



Metropolitan Transportation Authority

Diversity Committee Meeting

March 2014

Committee Members

J. Molloy, Chairman

S. Metzger

J. Banks III

R. Bickford

D. Paterson

F. Ferrer



MEETING AGENDA

MTA DIVERSITY COMMITTEE

March 26, 2014 – 8:30 a.m.

347 Madison Avenue
Fifth Floor Board Room
New York, NY

AGENDA ITEMS

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MTA DIVERSITY COMMITTEE

Meeting Minutes

347 Madison Avenue, Fifth Floor Board Room

New York, NY 10017

Tuesday, November 12, 2013

2:45 p.m.

The following Committee members were present:

Hon. Fernando Ferrer, Chairman

Hon. Susan G. Metzger

Hon. John Molloy

Hon. Robert Bickford

The following Committee members were absent:

Hon. Davis Paterson

Hon. John Banks III

The following were also present:

Carmen Bianco, President, MTA New York City ("NYC") Transit

Darryl Irick, President, MTA Bus Company

James Ferrara, President, MTA Bridges and Tunnels ("B&T")

Michael Horodniceanu, President, MTA Capital Construction ("CC")

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

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

Jessie Crawford, Deputy Director, MTA Human Resources Department

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

Leon Goodman, Assistant Director, EEO, Title VI and MWDBE Outreach, DDCR

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

Joel Andrews, Chief Officer, Office of EEO, NYC Transit

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

Dawn Pinnock, Vice President, Human Resources, MTA NYC Transit
Michael Fyffe, Director, Diversity Management, LIRR
Robert Rodriguez, Director, Office of Diversity and Equal Opportunity, MNR
Roberto Aguirre, Sr., Assistant Director, Office of Diversity and Equal Opportunity, MNR
Eric Perry, Deputy EEO Officer, B&T
Anthony Gardner, Deputy Director, Operations Procurement, Procurement and Material Management, MNR
Deborah Buckley, Assistant Director, Procurement Policy, Procurement and Material Management, MNR
Christine Norman, Manager, M/W/DBE Procurement Compliance, MNR
David Cannon, Director, Procurement and Risk Management, CC
Sheldon Dixon, Director, Human Resources, CC
George Llanos, Manager, Business and Diversity Initiatives, DDCR

1. Public Speakers:

There were no public speakers.

2. Minutes

Upon a motion duly made and seconded, the Committee unanimously approved the minutes of the meeting held on September 16, 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 noted two substantive changes, namely that the Committee will meet in May 2014 in order to approve MTA's Title VI Program, which will be submitted to the Federal Transit Administration ("FTA") by June 1, 2014. The Committee will also meet in July 2014 in order to approve MTA's three-year goal for DBE participation, which will be submitted to the FTA by August 1, 2014.

4. Outreach Events/Diversity Programs

Ms. Chape reported on outreach initiatives for the fourth quarter of 2013. The Business and Diversity Initiatives Unit attended a number of events during October and November 2013. These events included the Third Annual New York State MWBE Forum, held in October in Albany, NY -- the largest business opportunities forum for small businesses, including MWBEs. MTA agency-wide procurement staff participated in panel discussions and highlighted top MTA projects.

Ms. Chape also reported on the New York City Hispanic Chamber of Commerce Trade Mission to Puerto Rico in November 2013; up to 300 firms participated. Mr. Garner spoke at the Economic Development Joint Business Venture Workshop at this event, which explored initiatives to create new business opportunities. DDCR continued to hold monthly DBE Certification Sessions. DDCR also participated in the Harlem

Business Alliance's 33rd Annual Awards Celebration and the Somos El Futuro Conference. Upcoming events include the MTA-Carver Bank Reception for small businesses, including MWBEs, and a New Firm Orientation Session. In December 2013, DDCR will participate in the New York and New Jersey Minority Supplier Development Council Partnership Awards Gala. Ms. Chape also introduced Mr. Llanos as the newest staff member to join DDCR's Business and Diversity Initiatives Unit.

Ms. Moore reported that in October 2013, MNR celebrated Hispanic Heritage Month and held a Civil Rights Movement Brown Bag Lunch in celebration of Diversity Awareness Month. MNR also celebrated Veterans Day in November 2013. Additionally, MTA Headquarters' International Dessert Day will be held in December 2013.

Certification Activity Report

Ms. Greene reported on the certification activity for third quarter 2013. Ten certification applications were received in each month. For the same period in 2012, the number of new applications received was 40 and for 2011, the number received was 27. A total of 41 applications were processed during third quarter 2013. Certification activity for this period was as follows: 24 certified, 7 denied certification, 6 applications returned for failure to cooperate and 4 withdrawn. For the same period in 2012, 43 applications were processed; for third quarter 2011, 34 were processed. Ms. Greene stated that formerly DBEs were re-certified every three years. The regulation has subsequently changed. Now firms remain certified until their certification is removed. There are two reasons for de-certification: the firm no longer meets the qualifications or it does not cooperate. Ms. Greene said that firms are required to file an annual submission on their certification anniversary date. In third quarter 2013, 93 firms continued to be certified, 10 proposals to remove certification were issued, and five firms were removed from certification. For the same period in 2012, the total number of annual submissions was 36; for third quarter 2011, the number was 46. Ms. Greene added that DDCR's processing of a DBE firm's annual submission depends on the firms' timely submission of their applications. Therefore, given the work involved in certifying firms initially, the Certification Unit works diligently to get the requisite information from the firms. Many staff hours are required to certify a firm and removing a firm's certification because of a delay in submitting documentation is not productive.

EEO and Title VI Update

Ms. Moore reported that MTA-wide, 343 EEO Complaints were filed by the end of September 2013, citing 487 separate allegations. Of these complaints, 191 were filed with external agencies and 152 were filed internally. Of the external complaints, disability discrimination (23%), race/color discrimination (24%), and other or miscellaneous discrimination (21%) were most frequently alleged. Of the internal complaints, sexual harassment (22%), race/color discrimination (23%), and other or miscellaneous discrimination (25%) were most frequently alleged.

Ms. Moore also reported on complaint disposition as of the second quarter 2013. A total of 70 cases were closed: 40 internal and 30 external. Of the cases closed, 67 were decided in favor of MTA and its agencies. MTA and its agencies also handled a total of 48 Title VI complaints. Of these complaints, 80% cited race discrimination. With respect to complaint disposition, 16 cases were closed agency-wide, all in favor of MTA and its agencies. In addition, Ms. Moore reported on agency-wide new hires. As of September 30, there were 3,876 new hires: 21% female and 69.6% minority. Of the minority new hires, 38.6% are black and 17.4% are Hispanic. MTA Headquarters hired the highest percentage of females (52.6%), and MTA Bus hired the highest percentage of minorities (81.9%).

Ms. Moore reported that MTA and its agencies are also completing the Census Project for 2010. The outside consultants have already uploaded all of the Census data and we are currently mapping out the geographic recruitment areas. Expectations are that we will be on track within the next two months.

Ms. Metzger asked whether DDCR is working with the MTA agencies to define the recruitment areas. Ms. Moore responded, yes. Comparisons are being made against previous recruitment areas that were utilized in the 2000 Census as well as current areas. There are still a few agencies whose submissions are pending before the information is forwarded to outside consultants.

Small Business Mentoring Program (“SBMP”)

Mr. Cleary provided an update on the SBMP. Since the commencement of the program in November 2010, 92 contracts have been awarded, totaling \$53.1 million. Of these contracts, 70 were awarded to 52 MWBEs totaling over \$42.5 million. A total of 21 firms were awarded two or more contracts each. Of these 52 MWBE firms, 16 are also certified DBEs.

A total of 141 firms have been pre-qualified and 35 firms are pending pre-qualification. A total of 20 loans have been approved totaling \$1.9 million. Participating firms can now apply for small business loans totaling up to \$150,000 per contract, or 30% of the contract value.

Small Business Federal Program (“SBFP”)

Mr. Cleary provided an update on the SBFP. Since program inception in March 2013, eight projects totaling \$11.8 million have been awarded. A total of 20 firms have been prequalified and 24 are pending prequalification. Firms can apply for loans for 30% of contract value, up to \$900,000 per contract. Through the recently finalized Surety Bond Assistance Program, firms are also eligible for surety bonding assistance up to \$3 million.

Mr. Garner stated that with respect to the Loan Program, the Governor’s Office has joined forces with MTA and it is guaranteeing our loans through the Federal Program. He added that MWDBEs can apply for loans up to \$900,000 per single contract.

M/W/DBE Contract Compliance

Ms. Harleston reported on federal and state contract awards for Federal Fiscal Year (“FFY”) 2013. MTA achieved an overall 13% DBE participation, which is slightly below the MTA’s overall DBE goal of 17%. During October 2012 – September 2013 over \$1.5 billion was awarded as federally-funded portion of the contracts, with \$206 million (13%) being awarded to DBEs. Approximately \$1.2 billion was paid to prime contractors with payments to certified DBEs totaling \$138 million (12%).

A review of the DBE awards from FFY 2009 to FFY 2013, reveals that the MTA achieved the highest percentage of DBE awards in FFY 2013. This was due in part to implementation of the MTA Federal Mentoring Program, starting in March 2013. During FFY 2013, payments to DBEs (12%) were slightly below the percentage achieved in prior years. This decrease was the result of DDCR’s changing its methodology to reflect the actual payments made to DBEs.

For New York State funded contracts, from April 2013 to September 2013, approximately \$312 million was awarded with over \$77 million (25%) being awarded to MWBEs. Payments to prime contractors for this period totaled \$635 million with approximately \$150 million (24%) being paid to MWBEs. MTA continued

to exceed its overall MWBE participation goal of 20%. Review of MWBE payments continues to show an increase in payment amounts to MWBEs over previous years.

Ms. Harleston also reported on discretionary procurement awards. For the period April 2013 through September 2013, MTA and its agencies awarded approximately \$155 million. MWBE discretionary awards totaled approximately \$7 million (5%) of all MTA purchases.

Mr. Garner reported on financial and legal services for the period April 2013 through September 2013. A total of 17% was awarded to MWBE law firms. A new Request for Proposal ("RFP") will soon be issued, allowing MTA to establish a new pool of certified MWBE law firms which will increase participation in this area. Last year, of the \$25 million paid in legal fees, only \$470,000 was paid to MWBEs. Mr. Garner said MTA must and will do a better job in this area. Mr. Garner reported that with respect to underwriter fees, during the same period, 25% was awarded to MWBEs. Mr. Garner commended the Finance Department for its efforts in ensuring MWBE participation in this area. With respect to the MaBSTOA Pension Plan, MWBE participation is approximately 35% and in the MTA Defined Benefit Pension Plan, MWBE participation is 24.2% within the traditional asset funds. Mr. Garner said after the issuance of RFP for law firms, MTA's focus should be on getting a broader and diverse pool of asset fund managers.

Ms. Harleston reported on MWDBE participation on MTA's Capital Projects. For the period January 2013 to September 2013, DBE participation in federally funded contracts is 16%. The MWBE participation is 29%: 17% MBE and 12% WBE.

Mr. Garner stated that we must continue to work with the operating agencies to improve agency-wide MWDBE participation. One goal is to implement a mentoring program in Paratransit to create opportunities for MWBEs. In spring 2014, MTA will unveil a program in this area. A follow-up meeting will be scheduled with the large four firms that specialize in signal track work. We are working toward establishing a Signal Track Work Mentoring Program. There will be approximately \$2 billion available in MTA's new Five Year Capital Plan. We need a program which will allow us to create a large, diverse pool of MWDBE firms that specialize in this area.

