



Metropolitan Transportation Authority

Diversity Committee Meeting

February 2016

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, 2/22/2016
2:15 AM - 3:15 PM ET

1. PUBLIC COMMENT PERIOD

2. APPROVAL OF MINUTES – DECEMBER 14, 2015

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3. 2016 DIVERSITY COMMITTEE WORK PLAN

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4. 2016 Departmental Goals Update

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5. BUSINESS AND DIVERSITY INITIATIVES

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6. CERTIFICATION ACTIVITY REPORT

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7. FOURTH QUARTER 2015 EEO ACTIVITIES

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8. SMALL BUSINESS DEVELOPMENT PROGRAM UPDATE

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9. M/W/DBE CONTRACT COMPLIANCE FOURTH QUARTER 2015 REPORT

MWDBE Contract Compliance Fourth Quarter 2015 - Page 57

10. FINANCIAL AND LEGAL SERVICES

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11. ASSET FUND MANAGERS

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MTA DIVERSITY COMMITTEE

Meeting Minutes

2 Broadway, 20th Floor

New York, NY 10004

Monday, December 14, 2015

2:45 p.m.

The following Committee members were present:

Hon. John Molloy, Chairman

Hon. Fernando Ferrer

Hon. Susan G. Metzger

Hon. Robert Bickford

The following Committee member was absent:

Hon. John Banks III

The following were also present:

Michael Garner, Chief Diversity Officer, MTA

Barry Kluger, Inspector General, MTA Office of the Inspector General

Michael Fucilli, Auditor General, MTA Audit Services

Michelle Woods, Assistant Auditor General, MTA Audit Services

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

George Llanos, Manager, Business and Diversity Initiatives, DDCR

Ronald McCune, Assistant Director, 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

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

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 Collins, Assistant Chief Officer, Office of EEO, NYC Transit

Robert Rodriguez, Director, Office of Diversity and Equal Opportunity, MTA Metro-
North Railroad ("MNR")

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

Antonio D'Amico, Vice President and Chief Financial Officer, MTA Capital
Construction ("CC")

Michael Fyffe, Director, Diversity Management, MTA Long Island Rail Road (“LIRR”)
Shawn Moore, Chief EEO Officer, MTA Bridges and Tunnels (“B&T”)
Christopher Bennett, Manager, MWBE Compliance, B&T
David Cannon, Director, Procurement and Risk Management, CC
Alberto Richardson, Operations Analysis Officer, MTA Bus Company

1. Public Speakers:

There were two public speakers.

Colleen Molter of QED National, a staffing consultant working on an MTA IT project thanked the MTA Chairman and the Board for supporting programs that foster small business development. She also thanked Mr. Garner and his staff for their efforts to promote small businesses.

Seth Bryant of Bryant Rabbino, LLP, recently appointed MTA outside bond counsel, thanked the MTA Chairman, the Board, and Mr. Garner for their support of MTA’s efforts to develop small businesses.

2. Minutes

Upon a motion duly made and seconded, the Committee unanimously approved the minutes of the meeting held on September 21, 2015.

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 said that external and internal EEO complaint data will be presented at this committee meeting. He said however the workforce utilization information will not be presented at this time. Mr. Din said that MTA is currently undergoing an internal review to determine if the estimated availability of women and minority groups for MTA-wide workforce is properly being calculated. Mr. Garner added that in response to questions raised by the Committee in the past, MTA Audit Services is undertaking a review to ensure consistency of methodology used across MTA agencies in assigning job titles to job groups, determining recruitment areas, and calculating estimated availability.

Mr. Din said the 2016 work plan is included for review.

Business and Diversity Initiatives

Mr. Llanos provided an update on MTA’s business and diversity initiatives. He said DDCR participated in approximately a dozen events during the last quarter. Mr. Llanos highlighted the New York State’s fifth annual MWBE forum. He said this event is the largest in the country, and is associated with Governor Cuomo’s Office of Economic Development. He said there were

MTA Diversity Committee Meeting Minutes, Monday, December 14, 2015

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over 2,000 attendees, including staff from all 96 New York State agencies and public authorities. Approximately 1,800 small business representatives were also in attendance. Mr. Llanos added that approximately 45 staffers from MTA and its agencies also attended this event. He also said that this was a very successful event, and MTA looks forward to its participation next year.

Certification Activity Report

Mr. McCune reported on the DBE certification activity for the third quarter 2015. Mr. McCune said DDCR received 32 new certification applications. He stated that compared with the same time period in 2013 and 2014, the number of applications received by the MTA was higher in 2015. Mr. McCune also reported that the MTA processed 35 new applications: 15 firms were certified, 15 applications were returned, 5 were withdrawn, and none were denied certification. He stated that compared with the applications processed for the same time period in 2013 and 2014, the number of applications processed in 2013 were higher but process applications in 2014 were lower.

Third Quarter 2015 EEO/TITLE VI Complaints

Mr. Din reported that MTA-wide, 448 EEO complaints were handled between January and September 2015, citing 814 separate allegations. Mr. Din explained that of these complaints, 219 were filed externally and 229 were filed internally. He further added that of the external complaints, race/color discrimination (17%), disability discrimination (21%), and other or miscellaneous discrimination (27%) were most frequently alleged. Mr. Din stated that of the internal complaints, race/color discrimination (23%), sexual harassment (17%), and other or miscellaneous discrimination (23%) were most frequently alleged. Mr. Din also reported on complaint disposition for the reporting period. He reported that a total of 167 complaints were closed: 72 external and 95 internal. He further reported that at MTAHQ, 18 complaints were handled: 5 external and 13 internal. He also reported that a total of 8 complaints were closed: 1 external and 7 internal.

Mr. Din reported that MTA-wide handled a total of 136 Title VI complaints of which 71% alleged race discrimination. He stated that with respect to complaint disposition, 51 complaints were closed, one resulting in a disposition in favor of the complainant and the rest in favor of the agency. He stated that one Title VI complaint was handled at MTAHQ, resulting in a disposition in favor of the agency.

Mr. Ferrer said it was his understanding that workforce utilization report would be discussed during the Diversity Committee meeting. Mr. Garner said that MTA Chief of Staff Donna Evans had notified Committee members that workforce utilization reports will not be presented pending a review by MTA Audit Services. Mr. Ferrer said he thought that at least the MTA operating agencies would be presenting their workforce utilization information at the Committee meeting. Mr. Ferrer said the information is contained in their respective committee books, and it was stated during committee meetings earlier in the day that the information will be discussed at the Diversity Committee meeting. Mr. Din said the review undertaken by MTA Audit includes review of the workforce numbers at MTAHQ and the agencies, and that is why the utilization numbers for MTAHQ and the agencies are not being discussed at the Diversity

Committee meeting. Ms. Metzger added that agency presidents said earlier in the day that the workforce utilization numbers would be discussed at the Diversity Committee meeting, hence the confusion on the part of the Diversity Committee. Mr. Ferrer that there was a lack of clarity. Chairman Molloy concurred.

Chairman Molloy asked DDCR to provide a report on the recruitment and hiring of veterans throughout MTA agencies.

Small Business Development Program (“SBDP”) Update

Mr. Cleary provided an update on MTA’s SBDP as of September 30, 2015.

Mr. Cleary reported on the various counties represented by the prequalified firms in the SBDP. He said there are 201 prequalified firms in the program, and 41 firms are pending pre-qualification. He stated that since the inception of SBDP, 215 contracts have been awarded totaling \$195 million. He reported that under the loan program 61 loans have been provided, totaling \$8 million, with zero defaults.

Mr. Cleary reported on the breakdown of women- and minority-owned firms that have received contract awards. He said that SBDP will be focusing its marketing efforts to broaden the pool of emerging firms, including firms owned by minority groups such as blacks, Hispanics, and Asian Pacific Islanders. He said SBDP will be targeting ethnic trade groups and associations and will also focus on advertising in newspapers, journals, periodicals.

Mr. Cleary reported that over the last five years, SBDP has contributed to creation of approximately 4,700 jobs within MTA’s 14-county service region. He said the program has also provided small businesses with over 200 bid solicitations, and over 1,000 bidding opportunities. He added that 278 firms have participated in the training program, with an average class size of about 50 firms and that new training courses have been added.

Mr. Cleary noted that the SBDP anticipates awarding 430 projects in MTA’s next Five-Year Capital Plan, totaling \$500 million. He said this will create an estimated 12,000 jobs.

Mr. Cleary reported that under the surety bond assistance program, Lashay’s Construction and Development Company has secured a \$3 million surety bond on a federally funded construction project.

Mr. Cleary explained that requests for proposals for new contacts for construction management and loan programs will be issued around mid-January.

Mr. Ferrer asked what is being done to increase contract opportunities for Hispanic-owned firms. Mr. Garner said that DDCR will be doing more effective outreach. He said for example, DDCR will be reaching out to the State University of New York at Farmingdale, which has a small business resource center. In addition, on January 26, 2016, an outreach session will be held with black, Asian, and Hispanic-owned firms to get firms to pre-qualify for the SBDP. Mr. Garner added that firms are promoted to become prime contractors by allowing them to directly bid on contracts and encouraging them to take advantage of the loan program. Mr. Ferrer asked if there is expected to be an increase in contracts awarded to minority-owned firms. Mr. Garner said yes and added that in order to create a more diverse pool of applicant firms, DDCR is

looking at the prequalification process to determine if firms are being excluded who should be in the program.

Mr. Garner thanked Mr. Kluger for providing startup funds for MTA's Small Business Federal Program.

M/W/DBE Contract Compliance

Ms. Harleston reported on federal and state funded contract award and payment activities. She said for the period October 2014 to September 2015, MTA awarded approximately \$1.5 billion in federally-funded contracts with approximately \$306 million (21%) being awarded to certified DBEs, exceeding MTA's overall DBE goal of 17%. For the same period MTA paid approximately \$1.3 billion to prime contractors, with \$216 million (17%) paid to certified DBEs. Ms. Harleston said that MTA's DBE goal achievement has gradually increased over the past several years.

Ms. Harleston also said that for the period April to September 2015, MTA awarded approximately \$962 million in state funded contracts with approximately \$74 million (8%) being awarded to certified MWBEs. She reported for the same period MTA paid approximately \$605 million in prime contracts with payments to certified MWBEs, totaling over \$143 million (24%). Ms. Harleston said that MWBE goal achievement is slightly below MTA's overall goal of 30% which was established in April 2015 and stated that MTA is moving toward achieving its goal.

Regarding discretionary procurement awards, Ms. Harleston reported that from April through September 2015, a total of approximately \$139 million was awarded. MWBE participation was 9%, and participation of Small Business Concerns was 6%. Mr. Garner added that he is working with MTA agencies to come up with strategies to increase participation in this area. He also said that DDCR will report the progress it has made in closing contracts and increasing visits to sites to MWDBEs working on MTA projects to the Audit Committee in January 2016. Mr. Garner reported that for payments made for legal services, MWBE participation was 8%. He said with additional MWBEs in the outside counsel pool, participation in this area will increase in the future. Regarding underwriter fees, Mr. Garner said, MWBE participation was 35% (34.67% for MBEs and 0.45% for WBEs). Chairman Molloy asked about the low WBE participation. Mr. Garner said there is a limited pool of WBEs, and more WBEs needs to be involved in the underwriting transactions. He said he is working with Patrick McCoy, MTA Director, Finance and Robert Foran, MTA Chief Financial Officer, to improve MWBE participation in this area. Chairman Molloy asked Mr. Garner to comment on the overall progress made in this area in terms of MWBE participation. Ms. Metzger added that not too long ago there was 0% MWBE participation in this area. Mr. Garner said that compared with previous years, overall MWBE participation has gone up from about 15% to about 35%. However, he added that with respect to WBE participation more needs to be done. Mr. Ferrer inquired about the reason for low WBE participation. Mr. Garner said there might be fewer WBEs in the current pool of firms. However, he said he will report back to the Committee on this issue.

Mr. Garner also reported on MWBE participation in the area of asset fund management. He said MWBE participation in total assets was 10%, with 25% participation in traditional assets and none in non-traditional assets. Mr. Garner said he is exploring ways to improve MWBE participation with Messrs. Foran and McCoy. He said that New York City has an Emerging Managers Fund; perhaps MTA can adopt a similar program.

Ms. Harleston reported on MWDBE participation on MTA's capital projects. She said for the period January to September 2015, MTA achieved 20% DBE participation on federally funded projects, exceeding its overall DBE goal. Ms. Harleston stated that for state funded projects, MWBE participation for the reporting period was 27% (16% MBE and 11% WBE participation), which is below MTA's overall MWBE goal of 30%. However, Ms. Harleston said that the 30% goal was established in April 2015, and MTA is on its way to achieving its MWBE goal.

