

# *Phase One Report*

U R B I T R A N **R** E P O R T



Prepared to  
Connecticut Department of Transportation

Submitted by  
Urbitran Associates, Inc.

In Association with  
Seward and Monde  
Day, Berry, & Howard LLP  
Chance Management Advisors, Inc.  
Parsons, Brinckerhoff, Quade, and Douglas

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## INTRODUCTION

The Connecticut Department of Transportation (CDOT) initiated the *Connecticut Rail Station Governance Study* in 2001 with the intention of evaluating the condition and operations of stations and parking facilities on the New Haven Line and its three branches. The evaluation includes “an inventory and documentation of existing facilities, a review of current governance practices, a review of governance practices (management/administration) at other commuter rail operations and a review of operating revenues and expenses.” The purpose of this study is to gather information that can be used to guide CDOT in determining whether a change should be made in how the stations and parking facilities are governed. Any changes made to governance policy would be made to “improve serviceability, financial effectiveness, and service quality.” The mission statement for the study is:

**-To develop a Governance Policy and Financial Policy which improves current conditions and offers improved quality of service for our riders.**

This Phase One Report serves the purposes of summarizing the present condition of the rail system and identifying efficiencies that should be addressed. A Phase Two report will provide options for future governance. This report is structured in three main sections: Summary of Existing Conditions, Evaluation of Current Governance Methods, and Directions for Change.

The materials summarized in this report are from technical memoranda submitted to CDOT and are available on the website [www.ctrailgovernance.com](http://www.ctrailgovernance.com). They are as follows:

- Summary of Stakeholder Interviews
- Customer Opinion Survey
- Parking Inventory and Utilization
- Engineering Conditions Surveys
- Engineering Cost Summary
- Station Operating and Financial Analyses
- CDOT Railroad Lease Synopses
- Individual Station Reports

### Work Plan

The *Connecticut Rail Station Governance Study* is separated into three phases: Data Collection and Identification of Issues, which is being summarized in this report (Phase One); Evaluation and Recommendation of Rail Governance Options; and Final Report Development (Phase Two). Each phase consists of individual tasks which examine specific issues with regard to rail passenger stations and parking facilities in the study area.

Phase One of this study is an in-depth evaluation of the conditions at all of the stations in the study area, as well as the collection of input from various public audiences. The following presents a brief description of each technical task:

**Task 1: Survey Connecticut Station Stakeholders** - *This task includes a range of efforts to solicit public opinion at the outset of the study process, including:*

- Completion of stakeholder interviews to gain insight from local officials, transportation professionals, station tenants, station managers, and transit providers.
- Performance of customer opinion surveys to gather an understanding of the current ridership on the rail lines.
- A review of recent survey efforts performed through other sources.

**Task 2: Parking Inventory** - *This task describes parking conditions and policies at the stations in the study area. It includes:*

- A review of parking capacity, utilization, and rates.
- Development of parking facility diagrams and layouts to provide an understanding of the parking facilities involved in the study.

**Task 3: Conditions Survey** – *The task provides an assessment of the physical condition of the parking lots and/or garages, station buildings, and platform structures in the study area. It includes:*

- Development of assessment measures prior to a physical assessment of the locations.
- Performance of station inspections to provide a detailed engineering assessment of the station building and structures, platform, and parking lot.
- A review of relevant regulations and codes.
- Development of a cost estimate for remediation of deficiencies at each station.

**Task 4: Operational Review** – *This task provides an overview and assessment of parking and station operations, including:*

- Completion of a legal and contractual review, financial review, and operations review, and a station operations evaluation.

The final tasks of Phase One are contained in this report. They include a summary of the first four tasks, and the identification of issues facing station and parking governance in the study area and presented opportunities that may be applied in the future.

## CHAPTER 1: SUMMARY OF EXISTING CONDITIONS

The general methodology and pertinent system-wide summary information for each task is presented in this section. Detailed station-by-station information is available in the individual reports cited in the preceding section, which are available at [www.ctrailgovernance.com](http://www.ctrailgovernance.com).

### **Task 1: Survey Connecticut Station Stakeholders**

This section summarizes the materials in the report *Summary of Stakeholder Interviews*.

An important benchmark in this review is to determine how local stakeholders and customers perceive the current New Haven Line rail system. Determining the perspective and satisfaction of stakeholders and customers can provide an indication of what works and what adjustments may need to be considered. Interviews with stakeholders were conducted in the fall of 2001 and the spring of 2002. Customer surveys were conducted at the stations in November 2001 and were provided to all users, including both commuters and recreational travelers.

#### ***Stakeholder Interviews***

The goal of the stakeholder interviews was to discuss broad policy and planning issues regarding rail station operations and governance. Twenty interviews were conducted with local officials or their designated representatives, directors of six regional planning agencies, the staff of New Haven Line stations, and seven local bus operators that serve the stations. A list of all interviewed stakeholders and the agency they represent is provided in the task report available on the website.

Discussion guides were created for each category of stakeholder and all included these general topics:

- Station leases
- A vision of the rail stations
- Customer comments
- Parking rates, capacity and needs, and
- Intermodal coordination

The discussion guide served only as a conversation opener and the interviews covered a range of topics depending upon the interviewee. Interviews ranged from 15 to 90 minutes due to the complexity or number of issues and the level of rail activity at a particular station.

This section presents the dominant themes which threaded through the interviews with the towns, the regions, and the local transit operators; how, in general, each group views the governance issues; and how the viewpoints are either similar or in conflict among the groups.

### *Town Interviews*

There were twenty interviews conducted with local officials, of which nine were with towns/cities on the main line, five were with towns on the Danbury Branch, five on the Waterbury Branch, and one on the New Canaan Branch.

It was explained to the participants that the interviews were being held to examine each community's view towards the current rail station governance policy and specifically the community's relationship/arrangement with CDOT. The content of the interview focused on how well the current arrangement between the community and CDOT is working; whether the local community felt that changes were needed with regard to the arrangement, division of responsibilities, etc.; and whether they had any suggestions for improvements.

Before summarizing the opinions of the stakeholders, it is useful to provide a general background concerning current governance arrangements.

The current station governance arrangement is not at all uniform. Station leases between CDOT and the local communities are the most common arrangement for most of the smaller communities along the mainline, Danbury and New Canaan branches, with the leases covering the station buildings, platforms, and the parking areas owned by CDOT. Other parking lots at these stations are either town-owned or leased from private organizations, with CDOT sometimes participating in the leasing arrangements. CDOT operates, through a private contractor, the stations in Stamford and Bridgeport.

Some communities have more than one arrangement. In Norwalk, the city owns and operates the South Norwalk Station and leases the East Norwalk Station, while the Sixth Taxing District leases the Rowayton Station, and Merritt 7 station is privately owned by the developer of that complex while the parking there is owned by CDOT. Greenwich Station is privately owned with no CDOT-owned parking, while the other three stations and some of their parking are leased from CDOT. In Wilton, the CDOT leases to the town the parking in Wilton and Cannondale, while the stations are the responsibility of CDOT and/or its private leaseholders in the buildings.

The situation along the Waterbury Branch is very different from those along the main line, Danbury and New Canaan Branches. First, service along the branch is very limited, ridership is very low, and the use of rail service, in general when compared to the other lines, is minimal. At this time and under these conditions, the railroad has a very low visibility and therefore the stations have a low priority within these communities. With the exception of Derby, the communities have minimal responsibility for the stations and parking.

Governance: Home Rule or Increased CDOT Responsibility – Communities tend to prefer the administrative model under which they are currently operating. Those who hold leases with CDOT generally want to continue with that arrangement, feeling that local governance is more responsive to their residents and the problems that arise. Implicit in the argument for local rule is the idea that the local communities would be able to control the parking supply and fees and, therefore, keep the stations in scale with the surrounding community. Those favoring home rule fear that allowing CDOT to manage parking supply and fees potentially would provide the

opportunity for CDOT to use condemnation powers to build more parking. The financial implications of a system centrally managed by CDOT were only touched on briefly by a few of the stakeholders, but such a scenario would be a concern for some towns.

At the same time, several local respondents acknowledged the need for a regional and intermodal perspective on transportation and acknowledged that home rule does not necessarily lend itself to such a perspective. A select few among the lease-holding communities would consider turning over their leases to CDOT, but even then only if they were able to retain local input into all decision-making regarding the stations, parking, etc.

CDOT operates, through a contractor, the stations in Bridgeport and Stamford; only Bridgeport participated in the discussions. Bridgeport is extremely pleased with CDOT management, which began in August, 1994, and they acknowledged, as did the Greater Bridgeport Regional Planning Agency (GBRPA) and Greater Bridgeport Transit Authority (GBTA) subsequently, that the station is better managed, operated, and maintained now than when the City was responsible. While the study cannot speak to the position of the City of Stamford, others who participated in the stakeholder interviews – South Western Regional Planning Agency (SWRPA), Connecticut Transit – had similar feelings to those in Bridgeport, that the Stamford station is being operated and maintained to a higher level under CDOT management since CDOT assumed responsibilities at the station in April 2000.

Those interviewed municipalities who favor home rule made the following points:

- Local governance is better for providing an immediate response (“timeliness”) to all types of concerns – e.g. passenger complaints, snow removal, security issues.
- Local officials are more sensitive to community issues and residents’ needs. They also want to be able to react quickly to customer needs and are concerned that CDOT or its representatives would not be as responsive. CDOT may not be as concerned about adjacent neighborhood issues and may not have as much sensitivity to community issues.
- Several towns want to manage their parking fee structures. Four towns stated that they keep their parking rates as low as possible to meet their obligations so that they can promote rail use. One town representative said the town has chosen to collect no fees in order to promote rail use from that community.
- The issue of resident versus non-resident parking was clearly a background issue in a number of locations, although only one community explicitly stated that it would not give up local management if it could not regulate who uses the lots. Several communities said they had no problem with non-residents using their parking lots, although they were concerned about expansion and wanted some preference given to town residents if CDOT expanded the lots. Some towns indicated that they would be happy to partner with CDOT on new lots or structured parking, but even among them there was a need to keep some oversight responsibility for their wait lists, which may not be possible.
- Several of the stakeholders feared that CDOT management would lead to more parking,



even if it meant that CDOT would have to use condemnation to obtain the land. This was deemed to be an unacceptable consequence. In fact, CDOT could already exercise this power to obtain land for parking, but has chosen not to do so.

- Finally, several communities felt they are doing an excellent job managing their stations and parking and that they have a good working relationship with CDOT, obviating the need for any changes to the current lease arrangement. There was a clear pride of ownership in several communities which extended to their residents' feelings as well.

Those who favor increased CDOT responsibilities made the following points:

- CDOT is doing a better job in Bridgeport and Stamford than the local communities were doing in the past, which is a demonstration of their commitment and ability to manage a station program.
- Running the stations for some towns was considered a headache and these communities would seriously consider having CDOT assume a greater management role.
- A few communities felt that they would benefit financially from an increase in CDOT's station responsibilities, as they are not covering their operating and maintenance costs with parking revenues, forcing them to fund their parking operations from general revenues.
- Some felt that unifying the program under CDOT would be the best way to address regional concerns and promote non-SOV use. They felt that there needed to be a more uniform pricing structure, uniform standards for the stations and parking lots, and a single identity program.

Whether they believe in local management or an increase in CDOT governance responsibilities, or some combination thereof, all of the local stakeholders are committed to seeing the railroad grow and all of the participants want it to be well-managed and adequately funded. Everyone perceives the potential that the rail system has for attracting new riders and for supporting congestion mitigation on the state's roadways and realizes that achieving these ends is in the best interest of each community and of the entire state. At the same time, however, as local communities, each is committed to doing what is perceived as best for their own residents within this context, and therein lies the fundamental issue at stake in this process – how to develop a governance policy which balances local, state, and regional issues which can be supported by all parties.

Other Local Issues: CDOT Cooperation and Local Leases – While the issue of overall governance and responsibility of the station and parking program was paramount in these discussions, the stakeholders were also asked to comment upon their relationship with CDOT, and, where applicable, their satisfaction with their leases.

With only two exceptions, the towns were uniformly complimentary regarding the cooperation they received from CDOT personnel involved in the station management program. Seven of the

nine stakeholders interviewed on the main line, three of the five on the Danbury Branch, and the one on the New Canaan Branch all were positive about CDOT. In defining what was meant by a good relationship, the stakeholders indicated that they were able to work with CDOT staff to resolve problems and were able to get CDOT to help undertake and pay for extraordinary repairs. Several towns had some unresolved problems regarding brush growing along the tracks, debris on the tracks, and other maintenance items, but only two communities felt strongly that CDOT was not cooperative, made changes without consulting them, or took too long to undertake routine maintenance.

CDOT's role in each local station program is circumscribed either by the contents of its leases, lack thereof, or its operating agreements to run the stations and parking as in Bridgeport and Stamford. The towns varied widely in their understanding of the arrangements for operating the stations and parking in their communities. Some were fully familiar with the entire lease and its contents, the financial requirements contained therein, the need to maintain a reinvestment fund, the duration, and generally all terms and conditions. A few towns knew they had a lease but were not fully aware of the contents, in some cases they were even unsure of what the lease covered (e.g. buildings or platforms, or parking), and in a couple of cases the town didn't know they had a lease. The range of understanding of the legal arrangements for the stations was surprising, but also appears to be reflective of each town's interests and abilities to manage the program. Thus, those who were most knowledgeable also appear to be those who are managing their stations and parking well. Conversely, a lack of knowledge about the leases appears to correlate with less attention to the stations, again based upon a comparison of these interviews to a visual inspection of the stations by the interviewer.

The general point of view on the leases, from the town perspective, is that they are acceptable, although they might need minor reworking to clarify either the maintenance responsibilities between CDOT, the local community, and MNCR; or how financial accounts and records are kept and reported. The lack of uniform leases, as well as the wide range of understanding of the leases on the part of the local communities, has created a system in which it is hard for the communities to define the division of responsibilities for maintenance and operations of stations, platforms and/or parking lots. There is a perception that CDOT has no overriding policies and procedures for undertaking and paying for repairs or upgrades, and instead treats these activities on an ad hoc basis as they are brought to their attention by the towns. There was a concern that some towns are maintaining a reinvestment fund and using it appropriately under the terms of the lease, while others constantly rely upon CDOT for funding of activities that should be the responsibility of the town. Questions were raised concerning the accounting of revenues and costs and how towns report their financial positions to CDOT, and how this in turn relates to the aforementioned decisions.

Even as CDOT staff was praised for their working relationship with the towns and for their cooperation concerning repair needs and costs, it was apparent that there was a concern that this was based upon individual relationships and not upon a uniform policy and procedure. Furthermore, due to the lack of clarity and/or uniformity and the need for more direction with regard to financial reporting, CDOT may be paying for many things that the towns should pay for under the lease. This point of view was largely held by those who feel they do understand and

follow the lease, and have appropriate financial systems in place, and reflects, in part, their frustration that others do not do the same and take advantage of CDOT's largesse.

### *Regional Agency Interviews*

Six regional planning agencies or Councils of Government participated in the stakeholder interview process. All six spoke about service planning issues and the long range need for better rail service. Those representing communities on the branches were more concerned with service planning issues and specifically with more trains and faster service, and less focused on station governance issues. Those representing communities along the main line were more focused upon governance issues and the role that governance can play in improving the quality of the stations and parking, the quantity and location of parking, travel demand management, etc.

Branchline Discussions – Housatonic Valley Council of Elected Officials (HVCEO) and Central Naugatuck Regional Planning Agency (CNRPA) staff spoke about the need for more rail service, noting the population growth in both regions and travel patterns which continue to congest Route 8 and Route 7, the two adjacent north-south highways lining them to work locations from Bridgeport to Greenwich.

The Central Naugatuck RPA was very concerned about CDOT's commitment to the Waterbury branch, as reflected in the low number of trains and generally poor condition of its stations. They feel more attention needs to be paid to the line to upgrade its current condition, market the present service, and eventually to expand the service. The rail line is an important regional asset to the Valley and its long term economic development, as demonstrated by the Naugatuck Valley Development Corporation's on-going study for an intermodal center in Waterbury. Station and parking governance are only issues in so far as they want CDOT to be active in upgrading the entire line.

Additional service and faster train times on the Danbury branch, in both directions, are considered to be the key to the future use of the rail line and to congestion mitigation efforts along Route 7, and are the primary foci of HVCEO. HVCEO sees the need for more parking along the line, although only Branchville at present is constrained. There are four stations in the HVCEO Region. Three of the four are new facilities, which are managed by the local community through leases with CDOT. There are no apparent governance issues at these stations.

The Valley Regional Planning Agency (VRPA) is in a different position than the other two, as they are the sub-lessors to the City of Derby, who in turn is the lessor to CDOT, for the Derby Station and parking. Thus, they have a direct role in the day-to-day operation of Derby Station, and also represent, as the RPA, the interests of Ansonia, Seymour, and Beacon Falls regarding rail service in the lower valley. As with the CNRPA, their focus was not on governance issues, other than to say they were happy with the arrangement in Derby and that they would like to see better facilities and more CDOT attention paid to the other stations. Rather, the focus was on more service; they feel that the biggest single issue is the future of the line and the constant fear that it will be terminated in the near future. Because parking is free in Derby, they do not have a reinvestment fund, and all day to day maintenance is either paid by the City or done via CDOT grants. On a broader context, they were one of the stakeholders who felt that a lot of the

arrangements made with CDOT for repairs at other stations are done on a personality basis, and not via a contractual relationship within a lease.

The three agencies representing the Branch lines were far more concerned with the train schedules, the number of daily trains, and parking than with the long term governance of the stations along the lines. Those on the Waterbury Branch did perceive a lack of attention from CDOT, but observed that developing a policy on governance is irrelevant without a service. HVCEO similarly is interested in more service and more parking; they, however, were comfortable with the current local governance arrangements.

Mainline Discussions – As opposed to the hundreds of riders who use the branch services each day, ridership along the mainline numbers in the tens of thousands on a daily basis. Communities along the mainline and the Regional Agencies who represent them, have a very different agenda, focused on developing the infrastructure to better serve present riders, to accommodate additional riders, and to provide congestion mitigation for the adjacent highway network. As perceived by the three regional agencies representing communities along the mainline, station and parking governance is an integral part of any long term strategy for enhancing rail service. The following findings are based on the discussions with South Central COG, Greater Bridgeport RPA, and Southwestern RPA. These findings are generally shared by all three organizations:

- The rail system, in its entirety, has to have a broader focus, i.e. has to be less constrained by the individual communities that it serves and who control many of the stations and parking areas along the line. CDOT has to look at its policies from a multi-regional/State perspective and has to develop policies and programs which can work in concert with all other modes as part of the congestion mitigation strategies being developed throughout the state. Two of the three felt that the towns do not see or do not consider the regional good when making decisions regarding their stations and parking, clearly an impediment to achieving a systematic approach.
- In order to effectively carry out the above mission, CDOT needs to address parking supply and demand, pricing, and any other factors which influence ridership patterns and mode choice. Parking supply has to be addressed regionally, not on a town-to-town basis, and should not be constrained by local decision-makers, recognizing that these local decision-makers must be a part of the process and must be a partner in the program.
- There needs to be uniformity in the system at all levels – signage, materials, visual elements, etc. The system has to be perceived as a just that, a system, and the stations, while retaining local character, should incorporate unified design standards and should all be maintained to the same high standards.
- CDOT has to run the entire rail program in order to effectuate the changes described above. Whether CDOT has to own and operate every facility, either on its own or through contractors; or whether there are other mechanisms, including restructured leases with local communities, is undefined as of this time, and should be the focus of this project. According to two of the three, the leases themselves lack clarity, and need better definitions of the responsibilities of each party. Furthermore, two of the three feel that

there are a whole range of financial issues that can be improved upon, starting with the leases, but also including how accounts are kept by the individual communities, and how costs and revenues are reported. All three recognize the difficulties inherent in moving to a centralized governance system, but also feel that it would be the best mechanism for achieving the desired ends.

Each of the stakeholders recognizes the difficulty inherent in these policies vis-à-vis the current views and interests of their constituent communities, yet each felt strongly the need to move in this direction. CDOT has to be perceived as a partner with the regions and local communities, and not as an adversary. When given the chance in Bridgeport and Stamford, it was pointed out that CDOT has done an excellent job in operating those stations. Clearly, the regional staffs represent the bridge between the general position of the local communities and the position of CDOT, described in the next section. This position will likely be critical in the months to come as various governance options are developed, reviewed, and commented upon, with the hope that a consensus will be reached that can be supported by all parties.

