



**Metropolitan Transportation Authority**

# **Diversity Committee Meeting**

## **December 2012**

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### **Committee Members**

S. Metzger, Chair

F. Ferrer

J. Banks III

R. Bickford

A. Saul



## **MEETING AGENDA**

### **MTA DIVERSITY COMMITTEE**

**December 17th – 4:15 p.m.**

347 Madison Avenue  
Fifth Floor Board Room  
New York, NY

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#### **AGENDA ITEMS**

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##### **PUBLIC COMMENTS PERIOD**

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# **MTA DIVERSITY COMMITTEE**

## **Meeting Minutes**

**347 Madison Avenue, Fifth Floor Board Room**

**New York, NY 10017**

**Monday July 23, 2012**

**4:00 p.m.**

The following Committee members were present:

Hon. Robert Bickford

Hon. Fernando Ferrer

The following Committee members were absent:

Hon. Susan G. Metzger, Chairperson

Hon. John Banks III

Hon. Andrew Saul

The following were also present:

Helena Williams, President, MTA Long Island Rail Road ("LIRR")

Howard Permut, President, MTA Metro-North Railroad ("MNR")

Naeem U. Din, Deputy Director, MTA Department of Diversity and Civil Rights ("DDCR")

Gwen Harleston, Deputy Director, Minority, Women-owned, Disadvantaged Business

Enterprises ("MWDBE") Contract Compliance, DDCR

Zenaida Chape, Assistant Director, Outreach Unit, DDCR

Richard Gans, Vice President, General Counsel and Secretary, LIRR

Michael Fyffe, Director, Diversity Management, LIRR

Neil Yellin, Senior Vice President, Administration, LIRR

Kathleen Meilick, Assistant Director, Human Resources Planning and Administration Systems,  
LIRR

Willie Jenkins, Assistant Director, Recruitment, Human Resources, LIRR

Raymond Burney, Senior Vice President, Administration, MNR

Donna Evans, Chief of Staff, MNR

Adrienne Cortez, Director Human Resources/Acting Director, Employee Relations and  
Diversity/EEO Officer, MNR

Gregory Bradley, Vice President, Human Resources, MNR

Anthony Bombace, Senior Director, Procurement and Material Management, MNR

Frederic Gill, Talent Acquisition Specialist, Human Resources, MNR

Roberto Aguirre, Sr., Manager, Statistical Analysis and Compliance, Employee Relations and Diversity, MNR  
Gloria Colon, Chief EEO Officer, MTA Bridges & Tunnels ("B&T")  
Leon Goodman, Assistant Director, Staffing & Employee Relations, MTA Headquarters ("MTAHQ")  
Vernessa Moses, Assistant Chief Officer, EEO, MTA New York City Transit ("NYC Transit")  
Patrick Smith, Senior Director, Human Resources, NYC Transit  
Aleyda Meyers, Sourcing Director, Human Resources, NYC Transit

Mr. Ferrer and Mr. Bickford each chaired part of the meeting.

**1. Public Speakers:**

There were no public speakers.

**2. Minutes**

Upon motion duly made and seconded, the Committee unanimously approved the minutes of the meeting held on April 23, 2012

**3. Overview of Today's Meeting**

**2012 Diversity Committee Work Plan**

There were no changes to the Committee Work Plan.

**Outreach Events/Diversity Programs**

During the following presentation, Mr. Bickford chaired the meeting. Ms. Chape reported on outreach initiatives from July through September 2012. DDCR has been conducting in-house events designed to assist MWBE firms in networking with MTA Agencies. The MTA Agency-wide MWBE Discretionary Purchase Networking Forum was held in July. Procurement representatives from various MTA Agencies spoke about their respective Agency's discretionary purchases. Harlem Week will be celebrated in July, now a month-long event promoting economic development and job opportunities.

Agency-wide Architectural/Engineering and Information Technology/Supplier Diversity Forums will likely take place at the end of 2012. An outreach event specifically for the 55<sup>th</sup> Street Ventilation Facility project will be held in August. The Urban League of Southern Connecticut's Small Business Mentoring Program presentation will be held in August. Additionally, DDCR continues to hold monthly certification sessions.

Ms. Chape will attend an outreach event in July that is sponsored by New York State Assemblyman Robert Rodriguez and New York State Assembly Speaker Sheldon Silver.

Mr. Din reported that the MTAHQ Diversity Council will celebrate Hispanic Heritage Month in September. B&T's talent show will be held in October.

### **Certification Activity Report**

Mr. Bickford chaired the meeting for this presentation. Ms. Greene reported on certification activity from April to June of 2012. She provided the number of applications received for the months of April through June, during the years 2010 through 2012. Data shows a steady increase in the number of certification applicants. DDCR attendance at outreach events and the upcoming Tappan Zee Bridge project has resulted in a large number of applications. A total of 43 new certification applications were received as of June 30, 2012. For the second quarter of 2012, 25 applications were processed: 17 firms were certified, two were denied certification, four firms' applications were returned, and two firms withdrew their applications.

### **EEO and Title VI Update**

Mr. Bickford chaired the meeting for the following presentation. Mr. Din provided an update on EEO and Title VI Programs. MTA and its Agencies submitted their EEO and Title VI Programs to the Federal Transit Administration ("FTA") in 2011. Agencies also prepared an annual update of their Title VI Program. In addition, Agencies have developed procedures to monitor their Title VI Programs. In the upcoming week, FTA will conduct a compliance review of NYC Transit's Title VI Program.

MTA and its Agencies determine underutilization of minorities and women in their respective workforce by comparing the number of women and minority employees with the estimated availability in the relevant labor markets based on 2000 Census data. Employment goals are established where underutilization of women and/or minorities is identified and where vacancies are projected.

As of June 30, 2012, women, Hispanics and employees classified as others are underrepresented in some of the job categories. A majority of the underrepresentation occurred in the administrative support, skilled craft and service maintenance job categories. Positions within these categories usually require successfully passing a written exam.

During the following discussion, Mr. Ferrer chaired the meeting. Ms. Williams outlined LIRR's recruitment strategy to address underutilization of minorities and women in its workforce. LIRR has developed and implemented an annual hiring plan, which determines the number of vacancies to be filled in the upcoming year. The number of expected vacancies is subject to change, depending on the attrition rate. Therefore, LIRR continues to adjust its hiring plan. LIRR seeks to ensure a diverse pool of applicants. It places advertisements for vacancies on targeted websites. LIRR also works with organizations such as National Association of Hispanic Journalists, Society of Women Engineers and National Association of Women in Construction. LIRR has also developed working relationships with community based organizations such as Non-Traditional Employment for Women ("NEW") and The Council of Urban Professionals. In addition, LIRR is making a concerted effort to hire veterans. Overall, the numbers show that LIRR is making progress in diversifying its workforce.

Mr. Ferrer asked whether LIRR will make any changes to its recruitment strategy in the future. Ms. Williams replied that LIRR will be fine tuning its strategy as it moves forward. It will assess the success of job fairs that it is attending for veterans. She said LIRR has a network in place that is producing qualified, diverse candidates. LIRR is being recognized as a place that welcomes diversity.

Regarding participation of MWDBEs in LIRR's contracting activity, Ms. Williams stated that they have had great success in assigning projects to MTA's Small Business Mentoring Program ("SBMP"). LIRR's goal is to see various companies advance to the next level through SBMP by taking on larger projects. Mr. Ferrer asked if LIRR is making any progress in increasing awards to MWBEs, in addition to their participation in the SBMP. Ms. Williams said although some of the smaller minority and women-owned firms have had issues meeting the insurance and risk allocation requirements, she believes the SBMP allows small firms to overcome these obstacles and facilitates their entry into the market. Mr. Ferrer asked if it was worthwhile to consider the experience of businesses that have overcome these obstacles and are currently working for other MTA Agencies. Ms. Williams said she would welcome that. Since the remainder of MTA's Capital Program has been approved, it's a good opportunity for smaller firms to form joint ventures with larger firms.

Mr. Ferrer asked if firms which have worked on NYC Transit's station projects can also work on LIRR's station projects. Ms. Williams agreed that there are opportunities for firms who have worked on station and signal component rebuild projects.

Mr. Permut stated that MNR has also developed a hiring plan which identifies at the start of each year the number of vacancies that need to be filled. MNR has been unable to accurately predict the number of vacancies that need to be filled in the last few years because it is difficult to accurately forecast the number of employees who will retire. However, Mr. Permut said that higher turnover gives MNR a greater opportunity. MNR is currently reviewing its workforce numbers and how it determines availability. Once this review is completed, MNR will be able to refine its recruitment strategy. MNR is currently conducting job fairs where they are able to apprise potential applicants of employment opportunities. MNR is also working with a number of veterans and minority focused community organizations that provide assistance in job placement. MNR's staff recently attended the Somos El Futuro conference in Albany, New York. MNR is also making countless efforts to reach out to the major urban communities outside New York City, such as Poughkeepsie, New Haven and Bridgeport.

Mr. Ferrer asked if MNR anticipates any changes in its recruitment efforts. Mr. Burney said MNR is focused on improving utilization of minorities and women in its workforce. He said there has been improvement in the number of women and Hispanics employed at MNR. Ms. Cortez stated that MNR will increase its outreach efforts to community organizations in order to create a more diverse applicant pool.

In terms of contracts, Mr. Permut stated that the Agency has debundled components of station projects which can be performed by small businesses. MNR has worked with DDCR to conduct outreach in new areas, such as in Connecticut. MNR has done well in the area of discretionary procurements, where MNR's numbers have increased to 7%.

Mr. Bombace stated that MNR has done well in terms of MWDBE participation in its Capital Program. Mr. Bombace worked closely with Ronald Saporita, Director, MTA Office of Construction Oversight, on the SBMP. MNR also works closely with DDCR in outreach to MWDBEs. A DDCR representative is embedded in MNR Procurement Department. MNR has also downloaded NYC Transit's database of forms, allowing it to solicit the same number of MWDBEs. MNR's concerted efforts will result in larger participation by MWDBE firms.

Ms. Williams said she will make sure that LIRR is using the same database that MNR and NYC Transit are using.

Mr. Ferrer said the presentation in October 2012 will address efforts to correct underutilization and increase awards to MWDBEs.

Mr. Smith stated that each year NYC Transit develops a six-month hiring plan. They reach out to various high schools and colleges to inform students about job opportunities at NYC Transit. They have also reached out to veterans and have visited Fort Hamilton and Fort Bragg.

Ms. Meyers added that she also assists MTA Bus Company and Staten Island Railway in their recruitment efforts. She has conducted resume writing and interview skill workshops at Fort Hamilton for veterans scheduled to leave military service within six months. She has also reached out to the Pentagon and a veterans group called Marines for Life. Her department has created posters depicting women and minorities in various non-traditional job titles. Her goal is to increase public awareness of employment and contracting opportunities at the MTA. She emphasized that these types of initiatives will take time before satisfactory results are seen.

Mr. Goodman reported on MTAHQ Human Resources and the MTA All-Agency Recruitment Roundtable. Mr. Goodman said the recruiters from various MTA Agencies work collectively to handle recruitment. Together they have conducted workshops in the community to give individual participants the skills needed to obtain employment not only with the MTA but with any outside employer. Mr. Goodman thanked the MTA Agencies for collaborating with MTAHQ in recruitment. Mr. Din presented to the Committee a copy of a letter that Congressman Charles Rangel of New York recently sent to Mr. Gill, thanking him for attending a job fair sponsored by Mr. Rangel. Mr. Gill had coordinated MTA Agency participation for this recruitment event. Mr. Goodman also discussed the upcoming MTA Police Officer examination and stated that various outreach efforts have been made to ensure adequate minority and female participation.

Mr. Aguirre stated that during Congressman Rangel's job fair, they met with Technology Services Corporation, which provides free information technology training to inner city youth. It is their intention to invite Technology Services to the next meeting of the MTA All-Agency Recruitment Roundtable.

Ms. Colon thanked NYC Transit for the assistance it provides B&T in outreach and recruitment. A majority of positions at B&T are filled in accordance with the New York State Civil Service Law. NYC Transit is helping B&T administer a Civil Service test for entry level maintainers. This test will result in a larger applicant pool for B&T. In an effort to assist in the underutilization of women and minorities, B&T is working with a number of organizations, including NEW and the Bronx Development Corporation. Ms. Colon reported that there is underrepresentation in the area of administrative support. According to the Civil Service Law, an employee serving in a provisional position must be replaced by a permanent civil service employee once a civil service eligibility list has been established. This explains why a number of females and minorities have been underrepresented in that particular area. She stated that the Agency is making significant headway in the SBMP. In an effort to hire veterans, B&T has long partnered with the U.S. Department of Veterans Affairs. Veterans have been hired as Bridges and Tunnels officers, among other positions. The Agency has also created the Management Associates Program, which is a succession planning and diversity initiative program. B&T has selected five talented employees for this program, who are now assigned to its various departments.

Mr. Bickford chaired the remainder of the meeting. Mr. Din reported that as of June 30, 2012, MTA and its Agencies hired a total of 2,027 employees, of which 23% are women and 71% are minorities. Of the total minorities hired, 41% are African American and about 16% are Hispanic. MTA HQ hired

the highest percentage of women (59%) and NYC Transit hired the highest percentage of minorities (80%).