Diversity Committee Charter Review

Mr. Din stated that each year the committee reviews its Charter. He said there were no changes to the Charter.

Presidents' Report on Recruitment Strategic Plans

Mr. Garner stated that the agency Presidents' reports provide a barometer of agency-wide hiring and strategies for improvement. Mr. Garner added that the pending update of the Census data might show a greater underutilization of minorities in the agency-wide workforce.

Mr. Bianco reaffirmed his commitment to diversity. He said 73% of NYC Transit's workforce is comprised of minorities, as are 67% of its operating supervisors and approximately half of the managers. Hispanics are underrepresented in the administration, clerical, crafts and service maintenance categories.

Females comprise 17% of the total workforce, 14% of operating supervisors and 56% of managers. Females continue to be underrepresented throughout NYC Transit, especially in the managerial, supervisory and skilled craft categories. Workforce diversity strategies have been implemented to address underrepresentation. NYCT is reaching out to local area high schools and veterans organizations. Mr. Bianco reported that NYC Transit's new hires as of September 30, 2013 included 567 females and 472 Hispanics.

Mr. Irick shared Mr. Bianco's commitment to diversity. He said minorities comprise 43% of MTA Bus's workforce, 43% of operating supervisors and 45% of managers. There were 260 new hires as of September 30, 2013. Of the new hires, 12% are female, 46% are black, 27% are Hispanic, and 7% are Asian. Females comprise 12% of the workforce, 4% of the operations supervisors and 20% of managers. Females continue to be underrepresented in officials and managers, administrators, protective service, administrative support and skilled craft categories. Hispanics are underrepresented in protective service, administrative support, skilled craft and service maintenance categories. Mr. Irick referred the Committee to the efforts undertaken for improvement in these areas listed in the Committee book.

Chairman Ferrer stated that the Presidents' reports are good and illuminating. However, he noted progress has been slow in some areas. He said we need to focus on strategies for improving underutilization of women and minorities and examine how attrition may affect underutilization.

Mr. Ferrara also reaffirmed his commitment to diversity. Mr. Garner asked Mr. Ferrara to provide an overview of the B&T Management Associates Program. Mr. Ferrara said it is obvious that attrition is a big part of the agency. There are career-oriented, long-term employees at B&T. The Management Associates Program offers participants a great opportunity to learn from the ground up, and provides them with knowledge, skills and opportunities at the engineering and operations levels. Part of the Program's success is that participants will move to other agencies and take on greater responsibilities. B&T's strategies to address underrepresentation include holding position-specific job fairs. Rebuilding projects in the aftermath of Hurricane Sandy provided opportunities to increase B&T's Engineering Department staff by conducting targeted outreach to address underrepresentation. Of the 39 employees hired, 29 are minorities and 13 are females. The combination of the Management Associates Program and holding targeted job fairs has resulted in progress in addressing underrepresentation.

On the civil service side, the maintainers area is underrepresented due to lack of experienced applicants. B&T's EEO Office is implementing strategies in this area such as internal promotions from represented staff.

Ms. Metzger added there has been vigor and focus on MWDBE contract awards; the same focus needs to be placed on hiring and addressing underutilization. Mr. Garner said DDCR is currently looking at the title of conductor. Although the position is functionally different at the LIRR and MNR from NYC Transit, this is an area where we need to do a more effective job in hiring. Mr. Garner said a follow-up meeting will be held and we will look at establishing best hiring practices in this area, in order to do increase minority and female representation.

Dr. Horodniceanu stated that MTA CC has a smaller workforce but is continuously striving to make sure that females and minorities are represented. He said 51% of workforce is minority and 36% is female. However, blacks and Hispanics are underutilized in the officials and managers category. MTA CC is working to improve representation in these areas. In the administrative support job category Asians and Others are underutilized.

MTA CC has conducted targeted recruitment and outreach efforts to ensure a diverse applicant pool. Additionally, vacancies have been advertised in a diverse manner with the Society of Hispanic Engineers, Professional Women in Construction, American Bar Association, *Amsterdam News*, and through LinkedIn and other social media. MTA CC also uses the Quick Response ("QR") Code posters at outreach events. The QR Code posters were introduced by DDCR at the recent Asian MBA Job Fair. The QR Code provides attendees with immediate access to vacancies posted on the MTA website. Interested applicants can scan job postings into their smartphones. Mr. Horodniceanu indicated that many positions require prior experience and certain expertise which limit MTA CC's ability to hire recent graduates. He said MTA should

concentrate on hiring paid summer interns. Interns can gain experience and can be groomed for future employment with the MTA.

Ms. Williams also reaffirmed her commitment to diversity. LIRR's Office of Diversity Management under the direction of Mr. Fyffe is responsible for its EEO Program and progress towards EEO goals. Mr. Fyffe works with Human Resources to ensure that candidate pools are diverse and to get concurrence that new hires and promotions are helping to achieve EEO goals. Notwithstanding very aggressive new hire goals, LIRR is facing tremendous attrition. Momentum was lost from 2009 through 2011 when there was a hiring freeze. LIRR is now trying to catch up.

LIRR's Project Management Trainee Program focuses on project coordination needs. The Junior Engineer Program is an entry-level training program for recently graduated engineers. Participants help to manage field assets. More females have applied to the Project Management Trainee Program than the Junior Engineer Program. LIRR has hired 54 paid summer interns, of which 57% are minorities and 42% are females. Female interns have been placed in Track, Power and Signal Departments. LIRR's outreach efforts includes college postings, on campus recruitment, attendance at job fairs, partnering with engineering departments at various colleges, reaching out to veterans, Department of Labor, Non-Traditional Employment for Women ("NEW") and other community-based organizations. Ms. Williams said students can enroll in the Summer Internship Program, which is a good way to expose students to LIRR.

Mr. Garner stated that the Architecture, Construction and Engineering ("ACE") Mentoring Program offers college scholarships to minority and female students. ACE has an engineering track which could be used to source and recruit female engineers.

Mr. Permut also reaffirmed his commitment to diversity. He said Mr. Rodriguez helps develop initiatives that focus on diversity in hiring. He referred the Committee to the presentation by MNR in the Committee book. MNR has had a long-term Associate Engineer Program in the Track, Power and Signal Departments. The Program has had mixed success; enrollees often move on to higher paying jobs in private industry. MNR's paid internship program has been successful and a good way to bring new talent. MNR conducts outreach initiatives including job fairs and the Electrician Training Program at Gateway Community College in Connecticut. MNR helped to develop the curriculum and some MNR staff members teach there during their free time. It is a way to bring electricians into MNR's workforce. Mentoring, Management 101 and Diversity Awareness Programs are other programs which offer MNR employees skills and promotional opportunities.

Ms. Crawford provided an overview of efforts to improve underutilization at MTA Headquarters ("MTAHQ"). While goals are being met in most categories, blacks are underutilized in the technicians category. More specifically, blacks are underutilized in the sergeant and lieutenant categories in the MTA Police Department ("MTAPD"). Through extensive outreach, MTA has strived to create a diverse pool of Police Officers ("POs"). Promotions to sergeant and lieutenant are based on examinations from the diverse pool of POs. Asians are also underutilized in the administrative support category. MTAHQ has conducted targeted outreach, including attending job fairs and sending job vacancy notices to the New York State Department of Labor.

Ms. Metzger added that while employment goals are being met, progress is still needed in other areas. The hiring and promotion of females and Hispanics is still an issue. Ensuring that minority groups have opportunities to grow remains a concern. The agency mentoring and management programs have worked to some extent. With the aid of updated Census data, we will need to look at new goals and come up with new

ideas. She added that while MTA is more diverse than many private businesses, we need to continue to increase diversity.

Dr. Horodniceanu added that the ability to move employees across the MTA family will provide them with greater exposure and necessary skills for future promotions. He recognized there are barriers to such inter-agency movement, *i.e.*, pension plans. Ms. Metzger added that we should address such barriers because we want to provide employees with a whole range of opportunities.

Mr. Bianco added that we should offer employees the skills needed to gain promotions. This is particularly important since 40% of NYC Transit management is eligible for retirement in 2015.

Mr. Garner suggested expansion of B&T's Management Associates Program to an agency-wide level.

Chairman Ferrer added that he is not sure we will see a breakdown of barriers, such as the pension system. He said job opportunities should be better advertised through the MTA website.

Chairman Ferrer expressed his appreciation to the agency Presidents for their participation. He said at the next meeting with the agency Presidents, the Committee will have a better sense of how we can move to address workforce underutilization. Ms. Metzger added her appreciation for the agency management programs. She suggested the creation of a mentoring program for employees like the SBMP.

Ms. Metzger and Chairman Ferrer said that the Committee report should include data on MTAHQ workforce, including data on the MTAPD.

Adjournment

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

Respectfully submitted,

Leon T. Goodman
Department of Diversity and Civil Rights

2014 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, Business and Diversity Initiatives and EEO Programs Activities	Dept. of Diversity/Civil Rights
MTA DBE Certification Program Activities	Dept. of Diversity/Civil Rights
M/W/DBE 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 2014

Recommitment to EEO Policy Statements	Dept. of Diversity/Civil Rights
2014 Departmental Goals	
2013 Year-End Report on EEO	

May 2014

1st Quarter 2014 Report	Dept. of Diversity/Civil Rights
Approval of MTA's Title VI Program	Committee Chairs & Members

July 2014

2013 Mid-Year Report on EEO	Dept. of Diversity/Civil Rights
EEO Program Update	
Approval of MTA's Overall DBE Goal for Federal Fiscal Years ("FFYs") 2015-2017	Committee Chair & Members

November 2014

3 rd Quarter 2014 Report	Dept. of Diversity/Civil Rights
Status Report on MTA Inter-Agency M/W/DBE Task Force	
Diversity Committee Charter Review	Committee Chair & Members
2015 Diversity Committee Work Plan	Dept. of Diversity & Civil Rights

2014 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 Business and Diversity Initiatives Program Activities

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

M/W/DBE Contract Compliance Activities

MTA Department of Diversity and Civil Rights update of M/W/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 2014

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 2014 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.

2013 Year-End Report on EEO

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

May 2014

1st Quarter 2014 Report

The Department of Diversity and Civil Rights will present an update on Business and Diversity Initiatives 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's Title VI Program

The Department of Diversity and Civil Rights will present MTA's Title VI Program for approval of the Diversity Committee.

EEO Program Update

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

July 2014

2014 Mid-Year Report on EEO

The Department of Diversity and Civil Rights will present an update on Business and Diversity Initiatives 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.

In addition, the Department of Diversity and Civil Rights will present MTA's overall DBE Goal for FFYs 2015-2017 for approval of the Diversity Committee.

