



**Metropolitan Transportation Authority**

# **Diversity Committee Meeting**

## **May 2016**

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### **Committee Members**

J. Molloy, Chairman

F. Ferrer, MTA Vice Chairman

S. Metzger

J. Banks III

R. Bickford

# **Diversity Committee Meeting**

2 Broadway  
20th Floor-Board Room  
NY NY 10004

Monday, 5/23/2016  
2:45 - 3:45 PM ET

## **1. PUBLIC COMMENT PERIOD**

## **2. APPROVAL OF MINUTES – FEBRUARY 22, 2016**

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## **3. 2016 DIVERSITY COMMITTEE WORK PLAN**

*2016 Diversity Committee Work Plan - Page 9*

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

*Business and Diversity Initiative - Page 12*

## **5. CERTIFICATION ACTIVITY REPORT**

*Certification Activity Report - Page 15*

## **6. MTA ALL-AGENCY MILITARY RECRUITMENT**

*MTA All-Agency Military Recruitment - Page 18*

## **7. EEO AND TITLE VI COMPLAINTS**

*First Quarter 2016 EEO and Title VI Complaints - Page 26*

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

*Small Business Development Program - Page 34*

## **9. M/W/DBE CONTRACT COMPLIANCE FIRST QUARTER 2016 REPORT**

*MWDBE Contract Compliance First Quarter 2016 - Page 52*

## **10. FINANCIAL AND LEGAL SERVICES**

*Financial and Legal Services - Page 75*

## **11. ASSET FUND MANAGERS**

*Asset Fund Managers - Page 79*

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

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## **MTA DIVERSITY COMMITTEE**

### **Meeting Minutes**

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

New York, NY 10004

Monday, February 22, 2016

2:15 p.m.

The following Committee members were present:

Hon. John Molloy, Chairman

Hon. Susan G. Metzger

The following Committee members were absent:

Hon. Fernando Ferrer

Hon. John Banks III

Hon. Robert Bickford

The following were also present:

Michael Garner, Chief Diversity Officer, MTA

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

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

Zenaida Rodriguez, Assistant Director, 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 Development Program ("SBDP"),  
DDCR

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

Michael Wetherell, Director, Office of Construction Oversight

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

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

Deborah O'Conner, Director, Human Resources, NYC Transit

Jennifer Buchanan, Manager, Human Resources, NYC Transit

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

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

Shibu Jacob, Manager, Diversity Management, LIRR

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

MTA Diversity Committee Meeting Minutes, Monday, February 22, 2016

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David Cannon, Director, Procurement and Risk Management, MTA Capital Construction (“CC”)  
Melissa Jones, Manager, MWBE Compliance Manager, CC  
Paige Graves, Acting General Counsel, MTA Bus Company (“MTA Bus”)  
Alberto Richardson, Operations Analysis Officer, MTA Bus  
Sonia Mercado, Manager, Supply Diversity Manager, MTA BSC  
William Howell, Consultant, MTA SBDP

### **Public Speakers:**

There were no public speakers.

### **Minutes**

Upon a motion duly made and seconded, the Committee unanimously approved the minutes of the meeting held on December 14, 2015.

### **2016 Diversity Committee Work Plan**

There were no changes to the 2016 Committee Work Plan.

### **2016 Departmental Goals Update**

Mr. Garner provided an update to the DDCR goals and the current DDCR initiatives. The goals and initiatives are described on page 12 of the Committee book.

### **Business and Diversity Initiatives**

Ms. Rodriguez provided an update on MTA’s Business and Diversity Initiatives. Ms. Rodriguez stated that DDCR hosted a New Firm Orientation session in January 2016; approximately 70 firms attended in addition to MTA agency procurement staff. Ms. Rodriguez said an overview of SBDP was provided at the orientation. Ms. Rodriguez said that DDCR is in the process of finalizing outreach events for March 2016 to be held in Orange and Nassau Counties. She said additional outreach events are listed in the SBDP presentation in the Committee book.

Mr. Din provided an update on MTA-wide diversity events. He said MTA Headquarters (“MTAHQ”), LIRR, and B&T celebrated Black History Month in February 2016. Mr. Din added that MTAHQ will celebrate the Jewish American Heritage Month in April 2016.

### **Certification Activity Report**

Mr. McCune reported on the 2015 DBE certification activity. He said a total of 94 new applications were received; compared with the previous two years the number of new applications has decreased. Mr. McCune reported that overall 107 applications were handled: 59 firms were certified, 3 were denied certification, 29 were returned, and 16 were withdrawn. He said compared with the previous two years, the number of applications processed has decreased. Chairman Molloy said the number of new applications received has continued to

decrease when compared with the last two years. Mr. McCune replied that in 2014, the Federal Transit Administration created a new certification application which is much more extensive, and requires a lot more documentation.

Ms. Metzger asked if the new application is more difficult. Mr. McCune said it is the same application but it requires more documentation. He added that DDCR has been conducting monthly training sessions on the certification process, including informing potential applicants about the new application. Ms. Metzger asked if other agencies are experiencing a similar drop in the number of new applications. Mr. McCune said the other agencies are also seeing a drop in the number of new applications, and they are also educating potential applicants on how to complete the new application.

Ms. Metzger asked if there is a different application for re-certification. Mr. McCune said for annual certification renewal the certified firms need to complete a different form and submit their tax return. He said it is a shorter process. Ms. Metzger asked if there is still reciprocity with other states. Mr. McCune said that if a DBE firm is certified in another state then the certification process is easier, and quicker. He said the applicant firm would send the certification documentation from the state in which they are already certified.

Mr. McCune also reported on contract awards to certified DBEs. He said for the 2009-2015 period, 442 DBE firms were certified. He said for the same period, 111 DBE firms received 397 federally funded prime or subcontracts. Mr. McCune said MTA awarded in excess of \$741 million. Mr. McCune said in addition there were 133 DBE firms which are also certified as M/WBEs. He said these firms received approximately \$311 million in 574 prime or subcontract awards. Mr. McCune said overall \$1 billion was awarded in prime and subcontracts. Ms. Metzger said this number represents a huge improvement when compared with previous years.

#### **Fourth Quarter 2015 EEO Activities**

Mr. Din reported that as of December 31, 2015, females, Hispanics and Native Hawaiian Other Pacific Islanders were underrepresented in various job categories at MTAHQ and the agencies. Mr. Din stated that a majority of the underrepresentation within these groups occurred in the officials & administrators, administrative support, skilled craft, and service maintenance job categories. Mr. Din explained that the agencies employ the most number of employees in these job categories.

Mr. Din also reported on MTA-wide new hires. He said a total of 6,726 employees were hired, of which 20% are females, and 72% are minorities. Mr. Din said of the total minorities hired, 37% are black and 17% are Hispanic. Mr. Din described the new hires at MTA NYC Transit. He said out of a total of 4,180 employees hired, 890 (21%) are females and 3,359 (80%) are minorities. Mr. Din that the 948 new hires at MTAHQ reflects the Information Technology consolidation. Mr. Din also reported on the number of veterans that were hired by the MTAHQ and the agencies. He said 238 veterans were hired in 2015, which is more than 218 that were hired in 2014. Mr. Din added that MTA has continued its outreach to veterans.

Mr. Molly stated that the new hires show improvement but we need to find a way to increase the representation of women and Hispanics in MTA's workforce. Mr. Garner stated that there

are ongoing internal discussions about formulating strategies for improvement. He said some of the strategies being considered include establishing closer working relationships with ethnic associations, targeting media outlets, and establishing an all-agency recruitment budget. He said in addition, another strategy is establishing a closer working relationship between EEO and HR staff. Mr. Garner stated that DDCR will report back to the Committee about these strategies for improvement.

Mr. Din also reported on MTA-wide EEO and Title VI complaints. He said in 2015, MTA and the agencies handled a total of 528 EEO complaints, citing 955 separate allegations. He said of these complaints, 240 were filed externally at city, state and federal agencies, and 288 were filed internally. Mr. Din explained that of the 240 external complaints, the most frequently cited bases for complaints were disability discrimination (21%), other types of miscellaneous discrimination, and race/color discrimination (18%). Mr. Din said of the 288 internal complaints, the most frequently cited bases for complaints were sexual harassment (18%), other types of miscellaneous discrimination, and race/color discrimination (23%). Mr. Din said that in 2015 MTA and the agencies also handled a total of 169 Title VI complaints, which cited 188 separate allegations. He said of the total Title VI complaints, race discrimination (73%) was most frequently alleged as the basis for the complaint. Mr. Din also provided an update on the EEO and Title VI complaints handled at MTAHQ in 2015. In addition, he provided workforce utilization statistics for MTAHQ, including MTA Police Department (“MTAPD”). Mr. Din said movement above the rank of police officer occurs through internal promotion. Mr. Garner said DDCR is working with MTA Human Resources to ensure that there is a diverse pool of applicants for the position of police officer in MTAPD.

### **SBDP Update**

Mr. Cleary provided an update on MTA’s SBDP. He said as of December 31, 2015, there were 135 prequalified firms in Tier 1, 38 in Tier 2, and 35 in the Small Business Federal Program (“SBFP”), totaling 208 firms. He said 29 firms were prequalified for the period September 2015 through February 2016, and 43 firms are pending prequalification. Mr. Cleary provided a breakdown of pre-qualified firms by ethnicity. He also reported that from the inception of the program and through 2015, 219 awards have been made, totaling \$197 million. Mr. Cleary also provided a breakdown by gender and ethnicity of firms that have received contract awards.

Mr. Cleary reported that under the loan program, a total of 69 loans were approved by Carver Bank totaling over \$9 million. Chairman Molloy asked if the MTA makes any recommendation whether a particular loan should be made. Mr. Garner said the MTA refers the firm to the bank but it does not push the bank to make the loan. Mr. Garner said that the MTA is helping the bank mitigate risk through two-party checks until the loan is paid off. Chairman Molloy asked about the success rate of the firms that have received loans. He said there was a default on one loan due to death of the firm’s owner. Ms. Metzger asked if in the case of loan default the bank was made whole. Mr. Garner said no but New York State has a program where the state pays off the loan of a certified firm in case of default. Ms. Metzger asked if in this case the state paid off the loan of the firm that had defaulted. Mr. Garner said that it did.

Mr. Cleary reported the MTA has secured surety bonding assistance through the team of Willis/Ace/Centaur. Mr. Cleary also reported that since inception the SBDP has contributed to

the creation of over 4,700 jobs within MTA's 14-county service region. He said the program has also provided small businesses with over 1,000 bidding opportunities.

He said 278 firms have participated in the classroom training program since inception. He said the fall 2015 average class attendance was 50 firms, and next training class will begin in March 2016. Mr. Cleary also highlighted the upcoming outreach events.

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 said next steps in the program include contractor recruitment, and Requests for Proposal ("RFPs") for construction management and business development services, and for the loan program.

### **M/W/DBE Contract Compliance Fourth Quarter 2015 Report**

Ms. Harleston reported on federal and state funded contract award and payment activities. She said for the period October to December 2015, MTA awarded approximately \$142 million in federally funded contracts with approximately \$17 million (12%) being awarded to certified DBEs. Ms. Harleston said MTA has an overall 17% DBE participation goal. She said for the same period MTA paid over \$455 million to prime contractors, with payments to certified DBEs totaling over \$64 million (14%).

Ms. Harleston also reported that for the period April to September 2015, MTA awarded approximately \$2 billion in state funded contracts, with \$177 million (10%) being awarded to certified MWBEs. She said for the same period MTA paid approximately \$998 million on prime contracts with approximately \$237 million (24%), being paid to MWBEs. She said MTA has an overall 30% MWBE participation goal.

Regarding discretionary procurement awards, Ms. Harleston reported that from April through December 2015, over \$200 million was awarded. MWBE participation was 10%, and participation of Small Business Concerns was 6%. Ms. Metzger said MTA has some ground to cover in achieving its goals. She asked if MTA will achieve its MWDBE goals this year. Mr. Garner said the report covers only part of the fiscal year and he is confident that MTA will achieve its MWDBE goals. He said MTA's SBFP is driving DBE participation. Mr. Garner noted that MTA has to work towards creating a diverse pool of firms for its discretionary awards.

### **Financial and Legal Services**

Regarding the underwriter fees, Mr. Garner said MWBE participation was 35%. Mr. Garner said a RFP will be issued in order to create a diverse pool of underwriters.

Mr. Garner reported that for payments made for outside legal services, MWBE participation was 10%. He said MWBE participation in this area is improving based on the number of legal assignments that the MTA agencies are awarding. Mr. Garner said for the first time since 2004 an RFP has been issued in order to establish a new and diverse pool of outside counsel firms.

### **Asset Fund Managers**

Mr. Garner reported on MWBE participation in the area of asset fund management. He said MWBE participation in total assets was 11%, with 26% participation in traditional assets and none in nontraditional assets. Mr. Garner said he is exploring ways to improve MWBE participation with Robert Foran, MTA Chief Financial Officer, by creating at the MTA a program similar to New York City and state comptrollers' Emerging Managers Program. Ms. Metzger asked if the firms that are qualified for the state and city programs will also be able to work for the MTA. Mr. Garner said we need to see if the opportunities at the MTA are similar to those at the city and state level, and if this program is a good fit for the MTA.

### **M/W/DBE Capital projects**

Ms. Harleston reported on MWDBE participation on MTA's capital projects. She said in 2015, MTA achieved 20% participation on federally funded projects, exceeding its overall 17% DBE goal. Ms. Harleston stated that for state funded projects in 2015, MWBE participation was 21% (11% MBE and 10% WBE participation), which is below MTA's overall 30% MWBE goal.

### **MTA EEO Policy Statements**

Mr. Din presented MTA's updated EEO, Sexual and Other Discriminatory Harassment, and Americans with Disability Act Policies. He said these policies are updated annually, and the updated policies will be displayed in prominent locations throughout MTA facilities.

