



**Metropolitan Transportation Authority**

# **Diversity Committee Meeting**

## **May 2017**

---

### **Committee Members**

J. Molloy, Chairman

D. Jones

S. Metzger

P. Ward

N. Zuckerman

**Diversity Committee Meeting**  
**2 B Roadway- 20th Floor Board Room New York, NY 10004**  
**Monday, 5/22/2017**  
**2:45 - 3:45 PM ET**

**1. PUBLIC COMMENT PERIOD**

**2. APPROVAL OF MINUTES-DECEMBER 12, 2016 AND FEBRUARY 21, 2017**

*Diversity Committee Meeting Minutes- December 12, 2016 - Page 4*

*Diversity Committee Meeting Minutes February 21, 2017 - Page 9*

**3. 2017 DIVERSITY COMMITTEE WORK PLAN**

*2017 Diversity Committee Work Plan - Page 18*

**4. EXECUTIVE SUMMARY**

*Executive Summary - Page 22*

**5. BUSINESS AND DIVERSITY INITIATIVES**

*Business and Diversity Initiatives - Page 34*

**6. DBE CERTIFICATION ACTIVITY REPORT**

*DBE Certification Activity Report - Page 37*

**7. FIRST QUARTER 2017 EEO ACTIVITIES**

*First Quarter 2017 EEO Activities - Page 39*

**8. ACTION ITEM- TITLE VI PROGRAM APPROVAL**

*MTA's Title VI Program Presentation - Page 50*

*Staff Summary: 2017 Title VI Program - Page 58*

**9. M/W/DBE CONTRACT COMPLIANCE FIRST QUARTER 2017 REPORT**

*M/W/DBE Contract Compliance 1st Quarter 2017 - Page 60*

**10. M/W/DBE CAPITAL PROJECTS**

*M/W/DBE Capital Projects - Page 86*

**11. SMALL BUSINESS DEVELOPMENT PROGRAM UPDATE**

*Small Business Development Program Update - Page 89*

**12. FINANCIAL SERVICES**

*Financial Services - Page 104*

### **13. ASSET FUND MANAGERS**

*Asset Fund Managers - Page 106*

## **MTA DIVERSITY COMMITTEE**

Meeting Minutes

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

## **MTA DIVERSITY COMMITTEE**

Meeting Minutes

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

New York, NY 10004

Monday, February 21, 2017

2:15 p.m.

The following Committee members was present:

Hon. John Molloy, Chairman

The following Committee members were absent:

Hon. David Jones

Hon. Susan G. Metzger

Hon. Peter Ward

Hon. Neal Zuckerman

The following were also present:

Veronique “Ronnie” Hakim, MTA Interim Executive Director

Michael Horodniceanu, President, MTA Capital Construction (“CC”)

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

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

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

Stephen Vidal, Interim President, MTA Bus

Tim Mulligan, Executive Vice President, MTA New York City Transit (“NYC Transit”)

Michael Garner, MTA Chief Diversity Officer, MTA Department of Diversity and Civil Rights (“DDCR”)

John Kennard, Vice President, Capital Programs, MNR

Bruce Pohlot, Senior Vice President, Engineering, LIRR

Sean Crawford, MTA Chief Investment Officer

Michael Kalish, Director, MTA Human Resources Department (“HR”)

Owen Monaghan, Chief of Police, MTA Police Department (“MTAPD”)

Naeem Din, Deputy Chief Diversity Officer, DDCR

Gwen Harleston, Deputy Chief Diversity Officer, 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 Chief Diversity Officer, Small Business Development Program (“SBDP”), DDCR

Zenaida Rodriguez, Assistant Director, Business and Diversity Initiatives, DDCR

Ron McCune, Assistant Director, Certification, DDCR

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

MTA Diversity Committee Meeting Minutes, Monday February 22, 2017

David Sang, Manager, EEO, DDCR  
Joel Andrews, Chief Officer, Office of EEO, NYC Transit  
Michael Fyffe, Director, Diversity Management, LIRR  
Shawn Moore, Chief EEO Officer, B&T  
Robert Rodriguez, Director, Diversity and Equal Opportunity, MNR  
Natalie Mason-Kinsey, Chief Officer, EEO, MTA Bus  
Margaret Willens, Audit Manager, MTA Office of Inspector General  
Christine Norman, Manager, MWDBE Procurement Compliance, MNR  
Alana Smith, Manager, Statistical Analysis/Compliance, MNR

### **Public Speakers**

There were no public speakers.

### **Approval of Minutes**

A vote on the minutes of the meeting held on December 12, 2016 will take place at the following Diversity Committee meeting.

### **2017 Diversity Committee Work Plan**

Chairman Molloy asked if there were any changes to the Work Plan. Mr. Din noted the following changes: DDCR will present MTA's Title VI Program for the Committee's review and approval in May 2017, and Diversity Committee Charter review will take place in September 2017.

### **Executive Summary**

#### **Business and Diversity Initiatives**

Mr. Din provided an update on various events that DDCR has organized, and has attended to reach out to MWDBEs, Service Disabled Veteran-Owned Businesses ("SDVOBs"), and other small businesses.

#### **Certification Activity Report**

Mr. Din reported on the DBE certification activity for the fourth quarter of calendar year 2016. Mr. Din stated that for the reporting period, 120 applications were received in 2016. He said this number is higher, compared to the previous two years. He said a total of 134 applications for DBE certification were processed. He said this number is also higher, compared to the previous two years. Mr. Din said a total of 526 firms have been certified for the period 2009-2016. He added that of this total, 113 firms have received federally-funded prime and subcontracts, with aggregate value exceeding \$800 million.

Mr. Garner said the MTA intends to integrate newly certified MWDBEs into the business practices at each of its agencies. He said \$1 billion has been awarded in both prime and subcontract to certified DBEs.

## **Fourth Quarter 2016 EEO Activities**

Mr. Din reported that the MTA's overall workforce is comprised of over 72,000 employees; of which over 12,700 (18%) are women, and over 48,800 (68%) are minorities. Additionally, Mr. Din said over 1,500 (2%) of the employees are veterans. Mr. Din also provided a breakdown of MTA's overall workforce by MTA agency and protected groups.

Mr. Din also reported that MTA hired 6,278 new employees, of which 1,505 (24%) are women, 4,769 (76%) are minorities, and 214 (3%) were veterans.

Mr. Din said that MTA and its agencies handled 549 EEO complaints; of which 353 were internal, and 196 were external complaints. He said MTA and its agencies also handled 303 Title VI complaints.

## **Agency Strategies to Address Utilization**

Each MTA agency president or designee, and representatives from MTAHQ and MTAPD reaffirmed their commitment to diversity, and outlined their respective agency or department's efforts to increase representation of women and minorities, and efforts to increase contracting opportunities for small businesses, including MWDBEs and SDVOBs. They also reported on the representation of women and minorities in the current workforce, new hires and promotions. This information is stated in the Committee book and contained in the videotape of this meeting. The following is a summary of what was stated at the meeting.

### **MTA Headquarters ("MTAHQ")**

Mr. Garner discussed the strategies employed at MTAHQ. He said Ms. Brown was hired to provide leadership in the areas of EEO and Title VI compliance, and she is currently working with the agencies to ensure accuracy of workforce data. Mr. Garner added that DDCR is also working with MTA Human Resources and the MTA Chief of Staff to implement strategies to ensure that hiring, retention, and promotions are carried out in an inclusive manner.

Mr. Garner also complemented MTAHQ on its outstanding work in outreach and recruitment to ensure that relationships with outside groups are being established and maintained in order to ensure a diverse applicant pool.

### **MTAPD**

Chief Monahan reported that in March 2016 MTAPD processed remainder of the applicants from the 2012 police examination. He said MTAPD hired 63 police officers in 2016; these included 11 women, 17 minorities, and 4 veterans. He said in addition, 24 employees were promoted, including 3 women, and 7 minorities. He said in January 2017 an additional 44 police officers were hired. He said the new outreach initiatives include attendance at military job fairs, and extensive internal and external advertising, including social and print media. Chief Monahan said new outreach initiatives have resulted in an additional 22,404 applicants.

He said he has reviewed underutilization within his department with Michael Kalish and Lakisha Kaufman of HR. Chief Monahan said in 2017 MTAPD will again engage in broad-based advertising and community outreach. He said MTAPD will also offer a promotional examination in the fourth quarter of this year.

## **B&T**

Mr. Spero said B&T continues to engage in targeted recruitment and outreach efforts to increase representation of minorities and women in its workforce. He said in 2016 B&T launched several initiatives to identify employment opportunities for women and minorities in traditional and non-traditional roles. He said B&T staff also participated in several business outreach events in order to increase opportunities for MWDBEs and SDOBs, among other small businesses. He said these events included New York State 6<sup>th</sup> Annual MWBE Conference, MTA's Opportunity Day, and Veterans and Economic Transition Conference. Mr. Spero said B&T will launch a design inspection and engineering outreach event in 2017 to increase business opportunities for MWBE, and SDVOBs in support of MTA's Capital Program.

Mr. Spero also reported that B&T engaged in collaborative outreach efforts in order to provide greater networking opportunities. He stated that B&T will conduct a workforce climate survey to create strategies and make recommendations concerning recruitment, career development, retention, succession, planning, and quality of life concerns for women, minorities, veterans, and persons with disabilities.

Mr. Spero stated that B&T will establish a formal outreach effort to recruit interested staff to work on B&T's Enterprise Asset Management Program. He said B&T will provide female employees involved in this effort the opportunity to join other women in the reliability and asset management community with the goal of increasing female participation in engineering, maintenance, security, finance and operations at B&T. He said this will provide participants the participants the opportunity to network with their peers in the industry.

Mr. Spero also said that the implementation of open road cashless tolling and related initiatives agency-wide will require new, innovative ways of carrying out B&T's mission with particular focus on business process changes and supporting tools, systems, and technologies to enable the organizations to meet the challenges of managing new assets, and operating under a new business environment.

He said to ensure that the agency's objectives are being met, B&T created an HR committee to manage the transformative organizational and cultural impacts on B&T's workforce and the on-going need to incorporate diversity goals into the new business requirements.

## **CC**

Dr. Horodniceanu stated that CC mostly has engineering and construction management positions, for which national availability is as follows: women 13.4%, African Americans 5%, and Hispanics 6.2%. He said CC works hard to ensure that women, minorities, and veterans are recruited and retained in an inclusive manner. He said nearly 30% of job fairs that CC attended specifically targeted minorities, and over 40% targeted veterans.

Dr. Horodniceanu said CC will partner with other MTA agencies to share costs, resources and best practices in order to strengthen recruitment strategies that target women, minorities and veterans. He said CC is developing a program where managerial staff will mentor students with an emphasis on including females and minorities. He said CC is planning to attend about approximately 24 outreach events this year.

Regarding paid internships, Mr. Garner stated that 15 positions have been identified. He said he and Dr. Horodniceanu will be meet with the Chancellor of CUNY to create opportunities and to

ensure the students who reside in East Harlem or Spanish Harlem could, in association with City College, receive paid internships.

Chairman Molloy asked what efforts can be made to increase contracting opportunities for small businesses, including MWDBEs and SDVOBs. Dr. Horodniceanu said CC has limited construction opportunities at the moment. He said CC's two large projects are in design phase: MNR access to Pennsylvania Station, and the second phase of the Second Avenue subway. Dr. Horodniceanu also said that since most of CC procurements are federally funded, there are limited opportunities for MWBEs and SDVOBs. Hence he said there are no CC projects in the SBMP. Regarding the MTA Small Business Federal Program ("SBFP"), Dr. Horodniceanu said CC awarded a contract for furniture and equipment for \$1.6 million for a Second Avenue Subway project. He said other CC projects will be added to the SBFP.

## **NYC Transit**

Mr. Mulligan provided the strategies to address utilization for NYC Transit on behalf of Mr. Irick. He said NYC Transit aspires to be an employer of choice in decisions regarding employment, procurement, programs and services which are guided by three organizational values: excellence, equality, and inclusion.

Mr. Mulligan stated that NYC Transit has started numerous efforts as part of the strategic plan to integrate diversity and inclusion in all business practices. He said these initiatives were discussed at the December 2016 Committee Meeting. He reported that in September 2016, NYC Transit held an Open House for skilled trade workers, which attracted over 3,000 potential applicants. He said in October 2016, NYC Transit staff participated in the Circle of Sisters Forum, and both the MWBE Forum and the Veterans in Economic Transition Conference.

Mr. Mulligan said one of the 2017 initiative includes a virtual open house for certain hard to fill skilled trade positions, specifically targeting women and veterans. He said as part of an MTA-wide effort, NYC Transit is developing workplace guidelines regarding transgender employees. He said these guidelines will assist managers and supervisors in maintaining and promoting a respectful workplace.

## **MTA Bus**

Mr. Vidal said MTA Bus's three-prong approach to diversity includes management awareness, public outreach, and workforce development. He said the agency's senior leadership team will continue to work in conjunction with the agency EEO Office, DDCR, and NYC Transit in each of these areas to ensure the equitable representation and advancement of protected group members at all levels of employment, as well as utilization of women in the workforce, and the utilization of MWDBEs and SDVBOs in procurement activities. In addition, he said the MTA Bus leadership team will conduct various management training sessions in the areas of ethics, respectful workplace, and effective recruitment strategies among other topics in order to better inform managers and supervisors of the commitment to diversity and equal employment opportunity.

He said in 2016, MTA Bus tailored recruitment efforts and key outreach initiatives to attract and increase qualified group of minority applicants. He said as a result, minority groups represented 90% of the new hires in 2016. Mr. Vidal also reported that MTA Bus increased recruitment efforts and participation at Veterans Job Fairs. He said MTA Bus ensured that internal

applicants for promotional opportunities individually meet HR in order to discuss developmental needs and consider training options for continued growth and development.

Mr. Vidal said in 2017 MTA Bus' senior leadership team will identify departments, occupational titles and job categories that are experiencing underrepresentation, and will implement strategic recruitment initiatives. He said the results will be reported back to the Committee. Mr. Vidal added that MTA Bus recently hired a director of EEO outreach training and diversity who will coordinate this initiative.

Mr. Vidal concluded by saying that HR, in conjunction with the Office of Equal Opportunity will review and update the self-identification process for veterans and disabled employees and applicants.

## **LIRR**

Mr. Nowakowski said LIRR has continued to strive to build a diverse workforce by broadening the talent pool resulting in innovation, and benefitting the customers. He said LIRR wants to ensure that employees are given equal opportunity to maximize their potential and establish successful careers. He said Diversity Management closely collaborates with all LIRR departments, including HR, on all new hires and promotions.

Mr. Nowakowski said on an annual basis, Diversity Management develops goals to address underutilization. He said progress reports are prepared on a quarterly basis to allow management to gauge success. He said in addition Diversity Management reviews all applicants to ensure candidate pools are diverse, and concurs with every non-representative new hire and promotion in accordance with the FTA and U.S. Department of Transportation requirements. He said LIRR looks forward to working closely with outside organizations to increase female and minority representation.

Mr. Nowakowski added that LIRR has designed workshops to prepare and assist employees seeking advancement, including effective resume writing, interviewing techniques and mock interviews. He said in 2017 LIRR will continue to attend career events, veterans' job fairs, and will take part in MTA all-agency veterans recruiting initiatives to distribute job postings to 1,700 services members and over 200 military liaisons.

He also said that there has been an increase in participation of small businesses in LIRR procurement activities through extensive outreach. He said in 2016, LIRR partnered with Farmingdale State College and the Small Business Development Center to host an MWBE outreach event, attended by over 70 Long Island-based businesses. He said in addition, LIRR participated in the Veterans and Economic Transition Conference (VETCON).

Chairman Molloy asked what efforts can be made to increase contracting opportunities for small businesses, including MWDBEs and SDVOBs. Mr. Nowakowski said LIRR is committed to meeting the agency's MWDBE and SDVOB goals. He said with the approval of MTA's Capital Plan, LIRR will now move forward to award projects which will afford opportunities for MWDBEs and SDVOBs.

Mr. Nowakowski also said that LIRR actively participates in programs administered by DDCR to encourage participation in procurement activities by MWDBEs and SDVOBs. He said in order to improve SDVOB participation, in 2017 LIRR will begin to educate vendors about the State's SDVOB initiative, and to encourage potential SDVOB firms to become certified. Mr.

Nowakowski added that LIRR will continue to assess discretionary procurements in order to increase MWBE participation.

## **MNR**

Mr. Giuliatti recognized Mr. Rodriguez, and Katherine Betries-Kendall, vice president for HR, for their collaborative efforts in ensuring a diverse workforce. He discussed MNR's 2016 key accomplishments and best practices. He reported that through MNR's Associate Engineer Program, 18 graduates from public, private, local and out of state colleges/universities were hired in 2016, including 8 minorities and 5 females. He said that represents an increase from 2015, when 3 females were hired. Mr. Giuliatti said the engineering graduates are viewed as potential future leaders of the agency. He reported that MNR's 2016 goal to increase representation of women and minorities in leadership ranks has been met. He said the representation of women on the leadership team increased by 3 new members, of which two are African Americans and one is Hispanic.

Mr. Giuliatti also reported that contract awards to certified MWDBEs have continued to steadily increase each year as a result of agency initiatives. He said discretionary awards for 2016 have already exceeded the 2015 figures by \$2 million.

Mr. Giuliatti said in 2016 HR created Outreach Field Day to reach out to our female workforce and to offer advice on career advancement. He said MNR assisted them with resume development, coaching on interviewing skills, and informing them about upcoming job opportunities. Mr. Giuliatti said this popular initiative will continue in 2017. He also reported that MNR's Women's Book Club kicked off in May 2016 and will continue to meet this year. He said the Club primarily focuses on books that cover the career history and topics involving women in the workplace.

He said MNR also expanded its media and community outreach to the LGBT community by advertising job opportunities in targeted LGBT publications and job sites. He said MNR also instituted mandatory transgender/gender awareness training in order to promote an inclusive and positive work environment. He said over 800 employees were trained in 2016.

Mr. Giuliatti said MNR partnered with DDCR to host a business and employment outreach event for the Orange County Chamber of Commerce, which was attended by Ms. Metzger. He said approximately 51 businesses also attended this event. Mr. Giuliatti said HR, Diversity and Equal Opportunity, Procurement, and MTAPD also attended this event.

