



Metropolitan Transportation Authority

Diversity Committee Meeting

February 2017

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**

**Tuesday, 2/21/2017
2:15 - 3:15 PM ET**

1. PUBLIC COMMENT PERIOD

2. APPROVAL OF MINUTES – DECEMBER 12, 2016

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3. 2017 DIVERSITY COMMITTEE WORK PLAN

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4. EXECUTIVE SUMMARY

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6. BUSINESS AND DIVERSITY INITIATIVES

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7. CERTIFICATION ACTIVITY REPORT

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8. FOURTH QUARTER 2016 EEO ACTIVITIES

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9. AGENCY STRATEGIES TO ADDRESS UTILIZATION

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MTA Police Chief Presentation MTAPD - Page 47

President Presentation B&T - Page 51

President Presentation MTACC - Page 55

President Presentation MNR - Page 59

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10. M/W/DBE CONTRACT COMPLIANCE FOURTH QUARTER 2016 REPORT

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11. M/W/DBE CAPITAL PROJECTS

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12. SMALL BUSINESS DEVELOPMENT PROGRAM UPDATE

SMALL BUSINESS DEVELOPMENT PROGRAM UPDATE - Page 105

13. FINANCIAL SERVICES

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14. ASSET FUND MANAGERS

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15. MTA EEO POLICIES

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Policy No. 12-002 - Sexual and Other Discriminatory Harassment - Page 128

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MTA DIVERSITY COMMITTEE

Meeting Minutes

2 Broadway, 20th Floor

New York, NY 10004

Monday, December 12, 2016

2:15 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 Horodniceanu, President, MTA Capital Construction (“CCC”)

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

Michael Garner, Chief Diversity Officer, MTA

Paige Graves, General Counsel, MTA Bus

Naomi Renek, Chief of Staff, NYC Transit

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

Ron McCune, Assistant Director, Certification, DDCR

Leon Goodman, Assistant Director, EEO, Title VI and MWDBE Outreach, DDCR

Stuart Reimbeau, Assistant Director, MWDBE Operations and Reporting, DDCR

Doreen Taveras, Assistant Director, MWDBE Compliance, DDCR

David Sang, Manager, EEO, DDCR

Michael Riegel, Consultant, DDCR

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

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

Michael Fyffe, Director, Diversity Management, LIRR

Shawn Moore, Chief EEO Officer, B&T

MTA Diversity Committee Meeting Minutes, Monday December 12, 2016

Robert Rodriguez, Director, Diversity and Equal Opportunity, MTA Metro-North Railroad (“MNR”)
Katherine Betries-Kendall, Vice President, Human Resources, MNR
Natalie Mason-Kinsey, Chief Officer, EEO, MTA Bus
Regina Sanders, Associate Staff Analyst, NYC Transit
Coleen Cohen, Manager Human Resources, CCC
Margaret Willens, Audit Manager, MTA Office of Inspector General
Christopher Bennett, Procurement Manager, M/WBE Compliance, B&T
Ouida Gaillard, HR Business Partner, Human Resources, MNR
Christine Norman, Manager, MWDBE Procurement Compliance, MNR
Shree Page, DBE Compliance Specialist, MNR

Public Comment Period:

There were no public speakers.

Approval of Minutes- September 26, 2016

Upon a motion duly made and seconded, the Committee approved the minutes of the meeting held on September 26, 2016.

Diversity Committee Work Plan

Chairman Molloy asked if there were any changes to the Work Plan. Mr. Din said there were no changes to the 2016 Work Plan and explained that the the 2017 Diversity Committee Work Plan included in this month’s agenda coincides with the Corporate Governance Committee meeting. Chairman Molloy agreed to this change.

Executive Summary

Mr. Garner noted that the format for this meeting is different. He said the Committee book now includes an executive summary of DDCR activities. He said this will make the presentation smoother and more focused. Chairman Molloy asked if the backup material is included in the Committee book. Mr. Garner said yes, detailed information is provided in the Committee book.

Business and Diversity Initiatives

Mr. Din provided an update on various events that DDCR has organized, and attended in order to reach out to MWBEs and other small businesses.

Certification Activity Report

Mr. Din reported on the DBE certification activity for the third quarter of 2016. He said for the reporting period, 25 applications for DBE certifications were received and 29 applications were processed.

MTA-Wide New Hires

Mr. Din reported that from January through September of 2016, MTA's overall workforce comprised of 71,158 employees, of which 18% are female, and 67% are minorities. He said veterans make up 3% of the workforce. Mr. Din also reported on new hires: 4,376 employees were hired, of which 24% are female, 57% are minorities and 3% are veterans. Mr. Zuckerman asked how DDCR calculated the percentage of veterans. Ms. Brown said calculation is based on the number of veterans in the agency's workforce divided by the total number of veterans employed MTA-wide.

EEO and TITLE VI Complaints

Mr. Din reported that MTA and its agencies handled 476 EEO complaints between January and September of 2016, of which 292 were internal and 184 were external complaints. He said MTA and its agencies also handled 239 Title VI complaints. He added that complaint disposition information is included in the Committee book.

M/W/DBE Contract Compliance Third Quarter 2016 Report

Mr. Din reported on federal and state funded contract award and payment activities. He said MTA met its 17% DBE goal during 2016 Federal Fiscal Year. He reported that a total of \$1.4 billion was awarded in federally funded portion of contracts. Additionally, he said a total of \$1.8 billion was paid in prime contractors in federally funded contracts, with 15% DBE participation.

Mr. Din said MTA has an overall 30% MWBE goal. He reported that from January to September of 2016, approximately \$816 million was awarded in state funded contracts, with MWBE participation of \$134 million (16%). Mr. Din said in addition approximately \$792 million was paid to prime contractors with the MWBE participation of \$175 million (22%).

Regarding discretionary procurements, Mr. Din said out of a total of \$39 million with a value of \$200,000 or less, \$2.6 million (7%) was awarded to MWBEs, and \$297,000 (1%) was awarded to other Small Business Concerns. Mr. Din also reported that out of a total of \$14.4 million paid in outside legal counsel fees, MWBE law firms received \$1.2 million (9%).

Mr. Din said DDCR has made tremendous progress in increasing the number of site visits. He reported that 640 site visits were conducted between September 2015 and September 2016. He said on an average, managers conduct at least eight site visits per month. Mr. Din also reported that as of September 2016, DDCR closed over 1,000 contracts, with an additional 57 contracts in the process of being closed and 39 contracts pending agency action.

M/W/DBE Capital Projects

Mr. Din reported on MWDBE Capital Projects. He said from January 2016 through September 2016, \$967 million was awarded in federally funded capital projects with \$158 million (16%) DBE participation. He said for state funded capital projects, \$288 million was awarded with \$40 million (14%) MBE participation, and \$36 million (12%) WBE participation, for 26% total MWBE participation.

SBDP Update

Mr. Garner provided an update on MTA SBDP. He said 143 firms are currently prequalified in Tier 1 of the Small Business Mentoring Program (“SBMP”), and 47 firms are prequalified in Tier 2. In addition, he said 39 firms were prequalified for the Small Business Federal Program (“SBFP”). Mr. Garner added that MTA achieved 45% DBE participation in SBFP.

Mr. Garner added that since the inception of the program, MTA awarded a total of \$212.2 million. He said there over 5,000 jobs have been created within the Small Business and MWDBE community. Mr. Garner said a diverse class of 27 firms are enrolled in the Emerging Contractors Program. Mr. Garner explained the Emerging Contractors Program was created to assist firms who do not meet the prequalification requirement of the SBFP. The firms in this program are given a year to fully develop, and upon successful completion, graduate into Tier 1 of SBMP. Mr. Garner said MTA’s SBDP is viewed as a national model. He said for Scope B of the Program, the business development services contract is in place. He said the goal of Scope B is for graduating firms to win contracts and create jobs.

Mr. Garner thanked DDCR staff, and MTA agency Presidents and staff for making SBDP a success. He also thanked Barry Krueger, MTA Inspector General for help in providing funding to start up SBDP.

Financial Services

Mr. Garner reported that for the first half of the state fiscal year 2016-2017, \$12.5 million was awarded in underwriter fees, with 27% MWBE participation. He thanked Robert Foran, Chief Financial Officer, Patrick McCoy, Director of Finance, and Patrick Isom, Manager, Financial Analysis for their efforts in awarding underwriter fees in an inclusive manner.

Asset Fund Managers

Mr. Crawford reported that the value of total assets managed by MWBEs is \$836.4 million (13%) across the sponsored pension plans. He said a majority of the assets are in traditional asset classes, and 20% of these assets are managed by MWBEs. Mr. Crawford said MTA achieved its first MWBE participation in non-traditional assets in the third quarter. He said this represents 20% of real estate allocation, and 2% of total assets.

Mr. Crawford noted that MTA is aggressively reaching out to women- and minority-owned firms to increase their participation, especially within non-traditional assets.

Ms. Metzger stated that she likes the new presentation format because it allows the Committee to focus on data that it is most concerning with. She said after a year there can be a dashboard of key data to be tracked on a graph in order to gauge progress.

Ms. Metzger added that she is happy to see the SBDP has been successful. She thanked the staff for their hard work. Chairman Molloy also approved of the new format. He said it will help the Committee monitor progress. Mr. Garner also thanked the staff.

Charter Review

Mr. Din said no changes are recommended to the Diversity Committee Charter.

Adjournment

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

Respectfully submitted,

Faith Beauzile, Administrative Assistant

Department of Diversity and Civil Rights

2017 Diversity Committee Work Plan

| I. RECURRING AGENDA ITEMS | <u>Responsibility</u> |
|--|---|
| 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 | <u>Responsibility</u> |
| | |
| <u>February 2017</u> | |
| Recommitment to EEO Policy | Dept. of Diversity/Civil Rights |
| 2017 Departmental Goals | |
| 2016 Year-End Report | |
| Recruitment Strategies for MTAHQ and MTA Agencies | Dept. of Diversity/Civil Rights, MTAHQ and Agency Staff |
| | |
| <u>May 2017</u> | |
| 1st Quarter 2017 Report | Dept. of Diversity/Civil Rights |
| Review and Approval of Title VI Program | Committee Chair & Members |
| | |
| <u>September 2017</u> | |
| 2nd Quarter 2017 Report | Dept. of Diversity/Civil Rights |
| Recruitment Strategies for MTAHQ and MTA Agencies | Dept. of Diversity/Civil Rights, MTAHQ and Agency Staff |
| Diversity Committee Charter Review | Committee Chair & Members |
| | |
| <u>December 2017</u> | |
| 3 rd Quarter 2017 Report | Dept. of Diversity/Civil Rights |
| Status Report on MTA Inter-Agency M/W/DBE Task Force | |
| 2018 Diversity Committee Work Plan | Dept. of Diversity & Civil Rights |

Detailed Summary

I. RECURRING

Approval of Minutes

Approval of the official proceedings of the previous month's Committee meeting.

Diversity Committee Work Plan

An update of any edits and/or changes in the work plan.

MTA Agency-wide Business and Diversity Initiatives Program Activities

The MTA Department of Diversity and Civil Rights update of planned Agency-wide Business and Diversity Initiatives Programs activities.

MTA Agency-wide EEO Program Activities

The MTA Department of Diversity and Civil Rights update of agency-wide workforce analysis, new hires and EEO and Title VI complaints.

MTA DBE Certification Program Activities

MTA Department of Diversity and Civil Rights update of DBE Certification Program activities.

M/W/DBE Contract Compliance Activities

MTA Department of Diversity and Civil Rights update of M/W/DBE contract activities and program initiatives.

Action Items

Staff summary documents presented to the Board for approval of items affecting business standards and practices.

II. SPECIFIC AGENDA ITEMS

February 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.

Review and Approval of Title VI Program

The Diversity Committee will review for approval MTA's Title VI Program.

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.

Diversity Committee Charter Review

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

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.

2018 Diversity Committee Work Plan

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

DEPARTMENT OF DIVERSITY AND CIVIL RIGHTS

2017 DEPARTMENTAL GOALS UPDATE

| GOALS | STATUS |
|---|---|
| Small Business Development Program Training. | Ongoing. Training will resume in March 2017. |
| The MTA Mentor/Graduate Mentor Programs to award \$66 million by July 2017. | From Program inception in November 2010 through December 2016, MTA has awarded approximately \$162 million in contract awards. Of this amount, approximately \$120 million (74%) was awarded to MWBEs. |
| MTA Small Business Federal Program for federally funded contracts to award \$29 million by July 2017. | From Program inception in March 2013 through December 2016, \$67.2 million has been awarded. Of this amount, \$30 million (45%) was awarded to DBEs. |
| Work with Empire State Development to formulate a procurement strategy for increased awards to M/WBEs. | Ongoing. |
| Minority Supplier Development Program for subway car and bus manufacturers. | Ongoing. |
| Achieve MTA's 30% M/WBE goal and 17% DBE goal. | For the period April through December 2016, MTA achieved 17% MWBE participation in its state funded projects. For the period October to December 2016, MTA achieved 17% DBE participation. The MWBE and DBE participations represent only a portion of the state and federal fiscal years, respectively. |
| Implement a mentoring program within Paratransit. | Currently in planning stages. |
| MWDBE Outreach events in the suburban counties within the MTA service region. | In planning stages. |

Metropolitan Transportation Authority Department of Diversity and Civil Rights

Executive Summary

February 21, 2017



- **Business and Diversity Initiatives** (full report on page 26)
 - DDCR continues to attend various events to reach out to minority and women-owned businesses.

- **Certification Activity Report** (full report on page 29)
 - A total of **120** applications for DBE certification were **received**. The number of new applications is higher than the number of new applications during the same period in previous two years.
 - A total of **134** applications for DBE certification were **processed**. The number of applications processed is higher than the number processed during the same period in the previous two years.
 - A total of **526** firms have been certified for the period 2009-20016. Of this total, **113** firms have received federally-funded prime/subcontractors.
 - The value of contracts awarded to these firms is **\$801.6 million**.



■ Fourth Quarter 2016 EEO Activities (full report on page 32)

- MTA's overall workforce is currently comprised of **72,290** employees; of which **12,746 (18%)** are Females,* **48,841 (68%)** are Minorities and **1,519 (2%)** are Veterans.*
- MTA hired **6,278** employees; of which **1,505 (24%)** were Females, **4,769 (76%)** were Minorities and **214 (3%)** were Veterans.
- MTA and its Agencies handled a total of **549** EEO complaints; of which **353** were internal and **196** were external.
- MTA and its Agencies handled a total of **303** 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 **December 30, 2016** of each agency's numbers of employees, percentage of Race/Ethnicity, Gender and Veterans.

| Agency | Total Employees | FEMALES* | | Non-Minorities | | Minorities | | BLACKS | | HISPANICS | | ASIANS | | AI/AN | | NHOPI | | OTHER | | VETERANS | |
|--------------|-----------------|---------------|------------|----------------|------------|---------------|------------|---------------|------------|---------------|------------|--------------|------------|------------|-----------|-----------|-----------|--------------|-----------|--------------|-----------|
| | | # | % | # | % | # | % | # | # | # | % | # | % | # | % | # | % | # | % | # | % |
| B&T | 1,451 | 322 | 22% | 664 | 46% | 787 | 54% | 370 | 25% | 258 | 18% | 102 | 7% | 4 | 0% | 1 | 0% | 52 | 4% | 94 | 6% |
| BUS | 4,020 | 505 | 13% | 992 | 25% | 3028 | 75% | 1,798 | 45% | 753 | 19% | 310 | 8% | 9 | 0% | 15 | 0% | 143 | 4% | 33 | 1% |
| CCC | 139 | 48 | 35% | 66 | 47% | 73 | 53% | 22 | 16% | 12 | 9% | 36 | 26% | 1 | 1% | 0 | 0% | 2 | 1% | 2 | 1% |
| HQ | 2,561 | 845 | 33% | 1173 | 46% | 1388 | 54% | 579 | 23% | 313 | 12% | 393 | 15% | 7 | 0% | 2 | 0% | 94 | 4% | 47 | 2% |
| LIRR | 7,163 | 1,092 | 15% | 4621 | 65% | 2542 | 35% | 1,251 | 17% | 796 | 11% | 282 | 4% | 21 | 0% | 3 | 0% | 189 | 3% | 500 | 7% |
| MNR | 6,599 | 864 | 13% | 4120 | 62% | 2479 | 38% | 1,365 | 21% | 696 | 11% | 204 | 3% | 22 | 0% | 1 | 0% | 191 | 3% | 686 | 10% |
| NYCT | 50,357 | 9,070 | 18% | 11813 | 23% | 38544 | 77% | 23,386 | 46% | 8,139 | 16% | 5,733 | 11% | 92 | 0% | 21 | 0% | 1,173 | 2% | 157 | 0% |
| Total | 72,290 | 12,746 | 18% | 23,449 | 32% | 48,841 | 68% | 28,771 | 40% | 10,967 | 15% | 7,060 | 10% | 156 | 0% | 43 | 0% | 1,844 | 3% | 1,519 | 2% |

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

Note: All percentage have been rounded up to the nearest whole number.



- **Agency Strategies to Address Utilization**(full report on page 43)
 - MTA Presidents provided the strategies to improve workforce, business and service for their respective agencies (HR, B&T, CCC, MNR, LIRR, BUS, NYCT, PD)



- **MWDBE Contract Compliance** (full report on page 77)
 - For the first three months of the Federal Fiscal Year 2017, MTA and its agencies awarded approximately **\$183 million** in federally-funded portion of contracts, with DBE participation of **\$30.5 million (17%)**. The overall DBE goal is **17%**. A total of approximately **\$419 million** was paid to prime contractors in federally-funded contracts, with DBE participation of **\$79 million (19%)**.
 - The overall MWBE goal is **30%**. For the first three quarters of New York State fiscal year 2016-2017, approximately **\$1.6 billion** was awarded in state-funded contracts, with MWBE participation of **\$270 million (17%)**. Approximately **\$1.3 billion** was paid to prime contractors with MWBE participation of **\$272.6 million (22%)**.
 - For discretionary procurements, out of a total of approximately **\$90.5 million**, with a value of **\$400,000 or less**, approximately **\$14 million (15%)** was awarded to MWBEs, and **\$2.2 million (2%)** was awarded to Small Business Concerns.



- Out of a total of **\$24 million** paid in outside counsel fees, MWBE law firms received **\$2.3 million (10%)**.
- DDCR conducted **914** site visits from the third quarter of 2015 through the fourth quarter of 2016. On average eight site visits per manager per month are conducted. As of December 31, 2016, DDCR has closed **1,118** contracts, with an additional **41** contracts in the process of being closed and **55** contracts pending agency action.



■ **MWDBE Capital Projects** (full report on page 102)

- During calendar year 2016, approximately **\$1.3 billion** was awarded in federally-funded capital projects with **\$217 million (17%)** being awarded to DBEs. For state-funded capital projects, **\$778 million** was awarded with **\$92 million (12%)** being awarded to MBEs, and **\$83 million (11%)** being awarded to WBEs. Total MWBE participation is **23%**.