### **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

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

#### Responsibility

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

### **II. SPECIFIC AGENDA ITEMS**

#### Responsibility

#### February 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

3 <sup>rd</sup> 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**

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

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

## **September 2016**

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

The Department of Diversity and Civil Rights will present 2<sup>nd</sup> quarter 2016 update on MTA Agency-wide EEO and M/W/DBE contract compliance activities.

## Recruitment Strategies

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

## **December 2016**

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

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

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

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

### Diversity Committee Charter Review

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

### 2017 Diversity Committee Work Plan

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

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

**May 23, 2016**

## MTA Business & Diversity Initiatives Unit

April 2016

Monthly DBE Certification Session

DDCR presents New Firm Orientation Session

Annual Regional Alliance for Small Contractor's Clearinghouse

Annual Women's Conference of Executives-Women Build America Conference

SDVOB Small Business Development Program-Special Informational Session

Learn How to do Business with Long Island Railroad – Farmingdale State College

NYC Housing Authority Trade Show

2016 MWBE Spring Conference – SUNY/Old Westbury College

Taiwanese Chamber of Commerce – Small Business Mentoring Program

MTA Fix and Fortify Sandy Recovery Work Forum

## MTA Business & Diversity Initiatives Unit

### May 2016

Monthly DBE Certification Session

Annual Blue Book Network Showcase

Women's Builders Council 12<sup>th</sup> Annual Champion Awards Dinner

NYCT New Fare Payment System MWBE Networking Event

NJ Capital Region Minority Chamber of Commerce 2<sup>nd</sup> Annual Diversity Summit

8<sup>th</sup> Annual GCA One-on-One Networking MWBE Conference

10<sup>th</sup> Annual Citywide MWBE Procurement Conference

### June 2016

Monthly DBE Certification Session

MTA 2016 Agency-Wide Conference on Contract Opportunities

14<sup>th</sup> Annual Small Business and Procurement Expo – La Guardia Business Services

Asian Women in Business Procurement Conference

Brooklyn Chamber of Commerce Procurement Fair



Metropolitan Transportation Authority

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

**May 23, 2016**

**CERTIFICATION APPLICATIONS RECEIVED  
FIRST QUARTER 2014 - 2016**

	2016	2015	2014
JANUARY	5	4	14
FEBRUARY	11	6	4
MARCH	7	8	6
TOTAL	23	18	24



# CERTIFICATION ACTIVITY FOR NEW APPLICATIONS

## FIRST QUARTER 2014-2016

	2016	2015	2014
<b>CERTIFIED</b>	<b>17</b>	<b>11</b>	<b>15</b>
<b>DENIED</b>	<b>2</b>	<b>1</b>	<b>1</b>
<b>RETURNED</b>	<b>8</b>	<b>3</b>	<b>4</b>
<b>WITHDRAWN</b>	<b>2</b>	<b>5</b>	<b>3</b>
<b>TOTAL</b>	<b>29</b>	<b>20</b>	<b>23</b>

# **MTA All-Agency Military Recruitment**



# MTA-Wide Military Hires

Agency	2014	2015	1 <sup>st</sup> Quarter 2016
<b>Total</b>	<b>218</b>	<b>259</b>	<b>36</b>
NYC Transit	147	161	13
MTA Bus	7	14	0
MNR	25	30	9
LIRR	24	41	12
B&T	10	5	1
HQ	4	8	1
CC	1	0	0



# Diversity of Military Hires

Ethnicity	2014	2015	1 <sup>st</sup> Quarter 2016
<b>Total</b>	<b>218</b>	<b>259</b>	<b>36</b>
American Indian/Alaskan Native	0	1	0
Asian	11	15	0
Black/African American	94	109	6
Hispanic	60	58	11
Other	2	8	0
White	51	68	19

Gender	2014	2015	1 <sup>st</sup> Quarter 2016
<b>Total</b>	<b>218</b>	<b>259</b>	<b>36</b>
Male	192	235	32
Female	26	24	4



# MTA All-Agency Military Recruitment

- Attended 11 veteran job fairs and military events (1<sup>st</sup> Qtr. 2016) and 65 in 2015
- Provide employment and examination information to:
  - 11,000 Veteran Outreach partners and military members via LinkedIn
  - More than 220 Veteran Outreach partners in government (Department of Labor, Veterans Administration) and non-profit programs (Wounded Warrior Project, Operation GoodJobs, Marine for Life, Soldier for Life)
- Send weekly employment bulletins via email to 1,400 service members



# MTA All-Agency Military Training Seminars

Sponsored 7 seminars in 2015 and 3 in 2016 for Human Resources staff, Veteran Outreach partners, and military members:

- Uniformed Services Employment & Reemployment Rights Act (USERRA) Training Workshop
- Military Community and MTA Partnership Seminar
- How to Read a Military Resume
- Best Practices on Sourcing and Selecting Wounded Warriors Workshop
- Post Traumatic Stress Disorder (PTSD)/Traumatic Brain Injury (TBI) Seminar
- Civil Service and The Examination Process
- Military Managers: Roadmap to Senior Leadership
- VA Employment Website Rollout Presentation



# Military Statistics

The US Census' American Community Survey (ACS) indicated for 2014:

- 868,800 Veterans live in New York State\*
- 6.2% of the NYS population 18 years and older are Veterans\*\*
- 52.4% of NYS Veterans are over 65\*
- 72.3% of NYS Veterans who are of working age are in the labor force.

According to the NYS Department of Labor

- 57% of NYS veterans live in upstate NY.\*\*\*

\*US Census. Veteran Status. 2010-2014 American Community Survey -

<http://factfinder.census.gov/faces/tableservices/jsf/pages/productview.xhtml?src=CF>

\*\* Department of Defense. 2013 Profile of the Military Community. <http://download.militaryonesource.mil/12038/MOS/Reports/2013-Demographics-Report.pdf>

\*\*\*Employment in New York State. Edition November 2014 Newsletter.



# Military Demographics\*

## Gender

- 14.9% Female
- 85.1% Male

## Ethnicity

- 69.3% White
- 17.0% Black/African American
- 11.6% Hispanic
- 4.3% Other
- 3.8% Asian
- 1.4% American Indian/Alaska Native
- 1.0% Native Hawaiian or other Pacific Islander

\* US Department of Defense 2013 Profile of the Military Community





# MTA All-Agency Military Recruitment Team

These MTA employees played an integral part of the Military Recruitment program:

- Aleyda Meyers, Director, All-Agency Veteran Recruitment & Staffing Initiatives
- NYC Transit – Deborah O’Conner and Jennifer Buchanan
- MNR – Cynthia Deng
- LIRR – Willie Jenkins
- Buses – Yesenia DeLeon
- B&T – Latrice Cole
- HQ – Arisleyda Diplan and Hamza Lakhaney



**MTA DEPARTMENT OF DIVERSITY/  
CIVIL RIGHTS  
EEO AND TITLE VI COMPLAINTS  
FIRST QUARTER 2016**

**MAY 23, 2016**

# EEO/TITLE VI COMPLAINTS

- Between January 2016 and March 2016, MTA and its Agencies handled a total of 367 EEO complaints, citing 607 separate allegations.\*
- Of the 367 complaints, 151 were filed externally at city, state and federal agencies and 216 were filed internally.
- Of the 151 external complaints, the most frequently cited bases for complaints were: 1) disability discrimination (25%); 2) types of miscellaneous discrimination (23%); and 3) race/color discrimination (17%).
- Of the 216 internal complaints, the most frequently cited bases for complaints were: 1) ) race/color discrimination (21%); 2) other types of miscellaneous discrimination (21%); and 3) Sexual Harassment (18%).
- Between January 2016 and March 2016, MTA and its Agencies handled a total of 124 Title VI complaints, citing 132 separate allegations. Of these 124 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 MARCH 31, 2016<sup>1</sup>

EEO DISCRIMINATION COMPLAINTS EXTERNAL											
AGENCY	RACE COLOR	SEXUAL HARASS.	AGE	GENDER	RELIGION	NATIONAL ORIGIN	DISABILITY	OTHER <sup>2</sup>	TOTAL ISSUES <sup>3</sup>	TOTAL CASES	STATUS OPEN
MTA	1	0	1	2	0	1	3	3	11	7	6
B&T	3	0	1	0	1	1	2	3	11	6	6
MNR	6	0	4	3	0	4	6	6	29	16	9
LIRR	3	0	0	0	0	0	3	0	6	6	6
NYCT	25	8	13	19	5	15	39	39	163	111	98
CC	0	0	0	0	0	0	0	0	0	0	0
BUS	1	0	0	1	0	0	3	1	6	5	5
<b>TOTAL</b>	39	8	19	25	6	21	56	52	<b>226</b>	<b>151</b>	<b>130</b>
	17%	4%	8%	11%	3%	9%	25%	23%			

EEO DISCRIMINATION COMPLAINTS INTERNAL											
AGENCY	RACE COLOR	SEXUAL HARASS.	AGE	GENDER	RELIGION	NATIONAL ORIGIN	DISABILITY	OTHER <sup>2</sup>	TOTAL ISSUES <sup>3</sup>	TOTAL CASES	STATUS OPEN
MTA	2	2	0	1	0	3	1	5	14	8	3
B&T	2	0	0	15	1	1	1	3	23	20	18
MNR	4	6	1	9	0	2	2	8	32	22	12
LIRR	2	2	1	1	0	0	0	3	9	7	4
NYCT	69	58	8	33	16	43	10	61	298	155	146
CC	0	0	0	0	0	0	0	0	0	0	0
BUS	2	0	2	0	1	0	0	0	5	4	1
<b>TOTAL</b>	81	68	12	59	18	49	14	80	<b>381</b>	<b>216</b>	<b>184</b>
	21%	18%	3%	15%	5%	13%	4%	21%			

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

# MTA-WIDE TITLE VI COMPLAINTS

AS OF MARCH 31, 2016<sup>1</sup>

AGENCY	RACE	COLOR	NATIONAL ORIGIN	INCOME	TOTAL <sup>2</sup> ISSUES	TOTAL CASES	STATUS OPEN
MTA HQ	0	0	0	0	0	0	0
MTA MNR	6	2	1	0	9	6	4
MTA LIRR	5	0	0	0	5	5	1
MTA NYCT	78	7	24	0	109	104	87
MTA CC	0	0	0	0	0	0	0
MTA B&T	0	0	0	0	0	0	0
MTA BUS	7	0	2	0	9	9	2
<b>TOTAL</b>	96	9	27	0	132	124	94
	<b>73%</b>	<b>7%</b>	<b>20%</b>	<b>0%</b>			

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

# MTA-WIDE EEO COMPLAINTS

DISPOSITION - MARCH 31, 2016

## EEO DISCRIMINATION EXTERNAL COMPLAINTS

MTA AGENCY	REASONABLE CAUSE	NO REASONABLE CAUSE	ADMINISTRATIVE CLOSURE	WITHDRAWN	DISMISSAL	RESOLVED/ SETTLEMENT	TOTAL CASES
MTAHQ	0	0	0	0	1	0	1
B&T	0	0	0	0	0	0	0
MNR	0	0	0	2	5	0	7
LIRR	0	0	0	0	0	0	0
NYCT	0	13	0	0	0	0	13
CC	0	0	0	0	0	0	0
MTA BUS	0	0	0	0	0	0	0
TOTAL							21

## EEO DISCRIMINATION INTERNAL COMPLAINTS

MTA AGENCY	REASONABLE CAUSE	NO REASONABLE CAUSE	ADMINISTRATIVE CLOSURE	WITHDRAWN	DISMISSAL	RESOLVED/ SETTLEMENT	TOTAL CASES
MTAHQ	3	1	1	0	0	0	5
B&T	1	1	0	0	0	0	2
MNR	1	6	2	0	0	1	10
LIRR	0	3	0	0	0	0	3
NYCT	5	3	1	0	0	0	9
CC	0	0	0	0	0	0	0
MTA BUS	0	3	0	0	0	0	3
TOTAL							32

# MTA-WIDE TITLE VI COMPLAINTS

DISPOSITION - MARCH 31, 2016

MTA AGENCY	REASONABLE CAUSE	NO REASONABLE CAUSE	ADMINISTRATIVE CLOSURE	WITHDRAWN	DISMISSAL	RESOLVED/ SETTLEMENT	TOTAL CASES
MTAHQ	0	0	0	0	0	0	0
B&T	0	0	0	0	0	0	0
MNR	0	1	1	0	0	0	2
LIRR	0	4	0	0	0	0	4
NYCT	0	15	2	0	0	0	17
CC	0	0	0	0	0	0	0
MTA BUS	0	7	0	0	0	0	7
TOTAL							30

## 2016 FIRST QUARTER EEO REPORT

AGENCY NAME: **MTAHQ**

### EEO AND TITLE VI COMPLAINTS

JANUARY 1, 2016 - MARCH 31, 2016

Category	Race	Disability	Gender	National Origin	Age	Sexual Harassment	Religion	Other <sup>2</sup>	Total Issues <sup>3</sup>	Total Cases	Status (# Open)
EEO TOTAL	3	4	3	4	1	2	0	8	25	15	9
External Complaints	1	3	2	1	1	0	0	3	11	7	6
Internal Complaints	2	1	1	3	0	2	0	5	14	8	3

5 Closed

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

1. This chart includes all pending matters as of the date of the report; including matters filed prior to the reporting period.