During the reporting period, MTA and its Agencies handled a total of 294 EEO complaints, with 175 complaints filed with outside agencies and 119 filed internally. The majority of internal complaints cited race/color discrimination, miscellaneous discrimination and sexual harassment as basis for the complaint. The majority of external complaints cited race/color discrimination, disability discrimination and miscellaneous discrimination as basis for the complaint. Between January and June of 2012, MTA and its Agencies handled 20 Title VI complaints citing 24 separate allegations. Of these 20 complaints, race discrimination was most frequently cited as the basis for the complaint.

Mr. Bickford inquired how complaints are handled at the Agencies. Mr. Din responded that complaints are handled by Agency EEO Officers, with the exception of MTA Capital Construction, whose internal complaints are handled by DDCR. There is a target date for completion of the investigation. The external complaints are filed with either the U.S. Equal Employment Opportunity Commission or the New York State Division of Human Rights.

### **Small Business Mentoring Program**

Mr. Din provided an update on the SBMP. As of July 13, 2012, a total of 56 contracts have been awarded, totaling approximately \$31 million. Of these 56 contracts, 42 contracts, totaling over \$24 million, were awarded to 37 New York certified M/WBE firms. Five firms have been awarded two contracts each since the Program began. Of the 37 MWBE firms which received contracts, ten are also certified DBEs. A total of 157 firms have been pre-qualified and 35 firms are pending pre-qualification.

### **MWDBE Contract Compliance**

Ms. Harleston reported on federal and state contract awards as of June 30, 2012. The overall DBE goal for federal fiscal year 2012, starting October 1, 2011, is 17%. Between October 2011 and June 2012 the MTA awarded over \$745 million in federally funded contracts with over \$114 million (15%) being awarded to certified DBEs. Over \$220 million was paid to prime contractors in five completed contracts, with approximately \$35 million (16%) being paid to certified DBEs.

Regarding New York State contracts, the MTA set an overall MWBE goal of 20% for fiscal year 2012/2013, starting April 1, 2012. As of June 30, 2012, approximately \$79 million was awarded in state funded contracts with over \$29 million (37%) going to certified MWBEs, exceeding MTA's overall MWBE goal. Over \$197 million was paid to prime contractors, with approximately \$37 million (19%) being paid to MWBEs.

Ms. Harleston noted that for the first time DDCR has included a Discretionary Procurement report as part of the MWDBE Contract Compliance Report. Discretionary procurements include purchases of goods, miscellaneous procurements, personal or miscellaneous services which do not exceed \$200,000 and are not federally funded. From November 2011 through June 2012, MTA and its agencies awarded over \$642 million in discretionary procurements with over \$30 million (5%) being awarded to MWBEs.

Mr. Din reported on financial and legal services for the period April 2012 through June 2012. MBEs were awarded 1.5% in outside counsel fees, while 12.6% was awarded to WBEs. Mr. Bickford noted that WBEs have done well in this area.

MWBE participation in underwriter fees is 14%, with 12% awarded to MBEs and 2% awarded to WBEs. Mr. Bickford noted that there should be greater WBE participation in this area.

With respect to the MABSTOA Pension Plan, MWBE participation is 23.6% and in the MTA Defined Benefit Pension Plan, MWBE participation is 23.3% within the traditional asset funds. In response to Mr. Bickford's question, Mr. Din said traditional assets include stocks, bonds and cash, and non-traditional assets include real estate, hedge funds and private equity. Mr. Bickford noted that MWBEs have done well in the area of traditional assets but not in non-traditional assets.

Ms. Harleston reported on MWDBE participation on MTA's Capital projects. For the period January to June 2012, the DBE participation is 15.2%. During the first quarter of calendar year 2012, the DBE goal on a \$262 million contract was reduced from 17% to 8% due to the special nature of the work involving underground signals and communication systems.

For the same reporting period, MBE participation is 13.6% and WBE participation is 24.5%, exceeding MTA's overall MWBE goal. New York State credits MWBE participation on federally funded contracts. MWBE participation in these contracts is included in the overall MWBE goal achievement reported here. Ms. Harleston added that MTA's SBMP has resulted in prime contracts being awarded to MWBEs, and economic development within MTA's service area.

#### Adjournment

Mr. Bickford concluded the meeting and the meeting was adjourned.

Respectfully submitted,

Jeana Titre

Department of Diversity and Civil Rights



## 2013 Diversity Committee Work Plan

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### I. RECURRING AGENDA ITEMS

#### Responsibility

Approval of Minutes  
Committee Work Plan  
MTA Agency-wide Diversity, Outreach  
and EEO Programs Activities  
MTA DBE Certification Program Activities  
M/W/DBE Contract Compliance Activities  
Departmental Goals Update  
Action Items (if any)

Committee Chair & Members  
Committee Chair & Members  
  
Dept. of Diversity/Civil Rights  
Dept. of Diversity/Civil Rights  
Dept. of Diversity/Civil Rights  
Dept. of Diversity/Civil Rights  
As listed

### II. SPECIFIC AGENDA ITEMS

#### Responsibility

#### March 2013

Recommitment to EEO Policy Statements  
2013 Departmental Goals  
2012 Year-End Report on EEO  
Approval of MTA Agency Title VI Policies

Dept. of Diversity/Civil Rights

#### June 2013

1st Quarter 2013 Report

Dept. of Diversity/Civil Rights

#### September 2013

2013 Mid-Year Report on EEO  
Title VI Program Update  
EEO Program Update

Dept. of Diversity/Civil Rights

#### November 2013

3<sup>rd</sup> Quarter 2013 Report  
Status Report on MTA Inter-Agency  
M/W/DBE Task Force  
Diversity Committee Charter Review  
2014 Diversity Committee Work Plan

Dept. of Diversity/Civil Rights

Committee Chair & Members

# **2013 Diversity Committee Work Plan**

## **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 Diversity Outreach Program Activities**

The MTA Department of Diversity/Civil Rights update of planned Agency-wide Diversity and Outreach Programs activities.

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

The MTA Department of Diversity/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/Civil Rights update of DBE Certification Program Activities.

#### **M/W/DBE Activities**

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

#### **Departmental Goals Update**

MTA Department of Diversity/Civil Rights will provide an update on Departmental goals.

#### **Action Items**

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

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

#### **March 2013**

##### **Recommitment to EEO Policy Statements**

Each year the MTA disseminates Policy Statements addressing the Americans with Disabilities Act, Sexual and Other Discriminatory Harassment Prevention and Equal Employment Opportunity. We disseminate these Policy Statements to all MTA employees to reaffirm MTA's commitment to ensuring a work place environment free from illegal discrimination and to ensure continued compliance with all applicable laws.

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

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

## 2012 Year-End Report on EEO

The Department of Diversity and Civil Rights will present an update on MTA Agency-wide EEO activities.

## Approval of MTA Agency Title VI Policies

The MTA Department of Diversity and Civil Rights will present for approval MTA Agency Title VI Policies. MTA is required to submit these Policies to the Federal Transit Administration by March 31, 2013. These Policies shall include Service Standards and Policies, Major Service Change Definitions and Disparate Impact/Disproportionate Impact Policies.

## June 2013

### 1<sup>st</sup> Quarter 2013 Report

The Department of Diversity/Civil Rights will present an update on Diversity, Outreach and EEO Programs activities. The Department of Diversity/Civil Rights will also present an update on DBE Certification and M/W/DBE Contract Compliance Programs activities.

## September 2013

### Title VI Program Update

The MTA Department of Diversity/Civil Rights will present an update on the annual Title VI Program.

### EEO Program Update

The MTA Department of Diversity/Civil Rights will present an update on the annual EEO Program.

## 2013 Mid-Year Report on EEO

The Department of Diversity/Civil Rights will present an update on Diversity, Outreach and EEO Programs activities. The Department of Diversity/Civil Rights will also present an update on DBE Certification and M/W/DBE Contract Compliance Programs activities.

## November 2013

### 3<sup>rd</sup> Quarter 2013 Report

The Department of Diversity/Civil Rights will present an update on Diversity, Outreach and EEO Programs activities. The Department of Diversity/Civil Rights will also present an update on the activities of DBE Certification and M/W/DBE Contract Compliance Programs activities.

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

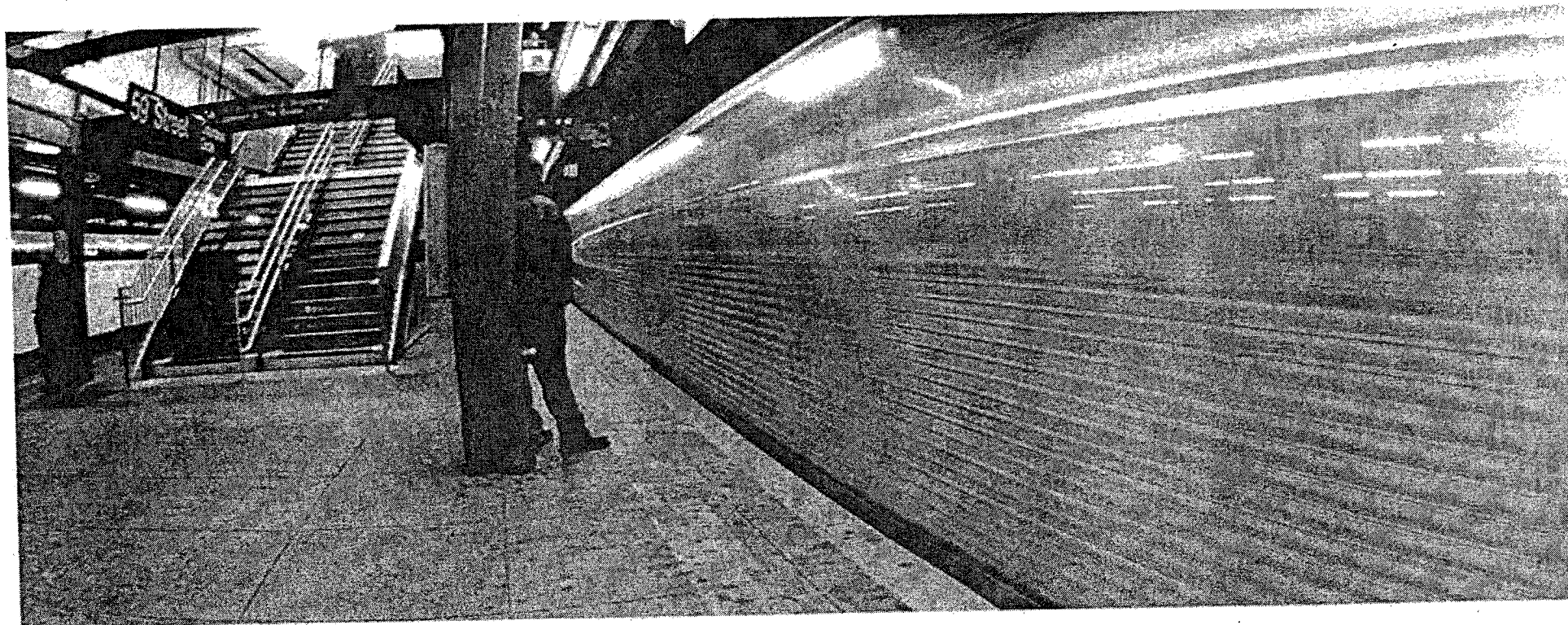
The Department of Diversity/Civil Rights report will address progress made by the Task Force to improve M/W/DBE participation.

### Diversity Committee Charter Review

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

MTA DIVERSITY COMMITTEE MEETING  
*A NEW DAY AT THE MTA*

December 17, 2012  
4:15 P.M.





**Metropolitan Transportation Authority**

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# **MTA Department of Diversity/Civil Rights 2012-2013 Departmental Goals Update**

**December 17, 2012**

## **2012-2013 DEPARTMENTAL GOALS UPDATE**

| <b>GOALS</b>   | <b>STATUS</b>   |
|--|---|
| Small Business Development Program Training – training will resume on March 1, 2012.   | Ongoing   |
| The goal of MTA Mentor/Graduate Mentor Programs is to award \$22.5 million during the third year of the Program (July 2012 to July 2013).  | \$821,000 has been awarded from July 2012 to date.  |
| Implement MTA Small Business Federal Mentor Program for federally funded contracts. Goal is to award \$10 million during first year of the Program.  | First project to be awarded during first quarter of 2013.                                   |
| Work with Empire State Development to formulate a procurement strategy for increased awards to M/WBEs.   | Ongoing   |
| Finalize implementation of the M/W/DBE Contract Compliance System.   | Ongoing   |
| Finalize MTA's Minority Supplier Development Program for subway car and bus manufacturers.   | Ongoing   |
| Achieve our M/W/DBE goals.   | Ongoing   |
| Seek Board approval for MTA Agency Title VI Policies and submit to the FTA by March 31, 2013. These Policies shall include Service Standards and Policies, Major Service Changes Definitions, and Disparate Impact/Disproportionate Impact Policies. | Title VI Policies to be submitted for Diversity Committee and Board approval in March 2013. |



**Metropolitan Transportation Authority**

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# **MTA Department of Diversity/Civil Rights Diversity and Outreach Report**

**December 17, 2012**

# **M/W/DBE Outreach Initiatives**

## **October**

Promotional Alliance of Harlem Fall Networking Event  
Council of Urban Professionals 5<sup>th</sup> Annual Wall Street Partners Forum  
Department of Diversity and Civil Rights hosts DBE Certification Session  
Second Annual New York State MWBE Conference  
Circle of Sisters Opportunities Expo  
MTA Small Business Federal Mentoring Program Orientation Session  
NYS Minority Contractors Association 15<sup>th</sup> Annual Awards Dinner

