



**Metropolitan Transportation Authority**

# Diversity Committee Meeting

## September 2016

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### Committee Members

J. Molloy, Chairman

D. Jones

S. Metzger

P. Ward

N. Zuckerman

# **Diversity Committee Meeting**

**2 Broadway - 20th Floor Board Room  
New York, NY 10004**

**Monday, 9/26/2016**

**3:45 - 4:45 PM ET**

## **1. PUBLIC COMMENT PERIOD**

## **2. APPROVAL OF MINUTES – MAY 23, 2016**

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

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

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## **5. CERTIFICATION ACTIVITY REPORT**

*Certification Activity Report - Page 15*

## **6. MTA DEPARTMENT OF DIVERSITY / CIVIL RIGHTS EEO ACTIVITIES SECOND QUARTER 2016**

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## **7. MTA AGENCY-WIDE STRATEGIES TO IMPROVE WORKFORCE DIVERSITY**

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*Bridges & Tunnels - Page 34*

*Capital Constructions - Page 39*

*Long Island Railroad - Page 47*

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*New York City Transit And MTA Bus - Page 54*

*Head Quarters - Page 59*

## **8. M/W/DBE CONTRACT COMPLIANCE SECOND QUARTER 2016 REPORT**

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

*MTA Capital Projects MWDBE Awards - Page 91*

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

*MTA Small Business Development Program Update - Page 94*

## **11. FINANCIAL SERVICES**

*Financial Services - Page 131*

## **12. ASSET FUND MANAGERS**

*Asset Fund Managers - Page 133*

## **MTA DIVERSITY COMMITTEE**

Meeting Minutes  
2 Broadway, 20<sup>th</sup> Floor  
New York, NY 10004  
Monday, May 23, 2016  
2:45 p.m.

The following Committee members were present:

Hon. John Molloy, Chairman  
Hon. Fernando Ferrer  
Hon. Susan G. Metzger

The following Committee members were absent:

Hon. John Banks III  
Hon. Robert Bickford

The following were also present:

Michael Garner, Chief Diversity Officer, MTA  
Margaret Connor, Senior Director, Human Resources and Retirement Programs  
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  
Joyce D. Brown, Deputy Chief Diversity Officer, EEO & Title VI Compliance, DDCR  
George Cleary, Deputy Director, Small Business Development Program ("SBDP"), 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  
David Sang, Manager, EEO & Title VI, DDCR  
James Wilson, Manager, Certification, DDCR  
Joel Andrews, Chief Officer, Office of EEO, NYC Transit ("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  
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")  
David Cannon, Director, Procurement and Risk Management, MTA Capital Construction ("CC")  
Alberto Richardson, Operations Analysis Officer, MTA Bus Company ("MTA Bus")

MTA Diversity Committee Meeting Minutes, Monday May 23, 2016

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Sonia Mercado, Manager, Supply Diversity Manager, MTA Business Service Center (“BSC”)

Christine Norman, Manager, MWDBE Procurement Compliance, MTA Metro-North Railroad (“MNR”)

Robert Rodriguez, Director, Diversity and EEO, MNR

Stuart Reimbeau, Assistant Director MWDBE Operations & Technology Enablement, DDCR

Natalie Mason-Kinsey, Chief EEO, MTA Bus

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

Sheree Page, DBE Compliance Specialist, Procurement and Material Management, MNR

### **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 February 22, 2016.

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

There were no changes to the 2016 Committee Work Plan.

Mr. Garner introduced the new DDCR staff members: Ms. Brown, Mr. Reimbeau, and Mr. Wilson.

### **Business and Diversity Initiatives**

Ms. Rodriguez provided an update on MTA’s business and diversity initiatives for the period April 2016 to June 2016. Ms. Rodriguez highlighted the MTA Fix and Fortify Sandy Recovery Work Forum which took place in April 2016. She said this was an MTA all-agency event. Ms. Rodriguez further state that DDCR is in the process of finalizing the program outline for MTA’s agency-wide 7th Annual MWBE Conference on Contracting Opportunities scheduled for June 1, 2016. Mr. Garner noted that this is an opportunity for all certified MWDBE firms, agencies, and third-party contractors and consultants to learn about upcoming contracts and to network. Ms. Rodriguez stated that thus far over 170 firms have registered to participate in this event.

### **Certification Activity Report**

Mr. McCune reported on the DBE certification activity for the first quarter of 2016. He said a total of 23 new applications were received for this period. He also provided statistics for the same period from 2014 and 2015. He said compared with the same period from 2015, the number of new application has slightly increased. Regarding certification activity for new applications, Mr. McCune said a total number of 29 applications have been either certified, denied, returned or withdrawn for the reporting period. He said compared with the same period for the previous two years, the number of applications processed has increased.

### **EEO and TITLE VI Complaints**

Mr. Din reported on the EEO and Title VI Complaints handled for the first quarter of 2016. He said for the reporting period, MTA and its agencies handled a total of 367 EEO complaints. This includes complaints filed both internally, and with the external anti-discrimination agencies. Of these complaints, 151 were filed externally at city, state and federal agencies and 216 were filed internally.

Mr. Din stated that regarding the external complaints, the most frequently cited bases for complaints were disability discrimination and race/color discrimination. Mr. Din also stated that this is similar to what DDCR reported at the last committee meeting. Regarding the 216 internal complaints, Mr. Din said the most frequently cited basis for complaints were race/color discrimination and sexual harassment.

Mr. Din also reported that between January 2016 and March 2016, the MTA and its agencies handled a total of 124 Title VI complaints, citing 132 separate allegations. Of the 124 complaints, race discrimination was most frequently cited as the basis for the complaint. Mr. Din's report included resolutions of EEO and Title VI complaints. In addition, Mr. Din provided an update on the EEO and Title VI complaints handled at MTAHQ.

### **MTA All-Agency Military Recruitment**

Ms. Connor provided an update on military recruitment. She said that Chairman Thomas Prendergast directed her to assign a single staff member dedicated to military recruitment on an MTA-wide basis. She identified this staff member as Aleyda Meyers.

Ms. Connor reported 36 military hires for the first quarter of 2016. She said in 2015, there were a total of 259 military hires, which represented 5% of MTA-wide new hires. Mr. Ferrer asked if military hires included veterans. Ms. Connor said no, military hires do not include veterans. She said military hires include current members of the U.S. armed forces, including U.S. Coast Guard, and the National Guard. Ms. Connor added that recruitment includes visits to military bases and providing job application skills to the members of the military.

Ms. Metzger stated that she wished that Board Member Neal Zuckerman, who is a veteran, were in attendance to see this presentation. Chairman Molloy said he shared the presentation with Mr. Zuckerman, and he was pleased with the results. Chairman Molloy added that this is a good start and he looks forward to seeing advances across the board and is glad to see these statistics as part of DDCR's regular reporting.

### **SBDP Update**

Mr. Cleary provided an update on MTA's SBDP. He said as of April 30, 2016, there were 125 prequalified firms in Tier 1, and 41 in Tier 2 of the Program. In addition, Mr. Cleary said there were 37 pre-qualified firms in MTA's Small Business Federal Program ("SBFP"), for a total of 203 firms.

Mr. Cleary also provided a breakdown of pre-qualified firms by ethnicity, and by geographical location.

Mr. Cleary said as of April 30, 2016, a total of 226 contracts were awarded totaling to \$204 million. Mr. Cleary reported that under the Small Business Loan Program, a total of 73 loans were approved by Carver Bank totaling \$9.7 million.

Mr. Garner reported on the Emerging Contractors Pilot Program. He said under this Program, MTA will seek to increase the participation of minority firms, whose access to MTA's public funding for construction work historically has been limited. He said this is a one-year program specifically addressing contractors who have applied for SBMP Tier 1 but have not met the SBMP Tier 1 prequalification requirements, and thereby do not have access to opportunities offered by MTA's Small Business Mentoring Program.

Mr. Garner stated that they will be trained and put on a fast track. He said in addition, contractors will have access to capital and bonding. He said they will be allowed to bid on projects up to \$100k for one year in that time period. Mr. Garner noted that there are 31 diverse groups of contractors who will be admitted into this Program, starting on September 1, 2016. He added that this will be the first class of emerging contractors.

Ms. Metzger asked if the firms in the Emerging Contractors Pilot Program have to meet certain standards and if they are geographically diverse. Mr. Garner said that yes, these firms have to meet certain standards and they are geographically diverse. He said once these firms complete the Program they will be migrated into the SBDP. Chairman Molloy added that this will allow the companies to participate in the Program without taking on too many assignments in the beginning. He said this will allow the participant firms to learn the requirements and be able to manage a project and work to the next steps. Mr. Garner said through this program, we are further mitigating risks and exposure. He said the companies will learn, earn, and grow.

Mr. Cleary also reported on the SBDP's performance results. He said since its inception the SBDP has contributed to the creation of approximately 4,896 jobs in the 14-county service region, and provided 226 bid solicitations and more than 1,100 bidding opportunities. In reference to the Classroom Training Program, he said 318 firms have participated. Mr. Cleary added that this past spring, the average class attendance was 40 firms. He also provided the list of Training Classes and Seminars slated to begin on September 3, 2016.

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

Mr. Cleary said next steps in the Program include contractor recruitment, and new Requests for Proposal ("RFPs") for construction management and business development services, and for the Small Business Loan Program.

### **M/W/DBE Contract Compliance First Quarter 2016 Report**

Ms. Harleston reported on federal and state funded contract award and payment activities.

Ms. Harleston stated that MTA's annual DBE goal is 17%. From October 2015-March 2016, MTA awarded over \$487 million in federally funded portion of contracts. Of this amount, over \$51 million (10%) was awarded to certified DBEs. She said for the same reporting period, MTA

paid prime contractors approximately \$848 million, with payments to certified DBEs totaling over \$150 million (18%). Ms. Harleston said the March 2016 DBE data is still being vetted, and has not yet been reported to the Federal Transit Administration.

Ms. Harleston said that the MTA has established an overall MWBE goal of 30% for the State fiscal year 2016-2017, starting on April 1, 2016. For the State fiscal year 2015-2016, MTA awarded \$2.3 billion in State funded contracts, with \$224 million (10%) being awarded to certified MWBEs. From April 1, 2015-March 31, 2016, MTA paid approximately \$1.4 billion on prime contracts, with over \$316 million (23%) being paid to certified MWBEs.

Ms. Harleston also reported on discretionary procurements. Mr. Garner stated that the discretionary procurement limit level is being increased from \$200,000 to \$400,000, giving the MTA and its agencies the ability to go out to a pool of MWBE firms without going out for bidding. He said MTA is the only agency in the state to increase this limit to \$400,000. He said starting in September 2016, DDCR will report on the results of IT, Architects and Design, and legal services.

Ms. Harleston also reported on the status of inactive contracts. She said DDCR has cleared the initial backlog and is proactively moving to close out contracts in a timely manner. In addition, Ms. Harleston reported on project site visits. She said a total of 354 site visits have been performed from September 2015 through March 2016. She said DDCR projects making 50 site visits per month in the future. Chairman Molloy asked what DDCR staff does during site visits. Ms. Harleston said staff interview prime and MWDBE subcontractors, review certified payroll, and check work being performed by the subcontractors. She said they also take photographs of the project site.

### **Financial and Legal Services**

Mr. Garner said MWBE participation is approximately 11% in outside counsel fees. He said he is optimistic that the current RFP for outside legal services will result in a diverse pool of outside law firms. He added that staff is engaged in evaluating and scoring proposals. Mr. Ferrer asked if the scoring of firms was outside the selection process. Mr. Garner replied that it is part of the selection process. He said staff from DDCR and agency EEO offices are serving on the selection committees.

Mr. Garner also reported on MWBE participation in underwriter fees. He said although 33% MBE participation was achieved, there was only 3% WBE participation. He said MTA's goal is to maximize WBE participation. Mr. Ferrer asked if MTA is seeking to prioritize New York-based firms. Mr. Garner said yes, the focus is on New York-based firms.

### **Asset Fund Managers**

Mr. Garner also reported on MWBE participation for asset fund managers. He said he has started a dialogue with MTA Chief Financial Officer, Robert Foran about creating a program similar to New York City and state comptroller's Emerging Managers Program. Ms. Metzger said she saw a pension presentation earlier in the day. She said some of the minority participation was comparable. She said some traditional funds have minority managers, but there is not so much minority representation in non-traditional funds. She said it is crucial to get

good managers because we are dealing with people's money. Mr. Garner said we need to balance opportunity versus risk. He said if the pool of firms is small then we need to find ways to develop it.

### **M/W/DBE Capital Projects**

Ms. Harleston reported on MWBDE participation on MTA's capital projects. She said for federally funded projects, DBE participation was 28%, exceeding MTA's 17% goal. She said on state-funded projects, MBE participation was 11% and WBE participation was 10%, for a total MWBE participation of 21%.

Mr. Garner thanked DDCR staff for their hard work. Ms. Metzger also expressed her appreciation. She said lots of programs have been developed at the MTA that are being used elsewhere. She said that is a credit to the staff at MTA and its agencies.

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

Responsibility

February 2016

Recommitment to EEO Policy 2016 Departmental Goals 2015 Year-End Report Recruitment Strategies for MTAHQ and MTA Agencies	Dept. of Diversity/Civil Rights   Dept. of Diversity/Civil Rights, MTAHQ and Agency Staff
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May 2016

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

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

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



Metropolitan Transportation Authority

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

**September 26, 2016**

# MTA Business & Diversity Initiatives Unit

## July 2016

Conference of Minority Transportation Officials (COMTO) 45<sup>th</sup> National Meeting & Training Conference

Harlem Week Opening Ceremony at Gracie Mansion

DDCR presents “ New Firm Orientation Session”

DDCR presents “ DBE Certification Session”

Annual City & State Diversity Forum

National Hispanic Business Group Annual Awards Gala

National Minority Business Council’s 44<sup>th</sup> Anniversary Celebration and Procurement Dinner

Harlem Week Celebration “A Great Day in Harlem”

## August 2016

DDCR presents “DBE Certification Session”

Presentation “How to Do Business with the MTA” hosted by the School Construction Authority

CUNY/CUCF hosts the Annual MWBE/SDVOB Contract Opportunities Conference

Greater Harlem Chamber of Commerce presents “NYC Economic Development Day”

Greater Harlem Chamber of Commerce presents “Senior Citizen’s Jubilee”

Harlem Week presents “ Children’s Expo and Higher Education Expo/Job Fair”

Harlem Day Business Expo

Harlem 5K Run & Walk – MUNY Artist

# MTA Business & Diversity Initiatives Unit

## **September 2016**

SOBRO presents the 18<sup>th</sup> Annual Bronx Business Opportunities Expo

NYC Department of Design and Construction (DDC) presents “Annual Conference on Contract Opportunities Expo”

General Contractor’s Association presents “MWBE Networking Opportunity on 31 Stations Initiative”

Long Island Community and Economic Development Conference



Metropolitan Transportation Authority

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# MTA Department of Diversity/Civil Rights Certification Activity Report

September 26, 2016

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

	<b>2016</b>	<b>2015</b>	<b>2014</b>
<b>APRIL</b>	<b>7</b>	<b>4</b>	<b>14</b>
<b>MAY</b>	<b>14</b>	<b>9</b>	<b>4</b>
<b>JUNE</b>	<b>16</b>	<b>11</b>	<b>6</b>
<b>TOTAL</b>	<b>37</b>	<b>24</b>	<b>24</b>

## CERTIFICATION ACTIVITY FOR NEW APPLICATIONS SECOND QUARTER 2016 - 2014

	2016	2015	2014
<b>CERTIFIED</b>	<b>15</b>	<b>16</b>	<b>15</b>
<b>DENIED</b>	<b>0</b>	<b>2</b>	<b>1</b>
<b>RETURNED</b>	<b>16</b>	<b>3</b>	<b>4</b>
<b>WITHDRAWN</b>	<b>3</b>	<b>2</b>	<b>3</b>
<b>TOTAL</b>	<b>34</b>	<b>23</b>	<b>23</b>

**MTA DEPARTMENT OF DIVERSITY/CIVIL RIGHTS  
MTA-WIDE NEW HIRES  
SECOND QUARTER 2016**

**SEPTEMBER 26, 2016**

# MTA-Wide New Hires

## January 1, 2016 to June 30, 2016

- Between January 1, 2016 and June 30, 2016, MTA and its Agencies hired a total of 2,902 employees.
- 24% (693) of the total new hires are females.
- 75% (2,183) of the total new hires are minorities.\*
- Of the 75% of minorities hired, 42% (1,223) are black and 18% (517) are Hispanic.
- Of the 1,874 employees hired by MTA NYC Transit, 25% (467) are females and 84% (1,565) are minorities.\*

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

**NEW HIRES  
JANUARY 1, 2016 - JUNE 30, 2016**

JOB CATEGORY	TOTAL <sup>1</sup>	FEMALES <sup>2</sup>		NON-MINORITY		MINORITY		BLACKS		HISPANICS		ASIANS		AI/AN		NHOPI		OTHER	
MTA HQ	125	50	40%	48	38%	77	62%	28	22%	14	11%	30	24%	0	0%	0	0%	5	4%
MTA B&T	58	12	21%	27	47%	31	53%	15	26%	8	14%	5	9%	0	0%	0	0%	3	5%
MTA MNR	294	51	17%	158	54%	136	46%	68	23%	42	14%	14	5%	0	0%	0	0%	12	4%
MTA LIRR	274	55	20%	143	52%	131	48%	54	20%	33	12%	33	12%	2	1%	0	0%	9	3%
MTA NYCT	1,874	467	25%	309	16%	1,565	84%	907	48%	363	19%	256	14%	1	0%	1	0%	37	2%
MTA CC	15	7	47%	7	47%	8	53%	3	20%	0	0%	4	27%	0	0%	0	0%	1	7%
MTA BUS	262	51	20%	27	10%	235	90%	148	57%	57	22%	21	8%	1	0%	0	0%	8	3%
<b>Total</b>	<b>2,902</b>	<b>693</b>	<b>24%</b>	<b>719</b>	<b>25%</b>	<b>2,183</b>	<b>75%</b>	<b>1,223</b>	<b>42%</b>	<b>517</b>	<b>18%</b>	<b>363</b>	<b>13%</b>	<b>4</b>	<b>0%</b>	<b>1</b>	<b>0%</b>	<b>75</b>	<b>3%</b>

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

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

2016 SECOND QUARTER EEO REPORT  
 AGENCY NAME: MTAHQ

**NEW HIRES**  
**JANUARY 1, 2016 - JUNE 30, 2016**

JOB CATEGORY	TOTAL <sup>1</sup>	FEMALES <sup>2</sup>		Non-Minorities		Minorities		BLACKS		HISPANICS		ASIANS		AI/AN		NHOPI		OTHER	
		#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Officials & Administrators	37	14	38%	14	38%	23	62%	9	24%	4	11%	9	24%	0	0%	0	0%	1	3%
Professionals	65	24	37%	20	31%	45	69%	16	25%	7	11%	19	29%	0	0%	0	0%	3	5%
Technicians	0	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Protective Services	11	3	27%	10	91%	1	9%	0	0%	1	9%	0	0%	0	0%	0	0%	0	0%
Paraprofessionals	0	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Administrative Support	12	9	75%	4	33%	8	67%	3	25%	2	17%	2	17%	0	0%	0	0%	1	8%
Skilled Craft	0	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Service Maintenance	0	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
<b>Total</b>	<b>125</b>	<b>50</b>	<b>40%</b>	<b>48</b>	<b>38%</b>	<b>77</b>	<b>62%</b>	<b>28</b>	<b>22%</b>	<b>14</b>	<b>11%</b>	<b>30</b>	<b>24%</b>	<b>0</b>	<b>0%</b>	<b>0</b>	<b>0%</b>	<b>5</b>	<b>4%</b>

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



Metropolitan Transportation Authority

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**MTA ALL-AGENCY MILITARY  
RECRUITMENT  
SECOND QUARTER 2016**

**SEPTEMBER 26, 2016**

# MTA-Wide Military New Hires

## January 1, 2016 to June 30, 2016

- Between January 1, 2016 and June 30, 2016, MTA and its Agencies hired a total of 2,902 employees.
- 4% (106) of the total new hires are veterans.
- 7% (7) of the total new hires are female veterans.
- 65% (69) of the total new hires are minority veterans.\*
- 34% (36) of the total veterans hired are black, 23% (24) are Hispanic and 5% (5) are Asians.
- Of the 53 veterans hired by MTA NYCT, 8% (4) are females and 87% (46) are minorities.\*

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

## MTA-WIDE MILITARY NEW HIRES JANUARY 1, 2016 - JUNE 30, 2016

JOB CATEGORY	TOTAL <sup>1</sup>	FEMALES <sup>2</sup>		NON-MINORITY		MINORITY		BLACKS		HISPANICS		ASIANS		AI/AN		NHOPI		OTHER	
MTA HQ	1	0	0%	1	100%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
MTA B&T	4	0	0%	2	50%	2	50%	2	50%	0	0%	0	0%	0	0%	0	0%	0	0%
MTA MNR	27	2	7%	16	59%	11	41%	3	11%	7	26%	0	0%	0	0%	0	0%	1	4%
MTA LIRR	18	1	6%	11	61%	7	39%	1	6%	3	17%	1	6%	1	6%	0	0%	1	6%
MTA NYCT	53	4	8%	7	13%	46	87%	28	53%	13	25%	4	8%	0	0%	0	0%	1	2%
MTA CC	0	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
MTA BUS	3	0	0%	0	0%	3	100%	2	67%	1	33%	0	0%	0	0%	0	0%	0	0%
<b>Total</b>	<b>106</b>	<b>7</b>	<b>7%</b>	<b>37</b>	<b>35%</b>	<b>69</b>	<b>65%</b>	<b>36</b>	<b>34%</b>	<b>24</b>	<b>23%</b>	<b>5</b>	<b>5%</b>	<b>1</b>	<b>1%</b>	<b>0</b>	<b>0%</b>	<b>3</b>	<b>3%</b>

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

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

**MTA DEPARTMENT OF DIVERSITY/CIVIL RIGHTS  
MTA-WIDE EEO AND TITLE VI COMPLAINTS**

**SECOND QUARTER**

**SEPTEMBER 26, 2016**

# EEO/TITLE VI COMPLAINTS

- Between January 2016 and June 2016, MTA and its Agencies handled a total of 431 EEO complaints, citing 760 separate allegations.\* This represents an increase of 49 EEO complaints, and an increase of 55 allegations from the same reporting period for 2015.
- Of the 431 active complaints in 2016, 174 were filed externally at city, state and federal agencies and 257 were filed internally. This represents a decrease of 25 external complaints, and an increase of 74 internal complaints from the same reporting period for 2015.
- Of the 174 active external complaints in 2016, the most frequently cited bases for complaints were: 1) disability discrimination (22%); 2) race/color discrimination (16%) and 3) gender discrimination (10%). These bases were also the same bases frequently cited in the 2015 reporting period, with 1% increase for disability discrimination, 2% decrease in race/color discrimination, and 0% increase in gender discrimination, from 2015 to 2016.
- Of the 257 internal complaints filed in 2016, the most frequently cited bases for complaints were: 1) sexual harassment (18%); 2) race/color discrimination (18%); and 3) gender discrimination (15%). These bases were also the same bases frequently cited in the 2015 reporting period, with a 2% increase for sexual harassment, a 1% increase in race/color discrimination, and a 2% decrease for gender discrimination, from 2015 to 2016.
- Between January 2016 and June 2016, MTA and its Agencies handled a total of 183 Title VI complaints, citing 196 separate allegations. Of these 183 complaints, race discrimination (77%) was most frequently cited as the basis for the complaint. This represents an increase of 91 Title VI complaints, and an increase of 96 allegations from the same reporting period in 2015. Race discrimination (76%) was also the most frequently cited basis for the same reporting period in 2015.