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

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



**2016 FIRST QUARTER EEO REPORT**AGENCY NAME: **MTAHQ****EEO AND TITLE VI COMPLAINTS RESOLUTIONS****JANUARY 1, 2016 - MARCH 31, 2016**

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

**TITLE VI DISCRIMINATION COMPLAINT RESOLUTIONS****JANUARY 1, 2016 to MARCH 31, 2016**

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

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

**May 23, 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.



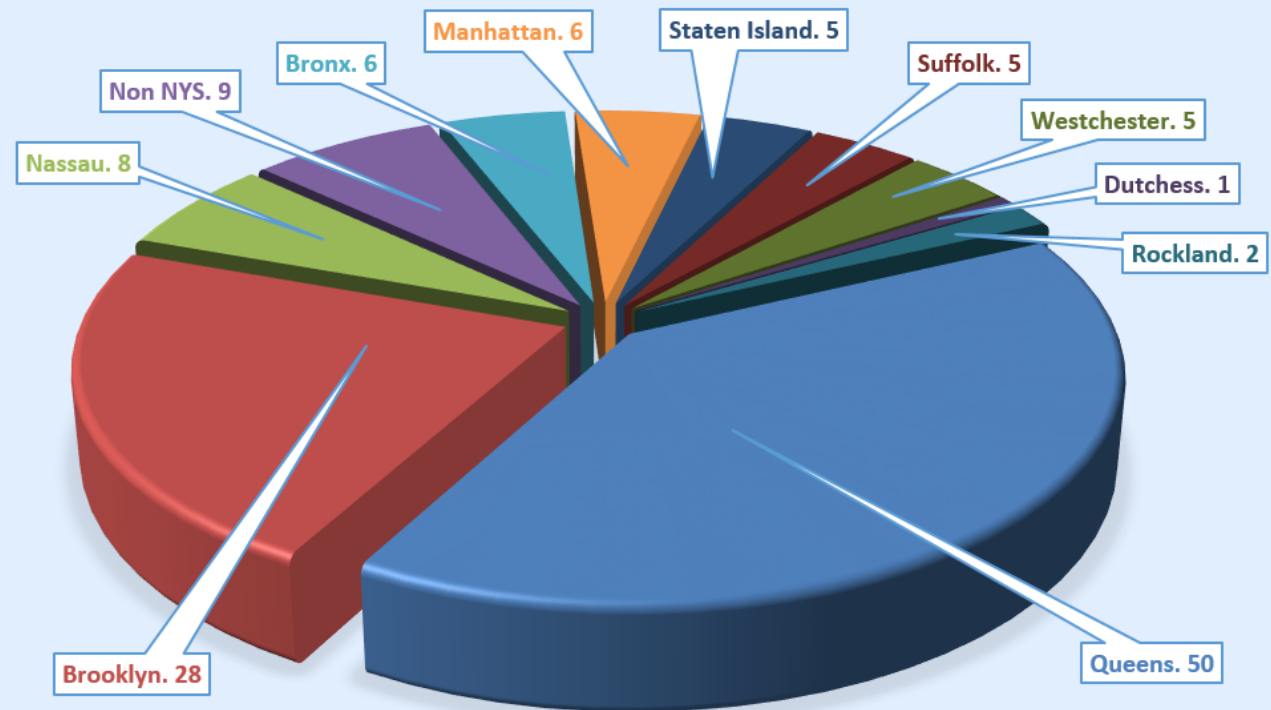
# SMALL BUSINESS DEVELOPMENT PROGRAM

## AS OF 4/30/2016

Certification *	
MBE	72
WBE	12
DBE	15
Non-Certified	43
* firms may have multiple certifications	

Counties	
Queens	50
Brooklyn	28
Non NYS	9
Nassau	8
Bronx	6
Manhattan	6
Staten Island	5
Suffolk	5
Westchester	5
Rockland	2
Dutchess	1

### 125 PREQUALIFIED FIRMS

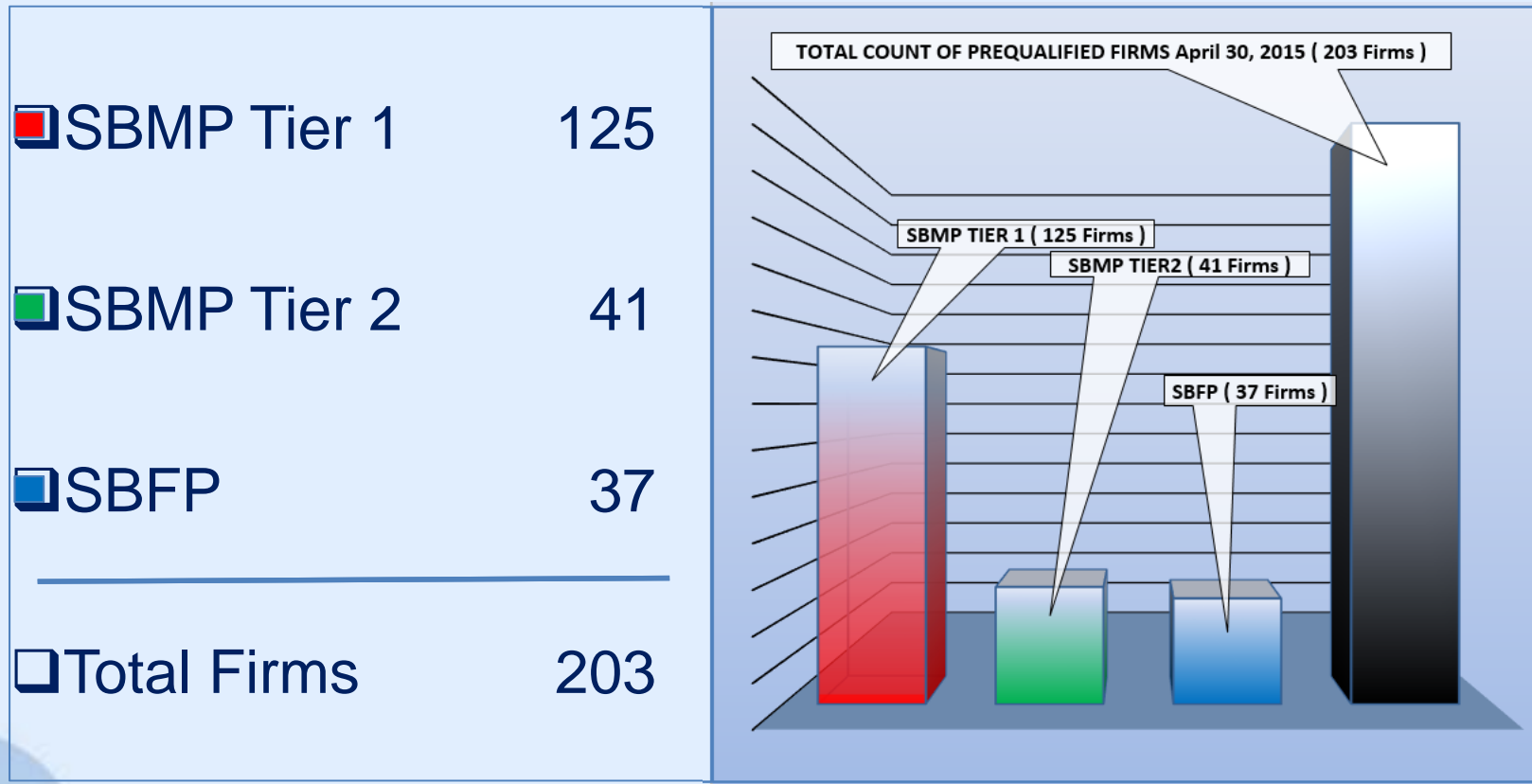


Small Business Mentoring Program Tier 1

# SMALL BUSINESS DEVELOPMENT PROGRAM

As of 4/30/2016

## TOTAL NUMBER OF PREQUALIFIED FIRMS



# SMALL BUSINESS DEVELOPMENT PROGRAM

## Firms Prequalified 9/1/2015 through 4/30/2016 by Ethnicity

A total of 35 Firms Prequalified

☐ SBMP Tier 1      26 firms

- ☒ 7 Asian Indian
- ☒ 6 Non-Minority
- ☒ 4 Black
- ☒ 2 Hispanic
- ☒ 2 Asian Pacific
- ☐ 5 did not specify

☐ SBMP Tier 2      6 firms

- ☒ 1 Asian Indian
- ☒ 1 Asian Pacific
- ☒ 2 Non-Minority
- ☐ 2 did not specify

☐ SBFP      3 firms

- ☒ 1 Non-Minority
- ☒ 1 Hispanic
- ☐ 1 did not specify

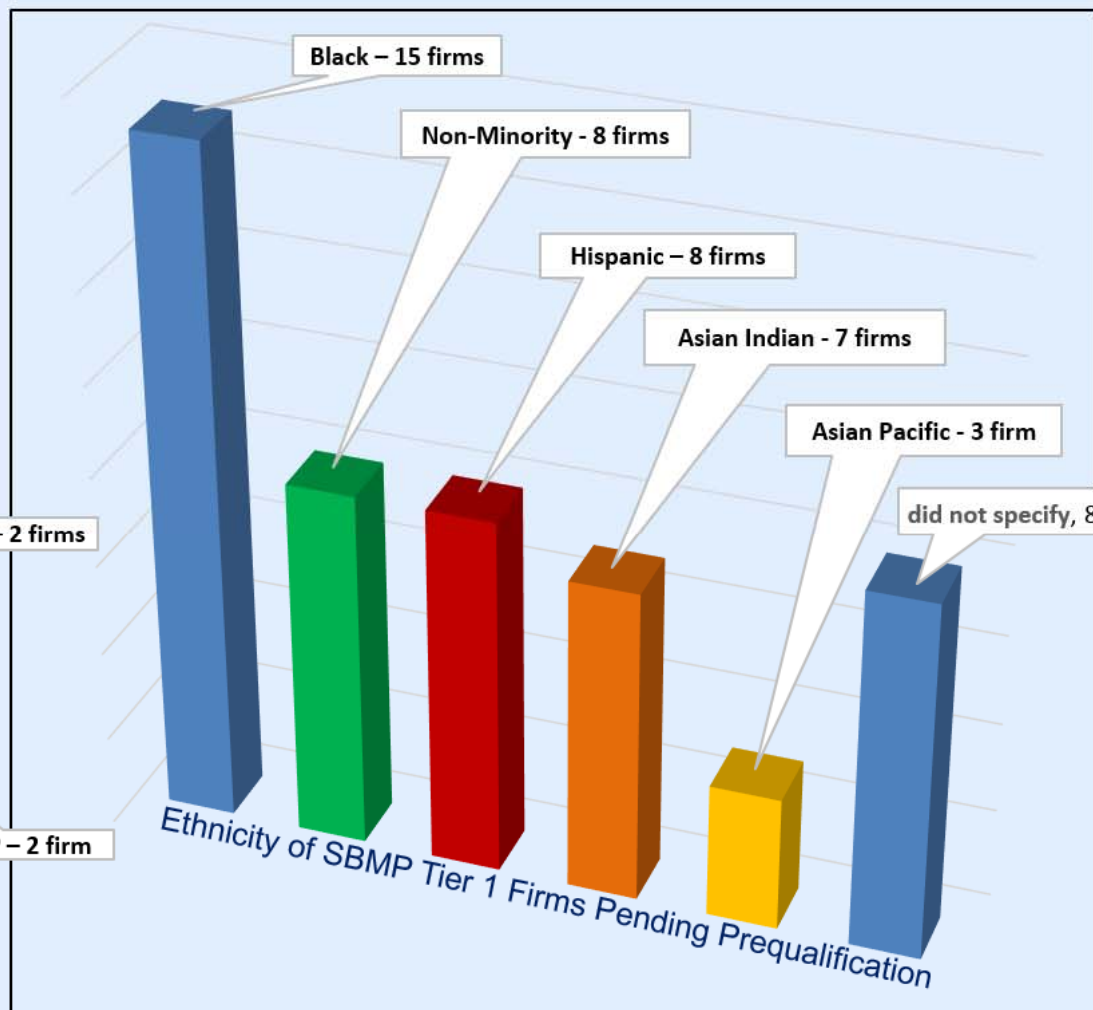
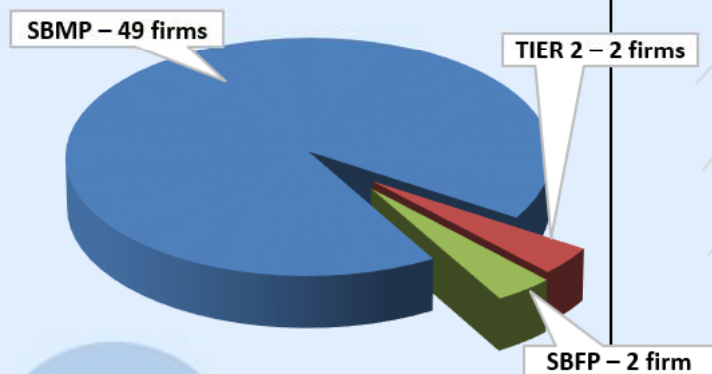


# SMALL BUSINESS DEVELOPMENT PROGRAM

## Ethnicity of Firms Pending Prequalification at 04/30/2016

### Firms Pending Prequalification

SBMP Tier 1	49 firms
SBMP Tier 2	2 firms
SBFP	2 firm
<b>TOTALS</b>	<b>53 firms</b>

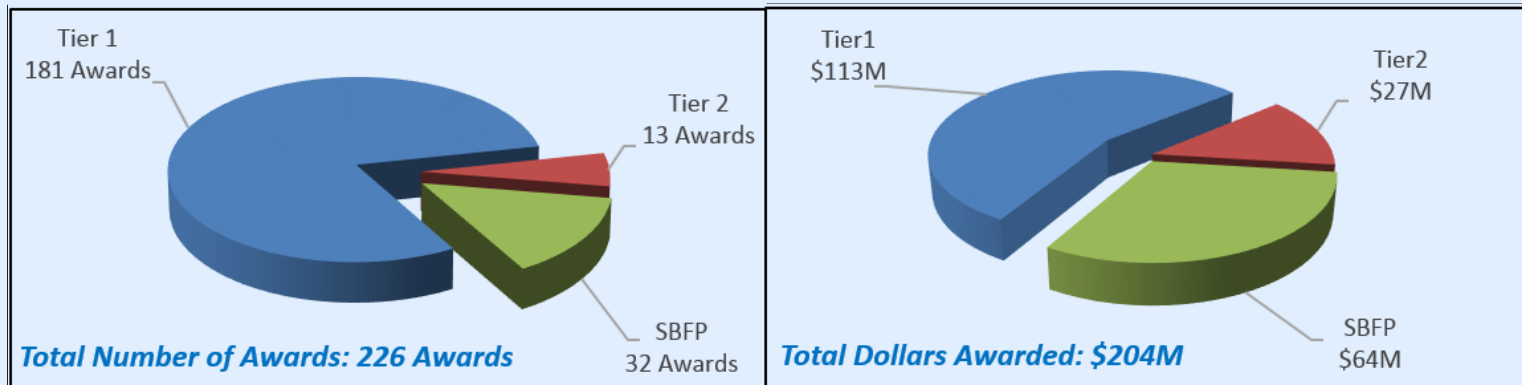


# SMALL BUSINESS DEVELOPMENT PROGRAM

As of 04/30/2016

## TOTAL CONTRACTS AWARDED & TOTAL \$

 SBMP Tier 1	181 awards	\$113M
 SBMP Tier 2	13 awards	\$ 27M
 SBFP	32 awards	\$ 64M
 Totals	226 awards	\$204M