Chairman Molloy asked about contract awards made to Service Disabled Veteran-owned Businesses ("SDVOBs"). Mr. Garner said that the state has established an SDVOB pilot program. He said MTA is not one of the agencies in this pilot program. He added that MTA and its agencies have awarded more contracts to SDVOBs than any other state agency or public authority. Ms. Metzger added that MTA and its agencies have also conducted outreach to, and have hired veterans. Chairman Molloy asked for a report on hiring of veterans at the MTA and its agencies.

Diversity Committee Charter

Mr. Din said the Committee's charter is being presented for review, and no changes are being recommended.

Adjournment

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

Respectfully submitted,

Faith Beauzile

Department of Diversity and Civil Rights



2016 Diversity Committee Work Plan

I. RECURRING AGENDA ITEMS

Responsibility

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

II. SPECIFIC AGENDA ITEMS

Responsibility

February 2016

Recommitment to EEO Policy	Dept. of Diversity/Civil Rights
2016 Departmental Goals	
2015 Year-End Report	

May 2016

1st Quarter 2016 Report	Dept. of Diversity/Civil Rights
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September 2016

2nd Quarter 2016 Report	Dept. of Diversity/Civil Rights
Recruitment Strategies for MTAHQ and MTA Agencies	Dept. of Diversity/Civil Rights, MTAHQ and Agency Staff

December 2016

3rd Quarter 2016 Report	Dept. of Diversity/Civil Rights
Status Report on MTA Inter-Agency M/W/DBE Task Force	
Diversity Committee Charter Review	Committee Chair & Members
2017 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 2016

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 2016 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 2016.

2015 Year-End Report

The Department of Diversity and Civil Rights will present 2015 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 2016

1st Quarter 2016 Report

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

September 2016

2nd Quarter 2016 Report

The Department of Diversity and Civil Rights will present 2nd 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

3rd Quarter 2016 Report

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

Status Report on MTA Inter-Agency M/W/DBE Task Force

The Department of Diversity and Civil Rights report will address progress made by the Task Force to improve M/W/DBE participation.

Diversity Committee Charter Review

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

2017 Diversity Committee Work Plan

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

DEPARTMENT OF DIVERSITY AND CIVIL RIGHTS

2016 DEPARTMENTAL GOALS UPDATE

GOALS	STATUS
Small Business Development Program Training.	Ongoing. Training will resume on March 3, 2016.
The MTA Mentor/Graduate Mentor Programs to award \$66 million by July 2016.	From Program inception in November 2010 through December 2015, MTA awarded \$133 million. Of this amount, \$98.4 million (74%) was awarded to MWBEs.
MTA Small Business Federal Program for federally funded contracts to award \$25.6 million by July 2016.	From Program inception in March 2013 through December 2015, \$64 million has been awarded. Of this amount, \$26.3 million (41%) was awarded to DBEs.
Work with Empire State Development to formulate a procurement strategy for increased awards to M/WBEs.	Ongoing.
Implementation of the M/W/DBE Contract Compliance System.	Ongoing.
Minority Supplier Development Program for subway car and bus manufacturers.	Ongoing.
Achieve MTA's 30% M/WBE goal and 17% DBE goal.	For the period April through December 2015, MTA achieved 24% MWBE participation in its state funded projects. For the period October to December 2015, MTA achieved 12% DBE participation. The MWBE and DBE participations represent only a portion of the state and federal fiscal years, respectively.
Implement a mentoring program within Paratransit.	Currently in planning stages
Creation of a Mentor/Protégé Program focusing on signal projects.	Ongoing.
Hudson Yards Mentor/Protégé Program	Implemented.
MWDBE Outreach events in the suburban counties within the MTA service region.	Ongoing.

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

February 22, 2016

MTA Business and Diversity Initiatives

January 2016

Monthly DBE Certification Workshop

New Jersey Hispanic Chamber of Commerce Tres Reyes Magos Networking Event

New York New Jersey Minority Supplier Development Council Networking Reception

DDCR Presents the New Firm Orientation Session

MTA DDCR and Bridges & Tunnels Present “As Needed Contracts” Networking Event

February 2016

Monthly DBE Certification Workshop

18th Annual Wall Street Project Economic Summit

The Association of Minority Enterprises Inc. of NY presents the 36th Annual Legislative Business Development Conference

45th NYS Black and Puerto Rican Annual Legislator’s Conference

National Minority Business Council 36th Annual Awards Luncheon

MTA and NYNJ MSDC Present “How to Do Business with the MTA”

MTA DDCR & New York City Transit Present IT RFP Opportunity Contracts

March 2016

Monthly DBE Certification Workshop

SOMOS El Futuro Spring Conference 2016

NYC Hispanic Chamber of Commerce Presents 10th Annual Women In Business Awards Luncheon

DDCR and Metro-North Rail Road Present “How to Do Business with the MTA”

Diversity Events

February

MTA HQ, MTA LIRR and MTA B&T Celebrated Black History Month

April

MTA HQ Celebrates Jewish American Heritage Month



Metropolitan Transportation Authority

MTA Department of Diversity/Civil Rights Certification Activity Report

February 22, 2016

CERTIFICATION APPLICATIONS RECEIVED 2013-2015

	2015	2014	2013
January	6	14	9
February	6	4	9
March	8	6	14
April	4	15	10
May	9	2	19
June	11	13	5
July	9	8	10
August	5	16	10
September	9	6	10
October	8	11	21
November	7	8	9
December	12	15	11
TOTAL	94	118	137

CERTIFICATION ACTIVITY FOR NEW APPLICATIONS 2013-2015

	2015	2014	2013
CERTIFIED	59	75	94
DENIED	3	4	8
RETURNED	29	29	18
INELIGIBLE	0	0	0
WITHDRAWN	16	20	12
TOTAL	107	128	132

CONTRACT AWARDS TO DBE FIRMS CERTIFIED 2009-2015

- Number of DBE firms certified from 2009-2015: 442
- Number of DBE Firms certified from 2009-2015 receiving federally funded prime/subcontracts: 111
- Number of federally funded prime/subcontracts for DBE firms certified from 2009-2015: 397
- Total contract amount awarded to DBE firms certified from 2009-2015 on federally funded contracts: \$741,220,930.

There were also 133 firms certified as DBE firms during 2009-2015 with dual M/WBE certification that received contract awards on NYS contracts totaling \$310,886,220 representing 574 prime/sub-contract awards.

***Grand Total: \$1,052,107,151 (FTA and NYS Contracts)**



Metropolitan Transportation Authority

MTA DEPARTMENT OF DIVERSITY/ CIVIL RIGHTS EEO ACTIVITIES FOURTH QUARTER 2015

February 22, 2015

OVERVIEW

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

MTA-WIDE UTILIZATION ANALYSIS

AS OF DECEMBER 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
Officials & Administrators																					
MTA HQ	32%	37%	YES	8%	24%	YES	8%	8%	YES	5%	14%	YES	0%	0%	YES	2%	0%	NO	1%	3%	YES
MTA B&T	32%	22%	NO	5%	21%	YES	5%	6%	YES	6%	7%	YES	0%	0%	YES	1%	1%	YES	1%	6%	YES
MTA MNR	27%	25%	NO	8%	15%	YES	9%	7%	NO	8%	8%	YES	0%	0%	YES	0%	0%	YES	1%	2%	YES
MTA LIRR	22%	22%	YES	13%	11%	NO	7%	8%	YES	4%	6%	YES	0%	0%	YES	1%	0%	NO	2%	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	22%	27%	YES	5%	11%	YES	7%	5%	NO	12%	27%	YES	0%	1%	YES	1%	0%	NO	2%	3%	YES
MTA Bus	22%	11%	NO	14%	32%	YES	8%	15%	YES	5%	7%	YES	0%	0%	YES	0%	0%	YES	2%	3%	YES
Professionals																					
MTA HQ	39%	45%	YES	11%	27%	YES	8%	11%	YES	7%	22%	YES	0%	0%	YES	0%	0%	YES	0%	5%	YES
MTA B&T	36%	41%	YES	10%	21%	YES	10%	17%	YES	7%	22%	YES	0%	0%	YES	3%	0%	NO	1%	5%	YES
MTA MNR	40%	37%	NO	10%	18%	YES	9%	9%	YES	8%	10%	YES	0%	0%	YES	0%	0%	YES	1%	3%	YES
MTA LIRR	19%	22%	YES	10%	15%	YES	7%	8%	YES	6%	13%	YES	0%	0%	YES	2%	0%	NO	1%	4%	YES
MTA NYCT	36%	35%	NO	10%	32%	YES	8%	9%	YES	7%	26%	YES	0%	0%	YES	3%	0%	NO	1%	3%	YES
MTA CC	41%	53%	YES	7%	21%	YES	7%	21%	YES	6%	37%	YES	0%	5%	YES	2%	0%	NO	1%	0%	NO
MTA Bus	32%	48%	YES	10%	24%	YES	6%	14%	YES	11%	20%	YES	0%	0%	YES	2%	0%	NO	1%	6%	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 DECEMBER 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
Technicians																					
MTA HQ	13%	4%	NO	15%	5%	NO	10%	8%	NO	1%	2%	YES	0%	0%	YES	1%	0%	NO	1%	3%	YES
MTA B&T	11%	23%	YES	11%	19%	YES	8%	19%	YES	0%	7%	YES	0%	0%	YES	1%	0%	NO	0%	5%	YES
MTA MNR	30%	8%	NO	12%	17%	YES	15%	6%	NO	12%	15%	YES	0%	2%	YES	0%	0%	YES	1%	2%	YES
MTA LIRR	11%	12%	YES	11%	19%	YES	8%	13%	YES	7%	10%	YES	0%	0%	YES	1%	0%	NO	1%	1%	YES
MTA NYCT	39%	52%	YES	11%	51%	YES	12%	11%	NO	5%	14%	YES	0%	0%	YES	12%	0%	NO	2%	3%	YES
MTA CC	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES
MTA Bus	20%	61%	YES	8%	13%	YES	8%	13%	YES	14%	9%	NO	0%	0%	YES	4%	0%	NO	1%	0%	NO
Protective Services																					
MTA HQ	14%	12%	NO	12%	15%	YES	15%	18%	YES	1%	4%	YES	0%	0%	YES	1%	0%	NO	1%	2%	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	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES
MTA LIRR	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES
MTA NYCT	21%	22%	YES	31%	59%	YES	18%	17%	NO	1%	7%	YES	1%	0%	NO	3%	0%	NO	1%	2%	YES
MTA CC	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES
MTA Bus	16%	17%	YES	34%	67%	YES	18%	17%	NO	3%	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 DECEMBER 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
Para-Professionals																					
MTA HQ	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES
MTA B&T	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES
MTA MNR	62%	63%	YES	11%	30%	YES	12%	11%	NO	6%	11%	YES	0%	0%	YES	0%	0%	YES	1%	4%	YES
MTA LIRR	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES
MTA NYCT	52%	50%	NO	20%	48%	YES	16%	24%	YES	2%	8%	YES	0%	0%	YES	6%	0%	NO	2%	2%	YES
MTA CC	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES
MTA Bus	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES
Administrative Support																					
MTA HQ	62%	74%	YES	20%	42%	YES	19%	15%	NO	2%	7%	YES	0%	0%	YES	5%	0%	NO	2%	3%	YES
MTA B&T	53%	76%	YES	18%	49%	YES	22%	12%	NO	2%	12%	YES	0%	0%	YES	4%	0%	NO	1%	5%	YES
MTA MNR	59%	41%	NO	13%	31%	YES	13%	14%	YES	5%	4%	NO	0%	0%	YES	0%	0%	YES	2%	4%	YES
MTA LIRR	49%	45%	NO	19%	26%	YES	11%	12%	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%	17%	YES	0%	0%	YES	6%	0%	NO	2%	2%	YES
MTA CC	72%	70%	NO	20%	30%	YES	18%	30%	YES	6%	7%	YES	0%	0%	YES	0%	0%	YES	2%	0%	NO
MTA Bus	59%	42%	NO	21%	30%	YES	22%	16%	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 DECEMBER 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
Skilled Craft																					
MTA HQ	0%	37%	YES	0%	24%	YES	0%	8%	YES	0%	14%	YES	0%	0%	YES	0%	0%	YES	0%	3%	YES
MTA B&T	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES
MTA MNR	4%	6%	YES	14%	18%	YES	10%	8%	NO	2%	2%	NO	1%	0%	NO	0%	0%	YES	2%	2%	YES
MTA LIRR	9%	10%	YES	16%	16%	YES	12%	11%	NO	2%	3%	YES	0%	0%	YES	1%	0%	NO	2%	2%	YES
MTA NYCT	21%	5%	NO	22%	38%	YES	16%	12%	NO	5%	14%	YES	0%	0%	YES	8%	0%	NO	2%	2%	YES
MTA CC	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES
MTA Bus	1%	1%	YES	23%	31%	YES	25%	14%	NO	2%	12%	YES	0%	0%	YES	3%	2%	NO	1%	5%	YES
Service Maintenance																					
MTA HQ	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES
MTA B&T	2%	3%	YES	16%	18%	YES	18%	15%	NO	3%	4%	YES	1%	1%	YES	1%	0%	NO	1%	3%	YES
MTA MNR	8%	13%	YES	16%	33%	YES	27%	19%	NO	3%	1%	NO	0%	0%	YES	0%	0%	YES	1%	3%	YES
MTA LIRR	17%	18%	YES	17%	25%	YES	22%	15%	NO	2%	3%	YES	0%	0%	YES	1%	0%	NO	2%	4%	YES
MTA NYCT	15%	19%	YES	33%	38%	YES	28%	21%	NO	3%	5%	YES	0%	0%	YES	2%	0%	NO	1%	2%	YES
MTA CC	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES	0%	0%	YES
MTA Bus	11%	13%	YES	27%	52%	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 December 31, 2015

- ❖ Between January 1, 2015 and December 31, 2015, MTA and its Agencies hired a total of 6,726 employees.
- ❖ 20% of the total new hires are females.
- ❖ 72% of the total new hires are minorities.*
- ❖ Of the 72% of minorities hired, 37% are black and 17% are Hispanic.
- ❖ MTA NYCT had a total of 4,180 new employees, of which, 890 (21%) are females and 3,359 (80%) are minorities.*
- ❖ MTA HQ New Hire Total reflects the IT consolidation.

