



**Metropolitan Transportation Authority**

# **Diversity Committee Meeting**

## **December 2019**

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### **Committee Members**

R. Herman, Chair  
S. Metzger, Vice Chair  
L. Lacewell  
H. Mihaltzes  
N. Zuckerman

# **Diversity Committee Meeting**

**2 Broadway - 20th Floor Board Room New York, NY 10004**

**Wednesday, 12/18/2019**

**9:00 - 10:00 AM ET**

## **1. PUBLIC COMMENT PERIOD**

## **2. APPROVAL OF MINUTES**

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## **4. 2020 DIVERSITY COMMITTEE WORK PLAN**

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## **6. BUSINESS AND DIVERSITY INITIATIVES**

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## **8. THIRD QUARTER 2019 EEO ACTIVITIES**

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## **9. SMALL BUSINESS DEVELOPMENT PROGRAM UPDATE**

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## **10. M/W/DBE AND SDVOB CONTRACT COMPLIANCE**

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## **11. M/W/DBE AND SDVOB CAPITAL PROJECTS**

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## **13. ASSET FUND MANAGERS**

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## MTA DIVERSITY COMMITTEE

Meeting Minutes

2 Broadway, 20<sup>th</sup> Floor

New York, NY 10004

Monday, June 24, 2019

3:30 p.m.

Committee members present:

Rhonda Herman, Chair  
Susan Metzger, Vice Chair  
Haeda Mihaltses

The following Committee member was absent:

Neil Zuckerman

The following were also present:

Veronique “Ronnie” Hakim, MTA Managing Director  
Helene Fromm, MTA Chief of Staff  
Owen Monaghan, Chief of Police, MTA Police (“MTAPD”)  
Alison MacGregor, Deputy General Counsel, MTA Legal  
Michael Garner, MTA Chief Diversity Officer, MTA Department of Diversity and Civil Rights (“DDCR”)  
George Cleary, Deputy Chief Diversity Officer, Small Business Development Program (“SBDP”), DDCR  
Dr. Rosalyn Green, Acting Deputy Chief Diversity Officer, EEO and Title VI, DDCR  
Ray Burke, Acting Deputy Chief Diversity Officer, Contract Compliance, DDCR  
L. Danny Camacho, Assistant Deputy Chief Diversity Officer, Certification, DDCR  
Zenaida Rodriguez, Assistant Director, Business and Diversity Initiatives, DDCR  
Maria Amper, Assistant Deputy Chief Diversity Officer, Operations and Technological Support, DDCR  
George Llanos, Manager, Business and Diversity Initiatives, DDCR  
Patricia Lodge, Vice President, Human Resources (“HR”), NYCT  
Joel Andrews, Chief Officer, Office of Equal Employment Opportunity (“EEO”), NYCT  
Michael Collins, Assistant Vice President, NYC Transit  
Vernessa Moses, AVP, EEO and Title VI Compliance, NYCT  
Antonia Brown, Director, Recruitment and Internship, NYCT  
Michael Fyffe, Director, Diversity Management, MTA Long Island Rail Road (“LIRR”)  
Shawn Moore, Vice President and Chief of Staff, Bridges and Tunnels (B&T)

Paige Graves, General Counsel, MTA Bus Company (“MTA Bus”)  
Gwendolyn Harleston, Chief EEO Officer, MTA Bus  
Jennifer Buchanan Director, Recruitment and Internship, MTA Bus  
Patrick Isom, Manager, Financial Analysis, MTA Headquarters (“MTAHQ”)  
Christine Norman, Director Supplier Diversity, MTAHQ  
Mayra Bell, Director, Diversity and EEO, Metro North Railroad (“MNR”)  
Anthony Gardner, Acting Senior Director, MNR  
Yvonne Hill-Donald, HR Business Manager, MNR  
Ouida Gaillard, Human Resources Business Partner, Talent Acquisition, MNR  
Sheree Owens, Manager, MWBE Procurement, MNR  
Rohan Jones, Specialist, MWBE Procurement, MNR  
David Cannon, Vice President and Chief Procurement Officer, Capital Construction (“CC”)  
Melissa Jones, Assistant Director, Contract Diversity Compliance and Reporting, CC

Chair Herman introduced herself as the new chair and mentioned that it is her first Diversity Committee meeting. She also introduced Haeda Mihaltses as the new committee member.

### **Public Speakers**

There were no public speakers.

### **Approval of Minutes**

Upon a motion duly made and seconded, the Committee approved minutes of the meeting held on February 25, 2019.

### **2019 Diversity Committee Work Plan**

Chair Herman asked if there were any changes to the Work Plan. Mr. Garner stated that there was one change to the work plan. The meeting that was originally scheduled for May was moved to June.

Upon a motion duly made and seconded, the Committee approved the changes made in the 2019 Diversity Committee Work Plan.

### **Executive Summary**

#### **Business and Diversity Initiatives**

Ms. Rodriguez reported that DDCR hosted and participated in several industry-focused MWBE outreach events during the first quarter of 2019. She mentioned the MNR Skanska ECCO event, highlighting the Croton Harmon Phase II project that is currently valued at \$365 million and the 3<sup>rd</sup> Track Long Island Railroad project that is currently valued at \$1.6 billion and will evolve into a \$2.2 billion project. Each of these projects have a 30% MWBE and SDVOB goal attached. She stated that agency-wide staff will participate at the upcoming 2019 MWBE forum hosted by Governor Cuomo scheduled for later this year. She added that as a result of the outreach efforts, \$124 million in contracts were awarded to MWDBE and SDVOB certified firms.

## **Certification Activity Report**

Mr. Camacho reported the DBE certification activities for the first quarter of 2019. He stated that 18 firms were certified in the first quarter, which is an increase from the same period in 2018. He also mentioned that DDCR will continue to host outreach events to attract more DBE firms.

Mr. Garner stated that June is Pride Month and mentioned that MTA is fully engaged in various activities including the Pride MetroCard's, Pride merchandise, and the Pride train. He also mentioned that MTA is having an upcoming event in conjunction with New York City Transit.

## **Entry Level Police Officer Recruitment Process**

Chief Officer Monaghan discussed the MTAPD hiring process in response to a question that came out of the February Diversity meeting. MTAPD has a total of 783 sworn members in the ranks of police officer through chief and that hiring to address vacancies is a collaborative process between the MTA Police, Human Resources, and Legal department. He discussed in detail all the steps of the recruitment process, including an initial advertising recruitment campaign in career fairs, neighborhood events, and military installations. The position is also posted on the MTAPD website and placed in various media outlets. A written exam is conducted and those who passed will take a physical fitness test, selected randomly without any regard to protected characteristics. It is based on a randomized list of candidates for each physical fitness test generated by a PeopleSoft computer application that uses MTA and IT established algorithms. A panel composed of the MTAPD Applicant Investigation unit and a human resources representative conducts the interview followed by a background investigation. The selected applicant is then given a conditional offer until post-conditional tests such as polygraph testing, psychological evaluation, medical exam and background evaluation follow-up are completed. The final offer is made and the candidate is scheduled for being sworn-in and beginning the MTA Police Academy. This information is provided in the Committee book and contained in the videotape of this meeting.

## **Methodology in Determining Estimated Availability Analysis**

Ms. MacGregor presented the methodology of MTA's estimated availability analysis and how utilization is calculated. MTA is required to complete a utilization analysis that identifies job categories that have an underutilization or concentration of minorities or women in relation to their availability in the labor market. She explained that underutilization is a situation where there are fewer females or minorities than expected, based on a two factor analysis. First, internal availability is identifying current employees that are promotable, transferable or trainable for future openings while external availability is looking at the percentage of women or minorities in the reasonable recruitment area using the US Census Bureau statistical data and the federal statistical standards system. Any job category where the workforce representation is less than 80 percent of the estimated availability for women or minorities is considered an area of underutilization. She also showed the diversity of MTA's job categories by listing some of the job titles in each category. This information is provided in the Committee book and contained in the videotape of this meeting.

Vice Chair Metzger asked if availability varies for the different agencies because the data is reflecting the location where they are likely to want to apply for our jobs. She gave the example of Metro North railroad where the entry level jobs tend to start at the far-out train yards, making those jobs attractive to people that live near those train yards and not as attractive to those people who live in Long Island or the city. Ms. MacGregor responded yes, part of their analysis is that availability in the area where MTA can reasonably recruit from is where people actually live. Chair Herman stated that even though

most of MTA positions are within the 14 counties, certain jobs that would start in Putnam county or far out could possibly be underrepresented because of the people who live there and those who would apply for the job. Ms. MacGregor responded that Putnam is one of the 14 counties. Chair Herman acknowledged that, stating that Putnam has a different demographic of applicants than NYC, and that although the entire reasonable recruiting area is the 14 counties, those who would actually apply would be different. Ms. MacGregor agreed. Vice Chair Metzger asked if she wanted to draw a footprint for a specific job for an agency, would it be different from that of another agency and Ms. MacGregor responded it may. Dr. Green responded that for local jobs there will be a big difference but for regional jobs, it will be similar.

Vice Chair Metzger also asked if we draw a lot of people from outside our 14 counties since we do service Connecticut. Ms. Bell responded that MNR does have several employees who work in the New Haven line from that area. Dr. Metzger asked if that demography was counted as well, citing the fact that NJ Transit is under contract with MNR to operate some lines and that many of those trains operating from Port Jervis are staffed mostly by employees who reside in NJ. Dr. Green responded that there's a 5% threshold that MTA looks at when deciding on a reasonable recruitment area and if it does not meet that threshold, it is not used as a reasonable recruitment area. She also mentioned that it could vary depending upon positions but currently MTA has determined consistent reasonable recruitment areas in the national and regional extents and in local areas, which will be more detailed and specific to the agencies.

### **First Quarter 2019 EEO Activities**

Dr. Green stated that for this meeting she is going to take a closer look at female representation at the MTA and going forward she envisions providing a closer look at different groups in the future meetings. She presented slides that provide a big picture of the female representation at MTA. She mentioned that there are challenges in attracting female applicants in the skilled craft and service maintenance categories. Most of these positions are filled through the competitive civil service examination and male dominated occupations may not be the first choice of female applicants seeking employment. Other challenges include the lack of information and exposure to opportunities in transportation and the barrier that is created for shift work jobs since statistically females are responsible for family care giving.

Dr. Green also presented a video clip of stories that show that many women credit mentorship and encouragement as part of their success at MTA.

Dr. Green mentioned that Governor Cuomo's Executive Order 187 established a comprehensive statewide objective to promote diversity and inclusion throughout the New York state workforce. In alignment with this initiative, MTA has created an all-agency recruitment committee to increase diversity within MTA and to address underutilization. Dr. Green identified and explained each of the seven strategies identified by the committee to address underutilization. This information is provided in the Committee book and contained in the videotape of this meeting.

Dr. Green also discussed the Title VI and the Title VII complaint process. This information is provided in the Committee book and contained in the videotape of this meeting.

Dr. Green reported that MTA has consistently hired females and minorities at a higher percentage than the current workforce presence. MTA is meeting five of the eight goals for female workforce utilization and is currently expanding relationships with professional and minority organizations to increase female and minority applications in the recruitment pool.

Vice Chair Metzger commented how she likes the deep dive approach to the issue of women in the workforce and the issue on Title VI complaint process because it makes it much easier for a board member to understand what's happening rather than presenting all of the data on all of the issues. She suggested that being able to play the video that was shown for the public would be a great female recruiting tool.

### **SBDP Small Business Development Program Update**

Mr. Garner reported that it's been 10 years since the State of New York enacted its state law to give the MTA the ability to create their small business program. Although the program expires December 31 of this year, it will be extended for another 10 years once the bill, which has already passed the House and the Senate, is signed by the Governor.

Mr. Cleary stated that over the last 10 years, SBDP has awarded 379 contracts totaling \$369 million. During the first 6 months of this year, 11 contracts were awarded totaling a little over \$14 million. There are 7 service disabled veteran firms in the program. Two firms were recently awarded contracts totaling \$800,000. The small business loan program over the last 10 years have issued 114 loans totaling \$16 million. The SBDP bond program have assisted firms in securing \$369 million in surety bonding. The program is currently achieving its goals.

Mr. Garner mentioned that the SBDP advertising campaign on the subway cars have received a lot of positive feedback and comments. The reason for this campaign is to recruit more firms into the small business mentoring program.

### **M/W/DBE and SDVOB Contract Compliance Report**

Mr. Burke reported that the MTA's overall MWBE goal is 30%. He said 15% MWBE participation was achieved in contract awards, and 27% was achieved in contract payments during the state fiscal year 2019. Mr. Burke also reported that MTA's overall SDVOB goal is 6%. For the same period, he said that 4% SDVOB participation was achieved in contract awards, and 3% was achieved in payments made on ongoing contracts for the same period.

Mr. Burke said that 24% DBE participation was achieved in contract awards, and 23% was achieved in payments in ongoing contracts for the first half of 2019 Federal Fiscal year.

Mr. Burke mentioned that DDCR is currently monitoring about 1,800 contracts with goals, which is an increase from the previous years. In 2018, DDCR conducted 665 site visits and for 2019, from January to March, 165 visits were conducted averaging 55 monthly site visits, exceeding the 50 visits per month goal. In 2018, DDCR closed 121 contracts and for January to March of 2019, 37 contracts, averaging 12 contracts closed per month.

Mr. Burke stated that the WBE and SDVOB contract goals are not being met due to a lack of certified WBEs in certain trades and projects with specialized equipment and requirements which resulted in reduced or waived goals. He also mentioned that there are less than 100 certified SDVOBs in our region. As a strategy for improvement, DDCR will expand relationships with and actively recruit various women, veteran and ethnic trade group and associations to identify best practices in the minority community.

Mr. Garner reported that out of 96 state agencies and authorities, the MTA had a \$400,000 threshold and the rest a \$200,000 threshold. This year MTA's threshold is increased to \$1 million while the rest of the agencies are going to increase their threshold to \$400,000.

Ms. Norman recognized the New York City Transit Procurement department for leading in discretionary procurement awards by performing the highest level of MWBE and small business concerns awards averaging approximately \$32.8 million a year and totaling \$230 million in discretionary contracts with MWBEs from 2012 to 2018. She thanked Steve Plochochi, Senior Vice President of Procurements and Supply Chain for NYCT. She also recognized the MTA Headquarters for discretionary awards to MWBEs for IT consultancy. The information technology and consulting discretionary contract was designed to provide NYS certified MWBEs the opportunity to work directly with MTA as the prime contractors. These contracts are currently supporting the consolidated MTA IT department's ability to retain MWBEs as project consultants and supplement in-house staff for critical projects. To date, they have awarded over 500 purchase orders totaling \$81 million. She thanked the MTA IT group, Reggie Matela, Acting Director of Procurement and David Ross, Chief Procurement Officer

### **Capital Projects**

Mr. Burke reported that for the first half of the Federal Fiscal year 2019, the DBE goal was 18%, and 20% DBE was the achievement in awards for federally funded capital projects. Payments on ongoing contracts achieved a 27% DBE participation. For state-funded capital projects, the goal is 15% and 14% of the MBE participation goal was achieved in contract awards, and 12% participation in payments made on ongoing contracts. In regards to WBEs with the goal of 15%, 8% was achieved in awards and 9% in payments. Mr. Burke also reported 3% SDVOB participation in awards, and about 1% participation in payments on ongoing contracts.

### **Legal Fees**

Mr. Garner reported that in 2017 when MTA started looking at MWBE participation on legal fees, it was at 4%. In 2018, it was increased to 8%. Currently, the participation is at 15%. Although there's been growth, the growth has evolved with non-ethnic WBE law firms. A strategy to include ethnic minority-owned law firms is to bring them back and reintroduce them to the operating agencies so growth can be balanced and consistent.

### **Financial Services**

Mr. Isom provided an update on financial services. For the reporting period, MTA has achieved 14% MBE participation, 13% for WBE, and 6% for SDVOB participation. A total of 27 % underwriting fees were paid to MWBE certified firms.

Mr. Isom stated that the fees paid is a representation of how we issue bonds and right now, because of the financial plan, we have issued bonds at a different method. MTA is issuing more competitive transactions as opposed to negotiated bonds, and the fees that are being reported are mostly from the negotiated bond issuance. As a strategy to increase participation, MTA is trying to find opportunities for negotiated bond transactions where only certified MWBE and SDVOB firms will participate. He also stated that as of June 2019, MTA has already implemented this strategy which is a joint venture MBE team of the Williams Capital Group and the PNC Capital. He mentioned that the statistics of this transaction will be discussed in the September 2019 Diversity Committee meeting.

Mr. Garner stated that the Finance Department has the highest minority and women SDVOB percentages of any other operation in the organization.

## **Asset Fund Managers**

Mr. Garner reported that of the total assets, MWBEs manage \$1.2 billion in assets as of March 31, 2019. It is the highest number in the State of New York out of the 96 state agencies and authorities.

## **ADA Policy Statement and Sexual and Other Discriminatory Harassment Policy**

Dr. Green stated that the updated Americans with Disabilities Act Policy Statement can be found on page 44 of the Diversity Committee book and the updated Sexual and Other Discriminatory Harassment policy is included on page 146. These policies were signed and become effective April 2019.

Mr. Garner wanted to personally thank all the DDCR staff, all the MWBE liaisons, and EEO Officers for getting the job done under challenging circumstances.

Chair Herman said thank you and that the report was very helpful for her first committee meeting. She's asking for each agency to include the information on persons with disabilities in the workforce and a breakdown of external complaints by category for the next meeting.

## **Adjournment**

Chair Herman concluded the meeting, and upon a motion duly made and seconded, the meeting was adjourned.

Respectfully submitted,  
Maria Amper  
Assistant Deputy Chief Diversity Officer  
Department of Diversity and Civil Rights

**MTA DIVERSITY COMMITTEE**

Meeting Minutes

2 Broadway, 20<sup>th</sup> Floor

New York, NY 10004

Monday, September 23, 2019

3:30 p.m.

Committee members present:

Rhonda Herman, Chair

Linda Lacewell

Neil Zuckerman

The following Committee members were absent:

Susan Metzger, Vice Chair

Haeda Mihaltses

The following are the Public Speakers:

Dr. Vincent Boudreau, President, City College of New York

Kieran Spillane, Project Manager, Second Avenue Subway Project

Judy Sanchez, Former Summer Intern, Second Avenue Subway Project

Flavia Beppler, Staff Member, Second Avenue Subway Project

The following were also present:

Patrick Foye, MTA Chairman

Veronique "Ronnie" Hakim, MTA Managing Director

Robert Linn, MTA Board Member

Helene Fromm, MTA Chief of Staff

Michael Garner, MTA Chief Diversity Officer, MTA Department of Diversity and Civil Rights ("DDCR")

George Cleary, Deputy Chief Diversity Officer, Small Business Development Program ("SBDP"), DDCR

Dr. Rosalyn Green, Acting Deputy Chief Diversity Officer, EEO and Title VI, DDCR

Ray Burke, Acting Deputy Chief Diversity Officer, Contract Compliance, DDCR

L. Danny Camacho, Assistant Deputy Chief Diversity Officer, Certification, DDCR

Zenaida Rodriguez, Assistant Director, Business and Diversity Initiatives, DDCR

Maria Amper, Assistant Deputy Chief Diversity Officer, Operations and Technological Support, DDCR

Regina Oliver, Manager, DBE Certification, DDCR

Nadara Wade, Manager, Title VI Compliance, DDCR

George Llanos, Manager, Business and Diversity Initiatives, DDCR  
Ryan Miller, Detective, MTA Police  
Tim Baker, Assistant Vice President, Strategic Initiatives, MTA Bridges and Tunnels  
Christopher Bennett, Manager, MWBE Procurement, MTA Bridges and Tunnels  
Patricia Lodge, Vice President, Human Resources (“HR”), NYCT  
Joel Andrews, Chief Officer, Office of Equal Employment Opportunity (“EEO”), NYCT  
Vernessa Moses, AVP, EEO and Title VI Compliance, NYCT  
Michael Collins, Assistant Vice President, NYCT  
Antonia Brown, Director, Recruitment and Internship, NYCT  
Michael Fyffe, Director, Diversity Management, MTA Long Island Rail Road (“LIRR”)  
Shawn Moore, Chief Administrative Officer, Capital Construction (“MTACC”)  
Melissa Jones, Assistant Director, Contract Diversity Compliance and Reporting, MTACC  
David Cannon, Vice President and Chief Procurement Officer, MTACC  
Joseph O’Donnell, Director of Public Affairs, MTACC  
Paige Graves, General Counsel, MTA Bus Company (“MTA Bus”)  
Gwendolyn Harleston, Chief EEO Officer, MTA Bus  
Jennifer Buchanan Director, Recruitment and Internship, MTA Bus  
Patrick Isom, Manager, Financial Analysis, MTA Headquarters (“MTAHQ”)  
Christine Norman, Director Supplier Diversity, MTAHQ  
Mayra Bell, Director, Diversity and EEO, Metro North Railroad (“MNR”)  
Anthony Gardner, Acting Chief Procurement Officer, MNR  
Yvonne Hill-Donald, HR Business Manager, MNR  
Ouida Gaillard, Human Resources Business Partner, Talent Acquisition, MNR  
Sheree Owens, Manager, MWBE Procurement, MNR  
Lisa Daglian, Executive Director, PCAC

Chair Herman introduced herself as the chair of the Diversity Committee and acknowledged the presence of the MTA Chairman Patrick Foye. She also introduced Linda Lacewell as the new committee member.

### **Public Speakers**

There were four speakers in the public comments portion of the meeting: Dr. Vincent Boudreau, Kieran Spillane, Judy Sanchez, and Flavia Beppler.

Dr. Boudreau, President of the City College of New York, emphasized the importance of City College’s relationship with MTA, particularly with their participation on the Second Avenue Paid Internship Program, which is now on the third year. The program gives an opportunity for students, who are not used to being inside of a project, to work side by side with professionals in a setting in which their work will be reflected in the future of the city. The mentoring that the interns get through MTA and from being able to work side by side with professional subcontractors is irreplaceable. Dr. Boudreau also stated that City College so highly values the benefits and importance of paid internships, they no longer allow students to participate in unpaid internships.

Mr. Spillane, Project Manager of the Second Avenue Subway Phase 2 Project Partnership explained in detail the process of selecting the candidates for the paid internship summer program. He then introduced the next two speakers, former interns who were present to share their experiences in the program.

Ms. Sanchez, a former summer intern at the Second Avenue Subway Project, shared how the internship program was a fulfilling and productive opportunity for her as an architecture student. Aside from the advantage of learning architecture and science from the program, she was able to receive valuable mentoring from the professionals she worked with. She also cited the benefit of being able connect to and understand the community members.

Ms. Beppler, a former summer intern and now a permanent staff member of the Second Avenue Subway Project, emphasized the value of hard work as she discussed how she started as a project intern, and was later hired as an engineering specialist in the project which is going to affect 300,000 people per day.

Ms. Lacewell asked how many students are in the Second Avenue Subway Internship program. Mr. Garner replied there were only 9 students in this year's program due to conflicting class schedules. For next year's program, which kicks off in January, MTA has budget for up to 14 students. Mr. Garner also stated that the goal is to make sure that the students who are employed in the program are reflective of where the project is located, Spanish or East Harlem.

Chair Herman thanked the public speakers for sharing their success stories with the Second Avenue Subway Project Internship Program.

### **Approval of Minutes**

The approval of the minutes of the Diversity Committee meeting held on June 24, 2019 has been deferred until the next meeting in December due to lack of quorum.

### **2019 Diversity Committee Work Plan**

Chair Herman inquired if there were any changes to the 2019 Work Plan. Mr. Garner stated that there were no updates.

Chair Herman also asked if there are any comments from committee member Ms. Lacewell. Ms. Lacewell responded, saying she was glad Chairman Foye was present, as she wanted to reiterate a point that she previously made regarding the tremendous strides on the MWBE side of the equation and that it is now time to devote a lot of resources to the diversity of MTA's workforce. Chairman Foye responded by thanking Mr. Garner and his team as they approach the Governor's 30% goal on procurements. He also agreed that the workforce will be the next challenge.

### **Executive Summary**

#### **Business and Diversity Initiatives**

Ms. Rodriguez reported that DDCR participated in several events during the second quarter of the calendar year which included hosting the DBE certification sessions in-house, and noted that staff would be attending the upcoming 9<sup>th</sup> Annual New York State MWBE Forum Hosted by Governor Cuomo in Albany, New York. Additionally, DDCR would be hosting the MWBE Legal Services

Orientation Forum which specifically aims to promote opportunities for New York State certified law firms that were pre-selected to benefit from a discretionary increase of assignments. Mr. Garner cited that in 2017 when board members initially asked for this data, MTA was paying an average of 4% to New York State certified MWBE law firms. In 2018 this was increased to 8%, and during the first quarter of the current state fiscal year it has increased to 18%. He mentioned that he is optimistic that the agencies will achieve Governor Cuomo's 30% MWBE payments to state-certified law firms. He also added that 28 certified law firms were invited to the upcoming Legal Services event to better integrate these firms into the business practices at each of the operating agencies.

### **Certification Activity Report**

Mr. Camacho reported that for the second quarter of 2019, 25 new DBE certification applications were received in comparison to the 20 new applications received last year during the same period. Further, 22 firms were certified in the second quarter of 2019, which is a 100% increase from the same period in 2018. He gave credit to DDCR's outreach efforts in getting more firms to apply for DBE certification.

### **First and Second Quarter 2019 EEO Activities**

Mr. Sang provided an update on 1<sup>st</sup> and 2<sup>nd</sup> quarter EEO activities stating that the MTA's overall workforce is currently comprised of 74,383 employees, of which 18% are women, 69% are minorities, 3% are veterans, and 0.2% are employees who self-identified as persons with disabilities. With regards to new hires, women and minorities were hired at a higher percentage than their current workforce representations. The percentage of women and minorities in the workforce has remained constant in comparison to the same period in 2018.

In response to Chair Herman's request at the last diversity committee meeting, Dr. Green presented an overview on MTA employees with disabilities. Stating that many employees with a disability are sometimes uncomfortable with disclosing that information, she referred to 2018 Department of Labor statistics that indicate that 19.1% of the US workforce are people with disabilities. Using the overall MTA workforce figure of about 74,000 employees provided by Mr. Sang, approximately 14,000 MTA employees possess some type of disability. Dr. Green cited a Harvard review article that indicated during a recent survey that 30% of the professional workforce would qualify under the definition of employees with disabilities but that of the 74,000 MTA agency wide employees, only 269 voluntarily disclosed as employees with disabilities. She further stated that most people will self-disclose only when there's a need to self-disclose, usually when there is a request for some type of accommodation for that disability. She explained that when looking at disabilities in the workplace, some are invisible such as hearing loss, sleeping disorders, arthritis, and depression, and sometimes visible. The MTA has simplified the process of employees voluntarily disclosing if they have disabilities and has requested twice in the last 12 months for voluntarily disclosing disabilities. The FTA also has a legal requirement to provide a form for employees that have disabilities and need accommodation.

Dr. Green stated that by MTA partnering with community and government groups to identify best practices to improve outreach and access to individuals with disabilities, the Agency is actively developing and implementing strategies for recruiting, hiring, and retaining employees with different disabilities. During the first two quarters, MTA participated in at least 16 activities and events targeting individuals with disabilities. Among these is the People with Disabilities Project in collaboration with the Port Authority and partnership with the New York University Rusk Business Advisory Committee, which helps individuals with disabilities find employment in a competitive marketplace.

## **Agency Strategies to Address Utilization**

Each MTA agency president or designee reaffirmed their commitment to EEO and diversity in their slide presentations. They outlined their respective agency or department's efforts to keep employees informed of their EEO rights, mid-year key accomplishments in terms of giving opportunities to the underrepresented groups, and their strategies to address underutilization in the workforce. This information is provided in the Committee book and contained in the videotape of this meeting. The following is a summary of what was stated at the meeting.

