<b>91.6%</b>	<b>86.0%</b>	<b>86.1%</b>	<b>88.0%</b>	<b>89.2%</b>
	AM Peak		78.1%	83.5%	89.8%	88.2%
	PM Peak		82.2%	86.5%	86.7%	89.3%
	<b>Total Peak</b>		<b>80.0%</b>	<b>84.8%</b>	<b>88.4%</b>	<b>88.7%</b>
	Off Peak Weekday		86.5%	84.9%	87.3%	88.6%
	Weekend		92.5%	91.4%	88.8%	91.4%
<b>West Hempstead Branch</b>	<b>Overall</b>	<b>95.8%</b>	<b>90.2%</b>	<b>93.9%</b>	<b>96.6%</b>	<b>95.1%</b>
	AM Peak		85.6%	88.5%	93.3%	91.5%
	PM Peak		87.0%	88.8%	91.7%	88.4%
	<b>Total Peak</b>		<b>86.4%</b>	<b>88.7%</b>	<b>92.4%</b>	<b>89.8%</b>
	Off Peak Weekday		94.7%	96.4%	98.2%	97.2%
	Weekend		85.2%	94.9%	98.1%	97.5%
<b>Operating Statistics</b>	<b>Trains Scheduled</b>		<b>18,058</b>	<b>223,335</b>	<b>17,892</b>	<b>225,157</b>
	<b>Avg. Delay per Late Train (min)</b> excluding trains canceled or terminated		-13.3	-13.0	-12.9	-12.2
	<b>Trains Over 15 min. Late</b> excluding trains canceled or terminated		463	3,877	206	2,970
	<b>Trains Canceled</b>		168	1,378	74	1,198
	<b>Trains Terminated</b>		64	805	41	695
	<b>Percent of Scheduled Trips Completed</b>		98.7%	99.0%	99.4%	99.2%
<b>Consist Compliance</b> (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		97.3%			
	PM Peak		96.5%			
	<b>Total Peak</b>		96.9%			

All figures reflect January 1st through November 27th only

System Categories Of Delay	% Total	2018	2018 Data		2017 Data		YTD 2018 vs YTD 2017
		October	November	YTD Thru November	November	YTD Thru November	
Engineering (Scheduled)	1.4%	92	33	400	12	543	(143)
Engineering (Unscheduled)	10.2%	300	248	2,685	181	2,234	451
Maintenance of Equipment	6.6%	172	162	2,135	112	1,740	395
Transportation	0.9%	61	22	444	34	777	(333)
Capital Projects	1.5%	75	37	1,693	61	490	1,203
Weather & Environmental	35.1%	105	858	3,960	161	2,024	1,936
Police	4.5%	76	109	1,899	223	1,740	159
Customers	15.9%	339	388	4,010	362	3,988	22
Special Events	2.9%	7	71	1,027	62	921	106
Other	5.2%	76	127	1,831	103	1,263	568
3rd Party Operations	15.9%	139	388	1,889	102	3,231	(1,342)
<b>Total</b>	<b>100.0%</b>	<b>1,442</b>	<b>2,443</b>	<b>21,973</b>	<b>1,413</b>	<b>18,951</b>	<b>3,022</b>

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

*All figures reflect January 1st through November 27th only*

Date	Day	DESCRIPTION OF EVENT	AM Peak			PM Peak			Off Peak			TOTAL		
			L	C	T	L	C	T	L	C	T	Late	Cxld	Term
1-Nov	Thurs	PSEG power line down in Amityville Interlocking							11			11		
2-Nov	Fri	Amtrak TC derailment in North Tube	28	1	8				3		1	31	1	9
2-Nov	Fri	Low adhesion system wide	8			21			70			99		
2-Nov	Fri	Bridge strike at Woodside Station				19		1	36			55		1
5-Nov	Mon	Bridge strike at Woodside Station							15	1		15	1	
5-Nov	Mon	Low adhesion system wide	40	1	1	7			27	1		74	2	1
5-Nov	Mon	Slow loading system wide				4			9			13		
6-Nov	Tues	Low adhesion system wide				5			19			24		
7-Nov	Wed	Derailment in VD Yard				3	3		4			7	3	
8-Nov	Thurs	Loss of 3rd rail power between Amott and Huntington	34	3					6	1	1	40	4	1
8-Nov	Thurs	Broken rail at Nassau 2 Interlocking	5						28	9		33	9	
9-Nov	Fri	Low adhesion system wide				3			13			16		
9-Nov	Fri	Slow weather loading system wide				10			16			26		
9-Nov	Fri	Trespasser on the tracks at Dunton Interlocking	6	3					7			13	3	
12-Nov	Mon	Low adhesion system wide	30	1	1				14			44	1	1
13-Nov	Tues	Low adhesion system wide	14			3		1	5			22		1
13-Nov	Tues	Power Outage Penn Station	24		1				6			30		1
14-Nov	Wed	Train 1501 with equipment trouble in Jamaica	18						1			19		
15-Nov	Thur	Switch trouble at Brook 2				6			2	5		8	5	
15-Nov	Thur	Slip and slide	13						5			18		
15-Nov	Thur	Delays due to snow				55	14		120	14	9	175	28	9
16-Nov	Fri	Slow Weather Loading	10						4			14		
19-Nov	Mon	Heavy loading system wide	16						5			21		
19-Nov	Mon	Low adhesion system wide	18	1					9		1	27	1	1
20-Nov	Tues	Slow unloading system wide				2			8			10		
20-Nov	Tues	Low adhesion system wide	3			7			10			20		
21-Nov	Wed	Recived Form L for Urban Ave crossing				17	1		3			20	1	
21-Nov	Wed	Medical assistance required for a passenger				8			5			13		
21-Nov	Wed	Heavy Holiday loading system wide				4			36			40		
21-Nov	Wed	Low adhesion system wide				9			7			16		
22-Nov	Thur	Broken Rail west of Fox							5		5	5		5
22-Nov	Thur	PSEG outage at Valley							92	56	9	92	56	9
23-Nov	Fri	Switch trouble at Hall	12						5			17		
23-Nov	Fri	Low adhesion system wide		1	1	2	2		6	1	2	8	4	3
23-Nov	Fri	PSEG outage at Valley	8	22					21	1		29	23	
24-Nov	Sat	Low adhesion system wide							16			16		
24-Nov	Sat	100W in effect							37			37		
26-Nov	Mon	Equipment trouble in Jamaica				10			3		1	13		1
26-Nov	Mon	Low adhesion system wide			1		1		11			11	1	1
26-Nov	Mon	Slow weather loading system wide				4			9			13		
27-Nov	Tue	Track circuit failure at Nassau	11						6			17		
<b>TOTAL FOR MONTH</b>			<b>298</b>	<b>33</b>	<b>13</b>	<b>199</b>	<b>21</b>	<b>2</b>	<b>715</b>	<b>89</b>	<b>29</b>	<b>1212</b>	<b>143</b>	<b>44</b>
													<b>1399</b>	



**Long Island Rail Road**

**OPERATIONS**

**MECHANICAL REPORT**

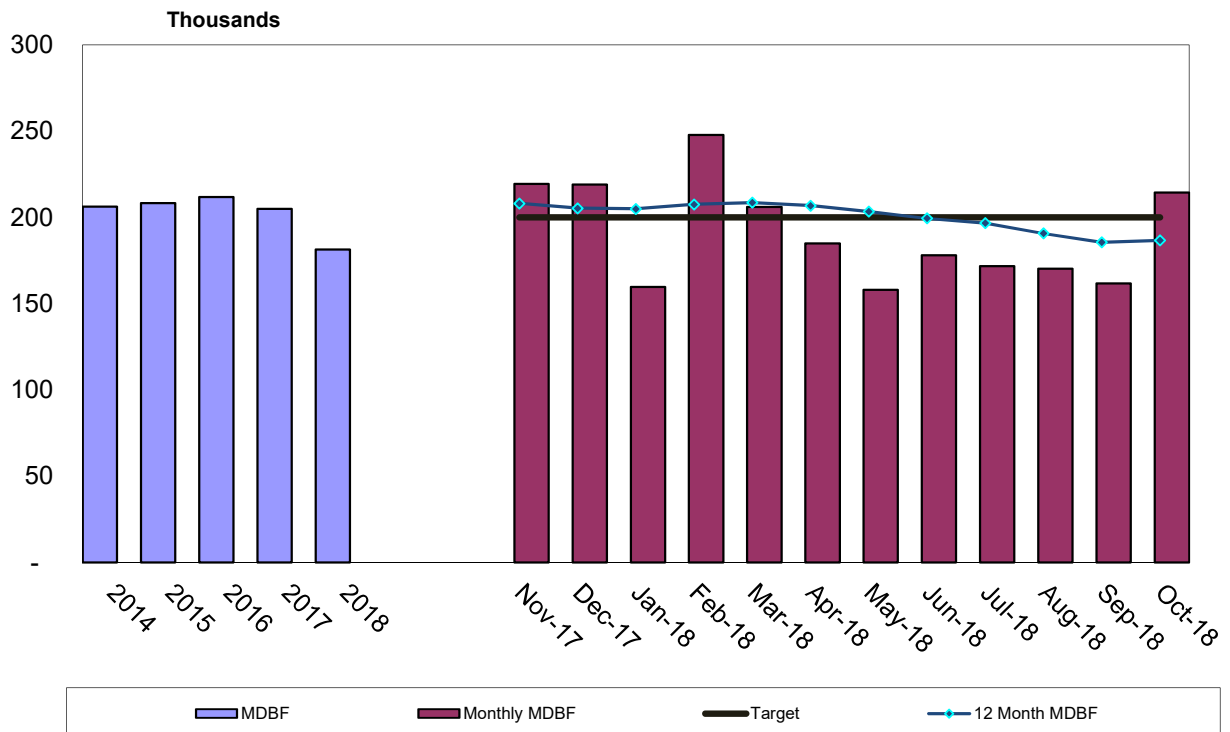
## Long Island Rail Road

### MEAN DISTANCE BETWEEN FAILURES - OCTOBER 2018

	Equip- ment Type	Total Fleet Owned	2018 Data					2017 Data		
			MDBF Goal (miles)	October MDBF (miles)	October No. of Primary Failures	YTD MDBF thru October (miles)	12 month MDBF Rolling Avg (miles)	October MDBF (miles)	October No. of Primary Failures	YTD MDBF thru October (miles)
<b>Mean</b>	M-3	142	67,000	100,491	6	73,685	72,335	98,928	6	74,195
<b>Distance</b>	M-7	836	440,000	537,275	10	468,308	482,594	464,392	11	440,783
<b>Between Failures</b>	C-3	134	122,000	71,562	10	106,910	106,221	105,415	7	136,168
	DE	24	22,000	22,199	4	18,062	19,137	18,212	5	18,092
	DM	21	22,000	39,736	2	13,727	14,823	20,671	4	27,539
	Diesel	179	65,000	55,243	16	51,464	53,304	56,978	16	67,430
	<b>Fleet</b>	<b>1,157</b>	<b>200,000</b>	<b>214,362</b>	<b>32</b>	<b>181,331</b>	<b>186,668</b>	<b>200,410</b>	<b>33</b>	<b>202,728</b>

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

### ALL FLEETS Mean Distance Between Failure 2014 - 2018





# Long Island Rail Road

## OPERATING REPORT FOR MONTH OF NOVEMBER 2018

### Standee Report

#### East Of Jamaica

All figures reflect January 1st through November 27th only

			2018 Data	
			November	
			AM Peak	PM Peak
Daily Average	Babylon Branch	Program Standees	0	0
		Add'l Standees	27	23
		<b>Total Standees</b>	<b>27</b>	<b>23</b>
	Far Rockaway Branch	Program Standees	0	0
		Add'l Standees	0	7
		<b>Total Standees</b>	<b>0</b>	<b>7</b>
	Huntington Branch	Program Standees	70	0
		Add'l Standees	105	95
		<b>Total Standees</b>	<b>175</b>	<b>95</b>
	Hempstead Branch	Program Standees	0	0
		Add'l Standees	1	0
		<b>Total Standees</b>	<b>1</b>	<b>0</b>
	Long Beach Branch	Program Standees	0	0
		Add'l Standees	1	2
		<b>Total Standees</b>	<b>1</b>	<b>2</b>
	Montauk Branch	Program Standees	0	0
		Add'l Standees	0	1
		<b>Total Standees</b>	<b>0</b>	<b>1</b>
	Oyster Bay Branch	Program Standees	0	0
		Add'l Standees	25	0
		<b>Total Standees</b>	<b>25</b>	<b>0</b>
	Port Jefferson Branch	Program Standees	0	0
		Add'l Standees	0	9
		<b>Total Standees</b>	<b>0</b>	<b>9</b>
	Port Washington Branch	Program Standees	0	0
		Add'l Standees	9	107
		<b>Total Standees</b>	<b>9</b>	<b>107</b>
	Ronkonkoma Branch	Program Standees	0	0
		Add'l Standees	63	41
		<b>Total Standees</b>	<b>63</b>	<b>41</b>
	West Hempstead Branch	Program Standees	0	0
		Add'l Standees	0	0
		<b>Total Standees</b>	<b>0</b>	<b>0</b>
<b>System Wide PEAK</b>			<b>301</b>	<b>285</b>

