



**Metropolitan Transportation Authority**

# **Diversity Committee Meeting**

## **September 2017**

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### **Committee Members**

**J. Molloy, Chairman**

**D. Jones**

**S. Metzger**

**P. Ward**

**N. Zuckerman**

# **Diversity Committee Meeting**

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

**Monday, 9/25/2017**

**2:45 - 3:45 PM ET**

## **1. PUBLIC COMMENT PERIOD**

## **2. APPROVAL OF MINUTES-DECEMBER 12, 2016, FEBRUARY 21, 2017, AND MAY 22, 2017**

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**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 Giuliatti, 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 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. Giulietti 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. Giulietti 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. Giulietti 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. Giulietti 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. Giulietti 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. Giulietti 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. Giulietti said HR, Diversity and Equal Opportunity, Procurement, and MTAPD also attended this event.

Mr. Giulietti 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. Giulietti 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. Giulietti

to identify projects for SBMP. Mr. Giuliatti said with the approval of the Capital Plan several projects will 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 SBDF was the envy of both the City and the State of New York. He said the SBDF is vital for the MTA because it is the leading driver of contract awards to MWDBEs. He reported 77% MWBE participation in SBDF Tier 2, and 40% DBE participation in SBDF.

Mr. Garner commended MTA agencies on their hard work, and stated that SBDF 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

## MTA DIVERSITY COMMITTEE

Meeting Minutes  
2 Broadway, 20<sup>th</sup> Floor  
New York, NY 10004  
Monday, May 22, 2017  
2:45 p.m.

The following Committee member was present:

Hon. Susan G. Metzger

The following Committee members were absent:

Hon. John Molloy, Chairman

Hon. David Jones

Hon. Peter Ward

Hon. Neal Zuckerman

The following were also present:

Veronique "Ronnie" Hakim, MTA Interim Executive Director

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

Naeem Din, Deputy Chief Diversity Officer, 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

Ron McCune, Assistant Director, Certification, DDCR

Ray Burke, Assistant Director, Minority, Women-owned, and Disadvantaged Business Enterprises ("MWDBE") Contract Compliance, DDCR

Doreen Taveras, Assistant Director, MWDBE Contract Compliance, DDCR

Stuart Reimbeau, MWDBE Operations and Technology Enablement, DDCR

George Llanos, Manager, Business and Diversity Initiatives, DDCR

Nadara Wade, Manager, Title VI Compliance, DDCR

David Cannon, Chief Procurement Officer, MTA Capital Construction

Alberto Richardson, Operations Analysis Officer, MTA Bus Company

Christopher Bennett, Procurement Manager, M/WBE Compliance, MTA Bridges and Tunnels ("B&T")

Shawn Moore, Chief EEO Officer, B&T

Patrick Isom, Manager, Financial Analysis, MTAHQ

Joel Andrews, Chief Officer, Office of EEO, MTA New York City Transit ("NYCT")  
Transit

Patricia Lodge, Vice President, Human Resources, NYCT

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Michael Fyffe, Director, Diversity Management, MTA Long Island Rail Road (“LIRR”)  
Vernessa Moses, Assistant Vice President, EEO and Diversity, NYCT  
Michael Collins, Assistant Vice President, EEO and Diversity, NYCT

### **Public Speakers**

There were no public speakers.

### **Approval of Minutes**

Votes on minutes of the meetings held on December 12, 2016 and February 21, 2017 will take place at the following Diversity Committee meeting.

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

Ms. Metzger asked if there were any changes to the Work Plan. Mr. Din noted the following change: DDCR will present MTA’s DBE Goal for the next three Federal Fiscal Years at the September 2017 Committee meeting.

### **Executive Summary**

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

Mr. Din provided an update on various outreach events for MWBEs, Service Disabled Veteran-Owned Businesses (“SDVOBs”), and other small businesses that DDCR organized and/or attended.

#### **Certification Activity Report**

Mr. Din reported on the DBE certification activity for the first quarter of 2017. Mr. Din stated that for the reporting period, 35 new applications were received and 42 applications were processed. He said both of these numbers are higher, compared with the same period for the past two years.

#### **First Quarter 2017 EEO Activities**

Mr. Din reported that MTA has over 72,700 employees; of which over 12,800 (18%) are women, and over 49,300 (68%) are minorities. Additionally, Mr. Din said over 1,800 (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 noted that compared to the first quarter of 2016, the representation of women in the workforce increased by 579 (5%). He said the representation of minorities also increased by 1,948 (4%). Mr. Din also reported that MTA hired 1,908 employees, of which 436 (23%) are women, 1,487 (78%) are minorities, and 54 (3%) are veterans. He said MTA and its agencies handled 356 EEO complaints, of which 193 were internal and 163 were external complaints. In addition, Mr. Din reported that MTA and its agencies handled a total of 205 Title VI complaints.