### **MTA Headquarters ("MTAHQ")**

Dr. Green reported some of MTA's efforts to improve utilization in the workforce. She mentioned MTA's partnership with New York University Rusk Business Advisory Committee to administer a program that helps individuals with disabilities find employment in the competitive marketplace. The meetings that the advisory committee provide give opportunities for job-ready candidates to meet and network with potential employers and build relationships that lead to job interviews, internships, advice and information, and mentoring opportunities. To promote cultural diversity, HQ has coordinated several events to engage the MTA workforce. She stated that the MTA HQ is working across agencies to coordinate internal efforts and strengthen internal relationships as they continue to address ongoing areas of underutilization, ensure awareness of and adherence to existing and expanded laws pertaining to nondiscrimination protections, and identify strategies to attract and retain a high caliber diverse workforce.

### **Capital Construction ("CC")**

Dr. Green spoke on behalf of Mr. Lieber. She mentioned that Mr. Lieber is a top champion when it comes to diversity. He has stressed the importance of diversity in all executive meetings and it was the first time that the agency hired an EEO Officer in 2018. Mr. Lieber has mandated diversity training for all employees which included "Diversity Dialogues", and supported email notifications to be sent out reminding the staff that CC is an equal employee opportunity agency and that diversity is valued, and discrimination is not tolerated in the workforce. CC's success include diverse hiring and promotions within the past year, and a "Respect in the Workplace" card for all employees to abide by. Additional efforts were made to ensure that all employees were informed of the EEO officer and made to feel comfortable approaching her. She also indicated that CC has reached out to their community partners to ensure that people are comfortable with, aware of, and understand the agency's commitments to diversity where projects are situated.

Mr. O'Donnell presented a video that showed some of the CC's outreach efforts and community partnerships. The agency partnership with the Building and Construction Trades Council of Greater New York has outreach efforts that offer job and apprenticeship program information to East Harlem residents on the Second Avenue Subway Phase 2 Project. He stated that over 400 individuals attended the job information program event spotlighted in the video. Of the 400, 154 individuals were contacted to come back for an information and training session, from the 154, 50 were asked to return for an actual interview, 7 people then passed the test and were accepted into the apprenticeship program and one is already working.

Another initiative is the partnership with PS 96 in East Harlem where the construction of the Second Avenue Subway turns into a learning experience for students from kindergarten to 8<sup>th</sup> grade, bringing Science, Technology, Arts, Engineering and Math into their curriculum in a real hands-on way.

## **Metro North Railroad (“MNR”)**

Ms. Bell emphasized that MNR’s core values include creating strategies to attract and retain a more diverse workforce, including women and minorities. To keep employees informed of their EEO rights, in-person trainings are conducted and policies are distributed. As an accomplishment, MNR has focused a lot on the recruitment of women in the professional ranks, especially female engineers. The Lunch and Learn series was conducted for women engineers to educate and mentor younger colleagues, address career progression issues, and outline different career paths. The agency also facilitated diversity events that targeted women and minorities. Looking forward the agency will continue to work with MTAHQ to focus on, and develop strategies for recruiting women and minorities.

Ms. Lacewell shared a possible strategy for recruiting a diverse workforce. She stated that a company in Australia broke down and identified the skill set that they would be able to train to do the job instead of advertising the job title and they were extremely successful.

## **Long Island Rail Road (“LIRR”)**

Mr. Fyffe, speaking on behalf of President Eng, addressed the agency’s efforts to increase representation of women, minorities, veterans and persons with disabilities. Diversity is the agency’s key corporate strategy behind the way they do business. The LIRR continuously strives to build a diverse workforce and ensure that all employees and applicants are given an equal opportunity for employment. Every effort has been made to attract, develop and retain a workforce profile that reflects the diversity of the region’s labor pool. The agency also operates without regard to race, color, or national origin in accordance with Title VI and the Civil Rights Act 1964.

LIRR presented three diversity cultural events through May 2019 to enhance diversity awareness and promote respect and an inclusive work environment. Over 100 managers and supervisors received diversity and EEO training. Human Resource staff members attended career fairs in six colleges with diverse student bodies. LIRR also collaborated with the MTA Director of All-Agency Veterans Recruiting and Staff Initiatives to distribute job postings to service members and military liaisons. LIRR staff also attended the Suffolk County Disability Job Fair to aid in the recruitment of persons with disabilities.

LIRR has two upward mobility programs including, Junior Engineer and Project Management trainee. Junior Engineer Mentorship Program, a 52-week, entry-level training program introduces participants to the railroad and familiarizes them with all the aspects of railroad operations and support departments. Budget restrictions has prevented any participants from being hired on full-time. The Project Management Trainee is a two-year entry level program working with the department of project management. Between January 1 and June 30, 2019, two program participants were hired upon their successful completion of the program.

LIRR has also partnered with Girls, Inc. to encourage young girls to pursue careers in STEM and the railroad industry. The LIRR Expansion Project Team shared a project overview with Girls, Inc. and discussed opportunities for members to interact with, and learn from women leaders on the team. Following Transit’s lead, LIRR is preparing to launch four pilot employee resource groups, including women, LGBTQ, veterans, and employees with disabilities, to foster a diverse, inclusive workforce aligned with the organization’s mission, values, goals, business practices, and objectives.

## **MTA Bus**

Ms. Harleston, speaking on behalf of Craig Cipriano, reviewed the progress that MTA Bus has made in pursuit of the agency’s goals and plans for the rest of the year. She emphasized that cultural competence

on diversity and inclusion is an important value that the agency wants to instill in the organization. It is the foundation for everything they do to ensure that their workforce at all levels reflect the community they serve. Among their initiatives are bus depot sponsored diversity events like the Disability Independence Day Celebration held in July, respect and inclusion gender awareness workshops, advertising job opportunities on customer information and metro card mobile sales leading to improved hiring and promotion of persons with disabilities and females in several job categories compared to the previous quarter. MTA Bus will continue working with MTA HQ Human Resources in drafting the reasonable accommodation statement for MTA job vacancy postings and continue to seek out new approaches to sourcing minorities, women, and underrepresented job categories. Currently, MTA Bus operation has 12.5% women in their apprenticeship program and hope to increase this number by having career days at the career and technical high schools in the five boroughs, which has the highest enrollment of female students. The agency is also working with the MTA Information Technology Department to ensure that the MTA employment and exam pages are accessible for people with disabilities.

### **New York City Transit (“NYCT”)**

Mr. Andrews and Ms. Lodge spoke on behalf of President Andy Byford and highlighted some of the activities that the agency has undertaken to promote and maintain a more diverse and inclusive workforce. Employee-led Transit employee groups, currently standing at 9 different groups, share affinities and interests that were launched earlier this year continue to have high employee participation and engagement as they share common experiences and challenges to assist the NYCT with identifying and addressing workplace and marketplace opportunities. The Transit Diversity Council, chaired by NYCT President Andy Byford was launched in April. It is an example of modeling the best in terms of diversity and inclusion practices as it ensures that there is a collaboration between the leaders of the transit employee groups and the executive sponsors to address affinity-related barriers and align those activities with the businesses and objectives to champion diversity and inclusion at MTA. The inclusion “Just do It” communication campaign was launched in February, and in May a lunch and learn was held on intersectionality, in June various diversity awareness events were held and in August the meet the TIG video series.

Ms. Lodge reported NYCT’s accomplishments in the workforce. NYCT has participated in 18 career fairs that were sponsored by different government officials representing New York City Assembly and Congressional Districts with significant Asian and Hispanic populations. They have also partnered with the City Polytechnic High School, a P-Tech school that is linked to City College, with the intent to source people for hard to fill Science and Technology, Engineering and Mathematics positions. The shared vision is to provide City Poly students and teachers access and awareness regarding the New York City Transit and engage the students with a range of activities that will support them in exploring and gaining direct exposure to post-secondary career pathways with New York City Transit and acquire technical skills in demand by the industry. NYCT also has a continued partnership with the MTA Office of Veterans Recruitment, New York State Department of Labor, and the New York City Mayor’s Office of People with Disabilities. NYCT will expand outreach of employment opportunities through distribution of monthly exam schedule notices on over 50 New York City community boards and job advertisements on 8 display platforms to New York City customers. Human Resources staff will attend disability sensitivity training as they are the first line of contact of not just the employees but also applicants before they become candidates for employments.

### **MTA Bridges and Tunnels**

Mr. DeCrescenzo started his presentation by recognizing Shawn Moore for her efforts in EEO and Diversity at Bridges and Tunnels. For a smaller agency with 1,340 employees, it is a great

accomplishment to have an employee population that is 56% minorities and 21% females. As we are in the middle of hiring freeze and the transformation plan, the agency is focusing on how to retain people in the organization. Their senior leadership task force is looking at how their staff can move people within the agency. They focused on women, minorities, and people who are usually not comfortable in certain positions and how to give them those skillsets and introduce them to those areas. Since the start of this initiative in January, a lot of the staff are now performing double duties and learning about different areas. People are starting to recognize that this is where we need to be in the future. The agency will also have a brown bag initiative where different department heads host what their unit do in the organization. This effort hopes to bring awareness to women and minorities the skillset that the agency is looking for in their employees and possibly give them an opportunity through this transformation to move to another area they would not have considered if not for the brown bag efforts.

### **SBDP Small Business Development Program Update**

Mr. Garner reported that due to the ongoing success of the program, Governor Cuomo has signed a new bill extending the Small Business Development Program for the next 10 years.

Mr. Cleary stated that over the last 10 years, SBDP has awarded 391 contracts totaling \$394 million. This year, 23 contracts were awarded totaling a little over \$36.6 million. There are 7 service disabled veteran firms in the program. Three firms were recently awarded contracts totaling almost \$1 million. The small business loan program over the last 10 years has issued 117 loans totaling \$16.5 million. The SBDP bond program has assisted firms in securing \$344.5 million in surety bonding. The program is currently achieving its goals.

### **M/W/DBE and SDVOB Contract Compliance Report**

Mr. Burke reported that the MTA's overall MWBE goal is 30%. He said that 15% MWBE participation was achieved in contract awards, and 29% was achieved in contract payments during the first quarter of the state fiscal year 2019. Mr. Burke also reported that MTA's overall SDVOB goal is 6%. For the same period, he said that 2% SDVOB participation was achieved in contract awards, and 3% was achieved in payments made on ongoing contracts for the same period.

Mr. Burke said that 24% DBE participation was achieved in contract awards, and 23% was achieved in payments in ongoing contracts for the first half of 2019 Federal Fiscal Year.

Mr. Burke mentioned that the DDCR is currently monitoring over 1,800 contracts with goals, which is an increase from the previous years. In 2018, DDCR conducted 667 site visits and for 2019 from January to June, 350 visits were conducted averaging 58 monthly site visits, exceeding the 50 visits per month goal. In 2018, DDCR closed 122 contracts and for January to June of 2019, 55 contracts, averaging 9 contracts closed per month.

Mr. Burke stated that the WBE and SDVOB contract goals are not being met due to a lack of certified WBEs in certain trades and projects with specialized equipment and requirements. He also mentioned that there are less than 100 certified SDVOBs in our region. As a strategy for improvement, the DDCR will expand relationships with and actively recruit various women, veteran and ethnic trade group and associations to identify best practices in the minority community. This year MTA's threshold has been increased to \$1 million while the rest of the agencies are going to increase their threshold to \$400,000.

### **Capital Projects**

Mr. Burke reported that for the first half of the Federal Fiscal Year 2019, the DBE goal was 18%, and

20% DBE was achieved in awards for federally funded capital projects. Payments on ongoing contracts achieved a 27% DBE participation. For state-funded capital projects, the goal was 15% and 18% of the MBE participation goal was achieved in contract awards. Payments made on ongoing contracts during the first quarter of the Fiscal Year 2020 has a 9% participation. Regarding WBEs with the goal of 15%, 21% was achieved in awards and 10% in payments. Mr. Burke also reported 2% SDVOB participation in awards and less than 1% participation in payments on ongoing contracts.

### **Legal Fees**

Mr. Garner stated that for MWBE/SDVOB participation on legal fees, he is very optimistic that the MTA will achieve Governor Cuomo's 30% goal this year by working with the agencies to bring the firms in and better integrate them into the business practices of our agencies.

### **Financial Services**

Mr. Isom provided an update on financial services. For the reporting period, the MTA has achieved 77.95% on MWBE/SDVOB participation, specifically 50.45% MBE participation, 17% for WBE, and 10.5% for SDVOB participation. Mr. Garner commended Mr. Isom's group for leading by example in having the highest rates in the state of New York when it comes to minority women-owned firm participation. Mr. Isom indicated that the Finance Department just completed a negotiated transaction in their underwriting syndicate that was led by a joint venture of the MBE team, Williams Capital Group and PNC Capital.

### **Asset Fund Managers**

Mr. Garner reported that of the total assets, MWBEs manage \$1.3 billion in assets as of June 30, 2019. It is the highest number in the State of New York out of the 96 state agencies and authorities.

### **Adjournment**

Chair Herman concluded the meeting, and upon a motion duly made and seconded, the meeting was adjourned.

Respectfully submitted,  
Maria Amper  
Assistant Deputy Chief Diversity Officer  
Department of Diversity and Civil Rights

## 2019 Diversity Committee Work Plan

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<b>I. RECURRING AGENDA ITEMS</b>	<u>Responsibility</u>
Approval of Minutes	Committee Chair & Members
Committee Work Plan	Committee Chair & Members
MTA Agency-wide Business and Diversity Initiatives and EEO Programs Activities	Dept. of Diversity/Civil Rights
MTA DBE Certification Program Activities	Dept. of Diversity/Civil Rights
M/W/DBE and SDVOB Contract Compliance Activities	Dept. of Diversity/Civil Rights
Action Items (if any)	As listed
<b>II. SPECIFIC AGENDA ITEMS</b>	<u>Responsibility</u>
<u>February 2019</u>	
2019 EEO Policy	Dept. of Diversity/Civil Rights
2019 Departmental Goals	Dept. of Diversity/Civil Rights
2018 Year-End Report	Dept. of Diversity/Civil Rights
Recruitment Strategies for MTAHQ and MTA Agencies	Dept. of Diversity/Civil Rights, MTAHQ and Agency Staff
Diversity Committee Charter Review	Committee Chair and Members
<u>June 2019</u>	
2019 ADA and Sexual and Other Discriminatory Harassment Prevention Policies	Dept. of Diversity/Civil Rights
1st Quarter 2019 Report	Dept. of Diversity/Civil Rights
<u>September 2019</u>	
2nd Quarter 2019 Report	Dept. of Diversity/Civil Rights
Recruitment Strategies for MTAHQ and MTA Agencies	Dept. of Diversity/Civil Rights, MTAHQ and Agency Staff
<u>December 2019</u>	
3 <sup>rd</sup> Quarter 2019 Report	Dept. of Diversity/Civil Rights
Status Report on MTA Inter-Agency M/W/DBE and SDVOB Task Force	Dept. of Diversity/Civil Rights
2020 Diversity Committee Work Plan	Dept. of Diversity/Civil Rights

## **Detailed Summary**

### **I. RECURRING**

#### **Approval of Minutes**

Approval of the official proceedings of the previous month's Committee meeting.

#### **Diversity Committee Work Plan**

An update of any edits and/or changes in the work plan.

#### **MTA Agency-wide Business and Diversity Initiatives Program Activities**

The MTA Department of Diversity and Civil Rights update of planned Agency-wide Business and Diversity Initiatives Program activities.

#### **MTA Agency-wide EEO Program Activities**

The MTA Department of Diversity and Civil Rights update of agency-wide workforce analysis, new hires and EEO and Title VI complaints.

#### **MTA DBE Certification Program Activities**

MTA Department of Diversity and Civil Rights update of DBE Certification Program activities.

#### **M/W/DBE and SDVOB Contract Compliance Activities**

MTA Department of Diversity and Civil Rights update of M/W/DBE and SDVOB contract activities and program initiatives.

#### **Action Items**

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

### **II. SPECIFIC AGENDA ITEMS**

#### **February 2019**

#### **Recommitment to Equal Employment Opportunity ("EEO")**

Each year, the MTA disseminates Policies addressing the Americans with Disabilities Act ("ADA"), Sexual and Other Discriminatory Harassment Prevention and EEO in order to reaffirm MTA's commitment to ensuring a work place environment free from illegal discrimination and to ensure continued compliance with all applicable laws and regulations. The Department of Diversity and Civil Rights will present the 2019 EEO Policy. The ADA and Sexual and Other Discriminatory Harassment Prevention Policies will be presented in May 2019.

#### **Overview of 2019 MTA Department of Diversity/Civil Rights Departmental Goals**

The MTA Department of Diversity and Civil Rights will present an overview of Departmental goals and objectives for 2019.

## 2018 Year-End Report

The Department of Diversity and Civil Rights will present 2018 year-end update on MTA Agency-wide EEO and M/W/DBE and SDVOB contract compliance activities.

## Recruitment Strategies

Staff from the Department of Diversity and Civil Rights, MTAHQ and MTA Agencies will present recruitment strategies to address underutilization of minorities and women in the workforce.

## Diversity Committee Charter Review

The Diversity Committee will review and assess the adequacy of its charter and recommend changes as necessary.

## **June 2019**

### Recommitment to EEO

The Department of Diversity and Civil Rights will present the 2019 ADA and Sexual and Other Discriminatory Harassment Policies.

### 1<sup>st</sup> Quarter 2019 Report

The Department of Diversity and Civil Rights will present 1<sup>st</sup> quarter 2019 update on MTA Agency-wide EEO, and M/W/DBE and SDVOB contract compliance activities.

## **September 2019**

### 2<sup>nd</sup> Quarter 2019 Report

The Department of Diversity and Civil Rights will present 2<sup>nd</sup> quarter 2019 update on MTA Agency-wide EEO, and M/W/DBE and SDVOB contract compliance activities.

## Recruitment Strategies

Staff from the Department of Diversity and Civil Rights, MTAHQ and MTA Agencies will present recruitment strategies to address underutilization of minorities and women in the workforce.

## **December 2019**

### 3<sup>rd</sup> Quarter 2019 Report

The Department of Diversity and Civil Rights will present 3<sup>rd</sup> quarter 2019 update on MTA Agency-wide EEO and M/W/DBE and SDVOB contract compliance activities.

## Status Report on MTA Inter-Agency M/W/DBE and SDVOB Task Force

The Department of Diversity and Civil Rights report will address progress made by the Task Force to improve M/W/DBE and SDVOB participation.

2020 Diversity Committee Work Plan

The Department of Diversity and Civil Rights will present the Diversity Committee Work Plan for 2020.

## 2020 Diversity Committee Work Plan

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<b>I. RECURRING AGENDA ITEMS</b>	<u>Responsibility</u>
Approval of Minutes	Committee Chair & Members
Committee Work Plan	Committee Chair & Members
MTA Agency-wide Business and Diversity Initiatives and EEO Programs Activities	Dept. of Diversity/Civil Rights
MTA DBE Certification Program Activities	Dept. of Diversity/Civil Rights
M/W/DBE and SDVOB Contract Compliance Activities	Dept. of Diversity/Civil Rights
Action Items (if any)	As listed
<b>II. SPECIFIC AGENDA ITEMS</b>	<u>Responsibility</u>
<u>February 2020</u>	
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<u>September 2020</u>	
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Status Report on MTA Inter-Agency M/W/DBE and SDVOB Task Force	Dept. of Diversity/Civil Rights
2021 Diversity Committee Work Plan	Dept. of Diversity/Civil Rights

## **Detailed Summary**

### **I. RECURRING**

#### **Approval of Minutes**

Approval of the official proceedings of the previous month's Committee meeting.

#### **Diversity Committee Work Plan**

An update of any edits and/or changes in the work plan.

#### **MTA Agency-wide Business and Diversity Initiatives Program Activities**

The MTA Department of Diversity and Civil Rights update of planned Agency-wide Business and Diversity Initiatives Program activities.

#### **MTA Agency-wide EEO Program Activities**

The MTA Department of Diversity and Civil Rights update of agency-wide workforce analysis, new hires and EEO and Title VI complaints.

#### **MTA DBE Certification Program Activities**

MTA Department of Diversity and Civil Rights update of DBE Certification Program activities.

#### **M/W/DBE and SDVOB Contract Compliance Activities**

MTA Department of Diversity and Civil Rights update of M/W/DBE and SDVOB contract activities and program initiatives.

#### **Action Items**

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

### **II. SPECIFIC AGENDA ITEMS**

#### **February 2020**

##### **Recommitment to Equal Employment Opportunity ("EEO")**

Each year, the MTA disseminates Policies addressing the Americans with Disabilities Act ("ADA"), Sexual and Other Discriminatory Harassment Prevention and EEO in order to reaffirm MTA's commitment to ensuring a work place environment free from illegal discrimination and to ensure continued compliance with all applicable laws and regulations. The Department of Diversity and Civil Rights will present the 2020 EEO Policy.

##### **Overview of 2020 MTA Department of Diversity/Civil Rights Departmental Goals**

The MTA Department of Diversity and Civil Rights will present an overview of Departmental goals and objectives for 2020.

## 2019 Year-End Report

The Department of Diversity and Civil Rights will present 2019 year-end update on MTA Agency-wide EEO and M/W/DBE and SDVOB contract compliance activities.

## Recruitment Strategies

Staff from the Department of Diversity and Civil Rights, MTAHQ and MTA Agencies will present recruitment strategies to address underutilization of minorities and women in the workforce.

## Diversity Committee Charter Review

The Diversity Committee will review and assess the adequacy of its charter and recommend changes as necessary.

## **May 2020**

### Recommitment to EEO

The Department of Diversity and Civil Rights will present the 2020 ADA and Sexual and Other Discriminatory Harassment Policies.

### 1<sup>st</sup> Quarter 2020 Report

The Department of Diversity and Civil Rights will present 1<sup>st</sup> quarter 2020 update on MTA Agency-wide EEO, and M/W/DBE and SDVOB contract compliance activities.

## **September 2020**

### 2<sup>nd</sup> Quarter 2020 Report

The Department of Diversity and Civil Rights will present 2<sup>nd</sup> quarter 2020 update on MTA Agency-wide EEO, and M/W/DBE and SDVOB contract compliance activities.

### Recruitment Strategies

Staff from the Department of Diversity and Civil Rights, MTAHQ and MTA Agencies will present recruitment strategies to address underutilization of minorities and women in the workforce.

## **December 2020**

### 3<sup>rd</sup> Quarter 2020 Report

The Department of Diversity and Civil Rights will present 3<sup>rd</sup> quarter 2020 update on MTA Agency-wide EEO and M/W/DBE and SDVOB contract compliance activities.

### Status Report on MTA Inter-Agency M/W/DBE and SDVOB Task Force

The Department of Diversity and Civil Rights report will address progress made by the Task Force to improve M/W/DBE and SDVOB participation.

2021 Diversity Committee Work Plan

The Department of Diversity and Civil Rights will present an updated Diversity Committee Work Plan for 2021.

# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## Executive Summary

December 18, 2019



# Executive Summary

## ■ Business & Diversity Initiatives

- During the third quarter, the Business & Diversity Initiatives unit hosted two focused events to include a DBE workshop to attract qualified applicants into the program and an Agency-wide MWBE Legal Services Orientation Session.
- In addition, the Business and Diversity Initiatives unit was instrumental in coordinating the 25<sup>th</sup> Anniversary of the Competitive Edge Conference hosted by corporations, city and state agencies. With over 350 attendees, a large number of minority businesses, agency representatives and other attendees were present.
- In October MTA Agency-wide staff traveled to Albany and participated in the 2019 NYS MWBE Forum hosted by Governor Andrew Cuomo and Empire State Development. There were over 2,000 attendees present.



# Executive Summary

## ■ Certification Activity Report

- DDCR continues to see an **increase** in firms attending the bi-monthly DBE certification workshops. This has resulted in an **increase** of number of firms being certified.

- **Status:** Increased DBE Certifications

## ■ **Trends**

- Upward
- Constant
- Downward

- **Strategies for Improvement:** n/a



# Executive Summary

- **EEO**(full report on page )
  - MTA's overall workforce is currently comprised of **74,018** employees; of which **13,271 (18%)** are Females,\* **51,496 (70%)** are Minorities, **1,978 (3%)** are Veterans,\* and **259 (0.3%)** are People with Disabilities.\*\* A breakdown of the MTA-wide workforce is detailed on page 57.
  - In the first three quarters of 2019, females and minorities were **hired at higher** percentage compared to their current representation (**18% and 70% respectively**) in the workforce. MTA-wide New Hires are detailed on pages 72 and 73.
  - MTA wide complaints and lawsuits data for third quarter 2019 are listed on pages 74 to 79.
  - Utilization of females and minorities in the first three quarters of 2019 remained constant. The utilization analysis is detailed on pages 63 to 70. Current utilization analysis may be skewed based on outdated Standard Occupational Classification System (SOC) codes, which were updated in mid 2018. The SOC codes are aligned with the US Census data and used when determining estimated availability.



\*Includes minorities, non-minorities, and veterans

\*\*Based on self-identification.

# Executive Summary

- **EEO (Continued)**
- **Status:** 5 of 8 goals are met
- **Trends**
  - Upward
  - ☑ Constant
  - Downward
- **Strategies for Improvement:**
  - Increase Staffing
  - Expand relationships with professional and minority organizations to increase applicant pool.



# Executive Summary

## ■ Small Business Development Program (as of September 30, 2019)

### The Program – Current Status

The Small Business Development Program (SBDP): Awarded **396 contracts** totaling **\$400.3 million**.

In the current year, SBDP awarded **28 contracts** totaling **\$41.5 million**. The goal for current year is **\$80 million**.

SBDP successfully recruited **seven (7)** Service Disabled Veteran-Owned Business (SDVOB) certified firms. **Three (3) firms** were awarded contracts totaling **\$992,525**.

The Small Business Development Loan Program issued **120 loans** totaling **\$16.8 million**.

The Small Business Development Bond Program has assisted firms in securing **\$344.5 million** in surety bonds.

SBDP expires December 2019. Due to legislative action, program was extended to 2029.



# Executive Summary

## ■ Small Business Development Program (continued)

■ **Status:** Program is achieving its goals.

### ■ Trends

- Upward
- Constant
- Downward

■ **Strategies for improvements:** n/a



# Executive Summary

## ■ MWDBE and SDVOB Contract Compliance

### ■ 30% NY State Fiscal Year 2019-2020 MWBE Goal

- 14% MWBE participation in contract awards\*
- 26% MWBE participation in contract payments\*

### ■ 6% NY State Fiscal Year 2019-2020 SDVOB Goal

- 3% SDVOB participation in contract awards\*
- 4% SDVOB participation in contract payments\*

### ■ 18% Federal Fiscal Year 2018-2019 DBE Goal

- 26% DBE participation in contract awards
- 19% DBE participation in contract payments on ongoing contracts
- 15% DBE participation on payments on closed contracts

\* First and second quarter of the NY State Fiscal Year 2019-2020



# Executive Summary

## ■ MWDBE and SDVOB Contract Compliance (Continued)

- Currently, DDCR monitors more than **1,151 contracts** for MWDBE and SDVOB goal compliance.
- In 2018, DDCR conducted **667 site visits** for MWDBE and SDVOB contract compliance.
  - January-September 2019 site visits
    - Total Conducted: **514**
    - Current Monthly Average: **57**
- In 2018, DDCR has closed **161 contracts**.
  - January-September 2019 closed contracts
    - Total Closed: **82**
    - Current Monthly Average: **9**



# Executive Summary

- **MWDBE and SDVOB Contract Compliance (Continued)**
- **Status:** MWBE and SDVOB goals are not being met
- **Trends**
  - ☑ Upward: SDVOB & WBE participation on contract payments
  - ☑ Constant: MBE participation on contract payments
  - ☐ Downward
- **Strategies for Improvement:**
  - DDCR will expand on building relationships with various women, veteran and minority trade groups and associations to identify qualified firms in the minority business community.
  - Design smaller contracts for greater participation by MWDBE/SDVOBs.
  - Due to legislative actions in Albany, discretionary spending threshold was increased from \$400k to \$1M.
  - Hiring additional MWDBE/SDVOB Contract Compliance staff.



