



**Metropolitan Transportation Authority**

# **Diversity Committee Meeting**

## **September 2013**

---

### **Committee Members**

F. Ferrer, Chairman

S. Metzger

J. Banks III

R. Bickford

D. Paterson

J. Molloy



## MEETING AGENDA

### MTA DIVERSITY COMMITTEE

September 16, 2013 – 2:45 p.m.

347 Madison Avenue  
Fifth Floor Board Room  
New York, NY

---

#### AGENDA ITEMS

#### Page

PUBLIC COMMENTS PERIOD	
1. APPROVAL OF MINUTES – JUNE 3, 2013	1
2. 2013 DIVERSITY COMMITTEE WORK PLAN	9
3. OUTREACH EVENTS/DIVERSITY PROGRAMS	14
4. CERTIFICATION ACTIVITY REPORT	17
5. EEO AND TITLE VI UPDATE	20
6. SECOND QUARTER 2013 EEO ACTIVITIES	23
7. SMALL BUSINESS MENTORING PROGRAM UPDATE	35
8. SMALL BUSINESS FEDERAL PROGRAM UPDATE	37
9. M/W/DBE CONTRACT COMPLIANCE 2013 FIRST QUARTER REPORT	39
10. FINANCIAL AND LEGAL SERVICES	49
11. ASSET FUND MANAGERS	53
12. M/W/DBE CAPITAL PROJECTS 2013 REPORT	56

## **MTA DIVERSITY COMMITTEE**

### **Meeting Minutes**

347 Madison Avenue, Fifth Floor Board Room

New York, NY 10017

Monday, June 3, 2013

2:45 p.m.

The following Committee members were present:

Hon. Fernando Ferrer, Chairman

Hon. Susan G. Metzger

Hon. Robert C. Bickford

The following Committee members were absent:

Hon. David Paterson

Hon. John Banks III

The following were also present:

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

Naeem Din, Deputy Director, DDCR

Gwen Harleston, Deputy Director, Minority Women-owned and Disadvantaged Business Enterprise ("MWDBE") Contract Compliance, DDCR

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

Shawn Moore, Assistant Director, Equal Employment Opportunity ("EEO") and Title VI Compliance, DDCR

Carolyn Greene, Assistant Director, Certification, DDCR

George Cleary, Deputy Director, Small Business Mentoring Program, DDCR

Nadir Jones, Manager, Small Business Mentoring Program, DDCR

Joel Andrews, Chief Officer, Office of EEO, MTA New York City ("NYC") Transit

Vernessa Moses, Assistant Chief Officer, Office of EEO, NYC Transit

Dawn Pinnock, Vice President, Human Resources, NYC Transit

Patrick Smith, Senior Director, Civil Services Administration, Human Resources, NYC Transit

Anthony Cramer, Director, Data Analysis, Operations Planning, NYC Transit

John Cucarese, Manager, Service Data Analysis, Operations Planning, NYC Transit

Michael Fyffe, Director, Diversity Management, MTA Long Island Rail Road ("LIRR")

Michael Chirillo, Vice President, Labor Relations, LIRR

Kathy Meilick, Assistant Director, Human Resources Planning, LIRR

Donna Betty, Senior Manager, Capital Program Development, LIRR

MTA Diversity Committee Meeting Minutes, Monday, June 3, 2013

Raymond Burney, Senior Vice President, MTA Metro-North Railroad ("MNR")  
Robert Rodriguez, Director, Office of Diversity and Equal Opportunity, MNR  
Roberto Aguirre, Sr., Assistant Director, Office of Diversity and Equal Opportunity, MNR  
Maryann Gormley-O'Connor, Assistant Director, Office of Diversity and Equal Opportunity, MNR  
Donna Evans, Chief of Staff, MNR  
Gregory Bradley, Vice President, Human Resources, MNR  
Adrienne Cortez, Director, Human Resources, MNR  
Ouida Gaillard, Director, Talent Acquisition, Human Resources, MNR  
Delana Glenn, Director, Operations Planning and Analysis, MNR  
James McCormick, Deputy Director, Operations Planning, MNR  
Anthony Gardner, Deputy Director, Operations Procurement, Procurement and Material Management, MNR  
Deborah Buckley, Assistant Director, Procurement Policy, Procurement and Material Management, MNR  
David Cannon, Director, Procurement and Risk Management, MTA Capital Construction ("CC")

### **1. Public Speakers:**

There were three public speakers who made the following comments:

- **Ken Bharatlall, President, The Urban Group:**  
The Urban Group is the recipient of the first contract awarded under MTA's Small Business Federal Program ("SBFP"), totaling \$1.8 million. Mr. Bharatlall thanked the Diversity Committee for granting his firm the opportunity to bid on MTA's East Side Access Project. Participation in MTA's SBFP will enable his firm to bid on larger construction projects in the future. He hopes that the SBFP will continue to assist small businesses in the construction industry.
- **Edward Campanella-Rodriguez, President, MBI Group:**  
The MBI Group is the recipient of a MTA contract which is currently pending approval. Mr. Campanella-Rodriguez stated that his firm has been working with public agencies for about five years and has recently been awarded a \$1.5 million project with Medgar Evers College. The MBI Group is projected to do business in the amount of approximately \$100 million in 2013. Mr. Campanella-Rodriguez thanked Mr. Garner for assisting his firm in acquiring surety bonding. He also thanked Chairman Ferrer and the Committee for their support. He looks forward to doing business with the MTA. He further expressed his firm's willingness to mentor other small businesses.
- **Juan ("Joe") Corchado, CEO, JFD Sales:**  
JFD Sales is a recent recipient of an office furniture installation contract with the MTA, totaling approximately \$400,000. Mr. Corchado thanked Chairman Ferrer and Mr. Garner for their support. He said his company has experienced substantial growth in recent years. With the help of the

Diversity Committee, by doing business with the MTA, Mr. Corchado expects his company to experience further growth.

## **2. Minutes**

Upon a motion duly made and seconded, the committee unanimously approved the minutes of the meeting held on March 13, 2013.

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

### **2013 Diversity Committee Work Plan**

Chairman Ferrer asked if there were any changes to the work plan. Mr. Din responded that there were no changes.

### **Outreach Events/Diversity Programs**

Ms. Chape reported on outreach initiatives for the second quarter of 2013. Each month during the quarter, DDCR held a DBE Certification Session. In April, DDCR also held an orientation session for newly certified MWDBEs. DDCR also participated in the Long Island City Economic Development Conference, the New York New Jersey ("NYNJ") Minority Supplier Development Council, Inc. Annual Meeting, and partnered with LIRR for a MWDBE outreach event held at Suffolk County Community College.

In May 2013, in collaboration with Carver Federal Savings Bank, DDCR hosted a Small Business Mentoring Program Orientation Session at Sylvia's Also in Harlem. Over 100 firms attended this event. DDCR also participated in the 4<sup>th</sup> Annual MTA MWDBE Conference, held in collaboration with McGraw Hill. Hon. William Thompson, who currently serves as Chairman of the Governor's New York State MWBE Task Force, was the keynote speaker. Then MTA Interim Executive Director, and current MTA Chairman and CEO, Thomas Prendergast also addressed the conference. MTA's Chief Operating Officer, Nuria Fernandez, and MTA Board Member Robert Bickford also attended this event. There were approximately 250 attendees, who received information about upcoming contracting opportunities with the MTA and its operating agencies. The attendees also had an opportunity to network with MTA procurement staff and large contractors. MTA agency representatives briefed attendees on their rebuilding projects after Hurricane Sandy.

In addition, in May, DDCR attended the 7<sup>th</sup> Annual Citywide Procurement Fair and the 5<sup>th</sup> Annual MWDBE Contractors Networking Conference, and DDCR held a MTA Small Business Federal Program orientation session.

In June 2013, DDCR will attend the Asian Women in Business Procurement Opportunities Conference, the NYNJ Minority Supplier Development Council, Inc. Business Expo as well as the La Guardia Community College Procurement Expo. DDCR will also conduct a New Firm Orientation Session in June.

Ms. Moore reported on MTA Agency-Wide Diversity Programs. In April 2013, MNR and LIRR celebrated Women's History Month and MTA HQ celebrated Jewish American Heritage Month.

In May 2013, MTA HQ and MNRR celebrated Asian-Pacific American Heritage Month. MNR also recognized Armed Forces Day in May.

In June 2013, MNR will celebrate Lesbian, Gay, Bisexual and Transgender Pride Month and B & T will celebrate National Asian-Pacific American Heritage Month. Both MTA HQ and MNR will celebrate Caribbean American Heritage Month during separate events. National Caribbean American Heritage Month will also be celebrated across the MTA agencies in June.

### **Certification Activity Report**

Ms. Greene reported on certification activity from January through March 2013. A total of 31 new applications were received during the first quarter of 2013. Ms. Greene also provided a comparison of the number of applications received during the first quarter between 2010 and 2013, showing an increase in the number of certification applications. Ms. Greene noted that the increase in the number of applications is due to the potential work on the Tappan Zee Bridge and other projects. From January through March 2013, 18 firms were processed: 12 firms were certified; none were denied certification; four applications were returned; none were determined ineligible; and two firms withdrew their applications. Ms. Greene also provided a comparison of certification applications processed during the first quarter from 2010 through 2013, noting that the same number of firms were processed during the first quarter of 2012 and 2011, although with a reduced staff in 2012. Ms. Greene added that as of June 2013 her unit is fully staffed and the number of firms processed is increasing.

Ms. Metzger inquired whether DDCR has learned from certified firms that they have obtained work with other agencies. Ms. Greene stated that she has not received such feedback; however, out of the 230 DBE firms certified between 2010 and 2013, 21 received 40 federally funded prime or subcontracts with MTA and its agencies. Approximately \$25 million in federally funded prime or subcontracts was awarded to these firms. There were also 14 certified DBE firms with dual M/WBE certification. These firms received 41 prime or subcontracts, totaling approximately \$24 million.

Ms. Metzger said the number of contract awards represents tremendous progress in this area. She congratulated DDCR on this achievement. Mr. Garner added that the success of the certification program is measured by the number of contracts actually awarded to the certified firms.

### **EEO Activity Report**

Ms. Moore provided an update on activities during the first quarter 2013. MTA and its Agencies determine underutilization of minorities and women in their respective workforces 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 March 31, 2013, women, Hispanics and employees classified as "others" were underrepresented in some of the job categories. A majority of the underrepresentation occurred in the administrative support, skilled craft and service maintenance job categories.

