



Metropolitan Transportation Authority

Diversity Committee Meeting

November 2014

Committee Members

J. Molloy, Chairman

F. Ferrer, MTA Vice Chairman

S. Metzger

J. Banks III

R. Bickford

Diversity Committee Meeting
347 Madison Ave. - 5th Floor Board Room
New York, NY 10017
Monday, 11/17/2014
3:45 - 4:45 PM ET

- 1. PUBLIC COMMENT PERIOD** Discussion

- 2. APPROVAL OF MINUTES – SEPTEMBER 22, 2014** Approve
Minutes of the MTA Diversity Committee Meeting - September 22, 2014 - Page 4

- 3. 2014 DIVERSITY COMMITTEE WORK PLAN** Review
DDCR 2014 Work Plan - Page 9

- 4. 2015 DIVERSITY COMMITTEE WORK PLAN** Review
DDCR 2015 Work Plan - Page 13

- 5. BUSINESS AND DIVERSITY INITIATIVES** Presentation
Business and Diversity Initiatives - November 2014 - Page 16

- 6. CERTIFICATION ACTIVITY REPORT** Presentation
Certification - November 2014 - Page 18

- 7. THIRD QUARTER 2014 EEO ACTIVITIES** Presentation
EEO Third Quarter Activity Report - November 2014 - Page 21
MTA Geographic Recruitment Area and Workforce Availability - Page 42

- 8. SMALL BUSINESS MENTORING PROGRAM UPDATE** Presentation
Small Business Mentoring Program - November 2014 - Page 50

- 9. SMALL BUSINESS FEDERAL PROGRAM UPDATE** Presentation
Small Business Federal Program - November 2014 - Page 52

- 10. M/W/DBE CONTRACT COMPLIANCE 2014 3RD QUARTER REPORT** Presentation
MWDBE Contract Compliance - November 2014 - Page 54

- 11. FINANCIAL AND LEGAL SERVICES** Presentation
Financial and Legal Services - November 2014 - Page 64

- 12. ASSET FUND MANAGERS** Presentation
Asset and Fund Managers - November 2014 - Page 68

13. M/W/DBE CAPITAL PROJECTS 2014 REPORT Presentation

Capital Projects - November 2014 - Page 73

14. MWDBE TASK FORCE UPDATE

MWDBE Task Force - November 2014 - Page 76

15. DIVERSITY COMMITTEE CHARTER Review

Diversity Committee Charter - Page 78

MTA DIVERSITY COMMITTEE

Meeting Minutes

347 Madison Avenue, Fifth Floor Board Room

New York, NY 10017

Monday, September 22, 2014

2:45 p.m.

The following Committee members were present:

Hon. John Molloy, Chairman

Hon. Fernando Ferrer

Hon. Susan G. Metzger

Hon. Robert Bickford

The following Committee member was absent:

Hon. John Banks III

The following were also present:

Joseph Giuliatti, President, MTA Metro-North Railroad (“MNR”)

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

Michael Wetherell, Director, MTA Office of Construction Oversight

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

David Sang, EEO Specialist, Investigations, DDCR

Alexandra Infeld, Chief of Staff, MTA New York City Transit (“NYC Transit”)

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

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

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

Shibu Jacob, Manager, Diversity Management, LIRR

Katherine Betries-Kendall, Vice President, Human Resources, MNR

Roberto Aguirre, Sr., Assistant Director, Office of Diversity and Equal Opportunity, MNR

MTA Diversity Committee Meeting Minutes, Monday, September 22, 2014

Ouida Gaillard, Human Resources Business Partner, Human Resources, MNR
Eric Perry, Acting Chief EEO Officer, MTA Bridges and Tunnels (“B&T”)
Christine Norman, Manager, MWDBE Procurement Compliance, MNR
David Cannon, Director, Procurement and Risk Management, MTA Capital Construction (“CC”)
Sheldon Dixon, Director, Human Resources, CC

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 July 28, 2014.

3. Overview of Today’s Meeting

2014 Diversity Committee Work Plan

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

Business and Diversity Initiatives

Ms. Chape reported on outreach initiatives for the second quarter of 2014, highlighting the events for June and July. Ms. Chape also reported that MTA-wide procurement staff will participate in the annual New York State MWBE Conference to be held in Albany, N.Y. in October. Additionally, DDCR will host an orientation session for newly certified MWDBE firms in September.

Certification Activity Report

Ms. Greene reported on the certification activity for the second quarter of 2014. Ten certification applications were received, slightly less than the number of applications received during the second quarter of 2013. A total of 30 applications were processed during the second quarter of 2014: 18 certified, 1 denied certification, 4 applications returned, and 7 withdrawn. Ms. Greene also provided an update on the number of applications received during the second quarter from 2012 through 2014. Year-to-year the number of new applications has fluctuated.

Second Quarter 2014 EEO Activities

The Committee asked questions about the different geographical recruitment areas used by MTA and its agencies, how these areas are selected, and how workforce availability is determined. In response, Mr. Garner said that DDCR will make a presentation to Board members to answer those questions. Mr. Ferrer asked if the presentation will cover CC. He said he had previously questioned how CC determines workforce availability. Mr. Garner replied that CC will be covered in the presentation. Ms. Metzger asked if the presentation will be made available to all Board members. Mr. Garner replied that it will be.

Mr. Ferrer stated that questions about workforce availability that he previously raised will probably be answered in the presentation. However, since those questions regarding the CC's availability numbers were raised at the Committee meeting, responses should also be provided during the Committee meeting. Chairman Molloy added that there is some frustration on part of Committee members about reports not being available. He said there needs to be an internal discussion about how this can be improved.

Ms. Moore said workforce availability questions that Mr. Ferrer and Ms. Metzger raised will be addressed in the presentation to the Board. The presentation provides an outline of MTA-wide geographical recruitment areas, and also explains through a step-by-step process as to how we arrive at workforce availability numbers. Ms. Moore said availability numbers fluctuate from agency-to-agency. For example, there are fewer CC job groups in the Officials and Administrators ("O&A") job category compared with other agencies. CC's O&A category only comprises construction managers, architects, and engineers. Therefore, its O&A availability numbers are different. Mr. Ferrer said availability numbers can fluctuate, but the difference in numbers among the agencies is beyond fluctuation. Other agencies also have architects and engineers in their workforce. He said he still does not understand how agencies determine availability. Ms. Metzger added that she was happy to see the issue open to the entire Board instead of just the Diversity Committee.

Ms. Moore reported on MTA-wide underutilization as of June 30, 2014. In general, females, blacks and Hispanics are underutilized. Females are underutilized in all job categories, except service maintenance. Blacks are underutilized in all categories except O&A, technicians and skilled craft. Hispanics are underutilized in all categories, except professionals and paraprofessionals. Overall, MTA Headquarters ("MTAHQ") is doing a great job in meeting workforce availability. However, there is underutilization of females and minorities in the technicians and protective services job categories, which include positions of lieutenants, captains and inspectors in the MTA Police Department. These positions are filled through internal promotions as vacancies become available.

Ms. Moore also reported on MTA-wide new hires between January and June 2014. A total of 3,313 employees were hired, of which 21% are female and 71% are minority. A total of 80 employees were hired at MTAHQ, of which 41% are female and 59% are minority. Mr. Garner added that there needs to be an MTA-wide consistent and focused approach to addressing underutilization.

Additionally, Ms. Moore reported that MTA-wide 352 EEO complaints were handled between January and June 2014. Of these complaints, 168 were filed with external agencies and 184 were filed internally. Of the external complaints, disability discrimination (19%), race/color discrimination (20%), and other or miscellaneous discrimination (25%) were most frequently alleged. Of the internal complaints, sexual harassment (21%), race/color discrimination (23%), and other or miscellaneous discrimination (15%) were most frequently alleged. At MTAHQ, 15 EEO complaints were handled during the reporting period. Of these complaints, six were filed with external agencies, and nine were filed internally. The MTA Agencies handled 38 Title VI complaints. Race discrimination (80%) was most frequently alleged. No Title VI complaints were filed with MTAHQ. Ms. Moore also reported on complaint resolution.

Chairman Molloy said the complaints being handled seemed to have increased. He asked if MTA-wide there was adequate staff to handle these complaints. Ms. Moore stated that a three-year trend analysis will be presented with the year-end 2014 data. NYC Transit has the largest number of complaints but this agency has added more staff, and they are processing these complaints. She added that other agencies have adequate staff to handle complaints. Mr. Din added that external complaints are filed with and administered at outside agencies, like the United States Equal Employment Opportunity Commission or the New York State

Division of Human Rights. After the MTA Agencies respond to those complaints, their disposition is for the most part not in the control of MTA and its Agencies.

Small Business Mentoring Program (“SBMP”) Update

Mr. Cleary provided an update on the SBMP for the period April to June 2014. There were 14 contracts awarded, totaling \$9.5 million. Of these, nine contracts were awarded to certified MWBEs, totaling \$6.1 million (65%).

There were 38 firms pending pre-qualification. A total of nine loans have been approved, totaling \$1 million. Participating firms can apply for small business loans totaling the lesser of \$150,000, or 30% of the contract value.

Small Business Federal Program (“SBFP”) Update

Mr. Cleary provided an update on the SBFP for the period April to June 2014. Three projects were awarded, totaling \$4.4 million with 65% DBE participation. A total of 22 firms have been prequalified and 13 firms were pending prequalification. Participating firms can apply for loans totaling the lesser of \$900,000, or 30% of contract value. A Surety Bond Assistance Program is being finalized with Willis/ACE. Under that program, participating firms will likely be eligible for surety bonding assistance for up to \$3 million. Mr. Garner added that once the program is finalized, MTA will have the country’s largest surety company assisting firms with surety bonding.

MWDBE Contract Compliance

Ms. Harleston reported on federal and state funded contract awards. For the period October 2013 to June 2014, MTA met its overall DBE goal of 17%. For this period, \$847.8 million in federally funded contracts was awarded, with \$144.5 million (17%) being awarded to DBEs. Payments made to DBEs on ongoing contracts were 14%.

For New York State funded contracts, the MTA set an overall MWBE goal of 20% for State Fiscal Year 2014/2015. For the period April through June 2014, MTA and its Agencies awarded \$540.5 million, with MWBE participation of approximately \$84 million (16%). For the same period, over \$297 million was paid on prime contracts, with MWBE participation of \$70.8 million (24%), exceeding MTA’s MWBE goal. Ms. Harleston also reported on discretionary procurement awards. Of the \$414 million in contract awards, \$89.4 (22%) represented discretionary procurements. Of this amount approximately \$7 million (8%) was awarded to MWBEs, and \$3.3 million (4%) was awarded to Small Business Concerns. Mr. Garner added that recent procurement activity at MTAHQ and NYC Transit is being analyzed to determine what was purchased, and whether there are enough available MWBEs in the marketplace to participate in the discretionary procurement process.

