



Metropolitan Transportation Authority

Joint Long Island and Metro-North Committees Meeting

January 2021

Members

K. Law (Co-Chair)

R. Herman (Co-Chair)

F. Borelli

N. Brown

M. Feischer

R. Glucksman

R. Linn

D. Mack

V. Tessitore

N. Zuckerman

Joint Metro-North and Long Island Committees Meeting

2 Broadway
20th Floor Board Room
New York, NY

Thursday, 1/21/2021
10:00 AM - 5:00 PM ET

1. Public Comments Period

2. Summary of Actions

LIRR Summary of Actions - None

MNR Summary of Actions

MNR Summary of Actions - Page 5

MTA C&D Summary of Actions

MTA C&D Summary of Actions - Page 6

3. Approval of Minutes - December 16, 2020

Minutes - Page 7

4. Approval of 2021 Work Plans

LIRR 2021 Work Plan

LIRR 2021 Work Plan - Page 8

MNR 2021 Work Plan

MNR 2021 Work Plan - Page 14

5. AGENCY PRESIDENTS'/CHIEF'S REPORTS

LIRR Report

- **LIRR Safety Report**

LIRR Safety Report - Page 20

MNR Report

- **MNR Safety Report**

MNR Safety Report - Page 23

MTA C&D Report - None

MTA Police Report

MTA Police Report - Page 26

6. AGENCY ACTION ITEMS

LIRR Action Items

- **Parking Fee Structure at the LIRR Westbury Parking Garage**

7. AGENCY INFORMATION ITEMS

LIRR Information Items

- **Winter Trackwork Programs & Schedule Adjustments**
Winter Trackwork Programs & Schedule Adjustments - Page 39

MNR Information Items

MNR Information Items - Page 43

- **Track Program Quarterly Update**
Track Program Quarterly Update - Page 44

8. PROCUREMENTS

LIRR Procurements - None

MNR Procurements

MNR Procurements - Page 55

- **MNR Non-Competitive - None**
- **MNR Competitive**
MNR Competitive - Page 58
- **MNR Ratifications - None**

MTA C&D Procurements

MTA C&D Procurements - Page 61

- **MTA C&D Non-Competitive - None**
- **MTA C&D Competitive**
MTA C&D Competitive - Page 65
- **MTA C&D Ratifications**
MTA C&D Ratifications - Page 67

9. AGENCY REPORTS ON OPERATIONS, FINANCE, RIDERSHIP AND CAPITAL PROGRAM

LIRR Performance Summaries

- **LIRR Operations Report**
LIRR Operations Report - Page 70
- **LIRR Performance Metrics Report**
LIRR Performance Metrics Report - Page 80
- **LIRR Finance Report - DRAFT**
LIRR Finance Report - Page 86
- **LIRR Ridership Report**
LIRR Ridership Report - Page 129
- **LIRR Capital Program Report**

MNR Reports

- **MNR Operations Report**
MNR Operations Report - Page 141
- **MNR Performance Metrics Report**
MNR Performance Metrics Report - Page 151
- **MNR Finance Report**
MNR Finance Report - Page 156
- **MNR Ridership Report**
MNR Ridership Report - Page 201
- **MNR Capital Program Report**
MNR Capital Program Report - Page 212

**METRO-NORTH RAILROAD
COMMITTEE ACTIONS and PRESENTATIONS
SUMMARY for January 2021**

Responsible Department	Vendor Name	Total Amount	Summary of action
Metro-North Procurement	TBD	TBD	MNR requests MTA Board approval to use the competitive RFP process for the solicitation of maintenance, inspection and repair services for a total of 53 escalators for MNR and LIRR combined.

**CONSTRUCTION & DEVELOPMENT
COMMITTEE ACTIONS and PRESENTATIONS
SUMMARY for JANUARY 2021**

Responsible Department	Vendor Name	Total Amount	Summary of Action
Contracts	E-J Electric Installation Co.	\$1,510,000	MTA Construction and Development request the Board approve a modification (No. 50) to Contract CS084 for furnishing and installing approximately 9,500 feet of 500 MCM (ground) stray current drainage cable for the C04 and C05 Traction Power Substations for the East Side Access Project.
Contracts	Tutor Perini Corporation	\$2,363,601	MTA Construction and Development request the Board ratify a retroactive modification (No. 403) to Contract CS179 for revisions to the Building Management, Fire Command Center, and fire detection/suppression systems for the East Side Access Project.

Minutes of the Joint MNR/LIRR Committee Meeting
December 2020
2 Broadway, 20th Floor Board Room
New York, NY 10004

Because of the ongoing COVID-19 public health crisis, the MTA Chairman convened a one-day, virtual Board and Committee meeting session on December 16, 2020, which included the following committees:

- Long Island Rail Road and Metro-North Railroad;
- New York City Transit;
- MTA Bridges and Tunnels;
- Finance;
- Capital Program Oversight Committee;
- Corporate Governance;
- Diversity

To see a summary of the meeting and the actions taken by the Joint MNR/LIRR Committee, please refer to the December 16, 2020 Board minutes in the December Board Book available here on the Board materials

website: <https://new.mta.info/transparency/board-and-committee-meetings/December-2020>

Long Island Rail Road Committee Work Plan

I. <u>RECURRING AGENDA ITEMS</u>	<u>Responsibility</u>
Approval of Minutes	Committee Chair & Members
2020 Committee Work Plan	Committee Chair & Members
Agency President's/Chief's Reports	President/Senior Staff
Safety Report	Chief Safety Officer
MTA Capital Construction Report	MTA Capital Construction
MTA Police Report	MTA Police
Information Items (if any)	
Action Items (if any)	
Procurements	Procurement & Logistics
Performance Summaries	President/Senior Staff
Status of Operations	Sr. VP – Operations
Performance Metrics Report	President/Senior Staff
Financial/Ridership Report	VP & CFO
Capital Program Report	SVP - Engineering
II. <u>SPECIFIC AGENDA ITEMS</u>	<u>Responsibility</u>
<u>January 2021</u>	
Winter Trackwork Programs & Schedule Adjustments	Service Planning
<u>February 2021</u>	
Adopted Budget/Financial Plan 2021	Management & Budget
2020 Annual Operating Results	Operations
Diversity/EEO Report – 4 th Q 2020	Administration/Diversity
March Timetable/Spring Trackwork Programs	Service Planning
<u>March 2021</u>	
Annual Elevator/Escalator Report	Engineering
Spring Trackwork Programs	Service Planning
2020 Annual Ridership Report	Finance/Marketing
<u>April 2021</u>	
<u>May 2021</u>	
Final Review of 2020 Operating Budget Results	Management & Budget
Summer Track Work Programs	Service Planning
Diversity/EEO Report – 1 st Q 2021	Administration/Diversity
PTC Status Report	President
<u>June 2021</u>	
Track Work Programs	Service Planning

July 2021

September Timetable Change & Trackwork Programs Service Planning

September 2020

2021 Preliminary Budget (Public Comment)	
2020 Mid-Year Forecast	Management & Budget
Fall Trackwork Programs	Service Planning
Diversity/EEO Report – 2 nd Quarter 2020	Administration/Diversity

October 2020

2021 Preliminary Budget (Public Comment)	
LIRR/MNR PTC Project Update	President
November Timetable Change & Trackwork Programs	Service Planning

November 2021

East Side Access Support Projects Update	President/Sr. Staff
Year-End Trackwork Programs	Service Planning

December 2021

2022 Final Proposed Budget	Management & Budget
2022 Proposed Committee Work Plan	Committee Chair & Members
Diversity/EEO Report – 3 rd Q 2021	Administration/Diversity
Winter Trackwork Program	Service Planning
Review of Committee Charter	Committee Chair & Members

LONG ISLAND RAIL ROAD COMMITTEE WORK PLAN

DETAILED SUMMARY

I. RECURRING AGENDA ITEMS

Approval of Minutes

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

2020 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 Report

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

Capital Construction Report

A monthly project update report will be provided for the month reported.

Police Report

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

Action Items (if any)

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

Information Items (if any)

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

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

Operations Report

A monthly report will be given highlighting key operating 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 Report

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

II. SPECIFIC AGENDA ITEMS

JANUARY 2021.

FEBRUARY 2021

Adopted Budget/Financial Plan 2021

The Agency will present its revised 2021 Financial Plan. These plans will reflect the 2021 Adopted Budget and an updated Financial Plan for 2020 reflecting the out-year impact of any changes incorporated into the 2020 Adopted Budget.

2020 Annual Operating Results

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

Diversity & EEO Report– 4th Quarter 2020

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.

March Timetable/Spring Trackwork Programs

The Committee will be advised of plans to adjust schedules.

MARCH 2021

Annual Elevator/Escalator Report

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

Spring Trackwork Programs

The Committee will be advised of Agency plans to adjust schedules to support construction projects during the Spring of 2020.

Customer Satisfaction Survey Report

The committee will be informed on the results of the 2019 survey distributed to LIRR customers.

2020 Annual Ridership Report

A report will be presented to the Committee on Agency ridership trends during 2019 based on monthly ticket sales data and the results of train ridership counts conducted by the Agency.

APRIL 2021

MAY 2021

Final Review of 2020 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.

Summer Trackwork Programs

The Committee will be advised of Agency plans to adjust schedules to support construction projects during the summer of 2021.

Diversity & EEO Report– 1st Quarter 2021

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.

JUNE 2021

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 2021

September Timetable Change & Trackwork Programs

The Committee will be advised of Agency plans to adjust schedules to support construction projects during the fall of 2021.

SEPTEMBER 2020

2021 Preliminary Budget

Public comment will be accepted on the 2020 Budget.

2020 Mid-Year Forecast

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

Diversity & EEO Report– 2nd 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.

OCTOBER 2020

2021 Preliminary Budget

Public comment will be accepted on the 2021 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.

NOVEMBER 2021

East Side Access Support Projects Update

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

Year-End Schedule

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

DECEMBER 2021

Diversity & EEO Report– 3rd Quarter 2021

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.

2022 Final Proposed Budget

The Committee will recommend action to the Board on the Final Proposed Budget for 2021.

Proposed 2022 Committee Work Plan

The Committee Chair will present a draft Long Island Rail Road Committee Work Plan for 2019 that will address initiatives to be reported throughout the year.

Review Committee Charter

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



2021 Metro-North Railroad Committee Work Plan

I. RECURRING AGENDA ITEMS

Responsibility

Approval of Minutes	Committee Chairs & Members
2021 Committee Work Plan	Committee Chairs & Members
President's Report	President/Senior Staff
Safety Report	
MTA Police Report	
Information Items (if any)	
Action Items (if any)	
Procurements	
Agency Reports	Senior Staff
Operations	
Finance	
Ridership	
Capital Program	

II. SPECIFIC AGENDA ITEMS

Responsibility

<u>January 2021</u>	
Approval of 2021 Committee Work Plan	Committee Chairs & Members
Track Program Quarterly Update	Engineering
<u>February 2021</u>	
Adopted Budget/Financial Plan 2021	Finance
2020 Annual Operating Results	Operations
Diversity/EEO Report – 4th Quarter 2020	Diversity and EEO
<u>March 2021</u>	
Annual Elevator & Escalator Report	Engineering
2020 Annual Ridership Report	Operations Planning & Analysis
<u>April 2021</u>	
No Items	
<u>May 2021</u>	
Final Review of 2020 Operating Budget Results	Finance
Track Program Quarterly Update	Engineering
LIRR/MNR PTC Implementation Update	President
Diversity/EEO Report – 1 st Quarter 2021	Diversity and EEO
<u>June 2021</u>	
Progress on Way Ahead Strategic Plan	Strategic Initiatives

July 2021

Grand Central Terminal Retail Development
Track Program Quarterly Update

MTA Real Estate
Engineering

September 2021

2022 Preliminary Budget (Public Comment)
2021 Mid-Year Forecast
Diversity/EEO Report – 2nd Quarter 2021

Finance
Finance
Diversity and EEO

October 2021

2022 Preliminary Budget (Public Comment)
LIRR/MNR PTC Implementation Update
Track Program Quarterly Update

Finance
President
Engineering

November 2021

Progress on Way Ahead Strategic Plan

Strategic Initiatives

December 2021

2022 Final Proposed Budget
2022 Proposed Committee Work Plan
Diversity/EEO Report – 3rd Quarter 2021
Review of Committee Charter

Finance
Committee Chairs & Members
Diversity and EEO
Committee Chair & Members

METRO-NORTH RAILROAD COMMITTEE WORK PLAN

DETAILED SUMMARY

I. RECURRING AGENDA ITEMS

Approval of Minutes

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

2021 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 2021

Approval of 2021 Committee Work Plan

The Committee will approve the Proposed Metro-North Railroad Committee Work Plan for 2021 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.

FEBRUARY 2021

Adopted Budget/Financial Plan 2021

The Agency will present its revised 2021 Financial Plan. These plans will reflect the 2021 Adopted Budget and an updated Financial Plan for 2021 reflecting the out-year impact of any changes incorporated into the 2021 Adopted Budget.

2020 Annual Operating Results

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

Diversity & EEO Report– 4th Quarter 2020

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

MARCH 2021

Annual Elevator/Escalator Report

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

2020 Annual Ridership Report

A report will be presented to the Committee on Metro-North's ridership trends during 2020 based on monthly ticket sales data and the results of train ridership counts conducted by Metro-North.

APRIL 2021

No Items

MAY 2021

Final Review of 2020 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.

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.

Diversity & EEO Report– 1st Quarter 2021

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

JUNE 2021

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.

JULY 2021

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.

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.

SEPTEMBER 2021

2022 Preliminary Budget

Public comment will be accepted on the 2022 Budget.

2021 Mid-Year Forecast

The agency will provide the 2021 Mid-Year Forecast financial information for revenue and expense by month.

Diversity & EEO Report– 2nd Quarter 2021

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 2021

2022 Preliminary Budget

Public comment will be accepted on the 2022 Budget.

LIRR/MNR PTC Project Update

The Committee will be briefed on the status of project implementation and close-out following full Positive Train Control functionality for both railroads going into effect in December 2020.

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.

NOVEMBER 2021

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 2021

2022 Final Proposed Budget

The Committee will recommend action to the Board on the Final Proposed Budget for 2022.

2022 Proposed Committee Work Plan

The Committee Chair will present a draft Metro-North Committee Work Plan for 2022 that will address initiatives to be reported throughout the year.

Diversity & EEO Report– 3rd Quarter 2021

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.

Review of Committee Charter

Annual review and approval of the MNR Committee Charter.



Safety Report Highlights

Employee Safety Incentive Award Winners

Due to the pandemic, we were unable to conduct our 2020 Annual Employee Safety Incentive Award Ceremony. For over two decades, this program has enabled LIRR employees to nominate their colleagues for performing extraordinary acts affecting the safety of their fellow employees, our customers, and the communities we serve. Fifty employees would have been recognized during the 2020 ceremony for their actions in 2019 including: rendering lifesaving medical assistance, rescuing individuals from the tracks, preventing rail accidents, alerting trains to hazardous conditions, reuniting individuals with dementia with their loved ones, reviving customers who overdosed, and intervening to persuade individuals contemplating suicide not to end their lives. Every year, leadership from management and labor gather to recognize and express appreciation to these employees for their actions. Our honorees are:

Engineering Department

Track

Foreman
Christopher Kroll

Trackworker
Alex Rajkumar

Foreman
Claude Birong

MW Utility Worker
Jeremiah Wilson

Communications

Signalmen

Joel Hogan

Chris Rissland

Robert Goldsmith

Power

Gang Foreman
Robert Kruse

Third Railman
Brendan Desantis

Third Railman
Christopher Egner

Building and Bridges

Foreman

Clint Ahrens

Signal

Inspectors

Eric Gongora

Greg Kiessling

Wayne Rogers

Thomas Palumbo

Cody Giarraputo

Thomas Weinhofer

Foreman
Mike Masino

Foreman
Roy Verspoor

Maintainer
Jeffrey Mondeau

Assistant Signalman
Bryant Paz

Transportation Department

Conductors

Erik Kauhaus

Michael Water

Usher

Stephanie Murray-Thomas

Engineers

Roberto Lopez

Rick Jordan

Thomas Riley (retired)

Joseph Moscato

Assistant Stationmaster

Letitia Saint-Louis

Superintendent Train Movement

Chris DeRonde



Long Island Rail Road

Maintenance of Equipment Department

Machinists

Emilio Albanese

Jason Domenici

Road Car Inspector

Duane Avery

Gang Foreman

John Tohill

Electrician

Gregory Pysarchuk

Employee Training and Corporate Development Department

Signal Training Specialist

Gerardo Llerena

Stations Department

Travel Foremen Cleaning

Joseph Lomuto

Patrick Ciresi

Salvatore Maggio

Station Appearance Maintainers

Alex Jermann

Katie Getavesky

Thomas Kennelly

Brittany Salisbury

Ticket Clerk

Steve Capobianco

TVM Agent

Joseph Mellen

Ambassador

Judy Vancol

Chief Ticket Seller

Robert Smith

Supervisor

Anthony Heuskin

Lost and Found Clerk

Tyrone Williams

Mail and Ride

Ronald Huskiewicz

Employee Safety Incentive Award Committee

Maintenance of Equipment

Scott Mowbray (retired)

Ralph Jean

Engineering

Linda Stone

Stores

Eric Florio

Stations

Tom Foulkes

MTA HQ IT

Tracey Baratta

Office of Security

Catherine Alvarado

Transportation

Nick Valdemira

Corporate Safety

John Kay

Public Affairs

Danielle Camirand

Engineering

Justin Serina, Chairperson

For the reporting period ending November 2020, the average Reportable Customer Injury Rate was 5.07 injuries per million customers as compared to 2.28 injuries per million customers over the same period last year. Slips, trips, and falls in Penn Station generate the most injury reports. In partnership with the MTA Police, Together Railroads and Communities Keeping Safe (TRACKS), reached 202,381 participants through the end of November 2020 via Operation Lifesavers, virtual classes, videos, and social media.

During this reporting period, the average Reportable Employee Lost Time Injury Rate increased from 3.38 injuries per 200,000 hours worked to 3.41 injuries per 200,000 hours worked. Soft tissue injuries are the greatest type of injury sustained.

Lori Ebbighausen
Vice President
Corporate Safety

November Safety Report

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

Performance					
Performance Indicator	12-Month Average				
	December 2017 - November 2018	December 2018 November 2019	December 2019 November 2020		
FRA Reportable Customer Accident Rate per Million Customers	2.12	2.28	5.07		
FRA Reportable Employee Lost Time Injury Rate per 200,000 worker hours	2.90	3.38	3.41		
		2019		2020	
		November	Year to Date	November	Year to Date
Grade Crossing Incidents ¹	0	9*	1	5	
Mainline FRA Reportable Train Derailments	1	2	0	1	
Mainline FRA Reportable Train Collisions	0	1**	0	1	

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

* 02/26/2019 School Street is counted as one event, but was reported as two for FRA 49 225 reporting purposes

** 05/25/2019 Speonk Collision is counted as one event, but was reported as two for FRA 49 225 reporting purposes

Focus on Safety Training	2019		2020	
	November	Year to Date	November	Year to Date
First Responders Trained	325	1,829	94	508
Employee Safety Training Courses	83	1,015	75	740
Employees Trained	1,170	12,428	793	7,231
Employee Safety Training Hours	19,233	239,727	12,972	148,107
Customer and Community: Focus on Grade Crossings	November	Year to Date	November	Year to Date
Broken Gates	10	121	10	70
MTA Police Details	58	1,106	96	629
Summons	143	1,679	351	2,441
Warnings	54	713	126	853
Arrests	0	5	0	0
Community Education and Outreach	11,035	117,848	2,625	30,133
Community Education and Outreach Social Media			70,520	202,381
		Completed	Total	% Complete
Cameras on Rolling Stock		M7 (Cars)	826	99
		C3 Cab	23	100
		C3 Trailer	111	100
		DE/DM	42	93

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.



Metro-North Railroad

WE WEAR  BECAUSE WE CARE 

"To do my part to help end the pandemic so things can go back to normal"
– **Terrence Jaimungal**
Assistant Director GCT Safety



"It's important to me to wear a mask to help stop the virus, protect ourselves, family, friends, colleagues & others. As I tell my children My mask protects you and your mask protects me!"
– **Analia Espinosa**
Regulatory Compliance Specialist



"I wear my mask because there is a lot of asymptomatic infection, and I want to keep my family safe"
– **Maureen Taylor**
Administrative Coordinator



"The health and well-being of my family, friends and coworkers is priority #1"
– **Brandon Camacho**
Compliance Officer



SAFETY | FOCUSED



"We Wear Because We Care"
MNR Employee Face Covering Safety Campaign
(Second poster in the series)

Justin R. Vonashek
Vice President
Office of System Safety



Metro-North Railroad

Safety Highlights:

Metro-North Railroad (MNR) is proactively making every effort to keep our customers and employees safe during the ongoing COVID-19 pandemic. Since the beginning of the pandemic, MNR has implemented the following initiatives:

- Promote social distancing and good hygiene
- Require anyone traveling on MNR trains to wear a face covering
- Require employees and contractors to wear face coverings in all MNR facilities
- Provide enhanced cleaning at all Metro-North stations, on trains and within employee facilities
- Disinfect and sanitize employee facilities
- Established employee temperature screening stations in MNR facilities
- Provided on-site COVID-19 Antibody Testing for employees
- Distributed personal protective equipment to employees (masks/face coverings, face shields, gloves, personal thermometers, hand sanitizer, etc.)
- Offer seasonal flu shots to employees
- Offer free onsite Polymerase Chain Reaction (PCR) COVID-19 testing to employees
- Launched face covering campaign “We Wear Because We Care” featuring MNR employees sharing why they are committed to wearing face coverings

Throughout the pandemic, MNR has continued to promote its partnership with the Crisis Text Line and unique keyword “NEXT2U” through MNR’s social media platforms and unique posters targeted at individuals struggling during the pandemic. Anyone experiencing a mental health crisis, can text “NEXT2U” to 741741 and immediately connect with a trained Crisis Counselor free of charge via text. In 2020, 28 contacts were made using MNR’s unique keyword. In addition, MNR continued its suicide prevention efforts and held 9 QPR (Question Persuade Refer) Gatekeeper classes training 110 employees on how to stay vigilant and offer help to individuals experiencing a mental health crisis.

For the current 12-month period (December 2019 – November 2020) versus the previous 12-month period (December 2018 – November 2019), employee lost time injuries per 200,000 working hours were reduced by 5.1%.

For the current 12-month period (December 2019 – November 2020) versus the previous 12-month period (December 2018 – November 2019), customer reportable injury rate per one million customers were reduced by 3.6%.

Justin R. Vonashek
Vice President
Office of System Safety

November 2020 Safety Report

Performance				
Performance Indicator	12-Month Average			
	December 2017 - November 2018	December 2018 - November 2019	December 2019 - November 2020	
FRA Reportable Customer Accident Rate per Million Customers	1.13	1.10	1.06	
FRA Reportable Employee Lost Time Injury Rate per 200,000 worker hours	2.45	2.15	2.04	
	2019		2020	
	November	Year to Date	November	Year to Date
Grade Crossing Incidents ¹	0	2	0	1
Mainline FRA Reportable Train Derailments	0	0	0	0
Mainline FRA Reportable Train Collisions	0	0	0	0

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

Leading Indicators				
Safety Training	2019		2020	
	November	Year to Date	November	Year to Date
First Responders Trained	161	1,874	78	1,186
Employee Safety Training Courses	139	327	104	317
Employees Trained	1,956	6,415	2,494	5,743
Employee Safety Training Hours	15,004	261,813	20,033	205,946
Customer and Community: Focus on Grade Crossings	2019		2020	
	November	Year to Date	November	Year to Date
Broken Gates	1	27	4	20
MTA Police Details	44	642	16	216
Summons	54	541	90	607
Warnings	18	131	37	193
Community Education and Outreach*	4,394	108,541	895	53,086
Cars Equipped with Cameras	Fleet Size	Total Cars Equipped	% Complete	
Inward / Outward Facing Cab Cameras	956	956	100.00%	
Passenger Compartment Cameras	1,084	1,084	100.00%	

*Due to the COVID-19 pandemic, community outreach events are held virtually, as a result 2020 numbers are lower than previous years.

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.



POLICE REPORT



Long Island Rail Road

December 2020 Highlights: MTA Police Report

- Long Island Rail Road experienced a decrease in the amount of major felonies (5 vs 7) for the month of December compared to the same period last year.
- Year to date Long Island Rail Road is down 22 crimes (66 vs 88).
- There were zero (0) Hate Crimes on Long Island Rail Road for the month of December.

Joseph P. McGrann
Chief of Police



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

December 2020 vs. 2019

	2020	2019	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	0	1	-1	-100%
Felony Assault	2	2	0	0%
Burglary	0	0	0	0%
Grand Larceny	2	4	-2	-50%
Grand Larceny Auto	1	0	1	100%
Total Major Felonies	5	7	-2	-29%

Year to Date 2020 vs. 2019

	2020	2019	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	20	13	7	54%
Felony Assault	10	15	-5	-33%
Burglary	6	5	1	20%
Grand Larceny	29	53	-24	-45%
Grand Larceny Auto	1	2	-1	-50%
Total Major Felonies	66	88	-22	-25%



Metro-North Railroad

December 2020 Highlights: MTA Police Report

- Metro-North Railroad experienced a decrease in the amount of major felonies (3 vs 7) for the month of December compared to the same period last year.
- Year to date Metro-North Railroad is down 56 crimes (62 vs 118).
- There were zero (0) Hate Crimes on Metro-North Railroad for the month of December.

Joseph P. McGrann
Chief of Police



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

December 2020 vs. 2019

	2020	2019	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	0	1	-1	-100%
Felony Assault	1	1	0	0%
Burglary	0	0	0	0%
Grand Larceny	2	4	-2	-50%
Grand Larceny Auto	0	1	-1	-100%
Total Major Felonies	3	7	-4	-57%

Year to Date 2020 vs. 2019

	2020	2019	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	10	16	-6	-38%
Felony Assault	11	15	-4	-27%
Burglary	9	7	2	29%
Grand Larceny	30	73	-43	-59%
Grand Larceny Auto	2	7	-5	-71%
Total Major Felonies	62	118	-56	-47%



METROPOLITAN TRANSPORTATION AUTHORITY
Police Department
System Wide

December 2020 vs. 2019

	2020	2019	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	0	2	-2	-100%
Felony Assault	3	3	0	0%
Burglary	0	0	0	0%
Grand Larceny	4	8	-4	-50%
Grand Larceny Auto	1	1	0	0%
Total Major Felonies	8	14	-6	-43%

Year to Date 2020 vs. 2019

	2020	2019	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	33	33	0	0%
Felony Assault	22	32	-10	-31%
Burglary	15	15	0	0%
Grand Larceny	59	127	-68	-54%
Grand Larceny Auto	3	9	-6	-67%
Total Major Felonies	132	216	-84	-39%



MTA Police Department Arrest Summary: Department Totals

1/1/2020 to 12/31/2020

Arrest Classification	Total Arrests	
	2020	2019
Robbery	24	28
Felony Assault	24	46
Burglary	4	13
Grand Larceny	16	48
Grand Larceny Auto	2	3
Aggravated Harassment	3	4
Aggravated Unlicensed Operator	5	20
Arson	0	4
Assault-Misdemeanor	43	80
Breach of Peace	6	12
Child Endangerment	3	4
Criminal Contempt	8	14
Criminal Impersonation	4	9
Criminal Mischief	39	45
Criminal Possession Stolen Property	6	9
Criminal Tampering	4	2
Criminal Trespass	27	44
Disorderly Conduct	2	1
Drug Offenses	41	135
DUI Offenses	6	9
Falsely Reporting an Incident	4	7
Forgery	16	43
Fraudulent Accosting	0	13
Graffiti	32	34
Harassment	1	1
Identity Theft	0	1
Issue a Bad Check	0	2
Menacing	9	13
Obstruct Government	2	9
Petit Larceny	50	185
Public Lewdness	14	29
Reckless Endangerment	12	10
Resisting Arrest	19	42
Sex Offenses	9	21
Stalking	1	1
Theft of Services	61	247
Unlawful Imprisonment/Kidnapping	0	1
Unlawful Surveillance	1	1
VTL Offenses	1	4
Warrant Arrest	34	74
Weapons Offenses	3	5
Unauthorized Use Vehicle	1	1
Total Arrests	537	1,274

INDEX CRIME REPORT
Per Day Average
December 2020

	Systemwide	LIRR	MNRR	SIRT
Murder	0	0	0	0
Rape	0	0	0	0
Robbery	0	0	0	0
Fel. Assault	3	2	1	0
Burglary	0	0	0	0
Grand Larceny	4	2	2	0
GLA	1	1	0	0
Total	8	5	3	0
Crimes Per Day	0.26	0.16	0.10	0.00



Metropolitan Transportation Authority Police Department

Hate Crimes Report (January - December 2020)

Motivation	2020	2019	Diff	% Change
Asian	0	0	0	0 %
Black	4	7	-3	-42 %
Ethnic	0	0	0	0 %
Gender	0	0	0	0 %
Hispanic	1	0	1	0 %
Muslim	0	0	0	0 %
Other	0	1	-1	-100 %
Anti-Semitic	5	15	-10	-66 %
Sexual Orientation	0	2	-2	-100 %
White	2	1	1	100 %
Motivation Total	12	26	-14	-53 %

Crime Name	2020	2019	Diff	% Change
Aggravated Harassment #1	0	0	0	0 %
Aggravated Harassment #2	0	3	-3	-100 %
Felony Assault	2	1	1	100 %
Misdemeanor Assault	0	0	0	0 %
Criminal Mischief #3	0	1	-1	-100 %
Criminal Mischief #4	10	21	-11	-52 %
Grand Larceny #4	0	0	0	0 %
Menacing #2	0	0	0	0 %
Robbery #2	0	0	0	0 %
Crime Total	12	26	-14	-53 %



Metropolitan Transportation Authority Police Department

Hate Crimes Report (January - December 2020)

Motivation	LIRR		MNR		SIRT		Total
	2020	2019	2020	2019	2020	2019	
Anti-Semitic	4	10	1	4	0	1	20
Asian	0	0	0	0	0	0	0
Black	1	4	1	1	2	2	11
Ethnic	0	0	0	0	0	0	0
Gender	0	0	0	0	0	0	0
Hispanic	1	0	0	0	0	0	1
Muslim	0	0	0	0	0	0	0
Other	0	1	0	0	0	0	1
Sexual Orientation	0	2	0	0	0	0	2
White	2	1	0	0	0	0	3
Total	8	18	2	5	2	3	38

Crime Name	LIRR		MNR		SIRT		Total
	2020	2019	2020	2019	2020	2019	
Aggravated Harassment #1	0	0	0	0	0	0	0
Aggravated Harassment #2	0	2	0	1	0	0	3
Criminal Mischief #3	0	0	0	1	0	0	1
Criminal Mischief #4	6	15	2	3	2	3	31
Felony Assault	2	1	0	0	0	0	3
Grand Larceny #4	0	0	0	0	0	0	0
Menacing #2	0	0	0	0	0	0	0
Misdemeanor Assault	0	0	0	0	0	0	0
Robbery #2	0	0	0	0	0	0	0
Total	8	18	2	5	2	3	38



Long Island Rail Road

ACTION

ITEMS

STAFF SUMMARY



Subject Parking Fee Structure at the LIRR Westbury Parking Garage	Date December 28, 2020
Department Stations	Vendor Name
Department Head Name James Compton, Chief Stations Officer <i>James Compton</i>	Contract Number
Department Head Signature	Contract Manager Name
Project Manager Name Mary Catherines	Table of Contents Ref #

Board Action					Internal Approvals				
Order	To	Date	Approval	Info	Other	Order	Approval	Order	Approval
1	Finance		X			2	President		<i>[Signature]</i>
2	MTA Board		X			1	VP & CFO		

Narrative

Purpose: The Long Island Rail Road (LIRR) seeks MTA Board approval to establish parking fees for 300 unrestricted daily parking spaces located in the newly constructed Westbury Parking Garage. The State of the art, 4 level, ungated garage is expected to open in March 2021.

Discussion:

As part of LIRR's Main Line Expansion project, a 667 space parking garage was constructed on the north side of the Westbury station. This parking garage was constructed on a Village of Westbury owned surface lot. As such, the MTA/LIRR entered into a lease agreement with the Village which allows 367 spaces in the garage to be reserved exclusively for Village resident permit holders. The remaining 300 spaces in the garage will be open to all patrons on a first come, first served basis. The Village of Westbury will determine the resident permit fee. The MTA/LIRR is responsible for establishing the fees for the 300 unrestricted daily parking spaces in the garage. LIRR will be maintaining and operating the garage using Allpro Parking, the parking operator that manages LIRR's other 3 parking garages.

LIRR is proposing the same fee structure and pricing plan charged at the Mineola Intermodal Center (MIC). There is no monthly permit parking at the MIC. The Village of Westbury will not require a permit on weekend and holidays, so it is recommended that LIRR not charge fees on weekends and holidays.

The proposed daily rates are as follows:

Monday-Friday Rates:

- 0-20 hours: \$6.00
- 20-24 hours: \$12.00 (10-day max)

Prior to the start of construction on the Westbury garage, LIRR owned and operated (via a 3rd Party) one surface parking lot at the Westbury station that was fully utilized. LIRR charged a \$5 daily (24 hour) fee in this 300 space lot located on the south side of the station. The lot is currently leased to the Village of Westbury in order to accommodate residents displaced by the garage construction. The lot will no longer be available for parking once the garage opens. The lot is slated for future development, but in the interim, will be used as a staging area for the 3rd Track project.

The legal name of MTA Long Island Rail Road is The Long Island Rail Road Company

With respect to parking enforcement at the Westbury Garage, the non-gated system will require administrative enforcement of parking rules, which would be handled by Allpro. The parking violation schedule, which will mirror the parking violation schedule currently used at the MIC, will include the following.

- A \$15 violation will be issued for non-payment of the required parking fee or if a vehicle is not parked head in, parked improperly/taking two spaces, or parked in a snow emergency space.
- All violators will have their license plate entered into a violation database. License plate removal from the database occurs upon satisfying all violations due to a successful appeal.
- Violation payments will be made at the parking pay stations (cash or credit accepted) within 14 calendar days. Failure to pay within 14 days will result in a \$25 late payment fee.
- After the 14-day period, vehicles will be immobilized (booted) if there is a prior outstanding violation. There is a separate \$40 boot removal fee to have the car mobilized. As such, violators pay a total of \$65 (\$40 boot removal fee + \$25 late payment fee).
- A vehicle may be towed if it is parked in a fire lane, handicapped space, drive aisle, or parking in a space with time expired for more than 48 hours.
- Violators have the right to appeal a violation.

The proposed parking rates in the Westbury garage are considered reasonable and, although slightly higher than previously charged at the station, provide the added benefit of a covered and secure parking facility that includes CCTVs and Help Points for LIRR customers. The new garage is conveniently located on the westbound side of the station and will be the primary commuter parking at the station

Impact on Funding:

Proposed Westbury Garage expenditures and revenue are budgeted in the current financial plan.

Alternatives: The LIRR/MTA may choose to charge the same fees in Westbury as they do in the Ronkonkoma Parking Garage and the Wyandanch Parking Facility. The daily rates at those facilities are as follows:

Monday-Sunday Rates:

0-20 hours: \$5.00

20-24 hours: \$10.00 (10-day max)

Short-Term Parking (up to 6 hours): Flat fee of \$3.00.

Note: The cost to commute from Westbury (fare zone 7) to City terminals is less than Wyandanch (fare zone 9) and Ronkonkoma (fare zone 10).

Recommendation: The MTA LIRR recommends that the MTA Board approve this request to establish the same parking fees and violation fees at the Westbury Parking Garage as those charged Monday through Friday at the Mineola Intermodal Center.



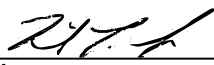
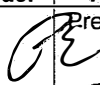
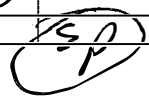
Long Island Rail Road

INFORMATION

ITEMS

Staff Summary



Subject WINTER TRACKWORK PROGRAMS & SCHEDULE ADJUSTMENTS						Date December 30, 2020			
Departments SR. VICE PRESIDENT – OPERATIONS						Vendor Name			
Department Head Names R: FREE						Contract Number			
Department Head Signature 						Contract Manager Signature			
Board Action						Internal Approval			
Order	To	Date	Approval	Info	Other	Order	Approval	Order	Approval
1	MTA Joint & Committee Meeting	1/21/21				3	VP – Corp Comm	1	President 
						2	CTO (Acting)		

PURPOSE:

This is to inform the Long Island Committee of the MTA Long Island Rail Road’s plan to adjust schedules for a Signal Cutover to support Jamaica Capacity Improvements, Third Rail State of Good Repair Work on the Atlantic Branch, a Rail Drop on the Port Washington Branch, and a Signal Cutover of the New Nassau 1 Interlocking in support of the Main Line Expansion Project.

On January 25th, the LIRR will introduce new schedules in order to operate more efficiently while meeting shifting customer travel patterns. Service will be adjusted on the Oyster Bay, Huntington, Port Washington, Ronkonkoma, Babylon, Hempstead, Far Rockaway and Long Beach branches.

TRACK WORK PROGRAMS

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

- **Port Washington Branch Rail Drop between Mets Willets Point and Bayside** – On the weekends of January 30-31 and February 13-14, one of the two main tracks between Mets Willets Point and Bayside on the Port Washington Branch will be out of service to support the layout of Continuous Welded Rail for upcoming rail replacement.
 - **Temporary Service Adjustments:** With one of the two main tracks out of service between Mets Willets Point and Bayside on the weekends of January 30-31 and February 13-14, Port Washington Branch service will be reduced to hourly for a period of approximately 30 hours.

- **Atlantic Branch – Signal Cutover, State of Good Repair Work** – Multiple projects will be piggybacking work on the Atlantic Branch between Jamaica and Atlantic Terminal in Brooklyn on

the weekend of February 13-14, resulting in both Main Tracks being out of service during operating hours.

- **Temporary Service Adjustments:** As a result of the multiple projects coordinating their work along the Atlantic Branch between Jamaica and Atlantic Terminal in Brooklyn on the weekend February 13-14, both Main Tracks will be out of service during operating hours, and there will be no service between Jamaica Station and Atlantic Terminal in Brooklyn. Customers may opt to travel via Penn Station and/or subway services with cross-honoring anticipated. During the course of the weekend, a Signal Cutover in Dunton Interlocking in Jamaica will be performed in support of Jamaica Capacity Improvements and Third Rail State of Good Repair Work will be performed as well.

- **Main Line – Signal Cutover** – On the weekend of February 20-21, both main tracks on the Main Line will be out of service for 48 hours between New Hyde Park and Hicksville for a Signal Cutover of the New Nassau 1 Interlocking as part of the Main Line Expansion Project.
 - **Temporary Service Adjustments:**
 - Eastbound, no MU service will operate between Penn Station and Hicksville, and two-hourly Oyster Bay Branch diesel service will operate between East Williston and Oyster Bay. For Eastbound customers from western terminals traveling to Ronkonkoma Branch stations Farmingdale through Ronkonkoma, and to Port Jefferson Branch stations Hicksville through Huntington/Port Jefferson, customers will board electric MU express service to Babylon, where they will transfer to diesel shuttle trains operating between Babylon and Hicksville via the Central Branch, then transfer at Hicksville to trains operating to either Ronkonkoma or Huntington/Port Jefferson. Eastbound Bethpage customers will board the electric MU express service to Babylon, then transfer to the diesel shuttle train, which will stop at Bethpage on its way to Hicksville.
 - Westbound, no electric MU service will operate between Hicksville and Penn Station, and two-hourly Oyster Bay Branch diesel service will operate between Oyster Bay and East Williston. For Westbound customers on the Ronkonkoma Branch travelling from stations Ronkonkoma through Farmingdale, and on the Port Jefferson Branch for stations Port Jefferson/Huntington through Hicksville, customers will board trains at their station to Hicksville, where they will transfer to diesel shuttle trains operating between Hicksville and Babylon via the Central Branch, then transfer at Babylon to express trains for western terminals. Westbound Bethpage customers will board the diesel shuttle train to Babylon, then transfer at Babylon to express trains for western terminals.
 - *Extra trains will be added between New York and Babylon to connect with shuttle trains between Babylon and Hicksville.*
 - *Extra trains will be added between Hempstead and Penn Station to serve as an alternative service option for customers traveling to/from New Hyde Park, Merillon Avenue, Mineola, Carle Place, and Westbury.*
 - *Bus service will be provided for Mineola customers between Mineola and Hempstead for connections to and from points west.*

- *Bus service will also be provided between Mineola and Hicksville.*
- *Oyster Bay Branch trains will operate between Oyster Bay and East Williston, with bus service provided between Mineola and Hempstead for connections to and from points west.*
- *There will be normal weekend service intervals on the Montauk, Long Beach, Far Rockaway, Port Washington, and West Hempstead Greenport Branches, but on adjusted schedules. Train service will operate between Ronkonkoma and Greenport, but on adjusted schedules.*

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, by signing up for E-Alerts at 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

Information Items

2020 4th Quarter (Final) Maintenance of Way Division

Track, Structures, Stations & Facilities

Metro-North Railroad

December 31, 2020



Track Projects Systemwide

Production Tie Replacement – 1,758,250 systemwide wood ties (30,000 ties planned)

□	Hudson Line	8,650 ties planned	0 installed	0%
□	New Haven	9,600 ties planned	22,504 installed	234%
□	Danbury	7,150 ties planned	14,328 installed	200%
□	Waterbury	2,600 ties planned	8,004 installed	308%
□	New Haven (SmarTrack)	2,000 ties planned	634 ties installed	32% of goal
	Total 2020	30,000 ties planned	44,836 ties installed	149% of goal

Rail Vac (Wood Ties) – 4,000 ties planned

□	GCT	141 ties installed	
□	Hudson	3,175 ties installed	
□	Harlem	166 ties installed	
□	New Haven	1,245 ties installed	
□	Danbury	109 ties installed	
□	Waterbury	56 ties installed	
	Total 2020	4,892 ties installed	122% of goal

Rail Replacement – 1,508 rail miles systemwide (7 miles planned)

□	Hudson Line	4 miles planned	6.4 installed	159% complete
□	New Haven	3 miles planned	3.2 installed	108% complete
	Total 2020	7 miles planned	9.6 installed	137% of goal

*All subject to change due to current events



❑ **Welds (2,000 joints planned)**

❑ GCT	2	joints completed
❑ Hudson Line	387	joints completed
❑ Harlem Line	460	joints completed
❑ New Haven	769	joints completed
❑ West Of Hudson	8	joints completed
Total 2020	1,626	joints completed 81% of goal

❑ **Loram Rail Grinder (80 miles planned, Deferred 2021)**

❑ Hudson Line	12	miles planned	0	complete	0%
❑ Harlem	7	miles Planned	0	complete	0%
❑ New Haven	61	miles planned	0	complete	0%
Total 2020	80	miles planned	0	complete	0% of goal

❑ **Switch Renewal - 1,500 Switches systemwide (33 switches planned)**

❑ GCT	8 switches	planned	9	switches completed	113% complete
❑ Hudson	4 switches	planned	1	switches completed	25% complete
❑ Harlem	11 switches	planned	10	switches completed	91% complete
❑ New Haven	10 switches	planned	11	switches completed	110% complete
❑ *Waterbury			5	switches completed	100% complete
Total 2020	33 switches	planned	36	switches completed	109% of goal

*All subject to change due to current events



▣ **Grade Crossing Renewal – 111 Grade Crossings systemwide (9 crossings planned)**

▣ Harlem Line	4	Crossings planned	2	complete	50%
▣ New Haven					
▣ Danbury	4	Crossings planned	4	complete	100%
▣ Waterbury	1	Crossings planned	0	complete	0%
Total 2020	9	Crossings planned	6	complete	67% of goal

▣ **Surfacing - 754 track miles systemwide (90 miles planned, including Production Tie Gang)**

▣ Hudson Line	22	miles planned	23.4	completed	
▣ Harlem Line	6	miles planned	9.1	completed	
▣ New Haven - NY	17	miles planned	12.6	completed	
▣ New Haven - CT	39	miles planned	25.9	completed	
▣ New Haven - WTBY	5	miles planned	8.6	completed	
▣ New Haven - Danbury	1	miles planned	15.2	completed	
Total 2020	90	miles planned	94.9	completed	105% of goal



*All subject to change due to current events

□ **Ultrasonic Rail Testing (1,480 track miles planned - 2 runs per year)**

- 1,771 track miles completed in 2020
- **Sperry Rail**
 - Total defects corrected from 2020 testing : 162
- **DPR**
 - Total defects corrected from 2020 testing : 24
- **Ensco Geometry (2x per year)** Contracted for 6 tests over 3 years
 - 1st run completed June 2020
 - 2nd run completed December 2020

□ **GCT Station Track Rehabilitation (44 Platforms systemwide, 4 Platforms Planned)**

- **Track 13 (85% complete)**
 - 100 bracket ties, 400 block ties, New Ballast and Surfacing
 - Rail will be changed when regular work schedule resumes
- **Track 15 (85% complete)**
 - 70 bracket ties, 339 block ties, 375 tons of new ballast, replaced 3rd rail brackets
 - Rail will be changed when regular work schedule resumes
- **Track 16 (75% complete)**
 - 108 bracket ties, 1241 block ties, 2,368 ft of rail
- **Track 114 (0% complete)**
 - Deferred 2021

*All subject to change due to current events



▣ Direct Fixation Fasteners, Park Ave Viaduct & Trainshed Repairs 31,584 Fasteners systemwide

- ▣ Park Avenue Viaduct – replaced 31,584 fasteners with new fastening system (Tk 4 – 100%, Tk 2 – 100% Tk 1 – 100%, Tk 3 – 100%, Overall – 100%) **(Complete)**

▣ GCT Trained

- ▣ Repoint of brick tunnel and circular arch brick vents (Track 3, 66th street to 95th street) (90% Complete)

▣ Overhead Bridge Program (NY) Bridge Flag Repairs (Harlem, Hudson New Haven-NY/Port Jervis Line)

- ▣ Typical repairs include replacing deteriorated members, rebuilding deteriorated bridge seats, repairing abutment walls, repairing load bearing supports timber deck replacements.
 - ▣ Hudson 5.19 East 144th Street - Steel Repairs (0% complete)
 - ▣ Hudson 21.05 Bible Truss – Flag Repairs (10% complete)
 - ▣ NH 16.37 Centre Ave – Flag Repair (10% complete)
 - ▣ NH 20.73 Hillside Ave – Flag Repairs (0% complete)
 - ▣ NH 21.91 Broadway – Flag Repairs (100% complete)

***All subject to change due to current events**



□ Bridge Timbers (NY only – 757 timbers planned; 385 timbers completed)

□ HAR 19.35 Bronx River Tks 1	152	timbers	100% complete
□ NH 20.37 Mamaroneck Ave Tks 4	60	timbers	100% complete
□ NH 25.54 Westchester Ave Tks 4	57	timbers	100% complete
□ NH 25.68 King Street Tk 4	20	timbers	100% complete
□ NH 25.94 North Main Street 4	25	timbers	20% complete
□ PJ – JS 32.06 Ramapo River Tk 1 & 2	0	timbers	0% complete
□ PJ – JS 45.40 Ramapo River Tk 1	45	timbers	100% complete
□ PJ - Moodna Viaduct	26	timbers	100% complete
□ Beacon 13.06 Fishkill Creek Tk 1	0	timbers	0% complete
Total 2020	385	timbers completed	51% completed

□ Harlem River Lift Bridge Miter Rail Replacement

- Fabricate 120 steel ties (100% complete)
- Install 120 steel ties (100% complete)
- Install tracks 1- 4 expansion and thick web miter rails (95% complete)



***All subject to change due to current events**

□ NY Undergrade Bridge Repair Program

- Hudson
 - Grand Central Terminal (MP 1.0) – Flag Repairs (15% complete)
 - Park Ave Viaduct (MP 3.01) – Masonry Arch Repairs, Waterproofing (45% complete)
 - Park Ave Viaduct (MP 3.01) – Flag Repair (0% complete)
 - Culvert (MP 56.29) – Repairs (15% complete)
 - Stream (MP 60.01) – Flag Repair (60% complete)
 - Wappinger Falls (MP 64.79) – Flag Repairs (40% complete)
- Harlem
 - Bronx River (MP 14.57) – Flag Repairs (100% complete)
- Port Jervis
 - Ramapo River (MP 32.06 JS) – Flag Repairs (95% complete)
 - Pond Brook (MP 33.94 JS) – Flag Repairs (95% complete)
 - Ramapo River (MP 42.77 JS) – Flag Repairs (30% complete)
 - Laura Lane (MP 47.73) – Flag Repairs (95% complete)
 - Moodna Creek (MP 55.03) – Flag Repairs (95% Complete)
 - Shea Road (MP 63.04) – Masonry Repairs (70% Complete)

***All subject to change due to current events**



CT Bridge Projects

▣	Bridge Timbers (CT only – 1,530 timbers planned ; 1,256 timbers completed)			
▣	NH 29.68 Lukes Crossing Tk 3	0	timbers	0%
▣	NH 32.84 Rippowam River Tk 1	100	timbers	100%
▣	NH 33.75 Elm Street Tk 2	54	timbers	100%
▣	NH 34.17 East Main Street Tk1	93	timbers	100%
▣	NH 34.72 Hamilton Ave Tk 4	47	timbers	100%
▣	NH 40.89 Franklin (Spring Street) Tks 1 & 2	0	timbers	0%
▣	NH 54.77 Warren Street Tk 2	0	timbers	0%
▣	NH 54.84 Lafayette Street Tk 2	0	timbers	0%
▣	NH 54.93 Broad Street Tk 2	61	timbers	100%
▣	NH 56.20 East Main Street Tk 3	0	timbers	0%
▣	NH 57.46 Bishop Ave Tks 1	50	timbers	0%
▣	NH 57.62 Bruce Ave Tk 2	31	timbers	0%
▣	NH 59.96 East Main Street Tk 3	39	timbers	100%
▣	WB 8.62 Naugatuck River	240	timbers	100%
▣	WB 10.31 Naugatuck River	232	timbers	100%
▣	WB 14.64 Naugatuck River	309	timbers	100%
▣	Total 2020	1,256 Timbers Completed		82% completed



*All subject to change due to current events

□ S-Program (New Haven – CT only)

- Elm Street (NH 33.75) – Steel repairs (45% complete)
- Hamilton Ave (NH 34.72) – Steel repairs (100% complete)
- Mill River (NH 49.66) – Steel repairs (0% complete)
- Park Ave (NH 54.58) – Steel repairs (70% complete)
- Pembroke Ave (NH 56.35) – Steel repairs (85% complete)
- Washington Ave (NH 70.36) – Steel repairs (100% complete)
- Spillway (WB 11.36) – Steel Repairs (100% complete)
- Maple Street (WB 21.74) – Steel Repairs (100% complete)
- Jackson Street (WB 26.5) – Steel repairs (100% complete)
- Naugatuck River (WB 10.3) – Steel repairs (80% complete)
- Norwalk River (DB 11.55) – Steel and masonry repairs (100% complete)



***All subject to change due to current events**

- ▣ **Cos Cob NH 29.90 (Greenwich, CT)**
 - ▣ Mitre Rail Replacement, bridge timbers and new walkway (Track 3)
 - ▣ Fabricated/install steel ties, install expansion and thick web miter rails (100% complete)
 - ▣ Install 224 bridge timbers (Track 3) (100% complete)
- ▣ **Right of Way Fence**
 - ▣ Installed/repaired 1,250' ft of fence throughout systemwide
- ▣ **Graffiti Removal Program**
 - ▣ Hudson & Harlem - cleaned graffiti off various buildings, bridges, retaining walls & rock cuts

***All subject to change due to current events**



Subject Request for Authorization to Award Various Procurements					Date January 8, 2021				
Department Procurement and Material Management					Vendor Name Various				
Department Head Name Anthony Gardner, Senior Director <i>AG</i>					Contract Number Various				
Department Head Signature					Contract Manager Name Various				
Project Manager Name					Table of Contents Ref #				
Board Action									
Order	To	Date	Approval	Info	Other	Internal Approvals			
1	MTA Joint Committee/ Board Meeting	1-21-21	x			Order	Approval	Order	Approval
						x	President <i>CAR</i>		
Internal Approvals (cont.)									
Order	Approval	Order	Approval	Order	Approval	Order	Approval	Order	Approval

PURPOSE:

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

DISCUSSION:

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

	<u># of Actions</u>	<u>\$ Amount</u>
Schedules <u>Requiring Two-Thirds Vote (or more, where noted)</u>	NONE	
Schedules <u>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)	1	TBD
• Request to Use the RFP Process		
<u>Schedules Requiring Majority Vote</u>	NONE	
SUB TOTAL:	1	TBD

MNR presents the following procurement actions for Ratification:

<u>Schedules Requiring Two-Thirds Vote (or more, where noted)</u>	NONE	
<u>Schedules Requiring Majority Vote</u>	NONE	
SUB TOTAL:		
TOTAL:	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.

2021

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 **TBD** **Staff Summary Attached**
Maintenance, Inspection and Repair Services for MNR and LIRR Escalators

Metro-North Railroad ("MNR") 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, for solicitation of maintenance, inspection and repair services for a total of 53 escalators for MNR and Long Island Rail Road ("LIRR") combined.

MNR and LIRR collectively the "Railroads", require on-going maintenance, inspection and repair services for MNR's 15 escalators located in Grand Central Terminal and 2 located at the White Plains station; and LIRR 's 20 escalators located at various commuter stations and 16 located in Penn Station for a combined total of 53. The selected contractor will provide all labor, materials and equipment necessary to perform equipment assessment, scheduled and unscheduled maintenance, repairs, and planned component replacements to ensure state of good repair, reliability and safety of this critical equipment for customer use

This contract will be funded by the Railroads' Operating Budget.

Staff Summary

Item Number B					
Dept. & Dept. Head Name: Procurement & Material Management, Anthony Gardner, Senior Director					
Division & Division Head Name: Executive Vice President, Susan Doering					
Board Reviews					
Order	To	Date	Approval	Info	Other
1	MTA Joint Committee/ Board Meeting	1-21-21	x		
Internal Approvals					
Order	Approval	Order	Approval		
x	President <i>CAR</i>				

SUMMARY INFORMATION	
Vendor Name TBD	Contract Number TBD
Description Request to use the RFP Process - Maintenance, Inspection and Repair Services for MNR and LIRR Escalators	
Total Amount TBD	
Contract Term (including Options, if any) Five years	
Option(s) included in Total Amount? <input type="checkbox"/> Yes <input checked="" 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 checked="" type="checkbox"/> Operating <input type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other:	

Narrative

I. PURPOSE/RECOMMENDATION:

Metro-North Railroad ("MNR") 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, for solicitation of maintenance, inspection and repair services for a total of 53 escalators for MNR and Long Island Rail Road ("LIRR") combined.