Ms. Moore reported that as of March 31, 2013, MTA and its agencies hired a total of 1,228 employees, of which 21% are women and 71% are minorities. Of the total minorities hired, 44% are African American

and 19% are Hispanic. MTA HQ hired the highest percentage of women (55%), while MTA Bus hired the highest percentage of minorities (93%).

NYC Transit, MNR and LIRR reported on the hiring process for the conductor's position at their respective agencies. Mr. Garner stated that NYC Transit has made tremendous progress with regard to hiring conductors. Ms. Pinnock said that conductor at NYC Transit is a Civil Service position and applicants have to pass a Civil Service examination before they can be hired from a list. So far NYC Transit has hired 61 conductors in this year. Of this group, 33% are women and over 90% are minorities. Ms. Pinnock said that Mr. Smith is responsible for hiring for Civil Service positions; he also heads NYC Transit's recruitment group. NYC Transit conducts an extensive recruitment effort with regard to the conductor job. Notices for the position of conductor are posted on all of NYC Transit's social media channels. NYCT also engages in targeted outreach events and job fairs with the goal of expanding its applicant pool. Of the 20,000 persons who applied and took the examination for the conductor's position, 14,000 passed, providing NYC Transit with a large pool of applicants. Ms. Pinnock is hoping that NYC Transit will obtain similar results for the position of track worker.

Mr. Burney stated that of the employees hired as conductors at MNR from 2011 through 2013, 23% are women and 31% are minorities. MNR hired 84 conductors in 2012 and expects to hire the same number this year.

Mr. Bradley said that MNR's hiring process is not governed by New York Civil Service Law. MNR attempts to create a diverse pool of applicants through placement of job postings in the print media and attendance at various job fairs. MTA's Business Service Center conducts an initial screening and forwards applicants to MNR. These applicants are then required to pass a written examination. Applicants who achieve a certain minimum score undergo a panel interview, followed by a physical abilities test and a medical examination. Mr. Bradley added that over the last three years, MNR has progressively done a better job of attracting minorities and women.

Mr. Burney added that the numbers show that MNR is making progress in diversifying its work force. For example, there were 138 female conductors in 2011, and in 2013, there are 152. In 2011, there were 165 minority conductors, and in 2013, that number increased to 193.

Mr. Garner asked whether MNR will offer a conductor's examination to its current employees. Mr. Burney responded that in cases where the external pool is not diverse, MNR will open up the application process to internal candidates, in addition to conducting more external outreach.

Mr. Garner asked Mr. Bradley whether women and minority applicants have had less success in passing any particular part of the application process. Mr. Bradley replied that if MNR does not get enough applicants or where there is an insufficient number of applicants successfully completing the screening process or passing the written test, MNR will review the selection process to see where improvements can be made. For example, MNR offers classes to internal applicants in order to improve their interviewing skills.

Mr. Fyffe stated that conductors are promoted from the assistant conductor's position at LIRR. Ms. Meilick added LIRR's selection process is similar to that of MNR. Usually, LIRR will receive approximately 7,000 resumes for the position of assistant conductor, which is the feeder group for the conductor's position. It takes approximately two to three years in order for an assistant conductor to be eligible for promotion to conductor. Due to the hiring freezes, reductions and furloughs between 2008 and 2010, LIRR has not hired in the assistant conductor's title in the past three years. She added that the screening process for the

assistant conductor's position includes a vocabulary test, a math test and a cognitive abilities test. Because the selected applicants are required to handle cash, they also undergo a credit check. Applicants who pass all three tests, as well as a background investigation, will take part in the 52-day assistant conductor training program.

Mr. Chirillo stated that selection of conductors from the ranks of assistant conductors is based on seniority. The next person in line is brought into the conductor training program, which consists of classroom training, passing a series of examinations and then on the job training. Mr. Chirillo added that the training program is in accordance with the collective bargaining agreement and is approved by the federal government.

Ms. Moore reported that between January and March 2013, MTA and its agencies handled a total of 258 EEO complaints, citing 413 separate allegations. Out of the 258 EEO complaints, 145 were filed with outside agencies and 113 were filed internally. The majority of internal complaints cited race/color discrimination, miscellaneous discrimination and sexual harassment as the basis for the complaint. The majority of external complaints cited race/color discrimination, disability discrimination and miscellaneous discrimination as the basis for the complaint. During the first quarter of 2013, MTA and its agencies handled 27 Title VI complaints citing 27 separate allegations. Of these 27 complaints, race discrimination was most frequently cited as the basis of the complaint.

Ms. Moore also reported on the disposition of the complaints for the first quarter 2013. A total of 30 complaints were closed during the reporting period: eight external EEO complaints, 15 internal EEO complaints, and seven Title VI complaints. Out of the 30 total complaints, 17 were decided in favor of the particular agency.

#### **Small Business Mentoring Program ("SBMP")**

Mr. Cleary provided an update on the SBMP. Since the commencement of the program in November 2010, 64 contracts have been awarded, totaling \$36 million. Of these 64 contracts, 48 were awarded to 40 New York State certified MWBE firms totaling over \$26 million. Nine firms were awarded two contracts each. Of these 40 MWBE firms, 13 are also certified DBEs.

A total of 160 firms have been pre-qualified and 33 firms are pending pre-qualification. Thirteen loans have been approved totaling a little over \$1.2 million. Participating firms can now apply for small business loans totaling up to \$450,000 per contract.

#### **Small Business Federal Program**

Mr. Cleary provided an update on the SBFP. Since program inception in March 2013, one project totaling \$1.9 million has been awarded to a MTA certified DBE firm. Eight firms have been prequalified and two are pending prequalification. Firms participating in the program can apply for loans up to \$900,000 per contract. Through the Surety Bond Assistance Program, firms are also eligible for surety bonding assistance of up to \$3 million from Willis/ Centuar Insurance Services.

Mr. Garner added that The Urban Group, recipient of the first contract in SBFP, will be featured on WABC television show, "Here and Now" on Sunday, June 19, 2013. MTA is receiving positive exposure due to hard work of DDCR staff in increasing contract awards to MWDBEs.



## **M/W/DBE Contract Compliance**

Ms. Harleston reported on federal and state contract awards as of March 2013. The overall DBE participation goal for federal fiscal year 2013, starting October 1, 2012, is 17%. Between October 2012 and March 2013, the MTA awarded over \$845 million in federally funded contracts with \$107.5 million (13%) being awarded to certified DBEs. Over \$586 million was paid to prime contractors, with \$62.5 million (11%) actually paid to certified DBEs during the reporting period. Total DBE participation on completed contracts is 23.4%.

Regarding New York State contracts, the MTA set an overall MWBE goal of 20% for fiscal year 2012/2013. From April 2012 through March 2013, over \$718 million was awarded in NY state funded contracts with approximately \$205 million (29%) being awarded to certified MWBEs, exceeding MTA's MWBE goal. During the same period, over \$1 billion was paid on prime contracts, with over \$261 million (22%) being paid to MWBEs, also exceeding MTA's goal. Ms. Harleston credited the SBMP for increased MWBE participation.

Ms. Harleston also reported on Discretionary Procurements, which include purchases of goods, miscellaneous procurements, personal or miscellaneous services not exceeding \$200,000 and not federally funded. From April 2012 to March 2013, MTA and its agencies awarded \$294.7 million in discretionary procurements with \$13.6 million (5%) being awarded to MWBEs. Ms. Harleston said under Mr. Garner's leadership, DDCR has been working closely with the agencies in order to increase discretionary procurement awards to MWBEs. Mr. Garner added that MNR is hiring additional staff to focus on this area. MNR will also coordinate outreach events with DDCR in upstate New York. Once agency buyers become aware of MWBE suppliers, MWBE participation will increase. Discretionary procurements is a MWBE growth area and Mr. Garner called on the agencies to brief the Committee on their strategies for increased MWBE participation. Ms. Metzger added that the agencies are now more aware of a need to increase MWBE participation in discretionary procurements and are reaching out to MWBE vendors and suppliers. The MWBE vendors and suppliers are also becoming aware of business opportunities with MTA and its agencies; they are now more willing to do business. This increased awareness is largely due to DDCR's outreach efforts.

Mr. Garner reported on financial and legal services for the period April 2012 through March 2013. Out of a total of \$24 million in outside counsel fees, MBEs were awarded 2%, while 13% was awarded to WBEs. Mr. Garner said MTA will devise some strategies for improved MWBE participation in this area. MTA recently issued a Request for Proposal ("RFP") to solicit more MWBE firms. A second RFP will also be issued. MWBE participation in underwriter fees is approximately 15%, with 12.25% awarded to MBEs and 2.48% awarded to WBEs. Mr. Garner thanked Robert Foran, Chief Financial Officer, and Patrick McCoy, Director, Finance for awarding more business to MWBE firms.

With respect to the MaBSTOA Pension Plan, MWBE participation is 28% and in the MTA Defined Benefit Pension Plan, MWBE participation is 27% within the traditional asset funds.

Ms. Harleston reported on MWDBE participation on MTA's Capital projects. For the period January to March 2013, the DBE participation in federally funded contracts is 17%, meeting MTA's participation goal. Additionally, 42 MWBE firms participated on nine federally funded projects, which totaled \$55.4 million. MWBE participation in State funded contracts is 33%, far exceeding MTA's 20% participation goal.

Mr. Garner added that with implementation of SBMP and SBFP, MWDBE firms are being awarded prime contracts, which will allow them to grow and be able to compete for larger contracts in the future. Ms.

Metzger said she is pleased to see this long-standing goal of the Committee being realized sooner than expected.

Mr. Garner also introduced Leon Goodman, as a new member of the DDCR staff. Mr. Goodman previously served with MTA Human Resources; he will be assisting with creating news stories for MTA about MWBE participation.

#### **Updated Title VI Policies**

Mr. Din presented for Committee's approval, the updated Policies under Title VI of the Civil Rights Act of 1964 ("Title VI Policies") for NYC Transit, MTA Bus, MNR and LIRR. The FTA issued a revised Title VI Circular, effective October 2012 (Circular 4702.1B), which requires, among other things, the MTA to update its Title VI Policies as part of its Title VI Program. In accordance with the requirements of the Circular, NYC Transit, MTA Bus, MNR and LIRR have updated their existing Title VI Policies for evaluation of fare and service changes and for system-wide service standard and service policies. Mr. Din said no substantive changes were made to existing agency Title VI Policies. In accordance with FTA requirements, the agencies also sought public input. The proposed Policies were placed on MTA's website and a focus group meeting was held with transportation advocacy groups and community groups. No substantive comments were received.