\*These complaints include those filed prior to the reporting period and which remained open during the reporting period.

# MTA-WIDE EEO COMPLAINTS

Mid-Year 2016<sup>1</sup> vs. Mid-Year 2015<sup>1</sup>

<b>EEO DISCRIMINATION COMPLAINTS EXTERNAL</b>																						
MTA AGENCY	RACE/COLOR		SEXUAL HARASSMENT		AGE		GENDER		RELIGION		NATIONAL ORIGIN		DISABILITY		OTHER <sup>2</sup>		TOTAL ISSUES <sup>3</sup>		TOTAL CASES		STATUS OPEN	
	Years	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16
MTA	1	3	0	1	1	0	2	2	0	1	1	1	3	1	3	3	11	12	7	5	6	1
B&T	3	4	0	0	1	1	0	4	1	1	1	1	2	2	3	4	11	17	6	7	5	6
MNR	6	4	2	0	4	5	5	4	0	0	4	2	6	4	6	6	33	25	18	16	8	9
LIRR	4	5	0	1	0	2	0	0	0	0	1	0	4	2	2	2	11	12	9	8	6	3
NYCT	35	47	8	8	18	27	24	26	8	10	19	24	52	58	77	75	241	275	130	153	110	150
CC	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
BUS	1	2	0	0	0	1	0	1	0	0	0	0	2	6	1	3	4	13	4	10	3	4
<b>TOTAL</b>	<b>50</b>	<b>65</b>	<b>10</b>	<b>10</b>	<b>24</b>	<b>36</b>	<b>31</b>	<b>37</b>	<b>9</b>	<b>12</b>	<b>26</b>	<b>28</b>	<b>69</b>	<b>73</b>	<b>92</b>	<b>93</b>	<b>311</b>	<b>354</b>	<b>174</b>	<b>199</b>	<b>138</b>	<b>173</b>
<b>%</b>	<b>16%</b>	<b>18%</b>	<b>3%</b>	<b>3%</b>	<b>8%</b>	<b>10%</b>	<b>10%</b>	<b>10%</b>	<b>3%</b>	<b>3%</b>	<b>8%</b>	<b>8%</b>	<b>22%</b>	<b>21%</b>	<b>30%</b>	<b>26%</b>						

<b>EEO DISCRIMINATION COMPLAINTS INTERNAL</b>																						
MTA AGENCY	RACE/COLOR		SEXUAL HARASSMENT		AGE		GENDER		RELIGION		NATIONAL ORIGIN		DISABILITY		OTHER <sup>2</sup>		TOTAL ISSUES <sup>3</sup>		TOTAL CASES		STATUS OPEN	
	Years	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16
MTA	2	2	2	1	0	0	2	3	0	0	3	0	2	2	6	0	17	8	10	8	4	6
B&T	4	0	0	0	0	0	15	12	1	0	1	0	1	0	5	1	27	13	20	13	17	13
MNR	8	15	9	3	2	6	12	5	2	0	4	5	2	1	14	17	53	52	37	25	10	10
LIRR	4	2	2	1	1	0	1	0	0	0	0	0	0	0	3	1	11	4	9	4	3	0
NYCT	59	40	69	50	8	10	39	38	17	12	45	34	12	9	87	80	336	273	178	132	130	113
CC	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
BUS	2	0	0	0	1	1	0	0	0	0	1	0	0	0	1	0	5	1	3	1	1	1
<b>TOTAL</b>	<b>79</b>	<b>59</b>	<b>82</b>	<b>55</b>	<b>12</b>	<b>17</b>	<b>69</b>	<b>58</b>	<b>20</b>	<b>12</b>	<b>54</b>	<b>39</b>	<b>17</b>	<b>12</b>	<b>116</b>	<b>99</b>	<b>449</b>	<b>351</b>	<b>257</b>	<b>183</b>	<b>165</b>	<b>143</b>
<b>%</b>	<b>18%</b>	<b>17%</b>	<b>18%</b>	<b>16%</b>	<b>3%</b>	<b>5%</b>	<b>15%</b>	<b>17%</b>	<b>4%</b>	<b>3%</b>	<b>12%</b>	<b>11%</b>	<b>4%</b>	<b>3%</b>	<b>26%</b>	<b>28%</b>						

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

2. "Other" contains all EEO categories not otherwise specifically mentioned on the chart (i.e., sexual orientation, military status, marital status, arrest/conviction record or retaliation, etc.)

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

**MTA-WIDE EEO COMPLAINTS**  
DISPOSITION - (Mid-Year 2016 vs. Mid-Year 2015)

**EEO DISCRIMINATION EXTERNAL COMPLAINTS**

AGENCY	DECIDED IN FAVOR OF AGENCY		DECIDED IN FAVOR OF COMPLAINANT		ADMINISTRATIVE CLOSURE		WITHDRAWN		DISMISSED		RESOLVED/ SETTLEMENT		TOTAL CASES	
	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15
MTA	0	1	0	0	0	0	0	0	1	0	0	3	1	4
B&T	1	1	0	0	0	0	0	0	0	1	0	0	1	2
MNR	0	2	0	0	2	2	1	0	7	0	0	3	10	7
LIRR	2	0	0	0	0	0	0	0	1	4	0	1	3	5
NYCT	19	2	0	0	1	0	0	1	0	0	0	0	20	3
CC	0	0	0	0	0	0	0	0	0	0	0	0	0	0
BUS	1	5	0	0	0	0	0	1	0	0	0	0	1	6
<b>TOTAL</b>												<b>36</b>	<b>27</b>	

**EEO DISCRIMINATION INTERNAL COMPLAINTS**

AGENCY	DECIDED IN FAVOR OF AGENCY		DECIDED IN FAVOR OF COMPLAINANT		ADMINISTRATIVE CLOSURE		WITHDRAWN		DISMISSED		RESOLVED/ SETTLEMENT		TOTAL CASES	
	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15
MTA	1	1	3	0	1	0	1	0	0	0	0	0	6	1
B&T	1	0	2	0	0	1	0	0	0	0	0	0	3	1
MNR	18	4	1	5	5	4	1	1	0	0	2	1	27	15
LIRR	4	2	2	2	0	0	0	0	0	0	0	0	6	4
NYCT <sup>1</sup>	29	12	16	4	5	4	0	0	0	0	0	0	50	20
CC	0	0	0	0	0	0	0	0	0	0	0	0	0	0
BUS	0	0	0	0	0	0	0	0	2	0	0	0	2	0
<b>TOTAL</b>												<b>94</b>	<b>41</b>	

1. NYCT issued dual dispositions in two cases.

# MTA-WIDE TITLE VI COMPLAINTS

Mid-Year 2016<sup>1</sup> vs. Mid-Year 2015<sup>1</sup>

AGENCY	RACE		COLOR		NATIONAL ORIGIN		INCOME		TOTAL ISSUES <sup>2</sup>		TOTAL CASES		STATUS OPEN		
	Years	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15
MTA		0	1	0	0	0	1	0	0	0	2	0	1	0	0
B&T		0	0	0	0	0	0	0	0	0	0	0	0	0	0
MNR		12	8	3	2	1	2	0	0	16	12	12	10	3	1
LIRR		15	5	0	0	0	1	0	0	15	6	15	6	0	0
NYCT		117	60	8	2	32	16	0	0	157	78	149	73	111	54
CC		0	0	0	0	0	0	0	0	0	0	0	0	0	0
BUS		7	2	0	0	1	0	0	0	8	2	7	2	2	2
<b>TOTAL</b>		<b>151</b>	<b>76</b>	<b>11</b>	<b>4</b>	<b>34</b>	<b>20</b>	<b>0</b>	<b>0</b>	<b>196</b>	<b>100</b>	<b>183</b>	<b>92</b>	<b>116</b>	<b>57</b>
<b>%</b>		<b>77%</b>	<b>76%</b>	<b>6%</b>	<b>4%</b>	<b>17%</b>	<b>20%</b>	<b>0%</b>	<b>0%</b>						

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

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

**MTA-WIDE TITLE VI COMPLAINTS**  
DISPOSITION-JUNE 30, 2016

AGENCY	DECIDED IN FAVOR OF AGENCY		DECIDED IN FAVOR OF COMPLAINANT		ADMINISTRATIVE CLOSURE		WITHDRAWN		DISMISSAL		RESOLVED/ SETTLEMENT		TOTAL CASES	
	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15	Mid-Yr 16	Mid-Yr 15
MTA	0	1	0	0	0	0	0	0	0	0	0	0	0	1
B&T	0	0	0	0	0	0	0	0	0	0	0	0	0	0
MNR	2	4	0	0	6	3	0	1	0	0	0	1	8	9
LIRR	15	6	0	0	0	0	0	0	0	0	0	0	15	6
NYCT	28	13	0	0	10	6	0	0	0	0	0	0	38	19
CC	0	0	0	0	0	0	0	0	0	0	0	0	0	0
BUS	0	0	0	0	0	0	0	0	5	0	0	0	5	0
<b>TOTAL</b>												<b>66</b>	<b>35</b>	

MTAHQ

## EEO AND TITLE VI COMPLAINTS

### Mid-Year 2016<sup>1</sup> vs. Mid-Year 2015<sup>1</sup>

CATEGORY	RACE/ COLOR		SEXUAL HARASSMENT		AGE		GENDER		RELIGION		NATIONAL ORIGIN		DISABILITY		OTHER <sup>2</sup>		TOTAL ISSUES <sup>3</sup>		TOTAL CASES		STATUS OPEN	
	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15
<b>EEO TOTAL</b>	3	5	2	2	1	0	4	5	0	1	4	1	5	3	9	3	28	20	17	13	10	7
External	1	3	0	1	1	0	2	2	0	1	1	1	3	1	3	3	11	12	7	5	6	1
Internal	2	2	2	1	0	0	2	3	0	0	3	0	2	2	6	0	17	8	10	8	4	6

CATEGORY	RACE		COLOR		NATIONAL ORIGIN		INCOME		TOTAL ISSUES <sup>3</sup>		TOTAL CASES		STATUS OPEN	
	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15
<b>Title VI</b>	0	1	0	0	0	1	0	0	0	2	0	1	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 (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.

Reporting Period as of June 30, 2016 vs June 30, 2015

**2016 SECOND QUARTER EEO REPORT**

AGENCY NAME: MTAHQ

**EEO AND TITLE VI COMPLAINT DISPOSITION  
Mid-Year 2016 vs. Mid-Year 2015**

	DECIDED IN FAVOR OF AGENCY		DECIDED IN FAVOR OF COMPLAINANT		ADMINISTRATIVE CLOSURE		WITHDRAWN		DISMISSED		RESOLVED/ SETTLEMENT		TOTAL CASES	
	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15
<b>Years</b>														
<b>EEO Total</b>	1	2	3	0	1	0	1	0	1	0	0	3	7	5
External	0	1	0	0	0	0	0	0	1	0	0	3	1	4
Internal	1	1	3	0	1	0	1	0	0	0	0	0	6	1

**TITLE VI DISCRIMINATION COMPLAINT DISPOSITION  
Mid-Year 2016 vs. Mid-Year 2015**

	DECIDED IN FAVOR OF AGENCY		DECIDED IN FAVOR OF COMPLAINANT		ADMINISTRATIVE CLOSURE		WITHDRAWN		DISMISSAL		RESOLVED/ SETTLEMENT		TOTAL CASES	
	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15	'16	'15
<b>Years</b>														
<b>Title VI</b>	0	1	0	0	0	0	0	0	0	0	0	0	0	1

Reporting Period as of June 30, 2016 vs June 30, 2015



Metropolitan Transportation Authority

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**MTA AGENCY-WIDE  
STRATEGIES TO IMPROVE WORKFORCE  
DIVERSITY**

**SEPTEMBER 26, 2016**

## 2016 SECOND QUARTER EEO REPORT MTA BRIDGES AND TUNNELS

### STRATEGIES TO IMPROVE WORKFORCE DIVERSITY

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#### EEO AND DIVERSITY REPORT OVERVIEW

MTA Bridges and Tunnels (MTA B&T), a leading transportation employer and public service provider, is firmly committed to maintaining a diverse and inclusive workforce. It is the policy of MTA B&T to provide fair and equal employment opportunities to all applicants and qualified individuals within its workforce in both securing employment and in promotion opportunities at all levels and occupational categories. MTA B&T acknowledges that diversity is key to its future recruitment, selection and retention success, and will continue to engage in assertive targeted recruitment and outreach efforts to increase female and minority representation where it exists within the Agency.

#### CHALLENGES TO INCREASE DIVERSITY

Recruitment and retention continue to present challenges for MTA B&T's departments. Through attrition MTA B&T experienced a decrease of approximately 17% of the engineering force over the past 18 months, during a time period most critical to fulfilling our capital plans over the next five years. Although the Engineering and Construction Job Fair provided a pool from which talent management continues to pull from, MTA B&T received 24 declinations of job offers due to compensation and job market competition issues.

As a Civil Service Agency, MTA B&T is also faced with meeting the requirements of Civil Service Law, which impacts the hiring and retention of over 413 non-represented employees including the Engineers. Of these employees, only 81 have permanent civil service titles. MTA B&T was informed in July that 129 of its employees passed open-competitive and promotional exams for Administrative Manager and Administrative Staff Analyst. MTA B&T Human Resources will move forward with the next stage in the process and appoint employees in accordance with Civil Service Law. MTA B&T will address the impact of the civil service exams on retention upon final completion of this process.

#### STRATEGIC RECRUITMENT INITIATIVES FOR INCREASING DIVERSITY

MTA B&T recognizes the strategic approach to talent management and recruiting as necessary to attain diversified and long-term, sustainable results. To achieve this goal, MTA B&T will continue its ongoing commitment to workforce diversity through strategic recruitment initiatives that are constructively integrated into the composition of its workforce, leadership and organizational structure. MTA B&T's initiatives include five strategic components: (1) talent management strategies, (2) targeted recruitment and outreach efforts, (3) organization and leadership development, (4) mobility and retention programs, and (5) professional development.

#### 1: TALENT MANAGEMENT STRATEGIES:

- Identify departments, occupational titles, and job categories experiencing under-representation of minorities and women, and implement action steps necessary to increase their representation and opportunities in proportion to the relevant labor market.
- Target recruitment and outreach efforts to attract from a diverse, qualified group of potential applicants to secure a high-performing workforce, and ensure that every candidate is treated fairly throughout the hiring process.
- Increase presence at regional and colleges job fairs, universities, community events, and veteran's events, and diversify its marketing sourcing efforts to include affinity organizations, professional associations, and web-based and social media advertisement to attract talent.
- Use strategic hiring initiatives for people with disabilities and for veterans, conduct barrier analysis, and support upward mobility and special emphasis programs to promote diversity within the workforce.
- Quarterly evaluate employment practices to ensure recruitment, retention, and hiring efforts result in further diversification of the workforce.

- Annually assess on-boarding, mentoring, coaching, employee development and career counseling processes.
- Foster and develop institutional settings with an emphasis on valuing diversity from the top-down through leadership development programs.
- Develop strategies to equip leaders with the ability to manage diversity, be accountable, measure results, and refine approaches as needed.

## 2: TARGETED RECRUITMENT AND OUTREACH EFFORTS

- **Engineering and Construction Recruitment Efforts:** MTA B&T Engineering and Construction, Human Resources, and Office of EEO launched its 2015-2016 Engineering & Construction Employment Fair to address the human capital needs for ongoing construction projects. In an effort to identify and attract diverse talent for the various engineering disciplines, MTA B&T engaged in targeted recruitment that included outreach efforts to: the National Association of Women in Constructions, National Society of Black Engineers, Society of Hispanic Professional Engineers, American Society of Civil Engineers, American Institute of Architects, Women in Transportation, LinkedIn, MilitaryHire.com, HireVeterans.com, Construction Management Association of America, and Institute of Transportation Engineers. MTA B&T Human Resources implemented a streamlined electronic prescreening process, and from that talent pool 442 prequalified applicants were invited to attend. MTA B&T successfully attracted 265 attendees, which included 25% females and 68% minorities (44% Asian, 10% Hispanic, 9% African-American, and 13% identified two or more ethnicities). Engineering and Construction successfully on-boarded seven engineers with expertise in electrical and mechanical systems engineering, structural, civil and traffic engineering, project management in construction, construction safety engineering and engineering application management.
- **Summer Internship Program:** In contemplation of pending retirements and normal attrition rates, MTA B&T Human Resources launched a strategic initiative to attract the Millennial Generation to employment and to recognize MTA B&T as an employer of choice. MTA B&T provided opportunities to work in several departments throughout the MTA B&T's organization: Strategic Initiatives, Comptrollers, Operations, Engineering and Construction, Labor Relations, Procurement, Human Resources, Law Department, Central Control Unit, and Internal Security Department. MTA B&T successfully attracted a total of 46 college students, of which 44% (20) were females and 63% were minorities (28% Asian, 22% African-American, 11% Hispanics, and 2% identified two or more ethnicities).
- **Internship Networking Events:** In mid-June MTA B&T Human Resources held a "**Speakers Summit and Mixer**" that provided an opportunity for interns to network with each other and with senior staff members who highlighted their career stories. The Summit included an exercise centered on collaborative problem-solving activities regarding the implementation of alternative tolling, and the impact on MTA B&T's Organizational Focus Areas (OFA), which are: Safety, Delivery of Service, State of Good Repair, Enterprise Asset Management, Matrix Organization, and Strategic Initiatives. The summer internship program closed with a "**Farewell Summit**" and provided an opportunity for the interns to share their own experiences and contributions over the course of the ten-week program at MTA B&T. This year's Farewell Summit was planned and led by Interns Tyler Resnick and Daniel Summe. The concluding exercise included a Competency Development Survey and Summit Satisfaction Survey. Survey data revealed the internship program enhanced the professional development of its participants by improving interpersonal skills, networking skills, attention-to-detail, and overall work quality. MTA B&T believes in the importance of engaging the Millennial Generation.

## 3: ORGANIZATION AND LEADERSHIP DEVELOPMENT

- **Leadership Development:** MTA B&T continues to partner with change management experts to transform the culture and leadership of the organization and to improve performance. The workforce and leaders of MTA B&T continue to identifying the underlying causes of organizational obstacles, transforming mission critical practices and procedures, implementing diverse talent initiatives, and executing breakthrough strategies to elevate safety, security, and performance. In 2016 MTA B&T gave mid-level managers and facility supervisors a three-day leadership course designed to foster leadership skills while aligning the work that employees do every day to the organizational focus areas. MTA B&T provided coaching and mentoring training for the 2016 management associate group, Lean Process Improvement Training for Project Specific Groups, as well as executive coaching services throughout the organization.

#### 4: MOBILITY AND RETENTION PROGRAMS

- Management Associate Program:** In 2016, MTA B&T on-boarded the second group of Management Associates that include four (4) females and five (5) males. The two-year program placed participants within the Engineering and Construction Department and the Strategic Initiative Group. The management program will provide participants an opportunity to immerse themselves within the engineering and construction department and facilities. Inclusive in the on-boarding process the Management Associates participated in a three-day gothamCulture leadership course, Emergenetics training, and were assigned mentors/coaches to assist with their professional development and to facilitate with their acclimation to the transportation industry. Orientation included MTA B&T's Organizational Focus Area Leaders providing career advice, lessons learned and best practices for developing professional career paths. As part of the management associates orientation they also participated in on-site facility visits to the Operations Command Center and Maintenance Shops.

#### Engineering and Construction Management Associates Profiles

##### **Helen Huang**, Bachelor of Science in Electrical Engineering, New York University, Tandon School of Engineering

Background and Interest: experience with electric boats at General Dynamics, and wiring diagrams and routing plans for submarine cableways.  
 Facility: Ms. Huang is assigned to the Queens Midtown Tunnel (QMT) and working on the following projects: QM- 81A – design, construct and maintain a new control room and a backup control room at the QMT; QMM-349: curb, sidewalk and miscellaneous repairs at QMT; and update rapid mitigation installation sequence and drawing for QMT at Borden Avenue.

##### **Christian Buckwalter**, Bachelor of Science in Civil Engineering, University of Wisconsin-Madison

Background and Interest: Construction Management, Infrastructure Management, and Urban Planning.  
 Facility: Mr. Buckwalter is assigned to the Henry Hudson Bridge (HHB) and working on the following projects: HHM 390 – developing drawing package for painting project at Henry Hudson Bridge; GFM 509 – reconciled quantity overruns; HHC 1601: currently performing analysis and design of three replacement gantries at Henry Hudson Bridge.