## **November**

Harlem Business Alliance 32<sup>nd</sup> Annual Awards Celebration  
Association of Minority Entrepreneurs of New York 38<sup>th</sup> Annual Awards Gala  
Department of Diversity and Civil Rights hosts DBE Certification Session  
MTA Presents New Firm Orientation Session  
The 2012 Long Island Community Development Conference  
NYC Hispanic Chamber of Commerce 2<sup>nd</sup> Annual Economic Development Summit to Puerto Rico

## **December**

MTA LIRR hosts Discretionary Procurement Opportunities Outreach Event  
Department of Diversity and Civil Rights hosts DBE Certification Session  
NY/NJ Minority Supplier Development Council Partnership Awards Gala  
55<sup>th</sup> Street Ventilation Facility MWDBE Outreach Event  
New York City Hispanic Chamber of Commerce 7<sup>th</sup> Annual Business Awards Banquet  
MTA Small Business Federal Mentoring Program Orientation Session

# **MTA Agency-Wide Diversity Programs**

## **October**

MNR celebrated National Diversity Awareness Month  
MTA HQ Diversity Council celebrated Hispanic American Heritage Month

## **November**

MTA HQ Diversity Council celebrated Native American Heritage Month

## **December**

MTA HQ Diversity Council presents International Dessert Day



**Metropolitan Transportation Authority**

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# **MTA Department of Diversity/Civil Rights Certification Activity Report**

**December 17, 2012**

**CERTIFICATION APPLICATIONS RECEIVED – 3rd QUARTER  
2010 - 2012**

|                  | <b>2012</b> | <b>2011</b> | <b>2010</b> |
|------------------|-------------|-------------|-------------|
| <b>July</b>      | <b>22</b>   | <b>7</b>    | <b>8</b>    |
| <b>August</b>    | <b>6</b>    | <b>11</b>   | <b>15</b>   |
| <b>September</b> | <b>12</b>   | <b>9</b>    | <b>10</b>   |
| <b>Total</b>     | <b>40</b>   | <b>27</b>   | <b>33</b>   |

**CERTIFICATION ACTIVITY FOR NEW APPLICATIONS -- 3rd QUARTER  
2010- 2012**

|                  | 2012 | 2011 | 2010 |
|------------------|------|------|------|
| <b>CERTIFIED</b> | 27   | 17   | 16   |
| <b>DENIED</b>    | 1    | 4    | 3    |
| <b>RETURNED</b>  | 9    | 11   | 4    |
| <b>WITHDRAWN</b> | 5    | 2    | 0    |
| <b>TOTAL</b>     | 42   | 34   | 23   |



**Metropolitan Transportation Authority**

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# **MTA DEPARTMENT OF DIVERSITY/CIVIL RIGHTS EEO ACTIVITIES – Third Quarter 2012**

**December 17, 2012**

## OVERVIEW

MTA and its Agencies have conducted an availability analysis of females and minorities. The availability analysis consists of comparing each agency's September 30, 2012 workforce percentages for females and minorities to 80% of the females and minorities available for work within the relevant labor market based on the Census.

The following numbers and information do not reflect availability 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. Terms such as "exceed, at or below 80% of Census availability" or "underutilization" that may appear in this report do not constitute a finding or admission of unlawful discrimination. Although the MTA will use such terms in good faith in this report, it cautions that these terms should not be applied outside the report's narrow context.

## SUMMARY OF FINDINGS

In general, as of September 30, 2012, females, Hispanics and employees classified as Others are underrepresented protected groups in some of the job categories at the operating agencies. A majority of the underrepresentation within these groups occurred within the Administrative Support, Skilled Craft and Service Maintenance job categories. These job categories have the highest population of employees at the operating agencies.

The following chart provides the female and minority workforce percentages for each agency, 80% of the females and minorities available for work based on the 2000 Census, by job category and whether or not the estimated availability percentages were met for females and minorities within each of the job categories.

# MTA-WIDE UTILIZATION ANALYSIS

AS OF SEPTEMBER 30, 2012

| Job Category                          | Female*   |          |             | Blacks    |          |             | Hispanics |          |             | Asians    |          |             | AI/AN**   |          |             | NHOPI***  |          |             | Other     |          |             |
|---------------------------------------|-----------|----------|-------------|-----------|----------|-------------|-----------|----------|-------------|-----------|----------|-------------|-----------|----------|-------------|-----------|----------|-------------|-----------|----------|-------------|
|                                       | Est Avail | Actual % | Util Yes/No | Est Avail | Actual % | Util Yes/No | Est Avail | Actual % | Util Yes/No | Est Avail | Actual % | Util Yes/No | Est Avail | Actual % | Util Yes/No | Est Avail | Actual % | Util Yes/No | Est Avail | Actual % | Util Yes/No |
| <b>Officials &amp; Administrators</b> |           |          |             |           |          |             |           |          |             |           |          |             |           |          |             |           |          |             |           |          |             |
| MTA HQ                                | 36%       | 37%      | Yes         | 17%       | 24%      | Yes         | 2%        | 5%       | Yes         | 9%        | 10%      | Yes         | 0%        | 0%       | Yes         | 0%        | 0%       | Yes         | 1%        | 2%       | Yes         |
| MTA B&T                               | 30%       | 25%      | No          | 10%       | 23%      | Yes         | 4%        | 6%       | Yes         | 6%        | 10%      | Yes         | 0%        | 0%       | Yes         | 0%        | 0%       | Yes         | 1%        | 0%       | No          |
| MTA MNR                               | 26%       | 19%      | No          | 8%        | 14%      | Yes         | 6%        | 5%       | No          | 4%        | 6%       | Yes         | 0%        | 0%       | Yes         | 1%        | 0%       | No          | 1%        | 1%       | Yes         |
| MTA URR                               | 21%       | 20%      | No          | 11%       | 10%      | No          | 6%        | 7%       | Yes         | 4%        | 4%       | Yes         | 0%        | 0%       | Yes         | 0%        | 0%       | Yes         | 1%        | 2%       | Yes         |
| MTA NYCT                              | 25%       | 15%      | No          | 12%       | 35%      | Yes         | 6%        | 10%      | Yes         | 5%        | 14%      | Yes         | 0%        | 0%       | Yes         | 0%        | 0%       | Yes         | 1%        | 1%       | Yes         |
| MTA CC                                | 10%       | 22%      | Yes         | 15%       | 11%      | No          | 11%       | 7%       | No          | 19%       | 26%      | Yes         | 0%        | 0%       | Yes         | 0%        | 0%       | Yes         | 1%        | 3%       | Yes         |
| MTA Bus                               | 18%       | 10%      | No          | 14%       | 27%      | Yes         | 11%       | 13%      | Yes         | 3%        | 5%       | Yes         | 0%        | 0%       | Yes         | 0%        | 0%       | Yes         | 1%        | 3%       | Yes         |
| <b>Professionals</b>                  |           |          |             |           |          |             |           |          |             |           |          |             |           |          |             |           |          |             |           |          |             |
| MTA HQ                                | 39%       | 56%      | Yes         | 10%       | 35%      | Yes         | 9%        | 10%      | Yes         | 8%        | 15%      | Yes         | 0%        | 1%       | Yes         | 0%        | 0%       | Yes         | 2%        | 4%       | Yes         |
| MTA B&T                               | 31%       | 33%      | Yes         | 10%       | 20%      | Yes         | 6%        | 15%      | Yes         | 10%       | 22%      | Yes         | 0%        | 0%       | Yes         | 0%        | 0%       | Yes         | 1%        | 0%       | No          |
| MTA MNR                               | 45%       | 37%      | No          | 8%        | 20%      | Yes         | 5%        | 8%       | Yes         | 4%        | 16%      | Yes         | 0%        | 0%       | Yes         | 0%        | 0%       | Yes         | 1%        | 1%       | Yes         |
| MTA URR                               | 20%       | 21%      | Yes         | 10%       | 13%      | Yes         | 7%        | 7%       | Yes         | 6%        | 17%      | Yes         | 0%        | 0%       | Yes         | 0%        | 0%       | Yes         | 1%        | 3%       | Yes         |
| MTA NYCT                              | 36%       | 36%      | Yes         | 11%       | 33%      | Yes         | 7%        | 9%       | Yes         | 8%        | 26%      | Yes         | 0%        | 0%       | Yes         | 0%        | 0%       | Yes         | 2%        | 2%       | Yes         |
| MTA CC                                | 19%       | 39%      | Yes         | 4%        | 31%      | Yes         | 4%        | 4%       | Yes         | 4%        | 39%      | Yes         | 0%        | 0%       | Yes         | 0%        | 0%       | Yes         | 1%        | 0%       | No          |
| MTA Bus                               | 34%       | 50%      | Yes         | 10%       | 27%      | Yes         | 5%        | 11%      | Yes         | 5%        | 19%      | Yes         | 0%        | 0%       | Yes         | 0%        | 0%       | Yes         | 2%        | 4%       | Yes         |

\*Females are also included in the percentage totals for each of the racial/ethnic groups.

\*\*American Indian/Alaskan Native

\*\*\*Native Hawaiian Other Pacific Islander

# MTA-WIDE UTILIZATION ANALYSIS

AS OF SEPTEMBER 30, 2012

| Job Category               | Female*   |          |                  | Blacks    |          |                  | Hispanics |          |                  | Asians    |          |                  | AI/AN**   |          |                  | NHOPI***  |          |                  | Other     |          |                  |
|----------------------------|-----------|----------|------------------|-----------|----------|------------------|-----------|----------|------------------|-----------|----------|------------------|-----------|----------|------------------|-----------|----------|------------------|-----------|----------|------------------|
|                            | Est Avail | Actual % | Util Yes/Anal No | Est Avail | Actual % | Util Yes/Anal No | Est Avail | Actual % | Util Yes/Anal No | Est Avail | Actual % | Util Yes/Anal No | Est Avail | Actual % | Util Yes/Anal No | Est Avail | Actual % | Util Yes/Anal No | Est Avail | Actual % | Util Yes/Anal No |
| <b>Technicians</b>         |           |          |                  |           |          |                  |           |          |                  |           |          |                  |           |          |                  |           |          |                  |           |          |                  |
| MTA HQ                     | 14%       | 11%      | No               | 13%       | 6%       | No               | 8%        | 6%       | No               | 1%        | 2%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 1%        | 2%       | Yes              |
| MTA B&T                    | 10%       | 19%      | Yes              | 9%        | 17%      | Yes              | 6%        | 19%      | Yes              | 1%        | 4%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 1%        | 0%       | No               |
| MTA MNR                    | 23%       | 2%       | No               | 4%        | 21%      | Yes              | 5%        | 6%       | Yes              | 6%        | 6%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 1%        | 0%       | No               |
| MTA LIRR                   | 9%        | 11%      | Yes              | 10%       | 21%      | Yes              | 8%        | 11%      | Yes              | 6%        | 5%       | No               | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 1%        | 0%       | No               |
| MTA NYCT                   | 36%       | 45%      | Yes              | 11%       | 48%      | Yes              | 10%       | 9%       | No               | 12%       | 15%      | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 2%        | 0%       | No               |
| MTA CC                     | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              |
| MTA Bus                    | 24%       | 55%      | Yes              | 7%        | 18%      | Yes              | 6%        | 9%       | Yes              | 14%       | 0%       | No               | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 2%        | 0%       | No               |
| <b>Protective Services</b> |           |          |                  |           |          |                  |           |          |                  |           |          |                  |           |          |                  |           |          |                  |           |          |                  |
| MTA HQ                     | 11%       | 10%      | No               | 11%       | 16%      | Yes              | 12%       | 18%      | Yes              | 1%        | 3%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 1%        | 1%       | Yes              |
| MTA B&T                    | 18%       | 21%      | Yes              | 16%       | 32%      | Yes              | 21%       | 23%      | Yes              | 2%        | 4%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 1%        | 0%       | No               |
| MTA MNR                    | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              |
| MTA LIRR                   | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              |
| MTA NYCT                   | 14%       | 21%      | Yes              | 35%       | 59%      | Yes              | 17%       | 15%      | No               | 4%        | 7%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 3%        | 1%       | No               |
| MTA CC                     | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              |
| MTA Bus                    | 15%       | 0%       | No               | 33%       | 50.0%    | Yes              | 15%       | 0%       | Yes              | 3%        | 0%       | No               | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 3%        | 17%      | Yes              |

\*Females are also included in the percentage totals for each of the racial/ethnic groups.

