



Metropolitan Transportation Authority

Diversity Committee Meeting

December 2016

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, 12/12/2016
2:15 - 3:15 PM ET**

1. PUBLIC COMMENT PERIOD

2. APPROVAL OF MINUTES – SEPTEMBER 26, 2016

September 2016 Diversity Committee Meeting Minutes - Page 3

3. DIVERSITY COMMITTEE WORK PLAN

2016 Diversity Committee Work Plan - Page 13

2017 Diversity Committee Work Plan - Page 16

4. Executive Summary

Executive Summary - Page 19

5. BUSINESS AND DIVERSITY INITIATIVES

Business And Diversity Initiatives - Page 30

6. CERTIFICATION ACTIVITY REPORT

Certification Activity Report - Page 33

7. MTA DEPARTMENT OF DIVERSITY / CIVIL RIGHTS EEO ACTIVITIES THIRD QUARTER 2016

MTA Department of Diversity and Civil Rights EEO Activities 3rd Quarter 2016 - Page 35

8. M/W/DBE CONTRACT COMPLIANCE THIRD QUARTER 2016 REPORT

MWDBE Contract Compliance 3rd Quarter 2016 - Page 46

9. M/W/DBE CAPITAL PROJECTS

MWDBE Capital Projects - Page 71

10. SMALL BUSINESS DEVELOPMENT PROGRAM UPDATE

Small Business Development Program Update - Page 74

11. FINANCIAL SERVICES

Financial Services - Page 90

12. ASSET FUND MANAGERS

Asset Fund Managers - Page 92

13. DIVERSITY COMMITTEE CHARTER

Diversity Committee Charter - Page 95

MTA DIVERSITY COMMITTEE

Meeting Minutes

2 Broadway, 20th Floor

New York, NY 10004

Monday, September 26, 2016

3:45 p.m.

The following Committee members were present:

Hon. John Molloy, Chairman

Hon. Susan G. Metzger

Hon. Neal Zuckerman

The following Committee members were absent:

Hon. David Jones

Hon. Peter Ward

The following were also present:

Michael Garner, Chief Diversity Officer, MTA

Veronique “Ronnie” Hakim, President, MTA New York City Transit (“NYC Transit”)

Donald Spero, President, MTA Bridges and Tunnels (“B&T”)

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

Patrick A. Nowakowski, President, MTA Long Island Rail Road (“LIRR”)

Michael Horodniceanu, President, MTA Capital Construction

Craig Cipriano, Executive Vice President, Business Strategies & Operations Support,
MTA Bus

Paige Graves, General Counsel, MTA Bus

Sean Crawford, MTA Chief Investment Officer

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, Equal Employment Opportunity
("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, EEO, Title VI and MWDBE Outreach, DDCR

Doreen Taveras, Assistant Director, MWDBE Contract Compliance, DDCR

David Sang, Manager, EEO, DDCR

Patricia Lodge, Vice President, Human Resources (“HR”), NYC Transit

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

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

Michael Collins, Assistant Chief Officer, Office of EEO, NYC Transit
Patrick Smith, Chief Officer, HR Strategic and Business Partnerships, NYC Transit
Michael Fyffe, Director, Diversity Management, LIRR
Shibu Jacob, Manager, Diversity Management, LIRR
Shawn Moore, Chief EEO Officer, B&T
Robert Rodriguez, Director, Diversity and EO, MNR
Natalie Mason-Kinsey, Chief Officer, EEO, MTA Bus
Amil Patel, Deputy Director, MTA Office of Construction Oversight
Regina Sanders, Associate Staff Analyst, NYC Transit
Coleen Cohen, Manager Human Resources, MTA Capital Construction (“CC”)

Public Speakers:

There were no public speakers.

Minutes

Upon a motion duly made and seconded, the Committee approved the minutes of the meeting held on May 23, 2016.

2016 Diversity Committee Work Plan

Chairman Molly asked if there were any changes to the Work Plan. Mr. Din said there were no changes except that staff would not present workforce utilization data.

Business and Diversity Initiatives

Ms. Rodriguez provided an update on MTA’s business and diversity initiatives. Ms. Rodriguez noted that the outreach unit has been busy with several major events which includes Harlem Week, an agency-wide host of diversity events. In addition, DDCR is coordinating two major events to be held in October: (1) New York State Governor Cuomo’s MWBE Forum to be held in Albany; Chairman Prendergast and agency procurement staff will attend; and (2) the DBE Opportunity Day to be held on October 21. She said the second major event is an agency-wide outreach effort, designed to increase DBE participation.

Mr. Garner noted that under the leadership of Governor Cuomo, the MWBE Forum is the largest such conference in the country, bringing together 96 different agencies and public authorities. He said the governor has outlined a vision of 30% MWBE goal for each of the state’s agencies and public authorities. Mr. Garner added that the MTA is partnering with the FTA and COMTO¹- New York for the DBE Opportunity Day, which allows DBEs to learn about the contracting opportunities in MTA’s new five-year Capital Plan.

Certification Activity Report

Mr. McCune reported the DBE certification activity for the second quarter of 2016. He said a total of 37 new applications were received during the reporting period. He also provided

¹ Conference of Minority Transportation Officials.

statistics for the same period from 2014 and 2015. He said compared with the same period from 2015, the number of new application increased slightly.

Regarding certification activity for new applications, Mr. McCune said a total of 34 applications were 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 increased.

Mr. Garner noted that the certification unit is taking a zero acceptance approach to applicants who do not submit their information as to whether or not the firms should be certified as DBEs. He said under FTA regulations, based on the submission of a completed application, the certification unit has 90 days in order to make a decision.

MTA-Wide New Hires

Mr. Din reported that between January and June of 2016 MTA and its agencies hired a total of 2,902 employees, of which 24% are female and 75% are minorities. He said of the 75% of minorities hired, 42% are black, and 18% are Hispanic. Mr. Din also noted that of the 1,874 employees hired by NYCT, 25% are females and 84% are minorities. Regarding the new hires for MTA Headquarters, Mr. Din said 40% are female and 62% are minorities.

Regarding MTA-wide military new hires, between January and June of 2016, Mr. Din reported that of the total number of employees hired, 4% are veterans. He said of all the veterans hired, 7% are female, and 65% are minorities. Mr. Din also provided a further breakdown of minority veterans who were hired.

EEO and TITLE VI Complaints

Mr. Din reported on the EEO and Title VI complaints handled for the first half of 2016. He said for the reporting period, MTA and its agencies handled a total of 431 EEO complaints. This includes complaints filed both internally, and with the external anti-discrimination agencies. Of these complaints, 174 were filed externally at city, state and federal agencies and 257 were filed internally.

Mr. Din reported that regarding external complaints, the most frequently cited bases for complaints were discrimination based on disability, race/color, and gender. Regarding the 257 internal complaints, Mr. Din said the most frequently cited bases for complaints were sexual harassment, race/color discrimination, and gender discrimination.

Mr. Din said that during the reporting period, the MTA and its agencies handled a total of 183 Title VI complaints, citing 196 separate allegations. Of the 183 complaints, race discrimination was most frequently cited as the basis for the complaint. Mr. Din also reported on EEO and Title VI complaint resolutions. In addition, he provided an update on the EEO and Title VI complaints handled at MTAHQ.

MTA Agency-Wide Strategies to Improve Workforce Diversity

MTA agency Presidents reaffirmed their commitment to diversity, and outlined their respective agency's efforts to increase representation of females and minorities. They reported on the representation of women and minorities in their respective agency's workforce. This

information is stated in the Committee book as well as contained in the videotape of this meeting. Following is a summary of what each president or designee stated at the meeting.

MTA Headquarters

Mr. Garner stated that Ms. Brown has been meeting with the MTA agencies and HR to focus on strategies to improve workforce representation, such as an all-agency paid internship program, and attendance at various job fairs.

NYC Transit

Ms. Hakim said NYC Transit has a very diverse workforce. She said as of June 30, 2016, minorities make up more than three quarters of the total workforce, composition of which is as follows: 46% are black, 16% Hispanic, 11% Asian, and approximately 3% are classified as other.

Ms. Hakim reported that during the first six months of 2016, NYCT hired 1,874 full-time employees, including 59 Veterans. She said of the new hires, 25% are women and 84% are minorities. Ms. Hakim said that despite the significant representation of racial and ethnic minorities in the workforce, more work needs to be done.

Ms. Hakim provided an update on the strategies employed to make the workforce more diverse. She said Mr. Collins has been hired to serve as the strategic lead for the agency's diversity and inclusion efforts. She said that Mr. Collins has initiated an integrated strategic approach to help shift focus from compliance to inclusion. She said some of the efforts include conducting climate assessment through meetings with the executive leadership team regarding moving forward in the areas of diversity and inclusion. Ms. Hakim said that Mr. Collins has also led a new training initiative to raise greater awareness of, and sensitivity toward diversity issues.

Ms. Hakim said NYC Transit has also drafted agency guidance for managing gender transition in the workplace. In addition, she said NYC Transit and MTA Bus strategically plan recruitment and enforcement efforts to ensure that upcoming employment opportunities are broadly advertised. Ms. Hakim reported that NYC Transit also attended various job fairs during the first six months of 2016, and is building a stronger partnership with Brooklyn's Transit Tech Career, and Technical High School, which have large minority student populations. Ms. Hakim said vocational high school training best prepares students for good paying jobs in the transportation field.

In addition, Ms. Hakim said proposals have been received in response to an all-agency Request for Proposal for training and organizational development consultants. From these proposals, consultants will be selected during the first quarter of 2017 to provide these services on an all-agency basis. Ms. Hakim added that NYC Transit and MTA Bus have designed a pilot program to improve career development. She said NYC Transit has a diverse population of 25 mentor/mentee pairs that will be identified to work through this pilot program.

MTA Bus

Mr. Cipriano reported on behalf of agency president, Darryl Irick. Mr. Cipriano said that Ms. Graves and Ms. Mason-Kinsey have been appointed to the MTA Bus leadership team, and they play crucial roles in helping to guide the agency toward a more inclusive and respectful

workplace. He said Ms. Graves and Ms. Mason-Kinsey have also provided in person ethics and respectful workplace training to management level employees.

He said there are 297 female bus operators, and there is an increasing number of females in almost every job title. Mr. Cipriano reported that females make up approximately 13% of the total MTA Bus workforce of just over 4,000 employees. He said minorities make up approximately 83% of the total workforce. He said the breakdown of the workforce is as follows: 53% black, 21% Hispanic, 6% Asian, and 3% others. Mr. Cipriano also reported on new hires for the first half of 2016, which are as follows: 20% female, 57% black, 22% Hispanic, 8% Asian, and 3% others. He added that recruitment and retention of females remains a challenge.

Mr. Cipriano discussed MTA Bus's three-pronged approach to diversity, which includes management awareness, public outreach, and workforce development. He said during this past year, management focus was on training. Mr. Cipriano said outreach included partnering with NYC Transit to employ summer interns through the career and technical education, and science, technology, engineering and math programs. These programs offer students opportunities to explore careers within the MTA organization. Of the 23 students that participated in these, a large percentage are females and minorities. The internship provided hands-on experience in technical areas, such as automotive mechanics, carpentry, electrical, masonry, and plumbing. In addition, HR participated in the recruitment efforts and job fairs throughout the city in order to increase the diversity of the applicant pool.

B&T

Mr. Spero said B&T continues to engage in targeted recruitment and outreach efforts to increase representation of minorities and women in its workforce.

He stated B&T's recruitment challenges as follows: it has had an attrition rate of 17% in engineering workforce; B&T is also subject to the requirements of the Civil Service Law in filling some of its positions. Mr. Spero said B&T works closely with New York City on Civil Service related issues that impact hiring.

Mr. Spero said B&T's on-going recruitment initiatives have 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.

He said in talent management B&T has expanded its summer internship program, which provides college students an opportunity to work in labor relations, planning and budgeting, and various other divisions and operations of the agency. Mr. Spero reported that B&T attracted 46 college students for its internship program, of which 44% are females, 63% minorities, 28% Asian, 22% black, 11% Hispanic and 2% other.

In targeting recruitment, Mr. Spero said B&T's launched a 2015-2016 Engineering Construction Fair, and worked with professional groups like the Society of Civil Engineers, and American Institute of Architects to attract a diverse group of applicants.

Mr. Spero said B&T also provides professional development training to mid-level managers and facility supervisors through a three-day course designed to foster leadership skills,

coaching, and mentoring training. Mr. Spero also highlighted B&T's successful management program to attract qualified, talented employees.

CC

Mr. Horodniceanu said that while CC has 140 employees and its hiring needs are relatively small, it continues to employ targeted recruitment to increase diversity of its workforce. He said CC met its goal for Hispanics in the professional, and administrative support job categories during the second quarter of 2016. He said during this period 50 new employees were hired, of which 53% are minority, and 47% are female.

Mr. Horodniceanu said CC has an extensive outreach program that includes corporate membership in Hispanic organizations. He said CC attended job fairs, targeted towards applicants seeking employment as interns and full time employees.

In addition, Mr. Horodniceanu said CC has continued its paid internship program designed to recruit and hire from a diverse student population. He said in the second quarter of 2016, this program was expanded to eight summer interns of which seven are minorities: two Hispanic, two Asian, and three black. He said CC will continue to utilize social media to conduct outreach.

LIRR

Mr. Nowakowski reported that LIRR has a workforce of 7,000 employees. He said in the first six months of 2016, LIRR hired 274 employees, of which 20% are female and approximately 48% are minority. He added that LIRR has faced challenges in the hiring of females for the skilled craft position. He said females represented 12% of new hires in skilled craft position in the first half of 2016.

Mr. Nowakowski said LIRR continues to participate in community-based and veterans job fairs as well as college fairs. He said job postings are also sent to various community boards. He added that LIRR uses social media, professional organizations, and career websites to disseminate information about upcoming employment opportunities.

In addition, Mr. Nowakowski said LIRR continues to recruit good candidates, and offers them training to sharpen their skills. He said LIRR has a two-year training program for engineers, and has a successful internship program.

MNR

Mr. Giulietti acknowledged the efforts of MNR's Office of Diversity and EO. He also said that MNR managers have achieved nationwide recognition for their work. He said MNR has 6,502 employees whose ethnic composition is as follows: 13% are female, 21% black, 10% Hispanic, 3% Asian, 1% Alaskan Native, and 2% other. Mr. Giulietti said minorities have made up 40% of new hires for eight consecutive quarters. He said MNR also hired 27 veterans during the first half of 2016. Mr. Giulietti said 17.3% of new hires during the reporting period are female, compared with 15.3% during the same period in 2015.

He said MNR has an aggressive outreach and recruitment strategy to increase the diversity of females and minorities in the workplace; MNR has also expanded its talent acquisition team.

MTA Diversity Committee Meeting Minutes, Monday September 26, 2016

6

He said the increase in staffing has given MNR more time in the field to attend career fairs and outreach events to engage diverse communities.

Mr. Giulietti also reported that HR is now managing the recruitment and selection of all internal promotions, and hiring throughout MNR. He said Office of Diversity and EO also approves all hires and promotions.

Mr. Giulietti said MNR also provides training to all MNR employees in order to develop their skills, and to promote a positive, inclusive work environment. He said MNR has partnered with organizations like COMTO to co-host educational events.

He said MNR HR staff has attended various outreach events. Mr. Giulietti said MNR has also partnered with the office of New York State Senator Andrea Stewart-Cousins and others to distribute weekly postings of upcoming job opportunities. Mr. Giulietti said in 2016, MNR had 58 interns, whose composition is as follow: 36% female, 12% Black, 12% Hispanic, 17% Asian, and 7% other. He said MNR has also partnered with Gateway Community College to develop a railway degree program to prepare students for job opportunities.

Ms. Metzger expressed her appreciation for the agency presentations. She said she is impressed with the efforts that the agencies are making to increase workforce diversity, and the progress that they have made. She was pleased to hear that the agencies are reaching out to middle and high schools to mentor students for careers in the transportation field. She suggested that agencies also visit BOCES² schools in outlying counties, like her home county of Orange, which have developed programs to provide technically trained workers.

Ms. Metzger added that by focusing on new hires, MTA can make progress in increasing female and minority representation in the workforce. She said she is pleased to see MNR's EEO officer become involved in new hires. He asked if other agencies have similar involvement by their EEO staff in the hiring process. The agencies replied in the affirmative.

SBDP Update

Messrs. Patel and Cleary provided an update on MTA's SBDP. Mr. Patel reported that from July 2015 to July 2016, state funded prime contracts up to \$1 million in value were awarded. He said 132 firms were prequalified in Tier 1 of the Small Business Mentoring Program ("SBMP"). Mr. Patel said contractors participate for a maximum of four years, and 95% of all projects have been completed on time and within budget. For Tier 1 of SBMP, 189 projects have been awarded since inception, totaling \$114 million. He said 149 projects have been substantially completed. He said this year's goal is to award an additional \$37 million worth of projects in Tier 1 of SBMP alone. Regarding achievements in Tier 1, Mr. Patel said since program inception, 301 firms have been pre-qualified, and 131 firms have received project awards. Of the firms that have been awarded projects, 45 firms have received two or more projects. He added that several program participants have obtained contracts outside of the SBDP.

Mr. Patel said in Tier 2 of SBMP, project participation is up to four years. He said payment and performance bonds are required, which the contractors can obtain on their own or through MTA's bond assistance program. Mr. Patel said 41 firms have been pre-qualified, all of which

² Boards of Cooperative Educational Services.

are graduates of Tier 1. He said 15 firms have received projects totaling \$32 million. He reported that eight projects have been substantially completed. The goal for this program is to award projects valuing up to \$29 million.

Mr. Patel also reported that MTA's Small Business Federal Program ("SBFP") has federally funded prime contracts up to \$3 million in value, with participation for a maximum of four years. Mr. Patel said that payment and performance bonds are required. He said there are 37 prequalified firms in SBFP, of which 21 are graduates of Tier 1 of SBMP. He said since SBFP inception, 34 projects have been awarded, totaling approximately \$66 million. Mr. Patel added that 29 of these projects have been substantially completed, and 11 firms have received two or more projects.

Mr. Patel said the goal of SBDP for this project year is to award projects \$25 million in value. However, he said SBDP has awarded in excess of \$200 billion since the inception of the program.

Mr. Cleary provided an update on SBDP outreach. He reported that in the SBDP Loan Program, a total of 79 loans have been provided, totaling \$10.2 million. He added that 71% of all contracts in Tier 1 of SBMP, and 70% of contract dollars were awarded to certified MWBEs. Mr. Cleary said in SBFP contract awards far exceeded MTA's overall DBE goal. Mr. Cleary also provided SBDP contract awards by ethnic/gender category. In addition, Mr. Cleary provided an update on the Emerging Contractors Program, an intensive five-year mentoring program available to all small businesses, with special attention given to recruiting small, minority-owned businesses.

Mr. Garner noted that many companies are unable to be prequalified for SBDP because of financial issues. He said the Emerging Contractors Program is designed to give those firms who ordinarily might be excluded from the program, a chance to participate in the program, and to obtain the right training and resources.

Ms. Metzger asked if DDCR is reaching out to firms who did not previously qualify for the SBDP. Mr. Garner said yes, DDCR is reaching out to those firms. He added that outreach is being conducted to ethnic trade groups and associations in order to increase SBDP diversity.

Mr. Cleary said it is anticipated that approximately 200 firms will be able to participate in the SBDP that did not previously qualify for the program. He also said that since program inception approximately 4,944 jobs have been created. Reporting on the SBDP Training Program, Mr. Cleary said 318 firms have participated as of spring 2016. He added that in MTA's new Five-Year Capital Plan, it is anticipated that 430 projects will be awarded, totaling \$501 million with over 12,000 jobs being created.

In addition, Mr. Cleary said the SBDP has hired the nation's largest minority-owned CPA firm, Mitchell & Titus, to conduct financial training. Mr. Garner states that MTA's SBDP is seen as a model for other transportation agencies across the country. He thanked Chairman Prendergast, the MTA Board, and the MTA agency presidents and staff for their support.