##### **Kristina Lochan**, Bachelor of Science in Engineering, University of Buffalo

Background and Interest: Construction Management, Geotechnical Engineering, Bridge Engineering.  
 Facility: Ms. Lochan is assigned to the Throgs Neck Bridge (TNB) and working on the following projects: TNM-60: anchorage dehumidification essential to structural integrity of cables; TNM-386: bridge preservation, cleaning of bridge, including drainage pipes and troughs; TNM-385: tree pruning at TNB service building.

##### **Daniel Neufeld**, Bachelor of Science in Civil Engineering, Manhattan College

Background and Interest: Design, Critical Path Method (CMP,) Scheduling and Estimating.  
 Facility: Mr. Neufeld is assigned to the Verrazano-Narrows Bridge (VNB) and working on the following projects: 2016 Biennial Inspection of the VNB; weekly Bridge-Patrol Inspections of Roadway Conditions; and the coordination of the daily and nightly lane closures.

##### **Ryan Williams**, Bachelor of Science in Mechanical Engineering, Stevens Institute of Technology

Background and Interest: Engineering Design and Project Management for Control System Manufacturer.  
 Facility: Mr. Williams is assigned to the Marine Parkway-Gil Hodges Memorial Bridge (MPB) and working on the following projects: MP-03 & MP-16: Replacement of lift span machinery and control system, installation of fire standpipe system, structural steel repairs, painting of steel, friction mitigation of lift span, lift span balancing; MP-06: Scour countermeasures, abutment and pier repairs, fender repairs, Cathodic Protection system installation, and installation of fire standpipe riser; MP-21: Repair of Jacob Riis Pedestrian Overpass and Rockaway Point Boulevard, and the repaving of approaches to bridge.

**Tenzin Youdon**, Bachelor of Science in Mechanical Engineering, Union College

Background and Interest: Construction Management, Electro-Mechanical Systems, and Intelligence Traffic System Device  
Facility: Ms. Youdon is assigned to the Hugh L. Carey Tunnel (HLC) and working on the following projects: BB28/28S Phase II: Rehabilitation of Hugh L. Carey Tunnel and Brooklyn Plaza; HC-MIT 02: Installation of Emergency Generator at GIVB; HCM 371: Front Door Repair and Replacement of Manhattan Vent Building at Hugh L. Carey Tunnel.

### Strategic Initiative Group Management Associates Profiles

**Conrad Pattillo**, Master of Public Administration, Rutgers University; Master of Arts in Rhetoric, Carnegie Mellon University; and Bachelor of Science in History, University of Central Arkansas

Background and Interest: Asset Management, Project Management, Strategy, and Information Design  
Department: Mr. Pattillo is assigned to the Strategic Initiative Group and working on the following projects: Reformulation and Redesign of TBTA's Intranet; Strategic Communications Planning and Token Rebate Planning for Rockaway Bridges.

**Nicole Payne**, Master of Science in Urban Policy Analysis and Management, The New School; and Bachelor of Science in Urban Planning, East Carolina University

Background and Interest: Mass Transit, Informal Transit, Transportation Project Management, Transportation Operations Planning  
Facility: Ms. Payne is assigned to the Strategic Initiative Group and working on the following projects: Creation of a standard inventory for Asbestos Containing Material within B&T facilities; Handheld tolling equipment review; community outreach efforts to increase E-ZPass market share.

**Ben Wallen**, Master of Science in City and Regional Planning, Pratt Institute and Bachelor of Arts, Goucher College

Background and Interest: Community planning, Community Organizer, Research Fellow on Land Use Practices in Lower Manhattan; Transportation Analyst for one of the Brooklyn/Queens Waterfront Light Rail Plans. Interest include grassroots planning, land use, transportation equity, smart cities and technology integration.

Facility: Mr. Wallen is assigned to the Strategic Initiative Group and working on the following projects: Implementation of credit card program at the Throgs Neck Bridge; Ongoing overhaul of the operational forms library at Verrazano-Narrows Bridge; Researching new toll payment technologies.

- **Law Enforcement and Employee Awards Ceremony:** MTA B&T held an awards ceremony on May 18, 2016, at the Robert Moses Building and honored 104 employees for excellent achievement during the 2016 calendar year. Highlights of the Employee Recognition Awards include: Unit Citation for Traffic Incident Management System; Team Commendation for Rockaway Point Boulevard Reconstruction, Verrazano-Narrows Bridge Credit Card Pilot Program, and RFK Manhattan Plaza Bus Accident; Customer Service Award; and Uniformed MOS Individual Commendation. The Law Enforcement Awards included 91 employees for the following: Tactical Emergency Casualty Care, Medal of Valor, Commendation Medal, Life Saving Award, Excellent Policy Duty Award, and Meritorious Service Award.

## 5: PROFESSIONAL DEVELOPMENT

- **Workforce Training:** MTA B&T's workforce received Equal Employment Opportunity Training on Pregnancy and Nursing Anti-Discrimination and Workplace Accommodation; New York State Human Rights Law Article 15 Pregnancy and Medical Issues related to Childbirth, and Conviction/Prior Arrest updates; New York Corrections Law Article 23-A, New Fair Chance Act and Ban-the-Box Legislation in New York City and the impact on the hiring process; and Stop Credit Discrimination in Employment Act in New York City. The workforce continues to complete its annual mandatory New York State Governor's Office of Employee Relations that include: Prevention of Sexual Harassment, Workplace Violence, Ethics, Cyber Security, Internal Controls, and Corporate Compliance. Inclusive of the state training, MTA B&T provided professional

development seminars for the workforce that included: Assertive Communication, Professional Writing, Emergenetics, and external Professional State Certification and Continuing Education for the Engineering and Construction, EEO, Legal and Procurement Departments.

- **Health and Wellness Training:** The first two quarters MTA B&T employees participated in quality of life seminars, such as: Stress Reduction, Your Healthy Heart, Creative Problem Solving, Dealing with Difficult People, Business Etiquette, and the Prevention of Domestic Violence.

#### **ONGOING MONITORING PROGRAM**

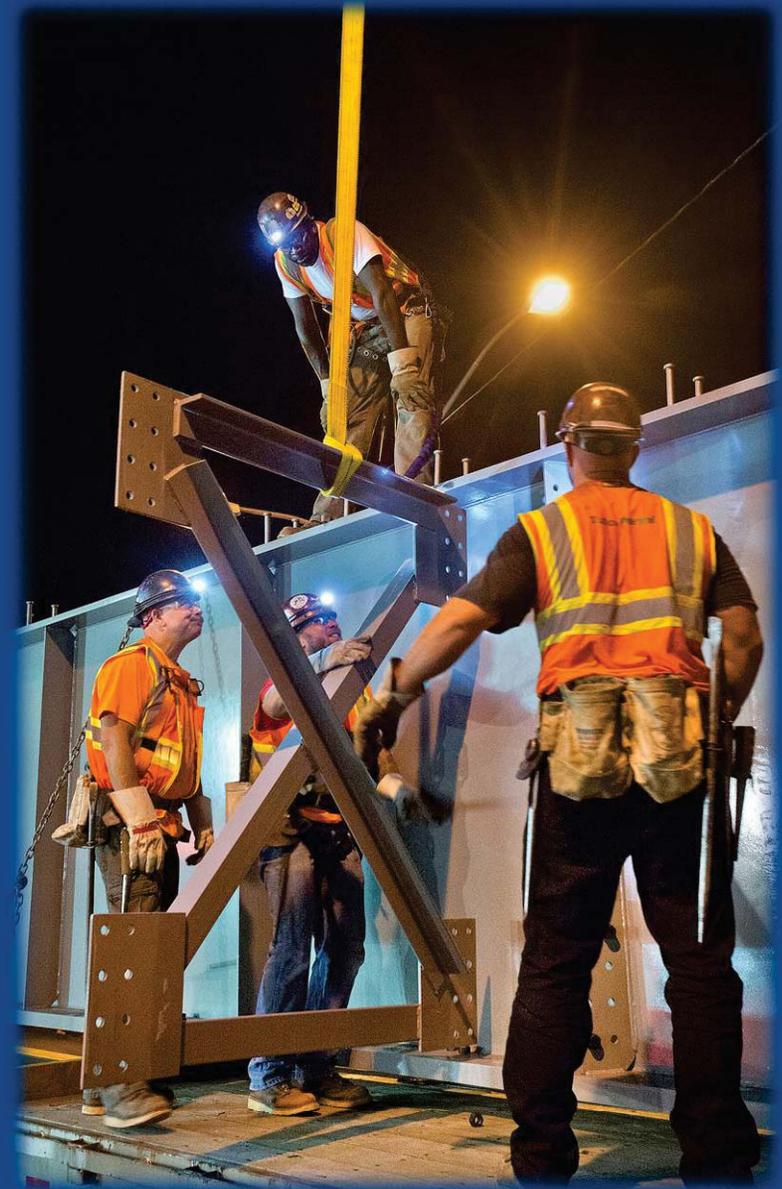
MTA B&T's Office of Equal Employment Opportunity (EEO), in partnership with the MTA B&T Human Resources Department, ensures that utilization targets for women and minorities in particular job categories in connection with hiring, transfers, and promotional opportunities are based on workforce goals and estimated availability in the relevant market. The Office of EEO must approve all discretionary hires and promotions, and for civil service positions B&T must apply the New York City Civil Service rules and regulations to the competitive titles, which impacts our utilization of under-represented groups. To address this barrier, B&T will continue to increase its efforts to address the underutilization of women and minorities through aggressive targeted recruitment.

# MTA Diversity Committee

## Second Quarter 2016 Report on Strategies to Improve Workforce Diversity

September 2016

MTA Capital Construction



# Second Quarter 2016 Report on Strategies to Improve Workforce Diversity

## Overview – MTA Capital Construction

- MTA Capital Construction (“MTACC”) is committed to meeting or exceeding utilization goals in the staffing of our organization for all protected groups. MTACC continues to partner with MTA’s Department of Diversity and Civil Rights (“DDCR”) to accomplish this.
- During the second quarter of 2015, previously reported goals of Hispanics in the Professional and Administrative Support job categories at MTACC was successfully addressed.
- Recognizing that staffing patterns are fluid and constantly changing, MTACC maintains a diversity outreach program to ensure a pipeline of diverse talent when the need to hire arises.



**2016 SECOND QUARTER EEO  
REPORT**

AGENCY NAME: **MTACC**

**NEW HIRES**

**JANUARY 1, 2016 - JUNE 30, 2016**

JOB CATEGORY	TOTAL <sup>1</sup>	FEMALES <sup>2</sup>		Non-Minorities		Minorities		BLACKS		HISPANICS		ASIANS		AI/AN		NHOPI		OTHER	
		#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>Officials &amp; Administrators</b>	9	4	44%	5	56%	4	44%	2	22%	0	0%	2	22%	0	0%	0	0%	0	0%
<b>Professionals</b>	1	1	100%	0	0%	1	100%	0	0%	0	0%	1	100%	0	0%	0	0%	0	0%
<b>Administrative Support</b>	5	2	40%	2	40%	3	60%	1	20%	0	0%	1	20%	0	0%	0	0%	1	20%
<b>Total</b>	15	7	47%	7	47%	8	53%	3	20%	0	0%	4	27%	0	0%	0	0%	1	7%

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

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

Note: MTACC currently do not have any employees in the following EEO categories: Technicians, Protective Services, Paraprofessional, Skilled Craft and Service Maintenance.



# MTACC 2016 New Hires

- As shown in the Second Quarter New Hire report, MTACC's hiring needs remained low. Only 15 new employees were hired from January through June 2016.
- As of June 30, 2016, 47% (7) of MTACC's new hires were female and 53% (8) were minority (20% (3) Black, 27% (4) Asian and 7% (1) Other).
- Ten (67%) of the 15 new hires were full-time, and five (33%) were contingent employees (of which 3 were interns).
- Although MTACC's hiring needs are relatively minor, we continue our targeted recruitment and outreach efforts to increase organizational diversity and brand awareness.



# Targeted Recruitment and Outreach Efforts

MTACC employs targeted recruitment and internship programs to address diversity. Our outreach efforts include the following:

- Corporate membership in Hispanic organizations such as HLPAs (Hispanic/Latino Professionals Association) and attendance at Latino targeted job fairs such as HLPAs, LATCareers and LatPro.
- In the 1<sup>st</sup> and 2<sup>nd</sup> Quarters of 2016, MTACC participated in the following events:
  - \* February – Stony Brook University Job Fair  
*This job fair was targeted to applicants seeking employment as either an intern or full time employee in the IT and business and political affairs industries.*
  - \* February 24 – NJIT Career Fair  
*MTACC attended this fair to recruit for open engineering positions.*
  - \* March 3 – NYU Wagner Public Service Career Expo  
*MTACC recruited for interns at this event.*
  - March 31 – John Jay Job Fair  
*MTACC recruited for interns at this event.*
  - \* April 4 – HLPAs (Hispanic/Latino Professionals Association) Job Fair  
*This job fair specifically solicited Hispanic and Latino job applicants.*
  - \* April 21 – LATPRO Job Fair  
*This job fair was part of a series of diversity events targeting Hispanic and Latino job applicants.*



# Targeted Recruitment and Outreach Efforts (Continued)

*During the 3<sup>rd</sup> Quarter of 2016:*

- \* August 18 - Brooklyn Chamber of Commerce hosted a SiriusXM sponsored workshop for HR professionals and the various veterans organizations and representatives in attendance to discuss recruitment challenges, resume creation and to share tips with one another.
- \* *August 21* – Harlem Day Business Expo to disseminate information regarding MTA career and small business opportunities to attendees.
- \* Joined the MTA All-Agency Military Recruitment Team.
- \* September 15<sup>th</sup> – Recruit Military Job Fair @ New York Hilton.
- \* September 16<sup>th</sup> – NYU STEM Career Fair @ New York Marriott.
- \* September 30<sup>th</sup> - Bronx VA Medical Center Job Fair.



# INTERNSHIPS & SOCIAL MEDIA

- During 2016, MTACC continued its paid internship program which is designed to recruit and hire diverse students from all economic backgrounds.
- This was accomplished through targeted recruitment to college level minority students.
- During the 2nd quarter of 2016, this program was expanded to eight summer interns of which seven are minorities (two Hispanic/Latino; two Asian and three Black).
- MTACC will continue to utilize social media and professional networking sites such as LinkedIn to provide information and updates on employment opportunities. Our tactic to attract Latino, Black, female and Asian candidates by posting jobs on affinity websites such as Saludos, Professional Women in Engineering, the National Society of Hispanic Professionals, and the National Society of Black Engineers will be expanded to include other sites.



# Looking Forward

Although MTACC does not expect an increase in hiring needs, MTACC intends to continue targeted recruitment and outreach efforts into 2017.

During the 4<sup>th</sup> Quarter of 2016, MTACC is scheduled to attend the following events:

- \* October 14: Suffolk County Community College Veterans job fair.
- \* October 15-16: Circle of Sisters Expo at the Jacob Javits Convention Center which is the largest expo for women of color in New York City.
- \* October 20: Edge4Vets veteran workshop sponsored by Deutsche Bank.



# 2016 SECOND QUARTER EEO REPORT

## AGENCY NAME: MTA LONG ISLAND RAIL ROAD

### STRATEGIES TO IMPROVE WORKFORCE DIVERSITY

#### EEO Program Management and Evaluation

LIRR Office of Diversity Management is responsible for monitoring the agency's EEO program and progress towards EEO goals. On an annual basis, Diversity Management develops goals for under-represented EEO job groups, based on estimated availability percentages and internal job group populations, and disseminates the information to each department, including Human Resources. On a quarterly basis, Diversity also disseminates Progress Against Goals reports to Human Resources.

Diversity Management reviews all applicant flow reports to ensure that candidate pools are diverse, and concurs with every non-represented new hire and promotion, pursuant to FTA/DOT Circular requirements.

LIRR continues to focus and improve on female and minority representation. Between January 1, 2016 and June 30, 2016, there were 274 new hires, of which, 55 (20.1%) were female and 131 (47.8%) were minority. The highest concentration of female new hires occurred in the Professionals (38.1%) and Administrative Support (35.0%) job categories. Of the 22 new hires in the Officials and Administrators category, 72.7% were minority, of which 27.3% were Asian. Of the 42 new hires in the Professionals job category, 59.5% were minority, of which 23.8% were Asian. Of the 30 new hires in the Technicians job category, 56.7% were minority, of which 36.7% were Asian. Of the 20 new hires in the Administrative Support job category, 60.0% were minority, of which 35.0% were Black. Of the 146 new hires in the Skilled Craft category, 38.4% were minority, of which 18.5% were Black. Of the 14 new hires in the Service Maintenance category, 35.7% were minority, of which 21.4% were Black

#### Upward Mobility Programs and Other Special Initiatives

##### Junior Engineer

The Junior Engineer program is an entry-level training that introduces participants to the Long Island Rail Road and its various operating and supporting departments. Specifically, the program is designed to familiarize employees with all aspects of railroad operations. The 52-week curriculum covers signals, track or structures, and on the job training. The participant will work with a mentor. Upon successful completion of the program, junior engineers are placed in an entry-level management position.

### Project Management Trainee

The Project Management Trainee program is a two-year, entry-level training position, responsible to assist with the coordination and administration of projects in the Department of Project Management. Working with seasoned project managers, trainees receive on the job and classroom training in project coordination development, controls, management, scheduling, and estimating. Trainees learn, in a mentoring environment, to apply specialized knowledge, specific to the requirements of the railroad industry. There is a series of rotation assignments that introduce trainees to the railroad and its various operating and support departments. Upon successful completion of the training program, trainees are placed into appropriate entry-level project management positions.

### Targeted Recruitment and Outreach Efforts

The Long Island Rail Road has developed a recruitment strategy designed to address the representation of females and minorities in our workforce, and to better reflect the demographics of the markets we serve. An annual hiring plan is developed at the conclusion of each year, to aid recruitment efforts for anticipated vacancies in each craft. Candidate pools are evaluated at the end of the recruitment process. If the pool is lacking diversity or if areas of under-representation need to be addressed, additional outreach is conducted.

LIRR's outreach efforts to attract women, minorities and veterans continue to expand, and include community-based and veterans job fairs, including the Hispanic/Latino Professionals Association Job Fair. LIRR posted jobs on military websites and sent job postings to military contacts. LIRR HR staff met with representatives from various colleges to inform them about internship programs each agency offers, and the application process. Additionally, LIRR conducted on-campus college recruitment and attended college job fairs, most with diverse student bodies.

1. Between **January 1 and June 30**, 2016, LIRR staff attended the following job fairs/college presentations: West Point (January 15); New Jersey Institute of Technology (February 24); Queensborough Community College (March 30); Suffolk County Community College (April 6); Vaughn College of Aeronautics and Technology (April 14); CUNY Big Apple Job Fair (April 22); Recruit Military (May 26); Bronx Community Center and Library/Lehman College (June 3); and Nassau County Job Fair (June 28).
2. Methods of advertising include social media, as well as professional organizations and career websites. Job sites on which career opportunities were posted include IMDiversity.com, National Association of Women in Construction, and military websites.
3. Employment posters are conspicuously posted in stations and terminals.

Metro-North Railroad (“MNR”) has developed an aggressive outreach recruitment strategy to address the diversity of females and minorities in its workforce. The results of these efforts will ensure MNR achieves and maintains a diverse workforce population and is seen as an employer of choice in the region. To accomplish this task, Human Resources and Diversity/EEO Departments have partnered and developed a three-prong approach that focuses on outreach, retention and culture shift.

### **Recruiting and Outreach:**

In order to recruit and hire qualified females and minorities, the recruitment staff is committed to participating in and leading events and career fairs that portray a positive image of MNR in order to create the foundation for future recruiting success. [See list below] The strategies that have proven to be the most effective are those that focus on direct contact and to that end MNR maintains extensive contacts in urban and minority communities and reaches out to high schools, local colleges, female and minority affiliated organizations and elected officials. MNR continues to seek those venues which are the most beneficial to our recruitment strategy and recognizes that our success depends upon how we market ourselves.

To that end MNR’s Internship Program continues to be a successful recruitment tool whereby interns have been recruited and hired after successfully completing the Program. In 2016 we had 58 total interns of which 21 (36.2%) were female, 30 (52%) were White, 7 (12%) were Black, 7 (12%) were Hispanic, 10 (17%) were Asian, and 4 (7%) identified as Other.

The goal of the recruiting component is to identify and attract talent from a diverse pool and to ensure that every candidate is treated fairly throughout the hiring process. To ensure that diverse pools are reviewed and screened appropriately, hiring managers and search committee members will be provided mandatory training that addresses ethics, hiring processes, EEO issues and interview skills. This training will ensure that that the application and screening processes are bias-free and that hiring managers do not let their subtle biases or cultural knowledge gaps negatively impact the hiring process.

### **Retention and Mobility:**

We offer voluntary development opportunities to all employees, which can assist them in planning for different careers within MNR or across the MTA, and can also assist them in developing business and leadership skills that will be valuable as they seek to move up within the organization. The Tuition Reimbursement Program, open-enrollment professional development courses, and Lynda.com library of online courses are available in-house to all employees, agreement and non-agreement. The Training Department will also assist managers and individual employees with finding alternative resources to meet specific employee needs. MNR has also enhanced our career counseling offerings and have expanded those services to agreement employees to assist them find higher level positions within MNR.

### Culture Shift:

Finally, MNR will only be successful in increasing and maintaining diversity if the organizational culture embraces diversity as an important business necessity. In order to achieve this goal, MNR has instituted mandatory trainings that includes EEO and Transgender/Gender Awareness and ongoing events that celebrate diversity. These trainings are intended to show MNR employees that their individual qualities and contributions enhance the agency and make it better.