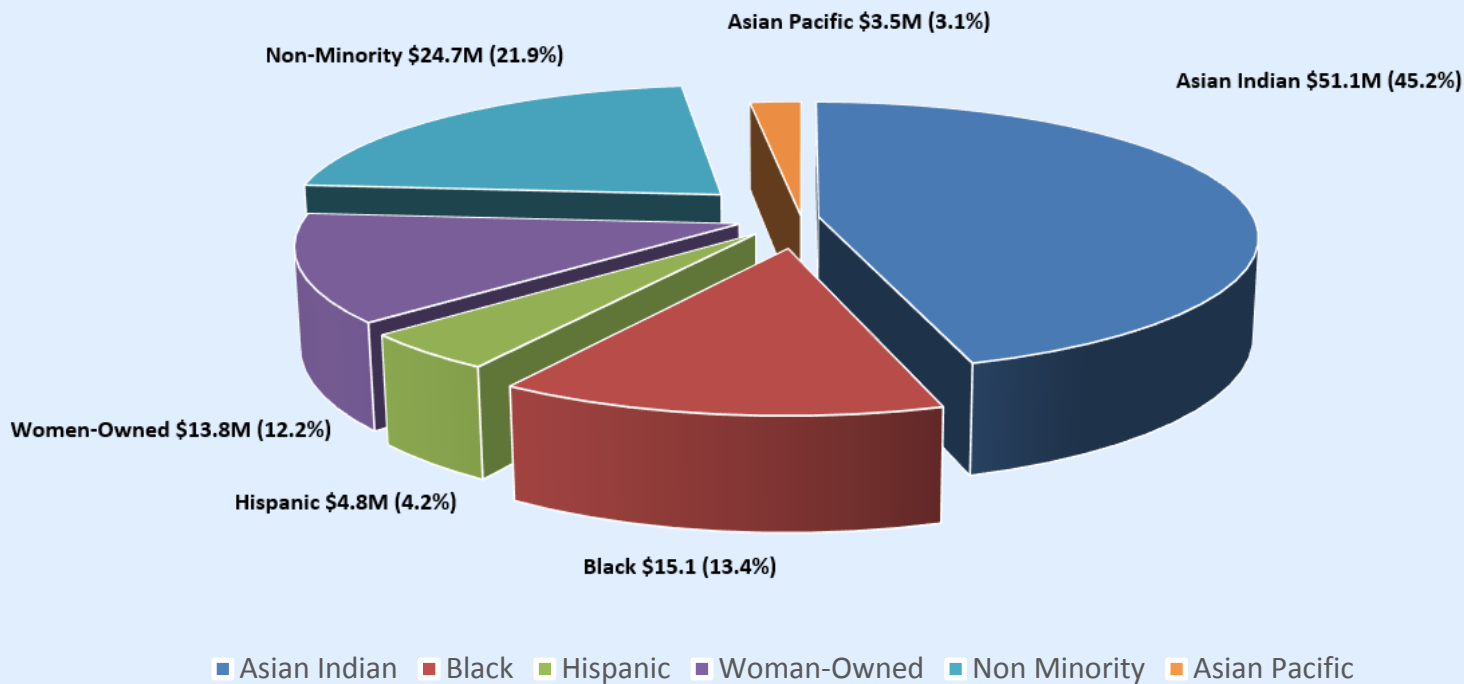




# SMALL BUSINESS DEVELOPMENT PROGRAM

## As of 04/30/2016

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



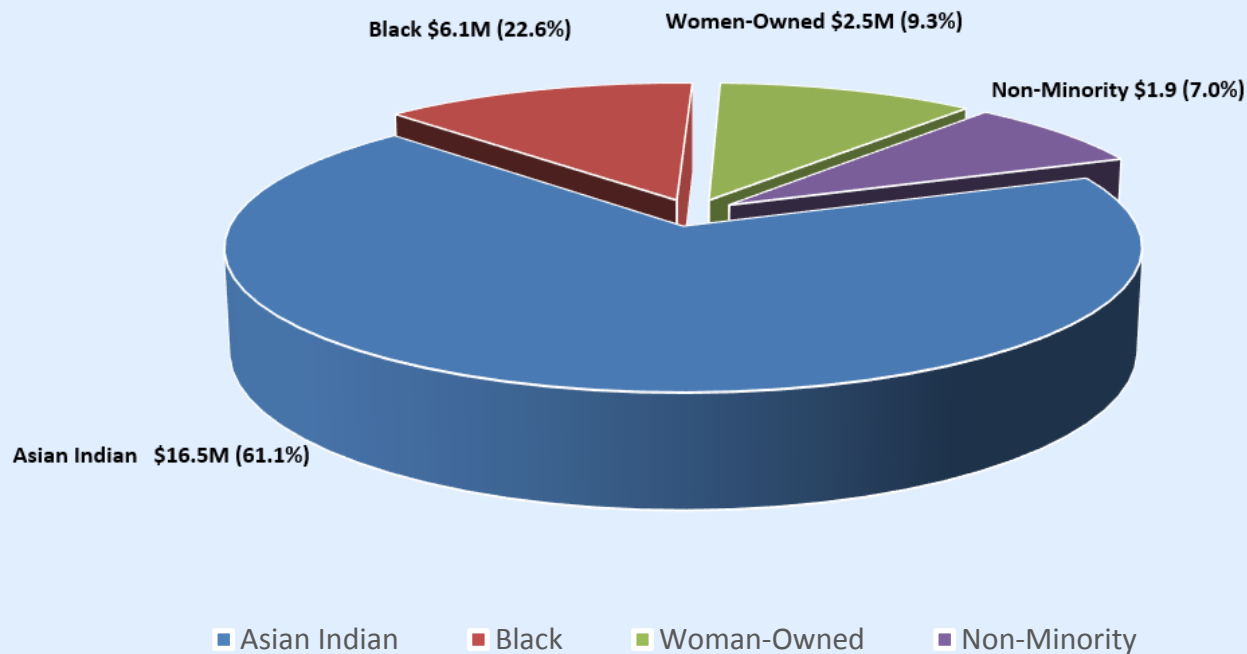
Legend	
Ethnicity	Awards
Asian Indian	\$51.1M
Non-Minority	\$24.7M
Black	\$15.1M
Women-Owned	\$13.8M
Hispanic	\$ 4.8M
Asian Pacific	\$ 3.5M
<b>Total SBMP Awards \$113.0M</b>	



# SMALL BUSINESS DEVELOPMENT PROGRAM

## AS OF 04/30/2016

### Contract Awards in SBMP-Tier 2 by Ethnicity



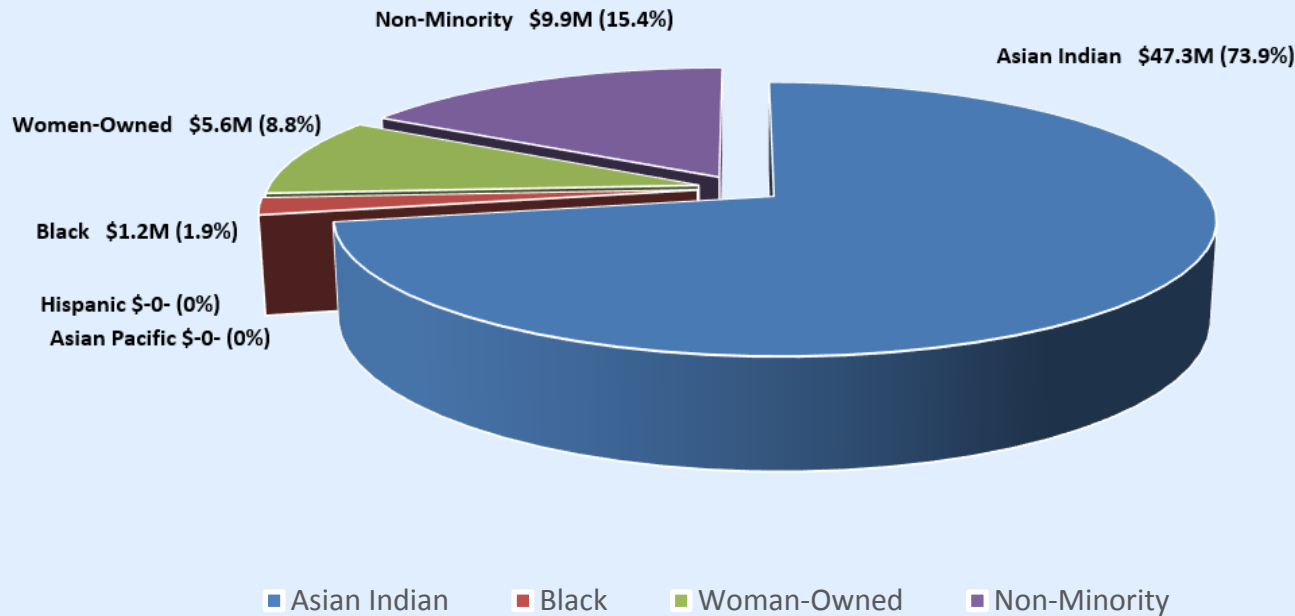
-----	Legend	-----
Ethnicity		Awards
Asian Indian		\$16.5M
Black		\$ 6.1M
Women-Owned		\$ 2.5M
Non-Minority		\$ 1.9M
Hispanic		\$ -0-M
Asian Pacific		\$ -0-M
<b>Total TIER 2 Awards</b>		<b>\$27.0M</b>



# SMALL BUSINESS DEVELOPMENT PROGRAM

## AS OF 04/30/2016

### 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



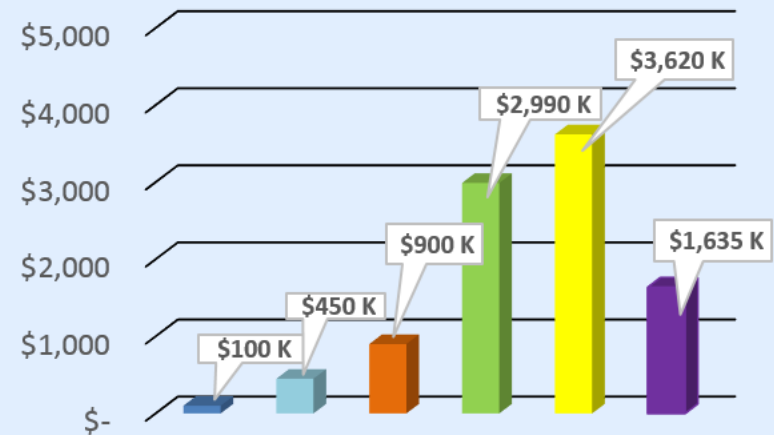
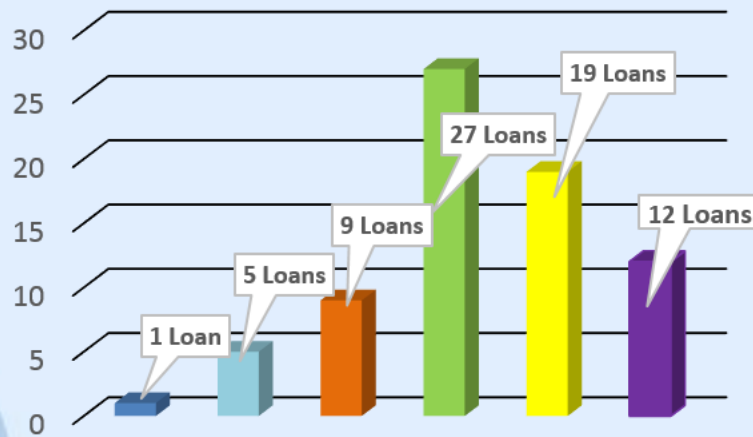
# SMALL BUSINESS DEVELOPMENT PROGRAM

## As of 04/30/2016

### 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	-	12 Loans	totaling	\$1,635,000
□ Total		<b>73 Loans</b>	<b>Totals</b>	<b>\$9,695,000</b>

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



# SMALL BUSINESS DEVELOPMENT PROGRAM

AS OF 04/30/2016

## Emerging Contractors Pilot Program

- ❑ The Emerging Contractors Pilot Program is being offered for the purpose of increasing the participation of Blacks, Hispanic, and Asian Pacific ethnic groups who have been previously denied prequalification to the SBDP
- ❑ The program is a one year pilot program specifically addressing contractors who have applied for SBMP Tier 1 but for financial reasons, they have not met prequalification requirements.
- ❑ By signing a participation agreement, they will go through an intense remedial program to help them learn how to be a better contractor and correct their deficiencies.
- ❑ If they fulfill the requirements of the Emerging Contractors' Pilot Program, the firms will continue to participate within Tier 1.