### *Transit Operators*

The transit operators had little to say regarding the governance of the rail stations. Other than in Stamford, where the intermodal center includes the bus station; and in Westport, which has a morning and afternoon peak shuttle program, most stations have only a few routes going in and out, or by, a rail station. None of the operators had difficulties with the local communities or CDOT with regard to stop locations, placement of signs or shelters, or access and egress. The sole issue that affects their operations is enforcement, either enforcement of no parking at the bus stops, or no parking in moving lanes around the stations, tying up not only buses but all vehicles. There was no consensus on whether enforcement would be better with a local or state-run system. The operators in Bridgeport and Stamford did think CDOT was doing a much better job managing those stations. All of the operators endorse taking a broader, regional view of public transportation.

### *Summary*

The stakeholder interviews provide an excellent perspective on the view of local communities and regional agencies with regard to station and parking governance and provide a good indication of the concerns which need to be addressed as alternative governance policies are considered. The consensus among the stakeholders is that most of the communities do a reasonable job of managing their station, some better than others. Furthermore, there is general agreement that the leases can be improved to provide better direction. Finally, some of the towns and Regional Agencies recognize the need to be more cognizant of regional issues and the need to use the railroad more effectively in support of congestion mitigation and economic development.

While several of the regional planning agencies consider local control to be an impediment to creating the railroad the State needs in the future, many of the local communities believe that they can continue to maintain the current relationship, albeit with strengthened leases, to achieve the same goal.

## ***Customer Opinion Survey***

This section summarizes the findings in the *Customer Opinion Survey* report, which can be viewed at [www.ctrailgovernance.com](http://www.ctrailgovernance.com).

To gain insight into how the people who actually use the rail system on a regular basis perceive the condition, governance, and future of the system, a customer opinion survey was completed. Customer Opinion Surveys were distributed at all but three rail stations along the New Haven Line and two of three branches, New Canaan and Danbury lines. The Milford, Westport, and Darien stations were not part of the survey because these stations were undergoing ADA construction. Surveys were designed to allow respondents to check the most appropriate response and provide comments. The form was a prepaid mail-back survey. The methodology selected in the work plan was a windshield survey, though this was supplemented to capture some bus and walk-in customers.

During the first two work weeks (Monday – Friday) of November 2001, 7,406 customer surveys were distributed at the stations designated for surveying in the work plan. Over the course of the two week period, each station was surveyed once. More than 7,000 surveys were placed on the windshields of vehicles parked at designated rail station parking facilities after 10:00 A.M. To capture non-auto riders, almost 400 surveys were handed to bus riders and other “walk-ins” in the early morning as they arrived at rail stations with connecting bus service and/or heavy pedestrian volumes. In all, the survey was handed out at 26 stations. During this effort 1,848 surveys were returned, a response rate of 25%.

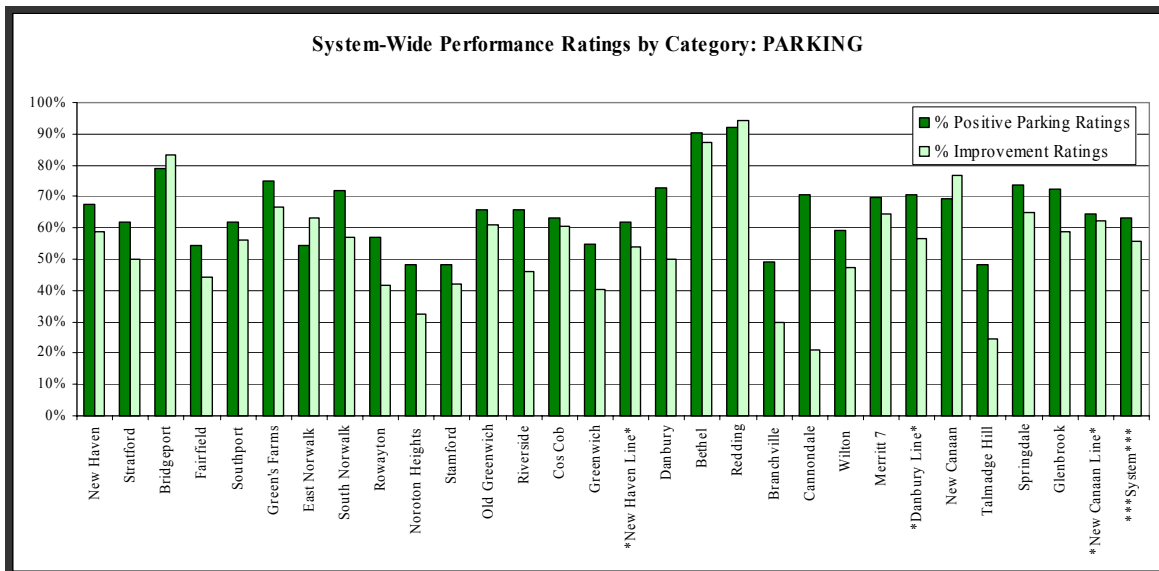
This survey was heavily oriented to auto users and to persons arriving before 3:00 PM. Based on the survey results and the methodology employed the majority of respondents used the train to commute to work or school (92% response), were daily riders (89% response) and traveled during peak times (96% response). Most drove to the station and parked (94% response) and had a parking permit (64% response), which would be expected given the distribution methodology, but is also generally representative of current patterns of the general rail population. Riders who did not have a permit were generally not on a waiting list (62% response). The respondents were generally male (69% response), between the ages of 25 and 44 (50% response), and made more than \$100,000 a year (67% response).

The most important information collected from this survey concerned the respondents’ ratings of station and parking conditions and the changes in the situation over the previous 2 years. Respondents were asked about 4 categories: parking, station building, amenities and platform. They were also asked about station ownership, operations, and management. General findings are presented in the sections that follow and detailed findings can be found in the task report.

### Parking

Several parking aspects were rated by surveyed rail riders. Ratings for each feature were: excellent, good, fair or poor and separately, improved or worsened. The combination of good and excellent ratings gives the percentage of positive ratings. Figure 1 shows the percentage of positive ratings and percentage of improvement ratings for all of the parking conditions rated by survey respondents by station, line and for the whole system. System-wide, 63% of survey respondents rated the parking situation positively and 56% of respondents thought that parking had improved during the prior 2 years.

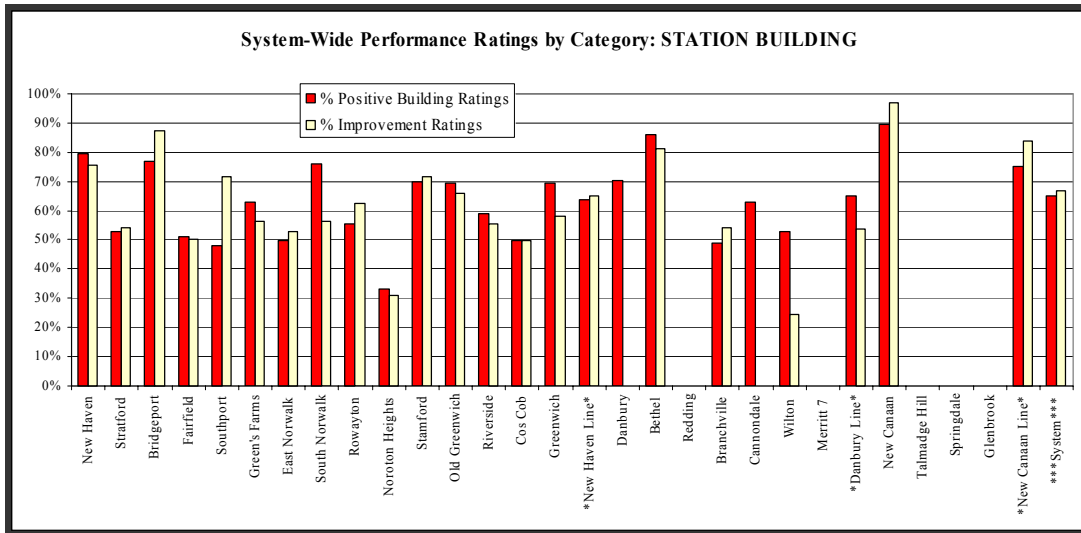
**Figure 1: Customer Survey System-Wide Performance Ratings by Category: PARKING**



### Station Building

The sum of all the station building conditions' positive ratings and improvement ratings for each station, line and the whole system are shown in Figure 2. Station building ratings were slightly higher for the station building conditions than for the parking conditions. Station building ratings also varied more from station to station. Stations that do not have buildings were left blank in Figure 2. System-wide, 65% of respondents were pleased with the condition of the station buildings and 67% had noticed improvement in the previous 2 years.

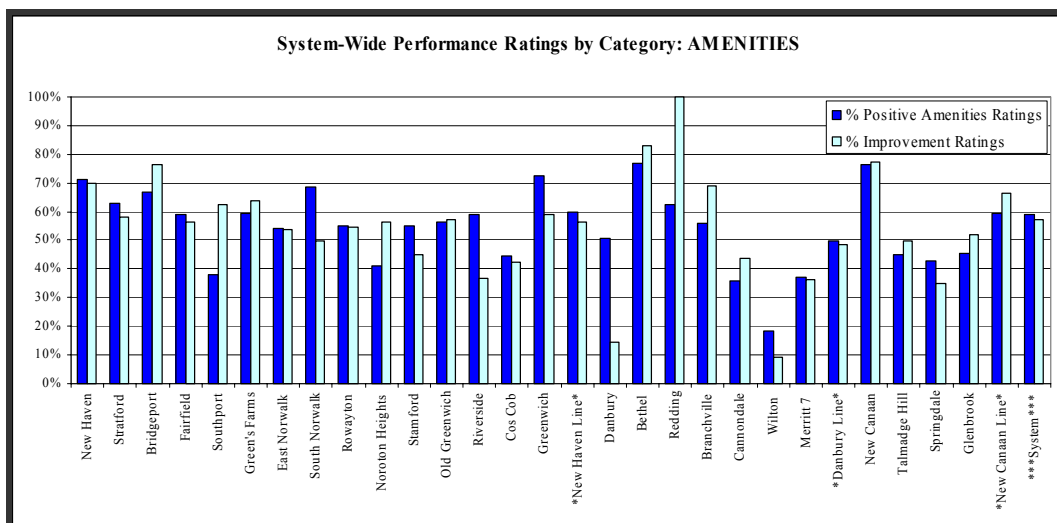
**Figure 2: Customer Survey System-Wide Performance Ratings by Category: STATION BUILDING**



*Amenities*

Amenities ratings were the lowest of the four categories. Figure 3 shows the percentages of positive and improvement ratings for all of the amenities by station, line and for the whole system. As with the station building ratings, not all of the stations surveyed had the amenities rated. Thus, stations that did not have the amenities either had zero ratings or had ratings for the lack of that amenity. System-wide, 59% of respondents were content with the state of the amenities and 57% had noticed an improvement in amenities during the past 2 years.

**Figure 3: Customer Survey System-Wide Performance Ratings by Category: AMENITIES**

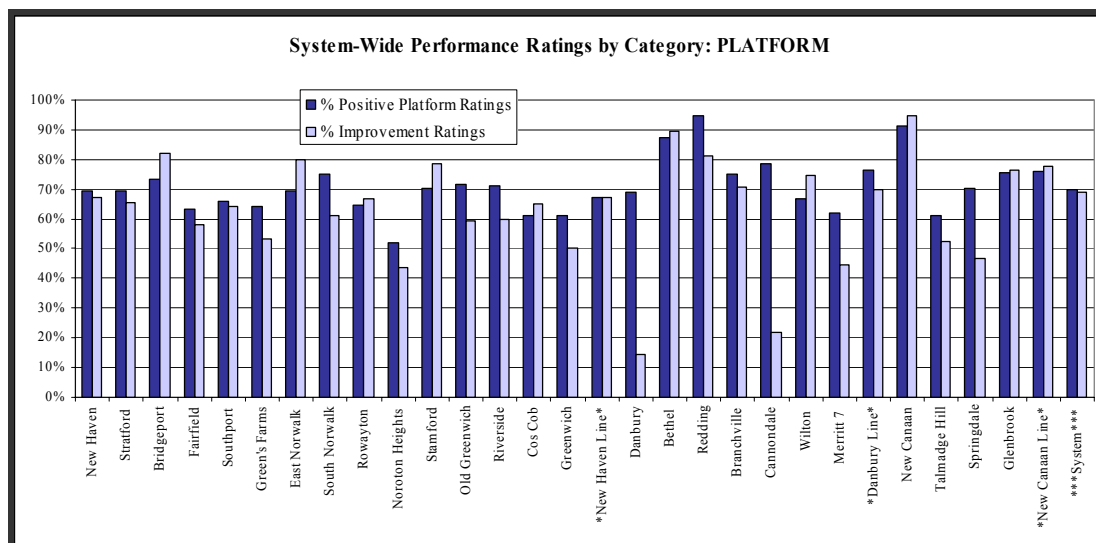




## Platform

Figure 4 displays the positive ratings and improvement ratings for the highest rated category, the platform. System-wide, 70% of survey respondents were satisfied with the state of the platforms and 69% thought that the condition of the platforms had improved in the previous 2 years.

**Figure 4: Customer Survey System-Wide Performance by Category: PLATFORM**



## Ownership, Operations, and Management

Survey respondents were asked to tell which agency they thought was responsible for six different amenities: parking, station building, platform, lighting, security, and map and schedule availability. Table 1 shows who survey respondents thought were responsible for each amenity.

**Table 1: Customer Opinion on Station Amenity Responsibility**

|                           | <i>Parking</i> | <i>Station Building</i> | <i>Platform</i> | <i>Lighting</i> | <i>Security</i> | <i>Maps and Schedules</i> |
|---------------------------|----------------|-------------------------|-----------------|-----------------|-----------------|---------------------------|
| <i>Local Municipality</i> | <b>67%</b>     | 21%                     | 6%              | 20%             | <b>38%</b>      | 1%                        |
| <i>Connecticut DOT</i>    | 15%            | 26%                     | 22%             | 23%             | 14%             | 6%                        |
| <i>Metro-North</i>        | 8%             | <b>40%</b>              | <b>61%</b>      | <b>43%</b>      | <b>35%</b>      | <b>85%</b>                |
| <i>Did Not Know</i>       | 10%            | 13%                     | 11%             | 14%             | 13%             | 8%                        |

The agency that had the most respondents think that they had responsibility is bolded for each condition. It is interesting to note that Connecticut DOT did not have a majority of respondents say that it was responsible for any of the conditions. Two numbers were bolded for the security condition because respondents were split evenly between thinking that the local municipality and Metro-North had responsibility for security.

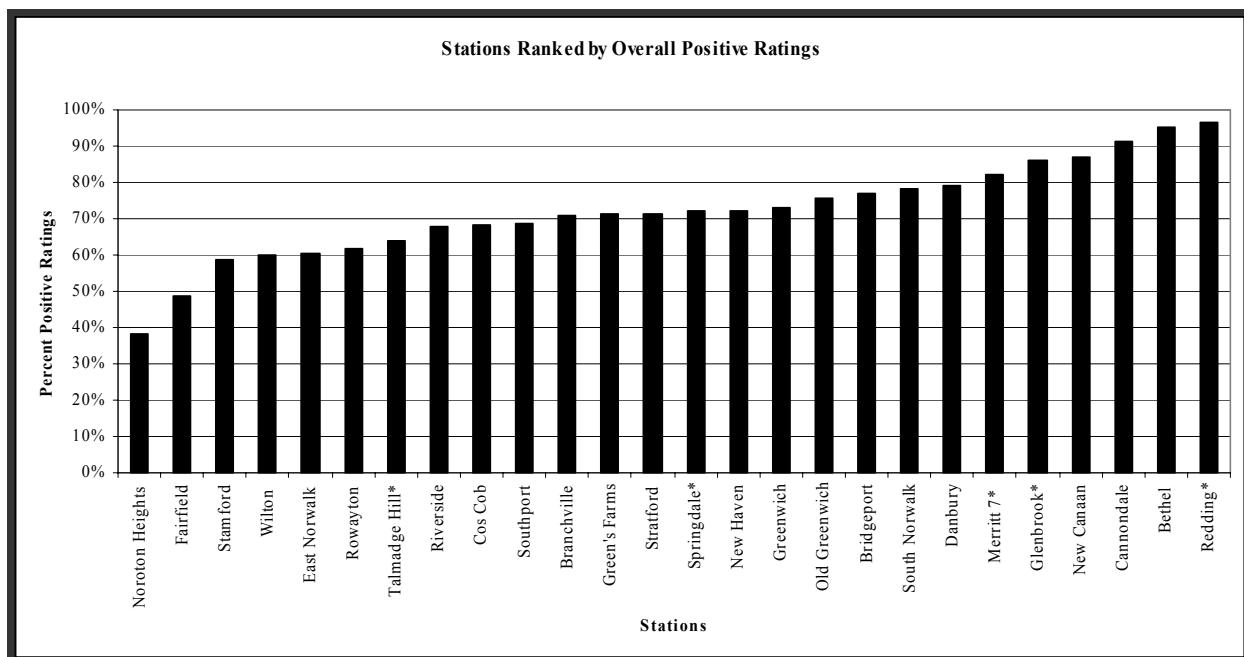
### Written-In Customer Comments

Overall, the biggest problem identified by written-in customer comments was parking availability. One hundred and eighty-five people, 16% of respondents, thought that there was a need for more parking areas. Six percent of respondents wrote in that lighting needed improvement and wrote in overall good comments. Other written-in customer comments had response rates of 4% or less system-wide.

### Station Ranking and Summary

To get an idea of how a station's ratings compared to ratings given at all other stations, the overall condition elements were averaged for each station. To get an overall condition rating for each station the parking availability, overall condition of the station building, and the overall condition of the platform ratings were averaged. Figure 5 shows the ranking of stations from the smallest percentage of positive ratings to the highest percentage of positive ratings. Stations without buildings are shown with asterisks and only include the average of the parking availability and overall condition of the platform ratings.

**Figure 5: Customer Survey Ranking of Stations by Positive Ratings for Overall Condition**



As can be expected, certain aspects of the system were rated very positively and others were rated very poorly by customer respondents. Only by looking at conditions individually and in groups, and at the conditions at stations and on lines can the positive areas, areas that need improvement and trends emerge. This detailed information is available in the task report.

## **Task 2: Parking Inventory**

This section summarizes the findings contained in the *Parking Inventory and Utilization* report, which can be found at [www.ctrailgovernance.com](http://www.ctrailgovernance.com).

In order to update previous parking inventories and to understand parking utilization and availability, a survey of parking cost, location, capacity, and utilization was completed. Parking areas were also mapped on aerial photographs of the region. A secondary goal of the task was to identify possible need for additional space to meet future demands. When integrated with data collected from other study tasks, opportunities to manage and improve available parking supply more effectively will be explored.

An on-site inventory/usage study was conducted at each rail station during the midweek (Tuesday, Wednesday, and Thursday) during the fall of 2001 and the spring of 2002. Information was collected only during weeks not containing a holiday. Parking counts were taken after 10:00 am and before 4:00 pm, which was presumed to be the period of peak parking utilization. Parking spaces were counted and the occupancy recorded on three different days. The vehicle count reported throughout this section reflects the average calculated for the three days. Although Milford and Darien stations were undergoing construction during this task, inventory and usage counts were taken to have complete representation of the rail line. Parking fees and structure were collected by contacting station parking authorities by telephone and requesting the information with the most recent calls being made in September, 2002. Internet searching was also used to collect cost information for each station. Parking waiting list information was also requested, and provided by those towns that kept these records.

### ***System-wide Parking Capacity and Utilization***

The New Haven Line and its three branches are served by 17,431 rail station parking spaces. The State of Connecticut owns 57.6% of these parking spaces. At the time of the inventory 14,062 spaces (80.7%) were in use. The majority of the parking (14,171 spaces) is located along the New Haven Line (mainline). Where many rail stations have more than one parking area for rail commuters, it was noted that heaviest use centered in proximity of the station. Parking at even a small distance from stations was not as well utilized. This observation indicates that rail commuters prefer parking to be readily accessible to the rail station. A summary of parking capacity and utilization at each station is provided in Tables 2 and 3.