\*\*American Indian/Alaskan Native

\*\*\*Native Hawaiian Other Pacific Islander

# MTA-WIDE UTILIZATION ANALYSIS

AS OF SEPTEMBER 30, 2012

| Job Category                  | Female*   |          |                  | Blacks    |          |                  | Hispanics |          |                  | Asians    |          |                  | AI/AN**   |          |                  | NHOPI***  |          |                  | Other     |          |                  |
|-------------------------------|-----------|----------|------------------|-----------|----------|------------------|-----------|----------|------------------|-----------|----------|------------------|-----------|----------|------------------|-----------|----------|------------------|-----------|----------|------------------|
|                               | Est Avail | Actual % | Util Anal Yes/No | Est Avail | Actual % | Util Anal Yes/No | Est Avail | Actual % | Util Anal Yes/No | Est Avail | Actual % | Util Anal Yes/No | Est Avail | Actual % | Util Anal Yes/No | Est Avail | Actual % | Util Anal Yes/No | Est Avail | Actual % | Util Anal Yes/No |
| <b>Para-Professionals</b>     |           |          |                  |           |          |                  |           |          |                  |           |          |                  |           |          |                  |           |          |                  |           |          |                  |
| MTA HQ                        | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              |
| MTA B&T                       | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              |
| MTA MNR                       | 59%       | 69%      | Yes              | 10%       | 17%      | Yes              | 7%        | 6%       | No               | 3%        | 17%      | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 1%        | 0%       | No               |
| MTA URR                       | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              |
| MTA NYCT                      | 52%       | 52%      | Yes              | 13%       | 63%      | Yes              | 10%       | 19%      | Yes              | 4%        | 13%      | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 2%        | 0%       | No               |
| MTA CC                        | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              |
| MTA Bus                       | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              |
| <b>Administrative Support</b> |           |          |                  |           |          |                  |           |          |                  |           |          |                  |           |          |                  |           |          |                  |           |          |                  |
| MTA HQ                        | 67%       | 76%      | Yes              | 18%       | 49%      | Yes              | 16%       | 15%      | No               | 5%        | 2%       | No               | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 2%        | 3%       | Yes              |
| MTA B&T                       | 61%       | 59%      | No               | 18%       | 56%      | Yes              | 19%       | 27%      | Yes              | 4%        | 3%       | No               | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 2%        | 0%       | No               |
| MTA MNR                       | 59%       | 43%      | No               | 14%       | 30%      | Yes              | 11%       | 12%      | Yes              | 4%        | 4%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 1%        | 1%       | Yes              |
| MTA URR                       | 35%       | 48%      | Yes              | 19%       | 27%      | Yes              | 11%       | 10%      | No               | 3%        | 3%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 2%        | 2%       | Yes              |
| MTA NYCT                      | 57%       | 43%      | No               | 22%       | 59%      | Yes              | 20%       | 13%      | No               | 7%        | 14%      | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 3%        | 1%       | No               |
| MTA CC                        | 67%       | 100%     | Yes              | 17%       | 29%      | Yes              | 16%       | 29%      | Yes              | 4%        | 0%       | No               | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 2%        | 0%       | No               |
| MTA Bus                       | 60%       | 53%      | No               | 21%       | 33%      | Yes              | 19%       | 13%      | No               | 7%        | 7%       | Yes              | 0%        | 0%       | Yes              | 0%        | 0%       | Yes              | 3%        | 5%       | Yes              |

\*Females are also included in the percentage totals for each of the racial/ethnic groups.

\*\*American Indian/Alaskan Native

\*\*\*Native Hawaiian Other Pacific Islander

# MTA-WIDE UTILIZATION ANALYSIS

AS OF SEPTEMBER 30, 2012

| Job Category               | Female* |        |              | Blacks |        |              | Hispanics |        |              | Asians |        |              | AI/AN** |        |              | NHOPI*** |        |              | Other |        |              |
|----------------------------|---------|--------|--------------|--------|--------|--------------|-----------|--------|--------------|--------|--------|--------------|---------|--------|--------------|----------|--------|--------------|-------|--------|--------------|
|                            |         |        | Util         |        |        | Util         |           |        | Util         |        |        | Util         |         |        | Util         |          |        | Util         |       |        |              |
|                            | Est     | Actual | Yes/<br>Anal | Est    | Actual | Yes/<br>Anal | Est       | Actual | Yes/<br>Anal | Est    | Actual | Yes/<br>Anal | Est     | Actual | Yes/<br>Anal | Est      | Actual | Yes/<br>Anal | Est   | Actual | Yes/<br>Anal |
| Avail                      | %       | No     | Avail        | %      | No     | Avail        | %         | No     | Avail        | %      | No     | Avail        | %       | No     | Avail        | %        | No     | Avail        | %     | No     |              |
| <b>Skilled Craft</b>       |         |        |              |        |        |              |           |        |              |        |        |              |         |        |              |          |        |              |       |        |              |
| MTA HQ                     | 0%      | 0%     | Yes          | 0%     | 0%     | Yes          | 0%        | 0%     | Yes          | 0%     | 0%     | Yes          | 0%      | 0%     | Yes          | 0%       | 0%     | Yes          | 0%    | 0%     | Yes          |
| MTA B&T                    | 0%      | 0%     | Yes          | 0%     | 0%     | Yes          | 0%        | 0%     | Yes          | 0%     | 0%     | Yes          | 0%      | 0%     | Yes          | 0%       | 0%     | Yes          | 0%    | 0%     | Yes          |
| MTA MNR                    | 7%      | 6%     | No           | 21%    | 17%    | No           | 15%       | 7%     | No           | 6%     | 2%     | No           | 0%      | 0%     | Yes          | 0%       | 0%     | Yes          | 1%    | 1%     | Yes          |
| MTA LIRR                   | 8%      | 10%    | Yes          | 16%    | 17%    | Yes          | 11%       | 10%    | No           | 3%     | 2%     | No           | 0%      | 0%     | Yes          | 0%       | 0%     | Yes          | 2%    | 2%     | Yes          |
| MTA NYCT                   | 13%     | 5%     | No           | 25%    | 40%    | Yes          | 14%       | 11%    | No           | 10%    | 13%    | Yes          | 0%      | 0%     | Yes          | 0%       | 0%     | Yes          | 2%    | 1%     | No           |
| MTA CC                     | 0%      | 0%     | Yes          | 0%     | 0%     | Yes          | 0%        | 0%     | Yes          | 0%     | 0%     | Yes          | 0%      | 0%     | Yes          | 0%       | 0%     | Yes          | 0%    | 0%     | Yes          |
| MTA Bus                    | 2%      | 1.0%   | No           | 21%    | 27%    | Yes          | 25%       | 13%    | No           | 6%     | 9.0%   | Yes          | 0%      | 0%     | Yes          | 0%       | 2%     | Yes          | 6%    | 3%     | No           |
| <b>Service Maintenance</b> |         |        |              |        |        |              |           |        |              |        |        |              |         |        |              |          |        |              |       |        |              |
| MTA HQ                     | 0%      | 0%     | Yes          | 0%     | 0%     | Yes          | 0%        | 0%     | Yes          | 0%     | 0%     | Yes          | 0%      | 0%     | Yes          | 0%       | 0%     | Yes          | 0%    | 0%     | Yes          |
| MTA B&T                    | 2%      | 1%     | No           | 14%    | 14%    | Yes          | 18%       | 12%    | No           | 2%     | 4%     | Yes          | 0%      | 0%     | Yes          | 0%       | 0%     | Yes          | 2%    | 0%     | No           |
| MTA MNR                    | 12%     | 14%    | Yes          | 16%    | 37%    | Yes          | 13%       | 15%    | Yes          | 4%     | 2%     | No           | 1%      | 0%     | No           | 0%       | 0%     | Yes          | 1%    | 1%     | Yes          |
| MTA LIRR                   | 17%     | 20%    | Yes          | 19%    | 29%    | Yes          | 19%       | 13%    | No           | 2%     | 2%     | Yes          | 0%      | 0%     | Yes          | 0%       | 0%     | Yes          | 2%    | 2%     | Yes          |
| MTA NYCT                   | 19%     | 18%    | No           | 28%    | 57%    | Yes          | 30%       | 20%    | No           | 3%     | 5%     | Yes          | 0%      | 0%     | Yes          | 0%       | 0%     | Yes          | 3%    | 1%     | No           |
| MTA CC                     | 0%      | 0%     | Yes          | 0%     | 0%     | Yes          | 0%        | 0%     | Yes          | 0%     | 0%     | Yes          | 0%      | 0%     | Yes          | 0%       | 0%     | Yes          | 0%    | 0%     | Yes          |
| MTA Bus                    | 10%     | 12%    | Yes          | 26%    | 50%    | Yes          | 26%       | 20%    | No           | 7%     | 5%     | No           | 0%      | 0.0%   | Yes          | 0%       | 0%     | Yes          | 2%    | 3%     | Yes          |

\*Females are also included in the percentage totals for each of the racial/ethnic groups.

\*\*American Indian/Alaskan Native

\*\*\*Native Hawaiian Other Pacific Islander

## MTA Agency Recruitment Initiatives

MTA and its Agencies continue to implement sourcing and recruitment strategies to attract minority and female applicants. This effort includes working jointly with the MTA Recruitment and Sourcing Roundtable ( comprised of recruitment staff from MTA Headquarters and MTA Agencies, who design and promote recruitment strategies) at job/career fairs and in the facilitation of MTA in Your Community – Job Readiness Seminars -- series of interactive job readiness workshops that provide job seekers with requisite tools to stay competitive.

Below are descriptions of Agency efforts undertaken to improve utilization as reported to respective Agency Operating Committees.

### **Metro-North Railroad Recruitment Strategies Plan 2012-2013**

#### **Executive Summary**

Upon completion of Metro-North Railroad's ("MNR") review and revisions to its methodology regarding external labor availability, it has developed an aggressive outreach recruitment strategy as it faces the challenge of addressing underutilization of females and minorities in its workforce. The results of these efforts will ensure MNR achieves and maintains a diverse workforce population. MNR's mission is to identify and recruit the most qualified candidates from a diverse pool of applicants. To accomplish this mission, the Human Resources and Diversity/EEO Departments have partnered to develop strategies to meet MNR's diversity needs.

In order to recruit and hire qualified females and minorities, the recruitment staff will remain committed to the strategies that are outlined in the 2012-2013 Metro-North Railroad Recruitment Action Plan. The objective is to strengthen MNR's extensive contacts in urban and minority communities and engage a more aggressive approach to our recruitment efforts. MNR has reached out to high schools, local colleges, female and minority affiliated organizations and elected officials to assist in its outreach. Enhanced community involvement and cooperation will draw a greater number of individuals to help address MNR's goal of reducing underutilization of females and minorities in its workforce.

The strategies that have proven to be the most effective are those that focus on direct contact with female and minority candidates. The majority of these established contacts are made during recruitment programs at colleges/universities, military bases and community outreach programs. MNR continues to seek those venues which are the most beneficial to our recruitment strategy and recognizes that our success depends upon how we market ourselves.

## 2012-2013 Metro-North Railroad Recruitment Action Plan

The following recruitment strategies will be implemented by Metro-North Railroad to improve female and minority representation in its workforce:

- Educate supervisory and management workforce on the importance of diversity and the difference between numerical representation versus the benefits of a diverse workforce. Include a diversity message on all recruitment postings and materials that says MNR is a great place to work, is an equal opportunity employer, is committed to sustaining a culturally diverse workforce and strongly encourages applications from females and minority candidates.
- Attend regional female and minority job fairs/job conferences to meet and mingle with job seekers, college advisors and other recruiters.
- Contact colleges and universities with large minority enrollments. Visit campuses and culturally diverse organizations such as fraternities, sororities and other gender/minority specific events on campus.
- Advertise internships in craft schools, college student newspapers, minority student organizations and newspapers in minority neighborhoods.
- Continuously follow up with contacts made at job fairs, schools, and minority associations to keep the lines of communication open.
- Track good prospects, so when a position opens, potential candidates are available.
- Maintain a database that houses recruitment based contacts from a variety of sources such as schools/universities, community based organizations, civic groups, etc.
- Work with local community based organizations to identify local talent.
- Continually review MNR's source list of civic groups, churches and fraternal organizations for potential qualified candidates and follow-up with them on a periodic basis to gauge effectiveness of this type of outreach.
- Network with regional offices of minority associations. Attend conventions of minority associations when the events are held. Develop a long-term strategy by visiting middle and high schools to introduce students to Metro-North Railroad and inform them of future career/employment opportunities before they seek college or craft schools.
- Expand upon MNR's successful Internship Program where full-time employment opportunities will exist for its diverse intern pool.
- For senior management positions, tap into professional organizations and local chapters of national groups for highly skilled and talented executives.
- Use job banks sponsored by minority associations, newspaper consortiums and other media such as radio and television.

## MTA LIRR

### **EFFORTS TO IMPROVE THE REPRESENTATION OF UNDERUTILIZED PROTECTED GROUPS**

#### **EEO Program Management and Evaluation**

LIRR Office of Diversity Management is responsible for monitoring the agency's EEO program and progress towards EEO goals. On an annual basis, Diversity Management develops goals for under-represented EEO job groups, based on estimated availability percentages and internal job group populations, and disseminates the information to each department, including Human Resources. On a quarterly basis, Diversity also disseminates Progress towards Goals reports to Human Resources.

Diversity Management reviews all applicant flow reports to ensure that candidate pools are diverse, and concurs with every non-represented new hire and promotion, pursuant to FTA/DOT Circular requirements.

LIRR continues to focus and improve on female and minority under-representation. Between January 1, 2012 and September 30, 2012, there were 231 new hires, of which, 62 (26.8%) were female and 114 (49.4%) were minority. Of the 105 new hires in the Service Maintenance job category, 21.9% were Hispanic.

#### **Upward Mobility Programs and Other Special Initiatives**

The Long Island Rail Road is hiring junior engineers and project management trainees. Through September 30, 2012, the LIRR has hired seven Junior Engineers (3WM, 3BM and 1AM) and three project management trainees (1WM, 1HM, 1HF).

##### *Junior Engineer:*

This position is a Training Program and is an introduction to the Long Island Rail Road and its various operating and supporting departments. Specifically, this program is designed to provide an employee with familiarity of all aspects of railroad operations, from supervision to technical support. The schedule includes a 52-week signal, track or structures training curriculum plus on the job training. The participant will work with a mentor. Upon successful completion of the program, the junior engineers will be placed in an entry-level management position.