Mr. Giuliatti said in order to increase minority, including Hispanic representation in the workforce, MNR is targeting minority communities. He said, MNR will also be sponsoring and attending a bilingual job fair in New York City on April 20, 2017; this is hosted by the National Society for Hispanic Professionals (NSHP), LatPro and Diversityjobs. Mr. Giuliatti said this is one of the largest bilingual job fairs in the country.

To increase veteran representation, MNR partners with MTAHQ in attending job fairs and outreach events. By November 2017, MNR will have additional Lunch and Learn events targeting employees who are veterans; MNR will also hold its annual Veterans Day ceremony in Grand Central Terminal. He said the goal is to make MNR an employer of choice for veterans.

Chairman Molloy asked what efforts are being made to increase contracting opportunities for small businesses, including MWDBEs and SDVOBs. Mr. Garner said he met with Mr. Giuliatti

to identify projects for SBMP. Mr. Giuliatti said with the approval of the Capital Plan several projects will be awarded in 2018 that will afford opportunities for small businesses, including MWBEs and SDVOBs.

Mr. Giuliatti added that in December 2016, MNR awarded the Harlem 125<sup>th</sup> Street station stairs replacement and improvement project to Lighthouse Builders. He said MNR has also added projects to the SBMP.

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

Mr. Din reported that 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%), meeting MTA's overall DBE goal. He said a total of approximately \$419 million was paid to prime contractors in federally-funded contracts, with DBE participation of \$79 million (19%).

Mr. Din said the overall MWBE goal is 30%. He said 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%). He also reported that approximately \$1.3 billion was paid to prime contractors with MWBE participation of \$272.6 million (22%).

Mr. Garner reported that out of \$24 million paid in outside counsel fees, MWBE participation was 10%, which is below the overall 30% participation goal. He said he will reach out to MTA agency presidents and general counsels in order to establish strategies to meet the 30% MWBE participation goal.

Mr. Din said 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.

Mr. Din stated that DDCR has made great progress regarding site visits. He said staff conducted 914 site visits from the third quarter of 2015 through the fourth quarter of 2016. He said DDCR managers are required to perform at least 8 site visits per month on average.

Mr. Din said DDCR also closed 1,118 contracts for the reporting period with an additional 41 contracts in the process of being closed, and 55 contracts pending agency action. He said to date 1,129 contracts have been closed.

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

Mr. Din reported on MWDBE participation in MTA's Capital Projects. He said during calendar year 2016, approximately \$1.3 billion was awarded in federally-funded capital projects with \$217 million (17%) DBE participation. He said \$778 million was awarded in state-funded projects with \$92 million (12%) MBE participation, and \$83 million (11%) WBE participation; total MWBE participation is 23%.

### **SBDP Update**

Mr. Cleary reported that as of February 1, 2017, 158 firms prequalified for SBMP Tier 1, and 49 firms prequalified for Tier 2. He said since the inception of the program, 84 loans for \$11.6 million have been awarded, with total contract value of \$231.6 million.

MTA Diversity Committee Meeting Minutes, Monday February 22, 2017

Mr. Cleary also reported that 5,558 jobs were created as a result of the program. Additionally, he said 31 firms enrolled and one firm was pending approval in the Emerging Contractor Program, which started in September 2016.

Mr. Garner added that at the Black and Puerto Rican Caucus earlier in the month in Albany, the SBDP was the envy of both the City and the State of New York. He said the SBMP is vital for the MTA because it is the leading driver of contract awards to MWDBEs. He reported 77% MWBE participation in SBMP Tier 2, and 40% DBE participation in SBFP.

Mr. Garner commended MTA agencies on their hard work, and stated that SBDP has become a national model.

### **Financial Services**

Mr. Garner reported that \$15.3 million was awarded in underwriter fees for the first three quarters of state fiscal year 2016-2017, with MBE participation of \$3.3 million (22%), and WBE participation of \$482,000 (3%). Mr. Garner commended both Robert Foran, chief financial officer, and Patrick McCoy, director of finance for their outstanding efforts in increasing MWBE participation in this area.

### **Asset Fund Managers**

Mr. Crawford reported that total assets managed by MWBEs equal \$908.6 million (14%). He said total MWBE-managed assets grew by over \$72 million (8.6%) in the fourth quarter of 2016. He said a majority of these assets are in the traditional asset category.

Mr. Crawford said he is actively engaged with new investment consultants, industry groups, custodians, and brokers to increase MWBE participation. He said the key opportunities in 2017 will be in US Small Cap, Long/Short Equities, Global Macro, Emerging Markets, and High Yield Credit. Mr. Crawford added that MWBE participation in traditional investments is higher compared with City and State of New York.

### **MTA EEO Policies**

Mr. Din reported that the 2017 EEO Policies were in the process of being reviewed and approved by Ms. Hakim.

Ms. Hakim thanked the Chairman, MTA agency presidents, and Mr. Garner and his team for their leadership in increasing diversity and contracting opportunities for small businesses, including MWBEs and SDVOBs. She said she was encouraged by what was reported at the Committee meeting and we should stay the course. Mr. Garner thanked Ms. Hakim and the Board for their support. He said MTA ranks one among state agencies and authorities in MWBE participation. He also thanked DDCR staff for their hard work.

### **Adjournment**

Chairman Molloy concluded the meeting, and 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**

#### Responsibility

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

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

#### Responsibility

#### February 2017

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

#### May 2017

1st Quarter 2017 Report	Dept. of Diversity/Civil Rights
Review and Approval of MTA's Title VI Program	Committee Chair & Members

#### September 2017

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
MTA DBE Goal for FFYs 2018-2020	Dept. of Diversity/Civil Rights

#### December 2017

3 <sup>rd</sup> 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 Program 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**

### 1<sup>st</sup> Quarter 2017 Report

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

### Review and Approval of Title VI Program

The Department of Diversity and Civil Rights will present for review and approval MTA's Title VI Program.

## **September 2017**

### 2<sup>nd</sup> Quarter 2017 Report

The Department of Diversity and Civil Rights will present 2<sup>nd</sup> 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.

### DBE Goal for FFYs 2018-2020

The Department of Diversity and Civil Rights will present MTA's DBE Goal for Federal Fiscal Years (FFYs) 2018-2020.

## **December 2017**

### 3<sup>rd</sup> Quarter 2017 Report

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

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

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

#### 2018 Diversity Committee Work Plan

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

# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## Executive Summary

May 22, 2017



# Executive Summary

- **Business and Diversity Initiatives** (full report on page 34)
  - DDCR continues to attend various events to reach out to minority-owned, women-owned, and Service Disabled Veteran-Owned Businesses ("SDVOBs").
  
- **Certification Activity Report** (full report on page 37)
  - A total of 35 applications for DBE certification were received. The number of new applications is higher than the previous two years during the same period.
  - A total of 42 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.



# Executive Summary

## ■ EEO(full report on page 39)

- MTA's overall workforce is currently comprised of **72,728** employees, of which **12,878 (18%)** are Females;\* **49,316 (68%)** are Minorities; and **1,812 (2%)** are Veterans.\*\*
- The percentage of Females in the workforce has **increased** by **5% (579)** as compared to the first quarter 2016. As it relates to Race/Ethnicity, the percentage of minorities has **increased** by **4% (1,948)** compared to the first quarter 2016.
- MTA hired **1,908** employees, of which **436 (23%)** were Females;\* **1,487 (78%)** were Minorities; and **54 (3%)** were Veterans.
- MTA and its Agencies handled a total of **356** EEO complaints, of which **193** were internal and **163** were external.
- MTA and its Agencies handled a total of **205** Title VI complaints.

\*Includes minorities, non-minorities, and veterans

\*\* Includes minorities and non-minorities



# Executive Summary

- The table below is a snapshot as of **March 31, 2017** of each agency's number 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	1,434	322	22%	649	45%	785	55%	368	26%	255	18%	103	7%	4	0%	1	0%	54	4%	94	7%
BUS	4,121	523	13%	976	24%	3145	76%	1,858	45%	787	19%	331	8%	9	0%	14	0%	146	4%	36	1%
CCC	136	44	32%	61	45%	75	55%	22	16%	12	9%	38	28%	1	1%	0	0%	2	1%	2	1%
HQ	2,634	866	33%	1199	46%	1435	54%	589	22%	329	12%	403	15%	7	0%	2	0%	105	4%	52	2%
LIRR	7,218	1,083	15%	4654	64%	2564	36%	1,255	17%	804	11%	285	4%	23	0%	3	0%	194	3%	509	7%
MNR	6,636	854	13%	4150	63%	2486	37%	1,372	21%	690	10%	204	3%	25	0%	1	0%	194	3%	584	9%
NYCT	50,549	9,186	18%	11723	23%	38826	77%	23,502	46%	8,202	16%	5,808	11%	93	0%	21	0%	1,200	2%	535	1%
Total	72,728	12,878	18%	23,412	32%	49,316	68%	28,966	40%	11,079	15%	7,172	10%	162	0%	42	0%	1,895	3%	1,812	2%

\*Numbers are calculated based on the total number of employees by agency.  
All percentages have been rounded up to the nearest whole number.



# Executive Summary

- **Title VI Program** (full report on page 50)
  - **Title VI of the Civil Rights Act of 1964**, prohibits discrimination on the basis of race, color, or national origin in any program or activity that receives Federal funds or other Federal financial assistance.
  - Because MTA includes federally-funded agencies, MTA must submit an agency-wide consolidated Title VI Program every three years to the Federal Transit Administration (FTA) concerning those federally-funded agencies.
  - MTA agencies that receive federal funding must submit their Title VI Program to the Department of Diversity and Civil Rights (DDCR) annually.



# Executive Summary

- **MWDBE Contract Compliance** (full report on page 60)
  - For the first six months of the Federal Fiscal Year 2017, MTA and its agencies awarded approximately **\$404 million** in federally-funded portion of contracts, with DBE participation of **\$72 million (18%)**. The overall DBE goal is **17%**. A total of **\$543 million** was paid to prime contractors in federally-funded contracts, with DBE participation of **\$147 million (27%)**.
  - The overall MWBE goal is **30 %**. For New York State fiscal year 2016-2017, approximately **\$2 billion** was awarded in state-funded contracts, with MWBE participation of **\$316 million (16%)**. Approximately **\$2 billion** was paid to prime contractors with MWBE participation of **\$387 million (23%)**.
  - For discretionary procurements, out of a total of approximately **\$38 million**, with a value of **\$400,000 or less**, **\$11 million (30%)** was awarded to MWBEs, and **\$1million (3%)** was awarded to Small Business Concerns.



# Executive Summary

- MWBE law firms received \$3 million (10%) out of a total of \$31 million paid in outside counsel fees.
- DDCR conducted 1,070 site visits from the third quarter of 2015 through the first quarter of 2017. On average eight site visits per manager per month are conducted. As of March 31, 2017, DDCR has closed 1,139 contracts, with an additional 58 contracts in the process of being closed, and 62 contracts pending agency action.



# Executive Summary

- **MWDBE Capital Projects** (full report on page 86)
  - During the first quarter of calendar year 2017, approximately **\$40 million** was awarded in federally-funded capital projects, including **\$11 million (28%)** awarded to DBEs. **\$71 million** was awarded in state-funded capital projects, including **\$12 million (17 %)** awarded to MBEs, and **\$9 million (13%)** awarded to WBEs. The total MWBE participation is **30%**.



# Executive Summary

- **Small Business Development Program Update** (full report on page 89)
  - 173 firms prequalified for Tier 1 of the Small Business Mentoring Program
  - 53 Firms prequalified for Tier 2 of the Small Business Mentoring Program
  - 36 firms prequalified for the Small Business Federal Program
  - 87 loans for \$11.7M from inception to date
  - \$234.7M in total contract awards
  - 5,680 jobs created within the Small Business and MWDBE community
  - 42 firms prequalified for the Emerging Contractor Program
  - Business assessments in progress with the Emerging Contractors



Summary through April 30, 2017

# Executive Summary

- **Financial Services** (full report on page 104)
  - For underwriter fees, for New York State fiscal year 2016-2017, **\$16 million** was awarded in underwriter fees. MBE participation was approximately **\$4 million (25%)**, and WBE participation was **\$1.5 million (9%)**. An additional **\$842,684 (5%)** was paid to SDVOBs.



# Executive Summary

- **Asset Fund Managers – MWBE Participation Combined Plans** (full report on page 106)
  - Total assets managed by MWBEs are \$986.6 million or 14% of total assets
  - Total assets managed by MWBEs grew by over \$77.9 million or 8.6% in 1Q17
  - The majority of assets are in traditional asset classes
  - Traditional assets managed by MWBEs are \$915.0 million or 20%
    - MWBE firms manage
      - 51% of US Equities
      - 27% of Non-US Equities
      - 9% of Fixed Income



# Executive Summary

- Second MWBE investment in alternative investments approved in 1st quarter
  - Private equity fund received a \$25 million commitment from both Plans
- 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

May 22, 2017



# MTA Business & Diversity Initiatives Unit

## April 2017

DDCR Presents "DBE Certification Session"

Regional Alliance for Small Contractors Clearinghouse

2017 NYS Regional MWBE Opportunities Expo Series

DDCR Presents "New Firm Orientation Session"

New York School Construction Authority Minority/Women/Local Business Enterprise Networking & Marketing Forum

IT Discretionary Meeting

## May 2017

New Jersey Institute of Technology Procurement Technical Assistance Center Procurement & Matchmaking Conference

DDCR Presents "DBE Certification Session"

Harlem Business Alliance 36<sup>th</sup> Annual Awards Celebration

New York City Housing Authority 2017 MWBE/SBC Procurement Fair

Blue Book Building & Construction Network Showcase

General Contractors Association of NY Disadvantaged/Minority/Women Business Enterprise Networking Conference

DDCR presents "How to Do Business with the MTA" at the NY/NJ Minority Supplier Development Council Annual Meeting

9<sup>th</sup> Annual Transportation Diversity Council-Massachusetts Institute of Technology Transportation Infrastructure Summit



# MTA Business & Diversity Initiatives Unit

## **May 2017 (Continued)**

Women Builders Council 13<sup>th</sup> Annual Champion Awards Dinner

Power Women Awards and Business Networking Event

SOBRO M/WBE Community Partner Matchmaking Event

## **June 2017**

DBE Goal Setting Methodology Public Outreach Information Session

15<sup>th</sup> Annual La Guardia Business Services Government and Business Matchmaker

11<sup>th</sup> Annual Small Business Services M/WBE Procurement Fair

Annual NYNJ Minority Supplier Development Council Business Expo

DDCR presents "Doing Business With the MTA" - Rockland County Procurement Technical Assistance Center



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## DBE Certification Activity Report

May 22, 2017



# MTA DBE Certification Unit

## DBE CERTIFICATION APPLICATIONS RECEIVED FIRST QUARTER 2015-2017

	2017	2016	2015
JANUARY	13	5	4
FEBRUARY	8	11	6
MARCH	14	7	8
TOTAL	35	23	18

## DBE CERTIFICATION ACTIVITY FOR NEW APPLICATIONS FIRST QUARTER 2015-2017

	2017	2016	2015
CERTIFIED	16	17	11
DENIED	0	2	1
RETURNED	18	8	3
WITHDRAWN	8	2	5
TOTAL	42	29	20



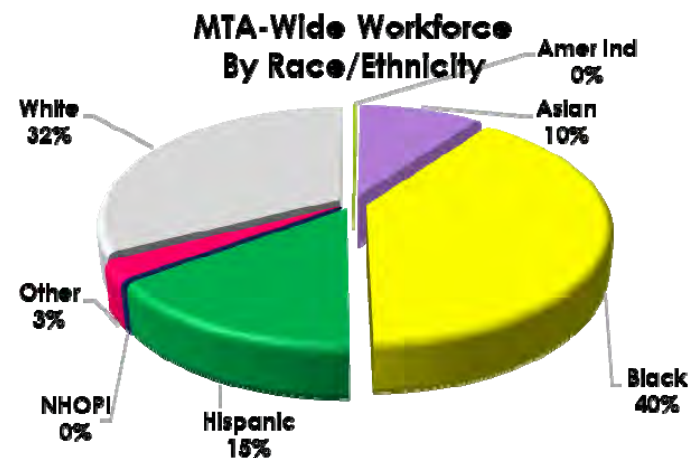
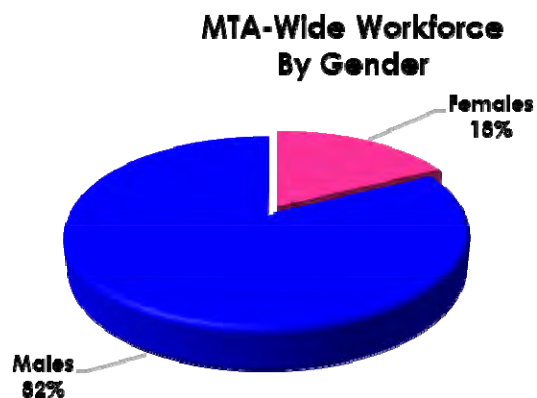
# MTA Department of Diversity and Civil Rights

MTA-Wide Workforce  
as of March 31, 2017

May 22, 2017



## MTA-Wide Workforce as of March 31, 2017

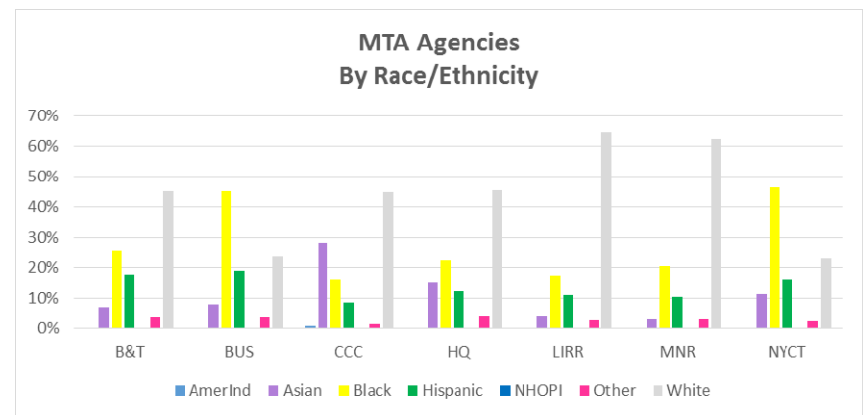
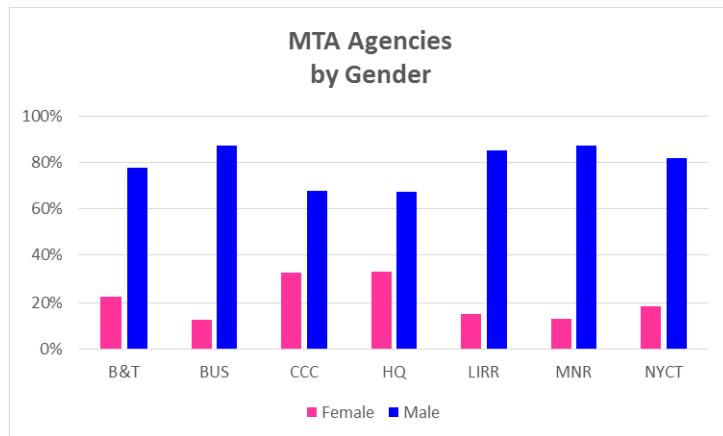


MTA-wide workforce consist of **72,728** employees.