The Committee unanimously approved the Title VI Policies.

#### **Adjournment**

Chairman Ferrer concluded the meeting and upon a motion duly made and seconded, the meeting was adjourned.

Respectfully submitted,

Jeana Titre  
Department of Diversity and Civil Rights



## 2013 Diversity Committee Work Plan

---

### I. RECURRING AGENDA ITEMS

#### Responsibility

Approval of Minutes	Committee Chair & Members
Committee Work Plan	Committee Chair & Members
MTA Agency-wide Diversity, Outreach and EEO Programs Activities	Dept. of Diversity/Civil Rights
MTA DBE Certification Program Activities	Dept. of Diversity/Civil Rights
M/W/DBE Contract Compliance Activities	Dept. of Diversity/Civil Rights
Departmental Goals Update	Dept. of Diversity/Civil Rights
Action Items (if any)	As listed

### II. SPECIFIC AGENDA ITEMS

#### Responsibility

#### March 2013

Recommitment to EEO Policy Statements	Dept. of Diversity/Civil Rights
2013 Departmental Goals	
2012 Year-End Report on EEO	

#### June 2013

1st Quarter 2013 Report	Dept. of Diversity/Civil Rights
Approval of MTA Agency Title VI Policies	

#### September 2013

2013 Mid-Year Report on EEO	
Title VI Program Update	Dept. of Diversity/Civil Rights
EEO Program Update	

#### November 2013

3 <sup>rd</sup> Quarter 2013 Report	Dept. of Diversity/Civil Rights
Status Report on MTA Inter-Agency M/W/DBE Task Force	
Diversity Committee Charter Review	
2014 Diversity Committee Work Plan	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 and Civil Rights update of planned Agency-wide Diversity and Outreach Programs activities.

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

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

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

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

#### **MW/DBE Contract Compliance Activities**

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

#### **Departmental Goals Update**

MTA Department of Diversity and 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 2013 MTA Department of Diversity/Civil Rights Departmental Goals

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

#### 2012 Year-End Report on EEO

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

#### June 2013

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

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

##### Approval of MTA Agency Title VI Policies

The Department of Diversity and Civil Rights will present MTA Agency Title VI Policies for approval of the Diversity Committee.

#### September 2013

##### 2013 Mid-Year Report on EEO

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

##### Title VI Program Update

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

##### EEO Program Update

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

## November 2013

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

The Department of Diversity and Civil Rights will present an update on Diversity, Outreach and EEO Programs activities. The Department of Diversity and 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 and Civil Rights report will address progress made by the Task Force to improve M/W/DBE participation.

### Diversity Committee Charter Review

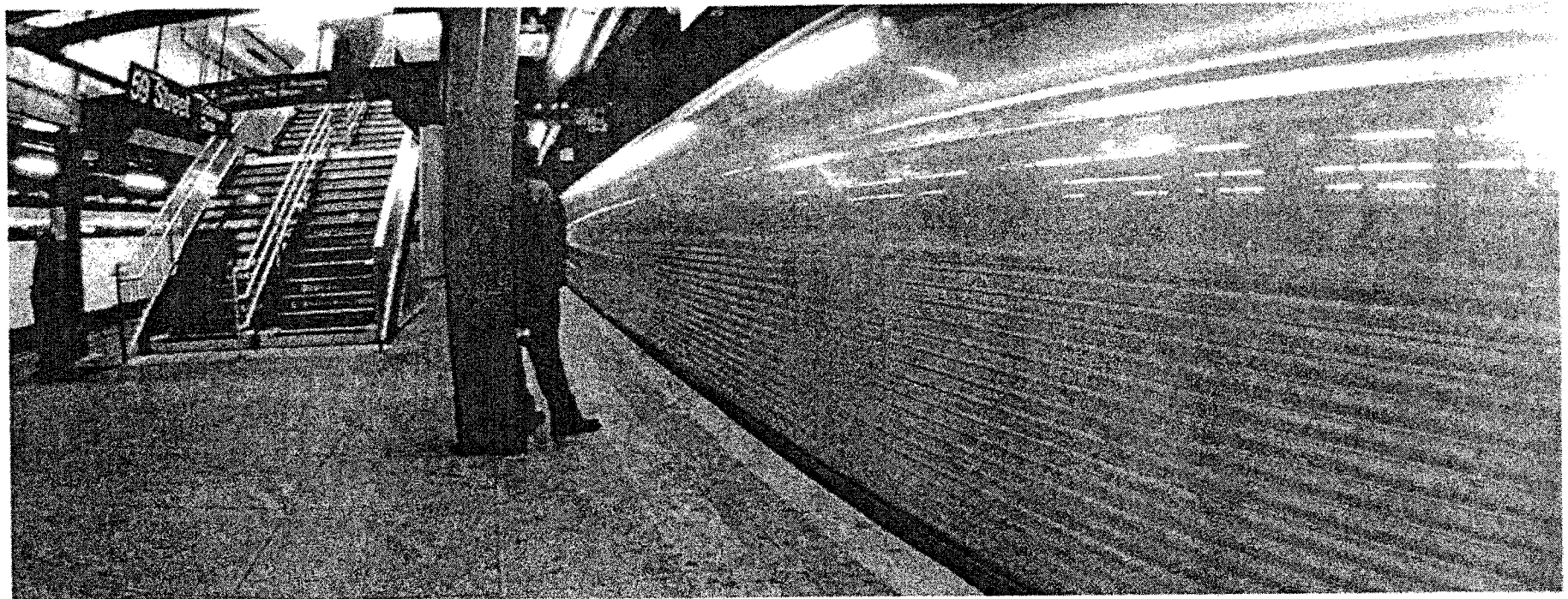
The Diversity Committee will review and assess the adequacy of its charter and recommend changes as necessary.

### 2014 Diversity Committee Work Plan

The Department of Diversity and Civil Rights will present an updated Diversity Committee Work Plan for 2014.

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

September 16, 2013  
2:45 P.M.



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

**September 16, 2013**



# **Business and Diversity Initiatives**

**July 2013**

**National Minority Business Council's 41<sup>st</sup> Anniversary Celebration**

**National Hispanic Business Group Annual Awards Gala**

**Annual Competitive Edge Conference**

**Annual Conference of Minority Transportation Officials**

**DBE Certification Workshop**

**August 2013**

**Harlem Week Economic Development Day**

**Harlem Day Business Expo**

**DBE Certification Workshop**

**September 2013**

**Harlem Business Alliance Economic Summit**

**New Firm Orientation Session**

**Metro-North Railroad presents MWDBE Opportunities Event**

**The Regional Alliance for Small Contractors 21<sup>st</sup> Annual Awards Luncheon**

**MTA Small Business Mentoring Program**

**DBE Certification Workshop**

**5<sup>th</sup> Annual Asian MBA Leadership Conference & Career Expo**

# **MTA Agency-Wide Diversity Programs**

**September 2013**

MTA HQ Diversity Council and MTA Metro-North Railroad  
celebrate Hispanic American Heritage Month



**Metropolitan Transportation Authority**

---

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

**September 16, 2013**

# **CERTIFICATION APPLICATIONS RECEIVED** **SECOND QUARTER 2011 - 2013**

	2013	2012	2011
April	10	18	16
May	19	14	11
June	5	11	7
Total	34	43	34

## CERTIFICATION ACTIVITY FOR NEW APPLICATIONS SECOND QUARTER 2011 - 2013

	2013	2012	2011
<b>CERTIFIED</b>	<b>30</b>	<b>17</b>	<b>20</b>
<b>DENIED</b>	<b>0</b>	<b>2</b>	<b>3</b>
<b>RETURNED</b>	<b>6</b>	<b>4</b>	<b>1</b>
<b>WITHDRAWN</b>	<b>4</b>	<b>2</b>	<b>3</b>
<b>TOTAL</b>	<b>40</b>	<b>25</b>	<b>27</b>

**MTA DEPARTMENT OF DIVERSITY/CIVIL RIGHTS  
EEO and Title VI Update**

**September 16, 2013**

## **2013 TITLE VI ANNUAL ASSESSMENT**

- On an annual basis, MTA Agencies conduct statistical analyses on the services they provide to minority and low-income communities, which show that MTA continues to provide equitable service.
- Each Agency has developed monitoring procedures using at least one or more of the following three methods:
  - Level of Service
  - Quality of Service
  - Analysis of Customer Survey
- MTA Board approved the Title VI System-Wide Service Standards and Policies for MTA NYC Transit, MTA Bus, MTA LIRR and MTA MNR at the June 5, 2013 Board meeting.
- FTA is currently conducting the Triennial Review for MTA Headquarters, MTA LIRR, MTA MNR and MTA Bus as of July 19, 2013. FTA will conduct MTA Bus site visits on November 14-15, 2013 and visits MTA Headquarters, MTA LIRR and MTA MNR on December 9-13, 2013.

## **2013 ANNUAL UPDATE EEO PROGRAM**

- MTA and its Agencies conducted an availability analysis of females and minorities within their relevant labor markets.
- Underutilization is determined by comparing the number of females and minorities in the 2012 year-end workforce with their availability in the relevant labor markets.
- Projected goals were established where statistical underutilization of females and minorities was identified and where vacancies were projected.
- The MTA Equal Employment Opportunity Programs for Headquarters, MTA LIRR, MTA MNR, and MTA Bus will also be reviewed as part of the 2013 FTA Triennial Review.