Ms. Metzger stated that she is pleased to see that DDCR is making progress in achieving the representation of women and minorities in MTA’s workforce. She said MTA agencies provide

their individual workforce reports to agency operating committees but those reports are not discussed at those committee meetings. She said it would be helpful to have MTA agencies report on progress made in this area to the Diversity Committee on a regular basis.

Ms. Hakim said agency presidents report regularly to the Diversity Committee about the makeup of their respective agency's workforce, and this is the proper forum to discuss progress made in this area. Ms. Metzger agreed. She said it makes a big difference when agencies share their best practices. Mr. Garner said that agency presidents will report to the Committee in September 2017.

### **Title VI Program**

Ms. Brown briefed the Committee on MTA's Title VI Program requirements and objectives. She said Title VI of the Civil Rights of 1964 as amended prohibits discrimination based on race, color, and national origin in any federally funded program or activity. Ms. Brown said Title VI requirement of environmental justice and prohibition against discrimination based on low income status were added in 1994 by an executive order. Ms. Brown said non-compliance with Title VI requirements may cause delay or withholding of federal funds for the MTA.

Ms. Brown added that prior to submission of the Title VI Program to the FTA, Board approval of service standards and policies is needed, and equity analyses need to be conducted for any fare increase, and for a major service change. She said that previously on June 3, 2013 MTA Board approved revisions to MTA policies on fare changes, major service changes, and service standards. Ms. Brown said MTA agencies continue to comply with these policies.

Additionally, Ms. Brown said MTA agencies annually submit their Title VI Programs to DDCR for review. She said that MTA is required every three years to submit its Title VI Program to the Federal Transit Administration ("FTA"). Ms. Brown said MTA's Title VI Program requires Board approval prior to its submission to the FTA by June 1, 2017. Ms. Metzger asked if any additional policies are needed to be approved by the Board. Ms. Brown replied no additional policies are needed. Ms. Metzger said that MTA's Title VI Program will be forwarded to the Board for approval.

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

Mr. Din reported that for the first six months of Federal Fiscal Year 2017, MTA and its agencies awarded over \$400 million in federally-funded contracts, with DBE participation of \$72 million (18%). He said over \$543 billion was paid to prime contractors in federally-funded contracts, with DBE participation of over \$147 million (27%). Mr. Garner stated that MTA exceeded its DBE goal of 17% for the reporting period on contract awards and payments.

Mr. Din also reported that MTA's overall MWBE goal is 30%. He stated that for New York State fiscal year 2016-2017, approximately \$2 billion was awarded in state-funded contracts, with MWBE participation of approximately \$316 million (16%). He said approximately \$2 billion was paid to prime contractors with MWBE participation of over \$387 million (23%). Mr. Din stated, with regards to discretionary procurements, out of a total of approximately \$38 million, with a value of \$400,000 or less, over \$11 million (30%) was awarded to MWBEs, and additional \$1 million (3%) was awarded to Small Business Concerns.

Mr. Din also reported that MWBE law firms received \$3 million (10%) out of a total of \$31 million that MTA paid in outside counsel fees. Mr. Garner said while the 10% MWBE participation in outside counsel fees is the highest that MTA has ever achieved, it is less than MTA's 30% MWBE goal. Mr. Garner said he is working with MTA agency general counsels to

MTA Diversity Committee Meeting Minutes, Monday, May 22, 2017

formulate strategies for greater MWBE participation in this area. In addition, Mr. Garner praised Ms. Moore and Mr. Din's efforts in helping to create a diverse pool of outside law firms. Ms. Metzger asked if with greater effort MTA will achieve its 30% goal in this area. Mr. Garner said that it will.

Ms. Taveras reported that DDCR has made great progress regarding site visits. She said DDCR conducted 1,070 site visits between the third quarter of 2016 and first quarter of 2017. She said these visits were conducted at various facilities such as construction sites and offices of participating MWBEs. Ms. Taveras said DDCR managers conduct an average of eight site visits per month. She added that DDCR will meet its goal of 96 site visits per manager this year.