#### Definitions

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

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

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

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

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



# Long Island Rail Road

## OPERATING REPORT FOR MONTH OF NOVEMBER 2018

### Standee Report

#### West Of Jamaica

All figures reflect January 1st through November 27th only

			2018 Data November	
			AM Peak	PM Peak
Daily Average	Babylon Branch	Program Standees	0	0
		Add'l Standees	18	27
		<b>Total Standees</b>	<b>18</b>	<b>27</b>
	Far Rockaway Branch	Program Standees	0	0
		Add'l Standees	10	7
		<b>Total Standees</b>	<b>10</b>	<b>7</b>
	Huntington Branch	Program Standees	40	0
		Add'l Standees	75	183
		<b>Total Standees</b>	<b>115</b>	<b>183</b>
	Hempstead Branch	Program Standees	0	0
		Add'l Standees	1	45
		<b>Total Standees</b>	<b>1</b>	<b>45</b>
	Long Beach Branch	Program Standees	28	0
		Add'l Standees	4	0
		<b>Total Standees</b>	<b>32</b>	<b>0</b>
	Montauk Branch	Program Standees	0	0
		Add'l Standees	0	0
		<b>Total Standees</b>	<b>0</b>	<b>0</b>
	Oyster Bay Branch	Program Standees	0	0
		Add'l Standees	0	0
		<b>Total Standees</b>	<b>0</b>	<b>0</b>
	Port Jefferson Branch	Program Standees	0	0
		Add'l Standees	0	7
		<b>Total Standees</b>	<b>0</b>	<b>7</b>
	Port Washington Branch	Program Standees	0	0
		Add'l Standees	9	107
		<b>Total Standees</b>	<b>9</b>	<b>107</b>
	Ronkonkoma Branch	Program Standees	0	0
		Add'l Standees	33	41
		<b>Total Standees</b>	<b>33</b>	<b>41</b>
	West Hempstead Branch	Program Standees	0	0
		Add'l Standees	24	0
		<b>Total Standees</b>	<b>24</b>	<b>0</b>
<b>System Wide PEAK</b>			<b>241</b>	<b>418</b>

#### Definitions

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

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

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

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

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

### ELEVATOR AND ESCALATOR OPERATING REPORT FOR THE MONTH OF NOVEMBER 2018

<b>Elevator Availability</b>		<b>2018</b>		<b>2017</b>	
		<b>November</b>	<b>Year to Date</b>	<b>November</b>	<b>Year to Date</b>
<b>Branch</b>	Babylon Branch	98.6%	98.4%	99.4%	99.0%
	Far Rockaway Branch	99.8%	99.5%	98.6%	99.1%
	Hempstead Branch	99.8%	99.6%	95.8%	99.0%
	Long Beach Branch	99.7%	99.5%	99.1%	99.1%
	Port Jefferson Branch	99.4%	98.6%	98.7%	98.7%
	Port Washington Branch	99.7%	99.3%	99.5%	99.3%
	Ronkonkoma Branch	99.5%	99.2%	99.4%	99.3%
	City Terminal Stations	99.3%	99.5%	98.6%	98.7%
	<b>Overall Average</b>	<b>99.3%</b>	<b>99.1%</b>	<b>98.9%</b>	<b>99.0%</b>

<b>Escalator Availability</b>		<b>2018</b>		<b>2017</b>	
		<b>November</b>	<b>Year to Date</b>	<b>November</b>	<b>Year to Date</b>
<b>Branch</b>	Babylon Branch	98.3%	96.8%	97.2%	97.1%
	Far Rockaway Branch	99.5%	97.2%	98.8%	96.7%
	Hempstead Branch	99.3%	97.8%	99.2%	98.4%
	Long Beach Branch	91.8%	97.2%	93.9%	91.2%
	Port Jefferson Branch	99.6%	99.2%	XX	97.7%
	City Terminal	99.5%	96.7%	98.5%	97.8%
	<b>Overall Average</b>	<b>98.8%</b>	<b>96.9%</b>	<b>97.8%</b>	<b>97.3%</b>



# Long Island Rail Road

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## *Financial Report Highlights*



Launched on September 8<sup>th</sup> and in effect through November 11<sup>th</sup>, the Autumn Weekends Program built off the success of the Summer Saturdays Program and allowed monthly customers to invite up to four individuals to join them for travel on Saturdays and Sundays for the \$1 price of a Family Fare Ticket. During the Program, approximately 83,000 customers purchased Family Fare Tickets, which was a 61% increase over the same weekends in 2017.



# Long Island Rail Road

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## *Financial Report Highlights*

The Long Island Rail Road's Monthly Financial Report provides year-to-date fiscal information comparing actual revenues, expenses and staffing levels to the Mid-Year Forecast and key financial performance indicators.

### **October 2018 Highlights**

- Total revenue of \$1,093.6 million was \$82.1 million higher than Forecast. This was primarily due to the timing of reimbursements for capital activity.
- Through October, total 2018 ridership was 74.7 million, which was 0.1% above 2017 (adjusted for the same number of work days) and 0.6% below Mid-Year Forecast. Commutation ridership of 42.7 million was 0.1% less than 2017 and 0.3% below Mid-Year Forecast. Non-Commutation ridership of 32.0 million was 0.4% above 2017 and 0.9% below Forecast. Consequently, Farebox Revenue of \$614.5 million was \$2.0 million lower than Forecast.
- Total expenses before non-cash liability adjustments of \$1,661.6 million were \$1.2 million 0.1% favorable to Forecast. The primary drivers of this favorable variance are vacant positions including associated fringe costs, timing of material usage and an insurance reimbursement due to property damage, partially offset by higher overtime, write-offs of projects that are no longer capital eligible and timing of FELA Indemnity reserves.

Financial Results for Year-to-Date (YTD) October 2018 are presented in the table below and compared to Forecast.

<b><u>Category (\$ in Millions)</u></b>	<b><u>Forecast</u></b>	<b><u>Actual</u></b>	<b><u>Variance</u></b>
<b>Total Revenue</b>	\$1,011.4	\$1,093.6	\$82.1
<b>Total Expenses Before Non-Cash Liabilities</b>	1,662.8	1,661.6	1.2
<b>Net Surplus/(Deficit) Before Non-Cash Liabilities</b>	<b>(\$651.4)</b>	<b>(\$568.0)</b>	<b>\$83.4</b>
<b>Other Non-Cash Liabilities</b>	410.4	440.6	(30.1)
<b>Net Surplus/(Deficit) After Non-Cash Liabilities</b>	<b>(\$1,061.8)</b>	<b>(\$1,008.5)</b>	<b>\$53.2</b>
<b>Cash Adjustments</b>	412.0	395.1	(16.9)
<b>Net Cash Surplus/(Deficit)</b>	<b>(\$649.8)</b>	<b>(\$613.5)</b>	<b>\$36.3</b>

**Mark Young**

Vice President, Management and Finance



# Long Island Rail Road

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## *Financial Report Highlights*

### **NON-REIMBURSABLE SUMMARY**

October YTD operating results were favorable by \$53.2 or 5.0% lower than the Mid-Year Forecast.

Non-Reimbursable revenues through October were \$2.0 unfavorable to the Forecast. Farebox Revenue was unfavorable as a result of lower ridership. Other Operating Revenues were favorable to forecast due to higher rental revenue, miscellaneous revenue and FEMA reimbursements, partially offset by lower advertising and freight revenue. Total Non-Reimbursable expenses through October were \$55.3 favorable due to lower labor expenses as a result of vacant positions and associated fringe costs, timing of materials and maintenance contracts, and higher restitution of property damages due to an insurance settlement, partially offset by higher depreciation, write-off of projects that are no longer capital eligible and FELA Indemnity reserves.

YTD capital and other reimbursable expenditures (and reimbursements) were \$84.2 higher than the Forecast due to timing of capital and other reimbursements.

### **REVENUE/RIDERSHIP**

Year-to-date October **Total Revenues** (including Capital and Other Reimbursements) of \$1,093.6 were \$82.1 or 8.1% favorable to the Mid-Year Forecast.

- **Y-T-D Farebox Revenues** were \$2.0 unfavorable to forecast due to lower ridership. Ridership through October was 74.7 million. This was 0.1% higher than 2017 (adjusted for same number of calendar work days) and 0.6% lower than the Forecast.
- **Y-T-D Other Operating Revenues** were equal to forecast due to higher rental revenue, miscellaneous revenue and FEMA reimbursements, offset by lower advertising and freight revenue.
- **Y-T-D Capital and Other Reimbursements** were \$84.2 favorable due to timing of capital activity and interagency reimbursements.

### **EXPENSES**

Year-to-date October **Total Expenses** (including depreciation and other) of \$2,102.1 were unfavorable to the Forecast by \$(28.9) or (1.4)%.

**Labor Expenses**, \$(19.0) unfavorable Y-T-D.

- **Payroll**, \$10.1 favorable Y-T-D (primarily vacant positions, higher sick pay law claim credits, lower vacation pay and wage claim accruals, partially offset by the timing of retiree sick/vacation buyouts and payments for management vacation buybacks).
- **Overtime**, \$(28.2) unfavorable Y-T-D (primarily higher capital project activity, unscheduled/scheduled service, programmatic/routine maintenance and weather-related overtime, partially offset by lower vacancy/absentee coverage).
- **Health & Welfare**, \$1.7 favorable Y-T-D (vacant positions).
- **OPEB Current Payment**, \$3.3 favorable Y-T-D (fewer retirees/beneficiaries than projected).
- **Other Fringe**, \$(5.8) unfavorable Y-T-D (primarily higher FELA Indemnity reserves and meal expenses, partially offset by lower Railroad Retirement Taxes).



# Long Island Rail Road

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## *Financial Report Highlights*

### **Non-Labor Expenses**, \$20.2 favorable Y-T-D.

- **Electric Power**, \$0.9 favorable Y-T-D (lower consumption, partially offset by higher rates).
- **Fuel**, \$0.2 favorable Y-T-D (lower consumption, partially offset by higher rates).
- **Insurance**, \$0.5 favorable Y-T-D (lower property and liability insurance expense).
- **Claims**, \$2.7 favorable Y-T-D (decrease in non-employee reserves).
- **Maintenance and Other Operating Contracts**, \$(2.0) unfavorable Y-T-D (lower/timing platform investments, TVM maintenance initiatives, security systems maintenance, other equipment rental, non-revenue vehicle repairs, elevator/escalator maintenance and joint facilities, partially offset by higher capital project activity, vegetation management, bussing services and HVAC maintenance).
- **Professional Services**, \$(6.0) unfavorable Y-T-D (Primarily write-off of various projects that are no longer capital eligible and higher capital project activity, partially offset by timing of activities/payments for enterprise asset management, MTA chargebacks, advertising initiatives and other professional services).
- **Materials and Supplies**, \$16.9 favorable Y-T-D (primarily timing of modifications and Reliability Centered Maintenance activity for revenue fleet, partially offset by higher capital project activity).
- **Other Business Expense**, \$6.9 favorable Y-T-D (primarily higher restitution of property damages due to an insurance settlement, lower bad debt reserve due to reversals, lower office supplies and miscellaneous expenses, partially offset by losses due to the demolition of assets which were not fully depreciated and higher capital project activity).

**Depreciation and Other**, \$(30.1) unfavorable Y-T-D (primarily higher Depreciation and Other Post-Employment Benefits).

### **CASH DEFICIT SUMMARY**

The Cash Deficit through October of \$613.5 was \$36.3 favorable to the Mid-Year Forecast due to higher receipts and lower expenditures.

### **FINANCIAL PERFORMANCE MEASURES**

- The year-to-date Farebox Operating Ratio was 50.1%, 3.6 percentage points above the Forecast resulting from lower expenses.
- Through October, the Adjusted Farebox Operating Ratio was 56.8%, which is above the Forecast due to lower expenses.
- Through October, the Adjusted Cost per Passenger was \$15.30, which is lower than the Forecast due to lower expenses.
- Through October, the Revenue per Passenger was \$8.23, which was above the Forecast.

