



Metropolitan Transportation Authority

Capital Program Oversight Committee Meeting

October 2012

Committee Members

J. Lhota, Chair

A. Saul

J. Blair

A. Cappelli

F. Ferrer

M. Lebow

S. Metzger

C. Moerdler

M. Page

M. Pally

J. Sedore

V. Tessitore

C. Wortendyke



MEETING AGENDA

MTA CPOC COMMITTEE

October 29, 2012 – 2:00 pm

347 Madison Avenue
Fifth Floor Board Room
New York, NY

AGENDA ITEMS

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PUBLIC COMMENTS PERIOD

TAB 1

1. APPROVAL OF MINUTES SEPTEMBER 24, 2012

2. COMMITTEE WORK PLAN

3. NEW YORK CITY TRANSIT

TAB 2

- Subway Car Procurement Report
McKissack+Delcan Project Review
- Bus Procurement Report
McKissack+Delcan Project Review

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4. METRO-NORTH RAILROAD

TAB 3

- M-8 Car Procurement Report
McKissack+Delcan Project Review

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5. QUARTERLY UPDATE ON MWDBE PARTICIPATION

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6. UPDATE ON MTA SMALL BUSINESS DEVELOPMENT PROGRAM

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7. CAPITAL PROGRAM STATUS

Commitments/Completions & Funding

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8. EXECUTIVE SESSION

Date of next meeting: Monday, November 19, 2012 at 2:00 PM

MINUTES OF MEETING
MTA CAPITAL PROGRAM OVERSIGHT COMMITTEE
September 24, 2012
New York, New York
2:00 P.M.

MTA CPOC members present:

Hon. Joseph J. Lhota, Chairman
Hon. James Blair
Hon. Alan Capelli
Hon. Fernando Ferrer
Hon. Susan Metzger
Hon. Charles Moerdler
Hon. Mitchell Pally
Hon. James Sedore
Hon. Carl Wortendyke

MTA CPOC members not present:

Hon. Mark Lebow
Hon. Mark Page
Hon. Andrew Saul
Hon. Vincent Tessitore, Jr.

MTA Board members present:

Hon. Andrew Albert
Hon. Robert Bickford

MTA staff present:

Hilary Ring
Ron Saporita

MTACC staff present:

Bill Goldstein
Michael Horodniceanu

McKissack + Delcan staff present:

Joe DeVito
Kurt Egger
Kent Haggas
Robert Hefter

* * *

Chairman Lhota called the September 24, 2012 meeting of the Capital Program Oversight Committee to order at 2:00 P.M.

Public Comments Period

There were no public speakers in the public comments portion of the meeting.

Meeting Minutes

Upon motion duly made and seconded, the CPOC members approved the minutes to the previous meeting held on July 23, 2012.

Committee Work Plan

Mr. Ring stated that there were no changes to the Work Plan.

MTACC Report on Fulton Center

Mr. Horodniceanu reported that the overall project continues to be on schedule for a June 2014 substantial completion and that the cost is trending below the current budget of \$1.4B. In addition, he reported that the transfer between the J/Z and the A/C Station was reopened in August and the Corbin Building façade restoration is 80% complete. Looking ahead, Mr. Horodniceanu stated that the Dey Street entrance is expected to be opened in October. In its Project Review, the IEC agreed with the key elements of MTACC's report on the project. The IEC then recommended that MTACC take the following actions: devise a plan to provide interim maintenance and system acceptance prior to master lessee contract issuance; provide an interim maintenance budget and schedule; and, provide a turnover and acceptance plan.

MTACC Report on Second Avenue Subway

Mr. Horodniceanu reported that the project is on schedule to meet the December 2016 revenue service date, and that the project is on budget. In addition, he stated that all remaining slurry wall and secant pile work at 96th Street Station, as well as the muck conveyance systems at both shafts for the 86th Street Contract are completed. Critical Milestones and Issues include a continued schedule delay in the 86th Street Cavern excavation; MTACC is closely monitoring excavation rates to identify any schedule impact. In its Project Review, the IEC stated that while the project is on schedule, as reported by MTACC, the IEC remains concerned that the current 90 days of contingency is less than ideal at this point in the project; the IEC noted that the project is implementing a new contingency development plan to mitigate this issue. The IEC then recommended that MTACC take the following actions: Formalize a program to incorporate lessons learned from the 7 Line Extension Project into SAS systems construction management; and, allocate contingency to cover projected overrun of costs for construction management and design support of construction.

MTACC Report on East Side Access

Mr. Horodniceanu reported that the Revenue Service Date is August 2019, which includes 12 months of contingency, and that the project is on budget. Recent highlights include completion of all soft ground TBM mining in Queens as well as excavation of four of seven drifts at Northern Boulevard. Mr. Horodniceanu also reported that the 245 Park Avenue entrance to GCT, which connects to MNR's existing 47th Street Cross passage, will be open to the public by the end of September. In his 90-day look ahead, Mr. Horodniceanu anticipates the award of the first systems contract, the award of the Manhattan cavern contract, and the handover of the queens open cut to the follow-on contractor. In its Project Review, the IEC stated that the project is on schedule, as well as remaining on its \$8.245B budget with an unallocated contingency of \$187M, a reduction of \$10M since rebaselining. The IEC then recommended that MTACC take the following actions: incorporate railroad operating plan and revise quantity of planned work per outage in current Harold schedule to improve planning results; and, implement "Rules of Engagement" to improve certainty in long-term planning in Harold.

Capital Program Commitments and Completions

Mr. Ring directed the Board Members to the Capital Program Status section of the Committee Book, which included the 2010-2014 Capital Program Savings Plan Report, the MTA's Capital Program Commitments, Completions and Funding Report, as well as the Second Quarter Traffic Light Report. He noted that he was available to respond to any questions.

Adjournment

Upon motion duly made and seconded, Chairman Lhota adjourned the September 24, 2012 CPOC meeting at 3:00 P.M.

Respectfully submitted,

Michael Jew-Geralds
Office of Construction Oversight



2012-2013 CPOC Committee Work Plan

I. Recurring Agenda Items

Approval of the Minutes
Committee Work Plan
Commitments/Completions and Funding Report
Follow-up Items as needed

II. Specific Agenda Items

October 2012

NYCT Update on Subway Car Procurement
NYCT Update on Bus Procurement
MNR Update on M-8 Procurement
Quarterly Update on Minority, Women and Disadvantaged Business Participation

November 2012

NYCT Update on Mother Clara Hale Depot
NYCT Culver Line Viaduct Risk Assessment
NYCT Update on New Fare Payment System

December 2012

Quarterly MTA Capital Construction Company Update
Fulton Center Risk Assessment
Semi-Annual Update on NYCT Stations Division
Quarterly Traffic Light Report

January 2013

Updates by LIRR and MTACC on ESA Support Projects
Semi-Annual Update on LIRR/MNR Infrastructure Programs
Semi-Annual Update on Minority, Women and Disadvantaged Business Participation

March 2013

Quarterly MTA Capital Construction Company Update
Semi-Annual Update on Capital Program Security Projects
Quarterly Traffic Light Report
Quarterly Capital Program Savings Report

April 2013

Semi-Annual Update on B&T Capital Program
Semi-Annual Update on NYCT Systems, Signals, Train Control and New Tech Initiatives

June 2013

Quarterly MTA Capital Construction Company Update
Semi-Annual Update on NYCT Stations Division
Quarterly Traffic Light Report
Quarterly Capital Program Savings Report

July 2013

Annual Update on NYCT Subway Car and Bus Procurements
Annual Update on LIRR & MNR Rolling Stock Programs
Annual Update on NYCT Infrastructure Division
Semi-Annual Update on Minority, Women and Disadvantaged Business Participation

September 2013

Quarterly MTA Capital Construction Company Update
Semi-Annual Update by LIRR on ESA Readiness
Semi-Annual Update on Capital Program Security Projects
Quarterly Traffic Light Report
Quarterly Capital Program Savings Report

November 2013

Semi-Annual Update on B&T Capital Program
Semi-Annual Update on NYCT Systems, Signals, Train Control and New Tech Initiatives
Semi-Annual Update on LIRR/MNR Infrastructure Programs
Annual Review of CPOC Charter

December 2013

Quarterly MTA Capital Construction Company Update
Semi-Annual Update on NYCT Stations Division
Quarterly Traffic Light Report
Quarterly Capital Program Savings Report

NYCT Subway Car Program Progress Update to CPOC

Michael P. Wetherell, P.E.

Vice President and Chief Mechanical Officer
Department of Subways

October 29, 2012

R188 Project Overview

Overall Status

| Item | Comments |
|----------|--|
| Scope | 126 new 'A' Division cars + 380 converted R-142A cars <ul style="list-style-type: none">♦ Base Order: 23 new + 10 converted cars♦ Option Order: 103 new + 370 converted cars♦ Provide (46) 11-car trains for Flushing CBTC / 7 Line Extension service |
| Schedule | Base Awarded: 5/28/2010 Option Awarded: 12/30/2011 Delivery and Conditional Acceptance Completion: 2/28/2016 |
| Budget | Base: \$116.5 M Option: <u>\$497.2 M</u> Total: \$613.7 M |