Mr. Garner stated that in addition to contract closeouts, focus will be on creating an MTA-wide closeout policy, governing MTA agency contract closeout process. He added that under this policy, DDCR will obtain the necessary information to complete its own closeout process. Ms. Metzger observed that good progress has been made in this area.

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

Mr. Din reported on MWDBE participation in MTA's Capital Projects for first quarter of 2017. He said \$40 million was awarded in federally-funded capital projects, with \$11 million (28%) awarded to DBEs. He said \$71 million was awarded in state-funded capital projects, including \$12 million (17%) awarded to MBEs, and \$9 million (13%) awarded to WBEs for total MWBE participation of 30%.

### **SBDP Update**

Mr. Cleary reported that as of April 30, 2017, 173 firms were prequalified for Tier 1, and 53 firms were prequalified for Tier 2 of the program. He said an additional 36 firms have been prequalified for the Federal Program.

Mr. Cleary reported that since the inception of the program, 87 loans for \$11.7 million have been awarded totaling \$234.7 million. He also reported that 5,680 jobs have been created as a result of the program.

Additionally, Mr. Cleary reported that 42 firms have been prequalified for the Emerging Contractor Program. Ms. Metzger stated that this program is beneficial for the contractor and the MTA. She said she would like to see some Orange County firms participate in this program. Mr. Cleary said additional outreach events will be scheduled.

Mr. Garner stated that he has met with MTA agency presidents to emphasize the importance of assigning more projects to SBDP. He said there will be \$70 million worth of projects assigned to the program this year, which is short of the program goal of \$96 million. Mr. Garner stated that the New York City School Construction Authority ("SCA") has a similar program, and many firms are doing business with the SCA and MTA. Since the firms have the ability to choose whose project they will work on, Mr. Garner said he is hoping this will not drive up the cost. Mr. Garner said he is optimistic that MTA agencies will be able to assign more projects to the program. Ms. Metzger agreed that it is best to deal directly with the agencies.

## **Financial Services**

Mr. Isom reported that during the state fiscal year 2016-2017, approximately \$16 million in underwriter fees was awarded, with MBE participation of approximately \$4 million (25%), and WBE participation of approximately \$1.5 million (9%). He said that due to lack of available firms, WBE participation was low in this area. Mr. Isom said for the next fiscal year, there will be more qualified WBEs firms based on the type of work awarded and it is expected that 15% WBE goal will be achieved. He said as a consequence, the MBE participation may be lower than the 25% achieved in the fiscal year 2016-2017 but it will still be at least 15%, with overall MWBE participation in this area expected to be at 30%.

In addition, Mr. Isom said SDVOB participation of 5% was achieved, which is below the MTA goal of 6%. He said this was due to a large financial transaction that was completed for which no SDVOB firms were available.

Mr. Isom added that while the total MWBE participation for last fiscal year (34%) was not as high as the previous year's (37%), it was still over MTA's 30% MWBE goal.

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. Garner provided numbers on MWBE participation. He said within the next two or three months the MTA will have more than \$1 billion in assets being managed by state certified asset fund managers. He added that the MTA has some of the highest rates in the state of New York with regard to asset fund managers.

Mr. Garner also thanked DDCR staff for their hard work.

## **Adjournment**

Ms. Metzger 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

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<b>I. RECURRING AGENDA ITEMS</b>	<u>Responsibility</u>
Approval of Minutes	Committee Chair & Members
Committee Work Plan	Committee Chair & Members
MTA Agency-wide Business and Diversity Initiatives and EEO Programs Activities	Dept. of Diversity/Civil Rights
MTA DBE Certification Program Activities	Dept. of Diversity/Civil Rights
M/W/DBE Contract Compliance Activities	Dept. of Diversity/Civil Rights
Action Items (if any)	As listed
<b>II. SPECIFIC AGENDA ITEMS</b>	<u>Responsibility</u>
 <u>February 2017</u>	
Recommitment to EEO Policy	Dept. of Diversity/Civil Rights
2017 Departmental Goals	
2016 Year-End Report	
Recruitment Strategies for MTAHQ and MTA Agencies	Dept. of Diversity/Civil Rights, MTAHQ and Agency Staff
 <u>May 2017</u>	
1st Quarter 2017 Report	Dept. of Diversity/Civil Rights
Review and Approval of MTA's Title VI Program	Committee Chair & Members
 <u>September 2017</u>	
2nd Quarter 2017 Report	Dept. of Diversity/Civil Rights
Recruitment Strategies for MTAHQ and MTA Agencies	Dept. of Diversity/Civil Rights, MTAHQ and Agency Staff
Diversity Committee Charter Review	Committee Chair & Members
MTA DBE Goal for FFYs 2018-2020	Dept. of Diversity/Civil Rights
 <u>December 2017</u>	
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

September 25, 2017



# Executive Summary

- **Business and Diversity Initiatives** (full report on page 39)
  - DDCR continues to attend various events to reach out to Minority and, Women-owned Business Enterprises (“MWBEs”), Disadvantaged Business Enterprises (“DBEs”) and Service Disabled Veteran-Owned Businesses (“SDVOBs”).
  