### **The following strategies have been or will be implemented by Metro-North Railroad to improve female and minority representation in its workforce:**

- The Office of Diversity and EEO meets annually with all Metro-North executive and management staff to review the workplace diversity report and progress against goals, and discuss their responsibilities and efforts necessary to ensure that their departments strive to achieve their goals.
- Continue to attend career fairs of regional colleges with historically diverse student populations including CUNY and SUNY colleges as a way to recruit a diverse applicant pool for jobs and internships.
- Process established for following up with contacts made at job fairs, schools, and minority associations to ensure qualified diverse applicants apply for open positions.
- Develop long-term recruitment resources by visiting middle and high schools to introduce students to Metro-North Railroad and inform them of future career/employment opportunities before they seek college or craft schools.
- Continue to promote and enhance programs intended to promote from within and diversify job groups that have historically been underrepresented by females and minorities. These programs include the Foreman in Training program, Leadership Core Programs and the MNR Mentoring Program.
- Established Career Advisement Workshops for agreement employees to prepare them to apply for higher level management positions.
- Mandatory trainings for all employees participating in search committees on the *Recruitment and Hiring Process* that will instruct committee members on their ethical responsibilities and prepare them to conduct interviews and selections to ensure the hiring process is fair and non-discriminatory.
- Creating a diversity friendly and culturally sensitive workplace by instituting ongoing Diversity Awareness programs including Brown Bag Lunch and Learn Series.
- Work with organizations like COMTO and WTS co-host educational events geared to promoting diversity and inclusiveness.

*New for 2016*

- Mandatory *EEO Transgender/Gender Awareness* Training for all Metro-North employees to communicate EEO policies and value of diversity to MNR.
- Human Resources oversight of all internal hires and promotions to ensure the selection process is fair and consistent throughout the agency and that efforts are made to recruit diverse internal applicants.
- EEO must concur on all new hires and promotions.

Date of the Event	Name of Organization/Event
2/2/2016	Gateway Community College New Haven, CT
02/03/2016	Queens College Student Veteran Organization Queens, NY
02/122016	Stony Brook University Long Island, NY
02/122016	Career Day – Equality Staff and Scholars Bronx, NY
02/18/2016	Recruit Military @ New Yorker Hotel New York, NY
03/16/2016	Queens College Student Veteran Organization Queens, New York
03/30/2016	John Jay College on Maximizing the Job Fair Experience New York, NY
03/31/2016	MTA Metro-North Railroad and DDCR present MTA SBMP – MNR Employment Opportunities – MTAPD Recruitment
4/13/2016	George Westinghouse High School
04/14/2016	Vaughn College Queens, NY
04/14/2016	Mercy College Dobbs Ferry, NY
4/19/2016	APEX

	New York, NY
04/21/2016	NYC Hiring Our Heroes – Lexington Armory NYC, NY
05/19/2016	John Jay College NYC, NY
05/26/2016	Recruit Military @ Metropolitan Pavilion New York, NY
06/15/2016	AARP Foundation SCSEP 2016 Career Fair NYC, NY
06/28/2016	Nassau Community College Nassau, NY
7/22/2016 & 7/25/2016	Co-op Tech New York, NY
08/04/2016	US Coast Guard Family Day at Fort Wadsworth Staten Island, NY
08/08/2016	Vaughn College, Queens, NY
08/08/2016	Berk Technical School New York, NY
08/09/2016	Edge4Vets Veterans Roundtable for HR Professionals
08/20/2016	MTA Agency-Wide 2016 Annual Harlem Week Celebration NY, NY
09/09/2016	VIP Community Services Bronx, New York 176th Street
09/15/2016	Seton Hall U Career Fair South Orange, NJ
09/23/2016	Stony Brook University Long Island, NY
09/28/2016	NJIT Career Fair South Orange, NJ

09/28/2016	Stony Brook University Long Island, NY
09/29/2016	New Haven University Career Fair New Haven, CT
10/04/2016	Manhattan College Career Fair NY, NY
10/14/2016	Suffolk County Community College Veteran Career Fair & Expo Long Island, NY
10/14/2016	Hofstra University Career Fair

- Metro-North continues to identify opportunities to reach communities throughout Metro-North’s territory and throughout the five boroughs.
- We continue to practice a hands on approach to our recruitment outreach. We partner with the office of State Senator Andrea Stewart-Cousins, Council Member Christopher Johnson and others. On a weekly basis we release our job postings to council members as well as other organizations and agencies.
- Human Resources has attended 26 events this year to date.<sup>1</sup> Our purpose is to continue to identify and target females, minorities and veterans. Job fairs, career fairs, and military fairs and events, continue to assist Metro-North Railroad in addressing underutilization. Lastly we have hired 34 veterans this year to date.

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<sup>1</sup> As of September 14, 2016

**EEO and DIVERSITY REPORT  
NEW YORK CITY TRANSIT and MTA BUS COMPANY  
2016 - 1<sup>st</sup> & 2<sup>nd</sup> Quarters**

**STRATEGIES TO IMPROVE WORKFORCE DIVERSITY**

**Civil Service Laws and Rules**

New York State Civil Service Law mandates that positions in New York City Transit, with few exceptions, be filled through competitive civil service examinations. Competitive examinations are also used to fill operating and supervisory positions in MaBSTOA and the MTA Bus Company. NYC Transit and MTA Bus Company continue to expand their outreach efforts and keep the general public informed about employment and examination opportunities. However, in the case of positions requiring a competitive examination, only those applicants who achieve a passing grade can be considered for the position in list number order, without regard to race, ethnicity or gender. Approximately 80% of all jobs at NYC Transit, including MaBSTOA, are non-discretionary and are filled from a list. In the case of MTA Bus Company, 90% of the total positions are non-discretionary and are filled from a list.

As the City of New York and NYC Transit work to comply with New York State's mandate to reduce its provisional employee population, more examinations will be held and more lists established for more titles - including managerial and professional titles. The number of job titles into which NYC Transit can hire employees on a provisional basis will be reduced. As a result, NYC Transit's ability to fill positions through a purely discretionary hiring process will be severely limited. This may have a direct impact on the agency's ability to attract a diverse workforce. In addition, many experienced employees are currently serving in provisional managerial and professional titles. Many of these employees have recently been required to take and pass civil service examinations in their titles to achieve permanent status. Those employees who pass these examinations will be converted to permanent civil service status as their numbers are reached on their respective lists. Under Civil Service Law, NYC Transit will be required to replace those employees who fail to achieve a passing grade, or whose list numbers are not immediately reachable, with candidates appointed from the respective lists.

**Compensation**

Competition for talent in the construction industry, coupled with robust economic development and a strong economy throughout the five boroughs of New York City, makes it difficult for NYC Transit and MTA Bus Company to compete for skilled-trade and professional talent, which has an impact on our efforts to improve the representation of women and minorities.

**Improving the Representation of Women in the Workforce**

Attracting, hiring, and retaining more women in traditionally male-dominated jobs, particularly in the Skilled Craft and Officials & Administrators categories, remain a significant challenge. At NYC Transit, women make up 17.5% of NYC Transit's workforce of approximately 48,000 employees, and 13% of MTA Bus Company's workforce of 3,960.

**EEO and DIVERSITY REPORT  
NEW YORK CITY TRANSIT and MTA BUS COMPANY  
2016 - 1<sup>st</sup> & 2<sup>nd</sup> Quarters**

**Diversity and Inclusion Plan**

Below is a progress update on priority initiatives for NYC Transit and MTA Bus Company's Diversity and Inclusion (D&I) Plan:

**I. Integrated Strategic Approach to shift the D&I focus from Compliance to Inclusion**

Assistant Chief Officer for D&I has initiated an integrated approach to D&I that includes the following:

- Completed climate assessment and awareness briefings with the President and Executive Leadership Team.
- Commenced communication/messaging to the workforce with D&I Going Places blog, *We Move New York Because We Are New York* and *MTA Today* cover article introducing the Assistant Chief Officer for D&I.
- Conducted Diversity & Inclusion Leadership Awareness Workshops for the Executive Leadership Team and Top 150 Senior Leaders.
- Delivered Respectful & Inclusive Workplace Awareness workshops to more than 800 employees year-to-date.
- Drafted Agency-wide guidance for managing gender transition in the workplace.
- Continuing to socialize the common language of inclusion throughout the agency.
- Building internal and external relationships by representing NYC Transit and MTA Bus at various D&I related events including diversity/cultural/ethnic celebrations, the City & State Diversity Forum, Transit Tech CTE High School graduation ceremony, and information session on the request for proposal for diversity training consultants.
- An Anthropology major at New York University joined the EEO team for a six week 2016 summer internship, conducted research and provided training on Gender Identity Awareness.
- An Associate Staff Analyst recently joined the D&I team.
- Preparing a Diversity Advisory Council Strategic Plan for submission to the Executive Leadership Team in 2017 that will engage affinity/employee organizations to become a collective resource in support of D&I strategic initiatives.

**II. Pilot Mentoring Program**

- NYC Transit and MTA Bus, in collaboration with the mentoring consulting firm, Management Mentors, have designed a pilot program to improve career development and embrace diversity through a mentoring relationship. A diverse population of 25 mentor/mentee pairs will be identified for the pilot program by management in Buses (5 mentor/mentee pairs), Subways (10 mentor/mentee pairs) and the Support Services Departments (10 mentor/mentee pairs). Implementation is on track to commence during the first quarter of 2017.

**EEO and DIVERSITY REPORT  
NEW YORK CITY TRANSIT and MTA BUS COMPANY  
2016 - 1<sup>st</sup> & 2<sup>nd</sup> Quarters**

**III. Pilot Mentoring Program**

- NYC Transit and MTA Bus, in collaboration with the mentoring consulting firm, Management Mentors, have designed a pilot program to improve career development and embrace diversity through a mentoring relationship. A diverse population of 25 mentor/mentee pairs will be identified for the pilot program by management in Buses (5 mentor/mentee pairs), Subways (10 mentor/mentee pairs) and the Support Services Departments (10 mentor/mentee pairs). Implementation is on track to commence during the first quarter of 2017.

**IV. D&I Executive Training Request For Proposal**

- An All-Agency Request for Proposal for training and organizational development consultants has resulted in 33 responses/submissions from prospective service providers. From this group of applicants, the All-Agency Review Team will select D&I consultants to provide engagement, support and awareness for Executive Leadership. The All-Agency Team expects to issue procurement awards on or before the December 2016 Board Meeting.

**V. MTA Bus Chief Officer, EEO**

- MTA Bus Company President Darryl Irick appointed Natalie Mason-Kinsey, Chief Officer, EEO earlier this year.

**Ongoing Targeted Recruitment, Outreach and Hiring Efforts**

- The NYC Transit and MTA Bus' Recruitment strategy includes year-round outreach to underutilized populations to promote employment through the open-competitive examinations process and through resume-based employment opportunities. The NYC Transit Recruitment team maintains partnerships with the New York State Department of Labor, the New York City Public Library System, Veteran's organizations, City University of New York, Private Colleges and Universities, the Chinese Chamber of Commerce and New York City Career & Technical High Schools (CTE).

In 2016, the NYC Transit and MTA Bus' Recruitment team attended forty-five (45) career fairs, hosted nineteen (19) presentations, coordinated seventeen (17) career fairs for Capital Program Management and attended fourteen (14) special events which targeted underutilized populations. Some examples of this outreach include: 100 Hispanic Women Annual Conference; Annual Career Fairs sponsored by Senator Joseph Addabbo Jr. of Queens County, the Brooklyn Borough President's Office, the Staten Island Borough President's Office and Council Member Ritchie Torres of Bronx County; Department of Labor Career Fair at Hostos College; New York University STEM Students Annual Women's Summit; Lander College for Women at Touro College; New York City Board of Education 2016 Annual Conference - Today's Girl/Tomorrow's Woman; Chinese Chamber of Commerce Annual Career Fair; and Greater Allen AME Cathedral Job Fair in Queens County. This year the NYC Transit and MTA Bus' Recruitment team hosted a full day of workshops at the New York State Department of Labor Workforce One Center in Flushing, Queens to increase our exposure to Asian and Hispanic potential job applicants. We also participated in three days of recruitment activities during the 2016 Harlem Week.

**EEO and DIVERSITY REPORT  
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2016 - 1<sup>st</sup> & 2<sup>nd</sup> Quarters**

- A partnership was developed with the University of Hawaii's Career Services Office to promote awareness of NYC Transit and MTA Bus as Employers of Choice. A partnership was developed with the City College of New York Black Engineering Students organization, and NYC Transit hosted an Employer of Choice presentation.
- We are increasing our engagement in internship programs and strengthening our partnership with Transit Tech High School, along with other NYC Department of Education technical high schools, to allow the agencies to attract a diverse population of skilled-trade talent.
- In 2016, NYC Transit and MTA Bus Company extended its outreach to the general public by hosting eight days of career fairs at the 34<sup>th</sup> Street Hudson Yard Subway Station during the annual boat and auto shows.
- NYC Transit and MTA Bus Company strategically plan recruitment and sourcing efforts to ensure that information about employment opportunities and upcoming examinations leading to employment are broadly advertised throughout the five boroughs of New York City. Our media plans include professional job boards that offer broad reach and target underrepresented populations, such as *LinkedIn*, *Indeed*, *Career Builder* and *Monster*, industry specific and professional organizations, and include email blasts to Veteran organizations.

**Veteran Hiring**

From January 1, 2016 through July 31, 2016, NYC Transit and MTA Bus Company's Veterans' recruitment efforts resulted in the hiring of 59 veterans to full-time positions.

**Summer Youth Employment and Other Student Experiential Programs**

NYC Transit and MTA Bus Company currently employ 245 college and graduate interns, of which 51% are male and 49% are female. This group represents a diverse population which consists of 34% Asian, 23% Black/African-American, and 18% Hispanic/Latino. Year-to-date twenty (20) students have been converted to full-time employees, of which 55% are female and 45% are male. This population of 2016 new hires are 35% Black/African American, 30% White, 20% Hispanic and 15% Asian. In 2015, thirty-nine (39) students were hired full-time from the internship program, which demonstrates the effectiveness of the program and the fact that it continues to be a great source of talent for the organization. The population of interns hired in 2015 were 44% Female and 79% Minority (49% Black/African-American, 21% Asian and 10% Hispanic).

In 2016, NYC Transit and MTA Bus Company partnered with several programs sponsored by the Department of Education and the Department of Youth and Community Development (DYCD) to provide one hundred and seventy-one (171) students with summer internship opportunities. These programs included the Summer Youth Employment Program (SYEP), the Young Adult Internship Program (YAIP), and Ladders for Leaders, CTE Summer Internship Program, the National Association Foundation (NAF) and the Women's Transportation Seminar STEM Program. All students were matched with projects submitted by managers, who assisted in ensuring that each student received a positive learning experience in a variety of disciplines. These combined programs represented a diverse population consisting of 43% Black/African-American, 25% Asian, 19% Hispanic/Latino, and 9% other and 4% White.

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**Brand Recognition**

NYC Transit and the MTA Bus Company have an opportunity to better promote our strengths and opportunities as an Employer of Choice in order to attract a diverse workforce. This includes establishing a robust website that communicates the employer of choice messaging, and crisp, dynamic, collateral marketing materials to appeal to different markets. Work is currently underway to enhance our employment website and advance our efforts to recruit and retain talented individuals to NYC Transit and MTA Bus Company. Best practices dictate that it is essential for an organization to effectively communicate its story and promote the organization as a best place to work. A strategic approach to employer branding can have a direct impact on how NYC Transit and MTA Bus Company attracts, engages and retains talent.

**1<sup>st</sup> and 2<sup>nd</sup> QUARTER EEO REPORT**  
**January 1, 2016 – June 30, 2016**  
**MTA HEADQUARTERS**

**STRATEGIES TO IMPROVE WORKFORCE DIVERSITY**

MTA Headquarters (“MTAHQ”) is committed to creating a diverse and fully inclusive workplace, and recognizes the value of increasing the representation of women and minorities at all levels of the organization as a business necessity. To achieve workforce parity with the demographics of the community that MTAHQ serves, recruitment strategies have been established to address the underrepresentation of women and/or ethnic minorities. To accomplish these strategies, MTAHQ and the Department of Diversity and Civil Rights (“DDCR”) have partnered and developed proactive recruitment strategies to improve women and minority representation in its workforce.

**Challenges in Hiring Ethnic Minorities/Women in the Workforce**

**Native Hawaiian and other Pacific Islanders (NHOPI)**

The 2010 Census Data identified 1.2 million people in the United States as Native Hawaiian and Other Pacific Islander, either alone or in combination with one or more races. As one of the fastest-growing race groups between 2000 and 2010,

for the first time NHOPI are underutilized in all workforce categories. MTAHQ and DDCR are exploring strategies to increase representation in this group.

## **Ongoing Monitoring Program**

DDCR, in partnership with MTAHQ, ensures that utilization targets for women and minorities in particular job categories in connection with hiring and promotional opportunities are based on estimated availability and internal workforce numbers. Inclusive as part of MTAHQ's recruitment strategies is the ongoing monitoring and outreach efforts to include veterans and persons with disabilities in the talent pool.

## **Recruitment Strategies, New Initiatives, and Outreach Efforts**

### Women and Minority Recruitment

MTAHQ and DDCR are committed to working together to ensure that the EEO Officer is involved from the beginning of the outreach, recruitment, and hiring process for each recruitment effort. During the 1<sup>st</sup> and 2<sup>nd</sup> Quarter of 2016, MTAHQ and DDCR have implemented a number of recruitment strategies in an effort to increase utilization of women and minorities. For example, MTAHQ was present

during a Small Business Outreach event held on March 31, 2016 organized by DDCR. MTAHQ representatives met with various business leaders at this event regarding employment opportunities within the MTA.

MTAHQ and DDCR are in the process of validating a list of approximately 270 no-fee recruitment sources to be used in establishing relationships with state, federal, and community based organizations and external ethnic and women associations. This list is expected to be fully validated by the end of September 2016. Once validated, this list will be shared throughout the MTA family as a means of sourcing women and ethnic minorities into the MTA workforce.

DDCR is in the process of providing workforce utilization reports to MTAHQ that distinctly capture utilization within each of MTAHQ's core employee populations: Police, BSC, IT, and MTA. Distinguishing utilization within these core recruitment areas allows MTAHQ to better identify where our current strategies are successful and where they are unsuccessful. This will also allow development of customized recruitment strategies around each of these areas to address our ongoing

workforce needs. MTAHQ will continue to work with DDCR to find new sources for those categories that are underutilized within the various job categories.

DDCR and MTA's Corporate Training Department will work together to create a robust college internship program as a strategy for recruiting and developing diverse future talent.

### Veterans Recruitment:

Under the direction of MTAHQ's Director of All Agency Veteran Recruitment, the MTA and its agencies participated in 41 military job fairs and outreach events for the first eight months of 2016. In addition to organizing MTA's attendance at veterans job fairs, MTAHQ sponsored workshops on "How To Read a Military Resume" and "The Uniformed Services Employment and Reemployment Rights Act – USERRA." These workshops were provided to veterans and MTA Agency staff to assist the military community in learning about and applying for positions throughout the MTA family. As a result of these efforts, MTA has hired 104 service members from January 1 – June 30, 2016.

MTAHQ and DDCR will continue to work in partnership with the BSC to send all new job openings to organizations inclusive of veterans, as well as women and minority organizations.

### Police Recruitment

In March 2016, with the assistance of New York City Transit, MTAHQ administered an entry level written examination to approximately 3,700 applicants remaining in our 2012 Police Officer applicant pool. MTAHQ expects to hire 90 candidates from this pool between January and July 2017. Upon completion of these hires, MTAHQ will have exhausted all remaining candidates from the 2012 applicant pool.

As of June 2016, MTAHQ initiated a new advertising campaign and application process for the MTA Police Officer position. MTAHQ anticipates administering a new examination for MTA Police Officer during the first quarter of 2017.

As of the application closing date of August 15, 2016, MTA received approximately 23,500 applications. This is the highest number of applications MTAHQ has received to date for the MTA Police Officer position.

The advertising and outreach campaign for this initiative was extensive and widespread, covering newspapers, radio, colleges and universities, websites, posters and seat drops on MTA facilities/properties, military and community events/job fairs, and covering a variety of social media.

The advertising and outreach campaign also included internal and external outreach for the MTA Police Officer position which was conducted throughout the metropolitan region by representatives from MTAHQ Human Resources and the MTA Police Department, as well as the MTA Guardians Association.



Metropolitan Transportation Authority

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

**September 26, 2016**

**DBE Participation in Federally Funded Contracts  
Federal Fiscal Year 2016\*  
(October 1, 2015 to June 30, 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 June 2016, MTA awarded \$1.15 billion in the federally funded portion of contracts and awarded over \$188.3 million (16%) to certified DBEs.
- From October 2015 through June 2016, MTA paid prime contractors over \$1.3 billion, with payments to certified DBEs totaling \$221 million (17%).