**Table 2: New Haven Line Parking Capacity and Utilization**

| Station Name           | Permit          |                    |                  | Daily       |             |              | Handicapped |           |              | Other     |           |              | TOTAL         |                |                   |                  |
|------------------------|-----------------|--------------------|------------------|-------------|-------------|--------------|-------------|-----------|--------------|-----------|-----------|--------------|---------------|----------------|-------------------|------------------|
|                        | Permit Capacity | Permit Utilization | Utilization Rate | Cap.        | Util.       | Util. Rate   | Cap.        | Util.     | Util. Rate   | Cap.      | Util.     | Util. Rate   | # State-Owned | Total Capacity | Total Utilization | Utilization Rate |
| <b>NEW HAVEN LINE</b>  |                 |                    |                  |             |             |              |             |           |              |           |           |              |               |                |                   |                  |
| New Haven*             | 554             | 248                | 44.8%            | 1060        | 1064        | 100.4%       | 19          | 19        | 100.0%       | 20        | 20        | 100.0%       | 1153          | 1653           | 1351              | 81.7%            |
| Milford                | 593             | 438                | 73.9%            | 75          | 71          | 94.7%        | 8           | 0         | 0.0%         | 0         | 0         | N/A          | 444           | 676            | 509               | 75.3%            |
| Stratford              | 222             | 133                | 59.9%            | 62          | 44          | 71.0%        | 10          | 8         | 80.0%        | 0         | 0         | N/A          | 294           | 294            | 185               | 62.9%            |
| Bridgeport             | 950             | 250                | 26.3%            | 503         | 503         | 100.0%       | 0           | 0         | 0.0%         | 0         | 0         | N/A          | 950           | 1453           | 753               | 51.8%            |
| Fairfield              | 861             | 863                | 100.2%           | 327         | 210         | 64.2%        | 28          | 27        | 96.4%        | 0         | 0         | N/A          | 376           | 1216           | 1100              | 90.5%            |
| Southport              | 146             | 91                 | 62.3%            | 28          | 14          | 50.0%        | 3           | 0         | 0.0%         | 2         | 0         | 0.0%         | 99            | 179            | 105               | 58.7%            |
| Green's Farms          | 409             | 329                | 80.4%            | 55          | 55          | 100.0%       | 2           | 2         | 100.0%       | 0         | 0         | N/A          | 466           | 466            | 386               | 82.8%            |
| Westport               | 1158            | 1042               | 90.0%            | 284         | 204         | 71.8%        | 12          | 12        | 100.0%       | 0         | 0         | N/A          | 1126          | 1454           | 1258              | 86.5%            |
| East Norwalk           | 229             | 195                | 85.2%            | 0           | 0           | N/A          | 2           | 0         | 0.0%         | 0         | 0         | N/A          | 147           | 231            | 195               | 84.4%            |
| South Norwalk          | 694             | 694                | 100.0%           | 108         | 15          | 13.9%        | 14          | 14        | 100.0%       | 0         | 0         | N/A          | 0             | 816            | 723               | 88.6%            |
| Rowayton               | 302             | 283                | 93.7%            | 25          | 25          | 100.0%       | 3           | 2         | 66.7%        | 0         | 0         | N/A          | 330           | 330            | 310               | 93.9%            |
| Darien                 | 543             | 466                | 85.8%            | 312         | 279         | 89.4%        | 5           | 5         | 100.0%       | 0         | 0         | N/A          | 195           | 860            | 750               | 87.2%            |
| Noroton Heights        | 431             | 414                | 96.1%            | 328         | 276         | 84.1%        | 3           | 1         | 33.3%        | 10        | 2         | 20.0%        | 772           | 772            | 693               | 89.8%            |
| Stamford*              | 706             | 706                | 100.0%           | 320         | 320         | 100.0%       | 2           | 0         | 0.0%         | 0         | 0         | N/A          | 1028          | 1028           | 1026              | 99.8%            |
| Old Greenwich          | 506             | 470                | 92.9%            | 68          | 60          | 88.2%        | 4           | 2         | 50.0%        | 0         | 0         | N/A          | 397           | 578            | 532               | 92.0%            |
| Riverside              | 288             | 252                | 87.5%            | 32          | 24          | 75.0%        | 4           | 1         | 25.0%        | 0         | 0         | N/A          | 307           | 324            | 277               | 85.5%            |
| Cos Cob                | 510             | 417                | 81.8%            | 54          | 28          | 51.9%        | 3           | 1         | 33.3%        | 0         | 0         | N/A          | 361           | 567            | 446               | 78.7%            |
| Greenwich              | 792             | 651                | 82.2%            | 474         | 468         | 98.7%        | 8           | 1         | 12.5%        | 0         | 0         | N/A          | 0             | 1274           | 1120              | 87.9%            |
| <b>N.H. Line Total</b> | <b>9894</b>     | <b>7942</b>        | <b>80.3%</b>     | <b>4115</b> | <b>3660</b> | <b>88.9%</b> | <b>130</b>  | <b>95</b> | <b>73.1%</b> | <b>32</b> | <b>22</b> | <b>68.8%</b> | <b>8445</b>   | <b>14171</b>   | <b>11719</b>      | <b>82.7%</b>     |

\*Utilization rate only refers to spaces in use during the time of the survey. Additional spaces available in the near future that were not in use during the time of the survey are not included in the capacities or in the utilization rates.

NOTE: Capacity at Milford and Darien stations was constrained due to ADA construction. Total counts exclude some private and municipal parking facilities.

**Table 3: New Haven Line Branch Parking Capacity and Utilization**

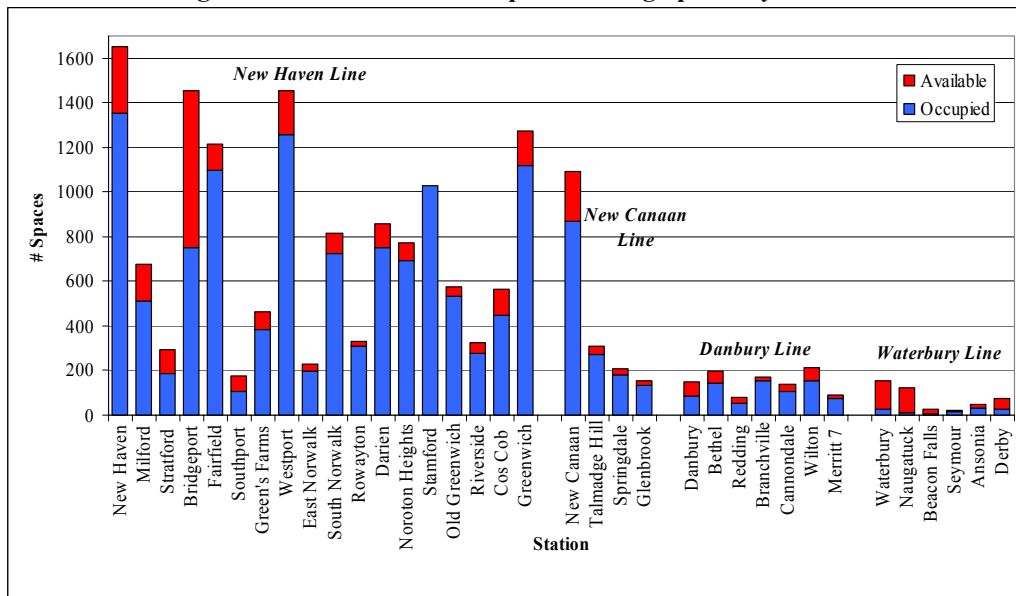
| Station Name                | Permit          |                    |                  | Daily       |             |              | Handicapped |            |              | Other     |           |              | TOTAL         |                |                   |                  |
|-----------------------------|-----------------|--------------------|------------------|-------------|-------------|--------------|-------------|------------|--------------|-----------|-----------|--------------|---------------|----------------|-------------------|------------------|
|                             | Permit Capacity | Permit Utilization | Utilization Rate | Cap.        | Util.       | Util. Rate   | Cap.        | Util.      | Util. Rate   | Cap.      | Util.     | Util. Rate   | # State-Owned | Total Capacity | Total Utilization | Utilization Rate |
| <b>NEW CANAAN LINE</b>      |                 |                    |                  |             |             |              |             |            |              |           |           |              |               |                |                   |                  |
| New Canaan                  | 798             | 619                | 77.6%            | 291         | 242         | 83.2%        | 6           | 6          | 100.0%       | 0         | 0         | N/A          | 164           | 1095           | 867               | 79.2%            |
| Talmadge Hill               | 218             | 194                | 89.0%            | 91          | 80          | 87.9%        | 2           | 0          | 0.0%         | 0         | 0         | N/A          | 18            | 311            | 274               | 88.1%            |
| Springdale                  | 146             | 129                | 88.4%            | 56          | 54          | 96.4%        | 6           | 0          | 0.0%         | 0         | 0         | N/A          | 91            | 208            | 183               | 88.0%            |
| Glenbrook                   | 63              | 41                 | 65.1%            | 90          | 90          | 100.0%       | 3           | 1          | 33.3%        | 0         | 0         | N/A          | 23            | 156            | 132               | 84.6%            |
| <b>N.C. Line Total</b>      | <b>1225</b>     | <b>983</b>         | <b>80.2%</b>     | <b>528</b>  | <b>466</b>  | <b>88.3%</b> | <b>17</b>   | <b>7</b>   | <b>41.2%</b> | <b>0</b>  | <b>0</b>  | <b>N/A</b>   | <b>296</b>    | <b>1770</b>    | <b>1456</b>       | <b>82.3%</b>     |
| <b>DANBURY LINE</b>         |                 |                    |                  |             |             |              |             |            |              |           |           |              |               |                |                   |                  |
| Danbury                     | 126             | 72                 | 57.1%            | 12          | 10          | 83.3%        | 5           | 1          | 20.0%        | 4         | 2         | 50.0%        | 147           | 147            | 85                | 57.8%            |
| Bethel                      | 165             | 127                | 77.0%            | 26          | 16          | 61.5%        | 6           | 1          | 16.7%        | 0         | 0         | N/A          | 197           | 197            | 144               | 73.1%            |
| Redding                     | 65              | 42                 | 64.6%            | 13          | 10          | 76.9%        | 4           | 0          | 0.0%         | 0         | 0         | N/A          | 82            | 82             | 52                | 63.4%            |
| Branchville                 | 0               | 0                  | N/A              | 166         | 152         | 91.6%        | 2           | 0          | 0.0%         | 0         | 0         | N/A          | 168           | 168            | 152               | 90.5%            |
| Cannondale                  | 138             | 106                | 76.8%            | 0           | 0           | N/A          | 2           | 0          | 0.0%         | 0         | 0         | N/A          | 140           | 140            | 106               | 75.7%            |
| Wilton                      | 204             | 151                | 74.0%            | 0           | 0           | N/A          | 8           | 3          | 37.5%        | 0         | 0         | N/A          | 105           | 212            | 154               | 72.6%            |
| Merritt 7                   | 0               | 0                  | N/A              | 86          | 71          | 82.6%        | 2           | 1          | 50.0%        | 0         | 0         | N/A          | 88            | 88             | 72                | 81.8%            |
| <b>Danbury Line Total</b>   | <b>698</b>      | <b>498</b>         | <b>71.3%</b>     | <b>303</b>  | <b>259</b>  | <b>85.5%</b> | <b>29</b>   | <b>6</b>   | <b>20.7%</b> | <b>4</b>  | <b>2</b>  | <b>50.0%</b> | <b>927</b>    | <b>1034</b>    | <b>765</b>        | <b>74.0%</b>     |
| <b>WATERBURY LINE</b>       |                 |                    |                  |             |             |              |             |            |              |           |           |              |               |                |                   |                  |
| Waterbury                   | 0               | 0                  | N/A              | 150         | 24          | 16.0%        | 6           | 0          | 0.0%         | 0         | 0         | N/A          | 156           | 156            | 24                | 15.4%            |
| Naugatuck                   | 0               | 0                  | N/A              | 125         | 13          | 10.4%        | 0           | 0          | 0.0%         | 0         | 0         | N/A          | 0             | 125            | 13                | 10.4%            |
| Beacon Falls                | 0               | 0                  | N/A              | 25          | 6           | 24.0%        | 3           | 0          | 0.0%         | 0         | 0         | N/A          | 28            | 28             | 6                 | 21.4%            |
| Seymour                     | 0               | 0                  | N/A              | 21          | 16          | 76.2%        | 1           | 0          | 0.0%         | 0         | 0         | N/A          | 80            | 22             | 16                | 72.7%            |
| Ansonia                     | 0               | 0                  | N/A              | 48          | 33          | 68.8%        | 2           | 1          | 50.0%        | 0         | 0         | N/A          | 40            | 50             | 34                | 68.0%            |
| Derby                       | 0               | 0                  | N/A              | 70          | 29          | 41.4%        | 5           | 0          | 0.0%         | 0         | 0         | N/A          | 75            | 75             | 29                | 38.7%            |
| <b>Waterbury Line Total</b> | <b>0</b>        | <b>0</b>           | <b>N/A</b>       | <b>439</b>  | <b>121</b>  | <b>27.6%</b> | <b>17</b>   | <b>1</b>   | <b>5.9%</b>  | <b>0</b>  | <b>0</b>  | <b>N/A</b>   | <b>379</b>    | <b>456</b>     | <b>122</b>        | <b>26.8%</b>     |
| <b>TOTAL</b>                | <b>11817</b>    | <b>9423</b>        | <b>79.7%</b>     | <b>5385</b> | <b>4506</b> | <b>83.7%</b> | <b>193</b>  | <b>109</b> | <b>56.5%</b> | <b>36</b> | <b>24</b> | <b>66.7%</b> | <b>10047</b>  | <b>17431</b>   | <b>14062</b>      | <b>80.7%</b>     |

Figure 6 charts the capacity and utilization of each station in the survey. The discrepancy between stations in the availability and utilization of parking spaces is great. In some cases one station is totally occupied with people on the waiting list, while the stations in the towns on either side of that station have available spaces. Other major stations have plenty of parking available but still have people on their waiting lists because the demand is for parking in closer proximity to the station/platform.

When looking at each individual line, the State owns the following percentages of rail parking spaces:

- New Haven Line: 59.6%
- New Canaan Branch: 16.7%
- Danbury Branch: 89.7%
- Waterbury Branch: 83.1%

**Figure 6: Available and Occupied Parking Spaces by Station**



**Parking Area Aerial Photographs**

The parking facilities were further investigated through the use of aerial photography. The extent of the parking areas were drawn onto the photographs and major streets and the location of the station building were identified. Parking areas were designated by color by ownership. Figure 7 shows a sample aerial photograph with parking areas at the Darien Station drawn. Photographs were obtained from Aero-Metric, Inc. from their 2000 Connecticut Statewide Aerial Survey.

**Figure 7: Sample Aerial Photograph of Darien Station and Parking Facilities**



Many spaces (especially along the branch lines) are used for multiple purposes and the exact number of spaces used only for rail commuter parking cannot be determined. In the task report each station is looked at individually and modified counting methods due to mixed-use lots are noted.

### ***System-wide Parking Fees***

Parking fees vary from town to town and several rate structures (semi-annual, annual, monthly, daily, and hourly) are used. Several towns have annual rates, which range from a high of \$650/year to a low of \$125/year. The average annual rate is \$250. Nine towns offer monthly rates ranging from a high of \$84/ to a low \$25/month. The average monthly rate is \$54.00 across all stations.

Daily rates, where they are used, range from a high of \$15.00 to a low of \$2.00. However, most daily rates are comparable at \$5.00. Rail Station parking is free on the Waterbury Line and at several Danbury Line stations. Specific rate structures and associated costs are shown in Table 4.

Many stations have a waiting list for permit parking. An individual may wait for parking from 2 months to 6 years depending on the station where an application is made. Estimated waiting list time periods are also shown in Table 4.

The parking inventory and utilization survey highlighted the diversity in cost structure and parking supply and demand between mainline and branchline stations as well as between individual stations.

Table 4: Rail Station Parking Costs (September 2002)

| Station Name                     | Semi-Annual | Annual    | Monthly                                  | Daily                  | Hourly | # Permits Issued | Number on Waiting List | Estimated Time on Wait List |
|----------------------------------|-------------|-----------|--|------------------------|--------|------------------|------------------------|-----------------------------|
| <i>New Haven Line</i>            |             |           |  |                        |        |                  |                        |                             |
| New Haven Garage                 |             |           | \$65.00                                  | \$8.00                 | \$1.00 | 500/month        | 559                    | 2 years                     |
| New Haven Coliseum*              |             |           | \$37.10/\$58.30**                        | \$5.00                 |        | N/A              | N/A                    | N/A                         |
| New Haven Temple St. Garage      |             |           | \$65.00                                  | \$5.00                 |        | N/A              | N/A                    | N/A                         |
| Milford                          | \$150.00    | \$250.00  |  | \$5.00                 |        | 380-400          | 520                    | 3 years                     |
| Stratford                        | \$135.00    |           |  | \$5.00                 |        | 356              | 617                    | 3 years                     |
| Bridgeport Surface Lot           | No Charge   |           |  |                        |        | 633              | N/A                    | N/A                         |
| Bridgeport Harbor Yard Garage    |             |           | \$30.00                                  | \$6.00                 |        |                  | N/A                    | N/A                         |
| Fairfield                        | \$170.00    |           |  | \$6.00                 |        | 2006             | 1,658                  | 2.5 years                   |
| Southport                        | \$115.00    |           |  | \$6.00                 |        |                  | 1,175                  | 2.5 years                   |
| Green's Farms                    |             | \$175.00  |  | \$4.00                 |        | 3300             | 1700                   | 3-5 years                   |
| Westport                         |             | \$175.00  |  | \$4.00                 |        |                  |                        |                             |
| East Norwalk                     |             | \$240.00  | \$25.00                                  |                        |        | 338              | N/A                    | N/A                         |
| South Norwalk                    |             | \$650.00  | \$63.50                                  | \$6.50***<br>\$4.75*** |        | 980              | 85                     | 2-6 months                  |
| Rowayton                         |             | \$275.00  |  | \$4.00                 |        | 375              | 31                     | 1 year                      |
| Darien                           |             | \$235.00  |  | \$2.25                 |        | 320              | 972                    | 5 years                     |
| Noroton Heights                  |             | \$235.00  |  | \$2.25                 |        | 770              | 1266                   | 4 years                     |
| Stamford (street lot and garage) |             |           | \$65.00                                  | \$6/\$8^               | \$1.00 | 700              | 1700                   | 3-4 years                   |
| Old Greenwich                    |             | \$200.00  |  | \$5.00                 |        | 1015             | 69                     | 1-2 months                  |
| Riverside                        |             | \$200.00  |  | \$5.00                 |        | 525              | 60                     | 1 year                      |
| Cos Cob                          |             | \$200.00  |  | \$5.00                 |        | 990              | 24                     | 1-2 months                  |
| Greenwich Plaza                  |             | \$350.00  |  | \$5.00                 |        | 695              | 457                    | 6 years                     |
| Greenwich (outside station)      |             | \$200.00  |  | \$5.00                 |        | 955              | 682                    | 3 years                     |
| <i>New Canaan Branch</i>         |             |           |  |                        |        |                  |                        |                             |
| New Canaan                       |             | \$324.00~ |  | \$3.00^^               |        | 1069             | 610                    | 3-6 years                   |
| Talmadge Hill                    |             | \$324.00~ |  | \$3.00^^               |        |                  | 83                     | 2-4 months                  |
| Springdale                       |             |           | \$42.00 residents; \$84.00 non-residents | \$3.00^^               |        | 200              | 182                    | 2 years                     |
| Glenbrook                        |             |           | \$42.00 residents; \$84.00 non-residents | \$3.00^^               |        | 75               | 86                     | 1 year                      |
| <i>Danbury Branch</i>            |             |           |  |                        |        |                  |                        |                             |
| Danbury                          |             | \$150.00  |  | \$5.00                 |        | N/A              | N/A                    | N/A                         |
| Bethel                           |             | \$150.00  |  |                        | \$0.25 | N/A              | N/A                    | N/A                         |
| Redding                          |             | \$125.00  |  | \$2.00                 |        | N/A              | N/A                    | N/A                         |
| Branchville                      | No Charge   |           |  |                        |        | N/A              | N/A                    | N/A                         |
| Cannondale                       | No Charge   |           |  |                        |        | N/A              | N/A                    | N/A                         |
| Wilton                           | No Charge   |           |  |                        |        | N/A              | N/A                    | N/A                         |
| Merritt 7                        | No Charge   |           |  |                        |        | N/A              | N/A                    | N/A                         |
| <i>Waterbury Branch</i>          |             |           |  |                        |        |                  |                        |                             |
| No Charge                        |             |           |  |                        |        |                  |                        |                             |

\* No longer in use as of January 1, 2003

\*\* \$37.10 with monthly rail pass, \$58.30 without pass

\*\*\* \$6.50 weekday, \$4.75 weekend

^\$6.00 for up to 16 hours, \$8.00 for up to 24 hours

^^ up to 12 hours

~ New Canaan residents only



### **Task 3: Condition Surveys**

This section provides the summary tables from the Engineering Conditions Survey report and Engineering Cost Summary, both of which are available at [www.ctrailgovernance.com](http://www.ctrailgovernance.com).