# SMALL BUSINESS DEVELOPMENT PROGRAM

AS OF 04/30/2016

## Emerging Contractors Pilot Program

### ❑ The Elements of the Program

- **Participation Agreement** - ECs will sign an agreement to participate in all aspects of the program
- **Assessments** - ECs will be assessed & provided action items to improve administratively, financially, etc.
- **Financial Training/Planning** - towards understanding financial statements its importance for growth
- **Legal Assistance** - for developmental legal training on the Terms and Conditions of Awarded Contracts
- **Orientation** - a seminar to provide clarity to ECs on how the SBMP works and to emphasize expectations
- **Networking Session** - with construction accountants, back office support, and legal training
- **Training** - ECs are to complete all 13 training classes.
- **Referrals to outside work** - ECs will be introduced to opportunities outside the SBMP.
- **Bidding Opportunities** - Firms are eligible to bid on contracts up to \$100K
- **Access to Capital** - Firms are eligible to apply for 30% loans on contracts under \$100K



## MTA Small Business Development Program - Emerging Contractors' (EC) Pilot Program

### LIST OF POTENTIAL CANDIDATES (Note: Candidates may have changed over time)

#### Candidates:

1.	Adam Bazan DBA Adam Contracting NY LLC	M / Non-Minority
2.	Alvion Group Inc.	M / Non-Minority
3.	Ardent Construction and Development, Inc	F / Non-Minority
4.	Arora Construction Inc	M / Subcontinent Asian
5.	Blackstone Contracting Group, Inc.	M / Hispanic American
6.	Bottom Line Construction & Development LLC	F / Black American
7.	Brandy's Multi Services, Inc	M / Black American
8.	C. L. Electric Corp	M / Hispanic American
9.	Centerspan LLC	F / Non-Minority
10.	De Thomas & Son Concrete Corp	M / Black American
11.	Duprey, The Home Improver, Inc.	M / Hispanic American
12.	Evay Development Associates, LLC	F / Black American
13.	Henry Construction Inc.	M / Black American
14.	Indy Electric Corp.	M / Subcontinent Asian
15.	Iron Lady Enterprises	F / Black American
16.	JB Buzco Plumbing LLC	F / Non-Minority
17.	K-Pak Consulting, Inc	M / Subcontinent Asian
18.	LI Craftsmanship Inc	M / Non-Minority
19.	Nynex Construction Inc	F / Non-Minority
20.	Rocco Mechanical, Inc.	M / Hispanic American
21.	Romero Electric LLC	M / Hispanic American
22.	Ruben's Group, Inc.	M / Hispanic American
23.	S. I. Construction	M / Non-Minority
24.	Taylormade Contracting, LLC	F / Black American
25.	Thermo Tech Mechanical	M / Subcontinent Asian
26.	Wizard Electrical Construction LLC	M / Black American
27.	Yourchoice Mechanical Inc.	F / Black American
28.	522 Capital Partners, LLC	F / Black American
29.	NYC Design Group	M / Hispanic American
30.	Pilku Construction Services, Inc.	M / Subcontinent Asian
31.	Urban Installations and Services LLC	M / Black American

Ethnicity as defined by FTA DBE Regulation 26.5

# SMALL BUSINESS DEVELOPMENT PROGRAM

AS OF 04/30/2016

## SBDP Performance Results

- ❑ Contributed approximately 4,896\* jobs to the 14 county service region
- ❑ Opportunity for Small Businesses
  - Program Years 1 through 6 provided 226 bid solicitations, and more than 1,109 bidding opportunities
- ❑ Classroom Training Program
  - Since inception, 318 firms participated in the training program
  - The Spring 2016 average class attendance was 40 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 04/30/2016

## TRAINING CLASSES AND SEMINARS

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

(Fall Classes start September 3, 2016)



# SBDP Projections

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

### Small Business Mentoring Program # of Projects

<span style="color: red;">■</span> Tier 1	\$195M	280
<span style="color: green;">■</span> Tier 2	\$153M	75

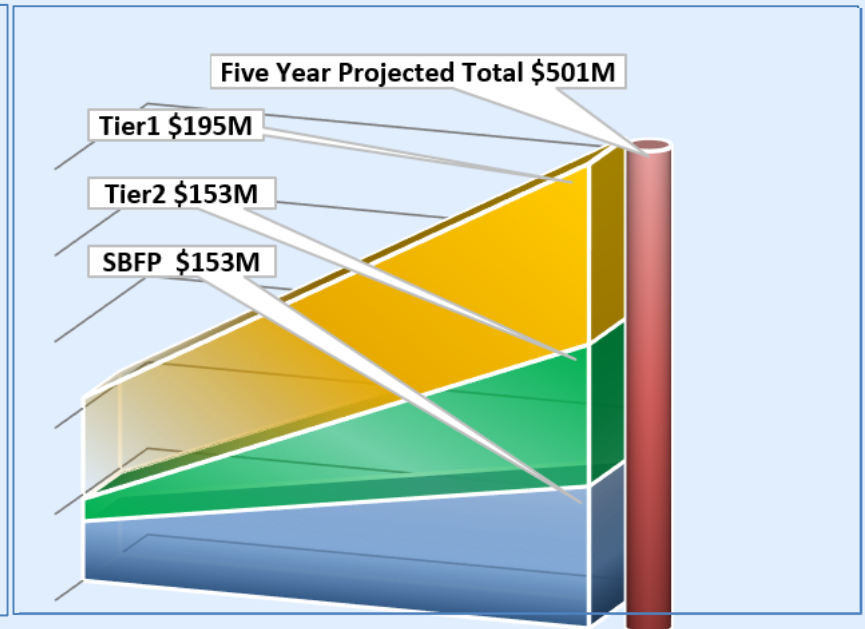
### Small Business Federal Program

<span style="color: blue;">■</span> SBFP	\$153M	75
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### Totals\*\*

<input type="checkbox"/> All Programs	<b>\$501M</b>	<b>430</b>
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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

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# **M/W/DBE CONTRACT COMPLIANCE First Quarter 2016**

**May 23, 2016**

**DBE Participation in Federally Funded Contracts  
Federal Fiscal Year 2016\*  
(October 1, 2015 to March 31, 2016)**

- 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 set an overall DBE goal of 17%.
- From October 2015 through March 2016, MTA awarded \$487 million in the federally funded portion of contracts and awarded approximately \$51 million (10%) to certified DBEs.
- From October 2015 through March 2016, MTA paid prime contractors \$848 million, with payments to certified DBEs totaling \$150 million (18%).

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

**FEDERALLY-FUNDED CONTRACTS  
DBE CONTRACT ACTIVITY  
FEDERAL FISCAL YEAR 2016 (OCTOBER 2015-MARCH 2016)**

**AWARDS\***

<b>CONTRACT AWARDS</b>	<b>PRIME AWARDS</b>		<b>DBE PARTICIPATION</b>			<b>OVERALL FTA GOAL</b>
	<b>Number of Contracts</b>	<b>Award Amount</b>	<b>Number of DBE Contracts</b>	<b>DBE Award Amount</b>	<b>% To Agency Total</b>	
<b>1st SEMI-ANNUAL REPORT October 2015 - March 2016</b>	829	\$487,068,619	71	\$51,046,452	10%	17%
<b>TOTAL</b>	<b>829**</b>	<b>\$487,068,619</b>	<b>71</b>	<b>\$51,046,452</b>	<b>10%</b>	<b>17%</b>

**PAYMENTS\***

<b>CONTRACT PAYMENTS</b>	<b>PAYMENTS TO PRIMES</b>		<b>DBE PARTICIPATION</b>			<b>OVERALL FTA GOAL</b>
	<b>Number of Contracts</b>	<b>Payment Amount</b>	<b>Number of DBE Subcontracts</b>	<b>DBE Payment Amount</b>	<b>% To Agency Total</b>	
<b>1st SEMI-ANNUAL REPORT October 2015 - March 2016</b>	220	\$847,998,318	643	\$150,197,638	18%	17%
<b>TOTAL</b>	<b>220</b>	<b>\$847,998,318</b>	<b>643</b>	<b>\$150,197,638</b>	<b>18%</b>	<b>17%</b>

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

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

**DBE CONTRACT AWARDS**  
**FEDERAL FISCAL YEAR 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%
<b>Total 2010</b>	<b>\$625,310,557</b>	<b>\$74,420,257</b>	<b>12%</b>

**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%
<b>Total 2011</b>	<b>\$957,751,980</b>	<b>\$104,063,471</b>	<b>11%</b>

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

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

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

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

**DBE CONTRACT AWARDS**  
**FEDERAL FISCAL YEAR 2014**  
**October 2013 - September 2014**

	Total Awards	Total DBE Awards	DBE%
October 2013 - March 2014	\$719,672,946	\$127,906,389	18%
April 2014 - September 2014	\$341,239,068	\$60,714,280	18%
<b>Total 2014</b>	<b>\$1,060,912,014</b>	<b>\$188,620,669</b>	<b>18%</b>

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

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

**DBE CONTRACT AWARDS**  
**FEDERAL FISCAL YEAR 2016**  
**October 2015 - March 2016**

	Total Awards	Total DBE Awards	DBE%
October 2015 - March 2016	\$487,068,619	\$51,046,452	10%
<b>Total 2016</b>	<b>\$487,068,619</b>	<b>\$51,046,452</b>	<b>10%</b>



**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%
<b>Total 2010</b>	<b>\$5,396,902,618</b>	<b>\$665,927,031</b>	<b>12%</b>

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

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

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

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

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

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

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

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

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

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

**DBE CONTRACT PAYMENTS**  
**FEDERAL FISCAL YEAR 2016**  
**October 2015 - March 2016**

	Total Prime Payments	Total DBE Payments	DBE%
October 2015 - March 2016	\$847,998,318	\$150,197,638	18%
<b>Total 2016</b>	<b>\$847,998,318</b>	<b>\$150,197,638</b>	<b>18%</b>

**MWBE Participation in State Funded Contracts  
New York State Fiscal Year 2015-2016\*  
(April 1, 2015 to March 31, 2016)**

- 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 2016-2017, starting on April 1, 2016.
- For State fiscal year 2015-2016, MTA awarded \$2.3 billion NY State funded contracts, with \$224 million (10%) awarded to certified MWBEs.
- From April 1, 2015 to March 31, 2016, MTA paid \$1.4 billion on prime contracts with over \$316 million (23%), paid to MWBEs.

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

**NYS CONTRACTS  
MWBE CONTRACT ACTIVITY  
APRIL 1, 2015-MARCH 31, 2016  
AWARDS**

CONTRACT AWARDS	PRIME AWARDS		MWBE AWARDS			NYS Goal
	Number of Contracts	Award Amount	Number of MWBE Subcontracts	MWBE Award Amount	MWBE %	
<b>FIRST QUARTER</b>	21,605	\$400,643,381	964	\$35,727,645	9%	30%
<b>APRIL 2015-JUNE 2015</b>						
<b>SECOND QUARTER</b>	21,570	\$561,211,268	807	\$37,847,909	7%	30%
<b>JULY 2015-SEPTEMBER 2015</b>						
<b>THIRD QUARTER</b>	18,707	\$876,396,147	1,000	\$103,527,326	12%	30%
<b>OCTOBER 2015-DECEMBER 2015</b>						
<b>FOURTH QUARTER</b>	20,338	\$476,866,597	1,096	\$46,922,346	10%	30%
<b>JANUARY 2016-MARCH 2016</b>						
<b>TOTAL</b>	<b>82,220</b>	<b>\$2,315,117,393</b>	<b>3,867</b>	<b>\$224,025,226</b>	<b>10%</b>	<b>30%</b>

**PAYMENTS**

CONTRACT PAYMENTS	PAYMENTS TO PRIMES		MWBE PARTICIPATION			NYS Goal
	Number of Contracts	Payment Amount	Number MWBE Contracts	MWBE Payment Amount	MWBE %	
<b>FIRST QUARTER</b>	1,994	\$243,229,034	2,672	\$68,472,792	28%	30%
<b>APRIL 2015-JUNE 2015</b>						
<b>SECOND QUARTER</b>	2,010	\$361,618,195	2,869	\$74,707,703	21%	30%
<b>JULY 2015-SEPTEMBER 2015</b>						
<b>THIRD QUARTER</b>	2,254	\$392,765,131	2,921	\$93,815,498	24%	30%
<b>OCTOBER 2015-DECEMBER 2015</b>						
<b>FOURTH QUARTER</b>						
<b>JANUARY 2016-MARCH 2016</b>	1,919	\$358,749,464	2,823	\$79,082,987	22%	30%
<b>TOTAL</b>	<b>8,177</b>	<b>\$1,356,361,825</b>	<b>11,285</b>	<b>\$316,078,980</b>	<b>23%</b>	<b>30%</b>

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%
<b>TOTALS</b>		<b>\$4,529,218,768.69</b>	<b>\$66,273,866.74</b>	<b>1%</b>	<b>\$35,346,483.89</b>	<b>1%</b>	<b>\$101,620,350.63</b>	<b>2%</b>

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%
<b>TOTALS</b>		<b>\$4,072,303,369.12</b>	<b>\$105,937,482.46</b>	<b>3%</b>	<b>\$69,712,491.33</b>	<b>2%</b>	<b>\$175,649,973.79</b>	<b>4%</b>

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%
<b>TOTALS</b>		<b>\$1,838,607,358.03</b>	<b>\$102,205,183.69</b>	<b>6%</b>	<b>\$65,526,344.19</b>	<b>4%</b>	<b>\$167,731,527.88</b>	<b>9%</b>

FY 2012 - 2013 MWBE AWARDS

April 2012 - March 2013

	AGENCY	AGENCY PRIME AWARDS	MBE AWARDS	MBE%	WBE AWARDS	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	MTA	\$127,257,439.59	\$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%
<b>TOTALS</b>		<b>\$718,173,079.06</b>	<b>\$113,797,124.78</b>	<b>16%</b>	<b>\$91,081,505.99</b>	<b>13%</b>	<b>\$204,878,630.77</b>	<b>29%</b>

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%
<b>TOTALS</b>		<b>\$4,529,218,768.69</b>	<b>\$66,273,866.74</b>	<b>1%</b>	<b>\$35,346,483.89</b>	<b>1%</b>	<b>\$101,620,350.63</b>	<b>2%</b>

