



**Metropolitan Transportation Authority**

# Diversity Committee Meeting

## May 2015

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### Committee Members

J. Molloy, Chairman

F. Ferrer, MTA Vice Chairman

S. Metzger

J. Banks III

R. Bickford

**Diversity Committee Meeting**  
2 Broadway, 20th Floor Board Room  
New York, NY 10004  
Monday, 5/18/2015  
2:45 - 3:45 PM ET

**1. PUBLIC COMMENT PERIOD**

**2. APPROVAL OF MINUTES – FEBRUARY 23, 2015**

*February 2015 Minutes - Page 3*

**3. 2015 DIVERSITY COMMITTEE WORK PLAN**

*2015 Diversity Committee Work Plan - Page 9*

**4. BUSINESS AND DIVERSITY INITIATIVES**

*Business and Diversity Initiatives - Page 12*

**5. CERTIFICATION ACTIVITY REPORT**

*Certification Activity Report - Page 16*

**6. FIRST QUARTER 2015 EEO ACTIVITIES**

*First Quarter EEO Activities - Page 19*

**7. SMALL BUSINESS DEVELOPMENT PROGRAM UPDATE**

*Small Business Development Program - Page 41*

**8. M/W/DBE CONTRACT COMPLIANCE FIRST QUARTER 2015 REPORT**

*MWDBE Contract Compliance - Page 56*

**9. FINANCIAL AND LEGAL SERVICES**

*Financial and Legal Services - Page 71*

**10. ASSET FUND MANAGERS**

*Asset Fund Managers - Page 75*

**11. M/W/DBE CAPITAL PROJECTS**

*MWDBE Capital Projects - Page 80*

**MTA DIVERSITY COMMITTEE**

Meeting Minutes

347 Madison Avenue, Fifth Floor Board Room

New York, NY 10017

Monday, February 23, 2015

2:15 p.m.

The following Committee members were present:

Hon. John Molloy, Chairman

Hon. Fernando Ferrer

Hon. Robert Bickford

The following Committee members were absent:

Hon. John Banks III

Hon. Susan G. Metzger

The following were also present:

Dr. Michael Horodniceanu, President, MTA Capital Construction (“CC”)

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

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

Naeem Din, Deputy Director, MTA Department of Diversity and Civil Rights (“DDCR”)

Michael Wetherell, Director, MTA Office of Construction Oversight

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

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

L. Danny Camacho, Manager, Certification, DDCR

Leon Goodman, Assistant Director, Equal Employment Opportunity (“EEO”), Title VI and MWDBE Outreach, DDCR

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

David Sang, EEO Specialist, Investigations, DDCR

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

Patricia Lodge, Vice President, Human Resources, NYC Transit

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

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

Kathy Meilick, Senior Director, Human Resources, LIRR

Aleyda Meyers, Director, MTA All-Agency Veteran Recruitment and Staffing Initiatives

Lee Lawton, Director, Workforce Development, MTA Human Resources

Carlo Creus, EEO Compliance Analyst, Office of EEO, NYC Transit

Robert Rodriguez, Director, Office of Diversity and Equal Opportunity, MNR  
Roberto Aguirre, Sr., Assistant Director, Office of Diversity and Equal Opportunity, MNR  
Shawn Moore, Chief EEO Officer, MTA Bridges and Tunnels (“B&T”)  
David Cannon, Director, Procurement and Risk Management, CC  
Melissa Jones, Manager, Compliance and Reporting, CC  
Sheldon Dixon, Director, Human Resources, CC  
Georgette Jones, Manager, 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 November 17, 2014.

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

#### **2015 Diversity Committee Work Plan**

Chairman Molloy asked if there were any changes to the Work Plan. Mr. Din noted one change to the 2015 Work Plan. The meeting previously scheduled for November 2015 will be held in December 2015.

#### **2015 DDCR Departmental Goals**

Mr. Din provided an update on departmental goals. Small Business Training Program is set to resume in March 2015. MTA plans to award \$80 million in Small Business Mentoring Program (“SBMP”) by July 2015. Through December 2014, MTA awarded \$88 million in SBMP. Of this amount, MTA awarded 74% to MWBEs. Another MTA goal is to award \$30 million in its Small Business Federal Program (“SBFP”). Through December 2014, MTA awarded \$42 million of which 34% was awarded to DBEs.

DDCR is finalizing the implementation of MTA’s MWDBE Contract Compliance System. DDCR is also working with Kawasaki Rail Car, Inc. to finalize a Minority Supplier Development Program. DDCR is planning a mentoring program within Paratransit. DDCR is also working with NYC Transit and signal equipment manufacturers to create a mentor/protégé program for signal projects.

Mr. Din said that Michael Garner, MTA Chief Diversity Officer could not attend the committee meeting because he is attending an MWBE conference at New York City Hall.

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

Ms. Chape reported on outreach initiatives. Among these events was an orientation session held for newly certified MWDBE firms in December 2014; over 96 firms attended. Another such session is scheduled for February 2015. Monthly DBE certification workshops are being held. MTA’s SBMP held its first graduation in January 2015; 45 firms have graduated into Tier II of the Program.

## **Certification Activity Report**

Mr. Din said that Carolyn Greene, long-serving Assistant Director, Certification has retired. Mr. Din thanked Ms. Greene for her dedicated service to the MTA. Mr. Camacho reported on the certification activity for 2014. A total of 118 new certification applications were received; this number decreased compared with 2012 and 2013. A total of 130 applications were processed in 2014: 77 certified, 4 denied certification, 29 applications were returned, and 20 withdrawn. Mr. Camacho also reported certification activities for 2012 and 2013. The number of firms certified in 2014 decreased, compared with 2012 and 2013.

Mr. Ferrer asked why the number of certified firms decreased, compared with the last two years. Mr. Camacho said the firms whose applications were reviewed did not meet the certification standards set out in the federal regulations. Mr. Ferrer asked how MTA can increase the number of certified firms to the level achieved in 2013. Mr. Camacho said MTA has to continue its outreach efforts. Mr. Din said DDCR is continuing to solicit firms for DBE certification. DDCR conducts monthly sessions for potential DBE firms in order to inform them about the certification process. He said once firms are certified they are invited to an orientation session. Firms get the chance to meet with MTA agency procurement representatives and network with MTA agencies. Ms. Chape said firms can also be certified with MTA's other certifying partners in the New York Unified Certification Program.

Chairman Molloy said outreach sessions are currently scheduled for Nassau and Suffolk counties in April and May 2015, respectively. Mr. Din added that additionally outreach sessions will be scheduled for all of MTA service region. Ms. Chape said DDCR is reaching out to firms in order to get them certified, and is then teaching them how to do business with the MTA.

Mr. Camacho also reported on DBE firms certified for the 2012-2014 period, which have received contract awards from the MTA. A total of 249 firms were certified during this period; 21 DBEs were awarded prime or subcontracts totaling \$14.4 million. There were also 15 DBEs with dual certification as M/WBEs, which were awarded approximately \$40 million in prime/subcontracts.

## **Fourth Quarter 2014 EEO Activities**

Mr. Din said Ms. Moore, who recently served in DDCR as Assistant Director for EEO and Title VI Compliance, is B&T's new Chief EEO Officer. Mr. Din thanked Ms. Moore for her dedicated service, and wished her well. Mr. Din reported on MTA-wide workforce underutilization as of December 31, 2014. Females are underutilized in all job categories, except professionals and service maintenance. Hispanics are underutilized in all job categories, except paraprofessionals. Blacks are underutilized in the officials & administrators category at LIRR, in the technician category at MTA HQ, which is comprised of MTAPD, and the skilled craft category at LIRR. Asians are underutilized in the technicians category at MNR, in the protective services category at MTA Bus, in administrative support category at MNR and CC, and service maintenance category at MNR. There is underrepresentation of Native Hawaiians/Other Pacific Islanders in all job categories. The MTA agencies are focused on addressing underutilization in this area. American Indians and Alaskan Natives are underutilized in the officials and administrators category at B&T, in the protective service category at NYC Transit, in administrative support category at B&T, in skilled craft category at MNR, and in service maintenance category at B&T. Employees classified as "Other" are

underutilized in the professionals category at CC, in the technicians category at LIRR and Bus, in the paraprofessionals category at NYC Transit, and in administrative support category at B&T and CC.

Mr. Din also reported that in 2014 MTA hired 5,631 new employees, of which 20% are females and 72% are minorities. HQ hired the highest percentage of females (49%); and MTA Bus hired the highest percentage of minorities (87%). Mr. Din also reported that MTA- handled 480 EEO complaints in 2014. Of these, 225 complaints were filed with the external agencies. The most frequently alleged basis for external complaints included: disability discrimination (21%), race and color discrimination (20%), and gender discrimination (11%), and other or miscellaneous discrimination (24%). A total of 255 internal EEO complaints were handled. Sexual harassment (20%), race and color discrimination (24%), and other or miscellaneous discrimination (16%) were most frequently alleged. Additionally, 92 Title VI complaints were handled; race/color discrimination (80%) was most frequently alleged.

Mr. Din also reported on female and minority underutilization in the HQ workforce. While improvement has been made, areas of underutilization include the following: officials and administrators category with respect to Hispanics and Native Hawaiians Other Pacific Islanders; technician category with respect to Blacks, Hispanics, Native Hawaiian Other Pacific Islander, and females; protective services category, we need to focus on females and Native Hawaiian Other Pacific Islanders; administrative support category, we need to focus on Hispanics, and Native Hawaiian Other Pacific Islanders. In MTA PD workforce, females are underutilized in all titles, except detective. Blacks are underutilized in all titles except police officer and detective. Hispanics are underutilized in the titles of lieutenant and captain. Native Hawaiian/Other Pacific Islanders are underutilized in the title of police officer. Others are underutilized in the title of police officer. Mr. Din reported that a total of 152 employees were hired at MTAHQ, of which 61% are minorities and 49% are females. Mr. Din also presented MTA-wide efforts to address underutilization. DDCR has facilitated a dialogue between MTAPD and the Guardians' Association, in order to explore ways to improve female and minority representation in MTAPD hiring and promotions.

Mr. Din reported on HQ's internal and external EEO complaint numbers, complaint disposition, and EEO complaints for the last three years. Chairman Molloy asked why the number of complaints has increased. Mr. Din said more employees are aware of, and are utilizing internal and external complaint mechanisms.

Dr. Horodniceanu briefed the Committee on CC's paid internship program. CC expects to increase the number of interns over the course of this year. Interns work in diverse areas, such as engineering, communication, human resources and legal. CC is providing interns with necessary skills so they can become eligible to be hired as full time employees. Dr. Horodniceanu said it has been a successful program; a number of former interns have already been hired as full time employees at CC.

Mr. Ferrer asked when CC expects an impact on workforce utilization as result of CC's internship program, and how will that result be measured. Mr. Din replied that results are measured by increased female and minority utilization in the workforce and it will take time before we can measure the results. Mr. Din said DDCR will provide an update at the next committee meeting. Chairman Molloy said the success of the internship program is premised on recruitment of females and minorities.

Mr. Lawton briefed the committee on the MTA Internship Committee, which is developing a set of consistent standards for various internship programs currently in place across MTA agencies. He explained the goal is to develop and implement by January 2016 a model for agency-wide internship program, which will take into account the employment needs, and align them with the diversity goals of the MTA and its

agencies. The goal is also to ensure that the internship programs offer meaningful opportunities to the participants. Interns will use the skills and experience that they have acquired as a step ladder to successful career opportunities. There will be an overall program manager, responsible for applying consistent standards to MTA agencies' internship programs. Chairman Molloy said it is a well thought out plan, and there is a lot that the Internship Committee needs to accomplish. He said he looks forward to the implementation of this program. Further details of the presentation are contained in reports filed with the records of this meeting and in the video recording of the meeting produced by the MTA and maintained in the MTA records.

### **Small Business Mentoring Program (“SBMP”) Update**

Mr. Cleary provided an update on the SBMP. Since program inception in November 2010 through 2014, 142 contracts have been awarded, totaling \$88.2 million. Of these, 105 contracts were awarded to MWBEs, totaling \$65.3 million (74%).

There were 70 firms pending pre-qualification. A total of 42 loans were approved, totaling \$4.3 million. Participating firms can apply for small business loans totaling the lesser of \$150,000, or 30% of the contract value.

A total of 45 firms graduated from Tier I of the program, and received contracts totaling approximately \$50 million.

### **Small Business Federal Program (“SBFP”) Update**

Mr. Cleary provided an update on the SBFP. Since program inception and through 2014, 22 projects have been awarded, totaling approximately \$42 million with 34% DBE participation. A total of 31 firms have been prequalified, while one firm was pending prequalification. Participating firms can apply for loans totaling the lesser of \$900,000, or 30% of contract value. Three loans were approved and closed, totaling \$615,000. The Surety Bond Assistance Program is being finalized with Willis/ACE Surety. Under this program, participating firms will be eligible for surety bonding assistance for up to \$3 million.

### **MWDBE Contract Compliance**

Ms. Harleston reported on federal and state funded contract awards. For the period October 2014 to December 2014, MTA awarded approximately \$554 million in federally funded contracts with \$96 million (17%) being awarded to certified DBEs. MTA met its DBE goal for the above referenced period. For the same period approximately \$346 million was paid to prime contractors, of which \$45 million (13%) was paid to DBEs.