##### *Project Management-Trainee:*

The Project Management-Trainee is an entry-level training position, responsible to assist with the coordination and administration of projects in the Department of Project Management. Working with seasoned project managers, the Trainees receive on the job and classroom training to develop project coordination, controls, management, scheduling, and/or estimating skills. The Trainee will learn, in a mentoring environment, to apply his/her knowledge with the specialized requirements of the railroad industry. There will be a series of rotation assignments as part of the development and training period. This will introduce the trainees to the railroad and its various operating and support departments. Training may include, but is not limited to, project coordination, administration, controls, scheduling, and estimating. The position will provide support to the project management teams as required. The program is two years in duration. Upon successful completion of the training program, the Trainees will be appropriately placed into an entry-level project management related position.

## MTA LIRR

### Targeted Recruitment and Outreach Efforts

The Long Island Rail Road has developed a recruitment strategy designed to address the areas of underutilization and under representation of females and minorities in our workforce, and to better reflect the demographics of the markets we serve.

1. The LIRR develops an annual hiring plan in the fourth quarter of the previous year, which lets us know what crafts and other represented positions and how many we will be recruiting for in the upcoming year. This allows us to begin recruitment early. At the end of the recruitment process, we evaluate the diversity of the pool of viable candidates. If the pool is lacking diversity or areas where we are under-represented, we do additional outreach and/or interviews to improve the diversity of the candidate pool.

2. We conduct outreach in terms of job fairs to improve the pool of qualified candidates and educate the public about possible employment opportunities at the LIRR, such as the East Harlem Job Fair (March 15), Hostos Community College Job Fair (March 22), Women For Hire Job Fair (March 28), Charles Rangel Harlem Job Fair (June 14), Harlem Week Economic Development Day (August 9), Harlem Week Job & Career Fair Expo (August 15), and Town of Hempstead Job Fair (September 13). We also plan to attend the Circle of Sisters Expo (October 6) and the Latino Job Fair (October 18).

3. We place advertisements of represented and management positions on targeted websites, such as the National Association of Hispanic Journalists, Society of Women Engineers, the Society of Hispanic

Professional Engineers, the National Society of Black Engineers and the National Association of Women in Construction.

4. We also develop relationships with community-based organizations, such as the Nontraditional Employment of Women, the Council of Urban Professionals and the Chinese-American Planning Council.

The LIRR is also in the process of developing a contact list of community boards in New York City to distribute weekly job postings."

## MTA New York City Transit and MTA Bus Company

### EFFORTS TO IMPROVE THE REPRESENTATION OF UNDERUTILIZED PROTECTED GROUPS

#### Targeted Recruitment and Outreach Efforts

NYCT and MTA Bus Company strategically plan our recruitment and sourcing efforts to ensure that information about employment opportunities and upcoming civil service examinations are broadly advertised throughout the five boroughs of New York City. Our multi-faceted marketing approach includes, but is not limited to, the following:

- Utilizing social media channels such as Facebook, Twitter, etc.;
- Placing advertisement of examinations and employment information in subway cars and on buses;
- Distributing examination schedules via MetroCard sales van;
- Attending job fairs and community outreach events;
- Transmitting email blasts about employment opportunities to veteran organizations, not-for-profit entities, and community-based groups; and
- Provide resume and interview skills workshops to targeted groups, such as returning veterans.

#### Upward Mobility Programs and Special Initiatives

To supplement our recruitment and outreach efforts, we have implemented initiatives designed to promote the professional development of current employees, particularly those considered "underutilized," and to create a pipeline and career track for prospective new hires. Examples of these programs and initiatives include:

- The Division of Materiel's Mentoring Program targets employees who demonstrate strong leadership skills and have a keen desire for career advancement.
- An enhanced interview process in place at NYCT Department of Buses and MTA Bus Company. Bus operations provide all candidates with informal career development plans, regardless of whether they are invited for an interview or ultimately selected for a position.

#### Program Monitoring

The Office of EEO, in partnership with the Division of Human Resources, ensures that utilization targets for women and minorities in particular job categories based on estimated availability and internal workforce numbers are known before vacancies, discretionary hires, and promotions are posted.

The Office of EEO provides utilization targets to departments on a quarterly basis.

As part of the Office of EEO and Division of Human Resources' monitoring of the selection process, we ensure that women and minority group members are included as interviewers.

The Office of EEO must approve all discretionary hires and promotions. For the MTA Bus Company, the MTA Department of Diversity and Civil Rights approves discretionary hires, promotions, and provides utilization targets.

## **MTA Bridges and Tunnels**

### **EFFORTS TO IMPROVE THE REPRESENTATION OF UNDERUTILIZED PROTECTED GROUPS**

#### **EEO Program Management and Evaluation**

As of 9/30/2012, B&T has a total workforce of 1,573 bi-weekly employees, of which 50.67% are minorities and 21.17% are females. There has been a steady minorities retention of 99.8% and females retention of 99.7%. The 21.17% female representation is below 80 percent of Census estimated availability. Hence, B&T is undertaking the aggressive recruitment and outreach efforts described below.

There was underutilization of females and minorities in the following job categories:

Officials and Administrators job category:

25% actual females versus 30% estimated availability.

Administrative Support job category:

58.7% actual females versus 61% estimated availability; 2.7% actual Asians versus 4% estimated availability.

Service Maintenance job category:

1.4% actual females versus 2% estimated availability; actual 12.4% Hispanics versus 18% estimated availability.

### Targeted Recruitment Outreach Methods

The civil service examination for Maintainer (Bridges and Tunnels), the entry-level position in the Service Maintenance job category, was held on October 27, 2012. Vigorous recruitment efforts focused on female and Hispanic advocacy organizations, community organizations, non-profits, schools, veterans' associations and other private and public entities. Those who pass the examination, drug and alcohol testing and other requirements, may be considered for hiring, subject to a one-year probationary period. Five (5) days' classroom and on-the-road training for the required Commercial Driver's License test, to be taken within twelve (12) months from the date of hire, will be provided to those ultimately selected.

We launched a new succession planning/diversity initiative called the Management Associates Program. The hiring of five (5) Associates was undertaken inside headcount with found economies. The extensive recruitment effort centered on colleges and universities with diverse populations as well as female and minority professional organizations. A rigorous selection process culled the best candidates with undergraduate and graduate degrees in Finance, Technology, Engineering, Operations and Human Resources/Organizational Development. The result was a group consisting of one Caucasian male, two Black males, one Black female and one Asian male. They began the first of five 6-month rotations on May 10, 2012. The expectation is that with optimum exposure and formal training, the Associates will become well-rounded managers for our agency or another MTA agency.

## MTA-Wide New Hires

January to September 2012

- ❖ As of September 30, 2012, MTA and its Agencies hired a total of 3,107 employees.
- ❖ 22.6% of the total new hires are females.
- ❖ 71.2% of the total new hires are minorities.
- ❖ Of the 71.2% of minorities\* hired, 40.6% are black and 16.7% are Hispanic.
- ❖ MTA Headquarters hired the highest percentage of females (49.3%).
- ❖ NYC Transit hired the highest percentage of minorities (79.8%).

\*Females are included in each of the minority groups.

# MTA-WIDE NEW HIRES

JANUARY – SEPTEMBER 2012

TOTAL NEW HIRES

AGENCY: MTA-WIDE

| AGENCY   | New Hires | Females* |       | Minorities |       | Non-Minorities |       | Blacks |       | Hispanics |       | Asians |       | AI/ANs |      | NHOPI |      | Other |      |
|----------|-----------|----------|-------|------------|-------|----------------|-------|--------|-------|-----------|-------|--------|-------|--------|------|-------|------|-------|------|
|          |           | #        | %     | #          | %     | #              | %     | #      | %     | #         | %     | #      | %     | #      | %    | #     | %    | #     | %    |
| MTA HQ   | 75        | 37       | 49.3% | 41         | 54.7% | 34             | 45.3% | 23     | 30.7% | 6         | 8.0%  | 10     | 13.3% | 0      | 0.0% | 0     | 0.0% | 2     | 2.7% |
| MTA B&T  | 27        | 9        | 33.3% | 15         | 55.6% | 12             | 44.4% | 7      | 25.9% | 5         | 18.5% | 3      | 11.1% | 0      | 0.0% | 0     | 0.0% | 0     | 0.0% |
| MTA MNR  | 400       | 59       | 14.8% | 143        | 35.8% | 257            | 64.3% | 64     | 16.0% | 50        | 12.5% | 22     | 5.5%  | 2      | 0.5% | 0     | 0.0% | 5     | 1.3% |
| MTA LIRR | 231       | 62       | 26.8% | 114        | 49.4% | 117            | 50.6% | 60     | 26.0% | 35        | 15.2% | 14     | 6.1%  | 1      | 0.4% | 0     | 0.0% | 4     | 1.7% |
| MTA NYCT | 2,025     | 479      | 23.7% | 1,616      | 79.8% | 409            | 20.2% | 950    | 46.9% | 353       | 17.4% | 279    | 13.8% | 1      | 0.0% | 1     | 0.0% | 32    | 1.6% |
| MTA CC   | 10        | 2        | 20.0% | 4          | 40.0% | 6              | 60.0% | 0      | 0.0%  | 1         | 10.0% | 3      | 30.0% | 0      | 0.0% | 0     | 0.0% | 0     | 0.0% |
| MTA BUS  | 339       | 54       | 15.9% | 279        | 82.3% | 60             | 17.7% | 157    | 46.3% | 69        | 20.4% | 37     | 10.9% | 0      | 0.0% | 0     | 0.0% | 16    | 4.7% |
| Total:   | 3107      | 702      | 22.6% | 2212       | 71.2% | 895            | 28.8% | 1261   | 40.6% | 519       | 16.7% | 368    | 11.8% | 4      | 0.1% | 1     | 0.0% | 59    | 1.9% |

\*Females are also included in the percentage totals for each of the racial/ethnic groups.

## EEO/TITLE VI COMPLAINTS

- Between January and September 2012, MTA and its agencies handled a total of 326 EEO complaints, citing 506 separate allegations. \*
- Of the 326 complaints, 177 were filed externally at city, state and federal agencies and 149 were filed internally.
- Of the 177 external complaints, disability (21%), other\*\* types of miscellaneous discrimination (23%), and race/color discrimination (20%) were most frequently cited as the basis for the complaint.
- Of the 149 internal complaints, other\*\* types of miscellaneous discrimination (25%), sexual harassment (23%) and race/color (25%) were most frequently cited as the basis for the complaint.
- Between January and September 2012, MTA and its agencies handled a total of 33 Title VI complaints, citing 39 separate allegations. Of these 33 complaints, race discrimination (64%) was most frequently cited as the basis of the complaint.

\*These complaints include those filed prior to the reporting period, and which remained open.

\*\* "Other" may include, among other things, allegations of retaliation and unlawful discrimination based on military or marital status, sexual orientation, or arrest/conviction record.

# EEO/TITLE VI COMPLAINTS\*

## EEO DISCRIMINATION COMPLAINTS EXTERNAL

| AGENCY       | RACE<br>COLOR | SEXUAL<br>HARASS. | AGE       | GENDER    | RELIGION  | NATIONAL<br>ORIGIN | DISABILITY | OTHER**   | TOTAL<br>ISSUES | TOTAL<br>CASES*** | STATUS          |
|--------------|---------------|-------------------|-----------|-----------|-----------|--------------------|------------|-----------|-----------------|-------------------|-----------------|
|              |               |                   |           |           |           |                    |            |           |                 |                   | OPEN            |
| MTA          | 4             | 0                 | 1         | 4         | 0         | 3                  | 3          | 2         | 17              | 11                | 10 OPEN         |
| B&T          | 3             | 0                 | 1         | 2         | 0         | 0                  | 1          | 0         | 7               | 7                 | 7 OPEN          |
| MNR          | 9             | 2                 | 5         | 4         | 3         | 3                  | 8          | 12        | 46              | 22                | 9 OPEN          |
| LIRR         | 5             | 0                 | 2         | 1         | 2         | 3                  | 5          | 15        | 33              | 23                | 18 OPEN         |
| NYCT         | 38            | 2                 | 18        | 21        | 12        | 16                 | 42         | 41        | 190             | 109               | 92 OPEN         |
| CC           | 0             | 0                 | 0         | 0         | 0         | 0                  | 0          | 0         | 0               | 0                 | NONE            |
| MTA BUS      | 2             | 0                 | 0         | 0         | 0         | 0                  | 3          | 0         | 5               | 5                 | 3 OPEN          |
| <b>TOTAL</b> | <b>61</b>     | <b>4</b>          | <b>27</b> | <b>32</b> | <b>17</b> | <b>25</b>          | <b>62</b>  | <b>70</b> | <b>298</b>      | <b>177</b>        | <b>153 OPEN</b> |
|              | 20%           | 1%                | 9%        | 11%       | 6%        | 8%                 | 31%        | 23%       |                 |                   |                 |