Mr. Ferrer said the issue is whether MTA and its Agencies are making the maximum effort to increase MWBE participation. Ms. Metzger added that the procurement analysis being undertaken is a huge task. She inquired whether these are mostly small contracts, and Mr. Garner replied that they are.

Ms. Metzger asked if there is a master list of available MWBEs that the Agencies can use for their discretionary procurements. Mr. Garner said that in fact, NYC Transit and MNR have shared resources in this area. Ms. Norman added that MNR is reviewing for comparison purposes the list of discretionary items procured by NYC Transit and the MWBEs that are being used. Ms. Metzger added that NYC Transit is a good role model in this area for the other agencies. She said as the MTA Agencies consolidate their procurements, it will become easier for them to work together.

Mr. Garner reported on financial and legal services for the period April to June 2014. MBEs were awarded 2% in outside counsel fees, while 7% was awarded to WBEs. Using a Request for Proposal (“FRP”) process, MTA has added an additional 14 certified MWBEs to its pool of outside law firms. MWBE participation in underwriter fees is 18%, with 17% awarded to MBEs and 1% awarded to WBEs. Mr. Garner said as a result of efforts being made by Robert Foran, Chief Financial Officer, and Patrick McCoy, Director, Finance, MTA will achieve its goal of 20% MWBE participation.

Mr. Garner also reported on asset fund managers. Within traditional assets, MWBE participation is 36% in the MaBSTOA Pension Plan, and 22% in the Defined Benefits Pension Plan. There is no MWBE participation within non-traditional assets. For all pension plans, MWBE participation is 27% in traditional assets and none in non-traditional assets. Total MWBE participation in all assets is 13%. Mr. Garner said he will brief Chairman Prendergast and Margaret Connor, Senior Director, Human Resources and Retirement Programs, about the Emerging Managers Program used by New York State and New York City Comptrollers’ Offices to build a pool of firms to manage non-traditional assets. Mr. Garner will also contact the State and City Comptroller’s Offices to further discuss this program. This is a growth area for MWBEs.

Ms. Harleston reported on MWDBE participation on MTA’s capital projects. MTA exceeded its overall DBE and MWBE goals. For the period January to June 2014, the DBE participation in federally funded projects was 21%. On state funded contracts, MBE and WBE participation was 13% each. Mr. Garner added that MTA’s SBMP is having a positive impact on its capital projects by providing prime contracting opportunities to MWDBEs. Ms. Metzger added that it also shows that groups and the Agencies have to work together in order to succeed.

Adjournment

Chairman Molloy 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 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
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

1st Quarter 2014 Report on EEO	Dept. of Diversity/Civil Rights
EEO Program Update	
Recruitment Strategies for MTAHQ and MTA Agencies	Dept. of Diversity/Civil Rights and Agency Staff
Approval of MTA's Overall DBE Goal for Federal Fiscal Years ("FFYs") 2015-2017	Committee Chair & Members

September 2014

2nd Quarter 2014 Report

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.

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. 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.

July 2014

1st Quarter 2014 Report on EEO

The Department of Diversity and Civil Rights will present an update on EEO Program activities. The Department of Diversity and Civil Rights, MTA Human Resources and agency staff will present a report on recruitment strategies for MTAHQ and MTA agencies.

EEO Program Update

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

Approval of MTA's DBE Goal for FFY 2015-2017

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.

September 2014

2nd 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.

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.

2015 Diversity Committee Work Plan

I. RECURRING AGENDA ITEMS

Responsibility

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

II. SPECIFIC AGENDA ITEMS

Responsibility

February 2015

Recommitment to EEO Policy	Dept. of Diversity/Civil Rights
2015 Departmental Goals	
2014 Year-End Report	
Recruitment Strategies for MTAHQ and MTA Agencies	Dept. of Diversity/Civil Rights, MTAHQ and Agency Staff

May 2015

1st Quarter 2015 Report	Dept. of Diversity/Civil Rights
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September 2015

2nd Quarter 2015 Report	Dept. of Diversity/Civil Rights
Recruitment Strategies for MTAHQ and MTA Agencies	Dept. of Diversity/Civil Rights, MTAHQ and Agency Staff

November 2015

3 rd Quarter 2015 Report	Dept. of Diversity/Civil Rights
Status Report on MTA Inter-Agency M/W/DBE Task Force	
Diversity Committee Charter Review	Committee Chair & Members
2016 Diversity Committee Work Plan	Dept. of Diversity & Civil Rights

Detailed Summary

I. RECURRING

Approval of Minutes

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

Diversity Committee Work Plan

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

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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.

Action Items

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

II. SPECIFIC AGENDA ITEMS

February 2015

Recommitment to EEO Policy

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

Overview of 2015 MTA Department of Diversity/Civil Rights Departmental Goals

The MTA Department of Diversity and Civil Rights will present an overview of Departmental goals and objectives for 2015.

2014 Year-End Report

The Department of Diversity and Civil Rights will present its 2014 year-end update on MTA Agency-wide EEO and M/W/DBE contract compliance activities.

Recruitment Strategies

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

May 2015

1st Quarter 2015 Report

The Department of Diversity and Civil Rights will present its 1st quarter 2015 update on MTA Agency-wide EEO and M/W/DBE contract compliance activities.

September 2015

2nd Quarter 2014 Report

The Department of Diversity and Civil Rights will present its 2nd quarter 2015 update on MTA Agency-wide EEO and M/W/DBE contract compliance activities.

Recruitment Strategies

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

November 2015

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The Department of Diversity and Civil Rights will present its 3rd quarter update on MTA Agency-wide EEO and M/W/DBE contract compliance 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.

2016 Diversity Committee Work Plan

The Department of Diversity and Civil Rights will present an updated Diversity Committee Work Plan for 2016.



Metropolitan Transportation Authority

MTA DEPARTMENT OF DIVERSITY AND CIVIL RIGHTS BUSINESS AND DIVERSITY INITIATIVES

November 17, 2014

Business & Diversity Initiatives

August 2014

DDCR presents Bridges & Tunnels Sandy Mega Project Outreach Meeting

Mid-Hudson MWBE Opportunities Expo

Harlem Senior Citizens' Day

Harlem Week New York City Economic Development Day

Monthly DBE Certification Workshop

City University of New York MWBE Conference

Tutor Perini Corporation presents Hudson Yards MWDBE Expo Event

September 2014

Monthly DBE Certification Workshop

MTA Small Business Mentoring Program Overview

MTA Small Business Development Training Program – How to Do Business with the MTA and Prime Contractors

How to Be a Prime Contractor

Estimating and Bidding Strategies at the MTA

DDCR presents “Prime IT Consulting Opportunities”

MTA Bond Counsel Information Session

Greater New York Chamber of Commerce Small Business Expo

Go Caribbean Expo – Accelerating Growth through Global Connections

DDCR presents “New Firm Orientation Session”



Metropolitan Transportation Authority

MTA Department of Diversity/Civil Rights Certification Activity Report

November 17, 2014

**CERTIFICATION APPLICATIONS RECEIVED – 3rd QUARTER
2014– 2012**

	2014	2013	2012
July	8	10	22
August	16	10	6
September	6	10	12
Total	30	30	40

**CERTIFICATION ACTIVITY FOR NEW APPLICATIONS – 3rd QUARTER
2014 - 2012**

	2014	2013	2012
CERTIFIED	19	24	28
DENIED	1	7	1
RETURNED	8	6	9
WITHDRAWN	5	4	5
TOTAL	33	41	43



Metropolitan Transportation Authority

**MTA DEPARTMENT OF DIVERSITY/
CIVIL RIGHTS EEO ACTIVITIES
THIRD QUARTER 2014**

November 17, 2014

OVERVIEW

MTA and its Agencies have conducted an availability analysis of females and minorities. The availability analysis consists of comparing each agency's September 30, 2014 workforce percentages for females and minorities to 80% of the females and minorities available for work within the relevant labor market based on the Census.

The following numbers and information do not reflect availability for specific job groups. In addition, the numbers and information provided do not show statistical disparities or explain the reasons or provide a root cause analysis for any identified underutilization. Terms such as "exceed, at or below 80% of Census availability" or "underutilization" that may appear in this report do not constitute a finding or admission of unlawful discrimination. Although the MTA will use such terms in good faith in this report, it cautions that these terms should not be applied outside the report's narrow context.

SUMMARY OF FINDINGS

In general, as of September 30, 2014, females, Hispanics, Native Hawaiian Other Pacific Islander, 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 Officials and Administrators, Technicians, and Administrative Support job categories.

The following charts provide: 1) the female and minority workforce percentages for each agency; 2) 80% of the females and minorities available for work based on the 2010 Census by job category; and 3) whether or not the estimated availability percentages were met for females and minorities within each of the job categories.

MTA-WIDE UTILIZATION ANALYSIS

AS OF SEPTEMBER 30, 2014

Job Category	Female*			Blacks			Hispanics			Asians			AI/AN**			NHOPI***			Other		
	Est Avail	Actual %	Util Anal Yes/No	Est Avail	Actual %	Util Anal Yes/No	Est Avail	Actual %	Util Anal Yes/No	Est Avail	Actual %	Util Anal Yes/No	Est Avail	Actual %	Util Anal Yes/No	Est Avail	Actual %	Util Anal Yes/No	Est Avail	Actual %	Util Anal Yes/No
Officials & Administrators																					
MTA HQ	32%	41%	YES	8%	27%	YES	8%	6%	NO	5%	12%	YES	0%	0%	YES	2%	0%	NO	1%	1%	YES
MTA B&T	29%	20%	NO	6%	19%	YES	8%	5%	NO	5%	9%	YES	2%	0%	NO	0%	1%	YES	1%	5%	YES
MTA MNR	26%	23%	NO	8%	15%	YES	9%	6%	NO	7%	7%	YES	0%	0%	YES	0%	0%	YES	1%	2%	YES
MTA LIRR	22%	21%	NO	12%	10%	NO	7%	7%	YES	4%	6%	YES	0%	0%	YES	1%	0%	NO	2%	2%	YES
MTA NYCT	27%	16%	NO	11%	35%	YES	9%	11%	YES	6%	14%	YES	0%	0%	YES	1%	0%	NO	1%	2%	YES
MTA CC	21%	22%	YES	5%	12%	YES	9%	4%	NO	27%	26%	NO	0%	1%	YES	1%	0%	NO	0%	4%	YES
MTA Bus	21%	10%	NO	13%	29%	YES	9%	15%	YES	6%	6%	YES	0%	0%	YES	0%	0%	YES	1%	3%	YES
Professionals																					
MTA HQ	39%	57%	YES	11%	34%	YES	8%	11%	YES	7%	17%	YES	0%	1%	YES	3%	0%	NO	1%	6%	YES
MTA B&T	31%	38%	YES	8%	18%	YES	8%	18%	YES	9%	18%	YES	0%	0%	YES	1%	0%	NO	1%	2%	YES
MTA MNR	33%	34%	YES	7%	19%	YES	6%	12%	YES	11%	15%	YES	0%	0%	YES	0%	0%	YES	1%	2%	YES
MTA LIRR	19%	22%	YES	10%	12%	YES	7%	9%	YES	6%	15%	YES	0%	0%	YES	2%	0%	NO	1%	3%	YES
MTA NYCT	36%	35%	NO	11%	32%	YES	8%	9%	YES	8%	26%	YES	0%	0%	YES	3%	0%	NO	1%	3%	YES
MTA CC	43%	36%	NO	7%	28%	YES	7%	4%	NO	5%	40%	YES	0%	0%	YES	2%	0%	NO	1%	0%	NO
MTA Bus	34%	47%	YES	12%	22%	YES	9%	10%	YES	7%	19%	YES	0%	0%	YES	2%	0%	NO	2%	5%	YES

*Females are also included in the percentage totals for each of the minority groups.