II. DISCUSSION:

MNR and LIRR collectively the "Railroads", require on-going maintenance, inspection and repair services for MNR's 15 escalators located in Grand Central Terminal and 2 located at the White Plains station; and LIRR's 20 escalators located at various commuter stations and 16 located in Penn Station for a combined total of 53. The selected contractor will provide all labor, materials and equipment necessary to perform equipment assessment, scheduled and unscheduled maintenance, repairs, and planned component replacements to ensure state of good repair, reliability and safety of this critical equipment for customer use.

The current contract for these services will expire the third quarter of 2021. Pursuant to the competitive RFP process, the Railroads will award a contract for a five-year term. The RFP selection process will allow the Railroads the ability to evaluate factors such as the contractor's experience, resources, personnel expertise, safety record and cost for maintaining this critical equipment.

III. D/M/WBE INFORMATION:

The MTA Department of Diversity and Civil Rights (DDCR) has assigned 15% MBE, 15% WBE and 6% SDVOB goals for this contract.

IV. IMPACT ON FUNDING:

This contract will be funded by the Railroads' Operating Budget.

V. **ALTERNATIVES:**

The alternative is to use the Invitation for Bid process and award to the lowest responsive and responsible bidder; however, the RFP method will allow the Railroads to consider other factors such as experience, resources, personnel expertise, and safety record.

PROCUREMENT PACKAGE
January 2021








The above picture shows the view from the Long Island Rail Road Concourse at Penn Station looking up at its new entrance at 7th Avenue and 33rd Street which was opened to the public on December 31, 2020. The new entrance gives Penn Station a front door identity on Seventh Avenue as well as providing direct access for customers headed from the street level to the LIRR, as well as to NYC Transit's 1, 2, 3 and A, C, E subway lines.

PROCUREMENTS

The Procurement Agenda this month includes two procurement action for a proposed expenditure of \$3.9M

Staff Summary

Subject Request for Authorization to Award Various Procurement Actions					
Department Contracts					
Department Head Name & Title Steve Plochochi, Sr. Vice President					
Department Head Signature 					
Board Action					
Order	To	Date	Approval	Info	Other
1	MNR and LIRR Joint Committee	1/21/21	X		
2	Board	1/21/21	X		

Date: January 11, 2021			
Internal Approvals			
	Approval		Approval
	Deputy Chief Development Officer, Delivery		President
	Deputy Chief Development Officer, Development		Executive Vice President & General Counsel

PURPOSE

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

DISCUSSION

MTA Construction & Development proposes to award a Competitive Procurement in the following category:

Schedules Requiring Majority Vote

Schedule I Modifications to Purchase and Public Work Contracts	1	\$1,510,000
SUBTOTAL	1	\$1,510,000

MTA Construction & Development proposes to award a Ratification in the following category:

Schedules Requiring Majority Vote

K. Ratification of Completed Procurement Actions	1	\$2,363,601
SUTOTAL	1	\$2,363,601
TOTAL	2	\$3,873,601

Budget Impact:

The approval of these procurement actions will obligate the capital funds in the amounts listed. Funds are available in the capital budget for this purpose.

Recommendation:

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

MTA Construction & Development

BOARD RESOLUTION

WHEREAS, in accordance with Sections 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.

JANUARY 2021

LIST OF COMPETITIVE PROCUREMENTS FOR BOARD APPROVAL

Procurements Requiring Majority Vote:

Schedule I. Modification To Purchase and Public Work Contracts
(Staff Summaries required for all items greater than \$1M)

- | | | | |
|----|---|-------------|-------------------------------|
| 1. | E-J Electric Installation Co
Contract No. CS084.50 | \$1,510,000 | <u>Staff Summary Attached</u> |
|----|---|-------------|-------------------------------|

MTA Construction and Development seeks Board approval to award a contract modification for furnishing and installing approximately 9,500 feet of 500 MCM (ground) stray current drainage cable for the C04 and C05 Traction Power Substations for the East Side Access Project.

Schedule I: Modifications to Purchase and Public Work Contracts

Item Number 1

Vendor Name (& Location) E-J Electric Installation Co. (Long Island City, NY)	Contract Number CS084	AWO/Modification # 50
Description Traction Power Systems Package No. 4	Original Amount: \$ 71,248,884	
Contract Term (including Options, if any) 52 Months	Prior Modifications: \$ 19,002,714	
Option(s) included in Total Amount? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	Exercised Options: \$ -0-	
Procurement Type <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive	Current Amount: \$ 90,251,598	
Solicitation Type <input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input checked="" type="checkbox"/> Other: Modification	This Request \$ 1,510,000	
Funding Source <input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other:	% of This Request to Current Amount: 1.7%	
Requesting Dept/Div & Dept/Div Head Name: East Side Access, R. Troup.	% of Modifications (including This Request) to Original Amount: 28.8%	

Discussion:

This modification is for furnishing and installing approximately 9,500 feet of 500 MCM (ground) stray current drainage cable for the C04 and C05 Traction Power Substations for the East Side Access (“ESA”) Project.

The CS084 Contract for the ESA project includes furnishing and installing two Traction Power Substations (“TPSS”) located within the 63rd Street Tunnel, TPSS C04, located in Manhattan, and TPSS CO5, located in Queens. However, the design for these substations omitted required stray current drainage cable which is needed to prevent traction power from the electrified third rail and negative return rail from impacting adjacent structures. The omission of this cable from the design is considered to be a design error and omission by the General Engineering Consultant and has been referred to the ESA Cost Recovery Panel for further review.

The Contractor submitted a proposal for this work in the amount of \$2,374,731. Negotiations were held and the parties agreed to a cost of \$1,510,000 which is deemed to be fair and reasonable.

In connection with a previous contract awarded to E-J Electric Installation Company (“E-J”), E-J was found to be responsible notwithstanding significant adverse information 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 August 2018. No new SAI has been found relating to E-J and E-J has been found to be responsible.

JANUARY 2021

LIST OF RATIFICATIONS FOR BOARD APPROVAL

Procurements Requiring Majority Vote:

Schedule K. Ratification of Completed Procurement Actions (Involving Schedules E-J)
(Staff Summaries required for items requiring Board Approval)

2.	Tutor Perini Corporation	\$2,363,601	<u>Staff Summary Attached</u>
	Contract No. CS179.403		

MTA Construction and Development requests the Board ratify a retroactive modification for revisions to the Building Management, Fire Command Center, and fire detection/suppression systems for the East Side Access Project.

Schedule K: Ratification of Completed Procurement Actions

Item Number 2



Vendor Name (& Location) Tutor Perini Corporation (Peekskill, New York)	Contract Number		AWO/Modification #		
	CS179		403		
	Original Amount:		\$	333,588,000	
	Prior Modifications:		\$	168,667,837	
	Exercised Options:		\$	216,800,001	
	Current Amount:		\$	719,055,838	
	This Request		\$	2,363,601	
	% of This Request to Current Amount:		0.3 %		
	% of Modifications (including This Request) to Original Amount:		51.2 %		
	Description Systems Facilities Package No. 1				
Contract Term (including Options, if any) 75 Months					
Option(s) included in Total Amount? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A					
Procurement Type <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive					
Solicitation Type <input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input checked="" type="checkbox"/> Other: Modification					
Funding Source <input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other:					
Requesting Dept/Div & Dept/Div Head Name: East Side Access, R. Troup					

Discussion:

Contract CS179 provides the systems for the East Side Access (“ESA”) project, including the fire detection, tunnel ventilation, facility power, signal power, tunnel lighting, building management, and, supervisory control and data acquisition (“SCADA”) systems. This retroactive contract modification is for the following:

1. Additional BMS Points for CM014B

This change is to incorporate into the Building Management System (“BMS”) approximately 600 additional monitoring points to monitor components of the Automatic Temperature Control System for the ESA Concourse, including fire dampers, damper switches, and relays, other components of the fire sprinkler system, tunnel ventilation fans, and Variable Frequency Devices. This change appears to be the result of General Engineering Consultant (“GEC”) design omissions.

2. Grand Central Terminal Combined MNR & LIRR Fire Command Center

Metro North Railroad (“MNR”) and the Long Island Rail Road (“LIRR”) have agreed to create a joint Fire/Incident Command Center that will serve the entire Grand Central Terminal (“GCT”) complex, including both the current GCT, which is currently covered by an existing MNR Fire Command Center, and the new LIRR ESA GCT facility, which was originally to be covered by a new separate Fire Command Center. This consolidation of Fire Command Centers will save on duplication of staff and will streamline interaction with first responders and allow for better coordination of emergency response throughout the facility.

To reconfigure MNR’s existing Fire Command Center as the new joint MNR-LIRR Fire Command Center, the CS179 Contractor must provide fiber optic cable and programming of support network switches and ethernet switches to provide an interface between the LIRR public address/variable message sign (“PA/VMS”) servers and the MNR IT room, and install an LIRR Fire Alarm Control Panel in the new command center. As a result of this change, the wayside (Vanderbilt Taxi Stand) fire command post provided for in the Contract is no longer needed and is being deleted from the Contract, as its functions will be carried out by the consolidated Fire Command Center.

3. Monitor Module in GCT Concourse

There are discrepancies between the numbers and locations of sprinkler valve water flow switches, sprinkler valve tamper switches, and smoke detectors installed by the CM014B Contractor and their number and locations as indicated in the CS179 Contract Documents. This modification addresses those discrepancies by changing the number of fire alarm address modules to be programmed, adding some modules and deleting others, to ensure the proper operation of the fire alarm system. This change also appears to be the result of GEC errors and omissions.

4. GCT Concourse Duct Detectors Control Programming

Certain heat and smoke detectors to be installed by the Contractor in a service corridor in the GCT would, if installed at their original locations as shown in the Contract Documents, become inaccessible for future maintenance once adjacent Contractors installed other utilities within the corridor. A prior Contract modification deleted those heat and smoke detectors and replaced them with heat and smoke detectors at different locations throughout the corridor. However, the work to program the added duct smoke detectors was not included in the scope of the prior modification and is therefore being added now under this modification. The need to relocate and reprogram the heat and smoke detectors appears to be caused by a design error by the GEC.

Cost recovery for the apparent design errors and omissions associated with Items 1, 3 and 4 will be pursued against the GEC as appropriate.

To avoid delay to the Contract Schedule, the President approved retroactive memorandums and on July 7, 2020 the Contractor was directed to proceed with the design work, and then proceed to perform the work for each of the changes discussed above up to a combined not-to-exceed value of \$1,000,000.

The Contractor's proposal for the four changes incorporated in this Modification was \$4,035,949. Negotiations were held and the parties agreed to \$2,363,601 for the direct cost of all work under this Modification, which is deemed to be fair and reasonable.

Integrated Testing of the fire alarm system cannot commence until the changes identified above are completed. The duration of the redesign of the fire alarm system and the subsequent work activities to implement these changes is approximately 8 months. The parties have agreed that this Modification will extend Substantial Completion from July 26, 2021 to February 14, 2022. The MTA and Contractor agreed that this is an Excusable but Non-Compensable Delay.

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



Long Island Rail Road

December 2020 Performance Summary

Robert Free, Acting Senior Vice President – Operations



Island Harvest: LIRR employees donated hundreds of pounds of food to Island Harvest. The food was delivered on December 22, 2020 at Ronkonkoma Station.



Long Island Rail Road

December 2020 Performance Summary

Highlights

The Essential Service Plan ran throughout December 2020 with Modified Peak Service.

On-Time Performance (OTP) for the month of December closed at **95.6%**, which is above the monthly goal of 94.0%.

2020 year-to-date OTP was **95.9%**, which is an increase of **3.5** percentage points as compared to last year.

Branch Performances

Ten out of eleven branches on the Long Island Rail Road operated at or above goal for the month of December. All branches are above goal year to date.

Delays

There were thirteen incidents this month that resulted in ten or more late/cancelled/terminated trains. On December 16, 2020, Winter Storm Gail made its way through the New York area. An enhanced weekend service plan was implemented on Thursday December 17, 2020 to allow for cleanup and safe operations. Over the three-day storm period, the LIRR sustained 263 late/canceled/terminated trains. The average delay was 16.1 minutes.

Consist Compliance

100% of our trains met established consist requirements during the peak periods for the month of December.

Equipment Performance

The LIRR fleet MDBF operated at 224,684 in November and exceeded the goal. It also performed better, year to date, than the same period last year.



**OPERATING REPORT
FOR MONTH OF DECEMBER 2020**

Performance Summary

Performance Summary	System	Overall	2020 Data			2019 Data	
			Annual	YTD thru		YTD thru	
			Goal	December	December	December	December
On Time Performance <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i>		Overall	94.0%	95.6%	95.9%	92.7%	92.4%
		AM Peak		96.4%	94.2%	90.2%	91.1%
		PM Peak		93.4%	94.7%	91.5%	90.9%
		Total Peak		95.0%	94.4%	90.8%	91.0%
		Off Peak Weekday		94.6%	96.0%	92.0%	92.2%
		Weekend		98.3%	97.1%	96.1%	94.5%
	Babylon Branch	Overall	93.9%	96.0%	96.4%	91.7%	92.8%
		AM Peak		97.8%	94.7%	89.6%	92.1%
		PM Peak		93.3%	95.4%	90.3%	90.8%
		Total Peak		95.7%	95.0%	89.9%	91.5%
	Off Peak Weekday		95.2%	96.9%	91.5%	92.9%	
	Weekend		98.4%	96.8%	95.2%	94.3%	
Far Rockaway Branch	Overall	96.6%	97.7%	98.0%	96.1%	96.6%	
	AM Peak		98.1%	95.9%	93.1%	92.2%	
	PM Peak		95.8%	97.5%	96.8%	97.2%	
	Total Peak		97.0%	96.7%	94.8%	94.5%	
	Off Peak Weekday		97.1%	98.1%	95.6%	96.6%	
	Weekend		99.8%	98.9%	98.4%	98.6%	
Huntington Branch	Overall	92.5%	95.2%	94.9%	91.5%	89.9%	
	AM Peak		97.6%	94.0%	92.7%	90.7%	
	PM Peak		90.1%	90.4%	85.7%	85.5%	
	Total Peak		93.9%	92.2%	89.3%	88.2%	
	Off Peak Weekday		93.2%	95.1%	89.2%	88.4%	
	Weekend		99.1%	96.9%	96.0%	93.8%	
Hempstead Branch	Overall	96.5%	95.1%	96.6%	91.3%	92.9%	
	AM Peak		95.8%	96.1%	89.5%	92.6%	
	PM Peak		94.0%	93.4%	91.5%	89.8%	
	Total Peak		95.0%	94.8%	90.5%	91.3%	
	Off Peak Weekday		93.5%	96.4%	90.4%	92.7%	
	Weekend		98.5%	98.1%	93.9%	94.7%	
Long Beach Branch	Overall	95.9%	97.3%	96.5%	92.8%	94.6%	
	AM Peak		97.8%	95.6%	86.5%	92.7%	
	PM Peak		96.7%	95.8%	94.4%	95.0%	
	Total Peak		97.3%	95.7%	90.3%	93.8%	
	Off Peak Weekday		96.7%	96.4%	93.0%	94.9%	
	Weekend		98.7%	97.4%	95.5%	95.1%	
Montauk Branch	Overall	90.8%	93.8%	93.9%	93.0%	88.1%	
	AM Peak		84.4%	89.4%	85.1%	87.9%	
	PM Peak		94.3%	94.3%	90.7%	87.1%	
	Total Peak		88.5%	91.5%	87.8%	87.6%	
	Off Peak Weekday		94.3%	95.0%	93.7%	89.5%	
	Weekend		96.2%	93.4%	95.7%	86.3%	
Oyster Bay Branch	Overall	94.1%	97.2%	96.1%	94.5%	93.0%	
	AM Peak		98.4%	95.2%	93.2%	91.9%	
	PM Peak		90.5%	94.1%	96.0%	89.4%	
	Total Peak		95.2%	94.8%	94.5%	90.7%	
	Off Peak Weekday		97.6%	95.9%	94.8%	93.0%	
	Weekend		98.8%	98.0%	93.9%	96.0%	

Performance Summary		2020 Data			2019 Data	
		Annual	YTD thru		YTD thru	
		Goal	December	December	December	December
Port Jefferson Branch	Overall	90.9%	92.1%	92.7%	89.5%	87.6%
	AM Peak		93.2%	91.2%	89.9%	87.4%
	PM Peak		91.2%	90.3%	89.1%	86.3%
	Total Peak		92.2%	90.7%	89.5%	86.9%
	Off Peak Weekday		90.4%	91.7%	84.8%	85.2%
	Weekend		95.2%	97.3%	98.2%	93.6%
Port Washington Branch	Overall	95.3%	95.6%	97.1%	94.0%	93.9%
	AM Peak		97.2%	96.6%	91.5%	93.8%
	PM Peak		93.9%	96.6%	89.5%	92.0%
	Total Peak		95.5%	96.6%	90.5%	92.9%
	Off Peak Weekday		94.2%	97.0%	93.9%	93.0%
	Weekend		98.8%	97.8%	97.6%	97.1%
Ronkonkoma Branch	Overall	91.6%	93.9%	94.3%	91.6%	90.3%
	AM Peak		95.8%	91.1%	90.0%	87.3%
	PM Peak		93.8%	94.7%	94.9%	91.4%
	Total Peak		94.9%	92.7%	92.2%	89.1%
	Off Peak Weekday		92.0%	93.8%	89.4%	89.5%
	Weekend		97.2%	97.3%	95.7%	94.0%
West Hempstead Branch	Overall	95.8%	97.3%	97.6%	96.2%	96.3%
	AM Peak		97.6%	95.1%	90.5%	90.4%
	PM Peak		94.3%	97.1%	95.2%	95.1%
	Total Peak		95.8%	96.2%	93.1%	92.9%
	Off Peak Weekday		97.7%	97.8%	98.0%	97.5%
	Weekend		98.1%	98.7%	96.1%	98.2%
Operating Statistics	Trains Scheduled		19,746	230,234	21,019	249,244
	Avg. Delay per Late Train (min) <small>excluding trains canceled or terminated</small>		-14.6	-12.4	-10.2	-11.7
	Trains Over 15 min. Late <small>excluding trains canceled or terminated</small>		228	1,579	163	2,868
	Trains Canceled		60	988	30	757
	Trains Terminated		62	408	28	537
	Percent of Scheduled Trips Completed		99.4%	99.4%	99.7%	99.5%
Consist Compliance <i>(Percent of trains where the number of seats provided was greater than or equal to the required number of seats per loading standards)</i>	AM Peak		100.0%			
	PM Peak		100.0%			
	Total Peak		100.0%			

System Categories Of Delay	% Total	2020	2020 Data		2019 Data		YTD 2020 Vs 2019
		Nov	Dec	YTD Thru Dec	Dec	YTD Thru Dec	
Engineering (Scheduled)	4.6%	8	40	380	68	627	(247)
Engineering (Unscheduled)	25.7%	282	226	1,781	261	2,790	(1,009)
Maintenance of Equipment	8.7%	76	76	981	213	1,932	(951)
Transportation	1.1%	12	10	281	21	455	(174)
Capital Projects	1.8%	51	16	742	99	1,287	(545)
Weather and Environmental	34.2%	220	300	1,623	238	1,643	(20)
Police	10.6%	100	93	1,105	92	2,204	(1,099)
Customers	4.8%	39	42	1,109	314	4,403	(3,294)
Special Events	0.0%	-	-	34	84	1,071	(1,037)
Other	4.9%	58	43	740	54	1,324	(584)
3rd Party Operations	3.6%	65	32	583	90	1,240	(657)
Total	100.0%	911	878	9,359	1,534	18,976	(9,617)

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

Date	Day	DESCRIPTION OF EVENT	AM Peak			PM Peak			Off Peak			TOTAL		
			L	C	T	L	C	T	L	C	T	Late	Cxld	Term
8-Dec	Tue	Track condition in Harold Interlocking							10			10		
14-Dec	Mon	Loss of Supervisory System in PSCC				48		6	18	4	11	66	4	17
15-Dec	Tue	Loss of Supervisory System in PSCC				1			12			13		
15-Dec	Tue	Trespasser fatality at Carle Place Station							10		2	10		2
16-Dec	Wed	Track condition west of Mastic-Shirley Station	9	1					1			10	1	
16-Dec	Wed	Track work between Jamaica and Atlantic Ave Stations									10			10
16-Dec	Wed	Amtrak related switch trouble				10			4			14		
16-Dec	Wed	Winter Storm Gail				37	4	1	90	4		127	8	1
17-Dec	Thu	Winter Storm Gail							84	16	1	84	16	1
18-Dec	Fri	Winter Storm Gail	6			4			15	1		25	1	
21-Dec	Mon	Trespasser fatality west of East New York Station	3	1	13				2		8	5	1	21
21-Dec	Mon	Switch trouble in Queens Interlocking				7			3			10		
22-Dec	Tue	Weather related switch trouble in Queens Interlocking	8						4			12		
TOTAL FOR MONTH			26	2	13	107	4	7	253	25	32	386	31	52
													469	

Long Island Rail Road

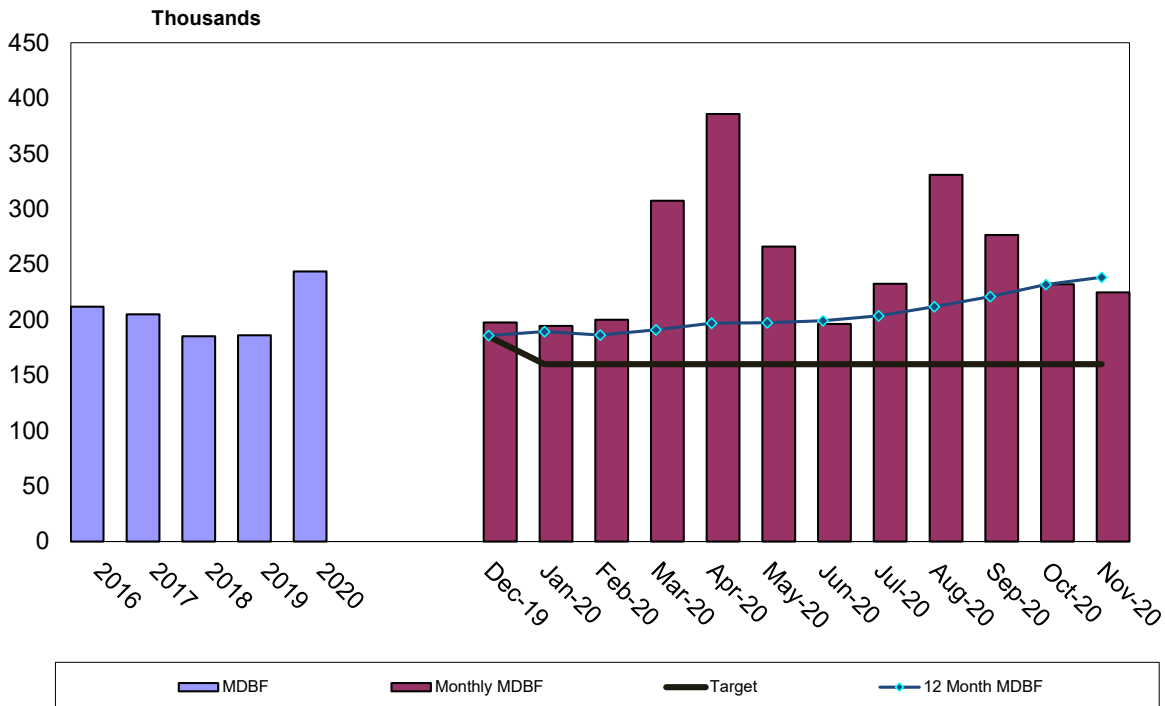
MEAN DISTANCE BETWEEN FAILURES - NOVEMBER 2020

	Equip-ment Type	Total Fleet Owned	2020 Data					2019 Data		
			MDBF Goal (miles)	November MDBF (miles)	November No. of Primary Failures	YTD MDBF thru November (miles)	12 month Rolling Avg MDBF (miles)	November MDBF (miles)	November No. of Primary Failures	YTD MDBF thru November (miles)
Mean Distance Between Failures	M-3	142	60,000	21,180	0	76,980	69,752	54,165	10	63,458
	M-7	836	360,000	394,053	12	462,922	463,751	331,322	15	388,334
	M-9	64	180,000	292,987	1	311,121	324,608	78,256	1	174,200
	C-3	134	103,000	215,438	3	126,786	126,174	173,614	4	123,934
	DE	24	19,000	20,913	4	22,893	22,451	13,884	7	21,067
	DM	21	19,000	11,505	6	25,662	26,316	62,663	0	22,985
	Diesel	179	51,000	61,461	13	70,911	70,671	77,665	11	66,864
	Fleet	1,221	160,000	224,684	26	243,616	238,412	174,163	37	184,823

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.

Note: Since M3 in Nov-20 and DM in Nov-19 had no primary failures, actual miles are shown on the chart above.

ALL FLEETS Mean Distance Between Failure 2016 - 2020





Standee Report

East Of Jamaica

			2020 Data	
			December	
			AM Peak	PM Peak
Daily Average	Babylon Branch	Program Standees	0	0
		Add'l Standees	0	0
			0	0
			Total Standees	0
	Far Rockaway Branch	Program Standees	0	0
		Add'l Standees	0	0
			0	0
			Total Standees	0
	Huntington Branch	Program Standees	0	0
		Add'l Standees	0	0
			0	0
			Total Standees	0
	Hempstead Branch	Program Standees	0	0
		Add'l Standees	0	0
			0	0
			Total Standees	0
	Long Beach Branch	Program Standees	0	0
		Add'l Standees	0	0
			0	0
			Total Standees	0
	Montauk Branch	Program Standees	0	0
		Add'l Standees	0	0
			0	0
			Total Standees	0
	Oyster Bay Branch	Program Standees	0	0
		Add'l Standees	0	0
			0	0
			Total Standees	0
	Port Jefferson Branch	Program Standees	0	0
		Add'l Standees	0	0
			0	0
			Total Standees	0
	Port Washington Branch	Program Standees	0	0
		Add'l Standees	0	0
			0	0
			Total Standees	0
	Ronkonkoma Branch	Program Standees	0	0
		Add'l Standees	0	0
			0	0
			Total Standees	0
	West Hempstead Branch	Program Standees	0	0
		Add'l Standees	0	0
			0	0
			Total Standees	0
			0	0
			System Wide PEAK	0

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.



Standee Report

West Of Jamaica

		2020 Data		
		December		
		AM Peak	PM Peak	
Daily Average	Babylon Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Far Rockaway Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Huntington Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Hempstead Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Long Beach Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Montauk Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Oyster Bay Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Port Jefferson Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Port Washington Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Ronkonkoma Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	West Hempstead Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
		System Wide PEAK	0	0

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 DECEMBER 2020**

Elevator Availability		2020		2019	
		December	Year to Date	December	Year to Date
Branch	Babylon Branch	98.5%	99.1%	99.3%	99.2%
	Far Rockaway Branch	99.4%	99.5%	98.7%	98.9%
	Hempstead Branch	99.5%	99.5%	99.3%	99.4%
	Long Beach Branch	99.3%	99.5%	99.1%	99.4%
	Port Jefferson Branch	99.4%	98.9%	99.4%	98.9%
	Port Washington Branch	99.2%	99.0%	99.5%	99.0%
	Ronkonkoma Branch	99.6%	98.8%	99.4%	99.2%
	City Terminal Branch	92.7%	98.1%	99.3%	97.7%
	Overall Average	97.5%	98.8%	99.3%	98.8%

Escalator Availability		2020		2019	
		December	Year to Date	December	Year to Date
Branch	Babylon Branch	98.7%	97.7%	97.4%	97.3%
	Far Rockaway Branch	73.4%	94.4%	98.5%	97.9%
	Hempstead Branch	98.6%	98.1%	99.2%	98.5%
	Long Beach Branch	99.1%	95.0%	91.6%	95.8%
	Port Jefferson Branch	98.3%	97.9%	94.7%	97.4%
	City Terminal Branch	91.7%	93.5%	94.7%	95.9%
	Overall Average	95.2%	95.7%	96.0%	96.7%

Long Island Rail Road Performance Metrics Report

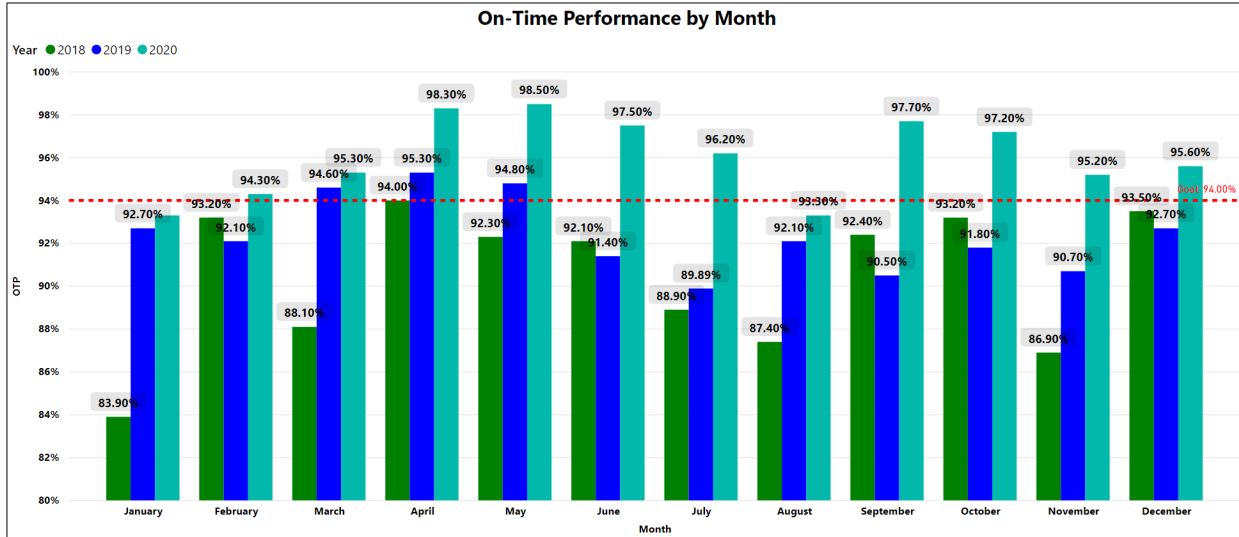


While the LIRR's performance metrics have been affected by the COVID 19 pandemic, this report reflects improvement in all six areas.

On Time Performance

The percentage of trains that arrive at their final destination within 5 minutes and 59 seconds of their scheduled arrival time.

Goal	2020		2019	
	December	YTD	December	YTD
94.0%	95.6%	95.9%	92.7%	92.4%

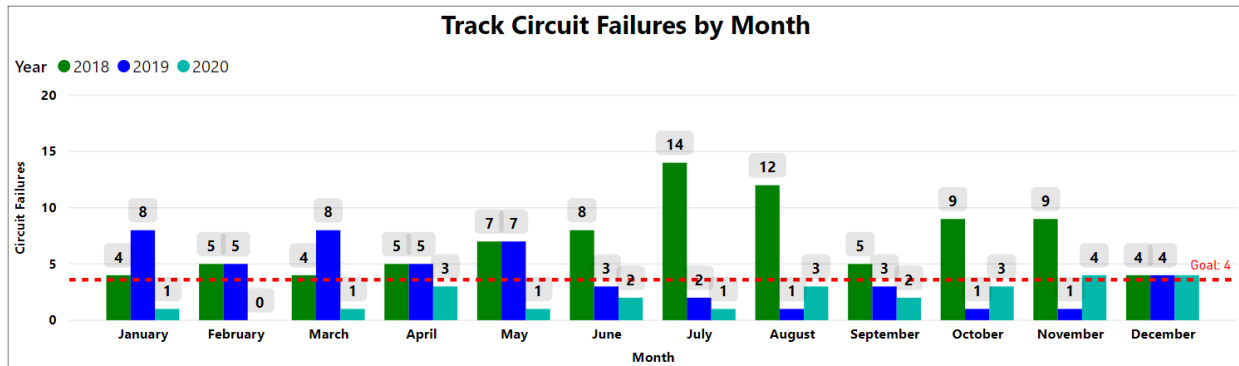


- OTP for December 2020 was 95.6%, which was an increase from December 2019's OTP of 92.7%.

Number of Track Circuit Failures

The number of track circuit malfunctions that result in at least one train delay.

Goal	2020		2019	
	December	YTD	December	YTD
44	4	25	4	48

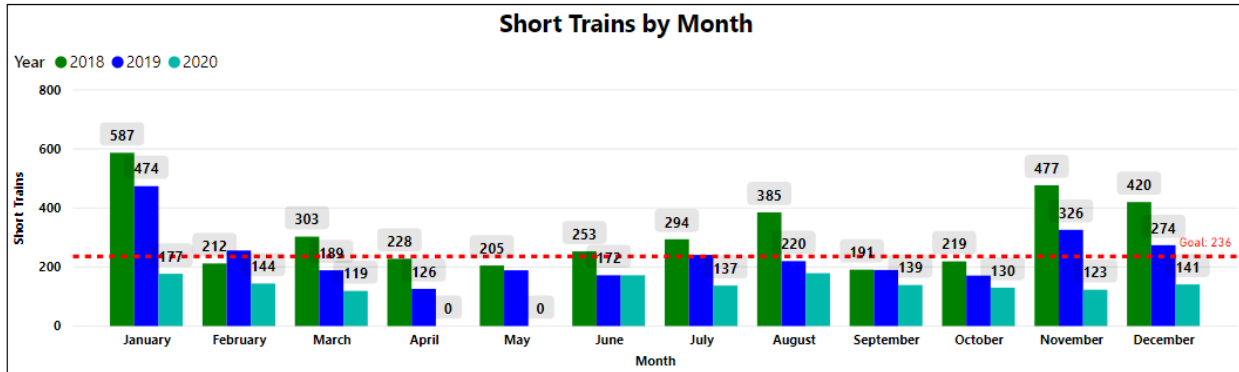


- In December 2020, the LIRR experienced 4 track circuit failures that caused at least 1 delay. In December 2019, the LIRR experienced 4 such failures. Year to date, the LIRR has reduced these failures by 23, from 48 in 2019 to 25 this year, which is a reduction of over 48%.

Number of Short Trains

The total number of AM and PM peak trains that operate with fewer cars than planned.

Goal	2020		2019	
	December	YTD*	December	YTD
2,828 annually	141	1461	274	2828



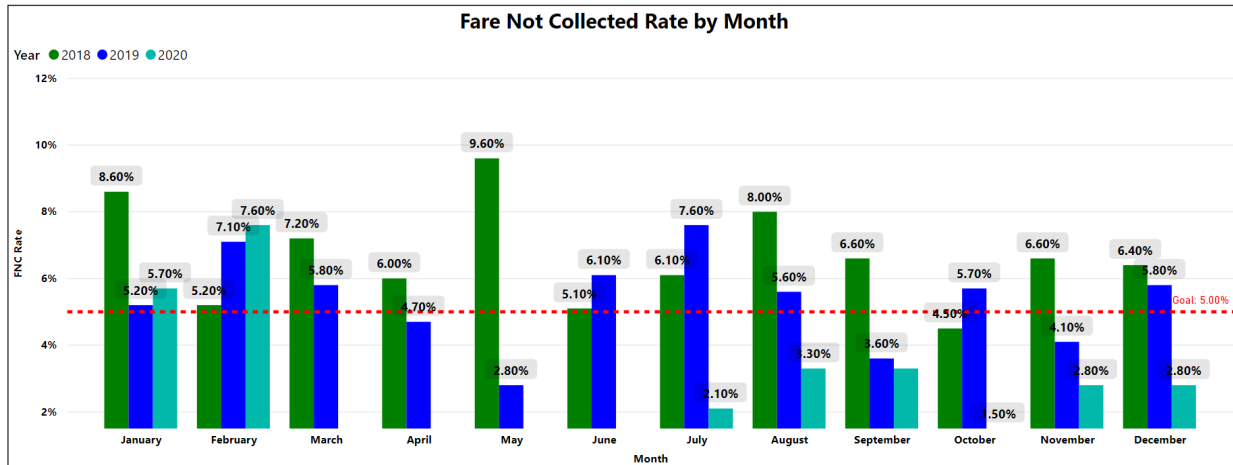
- In December 2020, the LIRR reported 141 short trains, compared with 274 short trains in December 2019.

* The LIRR did not record any short trains in April or May (and a reduced number in March) due to the fact that this metric measures peak trains, and peak train service was suspended at the height of the COVID-19 pandemic. This renders the 2019/2020 YTD comparison less meaningful.

Fare Not Collected Rate

The percent of instances that an MTA Auditor's ticket was not collected.

	2020		2019	
Goal	December	YTD	December	YTD
5.0%	2.8%	4.2%	5.8%	5.3%

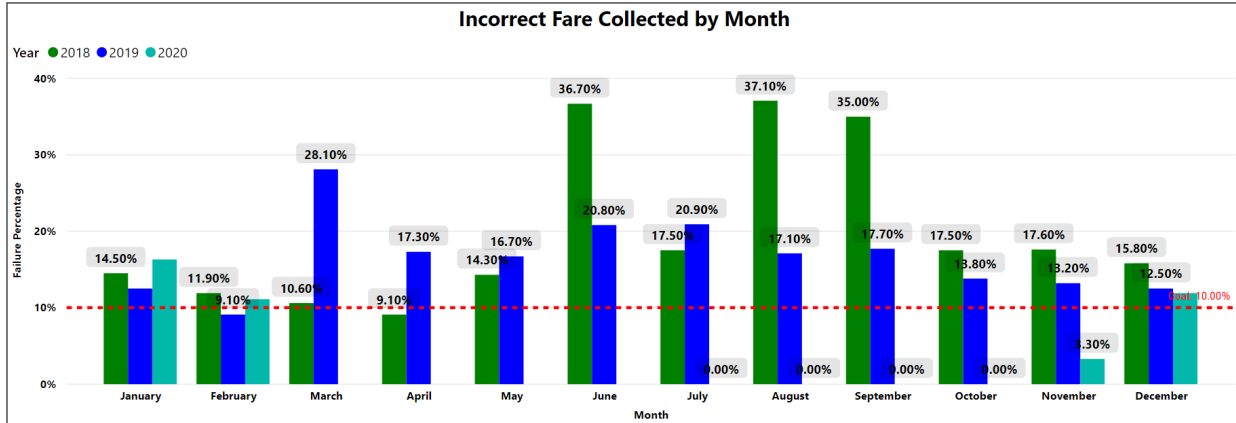


- In July 2020, the LIRR resumed its onboard revenue compliance program utilizing MTA Auditors after suspending it due to the ongoing COVID-19 pandemic March through June. In December 2020, the LIRR reported a Fare Not Collected Rate of 2.8%, this is an improvement over December 2019's Fare Not Collected Rate of 5.8%.
- Since Auditor observations were suspended between March and June, the 2019/2020 YTD comparison is less meaningful.

Incorrect Fare Collected Rate

The percent of instances that an MTA Auditor was encountered by a conductor who either sold an incorrect type of ticket or accepted the incorrect type of ticket.

	2020		2019	
Goal	December	YTD	December	YTD
10.0%	11.9%	9.7%	12.5%	16.4%

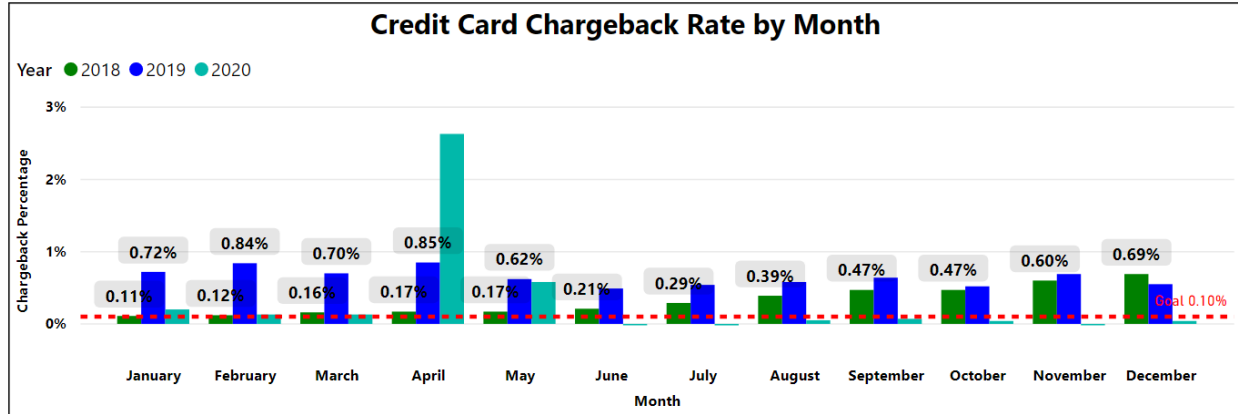


- In July 2020, the LIRR resumed its onboard revenue compliance program utilizing MTA Auditors after suspending it due to the ongoing COVID-19 pandemic March through June. In December 2020, the LIRR reported an Incorrect Fare Collected Rate of 11.9%, this is an improvement over December 2019’s Incorrect Fare Collected rate of 12.5%.
- In July 2020 the LIRR resumed its onboard revenue compliance program utilizing MTA Auditors after suspending it due to the ongoing COVID-19 pandemic March through June. However, since no peak fares are in effect it is less likely that auditors will observe instances of incorrect fare collection, so current month and year-to year comparisons are less meaningful.

Credit Card Chargeback Rate

The percent of instances that a credit card transaction is disputed by the card holder including fraud.

	2020		2019	
Goal	December	YTD	December	YTD
0.10%	0.04%	0.13%	0.55%	0.64%



- In December 2020, the LIRR reported a Chargeback rate of 0.04%, which is a vast improvement over its December 2019 rate of 0.55%. The LIRR made progress towards hitting its 2020 Chargebacks goal of 0.10% but ultimately missed it by a small margin.



Long Island Rail Road

Financial Report Highlights

Preliminary Results December 2020



A new M9 train set stands adjacent to the LIRR's other three fleet types at West Side Yard.



Long Island Rail Road

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 November Forecast and key financial performance indicators.

December YTD 2020 Highlights

- Total revenue of \$1,263.8 million was \$11.1 million higher than the November Forecast. This was primarily due to the timing of reimbursements for capital activity, partially offset by lower farebox revenue.
- Through December 2020 ridership was 30.3 million, which was (66.8)% below 2019 (adjusted for the same number of workdays) and (1.5)% below the November Forecast. Commutation ridership of 14.3 million was (71.8)% below 2019 and (11.9)% below the November Forecast. Non-Commutation ridership of 16.0 million was (60.6)% below 2019 and 10.2% above the November Forecast. As a result, farebox revenue of \$272.4 million was \$(6.1) million lower than the November Forecast.
- Total expenses before non-cash liability adjustments of \$1,919.8 million were \$78.9 million or 3.9% favorable to the November Forecast. The primary drivers of this favorable variance are lower labor expenses as a result of vacant positions and associated fringe costs, lower material usage, overtime, OPEB current, professional services and electricity, partially offset by higher FELA indemnity reserves and bad debt.

Financial results for Year-to-Date (YTD) December 2020 are presented in the table below and compared to the November Forecast.

<u>Category (\$ in Millions)</u>	<u>November Forecast</u>	<u>Prelim Actual</u>	<u>Variance</u>
Total Revenue	\$1,252.8	\$1,263.8	\$11.1
Total Expenses Before Non-Cash Liabilities	1,998.7	1,919.8	78.9
Net Surplus/(Deficit) Before Non-Cash Liabilities	(\$746.0)	(\$656.0)	\$90.0
Other Non-Cash Liabilities	496.9	425.8	71.1
Net Surplus/(Deficit) After Non-Cash Liabilities	(\$1,242.9)	(\$1,081.8)	\$161.1
Cash Adjustments	513.5	410.9	(102.5)
Net Cash Surplus/(Deficit)	(\$729.5)	(\$670.9)	\$58.6

Mark Young

Vice President, Management and Finance



Long Island Rail Road

Financial Report Highlights

NON-REIMBURSABLE SUMMARY

December YTD operating results were favorable by \$161.1 or 13.0% lower than the November Forecast.

Non-Reimbursable revenues through December were \$(5.8) unfavorable to the November Forecast. Farebox Revenue was unfavorable as a result of lower ridership. Other Operating Revenue was favorable due to higher rental revenue, partially offset by lower advertising revenue. Total Non-Reimbursable expenses were \$166.9 favorable due to GASB 75 and GASB 68 expense adjustments not yet recorded in the preliminary actuals, lower labor expenses as a result of vacant positions and associated fringe costs, lower materials, overtime, professional services and OPEB current, partially offset by higher FELA indemnity reserves, depreciation and bad debt.

YTD capital and other reimbursable expenditures (and reimbursements) were \$16.9 higher than the November Forecast due to the timing of capital and other reimbursements.

REVENUE/RIDERSHIP

Year-to-date **Total Revenues** (including Capital and Other Reimbursements) of \$1,263.8 were \$11.1 or 0.9% favorable to the November Forecast.

- **Y-T-D Farebox Revenues** were \$(6.1) unfavorable to the November Forecast due to lower ridership and yield per passenger. Ridership through December was 30.3 million. This was (66.8)% lower than 2019 (adjusted for the same number of calendar workdays) and (1.5)% lower than the November Forecast.
- **Y-T-D Other Operating Revenues** were \$0.3 favorable to the November Forecast due to higher rental revenue, partially offset by lower advertising.
- **Y-T-D Capital and Other Reimbursements** were \$16.9 favorable due to the timing of capital activity and interagency reimbursements.

EXPENSES

Year-to-date **Total Expenses** (including depreciation and other) of \$2,345.6 were favorable to the November Forecast by \$150.0 or 6.0%.

Labor Expenses, \$53.4 favorable Y-T-D.

- **Payroll**, \$36.8 favorable Y-T-D (primarily vacant positions).
- **Overtime**, \$12.2 favorable Y-T-D (primarily lower maintenance, weather-related overtime and scheduled/unscheduled service, partially offset by higher project overtime).
- **Health & Welfare**, \$4.9 favorable Y-T-D (vacant positions).
- **OPEB Current Payment**, \$5.2 favorable Y-T-D (fewer retirees/beneficiaries than projected).
- **Pension**, \$(1.2) unfavorable Y-T-D (based on the current actuarial estimate).
- **Other Fringe**, \$(4.5) unfavorable Y-T-D (primarily higher FELA indemnity reserves, partially offset by lower Railroad Retirement Taxes).



Long Island Rail Road

Financial Report Highlights

Non-Labor Expenses, \$25.5 favorable Y-T-D.

- **Electric Power**, \$2.4 favorable Y-T-D (lower consumption, partially offset by higher rates).
- **Fuel**, \$1.1 favorable Y-T-D (timing of accruals and lower consumption, partially offset by higher rates).
- **Insurance**, \$1.6 favorable Y-T-D (lower force account, liability and property insurance)
- **Claims**, \$1.1 favorable Y-T-D (lower claims)
- **Maintenance and Other Operating Contracts**, \$(1.1) unfavorable Y-T-D (primarily higher project related activity, partially offset by lower real estate rentals, hazardous waste clean-up, and the timing of security system maintenance).
- **Professional Services**, \$2.7 favorable Y-T-D (primarily the timing of MTA Chargebacks and Fiber Optic Network maintenance contracts, partially offset by higher project activity and the timing of biometrics installation expenses).
- **Materials and Supplies**, \$21.2 favorable Y-T-D (primarily timing of fleet modifications and maintenance, right of way initiatives and capital project material, partially offset by miscellaneous inventory adjustments).
- **Other Business Expenses**, \$(3.5) unfavorable Y-T-D (primarily higher bad debt, partially offset by lower office supplies, print and stationery and travel expenses).

Depreciation and Other, \$71.1 favorable Y-T-D (due to GASB 75 and GASB 68 expense adjustments not yet recorded in the preliminary actuals, partially offset by higher depreciation and environmental remediation).

CASH DEFICIT SUMMARY

The Cash Deficit through December of \$670.9 was \$58.6 favorable to the November Forecast due to lower expenditures, partially offset by the timing of capital and other reimbursements and health & welfare, insurance, and material payments.

FINANCIAL PERFORMANCE MEASURES

- The year-to-date Farebox Operating Ratio was 18.4%, 0.7 percentage points above the November Forecast resulting from lower expenses.
- The December Adjusted Farebox Operating Ratio was 22.5%, which is above the November Forecast due to lower expenses.
- The December Adjusted Cost per Passenger was \$44.74, which is lower than the November Forecast due to lower expenses.
- The December Revenue per Passenger was \$8.99, which was below the November Forecast.

MTA LONG ISLAND RAIL ROAD
2020 ADOPTED BUDGET AND NOVEMBER FORECAST vs. PRELIMINARY ACTUAL
ACCRUAL STATEMENT of OPERATIONS by CATEGORY
(\$ in millions)

NON-REIMBURSABLE	2020			Favorable/(Unfavorable) Variance			
	Adopted Budget	November Forecast	Preliminary Actual	2020 Adopted Budget		November Forecast	
				\$	%	\$	%
Revenue							
Farebox Revenue	\$781.384	\$278.435	\$272.362	(\$509.022)	(65.1)	(\$6.073)	(2.2)
Vehicle Toll Revenue	0.000	0.000	0.000	0.000	-	0.000	-
Other Operating Revenue	36.076	540.409	540.695	504.619	*	0.287	0.0
Capital and Other Reimbursements	0.000	0.000	0.000	0.000	-	0.000	-
Total Revenue	\$817.460	\$818.844	\$813.058	(\$4.402)	(0.5)	(\$5.786)	(0.7)
Expenses							
Labor:							
Payroll	\$632.101	\$591.266	\$554.386	\$77.715	12.3	\$36.880	6.2
Overtime	143.670	137.277	123.158	20.512	14.3	14.119	10.3
Health and Welfare	133.825	120.408	113.815	20.010	15.0	6.593	5.5
OPEB Current Payment	74.468	67.277	62.088	12.380	16.6	5.189	7.7
Pensions	141.703	172.901	178.215	(36.512)	(25.8)	(5.314)	(3.1)
Other Fringe Benefits	157.873	144.656	146.914	10.959	6.9	(2.258)	(1.6)
Reimbursable Overhead	(10.054)	(34.052)	(51.628)	41.575	*	17.576	51.6
Total Labor Expenses	\$1,273.587	\$1,199.734	\$1,126.948	\$146.639	11.5	\$72.787	6.1
Non-Labor:							
Electric Power	\$95.970	\$80.592	\$78.201	\$17.769	18.5	\$2.391	3.0
Fuel	20.380	16.488	15.347	5.033	24.7	1.141	6.9
Insurance	23.088	22.075	21.289	1.799	7.8	0.786	3.6
Claims	4.546	4.546	3.418	1.128	24.8	1.128	24.8
Paratransit Service Contracts	0.000	0.000	0.000	0.000	-	0.000	-
Maintenance and Other Operating Contracts	88.997	71.781	70.536	18.460	20.7	1.244	1.7
Professional Service Contracts	47.610	46.712	41.264	6.346	13.3	5.448	11.7
Materials & Supplies	187.782	110.614	96.335	91.446	48.7	14.279	12.9
Other Business Expenses	21.787	12.286	15.703	6.084	27.9	(3.416)	(27.8)
Total Non-Labor Expenses	\$490.159	\$365.093	\$342.093	\$148.066	30.2	\$23.001	6.3
Other Expense Adjustments:							
Other	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
Total Other Expense Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
Total Expenses Before Depreciation	\$1,763.745	\$1,564.828	\$1,469.041	\$294.704	16.7	\$95.787	6.1
Depreciation	\$397.510	\$414.397	\$421.745	(\$24.235)	(6.1)	(\$7.348)	(1.8)
GASB 75 OPEB Expense Adjustment	52.144	52.144	\$0.000	52.144	100.0	52.144	100.0
GASB 68 Pension Expense Adjustment	(6.600)	28.400	0.000	(6.600)	(100.0)	28.400	100.0
Environmental Remediation	2.000	2.000	4.074	(2.074)	*	(2.074)	*
Total Expenses	\$2,208.799	\$2,061.769	\$1,894.860	\$313.940	14.2	\$166.910	8.1
Net Surplus/(Deficit) <i>(Excluding Subsidies and Debt Service)</i>	(\$1,391.339)	(\$1,242.925)	(\$1,081.802)	\$309.537	22.2	\$161.123	13.0
<i>Cash Depreciation Adjustments</i>							
Depreciation	\$397.510	\$414.397	\$421.745	\$24.235	6.1	\$7.348	1.8
Operating/Capital	(23.600)	(7.839)	(7.341)	16.259	68.9	0.498	6.4
Other Cash Adjustments	57.733	106.916	(3.476)	(61.209)	*	(110.391)	*
Total Cash Conversion Adjustments	\$431.642	\$513.473	\$410.928	(\$20.714)	(4.8)	(\$102.545)	(20.0)
Net Cash Surplus/(Deficit)	(\$959.697)	(\$729.452)	(\$670.874)	\$288.823	30.1	\$58.578	8.0

Totals may not add due to rounding
Results are based on the preliminary close of the general ledger and are subject to review and adjustment.