*Females are included in each of the minority groups.

MTA-WIDE NEW HIRES

JANUARY 1, 2015 TO DECEMBER 31, 2015

AGENCY	NEW HIRES ¹	FEMALES ²		Minorities		Non-Minorities		BLACKS		HISPANICS		ASIANS		AI/AN		NHOPI		OTHER	
		#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
MTA HQ ³	948	199	21%	546	58%	402	42%	196	21%	101	11%	212	22%	3	0%	0	0%	34	4%
MTA B&T	51	13	25%	30	59%	21	41%	11	22%	6	12%	5	10%	1	2%	0	0%	7	14%
MTA MNR	520	80	15%	251	48%	269	52%	104	20%	84	16%	36	7%	4	1%	0	0%	23	4%
MTA LIRR	547	102	19%	258	47%	289	53%	94	17%	84	15%	58	11%	2	0%	0	0%	20	4%
MTA NYCT	4,180	890	21%	3,359	80%	821	20%	1,852	44%	751	18%	699	17%	9	0%	1	0%	47	1%
MTA CC	20	8	40%	12	60%	8	40%	3	15%	7	35%	2	10%	0	0%	0	0%	0	0%
MTA BUS	460	86	19%	387	84%	73	16%	238	52%	93	20%	45	10%	1	%	0	0%	10	2%
Total	6,726	1,378	20%	4,843	72%	1,883	28%	2,498	37%	1,126	17%	1,057	16%	20	0%	1	0%	141	2%

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

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

³ MTAHQ New Hires Total reflects the IT consolidation

EEO/TITLE VI COMPLAINTS

- Between January 2015 and December 2015, MTA and its Agencies handled a total of 528 EEO complaints, citing 955 separate allegations.*
- Of the complaints, 240 were filed externally at city, state and federal agencies and 288 were filed internally.
- Of the 240 external complaints, the most frequently cited bases for complaints were: 1) disability discrimination (21%); 2) other** types of miscellaneous discrimination (25%); and 3) race/color discrimination (18%).
- Of the 288 internal complaints, the most frequently cited bases for complaints were: 1) sexual harassment (18%); 2) other types of miscellaneous discrimination (22%); and 3) race/color discrimination (23%).
- Between January 2015 and December 2015, MTA and its Agencies handled a total of 169 Title VI complaints, citing 188 separate allegations. Of these 169 complaints, race discrimination (73%) 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 DECEMBER 31, 2015¹

EEO DISCRIMINATION COMPLAINTS EXTERNAL											
AGENCY	RACE COLOR	SEXUAL HARASS.	AGE	GENDER	RELIGION	NATIONAL ORIGIN	DISABILITY	OTHER ²	TOTAL ISSUES ³	TOTAL CASES	STATUS OPEN
MTA	3	1	1	2	1	1	1	3	13	6	2
B&T	4	0	1	2	1	1	2	4	15	5	4
MNR	8	1	7	6	0	3	6	8	39	25	8
LIRR	5	1	2	0	0	0	4	2	14	10	3
NYCT	53	13	28	35	10	29	65	87	320	177	127
CC	1	0	0	0	0	0	0	1	2	1	1
BUS	4	0	3	3	0	1	10	4	25	16	9
TOTAL	78	16	42	48	12	35	88	109	428	240	154
	18%	4%	10%	11%	3%	8%	21%	25%			

EEO DISCRIMINATION COMPLAINTS INTERNAL											
AGENCY	RACE COLOR	SEXUAL HARASS.	AGE	GENDER	RELIGION	NATIONAL ORIGIN	DISABILITY	OTHER ²	TOTAL ISSUES ³	TOTAL CASES	STATUS OPEN
MTA	3	3	0	3	0	1	3	3	16	15	6
B&T	1	0	0	11	0	0	0	1	13	13	11
MNR	14	13	5	14	0	5	6	27	84	52	10
LIRR	3	1	0	0	0	0	0	4	8	7	0
NYCT	98	79	14	51	13	55	11	80	401	197	127
CC	0	0	0	0	0	0	0	0	0	0	0
BUS	2	0	2	0	1	0	0	0	5	4	3
TOTAL	121	96	21	79	14	61	20	115	527	288	157
	23%	18%	4%	15%	3%	12%	4%	22%			

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 DECEMBER 31, 2015¹

AGENCY	RACE	COLOR	NATIONAL ORIGIN	INCOME	TOTAL ² ISSUES	TOTAL CASES	STATUS OPEN
MTA HQ	1	0	1	0	2	1	0
MTA MNR	21	12	0	0	33	22	2
MTA LIRR	11	0	2	0	13	13	0
MTA NYCT	98	4	31	0	133	126	76
MTA CC	0	0	0	0	0	0	0
MTA B&T	0	0	0	0	0	0	0
MTA BUS	6	0	1	0	7	7	1
TOTAL	137	16	35	0	188	169	79
	73%	9%	19%	0%			

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

MTA-WIDE EEO COMPLAINTS

DISPOSITION - DECEMBER 31, 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	1	1	0	0	0	2
MNR	0	5	5	0	0	4	14
LIRR	0	2	0	0	3	1	6
NYCT	0	40	5	2	2	1	50
CC	0	0	0	0	0	0	0
MTA BUS	0	6	0	1	0	0	7
TOTAL							83

EEO DISCRIMINATION INTERNAL COMPLAINTS

MTA AGENCY	REASONABLE CAUSE	NO REASONABLE CAUSE	ADMINISTRATIVE CLOSURE	WITHDRAWN	DISMISSAL	RESOLVED/ SETTLEMENT	TOTAL CASES
MTAHQ	0	5	4	0	0	0	9
B&T	0	0	0	0	1	2	3
MNR	6	9	16	3	0	3	37
LIRR	2	5	0	0	0	0	7
*NYCT	19	43	10	0	0	0	72
CC	0	0	0	0	0	0	0
MTA BUS	0	0	0	0	0	1	1
TOTAL							129

* There were a total of 70 closed cases as of December 31, 2015. However, 2 complaints resulted in a dual (reasonable cause / no reasonable cause) determination.

MTA-WIDE TITLE VI COMPLAINTS

DISPOSITION - DECEMBER 31, 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	13	0	0	0	0	13
NYCT	0	34	16	0	0	0	50
CC	0	0	0	0	0	0	0
MTA BUS	1	5	0	0	1	0	7
TOTAL							82

2015 YEAR-END EEO REPORT

AGENCY NAME: **MTAHQ**

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

JOB TITLE	FEMALES ¹			BLACKS			HISPANICS			ASIANS			AI/AN ²			NHOP ³			OTHER		
	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)
Officials & Administrators	32%	37%	Yes	8%	24%	Yes	8%	8%	Yes	5%	14%	Yes	0%	0%	Yes	2%	0%	No	1%	3%	Yes
Professionals	39%	45%	Yes	11%	27%	Yes	8%	11%	Yes	7%	22%	Yes	0%	0%	Yes	3%	0%	No	1%	5%	Yes
Technicians	13%	4%	No	15%	5%	No	10%	8%	No	1%	2%	Yes	0%	0%	Yes	1%	0%	No	1%	3%	Yes
Protective Services	14%	12%	No	12%	15%	Yes	15%	18%	Yes	1%	4%	Yes	0%	0%	Yes	1%	0%	No	1%	2%	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%	74%	Yes	20%	42%	Yes	19%	15%	No	2%	7%	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

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 AS OF FOURTH QUARTER 2015

JOB TITLE	FEMALES ¹				BLACKS				HISPANICS			
	Est Avail	Estimated #	Actual #	Met Avail (Yes/No)	Est Avail	Estimated #	Actual #	Met Avail (Yes/No)	Est Avail	Estimated #	Actual #	Met Avail (Yes/No)
Inspector	16%	2	0	No	20%	2	1	No	12%	1	0	No
Captains	16%	1	1	Yes	19%	1	0	No	11%	2	0	No
Lieutenants	16%	5	2	No	20%	6	1	No	12%	3	2	No
Sergeants/Detective Sgts.	11%	10	3	No	11%	10	5	No	8%	7	8	Yes
Detectives	18%	5	5	Yes	13%	4	5	Yes	14%	4	7	Yes
Police Officers	13%	68	60	No	12%	58	75	Yes	15%	75	89	Yes

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

JOB TITLE	OTHER			
	Est Avail	Estimated #	Actual #	Met Avail (Yes/No)
Inspector	1%	0	2	Yes
Captains	1%	0	1	Yes
Lieutenants	1%	0	1	Yes
Sergeants/Detective Sgts.	0%	0	2	Yes
Detectives	1%	0	0	Yes
Police Officers	1%	6	8	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

2015 YEAR-END EEO REPORT

AGENCY NAME: **MTAHQ**

NEW HIRES AS OF DECEMBER 31, 2015

JOB CATEGORY	TOTAL ¹	FEMALES ²		Minorities		Non-Minorities		BLACKS		HISPANICS		ASIANS		AI/AN		NHOPI		OTHER	
		#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Officials & Administrators	249	66	27%	113	45%	136	55%	38	15%	14	6%	52	21%	1	0%	0	0%	8	3%
Professionals	645	181	28%	404	63%	241	37%	148	23%	77	12%	153	24%	2	0%	0	0%	24	4%
Technicians	0	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Protective Services	18	3	17%	4	22%	14	78%	0	0%	3	17%	0	0%	0	0%	0	0%	1	6%
Paraprofessionals	0	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Administrative Support	36	23	64%	25	69%	11	31%	10	28%	7	19%	7	19%	0	0%	0	0%	1	3%
Skilled Craft	0	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Service Maintenance	0	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Total ³	948	273	29%	546	58%	402	42%	196	21%	101	11%	212	22%	3	0%	0	0%	34	4%

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

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

3. Total New Hires reflects recent IT consolidation

2015 4TH QUARTER EEO REPORT

AGENCY NAME: **MTAHQ**

EEO AND TITLE VI COMPLAINTS JANUARY 1, 2015 to DECEMBER 31, 2015

Category	Race	Disability	Gender	National Origin	Age	Sexual Harassment	Religion	Other ²	Total Issues ³	Total Cases	Status (# Open)
EEO TOTAL	6	4	5	2	1	4	1	6	29	21	8
External Complaints	3	1	2	1	1	1	1	3	13	6	2
Internal Complaints	3	3	3	1	0	3	0	3	16	15	6

Category	Race	National Origin	Color	Total Issues ³	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 FOURTH QUARTER EEO REPORT

AGENCY NAME: **MTAHQ**

EEO 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
EEO TOTAL	6	0	4	0	0	3	13
External Complaints	1	0	0	0	0	3	4
Internal Complaints	5	0	4	0	0	0	9

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
TITLE VI							
Complaints	1	0	0	0	0	0	1



Metropolitan Transportation Authority

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

February 22, 2016

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.