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Highlights

Progress

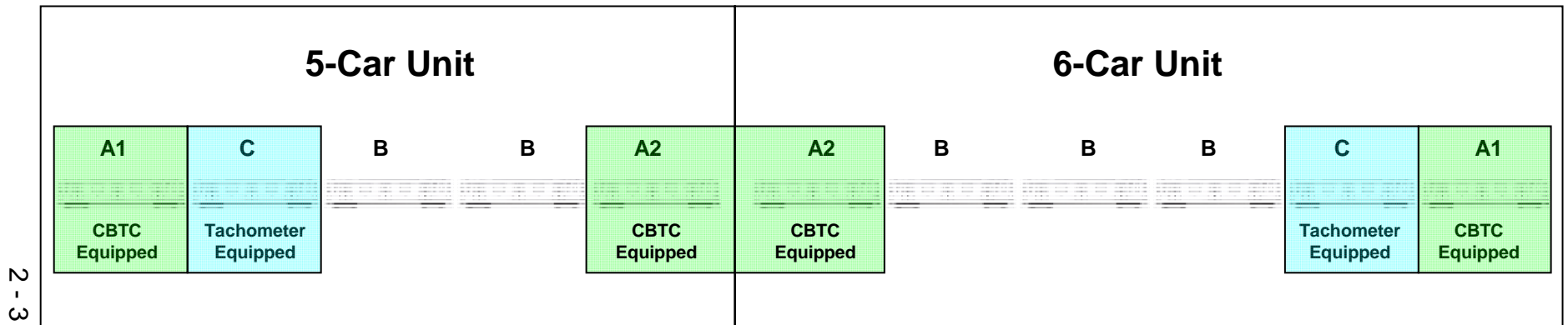
- ♦ New single C-car scheduled to be delivered early November 2012
- ♦ As of October 18, 2012: 70 cars in production at Kawasaki's US facilities
- ♦ Car Qualification Tests on the Base Order are 90% complete

180 Day Look Ahead

- ♦ Car Qualification Tests ongoing
- ♦ Delivery of Base Contract trains by end of 2012
- ♦ Training of RTO personnel for Qualification Testing
- ♦ Begin Unit Qualification Testing on NYCT property

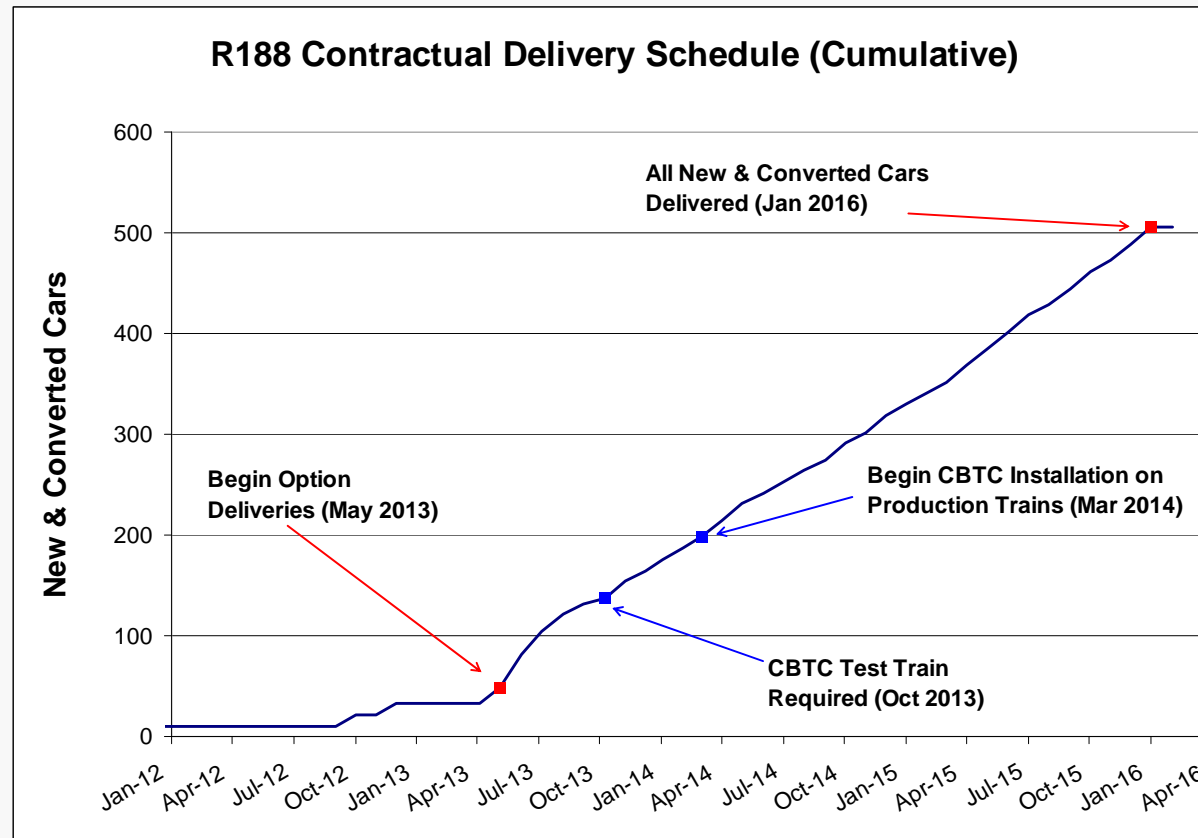
R188 Train Consist

R188 11-Car Configuration





Note: The 7 Line is the only NYCT subway line that runs 11-car trains

R188 Delivery Schedule






- Base Order deliveries complete by December 2012
- First new Option train scheduled to be delivered May 2013
- Eight new trains forecasted to be conditionally accepted in time for opening of 7 Line Extension
- Completion of delivery of all new and converted trains scheduled for January 2016
- Flushing Line CBTC forecasted completion is November 2016

R188 Activity and Issues

| Status | Activity | Date Needed | Issues |
|---|--|-------------|--------------|
|  Green | Delivery of new single C-car for placement within the 10 R142A conversion cars | Nov 2012 | Issues: None |
| | Delivery of two new trains | Dec 2012 | |
| | Base Order Conditional Acceptance | May 2013 | |
|  Green | Option Order Car Delivery Completion | Jan 2016 | Issues: None |

Legend

-  Red - Significant impacts on Cost and/or Construction/Beneficial Date
-  Yellow - Impacts that can lead to cost increase or schedule delays
-  Green - No near-term impact on cost or schedule.

R179 Project Overview

Overall Status

| Item | Comments |
|----------|---|
| Scope | 300 60-foot 'B' Division cars (design based on R160 cars) <ul style="list-style-type: none">◆ Will provide 36½ trains◆ No. of 4-car units: 65◆ No. of 5-car units: 8 |
| Schedule | Awarded: 6/04/2012 Delivery of test train: 12/22/2014 Delivery of 1 st Production unit: 7/27/2015 Delivery Completion: 1/30/2017 |
| Budget | \$735.6 M |

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Highlights

Progress

- ◆ Awarded to Bombardier Transit Corporation on June 4, 2012
- ◆ Approved Master Program Schedule
- ◆ Completion of Technical Specification Review

180 Day Look Ahead

- ◆ Preliminary Design Reviews
- ◆ In-Process Design Reviews

R160 Project Overview

Overall Status

| Item | Comments |
|----------|---|
| Scope | 1,662 60-foot 'B' Div cars built by ALSKAW replaces older 60-foot cars <ul style="list-style-type: none">♦ Base: 660 cars♦ Option I: 620 cars♦ Option II: 382 cars |
| Schedule | Final cars delivered May 6, 2010 In Close-Out phase |
| Budget | Base: \$1,163.0 M Option I: \$1,249.2 M Option II: \$842.3 M |

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Highlights

Progress

- ♦ 12-Month MDBF: 645,207 miles (September 2012)
- ♦ All cars off of warranty
- ♦ Assignments: **N M J Z Q E F L**

180 Day Look Ahead

- ♦ Completion of field modifications and deliverables
- ♦ Closeout Forecast for June 2013

R211 Future Project Overview

Overall Status

| Item | Comments |
|-------------|--|
| Scope | New R211 'B' Division cars to replace 752 R46 cars <ul style="list-style-type: none">◆ Additional fleet growth cars (current forecast – 84 cars)◆ Additional cars for SIR fleet replacement |
| Description | Next Generation design to address NYCT's goals |
| Schedule | Design Master Plan approved in December 2011 2012 Award of Technical Consultant (Design Phase) <ul style="list-style-type: none">◆ RFP Negotiations Completed◆ Request MTA Board Approval: November 2012◆ Award Contract: December 2012 Car Purchase Award Proposed for 2015 – 2019 Capital Program |

October 2012 CPOC IEC Project Review



Subway Car Procurements

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October 29, 2012

Schedule & Budget Review

- **SCHEDULE:**

- Initial testing of R188 pilot conversion and new cars at NYCT to start Q4 2013. Delivery of production conversion and new cars consistent with car requirements of the Flushing CBTC project.
- R179 cars progressing through initial design review stages. Completion of deliveries forecast for Q1 2017.

- **BUDGET:**

- There are no budget issues for either the R188 or the R179 car procurements.

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Issues

- No significant issues for R188 and R179 contracts.

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Bus Procurement Update

Capital Program Oversight Committee
October 2012

Henry Sullivan
Chief Maintenance Officer
Bus Operations



Agenda

- Bus Buy Goals
- Bus Fleet Purchase Plan and Mix
- Evaluation Fleets Updates
- Other Bus Deliveries In-Progress
- Upcoming Bus Awards
- Next Steps



Primary Bus Buy Goals

- Replace buses after 12 years useful life
- Procure the most reliable and cost effective bus to meet service needs
- Increase competition among bus manufacturers for future bus procurements

2010-2014 Capital Program Bus Procurements Summary *

| Fleet | Type | Agency | Total Order | # Delivered (as of 10/15/12) | Status |
|-------------------------------|----------|--------|--------------|------------------------------|---------------|
| Nova 40-ft Clean Diesel | Standard | DOB | 90 | 90 | Complete |
| Orion 40-ft Clean Diesel | Standard | DOB | 90 | 90 | Complete |
| New Flyer 40-ft Clean Diesel | Standard | DOB | 90 | 89 | In Progress |
| New Flyer 40-ft CNG | Standard | DOB | 171 | 167 | In Progress |
| 40-ft Standard Clean Diesel * | Standard | DOB | 690 | - | Pending Award |
| New Flyer 40-ft CNG | Standard | MTA | 89 | - | In Progress |
| New Flyer 40-ft CNG | Standard | MTA | 79 | 79 | Complete |
| 40-ft Standard Clean Diesel | Standard | MTA | 44 | - | Pending Award |
| Standard Total | | | 1,343 | 515 | |
| Prevost 45-ft Coach | Express | DOB | 90 | 90 | Complete |
| MCI 45-ft Coach* | Express | DOB | 54 | 1 | In Progress |
| 45-ft Coach | Express | DOB | 285 | - | Pending Award |
| Express Total | | | 429 | 91 | |
| New Flyer 60-ft Artic | Artic | DOB | 90 | 1 | In Progress |
| Nova 60-ft Artic | Artic | DOB | 328 | 222 | In Progress |
| 60-ft Artics | Artic | DOB | 256 | - | Pending Award |
| 60-ft Artics | Artic | MTA | 72 | - | Pending Award |
| Artic Total | | | 746 | 223 | |
| Grand Total | | | 2,518 | 829 | |