- **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 as it relates to race and ethnicity since the prior quarter.



# MTA-Wide Workforce by Gender and Race/Ethnicity as of March 31, 2017



Agency	Employees	Females	Minorities
B&T	1,434	22%	55%
BUS	4,121	13%	76%
CCC	136	32%	55%
HQ	2,634	33%	54%
LIRR	7,218	15%	36%
MNR	6,636	13%	37%
NYCT	50,549	18%	77%



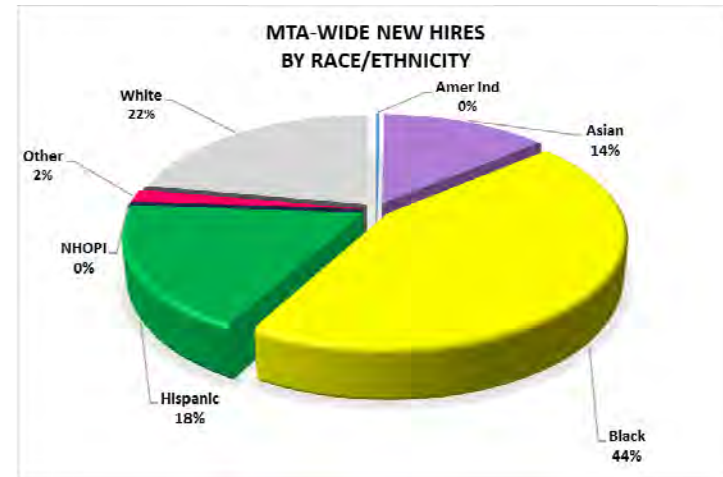
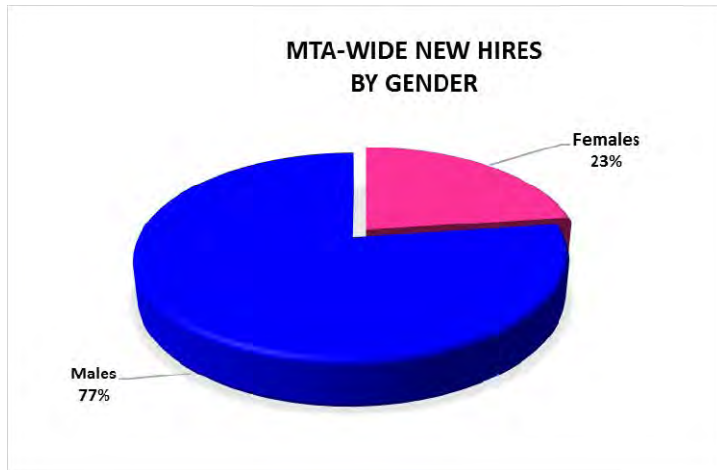
# MTA Department of Diversity and Civil Rights

MTA-Wide New Hires, Including Veterans  
First Quarter 2017

May 22, 2017



## MTA-Wide New Hires and Veterans By Gender and Race/Ethnicity January 1, 2017 to March 31, 2017

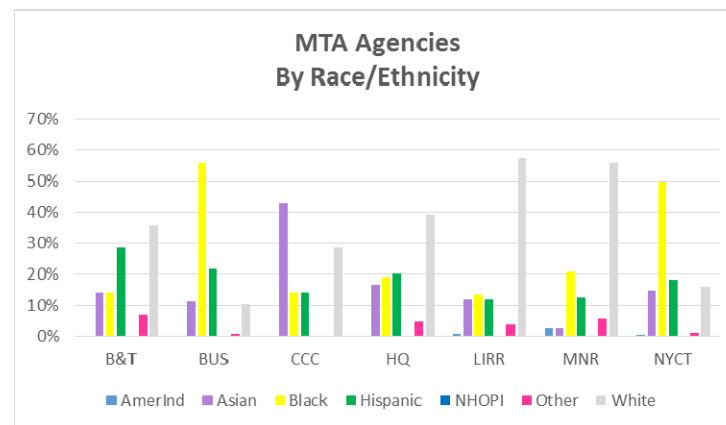
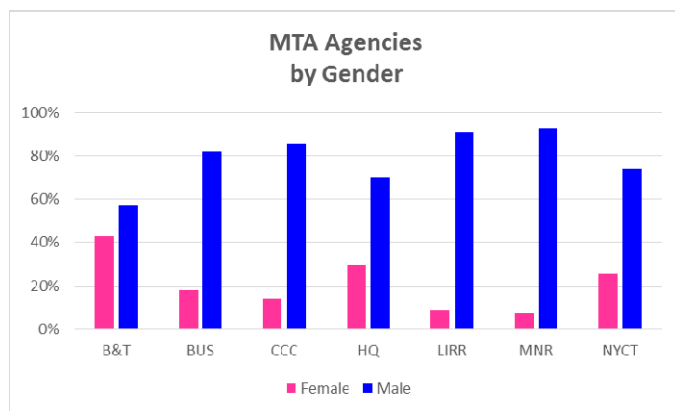


MTA and its agencies hired **1,908** Employees, including **54** Veterans

- ❑ **23%** Females in which **1%** were Veterans.
- ❑ **78%** Minorities in which **2%** were Veterans.
- ❑ Approximately **3%** overall were Veterans.



## New Hires and Veterans By Agency January 1, 2017 to March 31, 2017



This chart breaks down the **1,908** employees, including **54** Veterans, by Agency.

Agency	Employees	Females	Minorities	Veterans
B&T	14	43%	64%	0%
BUS	271	18%	90%	1%
CCC	7	14%	71%	0%
HQ	125	30%	61%	3%
LIRR	124	9%	43%	11%
MNR	120	8%	44%	9%
NYCT	1247	26%	84%	2%



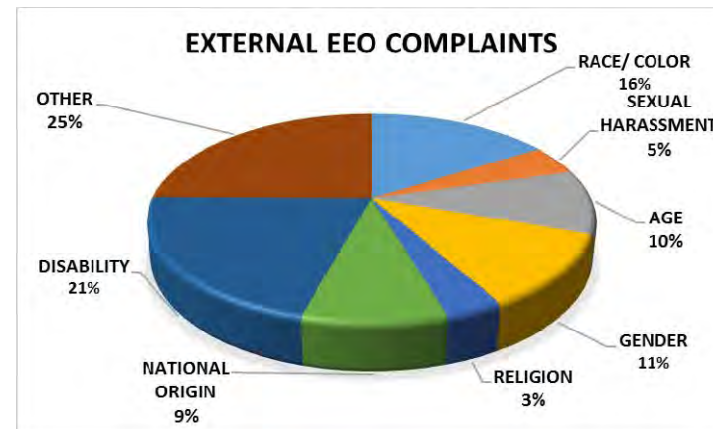
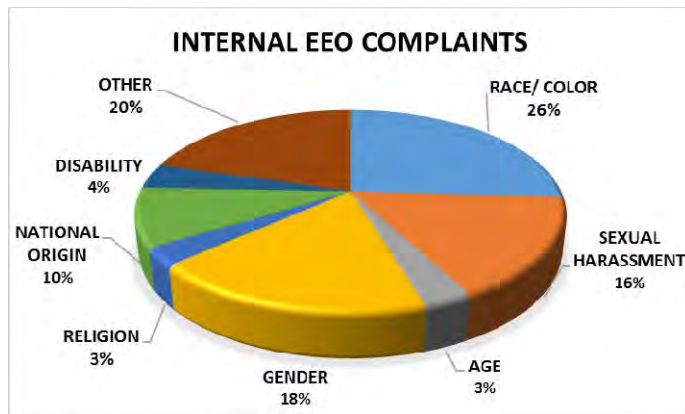
# MTA Department of Diversity and Civil Rights

MTA-Wide EEO and Title VI Complaints

May 22, 2017



## MTA-Wide Internal/External EEO Complaints January 1, 2017 to March 31, 2017



MTA and its agencies handled **356** EEO complaints

- ❑ **193** filed Internally
- ❑ **163** filed Externally
- ❑ The most frequently cited bases internally was race/color and externally was disability.

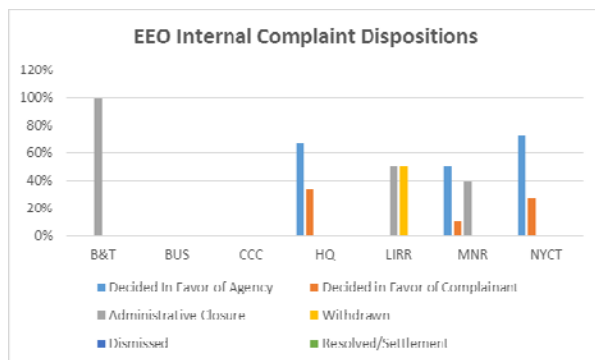
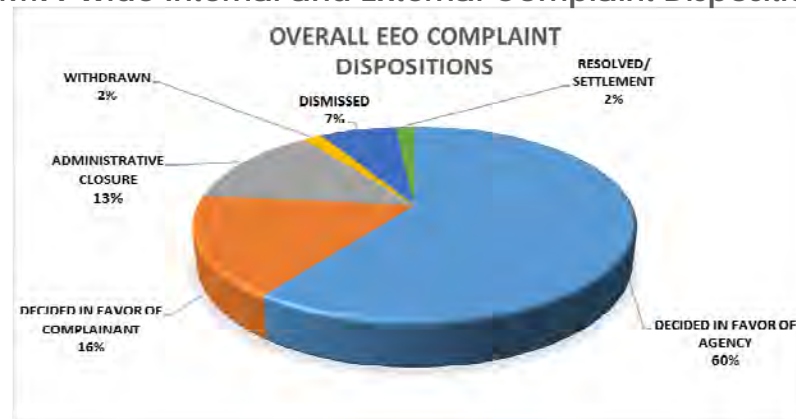
These charts include all pending matters as of the date of the report: including matters filed prior to the reporting period.

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

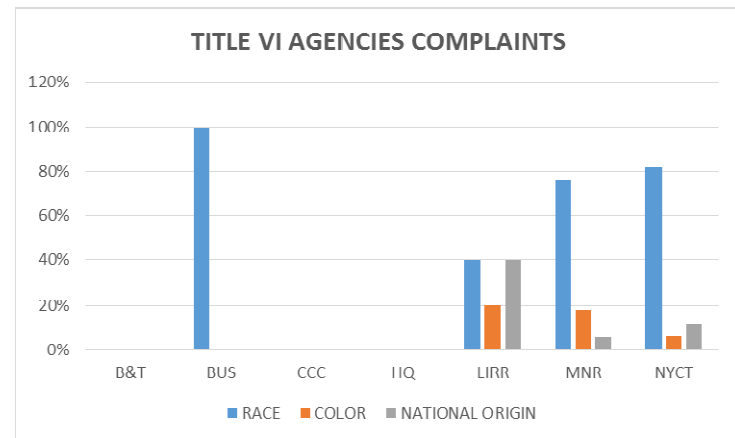
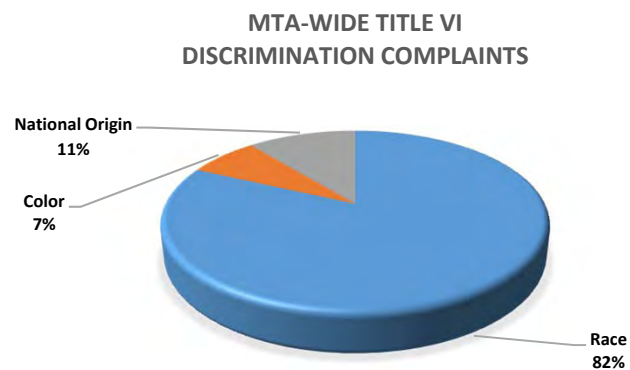


# MTA-Wide and its Agency's EEO Internal/External Discrimination Complaint Dispositions January 1, 2017 to March 31, 2017

MTA-Wide Internal and External Complaint Dispositions



## MTA-Wide Title VI Discrimination Complaints January 1, 2017 to March 31, 2017

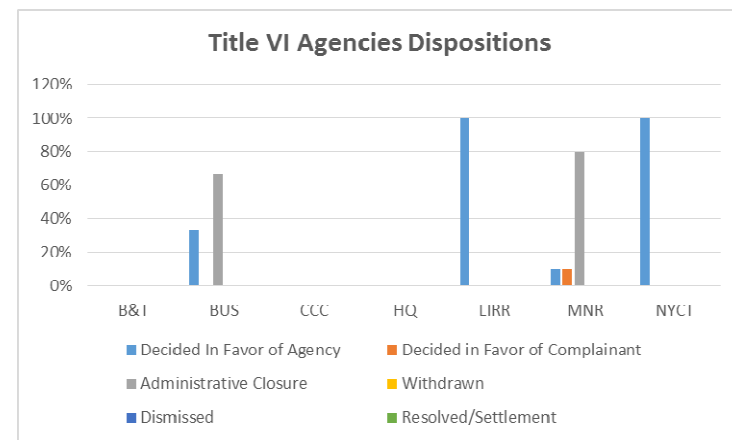
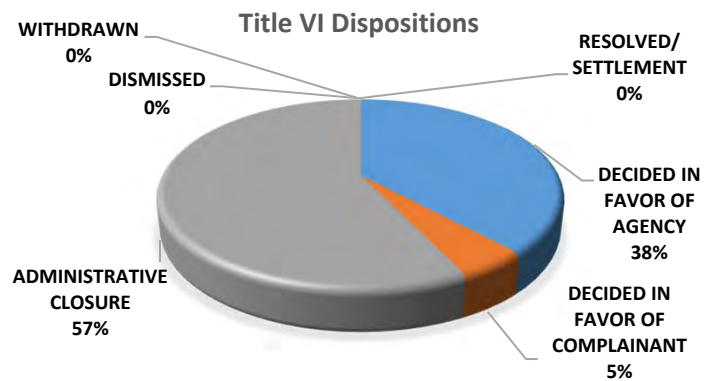


MTA and its agencies handled a total of **205** Title VI complaints and **210** allegations.

Agency	Complaints	Allegations	Race	Color	National Origin
BUS	15	15	100%	0%	0%
LIRR	4	5	40%	20%	40%
MNR	16	17	76%	18%	6%
NYCT	170	173	82%	6%	12%



## MTA-Wide Title VI Discrimination Complaint Disposition January 1, 2017 to March 31, 2017



MTA and its agencies handled **205** Title VI Complaints

- ❑ 38% decided in Favor of the Agency
- ❑ 5% decided in Favor of the Complainant
- ❑ 57% were Administrative Closures



# MTA Department of Diversity and Civil Rights

## **MTA's Title VI Program**

May 22, 2017



## TITLE VI – CIVIL RIGHTS ACT OF 1964

- No person in any federally-funded programs and activities shall be:
  - Excluded from participation,
  - Denied benefits, or
  - Subjected to discrimination.
- On the basis of **three** protected classes
  - Race,
  - Color, or
  - National Origin.

*Note:* Executive Order 12898 and FTA circular guidance also add **low-income status** as a protected category.



## TITLE VI OBJECTIVES

- Ensure level and quality of transportation service is equitable.
- Identify and address disproportionately high and adverse effects.
- Ensure inclusive public involvement by minority, low-income, and Limited English Proficiency (“LEP”) populations.
- Prevent the denial, reduction of, or delay in benefits related to programs and activities.
- Ensure meaningful access to programs and activities by persons with LEP.



## HOW DOES TITLE VI APPLY TO MTA?

- Because MTA includes federally-funded agencies, MTA must submit an agency-wide consolidated Title VI Program every three years to the Federal Transit Administration (“FTA”) concerning those federally-funded agencies.
- All federally-funded MTA agencies must submit their Title VI Program to the Department of Diversity and Civil Rights (“DDCR”) annually.
- Non-compliance with Title VI can cause federal funds to be delayed or withheld.



## REQUIRED ELEMENTS

- Title VI Notice to the Public.
- Title VI Complaint Policy, Procedures and Form.
- List of Title VI complaints, investigations and lawsuits.
- Racial breakdown of members of MTA non-elected advisory committee.
- Language Assistance Plan.
- Public Participation Plan.
- Facility Equity Analysis if federally-funded agencies contemplate building a new facility.
- Documentation of Board approval.



## NECESSARY BOARD ACTIONS

Certain elements within the Title VI Program must have Board approval prior to the 2017 Plan Update:

- ▣ Service Standards.
- ▣ Major service change policy, disparate impact policy, and disproportionate burden policy.
- ▣ Results of any service and fare equity analyses.
- ▣ Results of service monitoring.

Note: The MTA Board approved updated policies on fare and major service changes as well as service standards and service policies on June 3, 2013. MTA agencies continue to comply with these policies.



---

## NEXT STEPS

- The Board approval of MTA's 2017 Title VI Program.
- Submission of MTA's Title VI Program to the FTA by June 1, 2017.



---

**THANK YOU**

Questions?



