



**Metropolitan Transportation Authority**

# Diversity Committee Meeting

## December 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, New York  
Monday, 12/14/2015  
2:45 - 3:45 PM ET

## **1. PUBLIC COMMENT PERIOD**

## **2. APPROVAL OF MINUTES – SEPTEMBER 21, 2015**

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## **3. DIVERSITY COMMITTEE WORK PLANS**

*2015 Diversity Committee Work Plan - Page 10*

*2016 Diversity Committee Work Plan - Page 13*

## **4. BUSINESS AND DIVERSITY INITIATIVES**

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## **5. CERTIFICATION ACTIVITY REPORT**

*Certification Activity Report - Page 19*

## **6. THIRD QUARTER 2015 EEO/TITLE VI COMPLAINTS AND RESOLUTIONS**

*Third Quarter EEO Title VI Complaints and Resolutions - Page 22*

## **7. SMALL BUSINESS DEVELOPMENT PROGRAM UPDATE**

*Small Business Development Program - Page 30*

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

*MWDBE Contract Compliance Third Quarter 2015 - Page 44*

## **9. FINANCIAL AND LEGAL SERVICES**

*Financial and Legal Services - Page 55*

## **10. ASSET FUND MANAGERS**

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

*MWDBE Capital Projects - Page 64*

## **12. DIVERSITY COMMITTEE CHARTER**

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## **MTA DIVERSITY COMMITTEE**

### **Meeting Minutes**

2 Broadway, 20<sup>th</sup> Floor

New York, NY 10004

Monday, September 21, 2015

2:15 p.m.

The following Committee members were present:

Hon. John Molloy, Chairman

Hon. Fernando Ferrer

Hon. Robert Bickford

Hon. Susan G. Metzger

The following Committee members were absent:

Hon. John Banks III

The following were also present:

Michael Garner, Chief Diversity Officer, MTA

Joseph Giulietti, President, MTA Metro-North Railroad ("MNR")

Darryl Irick, President, MTA Bus Company ("MTA Bus")

Patrick Nowakowski, President, MTA Long Island Rail Road ("LIRR")

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

Don Spero, Acting President, MTA Bridges and Tunnels ("B&T")

James Ferrera, Interim President, New York City Transit ("NYC Transit")

Michael Coan, Chief, MTA Police Department

Jessie Crawford, Director, Human Resources, MTA

Diane Daly, Director, Customer Service and Support, MTA

Naeem Din, Deputy Director, MTA Department of Diversity and Civil Rights ("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

Ron McCune, Assistant Director, Certification Unit, DDCR

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

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

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

Robert Rodriguez, Director, Office of Diversity and Equal Opportunity, MNR

Anthony Gardner, Deputy Director, Procurement, MNR

Christine Norman, Manager, Procurement and Material Management, MNR

Shawn Moore, Chief EEO Officer, MTA Bridges and Tunnels ("B&T")

MTA Diversity Committee Meeting Minutes, Monday, September 21, 2015

David Cannon, Director, Procurement and Risk Management, Capital Construction (“CC”)  
Melissa Jones, Manager, Compliance and Reporting, CC  
Sheldon Dixon, Director, Human Resources, CC  
Albert Rivera, Operations, B&T  
Sharon Gallo Kotcher, Vice President, Labor Relations, B&T  
Serafina Rutigliano, Director of Human Resources & Training, B&T  
Barry Kluger, Inspector General, IG  
David Saywack, Computer Support Analyst, MTA  
Raj Kalicharan, Lead Agency Liaison, HQ/BSC  
Aleyda Meyers, Director, All-Agency Veteran Recruitment and Staffing Initiative, Human Resources, MTA  
Chris Bennett, Procurement Manager, MWBE Compliance, B&T Sonia Mercado, Supplier Diversity Manager, Procurement, MTA  
Patrick Smith, Chief Officer, HR Strategic and Business Partnerships, Human Resources, MTA  
Monica Murray, Senior Associate Counsel, General Counsel, MTA

### **Public Speakers:**

There were no public speakers.

### **Approval of Minutes**

Upon a motion duly made and seconded, the Committee unanimously approved the minutes of the meeting held on May 18, 2015.

### **Overview of Today’s Meeting**

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

Chairman Molloy asked if there were any changes to the Work Plan. Mr. Din said there were no changes to the 2015 Work Plan.

### **Business and Diversity Initiatives**

DDCR’s Business and Diversity initiatives are contained in the Committee book.

### **Certification Activity Report**

Mr. Din said Mr. McCune has been promoted to Assistant Director, Certification. Mr. McCune reported on the DBE certification activity for the second quarter 2015. Mr. McCune reported that DDCR received 24 new certification applications. He explained that comparing 2015 results with the same time periods in previous years, applications were higher in 2013 but remained the same for 2014.

Mr. McCune reported that DDCR processed 23 applications during the reporting period: 16 certified, 2 denied, 3 applications were returned, and 2 were withdrawn. Mr. McCune also reported certification activity for the same period in 2013 and 2014. He explained that the number of firms certified for the reporting period stayed the same in 2015, compared with 2014 but increased compared with 2013.

Mr. McCune added that DDCR has a pool of about 650 firms that have been certified by the MTA, and DDCR is leading in the certification activity for New York State Unified Certification Program.

### **Second Quarter EEO Activities**

Mr. Din reported on MTA-wide workforce underutilization as June 30, 2015. Females, Hispanics and Native Hawaiian Other Pacific Islanders were underrepresented in various job categories across MTA agencies. He stated that a majority of the underrepresentation within these groups is within the administrative support, skilled craft and service maintenance job categories. He explained that these job categories have the highest number of employees at the MTA agencies.

Mr. Din reported that for the reporting period, 3,711 employees were hired and that of these new hires, 21% are females and 72% are minorities. He added that minority group numbers included males and females and that NYC Transit hired the most employees, 2,294, of which 20% are females and 81% are minorities.

Mr. Din reported that MTA and its Agencies handled 382 EEO complaints. He reported that 199 complaints were filed with the external agencies, and 183 complaints were handled internally. He added that for the external complaints, disability discrimination, and other types of miscellaneous discrimination, and race, color discrimination were most frequently cited. He stated that for the internal complaints, sexual harassment and other types of miscellaneous discrimination and race/color discrimination were most frequently cited.

Mr. Din also reported on Title VI complaints. He reported that agency-wide, a total of 92 complaints were handled and that race discrimination was most frequently cited as the basis for the complaint. Mr. Din also reported on workforce underutilization for MTA Headquarters, including MTA Police Department, and external and internal EEO complaints handled at MTA Headquarters. Additionally, he reported on the number of new hires for MTA Headquarters, which reflects recent Information Technology consolidation.

### **Agency Strategies to Address Underutilization**

Each MTA agency president reported on areas of underutilization in his respective agency's workforce and outlined efforts to increase representation of females and minorities. This information is fully stated in the Committee book as well as contained in the videotape of this meeting. Following is a summary of what each agency president stated at the meeting.

#### **MNR**

Mr. Giuliatti reaffirmed his commitment to improving the representation of Women and Minorities in MNR's workforce. He said MNR continues to improve its recruitment and hiring practices. Mr. Giuliatti explained that MNR is working collaboratively with its various departments to closely monitor all the new hires, including in areas that show underutilization of minorities and women.

Mr. Giuliatti stated that MNR has shown continued improvement in utilization of Hispanics and Asians as of the second quarter of 2015, compared with the same period in 2014. He said nearly half of MNR new hires as of the second quarter of 2015 are minority, compared to 46% for the same period in 2014, 42% in 2013 and 36% in 2012.

Mr. Giuliatti added that the recruitment of females has not been as successful, decreasing from 17% in 2014 to 15% in 2015. He attributed this decline to the increased hiring in skilled craft trades that have low external availability of females for those positions. MNR is redesigning its marketing materials to attract female applicants. Mr. Giuliatti said that MNR will also continue to target its efforts by positing jobs on female-focused employment websites and expanding outreach throughout MNR's recruitment areas. He explained that MNR is also promoting and enhancing its Associate Engineer and Mentoring Programs, intended to promote from within and diversify job groups that have shown female and minority underutilization. He added that MNR has expanded its internal employee training in order to enhance job skills and promote promotional opportunities.

Mr. Giuliatti stated that MNR's underutilization of Hispanics and females has not changed for the past four years. He said MNR can show improvement in at least one of those areas of underutilization. Mr. Giuliatti said there has been improvement in utilization of females and Hispanics, and MNR will continue to make improvements.

### **NYC Transit**

Mr. Ferrara reaffirmed his commitment to improving the representation of females and minorities in NYC Transit's workforce. Mr. Ferrara stated that while NYC Transit has a very diverse workforce, there are areas of female and minority underutilization.

Mr. Ferrara said NYC Transit continues to conduct targeted outreach to improve female and minority underutilization. He stated that by the second quarter of 2015, 20% of new hires were female, and 18% Hispanics. Mr. Ferrara discussed NYC Transit's strategies and outreach efforts to address underutilization. He specifically outlined his agency's efforts to reach out to females and minorities, including the Management Fellows Program and specifically targeted efforts for outreach to females, veterans, Hispanics and other minority groups.

Mr. Ferrara also mentioned the Diversity and Inclusion Program, a taskforce of senior managers at NYC Transit and MTA Bus designed to lay the foundation for a comprehensive and robust diversity and inclusion program. Program initiatives include establishment of diverse employee focus groups, and development of pilot mentorship programs with the assistance of outside consultant, Management Mentors, Inc.

### **MTA Bus**

Mr. Irick reaffirmed his commitment to improving the representation of females and minorities in MTA Bus workforce. Mr. Irick stated that MTA Bus Company is in the process of hiring a Chief Officer, EEO.

Mr. Irick reported as of the second quarter of 2015, MTA Bus workforce is 73% minority and 13% females. Mr. Irick outlined areas of underutilization for females and minorities. He added that of the new hires 84% are minority and 21% are females. He stated the growth in new female new hire represents a 7% increase compared to last year.

Mr. Irick discussed MTA Bus' three-prong approach to diversity, which includes management awareness, public outreach, and workforce development. He said MTA Bus has partnered with colleges, trade schools,

and community organizations to ensure a diverse pool of candidates. He stated that the agency also has a successful workforce development team that gives employees the tools they need to operate as a successful and cohesive team.

Mr. Irick explained MTA Bus participated in several events to promote employment opportunities for females and minorities. He said it works with Women's Transit Seminars, and the USDOT Transportation Mentoring Program. He added that over the summer, through the collaborative efforts of Transportation Diversity Council, a diverse group of students from Bronx Design and Construction High School have been summer interns working alongside structural maintainers. HE said, MTA Bus is exploring avenues to help interns get full-time positions at the agency.

Mr. Irick said his executive staff visited Ralph R. McKee Career and Technical Education High School in Staten Island to promote careers at MTA Bus and that further outreach was conducted to Bronx Community College, CUNY which has a unique automotive technology curriculum.

## **LIRR**

Mr. Nowakowski reaffirmed his commitment to improving the representation of females and minorities in LIRR workforce and reported on workforce demographics and areas of underutilization for females and minorities.

He stated that as of second quarter of 2015, 21.3% of new hires were female and 50% were minority. Mr. Nowakowski also outlined LIRR's outreach efforts, which included attendance at job fairs at seven colleges with large minority student populations and conducted presentations to two area high schools.