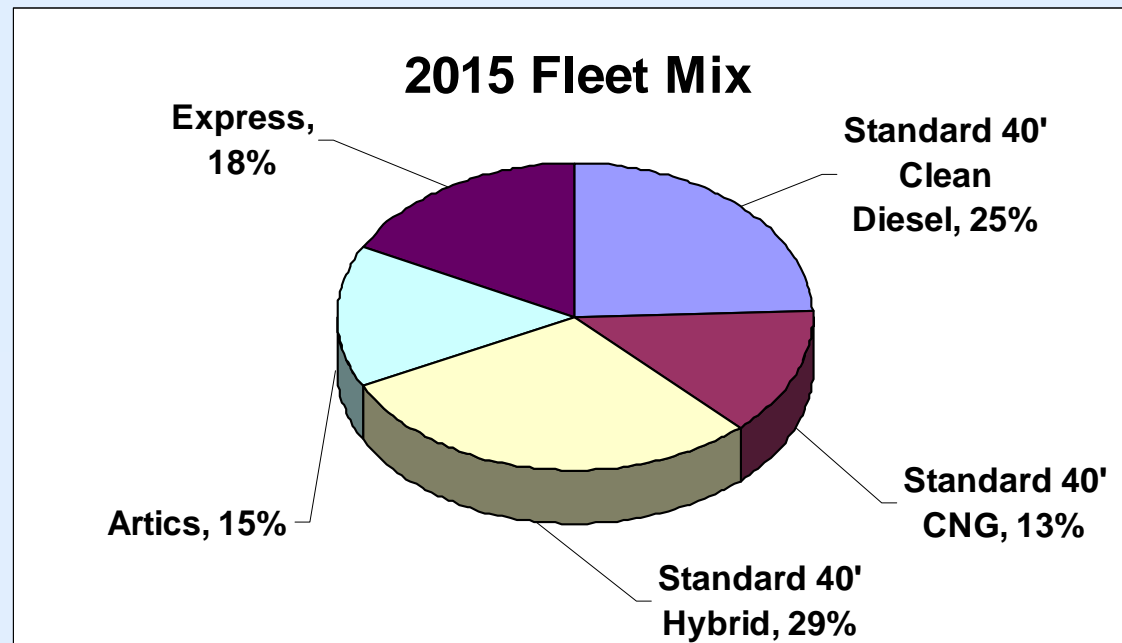
* 90 of 690 standards and all 54 express funded from the 2005-2009 Capital Program.

2015 Bus Fleet Mix Plan

The artic fleet will increase from 12% to 15% of the total fleet to support expansion of SBS routes and route conversions.

Deploy Standard 40-foot Clean Diesel buses and Hybrid buses to match route characteristics, representing 25% and 29% respectively.

CNGs will increase slightly by 36 buses to meet existing CNG route requirements, using existing cng infrastructure.

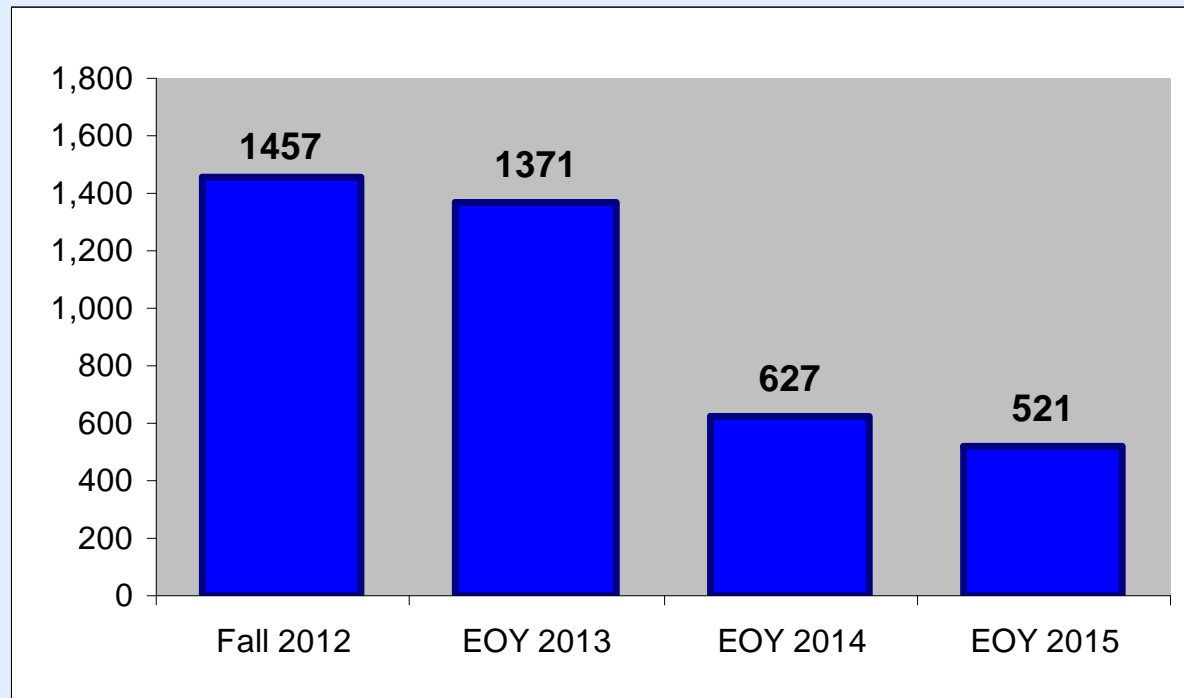


Buses Life Cycle of 12 Years

The Total Fleet of 5,600 buses requires an average of about 470 new buses per year to maintain the fleet effectively.

After all buses approved under the 2010-2014 Capital Program are delivered, we will still have more than 500 over-age buses.

However, average age of the fleet decreases from 7.5 to 6.3 years.



Standard 40' Clean Diesel Evaluations

- Three different fleets of 90 standard clean diesel buses each. 269 of 270 buses were delivered.

90 Nova Buses



90 Daimler Buses



90 New Flyer Buses



- All three bus manufacturers were qualified
- However, Daimler exited the bus marketplace
- MDBF is 300% better than the buses being replaced
- MPG is 25% better

Express Evaluation Fleet

- One fleet of express buses.
 - All 90 Prevost buses received as of January 2012.
- Evaluation was completed August 2012.
- MDBF is 125% better and MPG is 15% better compared to the buses they replaced.



Articulated Evaluation Fleets

- Two different fleets of artic buses.
 - 90 Nova Buses were received by June 2010
- Evaluation determined new buses provide significantly greater MDBF and fuel economy
- MDBF is 150% better than the buses being replaced
- And MPG is 40% better



Articulated Evaluation Fleets – In Progress

90 New Flyer Artics

Overall Status

| Item | Comments |
|----------|--|
| Scope | 90 Articulated Buses from New Flyer. |
| Schedule | The second bus is expected to be delivered in 12 weeks. Deliveries of 4 to 5 buses per week are expected thereafter, with all buses to be delivered by end of Second Quarter 2013. |
| Budget | \$69.7 Million |

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Highlights

- This contract required approval by OSC prior to award.
- Contract awarded on September 24, 2012.



Other Bus Deliveries In Progress

54 MCI Express

Overall Status

| Item | Comments |
|----------|--|
| Scope | 54 Over the Road Coach buses for express service from MCI. |
| Schedule | All buses will be delivered by March 2013. |
| Budget | \$33.4 Million |

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Highlights

- Contract awarded July 2012.
- First bus delivered September 2012.



Other Bus Deliveries In Progress

171 New Flyer CNG Standards

Overall Status

| Item | Comments |
|----------|---|
| Scope | 171 low floor standard 40' CNG buses from New Flyer. |
| Schedule | 167 delivered thru October 15, 2012, or 98%. All buses to be delivered this year. |
| Budget | \$87.1 Million |

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Highlights

- Contract award June 2011 and is on schedule.
- MDBF is 125% better than the 1999 NF CNG, which it is replacing.
- Request to exercise option for an additional 14 buses due to increased CNG service requirements has been submitted.

Other Bus Deliveries In Progress

74 New Flyer CNG Standards

Overall Status

| Item | Comments |
|----------|---|
| Scope | 74 low floor standard 40' CNG buses. Scope is being revised to 89 buses. |
| Schedule | Deliveries started October 2012 and will be completed for all 89 by First Quarter 2013. |
| Budget | \$42.3 Million (Federally funded) |

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Highlights

- Initially awarded to Daimler in December 2011. Since Daimler exited the market place, the contract was assigned to New Flyer in July 2012.
- Contract is on schedule.
- Currently in process of exercising option to purchase an additional 15 buses, for a total of 89 cngs, due to increased CNG service requirements.



Other Bus Deliveries In Progress

328 Nova Artics

Overall Status

| Item | Comments |
|----------|--|
| Scope | 328 Articulated Buses from Nova. |
| Schedule | 222 buses were delivered thru October 15, 2012 or 68%. All buses to be delivered by June 2013. |
| Budget | \$251.9 Million |

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Highlights

- Contract award in June 2011.
- This delivery has had some buses delivered behind schedule.
- Nova has taken corrective actions to recover schedule. We are monitoring daily progress.