November 2014

3rd Quarter 2014 Report

The Department of Diversity and Civil Rights will present an update on Business and Diversity Initiatives 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

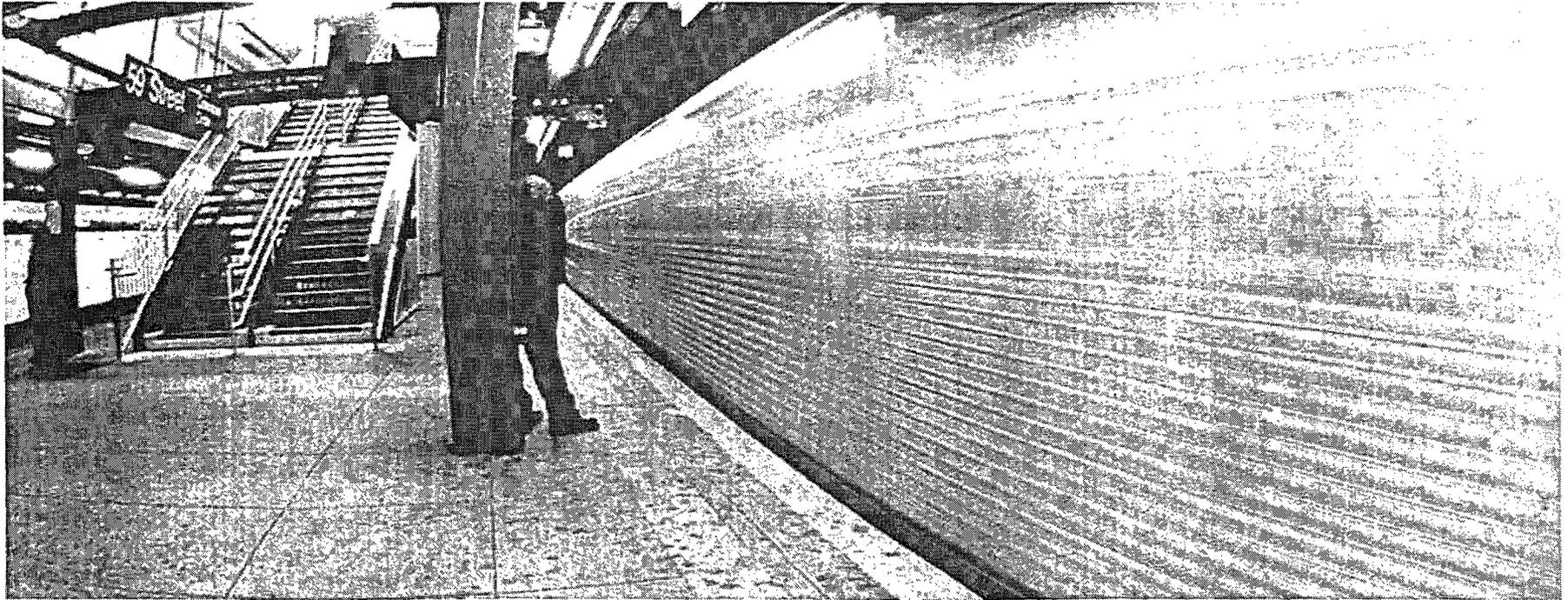
The Diversity Committee will review and assess the adequacy of its charter and recommend changes as necessary.

2015 Diversity Committee Work Plan

The Department of Diversity and Civil Rights will present an updated Diversity Committee Work Plan for 2015.

MTA DIVERSITY COMMITTEE MEETING
A NEW DAY AT THE MTA

March 26, 2014
8:30 A.M.





Metropolitan Transportation Authority

MTA Department of Diversity/Civil Rights 2014 Departmental Goals Update

March 26, 2014

DEPARTMENT OF DIVERSITY 2014 DEPARTMENTAL GOAL UPDATE

GOALS	STATUS
Small Business Development Program Training – training resumed on March 13, 2014.	Ongoing.
The goal of MTA Mentor/Graduate Mentor Programs is to award \$26.65 million during the third year of the Program (July 2012 to July 2013).	\$27 million was awarded between July 2012 and July 2013. A total of \$65 million has been awarded as of December 31, 2013.
MTA Small Business Federal Mentor Program for federally funded contracts has been implemented. Goal is to award \$10 million during first year of the Program.	Since Program inception in March 2013, \$24 million has been awarded.
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 MTA's 20% M/WBE goal and 17% DBE goal.	For the first three quarters of New York State Fiscal Year 2013/2014 (April 2013 to December 2013) MWBE participation was 23%. For the first quarter of Federal Fiscal Year 2014 (October 2013 to December 2013) DBE participation was 16%.
Implement a mentoring program within Paratransit.	Currently in planning stages.
Creation of a Mentor/Protégé Program focusing on signal projects.	Ongoing.

**MTA Department of Diversity/Civil Rights
Business and Diversity Initiatives**

March 26, 2014

Business and Diversity Initiatives

January 2014

Monthly DBE Certification Workshop

MTA Legal Services Opportunity Forum

New York Women's Chamber of Commerce presents Women of Excellence Networking Event

NFL Business Connect Presents "Super Bowl XLVIII Playbook Professional Development Series"

Caribbean American Chamber of Commerce Business Power Networking Breakfast Meeting

NFL Business Connect Presents "Super Bowl XLVIII Business Leadership Forum"

February 2014

Monthly DBE Certification Workshop

Wall Street Economic Summit

AMENY Presents the 38th Annual Legislative Business Development Conference

43rd NYS Black and Puerto Rican Annual Legislative Conference

Mission Colombia NYC – NYSCHCC "How to Do Business with State Agencies"

National Minority Business Council presents the 34th Annual Awards Luncheon

NYS MWBE Roundtable Sessions – Construction Services, Financial and Professional Services Industry

March 2014

Monthly DBE Certification Workshop

DDCR presents the New Firm Orientation Session

MTA Small Business Mentoring Program Orientation Session

NYC Hispanic Chamber of Commerce Economic Development and Small Business Seminar

2014 Regional Alliance for Small Contractors Clearinghouse

Somos El Futuro 27th Annual Spring Conference

MTA Fix & Fortify – Sandy Recovery Work Opportunities Conference

MTA presents the Small Business Development Training Program

MTA Agency-Wide Diversity Programs

February 2014

MTA Headquarters Diversity Council and MTA Metro-North Railroad celebrates
African-American Heritage Month

MTA Long Island Railroad celebrates African-American Heritage Month

March 2014

MTA Long Island Railroad celebrates Women's History Month

MTA Metro-North Railroad celebrates Irish-American Heritage Month

MTA Department of Diversity/Civil Rights Certification Activity Report

March 26, 2014

CERTIFICATION APPLICATIONS RECEIVED 2010 – 2013

	2013	2012	2011	2010
January	9	5	16	4
February	9	7	11	9
March	14	12	7	8
April	10	18	9	11
May	19	14	3	7
June	5	11	15	10
July	10	22	7	8
August	10	6	11	15
September	10	12	9	10
October	21	4	6	10
November	9	11	12	8
December	11	8	8	8
TOTAL	137	130	114	108

**CERTIFICATION ACTIVITY FOR NEW APPLICATIONS
2010 - 2013**

	2013	2012	2011	2010
CERTIFIED	94	78	70	70
DENIED	8	7	12	13
RETURNED	18	30	21	29
INELIGIBLE	0	0	0	0
WITHDRAWN	12	11	9	7
TOTAL	132	126	112	119

CONTRACT AWARDS TO DBE FIRMS CERTIFIED 2010-2013

- Number of DBE firms certified from 2010-2013: **312**
- Number of DBE firms certified from 2010-2013 receiving federally funded prime/subcontracts: **30**
- Number of federally funded prime/subcontracts for DBE firms certified from 2010-2013: **49**
- Total contract amount awarded to DBE firms certified from 2010-2013 on federally funded contracts: **\$ 40,799,285**

There were also **19** firms certified as DBE firms during 2010-2013 with dual M/WBE certification that received contract awards on NYS contracts totaling **\$25,780,556**, representing **46** prime/sub-contract awards.

* **Grand Total: \$66,579,841** (FTA and NYS Contracts)

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

March 26, 2014

OVERVIEW

MTA and its Agencies have conducted an availability analysis of females and minorities. The availability analysis consists of comparing each agency's December 31, 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 December 31, 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 DECEMBER 31, 2013

Job Category	Female*			Blacks			Hispanics			Asians			AI/AN**			NHOPI***			Other			
	Est Avail	Actual %	Util Anal	Est Avail	Actual %	Util Anal	Est Avail	Actual %	Util Anal	Est Avail	Actual %	Util Anal	Est Avail	Actual %	Util Anal	Est Avail	Actual %	Util Anal	Est Avail	Actual %	Util Anal	
			Yes/No	Yes/No																		
Officials & Administrators																						
MTA HQ	36%	39%	Yes	17%	26%	Yes	2%	6%	Yes	9%	11%	Yes	0%	0%	Yes	0%	0%	Yes	1%	2%	Yes	
MTA B&T	30%	22%	No	10%	19%	Yes	4%	6%	Yes	6%	11%	Yes	0%	0%	Yes	0%	0%	Yes	1%	1%	Yes	
MTA MNR	26%	23%	No	8%	15%	Yes	6%	6%	Yes	4%	6%	Yes	0%	0%	Yes	1%	0%	No	1%	2%	Yes	
MTA URR	21%	22%	Yes	11%	10%	No	6%	7%	Yes	4%	6%	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%	12%	No	11%	5%	No	19%	26%	Yes	0%	0%	Yes	0%	0%	Yes	1%	4%	Yes	
MTA Bus	18%	10%	No	14%	28%	Yes	11%	14%	Yes	3%	8%	Yes	0%	0%	Yes	0%	0%	Yes	1%	3%	Yes	
Professionals																						
MTA HQ	39%	56%	Yes	10%	34%	Yes	9%	16%	Yes	8%	17%	Yes	0%	1%	Yes	0%	0%	Yes	2%	6%	Yes	
MTA B&T	31%	37%	Yes	10%	20%	Yes	6%	16%	Yes	10%	21%	Yes	0%	0%	Yes	0%	0%	Yes	1%	1%	Yes	
MTA MNR	45%	38%	No	8%	19%	Yes	5%	12%	Yes	4%	13%	Yes	0%	0%	Yes	0%	0%	Yes	1%	3%	Yes	
MTA URR	20%	21%	Yes	10%	12%	Yes	7%	8%	Yes	6%	15%	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%	44%	Yes	4%	22%	Yes	4%	6%	Yes	4%	45%	Yes	0%	0%	Yes	0%	0%	Yes	1%	0%	No	
MTA Bus	34%	48%	Yes	10%	27%	Yes	5%	9%	Yes	5%	17%	Yes	0%	0%	Yes	0%	0%	Yes	2%	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 DECEMBER 31, 2013

Job Category	Female*			Blacks			Hispanics			Asians			AI/AN**			NHOPI***			Other		
	Est Avail	Actual %	Util																		
			Anal Yes/No																		
Technicians																					
MTA HQ	14%	6%	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%	18%	Yes	1%	5%	Yes	0%	0%	Yes	0%	0%	Yes	1%	0%	No
MTA MNR	23%	4%	No	4%	22%	Yes	5%	4%	No	6%	9%	Yes	0%	0%	Yes	0%	0%	Yes	1%	0%	No
MTA LIRR	9%	9%	Yes	10%	19%	Yes	8%	11%	Yes	6%	8%	Yes	0%	0%	Yes	0%	0%	Yes	1%	0%	No
MTA NYCT	36%	49%	Yes	11%	50%	Yes	10%	12%	Yes	12%	13%	Yes	0%	0%	Yes	0%	0%	Yes	2%	3%	Yes
MTA CC	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
Protective Services																					
MTA HQ	11%	11%	Yes	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																		
MTA LIRR	0%	0%	Yes																		
MTA NYCT	14%	22%	Yes	35%	58%	Yes	17%	17%	Yes	4%	7%	Yes	0%	0%	Yes	0%	0%	Yes	3%	1%	No
MTA CC	0%	0%	Yes																		
MTA Bus	15%	0%	No	33%	75.0%	Yes	15%	0%	No	3%	0%	No	0%	0%	Yes	0%	0%	Yes	3%	25%	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 DECEMBER 31, 2013