**American Indian/Alaskan Native

***Native Hawaiian Other Pacific Islander

MTA-WIDE UTILIZATION ANALYSIS

AS OF SEPTEMBER 30, 2014

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																		
Technicians																					
MTA HQ	13%	7%	NO	15%	4%	NO	10%	8%	NO	1%	2%	YES	0%	0%	YES	1%	0%	NO	1%	3%	YES
MTA B&T	12%	20%	YES	12%	16%	YES	11%	18%	YES	4%	6%	YES	0%	0%	YES	3%	0%	NO	0%	5%	YES
MTA MNR	26%	7%	NO	10%	19%	YES	8%	6%	NO	18%	11%	NO	0%	0%	YES	0%	0%	YES	1%	2%	YES
MTA LIRR	11%	8%	NO	11%	19%	YES	8%	13%	YES	7%	10%	YES	0%	0%	YES	1%	0%	NO	1%	0%	NO
MTA NYCT	39%	47%	YES	11%	49%	YES	12%	13%	YES	5%	12%	YES	0%	0%	YES	12%	0%	NO	2%	3%	YES
MTA CC	0%	0%	YES																		
MTA Bus	20%	56%	YES	8%	12%	YES	8%	16%	YES	14%	20%	YES	0%	0%	YES	4%	0%	NO	1%	0%	NO
Protective Services																					
MTA HQ	14%	12%	NO	12%	15%	YES	15%	17%	YES	1%	3%	YES	0%	0%	YES	1%	0%	NO	1%	1%	YES
MTA B&T	19%	20%	YES	29%	32%	YES	5%	23%	YES	3%	4%	YES	0%	0%	YES	0%	0%	YES	0%	2%	YES
MTA MNR	0%	0%	YES																		
MTA LIRR	0%	0%	YES																		
MTA NYCT	21%	23%	YES	31%	60%	YES	18%	16%	NO	1%	7%	YES	1%	0%	NO	3%	0%	NO	1%	1%	YES
MTA CC	0%	0%	YES																		
MTA Bus	16%	20%	YES	34%	60%	YES	18%	20%	YES	3%	0%	NO	0%	0%	YES	2%	0%	NO	2%	20%	YES

*Females are also included in the percentage totals for each of the minority groups.

**American Indian/Alaskan Native

***Native Hawaiian Other Pacific Islander

MTA-WIDE UTILIZATION ANALYSIS

AS OF SEPTEMBER 30, 2014

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																				
Para-Professionals																								
MTA HQ	0%	0%	YES	0%	0%	YES																		
MTA B&T	0%	0%	YES	0%	0%	YES																		
MTA MNR	69%	55%	NO	12%	14%	YES	12%	14%	YES	5%	22%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	1%	2%	YES
MTA LIRR	0%	0%	YES	0%	0%	YES																		
MTA NYCT	52%	46%	NO	20%	50%	YES	16%	25%	YES	2%	7%	YES	0%	0%	YES	6%	0%	NO	2%	0%	NO			
MTA CC	0%	0%	YES	0%	0%	YES																		
MTA Bus	0%	0%	YES	0%	0%	YES																		
Administrative Support																								
MTA HQ	62%	76%	YES	20%	44%	YES	19%	15%	NO	2%	4%	YES	0%	0%	YES	5%	0%	NO	2%	5%	YES			
MTA B&T	53%	71%	YES	18%	55%	YES	22%	14%	NO	2%	9%	YES	2%	0%	NO	4%	0%	NO	1%	0%	NO			
MTA MNR	59%	43%	NO	14%	34%	YES	15%	13%	NO	6%	4%	NO	0%	1%	YES	0%	0%	YES	1%	4%	YES			
MTA LIRR	49%	47%	NO	19%	28%	YES	11%	11%	YES	3%	5%	YES	0%	1%	YES	2%	0%	NO	2%	3%	YES			
MTA NYCT	55%	43%	NO	21%	57%	YES	23%	14%	NO	4%	15%	YES	0%	0%	YES	6%	0%	NO	2%	2%	YES			
MTA CC	65%	100%	YES	18%	33%	YES	17%	33%	YES	2%	0%	NO	0%	0%	YES	4%	0%	NO	2%	0%	NO			
MTA Bus	57%	43%	NO	23%	27%	YES	21%	13%	NO	3%	7%	YES	0%	0%	YES	5%	0%	NO	5%	8%	YES			

*Females are also included in the percentage totals for each of the minority groups.

**American Indian/Alaskan Native

***Native Hawaiian Other Pacific Islander

MTA-WIDE UTILIZATION ANALYSIS

AS OF SEPTEMBER 30, 2014

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																		
Skilled Craft																					
MTA HQ	0%	0%	YES																		
MTA B&T	0%	0%	YES																		
MTA MNR	3%	6%	YES	12%	18%	YES	10%	8%	NO	2%	2%	YES	1%	0%	NO	0%	0%	YES	2%	2%	YES
MTA LIRR	9%	10%	YES	17%	16%	NO	12%	10%	NO	2%	3%	YES	0%	0%	YES	1%	0%	NO	2%	2%	YES
MTA NYCT	21%	5%	NO	24%	39%	YES	16%	12%	NO	5%	13%	YES	0%	0%	YES	7%	0%	NO	2%	1%	NO
MTA CC	0%	0%	YES																		
MTA Bus	0%	1%	YES	21%	29%	YES	25%	15%	NO	2%	10%	YES	0%	0%	YES	3%	2%	NO	1%	5%	YES
Service Maintenance																					
MTA HQ	0%	0%	YES																		
MTA B&T	1%	3%	YES	11%	18%	YES	15%	15%	YES	3%	4%	YES	3%	0%	NO	1%	0%	NO	1%	2%	YES
MTA MNR	8%	14%	YES	15%	35%	YES	27%	17%	NO	3%	1%	NO	0%	0%	YES	0%	0%	YES	1%	2%	YES
MTA LIRR	17%	19%	YES	17%	26%	YES	22%	14%	NO	2%	2%	YES	0%	0%	YES	1%	0%	NO	2%	3%	YES
MTA NYCT	17%	18%	YES	36%	57%	YES	26%	21%	NO	2%	5%	YES	0%	0%	YES	2%	0%	NO	2%	2%	YES
MTA CC	0%	0%	YES																		
MTA Bus	11%	12%	YES	27%	51%	YES	30%	21%	NO	4%	5%	YES	0%	0%	YES	3%	0%	NO	1%	3%	YES

*Females are also included in the percentage totals for each of the minority groups.

**American Indian/Alaskan Native

***Native Hawaiian Other Pacific Islander

MTA-Wide New Hires

January 1, 2014 to September 30, 2014

- ❖ Between January 1, 2014 and September 30, 2014, MTA and its Agencies hired a total of 4,628 employees.
- ❖ 20 % of the total new hires are females.
- ❖ 72% of the total new hires are minorities.*
- ❖ Of the 72% of minorities hired, 39% are black and 18% are Hispanic.
- ❖ MTA HQ hired the highest percentage of females (45%).
- ❖ MTA BUS hired the highest percentage of minorities (86%).

*Females are included in each of the minority groups.

MTA-WIDE NEW HIRES

JANUARY 1, 2014 TO SEPTEMBER 30, 2014

AGENCY	NEW HRES ¹	FEMALES ²		Minorities		Non-Minorities		BLACKS		HISPANICS		ASIANS		AI/AN		NHOPI		OTHER	
		#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
MTA HQ	132	59	45%	75	57%	57	43%	31	23%	20	15%	22	17%	0	0%	0	0%	2	2%
MTA B&T	45	12	27%	23	51%	24	53%	11	24%	11	24%	1	2%	0	0%	0	0%	0	0%
MTA MNR	414	71	17%	193	47%	221	53%	81	20%	74	18%	31	7%	0	0%	0	0%	7	2%
MTA LIRR	324	57	18%	161	50%	163	50%	63	19%	42	13%	45	14%	1	0%	1	0%	9	3%
MTA NYCT	3,312	661	20%	2,522	76%	790	24%	1,437	43%	611	18%	441	13%	2	0%	0	0%	31	1%
MTA CC	22	9	41%	12	55%	10	45%	4	18%	1	5%	6	27%	0	0%	0	0%	1	5%
MTA BUS	379	54	14%	327	86%	52	14%	190	50%	87	23%	42	11%	1	0%	0	0%	7	2%
Total	4,628	923	20%	3,313	72%	1,317	28%	1,817	39%	846	18%	588	13%	4	0%	1	0%	57	1%

¹ Total includes males and females, both minority and non-minority.

² Total includes females, both minority and non-minority.