TABLE 1

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST**  
**ACCRUAL STATEMENT of OPERATIONS by CATEGORY**  
**OCTOBER 2018**  
(\$ in millions)

	Nonreimbursable				Reimbursable				Total			
	Favorable (Unfavorable)				Favorable (Unfavorable)				Favorable (Unfavorable)			
	Forecast	Actual	Variance	Percent	Forecast	Actual	Variance	Percent	Forecast	Actual	Variance	Percent
<b>Revenue</b>												
Farebox Revenue	\$62.335	\$63.789	\$1.454	2.3	\$0.000	\$0.000	\$0.000	-	\$62.335	\$63.789	\$1.454	2.3
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	3.528	3.392	(0.135)	(3.8)	0.000	0.000	0.000	-	3.528	3.392	(0.135)	(3.8)
Capital & Other Reimbursements	0.000	0.000	0.000	-	40.282	50.715	10.434	25.9	40.282	50.715	10.434	25.9
<b>Total Revenue</b>	<b>\$65.862</b>	<b>\$67.181</b>	<b>\$1.319</b>	<b>2.0</b>	<b>\$40.282</b>	<b>\$50.715</b>	<b>\$10.434</b>	<b>25.9</b>	<b>\$106.144</b>	<b>\$117.896</b>	<b>\$11.752</b>	<b>11.1</b>
<b>Expenses</b>												
<b>Labor:</b>												
Payroll	\$47.417	\$43.190	\$4.227	8.9	\$13.480	\$13.391	\$0.089	0.7	\$60.897	\$56.581	\$4.316	7.1
Overtime	12.054	15.194	(3.140)	(26.0)	3.142	6.353	(3.211)	*	15.196	21.546	(6.351)	(41.8)
Health and Welfare	9.364	8.482	0.882	9.4	2.810	3.346	(0.536)	(19.1)	12.173	11.828	0.346	2.8
OPEB Current Payment	5.577	4.976	0.601	10.8	0.000	0.000	0.000	-	5.577	4.976	0.601	10.8
Pensions	10.345	9.892	0.453	4.4	4.565	5.018	(0.453)	(9.9)	14.910	14.910	0.000	0.0
Other Fringe Benefits	9.357	8.502	0.855	9.1	2.873	3.586	(0.712)	(24.8)	12.231	12.088	0.143	1.2
Reimbursable Overhead	(3.176)	(5.391)	2.216	69.8	3.176	5.391	(2.216)	(69.8)	0.000	0.000	0.000	-
<b>Total Labor Expenses</b>	<b>\$90.938</b>	<b>\$84.845</b>	<b>\$6.093</b>	<b>6.7</b>	<b>\$30.046</b>	<b>\$37.084</b>	<b>(\$7.039)</b>	<b>(23.4)</b>	<b>\$120.983</b>	<b>\$121.929</b>	<b>(\$0.946)</b>	<b>(0.8)</b>
<b>Non-Labor:</b>												
Electric Power	\$6.921	\$6.352	\$0.569	8.2	\$0.097	\$0.092	\$0.005	5.6	\$7.018	\$6.444	\$0.574	8.2
Fuel	1.856	2.060	(0.204)	(11.0)	0.000	0.000	0.000	-	1.856	2.060	(0.204)	(11.0)
Insurance	1.718	1.729	(0.010)	(0.6)	0.864	0.853	0.011	1.2	2.582	2.582	0.000	0.0
Claims	0.319	(0.311)	0.630	*	0.000	0.000	0.000	-	0.319	(0.311)	0.630	*
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	8.171	6.768	1.403	17.2	1.581	5.174	(3.593)	*	9.752	11.943	(2.191)	(22.5)
Professional Service Contracts	4.669	2.501	2.168	46.4	0.058	1.126	(1.068)	*	4.727	3.628	1.099	23.3
Materials & Supplies	18.039	16.440	1.599	8.9	7.597	6.240	1.357	17.9	25.636	22.680	2.956	11.5
Other Business Expenses	1.605	1.129	0.476	29.7	0.039	0.145	(0.106)	*	1.644	1.274	0.370	22.5
<b>Total Non-Labor Expenses</b>	<b>\$43.298</b>	<b>\$36.668</b>	<b>\$6.630</b>	<b>15.3</b>	<b>\$10.236</b>	<b>\$13.631</b>	<b>(\$3.395)</b>	<b>(33.2)</b>	<b>\$53.534</b>	<b>\$50.299</b>	<b>\$3.235</b>	<b>6.0</b>
<b>Other Expense Adjustments:</b>												
Other	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
<b>Total Other Expense Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>
<b>Total Expenses before Depreciation &amp; Other Post Employment Benefits</b>	<b>\$134.236</b>	<b>\$121.513</b>	<b>\$12.723</b>	<b>9.5</b>	<b>\$40.282</b>	<b>\$50.715</b>	<b>(\$10.434)</b>	<b>(25.9)</b>	<b>\$174.517</b>	<b>\$172.228</b>	<b>\$2.290</b>	<b>1.3</b>
<b>Depreciation</b>	<b>\$29.099</b>	<b>\$31.550</b>	<b>(\$2.451)</b>	<b>(8.4)</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$29.099</b>	<b>\$31.550</b>	<b>(\$2.451)</b>	<b>(8.4)</b>
<b>Other Post Employment Benefits</b>	<b>11.574</b>	<b>11.876</b>	<b>(0.301)</b>	<b>(2.6)</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>-</b>	<b>11.574</b>	<b>11.876</b>	<b>(0.301)</b>	<b>(2.6)</b>
<b>GASB 68 Pension Expense Adjustment</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>-</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>-</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>-</b>
<b>Environmental Remediation</b>	<b>0.157</b>	<b>0.167</b>	<b>(0.010)</b>	<b>(6.4)</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>-</b>	<b>0.157</b>	<b>0.167</b>	<b>(0.010)</b>	<b>(6.4)</b>
<b>Total Expenses</b>	<b>\$175.066</b>	<b>\$165.105</b>	<b>\$9.960</b>	<b>5.7</b>	<b>\$40.282</b>	<b>\$50.715</b>	<b>(\$10.434)</b>	<b>(25.9)</b>	<b>\$215.347</b>	<b>\$215.821</b>	<b>(\$0.473)</b>	<b>(0.2)</b>
<b>Net Surplus/(Deficit)</b>	<b>(\$109.203)</b>	<b>(\$97.924)</b>	<b>\$11.279</b>	<b>10.3</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>(\$109.203)</b>	<b>(\$97.924)</b>	<b>\$11.279</b>	<b>10.3</b>
<b>Cash Conversion Adjustments</b>												
Depreciation	\$29.099	\$31.550	\$2.451	8.4	\$0.000	\$0.000	\$0.000	-	\$29.099	\$31.550	\$2.451	8.4
Operating/Capital	(5.316)	(0.666)	4.650	87.5	0.000	0.000	0.000	-	(5.316)	(0.666)	4.650	87.5
Other Cash Adjustments	31.746	4.339	(27.407)	(86.3)	0.000	0.000	0.000	-	31.746	4.339	(27.407)	(86.3)
<b>Total Cash Conversion Adjustments</b>	<b>\$55.529</b>	<b>\$35.223</b>	<b>(\$20.306)</b>	<b>(36.6)</b>	<b>0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$55.529</b>	<b>\$35.223</b>	<b>(\$20.306)</b>	<b>(36.6)</b>
<b>Net Cash Surplus/(Deficit)</b>	<b>(\$53.674)</b>	<b>(\$62.701)</b>	<b>(\$9.027)</b>	<b>(16.8)</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>(\$53.674)</b>	<b>(\$62.701)</b>	<b>(\$9.027)</b>	<b>(16.8)</b>

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.

The impact of the LIRR's Forward Plan which was captured in MTA Re-estimates within below-the-line adjustments in the 2018 July Financial Plan, has been allocated and is now reflected within the baseline Mid-Year Forecasts.

TABLE 2

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST**  
**ACCRUAL STATEMENT of OPERATIONS by CATEGORY**  
**OCTOBER Year-To-Date**  
(\$ in millions)

	Nonreimbursable				Reimbursable				Total			
	Favorable (Unfavorable)				Favorable (Unfavorable)				Favorable (Unfavorable)			
	Forecast	Actual	Variance	Percent	Forecast	Actual	Variance	Percent	Forecast	Actual	Variance	Percent
<b>Revenue</b>												
Farebox Revenue	\$616.504	\$614.456	(\$2.049)	(0.3)	\$0.000	\$0.000	\$0.000	-	\$616.504	\$614.456	(\$2.049)	(0.3)
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	34.493	34.516	0.023	0.1	0.000	0.000	0.000	-	34.493	34.516	0.023	0.1
Capital & Other Reimbursements	0.000	0.000	0.000	-	360.421	444.592	84.171	23.4	360.421	444.592	84.171	23.4
<b>Total Revenue</b>	<b>\$650.998</b>	<b>\$648.972</b>	<b>(\$2.026)</b>	<b>(0.3)</b>	<b>\$360.421</b>	<b>\$444.592</b>	<b>\$84.171</b>	<b>23.4</b>	<b>\$1,011.419</b>	<b>\$1,093.564</b>	<b>\$82.145</b>	<b>8.1</b>
<b>Expenses</b>												
<b>Labor:</b>												
Payroll	\$449.029	\$435.228	\$13.801	3.1	\$117.310	\$121.043	(\$3.734)	(3.2)	\$566.339	\$556.271	\$10.068	1.8
Overtime	121.311	125.217	(3.906)	(3.2)	36.740	61.042	(24.302)	(66.1)	158.051	186.260	(28.209)	(17.8)
Health and Welfare	93.672	87.471	6.202	6.6	26.175	30.640	(4.466)	(17.1)	119.847	118.111	1.736	1.4
OPEB Current Payment	54.838	51.557	3.281	6.0	0.000	0.000	0.000	-	54.838	51.557	3.281	6.0
Pensions	106.781	103.148	3.633	3.4	41.213	44.845	(3.633)	(8.8)	147.993	147.993	0.000	0.0
Other Fringe Benefits	137.601	137.591	0.010	0.0	27.123	32.960	(5.836)	(21.5)	164.724	170.550	(5.826)	(3.5)
Reimbursable Overhead	(31.769)	(48.132)	16.363	51.5	31.769	48.132	(16.363)	(51.5)	0.000	0.000	0.000	-
<b>Total Labor Expenses</b>	<b>\$931.463</b>	<b>\$892.079</b>	<b>\$39.384</b>	<b>4.2</b>	<b>\$280.329</b>	<b>\$338.663</b>	<b>(\$58.334)</b>	<b>(20.8)</b>	<b>\$1,211.792</b>	<b>\$1,230.742</b>	<b>(\$18.950)</b>	<b>(1.6)</b>
<b>Non-Labor:</b>												
Electric Power	\$75.806	\$74.895	\$0.911	1.2	\$1.002	\$0.990	\$0.012	1.2	\$76.808	\$75.885	\$0.923	1.2
Fuel	18.380	18.092	0.288	1.6	0.000	0.042	(0.042)	-	18.380	18.134	0.246	1.3
Insurance	17.091	16.533	0.558	3.3	7.461	7.511	(0.051)	(0.7)	24.552	24.044	0.507	2.1
Claims	4.383	1.675	2.707	61.8	0.000	0.000	0.000	-	4.383	1.675	2.707	61.8
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	62.129	54.606	7.522	12.1	17.021	26.532	(9.511)	(55.9)	79.149	81.139	(1.989)	(2.5)
Professional Service Contracts	32.751	34.368	(1.618)	(4.9)	0.823	5.176	(4.353)	*	33.574	39.544	(5.971)	(17.8)
Materials & Supplies	144.917	116.959	27.957	19.3	53.494	64.592	(11.098)	(20.7)	198.411	181.551	16.859	8.5
Other Business Expenses	15.441	7.754	7.688	49.8	0.291	1.086	(0.795)	*	15.733	8.840	6.893	43.8
<b>Total Non-Labor Expenses</b>	<b>\$370.898</b>	<b>\$324.884</b>	<b>\$46.014</b>	<b>12.4</b>	<b>\$80.092</b>	<b>\$105.929</b>	<b>(\$25.838)</b>	<b>(32.3)</b>	<b>\$450.989</b>	<b>\$430.813</b>	<b>\$20.176</b>	<b>4.5</b>
<b>Other Expense Adjustments</b>												
Other	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-	0.000	\$0.000	\$0.000	-
<b>Total Other Expense Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>
<b>Total Expenses before Depreciation &amp; Other Post Employment Benefits</b>	<b>\$1,302.361</b>	<b>\$1,216.963</b>	<b>\$85.397</b>	<b>6.6</b>	<b>\$360.421</b>	<b>\$444.592</b>	<b>(\$84.171)</b>	<b>(23.4)</b>	<b>\$1,662.781</b>	<b>\$1,661.555</b>	<b>\$1.226</b>	<b>0.1</b>
<b>Depreciation</b>	<b>\$292.951</b>	<b>\$321.771</b>	<b>(28.820)</b>	<b>(9.8)</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$292.951</b>	<b>\$321.771</b>	<b>(28.820)</b>	<b>(9.8)</b>
<b>Other Post Employment Benefits</b>	<b>115.775</b>	<b>116.958</b>	<b>(1.183)</b>	<b>(1.0)</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>-</b>	<b>115.775</b>	<b>116.958</b>	<b>(1.183)</b>	<b>(1.0)</b>
<b>GASB 68 Pension Expense Adjustment</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>-</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>-</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>-</b>
<b>Environmental Remediation</b>	<b>1.687</b>	<b>1.829</b>	<b>(0.142)</b>	<b>(8.4)</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>-</b>	<b>1.687</b>	<b>1.829</b>	<b>(0.142)</b>	<b>(8.4)</b>
<b>Total Expenses</b>	<b>\$1,712.773</b>	<b>\$1,657.521</b>	<b>\$55.252</b>	<b>3.2</b>	<b>\$360.421</b>	<b>\$444.592</b>	<b>(\$84.171)</b>	<b>(23.4)</b>	<b>\$2,073.194</b>	<b>\$2,102.113</b>	<b>(\$28.920)</b>	<b>(1.4)</b>
<b>Net Surplus/(Deficit)</b>	<b>(\$1,061.775)</b>	<b>(\$1,008.549)</b>	<b>\$53.226</b>	<b>5.0</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>(\$0.000)</b>	<b>-</b>	<b>(\$1,061.775)</b>	<b>(\$1,008.549)</b>	<b>\$53.226</b>	<b>5.0</b>
<b>Cash Conversion Adjustments</b>												
Depreciation	\$292.951	\$321.771	\$28.820	9.8	\$0.000	\$0.000	\$0.000	-	292.951	\$321.771	\$28.820	9.8
Operating/Capital	(25.933)	(11.914)	14.019	54.1	0.000	0.000	0.000	-	(25.933)	(11.914)	14.019	54.1
Other Cash Adjustments	144.983	85.210	(59.773)	(41.2)	0.000	0.000	0.000	-	144.983	85.210	(59.773)	(41.2)
<b>Total Cash Conversion Adjustments</b>	<b>\$412.001</b>	<b>\$395.066</b>	<b>(\$16.934)</b>	<b>(4.1)</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$412.001</b>	<b>\$395.066</b>	<b>(\$16.934)</b>	<b>(4.1)</b>
<b>Net Cash Surplus/(Deficit)</b>	<b>(\$649.774)</b>	<b>(\$613.483)</b>	<b>\$36.291</b>	<b>5.6</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>0.0</b>	<b>(\$649.774)</b>	<b>(\$613.483)</b>	<b>\$36.291</b>	<b>5.6</b>

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.