For New York State funded contracts, for the period April 2014 through December 2014, MTA and its Agencies awarded \$2 billion, with MWBE participation of \$372 million (18%). During the same period, payments on prime contracts totaled approximately \$877 million, with MWBE participation of \$198 million (23%), exceeding MTA's 20% MWBE goal. Ms. Harleston gave a brief overview of discretionary procurement awards; she said a complete report will be made for the May committee meeting. Referring to a handout provided to the committee during the meeting, Ms. Harleston said between April 2014 and December 2014, \$21 million was awarded to MWBEs, and \$13 million was awarded to other small businesses. Discretionary awards exclude federally funded contracts and state funded construction contracts.

Mr. Din reported on legal and financial services for the period April to December 2014. MBEs were awarded 2% in outside counsel fees, while 10% was awarded to WBEs. Mr. Ferrer asked how MTA plans to increase awards to MWBE law firms. Mr. Din said proposals submitted by minority and non-minority law firms, in response to a Request for Proposal, are currently being reviewed by a selection committee at MTAHQ. This is to select MTA's outside bond counsel, underwriters' counsel, disclosure counsel and derivative counsel. MTA is seeking to select minority and non-minority law firms. Additionally, 15 MWBE law firms were recently added to MTA's panel of outside law firms.

Regarding underwriting fees, MBE participation was 12%, and WBE participation was 3%. Working with Robert Foran, MTA Chief Financial Officer, and Patrick McCoy, Director, MTA Finance, MTA is seeking to exceed its goal in this area. Mr. Din also reported on asset fund managers. MTA has done well in terms of MWBE participation in traditional assets but not in the non-traditional assets. Mr. Garner is meeting with MTA's new Chief Investment Officer and Mr. Foran to discuss the New York State and New York City Comptrollers' Emerging Managers Program.

Ms. Harleston reported on MWDBE participation on MTA's Capital Projects for the period January to December 2014. MTA exceeded its overall DBE and MWBE goals. The DBE participation on federally funded contracts was 20%. On state funded contracts, MBE and WBE participation was 11% for each.

### **MTA EEO Policy Statements**

Mr. Din presented 2015 EEO Policy Statements. Chairman Molloy asked if there were any changes to the policy statements. Mr. Din said there were no changes.

Mr. Din thanked DDCR staff for their hard work.

### **Adjournment**

Upon a motion duly made and seconded, the meeting was adjourned.

Respectfully submitted,

Naeem Din  
Department of Diversity and Civil Rights

## 2015 Diversity Committee Work Plan

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### 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

#### December 2015

3 <sup>rd</sup> 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.

#### 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**

#### **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 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**

### 1<sup>st</sup> Quarter 2015 Report

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

## **September 2015**

### 2<sup>nd</sup> Quarter 2014 Report

The Department of Diversity and Civil Rights will present 2<sup>nd</sup> 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.

## **December 2015**

### 3<sup>rd</sup> Quarter 2014 Report

The Department of Diversity and Civil Rights will present 3<sup>rd</sup> 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

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**MTA DEPARTMENT OF  
DIVERSITY AND CIVIL RIGHTS  
BUSINESS AND DIVERSITY INITIATIVES**

**May 18, 2015**

# **Business & Diversity Initiatives**

## **April**

DBE Certification Workshop  
National Hispanic Business Group Meet and Greet with Agency Procurement Staff  
Blue Book Trade Show  
Council of Urban Professionals 8<sup>th</sup> Annual Leadership Gala  
DDCR presents “New Firm Orientation Session”  
SBMP presents “Union Transition Program”  
Small Business Mentoring Program Orientation Session  
Women’s Builders Council Inc. Presents Achieving 30%  
MTA MWDBE Nassau County Outreach Event  
MNR - Institute for Supplier Diversity (ISM) Supplier Diversity EXPO 2015

## **May**

DBE Certification Workshop  
MTA MWDBE Suffolk County Outreach Event  
NYSAMC Meet and Greet with Agency Procurement Staff  
ENR presents 6<sup>th</sup> Annual MTA Agency-Wide Conference  
GCA presents 7<sup>th</sup> Annual  
NYCHA MWBE Outreach Event

# Business & Diversity Initiatives

June

DBE Certification Workshop

Bridges & Tunnels Presents an Outreach Event for “As Needed Contracts”

9<sup>th</sup> Annual NYC Wide Procurement Conference

Small Business Mentoring Program Orientation Session

AMENY Meet and Greet with MTA Wide Procurement Staff

Asian Women In Business Procurement Conference

LAGCC 13<sup>th</sup> Annual Small Business Procurement Expo

New York & New Jersey Council Business Expo

# Diversity Events

## February

MTA LIRR Celebrated Black History Month

## March

MTA HQ Celebrated Black History Month

MTA LIRR Celebrated Women's History Month

## May

MTA HQ Celebrated Jewish American Heritage Month



Metropolitan Transportation Authority

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# MTA Department of Diversity/Civil Rights Certification Activity Report

May 18, 2015

**CERTIFICATION APPLICATIONS RECEIVED  
FIRST QUARTER 2013 - 2015**

	<b>2015</b>	<b>2014</b>	<b>2013</b>
<b>JANUARY</b>	<b>4</b>	<b>14</b>	<b>9</b>
<b>FEBRUARY</b>	<b>6</b>	<b>4</b>	<b>6</b>
<b>MARCH</b>	<b>8</b>	<b>6</b>	<b>13</b>
<b>TOTAL</b>	<b>18</b>	<b>24</b>	<b>28</b>

# CERTIFICATION ACTIVITY FOR NEW APPLICATIONS FIRST QUARTER 2013 - 2015

	2015	2014	2013
<b>CERTIFIED</b>	<b>11</b>	<b>15</b>	<b>12</b>
<b>DENIED</b>	<b>1</b>	<b>1</b>	<b>0</b>
<b>RETURNED</b>	<b>3</b>	<b>4</b>	<b>4</b>
<b>WITHDRAWN</b>	<b>5</b>	<b>3</b>	<b>2</b>
<b>TOTAL</b>	<b>20</b>	<b>23</b>	<b>18</b>



Metropolitan Transportation Authority

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**MTA DEPARTMENT OF DIVERSITY/  
CIVIL RIGHTS EEO ACTIVITIES  
FIRST QUARTER 2015**

**May 18, 2015**

## OVERVIEW

MTA and its Agencies have conducted an availability analysis of females and minorities. The availability analysis consists of comparing each agency's March 31, 2015 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 March 31, 2015, females, Hispanics and Native Hawaiian Other Pacific Islanders were underrepresented in some of the job categories at the 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 Agencies.

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.

## OVERVIEW

MTA and its Agencies have conducted an availability analysis of females and minorities. The availability analysis consists of comparing each agency's March 31, 2015 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 March 31, 2015, females, Hispanics and Native Hawaiian Other Pacific Islanders 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 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 MARCH 31, 2015

Job Category	Female*			Blacks			Hispanics			Asians			AI/AN**			NHOPI***			Other		
	Est Avail	Actual %	Util Anal Yes/No	Est Avail	Actual %	Util Anal Yes/No	Est Avail	Actual %	Util Anal Yes/No	Est Avail	Actual %	Util Anal Yes/No	Est Avail	Actual %	Util Anal Yes/No	Est Avail	Actual %	Util Anal Yes/No	Est Avail	Actual %	Util Anal Yes/No
<b>Officials &amp; Administrators</b>																					
MTA HQ	32%	37%	YES	8%	24%	YES	8%	7%	NO	5%	11%	YES	0%	0%	YES	2%	0%	NO	1%	1%	YES
MTA B&T	32%	22%	NO	5%	19%	YES	5%	5%	YES	6%	8%	YES	0%	0%	YES	1%	1%	YES	1%	6%	YES
MTA MNR	27%	24%	NO	8%	15%	YES	9%	7%	NO	8%	7%	NO	0%	0%	YES	0%	0%	YES	1%	2%	YES
MTA LIRR	22%	21%	NO	13%	10%	NO	7%	9%	YES	6%	13%	YES	0%	0%	YES	2%	0%	NO	1%	3%	YES
MTA NYCT	29%	16%	NO	23%	36%	YES	7%	12%	YES	5%	14%	YES	0%	0%	YES	1%	0%	NO	1%	3%	YES
MTA CC	23%	27%	YES	5%	11%	YES	8%	4%	NO	11%	29%	YES	0%	1%	YES	1%	0%	NO	2%	1%	NO
MTA Bus	22%	11%	NO	14%	30%	YES	8%	15%	YES	5%	6%	YES	0%	0%	YES	0%	0%	YES	2%	4%	YES
<b>Professionals</b>																					
MTA HQ	39%	48%	YES	11%	30%	YES	8%	10%	YES	7%	18%	YES	0%	0%	YES	3%	0%	NO	1%	6%	YES
MTA B&T	36%	41%	YES	10%	20%	YES	10%	18%	YES	7%	17%	YES	0%	0%	YES	3%	0%	NO	1%	3%	YES
MTA MNR	40%	38%	NO	10%	17%	YES	9%	11%	YES	8%	12%	YES	0%	0%	YES	0%	0%	YES	1%	3%	YES
MTA LIRR	19%	23%	YES	10%	13%	YES	7%	9%	YES	6%	13%	YES	0%	0%	YES	2%	0%	NO	1%	3%	YES
MTA NYCT	36%	36%	YES	10%	32%	YES	8%	9%	YES	7%	26%	YES	0%	0%	YES	3%	0%	NO	1%	3%	YES
MTA CC	42%	47%	YES	7%	21%	YES	7%	11%	YES	4%	42%	YES	0%	5%	YES	2%	0%	NO	1%	0%	NO
MTA Bus	32%	48%	YES	10%	25%	YES	6%	11%	YES	11%	18%	YES	0%	0%	YES	2%	0%	NO	1%	4%	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 MARCH 31, 2015

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																		
<b>Technicians</b>																					
MTA HQ	13%	7%	NO	15%	6%	NO	10%	8%	NO	1%	2%	YES	0%	0%	YES	1%	0%	NO	1%	3%	YES
MTA B&T	11%	20%	YES	11%	17%	YES	8%	18%	YES	0%	7%	YES	0%	0%	YES	1%	0%	NO	0%	5%	YES
MTA MNR	30%	8%	NO	12%	21%	YES	15%	6%	NO	12%	12%	YES	0%	0%	YES	0%	0%	YES	1%	2%	YES
MTA LIRR	11%	10%	NO	11%	19%	YES	8%	13%	YES	7%	10%	YES	0%	0%	YES	1%	0%	NO	1%	0%	NO
MTA NYCT	39%	51%	YES	11%	51%	YES	12%	12%	YES	5%	13%	YES	0%	0%	YES	12%	0%	NO	2%	3%	YES
MTA CC	0%	0%	YES																		
MTA Bus	20%	60%	YES	8%	13%	YES	8%	20%	YES	14%	13%	NO	0%	0%	YES	4%	0%	NO	1%	0%	NO
<b>Protective Services</b>																					
MTA HQ	14%	12%	NO	12%	16%	YES	15%	18%	YES	1%	4%	YES	0%	0%	YES	1%	0%	NO	1%	1%	YES
MTA B&T	12%	21%	YES	12%	32%	YES	10%	23%	YES	0%	4%	YES	0%	0%	YES	0%	0%	YES	2%	2%	YES
MTA MNR	0%	0%	YES																		
MTA LIRR	0%	0%	YES																		
MTA NYCT	21%	23%	YES	31%	61%	YES	18%	16%	NO	1%	7%	YES	1%	0%	NO	3%	0%	NO	1%	1%	YES
MTA CC	0%	0%	YES																		
MTA Bus	16%	17%	YES	34%	67%	YES	18%	17%	NO	2%	0%	NO	0%	0%	YES	2%	0%	NO	2%	17%	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 MARCH 31, 2015

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																				
<b>Para-Professionals</b>																								
MTA HQ	0%	0%	YES	0%	0%	YES																		
MTA B&T	0%	0%	YES	0%	0%	YES																		
MTA MNR	62%	61%	NO	11%	19%	YES	12%	13%	YES	6%	10%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	1%	6%	YES
MTA LIRR	0%	0%	YES	0%	0%	YES																		
MTA NYCT	52%	45%	NO	20%	45%	YES	16%	26%	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																		
<b>Administrative Support</b>																								
MTA HQ	62%	73%	YES	20%	39%	YES	19%	13%	NO	2%	9%	YES	0%	0%	YES	5%	0%	NO	2%	3%	YES			
MTA B&T	53%	72%	YES	18%	55%	YES	22%	13%	NO	2%	11%	YES	0%	0%	YES	4%	0%	NO	1%	0%	NO			
MTA MNR	59%	43%	NO	13%	34%	YES	13%	14%	YES	5%	3%	NO	0%	1%	YES	0%	0%	YES	2%	4%	YES			
MTA LIRR	49%	47%	NO	19%	27%	YES	11%	11%	YES	3%	5%	YES	0%	0%	YES	2%	0%	NO	2%	3%	YES			
MTA NYCT	54%	43%	NO	21%	56%	YES	23%	14%	NO	4%	16%	YES	0%	0%	YES	6%	0%	NO	2%	2%	YES			
MTA CC	68%	80%	YES	19%	50%	YES	18%	10%	NO	2%	0%	NO	0%	0%	YES	4%	0%	NO	2%	0%	NO			
MTA Bus	59%	42%	NO	21%	28%	YES	22%	13%	NO	4%	6%	YES	0%	0%	YES	5%	0%	NO	3%	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 MARCH 31, 2015