# Staff Summary

Page 1 of 1

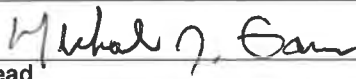
**Subject:** 2017 Title VI Program

**Department**

Diversity and Civil Rights

**Department Head Name**

Michael J. Garner

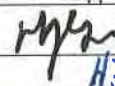


**Department Head Signature**

**Project Manager/Division Head**

Joyce D. Brown, MHLR

**Date**
**Board Action**

Order	To	Date	Approval	Info	Other
1	Diversity Committee	5/22/17	x		
2	Board	5/24/17	x		

**Internal Approvals**

Order	Approval	Order	Approval
1	Diversity & Civil Rights		
2	Legal		
3	Chief of Staff		

**Purpose:**

To obtain Board approval for the 2017 consolidated Title VI Program update.

**Discussion:**

As required under Federal Transit Administration ("FTA") Circular 4702.1b, the Title VI Program refers to a document developed by the Metropolitan Transportation Authority ("MTA") to demonstrate compliance with FTA Title VI requirements, which ensure non-discrimination on the basis of race, color, national origin, minority or low-income status for MTA and its affiliated agencies and subsidiaries ("MTA Agencies"), which includes: the New York City Transit Authority and its subsidiaries, the Manhattan and Bronx Surface Transit Operating Authority and the Staten Island Railway; the Long Island Rail Road Company; Metro-North Commuter Railroad Company; MTA Bus Company; and MTA Capital Construction.

As a recipient of FTA funds, MTA Agencies must submit an updated Title VI Program to the FTA every three years. MTA's next program submission is due June 1, 2017.

Under the requirements of 4702.1b, the Title VI Program must be approved by the MTA Board of Directors before submission to the FTA.

**Recommendation:**

It is the recommendation that the Board approve the MTA's 2017 consolidated Title VI Program update, in satisfaction of the requirements of the FTA Title VI Circular.

## BOARD RESOLUTION

WHEREAS, Title VI of the Civil Rights Act of 1964, 42 U.S.C. § 2000d ~~et seq~~ ("Title VI"), the U. S. Department of Transportation ("DOT") regulations, 49 CFR Part 21, and the Federal Transit Administration ("FTA") Circular 4702.1B prohibit discrimination on the basis of race, color or national origin by recipients of federal financial assistance in administering the benefits of their programs; and

WHEREAS, as a recipient of federal funds, MTA is required to comply with the requirements of Title VI, the applicable DOT regulations, and the FTA Circular; and

WHEREAS, pursuant to FTA Circular 4702.1B, MTA is required to submit its Title VI Program to the MTA Board for approval; and

WHEREAS, the MTA Board has been briefed on the contents of MTA's Title VI program;

Now, THEREFORE IT IS RESOLVED that the Board approves MTA's consolidated Title VI Program as described in the attached Staff Summary and related documents.

# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## M/W/DBE Contract Compliance First Quarter 2017

May 22, 2017



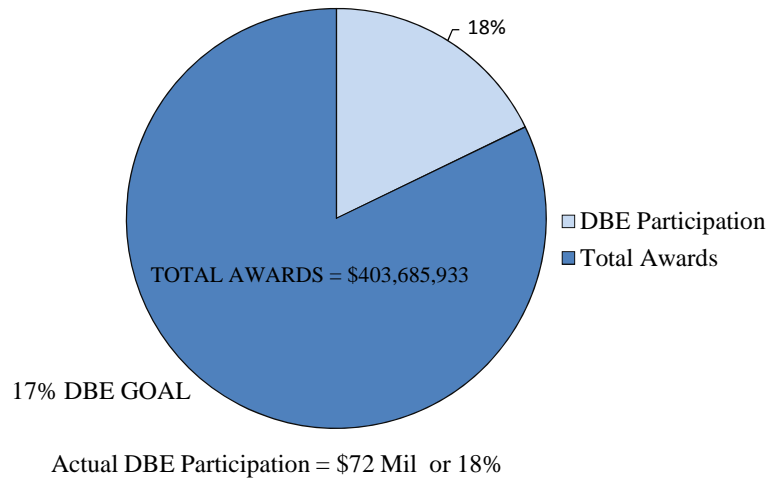
**DBE Participation in Federally Funded Contracts  
Federal Fiscal Year 2017\*  
(October 1, 2016 to March 31, 2017)**

- 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 March 2017, MTA awarded approximately \$404 million in the federally funded portion of contracts, and awarded \$72 million (18%) to certified DBEs.
- From October 2016 through March 2017, MTA paid prime contractors \$543 million, with payments to certified DBEs totaling \$147 million (27%).

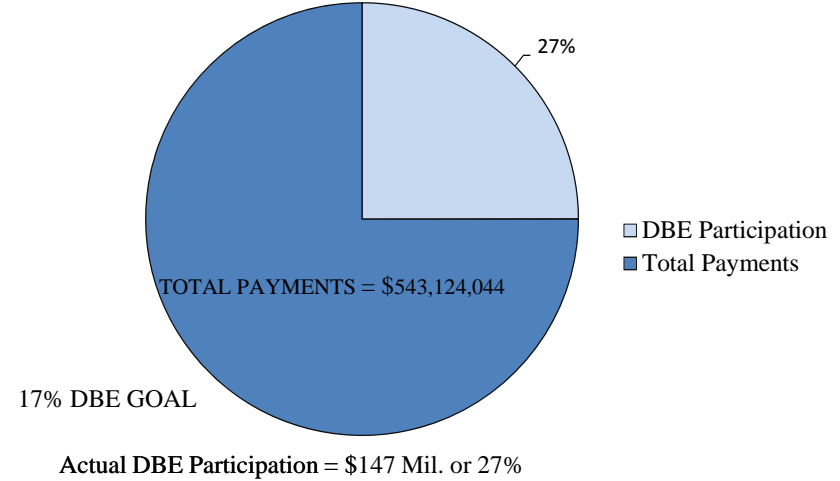
\*The Federal Fiscal Year runs from October 1<sup>st</sup> through September 30<sup>th</sup>.

FEDERALLY-FUNDED CONTRACTS  
DBE CONTRACT ACTIVITY  
FEDERAL FISCAL YEAR 2016 (OCTOBER 2016-MARCH 2017)

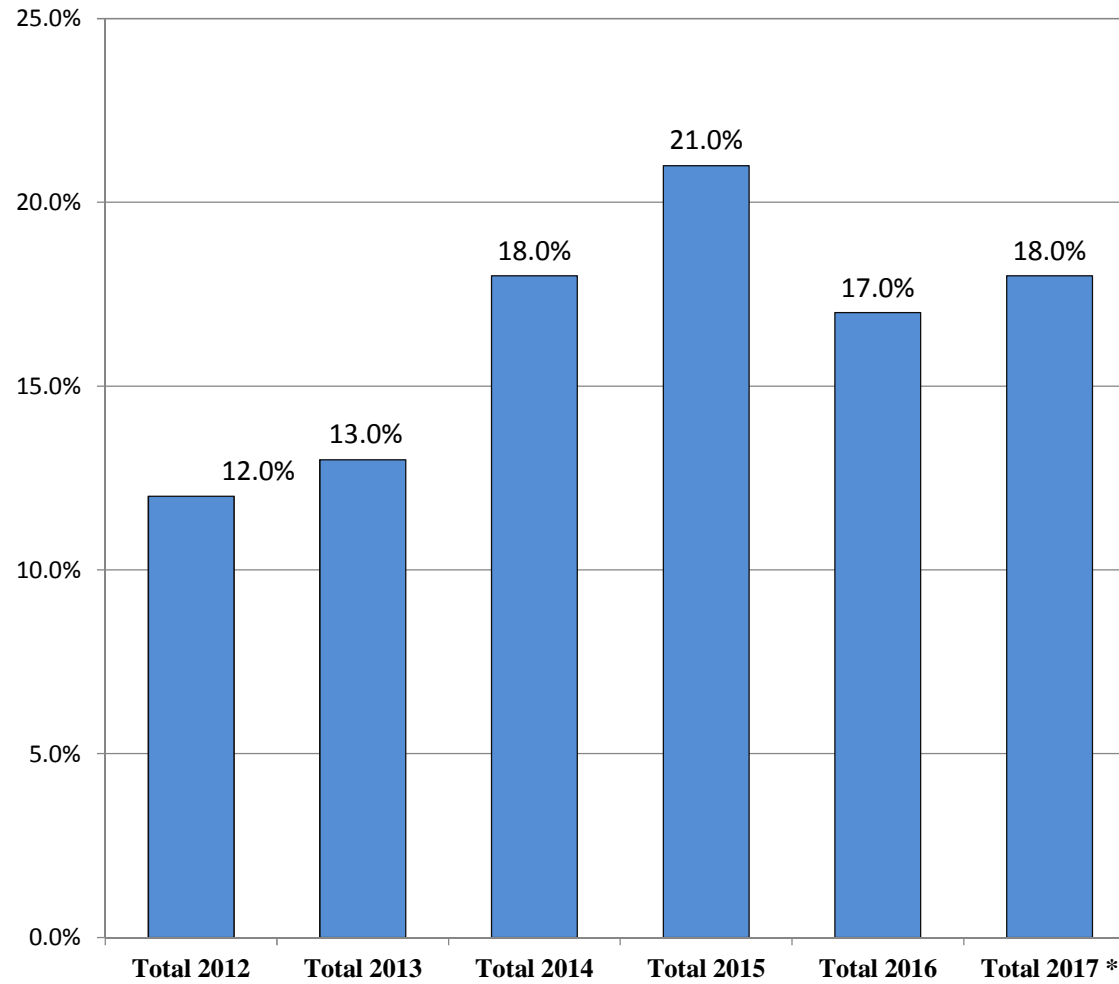
DBE AWARD PARTICIPATION



DBE PAYMENT PARTICIPATION

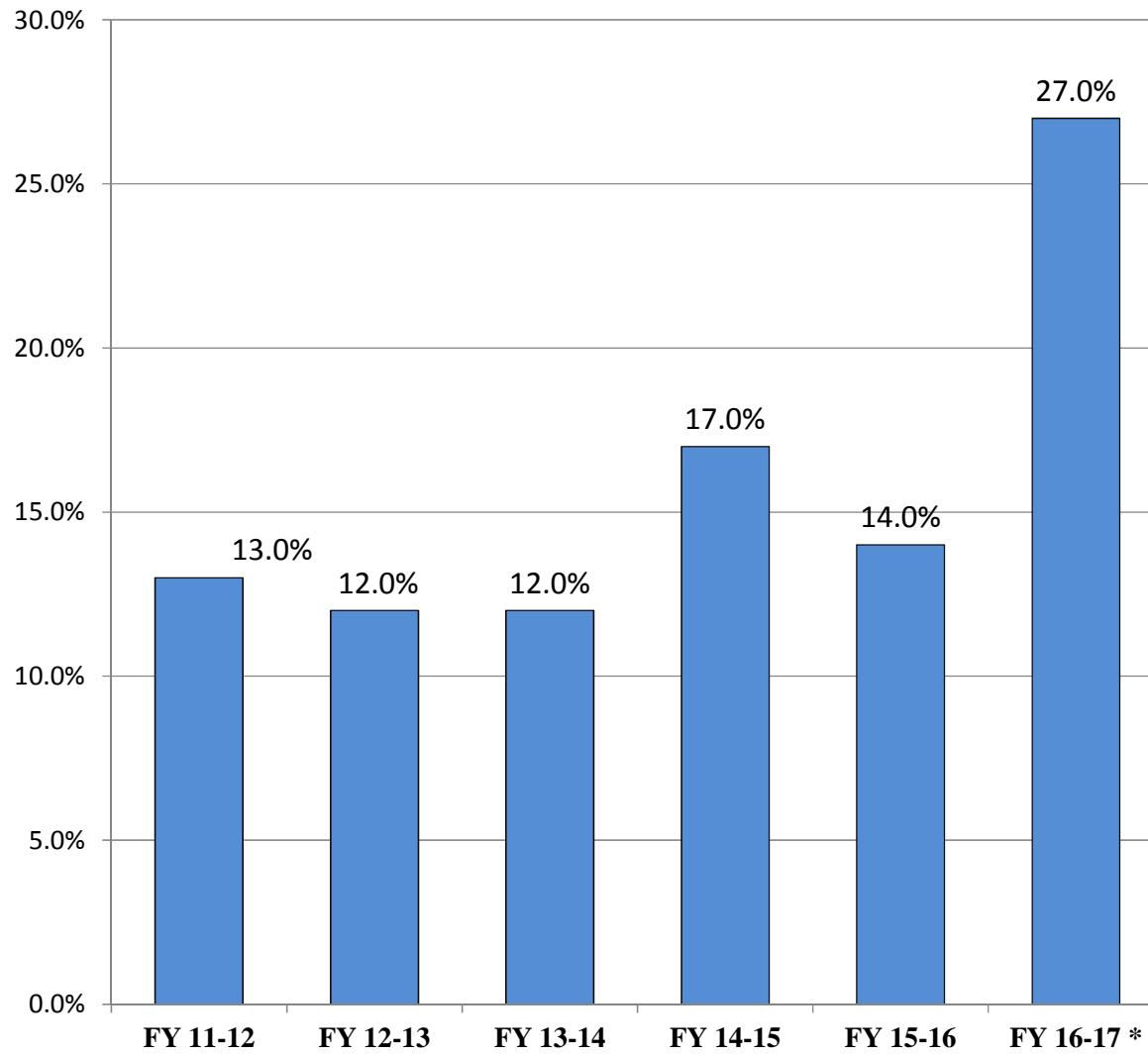


**DBE CONTRACT AWARDS**  
**October 2012 - March 2017**



\* This is for the first half of the FFY 2017 (October 2016 - March 2017)

### DBE CONTRACT PAYMENTS October 2011 - March 2017



\* This is for the first half of the FFY 2017 (October 2016 - March 2017)

**FEDERALLY-FUNDED CONTRACTS  
DBE CONTRACT ACTIVITY  
FEDERAL FISCAL YEAR 2017 (OCTOBER 2016-MARCH 2017)**

**AWARDS\***

<b>CONTRACT AWARDS</b>	<b>PRIME AWARDS</b>		<b>DBE PARTICIPATION</b>			<b>OVERALL FTA GOAL</b>
	<b>Number of Contracts</b>	<b>Award Amount</b>	<b>Number of DBE Contracts</b>	<b>DBE Award Amount</b>	<b>% To Agency Total</b>	
<b>1st SEMI-ANNUAL REPORT</b>	1,037	\$403,685,933	106	\$72,111,484	18%	17%
<b>October 2016- March 2017</b>						
<b>TOTAL</b>	<b>1037**</b>	<b>\$403,685,933</b>	<b>106</b>	<b>\$72,111,484</b>	<b>18%</b>	<b>17%</b>

**PAYMENTS\***

<b>CONTRACT PAYMENTS</b>	<b>PAYMENTS TO PRIMES</b>		<b>DBE PARTICIPATION</b>			<b>OVERALL FTA GOAL</b>
	<b>Number of Contracts</b>	<b>Payment Amount</b>	<b>Number of DBE Subcontracts</b>	<b>DBE Payment Amount</b>	<b>% To Agency Total</b>	
<b>1st SEMI-ANNUAL REPORT</b>	153	\$543,124,044	556	\$147,165,255	27%	17%
<b>October 2016- March 2017</b>						
<b>TOTAL</b>	<b>153</b>	<b>\$543,124,044</b>	<b>556</b>	<b>\$147,165,255</b>	<b>27%</b>	<b>17%</b>

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

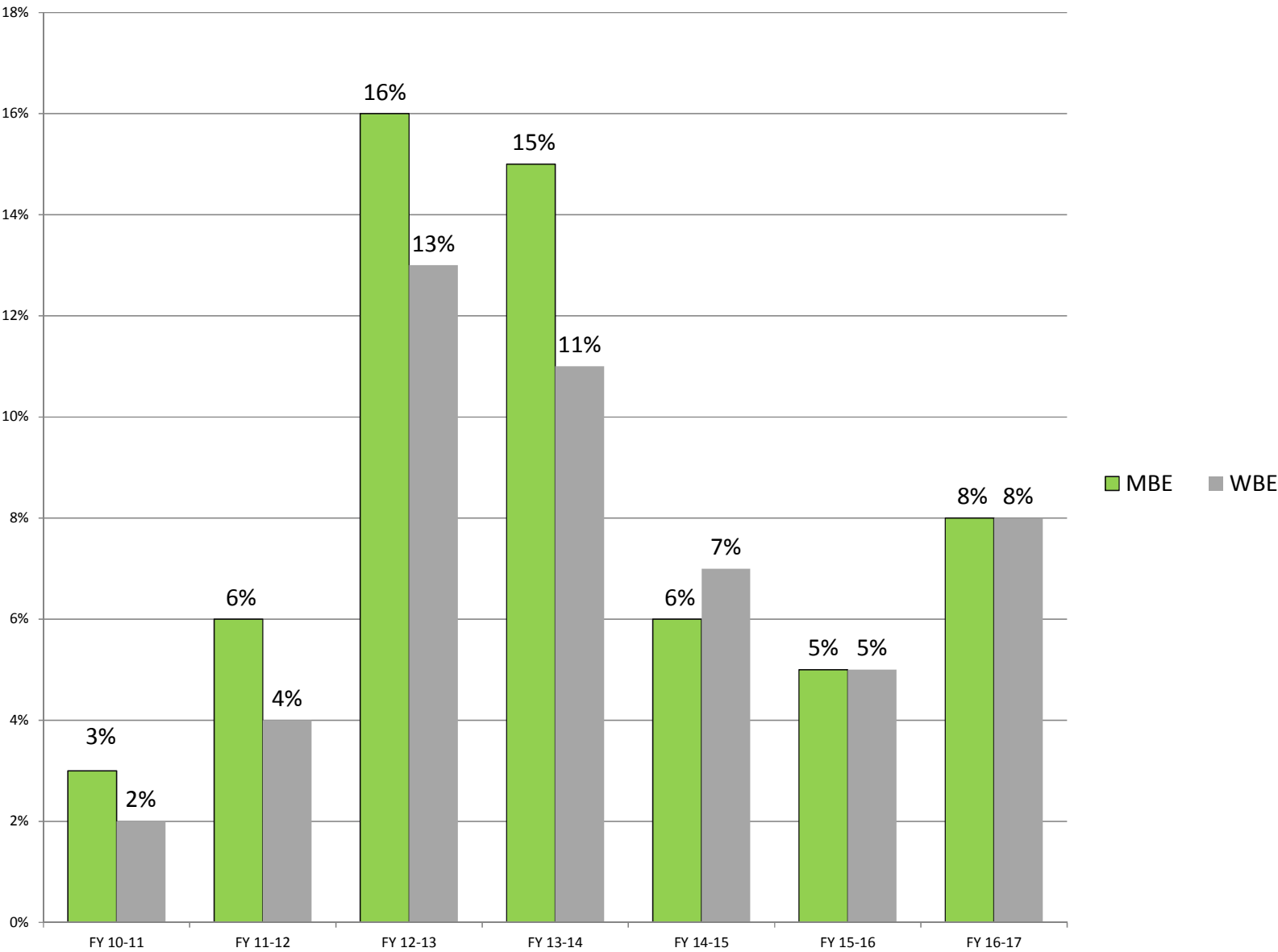
\*\*This figure includes contracts for which no DBE goals were assigned.