# Executive Summary

## ■ Capital Projects

### ■ Federal Participation Goal: 18%

(Federal Fiscal Year 2019 (October 2018 to September 2019))

- Total Awards: \$465M
- Total DBE Awards: \$95M (20%)
- Total Payments: \$803M
- Total DBE Payments: \$158M (20%)

### ■ New York State MBE Participation Goal: 15%

(First and Second Quarter NYS Fiscal Year 2019-2020 (April 2019 to September 2019))

- Total Awards: \$347M
- Total MBE Awards: \$61M (18%)
- Total Payments: \$746M
- Total MBE Payments: \$69M (9%)

### ■ New York State WBE Participation Goal: 15%

(First and Second Quarter NYS Fiscal Year 2019-2020 (April 2019 to September 2019))

- Total Awards: \$347M
- Total WBE Awards: \$53M (15%)
- Total Payments: \$746M
- Total WBE Payments: \$70M (9%)

### ■ Service Disabled Veteran-Owned Business Participation Goal: 6%

(First and Second Quarter NYS Fiscal Year 2019-2020 (April 2019 to September 2019))

- Total Awards: \$223M
- Total SDVOB Awards \$9M (4%)
- Total Payments: \$452M
- Total SDVOB Payments: \$1.04M (.23%)

\*Report is based on original contract amount provided by MTA Agencies for third-party design and construction contracts (excluding rolling stock and signals).



# Executive Summary

## Capital Projects (Continued)

- **Status:** DBE goals are met

MWBE/SDVOB goals are not being met

- **Trends**

- ✓ Upward: SDVOB payments
- ✓ Constant: MBE payments
- ✓ Downward: WBE payments

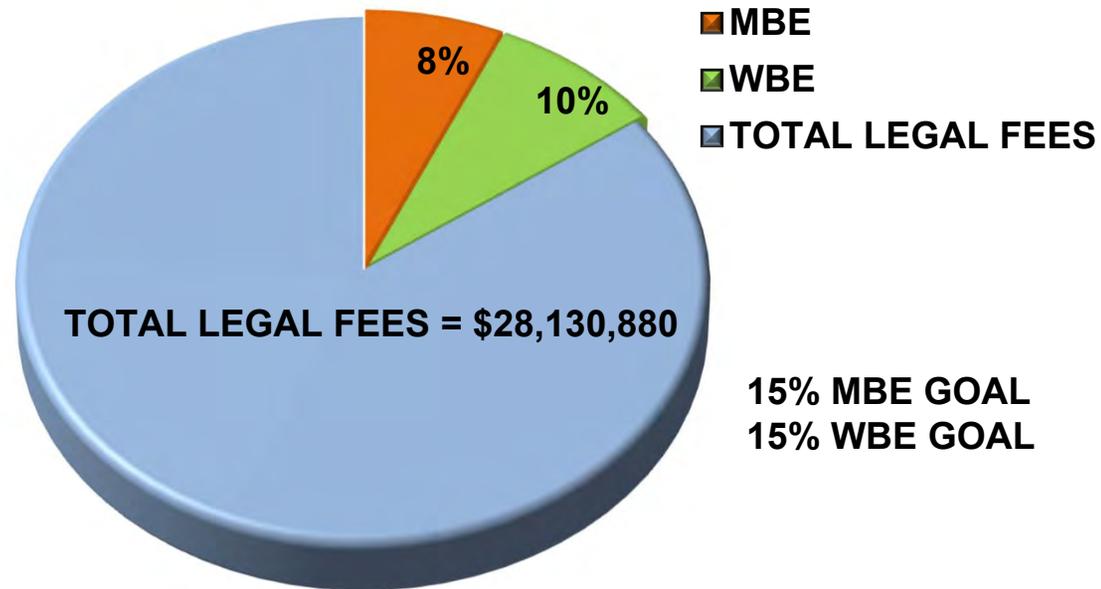
- **Strategies for Improvement:**

- DDCR will expand on building relationships with various women, veteran and minority trade groups and associations to identify qualified firms in the minority community.
- Hiring more MWDBE/SDVOB contract compliance staff



# Executive Summary

## ■ MTA All Agency Legal Fees (April - September 2019)



**Actual MBE Participation = \$2,213,987 or 8%**  
**Actual WBE Participation = \$2,808,150 or 10%**



# Executive Summary

## MTA All Agency Legal Fees (Continued)

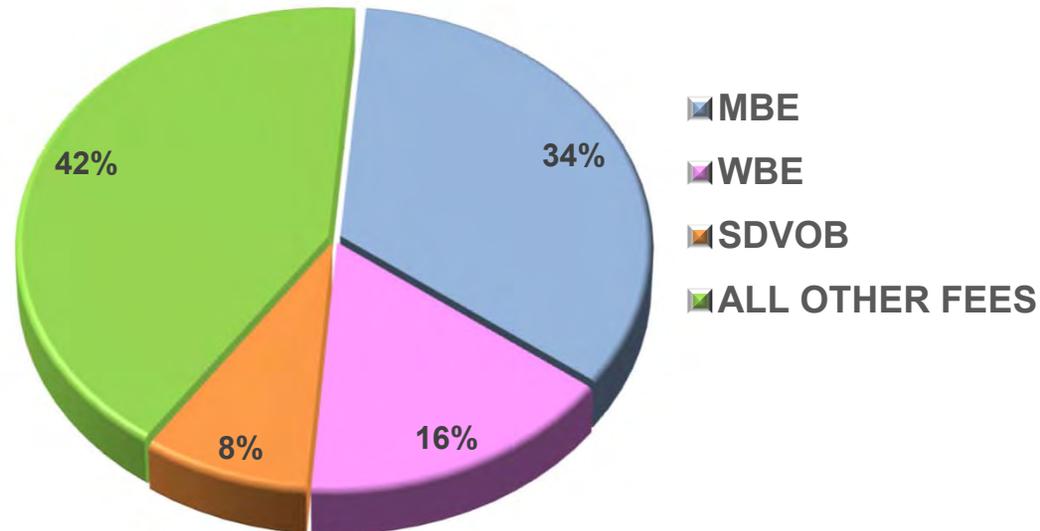
- **Status:** MWBE goals are not being met
- **Trends**
  - Upward
  - Constant
  - Downward
- **Strategies for Improvement:**
  - Host an additional all-agency orientation session for prequalified minority law firms.
  - Mentor MWBE law firms to handle more specialized cases.



# Executive Summary

## Financial Services

### MTA All Agency Underwriter Fees (April – September 2019)



**Actual WBE Participation = \$157,286 or 16%**  
**Actual MBE Participation = \$331,278 or 34%**  
**Actual SDVOB Participation = \$82,160 or 8%**  
**All Other Underwriting Fees = \$408,497 or 42%**  
**Total Underwriting Fees = \$979,223**



# Executive Summary

## Financial Services (Continued)

- **Status:** All goals were met. Total fees paid to MWBE/SDVOB is **58%!!!**
  
- **Trends**
  - Upward
  - Constant
  - Downward
  
- **Strategies for Improvement:** n/a



# Executive Summary

## Asset Fund Managers – MWBE Participation Combined Plans (as of September 30, 2019)

### Combined Plans

- Total assets managed by MWBEs: \$1.33 billion; or 16% of total assets
- Majority of assets are in traditional asset classes
- Traditional assets managed by MWBEs: \$1.23 billion; or 24% of traditional assets
  - MWBE firms manage
    - 55% of US Equities
    - 37% of Real Estate
    - 26% of Non-US Equities
    - 8% of Fixed Income
    - 1 % of Opportunistic
- Alternative investments managed by MWBE's: \$99.8 million; or 3% of alternative investments



# Executive Summary

## Asset Fund Managers – MWBE Participation Combined Plans (Continued)

New England Pension Consultants (NEPC) Diversity Advisory Committee

“In the interest of promoting equal access to all who seek to provide financial services to the MTA sponsored defined benefit plans, the MaBSTOA Investment Committee and the MTA Defined Benefit Pension Plan Board of Managers of Pensions has directed its investment advisor, NEPC, to review whether minority-owned and women-owned investment management firms are qualified in connection with every investment manager search that the investment advisor performs.”



# Executive Summary

## Asset Fund Managers – MWBE Participation Combined Plans (Continued)

- **Status:** NEPC has an in-house committee that is tasked with identifying emerging managers across all asset classes
  
- **Trends**
  - Upward
  - ☑ Constant
  - Downward
  
- **Strategies for Improvement:**
  - ☐ Proactively expand selection and recommendation of MWDBE Managers
  - ☐ Identify top-tier firms across all asset classes (public/alternatives)
  - ☐ Maintain a database of viable emerging managers
  - ☐ Thought leadership in emerging manager research
  - ☐ Increase utilization of emerging managers within our client's portfolio



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## Business and Diversity Initiatives

December 18, 2019



# Business and Diversity Initiatives

## July

Competitive Edge Conference celebrates 25<sup>th</sup> Anniversary "Small Businesses Winning in New York"

New York Women's Chamber of Commerce "ContractHer Program" Networking Event

MTAPD Recruitment participates at the Great Day in Harlem Business Expo

City University Construction Fund MWBE & SDVOB Opportunities Conference

## August

Greater Harlem Chamber of Commerce presents "NYC Economic Development Day Awards and Luncheon"

DDCR presents "DBE Certification Session"

Harlem Week Higher Education Fair and Upper Manhattan Business Expo

## September

SOBRO Procurement Technical Assistance Center MWBE Event

NYC Department of Citywide Administrative Services MWBE Networking Event



# Business and Diversity Initiatives

## September

New York Women's Chamber of Commerce Excellence Award Ceremony

New York Power Authority MWBE Networking Event

African American Chamber of Commerce of New Jersey presents "The State of Black New Jersey 2019 Conference"

DDCR presents MWBE Legal Firm Orientation Session



# Business and Diversity Initiatives

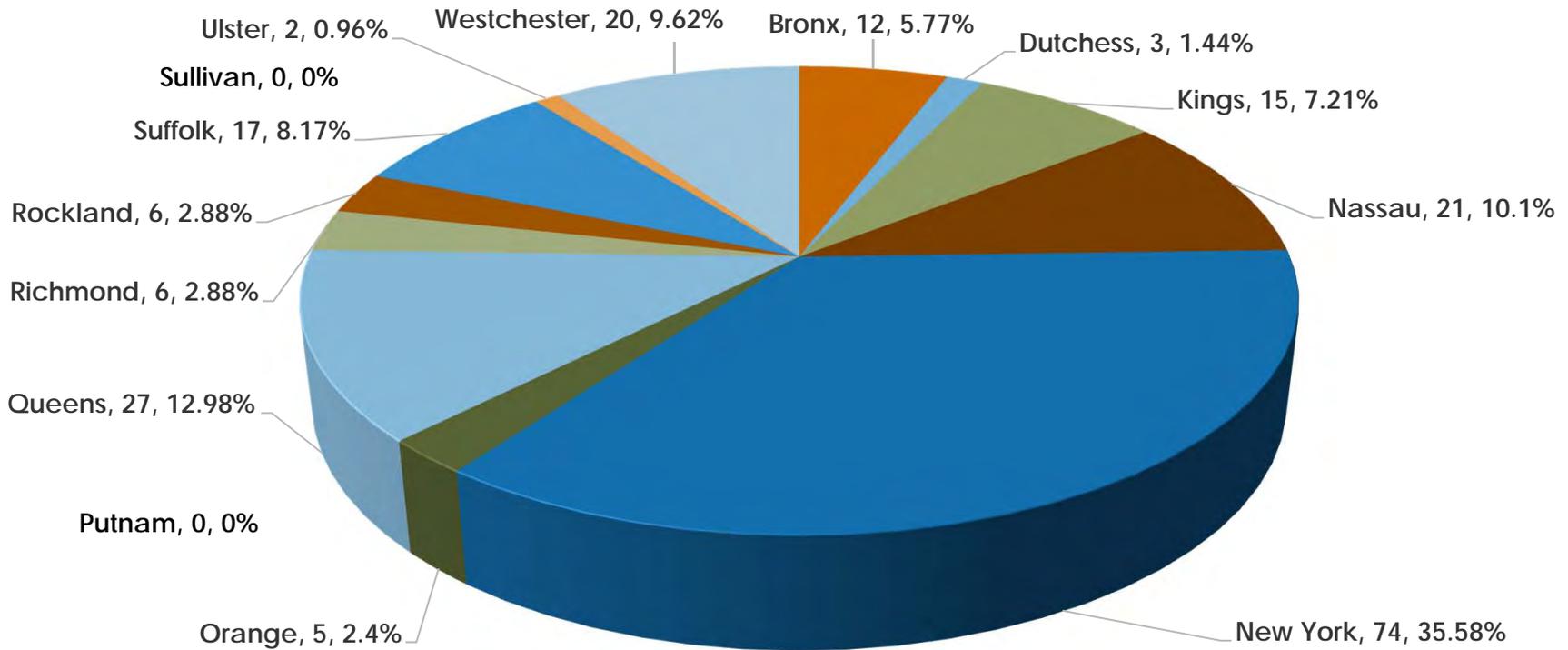
## 2019 NYS MWBE Forum Highlights Leading the Nation



- **The 2-day conference included:**
- Special Presentation on New Capital Program
- Special Presentation on LIRR Expansion Project
- Informative Presentations on contract opportunities
- All agency wide exhibit areas

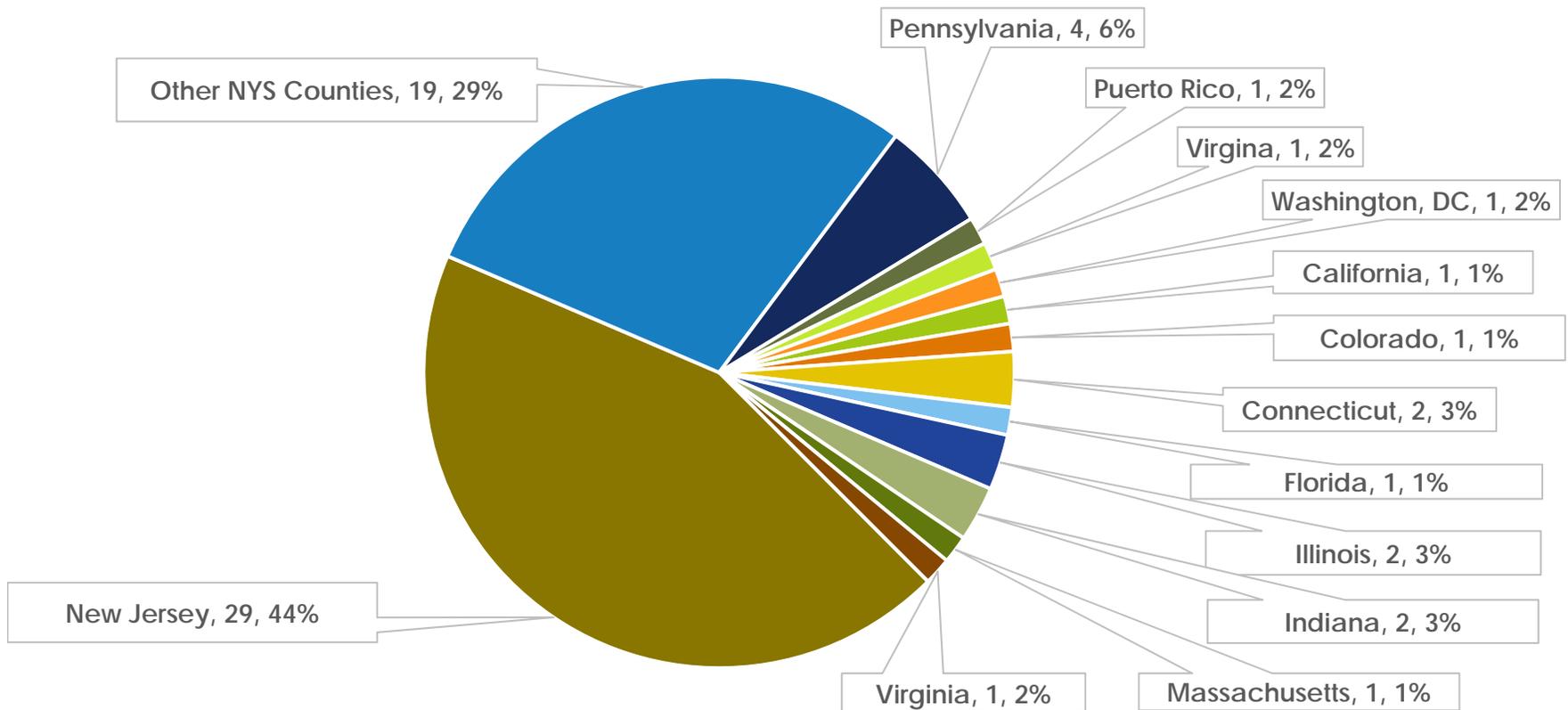
# Business and Diversity Initiatives

## Outreach Conducted In MTA Region Service Area (14 Counties) July 2019 – September 2019



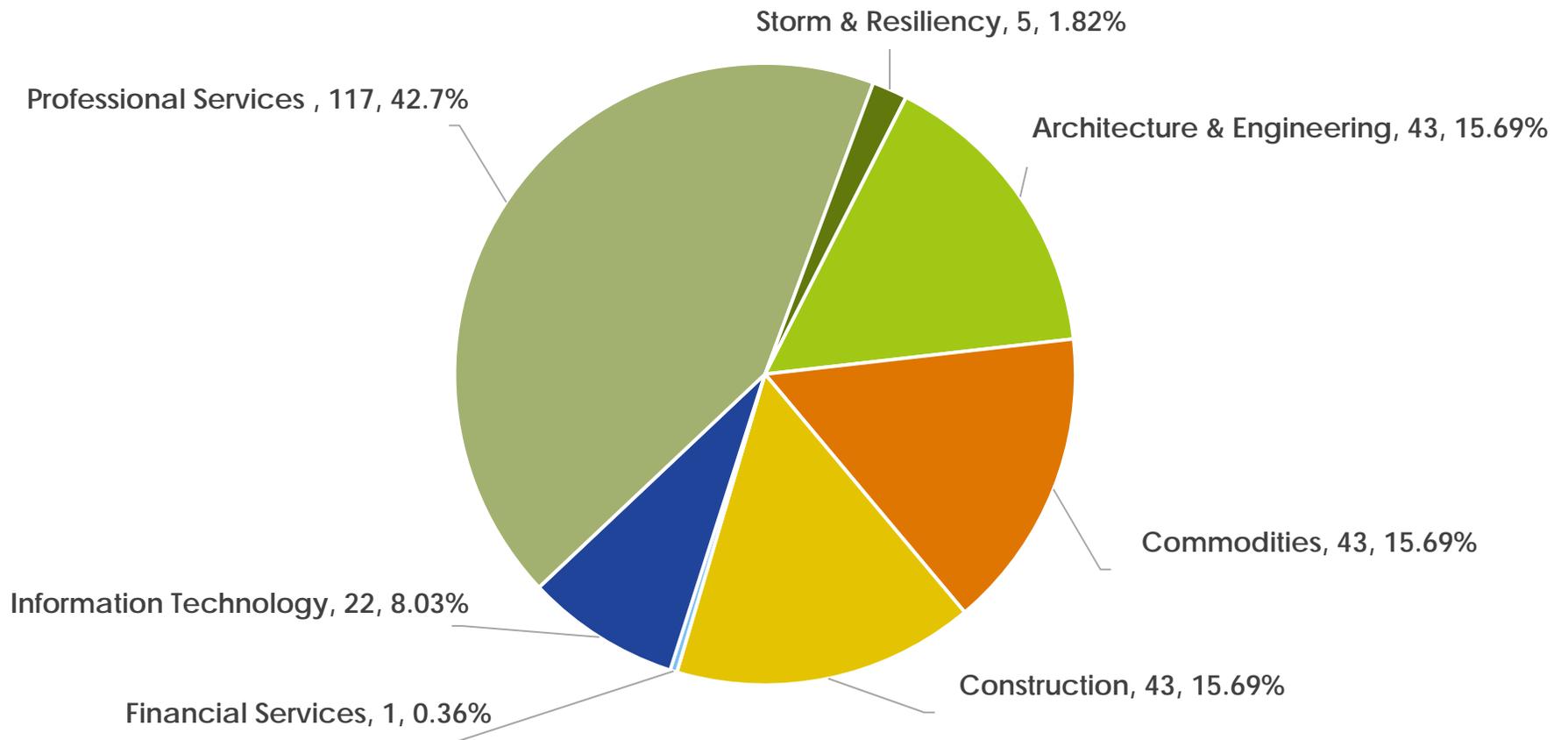
# Business and Diversity Initiatives

## Outreach Conducted Outside MTA Region Service Area July 2019 – September 2019



# Business and Diversity Initiatives

## Outreach Results By Business Type July 2019 – September 2019

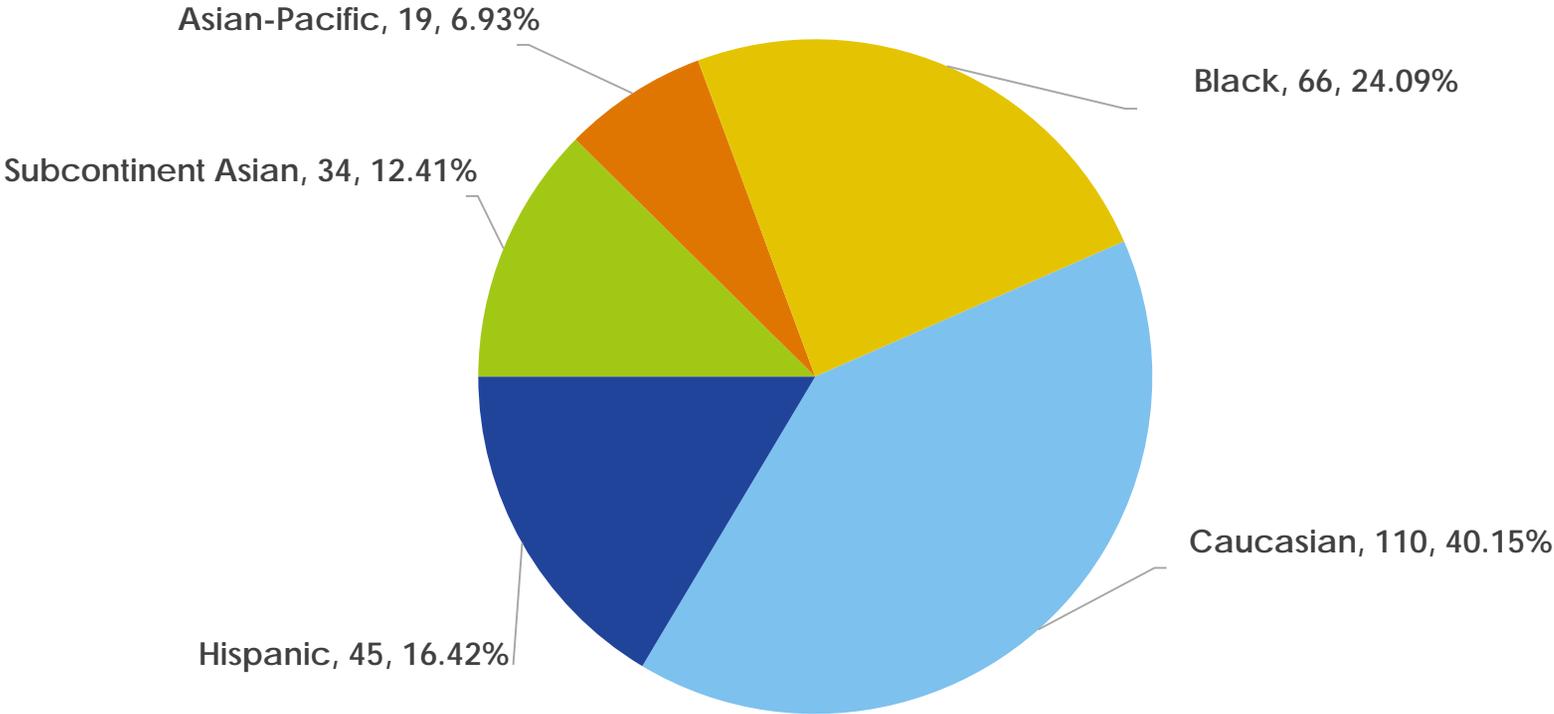


Total Firms: 274



# Business and Diversity Initiatives

## Outreach Results By Ethnicity July 2019 – September 2019



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## DBE Certification Activity Report

December 18, 2019



# MTA DBE Certification Unit

## CERTIFICATION APPLICATIONS RECEIVED JULY-OCTOBER 2017-2019

	2019	2018	2017
JULY	1	18	9
AUGUST	12	4	12
SEPTEMBER	5	3	6
OCTOBER	12	26	9
TOTAL	30	51	36

## CERTIFICATION ACTIVITY FOR NEW APPLICATIONS JULY-OCTOBER 2017-2019

	2019	2018	2017
CERTIFIED	35	27	15
DENIED	0	0	0
RETURNED	3	3	7
WITHDRAWN	4	2	9
TOTAL	42	32	31



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

MTA-Wide Workforce  
as of September 30, 2019

December 18, 2019



# MTA-Wide Workforce as of September 30, 2019

Agency	TOTAL		Minorities		WHITES		BLACKS		HISPANICS		ASIANS		AI/AN*		NHOPI**		2+ RACES		VETERANS			
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%		
B&T		1,316			741	56%	575	44%	336	26%	245	19%	93	7%	5	0%	1	0%	61	5%	72	5%
	F	282	21%	225	17%	57	4%	137	10%	52	4%	22	2%	2	0%	0	0%	12	1%	8	11%	
	M	1,034	79%	516	39%	518	39%	199	15%	193	15%	71	5%	3	0%	1	0%	49	4%	64	89%	
BUS		4,128			3291	80%	837	20%	1,860	45%	872	21%	349	8%	10	0%	12	0%	188	5%	48	1%
	F	527	13%	474	11%	53	1%	299	7%	131	3%	22	1%	1	0%	0	0%	21	1%	4	8%	
	M	3,601	87%	2817	68%	784	19%	1,561	38%	741	18%	327	8%	9	0%	12	0%	167	4%	44	92%	
CCC		122			68	56%	54	44%	23	19%	10	8%	29	24%	1	1%	0	0%	5	4%	1	1%
	F	47	39%	36	30%	11	9%	15	12%	9	7%	11	9%	0	0%	0	0%	1	1%	1	100%	
	M	75	61%	32	26%	43	35%	8	7%	1	1%	18	15%	1	1%	0	0%	4	3%	0	0%	
HQ		2,673			1524	57%	1,149	43%	599	22%	360	13%	418	16%	6	0%	1	0%	140	5%	70	3%
	F	895	33%	649	24%	246	9%	325	12%	125	5%	136	5%	0	0%	1	0%	62	2%	7	10%	
	M	1,778	67%	875	33%	903	34%	274	10%	235	9%	282	11%	6	0%	0	0%	78	3%	63	90%	
LIRR		7,579			2773	37%	4,806	63%	1,293	17%	872	12%	314	4%	22	0%	3	0%	269	4%	517	7%
	F	1,120	15%	582	8%	538	7%	346	5%	128	2%	58	1%	2	0%	1	0%	47	1%	25	5%	
	M	6,459	85%	2191	29%	4,268	56%	947	12%	744	10%	256	3%	20	0%	2	0%	222	3%	492	95%	
MNR		6,670			2602	39%	4,068	61%	1,340	20%	749	11%	204	3%	25	0%	2	0%	282	4%	504	8%
	F	846	13%	550	8%	296	4%	322	5%	121	2%	56	1%	4	0%	1	0%	46	1%	18	4%	
	M	5,824	87%	2052	31%	3,772	57%	1,018	15%	628	9%	148	2%	21	0%	1	0%	236	4%	486	96%	
NYCT		51,530			40497	79%	11,033	21%	23,940	46%	8,805	17%	6,208	12%	116	0%	20	0%	1,408	3%	766	1%
	F	9,554	19%	8825	17%	729	1%	6,526	13%	1,500	3%	498	1%	19	0%	3	0%	279	1%	69	9%	
	M	41,976	81%	31672	61%	10,304	20%	17,414	34%	7,305	14%	5,710	11%	97	0%	17	0%	1,129	2%	697	91%	
<b>Total</b>	<b>74,018</b>		<b>51,496</b>	<b>70%</b>	<b>22,522</b>	<b>30%</b>	<b>29,391</b>	<b>40%</b>	<b>11,913</b>	<b>16%</b>	<b>7,615</b>	<b>10%</b>	<b>185</b>	<b>0%</b>	<b>39</b>	<b>0%</b>	<b>2,353</b>	<b>3%</b>	<b>1,978</b>	<b>3%</b>		

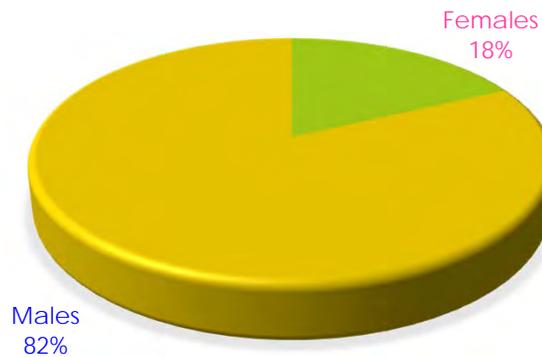
\*American Indian/Alaskan Native

\*\*Native Hawaiian Other Pacific Islander

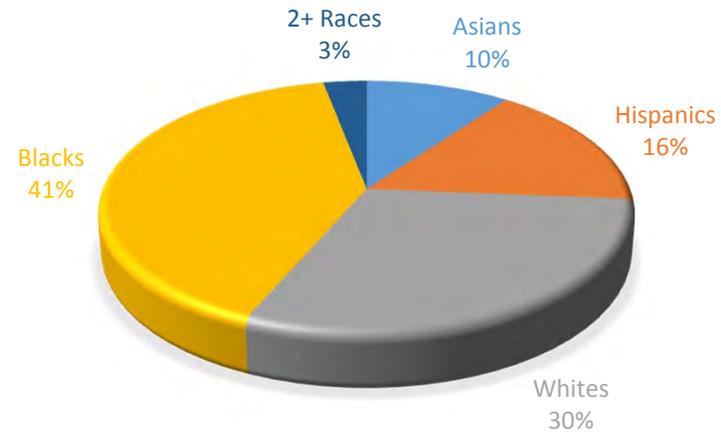


# MTA-Wide Workforce as of September 30, 2019

## Workforce By Gender



## Workforce By Race/Ethnicity



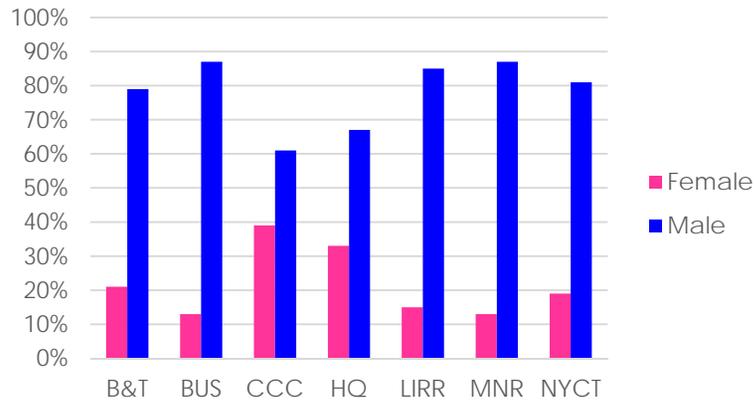
MTA employed **74,018** people: **18%** of the workforce were females, **70%** minorities, and veterans comprised **3%**.