Upcoming Bus Awards

- 690 Standard 40' Clean Diesel Buses (NYCT)
 - All Local Funds, expected to award by 2nd Quarter 2013
 - To replace buses that have exceeded their useful life
- 285 Over the Road Coach Express (NYCT)
 - All Local Funds, expected to award by 2nd Quarter 2013
 - To replace buses that have exceeded their useful life

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Upcoming Bus Awards

- 44 Standard Clean Diesel Buses (MTA Bus)
 - Federal Funds with match, to award by 4th Qtr. 2013
 - To replace buses that have exceeded their useful life
- 256 Artics (TA)
 - All Local Funds, expected to award by 2nd Qtr. 2014
 - Replaces the existing Fleet over 12 years of age
- 72 Artics (MTA Bus)
 - Federal Funds with match, to award by 2nd Qtr. 2014
 - For converting high volume standard bus routes to artics at the Baisley Park and JFK Depots; replaces associated over-age standards

2-27



Next Steps

- Continue to canvass the market place for additional manufacturers and qualify buses that can meet New York City's duty cycle requirements.
- Explore new technologies to improve bus reliability, maintainability, and fuel efficiency.
- Award contracts for all remaining buses in the Capital Program.

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Select Bus Service



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October 2012 CPOC IEC Project Review



Bus Procurements



October 29, 2012

Schedule & Budget Review

- **SCHEDULE:**

- After award of contracts the bus deliveries are generally in accordance with contract schedule.
- Schedule slippage observed for award of the contracts.
 - Not currently a serious issue as all contracts for bus purchases for the 2010-2014 Capital Plan are planned for award by 2014.

- **BUDGET:**

- There are no significant budget issues for bus procurements.

Issues

- Limited competition for supply of buses to MTA.
- Timeliness of award of contracts.
 - Delayed replacements lead to increased maintenance costs for extended bus lives.
- Budgeted bus replacements currently insufficient to achieve 12 year maximum bus life.



Recommendations

- Continue program for qualification of more suppliers and products by evaluating and qualifying test fleets.
- Review overall award process to identify measures that can lead to more timely awards.

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M-8 Car Procurement



CPOC Presentation
October 2012



Procurement Status

- Metro-North and the State of Connecticut ordered a total of 405 M-8 cars from Kawasaki Rail Corp. (KRC) for service on the New Haven Line and Shore Line East
 - Procurement began in 2006 with an order of 210 base cars and 90 option M-8 cars; remaining contract option for 80 more cars was exercised in 2010-2011, and in August 2011, a change order for 25 single cars was exercised
- Upon completion of contract, M-8 cars will allow for the improved service on the New Haven Line as well as the retirement of over-age M-2, M-4, M-6

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Procurement Status, continued

- \$ 1.1 billion contract
 - State of Connecticut = \$747 MM (68% including cars purchased for Shore Line East)
 - Metro-North = \$356 MM (32%)
- 150 cars delivered as of October 10, and 138 cars in service; cars being accepted at an average rate of 8 per month
 - Deliveries to be complete mid-2015
 - Deliveries are now being done on stable and consistent basis; project is now approximately 1 year behind schedule compared to delivery agreement reached in 2008

3-3



Service



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- 138 M-8 Cars in service
 - Provide 37% of weekday service
 - Provide 59% of weekend service
- MDBF of 121,000 miles YTD through September 2012
 - As is common in the early part of new car procurements, the MDBF is below Metro-North's expectations



Customer Reaction

- Customer reaction has been extremely positive
 - New Haven Line customers surveyed in 2012 while riding in M-8 cars were more satisfied with Metro-North than were New Haven Line customers surveyed while riding in non-M-8 cars.
 - They were also more satisfied with the value for the money using the railroad than were customers who were not riding in M-8 cars when surveyed.

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Customer Reaction, continued

- Customers have commented positively on the interior decoration, the amount of space on the cars and in the seats, outlets at every seat, etc.
 - “amazing”, “beautiful”, “really comfortable”



Issues

- **Car Performance:**

- As is common in new car procurements, especially with a car as complex as the M-8 car, a number of initial issues have to be resolved and are being addressed with the car builder:
 - Oversensitive automatic pantograph retraction
 - Cab signal test failures prior to train departures
 - Unanticipated brake application due to transducer failures
 - Auxiliary power system failures
- KRC will use the New Haven CSR Shop which has been leased to them for any on-site modifications required.
- As we approach slip/slide season we will be closely monitoring performance as slip/slide has challenged all fleets

- **Commercial**

October 2012 CPOC IEC Project Review



M-8 Car Procurement



October 29, 2012

Schedule & Budget Review

- **SCHEDULE:**

- M-8 contract for the delivery of 405 cars is behind schedule.
 - About $\frac{1}{3}$ of total married pair cars is conditionally accepted and are in service operation.

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- **BUDGET:**

- M-8 project is jointly funded by Connecticut DOT and MTA.



Issues

- Project delivery of M-8 car procurement is behind schedule.

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Recommendations

- Undertake a lessons learned exercise for the M-8 project with emphasis on project schedule management in order to improve performance.

MWDBE AWARDS ON MTA CAPITAL PROJECTS with GOALS

January - September 2012

ALL PROJECTS

| FEDERALLY FUNDED | FIRST QUARTER (JANUARY-MARCH) (in millions) | | | SECOND QUARTER (APRIL-JUNE) (in millions) | | | THIRD QUARTER (JULY-SEPTEMBER) (in millions) | | | 2012 TOTALS (JANUARY-SEPTEMBER 2012) (in millions) | | |
|--------------------------------|--|-------------------|-----------------------|--|-------------------|-----------------------|---|-------------------|-----------------------|---|-------------------|-----------------------|
| DBE Participation Goal: 17% | Total Awards | Total DBE Awards | DBE Participation (%) | Total Awards | Total DBE Awards | DBE Participation (%) | Total Awards | Total DBE Awards | DBE Participation (%) | Total Awards | Total DBE Awards | DBE Participation (%) |
| Construction | \$ 312.2 | \$ 31.4 | *10.1% | \$ 337.9 | \$ 67.3 | 19.9% | \$ 94.2 | \$ 12.1 | 12.8% | \$ 744.3 | \$ 110.8 | 14.9% |
| Professional Services | - | - | - | \$ 15.0 | \$ 2.6 | 17.0% | \$ 13.1 | \$ 3.0 | 0.0% | \$ 28.1 | \$ 5.6 | 20% |
| Other | - | - | - | \$ 1.6 | \$ 0.3 | 20.1% | - | - | - | \$ 1.6 | \$ 0.3 | 20% |
| TOTAL | \$ 312.2 | \$ 31.4 | 10.1% | \$ 354.5 | \$ 70.1 | 19.8% | \$ 107.3 | \$ 15.1 | 14.1% | \$ 774.0 | \$ 116.6 | 15.1% |
| Additional MWBE Participation: | Total Awards | Total MWBE Awards | | Total Awards | Total MWBE Awards | | Total Awards | Total MWBE Awards | | Total Awards | Total MWBE Awards | |
| Construction | \$ 312.2 | \$ 19.0 | | \$ 337.9 | \$ 29.2 | | \$ 94.2 | \$ 2.3 | | \$ 650.1 | \$ 48.2 | |
| Professional Services | \$ - | \$ - | | \$ - | \$ - | | \$ 13.1 | \$ 1.8 | | \$ 13.1 | \$ 1.8 | |
| Other | \$ - | \$ - | | \$ 1.6 | \$ 0.3 | | \$ - | \$ - | | \$ 1.6 | \$ 0.3 | |
| TOTAL | \$ 312.2 | \$ 19.0 | | \$ 339.5 | \$ 29.5 | | \$ 107.3 | \$ 4.1 | | \$ 664.8 | \$ 50.3 | |

| STATE FUNDED | FIRST QUARTER (JANUARY-MARCH) (in millions) | | | SECOND QUARTER (APRIL-JUNE) (in millions) | | | THIRD QUARTER (JULY-SEPTEMBER) (in millions) | | | 2012 TOTALS (JANUARY-SEPTEMBER 2012) (in millions) | | |
|---|--|------------------|-----------------------|--|------------------|-----------------------|---|------------------|-----------------------|---|------------------|-----------------------|
| MBE Participation Goal: 10% | Total Awards | Total MBE Awards | MBE Participation (%) | Total Awards | Total MBE Awards | MBE Participation (%) | Total Awards | Total MBE Awards | MBE Participation (%) | Total Awards | Total MBE Awards | MBE Participation (%) |
| Construction | \$ 146.1 | \$ 11.0 | 7.5% | \$ 46.5 | \$ 4.6 | 9.9% | \$ 143.3 | \$ 14.0 | 9.8% | \$ 335.9 | \$ 29.6 | 8.8% |
| Professional Services | \$ 5.7 | \$ 0.6 | 10.5% | \$ 25.6 | \$ 2.6 | 10.2% | \$ 12.9 | \$ 1.3 | 24.9% | \$ 44.2 | \$ 4.5 | 10.2% |
| Other | - | - | 0.0% | - | - | - | \$ 43.8 | \$ 1.9 | 10.4% | \$ 43.8 | \$ 1.90 | - |
| MBE Participation on FTA-funded projects | - | \$ 7.7 | - | - | \$ 4.0 | - | \$ - | \$ 2.5 | - | \$ - | \$ 11.7 | - |
| TOTAL | \$ 151.8 | \$ 19.3 | 12.7% | \$ 72.1 | \$ 11.1 | 15.4% | \$ 200.0 | \$ 19.7 | 10.0% | \$ 424 | \$ 47.7 | 11.3% |
| WBE Participation Goal: 10% | Total Awards | Total WBE Awards | WBE Participation (%) | Total Awards | Total WBE Awards | WBE Participation (%) | Total Awards | Total WBE Awards | WBE Participation (%) | Total Awards | Total WBE Awards | WBE Participation (%) |
| Construction | \$ 146.1 | \$ 9.2 | **6.3% | \$ 46.5 | \$ 5.6 | 12.1% | \$ 143.3 | \$ 11.0 | 7.7% | \$ 335.9 | \$ 25.9 | 7.7% |
| Professional Services | \$ 5.7 | \$ 0.6 | 10.5% | \$ 25.7 | \$ 2.7 | 10.4% | \$ 12.9 | \$ 1.4 | 10.9% | \$ 44.3 | \$ 4.6 | 10.4% |
| Other | \$ - | \$ - | 0.0% | \$ - | \$ - | 0.0% | \$ 43.8 | \$ 0.9 | 2.2% | \$ 43.8 | \$ 0.94 | - |
| WBE Participation on FTA-funded projects | \$ - | \$ 11.3 | - | \$ - | *** 25.6 | - | \$ - | \$ 1.5 | - | \$ - | \$ 36.9 | - |
| TOTAL | \$ 151.8 | \$ 21.1 | 13.9% | \$ 72.1 | \$ 33.8 | 46.9% | \$ 200.0 | \$ 14.8 | 7.4% | \$ 424 | \$ 68.3 | 16.1% |
| Additional DBE Participation: | Total Awards | Total DBE Awards | | Total Awards | Total DBE Awards | | Total Awards | Total DBE Awards | | Total Awards | Total DBE Awards | |
| Construction | \$ 146.1 | \$ 6.2 | | \$ 46.5 | \$ 1.5 | | \$ 143.3 | \$ 15.3 | | \$ 192.6 | \$ 7.7 | |
| Professional Services | \$ - | \$ - | | \$ 25.7 | \$ 5.0 | | \$ 12.9 | \$ 2.1 | | - | - | |
| Other | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | - | - | |
| Additional DBE Participation Total | \$ 146.1 | \$ 6.2 | | \$ 72.2 | \$ 6.5 | | \$ 156.2 | \$ 17.4 | | \$ 192.6 | \$ 7.7 | |