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

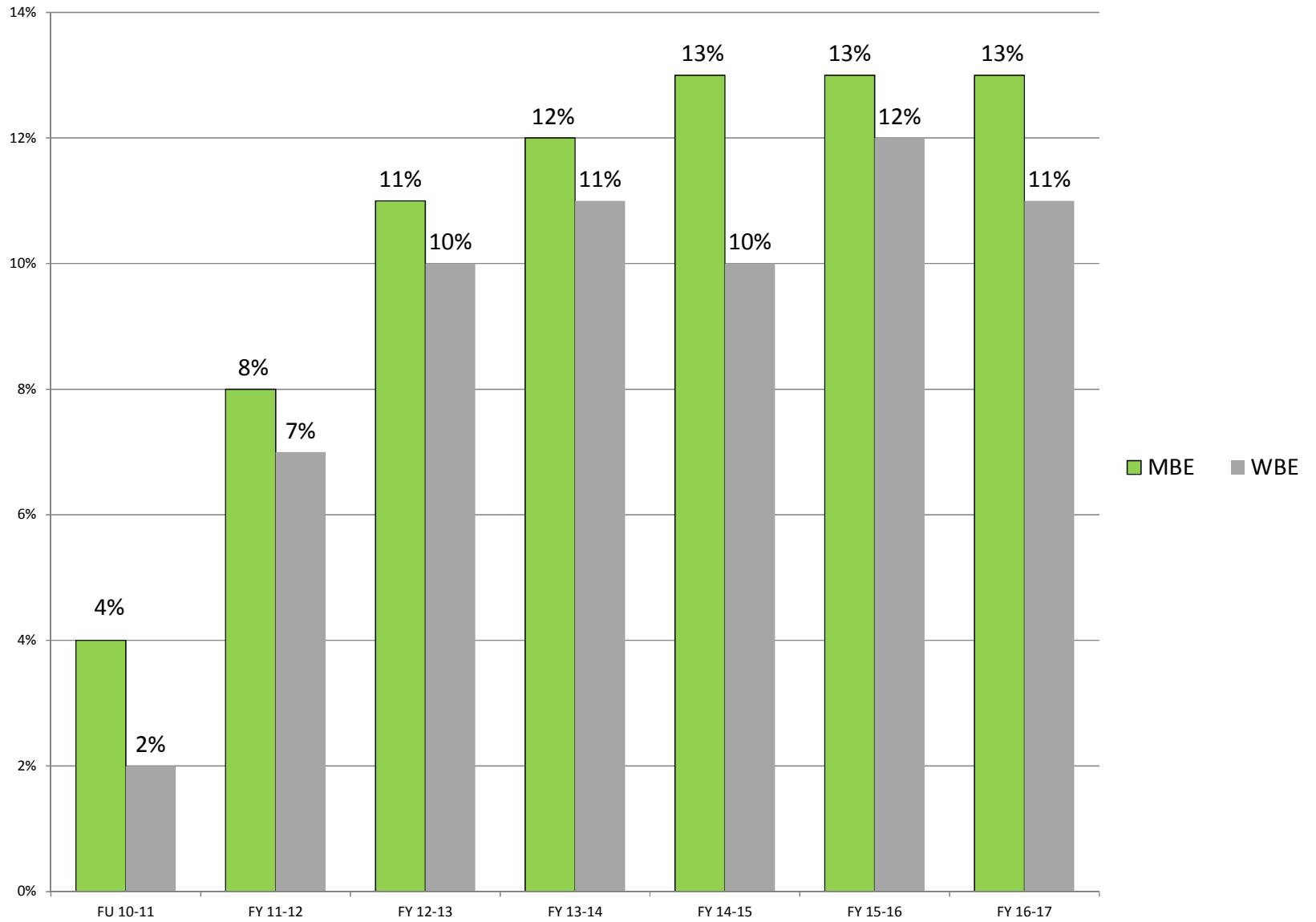
- Each year, MTA reports to the Empire State Development Corporation on a quarterly basis MWBE participation on state funded contracts.
- Reports are submitted 15 days after the end of each quarter, on January 15, April 15, July 15, and October 15.
- Reports include data on contracts with goals and MWBE contract payments.
- MTA established an overall 30% MWBE goal for State fiscal year 2016-2017.
- From April 1, 2016 to March 31, 2017, MTA awarded approximately \$2 billion in NY State funded contracts, with approximately \$316 million (16%) awarded to certified MWBEs.
- From April 1, 2016 to March 31, 2017, MTA paid \$1.7 billion on prime contracts with \$387 million (23%), paid to MWBEs.

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

NYS MWBE AWARDS  
APRIL 2010 - MARCH 2017



# NYS MWBE PAYMENTS April 2010- March 2017



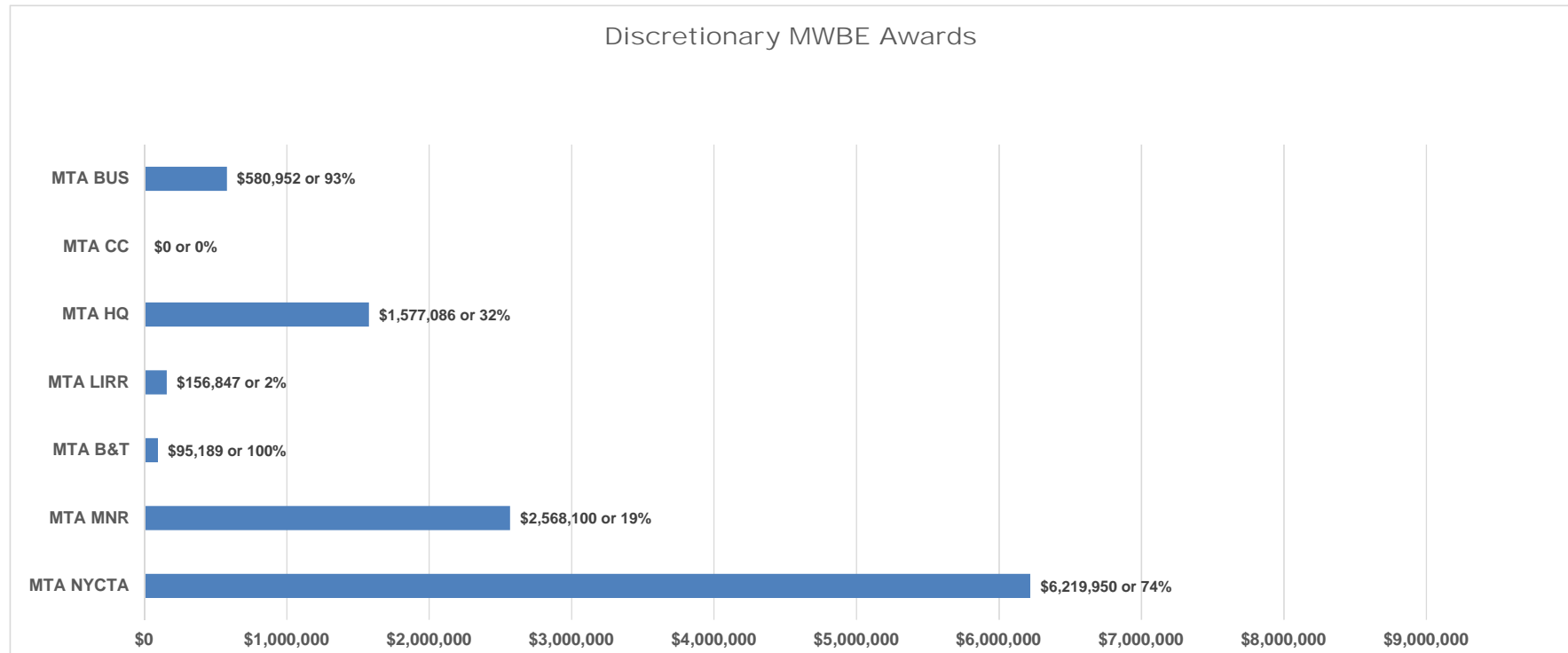
**NYS CONTRACTS  
MWBE CONTRACT ACTIVITY  
APRIL 1, 2016 - MARCH 31, 2017  
AWARDS**

CONTRACT AWARDS	PRIME AWARDS		MWBE AWARDS			NYS Goal
	Number of Contracts	Award Amount	Number of MWBE Subcontracts	MWBE Award Amount	MWBE %	
<b>FIRST QUARTER</b>	19,662	\$397,839,032	964	\$59,739,633	15%	30%
<b>APRIL 2016-JUNE 2016</b>						
<b>SECOND QUARTER</b>	18,628	\$417,750,270	1,231	\$67,059,599	16%	30%
<b>JULY 2016-SEPTEMBER 2016</b>						
<b>THIRD QUARTER</b>	15,652	\$748,387,925	1,168	\$135,720,621	18%	30%
<b>OCTOBER 2016 - DECEMBER 2016</b>						
<b>FOURTH QUARTER</b>						
<b>JANUARY 2017-MARCH 2017</b>	22,606	\$410,643,832	1,262	\$53,398,286	13%	30%
<b>TOTAL</b>	<b>76,548</b>	<b>\$1,974,621,059</b>	<b>4,625</b>	<b>\$315,918,139</b>	<b>16%</b>	<b>30%</b>

**PAYMENTS**

CONTRACT PAYMENTS	PAYMENTS TO PRIMES		MWBE PARTICIPATION			NYS Goal
	Number of Contracts	Payment Amount	Number MWBE Contracts	MWBE Payment Amount	MWBE %	
<b>FIRST QUARTER</b>	2,347	\$424,262,264	3,325	\$91,879,116	22%	30%
<b>APRIL 2016-JUNE 2016</b>						
<b>SECOND QUARTER</b>	1,250	\$367,584,581	2,918	\$83,205,013	23%	30%
<b>JULY 2016 - SEPTEMBER 2016</b>						
<b>THIRD QUARTER</b>		\$462,865,126	3,675	\$97,506,382	21%	30%
<b>OCTOBER 2016 - DECEMBER 2016</b>						
<b>FOURTH QUARTER</b>		\$411,689,281	2,969	\$114,633,587	28%	30%
<b>JANUARY 2017-MARCH 2017</b>						
<b>TOTAL</b>	<b>3,597</b>	<b>\$1,666,401,252</b>	<b>12,887</b>	<b>\$387,224,098</b>	<b>23%</b>	<b>30%</b>

MTA ALL AGENCY  
Discretionary Procurement Report\*  
January 2017 - March 2017



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

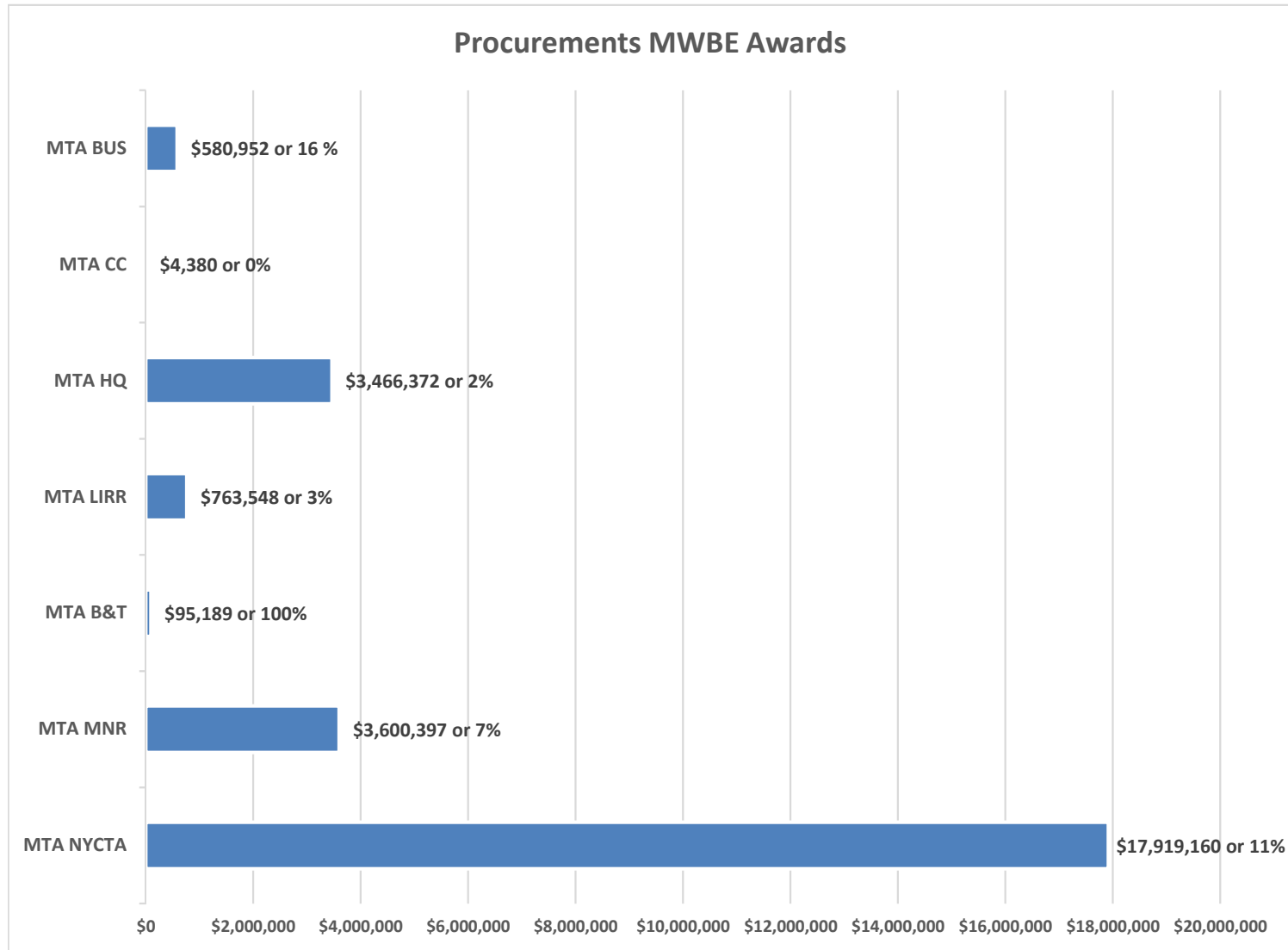
**MTA ALL AGENCY  
DISCRETIONARY PROCUREMENT REPORT\***

**January 2017 - March 2017**

<b>Agency</b>	<b>Total Awards \$400k or Less</b>	<b>MWBE Discretionary Awards</b>	<b>Discretionary MWBE</b>	<b>SBC Discretionary</b>	<b>Discretionary SBC</b>
<b>MTA NYCTA</b>	\$8,382,962	\$6,219,950	74%	\$718,784	9%
<b>MTA MNR</b>	\$13,457,133	\$2,568,100	19%	\$183,181	1%
<b>MTA B&amp;T</b>	\$95,189	\$95,189	100%	\$0	0%
<b>MTA LIRR</b>	\$9,782,744	\$156,847	2%	\$272,525	3%
<b>MTA HQ</b>	\$4,990,309	\$1,577,086	32%	\$95,000	2%
<b>MTA CC</b>	\$282,762	\$0	0%	\$0	0%
<b>MTA BUS</b>	\$623,663	\$580,952	93%	\$42,712	7%
<b>Total</b>	<b>\$37,614,762</b>	<b>\$11,198,124</b>	<b>30%</b>	<b>\$1,312,202</b>	<b>3%</b>

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

**MTA ALL AGENCY  
TOTAL PROCUREMENTS  
January 2017 - March 2017**



**MTA ALL AGENCY  
TOTAL PROCUREMENTS  
January 2017 - March 2017**

<b>Agency</b>	<b>Total Award Amount</b>	<b>Total MWBE Awards</b>	<b>MWBE</b>
<b>MTA NYCTA</b>	\$167,737,833	\$17,919,160	11%
<b>MTA MNR</b>	\$51,755,480	\$3,600,397	7%
<b>MTA B&amp;T</b>	\$95,189	\$95,189	100%
<b>MTA LIRR</b>	\$25,675,228	\$763,548	3%
<b>MTA HQ</b>	\$165,032,051	\$3,466,372	2%
<b>MTA CC</b>	\$1,282,120	\$4,380	0%
<b>MTA BUS</b>	\$3,662,033	\$580,952	16%
<b>Total</b>	<b>\$415,239,934</b>	<b>\$26,429,998</b>	<b>6%</b>

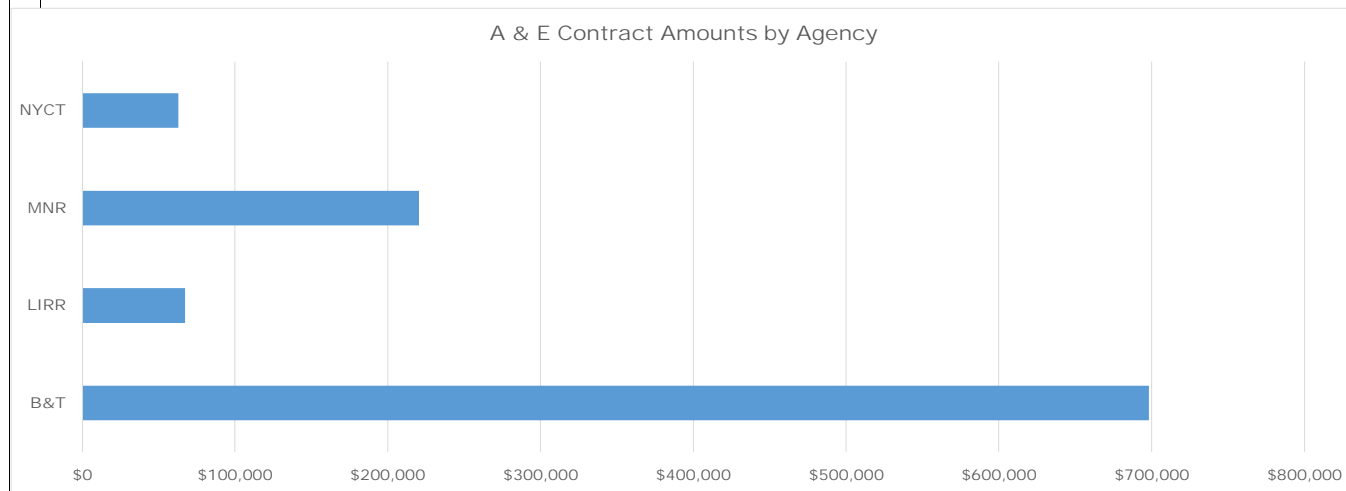
# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## Discretionary A&E, Legal & IT