Engineering inspections were completed at the stations along the main and branch lines between November 2001 and September 2002. However, condition surveys were not required at the following stations: New Haven, Stamford, Bridgeport, Greenwich and South Norwalk. The CDOT excluded these stations from the scope either because they are not owned by the state or because recent condition information existed. The purpose of the task was to “assess the physical condition, including compliance with codes, of the station buildings, platforms, and parking facilities.” The engineering inspection task was broken into several categories of visual inspections. It is important to note that measurements were not taken; the inspections were only visual inspections for obvious or potential problems. Inspections included: station building and structures, heating, ventilation and air-conditioning, asbestos and lead, plumbing, electrical, and structural; platform plumbing, electrical, and structural; parking lot striping and pavement, drainage, lighting, signage, fencing and landscaping, pedestrian circulation and amenities, and payment systems. Deficiencies found were categorized as pertaining to station building, platform, or parking facility. Cost estimates were completed for bringing items found to be deficient to a state of good repair.

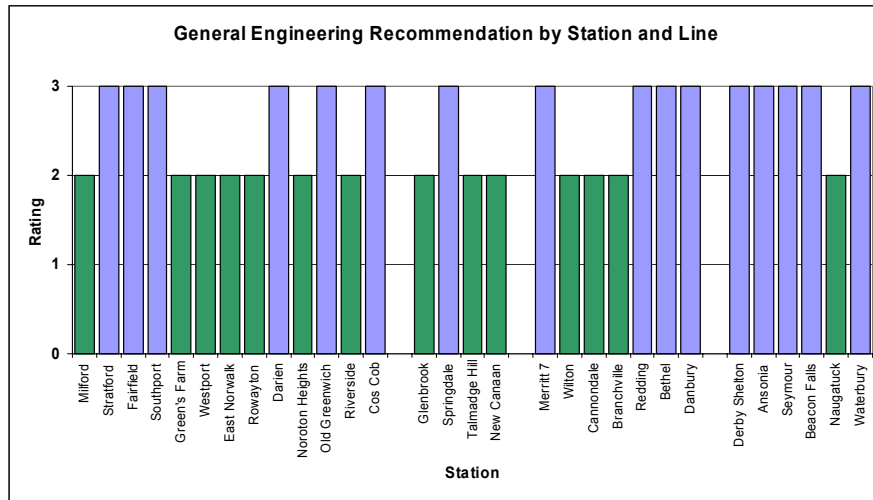
#### ***Condition Ratings***

Each station was assigned a rating on the following scale:

1. Totally deteriorated or in failed condition.
2. Serious deterioration or not functioning as originally designed.
3. Minor deterioration but functioning as originally designed.
4. New condition. No deterioration.

No stations received ratings of 1 or 4. Figure 8 shows how each station rated in the engineering inspections. The Waterbury Branch had the highest percentage of ‘3’ ratings. The New Haven Line had the highest percentage of ‘2’ ratings.

**Figure 8: Inspection Rating by Station**



**Estimated Costs**

As can be seen in Figure 9, the New Haven Line requires the highest cost for bringing its deficiencies into a state of good repair. The Danbury Line requires the smallest investment in order to bring its stations into good repair.

**Figure 9: Estimated Cost of Engineering Improvements by Line (2003)**

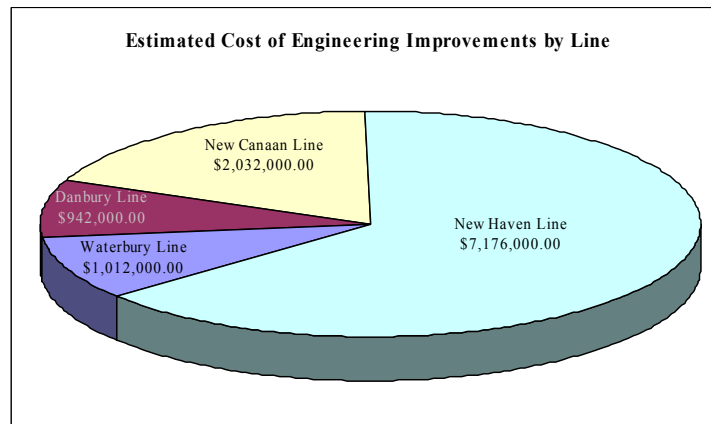


Table 5 itemizes the estimated improvement costs for each New Haven Line station inspected.

**Table 5: New Haven Line Breakdown of Estimated Costs by Station**

| Station        | Estimated Cost (\$)   | Breakdown of Estimated Costs |                       |                     |
|----------------|-----------------------|------------------------------|-----------------------|---------------------|
|                |                       | Parking Area                 | Platform              | Station             |
| Milford        | \$559,000             | \$531,945.00                 | \$27,055.00           | \$ -                |
| Green's Farm   | \$700,000             | \$490,000.00                 | \$176,835.00          | \$33,165.00         |
| Westport       | \$1,550,000           | \$1,339,115.00               | \$ 210,885.00         | \$ -                |
| East Norwalk   | \$328,000             | \$208,890.00                 | \$119,110.00          | \$ -                |
| Rowayton       | \$731,000             | \$660,765.00                 | \$30,565.00           | \$39,670.00         |
| Norton Heights | \$538,000             | \$274,560.00                 | \$227,910.00          | \$35,530.00         |
| Riverside      | \$857,000             | \$717,410.00                 | \$129,210.00          | \$10,380.00         |
| Stratford      | \$356,000             | \$109,485.00                 | \$212,140.00          | \$34,375.00         |
| Fairfield      | \$391,000             | \$117,515.00                 | \$134,620.00          | \$138,865.00        |
| Southport      | \$107,000             | \$57,670.00                  | \$24,755.00           | \$24,575.00         |
| Darien         | \$610,000             | \$610,000.00                 | \$ -                  | \$ -                |
| Old Greenwich  | \$255,000             | \$138,190.00                 | \$19,750.00           | \$97,060.00         |
| Cos Cob        | \$194,000             | \$163,180.00                 | \$30,820.00           | \$ -                |
|                |                       |                              |                       |                     |
| <b>TOTAL</b>   | <b>\$7,176,000.00</b> | <b>\$5,418,725.00</b>        | <b>\$1,343,655.00</b> | <b>\$413,620.00</b> |

Table 6 describes the costs associated with improving the condition of the branch line stations. Many branch line stations did not have recommended improvements to the actual station buildings.

**Table 6: Branch Line Breakdown of Estimated Costs by Station****Waterbury Branch Line**

| Station         | Estimated Cost (\$)   | Breakdown of Estimated Costs |              |            |
|-----------------|-----------------------|------------------------------|--------------|------------|
|                 |                       | Parking Area                 | Platform     | Station    |
| Naugatuck       | \$425,000.00          | \$408,475.00                 | \$16,525.00  | \$ -       |
| Waterbury       | \$0.00                | \$ -                         | \$ -         | \$ -       |
| Beacon Falls    | \$146,000.00          | \$142,190.00                 | \$3,810.00   | \$ -       |
| Seymour         | \$50,000.00           | \$23,660.00                  | \$23,750.00  | \$2,590.00 |
| Ansonia         | \$245,000.00          | \$230,680.00                 | \$14,320.00  | \$ -       |
| Derby / Shelton | \$146,000.00          | \$ -                         | \$146,000.00 | \$ -       |
|                 |                       |                              |              |            |
| <b>TOTAL</b>    | <b>\$1,012,000.00</b> | \$805,005.00                 | \$204,405.00 | \$2,590.00 |

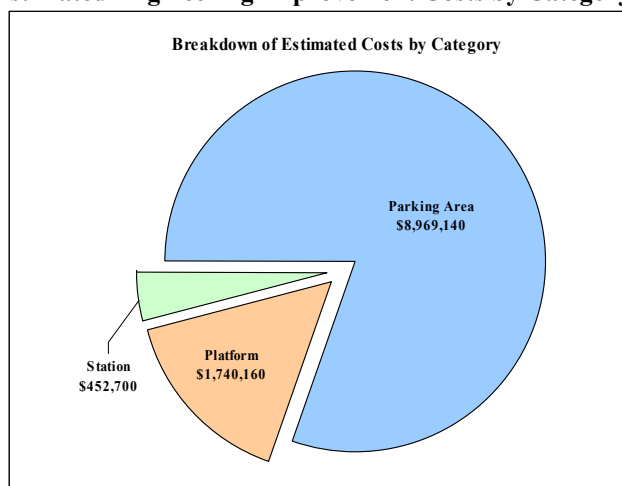
**Danbury Branch Line**

| Station      | Estimated Cost (\$) | Breakdown of Estimated Costs |              |             |
|--------------|---------------------|------------------------------|--------------|-------------|
|              |                     | Parking Area                 | Platform     | Station     |
| Branchville  | \$420,000.00        | \$382,120.00                 | \$27,990.00  | \$9,890.00  |
| Cannondale   | \$180,000.00        | \$174,060.00                 | \$5,940.00   | \$ -        |
| Wilton       | \$277,000.00        | \$243,190.00                 | \$11,980.00  | \$21,830.00 |
| Danbury      | \$0.00              | \$ -                         | \$ -         | \$ -        |
| Bethel       | \$7,000.00          | \$1,230.00                   | \$4,750.00   | \$1,020.00  |
| Redding      | \$0.00              | \$ -                         | \$ -         | \$ -        |
| Merritt 7    | \$58,000.00         | \$4,000.00                   | \$54,000.00  | \$ -        |
|              |                     |                              |              |             |
| <b>TOTAL</b> | <b>\$942,000.00</b> | \$804,600.00                 | \$104,660.00 | \$32,740.00 |

**New Canaan Branch Line**

| Station       | Estimated Cost (\$)   | Breakdown of Estimated Costs |              |            |
|---------------|-----------------------|------------------------------|--------------|------------|
|               |                       | Parking Area                 | Platform     | Station    |
| New Canaan    | \$750,000.00          | \$742,880.00                 | \$3,370.00   | \$3,750.00 |
| Talmadge Hill | \$521,000.00          | \$503,380.00                 | \$17,620.00  | \$ -       |
| Glenbrook     | \$680,000.00          | \$663,845.00                 | \$16,155.00  | \$ -       |
| Springdale    | \$81,000.00           | \$30,705.00                  | \$50,295.00  | \$ -       |
|               |                       |                              |              |            |
| <b>TOTAL</b>  | <b>\$2,032,000.00</b> | \$1,940,810.00               | \$ 87,440.00 | \$3,750.00 |

When all of the costs for each station are added together, the total distribution of improvement funds is presented in Figure 10. As can be seen in the chart, the parking improvements make up the largest slice of the improvement cost pie.

**Figure 10: Estimated Engineering Improvement Costs by Category for all Lines**

The engineering inspections of each station provide a solid inventory of the existing condition along the lines. None of the stations inspected were in perfect condition, nor were any of the stations in severely poor condition. The estimated cost to bring each station into a good state of repair for the entire system is \$11,162,000.

#### **Task 4: Operational Review**

The operational review serves as the operating counterpart to the inventory of the existing physical, parking, and customer opinion conditions on the New Haven Line and its branches. Legal and contractual, financial, and operations responsibilities were each evaluated separately to gain insight into how the system is operated. This task was essentially a management performance review of each of the participating towns, and the general findings are presented in the next three sections.

#### ***Legal and Contractual Review***

The material in this section is contained in the *CDOT Railroad Lease Synopses*, which can be read in full at [www.ctrailgovernance.com](http://www.ctrailgovernance.com).

This task required the review of the “legal and contractual obligations between and among all parties involved in the ownership and operation of the stations and parking.” The review of leases for each station resulted in the largest amount of diversity from station to station of all of the analyzed sectors. System-wide, there were 27 leases, 1 license agreement, 5 CDOT owned and operated, and 2 locally owned and operated stations.

Tables 7a-7f: Lease Matrix (on the following pages) describe the pertinent information on each lease in the system in matrix format for comparison purposes. Note that these are not the complete tables, which can be found in the report synopses on the website.

Connecticut DOT Rail Governance Study  
Table 7a: Lease Matrix - Ownership/Lease

| Station Name                             | Station Owner   | Lessee   | Effective Date of Lease | Term   | Expiration Date of Lease               |
|--|---|--|-------------------------|--|--|
| <b>New Haven</b>                         | State of Connecticut (the "State")                              | City of New Haven and the New Haven Parking Authority  | 7/1/1982                | 35 years   | 6/30/2017                              |
| <b>Milford</b>                           | State of Connecticut Department of Transportation (the "State") | Milford Transit District   | 6/1/1988                | 10 years   | 5/31/2008                              |
| <b>Stratford</b>                         | State of Connecticut (the "State")                              | Town of Stratford  | 4/1/1988                | 50 years   | 3/31/2038                              |
| <b>Bridgeport *</b>                      | City of Bridgeport (the "City")                                 | State of Connecticut Department of Transportation (the "State")/Unicco Service Company (Management) ("Unicco") | 8/15/1994               | 8 years, 10.5 months                               | 6/30/2003                              |
| <b>Fairfield, Southport</b>              | State of Connecticut Department of Transportation (the "State") | Fairfield Parking Authority (the "Town")   | 6/1/1988                | 10 years   | 5/31/2008                              |
| <b>Green's Farm's, Westport</b>          | State of Connecticut Department of Transportation (the "State") | Town of Westport   | 7/1/1991                | 10 years   | 6/30/2011                              |
| <b>East Norwalk</b>                      | State of Connecticut Department of Transportation (the "State") | City of Norwalk and Norwalk Factory Outlet Limited Partnership (the "Norwalk Factory Outlet").                 | 7/1/1990                | 10 years   | 6/30/10 (including first renewal term) |
| <b>Rowayton</b>                          | State of Connecticut Department of Transportation (the "State") | Sixth Taxing District of the City of Norwalk   | 3/15/1998               | 10 years   | 3/14/2008                              |
| <b>Darien, Noroton Heights</b>           | State of Connecticut Department of Transportation (the "State") | Town of Darien   | 7/1/1998                | 10 years   | 6/30/2008                              |
| <b>Old Greenwich, Cos Cob, Riverside</b> | State of Connecticut Department of Transportation (the "State") | Town of Greenwich  | 4/1/1998                | 10 years   | 3/31/2008                              |
| <b>Danbury</b>                           | State of Connecticut Department of Transportation (the "State") | City of Danbury  | 10/1/1996               | 10 years   | 9/30/2006                              |
| <b>Bethel</b>                            | State of Connecticut Department of Transportation (the "State") | Town of Bethel   | 6/1/1995                | 10 years   | 5/31/2005                              |
| <b>Redding</b>                           | State of Connecticut Department of Transportation (the "State") | Town of Redding  | 10/1/1998               | 10 years   | 9/30/2008                              |
| <b>Branchville</b>                       | State of Connecticut Department of Transportation (the "State") | Town of Ridgefield   | 10/1/1995               | 20 years   | 9/30/2015                              |
| <b>Cannondale, Wilton</b>                | State of Connecticut Department of Transportation (the "State") | Town of Wilton   | 1/1/1998                | 10 years   | 12/31/2007                             |
| <b>Merritt 7</b>                         | State of Connecticut Department of Transportation (the "State") | Merritt Seven Station, Incorporated  | 12/15/1983              | 10 years; rent for the initial term was \$500/year | 12/15/2003                             |
| <b>New Canaan, Talmadge Hill</b>         | State of Connecticut Department of Transportation (the "State") | Town of New Canaan   | 7/1/1998                | 10 years   | 6/30/2008                              |
| <b>Springdale, Glenbrook</b>             | State of Connecticut Department of Transportation (the "State") | City of Stamford   | 3/1/1993                | 10 years   | 2/28/2003                              |
| <b>Seymour</b>                           | State of Connecticut Department of Transportation (the "State") | Town of Seymour  | 4/1/1992                | 5 years  | 3/31/2007                              |
| <b>Derby</b>                             | State of Connecticut Department of Transportation (the "State") | City of Derby  | 11/1/1999               | 10 years   | 10/31/2009                             |

\* Effective June 30, 2003 the Bridgeport Station and Harboryard Garage were supposed to have been deeded to the state; as of January 2004 this has not taken place

Connecticut DOT Rail Governance Study  
Table 7b: Lease Matrix - Revenue

| Station Name                      | How Revenue Is Earned   |
|-----------------------------------|---|
| New Haven                         | <p><u>City and Parking Authority</u>: Railroad parking revenue and revenue from other railroad-related leases, except for income received for advertising on the Platform level (above Passageway Ceiling). Advertising and telephone commissions covered by Metro-North.</p> <p><u>The State</u>: Payments to the State under the Lease include:<br/>           (i) Capital Reserve Account payments of \$50,000 annually;<br/>           (ii) Operating Reserve Account payments of \$50,000 in first year and annual replenishment thereafter; and<br/>           (iii) the Annual State Payment, which is a level annual debt service payment on the cost of the Municipal Improvements paid for with the State's General Obligation Bonds. The Municipal Improvements are the Rental Space Component and the Garage Component of the construction.</p> |
| Milford                           | Railroad parking revenue and revenue from railroad-related leases   |
| Stratford                         | Railroad parking revenue and revenue from Railroad-related leases   |
| Bridgeport *                      | From rental income and commuter parking revenue (but not from Harboryard event parking).  |
| Fairfield, Southport              | Railroad parking revenue and revenue from railroad-related leases   |
| Green's Farm's, Westport          | Railroad parking revenue and revenue from railroad-related leases   |
| East Norwalk                      | Rail parking revenue and revenue from rail-related leases   |
| Rowayton                          | Use of the property (commuter rail parking area)  |
| Darien, Noroton Heights           | Rail parking revenue and revenue from other rail-related leases   |
| Old Greenwich, Cos Cob, Riverside | Rail parking revenue and revenue from rail-related leases   |
| Danbury                           | Rail parking revenue and revenue from rail-related leases   |
| Bethel                            | Rail parking revenue and revenue from other rail-related leases   |
| Redding                           | Commuter rail parking   |
| Branchville                       | Rail parking revenue and revenue from rail-related leases   |
| Cannondale, Wilton                | Rail parking revenue and revenue from rail-related leases   |
| Merritt 7                         | The State has the right to install advertising poster panels, etc. on the platform and retain all revenue from such advertising.  |
| New Canaan, Talmadge Hill         | Rail parking revenue and revenue from other rail-related leases   |
| Springdale, Glenbrook             | Rail parking revenue  |
| Seymour                           | n/a   |
| Derby                             | Rail parking revenue and revenue from other rail-related leases   |

\* Effective June 30, 2003 the Bridgeport Station and Harboryard Garage were supposed to have been deeded to the state; as of January 2004 this has not taken place