- **Small Business Development Program Update** (full report on page 105)
 - **158** firms prequalified for Tier 1 of the Small Business Mentoring Program
 - **49** Firms prequalified for Tier 2 of the Small Business Mentoring Program
 - **46** firms prequalified for the Small Business Federal Program
 - **84** loans for **\$11.6M** from inception to date
 - **\$231.6M** in total contract awards
 - **5,558** jobs created within the Small Business and MWDBE community
 - **31** firms enrolled and **1** pending approval in the Emerging Contractor Program
 - Business assessments in progress with the Emerging Contractors



- **Financial Services** (full report on page 120)
 - For underwriter fees, for the first three quarters of state fiscal year 2016-2017, **\$15.3 million** was awarded in underwriter fees. MBE participation was **\$3.3 million (22%)**, and WBE participation was **\$482,000 (3%)**.



- **Asset Fund Managers – MWBE Participation Combined Plans** (full report on page 122)
 - Total assets managed by MWBEs: **\$908.6 million**; or **14%** of total assets
 - Total assets managed by MWBEs grew by over **\$72 million** in 4Q16, or **8.6%**
 - Majority of assets are in traditional asset classes
 - Traditional assets managed by MWBEs: **\$843.7 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
 - Currently 18.9% of Real Estate Allocation;
 - Target allocation of 20% to asset class; 1% of total assets

- Continue to actively source new relationships and investment managers
 - Engaged with investment consultants, industry groups, custodians, and brokers
 - Key opportunities in 2017 will be in US Small Cap, Long/Short Equities, Global Macro, Emerging Markets, and High Yield Credit



Metropolitan Transportation Authority
Department of Diversity and Civil Rights

Business and Diversity Initiatives

February 21, 2017



MTA Business & Diversity Initiatives

January 2017

SBMP Presents Monthly SBMP Application Workshop

DDCR Presents "DBE Certification Session"

Empire State Development Corp: How To Do Business with the MTA

DDCR Presents "New Firm Orientation Session"

MTA DDCR Presents RFP- Community Outreach Services for Phase II- 2nd Ave Subway

February 2017

SBDP- Emerging Contractor Finance Seminar

DDCR Presents "DBE Certification Session"

Networking with MTA Prime Contractors

SBMP Presents Monthly SBMP Application Workshop

20th Annual Wall Street Project Economic Summit

Association of Minority Enterprise Presents the 40th Annual Legislative Business Conference

46th NYS Black And Puerto Rican Annual Legislators Conference

SBMP- New Pre- Qualified Mentor Contractors Orientation



March 2017

SBDP- Emerging Contractor Finance Seminar

SBDP- Doing Business with the MTA Primes and Contractors

DDCR Presents " DBE Certification Session"

SBDP- Prevailing Wages

SBMP Presents Monthly SBMP Application Workshop

SBDP- Estimating and Bidding Strategies at the MTA

SBDP- Project Scheduling at the MTA

2017 Somos El Futuro Conference

SBDP- Cash Flow and Financial Management

Competitive Edge Mini Conference Presents "Best Practices in the MWDBE and SDVOB Industry"



Metropolitan Transportation Authority
Department of Diversity and Civil Rights

Certification Activity Report

February 21, 2017



**CERTIFICATION APPLICATIONS RECEIVED
2014-2016**

| | 2016 | 2015 | 2014 |
|--------------|-------------|-------------|-------------|
| January | 6 | 6 | 14 |
| February | 11 | 6 | 4 |
| March | 7 | 8 | 6 |
| April | 7 | 4 | 15 |
| May | 14 | 9 | 2 |
| June | 13 | 11 | 13 |
| July | 10 | 9 | 8 |
| August | 14 | 5 | 16 |
| September | 5 | 9 | 6 |
| October | 15 | 8 | 11 |
| November | 5 | 7 | 8 |
| December | 13 | 12 | 15 |
| TOTAL | 120 | 94 | 118 |

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

| | 2016 | 2015 | 2014 |
|-------------------|-------------|-------------|-------------|
| CERTIFIED | 69 | 59 | 75 |
| DENIED | 3 | 3 | 4 |
| RETURNED | 47 | 29 | 29 |
| INELIGIBLE | 0 | 0 | 0 |
| WITHDRAWN | 15 | 16 | 20 |
| | | | |
| TOTAL | 134 | 107 | 128 |

CONTRACT AWARDS TO DBE FIRMS CERTIFIED

2009-2016

- Number of DBE firms certified from 2009-2016: 526
- Number of DBE Firms certified from 2009-2016 receiving federally funded prime/subcontracts: 113
- Number of federally funded prime/subcontracts for DBE firms certified from 2009-2016: 410
- Total contract amount awarded to DBE firms certified from 2009-2016 on federally funded contracts: \$801,651,717.54.

There were also 162 firms certified as DBE firms during 2009-2016 with dual M/WBE certification that received contract awards on NYS contracts totaling \$371,781,671.60 representing 623 prime/sub-contract awards.

***Grand Total: \$1,173,433,389.14 (FTA and NYS Contracts)**

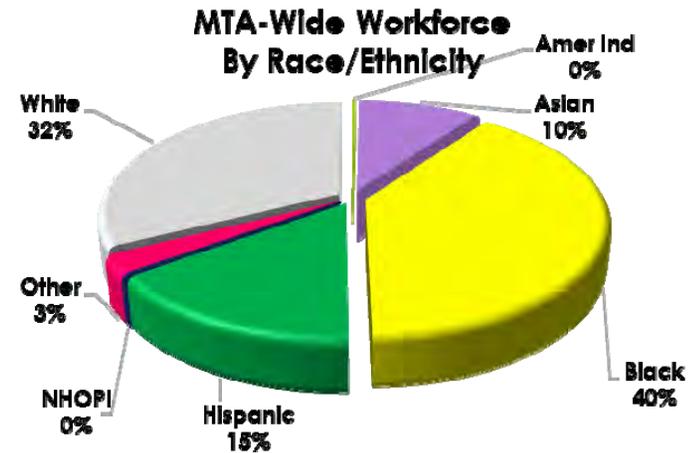
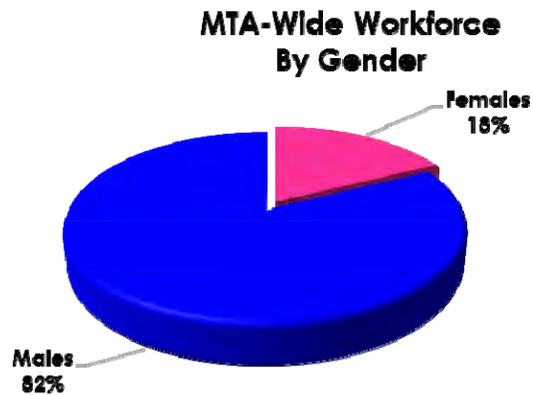
Metropolitan Transportation Authority Department of Diversity and Civil Rights

MTA-Wide Workforce
As of December 30, 2016

February 21, 2017



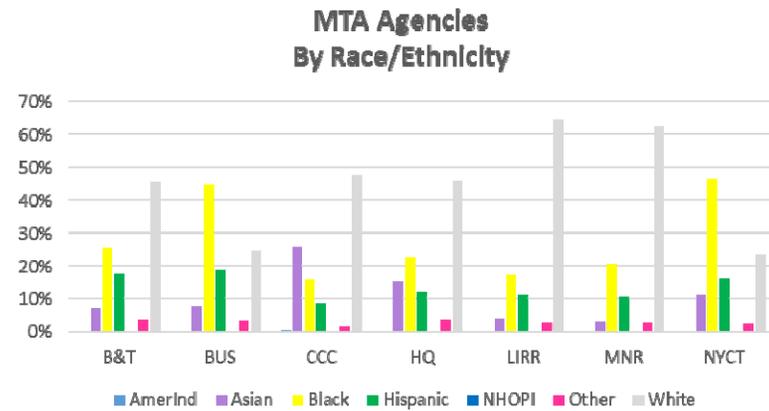
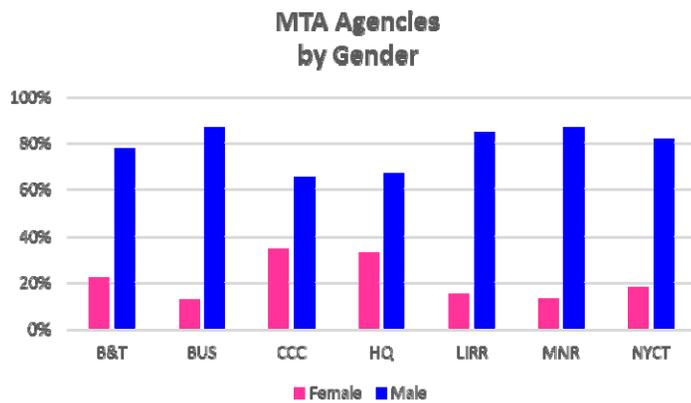
MTA-Wide Workforce as of December 30, 2016



- ❑ MTA Authority-wide consist of **72,290** employees.
- ❑ **18%** Females, **68%** Minorities and **2%** 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 December 30, 2016



| Agency | Employees | Females | Minorities |
|--------|-----------|---------|------------|
| B&T | 1,451 | 22% | 54% |
| CCC | 139 | 35% | 53% |
| LIRR | 7,163 | 15% | 35% |
| MNR | 6,599 | 13% | 38% |
| BUS | 4,020 | 13% | 75% |
| HQ | 2,561 | 33% | 54% |
| NYCT | 50,357 | 18% | 77% |



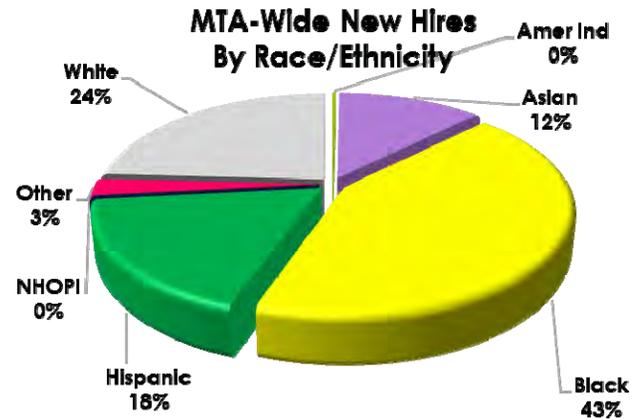
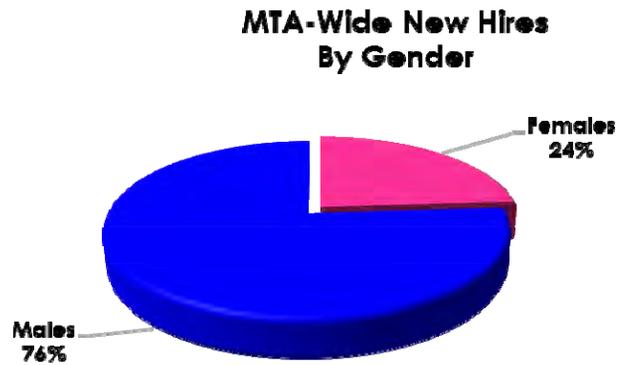
Metropolitan Transportation Authority Department of Diversity and Civil Rights

MTA-Wide New Hires and Veterans Fourth Quarter 2016

February 21, 2017



MTA-Wide New Hires and Veterans By Gender and Race/Ethnicity January 1, 2016 to December 31, 2016

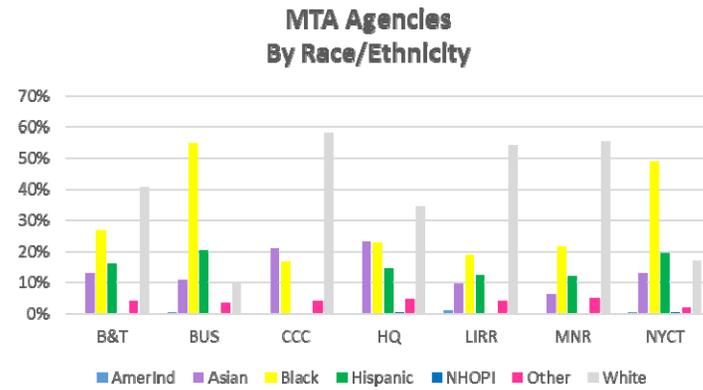
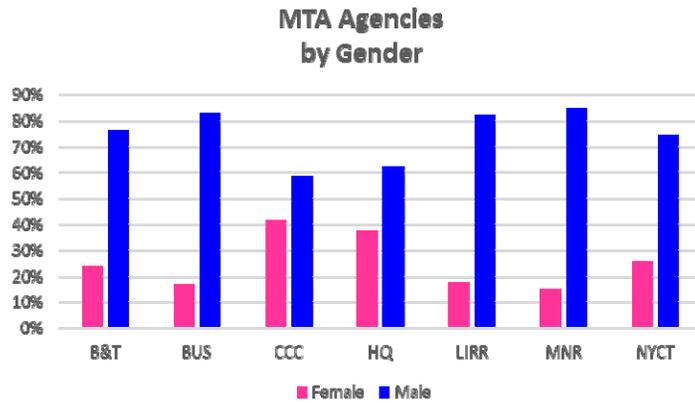


MTA and its Agencies hired **6,278** Employees and **214** Veterans

- 24% Females in which 1% were Veterans.
- 76% Minorities in which 3% were Veterans.
- 3% Veterans overall were hired.



New Hires and Veterans By Agency January 1, 2016 to December 31, 2016



This chart shows a breakdown by Agency of the **6,278** employees and **214** Veterans hired.

| Agency | Employees | Females | Minorities | Veterans |
|--------|-----------|---------|------------|----------|
| B&T | 101 | 24% | 59% | 4% |
| BUS | 422 | 17% | 90% | 2% |
| CCC | 24 | 42% | 42% | 0% |
| HQ | 271 | 38% | 66% | 1% |
| LIRR | 477 | 18% | 46% | 6% |
| MNR | 562 | 15% | 45% | 9% |
| NYCT | 4,421 | 25% | 83% | 3% |



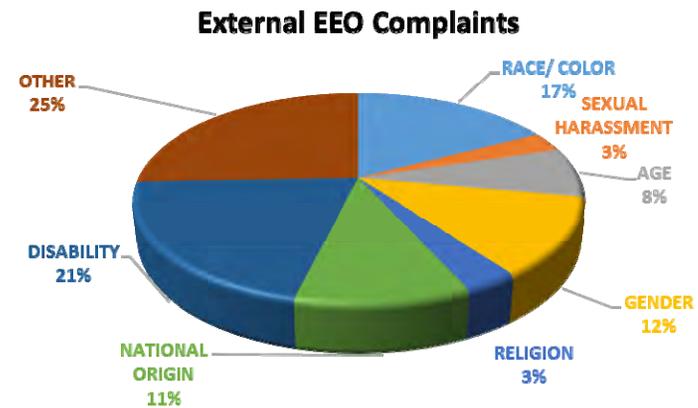
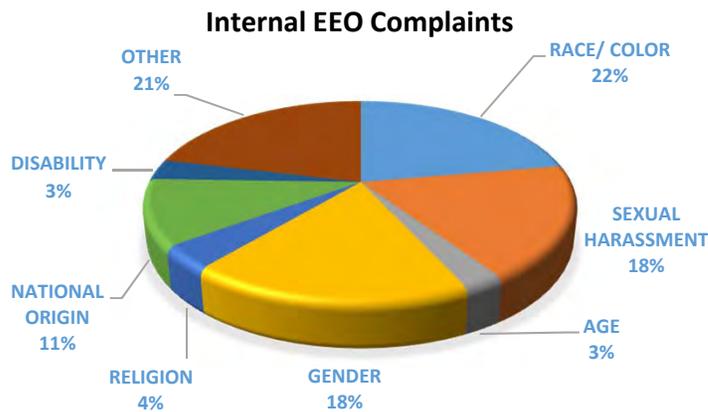
Metropolitan Transportation Authority Department of Diversity and Civil Rights

MTA-Wide EEO and Title VI Complaints

February 21, 2017



MTA-Wide Internal/External EEO Complaints January 1, 2016 to December 31, 2016



- ❑ MTA and its Agencies handled **549** EEO complaints
- ❑ **353** filed Internal
- ❑ **196** filed External
- ❑ The most frequently cited bases Internally was Race/Color and Externally was Disability.

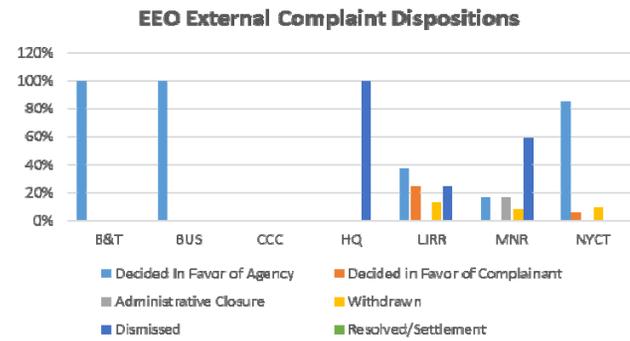
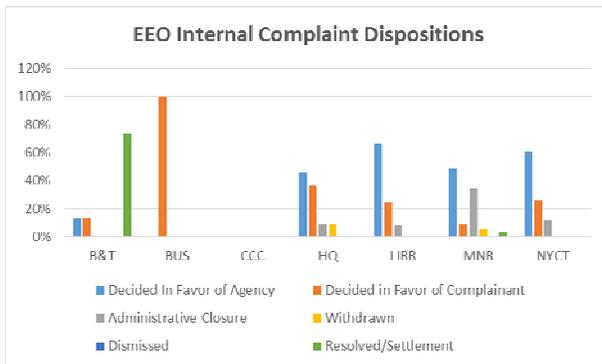
These charts include all pending matters as of the date of the report: including matters filed prior to the reporting period.

Other contains all EEO categories not otherwise specially mentioned on the chart (i.e. Retaliation, Sexual Orientation, Military status, or Martial Status etc).