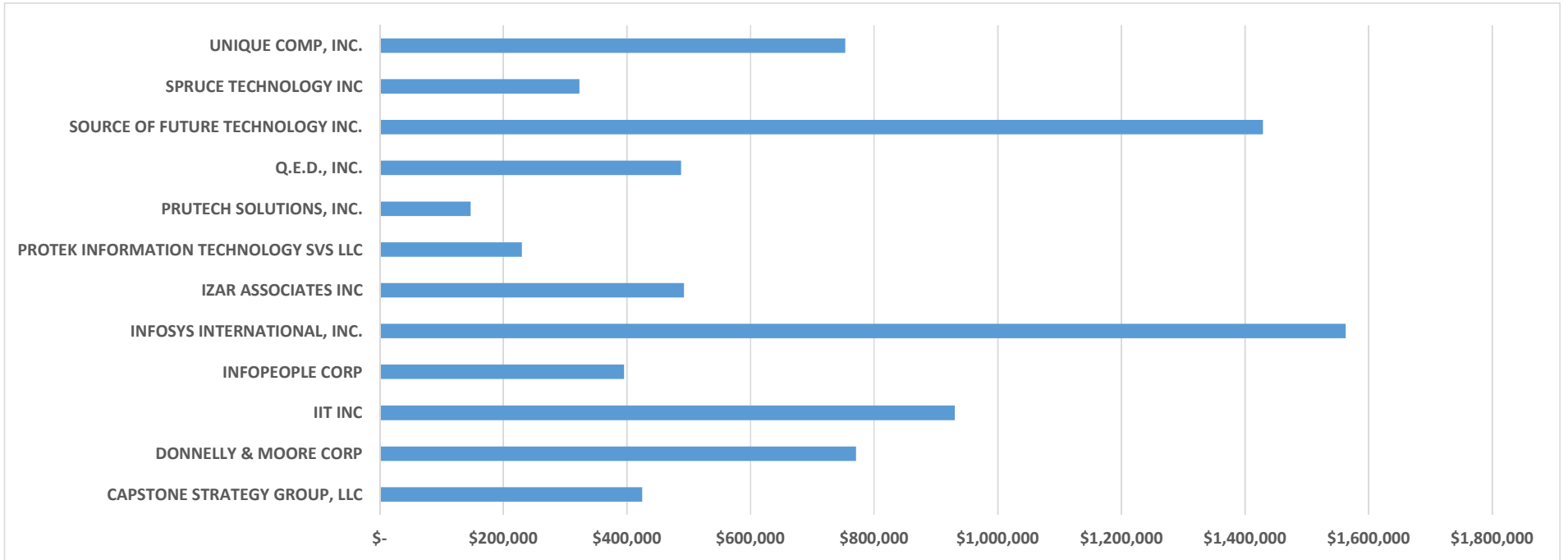
May 22, 2017



A/E Awards thru Discretionary Procurement as of 3/31/17						
#	Agency	Project Name & Description	Primary Trades	Contract Amount	Notice of Award Date	Contractor Certification
1	B&T	Installation of Security Fencing @ the B&W Bronx Approach & Queens Anchorage	Construction Administration & Inspection Services	\$ 147,356	3/16/16	MBE
2	B&T	Manhattan Blower Building Front Door Repair & Replacement at HLC Tunnel	Engineering Design Services	\$ 23,826	9/2/16	M/WBE
3	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
4	B&T	Retrofitting suspender Ropes Socket Boxes for Inspection at B&W	Inspection and Design, Expert engineering, and Engineering support Services	\$ 109,002	7/19/16	MBE
5	B&T	Sidewalk Repairs @ the Queens Midtown Tunnel	Construction Administration & Inspection Services	\$ 131,615	4/18/16	MBE
6	B&T	Task R03867/Project HCC-1701, Inspection and Design, Expert Engineering and Engineering Support Services Battery Parking Garage Bathroom Rehab at the Hugh L. Cary Tunnel Facility	Inspection and Design, Expert engineering, and Engineering support Services	\$ 58,419	2/14/17	MBE
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	B&T	WBM-373 Soil Stabilization under the Queens Approach at the B&W	Inspection and Design, Expert engineering, and Engineering support Services	\$ 36,770	3/31/17	MBE
9	LIRR	3D Renderings of North Main Street & Accabonack Bridge	Design - Lines (Bridges)	\$ 11,252	8/12/16	MBE
10	LIRR	Geotechnical Subsurface Investigation of North Main Street & Accabonack Bridge	Design - Environmental. Soils	\$ 55,888	5/6/16	MBE
11	MNR	Feasibility Study Spuyten Duyvil to Ludlow Trail	Design- Environmental	\$ 220,401	11/3/16	WBE
12	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
Total				\$ 1,048,615		



### IT Discretionary Consulting Contract No. 14357

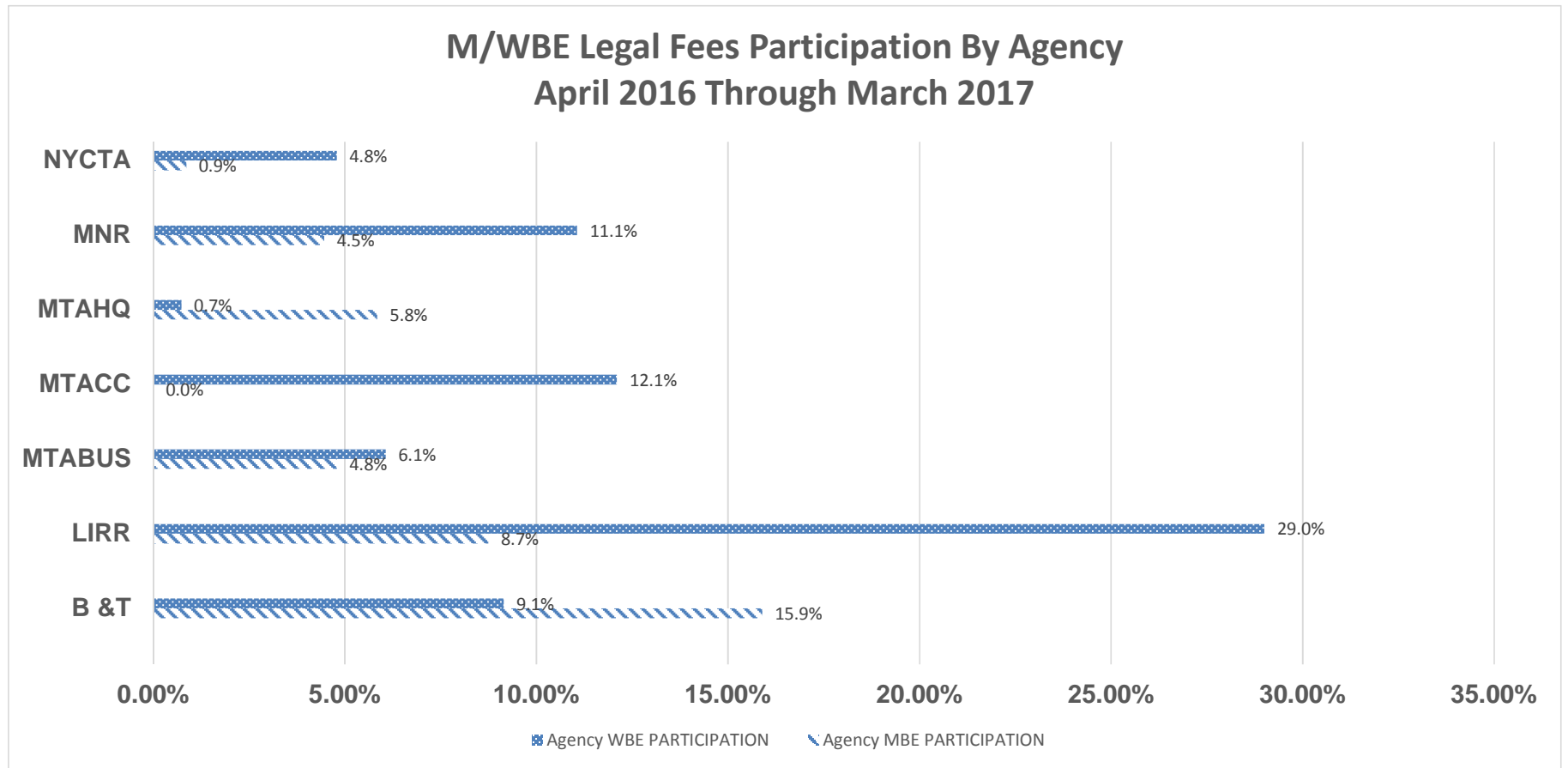


## IT Discretionary Consulting Contract No. 14357

Vendor	PO Number	PO Amount
CAPSTONE STRATEGY GROUP, LLC	9000005896	\$ 100,000.00
	9000005949	\$ 225,000.00
	9000005950	\$ 100,000.00
DONNELLY & MOORE CORP	9000005798	\$ 200,747.04
	9000006057	\$ 201,600.00
	9000006098	\$ 152,848.00
	9000006159	\$ 215,339.41
IIT INC	9000005643	\$ 28,931.00
	9000005718	\$ 52,488.00
	9000005745	\$ 150,000.00
	9000005752	\$ 97,500.00
	9000005753	\$ 78,319.00
	9000005779	\$ 78,319.00
	9000005780	\$ 50,000.00
	9000005797	\$ 102,960.00
	9000005799	\$ 28,931.00
	9000005802	\$ 55,323.00
	9000006021	\$ 76,050.00
	9000006069	\$ 100,000.00
	9000006149	\$ 31,298.00
	9000005681	\$ 134,000.00
	9000005716	\$ 52,488.00
INFOPEOPLE CORP	9000005769	\$ 177,840.00
	9000006156	\$ 31,298.00
	9000005734	\$ 104,191.41
INFOSYS INTERNATIONAL, INC.	9000005785	\$ 31,160.00
	9000005807	\$ 57,720.00
	9000005829	\$ 152,100.00
	9000005964	\$ 220,272.00
	9000005965	\$ 220,272.00
	9000006011	\$ 297,833.84
	9000006020	\$ 96,824.00
	9000006058	\$ 141,100.00
	9000006062	\$ 166,440.00
	9000006099	\$ 75,000.00
	9000005700	\$ 10,831.04
	9000005740	\$ 44,880.00
IZAR ASSOCIATES INC	9000005813	\$ 74,142.00
	9000005875	\$ 190,892.24
	9000006094	\$ 171,800.00
PROTEK INFORMATION TECHNOLOGY SVS LLC	9000005877	\$ 230,000.00
PRUTECH SOLUTIONS, INC.	9000005795	\$ 55,114.00
	9000005884	\$ 92,048.00
Q.E.D., INC.	9000006018	\$ 188,964.00
	9000006071	\$ 133,120.00
	9000006107	\$ 55,806.00
	9000006108	\$ 109,980.00
SOURCE OF FUTURE TECHNOLOGY INC.	9000005739	\$ 68,250.00
	9000005750	\$ 85,800.00
	9000005770	\$ 100,000.00
	9000005941	\$ 78,000.00
	9000005942	\$ 47,021.52
	9000005943	\$ 47,021.52
	9000005944	\$ 220,272.00
	9000005977	\$ 221,130.00
	9000006040	\$ 325,000.00
	9000006056	\$ 236,520.00
	9000005688	\$ 28,931.00
SPRUCE TECHNOLOGY INC	9000005814	\$ 74,142.00
	9000005966	\$ 220,272.00
UNIQUE COMP, INC.	9000005817	\$ 31,298.00
	9000005818	\$ 31,298.00
	9000005819	\$ 104,000.00
	9000005886	\$ 134,000.00
	9000005961	\$ 283,650.80
	9000005970	\$ 69,920.00
	9000006015	\$ 98,892.00
Grand Total		\$ 7,947,188.82

MTA All Agency Legal Fees April 2016 to March 2017





**MTA ALL AGENCY LEGAL FEES PAID  
APRIL 2016 THROUGH MARCH 2017**

<b>AGENCY</b>	<b>ALL FEES PAID</b>	<b>MBE FEES PAID</b>	<b>Agency MBE PARTICIPATION</b>	<b>WBE FEES PAID</b>	<b>Agency WBE PARTICIPATION</b>
B &T	\$182,067.74	\$28,937.23	15.9%	\$16,646.65	9.1%
LIRR	\$1,835,520.15	\$160,485.61	8.7%	\$532,307.25	29.0%
MTABUS	\$3,662,973.20	\$175,503.14	4.8%	\$222,125.26	6.1%
MTACC	\$1,373,075.55	\$0.00	0.0%	\$166,173.00	12.1%
MTAHQ	\$11,967,488.37	\$699,061.91	5.8%	\$87,829.27	0.7%
MNR	\$2,463,124.04	\$109,785.82	4.5%	\$272,482.93	11.1%
NYCTA	\$9,674,551.61	\$83,162.47	0.9%	\$463,344.56	4.8%
<b>TOTAL</b>	<b>\$31,158,801</b>	<b>\$1,256,936</b>	<b>4.0%</b>	<b>\$1,760,909</b>	<b>5.7%</b>

# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## Status of Closed Contracts as of March 31, 2017

May 22, 2017



# MTA Headquarters DDCR Update

## Inactive Contracts – Status as of March 31, 2017

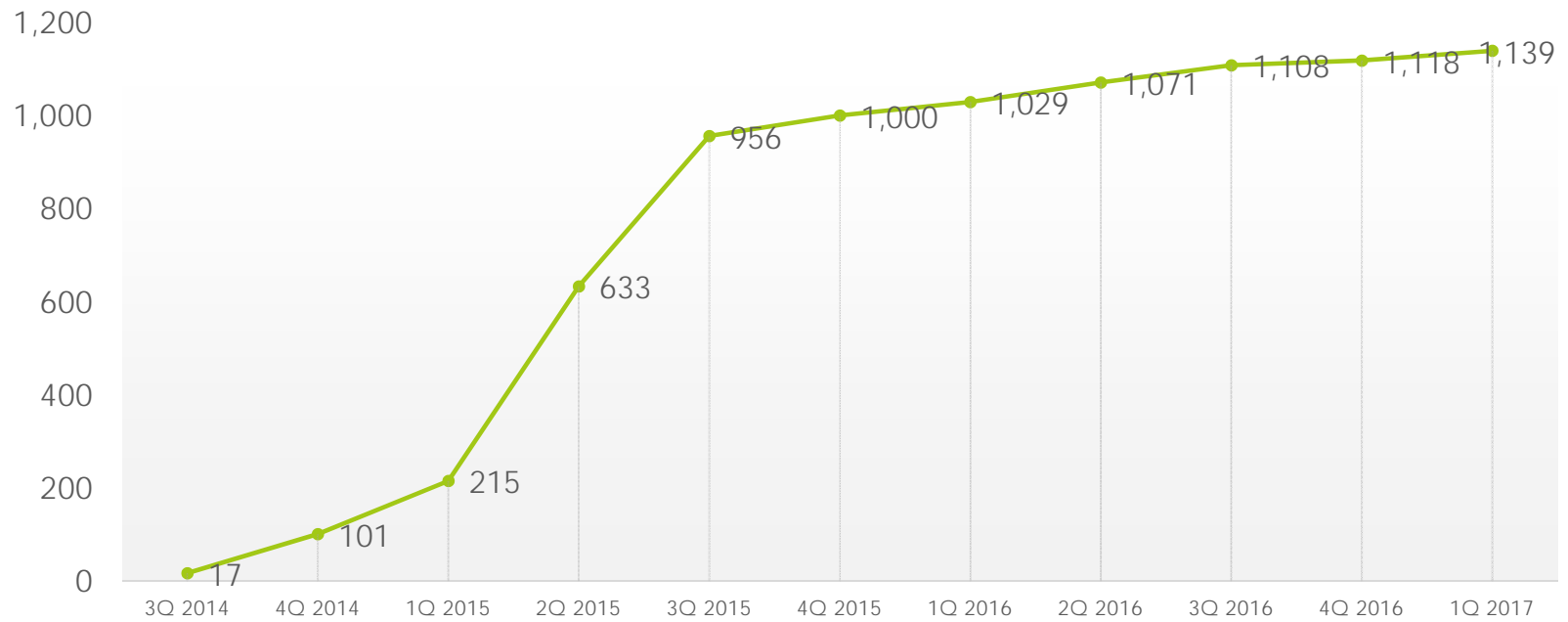
Inactive Contracts with Goals	Number of Contracts
1. Total Contracts Reviewed and Closed	855
2. Contracts Administratively Closed	284 <sup>1</sup>
Sub-Total	1,139 (90%)
3. Closeouts in Progress	58
4. Contracts Pending Agency Action	62
Total	1,259 <sup>2</sup> (100%)

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 March 31, 2017.