## **MTA B&T**

Mr. Spero reaffirmed his commitment to improving the representation of females and minorities in B&T's workforce. He stated that MTA B&T Human Resources, Office of EEO, various departments and its leadership continue to work in partnership to address the underutilization of females and minorities in its workforce.

Mr. Spero outlined B&T's areas of underutilization. He said overall workforce composition shows significant gains for females and minorities as of second quarter 2015. He said of the new hires, 22% were females and 56% were minorities.

He said B&T's on-going recruitment initiatives five strategic components: (1) talent management strategies; (2) targeted recruitment and outreach efforts; (3) organization and leadership development; (4) mobility and retention programs; and (5) professional development.

## **MTA CC**

Dr. Horodniceanu reaffirmed his commitment to improving the representation of females and minorities in MTA CC workforce. He said that although there are some areas of underutilization, MTA CC has greatly improved female and minority representation in its workforce, compared with 2014.

Dr. Horodniceanu said, as of second quarter 2015, MTA CC workforce reflected 33% female and 54% minority representation and Of MTA CC new hires, 38% of MTA CC hires were female and 57% were minority.

He reported that MTA CC's outreach strategies include targeted recruitment and paid internship programs to address underutilization. Dr. Horodniceanu added that MTA CC acquired corporate membership in Hispanic organizations such as HLPAA (Hispanic/Latino Professionals Association). He said that MTA CC attends targeted job fairs like fairs sponsored by HLPAA, LATCareers and LatPro. He added that since 2014, MTA CC has instituted a paid internship program for a diverse group of students and that MTA CC will continue to utilize social media, such as the professional networking site LinkedIn, to provide information and updates on MTA CC employment opportunities and will continue to focus on attracting female and minority applicants.

Ms. Metzger said that she and Mr. Ferrer have been concerned about the differences in female availability across the MTA Agencies. She said she does not understand the reasons for these differences and she expects to see some consistency in this area among the Agencies. She asked the MTA and its Agencies to take another look at the female availability data to ensure its accuracy.

### **Small Business Development Program ("SBDP") Update**

Mr. Cleary provided an update on MTA's SBDP as of July 31, 2015. Mr. Cleary said that currently there are 207 pre-qualified firms in the program as it continues to grow. Mr. Cleary also gave a breakdown of these firms in Tiers 1 and 2 of Small Business Mentoring Program ("SBMP") and MTA's Small Business Federal Program ("SBFP"). He added that 42 firms are pending pre-qualification and that as of July 31, 2015, a total of 213 contracts were awarded, totaling \$191 million.

Mr. Cleary also gave an update on the Small Business Loan Program. The total amount of loans approved is \$8 million. Mr. Cleary also gave a breakdown of firms that have received contracts in Tiers 1 and 2 of the SBMP and in the SBFP. He said the Bonding Program assisted 14 firms in obtaining bond surety letters. The Surety Bonding capacity for these 14 firms totals \$78 million.

Mr. Cleary stated that SBDP is looking to target a broader pool of diverse, emerging firms. He said SBDP will target ethnic trade groups and their associations. Mr. Cleary said approximately 4,500 jobs have been created in MTA's service region. And that SBDP also provides extensive classroom training. He said a total of 226 firms participated in training as of spring 2015. Mr. Cleary stated that SMDP anticipates spending of approximately \$500 million in MTA next five-year Capital Plan, which equates to about 430 projects and 12,000 jobs.

Mr. Garner stated that thanks to the MTA Chairman, the Board, the MTA Agency presidents and their respective staff, the SBDP has really taken off. He said not only is it ensuring access to capital and surety bonding but it is giving the emerging MWDBE firms the ability to bid directly as prime contractors. He



added that MTA's next five-year Capital Plan will offer approximately half-billion in contract opportunities, which will focus on job creation.

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

Ms. Harleston reported on federal and state funded contract and payment activities. She said for the period October through June 2015, MTA awarded \$1.3 billion in federally-funded contracts with \$283 million (21%) being awarded to certified DBEs exceeding MTA's 17% goal. She stated that for the same period, \$894 million was paid to prime contractors with \$159 million (18%) paid to DBEs and that for the period April through June 2015, MTA paid \$243 million to prime contractors in state funded contracts with MWBE participation of \$68.5 million (28%). Ms. Harleston said the 30% annual MWBE goal was just assigned in April 2015.

For discretionary procurement awards for April to June 2015, Ms. Harleston reported that for April 2015 through June 2015, MWBE participation was 10% and participation of Small Business Concerns was 7%.

Mr. Garner said that for payments made for legal services, MBE participation was 3% and WBE participation was 4% and that regarding underwriter fees, MBE participation was 48% and WBE participation was 1%, on one transaction. He stated that in the area of asset fund management, MTA did well in terms of MWBE participation in traditional assets but not in non-traditional assets.

Mr. Ferrer said a recent report by the New York State Comptroller concluded that MTA was not meeting the State MWBE goal. He asked if MTA has responded to the Comptroller's report. Mr. Garner said MTA is preparing its response. He said MTA disagrees with the Comptroller's report and that MTA's MWBE goal was in line with the State goal.

Ms. Harleston also reported on MWBE participation on MTA's capital projects for the period January to June 2015, MTA exceeded its overall DBE goal and met its MWBE goal. She said the DBE participation on federally funded projects was 20% and the MBE participation on state funded contracts was 19%, and the WBE participation was 11%.

### **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.

## 2016 Diversity Committee Work Plan

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### **I. RECURRING AGENDA ITEMS**

#### Responsibility

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Committee Work Plan	Committee Chair & Members
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MTA DBE Certification Program Activities	Dept. of Diversity/Civil Rights
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Action Items (if any)	As listed

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#### **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**

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## 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 2016**

### 1<sup>st</sup> Quarter 2016 Report

The Department of Diversity and Civil Rights will present 1<sup>st</sup> quarter 2016 update on MTA Agency-wide EEO and M/W/DBE contract compliance activities.

## **September 2016**

### 2<sup>nd</sup> Quarter 2016 Report

The Department of Diversity and Civil Rights will present 2<sup>nd</sup> quarter 2016 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 2016**

### 3<sup>rd</sup> Quarter 2016 Report

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## 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.

## 2017 Diversity Committee Work Plan

The Department of Diversity and Civil Rights will present an updated Diversity Committee Work Plan for 2017.



Metropolitan Transportation Authority

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

**December 14, 2015**



## **Business & Diversity Initiatives**

### **October**

National Supplier Diversity Council & NJ Hispanic Chamber of Commerce presents “State of Hispanic-owned Businesses Forum”

5<sup>th</sup> Annual New York State MWBE Forum

DBE Certification Workshop

NJ Hispanic Chambers of Commerce Business Expo

NYS Association of Minority Contractors Awards Gala

Annual Circle of Sisters Expo

### **November**

Annual Somos El Futuro Conference

Harlem Business Alliance – Black Biz Matters

La Guardia Business Services Matchmaker Event

NYNJ Minority Supplier Diversity Awards Gala

DBE Certification Workshop

Architectural & Engineering Discretionary Award Opportunities Outreach Event

## **Business & Diversity Initiatives**

### **December**

DBE Certification Workshop

NYC Hispanic Chamber of Commerce Annual Banquet Awards Dinner



Metropolitan Transportation Authority

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

**December 14, 2015**

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

	2015	2014	2013
<b>JULY</b>	<b>10</b>	<b>8</b>	<b>10</b>
<b>AUGUST</b>	<b>9</b>	<b>16</b>	<b>10</b>
<b>SEPTEMBER</b>	<b>13</b>	<b>4</b>	<b>10</b>
<b>TOTAL</b>	<b>32</b>	<b>28</b>	<b>30</b>

# CERTIFICATION ACTIVITY FOR NEW APPLICATIONS

## THIRD QUARTER 2013 - 2015

	2015	2014	2013
<b>CERTIFIED</b>	15	20	24
<b>DENIED</b>	0	1	7
<b>RETURNED</b>	15	8	6
<b>WITHDRAWN</b>	5	5	4
<b>TOTAL</b>	35	34	41



Metropolitan Transportation Authority

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**MTA DEPARTMENT OF DIVERSITY/  
CIVIL RIGHTS EEO/TITLE VI  
COMPLAINTS AND RESOLUTIONS  
THIRD QUARTER 2015**

**December 14, 2015**

# EEO/TITLE VI COMPLAINTS

- Between January 2015 and September 2015, MTA and its Agencies handled a total of 448 EEO complaints, citing 814 separate allegations.\*
- Of the 448 complaints, 219 were filed externally at city, state and federal agencies and 229 were filed internally.
- Of the 219 external complaints, the most frequently cited bases for complaints were: 1) disability discrimination (21%); 2) other\*\* types of miscellaneous discrimination (27%); and 3) race/color discrimination (17%).
- Of the 229 internal complaints, the most frequently cited bases for complaints were: 1) sexual harassment (17%); 2) other types of miscellaneous discrimination (23%); and 3) race/color discrimination (23%).
- Between January 2015 and September 2015, MTA and its Agencies handled a total of 136 Title VI complaints, citing 154 separate allegations. Of these 136 complaints, race discrimination (71%) 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, 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	3	1	0	2	1	1	1	3	12	5	1
B&T	4	0	1	4	1	1	2	4	17	7	6
MNR	7	0	6	4	0	2	5	7	31	21	7
LIRR	5	1	2	0	0	0	2	2	12	8	3
NYCT	47	11	27	30	10	29	63	86	303	166	126
CC	0	0	0	0	0	0	0	0	0	0	0
BUS	2	0	2	1	0	0	7	3	15	12	4
<b>TOTAL</b>	<b>68</b>	<b>13</b>	<b>38</b>	<b>41</b>	<b>12</b>	<b>33</b>	<b>80</b>	<b>105</b>	<b>390</b>	<b>219</b>	<b>147</b>
	<b>17%</b>	<b>3%</b>	<b>10%</b>	<b>11%</b>	<b>3%</b>	<b>8%</b>	<b>21%</b>	<b>27%</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	3	2	0	3	0	1	2	3	14	13	7
B&T	0	0	0	12	0	0	0	1	13	13	12
MNR	14	10	5	7	0	5	4	22	67	42	5
LIRR	2	1	0	0	0	0	0	3	6	6	0
NYCT	76	59	10	45	12	38	10	70	320	152	110
CC	0	0	0	0	0	0	0	0	0	0	0
BUS	1	0	1	0	1	1	0	0	4	3	2
<b>TOTAL</b>	<b>96</b>	<b>72</b>	<b>16</b>	<b>67</b>	<b>13</b>	<b>45</b>	<b>16</b>	<b>99</b>	<b>424</b>	<b>229</b>	<b>136</b>
	<b>23%</b>	<b>17%</b>	<b>4%</b>	<b>16%</b>	<b>3%</b>	<b>11%</b>	<b>4%</b>	<b>23%</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 SEPTEMBER 30, 2015<sup>1</sup>

AGENCY	RACE	COLOR	NATIONAL ORIGIN	INCOME	TOTAL <sup>2</sup> ISSUES	TOTAL CASES	STATUS OPEN
MTA HQ	1	0	1	0	2	1	0
MTA MNR	17	11	0	0	28	18	7
MTA LIRR	5	0	1	0	6	6	0
MTA NYCT	81	3	28	0	112	105	75
MTA CC	0	0	0	0	0	0	0
MTA B&T	0	0	0	0	0	0	0
MTA BUS	5	0	1	0	6	6	3
<b>TOTAL</b>	109	14	31	0	154	136	85
	<b>71%</b>	<b>9%</b>	<b>20%</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 - SEPTEMBER 30, 2015