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																		
<b>Skilled Craft</b>																					
MTA HQ	0%	0%	YES																		
MTA B&T	0%	0%	YES																		
MTA MNR	4%	6%	YES	14%	18%	YES	10%	8%	NO	2%	2%	YES	1%	0%	NO	0%	0%	YES	2%	2%	YES
MTA LIRR	9%	10%	YES	16%	16%	YES	12%	11%	NO	2%	2%	YES	0%	0%	YES	1%	0%	NO	2%	2%	YES
MTA NYCT	21%	5%	NO	24%	38%	YES	16%	12%	NO	5%	13%	YES	0%	0%	YES	7%	0%	NO	2%	2%	YES
MTA CC	0%	0%	YES																		
MTA Bus	1%	1%	NO	23%	30%	YES	25%	14%	NO	2%	11%	YES	0%	0%	YES	3%	2%	NO	1%	5%	YES
<b>Service Maintenance</b>																					
MTA HQ	0%	0%	YES																		
MTA B&T	2%	3%	YES	16%	18%	YES	18%	15%	NO	3%	4%	YES	1%	1%	YES	1%	0%	NO	1%	2%	YES
MTA MNR	8%	13%	YES	16%	34%	YES	27%	18%	NO	3%	1%	NO	0%	0%	YES	0%	0%	YES	1%	3%	YES
MTA LIRR	17%	18%	YES	17%	26%	YES	22%	14%	NO	2%	2%	YES	0%	0%	YES	1%	0%	NO	2%	4%	YES
MTA NYCT	15%	18%	YES	33%	56%	YES	28%	21%	NO	3%	5%	YES	0%	0%	YES	2%	0%	NO	1%	2%	YES
MTA CC	0%	0%	YES																		
MTA Bus	11%	13%	YES	27%	51%	YES	31%	21%	NO	4%	6%	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, 2015 to March 31, 2015

- ❖ Between January 1, 2015 and March 31, 2015, MTA and its Agencies hired a total of 1,493 employees.
- ❖ 18% of the total new hires are females.
- ❖ 75% of the total new hires are minorities.\*
- ❖ Of the 75% of minorities hired, 39% are black and 20% are Hispanic.
- ❖ Of the 1,116 employees hired by MTA NYCT, 220 (20%) are females and 919 (82%) are minorities.\*

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

# MTA-WIDE NEW HIRES

JANUARY 1, 2015 TO MARCH 31, 2015

AGENCY	NEW HRES <sup>1</sup>	FEMALES <sup>2</sup>		Minorities		Non-Minorities		BLACKS		HISPANICS		ASIANS		AI/AN		NHOPI		OTHER	
		#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
MTA HQ	20	3	15%	13	65%	7	35%	2	10%	5	25%	6	30%	0	0%	0	0%	0	0%
MTA B&T	6	2	33%	3	50%	3	50%	2	33%	0	0%	1	17%	0	0%	0	0%	0	0%
MTA MNR	112	10	9%	61	54%	51	46%	27	24%	22	20%	8	7%	0	0%	0	0%	4	4%
MTA LIRR	177	28	16%	79	45%	98	55%	28	16%	28	16%	15	8%	1	1%	0	0%	7	4%
MTA NYCT	1,116	220	20%	919	82%	197	18%	505	45%	223	20%	180	16%	2	0%	1	0%	8	1%
MTA CC	6	2	33%	3	50%	3	50%	1	17%	1	17%	1	17%	0	0%	0	0%	0	0%
MTA BUS	56	8	14%	44	79%	12	21%	21	38%	15	27%	6	11%	0	%	0	0%	2	4%
<b>Total</b>	<b>1,493</b>	<b>273</b>	<b>18%</b>	<b>1,122</b>	<b>75%</b>	<b>371</b>	<b>25%</b>	<b>586</b>	<b>39%</b>	<b>294</b>	<b>20%</b>	<b>217</b>	<b>15%</b>	<b>3</b>	<b>0%</b>	<b>1</b>	<b>0%</b>	<b>21</b>	<b>1%</b>

<sup>1</sup> Total includes males and females, both minority and non-minority.

<sup>2</sup> Total includes females, both minority and non-minority.

# EEO/TITLE VI COMPLAINTS

- Between January 2015 and March 2015, MTA and its Agencies handled a total of 294 EEO complaints, citing 557 separate categories of discrimination.\*
- Of the 294 complaints, 162 were filed externally at city, state and federal agencies and 132 were filed internally.
- Of the 162 external complaints, the most frequently cited bases for complaints were: 1) disability discrimination (22%); 2) other\*\* types of miscellaneous discrimination (26%); and 3) race/color discrimination (18%).
- Of the 132 internal complaints, the most frequently cited bases for complaints were: 1) sexual harassment (15%); 2) other types of miscellaneous discrimination (22%); and 3) race/color discrimination (23%).
- Between January 2015 and March 2015, MTA and its Agencies handled a total of 56 Title VI complaints, citing 58 separate categories of discrimination. Of these 56 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 MARCH 31, 2015<sup>1</sup>

EEO DISCRIMINATION COMPLAINTS											
EXTERNAL											
AGENCY	RACE COLOR	SEXUAL HARASS.	AGE	GENDER	RELIGION	NATIONAL ORIGIN	DISABILITY	OTHER <sup>2</sup>	TOTAL ISSUES <sup>3</sup>	TOTAL CASES	STATUS OPEN
MTA	2	1	0	1	0	0	0	1	5	2	2
B&T	4	0	1	4	1	1	2	4	17	7	6
MNR	3	0	2	3	0	0	2	4	14	8	5
LIRR	2	1	2	0	0	0	2	2	9	6	5
NYCT	39	5	24	24	7	19	51	62	231	130	128
CC	0	0	0	0	0	0	0	0	0	0	0
BUS	1	0	1	1	0	0	6	3	12	9	7
<b>TOTAL</b>	<b>51</b>	<b>7</b>	<b>30</b>	<b>33</b>	<b>8</b>	<b>20</b>	<b>63</b>	<b>76</b>	<b>288</b>	<b>162</b>	<b>153</b>
	<b>18%</b>	<b>2%</b>	<b>10%</b>	<b>11%</b>	<b>3%</b>	<b>7%</b>	<b>22%</b>	<b>26%</b>			

EEO DISCRIMINATION COMPLAINTS											
INTERNAL											
AGENCY	RACE COLOR	SEXUAL HARASS.	AGE	GENDER	RELIGION	NATIONAL ORIGIN	DISABILITY	OTHER <sup>2</sup>	TOTAL ISSUES <sup>3</sup>	TOTAL CASES	STATUS OPEN
MTA	2	1	0	0	0	0	0	0	3	3	2
B&T	0	0	0	1	0	0	0	1	2	2	2
MNR	9	2	6	4	0	4	2	11	38	17	8
LIRR	0	0	0	0	0	0	0	0	0	0	0
NYCT	51	38	10	30	10	32	8	46	225	109	105
CC	0	0	0	0	0	0	0	0	0	0	0
BUS	0	0	1	0	0	0	0	0	1	1	1
<b>TOTAL</b>	<b>62</b>	<b>41</b>	<b>17</b>	<b>35</b>	<b>10</b>	<b>36</b>	<b>10</b>	<b>58</b>	<b>269</b>	<b>132</b>	<b>118</b>
	<b>23%</b>	<b>15%</b>	<b>6%</b>	<b>13%</b>	<b>4%</b>	<b>13%</b>	<b>4%</b>	<b>22%</b>			

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 MARCH 31, 2015<sup>1</sup>

AGENCY	RACE	COLOR	NATIONAL ORIGIN	INCOME	TOTAL <sup>2</sup> ISSUES	TOTAL CASES	STATUS OPEN
MTA HQ	0	0	0	0	0	0	0
MTA MNR	5	1	2	0	8	9	2
MTA LIRR	1	0	1	0	2	2	1
MTA NYCT	9	1	37	0	47	44	37
MTA CC	0	0	0	0	0	0	0
MTA B&T	0	0	0	0	0	0	0
MTA BUS	1	0	0	0	1	1	0
<b>TOTAL</b>	16	2	40	0	58	56	<b>40</b>
	<b>80%</b>	<b>2%</b>	<b>69%</b>	<b>0%</b>			

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 - MARCH 31, 2015

## 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	0	0
B&T	0	1	0	0	0	0	1
MNR	0	0	3	0	0	0	3
LIRR	0	0	0	0	1	0	1
NYCT	0	2	0	0	0	0	2
CC	0	0	0	0	0	0	0
MTA BUS	0	2	0	0	0	0	2
<b>TOTAL</b>							<b>9</b>

## EEO DISCRIMINATION INTERNAL COMPLAINTS

MTA AGENCY	REASONABLE CAUSE	NO REASONABLE CAUSE	ADMINISTRATIVE CLOSURE	WITHDRAWN	DISMISSAL	RESOLVED/ SETTLEMENT	TOTAL CASES
MTAHQ	0	1	0	0	0	0	1
B&T	0	0	0	0	0	0	0
MNR	0	3	4	1	0	1	9
LIRR	0	0	0	0	0	0	0
NYCT	0	3	1	0	0	0	4
CC	0	0	0	0	0	0	0
MTA BUS	0	0	0	0	0	0	0
<b>TOTAL</b>							<b>14</b>

# MTA-WIDE TITLE VI COMPLAINTS

DISPOSITION - MARCH 31, 2015

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	2	3	1	0	1	7
LIRR	0	1	0	0	0	0	1
NYCT	0	4	3	0	0	0	7
CC	0	0	0	0	0	0	0
MTA BUS	0	0	0	0	0	0	0
						<b>TOTAL</b>	<b>15</b>

2015 FIRST QUARTER EEO REPORT

AGENCY NAME: **MTAHQ**

**WORKFORCE UTILIZATION  
AS OF MARCH 31, 2015**

JOB TITLE	FEMALES <sup>1</sup>			BLACKS			HISPANICS			ASIANS			AI/AN <sup>2</sup>			NHOPI <sup>3</sup>			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%	37%	Yes	8%	24%	Yes	8%	7%	No	5%	11%	Yes	0%	0%	Yes	2%	0%	No	1%	1%	Yes
Professionals	39%	48%	Yes	11%	30%	Yes	8%	10%	Yes	7%	18%	Yes	0%	0%	Yes	3%	0%	No	1%	6%	Yes
Technicians	13%	7%	No	15%	6%	No	10%	8%	No	1%	2%	Yes	0%	0%	Yes	1%	0%	No	1%	3%	Yes
Protective Services	14%	12%	No	12%	16%	Yes	15%	18%	Yes	1%	4%	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%	73%	Yes	20%	39%	Yes	19%	13%	No	2%	9%	Yes	0%	0%	Yes	5%	0%	No	2%	3%	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 training programs.

### **Service Maintenance**

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

## MTA POLICE WORKFORCE UTILIZATION FIRST QUARTER 2015

JOB TITLE	FEMALES <sup>1</sup>				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	0	No
Captains	16%	1	0	No	19%	1	0	No	11%	2	1	No
Lieutenants	16%	5	2	No	20%	6	0	No	12%	3	2	No
Sergeants/Detective Sgts.	11%	10	5	No	11%	10	4	No	8%	7	7	Yes
Detectives	18%	5	5	Yes	13%	4	4	Yes	14%	4	6	Yes
Police Officers	13%	68	60	No	12%	58	81	Yes	15%	75	90	Yes

JOB TITLE	ASIANS				AI/AN <sup>2</sup>				NHOP <sup>3</sup>			
	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	1	Yes
Lieutenants	1%	0	2	Yes
Sergeants/Detective Sgts.	0%	0	2	Yes
Detectives	1%	0	1	Yes
Police Officers	1%	6	5	No

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

2015, 1st QUARTER EEO REPORT

AGENCY NAME: **MTAHQ**

**NEW HIRES  
AS OF MARCH 31, 2015**

JOB CATEGORY	TOTAL <sup>1</sup>	FEMALES <sup>2</sup>		Minorities		Non-Minorities		BLACKS		HISPANICS		ASIANS		AI/AN		NHOPI		OTHER	
		#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Officials & Administrators	7	3	43%	3	43%	4	57%	1	14%	1	14%	1	14%	0	0%	0	0%	0	0%
Professionals	7	0	0%	6	86%	1	14%	1	14%	2	29%	3	43%	0	0%	0	0%	0	0%
Technicians	0	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Protective Services	4	0	0%	2	50%	2	50%	0	0%	2	50%	0	0%	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	2	0	0%	2	100%	0	0%	0	0%	0	0%	2	100%	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%
<b>Total</b>	<b>20</b>	<b>3</b>	<b>15%</b>	<b>13</b>	<b>65%</b>	<b>7</b>	<b>35%</b>	<b>2</b>	<b>10%</b>	<b>5</b>	<b>25%</b>	<b>6</b>	<b>30%</b>	<b>0</b>	<b>0%</b>	<b>0</b>	<b>0%</b>	<b>0</b>	<b>0%</b>

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

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

**2015 1ST QUARTER EEO REPORT**

**AGENCY NAME: MTAHQ**

**EEO AND TITLE VI COMPLAINTS**

**JANUARY 1, 2015 to MARCH 31, 2015**

Category	Race	Disability	Gender	National Origin	Age	Sexual Harassment	Religion	Other <sup>2</sup>	Total Issues <sup>3</sup>	Total Cases	Status (# Open)
<b>EEO TOTAL</b>	<b>4</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>2</b>	<b>0</b>	<b>1</b>	<b>8</b>	<b>5</b>	<b>4</b>
External Complaints	2	0	1	0	0	1	0	1	5	2	2
Internal Complaints	2	0	0	0	0	1	0	0	3	3	2

Category	Race	National Origin	Color	Total Issues <sup>3</sup>	Total Cases	Status (# Open)
<b>Title VI</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

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.