Connecticut DOT Rail Governance Study  
Table 7c: Lease Matrix - Accounts

| Station Name                      | Requirement for Separate Funds Accounts  |
|-----------------------------------|--|
| New Haven                         | Yes. There is a Capital Reserve Account (funded \$50,000 annually); an Operating Account (funded with \$50,000 in first year and replenished annually); and a State Payment Escrow Account (funded with \$250,000 in first year and replenished annually).   |
| Milford                           | Yes. In lieu of an annual fee paid to the State, Lessee shall establish a separate account to accrue surplus funds for the improvement and maintenance of rail station buildings, rail station parking, and rail station services (the "Reinvestment Fund"). All revenue generated from rail parking, rail-related leases and all other sources derived from the use of the property(ies) described in the Lease (including accrued interest), minus mutually agreed upon operating and/or maintenance expenses, shall be deposited annually into the Reinvestment Fund. The State reserves the right to approve the use of funds in the Reinvestment Fund.  |
| Stratford                         | Yes  |
| Bridgeport *                      | No   |
| Fairfield, Southport              | Yes. In lieu of an annual fee paid to the State, Lessee shall establish a separate account to accrue surplus funds for the improvement and maintenance of rail station buildings, rail station parking, and rail station services (the "Reinvestment Fund"). All revenue generated from rail parking, rail-related leases and all other sources derived from the use of the property(ies) described in the Lease (including accrued interest), minus mutually agreed upon operating and/or maintenance expenses, shall be deposited annually into the Reinvestment Fund.   |
| Green's Farm's, Westport          | Yes. Lessee must establish two separate funds, an Operating Fund and a Capital Improvement Fund. All revenue generated from all sources derived from the use of both Town-owned as well as State-leased properties described in the Lease, including all revenue derived from a minimum of 1,665 parking spaces jointly utilized by the parties to the Lease, must be deposited into the Operating Fund. Funds remaining in the Operating Fund, minus all operating and maintenance expenses, as well as annually appropriated capital expenses, shall be distributed to Lessee on a yearly basis at the rate of 50 percent, to be used by Lessee without limitation. The remaining 50 percent of the funds in the Operating Fund shall be deposited in the Capital Improvement Fund.      |
| East Norwalk                      | Yes. Lessee shall establish a separate account to accrue reinvestment funds. All revenue generated from all sources derived from the use of the property(ies) described in the Lease, minus mutually agreed to operating and/or maintenance expenses, shall be deposited in this fund.   |
| Rowayton                          | Yes. Lessee must establish a separate account to accrue surplus funds (the "Reinvestment Fund"). All revenue (including interest) generated from all sources derived from the use of the leased properties, minus mutually agreed upon operating expenses, shall be deposited annually in the Reinvestment Fund.   |
| Darien, Noroton Heights           | No   |
| Old Greenwich, Cos Cob, Riverside | Yes. Lessee shall establish a separate account to accrue surplus funds (the "Reinvestment Fund"). All revenue generated from rail parking, rail-related leases and all other sources derived from the use of the properties described in the Lease (including accrued interest), minus mutually agreed upon operating and/or maintenance expenses, shall be deposited annually into the Reinvestment Fund.   |
| Danbury                           | Yes. Lessee pays no annual fee to the State, but is required under the Lease to establish a separate account (the "Reinvestment Fund") to accrue surplus funds for the improvement and maintenance of rail station buildings, rail station parking and rail station services. All revenue generated from rail parking, rail-related leases and all other sources derived from the use of the leased properties (including accrued interest), minus mutually agreed upon operating and maintenance expenses, must be deposited annually into the Reinvestment Fund. The State reserves the right to approve the use of funds in the Reinvestment Fund.  |
| Bethel                            | Yes. In lieu of an annual fee paid to the State, Lessee shall establish a separate account to accrue surplus funds for the improvement and maintenance of rail station buildings, rail station parking, and rail station services (the "Reinvestment Fund"). All revenue generated from rail parking, rail-related leases and all other sources derived from the use of the property(ies) described in the Lease (including accrued interest), minus mutually agreed upon operating and/or maintenance expenses, shall be deposited annually into the Reinvestment Fund. The State reserves the right to approve or disapprove the use of funds in the Reinvestment Fund to ensure improvement and maintenance of rail station buildings, rail station parking, and rail station services. |
| Redding                           | Yes. In lieu of an annual fee paid to the State, Lessee shall establish a separate account to accrue surplus funds for the improvement and maintenance of rail station buildings, rail station parking, and rail station services (the "Reinvestment Fund"). All revenue generated from rail parking, rail-related leases and all other sources derived from the use of the property(ies) described in the Lease, minus mutually agreed upon operating and/or maintenance expenses, shall be deposited into the Reinvestment Fund. The State reserves the right to approve the use of funds in the Reinvestment Fund.  |
| Branchville                       | Yes. Lessee shall establish a separate fund to accrue reinvestment funds (the "Reinvestment Fund"). All revenue generated from all sources derived from the use of the property described in the Lease, minus mutually agreed to operating and/or maintenance expenses, shall be deposited in the Reinvestment Fund. The State reserves the right to approve or disapprove the use of funds in the Reinvestment Fund to ensure improvement and maintenance of rail station buildings, parking and services.  |
| Cannondale, Wilton                | Yes. Lessee must establish a separate fund (the "Reinvestment Fund") to accrue reinvestment funds. Revenue generated from all sources derived from the use of the properties described in the Lease, minus mutually agreed to operating and/or maintenance expenses, are to be deposited into the Reinvestment Fund. The State reserves the right to approve or disapprove the use of funds in the Reinvestment Fund to ensure improvement and maintenance of rail station buildings, rail station parking and rail station services.  |
| Merritt 7                         | No   |
| New Canaan, Talmadge Hill         | Yes. Lessee shall establish a separate account to accrue reinvestment funds. All revenue generated from all sources derived from the use of the property(ies) described in the Lease, minus mutually agreed to operating and/or maintenance expenses, shall be deposited into this fund. The State reserves the right to approve or disapprove the use of these funds to ensure improvement and maintenance of rail station building, parking, and services.   |
| Springdale, Glenbrook             | No   |
| Seymour                           | No   |
| Derby                             | Yes. Lessee pays no annual fee to the State, but is required under the Lease to establish a separate account (the "Reinvestment Fund") to accrue surplus funds for the improvement and maintenance of rail station buildings, rail station parking and rail station services. All revenue generated from rail parking, rail-related leases and all other sources derived from the use of the leased properties (including accrued interest), minus mutually agreed upon operating and maintenance expenses, must be deposited annually into the Reinvestment Fund.   |

\* Effective June 30, 2003 the Bridgeport Station and Harboryard Garage were supposed to have been deeded to the state; as of January 2004 this has not taken place



Connecticut DOT Rail Governance Study  
Table 7d: Lease Matrix - Funds Surplus

| Station Name                      | Surplus Deposited in Capital Fund  | Surplus Shared with State   |
|-----------------------------------|--|---|
| New Haven                         | Yes. If Net Revenue in any fiscal year exceeds the Annual State Payment,<br>(a) any amounts owed to the State for any previous year(s) shall be paid, to the extent of available Net Revenue; and<br>(b) any Net Revenue remaining is to be distributed as follows:<br>(i) 25% to the State Payment Escrow Account, credited toward any succeeding year in which Net Revenue is insufficient to cover the Annual State Payment;<br>(ii) 25% to the Capital Reserve Account; and<br>(iii) 50% to the State for payment of principal and interest for bonds issued for Transportation Center improvements. | See prior response for treatment of surplus (Net Revenue in excess of Annual State Payment).  |
| Milford                           | Yes  | Yes   |
| Stratford                         | Yes. Lessee shall establish a separate fund or account to accrue reinvestment funds. All income from all sources derived from the use of the property(ies) described herein, minus mutually agreed to operating and/or maintenance expenses, shall be deposited in this fund   | No  |
| Bridgeport *                      | No   | n/a   |
| Fairfield, Southport              | Yes  | Yes   |
| Green's Farm's, Westport          | Yes. Fifty percent of the surplus in the Operating Fund is deposited annually into the Capital Improvement Fund  | Yes. The surplus in the Capital Improvement Fund is shared (not the Operating Fund).  |
| East Norwalk                      | Yes. Lessee establishes a separate fund or account to accrue reinvestment funds. All revenue generated from all sources derived from the use of the properties described in the Lease, minus mutually agreed to operating and/or maintenance expenses, to be deposited in this fund  | Yes   |
| Rowayton                          | Yes  | Yes   |
| Darien, Noroton Heights           | No   | Yes, but payments to the State are based upon a percentage of gross revenue.  |
| Old Greenwich, Cos Cob, Riverside | Yes  | Yes   |
| Danbury                           | Yes  | Yes   |
| Bethel                            | Yes  | Yes. In the event there is any surplus at the end of each 5 year period of the initial term and the 2 renewal periods thereafter, the State shall receive 50 percent of such surplus.   |
| Redding                           | Yes  | Yes   |
| Branchville                       | Yes  | Yes   |
| Cannondale, Wilton                | Yes  | Yes. "Surplus" excludes all funds appropriated by Lessee from the Reinvestment Funds, with State's approval, for improvement and maintenance of rail station buildings, rail station parking, and mutually agreed upon rail station services. |
| Merritt 7                         | n/a  | n/a   |
| New Canaan, Talmadge Hill         | Yes  | Yes   |
| Springdale, Glenbrook             | No   | Yes   |
| Seymour                           | n/a  | n/a   |
| Derby                             | Yes  | Yes   |

\* Effective June 30, 2003 the Bridgeport Station and Harboryard Garage were supposed to have been deeded to the state; as of January 2004 this has not taken place

Connecticut DOT Rail Governance Study  
Table 7d (cont)

| Station Name                      | Frequency of Surplus Sharing  | Certified Financial Statements Required  |
|-----------------------------------|---|--|
| New Haven                         | n/a   | Yes  |
| Milford                           | In the event there is a surplus in the Reinvestment Fund, at the end of each 5 year period of the initial term and the 4 renewal periods thereafter, the State shall be entitled to withdraw 50 percent of said surplus for use on other New Haven Line projects. | Yes. See <a href="#">Appendix I</a> .  |
| Stratford                         | n/a   | Yes. The statements shall be prepared and certified by an Independent Certified Public Accountant (CPA) as defined in Chapter 389 of the Connecticut General Statutes and shall contain the CPA's professional opinion as to:<br>(a) the sufficiency and adequacy of all records presented by Lessee to the CPA to properly reflect all aspects of Lessee's operations under the Lease;<br>(b) whether the system of recordkeeping utilized by Lessee pursuant to the Lease is in substantial accord with generally accepted accounting principles and practices; and<br>(c) the CPA's recommendations for measures that would improve the fiscal relationship between the State and Lessee. |
| Bridgeport *                      | n/a   | No   |
| Fairfield, Southport              | In the event of a surplus in the Fund at the end of each 5 year period of the initial term and the 1 renewal period thereafter, if any, the State shall be entitled to withdraw fifty percent (50%) of the surplus for use on other New Haven Line projects.      | Yes. See <a href="#">Appendix I</a> .  |
| Green's Farm's, Westport          | If the Capital Improvement Fund shows a surplus at the end of each 5 year period, the State may elect to withdraw 50 percent of the surplus.  | Yes. See <a href="#">Appendix I</a> .  |
| East Norwalk                      | At the end of each five (5) year period of the initial and renewal terms, State receives fifty (50) percent of surplus.   | Yes. See <a href="#">Appendix I</a> .  |
| Rowayton                          | At the end of each 5 year period of the initial term and the 1 renewal period thereafter, State is entitled to withdraw fifty percent (50%) of surplus for use on other New Haven Line projects.  | Yes. See <a href="#">Appendix I</a> .  |
| Darien, Noroton Heights           | Lessee shall pay to the State twenty percent (20%) of gross revenue from rail parking and rail-related leases. The timing of the payments from Lessee to the State is not established in the Lease, but is presumed to be "annually."                             | Yes. See <a href="#">Appendix I</a> .  |
| Old Greenwich, Cos Cob, Riverside | At the end of each five (5) year period of the initial term and the one (1) renewal period thereafter, if any, the State shall be entitled to withdraw fifty percent (50%) of the surplus for use on other New Haven Line projects.                               | Yes. See <a href="#">Appendix I</a> .  |
| Danbury                           | In the event of a surplus, at the end of each 5 year period of the initial term and the 2 renewal periods thereafter, if any, the State shall receive 50 percent of said surplus.   | Yes See Appendix I of Report   |
| Bethel                            | Surplus is shared every 5 years.  | Yes. See Appendix I  |
| Redding                           | At the end of each 5 year period of the initial term and the 1 renewal period thereafter, State receives 50 percent of surplus.   | Yes. See <a href="#">Appendix I</a> .  |
| Branchville                       | State receives fifty percent (50%) of surplus at the end of each five (5) year period of the initial term and two (2) renewal periods thereafter, if any.   | Yes. See <a href="#">Appendix I</a> .  |
| Cannondale, Wilton                | At the end of each 5 year period of the initial term and the 1 renewal period thereafter, if any, the State shall receive fifty percent (50%) of the surplus.   | Yes. See <a href="#">Appendix I</a> .  |
| Merritt 7                         | n/a   | No   |
| New Canaan, Talmadge Hill         | In the event there is a surplus, at the end of each five (5) year period of the initial term and the one (1) renewal period thereafter, if any, the State shall receive fifty percent (50%) of said surplus.  | Yes. See Appendix I.   |
| Springdale, Glenbrook             | Lessee shall pay to the State twenty percent (20%) of annual gross income. Said payment is due 90 days after the end of each year of the Lease term.  | Yes. See <a href="#">Appendix I</a> .  |
| Seymour                           | n/a   | No   |
| Derby                             | In the event there is a surplus in the Reinvestment Fund, at the end of each 5 year period of the initial term and at the end of each 5 year period of the 2 renewal periods thereafter, if any, the State shall receive 50% of said surplus.                     | Yes. See Appendix I.   |

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Connecticut DOT Rail Governance Study  
Table 7e: Lease Matrix - Responsibilities

| Station Name                      | Annual Budget Required   | Description of State's Responsibilities   | Description of Lessee's Responsibilities   |
|-----------------------------------|--|---|--|
| New Haven                         | Yes: includes both an Operating Budget and a Capital Improvements Budget. Budget must be agreed upon by all parties. |   | The Parking Authority shall carry out construction and construction management of all improvements to the Transportation Center <b>and</b> assume all continuing responsibility for operation and maintenance of the Transportation Center after its completion.   |
| Milford                           | No   |   | Lessee is responsible for day-to-day maintenance, including, but not limited to, general structural repairs, snow removal, trash removal and security of any and all stations, platforms, railings, stairs, ramps and parking lots.  |
| Stratford                         | No   |   |  |
| Bridgeport *                      | No   | The State assumes the responsibility of maintaining the sidewalks; grass area; entrance area; surface parking area, including the loading dock; and the key card gate control entry access system. The State sublets the security, janitorial and mechanical services to Unico.   |  |
| Fairfield, Southport              | No   |   | Lessee has sole responsibility for day-to-day maintenance, including, but not limited to general repairs, snow and trash removal and security of any/all stations, platforms, railings, stairs, ramps and parking lots described in the Lease.   |
| Green's Farm's, Westport          | No   | The State is responsible for<br>(i) all major structural renovations and/or repairs, and<br>(ii) maintaining and/or restoring all fencing bordering the tracks, canopies over the platforms, the tunnel, tunnel drainage and stairways at the Saugatuck Railroad Station, the stairway from New Creek Road to the platform area on the east and west side of the Green's Farm Railroad Station, and the canopy under the tracks over the sidewalk on New Creek Road at Green's Farm Railroad Station. | Lessee is responsible for day-to-day maintenance, included, but not limited to, any and all platforms, railings, stairs, shelters, and ramps, i.e., general structural repairs, snow removal, and security.  |
| East Norwalk                      | No   |   |  |
| Rowayton                          | No   |   |  |
| Darien, Noroton Heights           | No   |   | Lessee is responsible for day-to-day maintenance, including, but not limited to, general structural repairs, snow removal, trash removal and security of all stations, platforms, railings, stairs, ramps and parking lots.  |
| Old Greenwich, Cos Cob, Riverside | No   |   |  |
| Danbury                           | No   |   |  |
| Bethel                            | No.  | The State is responsible for<br>(i) maintaining and/or restoring all fencing bordering the tracks and canopies over the platforms, and<br>(ii) all major structural renovations and/or repairs, and may, upon written notice to Lessee, draw funds remaining in the Reinvestment Fund as surplus at the end of each 5 year period to pay for any of the above-cited work.   | Lessee is responsible for the day-to-day maintenance, including, but not limited to, any and all platforms, railings, stairs, shelters, and ramps, i.e. general structural repairs, snow removal, and security   |
| Redding                           | No   |   |  |
| Branchville                       | No   |   | Lessee is responsible for<br>(i) maintaining and/or restoring all fencing bordering the tracks and canopies over the platforms and maintaining all major structural renovations and/or repairs and<br>(ii) day-to-day maintenance, including, but not limited to, any and all platforms, railings, stairs, shelters, and ramps (i.e. general structural repairs, snow removal and security). |
| Cannondale, Wilton                | No   |   |  |
| Merritt 7                         | No   |   |  |
| New Canaan, Talmadge Hill         | No   |   |  |
| Springdale, Glenbrook             | No   |   |  |
| Seymour                           | No   |   |  |
| Derby                             | No   |   |  |

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Connecticut DOT Rail Governance Study  
Table 7e (cont)