### EEO DISCRIMINATION EXTERNAL COMPLAINTS

MTA AGENCY	REASONABLE CAUSE	NO REASONABLE CAUSE	ADMINISTRATIVE CLOSURE	WITHDRAWN	DISMISSAL	RESOLVED/ SETTLEMENT	TOTAL CASES
MTAHQ	0	1	0	0	0	3	4
B&T	0	0	0	0	1	0	1
MNR	0	5	5	0	0	4	14
LIRR	0	1	0	0	3	1	5
NYCT	0	31	4	2	2	1	40
CC	0	0	0	0	0	0	0
MTA BUS	0	4	0	4	0	0	8
<b>TOTAL</b>							<b>72</b>

### EEO DISCRIMINATION INTERNAL COMPLAINTS

MTA AGENCY	REASONABLE CAUSE	NO REASONABLE CAUSE	ADMINISTRATIVE CLOSURE	WITHDRAWN	DISMISSAL	RESOLVED/ SETTLEMENT	TOTAL CASES
MTAHQ	0	4	2	0	0	0	6
B&T	0	0	1	0	0	0	1
MNR	6	9	16	3	0	3	37
LIRR	2	4	0	0	0	0	6
*NYCT	9	26	9	0	0	0	44
CC	0	0	0	0	0	0	0
MTA BUS	0	0	0	0	0	1	1
<b>TOTAL</b>							<b>95</b>

\* There were a total of 42 closed cases as of September 30, 2015. However, two complaints resulted in a dual (reasonable cause / no reasonable cause) determination.

# MTA-WIDE TITLE VI COMPLAINTS

DISPOSITION - SEPTEMBER 30, 2015

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	1	4	6	0	0	0	11
LIRR	0	6	0	0	0	0	6
NYCT	0	21	9	0	0	0	30
CC	0	0	0	0	0	0	0
MTA BUS	0	3	0	0	0	0	3
TOTAL							51

## 2015 THIRD QUARTER EEO REPORT

AGENCY NAME: **MTAHQ**

### EEO AND TITLE VI COMPLAINTS JANUARY 1, 2015 - SEPTEMBER 30, 2015

Category	Race	Disability	Gender	National Origin	Age	Sexual Harassment	Religion	Other <sup>2</sup>	Total Issues <sup>3</sup>	Total Cases	Status (# Open)
EEO TOTAL	6	3	5	2	0	3	1	6	26	18	8
External Complaints	3	1	2	1	0	1	1	3	12	5	1
Internal Complaints	3	2	3	1	0	2	0	3	14	13	7

Category	Race	National Origin	Color	Total Issues <sup>3</sup>	Total Cases	Status (# Open)
Title VI	1	1	0	2	1	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.

**2015 THIRD QUARTER EEO REPORT**AGENCY NAME: **MTAHQ****EEO DISCRIMINATION COMPLAINT RESOLUTIONS  
JANUARY 1, 2015 - SEPTEMBER 30, 2015**

	Decided in Favor of Agency	Decided in Favor of Complainant	Administrative Closure	Withdrawn	Dismissed	Resolved/Settled	Total
<b>EEO TOTAL</b>	<b>5</b>	<b>0</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>3</b>	<b>10</b>
External Complaints	1	0	0	0	0	3	4
Internal Complaints	4	0	2	0	0	0	6

**TITLE VI DISCRIMINATION COMPLAINT RESOLUTIONS  
JANUARY 1, 2015 to DECEMBER 31, 2015**

	Decided in Favor of Agency	Decided in Favor of Complainant	Administrative Closure	Withdrawn	Dismissed	Resolved/Settled	Total
<b>TITLE VI</b>							
Complaints	1	0	0	0	0	0	1



Metropolitan Transportation Authority

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

**December 14, 2015**

# SMALL BUSINESS DEVELOPMENT PROGRAM

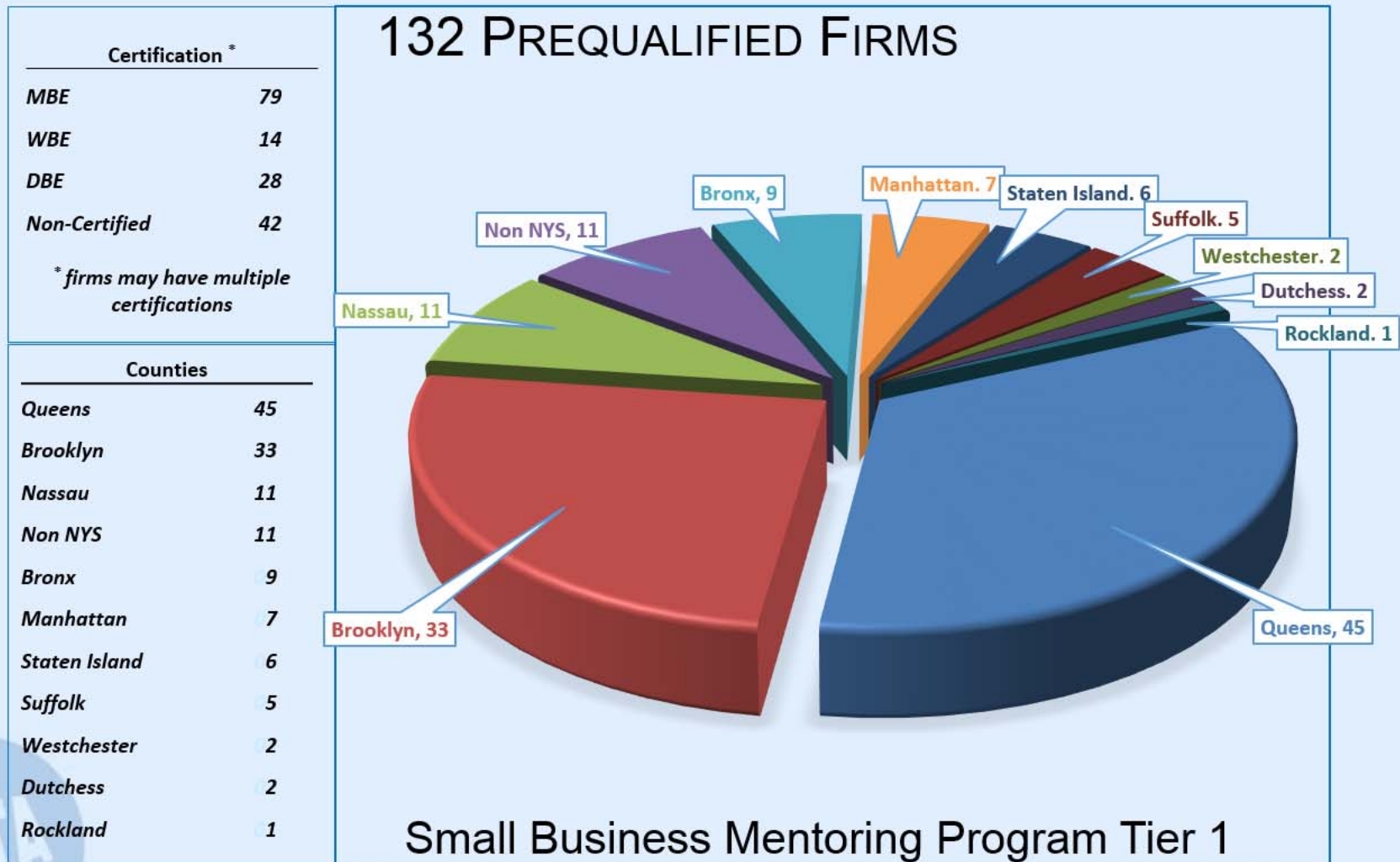
## MISSION STATEMENT

To develop and grow emerging contractors through classes, on-the-job training and technical assistance in prime contracts with MTA Agencies, thereby creating a larger pool of diverse qualified contractors who can compete for, and complete MTA construction projects safely, timely and within budget.