MTA LONG ISLAND RAIL ROAD
2020 ADOPTED BUDGET AND NOVEMBER FORECAST vs. PRELIMINARY ACTUAL
ACCRUAL STATEMENT of OPERATIONS by CATEGORY
(\$ in millions)

REIMBURSABLE	2020			Favorable/(Unfavorable) Variance			
	Adopted Budget	November Forecast	Preliminary Actual	2020 Adopted Budget		November Forecast	
				\$	%	\$	%
Revenue							
Farebox Revenue	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
Vehicle Toll Revenue	0.000	0.000	0.000	0.000	-	0.000	-
Other Operating Revenue	0.000	0.000	0.000	0.000	-	0.000	-
Capital and Other Reimbursements	386.456	433.906	450.775	64.319	16.6	16.869	3.9
Total Revenue	\$386.456	\$433.906	\$450.775	\$64.319	16.6	\$16.869	3.9
Expenses							
Labor:							
Payroll	\$138.978	\$139.897	\$140.023	(\$1.045)	(0.8)	(\$0.127)	0.0
Overtime	51.012	62.728	64.627	(13.615)	(26.7)	(1.899)	(3.0)
Health and Welfare	28.320	31.684	33.370	(5.050)	(17.8)	(1.686)	(5.3)
OPEB Current Payment	0.000	0.000	0.000	0.000	-	0.000	-
Pensions	46.012	41.599	37.435	8.577	18.6	4.164	10.0
Other Fringe Benefits	28.959	33.269	35.514	(6.555)	(22.6)	(2.245)	(6.7)
Reimbursable Overhead	10.054	34.052	51.628	(41.575)	*	(17.576)	(51.6)
Total Labor Expenses	\$303.334	\$343.228	\$362.597	(\$59.263)	(19.5)	(\$19.369)	(5.6)
Non-Labor:							
Electric Power	\$0.268	\$0.264	\$0.284	(\$0.016)	(6.1)	(\$0.020)	(7.6)
Fuel	0.000	0.000	0.000	0.000	-	0.000	-
Insurance	9.975	7.705	6.862	3.114	31.2	0.844	11.0
Claims	0.000	0.000	0.000	0.000	-	0.000	-
Paratransit Service Contracts	0.000	0.000	0.000	0.000	-	0.000	-
Maintenance and Other Operating Contracts	16.679	18.793	21.164	(4.486)	(26.9)	(2.371)	(12.6)
Professional Service Contracts	1.044	2.500	5.251	(4.207)	*	(2.751)	*
Materials & Supplies	54.763	60.658	53.729	1.034	1.9	6.929	11.4
Other Business Expenses	0.393	0.756	0.888	(0.495)	*	(0.131)	(17.4)
Total Non-Labor Expenses	\$83.122	\$90.678	\$88.178	(\$5.056)	(6.1)	\$2.499	2.8
Other Expense Adjustments:							
Other	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
Total Other Expense Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
Total Expenses Before Depreciation	\$386.456	\$433.906	\$450.775	(\$64.319)	(16.6)	(\$16.869)	(3.9)
Depreciation	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
Other Post Employee Benefits	0.000	0.000	0.000	0.000	-	0.000	-
Environmental Remediation	0.000	0.000	0.000	0.000	-	0.000	-
Total Expenses	\$386.456	\$433.906	\$450.775	(\$64.319)	(16.6)	(\$16.869)	(3.9)
Net Surplus/(Deficit) <i>(Excluding Subsidies and Debt Service)</i>	(\$0.000)	\$0.000	\$0.000	\$0.000	100.0	(\$0.000)	(100.0)
<i>Cash Depreciation Adjustments</i>							
Depreciation	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
Operating/Capital	0.000	0.000	0.000	0.000	-	0.000	-
Other Cash Adjustments	0.000	0.000	0.000	0.000	-	0.000	-
Total Cash Conversion Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
Net Cash Surplus/(Deficit)	(\$0.000)	\$0.000	\$0.000	\$0.000	100.0	(\$0.000)	(100.0)

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MTA LONG ISLAND RAIL ROAD
2020 ADOPTED BUDGET AND NOVEMBER FORECAST vs. PRELIMINARY ACTUAL
ACCRUAL STATEMENT of OPERATIONS by CATEGORY
(\$ in millions)

NON-REIMBURSABLE/ REIMBURSABLE	2020			Favorable/(Unfavorable) Variance			
	Adopted Budget	November Forecast	Preliminary Actual	2020 Adopted Budget		November Forecast	
				\$	%	\$	%
Revenue							
Farebox Revenue	\$781.384	\$278.435	\$272.362	(\$509.022)	(65.1)	(\$6.073)	(2.2)
Vehicle Toll Revenue	0.000	0.000	0.000	0.000	-	0.000	-
Other Operating Revenue	36.076	540.409	540.695	504.619	*	0.287	0.0
Capital and Other Reimbursements	386.456	433.906	450.775	64.319	16.6	16.869	3.9
Total Revenue	\$1,203.916	\$1,252.750	\$1,263.833	\$59.917	5.0	\$11.083	0.9
Expenses							
Labor:							
Payroll	\$771.079	\$731.163	\$694.409	\$76.670	9.9	\$36.754	5.0
Overtime	194.681	200.005	187.785	6.897	3.5	12.220	6.1
Health and Welfare	162.145	152.092	147.185	14.960	9.2	4.907	3.2
OPEB Current Payment	74.468	67.277	62.088	12.380	16.6	5.189	7.7
Pensions	187.715	214.500	215.650	(27.935)	(14.9)	(1.150)	(0.5)
Other Fringe Benefits	186.833	177.925	182.428	4.404	2.4	(4.503)	(2.5)
Reimbursable Overhead	0.000	0.000	0.000	0.000	-	0.000	-
Total Labor Expenses	\$1,576.921	\$1,542.963	\$1,489.545	\$87.376	5.5	\$53.418	3.5
Non-Labor:							
Electric Power	\$96.238	\$80.856	\$78.485	\$17.753	18.4	\$2.371	2.9
Fuel	20.380	16.488	15.347	5.033	24.7	1.141	6.9
Insurance	33.063	29.781	28.151	4.913	14.9	1.630	5.5
Claims	4.546	4.546	3.418	1.128	24.8	1.128	24.8
Paratransit Service Contracts	0.000	0.000	0.000	0.000	-	0.000	-
Maintenance and Other Operating Contracts	105.675	90.574	91.701	13.974	13.2	(1.127)	(1.2)
Professional Service Contracts	48.654	49.212	46.516	2.139	4.4	2.697	5.5
Materials & Supplies	242.545	171.272	150.064	92.480	38.1	21.208	12.4
Other Business Expenses	22.179	13.043	16.590	5.589	25.2	(3.548)	(27.2)
Total Non-Labor Expenses	\$573.280	\$455.771	\$430.271	\$143.009	24.9	\$25.500	5.6
Other Expense Adjustments:							
Other	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
Total Other Expense Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
Total Expenses Before Depreciation	\$2,150.202	\$1,998.734	\$1,919.816	\$230.385	10.7	\$78.918	3.9
Depreciation	\$397.510	\$414.397	\$421.745	(\$24.235)	(6.1)	(\$7.348)	(1.8)
GASB 75 OPEB Expense Adjustment	52.144	52.144	0.000	52.144	100.0	52.144	100.0
GASB 68 Pension Expense Adjustment	(6.600)	28.400	0.000	(6.600)	(100.0)	28.400	100.0
Environmental Remediation	2.000	2.000	4.074	(2.074)	*	(2.074)	*
Total Expenses	\$2,595.256	\$2,495.675	\$2,345.635	\$249.621	9.6	\$150.040	6.0
Net Surplus/(Deficit) <i>(Excluding Subsidies and Debt Service)</i>	(\$1,391.339)	(\$1,242.925)	(\$1,081.802)	\$309.537	22.2	\$161.123	13.0
<i>Cash Depreciation Adjustments</i>							
Depreciation	\$397.510	\$414.397	\$421.745	\$24.235	6.1	\$7.348	1.8
Operating/Capital	(23.600)	(7.839)	(7.341)	16.259	68.9	0.498	6.4
Other Cash Adjustments	57.733	106.916	(3.476)	(61.209)	*	(110.391)	*
Total Cash Conversion Adjustments	\$431.642	\$513.473	\$410.928	(\$20.714)	(4.8)	(\$102.545)	(20.0)
Net Cash Surplus/(Deficit)	(\$959.697)	(\$729.452)	(\$670.874)	\$288.823	30.1	\$58.578	8.0

Totals may not add due to rounding
Results are based on the preliminary close of the general ledger and are subject to review and adjustment.

MTA LONG ISLAND RAIL ROAD
Explanation of Variances Between 2020 November Forecast and Preliminary Actual
December 2020 Year To Date

Generic Revenue or Expense Category	Non Reimb. or Reimb.	Favorable/ (Unfavorable) Variance		Reason for Variance
		\$	%	
Revenue				
Farebox Revenue	Non Reimb.	(6.073)	-218.1%	Lower ridership \$(4.082) and lower yield per passenger \$(1.991).
Other Operating Revenue	Non Reimb.	0.287	0.0%	Higher rentals revenue, partially offset by lower advertising revenue.
Capital and Other Reimbursements	Reimb.	16.869	3.9%	Timing of capital project activity and interagency reimbursements.
Expenses				
Payroll	Non Reimb.	36.880	6.2%	Vacant positions.
	Reimb.	(0.127)	0.0%	Primarily due to timing of project activity and interagency reimbursements.
Overtime	Non Reimb.	14.119	10.3%	Lower maintenance, weather-related overtime and scheduled/unscheduled service.
	Reimb.	(1.899)	-3.0%	Over-run attributed to Main Line Third Track Expansion
Health & Welfare	Non Reimb.	6.593	5.5%	Vacant positions.
	Reimb.	(1.686)	-5.3%	Primarily due to timing of project activity and interagency reimbursements.
OPEB Current Payment	Non Reimb.	5.189	7.7%	Fewer retirees/beneficiaries than projected.
Pension	Non Reimb.	(5.314)	-3.1%	Based on the current actuarial report.
	Reimb.	4.164	10.0%	Primarily due to timing of project activity and interagency reimbursements.
Other Fringe Benefits	Non Reimb.	(2.258)	-1.6%	Primarily due to higher FELA indemnity reserves, partially offset by lower Railroad Retirement taxes.
	Reimb.	(2.245)	-6.7%	Primarily due to timing of project activity and interagency reimbursements.
Reimbursable Overhead	Non Reimb.	17.576	51.6%	Timing of capital project activity.
	Reimb.	(17.576)	-51.6%	Timing of capital project activity.
Electric Power	Non Reimb.	2.391	3.0%	Lower consumption, partially offset by higher rates.
	Reimb.	(0.020)	-7.6%	
Fuel	Non Reimb.	1.141	6.9%	Timing of accruals and lower consumption, partially offset by higher rates.
Insurance	Non Reimb.	0.786	3.6%	Lower liability and property Insurance.
	Reimb.	0.844	11.0%	Force Account Insurance associated with project activity.
Claims	Non Reimb.	1.128	24.8%	Primarily due to lower non-employee claims.

MTA LONG ISLAND RAIL ROAD
Explanation of Variances Between 2020 November Forecast and Preliminary Actual
December 2020 Year To Date

Generic Revenue or Expense Category	Non Reimb. or Reimb.	Favorable/ (Unfavorable) Variance		Reason for Variance
		\$	%	
Maintenance and Other Operating Contracts	Non Reimb.	1.244	1.7%	Primarily lower real estate rental expenses, hazardous waste clean-up, the timing of security system maintenance and other maintenance services, partially offset by higher project related equipment/vehicle rentals.
	Reimb.	(2.371)	-12.6%	Primarily due to timing of project activity.
Professional Service Contracts	Non Reimb.	5.448	11.7%	Timing of MTA Chargebacks and Fiber Optic Network maintenance contracts, partially offset by the timing of 2019 4th Quarter Biometric expenses.
	Reimb.	(2.751)	*	Primarily due to timing of project activity.
Materials & Supplies	Non Reimb.	14.279	12.9%	Primarily due to lower M7 and diesel fleet modifications, revenue fleet repairs and other maintenance initiatives under the Reliability Centered Maintenance (RCM) program, right of way material costs and Covid-19 cleaning supplies, partially offset by higher miscellaneous inventory adjustments.
	Reimb.	6.929	11.4%	Primarily due to timing of project activity.
Other Business Expenses	Non Reimb.	(3.416)	-27.8%	Higher bad debt reserves, partially offset by lower office supplies, print and stationery supplies and travel related costs.
	Reimb.	(0.131)	-17.4%	Primarily due to timing project activity.
Depreciation	Non Reimb.	(7.348)	-1.8%	Based on certain assets being fully depreciated.
Other Post Employment Benefits	Non Reimb.	52.144	100.0%	Expense not reflected in preliminary actuals, pending final actuarial report.
GASB 68 Pension Expense Adjustment	Non Reimb.	28.400	100.0%	Expense not reflected in preliminary actuals, pending final actuarial report.
Environmental Remediation	Non Reimb.	(2.074)	*	Higher expenses for environmental remediation.

MTA LONG ISLAND RAIL ROAD
2020 ADOPTED BUDGET AND NOVEMBER FORECAST vs. PRELIMINARY ACTUAL
CASH RECEIPTS AND EXPENDITURES
December Year-to-Date
(\$ in millions)

	2020			Favorable/(Unfavorable) Variance			
	Adopted Budget	November Forecast	Preliminary Actual	2020 Adopted Budget		November Forecast	
				\$	%	\$	%
Receipts							
Farebox Revenue	\$797.384	\$281.910	\$279.223	(\$518.161)	(65.0)	(\$2.687)	(1.0)
Vehicle Toll Revenue	0.000	0.000	0.000	0.000	-	0.000	-
Other Operating Revenue	24.475	533.068	533.450	508.975	*	0.382	0.0
Capital and Other Reimbursements	362.398	449.567	427.480	65.082	18.0	(22.087)	(4.9)
Total Receipts	\$1,184.257	\$1,264.545	\$1,240.153	\$55.896	4.7	(\$24.392)	(1.9)
Expenditures							
Labor:							
Payroll	\$764.697	\$726.178	\$678.710	\$85.987	11.2	\$47.468	6.5
Overtime	194.681	202.680	181.890	12.791	6.6	20.790	10.3
Health and Welfare	162.145	137.699	144.099	18.046	11.1	(6.400)	(4.6)
OPEB Current Payment	74.468	63.053	62.212	12.256	16.5	0.841	1.3
Pensions	187.715	212.716	212.301	(24.586)	(13.1)	0.415	0.2
Other Fringe Benefits	185.833	182.004	82.943	102.890	55.4	99.061	54.4
GASB Account	0.000	0.000	0.000	0.000	-	0.000	-
Reimbursable Overhead	0.000	0.000	0.000	0.000	-	0.000	-
Total Labor Expenditures	\$1,569.539	\$1,524.330	\$1,362.155	\$207.384	13.2	\$162.175	10.6
Non-Labor:							
Electric Power	\$96.238	\$84.289	\$82.068	\$14.170	14.7	\$2.221	2.6
Fuel	20.380	17.163	15.400	4.980	24.4	1.763	10.3
Insurance	32.742	25.652	30.987	1.755	5.4	(5.335)	(20.8)
Claims	1.822	1.822	2.948	(1.126)	(61.8)	(1.126)	(61.8)
Paratransit Service Contracts	0.000	0.000	0.000	0.000	-	0.000	-
Maintenance and Other Operating Contracts	105.675	94.369	88.448	17.227	16.3	5.921	6.3
Professional Service Contracts	38.154	40.979	35.537	2.617	6.9	5.442	13.3
Materials & Supplies	238.463	184.082	189.388	49.075	20.6	(5.306)	(2.9)
Other Business Expenses	24.941	15.708	14.088	10.853	43.5	1.620	10.3
Total Non-Labor Expenditures	\$558.415	\$464.064	\$458.863	\$99.552	17.8	\$5.201	1.1
Other	\$16.000	\$5.603	\$5.425	\$10.575	66.1	\$0.178	3.2
Total Other Expenditure Adjustments	\$16.000	\$5.603	\$5.425	\$10.575	66.1	\$0.178	3.2
Total Expenditures	\$2,143.954	\$1,993.997	\$1,826.443	\$317.511	14.8	\$167.554	8.4
Cash Timing and Availability Adjustment	0.000	0.000	(84.584)	(84.584)	-	(84.584)	-
Operating Cash Deficit	(\$959.697)	(\$729.452)	(\$670.874)	\$288.823	30.1	\$58.578	8.0
Totals may not add due to rounding							

MTA LONG ISLAND RAIL ROAD
Explanation of Variances Between 2020 November Forecast and Preliminary Actual Cash Basis
December 2020 Year-to-Date

Generic Revenue or Expense Category	Favorable/ (Unfavorable) Variance		Reason for Variance
	\$	%	
Receipts			
Farebox Revenue	(2.687)	(1.0)	Lower ridership \$(4.082), lower yields \$(1.991) and lower MetroCard/AirTrain sales \$(1.329), partially offset by higher advance sales impact \$4.715.
Other Operating Revenue	0.382	0.1	Primarily due to higher rental revenue.
Capital and Other Reimbursements	(22.087)	(4.9)	Timing of activity and reimbursement for capital and other reimbursements.
Expenditures			
Labor:			
Payroll	47.468	6.5	Primarily due to vacant positions, rates and higher sick pay law claim credits, partially offset by the timing of intercompany reimbursements.
Overtime	20.790	10.3	Primarily due to rates, lower maintenance, weather-related overtime and scheduled/unscheduled service, partially offset by higher project overtime.
Health and Welfare	(6.400)	(4.6)	Primarily due to the timing of NYSHIP insurance payments, partially offset by vacant positions and intercompany reimbursements.
OPEB Current Payment	0.841	1.3	Primarily due to fewer retirees /beneficiaries, partially offset by the timing of NYSHIP insurance payments.
Pensions	0.415	0.2	Primarily due to intercompany reimbursements, partially offset by preliminary actuarial estimates.
Other Fringe Benefits	99.061	54.4	Primarily lower Railroad Retirement Tax which reflects the deferral of the employer portion of payroll taxes due to the CARES act and the timing of wage rate increases, FELA payments and intercompany reimbursements, partially offset by higher payments for meals.
Non-Labor:			
Electric Power	2.221	2.6	Primarily due to lower consumption, partially offset by higher rates.
Fuel	1.763	10.3	Primarily due to the timing of payments and lower consumption, partially offset by higher rates.
Insurance	(5.335)	(20.8)	Timing of payments.
Claims	(1.126)	(61.8)	Higher claim payments.
Maintenance and Other Operating Contracts	5.921	6.3	Primarily due to the timing and scheduling of maintenance services and payments, and the timing of joint facility payments, partially offset by higher payments for lease & rentals.
Professional Service Contracts	5.442	13.3	Primarily the timing of MTA Chargeback and other professional service contract payments.
Material and Supplies	(5.306)	(2.9)	Timing of material payments.
Other Business Expenses	1.620	10.3	Primarily lower payments for office supplies, print and stationary supplies and travel related costs, partially offset by the timing of credit/debit card fees.
Other Expenditure Adjustments	0.178	3.2	Lower MetroCard/AirTrain pass through payments.

MTA LONG ISLAND RAIL ROAD
2020 ADOPTED BUDGET AND NOVEMBER FORECAST vs. PRELIMINARY ACTUAL
CASH CONVERSION (CASH FLOW ADJUSTMENTS)
(\$ in millions)

	2020			Favorable/(Unfavorable) Variance			
	Adopted	November	Preliminary	2020 Adopted Budget		November Forecast	
	Budget	Forecast	Actual	\$	%	\$	%
Receipts							
Farebox Revenue	\$16.000	\$3.475	\$6.861	(\$9.139)	(57.1)	\$3.386	97.5
Vehicle Toll Revenue	0.000	0.000	0.000	0.000	-	0.000	-
Other Operating Revenue	(11.601)	(7.341)	(7.246)	4.356	37.5	0.095	1.3
Capital and Other Reimbursements	(24.058)	15.661	(23.295)	0.763	3.2	(38.956)	*
Total Receipts	(\$19.659)	\$11.795	(\$23.680)	(\$4.021)	(20.5)	(\$35.475)	*
Expenditures							
Labor:							
Payroll	\$6.382	\$4.985	\$15.699	\$9.317	*	\$10.714	*
Overtime	0.000	(2.675)	5.895	5.894	*	8.570	*
Health and Welfare	(0.000)	14.393	3.086	3.086	*	(11.307)	(78.6)
OPEB Current Payment	0.000	4.224	(0.124)	(0.125)	*	(4.349)	*
Pensions	(0.000)	1.784	3.348	3.348	*	1.564	87.7
Other Fringe Benefits	1.000	(4.079)	99.486	98.486	*	103.565	*
GASB Account	0.000	0.000	0.000	0.000	-	0.000	-
Reimbursable Overhead	0.000	0.000	0.000	0.000	-	0.000	-
Total Labor Expenditures	\$7.382	\$18.633	\$127.390	\$120.008	*	\$108.757	*
Non-Labor:							
Electric Power	(\$0.000)	(\$3.433)	(\$3.583)	(\$3.583)	*	(\$0.150)	(4.4)
Fuel	0.000	(0.675)	(0.053)	(0.053)	*	0.622	92.1
Insurance	0.321	4.129	(2.836)	(3.158)	*	(6.965)	*
Claims	2.724	2.724	0.470	(2.254)	(82.7)	(2.254)	(82.7)
Paratransit Service Contracts	0.000	0.000	0.000	0.000	-	0.000	-
Maintenance and Other Operating Contracts	0.000	(3.795)	3.253	3.253	*	7.048	*
Professional Service Contracts	10.500	8.233	10.978	0.478	4.6	2.745	33.3
Materials & Supplies	4.082	(12.810)	(39.323)	(43.405)	*	(26.513)	*
Other Business Expenses	(2.762)	(2.665)	2.503	5.264	*	5.168	*
Total Non-Labor Expenditures	\$14.865	(\$8.293)	(\$28.592)	(\$43.457)	*	(\$20.299)	*
Other Expense Adjustments:							
Other	(16.000)	(5.603)	(5.425)	10.575	66.1	0.178	3.2
Total Other Expenditure Adjustments	(\$16.000)	(\$5.603)	(\$5.425)	\$10.575	66.1	\$0.178	3.2
Total Expenditures Before Depreciation	\$6.248	\$4.737	\$93.373	\$87.125	*	\$88.636	*
Depreciation	\$397.510	\$414.397	\$421.745	\$24.235	6.1	\$7.348	1.8
GASB 75 OPEB Expense Adjustment	52.144	52.144	0.000	(52.144)	(100.0)	(52.144)	(100.0)
GASB 68 Pension Expense Adjustment	(6.600)	28.400	0.000	6.600	100.0	(28.400)	(100.0)
Environmental Remediation	2.000	2.000	4.074	2.074	*	2.074	*
Total Expenditures	\$451.302	\$501.678	\$519.192	\$67.890	15.0	\$17.514	3.5
Cash Timing and Availability Adjustment	0.000	0.000	(84.584)	(84.584)	-	(84.584)	-
Baseline Total Cash Conversion Adjustments	\$431.642	\$513.473	\$410.928	(\$20.714)	(4.8)	(\$102.545)	(20.0)

Totals may not add due to rounding

LIRR – Non-Reimbursable Overtime Variance

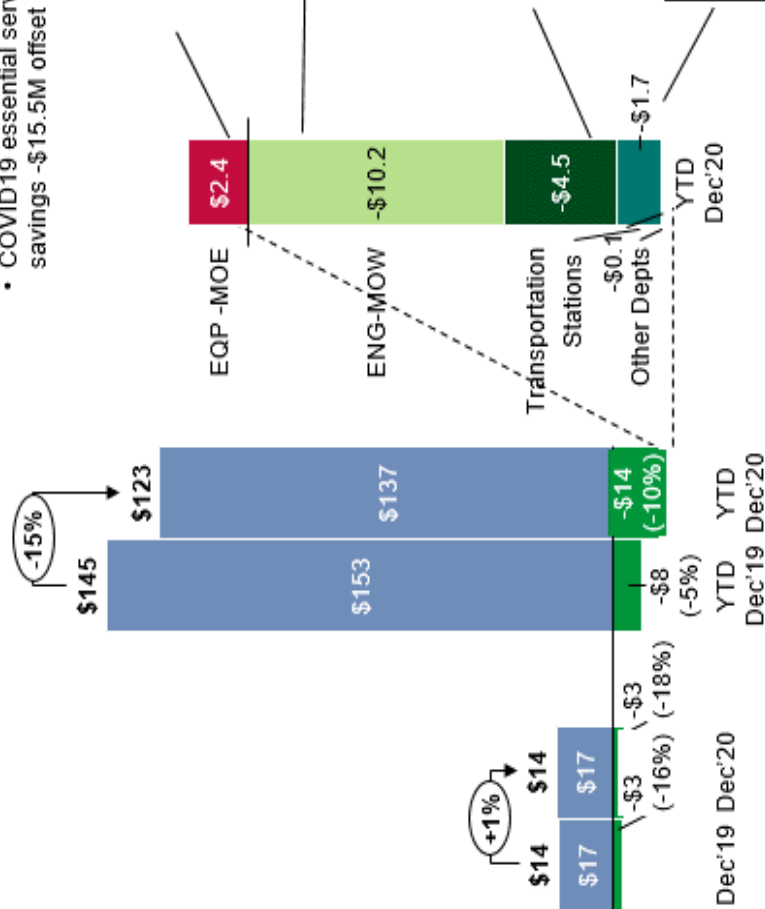
December 2020 and November Forecast vs. variance

Overview

- Overall decrease of -\$22M or -15% compared to YTD December 2019
- -\$14M or -10% below 2020 November Forecast.
- Management actions including the introduction of a more rigorous approval process, tightened procedures and a comprehensive project prioritization effort helped produce a reduction in overtime spending.
- COVID19 essential service plan savings -\$6.4M; (COVID19 indirect overtime savings -\$15.5M offset by COVID19 cleaning expenses \$9.1M).

November Forecast FY \$137M

- Favorable
- Unfavorable
- November Forecast



Overrun of \$2.4M driven by \$2.4M unfavorable availability. \$1.1M higher maintenance efforts due to M7 (toilet seat and floor repairs). Offset by weather -\$1.0M.

Underrun of -\$10.2M driven by -\$8.5M lower maintenance (LIRR Forward impacts and tightened management procedures), -\$3.2M weather offset by \$1.0M accrual timing/wage differences, \$0.6M vacancy/absentee coverage due to FRA-mandated signal coverage staff requirements.

Underrun of -\$4.5M driven by -\$2.3M vacancy/absentee coverage related to fewer tours as a result of the efficient management of the COVID19 essential service plan, -\$1.2M unscheduled service savings impacted by COVID19 service reductions and improved service reliability, -\$1.3M scheduled service (less Train & Engine hours), -\$0.2M weather offset by \$0.5M accrual/wage differences.

Underrun of -\$1.7M driven by -\$1.3M as a result of effective cost management of COVID19 cleaning efforts, -\$0.3M vacancy/absentee coverage related to COVID19, -\$0.1M schedule service and -\$0.3M weather offset by \$0.3M accrual/wage differences.

Source: Adopted (restated) budget. GL actuals for actual overtime spending.

LIRR – Reimbursable Overtime Variance

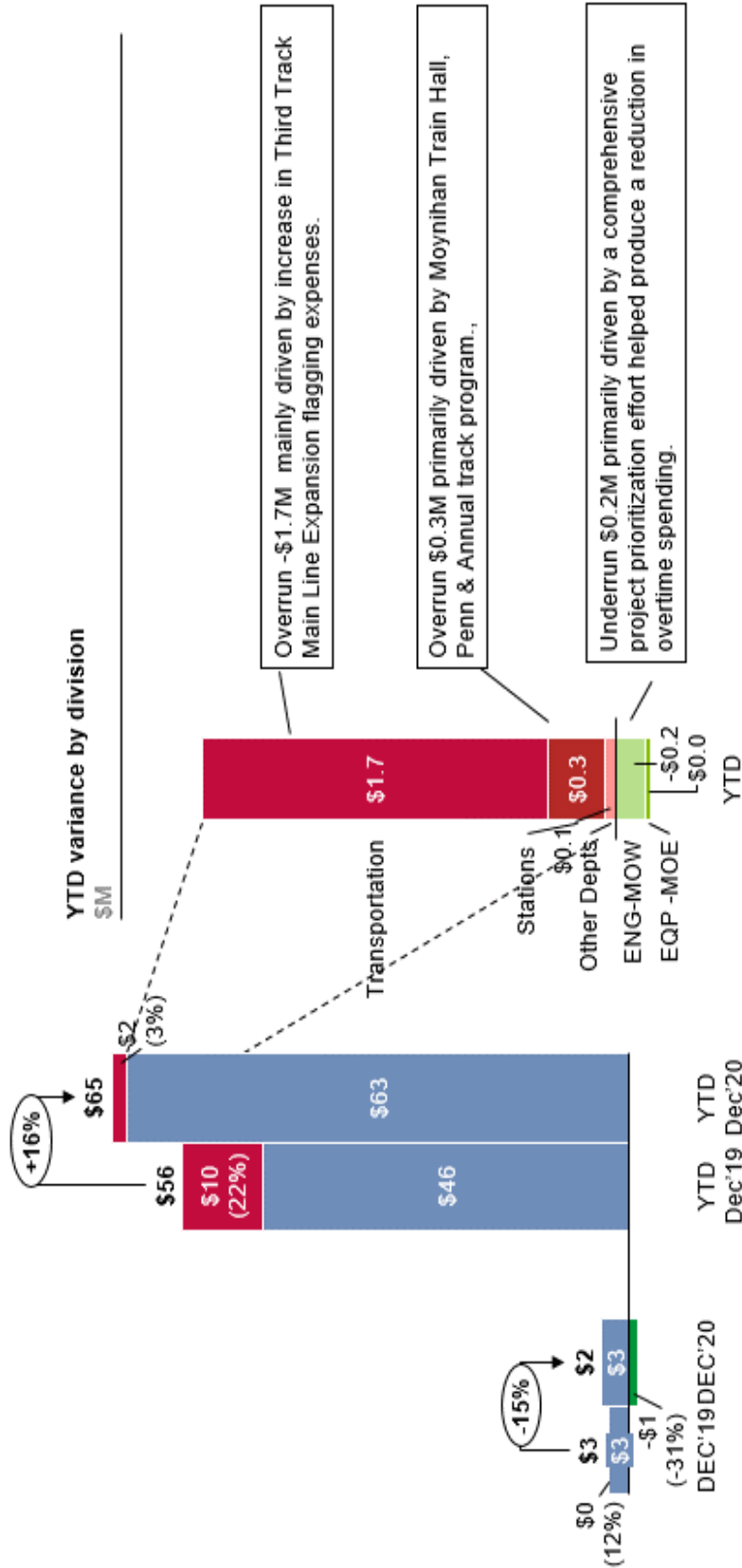
December 2020 and November Forecast vs. variance

Overview

\$M



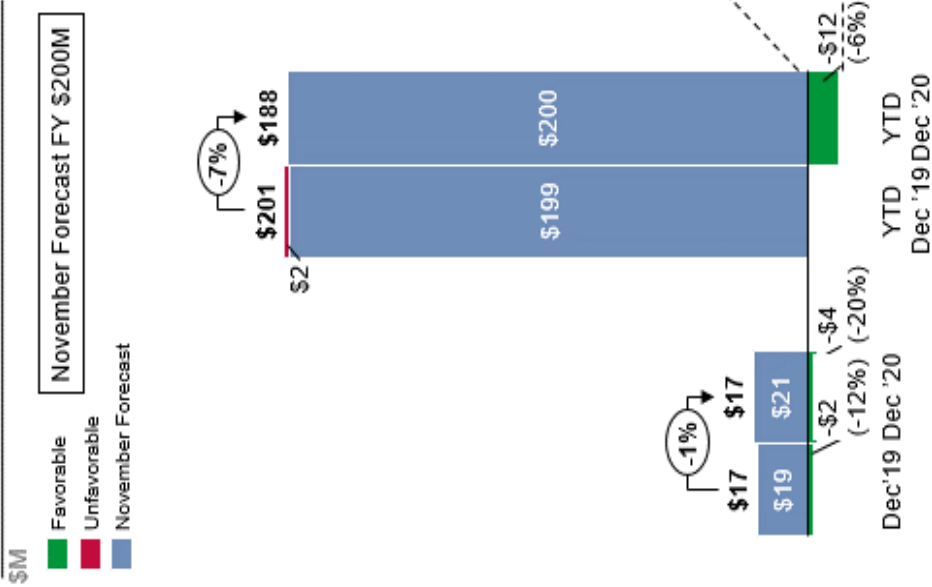
- Overall increase of \$9M or 16% compared to YTD December 2019
- \$2M or 3% above 2020 November Forecast.
- A combination of favorable weather in the YTD and a decision to accelerate the LIRR capital work to earlier in year than expected.



Source: Adopted (restated) budget. GL actuals for actual overtime spending.

LIRR – Total Overtime Variance

December 2020 and November Forecast vs. variance



Overview

- Overall decrease of -\$13M or -7% compared to YTD December 2019
- -\$12M or -6% below 2020 final November Forecast
- -\$30M or -14% below YTD December 2018
- Non-Reimbursable overrun of -\$14.1M
- Reimbursable overrun of \$1.9M
- Management actions including the introduction of a more rigorous approval process, tightened procedures and a comprehensive project prioritization effort helped produce a reduction in overtime spending.
- COVID19 essential service plan savings -\$6.4M: (COVID19 indirect overtime savings -\$15.5M offset by COVID19 cleaning expenses \$9.1M).

MTA LONG ISLAND RAIL ROAD
2020 November Forecast vs. Preliminary Actual
Total Full-Time Positions & FTEs by Function and Department
December 2020

	November Forecast	Actual	Favorable (Unfavorable) Variance	Reason For Variance
Administration				
Executive VP	1	1	0	
Enterprise Asset Management	7	5	2	
Sr Vice President - Engineering	2	1	1	
Labor Relations	17	14	3	
Procurement & Logistics (excl. Stores)	72	51	21	
Human Resources	37	32	5	
Sr VP Administration	2	2	0	
Strategic Investments	14	13	1	
President	8	7	1	
VP & CFO	2	2	0	
Controller	44	41	3	
Management and Budget	17	14	3	
BPM, Controls, & Compliance	4	4	0	
Market Dev. & Public Affairs	70	65	5	
Gen. Counsel & Secretary	30	26	4	
Diversity Management	3	3	0	
Security	15	11	4	
System Safety	46	39	7	
Training	69	65	4	
Service Planning	30	26	4	
Rolling Stock Programs	17	9	8	
Sr Vice President - Operations	2	1	1	
Total Administration	509	432	77	
Operations				
Train Operations	2,385	2,293	92	
Customer Service	330	313	17	
Total Operations	2,715	2,606	109	
Maintenance				
Engineering	2,058	1,944	114	
Equipment	2,092	2,059	33	
Procurement (Stores)	95	98	(3)	
Total Maintenance	4,245	4,101	144	
Engineering/Capital				
Department of Project Management	152	118	34	
Special Projects/East Side Access	63	48	15	
Positive Train Control	14	14	0	
Total Engineering/Capital	229	180	49	
Baseline Total Positions	7,698	7,319	379	
<i>Non-Reimbursable</i>	6,460	6,230	230	NON-REIMBURSABLE POSITIONS - Favorable 230 positions primarily due to vacant positions in Train Operations, Equipment, Customer Service and the Administrative Departments, partially offset by Engineering field forces working on maintenance activity instead of capital activity.
<i>Reimbursable</i>	1,239	1,089	150	REIMBURSABLE POSITIONS - Favorable 150 positions primarily due to the timing of project activity and vacant positions, partially offset by increased project activity in Train Operations.
Total Full-Time	7,698	7,319	379	
Total Full-Time-Equivalents	0	0	0	

MTA LONG ISLAND RAIL ROAD
2020 November Forecast vs. Preliminary Actual
Total Positions by Function and Occupational Group
December 2020

	November Forecast	Actual	Favorable (unfavorable) Variance
Administration			
Managers/Supervisors	271	237	34
Professional, Technical, Clerical	134	88	46
Operational Hourlies	104	107	(3)
Total Administration	509	432	77
Operations			
Managers/Supervisors	330	298	32
Professional, Technical, Clerical	108	100	8
Operational Hourlies	2,277	2,208	69
Total Operations	2,715	2,606	109
Maintenance			
Managers/Supervisors	898	777	121
Professional, Technical, Clerical	280	237	43
Operational Hourlies	3,067	3,087	(20)
Total Maintenance	4,245	4,101	144
Engineering/Capital			
Managers/Supervisors	161	136	25
Professional, Technical, Clerical	68	44	24
Operational Hourlies	0	0	0
Total Engineering/Capital	229	180	49
Baseline Total Positions			
Managers/Supervisors	1,660	1,448	212
Professional, Technical, Clerical	590	469	121
Operational Hourlies	5,448	5,402	46
Total Baseline	7,698	7,319	379

MTA LONG ISLAND RAIL ROAD
2020 ADOPTED BUDGET AND NOVEMBER FORECAST vs. ACTUAL (December Preliminary)
UTILIZATION
(in millions)

	YEAR-TO-DATE as of DECEMBER 2020				Variance Favorable / (Unfavorable)			
	Adopted Budget	November Forecast	Actual Prelim	Adjusted* 2019	Adopted Budget	November Forecast	Adjusted* 2019	
	\$	\$	\$	#	\$	\$	#	%
FAREBOX REVENUE								
Monthly	\$364.422	\$135.302	\$121.447		(\$242.975)	(\$13.855)		-10.2%
Weekly	\$21.875	\$8.312	\$7.766		(\$14.109)	(\$0.546)		-6.6%
Total Commutation	\$386.296	\$143.614	\$129.213		(\$257.083)	(\$14.401)		-10.0%
One-Way Full Fare	\$114.396	\$34.604	\$27.918		(\$86.479)	(\$6.687)		-19.3%
One-Way Off-Peak	\$194.241	\$68.862	\$78.175		(\$116.066)	\$9.313		13.5%
All Other	\$86.450	\$31.355	\$37.057		(\$49.393)	\$5.702		18.2%
Total Non-Commutation	\$395.087	\$134.822	\$143.149		(\$251.938)	\$8.328		6.2%
Total	\$781.384	\$278.435	\$272.362		(\$509.022)	(\$6.073)		-2.2%
RIDERSHIP								
Monthly	48.470	15.382	13.497	48.266	(34.973)	(1.885)	(34.769)	-72.0%
Weekly	2.456	0.869	0.822	2.502	(1.635)	(0.048)	(1.681)	-67.2%
Total Commutation	50.927	16.251	14.319	50.769	(36.608)	(1.933)	(36.450)	-71.8%
One-Way Full Fare	10.003	3.335	3.030	10.183	(6.973)	(0.305)	(7.153)	-70.2%
One-Way Off-Peak	19.184	6.922	7.915	18.996	(11.269)	0.993	(11.081)	-58.3%
All Other	11.664	4.229	5.024	11.345	(6.640)	0.794	(6.322)	-55.7%
Total Non-Commutation	40.850	14.486	15.969	40.524	(24.882)	1.482	(24.556)	-60.6%
Total	91.777	30.738	30.287	91.293	(61.490)	(0.451)	(61.006)	-66.8%

*Prior year adjusted to reflect current year calendar. Applicable to ridership only.

MTA LONG ISLAND RAIL ROAD
2020 NOVEMBER FORECAST vs PRELIMINARY ACTUALS
MONTHLY PERFORMANCE INDICATORS
December 2020

	<u>YEAR-TO-DATE</u>			<u>VARIANCE</u>	
	<u>Preliminary Actual</u>	<u>November Forecast</u>	<u>2019</u>	<u>vs. Nov Forecast</u>	<u>vs. 2019</u>
Farebox Operating Ratio					
Standard ⁽¹⁾	18.4%	17.7%	50.2%	0.7%	-31.8%
Adjusted ⁽²⁾	22.5%	21.5%	56.8%	1.0%	-34.3%
Cost Per Passenger					
Standard ⁽¹⁾	\$48.75	\$51.16	\$16.80	\$2.41	(\$31.95)
Adjusted ⁽²⁾	\$44.74	\$47.10	\$15.64	\$2.36	(\$29.10)
Passenger Revenue/Passenger ⁽³⁾	\$8.99	\$9.06	\$8.44	(\$0.07)	\$0.55

(1) The Standard Farebox Operating Ratio and Cost Per Passenger indicators reflect MTA-wide adopted calculations that exclude non-cash liability adjustments: Depreciation, OPEB Expense (GASB 75), Pension Expense (GASB 68) 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 Hampton Seat Reservations.



Long Island Rail Road

Financial Report Highlights

November 2020



A new M9 train set stands adjacent to the LIRR's other three fleet types at West Side Yard.



Long Island Rail Road

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.

November YTD 2020 Highlights

- Total revenue of \$1,214.8 million was \$39.2 million higher than the Forecast. This was primarily due to the timing of reimbursements for capital activity and higher CARES Act and rental receipts, partially offset by lower farebox revenue.
- Through November 2020 ridership was 28.5 million, which was (65.9)% below 2019 (adjusted for the same number of workdays) and (1.6)% below the Mid-Year Forecast. Commutation ridership of 13.7 million was (70.6)% below 2019 and (14.3)% below the Mid-Year Forecast. Non-Commutation ridership of 14.8 million was (60.0)% below 2019 and 14.0% above the Forecast. As a result, farebox revenue of \$257.4 million was \$(6.7) million lower than the Forecast.
- Total expenses before non-cash liability adjustments of \$1,739.7 million were \$169.3 million or 8.9% favorable to the Forecast. The primary drivers of this favorable variance are the timing of material usage and lower labor expenses as a result of vacant positions and associated fringe costs, overtime, maintenance & other operating contracts, OPEB current, professional services and electricity, partially offset by higher FELA indemnity reserves.

Financial results for Year-to-Date (YTD) November 2020 are presented in the table below and compared to the Forecast.

<u>Category (\$ in Millions)</u>	<u>Forecast</u>	<u>Actual</u>	<u>Variance</u>
Total Revenue	\$1,175.6	\$1,214.8	\$39.2
Total Expenses Before Non-Cash Liabilities	1,909.0	1,739.7	169.3
Net Surplus/(Deficit) Before Non-Cash Liabilities	(\$733.4)	(\$524.9)	\$208.5
Other Non-Cash Liabilities	378.4	390.1	(11.7)
Net Surplus/(Deficit) After Non-Cash Liabilities	(\$1,111.8)	(\$915.0)	\$196.8
Cash Adjustments	421.0	350.5	(70.5)
Net Cash Surplus/(Deficit)	(\$690.8)	(\$564.5)	\$126.3

Mark Young

Vice President, Management and Finance



Long Island Rail Road

Financial Report Highlights

NON-REIMBURSABLE SUMMARY

November YTD operating results were favorable by \$196.8 or 17.7% lower than the Forecast.

Non-Reimbursable revenues through November were \$8.0 favorable to the Forecast. Other Operating Revenue was favorable to Forecast due to higher CARES Act receipts and rental revenue. Farebox Revenue was unfavorable as a result of lower ridership. Total Non-Reimbursable expenses were \$188.7 favorable due to lower labor expenses as a result of vacant positions and associated fringe costs, the timing of materials, maintenance & other operating contracts and professional services, and lower overtime, OPEB current and electric expenses, partially offset by higher FELA indemnity reserves and depreciation.

YTD capital and other reimbursable expenditures (and reimbursements) were \$31.2 higher than the Forecast due to the timing of capital and other reimbursements.

REVENUE/RIDERSHIP

Year-to-date **Total Revenues** (including Capital and Other Reimbursements) of \$1,214.8 were \$39.2 or 3.3% favorable to the Mid-Year Forecast.

- **Y-T-D Farebox Revenues** were \$(6.7) unfavorable to the Forecast due to lower ridership and yield per passenger. Ridership through November was 28.5 million. This was (65.9)% lower than 2019 (adjusted for the same number of calendar workdays) and (1.6)% lower than the Forecast.
- **Y-T-D Other Operating Revenues** were \$14.7 favorable to the Forecast due to higher CARES Act receipts and rental revenue and the timing of miscellaneous revenue.
- **Y-T-D Capital and Other Reimbursements** were \$31.2 favorable due to the timing of capital activity and interagency reimbursements.

EXPENSES

Year-to-date **Total Expenses** (including depreciation and other) of \$2,129.8 were favorable to the Forecast by \$157.6 or 6.9%.

Labor Expenses, \$66.9 favorable Y-T-D.

- **Payroll**, \$39.1 favorable Y-T-D (primarily vacant positions).
- **Overtime**, \$19.0 favorable Y-T-D (primarily lower maintenance, vacancy/absentee coverage, unscheduled/scheduled service and weather-related overtime).
- **Health & Welfare**, \$10.3 favorable Y-T-D (vacant positions).
- **OPEB Current Payment**, \$8.6 favorable Y-T-D (fewer retirees/beneficiaries than projected).
- **Pension**, \$(15.0) unfavorable Y-T-D (timing of contributions).
- **Other Fringe**, \$4.9 favorable Y-T-D (primarily lower Railroad Retirement Taxes, partially offset by higher FELA indemnity reserves).



Long Island Rail Road

Financial Report Highlights

Non-Labor Expenses, \$102.4 favorable Y-T-D.

- **Electric Power**, \$4.0 favorable Y-T-D (lower consumption, partially offset by higher rates).
- **Fuel**, \$2.8 favorable Y-T-D (lower rates and consumption).
- **Insurance**, \$1.7 favorable Y-T-D (lower force account, property and liability insurance)
- **Claims**, \$1.1 favorable Y-T-D (timing of claims)
- **Maintenance and Other Operating Contracts**, \$9.7 favorable Y-T-D (primarily lower hazardous waste clean-up, real estate rentals, joint facility maintenance, elevator/escalator maintenance and the timing of maintenance and other operating contracts, partially offset by higher project related activity).
- **Professional Services**, \$6.1 favorable Y-T-D (primarily the timing of MTA Chargebacks, rolling stock decommissioning and other professional services, partially offset by higher project activity and the timing of biometrics installation expenses and legal fees).
- **Materials and Supplies**, \$80.6 favorable Y-T-D (primarily timing of fleet maintenance, right of way initiatives and capital project material, partially offset by miscellaneous inventory adjustments).
- **Other Business Expenses**, \$(3.6) unfavorable Y-T-D (primarily the timing of bad debt, partially offset by lower travel, office supplies and miscellaneous expenses).

Depreciation and Other, \$(11.7) unfavorable Y-T-D (primarily higher depreciation).

CASH DEFICIT SUMMARY

The Cash Deficit through November of \$564.5 was \$126.3 favorable to the Forecast due to lower expenditures and higher CARES Act receipts, partially offset by the timing of capital and other reimbursements, pension payments and lower farebox revenue.

FINANCIAL PERFORMANCE MEASURES

- The year-to-date Farebox Operating Ratio was 19.4%, 2.2 percentage points above the Forecast resulting from lower expenses.
- The November Adjusted Farebox Operating Ratio was 23.5%, which is above the Forecast due to lower expenses.
- The November Adjusted Cost per Passenger was \$42.83, which is lower than the Forecast due to lower expenses.
- The November Revenue per Passenger was \$9.05, which was below the Forecast.

TABLE 1

**MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST
ACCURAL STATEMENT OF OPERATIONS by CATEGORY
NOVEMBER 2020**
(\$ in millions)

	Nonreimbursable				Reimbursable				Total			
	Forecast		Favorable (Unfavorable)		Forecast		Favorable (Unfavorable)		Forecast		Favorable (Unfavorable)	
	Actual	Variance	Percent		Actual	Variance	Percent		Actual	Variance	Percent	
Revenue												
Farebox Revenue	\$14,906	\$15,956	7.0		\$0,000	\$0,000	-		\$14,906	\$15,956	7.0	
Vehicle Toll Revenue	0,000	0,000	-		0,000	0,000	-		0,000	0,000	-	
Other Operating Revenue	1,759	3,122	77.5		0,000	0,000	-		1,759	3,122	77.5	
Capital & Other Reimbursements	0,000	0,000	-		31,049	3,293	10.6		31,049	34,342	10.6	
Total Revenue	\$16,665	\$19,077	14.5		\$31,049	\$3,293	10.6		\$47,714	\$53,419	12.0	
Expenses												
Labor												
Payroll	\$51,910	\$42,091	18.9		\$9,484	\$10,738	(13.2)		\$61,394	\$52,829	14.0	
Overtime	14,148	11,250	2,898	20.5	4,233	5,443	(28.6)		18,381	16,693	9.2	
Health and Welfare	11,833	9,624	2,208	18.7	2,015	2,610	(29.5)		13,847	12,234	11.7	
OPEB Current Payment	6,206	5,022	1,184	19.1	0,000	0,000	-		6,206	5,022	19.1	
Pensions	12,370	17,729	(5,359)	(43.3)	3,273	2,914	11.0		15,643	20,643	(32.0)	
Other Fringe Benefits	8,495	8,703	(2,08)	(2.4)	2,060	2,771	(34.5)		10,555	11,474	(8.7)	
Reimbursable Overhead	(0,163)	(4,048)	3,885	*	0,163	4,048	(3,885)	*	0,000	0,000	-	
Total Labor Expenses	\$104,799	\$90,371	14,428	13.8	\$21,228	\$28,523	(7,296)	(34.4)	\$126,026	\$118,894	7,132	
Non-Labor												
Electric Power	\$6,033	\$6,225	(60,192)	(3.2)	\$0,023	\$0,026	(60,003)	(13.8)	\$6,056	\$6,251	(60,195)	(3.2)
Traction Power	4,784	\$5,250	(9,467)	(9.8)	\$0,000	0,000	0,000	-	\$4,784	\$5,250	(9,467)	(9.8)
Non-Traction Power	1,250	\$0,975	0,275	22.0	\$0,023	\$0,026	(0,003)	(13.8)	\$1,273	\$1,001	2,721	21.3
Fuel	1,706	1,296	0,410	24.1	0,000	0,000	0,000	-	1,706	1,296	0,410	24.1
Revenue Vehicle Fuel	1,280	0,712	0,568	44.4	0,000	0,000	0,000	-	1,280	0,712	0,568	44.4
Non-Rent Vehicle Fuel	0,426	0,584	(0,158)	(37.0)	0,000	0,000	0,000	-	0,426	0,584	(0,158)	(37.0)
Insurance	1,953	1,860	0,092	4.7	0,536	0,517	0,019	3.6	2,489	2,377	0,112	4.5
Claims	0,412	0,706	(0,294)	(71.4)	0,000	0,000	0,000	-	0,412	0,706	(0,294)	(71.4)
Paratransit Service Contracts	0,000	0,000	0,000	-	0,000	0,000	0,000	-	0,000	0,000	0,000	-
Maintenance and Other Operating Contracts	7,352	5,198	2,154	29.3	1,796	0,997	0,799	44.5	9,148	6,195	2,953	32.3
Professional Service Contracts	4,877	2,976	1,901	39.0	0,070	0,635	(0,565)	*	4,946	3,610	1,336	27.0
Materials & Supplies	17,418	5,298	12,121	69.6	7,368	3,992	3,776	51.2	24,787	8,890	15,897	64.1
Other Business Expenses	1,609	1,253	0,356	22.1	0,028	0,052	(0,024)	(84.8)	1,637	1,304	0,332	20.3
Total Non-Labor Expenses	\$41,359	\$24,812	16,548	40.0	\$9,821	\$5,818	4,003	40.8	\$51,180	\$30,630	\$20,551	40.2
Other Expense Adjustments:												
Other	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-
Total Other Expense Adjustments	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-
Total Expenses before Depreciation & Other Post Employment Benefits	\$146,158	\$115,182	\$30,976	21.2	\$31,049	\$34,342	(\$3,293)	(10.6)	\$177,207	\$149,524	\$27,683	18.6
Depreciation	\$33,924	\$34,851	(\$9,928)	(2.7)	\$0,000	\$0,000	\$0,000	-	\$33,924	\$34,851	(\$9,928)	(2.7)
GASB 75 OPEB Expense Adjustment	0,000	0,000	0,000	-	0,000	0,000	0,000	-	0,000	0,000	0,000	-
GASB 68 Pension Expense Adjustment	0,000	0,000	0,000	-	0,000	0,000	0,000	-	0,000	0,000	0,000	-
Environmental Remediation	0,167	0,167	0,000	0.0	0,000	0,000	0,000	-	0,167	0,167	0,000	0.0
Total Expenses	\$180,249	\$180,201	\$30,048	16.7	\$31,049	\$34,342	(\$3,293)	(10.6)	\$211,297	\$184,542	\$26,755	12.7
Net Surplus/(Deficit)	(\$163,584)	(\$131,123)	\$32,460	19.8	\$0,000	\$0,000	\$0,000	-	(\$163,584)	(\$131,123)	\$32,460	19.8
Cash Conversion Adjustments												
Depreciation	\$33,924	\$34,851	\$0,928	2.7	\$0,000	\$0,000	\$0,000	-	\$33,924	\$34,851	\$0,928	2.7
Operating/Capital	(2,156)	(0,490)	1,666	77.3	0,000	0,000	0,000	-	(2,156)	(0,490)	1,666	77.3
Other Cash Adjustments	\$56,166	\$33,773	(\$22,393)	(39.9)	0,000	0,000	0,000	-	24,398	(24,986)	(588)	-
Total Cash Conversion Adjustments	\$56,166	\$33,773	(\$22,393)	(39.9)	0,000	\$0,000	\$0,000	-	\$56,166	\$33,773	(\$22,393)	(39.9)
Net Cash Surplus/(Deficit)	(\$107,418)	(\$97,350)	\$10,067	9.4	\$0,000	\$0,000	\$0,000	0.0	(\$107,418)	(\$97,350)	\$10,067	9.4

Results are based on the preliminary close of the general ledger and are subject to review and adjustment. Please note that the current month's actuals do not include post-close adjustments, which will be captured in the subsequent month's YTD results. For monthly reporting purposes only, the 12-month allocation reflects an adjustment to farebox and toll revenue projections captured in Volume 1 of the 2020 July Financial Plan.