- ❑ The percentage of females employed in the workforce has **remained constant** when compared to 3Q18.
- ❑ The percentage of minorities in the workforce has **increased by 1%** when compared to 3Q18.

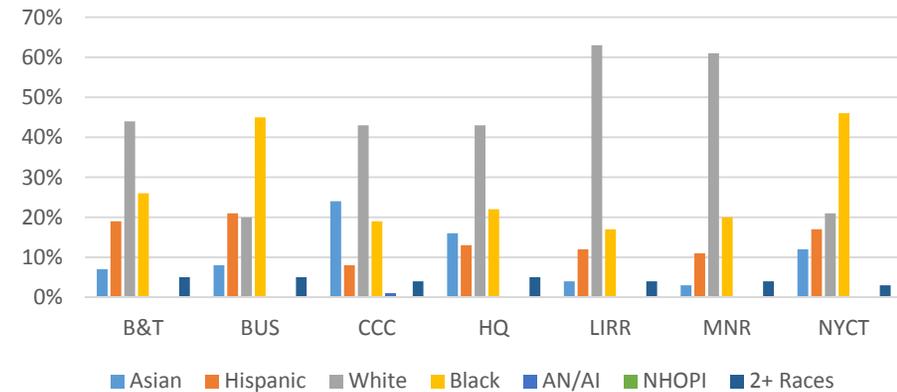


# MTA-Wide Workforce by Gender and Race/Ethnicity as of September 30, 2019

## MTA Agencies By Gender



## MTA Agencies By Race/Ethnicity



Agency	Employees	Females	Minorities
B&T	1316	21%	56%
BUS	4128	13%	80%
CCC	122	39%	56%
HQ	2673	33%	57%
LIRR	7579	15%	37%
MNR	6670	13%	39%
NYCT	51,530	19%	79%



# Definitions of EEO Job Categories

- ❑ **Officials & Administrators** - Occupations in which employees set broad policies, exercise overall responsibility for execution of these policies, or direct individual departments or special phases of the agency's operations, or provide specialized consultation on a regional, district or area basis.
- ❑ **Professionals** - Occupations which require specialized and theoretical knowledge which is usually acquired through college training or through work experience and other training which provides comparable knowledge.
- ❑ **Technicians** - Occupations which require a combination of basic scientific or technical knowledge and manual skill which can be obtained through specialized post-secondary school education or through equivalent on-the-job training.
- ❑ **Protective Services** - Occupations in which workers are entrusted with public safety, security and protection from destructive forces.



# Definitions of EEO Job Categories

- ❑ **Paraprofessionals** - Occupations in which workers perform some of the duties of a professional or technician in a supportive role, which usually require less formal training and/or experience normally required for professional or technical status.
- ❑ **Administrative Support** - Occupations in which workers are responsible for internal and external communication, recording and retrieval of data and/or information and other paperwork required in an office.
- ❑ **Skilled Craft** - Occupations in which workers perform jobs which require special manual skill and a thorough and comprehensive knowledge of the process involved in the work which is acquired through on-the-job training and experience or through apprenticeship or other formal training programs.
- ❑ **Service Maintenance** - Occupations in which workers perform duties which result in or contribute to the comfort, convenience, hygiene or safety of the general public or which contribute to the upkeep and care of buildings, facilities or grounds of public property.



# MTA-Wide Underutilization Analysis Overview

MTA and all agencies conducted a utilization analysis of females and minorities in its workforce. The utilization analysis consists of comparing the percentage of females and minorities in the workforce to the percentages of qualified females and minorities in the relevant labor market.

As of September 30, 2019, a majority of the underrepresentation of **females, Asians, Blacks** and **Hispanics** occurred within the Technicians, Skilled Craft, Administrative Support and Service Maintenance job categories.

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



Note: The following numbers and information do not reflect underutilization for specific job groups. In addition, the numbers and information provided do not show statistical disparities or explain the reasons or provide a root cause analysis for any identified underutilization.

# MTA-Wide Underutilization Analysis as of September 30, 2019

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOPI**		2+ Races		Whites	
		Est Avail	Actual %												
<b>Officials &amp; Administrators</b>															
<b>B&amp;T</b>	<b>F</b>	8%	12%	4%	2%	3%	4%	0%	0%	0%	0%	1%	2%	10%	7%
	<b>M</b>	7%	10%	6%	7%	5%	9%	0%	0%	0%	0%	3%	4%		
<b>BUS</b>	<b>F</b>	5%	10%	2%	3%	2%	3%	0%	0%	0%	0%	1%	1%	16%	4%
	<b>M</b>	6%	15%	5%	13%	5%	9%	0%	0%	0%	0%	1%	4%		
<b>CCC</b>	<b>F</b>	4%	9%	3%	5%	3%	6%	0%	0%	0%	0%	0%	0%	15%	11%
	<b>M</b>	4%	5%	3%	0%	9%	18%	0%	1%	0%	0%	1%	3%		
<b>HQ</b>	<b>F</b>	5%	14%	3%	5%	4%	6%	0%	0%	0%	0%	1%	2%	16%	14%
	<b>M</b>	7%	8%	4%	4%	6%	11%	0%	0%	0%	0%	1%	3%		
<b>LIRR</b>	<b>F</b>	5%	4%	2%	2%	1%	2%	0%	0%	0%	0%	1%	1%	11%	10%
	<b>M</b>	7%	8%	6%	7%	3%	5%	0%	1%	0%	0%	1%	4%		
<b>MNR</b>	<b>F</b>	4%	5%	2%	3%	2%	4%	0%	0%	0%	0%	1%	1%	10%	10%
	<b>M</b>	8%	10%	5%	6%	3%	5%	0%	0%	0%	0%	2%	3%		
<b>NYCT</b>	<b>F</b>	7%	12%	2%	2%	2%	3%	0%	0%	0%	0%	1%	1%	9%	6%
	<b>M</b>	14%	19%	7%	9%	8%	11%	0%	0%	0%	0%	1%	3%		

Note: The underutilized areas of representation are shaded. \*American Indian/Alaskan Native. \*\*Native Hawaiian Other Pacific Islander  
 Note: Pursuant to FTA Circular 4704.1A EEO Requirements and Guidelines, white males have been excluded from the underutilization analysis.



# MTA-Wide Underutilization Analysis as of September 30, 2019

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOP>**		2+ Races		Whites	
		Est Avail	Actual %												
<b>Professionals</b>															
<b>B&amp;T</b>	F	8%	16%	4%	9%	3%	5%	0%	0%	0%	0%	1%	2%	14%	13%
	M	7%	6%	8%	10%	5%	6%	0%	0%	0%	1%	1%	7%		
<b>BUS</b>	F	10%	16%	6%	11%	5%	9%	0%	0%	0%	0%	2%	3%	13%	6%
	M	6%	12%	4%	6%	8%	16%	0%	0%	0%	0%	1%	5%		
<b>CCC</b>	F	11%	30%	7%	5%	11%	25%	0%	0%	0%	0%	0%	0%	23%	5%
	M	9%	10%	6%	0%	8%	5%	0%	0%	0%	0%	1%	5%		
<b>HQ</b>	F	6%	15%	4%	5%	4%	7%	0%	0%	0%	0%	1%	3%	20%	8%
	M	5%	12%	4%	9%	5%	15%	0%	0%	0%	0%	1%	4%		
<b>LIRR</b>	F	3%	2%	2%	2%	2%	3%	0%	0%	0%	0%	0%	1%	14%	7%
	M	6%	13%	5%	9%	6%	11%	0%	0%	0%	0%	1%	4%		
<b>MNR</b>	F	7%	12%	5%	5%	3%	5%	0%	1%	0%	0%	1%	2%	20%	10%
	M	6%	9%	5%	8%	4%	8%	0%	0%	0%	0%	1%	4%		
<b>NYCT</b>	F	6%	16%	4%	5%	4%	8%	0%	0%	0%	0%	0%	2%	18%	8%
	M	7%	15%	5%	5%	8%	20%	0%	0%	0%	0%	1%	2%		

Note: The underutilized areas of representation are shaded. \*American Indian/Alaskan Native. \*\*Native Hawaiian Other Pacific Islander

Note: Pursuant to FTA Circular 4704.1A EEO Requirements and Guidelines, white males have been excluded from the underutilization analysis.



# MTA-Wide Underutilization Analysis as of September 30, 2019

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOPI**		2+ Races		Whites	
		Est Avail	Actual %												
<b>Technicians</b>															
B&T	F	10%	5%	3%	6%	0%	1%	0%	0%	0%	0%	1%	1%	2%	4%
	M	14%	10%	16%	21%	3%	4%	0%	0%	0%	0%	2%	1%		
BUS	F	5%	6%	10%	13%	0%	0%	0%	0%	0%	0%	0%	0%	35%	44%
	M	0%	0%	0%	0%	5%	6%	0%	0%	0%	0%	5%	6%		
CCC	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
HQ	F	3%	0%	2%	1%	0%	0%	0%	0%	0%	0%	1%	1%	6%	3%
	M	7%	9%	11%	6%	3%	5%	0%	0%	0%	0%	1%	0%		
LIRR	F	3%	7%	3%	0%	2%	0%	0%	0%	0%	0%	0%	0%	6%	0%
	M	10%	7%	9%	14%	8%	7%	0%	7%	0%	0%	0%	7%		
MNR	F	2%	4%	1%	2%	1%	0%	0%	0%	0%	0%	0%	2%	3%	3%
	M	14%	17%	9%	7%	2%	6%	1%	0%	0%	0%	3%	4%		
NYCT	F	4%	22%	3%	4%	3%	2%	0%	0%	0%	0%	0%	1%	13%	6%
	M	10%	21%	6%	6%	9%	13%	0%	0%	0%	0%	1%	4%		

Note: The underutilized areas of representation are shaded. \*American Indian/Alaskan Native. \*\*Native Hawaiian Other Pacific Islander  
 Note: Pursuant to FTA Circular 4704.1A EEO Requirements and Guidelines, white males have been excluded from the underutilization analysis.



# MTA-Wide Underutilization Analysis as of September 30, 2019

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOPI**		2+ Races		Whites	
		Est Avail	Actual %												
<b>Protective Services</b>															
<b>B&amp;T</b>	F	10%	13%	4%	3%	0%	0%	0%	0%	0%	0%	0%	1%	4%	2%
	M	12%	20%	15%	21%	3%	4%	0%	0%	0%	0%	1%	3%		
<b>BUS</b>	F	0%	0%	13%	17%	0%	0%	0%	0%	0%	0%	0%	0%	13%	17%
	M	40%	33%	0%	17%	0%	0%	0%	0%	0%	0%	13%	17%		
<b>CCC</b>	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
<b>HQ</b>	F	3%	3%	2%	4%	0%	0%	0%	0%	0%	0%	0%	1%	7%	6%
	M	7%	10%	8%	16%	2%	4%	0%	0%	0%	0%	1%	2%		
<b>LIRR</b>	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
<b>MNR</b>	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
<b>NYCT</b>	F	9%	15%	3%	3%	1%	0%	0%	0%	0%	0%	0%	1%	3%	2%
	M	27%	35%	15%	17%	4%	6%	0%	0%	0%	0%	0%	2%		

Note: The underutilized areas of representation are shaded. \*American Indian/Alaskan Native. \*\*Native Hawaiian Other Pacific Islander  
 Note: Pursuant to FTA Circular 4704.1A EEO Requirements and Guidelines, white males have been excluded from the underutilization analysis.



# MTA-Wide Underutilization Analysis as of September 30, 2019

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOPI**		2+ Races		Whites	
		Est Avail	Actual %												
<b>Para-Professionals</b>															
B&T	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	
BUS	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	
CCC	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	
HQ	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	
LIRR	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	
MNR	F	12%	15%	12%	8%	4%	8%	0%	0%	0%	0%	1%	0%	41%	23%
	M	2%	0%	2%	0%	1%	0%	0%	0%	0%	0%	0%	8%		
NYCT	F	10%	31%	10%	17%	4%	7%	0%	0%	0%	0%	1%	5%	31%	3%
	M	4%	19%	3%	5%	2%	3%	0%	0%	0%	0%	0%	2%		

Note: The underutilized areas of representation are shaded. \*American Indian/Alaskan Native. \*\*Native Hawaiian Other Pacific Islander  
 Note: Pursuant to FTA Circular 4704.1A EEO Requirements and Guidelines, white males have been excluded from the underutilization analysis.



# MTA-Wide Underutilization Analysis as of September 30, 2019

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOP1**		2+ Races		Whites	
		Est Avail	Actual %												
<b>Administrative Support</b>															
<b>B&amp;T</b>	F	14%	64%	14%	8%	5%	4%	0%	0%	0%	0%	1%	0%	35%	4%
	M	3%	4%	3%	0%	2%	4%	0%	0%	0%	0%	0%	0%		
<b>BUS</b>	F	13%	15%	9%	8%	2%	2%	0%	0%	0%	0%	2%	3%	14%	5%
	M	11%	20%	4%	3%	6%	11%	1%	0%	0%	0%	5%	9%		
<b>CCC</b>	F	12%	13%	12%	38%	3%	0%	0%	0%	0%	0%	1%	13%	26%	0%
	M	1%	13%	1%	13%	1%	0%	0%	0%	0%	0%	0%	0%		
<b>HQ</b>	F	11%	34%	11%	9%	4%	3%	0%	0%	0%	0%	1%	6%	41%	18%
	M	2%	10%	2%	6%	1%	5%	0%	0%	0%	0%	0%	0%		
<b>LIRR</b>	F	13%	21%	10%	6%	4%	2%	0%	0%	0%	0%	1%	2%	26%	22%
	M	5%	10%	4%	5%	2%	2%	0%	0%	0%	0%	1%	2%		
<b>MNR</b>	F	10%	21%	6%	7%	2%	2%	0%	0%	0%	0%	1%	2%	15%	9%
	M	11%	14%	7%	8%	2%	1%	0%	0%	0%	0%	2%	3%		
<b>NYCT</b>	F	14%	32%	15%	6%	6%	3%	0%	0%	0%	0%	0%	1%	17%	2%
	M	7%	22%	9%	9%	4%	15%	0%	0%	0%	0%	0%	1%		

Note: The underutilized areas of representation are shaded. \*American Indian/Alaskan Native. \*\*Native Hawaiian Other Pacific Islander

Note: Pursuant to FTA Circular 4704.1A EEO Requirements and Guidelines, white males have been excluded from the underutilization analysis.



# MTA-Wide Underutilization Analysis as of September 30, 2019

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOP1**		2+ Races		Whites	
		Est Avail	Actual %												
<b>Skilled Craft</b>															
<b>B&amp;T</b>	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
<b>BUS</b>	F	1%	0%	1%	0%	0%	0%	0%	0%	0%	0%	0%	0%	1%	0%
	M	23%	34%	13%	15%	9%	11%	0%	0%	1%	1%	4%	6%		
<b>CCC</b>	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
<b>HQ</b>	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
<b>LIRR</b>	F	5%	3%	2%	1%	0%	0%	0%	0%	0%	0%	0%	0%	5%	5%
	M	14%	13%	11%	11%	4%	3%	0%	0%	1%	0%	2%	3%		
<b>MNR</b>	F	1%	1%	1%	0%	0%	0%	0%	0%	0%	0%	0%	0%	2%	1%
	M	13%	16%	10%	10%	2%	1%	0%	1%	0%	0%	2%	4%		
<b>NYCT</b>	F	6%	4%	3%	1%	2%	0%	0%	0%	0%	0%	0%	0%	8%	0%
	M	16%	32%	12%	12%	7%	16%	0%	0%	0%	0%	1%	3%		

Note: The underutilized areas of representation are shaded. \*American Indian/Alaskan Native. \*\*Native Hawaiian Other Pacific Islander

Note: Pursuant to FTA Circular 4704.1A EEO Requirements and Guidelines, white males have been excluded from the underutilization analysis.



# MTA-Wide Underutilization Analysis as of September 30, 2019

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOPI**		2+ Races		Whites	
		Est Avail	Actual %												
<b>Service Maintenance</b>															
B&T	F	2%	1%	4%	2%	1%	0%	0%	0%	0%	0%	0%	0%	2%	1%
	M	15	20%	18%	14%	4%	4%	0%	1%	0%	0%	2%	4%		
BUS	F	7%	8%	5%	3%	0%	0%	0%	0%	0%	0%	0%	0%	6%	1%
	M	26%	43%	16%	20%	4%	6%	0%	0%	0%	0%	1%	3%		
CCC	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
HQ	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
LIRR	F	6%	8%	5%	3%	1%	0%	0%	0%	0%	0%	0%	1%	6%	5%
	M	13%	19%	16%	12%	2%	2%	0%	0%	0%	0%	1%	3%		
MNR	F	4%	8%	6%	3%	1%	0%	0%	0%	0%	0%	0%	1%	4%	7%
	M	15%	17%	21%	10%	2%	2%	0%	0%	0%	0%	1%	3%		
NYCT	F	5%	15%	8%	4%	2%	0%	0%	0%	0%	0%	0%	0%	6%	1%
	M	14%	41%	23%	19%	4%	6%	0%	0%	0%	0%	0%	2%		

Note: The underutilized areas of representation are shaded. \*American Indian/Alaskan Native. \*\*Native Hawaiian Other Pacific Islander

Note: Pursuant to FTA Circular 4704.1A EEO Requirements and Guidelines, white males have been excluded from the underutilization analysis.



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

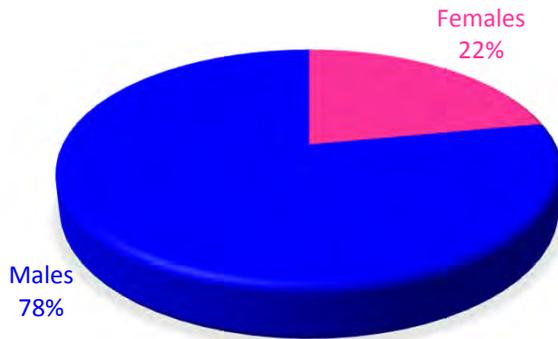
MTA-Wide New Hires and Veterans  
Third Quarter 2019

December 18, 2019

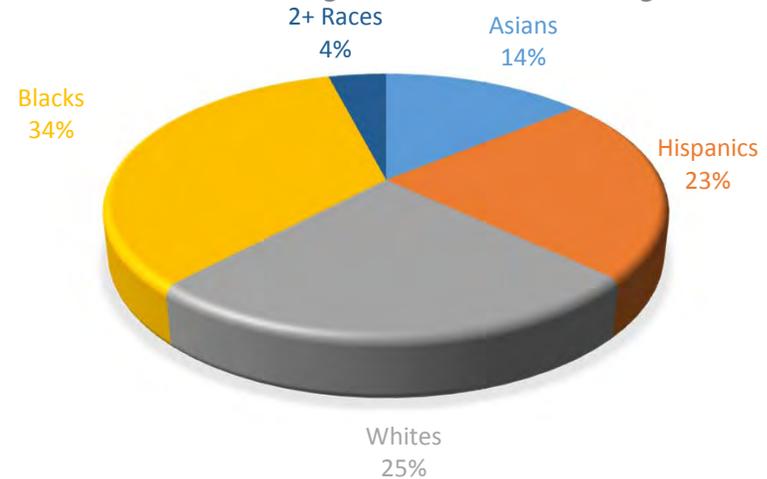


# MTA-Wide New Hires January 1, 2019 to Sept. 30, 2019

## New Hires By Gender



## New Hires By Race/Ethnicity



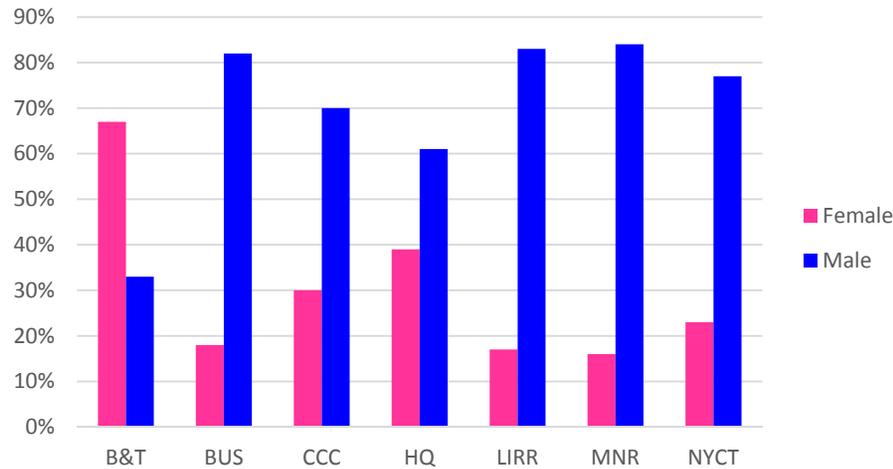
MTA hired **3,229** employees, including **101** veterans: **22%** of new hires were females and minorities comprised **78%**.

- ❑ Females were hired above their percentage of representation in the workforce.
- ❑ Minorities were hired above their percentage of representation in the workforce.

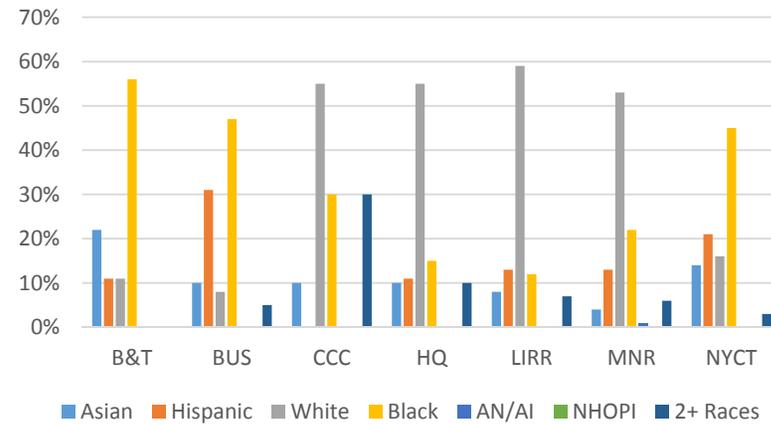


# New Hires By Agency January 1, 2019 to September 30, 2019

### MTA Agencies New Hires By Gender



### MTA Agencies New Hires By Race/Ethnicity



Agency	New Hires	Females	Minorities
B&T	9	67%	89%
BUS	330	18%	92%
CCC	10	30%	70%
HQ	82	39%	45%
LIRR	204	17%	41%
MNR	289	16%	47%
NYCT	2305	23%	84%



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

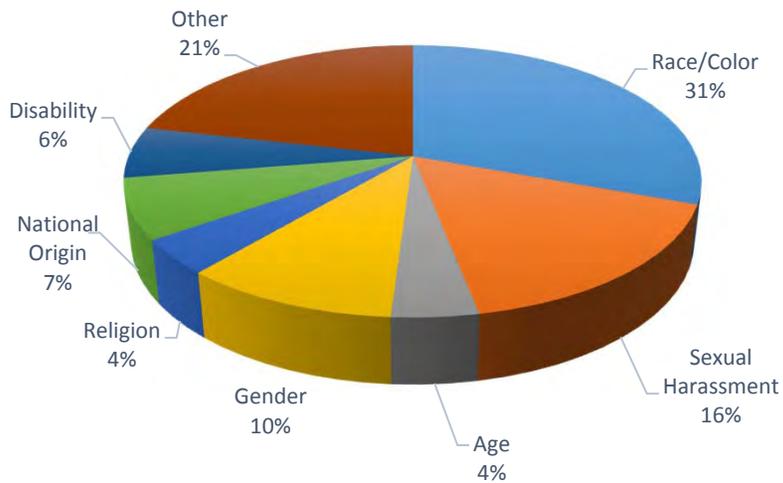
## MTA-Wide Complaints and Lawsuits Third Quarter 2019



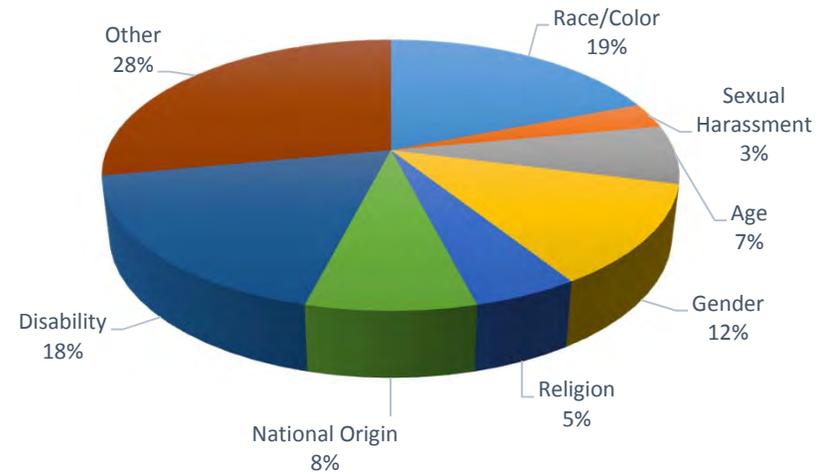
December 18, 2019

# MTA-Wide EEO Internal/External Discrimination Complaints by Bases January 1, 2019 to September 30, 2019

### Internal EEO Complaints by Bases



### External EEO Complaints by Bases



MTA handled **412** EEO complaints, citing **813** separate bases, and **113** lawsuits.