# SMALL BUSINESS DEVELOPMENT PROGRAM

## As of 09/30/2015







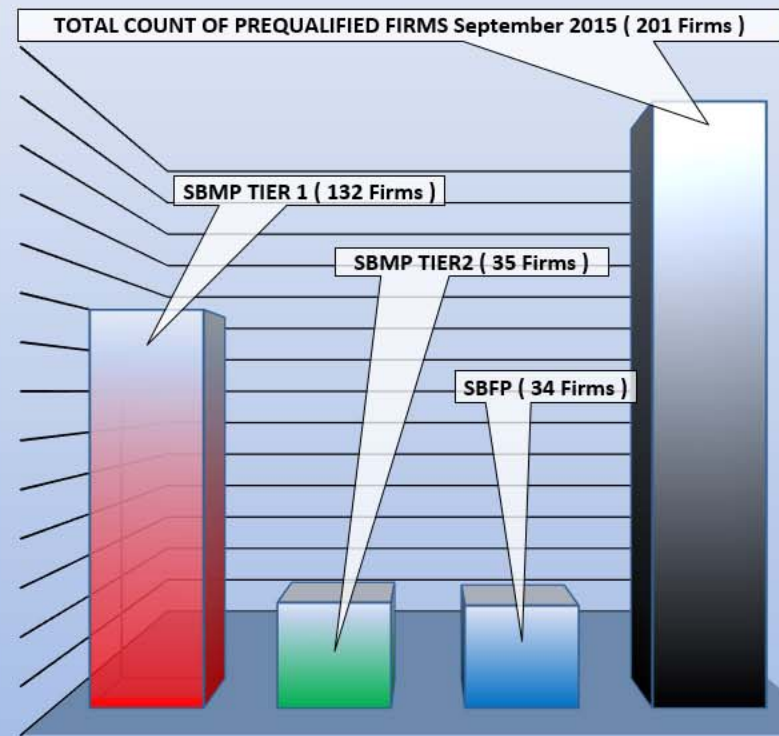


# SMALL BUSINESS DEVELOPMENT PROGRAM

As of 09/30/2015

## TOTAL NUMBER OF PREQUALIFIED FIRMS\*

 SBMP Tier 1	132
 SBMP Tier 2	35
 SBFP	34
<hr/>	
 Total Firms	201

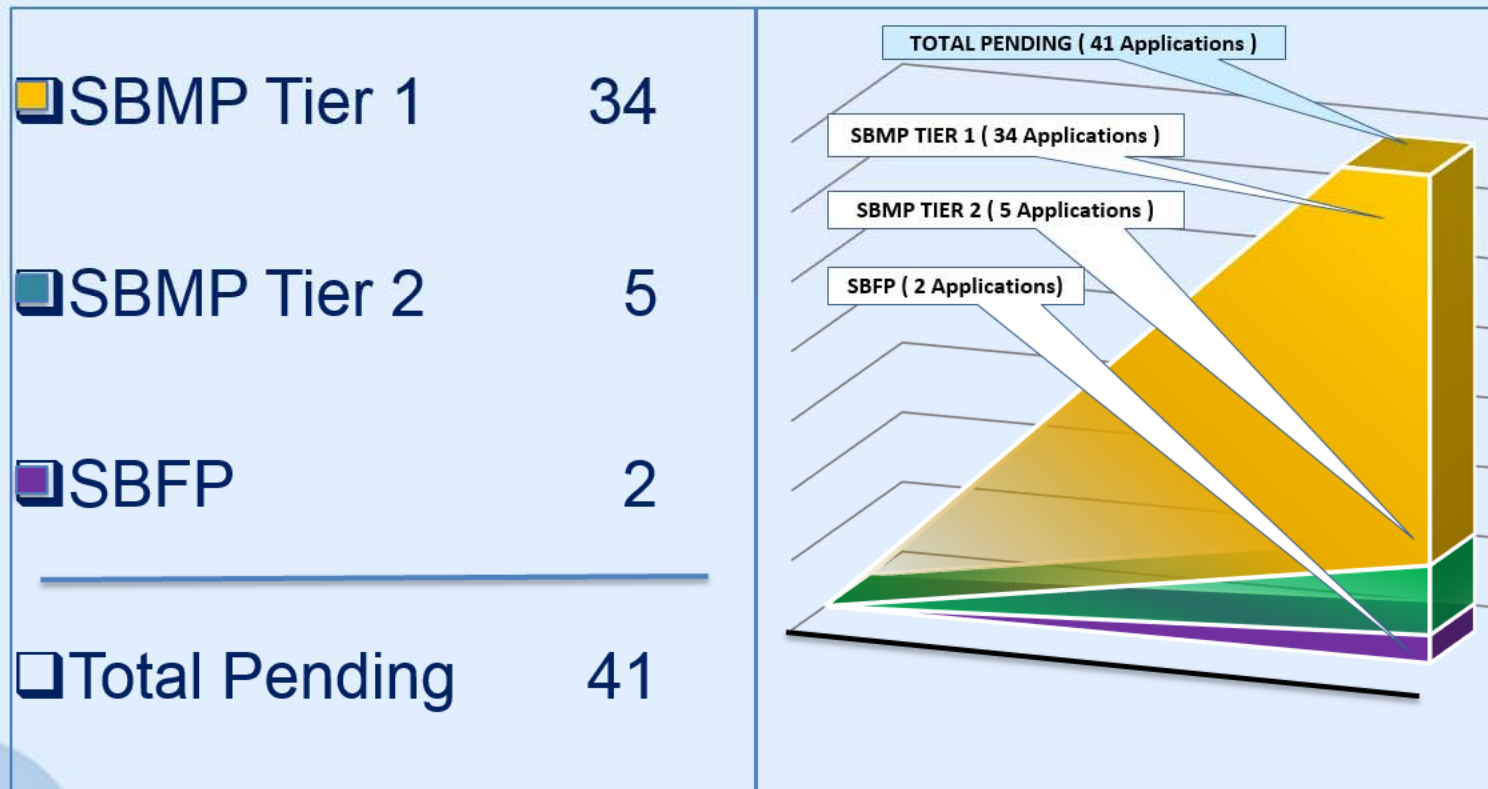


\*Source: SBMP BI-WEEKLY PROGRESS MEETING - October 12, 2015 - Prequalification Status Report

# SMALL BUSINESS DEVELOPMENT PROGRAM

AS OF 09/30/2015

## TOTAL NUMBER OF PENDING APPLICATIONS\*



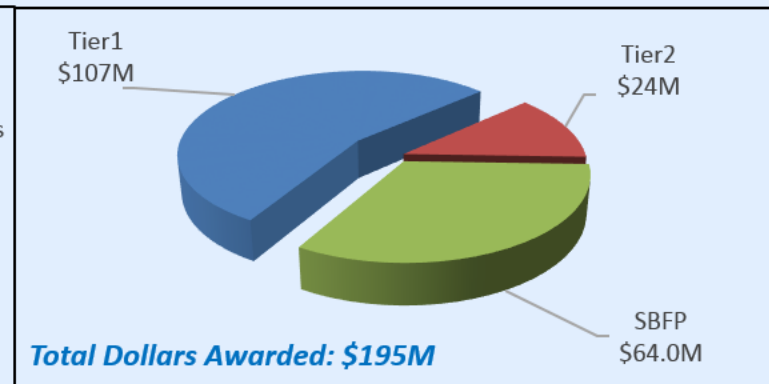
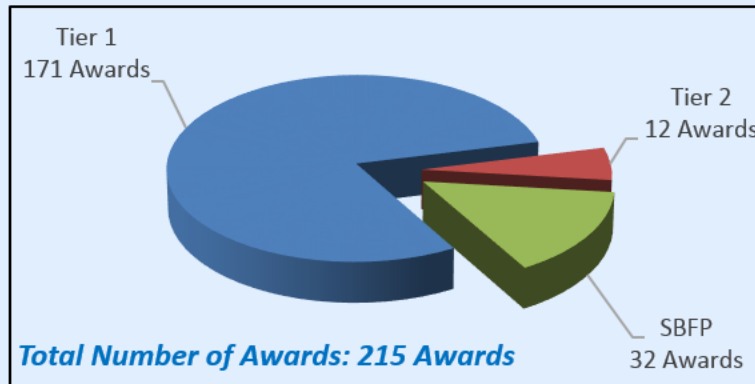
\*Source: SBMP BI-WEEKLY PROGRESS MEETING - October 12, 2015 - Prequalification Status Report

# SMALL BUSINESS DEVELOPMENT PROGRAM

As of 09/30/2015

## TOTAL CONTRACTS AWARDED & TOTAL \$

■ SBMP Tier 1	171 awards	\$107M
■ SBMP Tier 2	12 awards	\$ 24M
■ SBFP	32 awards	\$ 64M
□ Totals	215 awards	\$195M



\*Source: SBMP BI-WEEKLY PROGRESS MEETING - October 12, 2015 - Project Status (Project Awards) Report



# SMALL BUSINESS DEVELOPMENT PROGRAM

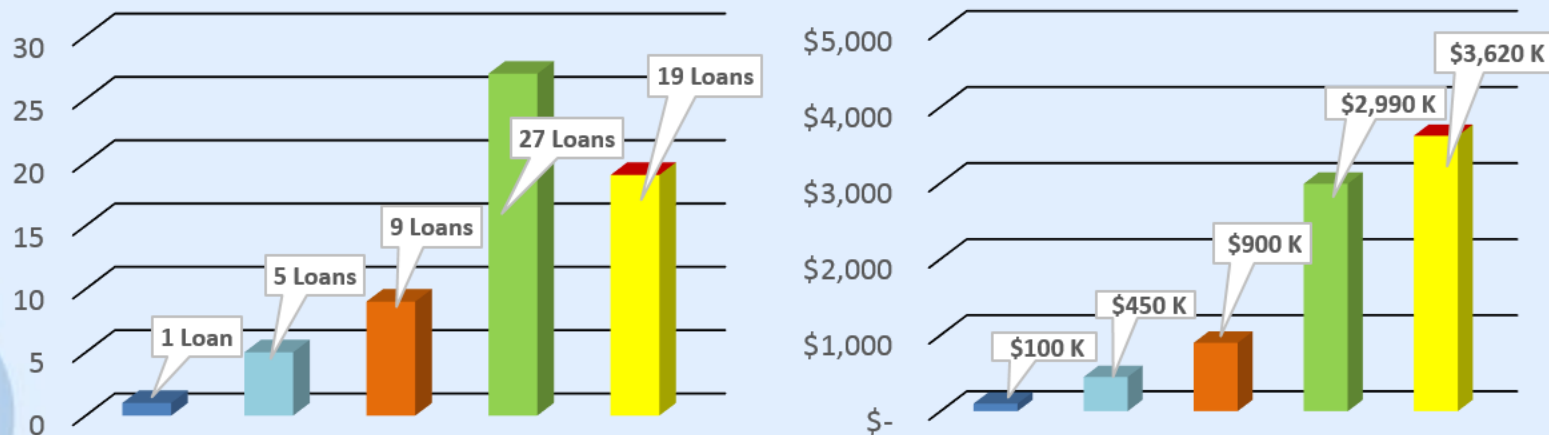
As of 09/30/2015

## 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	-	19 Loans	totaling	\$3,620,000

Maximum Loan Available:  
SBMP up to \$150,000  
SBFP up to \$900,000

**Total 61 Loans Totals \$8,060,000**

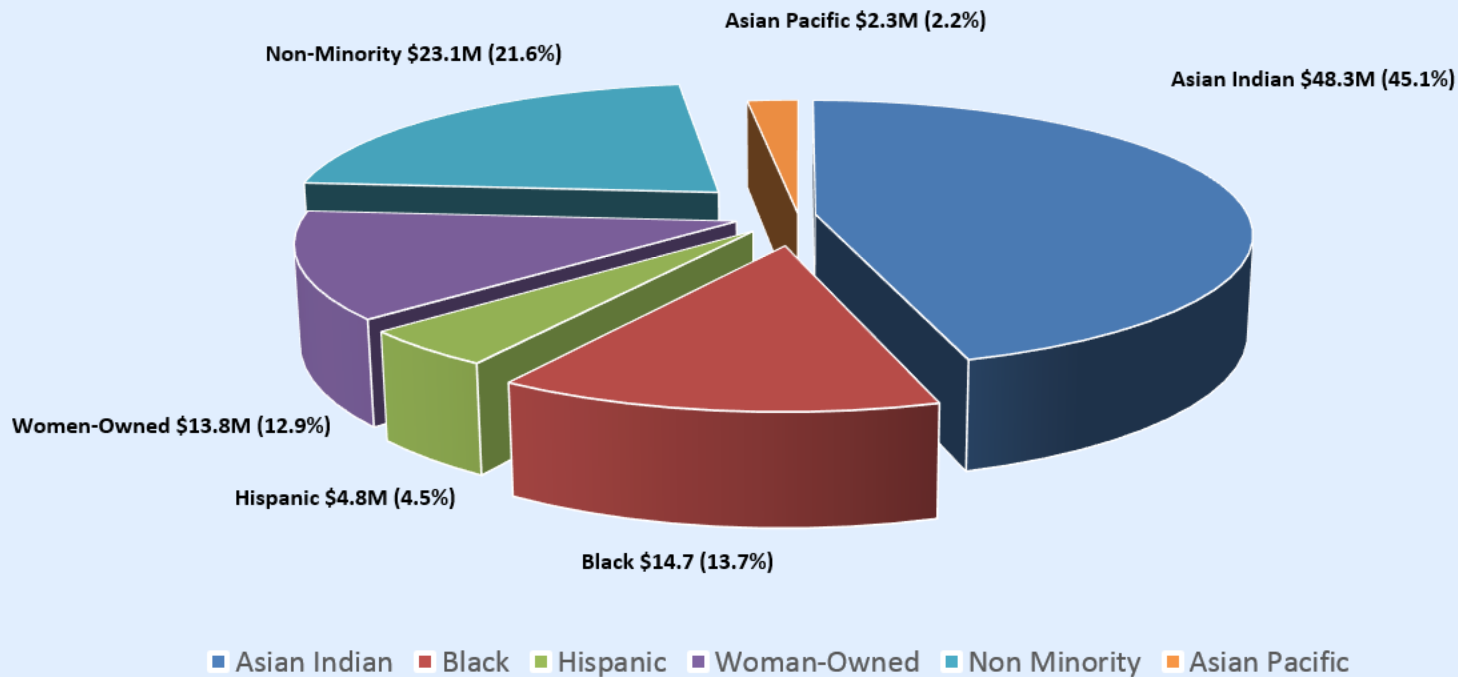


\*Source: SBMP BI-WEEKLY PROGRESS MEETING - October 12, 2015 - Carver Loan Status Report