TABLE 2

MTALONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST
ACCURAL STATEMENT OF OPERATIONS by CATEGORY
NOVEMBER Year-To-Date
 (\$ in millions)

	Nonreimbursable				Reimbursable				Total							
	Forecast		Actual		Forecast		Actual		Forecast		Actual		Variance		Percent	
Revenue																
Farebox Revenue	\$264,099	\$257,435	(\$6,665)	(2.5)	\$0,000	\$0,000	\$0,000	\$0,000	\$257,435	-\$264,099	0,000	0.000	(\$6,665)	(2.5)		
Vehicle Toll Revenue	0,000	0,000	0,000	-	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	-		
Other Operating Revenue	522,774	537,485	14,711	2.8	0,000	0,000	0,000	0,000	537,485	522,774	0,000	0,000	14,711	2.8		
Capital & Other Reimbursements	0,000	0,000	0,000	0.0	388,755	419,914	31,159	8.0	388,755	388,755	419,914	31,159	31,159	8.0		
Total Revenue	\$786,873	\$794,920	\$8,046	1.0	\$388,755	\$419,914	\$31,159	8.0	\$1,175,629	\$1,175,629	\$1,214,834	\$39,205	\$39,205	3.3		
Expenses																
Labor																
Payroll	\$550,294	\$504,765	\$45,529	8.3	\$123,578	\$130,025	(\$6,447)	(5.2)	\$673,872	\$673,872	\$634,790	\$39,082	\$39,082	5.8		
Overtime	129,978	108,915	21,062	16.2	60,153	62,202	(2,050)	(3.4)	190,130	190,130	171,118	19,013	19,013	10.0		
Health and Welfare	118,187	104,053	14,134	12.0	27,313	31,133	(3,820)	(14.0)	145,500	145,500	135,186	10,314	10,314	7.1		
OPEB Current Payments	65,472	56,898	8,574	13.1	0,000	0,000	0,000	0.0	65,472	65,472	56,898	8,574	8,574	13.1		
Pensions	131,969	152,368	(20,620)	(15.6)	40,603	34,969	5,635	13.9	172,572	172,572	167,557	(4,985)	(4,985)	(2.9)		
Other Fringe Benefits	148,922	139,114	9,808	6.6	28,263	33,181	(4,918)	(17.4)	177,186	177,186	172,295	4,891	4,891	2.8		
Reimbursable Overhead	(20,658)	(48,380)	27,722	-	20,658	48,380	(27,722)	-	0,000	0,000	0,000	0,000	0,000	-		
Total Labor Expenses	\$1,124,163	\$1,017,954	\$106,209	9.4	\$300,569	\$339,890	(\$39,321)	(13.1)	\$1,424,731	\$1,424,731	\$1,357,844	\$66,888	\$66,888	4.7		
Non-Labor																
Electric Power	\$75,971	\$71,925	\$4,045	5.3	\$0,247	\$0,259	(\$0,012)	(5.0)	\$76,217	\$76,217	\$72,184	\$4,033	\$4,033	5.3		
Traction Power	62,713	60,796	1,916	3.1	\$0,000	\$0,000	0,000	-	62,713	62,713	\$60,796	1,916	1,916	3.1		
Non-Traction Power	13,258	11,129	2,129	16.1	\$0,247	\$0,259	(0,012)	(5.0)	13,505	13,505	\$11,388	2,117	2,117	15.7		
Fuel	16,293	13,459	2,834	17.4	0,000	0,000	0,000	-	16,293	16,293	\$13,459	2,834	2,834	17.4		
Revenue Vehicle Fuel	13,308	10,060	3,248	24.4	0,000	0,000	0,000	-	13,308	13,308	\$10,060	3,248	3,248	24.4		
Non-Revenue Fuel	2,985	3,399	(0,415)	(13.9)	0,000	0,000	0,000	-	2,985	2,985	\$3,399	(0,415)	(0,415)	(13.9)		
Insurance	20,182	19,597	585	2.9	7,593	6,521	1,071	14.1	27,775	27,775	\$26,119	1,656	1,656	6.0		
Claims	4,212	3,083	1,129	26.8	0,000	0,000	0,000	-	4,212	4,212	\$3,083	1,129	1,129	26.8		
Paratransit Service Contracts	0,000	0,000	0,000	-	0,000	0,000	0,000	-	0,000	0,000	0,000	0,000	0,000	-		
Maintenance and Other Operating Contracts	72,081	58,789	13,292	18.4	15,864	19,476	(3,612)	(22.8)	87,946	87,946	\$78,266	9,680	9,680	11.0		
Professional Service Contracts	46,832	37,396	9,436	20.1	1,314	4,655	(3,341)	-	48,146	48,146	\$42,051	6,094	6,094	12.7		
Materials & Supplies	148,892	82,760	66,132	44.4	62,679	48,259	14,420	23.0	211,571	211,571	\$131,018	80,552	80,552	29.4		
Other Business Expenses	11,646	14,851	(3,205)	(27.5)	0,490	0,853	(0,363)	(74.1)	12,137	12,137	\$15,704	(3,568)	(3,568)	(29.4)		
Total Non-Labor Expenses	\$396,109	\$301,861	\$94,248	23.8	\$88,187	\$90,024	\$8,163	9.3	\$484,295	\$484,295	\$381,885	\$102,411	\$102,411	21.1		
Other Expense Adjustments	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	\$0,000	\$0,000	-		
Total Other Expense Adjustments	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	\$0,000	\$0,000	-		
Total Expenses before Depreciation & Other Post Employment Benefits	\$1,520,272	\$1,319,815	\$200,457	13.2	\$388,755	\$419,914	(\$31,159)	(8.0)	\$1,908,027	\$1,908,027	\$1,739,728	\$168,298	\$168,298	8.9		
Depreciation	\$376,522	\$386,871	(10,349)	(2.7)	\$0,000	\$0,000	\$0,000	-	\$376,522	\$376,522	\$386,871	(\$10,349)	(\$10,349)	(2.7)		
GASB 75 OPEB Expense Adjustment	0,000	0,000	0,000	-	0,000	0,000	0,000	-	0,000	0,000	0,000	0,000	0,000	-		
GASB 68 Pension Expense Adjustment	0,000	0,000	0,000	-	0,000	0,000	0,000	-	0,000	0,000	0,000	0,000	0,000	-		
Environmental Remediation	1,833	3,205	(1,371)	(74.8)	0,000	0,000	0,000	-	1,833	1,833	3,205	(1,371)	(1,371)	(74.8)		
Total Expenses	\$1,898,627	\$1,709,891	\$188,736	9.9	\$388,755	\$419,914	(\$31,159)	(8.0)	\$2,287,382	\$2,287,382	\$2,129,805	\$157,578	\$157,578	6.9		
Net Surplus/(Deficit)	(\$1,111,754)	(\$914,971)	\$196,783	17.7	\$0,000	\$0,000	\$0,000	-	(\$1,111,754)	(\$1,111,754)	(\$914,971)	\$196,783	\$196,783	17.7		
Cash Conversion Adjustments																
Depreciation	\$376,522	\$386,871	\$10,349	2.7	\$0,000	\$0,000	\$0,000	-	\$376,522	\$376,522	\$386,871	\$10,349	\$10,349	2.7		
Operating/Capital	(13,932)	(6,471)	7,461	53.6	0,000	0,000	0,000	-	(13,932)	(13,932)	(6,471)	7,461	7,461	53.6		
Other Cash Adjustments	58,384	(29,894)	(88,278)	(15.3)	0,000	0,000	0,000	-	58,384	58,384	(29,894)	(88,278)	(88,278)	(15.3)		
Total Cash Conversion Adjustments	\$420,974	\$350,506	\$70,468	(16.7)	\$0,000	\$0,000	\$0,000	-	\$420,974	\$420,974	\$350,506	\$70,468	\$70,468	(16.7)		
Net Cash Surplus/(Deficit)	(\$690,779)	(\$564,465)	\$126,314	18.3	\$0,000	\$0,000	\$0,000	0.0	(\$690,779)	(\$690,779)	(\$564,465)	\$126,314	\$126,314	18.3		

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. For monthly reporting purposes only, the 12-month allocation reflects an adjustment to farebox and toll revenue projections captured in Volume 1 of the 2020 July Financial Plan.

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST
EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL: ACCRUAL BASIS
 (\$ in millions)

Generic Revenue or Expense Category	Non Reimb. Or Reimb.	November 2020		Year-to-Date November 2020		Reason for Variance
		Favorable/ (Unfavorable) Variance		Favorable/ (Unfavorable) Variance		
		\$	%	\$	%	
Revenue						
Farebox Revenue	Non Reimb.	1.050	7.0	(6.665)	(2.5)	Higher ridership \$1,995, partially offset by lower yield per passenger \$(0.945).
Other Operating Revenue	Non Reimb.	1.363	77.5	14.711	2.8	Primarily due to timing of miscellaneous revenue and higher rental revenue, partially offset by the timing of advertising revenue.
Capital & Other Reimbursements	Reimb.	3.293	10.6	31.159	8.0	Timing of capital project activity and interagency reimbursements.
Expenses						
Payroll	Non Reimb.	9.819	18.9	45.529	8.3	Primarily vacant positions and higher sick pay law claim credits, partially offset by the timing of retiree sick/vacation buyouts.
	Reimb.	(1.255)	(13.2)	(6.447)	(5.2)	Primarily due to timing of project activity.
Overtime	Non Reimb.	2.898	20.5	21.062	16.2	Primarily due to lower unscheduled/scheduled service, programmatic/routine maintenance and weather-related overtime, partially offset by higher unscheduled maintenance.
	Reimb.	(1.210)	(28.6)	(2.050)	(3.4)	Over-run attributed to the Concrete Tie Program and 3rd Track Expansion.
Health and Welfare	Non Reimb.	2.208	18.7	14.134	12.0	Vacant positions.
	Reimb.	(0.595)	(29.5)	(3.820)	(14.0)	Primarily due to timing of project activity.
OPEB Current Payment	Non Reimb.	1.184	19.1	8.574	13.1	Fewer retirees/beneficiaries.

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST
EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL: ACCRUAL BASIS
 (\$ in millions)

Generic Revenue or Expense Category	Non Reimb. Or Reimb.	November 2020			Year-to-Date November 2020		
		Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
		\$	%		\$	%	
Pensions	Non Reimb.	(5.359)	(43.3)	Due to the timing of pension payments and an under-estimation of the non-reimbursable pension allocation which offsets an over-estimation of the reimbursable pension allocation.	(20.620)	(15.6)	Due to the timing of pension payments and an under-estimation of the non-reimbursable pension allocation which offsets an over-estimation of the reimbursable pension allocation.
	Reimb.	0.359	11.0	Due to the over-estimation of the reimbursable pension allocation which offsets an under-estimation of the non-reimbursable pension allocation.	5.635	13.9	Due to the over-estimation of the reimbursable pension allocation which offsets an under-estimation of the non-reimbursable pension allocation.
Other Fringe Benefits	Non Reimb.	(0.208)	(2.4)	Higher FELA indemnity reserves, partially offset by lower Railroad Retirement Taxes.	9.808	6.6	Lower Railroad Retirement Taxes, partially offset by higher FELA indemnity reserves.
	Reimb.	(0.711)	(34.5)	Primarily due to timing of project activity.	(4.918)	(17.4)	Primarily due to timing of project activity.
Reimbursable Overhead	Non Reimb.	3.885	*	Primarily due to timing of project activity.	27.722	*	Primarily due to timing of project activity.
	Reimb.	(3.885)	*	Primarily due to timing of project activity.	(27.722)	*	Primarily due to timing of project activity.
Electric Power	Non Reimb.	(0.192)	(3.2)	Higher rates, partially offset by NYPA credit and lower consumption.	4.045	5.3	Lower consumption, partially offset by higher rates.
	Reimb.	(0.003)	(13.8)		(0.012)	(5.0)	
Fuel	Non Reimb.	0.410	24.1	Lower rates.	2.834	17.4	Lower rates and consumption, and the timing of accruals.
Insurance	Non Reimb.	0.092	4.7	Lower liability insurance.	0.585	2.9	Lower liability and property insurance.
	Reimb.	0.019	3.6	Force Account Insurance associated with project activity.	1.071	14.1	Force Account Insurance associated with project activity.
Claims	Non Reimb.	(0.294)	(71.4)	Timing of claim payments.	1.129	26.8	Timing of claim payments.

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST
EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL: ACCRUAL BASIS
 (\$ in millions)

Generic Revenue or Expense Category	Non Reimb. Or Reimb.	November 2020			Year-to-Date November 2020		
		Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
		\$	%		\$	%	
Maintenance & Other Operating Contracts	Non Reimb.	2.154	29.3	13.292	18.4	Primarily lower hazardous waste clean-up, real estate rentals, joint facility maintenance, elevator/escalator maintenance, vegetation management and the timing of security system maintenance and maintenance and other operating contracts, partially offset by higher project related equipment/vehicle rentals.	
	Reimb.	0.799	44.5	(3.612)	(22.8)	Primarily due to timing of project activity.	
Professional Service Contracts	Non Reimb.	1.901	39.0	9.435	20.1	Primarily due to the timing of MTA Chargebacks, rolling stock decommissioning, Covid-19 related expenses and engineering consultant services, partially offset by the timing of payments for biometrics and legal fees.	
	Reimb.	(0.565)	*	(3.341)	*	Primarily due to timing of project activity.	
Materials & Supplies	Non Reimb.	12.121	69.6	66.132	44.4	Primarily timing of modifications and reliability centered maintenance for revenue fleet, right of way material, Covid-19 cleaning supplies and security system installation, partially offset by higher miscellaneous inventory adjustments.	
	Reimb.	3.776	51.2	14.420	23.0	Primarily due to timing of project activity.	
Other Business Expenses	Non Reimb.	0.356	22.1	(3.205)	(27.5)	Primarily timing of bad debt, partially offset by lower travel meetings & conventions, office supplies and other miscellaneous expenses.	
	Reimb.	(0.024)	(84.8)	(0.363)	(74.1)	Primarily due to timing of project activity.	
Depreciation	Non Reimb.	(0.928)	(2.7)	(10.349)	(2.7)	Based on certain capital assets being fully depreciated.	

Table 4

MTA LONG ISLAND RAIL ROAD JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST CASH RECEIPTS and EXPENDITURES November 2020 (\$ in millions)									
	Month			Year-to-Date			Favorable (Unfavorable)		
	Forecast	Actual	Variance	Percent	Forecast	Actual	Variance	Percent	Favorable (Unfavorable)
Receipts									
Farebox Revenue	\$15,204	\$16,220	\$1,016	6.7	\$268,904	\$263,673	(\$5,231)	(1.9)	
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	
Other Operating Revenue	0.507	1.942	1.435	*	518,423	532,197	13,774	2.7	
Capital & Other Reimbursements	40,121	26,799	(13,322)	(33.2)	392,048	361,960	(30,088)	(7.7)	
Total Receipts	\$55,832	\$44,961	(\$10,871)	(19.5)	\$1,179,375	\$1,157,830	(\$21,545)	(1.8)	
Expenditures									
<i>Labor:</i>									
Payroll	\$58,616	\$51,025	\$7,591	13.0	\$649,474	\$612,263	\$37,211	5.7	
Overtime	17,634	15,439	2,195	12.4	185,798	164,770	21,028	11.3	
Health and Welfare	13,847	11,929	1,918	13.9	143,247	131,710	11,537	8.1	
OPEB Current Payment	6,206	5,153	1,053	17.0	64,897	56,810	8,087	12.5	
Pensions	15,643	20,419	(4,776)	(30.5)	171,891	184,561	(12,670)	(7.4)	
Other Fringe Benefits	11,861	1,510	10,351	87.3	181,096	81,404	99,692	55.0	
GASB	0.000	0.000	0.000	-	0.000	0.000	0.000	-	
Reimbursable Overhead	0.000	0.000	0.000	-	0.000	0.000	0.000	-	
Total Labor Expenditures	\$123,807	\$105,475	\$18,332	14.8	\$1,396,403	\$1,231,517	\$164,886	11.8	
<i>Non-Labor:</i>									
Electric Power	\$6,057	\$3,050	\$3,007	49.6	\$79,649	\$72,210	\$7,439	9.3	
Fuel	1,742	0,805	0,937	53.8	16,931	13,797	3,134	18.5	
Insurance	0,000	3,827	(3,827)	-	23,925	23,452	0,473	2.0	
Claims	0,228	0,077	0,151	66.4	1,715	2,476	(0,761)	(44.4)	
Paratransit Service Contracts	0,000	0,000	0,000	-	0,000	0,000	0,000	-	
Maintenance and Other Operating Contracts	9,226	4,449	4,777	51.8	91,649	78,459	13,190	14.4	
Professional Service Contracts	2,920	2,620	0,300	10.3	38,534	29,677	8,857	23.0	
Materials & Supplies	17,072	11,992	5,080	29.8	201,791	174,329	27,462	13.6	
Other Business Expenses	2,000	0,917	1,083	54.2	14,880	12,545	2,335	15.7	
Total Non-Labor Expenditures	\$39,245	\$27,736	\$11,509	29.3	\$469,074	\$406,945	\$62,129	13.2	
<i>Other Expenditure Adjustments:</i>									
Other	\$0,198	\$0,239	(\$0,041)	(20.5)	\$4,677	\$5,204	(\$0,527)	(11.3)	
Total Other Expenditure Adjustments	\$0,198	\$0,239	(\$0,041)	(20.5)	\$4,677	\$5,204	(\$0,527)	(11.3)	
Total Expenditures	\$163,250	\$133,449	\$29,801	18.3	\$1,870,154	\$1,643,667	\$226,487	12.1	
Cash Timing and Availability Adjustment	0.000	(8,862)	(8,862)	-	0.000	(78,628)	(78,628)	-	
Net Cash Deficit (excludes opening balance)	(\$107,418)	(\$97,350)	\$10,067	9.4	(\$690,779)	(\$564,465)	\$126,314	18.3	
Subsidies									
MTA	107,418	83,866	(23,552)	(21.9)	793,503	662,307	(131,197)	(16.5)	

For monthly reporting purposes only, the 12-month allocation reflects an adjustment to farebox and toll revenue projections captured in Volume 1 of the 2020 July Financial Plan.

Table 5

MTA LONG ISLAND RAIL ROAD
 JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST
 EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL CASH BASIS

Generic Revenue or Expense Category	November 2020		Year-to-Date as of November 2020		Reason for Variance
	Favorable/ (Unfavorable) Variance		Favorable/ (Unfavorable) Variance		
	\$	%	\$	%	
Receipts					
Farebox Revenue	1.016	6.7	(5.231)	(1.9)	Higher ridership \$1.995 and higher advance sales impact \$0.043, partially offset by lower yields \$(0.945) and lower MetroCard/AirTrain sales \$(0.077).
Other Operating Revenue	1.435	*	13.774	2.7	Primarily due to the timing of miscellaneous revenue and higher rental revenue.
Capital and Other Reimbursements	(13.322)	(33.2)	(30.088)	(7.7)	Timing of activity and reimbursement for capital and other reimbursements.
Expenditures					
Labor:					
Payroll	7.591	13.0	37.211	5.7	Primarily due to vacant positions.
Overtime	2.195	12.4	21.028	11.3	Primarily due to vacant positions and higher sick pay law claim credits, partially offset by the timing of retiree sick/vacation buyouts.
Health and Welfare	1.918	13.9	11.537	8.1	Primarily due to lower unscheduled/scheduled service, programmatic/routine maintenance and weather-related overtime, partially offset by higher project overtime and unscheduled maintenance.
OPEB Current Payment	1.053	17.0	8.087	12.5	Primarily due to vacant positions and intercompany reimbursements.

Table 5

**MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST
EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL CASH BASIS**

Generic Revenue or Expense Category	November 2020			Year-to-Date as of November 2020		
	Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
	\$	%		\$	%	
Pensions	(4.776)	(30.5)	Due to the timing of pension payments.	(12.670)	(7.4)	Due to the timing of pension payments, partially offset by intercompany reimbursements.
Other Fringe Benefits	10.351	87.3	Primarily due to lower Railroad Retirement Tax which reflects the deferral of the employer portion of payroll taxes due to the CARES act and the timing of FELA payments.	99.692	55.0	Primarily due to lower Railroad Retirement Tax which reflects the deferral of the employer portion of payroll taxes due to the CARES act, the timing of FELA payments and intercompany reimbursements, partially offset by higher meal payments.
Non-Labor:						
Electric Power	3.007	49.6	Primarily the timing of traction payments and lower consumption, partially offset by higher rates.	7.439	9.3	Primarily due to lower consumption and the timing of traction payments, partially offset by higher rates.
Fuel	0.937	53.8	Primarily due to lower rates and the timing of payments.	3.134	18.5	Primarily due to lower rates and consumption.
Insurance	(3.827)	-	Timing of insurance premium payments.	0.473	2.0	Timing of insurance premium payments.
Claims	0.151	66.4	Timing of payments for claims.	(0.761)	(44.4)	Higher payments for claims.
Maintenance and Other Operating Contracts	4.777	51.8	Timing of payments.	13.190	14.4	Timing of payments.
Professional Service Contracts	0.300	10.3	Primarily due to the timing of payments for consulting services.	8.857	23.0	Primarily due to timing of payments for MTA Chargeback and other consultant contracts.
Materials and Supplies	5.080	29.8	Primarily the timing of program, production plan, and operating funded capital material and supplies.	27.462	13.6	Primarily the timing of program, production plan, and operating funded capital material and supplies.

Table 5

MTA LONG ISLAND RAIL ROAD
 JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST
 EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL CASH BASIS

Generic Revenue or Expense Category	November 2020		Year-to-Date as of November 2020		Reason for Variance
	Favorable/ (Unfavorable) Variance		Favorable/ (Unfavorable) Variance		
	\$	%	\$	%	
Other Business Expenses	1.083	54.2	2.335	15.7	Primarily lower travel meetings & conventions and other miscellaneous expenses and the timing of other business expenses, partially offset by higher credit/debit card fees.
Other Expenditure Adjustments	(0.041)	(20.5)	(0.527)	(11.3)	Higher MetroCard/AirTrain pass through payments.

Table 6

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST
CASH CONVERSION (CASH FLOW ADJUSTMENTS)
November 2020
(\$ in millions)

	Month				Year-to-Date			
	Forecast		Favorable (Unfavorable)		Forecast		Favorable (Unfavorable)	
	Actual	Variance	Percent	Actual	Variance	Actual	Variance	Percent
Receipts								
Farebox Revenue	\$0.298	\$0.264	(\$0.034)	(11.4)	\$4.805	\$6.238	\$1.434	29.8
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	(1.252)	(1.180)	0.073	5.8	(4.351)	(5.288)	(0.937)	(21.5)
Capital & Other Reimbursements	9.072	(7.543)	(16.615)	*	3.293	(57.954)	(61.247)	*
Total Receipts	\$8.118	(\$8.458)	(\$16.576)	*	\$3.746	(\$57.004)	(\$60.750)	*
Expenditures								
Labor:								
Payroll	\$2.778	\$1.804	(\$0.973)	(35.0)	\$24.398	\$22.527	(\$1.871)	(7.7)
Overtime	0.747	1.254	0.507	67.8	4.332	6.348	2.016	46.5
Health and Welfare	0.000	0.305	0.305	*	2.253	3.476	1.223	54.3
OPEB Current Payment	(0.000)	(0.132)	(0.132)	*	0.575	0.088	(0.487)	(84.8)
Pensions	(0.000)	0.224	0.224	*	0.681	2.997	2.316	*
Other Fringe Benefits	(1.305)	9.964	11.269	*	(3.910)	90.891	94.802	*
GASB	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Reimbursable Overhead	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Total Labor Expenditures	\$2.219	\$13.420	\$11.200	*	\$28.328	\$126.326	\$97.998	*
Non-Labor:								
Electric Power	(\$0.001)	\$3.202	\$3.202	*	(\$3.432)	(\$0.025)	\$3.406	99.3
Fuel	(0.036)	0.491	0.527	*	(0.638)	0.300	0.300	47.0
Insurance	2.489	(1.450)	(3.938)	*	3.850	2.666	(1.183)	(30.7)
Claims	0.184	0.629	0.446	*	2.497	0.607	(1.890)	(75.7)
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	(0.078)	1.746	1.825	*	(3.703)	(0.193)	3.510	94.8
Professional Service Contracts	2.026	0.991	(1.036)	(51.1)	9.612	12.375	2.763	28.7
Materials & Supplies	7.715	(3.103)	(10.817)	*	9.780	(43.311)	(53.090)	*
Other Business Expenses	(0.363)	0.387	0.751	*	(2.743)	3.159	5.902	*
Total Non-Labor Expenditures	\$11.935	\$2.894	(\$9.041)	(75.8)	\$15.221	(\$25.060)	(\$40.282)	*
Other Expenditure Adjustments:								
Other	(\$0.198)	(\$0.239)	(\$0.041)	(20.5)	(\$4.677)	(\$5.204)	(\$0.527)	(11.3)
Total Other Expenditure Adjustments	(\$0.198)	(\$0.239)	(\$0.041)	(20.5)	(\$4.677)	(\$5.204)	(\$0.527)	(11.3)
Total Expenditures before Depreciation	\$13.957	\$16.075	\$2.118	15.2	\$38.873	\$96.062	\$57.189	*
Depreciation Adjustment	\$33.924	\$34.851	\$0.928	2.7	\$376.522	\$386.871	\$10.349	2.7
GASB 75 OPEB Expense Adjustment	0.000	0.000	0.000	-	0.000	0.000	0.000	-
GASB 68 Pension Expense Adjustment	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Environmental Remediation	0.167	0.167	0.000	0.0	1.833	3.205	1.371	74.8
Total Expenditures	\$48.047	\$51.093	\$3.046	6.3	\$417.228	\$486.138	\$68.910	16.5
Cash Timing and Availability Adjustment	0.000	(8.862)	(8.862)	-	0.000	(78.628)	(78.628)	-
Total Cash Conversion Adjustments	\$56.166	\$33.773	(\$22.393)	(39.9)	\$420.974	\$350.506	(\$70.468)	(16.7)

For monthly reporting purposes only, the 12-month allocation reflects an adjustment to farebox and toll revenue projections captured in Volume 1 of the 2020 July Financial Plan.

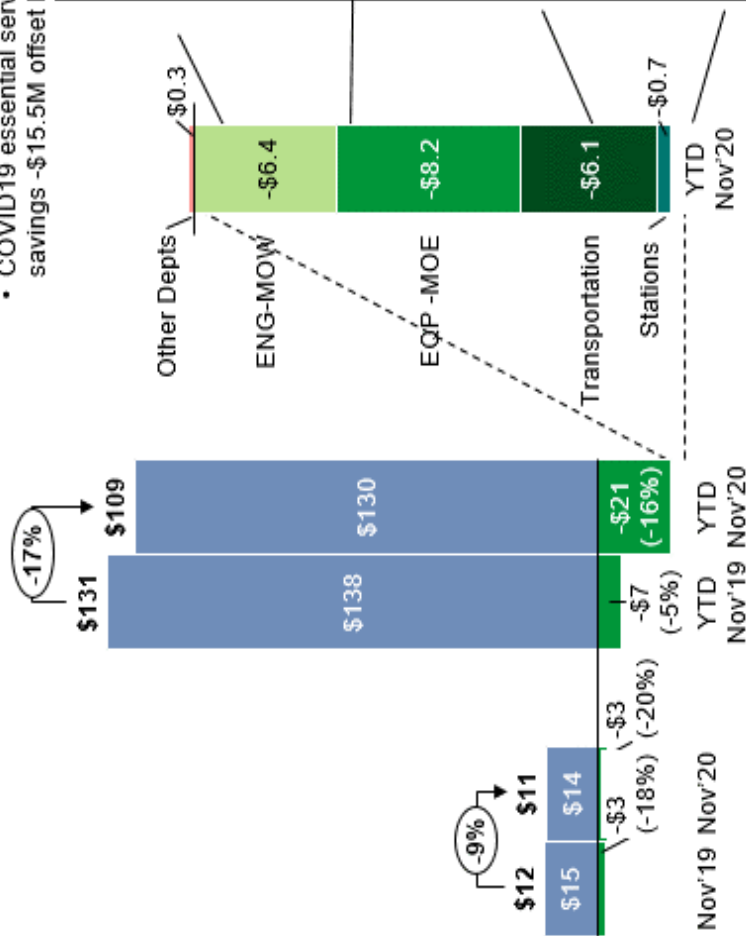
LIRR – Non-Reimbursable Overtime Variance

November 2020 and YTD Mid-Year Forecast vs. variance

Overview

- Overall decrease of -\$22M or -17% compared to YTD November 2019
- -\$21M or -16% below 2020 Mid-Year Forecast
- Management actions including the introduction of a more rigorous approval process, tightened procedures and a comprehensive project prioritization effort helped produce a reduction in overtime spending.
- COVID19 essential service plan savings -\$6.4M; (COVID19 indirect overtime savings -\$15.5M offset by COVID19 cleaning expenses \$9.1M).

■ Favorable
■ Unfavorable
■ Mid-Year Forecast



<p>Underrun of -\$6.4M driven by -\$7.2M lower maintenance (LIRR Forward impacts and tightened management procedures), -\$1.4M weather offset by \$1.5M accrual timing/wage differences, \$0.7M vacancy/absentee coverage due to FRA-mandated signal coverage staff requirements.</p>
<p>Underrun of -\$8.2M driven by -\$6.0M lower maintenance due to the efficient implementation of the COVID19 essential service plan, -\$3.9M vacancy/absentee coverage due to the efficient implementation of the COVID19 essential service plan, -\$0.9M weather, -\$0.6M scheduled service offset by \$2.2M related to COVID19 cleaning efforts. \$0.9M accrual timing/wage differences.</p>
<p>Underrun of -\$6.1M driven by -\$3.1M vacancy/absentee coverage related to fewer tours as a result of the efficient management of the COVID19 essential service plan, -\$2.4M unscheduled savings impacted by COVID19 service reductions and improved service reliability, -\$0.8M scheduled service (less Train & Engine hours) offset by \$0.1M weather.</p>
<p>Underrun of -\$0.7M driven by -\$0.6M as a result of effective cost management of COVID19 cleaning efforts, -\$0.1M vacancy/absentee coverage related to COVID19, -\$0.2M schedule service offset by \$0.3M accrual timing/wage differences.</p>

Source: Adopted (restated) budget. GL actuals for actual overtime spending.

LIRR – Reimbursable Overtime Variance

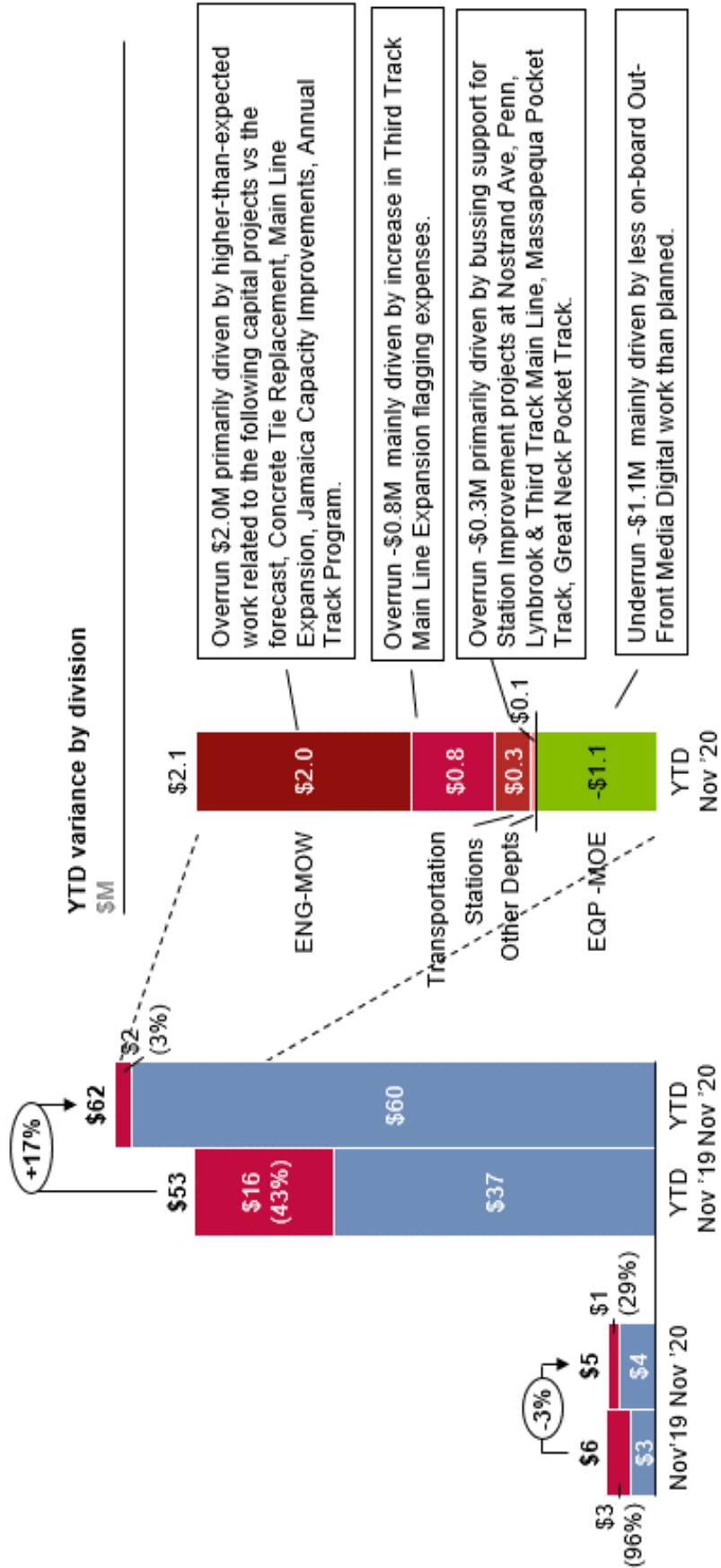
November 2020 and YTD Mid-Year Forecast vs. variance



Mid-Year Forecast FY \$64M

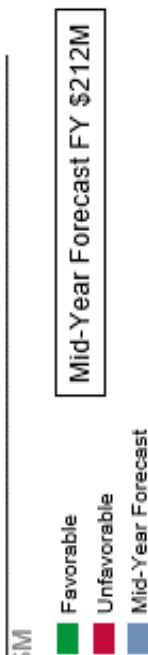
Overview

- Overall increase of \$9M or 17% compared to YTD November 2019
- \$2.1M or 3% above 2020 Mid-Year Forecast.
- A combination of favorable weather in the YTD and a decision to accelerate the LIRR capital work to earlier in year than expected.

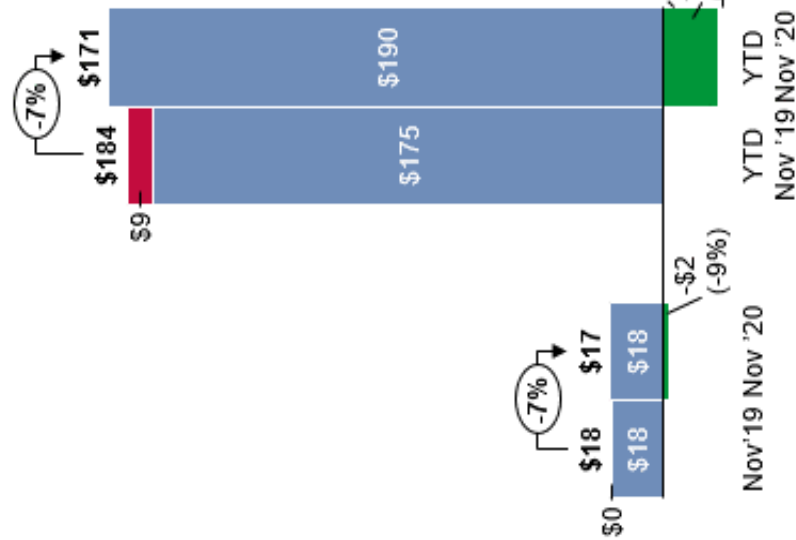


LIRR – Total Overtime Variance

November 2020 and YTD Mid-Year Forecast vs. variance

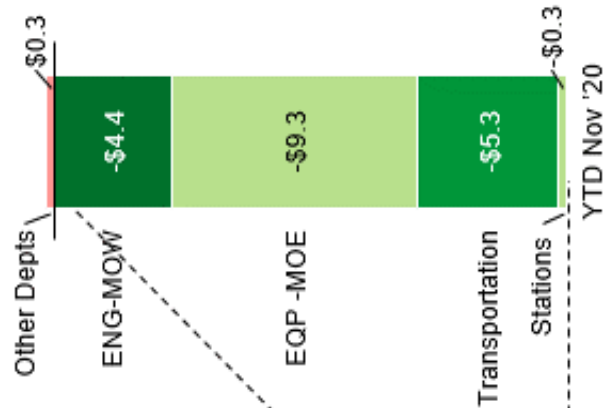


Mid-Year Forecast FY \$212M



Overview

- Overall decrease of -\$13M or -7% compared to YTD November 2019
- -\$19M or -10% below 2020 mid-year forecast
- -\$32M or -18% below YTD November 2018
- Non-Reimbursable underrun of -\$21.1M
- Reimbursable overrun of \$2.1M
- Management actions including the introduction of a more rigorous approval process, tightened procedures and a comprehensive project prioritization effort helped produce a reduction in overtime spending.
- COVID19 essential service plan savings -\$6.4M; (COVID19 indirect overtime savings -\$15.5M offset by COVID19 cleaning expenses \$9.1M).



MTA LONG ISLAND RAIL ROAD
 JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST
 TOTAL POSITIONS BY FUNCTION AND DEPARTMENT
 NON-REIMBURSABLE/REIMBURSABLE AND FULL-TIME/FULL-TIME EQUIVALENTS
 END-of-MONTH NOVEMBER 2020

	Forecast	Actual	Variance	Favorable/ (Unfavorable)
Administration				
Executive VP	1	1	0	
Enterprise Asset Management	7	5	2	
Sr. Vice President - Engineering	2	1	1	
Labor Relations	17	14	3	
Procurement & Logistics (excl. Stores)	72	53	19	
Human Resources	37	33	4	
Sr. VP Administration	2	2	0	
Strategic Investments	14	13	1	
President	8	7	1	
VP & CFO	2	2	0	
Controller	44	41	3	
Management & Budget	17	15	2	
BPM, Controls & Compliance	4	4	0	
Market Dev. & Public Affairs	70	65	5	
Gen. Counsel & Secretary	30	26	4	
Diversity Management	3	3	0	
Security	15	11	4	
System Safety	46	39	7	
Training	69	65	4	
Service Planning	30	26	4	
Rolling Stock Programs	17	9	8	
Sr. Vice President - Operations	2	1	1	
Total Administration	509	436	73	
Operations				
Transportation Services - Train Operations	2,402	2,300	102	
Customer Services	392	316	76	
Total Operations	2,795	2,616	179	
Maintenance				
Engineering	2,074	1,953	121	
Equipment	2,194	2,067	127	
Procurement (Stores)	95	98	(3)	
Total Maintenance	4,363	4,118	245	
Engineering/Capital				
Department of Program Management	152	118	34	
Special Projects	63	48	15	
Positive Train Control	14	14	0	
Total Engineering/Capital	229	180	49	
Baseline Total Positions	7,895	7,350	545	
Non-Reimbursable	6,735	6,059	676	
Reimbursable	1,160	1,291	(131)	
Total Full-Time	7,895	7,350	545	
Total Full-Time-Equivalents				

Note: Totals may not add due to rounding

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST
FULL-TIME POSITIONS and FULL-TIME EQUIVALENTS
NON-REIMBURSABLE and REIMBURSABLE
END-of-MONTH NOVEMBER 2020

Explanation of Variances
<p>NON-REIMBURSABLE POSITIONS - Favorable 676 positions due to Train Operations vacancies and workforce working on capital project activity instead of operating activities, and vacancies in Maintenance of Equipment, Engineering, Stations and other administrative departments.</p>
<p>REIMBURSABLE POSITIONS - Unfavorable 131 positions primarily due to increased project activity in Train Operations and Engineering, partially offset by reduced project activity in Project Management, Special Projects, Procurement & Logistics and other administrative departments.</p>

MTA LONG ISLAND RAIL ROAD
 JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST
 TOTAL FULL-TIME POSITIONS and FULL-TIME EQUIVALENTS by FUNCTION and OCCUPATION
 END-of-MONTH NOVEMBER 2020

	Forecast	Actual	Favorable/ (Unfavorable) Variance
Administration			
Managers/Supervisors	271	239	32
Professional, Technical, Clerical	134	89	45
Operational Hourlies	104	108	(4)
Total Administration	509	436	73
Operations			
Managers/Supervisors	342	298	44
Professional, Technical, Clerical	112	97	15
Operational Hourlies	2,341	2,221	120
Total Operations	2,795	2,616	179
Maintenance			
Managers/Supervisors	908	774	134
Professional, Technical, Clerical	320	239	81
Operational Hourlies	3,135	3,105	30
Total Maintenance	4,363	4,118	245
Engineering/Capital			
Managers/Supervisors	160	136	24
Professional, Technical, Clerical	69	44	25
Operational Hourlies	0	0	0
Total Engineering/Capital	229	180	49
Total Positions			
Managers/Supervisors	1,681	1,447	234
Professional, Technical, Clerical	635	469	166
Operational Hourlies	5,580	5,434	146
Total Positions	7,895	7,350	545

Note: Totals may not add due to rounding

**MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2020 MID YEAR
RIDERSHIP
(In Millions)**

	NOVEMBER 2020						NOVEMBER YEAR TO DATE 2020						
	Month		Variance				YTD		Variance				
	Mid Year	Actual 2020	Adjusted* 2019	Mid Year	#	%	Adjusted* 2019	Actual 2020	Adjusted* 2019	Mid Year	#	%	Adjusted* 2019
RIDERSHIP													
Monthly	0.860	0.595	3.748	(0.265)	(0.265)	-30.8%	(3.153)	12.912	44.310	(2.229)	(2.229)	-14.7%	(31.398)
Weekly	0.034	0.039	0.169	0.005	0.005	15.1%	(0.129)	0.786	2.263	(0.050)	(0.050)	-6.0%	(1.477)
Total Commutation	0.894	0.634	3.916	(0.260)	(0.260)	-29.1%	(3.282)	13.698	46.573	(2.279)	(2.279)	-14.3%	(32.875)
One-Way Full Fare	0.190	0.143	0.811	(0.047)	(0.047)	-24.8%	(0.668)	2.892	9.355	(0.352)	(0.352)	-10.8%	(6.463)
One-Way Off-Peak	0.365	0.659	1.568	0.294	0.294	80.4%	(0.909)	7.279	17.191	1.287	1.287	21.5%	(9.912)
All Other	0.223	0.460	0.921	0.237	0.237	106.4%	(0.460)	4.580	10.354	0.874	0.874	23.6%	(5.773)
Total Non-Commutation	0.779	1.262	3.299	0.484	0.484	62.1%	(2.037)	14.752	36.899	1.809	1.809	14.0%	(22.147)
Total	1.672	1.896	7.216	0.224	0.224	13.4%	(5.320)	28.450	83.472	(0.471)	(0.471)	-1.6%	(55.022)

*Prior year adjusted to reflect current year calendar.

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST
MONTHLY PERFORMANCE INDICATORS
 November 2020

	MONTH		VARIANCE	
	Actual 2020	Forecast ⁽⁵⁾ 2020	Actual 2019	vs. Forecast 2019
Farebox Operating Ratio				
Standard ⁽¹⁾	13.8%	10.1%	53.4%	3.7%
Adjusted ⁽²⁾⁽⁴⁾	18.2%	12.1%	59.8%	6.1%
Cost Per Passenger				
Standard ⁽¹⁾	\$61.00	\$88.68	\$16.57	\$27.68 (\$44.43)
Adjusted ⁽²⁾	\$55.24	\$82.51	\$15.38	\$27.27 (\$39.86)
Passenger Revenue/Passenger ⁽³⁾	\$8.41	\$8.91	\$8.84	(\$0.50) (\$0.43)
	YEAR-TO-DATE		VARIANCE	
	Actual 2020	Forecast 2020	Actual 2019	vs. Forecast 2019
Farebox Operating Ratio				
Standard ⁽¹⁾	19.4%	17.2%	51.1%	2.2%
Adjusted ⁽²⁾⁽⁴⁾	23.5%	20.1%	57.6%	3.4%
Cost Per Passenger				
Standard ⁽¹⁾	\$46.62	\$53.05	\$16.49	\$6.43 (\$30.13)
Adjusted ⁽²⁾	\$42.83	\$49.27	\$15.36	\$6.44 (\$27.47)
Passenger Revenue/Passenger ⁽³⁾	\$9.05	\$9.13	\$8.43	(\$0.08) \$0.62

(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 Hampton Seat Reservations.

(4) Adjusted Farebox Operating Ratio Excludes the Coronavirus Aid, Relief and Economic Security Act (CARES Act) reimbursement.

(5) For monthly reporting purposes only, the 12-month allocation reflects the utilization impact of an adjustment to farebox and toll revenue projections captured in Volume 1 of the 2020 July Financial Plan.

MTA LONG ISLAND RAIL ROAD
MID-YEAR FORECAST AND NOVEMBER FORECAST vs. ACTUAL RESULTS (NON-REIMBURSABLE)
NOVEMBER 2020 YEAR-TO-DATE
(\$ in millions)

	November Year-to-Date		Favorable(Unfavorable) Variance	
	Mid-Year Forecast	November Forecast	Mid-Year Forecast	November Forecast
	\$	\$	\$	\$
			%	%
Total Revenue	786.9	801.2	8.0	(6.3)
Total Expenses before Non-Cash Liability Adjs	1,520.3	1,405.5	200.5	85.7
Depreciation	376.5	379.6	(10.3)	(7.3)
OPEB Obligation	-	-	-	-
GASB 68 Pension Expense Adjustment	-	-	-	-
Environmental Remediation	1.8	2.1	(1.4)	(1.2)
Total Expenses	1,898.6	1,787.2	188.7	77.3
Net Surplus/(Deficit)	(1,111.8)	(986.0)	196.8	71.0
			17.7	7.2

MTA LONG ISLAND RAIL ROAD
EXPLANATION OF VARIANCES BETWEEN NOVEMBER FORECAST AND ACTUAL RESULTS
NON-REIMBURSABLE
NOVEMBER 2020 YEAR-TO-DATE
(\$ in millions)

	<u>Favorable/(Unfavorable)</u> Variance	<u>Percent</u>	<u>Variance Explanation</u>
Total Revenue	(\$6.3)	(0.8)	Lower farebox and advertising revenue, partially offset by higher rental revenue.
Total Expenses	\$77.3	4.3	Favorable labor expenses due to vacant positions and associated fringe costs, lower fleet maintenance and modifications, overtime and OPEB current expenses, and the timing of maintenance & other operating contracts and professional services, partially offset by higher depreciation, FELA indemnity reserves, bad debt reserves and miscellaneous inventory adjustments.

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



Long Island Rail Road

Ridership Report Highlights

December 2020 vs. 2019

- Total ridership decreased -76.5% compared to December 2019 (1,837,257 in December 2020 vs. 7,820,599 in December 2019).
- Commutation ridership decreased -85.2% compared to December 2019
- Non-Commutation ridership decreased -66.4% compared to December 2019
- The December 2020 ridership loss is attributed to the impact of COVID-19.

2020 vs. 2019 YTD

- Total YTD ridership is -66.8% below 2019 and -1.4% below the Mid-Year Forecast
- YTD Commutation ridership is -71.8% below 2019
- YTD Non-Commutation ridership is -60.6% below 2019

Mark Young

Vice President

Management & Finance and Chief Financial Officer

MTA LONG ISLAND RAIL ROAD

MONTHLY RIDERSHIP REPORT

December 2020

**December 2020 RIDERSHIP & REVENUE REPORT
MTA LONG ISLAND RAIL ROAD**

EXECUTIVE SUMMARY

December Ridership and Revenue (millions)

	December 2020	% Change vs. 2019
Total Rail Ridership	1.837	-76.5% ▼
Commutation Ridership	0.621	-85.2% ▼
Non-Commutation Ridership	1.217	-66.4% ▼
Rail Revenue	\$14.9	-77.2% ▼

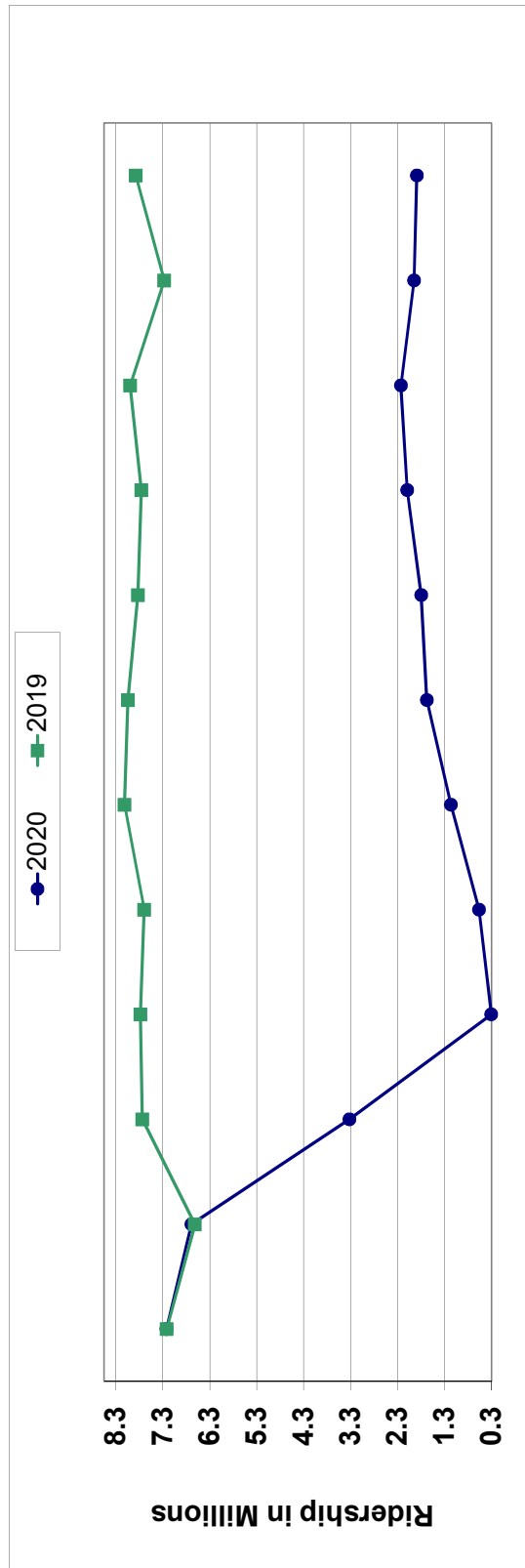
Year-to-Date through December Prelim. Ridership and Revenue (millions)

	December 2020	% Change vs. 2019	Comparison to Mid Year
Total Rail Ridership	30.287	-66.8% ▼	-1.4% ▼
Commutation Ridership	14.319	-71.8% ▼	-15.5% ▼
Non-Commutation Ridership	15.969	-60.6% ▼	15.9% ▲
Rail Revenue	\$272.4	-64.6% ▼	-2.5% ▼

Please Note: Ridership is based on ticket sales data.

December RIDERSHIP

- December Total Ridership was -76.5% below '19 and 1.9% above 2020 Mid Year.

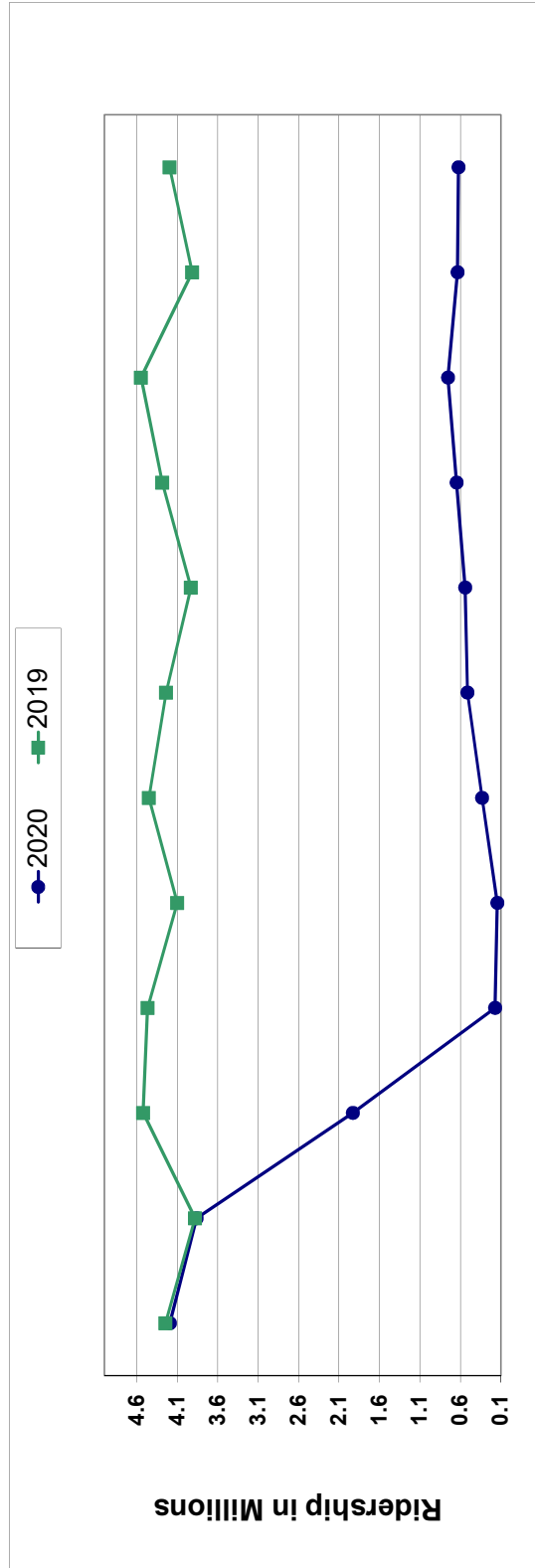


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2020	7.2	6.6	3.3	0.3	0.5	1.1	1.6	1.7	2.0	2.2	1.9	1.8	30.3
2019	7.2	6.6	7.7	7.7	7.6	8.1	8.0	7.8	7.7	7.9	7.2	7.8	91.3
PCT CHG.	0.1%	1.1%	-57.4%	-96.7%	-93.3%	-86.2%	-79.7%	-77.5%	-73.5%	-72.6%	-73.7%	-76.5%	-66.8%

Please Note: Ridership is based on ticket sales data.

December COMMUTATION RIDERSHIP

- December Commutation Ridership was -85.2% below '19 and -35.6% below 2020 Mid Year.

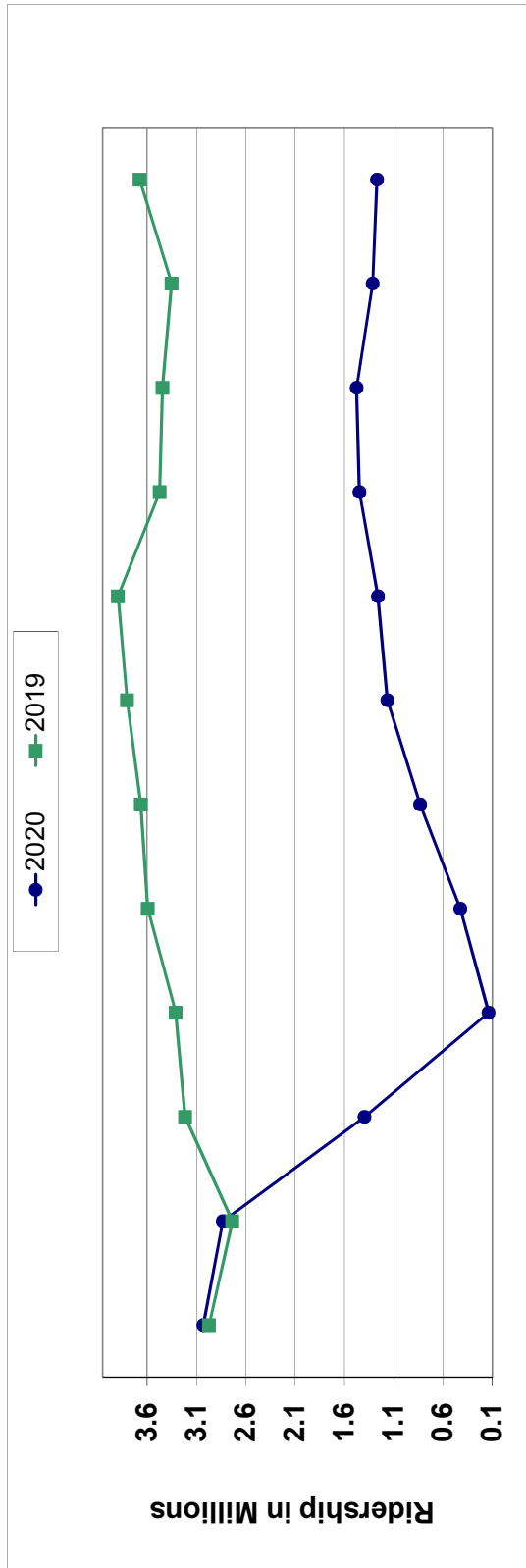


		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total
2020		4.2	3.9	1.9	0.2	0.1	0.3	0.5	0.5	0.6	0.8	0.6	0.6	14.3
2019		4.2	3.9	4.5	4.5	4.1	4.4	4.2	3.9	4.3	4.5	3.9	4.2	50.8
PCT CHG.		-1.2%	-0.5%	-57.3%	-96.2%	-96.5%	-92.6%	-88.0%	-86.3%	-85.0%	-83.5%	-83.8%	-85.2%	-71.8%

Please Note: Ridership is based on ticket sales data.