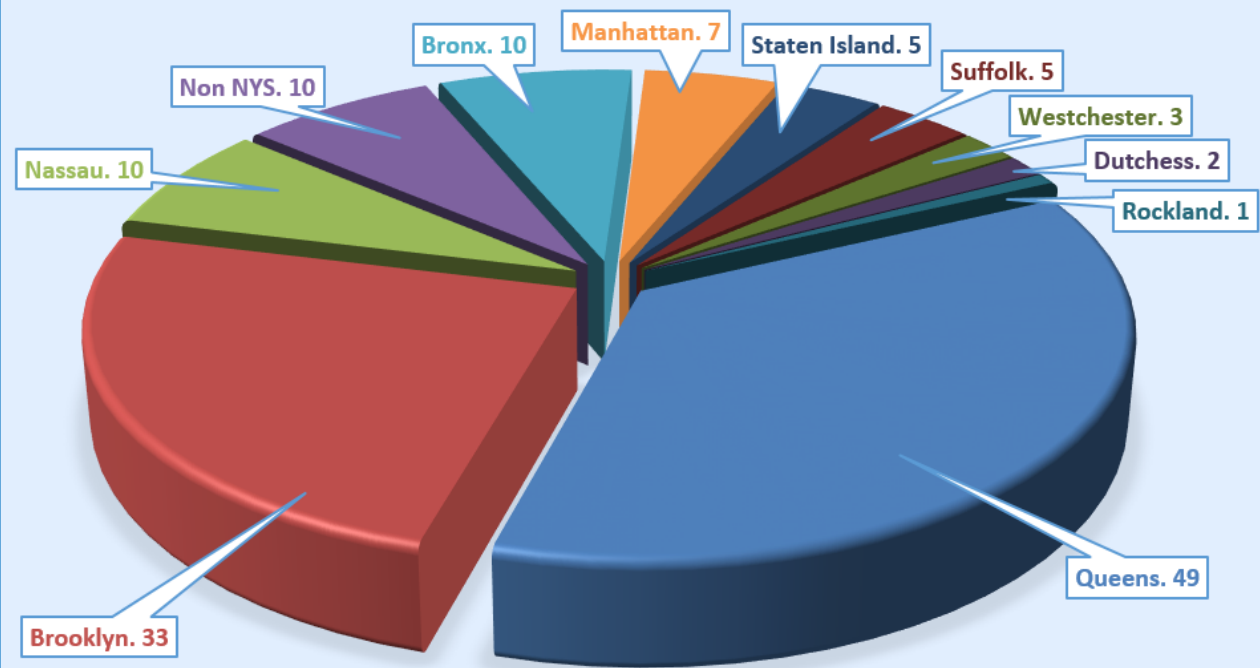
SMALL BUSINESS DEVELOPMENT PROGRAM

AS OF 12/31/2015

Certification *	
MBE	78
WBE	13
DBE	26
Non-Certified	42
* firms may have multiple certifications	

Counties	
Queens	49
Brooklyn	33
Nassau	10
Non NYS	10
Bronx	10
Manhattan	7
Staten Island	5
Suffolk	5
Westchester	3
Dutchess	2
Rockland	1

135 PREQUALIFIED FIRMS







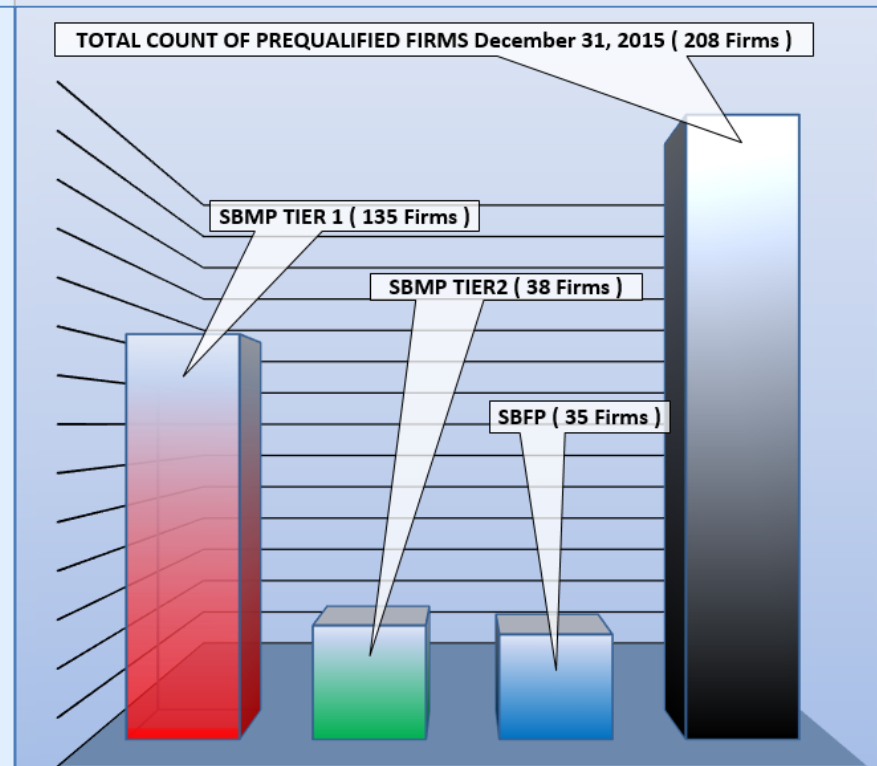
Small Business Mentoring Program Tier 1

SMALL BUSINESS DEVELOPMENT PROGRAM

As of 12/31/2015

TOTAL NUMBER OF PREQUALIFIED FIRMS*

 SBMP Tier 1	135
 SBMP Tier 2	38
 SBFP	35
<hr/>	
 Total Firms	208



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



SMALL BUSINESS DEVELOPMENT PROGRAM

Firms Prequalified 9/2015 through 2/2016 by Ethnicity

□ SBMP Tier 1	20 firms	
		■ 7 Asian Indian
		■ 7 Non-Minority
		■ 4 Black
		■ 1 Hispanic
		■ 1 Asian Pacific
<hr/>		
□ SBMP Tier 2	6 firms	
		■ 4 Asian Indian
		■ 2 Non-Minority
<hr/>		
□ SBFP	3 firms	
		■ 2 Non-Minority
		■ 1 Hispanic
<hr/>		
□ TOTALS	29 firms	

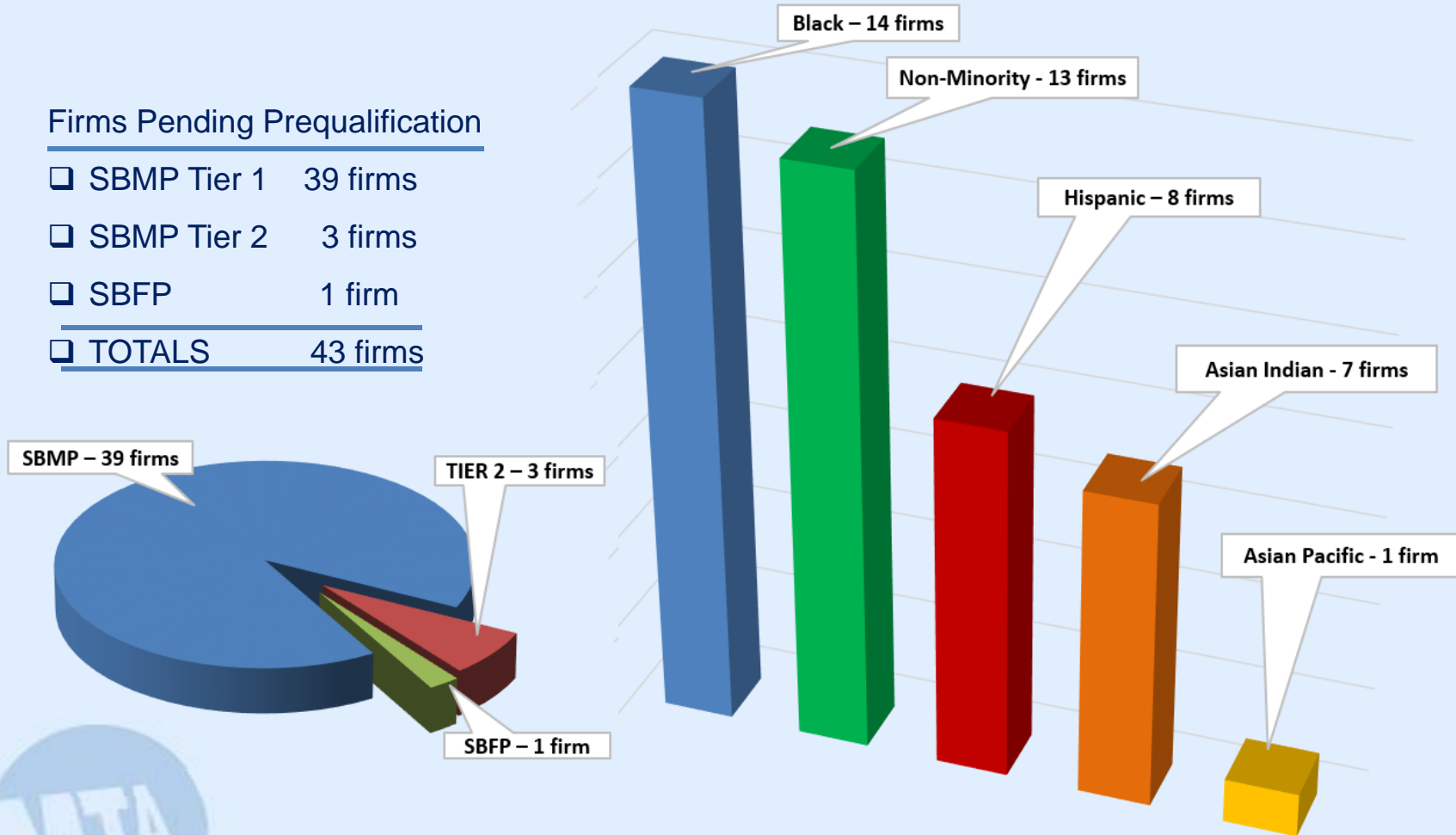


SMALL BUSINESS DEVELOPMENT PROGRAM

Ethnicity of Firms Pending Prequalification at 02/10/2016

Firms Pending Prequalification

SBMP Tier 1	39 firms
SBMP Tier 2	3 firms
SBFP	1 firm
TOTALS	43 firms

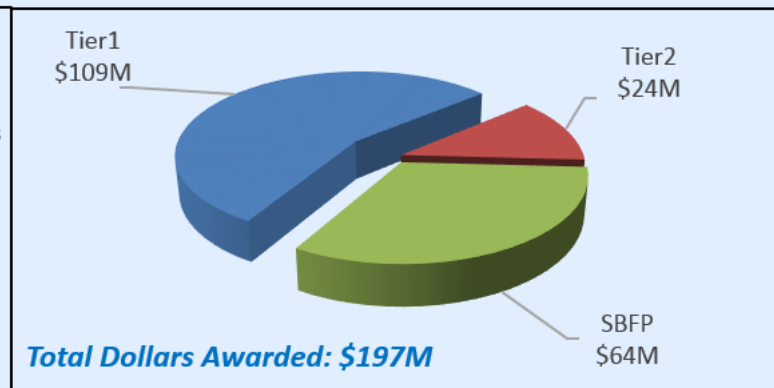
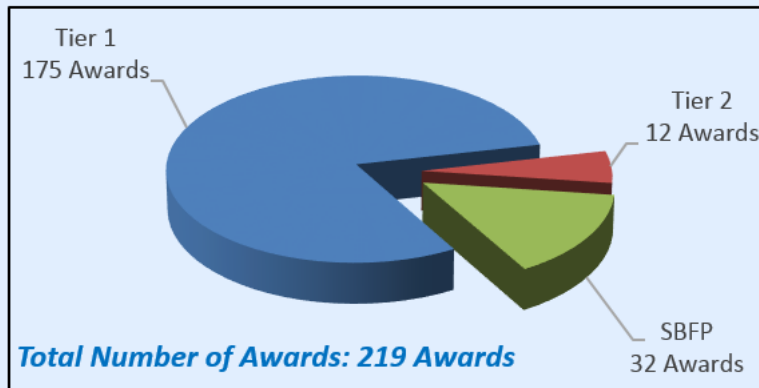


SMALL BUSINESS DEVELOPMENT PROGRAM

As of 12/31/2015

TOTAL CONTRACTS AWARDED & TOTAL \$

■ SBMP Tier 1	175 awards	\$109M
■ SBMP Tier 2	12 awards	\$ 24M
■ SBFP	32 awards	\$ 64M
□ Totals	219 awards	\$197M