The impact of the LIRR's Forward Plan which was captured in MTA Re-estimates within below-the-line adjustments in the 2018 July Financial Plan, has been allocated and is now reflected within the baseline Mid-Year Forecasts.

TABLE 3

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST**  
**EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL: ACCRUAL BASIS**  
(\$ in millions)

October 2018					Year-to-Date October 2018		
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.	1.454	2.3	Higher ridership \$1.888, partially offset by lower yield per passenger \$(0.434).	(2.049)	(0.3)	Lower ridership \$(3.516), partially offset by higher yield per passenger \$1.467.
Other Operating Revenue	Non Reimb.	(0.135)	(3.8)	Primarily due to timing of advertising revenue, partially offset by higher rental revenue and timing of miscellaneous revenue.	0.023	0.1	Primarily due to higher rental revenue, timing of miscellaneous revenue and higher FEMA revenue, partially offset by timing of advertising and freight revenue.
Capital & Other Reimbursements	Reimb.	10.434	25.9	Timing of capital project activity and interagency reimbursements.	84.171	23.4	Timing of capital project activity and interagency reimbursements.
Expenses							
Payroll	Non Reimb.	4.227	8.9	Primarily due to vacant positions, lower vacation pay accruals and sick pay law claim credits.	13.801	3.1	Primarily vacant positions, higher sick pay law claim credits and lower vacation pay and wage claim accruals, partially offset by the timing of payments for retiree sick/vacation buyouts and management vacation buybacks.
	Reimb.	0.089	0.7	Primarily due to timing of project activity.	(3.734)	(3.2)	Primarily due to timing of project activity.
Overtime	Non Reimb.	(3.140)	(26.0)	Primarily due to higher maintenance, scheduled/unscheduled service and vacancy/absentee coverage.	(3.906)	(3.2)	Primarily due to higher scheduled/unscheduled service, maintenance and weather-related overtime, partially offset by lower vacancy/absentee coverage.
	Reimb.	(3.211)	*	Over-run attributed to Main Line Double Track phase 2 improvements, Concrete Tie Program, East Side Access, East Rail Yard, Jamaica Capacity improvements and Hicksville Station improvements.	(24.302)	(66.1)	Over-run attributed to Main Line Double Track phase 2 improvements, East Side Access, East Rail Yard, Jamaica Capacity improvements, Hicksville & Wantagh Station improvements, PSEG transmission pole replacements, PTC, Concrete Tie Program and Annual Track program.
Health and Welfare	Non Reimb.	0.882	9.4	Vacant positions.	6.202	6.6	Vacant positions.
	Reimb.	(0.536)	(19.1)	Primarily due to timing of project activity.	(4.466)	(17.1)	Primarily due to timing of project activity.
OPEB Current Payment	Non Reimb.	0.601	10.8	Fewer retirees/beneficiaries.	3.281	6.0	Fewer retirees/beneficiaries.

TABLE 3

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST**  
**EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL: ACCRUAL BASIS**  
(\$ in millions)

October 2018				Year-to-Date October 2018			
Generic Revenue or Expense Category	Non Reimb. Or Reimb.	Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
		\$	%		\$	%	
Pensions	Non Reimb.	0.453	4.4	Total pension is on plan. However the estimated percentage of pension allocated to reimbursable was under-estimated.	3.633	3.4	Total pension is on plan. However the estimated percentage of pension allocated to reimbursable was under-estimated.
	Reimb.	(0.453)	(9.9)	Total pension is on plan. However the estimated percentage of pension allocated to reimbursable was under-estimated.	(3.633)	(8.8)	Total pension is on plan. However the estimated percentage of pension allocated to reimbursable was under-estimated.
Other Fringe Benefits	Non Reimb.	0.855	9.1	Lower Railroad Retirement Taxes, partially offset by higher FELA Indemnity reserves.	0.010	0.0	Lower Railroad Retirement Taxes, partially offset by higher FELA Indemnity Reserves.
	Reimb.	(0.712)	(24.8)	Primarily due to timing of project activity.	(5.836)	(21.5)	Primarily due to timing of project activity.
Reimbursable Overhead	Non Reimb.	2.216	69.8	Primarily due to timing of project activity.	16.363	51.5	Primarily due to timing of project activity.
	Reimb.	(2.216)	(69.8)	Primarily due to timing of project activity.	(16.363)	(51.5)	Primarily due to timing of project activity.
Electric Power	Non Reimb.	0.569	8.2	Lower consumption, partially offset by higher rates.	0.911	1.2	Lower consumption, partially offset by higher rates and the timing of accrual adjustments.
	Reimb.	0.005	5.6	Primarily due to the timing of project activity.	0.012	1.2	Primarily due to the timing of project activity.
Fuel	Non Reimb.	(0.204)	(11.0)	Primarily due to higher rates and the timing of accrual adjustments, partially offset by lower consumption.	0.288	1.6	Lower consumption and the timing of accrual adjustments, partially offset by higher rates.
	Reimb.	0.000	-		(0.042)	-	Primarily due to the timing of project activity.
Insurance	Non Reimb.	(0.010)	(0.6)	Higher property insurance, partially offset by lower liability insurance.	0.558	3.3	Lower property and liability insurance.
	Reimb.	0.011	1.2	Force Account Insurance associated with project activity.	(0.051)	(0.7)	Force Account Insurance associated with project activity.
Claims	Non Reimb.	0.630	*	Lower non-employee claims, partially offset by higher corporate reserves and public liability reserves.	2.707	61.8	Decrease in non-employee reserves, partially offset by higher corporate and public liability reserves.

TABLE 3

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST**  
**EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL: ACCRUAL BASIS**  
(\$ in millions)

October 2018				Year-to-Date October 2018			
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.	1.403	17.2	Primarily due to timing of platform investments, construction services, security services, hazardous waste cleanup and cleaning services, partially offset by higher vegetation management.	7.522	12.1	Timing of platform investments, TVM maintenance, security initiatives, non-revenue vehicle repairs, elevator/escalator maintenance and joint facilities, partially offset by higher vegetation management and emergency bussing and timing of equipment/vehicle rentals and HVAC maintenance.
	Reimb.	(3.593)	*	Primarily due to timing of project activity.	(9.511)	(55.9)	Primarily due to timing of project activity.
Professional Service Contracts	Non Reimb.	2.168	46.4	Primarily due to timing of Enterprise Asset Management (EAM), invoices for advertising and market research initiatives, consulting services and MTA chargebacks.	(1.618)	(4.9)	Primarily write-off of various projects that are no longer capital eligible, partially offset by the timing of MTA chargebacks, EAM, market research and advertising initiatives.
	Reimb.	(1.068)	*	Primarily due to timing of project activity.	(4.353)	*	Primarily due to timing of project activity.
Materials & Supplies	Non Reimb.	1.599	8.9	Primarily timing of modifications and Reliability Centered Maintenance (RCM) activities for revenue fleet.	27.957	19.3	Primarily timing of fleet modification initiatives, M7 12 Year Propulsion, M7 Phase 2 Battery Change-out, M7 Wheel-Set Running Repairs (RR), C3 Truck Maintenance Initiative, DE/DM 15yr Maintenance Initiative, DE/DM Ice to Fire RCM program delays and other initiatives under the RCM program.
	Reimb.	1.357	17.9	Primarily due to timing of project activity.	(11.098)	(20.7)	Primarily due to timing of project activity.
Other Business Expenses	Non Reimb.	0.476	29.7	Primarily due to higher restitution on property damage and lower office supplies, partially offset by higher credit card fees.	7.688	49.8	Primarily due to higher restitution on property damage, reversal of bad debt expense, lower print, stationary and office supplies and other miscellaneous expenses, partially offset by losses due to the demolition of assets which were not fully depreciated and higher credit card fees.
	Reimb.	(0.106)	*	Primarily due to timing of project activity.	(0.795)	*	Primarily due to timing of project activity.

TABLE 3

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST**  
**EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL: ACCRUAL BASIS**  
(\$ in millions)

October 2018				Year-to-Date October 2018			
Generic Revenue or Expense Category	Non Reimb. Or Reimb.	Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
		\$	%		\$	%	
Depreciation	Non Reimb.	(2.451)	(8.4)	Based on certain capital assets being fully depreciated.	(28.820)	(9.8)	Based on certain capital assets being fully depreciated.
Other Post Employment Benefits	Non Reimb.	(0.301)	(2.6)	Latest actuarial estimates.	(1.183)	(1.0)	Latest actuarial estimates.
Environmental Remediation	Non Reimb.	(0.010)	(6.4)		(0.142)	(8.4)	

Table 4

<b>MTA LONG ISLAND RAIL ROAD</b> <b>JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST</b> <b>CASH RECEIPTS and EXPENDITURES</b> <b>October 2018</b> (\$ in millions)								
	Month				Year-to-Date			
			Favorable (Unfavorable)				Favorable (Unfavorable)	
	Forecast	Actual	Variance	Percent	Forecast	Actual	Variance	Percent
<b>Receipts</b>								
Farebox Revenue	\$63.737	\$68.722	\$4.985	7.8	\$630.792	\$633.600	\$2.808	0.4
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	1.003	1.677	0.674	67.2	26.652	25.750	(0.902)	(3.4)
Capital & Other Reimbursements	41.689	44.011	2.322	5.6	365.347	387.283	21.936	6.0
<b>Total Receipts</b>	<b>\$106.429</b>	<b>\$114.410</b>	<b>\$7.981</b>	<b>7.5</b>	<b>\$1,022.791</b>	<b>\$1,046.633</b>	<b>\$23.842</b>	<b>2.3</b>
<b>Expenditures</b>								
<i>Labor:</i>								
Payroll	\$55.894	\$53.623	\$2.271	4.1	\$554.264	\$544.562	\$9.702	1.8
Overtime	11.768	17.500	(5.732)	(48.7)	157.600	180.524	(22.924)	(14.5)
Health and Welfare	12.173	24.427	(12.254)	*	118.783	126.760	(7.977)	(6.7)
OPEB Current Payment	5.577	9.111	(3.534)	(63.4)	54.838	55.602	(0.764)	(1.4)
Pensions	14.910	14.823	0.087	0.6	146.123	143.977	2.146	1.5
Other Fringe Benefits	10.351	12.946	(2.595)	(25.1)	159.264	158.500	0.764	0.5
GASB	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Reimbursable Overhead	0.000	0.000	0.000	-	0.000	0.000	0.000	-
<b>Total Labor Expenditures</b>	<b>\$110.673</b>	<b>\$132.430</b>	<b>(\$21.757)</b>	<b>(19.7)</b>	<b>\$1,190.872</b>	<b>\$1,209.926</b>	<b>(\$19.053)</b>	<b>(1.6)</b>
<i>Non-Labor:</i>								
Electric Power	\$7.018	\$8.330	(\$1.312)	(18.7)	\$76.952	\$77.479	(\$0.527)	(0.7)
Fuel	1.856	2.443	(0.587)	(31.6)	18.380	18.450	(0.070)	(0.4)
Insurance	0.418	3.753	(3.335)	*	19.036	22.600	(3.564)	(18.7)
Claims	0.265	0.111	0.154	58.2	3.520	2.309	1.211	34.4
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	9.752	8.724	1.028	10.5	89.124	82.214	6.910	7.8
Professional Service Contracts	6.158	3.029	3.129	50.8	35.631	28.132	7.499	21.0
Materials & Supplies	20.660	14.400	6.260	30.3	207.068	191.376	15.692	7.6
Other Business Expenses	1.922	1.577	0.345	18.0	18.244	12.013	6.231	34.2
<b>Total Non-Labor Expenditures</b>	<b>\$48.049</b>	<b>\$42.367</b>	<b>\$5.682</b>	<b>11.8</b>	<b>\$467.955</b>	<b>\$434.573</b>	<b>\$33.382</b>	<b>7.1</b>
<i>Other Expenditure Adjustments:</i>								
Other	\$1.381	\$1.445	(\$0.064)	(4.6)	\$13.738	\$13.809	(\$0.071)	(0.5)
<b>Total Other Expenditure Adjustments</b>	<b>\$1.381</b>	<b>\$1.445</b>	<b>(\$0.064)</b>	<b>(4.6)</b>	<b>\$13.738</b>	<b>\$13.809</b>	<b>(\$0.071)</b>	<b>(0.5)</b>
<b>Total Expenditures</b>	<b>\$160.103</b>	<b>\$176.242</b>	<b>(\$16.139)</b>	<b>(10.1)</b>	<b>\$1,672.565</b>	<b>\$1,658.308</b>	<b>\$14.257</b>	<b>0.9</b>
Cash Timing and Availability Adjustment	0.000	(0.869)	(0.869)	-	0.000	(1.808)	(1.808)	-
<b>Net Cash Deficit (excludes opening balance)</b>	<b>(\$53.674)</b>	<b>(\$62.701)</b>	<b>(\$9.027)</b>	<b>(16.8)</b>	<b>(\$649.774)</b>	<b>(\$613.483)</b>	<b>\$36.291</b>	<b>5.6</b>
<b>Subsidies</b>								
<b>MTA</b>	<b>53.674</b>	<b>62.701</b>	<b>9.027</b>	<b>16.8</b>	<b>649.774</b>	<b>613.483</b>	<b>(36.292)</b>	<b>(5.6)</b>