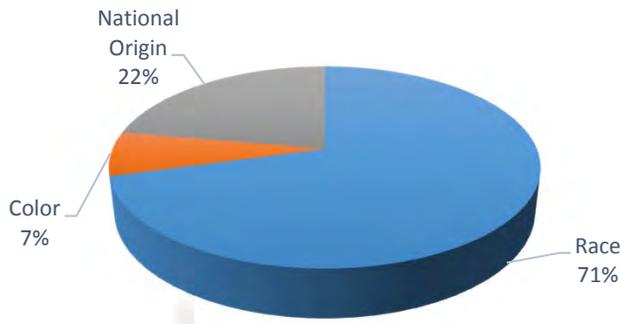
- ❑ **250** filed internal complaints.
- ❑ **162** filed external complaints.
- ❑ The most frequently cited bases internally and externally combined was race/color.

Note: Complaints can be filed alleging multiple bases.

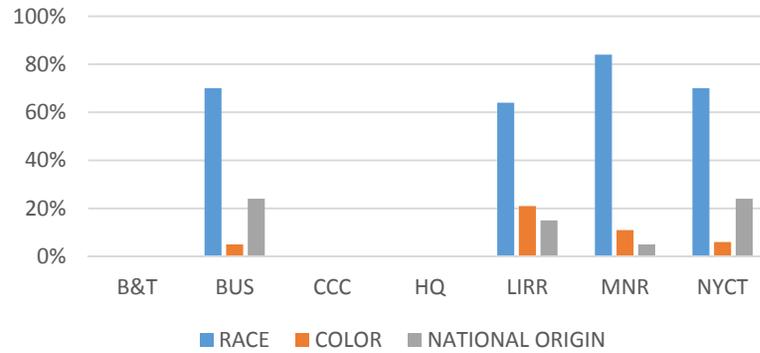


# MTA-Wide Title VI Complaints by Bases and Lawsuits January 1, 2019 to September 30, 2019

**MTA-Wide Title VI  
Complaints by Bases**



**Title VI Complaints by Agency**



MTA handled a total of **310** Title VI complaints with **338** bases and **0** Title VI lawsuits.

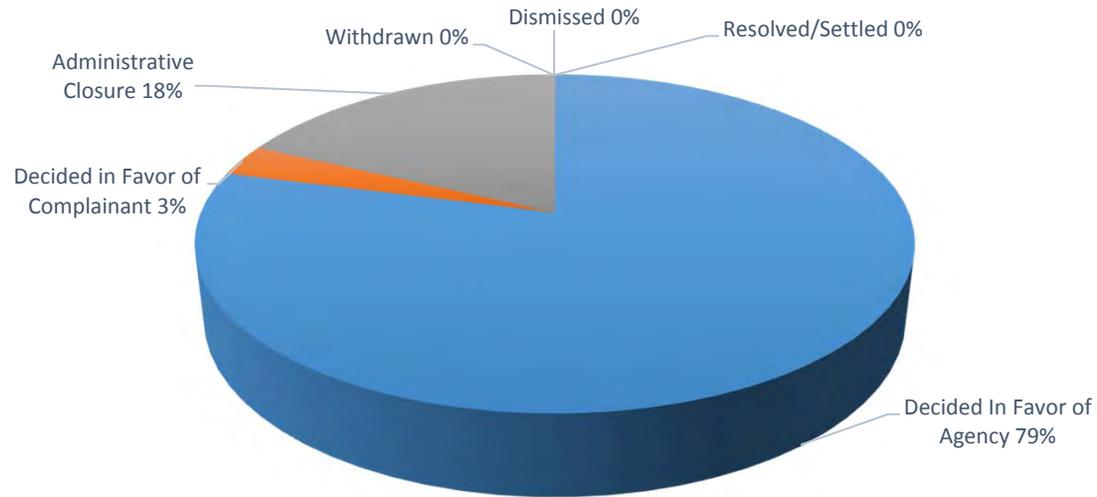
Agency	Complaints	Bases	Race	Color	National Origin
BUS	104	111	70%	5%	24%
LIRR	24	33	64%	21%	15%
MNR	18	19	84%	11%	5%
NYCT	164	175	70%	6%	24%

Note: Complaints can be filed alleging multiple bases.



# MTA-Wide Title VI Complaints and Lawsuits Dispositions January 1, 2019 to September 30, 2019

### Overall Title VI Complaints and Lawsuits Dispositions



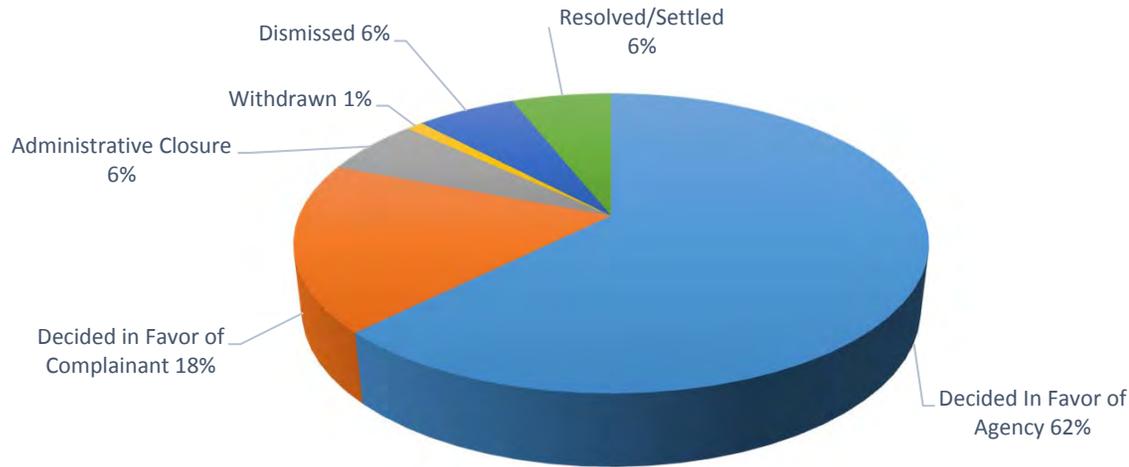
MTA disposed of **149** Title VI complaints and **0** Title VI lawsuits

- ❑ **79%** complaints decided in favor of the agency.
- ❑ **3%** complaints decided in favor of the complainant.
- ❑ **18%** complaints were administrative closures.
- ❑ **0%** complaints were dismissed.
- ❑ **0%** complaints were resolved/settled.



# MTA-Wide EEO Complaints and Lawsuits Dispositions January 1, 2019 to September 30, 2019

### Overall EEO Complaints and Lawsuits Dispositions



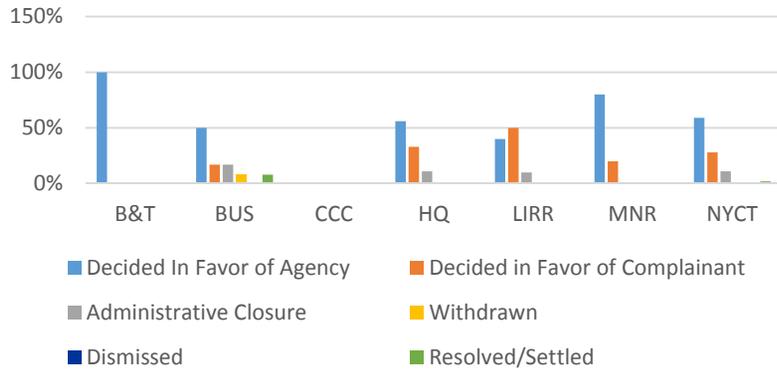
MTA disposed **143** EEO complaints and **16** EEO lawsuits.

- ❑ **62%** complaints/lawsuits decided in favor of the agency.
- ❑ **18%** complaints /lawsuits decided in favor of the complainant.
- ❑ **6%** complaints/lawsuits were administrative closures.
- ❑ **1%** complaints/lawsuits were withdrawn.
- ❑ **6%** complaints/lawsuits were dismissed.
- ❑ **6%** complaints/lawsuits were resolved/settled.

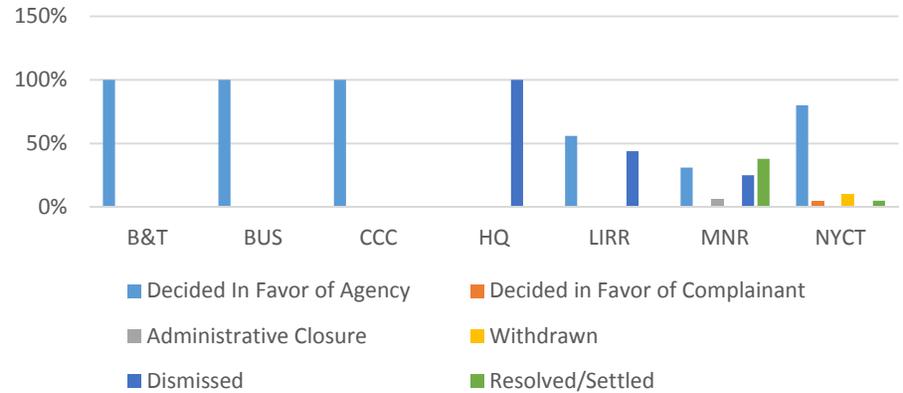


# MTA-Wide Internal/External EEO Complaints and Lawsuits Dispositions January 1, 2019 to September 30, 2019

### EEO Internal Complaint Dispositions



### EEO External Complaint and Lawsuits Dispositions



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## MTA Small Business Development Program Business Development Initiatives and MWDBE Results

December 18, 2019



# Small Business Development Program

## Mission Statement

To develop and grow emerging contractors through classes, on-the-job training and technical assistance on prime contracts with MTA Agencies, thereby creating a larger pool of diverse qualified contractors who can compete for, and complete MTA construction projects safely, timely and within budget.



# Elements of the SBDP

- Prime Contract Bid Opportunities up to \$3 million
- Business Management, Leadership and Technical Training
- Access to Working Capital and Surety Bonding
- Comprehensive business consulting services
- Experience working on MTA Projects up to \$3 million
- Fast-Track Payments – 10 Business Days



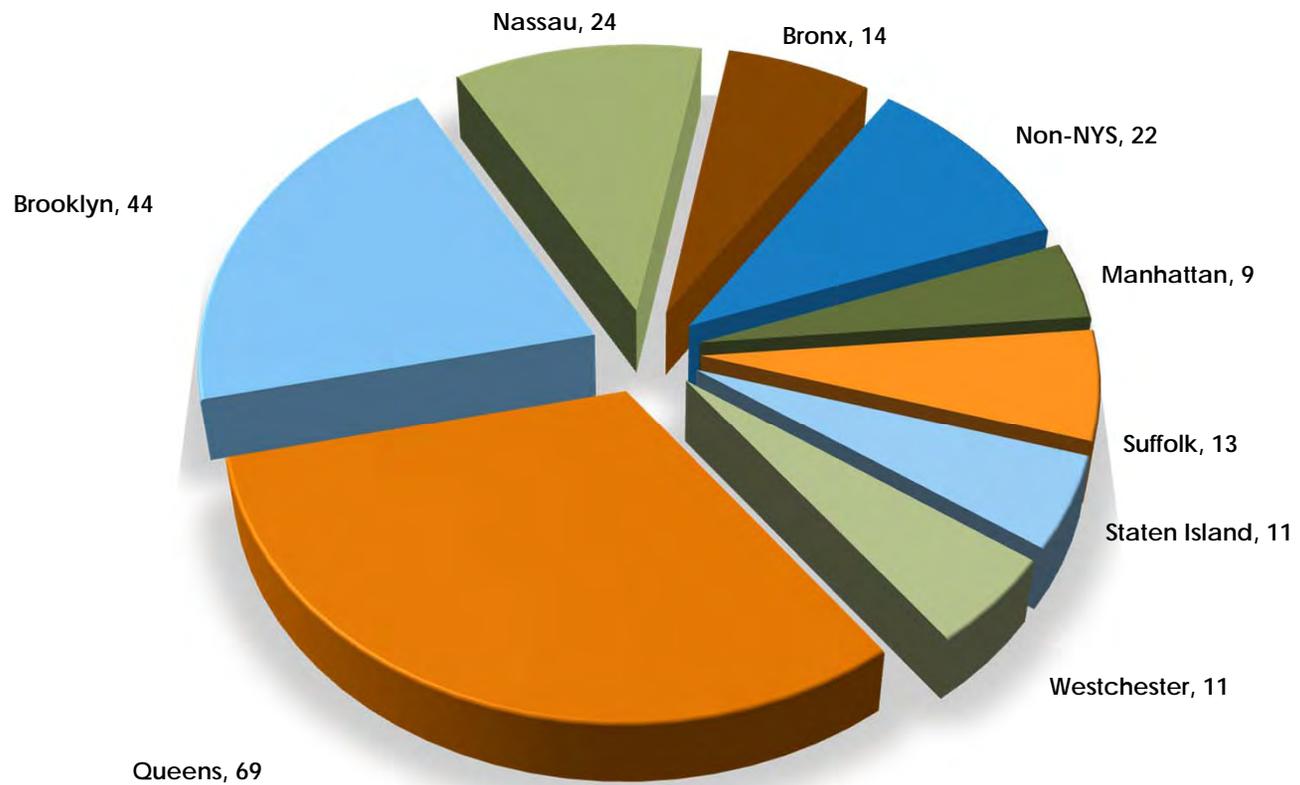
# SBDP Represents NY Metro Region

## Small Business Mentoring Program All Tiers

Certification *	
MBE	138
WBE	29
DBE	49
SDVOB	10
Non-Certified	62

\* firms may have multiple certifications

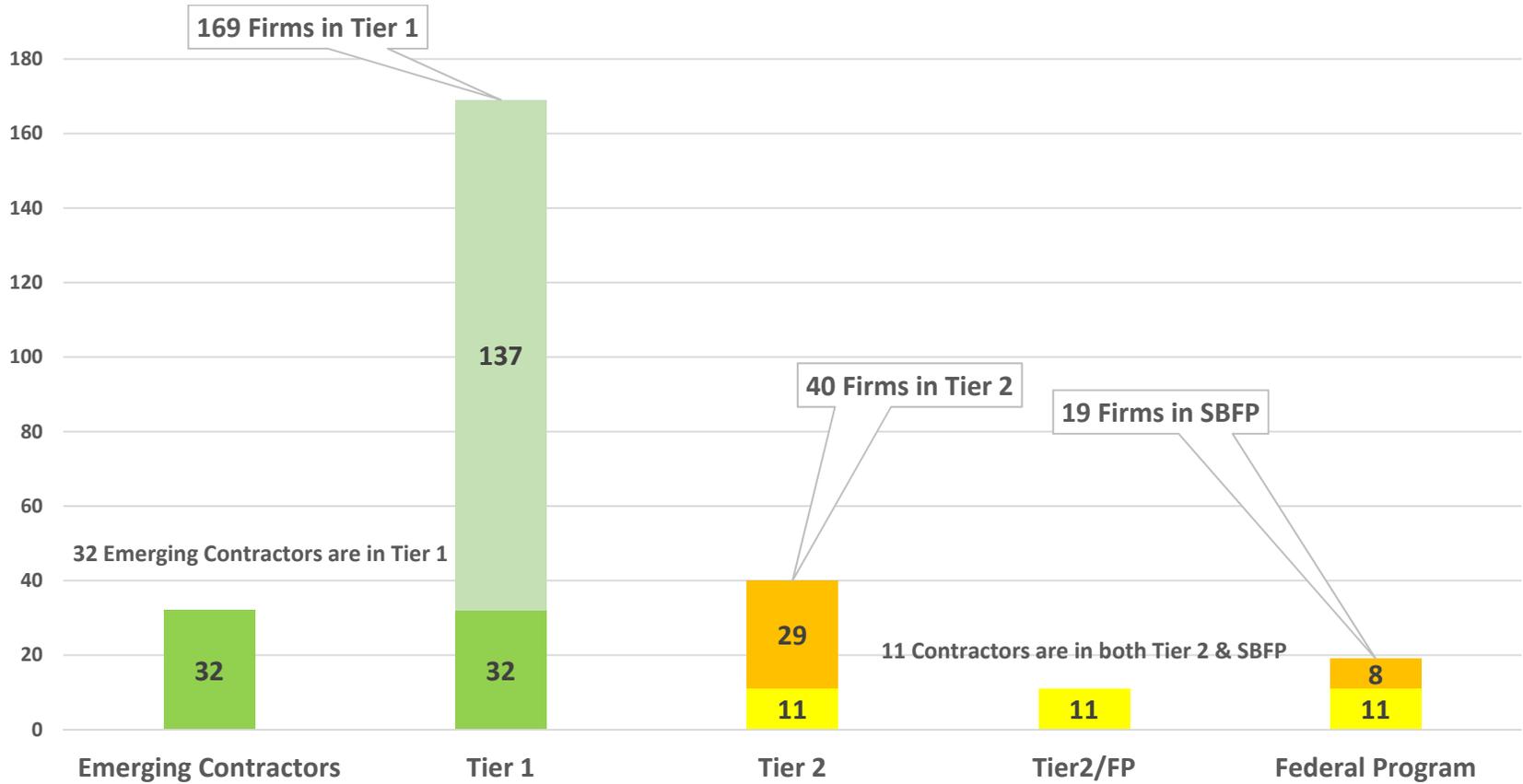
217\* Prequalified Firms (as of September 30, 2019)



\* Note: 11 firms are in both Tier 2 and SBFP with each counted only once above.