**2015 FIRST QUARTER EEO REPORT**

**AGENCY NAME: MTAHQ**

**EEO DISCRIMINATION COMPLAINT RESOLUTIONS**

**JANUARY 1, 2015 to MARCH 31, 2015**

	<b>Decided in Favor of Agency</b>	<b>Decided in Favor of Complainant</b>	<b>Administrative Closure</b>	<b>Withdrawn</b>	<b>Dismissed</b>	<b>Resolved/Settled</b>	<b>Total</b>
<b>EEO TOTAL</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>
External Complaints	0	0	0	0	0	0	0
Internal Complaints	1	0	0	0	0	0	1

**TITLE VI DISCRIMINATION COMPLAINT RESOLUTIONS**

**JANUARY 1, 2015 to MARCH 31, 2015**

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



Metropolitan Transportation Authority

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# **MTA SMALL BUSINESS DEVELOPMENT PROGRAM UPDATE (Tier 1, Tier 2 and Federal)**

**May 18, 2015**

# SMALL BUSINESS DEVELOPMENT PROGRAM

## MISSION STATEMENT

To create a larger pool of qualified contractors who can compete for, and complete MTA Capital Construction projects safely, timely and within budget.



Department of Diversity and Civil Rights  
Office of Construction Oversight

# SBMP OUTREACH: 128 PREQUALIFIED FIRMS

(AS OF 04/15/15)

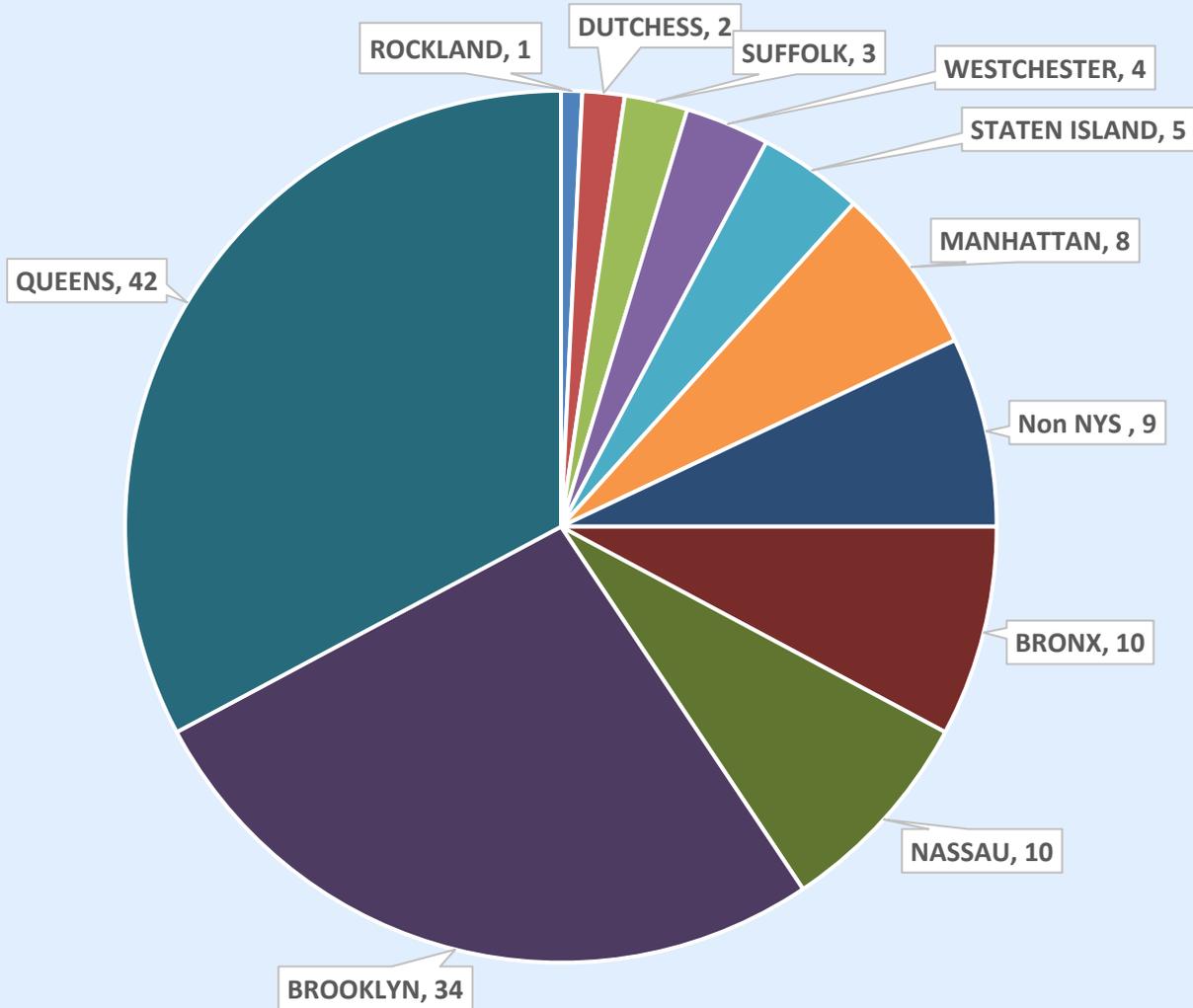
### Certification\*

<b>MBE</b>	<b>72</b>
<b>WBE</b>	<b>12</b>
<b>DBE</b>	<b>29</b>
<b>Non-Certified</b>	<b>46</b>

*\* firms may have multiple certifications*

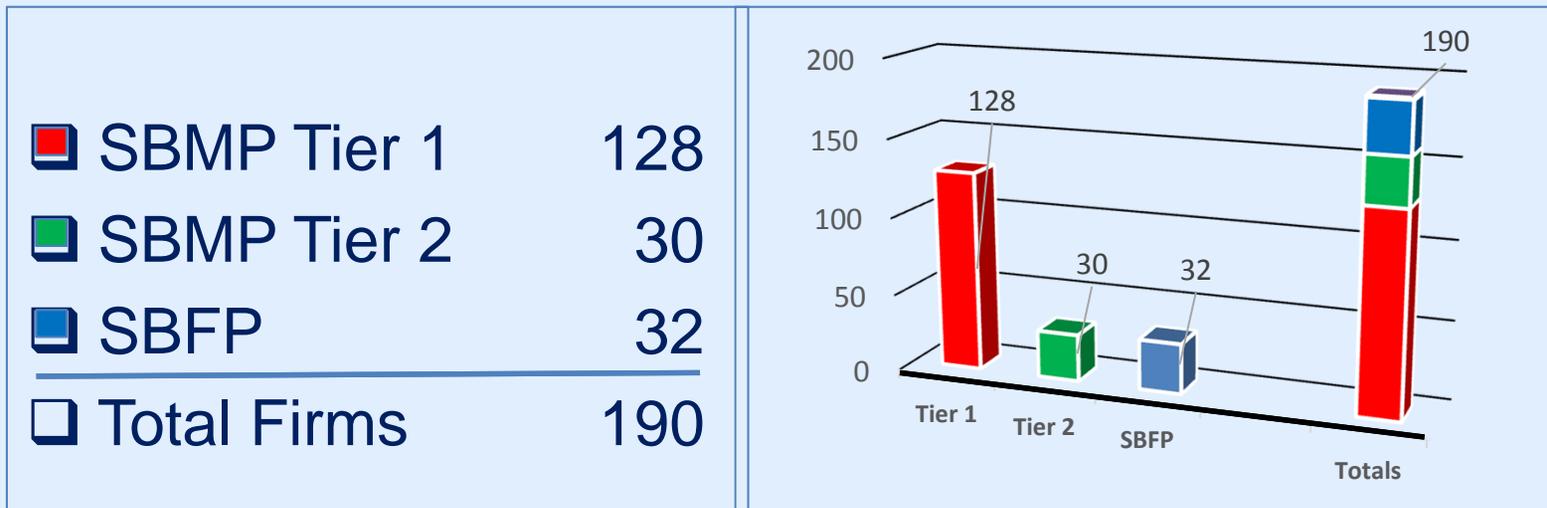
### Counties

<b>Queens</b>	<b>42</b>
<b>Brooklyn</b>	<b>34</b>
<b>Bronx</b>	<b>10</b>
<b>Nassau</b>	<b>10</b>
<b>Non NYS</b>	<b>9</b>
<b>Manhattan</b>	<b>8</b>
<b>Staten Island</b>	<b>5</b>
<b>Westchester</b>	<b>4</b>
<b>Suffolk</b>	<b>3</b>
<b>Dutchess</b>	<b>2</b>
<b>Rockland</b>	<b>1</b>



# SMALL BUSINESS DEVELOPMENT PROGRAM (AS OF 04/15/15)

## TOTAL NUMBER OF PREQUALIFIED FIRMS\*

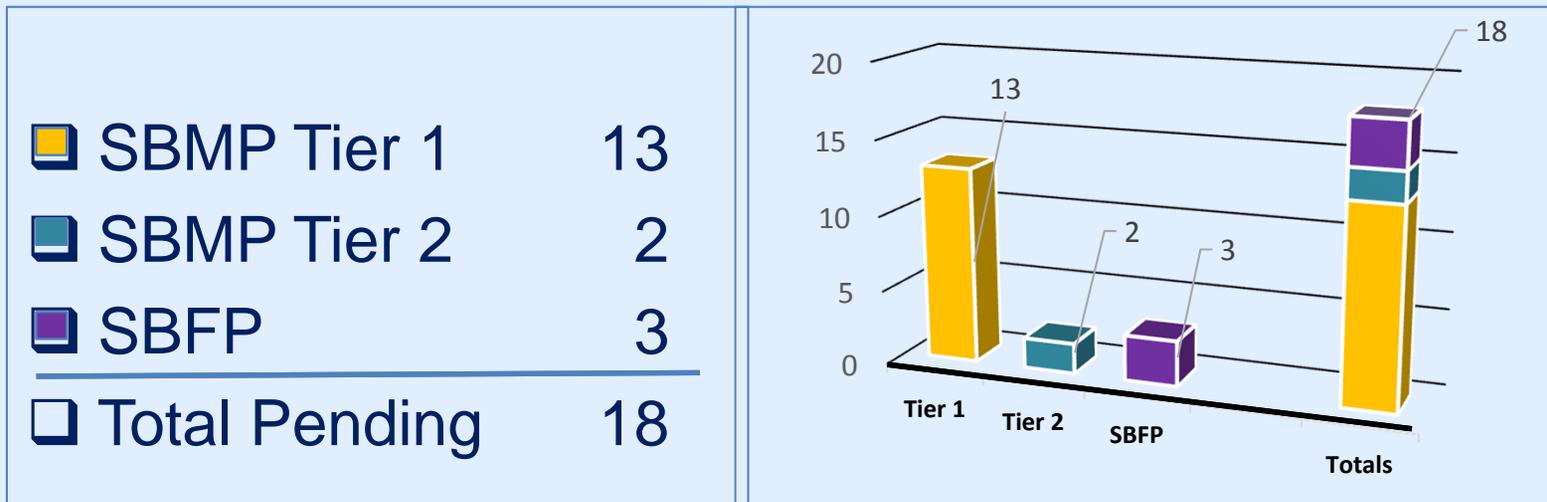


\*Source: SBMP BI-WEEKLY PROGRESS MEETING - April 15, 2015 - Prequalification Status Report



# SMALL BUSINESS DEVELOPMENT PROGRAM (AS OF 04/15/15)

## TOTAL NUMBER OF PENDING APPLICATIONS\*



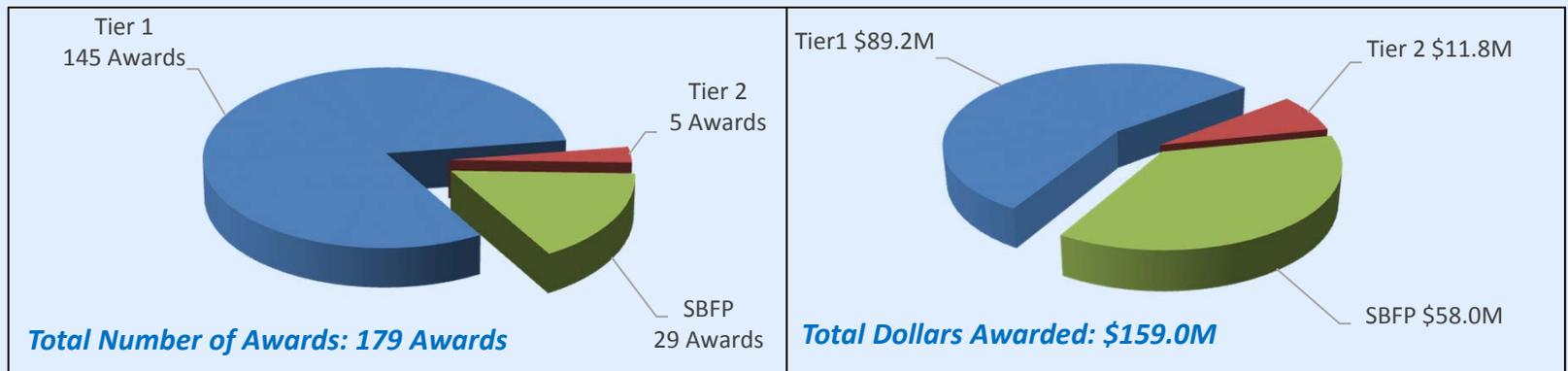
\*Source: SBMP AGING REPORTS - April 10, 2015 - Prequalification Aging Report