| Station Name                      | Enhance Aesthetic Appearance | Not Erecting Signs on Premises   | Surface Grade Land | Install and Maintain Fencing | Install Suitable Drainage | Ice Snow Control of Sidewalks | Install and Maintain Electrical Systems for Lights | Sweeping and Cleaning Litter | Station Structures  | Platform Gutters | Fences        | Signs         | Platform Lights | Drains        | Equipment     | Electric and Mechanical Systems | Live Rail Facilities | Platforms | Railings      |
|-----------------------------------|------------------------------|--|--------------------|------------------------------|---------------------------|-------------------------------|--|------------------------------|---|------------------|---------------|---------------|-----------------|---------------|---------------|---------------------------------|----------------------|-----------|---------------|
| New Haven                         | Lessee                       | Lessee   | Lessee             | Lessee                       | Lessee                    | Lessee                        | Lessee   | Lessee                       | Lessee  | MNCR             | Lessee        | Lessee        | MNCR            | Lessee        | Lessee        | Lessee                          | State                | MNCR      | Lessee        |
| Milford                           | Lessee                       | Lessee   | Lessee             | Lessee                       | Lessee                    | Lessee                        | Lessee   | Lessee                       | Lessee  | Lessee           | Lessee        | Lessee        | Lessee          | Lessee        | Lessee        | Lessee                          | State                | Lessee    | Lessee        |
| Stratford                         | Lessee                       | Lessee   | Lessee             | Lessee                       | Lessee                    | Lessee                        | Lessee   | Lessee                       | Lessee  | MNCR             | Lessee        | Lessee        | MNCR            | State         | State         | State                           | State                | Lessee    | State         |
| Bridgeport *                      | State / Unico                | State / Unico  | State / Unico      | State / Unico                | State / Unico             | State / Unico                 | State / Unico                                      | State / Unico                | State / Unico   | MNCR             | State / Unico | State / Unico | MNCR            | State / Unico | State / Unico | State / Unico                   | State / Unico        | MNCR      | State / Unico |
| Fairfield, Southport              | Town                         | Town   | Town               | Town                         | Town                      | Town                          | Town   | Town                         | The State retains the sole responsibility for maintaining all major structural renovations and/or repairs.  | MNCR             | Town          | Town          | MNCR            | Town          | Town          | Town                            | State                | Town      | Town          |
| Green's Farm's, Westport          | Lessee                       | Lessee   | Lessee             | Lessee                       | Lessee                    | Lessee                        | Lessee   | Lessee                       | Lessee  | MNCR             | Lessee        | Lessee        | MNCR            | State         | State         | Lessee                          | State                | Lessee    | Lessee        |
| East Norwalk                      | Lessee                       | Lessee   | Lessee             | Lessee                       | Lessee                    | Lessee                        | Lessee   | Lessee                       | Lessee  | MNCR             | Lessee        | Lessee        | MNCR            | Lessee        | MNCR          | MNCR                            | State                | MNCR      | Lessee        |
| Rowayton                          | Lessee                       | Lessee   | Lessee             | Lessee                       | Lessee                    | Lessee                        | Lessee   | Lessee                       | MNCR (for platforms); State retains sole responsibility for maintaining all major structural renovations and/or repairs   | MNCR             | Lessee        | Lessee        | MNCR            | Lessee        | Lessee        | Lessee                          | State                | MNCR      | Lessee        |
| Darien, Noroton Heights           | Lessee                       | Lessee   | Lessee             | Lessee                       | Lessee                    | Lessee                        | Lessee   | Lessee                       | Lessee  | Lessee           | Lessee        | Lessee        | Lessee          | Lessee        | Lessee        | Lessee                          | Lessee               | Lessee    | Lessee        |
| Old Greenwich, Cos Cob, Riverside | Lessee                       | Lessee   | Lessee             | Lessee                       | Lessee                    | Lessee                        | Lessee   | Lessee                       | Lessee  | Lessee           | Lessee        | Lessee        | Lessee          | Lessee        | Lessee        | Lessee                          | State                | Lessee    | Lessee        |
| Danbury                           | Lessee                       | Lessee   | Lessee             | State                        | Lessee                    | Lessee                        | Lessee   | Lessee                       | Major structural renovations: State;<br>General structural repairs: Lessee  | Lessee           | Lessee        | State         | Lessee          | Lessee        | Lessee        | Lessee                          | Lessee               | Lessee    | Lessee        |
| Bethel                            | Lessee                       | Lessee   | Lessee             | Lessee                       | Lessee                    | Lessee                        | Lessee   | Lessee                       | State: major structural renovations and/or repairs;<br>Lessee: day-to-day maintenance   | Lessee           | State         | Lessee        | Lessee          | Lessee        | Lessee        | Lessee                          | Lessee               | Lessee    | Lessee        |
| Redding                           | Lessee                       | Lessee   | Lessee             | Lessee                       | Lessee                    | Lessee                        | Lessee   | Lessee                       | Lessee  | n/a              | Lessee        | Lessee        | Lessee          | Lessee        | Lessee        | Lessee                          | State                | Lessee    | Lessee        |
| Branchville                       | Lessee                       | Lessee   | Lessee             | Lessee                       | Lessee                    | Lessee                        | Lessee   | Lessee                       | Lessee  | Lessee           | Lessee        | Lessee        | Lessee          | Lessee        | Lessee        | Lessee                          | State                | Lessee    | Lessee        |
| Cannondale, Wilton                | Lessee                       | Lessee   | Lessee             | Lessee                       | Lessee                    | Lessee                        | Lessee   | Lessee                       | Lessee  | Lessee           | Lessee        | Lessee        | Lessee          | Lessee        | Lessee        | Lessee                          | State                | Lessee    | Lessee        |
| Merritt 7                         | Lessee                       | Lessee. However, Lessee had the right to erect a sign or plaque (not larger than 4' x 5') identifying Lessee as the builder of the improvements and that the builder is affiliated with Merritt Seven Corporate Park | Lessee             | Lessee                       | Lessee                    | Lessee                        | Lessee   | Lessee                       | Lessee  | Lessee           | Lessee        | Lessee        | Lessee          | Lessee        | Lessee        | Lessee                          | Lessee               | Lessee    | Lessee        |
| New Canaan, Talmadge Hill         | Lessee                       | Lessee   | Lessee             | State                        | Lessee                    | Lessee                        | Lessee   | Lessee                       | The State retains responsibility for maintaining all major structural renovations and/or repairs. Lessee shall retain sole responsibility of the day-to-day maintenance, including general structural repair. | Lessee           | State         | Lessee        | Lessee          | Lessee        | Lessee        | Lessee                          | State                | Lessee    | Lessee        |
| Springdale, Glenbrook             | Lessee                       | Lessee   | Lessee             | Lessee                       | Lessee                    | Lessee                        | Lessee   | Lessee                       | n/a   | n/a              | Lessee        | Lessee        | n/a             | Lessee        | Lessee        | Lessee                          | n/a                  | n/a       | Lessee        |
| Seymour                           | Lessee                       | Lessee   | Lessee             | Lessee                       | Lessee                    | Lessee                        | Lessee   | Lessee                       | n/a   | n/a              | Lessee        | Lessee        | n/a             | Lessee        | Lessee        | Lessee                          | State                | n/a       | Lessee        |
| Derby                             | Lessee                       | Lessee   | Lessee             | Lessee                       | Lessee                    | Lessee                        | Lessee   | Lessee                       | State has the right to inspect the parcel and to repair, maintain, improve, or reconstruct any State facility. Lessee performs day-to-day maintenance.  | Lessee           | Lessee        | Lessee        | Lessee          | Lessee        | Lessee        | Lessee                          | Lessee               | Lessee    | Lessee        |

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Connecticut DOT Rail Governance Study  
Table 7e (cont)

| Station Name                      | Stairs                                 | Platform Shelters | Platform Canopy | Tunnels       | Parking Lots  | Waiting Room  | Ticket Office | Baggage Room  | Parking Fees  |
|-----------------------------------|--|-------------------|-----------------|---------------|---------------|---------------|---------------|---------------|---|
| New Haven                         | Lessee                                 | MNCR              | MNCR            | Lessee        | Lessee        | Lessee        | Lessee        | Lessee        | The Parking Authority, as operator of the Transportation Center, will set hours, rates and other appropriate regulations for users of the Parking Garage. No special parking rates or discounts will be offered or allowed, except:<br>(a) Rail commuters may be entitled to monthly parking rates not more than \$5.00 less than regular monthly rates. The number of commuter passes at any one time shall be not less than 100 and not more than 40% of the parking garage capacity;<br>(b) Bona fide employees of the Connecticut Department of Transportation official business shall receive parking at no cost up to a maximum of 3 spaces at any one time on a space-available basis. |
| Milford                           | Lessee                                 | Lessee            | Lessee          | n/a           | Lessee        |               |               |               | Where there is a charge for parking, there is a minimum annual charge of \$100.00 per vehicle. The State reserves the right to review and approve any and all parking fees which exceed this minimum fee.   |
| Stratford                         | State                                  | MNCR              | MNCR            | n/a           | Lessee        |               |               |               | Where there is a charge for parking, the minimum annual fee per vehicle is \$100.00. The State reserves the right to review and approve any and all parking fees which exceed this minimum fee.   |
| Bridgeport *                      | MNCR                                   | MNCR              | MNCR            | State / Unico | State / Unico | State / Unico | State / Unico | State / Unico | The State shall set the rates to be charged for the commuter parking spaces based on comparable rates at similar State-owned commuter parking facilities in New Haven and Stamford  |
| Fairfield, Southport              | Town                                   | State             | State           | n/a           | Town          | Town          | Town          | Town          | Where there is a charge for parking, there is a minimum annual charge of \$100.00 per vehicle. The State reserves the right to review and approve any and all parking fees which exceed this minimum fee.   |
| Green's Farm's, Westport          | Lessee                                 | MNCR              | MNCR            | MNCR          | Lessee        |               |               |               | Where there is a charge for parking, the minimum annual fee per vehicle is \$75.00. Any fee in excess of \$75.00 is subject to the State's approval. Lessee has the right to establish and publish a Daily, Weekly, Annual and/or other periodic Parking-Fee Schedule(s).   |
| East Norwalk                      | MNCR                                   | MNCR              | MNCR            | Lessee        | Lessee        |               |               |               | Where there is a charge for parking, the minimum annual fee is \$100.00. The State reserves the right to review and approve all parking fees which exceed this minimum fee.   |
| Rowayton                          | MNCR (for stairs leading to platforms) | MNCR              | MNCR            | n/a           | Lessee        |               |               |               | Where there is a charge for parking, the minimum annual parking fee per vehicle is \$100.00. The State reserves the right to review and approve any and all parking fees which exceed this minimum fee. Lessee has the right to establish and publish a periodic Parking-Fee Schedule.  |
| Darien, Noroton Heights           | Lessee                                 | Lessee            | Lessee          |               | Lessee        | Lessee        | Lessee        | Lessee        | Where there is a charge for parking, the minimum annual parking fee per vehicle is \$100.00. The State reserves the right to review and approve any and all parking fees which exceed this minimum fee.   |
| Old Greenwich, Cos Cob, Riverside | Lessee                                 | Lessee            | Lessee          | Lessee        | Lessee        |               |               |               | Where there is a charge for parking, the minimum annual parking fee per vehicle is \$100.00. The State reserves the right to review and approve any and all parking fees which exceed this minimum fee. Lessee has the right to establish and publish a Daily, Weekly, Monthly, Annual and/or other periodic Parking-Fee Schedule(s).   |
| Danbury                           | Lessee                                 | Lessee            | Lessee          | Lessee        | Lessee        | Lessee        | Lessee        | Lessee        | Lessee has the right to establish and publish a Daily, Weekly, Annual and/or other periodic Parking-Fee Schedule(s). Where there is a charge for parking, the minimum annual parking fee per vehicle is \$100.00. The State reserves the right to review and approve any and all parking fees which exceed the aforementioned minimum fee.  |
| Bethel                            | Lessee                                 | Lessee            | State           | Lessee        | Lessee        | Lessee        | Lessee        | Lessee        | Where there is a charge for parking, there is a minimum annual parking fee per vehicle of \$100.00. The State reserves the right to review and approve any and all parking fees which exceed this minimum amount. Lessee shall have the right to establish and publish a Daily, Weekly, Annual and/or other periodic Parking-Fee Schedule(s).   |
| Redding                           | Lessee                                 |                   |                 | n/a           | Lessee        |               |               |               | Where there is a charge for parking, the minimum annual parking fee is \$100.00 per vehicle. The State reserves the right to review and approve any and all parking fees that exceed this minimum fee. Lessee has the right to establish and publish a Daily, Weekly, Monthly, Annual and/or other periodic Parking-Fee Schedule(s).  |
| Branchville                       | Lessee                                 | Lessee            | Lessee          | n/a           | Lessee        |               |               |               | Where there is a charge for parking, the minimum annual fee per vehicle is \$100.00. Lessee may establish and publish a periodic Parking-Fee Schedule.  |
| Cannondale, Wilton                | Lessee                                 | Lessee            | Lessee          | n/a           | Lessee        | Lessee        | Lessee        |               | Where there is a charge for parking, the minimum annual fee per vehicle is \$100.00. The State reserves the right to review and approve any and all parking fees which exceed this minimum fee. Lessee has the right to establish and publish a Daily, Weekly, Monthly, Annual and/or other periodic Parking-Fee Schedule(s).   |
| Merritt 7                         | Lessee                                 | Lessee            | Lessee          |               | Lessee        |               |               |               |   |
| New Canaan, Talmadge Hill         | State                                  | Lessee            | State           |               | Lessee        | Lessee        | Lessee        | Lessee        | Where there is a charge for parking, the minimum annual parking fee per vehicle is \$100.00. The State reserves the right to review and approve any and all parking fees which exceed this minimum fee. Lessee has the right to establish and publish a Daily, Weekly, Monthly, Annual and/or other periodic Parking-Fee Schedule(s).   |
| Springdale, Glenbrook             | Lessee                                 | n/a               | n/a             | n/a           | Lessee        | n/a           | n/a           | n/a           | If there is a charge for parking:<br>(a) Lessee has the right to establish and publish a periodic Parking-Fee Schedule; and<br>(b) the minimum annual fee per vehicle shall be \$100.00. The State reserves the right to review and approve any and all parking fees which exceed this minimum fee.   |
| Seymour                           | Lessee                                 | n/a               | n/a             | n/a           | Lessee        | n/a           | n/a           | n/a           | Lessee shall have the right to establish and publish a Daily, Weekly, Annual and/or other periodic Parking Fee Schedule(s).   |
| Derby                             | Lessee                                 | Lessee            | Lessee          | Lessee        | Lessee        | Lessee        | Lessee        | Lessee        | Where there is a charge for parking, the minimum annual parking fee per vehicle is \$100.00. The state reserves the right to review and approve any and all parking fees which exceed this minimum fee.   |

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Connecticut DOT Rail Governance Study  
Table 7f: Lease Matrix - Lease Term

| Station Name                             | Termination  |
|--|--|
| <b>New Haven</b>                         | Section 9.5 requires that, upon expiration or termination of the Agreement for any reason, improvements (including but not limited to signs, lighting, fences, pier protection devices, paved areas and sidewalks) shall not be removed, and shall be the property of the State. Section 9.6 requires that Lessee record the Agreement and any supplements or renewals thereof on the land records; failure to record is sufficient grounds for the State to terminate the Agreement without notice. |
| <b>Milford</b>                           | The State may terminate this Lease upon one year's notice to the Town for reasons of default or if the property is needed for transportation related purposes.   |
| <b>Stratford</b>                         |  |
| <b>Bridgeport *</b>                      | Either party may terminate this Operating Agreement upon 30 days notice to the other party for reasons of default by the other party, if default remains uncured for 60 days. The State reserves the right to terminate the Operating Agreement for any reason, upon at least 365 days notice to the City.   |
| <b>Fairfield, Southport</b>              | The Town of Fairfield may replace the Fairfield Parking Authority as Lessee under this Lease upon 30 days notice to the State. Otherwise, no assignment of this Lease is permitted without the prior written approval of the State and the appropriate Federal Regulatory Agency, if required.   |
| <b>Green's Farm's, Westport</b>          | The State may terminate this Lease upon one year's notice to Lessee for reasons of default or if the property is needed for transportation related purposes.   |
| <b>East Norwalk</b>                      | The State may terminate this Lease upon 90 days' notice to Lessee for reasons of default or if the property is needed for transportation related purposes.   |
| <b>Rowayton</b>                          | The State may terminate this Lease upon one year's notice to the Town for reasons of default or if the property is needed for transportation related purposes.   |
| <b>Darien, Noroton Heights</b>           | The State may terminate this Lease upon one year's notice to the Town for reasons of default or if the property is needed for transportation related purposes.   |
| <b>Old Greenwich, Cos Cob, Riverside</b> | The State may terminate this Lease upon one year's notice to the Town for reasons of default or if the property is needed for transportation related purposes.   |
| <b>Danbury</b>                           | The State may terminate this Lease upon one year's notice to the Town for reasons of default or if the property is needed for transportation related purposes.   |
| <b>Bethel</b>                            | The State may terminate this Lease upon one year's notice to the Town for reasons of default or if the property is needed for transportation related purposes.   |
| <b>Redding</b>                           | The State may terminate this Lease upon one year's notice to the Town for reasons of default or if the property is needed for transportation related purposes.   |
| <b>Branchville</b>                       | The State may terminate this Lease upon one year's notice to the Town for reasons of default or if the property is needed for transportation related purposes.   |
| <b>Cannondale, Wilton</b>                | The State may terminate this Lease upon one year's notice to the Town for reasons of default or if the property is needed for transportation related purposes.   |
| <b>Merritt 7</b>                         | The State may terminate this Lease immediately on written notice to Lessee if: (a) Lessee defaults on rent or any other covenants and agreements contained in the Lease; and/or (b) the premises is not used for purposes authorized by the Lease for a period of at least 1 year; and/or (c) Lessee declares or files a petition in bankruptcy, or is declared bankrupt.  |
| <b>New Canaan, Talmadge Hill</b>         | The State may terminate this Lease upon one year's notice to the Town for reasons of default or if the property is needed for transportation related purposes.   |
| <b>Springdale, Glenbrook</b>             | The State may terminate this Lease upon one year's notice to the City for reasons of default or if the property is needed for transportation related purposes.   |
| <b>Seymour</b>                           | Lessee may terminate this Lease upon ninety (90) days notice. The State may terminate this Lease upon ninety (90) days notice to Lessee if property is needed for transportation related purposes of if there is a violation of any of the Lease terms by Lessee   |
| <b>Derby</b>                             | The State may terminate this Lease upon one year's notice to the Town for reasons of default or if the property is needed for transportation related purposes.   |

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Several areas of neglect were identified as a result of the legal and contractual review. These include the following:

- Inconsistent term lengths among the various agreements, which range from 5 to 50 years.
- Differing requirements regarding the requirement for separate fund accounts, and how surplus revenues are handled.
- How surplus revenues are shared with the State.
- A lack of a required annual budget in all but one lease.
- Unclear and inconsistent definitions of terms and responsibilities.
- Inconsistent financial reporting and monitoring.
- A lack of an operating model.

These concerns will be discussed in greater detail in Chapter 2.

### ***Financial Review***

The financial review was performed to determine the cost of operating the station buildings and parking facilities and the revenues generated for the properties located along the New Haven Line and the New Canaan, Danbury and Waterbury Branches. The Stamford and Bridgeport railroad stations and parking operations were excluded from the Scope of Work by CDOT.

The financial information was gathered to present the following items for each station for the five fiscal years ending June 30, 1996 to 2000:

- source and adequacy of revenue at each station,
- type of expenses at each station,
- accounting systems and procedures, and
- a written financial analysis overview.

The financial information was provided by the various reporting entities who are responsible for maintaining and operating the properties under the governance of a lease agreement with the CDOT. This review did not include an audit or application of auditing procedures to the financial information presented.

A standard reporting format and standard classifications were used for comparative purposes. As a result, certain stations and parking finances show zero amounts for certain standard classifications while other stations show financial activity for the same classification. There are municipally-owned properties used for railroad parking operations, and in some areas privately owned lots, that are not subject to a lease agreement with the State. This fact is noted when applicable.

The detailed classification of revenues and expenses and presentation of statistical measures (square footage, spaces, etc.) are not generally required to be reported by or are they readily compiled by the local governments. The general absence of detailed financial classifications of data has precluded the calculation of financial ratios based on detailed statistical measures. Budgets are not generally required to be prepared for either the annual operations of the station

and parking facilities or for capital reserves, improvements, replacements, etc. by the local governments and thus are not part of the financial information available.

*Outline of Financial Governance*

The financial operations and related governance of the stations and railroad parking properties along the New Haven and Branch lines is categorized in the following outline:

(1) Properties governed by State leases for station and railroad parking.

(a) Leases requiring a reinvestment fund with 50% sharing by the State- Governance over revenues, expenses, capital improvements and surplus.

Milford  
Fairfield and Southport  
Westport and Green's Farms  
East Norwalk  
Rowayton  
Old Greenwich, Riverside and Cos Cob  
Derby - free lot  
Danbury  
Bethel  
Redding  
Branchville - free lot  
Wilton - free lot  
Cannondale - free lot  
New Canaan  
Talmadge Hill

(b) Leases requiring a reinvestment fund with special sharing requirements- Governance over revenues, expenses, capital improvements and surplus.

New Haven

(c) Leases requiring a reinvestment fund with no sharing by the State - Governance over revenues, expenses and capital improvements.

Stratford

(d) Leases requiring the State to share in a percentage of gross fees with expenses managed and absorbed by the lessee - Governance over revenues..

Darien and Noroton Heights  
Springdale and Glenbrook



(e) Leases not requiring a reinvestment fund or sharing by the State – Governance over revenues and expenses.

Seymour – free lot

(2) Properties owned by the local government with licenses from the local government given to the State for governance by the State – Governance over revenues and expenses.

Naugatuck – free lot

(3) Properties governed through ownership by the State and operated by the State – No leases – Governance over revenues, expenses and capital improvements.

Bridgeport – excluded from financial review

Stamford – excluded from financial review

Waterbury – free lot

Beacon Falls – free lot

Ansonia – free lot

(4) Properties owned and operated by the local government and/or private sector – no State lease – No governance by the State.

South Norwalk – City of Norwalk

Greenwich – Greenwich Plaza, Inc. and Town of Greenwich

(5) Leased from the State by a private company to operate – Governance over revenues, expenses and capital improvements.

Merritt 7 – Merritt Seven Stations, Inc. – free lot

Note: The financial governance imposed by State grants and bonding is not addressed herein.

### *Overview of All Stations*

In the full report contained on the website, information for each station is presented in detail. The following sections describe the financial situation of the system as a whole.

Accounting Entity / Basis – The railroad station and parking operations along the New Haven Line’s main line, from New Haven’s Union Station to Grand Central Terminal in New York City, and three branch lines, Waterbury, Danbury and New Canaan, encompass State-owned properties, local government properties and privately owned properties. The State-owned properties are either operated directly by the State or are governed by a State lease agreement that generally covers the operational and financial responsibilities to charge fees, operate, maintain and improve the station and parking facilities. The intent of leased operations is that the station and parking operations are financially sound and self-supporting and have the ability to generate a surplus fund that can be used for station and parking improvements. Federal and state

grants and bonding are also used to finance major capital improvements to the properties. It should also be noted that the State incurs certain direct and indirect operating expenses related to administering the operating leases.

The financial analyses present the operating revenues and expenses only for those properties governed by the State lease agreements. Federal, state and local capital grant expenditures, and direct or indirect expenses incurred by the State are excluded from this presentation. The accounting entities for the properties governed by a state lease are local governmental units. These units include the municipal government itself for most of the stations and parking lots, a parking authority in the case of Fairfield and New Haven and a transit district for the Milford station and parking operations.