December NON-COMMUTATION RIDERSHIP

- December Non-Commutation Ridership was -66.4% below '19 and 44.9% above 2020 Mid Year.

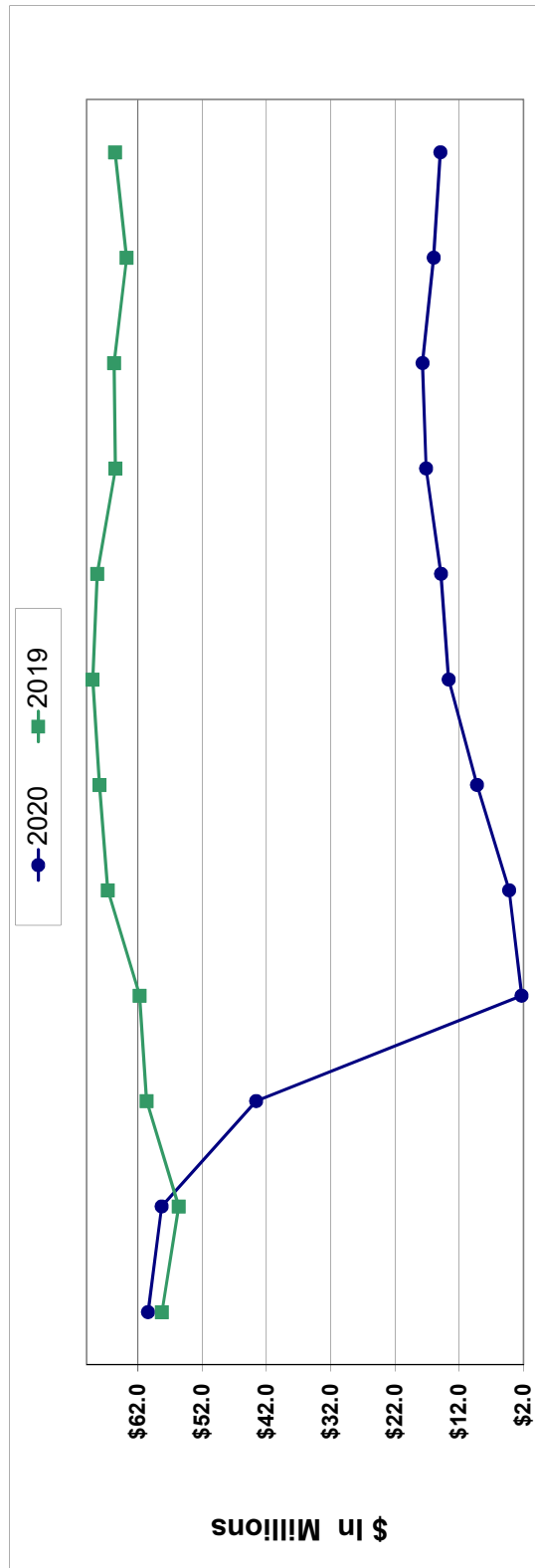


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2020	3.0	2.8	1.3	0.1	0.4	0.8	1.1	1.2	1.4	1.4	1.3	1.2	16.0
2019	2.9	2.7	3.2	3.3	3.5	3.6	3.8	3.8	3.4	3.4	3.3	3.6	40.5
PCT CHG.	2.0%	3.5%	-57.5%	-97.4%	-89.4%	-78.4%	-70.4%	-68.5%	-59.2%	-58.0%	-61.7%	-66.4%	-60.6%

Please Note: Ridership is based on ticket sales data.

December REVENUE

- December Total Revenue was -77.2% below '19 and -1.3% below 2020 Mid Year.



	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2020	\$60.4	\$58.3	\$43.6	\$22.3	\$4.2	\$9.3	\$13.7	\$14.9	\$17.2	\$17.7	\$16.0	\$14.9	\$272.4
2019	\$58.3	\$55.7	\$60.7	\$61.7	\$66.7	\$68.0	\$69.1	\$68.3	\$65.5	\$65.7	\$63.8	\$65.5	\$768.7
PCT CHG.	3.7%	4.8%	-28.2%	-96.3%	-93.7%	-86.4%	-80.2%	-78.2%	-73.8%	-73.1%	-75.0%	-77.2%	-64.6%

*Fare increase was implemented in April 2019.

Please Note: Ridership is based on ticket sales data.

**MTA LONG ISLAND RAIL ROAD
RIDERSHIP SUMMARY
December 2020**

TICKET TYPE/SERVICE	December 2020	*December 2019	CHANGE VS. 2019	
			NUMBER	PERCENT
COMMUTATION RIDERSHIP	620,592	4,195,622	(3,575,030)	-85.2%
NON-COMMUTATION RIDERSHIP	1,216,665	3,624,977	(2,408,312)	-66.4%
TOTAL RIDERSHIP	1,837,257	7,820,599	(5,983,342)	-76.5%

**MTA LONG ISLAND RAIL ROAD
RIDERSHIP SUMMARY
2020 YEAR-TO-DATE**

TICKET TYPE/SERVICE	December 2020	*December 2019	CHANGE VS. 2019	
			NUMBER	PERCENT
COMMUTATION RIDERSHIP	14,318,795	50,768,624	(36,449,829)	-71.8%
NON-COMMUTATION RIDERSHIP	15,968,522	40,524,254	(24,555,732)	-60.6%
TOTAL RIDERSHIP	30,287,317	91,292,878	(61,005,561)	-66.8%

* 2019 ridership numbers were adjusted using 2020 factors.

**MTA LONG ISLAND RAIL ROAD
REVENUE SUMMARY
December 2020**

REVENUE	December 2020	December 2019	CHANGE VS. 2019	
			AMOUNT	PERCENT
COMMUTATION REVENUE	\$4,711,774	\$30,735,609	(\$26,023,835)	-84.7%
NON-COMMUTATION REVENUE	\$10,215,835	\$34,799,085	(\$24,583,251)	-70.6%
TOTAL REVENUE	\$14,927,609	\$65,534,694	(\$50,607,086)	-77.2%

**MTA LONG ISLAND RAIL ROAD
REVENUE SUMMARY
2020 YEAR-TO-DATE**

REVENUE	December 2020	December 2019	CHANGE VS. 2019	
			AMOUNT	PERCENT
COMMUTATION REVENUE	\$129,212,931	\$380,751,388	(\$251,538,457)	-66.1%
NON-COMMUTATION REVENUE	\$143,149,312	\$387,987,510	(\$244,838,198)	-63.1%
TOTAL REVENUE	\$272,362,243	\$768,738,897	(\$496,376,655)	-64.6%



Long Island Rail Road

CAPITAL PROGRAM REPORT

**LONG ISLAND RAIL ROAD - CAPITAL PROGRAM HIGHLIGHTS
DECEMBER 2020**

L70205/V1: PARKING REHABILITATION (SBDP)

Milestone: Contract Complete \$1,524,755

Project Budget: \$4.92M

A Mentor Contract was completed by Innovative Electric of New York, Inc. for \$1,524,755 for the repair of a structural steel column, repair of concrete spalls in a stairway and application of a waterproofing sealant at the Ronkonkoma Parking Garage. These rehabilitation efforts will contribute to the LIRR's efforts in extending the longevity of the Garage so that it may continue to be utilized by customers.

L60502/LA & L70502/LK: POSITIVE TRAIN CONTROL (PTC)

Milestone: Beneficial Use

Project Budget: \$432.46M

Planning, design, and implementation of a Positive Train Control (PTC) System on all main-line tracks is complete. The PTC System will prevent train-to-train collisions, overspeed derailments, incursions into established work zone limits, and the movement of a train through an improperly aligned switch.

L70206/VS: MOYNIHAN TRAIN HALL

Milestone: Beneficial Use

Project Budget: \$118.70M

The Moynihan Train Hall [MTH] project converted Back of House [BOH] areas of the Farley Post Office to a world class Train Hall with a vaulted glass ceiling for Amtrak and the Long Island Rail Road. The former James A. Farley Post Office Building is located across from New York Penn Station along 8th Avenue.

L70604/65: MORRIS PARK BUILDING 3 ELEVATOR RENEWAL (SBDP)

Milestone: Contract Award \$2,180,000

Project Budget: \$4.10M

A contract for the Morris Parking Building 3 Elevator Renewal was awarded to Minhas General Contractor Company for \$2,180,000. This project will remove and replace the existing traction-style elevator and machinery with a new ADA compliant hydraulic elevator. A new elevator machine room will be created to house the new equipment, and the existing elevator shaft will be rehabilitated.

L70701/XU: SUBSTATION REPLACEMENT

Milestone: Contract Award: \$17,433,000

Project Budget: \$24.24M

A contract to furnish and install a new traction power substation at LIRR's Ocean Avenue Location awarded to T. Moriarty and Sons, Inc. for \$17,433,000. The contractor will provide design, fabricate, delivery, assemble (on-site), test and commission a new prefabricated substation building on concrete foundation equipped with ac and dc switchgear, rectifiers, transformers, SCADA equipment and associated components and controllers.

L70206/VN & L70206/EF: PENN STATION – 33RD STREET CORRIDOR

Milestone: Beneficial Use

Project Budget: \$168.30M

The PSNY – 33rd Corridor Phase I project provided a new entrance at 33rd Street and 7th Avenue with three new escalators and one staircase from the street level to the LIRR 33rd Street Connecting Concourse and associated work.

L70206/EG & L80206/04: PENN STATION – 33RD STREET CORRIDOR – PHASE 2

Milestone: Contract Award: \$395,941,576

Project Budget: \$454.18

A contract to provide improvements to widen the 33rd Street Concourse with associated architectural, structural, utilities, electrical and mechanical work was awarded to the Penn District Station Developer. The Design Builder is Skanska Penn Station Constructors (JV between Skanska USA Building Inc. and Skanska USA Civil Northeast, Inc.). Work includes removal and relocation of two sewer boxes, removal of 7 beams obstructing headroom, Amtrak retail overhangs, increase of HVAC capacity, a new 2000 Amp Con Edison feed, signage, wayfinding, digital information devices, communications, security and other building systems. Additional scope for non-LIRR assets is bundled with the contract and budgeted in the respective agencies: \$42.2M for NYCT and \$19.2M for MTAPD.

L70604/YU HILLSIDE BUILDINGS – LIGHTNING PROTECTION (SBDP)

Milestone: Contract Complete: \$1,255,701

Project Budget: \$1.55M

A Mentor Contract was completed by Queue Electrical Contractors for \$1,255,701 for the replacement of rooftop lightning protection systems at LIRR's Hillside Support Facility Buildings 1 and 3. This will help combat the risk of computer damage within the Hillside Buildings by replacing the existing lightning protection systems.

SMALL BUSINESS DEVELOPMENT PROGRAM

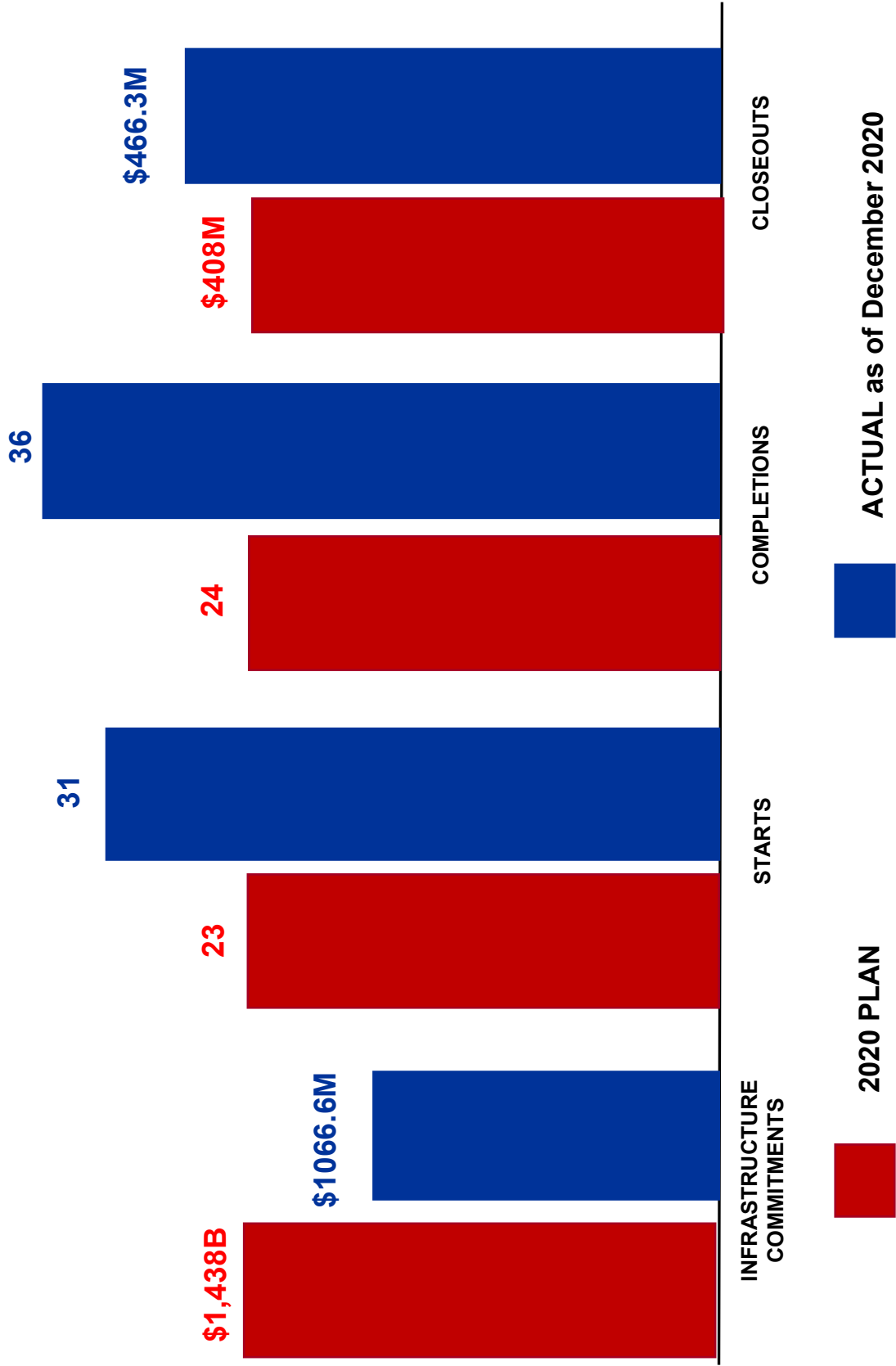
One contract awarded this month:

- Morris Park Building 3 Elevator Renewal awarded for \$2,180,000 (see above for details).

Two contracts completed this month:

- Parking Rehabilitation for a total of \$1,524,755 (see above for details).
- Hillside Buildings – Lightning Protection for a total of \$1,255,701 (see above for details).

2020 LIRR Capital Program Goals



Operations Report

John Kesich

Senior Vice President, Operations



M7 EMU



M8 EMU



Comet 5 Cab Car

December 2020 Highlights: Operations Report

December service delivery operated above goal at 97.8% with YTD 3.5% better than in 2019.

2020 OTP was 97.9% and set a new record high surpassing the old record of 97.8% set in 2009.

We continued operation of a reduced schedule due to reduced ridership resulting from the on-going Covid-19 crisis.

Hudson Line – 97.9% YTD – 98.2%

6 trains (0.2%) cancelled or terminated

Harlem Line – 98.7% YTD – 97.8%

1 trains (0.1%) cancelled or terminated

New Haven Line – 97.1% YTD – 97.8%

3 trains (0.1%) cancelled or terminated

Consist Compliance: 100%

We disinfected passenger cars every 24 hours when they were operated in service.

West of Hudson Service operated below goal at 90.7% with YTD at 94.4%.

Due to Covid-19 service levels have been reduced.

Pascack Valley – 93.5% YTD: 95.7%

Port Jervis – 87.0% YTD: 92.5%

Cancelled Trains

41- (2.5%) PVL: 20, PJJ: 21

Cancellations due to the 12/17 Snow Storm & Equipment availability related to PTC implementation.

Equipment Performance

Fleet Availability was good during December.

Fleet MDBF in November operated above goal at 249,037 against the goal of 170,000

Our 31 Genesis locomotives are at the end of their useful life and we are procuring replacements.

Performance Summary			2020 Data			2019 Data		
			Annual Goal	December	YTD thru December	December	YTD thru December	
On Time Performance <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i>	System	Overall	93.0%	97.8%	97.9%	95.7%	94.4%	
		AM Peak	93.0%		96.6%	92.2%	92.2%	
		AM Reverse Peak	93.0%		97.8%	96.0%	95.1%	
		PM Peak	93.0%		98.2%	95.4%	93.5%	
		Total Peak	93.0%		97.5%	94.1%	93.2%	
		Off Peak Weekday	93.0%	98.0%	97.7%	95.4%	93.9%	
		Weekend	93.0%	97.2%	98.4%	98.6%	97.3%	
		Hudson Line	Overall	93.0%	97.9%	98.2%	95.0%	95.0%
			AM Peak	93.0%		96.2%	89.8%	91.8%
			AM Reverse Peak	93.0%		98.2%	93.9%	94.4%
			PM Peak	93.0%		98.8%	95.2%	96.1%
			Total Peak	93.0%		97.5%	92.5%	93.9%
			Off Peak Weekday	93.0%	97.7%	98.2%	95.5%	95.1%
			Weekend	93.0%	98.5%	98.5%	98.2%	96.4%
		Harlem Line	Overall	93.0%	98.7%	97.8%	96.4%	95.3%
			AM Peak	93.0%		96.9%	94.3%	93.2%
			AM Reverse Peak	93.0%		96.8%	96.7%	94.6%
			PM Peak	93.0%		97.9%	94.8%	93.2%
			Total Peak	93.0%		97.2%	94.9%	93.5%
			Off Peak Weekday	93.0%	99.1%	97.5%	96.5%	95.4%
			Weekend	93.0%	97.0%	98.8%	99.0%	98.4%
		New Haven Line	Overall	93.0%	97.1%	97.8%	95.4%	93.4%
			AM Peak	93.0%		96.7%	92.1%	91.7%
			AM Reverse Peak	93.0%		98.6%	96.3%	95.9%
			PM Peak	93.0%		98.2%	96.0%	92.1%
			Total Peak	93.0%		97.6%	94.3%	92.5%
			Off Peak Weekday	93.0%	97.3%	97.7%	94.6%	92.1%
		Weekend	93.0%	96.5%	98.2%	98.5%	97.0%	
Operating Statistics	Trains Scheduled			12,689	163,116	19,226	230,787	
	Avg. Delay per Late Train (min) <small>excluding trains cancelled or terminated</small>			14.0	14.3	12.5	12.6	
	Trains Over 15 min. Late <small>excluding trains cancelled or terminated</small>		2,300	65	844	171	2,592	
	Trains Canceled		230	10	230	10	194	
	Trains Terminated		230	12	167	19	243	
	Percent of Scheduled Trips Completed		99.8%	99.8%	99.8%	99.8%	99.8%	
Consist Compliance	System	Overall	99.0%	100.0%	99.9%	99.4%	99.4%	
<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>		AM Peak	98.0%		99.2%	98.2%	98.6%	
		AM Reverse Peak	99.5%		99.9%	100.0%	100.0%	
		PM Peak	98.0%		99.8%	98.5%	98.9%	
		Total Peak	98.0%		99.5%	98.6%	98.9%	
		Off Peak Weekday	99.5%	100.0%	99.9%	99.9%	99.8%	
		Weekend	99.5%	100.0%	99.9%	99.7%	99.7%	
		Hudson Line						
			AM Peak	99.0%		99.7%	99.7%	99.9%
			PM Peak	99.0%		100.0%	99.9%	99.9%
		Harlem Line						
			AM Peak	98.0%		99.6%	98.3%	99.0%
			PM Peak	98.0%		99.7%	98.2%	99.0%
		New Haven Line						
			AM Peak	97.0%		98.4%	97.0%	97.4%
			PM Peak	97.0%		99.7%	97.9%	98.1%

SYSTEM Category of Delay

Delay Minutes / Delay Threshold	% Total	November	2020 Data		2019 Data		YTD 2020 Vs 2019
			December	YTD thru December	December	YTD thru December	
Engineering (Scheduled)	3.8%	38	26	382	41	2,111	-1,729
Engineering (Unscheduled)	26.9%	64	179	1,664	406	6,866	-5,202
Maintenance of Equipment	25.8%	150	171	1,537	513	4,351	-2,814
Transportation	2.1%	37	14	294	68	713	-420
Capital Projects	1.3%	6	9	200	31	1,340	-1,140
Weather and Environmental	26.8%	385	178	1,703	276	3,458	-1,755
Police	10.2%	37	68	893	220	2,875	-1,982
Customers	1.1%	13	7	156	69	1,264	-1,108
Other	1.8%	79	12	641	54	3,337	-2,696
3rd Party Operations	0.2%	0	1	5	1	44	-39
TOTAL	100.0%	807	663	7,474	1,679	26,357	-18,883
HUDSON LINE	% Total	November	December	YTD thru December	December	YTD thru December	YTD 2020 Vs 2019
Engineering (Scheduled)	5.3%	27	8	152	7	595	-443
Engineering (Unscheduled)	4.6%	6	7	186	114	1,084	-898
Maintenance of Equipment	22.4%	27	34	356	169	1,052	-696
Transportation	2.6%	0	4	62	15	108	-46
Capital Projects	1.3%	0	2	47	30	549	-502
Weather and Environmental	57.9%	99	88	268	36	505	-237
Police	5.3%	9	8	229	29	410	-181
Customers	0.0%	3	0	48	30	348	-300
Other	0.7%	0	1	152	5	888	-736
3rd Party Operations	0.0%	0	0	0	0	0	0
TOTAL	100.0%	171	152	1,500	435	5,539	-4,039
HARLEM LINE	% Total	November	December	YTD thru December	December	YTD thru December	YTD 2020 Vs 2019
Engineering (Scheduled)	0.0%	6	0	130	13	484	-354
Engineering (Unscheduled)	56.2%	5	59	556	81	1,666	-1,110
Maintenance of Equipment	19.0%	59	20	439	128	1,194	-755
Transportation	2.9%	0	3	86	25	174	-88
Capital Projects	5.7%	0	6	88	0	124	-36
Weather and Environmental	12.4%	188	13	523	45	951	-428
Police	3.8%	14	4	233	118	810	-577
Customers	0.0%	1	0	41	11	304	-263
Other	0.0%	0	0	209	3	966	-757
3rd Party Operations	0.0%	0	0	0	0	0	0
TOTAL	100.0%	273	105	2,305	424	6,673	-4,368
NEW HAVEN LINE	% Total	November	December	YTD thru December	December	YTD thru December	YTD 2020 Vs 2019
Engineering (Scheduled)	1.2%	4	4	84	21	1,030	-946
Engineering (Unscheduled)	28.4%	52	93	895	207	4,109	-3,214
Maintenance of Equipment	26.8%	52	88	674	216	1,704	-1,030
Transportation	2.1%	37	7	146	18	420	-274
Capital Projects	0.3%	5	1	65	0	665	-600
Weather and Environmental	23.2%	99	76	912	192	2,000	-1,088
Police	13.1%	14	43	417	72	1,652	-1,235
Customers	1.5%	9	5	65	26	586	-521
Other	3.4%	79	11	280	44	1,474	-1,194
3rd Party Operations	0.0%	0	0	0	0	1	-1
TOTAL	100.0%	351	328	3,538	796	13,641	-10,103

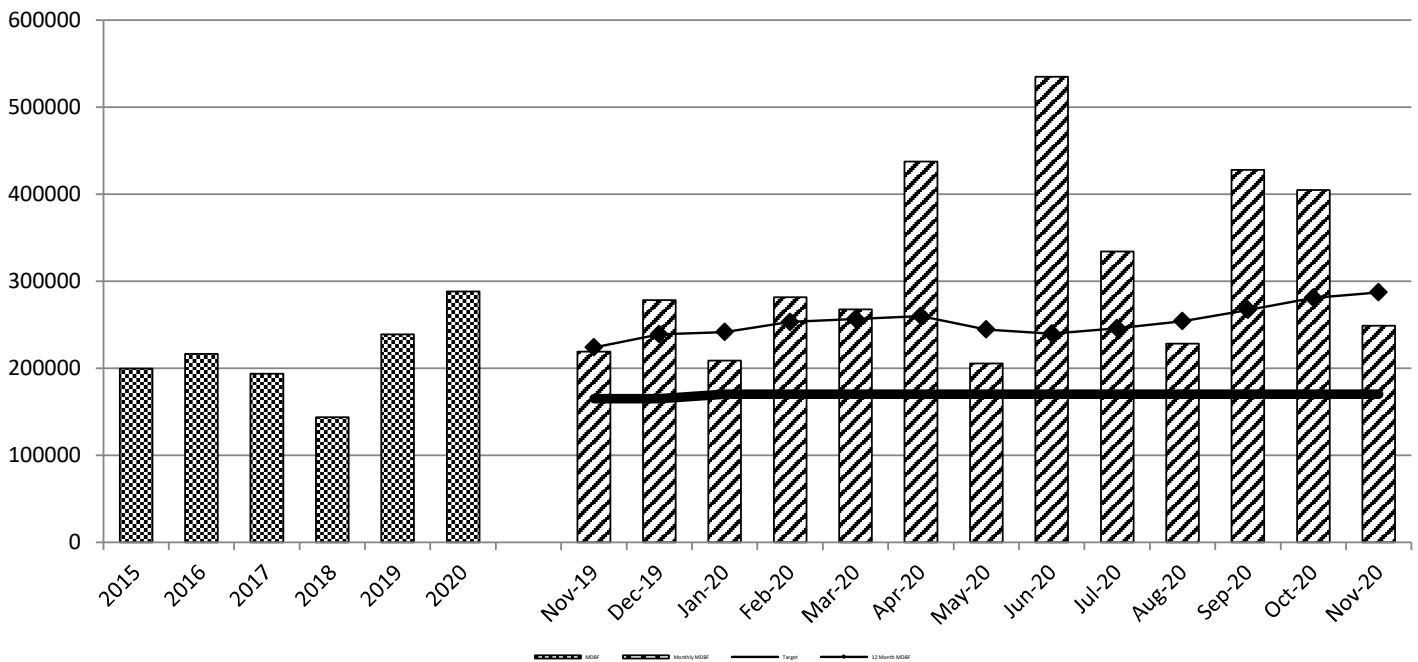
EVENTS RESULTING IN 10 or MORE LATE (L), CANCELED (C) or TERMINATED (T) TRAINS

Date	Day	DESCRIPTION OF EVENT	Number of Late Trains									TOTAL								
			AM Peak			AM Reverse			PM Peak			Off Peak			Weekend			Late	Cxld	Term
			L	C	T	L	C	T	L	C	T	L	C	T	L	C	T			
12/17	Thu	The 31 Switch failed to reverse at CP 234 in Stamford.	0	0	0	0	0	0	0	0	0	11	3	1	0	0	0	11	3	1
12/17	Thu	Train 8705 struck a tree at CP 19 on Track 3.	0	0	0	0	0	0	0	0	0	0	0	0	16	0	1	16	0	1
12/19	Sat	Train 9614 was unable to take power north of Chappaqua Station on Track 2.	0	0	0	0	0	0	0	0	0	9	1	0	0	0	0	9	1	0
TOTAL FOR MONTH			0	0	0	0	0	0	0	0	0	20	4	1	16	0	1	36	4	2
																		42		

	Equipment Type	Total Fleet Size	2020 Data						2019 Data		
			MDBF Goal (miles)	Nov MDBF (miles)	Primary Failure Goal	Nov No. of Primary Failures	YTD MDBF thru Nov (miles)	12 month MDBF Rolling Avg (miles)	Nov MDBF (miles)	Nov No. of Primary Failures	YTD MDBF thru Nov (miles)
Mean Distance Between Failures	M8	405	285,000	755,145	9	2	560,060	619,889	364,091	7	339,896
	M3	138	80,000	50,673	4	4	129,716	103,626	73,764	4	93,955
	M7	334	335,000	1,284,872	6	1	538,767	533,340	319,051	6	352,873
	Coach	207	205,000	1,060,952	8	1	386,486	384,797	196,970	7	276,436
	P-32	31	21,000	33,624	9	4	36,772	36,985	60,365	3	38,039
	BL-20	12	13,000	8,066	4	5	13,401	13,378	18,814	2	38,946
	Fleet	1127	170,000	249,037	40	17	288,332	287,166	219,156	29	236,090
	M8		285,000	755,145	9	2	560,060	619,889	364,091	7	339,896
M3/7		232,000	297,513	10	5	402,417	364,524	220,936	10	253,490	
Diesel/Coach		85,000	123,578	21	10	141,672	141,625	133,126	12	150,496	

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 2015 - 2020



West of Hudson Performance Summary			2020 Data			2019 Data		
			Annual Goal	December	YTD thru December	December	YTD thru December	
On Time Performance <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i>	West of Hudson Total	Overall	93.0%	90.7%	94.4%	89.9%	89.8%	
		AM Peak	93.0%	88.3%	93.6%	90.9%	90.6%	
		PM Peak	93.0%	91.6%	94.7%	92.3%	90.9%	
		Total Peak	93.0%	89.9%	94.1%	91.6%	90.8%	
		Off Peak Weekday	93.0%	94.4%	94.4%	88.1%	88.0%	
		Weekend	93.0%	84.8%	94.5%	90.9%	91.9%	
		Pascack Line	Overall	93.0%	93.5%	95.7%	91.0%	94.2%
		AM Peak	93.0%	94.6%	95.9%	94.0%	95.9%	
		PM Peak	93.0%	93.9%	95.3%	92.5%	94.0%	
		Total Peak	93.0%	94.2%	95.6%	93.2%	95.0%	
		Off Peak Weekday	93.0%	96.0%	95.6%	86.3%	93.3%	
		Weekend	93.0%	88.3%	95.8%	96.3%	94.6%	
		Port Jervis Line	Overall	93.0%	87.0%	92.5%	88.4%	84.2%
		AM Peak	93.0%	81.0%	90.8%	87.3%	84.5%	
		PM Peak	93.0%	88.9%	93.9%	91.9%	87.3%	
		Total Peak	93.0%	84.9%	92.4%	89.6%	85.9%	
		Off Peak Weekday	93.0%	92.4%	92.8%	90.5%	81.4%	
		Weekend	93.0%	79.0%	92.2%	81.7%	87.8%	
	Operating Statistics	Trains Scheduled		1,663	18,152	1,669	19,055	
	Avg. Delay per Late Train (min) <small>excluding trains cancelled or terminated</small>		20.7	21.2	22.0	21.0		
	Trains Over 15 min. Late <small>excluding trains cancelled or terminated</small>	300	62	407	74	785		
	Trains Canceled	60	41	184	21	163		
	Trains Terminated	60	5	61	4	73		
	Percent of Scheduled Trips Completed	99.4%	97.2%	98.7%	98.5%	98.8%		
Consist Compliance* <i>(Percent of trains where the number of coaches provided met the scheduled requirement)</i>	System - AM		99.0%	91.5%	96.4%	99.0%	99.1%	
	Pascack Valley - AM		99.0%	92.8%	96.8%	98.5%	99.0%	
	Port Jervis - AM		99.0%	90.0%	96.0%	99.6%	99.2%	

*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			TOTAL		
			L	C	T	L	C	T	L	C	T	L	C	T	Late	Cxld Term	
12/02	Wed	PVL: Complied with 10MPH Speed Restriction at Pascack Jct account track condition.	0	0	0	0	0	0	5	0	0	0	0	0	5	0	0
12/17	Thu	Service suspended account inclement winter storm.	0	0	0	0	0	0	0	0	0	4	15	0	4	15	0
12/18	Fri	PJL: Received / complied with Rule 241 account Code Failure at CP Valley.	5	0	0	0	0	0	0	0	0	0	0	0	5	0	0
12/25	Fri	PVL: Necessary to protect Grade Crossings in Montvale, Hillsdale, River Edge and Hackensack.	0	0	0	0	0	0	0	0	0	9	0	0	9	0	0
12/28	Mon	Multiple mechanical issues on several trains.	1	1	0	0	2	0	0	1	0	0	0	0	1	4	0
12/29	Tue	Multiple mechanical issues on several trains.	3	2	0	0	2	0	0	0	0	0	0	0	3	4	0
12/30	Wed	Multiple trains experienced PTC problems.	0	1	0	0	2	0	3	0	0	0	0	0	3	3	0
TOTAL FOR MONTH			9	4	0	0	6	0	8	1	0	13	15	0	30	26	0
56																	

DECEMBER 2020 STANDEE REPORT

East of Hudson			DEC 2019	YTD 2019	DEC 2020	YTD 2020
Daily Average	Hudson Line	Program Standees	0	0	0	0
		Add'l Standees	5	2	0	2
		Total Standees	5	2	0	2
AM Peak	Harlem Line	Program Standees	31	3	0	0
		Add'l Standees	30	20	0	3
		Total Standees	61	22	0	3
	New Haven Line	Program Standees	24	2	0	0
		Add'l Standees	61	59	0	10
		Total Standees	85	61	0	10
EAST OF HUDSON TOTAL - AM PEAK			151	86	0	14
Daily Average	Hudson Line	Program Standees	0	0	0	0
		Add'l Standees	2	1	0	0
		Total Standees	2	1	0	0
PM Peak	Harlem Line	Program Standees	0	0	0	0
		Add'l Standees	20	8	0	0
		Total Standees	20	8	0	0
	New Haven Line	Program Standees	140	13	0	0
		Add'l Standees	33	51	0	1
		Total Standees	173	64	0	1
EAST OF HUDSON TOTAL - PM PEAK			195	73	0	2

West of Hudson			DEC 2019	YTD 2019	DEC 2020	YTD 2020
Daily Average	Port Jervis Line	Program Standees	0	0	0	0
		Add'l Standees	0	0	0	0
		Total Standees	0	0	0	0
AM Peak	Pascack Valley Line	Program Standees	0	0	0	0
		Add'l Standees	0	0	0	0
		Total Standees	0	0	0	0
WEST OF HUDSON TOTAL - AM PEAK			0	0	0	0

* 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 December 2020

Elevator Availability	2020		2019	
	December	Year to Date	December	Year to Date
Grand Central Terminal	97.02%	97.00%	89.31%	87.24%
Harlem	99.91%	99.65%	99.40%	99.56%
Hudson	98.77%	99.21%	99.35%	99.64%
New Haven	99.86%	99.05%	98.54%	99.61%
Overall Average	98.89%	98.73%	96.65%	96.51%

PLEASE NOTE: The NE-1 Elevator (the 47th St cross passageway) and Elevators T-18 and T-19 (the B Hall elevators) are Out of Service due to East Side Access construction and are excluded from this report. All have an estimated Return To Service (RTS) of January 2021.

Escalator Availability	2020		2019	
	December	Year to Date	December	Year to Date
Grand Central Terminal	100.00%	99.13%	100.00%	87.84%
White Plains	100.00%	100.00%	100.00%	100.00%
Overall Average	100.00%	99.57%	100.00%	93.92%

PLEASE NOTE: Escalators #1 and #2 (West Side near Transit Museum) are both Out of Service for scheduled service upgrade work and are excluded from this report. The estimated Return To Service (RTS) is March 2021. Escalator 7 (45th St Cross Passage to East Spine) was taken out of service on 11/1 for planned repairs to the motor gearbox. The estimated RTS date is January 2021.



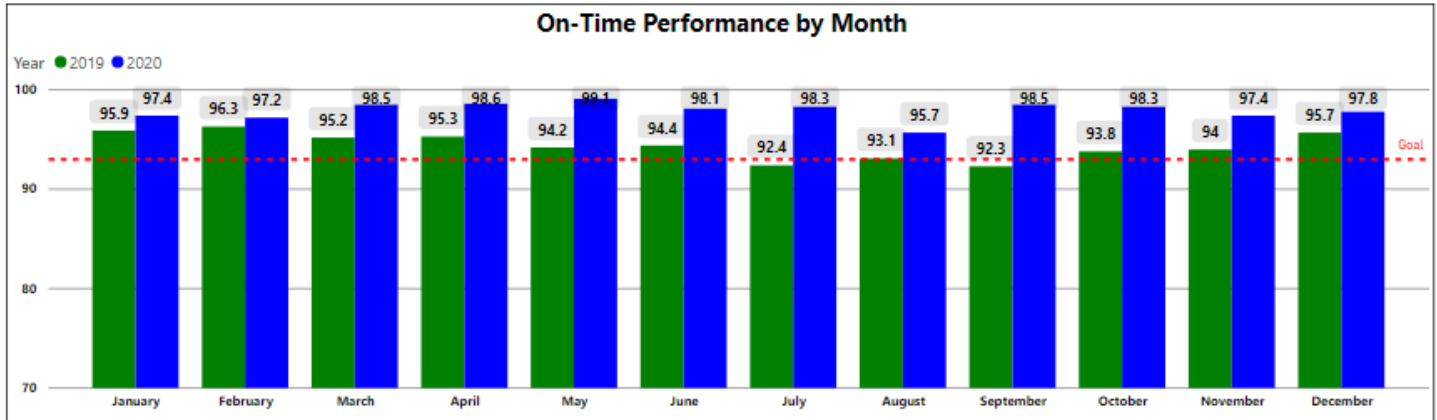
Metro-North Railroad

Performance Metrics Report

On-Time Performance

The percentage of trains that arrive at their final destination within 5'59" of schedule.

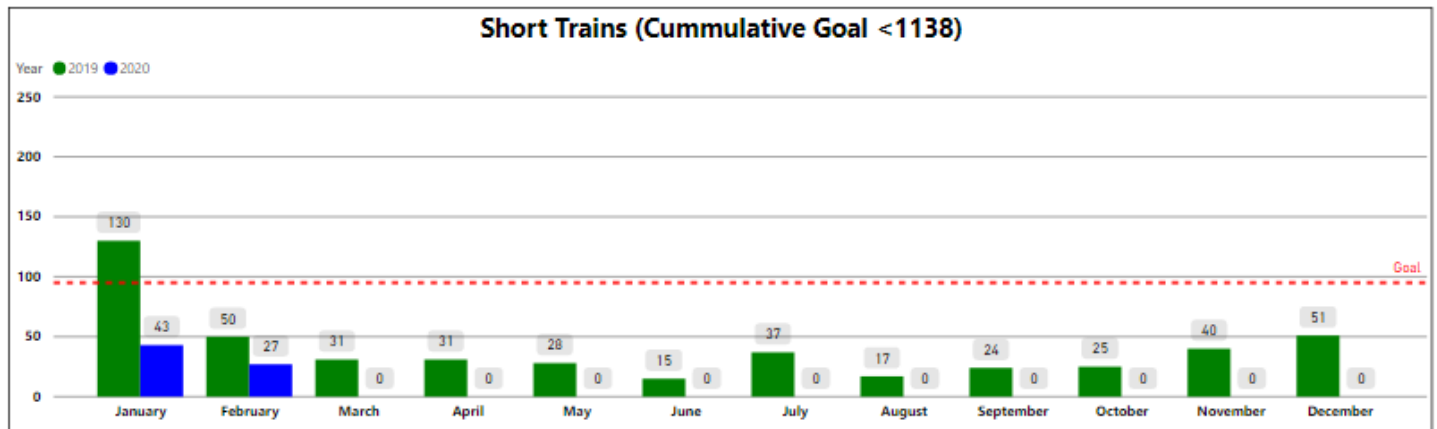
	2020		2019	
Goal	December	YTD	December	YTD
93.0%	97.8%	97.9%	94.0%	94.4%



Short Trains

The number of AM trains that operate with fewer than the scheduled number of cars.

	2020		2019	
Goal	December	YTD	December	YTD
1138	0	70	51	479

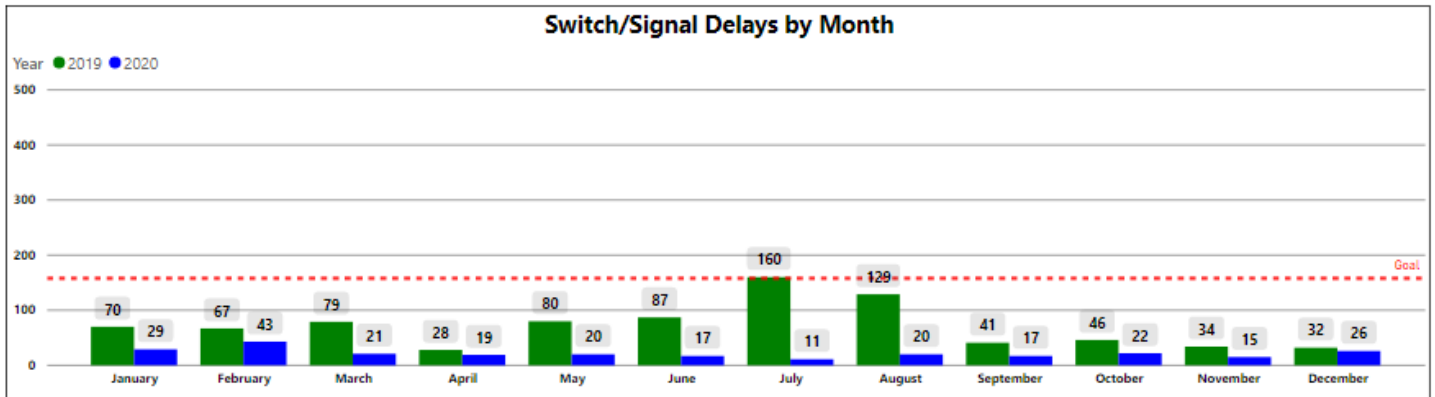




Switch/Signal Delays

The number of trains that arrive at their final destination later than 5'59" of schedule due to Switch/Signal causes.

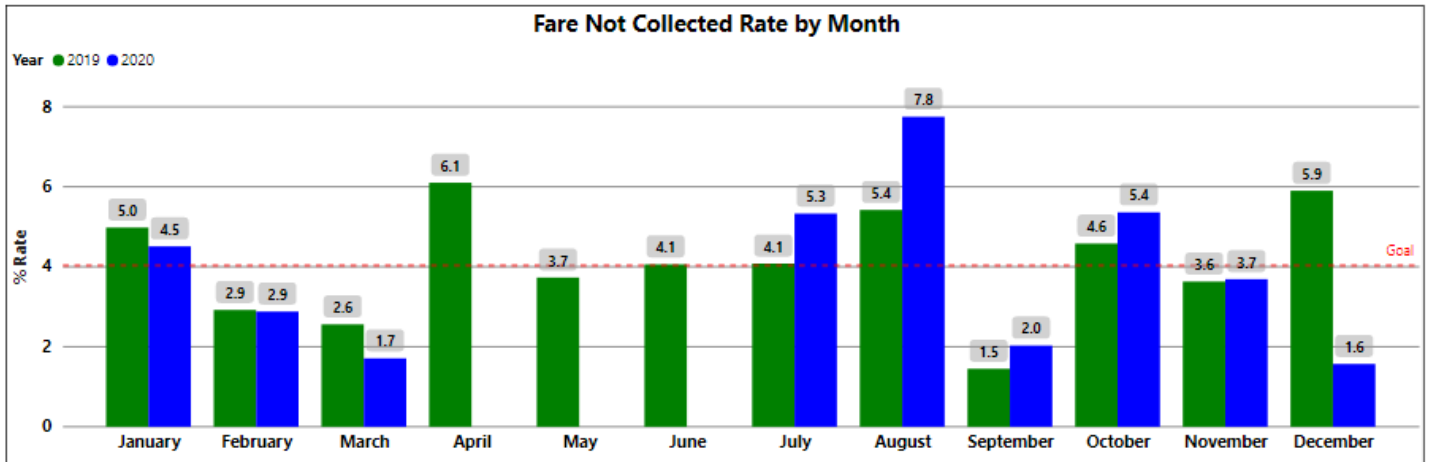
	2020		2019	
Goal	December	YTD	December	YTD
1896	61	566	64	1750



Fare Not Collected Rate

The percentage of instances an MTA Audit Operative's fare is not collected.

	2020		2019	
Goal	Dec	YTD	Dec	YTD
4.0%	1.6%	3.9%	5.9%	4.2%

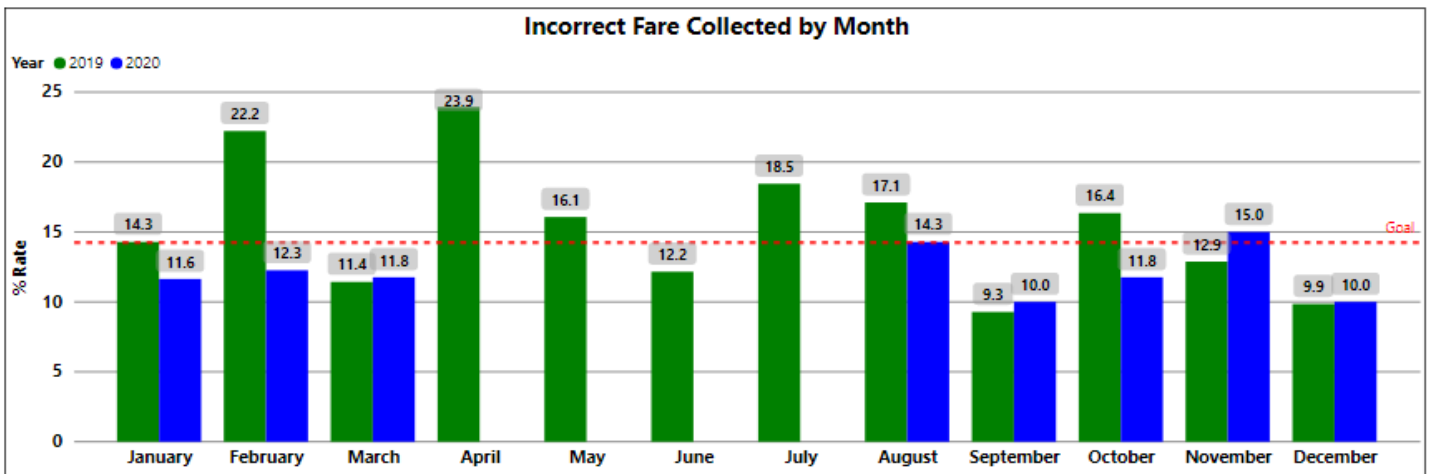


- Due to Coronavirus pandemic, MTA Audit suspended their on-board fare collection review efforts in March and resumed Fare Not Collected audits in July.

Incorrect Fare Collected Rate

The percentage of instances an incorrect fare is sold to or accepted from an MTA Audit Operative by a conductor.

	2020		2019	
Goal	Dec	YTD	Dec	YTD
14.3%	10.0%	12.0%	9.9%	15.0%



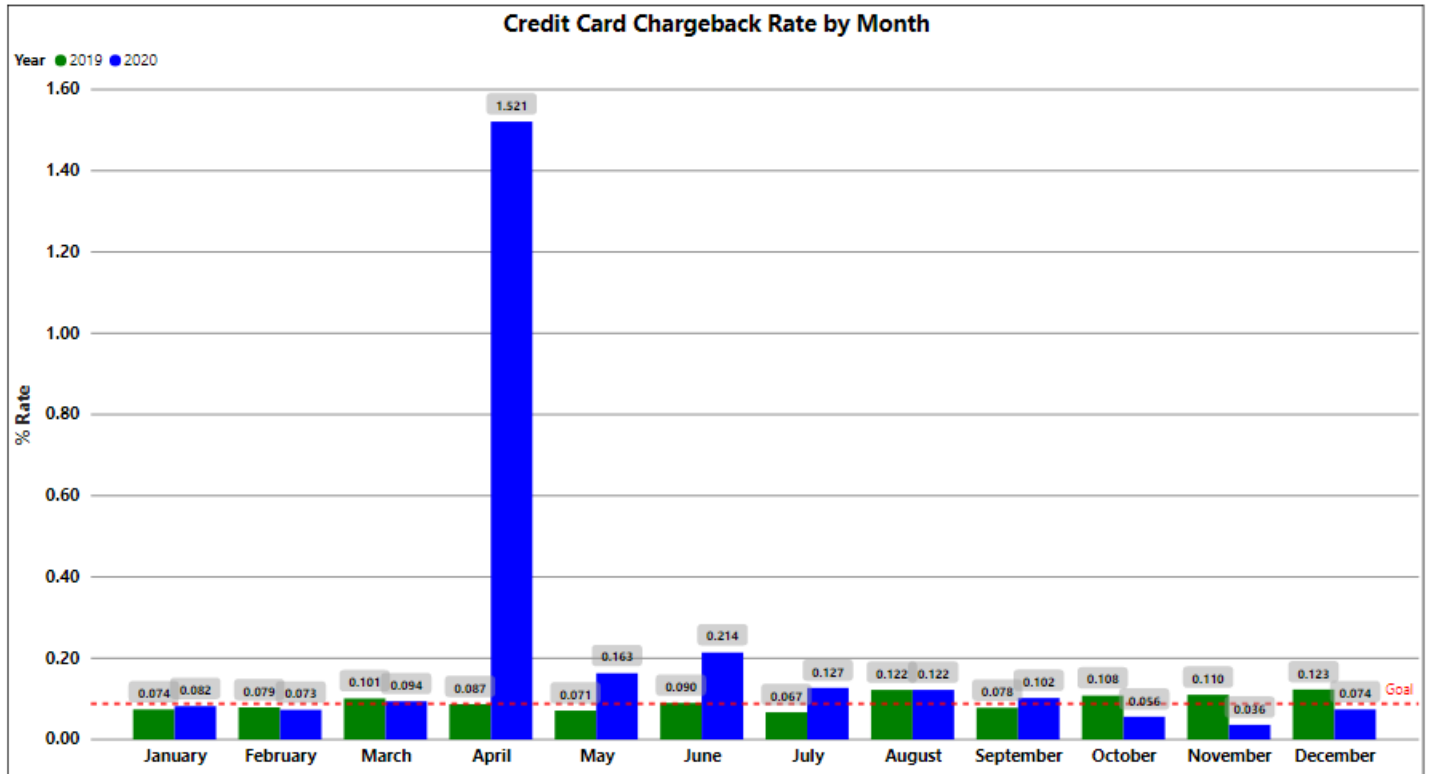
- Due to Coronavirus pandemic, MTA Audit suspended their on-board fare collection review efforts in March and resumed Incorrect Fare Collected audits in August.



Credit Card Chargeback Rate

The percentage of credit card sales in dollars that are rejected due to fraud.

	2020		2019	
Goal	Dec	YTD	Dec	YTD
0.088%	0.074%	0.096%	0.123%	0.093%



- April increase is due to a significant decrease in sales relative to chargebacks and the timing of chargebacks processed pertaining to prior periods.
- Actual chargebacks decreased in number and amount from March.

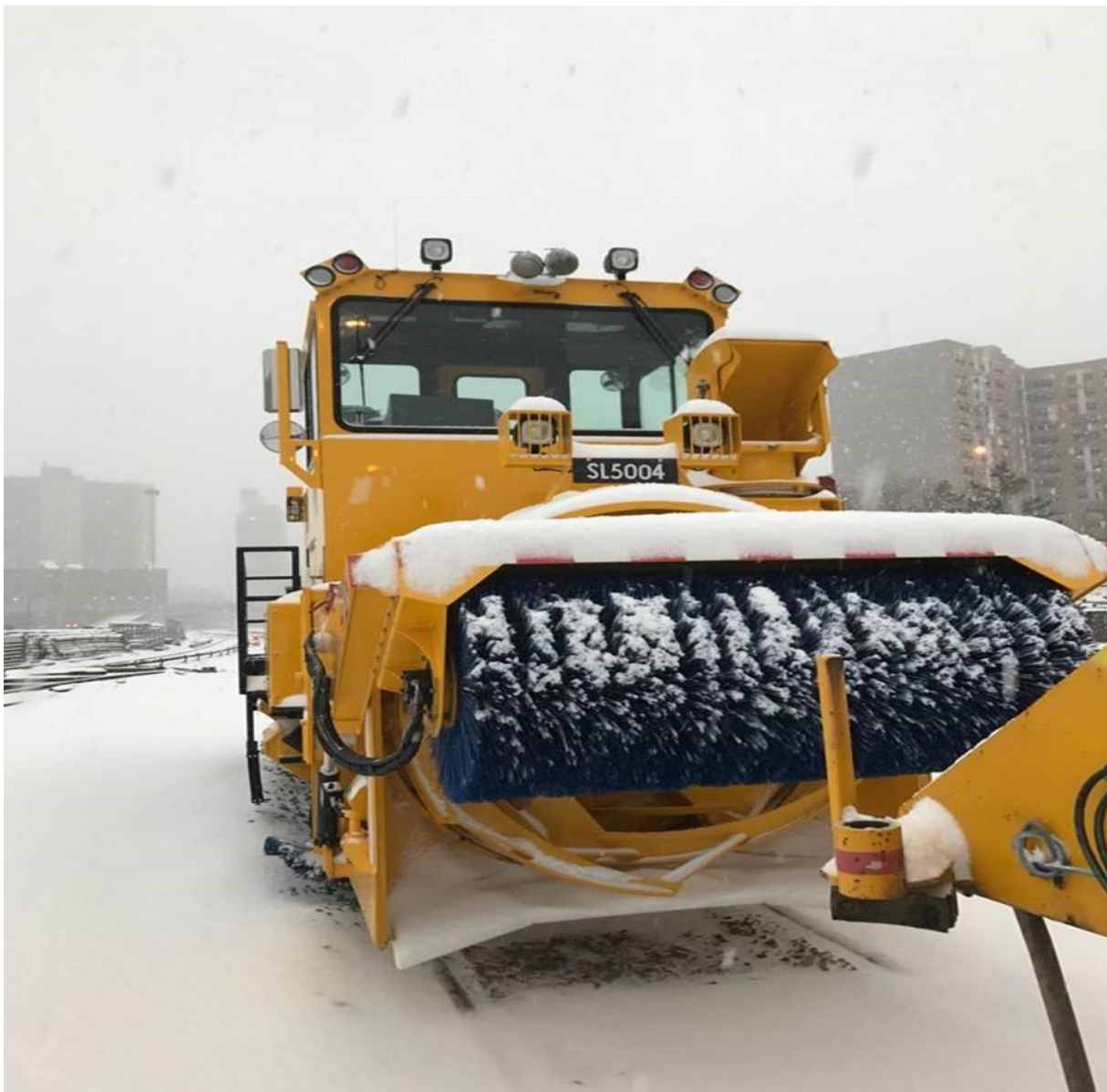


Metro-North Railroad

Finance Report

Steven Weiss

Executive Director, Management & Budget



Winter Storm Gail slammed the New York Region with up to a foot of snow and 50 mph winds on December 16th, 2020. Our crews were deployed before, during and after the storm to combat the storm to ensure service could operate safely.