Job Category	Female*			Blacks			Hispanics			Asians			AI/AN**			NHOPI***			Other		
	Est Avail	Actual %	Util Anal	Est Avail	Actual %	Util Anal	Est Avail	Actual %	Util Anal	Est Avail	Actual %	Util Anal	Est Avail	Actual %	Util Anal	Est Avail	Actual %	Util Anal	Est Avail	Actual %	Util Anal
			Yes/No																		
Para-Professionals																					
MTA HQ	0%	0%	Yes																		
MTA B&T	0%	0%	Yes																		
MTA MNR	59%	47%	No	10%	15%	Yes	7%	6%	No	3%	27%	Yes	0%	0%	Yes	0%	0%	Yes	1%	0%	No
MTA LIRR	0%	0%	Yes																		
MTA NYCT	52%	47%	No	13%	51%	Yes	10%	26%	Yes	4%	5%	Yes	0%	0%	Yes	0%	0%	Yes	2%	2%	Yes
MTA CC	0%	0%	Yes																		
MTA Bus	0%	0%	Yes																		
Administrative Support																					
MTA HQ	67%	76%	Yes	18%	47%	Yes	16%	15%	No	5%	3%	No	0%	0%	Yes	0%	0%	Yes	2%	4%	Yes
MTA B&T	61%	55%	No	18%	55%	Yes	19%	25%	Yes	4%	6%	Yes	0%	0%	Yes	0%	0%	Yes	2%	0%	No
MTA MNR	59%	44%	No	14%	33%	Yes	11%	12%	Yes	4%	3%	No	0%	1%	Yes	0%	0%	Yes	1%	3%	Yes
MTA LIRR	35%	48%	Yes	19%	27%	Yes	11%	9%	No	3%	4%	Yes	0%	0%	Yes	0%	0%	Yes	2%	3%	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%	86%	Yes	17%	29%	Yes	16%	14%	Yes	4%	14%	Yes	0%	0%	Yes	0%	0%	Yes	2%	0%	No
MTA Bus	60%	48%	No	21%	33%	Yes	19%	13%	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 DECEMBER 31, 2013

Job Category	Female*			Blacks			Hispanics			Asians			AI/AN**			NHOPi***			Other		
	Est Avail	Actual %	Util	Est Avail	Actual %	Util															
			Anal			Anal															
Yes/No	Yes/No	Yes/No	Yes/No	Yes/No	Yes/No	Yes/No	Yes/No	Yes/No	Yes/No	Yes/No	Yes/No	Yes/No	Yes/No	Yes/No	Yes/No	Yes/No	Yes/No	Yes/No	Yes/No	Yes/No	
Skilled Craft																					
MTA HQ	0%	0%	Yes	0%	0%	Yes															
MTA B&T	0%	0%	Yes	0%	0%	Yes															
MTA MNR	7%	6%	No	21%	18%	No	15%	7%	No	6%	2%	No	0%	0%	Yes	0%	0%	Yes	1%	1%	Yes
MTA LRR	8%	10%	Yes	16%	16%	Yes	11%	10%	No	3%	2%	No	0%	0%	Yes	0%	0%	Yes	2%	2%	No
MTA NYCT	13%	5%	No	25%	39%	Yes	14%	11%	No	10%	13%	Yes	0%	0%	Yes	0%	0%	Yes	2%	1%	No
MTA CC	0%	0%	Yes	0%	0%	Yes															
MTA Bus	2%	1.0%	No	21%	28%	Yes	25%	14%	No	6%	9.0%	Yes	0%	0%	Yes	0%	2%	Yes	6%	4%	No
Service Maintenance																					
MTA HQ	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 LRR	17%	20%	Yes	19%	28%	Yes	19%	14%	No	2%	2%	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%	1%	No
MTA CC	0%	0%	Yes	0%	0%	Yes															
MTA Bus	10%	13%	Yes	26%	51%	Yes	26%	21%	No	7%	5%	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 POLICE FIRST QUARTER 2014

Workforce Utilization Analysis

JOB TITLE	FEMALES				BLACKS				HISPANICS			
	Est Avail	Estimate d #	Actual #	Met Avail (Yes/No)	Est Avail	Estimate d #	Actual #	Met Avail (Yes/No)	Est Avail	Estimate d #	Actual #	Met Avail (Yes/No)
Captains	15%	2	0	No	22%	3	2	No	13%	2	1	No
Inspector	15%	1	0	No	22%	1	1	Yes	13%	1	0	No
Lieutenants	14%	3	1	No	22%	5	0	No	13%	3	2	Yes
Seargents/Detective Sgts.	11%	10	6	No	8%	7	6	No	6%	5	7	Yes
Detectives	15%	5	5	Yes	11%	4	5	Yes	11%	4	8	Yes
Police Officers	11%	59	59	Yes	12%	63	81	Yes	14%	73	89	Yes

JOB TITLE	ASIANS				AI/AN				NHŌPI			
	Est Avail	Estimate d #	Actual #	Met Avail (Yes/No)	Est Avail	Estimate d #	Actual #	Met Avail (Yes/No)	Est Avail	Estimate d #	Actual #	Met Avail (Yes/No)
Captains	2%	0	1	Yes	0%	0	0	Yes	0%	0	0	Yes
Inspector	2%	0	0	Yes	0%	0	0	Yes	0%	0	0	Yes
Lieutenants	2%	0	0	Yes	0%	0	0	Yes	0%	0	0	Yes
Seargents/Detective Sgts.	1%	1	2	Yes	0%	0	0	Yes	0%	0	0	Yes
Detectives	1%	0	1	Yes	0%	0	0	Yes	0%	0	0	Yes
Police Officers	3%	16	17	Yes	0%	0	0	Yes	0%	0	0	Yes

JOB TITLE	OTHER			
	Est Avail	Estimate d #	Actual #	Met Avail (Yes/No)
Captains	2%	0	0	Yes
Inspector	2%	0	0	Yes
Lieutenants	2%	0	2	Yes
Seargents/Detective Sgts.	1%	1	0	No
Detectives	1%	0	1	Yes
Police Officers	1%	5	6	Yes

MTA-Wide New Hires January 1, 2013 to December 31, 2013

- ❖ Between January 1, 2013 and December 31, 2013, MTA and its Agencies hired a total of 5,344 employees.
- ❖ 21 % of the total new hires are females.
- ❖ 69.8% of the total new hires are minorities.*
- ❖ Of the 69.8% of minorities hired, 39.6% are black and 17.2% are Hispanic.
- ❖ MTA HQ hired the highest percentage of females (50.8%).
- ❖ MTA Bus hired the highest percentage of minorities (82.2%).

*Females are included in each of the minority groups.

MTA-WIDE NEW HIRES

January 1, 2013 to December 31, 2013

TOTAL NEW HIRES

AGENCY: MTA-WIDE

AGENCY	New Hires*	Females**		Minorities		Non-Minorities		Blacks		Hispanics		Asians		AI/ANS		NHOPI		Other	
		#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
MTA HQ	124	63	50.8%	56	55.1%	68	44.9%	34	27.4%	17	11.4%	18	14.5%	0	0.0%	0	0.0%	9	7.3%
MTA B&T	79	26	32.9%	36	45.6%	43	54.4%	10	12.7%	11	13.9%	13	16.5%	0	0.0%	1	1.3%	1	1.3%
MTA MNR	542	99	18.3%	235	34.4%	307	65.6%	106	19.6%	73	13.5%	31	5.7%	2	0.4%	0	0.0%	23	4.2%
MTA LIRR	549	88	16.0%	229	47.5%	320	52.5%	87	15.8%	81	14.8%	32	5.8%	1	0.2%	1	0.2%	27	4.9%
MTA NYCT	3,731	799	21.0%	2,917	79.0%	814	21.0%	1,731	47.0%	659	17.0%	459	13.0%	6	0.2%	1	0.0%	61	2.0%
MTA CC	10	3	30.0%	4	40.0%	7	70.0%	0	0.0%	0	0.0%	4	40.0%	0	0.0%	0	0.0%	0	0.0%
MTA BUS	309	38	12.3%	254	82.2%	55	17.8%	148	47.9%	76	24.6%	23	7.4%	0	0.0%	1	0.3%	5	1.6%
Total:	5344	1116	20.9%	3731	69.8%	1614	30.2%	2116	39.6%	917	17.2%	580	10.9%	9	0.2%	4	0.1%	126	2.4%

* Total includes males and females in each of the protected minority groups as well as all non-minorities, both males and females.

** Total includes females in each of the protected minority groups as well as all non-minorities, both males and females.

EEO/TITLE VI COMPLAINTS

- Between January and December 2013, MTA and its Agencies handled a total of 392 EEO complaints, citing 604 separate allegations.*
- Of the 392 complaints, 205 were filed externally at city, state and federal agencies and 187 were filed internally.
- Of the 205 external complaints, disability discrimination (21%), other** types of miscellaneous discrimination (25%), and race/color discrimination (17%) were most frequently cited as the basis for the complaint.
- Of the 187 internal complaints, other types of miscellaneous discrimination (17%), sexual harassment (24%), and race/color discrimination (25%) were most frequently cited as the basis for the complaint.
- Between January and December 2013, MTA and its Agencies handled a total of 68 Title VI complaints, citing 69 separate allegations. Of these 68 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 December 31, 2013*

EEO DISCRIMINATION COMPLAINTS EXTERNAL											
AGENCY	RACE COLOR	SEXUAL HARASS.	AGE	GENDER	RELIGION	NATIONAL ORIGIN	DISABILITY	OTHER**	TOTAL ISSUES	TOTAL CASES***	STATUS OPEN
MTA	5	1	1	4	3	2	1	4	21	10	4
B&T	3	0	1	3	0	0	2	2	11	6	4
MNR	8	1	6	2	1	2	3	9	52	20	12
LIRR	1	0	1	1	1	3	0	2	9	10	4
NYCT	39	6	25	30	7	18	63	65	253	144	121
CC	0	0	0	0	0	0	0	0	0	0	0
MTA BUS	5	1	1	2	0	4	6	7	26	15	6
TOTAL	61	9	35	42	12	29	75	89	352	205	151
	17%	3%	10%	12%	3%	8%	21%	25%			

EEO DISCRIMINATION COMPLAINTS INTERNAL											
AGENCY	RACE COLOR	SEXUAL HARASS.	AGE	GENDER	RELIGION	NATIONAL ORIGIN	DISABILITY	OTHER**	TOTAL ISSUES	TOTAL CASES***	STATUS OPEN
MTA	4	4	1	4	0	1	1	2	17	12	3
B&T	0	0	0	0	0	0	1	1	2	2	0
MNR	9	6	3	7	0	5	6	9	35	31	2
LIRR	1	2	0	0	0	0	2	2	7	7	0
NYCT	42	47	12	23	6	14	9	27	180	125	104
CC	0	0	0	0	0	0	0	0	0	0	0
MTA BUS	6	1	0	2	1	0	0	1	11	10	2
TOTAL	62	60	16	36	7	20	19	42	252	187	111
	25%	24%	6%	14%	3%	8%	8%	17%			

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	20	1	1	0	22	22	5
MTA LIRR	3	0	0	0	3	3	0
MTA NYC	27	5	3	0	38	37	31
MTA CC	0	0	0	0	0	0	0
MTA BUS	3	0	3	0	6	6	3
TOTAL	53	9	7	0	69	68	39
	80%	2%	10%	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 allegations relating to two or more protected categories.