EEO/TITLE VI COMPLAINTS

- Between January 2014 and September 2014, MTA and its Agencies handled a total of 418 EEO complaints, citing 704 separate allegations.*
- Of the 418 complaints, 200 were filed externally at city, state and federal agencies and 218 were filed internally.
- Of the 200 external complaints, the most frequently cited bases for complaints were: 1) disability discrimination (20%); 2) other** types of miscellaneous discrimination (25%); and 3) race/color discrimination (20%).
- Of the 218 internal complaints, the most frequently cited bases for complaints were: 1) sexual harassment (21%); 2) other types of miscellaneous discrimination (15%); and 3) race/color discrimination (23%).
- Between January 2014 and September 2014, MTA and its Agencies handled a total of 72 Title VI complaints, citing 75 separate allegations. Of these 72 complaints, race discrimination (80%) was most frequently cited as the basis for 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 COMPLAINTS

AS OF SEPTEMBER 30, 2014¹

EEO DISCRIMINATION COMPLAINTS EXTERNAL											
AGENCY	RACE COLOR	SEXUAL HARASS.	AGE	GENDER	RELIGION	NATIONAL ORIGIN	DISABILITY	OTHER ²	TOTAL ISSUES ³	TOTAL CASES	STATUS OPEN
MTA	3	1	1	2	2	1	1	2	13	6	3
B&T	2	0	1	3	2	1	2	4	15	6	6
MNR	10	0	12	5	3	2	11	14	57	27	12
LIRR	7	1	1	2	0	2	2	3	18	12	8
NYCT	45	4	26	27	6	22	56	64	250	140	113
CC	0	0	0	0	0	0	0	0	0	0	0
BUS	9	0	2	1	0	0	5	6	23	9	9
TOTAL	76	6	43	40	13	28	77	93	376	200	151
	20%	2%	11%	11%	3%	7%	20%	25%			

EEO DISCRIMINATION COMPLAINTS INTERNAL											
AGENCY	RACE COLOR	SEXUAL HARASS.	AGE	GENDER	RELIGION	NATIONAL ORIGIN	DISABILITY	OTHER ²	TOTAL ISSUES ³	TOTAL CASES	STATUS OPEN
MTA	7	1	1	4	1	0	1	1	16	10	4
B&T	1	0	0	0	1	1	2	0	5	5	0
MNR	10	3	3	10	0	3	0	4	33	29	8
LIRR	5	0	2	1	1	0	0	3	12	9	1
NYCT	53	62	15	40	8	29	11	39	257	160	90
CC	0	0	0	0	0	0	0	0	0	0	0
BUS	1	2	1	1	0	0	0	0	5	5	1
TOTAL	77	68	22	56	11	33	14	47	328	218	104
	23%	21%	7%	17%	3%	10%	4%	14%			

1. This chart includes all pending matters as of the date of the report; including matters filed prior to the reporting period.
2. "Other" contains all EEO categories not otherwise specifically mentioned on the chart (i.e., sexual orientation, military status, marital status, arrest/conviction record or retaliation, etc.)
3. In some instances, a single complaint may involve two or more EEO categories.

MTA-WIDE TITLE VI COMPLAINTS

AS OF SEPTEMBER 30, 2014¹

AGENCY	RACE	COLOR	NATIONAL ORIGIN	INCOME	TOTAL ² ISSUES	TOTAL CASES	STATUS OPEN
MTA HQ	0	0	0	0	0	0	0
MTA MNR	9	0	0	0	9	9	0
MTA LIRR	4	0	0	0	4	4	0
MTA NYCT	48	4	8	0	60	57	25
MTA CC	0	0	0	0	0	0	0
MTA B&T	0	0	0	0	0	0	0
MTA BUS	2	0	0	0	2	2	0
TOTAL	63	4	8	0	75	72	25
	80%	2%	11%	0%			

1. This chart includes all pending matters as of the date of the report; including matters filed prior to the reporting period.
2. In some instances, a single complaint may involve two or more EEO categories.

MTA-WIDE EEO COMPLAINTS

DISPOSITION - JANUARY TO SEPTEMBER 2014

EEO DISCRIMINATION EXTERNAL COMPLAINTS

MTA AGENCY	REASONABLE CAUSE	NO REASONABLE CAUSE	ADMINISTRATIVE CLOSURE	WITHDRAWN	DISMISSAL	RESOLVED/ SETTLEMENT	TOTAL CASES
MTAHQ	0	0	0	0	0	3	3
B&T	0	0	0	0	0	0	0
MNR	0	8	7	0	0	0	15
LIRR	0	0	0	0	2	2	4
NYCT	0	26	0	1	0	0	27
CC	0	0	0	0	0	0	0
MTA BUS	0	0	2	0	0	1	3
TOTAL							52

EEO DISCRIMINATION INTERNAL COMPLAINTS

MTA AGENCY	REASONABLE CAUSE	NO REASONABLE CAUSE	ADMINISTRATIVE CLOSURE	WITHDRAWN	DISMISSAL	RESOLVED/ SETTLEMENT	TOTAL CASES
MTAHQ	1	4	0	0	0	1	6
B&T	0	5	0	0	0	0	5
MNR	3	10	8	0	0	0	21
LIRR	1	7	0	0	0	0	8
NYCT	9	42	10	9	0	0	70
CC	0	0	0	0	0	0	0
MTA BUS	2	1	1	0	0	0	4
TOTAL							114

MTA-WIDE TITLE VI COMPLAINTS

DISPOSITION - JANUARY TO SEPTEMBER 2014

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	0	5	4	0	0	0	9
LIRR	0	4	0	0	0	0	4
NYCT	0	25	7	0	0	0	32
CC	0	0	0	0	0	0	0
MTA BUS	0	2	0	0	0	0	2
						TOTAL	47

2014 THIRD QUARTER EEO REPORT

AGENCY NAME: **MTAHQ**

**WORKFORCE UTILIZATION
AS OF SEPTEMBER 30, 2014**

JOB TITLE	FEMALES ¹			BLACKS			HISPANICS			ASIANS			AI/AN ²			NHOPI ³			OTHER		
	Est Avail	Actual %	Met Avail	Est Avail	Actual %	Met Avail	Est Avail	Actual %	Met Avail	Est Avail	Actual %	Met Avail	Est Avail	Actual %	Met Avail	Est Avail	Actual %	Met Avail	Est Avail	Actual %	Met Avail
Officials & Administrators	32%	41%	Yes	8%	27%	Yes	8%	6%	No	5%	12%	Yes	0%	0%	Yes	2%	0%	No	1%	1%	Yes
Professionals	39%	57%	Yes	11%	34%	Yes	8%	11%	Yes	7%	17%	Yes	0%	1%	Yes	3%	0%	No	1%	6%	Yes
Technicians	13%	7%	No	15%	4%	No	10%	8%	No	1%	2%	Yes	0%	0%	Yes	1%	0%	No	1%	3%	Yes
Protective Services	14%	12%	No	12%	15%	Yes	15%	17%	Yes	1%	3%	Yes	0%	0%	Yes	1%	0%	No	1%	1%	Yes
Paraprofessionals	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes
Administrative Support	62%	76%	Yes	20%	44%	Yes	19%	15%	No	2%	4%	Yes	0%	0%	Yes	5%	0%	No	2%	5%	Yes
Skilled Craft	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes
Service Maintenance	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes	0%	0%	Yes

1. Females are also included in the percentage totals for each of the minority groups.
2. American Indian/Alaskan Native
3. Native Hawaiian/Other Pacific Islander

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

Service Maintenance

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

MTA POLICE WORKFORCE UTILIZATION THIRD QUARTER 2014

JOB TITLE	FEMALES ¹				BLACKS				HISPANICS			
	Est Avail	Estimated #	Actual #	Met Avail (Yes/No)	Est Avail	Estimated #	Actual #	Met Avail (Yes/No)	Est Avail	Estimated #	Actual #	Met Avail (Yes/No)
Inspector	16%	2	0	No	20%	2	1	No	12%	1	1	Yes
Captains	16%	1	0	No	19%	1	0	No	11%	2	1	No
Lieutenants	16%	4	1	No	20%	4	0	No	12%	3	2	No
Sergeants/Detective Sgts.	11%	9	6	No	11%	9	4	No	8%	6	6	Yes
Detectives	18%	5	5	Yes	13%	4	4	Yes	14%	4	6	Yes
Police Officers	13%	71	60	No	12%	61	81	Yes	15%	78	91	Yes

JOB TITLE	ASIANS				AI/AN ²				NHOPI ³			
	Est Avail	Estimated #	Actual #	Met Avail (Yes/No)	Est Avail	Estimated #	Actual #	Met Avail (Yes/No)	Est Avail	Estimated #	Actual #	Met Avail (Yes/No)
Inspector	1%	0	0	Yes	0%	0	0	Yes	1%	0	0	Yes
Captains	1%	0	1	Yes	0%	0	0	Yes	1%	0	0	Yes
Lieutenants	1%	0	0	Yes	0%	0	0	Yes	1%	0	0	Yes
Sergeants/Detective Sgts.	0%	0	2	Yes	0%	0	0	Yes	1%	0	0	Yes
Detectives	1%	0	0	Yes	0%	0	0	Yes	1%	0	0	Yes
Police Officers	1%	6	18	Yes	0%	0	0	Yes	1%	6	0	No

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

1. Females are also included in the percentage totals for each of the minority groups.

2. American Indian/Alaskan Native

3. Native Hawaiian Other Pacific Islander

2014 THIRD QUARTER EEO REPORT

AGENCY NAME: **MTAHQ**

**NEW HIRES
AS OF SEPTEMBER 30, 2014**

JOB CATEGORY	TOTAL ¹	FEMALES ²		Minorities		Non-Minorities		BLACKS		HISPANICS		ASIANS		AI/AN		NHOPI		OTHER	
		#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Officials & Administrators	28	13	46%	15	54%	13	46%	9	32%	2	7%	4	14%	0	0%	0	0%	0	0%
Professionals	56	34	61%	40	71%	16	29%	16	29%	9	16%	13	23%	0	0%	0	0%	2	4%
Technicians	0	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Protective Services	33	3	9%	10	30%	23	70%	4	12%	4	12%	2	6%	0	0%	0	0%	0	0%
Paraprofessionals	0	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Administrative Support	15	9	60%	10	67%	5	33%	2	13%	5	33%	3	20%	0	0%	0	0%	0	0%
Skilled Craft	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%
Total	132	59	45%	75	57%	57	43%	31	23%	20	15%	22	17%	0	0%	0	0%	2	2%

1. Total includes males and females, both minority and non-minority.

2. Total includes females, both minority and non-minority.

2014 THIRD QUARTER EEO REPORT

AGENCY NAME: MTAHQ

EEO AND TITLE VI COMPLAINTS

JANUARY 1, 2014 to SEPTEMBER 30, 2014¹

Category	Race	Disability	Gender	National Origin	Age	Sexual Harassment	Religion	Other ²	Total Issues ³	Total Cases	Status (# Open)
EEO TOTAL	10	2	6	1	2	2	3	3	29	16	7
External Complaints	3	1	2	1	1	1	2	2	13	6	3
Internal Complaints	7	1	4	0	1	1	1	1	16	10	4

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

1. This chart includes all pending matters as of the date of the report; including matters filed prior to the reporting period.
2. "Other" contains all EEO categories not otherwise specifically mentioned on the chart.
3. In some instances a single complaint may involve two or more EEO categories.

2014 THIRD QUARTER EEO REPORT

AGENCY NAME: MTAHQ

EEO DISCRIMINATION COMPLAINT RESOLUTIONS

JANUARY 1, 2014 to SEPTEMBER 30, 2014

	Decided in Favor of Agency	Decided in Favor of Complainant	Administrative Closure	Withdrawn	Dismissed	Resolved/Settled	Total
EEO TOTAL	4	1	0	0	0	4	9
External Complaints	0	0	0	0	0	3	3
Internal Complaints	4	1	0	0	0	1	6

TITLE VI DISCRIMINATION COMPLAINT RESOLUTIONS

JANUARY 1, 2014 to SEPTEMBER 30, 2014

	Decided in Favor of Agency	Decided in Favor of Complainant	Administrative Closure	Withdrawn	Dismissed	Resolved/Settled	Total
TITLE VI							
Complaints	0	0	0	0	0	0	0



Metropolitan Transportation Authority

MTA GEOGRAPHIC RECRUITMENT AREA & WORKFORCE AVAILABILITY PROCESS

November 17, 2014

OBJECTIVE

- What are MTA and its Agencies' geographic recruitment areas?
- How do MTA and its Agencies select their geographic recruitment areas?
- Explain MTA and its Agencies' workforce availability process.
- Why MTA and its Agencies have different workforce availability data?