M/W/DBE Contract Compliance Second Quarter 2016 Report

Ms. Harleston reported on federal and state funded contract award and payment activities. She said from October 2015 to June 2016, MTA awarded over \$1.15 billion in federally funded

portion of contracts. She said of this amount, \$188 million (16%) was awarded to certified DBEs. Ms. Harleston said for the same reporting period, MTA paid prime contractors approximately \$1.3 billion, with payments to certified DBEs totaling over \$221 million (17%).

Ms. Harleston also reported that during the first quarter of the New York fiscal year 2016/2017, MTA awarded approximately \$398 million in state funded contracts, with over \$67 million (17%) being awarded to certified MWBEs. She said MTA paid over \$ 424 million on prime contracts, with approximately \$92 million (22%) being paid to certified MWBEs. She said currently MTA's MWBE awards and payments are below the annual MWBE participation goal of 30%.

Ms. Harleston also reported on discretionary awards. She said from April 2016 to June 2016, MTA awarded approximately \$58 million in discretionary procurements (contract awards of \$200,000 or less), of which \$11.4 million was awarded to MWBEs, and another \$3.4 million (6%) was awarded to Small Business Concerns.

Mr. Garner said the lack of a Five-Year Capital Plan resulted in our Mentor program not being fully funded. He said last year contract awards totaled \$77.5 million contract awards. He said this year, contract awards totaled approximately \$25 million. Our anticipated growth which is a leading drive for both federal and state funding is at least 10%. He said this year in order to make up for the drop from last year, we are anticipating \$90 million in funding for projects. He said as we bring in new contracts and more ambitious goals we will see improvements on our goals being achieved. He said DDCR is tracking this month by month and the third month, and our DBE goal achievement is at 17% DBE this year.

With regards to discretionary, Mr. Garner stated that DDCR is working with the agencies to make sure we fully utilize the discretionary process. He said MTA is the only agency in the state that has increased its discretionary threshold limit from \$200,000 to \$400,000. He said DDCR is also tracking awards in IT, A&E and legal services. He said he is talking to the agencies about how to improve legal services. He said currently MWBE participation is at 7% in outside counsel fees.

Ms. Taveras reported on project site visits. She stated that a total of 578 site visits have been conducted from September 2015 through August 2016 on federal and state funded contracts. She added that compliance managers are conducting on average eight site visits per month.

Regarding the status of inactive contracts, Ms. Taveras said as of August 31, 2016, DDCR has processed 1,200 contracts for closeout. She said of these contracts, 1,093 contracts have been closed, 66 contracts are in the process of being closed, and 41 contracts are pending agency action before they can be closed out.

Mr. Garner noted that these are two areas which are of concern to the state auditors, MTA Inspector General's Office, and MTA Audit Services. He said DDCR staff has worked hard and taken a proactive approach in increasing site visits and contract closeouts.

Financial Services

Mr. Garner reported that in Financial Services area, MTA has achieved 28% MWBE participation for underwriter fees. He said the overall MWBE goal is 30%. Mr. Garner thanked MTA Director of Finance, Patrick McCoy, MTA Chief Financial Officer, Robert Foran, and

MTA Manager, Financial Analysis, Patrick Isom for their efforts in increasing MWBE participation in this area.

Asset Fund Managers

Mr. Crawford said MWBE participation is at 14% in total assets. He said MTA has achieved greater success in traditional assets. He said MTA has done much better by achieving 20% MWBE participation in traditional assets, which is better than market availability. He added that MTA is attempting to get more MWBE participation in non-traditional assets.

M/W/DBE Capital Projects

Ms. Harleston reported on MWBE participation on MTA's capital projects for the first six months of 2016. She said for federally funded projects, DBE participation was 16%, which is slightly below MTA's overall 17% DBE goal. She said on state-funded projects, MBE participation was 12%, and WBE participation was 13%, for a total MWBE participation of 25%.

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 emulated by other agencies. 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

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 rd 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

1st Quarter 2016 Report

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

September 2016

2nd Quarter 2016 Report

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

Recruitment Strategies

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

December 2016

3rd Quarter 2016 Report

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

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

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

Diversity Committee Charter Review

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

2017 Diversity Committee Work Plan

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

2017 Diversity Committee Work Plan

I. RECURRING AGENDA ITEMS

Responsibility

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

II. SPECIFIC AGENDA ITEMS

Responsibility

February 2017

Recommitment to EEO Policy	Dept. of Diversity/Civil Rights
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2017 Departmental Goals	
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2016 Year-End Report	
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Recruitment Strategies for MTAHQ and MTA Agencies	Dept. of Diversity/Civil Rights, MTAHQ and Agency Staff
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May 2017

1st Quarter 2017 Report	Dept. of Diversity/Civil Rights
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September 2017

2nd Quarter 2017 Report	Dept. of Diversity/Civil Rights
Diversity Committee Charter Review	Committee Chair & Members

December 2017

3 rd Quarter 2017 Report	Dept. of Diversity/Civil Rights
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Status Report on MTA Inter-Agency	
-----------------------------------	--

M/W/DBE Task Force	
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2018 Diversity Committee Work Plan	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 2017

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 2017 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 2017.

2016 Year-End Report

The Department of Diversity and Civil Rights will present 2016 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 2017

1st Quarter 2017 Report

The Department of Diversity and Civil Rights will present 1st quarter 2017 update on MTA Agency-wide EEO and M/W/DBE contract compliance activities.

September 2017

2nd Quarter 2017 Report

The Department of Diversity and Civil Rights will present 2nd quarter 2017 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 2017

3rd Quarter 2017 Report

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

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

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

Diversity Committee Charter Review

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

2018 Diversity Committee Work Plan

The Department of Diversity and Civil Rights will present an updated Diversity Committee Work Plan for 2018.

MTA Department of Diversity and Civil Rights Executive Summary

December 12, 2016



- **Business and Diversity Initiatives** (full report on page 30)
 - DDCR has continued to attend various events to reach out to minority and women-owned businesses.

- **Certification Activity Report** (full report on page 33)
 - A total of 25 applications for DBE certifications were received. The number of new applications is lower than the number of new applications during the same period in previous two years.
 - A total of 29 applications for DBE certification were processed. The number of applications processed is lower than the number processed during the same period in the previous two years.



- ❑ **Third Quarter EEO Activities** (full report on page 35)
 - ❑ MTA's overall workforce is currently comprised of 71,158 employees; of which 12,492 (18%) are Females,* 47,877 (67%) are Minorities and 1,836 (3%) are Veterans.*
 - ❑ MTA hired 4,376 employees; of which 1,051 (24%) were Females, 3,293 (75%) were Minorities and 149 (3%) were Veterans.
 - ❑ MTA and its Agencies handled a total of 476 EEO complaints; of which 292 were internal and 184 were external.
 - ❑ MTA and its Agencies handled a total of 239 Title VI complaints.

*Includes Minorities, Non-Minorities, and Veterans

The chart on the next page is a snapshot of the workforce by Agency.



The table below is a snapshot as of September 30, 2016 of each agency's numbers of employees, percentage of Race/Ethnicity, Gender and Veterans.

Agency	Total Employees	Females		Amer Ind		Asian		Black		Hispanic		NHOPI		Other		White		Veterans	
		#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
BRTUN	1438	320	22%	4	0%	101	7%	364	25%	256	18%	1	0%	49	3%	663	46%	95	5%
CCC	138	46	33%	1	1%	36	26%	21	15%	12	9%		0%	2	1%	66	48%	2	0%
LIRR	7089	1080	15%	19	0%	279	4%	1242	18%	785	11%	3	0%	184	3%	4577	65%	492	27%
Bus	3967	496	13%	10	0%	298	8%	1773	45%	749	19%	15	0%	138	3%	984	25%	35	2%
MNR	6540	859	13%	23	0%	195	3%	1358	21%	690	11%	1	0%	185	3%	4088	63%	684	37%
HQ	2488	818	33%	7	0%	374	15%	562	23%	295	12%	1	0%	93	4%	1156	46%	45	2%
NYCT	49498	8873	18%	87	0%	5626	11%	23040	47%	7992	16%	21	0%	985	2%	11747	24%	483	26%
Total	71158	12492	18%	151	0%	6909	10%	28360	40%	10779	15%	42	0%	1636	2%	23281	33%	1836	3%

*Females and Minorities numbers are calculated based on the total number of each agency's employees.

**Veterans numbers are calculated based on the number of veterans in the agency's workforce divided by the total number of veterans employed MTA-wide.



- **MWDBE Contract Compliance** (full report on page 46)
 - For Federal Fiscal Year 2016, MTA met its DBE goal. A total of **\$1.4 billion** was awarded in federally funded portion of contracts, with DBE participation of **\$237 million (17%)**. A total of **\$1.8 billion** was paid to prime contractors in federally funded contracts, with DBE participation of **\$267 million (15%)**.
 - The overall MWBE goal is **30%**. For first half of New York State fiscal year 2016-2017, approximately **\$816 million** was awarded in state funded contracts, with MWBE participation of **\$134 million (16%)**. Approximately **\$792 million** was paid to prime contractors with MWBE participation of **\$175 million (22%)**.
 - For discretionary procurements, out of a total of **\$39 million**, with a value of **\$200k or less**, **\$2.6 million (7%)** was awarded to MWBEs and **\$297,000 (1%)** was awarded to Small Business Concern.



- Out of a total of \$14.4 million paid in outside counsel fees, MWBE law firms received \$1.2 million (9%).
- DDCR conducted 640 site visits between September 1, 2015 and September 1, 2016. On average eight site visits per manager per month are conducted. As of September 30, 2016, DDCR has closed 1,109 contracts, with an additional 57 contracts in the process of being closed and 39 contracts pending agency action.

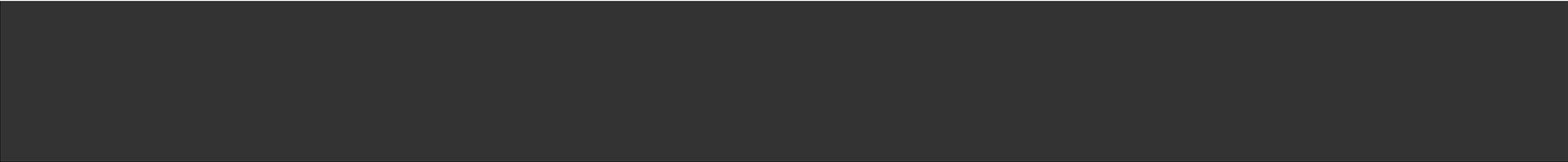


- **MWDBE Capital Projects** (full report on page 71)
 - From January 2016 through September 2016, \$967 million was awarded in federally funded capital projects with \$158 million (16%) being awarded to DBEs. For state funded capital projects, \$288 million was awarded with \$40 million (14%) being awarded to MBEs, and \$36 million (12%) awarded to WBEs. Total MWBE participation is 26%.



- **Small Business Development Program Update** (full report on page 76)
 - **143** firms prequalified for Tier 1 of the Small Business Mentoring Program
 - **47** Firms prequalified for Tier 2 of the Small Business Mentoring Program
 - **39** firms prequalified for the Small Business Federal Program
 - **79** loans for **\$10.2M** from inception to date
 - **\$212.2M** in total contract awards
 - **5,093** jobs created within the Small Business and MWDBE community
 - **27** firms enrolled and **5** pending approval in the Emerging Contractor Program
 - Scope B – Business Development Services contract in place and staff engaged





- **Financial Services** (full report on page 90)

- For underwriter fees, for the first half of state fiscal year 2016-2017, \$12.5 million was awarded in underwriter fees. MBE participation was \$12.5 million (25%), and WBE participation was \$287,084 (2%).



- **Asset Fund Managers – MWBE Participation Combined Plans** (full report on page 92)
 - Total assets managed by MWBEs: \$836.4 million; or 13% of total assets
 - Majority of assets are in traditional asset classes
 - Traditional assets managed by MWBEs: \$810.8 million; or 20% of traditional assets
 - MWBE firms manage
 - 51% of US Equities
 - 25% of Non-US Equities
 - 9% of Fixed Income
 - First MWBE investment in alternative investments made in 3rd quarter
 - Will represent 20% of Real Estate allocation, 2% of total assets



- Continue to actively source new relationships and investment managers
 - Engaged with investment consultants, industry groups, custodians, and brokers



MTA Department of Diversity and Civil Rights Business and Diversity Initiatives

December 12, 2016



MTA Business & Diversity Initiatives

October 2016

Harlem Week Closing Gala
6th Annual NYS MWBE Conference
DDCR Presents "DBE Certification Session"
Statewide Hispanic Chamber of Commerce of NJ 26th Annual Convention and Awards Luncheon
New York State Association of Minority Contractors 18th Annual Awards Dinner
Circle of Sisters Opportunity Expo
DDCR Presents "New Firm Orientation Session"
MTA Presents "Conference of Minority Transportation Officials (COMTO) NY/National DBE Opportunity Day"
Veterans in Economic Transition (VETCON 2016)

November 2016

NYNJ MSDC 2016 Partnership Awards Gala
LaGuardia Business Services Government and Business Matchmaker
DDCR Presents "DBE Certification Session"
Fall 2016 SOMOS El Futuro Inc. Conference
Nassau County Comptroller's Business Roundtable
Harlem Community Development Corp: How to do Business with the MTA
One Hundred Black Men, Inc. 2016 MWBE Economic Empowerment Summit
A & E Discretionary Vendor Follow Up Event



MTA Business & Diversity Initiatives

December 2016

New York City Hispanic Chamber of Commerce 11th Annual Banquet & Awards Ceremony

MTA DDCR and LIRR host "MWBE Vendor Information Outreach Event – RFP 6240 Mainline Expansion Project"

DDCR and Office of Construction Oversight present an Orientation Session for "RFP 14073 - A&E Discretionary Opportunities Meet and Greet"

DDCR Presents "DBE Certification Session"



MTA Department of Diversity and Civil Rights Certification Activity Report

December 12, 2016



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

	2016	2015	2014
JULY	10	10	8
AUG	10	9	16
SEPT	5	13	4
TOTAL	25	32	28

**CERTIFICATION ACTIVITY FOR NEW APPLICATIONS
THIRD QUARTER 2016 - 2014**

	2016	2015	2014
CERTIFIED	17	15	20
DENIED	0	0	1
RETURNED	10	15	8
WITHDRAWN	2	5	5
TOTAL	29	35	34

Metropolitan Transportation Authority
Department of Diversity and Civil Rights

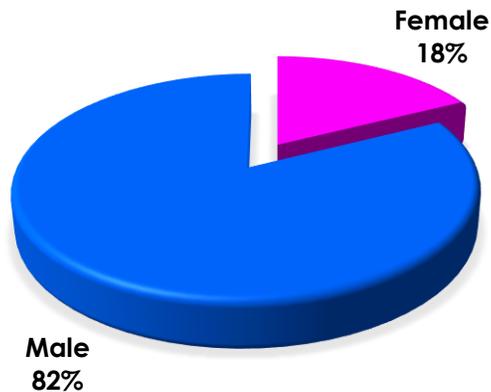
MTA-Wide Workforce As of September 30, 2016

December 12, 2016

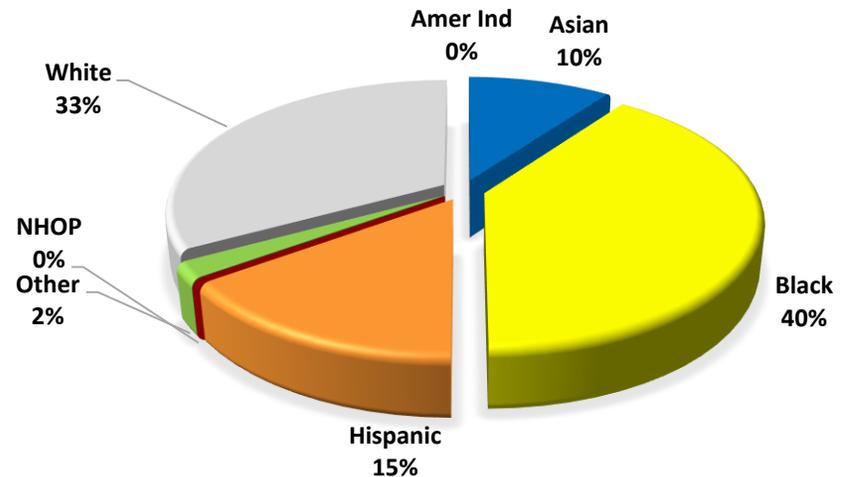


MTA-Wide Workforce as of September 30, 2016

MTA-Wide Workforce
By Gender



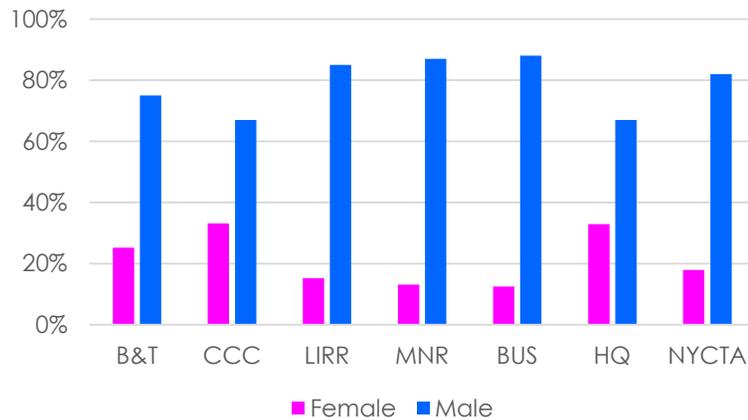
MTA-Wide Workforce
By Race/Ethnicity



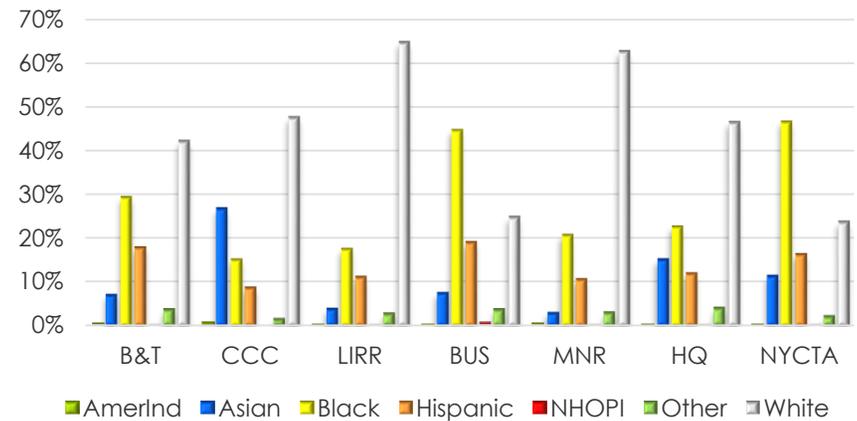
- ❑ MTA Authority-wide consist of **71,158** employees.
- ❑ **18%** Females, **67%** Minorities and **3%** Veterans.
- ❑ The percentage of Females employed Authority-Wide has remained constant since the prior quarter.
- ❑ The overall composition of MTA's workforce did not change significantly as it relates to race and ethnicity since the prior quarter.