* During the first quarter, January 2012, due to the speacialized nature of the project, underground track, signal, power and communication systems for NYCT, Contract Number C-2009, totaling \$262 million, the 17% DBE goal was reduced to 8%. The JV of Skanska Civil/Comstock, were required to self-perform a majority of the contract, therefore, limiting the participation of DBEs.

**During the third quarter, August 2012, the DBE goal was reduced on Contract Number CM013A, (55th Street Ventilation Facility), from 17% to 8%, as a result of the directive from MTACC that the JV of Schiavone/John P. Picone Inc., self-perform a large portion of the contract along with Con Edison, performing utility portions of the project.

*** NYS allows the MTA to receive credit for NYS certified MWBEs working on FTA funded projects. Thus, in June 2012, the MTACC awarded a FTA funded Capital Construction project (Second Avenue Subway, 96th Street Station- Contract Number C-26010), to the JV of EE Cruz/Tully totaling, \$326 million. In addition to the 20% DBE goal that was established for the project, EE Cruz/Tully awarded an additional \$30 million to 17 NYS certified MWBEs.

The New Small Business Federal Program MTA SBFP

October 29, 2012 CPOC Committee Meeting

4 - 2



Michael J Garner
Chief Diversity Officer
Department of Diversity and Civil Rights

Amil Patel
Small Business Development Program (SBMP & SBFP)
Program Manager
Office of Construction Oversight

SBFP Status

MTA Small Business Federal Program (SBFP)

- **On August 12, 2012 - FTA approves use of the modified MTA Small Business Mentoring Program (SBMP) model**
 - Prequalification requirements includes DBE owner(s) net worth limit
 - Small business earnings cap raised to \$5 million/year averaged over last 3 years
 - Prime contract opportunities up to \$3 million
 - Bond program to assist potentially bondable firms
- **Based on prior Board approval, issued an NTP to TDX Construction for limited program support**
- **Website Active – with SBFP Instructions and Application**
- **SBFP T&Cs and bid documents - revised from SBMP**
- **SBFP Procedures – revised from SBMP**
 - Procedures reflect the process from Application to Project Award
- **TDX reviewing 7 applications, with no adverse information, received to date**



SBFP Status

MTA Small Business Federal Program (SBFP)

- **Agencies developing commitment plans for projects up to \$3 million (Goal: \$10 million in Year 1)**
- **Finalize Payment and Performance Bond Program by early November 2012**
 - Only Potentially bondable firms qualify
 - \$4 million MTA collateral to cover risk of default
- **First project to be awarded in First Quarter 2013**

4 - 4



**MTA Capital Program
Commitments & Completions**

through

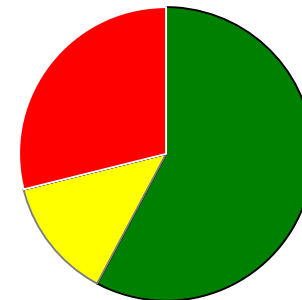
September 30, 2012

Capital Projects – Major Commitments – September 2012

Forty-five major commitments are reported on through September. Of these, 26 are being delivered on or near goal while six commitments occurred but late. Thirteen other major projects are late and not yet achieved. Details are addressed in the following pages.

Regarding total commitments, agencies have committed \$3.5 billion through September, which is 4% below budget. By year-end, agencies currently forecast that 86% or \$6.3 billion of the \$7.3 billion annual goal will be committed, which is a decline from the previous projection of \$6.9 billion. This decline is due primarily to the slippage of several large bus purchases. One future project to watch as the year progresses is NYCT's Dyre Avenue Line Signals commitment representing \$245 million. This is a commitment with a December goal.

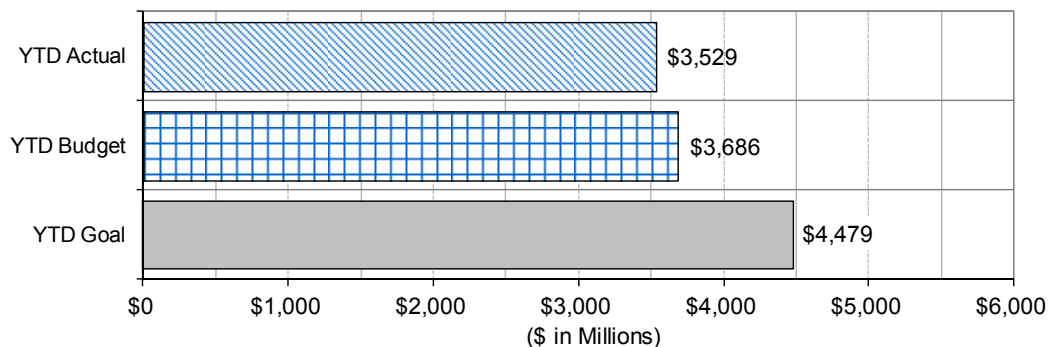
Year-to-Date Major Commitments



| | Count | Percent | Change from Prior Month |
|---|-----------|-------------|-------------------------|
| GREEN = Commitments made/forecast within 2 months of Goal | 26 | 58% | ↑ 3 |
| YELLOW = Commitments delayed beyond 2 months of Goal (already made) | 6 | 13% | ↑ 2 |
| RED = Commitments delayed beyond 2 months of Goal (not yet made) | 13 | 29% | ↑ 1 |
| Total | 45 | 100% | ↑ 6 |

Budget Analysis

| | | |
|----------------------|---------|----------------|
| 2012 Annual Goal | \$7,291 | |
| 2012 Annual Forecast | 86% | of Annual Goal |
| Left to Complete | 44% | (\$2,732) |



Year-to-Date Agency Breakdown

| | Prior month variance | | |
|-------------------------------------|----------------------|-----------|---------|
| | GREEN | YELLOW | RED |
| New York City Transit | | | |
| 7 4 4 | + 2 GREEN | +1 YELLOW | - 1 RED |
| Long Island Rail Road | | | |
| 6 | ---- | ---- | ---- |
| Metro-North Railroad | | | |
| 3 1 4 | ---- | +1 YELLOW | ---- |
| Bridges and Tunnels | | | |
| 6 2 | + 1 GREEN | ---- | + 1 RED |
| Capital Construction Company | | | |
| 4 | ---- | ---- | ---- |
| MTA Bus Company | | | |
| 1 2 | ---- | ---- | ---- |
| MTA Police Department | | | |
| 1 | ---- | ---- | + 1 RED |

Capital Projects – Major Commitments – September 2012– Schedule Variances

| Project | Commitment | Goal | Forecast |
|---------|------------|------|----------|
|---------|------------|------|----------|

13 All-Agency Red Commitments (3 new; a net increase of 1)

NYCT

Track

| | | | |
|--|--------------------|------------------|------------------|
| 2012 Track & Switch Program (6 Projects) - 2nd Quarter | Construction Award | Jun-12 \$1.6M | Aug-13 \$1.6M |
|--|--------------------|------------------|------------------|

One project (track replacement at Pelham) was delayed because of a materials shortage. The other 5 commitments have been made representing \$18.9M of the original \$20.4M goal.

Passenger Stations

| | | | |
|--|--------------------|-------------------|-------------------|
| Brick Arch Repair: 168th Street & 181st Street | Construction Award | Jun-12 \$38.0M | Dec-12 \$46.5M |
|--|--------------------|-------------------|-------------------|

Award is postponed because General Orders required for this project will not be attainable until early 2013. Cost increased to address items requested and to be paid for by Columbia Presbyterian Hospital, as well as safety and structural needs.

| | | | |
|--------------------------------|--------------------|-------------------|-------------------|
| Replace 11 Hydraulic Elevators | Construction Award | Jun-12 \$44.6M | Dec-12 \$27.1M |
|--------------------------------|--------------------|-------------------|-------------------|

Extended review of contract specifications by the legal department has delayed advertisement. Lower cost is due to reduction in scope of electrical work by using existing feeders, and reducing construction support costs.

| | | | |
|---|--------------|-------------------|-------------------|
| Smart Card Implementation Phase 1- Design | Design Award | Jun-12 \$10.0M | Dec-12 \$10.0M |
|---|--------------|-------------------|-------------------|

Design award date was rescheduled due to review by NYCT staff of the assumptions for the business case that supports this project.

B&T

Structures

| | | | |
|---|--------------------|------------------|------------------|
| Bronx- Whitestone Bridge Concrete Anchorage Repairs | Construction Award | Jul-12 \$8.0M | Oct-12 \$8.0M |
|---|--------------------|------------------|------------------|

Delay reflects additional time needed to address bidders' questions and complete bid evaluation.

| Project | Commitment | Goal | Forecast |
|---------|------------|------|----------|
|---------|------------|------|----------|

Roadways & Decks

| | | | |
|---|--------------------|-------------------|-------------------|
| RFK Bridge Deck Replacement Bronx/Manhattan Ramps/Toll (New Item) | Construction Award | Jul-12 \$13.6M | Nov-12 \$13.6M |
|---|--------------------|-------------------|-------------------|

Extended request for proposal (RFP) development time was required owing to project complexity. An additional delay is due to a request by proposing firms for additional time to prepare and submit proposals.