Metro-North Railroad

December 2020 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 the November Forecast (forecast) and key financial performance indicators. This report presents preliminary 2020 results that are compared and are subject to change pending final year-end accounting adjustments and audit review.

Summary of Non-Reimbursable Year-to-Date (YTD) December 2020 Financial Results

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

- Ridership of 27.2 million, which includes East of Hudson ridership of 26.6 million and West of Hudson ridership of 0.6 million, was 5.3% unfavorable vs. forecast. Consequently, farebox revenue of \$243.4 million was \$19.4 million lower than forecast.
- Total revenue of \$592.5 million was \$30.3 million or 4.9% lower than forecast primarily due to farebox revenue loss due to lower East of Hudson commutation ridership as well as lower net GCT retail revenue.
- Total expenses of \$1,261.7 million were \$77.6 million or 5.8% favorable vs. forecast primarily due to lower labor costs, contractual, consulting and engineering services and the timing of rolling stock maintenance events and material usage.

Financial results for Year-to-Date (YTD) December 2020 are presented in the table below and compared to the November Forecast.

MTA Metro-North Railroad
December 2020 Year-to-Date Results
(\$ in Millions)

	November Forecast	Actual	Fav/(Unfav) \$ Var	Variance % Var
Total Revenue	\$622.9	\$592.5	(\$30.3)	-4.9%
Total Expenses before Non-Cash Liability Adjs.	1,339.2	1,261.7	77.6	5.8%
Operating Surplus/(Deficit)	(716.4)	(669.1)	47.2	6.6%
Other Non-Cash Liabilities	316.0	228.1	87.9	27.8%
Net Surplus/(Deficit) after Non-Cash Liability Adjs.	(1,032.4)	(897.2)	135.1	13.1%
Cash Adjustments	244.2	195.4	(48.7)	-20.0%
Net Cash Surplus/(Deficit)	(\$788.2)	(\$701.8)	\$86.4	11.0%

Steven Weiss

Executive Director, Management & Budget

NON-REIMBURSABLE and REIMBURSABLE SUMMARY

December 2020 YTD Net Deficit (Non-Reimbursable and Reimbursable) of \$897.2 million was \$135.1 million or 13.1% favorable vs. the forecast.

Major drivers of the December 2020 YTD favorable result of \$135.1 million include lower Non-Reimbursable Expenses of \$165.5 million mainly due to lower labor costs, contractual, consulting and engineering services, the timing of rolling stock maintenance events and material usage, as well as non-cash liability adjustments. Non-Reimbursable Revenues were unfavorable by \$30.3 million, primarily driven by farebox revenue loss due to lower East of Hudson commutation ridership as well as lower net GCT retail revenue.

December 2020 YTD Reimbursable Expenses of \$335.1 million were \$1.6 million favorable vs. the forecast primarily due to the Signal Replacement from Greenwich to South Norwalk and other various projects partially offset by the acceleration of the Waterbury Branch Cab Signal project.

REVENUE/RIDERSHIP

- **Farebox Revenue** – YTD results were \$19.4 million lower vs. the forecast primarily due to lower ridership due to a weaker recovery in East of Hudson commutation ridership.
 - YTD Ridership of 27.2 million was 5.3% unfavorable vs. the forecast and 68.7% unfavorable vs. YTD 2019.
- **Other Operating Revenue** – YTD was \$10.9 million unfavorable vs. the forecast primarily due to lower net GCT retail revenue reflecting the MTA Board approved tenant rent relief program and bad debt reserve.
- **Capital and Other Reimbursements** – YTD was \$1.6 million or 0.5% unfavorable vs. the forecast primarily due to scheduling and timing changes noted above.

TOTAL EXPENSES (Non-Reimbursable and Reimbursable)

Total Expenses – YTD expenses of \$1,824.9 million were \$167.1 million or 8.4% favorable vs. the forecast.

Labor Expenses (including fringes and overhead recoveries) of \$1,122.4 million YTD were \$34.6 million favorable vs. the forecast.

- **Payroll** – YTD was \$6.3 million favorable vs. the forecast, which primarily reflects higher than forecasted staff attrition as well as the impact of the MTA hiring freeze on COVID-19 cleaning positions.
- **Overtime** – YTD was \$9.3 million favorable vs. the forecast primarily due to reduced train and engine crew overtime resulting from the implementation of the June revised service schedule.

Non-Labor Expenses of \$474.4 million YTD were \$44.6 million favorable vs. the forecast.

- **Electric Power** – YTD results were \$1.3 million unfavorable vs. the forecast primarily due to higher rates.
- **Fuel** – YTD expenses were \$1.5 million unfavorable vs. the forecast primarily due to higher rates.
- **Maintenance & Other Operating Contracts** – YTD was \$28.3 million favorable vs. the forecast due to the timing of Reimbursable project activity primarily for the Signal Replacement from Greenwich to South Norwalk project as well as the timing of Non-Reimbursable expenses for miscellaneous maintenance and operating contracts including the COVID-19 extraordinary

cleaning and disinfection of Metro-North employee facilities, shop and rolling stock maintenance and repairs and right-of-way infrastructure repairs.

- **Professional Services** – YTD was \$30.0 million favorable vs. the forecast due to the timing of Reimbursable project activity primarily related to the Connecticut Positive Train Control and Maybrook Trailway projects and lower than anticipated Non-Reimbursable expenses for consulting and engineering services as well as a true-up for MTA allocations.
- **Materials & Supplies** – YTD was \$12.3 million unfavorable vs. the forecast primarily due to the timing of Reimbursable project activity for the Waterbury Branch Cab Signal project partially offset by the timing of rolling stock maintenance events and material usage and various inventory adjustments.
- **Other Business Expenses** – YTD was \$0.4 million favorable vs. the forecast primarily due to lower miscellaneous expenses.

Depreciation and Other Non-Cash Liability Adjustments were \$87.9 million favorable vs. the YTD forecast primarily due to pending post-close year-end accounting adjustments .

CASH DEFICIT SUMMARY

December YTD Net Cash Deficit of \$701.8 million was \$86.4 million or 11.0% favorable to the forecast. This is mainly due to the deferral of the employer portion of payroll taxes due to the CARES Act as well as the timing of Operating Capital projects.

FINANCIAL PERFORMANCE MEASURES

- Adjusted Farebox Operating Ratio of 24.6% was 0.8 percentage points unfavorable vs. the forecast.
- Adjusted Cost per Passenger of \$45.20 was \$0.20 unfavorable vs. the forecast.
- Revenue per Passenger of \$8.96 was \$0.07 unfavorable vs. the forecast.

MTA METRO NORTH RAILROAD
2020 ADOPTED BUDGET AND NOVEMBER FORECAST vs. PRELIMINARY ACTUAL
DECEMBER YEAR-TO-DATE
(\$ in millions)

SCHEDULE I-A

NON-REIMBURSABLE

	2020			Favorable/(Unfavorable) Variance			
	Adopted Budget	November Forecast	Actual	Adopted Budget		November Forecast	
				\$	%	\$	%
Revenue							
Farebox Revenue	\$775.873	\$262.801	\$243.413	(\$532.460)	(68.6)	(\$19.388)	(7.4)
Vehicle Toll Revenue	0.000	0.000	0.000	0.000	-	0.000	-
Other Operating Revenue	61.652	360.063	349.117	287.465	*	(10.946)	(3.0)
<i>Capital & Other Reimbursements:</i>							
MTA	0.000	0.000	0.000	0.000	-	0.000	-
CDOT	0.000	0.000	0.000	0.000	-	0.000	-
Other	0.000	0.000	0.000	0.000	-	0.000	-
Total Capital and Other Reimbursements	0.000	0.000	0.000	0.000	-	0.000	-
Total Revenue	\$837.525	\$622.864	\$592.530	(\$244.995)	(29.3)	(\$30.334)	(4.9)
Expenses							
<i>Labor:</i>							
Payroll	\$532.127	\$540.858	\$533.119	(\$0.992)	(0.2)	\$7.739	1.4
Overtime	91.494	93.319	80.735	10.759	11.8	12.584	13.5
Health and Welfare	112.549	114.180	109.989	2.559	2.3	4.191	3.7
OPEB Current Payment	36.000	40.000	40.913	(4.913)	(13.6)	(0.913)	(2.3)
Pensions	108.722	129.849	125.444	(16.722)	(15.4)	4.405	3.4
Other Fringe Benefits	129.471	126.675	114.355	15.116	11.7	12.320	9.7
Reimbursable Overhead	(74.009)	(66.414)	(74.466)	0.457	0.6	8.052	12.1
Total Labor	\$936.354	\$978.467	\$930.089	\$6.264	0.7	\$48.378	4.9
<i>Non-Labor:</i>							
Electric Power	\$71.938	\$51.257	\$52.510	\$19.429	27.0	(\$1.253)	(2.4)
Fuel	19.633	10.664	12.147	\$7.486	38.1	(\$1.483)	(13.9)
Insurance	18.672	17.248	16.948	\$1.725	9.2	\$0.300	1.7
Claims	1.000	1.000	(0.999)	\$1.999	*	\$1.999	*
Paratransit Service Contracts	0.000	0.000	0.000	\$0.000	-	\$0.000	-
Maintenance and Other Operating Contracts	108.326	117.133	108.664	(\$0.338)	(0.3)	\$8.469	7.2
Professional Service Contracts	38.243	41.916	29.091	\$9.151	23.9	\$12.825	30.6
Materials & Supplies	107.431	102.422	94.831	\$12.599	11.7	\$7.590	7.4
Other Business Expenses	27.699	19.126	18.371	\$9.328	33.7	\$0.755	3.9
Total Non-Labor	\$392.943	\$360.765	\$331.563	\$61.380	15.6	\$29.202	8.1
<i>Other Adjustments:</i>							
Other	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
Total Other Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
Total Expenses before Non-Cash Liability Adjs.	\$1,329.296	\$1,339.232	\$1,261.652	\$67.644	5.1	\$77.580	5.8
Depreciation	\$246.507	\$246.507	\$244.407	\$2.099	0.9	\$2.099	0.9
OPEB Obligation	0.000	0.000	0.000	0.000	-	0.000	-
GASB68 Pension Adjustment	3.500	(3.930)	(13.860)	17.360	*	9.930	*
Environmental Remediation	4.000	4.000	1.251	2.749	68.7	2.749	68.7
GASB75 Adjustment	39.700	69.446	(3.677)	43.377	*	73.122	*
Total Expenses	\$1,623.003	\$1,655.254	\$1,489.773	\$133.230	8.2	\$165.481	10.0
Net Surplus/(Deficit)	(\$785.478)	(\$1,032.390)	(\$897.243)	(\$111.765)	(14.2)	\$135.147	13.1
<i>Cash Conversion Adjustments:</i>							
Depreciation	\$246.507	\$246.507	\$244.407	(\$2.099)	(0.9)	(\$2.099)	(0.9)
Operating/Capital	(90.961)	(37.145)	(30.003)	60.958	67.0	7.142	19.2
Other Cash Adjustments	12.863	34.788	(18.989)	(31.852)	*	(53.777)	*
Total Cash Conversion Adjustments	\$168.409	\$244.150	\$195.416	\$27.007	16.0	(\$48.734)	(20.0)
Net Cash Surplus/(Deficit)	(\$617.069)	(\$788.240)	(\$701.827)	(\$84.758)	(13.7)	\$86.413	11.0

Notes:
-- Results are based on the preliminary close of the general ledger and are subject to review and adjustment.
-- Differences are due to rounding.
* Variance exceeds 100%.

MTA METRO NORTH RAILROAD
2020 ADOPTED BUDGET AND NOVEMBER FORECAST vs. PRELIMINARY ACTUAL
DECEMBER YEAR-TO-DATE
(\$ in millions)

SCHEDULE I-B

REIMBURSABLE

	2020			Favorable/(Unfavorable) Variance			
	Adopted Budget	November Forecast	Actual	Adopted Budget		November Forecast	
				\$	%	\$	%
Revenue							
Farebox Revenue	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
Vehicle Toll Revenue	0.000	0.000	0.000	0.000	-	0.000	-
Other Operating Revenue	0.000	0.000	0.000	0.000	-	0.000	-
<i>Capital & Other Reimbursements:</i>							
MTA	162.920	127.035	124.009	(38.911)	(23.9)	(3.026)	(2.4)
CDOT	164.762	167.675	173.374	8.612	5.2	5.699	3.4
Other	19.946	42.051	37.746	17.799	89.2	(4.305)	(10.2)
Total Capital and Other Reimbursements	347.628	336.760	335.129	(12.499)	(3.6)	(1.632)	(0.5)
Total Revenue	\$347.628	\$336.760	\$335.129	(\$12.499)	(3.6)	(\$1.632)	(0.5)
Expenses							
<i>Labor:</i>							
Payroll	\$61.275	\$48.259	\$49.734	\$11.541	18.8	(\$1.475)	(3.1)
Overtime	29.406	24.726	28.000	1.406	4.8	(3.274)	(13.2)
Health and Welfare	20.379	16.193	16.931	3.449	16.9	(0.738)	(4.6)
OPEB Current Payment	0.000	0.000	0.000	0.000	-	0.000	-
Pensions	14.571	12.449	13.201	1.371	9.4	(0.751)	(6.0)
Other Fringe Benefits	15.739	12.241	12.953	2.786	17.7	(0.712)	(5.8)
Reimbursable Overhead	71.239	64.626	71.477	(0.238)	(0.3)	(6.851)	(10.6)
Total Labor	\$212.609	\$178.494	\$192.296	\$20.314	9.6	(\$13.801)	(7.7)
<i>Non-Labor:</i>							
Electric Power	\$0.000	(\$0.097)	(\$0.040)	\$0.040	-	(\$0.057)	(59.1)
Fuel	0.000	0.000	0.000	0.000	-	0.000	-
Insurance	4.109	1.071	2.426	1.683	41.0	(1.355)	*
Claims	0.000	0.000	(0.005)	0.005	-	0.005	*
Paratransit Service Contracts	0.000	0.000	0.000	0.000	-	0.000	-
Maintenance and Other Operating Contracts	42.613	41.747	21.924	20.689	48.6	19.823	47.5
Professional Service Contracts	32.409	61.072	43.878	(11.469)	(35.4)	17.194	28.2
Materials & Supplies	55.120	54.221	74.089	(18.968)	(34.4)	(19.868)	(36.6)
Other Business Expenses	0.767	0.252	0.561	0.207	26.9	(0.309)	*
Total Non-Labor	\$135.018	\$158.266	\$142.833	(\$7.814)	(5.8)	\$15.433	9.8
<i>Other Adjustments:</i>							
Other	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
Total Other Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
Total Expenses before Non-Cash Liability Adjs.	\$347.628	\$336.760	\$335.129	\$12.499	3.6	\$1.632	0.5
Depreciation	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
OPEB Obligation	0.000	0.000	0.000	0.000	-	0.000	-
GASB68 Pension Adjustment	0.000	0.000	0.000	0.000	-	0.000	-
Environmental Remediation	0.000	0.000	0.000	0.000	-	0.000	-
GASB75 Adjustment	0.000	0.000	0.000	0.000	-	0.000	-
Total Expenses	\$347.628	\$336.760	\$335.129	\$12.499	3.6	\$1.632	0.5
Net Surplus/(Deficit)	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
<i>Cash Conversion Adjustments:</i>							
Depreciation	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
Operating/Capital	0.000	0.000	0.000	0.000	-	0.000	-
Other Cash Adjustments	0.000	0.000	0.000	0.000	-	0.000	-
Total Cash Conversion Adjustments	0.000	0.000	0.000	\$0.000	-	\$0.000	-
Net Cash Surplus/(Deficit)	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-

Notes:
-- Results are based on the preliminary close of the general ledger and are subject to review and adjustment.
-- Differences are due to rounding.
* Variance exceeds 100%.

MTA METRO NORTH RAILROAD
2020 ADOPTED BUDGET AND NOVEMBER FORECAST vs. PRELIMINARY ACTUAL
DECEMBER YEAR-TO-DATE
(\$ in millions)

SCHEDULE I-C

NON-REIMBURSABLE/ REIMBURSABLE	2020			Favorable/(Unfavorable) Variance			
	Adopted Budget	November Forecast	Actual	Adopted Budget		November Forecast	
				\$	%	\$	%
Revenue							
Farebox Revenue	\$775.873	\$262.801	\$243.413	(\$532.460)	(68.6)	(\$19.388)	(7.4)
Vehicle Toll Revenue	0.000	0.000	0.000	-	-	0.000	-
Other Operating Revenue	61.652	360.063	349.117	287.465	*	(10.946)	(3.0)
<i>Capital & Other Reimbursements:</i>							
MTA	162.920	127.035	124.009	(38.911)	(23.9)	(3.026)	(2.4)
CDOT	164.762	167.675	173.374	8.612	5.2	5.699	3.4
Other	19.946	42.051	37.746	17.799	89.2	(4.305)	(10.2)
Total Capital and Other Reimbursements	347.628	336.760	335.129	(12.499)	(3.6)	(1.632)	(0.5)
Total Revenue	\$1,185.153	\$959.624	\$927.659	(\$257.494)	(21.7)	(\$31.965)	(3.3)
Expenses							
<i>Labor:</i>							
Payroll	\$593.402	\$589.117	\$582.853	\$10.549	1.8	\$6.264	1.1
Overtime	120.900	118.045	108.735	12.165	10.1	9.310	7.9
Health and Welfare	132.928	130.373	126.920	6.008	4.5	3.453	2.6
OPEB Current Payment	36.000	40.000	40.913	(4.913)	(13.6)	(0.913)	(2.3)
Pensions	123.293	142.298	138.644	(15.351)	(12.5)	3.654	2.6
Other Fringe Benefits	145.210	138.916	127.308	17.902	12.3	11.608	8.4
Reimbursable Overhead	(2.770)	(1.788)	(2.989)	0.219	7.9	1.201	67.1
Total Labor	\$1,148.963	\$1,156.961	\$1,122.385	\$26.578	2.3	\$34.576	3.0
<i>Non-Labor:</i>							
Electric Power	\$71.938	\$51.160	\$52.470	\$19.468	27.1	(\$1.310)	(2.6)
Fuel	19.633	10.664	12.147	7.486	38.1	(1.483)	(13.9)
Insurance	22.781	18.319	19.374	3.407	15.0	(1.055)	(5.8)
Claims	1.000	1.000	(1.004)	2.004	*	2.004	*
Paratransit Service Contracts	0.000	0.000	0.000	0.000	-	0.000	-
Maintenance and Other Operating Contracts	150.940	158.880	130.588	20.352	13.5	28.292	17.8
Professional Service Contracts	70.652	102.988	72.969	(2.318)	(3.3)	30.019	29.1
Materials & Supplies	162.551	156.643	168.920	(6.369)	(3.9)	(12.277)	(7.8)
Other Business Expenses	28.466	19.378	18.932	9.535	33.5	0.446	2.3
Total Non-Labor	\$527.961	\$519.031	\$474.396	\$53.565	10.1	\$44.635	8.6
<i>Other Adjustments:</i>							
Other	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
Total Other Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
Total Expenses before Non-Cash Liability Adj.	\$1,676.924	\$1,675.992	\$1,596.781	\$80.143	4.8	\$79.212	4.7
Depreciation	\$246.507	\$246.507	\$244.407	\$2.099	0.9	\$2.099	0.9
OPEB Obligation	0.000	0.000	0.000	0.000	-	0.000	-
GASB68 Pension Adjustment	3.500	(3.930)	(13.860)	17.360	*	9.930	*
Environmental Remediation	4.000	4.000	1.251	2.749	68.7	2.749	68.7
GASB75 Adjustment	39.700	69.446	(3.677)	43.377	*	73.122	*
Total Expenses	\$1,970.631	\$1,992.015	\$1,824.902	\$145.729	7.4	\$167.113	8.4
Net Surplus/(Deficit)	(\$785.478)	(\$1,032.390)	(\$897.243)	(\$111.765)	(14.2)	\$135.147	13.1
<i>Cash Conversion Adjustments:</i>							
Depreciation	\$246.507	\$246.507	\$244.407	(\$2.099)	(0.9)	(\$2.099)	(0.9)
Operating/Capital	(90.961)	(37.145)	(30.003)	60.958	67.0	7.142	19.2
Other Cash Adjustments	12.863	34.788	(18.989)	(31.852)	*	(53.777)	*
Total Cash Conversion Adjustments	168.409	244.150	195.416	\$27.007	16.0	(\$48.734)	(20.0)
Net Cash Surplus/(Deficit)	(\$617.069)	(\$788.240)	(\$701.827)	(\$84.758)	(13.7)	\$86.413	11.0

Notes:

-- Results are based on the preliminary close of the general ledger and are subject to review and adjustment.

-- Differences are due to rounding.

* Variance exceeds 100%.

MTA METRO-NORTH RAILROAD
2020 NOVEMBER FORECAST VS. ACTUAL
DECEMBER YEAR-TO-DATE (PRELIMINARY RESULTS)
EXPLANATION OF VARIANCE BETWEEN NOVEMBER FORECAST AND ACTUAL RESULTS
ACCURAL STATEMENT OF OPERATIONS BY CATEGORY
(\$ in millions)

Generic Revenue or Expense Category	Non Reimb. or Reimb.	Year to Date vs. November Forecast		
		Variance Fav (Unfav)		Reason for Variance
		\$	%	
FAREBOX REVENUE	Non-Reimb	(\$19.388)	(7.4%)	Reflects lower ridership due to a weaker recovery in East of Hudson commutation ridership due to the COVID-19 pandemic.
OTHER OPERATING REVENUE	Non-Reimb	(\$10.946)	(3.0%)	Primarily due to lower net GCT retail revenue reflecting the MTA Board approved tenant rent relief program and bad debt reserve.
PAYROLL	Reimb	(\$1.475)	(3.1%)	Primarily reflects higher activity on the Universal Interlock CP243, Connecticut Track Program and Waterbury Branch Cab Signal projects.
OVERTIME	Non-Reimb	\$12.584	13.5%	See overtime charts.
	Reimb	(\$3.274)	(13.2%)	See overtime charts.
HEALTH AND WELFARE	Non-Reimb	\$4.191	3.7%	Primarily reflects lower than forecasted labor costs combined with lower rates.
	Reimb	(\$0.738)	(4.6%)	Primarily reflects higher activity on the Universal Interlock CP243, Connecticut Track Program and Waterbury Branch Cab Signal projects.
PENSIONS	Non-Reimb	\$4.405	3.4%	Primarily reflects lower than forecasted labor costs combined with lower rates.
	Reimb	(\$0.751)	(6.0%)	Primarily reflects higher activity on the Universal Interlock CP243, Connecticut Track Program and Waterbury Branch Cab Signal projects.
OTHER FRINGE BENEFITS	Non-Reimb	\$12.320	9.7%	Primarily reflects a lower employee claim provision as well as lower labor costs than forecasted partially offset by higher rates and other employee reimbursements.
	Reimb	(\$0.712)	(5.8%)	Primarily reflects higher activity on the Universal Interlock CP243, Connecticut Track Program and Waterbury Branch Cab Signal projects.
REIMBURSABLE OVERHEAD	Non-Reimb	\$8.052	12.1%	The non-reimbursable and reimbursable variances reflect higher activity for several projects.
	Reimb	(\$6.851)	(10.6%)	
FUEL	Non-Reimb	(\$1.483)	(13.9%)	Primarily reflects higher than forecasted rates on diesel fuel and higher than forecasted revenue diesel usage on the Harlem & Hudson Lines.

MTA METRO-NORTH RAILROAD
2020 NOVEMBER FORECAST VS. ACTUAL
DECEMBER YEAR-TO-DATE (PRELIMINARY RESULTS)
EXPLANATION OF VARIANCE BETWEEN NOVEMBER FORECAST AND ACTUAL RESULTS
ACCRUAL STATEMENT OF OPERATIONS BY CATEGORY
(\$ in millions)

		Year to Date vs. November Forecast		
Generic Revenue or Expense Category	Non Reimb. or Reimb.	Variance Fav (Unfav)		Reason for Variance
		\$	%	
INSURANCE	Reimb	(\$1.355)	*	Primarily reflects higher activity on the Connecticut and Cyclical Track Programs as well as the Turnouts Replacement and Power Infrastructure Restoration projects.
CLAIMS	Non-Reimb	\$1.999	*	Reflects a lower passenger claims provision than forecasted.
MAINTENANCE AND OTHER OPERATING CONTRACTS	Non-Reimb	\$8.469	7.2%	Reflects timing of infrastructure repair costs, a true-up for MTA Police allocations, the timing of COVID-19 extraordinary cleaning of stations and rolling stock and BL-20 locomotive overhauls, and lower expense for miscellaneous maintenance and operating contracts.
	Reimb	\$19.823	47.5%	Reflects lower activity primarily due to timing and billing of the work for the Signal Replacement from Greenwich to South Norwalk and Design of Railway C&S Systems projects, partially offset by higher activity on the Connecticut Track Program.
PROFESSIONAL SERVICE CONTRACTS	Non-Reimb	\$12.825	30.6%	Lower than anticipated consulting and engineering services as well as a true-up for MTA allocations.
	Reimb	\$17.194	28.2%	Reflects timing of Positive Train Control (CT), Maybrook Trailway, Oil Circuit Breaker Replacement and GCT Leaks Remediation projects partially offset by higher activity on the JP Morgan - 270 Park Avenue Project.
MATERIALS AND SUPPLIES	Non-Reimb	\$7.590	7.4%	Primarily due to timing of rolling stock maintenance events and lower rolling stock material usage due to the reduced service schedule partially offset by the net impact of adjustments for obsolete material reserves and other inventory adjustments.
	Reimb	(\$19.868)	(36.6%)	Reflects higher activity on the Waterbury Branch Cab Signal, Positive Train Control (CT) and Cyclical Track Program projects partially offset by lower activity on the Connecticut Track Program, GCT-ESA Investments and Network Infrastructure Replacement projects.
OTHER BUSINESS EXPENSES	Non-Reimb	\$0.755	3.9%	Primarily due to lower subsidy payments to New Jersey Transit resulting from inflationary adjustments partially offset by lower Amtrak recoveries.
	Reimb	(\$0.309)	*	Primarily reflects higher activity on the Danbury Yard Trailer Replacement and Waterbury Branch Cab Signal projects.
DEPRECIATION	Non-Reimb	\$2.099	0.9%	Reflects lower capitalization of assets than forecasted due to timing differences in project completions and assets reaching beneficial use.

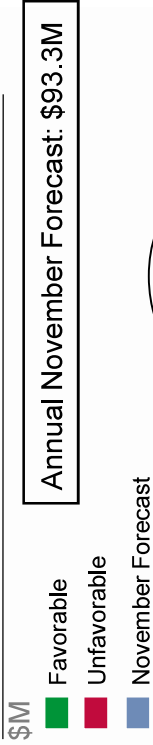
MTA METRO-NORTH RAILROAD
2020 NOVEMBER FORECAST VS. ACTUAL
DECEMBER YEAR-TO-DATE (PRELIMINARY RESULTS)
EXPLANATION OF VARIANCE BETWEEN NOVEMBER FORECAST AND ACTUAL RESULTS
ACCRUAL STATEMENT OF OPERATIONS BY CATEGORY
(\$ in millions)

Generic Revenue or Expense Category	Non Reimb. or Reimb.	Year to Date vs. November Forecast		
		Variance Fav (Unfav)		Reason for Variance
		\$	%	
GASB68 PENSION ADJUSTMENT	Non-Reimb	\$9.930	*	Pension expenses will be further adjusted pending the year-end Actuarial Valuation report.
ENVIRONMENTAL REMEDIATION	Non-Reimb	\$2.749	68.7%	Reflects fewer projects requiring remediation than forecasted.
GASB75 ADJUSTMENT	Non-Reimb	\$73.122	*	GASB75 Adjustment will be further adjusted pending the year-end valuation report.
OPERATING CAPITAL	Non-Reimb	\$7.142	19.2%	Primarily reflects timing for the following projects: Track Geometry Car, Enhanced Security Monitoring System, GCT Air Handling Units/Glycol Cooling, Upper Harlem Pole Replacement and GCT Escalators Replacement.

* Variance exceeds 100%.

METRO-NORTH RAILROAD – Non-Reimbursable Overtime Variance

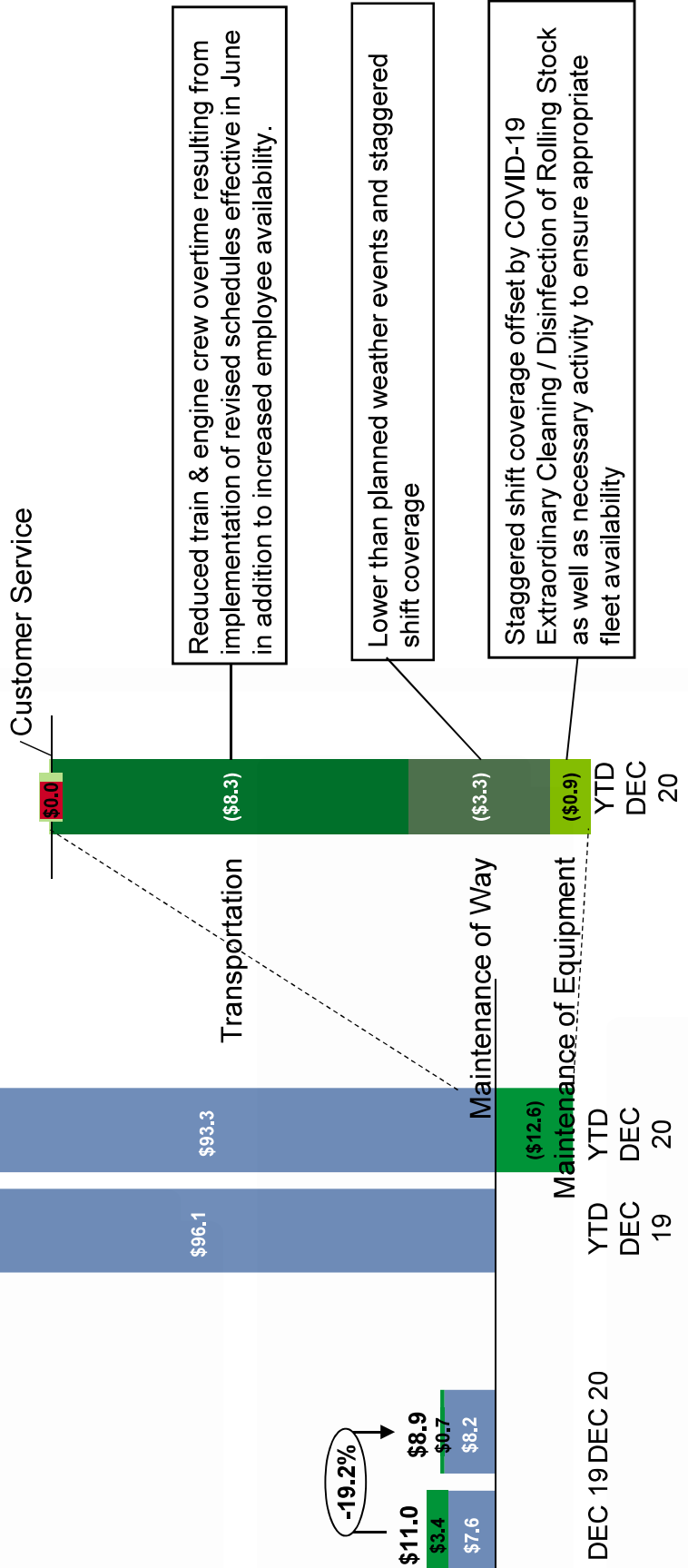
December 2020 and YTD November Forecast vs. variance



Overview

- Overall decrease of \$19.6M or 19.5% compared to YTD December 2019
- 13.5% below 2020 November Forecast
- Favorable Weather variance in Maintenance of Way, staggered shift coverage in Maintenance of Equipment and revised crew needs in Transportation is offset by COVID-19 Extraordinary Cleaning / Disinfection of Rolling Stock as well as necessary activity to ensure appropriate fleet availability

YTD variance by division
(\$12.6M), (13.5%)



Source: 2020 November Forecast, General Ledger actuals for actual overtime spending.

METRO-NORTH RAILROAD –Reimbursable Overtime Variance

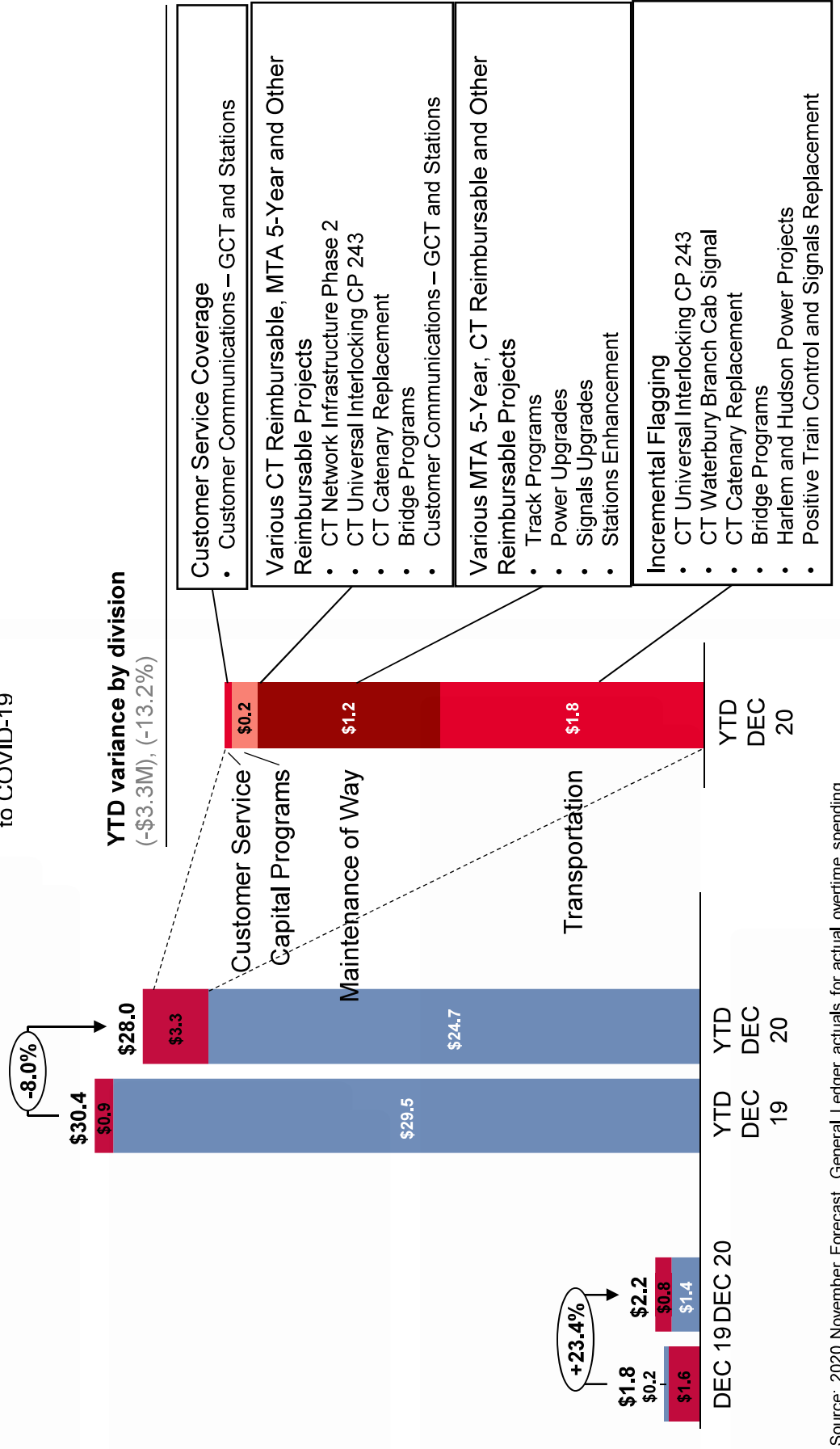
December 2020 and YTD November Forecast vs. variance



Annual November Forecast: \$24.7M

Overview

- Overall decrease of \$2.4M or 8.0% compared to YTD December 2019
- 13.2% above 2020 November Forecast
- Main cause for unfavorable variance is more than planned work on MTA 5-Year projects and CT Capital projects resulting from running less service due to COVID-19

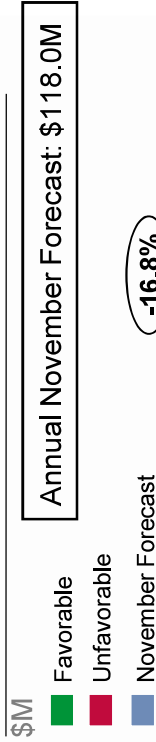


Source: 2020 November Forecast, General Ledger, actuals for actual overtime spending.

METRO-NORTH RAILROAD – Non-Reimbursable and Reimbursable

Overtime Variance

December 2020 and YTD November Forecast vs. variance

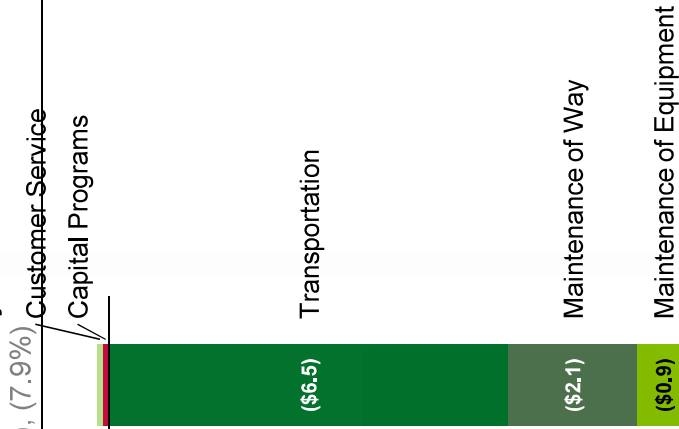


Overview

- Overall decrease of \$22.0M or 16.8% compared to YTD December 2019
- 7.9% below 2020 November Forecast
- Favorable Weather variance in Maintenance of Way, staggered shift coverage in Maintenance of Equipment and staff availability in Transportation is offset by COVID-19 Extraordinary Cleaning / Disinfection of Stations and Rolling Stock, necessary fleet activity in Maintenance of Equipment and reimbursable project coverage in other divisions

YTD variance by division

(\$9.3M), (7.9%)



	YTD	YTD
DEC 19	DEC 19	DEC 20
DEC 20	DEC 20	DEC 20

Source: 2020 November Forecast, General Ledger actuals for actual overtime spending.

MTA METRO NORTH RAILROAD
2020 ADOPTED BUDGET AND NOVEMBER FORECAST vs. PRELIMINARY ACTUAL
CASH RECEIPTS AND EXPENDITURES
DECEMBER YEAR-TO-DATE
(\$ in millions)

SCHEDULE III

	2020			Favorable/(Unfavorable) Variance			
	Adopted Budget	November Forecast	Actual	Adopted Budget		November Forecast	
				\$	%	\$	%
Receipts							
Farebox Revenue	\$760.044	\$256.599	\$238.941	(\$521.103)	(68.6)	(\$17.658)	(6.9)
Vehicle Toll Revenue	0.000	0.000	0.000	0.000	-	0.000	-
Other Operating Revenue	89.819	385.038	377.913	288.094	*	(7.125)	(1.9)
<i>Capital & Other Reimbursements:</i>							
MTA	167.866	130.853	136.419	(31.447)	(18.7)	5.566	4.3
CDOT	164.762	167.675	164.783	0.021	0.0	(2.892)	(1.7)
Other	19.946	42.051	34.937	14.991	75.2	(7.114)	(16.9)
Total Capital and Other Reimbursements	352.575	340.579	336.139	(16.436)	(4.7)	(4.440)	(1.3)
Total Receipts	\$1,202.438	\$982.216	\$952.993	(\$249.445)	(20.7)	(\$29.223)	(3.0)
Expenditures							
<i>Labor:</i>							
Payroll	\$604.172	\$599.591	\$582.486	\$21.686	3.6	\$17.105	2.9
Overtime	125.647	121.314	109.621	16.026	12.8	11.693	9.6
Health and Welfare	144.877	142.374	144.058	0.819	0.6	(1.684)	(1.2)
OPEB Current Payment	36.000	40.000	41.123	(5.123)	(14.2)	(1.123)	(2.8)
Pensions	123.243	142.354	140.840	(17.597)	(14.3)	1.514	1.1
Other Fringe Benefits	145.017	137.519	62.433	82.584	56.9	75.086	54.6
GASB Account	0.000	0.000	0.000	0.000	-	0.000	-
Reimbursable Overhead	(0.000)	0.000	0.000	(0.000)	(100.0)	0.000	100.0
Total Labor	\$1,178.955	\$1,183.152	\$1,080.561	\$98.394	8.3	\$102.590	8.7
<i>Non-Labor:</i>							
Electric Power	\$73.819	\$53.041	\$60.203	\$13.616	18.4	(\$7.162)	(13.5)
Fuel	\$19.134	\$10.164	\$12.688	6.446	33.7	(2.524)	(24.8)
Insurance	\$23.545	\$20.223	\$22.212	1.333	5.7	(1.989)	(9.8)
Claims	\$2.166	\$1.146	\$4.039	(1.873)	(86.5)	(2.893)	*
Paratransit Service Contracts	0.000	0.000	0.000	0.000	-	0.000	-
Maintenance and Other Operating Contracts	207.830	182.556	148.933	58.897	28.3	33.623	18.4
Professional Service Contracts	80.598	101.484	68.085	12.513	15.5	33.399	32.9
Materials & Supplies	176.868	162.681	211.790	(34.922)	(19.7)	(49.109)	(30.2)
Other Business Expenditures	56.591	56.010	46.309	10.282	18.2	9.701	17.3
Total Non-Labor	\$640.551	\$587.304	\$574.259	\$66.292	10.3	\$13.045	2.2
<i>Other Adjustments:</i>							
Other	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
Total Other Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
Total Expenditures	\$1,819.507	\$1,770.456	\$1,654.820	\$164.686	9.1	\$115.636	6.5
Net Cash Surplus/(Deficit)	(\$617.069)	(\$788.240)	(\$701.827)	(\$84.758)	(13.7)	\$86.413	11.0
Subsidies							
MTA	\$483.363	\$497.253	\$537.026	\$53.663	11.1	\$39.773	8.0
CDOT	133.706	290.988	299.492	165.786	*	8.504	2.9
Total Subsidies	\$617.069	\$788.240	\$836.518	\$219.449	35.6	\$48.278	6.1
Cash Timing and Availability Adjustment	0.000	(9.675)	(65.126)	(65.126)	-	(55.451)	(85.1)

Notes:

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

**MTA METRO-NORTH RAILROAD
NOVEMBER FORECAST vs. ACTUAL
DECEMBER YEAR-TO-DATE
EXPLANATION OF VARIANCE BETWEEN NOVEMBER FORECAST AND ACTUAL RESULTS
(\$ in millions)**

\$ Detail

Generic Receipt or Expense Category	Year-to-Date as of December 31, 2020 vs. 2020 November Forecast		
	Variance Fav (Unfav)		Reason for Variance
	\$	%	
FARE REVENUE	(17.658)	(6.9%)	Primarily reflects lower ridership due to a weaker recovery in East of Hudson ridership due to the COVID-19 pandemic.
CAPITAL AND OTHER REIMBURSEMENTS:			
MTA	5.566	4.3%	Primarily reflects higher cash receipts than forecasted partially offset by lower capital related project activity.
CDOT	(2.892)	(1.7%)	Primarily reflects lower cash receipts than forecasted partially offset by higher capital related project activity.
OTHER	(7.114)	(16.9%)	Primarily reflects lower cash receipts than forecasted partially offset by higher reimbursable related project activity.
OVERTIME	11.693	9.6%	Primarily reflects reduced train & engine crew overtime resulting from implementation of revised schedules effective in June.
OTHER FRINGE BENEFITS	75.086	54.6%	Primarily reflects the deferral of the employer portion of payroll taxes due to the CARES Act combined with lower employee claim payments.
ELECTRIC POWER	(7.162)	(13.5%)	Primarily reflects timing of payments combined with higher rates than forecasted.
FUEL	(2.524)	(24.8%)	Primarily reflects higher rates than forecasted combined with timing of payments.
INSURANCE	(1.989)	(9.8%)	Reflects timing of payments for insurance premiums.
CLAIMS	(2.893)	*	Primarily reflects higher passenger injury settlements than forecasted.
MAINTENANCE & OTHER OPERATING CONTRACTS	33.623	18.4%	Primarily reflects timing of payments for Capital projects (Signal Replacement from Greenwich to South Norwalk, Enhanced Security Monitoring System, GCT Air Handling Units/Glycol Cooling), COVID-19 extraordinary cleaning of stations and rolling stock, BL-20 locomotive overhauls and lower expenses for miscellaneous maintenance and operating contracts.

**MTA METRO-NORTH RAILROAD
NOVEMBER FORECAST vs. ACTUAL
DECEMBER YEAR-TO-DATE
EXPLANATION OF VARIANCE BETWEEN NOVEMBER FORECAST AND ACTUAL RESULTS
(\$ in millions)**

\$ Detail

Generic Receipt or Expense Category	Year-to-Date as of December 31, 2020 vs. 2020 November Forecast		Reason for Variance
	Variance Fav (Unfav)		
	\$	%	
PROFESSIONAL SERVICE CONTRACTS	33.399	32.9%	Primarily reflects the timing of engineering services for Capital projects (Positive Train Control (CT), Maybrook Trailway, Oil Circuit Breaker Replacement and the Installation of Wayside Energy Storage) as well as lower than anticipated consulting and other engineering services.
MATERIALS & SUPPLIES	(49.109)	(30.2%)	Primarily reflects acceleration of the Waterbury Branch Cab Signal project as well as higher activity on Positive Train Control and the Cyclical Track Program combined with the timing of materials placed into inventory.
OTHER BUSINESS EXPENSES	9.701	17.3%	Primarily reflects lower subsidy payments to New Jersey Transit due to inflationary adjustments.
MTA SUBSIDY RECEIPTS	39.773	8.0%	Primarily reflects available cash balance partially offset by lower cash deficit and higher CDOT subsidy.

MTA METRO NORTH RAILROAD
2020 ADOPTED BUDGET AND NOVEMBER FORECAST vs. PRELIMINARY ACTUAL
CASH CONVERSION (CASH FLOW ADJUSTMENTS)
DECEMBER YEAR-TO-DATE
(\$ in millions)

	2020			Favorable/(Unfavorable) Variance			
	Adopted Budget	November Forecast	Actual	Adopted Budget		November Forecast	
				\$	%	\$	%
Receipts							
Farebox Revenue	(\$15.829)	(\$6.202)	(\$4.472)	\$11.357	71.7	\$1.730	27.9
Vehicle Toll Revenue	0.000	0.000	0.000	0.000	-	0.000	-
Other Operating Revenue	28.167	24.975	28.796	0.628	2.2	3.821	15.3
<i>Capital & Other Reimbursements:</i>							
MTA	4.947	3.818	12.410	7.463	*	8.592	*
CDOT	0.000	0.000	(8.591)	(8.591)	-	(8.591)	-
Other	0.000	0.000	(2.809)	(2.809)	-	(2.809)	-
Total Capital and Other Reimbursements	4.947	3.818	1.010	(3.936)	(79.6)	(2.808)	(73.5)
Total Receipts	\$17.285	\$22.591	\$25.334	\$8.049	46.6	\$2.743	12.1
Expenditures							
<i>Labor:</i>							
Payroll	(\$10.770)	(\$10.474)	\$0.367	\$11.137	*	\$10.841	*
Overtime	(4.747)	(3.269)	(0.886)	3.861	81.3	2.382	72.9
Health and Welfare	(11.949)	(12.001)	(17.138)	(5.189)	(43.4)	(5.137)	(42.8)
OPEB Current Payment	0.000	0.000	(0.210)	(0.210)	-	(0.210)	-
Pensions	0.050	(0.055)	(2.196)	(2.246)	*	(2.140)	*
Other Fringe Benefits	0.193	1.396	64.875	64.682	*	63.479	*
GASB Account	0.000	0.000	0.000	0.000	-	0.000	-
Reimbursable Overhead	(2.770)	(1.788)	(2.989)	(0.219)	(7.9)	(1.201)	(67.1)
Total Labor	(\$29.992)	(\$26.190)	\$41.824	\$71.816	*	\$68.014	*
<i>Non-Labor:</i>							
Electric Power	(\$1.881)	(\$1.881)	(\$7.733)	(\$5.852)	*	(\$5.852)	*
Fuel	\$0.499	\$0.499	(\$0.541)	(1.040)	*	(1.040)	*
Insurance	(0.764)	(1.903)	(2.838)	(2.074)	*	(0.935)	(49.1)
Claims	(1.166)	(0.146)	(5.043)	(3.877)	*	(4.897)	*
Paratransit Service Contracts	0.000	0.000	0.000	0.000	-	0.000	-
Maintenance and Other Operating Contracts	(56.891)	(23.676)	(18.345)	38.546	67.8	5.331	22.5
Professional Service Contracts	(9.946)	1.504	4.884	14.830	*	3.380	*
Materials & Supplies	(14.317)	(6.038)	(42.870)	(28.553)	*	(36.832)	*
Other Business Expenditures	(28.125)	(36.633)	(27.377)	0.748	2.7	9.256	25.3
Total Non-Labor	(\$112.590)	(\$68.273)	(\$99.863)	\$12.727	11.3	(\$31.590)	(46.3)
<i>Other Adjustments:</i>							
Other	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
Total Other Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	-	\$0.000	-
Total Expenditures before Non-Cash Liability Adjs.	(\$125.298)	(\$71.872)	(\$32.705)	\$92.592	73.9	\$39.167	54.5
Depreciation	\$246.507	\$246.507	\$244.407	(\$2.099)	(0.9)	(\$2.099)	(0.9)
OPEB Obligation	0.000	0.000	0.000	0.000	-	0.000	-
GASB68 Pension Adjustment	3.500	(3.930)	(13.860)	(17.360)	*	(9.930)	*
Environmental Remediation	4.000	4.000	1.251	(2.749)	(68.7)	(2.749)	(68.7)
GASB75 Adjustment	39.700	69.446	(3.677)	(43.377)	*	(73.122)	*
Total Expenditures Adjustments	\$293.707	\$316.022	\$228.121	(\$65.585)	(22.3)	(\$87.901)	(27.8)
Total Cash Conversion Adjustments	\$168.409	\$244.150	\$195.416	\$27.007	16.0	(\$48.734)	(20.0)

Notes:

-- Results are based on the preliminary close of the general ledger and are subject to review and adjustment.
-- Differences are due to rounding.
* Variance exceeds 100%.