# SMALL BUSINESS DEVELOPMENT PROGRAM

## As of 09/30/2015

### Contract Awards in SBMP-Tier 1 by Ethnicity



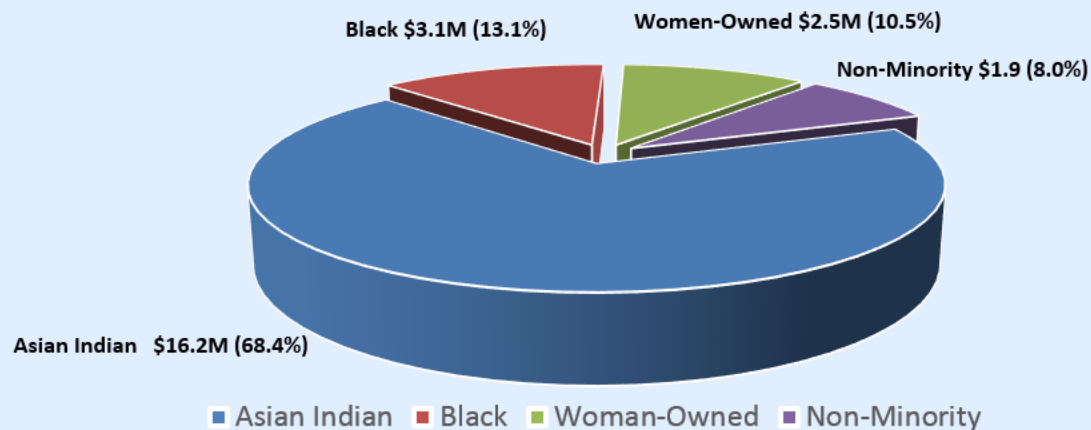
Legend	
Ethnicity	Awards
Asian Indian	\$48.3M
Non-Minority	\$23.1M
Black	\$14.7M
Women-Owned	\$13.8M
Hispanic	\$ 4.8M
Asian Pacific	\$ 2.3M



# SMALL BUSINESS DEVELOPMENT PROGRAM

## As of 09/30/2015

### Twelve (12) Contract Awards in SBMP-Tier 2 by Ethnicity



Legend	
Ethnicity	Awards
Asian Indian	\$16.2M
Black	\$ 3.1M
Women-Owned	\$ 2.5M
Non-Minority	\$ 1.9M
Hispanic	\$ -0-M
Asian Pacific	\$ -0-M

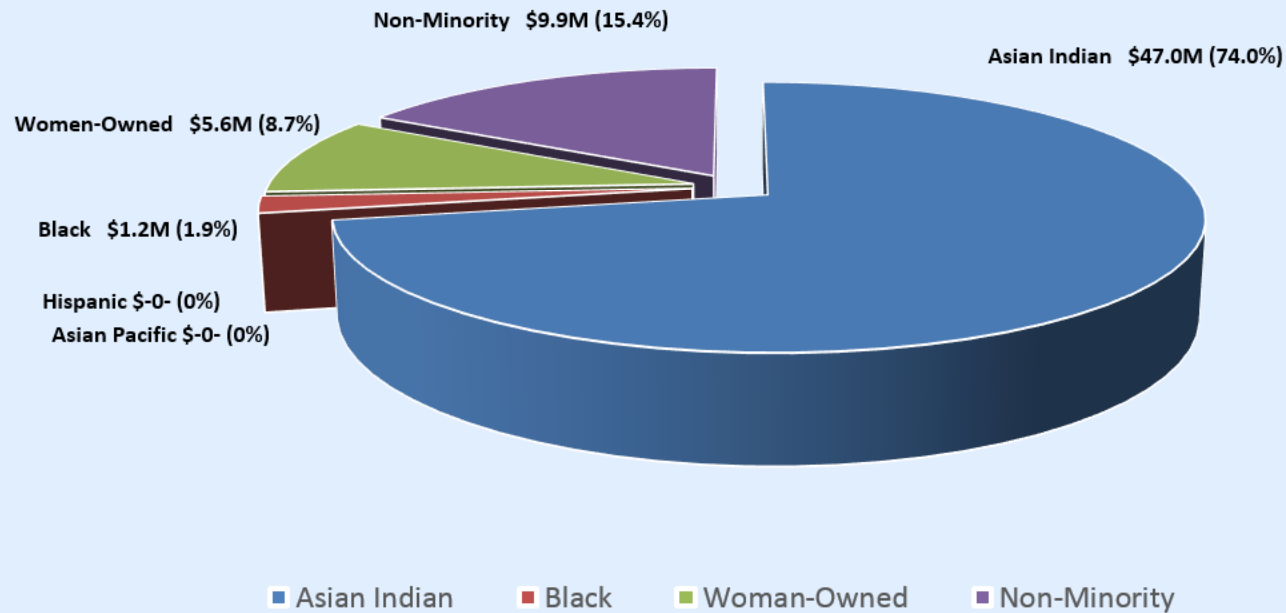
#### Action Plan

- Target ethnic trades group and associations including Blacks, Hispanic, and Asian Pacific.
- Advertise Program in ethnic group's newspapers, journals, periodicals, and other media outlets.
- Review the prequalification and financial assessment process

# SMALL BUSINESS DEVELOPMENT PROGRAM

## As of 09/30/2015

### Contract Awards In SBFP By Ethnicity



Ethnicity	Awards
Asian Indian	\$47.0M
Non-Minority	\$ 9.9M
Women-Owned	\$ 5.6M
Black	\$ 1.2M
Hispanic	\$ -0-M
Asian Pacific	\$ -0-M





# SMALL BUSINESS DEVELOPMENT PROGRAM

AS OF 09/30/2015

## SBDP Performance Results

- ❑ Contributed approximately 4,700\* jobs to the 14 county service region
- ❑ Opportunity for Small Businesses
  - Program Years 1 through 5 provided 215 bid solicitations, and more than 1,075 bidding opportunities
- ❑ Classroom Training Program
  - Since inception, 278 firms participated in the training program
  - The Fall 2015 class attendance was 50 firms

\*Source: New York State Department of Transportation (NYSDOT)

As an average statewide estimate, the Department has chosen 24 jobs per \$1 million dollars (\$1M) of construction value to calculate the estimated number of direct, indirect and induced jobs created or saved.  
**Jobs Created and Employment Reporting** ( <https://www.dot.ny.gov/recovery/jobs?nd=nysdot> )





# SMALL BUSINESS DEVELOPMENT PROGRAM

AS OF 09/30/2015

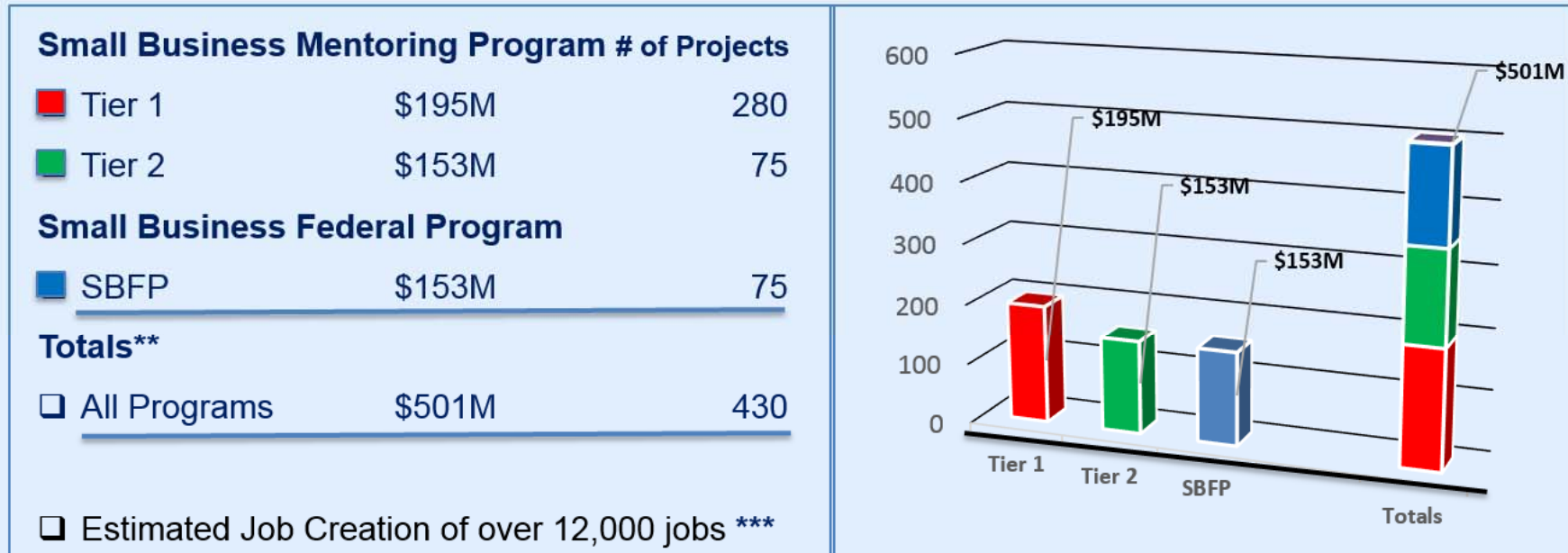
## TRAINING CLASSES AND SEMINARS

- 01 Doing Business with the MTA and Prime Contractors
- 02 Prevailing Wages
- 03 Estimating and Bidding Strategies at the MTA
- 04 Project Scheduling at the MTA
- 05 Safety and Quality Planning at the MTA
- 06 Requisition and Change Order Process
- 07 Construction Law and Contract Review
- 08 Cash Flow and Financial Management
- 09 Developing a Profitable Business in the MTA Region
- 10 Marketing Your Business to the NY Construction Industry
- 11 How to be a Prime Contractor
- 12 How to Acquire Surety Bonding, Gain Access to Capital and Be an Effective CEO
- 13 Navigating MTA Contracts & MWDBE Compliance



# SBDP Projections

## 2015 – 2019 Five Year Capital Program Estimated Project Awards\*



\*Subject to Approval of Capital Plan

\*\*Based on 10% Growth per Year

\*\*\*Source: New York State Department of Transportation (NYSDOT)

As an average statewide estimate, the Department has chosen 24 jobs per \$1 million dollars (\$1M) of construction value to calculate the estimated number of direct, indirect and induced jobs created or saved.

**Jobs Created and Employment Reporting** ( <https://www.dot.ny.gov/recovery/jobs?nd=nysdot> )



# SMALL BUSINESS DEVELOPMENT PROGRAM

## Next Steps

### ☐ Contractor Recruitment

- Ethnic Trade Groups and Associations
- Advertise Program in ethnic groups' media outlets

### ☐ New RFP

- Construction Management
- Loan Program





Metropolitan Transportation Authority

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

**December 14, 2015**

**DBE Participation in Federally Funded Contracts  
Federal Fiscal Year 2015\*  
(October 1, 2014 to September 30, 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 DBE participation data on new awards and payments on completed contracts.
- For FFY 2015, MTA set an overall DBE goal of 17%.
- From October 2014 through September 30, 2015, MTA awarded \$1.5 billion in the federally funded portion of contracts and awarded approximately \$306 million (21%) to certified DBEs.
- From October 2014 through September 30, 2015, MTA paid prime contractors \$1.3 billion, with payments to certified DBEs totaling over \$216 million (17%).