MNR

Rolling Stock

| | | | |
|---------------------------------|----------------|-------------------|-------------------|
| M8 Fleet - Purchase Spare Parts | Purchase Award | Jun-12 \$17.3M | Dec-12 \$17.3M |
|---------------------------------|----------------|-------------------|-------------------|

Purchase has been delayed due to late submission of proposals from the vendor.

Communications & Signals

| | | | |
|--|--------------------|-------------------|-------------------|
| West of Hudson Signal Improvements - Cab Signal Construction | Construction Award | Apr-12 \$52.8M | Dec-12 \$52.8M |
|--|--------------------|-------------------|-------------------|

Bid opening date was extended per bidders' request to allow for better understanding of the complexities and risks associated with the project and to price it accordingly. One of two contracts in this project, to install wayside signal equipment, was awarded in July. The remaining contract, for installation of pre-wired houses, will go for MTA Board approval at the October meeting.

| | | | |
|-----------------------------------|--------------------|-------------------|-------------------|
| Positive Train Control Integrator | Construction Award | Aug-12 \$23.6M | Jan-13 \$23.6M |
|-----------------------------------|--------------------|-------------------|-------------------|

This is a two phase process for the procurement. The first phase has been completed. The second phase has been delayed due to a lengthy internal review process of the contract documents (specs and drawings) by the legal and procurement groups. These documents have not yet been released to the vendors.

Power

| | | | |
|---|--------------------|-------------------|-------------------|
| Harlem & Hudson Line Power Improvements - 86th and 110th Streets (New Item) | Construction Award | Sep-12 \$21.2M | Dec-12 \$21.2M |
|---|--------------------|-------------------|-------------------|

Construction start delayed due to time required by Con Edison to review the design drawings for the new 13kv feeder locations.

Capital Projects – Major Commitments – September 2012 – Schedule Variances

Actuals Results Shaded

| Project | Commitment | Goal | Forecast |
|---------|------------|------|----------|
|---------|------------|------|----------|

MTA Bus

MTA Bus Projects

| | | | |
|--------------------------------|--------------------|------------------|------------------|
| Emergency Generators: 6 Depots | Construction Award | Mar-12 \$7.7M | Oct-12 \$7.7M |
|--------------------------------|--------------------|------------------|------------------|

Initial delay due to extensive questions submitted by bidders. Continuing issues with the apparent low bidder have caused an additional delay.

MTA Bus Projects (continued)

| | | | |
|---|--------------------|------------------|------------------|
| Security Upgrade: Eastchester and LaGuardia | Construction Award | Aug-12 \$7.5M | Dec-12 \$7.5M |
|---|--------------------|------------------|------------------|

Extensive comments from the legal department had to be addressed, which caused significant delays in the overall project schedule.

MTA Police Department

MTA Police Projects

| | | | |
|--------------------------------|--------------------|------------------|------------------|
| K-9 Facility (New Item) | Construction Award | Sep-12 \$9.8M | Dec-12 \$9.8M |
|--------------------------------|--------------------|------------------|------------------|

Slippage in the design of security and communication systems has delayed the project award.

6 All-Agency Yellow Commitment (2 new this month)

NYCT

Subway Cars

| | | | |
|--------------------------------------|----------------|--------------------|------------------------|
| 300 'B' Division Subway Car Purchase | Purchase Award | Mar-12 \$637.8M | Jun-12 (A) \$729.2M |
|--------------------------------------|----------------|--------------------|------------------------|

The MTA Board approved the award of the contract in March 2012. A bid protest was received and subsequently denied.

Bus Replacement

| | | | |
|---------------------------|----------------|-------------------|-----------------------|
| Purchase 54 Express Buses | Purchase Award | Mar-12 \$38.3M | Jul-12 (A) \$33.4M |
|---------------------------|----------------|-------------------|-----------------------|

The contract was approved by the MTA Board in May, but was still subject to the approval of the Bankruptcy Court. The notice to proceed was withheld until Court approval was received in July.

Bus Replacement

| | | | |
|---|----------------|-------------------|-----------------------|
| Purchase 90 Articulated Buses (New Item) | Purchase Award | Jun-12 \$70.6M | Sep-12 (A) \$69.5M |
|---|----------------|-------------------|-----------------------|

Procurement action was approved by the MTA Board in June. Delay in award reflects period for NY State Comptroller review.

| Project | Commitment | Goal | Forecast |
|---------|------------|------|----------|
|---------|------------|------|----------|

Track

| | | | |
|---|--------------------|--------------------|------------------------|
| 2012 Track & Switch Program (27 Projects) - 1st Quarter | Construction Award | Feb-12 \$246.6M | Jun-12 (A) \$248.1M |
|---|--------------------|--------------------|------------------------|

All 27 projects were committed in the first and second quarters. Three projects had slipped beyond the first quarter due to track scheduling conflicts. All have been committed.

MNR

Track & Structures

| | | | |
|---|--------------------|-------------------|-----------------------|
| CP109 (Botanical Gardens - Fordham) - (New Item) | Construction Award | Jun-12 \$23.0M | Sep-12 (A) \$23.0M |
|---|--------------------|-------------------|-----------------------|

The remaining commitment (\$8.8M for force account) was delayed due to track outage availability and manpower redistribution for several projects.

MTA Bus

MTA Bus Projects

| | | | |
|--|--------------------|-------------------|-----------------------|
| Fuel Tanks and Bus Wash: Eastchester Depot | Construction Award | Jan-12 \$12.5M | May-12 (A) \$12.9M |
|--|--------------------|-------------------|-----------------------|

The project was delayed due to additional addendums required as a result of bidder questions and also due to lease issues.

Capital Projects – Major Commitments – September 2012 – Budget Only* Variances

Actuals Results Shaded

*for variances of more than \$5 million or 10%

| Project | Commitment | Goal | Forecast |
|--|--------------------|--------------------|------------------------|
| 11 All-Agency Budget only variance (4 new this month) | | | |
| NYCT | | | |
| <i>Line Equipment</i> | | | |
| Vent Plant at Mulry Square | Construction Award | Apr-12 \$108.5M | Jun-12 (A) \$60.9M |
| Project cost reduced reflecting low bids. Delay of award due to vendor relations issues. Issues have been resolved and the award was made in June. | | | |
| <i>Signals & Communications</i> | | | |
| VHF Radio System Upgrade | Construction Award | Feb-12 \$210.7M | Feb-12 (A) \$197.4M |
| Lower actual costs due to good bid savings. | | | |
| PA/CIS: 43 Stations: Install Cable (<i>New Item</i>) | Construction Award | Sep-12 \$55.6M | Oct-12 \$47.3M |
| Project cost was decreased reflecting lower In-house cost estimate. Circulation of the revised budget modification staff summary for approval has resulted in a one month delay. | | | |
| 2 Interlockings: Union & 71st Ave, QBL (<i>New Item</i>) | Construction Award | Sep-12 \$362.7M | Oct-12 \$297.9M |
| Delayed due to requests from prospective bidders to extend the bid opening date and respond to a large volume of questions from prospective bidders. Lower cost due to good bid savings. | | | |
| LIRR | | | |
| <i>Line Structures</i> | | | |
| ERT Tunnel Rehabilitation | Construction Award | Mar-12 \$25.0M | Mar-12 (A) \$9.2M |
| The LIRR committed less than was originally planned. \$9.2M represents the 2012 portion of the overall project, the remaining portion will be committed in future years. | | | |
| Bridge Program | Construction Award | Apr-12 \$14.6M | Apr-12 (A) \$6.9M |
| Funding provided was limited to the current year's work effort. | | | |
| <i>Track</i> | | | |
| Jamaica Capacity Improvements | Construction Award | Sep-12 \$19.0M | Aug-12 (A) \$12.8M |
| Lower actual costs due to good bid savings. | | | |

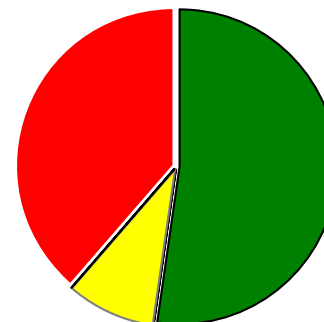
| Project | Commitment | Goal | Forecast |
|---|--------------------|--------------------|------------------------|
| B&T | | | |
| <i>Roadways and Deck</i> | | | |
| Deck Replacement: RFK Bridge Manhattan- Queens Ramp | Construction Award | Jul-12 \$64.8M | Jul-12 (A) \$52.7M |
| Lower actual costs due to good bid savings. | | | |
| <i>Roadways & Decks</i> | | | |
| Replace Verrazano Bridge Upper Level Suspended Span (<i>New Item</i>) | Construction Award | Sep-12 \$314.5M | Oct-12 \$247.5M |
| Additional time required to resolve responsibility issues with the selected contractor. Reduced budget forecast is due to good bid savings. | | | |
| MTACC | | | |
| <i>Second Avenue Subway</i> | | | |
| 96th Street Finishes | Construction Award | May-12 \$439.3M | Jun-12 (A) \$362.4M |
| Bid opening was delayed due to time extension request from multiple bidders. Budget decreased due to favorable bids. | | | |
| <i>7 West Extension</i> | | | |
| Construction of Station Entrance "Site P" (<i>New Item</i>) | Construction Award | Aug-12 \$103.5M | Sep-12 (A) \$96.1M |
| Delay due to extended bid qualification process. Lower cost due to good bid savings. | | | |

Capital Projects – Major Completions – September 2012

Forty-four major completions are reported on through September. Of these, 23 are being delivered on or near goal while four others occurred but late. Seventeen other major projects are late and not yet achieved. Details are addressed in the following pages.