GEOGRAPHIC RECRUITMENT AREAS

MTA's geographic recruitment areas are New York, New Jersey, and Connecticut. The New York Region is known as MTA's immediate labor market, and New Jersey and Connecticut Regions are known as MTA's expanded labor market.

The counties selected as MTA's geographic recruitment areas under the 2010 U.S. Census are as follows:

- New York Region for all MTA Agencies: NYC, Rockland, Westchester, Putnam, Dutchess, Nassau, and Suffolk Counties. Metro-North Railroad's New York Region also includes: Orange, Ulster, and Columbia Counties;
- New Jersey Region for all MTA Agencies: Bergen, Passaic, Middlesex, Somerset, Hunterdon, Monmouth, Ocean, Essex, Morris, Sussex, Union, Warren, Hudson, and Mercer Counties; and
- Connecticut Region for all MTA Agencies: Fairfield, New Haven, Middlesex, Hartford, and Litchfield Counties. Long Island Rail Road excludes Connecticut as part of its geographic recruitment area.



THE SELECTION PROCESS

- MTA's Geographic Recruitment Areas are selected from the United States Census Bureau's American Community Survey (ACS) of skilled civilian labor workforce based on race and gender as set forth in the "EEO 2006 - 2010 ACS Tabulation."
- The U.S. Census is used: (1) to determine MTA's immediate and expanded labor market; (2) to develop and drive MTA's Human Resources recruitment and outreach efforts; and (3) to identify the percentage of qualified individuals who have the skills required to perform jobs within each job group, and are located within the geographic recruitment areas selected by MTA.
- MTA analyzes the recruiting, hiring, residential, and commuting patterns of its internal workforce as additional factors to determine its relevant geographic areas.



WORKFORCE AVAILABILITY PROCESS

- MTA and its Agencies generate utilization reports to determine estimated workforce availability. The availability analysis estimates the percentages of minorities and females available for employment in each identified job category.
- MTA and its Agencies apply a series of analytical tests to establish estimated workforce availability and determine whether underutilization exists for a particular job category.
- Underutilization refers to a condition where there are fewer minorities and/or females in a particular job category than would reasonably be expected based on their presence in the relevant labor force.
- MTA Headquarters, Department of Diversity and Civil Rights prepared the 2014 utilization reports for Headquarters, MTA Bus, MTA CC, and MTA B&T. MTA NYCT, MTA LIRR, and MTA MNR's EEO Staff prepared their respective Agencies' 2014 utilization reports.



WORKFORCE AVAILABILITY ANALYSIS

To determine workforce availability, the MTA and its Agencies use the following process:

- They identify how many women and minorities with the requisite skills can reasonably be recruited from the relevant geographic area (external candidates).
- They identify how many women and minorities are promotable and transferable for the positions from within the existing workforce (internal candidates).
- They combine and weigh external and internal availability to compute an estimated percentage.
- Finally, they apply a factor of 80% to this percentage. Underutilization exists if the percentage of females and/or minorities in a particular job group is *less* than 80% of the final availability percentage.



VARIABLES THAT IMPACT AVAILABILITY DATA

Workforce availability data for MTA and its Agencies may vary as external and internal factors impact the percentages of available females and minorities.

Examples include:

- The selection of geographic recruitment areas and their application to various job categories, job groups and positions vary amongst MTA Agencies.
- MTA and its Agencies job categories, job groups, and position titles are not analogous.
- The number of females and minorities available with the requisite skills in the geographic recruitment areas for a specific job category may impact external availability data.
- The number of females and minorities available for promotions and transfers within each Agency varies and may impact internal availability data.
- Major internal restructuring within an Agency may impact workforce availability data due to possible consolidation, restructuring and/or creation of new job functions.



MTA-WIDE WORKFORCE STRATEGIES

MTA recognizes the value of maintaining a diversified and fully inclusive workforce. To achieve this end, MTA and its Agencies have implemented recruitment and outreach strategies to address underutilization, and increase the representation of women and minorities at all levels of the organization. The following are highlights of ongoing outreach efforts to address underrepresentation at MTA:

New Initiatives

- Metro-North held its First Talent Management Virtual Job Fair, which allowed Metro-North's staff to speak to potential candidates through a real-time web-based computer program.
- Metro-North launched its first Construction Management and Engineer Career Day.
- NYC Transit is in process of hiring an Assistant Chief Officer for Diversity and Inclusion, who will be responsible for developing and implementing a strategic plan to integrate diversity and inclusion values into existing practices, programs and procedures.

Outreach to Women

- NYC Transit and MTA Bus Company created the video, *Women in Transit*, for their internal news service and website employment page. This video provides a historic account of the contributions made by women to public transportation at the agencies.

Outreach to Veterans

- MTA HQ appointed a Director of All-Agency Veteran Recruitment and Staffing Initiatives responsible for organizing outreach efforts and to assist the military community in learning about and applying for positions throughout MTA.
- NYC Transit and MTA Bus Company recently signed a Memorandum of Agreement with the U.S. Army to become a partner in Army PaYS. This enlistment option program guarantees a job interview to future soldiers and cadets after their service.
- LIRR and its employees joined the Long Island Association, and signed on to the Veterans Hiring Pledge sponsored by Congressman Steve Israel. LIRR continues to partner with local government officials and organizations to broaden its outreach efforts to veterans.

Outreach to Hispanics

- NYC Transit and MTA Bus Company participated in this year's Mind, Body and Spirit Conference held at Yankee Stadium and sponsored by 100 Hispanic Women.
- MTA CC is pursuing mentorship opportunities with college level students through partnerships with local college chapters of Hispanic student organizations, as well as corporate memberships in Hispanic organizations to increase visibility within the Latino community.

Mobility Programs

- LIRR's Junior Engineer and Project Management Trainee programs promote upward mobility into the management ranks.
- MTA B&T launched and developed a Management Associates Program (MAP), as part of its succession planning and diversity initiatives.





Metropolitan Transportation Authority

MTA SMALL BUSINESS MENTORING PROGRAM UPDATE

November 17, 2014

MTA Small Business Mentoring Program Update

July to September 2014

- **Five contracts were awarded, totaling \$3.0 million.**
- **Four of these contracts were awarded to New York State certified M/WBE firms, totaling over \$2.1 million (70%).**
- **29 firms were pending pre-qualification.**
- **Five loans were approved and closed, totaling \$650,000. 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.**



Metropolitan Transportation Authority

MTA SMALL BUSINESS FEDERAL PROGRAM UPDATE

November 17, 2014

MTA Small Business Federal Program Update

July to September 2014

- Two projects were awarded, totaling \$2.1 million, of which 31% was awarded to DBE firms.
- Twenty-three firms are prequalified, and 14 firms were pending prequalification.
- 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 has been finalized with Willis/ACE Surety. Participating firms are eligible for surety bond assistance up to \$3 million.



Metropolitan Transportation Authority

M/W/DBE CONTRACT COMPLIANCE Third Quarter 2014 Update

November 17, 2014

**DBE Participation in Federally Funded Contracts
Federal Fiscal Year 2014*
(October 1, 2013 to September 2014)**

- 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 September 2014, approximately \$984 million was awarded as the federally funded portion of contracts, with over \$167 million (17%) being awarded to certified DBEs.
- From October 2013 through September 2014, approximately \$1.5 billion was paid to prime contractors, with payments to certified DBEs totaling approximately \$192 million (12%).

* 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 - SEPTEMBER 2014)**

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 - March 2014	34	\$719,672,946.57	59	\$127,906,389	18%	17%
2nd SEMI-ANNUAL REPORT April 2014 - September 2014	83	\$264,452,019.20	62	\$39,883,570	15%	17%
TOTAL	117	\$984,124,966	121	\$167,789,959	17%	17%

PAYMENTS*

CONTRACT PAYMENTS	PRIME PAYMENTS		DBE PARTICIPATION			OVERALL FTA GOAL
	Number of Contracts	Payment Amount	Number of DBE Contracts**	DBE Payment Amount	% To Agency Total	
1st SEMI-ANNUAL REPORT October 2013 - March 2014	410	\$608,532,033	2,552	\$91,976,131	15%	17%
2nd SEMI-ANNUAL REPORT April 2014 - September 2014	219	\$932,229,007	859	\$100,045,929	11%	17%
TOTAL	629	\$1,540,761,040	3,411	\$192,022,060	12%	17%

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

**Includes prime and sub-contractor participation.

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%

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%

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%

FEDERAL FISCAL YEAR 2014

October 2013 - September 2014

	Total Awards	Total DBE Awards	DBE%
October 2013 - March 2014	\$719,672,946	\$127,906,389	18%
April 2014 - September 2014	\$264,452,019	\$39,883,570	15%
Total 2014	\$984,124,965	\$167,789,959	17%

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%

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%

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%

FEDERAL FISCAL YEAR 2014

October 2013 - September 2014

	Total Prime Payments	Total DBE Payments	DBE%
October 2013 - March 2014	\$608,532,033	\$91,976,131	15%
April 2014 - September 2014	\$932,229,007	\$100,045,929	11%
Total 2014	\$1,540,761,040	\$192,022,060	12%

**MWBE Participation in State Funded Contracts
New York State Fiscal Year 2014-2015
(April 2014 to September 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 2014 to September 30, 2014 , over \$907 million was awarded in NY State funded contracts, with over \$194 million (21%) awarded to certified MWBEs.
- From April 2014 to September 2014, over \$622 million was paid on prime contracts with approximately \$143 million (23%) paid to MWBEs.

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

**NYS CONTRACTS
MWBE CONTRACT ACTIVITY
APRIL 1, 2014 - SEPTEMBER 30, 2014
AWARDS**

CONTRACT AWARDS	PRIME AWARDS		MWBE PARTICIPATION			NYS Goal
	Number of Contracts	Award Amount	Number of MWBE Contracts*	MWBE Award Amount	MWBE %	
FIRST QUARTER	16,915	\$540,465,794	424	\$83,913,228	16%	20%
APRIL 2014 - JUNE 2014						
SECOND QUARTER	14,250	\$366,609,489	994	\$110,419,842	30%	20%
JULY - SEPTEMBER 2014						
TOTAL	\$ 31,165	\$ 907,075,283	\$ 1,418	\$ 194,333,070	21%	20%

PAYMENTS

CONTRACT PAYMENTS	PRIME PAYMENTS		MWBE PARTICIPATION			NYS Goal
	Number of Contracts	Payment Amount	Number of MWBE Contracts*	MWBE Payment Amount	MWBE %	
FIRST QUARTER	1,683	\$297,168,938	2,047	\$70,811,822	24%	20%
APRIL 2014 - JUNE 2014						
SECOND QUARTER	1,799	\$325,324,903	2,204	\$71,782,605	22%	
JULY - SEPTEMBER 2014						
TOTAL	\$ 3,482	\$ 622,493,841	\$ 4,251	\$ 142,594,427	23%	20%

*Includes prime and sub-contractor participation.