## EEO DISCRIMINATION COMPLAINTS INTERNAL

| AGENCY       | RACE<br>COLOR | SEXUAL<br>HARASS. | AGE       | GENDER    | RELIGION | NATIONAL<br>ORIGIN | DISABILITY | OTHER**   | TOTAL<br>ISSUES | TOTAL<br>CASES*** | STATUS         |
|--------------|---------------|-------------------|-----------|-----------|----------|--------------------|------------|-----------|-----------------|-------------------|----------------|
|              |               |                   |           |           |          |                    |            |           |                 |                   | OPEN           |
| MTA          | 5             | 3                 | 2         | 4         | 0        | 2                  | 0          | 5         | 21              | 12                | 6 OPEN         |
| B&T          | 2             | 0                 | 0         | 0         | 0        | 0                  | 2          | 1         | 5               | 5                 | NONE           |
| MNR          | 8             | 7                 | 2         | 3         | 1        | 0                  | 3          | 7         | 31              | 29                | 5 OPEN         |
| LIRR         | 2             | 2                 | 0         | 0         | 0        | 0                  | 0          | 4         | 8               | 5                 | 1 OPEN         |
| NYCT         | 27            | 33                | 6         | 15        | 5        | 8                  | 3          | 34        | 131             | 86                | 66 OPEN        |
| CC           | 0             | 0                 | 1         | 0         | 0        | 0                  | 0          | 0         | 1               | 1                 | NONE           |
| MTA BUS      | 8             | 2                 | 0         | 0         | 0        | 0                  | 1          | 0         | 11              | 11                | 7 OPEN         |
| <b>TOTAL</b> | <b>52</b>     | <b>47</b>         | <b>11</b> | <b>22</b> | <b>6</b> | <b>10</b>          | <b>9</b>   | <b>51</b> | <b>208</b>      | <b>149</b>        | <b>76 OPEN</b> |
|              | 25%           | 23%               | 5%        | 11%       | 3%       | 5%                 | 4%         | 25%       |                 |                   |                |

## TITLE VI COMPLAINTS

| AGENCY       | RACE      | COLOR    | NATIONAL<br>ORIGIN | INCOME   | TOTAL<br>ISSUES | TOTAL<br>CASES*** | STATUS         |
|--------------|-----------|----------|--------------------|----------|-----------------|-------------------|----------------|
|              |           |          |                    |          |                 |                   | OPEN           |
| MTA          | 0         | 0        | 0                  | 0        | 0               | 0                 | NONE           |
| MTA MNR      | 7         | 0        | 1                  | 0        | 8               | 7                 | 2 OPEN         |
| MTA LIRR     | 3         | 0        | 0                  | 0        | 3               | 3                 | NONE           |
| MTA NYCT     | 9         | 2        | 5                  | 0        | 16              | 16                | 10 OPEN        |
| MTA CC       | 0         | 0        | 0                  | 0        | 0               | 0                 | NONE           |
| MTA BUS      | 6         | 1        | 5                  | 0        | 12              | 7                 | 4 OPEN         |
| <b>TOTAL</b> | <b>25</b> | <b>3</b> | <b>11</b>          | <b>0</b> | <b>39</b>       | <b>33</b>         | <b>13 OPEN</b> |
|              | 64%       | 8%       | 28%                | 0%       |                 |                   |                |

\*These complaints include those files prior to the reporting period, and which remained open.

\*\*\*"Other" may include allegations of unlawful discrimination based on military status, sexual orientation, marital status, arrest/conviction record or retaliation.

\*\*\*In some instances a single complaint involved two or more protected categories.



**Metropolitan Transportation Authority**

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# **MTA SMALL BUSINESS MENTORING PROGRAM UPDATE**

**December 17, 2012**

# **MTA Small Business Mentoring Program Update**

**as of November 30, 2012**

- **A total of 59 contracts have been awarded, totaling \$32.7 million.**
- **Forty-five of these contracts were awarded to 39 New York State certified M/WBE firms,\* totaling over \$23.6 million.**
- **Of these 39 M/WBE firms, 10 are also certified DBEs.**
- **160 firms have been pre-qualified.**
- **33 firms are pending pre-qualification.**

**\*Six firms were awarded two contracts each since the Program began awarding contracts on November 29, 2010.**



**Metropolitan Transportation Authority**

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**M/W/DBE CONTRACT COMPLIANCE  
ALL PROJECTS  
Third Quarter 2012 Update**

**December 17, 2012**

**DBE Participation in Federally Funded Contracts  
Federal Fiscal Year 2012\*  
(October 1, 2011 to September 30, 2012)**

- 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 the previous October through March, and December 1st -- covering the previous April through September. The December report also summarizes data for the entire federal fiscal year ("FFY").
- Reports include data on DBE participation in new awards and payments on completed contracts.
- For FFY 2012, MTA set an overall DBE goal of 17%.
- Over \$478 million was awarded as the federally-funded portion of contracts, with \$63 million (13%) being awarded to certified DBEs.
- Over \$297 million was paid to prime contractors in nine completed contracts. Payments to certified DBEs totaled approximately \$43 million (15%).

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

**FEDERALLY-FUNDED CONTRACTS\***  
**DBE CONTRACT ACTIVITY**  
**FEDERAL FISCAL YEAR 2012 (OCTOBER 2011 - SEPTEMBER 2012)**

**AWARDS**

| CONTRACT AWARDS   | PRIME AWARDS           |                      | DBE PARTICIPATION                |                     |                      | OVERALL<br>FTA<br>GOAL |
|---|------------------------|----------------------|----------------------------------|---------------------|----------------------|------------------------|
|   | Number of<br>Contracts | Award Amount         | Number<br>of<br>DBE<br>Contracts | DBE Award<br>Amount | % To Agency<br>Total |                        |
| <b>1st SEMI-ANNUAL REPORT</b><br><b>October 2011 - March 2012</b> | 25                     | \$307,074,469        | 67                               | \$34,327,000        | 11%                  | 17%                    |
| <b>2nd SEMI-ANNUAL REPORT</b><br><b>April 2012 - Sept 2012</b>    | 40                     | \$171,401,018        | 57                               | \$28,509,753        | 17%                  | 17%                    |
| <b>TOTAL</b>  | <b>65</b>              | <b>\$478,475,487</b> | <b>124</b>                       | <b>\$62,836,753</b> | <b>13%</b>           | <b>17%</b>             |

**PAYMENTS**

| PAYMENTS ON COMPLETED<br>CONTRACTS                                | PAYMENTS TO PRIMES     |                      | DBE PARTICIPATION            |                       |                      | OVERALL<br>FTA<br>GOAL |
|---|------------------------|----------------------|------------------------------|-----------------------|----------------------|------------------------|
|   | Number of<br>Contracts | Payment Amount       | Number<br>of<br>Subcontracts | DBE Payment<br>Amount | % To Agency<br>Total |                        |
| <b>1st SEMI-ANNUAL REPORT</b><br><b>October 2011 - March 2012</b> | 3                      | \$208,775,291        | 15                           | \$33,506,422          | 16%                  | 17%                    |
| <b>2nd SEMI-ANNUAL REPORT</b><br><b>April 2012 - Sept 2012</b>    | 6                      | \$88,589,611         | 22                           | \$10,106,123          | 11%                  | 17%                    |
| <b>TOTAL</b>  | <b>9</b>               | <b>\$297,364,902</b> | <b>37</b>                    | <b>\$43,612,545</b>   | <b>15%</b>           | <b>17%</b>             |

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

**New York State Fiscal Year 2012-2013  
(April 2012 to September 2012)**

- 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<sup>th</sup>, April 15<sup>th</sup>, July 15<sup>th</sup>, and October 15<sup>th</sup>.
- Reports include data on contract awards and number of contracts with goals, and prime contract payments together with MWBE participation.
- MTA set an overall MWBE goal of 20% for state fiscal year 2012-2013, starting on April 1, 2012.
- Approximately \$295 million was awarded in NY state funded contracts, with over \$75 million (26%) awarded to certified MWBEs.
- \$477 million was paid on prime contracts with approximately \$103 million (22%) paid to MWBEs.

**NYS CONTRACTS  
MWBE CONTRACT ACTIVITY  
APRIL 2012 - SEPTEMBER 2012**

**AWARDS**

| CONTRACT AWARDS                            | PRIME AWARDS        |                      | MWBE AWARDS            |                     |            | NYS Goal   |
|--|---------------------|----------------------|------------------------|---------------------|------------|------------|
|  | Number of Contracts | Award Amount         | Number of Subcontracts | MWBE Award Amount*  | MWBE %     |            |
| FIRST QUARTER<br>APRIL 2012-JUNE 2012      | 527                 | \$78,914,250         | 594                    | \$29,045,969        | 37%        | 20%        |
| SECOND QUARTER<br>JULY 2012-SEPTEMBER 2012 | 470                 | \$215,966,065        | 535                    | \$46,701,986        | 22%        | 20%        |
| <b>TOTAL</b>                               | <b>997</b>          | <b>\$294,880,315</b> | <b>1,129</b>           | <b>\$75,747,955</b> | <b>26%</b> | <b>20%</b> |

**PAYMENTS**

| CONTRACT PAYMENTS                          | PAYMENTS TO PRIMES  |                      | MWBE PARTICIPATION    |                      |            | NYS Goal   |
|--|---------------------|----------------------|-----------------------|----------------------|------------|------------|
|  | Number of Contracts | Payment Amount       | Number MWBE Contracts | MWBE Payment Amount* | MWBE %     |            |
| FIRST QUARTER<br>APRIL 2012-JUNE 2012      | 573                 | \$197,048,846        | 892                   | \$36,958,019         | 19%        | 20%        |
| SECOND QUARTER<br>JULY 2012-SEPTEMBER 2012 | 766                 | \$279,965,925        | 1,094                 | \$65,991,146         | 24%        | 20%        |
| <b>TOTAL</b>                               | <b>1,339</b>        | <b>\$477,014,771</b> | <b>1,986</b>          | <b>\$102,949,165</b> | <b>22%</b> | <b>20%</b> |

\*This amount includes payments made to MWBE prime and subcontractors.

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

April 2012 -September 2012

| Agency       | Total Award Amount** | Total MWBE Award Amount | % of Total Award | MWBE Discretionary Award Amount | % of Toatal Award |
|--------------|----------------------|-------------------------|------------------|---------------------------------|-------------------|
| MTA NYCTA    | \$82,325,449         | \$7,885,194             | 9.58%            | \$5,525,015                     | 6.71%             |
| MTA MNR      | \$21,755,483         | \$1,711,991             | 7.87%            | \$181,618                       | 0.83%             |
| MTA B&T      | \$3,179,235          | \$460,266               | 14.48%           | \$117,155                       | 3.69%             |
| MTA LIRR     | \$19,846,709         | \$1,437,714             | 7.24%            | \$385,388                       | 1.94%             |
| MTA HQ       | \$3,473,460          | \$242,141               | 6.97%            | \$89,547                        | 2.58%             |
| MTA CC       | \$187,944            | \$16,794                | 8.94%            | \$0                             | 0.00%             |
| MTA BUS      | \$11,935,517         | \$256,503               | 2.15%            | \$0                             | 0.00%             |
|              |                      |                         |                  |                                 |                   |
| <b>Total</b> | <b>\$142,703,799</b> | <b>\$12,010,601</b>     | <b>8.42%</b>     | <b>\$6,298,723</b>              | <b>4.41%</b>      |

\* Discretionary procurements include purchases for goods, miscellaneous procurements, personal or miscellaneous services that do not exceed \$200,000, which are not federally funded and may be awarded under the New York State Public Authorities Law, to qualified small business concerns or NYS certified Minority and Woman-owned Business Enterprises.

\*\* This amount includes all purchases, regardless of amount, including those exceeding \$200,000.



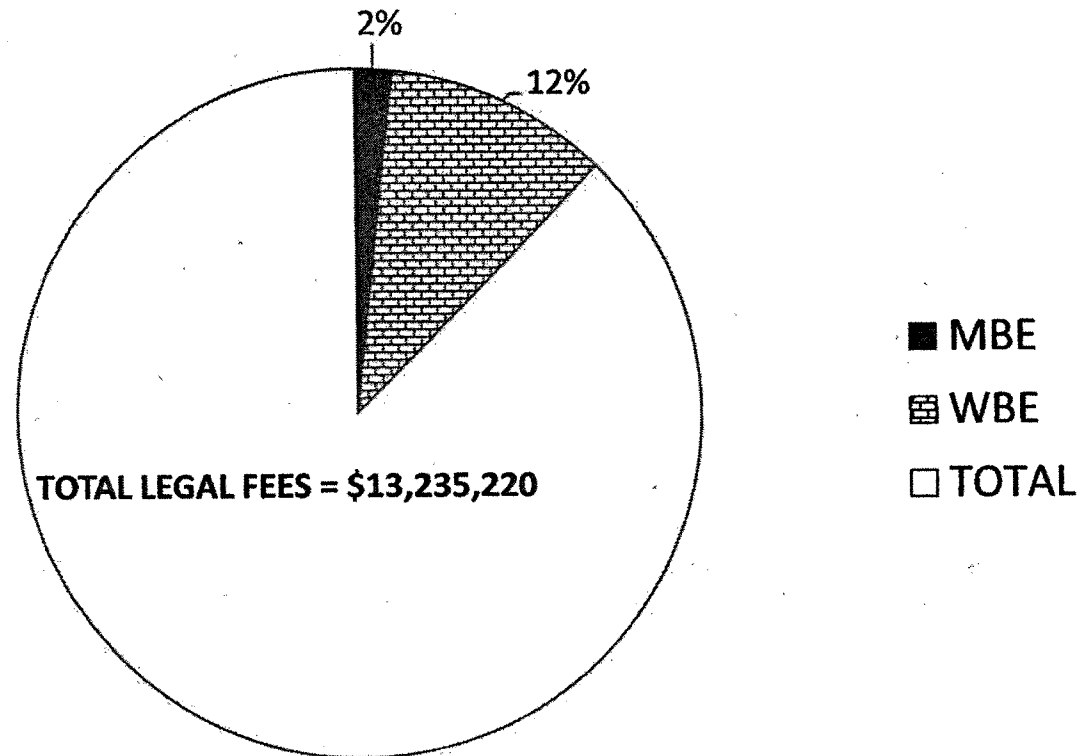
**Metropolitan Transportation Authority**