# SMALL BUSINESS DEVELOPMENT PROGRAM (AS OF 04/15/15)

## TOTAL CONTRACTS AWARDED & TOTAL \$

 SBMP Tier 1	145 awards	\$89.2M
 SBMP Tier 2	5 awards	\$11.8M
 SBFP	29 awards	\$58.0M
 Totals	179 awards	\$159.0M



\*Source: SBMP/SBFP STEERING COMMITTEE MEETING - April 13, 2015 - Goals vs. Commitments (Actuals) Report



# SMALL BUSINESS DEVELOPMENT PROGRAM (AS OF 04/15/15)

## MTA CARVER LOANS APPROVED

	Year 1	-	1 Loan	totaling	\$100,000
	Year 2	-	5 Loans	totaling	\$450,000
	Year 3	-	9 Loans	totaling	\$900,000
	Year 4	-	27 Loans	totaling	\$2,990,000
	Year 5**	-	5 Loans	totaling	\$630,000

**Total 47 Loans Totals \$5,070,000**



Source: SBMP CARVER LOAN STATUS MEETING - April 14, 2015 - Loan Program Tracking Report

\*\* First 9 Months

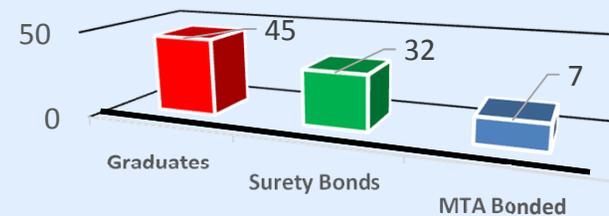
Department of Diversity and Civil Rights  
Office of Construction Oversight



# SMALL BUSINESS DEVELOPMENT PROGRAM (AS OF 04/15/15)

## SURETY BONDS AWARDED TO GRADUATE FIRMS\*

- 45 Firms Graduated from Tier 1
- 32 Graduated with Surety Bonds
- 7 Firms were Bonded through the MTA SBDP Bonding Program



- Surety Bonding through the MTA SBDP Bonding Program Totals \$18M Single and \$36M Aggregate

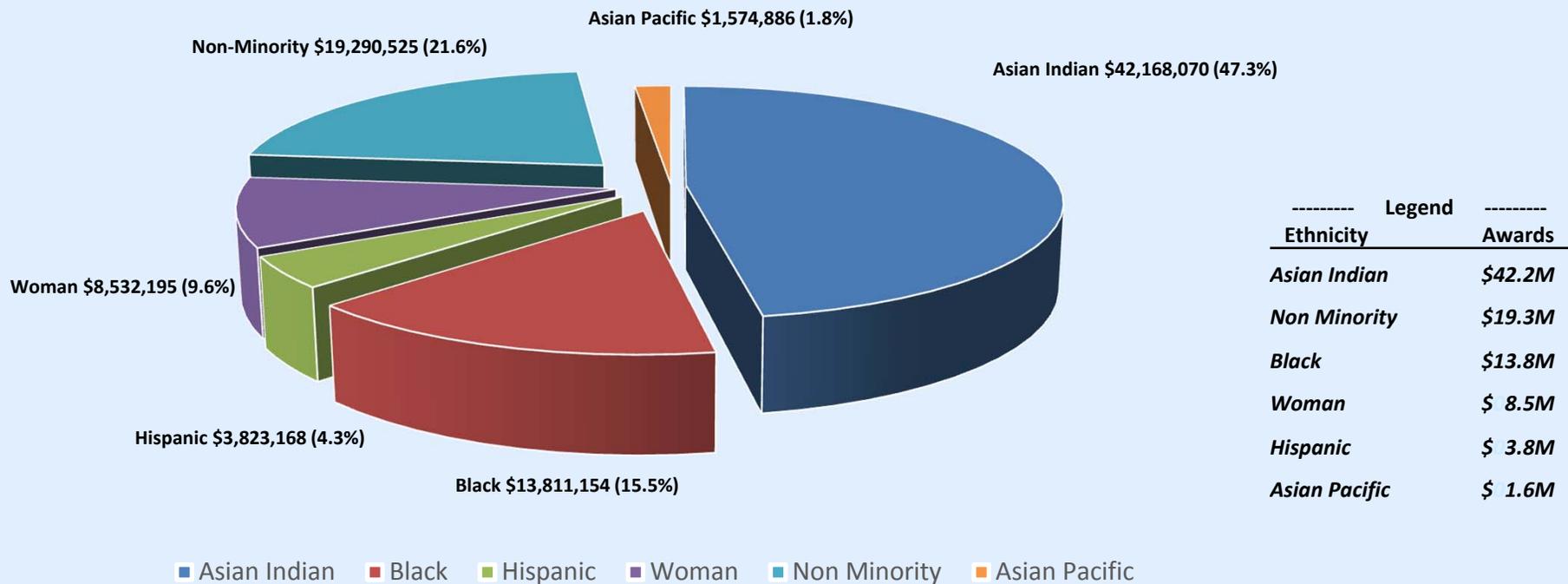


\*Source: MTA DDCR and Centaur Insurance Services Inc. (Martin J. Lyons, Managing Partner)



# SMALL BUSINESS DEVELOPMENT PROGRAM (AS OF 04/15/15)

## Contract Awards In SBMP TIER 1 By Ethnicity



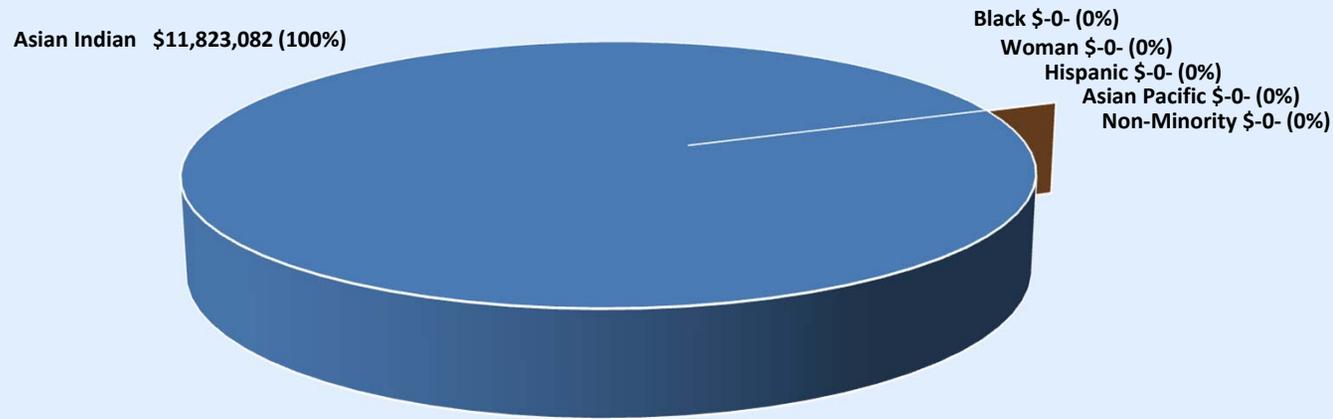
*\*Source: MTA DDCR and NYSUCP Directory (MTA Certified DBE Firms)*

Department of Diversity and Civil Rights  
Office of Construction Oversight



# SMALL BUSINESS DEVELOPMENT PROGRAM (AS OF 04/15/15)

## Contract Awards In SBMP TIER 2 By Ethnicity



Legend	
Ethnicity	Awards
<i>Asian Indian</i>	<i>\$11.8M</i>
<i>Non Minority</i>	<i>\$ -0-M</i>
<i>Black</i>	<i>\$ -0-M</i>
<i>Woman</i>	<i>\$ -0-M</i>
<i>Hispanic</i>	<i>\$ -0-M</i>
<i>Asian Pacific</i>	<i>\$ -0-M</i>

■ Asian Indian 
 ■ Black 
 ■ Hispanic 
 ■ Woman 
 ■ Non Minority 
 ■ Asian Pacific

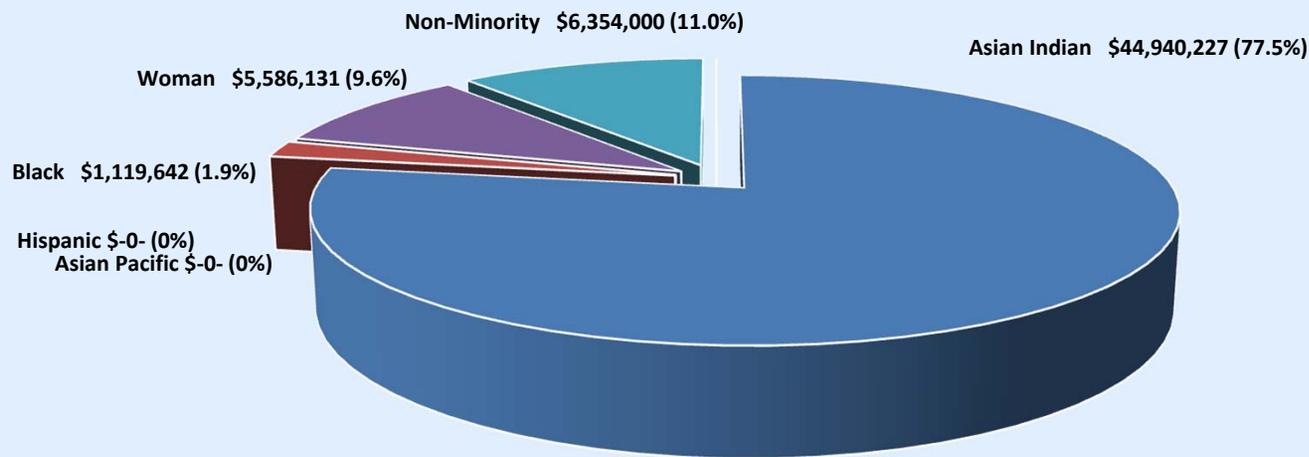
*\*Source: MTA DDCR and NYSUCP Directory (MTA Certified DBE Firms)*

Department of Diversity and Civil Rights  
Office of Construction Oversight



# SMALL BUSINESS DEVELOPMENT PROGRAM (AS OF 04/15/15)

## Contract Awards In SBFP By Ethnicity



Legend	
Ethnicity	Awards
Asian Indian	\$44.9M
Non Minority	\$ 6.3M
Women	\$ 5.6M
Black	\$ 1.1M
Hispanic	\$ -0M
Asian Pacific	\$ -0M

■ Asian Indian 
 ■ Black 
 ■ Hispanic 
 ■ Woman 
 ■ Non Minority 
 ■ Asian Pacific

**\*Source: MTA DDCR and NYSUCP Directory (MTA Certified DBE Firms)**

Department of Diversity and Civil Rights  
Office of Construction Oversight



# SMALL BUSINESS DEVELOPMENT PROGRAM (AS OF 04/15/15)

## PROGRAM PERFORMANCE RESULTS

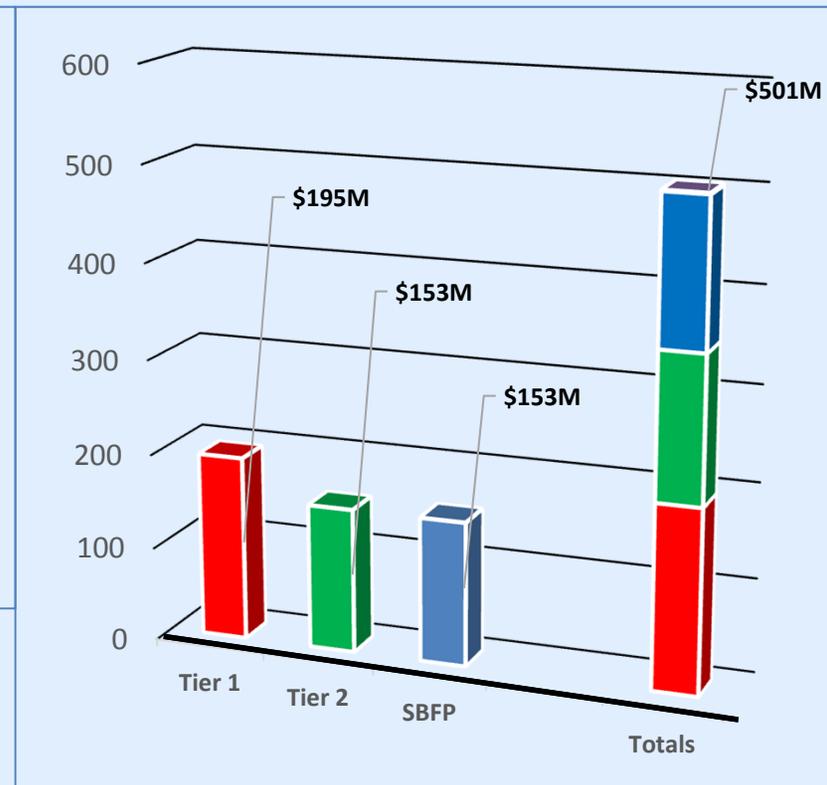
- ❑ Contributed approximately 2,176 jobs to the 14 county service region
- ❑ Opportunity for Small Businesses
  - Program Years 1 through 5 provided 146 bid solicitations, and 986 bidding opportunities
- ❑ Classroom Training Program
  - 158 firms completed the 11 course training program as of Fall 2014



# SMALL BUSINESS DEVELOPMENT PROGRAM (AS OF 04/15/15)

## New Five Year Program Estimated Project Awards Capital Plan\*

Small Business Mentoring Program		# of Projects
<span style="color: red;">■</span> Tier 1	\$195M	280
<span style="color: green;">■</span> Tier 2	\$153M	75
<b>Small Business Federal Program</b>		
<span style="color: blue;">■</span> SBFP	\$153M	75
<hr/>		
<b>Totals</b>		
<span style="color: blue;">■</span> All Programs	\$501M	430
<hr/>		
<span style="color: blue;">■</span>	Estimated Job Creation of over 12,000 jobs	



\*Based on 10% Growth per Year



# SMALL BUSINESS DEVELOPMENT PROGRAM

## Commitment Plan Projects Include:

- ❑ NYCT - Stairs Replacements, Substations Rehabilitation, Station Repairs & Renovations, Help Points Kiosk Installations, Sandy Recovery
- ❑ NYCTDOB - Depot & Building Improvements, Facility Improvements, Bus Lift Replacements, Roof Replacements
- ❑ LIRR - Station & Building Improvements, Facilities & Station Renovation, Hurricane Sandy Restoration Projects
- ❑ MNR - Station Overpass Improvements, Station & Parking Facility Improvements
- ❑ B&T - Building Improvements & Rehabilitation of Roof, Masonry Restoration, Concrete Repair Projects, Miscellaneous Repair Projects



# SMALL BUSINESS DEVELOPMENT PROGRAM

## NEXT STEPS

- Union Transition Program - Done
- Back Office Support
- Business Plan Development
- New RFP





Metropolitan Transportation Authority

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# **M/W/DBE CONTRACT COMPLIANCE First Quarter 2015 Update**

**May 18, 2015**

**DBE Participation in Federally Funded Contracts  
Federal Fiscal Year 2015\*  
(October 1, 2014 to March 31, 2015)**

- 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 2015, MTA set an overall DBE goal of 17%.
- From October 2014 through March 31, 2015, MTA awarded approximately \$1 billion in the federally funded portion of contracts and awarded over \$187 million (17%) to certified DBEs.
- From October 2014 through March 31, 2015, MTA paid prime contractors approximately \$581 million, with payments to certified DBEs totaling over \$109 million (19%).