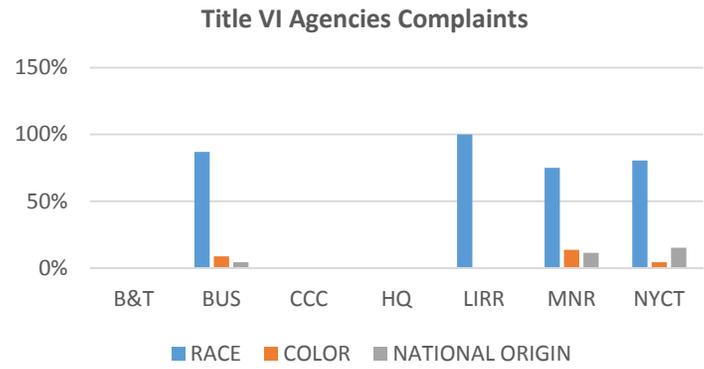


MTA-Wide and its Agency's EEO Internal/External Discrimination Complaint Dispositions January 1, 2016 to December 31, 2016

MTA-Wide Internal and External Complaint Dispositions



MTA-Wide Title VI Discrimination Complaints January 1, 2016 to December 31, 2016

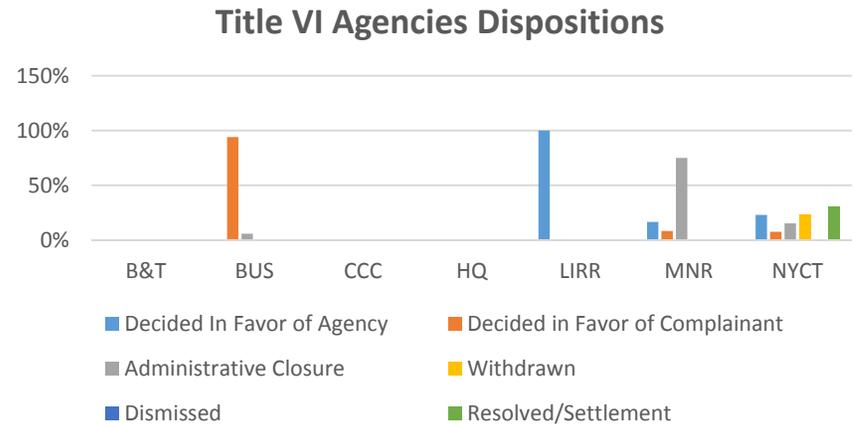
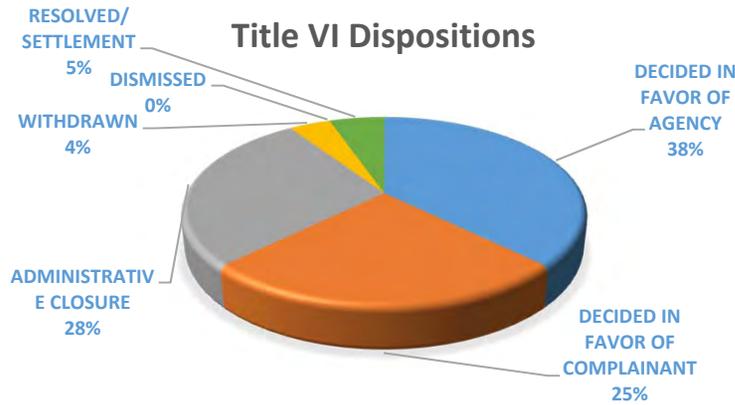


MTA and its Agencies handled a total of **303** Title VI complaints and **319** allegations.

| Agency | Complaints | Allegations | Race | Color | National Origin |
|--------|------------|-------------|------|-------|-----------------|
| BUS | 23 | 23 | 87% | 9% | 4% |
| LIRR | 21 | 21 | 100% | 0% | 0% |
| MNR | 34 | 44 | 75% | 14% | 11% |
| NYCT | 225 | 231 | 81% | 4% | 15% |



MTA-Wide Title VI Discrimination Complaint Disposition January 1, 2016 to December 31, 2016



MTA and its Agencies handled **303** Title VI Complaints

- ❑ 38% decided in Favor of the Agency
- ❑ 25% decided in Favor of the Complainant
- ❑ 28% were Administrative Closures



Metropolitan Transportation Authority Headquarters

Michael J. Garner
And
Michael Kalish

Strategies to Improve Workforce, Business and Service

February 21, 2017



Chief Diversity Officer Message To The Board

I. Message From Michael J. Garner, Chief Diversity Officer

- ❑ As Chief Diversity Officer for MTA and its affiliated agencies I am responsible for agency oversight to ensure non-discrimination. I reaffirm my commitment to ensure all MTA agencies use good faith efforts to (1) ensure the equitable representation and advancement of protected group members at all levels of employment, (2) the utilization of female-owned, minority-owned, veteran-owned or disadvantaged businesses in contracts and procurements, (3) the equitable distribution of transit service and benefits, as well as, the non-discriminatory impact of agency decisions and activities.
- ❑ DDCR leadership team is committed to ensuring equality, dignity and respect in the workplace, by ensuring that DDCR is the subject matter expert in regard to relevant federal and state law and FTA regulations. DDCR provides leadership and direction to the agencies and plans diversity events to promote cultural awareness among employees to foster diversity and inclusion.
- ❑ As Chief Diversity Officer, I will ensure that MTA employees are aware of the MTA Equal Employment Opportunity and Workplace Harassment policies and that all violations are addressed in a professional, expeditious and fair manner.



2016 Key Accomplishments

II. DDCR and HQ Human Resources - 2016 Key Accomplishments or Best Practices

- In April 2016, DDCR hired a Deputy Chief Diversity Officer, EEO and Title VI Compliance to ensure all MTA agencies are making good faith efforts to increase, retain and/or promote and foster an inclusive environment for **females, minorities, veterans and individuals with disabilities** in the workplace.
- As a multi-agency effort to recruit **veterans**, the HQ Human Resource Department (HR) partnered with agency representatives and attended over 55 veteran job fairs and military outreach events, emailed over 1700 service members announcements about MTA's employment opportunities and local veteran outreach activities, attended several employment skills workshops and worked with veterans on an individual basis to assist them in finding civilian employment.
- October 2016, MTA was featured nationally in an article published by the Society for Human Resource Management (SHRM) on "Why Hiring Veterans Makes Good Sense".
- DDCR developed Agency-wide templates for Title VI and Limited Language Assistance Plans to meet the FTA's requirement to consolidate the Title VI Program for 2017.
- In September 2016, DDCR implemented, (as part of their Small Business Mentoring Program (SBMP),) the Emerging Contractors Program, which enables females, minority, and veteran-owned businesses that would not normally qualify for SBMP, to enter the program and bid on contracts.



2017 Initiatives

III. DDCR and HQ Human Resources - 2017 Key Workforce, Business and Service Initiatives

- ❑ DDCR will chair a work group that meets quarterly with Agency EEO Officers to standardize agency data collection methods, policies, procedures and practices - to ensure females, minorities and veterans are recruited, retained, rewarded and promoted in the workplace,
- ❑ In 2017, MTA will plan, organize and conduct at least four diversity events (Black History Month, Jewish-American Heritage Month, Caribbean-American Heritage Month, and Hispanic-Heritage Month celebrations) reaching approximately 800-1000 employees, in order to promote diversity and inclusion, encourage participation, and foster retention among minorities in the workplace.
- ❑ By December 31, 2017, DDCR will ensure that All agencies are collecting data for applicants and employees with disabilities as per the new FTA circular.
- ❑ By June 2017, DDCR will submit MTA's first consolidated Title VI update to FTA.
- ❑ DDCR will hire an Assistant Deputy Chief Diversity Officer of EEO by June 2017.
- ❑ DDCR will develop and execute new business strategies to drive new growth, and will access new markets to attract certifiable MWBEs, DBEs, SBEs and SDVOBs to meet agency-wide small business goals and objectives. For example, DDCR is participating in focused matchmaking events, and hosting MTA-focused webinars with NYS Empire State Development Corporation.



Metropolitan Transportation Authority
Police Department

Chief Owen J. Monaghan
Strategies to Improve Workforce, Business
and Service

February 21, 2017



Chief Monaghan Message To The Board

I. Message From Chief of Police, MTA Police Department:

- ❑ MTA Police Department commitment to equitable representation at all levels of the department.
- ❑ Command Staff has encouraged active recruitment of a diverse candidate pool for the January 2017 entrance examination.
- ❑ Community outreach is a prime example of this commitment to be inclusive of all our efforts to achieve diversity.



2016 Key Accomplishments

II. MTA Police Department 2016 Key Accomplishment

□ Recruitment

- March 2016 – Processed remainder 2012 applicants
- Hired 63 Police Officers in 2016 (January 2016, July 2016, & January 2017 academy classes)
- New Police recruitment initiative/application yielded 22,404 applicants
 - Outreach included radio, diverse newspapers/periodicals, websites, college websites, church groups, community working in conjunction with MTA Guardians, MTA Marketing, poster distribution throughout MTA agencies, railroad newsletters, and MTA Facebook.

Hires 2016

- 11 Females
- 17 Minorities
- 4 Veterans
- Total # of Hires - 63

Promotions 2016

- 3 Females
- 7 Minorities
- Total # of Promotions – 24



2017 Initiatives

III. MTA Police Department 2017 Key Workforce, Business and Service Initiatives

□ Recruitment

Application for Police Officer in 2016 yielded a diverse group of applicants. 2017 goals include continued processing of diverse pool of applicants through various steps of recruitment process:

- 1st quarter of 2017 – administer written examination to entire applicant pool
- 2nd quarter of 2017 – plan Physical Fitness Test for approximately 10%

□ Hires

- Planning to fill 46 current vacancies as well as vacancies due to attrition
- Projected July 2017 class of 20
- Projected January 2018 class of 50

□ Promotional Exam

- 2nd quarter of 2017 – Leadership championing for upcoming exam, commanding officer mentoring, and benefits highlight sheet to include snapshot of the next three career steps to leadership
- 3rd quarter of 2017 – Planning for promotional exam which includes workforce analysis and study material development
- 4th quarter of 2017 – Application and administer test



Metropolitan Transportation Authority
Bridges and Tunnels

President Donald Spero
Strategies to Improve
Workforce, Business and Service

February 21, 2017



President's Message To The Board

I. Message From MTA Bridges and Tunnels' President

- MTA Bridges and Tunnels (MTA B&T), a leading transportation employer and public service provider, is firmly committed to maintaining a diverse and inclusive workforce. It is the policy of MTA B&T to provide fair and equal employment opportunities to all applicants and qualified individuals within its workforce, in both securing employment and in promotion opportunities at all levels and occupational categories. MTA B&T is currently transitioning into a new business model for toll collection. The impact of the new initiatives related to Open Road Tolling (ORT) and the New York Crossings Project (NYCP) will require new innovative ways of thinking, along with business process changes and supporting tools, systems and technologies that will enable the organization to meet the challenges of operating under a new business environment and manage the new assets being acquired by MTA B&T. To help ensure that ORT/NYCP project targets are being met, MTA B&T has create a Human Resources committee to manage the transformative organizational and cultural impacts on MTA B&T's workforce and the ongoing need to incorporate diversity goals into the new business requirements.
- MTA B&T strongly believes in providing Minority and Women-Owned Business Enterprises (MWBEs), Small Businesses Enterprise (SBEs), and Service-Disabled Veteran-Owned Businesses (SDVOBs) with greater opportunities to compete for contracts, both as prime contractors and sub-contractors. One way our agency continues to advance this mission is through the MTA Small Business Mentoring Program under the MTA HQ Department of Diversity and Civil Rights, and the MTA B&T's Office of EEO, Law and Procurement, and Engineering and Construction Departments vendor/supplier diversity outreach efforts and inclusion initiatives. By fostering new and mutually beneficial partnerships with small businesses, MTA B&T is reinforcing its commitment to eliminating barriers, diversifying its sourcing and vendor-base, and promoting a robust and competitive business environment in the Era of New York Crossings.



2016 Key Accomplishments

II. MTA Bridges and Tunnels 2016 Key Accomplishments

- ❑ MTA B&T launched its 2015-2016 Engineering & Construction Employment Fair, to recruit and hire female engineers for ongoing construction projects. MTA B&T successfully attracted 265 attendees, which included 25% females, and 68% minorities (44% Asian, 10% Hispanic, 9% African-American, and 13% identified two or more ethnicities). In addition, MTA B&T engaged in targeted recruitment that included: the National Association of Women in Construction, National Society of Black Engineers, Society of Hispanic Professional Engineers, American Society of Civil Engineers, American Institute of Architects, Women in Transportation, LinkedIn, MilitaryHire.com, HireVeterans.com, Construction Management Association of America, and Institute of Transportation Engineers. In 2016, Engineering and Construction successfully on-boarded "28" engineers, "18" males and "10" females, with expertise in various disciplines.
- ❑ MTA B&T recognizes that Minority and Women-Owned Business Enterprises (MWBEs), and Small Businesses Enterprises (SBEs) continue to play a vital role in keeping our facilities structurally sound and safe, as such MTA B&T is strongly committed to investing in and supporting MWBEs and SBEs that compete for contracts. MWBEs and SBEs had an opportunity to expand their portfolio and increase their knowledge of the design-build procurement process at MTA B&T's "As Needed Inspection and Design, Expert Engineering and Engineering Support Services" networking event held on January 28, 2016. The networking event provided an opportunity for MWBEs and SBEs to meet with a pool of pre-qualified prime consultants about contract PSC-12-2891. This contract networking event attracted over 80 attendees, and provided contract opportunities for various engineering and construction trades.
- ❑ MTA B&T continues to partner with gothamCulture LLC. (GC), Service-Disabled Veteran-Owned Businesses (SDVOBs), to transform the culture and leadership of the organization and to improve performance. Through GC, the workforce and leaders of MTA B&T continue to identify the underlying causes of organizational obstacles, transforming mission critical practices and procedures, implementing diverse talent initiatives, and executing breakthrough strategies to elevate safety, security, and performance.



2017 Initiatives

III. MTA Bridges and Tunnels 2017 Key Workforce, Business and Service Initiatives

- ❑ MTA B&T's Enterprise Asset Management Program (EAM) is part of an MTA-Wide Initiative. One of the goals of MTA B&T's EAM program is to establish a Reliability Centered Maintenance (RCM) community of practice with a focus on embedding the principles of asset management and reliability within the culture and mind-set of the organization. The implementation of EAM requires participation from all disciplines. However, most of the technical expertise required for Asset Management lies in the areas of engineering, finance, maintenance and operations. In order to provide opportunities and encourage women in these departments to participate in the implementation of the EAM program, MTA B&T will establish a formal outreach effort to recruit interested staff to work with B&T's EAM Program Management Team, which would enable them to join the Women in Reliability and Asset Management (WIRAM) community of practice and increase participation of females from the engineering, security, finance, operations and maintenance disciplines.
- ❑ MTA B&T will conduct a workforce climate survey, which includes self-identification by gender, ethnicity, veteran-status, and persons with disabilities, to create strategies and recommendations that address hiring, retention, promotion, succession planning, and quality of life concerns.
- ❑ MTA B&T will launch a Design, Inspection, and Engineering Outreach Event in 2017, to increase business opportunities for Minority and Women-Owned Business Enterprises and Service-Disabled Veteran-Owned Businesses (SDVOBs) in support of MTA B&T's 2.9 Billion Capital Program.



Metropolitan Transportation Authority
MTA CAPITAL CONSTRUCTION

Dr. Michael Horodniceanu, P.E.
Strategies to Improve Workforce, Business
and Service

February 21, 2017



President's Message to the Board

I. Message from MTACC President Dr. Michael Horodniceanu

□ A Big Commitment from A Small Company

- We have fewer than 140 employees; 15% are at a senior management level. We work exclusively in the engineering & construction management industry, where according to the NACME, nationally, women hold 13.4% of engineering positions, African Americans 5% and Latinos 6.2%. So, we have to work harder than most to ensure that we recruit and retain women, minorities and veterans—and I am committed to doing that.
- My senior management team is also committed to ensuring that we hire and promote these protected groups and award contracts to certified M/W/DBE companies.
- In 2016 we made great strides in hiring and promoting women and minorities and grew our outreach efforts for recruiting veterans and attracting M/W/DBE companies and vendors.
- I am proud of our accomplishments, but we must do more.



2016 Key Accomplishments

II. MTACC 2016 Key Employment Accomplishments

- ❑ **Promoting Women:** More than one third of the promotions were given to women. 66.6% of the promoted women are now in decision-making roles.
- ❑ **Hiring and Promoting Minorities:** More than 40% of our new hires are minorities. More than 44.4% of our promotions were to minorities.
- ❑ **Supporting Veterans:** Our company's most senior program executive is a veteran. Nearly 30% of the personnel recruiting events we attended last year specifically targeted minorities and over 40% targeted veterans.
- ❑ **Creating MWBE Business Opportunities:** Of the \$1.2 Million awarded in locally funded contracts and purchase orders, over \$800,000 was for one contract. 30% of that contract was subcontracted to certified MWBE companies. Of the remaining \$400,000, 45% went directly to certified MWBE companies. MTACC awarded a Small Federal Business Program Contract to a certified DBE for \$1.6 million.



2017 Initiatives

III. MTACC 2017 Key Workforce Initiatives

- ❑ MTACC will reach out to and partner with other MTA Agencies to share costs, resources and best practices for strengthening recruitment strategies that target female, minorities and veterans by March 2017
- ❑ MTACC is developing a program where our managerial staff will mentor students from underserved populations, with an emphasis on including females and minorities by the end of June 2017. The intent is to create a pipeline for filling entry-level professional positions
- ❑ We will conduct a feasibility study on implementing a project management program consisting of rotational assignments that develops management skills in veterans with nontraditional education and experience by the end of September 2017
- ❑ Will increase by 30% our participation in events that engage female, minority, and veteran-owned businesses by year end 2017



Metropolitan Transportation Authority
Metro-North Railroad

Joseph J. Giulietti

Strategies to Improve Workforce, Business
and Service

February 21, 2017



President's Message To The Board

I. Message From Metro-North Railroad's President

- I am committed to increasing diversity in the workforce and maintaining a culture that embraces our differences. Diversity enriches our workplace and fosters innovation, creativity and cultural understanding. Metro-North is committed to achieving excellence while ensuring that we maintain an environment that acknowledges and celebrates the diversity of its employees and customers.
- Our agency and its leadership support these values through implementation of Metro-North's strategic plan that identifies "Our People" as our greatest resource. We are a diverse, dedicated and proud workforce and our leadership team and departments support this core priority by aligning their departmental goals in support of Our People. All managers are evaluated annually on their efforts and commitment to supporting diversity initiatives and achieving their goals.
- Metro-North Railroad also realizes that diversity of people drives diversity of thought and improves business outcomes. Therefore, recognizing the expertise and capabilities of Minority and Women Owned Business Enterprises is part of our commitment to ensuring that we are performing business in a manner that is inclusive and seeks to recognize the potential of companies small and large.



2016 Key Accomplishments

- II. Metro-North's 2016 Key Accomplishments or Best Practices
 - The Associate Engineer Program is Metro-North Railroad's esteemed program to hire recent Engineering graduates from public and private, local and out of state colleges/universities. The 2016 program hired a total of 18 students – including 8 minorities and 5 females (up from 3 females in 2015). The Engineering Graduates are viewed as potential future leaders of our Agency.
 - Our 2016 goal to increase our representation of women and minorities in our leadership ranks was successful. The representation of women on the leadership team increased by 3 new members of which two are African American and one is Hispanic.
 - MNR was the first operating agency to hire dedicated staff to support and improve business outreach and outcomes with certified M/WBE firms. Our awards to certified MWDBE's continue to steadily increase each year as a result of these staff increases. Discretionary awards for 2016 have already exceeded 2015 by \$2 million.