MTA-Wide Workforce by Gender and Race/Ethnicity as of September 30, 2016

MTA Agencies By Gender



MTA Agencies By Race/Ethnicity



Agency	Employees	Females	Minorities
B&T	1,438	22%	54%
CCC	138	33%	52%
LIRR	7,089	15%	35%
MNR	6,540	13%	37%
BUS	3,967	13%	75%
HQ	2,488	33%	81%
NYCT	49,489	18%	76%



Metropolitan Transportation Authority
Department of Diversity and Civil Rights

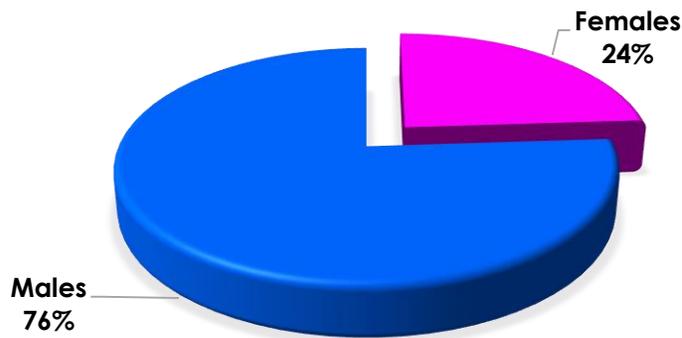
MTA-Wide Hires and Veterans Third Quarter 2016

December 12, 2016

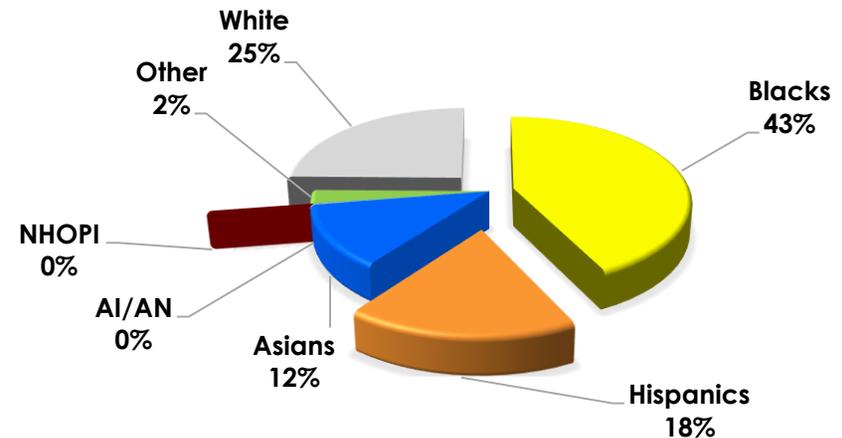


MTA-Wide New Hires and Veterans By Gender and Race/Ethnicity January 1, 2016 to September 30, 2016

MTA-Wide New Hires
by Gender



MTA-Wide New Hires
By Race/Ethnicity

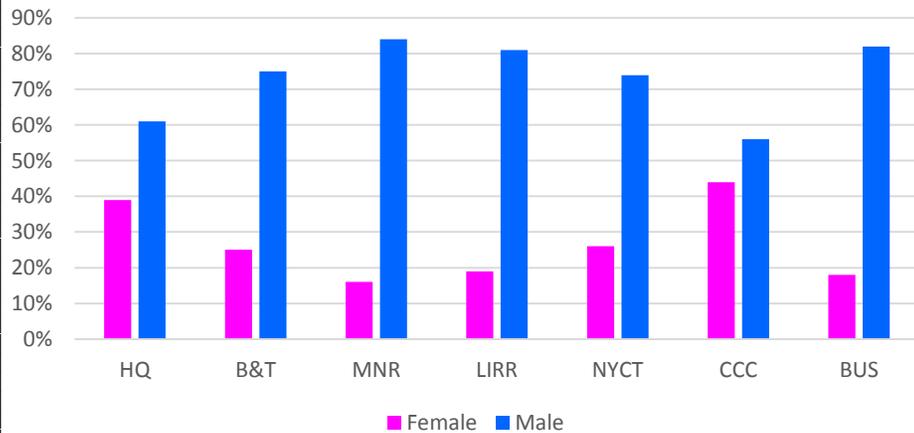


MTA and its Agencies hired **4,376** Employees and **149** Veterans

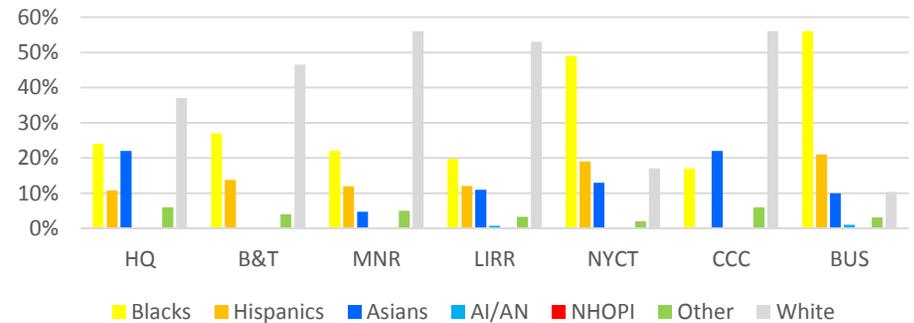
- 24% Females in which 7% were Veterans.
- 75% Minorities in which 67% were Veterans.
- 3% Veterans overall were hired.

New Hires and Veterans By Agency January 1, 2016 to September 30, 2016

MTA Agencies' New Hires
By Gender



MTA Agencies' New Hires
By Race/Ethnicity



This chart shows a breakdown by Agency of the **4,376** employees and **149** Veterans hired.

Agency	Employees	Females	Minorities	Veterans
HQ	174	39%	63%	1%
B&T	77	25%	56%	5%
MNR	450	16%	44%	8%
LIRR	371	19%	47%	6%
NYCT	2,950	26%	83%	3%
CCC	18	44%	44%	0%
BUS	336	18%	90%	1%



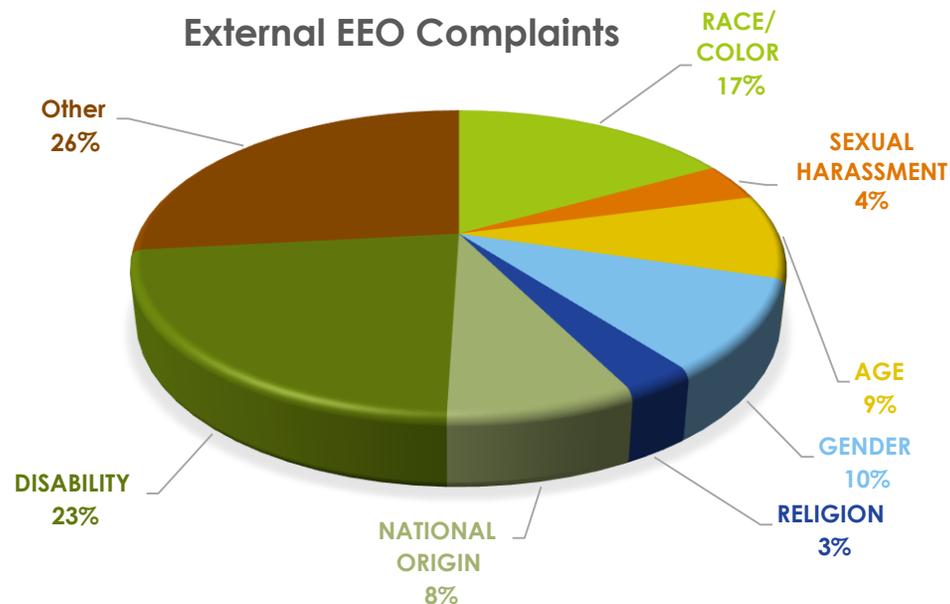
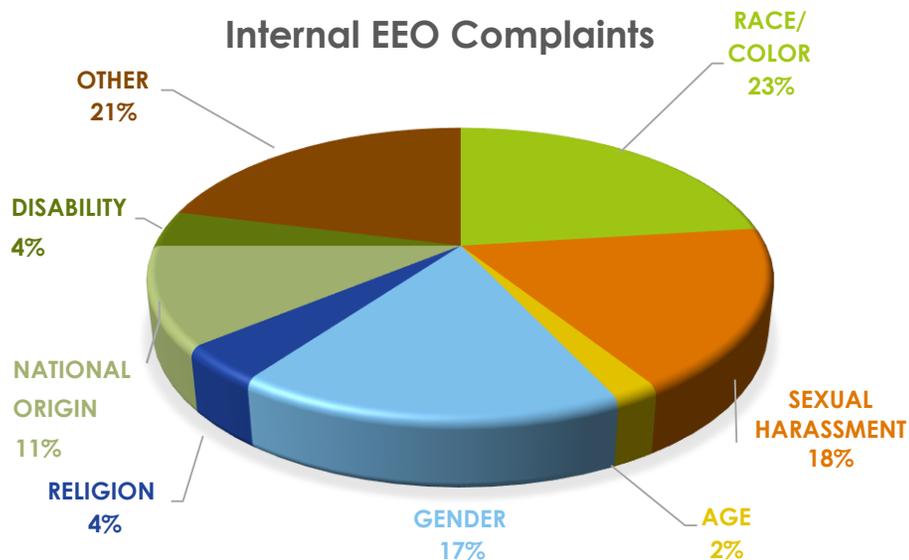
Metropolitan Transportation Authority
Department of Diversity and Civil Rights

MTA-Wide EEO and Title VI Complaints

December 12, 2016



MTA-Wide External/Internal EEO Complaints January 1, 2016 to September 30, 2016



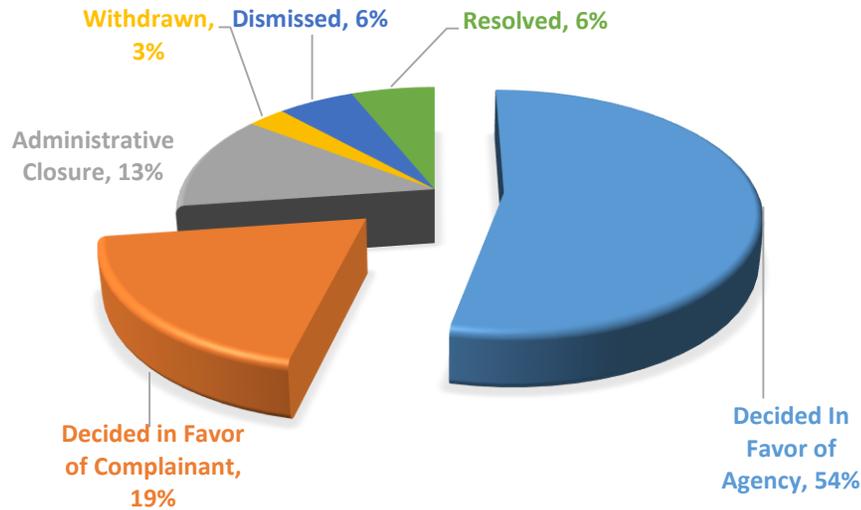
- ❑ MTA and its Agencies handled **476** EEO complaints
- ❑ **292** filed Internal
- ❑ **184** filed External
- ❑ The most frequently cited bases Internally was Race and Externally was Disability.



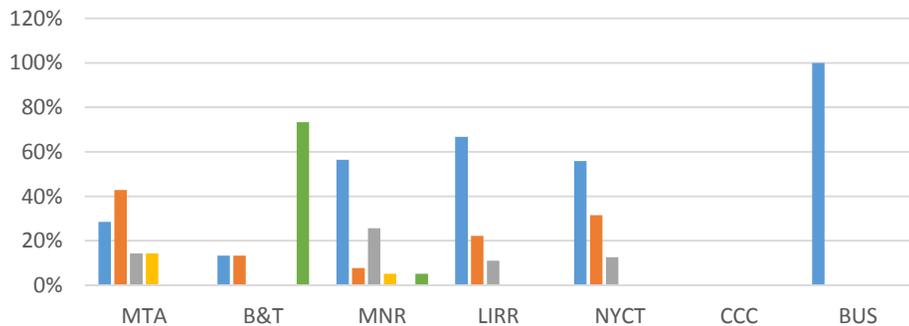
These charts includes all pending matters as of the date of the report; including matters filed prior to the reporting period.
 "Other" contains all EEO categories not otherwise specially mentioned on the chart (i.e. Retaliation, Sexual Orientation, Military status, or Marital Status etc.)

MTA-Wide and its Agency's EEO Internal/External Discrimination Complaint Dispositions January 1, 2016 to September 30, 2016

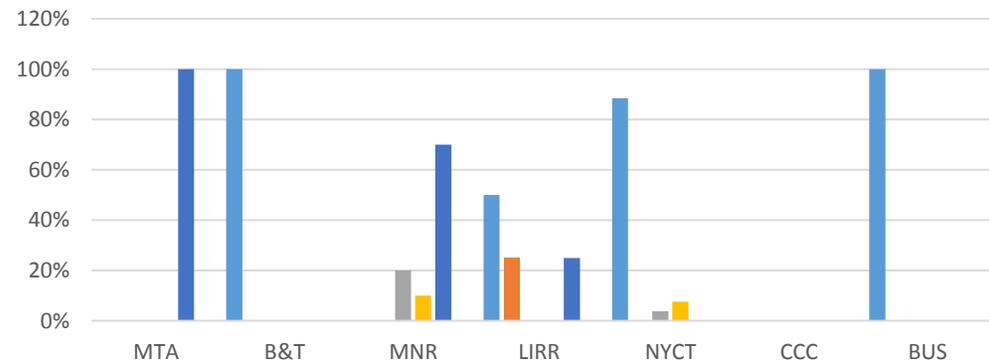
MTA-Wide Internal and External Complaint Dispositions



Internal EEO Complaint Dispositions



External EEO Complaint Dispositions

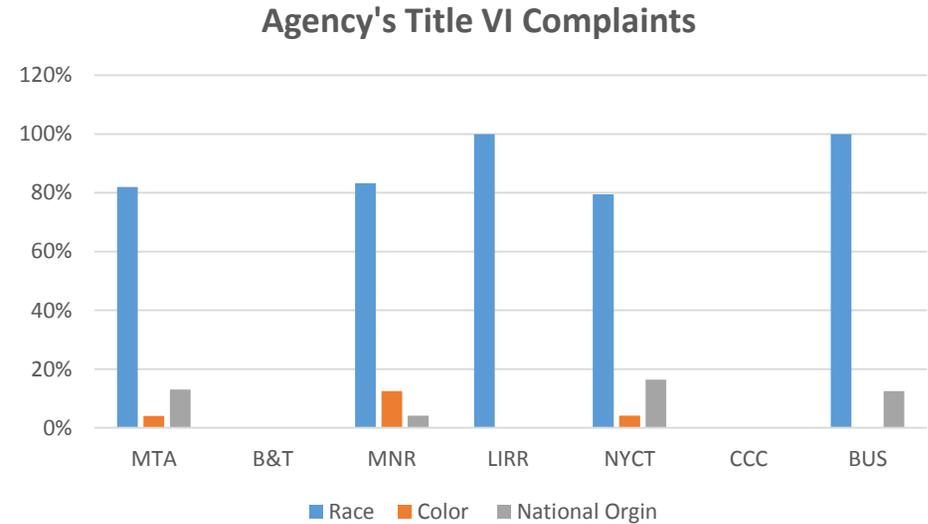
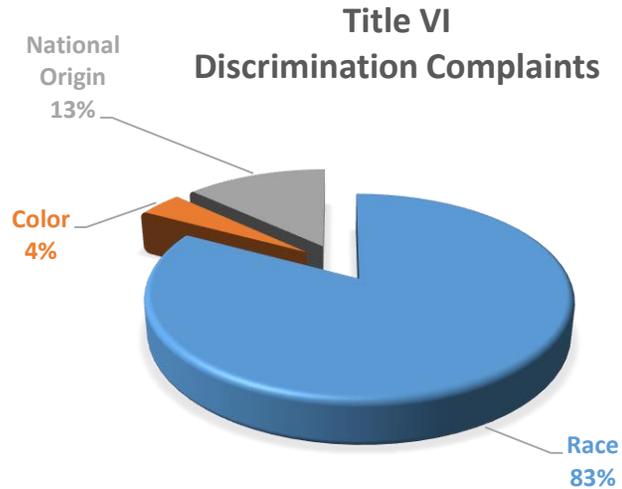


- Decided In Favor of Agency
- Decided in Favor of Complainant
- Administrative Closure
- Withdrawn
- Dismissed
- Resolved/Settlement

- Decided In Favor of Agency
- Decided in Favor of Complainant
- Administrative Closure
- Withdrawn
- Dismissed
- Resolved/Settlement



MTA-Wide Title VI Discrimination Complaints January 1, 2016 to September 30, 2016

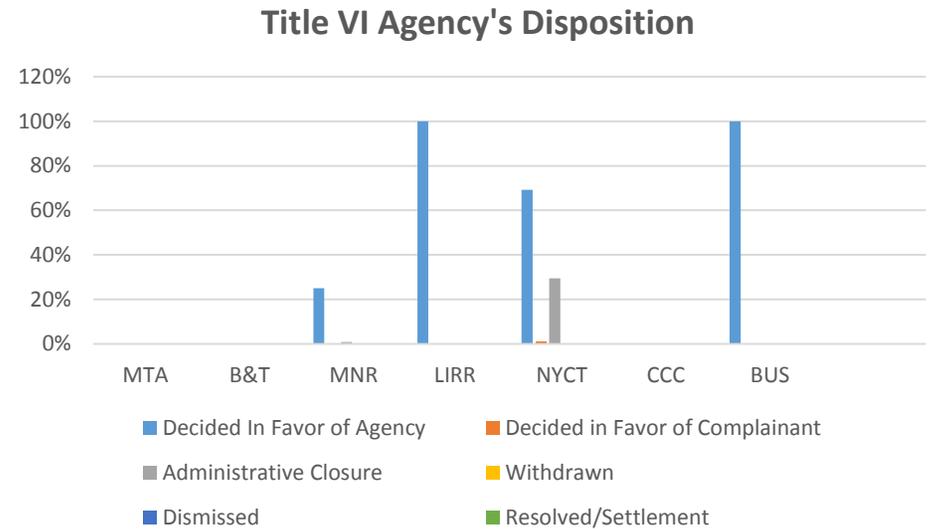
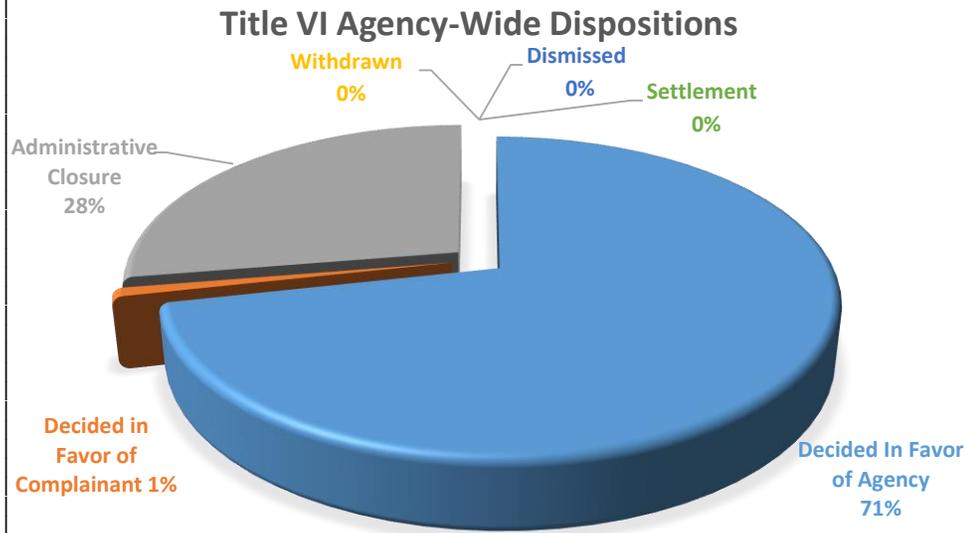


MTA and its Agencies handled a total of **239** Title VI complaints and **249** allegations.