# MTA Headquarters DDCR Update

## DDCR Contract Closeout Progression 3Q 2014 through 1Q 2017



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

Project Site Visits  
as of March 31, 2017

May 22, 2017



# MTA Headquarters DDCR Update

DDCR Project Site Visits: 3Q 2015 - 1Q 2017

Total Site Visits Performed = 1070



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## MTA CAPITAL PROJECTS M/W/DBE AWARDS

May 22, 2017



DBE AWARDS ON MTA CAPITAL PROJECTS with GOALS  
JANUARY 2017 - MARCH 2017  
FEDERALLY FUNDED

FEDERALLY FUNDED	FIRST QUARTER (JANUARY-MARCH) (in millions)			2017 TOTALS (JANUARY- MARCH) (in millions)		
DBE Participation Goal: 17%	Total Awards	Total DBE Awards	DBE Participation (%)	Total Awards	Total DBE Awards	DBE Participation (%)
Construction	\$ 40	\$ 11	28%	\$ 40	\$ 11	28%
Professional Services						
Other						
TOTAL	\$ 40	\$ 11	28%	\$ 40	\$ 11	28%
Additional MWBE Participation:	Total Awards	Total MWBE Awards	Total Awards		Total MWBE Awards	
Construction	\$ 40	\$ 11	\$ 40		\$ 11	
Professional Services						
Other						
Total	\$ 40	\$ 11	\$ 40		\$ 11	

**MWBE AWARDS ON MTA CAPITAL PROJECTS with GOALS**  
**JANUARY 2017 - MARCH 2017**  
**STATE FUNDED**

STATE FUNDED	FIRST QUARTER (JANUARY-MARCH) (in millions)			2017 TOTALS (JANUARY-MARCH) (in millions)		
MBE Participation Goal: 15%	Total Awards	Total MBE Awards	MBE Participation (%)	Total Awards	Total MBE Awards	MBE Participation (%)
Construction	\$ 71	\$ 12	17%	\$ 71	\$ 12	17%
<b>TOTAL</b>	<b>\$ 71</b>	<b>\$ 12</b>	<b>17%</b>	<b>\$ 71</b>	<b>\$ 12</b>	<b>17%</b>
WBE Participation Goal: 15%	Total Awards	Total WBE Awards	WBE Participation (%)	Total Awards	Total WBE Awards	WBE Participation (%)
Construction	\$ 71	\$ 9	13%	\$ 71	\$ 9	13%
<b>TOTAL</b>	<b>\$ 71</b>	<b>\$ 9</b>	<b>13%</b>	<b>\$ 71</b>	<b>\$ 9</b>	<b>13%</b>
Additional DBE Participation:	Total Awards	Total DBE Awards		Total Awards	Total DBE Awards	
Construction	\$ 71	\$ 14		\$ 71	\$ 14	
<b>Additional DBE Participation Total</b>	<b>\$ 71</b>	<b>\$ 14</b>		<b>\$ 71</b>	<b>\$ 14</b>	

# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## MTA Small Business Development Program Business Development Initiatives and MWDBE Results

May 22, 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.



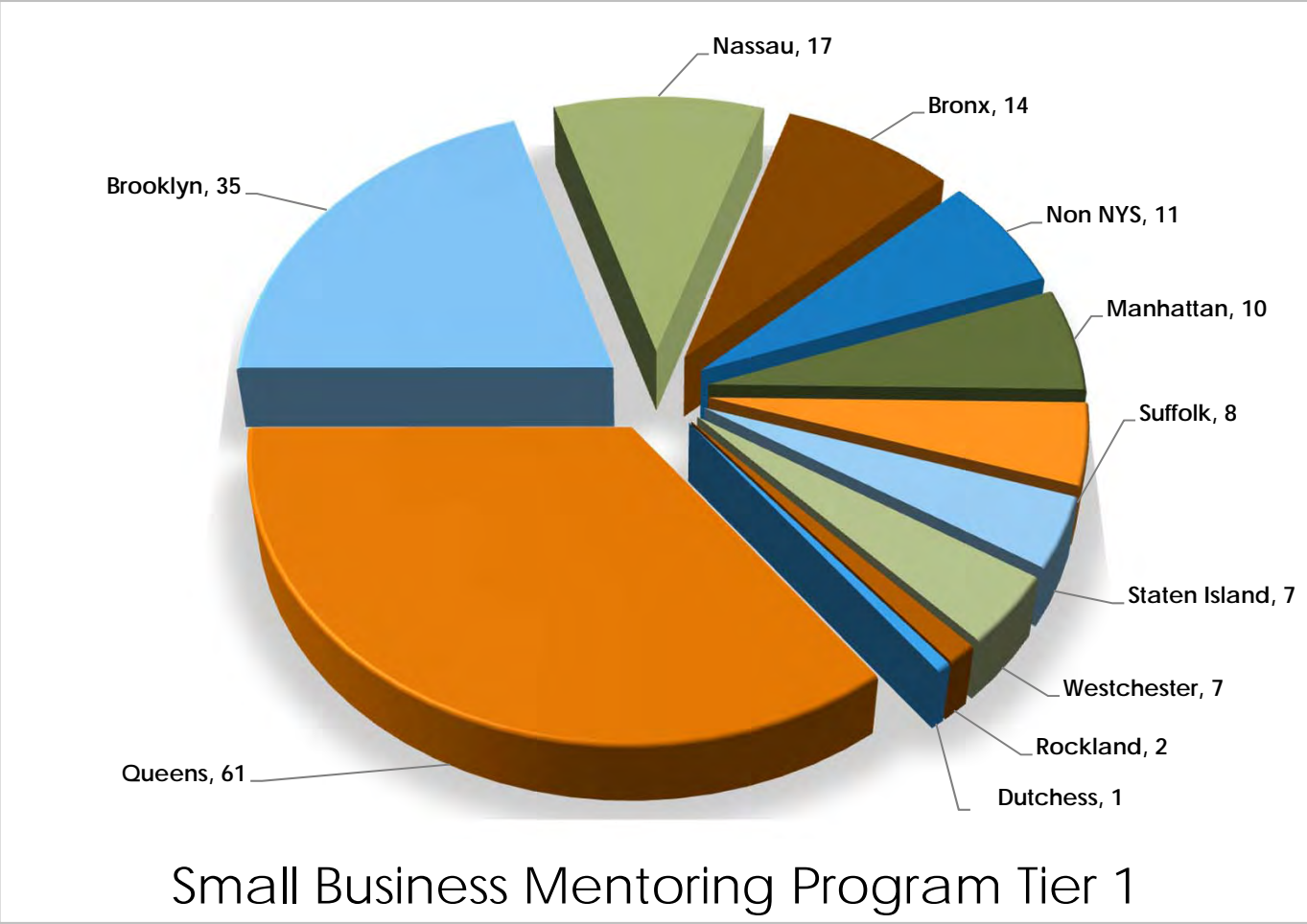
# SBDP Outreach

173 PREQUALIFIED FIRMS (AS OF APRIL 30, 2017)

Certification *	
MBE	115
WBE	28
DBE	25
Non-Certified	41

*\* firms may have multiple certifications*

Counties	
Queens	61
Brooklyn	35
Nassau	17
Bronx	14
Non NYS	11
Manhattan	10
Suffolk	8
Staten Island	7
Westchester	7
Rockland	2
Dutchess	1



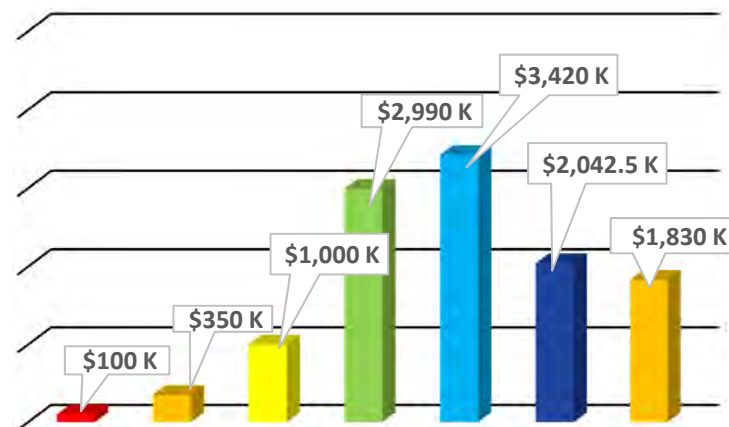
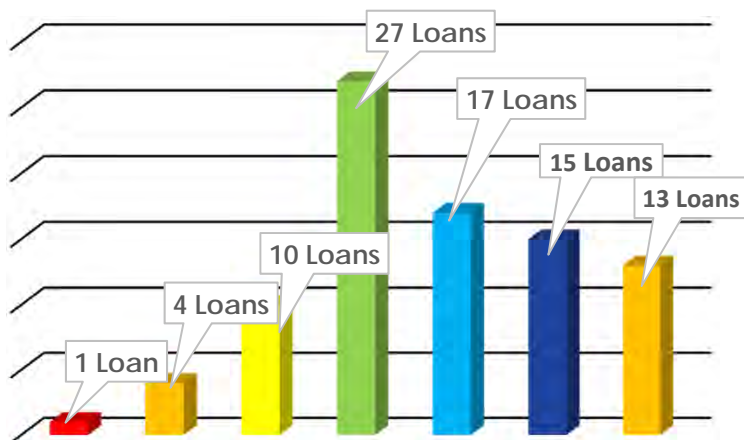
Small Business Mentoring Program Tier 1



# 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	-	13 Loans	totaling	\$1,830,000*
	<b>Total</b>		<b>87 Loans</b>	<b>Totals</b>	<b>\$11,732,500</b>

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



\*Loan values shown are through April 30, 2017.

Program Year 7 ends on July 31, 2017.

# Small Business Development Program

## Small Business Mentoring Program-Tier 1 MWBE Accomplishments

- ❑ MTA 30% MWBE Goal
- ❑ 74% of all contracts were awarded to NYS Certified MWBEs
- ❑ 72% of all contract dollars were awarded to NYS Certified MWBEs

## Small Business Mentoring Program-Tier 2 MWBE Accomplishments

- ❑ MTA 30% MWBE Goal
- ❑ 73% of all contracts were awarded to NYS Certified MWBEs
- ❑ 78% of all contracts dollars were awarded to NYS Certified MWBEs

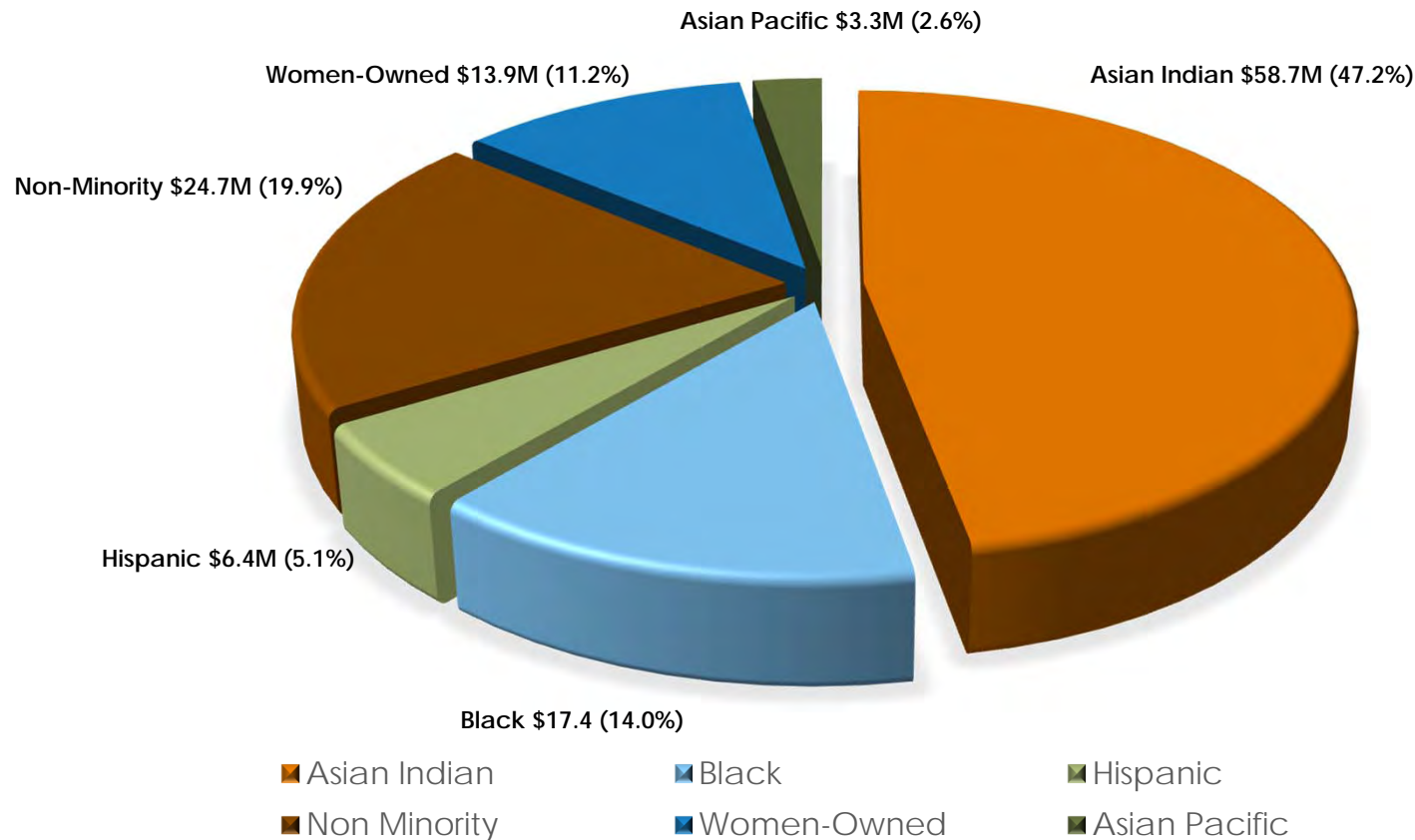
## Small Business Federal Program DBE Accomplishments

- ❑ 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



Category	Awards
Asian Indian	\$58.7M
Non-Minority	\$24.7M
Black	\$17.4M
Women-Owned *	\$13.9M
Hispanic	\$ 6.4M
Asian Pacific	\$ 3.3M
<b>Total SBMP Awards</b>	<b>\$ 124.4M</b>

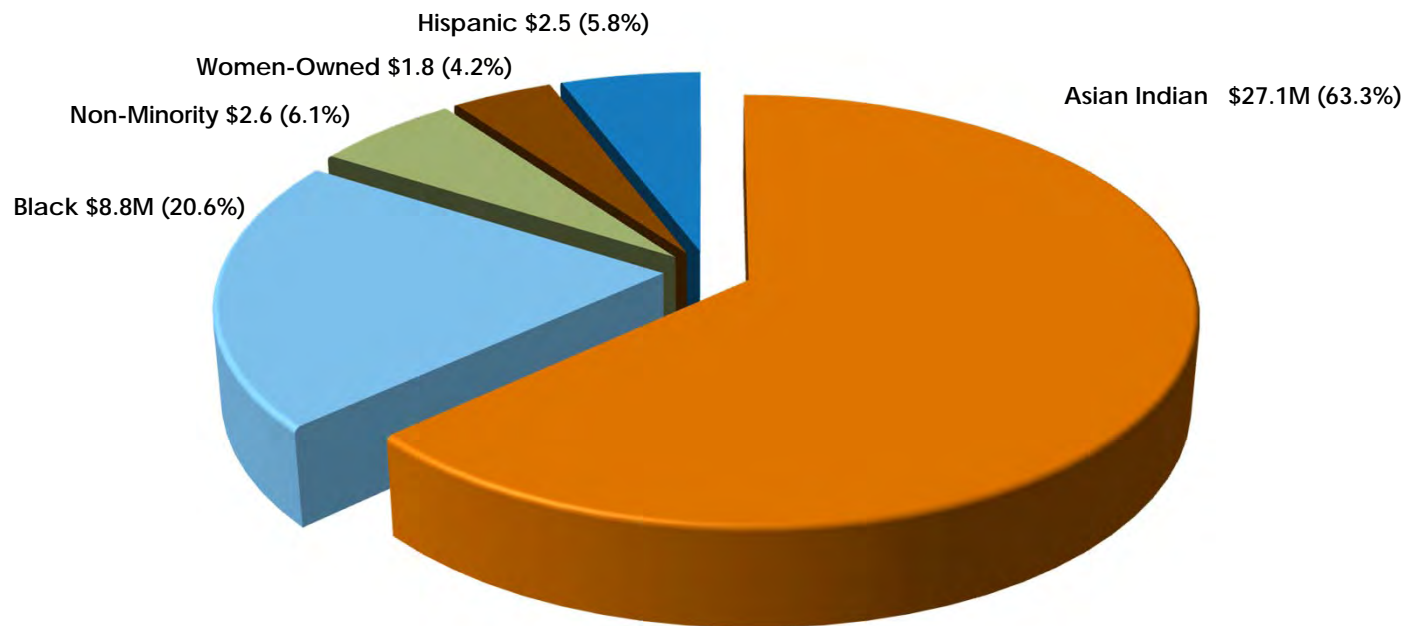
*\* All ethnic owned WBEs are categorized within their respective ethnic group.*



Contract Awards through April 30, 2017

# SBDP Contract Awards

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



Category	Awards
Asian Indian	\$27.1M
Black	\$ 8.8M
Non-Minority	\$ 2.6M
Hispanic	\$ 2.5M
Women-Owned *	\$ 1.8M
Asian Pacific	\$ -0- M
<b>Total TIER 2 Awards</b>	<b>\$42.8M</b>