# **MTA DEPARTMENT OF DIVERSITY/CIVIL RIGHTS EEO ACTIVITIES – SECOND QUARTER 2013**

**September 16, 2013**

## OVERVIEW

MTA and its Agencies have conducted an availability analysis of females and minorities. The availability analysis consists of comparing each agency's June 30, 2013 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 June 30, 2013, females, Hispanics and employees classified as Others were underrepresented 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 number 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 JUNE 30, 2013

Job Category	Female*			Blacks			Hispanics			Asians			AI/AN**			NHOPI***			Other		
	Util Anal			Util Anal			Util Anal			Util Anal			Util Anal			Util Anal			Util Anal		
	Est Avail	Actual %	Yes/No	Est Avail	Actual %	Yes/No	Est Avail	Actual %	Yes/No	Est Avail	Actual %	Yes/No	Est Avail	Actual %	Yes/No	Est Avail	Actual %	Yes/No	Est Avail	Actual %	Yes/No
<b>Officials &amp; Administrators</b>																					
MTA HQ	36%	38%	Yes	17%	26%	Yes	2%	5%	Yes	9%	11%	Yes	0%	0%	Yes	0%	0%	Yes	1%	1%	Yes
MTA B&T	30%	23%	No	10%	22%	Yes	4%	6%	Yes	6%	10%	Yes	0%	0%	Yes	0%	0%	Yes	1%	1%	Yes
MTA MNR	25%	22%	No	8%	15%	Yes	6%	5%	No	4%	6%	Yes	0%	0%	Yes	1%	0%	No	1%	2%	Yes
MTA URR	21%	22%	Yes	11%	11%	Yes	6%	7%	Yes	4%	4%	Yes	0%	0%	Yes	0%	0%	Yes	1%	2%	Yes
MTA NYCT	25%	15%	No	12%	35%	Yes	6%	11%	Yes	5%	14%	Yes	0%	0%	Yes	0%	0%	Yes	1%	2%	Yes
MTA CC	10%	25%	Yes	15%	11%	No	11%	6%	No	19%	27%	Yes	0%	0%	Yes	0%	0%	Yes	1%	4%	Yes
MTA Bus	18%	9%	No	14%	29%	Yes	11%	14%	Yes	3%	4%	Yes	0%	0%	Yes	0%	0%	Yes	1%	3%	Yes
<b>Professionals</b>																					
MTA HQ	39%	56%	Yes	10%	35%	Yes	9%	11%	Yes	8%	15%	Yes	0%	1%	Yes	0%	0%	Yes	2%	6%	Yes
MTA B&T	31%	35%	Yes	10%	19%	Yes	6%	17%	Yes	10%	23%	Yes	0%	0%	Yes	0%	0%	Yes	1%	0%	No
MTA MNR	45%	39%	No	8%	20%	Yes	5%	10%	Yes	4%	14%	Yes	0%	0%	Yes	0%	0%	Yes	1%	3%	Yes
MTA URR	20%	22%	Yes	10%	12%	Yes	7%	8%	Yes	6%	18%	Yes	0%	0%	Yes	0%	0%	Yes	1%	4%	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%	33%	Yes	4%	24%	Yes	4%	5%	Yes	4%	43%	Yes	0%	0%	Yes	0%	0%	Yes	1%	0%	No
MTA Bus	34%	51%	Yes	10%	27%	Yes	5%	12%	Yes	5%	17%	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 JUNE 30, 2013

Job Category	Female*			Blacks			Hispanics			Asians			AI/AN**			NHOPI***			Other		
	Util			Util			Util			Util			Util			Util			Util		
	Est Avail	Actual %	Yes/No	Est Avail	Actual %	Yes/No	Est Avail	Actual %	Yes/No	Est Avail	Actual %	Yes/No	Est Avail	Actual %	Yes/No	Est Avail	Actual %	Yes/No	Est Avail	Actual %	Yes/No
<b>Technicians</b>																					
MTA HQ	14%	8%	No	13%	5%	No	8%	8%	Yes	1%	2%	Yes	0%	0%	Yes	0%	0%	Yes	1%	2%	Yes
MTA B&T	10%	20%	Yes	9%	19%	Yes	6%	17%	Yes	1%	5%	Yes	0%	0%	Yes	0%	0%	Yes	1%	0%	No
MTA MNR	23%	5%	No	4%	23%	Yes	5%	4%	No	6%	11%	Yes	0%	0%	Yes	0%	0%	Yes	1%	0%	No
MTA URR	9%	13%	Yes	10%	19%	Yes	8%	10%	Yes	6%	7%	Yes	0%	0%	Yes	0%	0%	Yes	1%	0%	No
MTA NYCT	36%	45%	Yes	11%	50%	Yes	10%	10%	Yes	12%	15%	Yes	0%	0%	Yes	0%	0%	Yes	2%	2%	Yes
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%	58%	Yes	7%	5%	No	6%	21%	Yes	14%	16%	Yes	0%	0%	Yes	0%	0%	Yes	2%	0%	No
<b>Protective Services</b>																					
MTA HQ	11%	11%	Yes	11%	15%	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 URR	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%	17%	Yes	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%	No	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 JUNE 30, 2013

Job Category	Female*			Blacks			Hispanics			Asians			AI/AN**			NHOPi***			Other		
	Util			Util			Util			Util			Util			Util			Util		
	Est Avail	Actual %	Yes/No	Est Avail	Actual %	Yes/No	Est Avail	Actual %	Yes/No	Est Avail	Actual %	Yes/No	Est Avail	Actual %	Yes/No	Est Avail	Actual %	Yes/No	Est Avail	Actual %	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%	47%	No	10%	10%	Yes	7%	7%	Yes	3%	30%	Yes	0%	0%	Yes	0%	0%	Yes	1%	0%	No
MTA LRR	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes
MTA NYCT	52%	51%	No	13%	53%	Yes	10%	26%	Yes	4%	4%	Yes	0%	0%	Yes	0%	0%	Yes	2%	2%	Yes
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%	77%	Yes	18%	47%	Yes	16%	17%	Yes	5%	2%	No	0%	0%	Yes	0%	0%	Yes	2%	3%	Yes
MTA B&T	61%	57%	No	18%	60%	Yes	19%	24%	Yes	4%	1%	No	0%	0%	Yes	0%	0%	Yes	2%	0%	No
MTA MNR	59%	43%	No	14%	31%	Yes	11%	12%	Yes	4%	3%	Yes	0%	1%	Yes	0%	0%	Yes	1%	3%	Yes
MTA LRR	35%	48%	Yes	19%	28%	Yes	11%	9%	No	3%	3%	Yes	0%	0%	Yes	0%	0%	Yes	2%	2%	Yes
MTA NYCT	57%	42%	No	22%	58%	Yes	20%	14%	No	7%	14%	Yes	0%	0%	Yes	0%	0%	Yes	3%	1%	No
MTA CC	67%	83%	Yes	17%	33%	Yes	16%	17%	Yes	4%	17%	Yes	0%	0%	Yes	0%	0%	Yes	2%	0%	No
MTA Bus	60%	51%	No	21%	32%	Yes	19%	14%	No	7%	6%	No	0%	0%	Yes	0%	0%	Yes	3%	7%	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 JUNE 30, 2013

Job Category	Female*			Blacks			Hispanics			Asians			AI/AN**			NHOPi***			Other		
	Est Avail	Actual %	Util	Est Avail	Actual %	Util	Est Avail	Actual %	Util	Est Avail	Actual %	Util	Est Avail	Actual %	Util	Est Avail	Actual %	Util	Est Avail	Actual %	Util
			Anal Yes/No			Anal Yes/No			Anal Yes/No			Anal Yes/No			Anal Yes/No			Anal Yes/No			Anal Yes/No
Skilled Craft																					
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 URR	8%	10%	Yes	16%	17%	Yes	11%	10%	No	3%	2%	No	0%	0%	Yes	0%	0%	Yes	2%	1%	No
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%	28%	Yes	25%	13%	No	6%	9.0%	Yes	0%	0%	Yes	0%	2%	Yes	6%	4%	No
Service Maintenance																					
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%	13%	Yes	16%	35%	Yes	13%	16%	Yes	4%	1%	No	1%	0%	No	0%	0%	Yes	1%	2%	Yes
MTA URR	17%	20%	Yes	19%	27%	Yes	19%	14%	No	2%	3%	Yes	0%	0%	Yes	0%	0%	Yes	2%	4%	Yes
MTA NYCT	19%	18%	No	28%	57%	Yes	30%	21%	No	3%	5%	Yes	0%	0%	Yes	0%	0%	Yes	3%	4%	Yes
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%	43%	Yes	26%	18%	No	7%	6%	No	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-Wide New Hires January 1, 2013 to June 30, 2013**

- ❖ Between January 1, 2013 and June 30, 2013, MTA and its Agencies hired a total of 2,449 employees.
- ❖ 20.6% of the total new hires are females.
- ❖ 70.2% of the total new hires are minorities.\*
- ❖ Of the 70.2% of minorities hired, 39.5% are black and 17% are Hispanic.
- ❖ MTA HQ hired the highest percentage of females (55.6%).
- ❖ MTA Bus hired the highest percentage of minorities (86.5%).

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



# MTA-WIDE NEW HIRES

January 1, 2013 to June 30, 2013

TOTAL NEW HIRES

AGENCY: MTA-WIDE

AGENCY	New Hires	Females*		Minorities		Non-Minorities		Blacks		Hispanics		Asians		AI/ANs		NH/PI		Other	
		#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
MTA HQ	63	35	55.6%	41	55.1%	22	44.9%	23	36.5%	9	11.4%	5	7.9%	0	0.0%	0	0.0%	4	6.3%
MTA B&T	9	3	33.3%	6	66.7%	3	33.3%	1	11.1%	2	22.2%	3	33.3%	0	0.0%	0	0.0%	0	0.0%
MTA MNR	254	43	16.9%	106	34.4%	148	65.6%	41	16.1%	30	11.8%	20	7.9%	0	0.0%	0	0.0%	15	5.9%
MTA LIRR	259	36	13.9%	101	47.5%	158	52.5%	32	12.4%	40	15.4%	11	4.2%	1	0.4%	0	0.0%	17	6.6%
MTA NYCT	1,685	365	21.0%	1,322	79.0%	373	21.0%	785	47.0%	293	17.0%	216	13.0%	2	0.1%	0	0.0%	26	2.0%
MTA CC	6	1	16.7%	3	50.0%	3	50.0%	0	0.0%	0	0.0%	3	50.0%	0	0.0%	0	0.0%	0	0.0%
MTA BUS	163	22	13.5%	141	86.5%	22	13.5%	86	52.8%	43	26.4%	8	4.9%	0	0.0%	1	0.6%	3	1.8%
Total:	2449	505	20.6%	1720	70.2%	729	29.8%	968	39.5%	417	17.0%	266	10.9%	3	0.1%	1	0.0%	65	2.7%

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

## EEO/TITLE VI COMPLAINTS

- Between January and June 2013, MTA and its Agencies handled a total of 278 EEO complaints, citing 462 separate allegations.\*
- Of the 234 complaints, 147 were filed externally at city, state and federal agencies and 131 were filed internally.
- Of the 147 external complaints, disability discrimination (20%), other\*\* types of miscellaneous discrimination (24%), and race/color discrimination (19%) were most frequently cited as the basis for the complaint.
- Of the 131 internal complaints, other types of miscellaneous discrimination (26%), sexual harassment (21%), and race/color discrimination (22%) were most frequently cited as the basis for the complaint.
- Between January and June 2013, MTA and its Agencies handled a total of 43 Title VI complaints, citing 43 separate allegations. Of these 43 complaints, race discrimination (80%) was most frequently cited as the basis of the complaint.