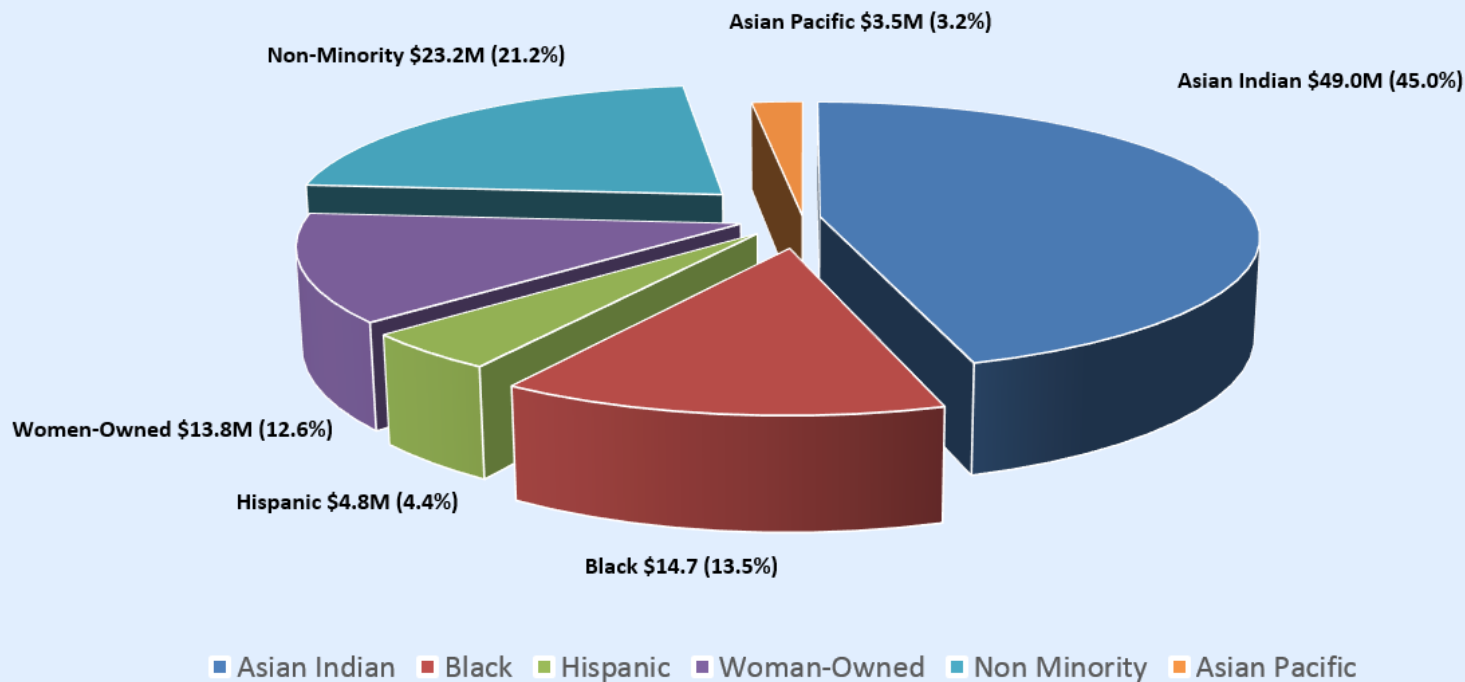
*Source: SBMP BI-WEEKLY PROGRESS MEETING - January 12, 2015 - Project Status (Project Awards) Report



SMALL BUSINESS DEVELOPMENT PROGRAM

AS OF 12/31/2015

Contract Awards in SBMP-Tier 1 by Ethnicity

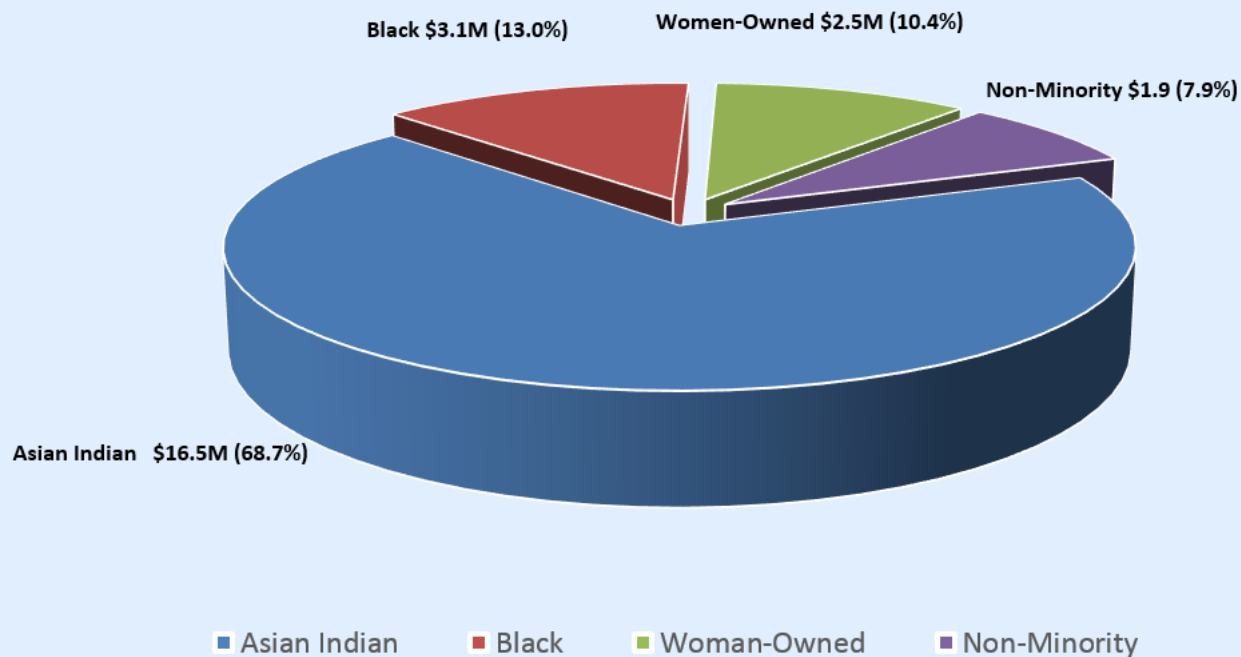


Legend	
Ethnicity	Awards
Asian Indian	\$49.0M
Non-Minority	\$23.2M
Black	\$14.7M
Women-Owned	\$13.8M
Hispanic	\$ 4.8M
Asian Pacific	\$ 3.5M
Total SBMP Awards \$109.0M	



SMALL BUSINESS DEVELOPMENT PROGRAM AS OF 12/31/2015

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



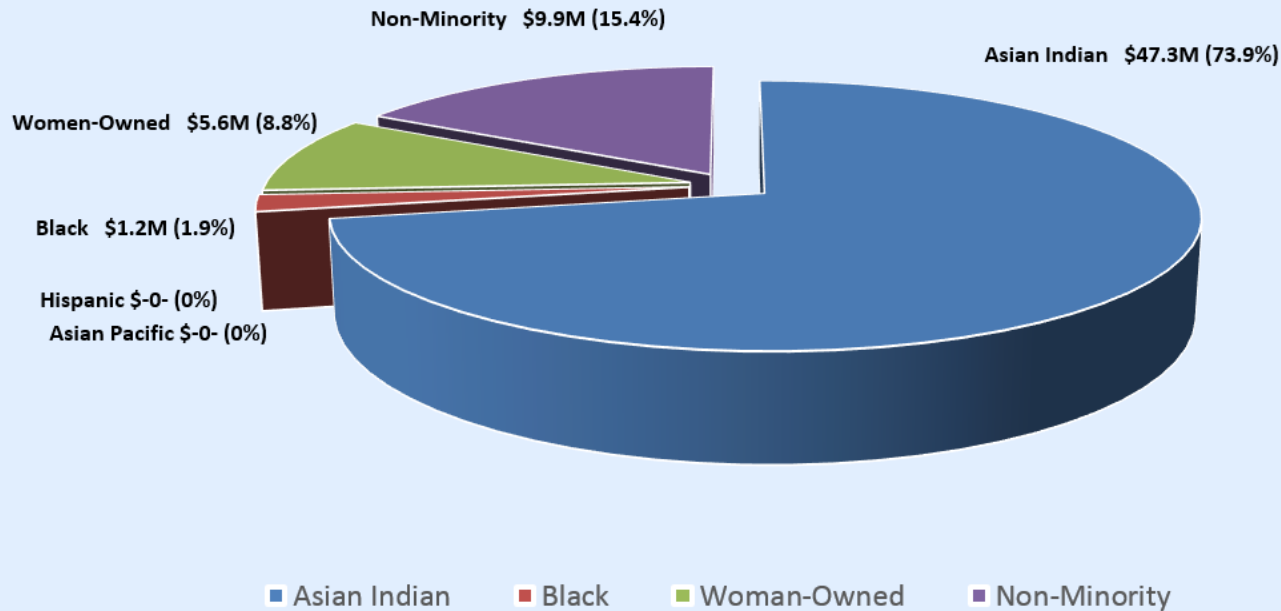
Legend	
Ethnicity	Awards
Asian Indian	\$16.5M
Black	\$ 3.1M
Women-Owned	\$ 2.5M
Non-Minority	\$ 1.9M
Hispanic	\$ -0-M
Asian Pacific	\$ -0-M
Total TIER 2 Awards	
\$24.0M	



SMALL BUSINESS DEVELOPMENT PROGRAM

AS OF 12/31/2015

Contract Awards In SBFP By Ethnicity



Legend	
Ethnicity	Awards
Asian Indian	\$47.3M
Non-Minority	\$ 9.9M
Women-Owned	\$ 5.6M
Black	\$ 1.2M
Hispanic	\$ -0-M
Asian Pacific	\$ -0-M
Total SBFP Awards	
\$64.0M	



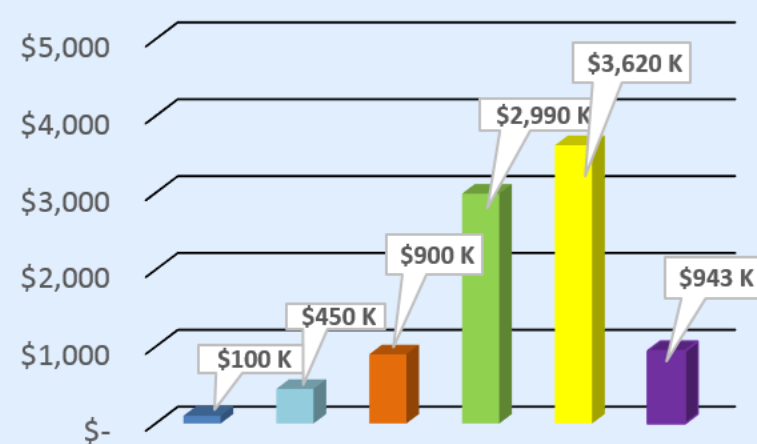
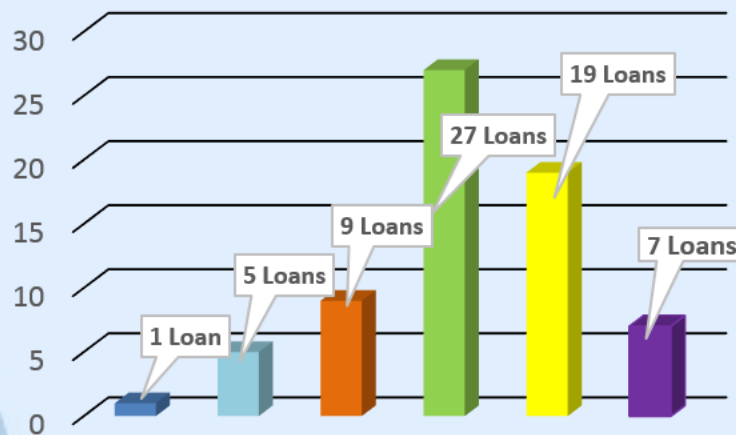
SMALL BUSINESS DEVELOPMENT PROGRAM

As of 12/31/2015

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
■ Year 6	-	7 Loans	totaling	\$942,500
□ Total		68 Loans	Totals	\$9,002,500

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



*Source: SBMP BI-WEEKLY PROGRESS MEETING - January 12, 2015 - Loan Program Tracking Report

SMALL BUSINESS DEVELOPMENT PROGRAM

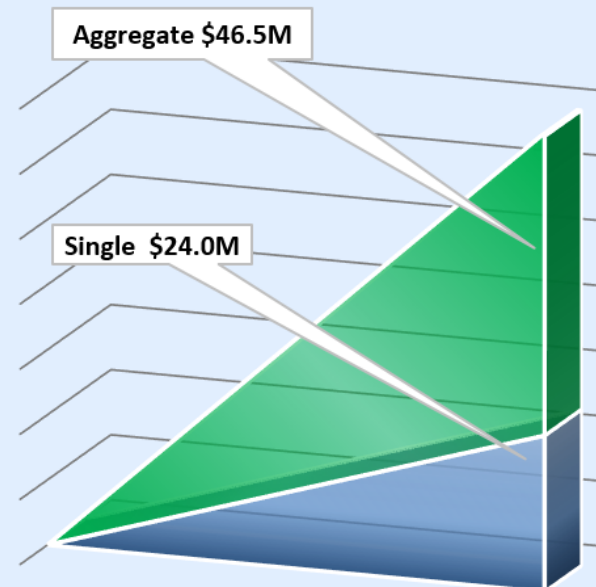
As of 12/31/2015

MTA / CENTAUR BONDING SECURED

**Surety Bonding Secured through the team of
Willis / Ace / Centaur for 10 firms totaling:**

■ Single \$24.0M

■ Aggregate \$46.5M



SMALL BUSINESS DEVELOPMENT PROGRAM

AS OF 12/31/2015

UPCOMING SCHEDULED OUTREACH EVENTS

January 2016

- New Jersey Hispanic Chamber of Commerce Tres Reyes Magos Networking Event
- Long Island Chapter African American Chamber of Commerce Networking Event