2016 Key Accomplishments

- ❑ In 2016 Human Resources created Outreach Field Day to reach out to our female workforce and provide advice on career advancement in the railroad. We assisted them with developing their resumes, coaching on interviewing skills and informing them about other job opportunities on the railroad. This initiative proved to be very popular and will continue in 2017. The Women's Book Club kicked off in May 2016 and met 3 times during the year. The Club primarily focuses on books that cover the career history and topics involving women in the workplace. The Club will continue into 2017.
- ❑ In 2016 Metro-North made a conscious effort to expand our media and community outreach to the LGBT community by advertising job opportunities in targeted LGBT publications and job sites. We have also instituted a mandatory training on the topic of transgender/gender awareness to all employees to promote an inclusive and positive work environment. In 2016 we trained over 800 employees.
- ❑ In 2016 Metro-North hired 48 veterans - up from 31 in 2015. We partnered with MTA HQ's Director of All-Agency Veteran Recruitment to participate in job fairs, training sessions and other out-reach opportunities. Metro-North also held a Lunch and Learn event Honoring Our Veterans Contributions to the Railroad. We also distributed Pins to all our veterans to honor their service and their contribution to our workforce.
- ❑ In 2016 we partnered with DDCR to host a business and employment outreach event for the Orange County Chamber of Commerce with Board Member Susan Metzger. The event was attended by approximately 51 business owners from the surrounding county eager to learn how to do business with MNR. MNR was well represented by members of our HR Dept., EEO and Procurement & Material Management as well as MTA Transit Police. All assembled to share information on accessing opportunities with MTA and in particular MNR.



2017 Initiatives

III. Metro-North's 2017 Key Workforce, Business and Service Initiatives

- ❑ Our online Newsletter, MTA Today will regularly feature a female employee bringing awareness of the different roles women serve in the railroad. Our intent is that recognition brings retention.
- ❑ In order to increase minority, and particularly Hispanic representation in our workforce, Metro-North is targeting job boards in communities with dense populations of African American, Hispanic and Asian residents. On April 20th 2017, Metro-North will also be sponsoring and attending a Bilingual job fair in NYC hosted by National Society for Hispanic Professionals (NSHP), LatPro and Diversityjobs. This is one of the largest Bilingual job fairs in the country.
- ❑ To increase veteran participation, Metro-North has committed to partnering with MTA HQ in attending job fairs and outreach events to bring awareness of our many employment opportunities. By November 2017, we will have additional Lunch and Learn events targeted at our veteran employees and hold our annual Veterans Day ceremony in the Grand Central Terminal. Our goal is to make MNR an employer of choice among the armed services community.
- ❑ By December 2017 Metro-North plans to send out communications to all employees to voluntarily update their personal information including veteran status and disability.
- ❑ In June 2017 Metro-North will host an outreach event tailored to Service Disabled Veteran Owned Businesses (SDVOBs) at our headquarters. Our goal is to have SDVOBs participate in Discretionary procurement opportunities (procurements less than \$400,000). We would also like to identify Set-Aside opportunities designed specifically for SDVOB participation.



Metropolitan Transportation Authority
Long Island Rail Road

Patrick A. Nowakowski
Strategies to Improve Workforce, Business
and Service

February 21, 2017



President's Message To The Board

I. Message From President Patrick A. Nowakowski

- Long Island Rail Road (LIRR) is committed to Equal Employment Opportunity (EEO) for all employees and applicants for employment. As an organization, we make every effort to attract, develop and retain a workforce profile that reflects the diversity of the region's labor pool. LIRR is also committed to operating its services without regard to race, color, or national origin, in accordance with Title VI of the Civil Rights Act of 1964.
- LIRR's executive leadership recognizes the importance of leveraging diversity in all LIRR business practices, and will continue to seek opportunities to do so.
- Examples of LIRR aligning its business practices with diversity include:
 - ✓ Office of Diversity Management working collaboratively with all departments, including Human Resources, on new hire and promotion personnel actions.
 - ✓ Active participation in the programs administered by the MTA Department of Diversity and Civil Rights, Division of Business Programs, to encourage and assist MWBE's and SDVOB's wishing to do business with us.
- I am personally committed to diversity, and strongly believe in the benefits of a diverse workforce. I will continue to work with organizations like COMTO and Women's Transportation Seminar, to increase female and minority representation.



2016 Key Accomplishments

II. LIRR's 2016 Key Accomplishments or Best Practices

- ❑ Efforts to increase diversity at LIRR include attending 25 career fairs between January and December 2016.
- ❑ LIRR hired 28 Veterans during 2016.
- ❑ LIRR used several initiatives designed to aid in promoting and retaining females and minorities, including:
 - ✓ Effective Resume Writing Workshops
 - ✓ Interview Technique Workshops
 - ✓ Interview Feedback sessions
- ❑ To increase opportunities for minority and women-owned businesses, LIRR, in partnership with the other MTA Agencies, participated in the annual NY State MWBE Forum held in Albany.
- ❑ LIRR formally introduced a Service Disabled Veteran Owned Business program, as a part of the NY State formal program launch.



2017 Initiatives

III. Long Island Rail Road's 2017 Key Workforce, Business and Service Initiatives

- ❑ LIRR will continue to aggressively recruit females and minorities through means including participation in pre-career events at colleges like Stony Brook University's College of Engineering and Applied Sciences on February 10, 2017, to meet with members of various female and minority student organizations, including the Society of Women Engineers and Minority Engineering Students.
- ❑ LIRR will attend veterans' job fairs on March 1 and April 13, 2017, and partner with the Director, MTA All-Agency Veterans Recruitment and Staffing Initiatives, to distribute job postings to 1,700 service members and 200 military liaisons, throughout the year.
- ❑ LIRR will continue to work with MTAHQ on a process to identify disabled applicants and employees, including self-identification disability forms. Effective immediately, self-identification of employees and applicants with disabilities will be encouraged during LIRR training classes, including new employee and EEO modules.
- ❑ LIRR will continue providing opportunities to minority, women, and service disabled veteran owned businesses through the use of discretionary procurements.



Metropolitan Transportation Authority
MTA Bus Company

Stephen A. Vidal
Strategies to Improve Workforce, Business
and Service

February 21, 2017



President's Message To The Board

I. Message From MTA Bus' Acting President

- ❑ At MTA Bus Operations, our three-pronged approach to diversity includes management awareness, public outreach and workforce development. This year, my senior leadership team and I will continue our work in each of these areas in order to ensure the equitable representation and advancement of protected group members at all levels of employment, the utilization of female-owned, minority-owned, veteran-owned or disadvantaged businesses in contracts and procurements, the equitable distribution of transit service and benefits, as well as the non-discriminatory impact of agency decisions and activities.
- ❑ Members of the leadership team will conduct various management training sessions in the areas of ethics, respectful workplaces, and effective recruitment strategies among other topics in order to better inform our managers and supervisors.
- ❑ The MTA Bus senior leadership team will continue to work to promote other diversity initiatives throughout MTA Bus Company in order to reinforce our commitment to diversity within the workforce.



2016 Key Accomplishments

II. MTA Bus' 2016 Key Accomplishments or Best Practices

- ❑ Tailored recruitment efforts and key outreach accomplishments to attract and increase a qualified group of minority applicants. Minority groups represented 90% of our new hires.
- ❑ Increased recruitment efforts and participation at Veteran job fairs.
- ❑ Ensured that internal applicants for promotional opportunities that are not selected, meet individually with Human Resources in order to discuss developmental needs and consider training options for continued growth and development, in consideration for future opportunities.
- ❑ Utilized an all-agency contract with a not-for-profit agency that provides differently abled persons with employment opportunities within MTA Bus company.



2017 Initiatives

III. MTA Bus' 2017 Key Workforce, Business and Service Initiatives

- ❑ Identify departments, occupational titles, and job categories experiencing under-representation and implement strategic recruitment initiatives. Results will be reported at mid year and year end.
- ❑ Hire Director of EEO Outreach, Training and Diversity by the end of first quarter.
- ❑ Work in conjunction with MTA HQ, DDCR & NYCT to increase the number of competitive women and/or minority small business owner bids from MWBE vendors for MTA Bus Contracts.
- ❑ Work with our Human Resources Department to review and update the self-identification process for veterans and differently abled persons who are applicants and employees. Results will be reported at mid year and year end.



Metropolitan Transportation Authority
New York City Transit

Darryl Irick
Strategies to Improve Workforce, Business
and Service

February 21, 2017



President's Message To The Board

I. Message From Acting President Darryl Irick

- ❑ Commitment to non-discrimination
- ❑ Emphasis on Excellence, Equity and Inclusion
- ❑ Workforce reflecting the communities we serve
- ❑ Agency core values
 - Respect
 - Diversity
 - Inclusion
- ❑ Importance of managing differences in today's workplace
- ❑ Diversity as a core competency for management team



2016 Key Accomplishments

II. New York City Transit's 2016 Key Accomplishments and Efforts

- ❑ Over 120 veterans hired.
- ❑ 3,000 applicants at September skilled-trade Open House
- ❑ Efforts to increase business opportunities for minority, female and veteran-owned businesses include participate in:
 - Circle of Sisters Forum
 - MWBE Forum
 - Veterans in Economic Transition Conference.



2017 Initiatives

III. New York City Transit's 2017 Key Workforce, Business and Service Initiatives

- "Virtual" Open House for certain hard to fill skilled-trade positions
- MTA-wide effort to develop Transgender Workplace Experience Guidelines
- All-Agency EEO Reporting Project, including process for gathering veteran and disability information on employees and applicants
- Increased business opportunities for minorities, women and veteran owned businesses
 - Circle of Sisters
 - MWBE Forum
 - Quarterly information sessions for newly certified MWBE firms.



Thank you!!

Questions



M/W/DBE CONTRACT COMPLIANCE Fourth Quarter 2016

February 21, 2017

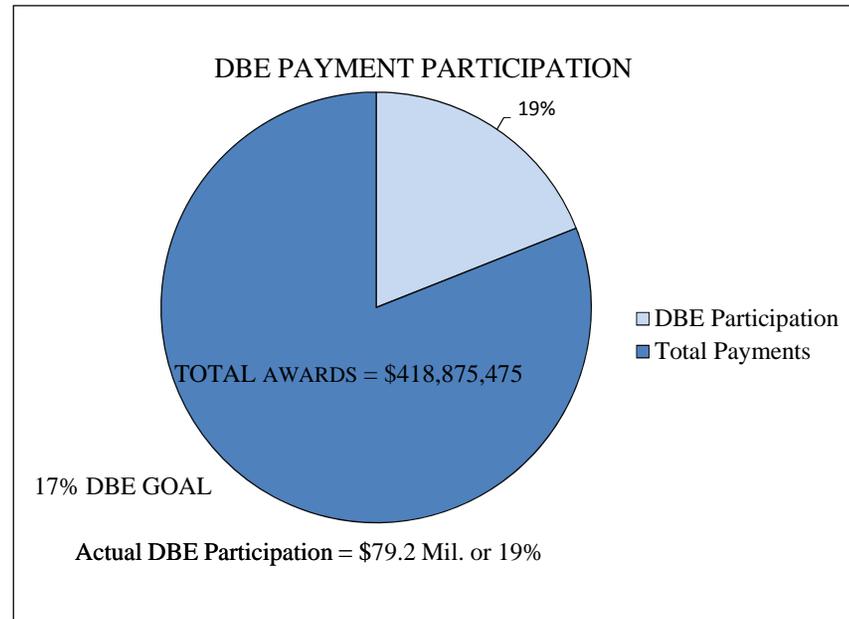
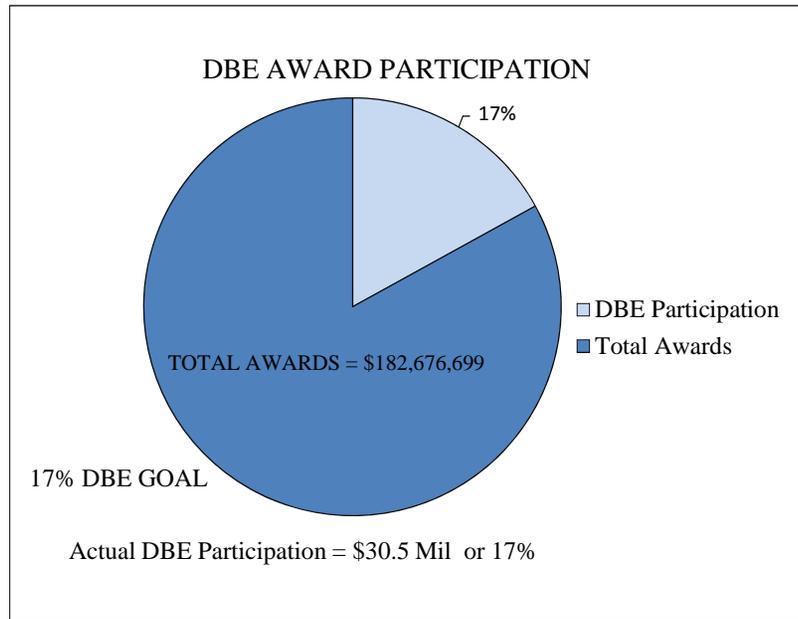


**DBE Participation in Federally Funded Contracts
Federal Fiscal Year 2017*
(October 1, 2016 to December 31, 2016)**

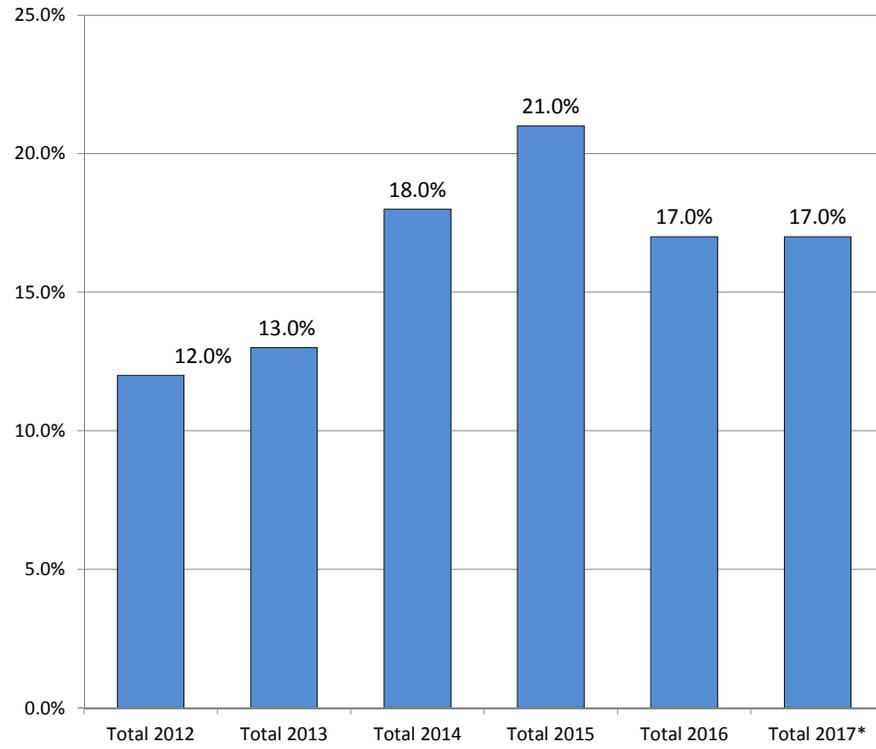
- Each year, MTA reports to the Federal Transit Administration on a semi-annual basis DBE participation in federally funded contracts.
- Reports are submitted on June 1st -- covering October through March, and December 1st -- covering April through September. The December report also summarizes data for the entire Federal Fiscal Year (“FFY”).
- Reports include DBE participation data on new awards and payments on completed contracts.
- For FFY 2017, MTA’s overall DBE goal is 17%.
- From October 2016 through December 2016, MTA awarded approximately \$183 million in the federally funded portion of contracts, and awarded \$30.5 million (17%) to certified DBEs.
- From October 2016 through December 2016, MTA paid prime contractors approximately \$419 million, with payments to certified DBEs totaling \$79 million (19%).

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

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

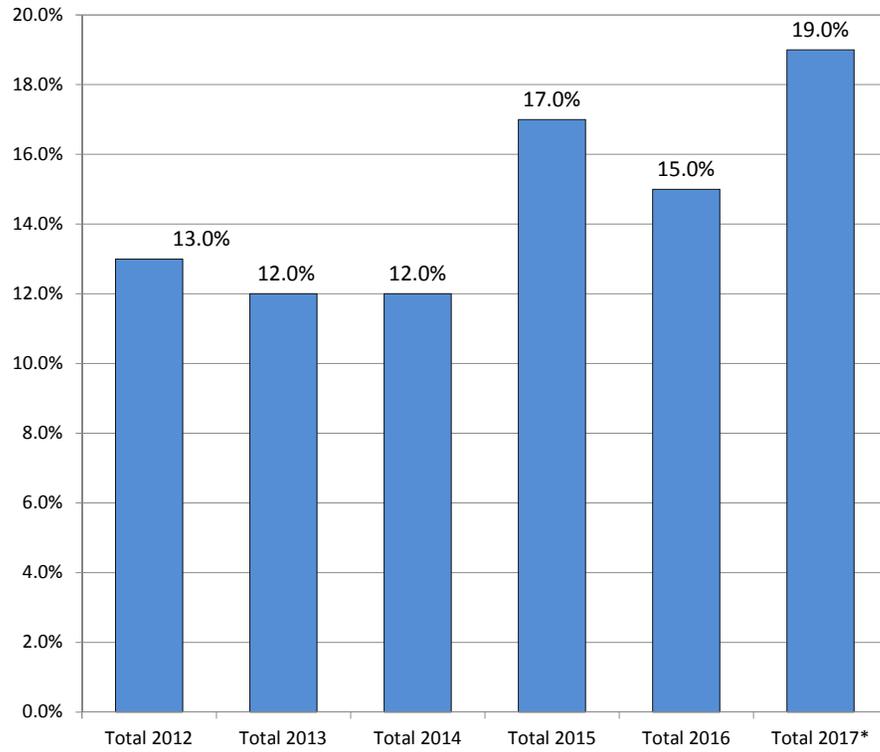


DBE CONTRACT AWARDS October 2011 - December 2016



*Represents data from October 2016 - Decemer 2016

DBE CONTRACT PAYMENTS October 2011 - December 2016



* Represents data from October 2016 - December 2016

**FEDERALLY-FUNDED CONTRACTS
DBE CONTRACT ACTIVITY
FEDERAL FISCAL YEAR 2017 (OCTOBER 2016-DECEMBER 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 | 521 | \$182,676,699 | 53 | \$30,473,050 | 17% | 17% |
| October 2016- December 2016 | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| TOTAL | 521** | \$182,676,699 | 53 | \$30,473,050 | 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 | 121 | \$418,875,475 | 428 | \$79,224,642 | 19% | 17% |
| October 2016- December 2016 | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| TOTAL | 121 | \$418,875,475 | 428 | \$79,224,642 | 19% | 17% |

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

**This figure includes contracts with and without DBE goals.

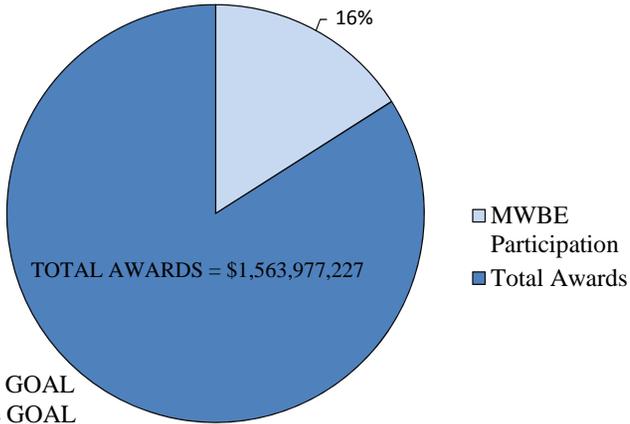
**MWBE Participation in State Funded Contracts
New York State Fiscal Year 2016-2017*
(April 1, 2016 to December 31, 2016)**

- Each year, MTA reports to the Empire State Development Corporation on a quarterly basis MWBE participation on state funded contracts.
- Reports are submitted 15 days after the end of each quarter, on January 15, April 15, July 15, and October 15.
- Reports include data on contracts with goals and MWBE contract payments.
- MTA established an overall 30% MWBE goal for State fiscal year 2016-2017.
- From April 1, 2016 to December 31, 2016, MTA awarded \$1.6 billion in NY State funded contracts, with \$270 million (17%) awarded to certified MWBEs.
- From April 1, 2016 to December 31, 2016, MTA paid \$1.3 billion on prime contracts with \$273 million (22%), paid to MWBEs.