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%
<b>TOTALS</b>		<b>\$4,072,303,369.12</b>	<b>\$105,937,482.46</b>	<b>3%</b>	<b>\$69,712,491.33</b>	<b>2%</b>	<b>\$175,649,973.79</b>	<b>4%</b>

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%
<b>TOTALS</b>		<b>\$1,838,607,358.03</b>	<b>\$102,205,183.69</b>	<b>6%</b>	<b>\$65,526,344.19</b>	<b>4%</b>	<b>\$167,731,527.88</b>	<b>9%</b>

FY 2012 - 2013 MWBE AWARDS

April 2012 - March 2013

	AGENCY	AGENCY PRIME AWARDS	MBE AWARDS	MBE%	WBE AWARDS	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	MTA	\$127,257,439.59	\$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%
<b>TOTALS</b>		<b>\$718,173,079.06</b>	<b>\$113,797,124.78</b>	<b>16%</b>	<b>\$91,081,505.99</b>	<b>13%</b>	<b>\$204,878,630.77</b>	<b>29%</b>

FY 2013 - 2014 MWBE AWARDS

April 2013 - March 2014

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

FY 2014 - 2015 MWBE AWARDS

April 2014 - March 2015

	AGENCY	AGENCY PRIME AWARDS	MBE AWARDS	MBE%	WBE AWARDS	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	MTA	\$540,465,794	\$42,186,077	8%	\$41,727,151	8%	\$83,913,228	16%
QTR. 2	MTA	\$366,609,489	\$13,779,236	4%	\$12,727,379	3%	\$26,506,614	7%
QTR. 3	MTA	\$1,188,024,656	\$74,709,014	6%	\$103,109,644	9%	\$177,818,657	15%
QTR. 4	MTA	\$373,136,150	\$13,402,655	4%	\$21,204,580	6%	\$34,607,235	9%
<b>TOTALS</b>		<b>\$2,468,236,090</b>	<b>\$144,076,982</b>	<b>6%</b>	<b>\$178,768,752</b>	<b>7%</b>	<b>\$322,845,734</b>	<b>13%</b>

FY 2015 - 2016 MWBE AWARDS

April 2015 - March 2016

	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%
QTR. 4	MTA	\$476,866,597	\$24,693,809	5%	\$22,228,537	5%	\$46,922,346	10%
<b>TOTALS</b>		<b>\$2,315,117,394</b>	<b>\$118,407,500</b>	<b>5%</b>	<b>\$105,617,726</b>	<b>5%</b>	<b>\$224,025,226</b>	<b>10%</b>

### 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%
<b>TOTALS</b>		<b>\$1,677,896,895.41</b>	<b>\$58,546,682.27</b>	<b>3%</b>	<b>\$49,720,978.12</b>	<b>3%</b>	<b>\$108,267,660.39</b>	<b>6%</b>

### 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%
<b>TOTALS</b>		<b>\$1,841,597,459.45</b>	<b>\$69,245,738.78</b>	<b>4%</b>	<b>\$45,737,956.59</b>	<b>2%</b>	<b>\$114,983,695.37</b>	<b>6%</b>

### 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%
<b>TOTALS</b>		<b>\$1,073,881,412.13</b>	<b>\$83,783,162.65</b>	<b>8%</b>	<b>\$74,799,625.55</b>	<b>7%</b>	<b>\$158,582,788.20</b>	<b>15%</b>

### 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%
<b>TOTALS</b>		<b>\$1,209,787,948.63</b>	<b>\$135,857,915.15</b>	<b>11%</b>	<b>\$125,352,870.23</b>	<b>10%</b>	<b>\$261,210,785.37</b>	<b>22%</b>



# FY 2013 - 2014 MWBE PAYMENTS

April 2013 - March 2014

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

# FY 2014 - 2015 MWBE PAYMENTS

April 2014 - March 2015

		AGENCY EXPENDITURE	MBE Utilization	MBE%	WBE Utilization	WBE %	Total M/WBE	Total M/WBE %
QTR. 1		\$297,168,938	\$38,442,457	13%	\$32,369,365	11%	\$70,811,822	24%
QTR. 2		\$325,324,903	\$44,176,954	14%	\$27,605,651	8%	\$71,782,605	22%
QTR. 3		\$254,448,102	\$29,988,877	12%	\$25,878,825	10%	\$55,867,702	22%
QTR. 4		\$239,897,515	\$34,663,200	14%	\$26,505,088	11%	\$61,144,932	25%
<b>TOTALS</b>		<b>\$1,116,839,457.53</b>	<b>\$147,271,487</b>	<b>13%</b>	<b>\$112,358,930</b>	<b>10%</b>	<b>\$259,607,061</b>	<b>23%</b>

# FY 2015 - 2016 MWBE PAYMENTS

April 2015 - March 2016

		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%
QTR. 4		\$358,749,464	\$39,833,994	11%	\$39,248,993	11%	\$79,082,987	22%
<b>TOTALS</b>		<b>\$1,356,361,824.79</b>	<b>\$163,602,002</b>	<b>12%</b>	<b>\$152,476,978</b>	<b>11%</b>	<b>\$316,078,980</b>	<b>23%</b>

FY 2013 - 2014 MWBE PAYMENTS

April 2013 - March 2014

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

FY 2014 - 2015 MWBE PAYMENTS

April 2014 - March 2015

		AGENCY EXPENDITURE	MBE Utilization	MBE%	WBE Utilization	WBE %	Total M/WBE	Total M/WBE %
QTR. 1		\$297,168,938	\$38,442,457	13%	\$32,369,365	11%	\$70,811,822	24%
QTR. 2		\$325,324,903	\$44,176,954	14%	\$27,605,651	8%	\$71,782,605	22%
QTR. 3		\$254,448,102	\$29,988,877	12%	\$25,878,825	10%	\$55,867,702	22%
QTR. 4		\$239,897,515	\$34,663,200	14%	\$26,505,088	11%	\$61,144,932	25%
<b>TOTALS</b>		<b>\$1,116,839,457.53</b>	<b>\$147,271,487</b>	<b>13%</b>	<b>\$112,358,930</b>	<b>10%</b>	<b>\$259,607,061</b>	<b>23%</b>

FY 2015 - 2016 MWBE PAYMENTS

April 2015 - March 2016

		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%
QTR. 4		\$358,749,464	\$39,833,994	11%	\$39,248,993	11%	\$79,082,987	22%
<b>TOTALS</b>		<b>\$1,356,361,824.79</b>	<b>\$163,602,002</b>	<b>12%</b>	<b>\$152,476,978</b>	<b>11%</b>	<b>\$316,078,980</b>	<b>23%</b>

**MTA ALL AGENCY  
TOTAL PROCUREMENTS  
APRIL 2015 - MARCH 2016**

<b>Agency</b>	<b>Total Award Amount</b>	<b>Total MWBE Awards</b>	<b>MWBE</b>
<b>MTA NYCTA</b>	\$1,621,933,233	\$49,063,880	3%
<b>MTA MNR</b>	\$164,678,522	\$11,008,104	7%
<b>MTA B&amp;T</b>	\$49,866,460	\$3,644,424	7%
<b>MTA LIRR</b>	\$133,803,902	\$6,912,244	5%
<b>MTA HQ</b>	\$299,456,877	\$188,384,332	63%
<b>MTA CC</b>	\$374,232	\$263,308	70%
<b>MTA BUS</b>	\$28,824,227	\$1,997,268	7%
<b>Total</b>	<b>\$2,298,937,453</b>	<b>\$261,273,560</b>	<b>11%</b>

**MTA ALL AGENCY  
DISCRETIONARY PROCUREMENT REPORT\***  
**APRIL 2015 - MARCH 2016**

Agency	Total Awards \$200k or Less	MWBE Discretionary Awards	Discretionary MWBE	SBC Discretionary	Discretionary SBC
MTA NYCTA	\$149,195,484	\$20,371,400	14%	\$11,243,043	8%
MTA MNR	\$40,852,382	\$3,994,902	10%	\$622,991	2%
MTA B&T	\$6,793,073	\$59,810	1%	\$502,005	7%
MTA LIRR	\$36,031,317	\$2,422,842	7%	\$2,816,399	8%
MTA HQ	\$9,955,861	\$1,306,299	13%	\$450,410	5%
MTA CC	\$374,232	\$242,879	65%	\$0	0%
MTA BUS	\$19,794,876	\$997,690	5%	\$0	0%
<b>Total</b>	<b>\$262,997,225</b>	<b>\$29,395,822</b>	<b>11%</b>	<b>\$15,634,848</b>	<b>6%</b>

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

**Note:** Pursuant to New York State legislation the maximum award amount for discretionary Procurements has been raised from \$200,000 to \$400,000.

**January 2016-March 2016**  
**Discretionary A&E**

<b>Agency</b>	<b>Number of Awards</b>	<b>Total Dollar Amount</b>
Bridges & Tunnels	2	\$ 278,971.00

# Metropolitan Transportation Authority Department of Diversity and Civil Rights

Status of Inactive Contracts  
August 2014 – April 2016



**MTA Headquarters**  
**DDCR Update**  
*Inactive Contracts - Status as of April 30, 2016*

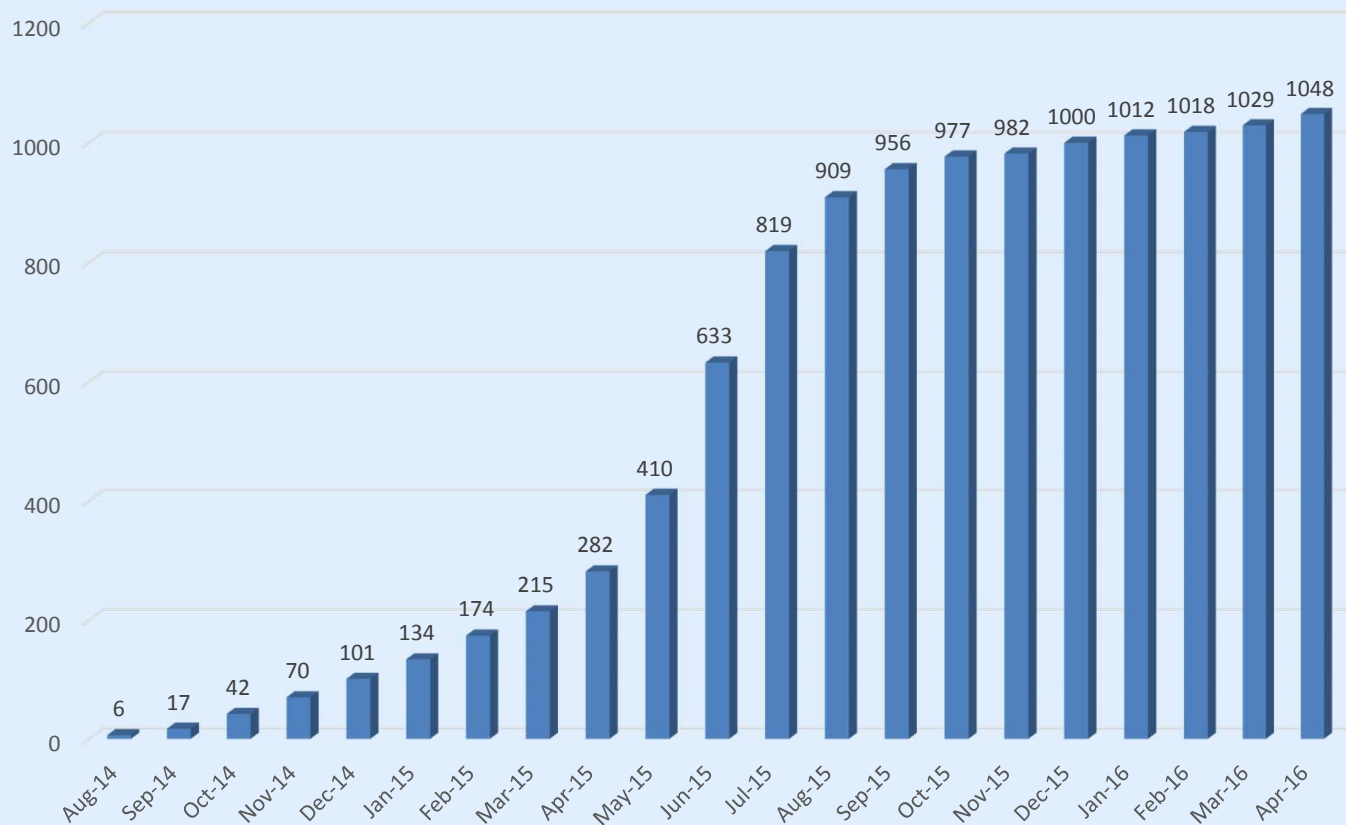
Inactive Contracts with Goals	#
<b>1. Total Contracts Reviewed and Closed</b>	<b>768</b>
<b>2. Contracts Administratively Closed</b>	<b>280 (a)</b>
<b>Sub-Total</b>	<b>1048 (94%)</b>
<b>3. Close-Outs in Progress</b>	<b>34</b>
<b>4. Contracts Pending Agency Action</b>	<b>32</b>
<b>Total</b>	<b>1,114 (b) (100%)</b>

- a. Contracts administratively closed because of the age of the contract (beyond the established seven-year record retention period).*
- b. Total number of inactive contracts as of April 30, 2016.*