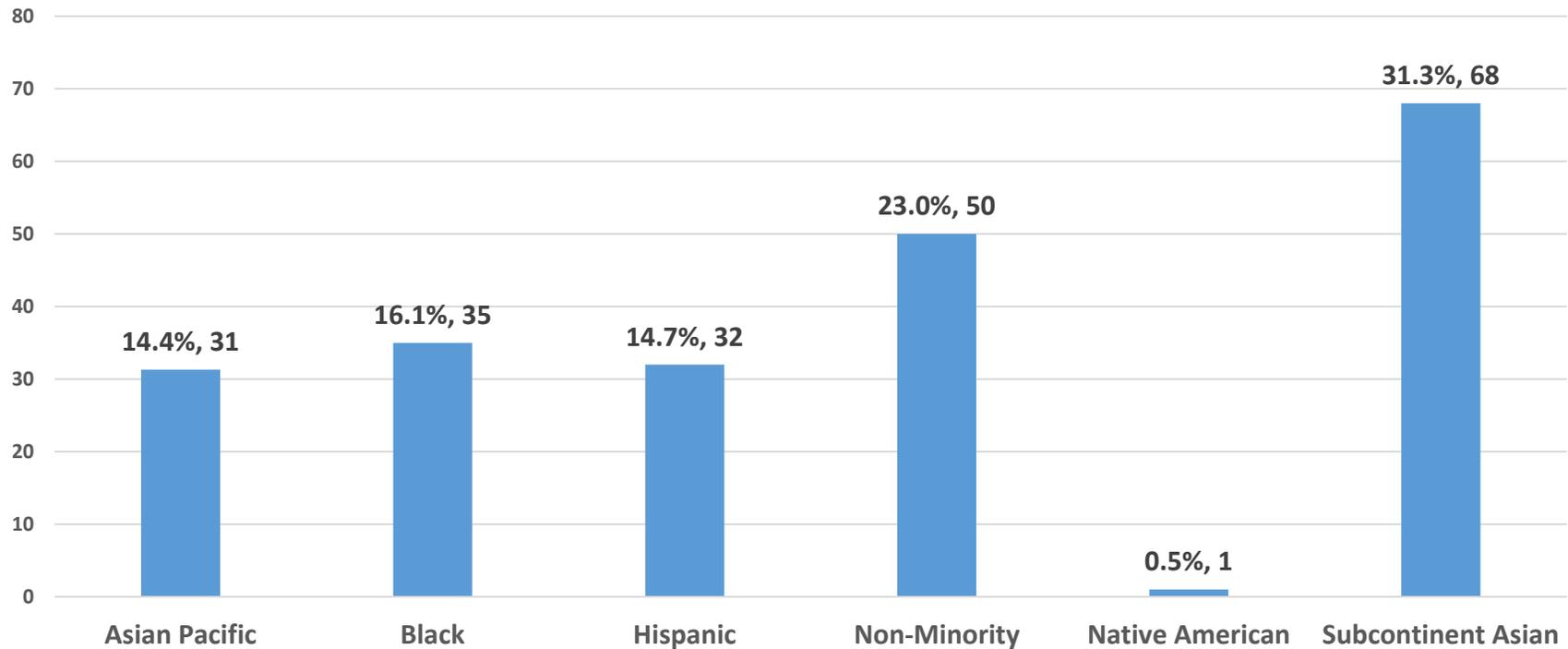
# SBDP Tier Participants



as of September 30, 2019



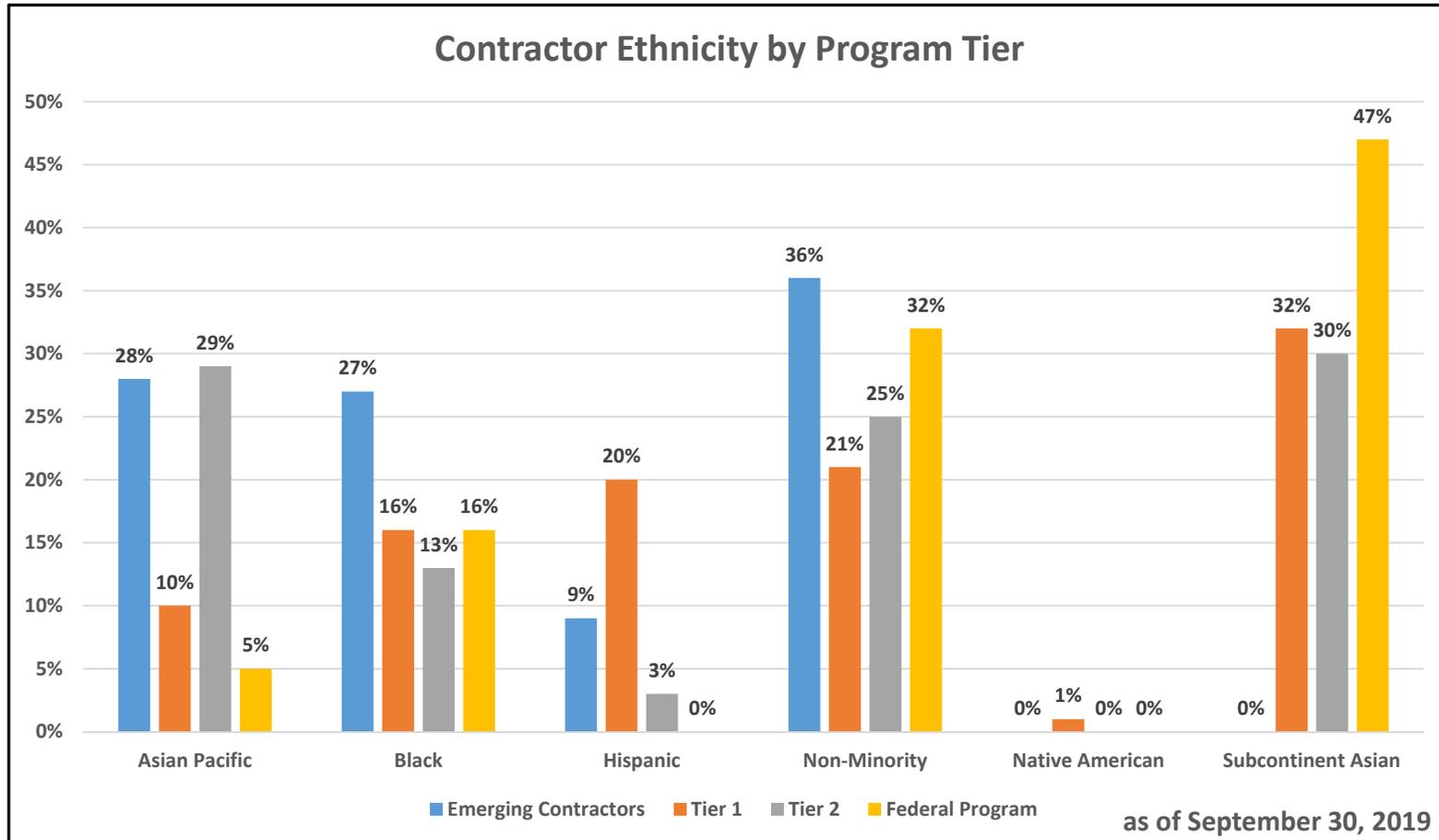
# SBDP Participants are Diverse



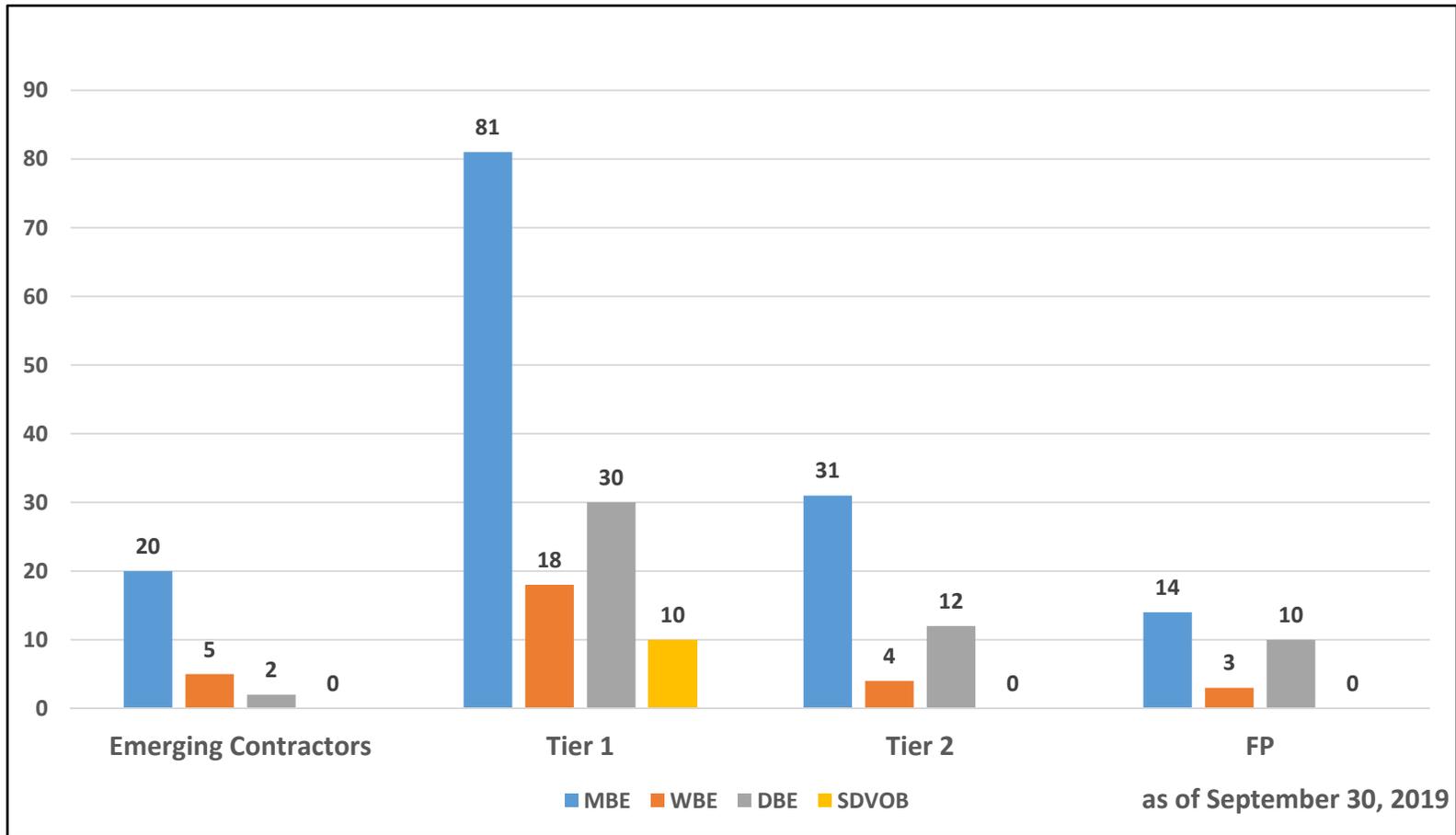
as of September 30, 2019



# SBDP Tiers are also Diverse



# SBDP Certifications

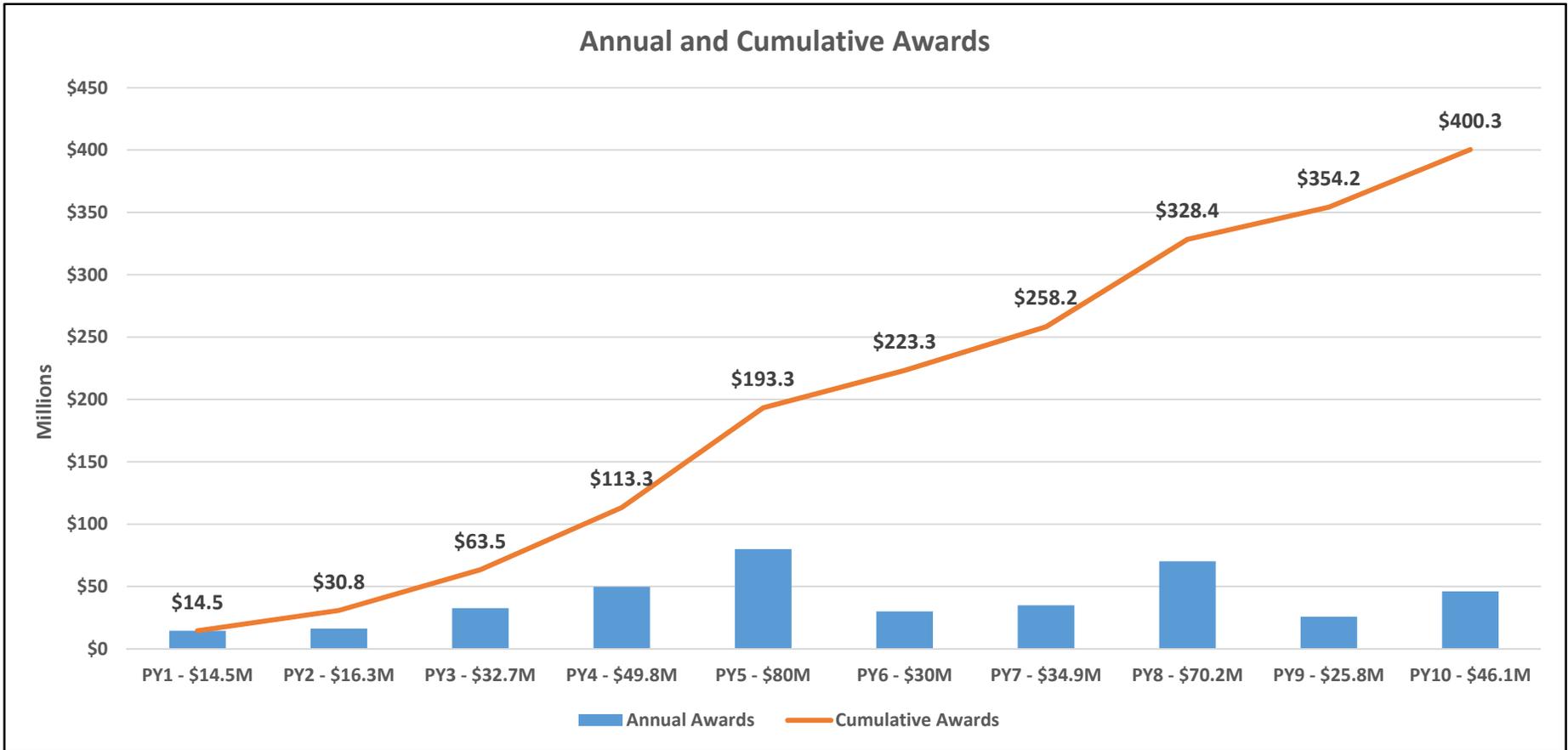


# SBDP is Exceeding MWDBE Goals

- MTA MWBE SBMP Tier 1/Tier 2 Goal – **30%**
- MTA DBE Goal – **18%**
- MTA SDVOB Goal - **6%** (Initiated during Program Year 7)
- Tier 1 MWBE Achievements
  - **70%** - contracts awarded to NYS-certified MWBEs
  - **69%** - contract dollars awarded to NYS-certified MWBEs
- Tier 2 MWBE Achievements
  - **90%** - contracts awarded to NYS-certified MWBEs
  - **91%** - contracts dollars awarded to NYS-certified MWBEs
- Federal Program DBE Achievements
  - **59%** - contracts awarded to DBEs
  - **57%** - contracts dollars awarded to DBEs
- SDVOB Achievements
  - **10%** - contracts awarded to SDVOBs
  - **2%** - contract dollars awarded to SDVOBs



# SBDP Prime Contract Opportunities



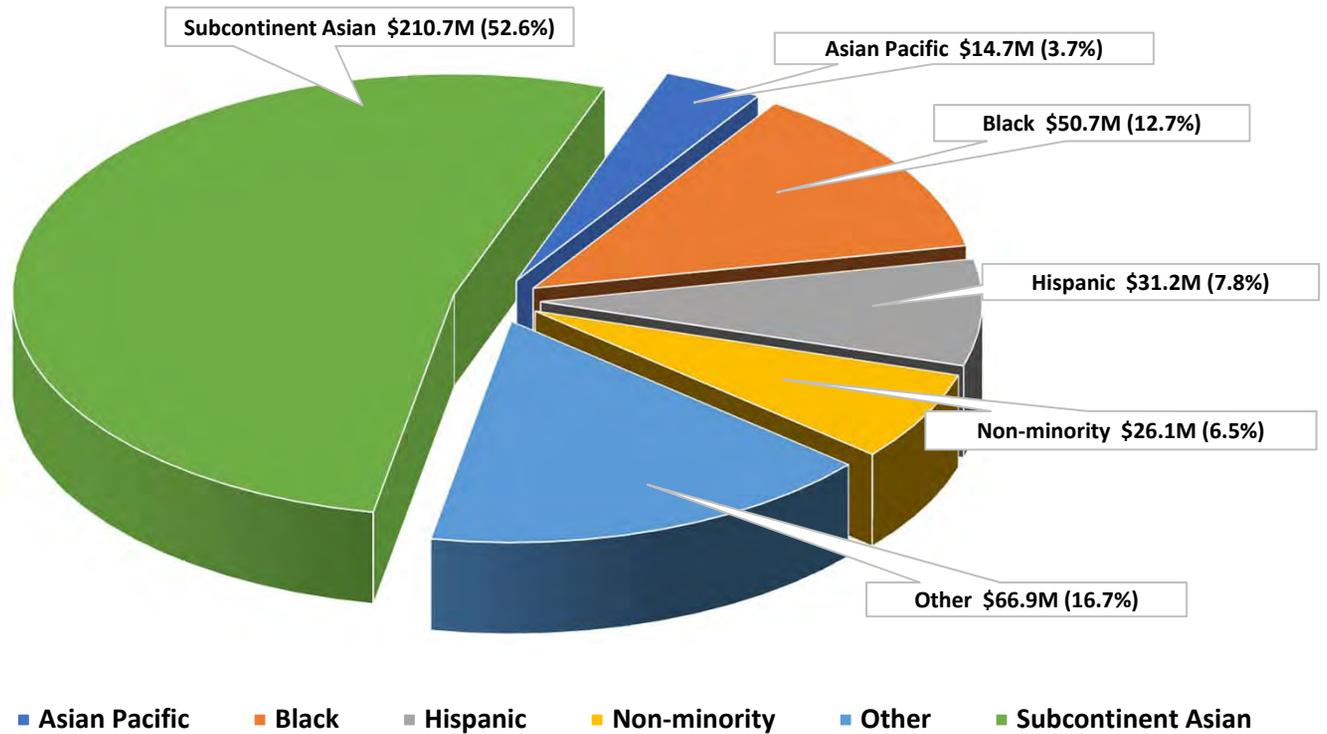
Program Year 1-10 awards through September 30, 2019

# SBDP Contract Awards

## Total SBDP Contract Awards by Ethnic Categories

Category	Awards
<i>Subcontinent Asian</i>	\$210.7M
<i>Non-Minority/Other</i>	\$ 93.0M
<i>Black</i>	\$ 50.7M
<i>Hispanic</i>	\$ 31.2M
<i>Asian Pacific</i>	\$ 14.7M
<b>Total SBDP Awards</b>	<b>\$400.3M</b>

*(Awards in Millions of Dollars)*



Contract Awards through September 30, 2019

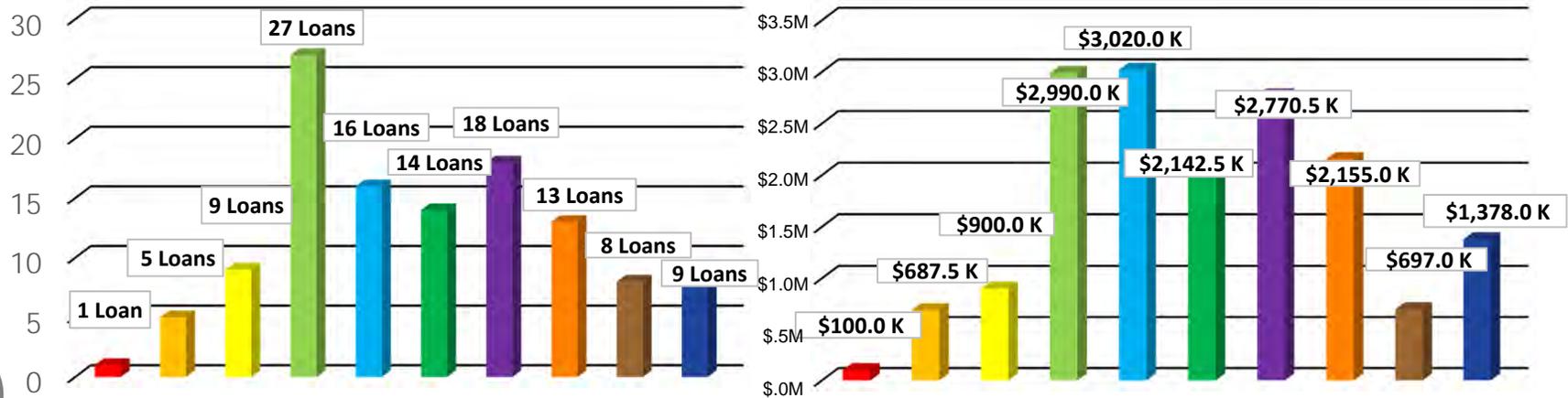


# SBDP Loan Program

Year 1	1 Loan	totaling \$ 100,000
Year 2	5 Loans	totaling \$ 687,500
Year 3	9 Loans	totaling \$ 900,000
Year 4	27 Loans	totaling \$2,990,000
Year 5	16 Loans	totaling \$3,020,000
Year 6	14 Loans	totaling \$2,142,500
Year 7	18 Loans	totaling \$2,770,500
Year 8	13 Loans	totaling \$2,155,000
Year 9	8 Loans	totaling \$ 697,000
Year 10	9 Loans	totaling \$1,378,000
<b>Total</b>	<b>120 Loans</b>	<b>Totals \$16,840,500</b>

*Maximum Loan Available:*  
 Tier 1 - up to \$150,000  
 SBFP and Tier 2 - up to \$900,000  
 Loan values shown are through  
 September 30, 2019

*Note: On January 1, 2019 the SBDP  
 began reporting on a Calendar year  
 instead of a Fiscal year.  
 Year 9 now represents activity from  
 August 1st 2018 to December 31st, 2018  
 Year 10 represents calendar year 2019.*



# SBDP Awards

- PY'10 – PY'19      SBMP-Tier 1      Awards total    **\$167.5** Million
- PY'15 – PY'19      SBMP-Tier 2      Awards total    **\$124.2** Million
- PY'13 – PY'19      SBFP              Awards total    **\$108.6** Million



# SBDP Facilitates Bonding and Growth

- Tier 2 and Federal Program contractors currently carry \$179.7M in single and \$344.5M in aggregate bonding capacities collectively. The SBMP Bond Assistance Program yielded \$36M single and \$53M aggregate.
- 978 bid opportunities in the Tier 2 and Federal Programs
- 123 contract awards
- Ongoing consultation with contractors to maximize bidding opportunities by increasing bonding capacity
- Engaging Tier 1 contractors 24-36 months before graduation to ensure access to bonding and eligibility for the Tier 2 and the Federal Program



# TRAINING IS INTEGRAL TO SUCCESS

- Over **200** classroom training dates completed from July 2010 through September 2019
- Over **1,625** hours of classroom training provided from July 2010 through September 2019
- More than **700** firms have participated in the training since the inception of the program
  - Over **400** of these firms have applied to and prequalified into the SBMP
- All prequalified contractors complete a mandatory 14-session training program
- Over **50** course attendees are in the current training sessions
  - assisting them through the application and pre-qualification process
- Supplementary training opportunities in 2019
  - Leadership Institute – **10 courses** to supplement mandatory training curriculum
  - Industry leaders presenting important topics including DBE Fraud, Marketing, PLAs, Strategic Business Development, Public Speaking & Presentation Skills



# Training Classes Continue to Evolve

- Regular review and update of topics, materials and instructors
- New topics include Project Management and Strategic Business Development
- Mandatory training spans technical, organizational, and business operations
  
- Course topics include:
  - Doing Business with the MTA and Prime Contractors
  - Prevailing Wages / Project Management
  - Estimating and Bidding Strategies at the MTA
  - Project Scheduling at the MTA
  - Cash Flow and Financial Management
  - Safety and Quality Planning at the MTA
  - Requisition and Change Order Process
  - Business Communications
  - Marketing Your Business to the NY Construction In
  - Developing a Profitable Business in the MTA Region
  - Surety Bonding, Access to Capital, and The CEO Toolkit
  - Navigating MTA Contracts & MWDBE Compliance / Strategic Business Development
  - How to be a Prime Contractor



# Assessments Plot a Course of Action

- Contractor Assessments lead to detailed Action Plans
- Identifying existing and future needs
- Creating SMART Plans with each contractor
  - **S**pecific
  - **M**easurable
  - **A**greed Upon
  - **R**ealistic
  - **T**ime-bound
- **321** In-Person Assessments Completed
- **315** Action Plans Delivered
- Regular follow up with contractors on progress



# Benefits Of The Program

- Uniform Set of Front End Bid Documents for All Agencies: NYCT, MNR, B&T, LIRR, MTA BUS, and MTACC
- Payments – within 10 business days
- Awards SBMP & SBFP – within 22 business days
- Closeouts SBMP & SBFP – within 20 & 30 business days respectively
- Change Orders – within 15 business days
- Submittals – within 10 business days
- RFIs – within 5 business days



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## M/W/DBE and SDVOB Contract Compliance Report

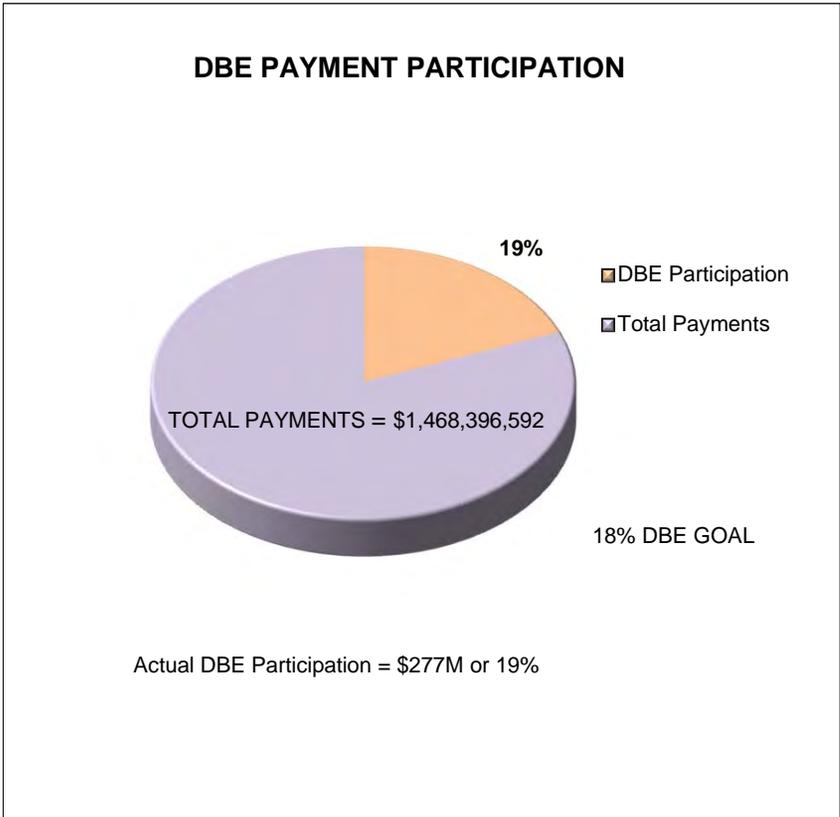
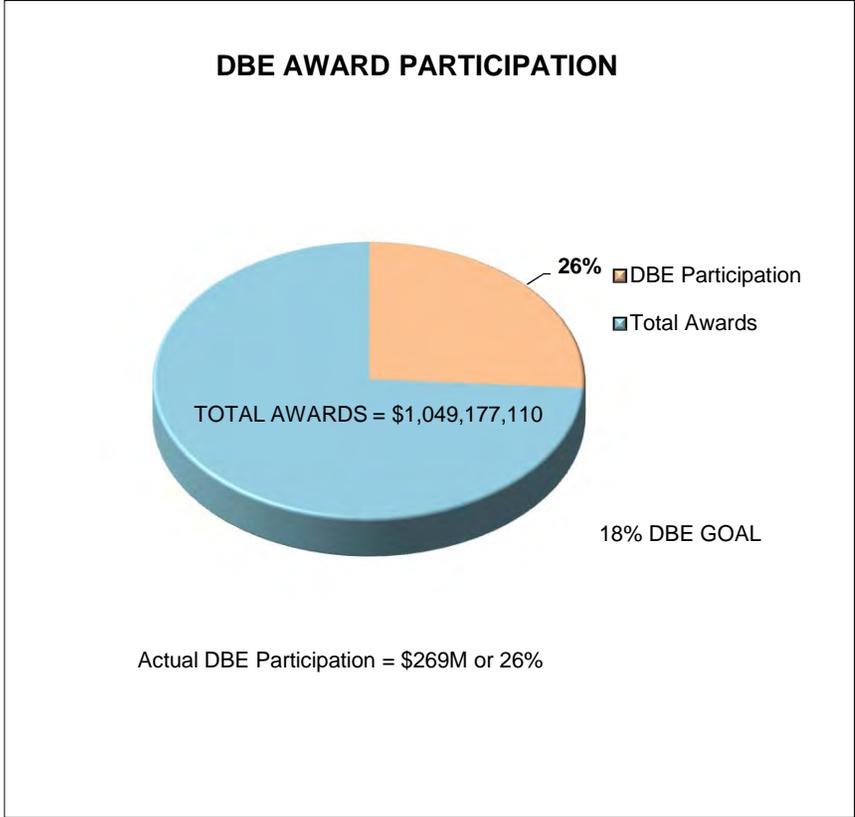
December 18, 2019



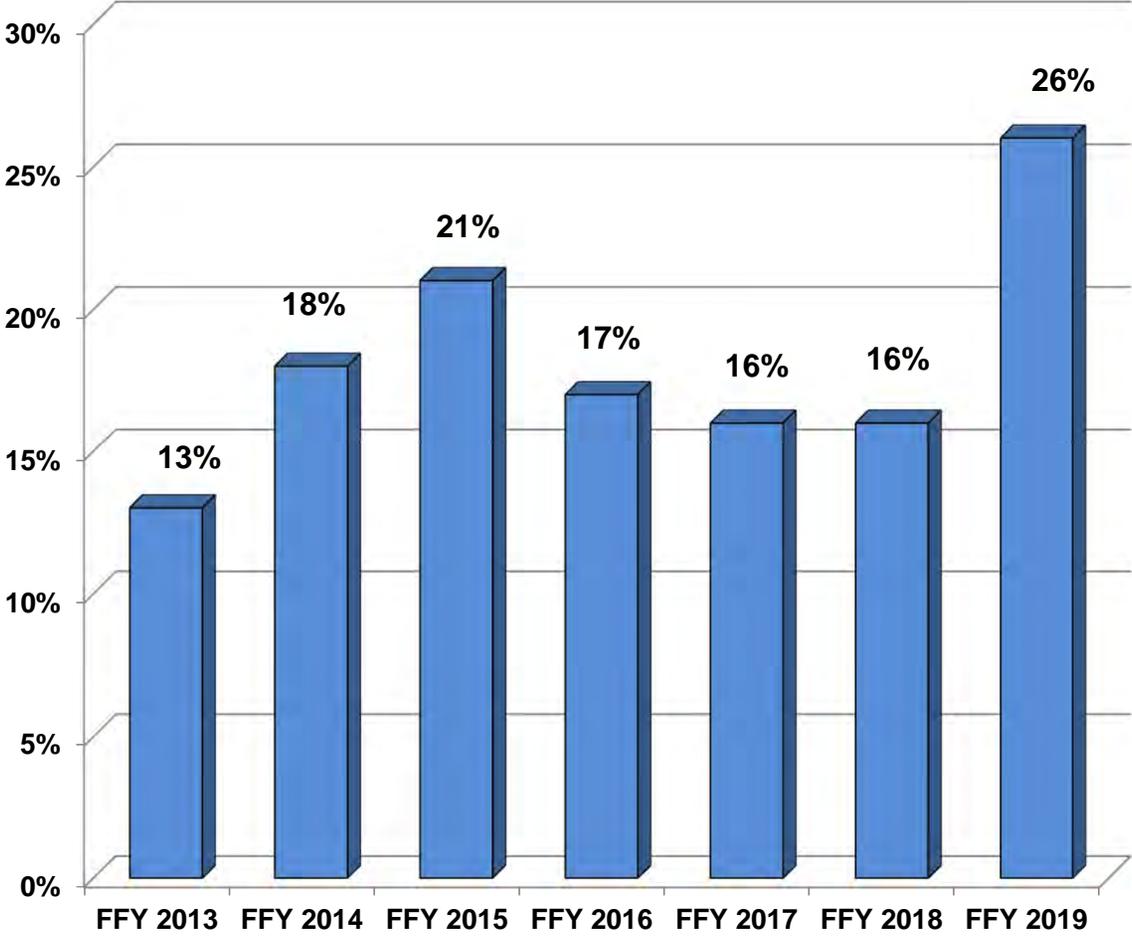
**DBE Participation in Federally Funded Contracts**  
**Federal Fiscal Year 2019**  
**(Reporting Period: October 1, 2018 to September 30, 2019)**

- Each year, MTA reports to the Federal Transit Administration on a semi-annual basis DBE participation in federally funded contracts.
- Reports are submitted on June 1st -- covering October through March, and December 1st -- covering April through September. The December report also summarizes data for the entire Federal Fiscal Year (“FFY”).
- Reports include DBE participation data on new awards and payments on ongoing, and completed contracts.
- For FFY 2019, MTA’s DBE goal is 18%.
- During the FFY 2019, MTA awarded more than \$1 billion in the federally funded portion of contracts, with \$269 million (26%) being awarded to certified DBEs.
- During the FFY 2019, MTA paid prime contractors \$1.5 billion, with payments to certified DBEs totaling \$277 million (19%).
- On contracts closed during the FFY 2019, MTA achieved 15% DBE participation.

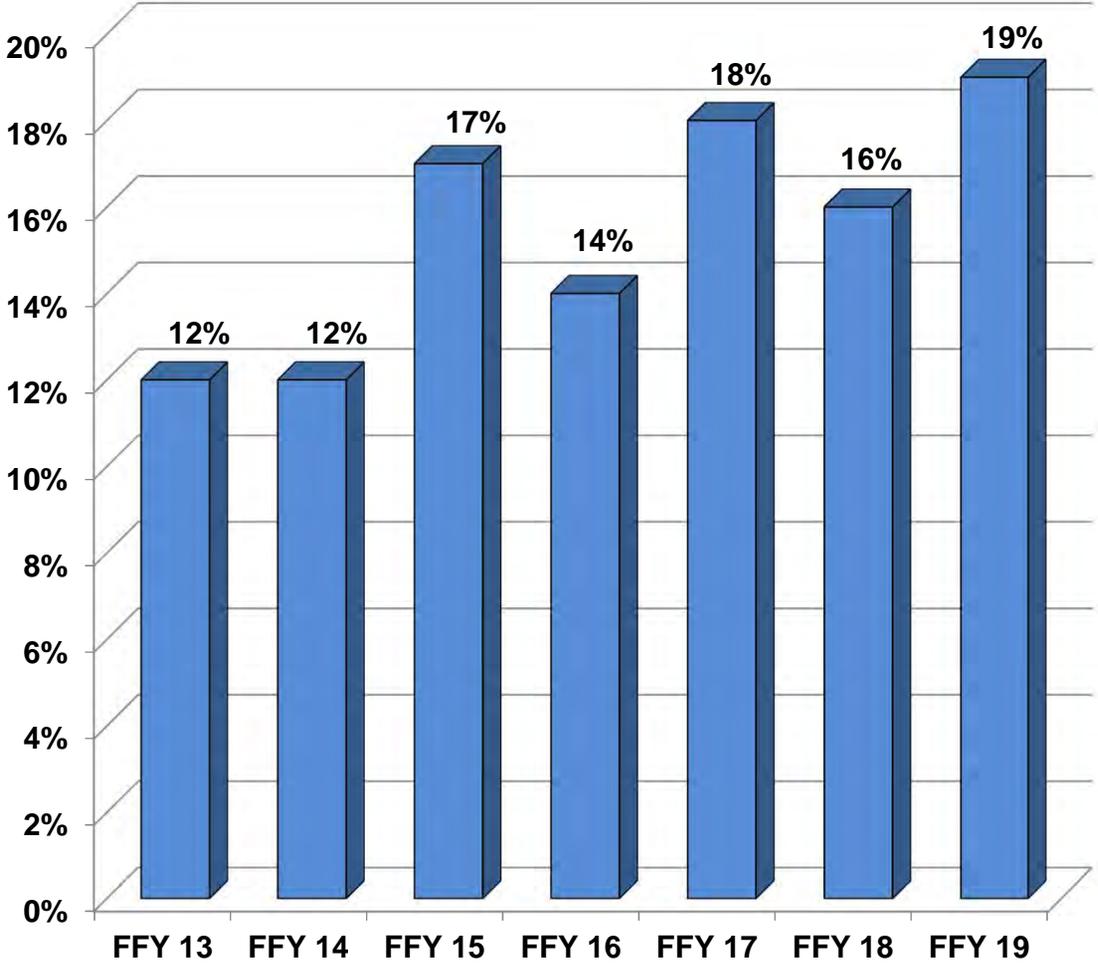
FEDERALLY-FUNDED CONTRACTS  
DBE CONTRACT ACTIVITY  
FEDERAL FISCAL YEAR 2019 (OCTOBER 2018-SEPTEMBER 2019)



**DBE CONTRACT AWARDS  
October 2013 - September 2019**



**DBE CONTRACT PAYMENTS**  
October 2013 - September 2019



**FEDERALLY-FUNDED CONTRACTS  
DBE CONTRACT ACTIVITY  
FEDERAL FISCAL YEAR 2019 (OCTOBER 2018-SEPTEMBER 2019)**

**AWARDS\***

CONTRACT AWARDS	PRIME AWARDS		DBE PARTICIPATION			OVERALL FTA GOAL
	Number of Contracts	Award Amount	Number of DBE Contracts	DBE Award Amount	% To Agency Total	
<b>1st SEMI-ANNUAL REPORT October 2018- March 2019</b>	373	\$711,544,404	175	\$174,150,552	24%	18%
<b>2nd SEMI-ANNUAL REPORT April 2019- September 2019</b>	464	\$337,632,706	99	\$94,734,940	28%	18%
<b>TOTAL</b>	<b>837**</b>	<b>\$1,049,177,110</b>	<b>274</b>	<b>\$268,885,492</b>	<b>26%</b>	<b>18%</b>

**PAYMENTS\***

CONTRACT PAYMENTS	PAYMENTS TO PRIMES		DBE PARTICIPATION			OVERALL FTA GOAL
	Number of Contracts	Payment Amount	Number of DBE Subcontracts	DBE Payment Amount	% To Agency Total	
<b>1st SEMI-ANNUAL REPORT October 2018- March 2019</b>	657	\$585,946,042	236	\$131,912,566	23%	18%
<b>2nd SEMI-ANNUAL REPORT April 2019- September 2019</b>	709	\$882,450,550	242	\$145,485,194	16%	18%
<b>TOTAL</b>	<b>1,366</b>	<b>\$1,468,396,592</b>	<b>478</b>	<b>\$277,397,760</b>	<b>19%</b>	<b>18%</b>

\*Dollar amounts represent the federally-funded portion of contracts.