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

STATE-FUNDED CONTRACTS
MWBE CONTRACT ACTIVITY
STATE FISCAL YEAR 2016 (APRIL 2016-DECEMBER 2016)

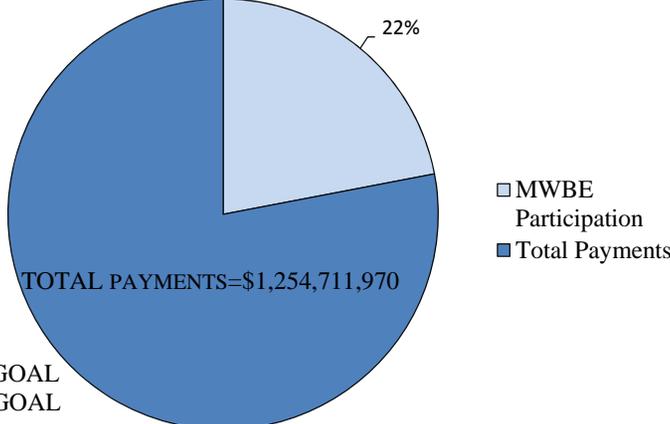
MWBE AWARD PARTICIPATION



15% MBE GOAL
15% WBE GOAL

Actual MWBE Participation = \$270.0 Mil or 17%

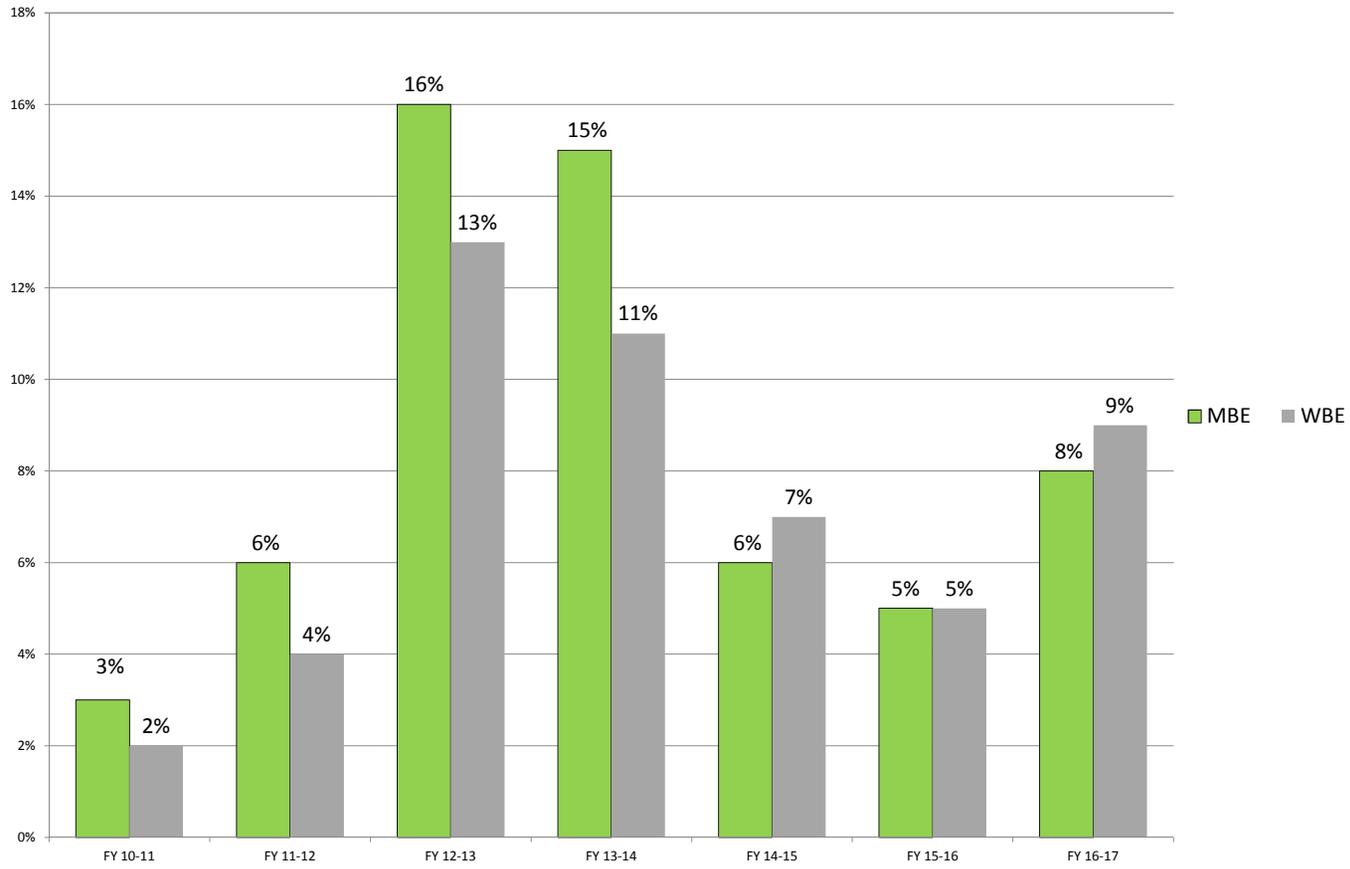
MWBE PAYMENT PARTICIPATION



15% MBE GOAL
15% WBE GOAL

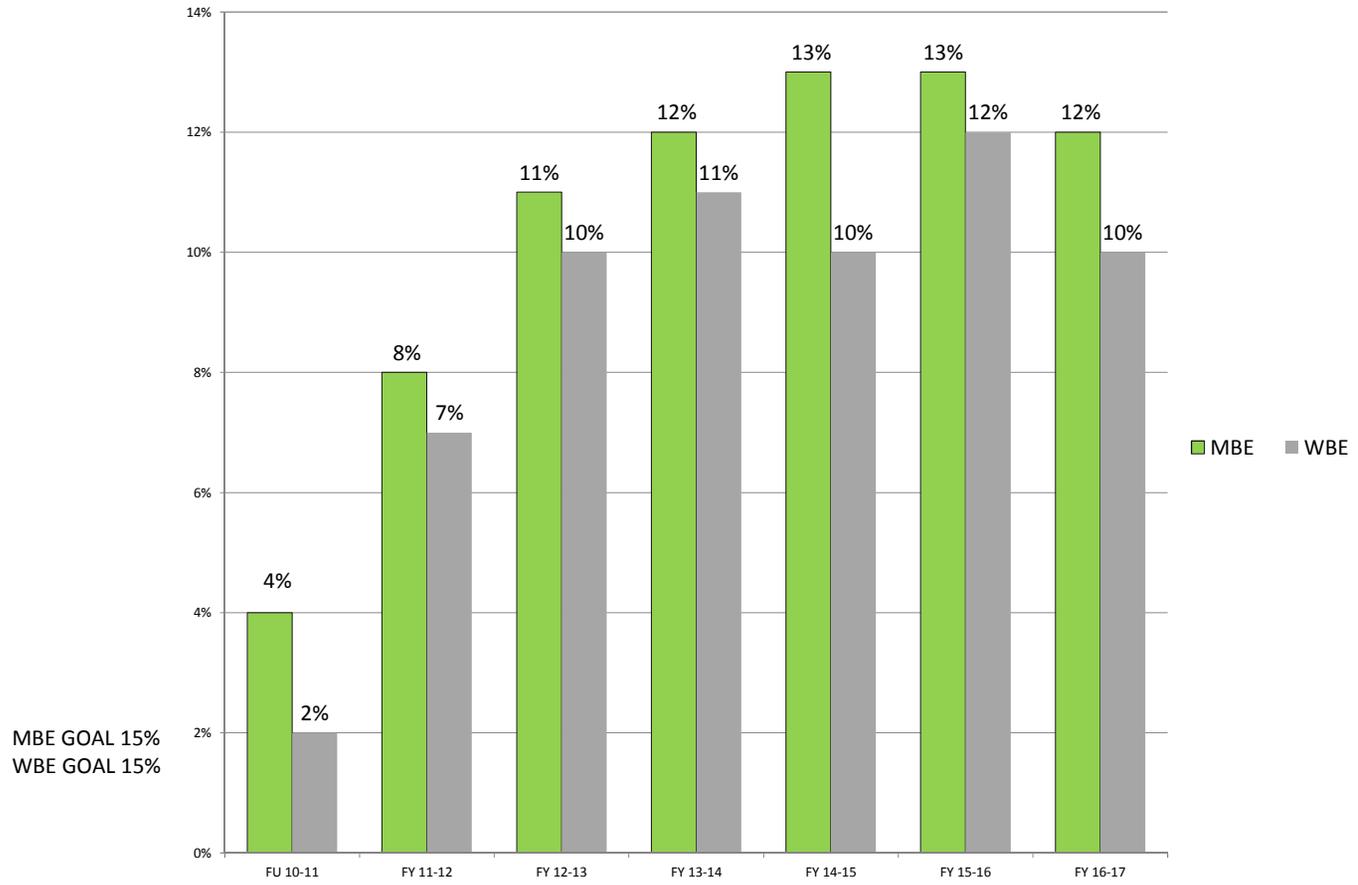
Actual MWBE Participation = \$273.0 Mil. or 22%

NYS MWBE Awards*
April 2010 - December 2016



* The MWBE goal was 15% for FY 10-11 and 20% for FYs 11-15. Starting with FY 15-16, the goal is 30%.

NYS MWBE Payments* April 2010 - December 2016



* The MWBE goal was 15% for FY 10-11 and 20% for FYs 11-15. Starting with FY 15-16, the goal is 30%.

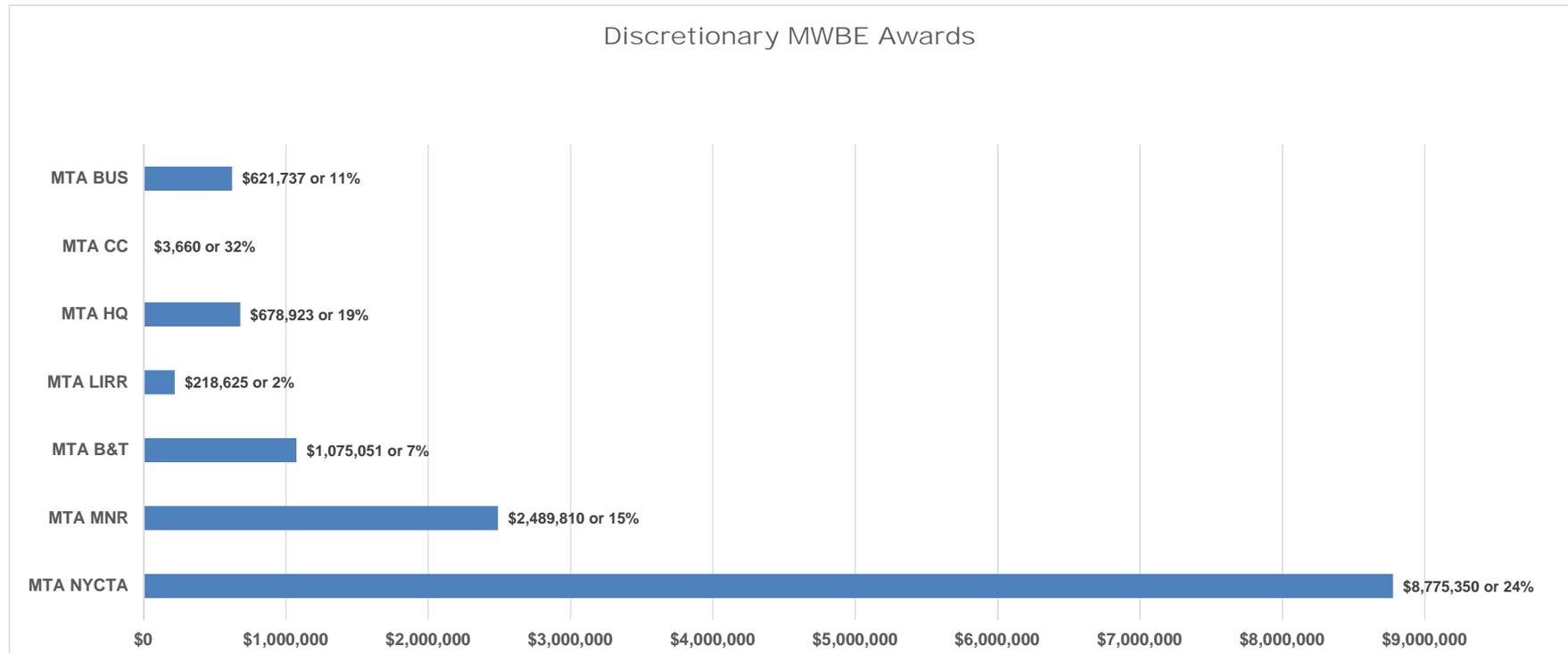
**NYS CONTRACTS
MWBE CONTRACT ACTIVITY
APRIL 1, 2016 - DECEMBER 31, 2016
AWARDS**

| 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 | | | | | | |
| THIRD QUARTER | 15,652 | \$748,387,925 | 1,168 | \$135,720,621 | 18% | 30% |
| OCTOBER 2016 - DECEMBER 2016 | | | | | | |
| TOTAL | 53,942 | \$1,563,977,227 | 3,656 | \$270,053,912 | 17% | 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 | | | | | | |
| THIRD QUARTER | | \$462,865,126 | 3,678 | \$97,528,878 | 21% | 30% |
| OCTOBER 2016 - DECEMBER 2016 | | | | | | |
| TOTAL | 3,597 | \$1,254,711,971 | 9,921 | \$272,613,007 | 22% | 30% |

MTA ALL AGENCY
Discretionary Procurement Report*
October 2016 - December 2016



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

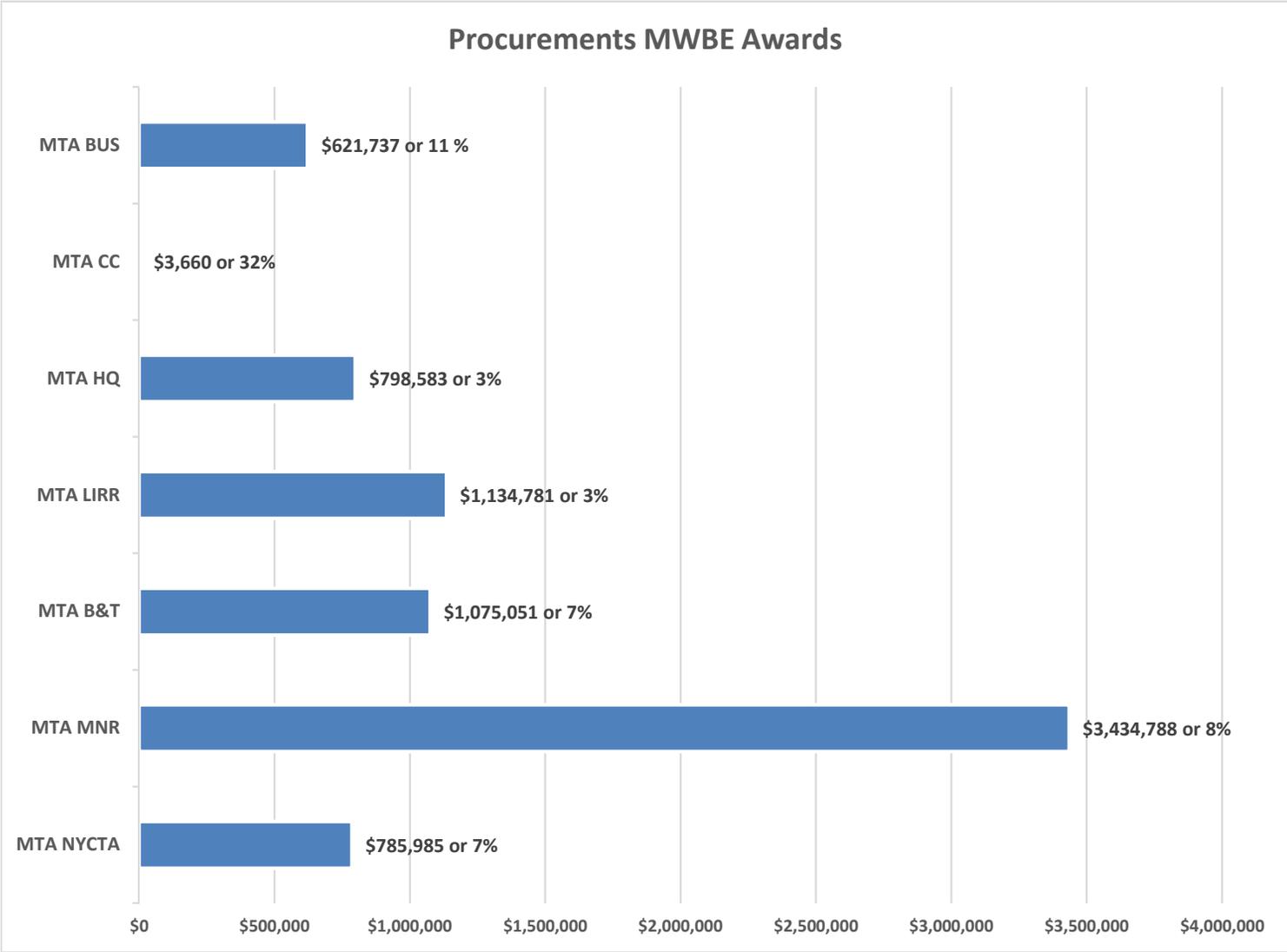
**MTA ALL AGENCY
DISCRETIONARY PROCUREMENT REPORT***

OCTOBER 2016 - DECEMBER 2016

| Agency | Total Awards \$400k or Less | MWBE Discretionary Awards | Discretionary MWBE | SBC Discretionary | Discretionary SBC |
|--------------------|--|--------------------------------------|---------------------------|------------------------------|------------------------------|
| MTA NYCTA | \$36,856,936 | \$8,775,350 | 24% | \$721,833 | 2% |
| MTA MNR | \$16,389,723 | \$2,489,810 | 15% | \$93,941 | 1% |
| MTA B&T | \$16,090,763 | \$1,075,051 | 7% | \$0 | 0% |
| MTA LIRR | \$11,828,827 | \$218,625 | 2% | \$999,244 | 8% |
| MTA HQ | \$3,514,299 | \$678,923 | 19% | \$339,650 | 10% |
| MTA CC | \$11,281 | \$3,660 | 32% | \$7,621 | 68% |
| MTA BUS | \$5,792,776 | \$621,737 | 11% | \$0 | 0% |
| | | | | | |
| Total | \$90,484,606 | \$13,863,156 | 15% | \$2,162,289 | 2% |