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# **FINANCIAL AND LEGAL SERVICES**

**December 17, 2012**

# MTA ALL AGENCY LEGAL FEES April 2012-September 2012



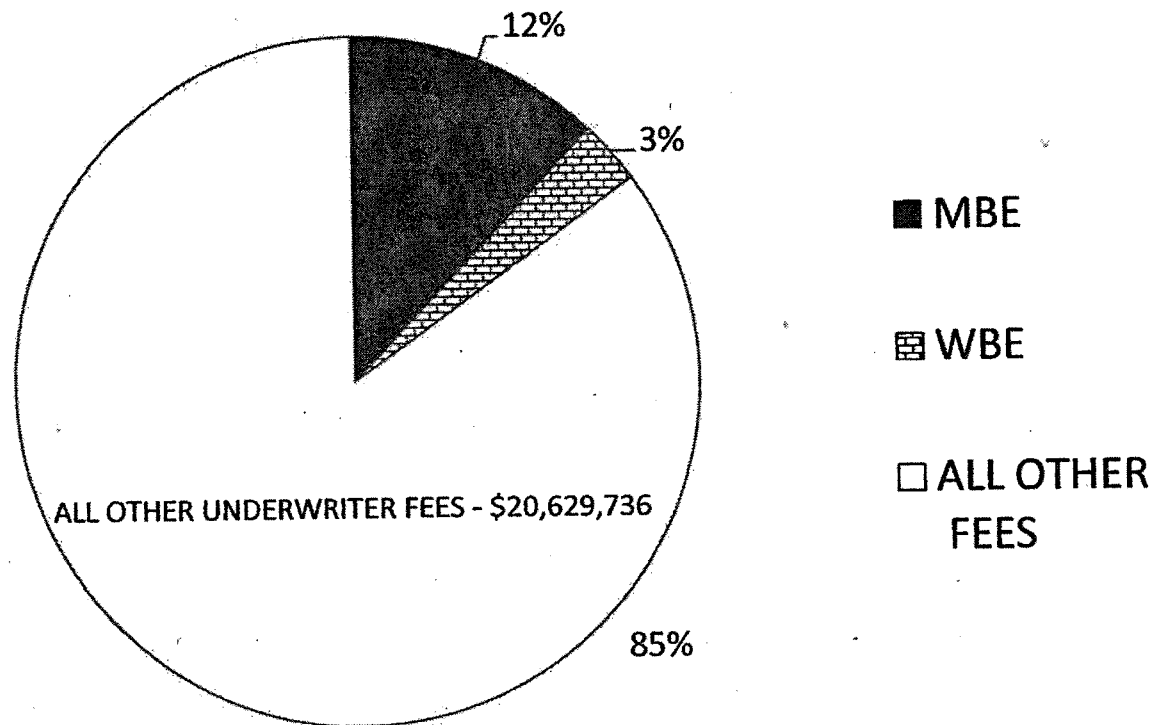
10% MBE GOAL  
10% WBE GOAL

Actual MBE Participation = \$229,467 or 2%  
Actual WBE Participation = \$1,621,667 or 12%

MTA ALL AGENCY LEGAL FEES PAID  
APRIL THROUGH SEPTEMBER 2012

| <u>TOTAL FEES PAID BY AGENCY</u> | <u>ALL FEES</u> | <u>MBE</u>       | <u>AGENCY MBE</u>    | <u>WBE</u>       | <u>AGENCY WBE</u>    |
|----------------------------------|-----------------|------------------|----------------------|------------------|----------------------|
|                                  | <u>PAID</u>     | <u>FEES PAID</u> | <u>PARTICIPATION</u> | <u>FEES PAID</u> | <u>PARTICIPATION</u> |
| B&T                              | \$504,879       | \$0              | 0%                   | \$24,130         | 5%                   |
| LIRR                             | \$587,102       | \$4,331          | 1%                   | \$0.00           | 0%                   |
| MTA BUS                          | 2,446,997       | \$0              | 0%                   | \$342,381        | 14%                  |
| MTACC                            | \$861,856       | \$0              | 0%                   | \$768,262        | 89%                  |
| MTAHQ                            | \$2,917,955     | \$0              | 0%                   | \$80,743         | 3%                   |
| MNR                              | \$563,271       | \$1,171          | 0.2%                 | \$12,353         | 2%                   |
| NYCTA                            | \$5,353,161     | \$223,965        | 4%                   | \$393,799        | 7%                   |

# MTA ALL AGENCIES UNDERWRITER FEES April 2012-September 2012



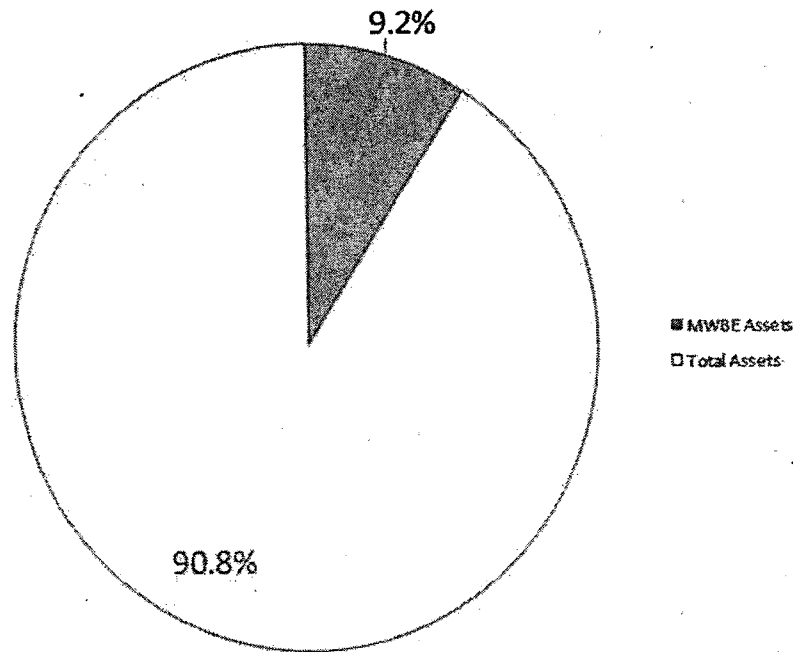
**10% MBE GOAL**  
**10% WBE GOAL**

**Total Underwriter Fees = \$24,204,256 or 100%**  
**Actual MBE Participation = 2,858,154 or 12%**  
**Actual WBE Participation = \$716,366 or 3%**

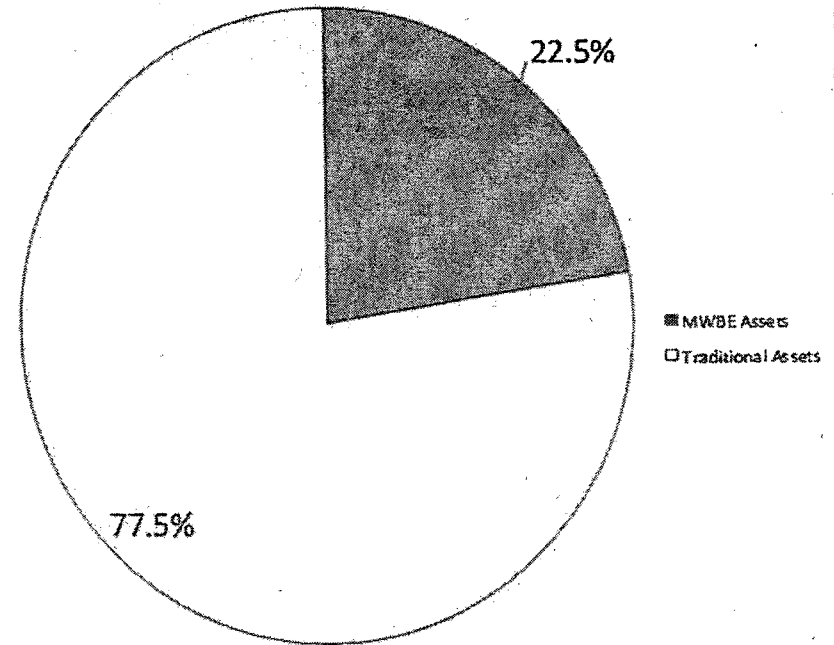
# **MTA ASSET FUND MANAGERS**

**December 17, 2012**

Asset Fund Managers  
MTA MaBSTOA Pension Plan  
As of 09/30/12



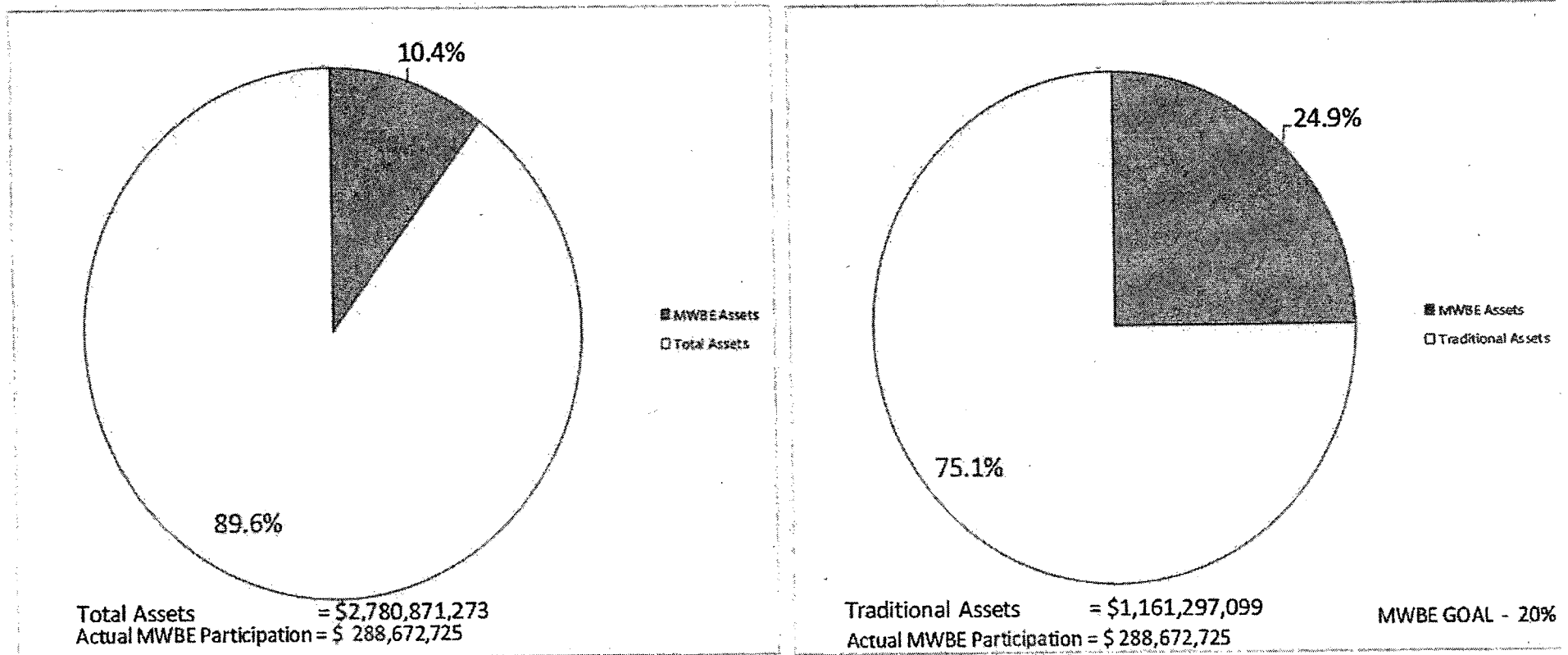
Total Assets = \$1,754,669,022  
Actual MWBE Participation = \$162,158,117



Traditional Assets = \$722,115,877  
Actual MWBE Participation = \$162,158,117

MWBE GOAL - 20%

Asset Fund Managers  
MTA Defined Benefit Pension Plan  
Including LIRR Additional Plan  
As of 09/30/12



\* Traditional assets include domestic equities, international equities, emerging market equities as well as fixed income. In previous presentations, international equities and emerging market equities were excluded from the group of traditional assets.