**MTA METRO-NORTH RAILROAD
2020 ADOPTED BUDGET AND NOVEMBER FORECAST VS PRELIMINARY ACTUAL
RIDERSHIP/UTILIZATION
DECEMBER 2020
(in millions)**

	YTD AS OF DECEMBER			2020			2019			VARIANCE	
	ADOPTED BUDGET	NOVEMBER FORECAST	PRELIMINARY ACTUAL	2019 ^(A)		ADOPTED BUDGET	NOVEMBER FORECAST	2019	Fav/(Unfav)		
				2019 ^(A)	2019				NOVEMBER FORECAST	2019	
FAREBOX REVENUE											
Harlem Line - Commutation	115.356	42.053	36.197	113.213	(79,159)	-68.6%	(5,856)	(77,016)	-13.9%	(77,016)	-68.0%
Harlem Line - Non-Commutation	108.292	35.345	35.092	103.713	(73,200)	-67.6%	(0,253)	(68,621)	-0.7%	(68,621)	-66.2%
TOTAL HARLEM LINE	\$223.649	\$77.399	\$71.289	\$216.926	(\$152,360)	-68.1%	(\$6,109)	(\$145,637)	-7.9%	(\$145,637)	-67.1%
Hudson Line - Commutation	76.503	28.025	24.445	75.363	(62,057)	-68.0%	(3,580)	(50,918)	-12.8%	(50,918)	-67.6%
Hudson Line - Non-Commutation	94.907	31.471	33.070	92.242	(61,837)	-65.2%	1,599	(59,172)	5.1%	(59,172)	-64.1%
TOTAL HUDSON LINE	\$171.410	\$59.496	\$57.516	\$167.605	(\$113,894)	-66.4%	(\$1,981)	(\$110,090)	-3.3%	(\$110,090)	-65.7%
New Haven Line - Commutation	162.146	56.827	47.367	157.752	(114,778)	-70.8%	(9,459)	(110,384)	-16.6%	(110,384)	-70.0%
New Haven Line - Non-Commutation	203.922	63.627	61.561	199.830	(142,361)	-69.8%	(2,066)	(138,269)	-3.2%	(138,269)	-69.2%
TOTAL NEW HAVEN LINE	\$366.068	\$120.454	\$108.928	\$357.582	(\$257,139)	-70.2%	(\$11,525)	(\$248,654)	-9.6%	(\$248,654)	-69.5%
All Lines - Commutation	354.005	126.905	108.010	346.328	(245,995)	-69.5%	(18,896)	(238,318)	-14.9%	(238,318)	-68.8%
All Lines - Non-Commutation	407.121	130.443	129.723	395.785	(277,398)	-68.1%	(0,720)	(266,062)	-0.6%	(266,062)	-67.2%
TOTAL EAST OF HUDSON LINES	\$761.126	\$257.348	\$237.733	\$742.113	(\$523,393)	-68.8%	(\$19,615)	(\$504,380)	-7.6%	(\$504,380)	-68.0%
West of Hudson ^(B)	\$14.747	\$5.452	\$5.680	\$14.569	(9,067)	-61.5%	0.228	(8,889)	4.2%	(8,889)	-61.0%
TOTAL FAREBOX REVENUE	\$775.873	\$262.801	\$243.413	\$756.682	(\$532,460)	-68.6%	(\$19,388)	(\$513,269)	-7.4%	(\$513,269)	-67.8%
RIDERSHIP											
Harlem Line - Commutation	16,644	5,287	4,631	16,523	(12,013)	-72.2%	(0,656)	(11,892)	-12.4%	(11,892)	-72.0%
Harlem Line - Non-Commutation	11,271	3,957	4,181	10,932	(7,091)	-62.9%	0,223	(6,752)	5.6%	(6,752)	-61.8%
TOTAL HARLEM LINE	27,916	9,244	8,812	27,456	(19,104)	-68.4%	(0,432)	(18,644)	-4.7%	(18,644)	-67.9%
Hudson Line - Commutation	9,466	3,001	2,580	9,476	(6,886)	-72.7%	(0,421)	(6,896)	-14.0%	(6,896)	-72.8%
Hudson Line - Non-Commutation	8,072	2,768	2,999	7,955	(5,073)	-62.9%	0,231	(4,956)	8.4%	(4,956)	-62.3%
TOTAL HUDSON LINE	17,538	5,768	5,578	17,431	(11,960)	-68.2%	(0,190)	(11,852)	-3.3%	(11,852)	-68.0%
New Haven Line - Commutation	22,024	6,795	5,722	21,882	(16,302)	-74.0%	(1,073)	(16,160)	-15.8%	(16,160)	-73.9%
New Haven Line - Non-Commutation	18,583	6,264	6,464	18,475	(12,119)	-65.2%	0,201	(12,011)	3.2%	(12,011)	-65.0%
TOTAL NEW HAVEN LINE	40,607	13,058	12,186	40,357	(28,421)	-70.0%	(0,872)	(28,171)	-6.7%	(28,171)	-69.8%
Total Ridership East of Hudson											
All Lines - Commutation	48,135	15,082	12,933	47,881	(35,202)	-73.1%	(2,149)	(34,948)	-14.3%	(34,948)	-73.0%
All Lines - Non-Commutation	37,926	12,989	13,644	37,363	(24,283)	-64.0%	0,655	(23,719)	5.0%	(23,719)	-63.5%
TOTAL EAST OF HUDSON LINES	86,061	28,071	26,577	85,244	(59,484)	-69.1%	(1,494)	(58,667)	-5.3%	(58,667)	-68.8%
West of Hudson ^(B)	1,630	0,607	0,593	1,619	(1,036)	-63.6%	(0,013)	(1,026)	-2.2%	(1,026)	-63.4%
TOTAL EAST & WEST OF HUDSON LINES	87,691	28,678	27,170	86,863	(60,521)	-69.0%	(1,508)	(59,693)	-5.3%	(59,693)	-68.7%

^(A) 2019 Ridership figures have been restated to simulate the 2020 calendar.

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

MTA METRO-NORTH RAILROAD
2020 NOVEMBER FORECAST VS. ACTUALS
TOTAL FULL-TIME POSITIONS AND FULL-TIME EQUIVALENTS
December 31, 2020

<u>Department</u>	November Forecast	Actual	Favorable (Unfavorable) Variance	Notes
Administration				
President	3	2	1	
Labor Relations	12	10	2	
Safety	75	52	23	A
Security	23	17	6	
Office of the Executive VP	8	7	1	
Corporate & Public Affairs	15	15	-	
Customer Service	47	44	3	
Legal	9	9	-	
Claims	6	5	1	
Human Resources	40	36	4	
Training	95	75	20	A
Employee Relations & Diversity	4	4	-	
VP Planning	2	1	1	
Operations Planning & Analysis	23	18	5	
Capital Planning & Programming	10	10	-	
Long Range Planning	5	5	-	
VP Finance & Info Systems	-	-	-	
Controller	67	63	4	
Budget	17	16	1	
Procurement & Material Mgmt	28	21	7	
Total Administration	489	410	79	
Operations				
Operations Support	77	39	38	C
Rolling Stock & EAM	29	14	15	
Transportation	1,686	1,601	85	A, B
Customer Service	447	352	95	A, B
Metro-North West	44	26	18	
Total Operations	2,283	2,032	251	
Maintenance				
Maintenance of Equipment	1,804	1,537	267	A, B
Maintenance of Way	2,330	2,078	252	A, B, C
Procurement & Material Mgmt	134	110	24	
Total Maintenance	4,268	3,725	543	
Engineering/Capital				
Construction Management	29	19	10	
Engineering & Design	70	53	17	B
Total Engineering/Capital	99	72	27	
Total Positions	7,139	6,239	900	
Non-Reimbursable	6,521	5,868	653	
Reimbursable	618	371	247	
Total Full-Time	7,138	6,238	900	
Total Full-Time-Equivalents (of part-time positions)	1	1	-	

Notes

(A) Variance reflects delayed hiring of vacant positions.

(B) Variance reflects higher attrition than planned.

(C) Variance reflects transfer of Force Account Project Mgmt. and Automotive Group positions.

MTA METRO-NORTH RAILROAD
 2020 NOVEMBER FORECAST VS. ACTUALS
 TOTAL FULL-TIME POSITIONS AND FULL-TIME EQUIVALENTS
 December 31, 2020

FUNCTION/OCCUPATION	November Forecast	Actual	Favorable (Unfavorable) Variance
Administration			
Managers/Supervisors	162	145	18
Professional, Technical, Clerical	327	265	62
Operational Hourlies	-	-	-
Total Administration	489	410	79
Operations			
Managers/Supervisors	270	226	44
Professional, Technical, Clerical	245	240	5
Operational Hourlies	1,768	1,565	203
Total Operations	2,283	2,032	251
Maintenance			
Managers/Supervisors	695	643	52
Professional, Technical, Clerical	542	480	62
Operational Hourlies	3,031	2,602	429
Total Maintenance	4,268	3,725	543
Engineering/Capital			
Managers/Supervisors	46	26	20
Professional, Technical, Clerical	53	46	7
Operational Hourlies	-	-	-
	99	72	27
Total Positions			
Managers/Supervisors	1,173	1,039	134
Professional, Technical, Clerical	1,167	1,032	135
Operational Hourlies	4,799	4,167	632
Total Positions	7,139	6,239	900

MTA METRO-NORTH RAILROAD
2020 NOVEMBER FORECAST VS. ACTUALS
December 31, 2020

<u>Agency-wide (Non-Reimbursable and Reimbursable)</u>	<u>November Forecast</u>	<u>Actual</u>	<u>Favorable (Unfavorable) Variance</u>	<u>Explanation of Variances</u>
<i>Functional Classification:</i> Administration	489	410	79	
Operations	2,283	2,032	251	Primarily reflects delayed hiring of vacant positions, higher attrition than planned, and transfers of Force Account Project Mgmt. and Automotive Group positions.
Maintenance	4,268	3,725	543	Primarily reflects delayed hiring of vacant positions, higher attrition than planned, and transfers of Force Account Project Mgmt. and Automotive Group positions.
Engineering / Capital	99	72	27	
Total Agency-wide Headcount	7,139	6,239	900	
Non-Reimbursable	6,521	5,868	653	
Reimbursable	618	371	247	

MTA METRO-NORTH RAILROAD
2020 NOVEMBER FORECAST vs. PRELIMINARY ACTUAL
MONTHLY PERFORMANCE INDICATORS ^(A)
DECEMBER 2020

	YEAR-TO-DATE			VARIANCE	
	NOVEMBER FORECAST	2020 PRELIMINARY ACTUAL	2019	NOVEMBER FORECAST	2019
				Fav/(Unfav)	
Farebox Operating Ratio					
Standard ^(B)	19.7%	19.4%	52.1%	-0.3%	-32.7%
Adjusted ^(C)	25.4%	24.6%	58.6%	-0.8%	-33.9%
Cost per Passenger					
Standard ^(B)	\$45.80	\$46.08	\$16.76	(\$0.28)	(\$29.32)
Adjusted ^(C)	\$45.01	\$45.20	\$16.36	(\$0.20)	(\$28.84)
Passenger Revenue/Passenger	\$9.03	\$8.96	\$8.74	(\$0.07)	\$0.22

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

(B) The Standard Farebox Operating Ratio and Cost Per Passenger indicators reflect MTA-wide adopted calculations that exclude non-cash liability adjustments: Depreciation, OPEB Expense (GASB 75), Pension Expense (GASB 68) and Environmental Remediation (GASB-49) as well as 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.



Metro-North Railroad

Finance Report

Steven Weiss

Executive Director, Management & Budget



The Grand Central Terminal Cleaning Crew recently cleaned some of the Terminal's most trafficked and hard to reach places in preparation for an extensive historic preservation project. About every 20 years specialized contractors remove and replace chipped and flaking paint, broken stone and other aesthetic blemishes that come with operating the 100-plus year old transportation hub.



Metro-North Railroad

November 2020 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 the Mid-year Forecast (forecast) and key financial performance indicators.

Summary of Non-Reimbursable Year-to-Date (YTD) November 2020 Financial Results

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

- Ridership of 25.7 million, which includes East of Hudson ridership of 25.1 million and West of Hudson ridership of 0.6 million, was 6.1% unfavorable vs. forecast. Consequently, farebox revenue of \$232.4 million was \$21.8 million lower than forecast.
- Total revenue of \$570.0 million was \$10.0 million or 1.8% higher than forecast primarily due to higher receipts from the Coronavirus Aid, Relief and Economic Security Act (CARES Act) due to a greater than projected New York State share of operating losses from May through July partially offset by the farebox revenue loss.
- Total expenses of \$1,147.0 million were \$84.7 million or 6.9% favorable vs. forecast primarily due to lower labor costs, the timing of rolling stock maintenance events and material usage, and lower contractual, consulting and engineering services.

Financial results for Year-to-Date (YTD) November 2020 are presented in the table below and compared to the Midyear Forecast.

MTA Metro-North Railroad
November 2020 Year-to-Date Results
(\$ in Millions)

	<u>Mid-Year Forecast</u>	<u>Actual</u>	<u>Fav/(Unfav) \$ Var</u>	<u>Variance % Var</u>
Total Revenue	\$570.0	\$579.9	\$10.0	1.8%
Total Expenses before Non-Cash Liability Adjs.	1,231.7	1,147.0	84.7	6.9%
Operating Surplus/(Deficit)	(661.7)	(567.1)	94.7	14.3%
<i>Other Non-Cash Liabilities</i>	225.2	213.4	11.8	5.2%
Net Surplus/(Deficit) after Non-Cash Liability Adjs.	(887.0)	(780.5)	106.5	12.0%
<i>Cash Adjustments</i>	190.4	216.1	25.7	13.5%
Net Cash Surplus/(Deficit)	(\$696.5)	(\$564.4)	\$132.2	19.0%

Steven Weiss

Executive Director, Management & Budget

NON-REIMBURSABLE and REIMBURSABLE SUMMARY

November 2020 YTD Net Deficit (Non-Reimbursable and Reimbursable) of \$780.5 million was \$106.5 million or 12.0% favorable vs. the forecast.

Major drivers of the November 2020 YTD favorable result of \$106.5 million include higher Non-Reimbursable Revenues of \$10.0 million, primarily driven by higher receipts from the CARES Act due to a greater than projected New York State share of operating losses from May through July partially offset by farebox revenue loss. In addition, Non-Reimbursable Expenses were favorable by \$96.5 million mainly due to lower labor costs, the timing of rolling stock maintenance events and material usage, and lower contractual, consulting and engineering services and non-cash liability adjustments.

November 2020 YTD Reimbursable Expenses of \$302.8 million were \$6.5 million favorable vs. the forecast primarily due to the acceleration of the Waterbury Branch Cab Signal Project partially offset by the Signal Replacement from Greenwich to South Norwalk and other various projects.

REVENUE/RIDERSHIP

- **Farebox Revenue** – YTD results were \$21.8 million lower vs. the forecast primarily due to lower ridership due to a weaker recovery in East of Hudson ridership.
 - YTD Ridership of 25.7 million was 6.1% unfavorable vs. the forecast and 67.6% unfavorable vs. YTD 2019.
- **Other Operating Revenue** – YTD was \$31.8 million favorable vs. the forecast primarily due to the CARES Act Reimbursement noted above.
- **Capital and Other Reimbursements** – YTD was \$6.5 million or 2.1% unfavorable vs. the forecast primarily due to scheduling and timing changes noted above.

TOTAL EXPENSES (Non-Reimbursable and Reimbursable)

Total Expenses – YTD expenses of \$1,663.3 million were \$103.0 million or 5.8% favorable vs. the forecast.

Labor Expenses (including fringes and overhead recoveries) of \$1,023.6 million YTD were \$40.8 million favorable vs. the forecast.

- **Payroll** – YTD was \$8.6 million favorable vs. the forecast, which primarily reflects hiring and attrition savings.
- **Overtime** – YTD was \$14.6 million favorable vs. the forecast primarily due to reduced train and engine crew overtime resulting from the implementation of the June revised service schedule.

Non-Labor Expenses of \$426.2 million YTD were \$50.4 million favorable vs. the forecast.

- **Electric Power** – YTD results were \$0.6 million favorable vs. the forecast primarily due to lower rates on the New Haven Line.
- **Fuel** – YTD expenses were \$1.5 million unfavorable vs. the forecast primarily due to higher rates.
- **Maintenance & Other Operating Contracts** – YTD was \$26.3 million favorable vs. the forecast due to the timing of Reimbursable project activity primarily for the Signal Replacement from Greenwich to South Norwalk and the Maybrook Trailway Projects as well as the timing of Non-Reimbursable expenses for miscellaneous maintenance and operating contracts including the COVID-19 extraordinary cleaning and disinfection of Metro-North employee

facilities, shop and rolling stock maintenance and repairs and right-of-way infrastructure repairs.

- **Professional Services** – YTD was \$24.5 million favorable vs. the forecast due to the timing of Reimbursable project activity primarily related to the Connecticut Positive Train Control, Oil Circuit Breaker Replacement and Sasco Creek Power Supply Station Projects and lower than anticipated Non-Reimbursable expenses for consulting and engineering services as well as a true-up for MTA allocations.
- **Materials & Supplies** – YTD was \$2.4 million unfavorable vs. the forecast primarily due to the timing of Reimbursable project activity for the Waterbury Branch Cab Signal Project partially offset by the timing of rolling stock maintenance events and material usage and various inventory adjustments.
- **Other Business Expenses** – YTD was \$3.7 million favorable vs. the forecast primarily due to lower subsidy payments to New Jersey Transit reflecting credits for March through early July service reductions.

Depreciation and Other Non-Cash Liability Adjustments were \$11.8 million favorable vs. the YTD forecast primarily due to lower GASB 68 expense, which reflects adjustments to account for MNR's net pension liability as well as the timing of environmental remediation for capital projects.

CASH DEFICIT SUMMARY

November YTD Net Cash Deficit of \$564.4 million was \$132.2 million or 19.0% favorable to the forecast. This is mainly due to the deferral of the employer portion of payroll taxes due to the CARES Act, timing of payments in several expenditure categories and the higher CARES Act reimbursement for the New York State share of operating losses from May through July.

FINANCIAL PERFORMANCE MEASURES

- Adjusted Farebox Operating Ratio of 25.9% was 0.3 percentage points favorable vs. the forecast.
- Adjusted Cost per Passenger of \$43.35 was \$0.93 favorable vs. the forecast.
- Revenue per Passenger of \$9.04 was \$0.25 unfavorable vs. the forecast.

MTA METRO-NORTH RAILROAD												
JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST												
ACCURAL STATEMENT OF OPERATIONS BY CATEGORY												
NOVEMBER 2020												
(\$ in millions)												
	Nonreimbursable			Reimbursable			Total			Favorable (Unfavorable)		
	Mid-Year Forecast	Actual	Variance	Percent	Mid-Year Forecast	Actual	Variance	Percent	Mid-Year Forecast	Actual	Variance	Percent
Revenue												
Farebox Revenue	\$15,019	\$12,483	(\$2,536)	(16.9)	\$0,000	\$0,000	\$0,000	-	\$15,019	\$12,483	(\$2,536)	(16.9)
Vehicles Toll Revenue	0,000	0,000	0,000	-	0,000	0,000	0,000	-	0,000	0,000	0,000	-
Other Operating Revenue	3,888	2,821	(1,047)	(27.1)	0,000	0,000	0,000	-	3,888	2,821	(1,047)	(27.1)
Capital & Other Reimbursements:												
MTA	0,000	0,000	0,000	-	10,164	9,922	(0,242)	(2.4)	10,164	9,922	(0,242)	(2.4)
CDOT	0,000	0,000	0,000	-	21,662	14,926	(6,736)	(31.1)	21,662	14,926	(6,736)	(31.1)
Other	0,000	0,000	0,000	-	2,986	1,685	(1,302)	(43.6)	2,986	1,685	(1,302)	(43.6)
Total Capital and Other Reimbursements	0,000	0,000	0,000	-	34,813	26,532	(8,280)	(23.8)	34,813	26,532	(8,280)	(23.8)
Total Revenue	\$18,887	\$15,304	(\$3,583)	(19.0)	\$34,813	\$26,532	(\$8,280)	(23.8)	\$53,700	\$41,836	(\$11,864)	(22.1)
Expenses												
Labor:												
Payroll	\$44,749	\$42,334	\$2,415	5.4	\$4,094	\$4,044	\$0,050	1.2	\$48,844	\$46,379	\$2,465	5.0
Overtime	8,463	5,850	2,613	30.9	2,169	2,315	(0,146)	(6.7)	10,632	8,164	2,468	23.2
Health and Welfare	9,627	8,210	1,417	14.7	1,406	1,381	0,025	1.8	11,033	9,591	1,442	13.1
OP&B Current Payment	3,287	3,346	(0,059)	(1.8)	0,000	0,000	0,000	-	3,287	3,346	(0,059)	(1.8)
Pensions	10,988	11,848	(0,861)	(7.8)	1,110	1,124	(0,014)	(1.3)	12,098	12,972	(0,875)	(7.2)
Other Fringe Benefits	10,750	9,884	0,865	8.1	1,056	1,062	(0,006)	(0.6)	11,806	10,947	0,859	7.3
Reimbursable Overhead	(6,107)	(5,751)	(0,355)	(5.8)	5,819	5,518	0,301	5.2	(0,287)	(0,233)	(0,054)	(18.9)
Total Labor	\$81,757	\$75,720	\$6,036	7.4	\$15,655	\$15,445	\$0,210	1.3	\$97,411	\$91,165	\$6,246	6.4
Non-Labor:												
Electric Power	\$4,268	\$3,466	\$0,802	18.8	\$0,000	\$0,000	\$0,000	-	\$4,268	\$3,466	\$0,802	18.8
Fuel	0,716	0,946	(0,230)	(32.2)	0,000	0,000	0,000	-	0,716	0,946	(0,230)	(32.2)
Insurance	1,545	1,402	0,143	9.3	0,000	0,210	(0,210)	-	1,545	1,612	(0,066)	(4.3)
Claims	0,112	0,027	0,084	75.5	0,000	0,000	0,000	-	0,112	0,027	0,084	75.5
Paratransit Service Contracts	0,000	0,000	0,000	-	0,000	0,000	0,000	-	0,000	0,000	0,000	-
Maintenance and Other Operating Contracts	10,159	10,193	(0,034)	(0.3)	5,024	1,379	3,645	72.6	15,183	11,572	3,611	23.8
Professional Service Contracts	3,432	(0,009)	3,441	-	6,062	0,716	5,346	88.2	9,494	0,708	8,786	92.5
Materials & Supplies	9,630	7,383	2,247	23.3	3,064	8,685	(0,621)	(7.7)	17,695	16,068	1,627	9.2
Other Business Expenses	1,485	1,459	0,026	1.8	0,008	0,098	(0,090)	-	1,493	1,557	(0,064)	(4.3)
Total Non-Labor	\$31,346	\$24,867	\$6,479	20.7	\$19,158	\$11,087	\$8,071	42.1	\$50,505	\$35,955	\$14,550	28.8
Other Adjustments:												
Other	0,000	0,000	0,000	-	0,000	0,000	0,000	-	0,000	0,000	0,000	-
Total Other Adjustments	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-
Total Expenses before Non-Cash Liability Adjs.	\$113,103	\$100,588	\$12,515	11.1	\$34,813	\$26,532	\$8,280	23.8	\$147,916	\$127,120	\$20,796	14.1
Depreciation	20,485	19,951	0,535	2.6	0,000	0,000	0,000	-	20,485	19,951	0,535	2.6
OP&B Obligation	0,000	0,000	0,000	-	0,000	0,000	0,000	-	0,000	0,000	0,000	-
GASB68 Pension Adjustment	0,000	0,000	0,000	-	0,000	0,000	0,000	-	0,000	0,000	0,000	-
Environmental Remediation	0,449	0,500	(0,051)	(11.5)	0,000	0,000	0,000	-	0,449	0,500	(0,051)	(11.5)
GASB75 Adjustment	0,000	0,000	0,000	-	0,000	0,000	0,000	-	0,000	0,000	0,000	-
Total Expenses	\$134,037	\$121,039	\$12,998	9.7	\$34,813	\$26,532	\$8,280	23.8	\$168,850	\$147,571	\$21,279	12.6
Net Surplus/(Deficit)	(\$115,150)	(\$105,735)	\$9,415	8.2	\$0,000	\$0,000	\$0,000	-	(\$115,150)	(\$105,735)	\$9,415	8.2
Cash Conversion Adjustments:												
Depreciation	20,485	19,951	(0,535)	(2.6)	0,000	0,000	0,000	-	20,485	19,951	(0,535)	(2.6)
Operating Capital	(8,152)	(2,037)	6,115	75.0	0,000	0,000	0,000	-	(8,152)	(2,037)	6,115	75.0
Other Cash Adjustments	8,712	(2,298)	(11,010)	-	0,000	0,000	0,000	-	8,712	(2,298)	(11,010)	-
Total Cash Conversion Adjustments	\$21,045	\$15,615	(\$5,429)	(25.8)	\$0,000	\$0,000	\$0,000	-	\$21,045	\$15,615	(\$5,429)	(25.8)
Net Cash Surplus/(Deficit)	(\$94,105)	(\$90,119)	\$3,986	4.2	\$0,000	\$0,000	\$0,000	-	(\$94,105)	(\$90,119)	\$3,986	4.2

Notes: -- For monthly reporting purposes only, the 12-month allocation of the 2020 Mid-Year Forecast reflects an adjustment to farebox revenue projections captured in Volume 1 of the 2020 July Financial Plan.

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

-- Differences are due to rounding.

* Variance exceeds 100%.

MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST
ACCURAL STATEMENT OF OPERATIONS by CATEGORY
NOVEMBER YEAR-TO-DATE

(\$ in millions)

SCHEDULE I - B

	Nonreimbursable			Reimbursable			Total			
	Favorable (Unfavorable)			Favorable (Unfavorable)			Favorable (Unfavorable)			
	Mid-Year Forecast	Actual	Variance Percent	Mid-Year Forecast	Actual	Variance Percent	Mid-Year Forecast	Actual	Variance Percent	
Revenue										
Farebox Revenue	\$254,198	\$232,369	(\$21,829) (8.6)	\$0,000	\$0,000	\$0,000	\$254,198	\$232,369	(\$21,829) (8.6)	
Vehicle Toll Revenue	0,000	0,000	0,000 -	0,000	0,000	0,000	0,000	0,000	0,000 -	
Other Operating Revenue	315,759	347,574	31,814 10.1	0,000	0,000	0,000	315,759	347,574	31,814 10.1	
<i>Capital & Other Reimbursements:</i>										
MTA										
CDOT	0,000	0,000	0,000 -	112,787	112,476	(0,311) (0.3)	112,787	112,476	(0,311) (0.3)	
Other	0,000	0,000	0,000 -	158,986	154,803	(4,183) (2.6)	158,986	154,803	(4,183) (2.6)	
Total Capital and Other Reimbursements	0,000	0,000	0,000 -	37,585	35,544	(2,041) (5.4)	37,585	35,544	(2,041) (5.4)	
Total Revenue/Receipts	\$569,957	\$579,942	\$9,985 1.8	\$309,357	\$302,822	(\$6,535) (2.1)	\$879,314	\$682,764	(\$196,550) (22.3)	
Expenses										
<i>Labor:</i>										
Payroll	\$494,459	\$485,986	\$8,473 1.7	\$45,833	\$45,695	\$0,138 0.3	\$50,292	\$53,168	(\$2,876) (5.7)	
Overtime	88,822	71,837	16,985 19.1	23,322	25,751	(2,429) (10.4)	112,144	97,568	14,576 13.0	
Health and Welfare	104,765	99,956	4,809 4.6	15,467	15,556	(0,089) (0.6)	120,232	115,512	4,720 3.9	
OPEB Current Payment	36,713	36,945	(232) (0.6)	0,000	0,000	0,000 -	36,713	36,945	(232) (0.6)	
Pensions	117,742	114,811	2,932 2.5	12,071	12,087	(16) (0.1)	129,814	126,898	2,916 2.2	
Other Fringe Benefits	116,586	105,790	10,796 9.3	11,679	11,900	(221) (1.9)	128,265	117,690	10,576 8.2	
Reimbursable Overhead	(64,365)	(68,557)	4,193 6.5	61,298	65,851	(4,552) (7.4)	(3,066)	(2,707)	(359) (11.7)	
Total Labor	\$894,723	\$846,766	\$47,957 5.4	\$169,670	\$176,839	(\$7,169) (4.2)	\$1,064,393	\$1,023,605	\$40,788 3.8	
<i>Non-Labor:</i>										
Electric Power	\$49,307	\$48,642	\$0,664 1.3	(\$0,097)	(\$0,040)	(\$0,057) (59.1)	\$49,210	\$48,603	\$0,607 1.2	
Fuel	9,642	11,147	(1,505) (15.6)	0,000	0,000	0,000 -	9,642	11,147	(1,505) (15.6)	
Insurance	15,525	15,309	0,216 1.4	0,313	2,228	(1,915) -	15,837	17,537	(1,699) (10.7)	
Claims	1,029	0,143	0,886 86.1	0,000	(0,005)	0,005 0.0	1,029	0,138	0,891 86.6	
Paratransit Service Contracts	0,000	0,000	0,000 -	0,000	0,000	0,000 -	0,000	0,000	0,000 -	
Maintenance and Other Operating Contracts	105,511	98,212	7,299 6.9	37,967	18,984	18,983 50.0	143,478	117,196	26,282 18.3	
Professional Service Contracts	36,367	25,910	10,457 28.8	53,645	39,593	14,052 26.2	90,012	65,503	24,509 27.2	
Materials & Supplies	99,681	85,013	14,667 14.7	47,734	64,786	(17,052) (35.7)	147,415	149,799	(2,384) (1.6)	
Other Business Expenses	19,915	15,863	4,052 20.3	0,124	0,436	(0,313) -	20,039	16,300	3,739 18.7	
Total Non-Labor	\$336,976	\$300,240	\$36,736 10.9	\$139,687	\$125,983	\$13,703 9.8	\$476,663	\$426,224	\$50,439 10.6	
<i>Other Adjustments</i>										
Other	0,000	0,000	0,000 -	0,000	0,000	0,000 -	0,000	0,000	0,000 -	
Total Other Adjustments	\$0,000	\$0,000	\$0,000 -	\$0,000	\$0,000	\$0,000 -	\$0,000	\$0,000	\$0,000 -	
Total Expenses before Non-Cash Liability Adj.	\$1,231,699	\$1,147,007	\$84,693 6.9	\$309,357	\$302,822	\$6,535 2.1	\$1,541,056	\$1,449,829	\$91,227 5.9	
Depreciation	225,871	224,222	1,649 0.7	0,000	0,000	0,000 -	225,871	224,222	1,649 0.7	
OPEB Obligation	0,000	0,000	0,000 -	0,000	0,000	0,000 -	0,000	0,000	0,000 -	
GASB68 Pension Adjustment	(2,920)	(10,309)	7,389 *	0,000	0,000	0,000 -	(2,920)	(10,309)	7,389 *	
Environmental Remediation	3,551	1,201	2,351 66.2	0,000	0,000	0,000 -	3,551	1,201	2,351 66.2	
GASB75 Adjustment	(1,277)	(1,684)	0,407 31.9	0,000	0,000	0,000 -	(1,277)	(1,684)	0,407 31.9	
Total Expenses	\$1,456,924	\$1,360,437	\$96,487 6.6	\$309,357	\$302,822	\$6,535 2.1	\$1,766,281	\$1,663,259	\$103,022 5.8	
Net Surplus/(Deficit)	(\$886,967)	(\$780,495)	\$106,472 12.0	\$0,000	\$0,000	\$0,000 -	(\$886,967)	(\$780,495)	\$106,472 12.0	
<i>Cash Conversion Adjustments:</i>										
Depreciation	225,871	224,222	(1,649) (0.7)	0,000	0,000	0,000 -	225,871	224,222	(1,649) (0.7)	
Operating/Capital	(42,162)	(25,070)	17,092 40.5	0,000	0,000	0,000 -	(42,162)	(25,070)	17,092 40.5	
Other Cash Adjustments	6,734	16,979	10,246 *	0,000	0,000	0,000 -	6,734	16,979	10,246 *	
Total Cash Conversion Adjustments	\$190,442	\$216,132	\$25,689 13.5	\$0,000	\$0,000	\$0,000 -	\$190,442	\$216,132	\$25,689 13.5	
Net Cash Surplus/(Deficit)	(\$696,525)	(\$564,363)	\$132,162 19.0	\$0,000	\$0,000	\$0,000 -	(\$696,525)	(\$564,363)	\$132,162 19.0	

NOTES:
-- For monthly reporting purposes only, the 12-month allocation of the 2020 Mid-Year Forecast reflects an adjustment to farebox revenue projections captured in Volume 1 of the 2020 July Financial Plan.
-- Results are based on the preliminary close of the general ledger and are subject to review and adjustment. Please note that the current month's actuals do not include post-close adjustments, which will be captured in the subsequent month's YTD results.
-- Differences are due to rounding.
* Variance exceeds 100%.

MTA METRO-NORTH RAILROAD
 ACCRUAL STATEMENT OF OPERATIONS BY CATEGORY
 EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS
 JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST

November 2020
 (\$ 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)	%	Variance Fav (Unfav)	%	
		\$		\$		
FAREBOX REVENUE	Non-Reimb	(\$2,536)	(16.9%)	(\$21,829)	(8.6%)	Reflects lower ridership due to a weaker recovery in East of Hudson commutation ridership due to the COVID-19 pandemic.
OTHER OPERATING REVENUE	Non-Reimb	(\$1,047)	75.0%	\$31,814	10.1%	Primarily due to lower GCT net retail income (the impacts of the COVID-19 pandemic on this revenue stream are currently being evaluated).
CAPITAL AND OTHER REIMBURSEMENTS	Reimb	(\$8,280)	(23.8%)	(\$6,535)	(2.1%)	Lower reimbursements reflect scheduling and timing changes in capital project expenditures.
PAYROLL	Non-Reimb	\$2,415	5.4%	\$8,473	1.7%	Higher than forecasted staff attrition as well as the impact of the MTA hiring freeze on COVID-19 cleaning positions.
OVERTIME	Non-Reimb Reimb	\$2,613 (\$0,146)	30.9% (6.7%)	\$16,985 (\$2,429)	19.1% (10.4%)	See overtime charts. See overtime charts.
HEALTH AND WELFARE	Non-Reimb	\$1,417	14.7%	\$4,809	4.6%	Primarily reflects lower than forecasted labor costs combined with lower rates.
PENSIONS	Non-Reimb	(\$0,861)	(7.8%)	\$2,932	2.5%	Primarily reflects a catch-up accrual for the Actuarially Defined Contribution (ADC).
OTHER FRINGE BENEFITS	Non-Reimb	\$0,865	8.1%	\$10,796	9.3%	Primarily reflects lower than forecasted labor costs.
REIMBURSABLE OVERHEAD	Non-Reimb Reimb	(\$0,355) \$0,301	(5.8%) 5.2%	\$4,193 (\$4,552)	6.5% (7.4%)	The non-reimbursable and reimbursable variances reflect lower activity for several projects.
ELECTRIC POWER	Non-Reimb	\$0,802	18.8%	\$0,664	1.3%	Favorable traction electric rates as well as favorable consumption on all lines.
FUEL	Non-Reimb	(\$0,230)	(32.2%)	(\$1,505)	(15.6%)	Higher than anticipated revenue diesel usage on all lines.
INSURANCE	Non-Reimb Reimb	\$0,143 (\$0,210)	9.3% -	\$0,216 (\$1,915)	1.4% *	Primarily reflects higher activity on the Connecticut and Cyclical Track Programs, as well as the Power Infrastructure Restoration and Turnouts Replacement Projects.

MTA METRO-NORTH RAILROAD
ACCURAL STATEMENT OF OPERATIONS BY CATEGORY
EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS
JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST
 November 2020
 (\$ in millions)

Generic Revenue or Expense Category	Non Reimb. or Reimb.	Current Month vs. Mid-Year Forecast		Year to Date vs. Mid-Year Forecast		Reason for Variance
		Variance Fav (Unfav)	%	Variance Fav (Unfav)	%	
		\$		\$		
CLAIMS	Non-Reimb	\$0.084	75.5%	\$0.886	86.1%	Reflects a lower passenger claims provision than forecasted.
MAINTENANCE AND OTHER OPERATING CONTRACTS	Non-Reimb	(\$0.034)	(0.3%)	\$7,299	6.9%	Reflects timing of infrastructure repair costs, a true-up for MTA Reimbursable due to the recognition of the Federal Transit Administration grant for Ferry Service Operations, the timing of COVID-19 extraordinary cleaning of stations and rolling stock and BL-20 locomotive overhauls, and lower expense for miscellaneous maintenance and operating contracts.
	Reimb	\$3,645	72.6%	\$18,983	50.0%	Reflects lower activity primarily due to timing and billing of the work for the Signal Replacement from Greenwich to South Norwalk, Maybrook Railway, Catenary Replacement and GCT Leaks Remediation Projects partially offset by higher activity on the Waterbury Branch Cab Signal Project as well as an unfavorable variance due to the transfer of ferry expenses noted above.
PROFESSIONAL SERVICE CONTRACTS	Non-Reimb	\$3,441	*	\$10,457	28.8%	Lower than anticipated consulting and engineering services as well as a true-up for MTA allocations.
	Reimb	\$5,346	88.2%	\$14,052	26.2%	Reflects timing of Positive Train Control (CT), Oil Circuit Breaker Replacement, Sasco Creek Power Supply Station and GCT Leaks Remediation Projects partially offset by higher activity on the JP Morgan - 270 Park Avenue Project.
MATERIALS AND SUPPLIES	Non-Reimb	\$2,247	23.3%	\$14,667	14.7%	Primarily due to timing of rolling stock maintenance events and lower rolling stock material usage due to the reduced service schedule partially offset by the net impact of adjustments for obsolete material reserves and other inventory adjustments.
	Reimb	(\$0.621)	(7.7%)	(\$17,052)	(35.7%)	Reflects higher activity on the Waterbury Branch Cab Signal, Cyclical Track Program, Turnouts Replacement, Saga Bridge Repairs Projects and West of Hudson Track Program partially offset by lower activity on the Harmon Shop Replacement - Phase V, GCT/ESA Unified Trash Facility, Moodna-Woodbury Viaduct and Network Infrastructure Replacement Projects as well as Connecticut Track and Grade Crossing Renewal Programs.
OTHER BUSINESS EXPENSES	Non-Reimb	\$0,026	1.8%	\$4,052	20.3%	Primarily due to lower subsidy payments to New Jersey Transit reflecting credits for March through July service reductions and lower credit card fees partially offset by lower Amtrak recoveries.
GASB68 PENSION ADJUSTMENT	Non-Reimb	\$0,000	-	\$7,389	*	Primarily reflects higher activity on the Danbury Yard Trailer Replacement Project, Waterbury Branch Cab Signal, GCT PAV/IS (Public Address/Visual Information System) System and Universal Interlock CP 243 Projects.
ENVIRONMENTAL REMEDIATION	Non-Reimb	(\$0,051)	(11.5%)	\$2,351	66.2%	Reflects adjustments to account for MNR's net pension liability. Reflects timing of projects requiring remediation.

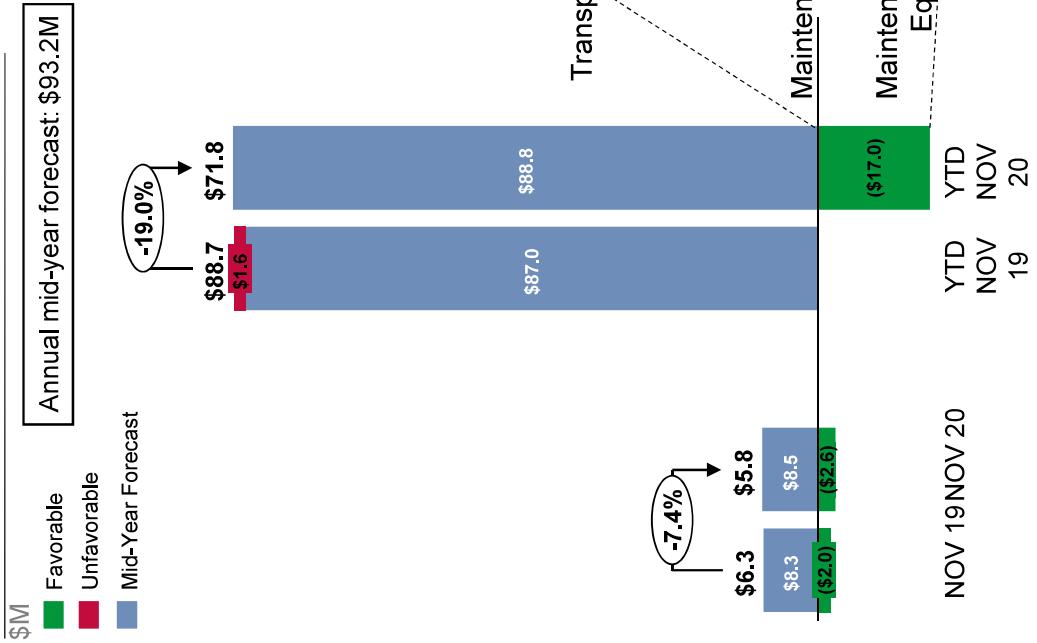
MTA METRO-NORTH RAILROAD
 ACCRUAL STATEMENT OF OPERATIONS BY CATEGORY
 EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS
 JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST

November 2020
 (\$ in millions)

Generic Revenue or Expense Category	Non Reimb. or Reimb.	Current Month vs. Mid-Year Forecast		Year to Date vs. Mid-Year Forecast		Reason for Variance
		Variance Fav (Unfav)	%	Variance Fav (Unfav)	%	
		\$		\$		
GASB75 ADJUSTMENT	Non-Reimb	\$0.000	-	\$0.407	31.9%	Reflects adjustments to account for MNR's net OPEB (Other Post Employment Benefits) liability.
OPERATING CAPITAL	Non-Reimb	\$6.115	75.0%	\$17.092	40.5%	Primarily reflects timing for the following projects: Track Geometry Car, GCT Air Handling Units/Glycol Cooling, Power Control SCADA Upgrade, Upper Harlem Pole Replacement, Vehicle Replacement Program, GCT Exhaust Duct Repair and Cameras-Audio for Non-M8 Fleet, partially offset by GCT Escalators Replacement and Enhancement of the Security Camera Monitor System.

METRO-NORTH RAILROAD – Non-Reimbursable Overtime Variance

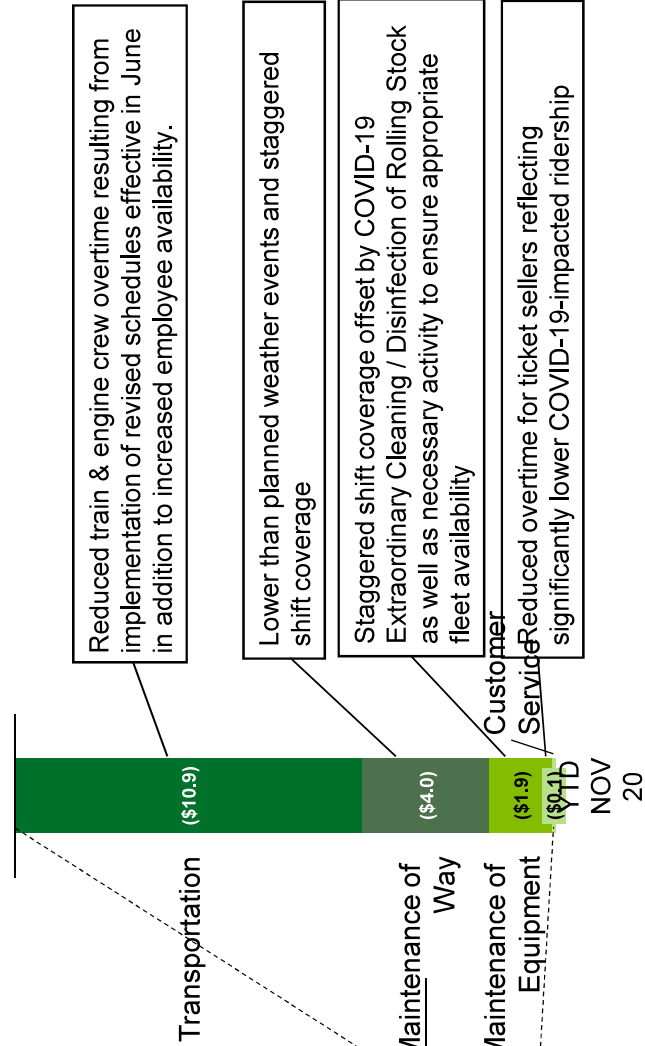
November 2020 and YTD mid-year forecast vs. variance



Overview

- Overall decrease of \$16.8M or 19.0% compared to YTD November 2019
- 19.1% below 2020 mid-year forecast
- Favorable Weather variance in Maintenance of Way, staggered shift coverage in Maintenance of Equipment and revised crew needs in Transportation is offset by COVID-19 Extraordinary Cleaning / Disinfection of Rolling Stock as well as necessary activity to ensure appropriate fleet availability
- Connecticut paid \$20.2M of total \$71.8M; Connecticut's share of YTD Variance is favorable \$5.9M of the favorable \$17.0M

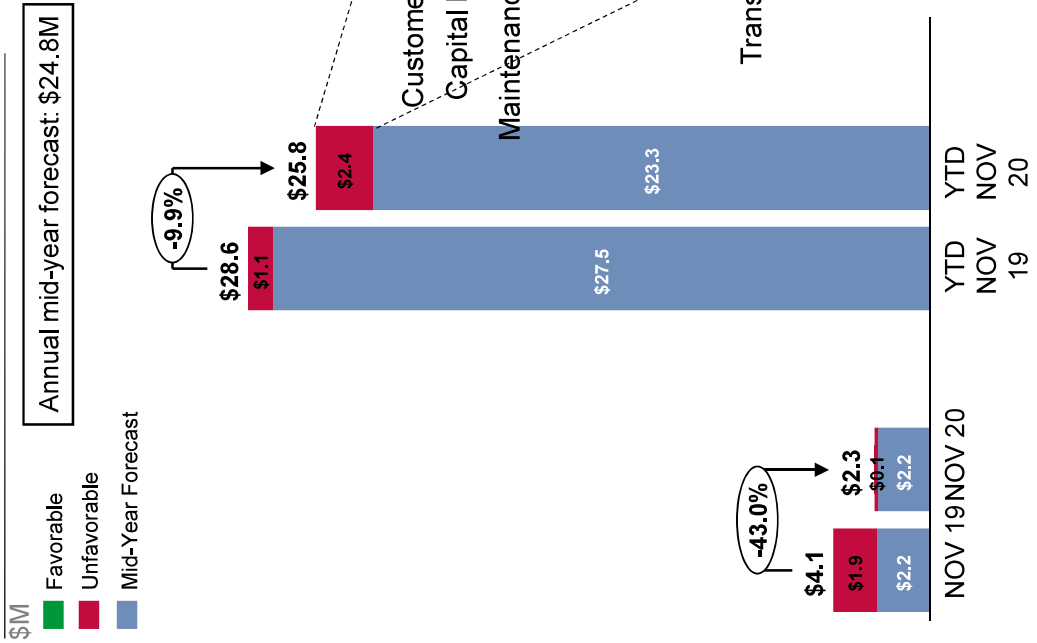
YTD variance by division
 (\$17.0M), (19.1%)



Source: 2020 Mid-Year Forecast. General Ledger actuals for actual overtime spending.

METRO-NORTH RAILROAD –Reimbursable Overtime Variance

November 2020 and YTD mid-year forecast vs. variance



Overview

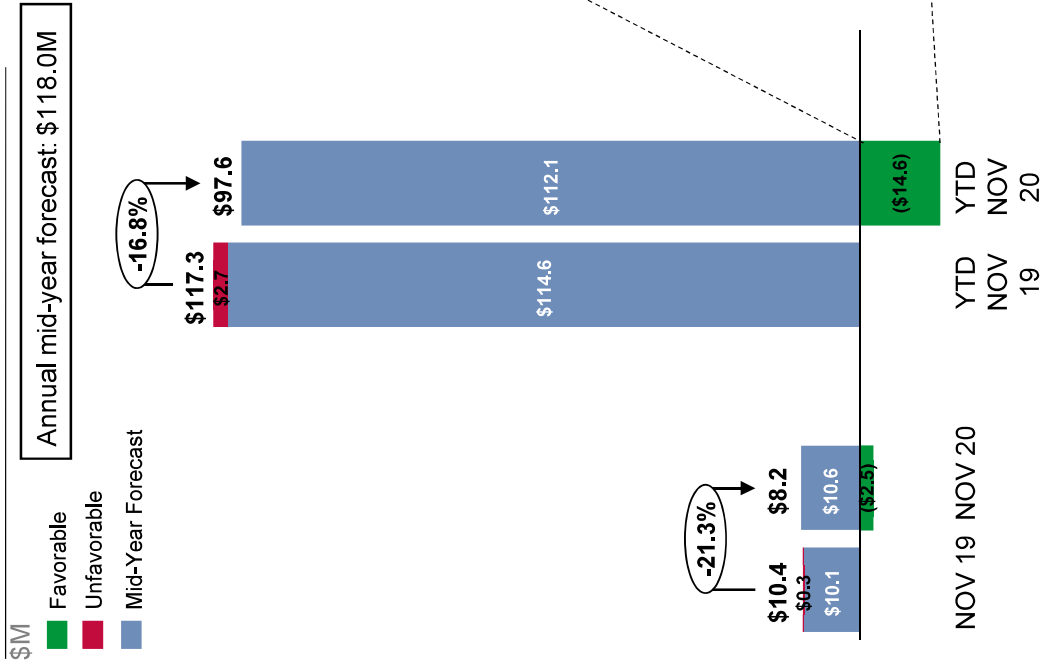
- Overall decrease of \$2.8M or 9.9% compared to YTD November 2019
- 10.4% above 2020 mid-year forecast
- Main cause for unfavorable variance is more than planned work on MTA 5-Year projects and CT Capital projects resulting from running less service due to COVID-19
- Connecticut paid \$10.6M of total \$25.8M; Connecticut's share of YTD Variance is unfavorable \$0.7M of the unfavorable \$2.4M

Source: 2020 Mid-Year Forecast. General Ledger actuals for actual overtime spending.

METRO-NORTH RAILROAD – Non-Reimbursable and Reimbursable

Overtime Variance

November 2020 and YTD mid-year forecast vs. variance

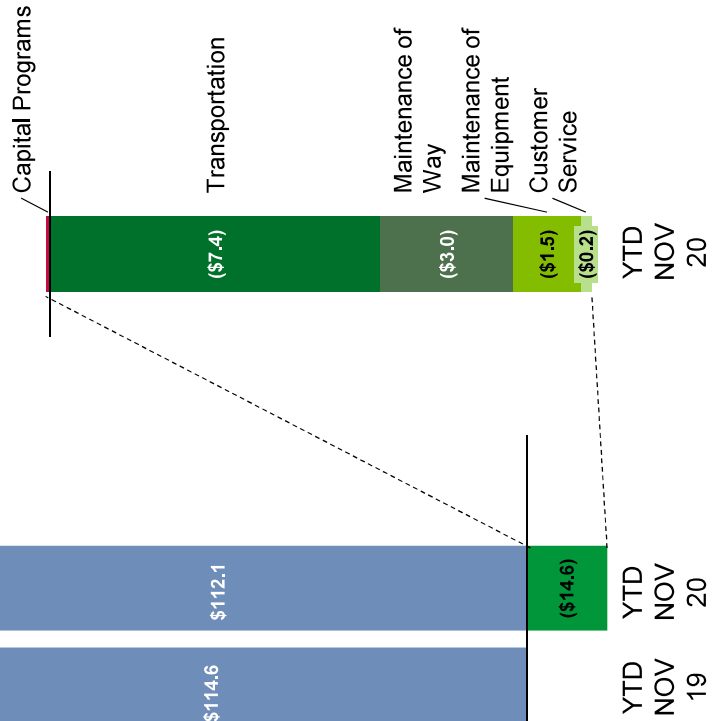


Overview

- Overall decrease of \$19.7M or 16.8% compared to YTD November 2019
- 13.0% below 2020 mid-year forecast
- Favorable Weather variance in Maintenance of Way, staggered shift coverage in Maintenance of Equipment and staff availability in Transportation is offset by COVID-19 Extraordinary Cleaning / Disinfection of Stations and Rolling Stock, necessary fleet activity in Maintenance of Equipment and reimbursable project coverage in other divisions
- Connecticut paid \$30.8M of total \$97.6M; Connecticut's share of YTD Variance is a favorable \$5.2M of the overall favorable \$14.6M

YTD variance by division

(\$14.6M), (13.0%)



Source: 2020 Mid-Year Forecast. General Ledger actuals for actual overtime spending.

MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST
CASH RECEIPTS AND EXPENDITURES
(\$ in millions)

SCHEDULE III

	NOVEMBER 2020				Year-to-Date			
			Favorable (Unfavorable)				Favorable (Unfavorable)	
	Mid-Year Forecast	Actual	Variance	Percent	Mid-Year Forecast	Actual	Variance	Percent
Receipts								
Farebox Revenue	\$15,620	\$12,475	(\$3,145)	(20.1)	\$254,546	\$227,784	(\$26,762)	(10.5)
Vehicle Toll Revenue	0,000	0,000	0,000	-	0,000	0,000	0,000	-
Other Operating Revenue	7,278	0,459	(6,819)	(93.7)	348,965	366,740	17,775	5.1
<i>Capital & Other Reimbursements:</i>								
MTA								
CDOT	11,477	17,992	6,515	56.8	117,379	116,645	(734)	(0.6)
Other	21,662	21,079	(583)	(2.7)	160,960	155,594	(5,366)	(3.3)
Total Capital and Other Reimbursements	2,986	3,331	0,345	11.5	37,055	32,334	(4,721)	(12.7)
Total Receipts	\$59,023	\$55,336	(\$3,687)	(6.2)	\$918,905	\$899,097	(\$19,808)	(2.2)
Expenditures								
<i>Labor:</i>								
Payroll	\$46,319	\$42,093	\$4,226	9.1	\$545,476	\$528,034	\$17,442	3.2
Overtime	10,277	7,727	2,550	24.8	116,024	99,717	16,307	14.1
Health and Welfare	12,013	15,787	(3,774)	(31.4)	131,019	132,141	(1,122)	(0.9)
OPEB Current Payment	3,287	3,932	(645)	(19.6)	37,126	37,629	(503)	(1.4)
Pensions	12,120	12,728	(608)	(5.0)	129,756	128,065	1,691	1.3
Other Fringe Benefits	10,928	1,755	9,173	83.9	131,733	60,164	71,569	54.3
GASB Account	0,000	0,000	0,000	-	0,000	0,000	0,000	-
Reimbursable Overhead	0,000	0,000	0,000	-	0,000	0,000	0,000	-
Total Labor	\$94,944	\$84,022	\$10,921	11.5	\$1,091,134	\$985,750	\$105,384	9.7
<i>Non-Labor:</i>								
Electric Power	\$4,426	\$4,118	\$0,308	7.0	\$51,848	\$56,647	(\$4,799)	(9.3)
Fuel	0,666	0,494	0,172	25.8	10,000	11,332	(1,332)	(13.3)
Insurance	3,024	7,333	(4,309)	*	12,093	13,845	(1,752)	(14.5)
Claims	0,529	3,000	(2,471)	*	2,870	3,706	(836)	(29.1)
Paratransit Service Contracts	0,000	0,000	0,000	-	0,000	0,000	0,000	-
Maintenance and Other Operating Contracts	18,275	20,948	(2,673)	(14.6)	163,091	123,734	39,357	24.1
Professional Service Contracts	8,462	6,402	2,060	24.3	69,655	45,526	24,129	34.6
Materials & Supplies	18,007	13,799	4,208	23.4	163,629	192,797	(29,168)	(17.8)
Other Business Expenditures	4,797	5,339	(542)	(11.3)	51,110	30,123	20,987	41.1
Total Non-Labor	\$58,185	\$61,433	(\$3,248)	(5.6)	\$524,295	\$477,710	\$46,585	8.9
<i>Other Adjustments:</i>								
Other	0,000	0,000	0,000	-	0,000	0,000	0,000	-
Total Other Adjustments	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-
Total Expenditures	\$153,129	\$145,455	\$7,673	5.0	\$1,615,429	\$1,463,460	\$151,969	9.4
Net Cash Deficit (excludes Opening Cash Balance)	(\$94,105)	(\$90,119)	\$3,986	4.2	(\$696,525)	(\$564,363)	\$132,162	19.0
Subsidies								
MTA	70,501	78,603	8,102	11.5	505,903	443,320	(62,583)	(12.4)
CDOT	23,604	28,437	4,833	20.5	239,159	255,897	16,738	7.0
Total Subsidies	\$94,105	\$107,040	\$12,935	13.7	\$745,062	\$699,217	(\$45,845)	(6.2)
Cash Timing and Availability Adjustment	\$0,000	(\$9,993)	(\$9,993)	-	\$7,596	(\$58,926)	(\$66,522)	*

Notes:
-- For monthly reporting purposes only, the 12-month allocation of the 2020 Mid-Year Forecast reflects an adjustment to farebox revenue projections captured in Volume 1 of the 2020 July Finan
-- Results are preliminary and subject to audit review.
-- Differences are due to rounding.
* Variance exceeds 100%.