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

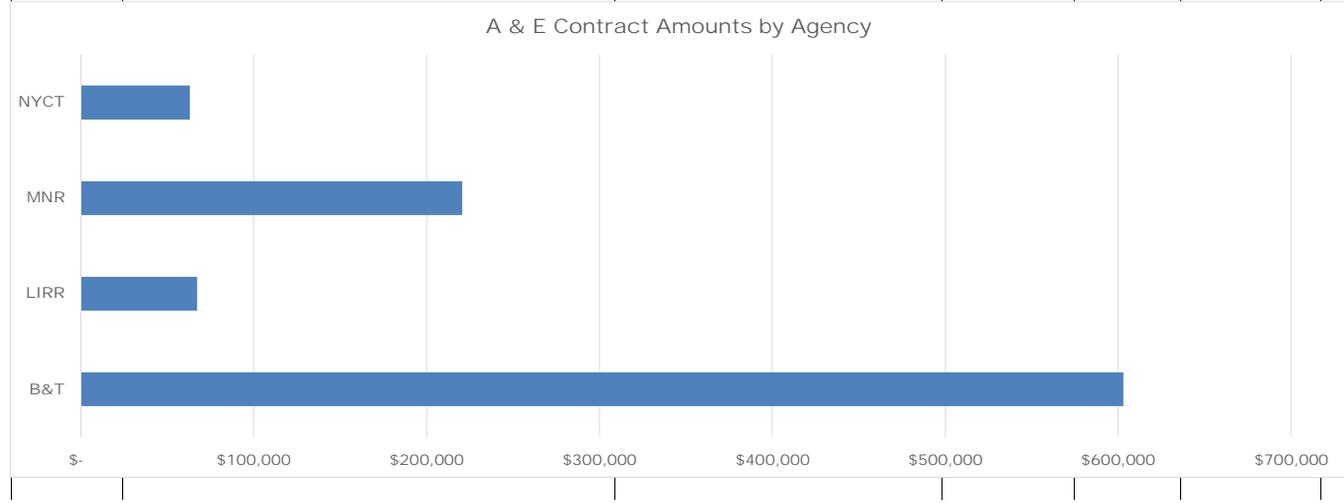
**MTA ALL AGENCY
TOTAL PROCUREMENTS
OCTOBER 2016 - DECEMBER 2016**



**MTA ALL AGENCY
TOTAL PROCUREMENTS
 OCTOBER 2016 - DECEMBER 2016**

| Agency | Total Award Amount | Total MWBE Awards | MWBE |
|--------------------|----------------------|--------------------|-----------|
| MTA NYCTA | \$11,939,942 | \$785,985 | 7% |
| MTA MNR | \$43,276,189 | \$3,434,788 | 8% |
| MTA B&T | \$16,090,763 | \$1,075,051 | 7% |
| MTA LIRR | \$37,237,376 | \$1,134,781 | 3% |
| MTA HQ | \$30,107,972 | \$798,583 | 3% |
| MTA CC | \$11,281 | \$3,660 | 32% |
| MTA BUS | \$5,792,776 | \$621,737 | 11% |
| | | | |
| Total | \$144,456,299 | \$7,854,585 | 5% |

| A/E Awards thru Discretionary Procurement as of 12/30/16 | | | | | | |
|--|--------|--|---|-----------------|----------------------|--------------------------|
| # | 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 |
| 8 | MNR | Feasibility Study Spuyten Duyvil to Ludlow Trail | Design- Environmental | \$ 220,401 | 11/3/16 | WBE |
| 9 | NYCT | Communication's As-Built Drawings 2nd Ave Connection/63rd Street Line Rehabilitation of Tunnel Lighting, Emergency Telephone (EA/ET) and Antenna System-Tracks G3 & G4 63rd Street. Project C-52122 (Contract E-33889 & W-32388) | Prepare complete set of as-built drawings. | \$ 62,888 | 12/22/16 | MBE |
| 10 | B&T | Replacement of Exterior Entrance Doors and Perimeter Lighting at the Throgs Neck Bridge | Inspection and Design, Expert engineering, and Engineering support Services | \$ 77,251 | 12/22/16 | MBE |
| | | | | Total | \$ 953,426 | |

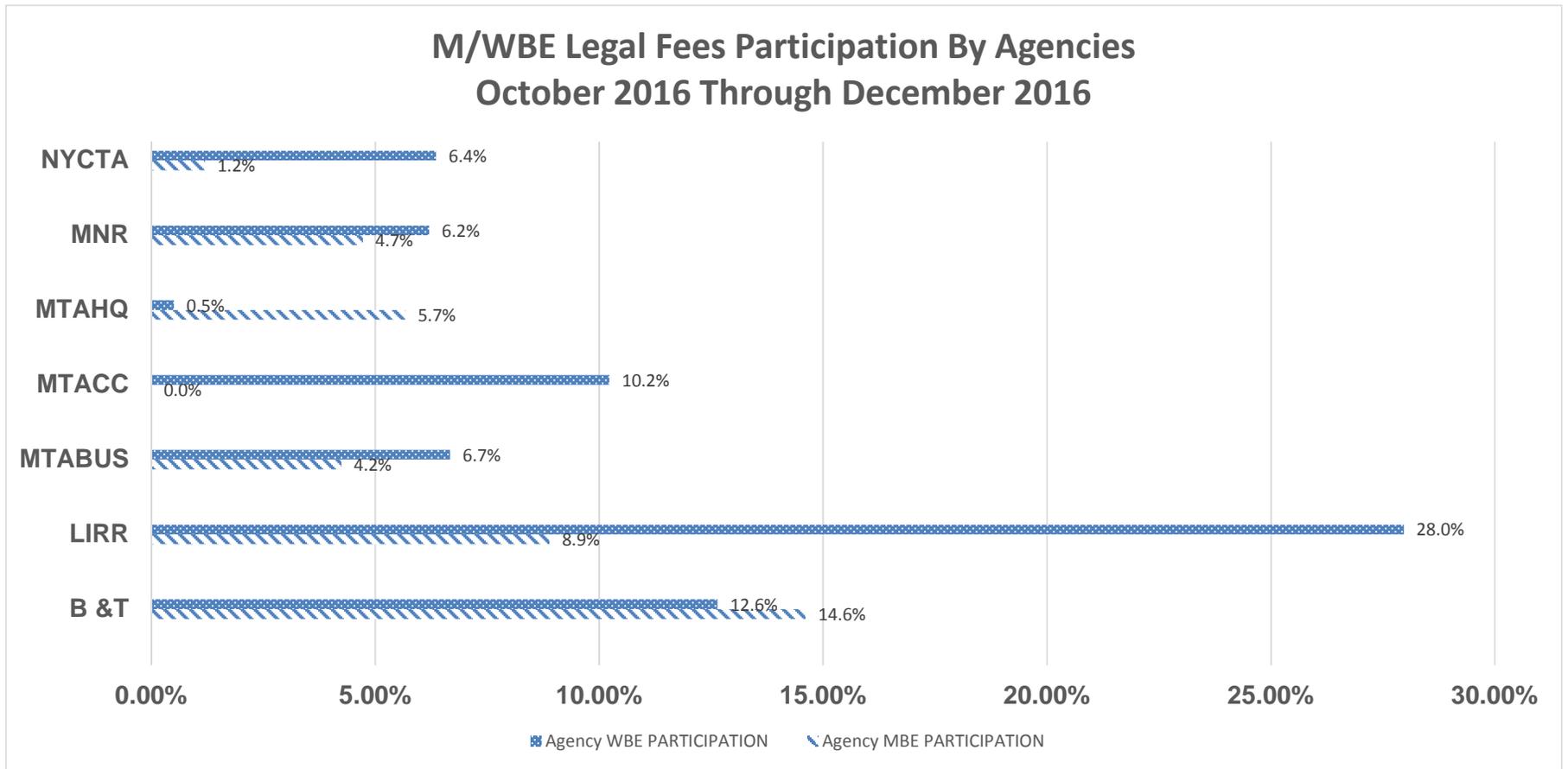


IT Discretionary Consulting Contract No. 14357

| Vendor | PO Number | PO Amount |
|---|--------------|------------------------|
| CAPSTONE STRATEGY GROUP, LLC | 9000005536 | \$ 259,963.00 |
| | 9000005537 | \$ 69,615.00 |
| | 9000005561 | \$ 114,950.00 |
| | 9000005642 | \$ 31,298.00 |
| INFOPEOPLE CORP | 9000005609 | \$ 16,000.00 |
| | 9000005618 | \$ 109,987.00 |
| | 9000005621 | \$ 31,298.00 |
| | 9000005625 | \$ 31,298.00 |
| | 9000005647 | \$ 54,000.00 |
| | 9000005667 | \$ 64,157.00 |
| | 9000005669 | \$ 64,309.00 |
| INFOSYS INTERNATIONAL, INC. | 9000005534 | \$ 57,720.00 |
| | 9000005544 | \$ 108,927.00 |
| | 9000005596 | \$ 28,931.00 |
| IZAR ASSOCIATES INC | 9000005649 | \$ 91,667.00 |
| | 9000005649 | \$ 183,334.00 |
| | 9000005650 | \$ 57,000.00 |
| | 9000005650 | \$ 114,000.00 |
| | 9000005661 | \$ 16,200.00 |
| | 9000005661 | \$ 32,400.00 |
| | 9000005668 | \$ 30,810.00 |
| PRUTECH SOLUTIONS, INC. Q.E.D., INC. | 9000005295 | \$ 122,850.00 |
| | 9000005296 | \$ 122,850.00 |
| | 9000005297 | \$ 62,400.00 |
| | 9000005298 | \$ 333,158.00 |
| | 9000005299 | \$ 150,000.00 |
| | 9000005466 | \$ 105,183.00 |
| | 9000005617 | \$ 28,931.00 |
| SOURCE OF FUTURE TECHNOLOGY INC. | 9000005627 | \$ 93,168.00 |
| | 9000005628 | \$ 44,280.00 |
| | 9000005632 | \$ 23,000.00 |
| | 9000005645 | \$ 22,379.00 |
| | 9000005666 | \$ 315,000.00 |
| UNIQUE COMP, INC. | 9000005300 | \$ 95,680.00 |
| | 9000005304 | \$ 122,208.00 |
| | 9000005379 | \$ 89,280.00 |
| | 9000005384 | \$ 200,000.00 |
| | 9000005385 | \$ 105,000.00 |
| | 9000005386 | \$ 85,410.00 |
| | 9000005392 | \$ 250,000.00 |
| | 9000005394 | \$ 225,000.00 |
| | 9000005396 | \$ 169,260.00 |
| | 9000005397 | \$ 96,720.00 |
| | 9000005398 | \$ 95,680.00 |
| | 9000005400 | \$ 169,260.00 |
| | 9000005402 | \$ 74,100.00 |
| 9000005411 | \$ 87,475.00 | |
| Grand Total | | \$ 4,856,136.00 |

MTA All Agency Legal Fees October 2016 to December 2016





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

| AGENCY | ALL FEES PAID | MBE FEES PAID | Agency MBE PARTICIPATION | WBE FEES PAID | Agency WBE PARTICIPATION |
|---------------|----------------------|----------------------|---------------------------------|----------------------|---------------------------------|
| B &T | \$126,224.72 | \$18,442.73 | 14.6% | \$15,956.65 | 12.6% |
| LIRR | \$1,294,097.06 | \$115,034.77 | 8.9% | \$361,912.25 | 28.0% |
| MTABUS | \$2,820,884.21 | \$119,707.08 | 4.2% | \$188,302.56 | 6.7% |
| MTACC | \$1,267,333.55 | \$0.00 | 0.0% | \$129,603.00 | 10.2% |
| MTAHQ | \$10,225,670.22 | \$579,832.91 | 5.7% | \$51,784.27 | 0.5% |
| MNR | \$1,785,930.28 | \$84,346.09 | 4.7% | \$110,840.64 | 6.2% |
| NYCTA | \$6,707,195.86 | \$80,301.95 | 1.2% | \$426,522.51 | 6.4% |
| TOTAL | \$24,227,336 | \$997,666 | 4.1% | \$1,284,922 | 5.3% |

Metropolitan Transportation Authority
Department of Diversity and Civil Rights

Project Site Visits As of December 31, 2016



MTA Headquarters DDCR Update

DDCR Project Site Visits: 3Q 2015 - 4Q 2016

Total Site Visits Performed = 914



Metropolitan Transportation Authority
Department of Diversity and Civil Rights

Status of Closed Contracts as of December 31, 2016



MTA Headquarters DDCR Update

Inactive Contracts – Status as of December 31, 2016

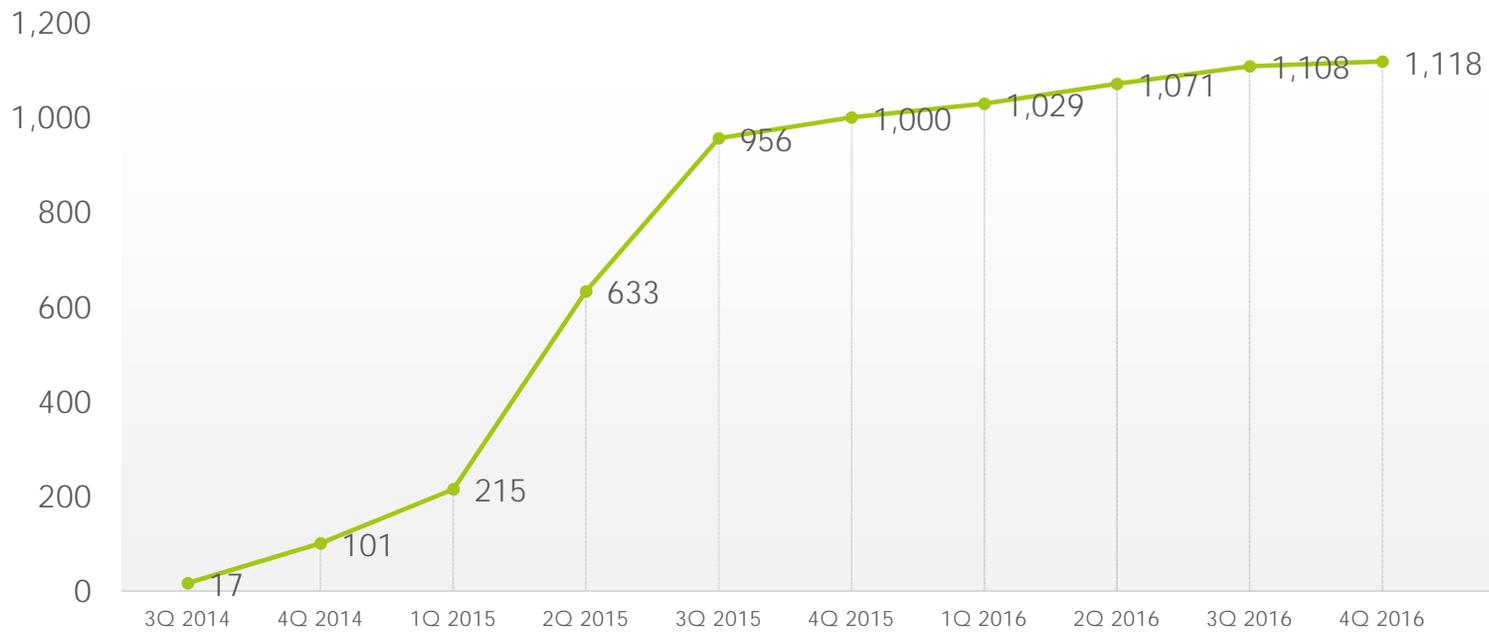
| Inactive Contracts with Goals | # |
|--|------------------------------|
| 1. Total Contracts Reviewed and Closed | 835 |
| 2. Contracts Administratively Closed | 283 ¹ |
| Sub-Total | 1,118 (92%) |
| 3. Closeouts in Progress | 41 |
| 4. Contracts Pending Agency Action | 55 |
| Total | 1,214 ² (100%) |

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



MTA Headquarters DDCR Update

DDCR Contract Closeout Progression 3Q 2014 through 4Q 2016



MTA CAPITAL PROJECTS M/W/DBE AWARDS

February 21, 2017



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

| FEDERALLY FUNDED | FIRST QUARTER (JANUARY-MARCH) (in millions) | | | SECOND QUARTER (APRIL-JUNE) (in millions) | | | THIRD QUARTER (JULY-SEPTEMBER) (in millions) | | | FOURTH QUARTER (OCTOBER-DECEMBER) (in millions) | | | 2016 TOTALS (JANUARY- DECEMBER) (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 (%) | Total Awards* | Total DBE Awards | DBE Participation (%) |
| DBE Participation Goal: 17% | | | | | | | | | | | | | | | |
| Construction | \$ 219 | \$ 9 | 4% | \$ 636 | \$ 127 | 20% | \$ 112 | \$ 22 | 20% | \$ 296 | \$ 59 | 20% | \$ 1,263 | \$ 217 | 17% |
| Total | \$ 219 | \$ 9 | 4% | \$ 636 | \$ 127 | 20% | \$ 112 | \$ 22 | 20% | \$ 296 | \$ 59 | 20% | \$ 1,263 | \$ 217 | 17% |
| Additional MWBE Participation: | | | | | | | | | | | | | | | |
| Construction | \$ 219 | \$ 5 | | \$ 636 | \$ 77 | | \$ 112 | \$ 21 | | \$ 296 | \$ 46 | | \$ 1,263 | \$ 149 | |
| Total | \$ 219 | \$ 5 | | \$ 636 | \$ 77 | | \$ 112 | \$ 21 | | \$ 296 | \$ 46 | | \$ 1,263 | \$ 149 | |

* Total awards exclude rolling stock and signals.