The impact of the LIRR's Forward Plan which was captured in MTA Re-estimates within below-the-line adjustments in the 2018 July Financial Plan, has been allocated and is now reflected within the baseline Mid-Year Forecasts.

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST**  
**EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL CASH BASIS**

Table 5

Generic Revenue or Expense Category	October 2018			Year-to-Date as of October 31, 2018		
	Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
	\$	%		\$	%	
<b>Receipts</b>						
Farebox Revenue	4.985	7.8	Higher advance sales impact \$3.461, higher ridership \$1.888 and higher MetroCard/AirTrain sales \$0.070, partially offset by lower yields \$(0.434).	2.808	0.4	Higher advance sales impact \$4.799, higher yields \$1.467 and higher MetroCard/AirTrain sales \$0.058, partially offset by lower ridership \$(3.516).
Other Operating Revenue	0.674	67.2	Primarily due to higher rental revenue.	(0.902)	(3.4)	Primarily due to the timing of rental and freight receipts, partially offset by higher miscellaneous revenue and a FEMA receipt.
Capital and Other Reimbursements	2.322	5.6	Timing of activity and reimbursement for capital and other reimbursements.	21.936	6.0	Timing of activity and reimbursement for capital and other reimbursements.
<b>Expenditures</b>						
Labor:						
Payroll	2.271	4.1	Primarily due to vacant positions and sick pay law claim credits, partially offset by the timing of intercompany reimbursements.	9.702	1.8	Primarily due to vacant positions and higher sick pay law claim credits, partially offset by the timing of intercompany reimbursements, retiree sick/vacation buyouts and management vacation buybacks.
Overtime	(5.732)	(48.7)	Primarily due to higher project overtime, maintenance, scheduled/unscheduled service and vacancy/absentee coverage.	(22.924)	(14.5)	Primarily due to higher project overtime, scheduled/unscheduled service, maintenance and weather-related overtime, partially offset by lower vacancy/absentee coverage.
Health and Welfare	(12.254)	*	Primarily due to the timing of payments, partially offset by vacant positions and intercompany reimbursements.	(7.977)	(6.7)	Primarily due to the timing of payments, partially offset by vacant positions and intercompany reimbursements.
OPEB Current Payment	(3.534)	(63.4)	Primarily due to the timing of payments, partially offset by fewer retirees/beneficiaries.	(0.764)	(1.4)	Primarily due to the timing of payments, partially offset by fewer retirees/beneficiaries.

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST**  
**EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL CASH BASIS**

Table 5

Generic Revenue or Expense Category	October 2018			Year-to-Date as of October 31, 2018		
	Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
	\$	%		\$	%	
Pensions	0.087	0.6	Due to intercompany reimbursements.	2.146	1.5	Due to intercompany reimbursements.
Other Fringe Benefits	(2.595)	(25.1)	Primarily due to higher FELA payments.	0.764	0.5	Primarily due to lower Railroad Retirement Tax payments which include intercompany reimbursements, partially offset by higher FELA payments and meal payments.
Non-Labor:						
Electric Power	(1.312)	(18.7)	Primarily due to the timing of payments and higher rates, partially offset by lower consumption.	(0.527)	(0.7)	Primarily due to the timing of payments and higher rates, partially offset by lower consumption.
Fuel	(0.587)	(31.6)	Primarily due to higher rates and the timing of payments, partially offset by lower consumption.	(0.070)	(0.4)	Primarily due to the timing of payments and higher rates, partially offset by lower consumption.
Insurance	(3.335)	*	Primarily due to the timing of payments.	(3.564)	(18.7)	Primarily due to the timing of payments.
Claims	0.154	58.2	Timing of claim payments.	1.211	34.4	Timing of claim payments.
Maintenance and Other Operating Contracts	1.028	10.5	Timing of payments.	6.910	7.8	Timing of payments.
Professional Service Contracts	3.129	50.8	Primarily the timing of payments for MTA Chargeback and other professional services.	7.499	21.0	Primarily the timing of payments for MTA Chargeback and other professional services.
Materials and Supplies	6.260	30.3	Primarily the timing of program, production plan, and operating funded capital material and supplies.	15.692	7.6	Primarily the timing of program, production plan, and operating funded capital material and supplies.

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST**  
**EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL CASH BASIS**

Table 5

Generic Revenue or Expense Category	October 2018			Year-to-Date as of October 31, 2018		
	Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
	\$	%		\$	%	
Other Business Expenses	0.345	18.0	Primarily due to the timing of payments, partially offset by higher credit/debit card fees.	6.231	34.2	Primarily due to higher restitution of property damages as a result of an insurance settlement and the timing of payments, partially offset by higher credit/debit card fees.
Other Expenditure Adjustments	(0.064)	(4.6)	Higher MetroCard/AirTrain pass through payments.	(0.071)	(0.5)	Higher MetroCard/AirTrain pass through payments.

Table 6

<b>MTA LONG ISLAND RAIL ROAD</b> <b>JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST</b> <b>CASH CONVERSION (CASH FLOW ADJUSTMENTS)</b> <b>October 2018</b> (\$ in millions)								
	Month				Year-to-Date			
	Favorable (Unfavorable)				Favorable (Unfavorable)			
	Forecast	Actual	Variance	Percent	Forecast	Actual	Variance	Percent
<b>Receipts</b>								
Farebox Revenue	\$1.402	\$4.933	\$3.531	*	\$14.288	\$19.144	\$4.856	34.0
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	(2.525)	(1.715)	0.809	32.1	(7.841)	(8.766)	(0.925)	(11.8)
Capital & Other Reimbursements	1.407	(6.704)	(8.112)	*	4.926	(57.309)	(62.235)	*
<b>Total Receipts</b>	<b>\$0.285</b>	<b>(\$3.486)</b>	<b>(\$3.771)</b>	<b>*</b>	<b>\$11.372</b>	<b>(\$46.931)</b>	<b>(\$58.303)</b>	<b>*</b>
<b>Expenditures</b>								
<i>Labor:</i>								
Payroll	\$5.003	\$2.958	(\$2.045)	(40.9)	\$12.075	\$11.709	(\$0.365)	(3.0)
Overtime	3.428	4.046	0.619	18.1	0.451	5.735	5.285	*
Health and Welfare	0.000	(12.599)	(12.599)	*	1.064	(8.649)	(9.713)	*
OPEB Current Payment	0.000	(4.135)	(4.135)	*	0.000	(4.045)	(4.045)	*
Pensions	0.000	0.087	0.087	*	1.870	4.016	2.146	*
Other Fringe Benefits	1.880	(0.858)	(2.738)	*	5.460	12.050	6.590	*
GASB	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Reimbursable Overhead	0.000	0.000	0.000	-	0.000	0.000	0.000	-
<b>Total Labor Expenditures</b>	<b>\$10.310</b>	<b>(\$10.501)</b>	<b>(\$20.811)</b>	<b>*</b>	<b>\$20.919</b>	<b>\$20.816</b>	<b>(\$0.103)</b>	<b>(0.5)</b>
<i>Non-Labor:</i>								
Electric Power	(\$0.000)	(\$1.887)	(\$1.887)	*	(\$0.144)	(\$1.594)	(\$1.450)	*
Fuel	0.000	(0.382)	(0.382)	*	0.000	(0.316)	(0.317)	*
Insurance	2.164	(1.171)	(3.336)	*	5.516	1.444	(4.071)	(73.8)
Claims	0.054	(0.422)	(0.475)	*	0.863	(0.633)	(1.496)	*
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	0.000	3.218	3.218	*	(9.975)	(1.075)	8.899	89.2
Professional Service Contracts	(1.431)	0.599	2.030	*	(2.057)	11.412	13.469	*
Materials & Supplies	4.976	8.280	3.304	66.4	(8.657)	(9.825)	(1.168)	(13.5)
Other Business Expenses	(0.278)	(0.303)	(0.025)	(9.0)	(2.511)	(3.173)	(0.662)	(26.3)
<b>Total Non-Labor Expenditures</b>	<b>\$5.485</b>	<b>\$7.932</b>	<b>\$2.447</b>	<b>44.6</b>	<b>(\$16.966)</b>	<b>(\$3.760)</b>	<b>\$13.206</b>	<b>77.8</b>
<i>Other Expenditure Adjustments:</i>								
Other	(\$1.381)	(\$1.445)	(\$0.064)	(4.6)	(\$13.738)	(\$13.809)	(\$0.071)	(0.5)
<b>Total Other Expenditure Adjustments</b>	<b>(\$1.381)</b>	<b>(\$1.445)</b>	<b>(\$0.064)</b>	<b>(4.6)</b>	<b>(\$13.738)</b>	<b>(\$13.809)</b>	<b>(\$0.071)</b>	<b>(0.5)</b>
<b>Total Expenditures before Depreciation</b>	<b>\$14.414</b>	<b>(\$4.014)</b>	<b>(\$18.429)</b>	<b>*</b>	<b>(\$9.784)</b>	<b>\$3.247</b>	<b>\$13.031</b>	<b>*</b>
Depreciation Adjustment	\$29.099	\$31.550	\$2.451	8.4	\$292.951	\$321.771	\$28.820	9.8
Other Post Employment Benefits	11.574	11.876	0.301	2.6	115.775	116.958	1.183	1.0
GASB 68 Pension Expense Adjustment	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Environmental Remediation	0.157	0.167	0.010	6.4	1.687	1.829	0.142	8.4
<b>Total Expenditures</b>	<b>\$55.244</b>	<b>\$39.578</b>	<b>(\$15.666)</b>	<b>(28.4)</b>	<b>\$400.628</b>	<b>\$443.805</b>	<b>\$43.177</b>	<b>10.8</b>
Cash Timing and Availability Adjustment	0.000	(0.869)	(0.869)	-	0.000	(1.808)	(1.808)	-
<b>Total Cash Conversion Adjustments</b>	<b>\$55.529</b>	<b>\$35.223</b>	<b>(\$20.306)</b>	<b>(36.6)</b>	<b>\$412.001</b>	<b>\$395.066</b>	<b>(\$16.934)</b>	<b>(4.1)</b>

The impact of the LIRR's Forward Plan which was captured in MTA Re-estimates within below-the-line adjustments in the 2018 July Financial Plan, has been allocated and is now reflected within the baseline Mid-Year Forecasts.