MWBE AWARDS

FY 2011 - 2012 MWBE AWARDS

April 2011 - March 2012

	AGENCY	AGENCY PRIME AWARDS	MBE AWARDS	MBE%	WBE AWARDS	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	MTA	\$366,342,216	\$12,418,882	3%	\$6,861,258	2%	\$19,280,140	5%
QTR. 2	MTA	\$360,271,682	\$17,787,465	5%	\$11,549,550	3%	\$29,337,015	8%
QTR. 3	MTA	\$1,032,607,349	\$67,793,668	7%	\$44,284,802	4%	\$112,078,470	11%
QTR. 4	MTA	\$79,386,111	\$4,205,169	5%	\$2,830,735	4%	\$7,035,904	9%
TOTALS		\$1,838,607,358	\$102,205,184	6%	\$65,526,344	4%	\$167,731,528	9%

FY 2012 - 2013 MWBE AWARDS

April 2012 - March 2013

	AGENCY	AGENCY PRIME AWARDS	MBE AWARDS	MBE%	WBE AWARDS	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	MTA	127,257,440	20,261,495	16%	18,869,069	15%	39,130,564	31%
QTR. 2	MTA	215,936,782	25,266,811	12%	21,435,174	10%	46,701,986	22%
QTR. 3	MTA	246,752,496	39,483,610	16%	28,740,692	12%	68,224,302	28%
QTR. 4	MTA	128,226,362	28,785,208	22%	22,036,571	17%	50,821,779	40%
TOTALS		718,173,079	113,797,125	16%	91,081,506	13%	204,878,631	29%

FY 2013 - 2014 MWBE AWARDS

April 2013 - March 2014

	AGENCY	AGENCY PRIME AWARDS	MBE AWARDS	MBE%	WBE AWARDS	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	MTA	116,955,585	23,349,641	20%	18,157,768	16%	41,507,410	35%
QTR. 2	MTA	195,012,501	20,680,851	11%	14,881,246	8%	35,562,098	18%
QTR. 3	MTA	240,110,260	31,353,894	13%	26,014,920	11%	57,368,815	24%
QTR. 4	MTA	87,365,455	20,812,617	24%	11,632,610	13%	32,445,227	37%
TOTALS		639,443,801	96,197,003	15%	70,686,545	11%	166,883,549	26%

FY 2014 - 2015 MWBE AWARDS

April 2014 - September 2014

	AGENCY	AGENCY PRIME AWARDS	MBE AWARDS	MBE%	WBE AWARDS	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	MTA	540,465,794	42,186,077	8%	41,727,151	8%	83,913,228	16%
QTR. 2	MTA	366,609,489	55,965,313	15%	54,454,529	15%	110,419,842	30%
TOTALS		907,075,283	98,151,390	11%	96,181,680	11%	194,333,070	21%

FY 2011 - 2012 MWBE PAYMENTS

April 2011 - March 2012

	AGENCY EXPENDITURE	MBE Utilization	MBE%	WBE Utilization	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	\$209,773,476	\$21,098,722	10%	\$9,293,371	4%	\$30,392,093	14%
QTR. 2	\$253,958,630	\$17,459,064	7%	\$16,619,780	7%	\$34,078,844	13%
QTR. 3	\$338,892,028	\$21,567,860	6%	\$20,427,398	6%	\$41,995,259	12%
QTR. 4	\$271,257,278	\$23,657,517	9%	\$28,459,076	10%	\$52,116,593	19%
TOTALS	\$1,073,881,412	\$83,783,163	8%	\$74,799,626	7%	\$158,582,788	15%

FY 2012 - 2013 MWBE PAYMENTS

April 2012 - March 2013

	AGENCY EXPENDITURE	MBE Utilization	MBE%	WBE Utilization	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	\$359,164,512	\$30,152,593	8%	\$35,714,723	10%	\$65,867,316	18%
QTR. 2	\$279,965,925	\$33,642,858	12%	\$32,348,289	12%	\$65,991,146	24%
QTR. 3	\$267,401,199	\$37,756,663	14%	\$26,350,595	10%	\$64,107,258	24%
QTR. 4	\$303,256,314	\$34,305,802	11%	\$30,939,264	10%	\$65,245,066	22%
TOTALS	\$1,209,787,949	\$135,857,915	11%	\$125,352,870	10%	\$261,210,785	22%

FY 2013 - 2014 MWBE PAYMENTS

April 2013 - March 2014

	AGENCY EXPENDITURE	MBE Utilization	MBE%	WBE Utilization	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	\$341,714,029	\$40,020,062	12%	\$33,645,353	10%	\$73,665,416	22%
QTR. 2	\$292,881,193	\$41,026,934	14%	\$34,944,002	12%	\$75,970,936	26%
QTR. 3	\$320,491,973	\$39,377,640	12%	\$34,936,213	11%	\$74,313,852	23%
QTR. 4	\$283,143,437	\$32,883,478	12%	\$29,762,065	11%	\$62,645,543	22%
TOTALS	\$1,238,230,633	\$153,308,114	12%	\$133,287,633	11%	\$286,595,747	23%

FY 2014 - 2015 MWBE PAYMENTS

April 2014 - September 2014

	AGENCY EXPENDITURE	MBE Utilization	MBE%	WBE Utilization	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	\$297,168,938	\$38,442,457	13%	\$32,369,365	11%	\$70,811,822	24%
QTR. 2	\$325,324,903	\$44,176,954	14%	\$27,605,651	8%	\$71,782,605	22%
TOTALS	\$622,493,841	\$82,619,411	13%	\$59,975,016	10%	\$142,594,427	23%

**MTA ALL AGENCY
DISCRETIONARY PROCUREMENT REPORT*
April 2014 - September 2014**

Agency	Total Award Amount**	Total MWBE Awards	MWBE	Total Awards \$200k or less	MWBE Discretionary Awards	Discretionary MWBE	SBC Discretionary	Discretionary SBC
MTA NYCTA	\$338,446,311	\$13,085,559	4%	\$102,144,405	\$10,253,514	10%	\$6,000,861	6%
MTA MNR	\$99,546,254	\$2,399,308	2%	\$23,923,385	\$1,503,254	6%	\$57,624	0%
MTA B&T	\$88,355,441	\$743,024	1%	\$3,835,804	\$291,244	8%	\$93,720	2%
MTA LIRR	\$118,865,172	\$2,353,669	2%	\$21,083,103	\$1,259,362	6%	\$421,496	2%
MTA HQ	\$92,935,922	\$256,562	0%	\$5,148,437	\$0	0%	\$0	0%
MTA CC	\$5,399,132	\$20,378	0%	\$297,589	\$12,371	4%	\$3,312	1%
MTA BUS	\$32,445,018	\$610,014	2%	\$17,525,044	\$188,102	1%	\$107,400	1%
Total	\$775,993,250	\$19,468,514	3%	\$173,957,767	\$13,507,847	8%	\$6,684,413	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.