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

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

# MTA-WIDE EEO/TITLE VI COMPLAINTS

As of June 30, 2013\*

EEO DISCRIMINATION COMPLAINTS EXTERNAL											
AGENCY	RACE COLOR	SEXUAL HARASS.	AGE	GENDER	RELIGION	NATIONAL ORIGIN	DISABILITY	OTHER**	TOTAL ISSUES	TOTAL CASES***	STATUS STATUS OPEN
MTA	5	0	1	4	3	2	1	4	20	9	5
B&T	3	0	1	3	0	0	2	3	12	8	7
MNR	4	1	2	0	1	2	1	3	14	9	8
LIRR	3	0	1	1	1	2	0	2	10	6	5
NYCT	31	3	20	24	5	14	47	48	192	109	100
CC	0	0	0	0	0	0	0	0	0	0	0
MTA BUS	3	0	1	0	0	2	2	3	11	6	6
TOTAL	49	4	26	32	10	22	53	63	259	147	131
	19%	2%	10%	12%	4%	8%	20%	24%			
EEO DISCRIMINATION COMPLAINTS INTERNAL											
AGENCY	RACE COLOR	SEXUAL HARASS.	AGE	GENDER	RELIGION	NATIONAL ORIGIN	DISABILITY	OTHER**	TOTAL ISSUES	TOTAL CASES***	STATUS STATUS OPEN
MTA	3	4	0	0	0	1	0	0	8	7	5
B&T	0	0	0	0	0	0	0	0	0	0	0
MNR	4	4	1	5	0	3	3	6	27	18	6
LIRR	1	1	0	0	0	1	0	2	5	5	0
NYCT	34	34	8	18	5	11	6	45	161	99	90
CC	0	0	0	0	0	0	0	0	0	0	0
MTA BUS	2	0	0	0	0	0	0	0	2	2	2
TOTAL	44	43	9	24	5	16	9	53	203	131	103
	22%	21%	4%	12%	2%	8%	4%	26%			
TITLE VI COMPLAINTS											
AGENCY	RACE	COLOR	NATIONAL ORIGIN	INCOME	TOTAL ISSUES	TOTAL CASES***	STATUS OPEN				
MTA	0	0	0	0	0	0	0				
MTA MNR	14	0	0	0	14	14	8				
MTA LIRR	3	0	0	0	3	3	0				
MTA NYC	18	1	5	0	25	25	21				
MTA CC	0	0	0	0	0	0	0				
MTA BUS	0	0	1	0	1	1	1				
TOTAL	35	1	7	0	43	43	30				
	80%	2%	16%	0%							
*This includes complaints filed prior to the reporting period and which remained open during reporting period.											
**"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.											

# MTA-WIDE EEO/TITLE VI COMPLAINT DISPOSITION – SECOND QUARTER 2013

## EEO DISCRIMINATION COMPLAINTS EXTERNAL

MTA AGENCY	REASONABLE CAUSE	NO REASONABLE CAUSE	ADMINISTRATIVE CLOSURE	WITHDRAWN	DISMISSAL	RESOLVED/ SETTLEMENT	TOTAL CASES
MTAHO	0	0	0	0	4	0	4
B&T	0	0	0	0	1	0	1
MNR	0	1	0	0	0	0	1
LIRR	0	1	0	0	0	0	1
NYCT	0	5	0	0	1	0	6
CC	0	0	0	0	0	0	0
MTA BUS	0	0	0	0	0	0	0
TOTAL							16

## EEO DISCRIMINATION COMPLAINTS INTERNAL

MTA AGENCY	REASONABLE CAUSE	NO REASONABLE CAUSE	ADMINISTRATIVE CLOSURE	WITHDRAWN	DISMISSAL	RESOLVED/ SETTLEMENT	TOTAL CASES
MTAHO	0	2	0	0	0	0	2
B&T	0	0	0	0	0	0	0
MNR	1	7	3	1	0	1	12
LIRR	1	4	0	0	0	1	5
NYCT	1	4	3	1	0	1	9
CC	0	0	0	0	0	0	0
MTA BUS	0	0	0	0	0	0	0
TOTAL							28

## TITLE VI COMPLAINTS

MTA AGENCY	REASONABLE CAUSE	NO REASONABLE CAUSE	ADMINISTRATIVE CLOSURE	WITHDRAWN	DISMISSAL	RESOLVED/ SETTLEMENT	TOTAL CASES
MTAHO	0	0	0	0	0	0	0
B&T	0	0	0	0	0	0	0
MNR	0	5	1	0	0	0	5
LIRR	0	5	0	0	0	0	3
NYCT	0	2	2	0	0	0	4
CC	0	0	0	0	0	0	0
MTA BUS	0	0	0	0	0	0	0
TOTAL							13

# **MTA SMALL BUSINESS MENTORING PROGRAM UPDATE**

**September 16, 2013**

# **MTA Small Business Mentoring Program Update**

## **as of June 30, 2013**

- Since November 2010, when the Small Business Mentoring Program commenced, a total of 76 contracts have been awarded, totaling \$43 million.
- Forty-nine of these contracts were awarded to 46 New York State certified M/WBE firms,\* totaling over \$34.4 million.
- Of these 46 M/WBE firms, 12 are also certified DBEs.
- 134 firms have been pre-qualified.
- 40 firms are pending pre-qualification.
- A total of 14 loans have been approved/closed, totaling \$1,300,000. In addition, participating firms can now apply for small business loans up to \$150,000 per contract.

*\*Sixteen firms were awarded two contracts each.*

# **MTA SMALL BUSINESS FEDERAL PROGRAM UPDATE**

**September 16, 2013**

## **MTA Small Business Federal Program Update as of June 30, 2013**

- **Since Program inception in March 2013, three projects have been awarded, totaling \$4.1 million.**
- **Eighteen firms have been prequalified, and five are pending prequalification.**
- **Participating firms can apply for small business loans up to \$900,000 per contract.**
- **A Surety Bond Assistance Program was finalized with Willis/Centaur. Participating firms are now eligible for surety bond assistance up to \$3 million.**





**Metropolitan Transportation Authority**

---

# **M/W/DBE CONTRACT COMPLIANCE**

## **Second Quarter 2013 Update**

**September 16, 2013**

**DBE Participation in Federally Funded Contracts  
Federal Fiscal Year 2013\*  
(October 1, 2012 to September 30, 2013)**

- Each year, MTA reports to the Federal Transit Administration on a semi-annual basis DBE participation in federally funded contracts.
- Reports are submitted on June 1st -- covering October through March, and December 1st -- covering the 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 2013, MTA set an overall DBE goal of 17%.
- From October 2012 through June 2013, over \$1.1 billion was awarded as the federally funded portion of contracts, with \$150 million (13%) being awarded to certified DBEs.
- From October 2012 through June 2013, over \$932 million was paid to prime contractors, with payments to certified DBEs totaling \$104 million (11%).

\* Dollar amounts represent the federally funded portion of contracts. The Federal Fiscal year runs from October 1st through September 30th.

**FEDERALLY-FUNDED CONTRACTS  
DBE CONTRACT ACTIVITY  
(OCTOBER 2012-JUNE 2013)**

**AWARDS\***

CONTRACT AWARDS	PRIME AWARDS		DBE PARTICIPATION			OVERALL FTA GOAL
	Number of Contracts	Award Amount	Number of DBE Contracts	DBE Award Amount	% To Agency Total	
<b>1st SEMI-ANNUAL REPORT</b> October 2012 - March 2013	30	\$845,238,320	124	\$109,007,346	13%	17%
<b>2nd SEMI-ANNUAL REPORT</b> April 2013 - June 2013	30	\$281,339,077	65	\$41,405,429	15%	17%
<b>TOTAL</b>	<b>60</b>	<b>\$1,126,577,397</b>	<b>189</b>	<b>\$150,412,775</b>	<b>13%</b>	<b>17%</b>

**PAYMENTS\*\***

CONTRACT PAYMENTS	PAYMENTS TO PRIMES		DBE PARTICIPATION			OVERALL FTA GOAL
	Number of Contracts	Payment Amount	Number of Subcontracts	DBE Payment Amount	% To Agency Total	
<b>1st SEMI-ANNUAL REPORT</b> October 2012 - March 2013	261	\$586,192,865	1,710	\$62,515,499	11%	17%
<b>2nd SEMI-ANNUAL REPORT</b> April 2013 - June 2013	283	\$346,035,241	1,796	\$41,185,902	12%	17%
<b>TOTAL</b>	<b>544</b>	<b>\$932,228,106</b>	<b>3,506</b>	<b>\$103,701,401</b>	<b>11%</b>	<b>17%</b>

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

\*\* Includes all vendors with and without payments

**DBE CONTRACT AWARDS**  
**FEDERAL FISCAL YEAR 2010**  
**October 2009 - September 2010**

	Total Awards	Total DBE Awards	DBE%
October 2009 - March 2010	\$248,868,126	\$32,158,396	13%
April 2010 - September 2010	\$376,442,431	\$42,261,861	11%
<b>Total 2010</b>	<b>\$625,310,557</b>	<b>\$74,420,257</b>	<b>12%</b>

**DBE CONTRACT AWARDS**  
**FEDERAL FISCAL YEAR 2011**  
**October 2010 - September 2011**

	Total Awards	Total DBE Awards	DBE%
October 2010 - March 2011	\$747,606,517	\$79,800,552	11%
April 2011 - September 2011	\$210,145,463	\$24,262,919	12%
<b>Total 2011</b>	<b>\$957,751,980</b>	<b>\$104,063,471</b>	<b>11%</b>

**DBE CONTRACT AWARDS**  
**FEDERAL FISCAL YEAR 2012**  
**October 2011 - September 2012**

	Total Awards	Total DBE Awards	DBE%
October 2011 - March 2012	\$307,074,469	\$34,327,000	11%
April 2012 - September 2012	\$156,564,018	\$21,416,153	14%
<b>Total 2012</b>	<b>\$463,638,487</b>	<b>\$55,743,153</b>	<b>12%</b>