\*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- SEPTEMBER 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</b>	882	\$1,170,269,630.93	115	\$244,980,718	21%	17%
<b>October 2014 - March 2015</b>						
<b>2nd SEMI-ANNUAL REPORT</b>	1,595	\$317,561,064.37	46	\$60,917,212	19%	17%
<b>April 2015-September 2015</b>						
<b>TOTAL</b>	<b>2,477**</b>	<b>\$1,487,830,695</b>	<b>161</b>	<b>\$305,897,930</b>	<b>21%</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</b>	134	\$581,467,034	521	\$109,285,721	19%	17%
<b>October 2014 - March 2015</b>						
<b>2nd SEMI ANNUAL REPORT</b>	159	\$707,625,189	245	\$106,814,655	15%	17%
<b>April 2015-September 2015</b>						
<b>TOTAL</b>	<b>293</b>	<b>\$1,289,092,223</b>	<b>766</b>	<b>\$216,100,376</b>	<b>17%</b>	<b>17%</b>

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

\*\*This figure includes contracts for which no DBE goals were assigned.

**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 - September 2015**

	Total Awards	Total DBE Awards	DBE%
October 2014 - March 2015	\$1,170,269,631	\$244,980,718	21%
April 2015-September 2015	\$317,561,064	\$60,917,212	19%
<b>Total 2015</b>	<b>\$1,487,830,695</b>	<b>\$305,897,930</b>	<b>21%</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 - September 2015**

	Total Prime Payments	Total DBE Payments	DBE%
October 2014 - March 2015	\$581,467,034	\$109,285,721	19%
April 2015-September 2015	\$707,625,189	\$106,814,656	15%
<b>Total 2015</b>	<b>\$1,289,092,223</b>	<b>\$216,100,377</b>	<b>17%</b>



**MWBE Participation in State Funded Contracts  
New York State Fiscal Year 2015-2016\*  
(April 1, 2015 to September 30, 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 30% for State fiscal year 2015-2016, starting on April 1, 2015.
- For State fiscal year 2015-2016, MTA awarded \$962 million NY State funded contracts, with \$73.6 million (5%) awarded to certified MWBEs.
- From April 1, 2015 to September 30, 2015, MTA paid \$605 million on prime contracts with over \$143 million (24%), 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, 2015-SEPTEMBER 30, 2015  
AWARDS**

<b>CONTRACT AWARDS</b>	<b>PRIME AWARDS</b>		<b>MWBE AWARDS</b>			<b>NYS Goal</b>
	<b>Number of Contracts</b>	<b>Award Amount</b>	<b>Number of MWBE Subcontracts</b>	<b>MWBE Award Amount</b>	<b>MWBE %</b>	
<b>FIRST QUARTER</b>	21,607	\$400,643,382	964	\$35,727,645	9%	30%
<b>APRIL 2015-JUNE 2015</b>						
<b>SECOND QUARTER</b>	21,570	\$561,211,268	807	\$37,847,909	7%	30%
<b>JULY 2015-SEPTEMBER 2015</b>						
<b>TOTAL</b>	<b>43,177</b>	<b>\$961,854,650</b>	<b>1,771</b>	<b>\$73,575,554</b>	<b>8%</b>	<b>30%</b>

**PAYMENTS**

<b>CONTRACT PAYMENTS</b>	<b>PAYMENTS TO PRIMES</b>		<b>MWBE PARTICIPATION</b>			<b>NYS Goal</b>
	<b>Number of Contracts</b>	<b>Payment Amount</b>	<b>Number MWBE Contracts</b>	<b>MWBE Payment Amount</b>	<b>MWBE %</b>	
<b>FIRST QUARTER</b>	1,994	\$243,229,034	2,672	\$68,472,792	28%	30%
<b>APRIL 2015-JUNE 2015</b>						
<b>SECOND QUARTER</b>	2,010	\$361,618,195	2,869	\$74,707,703	21%	30%
<b>JULY 2015-SEPTEMBER 2015</b>						
<b>TOTAL</b>	<b>4,004</b>	<b>\$604,847,229</b>	<b>5,541</b>	<b>\$143,180,496</b>	<b>24%</b>	<b>30%</b>

\*This figure includes all contracts, including those contracts for which no goals were assigned.

**MWBE AWARDS****FY 2012 - 2015 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>

**FY 2015 - 2016 MWBE AWARDS**

April 2015 - September 2015

	AGENCY	AGENCY PRIME AWARDS	MBE AWARDS	MBE%	WBE AWARDS	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	MTA	\$400,643,382	\$22,666,781	6%	\$13,060,864	3%	\$35,727,645	9%
QTR. 2	MTA	\$561,211,268	\$18,198,187	3%	\$19,649,722	4%	\$37,847,909	7%
QTR. 3	MTA							
QTR. 4	MTA							
<b>TOTALS</b>		<b>\$961,854,650</b>	<b>\$40,864,968</b>	<b>4%</b>	<b>\$32,710,586</b>	<b>3%</b>	<b>\$73,575,554</b>	<b>8%</b>

**MWBE PAYMENTS****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>

**FY 2015 - 2016 MWBE PAYMENTS**

April 2015 - September 2015

	AGENCY EXPENDITURE	MBE Utilization	MBE%	WBE Utilization	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	\$243,229,034	\$33,602,464	14%	\$34,870,328	14%	\$68,472,792	28%
QTR. 2	\$361,618,195	\$38,521,516	11%	\$36,186,188	10%	\$74,707,703	21%
QTR. 3							
QTR. 4							
<b>TOTALS</b>	<b>\$604,847,229.14</b>	<b>\$72,123,980</b>	<b>12%</b>	<b>\$71,056,516</b>	<b>12%</b>	<b>\$143,180,496</b>	<b>24%</b>

**MTA ALL AGENCY  
TOTAL PROCUREMENTS  
April 2015 - SEPTEMBER 2015**

<b>Agency</b>	<b>Total Award Amount</b>	<b>Total MWBE Awards</b>	<b>MWBE</b>
<b>MTA NYCTA</b>	\$267,151,407	\$16,328,445	6%
<b>MTA MNR</b>	\$90,772,324	\$6,625,774	7%
<b>MTA B&amp;T</b>	\$17,778,280	\$2,738,424	15%
<b>MTA LIRR</b>	\$75,292,092	\$3,905,159	5%
<b>MTA HQ</b>	\$69,504,838	\$1,013,341	1%
<b>MTA CC</b>	\$201,210	\$161,125	80%
<b>MTA BUS</b>	\$18,467,836	\$1,022,085	6%
<b>Total</b>	<b>\$539,167,987</b>	<b>\$31,794,353</b>	<b>6%</b>

**MTA ALL AGENCY  
DISCRETIONARY PROCUREMENT REPORT\***  
**April 2015 - SEPTEMBER 2015**

<b>Agency</b>	<b>Total Awards \$200k or Less</b>	<b>MWBE Discretionary Awards</b>	<b>Discretionary MWBE</b>	<b>SBC Discretionary</b>	<b>Discretionary SBC</b>
<b>MTA NYCTA</b>	\$76,580,977	\$7,710,565	10%	\$6,171,585	8%
<b>MTA MNR</b>	\$22,594,722	\$2,560,746	11%	\$187,557	1%
<b>MTA B&amp;T</b>	\$3,137,168	\$50,202	2%	\$266,171	8%
<b>MTA LIRR</b>	\$20,159,016	\$1,478,702	7%	\$1,933,888	10%
<b>MTA HQ</b>	\$3,765,034	\$516,291	14%	\$178,897	5%
<b>MTA CC</b>	\$201,210	\$145,917	73%	\$0	0%
<b>MTA BUS</b>	\$12,221,375	\$355,730	3%	\$0	0%
<b>Total</b>	<b>\$138,659,502</b>	<b>\$12,818,153</b>	<b>9%</b>	<b>\$8,738,098</b>	<b>6%</b>

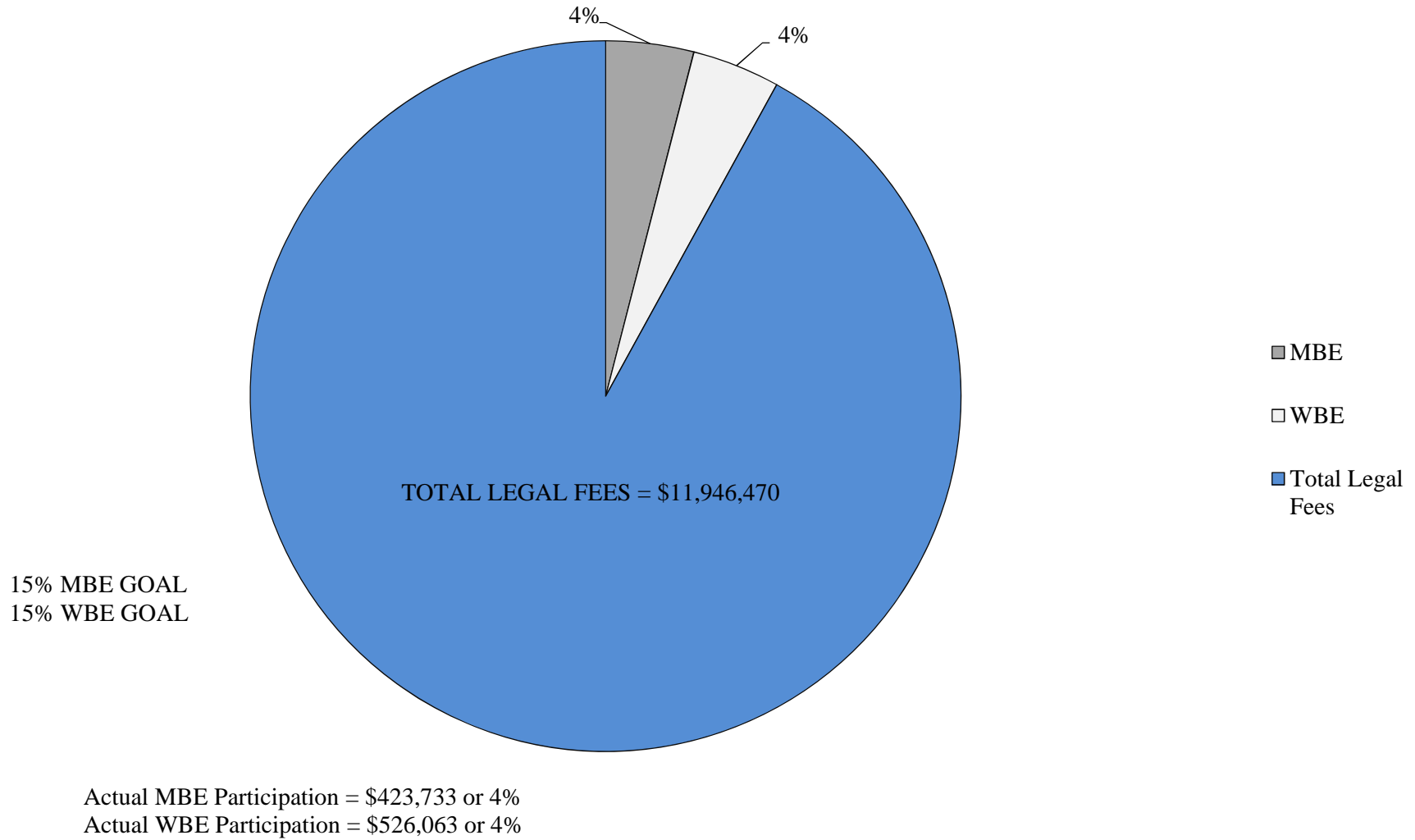
\* Discretionary procurements include purchases for goods, miscellaneous procurements, personal or miscellaneous services that do not exceed \$200,000, which are not federally funded and may be awarded under the New York State Public Authorities Law, to qualified small business concerns or NYS certified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