# MTA Headquarters DDCR Update

## *DDCR Contract Closeout Progression August 2014 to April 30, 2016*





# Metropolitan Transportation Authority Department of Diversity and Civil Rights

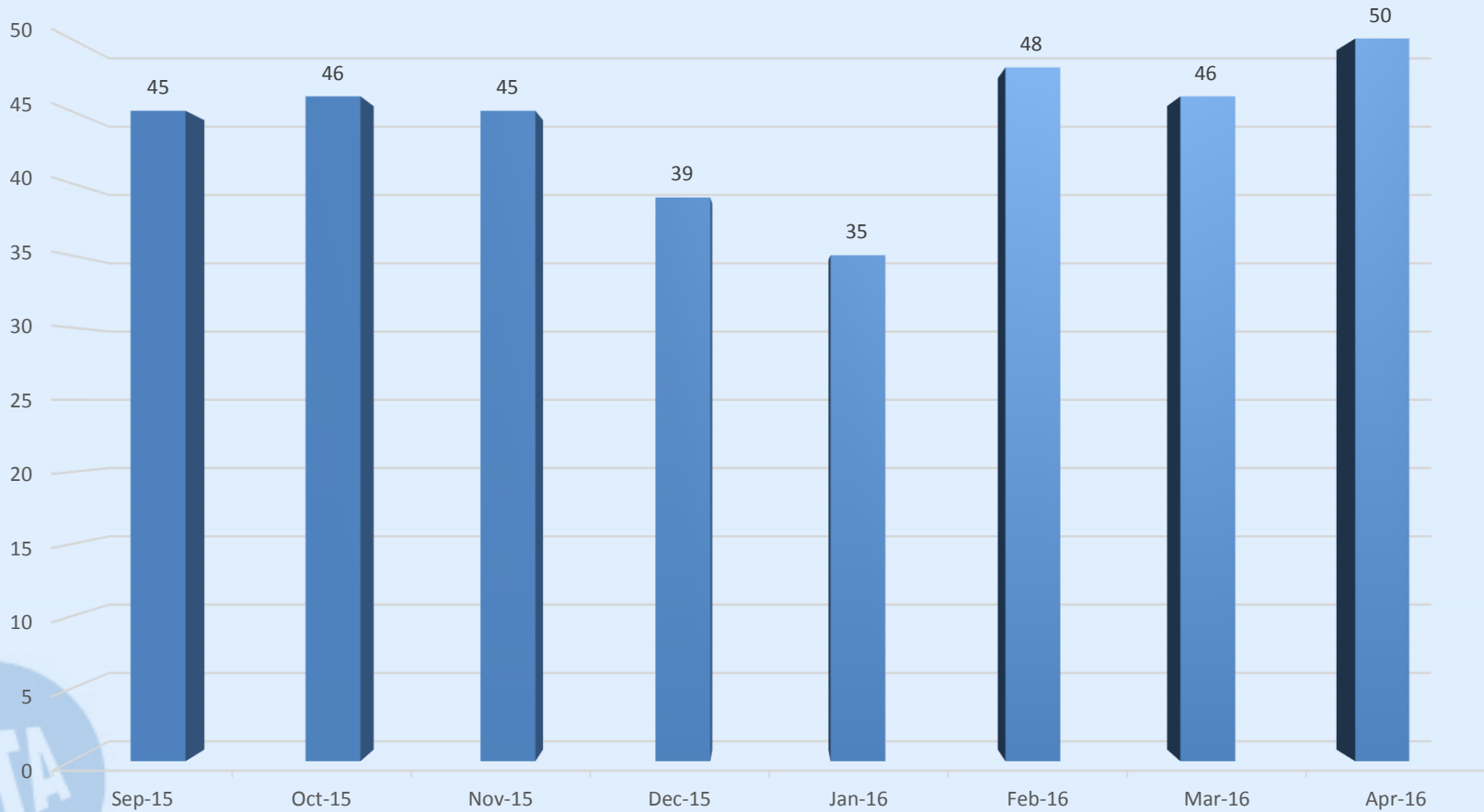
Project Site Visits  
September 2015 – April 2016



# MTA Headquarters DDCR – Project Site Visits

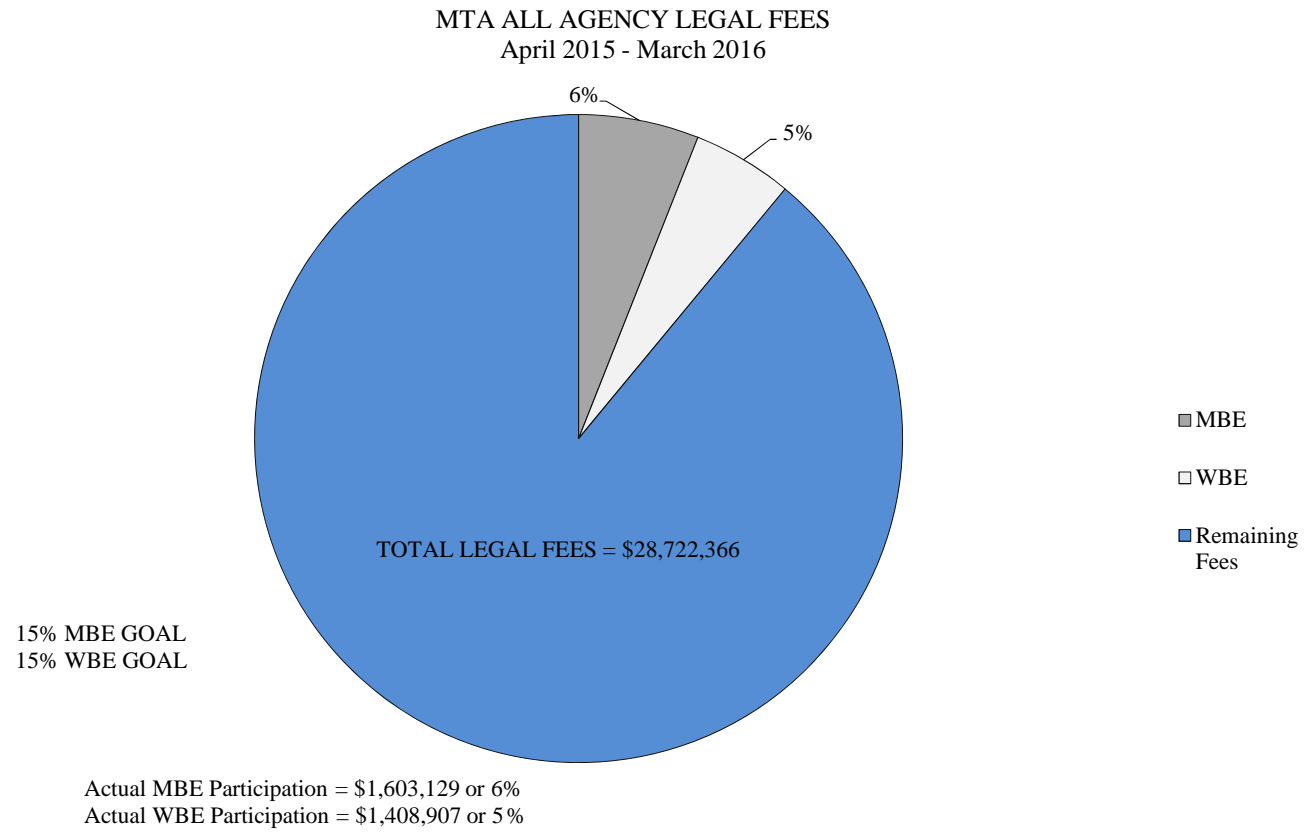
*September 1, 2015 to April 30, 2016*

*Total Site Visits Performed = 354*



# **FINANCIAL AND LEGAL SERVICES**

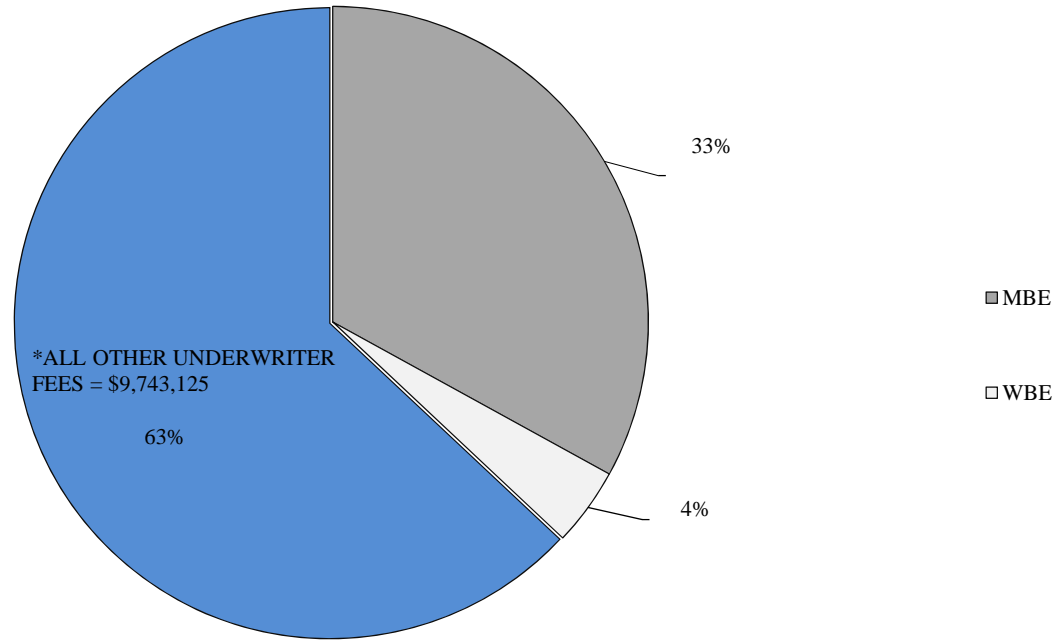
**May 23, 2016**



**MTA ALL AGENCY LEGAL FEES PAID  
APRIL 2015 THROUGH MARCH 2016**

<b>AGENCY</b>	<b>ALL FEES PAID</b>	<b>MBE FEES PAID</b>	<b>Agency MBE PARTICIPATION</b>	<b>WBE FEES PAID</b>	<b>Agency WBE PARTICIPATION</b>
B &T	\$350,806	\$20,124	5.7%	\$55,023	15.7%
LIRR	\$983,843	\$34,990	3.6%	\$72,354	7.4%
MTABUS	\$3,528,014	\$227,274	6.4%	\$316,135	9.0%
MTACC	\$334,879	\$0	0.0%	\$29,188	8.7%
MTAHQ	\$11,134,554	\$740,717	6.7%	\$58,889	0.5%
MNR	\$2,940,496	\$382,857	13.0%	\$446,260	15.2%
NYCTA	\$9,449,775	\$197,165	2.1%	\$431,059	4.6%
<b>TOTAL</b>	<b>\$28,722,366</b>	<b>\$1,603,129</b>	<b>5.6%</b>	<b>\$1,408,907</b>	<b>4.9%</b>

**MTA ALL AGENCY UNDERWRITER FEES  
APRIL 2015 - MARCH 2016**

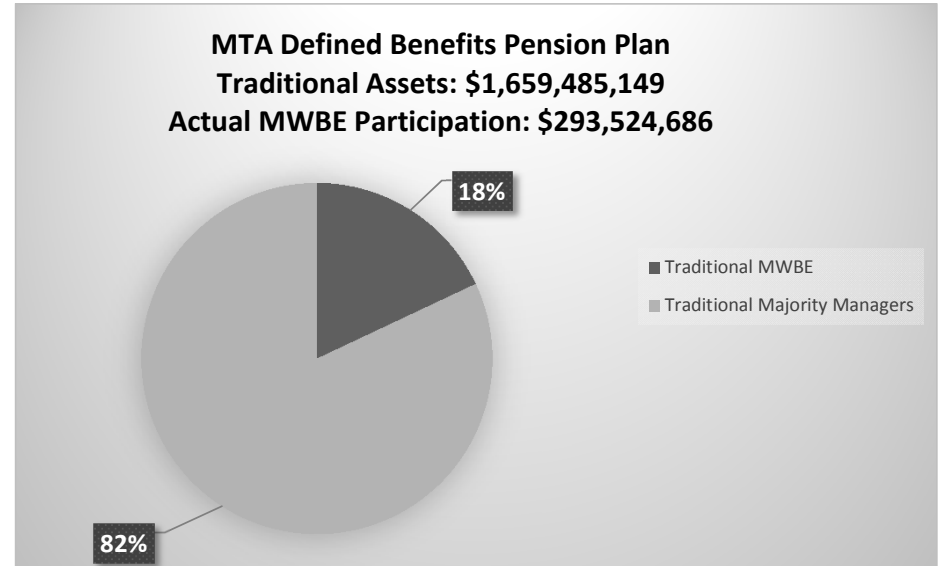
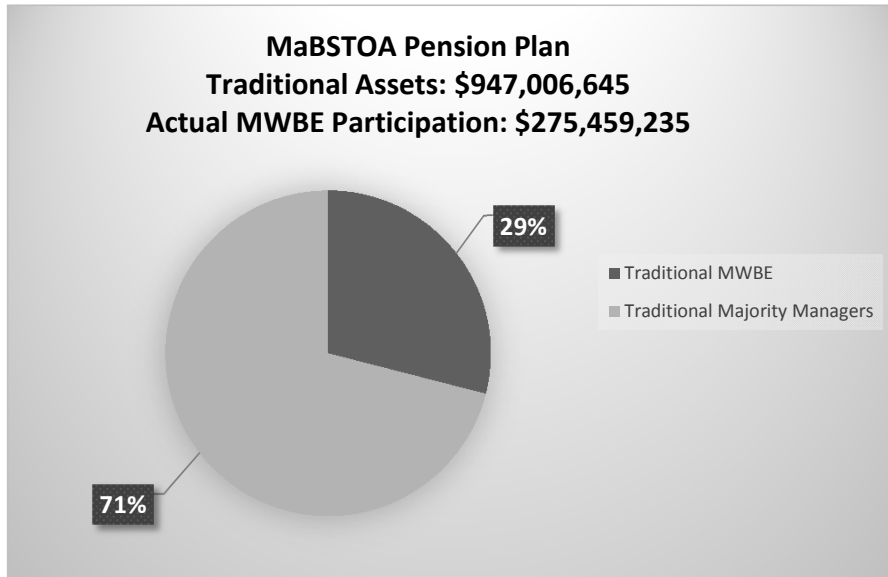