Agency	Complaints	Allegations	Race	Color	National Origin
MNR	20	24	83%	13%	4%
LIRR	15	15	100%	0%	0%
NYCT	189	195	79%	16%	4%
BUS	15	15	100%	0%	0%



MTA-Wide Title VI Discrimination Complaint Disposition January 1, 2016 to September 30, 2016



MTA and its Agencies handled **116** Title VI Complaints

71% decided in Favor of the Agency

1% decided in Favor of the Complainant

28% were Administrative Closures



M/W/DBE CONTRACT COMPLIANCE Third Quarter 2016

December 12, 2016

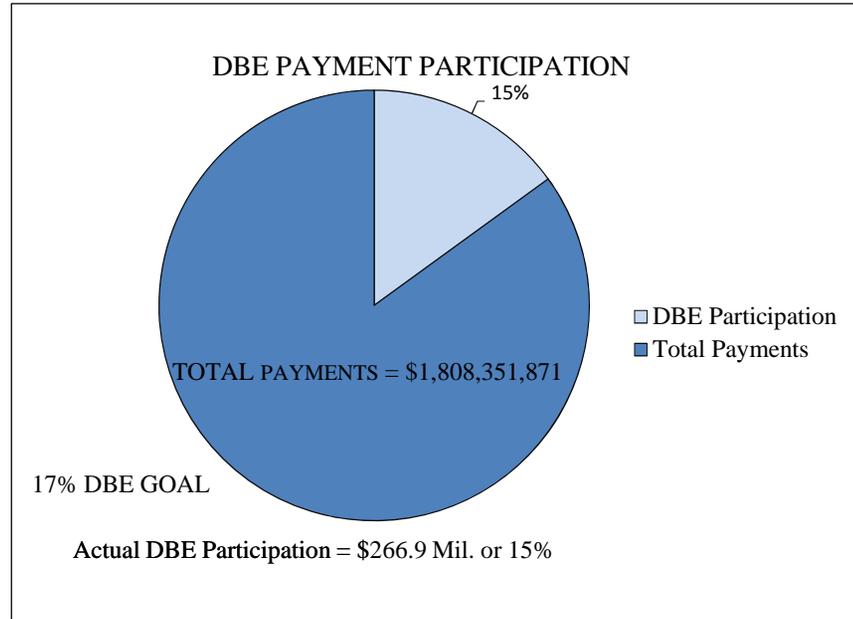
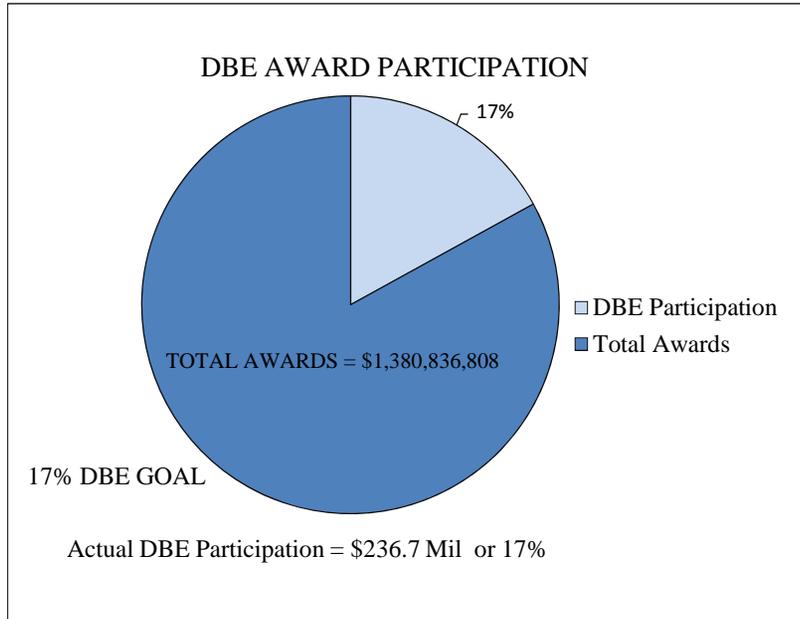


**DBE Participation in Federally Funded Contracts
Federal Fiscal Year 2016*
(October 1, 2015 to September 30, 2016)**

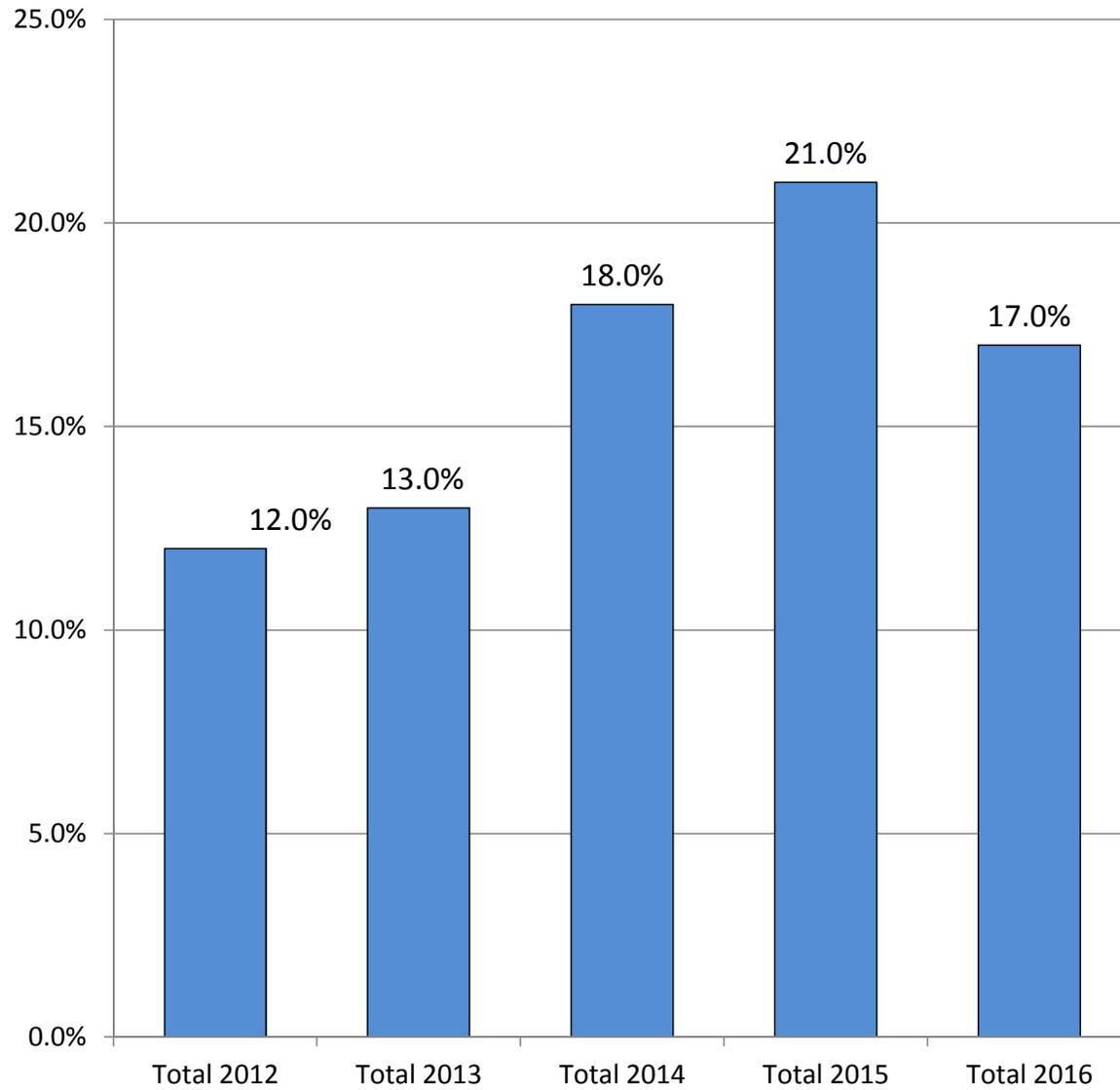
- Each year, MTA reports to the Federal Transit Administration on a semi-annual basis DBE participation in federally funded contracts.
- Reports are submitted on June 1st -- covering October through March, and December 1st -- covering April through September. The December report also summarizes data 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 September 2016, MTA awarded approximately \$1.4 billion in the federally funded portion of contracts, and awarded over \$236 million (17%) to certified DBEs.
- From October 2015 through September 2016, MTA paid prime contractors over \$1.6 billion, with payments to certified DBEs totaling approximately \$244 million (15%).

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

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

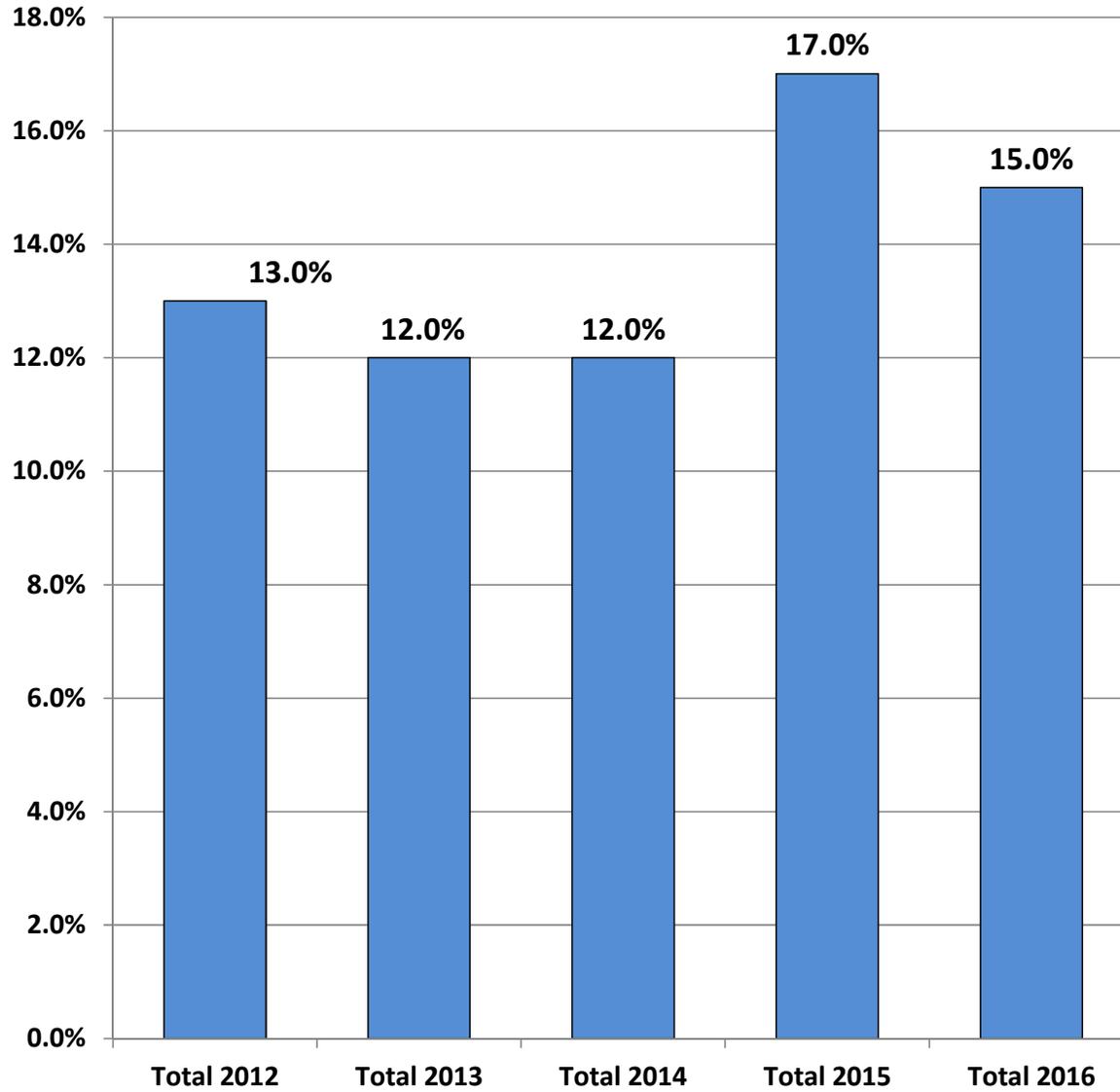


DBE CONTRACT AWARDS October 2011 - September 2016*



* Reporting by Federal Fiscal Years 2011 - 2016

DBE CONTRACT PAYMENTS October 2011 - September 2016*



* Reporting by Federal Fiscal Years 2011 - 2016

**FEDERALLY-FUNDED CONTRACTS
DBE CONTRACT ACTIVITY
FEDERAL FISCAL YEAR 2016 (OCTOBER 2015-SEPTEMBER 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	
1st SEMI-ANNUAL REPORT October 2015 - March 2016	829	\$487,068,619	85	\$57,428,737	12%	17%
2ND SEMI-ANNUAL REPORT April 2016- September 2016	1,029	\$893,768,189	98	\$179,242,216	20%	17%
TOTAL	1858**	\$1,380,836,808	183	\$236,670,953	17%	17%

PAYMENTS*

CONTRACT PAYMENTS	PAYMENTS TO PRIMES		DBE PARTICIPATION			OVERALL FTA GOAL
	Number of Contracts	Payment Amount	Number of DBE Subcontracts	DBE Payment Amount	% To Agency Total	
1st SEMI-ANNUAL REPORT October 2015 - March 2016	116	\$850,371,389	249	\$150,635,489	18%	17%
2ND SEMI-ANNUAL REPORT April 2016- September 2016	149	\$957,980,482	540	\$116,286,065	12%	17%
TOTAL	265	\$1,808,351,871	789	\$266,921,555	15%	17%

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

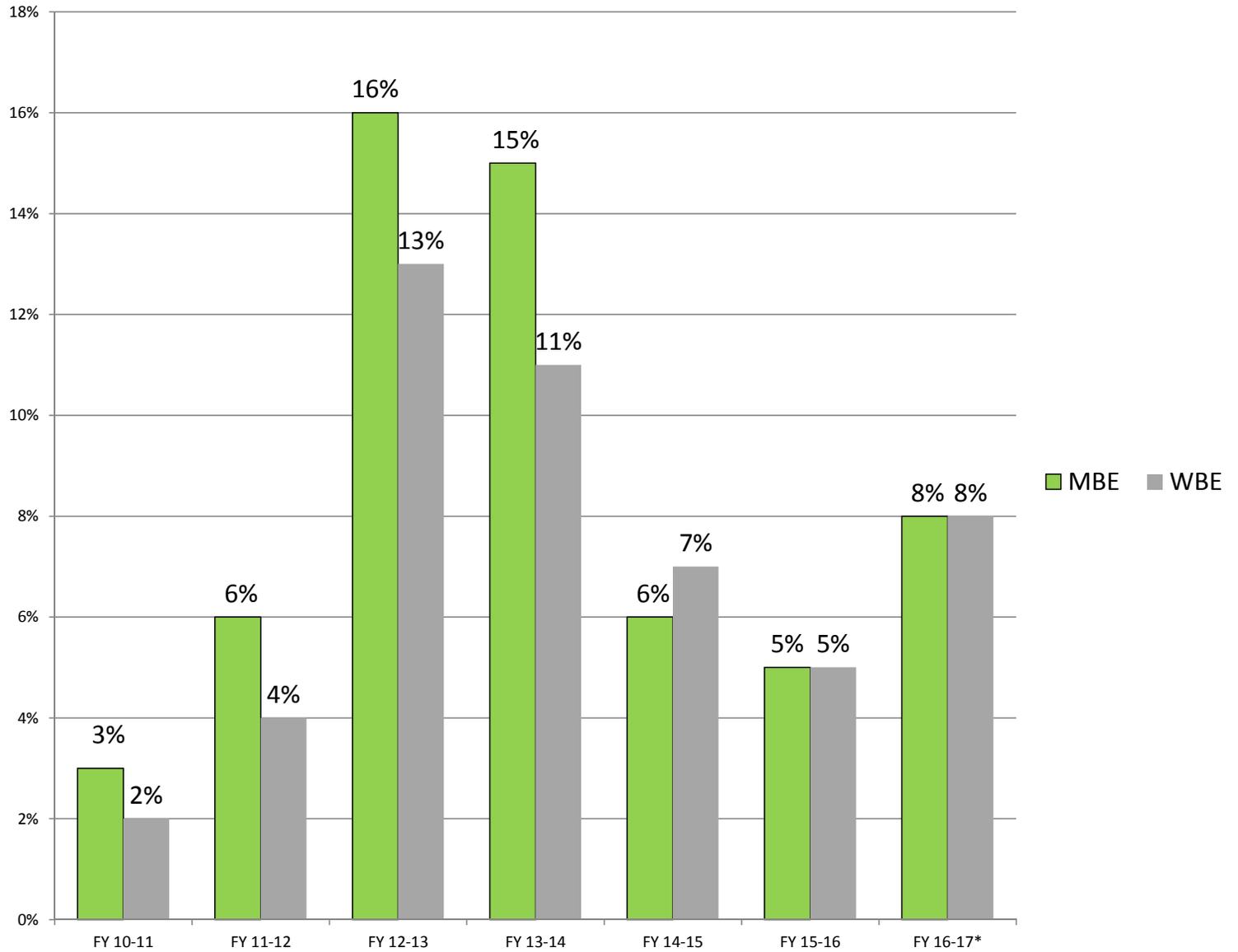
**This figure includes contracts for which no DBE goals were assigned.

**MWBE Participation in State Funded Contracts
New York State Fiscal Year 2016-2017*
(April 1, 2016 to September 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 September 30, 2016, MTA awarded \$815.6 million in in NY State funded contracts, with over \$134 million (16%) awarded to certified MWBEs.
- From April 1, 2016 to September 30, 2016, MTA paid approximately \$792 million on prime contracts with over \$175 million (22%), paid to MWBEs.

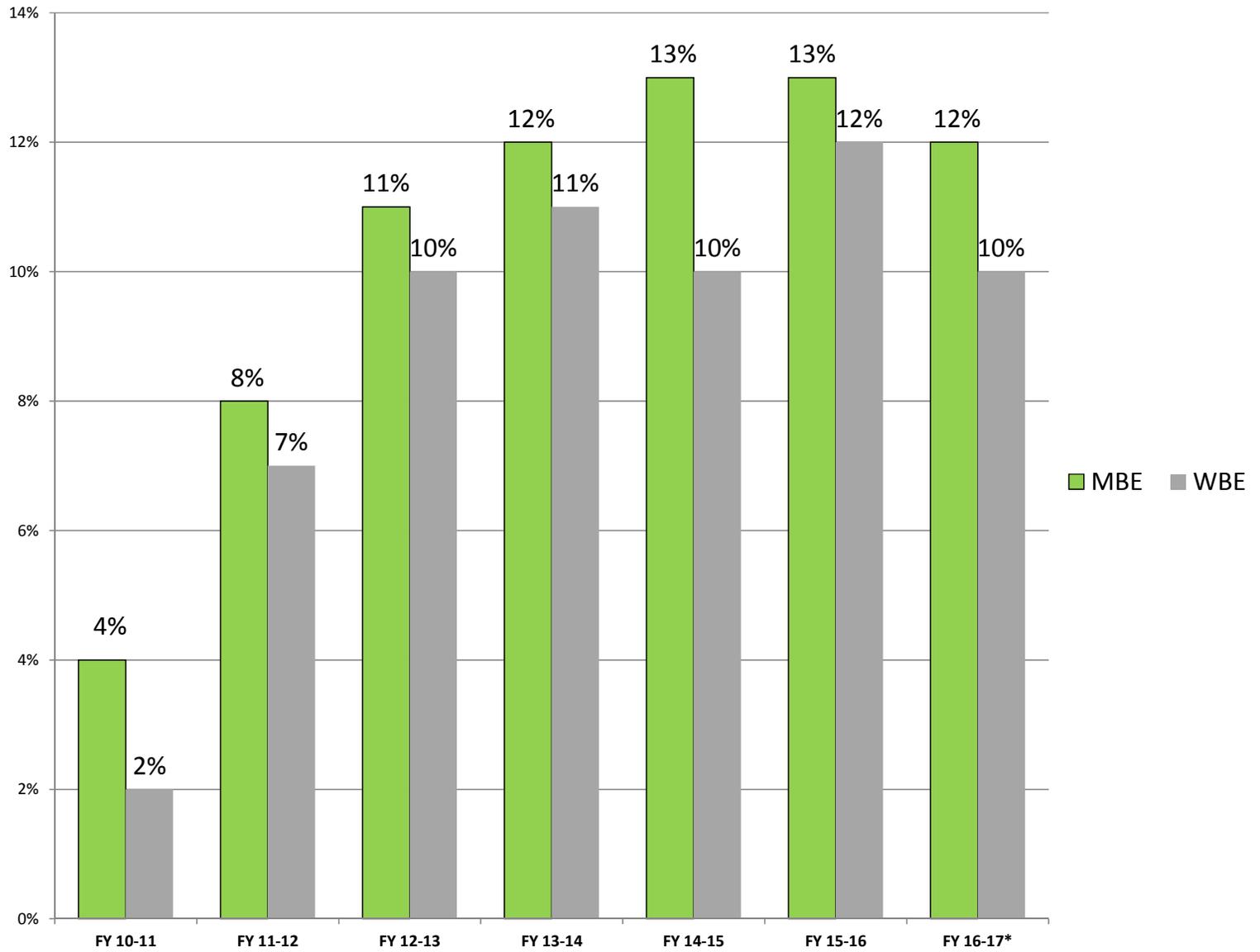
*The State Fiscal Year runs from April 1st through March 31st.