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST**  
**Non-Reimbursable/Reimbursable Overtime**  
(\$ in millions)

	October 2018						October Year-to-Date					
	Mid-Year Forecast		Actuals		Var. - Fav./(Unfav)		Mid-Year Forecast		Actuals		Var. - Fav./(Unfav)	
	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$
<b>NON-REIMBURSABLE OVERTIME</b>												
<u>Scheduled Service</u> <sup>1</sup>	38,276	\$2.415	44,031	\$2.787	(5,755) -15.0%	(\$0.372) -15.4%	333,189	\$21.118	339,497	\$21.584	(6,308) -1.9%	(\$0.466) -2.2%
<u>Unscheduled Service</u>	8,765	\$0.565	12,297	\$0.798	(3,532) -40.3%	(\$0.233) -41.2%	75,389	\$4.870	96,613	\$6.273	(21,224) -28.2%	(\$1.403) -28.8%
<u>Programmatic/Routine Maintenance</u>	88,231	\$5.130	97,092	\$7.025	(8,861) -10.0%	(\$1.895) -36.9%	715,900	\$41.996	727,857	\$43.315	(11,957) -1.7%	(\$1.319) -3.1%
<u>Unscheduled Maintenance</u>	822	\$0.051	2,304	\$0.143	(1,482) *	(\$0.092) *	11,427	\$0.693	23,434	\$1.430	(12,007) *	(\$0.737) *
<u>Vacancy/Absentee Coverage</u>	59,943	\$3.596	67,164	\$4.055	(7,221) -12.0%	(\$0.458) -12.7%	669,438	\$40.723	656,502	\$39.212	12,935 1.9%	\$1.511 3.7%
<u>Weather Emergencies</u>	2,021	\$0.120	1,360	\$0.084	662 32.7%	\$0.036 29.9%	163,491	\$10.181	168,075	\$10.548	(4,584) -2.8%	(\$0.367) -3.6%
<u>Safety/Security/Law Enforcement</u> <sup>2</sup>	-	\$0.000	-	\$0.000	-	\$0.000	-	\$0.000	-	\$0.000	0 0.0%	\$0.000 0.0%
<u>Other</u> <sup>3</sup>	2,254	\$0.176	2,367	\$0.302	(113) -5.0%	(\$0.126) -71.7%	22,416	\$1.730	20,689	\$2.855	1,727 7.7%	(\$1.125) -65.1%
<b>NON-REIMBURSABLE OVERTIME</b>	200,313	\$12.054	226,616	\$15.194	(26,303) -13.1%	(\$3.140) -26.0%	1,991,249	\$121.311	2,032,667	\$125.217	(41,418) -2.1%	(\$3.906) -3.2%
<b>REIMBURSABLE OVERTIME</b>	55,954	\$3.142	116,753	\$6.353	(60,798) *	(\$3.211) *	618,789	\$36.740	960,033	\$61.042	(341,244) -55.1%	(\$24.302) -66.1%
<b>TOTAL OVERTIME</b>	<b>256,267</b>	<b>\$15.196</b>	<b>343,368</b>	<b>\$21.546</b>	<b>(87,101)</b> -34.0%	<b>(\$6.351)</b> -41.8%	<b>2,610,038</b>	<b>\$158.051</b>	<b>2,992,700</b>	<b>\$186.260</b>	<b>(382,662)</b> -14.7%	<b>(\$28.209)</b> -17.8%

<sup>1</sup> Includes Tour Length and Holiday overtime.

<sup>2</sup> Not Applicable

<sup>3</sup> Reflects overtime for marketing, material management and other administrative functions.

Totals may not add due to rounding.

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

\* Exceeds 100%

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST**  
**Non-Reimbursable/Reimbursable Overtime**  
(\$ in millions)

	October 2018			October Year-to-Date		
	Var. - Fav./(Unfav)		Explanations	Var. - Fav./(Unfav)		Explanations
	Hours	\$		Hours	\$	
<b>NON-REIMBURSABLE OVERTIME</b>						
<u>Scheduled Service</u>	(5,755)	(\$0.372)	Higher Crew Book overtime and higher holiday coverage (Columbus Day) in Transportation.	(6,308)	(\$0.466)	Higher Crew Book overtime and higher holiday coverage (Columbus Day) in Transportation.
	-15.0%	-15.4%		-1.9%	-2.2%	
<u>Unscheduled Service</u>	(3,532)	(\$0.233)	Additional operational support required to fulfill on time performance.	(21,224)	(\$1.403)	Additional operational support required to fulfill on time performance.
	-40.3%	-41.2%		-28.2%	-28.8%	
<u>Programmatic/Routine Maintenance</u>	(8,861)	(\$1.895)	Unfavorable right of way maintenance efforts regarding removal of contaminated gravel and mud remediation and thermite welding.	(11,957)	(\$1.319)	Long Beach Wreck Lead bridge timber renewal (wood ties), additional track night time emergency crew, replacement of defective concrete ties system wide, undercutting track maintenance (removal of contaminated gravel and mud remediation), thermite welding, Kew Gardens/Forest Hills temporary platform install and Sperry rail car initiative within Engineering. Partially offset by lower maintenance efforts within the Equipment department due to less running repair and delayed camera installation.
	-10.0%	-36.9%		-1.7%	-3.1%	
<u>Unscheduled Maintenance</u>	(1,482)	(\$0.092)		(12,007)	(\$0.737)	Unfavorable due to West Side Yard & Woodside derailment, highway crossing emergency track rehabilitation (Montauk) and broken rail mitigation along the Main Line and Port Washington branches within the Engineering department.
	*	*		*	*	
<u>Vacancy/Absentee Coverage</u>	(7,221)	(\$0.458)	Lower availability within the Station and Equipment department.	12,935	\$1.511	Primarily driven by fewer tours and higher availability within Transportation, partially offset by lower availability within Stations and Equipment departments.
	-12.0%	-12.7%		1.9%	3.7%	
<u>Weather Emergencies</u>	662	\$0.036		(4,584)	(\$0.367)	Adverse weather conditions.
	32.7%	29.9%		-2.8%	-3.6%	
<u>Safety/Security/Law Enforcement</u>						
<u>Other</u>	(113)	(\$0.126)	Unfavorable due to variance between actual and forecasted wage rates.	1,727	(\$1.125)	Unfavorable due to variance between actual and forecasted wage rates.
	-5.0%	-71.7%		7.7%	-65.1%	
<b>NON-REIMBURSABLE OVERTIME</b>	<b>(26,303)</b>	<b>(\$3.140)</b>		<b>(41,418)</b>	<b>(\$3.906)</b>	
	-13.1%	-26.0%		-2.1%	-3.2%	
<b>REIMBURSABLE OVERTIME</b>	(60,798)	(\$3.211)	Over-run attributed to Main Line Double Track phase 2 improvements, Concrete Ties Program, East Side Access, East Rail Yard, Jamaica Capacity improvements and Hicksville Station improvements.	(341,244)	(\$24.302)	Over-run attributed to Main Line Double Track phase 2 improvements, East Side Access, East Rail Yard, Jamaica Capacity improvements, Hicksville & Wantagh Station improvements, PSEG transmission pole replacement, PTC, Concrete Tie Program and Annual Track program.
	*	*		-55.1%	-66.1%	
<b>TOTAL OVERTIME</b>	<b>(87,101)</b>	<b>(\$6.351)</b>		<b>(382,662)</b>	<b>(\$28.209)</b>	
	-34.0%	-41.8%		-14.7%	-17.8%	

**METROPOLITAN TRANSPORTATION AUTHORITY - LONG ISLAND RAIL ROAD**  
**2018 Overtime Reporting**  
**Overtime Legend**

**OVERTIME DECOMPOSITION LEGEND DEFINITIONS**

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

MTA LONG ISLAND RAIL ROAD  
JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST  
TOTAL POSITIONS BY FUNCTION AND DEPARTMENT  
NON-REIMBURSABLE/REIMBURSABLE AND FULL-TIME/FULL-TIME EQUIVALENTS  
END-of-MONTH OCTOBER 2018

	Mid-Year Forecast	Actual	Favorable/ (Unfavorable) Variance
<b>Administration</b>			
Executive VP	2	2	0
Enterprise Asset Management	7	6	1
Sr. Vice President - Engineering	2	1	1
Labor Relations	19	16	3
Procurement & Logistics (excl. Stores)	77	64	13
Human Resources	36	35	1
Sr VP Administration	2	2	0
Strategic Investments	18	18	0
President	7	5	2
VP & CFO	5	2	3
Information Technology	0	0	0
Controller	44	45	(1)
Management & Budget	18	16	2
BPM, Controls & Compliance	7	5	2
Market Dev. & Public Affairs	73	71	2
Gen. Counsel & Secretary	33	32	1
Diversity Management	3	3	0
Security	13	11	2
System Safety	39	35	4
Training	69	65	4
Service Planning	27	24	3
Rolling Stock Programs	17	10	7
Sr Vice President - Operations	2	1	1
<b>Total Administration</b>	<b>520</b>	<b>469</b>	<b>51</b>
<b>Operations</b>			
Transportation Services - Train Operations	2,344	2,328	16
Customer Services	313	312	1
<b>Total Operations</b>	<b>2,657</b>	<b>2,640</b>	<b>17</b>
<b>Maintenance</b>			
Engineering	2,058	2,078	(20)
Equipment	2,174	2,134	40
Procurement (Stores)	97	93	4
<b>Total Maintenance</b>	<b>4,329</b>	<b>4,305</b>	<b>24</b>
<b>Engineering/Capital</b>			
Department of Program Management	156	135	21
Special Projects/East Side Access	46	40	6
Positive Train Control	12	11	1
<b>Total Engineering/Capital</b>	<b>214</b>	<b>186</b>	<b>28</b>
<b>Baseline Total Positions</b>	<b>7,720</b>	<b>7,600</b>	<b>120</b>
<i>Non-Reimbursable</i>	<b>6,361</b>	<b>6,319</b>	<b>42</b>
<i>Reimbursable</i>	<b>1,360</b>	<b>1,281</b>	<b>79</b>
<b>Total Full-Time</b>	<b>7,720</b>	<b>7,600</b>	<b>120</b>
<b>Total Full-Time-Equivalents</b>			

Note: Totals may not add due to rounding

**MTA LONG ISLAND RAIL ROAD  
JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST  
FULL-TIME POSITIONS and FULL-TIME EQUIVALENTS  
NON-REIMBURSABLE and REIMBURSABLE  
END-of-MONTH OCTOBER 2018**

Explanation of Variances
<b>NON-REIMBURSABLE POSITIONS</b> - Favorable 42 positions primarily due to vacant positions in Maintenance of Equipment, Department of Program Management and other administrative departments, partially offset by Engineering workforce working on maintenance activities instead of capital project activities.
<b>REIMBURSABLE POSITIONS</b> - Favorable 79 positions primarily due to the timing of project activity in the Procurement and Logistics, Department of Program Management, Engineering and Maintenance of Equipment departments.

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST**  
**TOTAL FULL-TIME POSITIONS and FULL-TIME EQUIVALENTS by FUNCTION and OCCUPATION**  
**END-of-MONTH OCTOBER 2018**

			Favorable/ (Unfavorable)
	Mid-Year Forecast	Actual	Variance
<b>Administration</b>			
Managers/Supervisors	266	242	24
Professional, Technical, Clerical	149	122	27
Operational Hourlies	106	105	1
<b>Total Administration</b>	<b>520</b>	<b>469</b>	<b>51</b>
<b>Operations</b>			
Managers/Supervisors	311	304	7
Professional, Technical, Clerical	106	105	1
Operational Hourlies	2,240	2,231	9
<b>Total Operations</b>	<b>2,657</b>	<b>2,640</b>	<b>17</b>
<b>Maintenance</b>			
Managers/Supervisors	816	768	48
Professional, Technical, Clerical	312	225	87
Operational Hourlies	3,201	3,312	(111)
<b>Total Maintenance</b>	<b>4,329</b>	<b>4,305</b>	<b>24</b>
<b>Engineering/Capital</b>			
Managers/Supervisors	145	126	19
Professional, Technical, Clerical	69	60	9
Operational Hourlies	0	0	0
<b>Total Engineering/Capital</b>	<b>214</b>	<b>186</b>	<b>28</b>
<b>Total Positions</b>			
Managers/Supervisors	1,538	1,440	98
Professional, Technical, Clerical	636	512	124
Operational Hourlies	5,547	5,648	(101)
<b>Total Positions</b>	<b>7,720</b>	<b>7,600</b>	<b>120</b>

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2018 MID YEAR**  
**RIDERSHIP**  
(In Millions)

**RIDERSHIP**

Monthly  
Weekly  
Total Commutation  
  
One-Way Full Fare  
One-Way Off-Peak  
All Other  
Total Non-Commutation  
Total

OCTOBER 2018							
Month			Variance				
	Actual	Adjusted*			Adjusted*		
Mid Year	2018	2017	Mid Year		2017		
			#	%	#	%	
Monthly	4.570	4.568	0.039	0.8%	0.041	0.9%	
Weekly	0.160	0.170	0.047	29.5%	0.037	21.6%	
Total Commutation	<b>4.730</b>	<b>4.738</b>	<b>0.086</b>	<b>1.8%</b>	<b>0.078</b>	<b>1.6%</b>	
One-Way Full Fare	0.776	0.759	0.082	10.5%	0.099	13.0%	
One-Way Off-Peak	1.528	1.548	0.004	0.3%	(0.016)	-1.0%	
All Other	0.898	0.943	0.069	7.6%	0.024	2.5%	
Total Non-Commutation	<b>3.203</b>	<b>3.251</b>	<b>0.155</b>	<b>4.8%</b>	<b>0.107</b>	<b>3.3%</b>	
Total	<b>7.932</b>	<b>7.988</b>	<b>0.240</b>	<b>3.0%</b>	<b>0.184</b>	<b>2.3%</b>	

OCTOBER YEAR TO DATE 2018							
YTD			Variance				
	Actual	Adjusted*			Adjusted*		
Mid Year	2018	2017	Mid Year		2017		
			#	%	#	%	
Monthly	41.224	41.160	(0.226)	-0.5%	(0.162)	-0.4%	
Weekly	1.656	1.613	0.082	5.0%	0.126	7.8%	
Total Commutation	<b>42.880</b>	<b>42.772</b>	<b>(0.144)</b>	<b>-0.3%</b>	<b>(0.036)</b>	<b>-0.1%</b>	
One-Way Full Fare	7.417	7.389	0.268	3.6%	0.296	4.0%	
One-Way Off-Peak	15.628	15.509	(0.428)	-2.7%	(0.309)	-2.0%	
All Other	9.209	8.934	(0.125)	-1.4%	0.150	1.7%	
Total Non-Commutation	<b>32.254</b>	<b>31.833</b>	<b>(0.285)</b>	<b>-0.9%</b>	<b>0.136</b>	<b>0.4%</b>	
Total	<b>75.134</b>	<b>74.605</b>	<b>(0.428)</b>	<b>-0.6%</b>	<b>0.100</b>	<b>0.1%</b>	

\*Prior year adjusted to reflect current year calendar.