**Metropolitan Transportation Authority**

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**MTA CAPITAL PROJECTS  
M/W/DBE AWARDS  
JANUARY- SEPTEMBER 2012**

# MWDBE AWARDS ON MTA CAPITAL PROJECTS with GOALS

## January - September 2012

### ALL PROJECTS

| FEDERALLY FUNDED               | FIRST QUARTER (JANUARY-MARCH)<br>(in millions) |                   |                       | SECOND QUARTER (APRIL-JUNE)<br>(in millions) |                   |                       | THIRD QUARTER (JULY-SEPTEMBER)<br>(in millions) |                   |                       | 2012 TOTALS (JANUARY-SEPTEMBER 2012)<br>(in millions) |                   |                       |
|--------------------------------|--|-------------------|-----------------------|--|-------------------|-----------------------|---|-------------------|-----------------------|---|-------------------|-----------------------|
| DBE Participation Goal: 17%    | Total Awards                                   | Total DBE Awards  | DBE Participation (%) | Total Awards                                 | Total DBE Awards  | DBE Participation (%) | Total Awards                                    | Total DBE Awards  | DBE Participation (%) | Total Awards  | Total DBE Awards  | DBE Participation (%) |
| Construction                   | \$ 312.2                                       | \$ 31.1           | 10.1%                 | \$ 337.9                                     | \$ 67.3           | 19.9%                 | \$ 94.2   | \$ 12.1           | 12.8%                 | \$ 744.3  | \$ 110.5          | 14.9%                 |
| Professional Services          |  |                   |                       | \$ 15.0                                      | \$ 2.6            | 17.0%                 | \$ 13.1   | \$ 3.0            | 0.0%                  | \$ 28.1   | \$ 5.6            | 20%                   |
| Other                          |  |                   |                       | \$ 1.6                                       | \$ 0.3            | 20.1%                 |   |                   |                       | \$ 1.6  | \$ 0.3            | 20%                   |
| <b>TOTAL</b>                   | <b>\$ 312.2</b>                                | <b>\$ 31.4</b>    | <b>10.1%</b>          | <b>\$ 354.5</b>                              | <b>\$ 70.1</b>    | <b>19.8%</b>          | <b>\$ 107.3</b>                                 | <b>\$ 15.1</b>    | <b>14.1%</b>          | <b>\$ 774.0</b>                                       | <b>\$ 116.6</b>   | <b>15.1%</b>          |
| Additional MWBE Participation: | Total Awards                                   | Total MWBE Awards |                       | Total Awards                                 | Total MWBE Awards |                       | Total Awards                                    | Total MWBE Awards |                       | Total Awards  | Total MWBE Awards |                       |
| Construction                   | \$ 312.2                                       | \$ 19.0           |                       | \$ 337.9                                     | \$ 29.2           |                       | \$ 94.2   | \$ 2.3            |                       | \$ 650.1  | \$ 48.2           |                       |
| Professional Services          | \$ -   | \$ -              |                       | \$ -   | \$ -              |                       | \$ 13.1   | \$ 1.8            |                       | \$ 13.1   | \$ 1.8            |                       |
| Other                          | \$ -   | \$ -              |                       | \$ 1.6                                       | \$ 0.3            |                       | \$ -  | \$ -              |                       | \$ 1.6  | \$ 0.3            |                       |
| <b>TOTAL</b>                   | <b>\$ 312.2</b>                                | <b>\$ 19.0</b>    |                       | <b>\$ 339.5</b>                              | <b>\$ 29.5</b>    |                       | <b>\$ 107.3</b>                                 | <b>\$ 4.1</b>     |                       | <b>\$ 664.8</b>                                       | <b>\$ 50.3</b>    |                       |

| STATE FUNDED                              | FIRST QUARTER (JANUARY-MARCH)<br>(in millions) |                  |                       | SECOND QUARTER (APRIL-JUNE)<br>(in millions) |                  |                       | THIRD QUARTER (JULY-SEPTEMBER)<br>(in millions) |                  |                       | 2012 TOTALS (JANUARY-SEPTEMBER 2012)<br>(in millions) |                  |                       |
|---|--|------------------|-----------------------|--|------------------|-----------------------|---|------------------|-----------------------|---|------------------|-----------------------|
| MBE Participation Goal: 10%               | Total Awards                                   | Total MBE Awards | MBE Participation (%) | Total Awards                                 | Total MBE Awards | MBE Participation (%) | Total Awards                                    | Total MBE Awards | MBE Participation (%) | Total Awards  | Total MBE Awards | MBE Participation (%) |
| Construction                              | \$ 146.1                                       | \$ 11.0          | 7.5%                  | \$ 46.5                                      | \$ 4.6           | 9.9%                  | \$ 143.3  | \$ 14.0          | 9.8%                  | \$ 335.9  | \$ 29.6          | 8.8%                  |
| Professional Services                     | \$ 5.7   | \$ 0.6           | 10.5%                 | \$ 25.6                                      | \$ 2.6           | 10.2%                 | \$ 12.9   | \$ 1.3           | 21.9%                 | \$ 44.2   | \$ 4.5           | 10.2%                 |
| Other                                     |  |                  | 0.0%                  |  |                  |                       | \$ 43.8   | \$ 1.9           | 10.4%                 | \$ 43.8   | \$ 1.90          |                       |
| MBE Participation on FTA-funded projects  |  | \$ 7.7           |                       |  | \$ 4.0           |                       |   | \$ 2.5           |                       | \$ -  | \$ 11.7          |                       |
| <b>TOTAL</b>                              | <b>\$ 151.8</b>                                | <b>\$ 19.3</b>   | <b>12.7%</b>          | <b>\$ 72.1</b>                               | <b>\$ 11.1</b>   | <b>15.4%</b>          | <b>\$ 200.0</b>                                 | <b>\$ 19.7</b>   | <b>10.0%</b>          | <b>\$ 424</b>   | <b>\$ 47.7</b>   | <b>11.3%</b>          |
| WBE Participation Goal: 10%               | Total Awards                                   | Total WBE Awards | WBE Participation (%) | Total Awards                                 | Total WBE Awards | WBE Participation (%) | Total Awards                                    | Total WBE Awards | WBE Participation (%) | Total Awards  | Total WBE Awards | WBE Participation (%) |
| Construction                              | \$ 146.1                                       | \$ 9.2           | 6.3%                  | \$ 46.5                                      | \$ 5.6           | 12.1%                 | \$ 143.3  | \$ 11.0          | 7.7%                  | \$ 335.9  | \$ 25.9          | 7.7%                  |
| Professional Services                     | \$ 5.7   | \$ 0.6           | 10.5%                 | \$ 25.7                                      | \$ 2.7           | 10.4%                 | \$ 12.9   | \$ 1.4           | 10.9%                 | \$ 44.3   | \$ 4.6           | 10.4%                 |
| Other                                     | \$ -   | \$ -             | 0.0%                  | \$ -   | \$ -             | 0.0%                  | \$ 43.8   | \$ 0.9           | 2.2%                  | \$ 43.8   | \$ 0.94          |                       |
| WBE Participation on FTA-funded projects  | \$ -   | \$ 11.3          |                       | \$ -   | \$ 25.6          |                       | \$ -  | \$ 1.5           |                       | \$ -  | \$ 36.9          |                       |
| <b>TOTAL</b>                              | <b>\$ 151.8</b>                                | <b>\$ 21.1</b>   | <b>13.9%</b>          | <b>\$ 72.1</b>                               | <b>\$ 33.8</b>   | <b>46.9%</b>          | <b>\$ 200.0</b>                                 | <b>\$ 14.8</b>   | <b>7.4%</b>           | <b>\$ 424</b>   | <b>\$ 68.3</b>   | <b>16.1%</b>          |
| Additional DBE Participation:             | Total Awards                                   | Total DBE Awards |                       | Total Awards                                 | Total DBE Awards |                       | Total Awards                                    | Total DBE Awards |                       | Total Awards  | Total DBE Awards |                       |
| Construction                              | \$ 146.1                                       | \$ 6.2           |                       | \$ 46.5                                      | \$ 1.5           |                       | \$ 143.3  | \$ 18.3          |                       | \$ 335.9  | \$ 7.7           |                       |
| Professional Services                     | \$ -   | \$ -             |                       | \$ 25.7                                      | \$ 5.0           |                       | \$ 12.9   | \$ 2.1           |                       | \$ 44.3   | \$ 2.1           |                       |
| Other                                     | \$ -   | \$ -             |                       | \$ -   | \$ -             |                       | \$ -  | \$ -             |                       | \$ -  | \$ -             |                       |
| <b>Additional DBE Participation Total</b> | <b>\$ 146.1</b>                                | <b>\$ 6.2</b>    |                       | <b>\$ 72.2</b>                               | <b>\$ 6.5</b>    |                       | <b>\$ 156.2</b>                                 | <b>\$ 17.4</b>   |                       | <b>\$ 380.2</b>                                       | <b>\$ 9.8</b>    |                       |

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

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

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



**Metropolitan Transportation Authority**

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**MTA Department of Diversity/Civil Rights  
MTA Inter-Agency M/W/DBE Task Force**

**December 17, 2012**

# MTA Inter-Agency MWDBE Task Force Update

## Activities as of November 30, 2012

- Continued to work with MTA Agency Procurement Directors to improve MWDBE participation.
- Coordinated participation by MTA Department of Diversity and Civil Rights and Agency Procurement staffs at October 2012 New York State MWBE Forum in Albany, New York—largest statewide business opportunity event for small businesses, including MWBEs and DBEs. Participants learned about new projects, met with private and public sector decision makers and had an opportunity to network.
- Continued to work with MTA Agencies to implement MTA Small Business Federal Program. Thirty applications have been received to date. Two firms have been prequalified; six are being considered due to prequalification issues. MTA Agencies have submitted eight projects totaling \$13 million for the first year of the Program ending in July 2013. Goal is to award \$20 million in public works projects during the first year.

# **The Metropolitan Transportation Authority**

## **DIVERSITY COMMITTEE**

This Diversity Committee Charter was adopted by the Board Chair and a majority of the members of Board of the Metropolitan Transportation Authority, a public benefit corporation established under the laws of the State of New York (together with any other entity or corporation for which the members of the Metropolitan Transportation Authority serve as a board of directors, the "MTA"), on the 17th day of December, 2008. This charter was amended on December 16, 2009 and further amended on November 16, 2011.

### **I. PURPOSE**

The Diversity Committee (the "Committee") shall assist the Board Chair and the Board by reviewing, providing guidance, and making recommendations with respect to the diversity programs and initiatives undertaken by MTA and its subsidiary and affiliate agencies.

### **II. COMMITTEE AUTHORITY**

In discharging its role, the Committee is empowered to investigate any matter brought to its attention. To facilitate any such investigation, the chairperson of the Committee shall have access to all books, records, facilities and staff of the MTA (including any of its subsidiary corporations or affiliates). The foregoing is not intended to alter or curtail existing rights of individual Board members to access books, records or staff in connection with the performance of their fiduciary duties as Board members.

### **III. COMMITTEE MEMBERSHIP**

The Committee shall consist of 3 or more members of the Board, appointed by the Board Chair. If not otherwise a member of the Committee, each Vice-Chair of the Board shall be an *ex officio* member of the Committee. The Board Chair shall appoint the chairperson of the Committee. In the absence of the chairperson at a meeting of the Committee, the Board Chair shall appoint a temporary chairperson to chair such meeting. A member of the Committee may be removed, for cause or without cause, by the Board Chair.

### **IV. COMMITTEE MEETINGS**

The Committee shall meet on a regularly-scheduled basis at least four (4) times per year, and more frequently as circumstances dictate. The Committee shall cause to be kept adequate minutes of all its proceedings and records of any action taken. Committee members will be furnished with copies of the minutes of each meeting. Meetings of the Committee shall be open to the public, and the Committee shall be governed by the rules regarding public meetings set forth in the applicable provisions of the Public Authorities Law and Article 7 of the Public Officers Law that relate to public notice, public speaking and the conduct of executive session. The Committee may form and assign responsibilities to subcommittees when appropriate.

The Committee may request that any member of the Board, the Auditor General, any officer or staff of the MTA, or any other person whose advice and counsel are sought by the Committee, attend any meeting of the Committee to provide such pertinent information as the Committee requests. The Chief Diversity Officer shall (1) furnish the Committee with all material information pertinent to matters appearing on the Committee agenda, (2) provide the chairperson of the Committee with all information that is material to the Committee's monitoring and oversight of diversity programs and initiatives undertaken by MTA and its subsidiary and affiliate agencies, and (3) inform the chairperson of the Committee of any matters not already on the Committee agenda that should be added to the agenda in order for the Committee to be adequately monitoring and overseeing diversity programs and initiatives undertaken by MTA and its subsidiary and affiliate agencies

## **V. COMMITTEE REPORTS.**

The chairperson of the Committee shall report on the Committee's proceedings, and any recommendations made.

## **VI. KEY RESPONSIBILITIES**

The following responsibilities are set forth as a guide with the understanding that the Committee may diverge as appropriate given the circumstances. The Committee is authorized to carry out these and such other responsibilities assigned by the Board Chair or the Board, from time to time, and take any actions reasonably related to the mandate of this Charter.

To fulfill its purpose, the Committee shall:

1. Consult with the MTA Department of Diversity/Civil Rights and diversity representatives from the MTA's affiliate and subsidiary agencies with respect to the setting of priorities for the MTA's diversity and outreach agenda;
2. Receive regular reports from the MTA Department of Diversity/Civil Rights and diversity representatives from the MTA's affiliate and subsidiary agencies regarding upcoming diversity and outreach events;
3. Receive regular reports from the MTA Department of Diversity/Civil Rights regarding the certification of disadvantaged, minority- and women-owned businesses and the setting of goals for disadvantaged, minority- and women-owned business participation on agency contracts;
4. Receive regular reports from the MTA Department of Diversity/Civil Rights and from staff of MTA affiliate and subsidiary agencies regarding the status of Equal Employment Opportunity ("EEO") programs, including, as applicable, EEO investigations, EEO compliance and reporting, and Title VI program compliance and reporting;

5. Receive regular reports from MTA Department of Diversity/Civil Rights regarding contractor compliance with goals for such participation and, if applicable, action plans to achieve compliance;
6. Set the annual agenda for the Committee;
7. Review and assess the adequacy of this Charter annually;
8. Conduct an annual self-evaluation of the performance of the Committee, including its effectiveness and compliance with this Charter; and
9. Report regularly to the Board Chair and Board on Committee findings and recommendations and any other matters the Committee deems appropriate or that the Board Chair or the Board requests, and maintain minutes or other records of Committee meetings and activities.