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

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

**AWARDS\***

CONTRACT AWARDS	PRIME AWARDS		DBE PARTICIPATION			OVERALL FTA GOAL
	Number of Contracts	Award Amount	Number of DBE Contracts	DBE Award Amount	% To Agency Total	
<b>1st SEMI-ANNUAL REPORT October 2015 - March 2016</b>	829	\$487,068,619	85	\$57,428,737	12%	17%
<b>2ND SEMI-ANNUAL REPORT April 2016- June 2016</b>	364	\$663,760,126	29	\$130,926,687	20%	17%
<b>TOTAL</b>	<b>829**</b>	<b>\$1,150,828,744</b>	<b>114</b>	<b>\$188,355,424</b>	<b>16%</b>	<b>17%</b>

**PAYMENTS\***

CONTRACT PAYMENTS	PAYMENTS TO PRIMES		DBE PARTICIPATION			OVERALL FTA GOAL
	Number of Contracts	Payment Amount	Number of DBE Subcontracts	DBE Payment Amount	% To Agency Total	
<b>1st SEMI-ANNUAL REPORT October 2015 - March 2016</b>	116	\$850,371,389	249	\$150,635,489	18%	17%
<b>2ND SEMI-ANNUAL REPORT April 2016- June 2016</b>	123	\$489,194,479	478	\$70,641,378	14%	17%
<b>TOTAL</b>	<b>239</b>	<b>\$1,339,565,868</b>	<b>727</b>	<b>\$221,276,867</b>	<b>17%</b>	<b>17%</b>

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

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

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

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

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

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

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

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

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

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

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

	Total Awards	Total DBE Awards	DBE%
October 2015 - March 2016	\$487,068,619	\$57,428,737	12%
April 2016 - June 2016	\$663,760,126	\$130,926,687	20%
<b>Total 2015</b>	<b>\$1,150,828,745</b>	<b>\$188,355,424</b>	<b>16%</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 - June 2016**

	Total Prime Payments	Total DBE Payments	DBE%
October 2015 - March 2016	\$850,371,389	\$150,635,489	18%
April 2016 - June 2016	\$489,194,479	\$70,641,378	14%
<b>Total 2015</b>	<b>\$1,339,565,868</b>	<b>\$221,276,867</b>	<b>17%</b>

**MWBE Participation in State Funded Contracts  
New York State Fiscal Year 2016-2017\*  
(April 1, 2016 to June 30, 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.
- From April 1, 2016 to June 30, 2016, MTA awarded approximately \$398 million in in NY State funded contracts, with over \$67 million (17%) awarded to certified MWBEs.
- From April 1, 2016 to June 30, 2016, MTA paid over \$424 million on prime contracts with approximately \$92 million (22%), 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, 2016-JUNE 30, 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>	19,662	\$397,839,032	1,257	\$67,273,692	17%	30%
<b>APRIL 2016-JUNE 2016</b>						
<b>TOTAL</b>	<b>19,662</b>	<b>\$397,839,032</b>	<b>1,257</b>	<b>\$67,273,692</b>	<b>17%</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>	2,347	\$424,262,264	3,325	\$91,879,116	22%	30%
<b>APRIL 2016-JUNE 2016</b>						
<b>TOTAL</b>	<b>2,347</b>	<b>\$424,262,264</b>	<b>3,325</b>	<b>\$91,879,116</b>	<b>22%</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 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 2016 - 2017 MWBE AWARDS

April 2016 - June 2016

	AGENCY	AGENCY PRIME AWARDS	MBE AWARDS	MBE%	WBE AWARDS	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	MTA	\$397,839,032	\$29,956,483	8%	\$37,317,209	9%	\$67,273,692	17%
QTR. 2	MTA							
QTR. 3	MTA							
QTR. 4	MTA							
<b>TOTALS</b>		<b>\$397,839,032</b>	<b>\$29,956,483</b>	<b>8%</b>	<b>\$37,317,209</b>	<b>9%</b>	<b>\$67,273,692</b>	<b>17%</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	AGENCY EXPENDICTURE	MBE Utilization	MBE%	WBE Utilization	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	MTA	\$341,714,029	\$40,020,062	12%	\$33,645,353	10%	\$73,665,416	22%
QTR. 2	MTA	\$292,881,193	\$41,026,934	14%	\$34,944,002	12%	\$75,970,936	26%
QTR. 3	MTA	\$320,491,973	\$39,377,640	12%	\$34,936,213	11%	\$74,313,852	23%
QTR. 4	MTA	\$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	AGENCY EXPENDITURE	MBE Utilization	MBE%	WBE Utilization	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	MTA	\$297,168,938	\$38,442,457	13%	\$32,369,365	11%	\$70,811,822	24%
QTR. 2	MTA	\$325,324,903	\$44,176,954	14%	\$27,605,651	8%	\$71,782,605	22%
QTR. 3	MTA	\$254,448,102	\$29,988,877	12%	\$25,878,825	10%	\$55,867,702	22%
QTR. 4	MTA	\$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	AGENCY EXPENDITURE	MBE Utilization	MBE%	WBE Utilization	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	MTA	\$233,684,948	\$33,602,464	14%	\$34,870,328	15%	\$68,472,792	29%
QTR. 2	MTA	\$343,625,818	\$38,521,516	11%	\$36,186,188	11%	\$74,707,703	22%
QTR. 3	MTA	\$381,607,285	\$51,644,029	14%	\$42,171,469	11%	\$93,815,498	25%
QTR. 4	MTA	\$337,981,769	\$39,833,994	12%	\$39,248,993	12%	\$79,082,987	23%
<b>TOTALS</b>		<b>\$1,296,899,819.67</b>	<b>\$163,602,002</b>	<b>13%</b>	<b>\$152,476,978</b>	<b>12%</b>	<b>\$316,078,980</b>	<b>24%</b>

FY 2016 - 2017 MWBE PAYMENTS

April 2016 - June 2016

	AGENCY	AGENCY EXPENDITURE	MBE Utilization	MBE%	WBE Utilization	WBE %	Total M/WBE	Total M/WBE %
QTR. 1	MTA	\$424,262,264	\$50,662,036	12%	\$41,217,080	10%	\$91,879,116	22%
QTR. 2	MTA							
QTR. 3	MTA							
QTR. 4	MTA							
<b>TOTALS</b>		<b>\$424,262,263.87</b>	<b>\$50,662,036</b>	<b>12%</b>	<b>\$41,217,080</b>	<b>10%</b>	<b>\$91,879,116</b>	<b>22%</b>

**MTA ALL AGENCY  
DISCRETIONARY PROCUREMENT REPORT\*  
APRIL 2016 - JUNE 2016**

<b>Agency</b>	<b>Total Awards \$200k or Less</b>	<b>MWBE Discretionary Awards</b>	<b>Discretionary MWBE</b>	<b>SBC Discretionary</b>	<b>Discretionary SBC</b>
<b>MTA NYCTA</b>	\$27,506,946	\$8,738,359	32%	\$2,779,733	10%
<b>MTA MNR</b>	\$10,642,649	\$1,005,006	9%	\$57,001	1%
<b>MTA B&amp;T</b>	\$1,014,629	\$0	0%	\$0	0%
<b>MTA LIRR</b>	\$9,908,590	\$708,293	7%	\$283,269	3%
<b>MTA HQ</b>	\$2,233,691	\$321,328	14%	\$264,320	12%
<b>MTA CC</b>	\$104,545	\$73,800	71%	\$0	0%
<b>MTA BUS</b>	\$6,410,767	\$549,939	9%	\$59,423	1%
<b>Total</b>	<b>\$57,821,817</b>	<b>\$11,396,724</b>	<b>20%</b>	<b>\$3,443,745</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. The MTA Board adopted the All-Agency Procurement Guidelines on or about June 22, 2016 raising the discretionary threshold limit to \$400,000.

**MTA ALL AGENCY  
TOTAL PROCUREMENTS  
APRIL 2016 - JUNE 2016**

Agency	Total Award Amount	Total MWBE Awards	MWBE
MTA NYCTA	\$227,605,737	\$15,449,569	7%
MTA MNR	\$49,577,252	\$1,645,557	3%
MTA B&T	\$15,885,195	\$0	0%
MTA LIRR	\$17,679,873	\$1,762,862	10%
MTA HQ	\$46,824,497	\$3,257,023	7%
MTA CC	\$104,545	\$92,645	89%
MTA BUS	\$22,647,954	\$701,459	3%
<b>Total</b>	<b>\$380,325,054</b>	<b>\$22,909,114</b>	<b>6%</b>

**A & E Awards thru Discretionary Procurement as of 8/2/16**

<b>#</b>	<b>Agency</b>	<b>Project Name &amp; Description</b>	<b>Primary Trades</b>	<b>Contract Amount</b>	<b>Notice of Award Date</b>	<b>Contractor Certification</b>
1	B&T	Installation of Security Fencing @ the BWB Bronx Approach & Queens Anchorage	Construction Administration & Inspection Services	\$ 147,356	3/16/16	MBE
2	B&T	Sidewalk Repairs @ the Queens Midtown Tunnel	Construction Administration & Inspection Services	\$ 131,615	4/18/16	MBE
3	LIRR	Geotechnical Subsurface Investigation of North Main Street & Accabonack Bridge	Design - Environmental. Soils	\$ 55,888	5/6/16	MBE
4	B&T	Retrofitting suspender Ropes Socket Boxes for Inspection at BWB	Inspection and Design, Expert engineering, and Engineering support Services	\$ 109,002	7/19/16	MBE
5	LIRR	3D Renderings of North Main Street & Accabonack Bridge	Design - Lines (Bridges)	\$ 11,252	TBD	MBE

**Total : \$ 455,113**

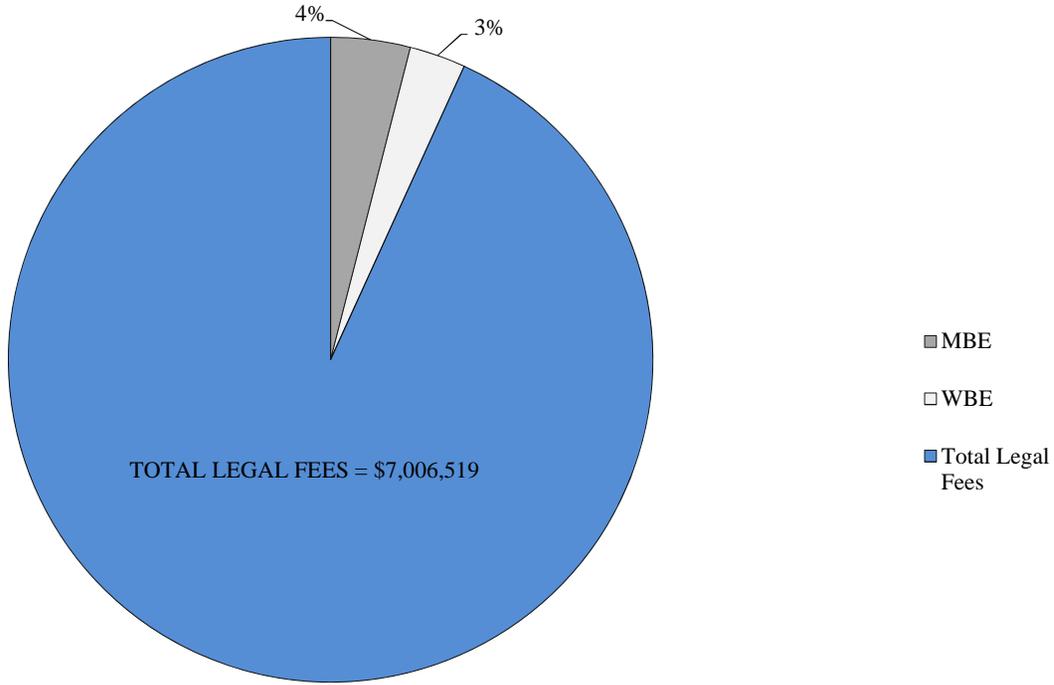
**IT Discretionary Consulting Contract No. 14357**

<b>Vendor</b>	<b>PO Number</b>	<b>PO Amount</b>
<b>Capstone</b>	9000004990	\$ 114,950.00
	9000004991	\$ 114,950.00
	9000005220	\$ 96,800.00
<b>Donnelly &amp; Moore</b>	9000005233	\$ 105,000.00
<b>IIT</b>	9000005219	\$ 114,950.00
<b>Info People</b>	9000004895	\$ 180,000.00
	9000004992	\$ 95,000.00
	9000005003	\$ 70,400.00
<b>InfoSys</b>	9000004973	\$ 150,000.00
	9000005207	\$ 101,304.00
	9000005232	\$ 70,400.00
<b>Prutech</b>	9000005067	\$ 131,856.00
	9000005068	\$ 52,000.00
	9000005069	\$ 27,664.00
	9000005196	\$ 70,400.00
	9000005197	\$ 70,400.00
	9000005226	\$ 18,500.00
<b>QED</b>	9000005004	\$ 112,000.00
	9000005005	\$ 63,648.00
	9000005006	\$ 112,230.00
	9000005075	\$ 48,269.00
	9000005076	\$ 70,200.00
	9000005173	\$ 65,520.00
	9000005198	\$ 93,600.00
	9000005200	\$ 150,000.00

**IT Discretionary Consulting Contract No. 14357**

<b>Vendor</b>	<b>PO Number</b>	<b>PO Amount</b>
	9000005217	\$ 96,800.00
	9000005218	\$ 65,520.00
	9000005227	\$ 126,360.00
	9000005228	\$ 41,184.00
	9000005229	\$ 41,184.00
	9000005230	\$ 67,392.00
	9000005231	\$ 56,160.00
<b>SOFT</b>	9000004949	\$ 79,166.67
	9000004950	\$ 102,351.50
	9000005194	\$ 105,000.00
	9000005195	\$ 95,000.00
<b>UCI</b>	9000005094	\$ 70,400.00
	9000005202	\$ 112,882.00
	9000005204	\$ 94,550.00
	9000005205	\$ 28,642.00
	9000005206	\$ 94,550.00
		<b>\$ 3,577,183.17</b>

MTA ALL AGENCY LEGAL FEES  
April 2016 - June 2016



15% MBE GOAL  
15% WBE GOAL

Actual MBE Participation = \$253,714 or 4%  
Actual WBE Participation = \$180,628 or 3%

**MTA ALL AGENCY LEGAL FEES PAID  
APRIL 2016 THROUGH JUNE 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	\$39,972	\$4,406	11.0%	\$15,957	39.9%
LIRR	\$281,584	\$12,527	4.4%	\$542	0.2%
MTABUS	\$843,340	\$38,354	4.5%	\$48,502	5.8%
MTACC	\$136,625	\$0	0.0%	\$7,110	5.2%
MTAHQ	\$2,971,447	\$116,468	3.9%	\$27,065	0.9%
MNR	\$565,677	\$45,498	8.0%	\$0	0.0%
NYCTA	\$2,167,875	\$36,461	1.7%	\$81,452	3.8%
<b>TOTAL</b>	<b>\$7,006,519</b>	<b>\$253,714</b>	<b>3.6%</b>	<b>\$180,628</b>	<b>2.6%</b>

# Metropolitan Transportation Authority Department of Diversity and Civil Rights

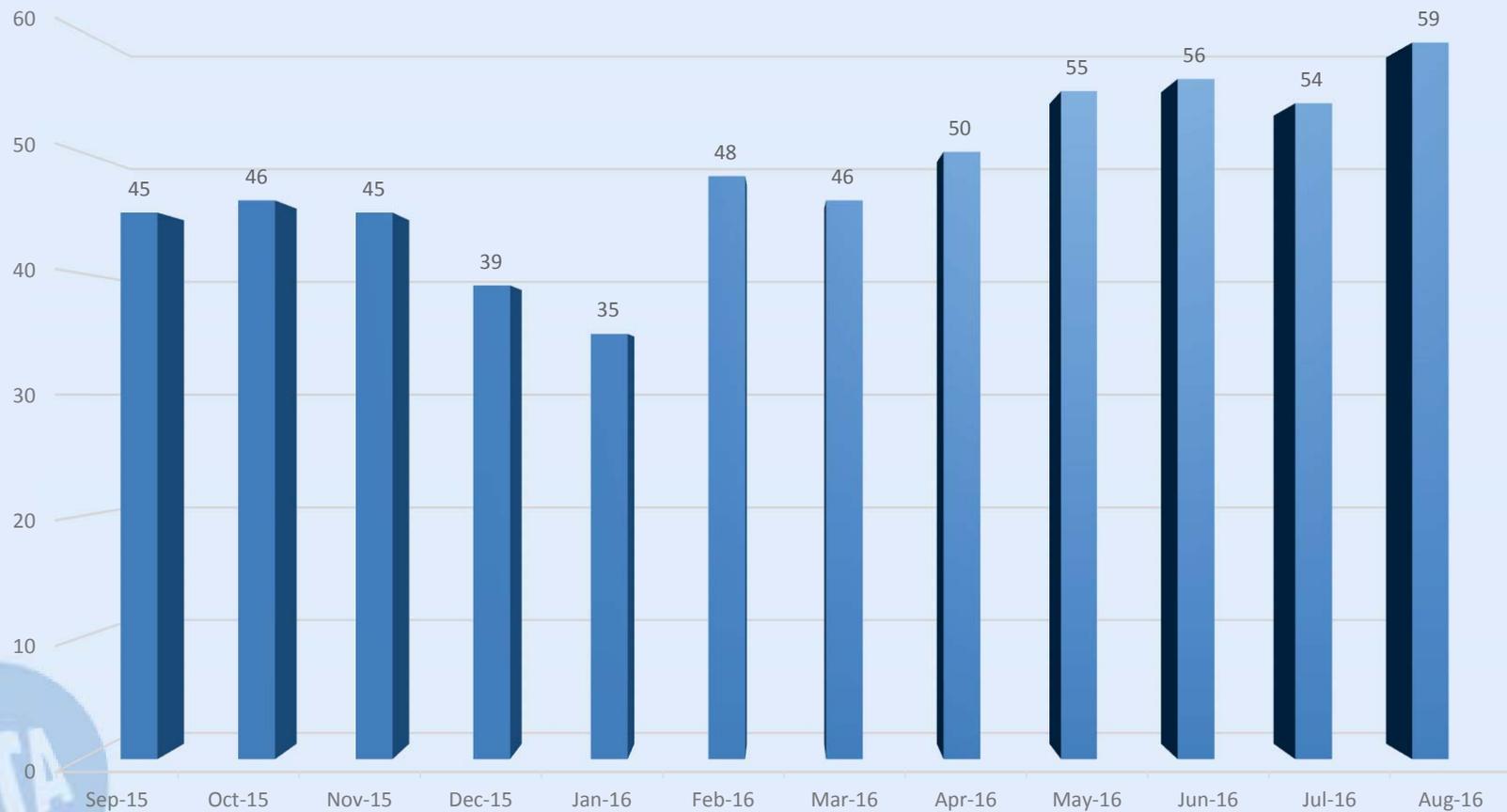
Project Site Visits  
September 2015 – August 31, 2016



# MTA Headquarters DDCR – Project Site Visits

*September 1, 2015 to August 31, 2016*

*Total Site Visits Performed = 578*



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

Status of Inactive Contracts  
August 2014 – August 2016



**MTA Headquarters  
DDCR Update**  
*Inactive Contracts - Status as of August 31, 2016*

Inactive Contracts with Goals	#
<b>1. Total Contracts Reviewed and Closed</b>	<b>811</b>
<b>2. Contracts Administratively Closed</b>	<b>282 <sup>1</sup></b>
<b>Sub-Total</b>	<b>1093 (91%)</b>
<b>3. Close-Outs in Progress</b>	<b>66</b>
<b>4. Contracts Pending Agency Action</b>	<b>41</b>
<b>Total</b>	<b>1,200 <sup>2</sup> (100%)</b>

1. *Contracts administratively closed because of the age of the contract (beyond the established seven-year record retention period).*
2. *Total number of inactive & closed contracts as of August 31, 2016.*



# MTA Headquarters DDCR Update

## *DDCR Contract Closeout Progression August 2014 to August 31, 2016*





Metropolitan Transportation Authority

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

**September 26, 2016**

**DBE AWARDS ON MTA CAPITAL PROJECTS with GOALS  
JANUARY 2016 - JUNE 2016  
FEDERALLY FUNDED**

FEDERALLY FUNDED	FIRST QUARTER (JANUARY-MARCH) (in millions)			SECOND QUARTER (APRIL-JUNE) (in millions)			2016 TOTALS (JANUARY- JUNE 2016) (in millions)		
	Total Awards	Total DBE Awards	DBE Participation (%)	Total Awards	Total DBE Awards	DBE Participation (%)	Total Awards	Total DBE Awards	DBE Participation (%)
<b>DBE Participation Goal: 17%</b>									
Construction	\$ 219	\$ 9	4%	\$ 636	\$ 127	20%	\$ 855	\$ 136	16%
Professional Services	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%
Other									
<b>TOTAL</b>	<b>\$ 219</b>	<b>\$ 9</b>	<b>4%</b>	<b>\$ 636</b>	<b>\$ 127</b>	<b>20%</b>	<b>\$ 855</b>	<b>\$ 136</b>	<b>16%</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	\$ 219	\$ 5		\$ 637	\$ 77		\$ 856	\$ 82	
Professional Services	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
Other	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
<b>Total</b>	<b>\$ 219</b>	<b>\$ 5</b>		<b>\$ 637</b>	<b>\$ 77</b>		<b>\$ 856</b>	<b>\$ 82</b>	

**MWBE AWARDS ON MTA CAPITAL PROJECTS with GOALS**  
**JANUARY 2016 - JUNE 2016**  
**STATE FUNDED**

STATE FUNDED	FIRST QUARTER (JANUARY-MARCH) (in millions)			SECOND QUARTER (APRIL-JUNE) (in millions)			2016 TOTALS (JANUARY-JUNE 2016) (in millions)		
	Total Awards	Total MBE Awards	MBE Participation (%)	Total Awards	Total MBE Awards	MBE Participation (%)	Total Awards	Total MBE Awards	MBE Participation (%)
<b>MBE Participation Goal: 15%</b>									
Construction	\$ 46	\$ 7	15%	\$ 122	\$ 14	11%	\$ 167	\$ 21	12%
Professional Services	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%
Other	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%
MBE Participation on FTA-funded projects									
<b>TOTAL</b>	<b>\$ 46</b>	<b>\$ 7</b>	<b>15%</b>	<b>\$ 122</b>	<b>\$ 14</b>	<b>11%</b>	<b>\$ 167</b>	<b>\$ 21</b>	<b>12%</b>
<b>WBE Participation Goal: 15%</b>									
Construction	\$ 46	\$ 6	13%	\$ 122	\$ 16	13%	\$ 167	\$ 22	13%
Professional Services	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%
Other	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%
WBE Participation on FTA-funded projects									
<b>TOTAL</b>	<b>\$ 46</b>	<b>\$ 6</b>	<b>13%</b>	<b>\$ 122</b>	<b>\$ 16</b>	<b>13%</b>	<b>\$ 167</b>	<b>\$ 22</b>	<b>13%</b>
<b>Additional DBE Participation:</b>	<b>Total Awards</b>	<b>Total DBE Awards</b>		<b>Total Awards</b>	<b>Total DBE Awards</b>		<b>Total Awards</b>	<b>Total DBE Awards</b>	
Construction	\$ 46	\$ 8		\$ 122	\$ 29		\$ 168	\$ 37	
Professional Services	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
Other	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
<b>Additional DBE Participation Total</b>	<b>\$ 46</b>	<b>\$ 8</b>		<b>\$ 122</b>	<b>\$ 29</b>		<b>\$ 168</b>	<b>\$ 37</b>	



Metropolitan Transportation Authority

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

**September 26, 2016**

# Annual Update of MTA Small Business Development Program

**Small Business Mentoring Program-Tier 1 (SBMP-Tier 1)**

**Small Business Mentoring Program-Tier 2 (SBMP-Tier 2)**

**Small Business Federal Program (SBFP)**

**September 26, 2016 Diversity Committee Meeting**



**Amil Patel, P.E.**  
Deputy Director  
Office of Construction Oversight  
Department of Capital Programs

**George Cleary**  
Deputy Director  
Small Business Development Program  
Department of Diversity and Civil Rights

# Small Business Development Program

## Mission Statement

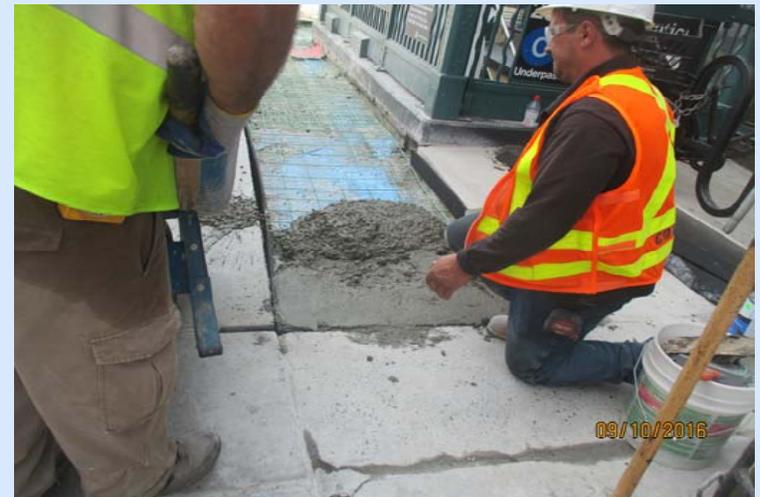
To develop and grow small contractors through on-the-job and classroom training, and technical assistance in prime contracts with MTA Agencies, thereby creating a larger pool of diverse qualified contractors who can compete for, and complete MTA construction projects safely, timely and within budget.