**DBE CONTRACT AWARDS**  
**FEDERAL FISCAL YEAR 2013**  
**October 2012 - June 2013**

	Total Awards	Total DBE Awards	DBE%
October 2012 - March 2013	\$845,238,320	\$109,007,346	13%
April 2013 - June 2013	\$281,339,077	\$41,405,429	15%
<b>Total 2013</b>	<b>\$1,126,577,397</b>	<b>\$150,412,775</b>	<b>13%</b>

**DBE CONTRACT PAYMENTS**  
**FEDERAL FISCAL YEAR 2010**  
**October 2009 - September 2010**

	Total Prime Payments	Total DBE Payments	DBE%
October 2009 - March 2010	\$4,872,416,591	\$606,054,860	12%
April 2010 - September 2010	\$524,486,027	\$59,872,171	11%
<b>Total 2010</b>	<b>\$5,396,902,618</b>	<b>\$665,927,031</b>	<b>12%</b>

**DBE CONTRACT PAYMENTS**  
**FEDERAL FISCAL YEAR 2011**  
**October 2010 - September 2011**

	Total Prime Payments	Total DBE Payments	DBE%
October 2010 - March 2011	\$601,662,839	\$85,665,553	14%
April 2011 - September 2011	\$754,426,914	\$87,309,466	12%
<b>Total 2011</b>	<b>\$1,356,089,753</b>	<b>\$172,975,019</b>	<b>13%</b>

**DBE CONTRACT PAYMENTS**  
**FEDERAL FISCAL YEAR 2012**  
**October 2011 - September 2012**

	Total Prime Payments	Total DBE Payments	DBE%
October 2011 - March 2012	\$652,219,929	\$100,229,968	15%
April 2012 - September 2012	\$812,570,064	\$90,441,254	11%
<b>Total 2012</b>	<b>\$1,464,789,993</b>	<b>\$190,671,222</b>	<b>13%</b>

**DBE CONTRACT PAYMENTS**  
**FEDERAL FISCAL YEAR 2013**  
**October 2012 - June 2013**

	Total Prime Payments	Total DBE Payments	DBE%
October 2012 - March 2013	\$586,192,865	\$62,515,499	11%
April 2013 - June 2013	\$346,035,241	\$41,185,902	12%
<b>Total 2013</b>	<b>\$932,228,106</b>	<b>\$103,701,401</b>	<b>11%</b>

**MWBE Participation in State Funded Contracts  
New York State Fiscal Year 2013-2014  
(April 2013 to March 2014)\***

- 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 contracts with goals and MWBE contract payments.
- MTA established an overall MWBE goal of 20% for state fiscal year 2013-2014, starting on April 1, 2013.
- From April 2013 to June 2013, approximately \$117 million was awarded in NY state funded contracts, with approximately \$42 million (35%) awarded to certified MWBEs.
- From April 2013 to June 2013, approximately \$342 million was paid on prime contracts with approximately \$74 million (22%) paid to MWBEs.

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

**NYS CONTRACTS  
MWBE CONTRACT ACTIVITY  
APRIL 2013 – JUNE 2013**

**AWARDS**

CONTRACT AWARDS	PRIME AWARDS		MWBE AWARDS			NYS Goal
	Number of Contracts	Award Amount	Number of Subcontracts	MWBE Award Amount	MWBE %	
FIRST QUARTER	740	\$116,955,585	778	\$41,507,410	35%	20%
APRIL 2013-JUNE 2013						
TOTAL	740	\$116,955,585	778	\$41,507,410	35%*	20%

**PAYMENTS**

CONTRACT PAYMENTS	PAYMENTS TO PRIMES		MWBE PARTICIPATION			NYS Goal
	Number of Contracts	Payment Amount	Number of MWBE Contracts	MWBE Payment Amount**	MWBE %	
FIRST QUARTER	1,300	\$341,714,029	1,942	\$73,665,416	22%	20%
APRIL 2013-JUNE 2013						
TOTAL	1,300	\$341,714,029	1,942	\$73,665,416	22%	20%

\*During this reporting period, six contracts were awarded that exceeded their 20% assigned MWBE goals. Total MWBE participation is indicated in parentheses: MNR IFB 20480, \$1.5m (44%), NYCT RFQ 144411, \$99k (42%), MNR RFP 20245, \$2.7m (32%), NYCT 34906 \$8.5m (23.4%), and B&T PSC-12-2915, \$5.7m (22.7%). Additionally, NYCT awarded contract # RFQ 42650, totaling \$267k to a NYS certified MBE, Corporate Courier.

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

FY 2010- 2014 MWBE AWARDS

FY 2010 - 2011 MWBE AWARDS

April 2010 - March 2011

	TOTAL AWARDS	MBE AWARDS	MBE%	WBE AWARDS	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	\$297,041,320.00	\$20,706,207.93	7%	\$5,209,733.93	2%	\$25,915,941.86	9%
QTR. 2	\$917,140,458.07	\$23,821,940.07	3%	\$22,300,092.39	2%	\$46,122,032.46	5%
QTR. 3	\$385,554,535.14	\$12,956,724.39	3%	\$7,437,970.04	2%	\$20,394,694.43	5%
QTR. 4	\$2,472,567,055.91	\$48,452,610.07	2%	\$34,764,694.97	1%	\$83,217,305.04	3%
<b>TOTALS</b>	<b>\$4,072,303,369.12</b>	<b>\$105,937,482.46</b>	<b>3%</b>	<b>\$69,712,491.33</b>	<b>2%</b>	<b>\$175,649,973.79</b>	<b>4%</b>

FY 2011 - 2012 MWBE AWARDS

April 2011 - March 2012

	TOTAL AWARDS	MBE AWARDS	MBE%	WBE AWARDS	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	\$366,342,216.15	\$12,418,881.74	3%	\$6,861,257.88	2%	\$19,280,139.62	5%
QTR. 2	\$360,271,682.25	\$17,787,465.35	5%	\$11,549,549.71	3%	\$29,337,015.06	8%
QTR. 3	\$1,032,607,348.91	\$67,793,667.99	7%	\$44,284,801.56	4%	\$112,078,469.55	11%
QTR. 4	\$79,386,110.72	\$4,205,168.61	5%	\$2,830,735.04	4%	\$7,035,903.65	9%
<b>TOTALS</b>	<b>\$1,838,607,358.03</b>	<b>\$102,205,183.69</b>	<b>6%</b>	<b>\$65,526,344.19</b>	<b>4%</b>	<b>\$167,731,527.88</b>	<b>9%</b>

FY 2012 - 2013 MWBE AWARDS

April 2012 - March 2013

	TOTAL AWARDS	MBE AWARDS	MBE%	WBE AWARDS	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	\$127,257,439.59	\$20,261,495.39	16%	\$18,869,068.95	15%	\$39,130,564.34	31%
QTR. 2	\$215,936,782.18	\$25,266,811.23	12%	\$21,435,174.37	10%	\$46,701,985.60	22%
QTR. 3	\$246,752,495.71	\$39,483,610.43	16%	\$28,740,691.79	12%	\$68,224,302.22	28%
QTR. 4	\$128,226,361.58	\$28,785,207.73	22%	\$22,036,570.88	17%	\$50,821,778.61	40%
<b>TOTALS</b>	<b>\$718,173,079.06</b>	<b>\$113,797,124.78</b>	<b>16%</b>	<b>\$91,081,505.99</b>	<b>13%</b>	<b>\$204,878,630.77</b>	<b>29%</b>

FY 2013 - 2014 MWBE AWARDS

April 2013 - June 2013

	TOTAL AWARDS	MBE AWARDS	MBE%	WBE AWARDS	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	\$116,955,584.95	\$23,349,641.43	20%	\$18,157,768.33	15%	\$41,507,409.76	35%
<b>TOTALS</b>	<b>\$116,955,584.95</b>	<b>\$23,349,641.43</b>	<b>20%</b>	<b>\$18,157,768.33</b>	<b>15%</b>	<b>\$41,507,409.76</b>	<b>35%</b>



# **FY 2010 – 2014 MWBE PAYMENTS**

## **FY 2010 - 2011 MWBE PAYMENTS**

April 2010 - March 2011

	TOTAL PAYMENTS	MBE Payments	MBE%	WBE Payments	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	\$414,102,581.35	\$15,612,913.87	4%	\$14,763,548.46	4%	\$30,376,462.33	7%
QTR. 2	\$424,177,910.35	\$14,061,508.46	3%	\$9,170,294.18	2%	\$23,231,802.64	5%
QTR. 3	\$542,212,151.16	\$24,538,471.02	5%	\$13,589,937.39	3%	\$38,128,408.41	7%
QTR. 4	\$461,104,816.60	\$15,032,845.43	3%	\$8,214,176.56	2%	\$23,247,021.99	5%
<b>TOTALS</b>	<b>\$1,841,597,459.45</b>	<b>\$69,245,738.78</b>	<b>4%</b>	<b>\$45,737,956.59</b>	<b>2%</b>	<b>\$114,983,695.37</b>	<b>6%</b>

## **FY 2011 - 2012 MWBE PAYMENTS**

April 2011 - March 2012

	TOTAL PAYMENTS	MBE Payments	MBE%	WBE Payments	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	\$209,773,476.37	\$21,098,721.89	10%	\$9,293,370.71	4%	\$30,392,092.60	14%
QTR. 2	\$253,958,630.00	\$17,459,063.82	7%	\$16,619,780.35	7%	\$34,078,844.17	13%
QTR. 3	\$338,892,027.99	\$21,567,860.35	6%	\$20,427,398.26	6%	\$41,995,258.61	12%
QTR. 4	\$271,257,277.77	\$23,657,516.59	9%	\$28,459,076.23	10%	\$52,116,592.82	19%
<b>TOTALS</b>	<b>\$1,073,881,412.13</b>	<b>\$83,783,162.65</b>	<b>8%</b>	<b>\$74,799,625.55</b>	<b>7%</b>	<b>\$158,582,788.20</b>	<b>15%</b>

## **FY 2012 - 2013 MWBE PAYMENTS**

April 2012 - March 2013

	TOTAL PAYMENTS	MBE Payments	MBE%	WBE Payments	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	\$359,164,511.76	\$30,152,592.82	8%	\$35,714,722.73	10%	\$65,867,315.55	18%
QTR. 2	\$279,965,924.79	\$33,642,857.51	12%	\$32,348,288.72	12%	\$65,991,146.23	24%
QTR. 3	\$267,401,198.55	\$37,756,662.97	14%	\$26,350,594.79	10%	\$64,107,257.76	24%
QTR. 4	\$303,256,313.54	\$34,305,801.85	11%	\$30,939,263.99	10%	\$65,245,065.84	22%
<b>TOTALS</b>	<b>\$1,209,787,948.63</b>	<b>\$135,857,915.15</b>	<b>11%</b>	<b>\$125,352,870.23</b>	<b>10%</b>	<b>\$261,210,785.37</b>	<b>22%</b>