MTA-WIDE EEO/TITLE VI COMPLAINT DISPOSITION –AS OF DECEMBER 31, 2013

EEO DISCRIMINATION EXTERNAL COMPLAINTS

MTA AGENCY	REASONABLE CAUSE	NO REASONABLE CAUSE	ADMINISTRATIVE CLOSURE	WITHDRAWN	DISMISSAL	RESOLVED/ SETTLEMENT	TOTAL CASES
MTAHQ	0	0	0	0	5	1	6
B&T	0	1	1	0	0	0	2
MNR	1	5	2	0	0	0	8
LIRR	0	3	0	0	2	1	6
NYCT	0	21	0	1	0	1	23
CC	0	0	0	0	0	0	0
MTA BUS	2	2	3	1	1	0	9
						TOTAL	54

EEO DISCRIMINATION INTERNAL COMPLAINTS

MTA AGENCY	REASONABLE CAUSE	NO REASONABLE CAUSE	ADMINISTRATIVE CLOSURE	WITHDRAWN	DISMISSAL	RESOLVED/ SETTLEMENT	TOTAL CASES
MTAHQ	0	9	0	0	0	0	9
B&T	0	1	1	0	0	0	2
MNR	3	15	10	1	0	0	29
LIRR	1	6	0	0	0	0	7
NYCT	4	9	8	1	0	0	21*
CC	0	0	0	0	0	0	0
MTA BUS	3	4	1	0	0	0	8
						TOTAL	76

TITLE VI COMPLAINTS

MTA AGENCY	REASONABLE CAUSE	NO REASONABLE CAUSE	ADMINISTRATIVE CLOSURE	WITHDRAWN	DISMISSAL	RESOLVED/ SETTLEMENT	TOTAL CASES
MTAHQ	0	0	0	0	0	0	0
B&T	0	0	0	0	0	0	0
MNR	1	14	2	0	0	0	17
LIRR	0	3	0	0	0	0	3
NYCT	0	3	3	0	0	0	6
CC	0	0	0	0	0	0	0
MTA BUS	1	0	2	0	0	0	3
						TOTAL	29

*A total of 21 cases closed as of 12/31/13; however, one complainant resulted in a dual (reasonable cause/no reasonable cause) determination.

2013, 4TH QUARTER EEO REPORT

AGENCY NAME: MTA HQ

WORKFORCE UTILIZATION ANALYSIS

AS OF 12/31/13

JOB CATEGORY	FEMALES			BLACKS			HISPANICS			ASIANS			AI/AN			NHOPI			OTHER		
	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)
Officials & Administrators	36%	39%	Yes	17%	26%	Yes	2%	6%	Yes	9%	11%	Yes	0%	0%	Yes	0%	0%	Yes	1%	2%	Yes
Professionals	39%	56%	Yes	10%	34%	Yes	9%	16%	Yes	8%	17%	Yes	0%	1%	Yes	0%	0%	Yes	2%	6%	Yes
Technicians	14%	6%	No	13%	5%	No	8%	8%	Yes	1%	2%	Yes	0%	0%	Yes	0%	0%	Yes	1%	2%	Yes
Protective Services	11%	11%	Yes	11%	16%	Yes	12%	18%	Yes	1%	3%	Yes	0%	0%	Yes	0%	0%	Yes	1%	1%	Yes
Paraprofessionals	0%	0%	Yes																		
Administrative Support	67%	76%	Yes	18%	47%	Yes	16%	15%	No	5%	3%	No	0%	0%	Yes	0%	0%	Yes	2%	4%	Yes
Skilled Craft	0%	0%	Yes																		
Service Maintenance	0%	0%	Yes																		

MTA HQ has conducted an availability analysis of females and minorities in its workforce. The availability analysis consists of comparing MTA HQ December 31, 2013 workforce percentages for females and minorities to 80 percent of the females and minorities available within the relevant labor market based on the U.S. Census.

DEFINITIONS OF EEO JOB CATEGORIES:

Officials & Administrators

Occupations in which employees set broad policies, exercise overall responsibility for execution of these policies, or direct individual departments or special phases of the agency's operations, or provide specialized consultation on a regional, district or area basis.

Professionals

Occupations which require specialized and theoretical knowledge which is usually acquired through college training or through work experience and other training which provides comparable knowledge.

Technicians

Occupations which require a combination of basic scientific or technical knowledge and manual skill which can be obtained through specialized post-secondary school education or through equivalent on-the-job training.

Protective Services

Occupations in which workers are entrusted with public safety , security and protection from destructive forces.

Paraprofessionals

Occupations in which workers perform some of the duties of a professional or technician in a supportive role, which usually require less formal training and/or experience normally required for professional or technical status.

Administrative Support

Occupations in which workers are responsible for internal and external communication, recording and retrieval of data and/or information and other paperwork required in an office.

Skilled Craft

Occupations in which workers perform jobs which require special manual skill and a thorough and comprehensive knowledge of the process involved in the work which is acquired through on-the-job training and experience or through apprenticeship or other formal training programs.

Service Maintenance

Occupations in which workers perform duties which result in or contribute to the comfort, convenience, hygiene or safety of the general public or which contribute to the upkeep and care of buildings, facilities or grounds of public property.

2013, EEO REPORT

AGENCY NAME: MTA HQ

**NEW HIRES
AS OF 12/31/2013**

JOB CATEGORY	TOTAL ¹	FEMALES ²		BLACKS		HISPANICS		ASIANS		AI/AN		NHOPI		OTHER	
		#	%	#	%	#	%	#	%	#	%	#	%	#	%
Officials & Administrators	25	12	48.0%	10	40.0%	3	12.0%	2	8.0%	0	0.0%	0	0.0%	1	4.0%
Professionals	57	36	63.2%	15	26.3%	7	12.3%	15	26.3%	0	0.0%	0	0.0%	6	10.5%
Technicians	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Protective Services	29	8	27.6%	4	13.8%	5	17.2%	0	0.0%	0	0.0%	0	0.0%	1	3.4%
Paraprofessionals	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Administrative Support	13	7	53.8%	5	38.5%	2	15.4%	1	7.7%	0	0.0%	0	0.0%	1	7.7%
Skilled Craft	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Service Maintenance	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Total	124	63	50.8%	34	27.4%	17	13.7%	18	14.5%	0	0.0%	0	0.0%	9	7.3%

¹ Total includes males and females (in each of the protected racial/ethnic groups as well as including non-minorities).

² Total includes females in each of the protected racial/ethnic groups as well as including non-minorities.

2013, 4TH QUARTER EEO REPORT

AGENCY NAME: MTA HQ

EEO AND TITLE VI COMPLAINTS

AS OF 12/31/13

Category	Race	Disability	Gender	National Origin	Age	Sexual Harassment	Religion	Other ¹	Total Issues ²	Total Cases	Status (# Open)
EEO	9	2	8	3	2	5	3	6	38	22	7
External Complaints	5	1	4	2	1	1	3	4	21	10	4
Internal Complaints	4	1	4	1	1	4	0	2	17	12	3

Category	Race	National Origin	Color	Total Issues ³	Total Cases	Status (# Open)
Title VI	0	0	0	0	0	0

¹ "Other" contains all EEO categories not otherwise specifically mentioned on the chart.

² In some instances a single complaint may involve two or more EEO categories.

³ In some instances a single complaint may involve two or more EEO categories based on race, national origin, or color.

2013, 4TH QUARTER EEO REPORT

**AGENCY
NAME:** **MTA HQ**

EEO AND TITLE VI COMPLAINTS

DISPOSITION - AS OF 2013

MTA HEADQUARTERS	Decided In Favor of MTAHQ	Decided In Favor of Complainant	Administrative Closure	Withdrawn	Dismissal	Resolved/ Settlement	Total Cases
EXTERNAL EEO	0	0	0	0	5	1	6
INTERNAL EEO	9	0	0	0	0	0	9
TITLE VI	0	0	0	0	0	0	0

MTA SMALL BUSINESS MENTORING PROGRAM UPDATE

March 26, 2014

MTA Small Business Mentoring Program Update as of December 31, 2013

- **Since November 2010, when the Small Business Mentoring Program commenced, a total of 104 contracts have been awarded, totaling \$65.0 million.**
- **Eighty of these contracts were awarded to 56 New York State certified M/WBE firms,* totaling over \$49.3 million.**
- **Of these 56 M/WBE firms, 16 are also certified DBEs.**
- **127 firms have been pre-qualified.**
- **40 firms are pending pre-qualification.**
- **Twenty-four loans were approved and closed, totaling \$2,375,000. Participating firms may apply for small business loans, the maximum value of the loan shall be the lesser of \$150,000, or 30% of contract value.**

**Twenty-one firms were awarded 2 or more projects each over the past three and half program years.*

MTA SMALL BUSINESS FEDERAL PROGRAM UPDATE

March 26, 2014

MTA Small Business Federal Program Update as of December 31, 2013

- **Since Program inception in March 2013, twelve projects have been awarded, totaling \$23.7 million.**
- **21 firms are prequalified, and 24 are pending prequalification.**
- **One loan was approved and closed for \$100,000.**
- **Participating firms may apply for small business loans, the maximum value of the loan shall be the lesser of \$900,000, or 30% of contract value.**
- **A Surety Bond Assistance Program was finalized with Willis/Centaur. Participating firms are eligible for surety bond assistance up to \$3 million.**

**M/W/DBE CONTRACT COMPLIANCE
Fourth Quarter 2013 Update**

March 26, 2014

DBE Participation in Federally Funded Contracts
Federal Fiscal Year 2014*
(October 1, 2013 to December 31, 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 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 2014, MTA set an overall DBE goal of 17%.
- From October 2013 through December 2013, approximately \$184 million was awarded as the federally funded portion of contracts, with over \$29 million (16%) being awarded to certified DBEs.
- From October 2012 through December 2013, over \$376 million was paid to prime contractors, with payments to certified DBEs totaling approximately \$53 million (14%).

* 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
FEDERAL FISCAL YEAR 2014 (OCTOBER 2013 - DECEMBER 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	
1st SEMI-ANNUAL REPORT October 2013-December 2013	26	\$183,996,080	43	\$29,137,480	16%	17%
TOTAL	26	\$183,996,080	43	\$29,137,480	16%	17%

PAYMENTS

CONTRACT PAYMENTS	PAYMENTS TO PRIMES		DBE PARTICIPATION			OVERALL FTA GOAL
	Number of Contracts	Payment Amount	Number of DBE Subcontracts	DBE Payment Amount	% To Agency Total	
1st SEMI-ANNUAL REPORT October 2013 - December 2013	308	\$376,179,954	2,155	\$52,943,629	14%	17%
TOTAL	308	\$376,179,954	2,155	\$52,943,629	14%	17%

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

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%
Total 2011	\$957,751,980	\$104,063,471	11%

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%
Total 2012	\$463,638,487	\$55,743,153	12%

DBE CONTRACT AWARDS
FEDERAL FISCAL YEAR 2013
October 2012 - September 2013

	Total Awards	Total DBE Awards	DBE%
October 2012 - March 2013	\$845,238,320	\$109,007,346	13%
April 2013 - September 2013	\$699,047,960	\$97,557,356	14%
Total 2013	\$1,544,286,280	\$206,564,702	13%

DBE CONTRACT AWARDS
FEDERAL FISCAL YEAR 2014
October 2013 - December 2013

	Total Awards	Total DBE Awards	DBE%
October 2013 - December 2013	\$183,996,080	\$29,137,480	16%
Total 2014	\$183,996,080	\$29,137,480	16%

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%
Total 2011	\$1,356,089,753	\$172,975,019	13%

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%
Total 2012	\$1,464,789,993	\$190,671,222	13%

DBE CONTRACT PAYMENTS
FEDERAL FISCAL YEAR 2013
October 2012 - September 2013

	Total Prime Payments	Total DBE Payments	DBE%
October 2012 - March 2013	\$586,192,865	\$62,515,499	11%
April 2013 - September 2013	\$573,253,404	\$75,451,916	13%
Total 2013	\$1,159,446,269	\$137,967,415	12%

DBE CONTRACT PAYMENTS
FEDERAL FISCAL YEAR 2014
October 2013 - December 2013

	Total Prime Payments	Total DBE Payments	DBE%
October 2013-December 2013	\$376,179,954	\$52,943,629	14%
Total 2013	\$376,179,954	\$52,943,629	14%

**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 15th, April 15th, July 15th, and October 15th.
- 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 December 2013, over \$552 million was awarded in NY State funded contracts, with over \$134 million (24%) awarded to certified MWBEs.
- From April 2013 to December 2013, over \$955 million was paid on prime contracts with approximately \$224 million (23%) paid to MWBEs.