# SBMP-Tier 1 Status

## Program Year (PY) – July 15<sup>th</sup> to July 14<sup>th</sup>

- New York State and local funding
- Prime contracts up to \$1 million
- 132 prequalified firms
- Contractors participate for a maximum of 4 years
- Bond requirements waived



# SBMP-Tier 1 Status

## Typical SBMP-Tier 1 Projects

- Stair replacements and station improvements
- Roofing
- HVAC and electrical upgrades
- Installation of bus chassis wash lift equipment
- Bridge and parking structure painting projects
- Masonry, asphalt, concrete paving, roofing and site work
- Elevator projects
- Help Point intercom systems



# SBMP-Tier 1 Status

## PY '11 – PY '16 Awards

	<b>Projects</b>	<b>Amount</b>
Awarded to 131 Firms	189	\$114.4M
Substantially Completed	149	\$87.0M

**PY '17 Award Goal for SBMP-Tier 1 is \$37 Million**

## Process Metrics

	<b>Goal</b> (in Days)	<b>Actual</b> (in Days)
Payments	10	10.5
Awards	22	17.0
Closeouts	20	44.4
Change Orders	15	24.5

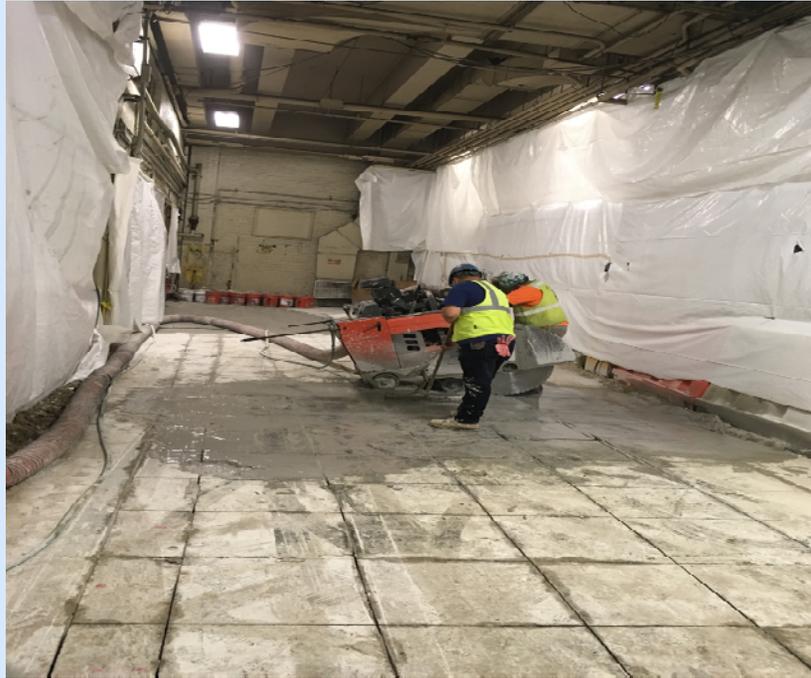


# SBMP-Tier 1 Achievements

- 301 firms prequalified since program inception
- 131 firms awarded projects since program inception
- 45 of the 131 firms were awarded 2 or more projects
- Several participants obtained MTA contracts outside of the SBDP



# SBMP-Tier 1 Project



**In Progress**



**Final**

S & P Construction Management, a NYS certified MBE firm, completed the installation of the Vertical Platform Lift at East New York Bus Depot project at a total cost of \$435,786. Project was completed safely, on time and within budget.



# SBMP-Tier 1 Project



**In Progress**



**Final**

PETK, Inc, a NYS certified MBE and a MTA certified DBE firm, completed the stair replacement @ 23<sup>rd</sup> Street & 8<sup>th</sup> Avenue (S1/P1, S2/P2) project at a total cost of \$732,000. Project was completed safely, on time and within budget.



# SBMP-Tier 2 Program

- Program in existence for two years
- State funded prime contracts from \$1M to \$3M
- Participation for up to 4 years
- Payment and performance bonds required
- 41 prequalified firms, which are all graduates from SBMP-Tier 1

## **PY '15 – PY '16 Awards**

	<b>Projects</b>	<b>Amount</b>
Awarded to 15 Firms	17	\$32.2M
Substantially Completed	8	\$15.8M

**PY '17 Award Goal is \$29 Million**



# SBMP Tier 2 Project



**In Progress**



**Final**

SH5 Construction Corporation, a NYS certified M/WBE and a MTA certified DBE firm, completed a multiple Stairs Replacement project at Grand Street Station at a total cost of \$2,525,000. Project was completed safely, on time and within budget.



# SBMP Tier 2 Project



**In Progress**



**Final**

Kapris, Inc., a NYS certified MBE firm completed the Croton Harmon Station Overpass Renovation Project at a total cost of \$2,436,000. Project was completed safely, on time and within budget.



# Small Business Federal Program

- Federally funded prime contracts up to \$3 million
- Participation for a maximum of 4 years
- Payment and performance bonds required
- 37 prequalified firms; 21 graduated from SBMP-Tier 1
- 19 firms awarded projects since inception
- 11 of the 19 firms were awarded 2 or more projects

## PY '13 – PY '16 Awards

	<b>Projects</b>	<b>Amount</b>
Awarded to 19 Firms	34	\$65.6M
Substantially Completed	29	\$56M

**PY '17 Award Goal is \$29 Million**



# SBFP Project



**In Progress**



**Final**

Earth Construction Corp., a NYS certified WBE and a MTA certified DBE firm, completed the furnishing and installation of the under grating mechanical closure devices and access hatches at various locations at a total cost of \$1,938,131 in support of Hurricane Sandy Resiliency Program. Project was completed safely, on time and within budget.



# SBFP Project



**In Progress**

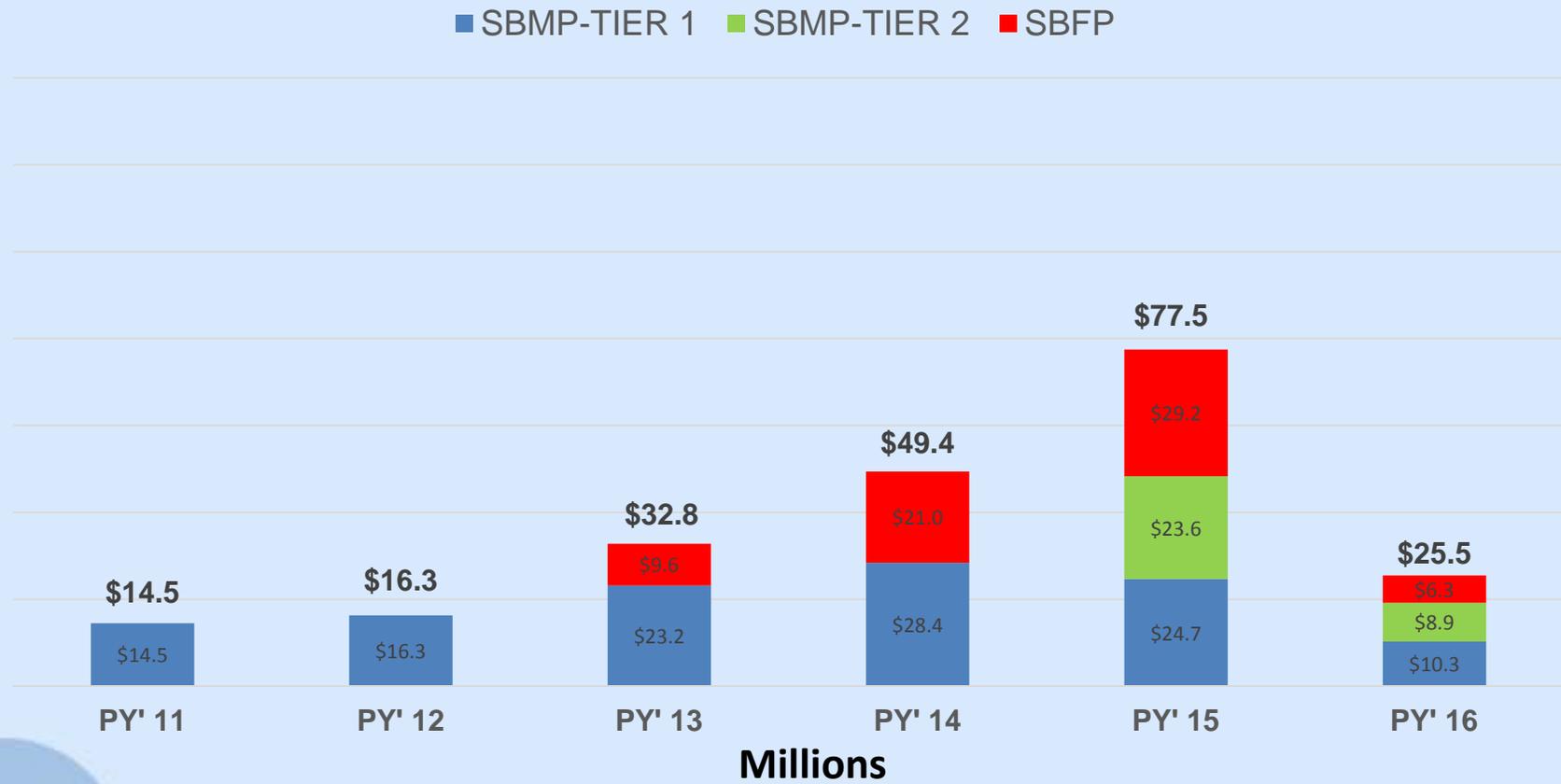


**Final**

Hibuild Limited Liability Company, a NYS certified WBE and a MTA certified DBE firm, completed the Crew Facilities Rehabilitation Project at South Street Ferry Terminal and Whitehall Street Station at a total cost of \$2,249,109 in support of Hurricane Sandy Recovery Program. Project was completed safely, on time and within budget.



# SBDP Contract Value Exceeds \$200 Million Over Six Years



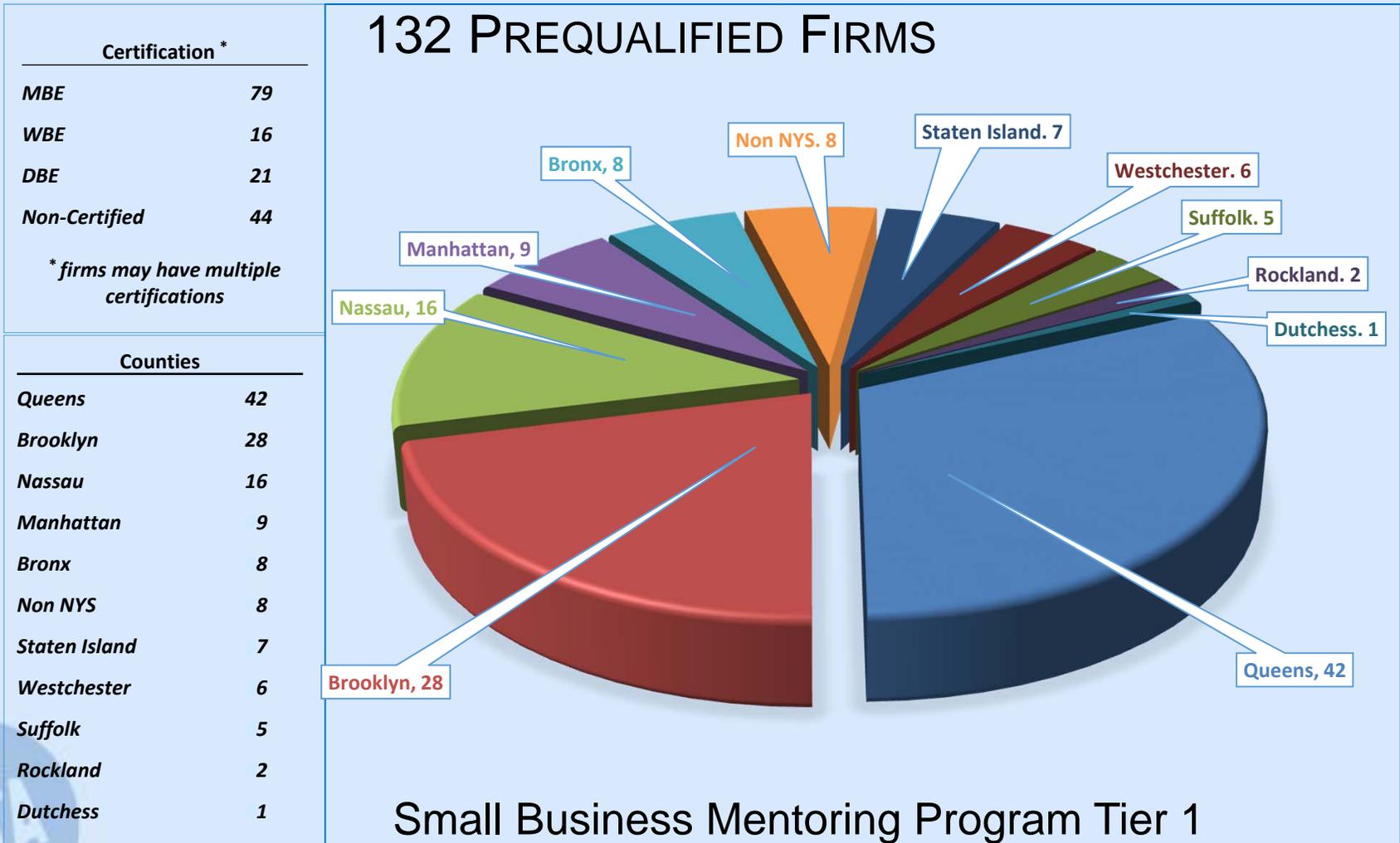
# Business Development



# SBDP Outreach

## Small Business Mentoring Program Tier 1

132 PREQUALIFIED FIRMS



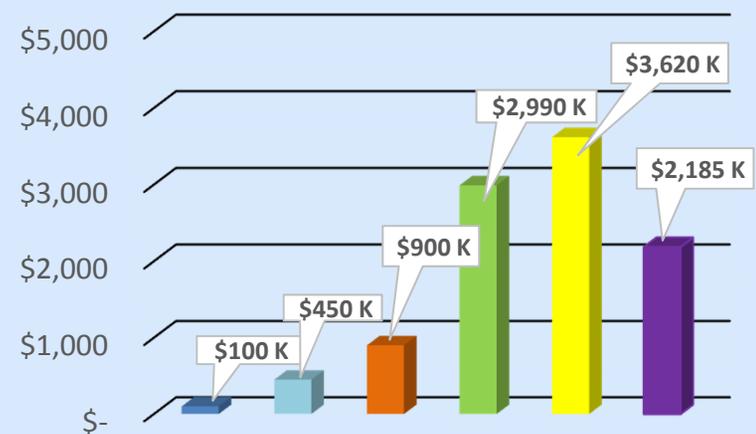
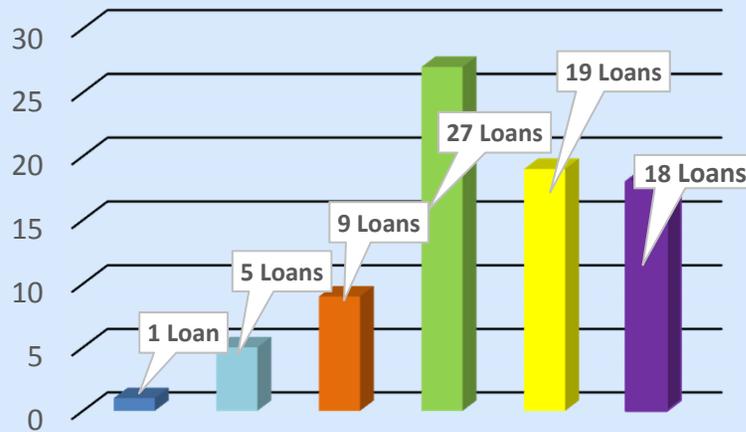
Small Business Mentoring Program Tier 1

# SBDP Loan Program

## Loans

	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	-	18 Loans	totaling	\$2,185,000
	<b>Total</b>		<b>79 Loans</b>	<b>Totals</b>	<b>\$10,245,000</b>

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



# SMALL BUSINESS DEVELOPMENT PROGRAM

## **SBMP-Tier 1 MWBE Accomplishments**

- **MTA 30% MWBE Goal**
- 71% of all contracts were awarded to NYS Certified MWBEs
- 70% of all contract dollars were awarded to NYS Certified MWBEs

## **SBMP-Tier 2 MWBE Accomplishments**

- **MTA 30% MWBE Goal**
- 71% of all contracts were awarded to NYS Certified MWBEs
- 74% of all contracts dollars were awarded to NYS Certified MWBEs

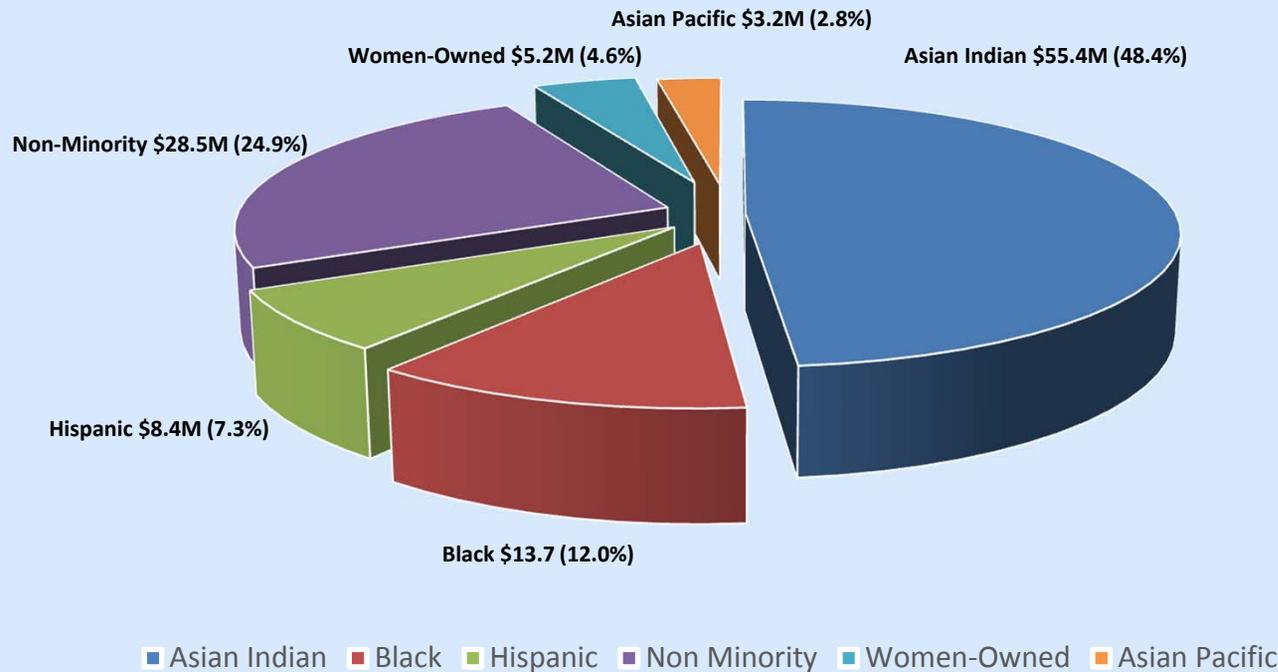
## **SBFP DBE Accomplishments**

- **MTA 17% DBE Goal**
- 47% of all contracts were awarded to Certified DBEs
- 45% of all contracts dollars were awarded to Certified DBEs



# SBDP Contract Awards

## Contract Awards in SBMP-Tier 1 by Ethnic/Gender Category



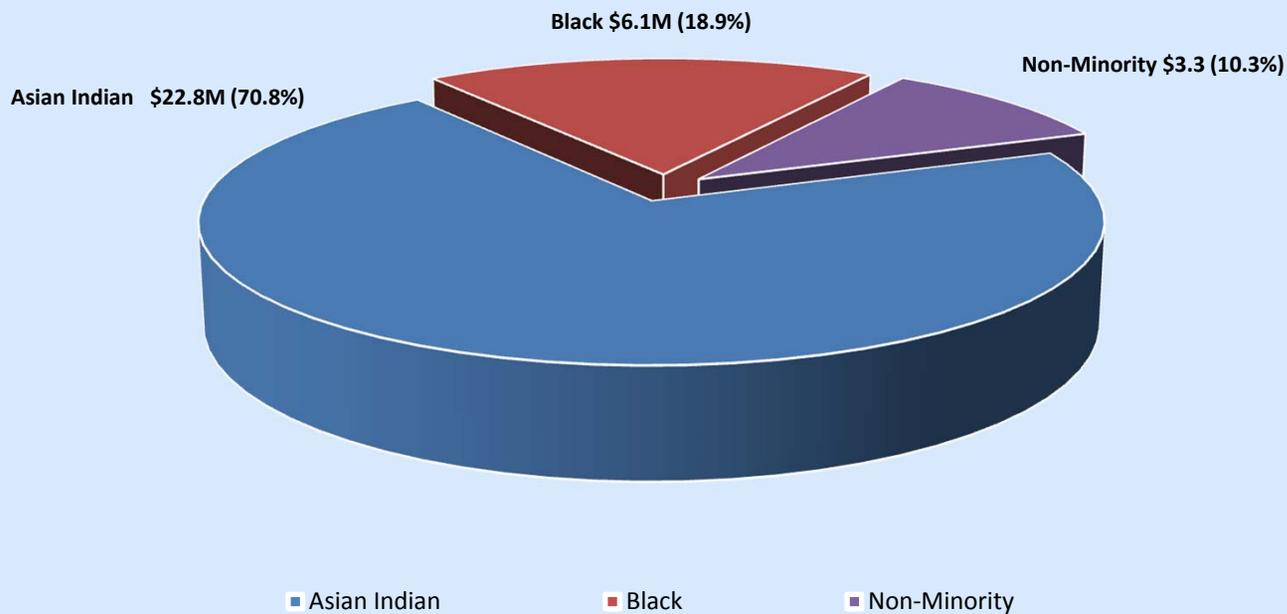
Category	Awards
Asian Indian	\$55.4M
Non-Minority	\$28.5M
Black	\$13.7M
Hispanic	\$ 8.4M
Women-Owned *	\$ 5.2M
Asian Pacific	\$ 3.2M
<b>Total SBMP Awards</b>	<b>\$114.4M</b>

\* All ethnic owned WBEs are categorized within their respective ethnic group.