## **FY 2013 - 2014 MWBE PAYMENTS**

April 2013 - June 2013

	TOTAL PAYMENTS	MBE Payments	MBE%	WBE Payments	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	\$341,714,029.48	\$40,020,062.27	12%	\$33,645,353.40	10%	\$73,665,415.67	22%
<b>TOTALS</b>	<b>\$341,714,029.48</b>	<b>\$40,020,062.27</b>	<b>12%</b>	<b>\$33,645,353.40</b>	<b>10%</b>	<b>\$73,665,415.67</b>	<b>22%</b>

**MTA ALL AGENCY  
DISCRETIONARY PROCUREMENT REPORT\***  
**April 2013 -June 2013**

<b>Agency</b>	<b>Total Award Amount**</b>	<b>Total MWBE Award Amount</b>	<b>% To Total Award</b>	<b>MWBE Discretionary Award</b>	<b>% To Total Award</b>
<b>MTA NYCT</b>	\$46,513,879	\$4,087,802	9%	\$2,422,749	5%
<b>MTA MNR</b>	\$12,030,245	\$1,839,488	15%	\$460,661	4%
<b>MTA B&amp;T</b>	\$2,409,943	\$712,617	30%	\$426,016	18%
<b>MTA LIRR</b>	\$10,796,605	\$1,362,668	13%	\$556,277	5%
<b>MTA HQ</b>	\$2,130,657	\$92,338	4%	\$0	0%
<b>MTA CC</b>	\$170,217	\$103,153	61%	\$0	0%
<b>MTA BUS</b>	\$5,814,476	\$252,413	4%	\$169,921	2%
<b>Total</b>	<b>\$79,866,022</b>	<b>\$8,450,479</b>	<b>11%</b>	<b>\$4,035,624</b>	<b>5%</b>

\* Discretionary procurements include purchases for goods, miscellaneous procurements and 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.



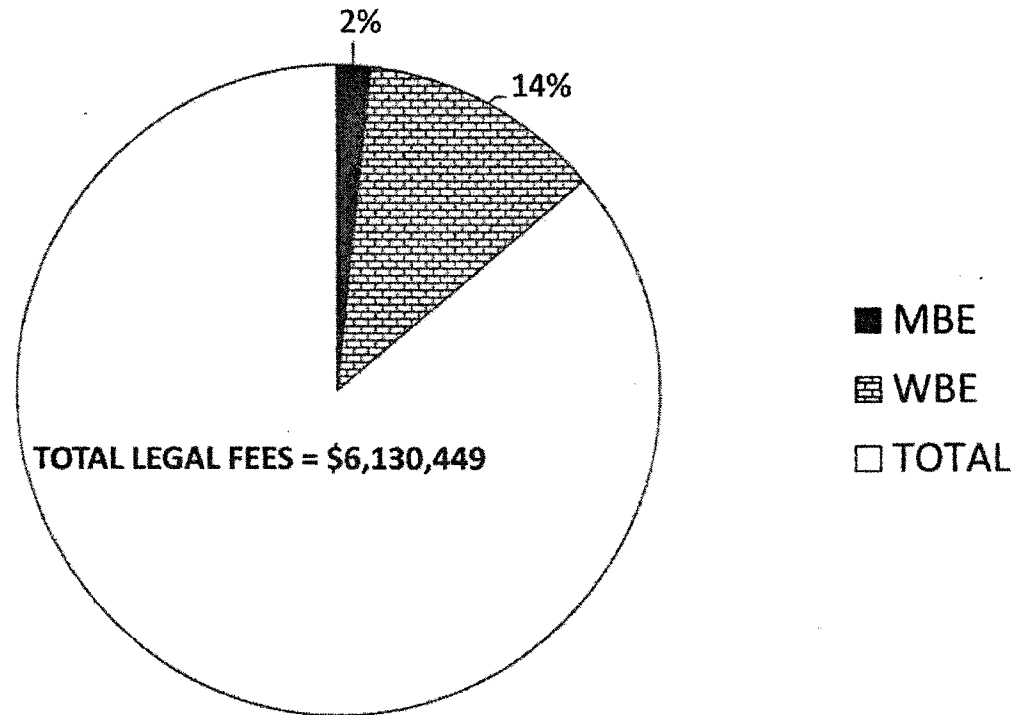
**Metropolitan Transportation Authority**

---

# **FINANCIAL AND LEGAL SERVICES**

**September 16, 2013**

**MTA ALL AGENCY LEGAL FEES  
April 2013- June 2013**



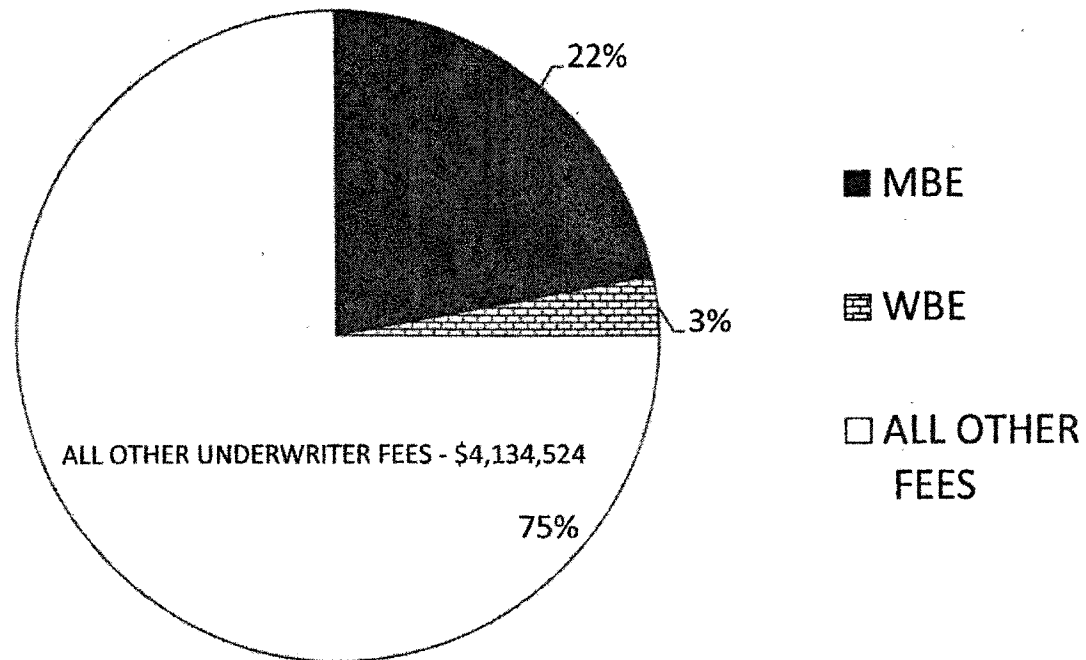
**10% MBE GOAL  
10% WBE GOAL**

**Actual MBE Participation = \$118,446 or 2%  
Actual WBE Participation = \$879,269 or 14%**

**MTA ALL AGENCY LEGAL FEES PAID  
APRIL 2013 THROUGH JUNE 2013**

<b>AGENCY</b>	<b>All Fees Paid</b>	<b>MBE Fees Paid</b>	<b>Agency MBE Participation</b>	<b>WBE Fees Paid</b>	<b>Agency WBE Participation</b>
B & T	\$200,554	\$0	0.0%	\$17,438	8.7%
LIRR	\$214,969	\$28,286	13.2%	\$0	0.0%
MTABUS	\$749,173	\$7,799	1.0%	\$70,064	9.4%
MTACC	\$418,534	\$0	0.0%	\$364,559	87.1%
MTAHQ	\$1,844,415	\$0	0.0%	\$28,962	1.6%
MNR	\$278,772	\$1,960	0.7%	\$0	0.0%
NYCTA	\$2,424,032	\$80,401	3.3%	\$398,246	16.4%
<b>TOTAL</b>	<b>\$6,130,449</b>	<b>\$118,446</b>	<b>1.9%</b>	<b>\$879,269</b>	<b>14.3%</b>

**MTA ALL AGENCIES UNDERWRITER FEES**  
**April 2013-June 2013**



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

**Total Underwriter Fees = \$5,550,220 or 100%**  
**Actual MBE Participation = \$1,245,368 or 22%**  
**Actual WBE Participation = \$170,328 or 3%**



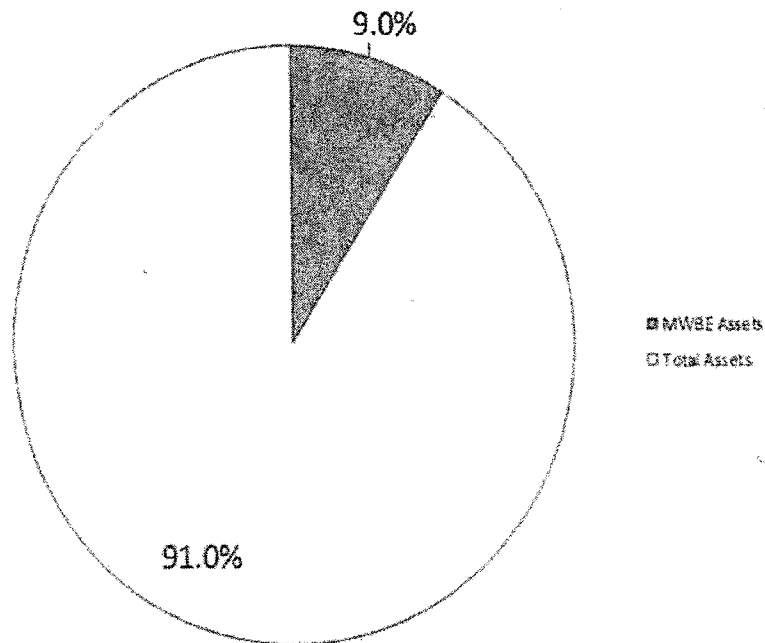
**Metropolitan Transportation Authority**