*The State Fiscal Year runs from April 1st through March 31st.

NYS CONTRACTS¹
MWBE CONTRACT ACTIVITY
APRIL 2013 - DECEMBER 2013
AWARDS

CONTRACT AWARDS	PRIME AWARDS		MWBE AWARDS			NYS Goal
	Number of Contracts	Award Amount	Number of Subcontracts	MWBE Award Amount	MWBE %	
FIRST QUARTER APRIL 2013-JUNE 2013	740	\$116,955,585	778	\$41,507,410	35%	20%
SECOND QUARTER JULY 2013-SEPTEMBER 2013	99	\$195,012,501	153	\$35,562,098	18%	20%
THIRD QUARTER OCTOBER 2013-DECEMBER 2013	128	\$240,110,260	206	\$57,368,815	24%	20%
TOTAL	967	\$52,078,346	1,137	\$134,438,323	24%	20%

PAYMENTS

CONTRACT PAYMENTS	PAYMENTS TO PRIMES		MWBE PARTICIPATION			NYS Goal
	Number of Contracts	Payment Amount	Number MWBE Contracts	MWBE Payment Amount*	MWBE %	
FIRST QUARTER APRIL 2013-JUNE 2013	1,300	\$341,714,029	1,942	\$73,665,416	22%	20%
SECOND QUARTER JULY 2013-SEPTEMBER 2013	1,651	\$292,881,195	2,078	\$75,970,936	26%	20%
THIRD QUARTER OCTOBER 2013-DECEMBER 2013	1,435	\$320,491,973	1,894	\$74,313,852	23%	20%
TOTAL	4,386	\$955,087,195	5,914	\$223,950,204	23%	20%

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

FY 2010- 2014 MWBE AWARDS

FY 2010 - 2011 MWBE AWARDS

April 2010 - March 2011

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

FY 2011 - 2012 MWBE AWARDS

April 2011 - March 2012

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

FY 2012 - 2013 MWBE AWARDS

April 2012 - March 2013

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

FY 2013 - 2014 MWBE AWARDS

April 2013 - December 2013

	AGENCY	AGENCY PRIME AWARDS	MBE AWARDS	MBE%	WBE AWARDS	WBE %	Total MWBE	Total MWBE %
QTR. 1	MTA	\$116,955,584.95	\$23,349,641.43	20%	\$18,157,768.33	16%	\$41,507,409.76	35%
QTR. 2	MTA	\$195,012,501.00	\$20,680,851.21	11%	\$14,881,246.39	8%	\$35,562,097.60	18%
QTR. 3	MTA	\$240,110,260.25	\$31,353,894.35	13%	\$26,014,920.27	11%	\$57,368,814.62	24%
TOTALS		\$552,078,346.20	\$75,384,386.99	14%	\$59,053,934.99	11%	\$134,438,321.98	24%

FY 2010 - 2011 MWBE PAYMENTS

April 2010 - March 2011

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

FY 2011 - 2012 MWBE PAYMENTS

April 2011 - March 2012

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

FY 2012 - 2013 MWBE PAYMENTS

April 2012 - March 2013

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

FY 2013 - 2014 MWBE PAYMENTS

April 2013 - December 2013

	AGENCY	AGENCY EXPENDITURE	MBE Utilization	MBE%	WBE Utilization	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	MTA	\$341,714,029.48	\$40,020,062.27	12%	\$33,645,353.40	10%	\$73,665,415.67	22%
QTR. 2	MTA	\$292,881,192.58	\$41,026,933.68	14%	\$34,944,002.41	12%	\$75,970,936.09	26%
QTR. 3	MTA	\$320,491,973.00	\$39,377,640.00	12%	\$34,936,213.00	11%	\$74,313,852.00	23%
TOTALS		\$955,087,195.06	\$120,424,635.95	13%	\$103,525,568.81	11%	\$223,950,203.76	23%

**MTA ALL AGENCY
DISCRETIONARY PROCUREMENT REPORT***

April 2013 - December 2013

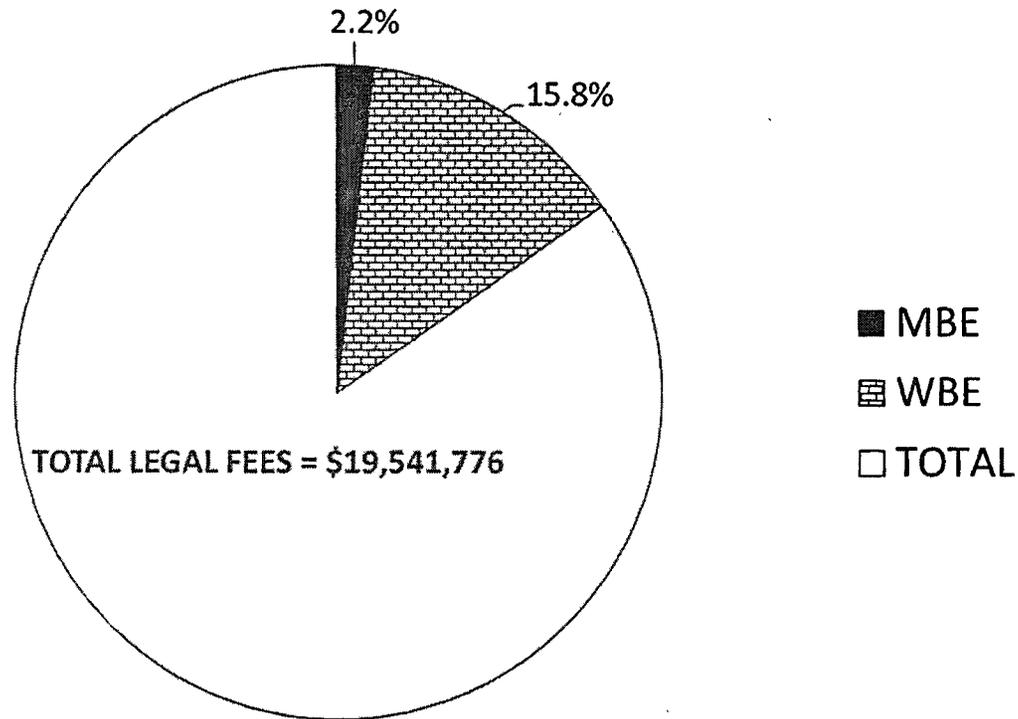
Agency	Total Award Amount	Total MWBE Awards	MWBE %	MWBE Discretionary Awards	Discretionary MWBE%
MTA NYCTA	\$132,898,296	\$11,599,345	9%	\$5,712,771	4%
MTA MNR	\$33,342,547	\$3,950,532	12%	\$1,656,214	5%
MTA B&T	\$5,936,694	\$1,651,612	28%	\$667,389	11%
MTA LIRR	\$34,063,273	\$3,694,937	11%	\$1,217,574	4%
MTA HQ	\$7,350,543	\$773,149	11%	\$185,857	3%
MTA CC	\$340,796	\$139,519	41%	\$3,649	1%
MTA BUS	\$17,696,716	\$1,070,754	6%	\$659,442	4%
Total	\$231,628,865	\$22,879,848	10%	\$10,102,896	4%

* 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.

**FINANCIAL AND LEGAL
SERVICES**

March 26, 2014

MTA ALL AGENCY LEGAL FEES April 2013- September 2013



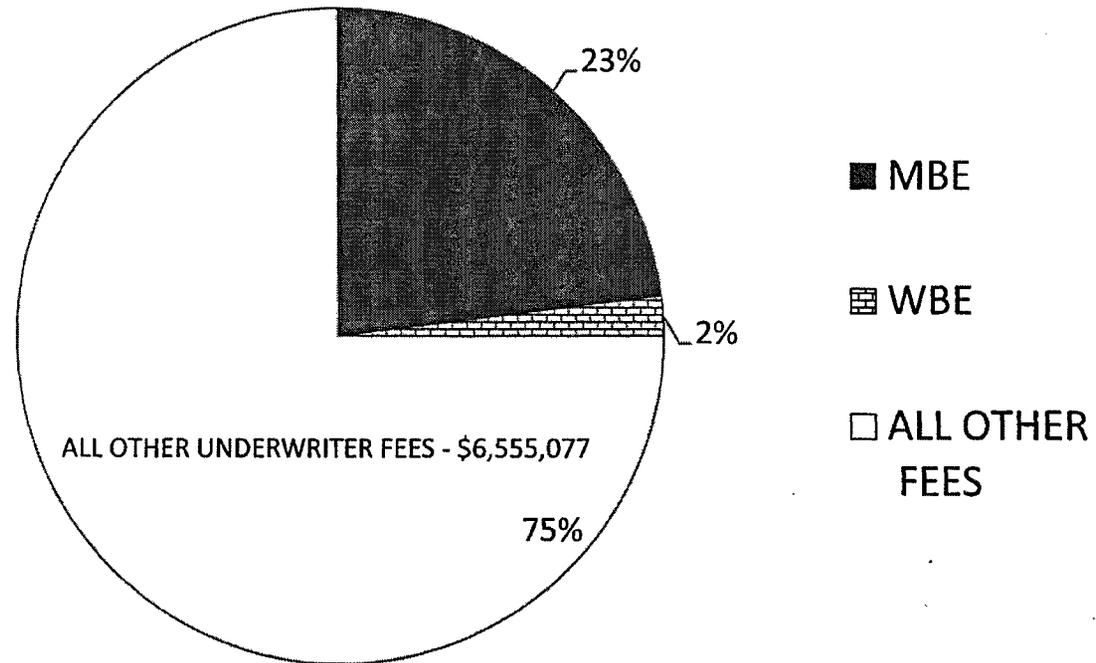
10% MBE GOAL
10% WBE GOAL

Actual MBE Participation = \$431,024 or 2.2%
Actual WBE Participation = \$3,091,801 or 15.8%

MTA ALL AGENCY LEGAL FEES PAID
APRIL THROUGH DECEMBER 2013

AGENCY	All Fees Paid	MBE Fees Paid	Agency MBE Participation	WBE Fees Paid	Agency WBE Participation
B & T	\$683,048	\$0	0.0%	\$94,084	13.8%
LIRR	\$799,248	\$120,758	15.1%	\$0	0.0%
MTABUS	\$2,321,179	\$34,043	1.5%	\$324,000	14.0%
MTACC	\$1,875,899	\$0	0.0%	\$1,280,979	68.3%
MTAHQ	\$5,757,270	\$3,240	0.1%	\$219,418	3.8%
MNR	\$1,108,932	\$16,503	1.5%	\$0	0.0%
NYCTA	\$6,996,200	\$256,480	3.7%	\$1,173,320	16.8%
TOTAL	\$19,541,776	\$431,024	2.2%	\$3,091,801	15.8%