\*The Federal Fiscal Year runs from October 1<sup>st</sup> through September 30<sup>th</sup>.

**FEDERALLY-FUNDED CONTRACTS  
DBE CONTRACT ACTIVITY  
FEDERAL FISCAL YEAR 2015 (OCTOBER 2014 - MARCH 2015)**

**AWARDS\***

CONTRACT AWARDS	PRIME AWARDS		DBE PARTICIPATION			OVERALL FTA GOAL
	Number of Contracts	Award Amount	Number of DBE Contracts	DBE Award Amount	% To Agency Total	
<b>1st SEMI-ANNUAL REPORT October 2014 - March 2015</b>	42	\$1,104,400,998	100	\$187,351,882	17%	17%
<b>TOTAL</b>	<b>42</b>	<b>\$1,104,400,998</b>	<b>100</b>	<b>\$187,351,882</b>	<b>17%</b>	<b>17%</b>

**PAYMENTS\***

CONTRACT PAYMENTS	PAYMENTS TO PRIMES		DBE PARTICIPATION			OVERALL FTA GOAL
	Number of Contracts	Payment Amount	Number of DBE Subcontracts	DBE Payment Amount	% To Agency Total	
<b>1st SEMI-ANNUAL REPORT October 2014 - March 2015</b>	132	\$581,467,034	521	\$109,285,721	19%	17%
<b>TOTAL</b>	<b>132</b>	<b>\$581,467,034</b>	<b>521</b>	<b>\$109,285,721</b>	<b>19%</b>	<b>17%</b>

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

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

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

**DBE CONTRACT AWARDS**  
**FEDERAL FISCAL YEAR 2013**  
**October 2012 - 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%
<b>Total 2013</b>	<b>\$1,544,286,280</b>	<b>\$206,564,702</b>	<b>13%</b>

**DBE CONTRACT AWARDS**  
**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	\$341,239,068	\$60,714,280	18%
<b>Total 2014</b>	<b>\$1,060,912,014</b>	<b>\$188,620,669</b>	<b>18%</b>

**DBE CONTRACT AWARDS**  
**FEDERAL FISCAL YEAR 2015**  
**October 2014 - March 2015**

	Total Awards	Total DBE Awards	DBE%
October 2014 - March 2015	\$1,104,400,998	\$187,351,882	17%
<b>Total 2015</b>	<b>\$1,104,400,998</b>	<b>\$187,351,882</b>	<b>17%</b>

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

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

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

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

**DBE CONTRACT PAYMENTS**  
**FEDERAL FISCAL YEAR 2013**  
**October 2012 - 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%
<b>Total 2013</b>	<b>\$1,159,446,269</b>	<b>\$137,967,415</b>	<b>12%</b>

**DBE CONTRACT PAYMENTS**  
**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%
<b>Total 2014</b>	<b>\$1,540,761,040</b>	<b>\$192,022,060</b>	<b>12%</b>

**DBE CONTRACT PAYMENTS**  
**FEDERAL FISCAL YEAR 2015**  
**October 2014 - March 2015**

	Total Prime Payments	Total DBE Payments	DBE%
October 2014 - March 2015	\$581,467,034	\$109,285,721	19%
<b>Total 2014</b>	<b>\$581,467,034</b>	<b>\$109,285,721</b>	<b>19%</b>

**MWBE Participation in State Funded Contracts  
New York State Fiscal Year 2014-2015\*  
(April 1, 2014 to March 31, 2015)**

- Each year, MTA reports to the Empire State Development Corporation on a quarterly basis MWBE participation on State funded contracts.
- Reports are submitted 15 days after the end of each quarter, on January 15, April 15, July 15, and October 15.
- Reports include data on contracts with goals and MWBE contract payments.
- MTA established an overall MWBE goal of 20% for State fiscal year 2014-2015, starting on April 1, 2014.
- For State fiscal year 2014-2015, MTA awarded approximately \$2.5 billion NY State funded contracts, with over \$322 million (13%) awarded to certified MWBEs.
- From April 1, 2014 to March 31, 2015, MTA paid over \$1 billion on prime contracts with approximately \$260 million (23%), paid to MWBEs.

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

**NYS CONTRACTS  
MWBE CONTRACT ACTIVITY  
APRIL 1, 2014-MARCH 31, 2015  
AWARDS**

CONTRACT AWARDS	PRIME AWARDS		MWBE AWARDS			NYS Goal
	Number of Contracts	Award Amount	Number of MWBE Subcontracts	MWBE Award Amount	MWBE %	
<b>FIRST QUARTER</b>	16,915	\$540,465,794	424	\$83,913,228	16%	20%
<b>APRIL 2014-JUNE 2014</b>						
<b>SECOND QUARTER</b>	14,250	\$366,609,489	570	\$26,506,614	7%	20%
<b>JULY 2014-SEPTEMBER 2014</b>						
<b>THIRD QUARTER</b>	18,346	\$1,188,024,656	844	\$177,818,657	15%	20%
<b>OCTOBER 2014-DECEMBER 2014</b>						
<b>FOURTH QUARTER</b>	20,423	\$373,136,150	744	\$34,607,235	9%	20%
<b>JANUARY 2015-MARCH 2015</b>						
<b>TOTAL</b>	<b>69,934</b>	<b>\$2,468,236,090</b>	<b>2,582</b>	<b>\$322,845,734</b>	<b>13%</b>	<b>20%</b>

**PAYMENTS**

CONTRACT PAYMENTS	PAYMENTS TO PRIMES		MWBE PARTICIPATION			NYS Goal
	Number of Contracts	Payment Amount	Number MWBE Contracts	MWBE Payment Amount	MWBE %	
<b>FIRST QUARTER</b>	1,683	\$297,168,938	2,047	\$70,811,822	24%	20%
<b>APRIL 2014-JUNE 2014</b>						
<b>SECOND QUARTER</b>						
<b>JULY 2014-SEPTEMBER 2014</b>	1,799	\$325,324,903	2,204	\$71,782,605	22%	20%
<b>THIRD QUARTER</b>						
<b>OCTOBER 2014-DECEMBER 2014</b>	1,727	\$254,448,102	2,081	\$55,867,702	22%	20%
<b>FOURTH QUARTER</b>						
<b>JANUARY 2015-MARCH 2015</b>	2,032	\$239,897,515	2,394	\$61,168,288	25%	20%
<b>TOTAL</b>	<b>7,241</b>	<b>\$1,116,839,458</b>	<b>8,726</b>	<b>\$259,630,417</b>	<b>23%</b>	<b>20%</b>

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%
<b>TOTALS</b>		<b>\$1,838,607,358</b>	<b>\$102,205,184</b>	<b>6%</b>	<b>\$65,526,344</b>	<b>4%</b>	<b>\$167,731,528</b>	<b>9%</b>

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%
<b>TOTALS</b>		<b>\$718,173,079</b>	<b>\$113,797,125</b>	<b>16%</b>	<b>\$91,081,506</b>	<b>13%</b>	<b>\$204,878,631</b>	<b>29%</b>

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%
<b>TOTALS</b>		<b>\$639,443,801</b>	<b>\$96,197,003</b>	<b>15%</b>	<b>\$70,686,545</b>	<b>11%</b>	<b>\$166,883,549</b>	<b>26%</b>

FY 2014 - 2015 MWBE AWARDS

April 2014 - March 2015

	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	\$13,779,236	4%	\$12,727,379	3%	\$26,506,614	7%
QTR. 3	MTA	\$1,188,024,656	\$74,709,014	6%	\$103,109,644	9%	\$177,818,657	15%
QTR. 4	MTA	\$373,136,150	\$13,402,655	4%	\$21,204,580	6%	\$34,607,235	9%
<b>TOTALS</b>		<b>\$2,468,236,090</b>	<b>\$144,076,982</b>	<b>6%</b>	<b>\$178,768,752</b>	<b>7%</b>	<b>\$322,845,734</b>	<b>13%</b>

**MWBE PAYMENTS**  
**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%
<b>TOTALS</b>	<b>\$1,073,881,412</b>	<b>\$83,783,163</b>	<b>8%</b>	<b>\$74,799,626</b>	<b>7%</b>	<b>\$158,582,788</b>	<b>15%</b>

**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%
<b>TOTALS</b>	<b>\$1,209,787,949</b>	<b>\$135,857,915</b>	<b>11%</b>	<b>\$125,352,870</b>	<b>10%</b>	<b>\$261,210,785</b>	<b>22%</b>

**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%
<b>TOTALS</b>	<b>\$1,238,230,632.80</b>	<b>\$153,308,114</b>	<b>12%</b>	<b>\$133,287,633</b>	<b>11%</b>	<b>\$286,595,747</b>	<b>23%</b>

**FY 2014 - 2015 MWBE PAYMENTS**  
 April 2014 - March 2015

	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%
QTR. 3	\$254,448,102	\$29,988,877	12%	\$25,878,825	10%	\$55,867,702	22%
QTR. 4	\$239,897,515	\$34,663,200	14%	\$26,505,088	11%	\$61,168,288	25%
<b>TOTALS</b>	<b>\$1,116,839,457.53</b>	<b>\$147,271,487</b>	<b>13%</b>	<b>\$112,358,930</b>	<b>10%</b>	<b>\$259,630,417</b>	<b>23%</b>

**MTA ALL AGENCY  
DISCRETIONARY PROCUREMENT REPORT\*  
April 2014 - March 2015**

Agency	Total Award Amount	Total MWBE Awards	MWBE	Total Awards \$200k or less	MWBE Discretionary Awards	Discretionary MWBE	SBC** Discretionary	Discretionary SBC
MTA NYCTA	\$659,085,489	\$65,920,991	10%	\$156,377,742	\$18,424,902	12%	\$12,881,833	8%
MTA MNR	\$171,072,892	\$6,692,678	4%	\$43,497,527	\$3,056,492	7%	\$266,062	1%
MTA B&T	\$132,603,771	\$25,429,273	19%	\$7,632,753	\$1,028,887	13%	\$156,036	2%
MTA LIRR	\$213,807,674	\$6,518,010	3%	\$38,522,327	\$3,409,709	9%	\$2,797,784	7%
MTA HQ	\$143,287,928	\$5,644,900	4%	\$8,247,244	\$470,744	6%	\$52,521	1%
MTA CC	\$424,781	\$41,229	10%	\$424,781	\$34,653	8%	\$4,495	1%
MTA BUS	\$30,640,462	\$1,514,571	5%	\$22,482,408	\$1,514,571	7%	\$157,781	1%
<b>Total</b>	<b>\$1,350,922,997</b>	<b>\$111,761,652</b>	<b>8%</b>	<b>\$277,184,782</b>	<b>\$27,939,958</b>	<b>10%</b>	<b>\$16,316,512</b>	<b>6%</b>