Asian Indian Black Non-Minority Women-Owned Hispanic

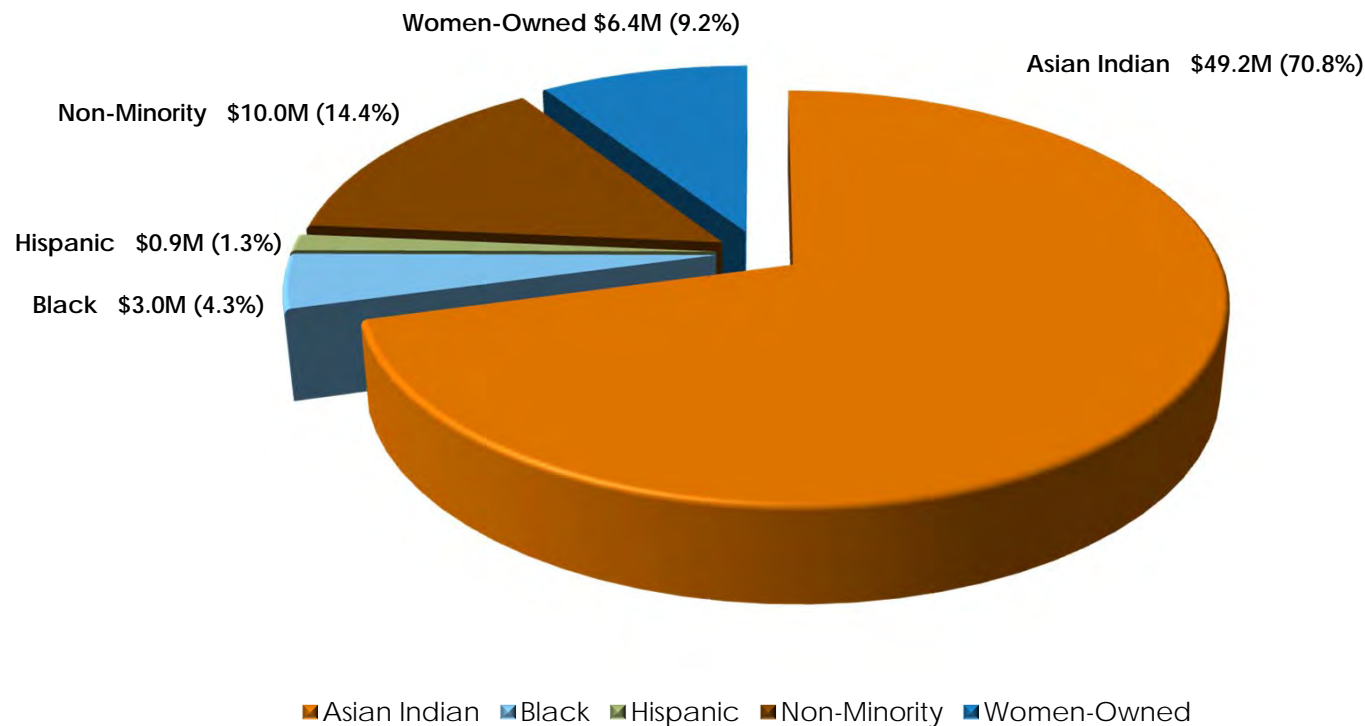
*\* All ethnic owned WBEs are categorized within their respective ethnic group.*

Contract Awards through April 30, 2017



# SBDP Contract Awards

## Contract Awards in SBFP by Ethnic/Gender Category



Category	Awards
Asian Indian	\$49.2M
Non-Minority	\$10.0M
Women-Owned *	\$ 6.4M
Black	\$ 3.0M
Hispanic	\$ 0.9M
Asian Pacific	\$ -0-M
<b>Total SBFP Awards</b>	<b>\$69.5M</b>

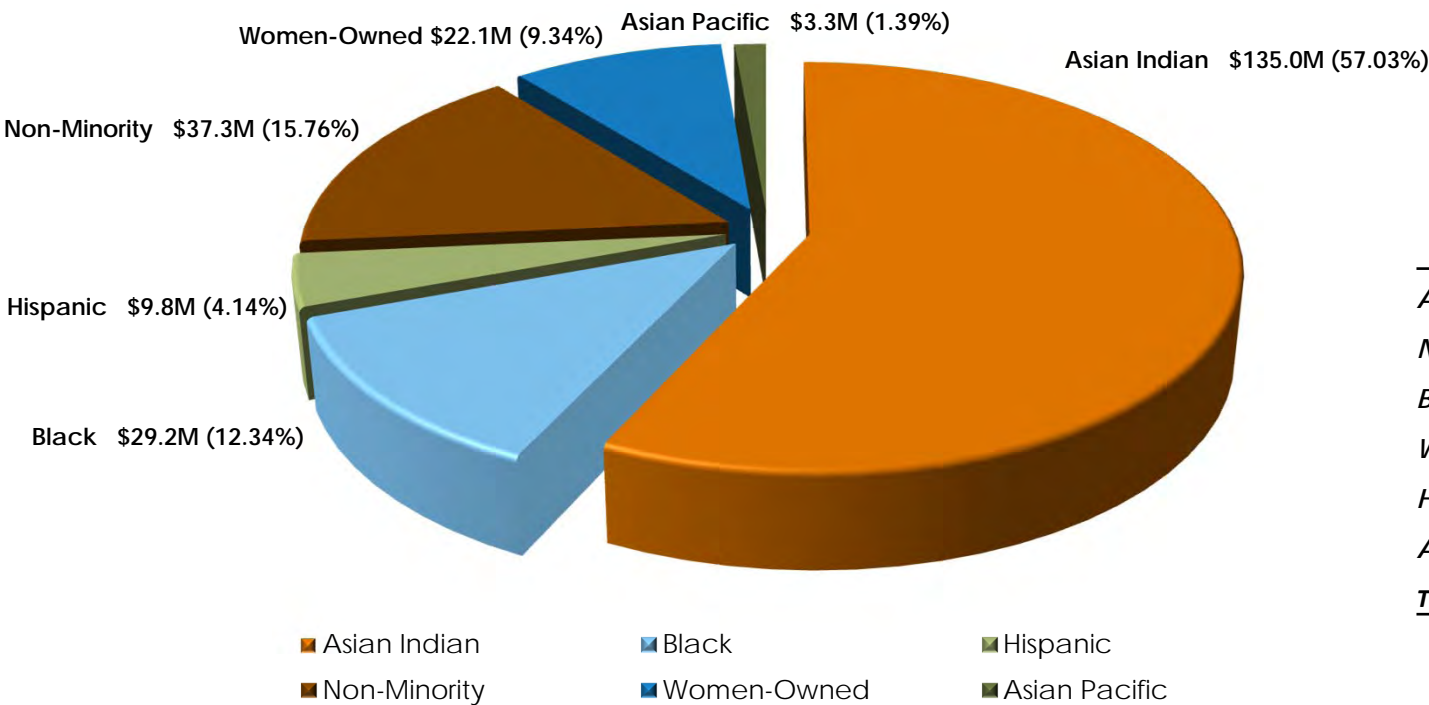
\* All ethnic owned WBEs are categorized within their respective ethnic group.



Contract Awards through April 30, 2017

# SBDP CONTRACT AWARDS

## Total SBDP Contract Awards by Ethnic/Gender Categories



Category	Awards
Asian Indian	\$135.0M
Non-Minority	\$ 37.3M
Black	\$ 29.2M
Women-Owned *	\$ 22.1M
Hispanic	\$ 9.8M
Asian Pacific	\$ 3.3M
Total SBDP Awards	\$236.7M

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



Contract Awards through April 30, 2017

# SBDP Jobs Created

❑ PY' 10 – PY' 16	SBMP-Tier 1	Awards total \$124.4 Million
❑ PY' 15 – PY' 16	SBMP-Tier 2	Awards total \$42.8 Million
❑ PY' 13 – PY' 16	SBFP	Awards total \$69.5 Million

5,680\* 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	42 firms	 13 Black
		 3 Asian Indian
		 8 Hispanic
		 16 Other
		 2 Asian Pacific

---

---

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

---



Contractor Applications through April 30, 2017

# WHAT'S NEW AT THE SBDP?

## Spring 2017 Semester of Training Classes

- ❑ Branded presentation materials & Case Study approach
- ❑ 55 registered firms with consistent attendance
- ❑ Introduction of new topics
  - Project Management and Business / Personal Credit

## The contractor pool continues to grow

- ❑ 42 Emerging Contractors, 0 pending application review
- ❑ 173 Tier 1, 53 Tier 2 and 36 in SBFP with 25 pending applications
- ❑ Ongoing outreach efforts continue to generate interest and excitement

## Scope B Activities

- ❑ Assessments of contractors
- ❑ Additional Training Opportunities
- ❑ 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
  - ❑ 36 of 42 initial assessments complete
  - ❑ 95 of 173 Tier 1 Assessments complete
- ❑ 2 parts to the Assessment
  - ❑ Electronic surveys
  - ❑ 34 of 36 In-Person Assessments complete for 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
  - ☐ 3 Session Financial Seminar completed for Emerging Contractors Program
- ☐ Business Planning
  - ☐ 10 contractors selected to have Business Plans prepared
- ☐ Construction Law Guidance
- ☐ Branding
- ☐ Marketing
- ☐ Technology
- ☐ Additional Training classes scheduled for May – August 2017



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



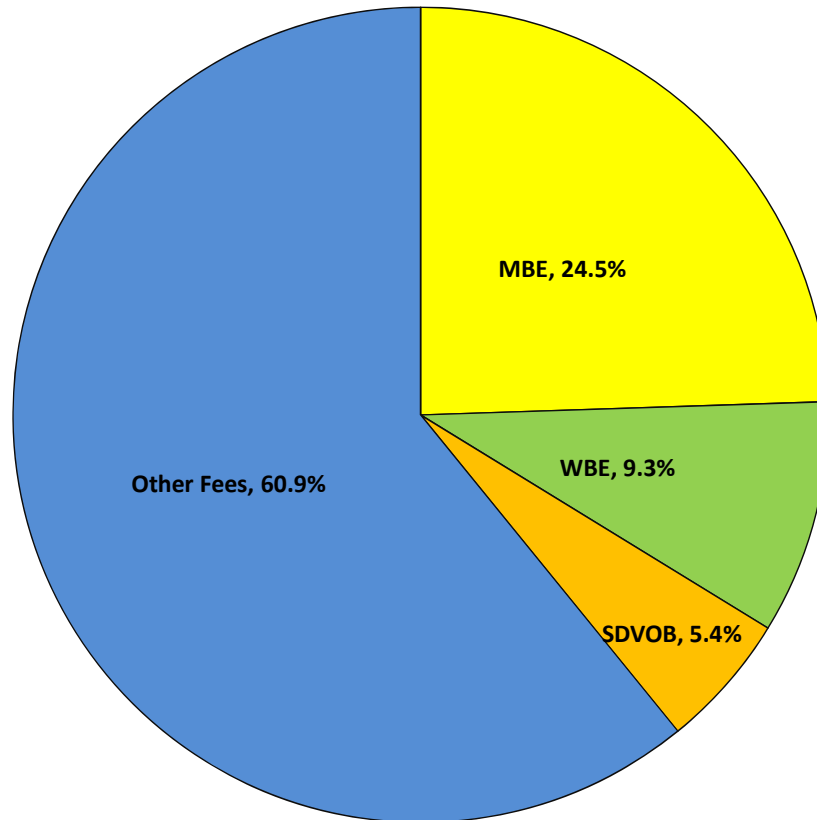
# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## Financial Services

May 22, 2017



### MTA-Wide Underwriter Fees (April 2016 - March 2017)

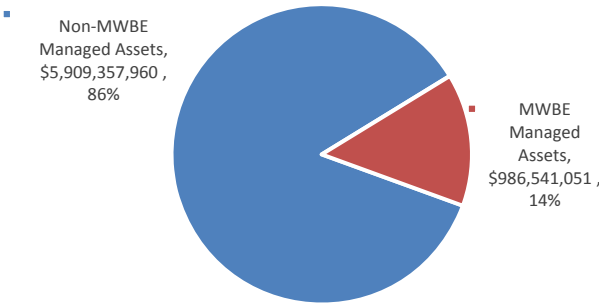


<b>MBE Participation:</b>	<b>\$3,842,604 or 24.5%</b>
<b>WBE Participation:</b>	<b>\$1,457,120 or 9.3%</b>
<b>SDVOB Participation:</b>	<b>\$842,684 or 5.4%</b>
<b>Other:</b>	<b>\$9,553,911 or 60.9%</b>
<b>Total Fees:</b>	<b>\$15,696,318</b>

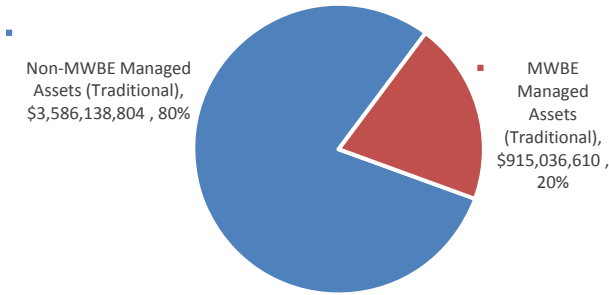
# MTA Sponsored Plans – MWBE Participation

As of March 31, 2017

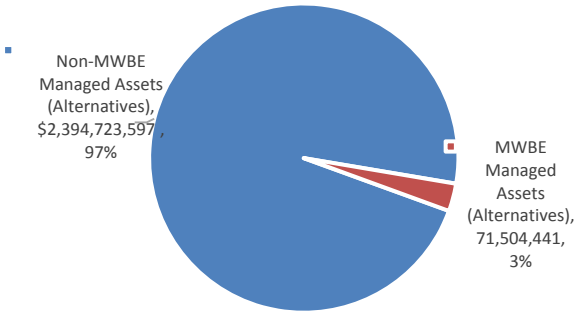
Combined Plans - Total Assets



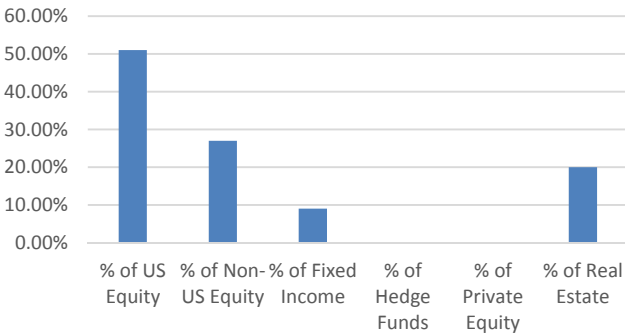
Combined Plans - Traditional Investments



Combined Plans- Alternative Investments



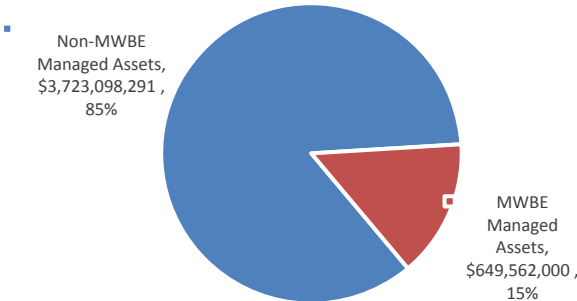
MWBE Managed Assets by Asset Class



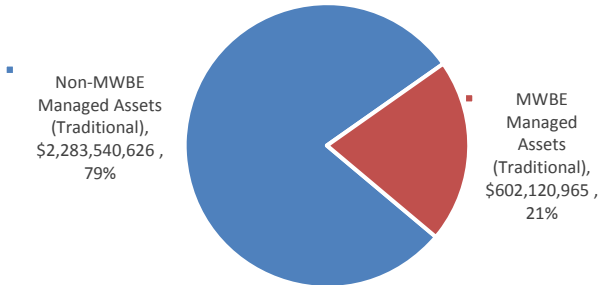
# MTA Sponsored Plans – MWBE Participation

As of March 31, 2017

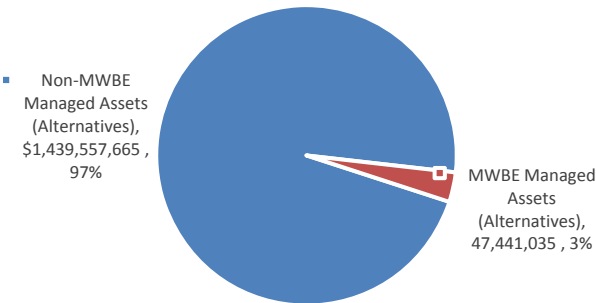
MTA Defined Benefit - Total Assets



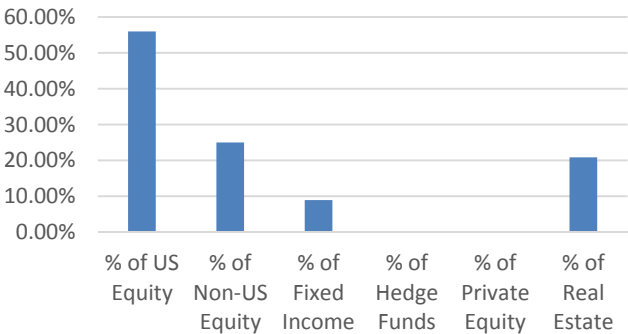
MTA Defined Benefit - Traditional Investments



MTA Defined Benefit - Alternative Investments



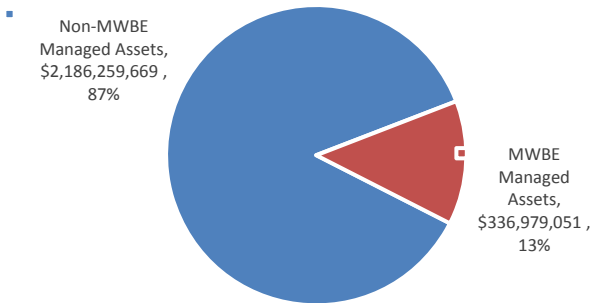
MWBE Managed Assets by Asset Class



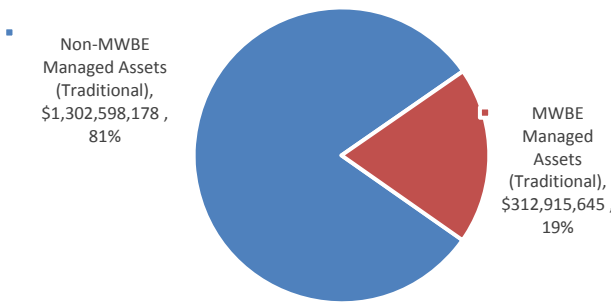
# MTA Sponsored Plans – MWBE Participation

As of March 31, 2017

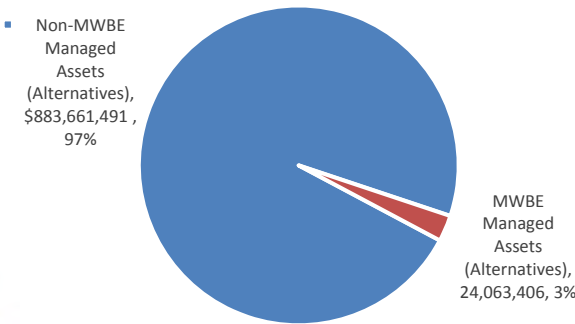
MaBSTOA - Total Assets



MaBSTOA - Traditional Investments



MaBSTOA - Alternative Investments



MWBE Managed Assets by Asset Class