MTA ALL AGENCIES UNDERWRITER FEES April 2013-December 2013



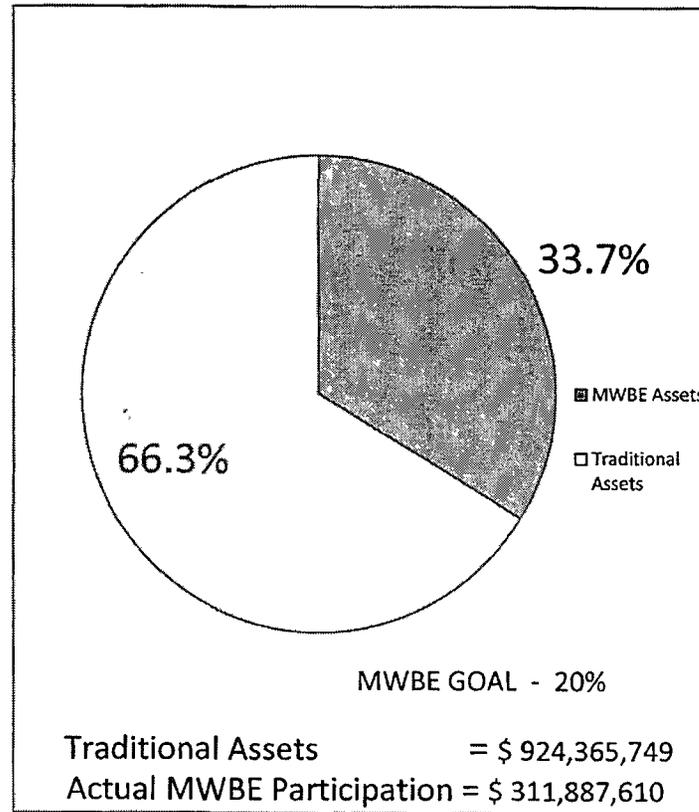
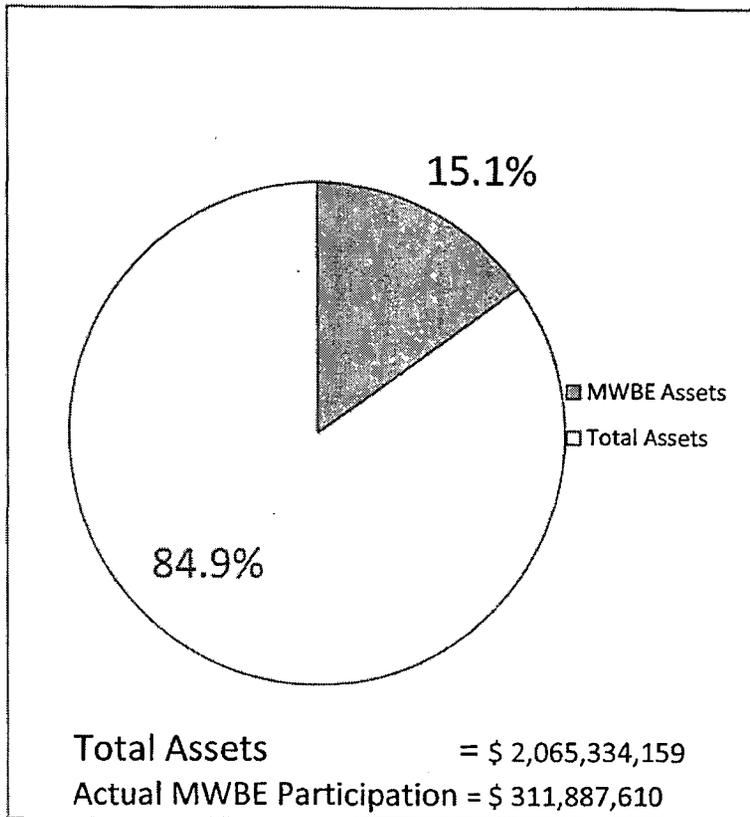
10% MBE GOAL
10% WBE GOAL

Total Underwriter Fees = \$8,779,735 or 100%
Actual MBE Participation = \$2,026,852 or 23%
Actual WBE Participation = \$197,806 or 2%

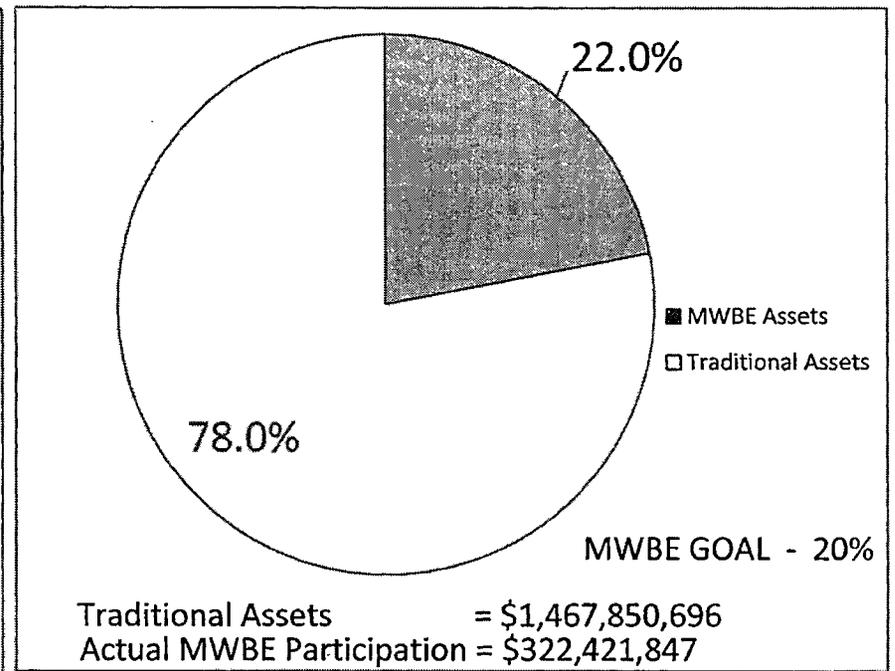
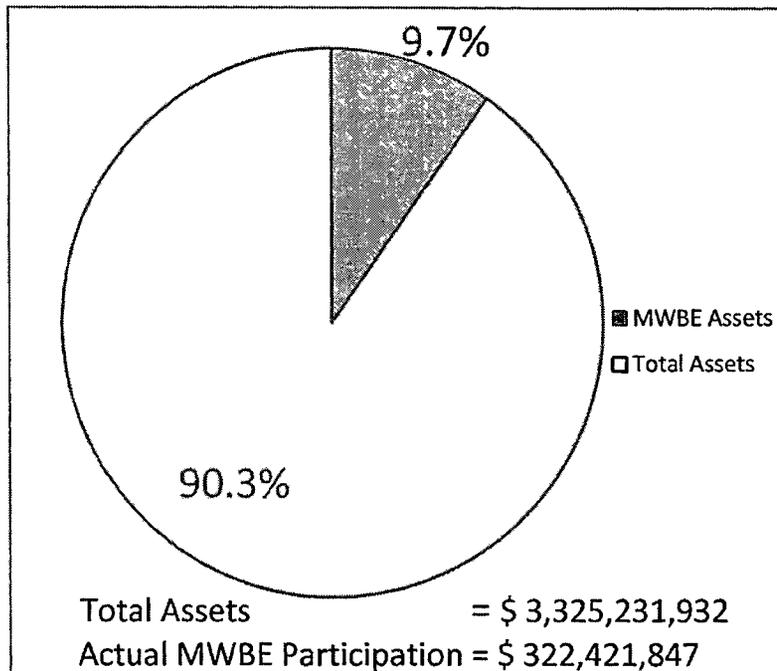
MTA ASSET FUND MANAGERS

March 26, 2014

Asset Fund Managers MTA MaBSTOA Pension Plan As of 12/31/13



Asset Fund Managers
 MTA Defined Benefit Pension Plan
 Including LIRR Additional Plan
 As of 12/31/13



* 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

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

March 26, 2014

MWDBE AWARDS ON MTA CAPITAL PROJECTS WITH GOALS JANUARY – DECEMBER 2013

FEDERALLY FUNDED	FIRST QUARTER (JANUARY-MARCH) (in millions)			SECOND QUARTER (APRIL-JUNE) (in millions)			THIRD QUARTER (JULY-SEPTEMBER) (in millions)			FOURTH QUARTER (OCTOBER-DECEMBER) (in millions)			2013 TOTALS (JANUARY-DECEMBER 2013) ¹ (in millions)		
	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 (%)	Total Awards	Total DBE Awards	DBE Participation (%)
DBE Participation Goal: 17%															
Construction	\$ 352.0	\$ 59.5	17%	\$ 404.5	\$ 63.7	16%	\$ 443.5	\$ 70.5	15.9%	\$ 162.8	\$ 26.1	16.0%	\$ 1,362.7	\$ 219.9	16%
Professional Services				\$ 2.6	\$ 0.5	18%	\$ 0.7	\$ 0.1	0.0%	\$ -	\$ -	0%	\$ 3.4	\$ 0.6	18%
Other										\$ -	\$ -	0%	\$ -	\$ -	
TOTAL	\$ 352.0	\$ 59.5	17%	\$ 407.1	\$ 64.2	16%	\$ 444.2	\$ 70.7	15.9%	\$ 162.8	\$ 26.1	16.0%	\$ 1,369.1	\$ 220.5	16%
Additional MWBE Participation:	Total Awards	Total MWBE Awards		Total Awards	Total MWBE Awards		Total Awards	Total MWBE Awards		Total Awards	Total MWBE Awards		Total Awards	Total MWBE Awards	
Construction	\$ 352.0	\$ 55.4		\$ 404.5	\$ 54.2		\$ 443.5	\$ 47.6		\$ 162.8	\$ 23.2		\$ 1,362.7	\$ 180.4	
Professional Services	\$ -	\$ -		\$ 2.6	\$ 0.5		\$ 0.7	\$ 0.1		\$ -	\$ -		\$ 3.4	\$ 0.6	
Other	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
Total	\$ 352.0	\$ 55.4		\$ 407.1	\$ 54.7		\$ 444.2	\$ 47.7		\$ 162.8	\$ 23.2		\$ 1,369.1	\$ 181.0	