# **FINANCIAL AND LEGAL SERVICES**

**December 14, 2015**

MTA ALL AGENCY LEGAL FEES  
April 2015 - September 2015

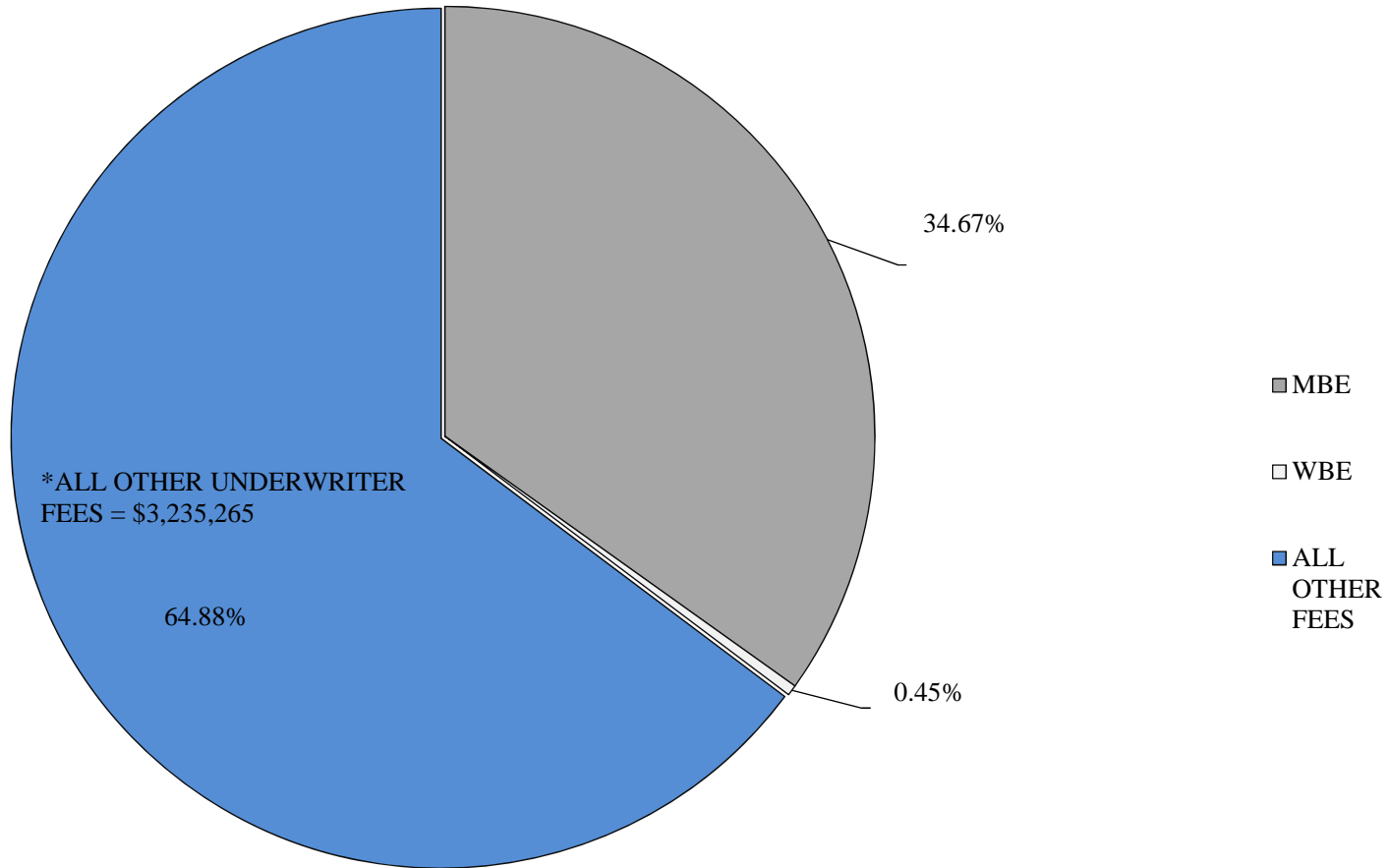




**MTA ALL AGENCY LEGAL FEES PAID  
APRIL THROUGH SEPTEMBER 2015**

<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	\$233,772	\$5,395	2.3%	\$23,655	10.1%
LIRR	\$694,637	\$20,323	2.9%	\$71,201	10.3%
MTABUS	\$1,844,800	\$141,003	7.6%	\$129,674	7.0%
MTACC	\$110,765	\$0	0.0%	\$9,393	8.5%
MTAHQ	\$3,212,336	\$0	0.0%	\$27,689	0.9%
MNR	\$1,247,798	\$202,329	16.2%	\$25,041	2.0%
NYCTA	\$4,602,392	\$147,450	3.2%	\$239,410	5.2%
<b>TOTAL</b>	<b>\$11,946,500</b>	<b>\$516,500</b>	<b>4.3%</b>	<b>\$526,063</b>	<b>4.4%</b>

**MTA ALL AGENCY UNDERWRITER FEES  
APRIL 2015 - SEPTEMBER 2015**



Total Underwriter Fees = \$4,986,095 or 100%  
Actual MBE Participation = \$1,728,430 or 34.67%  
Actual WBE Participation = \$22,400 or 0.45%

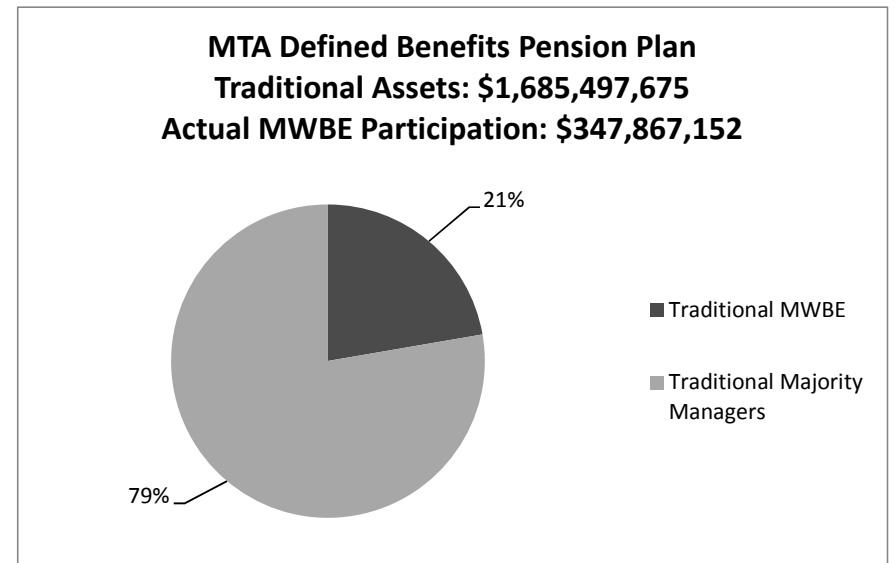
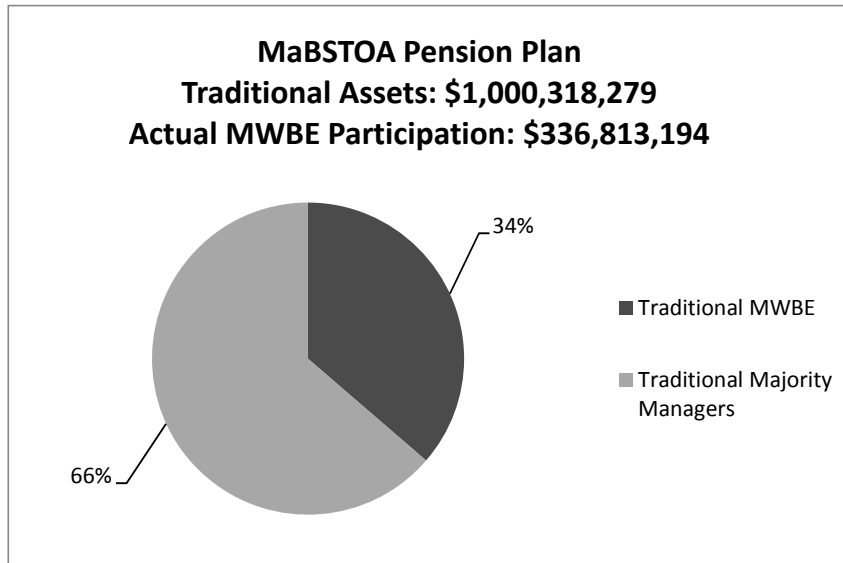
**\* This Quarter \$160,418 (3.21%) was paid to SDVOB Firms**



# **MTA ASSET FUND MANAGERS**

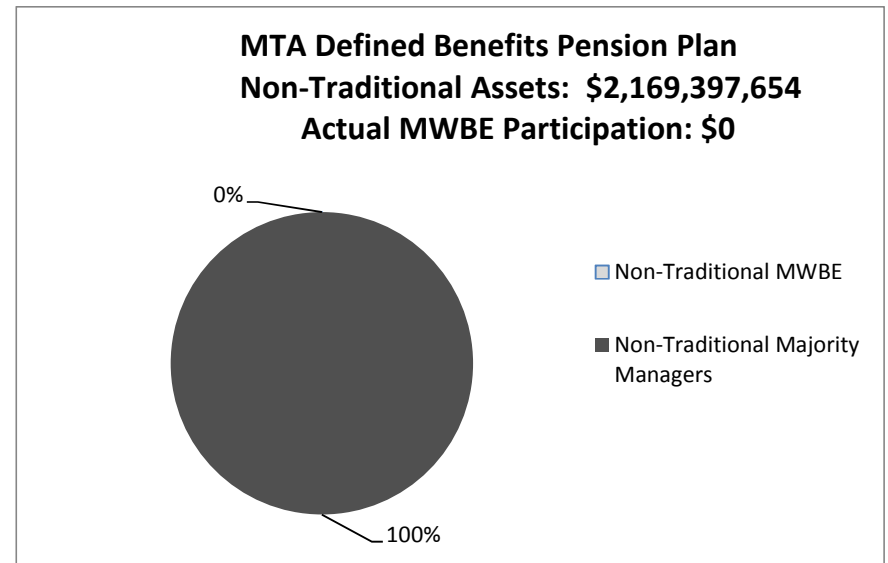
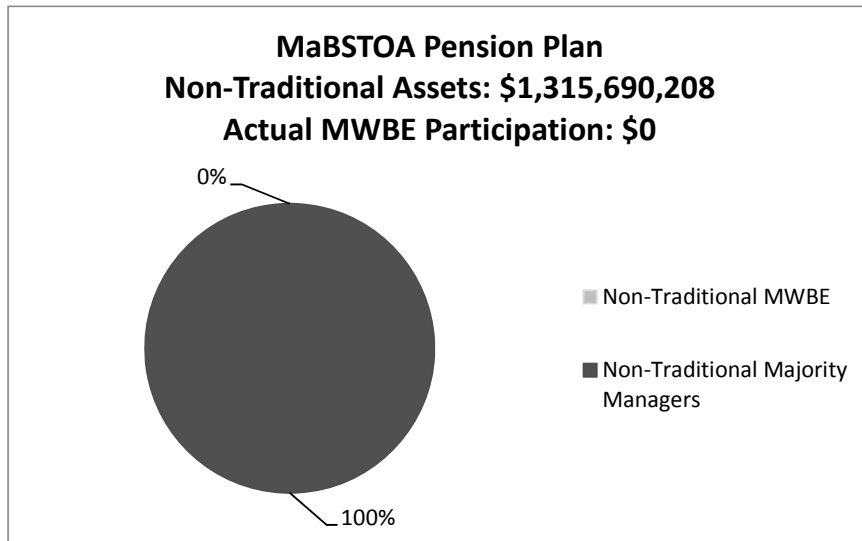
**December 14, 2015**