---

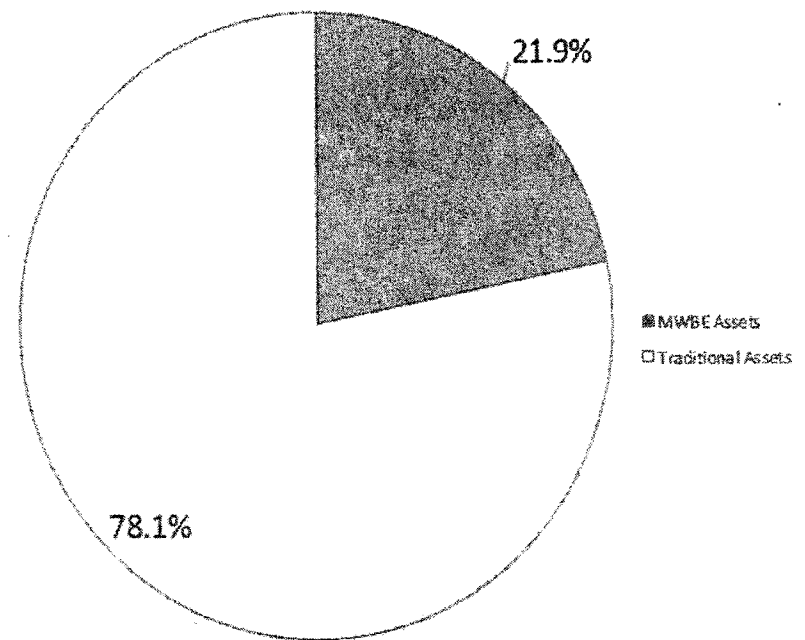
# **MTA ASSET FUND MANAGERS**

**September 16, 2013**

Asset Fund Managers  
MTA MaBSTOA Pension Plan  
As of 6/30/13



Total Assets = \$1,870,068,271  
Actual MWBE Participation = \$172,908,564

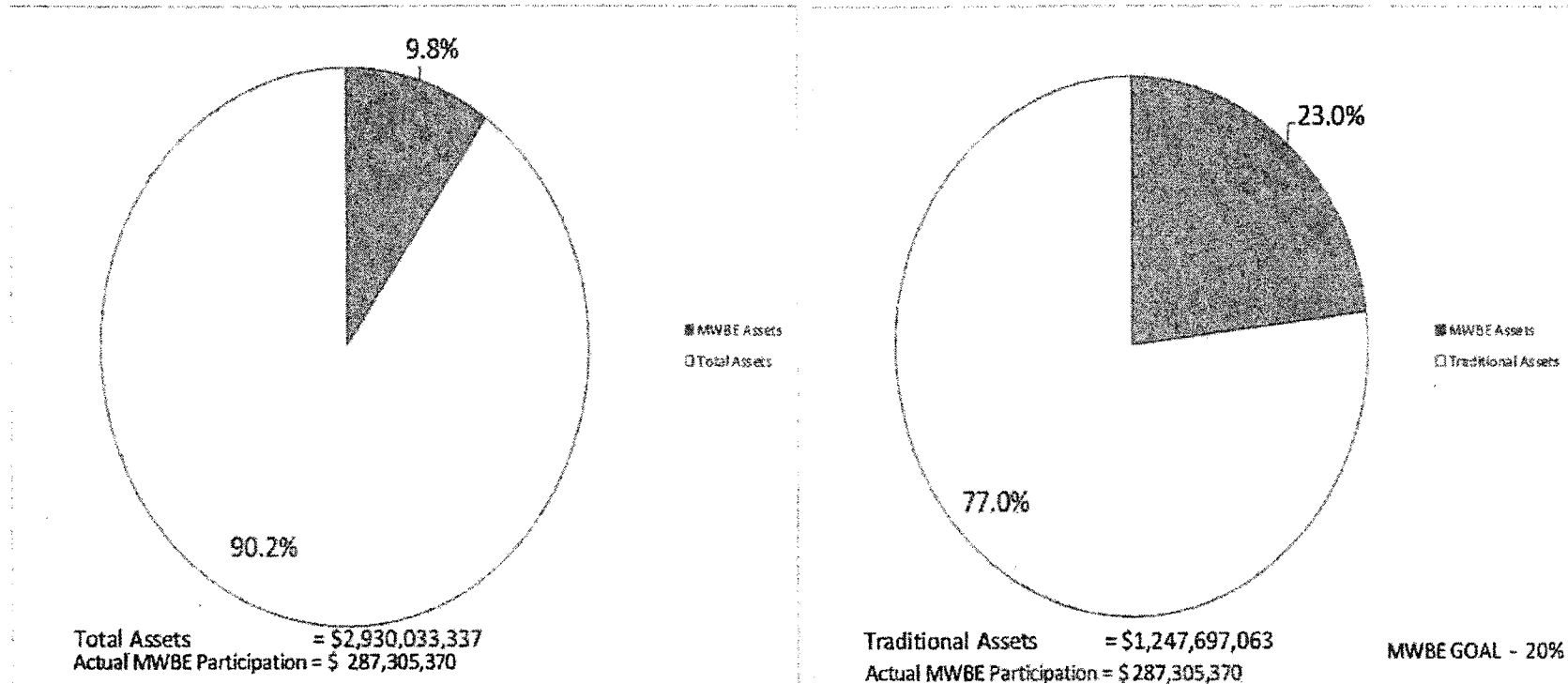


Traditional Assets = \$789,725,524  
Actual MWBE Participation = \$172,908,564

MWBE GOAL - 20%



Asset Fund Managers  
MTA Defined Benefit Pension Plan  
Including LIRR Additional Plan  
As of 6/30/13



**MTA CAPITAL PROJECTS  
M/W/DBE AWARDS  
JANUARY- JUNE 2013**

**September 16, 2013**

**MWDBE AWARDS ON MTA CAPITAL PROJECTS with GOALS**  
**January 2013 – June 2013**  
**ALL PROJECTS**

FEDERALLY FUNDED	FIRST QUARTER (JANUARY-MARCH) (in millions)			SECOND QUARTER (APRIL-JUNE) (in millions)			2013 TOTALS (JANUARY-JUNE 2013) <sup>1</sup> (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 (%)
Construction	\$ 352.0	\$ 59.5	17%	\$ 404.5	\$ 63.7	16%	\$ 756.4	\$ 123.3	16%
Professional Services				\$ 2.6	\$ 0.5	18%	\$ 2.6	\$ 0.5	18%
Other							\$ -	\$ -	
<b>TOTAL</b>	<b>\$ 352.0</b>	<b>\$ 59.5</b>	<b>17%</b>	<b>\$ 407.1</b>	<b>\$ 64.2</b>	<b>16%</b>	<b>\$ 759.1</b>	<b>\$ 123.7</b>	<b>16%</b>
<b>Additional MWBE Participation:</b>	<b>Total Awards</b>	<b>Total MWBE Awards</b>		<b>Total Awards</b>	<b>Total MWBE Awards</b>		<b>Total Awards</b>	<b>Total MWBE Awards</b>	
Construction	\$ 352.0	\$ 55.4		\$ 404.5	\$ 54.2		\$ 756.4	\$ 109.6	
Professional Services	\$ -	\$ -		\$ 2.6	\$ 0.5		\$ 2.6	\$ 0.5	
Other	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
<b>Total</b>	<b>\$ 352.0</b>	<b>\$ 55.4</b>		<b>\$ 407.1</b>	<b>\$ 54.7</b>		<b>\$ 759.1</b>	<b>\$ 110.1</b>	

STATE FUNDED	FIRST QUARTER (JANUARY-MARCH) (in millions)			SECOND QUARTER (APRIL-JUNE) (in millions)			2013 TOTALS (JANUARY-JUNE 2013) (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 (%)
Construction	\$ 98.8	\$ 23.3	23.6%	\$ 21.4	\$ 2.5	11.8%	\$ 120.1	\$ 25.8	21.5%
Professional Services	\$ 12.5	\$ 1.4	11.5%	\$ 28.7	\$ 3.0	10.3%	\$ 41.1	\$ 4.4	10.7%
Other							\$ -	\$ -	
MBE Participation on FTA-funded projects							\$ -	\$ -	
<b>TOTAL</b>	<b>\$ 111.2</b>	<b>\$ 24.7</b>	<b>22%</b>	<b>\$ 50.0</b>	<b>\$ 5.5</b>	<b>11%</b>	<b>\$ 161.3</b>	<b>\$ 30.2</b>	<b>19%</b>
<b>WBE Participation Goal: 10%</b>	<b>Total Awards</b>	<b>Total WBE Awards</b>	<b>WBE Participation (%)</b>	<b>Total Awards</b>	<b>Total WBE Awards</b>	<b>WBE Participation (%)</b>	<b>Total Awards</b>	<b>Total WBE Awards</b>	<b>WBE Participation (%)</b>
Construction	\$ 98.8	\$ 10.6	10.8%	\$ 21.4	\$ 2.4	11.4%	\$ 120.1	\$ 13.0	10.9%
Professional Services	\$ 12.5	\$ 1.5	12.2%	\$ 28.7	\$ 3.6	12.7%	\$ 41.1	\$ 5.2	12.6%
Other	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
WBE Participation on FTA-funded projects	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
<b>TOTAL</b>	<b>\$ 111.2</b>	<b>\$ 12.1</b>	<b>11%</b>	<b>\$ 50.0</b>	<b>\$ 6.1</b>	<b>12%</b>	<b>\$ 161.3</b>	<b>\$ 18.2</b>	<b>11%</b>
<b>Additional DBE Participation:</b>	<b>Total Awards</b>	<b>Total DBE Awards</b>		<b>Total Awards</b>	<b>Total DBE Awards</b>		<b>Total Awards</b>	<b>Total DBE Awards</b>	
Construction	\$ 98.8	\$ 14.7		\$ 21.4	\$ 2.2		\$ 120.1	\$ 18.9	
Professional Services	\$ 12.5	\$ 2.0		\$ 28.7	\$ 4.5		\$ 41.1	\$ 6.5	
Other	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
<b>Additional DBE Participation Total</b>	<b>\$ 111.2</b>	<b>\$ 16.7</b>		<b>\$ 50.0</b>	<b>\$ 6.7</b>		<b>\$ 161.3</b>	<b>\$ 23.4</b>	

<sup>1</sup> During the first two quarters, 98 NYS certified MWBEs participated as subcontractors in total award amounts of \$110 million, on 16 federally funded projects. New York State allows the MTA to claim credit for the participation of MWBEs on federally funded projects.