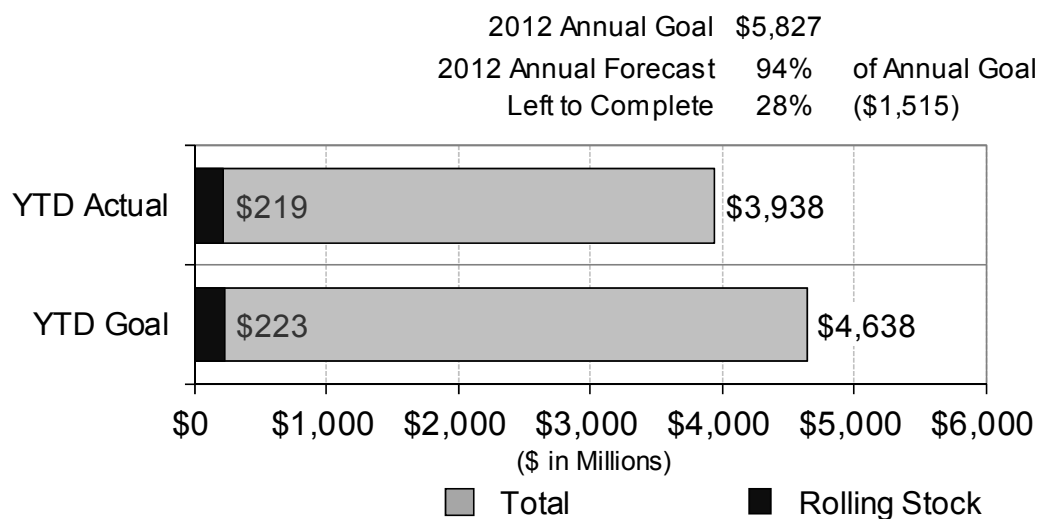
Regarding total completions, agencies have completed \$3.9 billion through September, which is 15% below the year-to-date goal. By year-end, agencies currently forecast that 94% or \$5.5 billion of the \$5.8 billion annual goal will be completed.

Year-to-Date Major Completions



| | Count | Percent | Change from Prior Month |
|---|-------|---------|-------------------------|
| GREEN = Completions made/forecast within 2 months of Goal | 23 | 52% | ↑ 3 |
| YELLOW = Completions delayed beyond 2 months of Goal (already made) | 4 | 9% | - |
| RED = Completions delayed beyond 2 months of Goal (not yet made) | 17 | 39% | ↑ 3 |
| | 44 | 100% | ↑ 6 |

Budget Analysis



Year-to-Date Agency Breakdown

| | Prior month variance | | |
|-------------------------------------|----------------------|--------|---------|
| | GREEN | YELLOW | RED |
| New York City Transit | | | |
| 10 3 8 | +1 GREEN | ---- | + 1 RED |
| Long Island Rail Road | | | |
| 3 1 | ---- | ---- | ---- |
| Metro-North Railroad | | | |
| 3 1 | ---- | ---- | ---- |
| Bridges and Tunnels | | | |
| 2 1 | +1 GREEN | ---- | + 1 RED |
| Capital Construction Company | | | |
| 3 2 | +1 GREEN | ---- | ---- |
| MTA Bus Company | | | |
| 2 5 | ---- | ---- | + 1 RED |
| MTA Police Department | | | |
| | ---- | ---- | ---- |

Capital Projects – Major Completions – September 2012 – Schedule Variances

| Project | Completion | Goal | Forecast |
|---------|------------|------|----------|
|---------|------------|------|----------|

17 All-Agency Red Completions (3 new this month)

NYCT

Track Program

| | | | |
|---|--------------|-------------------|-------------------|
| 2012 Track & Switch Program (6 Projects) - 2nd Qtr. | Construction | Jun-12 \$24.4M | Dec-13 \$24.4M |
|---|--------------|-------------------|-------------------|

Three of the 6 projects with a combined forecast of \$12.0M have slipped due to drainage and material availability issues and track access opportunities.

| | | | |
|--|--------------|-------------------|-------------------|
| 2012 Track & Switch Program (4 Projects) - 3rd Qtr. (New Item) | Construction | Sep-12 \$21.1M | Dec-13 \$21.1M |
|--|--------------|-------------------|-------------------|

All 4 projects scheduled for completion in the 3rd quarter are forecast to slip due to re-balancing of priority work in the track program. Two project are forecast for achievement in the 4th Quarter (\$17M in value) and two will slip to 2013 (\$4.1M in value).

Bus

| | | | |
|--|-------------------|-------------------|-------------------|
| 90 Standard Diesel Buses - New Flyer Pilot | Purchase Contract | Feb-12 \$46.2M | Jan-13 \$44.2M |
|--|-------------------|-------------------|-------------------|

88 of the 90 buses ordered were accepted. One of the remaining 2 buses will be equipped with a different engine for evaluation purposes; it will be delivered in January along with the other standard diesel.

Stations

| | | | |
|-------------------------------------|--------------|--------------------|-------------------|
| West End Line Stations - 5 Stations | Construction | Apr-12 \$100.2M | Oct-12 \$99.3M |
|-------------------------------------|--------------|--------------------|-------------------|

Project completion initially extended due to two concurrent delays. 1- Additional corroded steel in south control area at Fort Hamilton Avenue Station. 2- Approval of material for the historic 9th Avenue Station control building by the State Historic Preservation Office. Inclement weather in September prevented installation of several fire alarm systems, delaying the project an additional month.

| | | | |
|---|--------------|-------------------|-------------------|
| Far Rockaway Line Stations - 5 Stations | Construction | Jun-12 \$89.8M | Nov-12 \$92.6M |
|---|--------------|-------------------|-------------------|

The Long Island Power Authority (LIPA) has had a major impact on the project resulting in delays and cost increase. The contractor's work requires power shut downs of LIPA's energized cable which is attached to the line structure. LIPA grants only intermittent power outages dependent on weather and their service/maintenance needs. Contractor delay in the completion of several wrap-up items, as well as late design and installation of fire alarm systems.

| Project | Completion | Goal | Forecast |
|---------|------------|------|----------|
|---------|------------|------|----------|

NYCT Stations (continued)

| | | | |
|-------------------------------|--------------|-------------------|-------------------|
| Station Work: Dyckman-7th Ave | Construction | Jun-12 \$74.9M | Jun-13 \$77.8M |
|-------------------------------|--------------|-------------------|-------------------|

Additional work including elevator structural finishing, elevator ADA installation, and reconstruction of sidewalk and ADA ramp will extend the contract to June 2013

| | | | |
|---|--------------|-------------------|-------------------|
| Station Rehab: Smith-9th Street & 4th Ave | Construction | Jul-12 \$40.6M | Jan-13 \$41.3M |
|---|--------------|-------------------|-------------------|

Project completion was delayed to January due to the contractor's poor management, insufficient manpower and quality control and other design issues. Cost increased due to additional work to restore station entrances and storefronts and repair station towers.

| | | | |
|-------------------------------------|--------------|--------------------|--------------------|
| Bleecker Street Complex / Lexington | Construction | Jun-12 \$126.1M | Oct-12 \$127.1M |
|-------------------------------------|--------------|--------------------|--------------------|

Initial delay due to utility interferences, followed by delay in procurement and installation of the street elevator roof and procurement of glass for two other elevator enclosures. Further delayed to accommodate NYC DOT request for granite curbs at Houston Street, as well as late delivery of sidewalk granite.

MNR

Communication & Signals

| | | | |
|--------------------------------------|--------------|-------------------|-------------------|
| Tagging Relays Harlem & Hudson Lines | Construction | Mar-12 \$12.7M | Dec-12 \$12.7M |
|--------------------------------------|--------------|-------------------|-------------------|

Staffing changes at MNR's design consultant resulted in a longer period for completing design modifications for 3 Remote Terminal Units (RTUs). The design modifications are necessary for proper configuration of the RTUs.

MTACC

Fulton Center

| | | | |
|--|--------------|-------------------|-------------------|
| Dey St Concourse & R Underpass Finishes (4E) | Construction | Jul-12 \$32.2M | Nov-12 \$31.0M |
|--|--------------|-------------------|-------------------|

Delays are due to the enhancement program for Fulton Center.

| | | | |
|--|--------------|-------------------|-------------------|
| 4/5 Station Rehab & Dey Street Head House Finishes (4 C/D) | Construction | Jul-12 \$82.9M | Nov-12 \$82.9M |
|--|--------------|-------------------|-------------------|

Delays are due to the enhancement program for Fulton Center.

Capital Projects – Major Completions – September 2012 – Schedule Variances

Actual Results Shaded

| Project | Completion | Goal | Forecast |
|---------|------------|------|----------|
|---------|------------|------|----------|

B&T

Structures

| | | | |
|---|--------------|-------------------|-------------------|
| Throgs Neck Bridge Anchorage and Tower Protection (New Item) | Construction | Sep-12 \$20.1M | Dec-12 \$21.0M |
|---|--------------|-------------------|-------------------|

Inspections of the tower fender systems' support framing have resulted in the need for additional repairs and replacements, requiring an extension of time.