The financial accounting for State lease operations is usually recorded in a separate fund of the governmental unit. The parking operations for properties not subject to State leases are not generally accounted for separately but are usually commingled within the general fund operations of the governmental unit, except in the case when the accounting is done by the parking authority.

The basis of accounting depends on whether the separate fund being used is a special revenue fund or an enterprise fund. Special revenue funds utilize the modified accrual basis of accounting which is a mixture of both a cash and accrual basis. This basis uses a concept of measuring transactions based on the flow of current financial resources. For example, revenues and the resulting assets are accrued at the end of a year only if the revenues are earned and the related receivables are expected to be collected in time to pay for related liabilities. Expenditures and related liabilities are accrued when they are expected to be paid out of the revenues earned and accrued. Practically speaking, this is predominantly a cash basis accounting method with accruals generally made for revenues collected and purchases incurred for a 45 day period after the close of the year. Enterprise funds use the accrual basis of accounting. The measurement concept for this method is based on the flow of economic resources. All assets and liabilities and related revenues and expenses both current and long-term are recorded.

Financial Reporting to State – The State leases require, among other things, that the lessor maintain a separate fund and submit a financial report to the State. This requirement does not extend to any other properties that may be used in railroad station and parking operations. Therefore a separate fund and accounting for these other properties is generally not maintained by the lessor. Under these circumstances a complete financial accounting of all station and railroad parking operations is neither available nor presented herein.

There is no uniformity in the chart of accounts used among the reporting entities to categorize transactions or in the summarization of these accounts used to report balance sheet and profit and loss information. Even within the group of rail properties under lease from the State there is a significant variance in the amount of detailed financial information provided.

Amongst this group there are those leases based on a percentage of gross revenues for which the local governments report such revenues but are not required to report the costs associated with the rail properties. Many local governments report operating results as part of their general

purpose financial statements without presenting details of accounts in support of summary totals. While most of the Waterbury and Danbury Branch station leases have financial reporting requirements, the requirements are focused on accumulated surplus accounting, yet all of the Waterbury Branch and most of the Danbury Branch stations provide free parking. Since they have no revenue and thus are unable to accumulate a surplus, they provide no financial reporting to the State, that is not to say that some local expenses direct or indirect are not incurred on behalf of the railroad station and parking operation.

Revenues – Revenues come from several sources, described herein.

- *Parking* - The significant source of revenue is from parking permits which are sold for various terms from one month to a year. Daily parking revenues are another major source of revenues and are collected in a variety of ways, including coin meters, debit card/coin meters, collection envelope, attendant sales and parking space number ticket purchased at a central vending machine. Comparatively the collection systems for the lessors have varying degrees of inherent internal control. The State lease agreements do not require any specific internal control standards or criteria to be followed by the lessors.
- *Rents* - Several stations report income from station space rentals to food vendors, clothes cleaners and others. The New Haven Station in addition to commercial rentals receives rental income from the State, Amtrak, Metro-North Commuter Railroad, and its local operator, New Haven Parking Authority.
- *Other* – Certain properties (Darien, Noroton Heights, Springdale, and Glenbrook) have leases that require a percentage payment to the State that is applied to gross revenues. The financial presentation for these leases has been modified to reflect this type of revenue sharing. Gross revenues were presented then reduced by a deduction for the portion of revenues that is retained by the municipalities, thereby deriving the State's percentage share.

Beginning in 1998 the State provides an annual grant for certain security costs incurred at the New Haven station. This annual grant and a nonrecurring grant in 1998 are reflected in the New Haven finances as other revenues.

Revenues across the leased properties do not consistently include items such as telephone commissions, investment income and parking violations. Each lessor is required to include generally all income related to the rail station and parking operations without any specified revenue categories mentioned in the lease.

Expenses – Expenses can be considered by the following categories:

- *Repairs and maintenance* – Of those stations reporting this cost, many are reporting an allocated or direct cost share of the municipal public works department. Some stations contract with third-parties for all or part of the maintenance effort.

- *Utilities* – This expense consists primarily of electricity costs for lighting at the station and parking lots. There may be water and fuel (gas or fuel oil) costs incurred when the station provides a station building with waiting room, ticket office, or other amenities.
- *Security* – These costs were separately classified by three stations (New Haven, Fairfield and East Norwalk). These segregated costs were for outside security service fees, allocated local police charges or special police coverage. For other properties the cost of periodic police patrols at the station and parking lots is absorbed by the local government for many of the free parking lots. Some municipalities indicated that the police services are provided in-kind, (i.e. the police department is provided a portion of the parking facilities or station at no charge, or the police department retains parking fines in return providing security coverage to the station).
- *Generally classified expenses* – Most often indirect administrative cost or cost which cannot be distinguished because of the summary level of reporting provided to the State is captured in this category of expense. Milford, for example, reports its costs as "personnel", "administration" and "operations" which are all captured under this category. For the City of New Haven this category includes the annual transfer to the State toward bond payments, as well as, "administrative fee" and "other expenses". There is no standard of reporting for this category.
- *Metro-North and the State* – The State also incurs station expenses through its service agreement with the New York Metropolitan Transit Authority / Metro-North Commuter Railroad. These expenses are accounted for by Metro-North and included in the deficit subsidy charge to the State. The expenses generally relate to maintaining the platform at each station and when applicable the ticket sellers' area.
- Ticket seller wages have been excluded from station costs because such costs are deemed to be associated with train service and not station operation. The occupancy costs for the ticket sellers' area of the station such as maintenance and utilities have been included as it was presumed that these costs are fixed and would be incurred even if the space was utilized for some purpose other than ticket sales. Claims costs and recoveries reported by Metro-North as associated with the passenger station were included without further investigation.

The State also incurs expense for its administrative oversight of the operating leases and the physical properties. These expenses were not compiled or presented.

Expense Allocation – Since most rail parking and stations are operated as part of a municipal parking program, and not as strictly separate operations, there is often an allocation of general governmental expenses (common costs) to the railroad parking and station operations. The State leases do not provide specific guidance with regard to allocable expenses. The leases generally provide that there might be "mutually determined charges" applied against revenues. The reporting entities apply various methodologies to allocate common costs but basically use the underlying costing concept of *full absorption*. Generally, the full absorption concept allocates all common costs across all projects proportionately. In contrast there is the *avoidable costing*

concept whereby the incremental common costs that are incurred because of new or revised programs are evaluated and get allocated to the new program. The account classifications and underlying activities that are included in the common cost pool also vary amongst the entities. The leases do not prescribe any specific allocation methodology or listing of allowable common costs.

Profitability / Accumulated Surplus – Where there is a State lease, there is generally a requirement that any operating surplus is to be accumulated and used for capital improvements of the rail parking and station properties. The State may generally withdraw 50% of the accumulated surplus at stipulated dates or periods over the lease term, and use these funds for other rail projects on the New Haven Line.

The State leases that are based solely on a percentage of gross revenues provide no accumulation; however, the local governments are responsible for day-to-day maintenance. Similarly, railroad stations with free parking have no surplus to accumulate and must rely on municipal support for operations and State funding for capital projects.

There are lease operations showing losses and deficits. There are no specific provisions in the lease that require the lessor to absorb and replenish the losses (and deficits – see below).

Special Requirements – Surplus/Reserves/Deficits – There are a few leases that carry special requirements. New Haven has significant special issues, while for others the special lease issues are much more limited, such as with those leases that provide for debt service as a charge against revenues.

All leases provide for the accumulation of surplus to be used for railroad station or New Haven Line but make no stipulations regarding operating deficits. Generally, local governments have treated deficits as a charge against accumulated surplus or future surplus operations.

Capital Projects – Capital projects at the rail stations have generally been undertaken by the State. The most common exception is the local government's acquisition of land for rail parking. Rail station improvements might also be a condition of sublease agreements and thus shift the financing to the vendor/tenant.

#### *Summary Financial Comparison by Station*

The financial statements for each station were analyzed for each year from 1996 to 2000. Table 8: Station Financial Comparison Analysis 1996-2000 details the accumulated surplus (deficit), revenues, expenses and profit (loss) for each station over the period.

## STATIONS COMPARISON ANALYSIS

## FIVE YEAR TOTALS ( YEARS 1996-2000 )

| ACCUMULATED SURPLUS (DEFICIT)<br>AT JUNE 30, 2000 |                   |                               | LOCAL GOVERNMENT     |                |                      |                |                     |                     | METRO-NORTH           | PROFIT (LOSS) |
|---|-------------------|-------------------------------|----------------------|----------------|----------------------|----------------|---------------------|---------------------|-----------------------|---------------|
| Total Local Government                            | State's Share     |                               | REVENUES             |                | EXPENSES             |                | PROFIT (LOSS)       | EXPENSES            | including Metro-North |               |
| Accumulation                                      |                   |                               |                      | %              |                      | %              |                     |                     |                       |               |
| <b>NEW HAVEN LINE *</b>                           |                   |                               |                      |                |                      |                |                     |                     |                       |               |
| NEW HAVEN   | \$2,409,173       | SPECIAL REQUIREMENTS          | \$ 14,905,677        | 51.47%         | \$ 14,421,317        | 54.33%         | \$ 484,360          | \$ 2,733,812        | \$ (2,249,452)        |               |
| MILFORD   | \$61,267          | \$30,634                      | \$ 837,754           | 2.89%          | \$ 809,441           | 3.05%          | \$ 28,313           | \$ 93,489           | \$ (65,176)           |               |
| STRATFORD   | \$608,436         | NO SHARING PER LEASE          | \$ 663,093           | 2.29%          | \$ 395,768           | 1.49%          | \$ 267,325          | \$ 92,431           | \$ 174,894            |               |
| FAIRFIELD & SOUTHPORT                             | (\$515,045)       | NOT APPLICABLE TO DEFICIT     | \$ 4,716,502         | 16.29%         | \$ 4,574,513         | 17.23%         | \$ 141,989          | \$ 267,979          | \$ (125,990)          |               |
| WESTPORT & GREEN'S FARMS                          | \$389,576         | \$194,788                     | \$ 4,184,317         | 14.45%         | \$ 3,702,690         | 13.95%         | \$ 481,627          | \$ 375,072          | \$ 106,555            |               |
| EAST NORWALK                                      | (\$568,122)       | NOT APPLICABLE TO DEFICIT     | \$ 311,561           | 1.08%          | \$ 525,497           | 1.98%          | \$ (213,936)        | \$ 155,469          | \$ (369,405)          |               |
| SOUTH NORWALK                                     | OWNED BY CITY     | NO LEASE                      | \$ -                 | 0.00%          | \$ -                 | 0.00%          | \$ -                | \$ 436,103          | \$ (436,103)          |               |
| ROWAYTON  | \$111,460         | \$55,730                      | \$ 675,257           | 2.33%          | \$ 585,976           | 2.21%          | \$ 89,281           | \$ 244,660          | \$ (155,379)          |               |
| DARIEN & NOROTON HEIGHTS                          | No Fund Required  | % Paid Directly To The State  | \$ 292,779           | 1.01%          | \$ -                 | 0.00%          | \$ 292,779          | \$ 498,640          | \$ (205,861)          |               |
| OLD GREENWICH / RIVERSIDE / COS COB               | \$1,318,325       | \$659,163                     | \$ 1,641,402         | 5.67%          | \$ 926,484           | 3.49%          | \$ 714,918          | \$ 47,841           | \$ 667,077            |               |
| GREENWICH   | PRIVATE OWNERSHIP | NO LEASE                      | \$ -                 | 0.00%          | \$ -                 | 0.00%          | \$ -                | \$ 887,441          | \$ (887,441)          |               |
| <b>NEW HAVEN LINE TOTALS</b>                      |                   |                               | <b>\$ 28,228,342</b> | <b>97.48%</b>  | <b>\$ 25,941,686</b> | <b>97.73%</b>  | <b>\$ 2,286,656</b> | <b>\$ 5,832,937</b> | <b>\$ (3,546,281)</b> |               |
| <b>* Excludes Bridgeport and Stamford</b>         |                   |                               |                      |                |                      |                |                     |                     |                       |               |
| <b>NEW CANAAN BRANCH</b>                          |                   |                               |                      |                |                      |                |                     |                     |                       |               |
| GLENBROOK & SPRINGDALE                            | \$0               | % Paid Directly To The State  | \$ 29,483            | 0.10%          | \$ -                 | 0.00%          | \$ 29,483           | \$ 117,851          | \$ (88,368)           |               |
| NEW CANAAN & TALMADGE HILL                        | \$141,749         | \$70,875                      | \$ 419,612           | 1.45%          | \$ 381,867           | 1.44%          | \$ 37,745           | \$ 145,592          | \$ (107,847)          |               |
| <b>NEW CANAAN LINE TOTALS</b>                     |                   |                               | <b>\$ 449,095</b>    | <b>1.55%</b>   | <b>\$ 381,867</b>    | <b>1.44%</b>   | <b>\$ 67,228</b>    | <b>\$ 263,443</b>   | <b>\$ (196,215)</b>   |               |
| <b>DANBURY BRANCH</b>                             |                   |                               |                      |                |                      |                |                     |                     |                       |               |
| MERRITT 7   | Free Lots         | No Reinvestment Fund Required | \$ -                 | 0.00%          | \$ -                 | 0.00%          | \$ -                | \$ 456              | \$ (456)              |               |
| WILTON  | Free Lots         | No Surplus                    | \$ -                 | 0.00%          | \$ -                 | 0.00%          | \$ -                | \$ 169,677          | \$ (169,677)          |               |
| CANNONDALE  | Free Lots         | No Surplus                    | \$ -                 | 0.00%          | \$ -                 | 0.00%          | \$ -                | \$ 180,302          | \$ (180,302)          |               |
| BRANCHVILLE                                       | Free Lots         | No Surplus                    | \$ -                 | 0.00%          | \$ -                 | 0.00%          | \$ -                | \$ 15,185           | \$ (15,185)           |               |
| REDDING   | \$5,077           | \$2,539                       | \$ 15,760            | 0.05%          | \$ 10,683            | 0.04%          | \$ 5,077            | \$ 38,876           | \$ (33,799)           |               |
| BETHEL  | \$41,636          | \$20,818                      | \$ 214,808           | 0.74%          | \$ 173,172           | 0.65%          | \$ 41,636           | \$ 11,686           | \$ 29,950             |               |
| DANBURY   | \$12,436          | \$6,218                       | \$ 50,161            | 0.17%          | \$ 37,725            | 0.14%          | \$ 12,436           | \$ 366,746          | \$ (354,310)          |               |
| <b>DANBURY LINE TOTALS</b>                        |                   |                               | <b>\$ 280,729</b>    | <b>0.97%</b>   | <b>\$ 221,580</b>    | <b>0.83%</b>   | <b>\$ 59,149</b>    | <b>\$ 782,927</b>   | <b>\$ (723,778)</b>   |               |
| <b>WATERBURY BRANCH</b>                           |                   |                               |                      |                |                      |                |                     |                     |                       |               |
| DERBY   | Free Lots         | No Surplus                    | \$ -                 | 0.00%          | \$ -                 | 0.00%          | \$ -                | \$ 31,774           | \$ (31,774)           |               |
| ANSONIA   | N/A               | No Lease                      | \$ -                 | 0.00%          | \$ -                 | 0.00%          | \$ -                | \$ 28,534           | \$ (28,534)           |               |
| SEYMOUR   | Free Lots         | No Reinvestment Fund Required | \$ -                 | 0.00%          | \$ -                 | 0.00%          | \$ -                | \$ 12,344           | \$ (12,344)           |               |
| BEACON FALLS                                      | N/A               | No Lease                      | \$ -                 | 0.00%          | \$ -                 | 0.00%          | \$ -                | \$ 11,808           | \$ (11,808)           |               |
| NAUGATUCK   | Free Lots         | Lease from Borough to State   | \$ -                 | 0.00%          | \$ -                 | 0.00%          | \$ -                | \$ 30,899           | \$ (30,899)           |               |
| WATERBURY   | N/A               | No Lease                      | \$ -                 | 0.00%          | \$ -                 | 0.00%          | \$ -                | \$ 108,056          | \$ (108,056)          |               |
| <b>WATERBURY LINE TOTALS</b>                      |                   |                               | <b>\$ -</b>          | <b>0.00%</b>   | <b>\$ -</b>          | <b>0.00%</b>   | <b>\$ -</b>         | <b>\$ 223,415</b>   | <b>\$ (223,415)</b>   |               |
| <b>TOTAL - ALL LINES</b>                          |                   |                               | <b>\$ 28,958,166</b> | <b>100.00%</b> | <b>\$ 26,545,133</b> | <b>100.00%</b> | <b>\$ 2,413,033</b> | <b>\$ 7,102,721</b> | <b>\$ (4,689,688)</b> |               |

## ***Operations Review***

This section summarizes material found in the *Station Operating Analysis* report, provided at the website [www.ctrailgovernance.com](http://www.ctrailgovernance.com).

Organizational structure is a necessary aspect of the governance of operations and maintenance of the train stations and parking lots and garages. As illustrated throughout the work in Phase I, the organization of responsibilities and authority not only varies from town to town, but also among multiple stations controlled by one municipality. Therefore, a specific analysis of each station and its municipality was necessary to have a comprehensive understanding of the governance patterns throughout the New Haven Line and branches. This process was initiated through interviews and surveys of municipal employees involved with the operations and maintenance of a station. The station-by-station results are presented in the task report. In many cases, as noted throughout the descriptions, other governing entities also take part in the station operations. They include, but are not limited to: parking authorities, private developers, local taxing districts, local transit authorities, volunteer groups, and so on. Also, in most cases, even where a station and commuter parking lot are operated entirely by a local governing body, there are many different departments that are responsible for any given task, such as security, maintenance, enforcement, or revenue collection.

For this portion of the study, each station and commuter lot/parking garage along the New Haven Line and branches was reviewed and inventoried, respectively. This was necessary prior to the analysis of the governance in order to have an understanding of the station, its components, and the layout of the facilities. For example, an unofficial condition review was necessary to keep in mind during the interviews in order to assess whether the provisions of the lease were actually followed on a day-to-day basis.

Before interviewing governing officials and staff, the lease agreements between CDOT and the municipalities of the stations were reviewed. In many cases, agreements also exist with private companies for various contracted responsibilities. These agreements were reviewed when provided, although the majority of the actual contracts were not available. In addition to service agreements, some stations have tenants that pay rent. As with the private contracts, in most cases these leases were not available for specific analysis.

The governance agreements lack uniformity throughout CDOT's New Haven Line and its branches. Station leases between CDOT and the local communities are prevalent in most of the municipalities along the New Haven Main Line and the Danbury and New Canaan branches, with the leases covering the station buildings, platforms, and/or the parking areas that are owned by CDOT. Other commuter parking lots at these stations are either owned by the town or leased from private organizations. The operations and maintenance of the commuter parking lots vary not only among towns, but also in many cases among stations within the same town. CDOT operates, through a private contractor, the Stamford and Bridgeport Stations. The Waterbury Branch stations are governed differently than stations on other branches and the main line. With Derby-Shelton Station (located in the Town of Derby) as an exception, the municipalities along the Waterbury Branch have minimal responsibilities regarding the operations and maintenance of stations and respective parking.

The governing and operating procedures were discussed with local officials. The station leases were reviewed and compared to current operating practices at each of the stations. With this information, determinations were made as to whether or not the towns met the provisions of their respective leases with CDOT in terms of operations. From an operating standpoint, in most cases the provisions of the leases are, in fact, followed. However, in many cases, Town representatives were uncertain about the lease provisions, although they appeared to be followed.

None of the stations or respective municipality/governing authorities had a published organization chart of responsibilities for the stations and lots. In fact, the City of Stamford was the only entity that could provide a general organization chart, although not specific to the stations. Therefore, organization charts were developed for each station based on the interviews with governing entity officials. In many cases, follow-up calls were necessary to determine accuracy.

None of the stations had a published operating procedures document identifying the entities responsible for operating tasks. Therefore, the interviews became the source of information about operating procedures as well. A description is provided, and each station has a simple chart to allow for general comparisons among the stations, covering the responsible party for the following operating procedures: Opening and Closing of Station, Housekeeping Inside of the Station, Housekeeping Outside of the Station, Daily Maintenance, Preventative Maintenance, Landscaping, Security, Customer Service, Tenant Performance, Parking Enforcement, Parking Fees and Permits, and Parking Operation Maintenance.