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

\*\*Small Business Concern

## MWDBE Liaisons

Christopher Bennett, MTA Bridges & Tunnels

Melissa Jones, MTA Capital Construction

Rashia Mason, MTA Long Island Rail Road

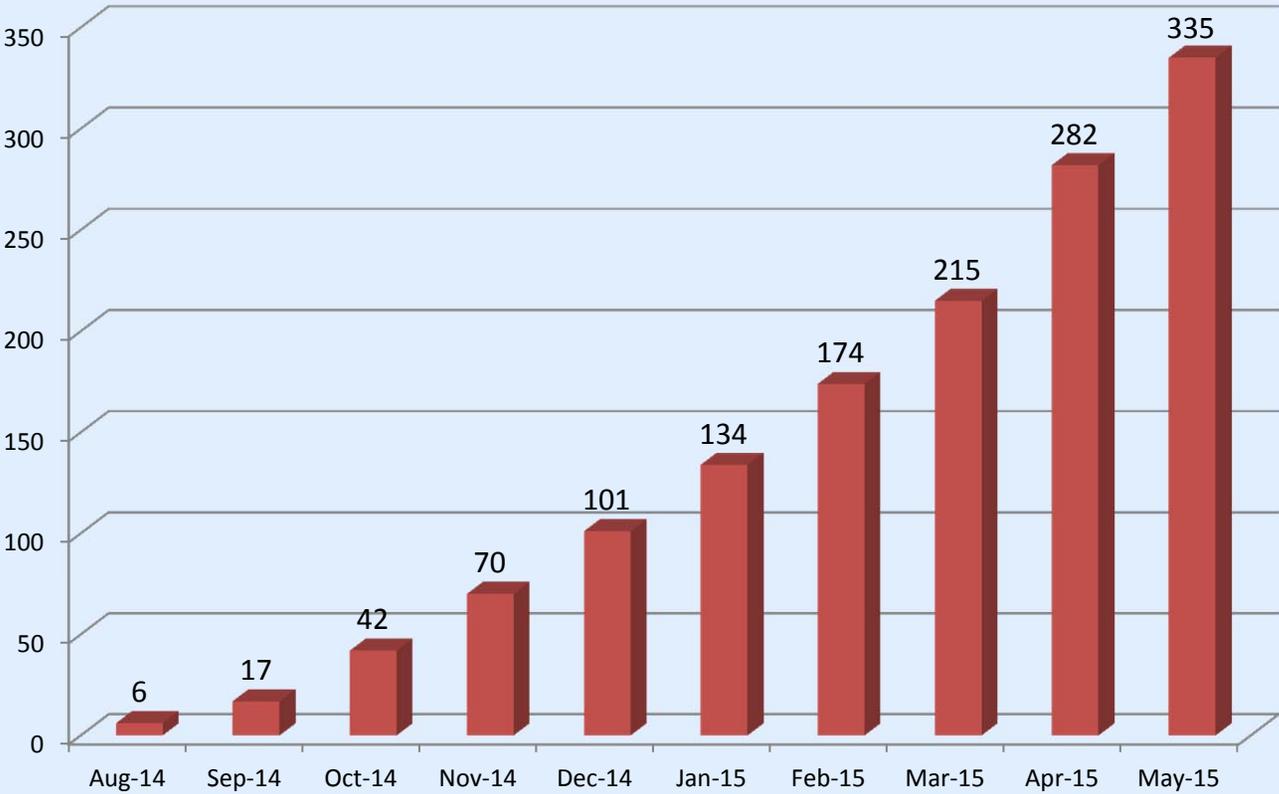
Sonia Mercado, MTA Headquarters

Christine Norman, MTA Metro-North Railroad

MTA NYCT – In Progress

# MTA Headquarters DDCR Update

## *Contracts Closed - From August 2014 to May 12, 2015*

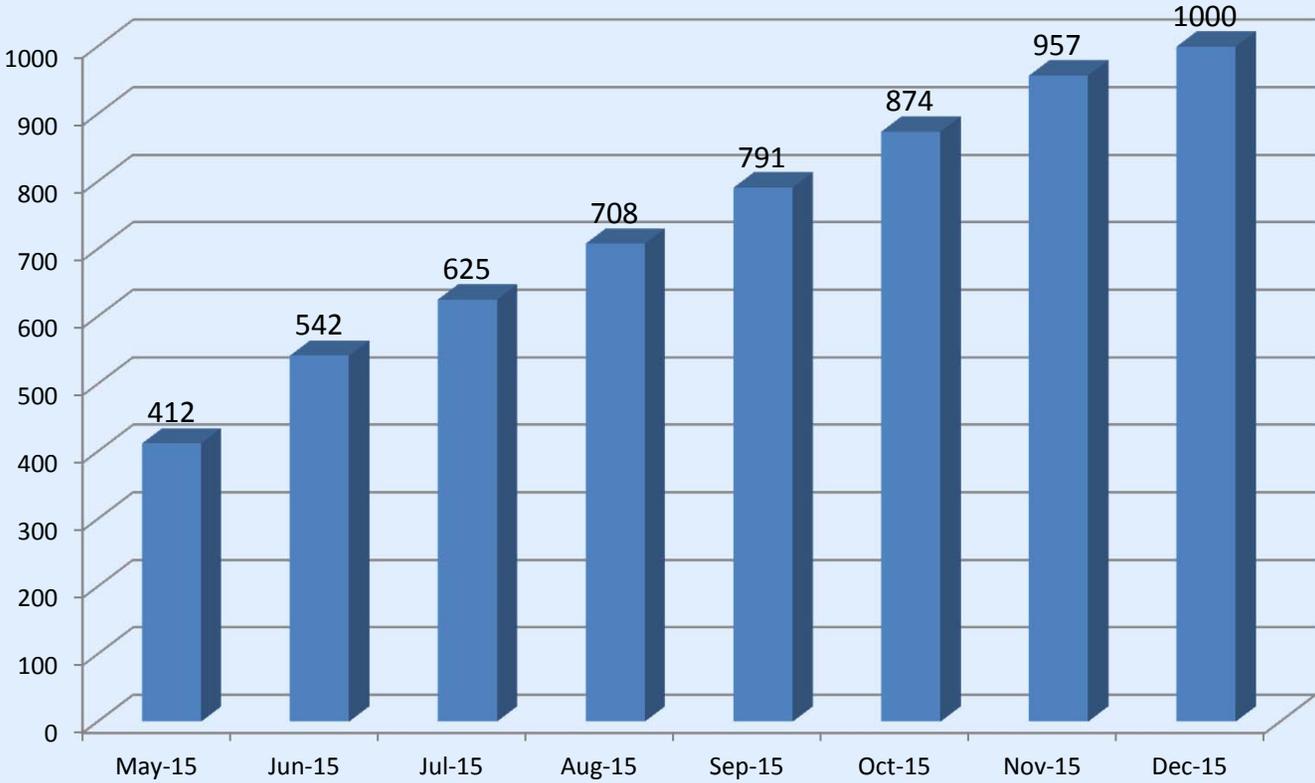


DDCR Update



# MTA Headquarters DDCR Update

## *Projected Contract Closeouts - May 2015 to December 2015*



DDCR Update



## MTA Headquarters DDCR Update

### *Inactive Contracts - Status as of May 12, 2015*

Inactive Contracts with Goals	#
1. Total Contracts Reviewed and Closed	224 (a)
2. Contracts Administratively Closed	111 (b)
Sub-Total	<u>335</u>
3. Close-Outs in Progress	595
4. Contracts Pending Agency Action	70
<b>Total</b>	<b>1,000 (c)</b>

a. 71% of contracts either met or exceeded M/W/DBE goals.

b. Administratively closed because of the age of the contracts (beyond the established seven-year record retention period).

c. This total number of inactive contracts is as of May 6, 2015.



# **Hudson Yards Mentor Program**

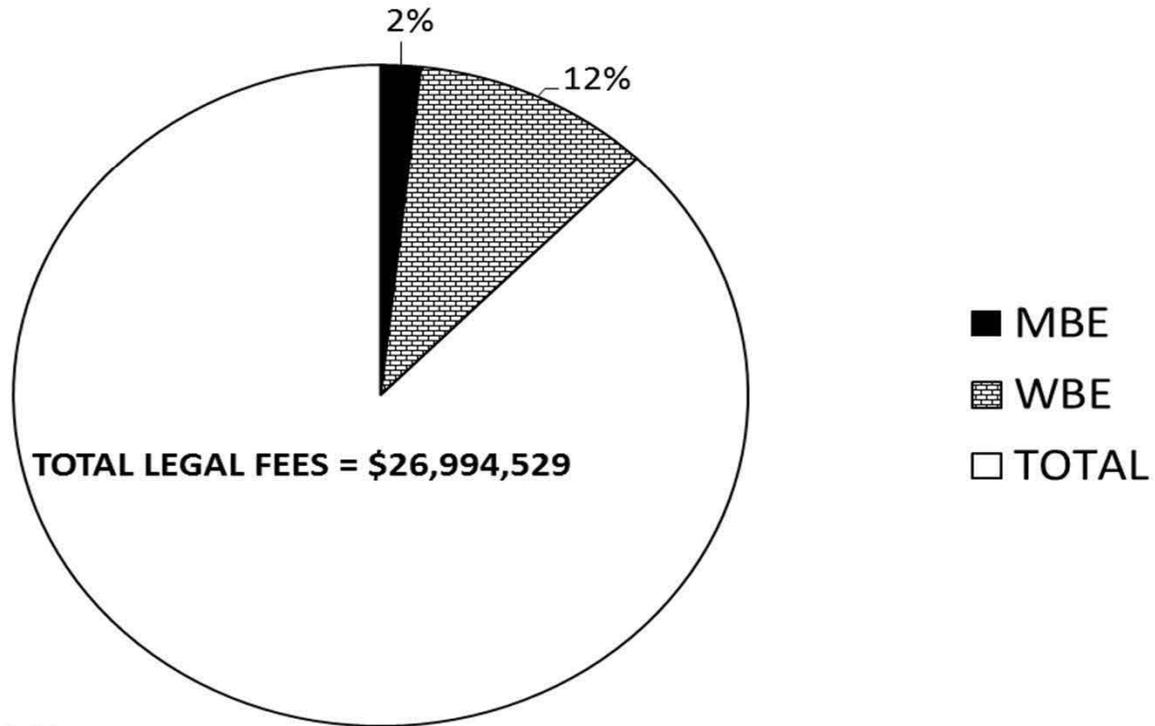
**Malcolm Patrick Corporation  
(NYS certified MBE)**

**Scope / General Conditions  
\$1 Million Prime Contract**

# **FINANCIAL AND LEGAL SERVICES**

**May 18, 2015**

# MTA ALL AGENCY LEGAL FEES April 2014- MARCH 2015



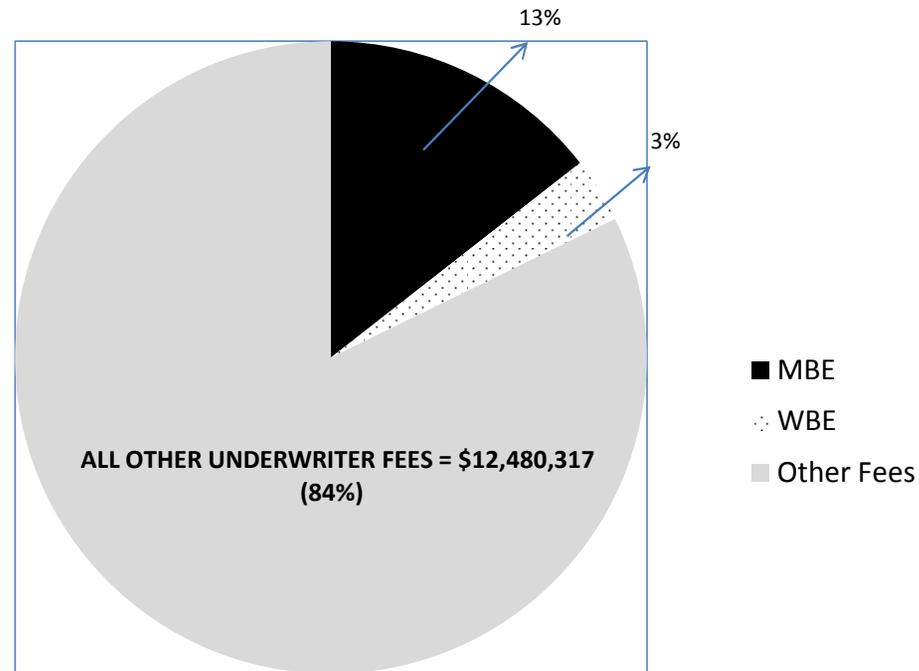
**10% MBE GOAL**  
**10% WBE GOAL**

**Actual MBE Participation = \$539,240 or 2%**  
**Actual WBE Participation = \$3,258,912 or 12%**

**MTA ALL AGENCY LEGAL FEES PAID  
APRIL 2014 THROUGH MARCH 2015**

<b>AGENCY</b>	<b>ALL FEES PAID</b>	<b>MBE FEES PAID</b>	<b>Agency MBE PARTICIPATION</b>	<b>WBE FEES PAID</b>	<b>Agency WBE PARTICIPATION</b>
B &T	\$704,507	\$2,737	0.4%	\$33,438	4.7%
LIRR	\$1,226,501	\$60,535	4.9%	\$19,928	1.6%
MTABUS	\$3,886,717	\$248,646	6.4%	\$352,865	9.1%
MTACC	\$3,488,344	\$0	0.0%	\$2,275,531	65.2%
MTAHQ	\$6,816,102	\$16,644	0.2%	\$60,761	0.9%
MNR	\$1,701,173	\$63,020	3.7%	\$7,174	0.4%
NYCTA	\$9,171,185	\$147,659	1.6%	\$509,215	5.6%
<b>TOTAL</b>	<b>\$26,994,529</b>	<b>\$539,240</b>	<b>2.0%</b>	<b>\$3,258,912</b>	<b>12.1%</b>