STATE FUNDED	FIRST QUARTER (JANUARY-MARCH) (in millions)			SECOND QUARTER (APRIL-JUNE) (in millions)			THIRD QUARTER (JULY-SEPTEMBER) (in millions)			FOURTH QUARTER (OCTOBER-DECEMBER) (in millions)			2013 TOTALS (JULY-DECEMBER 2013) (in millions)		
	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 (%)	Total Awards	Total MBE Awards	MBE Participation (%)
MBE Participation Goal: 10%															
Construction	\$ 98.8	\$ 23.3	23.6%	\$ 21.4	\$ 2.5	11.8%	\$ 56.4	\$ 6.7	11.9%	\$ 176.4	\$ 19.1	10.8%	\$ 353.0	\$ 51.6	14.6%
Professional Services	\$ 12.5	\$ 1.4	11.5%	\$ 28.7	\$ 3.0	10.3%	\$ 13.1	\$ 1.6	11.9%	\$ 48.0	\$ 3.1	6.5%	\$ 102.3	\$ 9.1	8.9%
Other							\$ 3.7	\$ 0.4		\$ -	\$ -		\$ 3.7	\$ 0.40	
MBE Participation on FTA-funded projects							\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
TOTAL	\$ 111.2	\$ 24.7	22%	\$ 50.0	\$ 5.5	11%	\$ 73.3	\$ 8.65	12%	\$ 224.4	\$ 22.26	9.9%	\$ 459.0	\$ 61.1	13%
WBE Participation Goal: 10%															
Construction	\$ 98.8	\$ 10.6	10.8%	\$ 21.4	\$ 2.4	11.4%	\$ 56.4	\$ 7.3	13.0%	\$ 176.4	\$ 19.2	10.9%	\$ 353.0	\$ 39.6	11.2%
Professional Services	\$ 12.5	\$ 1.5	12.2%	\$ 28.7	\$ 3.6	12.7%	\$ 13.1	\$ 1.4	10.5%	\$ 48.0	\$ 3.3	7.0%	\$ 102.2	\$ 9.9	9.7%
Other	\$ -	\$ -		\$ -	\$ -		\$ 3.7	\$ 0.4		\$ -	\$ -		\$ 3.7	\$ 0.41	
WBE Participation on FTA-funded projects	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
TOTAL	\$ 111.2	\$ 12.1	11%	\$ 50.0	\$ 6.1	12%	\$ 73.2	\$ 9.1	12.4%	\$ 224.4	\$ 22.5	10.0%	\$ 459.0	\$ 49.9	11%
Additional DBE Participation:	Total Awards	Total DBE Awards		Total Awards	Total DBE Awards		Total Awards	Total DBE Awards		Total Awards	Total DBE Awards		Total Awards	Total DBE Awards	
Construction	\$ 98.8	\$ 14.7		\$ 21.4	\$ 2.2		\$ 56.4	\$ 4.4		\$ 176.4	\$ 29.8		\$ 353.0	\$ 51.1	
Professional Services	\$ 12.5	\$ 2.0		\$ 28.7	\$ 4.5		\$ 13.2	\$ 1.7		\$ 45.0	\$ 3.9		\$ 99.3	\$ 12.1	
Other	\$ -	\$ -		\$ -	\$ -		\$ -	\$ 0.7		\$ -	\$ -		\$ -	\$ 0.7	
Additional DBE Participation Total	\$ 111.2	\$ 16.7		\$ 50.0	\$ 6.7		\$ 69.6	\$ 6.8		\$ 221.4	\$ 33.7		\$ 452.3	\$ 63.9	

MTA EEO POLICY STATEMENTS

March 26, 2014

MTAHQ POLICY

EQUAL EMPLOYMENT OPPORTUNITY

The Metropolitan Transportation Authority ("MTA") is fully committed to equal employment opportunity for all employees and applicants for employment without unlawful regard to race, color, religion, creed, national origin, ancestry, sex, sexual orientation, age, disability, predisposing genetic characteristic, gender identity, gender expression, domestic violence victim status, pregnancy, military or marital status or arrest/conviction records. This Policy applies to all personnel actions, including but not limited to promotion, demotion, transfer, recruitment, layoff or other discharge, recall, rates of pay, benefits and selection for training. Further, the MTA expressly prohibits any form of unlawful harassment based on race, color, religion, creed, national origin, ancestry, sex, sexual orientation, age, disability, predisposing genetic characteristic, gender identity, gender expression, domestic violence victim status, pregnancy, military or marital status or arrest/conviction records. Such unlawful interference with the ability of the MTA's employees to perform their expected job duties is not tolerated.

The MTA is fully committed to complying with all applicable laws for establishing and implementing a program providing equal employment opportunities for all employees and applicants for employment. The MTA has developed an equal employment opportunity program, setting goals with timetables to provide minorities and women equal opportunities in its workforce. All managers and supervisors are responsible for implementing this program. This responsibility is measured in the same manner as their performance toward other business objectives. The successful achievement of this program will provide benefits to MTA through fuller utilization and development of minorities and women employees.

All employees and applicants for employment shall be protected from retaliation or harassment for filing a complaint or participating in an investigation of a complaint. Reprisal against or interference with an employee's or applicant's right to file a complaint concerning such matters constitutes a violation of this Policy.

Michael J. Garner, Chief Diversity Officer, is responsible for coordinating the MTA's equal employment opportunity program. If you believe you have been subjected to a violation of this Policy in your employment or application for employment, you may contact your immediate supervisor, a higher level supervisor or Mr. Garner at 2 Broadway, 16th Floor, New York, NY 10004. Mr. Garner can be reached by telephone at (646) 252-1385. A supervisor who receives a complaint under this Policy should immediately contact Mr. Garner. If you wish to file a complaint, you should contact Mr. Garner at the above address or phone number. In addition, an employee or an applicant for employment may contact the Department of Diversity and Civil Rights at (646) 252-1373 in order to file a complaint. The Department of Diversity and Civil Rights will promptly initiate a thorough and impartial inquiry.

MTAHQ POLICY

EQUAL EMPLOYMENT OPPORTUNITY (Continued)

If, for any reason, you do not wish to bring your complaint to a supervisor, to Mr. Garner, or to the Department of Diversity and Civil Rights, then you should report the matter to the MTA Chief of Staff, who will promptly initiate a thorough and impartial inquiry. The Chief of Staff, with my approval, may delegate the inquiry to another person. In all cases, confidentiality will be maintained throughout the investigation to the extent practical and consistent with the MTA's obligation to undertake a full inquiry and to make a determination. In addition, all employees are required to fully cooperate during the conduct of such an investigation.

If it is determined that a violation of this Policy has occurred, the MTA will take immediate action to remedy the situation. Any employee who is found to have violated this Policy or any supervisory or managerial employee who knowingly permits a violation of this Policy to occur may be subject to disciplinary action, up to and including dismissal from employment. Such an employee may also be subject to personal legal and financial liability.

In addition to the complaint procedures described above, complaints may be filed with the New York State Division of Human Rights or the United States Equal Employment Opportunity Commission.

This Policy is to be posted in prominent locations throughout the MTA's facilities.



Thomas F. Prendergast
Chairman and Chief Executive Officer

MTAHQ POLICY

SEXUAL AND OTHER DISCRIMINATORY HARASSMENT

Sexual or other discriminatory harassment in the workplace is illegal and all employees, vendors, visitors and applicants for employment are prohibited from engaging in any such activity. It is the Policy of the Metropolitan Transportation Authority ("MTA") that all employees have the right to work in an environment free from any form of discriminatory harassment or intimidation, either physical or verbal, by any other employee, vendor, visitor or applicant for employment. The MTA will not tolerate sexual or any other form of discriminatory harassment and violators of this Policy will be subject to disciplinary action, including but not limited to termination of employment.

Sexual harassment consists of unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when:

1. submission to such conduct is made explicitly or implicitly a term or condition of an individual's employment, or
2. submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual, or
3. such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

Sexual harassment can occur in a variety of circumstances, including but not limited to the following:

1. The victim and the harasser may be a woman or a man.
2. The harasser can be the victim's supervisor, an agent of the employer, a supervisor in another area, a co-worker or a non-employee.
3. Unlawful sexual harassment may occur without economic injury to or discharge of the victim.
4. The harasser's conduct must be unwelcome.

Examples of sexual harassment include, but are not limited to:

- o a demand for sexual favors that is accompanied by a promise of favorable job treatment or a threat concerning the employee's or applicant's employment;
- o pressure for sexual favors, including implying or threatening that an applicant's or employee's cooperation of a sexual nature (or refusal thereof) will have any effect on the person's employment, job assignment, wages, promotion, or on any other conditions of employment or future job opportunities; or

MTAHQ POLICY

SEXUAL AND OTHER DISCRIMINATORY HARASSMENT (Continued)

- unwelcome conduct of an offensive nature, such as continual sexual propositions, slurs or innuendoes directed at the employee or applicant, uninvited physical contact, or repeated vulgar or demeaning comments, whether written, oral or sent by e-mail, directed toward the employee or applicant and others of his/her gender.

Harassment does not have to be of a sexual nature, however, and can include other forms of harassment. Other forms of discriminatory harassment consist of unwelcome conduct that is based on race, color, religion, creed, national origin, ancestry, sex, pregnancy, sexual orientation, age, disability, predisposing genetic characteristic, gender identity, gender expression, domestic violence victim status, military or marital status, arrest/conviction records or any other legally protected basis, including based on the employee's having filed a complaint of discrimination under this Policy, the Americans with Disabilities Act or the MTA Equal Employment Opportunity Policy, that has the purpose or effect of unreasonably interfering with an individual's work performance, or creating an intimidating, hostile or offensive working environment.

All employees, visitors, vendors and applicants for employment shall be protected from retaliation for filing a complaint or participating in an investigation of a complaint. Reprisal against or interference with an employee's, visitor's, vendor's or applicant's right to file a complaint concerning such matters constitutes a violation of this Policy.

Michael J. Garner, Chief Diversity Officer, is responsible for coordinating this Policy. If you believe you have been subjected to a violation of this Policy in your employment or application for employment, you may contact your immediate supervisor, a higher level supervisor or Mr. Garner at 2 Broadway, 16th Floor, New York, NY 10004. Mr. Garner can be reached by telephone at (646) 252-1385. A supervisor who receives a complaint under this Policy, should immediately contact Mr. Garner. If you wish to file a complaint, you should contact Mr. Garner at the above address or phone number. In addition, an employee or applicant may contact the Department of Diversity and Civil Rights at (646) 252-1373 in order to file a complaint.

The Department of Diversity and Civil Rights will promptly initiate a thorough and impartial inquiry.

MTAHQ POLICY

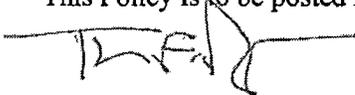
SEXUAL AND OTHER DISCRIMINATORY HARASSMENT (Continued)

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If it is determined that a violation of this Policy has occurred, the MTA will take immediate action to remedy the situation. Any employee who is found to have violated this Policy or any supervisor or managerial employee who knowingly permits a violation of this Policy to occur may be subject to disciplinary action, up to and including dismissal from employment. Such an employee may also be subject to personal legal and financial liability.

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Thomas F. Prendergast
Chairman and Chief Executive Officer

MTAHQ POLICY

AMERICANS WITH DISABILITIES ACT

The Metropolitan Transportation Authority ("MTA") is fully committed to equal opportunity for all employees and applicants for employment and prohibits discrimination on the basis of disability in all of its employment practices. Such unlawful interference with the ability of the MTA's employees to perform their expected job duties is not tolerated. The Americans with Disabilities Act ("ADA") requires MTA to make reasonable accommodations to qualified applicants and employees with disabilities under certain circumstances. The MTA recognizes this obligation and has adopted guidelines to ensure its compliance with the ADA.

To request a reasonable accommodation for a disability relating to your employment or application for employment with the MTA, please contact Jessie Crawford, Deputy Director, Human Resources and Retirement Programs, MTA Human Resources Department, 347 Madison Avenue, 6th Floor, New York, NY 10017, at (212) 878-7238.

All employees and applicants for employment shall be protected from retaliation or harassment for filing a complaint or participating in an investigation of a complaint. Reprisal against or interference with an employee's or applicant's right to file a complaint concerning such matters constitutes a violation of this Policy.

Michael J. Garner, Chief Diversity Officer, is responsible for coordinating this Policy. If you believe you have been subjected to a violation of this Policy in your employment or application for employment with the MTA, you may contact your immediate supervisor, a higher level supervisor or Mr. Garner at 2 Broadway, 16th Floor, New York, NY 10004. Mr. Garner can be reached by telephone at (646) 252-1385. A supervisor who receives a complaint under this Policy should immediately contact Mr. Garner. If you wish to file a complaint, you should contact Mr. Garner at the above address or phone number. In addition, an employee or applicant may contact the Department of Diversity and Civil Rights at (646) 252-1373 in order to file a complaint. The Department of Diversity and Civil Rights will promptly initiate a thorough and impartial inquiry.

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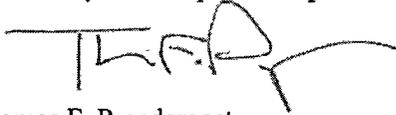
MTAHQ POLICY

AMERICANS WITH DISABILITIES ACT (Continued)

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