**MTA LONG ISLAND RAIL ROAD  
JULY FINANCIAL PLAN - 2018 MID-YEAR FORECAST  
MONTHLY PERFORMANCE INDICATORS  
October 2018**

		<b>MONTH</b>			<b>VARIANCE</b>	
		<b>Actual</b>	<b>Mid-Year</b>	<b>Actual</b>	<b>vs.</b>	<b>vs.</b>
		<b><u>2018</u></b>	<b><u>Forecast</u></b>	<b><u>2017</u></b>	<b><u>Forecast</u></b>	<b><u>2017</u></b>
Farebox Operating Ratio						
	Standard <sup>(1)</sup>	52.2%	44.7%	58.5%	7.5%	-6.3%
	Adjusted <sup>(2)</sup>	59.0%	50.5%	67.2%	8.5%	-8.2%
Cost Per Passenger						
	Standard <sup>(1)</sup>	\$14.95	\$17.59	\$13.77	\$2.64	(\$1.18)
	Adjusted <sup>(2)</sup>	\$13.94	\$16.46	\$12.56	\$2.52	(\$1.38)
Passenger Revenue/Passenger <sup>(3)</sup>		\$7.81	\$7.86	\$8.05	(\$0.05)	(\$0.24)
		<b>YEAR-TO-DATE</b>			<b>VARIANCE</b>	
		<b>Actual</b>	<b>Mid-Year</b>	<b>Actual</b>	<b>vs.</b>	<b>vs.</b>
		<b><u>2018</u></b>	<b><u>Forecast</u></b>	<b><u>2017</u></b>	<b><u>Forecast</u></b>	<b><u>2017</u></b>
Farebox Operating Ratio						
	Standard <sup>(1)</sup>	50.1%	46.5%	51.1%	3.6%	-1.0%
	Adjusted <sup>(2)</sup>	56.8%	52.6%	59.8%	4.2%	-3.0%
Cost Per Passenger						
	Standard <sup>(1)</sup>	\$16.45	\$17.68	\$15.92	\$1.23	(\$0.53)
	Adjusted <sup>(2)</sup>	\$15.30	\$16.48	\$14.56	\$1.18	(\$0.74)
Passenger Revenue/Passenger <sup>(3)</sup>		\$8.23	\$8.21	\$8.14	\$0.02	\$0.09

(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**  
**MID-YEAR FORECAST AND NOVEMBER FORECAST vs. ACTUAL RESULTS (NON-REIMBURSABLE)**  
**OCTOBER 2018 YEAR-TO-DATE**  
**(\$ in millions)**

	<b>October Year-to-Date</b>			<b>Favorable(Unfavorable) Variance</b>			
	<u>Mid-Year Forecast</u>	<u>November Forecast</u>	<u>Actual</u>	<u>Mid-Year Forecast</u>		<u>November Forecast</u>	
	\$	\$	\$	\$	%	\$	%
Total Revenue	651.0	648.6	649.0	(2.0)	(0.3)	0.4	0.1
Total Expenses before Non-Cash Liability Adjs	1,302.4	1,246.7	1,217.0	85.4	6.6	29.7	2.4
Depreciation	293.0	321.6	321.8	(28.8)	(9.8)	(0.2)	(0.1)
OPEB Obligation	115.8	116.4	117.0	(1.2)	(1.0)	(0.6)	(0.5)
GASB 68 Pension Expense Adjustment	-	-	-	-	-	-	-
Environmental Remediation	1.7	1.7	1.8	(0.1)	(8.4)	(0.1)	(6.0)
Total Expenses	1,712.8	1,686.4	1,657.5	55.3	3.2	28.9	1.7
<b>Net Surplus/(Deficit)</b>	<b>(1,061.8)</b>	<b>(1,037.8)</b>	<b>(1,008.5)</b>	<b>53.2</b>	<b>5.0</b>	<b>29.3</b>	<b>2.8</b>

**MTA LONG ISLAND RAIL ROAD**  
**EXPLANATION OF VARIANCES BETWEEN NOVEMBER FORECAST AND ACTUAL RESULTS**  
**NON-REIMBURSABLE**  
**OCTOBER 2018 YEAR-TO-DATE**  
**(\$ in millions)**

	<b>Favorable/(Unfavorable)</b>		<b>Variance Explanation</b>
	<u>Variance</u>	<u>Percent</u>	
Total Revenue	\$0.4	0.1	Higher rental revenue and timing of miscellaneous revenue, partially offset by timing of advertising and freight revenues.
Total Expenses	\$28.9	1.7	Favorable labor expenses due to vacant positions and associated fringe costs, delayed DE/DM 15 year RCM, miscellaneous inventory adjustments, timing of activities/payments for Enterprise Asset Management, maintenance and repair, vegetation management and MTA chargebacks, lower bad debt reserves and non-employee claims, delayed TVM communication boxes and TVM doors and higher restitution on property damage, partially offset by write-off of various projects that are no longer capital eligible, higher emergency bussing, equipment/vehicle rentals and maintenance overtime.

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



# Long Island Rail Road

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## Ridership Report Highlights

### **October 2018 vs. 2017**

- October 2018 total ridership increased +2.3% compared to October 2017 (8,172,734 in October 2018 vs. 7,988,363 in October 2017). Ridership of more than 8 million passengers in a given month represents the highest ridership in at least 30 years.
- Commutation ridership increased +1.6% compared to October 2017
- October 2018 Non-Commutation ridership increased +3.3% compared to October 2017
- The following factors impacted ridership this October:
  - Improved weather (i.e. less rainfall) compared to prior months helped contribute to ridership growth. The continuing increase of Family Fare sales (+27%) indicates that the Autumn Weekends program contributed to ridership gains, while gains were also contributed to concerts at Forest Hills stadium and Islanders' games at Barclays Center.

### **2018 vs. 2017 YTD**

- Total YTD ridership is +0.1% above 2017 and -0.6% below Mid-Year Forecast
- YTD Commutation ridership is -0.1% below 2017
- YTD Non-Commutation ridership is +0.4% above 2017

*Mark Young*

Vice President

Management & Finance and Chief Financial Officer

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# **MTA LONG ISLAND RAIL ROAD**

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## **MONTHLY RIDERSHIP REPORT**

**October 2018**

**October 2018 RIDERSHIP & REVENUE REPORT  
MTA LONG ISLAND RAIL ROAD**

**EXECUTIVE SUMMARY**

**October Ridership and Revenue (millions)**

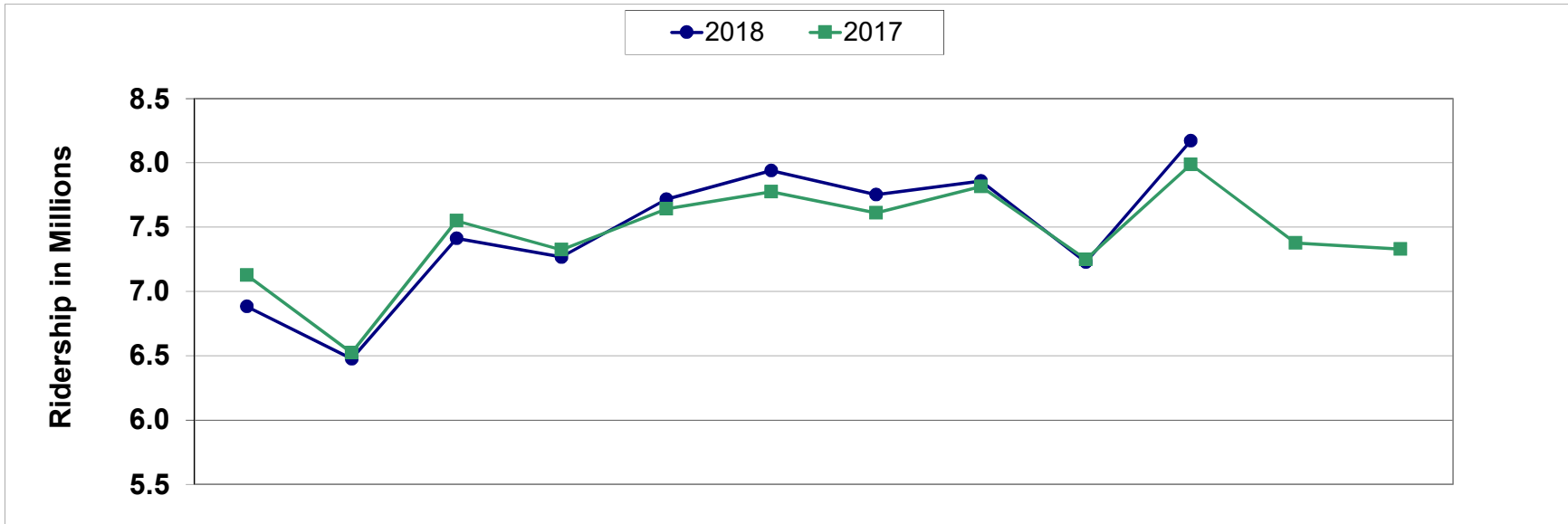
	October 2018	% Change vs. 2017
Total Rail Ridership	8.173	2.3% ▲
Commutation Ridership	4.815	1.6% ▲
Non-Commutation Ridership	3.357	3.3% ▲
Rail Revenue	\$63.8	1.8% ▲

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

	October 2018	% Change vs. 2017	Comparison to Mid Year
Total Rail Ridership	74.706	0.1% ▲	-0.6% ▼
Commutation Ridership	42.737	-0.1% ▼	-0.3% ▼
Non-Commutation Ridership	31.969	0.4% ▲	-0.9% ▼
Rail Revenue	\$614.5	1.8% ▲	-0.3% ▼

# October RIDERSHIP

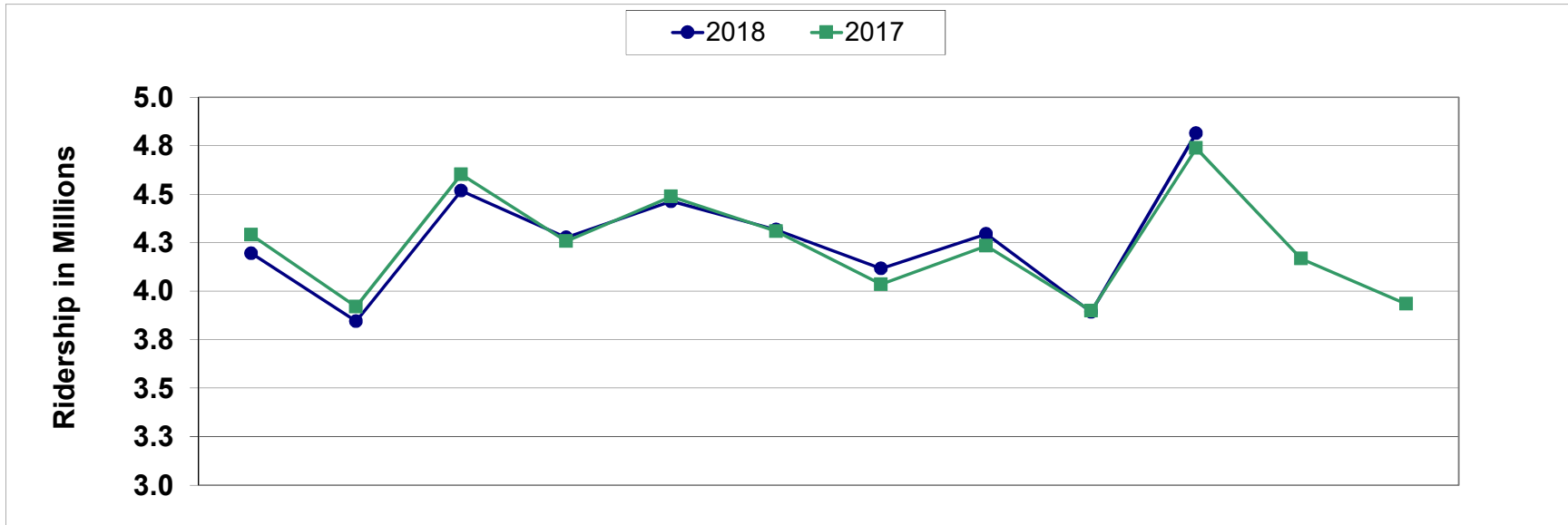
- October Total Ridership was 2.3% above '17 and 3.0% above Mid-Year Forecast.