NYS MWBE AWARDS APRIL 2010 - SEPTEMBER 2016



*Reporting for first six months of New York State fiscal year (April through September 2016) only.

NYS MWBE PAYMENTS April 2010- September 2016



*Reporting for first six months of New York State fiscal year (April through September 2016) only.

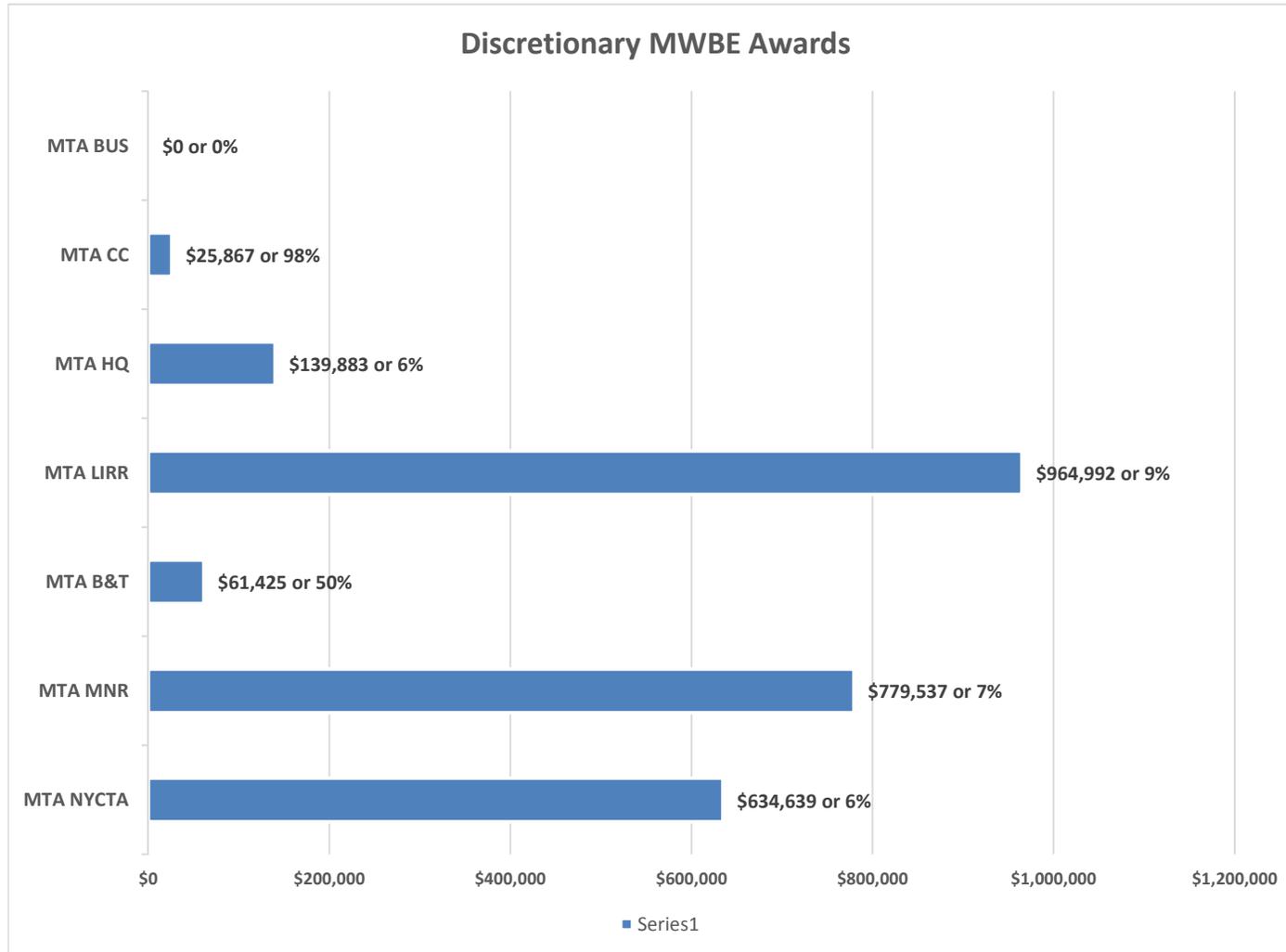
**NYS CONTRACTS
MWBE CONTRACT ACTIVITY
APRIL 1, 2016-SEPTEMBER 30, 2016
AWARDS**

CONTRACT AWARDS	PRIME AWARDS		MWBE AWARDS			NYS Goal
	Number of Contracts	Award Amount	Number of MWBE Subcontracts	MWBE Award Amount	MWBE %	
FIRST QUARTER	19,662	\$397,839,032	1,257	\$67,273,692	17%	30%
APRIL 2016-JUNE 2016						
SECOND QUARTER	18,628	\$417,750,270	1,231	\$67,059,599	16%	30%
JULY 2016-SEPTEMBER 2016						
TOTAL	38,290	\$815,589,302	2,488	\$134,333,291	16%	30%

PAYMENTS

CONTRACT PAYMENTS	PAYMENTS TO PRIMES		MWBE PARTICIPATION			NYS Goal
	Number of Contracts	Payment Amount	Number MWBE Contracts	MWBE Payment Amount	MWBE %	
FIRST QUARTER	2,347	\$424,262,264	3,325	\$91,879,116	22%	30%
APRIL 2016-JUNE 2016						
SECOND QUARTER	1,250	\$367,584,581	2,918	\$83,205,013	23%	30%
JULY 2016 - SEPTEMBER 2016						
TOTAL	3,597	\$791,846,845	6,243	\$175,084,129	22%	30%

**MTA ALL AGENCY
DISCRETIONARY PROCUREMENT REPORT*
JULY 2016 - SEPTEMBER 2016**



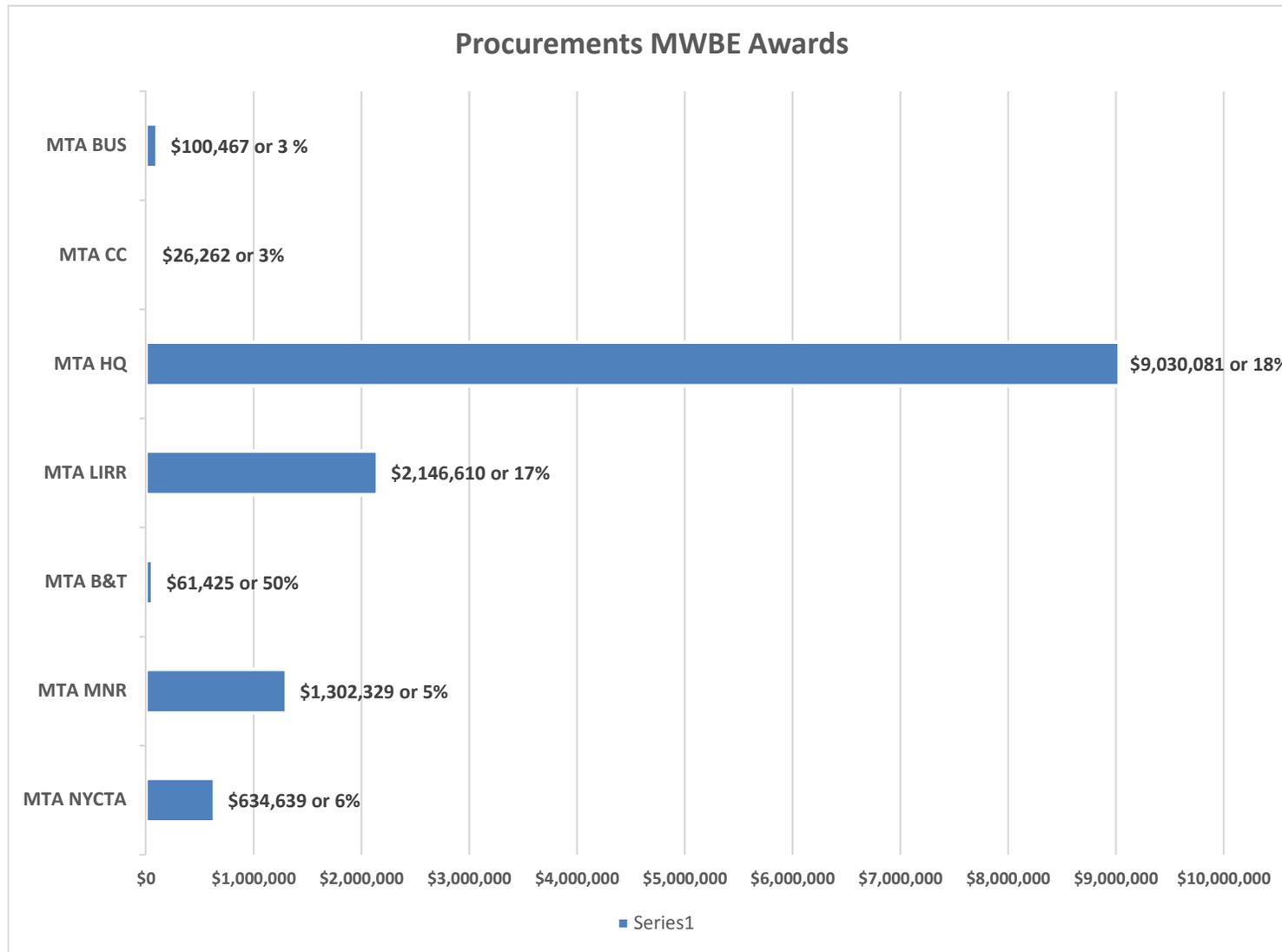
* Discretionary procurements include purchases for goods, miscellaneous procurements, personal or miscellaneous services.

**MTA ALL AGENCY
DISCRETIONARY PROCUREMENT REPORT*
JULY 2016 - SEPTEMBER 2016**

Agency	Total Awards \$200k or Less	MWBE Discretionary Awards	Discretionary MWBE	SBC Discretionary	Discretionary SBC
MTA NYCTA	\$11,283,767	\$634,639	6%	\$0	0%
MTA MNR	\$11,907,920	\$779,537	7%	\$45,385	0%
MTA B&T	\$124,052	\$61,425	50%	\$0	0%
MTA LIRR	\$11,014,860	\$964,992	9%	\$251,687	2%
MTA HQ	\$2,198,053	\$139,883	6%	\$0	0%
MTA CC	\$26,262	\$25,867	98%	\$0	0%
MTA BUS	\$2,767,331	\$0	0%	\$0	0%
Total	\$39,322,245	\$2,606,343	7%	\$297,072	1%

* Discretionary procurements include purchases for goods, miscellaneous procurements, personal or miscellaneous services.

**MTA ALL AGENCY
TOTAL PROCUREMENTS
JULY 2016 - SEPTEMBER 2016**



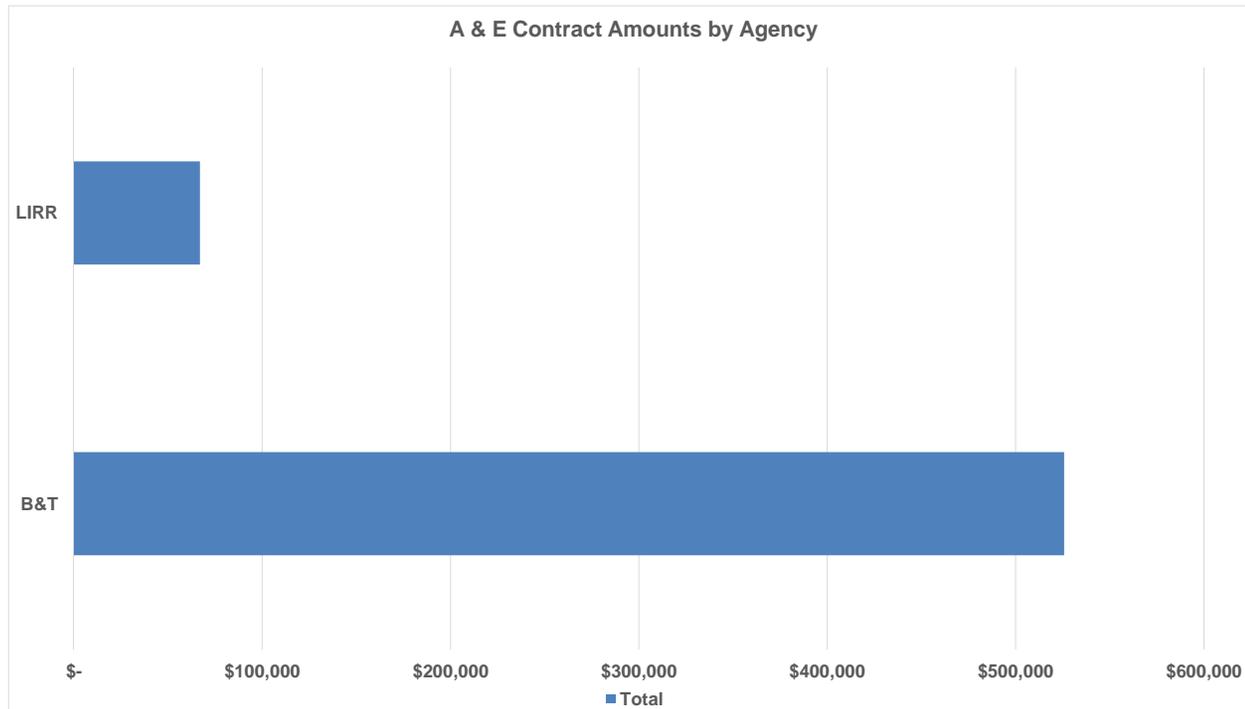
**MTA ALL AGENCY
TOTAL PROCUREMENTS
 JULY 2016 - SEPTEMBER 2016**

Agency	Total Award Amount	Total MWBE Awards	MWBE
MTA NYCTA	\$11,283,767	\$634,639	6%
MTA MNR	\$24,265,800	\$1,302,329	5%
MTA B&T	\$124,052	\$61,425	50%
MTA LIRR	\$12,549,141	\$2,146,610	17%
MTA HQ	\$51,373,652	\$9,030,081	18%
MTA CC	\$836,077	\$26,262	3%
MTA BUS	\$3,051,990	\$100,467	3%
Total	\$103,484,479	\$13,301,813	13%

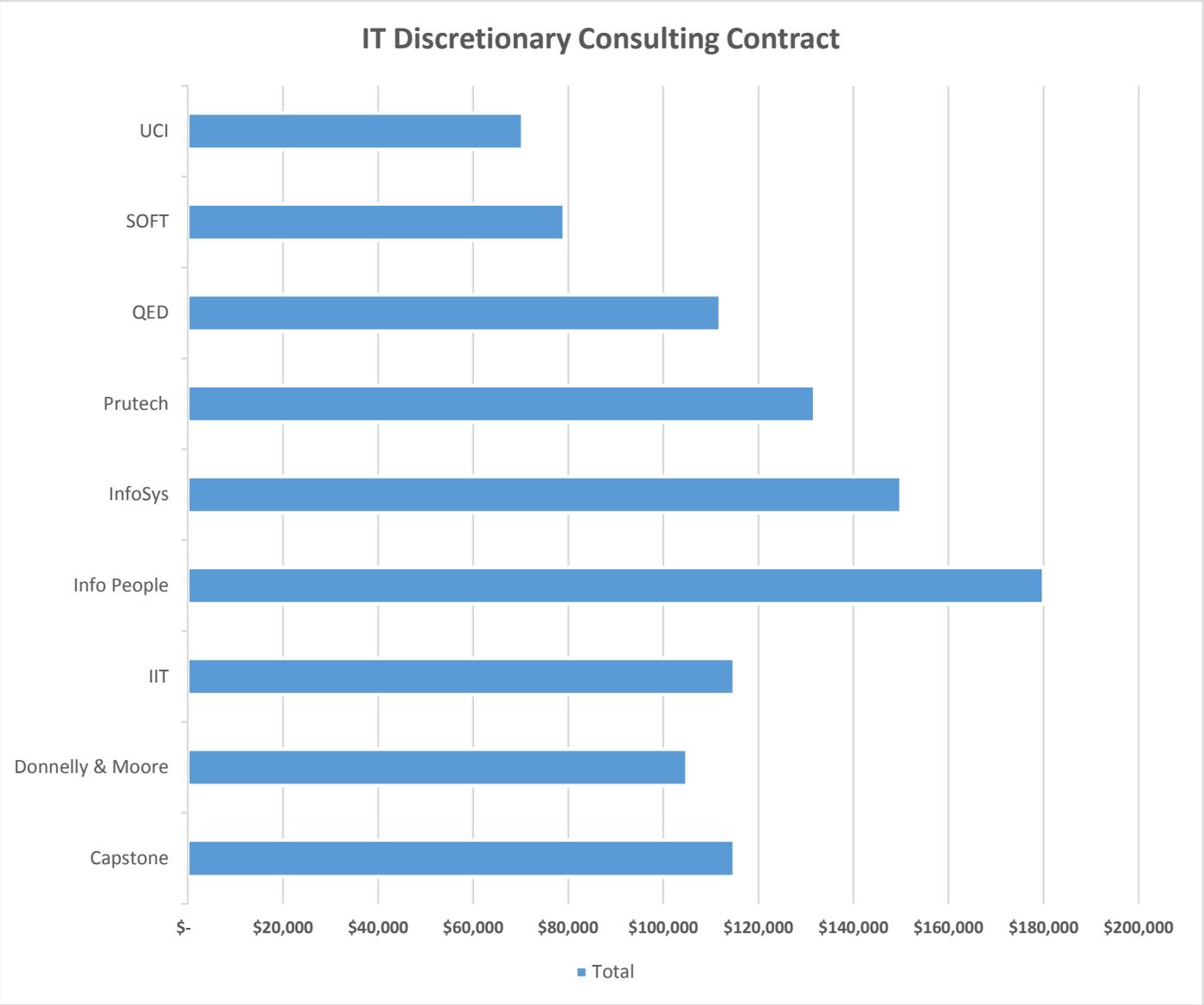
A/E Awards thru Discretionary Procurement as of 9/30/16

#	Agency	Project Name & Description	Primary Trades	Contract Amount	Notice of Award Date	Contractor Certification
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	8/12/16	MBE
6	B&T	Manhattan Blower Building Front Door Repair & Replacement at HLC Tunnel	Engineering Design Services	\$ 23,826	9/2/16	M/WBE
7	B&T	VNM 387- Sidewalk Repairs along Major Avenue @ Verrazano Narrows Bridge, WBM 371- Landscaping @ Bronx Whitestone Bridge, WBM 372- Sidewalk Repairs @ Bronx Whitestone Bridge	Inspection and Design, Expert engineering, and Engineering support Services	\$ 113,947	9/12/16	MBE