Total Underwriter Fees = \$15,260,837 or 100%  
Actual MBE Participation = \$4,995,464 or 33%  
Actual WBE Participation = \$556,796 or 4%

# **MTA ASSET FUND MANAGERS**

**May 23, 2016**

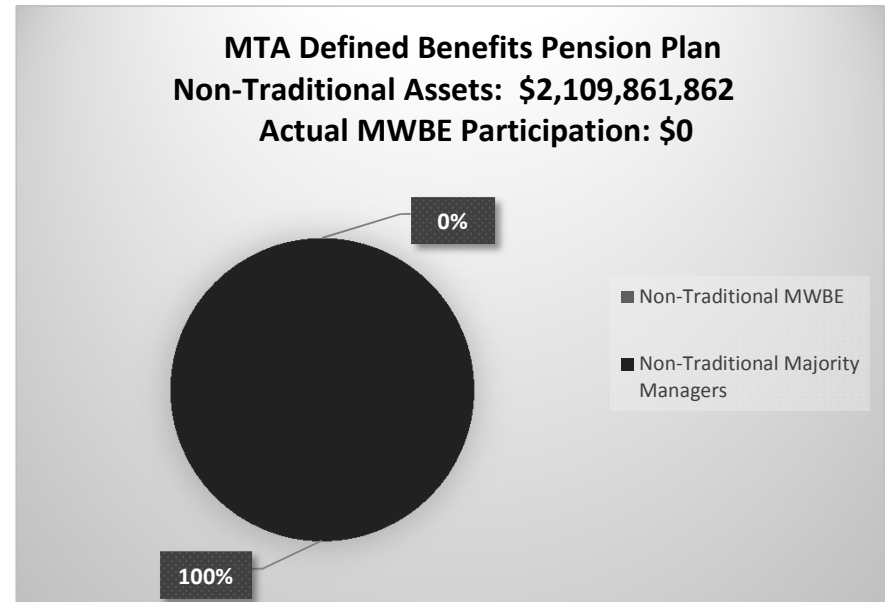
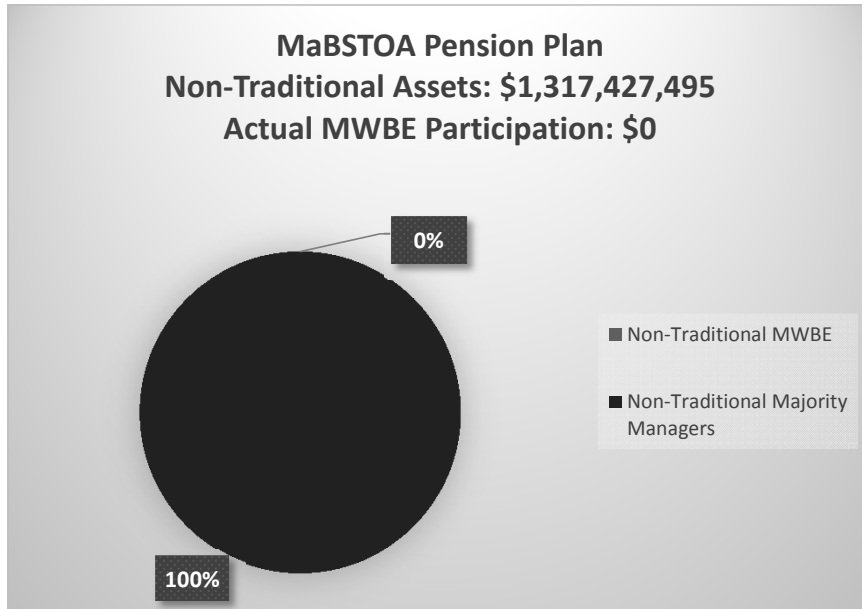
## TRADITIONAL ASSETS MWBE PARTICIPATION As of 3/31/16



**TOTAL TRADITIONAL ASSETS = \$2,606,491,794**

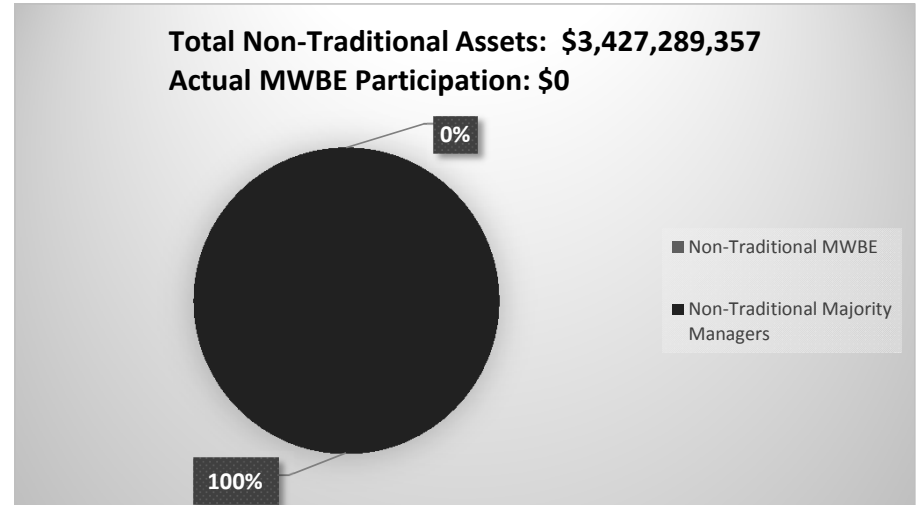
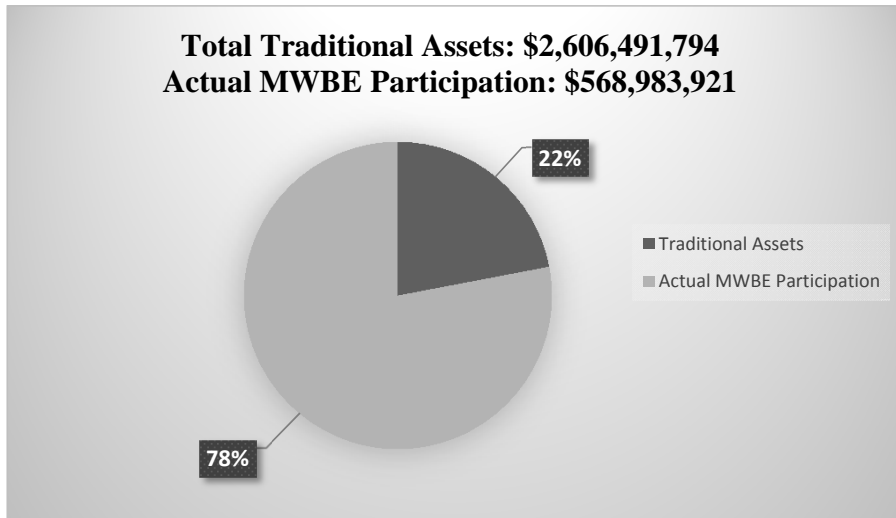


## NON-TRADITIONAL ASSETS MWBE PARTICIPATION As of 3/31/16



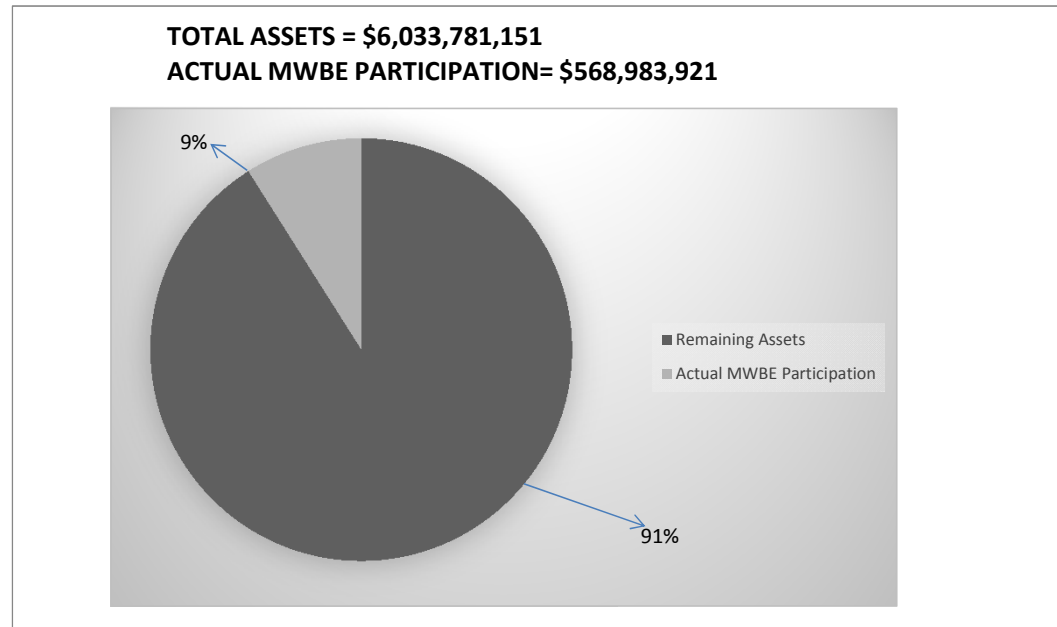
**TOTAL NON-TRADITIONAL ASSETS = \$3,427,289,357**

**SUMMARY OF ALL PENSION ASSETS  
TRADITIONAL/NON-TRADITIONAL  
MWBE PARTICIPATION  
As of 3/31/16**



**Total Assets = \$6,033,781,151**

**SUMMARY OF TOTAL ASSETS  
MWBE PARTICIPATION  
As of 3/31/16**





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

**May 23, 2016**

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

<b>FEDERALLY FUNDED</b>	<b>FIRST QUARTER (APRIL-JUNE)</b> (in millions)			<b>SECOND QUARTER (JULY-SEPTEMBER)</b> (in millions)			<b>2015 TOTALS (APRIL - SEPTEMBER 2015)</b> (in millions)		
<b>DBE Participation Goal: 17%</b>	<b>Total Awards</b>	<b>Total DBE Awards</b>	<b>DBE Participation (%)</b>	<b>Total Awards</b>	<b>Total DBE Awards</b>	<b>DBE Participation (%)</b>	<b>Total Awards</b>	<b>Total DBE Awards</b>	<b>DBE Participation (%)</b>
Construction	\$ 166	\$ 40	24%	\$ 46	\$ 18	40%	\$ 212	\$ 58	28%
Professional Services	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%
Other									
<b>TOTAL</b>	\$ 166	\$ 40	<b>24%</b>	\$ 46	\$ 18	<b>40%</b>	\$ 212	\$ 58	<b>28%</b>
<b>Additional MWBE Participation:</b>	<b>Total Awards</b>	<b>Total MWBE Awards</b>		<b>Total Awards</b>	<b>Total MWBE Awards</b>		<b>Total Awards</b>	<b>Total MWBE Awards</b>	
Construction	\$ 166	\$ 34		\$ -	\$ -		\$ 166	\$ 34	
Professional Services	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
Other	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
<b>Total</b>	\$ 166	\$ 34		\$ -	\$ -		\$ 166	\$ 34	

**MWBE AWARDS ON MTA CAPITAL PROJECTS with GOALS**  
**APRIL 2015 - MARCH 2016**  
**STATE FUNDED**

STATE FUNDED	FIRST QUARTER (APRIL 2015-JUNE 2015) (in millions)			SECOND QUARTER (JULY 2015-SEPTEMBER 2015) (in millions)			THIRD QUARTER (OCTOBER 2015-DECEMBER 2015) (in millions)			FOURTH QUARTER (JANUARY 2016-MARCH 2016) (in millions)			2015 - 2016 TOTALS (APRIL 2015 - MARCH 2016) (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	\$ 45	\$ 8	18%	\$ 60	\$ 7	12%	\$ 274	\$ 24	9%	\$ 46	\$ 7	15%	\$ 425	\$ 46	11%
Professional Services	\$ 2	\$ 0.3	14%	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ 2	\$ 0.3	14%
Other	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%
MBE Participation on FTA-funded projects				\$ -	\$ -		\$ -	\$ -		\$ -	\$ -				
<b>TOTAL</b>	<b>\$ 47</b>	<b>\$ 8</b>	<b>18%</b>	<b>\$ 60</b>	<b>\$ 7</b>	<b>12%</b>	<b>\$ 274</b>	<b>\$ 24</b>	<b>9%</b>	<b>\$ 46</b>	<b>\$ 7</b>	<b>15%</b>	<b>\$ 427</b>	<b>\$ 46</b>	<b>11%</b>
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	\$ 45	\$ 4	9%	\$ 60	\$ 7	12%	\$ 274	\$ 25	9%	\$ 46	\$ 6	13%	\$ 425	\$ 42	10%
Professional Services	\$ 2	\$ 0.2	10%	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ 2	\$ 0.2	10%
Other	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%
WBE Participation on FTA-funded projects				\$ -	\$ -		\$ -	\$ -		\$ -	\$ -				
<b>TOTAL</b>	<b>\$ 47</b>	<b>\$ 4</b>	<b>9%</b>	<b>\$ 60</b>	<b>\$ 7</b>	<b>12%</b>	<b>\$ 274</b>	<b>\$ 25</b>	<b>9%</b>	<b>\$ 46</b>	<b>\$ 6</b>	<b>13%</b>	<b>\$ 427</b>	<b>\$ 42</b>	<b>10%</b>
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	\$ 45	\$ 4		\$ 49	\$ 7		\$ 274	\$ 26		\$ 45	\$ 8		\$ 413	\$ 45	
Professional Services	\$ 0.5	\$ 0.1		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 1	\$ 0.1	
Other	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
<b>Additional DBE Participation Total</b>	<b>\$ 46</b>	<b>\$ 4</b>		<b>\$ 49</b>	<b>\$ 7</b>		<b>\$ 274</b>	<b>\$ 26</b>		<b>\$ 45</b>	<b>\$ 8</b>		<b>\$ 413</b>	<b>\$ 45</b>	

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