The Metropolitan Transit Authority (MTA) provides security for all of the stations. Many of the town representatives are unaware of this fact. The ambiguity of the New Haven Line security is based in part on the fact that it was policed, up until 2002, by Metro-North police which is now MTA police. Many of the stations have supplemental security provided by the Town or a private contract.



## CHAPTER 2: EVALUATION OF CURRENT GOVERNANCE METHODS

Several topics requiring further analysis can be identified from each task summarized in the previous section. In addition to being discussed here in detail separately, these topics will also be discussed with reference to the current governance methods. These discussions will result in an evaluation of the current governance methods, which was originally referred to as Task 5.

All of the topics are discussed in the following sections.

### **Lease Inconsistencies and Enforcement**

Despite wide variance in the perception of station and parking governance that has been identified, one overriding concern appears to be the lack of consistency between leases from station to station. When CDOT originally assumed responsibility for managing the rail stations and parking for the New Haven Line in the 1980s (due to the breakup of Conrail), it needed to do so quickly without additional funds or staff. In order to accomplish this, the towns were asked to manage the stations located within their municipal boundaries. The original intent was to develop a vested interest in each town and to have each town be self-supporting in terms of the rail stations and parking. The result was wide variance in lease terms, responsibilities, accounting systems, and governance methodology.

### ***Awareness and Understanding***

Ambiguity or lack of familiarity and a clear understanding of the lease provisions have been deficiencies that were identified throughout this governance analysis. Many town representatives were not aware of the lease terms and responsibilities of the town or CDOT. Most towns maintained the stations and parking lots in a “common sense” manner, and not necessarily based on the responsibilities described in the lease. Leases with CDOT may have been signed many years ago, or under different administrators. Regular updates to reinforce the terms or the agreements were not forthcoming from CDOT or town officials.

### ***Responsibility***

Responsibility for station operations was stipulated in the leases in a variety of manners and the interpretation of the responsibilities also varied widely. The customers in the customer survey were very unsure about who had responsibility for which station tasks. Such uncertainty adds to the inconsistency in governance practices. None of the station contacts throughout the New Haven Line had an organization chart available to explain responsibilities or responsible parties. In fact, the City of Stamford (Glenbrook and Springdale Stations) was the only governing body that was able to produce a general organization chart, but it was not specific to the governance of the stations and parking lots. An organization chart with responsibilities clearly assigned, a procedures manual for everyday and emergency occurrences, and contact personnel can greatly improve facility operations and maintenance.

### ***Lease Terms and Cancellation Clauses***

Lease terms for the station properties are inconsistent throughout the system, ranging from 5 years to 50 years. The most common lease term is 10 years, used by 15 of the 20 municipalities. Termination clauses also vary widely by station. Thirteen of the 20 municipalities have leases that allow CDOT to terminate the lease with one year's notice if there is default or if the site is needed for other transportation related purposes. One lease allows for termination by either party with 30 days notice, two others permit termination with 90 days notice, and the other leases have even more detailed cancellation stipulations. Lease terms that are consistent for all stations (perhaps different for branch versus main line), and standard cancellation clauses, with terms that are shorter and more flexible, would benefit organized management.

### ***Contracted Services and Tenants***

Information on contracted services is sparse in the leases. Table 8 on a later page describes the type of information that needs to be provided for contracted services. For example, if snow removal is performed by a contractor, the contracting company and contact information should be provided to CDOT. Copies of any legal agreements should be provided, noting the specific tasks the company is responsible for and how the tasks are to be performed (e.g., schedule, relationship to other station activities, coordination with other operations).

The situation is similar with regard to tenants. In some towns, agreements with tenants are little more than a handshake; in others, there are formal contracts and rents. There is very little uniformity on any issue regarding tenants. While the varying nature of the stations and ridership do not lend themselves to all tenants paying rent, there should be no circumstances in which a tenant has space for some operation in a CDOT station without a written agreement in place. At a minimum, the agreement could clearly indicate responsibilities, reporting relationships, liability, the length of term of the agreement, any financial conditions, and performance standards. Whenever there is a tenant in a station, information about the tenant and tenant contacts should be available to the town and to CDOT.

### ***Financial Reporting***

The financial information reported by lessees to CDOT is presented in public interest format. The majority of these financial reports do not provide sufficient financial and non-financial information about how the lessees have discharged their stewardship responsibility to CDOT. CDOT should know more about its lease operations and affairs than what is presented in the public interest or basic form of report. A financial report is not necessarily an end in itself but can be designed to provide information that can be useful in making business and economic decisions directed either to the public interest of many users as would be the format for the general purpose financial statements of a municipality, or designed and focused for the understanding of and relevance to the decision makers, such as a specially designed report that would address the needs of CDOT. CDOT can therefore increase the usefulness of the financial information it receives from its lessees by identifying elements that should be reported and are relevant to the State's governance of the railroad property leases.

Another matter is the inconsistency of how the reported finances were measured (being either on a modified accrual basis, full accrual basis or simply a cash basis) and the periods of measurement. Inconsistent measurement basis or periods amongst lessee properties could distort comparative financial analysis and affect business decision making.

Financial information can also be supplemented and corroborated by underlying non-financial measurements such as square footage, number of parking spaces and other relevant measurements that could be useful in business and economic decision making. These measurements are not required by the terms of the lease agreements or readily available from the lessees.

The following is a list of beneficial financial reporting elements that currently are not prescribed in the lease agreements:

- *Uniform Chart of Accounts* – A detailed listing of the relevant functional categories and object type account classifications, required to be used by the lessee. For example, accounts listing individual assets, liabilities, fund balances, revenues, expenses, and further detail such as for repairs and maintenance with further distinction between the various functions for station building, surface parking and garage parking and, as a further example, accounts that individually identify the activities of the general and administrative function.
- *Basis of Accounting and Reporting Period* – A prescribed accounting basis and reporting period suitable to CDOT for its governance, such as making budget and financing decisions. This could be a modified accrual basis, full accrual basis, or a cash basis of accounting and should be applied on a consistent basis to all leases.
- *A Complete Report on Station and Parking Operations* – The report would present both municipally-owned and state-owned railroad parking. Although municipally-owned and operated railroad parking property does not come under the CDOT lease, information pertaining to the revenues, expenses, and profits of such property can be useful to CDOT in making business and economic decisions.
- *Reporting Non-Financial Information* – Non-financial information can be useful to evaluate individual properties from the viewpoint of common measurement elements that depict the business activity, size and unit costs of an operation (e.g. square footage, parking space count, advertising space, costs per unit of measurement, etc.). It can be used for comparison purposes and in making business and economic decisions.
- *Capital Expenditures Reporting* – Capital outlay, including the funding source, related to both municipally-owned and state-owned railroad use properties can be an economic measure of the historical level of effort and useful for planning or monitoring improvements and expansion. Presently this information is not readily compiled or reported for each station.

- *Budget Reporting* – Capital and Operating budgets or forecasts can help with the decision making for the short-term and long-term capital and operating needs of the railroad property.
- *Commingling* – State parking lots are not always accounted for separately from the municipal parking lots. The lease should clarify and address commingling issues to require accounting methods and systems that financially separate properties.
- *Certification* – A signed certification of the financial information from the lessee may fix reporting responsibility; provide evidence that a quality assurance check was performed by the lessee thereby giving CDOT a declaration of reliance as to the accuracy and completeness of the information being reported. There are situations where information was not properly reported or submitted on a timely basis.
- *Standard Reporting Form* – A standard reporting system can be achieved by developing and using a prescribed reporting form that is prepared by the lessee and which incorporates for example, a uniform chart of accounts, basis of accounting, including non-financial information and reporting both state and municipally operated railroad commuter parking operations, comparing budget to actual results, and submitted by a specified due date accompanied by a lessee certification.

## ***Financing***

There are certain aspects of the accounting and reporting on the leased property operations that allow the lessee discretion in determining the measurement of the financial impact on the revenues and expenses for CDOT properties. The lease does not prescribe criteria for determining these measurements:

- *Expense (Overhead) Allocation Formula* – Since most all rail parking and stations are operated as part of a municipal parking program, and not as strictly separate operations, there is often an allocation of general governmental expenses (common costs) to the railroad parking and station operations. CDOT leases do not provide specific guidance with regard to allocable expenses. The leases generally provide that there might be “mutually determined charges” applied against revenues. The reporting entities apply various methodologies to allocate common costs but basically use the underlying costing concept of full absorption. Generally, the full absorption concept allocates all common costs across all projects proportionally. In contrast there is the avoidable costing concept whereby the incremental common costs that are incurred because of new or revised programs are evaluated and get allocated to the new program. The account classifications and underlying activities that are included in the common cost pool also vary amongst the entities. The leases do not prescribe any specific allocation

methodology or listing of allowable common costs or perhaps a fixed charge or rate.

- *Losses* – The leases do not address or fix the responsibility for operating losses or relate this matter to the posted parking rates being charged.
- *Platform/Metro-North* – The leases do not address the additional expenses of maintaining the platforms and certain other station costs incurred by CDOT through services provided by Metro-North.
- *Required Revenue Generation* – The leases do not specifically address the definition of related revenues that must be included in CDOT’s surplus such as telephone commissions, parking violations, investment income or other.
- *Unallowable Expenses* – The leases do not list unallowable charges that CDOT may deem unrelated to rail station and parking operations or may not be in accordance with laws and regulations.

### ***Financial Controls***

- *Internal Controls* – The lease agreements do not address or prescribe minimum internal control standards. In many cases daily parking is a cash operation and in other cases the collection of parking fees is performed by a limited number of personnel resulting in the lack of segregation of duties. Having a requirement that would institute minimum internal control standards could mitigate the risks associated with misappropriation of assets, fraudulent financial reporting, or error.
- *Collection System and Procedures* – There are various methods and systems being used amongst the railroad parking properties to collect and account for parking revenues. The leases do not prescribe any minimum standards of acceptance.
- *Organization* – We generally noted that finances were managed in a variety of ways and mostly indirectly, for example as part of the operations of existing municipal departments. As the result of this observation we further noted that generally, an organization chart specific to station and parking operations was not necessarily in place or required as a protocol to be eligible to operate the CDOT railroad property. An organization chart indirectly contributes to assuring that financial and more directly operational controls are in place and working.

### **Quality and Identification Standards**

Throughout the system there is a lack of comparable requirements and quality standards for all of the lessees. Service quality, maintenance, and identification standards do not exist on the New Haven Line or its branches. Signs to the stations and signs at the stations are not standard; nor are the cleanliness and upkeep procedures/requirements. There are no standards for the condition

of the parking lots, lights, or security measures. Maintenance service quality is administered by the municipality with minimum performance standards. The parking supply and pricing as well as how the fees are collected also lack standardization. Who is allowed to park in municipally-owned parking lots is also a decision made independently by each municipality. All of these features that lack standardization result in widely variable service and aesthetic quality of the stations. Overall, it could be said that few stations are “state-of-the-art” in terms of parking operations and revenue control. Some are using very outdated and insecure equipment. None have standard operating procedures for the collection and control of cash and/or permits. Thus, there is a lack of accountability for the major source of revenue at most of the stations.

## **Operations**

None of the agreements requires the towns or other lessees/operators to operate the stations and parking as cost centers, accounting for all of the revenue and operating expenses attributed to each station. Therefore, real operating costs are unknown, comparisons cannot be made from year to year or between stations, and CDOT cannot know whether these operations are breaking even, losing money, or generating revenue in excess of costs. Many of the towns account for their operations on an “overhead” basis, not keeping track of staff hours or certain expenses at the stations (e.g., snowplowing, paving, etc.). Similarly, as the financial chapter indicated, it is not clear how all funds generated at the stations are being spent.

Documentation of expenses and revenues specific to the operations of the stations and parking facilities is necessary. Although this aspect is reviewed in more specific detail in other tasks of this report, it needs to be mentioned with governance since without changes in the agreements the requirements for documentation will not be applied.

No standard operational model exists for the system. Operational decisions are made on a station-by-station basis. Parking and maintenance are operated without standards, as was mentioned in the previous section. Cleanliness and upkeep procedures are dependent upon the policies of each station manager. Structural versus routine maintenance is not defined well in the leases and it is unclear to most municipalities what maintenance routines are their responsibility and which ones belong to CDOT. Also, there are no stipulations on employing an adequate amount of staff or providing security. The lack of an operational model also gets back to the need for an organization chart and list of responsibilities to help standardize the perception of the system from end to end.

## **Accountability**

Accountability is necessary for efficient management and for CDOT to have an understanding of how funds are being utilized. Annual forms that request the operating procedures of the station, reporting chain of command and appropriate management contacts are essential. A checklist with names and/or departments and companies and contact information should be provided. Reporting procedures should also be noted. Table 9 gives an example of the types of information necessary for governance accountability:

**Table 9: Example Accountability Chart for each Station**

| <i>PROCEDURE / INFORMATION</i>      | <i>Responsible Individual Or Organization</i> | <i>Telephone and E-mail</i> | <i>Reports to Whom?</i> |
|-------------------------------------|---|-----------------------------|-------------------------|
| Primary Contact                     |   |                             |                         |
| Opening and Closing of Station      |   |                             |                         |
| Housekeeping Inside Station         |   |                             |                         |
| Housekeeping Outside Station        |   |                             |                         |
| Daily Maintenance                   |   |                             |                         |
| Preventative Maintenance            |   |                             |                         |
| Landscaping                         |   |                             |                         |
| Security                            |   |                             |                         |
| Customer Service                    |   |                             |                         |
| List all Tenants:<br>1.<br>2.<br>3. |   |                             |                         |
| Parking Enforcement                 |   |                             |                         |
| Parking Permit Issuance             |   |                             |                         |
| Parking Fee Collection              |   |                             |                         |
| Parking Maintenance                 |   |                             |                         |
| Financial Information               |   |                             |                         |

Accountability allows for more efficient management of the parking, maintenance, and service management of the stations.

## **Management**

As with operations, the New Haven Line and branch line stations have no standard management program. Management decisions are made by the stations in some cases alone and in some cases with the input of CDOT. Three main issues result from the lack of a management program. The issues are: long-term inter-modal planning, absence of a rail infrastructure office, and lack of centrality. Each of these issues will be discussed separately in this section. Before getting into those issues, one major problem identified in the operational and management review was the lack of an organization chart.

Because no organization charts exist, CDOT has no list of contacts for monitoring performance or operations, or more particularly in case of any emergencies or need to communicate. Definitions of management expectations, schedules for performance of duties, requirements for leases with tenants, and managing the stations and parking as discrete cost centers are among the important issues inadequately addressed in the agreements. Improved governance, reporting, financial performance, customer service, and support of the railroad at each of the stations are all dependent upon improved agreements to manage and operate the stations and parking.

### ***Planning Coordination***

The rail system is one part of a multi-modal program of services along the New Haven Line and should be considered an integral part of the overall strategic planning effort for the corridor. It appears that the ability of those who manage and direct the rail program to influence these strategic efforts is limited, largely due to the number of players involved at the local, regional and state levels. With so many players involved in operating and maintaining the system, it is difficult to provide the level of coordination needed to effectively influence long term transportation policy.

### ***Lack of Uniformity***

All of the items described above relate to the New Haven Line and branches having no standards of any type, with every station operated and managed in a different manner, and no comparative financial statements available. The structure does not permit CDOT to manage most of its own railroad and costs. The lack of uniformity does promote town pride in some of the municipalities where stations are located, but does not allow for identification with the whole. For the customer survey, a majority of respondents did not think that CDOT was responsible for any of questioned tasks.

There is also a great lack of uniformity with regard to the main line versus branch line stations. Branches and main line stations are handled separately and have even fewer similarities in leases than the stations solely located along the main line. Parking costs vary greatly from the main line to the branch line, as one example. CDOT attention given to branch line stations is also thought to be less than for main line stations.

### **Towns' Interest in Retaining Responsibility**

Variation also exists as to whether municipalities would be willing to discontinue their leases in favor of centralized performance-based management. Some of the municipalities are proud of the stations they run and would be slow to consider such an arrangement. Other municipalities see the stations as burdens and would likely consider relinquishing their responsibilities. Even though the two stations currently under CDOT management have been praised for improved quality of service, maintenance, and efficiency, some municipalities still believe that they can better manage the stations within their boundaries.

For the municipalities who would like to retain responsibility of managing the stations, there are three reasons that make them believe they are a better entity to be governing the station's activities. First, the municipalities believe that they have the residents' best interest in mind. Second, they believe that CDOT's responsiveness is not adequate in terms of time and the amount of attention required. Finally, these municipalities believe they have a support structure in place such that problems could be mitigated more efficiently. Municipalities would also like to retain control in order to determine parking fees and who has permission to park in their municipal lots. Parking revenues also benefit the municipalities.



### CHAPTER 3: DIRECTIONS FOR CHANGE/NEXT STEPS

By combining all of the information from the individual task reports on the existing conditions at the stations, suggestions for future governance methodologies can be made.

#### Directions for Change

The following is a list of items that will need to be addressed in the development of a future governance policy:

- In order to gain consistency between the agreements, *responsibilities* need to be defined in the same manner across all leases and need to be defined in much greater detail..
- For the purpose of organized management, *lease terms* should be consistent for all stations (perhaps different for branch versus main line).
- The *financial information* CDOT receives from its lessees has to be consistent, and has to have management value, i.e. should be relevant to the governance of the railroad properties. Documentation of expenses and revenues specific to the operations of the stations and parking facilities is necessary. The following is a list of beneficial financial reporting elements that currently are not prescribed in the lease agreements:
  - Uniform chart of accounts
  - Basis of accounting and reporting period
  - Complete record on station and parking operations
  - Reporting non-financial information
  - Capital expenditures reporting
  - Budget reporting
  - Commingling
  - Certification
  - Standard reporting form

Furthermore, the leases need to prescribe criteria for determining these measurements:

- Expense (overhead) allocation formula
  - Losses
  - Platform/Metro-North
  - Required revenue generation
  - Unallowable expenses
- The station program needs consistent customer service and maintenance *quality standards*.
  - Develop a standard *operating model and procedures* for the station and parking program.
  - Develop a standard *management program* for the system.
  - Address the municipal interests to ensure that *local needs and concerns* are met.

## **Next Steps**

Using the above list along with the more detailed findings contained in the task reports, Phase II will explore the range of options available for developing an improved rail governance methodology. In addition to considering the concerns raised from the review of the CDOT program, the team will conduct a national review of rail properties to determine how other programs are governed, and to what extent some of the policies and practices used across the country are applicable to the New Haven Line.

Using all of these data, the consultant will develop a limited set of alternative methods of governance, suited to Connecticut's station and parking program, which contain activities to strengthen station and parking operations and governance. Generally speaking, the strategies could include any or all of the following: actions related to the consistency of contracts across all municipalities, operating standards and guidelines, improved agreements with third-parties, consistent management standards, improved revenue or access control, or improved performance-based management programs.

The study will culminate with the development of two or three alternative governance policies, which will be circulated for review and discussion to the stakeholders in this process at the municipal, regional, and state level.

Traffic and Transportation  
Bridge and Civil Engineering  
Architecture  
Parking Services  
Construction Inspection  
Environmental Services  
Transit Services  
Structural Engineering

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## URBITRAN REPORT

71 West 23rd Street  
New York, New York 10010  
212.366.6200  
Fax 212.366.6214

12 West 27th Street, 12th Floor  
New York, NY 10001  
212.366.6200  
Fax 646.424.0835

**New Jersey**  
2 Ethel Road - Suite 205B  
Edison, New Jersey 08817  
732.248.5422  
Fax 732.248.5424

150 River Road, Building E  
Montville, NJ 07045  
973.299.2910  
Fax 973.299.0347

**Connecticut**  
50 Union Avenue  
Union Station, Third Floor East  
New Haven, CT 06519  
203.789.9977  
Fax 203.789.8809

**California**  
1440 Broadway, Suite 500  
Oakland, CA 94612  
510.839.0810  
Fax 510.839.0854

**Massachusetts**  
275 Southamptn Road  
Holyoke, MA 01040  
413.539.9005

**Albany**  
6 Meadowlark Drive  
Cohoes, NY 12047  
P.O.Box 524  
518.235.8429