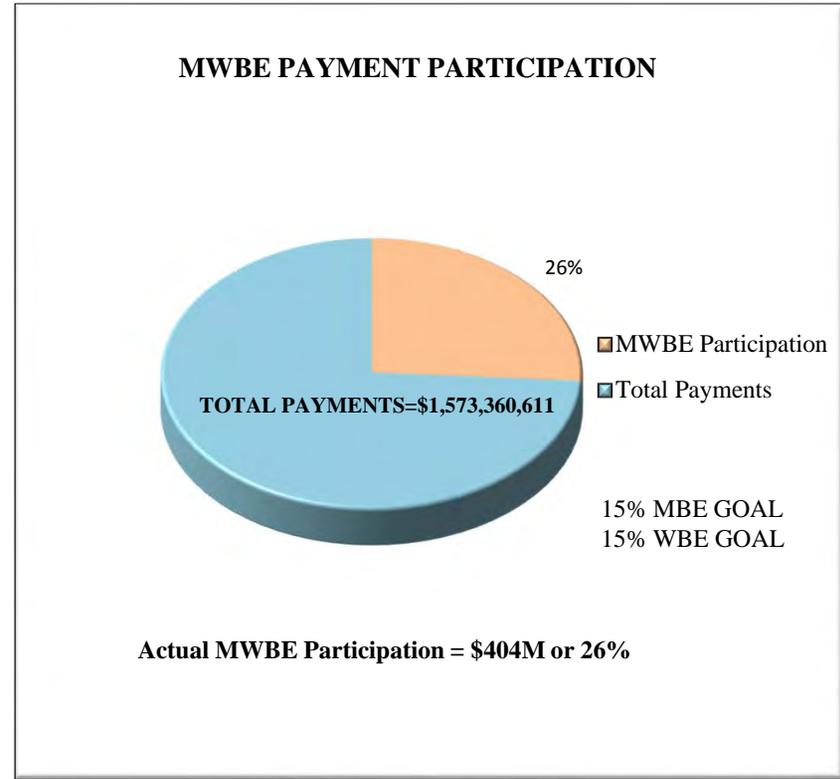
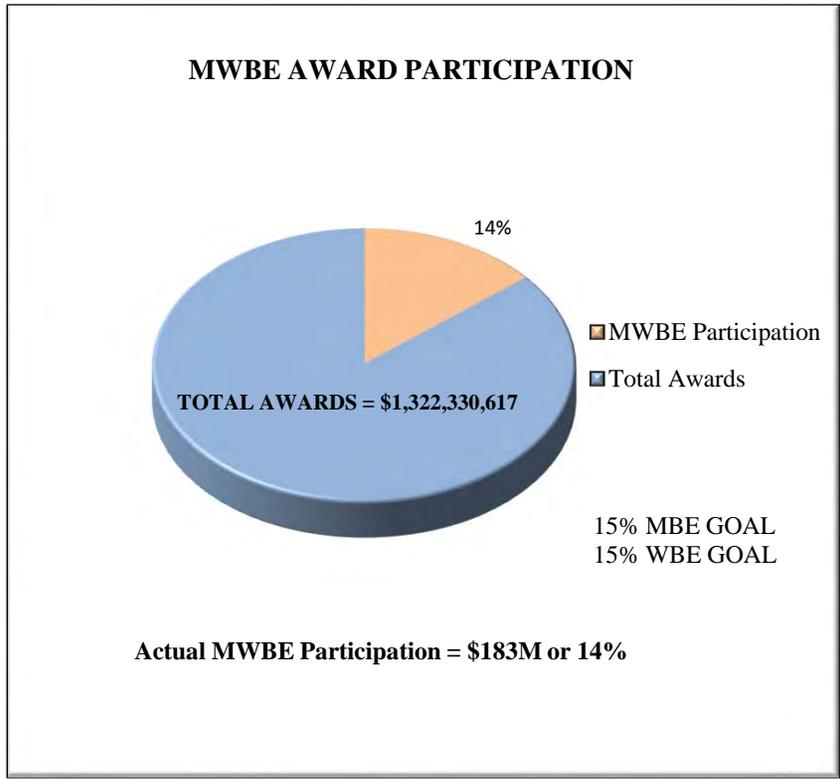
\*\*This figure includes contracts for which no DBE goals were assigned.

## **MWBE Participation in State Funded Contracts New York State Fiscal Year 2019-2020\***

- Each year, MTA reports to the Empire State Development Corporation on a quarterly basis MWBE participation on state funded contracts.
- Reports are submitted 15 days after the end of each quarter, on January 15, April 15, July 15, and October 15.
- Reports include data on contracts with goals and MWBE contract payments.
- MTA established an overall MWBE goal of 30% for New York State fiscal year 2019-2020, starting April 1, 2019.
- From April 1, 2019 to September 30, 2019, MTA awarded \$1.3 billion in New York State funded contracts, with \$183 million (14%) awarded to certified MWBEs.
- From April 1, 2019 to September 30, 2019, MTA paid \$1.6 billion on prime contracts with \$404 million (26%), paid to MWBEs.

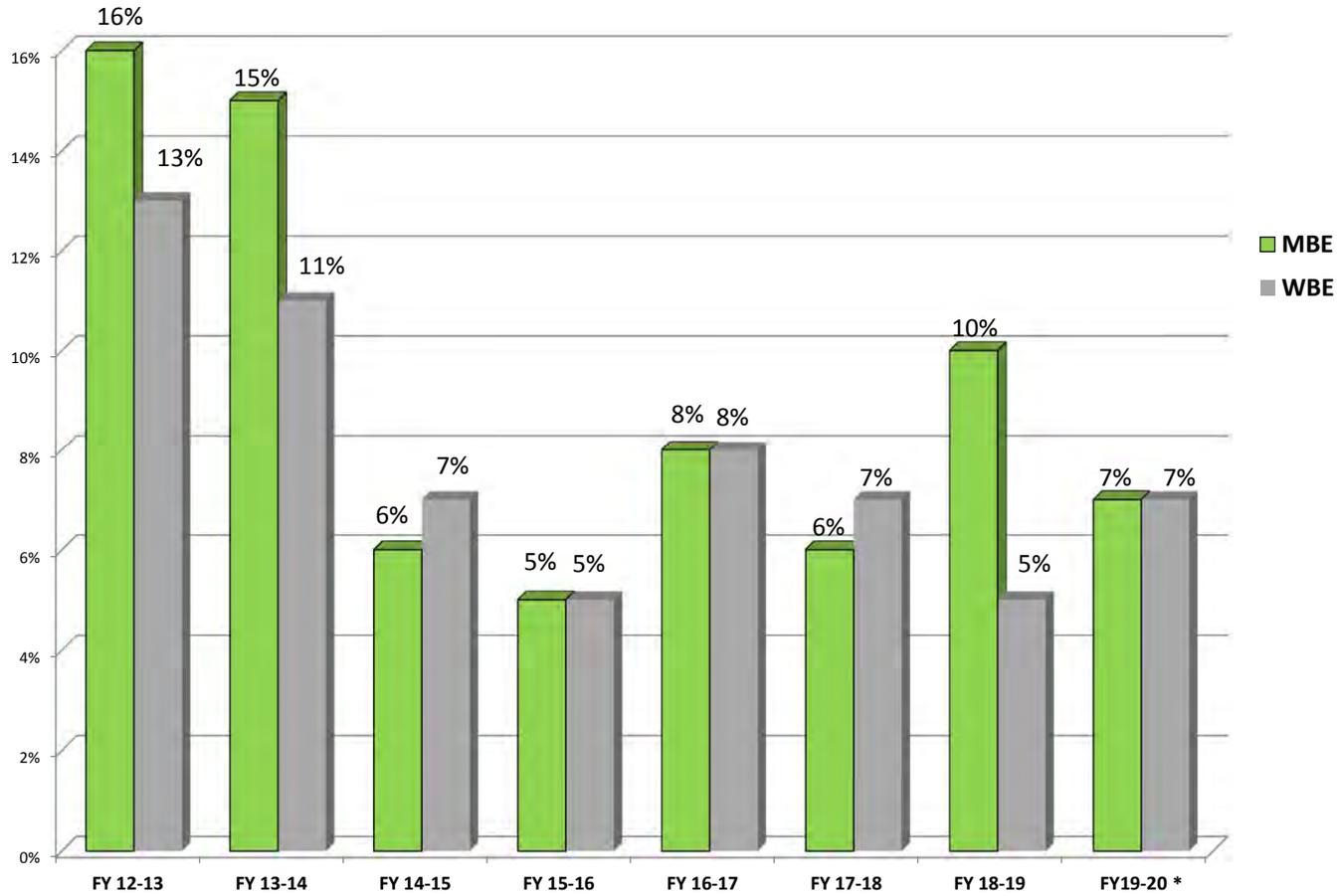
\*The State Fiscal Year runs from April 1<sup>st</sup> through March 31<sup>st</sup>.

MWBE CONTRACT ACTIVITY  
NEW YORK STATE FISCAL YEAR 2019-2020 (APRIL 2019-SEPTEMBER 2019)\*



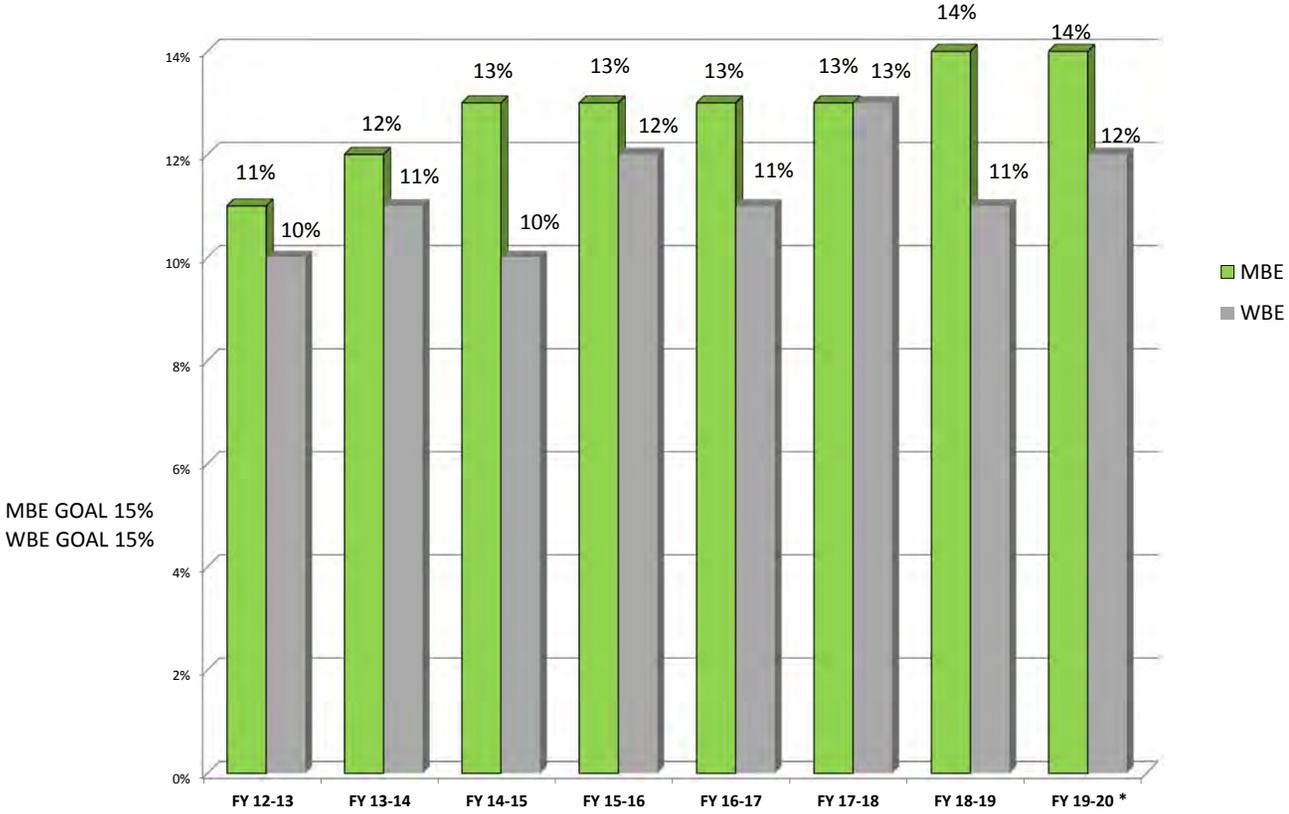
\* FY 2019-2020, First two quarters (April 2019 to September 2019).

### NYS MWBE AWARDS APRIL 2012 - SEPTEMBER 2019



\* FY 2019-2020, first two quarters (April 2019 to September 2019).

**NYS MWBE PAYMENTS  
APRIL 2012- SEPTEMBER 2019**



\* FY 2019-2020, first two quarters (April 2019 to September 2019).

**NYS CONTRACTS  
MWBE CONTRACT ACTIVITY  
APRIL 1, 2019 - SEPTEMBER 30, 2019**

**AWARDS**

<b>CONTRACT AWARDS</b>	<b>PRIME AWARDS</b>		<b>MWBE AWARDS</b>			<b>NYS Goal</b>
	<b>Number of Contracts</b>	<b>Award Amount</b>	<b>Number of MWBE Subcontracts</b>	<b>MWBE Award Amount</b>	<b>MWBE %</b>	
FIRST QUARTER APRIL 2019-JUNE 2019	17,899	\$743,716,516	1,352	\$108,290,177	15%	30%
SECOND QUARTER JULY 2019-SEPT. 2019	18,183	\$578,614,101	1,395	\$74,530,383	13%	30%
<b>TOTAL</b>	<b>36,082</b>	<b>\$1,322,330,617</b>	<b>2,747</b>	<b>\$182,820,560</b>	<b>14%</b>	<b>30%</b>

**PAYMENTS**

<b>CONTRACT PAYMENTS</b>	<b>PAYMENTS TO PRIMES</b>		<b>MWBE PARTICIPATION</b>			<b>NYS Goal</b>
	<b>Number of Contracts</b>	<b>Payment Amount</b>	<b>Number of MWBE Contracts</b>	<b>MWBE Payment Amount</b>	<b>MWBE %</b>	
FIRST QUARTER APRIL 2019-JUNE 2019	4,933	\$724,144,857	3,726	\$200,243,446	28%	30%
SECOND QUARTER JULY 2019-SEPT. 2019	2,686	\$849,215,754	3,295	\$203,837,904	24%	30%
<b>TOTAL</b>	<b>7,619</b>	<b>\$1,573,360,611</b>	<b>7,021</b>	<b>\$404,081,350</b>	<b>26%</b>	<b>30%</b>

**SDVOB Participation in State Funded Contracts**  
**New York State Fiscal Year 2019-2020**  
**(Reporting Period: April 1, 2019 to September 30, 2019)**

- Each year, MTA reports to the Office of General Services on a quarterly basis SDVOB participation on state funded contracts.
- Reports are submitted 30 days after the end of each quarter, on January 30, April 30, July 30, and October 30.
- Reports include data on contracts with SDVOB goals and payments made to SDVOBs.
- MTA established an overall SDVOB goal of 6% for State fiscal year 2019-2020, starting on April 1, 2019.
- From April 2019 to September 2019, MTA awarded approximately \$556 million with \$17 million (3%) awarded to SDVOBs.
- From April 2019 to September 2019, MTA paid over \$488 million on prime contracts with \$19 million (4%), paid to SDVOBs.

**FY 2019-2020 SDVOB CONTRACT AWARDS**

**APRIL 2019 - SEPTEMBER 2019**

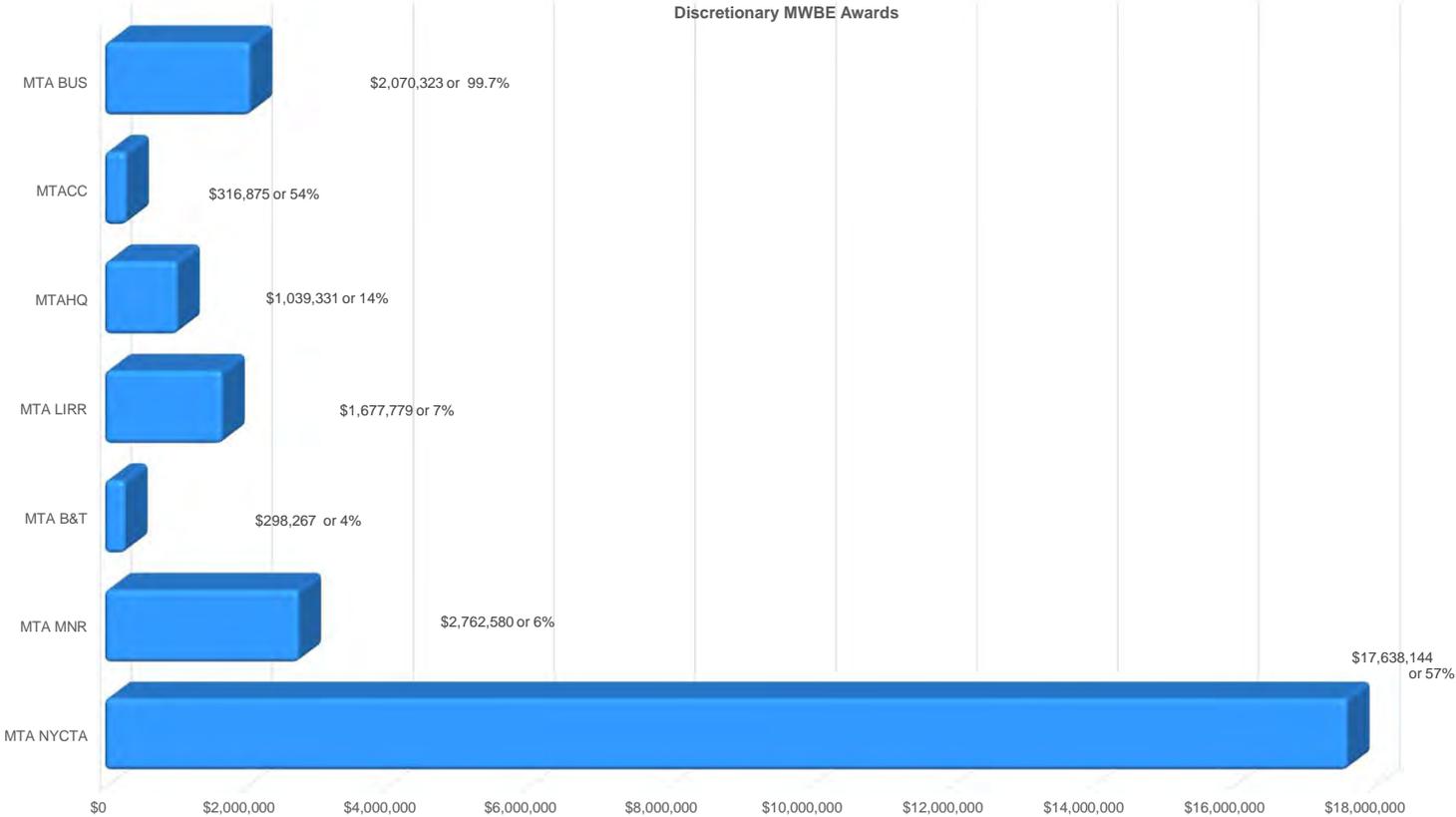
	<b>Agency Awards</b>	<b>SDVOB Awards</b>	<b>SDVOB%</b>
FIRST QUARTER	\$397,298,623	\$7,923,481	2%
APRIL 2019-JUNE 2019			
SECOND QUARTER	\$158,414,287	\$9,306,174	6%
JULY 2019-SEPTEMBER 2019			
<b>FY 2019-2020 TOTAL</b>	<b>\$555,712,909</b>	<b>\$17,229,655</b>	<b>3%</b>

**FY 2019-2020 SDVOB CONTRACT PAYMENTS**

**APRIL 2019 - SEPTEMBER 2019**

	<b>Agency Disbursements</b>	<b>SDVOB Disbursements</b>	<b>SDVOB%</b>
FIRST QUARTER	\$189,282,720	\$5,690,663	3%
APRIL 2019-JUNE 2019			
SECOND QUARTER	\$298,807,900	\$13,354,979	4%
JULY 2019-SEPTEMBER 2019			
<b>FY 2019-2020 TOTAL</b>	<b>\$488,090,620</b>	<b>\$19,045,643</b>	<b>4%</b>

MTA ALL AGENCY  
DISCRETIONARY PROCUREMENTS REPORT\*  
APRIL - SEPTEMBER 2019



\*Discretionary procurements include purchases for goods, miscellaneous procurements, personal or miscellaneous services.

**MTA ALL AGENCY  
DISCRETIONARY PROCUREMENT REPORT\***

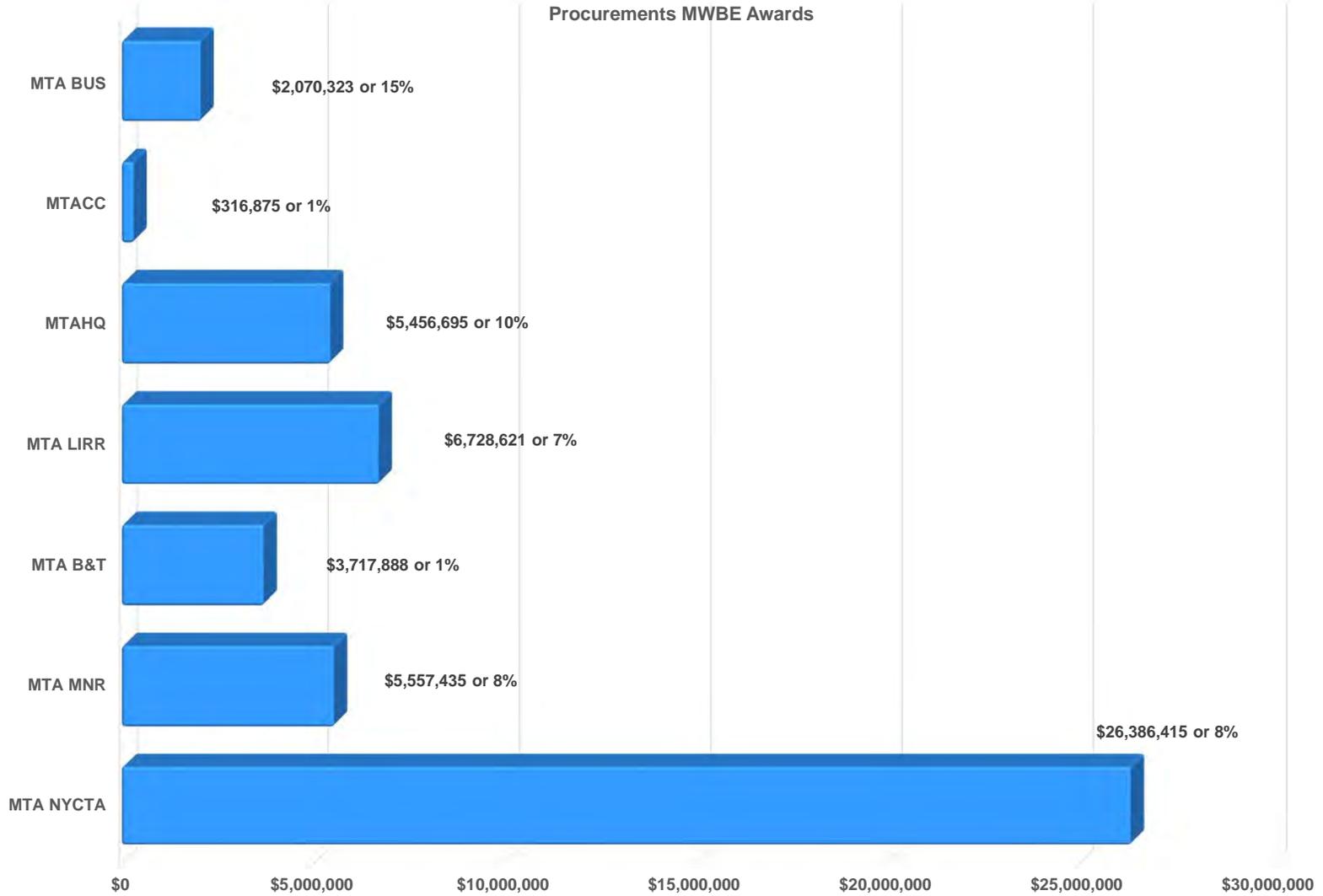
**APRIL - SEPTEMBER 2019**

<b>Agency</b>	<b>Total Awards \$1M or Less</b>	<b>MWBE Discretionary Awards</b>	<b>MWBE Discretionary Award Percentages</b>	<b>SBC** Discretionary Awards</b>	<b>SBC** Discretionary Award Percentages</b>
<b>MTA NYCTA</b>	\$ 30,759,907	\$ 17,638,144	57%	\$ 3,682,118	12%
<b>MTA MNR</b>	\$ 42,707,039	\$ 2,762,580	6%	\$ 1,066,013	2%
<b>MTA B&amp;T</b>	\$ 7,943,867	\$ 298,267	4%	\$ -	0%
<b>MTA LIRR</b>	\$ 25,228,657	\$ 1,677,779	7%	\$ 723,979	3%
<b>MTA HQ</b>	\$ 7,562,747	\$ 1,039,331	14%	\$ 146,450	2%
<b>MTA CC</b>	\$ 587,054	\$ 316,875	54%	\$ 253,969	43%
<b>MTA BUS</b>	\$ 2,075,800	\$ 2,070,323	99.7%	\$ 5,477	0.3%
<b>Total</b>	<b>\$ 116,865,070</b>	<b>\$ 25,803,299</b>	<b>22%</b>	<b>\$ 5,878,006</b>	<b>5%</b>

\* Discretionary procurements include purchases for goods, miscellaneous procurements, personal or miscellaneous services.