Total : \$ 592,886



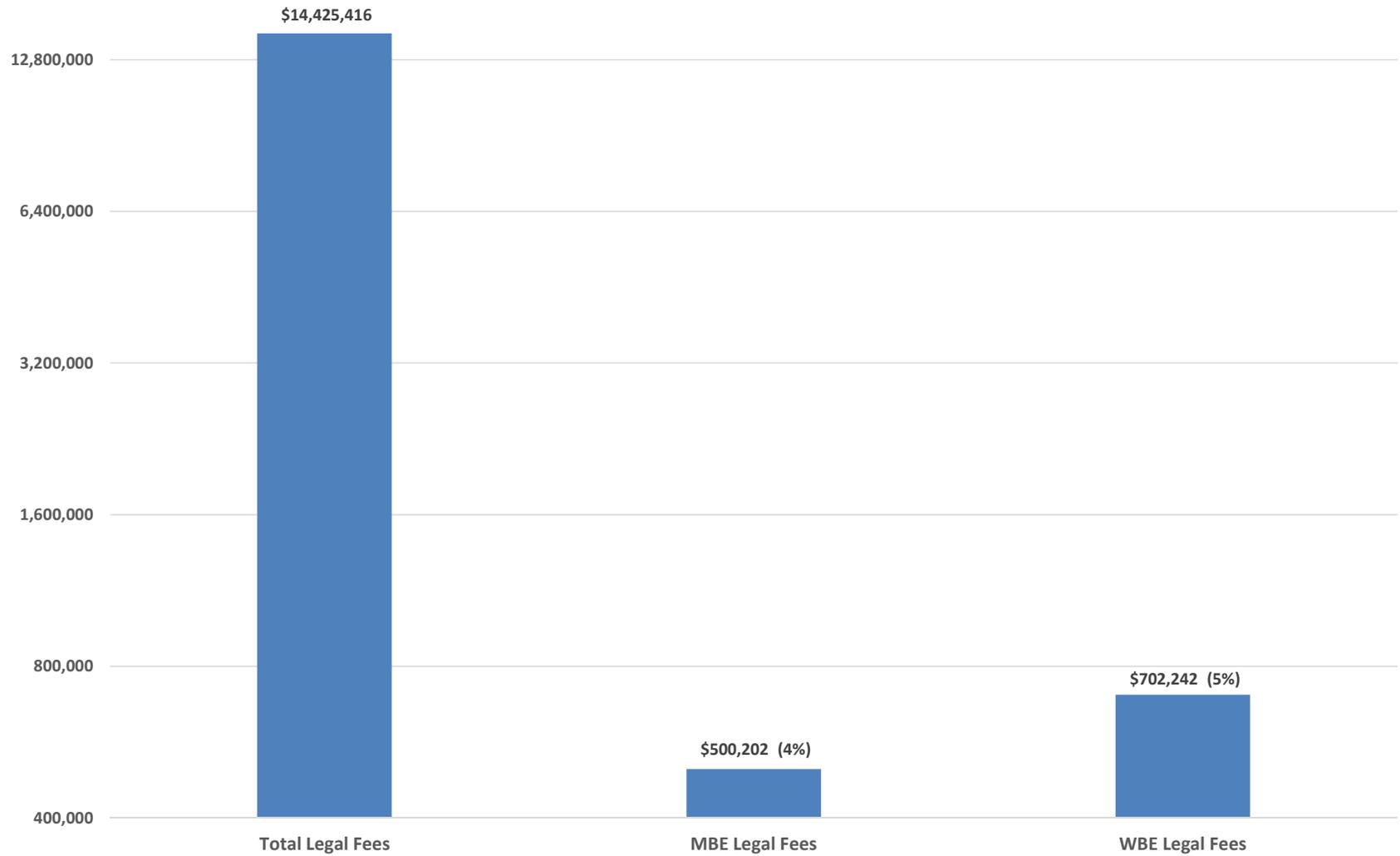
IT Discretionary Consulting Contract No. 14357



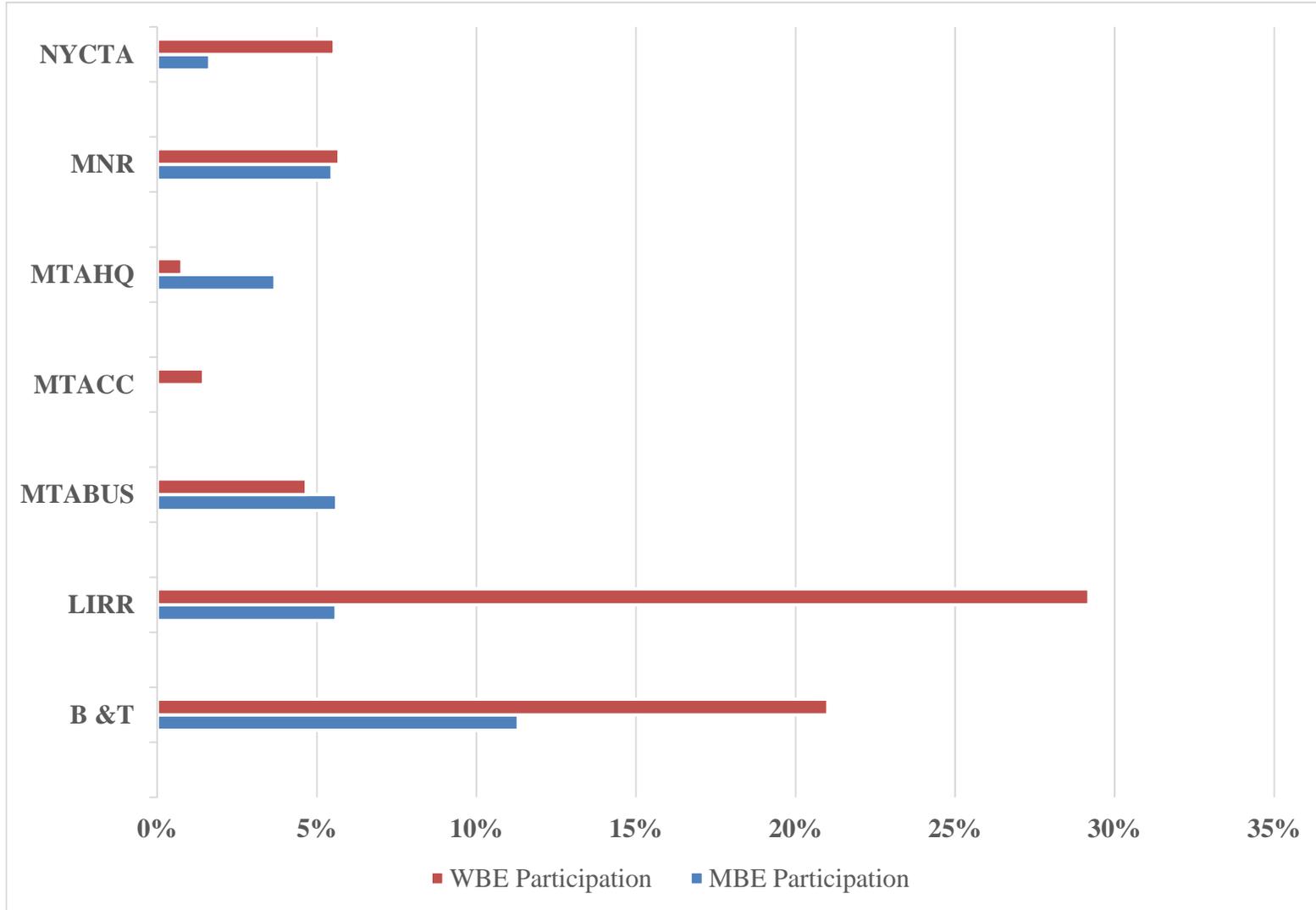
IT Discretionary Consulting Contract No. 14357

Vendor	PO Number	PO Amount	Vendor	PO Number	PO Amount
Capstone	9000004990	\$ 114,950	QED	9000005004	\$ 112,000
	9000004991	\$ 114,950		9000005005	\$ 63,648
	9000005220	\$ 96,800		9000005006	\$ 112,230
Donnelly & Moore	9000005233	\$ 105,000		9000005075	\$ 48,269
				9000005076	\$ 70,200
IIT	9000005219	\$ 114,950		9000005173	\$ 65,520
				9000005198	\$ 93,600
				9000005200	\$ 150,000
Info People	9000004895	\$ 180,000		9000005217	\$ 96,800
	9000004992	\$ 95,000		9000005218	\$ 65,520
	9000005003	\$ 70,400		9000005227	\$ 126,360
InfoSys	9000004973	\$ 150,000		9000005228	\$ 41,184
	9000005207	\$ 101,304		9000005229	\$ 41,184
	9000005232	\$ 70,400		9000005230	\$ 67,392
Prutech	9000005067	\$ 131,856		9000005231	\$ 56,160
				9000005295	\$ 122,850
				9000005296	\$ 122,850
				9000005297	\$ 62,400
				9000005298	\$ 333,158
				9000005299	\$ 150,000
				SOFT	9000004949
				9000004950	\$ 102,352
				9000005194	\$ 105,000
				9000005195	\$ 95,000
			UCI	9000005094	\$ 70,400
				9000005202	\$ 112,882
				9000005204	\$ 94,550
				9000005205	\$ 28,642
				9000005206	\$ 94,550
				9000005300	\$ 95,680
				9000005304	\$ 122,208
	Sub Total	\$ 1,584,574		Sub Total	\$ 3,001,755
				Grand Total	\$ 4,586,329

MTA ALL AGENCY LEGAL FEES April 2016 - September 2016



**M/WBE Legal Fees Participation By Agencies
APRIL 2016 THROUGH SEPTEMBER 2016**



**MTA ALL AGENCY LEGAL FEES PAID
APRIL 2016 THROUGH SEPTEMBER 2016**

AGENCY	ALL FEES PAID	MBE FEES PAID	Agency MBE PARTICIPATION	WBE FEES PAID	Agency WBE PARTICIPATION
B &T	\$75,914.25	\$8,582.24	11.3%	\$15,956.65	21.0%
LIRR	\$811,346.22	\$45,430.66	5.6%	\$236,863.64	29.2%
MTABUS	\$1,837,170.75	\$103,156.51	5.6%	\$85,679.55	4.7%
MTACC	\$491,363.55	\$0.00	0.0%	\$7,110.00	1.4%
MTAHQ	\$5,586,550.32	\$205,880.51	3.7%	\$43,065.27	0.8%
MNR	\$1,168,554.88	\$64,015.24	5.5%	\$66,545.64	5.7%
NYCTA	\$4,454,516.04	\$73,137.08	1.6%	\$247,021.53	5.5%
TOTAL	\$14,425,416	\$500,202	3.5%	\$702,242	4.9%

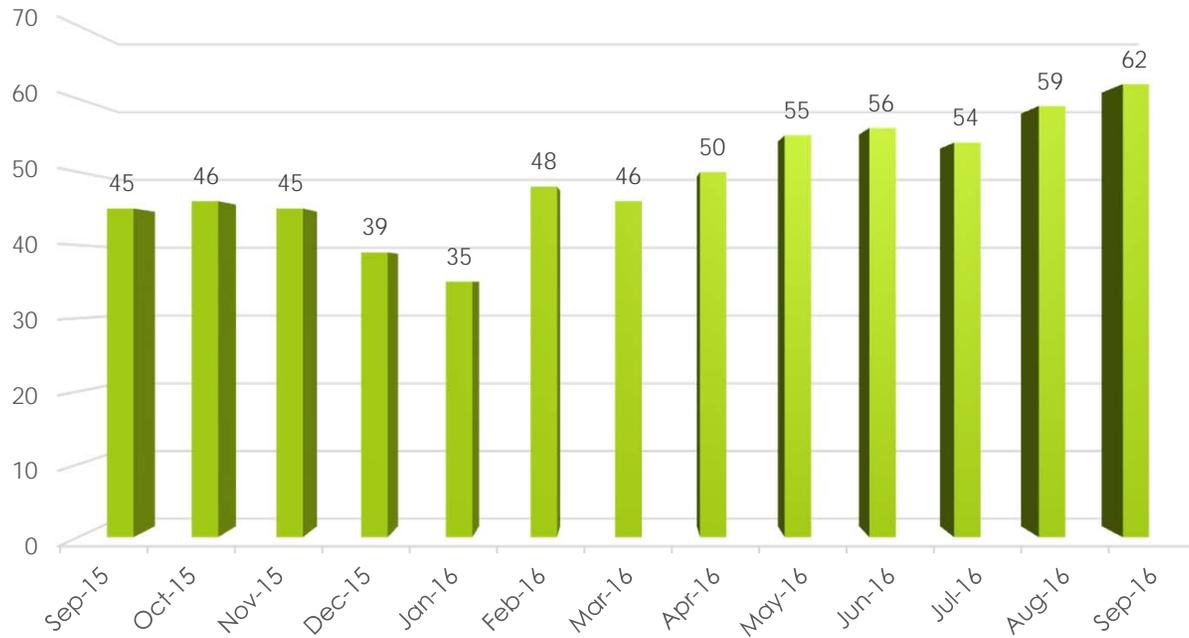
Metropolitan Transportation Authority
Department of Diversity and Civil Rights

Project Site Visits
September 1, 2015
To
September 30, 2016



MTA Headquarters DDCR Project Site Visits

September 1, 2015 to September 30, 2016
Total Site Visits Performed = 640



Metropolitan Transportation Authority
Department of Diversity and Civil Rights

Status of Inactive Contracts As of September 30, 2016



MTA Headquarters DDCR Update

Inactive Contracts – Status as of September 30, 2016

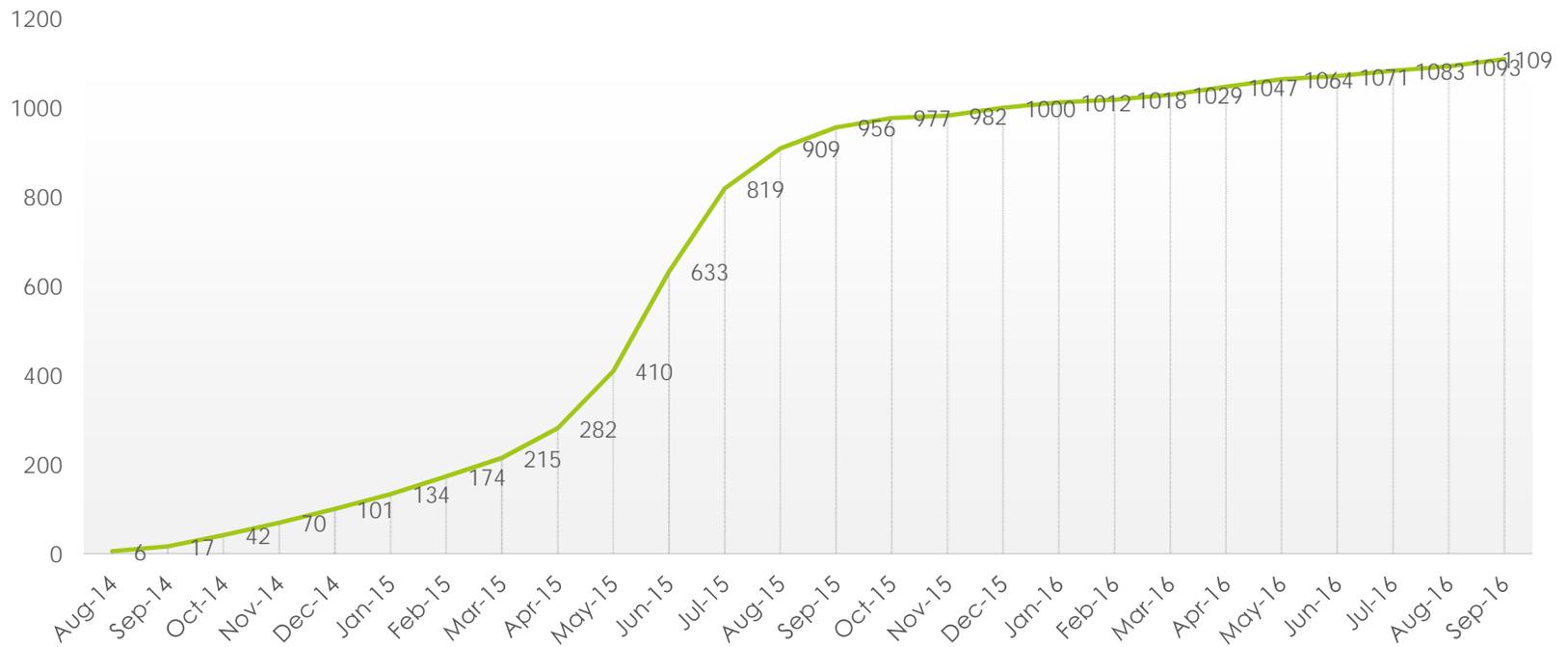
Inactive Contracts with Goals	#	
1. Total Contracts Reviewed and Closed	826	
2. Contracts Administratively Closed	283	(a)
Sub-Total	1109 (92%)	
3. Closeouts in Progress	57	
4. Contracts Pending Agency Action	39	
Total	1,205 (100%)	(b)

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



MTA Headquarters DDCR Update

DDCR Contract Closeout Progression August 2014 to September 30, 2016



MTA CAPITAL PROJECTS M/W/DBE AWARDS

December 12, 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)			THIRD QUARTER (JULY-SEPTEMBER) (in millions)			2016 TOTALS (JANUARY-SEPTEMBER 2016) (in millions)		
	Total Awards	Total DBE Awards	DBE Participation (%)	Total Awards	Total DBE Awards	DBE Participation (%)	Total Awards	Total DBE Awards	DBE Participation (%)	Total Awards	Total DBE Awards	DBE Participation (%)
DBE Participation Goal: 17%												
Construction	\$ 219	\$ 9	4%	\$ 636	\$ 127	20%	\$ 112	\$ 22	20%	\$ 967	\$ 158	16%
Professional Services	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%
Other												
TOTAL	\$ 219	\$ 9	4%	\$ 636	\$ 127	0%	\$ 112	\$ 22	20%	\$ 967	\$ 158	16%
Additional MWBE Participation:	Total Awards	Total MWBE Awards		Total Awards	Total MWBE Awards		Total Awards	Total MWBE Awards		Total Awards	Total MWBE Awards	
Construction	\$ 219	\$ 5		\$ 636	\$ 77		\$ 112	\$ 21		\$ 967	\$ 103	
Professional Services	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
Other	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
Total	\$ 219	\$ 5		\$ 636	\$ 77		\$ 112	\$ 21		\$ 967	\$ 103	

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

STATE FUNDED	FIRST QUARTER (JANUARY-MARCH) (in millions)			SECOND QUARTER (APRIL-JUNE) (in millions)			THIRD QUARTER (JULY- SEPTEMBER) (in millions)			2016 TOTALS (JANUARY-SEPTEMBER 2016) (in millions)		
	Total Awards	Total MBE Awards	MBE Participation (%)	Total Awards	Total MBE Awards	MBE Participation (%)	Total Awards	Total MBE Awards	MBE Participation (%)	Total Awards	Total MBE Awards	MBE Participation (%)
MBE Participation Goal: 15%												
Construction	\$ 46	\$ 7	15%	\$ 122	\$ 14	11%	\$ 120	\$ 19	16%	\$ 288	\$ 40	14%
Professional Services	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%
Other	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%
MBE Participation on FTA-funded projects							\$ -	\$ -				
TOTAL	\$ 46	\$ 7	15%	\$ 122	\$ 14	11%	\$ 120	\$ 19	16%	\$ 288	\$ 40	14%
WBE Participation Goal: 15%												
Construction	\$ 46	\$ 6	13%	\$ 122	\$ 16	13%	\$ 120	\$ 14	12%	\$ 288	\$ 36	12%
Professional Services	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%
Other	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%
WBE Participation on FTA-funded projects							\$ -	\$ -				
TOTAL	\$ 46	\$ 6	13%	\$ 122	\$ 16	13%	\$ 120	\$ 14	12%	\$ 288	\$ 36	12%
Additional DBE Participation:												
Construction	\$ 46	\$ 8		\$ 122	\$ 29		\$ 120	\$ 20		\$ 288	\$ 57	
Professional Services	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
Other	\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	
Additional DBE Participation Total	\$ 46	\$ 8		\$ 122	\$ 29		\$ 120	\$ 20		\$ 288	\$ 57	