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

| STATE FUNDED | FIRST QUARTER (JANUARY-MARCH) (in millions) | | | SECOND QUARTER (APRIL-JUNE) (in millions) | | | THIRD QUARTER (JULY-SEPTEMBER) (in millions) | | | FOURTH QUARTER (OCTOBER- DECEMBER) (in millions) | | | 2016 TOTALS (JANUARY-DECEMBER) (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 (%) | Total Awards* | Total MBE Awards | MBE Participation (%) |
| MBE Participation Goal: 15% | | | | | | | | | | | | | | | |
| Construction | \$ 46 | \$ 7 | 15% | \$ 122 | \$ 14 | 11% | \$ 120 | \$ 19 | 16% | \$ 490 | \$ 52 | 11% | \$ 778 | \$ 92 | 12% |
| Total | \$ 46 | \$ 7 | 15% | \$ 122 | \$ 14 | 11% | \$ 120 | \$ 19 | 16% | \$ 490 | \$ 52 | 11% | \$ 778 | \$ 92 | 12% |
| WBE Participation Goal: 15% | | | | | | | | | | | | | | | |
| Construction | \$ 46 | \$ 6 | 13% | \$ 122 | \$ 16 | 13% | \$ 120 | \$ 14 | 12% | \$ 490 | \$ 47 | 10% | \$ 778 | \$ 83 | 11% |
| Total | \$ 46 | \$ 6 | 13% | \$ 122 | \$ 16 | 13% | \$ 120 | \$ 14 | 12% | \$ 490 | \$ 47 | 10% | \$ 778 | \$ 83 | 11% |
| Additional DBE Participation: | | | | | | | | | | | | | | | |
| Construction | \$ 46 | \$ 8 | | \$ 122 | \$ 29 | | \$ 120 | \$ 20 | | \$ 490 | \$ 43 | | \$ 778 | \$ 100 | |
| Additional DBE Participation Total | \$ 46 | \$ 8 | | \$ 122 | \$ 29 | | \$ 120 | \$ 20 | | \$ 490 | \$ 43 | | \$ 778 | \$ 100 | |

* Total awards exclude rolling stock and signals.

Metropolitan Transportation Authority Department of Diversity and Civil Rights

MTA Small Business Development Program Business Development Initiatives and MWDBE Results

February 21, 2017



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

158 PREQUALIFIED FIRMS (AS OF FEBRUARY 1, 2017)

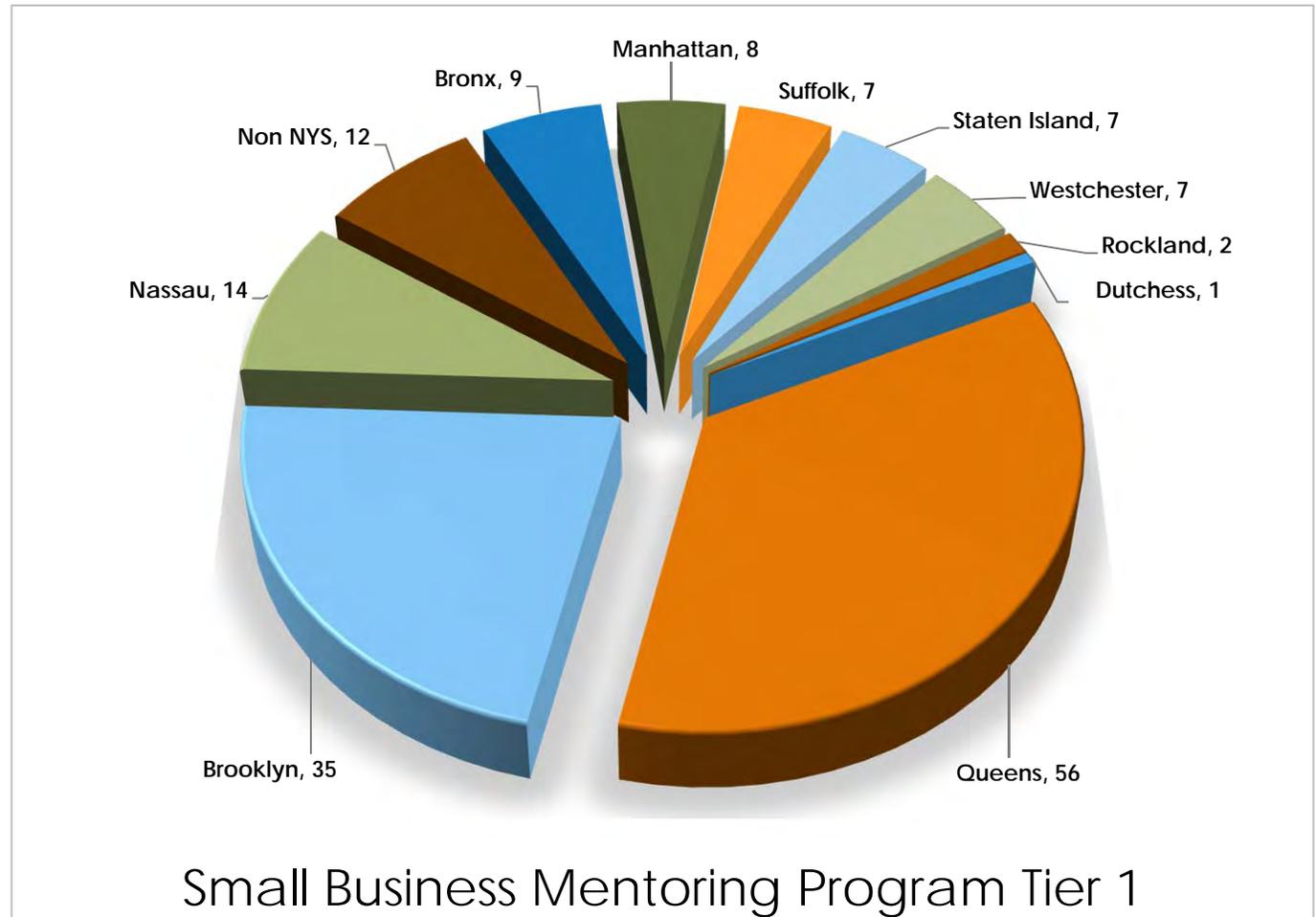
Certification *

| | |
|----------------------|-----------|
| MBE | 90 |
| WBE | 19 |
| DBE | 21 |
| Non-Certified | 58 |

* firms may have multiple certifications

Counties

| | |
|---------------|----|
| Queens | 56 |
| Brooklyn | 35 |
| Nassau | 14 |
| Non NYS | 12 |
| Bronx | 9 |
| Manhattan | 8 |
| Suffolk | 7 |
| Staten Island | 7 |
| Westchester | 7 |
| Rockland | 2 |
| Dutchess | 1 |

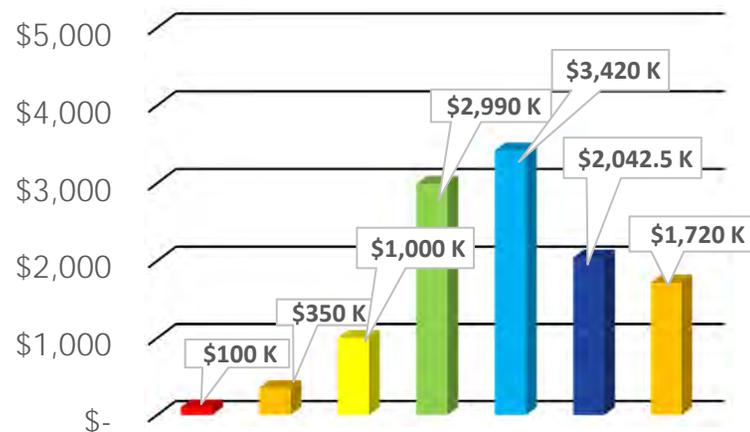
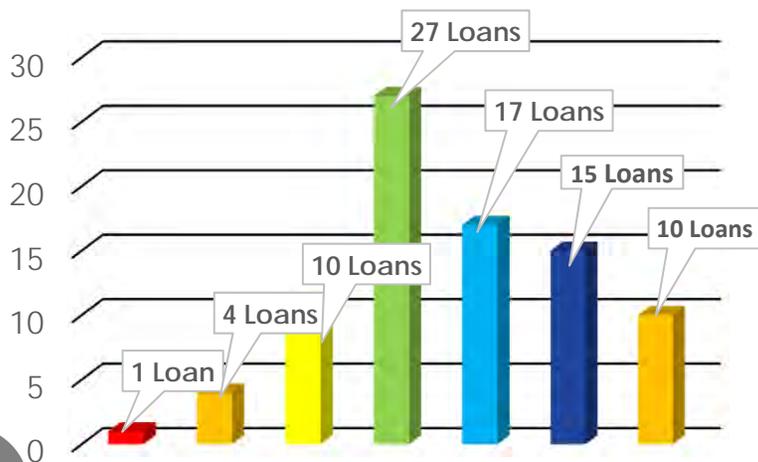


SBDP Loan Program

| | | | | | |
|---|--------------|---|-----------------|---------------|-----------------------|
|  | Year 1 | - | 1 Loan | totaling | \$100,000 |
|  | Year 2 | - | 4 Loans | totaling | \$350,000 |
|  | Year 3 | - | 10 Loans | totaling | \$1,000,000 |
|  | Year 4 | - | 27 Loans | totaling | \$2,990,000 |
|  | Year 5 | - | 17 Loans | totaling | \$3,420,000 |
|  | Year 6 | - | 15 Loans | totaling | \$2,042,500 |
|  | Year 7 | - | 10 Loans | totaling | \$1,720,000 (to date) |
|  | Total | | 84 Loans | Totals | \$11,622,500 |

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

Loan values shown are through February 1, 2017



Small Business Development Program

Small Business Mentoring Program-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

Small Business Mentoring Program-Tier 2 MWBE Accomplishments

- ❑ MTA 30% MWBE Goal
- ❑ 71% of all contracts were awarded to NYS Certified MWBEs
- ❑ 77% of all contracts dollars were awarded to NYS Certified MWBEs

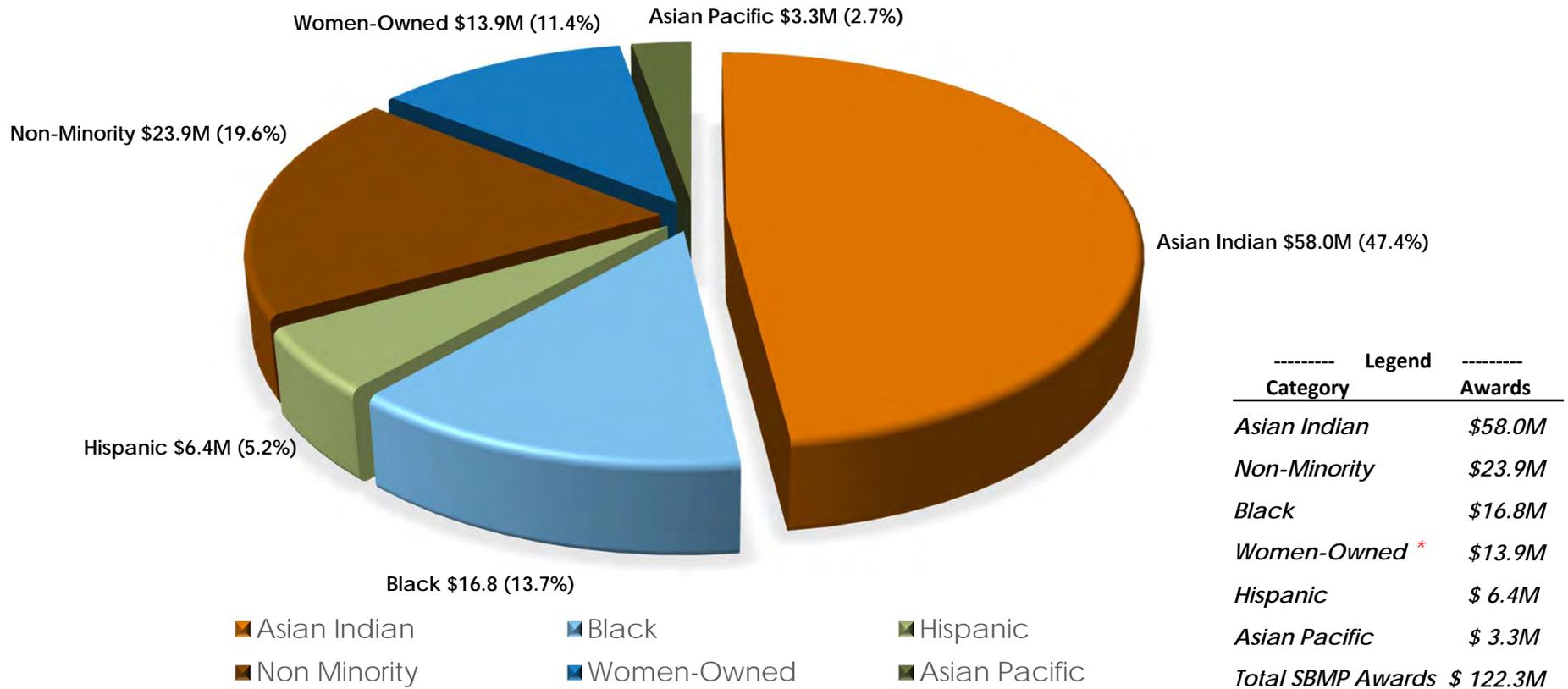
Small Business Federal Program DBE Accomplishments

- ❑ 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

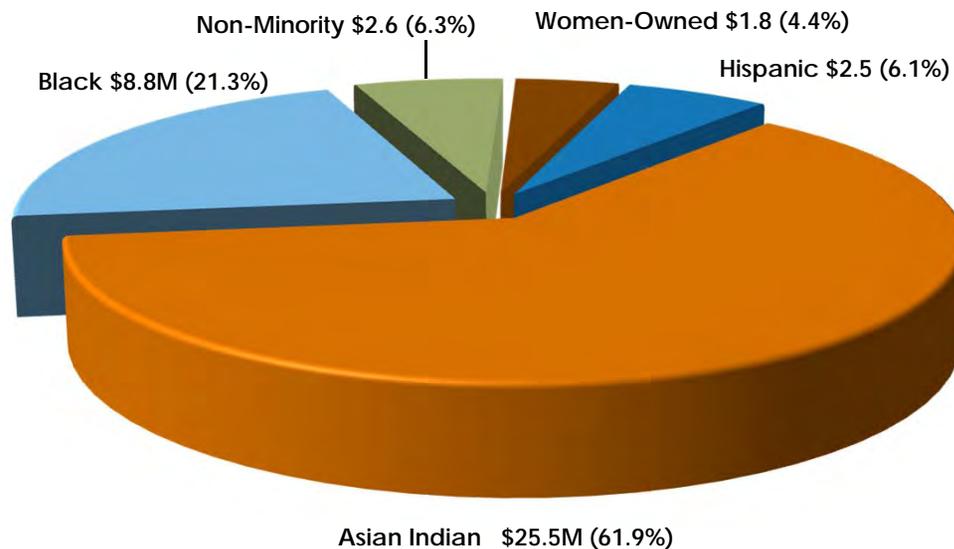


** All ethnic owned WBEs are categorized within their respective ethnic group.*



SBDP Contract Awards

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



| Category | Awards |
|----------------------------|----------------|
| Asian Indian | \$25.5M |
| Black | \$ 8.8M |
| Non-Minority | \$ 2.6M |
| Hispanic | \$ 2.5M |
| Women-Owned * | \$ 1.8M |
| Asian Pacific | \$ -0- M |
| Total TIER 2 Awards | \$41.2M |

■ Asian Indian
 ■ Black
 ■ Non-Minority
 ■ Women-Owned
 ■ Hispanic

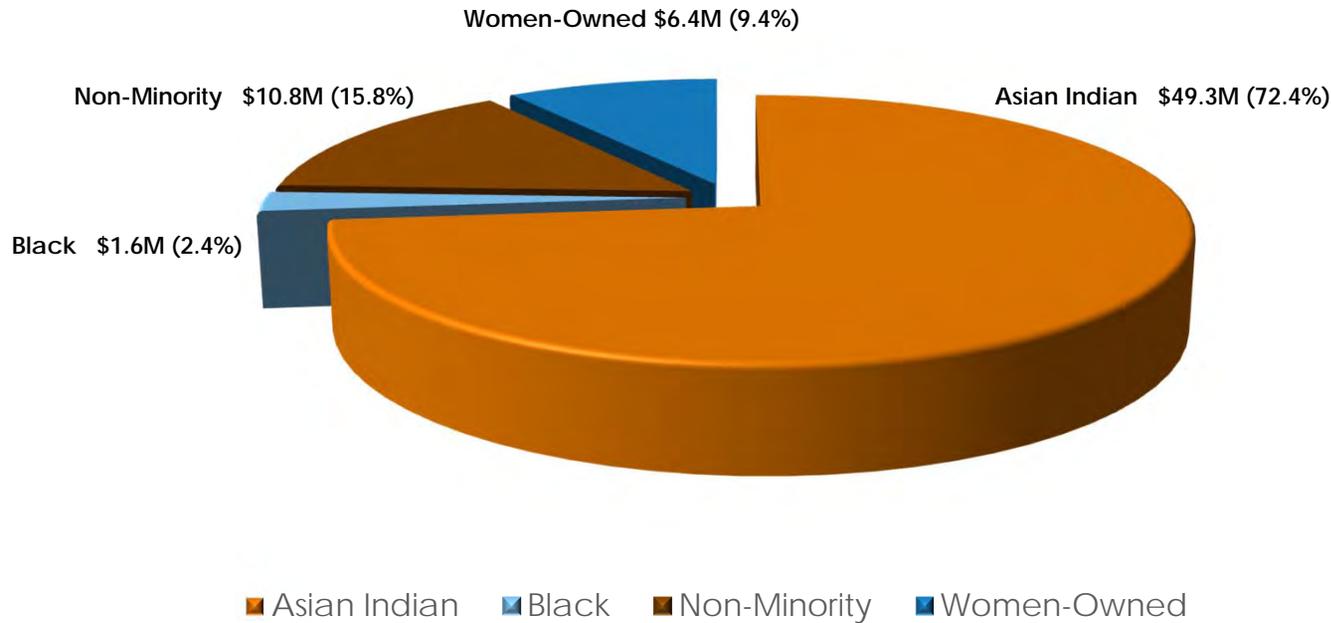
** All ethnic owned WBEs are categorized within their respective ethnic group.*



Contract Awards through February 1, 2017

SBDP Contract Awards

Contract Awards in SBFP by Ethnic/Gender Category



| Category | Awards |
|--------------------------|----------------|
| Asian Indian | \$49.3M |
| Non-Minority | \$10.8M |
| Women-Owned * | \$ 6.4M |
| Black | \$ 1.6M |
| Hispanic | \$ -0-M |
| Asian Pacific | \$ -0-M |
| Total SBFP Awards | \$68.1M |