# SBDP Contract Awards

## Contract Awards in SBMP-Tier 2 by Ethnic/Gender Category



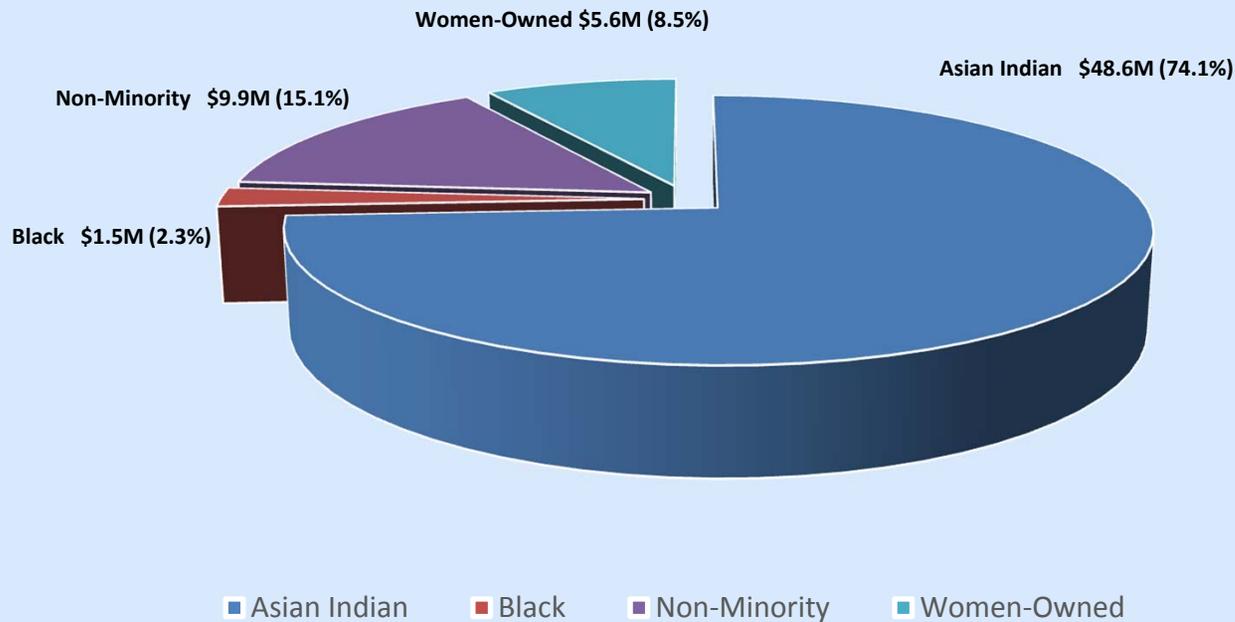
Category	Awards
Asian Indian	\$22.8M
Black	\$ 6.1M
Non-Minority	\$ 3.3M
Women-Owned *	\$ -0- M
Hispanic	\$ -0- M
Asian Pacific	\$ -0- M
<b>Total TIER 2 Awards</b>	<b>\$32.2M</b>

\* All ethnic owned WBEs are categorized within their respective ethnic group.



# SBDP Contract Awards

## Contract Awards in SBFP by Ethnic/Gender Category



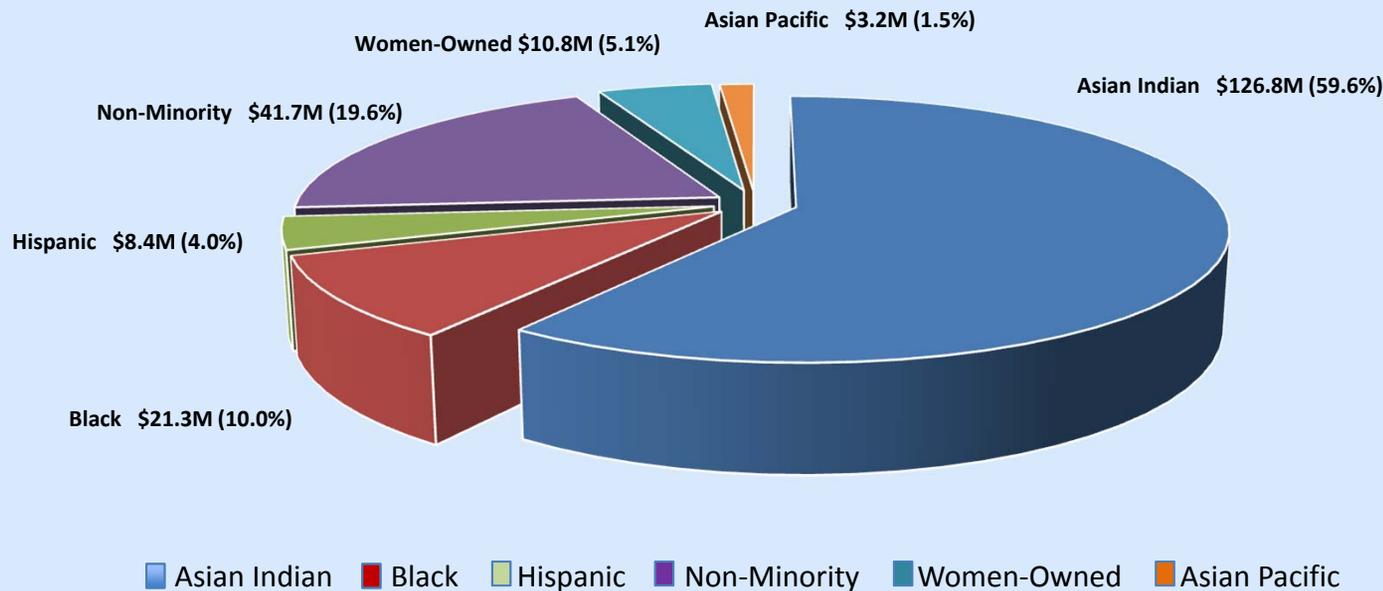
Category	Awards
Asian Indian	\$48.6M
Non-Minority	\$ 9.9M
Women-Owned *	\$ 5.6M
Black	\$ 1.5M
Hispanic	\$ -0-M
Asian Pacific	\$ -0-M
<b>Total SBFP Awards</b>	<b>\$65.6M</b>

\* All ethnic owned WBEs are categorized within their respective ethnic group.



# SBDP Contract Awards

## Total SBDP Contract Awards by Ethnic/Gender Categories



Category	Awards
Asian Indian	\$126.8M
Non-Minority	\$ 41.7M
Black	\$ 21.3M
Women-Owned *	\$ 10.8M
Hispanic	\$ 8.4M
Asian Pacific	\$ 3.2M
<b>Total SBDP Awards</b>	<b>\$212.2M</b>

\* All ethnic owned WBEs are categorized within their respective ethnic group.



# SMALL BUSINESS DEVELOPMENT PROGRAM

## Emerging Contractors Program

- ❑ The Emerging Contractors Program will be offered to all small businesses, with special attention to recruiting small businesses with Black, Hispanic, and Asian Pacific owners, and provide intensive first-year mentoring of smaller firms that may have one or more areas needing improvement related to program qualification.
- ❑ By signing a participation agreement, they will be put through an intense process to help them learn how to be a better contractor and correct their deficiencies that would prevent their approval.
- ❑ If they fulfill the requirements of the Emerging Contractors Program, the firms will continue prequalification in Tier 1.



# SMALL BUSINESS DEVELOPMENT PROGRAM

## Emerging Contractors Program

### □ The Elements of the Program

- **Participation Agreement** - ECs sign an agreement to participate in all aspects of the Program.
- **Orientation** - a seminar to provide clarity to ECs on how the SBMP works and to emphasize expectations.
- **Assessments** - MTA will assess & provide action items to ECs to Help them improve administratively, financially, etc.
- **Financial Training/Planning** - understanding financial statements its importance for growth.
- **Legal Assistance** – training on understanding Terms and Conditions of contracts.
- **Networking Session** - construction accountants, back office support, and college internship for Ecs.
- **Training** - ECs are to complete all 13 training session classes offered to mainstream Prequalified Firms.
- **Referrals to outside work** - Program will introduce EC's to opportunities outside the SBMP offerings.
- **Bidding Opportunities** - Firms are eligible to bid on contracts under \$100,000.
- **Access to Capital** - Firms are eligible to apply for 30% loans on contracts under \$100,000.



# SMALL BUSINESS DEVELOPMENT PROGRAM

## Prequalified Emerging Contractors

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<input type="checkbox"/> Prequalified	17 firms	<input checked="" type="checkbox"/> 7 Black
		<input checked="" type="checkbox"/> 5 Asian Indian
		<input checked="" type="checkbox"/> 4 Hispanic
		<input checked="" type="checkbox"/> 1 Non-Minority
		<input checked="" type="checkbox"/> 0 Asian Pacific
		<input type="checkbox"/> 0

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<input type="checkbox"/> Pending	12 firms	<input checked="" type="checkbox"/> 3 Black
		<input checked="" type="checkbox"/> 3 Hispanic
		<input checked="" type="checkbox"/> 3 Asian Indian
		<input checked="" type="checkbox"/> 3 Non-Minority
		<input checked="" type="checkbox"/> 0 Asian Pacific
		<input type="checkbox"/> 0

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# SMALL BUSINESS DEVELOPMENT PROGRAM

## SERVICE DISABLED VETERAN-OWNED BUSINESSES (SDVOB)

- SDVOB Outreach Event on April 5, 2016
- 56 SDVOBs Contractor RSVP
- 26 contractors attended
- All received SBMP prequalification applications
- 13 firms submitted applications
- 2 firms prequalified into SBMP Tier 1



# SMALL BUSINESS DEVELOPMENT PROGRAM

## MWDBE / Small Business Contractors

### MTA SBMP Prequalified Firms Awarded Prime Contracts Outside of SBDP

Voltamp	\$ 15,564,000	NYCT	Asian Indian
Zion Contracting	\$ 2,005,000	NYCT	Hispanic
	\$ 2,145,000	NYCT	
	\$ 7,045,000	NYCT	
Minhas Co.	\$ 1,736,899	B&T	Asian Indian
	\$ 39,898,412*	NYCT	
Masterpiece	\$ 7,091,623	B&T	Non-minority
	\$ 5,829,471	MNR	
	\$ 3,216,000	NYCT	
<b>TOTALS</b>	<b>\$ 84,531,405</b>		

\* Joint-Venture Zafra Minhas Construction LLC



# SMALL BUSINESS DEVELOPMENT PROGRAM

## MWDBE / Small Business Contractors

### MTA SBMP Prequalified Firms Awarded Prime Contracts Outside of MTA

SBDP Firm	Agency	Award Amount	Awarded	MWDBE	Ethnicity	SBDP Firm	Agency	Award Amount	Awarded	MWDBE	Ethnicity
Ace Contracting Inc	DASNY	\$1,000,000	2010			Mar-Sal Plumbing & Heating, Inc.	SCA	\$2,900	2010		
Ace Contracting Inc	SCA	\$33,400	2012			MILL & MILL CONSTRUCTION INC.	DASNY	\$240,000	2013	MBE	
Alkem Electrical Corp	OGS	\$250,000	on-going	MDBE	Black	Minhas General Contractor	NYCHA	\$2,200,000	2015	MDBE	
Arch Builders and Developers	SCA	\$92,683	2013	MWDBE		Monpat Construction, Inc.	DASNY	\$120,000	2012		
A.S.M. CONSTRUCTION CORP.	DASNY	\$7,684,027	2012	MBE	Subcontinent Asian	MSR Electrical Construction Corp.	OGS	\$107,300	2015	WBE	
B&R Construction Services Corp.	SCA	\$37,743	2011			MSR Electrical Construction Corp.	SCA	\$432,693	2015	WBE	
Bitu Inc	DASNY	\$1,000,000	2010		Woman	On Demand Electrical Services	SCA	\$220,350	2015		Woman
Bobtek Electrical	SCA	\$371,595	2012	MDBE		PALANTE ELECTRICAL CONTRACTING CORP.	SCA	\$633,282	2013		
Casabella Construction Corporation	SCA	\$97,440	2013			PMY Construction Corp.	SCA	\$337,350	2013		
Champion Construction Services Corp	SCA	\$686,726	2012	MDBE	Black	Raw Power Electrical Corp	OGS	\$30,000	2011	MWBE	
Commerce Electrical Contracting	NYCHA	\$15,000	2014		Non-minority	Robert Parchment Plumbing and Heating Inc.	SCA	\$841,795	2015	MDBE	
Core Electric & Communciation Corp	SCA	\$8,283	2011			Rodel Electrical Contractors, Inc.	OGS	\$65,000	2011		
Creative Construction & Resotoration Inc	OGS	\$850,000	on-going			Rodel Electrical Contractors, Inc.	SCA	\$200,913	2011		
Donald McGeachy Inc	SCA	\$805,192	2012	MBE		S&L INDUSTRIES, INC.	SCA	\$16,207	2010	MWDBE	
Double M. Construction	SCA	\$14,498	2010			Sharan Builders	NYCHA	\$22,000,000	2016	MBE	
Dynamic Construction Company	SCA	\$215,707	2014	MBE	Subcontinent Asian	Skyline Industries LLC	OGS	\$1,100,000	on-going	MDBE	
Ensome Builders	SCA	\$31,710	2012	MBE		Skyline Industries LLC	OGS	\$250,000	2015	MDBE	
Falcon Builder Inc.	DASNY	\$25,000	2015			Skyline Industries LLC	DASNY	\$300,000	2012	MDBE	
GMDV TRANS, INC.	HHC	\$1,500,000	2012/2013		Non-minority	Skyline Industries LLC	SCA	\$4,829,609	2015	MDBE	
IDL Communications and Electric	SCA	\$473,882	2015	MBE		Stanco Electrical Contractors Inc	SCA	\$899,190	2015	MDBE	Hispanic
Innovative Electric of New York, Inc	OGS	\$1,600,000	2012	WBE		Taru Associates Corp.	DASNY	\$305,000	2015	MDBE	
Innovative Electric of New York, Inc	SCA	\$290,370	2015	WBE		The Urban Group	HHC	\$3,500,000	2012	MDBE	
J & Y Electric and Intercom Company Inc.	SCA	\$204,972	2015	MBE	Asian Pacific	The Urban Group	DASNY	\$3,000,000	2012	MDBE	
KW Tech Corp	SCA	\$7,319	2012	MBE		The Urban Group	SCA	\$6,025	2011	MDBE	
Laconia Contracting Corp	SCA	\$161,866	2012			Thorn Electric Inc	SCA	\$1,657,442	2013		
Lashay's Construction & Development Co., Inc.	CUMC	\$1,500,000	2015/2016	MDBE		Tredent Contracting Services Inc	OGS	\$5,000	2015		Non-minority
Lashay's Construction & Development Co., Inc.	SCA	\$63,365	2012	MDBE		Unique Woodworking Inc.	CFTC	\$140,000	2013	MDBE	
Litehouse Builders, Inc.	SCA	\$2,365	2011			Urban Electrical	NYCHA	\$48,000	2014	MBE	Subcontinent Asian
Mar-Sal Plumbing & Heating, Inc.	DASNY	\$250,000	2015			<b>Total Value of Contracts</b>	<b>\$</b>	<b>62,761,199</b>			



# SBDP Jobs Created

- PY'10 – PY'16                      SBMP-Tier 1              Awards total \$113 Million
- PY'15 – PY'16                      SBMP-Tier 2              Awards total    \$28 Million
- PY'13 – PY'16                      SBFP                        Awards total    \$65 Million

4,944\* jobs Created within the Small Business and MWDBE Community

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

As an average statewide estimate, the Department uses 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> )**



# SBDP Training Program

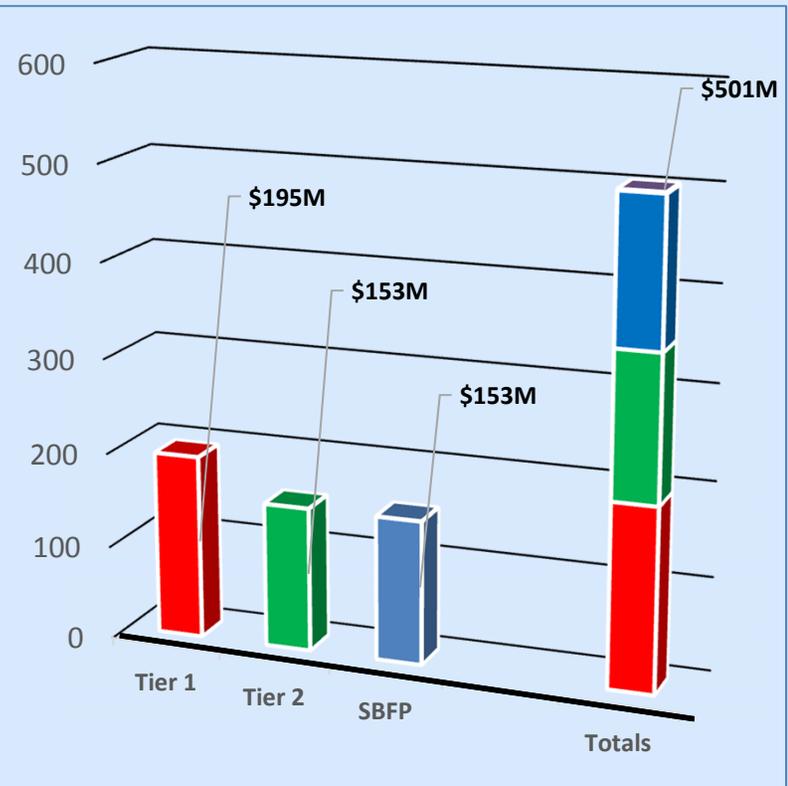
- As of Spring 2016, 318 firms participated in the training program
- 13-Session Technical & Business Development Classroom Training:
  - Estimating and Bidding Strategies at the MTA
  - Project Scheduling at the MTA
  - Safety & Quality Planning at the MTA
  - Requisition and Change Order Process
  - Doing Business with the MTA
  - Construction Law and Contract Review
  - Marketing Your Business to the NY Construction Industry
  - Cash Flow and Financial Management
  - Developing a Profitable Business in the MTA Region
  - How to Acquire Surety Bonding and Access to Capital
  - How to be a Prime Contractor
  - Prevailing Wages
  - Navigating MTA Contracts and MWBE Compliance



# 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
<hr/>		
Small Business Federal Program		
<span style="color: blue;">■</span> SBFP	\$153M	75
<hr/>		
Totals		
<span style="color: blue;">■</span> All Programs	\$501M	430
<hr/>		
<span style="color: blue;">■</span>	Estimated Job Creation of over 12,000 jobs *	



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

As an average statewide estimate, the Department uses 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> )