MTA Bus

Bus Company Projects

| | | | |
|------------------------|--------------|------------------|------------------|
| Fire Protection at JFK | Construction | Jun-12 \$4.0M | Nov-12 \$4.0M |
|------------------------|--------------|------------------|------------------|

Completion was delayed while issues from the lease agreements were reviewed and resolved.

| | | | |
|---|--------------|------------------|------------------|
| New Roof & Ventilation System at Baisley Park | Construction | Apr-12 \$8.5M | Oct-12 \$8.5M |
|---|--------------|------------------|------------------|

Completion was delayed while issues from the lease agreements were reviewed and resolved.

| | | | |
|---|--------------|------------------|------------------|
| New Roof & Ventilation System at Far Rockaway | Construction | May-12 \$6.9M | Oct-12 \$6.9M |
|---|--------------|------------------|------------------|

Purchase and installation of a computer system to monitor and control various pieces of equipment and systems in the building was delayed pending approval from the project's designer. Additional project delay due to contractor building a concrete stair tower to incorrect elevations, which required corrective work.

| | | | |
|---|--------------|------------------|------------------|
| Upgrade Parking Lot: JFK and Baisley Park (New Item) | Construction | Sep-12 \$9.8M | May-13 \$9.8M |
|---|--------------|------------------|------------------|

Completion was delayed while issues from the lease agreements were reviewed and resolved.

| | | | |
|--|--------------|------------------|------------------|
| New Roof and Vent. System at LaGuardia | Construction | Jun-12 \$7.0M | Oct-12 \$7.0M |
|--|--------------|------------------|------------------|

More time was needed by the contractor as the result of a request by National Grid for installation of additional gas regulators and valves necessary for the operation of the ventilation system. Further delay was due to longer than expected installation of this work.

| Project | Completion | Goal | Forecast |
|---------|------------|------|----------|
|---------|------------|------|----------|

4 All-Agency Yellow Completions (no change this month)

NYCT

Stations

| | | | |
|------------------------------------|--------------|-------------------|-----------------------|
| Rockaway Line Stations- 3 Stations | Construction | Feb-12 \$54.2M | May-12 (A) \$57.2M |
|------------------------------------|--------------|-------------------|-----------------------|

Delays are due to an adjacent property owner not allowing the use of a parking lot for final inspections. Project cost increased due to delays resulting from site access difficulties stemming from the LIPA cable shutdowns, unanticipated asbestos removal and contractor's rate of progress.

| | | | |
|-------------------------------------|--------------|--------------------|------------------------|
| West End Line Stations - 7 Stations | Construction | Apr-12 \$135.5M | Jul-12 (A) \$130.7M |
|-------------------------------------|--------------|--------------------|------------------------|

Elevator vibration issues delayed completion. Project cost decrease reflects latest estimate.

Bus Program

| | | | |
|--|-------------------|-------------------|-----------------------|
| Purchase 90 Standard Low-Floor CNG Buses | Purchase Contract | Mar-12 \$46.0M | Jun-12 (A) \$46.3M |
|--|-------------------|-------------------|-----------------------|

Project was delayed to June because of bus frame issues found in the last bus. All buses are now in service.

LIRR

Power

| | | | |
|-----------------------------|--------------|-------------------|-----------------------|
| Rockville Centre Substation | Construction | May-12 \$56.9M | Aug-12 (A) \$56.9M |
|-----------------------------|--------------|-------------------|-----------------------|

Completion delayed due to contractor delays in energization and testing of the substation.

Capital Projects – Major Completions – September 2012 – Budget* Variances

Actual Results Shaded

**for variances of more than \$5 million or 10%*

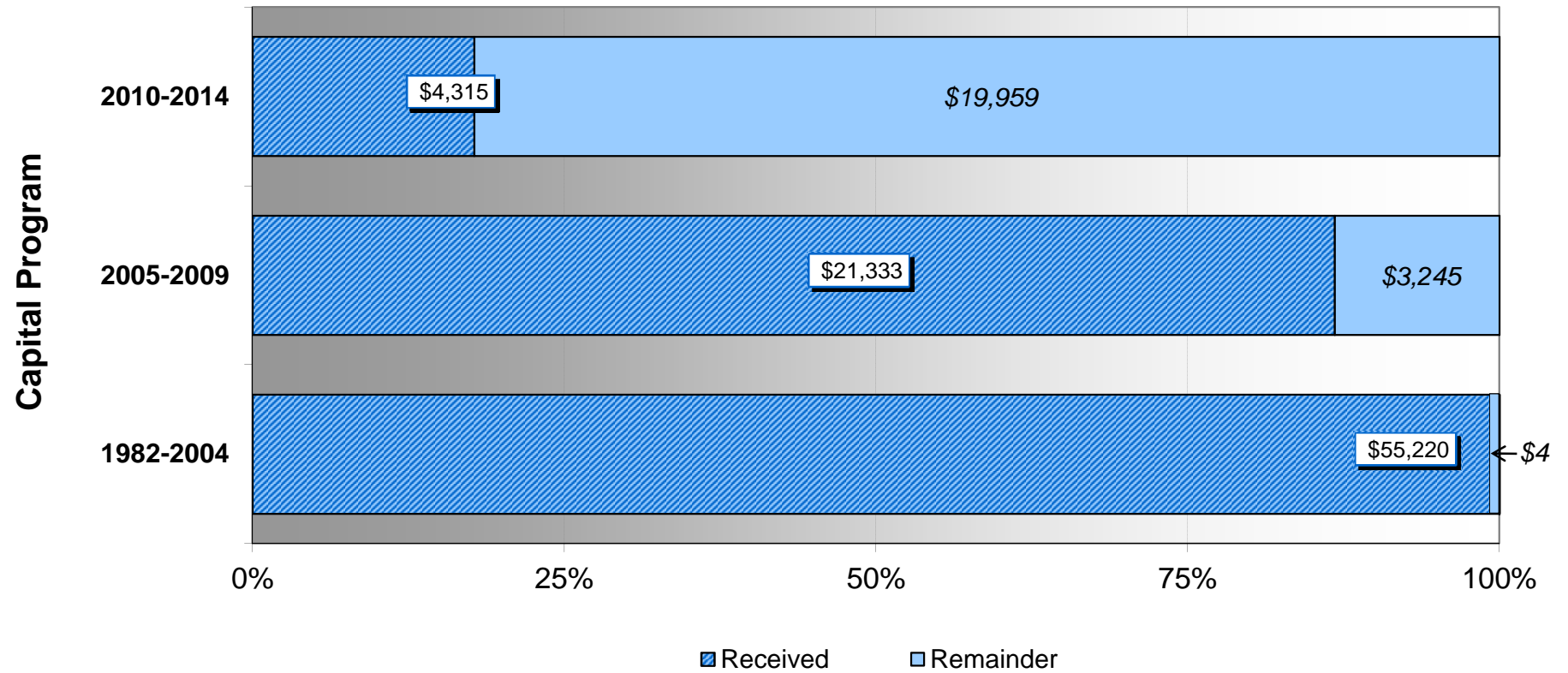
| Project | Completion | Goal | Forecast | Project | Completion | Goal | Forecast |
|---|--------------|--------------------|------------------------|---------|------------|------|----------|
| 4 All-Agency Budget only variances (0 new this month) | | | | | | | |
| NYCT | | | | | | | |
| <i>Signals & Communication</i> | | | | | | | |
| CBTC Canarsie: Equip 64 R- 160 Cars | Construction | Mar-12 \$61.2M | Mar-12 (A) \$67.9M | | | | |
| The cost increase is for additional support costs due to extended contract duration and higher than anticipated actual general order/diversion costs associated with rerouting of the M Train and multiple supplements. | | | | | | | |
| PA/CIS Phase 2: 156 Stations (IRT) | Construction | Apr-12 \$183.6M | Mar-12 (A) \$208.8M | | | | |
| Project cost increased due to the addition of training facility and extended project duration requiring additional support costs. | | | | | | | |
| <i>Track</i> | | | | | | | |
| 2011 Track & Switch Program (3 Projects) - 2nd Quarter | Construction | Jun-12 \$127.8M | Mar-12 (A) \$170.9M | | | | |
| Project cost increased reflecting final actual charges. | | | | | | | |
| <i>Line Equipment</i> | | | | | | | |
| Vent Plant: Jackson Avenue / Queens | | Sep-12 \$76.1M | Jul-12 (A) \$71.0M | | | | |
| Project cost decreased reflecting final actual charges. | | | | | | | |

Status of MTA Capital Program Funding

5 - 10

Capital Funding (September 30, 2012)

\$ in millions



Capital Funding Detail (September 30, 2012)

\$ in millions

| | Funding Plan | Receipts | | |
|--|-----------------|-----------------------------|-------------------|-------------------------|
| | <u>Current</u> | <u>Receipts thru August</u> | <u>This month</u> | <u>Received to date</u> |
| 2005-2009 Program | | | | |
| Federal Formula and Flexible Funds | \$5,207 | \$5,191 | - | \$5,191 |
| Federal New Start | 2,795 | 1,817 | - | 1,817 |
| Federal Security | 322 | 244 | - | 244 |
| Federal Other | 7 | 7 | - | 7 |
| Federal ARRA - Stimulus | 654 | 654 | - | 654 |
| City of New York | 405 | 405 | - | 405 |
| City #7 Line Extension Funds | 2,367 | 1,571 | 30 | 1,601 |
| MTA Bus Federal and City Match | 152 | 143 | - | 143 |
| Asset Sales and Program Income | 1,106 | 370 | - | 370 |
| State Transportation Bond Act | 1,450 | 881 | - | 881 |
| MTA Bonds (Including LGA) | 3,039 | 3,039 | - | 3,039 |
| B&T Bonds | 1,221 | 1,221 | - | 1,221 |
| Bonds from New Sources | 5,639 | 5,639 | - | 5,639 |
| Other (Including Operating to Capital) | 216 | 123 | - | 123 |
| Total | \$24,579 | \$21,304 | \$30 | \$21,333 |

| | Funding Plan | Receipts | | |
|--|-----------------|-----------------------------|-------------------|-------------------------|
| | <u>Current</u> | <u>Receipts thru August</u> | <u>This month</u> | <u>Received to date</u> |
| 2010-2014 Program | | | | |
| Federal Formula, Flexible, Misc | \$5,783 | \$2,271 | 28 | \$2,299 |
| Federal High Speed Rail | 295 | 295 | - | 295 |
| Federal Security | 225 | 38 | - | 38 |
| Federal RIFF Loan | 2,200 | - | - | - |
| City Capital Funds | 762 | 180 | - | 180 |
| State Assistance | 770 | 0 | - | - |
| MTA Bus Federal and City Match | 167 | - | - | - |
| MTA Bonds (Payroll Mobility Tax) | 10,503 | 1,244 | - | 1,244 |
| Other (Including Operating to Capital) | 1,490 | 78 | 48 | 126 |
| B&T Bonds | 2,079 | 133 | - | 133 |
| Total | \$24,274 | \$4,239 | \$76 | \$4,315 |