### MTA ALL AGENCIES UNDERWRITER FEES APRIL 2014 - MARCH 2015



**MBE GOAL - 10%**

**WBE GOAL - 10%**

**TOTAL UNDERWRITER FEES = \$14,816,505.89**

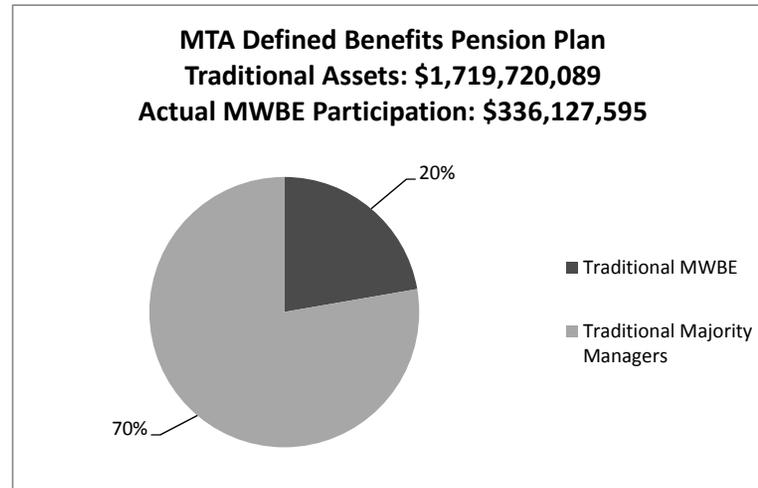
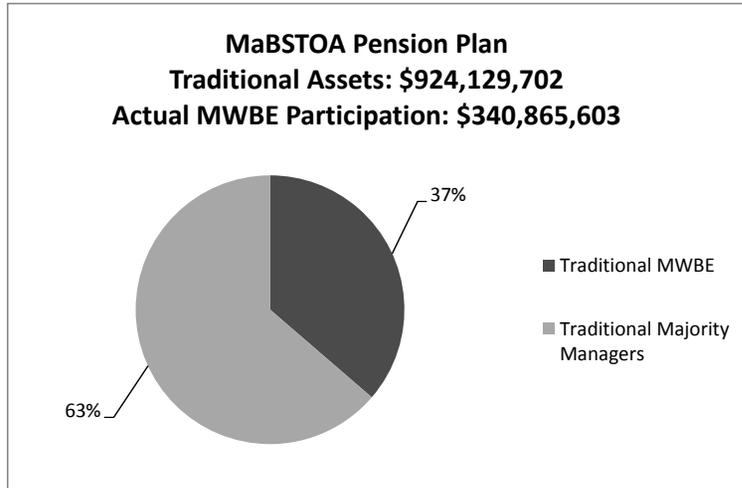
**ACTUAL MBE PARTICIPATION = \$1,935,780.38**

**ACTUAL WBE PARTICIPATION = \$400,409.02**

# MTA ASSET FUND MANAGERS

**May 18, 2015**

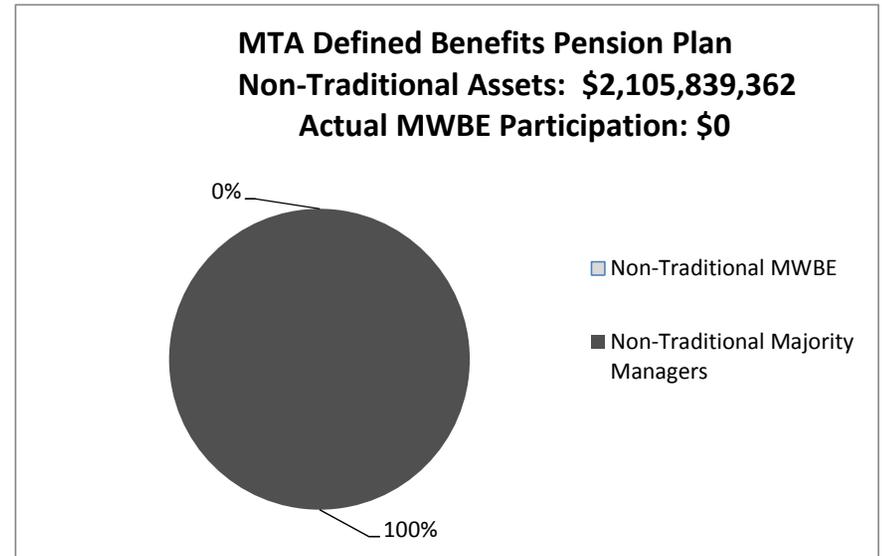
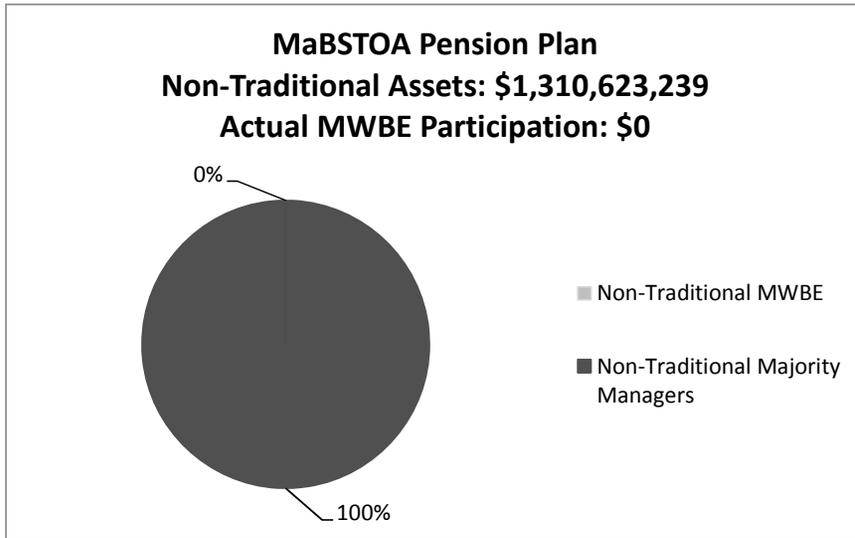
## TRADITIONAL ASSETS MWBE PARTICIPATION As of 02/28/2015



**TOTAL TRADITIONAL ASSETS = \$2,643,849,791**

\* 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.

## NON-TRADITIONAL ASSETS MWBE PARTICIPATION As of 2/28/2015

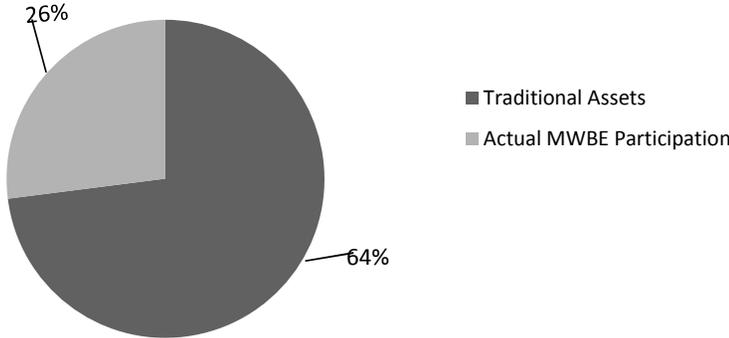


**TOTAL NON-TRADITIONAL ASSETS = \$3,416,462,601**

**SUMMARY OF ALL PENSION ASSETS  
TRADITIONAL/NON-TRADITIONAL  
MWBE PARTICIPATION**

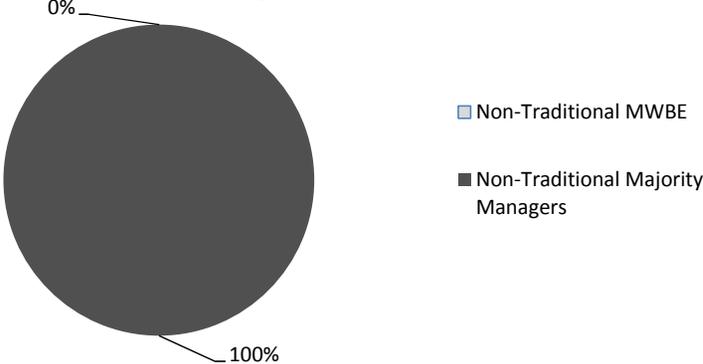
As of 2/28/2015

**Total Traditional Assets: \$2,643,849,791**  
**Actual MWBE Participation: \$676,993,198**



**Total Non-Traditional Assets: \$3,416,462,601**

**Actual MWBE Participation: \$0**



**Total Assets = \$6,060,312,392**

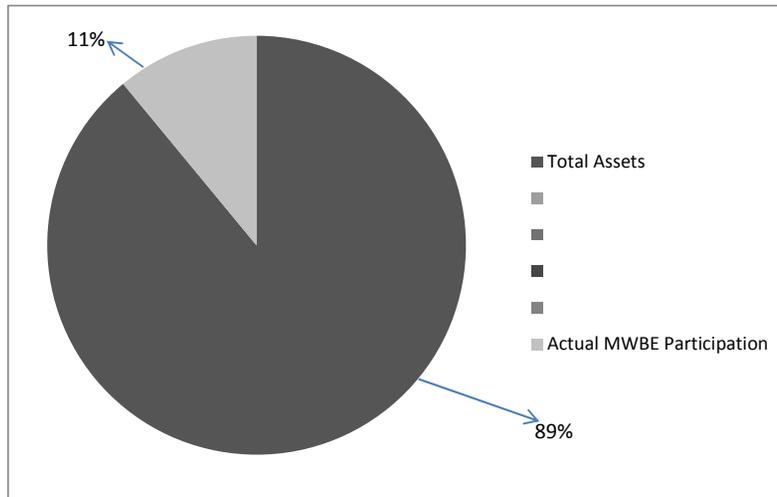
## SUMMARY OF TOAL ASSETS

### MWBE PARTICIPATION

As of 2/28/2015

**TOTAL ASSETS = \$6,060,312,392**

**ACTUAL MWBE PARTICIPATION= \$676,993,198**



# **MTA CAPITAL PROJECTS M/W/DBE AWARDS**

**May 18, 2015**

**DBE AWARDS ON MTA CAPITAL PROJECTS with GOALS  
JANUARY - MARCH 2015  
FEDERALLY FUNDED**

FEDERALLY FUNDED	FIRST QUARTER (JANUARY-MARCH) (in millions)			SECOND QUARTER (APRIL-JUNE) (in millions)			2015 TOTALS (JANUARY-March 2015) (in millions)		
	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	\$ 461.4	\$ 82.6	18%	\$ -	\$ -	0%	\$ 461.4	\$ 82.6	18%
Professional Services	\$ -	\$ -	0.0%	\$ -	\$ -	0%	\$ -	\$ -	0%
Other									
<b>TOTAL</b>	\$ 461.4	\$ 82.6	<b>18%</b>	\$ -	\$ -	<b>0%</b>	\$ 461.4	\$ 82.6	<b>18%</b>
Additional MWBE Participation:	<b>Total Awards</b>	<b>Total MWBE Awards</b>		<b>Total Awards</b>	<b>Total MWBE Awards</b>		<b>Total Awards</b>	<b>Total MWBE Awards</b>	
Construction	\$ 461.4	\$ 57.0		\$ -	\$ -		\$ 461.4	\$ 57.0	
Professional Services	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
Other	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
<b>Total</b>	\$ 461.4	\$ 57.0		\$ -	\$ -		\$ 461.4	\$ 57.0	

**MWBE AWARDS ON MTA CAPITAL PROJECTS with GOALS  
JANUARY - MARCH 2015  
STATE FUNDED**

STATE FUNDED	FIRST QUARTER (JANUARY-MARCH) (in millions)			SECOND QUARTER (APRIL-JUNE) (in millions)			2015 TOTALS (JANUARY-MARCH 2015) (in millions)		
	Total Awards	Total MBE Awards	MBE Participation (%)	Total Awards	Total MBE Awards	MBE Participation (%)	Total Awards	Total MBE Awards	MBE Participation (%)
<b>MBE Participation Goal: 10%</b>									
Construction	\$ 17.4	\$ 4.0	22.9%	\$ -	\$ -	0.0%	\$ 17.4	\$ 4.0	22.9%
Professional Services	\$ 2.4	\$ 0.3	12.5%	\$ -	\$ -	0.0%	\$ 2.4	\$ 0.3	12.5%
Other	\$ -	\$ -	0.0%	\$ -	\$ -	0.0%	\$ -	\$ -	0.0%
MBE Participation on FTA-funded projects									
<b>TOTAL</b>	<b>\$ 19.8</b>	<b>\$ 4.3</b>	<b>21.6%</b>	<b>\$ -</b>	<b>\$ -</b>	<b>0%</b>	<b>\$ 19.8</b>	<b>\$ 4.3</b>	<b>21.6%</b>
<b>WBE Participation Goal: 10%</b>									
Construction	\$ 17.4	\$ 2.4	14.0%	\$ -	\$ -	0.0%	\$ 17.4	\$ 2.4	14.0%
Professional Services	\$ 2.4	\$ 0.6	25.0%	\$ -	\$ -	0.0%	\$ 2.4	\$ 0.6	25.0%
Other	\$ -	\$ -	0.0%	\$ -	\$ -	0.0%	\$ -	\$ -	0.0%
WBE Participation on FTA-funded projects									
<b>TOTAL</b>	<b>\$ 19.8</b>	<b>\$ 3.0</b>	<b>15.4%</b>	<b>\$ -</b>	<b>\$ -</b>	<b>0%</b>	<b>\$ 19.8</b>	<b>\$ 3.0</b>	<b>15.4%</b>
<b>Additional DBE Participation:</b>									
Construction	\$ 19.8	\$ 7.0		\$ -	\$ -		\$ 19.8	\$ 7.0	
Professional Services	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
Other	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
<b>Additional DBE Participation Total</b>	<b>\$ 19.8</b>	<b>\$ 7.0</b>		<b>\$ -</b>	<b>\$ -</b>		<b>\$ 19.8</b>	<b>\$ 7.0</b>	