- **Certification Activity Report** (full report on page 42)
  - A total of **26** applications for DBE certification were **received**. The number of new applications is lower than last year’s but higher than previous year’s numbers for the same period.
  - A total of **47** 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 44)

- MTA's overall workforce is currently comprised of **73,457** employees; of which **13,184 (18%)** are Females,\* **49,939 (68%)** are Minorities and **1,829 (2%)** are Veterans. \*\*
- The percentage of Females in the workforce has **increased** by **5% (602)** as compared to the second quarter 2016. As it relates to Race/Ethnicity, the percentage of minorities has **increased** by **2,011 (4%)** compared to the second quarter 2016.
- MTA hired **3,930** employees; of which **1,021 (26%)** were Females,\* **3,038 (77%)** were Minorities and **104 (3%)** were Veterans.\*\*
- MTA and its Agencies handled a total of **418** EEO complaints; of which **237** were internal and **181** were external.
- MTA and its Agencies handled a total of **260** Title VI complaints.

\*Includes minorities, non-minorities, and veterans

\*\*Minorities and Non-minorities

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



# Executive Summary

- The table below is a snapshot as of **June 30, 2017** of each agency's numbers of employees, percentage of Race/Ethnicity, Gender and Veterans.

Agency	Total Employees	FEMALES*		Non-Minorities		Minorities*		BLACKS		HISPANICS		ASIANS		AI/AN		NHOPI		2+ Races		VETERANS	
		#	%	#	%	#	%	#	#	#	%	#	%	#	%	#	%	#	%	#	%
B&T	1,541	378	25%	664	43%	877	57%	426	28%	277	18%	112	7%	5	0%	1	0%	56	4%	89	6%
BUS	4,232	541	13%	978	23%	3254	77%	1,913	45%	828	20%	341	8%	9	0%	14	0%	149	4%	41	1%
CCC	138	47	34%	65	47%	73	53%	22	16%	12	9%	36	26%	1	1%	0	0%	2	1%	2	1%
HQ	2,663	883	33%	1205	45%	1458	55%	597	22%	328	12%	417	16%	7	0%	2	0%	107	4%	52	2%
LIRR	7,350	1,123	15%	4717	64%	2633	36%	1,284	17%	809	11%	314	4%	23	0%	4	0%	199	3%	509	7%
MNR	6,703	873	13%	4177	62%	2526	38%	1,389	21%	696	10%	213	3%	25	0%	1	0%	202	3%	577	9%
NYCT	50,830	9,339	18%	11712	23%	39118	77%	23,733	47%	8,273	16%	5,895	12%	99	0%	21	0%	1,097	2%	559	1%
<b>Total</b>	73,457	13,184	18%	23,518	32%	49,939	68%	29,364	40%	11,223	15%	7,328	10%	169	0%	43	0%	1,812	2%	1,829	2%

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

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



# Executive Summary

- **Agency Strategies to Address Utilization**(full report on page 62)
  - MTA Presidents provide strategies to improve workforce, business and service for their respective agencies (HQ, PD, B&T, CCC, MNR, LIRR, BUS, and NYCT)



# Executive Summary

## □ Small Business Development Program Update

(full report on page 95)

- 43 firms prequalified for the **Emerging Contractors Program**
- 207 firms prequalified for **Tier 1** of the Small Business Mentoring Program
- 48 firms prequalified for **Tier 2** of the Small Business Mentoring Program
- 22 firms prequalified for the Small Business **Federal** Program
- 12 firms are in both **Tier 2** and the **Federal** Program
- 95 loans for **\$12.9M** from inception to date
- **\$257.3M** in total contract awards
- **6,089** jobs created within the Small Business and MWDBE community
- Business assessments in progress with contractors across all program levels