**Excludes federally funded contracts, and federal and state funded construction contracts.

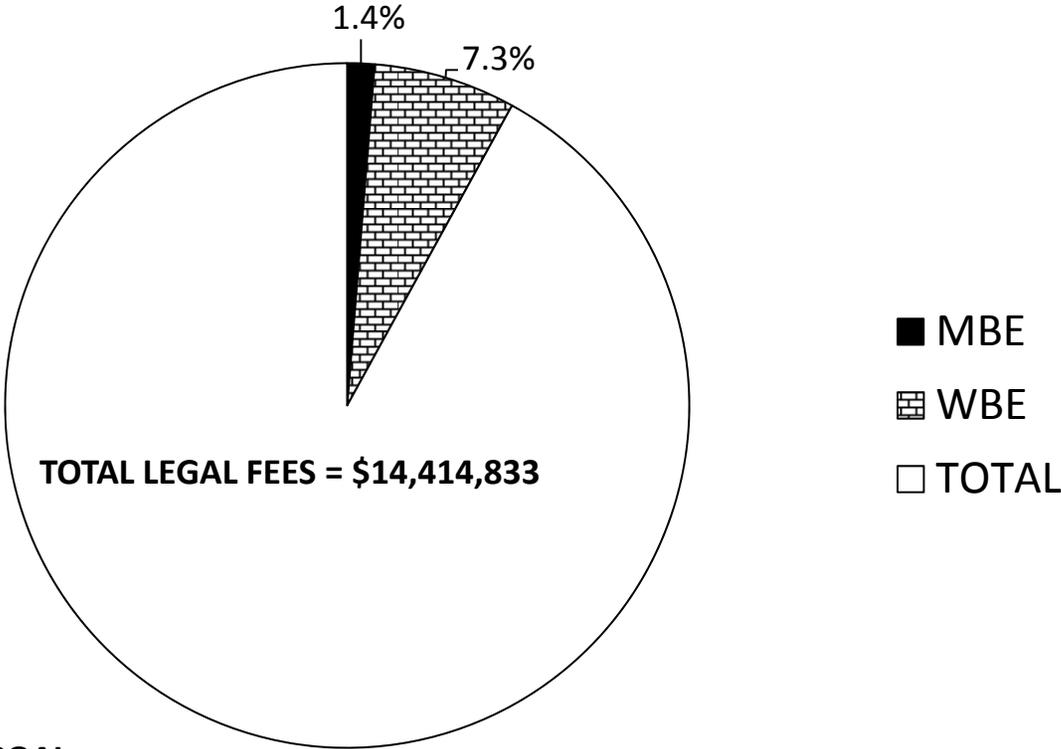


Metropolitan Transportation Authority

FINANCIAL AND LEGAL SERVICES

November 17, 2014

MTA ALL AGENCY LEGAL FEES April 2014- SEPTEMBER 2014



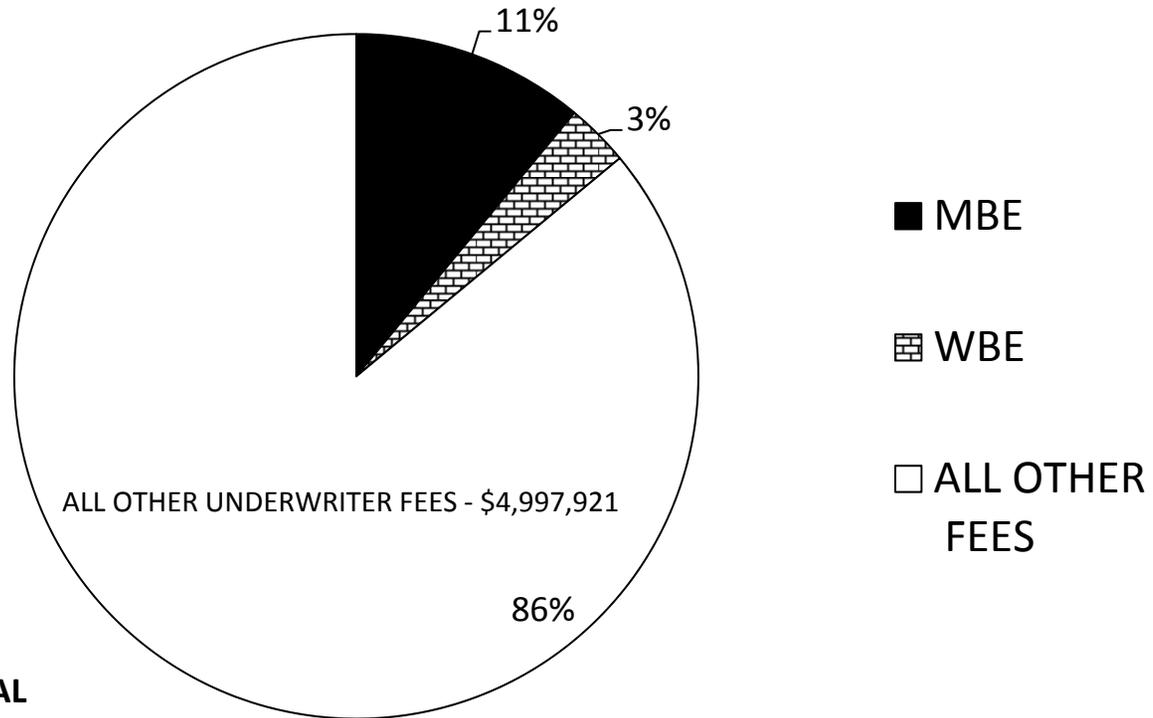
10% MBE GOAL
10% WBE GOAL

Actual MBE Participation = \$207,252 or 1.4%
Actual WBE Participation = \$1,057,231 or 7.3%

**MTA ALL AGENCY LEGAL FEES PAID
APRIL THROUGH SEPTEMBER 2014**

AGENCY	ALL FEES PAID	MBE FEES PAID	AGENCY MBE PARTICIPATION	WBE FEES PAID	AGENCY WBE PARTICIPATION
B & T	\$529,539	\$0	0.0%	\$29,311	6.6%
LIRR	\$974,517	\$14,442	3.7%	\$0	0.0%
MTABUS	\$1,877,644	\$91,730	4.6%	\$93,098	0.0%
MTACC	\$1,727,444	\$0	0.0%	\$669,325	21.6%
MTAHQ	\$3,983,902	\$16,508	0.4%	\$31,739	1.5%
MNR	\$855,670	\$32,881	4.3%	\$7,174	0.0%
NYCTA	\$4,466,117	\$51,691	1.1%	\$226,585	8.7%
TOTAL	\$14,414,833	\$207,252	1.4%	\$1,057,231	7.3%

MTA ALL AGENCIES UNDERWRITER FEES April 2014-September 2014



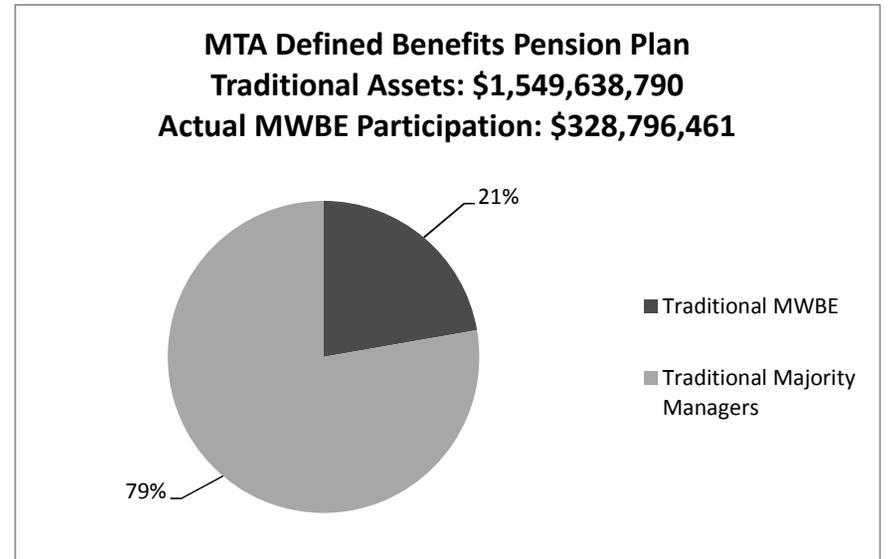
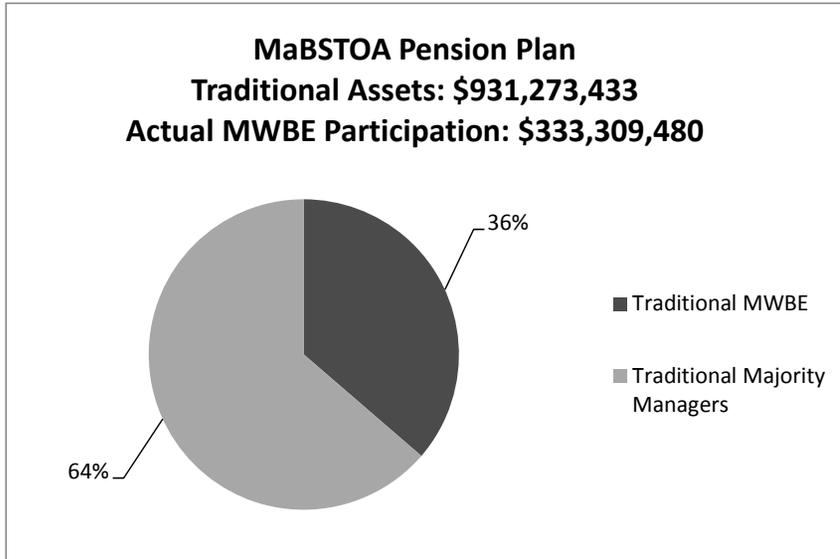
10% MBE GOAL
10% WBE GOAL

Total Underwriter Fees = \$5,851,274 or 100%
Actual MBE Participation = \$672,724 or 11%
Actual WBE Participation = \$180,629 or 3%

MTA ASSET FUND MANAGERS

November 17, 2014

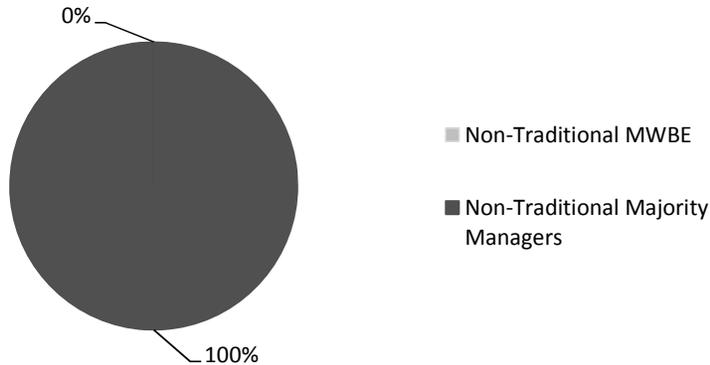
**TRADITIONAL ASSETS
MWBE PARTICIPATION
As of 08/31/2014**



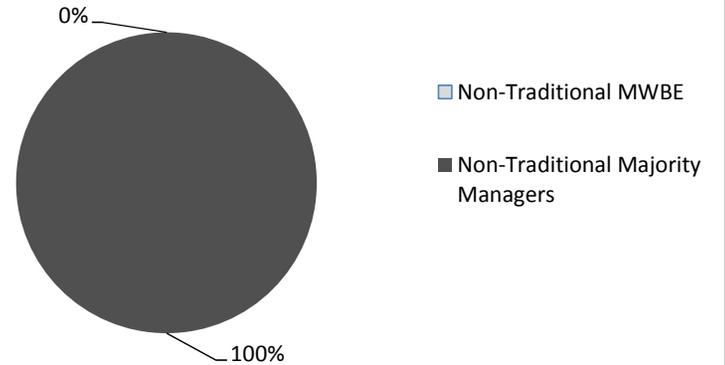
TOTAL TRADITIONAL ASSETS = \$2,480,912,223

**NON-TRADITIONAL ASSETS
MWBE PARTICIPATION
As of 08/31/2014**

**MaBSTOA Pension Plan
Non-Traditional Assets: \$1,314,316,963
Actual MWBE Participation: \$0**



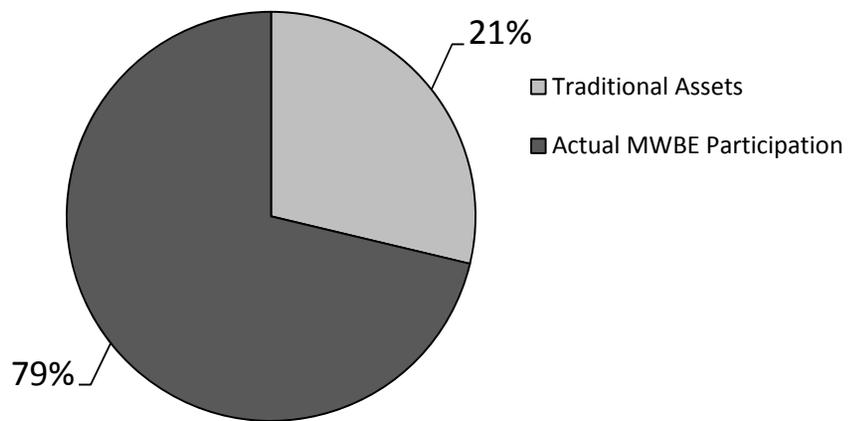
**MTA Defined Benefits Pension Plan
Non-Traditional Assets: \$2,103,984,089
Actual MWBE Participation: \$0**