MTA Small Business Development Program

Business Development Initiatives and MWDBE Results



Small Business Development Program

Mission Statement

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



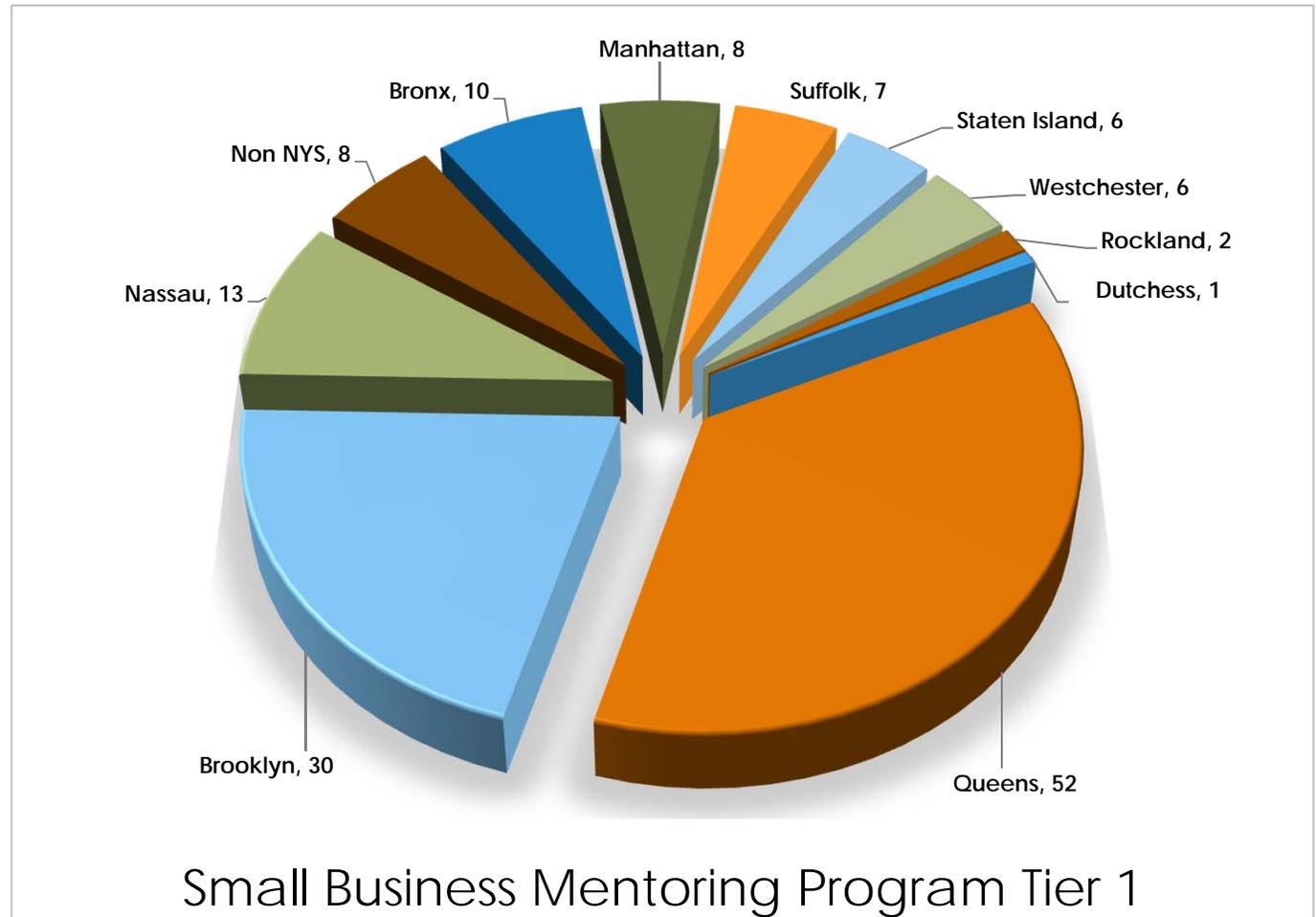
SBDP Outreach

143 PREQUALIFIED FIRMS (AS OF NOVEMBER 15, 2016)

Certification *	
MBE	83
WBE	17
DBE	23
Non-Certified	49

* firms may have multiple certifications

Counties	
Queens	52
Brooklyn	30
Nassau	13
Non NYS	8
Bronx	10
Manhattan	8
Suffolk	7
Staten Island	6
Westchester	6
Rockland	2
Dutchess	1

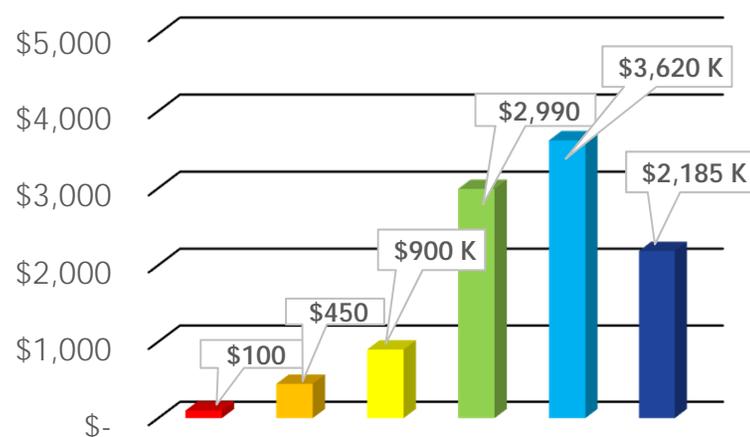
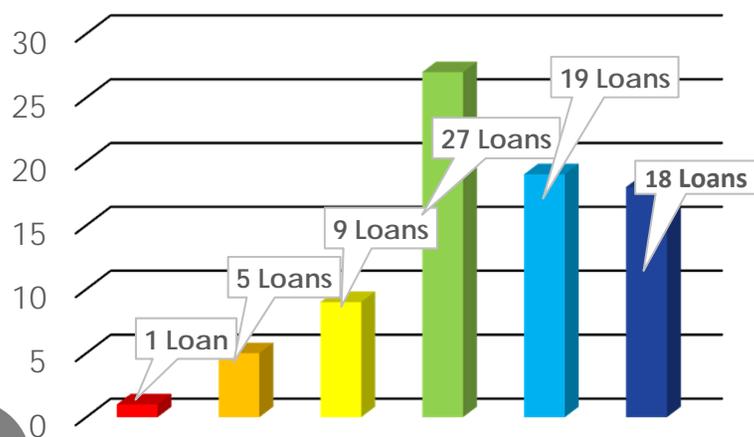


SBDP Loan Program

	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
	Total		79 Loans	Totals	\$10,245,000

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

Loan values shown are through November 15, 2016



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

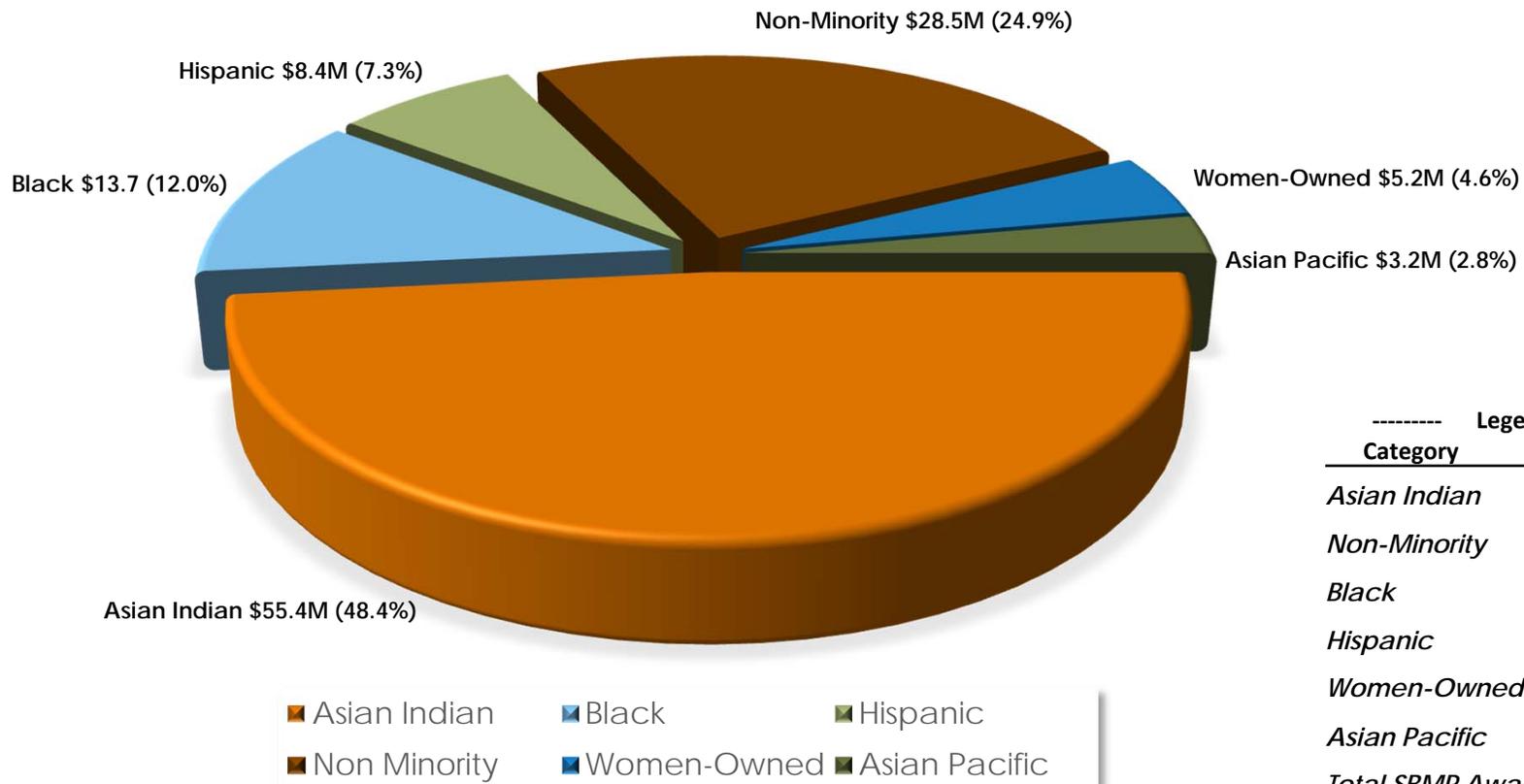
SBFP DBE Accomplishments

- **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
Total SBMP Awards	\$114.4M

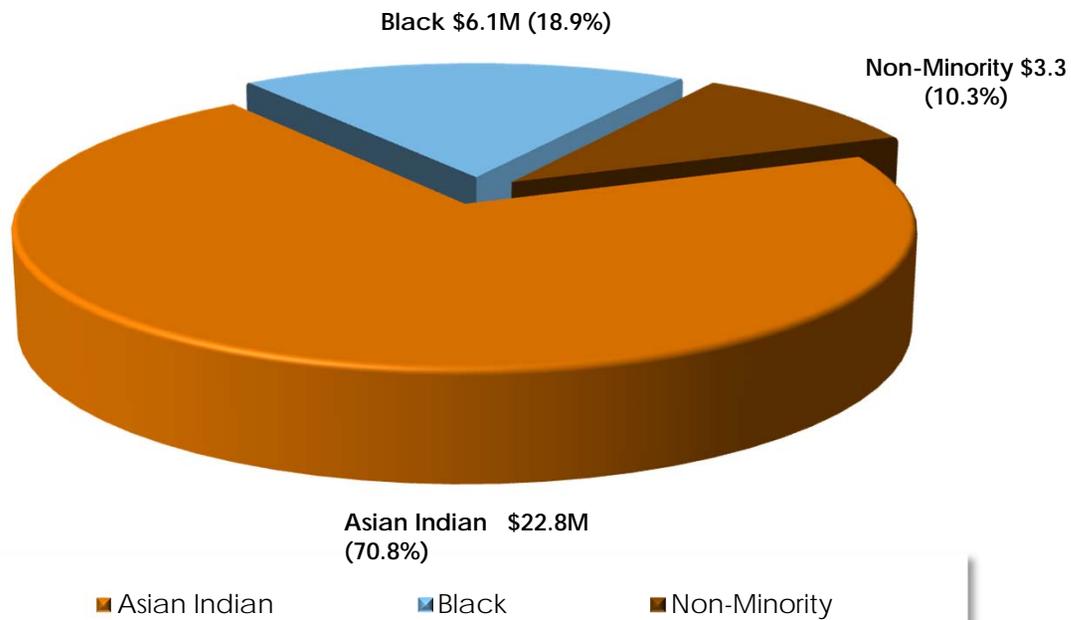
* All ethnic owned WBEs are categorized within their respective ethnic group.

Contract Awards through November 15, 2016



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
Total TIER 2 Awards	\$32.2M

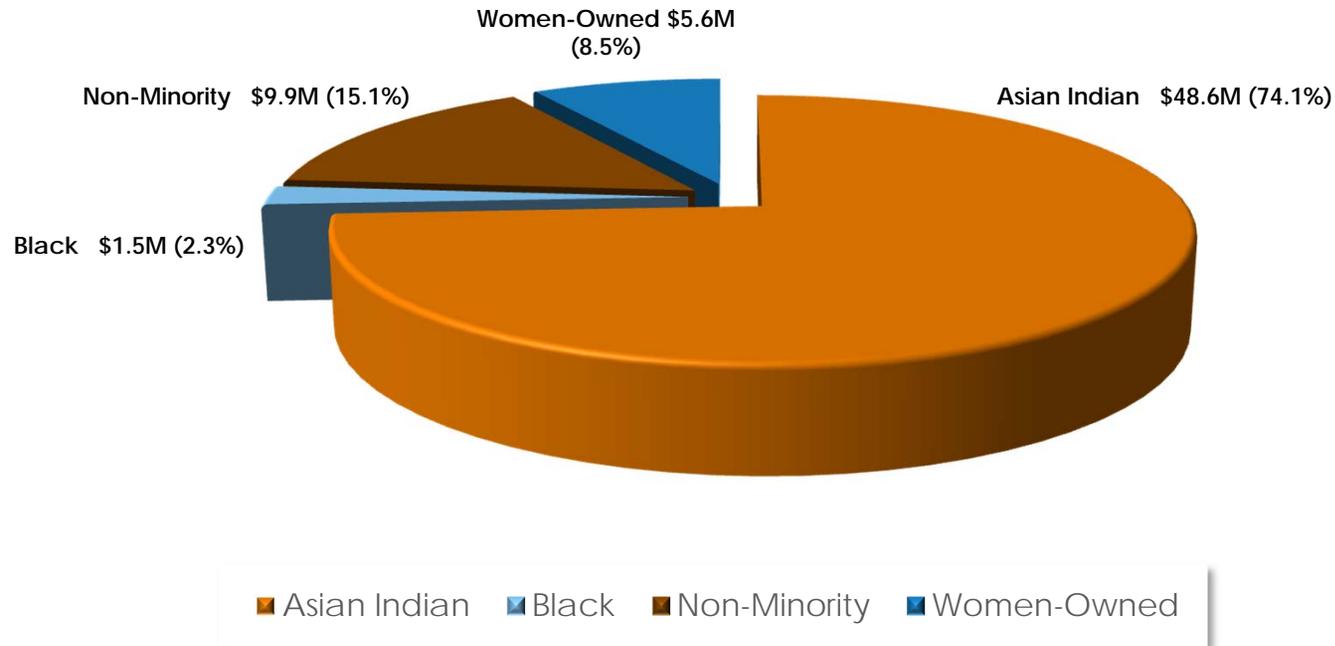
** All ethnic owned WBEs are categorized within their respective ethnic group.*

Contract Awards through November 15, 2016



SBDP Contract Awards

Contract Awards in SBFP by Ethnic/Gender Category



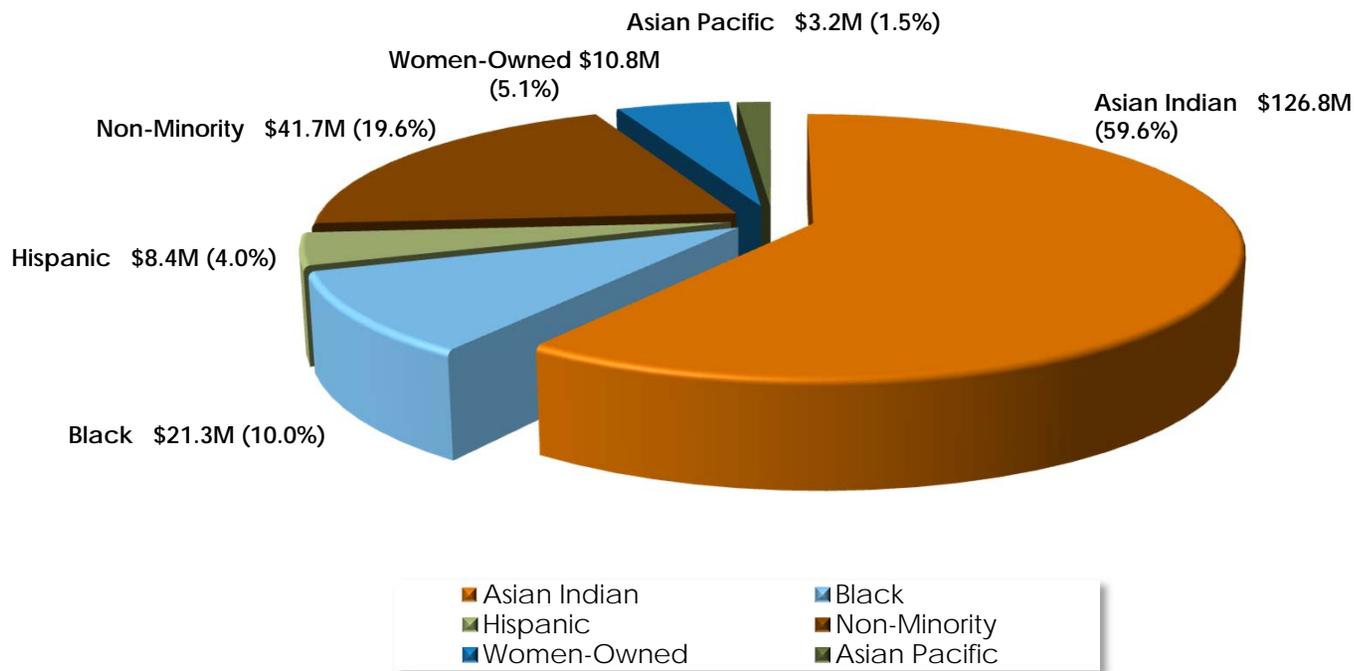
Category	Awards
Asian Indian	\$48.6M
Non-Minority	\$ 9.9M
Women-Owned *	\$ 5.6M
Black	\$ 1.5M
Hispanic	\$ -0-M
Asian Pacific	\$ -0-M
Total SBFP Awards	\$65.6M

* 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
Total SBDP Awards	\$212.2M

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



Contract Awards through November 15, 2016

SBDP Jobs Created

- PY' 10 – PY' 16 SBMP-Tier 1 Awards total \$114.4 Million
- PY' 15 – PY' 16 SBMP-Tier 2 Awards total \$32.2 Million
- PY' 13 – PY' 16 SBFP Awards total \$65.6 Million

5,093* 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>)



SMALL BUSINESS DEVELOPMENT PROGRAM

Prequalified Emerging Contractors

<input type="checkbox"/> Prequalified	27 firms	<input type="checkbox"/> 9 Black
		<input type="checkbox"/> 6 Asian Indian
		<input type="checkbox"/> 5 Hispanic
		<input type="checkbox"/> 7 Other
		<input type="checkbox"/> 0 Asian Pacific

<input type="checkbox"/> Pending	5 firms	<input type="checkbox"/> 2 Black
		<input type="checkbox"/> 0 Hispanic
		<input type="checkbox"/> 0 Asian Indian
		<input type="checkbox"/> 3 Other
		<input type="checkbox"/> 0 Asian Pacific



WHAT'S NEW AT THE SBDP?