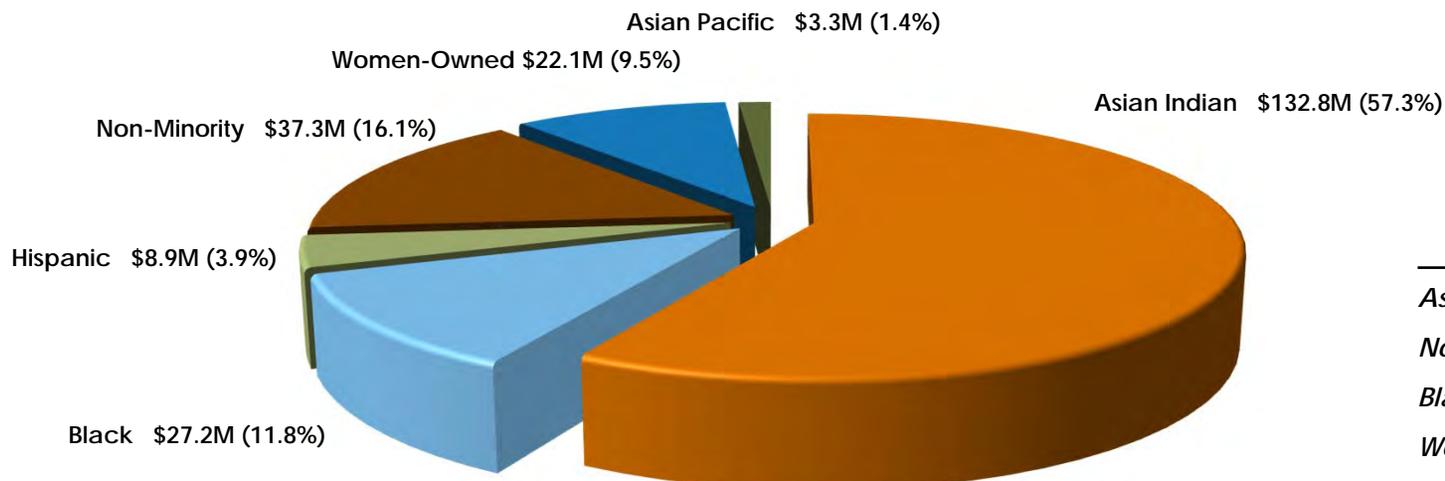
** All ethnic owned WBEs are categorized within their respective ethnic group.*

Contract Awards through February 1, 2017



SBDP CONTRACT AWARDS

Total SBDP Contract Awards by Ethnic/Gender Categories



| Category | Awards |
|--------------------------|-----------------|
| Asian Indian | \$132.8M |
| Non-Minority | \$ 37.3M |
| Black | \$ 27.2M |
| Women-Owned * | \$ 22.1M |
| Hispanic | \$ 8.9M |
| Asian Pacific | \$ 3.3M |
| Total SBDP Awards | \$231.6M |

- Asian Indian
- Black
- Hispanic
- Non-Minority
- Women-Owned
- Asian Pacific

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



Contract Awards through February 1, 2017

SBDP Jobs Created

| | | |
|-------------------|-------------|------------------------------|
| ☐ PY' 10 – PY' 16 | SBMP-Tier 1 | Awards total \$122.3 Million |
| ☐ PY' 15 – PY' 16 | SBMP-Tier 2 | Awards total \$41.2 Million |
| ☐ PY' 13 – PY' 16 | SBFP | Awards total \$68.1 Million |

5,558* 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 | 31 firms | <input type="checkbox"/> 13 Black |
| | | <input type="checkbox"/> 5 Asian Indian |
| | | <input type="checkbox"/> 5 Hispanic |
| | | <input type="checkbox"/> 7 Other |
| | | <input type="checkbox"/> 1 Asian Pacific |

| | | |
|----------------------------------|--------|--|
| <input type="checkbox"/> Pending | 1 firm | <input type="checkbox"/> 1 Black |
| | | <input type="checkbox"/> 0 Hispanic |
| | | <input type="checkbox"/> 0 Asian Indian |
| | | <input type="checkbox"/> 0 Other |
| | | <input type="checkbox"/> 0 Asian Pacific |



WHAT'S NEW AT THE SBDP?

Spring 2017 Semester of Training in Planning Stages

- ❑ Branded presentation materials
- ❑ Case study in development
- ❑ Introduction of new topics

The contractor pool continues to grow

- ❑ 31 Emerging Contractors, 1 pending application review
- ❑ 158 Tier 1, 49 Tier 2 and 46 in SBFP with 37 pending applications
- ❑ Ongoing outreach efforts continue to generate interest and excitement
- ❑ Targeted outreach to the SDVOB contractor community to increase SBDP participants

Scope B Activities

- ❑ Assessments of contractors
- ❑ Outreach and networking events
- ❑ Enhanced communications with SBDP participants



ASSESSMENTS AND ACTION PLANS IN PROGRESS

- ❑ Purpose of the Assessment and Planning Process
 - ❑ Establish current situation and creation of a road map to growth
- ❑ Emerging Contractors are the initial group
 - ❑ 25 of 31 initial assessments complete
- ❑ 2 parts to the Assessment
 - ❑ Electronic surveys
 - ❑ In-person meetings – scheduled to begin January 31st with Emerging Contractors
- ❑ 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!



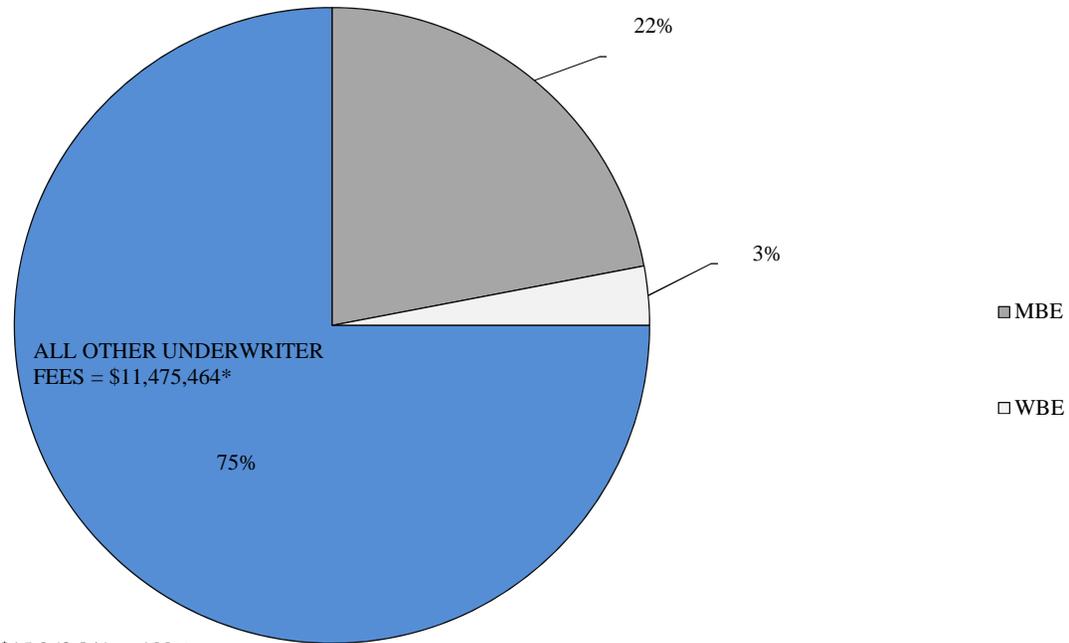
Metropolitan Transportation Authority Department of Diversity and Civil Rights

Financial Services

February 21, 2017



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



Total Underwriter Fees = \$15,263,841 or 100%
Actual MBE Participation = \$3,306,382 or 22%
Actual WBE Participation = \$481,994 or 3%

* This figure includes \$808,475 (5.30%) paid to SDVOB firms.

Metropolitan Transportation Authority
Department of Diversity and Civil Rights

Asset Fund Manager

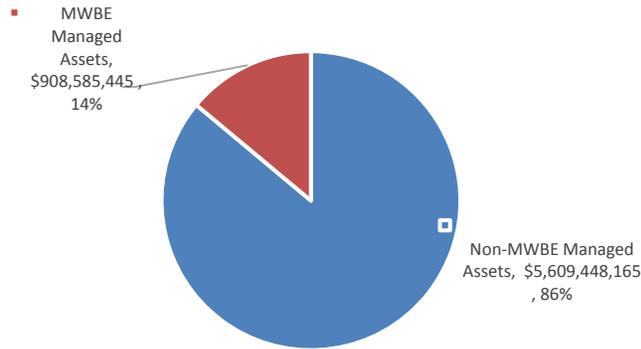
February 21, 2017



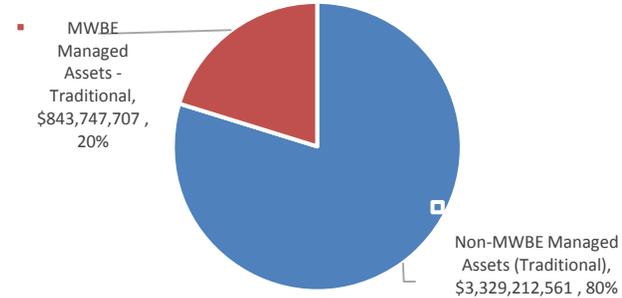
MTA Sponsored Plans – MWBE Participation

As of December 31, 2016

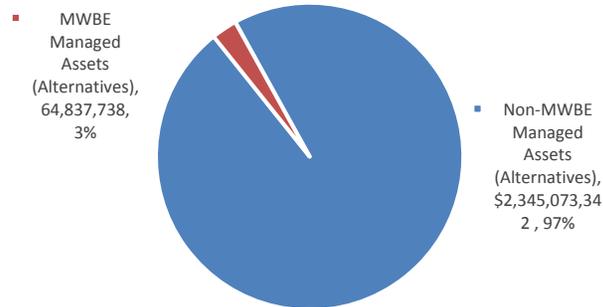
Combined Plans - Total Assets



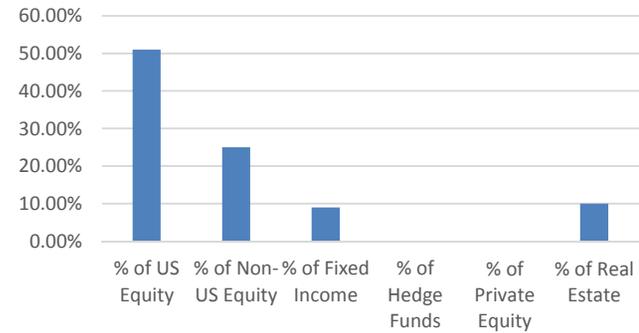
Combined Plans - Traditional Investments



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 2016 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 43 MWBE hedge funds have taken place in 2016, with a focus on global macro and long/short equity strategies.

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

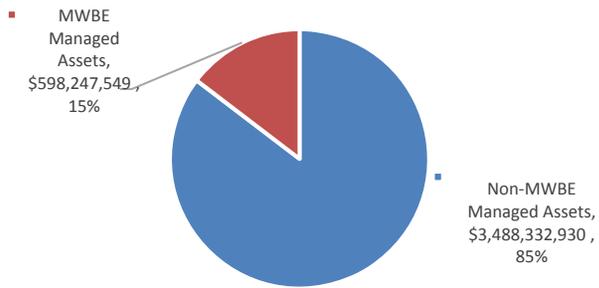
Real Estate - Currently staging into MWBE managed real estate investment, representing 1% of plan assets and 20% of real estate allocation. Investment should be funded by middle of 4Q16



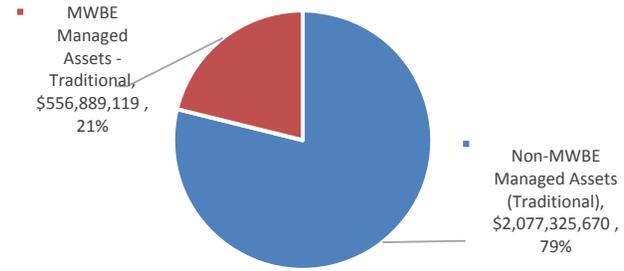
MTA Sponsored Plans – MWBE Participation

As of December 31, 2016

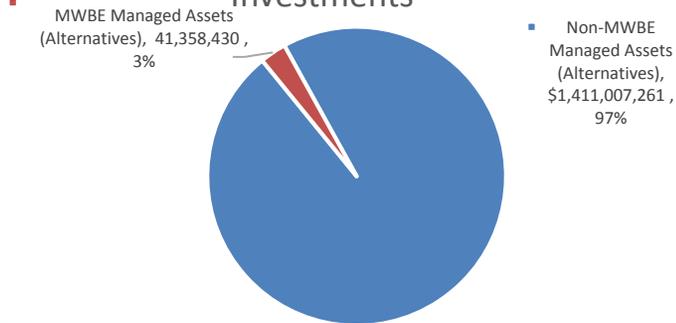
MTA Defined Benefits - Total Assets



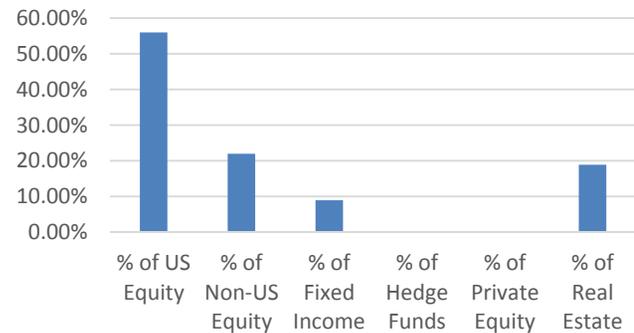
MTA Defined Benefits - Traditional Investments



MTA Defined Benefits - Alternative Investments



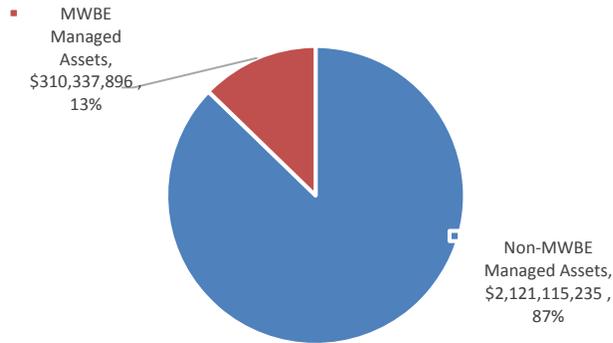
MWBE Managed Assets by Asset Class



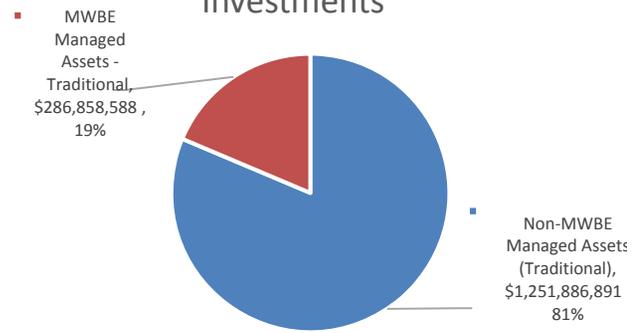
MTA Sponsored Plans – MWBE Participation

As of December 31, 2016

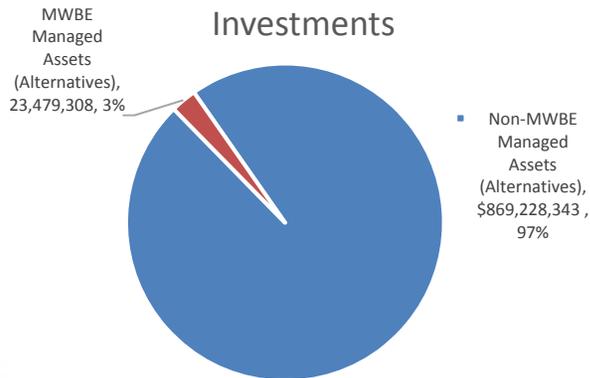
MaBSTOA - Total Assets



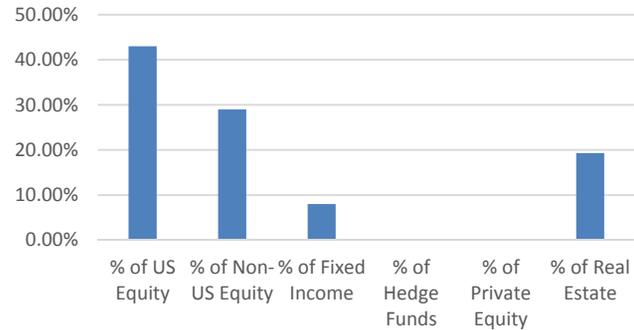
MaBSTOA - Traditional Investments



MaBSTOA - Alternative Investments



MWBE Managed Assets by Asset Class



MTAHQ POLICY

EQUAL EMPLOYMENT OPPORTUNITY

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

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

All employees and applicants for employment shall be protected from retaliation or harassment for filing a complaint or participating in an investigation of a complaint. Reprisal against or interference with an employee’s or applicant’s right to file a complaint concerning such matters constitutes a violation of this Policy. The MTA is committed to providing reasonable accommodations to applicants and employees who need them because of a disability or pregnancy-related condition, or to practice or observe their religion, absent undue hardship.

Michael J. Garner, Chief Diversity Officer, is responsible for coordinating the MTA’s equal employment opportunity program. If you believe you have been subjected to a violation of this Policy in your employment or application for employment, you may contact your immediate supervisor, a higher level supervisor or Mr. Garner at 2 Broadway, 16th Floor, New York, NY 10004. Mr. Garner can be reached by telephone at (646) 252-1385.

MTAHQ POLICY

EQUAL EMPLOYMENT OPPORTUNITY (Continued)

A supervisor who receives a complaint under this Policy should immediately contact Mr. Garner. If you wish to file a complaint, you should contact Mr. Garner at the above address or phone number. In addition, an employee or an applicant for employment may contact the Department of Diversity and Civil Rights at (646) 252-1373 in order to file a complaint. The Department of Diversity and Civil Rights will promptly initiate a thorough and impartial inquiry.

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

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

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

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

Veronique Hakim
Interim Executive Director

MTAHQ POLICY

SEXUAL AND OTHER DISCRIMINATORY HARASSMENT

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

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

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

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

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

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

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

MTAHQ POLICY

SEXUAL AND OTHER DISCRIMINATORY HARASSMENT (Continued)

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

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

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

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

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

MTAHQ POLICY

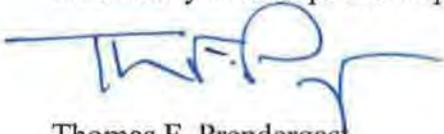
SEXUAL AND OTHER DISCRIMINATORY HARASSMENT (Continued)

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

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

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

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



Thomas F. Prendergast
Chairman and Chief Executive Officer

MTAHQ POLICY

AMERICANS WITH DISABILITIES ACT

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

To request a reasonable accommodation for a disability or pregnancy-related condition relating to your employment or application for employment with the MTA, please contact Michael Kalish, Director, Human Resources, MTA Human Resources Department, 2 Broadway, 4th Floor New York, NY 10004, at (212) 878-1036.

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

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

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

The MTA Equal Employment Opportunity Policy also contains pertinent information relating to claims of discrimination.

MTAHQ POLICY

AMERICANS WITH DISABILITIES ACT (Continued)

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

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Veronique Hakim
Interim Executive Director