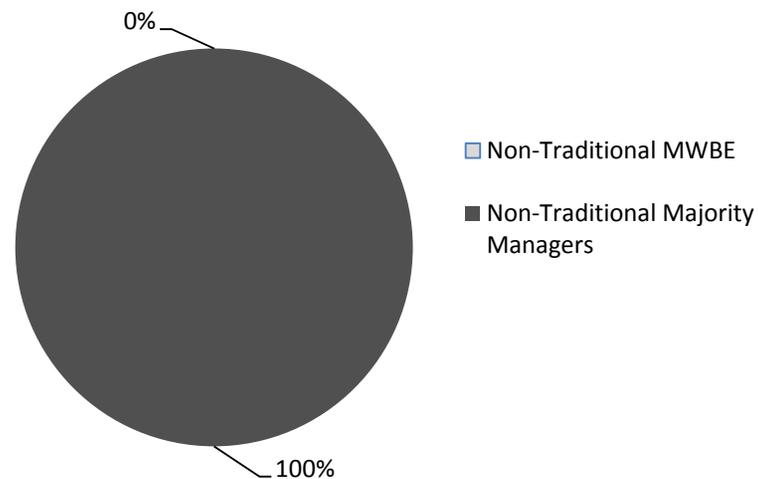
TOTAL NON-TRADITIONAL ASSETS = \$3,418,301,052

SUMMARY OF ALL PENSION ASSETS TRADITIONAL/NON TRADITIONAL MWBE PARTICIPATION AS OF 08/31/2014

Total Traditional Assets: \$2,480,912,223
Actual MWBE Participation: \$662,105,941

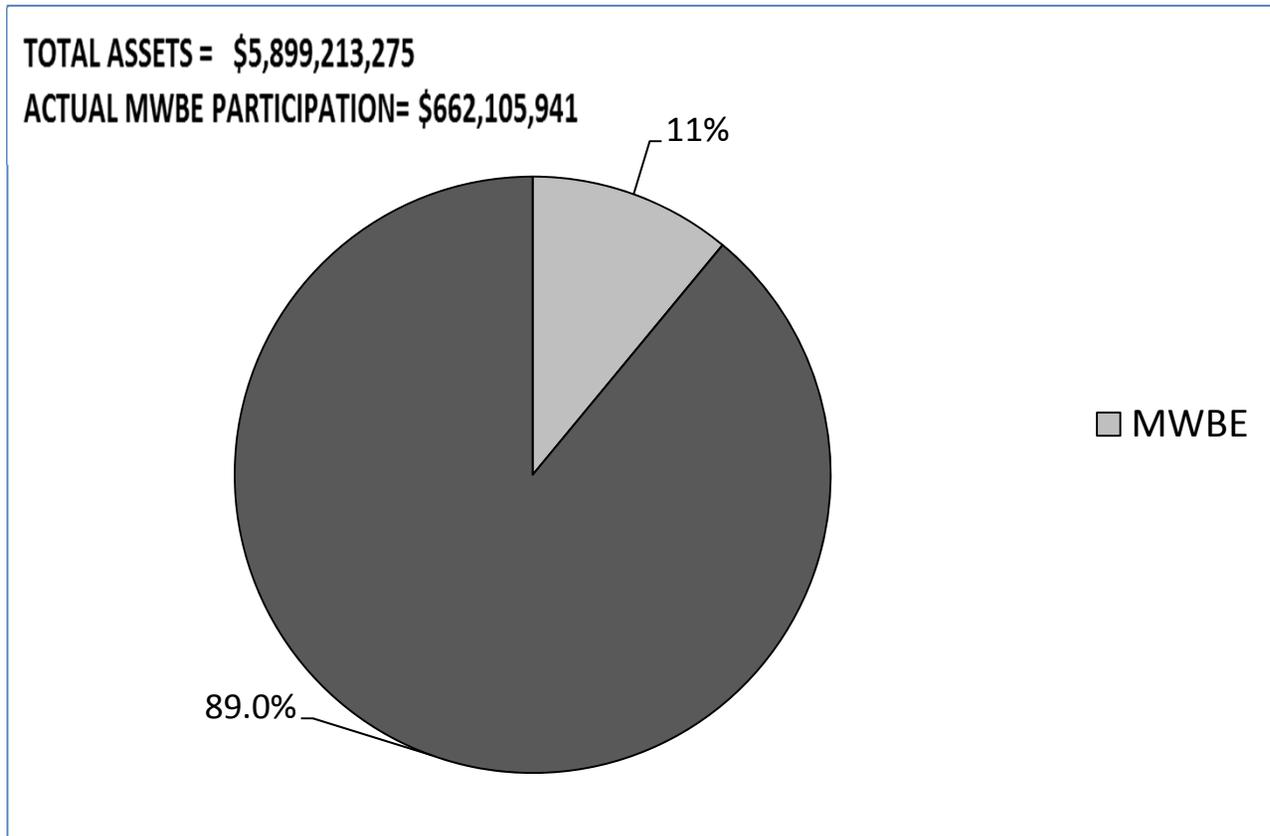


Total Non-Traditional Assets: \$3,418,301,052
Actual MWBE Participation: \$0



Total Assets = \$5,899,213,275

**SUMMARY OF TOTAL ASSETS
MWBE PARTICIPATION
AS OF 08/31/2014**



MTA CAPITAL PROJECTS M/W/DBE AWARDS

November 17, 2014

**MWDBE AWARDS ON MTA CAPITAL PROJECTS with GOALS
JANUARY - SEPTEMBER 2014
FEDERALLY FUNDED**

FEDERALLY FUNDED	FIRST QUARTER (JANUARY-MARCH) (in millions)			SECOND QUARTER (APRIL-JUNE) (in millions)			THIRD QUARTER (JULY- SEPTEMBER) (in millions)			2014 TOTALS (JANUARY-SEPTEMBER 2014) (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
DBE Participation Goal: 17%												
Construction	\$ 639.0	\$ 141.0	22%	\$ 98.4	\$ 13.1	13%	\$ 131.0	\$ 23.3	17.8%	\$ 868.4	\$ 177.4	20%
Professional Services							\$ 0.8	\$ 0.2	25.0%	\$ 0.8	\$ 0.2	25%
Other												
TOTAL	\$ 639.0	\$ 141.0	22%	\$ 98.4	\$ 13.1	13%	\$ 131.8	\$ 23.5	17.8%	\$ 869.2	\$ 177.6	20%
Additional MWBE Participation:	Total Awards	Total MWBE Awards		Total Awards	Total MWBE Awards		Total Awards	Total MWBE Awards		Total Awards	Total MWBE Awards	
Construction	\$ 639.0	\$ 134.0		\$ 98.4	\$ 11.4		\$ 131.0	\$ 0.4		\$ 868.4	\$ 145.8	
Professional Services	\$ -	\$ -		\$ -	\$ -		\$ 0.8	\$ 0.2		\$ 0.8	\$ 0.2	
Other	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
Total	\$ 639.0	\$ 134.0		\$ 98.4	\$ 11.4		\$ 131.8	\$ 0.6		\$ 869.2	\$ 146.0	

**MWDBE AWARDS ON MTA CAPITAL PROJECTS with GOALS
JANUARY - SEPTEMBER 2014
STATE FUNDED**

STATE FUNDED	FIRST QUARTER (JANUARY-MARCH) (in millions)			SECOND QUARTER (APRIL-JUNE) (in millions)			THIRD QUARTER (JULY- SEPTEMBER) (in millions)			2014 TOTALS (JANUARY-SEPTEMBER 2014) (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 (%)
MBE Participation Goal: 10%												
Construction	\$ 21.2	\$ 3.8	17.9%	\$ 93.3	\$ 11.5	12.3%	\$ 84.6	\$ 8.4	9.9%	\$ 199.1	\$ 23.7	11.9%
Professional Services	\$ 3.4	\$ 0.1	2.9%	\$ 4.7	\$ 0.6	12.8%	\$ 3.7	\$ 0.2	5.4%	\$ 11.8	\$ 0.9	7.6%
Other	\$ 2.3	\$ 0.3	13.0%	\$ -	\$ -	0.0%	\$ -	\$ -		\$ 2.3	\$ 0.30	13.0%
MBE Participation on FTA-funded projects							\$ -	\$ -				
TOTAL	\$ 26.9	\$ 4.2	16%	\$ 98.0	\$ 12.1	12%	\$ 88.3	\$ 8.60	10%	\$213.2	\$ 24.9	12%
WBE Participation Goal: 10%												
Construction	\$ 21.2	\$ 2.8	13.2%	\$ 93.3	\$ 10.9	11.7%	\$ 84.6	\$ 9.6	11.3%	\$ 114.5	\$ 13.7	12.0%
Professional Services	\$ 3.4	\$ 1.6	47.1%	\$ 4.7	\$ 0.5	10.6%	\$ 3.7	\$ 0.1	0.1%	\$ 8.1	\$ 2.1	25.9%
Other	\$ 2.3	\$ 0.2					\$ -	\$ -	0.0%	\$ 2.3	\$ 0.20	
WBE Participation on FTA-funded projects							\$ -	\$ -	0.0%			
TOTAL	\$ 26.9	\$ 4.6	17%	\$ 98.0	\$ 11.4	12%	\$ 88.3	\$ 9.7	11.0%	\$ 124.9	\$ 16.0	13%
Additional DBE Participation:												
Construction	\$ 21.2	\$ 5.2		\$ 92.4	\$ 13.1		\$ 84.6	\$ 33.5		\$ 113.6	\$ 18.3	
Professional Services	\$ 3.4	\$ 1.7		\$ 2.6	\$ 0.4		\$ 3.9	\$ 0.4		\$ 6.0	\$ 2.1	
Other	\$ 2.3	\$ 0.5		\$ -	\$ -		\$ -	\$ -		\$ 2.3	\$ 0.5	
Additional DBE Participation - TOTAL	\$ 26.9	\$ 7.4		\$ 95.0	\$ 13.5		\$ 88.5	\$ 33.9		\$ 121.9	\$ 20.9	



Metropolitan Transportation Authority

**MTA INTER-AGENCY
MWDBE
TASK FORCE UPDATE**

November 17, 2014

MTA Inter-Agency MWDBE Task Force Update

- Continued to work with MTA Agency Procurement Directors to improve MWBE participation, from 20% to 30% for New York State Fiscal Year 2015/2016.
- Coordinated participation by MTA Department of Diversity and Civil Rights and Agency Procurement staffs at the October 2014 New York State MWBE Forum in Albany, New York--largest statewide business opportunity event for small businesses, including MWBEs. Participants learned about new projects, met with private and public sector decision makers and had an opportunity to network.
- Continued to work towards implementing a Mentoring Program for Paratransit Service.
- Planned issuance of a second Request for Proposal to solicit additional small, including MWDBE law firms, which specialize in bond counsel work.
- Planned a Mentoring Program for small, including MWDBE, firms which specialize in signal work.

MTA DIVERSITY COMMITTEE CHARTER

November 17, 2014

The Metropolitan Transportation Authority

DIVERSITY COMMITTEE

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

I. PURPOSE

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

II. COMMITTEE AUTHORITY

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

III. COMMITTEE MEMBERSHIP

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

IV. COMMITTEE MEETINGS

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

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

V. COMMITTEE REPORTS.

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

VI. KEY RESPONSIBILITIES

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

To fulfill its purpose, the Committee shall:

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

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