February 2016

- National Minority Business Council 36th Annual Awards Luncheon

March 2016

- The MTA and Bronx Overall Economic Development Corp. present an “SBMP Orientation Session”
- 2016 Regional Alliance for Small Contractors Clearinghouse

April 2016

- MTA & Asian American Business Development Contracting Opportunities
- MTA SBMP and the Small Business Development Center at Farmingdale State College (resource partner of the Small Business Administration) Outreach Initiative



SMALL BUSINESS DEVELOPMENT PROGRAM

AS OF 12/31/2015

SBDP Performance Results

- ❑ Contributed approximately 4,728* jobs to the 14 county service region
- ❑ Opportunity for Small Businesses
 - Program Years 1 through 5 provided 219 bid solicitations, and more than 1,075 bidding opportunities
- ❑ Classroom Training Program
 - Since inception, 278 firms participated in the training program
 - The Fall 2015 average 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 12/31/2015

(Classes start March 3rd 2016)

TRAINING CLASSES AND SEMINARS

- | | | |
|------|--|---|
| • 01 | Doing Business with the MTA and Prime Contractors | Thursday, March 3 rd , 2016 |
| • 02 | Prevailing Wages | Thursday, March 17 th , 2016 |
| • 03 | Estimating and Bidding Strategies at the MTA | Thursday, March 24 th , 2016 |
| • 04 | Project Scheduling at the MTA | Thursday, March 31 st , 2016 |
| • 05 | Safety and Quality Planning at the MTA | Thursday, April 14 th , 2016 |
| • 06 | Requisition and Change Order Process | Thursday, April 21 st , 2016 |
| • 07 | Construction Law and Contract Review | Thursday, April 28 th , 2016 |
| • 08 | Cash Flow and Financial Management | Thursday, April 7 th , 2016 |
| • 09 | Developing a Profitable Business in the MTA Region | Thursday, May 5 th , 2016 |
| • 10 | Marketing Your Business to the NY Construction Industry | Monday, May 9 th , 2016 |
| • 11 | How to be a Prime Contractor | Thursday, May 12 th , 2016 |
| • 12 | How to Acquire Surety Bonding,
Gain Access to Capital and Be an Effective CEO | Thursday, May 19 th , 2016 |
| • 13 | Navigating MTA Contracts & MWDBE Compliance | Thursday, May 26 th , 2016 |



SBDP Projections

2015 – 2019 Five Year Capital Program Estimated Project Awards*

Small Business Mentoring Program # of Projects

■ Tier 1	\$195M	280
■ Tier 2	\$153M	75

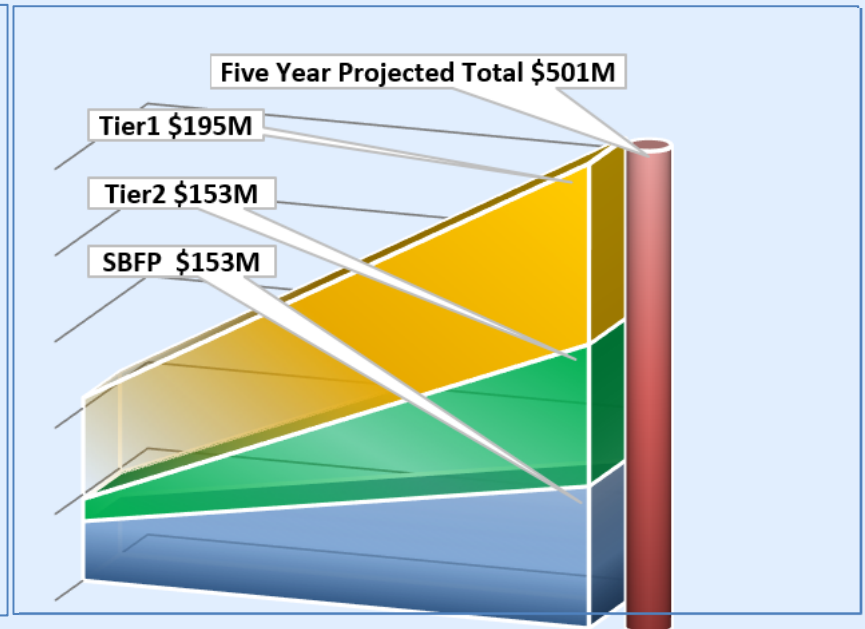
Small Business Federal Program

■ SBFP	\$153M	75
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Totals**

<input type="checkbox"/> All Programs	\$501M	430
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☐ Estimated Job Creation of over 12,000 jobs ***



*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 RFPs for the following services:

- Scope A - Construction Management Services
- Scope B – Business Development Services
 - Business Plan Services
 - Back Office Support Services
- Loan Program





Metropolitan Transportation Authority

M/W/DBE CONTRACT COMPLIANCE Fourth Quarter 2015

February 22, 2016

**DBE Participation in Federally Funded Contracts
Federal Fiscal Year 2016*
(October 1, 2015 to December 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 DBE participation data on new awards and payments on completed contracts.
- For FFY 2016, MTA has an overall 17% DBE goal.
- From October 2015 through December 2015, MTA awarded approximately \$142 million in the federally funded portion of contracts. Of this amount, approximately \$17 million (12%) was awarded to certified DBEs.
- From October 2014 through September 30, 2015, MTA paid prime contractors \$455 million, with payments to certified DBEs totaling over \$64 million (14%).

*The Federal Fiscal Year runs from October 1st through September 30th.

**FEDERALLY-FUNDED CONTRACTS
DBE CONTRACT ACTIVITY
FEDERAL FISCAL YEAR 2016 (OCTOBER 2015- DECEMBER 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	
1st SEMI-ANNUAL REPORT	470	\$141,669,746	28	\$16,763,045	12%	17%
October 2015 - December 2015						
TOTAL	470**	\$141,669,746	28	\$16,763,045	12%	17%

PAYMENTS*

CONTRACT PAYMENTS	PAYMENTS TO PRIMES		DBE PARTICIPATION			OVERALL FTA GOAL
	Number of Contracts	Payment Amount	Number of DBE Subcontracts	DBE Payment Amount	% To Agency Total	
1st SEMI-ANNUAL REPORT	140	\$455,238,900	487	\$64,596,589	14%	17%
October 2015 - December 2015						
TOTAL	140	\$455,238,900	487	\$64,596,589	14%	17%

*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 2010
October 2009 - September 2010

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

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

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

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

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

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

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

DBE CONTRACT AWARDS
FEDERAL FISCAL YEAR 2014
October 2013 - 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%
Total 2014	\$1,060,912,014	\$188,620,669	18%

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%
Total 2015	\$1,487,830,695	\$305,897,930	21%

DBE CONTRACT AWARDS
FEDERAL FISCAL YEAR 2016
October 2015 - December 2015

	Total Awards	Total DBE Awards	DBE%
October 2015 -December 2015	\$141,669,746	\$16,763,045	12%
Total 2015	\$141,669,746	\$16,763,045	12%

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

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

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

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

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

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

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

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

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

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

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%
Total 2015	\$1,289,092,223	\$216,100,377	17%

DBE CONTRACT PAYMENTS
FEDERAL FISCAL YEAR 2016
October 2015 - December 2015

	Total Prime Payments	Total DBE Payments	DBE%
October 2015 - December 2015	\$455,238,900	\$64,596,589	14%
Total 2015	\$455,238,900	\$64,596,589	14%

**MWBE Participation in State Funded Contracts
New York State Fiscal Year 2015-2016*
(April 1, 2015 to December 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 30% for State fiscal year 2015-2016, starting on April 1, 2015.
- From April 1, 2015 through December 31, 2015, MTA awarded approximately \$2 billion in NY State funded contracts, with \$177 million (10%) awarded to certified MWBEs.
- From April 1, 2015 to September 30, 2015, MTA paid \$998 million on prime contracts with approximately \$237 million (24%), paid to MWBEs.

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

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

CONTRACT AWARDS	PRIME AWARDS		MWBE AWARDS			NYS Goal
	Number of Contracts	Award Amount	Number of MWBE Subcontracts	MWBE Award Amount	MWBE %	
FIRST QUARTER	21,607	\$400,643,382	964	\$35,727,645	9%	30%
APRIL 2015-JUNE 2015						
SECOND QUARTER	21,570	\$561,211,268	807	\$37,847,909	7%	30%
JULY 2015-SEPTEMBER 2015						
THIRD QUARTER	18,707	\$876,396,147	1,000	\$103,527,326	12%	30%
OCTOBER 2015-DECEMBER 2015						
TOTAL	61,884	\$1,838,250,797	2,771	\$177,102,880	10%	30%

PAYMENTS

CONTRACT PAYMENTS	PAYMENTS TO PRIMES		MWBE PARTICIPATION			NYS Goal
	Number of Contracts	Payment Amount	Number MWBE Contracts	MWBE Payment Amount	MWBE %	
FIRST QUARTER	1,994	\$243,229,034	2,672	\$68,472,792	28%	30%
APRIL 2015-JUNE 2015						
SECOND QUARTER	2,010	\$361,618,195	2,869	\$74,707,703	21%	30%
JULY 2015-SEPTEMBER 2015						
THIRD QUARTER	2,254	\$392,765,131	2,921	\$93,815,498	24%	30%
OCTOBER 2015-DECEMBER 2015						
TOTAL	6,258	\$997,612,360	8,462	\$236,995,993	24%	30%

FY 2009 - 2010 MWBE AWARDS

April 2009 - March 2010

	AGENCY	AGENCY PRIME AWARDS	MBE AWARDS	MBE%	WBE AWARDS	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	MTA	\$1,033,818,105.35	\$41,231,097.89	4%	\$15,001,630.02	1%	\$56,232,727.91	5%
QTR. 2	MTA	\$1,539,278,763.23	\$7,582,149.87	0%	\$4,528,573.72	0%	\$12,110,723.59	1%
QTR. 3	MTA	\$1,414,452,956.34	\$10,715,264.83	1%	\$12,377,265.10	1%	\$23,092,529.93	2%
QTR. 4	MTA	\$541,668,943.77	\$6,745,354.15	1%	\$3,439,015.05	1%	\$10,184,369.20	2%
TOTALS		\$4,529,218,768.69	\$66,273,866.74	1%	\$35,346,483.89	1%	\$101,620,350.63	2%

FY 2010 - 2011 MWBE AWARDS

April 2010 - March 2011

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

FY 2011 - 2012 MWBE AWARDS

April 2011 - March 2012

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

FY 2012 - 2013 MWBE AWARDS

April 2012 - March 2013

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

FY 2013 - 2014 MWBE AWARDS

April 2013 - March 2014

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

FY 2014 - 2015 MWBE AWARDS

April 2014 - 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%
TOTALS		\$2,468,236,090	\$144,076,982	6%	\$178,768,752	7%	\$322,845,734	13%

FY 2015 - 2016 MWBE AWARDS

April 2015 - December 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	\$876,396,147	\$52,848,723	6%	\$50,678,604	6%	\$103,527,326	12%
TOTALS		\$1,838,250,797	\$93,713,691	5%	\$83,389,189	5%	\$177,102,880	10%

FY 2009- 2010 MWBE PAYMENTS

April 2009 - March 2010

	AGENCY	AGENCY EXPENDICTURE	MBE Utilization	MBE%	WBE Utilization	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	MTA	\$382,669,490.62	\$13,773,909.62	4%	\$9,240,401.08	2%	\$23,014,310.70	6%
QTR. 2	MTA	\$393,033,477.22	\$14,069,415.72	4%	\$20,421,084.73	5%	\$34,490,500.45	9%
QTR. 3	MTA	\$469,871,392.80	\$19,105,078.35	4%	\$10,304,934.97	2%	\$29,410,013.32	6%
QTR. 4	MTA	\$432,322,534.77	\$11,598,278.58	3%	\$9,754,557.34	2%	\$21,352,835.92	5%
TOTALS		\$1,677,896,895.41	\$58,546,682.27	3%	\$49,720,978.12	3%	\$108,267,660.39	6%

FY 2010 - 2011 MWBE PAYMENTS

April 2010 - March 2011

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

FY 2011 - 2012 MWBE PAYMENTS

April 2011 - March 2012

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

FY 2012 - 2013 MWBE PAYMENTS

April 2012 - March 2013

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

FY 2013 - 2014 MWBE PAYMENTS

April 2013 - March 2014

		AGENCY EXPENDITURE	MBE Utilization	MBE%	WBE Utilization	WBE %	Total M/WBE	Total M/WBE %
QTR. 1		\$341,714,029	\$40,020,062	12%	\$33,645,353	10%	\$73,665,416	22%
QTR. 2		\$292,881,193	\$41,026,934	14%	\$34,944,002	12%	\$75,970,936	26%
QTR. 3		\$320,491,973	\$39,377,640	12%	\$34,936,213	11%	\$74,313,852	23%
QTR. 4		\$283,143,437	\$32,883,478	12%	\$29,762,065	11%	\$62,645,543	22%
TOTALS		\$1,238,230,632.80	\$153,308,114	12%	\$133,287,633	11%	\$286,595,747	23%