## TRADITIONAL ASSETS MWBE PARTICIPATION As of 10/31/15



**TOTAL TRADITIONAL ASSETS = \$2,685,815,954**

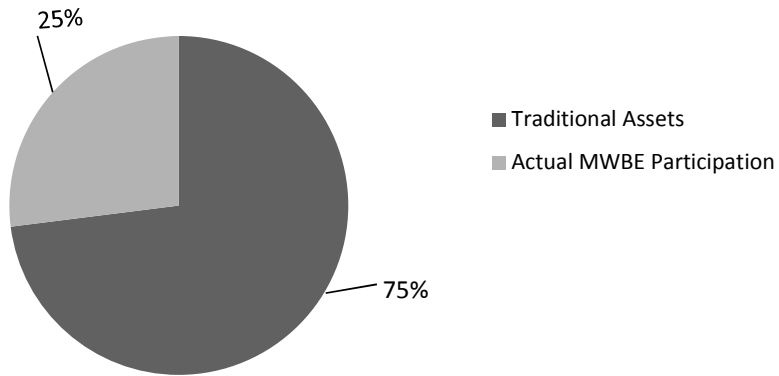
## NON-TRADITIONAL ASSETS MWBE PARTICIPATION As of 10/31/15



**TOTAL NON-TRADITIONAL ASSETS = \$3,485,087,862**

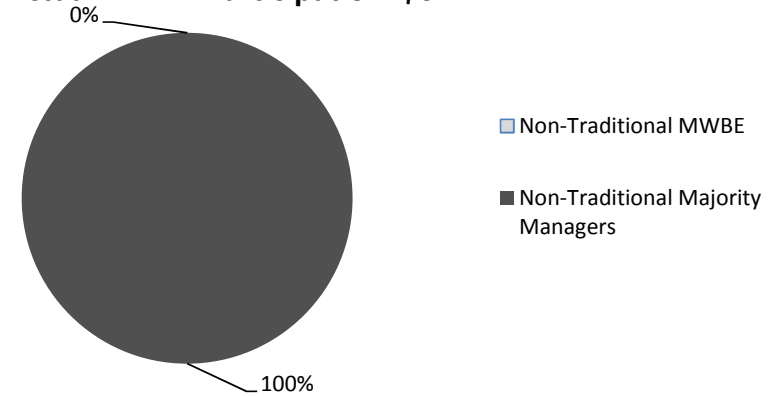
# SUMMARY OF ALL PENSION ASSETS TRADITIONAL/NON-TRADITIONAL MWBE PARTICIPATION As of 10/31/15

**Total Traditional Assets: \$2,685,815,954**  
**Actual MWBE Participation: \$684,680,346**



**Total Non-Traditional Assets: \$3,485,087,862**

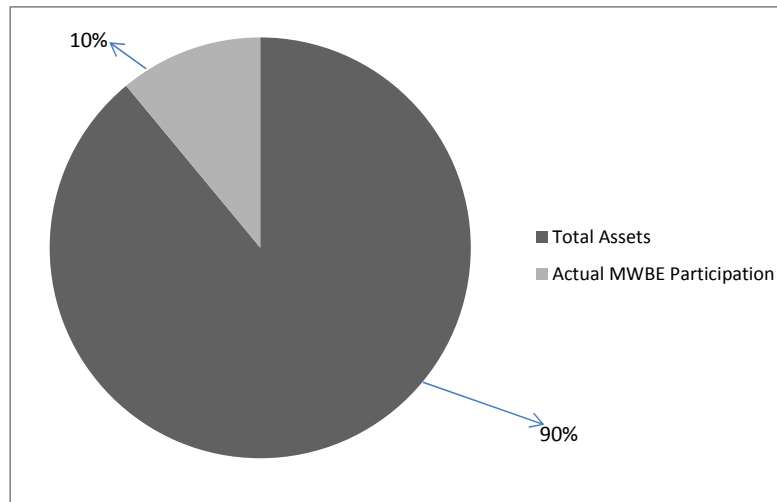
**Actual MWBE Participation: \$0**



**Total Assets = \$6,170,903,816**

**SUMMARY OF TOTAL ASSETS  
MWBE PARTICIPATION**  
As of 10/31/15

**TOTAL ASSETS = \$6,170,903,816**  
**ACTUAL MWBE PARTICIPATION= \$684,680,346**





Metropolitan Transportation Authority

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

**December 14, 2015**



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

<b>FEDERALLY FUNDED</b>	<b>FIRST QUARTER (JANUARY-MARCH) (in millions)</b>			<b>SECOND QUARTER (APRIL-JUNE) (in millions)</b>			<b>THIRD QUARTER (JULY-SEPTEMBER) (in millions)</b>			<b>2015 TOTALS (JANUARY-SEPTEMBER 2015) (in millions)</b>		
<b>DBE Participation Goal: 17%</b>	<b>Total Awards</b>	<b>Total DBE Awards</b>	<b>DBE Participation (%)</b>	<b>Total Awards</b>	<b>Total DBE Awards</b>	<b>DBE Participation (%)</b>	<b>Total Awards</b>	<b>Total DBE Awards</b>	<b>DBE Participation (%)</b>	<b>Total Awards</b>	<b>Total DBE Awards</b>	<b>DBE Participation (%)</b>
Construction	\$ 461	\$ 83	18%	\$ 166	\$ 40	24%	\$ 45.5	\$ 16.5	36.3%	\$ 673.3	\$ 139.3	21%
Professional Services	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0.0%	\$ -	\$ -	0%
Other												
<b>TOTAL</b>	<b>\$ 461</b>	<b>\$ 83</b>	<b>18%</b>	<b>\$ 166</b>	<b>\$ 40</b>	<b>24%</b>	<b>\$ 45.5</b>	<b>\$ 16.5</b>	<b>36.3%</b>	<b>\$ 673.3</b>	<b>\$ 139.3</b>	<b>21%</b>
<b>Additional MWBE Participation:</b>	<b>Total Awards</b>	<b>Total MWBE Awards</b>		<b>Total Awards</b>	<b>Total MWBE Awards</b>		<b>Total Awards</b>	<b>Total MWBE Awards</b>		<b>Total Awards</b>	<b>Total MWBE Awards</b>	
Construction	\$ 461.4	\$ 57.0		\$ 166.4	\$ 33.6		\$ 45.5	\$ 18.2		\$ 673.3	\$ 108.8	
Professional Services	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
Other	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
<b>Total</b>	<b>\$ 461.4</b>	<b>\$ 57.0</b>		<b>\$ 166.4</b>	<b>\$ 33.6</b>		<b>\$ 45.5</b>	<b>\$ 18.2</b>		<b>\$ 673.3</b>	<b>\$ 108.8</b>	

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

STATE FUNDED	FIRST QUARTER (JANUARY-MARCH) (in millions)			SECOND QUARTER (APRIL-JUNE) (in millions)			THIRD QUARTER (JULY-SEPTEMBER) (in millions)			2015 TOTALS (JANUARY-SEPTEMBER 2015) (in millions)		
MBE Participation Goal: 15%*	Total Awards	Total MBE Awards	MBE Participation (%)	Total Awards	Total MBE Awards	MBE Participation (%)	Total Awards	Total MBE Awards	MBE Participation (%)	Total Awards	Total MBE Awards	MBE Participation (%)
Construction	\$ 17.4	\$ 4.0	23%	\$ 44.7	\$ 7.9	18%	\$ 59.6	\$ 7.2	12%	\$ 121.7	\$ 19.1	16%
Professional Services	\$ 2.4	\$ 0.3	13%	\$ 2.1	\$ 0.3	14%	\$ -	\$ -	0.0%	\$ 4.5	\$ 0.6	13%
Other	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0.0%	\$ -	\$ -	0%
MBE Participation on FTA-funded projects							\$ -	\$ -				
<b>TOTAL</b>	<b>\$ 19.8</b>	<b>\$ 4.3</b>	<b>22%</b>	<b>\$ 46.8</b>	<b>\$ 8.2</b>	<b>18%</b>	<b>\$ 59.6</b>	<b>\$ 7.2</b>	<b>12%</b>	<b>\$ 126.2</b>	<b>\$ 19.7</b>	<b>16%</b>
WBE Participation Goal: 15%*	Total Awards	Total WBE Awards	WBE Participation (%)	Total Awards	Total WBE Awards	WBE Participation (%)		Total WBE Awards	WBE Participation (%)	Total Awards	Total WBE Awards	WBE Participation (%)
Construction	\$ 17.4	\$ 2.4	14%	\$ 44.7	\$ 4.0	9%	\$ 59.6	\$ 6.6	11%	\$ 121.7	\$ 13.0	11%
Professional Services	\$ 2.4	\$ 0.6	25%	\$ 2.1	\$ 0.2	10%	\$ -	\$ -	0.0%	\$ 4.5	\$ 0.8	18%
Other	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0.0%	\$ -	\$ -	0%
WBE Participation on FTA-funded projects							\$ -	\$ -				
<b>TOTAL</b>	<b>\$ 19.8</b>	<b>\$ 3.0</b>	<b>15%</b>	<b>\$ 46.8</b>	<b>\$ 4.2</b>	<b>9%</b>	<b>\$ 59.6</b>	<b>\$ 6.6</b>	<b>11%</b>	<b>\$ 126.2</b>	<b>\$ 13.8</b>	<b>11%</b>
Additional DBE Participation:	Total Awards	Total DBE Awards		Total Awards	Total DBE Awards		Total Awards	Total DBE Awards		Total Awards	Total DBE Awards	
Construction	\$ 19.8	\$ 7.0		\$ 44.7	\$ 3.6		\$ 48.6	\$ 7.2		\$ 113.1	\$ 17.8	
Professional Services	\$ -	\$ -		\$ 0.5	\$ 0.1		\$ -	\$ -		\$ 0.5	\$ 0.1	
Other	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
<b>Additional DBE Participation Total</b>	<b>\$ 19.8</b>	<b>\$ 7.0</b>		<b>\$ 45.2</b>	<b>\$ 3.7</b>		<b>\$ 48.6</b>	<b>\$ 7.2</b>		<b>\$ 113.6</b>	<b>\$ 17.9</b>	

\*30% MWBE goals effective April 1, 2015

# **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.