Fall Semester of Training Completed

- 48 firms participated
- 56% are prequalified or have submitted applications

The contractor pool continues to grow

- 27 Emerging Contractors, 5 pending application review
- 143 Tier 1, 47 Tier 2 and 38 in FP with 45 pending applications
- Ongoing outreach efforts continue to generate interest and excitement

Scope B Kick Off

- Evaluating existing program elements
- Planning for new program elements
- Identifying and hiring staff



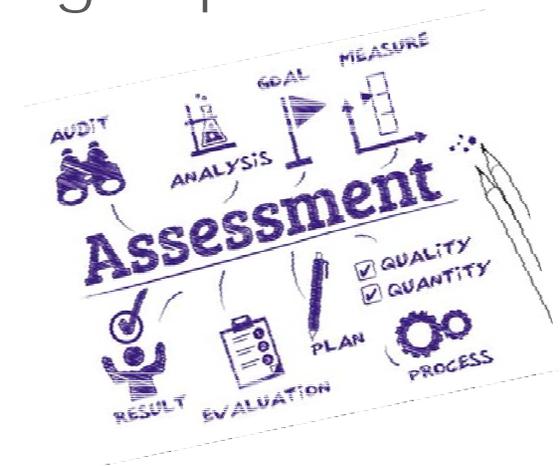
TRAINING CLASSES FOR SPRING 2017

- Scheduled to begin in March
- Interest is building with recent applicants
- New for 2017
 - ❑ Branded and refreshed presentation material
 - ❑ Interactive and small group activities
 - ❑ MTA-based case study and reference documents



ASSESSMENTS AND ACTION PLANS ARE COMING

- Purpose of the Assessment and Planning Process
 - ❑ Establish current situation and creation of a road map to growth
- Emerging Contractors are the initial group
 - ❑ December 2016 kick off
- 2 parts to the Assessment
 - ❑ Electronic surveys
 - ❑ In-person meetings
- Action Plans
 - ❑ SMART Plans – specific, measurable, agreed upon, realistic, time bound



MATCHING RESOURCES TO ACTION ITEMS

- Back Office Support
- Accounting, Finance Training & Financial Assistance
- Construction Law Guidance
- Business Planning
- Branding
- Marketing
- Technology
- One-on-one and small group



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

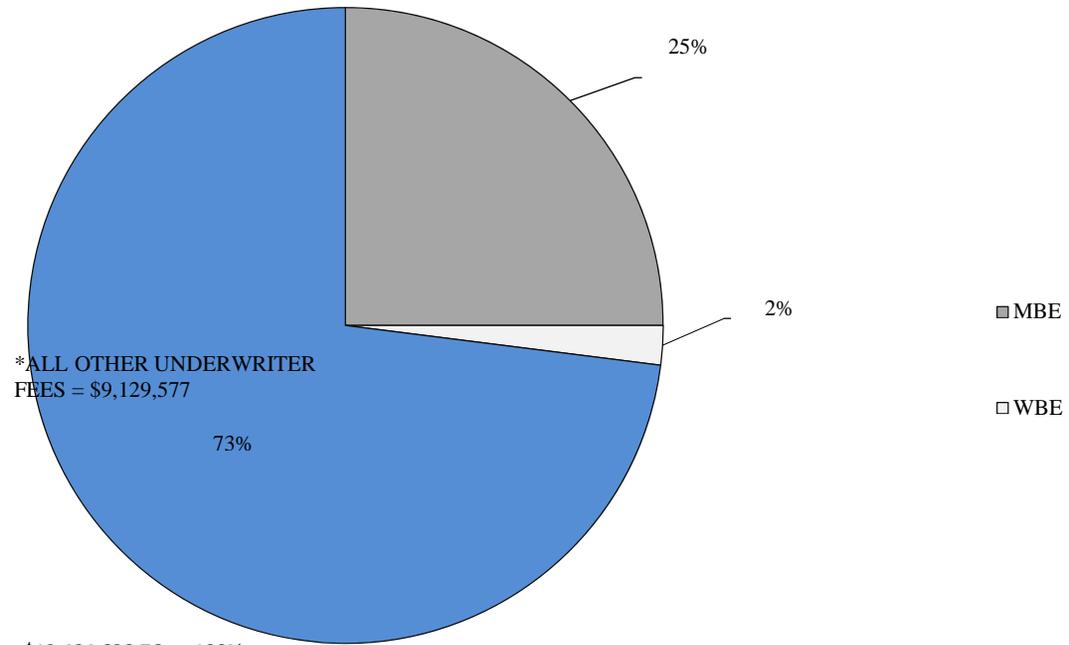


FINANCIAL SERVICES

December 12, 2016



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



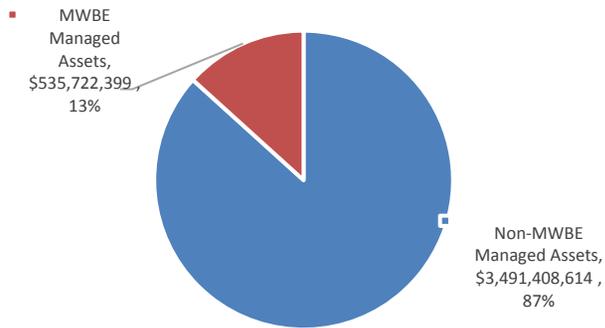
Total Underwriter Fees = \$12,484,628.76 or 100%
Actual MBE Participation = \$3,067,967.71 or 25%
Actual WBE Participation = \$287,084.45 or 2%

*** This Quarter \$639,497 (5.12%) was paid to SDVOR Firms**

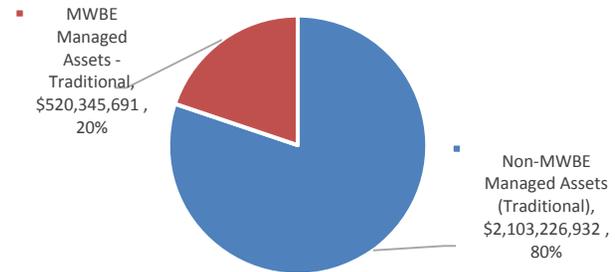
MTA Sponsored Plans – MWBE Participation

As of September 30, 2016

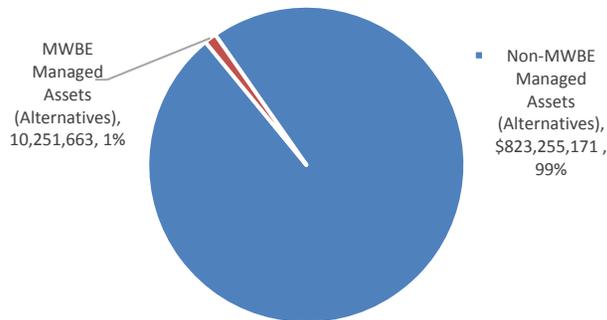
MTA Defined Benefit - Total Assets



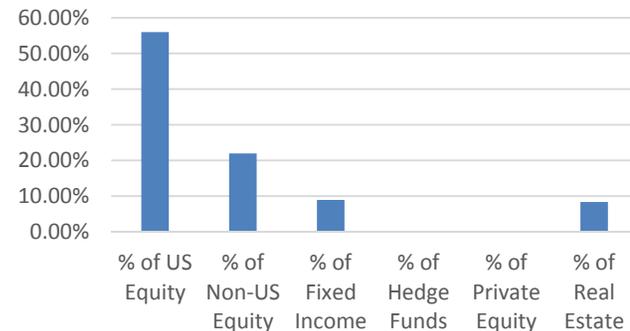
MTA Defined Benefit - Traditional Investments



MaBSTOA - Alternative Investments



MWBE Managed Assets by Asset Class



Traditional Equities- Changes to allocations and manager exposure in asset class led to an increase in 2015 in MWBE managed assets. One new MWBE manager added and one firm gained MWBE status in 2016.

Fixed Traditional 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 of firms. Unable to reach terms with a certified MWBE private equity firm. New investment made in fund managed entirely by a diverse staff (although the firm is not certified as an M/WBE). Expectations for more funds in market in 2017 and 2018.

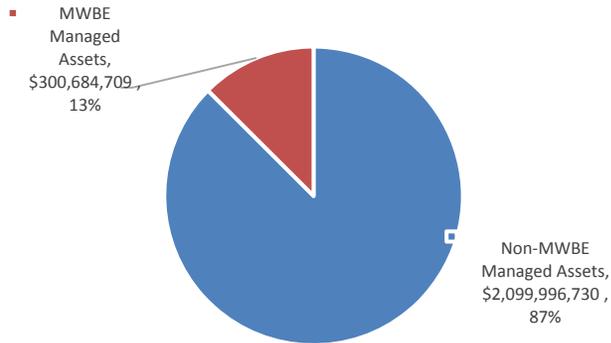
Real Estate - Currently staging into MWBE managed real estate investment, representing 1% of plan assets and 20% of real estate allocation. Investment should be funded by middle of 4Q16



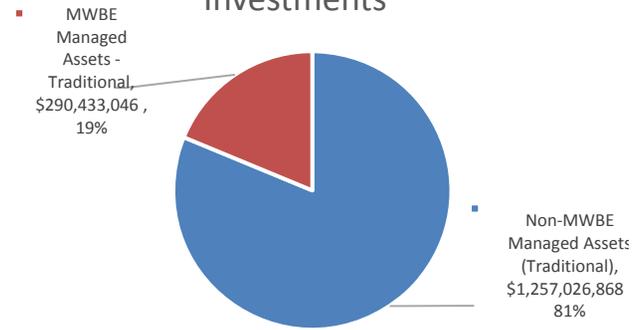
MTA Sponsored Plans – MWBE Participation

As of September 30, 2016

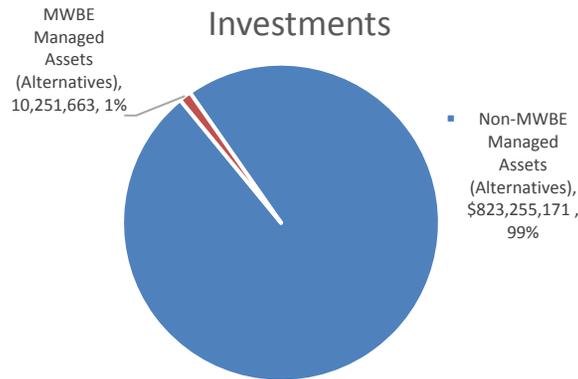
MaBSTOA - Total Assets



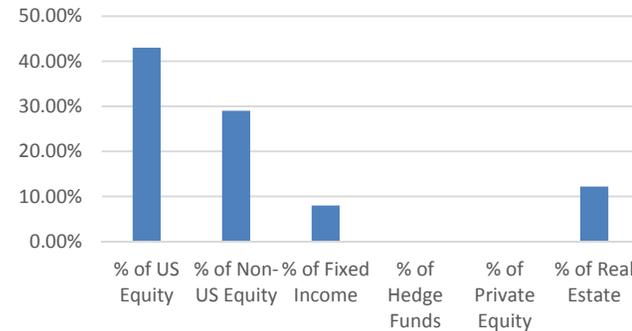
MaBSTOA - Traditional Investments



MaBSTOA - Alternative Investments



MWBE Managed Assets by Asset Class



Traditional Equities- Changes to allocations and manager exposure in asset class led to an increase in 2015 in MWBE managed assets. One new MWBE manager added and one firm gained MWBE status in 2016.

Fixed Traditional 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 of firms. Unable to reach terms with a certified MWBE private equity firm. New investment made in fund managed entirely by a diverse staff (although the firm is not certified as an M/WBE). Expectations for more funds in market in 2017 and 2018.

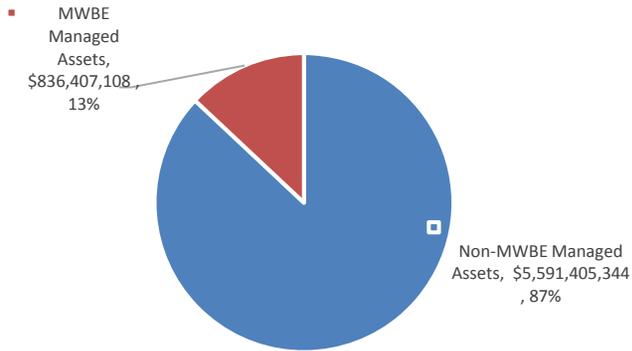
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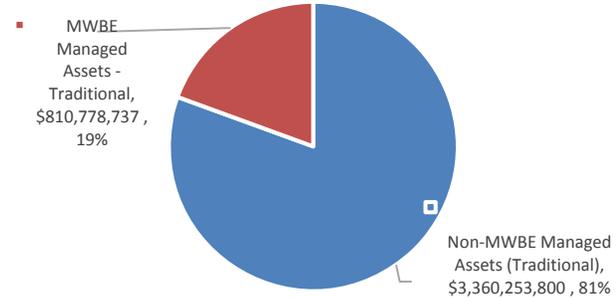
MTA Sponsored Plans – MWBE Participation

As of September 30, 2016

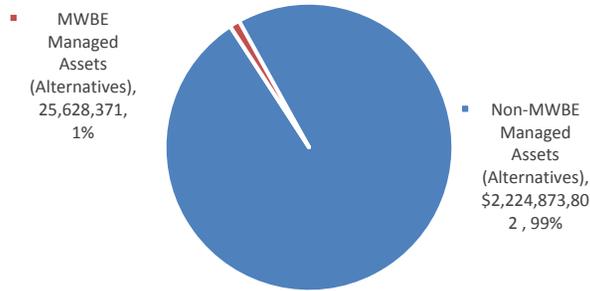
Combined Plans - Total Assets



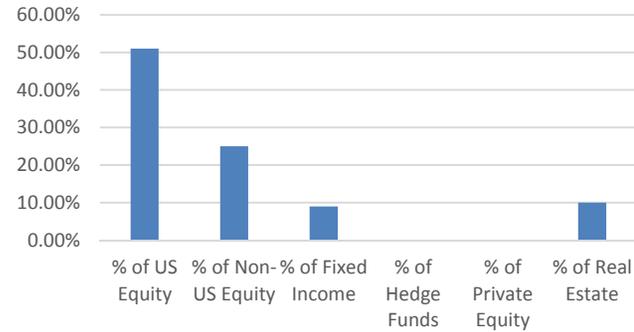
Combined Plans - Traditional Investments



Combined Plans- Alternative Investments



MWBE Managed Assets by Asset Class



Traditional Equities- Changes to allocations and manager exposure in asset class led to an increase in 2015 in MWBE managed assets. One new MWBE manager added and one firm gained MWBE status in 2016.

Fixed Traditional 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 of firms. Unable to reach terms with a certified MWBE private equity firm. New investment made in fund managed entirely by a diverse staff (although the firm is not certified as an M/WBE). 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



The Metropolitan Transportation Authority

DIVERSITY COMMITTEE

This Diversity Committee Charter was adopted by the Board Chair and a majority of the members of Board of the Metropolitan Transportation Authority, a public benefit corporation established under the laws of the State of New York (together with any other entity or corporation for which the members of the Metropolitan Transportation Authority serve as a board of directors, the “MTA”), on the 17th day of December, 2008. This charter was amended on December 16, 2009 and further amended on November 16, 2011.

I. PURPOSE

The Diversity Committee (the “Committee”) shall assist the Board Chair and the Board by reviewing, providing guidance, and making recommendations with respect to the diversity programs and initiatives undertaken by MTA and its subsidiary and affiliate agencies.

II. COMMITTEE AUTHORITY

In discharging its role, the Committee is empowered to investigate any matter brought to its attention. To facilitate any such investigation, the chairperson of the Committee shall have access to all books, records, facilities and staff of the MTA (including any of its subsidiary corporations or affiliates). The foregoing is not intended to alter or curtail existing rights of individual Board members to access books, records or staff in connection with the performance of their fiduciary duties as Board members.

III. COMMITTEE MEMBERSHIP

The Committee shall consist of 3 or more members of the Board, appointed by the Board Chair. If not otherwise a member of the Committee, each Vice-Chair of the Board shall be an *ex officio* member of the Committee. The Board Chair shall appoint the chairperson of the Committee. In the absence of the chairperson at a meeting of the Committee, the Board Chair shall appoint a temporary chairperson to chair such meeting. A member of the Committee may be removed, for cause or without cause, by the Board Chair.

IV. COMMITTEE MEETINGS

The Committee shall meet on a regularly-scheduled basis at least four (4) times per year, and more frequently as circumstances dictate. The Committee shall cause to be kept adequate minutes of all its proceedings and records of any action taken. Committee members will be furnished with copies of the minutes of each meeting. Meetings of the Committee shall be open to the public, and the Committee shall be governed by the rules regarding public meetings set forth in the applicable provisions of the Public Authorities Law and Article 7 of the Public Officers Law that relate to public notice, public speaking and the conduct of executive session. The Committee may form and assign responsibilities to subcommittees when appropriate.

The Committee may request that any member of the Board, the Auditor General, any officer or staff of the MTA, or any other person whose advice and counsel are sought by the Committee, attend any meeting of the Committee to provide such pertinent information as the Committee requests. The Chief Diversity Officer shall (1) furnish the Committee with all material information pertinent to matters appearing on the Committee agenda, (2) provide the chairperson of the Committee with all information that is material to the Committee's monitoring and oversight of diversity programs and initiatives undertaken by MTA and its subsidiary and affiliate agencies, and (3) inform the chairperson of the Committee of any matters not already on the Committee agenda that should be added to the agenda in order for the Committee to be adequately monitoring and overseeing diversity programs and initiatives undertaken by MTA and its subsidiary and affiliate agencies

V. COMMITTEE REPORTS.

The chairperson of the Committee shall report on the Committee's proceedings, and any recommendations made.

VI. KEY RESPONSIBILITIES

The following responsibilities are set forth as a guide with the understanding that the Committee may diverge as appropriate given the circumstances. The Committee is authorized to carry out these and such other responsibilities assigned by the Board Chair or the Board, from time to time, and take any actions reasonably related to the mandate of this Charter.

To fulfill its purpose, the Committee shall:

1. Consult with the MTA Department of Diversity/Civil Rights and diversity representatives from the MTA's affiliate and subsidiary agencies with respect to the setting of priorities for the MTA's diversity and outreach agenda;
2. Receive regular reports from the MTA Department of Diversity/Civil Rights and diversity representatives from the MTA's affiliate and subsidiary agencies regarding upcoming diversity and outreach events;
3. Receive regular reports from the MTA Department of Diversity/Civil Rights regarding the certification of disadvantaged, minority- and women-owned businesses and the setting of goals for disadvantaged, minority- and women-owned business participation on agency contracts;
4. Receive regular reports from the MTA Department of Diversity/Civil Rights and from staff of MTA affiliate and subsidiary agencies regarding the status of Equal Employment Opportunity ("EEO") programs, including, as applicable, EEO investigations, EEO compliance and reporting, and Title VI program compliance and reporting;

5. Receive regular reports from MTA Department of Diversity/Civil Rights regarding contractor compliance with goals for such participation and, if applicable, action plans to achieve compliance;
6. Set the annual agenda for the Committee;
7. Review and assess the adequacy of this Charter annually;
8. Conduct an annual self-evaluation of the performance of the Committee, including its effectiveness and compliance with this Charter; and
9. Report regularly to the Board Chair and Board on Committee findings and recommendations and any other matters the Committee deems appropriate or that the Board Chair or the Board requests, and maintain minutes or other records of Committee meetings and activities.