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%
TOTALS		\$1,116,839,457.53	\$147,271,487	13%	\$112,358,930	10%	\$259,630,417	23%

FY 2015 - 2016 MWBE PAYMENTS

April 2015 - December 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		\$392,765,131	\$51,644,029	13%	\$42,171,469	11%	\$93,815,498	24%
TOTALS		\$997,612,360.30	\$123,768,009	12%	\$113,227,985	11%	\$236,995,993	24%

**MTA ALL AGENCY
TOTAL PROCUREMENTS
APRIL 2015 - DECEMBER 2015**

Agency	Total Award Amount	Total MWBE Awards	MWBE
MTA NYCTA	\$1,360,392,714	\$36,059,122	3%
MTA MNR	\$106,460,984	\$8,473,376	8%
MTA B&T	\$44,338,321	\$3,189,334	7%
MTA LIRR	\$108,676,188	\$5,471,454	5%
MTA HQ	\$274,468,733	\$187,378,447	68%
MTA CC	\$257,421	\$202,197	79%
MTA BUS	\$33,911,716	\$1,619,645	5%
Total	\$1,928,506,077	\$242,393,575	13%

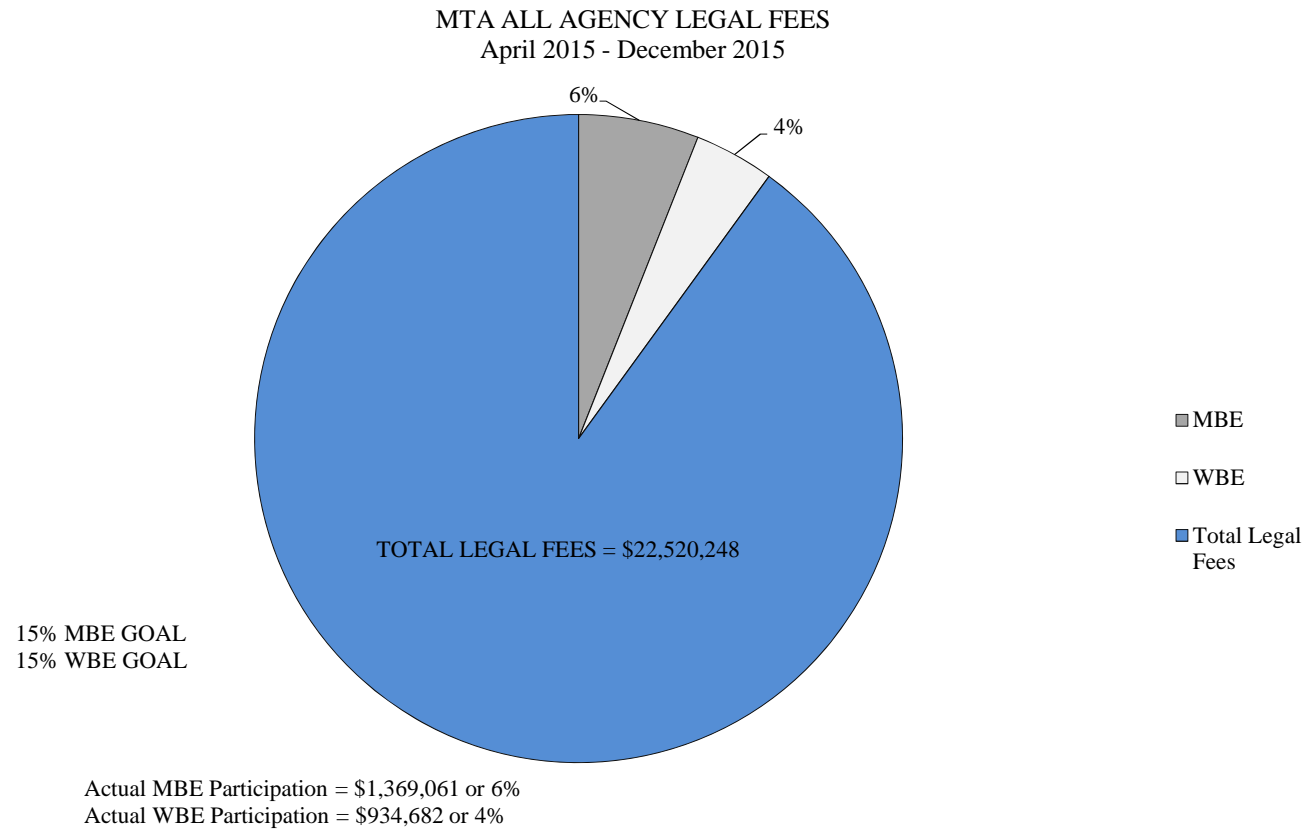
**MTA ALL AGENCY
DISCRETIONARY PROCUREMENT REPORT***
APRIL 2015 - DECEMBER 2015

Agency	Total Awards \$200k or Less	MWBE Discretionary Awards	Discretionary MWBE	SBC Discretionary	Discretionary SBC
MTA NYCTA	\$111,941,449	\$13,673,983	12%	\$8,253,277	7%
MTA MNR	\$30,890,551	\$3,444,160	11%	\$381,147	1%
MTA B&T	\$5,151,779	\$59,810	1%	\$445,605	9%
MTA LIRR	\$28,470,589	\$1,954,619	7%	\$2,488,500	9%
MTA HQ	\$6,653,761	\$665,357	10%	\$251,123	4%
MTA CC	\$257,421	\$183,351	71%	\$0	0%
MTA BUS	\$18,329,478	\$751,556	4%	\$0	0%
Total	\$201,695,028	\$20,732,836	10%	\$11,819,652	6%

* 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

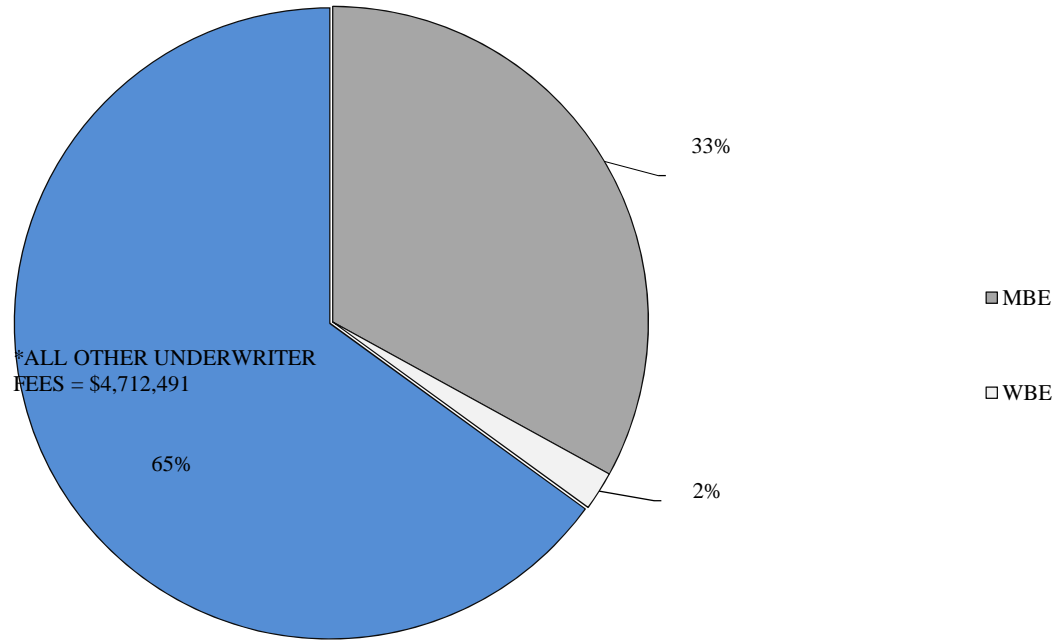
February 22, 2016



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

AGENCY	ALL FEES PAID	MBE FEES PAID	Agency MBE PARTICIPATION	WBE FEES PAID	Agency WBE PARTICIPATION
B &T	\$325,467	\$15,350	4.7%	\$48,585	14.9%
LIRR	\$863,050	\$20,323	2.4%	\$71,200	8.2%
MTABUS	\$2,563,335	\$183,711	7.2%	\$177,241	6.9%
MTACC	\$193,704	\$0	0.0%	\$9,393	4.8%
MTAHQ	\$9,277,173	\$694,875	7.5%	\$43,110	0.5%
MNR	\$2,321,251	\$282,483	12.2%	\$263,437	11.3%
NYCTA	\$6,976,267	\$172,320	2.5%	\$321,715	4.6%
TOTAL	\$22,520,248	\$1,369,061	6.1%	\$934,682	4.2%

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



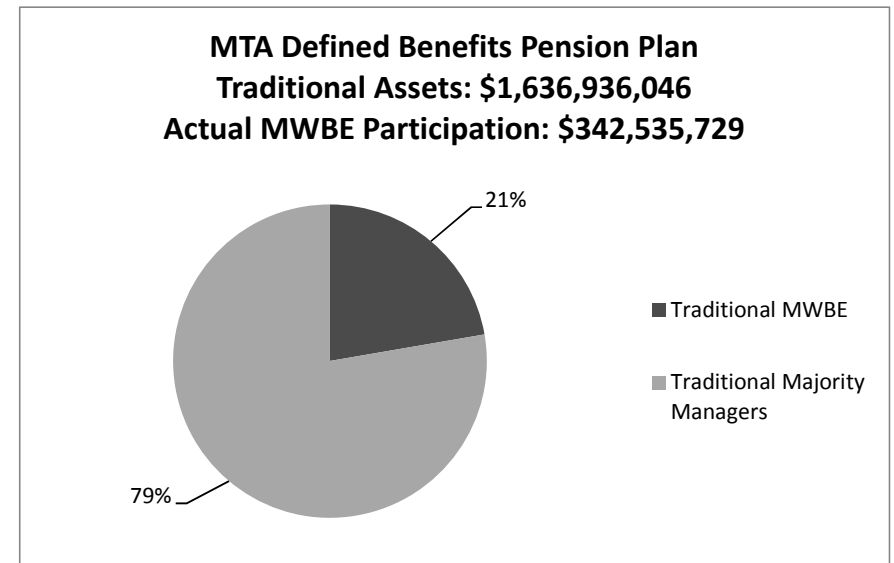
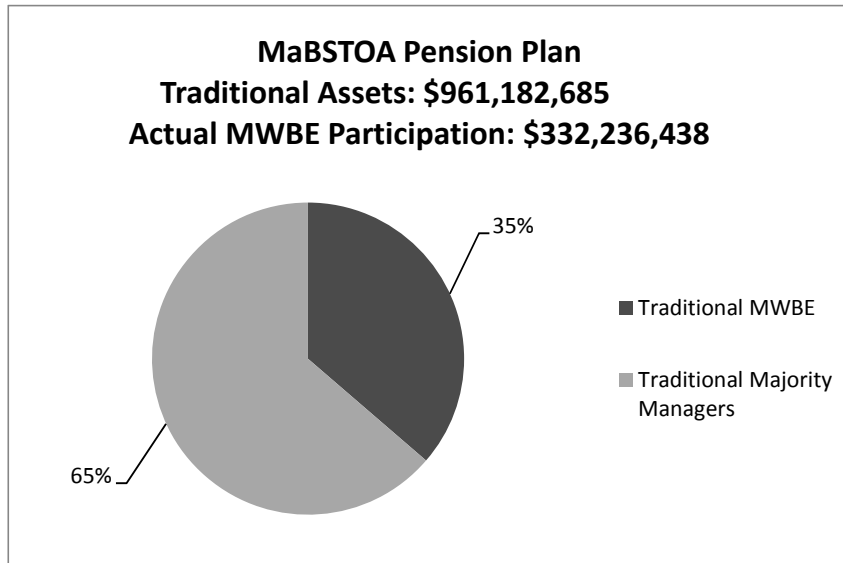
Total Underwriter Fees = \$7,232,183 or 100%
Actual MBE Participation = \$2,356,219 or 33%
Actual WBE Participation = \$163,473 or 2%