MTA METRO-NORTH RAILROAD
 JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST
 CASH RECEIPTS AND EXPENDITURES
 EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS
 (\$ in millions)

Generic Receipt or Expense Category	November Month vs Mid-Year Forecast		Year-to-Date as of November 30, 2020 vs. Mid-Year Forecast		Reason for Variance
	Variance Fav (Unfav)		Variance Fav (Unfav)		
	\$	%	\$	%	
FARE REVENUE	(3,145)	(20.1%)	(26,762)	(10.5%)	Primarily reflects lower ridership due to a weaker recovery in East of Hudson ridership due to the COVID-19 pandemic.
OTHER OPERATING REVENUE	(6,819)	(93.7%)	17,775	5.1%	Primarily reflects lower GCT and station revenues due to the COVID-19 pandemic.
CAPITAL AND OTHER REIMBURSEMENTS: MTA	6,515	56.8%	(0,734)	(0.6%)	Primarily reflects higher cash receipts than forecasted.
CDOT	(0,583)	(2.7%)	(5,366)	(3.3%)	Primarily reflects lower capital related project activity partially offset by higher cash receipts than forecasted.
OTHER	0,345	11.5%	(4,721)	(12.7%)	Primarily reflects higher cash receipts than forecasted partially offset by lower reimbursable related project activity.
PAYROLL	4,226	9.1%	17,442	3.2%	Primarily reflects the net impact of staff hiring & attrition, the timing of RWA payments partially offset by inter-agency payroll.
OVERTIME	2,550	24.8%	16,307	14.1%	Primarily reflects reduced train & engine crew overtime resulting from implementation of revised schedules effective in June combined with lower than planned weather events in Maintenance of Way.
HEALTH & WELFARE	(3,774)	(31.4%)	(1,122)	(0.9%)	Primarily reflects timing of premium payments for dental & vision insurance.
OPEB CURRENT PAYMENT	(0,645)	(19.6%)	(0,503)	(1.4%)	Primarily reflects higher number of retirees receiving healthcare premiums than forecasted.
PENSIONS	(0,608)	(5.0%)	1,691	1.3%	Primarily reflects timing of payments.
OTHER FRINGE BENEFITS	9,173	83.9%	71,569	54.3%	Primarily reflects the deferral of the employer portion of payroll taxes due to the CARES Act.
ELECTRIC POWER	0,308	7.0%	(4,799)	(9.3%)	Primarily reflects lower rates and consumption than forecasted partially offset by timing of payments.
FUEL	0,172	25.8%	(1,332)	(13.3%)	Primarily reflects timing of payments partially offset by higher diesel usage than forecasted.

MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST
CASH RECEIPTS AND EXPENDITURES
EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS
(\$ in millions)

Generic Receipt or Expense Category	November Month vs Mid-Year Forecast		Year-to-Date as of November 30, 2020 vs. Mid-Year Forecast		Reason for Variance
	Variance Fav (Unfav)		Variance Fav (Unfav)		
	\$	%	\$	%	
INSURANCE	(4,309)	*	(1,752)	(14.5%)	Reflects timing of payments for insurance premiums.
CLAIMS	(2,471)	*	(0,836)	(29.7%)	Primarily reflects higher than forecasted passenger injury settlements.
MAINTENANCE & OTHER OPERATING CONTRACTS	(2,673)	(14.6%)	39,357	24.1%	Primarily reflects the timing of payments for Capital Projects (Signal Replacement - Greenwich to South Norwalk, GCT Air Handling Units/Glycol Cooling, Maybrook Trailway and Vehicle Replacement Program, Radio Systems Analysis and GCT Exhaust Duct Repairs) combined with the timing of infrastructure repair costs and lower expenses for miscellaneous maintenance and operating contracts.
PROFESSIONAL SERVICE CONTRACTS	2,060	24.3%	24,129	34.6%	Primarily reflects the timing of payments of engineering services for Capital Projects (Positive Train Control (CT), Oil Circuit Breaker Replacement and Maybrook Trailway) partially offset by timing of MTA allocations.
MATERIALS & SUPPLIES	4,208	23.4%	(29,168)	(17.8%)	Primarily reflects higher activity on Capital Projects (Waterbury Branch Cab Signal Project, Positive Train Control, Cyclical Track Program and Turnouts Replacement) combined with the timing of materials placed into inventory.
OTHER BUSINESS EXPENSES	(0,542)	(11.3%)	20,987	41.1%	Primarily reflects lower payments to New Jersey Transit reflecting credits for March through July service reductions, lower credit card fees and miscellaneous expenses.
MTA SUBSIDY RECEIPTS	8,102	11.5%	(62,583)	(12.4%)	Primarily reflects lower cash deficit and higher CDOT subsidy partially offset by available cash balance.
CDOT SUBSIDY RECEIPTS	4,833	20.5%	16,738	7.0%	Reflects the timing of receipt of the payment for Admin Assets for Q3 and Q4 of 2019 partially offset by lower CDOT share of estimated deficit than forecasted.

* Variance exceeds 100%

MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST
CASH CONVERSION (CASH FLOW ADJUSTMENT)
(\$ in millions)

	NOVEMBER 2020						Year-to-Date					
	Favorable			(Unfavorable)			Favorable			(Unfavorable)		
	Mid-Year Forecast	Actual	Variance	Percent	Mid-Year Forecast	Actual	Variance	Percent	Mid-Year Forecast	Actual	Variance	Percent
Receipts												
Farebox Revenue	\$0.601	(\$0.008)	(\$0.608)	*	\$0.348	(\$4.585)	(\$4.933)	*	\$0.348	(\$4.585)	(\$4.933)	*
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	3.410	(2.362)	(5.772)	*	33.205	19.166	(14.039)	(42.3)	33.205	19.166	(14.039)	(42.3)
Capital & Other Reimbursements:												
MTA	1.313	8.070	6.757	*	4.593	4.169	(0.424)	(9.2)	4.593	4.169	(0.424)	(9.2)
CDOT	0.000	6.153	6.153	-	1.974	0.791	(1.182)	(59.9)	1.974	0.791	(1.182)	(59.9)
Other	0.000	1.646	1.646	-	0.000	(2.680)	(2.680)	*	0.000	(2.680)	(2.680)	*
Total Capital and Other Reimbursements	1.313	15.870	14.557	*	6.037	1.751	(4.286)	(71.0)	6.037	1.751	(4.286)	(71.0)
Total Revenue/Receipts	\$5.324	\$13.500	\$8.176	*	\$39.590	\$16.333	(\$23.258)	(58.7)	\$39.590	\$16.333	(\$23.258)	(58.7)
Expenditures												
Labor:												
Payroll	\$2.525	\$4.286	\$1.761	69.7	(\$5,184)	\$3,646	\$8,831	*	(\$5,184)	\$3,646	\$8,831	*
Overtime	0.355	0.437	0.082	23.2	(3,880)	(2,129)	1,751	45.1	(3,880)	(2,129)	1,751	45.1
Health and Welfare	(0.981)	(6.196)	(5.215)	*	(10,787)	(16,629)	(5,842)	(54.2)	(10,787)	(16,629)	(5,842)	(54.2)
OPEB Current Payment	0.000	(0.587)	(0.587)	*	(0.413)	(0.684)	(0.272)	(65.7)	(0.413)	(0.684)	(0.272)	(65.7)
Pensions	(0.022)	0.244	0.267	*	0.058	(1.167)	(1.225)	*	0.058	(1.167)	(1.225)	*
Other Fringe Benefits	0.878	9.192	8.314	*	(3,468)	57,526	60,993	*	(3,468)	57,526	60,993	*
GASB Account	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Reimbursable Overhead	(0.287)	(0.233)	0.054	18.9	(3,066)	(2,707)	0.360	11.7	(3,066)	(2,707)	0.360	11.7
Total Labor	\$2.467	\$7.143	\$4.676	*	(\$26,741)	\$7,855	\$64,596	*	(\$26,741)	\$7,855	\$64,596	*
Non-Labor:												
Electric Power	(\$0.158)	(\$0.652)	(\$0.494)	*	(\$2,638)	(\$8,044)	(\$5,406)	*	(\$2,638)	(\$8,044)	(\$5,406)	*
Fuel	0.050	0.452	0.402	*	(0.357)	(0.185)	0.172	48.3	(0.357)	(0.185)	0.172	48.3
Insurance	(1.479)	(5.721)	(4.243)	*	3.745	3.692	(0.053)	(1.4)	3.745	3.692	(0.053)	(1.4)
Claims	(0.417)	(2.973)	(2.556)	*	(1,841)	(3,568)	(1,727)	(93.8)	(1,841)	(3,568)	(1,727)	(93.8)
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	(3.092)	(9.376)	(6.284)	*	(19,613)	(6,538)	13,075	66.7	(19,613)	(6,538)	13,075	66.7
Professional Service Contracts	1.032	(5.694)	(6.727)	*	20,357	19,977	(0.380)	(1.9)	20,357	19,977	(0.380)	(1.9)
Materials & Supplies	(0.312)	2.269	2.581	*	(16,214)	(42,998)	(26,784)	*	(16,214)	(42,998)	(26,784)	*
Other Business Expenses	(3.304)	(3.782)	(0.478)	(14.5)	(31,072)	(13,823)	17,248	55.5	(31,072)	(13,823)	17,248	55.5
Total Non-Labor	(\$7.680)	(\$25.478)	(\$17.798)	*	(\$47,632)	(\$51,486)	(\$3,854)	(8.1)	(\$47,632)	(\$51,486)	(\$3,854)	(8.1)
Other Adjustments:												
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Total Other Adjustments	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Expenditures before Non-Cash Liability Adjs.	(\$5.213)	(\$18.335)	(\$13.122)	*	(\$74,373)	(\$13,631)	\$60,742	81.7	(\$74,373)	(\$13,631)	\$60,742	81.7
Depreciation	20.485	19.951	(0.535)	(2.6)	225.871	224.222	(1.649)	(0.7)	225.871	224.222	(1.649)	(0.7)
OPEB Obligation	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
GASB68 Pension Adjustment	0.000	0.000	0.000	-	(2,920)	(10,309)	(7,389)	*	(2,920)	(10,309)	(7,389)	*
Environmental Remediation	0.449	0.500	0.051	11.5	3,551	1,201	(2,351)	66.2	3,551	1,201	(2,351)	66.2
GASB75 Adjustment	0.000	0.000	0.000	-	(1,277)	(1,684)	(0.407)	31.9	(1,277)	(1,684)	(0.407)	31.9
Total Expenditures Adjustments	\$15.721	\$2.115	(\$13.606)	(86.5)	\$150,852	\$199,799	\$48,947	32.4	\$150,852	\$199,799	\$48,947	32.4
Total Cash Conversion Adjustments	\$21.045	\$15.615	(\$5.429)	(25.8)	\$190,442	\$216,132	\$25,689	13.5	\$190,442	\$216,132	\$25,689	13.5

Notes:
-- For monthly reporting purposes only, the 12-month allocation of the 2020 Mid-Year Forecast reflects an adjustment to farebox revenue projections captured in Volume 1 of the 2020 July Financial Plan.
-- Results are based on the preliminary close of the general ledger and are subject to review and adjustment. Please note that the current month's actuals do not include post-close adjustments, which will be captured in the subsequent month's YTD results.
-- Differences are due to rounding.
* Variance exceeds 100%.

**MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST
RIDERSHIP/UTILIZATION
NOVEMBER 2020**
(in millions)

	MONTH		VARIANCE Fav/(Unfav)		YTD		VARIANCE Fav/(Unfav)	
	MID-YEAR FORECAST	2019 ^(A)	MID-YEAR FORECAST	2019	MID-YEAR FORECAST	2020	MID-YEAR FORECAST	2019
FAREBOX REVENUE								
Harlem Line - Commutation	2.221	1.181	1.040	(8.419)	41.879	35.129	(6.749)	-16.1%
Harlem Line - Non-Commutation	2.189	2.379	0.190	(6.437)	33.021	32.880	(0.142)	-0.4%
TOTAL HARLEM LINE	\$4.410	\$3.559	(\$0.851)	(\$14.855)	\$74.900	\$68.009	(\$6.891)	-9.2%
Hudson Line - Commutation	1.441	0.843	(0.598)	(5.502)	27.810	23.721	(4.089)	-14.7%
Hudson Line - Non-Commutation	1.886	2.505	0.620	(5.422)	29.025	31.066	2.040	7.0%
TOTAL HUDSON LINE	\$3.326	\$3.348	\$0.022	(\$10.924)	\$56.835	\$54.787	(\$2.049)	-3.6%
New Haven Line - Commutation	3.075	1.317	(1.759)	(11.858)	57.139	46.239	(10.899)	-19.1%
New Haven Line - Non-Commutation	3.936	3.861	(0.075)	(13.112)	60.293	57.961	(2.332)	-3.9%
TOTAL NEW HAVEN LINE	\$7.011	\$5.178	(\$1.833)	(\$24.970)	\$117.431	\$104.200	(\$13.231)	-11.3%
All Lines - Commutation	6.737	3.340	(3.397)	(25.779)	126.827	105.089	(21.738)	-17.1%
All Lines - Non-Commutation	8.011	8.746	0.734	(24.971)	122.339	121.906	(0.433)	-0.4%
TOTAL EAST OF HUDSON LINES	\$14.748	\$12.086	(\$2.662)	(\$50.749)	\$249.167	\$226.996	(\$22.171)	-8.9%
West of Hudson ^(B)	\$0.271	\$0.397	\$0.126	(\$0.704)	\$5.031	\$5.373	0.342	6.8%
TOTAL FAREBOX REVENUE	\$15.019	\$12.483	(\$2.536)	(\$51.453)	\$254.198	\$232.369	(\$21.829)	-8.6%
RIDERSHIP								
Harlem Line - Commutation	0.294	0.215	(0.080)	(1.063)	5.198	4.430	(0.768)	-14.8%
Harlem Line - Non-Commutation	0.231	0.316	0.085	(0.602)	3.604	3.889	0.285	7.9%
TOTAL HARLEM LINE	0.525	0.530	0.005	(1.665)	8.801	8.318	(0.483)	-5.5%
Hudson Line - Commutation	0.165	0.087	(0.078)	(0.641)	2.954	2.476	(0.478)	-16.2%
Hudson Line - Non-Commutation	0.160	0.238	0.078	(0.415)	2.514	2.801	0.287	11.4%
TOTAL HUDSON LINE	0.325	0.325	0.001	(1.056)	5.468	5.278	(0.191)	-3.5%
New Haven Line - Commutation	0.389	0.221	(0.168)	(1.458)	6.755	5.507	(1.248)	-18.5%
New Haven Line - Non-Commutation	0.365	0.465	0.089	(1.085)	5.780	6.038	0.259	4.5%
TOTAL NEW HAVEN LINE	0.754	0.676	(0.079)	(2.543)	12.535	11.546	(0.989)	-7.9%
Total Ridership East of Hudson	0.848	0.522	(0.325)	(3.163)	14.907	12.413	(2.494)	-16.7%
All Lines - Non-Commutation	0.756	1.009	0.252	(2.101)	11.898	12.728	0.831	7.0%
TOTAL EAST OF HUDSON LINES	1.604	1.531	(0.073)	(5.264)	26.804	25.142	(1.663)	-6.2%
West of Hudson ^(B)	0.028	0.038	0.010	(0.089)	0.558	0.560	0.002	0.3%
TOTAL EAST & WEST OF HUDSON LINES	1.632	1.569	(0.063)	(5.352)	27.362	25.701	(1.661)	-6.1%

-- For monthly reporting purposes only, the 12-month allocation of the 2020 Mid-Year Forecast reflects an adjustment to farebox revenue projections captured in Volume 1 of the 2020 July Financial Plan.

^(A) 2019 Ridership figures have been restated to simulate the 2020 calendar.

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

MTA METRO-NORTH RAILROAD
2020 MID-YEAR FORECAST VS. ACTUALS
TOTAL FULL-TIME POSITIONS AND FULL-TIME EQUIVALENTS
November 30, 2020

<u>Department</u>	<u>MID-YEAR FORECAST</u>	<u>Actual</u>	<u>Favorable (Unfavorable) Variance</u>	<u>Notes</u>
Administration				
President	3	2	1	
Labor Relations	12	10	2	
Safety	53	52	1	
Security	18	17	1	
Office of the Executive VP	7	6	1	
Corporate & Public Affairs	15	15	-	
Customer Service	47	45	2	
Legal	10	9	1	
Claims	6	5	1	
Human Resources	37	36	1	
Training	78	77	1	
Employee Relations & Diversity	4	4	-	
VP Planning	2	1	1	
Operations Planning & Analysis	20	19	1	
Capital Planning & Programming	10	10	-	
Long Range Planning	5	5	-	
VP Finance & Info Systems	-	-	-	
Controller	66	63	3	
Budget	17	16	1	
Procurement & Material Mgmt	21	21	0	
Total Administration	431	412	19	
Operations				
Operations Support	65	39	26	D
Rolling Stock & EAM	9	14	(5)	C
Transportation	1,678	1,613	65	A
Customer Service	424	355	69	A, B
Metro-North West	28	28	0	
Total Operations	2,204	2,049	155	
Maintenance				
Maintenance of Equipment	1,673	1,549	124	A, B, E
Maintenance of Way	2,119	2,087	32	A, C, D
Procurement & Material Mgmt	113	110	3	
Total Maintenance	3,905	3,746	159	
Engineering/Capital				
Construction Management	29	19	10	C
Engineering & Design	83	54	29	A, C
Total Engineering/Capital	112	73	39	
Total Positions	6,652	6,281	371	
Non-Reimbursable	5,942	5,704	238	
Reimbursable	710	577	133	
Total Full-Time	6,651	6,280	371	
Total Full-Time-Equivalents (of part-time positions)	1	1	-	

Notes

- (A) Variance reflects higher attrition than planned.
- (B) Variance reflects delayed hiring of positions supporting COVID-19 cleaning mandates.
- (C) Variance reflects transfer of Engineering/Capital positions.
- (D) Variance reflects transfer of Force Account Project Mgmt. and select Automotive Group positions.
- (E) Variance reflects unpaid LOA (Leave of Absence) positions.

MTA METRO-NORTH RAILROAD
 2020 MID-YEAR FORECAST VS. ACTUALS
 TOTAL FULL-TIME POSITIONS AND FULL-TIME EQUIVALENTS
 November 30, 2020

FUNCTION/OCCUPATION	MID-YEAR FORECAST	Actual	Favorable (Unfavorable) Variance
Administration			
Managers/Supervisors	147	145	2
Professional, Technical, Clerical	284	268	16
Operational Hourlies	-	-	-
Total Administration	431	412	19
Operations			
Managers/Supervisors	242	228	14
Professional, Technical, Clerical	219	241	(22)
Operational Hourlies	1,743	1,580	163
Total Operations	2,204	2,049	155
Maintenance			
Managers/Supervisors	637	644	(7)
Professional, Technical, Clerical	460	480	(20)
Operational Hourlies	2,808	2,623	185
Total Maintenance	3,905	3,746	159
Engineering/Capital			
Managers/Supervisors	38	26	12
Professional, Technical, Clerical	74	47	27
Operational Hourlies	-	-	-
Total	112	73	39
Total Positions			
Managers/Supervisors	1,064	1,042	22
Professional, Technical, Clerical	1,037	1,036	1
Operational Hourlies	4,551	4,203	348
Total Positions	6,652	6,281	371

MTA METRO-NORTH RAILROAD
2020 MID-YEAR FORECAST VS. ACTUALS
November 30, 2020

<u>Agency-wide (Non-Reimbursable and Reimbursable)</u>	<u>MID-YEAR FORECAST</u>	<u>Actual</u>	<u>Favorable (Unfavorable) Variance</u>	<u>Explanation of Variances</u>
<i>Functional Classification:</i> Administration	431	412	19	
Operations	2,204	2,049	155	Primarily reflects higher attrition than planned, delayed hiring of positions supporting COVID-19 cleaning mandates, and transfers of Force Account Project Mgmt. and select Automotive Group positions.
Maintenance	3,905	3,746	159	Primarily reflects higher attrition than planned, delayed hiring of positions supporting COVID-19 cleaning mandates, and transfers of Engineering/Capital, Force Account Project Mgmt. and select Automotive Group positions.
Engineering / Capital	112	73	39	Primarily reflects transfers of Engineering/Capital positions and higher attrition than planned.
Total Agency-wide Headcount	6,652	6,281	371	
Non-Reimbursable	5,942	5,704	238	
Reimbursable	710	577	133	

**MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2020 MID-YEAR FORECAST
MONTHLY PERFORMANCE INDICATORS ^(A)
NOVEMBER 2020**

	MONTH			VARIANCE	
	Fav/(Unfav)				
	MYF	2020	2019	MYF	2019
Farebox Operating Ratio					
Standard ^(B)	12.8%	12.4%	66.1%	-0.4%	-53.7%
Adjusted ^(C)	17.9%	17.3%	75.6%	-0.6%	-58.3%
Cost per Passenger					
Standard ^(B)	\$72.00	\$64.07	\$13.84	\$7.93	(\$50.23)
Adjusted ^(C)	\$71.35	\$63.19	\$13.43	\$8.16	(\$49.76)
Passenger Revenue/Passenger	\$9.20	\$7.95	\$9.15	(\$1.25)	(\$1.20)
	YEAR-TO-DATE			VARIANCE	
	Fav/(Unfav)				
	MYF	2020	2019	MYF	2019
Farebox Operating Ratio					
Standard ^(B)	20.6%	20.5%	56.8%	-0.2%	-36.3%
Adjusted ^(C)	25.6%	25.9%	64.0%	0.3%	-38.1%
Cost per Passenger					
Standard ^(B)	\$45.07	\$44.21	\$15.34	\$0.86	(\$28.87)
Adjusted ^(C)	\$44.28	\$43.35	\$14.93	\$0.93	(\$28.42)
Passenger Revenue/Passenger	\$9.29	\$9.04	\$8.71	(\$0.25)	\$0.33

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

(B) The Standard Farebox Operating Ratio and Cost Per Passenger indicators reflect MTA-wide adopted calculations that exclude non-cash liability adjustments: Depreciation, OPEB Expense (GASB 75), Pension Expense (GASB 68) and Environmental Remediation (GASB-49) as well as 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 ESTIMATE vs. ACTUAL RESULTS (NON-REIMBURSABLE)
NOVEMBER 2020 YEAR-TO-DATE
(\$ in millions)

	November Year-to-Date		Fav/(Unfav) Variance				
	Mid-Year Forecast	November Estimate	Mid-Year Forecast	November Estimate			
	\$	\$	\$ Var	% Var			
Total Revenue	570.0	598.6	579.9	10.0	1.8	(18.7)	(3.1)
Total Expenses before Non-Cash Liability Adjs	1,231.7	1,214.9	1,147.0	84.7	6.9	67.9	5.6
Depreciation	225.9	194.2	224.2	1.6	0.7	(30.1)	(15.5)
OPEB Obligation	-	-	-	-	-	-	-
GASB 68 Pension Adjustment	(2.9)	(3.5)	(10.3)	7.4	*	6.8	*
Environmental Remediation	3.6	3.4	1.2	2.4	66.2	2.2	64.7
GASB 75 OPEB Expense Adj	(1.3)	(0.2)	(1.7)	0.4	31.9	1.5	*
Total Expenses	1,456.9	1,408.8	1,360.4	96.5	6.6	48.4	3.4
Net Surplus/(Deficit)	(887.0)	(810.2)	(780.5)	106.5	12.0	29.7	3.7

Notes:

- Totals may not add due to rounding
- * Variance exceeds 100%.

MTA METRO-NORTH RAILROAD
EXPLANATION OF VARIANCES BETWEEN NOVEMBER ESTIMATE AND ACTUAL RESULTS
NON-REIMBURSABLE
NOVEMBER 2020 YEAR-TO-DATE
(\$ in millions)

	<u>Favorable/(Unfavorable)</u> <u>Variance</u>	<u>Percent</u>	<u>Variance Explanation</u>
Total Revenue	(\$18.7)	(3.1)	Primarily reflects lower ridership due to a weaker recovery in East of Hudson commutation ridership due to the COVID-19 pandemic.
Total Expenses	\$48.4	3.4	Primarily reflects lower labor costs (mainly attribute to the lower train and engine crew overtime resulting from the June service schedule change) along with lower contractual services expense and material usage.

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

Ridership Report

Ben Cornelius

Director – Operations Planning & Analysis



A view of winter from Little Stoney Point overpass.

Photo courtesy of Linda Morris



Metro-North Railroad

January 2021 Highlights: Ridership Report

(Note: December West of Hudson ridership is preliminary)

December 2020 vs. 2019

Large decreases in December ridership was attributed to the Covid-19 Pandemic. Ridership was also adversely impacted by a two-day snowstorm (December 16-17) where 10.5 inches of snow was recorded in NYC Central Park vs. only 2.5 inches of snow last December.

- East of Hudson ridership decreased 80.3% vs. December 2019 and was 15.6% below Forecast
- East of Hudson Commutation ridership decreased 86.6%
- East of Hudson Non-Commutation ridership decreased 73.2%
- East of Hudson ridership by line:
 - Hudson Line ridership decreased 79.4%
 - Harlem Line ridership decreased 79.0%
 - New Haven Line ridership decreased 81.6%

Note: (1) December ridership Includes Mail & Ride returned and unused refund adjustments.

Ben Cornelius

Director – Operations Planning & Analysis

**DECEMBER 2020 RIDERSHIP & REVENUE REPORT
MTA METRO-NORTH RAILROAD**

RIDERSHIP SUMMARY

December Ridership and Revenue (millions)

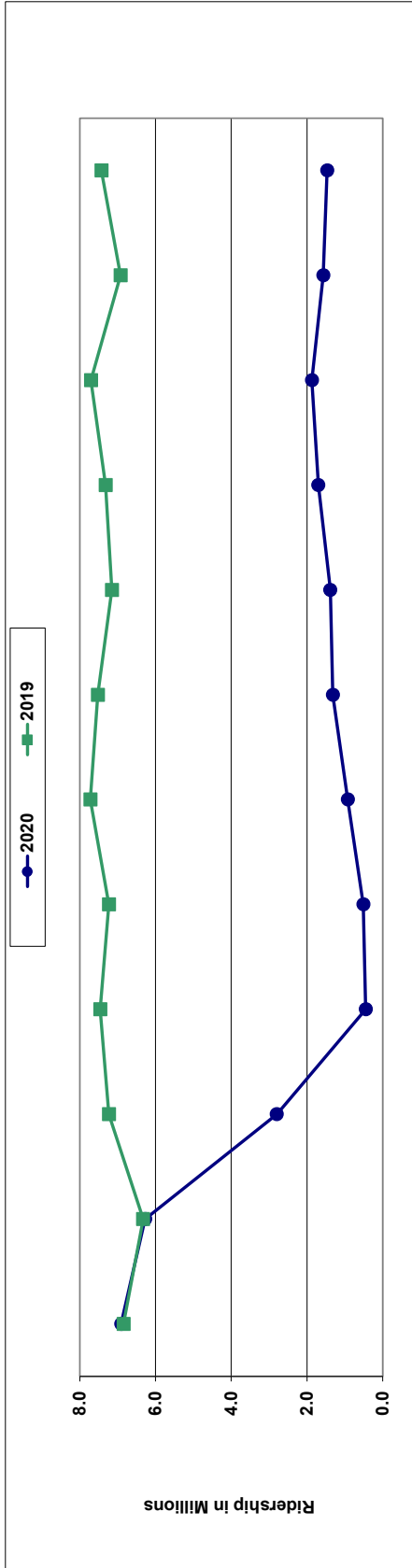
	December 2020	% Change vs. 2019
Total Rail Ridership	1.469	-80.2% ▼
Commutation Ridership	0.537	-86.4% ▼
Non-Commutation Ridership	0.932	-73.2% ▼
Connecting Service Ridership	0.004	-86.7% ▼
Total MNR System Ridership	1.473	-80.2% ▼
Rail Revenue	\$11.044	-83.1% ▼

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

	YTD 2020	% Change vs. 2019	Comparison to Forecast
Total Rail Ridership	27.170	-68.7% ▼	-5.3% ▼
Commutation Ridership	13.233	-72.9% ▼	-14.2% ▼
Non-Commutation Ridership	13.937	-63.4% ▼	5.1% ▲
Connecting Service Ridership	0.147	-69.6% ▼	3.6% ▲
Total MNR System Ridership	27.317	-68.7% ▼	-5.2% ▼
Rail Revenue	\$243.4	-67.8% ▼	-7.4% ▼

DECEMBER RAIL RIDERSHIP (1)

• December's Total Rail Ridership was 80.2% below 2019 and 15.1% below forecast.

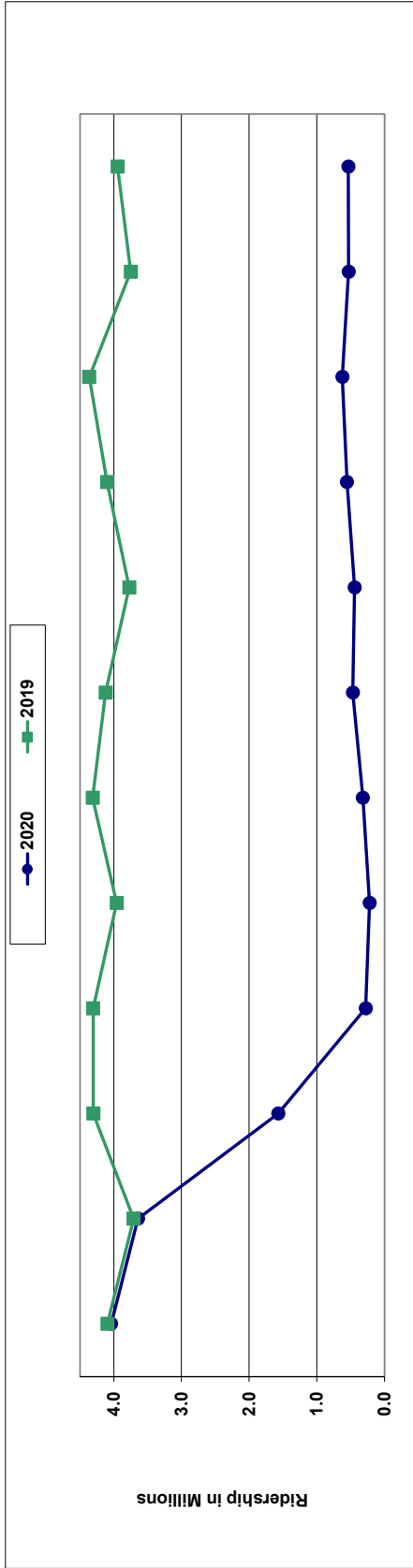


		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2020		6.9	6.3	2.8	0.4	0.5	0.9	1.3	1.4	1.7	1.9	1.6	1.5	27.2
2019		6.8	6.3	7.2	7.5	7.2	7.7	7.5	7.2	7.3	7.7	6.9	7.4	86.9
PCT CHG.		1.0%	-0.8%	-61.3%	-94.0%	-92.9%	-88.0%	-82.5%	-80.7%	-76.8%	-75.8%	-77.3%	-80.2%	-68.7%

1) Includes East and West of Hudson.

DECEMBER RAIL COMMUTATION RIDERSHIP (1)

● December's Rail Commutation Ridership was 86.4% below 2019 and 41.8% below forecast.

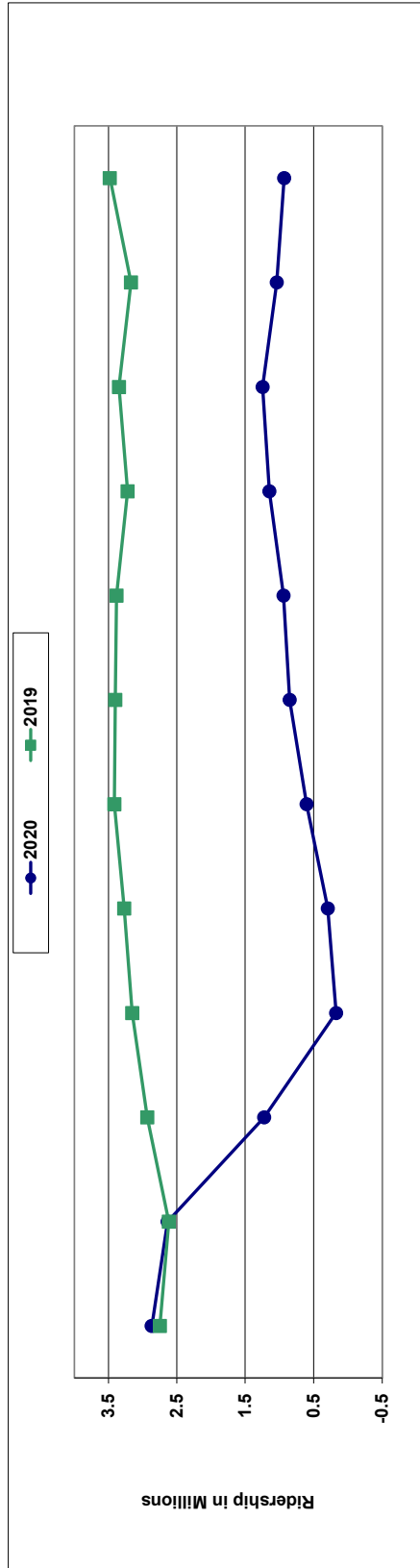


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2020	4.0	3.6	1.6	0.3	0.2	0.3	0.5	0.4	0.6	0.6	0.5	0.5	13.2
2019	4.1	3.7	4.3	4.3	4.0	4.3	4.1	3.8	4.1	4.4	3.8	3.9	48.7
PCT CHG.	-1.4%	-1.8%	-63.4%	-93.6%	-94.4%	-92.6%	-88.7%	-88.3%	-86.4%	-85.7%	-85.9%	-86.4%	-72.9%

1) Includes East and West of Hudson.

DECEMBER RAIL NON-COMMUTATION RIDERSHIP (1)

• December's Rail Non-Commutation Ridership was 73.2% below 2019 and 15.4% above forecast.

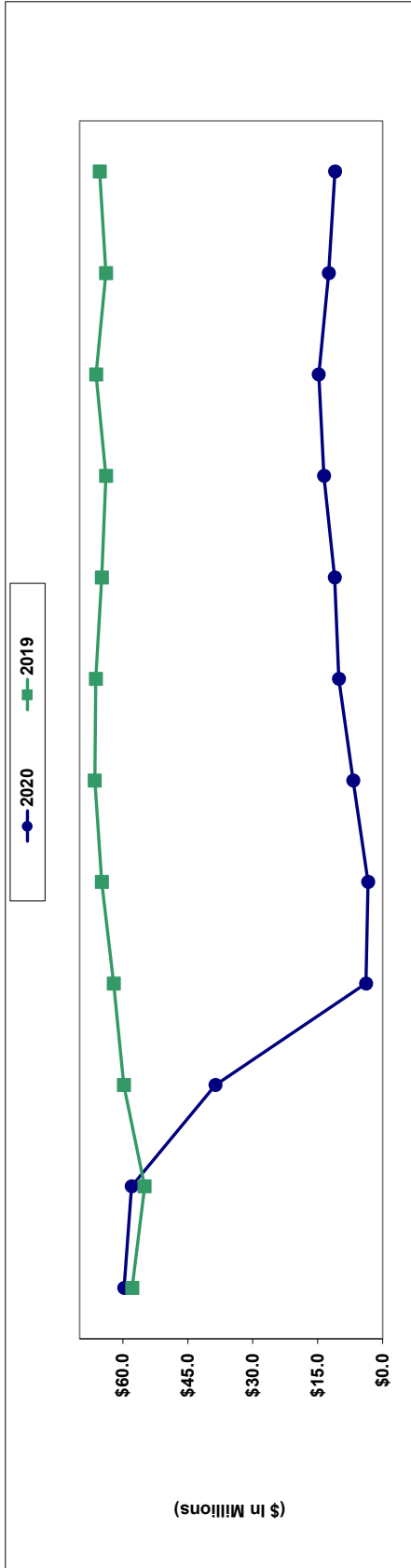


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2020	2.9	2.6	1.2	0.2	0.3	0.6	0.8	0.9	1.1	1.2	1.0	0.9	13.9
2019	2.7	2.6	2.9	3.2	3.3	3.4	3.4	3.4	3.2	3.3	3.2	3.5	38.1
PCT CHG.	4.4%	0.5%	-58.2%	-94.6%	-91.1%	-82.3%	-75.1%	-72.2%	-64.5%	-62.8%	-67.2%	-73.2%	-63.4%

1) Includes East and West of Hudson.

DECEMBER RAIL REVENUE (1)

December's Total Rail Revenue was 83.1% below 2019 and 26.6% below forecast.



	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2020	\$59.7	\$58.0	\$38.6	\$3.8	\$3.4	\$6.8	\$10.1	\$11.1	\$13.5	\$14.8	\$12.5	\$11.0	\$243.4
2019	\$57.9	\$55.0	\$59.8	\$62.1	\$64.9	\$66.5	\$66.3	\$64.9	\$63.9	\$66.2	\$63.9	\$65.3	\$756.7
PCT CHG.	3.2%	5.4%	-35.4%	-93.8%	-94.8%	-89.8%	-84.7%	-82.9%	-78.8%	-77.7%	-80.5%	-83.1%	-67.8%

1) Includes East and West of Hudson.

MTA METRO-NORTH RAILROAD
RIDERSHIP SUMMARY
DECEMBER 2020

TICKET TYPE/SERVICE	DECEMBER 2020 ACTUAL	DECEMBER 2020 FORECAST	VARIANCE VS. FORECAST		DECEMBER 2019 RESTATED (1)	CHANGE FROM 2019	
			AMOUNT	PERCENT		AMOUNT	PERCENT
RAIL COMMUTATION RIDERSHIP							
East of Hudson	519,684	906,609	(386,925)	-42.7%	3,878,676	(3,358,992)	-86.6%
West of Hudson	17,449	15,796	1,653	10.5%	67,052	(49,603)	-74.0%
Total Rail Commutation Ridership	537,133	922,405	(385,272)	-41.8%	3,945,728	(3,408,595)	-86.4%
RAIL NON-COMMUTATION RIDERSHIP							
East of Hudson	915,117	792,905	122,212	15.4%	3,410,753	(2,495,636)	-73.2%
West of Hudson	16,370	14,356	2,014	14.0%	68,787	(52,417)	-76.2%
Total Rail Non-Commutation Ridership	931,487	807,261	124,226	15.4%	3,479,540	(2,548,053)	-73.2%
TOTAL RAIL RIDERSHIP							
East of Hudson	1,434,801	1,699,514	(264,713)	-15.6%	7,289,429	(5,854,628)	-80.3%
West of Hudson (2)	33,819	30,152	3,667	12.2%	135,839	(102,020)	-75.1%
TOTAL RAIL RIDERSHIP	1,468,620	1,729,666	(261,046)	-15.1%	7,425,268	(5,956,648)	-80.2%
CONNECTING SERVICES RIDERSHIP (3)	4,425	3,381	1,044	30.9%	33,150	(28,725)	-86.7%
TOTAL MNR SYSTEM RIDERSHIP	1,473,045	1,733,048	(260,002)	-15.0%	7,458,418	(5,985,373)	-80.2%

Notes:

- 1) 2019 ridership figures have been restated to eliminate calendar impacts on ridership.
- 2) West of Hudson ridership figures are preliminary.
- 3) Includes Haverstraw-Ossining and Newburgh-Beacon Ferries; who both suspended ferry and substitute bus service on May 1st and Hudson Rail Link.

MTA METRO-NORTH RAILROAD
RIDERSHIP SUMMARY
2020 YEAR-TO-DATE

TICKET TYPE/SERVICE	2020 YTD ACTUAL	2020 YTD FORECAST	VARIANCE VS. FORECAST		2019 YTD RESTATE ⁽¹⁾	CHANGE FROM 2019	
			AMOUNT	PERCENT		AMOUNT	PERCENT
RAIL COMMUTATION RIDERSHIP							
East of Hudson	12,932,895	15,082,254	(2,149,360)	-14.3%	47,881,275	(34,948,380)	-73.0%
West of Hudson	299,809	339,007	(39,198)	-11.6%	858,768	(558,979)	-65.1%
Total Rail Commutation Ridership	13,232,704	15,421,261	(2,188,558)	-14.2%	48,740,063	(35,507,359)	-72.9%
RAIL NON-COMMUTATION RIDERSHIP							
East of Hudson	13,643,645	12,988,719	654,926	5.0%	37,362,538	(23,718,893)	-63.5%
West of Hudson	293,524	267,810	25,714	9.6%	760,521	(466,997)	-61.4%
Total Rail Non-Commutation Ridership	13,937,169	13,256,529	680,640	5.1%	38,123,059	(24,185,890)	-63.4%
TOTAL RAIL RIDERSHIP							
East of Hudson	26,576,540	28,070,973	(1,494,434)	-5.3%	85,243,813	(58,667,273)	-68.8%
West of Hudson	593,333	606,817	(13,484)	-2.2%	1,619,309	(1,025,976)	-63.4%
TOTAL RAIL RIDERSHIP	27,169,873	28,677,790	(1,507,918)	-5.3%	86,863,122	(59,693,249)	-68.7%
CONNECTING SERVICES RIDERSHIP (2)							
	146,878	141,817	5,061	3.6%	483,206	(336,328)	-69.6%
TOTAL MNR SYSTEM RIDERSHIP	27,316,751	28,819,607	(1,502,857)	-5.2%	87,346,328	(60,029,577)	-68.7%

Notes:

- 1) 2019 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
DECEMBER 2020

LINE	DECEMBER 2020 ACTUAL	DECEMBER 2019 RESTATE ⁽¹⁾	CHANGE FROM 2019	
			AMOUNT	PERCENT
EAST OF HUDSON				
Harlem Line	493,511	2,345,001	(1,851,490)	-79.0%
Hudson Line	300,724	1,462,562	(1,161,838)	-79.4%
New Haven Line	640,566	3,481,866	(2,841,300)	-81.6%
Total East of Hudson	1,434,801	7,289,429	(5,854,628)	-80.3%
WEST OF HUDSON				
Port Jervis Line	21,976	78,311	(56,335)	-71.9%
Pascack Valley Line	11,843	57,528	(45,685)	-79.4%
Total West of Hudson (2)	33,819	135,839	(102,020)	-75.1%
TOTAL RAIL RIDERSHIP	1,468,620	7,425,268	(5,956,648)	-80.2%
CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS				
Hudson Rail Link	4,425	33,150	(28,725)	-86.7%
Haverstraw-Ossining Ferry	0	0	0	NA
Newburgh-Beacon Ferry	0	0	0	NA
Total Connecting Services (3)	4,425	33,150	(28,725)	-86.7%
TOTAL MNR SYSTEM	1,473,045	7,458,418	(5,985,373)	-80.2%

Notes:

- 1) 2019 ridership figures have been restated to eliminate calendar impacts on ridership.
- 2) West of Hudson ridership figures are preliminary.
- 3) Includes Haverstraw-Ossining and Newburgh-Beacon Ferries; who both suspended ferry and substitute bus service on May 1st and Hudson Rail Link.

MTA METRO-NORTH RAILROAD
RIDERSHIP BY LINE
2020 YEAR-TO-DATE

TICKET TYPE/SERVICE	2020 YTD ACTUAL	2019 YTD RESTATED (1)	CHANGE FROM 2019	
			AMOUNT	PERCENT
EAST OF HUDSON				
Harlem Line	8,811,965	27,455,708	(18,643,743)	-67.9%
Hudson Line	5,578,318	17,430,793	(11,852,475)	-68.0%
New Haven Line	12,186,257	40,357,312	(28,171,055)	-69.8%
Total East of Hudson	26,576,540	85,243,813	(58,667,273)	-68.8%
WEST OF HUDSON				
Port Jervis Line	362,555	946,187	(583,632)	-61.7%
Pascack Valley Line	230,778	673,122	(442,344)	-65.7%
Total West of Hudson	593,333	1,619,309	(1,025,976)	-63.4%
TOTAL RAIL RIDERSHIP	27,169,873	86,863,122	(59,693,249)	-68.7%
CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS				
Hudson Rail Link	111,303	407,971	(296,668)	-72.7%
Haverstraw-Ossining Ferry	24,046	52,931	(28,885)	-54.6%
Newburgh-Beacon Ferry	11,529	22,304	(10,775)	-48.3%
Total Connecting Services	146,878	483,206	(336,328)	-69.6%
TOTAL MNR SYSTEM	27,316,751	87,346,328	(60,029,577)	-68.7%

Notes:

1) 2019 ridership figures have been restated to eliminate calendar impacts on ridership.



Metro-North Railroad

December 2020 Highlights: Capital Program Status Report



DESIGN AND CONSTRUCTION SERVICES FOR SECURITY, AUDIO-VISUAL AND FACILITY ENHANCEMENTS AT VARIOUS METRO-NORTH STATIONS
MASS. ELECTRIC CONSTRUCTION CO.
VIEW: TRACKS 1 & 3 - CAMERAS INSTALLED > NE
PHOTO: 13241.008.005 DATE: 11/25/2020

NOVEMBER 2020 PROGRESS PHOTOGRAPH
OSSINING STATION
MNR CONTRACT MN-58050
BERNSTEIN ASSOCIATES PHOTOGRAPHERS

Customer Service Initiative (CSI)

Ossining Station - Installation of camera on tracks 1 and 3 platforms

Ziona Rubin

Acting Vice President
Capital Programs



Metro-North Railroad

December 2020 Highlights: Capital Program Status Report

The purpose of the Capital Program Status Report is to provide a monthly and year-to-date overview of the progress of Metro-North’s Capital Program including a brief discussion of the current month’s project highlights. The report focuses primarily on providing a summary of achievements regarding design and construction awards, project completions and contract closeouts. The point of contact for the report is Ziona Rubin, Acting Vice President, Capital Program Management.

In the month of December, Metro-North awarded project tasks totaling \$13 million including the Nanuet Shelter Rehab project. Metro-North substantially completed projects totaling \$9 million including the Replace Timbers Undergrade Bridge project. Metro-North had closeouts totaling \$32 million including the GCT PA Head End & VIS Systems project

Metro-North’s performance against its 2020 Capital Project Goal was:

(\$ in Millions)

	<u>Annual Planned</u>	<u>Planned thru 12/31</u>	<u>Achieved thru 12/31</u>	<u>% thru 12/31</u>
Design Awards*	\$19	\$19	\$0	0%
Construction Awards*	\$286	\$286	\$45.2	16%
Substantial Completions	\$313.4	\$313.4	\$51.2	16%
Closeouts*	\$61.5	\$61.5	\$66.2	108%

*Does not include support costs

Ziona Rubin
Acting Vice President
Capital Programs

**CAPITAL PROGRAM
HIGHLIGHTS
December 2020**

CONTRACT AWARDS:

M7020205 SBMP Nanuet Shelter

Milestone: Contract Award \$914,533

This contract was awarded in December 2020 for Metro-North's SBMP Contractor to replace the Nanuet Station Shelter.

PROJECT COMPLETIONS:

M7030206 Railtop Culverts

Milestone: Substantial Completion

Project Budget: \$1,577,800

This project replaced culverts and drainage systems that had exceeded their useful life. Since these bridges comprised of old rails embedded in concrete were rarely waterproofed and because the rails could not be painted due to the tight spacing, many of these structures exhibit heavy corrosion with some steel de-lamination. This program protects the capital investment already made in bringing the right-of-way up to a continued state of good repair.

M7030208 Replace Timbers – Undergrade Bridges

Milestone: Substantial Completion

Project Budget: \$5,700,000

This project installed bridge timbers on open deck bridges that were at the end of useful life and requiring replacement. Bridge timbers have a useful life between 20-25 years but may be less due to certain track, bridge or material conditions. Timber deterioration and/or failure to hold gage can lead to slow orders thus reducing on-time performance for the Operating Department.

MAJOR ON-GOING PROJECT STATUS:

M7020207 Customer Service Initiative (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 all five groups of stations that include: first group (Mt. Vernon East, Larchmont, Pelham, Riverdale and North White Plains IT room); second group (Harlem-125th Street, Rye, Harrison and New Rochelle); third group (Mamaroneck, Port Chester, Melrose and Tremont); fourth group (Ossining, Morris Heights, Spuyten Duyvil and Tarrytown) and fifth group (Poughkeepsie, Harriman and Nanuet).

Site work is substantially complete at the Riverdale, Pelham, Larchmont, Wakefield, Mount Vernon East, Morris Heights, Mamaroneck, Tarrytown, Harlem-125th Street, Harrison, Melrose, New Rochelle and Port Chester stations. Site work continues at Tremont, Rye, Spuyten-Duyvil, Harriman, Poughkeepsie and Ossining Stations. Electrical, HVAC and communication testing and commissioning work at North White Plains Room 217 are substantially complete.

100% design development and factory acceptance testing for facility enhancements including video, access control, elevator & escalator management and security systems is complete. Completed the installation and testing procedures and equipment configuration.

M7020210 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, 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.

- Port Chester, Riverdale, Harlem-125th Street and Crestwood stations are complete.
- White Plains Station – Completed installation of canopy extents and new canopy at the side platform. Continued concrete repair under the center platform, side platform, installation of tile at the lobby, installation of metal fascia, and installation of heat trace for the center stairs. Commenced installation of glass wall art at the south side of the platform. All station improvements are scheduled for substantial completion by February 2021.

EM050206/EM040205 Power, C&S Infrastructure Restoration – Sandy

The purpose of this project is to replace and restore to a state of good repair through a design-build contract the power and communication and signal (C&S) equipment and infrastructure that were destroyed, damaged and/or compromised by Superstorm Sandy on over 30 miles of railroad along the Hudson Line from CP 5 (Bronx) to CP 35 (Croton-Harmon).

- CP19 to CP35 (Phase 1) - Achieved substantial completion in May 2019.
- CP5 to CP19 (Phase 2) - Continued installation of C&S trough and signal power duct bank; conduits for sectionalizing switches; snow melters; transformers; communication and fiber. Continued installation of racks for exposed C&S and signal power conduits; fencing at the elevated platforms and performing track crossing conduits/laterals; signal power cable pulling; jumper work. Continue replacing positive and negative feeders at Substations; performing foundation work; placing grounding grid at platform and punch list repairs.

Overall project substantial completion is anticipated in the second quarter 2021.

EM050208 Power Infrastructure Restoration – Substations – Sandy

- Tarrytown – Coordination study for rectifier relays setting of the Substation transformers has been complete, High Potential testing (Hi-Pot) is ongoing. Substation energization/burn-in-time and short circuit testing are upcoming. This substation is scheduled for completion in April 2021.
- Croton-Harmon – Substation energization and short circuit testing are pending Metro-North installation and connection of the 15kV feeder cables to the new substation as well as the completion of energization and system cut-over of Tarrytown and Brewster Substations. This substation is scheduled for completion in June 2021.
- Riverdale – Continue installation of communication cable and setup the phone line, WI-FI and Kronos clock time entry for the newly built Crew Quarters. Coordination with Con Edison for existing substation decommissioning is ongoing. Lead/asbestos abatement and demolition of existing substation building are upcoming. This substation is scheduled for completion in April 2021.
- The Brewster Substation (under Project M6050103) – Continue SCADA testing; uploading the rectifier relay's settings and powering up the Substation transformers. Rectifier relays; Short circuit testing; Substation commissioning/testing and energization are upcoming... This substation is scheduled for completion in April 2021.

M6040101 Positive Train Control (PTC)

- Subsystem designs are being finalized. Software enhancements continue. Factory Acceptance Testing (FAT) for sub-system level software for On-Board version S5 and Office version 3.7 have been completed. Completed site update and regression testing using System Baseline 3.6.

- All communication site locations have been approved by the Federal Communications Commission (FCC).
- All wayside and on-board PTC equipment installations as required in the Implementation Plan to support Revenue Service Demonstration (RSD) have been completed. Third party contract work for communications infrastructure installation is complete. Commenced ERSD on M8 fleet in December 2020.
- Primary Control Center at Grand Central Terminal (back office) has been fully developed and is operational. Office STS (Safety Temporary Speed Restriction Server) - STS interface testing has been commissioning in December 2020.
- Completed migration of Civil Speed Enforcement transponders to PTC and commissioning of radio cases on New Haven Line.
- Successfully completed Federal Railroad Administration (FRA) required 110 RSD runs on Pilot Line and received approval to move extended RSD testing to the non-pilot segments. Commenced extended RSD (ERSD) in August 2019 on Danbury Branch Line, in March 2020 on Harlem Line (Mott Haven Yard, NY to Wassaic, NY), Hudson Line (Grand Central Terminal, NY to Poughkeepsie, NY), and New Canaan Branch Line, in August 2020 on New Haven Line (Mount Vernon, NY to New Haven, CT). 244.3 miles (100% East of Hudson) of track are in full PTC protection while other contractual work continues. Commenced ERSD for Port Jervis Line on West of Hudson in December 2020 in coordination with NJ Transit.
- Safety plan was conditionally accepted by FRA in November 2020. The project had met the FRA's PTC milestones to comply by December 31, 2020. Alternative schedule with updated Implementation Plan which outlines non-pilot segment commissioning plan was approved by the Federal Railroad Administration in March 2019.
- Interoperability testing of Amtrak on Pilot Line was completed. Amtrak and CSX are operating in ERSD on Hudson and New Haven lines, and Providence & Worcester Railroad (P&W) is operating in ERSD on Danbury Branch Line. MNR commissioned its New Haven, CT, Poughkeepsie, NY, Spuyten Duyvil, Bronx, NY and New Rochelle, NY boundaries with Amtrak.

M7060101 Harmon Shop Improvements

Phase V, Stage II Design-Build - The scope of this work includes the demolition of the remainder of Building 6 Maintenance Shop, the associated Building 5 storeroom and the construction of the balance of the Phase V Electric Car Shop and Support Shop facilities.

- 100% design of the Running Repair Support Shop is complete.
- Completed installation of concrete pads, underground electrical duct banks and manholes and continued with the installation of fencing, cable and electric equipment for the site transformers. Performed test pitting to locate buried utilities and completed demolition of Building 6. Continued installation of utilities in south yard north of overpass and foundation work for the new running repair and support shop. Commenced installation of utilities in the north yard and excavation for car hoist pits in the new running repair and support shop.

2020 MNR Capital Program Goals As of December 31st, 2020 In Millions