\*\* Small Business Concerns

MTA ALL AGENCY  
TOTAL PROCUREMENTS REPORT  
APRIL - SEPTEMBER 2019



**MTA ALL AGENCY  
TOTAL PROCUREMENTS  
APRIL - SEPTEMBER 2019**

<b>Agency</b>	<b>Total Award Amount</b>	<b>Total MWBE Awards</b>	<b>MWBE</b>
<b>MTA NYCTA</b>	\$ 346,824,527	\$ 26,386,415	8%
<b>MTA MNR</b>	\$ 71,234,209	\$ 5,557,435	8%
<b>MTA B&amp;T</b>	\$ 290,474,830	\$ 3,717,888	1%
<b>MTA LIRR</b>	\$ 96,995,312	\$ 6,728,621	7%
<b>MTA HQ</b>	\$ 53,779,241	\$ 5,456,695	10%
<b>MTA CC</b>	\$ 25,075,480	\$ 316,875	1%
<b>MTA BUS</b>	\$ 13,744,712	\$ 2,070,323	15%
<b>Total</b>	<b>\$ 898,128,310</b>	<b>\$ 50,234,252</b>	<b>6%</b>

# Metropolitan Transportation Authority Department of Diversity and Civil Rights

Discretionary A&E, Legal & IT

December 18, 2019



**A/E Awards thru Discretionary Procurement January to September 2019**

#	Agency	Contract Number	Project Name & Description	Primary Trades	County	Contract Amount	Notice of Award Date	Contractor	Contractor Certification
1	B&T	14073-2800-TBTA; Work Order #16	Soil Stabilization under the Queens Approach at the Bronx-Whitestone Bridge	As-Needed Construction Administration, Inspection and Support Services		\$ 57,110	1/23/19	MP Engineers, P.C.	MBE
2	B&T	4073-4700-TBTA; Work Order #14	Major Deegan On-Ramp Pavement Repairs at the Robert F. Kennedy Bridge	As-Needed Design and Construction Support Services		\$ 204,644	1/23/19	Siddiqui Engineering, P.C	MBE
3	B&T	14073-0200 TBTA Work -Order #12	Concrete Coating & Misc. Repairs at the Henry Hudson Bridge Facility	As-Needed Construction Administration, Inspection and Support Services		\$ 261,842	7/1/19	K.S. Engineers	MBE
				<b>B&amp;T Total:</b>		<b>\$ 523,596</b>			
4	MNR	126262	Parking Opportunity/ Constraints Study	As-Needed Construction Administration, Inspection and Support Services		\$ 174,584	9/20/19	Fitzgerald and Holliday Inc	WBE
				<b>MNR Total:</b>		<b>\$ 174,584</b>			
				<b>Grand Total:</b>		<b>\$ 698,180</b>			

# IT Discretionary

IT Discretionary Consulting Contract No. 14357  
January 2019- September 2019

Total Number of Awards 171

Value of Awards \$22 million

Value of Cumulative Awards \$87 million



### MTA ALL AGENCY LEGAL FEES APRIL 2019 - SEPTEMBER 2019



**MTA ALL AGENCY LEGAL FEES PAID  
APRIL 2019 THROUGH SEPTEMBER 2019**

<b>AGENCY</b>	<b>ALL FEES PAID</b>	<b>MBE FEES PAID</b>	<b>Agency MBE PARTICIPATION</b>	<b>WBE FEES PAID</b>	<b>Agency WBE PARTICIPATION</b>	<b>MWBE FEES PAID</b>	<b>Agency MWBE PARTICIPATION</b>
MTAHQ	\$10,491,858.86	\$1,016,979.86	9.7%	\$439,928	4.2%	\$1,456,908.07	13.9%
NYCTA	\$7,902,367.32	\$245,573.16	3.1%	\$1,295,389.61	16.4%	\$1,540,962.77	19.5%
MNR	\$1,213,146.47	\$163,520.61	13.5%	\$140,894.49	11.6%	\$304,415.10	25.1%
LIRR	\$459,326.00	\$17,947.00	3.9%	\$64,631.00	14.1%	\$82,578.00	18.0%
B&T	\$1,056,343.73	\$77,136.18	7.3%	\$59,754.20	5.7%	\$136,890.38	13.0%
MTACC	\$1,160,558.63	\$0.00	0.0%	\$256,078.05	22.1%	\$256,078.05	22.1%
MTA BUS	\$2,399,061.22	\$188,597.98	7.9%	\$448,896.18	18.7%	\$637,494.16	26.6%
FMTAC	\$3,448,217.82	\$504,232.43	14.6%	\$102,578.47	3.0%	\$606,810.90	17.6%
<b>TOTAL</b>	<b>\$28,130,880.05</b>	<b>\$2,213,987.22</b>	<b>7.9%</b>	<b>\$2,808,150.21</b>	<b>10.0%</b>	<b>\$5,022,137.43</b>	<b>18%</b>

Metropolitan Transportation Authority  
Department of Diversity and Civil Rights

Status of Closed Contracts  
as of September 30, 2019

December 18, 2019



# MTA Headquarters DDCR Update

Inactive Contracts – Status as of September 30, 2019

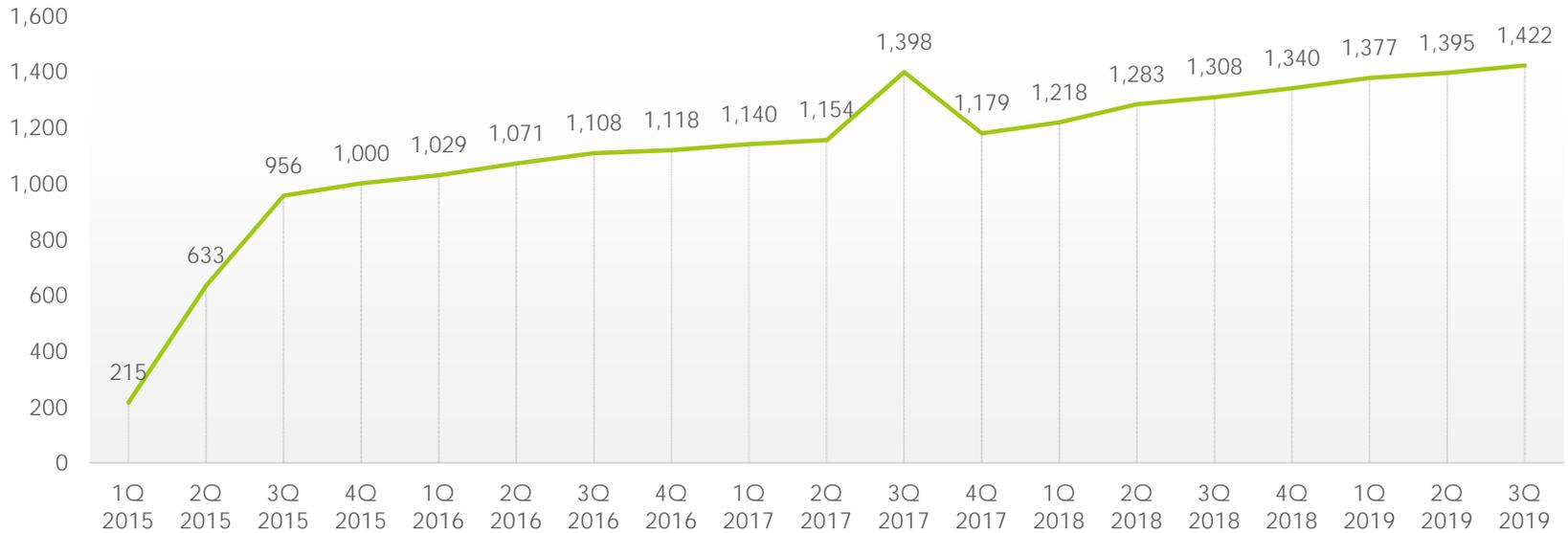
Inactive Contracts with Goals	#
1. Total Contracts Reviewed and Closed	1,117
2. Contracts Administratively Closed	305 <sup>1</sup>
Sub-Total	1,422 (96%)
3. Closeouts in Progress	31
4. Contracts Pending Agency Action	36
Total	1,489 (100%)

1. Contracts administratively closed because of the age of the contract (beyond the established seven-year record retention period).



# MTA Headquarters DDCR Update

## DDCR Contract Closeout Progression 1Q 2015 through 3Q 2019<sup>2</sup>

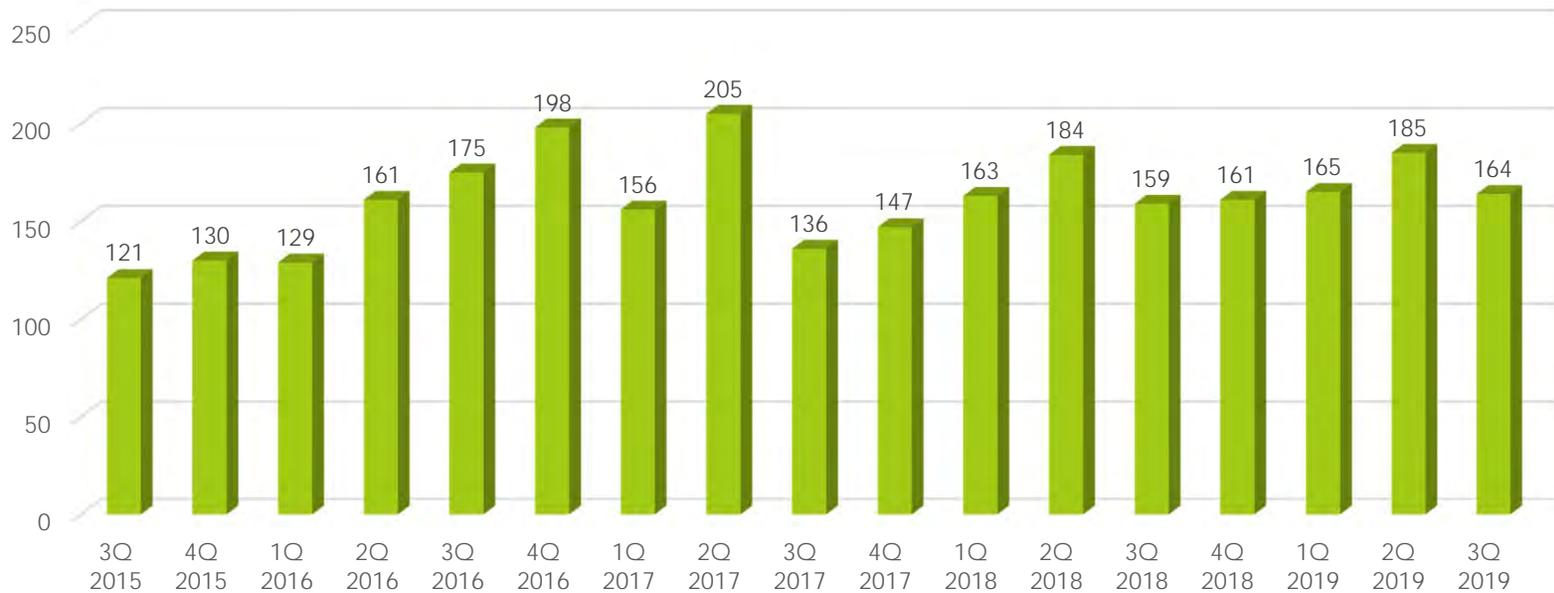


2. The decrease in closeouts between 3Q 2017 and 4Q 2017 is due to approx. 200 contracts being closed out in error, requiring subsequent re-activation.

# MTA Headquarters DDCR Update

DDCR Project Site Visits: 3Q 2015 – 3Q 2019

Total Site Visits Performed = 2,739



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

M/WBE, DBE, and SDVOB Participation on  
Capital Projects

December 18, 2019



# MWDBE and SDVOB Participation on MTA Capital Projects with Goals\*

## ■ Federal Participation Goal: 18%

(Federal Fiscal Year 2019 (October 2018 to September 2019))

- Total Awards: \$465M
- Total DBE Awards: \$95M (20%)
- Total Payments: \$803M
- Total DBE Payments: \$158M (20%)

## ■ New York State MBE Participation Goal: 15%

(First and Second Quarter NYS Fiscal Year 2019-2020 (April 2019 to September 2019))

- Total Awards: \$347M
- Total MBE Awards: \$61M (18%)
- Total Payments: \$746M
- Total MBE Payments: \$69M (9%)

## ■ New York State WBE Participation Goal: 15%

(First and Second Quarter NYS Fiscal Year 2019-2020 (April 2019 to September 2019))

- Total Awards: \$347M
- Total WBE Awards: \$53M (15%)
- Total Payments: \$746M
- Total WBE Payments: \$70M (9%)

## ■ Service Disabled Veteran-Owned Business Participation Goal: 6%

(First and Second Quarter NYS Fiscal Year 2019-2020 (April 2019 to September 2019))

- Total Awards: \$223M
- Total SDVOB Awards \$9M (4%)
- Total Payments: \$452M
- Total SDVOB Payments: \$1.04M (.23%)

\*Report is based on original contract amount provided by MTA Agencies for third-party design and construction contracts (excluding rolling stock and signals).



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

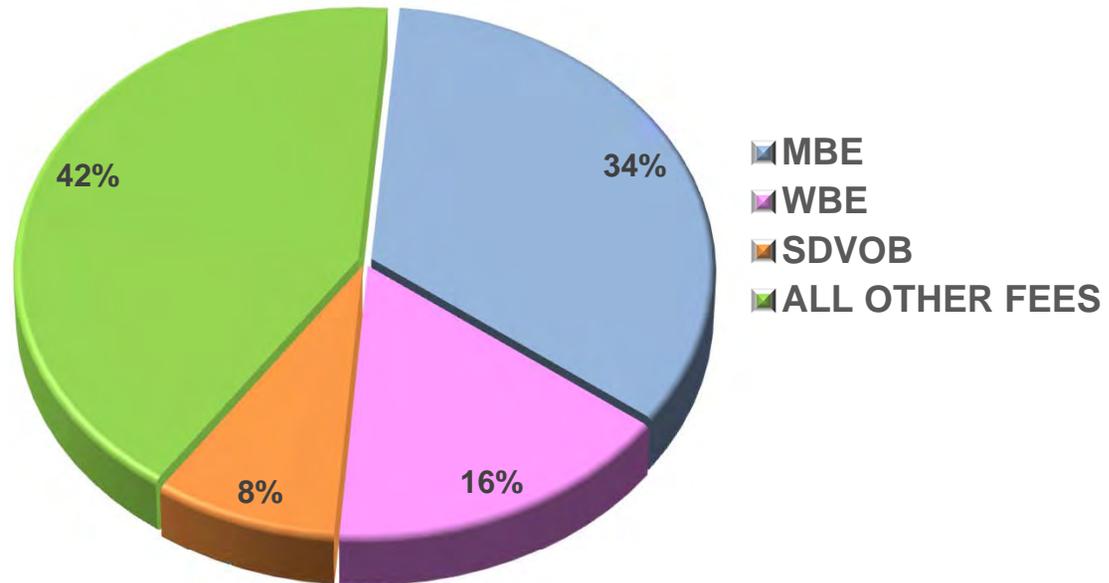
Financial Services

December 18, 2019



# MTA All Agency Underwriter Fees

April - September 2019



**Actual WBE Participation = \$157,286 or 16%**  
**Actual MBE Participation = \$331,278 or 34%**  
**Actual SDVOB Participation = \$82,160 or 8%**  
**All Other Underwriting Fees = \$408,497 or 42%**  
**Total Underwriting Fees = \$979,223**



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

Asset Fund Managers

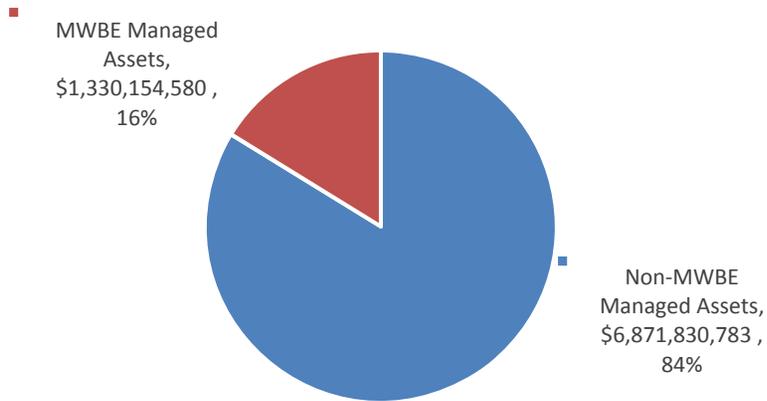
December 18, 2019



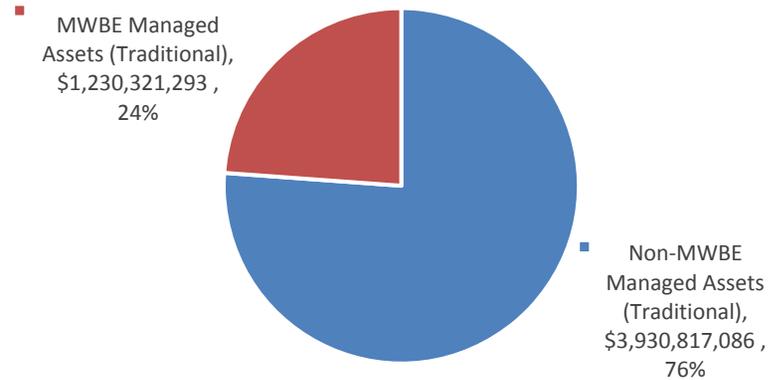
# MTA Sponsored Plans – MWBE Participation

As of September 30, 2019

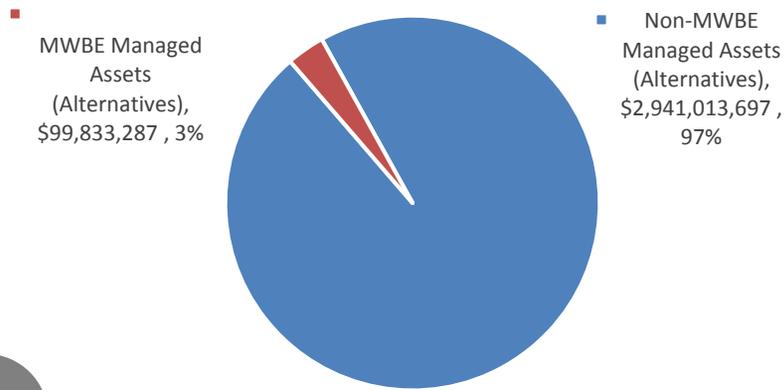
Combined Plans - Total Assets



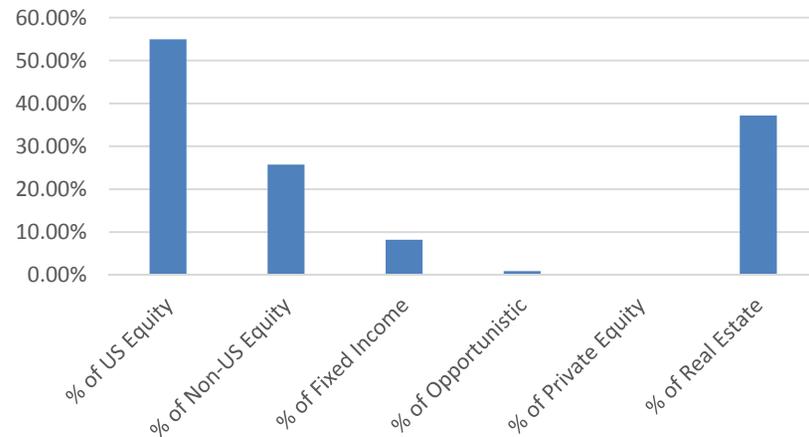
Combined Plans - Traditional Investments



Combined Plans- Alternative Investments



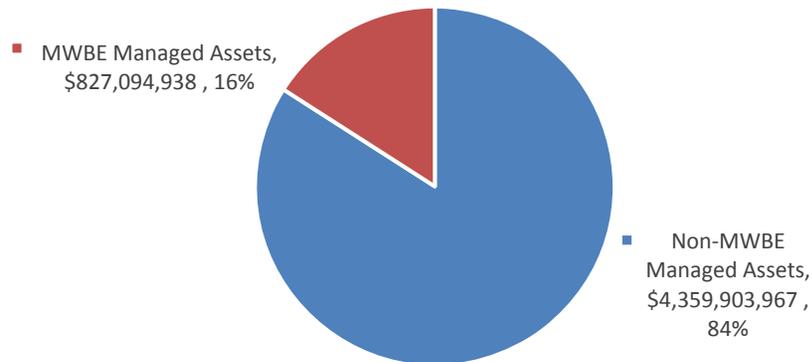
MWBE Managed Assets by Asset Class



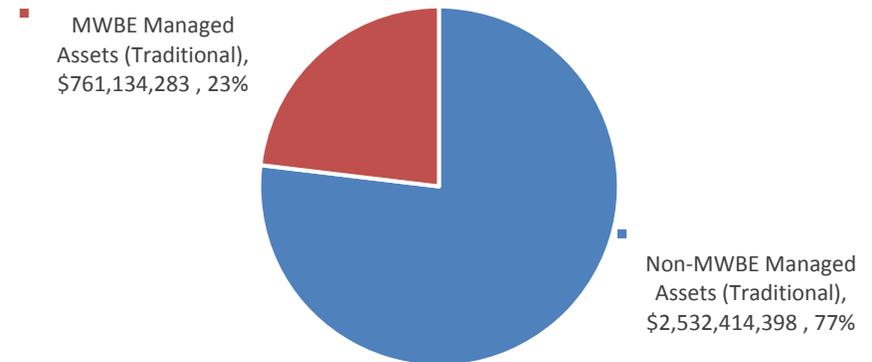
# MTA Sponsored Plans – MWBE Participation

## As of September 30, 2019

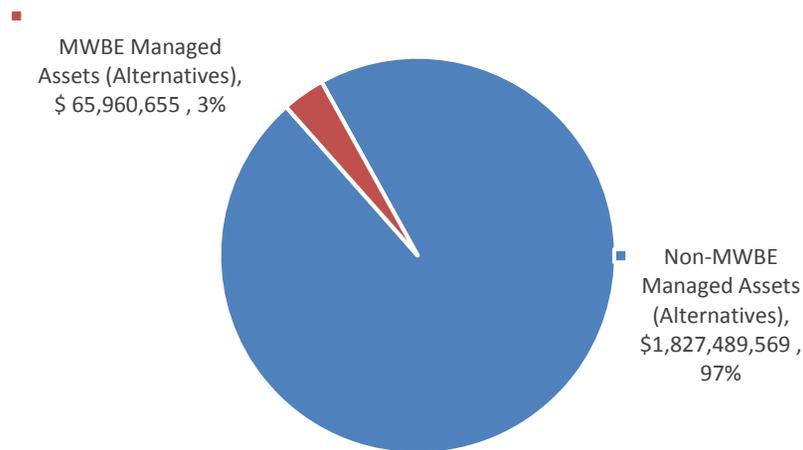
MTA Defined Benefit - Total Assets



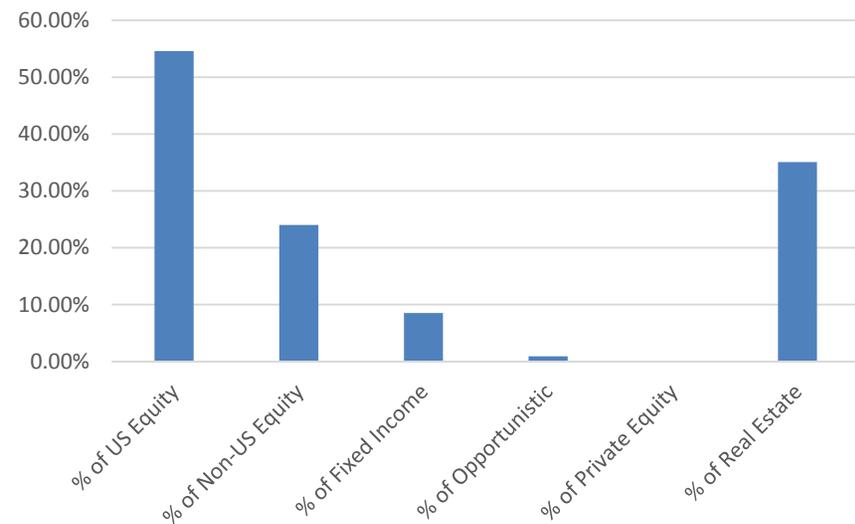
MTA Defined Benefit - Traditional Investments



MTA Defined Benefit - Alternative Investments



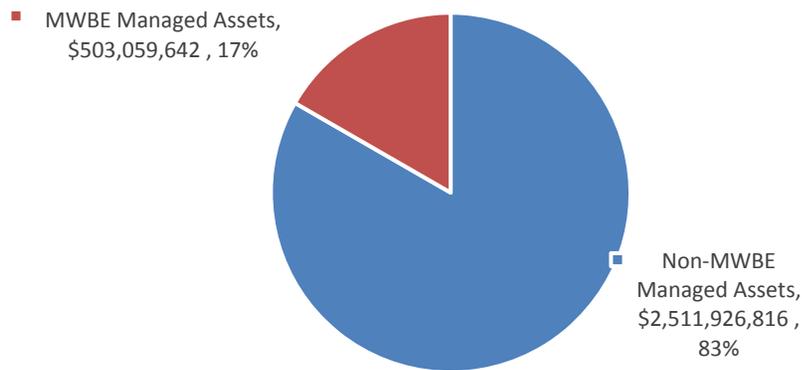
MWBE Managed Assets by Asset Class



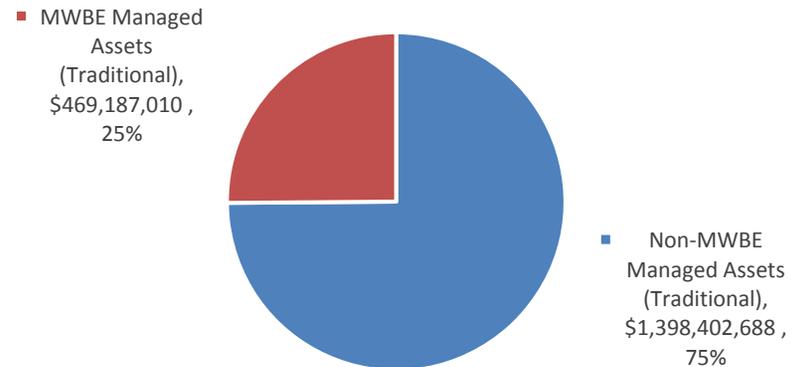
# MTA Sponsored Plans – MWBE Participation

## As of September 30, 2019

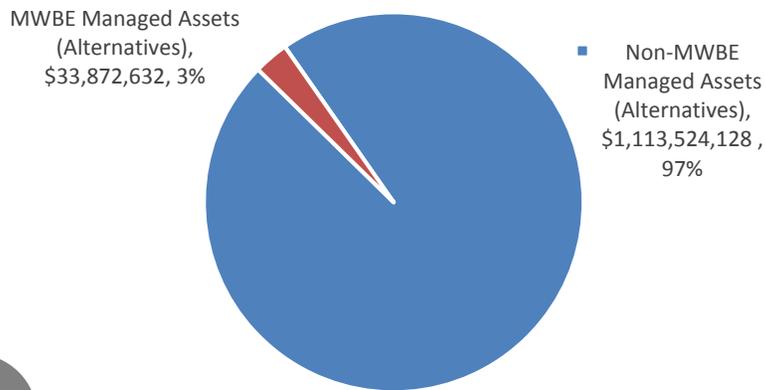
MaBSTOA - Total Assets



MaBSTOA - Traditional Investments



MaBSTOA - Alternative Investments



MWBE Managed Assets by Asset Class