MTA ASSET FUND MANAGERS

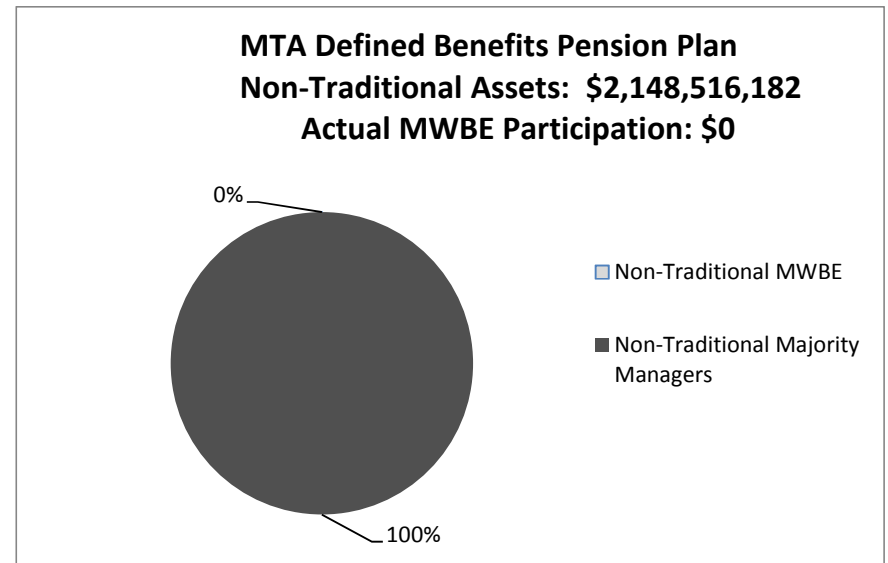
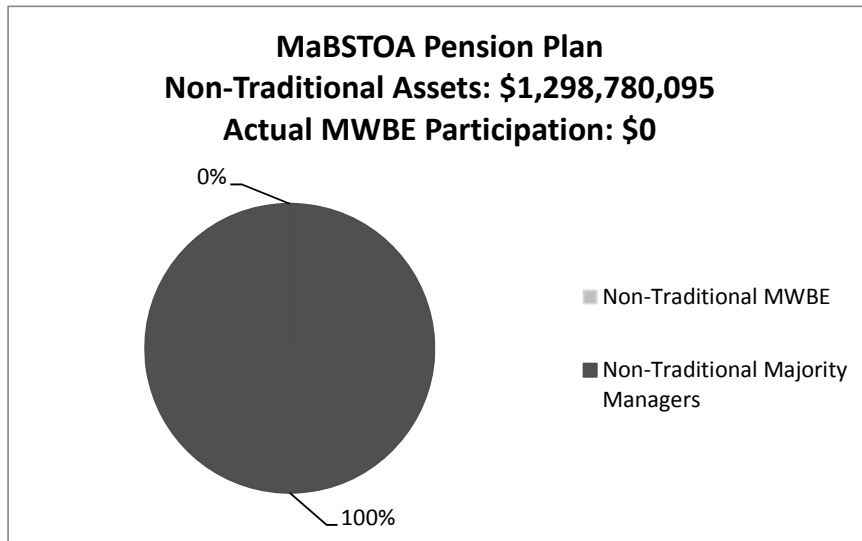
February 22, 2016

TRADITIONAL ASSETS MWBE PARTICIPATION As of 12/31/15



TOTAL TRADITIONAL ASSETS = \$2,598,118,731

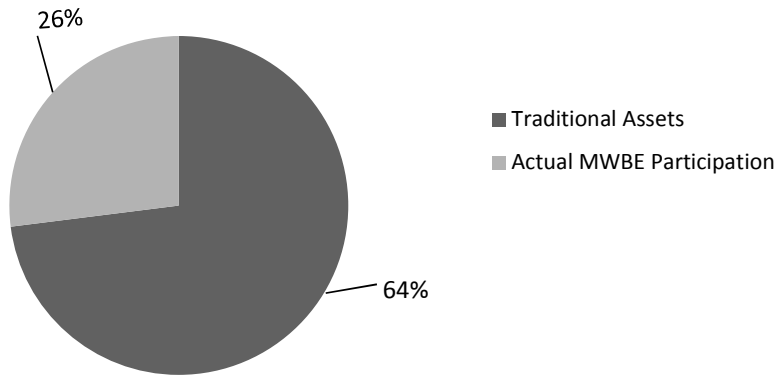
NON-TRADITIONAL ASSETS MWBE PARTICIPATION As of 12/31/15



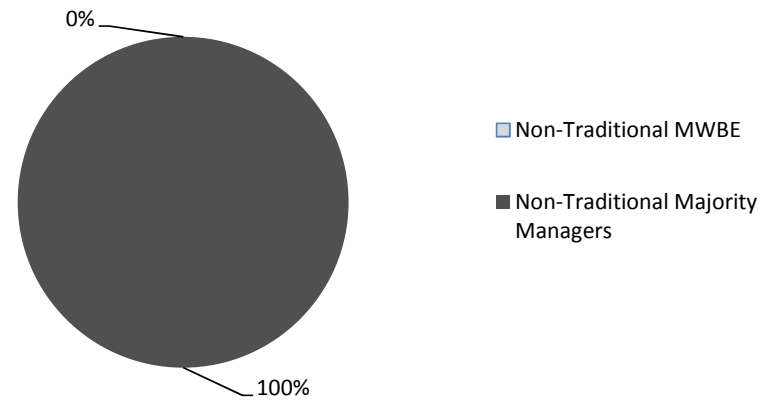
TOTAL NON-TRADITIONAL ASSETS = \$3,447,296,277

SUMMARY OF ALL PENSION ASSETS TRADITIONAL/NON-TRADITIONAL MWBE PARTICIPATION As of 12/31/15

Total Traditional Assets: \$2,598,118,731
Actual MWBE Participation: \$674,772,167



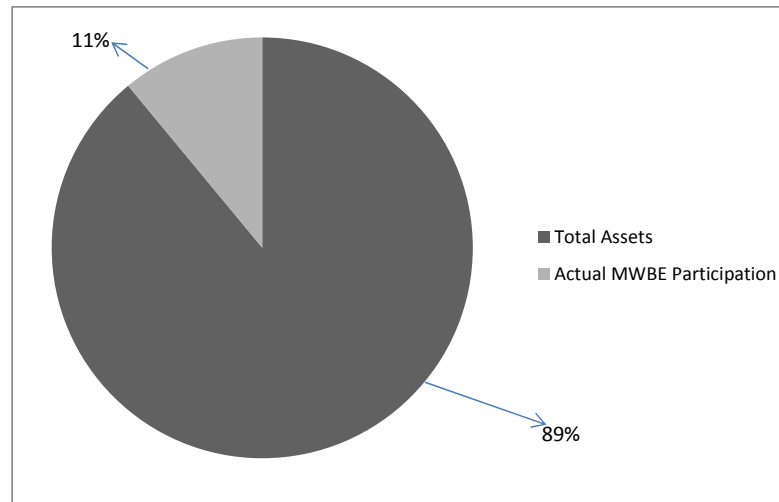
Total Non-Traditional Assets: \$3,447,296,277
Actual MWBE Participation: \$0



Total Assets = \$6,045,415,008

**SUMMARY OF TOTAL ASSETS
MWBE PARTICIPATION**
As of 12/31/15

TOTAL ASSETS = \$6,045,415,008
ACTUAL MWBE PARTICIPATION= \$674,772,167





MTA CAPITAL PROJECTS M/W/DBE AWARDS

February 22, 2016

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

FEDERALLY FUNDED	FIRST QUARTER (JANUARY-MARCH) (in millions)			SECOND QUARTER (APRIL-JUNE) (in millions)			THIRD QUARTER (JULY-SEPTEMBER) (in millions)			FOURTH QUARTER (OCT.-DEC) (in millions)			2015 TOTALS (JANUARY-DECEMBER 2015) (in millions)		
DBE Participation Goal: 17%	Total Awards	Total DBE Awards	DBE Participatio n (%)	Total Awards	Total DBE Awards	DBE Participation (%)	Total Award s	Total DBE Awards	DBE Participation (%)	Total Awards	Total DBE Awards	DBE Participation (%)	Total Awards	Total DBE Awards	DBE Participatio n (%)
Construction	\$ 461	\$ 83	18%	\$ 166	\$ 40	24%	\$ 46	\$ 18	40%	\$ 112	\$ 17	15%	\$ 786	\$ 158	20%
Professional Services	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%
Other															
TOTAL	\$ 461	\$ 83	18%	\$ 166	\$ 40	24%	\$ 46	\$ 18	40%	\$ 112	\$ 17	15%	\$ 786	\$ 158	20%
Additional MWBE Participation:	Total Awards	Total MWBE Awards		Total Awards	Total MWBE Awards		Total Award s	Total MWBE Awards		Total Awards	Total MWBE Awards		Total Awards	Total MWBE Awards	
Construction	\$ 461	\$ 57		\$ 166	\$ 34		\$ 46	\$ 18		\$ 111	\$ 11		\$ 784	\$ 120	
Professional Services	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
Other	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
Total	\$ 461	\$ 57		\$ 166	\$ 34		\$ 46	\$ 18		\$ 111	\$ 11		\$ 784	\$ 120	

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

STATE FUNDED	FIRST QUARTER (JANUARY-MARCH) (in millions)			SECOND QUARTER (APRIL-JUNE) (in millions)			THIRD QUARTER (JULY-SEPTEMBER) (in millions)			FOURTH QUARTER (OCTOBER-DECEMBER) (in millions)			2015 TOTALS (JANUARY-DECEMBER 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 (%)	Total Awards	Total MBE Awards	MBE Participation (%)
Construction	\$ 17	\$ 4	23%	\$ 45	\$ 8	18%	\$ 60	\$ 7	12%	\$ 274	\$ 24	9%	\$ 396	\$ 43	11%
Professional Services	\$ 2	\$ 0.3	13%	\$ 2	\$ 0.3	14%	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ 5	\$ 0.6	13%
Other	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%
MBE Participation on FTA-funded projects							\$ -	\$ -		\$ -	\$ -				
TOTAL	\$ 20	\$ 4	22%	\$ 47	\$ 8	18%	\$ 60	\$ 7	12%	\$ 274	\$ 24	9%	\$ 400	\$ 44	11%
WBE Participation Goal: 15%*	Total Awards	Total WBE Awards	WBE Participation (%)	Total Awards	Total WBE Awards	WBE Participation (%)	Total Awards	Total WBE Awards	WBE Participation (%)	Total Awards	Total WBE Awards	WBE Participation (%)	Total Awards	Total WBE Awards	WBE Participation (%)
Construction	\$ 17	\$ 2	14%	\$ 45	\$ 4	9%	\$ 60	\$ 7	11%	\$ 274	\$ 25	0%	\$ 396	\$ 38	10%
Professional Services	\$ 2	\$ 1	25%	\$ 2	\$ 0.2	10%	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ 5	\$ 1	18%
Other	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%
WBE Participation on FTA-funded projects							\$ -	\$ -		\$ -	\$ -				
TOTAL	\$ 20	\$ 3	15%	\$ 47	\$ 4	9%	\$ 60	\$ 7	11%	\$ 274	\$ 25	9%	\$ 400	\$ 39	10%
Additional DBE Participation:	Total Awards	Total DBE Awards		Total Awards	Total DBE Awards		Total Awards	Total DBE Awards		Total Awards	Total DBE Awards		Total Awards	Total DBE Awards	
Construction	\$ 17	\$ 7		\$ 45	\$ 4		\$ 60	\$ 7		\$ 274	\$ 26		\$ 396	\$ 44	
Professional Services	\$ -	\$ -		\$ 0.5	\$ 0.1		\$ -	\$ -		\$ -	\$ -		\$ 1	\$ 0.1	
Other	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
Additional DBE Participation Total	\$ 17	\$ 7		\$ 46	\$ 4		\$ 60	\$ 7		\$ 274	\$ 26		\$ 397	\$ 44	

*30% MWBE goals effective April 1, 2015. The previous goal was 20%.



MTA EEO POLICY STATEMENTS

February 22, 2016

MTAHQ POLICY

EQUAL EMPLOYMENT OPPORTUNITY

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

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

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

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

MTAHQ POLICY

EQUAL EMPLOYMENT OPPORTUNITY (Continued)

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

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

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

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

Thomas F. Prendergast
Chairman and Chief Executive Officer

MTAHQ POLICY

SEXUAL AND OTHER DISCRIMINATORY HARASSMENT

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

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

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

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

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

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

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

MTAHQ POLICY

SEXUAL AND OTHER DISCRIMINATORY HARASSMENT (Continued)

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

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

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

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

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

MTAHQ POLICY

SEXUAL AND OTHER DISCRIMINATORY HARASSMENT (Continued)

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

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

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

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

Thomas F. Prendergast
Chairman and Chief Executive Officer

MTAHQ POLICY

AMERICANS WITH DISABILITIES ACT

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

To request a reasonable accommodation for a disability relating to your employment or application for employment with the MTA, please contact Jessie Crawford, Director, Human Resources, MTA Human Resources Department, 2 Broadway, 4th Floor New York, NY 10004, at (212) 878-7238.

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

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

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MTAHQ POLICY

AMERICANS WITH DISABILITIES ACT (Continued)

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