	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2018	6.9	6.5	7.4	7.3	7.7	7.9	7.8	7.9	7.2	8.2			74.7
2017	7.1	6.5	7.6	7.3	7.6	7.8	7.6	7.8	7.2	8.0	7.4	7.3	74.6
PCT CHG.	-3.4%	-0.7%	-1.8%	-0.8%	1.0%	2.1%	1.9%	0.5%	-0.3%	2.3%			0.1%

# October COMMUTATION RIDERSHIP

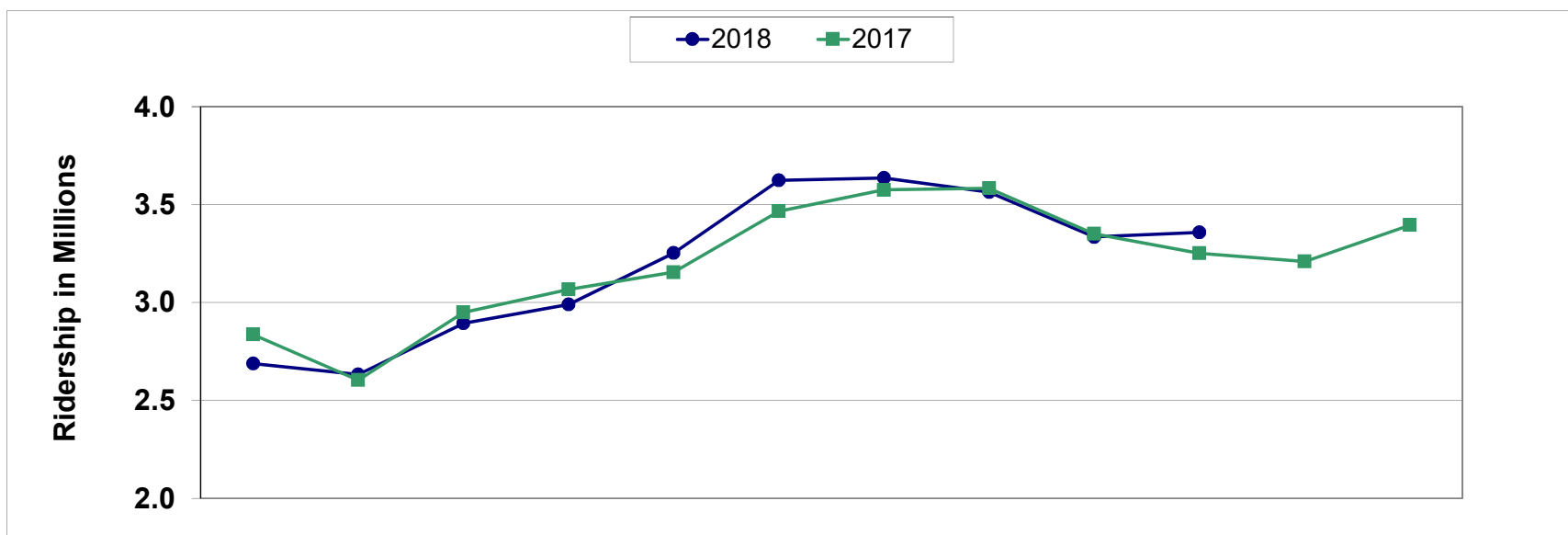
- October Commutation Ridership was 1.6% above '17 and 1.8% above Mid-Year Forecast.



	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2018	4.2	3.8	4.5	4.3	4.5	4.3	4.1	4.3	3.9	4.8			42.7
2017	4.3	3.9	4.6	4.3	4.5	4.3	4.0	4.2	3.9	4.7	4.2	3.9	42.8
PCT CHG.	-2.2%	-1.9%	-1.8%	0.5%	-0.5%	0.2%	2.0%	1.5%	-0.2%	1.6%			-0.1%

## October NON-COMMUTATION RIDERSHIP

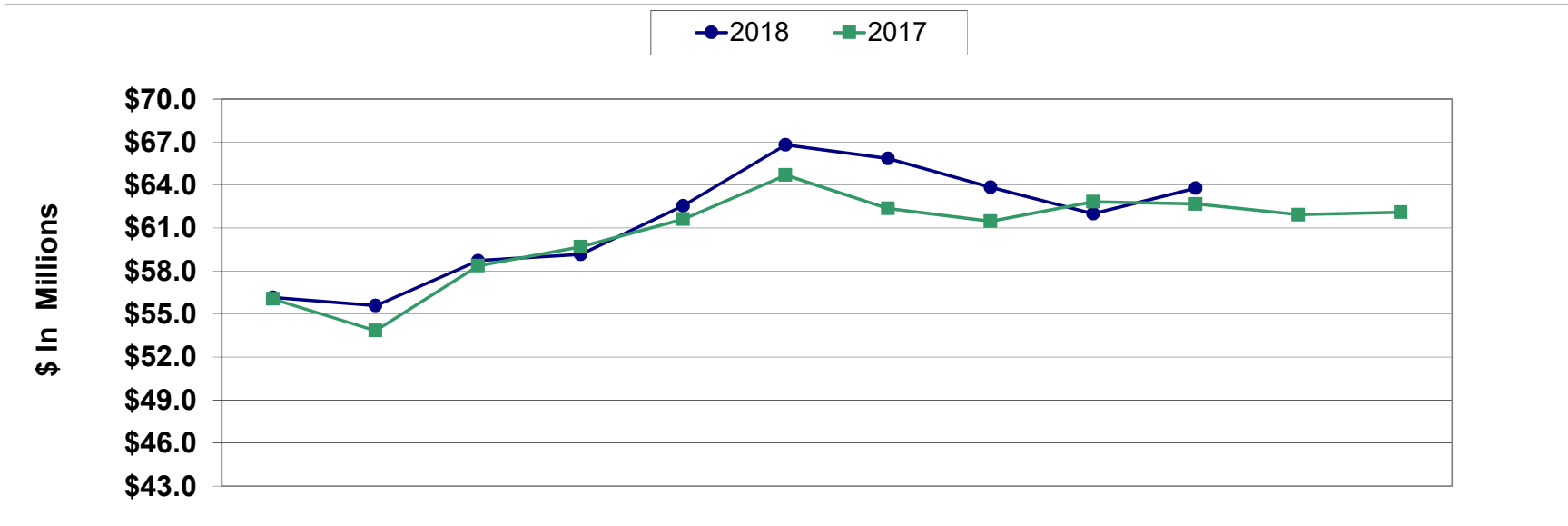
- September Non-Commutation Ridership was 3.3% above '17 and 4.8% above Mid-Year Forecast.



	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2018	2.7	2.6	2.9	3.0	3.3	3.6	3.6	3.6	3.3	3.4			32.0
2017	2.8	2.6	2.9	3.1	3.2	3.5	3.6	3.6	3.4	3.3	3.2	3.4	31.8
PCT CHG.	-5.2%	1.1%	-1.9%	-2.5%	3.1%	4.5%	1.7%	-0.5%	-0.5%	3.3%			0.4%

# October REVENUE

- September Total Revenue was 1.8% above '17 and 2.3% above Mid-Year Forecast.



	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2018	\$56.2	\$55.6	\$58.7	\$59.2	\$62.6	\$66.8	\$65.8	\$63.8	\$62.0	\$63.8			\$614.5
2017	\$56.0	\$53.8	\$58.4	\$59.7	\$61.6	\$64.7	\$62.4	\$61.5	\$62.8	\$62.7	\$61.9	\$62.1	\$603.6
PCT CHG.	0.2%	3.2%	0.6%	-0.9%	1.5%	3.3%	5.6%	3.9%	-1.3%	1.8%			1.8%

**MTA LONG ISLAND RAIL ROAD  
RIDERSHIP SUMMARY  
October 2018**

TICKET TYPE/SERVICE	October 2018	October 2017	CHANGE VS. 2017	
			NUMBER	PERCENT
COMMUTATION RIDERSHIP	4,815,335	4,737,619	77,716	1.6%
NON-COMMUTATION RIDERSHIP	3,357,399	3,250,744	106,655	3.3%
<b>TOTAL RIDERSHIP</b>	<b>8,172,734</b>	<b>7,988,363</b>	<b>184,371</b>	<b>2.3%</b>

**MTA LONG ISLAND RAIL ROAD  
RIDERSHIP SUMMARY  
2018 YEAR-TO-DATE**

TICKET TYPE/SERVICE	October 2018	October 2017	CHANGE VS. 2017	
			NUMBER	PERCENT
COMMUTATION RIDERSHIP	42,736,564	42,772,456	(35,892)	-0.1%
NON-COMMUTATION RIDERSHIP	31,969,029	31,832,698	136,331	0.4%
<b>TOTAL RIDERSHIP</b>	<b>74,705,593</b>	<b>74,605,154</b>	<b>100,439</b>	<b>0.1%</b>

\* 2017 ridership numbers were adjusted using 2018 factors.

**MTA LONG ISLAND RAIL ROAD  
REVENUE SUMMARY  
October 2018**

REVENUE	October 2018	October 2017	CHANGE VS. 2017	
			AMOUNT	PERCENT
COMMUTATION REVENUE	\$32,694,774	\$32,290,289	\$404,485	1.3%
NON-COMMUTATION REVENUE	\$31,094,108	\$30,388,918	\$705,190	2.3%
<b>TOTAL REVENUE</b>	<b>\$63,788,882</b>	<b>\$62,679,207</b>	<b>\$1,109,675</b>	<b>1.8%</b>

**MTA LONG ISLAND RAIL ROAD  
REVENUE SUMMARY  
2018 YEAR-TO-DATE**

REVENUE	October 2018	October 2017	CHANGE VS. 2017	
			AMOUNT	PERCENT
COMMUTATION REVENUE	\$313,072,206	\$307,266,285	\$5,805,921	1.9%
NON-COMMUTATION REVENUE	\$301,383,486	\$296,298,714	\$5,084,773	1.7%
<b>TOTAL REVENUE</b>	<b>\$614,455,692</b>	<b>\$603,564,999</b>	<b>\$10,890,693</b>	<b>1.8%</b>



**Long Island Rail Road**

# **CAPITAL PROGRAM REPORT**

**LONG ISLAND RAIL ROAD  
CAPITAL PROGRAM HIGHLIGHTS & UPDATES  
NOVEMBER 2018**

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**L60304TW: GREAT NECK POCKET TRACK EXTENSION**

**Milestone: Contract Award \$1,560,470**

Project Budget: \$25.40M

A Contract for the design and fabrication of a signal hut and equipment for the Great Neck Pocket Track Extension was awarded to Ansaldo STS USA, Inc for \$1,560,470. The existing pocket track's length accommodates one 12-car train which limits the ability to turn additional trains. When completed in 2020, the new extension will include a new switch that will permit train movement in/out of the extended pocket track and will enable the LIRR to turn two 12-car trains independently mid-branch during peak periods to increase peak commuter service. This additional track capacity will facilitate the anticipated increased service after ESA opens as well as future service expansion at high capacity stations along the Port Washington Branch.

**L70502LK: POSITIVE TRAIN CONTROL [PTC]**

**Milestone: Substantial Completion Atlantic Avenue Cables [\$19.40M]**

Project Budget: \$166.00M

The installation and testing of approximately 35,000 LF of cable in the Atlantic Avenue tunnels is complete. These cables and the associated hardware will provide PTC communication capabilities. The Atlantic Avenue cable work supports the overall Positive Train Control project as the LIRR installs and integrates PTC throughout the railroad system.

**STATION IMPROVEMENTS**

Modernized station buildings, at Brentwood, Deer Park, and Farmingdale on the Ronkonkoma Branch, and Northport on the Port Jefferson Branch were opened. Brentwood and Deer Park station buildings were each fully renovated and upgraded with new ADA compliant restrooms, architectural finishes and terrazzo floors, wood ceilings, exterior brick decorative walls, lighting, and a new information wall and signage. At the historic Farmingdale Station, the façade was fully restored to its original brick architecture. Interior upgrades include an ADA accessible restroom, terrazzo floors, tile and wood finishes, and systems upgrades. Further upgrades to these three stations are progressing and platform improvements construction continues into 2019. Additionally, Northport Station, on the Port Jefferson Branch, was opened this month with the completion of the restoration of the station building. The station upgrades include new ADA compliant restrooms, architectural finishes and terrazzo floors, wood ceilings, lighting, and a new information wall and signage. These station renovations and upgraded facilities are part of the LIRR's efforts to improve customer experience and support the growth and development of Long Island.

**SMALL BUSINESS MENTOR PROGRAM**

- No new contract/s were awarded this month.

# 2018 LIRR Capital Program Goals