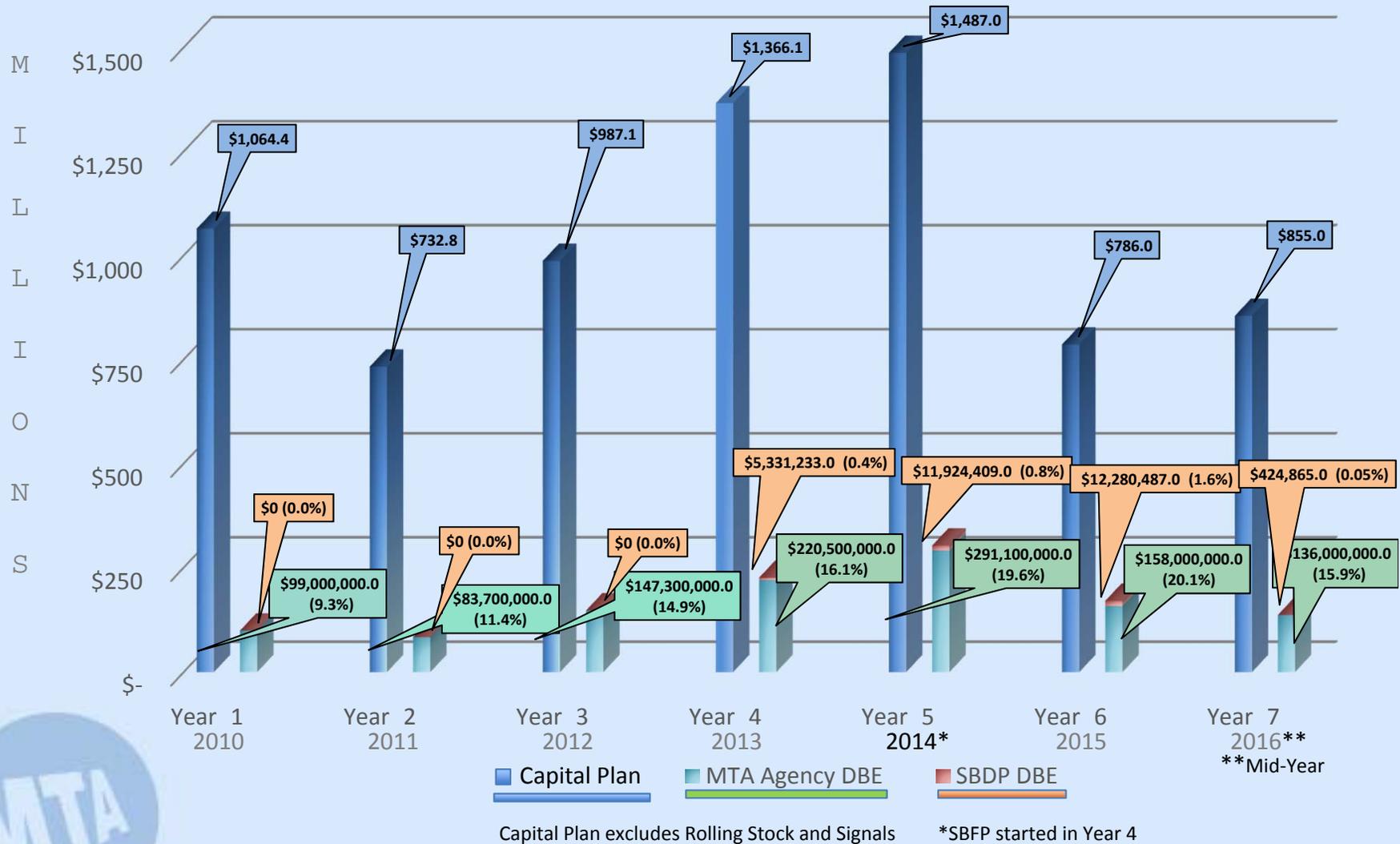


# Business Development

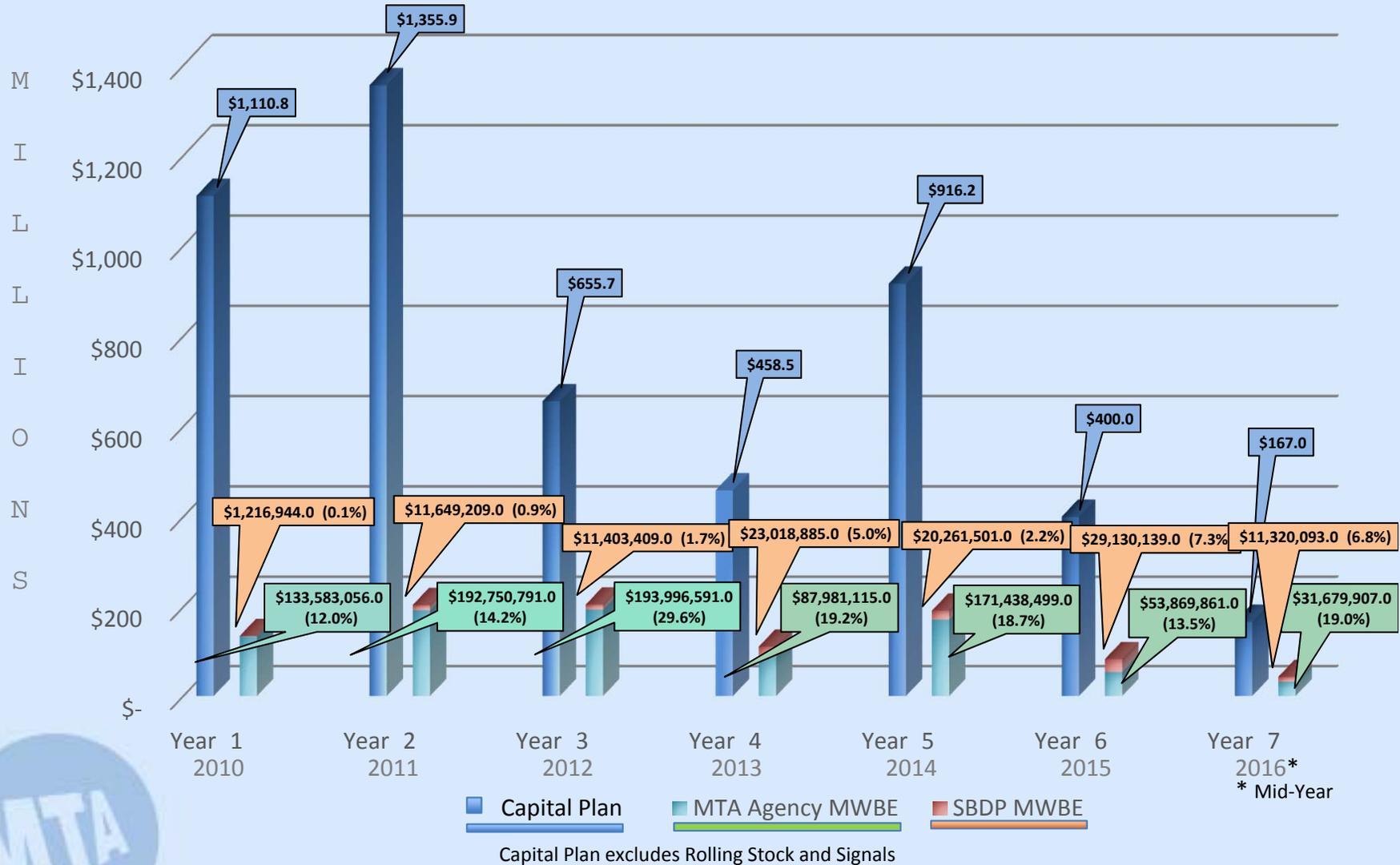
## Milestones/ Next Steps

- Awarded a New Business Development Contract
- Hired Business Plan Consultant
- Hired Back-Office Support Consultant
- Hired the Nation's largest construction Law Firm (Pekar & Abramson) to conduct legal services training
- Hired the Nation's largest minority owned CPA firm (Mitchell Titus) to conduct financial training
- Retained the services of a bank to manage the MTA's Small Business Loan Program
- Recruit a more diverse pool (Black, Hispanic, Asian Pacific) of contractors

# MTA-Wide DBE Awards Through Subcontracts and SBDP



# MTA-Wide MWBE Awards Through Subcontracts and SBDP



**Thanks to All MTA Agency Personnel  
and Our External Partners  
Who Worked Hard to Continue  
the Success of the  
SBMP and SBFP!**





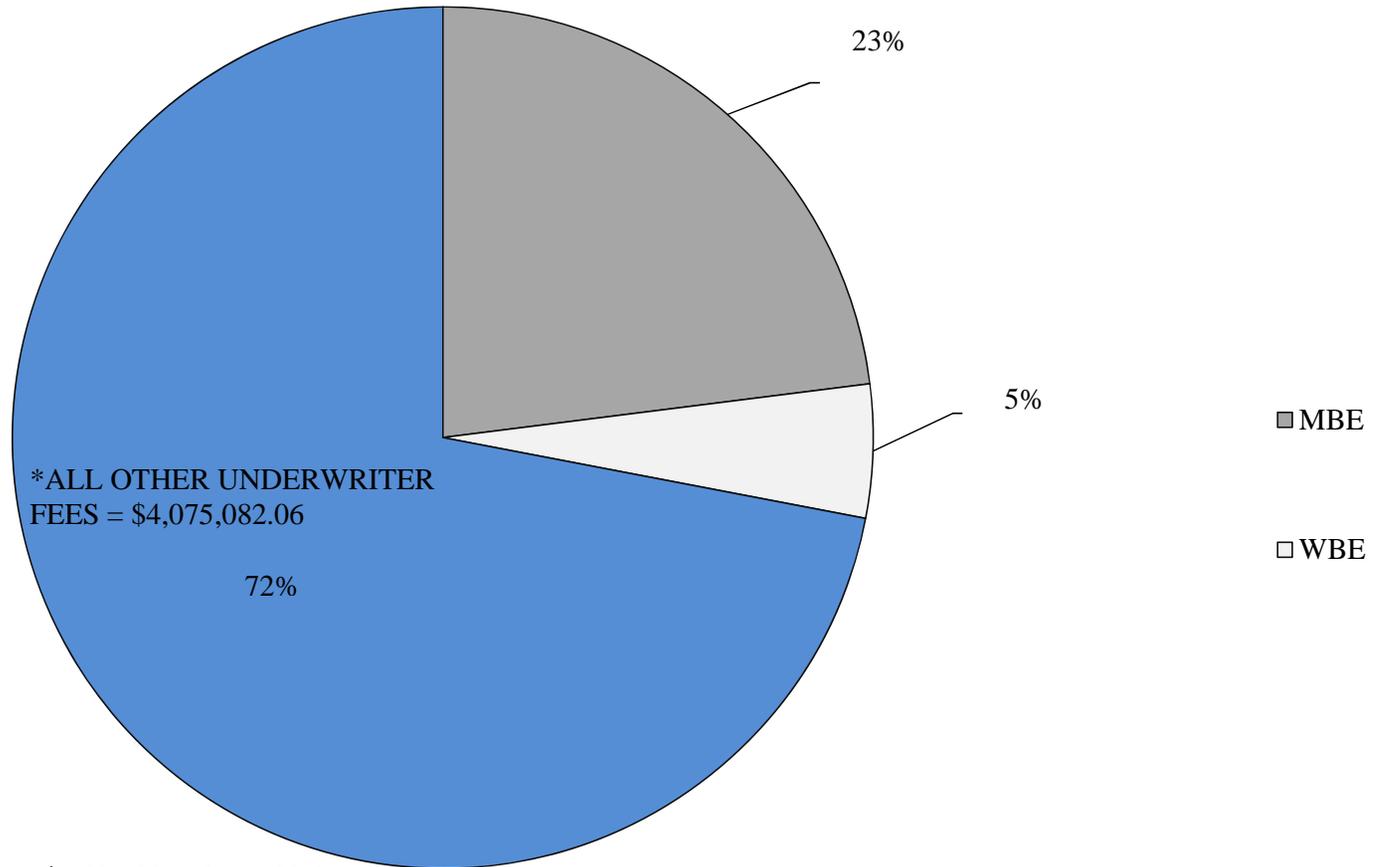
Metropolitan Transportation Authority

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# FINANCIAL SERVICES

September 26, 2016

**MTA ALL AGENCY UNDERWRITER FEES  
APRIL 2016 - JUNE 2016**



Total Underwriter Fees = \$5,637,091.73 or 100%  
Actual MBE Participation = \$1,289,353.23 or 23%  
Actual WBE Participation = \$272,656.44 or 5%

**\* This Quarter \$329,586 (5.85%) was paid to SDVOB Firms**



Metropolitan Transportation Authority

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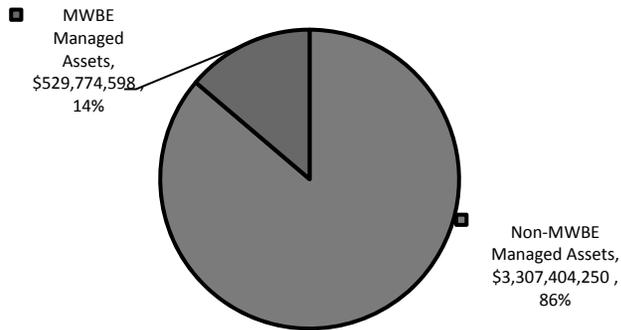
# **MTA ASSET FUND MANAGERS**

**September 26, 2016**

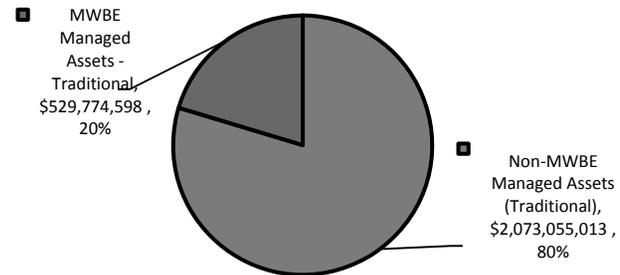
# MTA Sponsored Plans – MWBE Participation

As of June 30, 2016

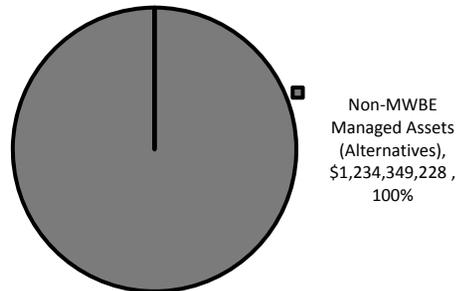
MTA Defined Benefit - Total Assets



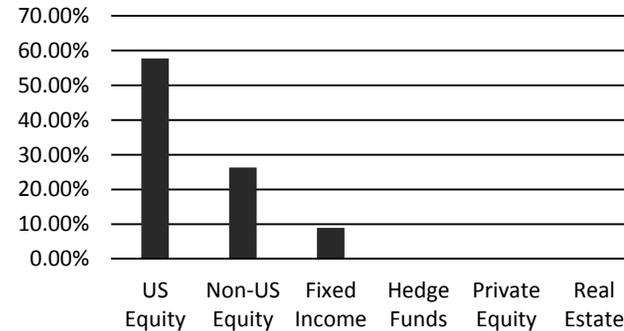
MTA Defined Benefit - Traditional Investments



MTA Defined Benefit - Alternative Investments



MWBE Managed Assets by Asset Class



**Traditional Equities** - Changes to allocations and manager exposure in the asset class led to an increase in 2016 in MWBE managed assets. One new MWBE manager added and one firm gained MWBE status in 2016.

**Traditional Fixed Income** - MWBE exposure fell in 2015 as one investment manager closed its firm and was replaced by index investments.

**Hedge Funds** - Actively searching the universe for both established and emerging hedge funds managed by minorities and women. Meetings with 27 MWBE hedge funds have taken place in 2016, with a focus on global macro and long/short equity strategies.

**Private Equity** - Actively searching the private equity universe. Unable to reach terms with one approved MWBE private equity firm. New investment made in fund managed by MW staff (firm is not MWBE). Expectations for more funds in market in 2017 and 2018.

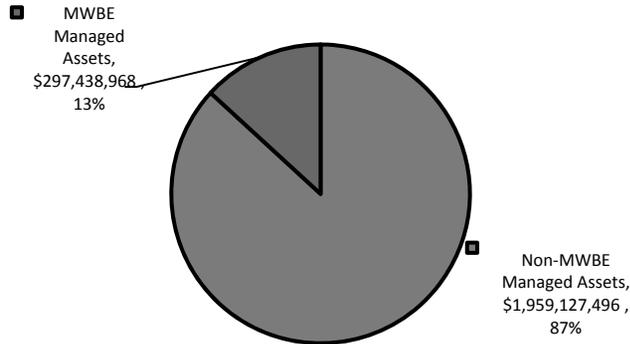
**Real Estate** - Currently staging into MWBE managed real estate investment, representing 1% of plan assets and 20% of real estate allocation. Investment should be funded by middle of 4Q16



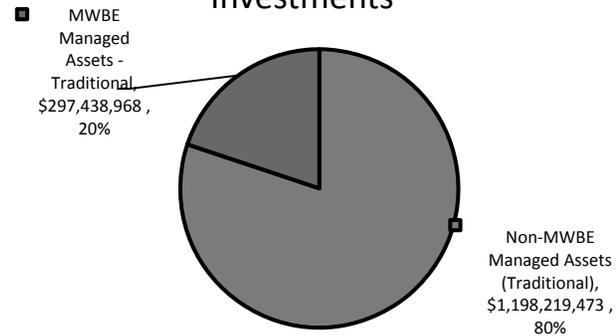
# MTA Sponsored Plans – MWBE Participation

As of June 30, 2016

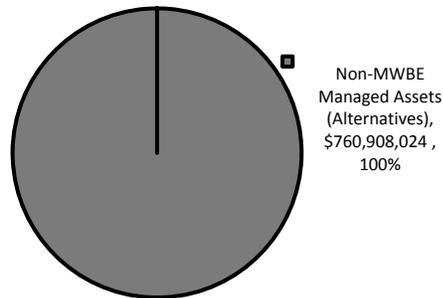
MaBSTOA - Total Assets



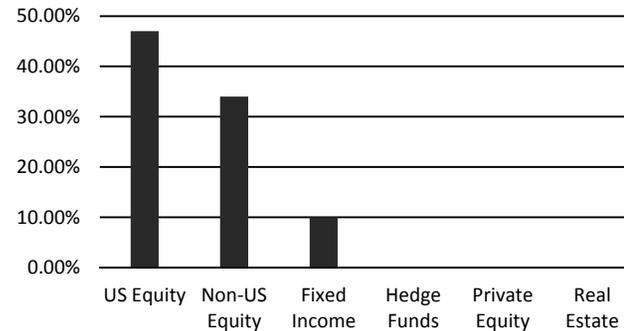
MaBSTOA - Traditional Investments



MaBSTOA - Alternative Investments



MWBE Managed Assets by Asset Class



**Traditional Equities** - Changes to allocations and manager exposure in the asset class led to an increase in 2016 in MWBE managed assets. One new MWBE manager added and one firm gained MWBE status in 2016.

**Traditional Fixed Income** - MWBE exposure has fallen in recent years as one investment manager closed its firm, one lost MWBE status, and both were replaced by index investments.

**Hedge Funds** - Actively searching the universe for both established and emerging hedge funds managed by minorities and women. Meetings with 27 MWBE hedge funds have taken place in 2016, with a focus on global macro and long/short equity strategies.

**Private Equity** - Actively searching the private equity universe. Unable to reach terms with one approved MWBE private equity firm. New investment made in fund managed by MW staff (firm is not MWBE). Expectations for more funds in market in 2017 and 2018.

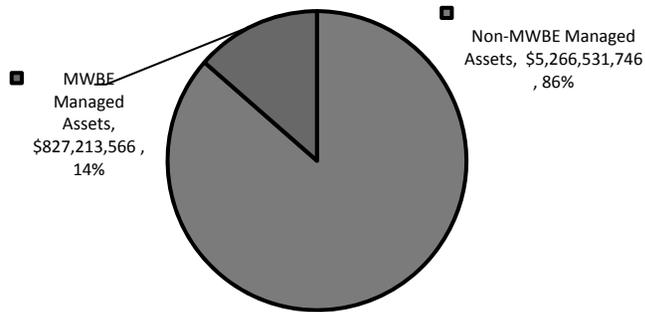
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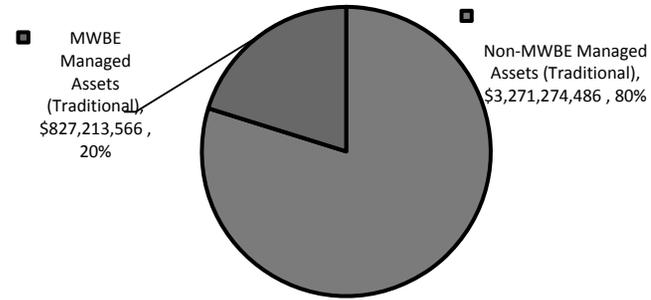
# MTA Sponsored Plans – MWBE Participation

As of June 30, 2016

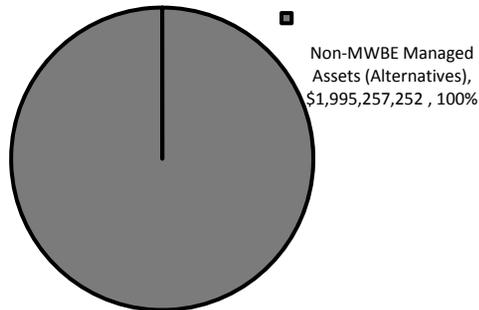
Combined Plans - Total Assets



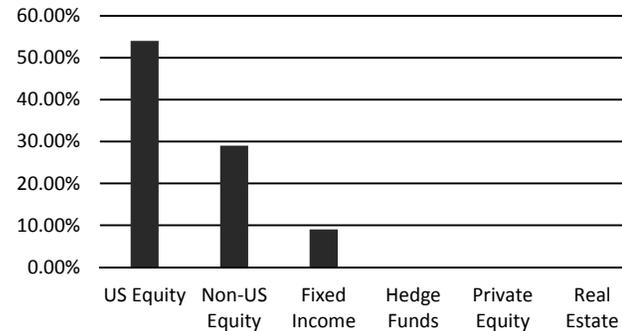
Combined Plans - Traditional Investments



Combined Plans- Alternative Investments



MWBE Managed Assets by Asset Class



**Traditional Equities** - Changes to allocations and manager exposure in the asset class led to an increase in 2016 in MWBE managed assets. One new MWBE manager added and one firm gained MWBE status in 2016.

**Traditional Fixed Income** - MWBE exposure has fallen in recent years as one investment manager closed its firm, one lost MWBE status, and both were replaced by index investments.

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**Real Estate** - Currently staging into MWBE managed real estate investment, representing 1% of plan assets and 20% of real estate allocation. Investment should be funded by middle of 4Q16