# Executive Summary

- ❑ **MWDBE Contract Compliance** (full report on page 116)
  - ❑ For the first nine months of the Federal Fiscal Year 2017, MTA and its agencies awarded approximately **\$1.3 billion** in federally-funded portion of contracts, with DBE participation of **\$197 million (15%)**. The overall DBE goal is **17%**. A total of **\$949 million** was paid to prime contractors in federally-funded contracts, with DBE participation of **\$183 million (19%)**.
  - ❑ The overall MWBE goal is **30%**. For New York State fiscal year 2016-2017, **\$811 million** was awarded in state-funded contracts, with MWBE participation of approximately **\$127 million (16%)**. A total of **\$583 million** was paid to prime contractors with MWBE participation of approximately **\$137 million (23%)**.
  - ❑ For discretionary procurements, out of a total of approximately **\$147 million**, with a value of **\$400,000 or less**, **\$26 million (17%)** was awarded to MWBEs, and **\$4 million (3%)** was awarded to Small Business Concerns.
  - ❑ For Architectural and Engineering awards through discretionary procurement, since inception **14** projects have been awarded, totaling **\$1.5 million**
  - ❑ For IT discretionary, a total of **113 awards** were made, with the value of **\$18 million**. Since inception **\$50 million** has been awarded



# Executive Summary

- MWBE law firms received \$683,000 (9%) out of a total of \$8 million paid in outside counsel fees. For state fiscal year 2016-2017, \$31 million was paid in outside counsel fees with MWBE participation of \$3,017,845 (10%).
- DDCR conducted 457 site visits from January to August 2017. On average each manager is required to conduct at least eight site visits per month. As of August 31, 2017, DDCR has closed 1,142 contracts, with an additional 17 contracts in the process of being closed, and 75 contracts are pending agency action.



# Executive Summary

- **MWDBE Capital Projects** (full report on page 143)
  - As of the second quarter of calendar year 2017, approximately **\$903 million** was awarded in federally-funded capital projects, including **\$143 million (16%)** awarded to DBEs. **\$459 million** was awarded in state-funded capital projects, including **\$60 million (13%)** awarded to MBEs, and **\$44 million (10%)** awarded to WBEs. The total MWBE participation is **23%**. There was no additional SDVOB participation.
  
- **MTA's Overall DBE Goal for Federal Fiscal Years ("FFYs") 2018-2020** (full report on page 145)
  - MTA is proposing to increase its overall DBE goal for next three FFYs from 17% to 18%.
  - Overall DBE goal is set based on availability of DBEs and the types of projects which are expected to be awarded.



# Executive Summary

- **Financial Services** (full report on page 159)
  - For underwriter fees, for the first quarter of New York State fiscal year 2017-2018, \$2.45 million was awarded in underwriter fees. MBE participation was \$1.3million (53%), and WBE participation was approximately \$339,000 (14%). An additional \$151,000 (6%) was paid to SDVOBs.



# Executive Summary

- **Asset Fund Managers – MWBE Participation Combined Plans** (full report on page 161)
  - Total assets managed by MWBEs are \$1.03 billion; or 15% of total assets
  - Total assets managed by MWBEs grew by over \$42 million in 2Q17, or 4.3%
  - The majority of assets are in traditional asset classes
  - Traditional assets managed by MWBEs: \$955.8 million; or 21% of traditional assets
    - MWBE firms manage
      - 51% of US Equities
      - 27 % of Non-US Equities
      - 9% of Fixed Income



# Executive Summary

- Second MWBE investment in alternative investments closed in 2nd 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
  - Active schedule with meetings with 43 MWBE investment managers during 1H17
  - Key opportunities in 2017 will be in Event Driven, Long/Short Equities, Global Macro, Emerging Markets, Private Equity



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## Business & Diversity Initiatives

September 25, 2017



# Business and Diversity Initiatives

## July 2017

DBE Goal Setting and Methodology Public Forum

DDCR Presents DBE Certification Session

COMTO's 45<sup>th</sup> National Meeting and Training Conference

23<sup>rd</sup> Annual Competitive Edge Conference

31<sup>st</sup> Annual National Hispanic Business Group Gala

DDCR Presents "New Firm Orientation Session"

## August 2017

Harlem Week Events: Youth Education and Career Conference 2.0, NYC Economic Development Day, Senior Citizens Day, Higher Education Fair and Expo, Upper Manhattan Small Business Expo and Fair, Percy Sutton Harlem 5K Walk/Run

CUNY MWBE/SDVOB Contract Opportunities Event

Rockland County PTAC presents "Doing Business with Metro-North Railroad"



# Business and Diversity Initiatives

**September 2017**

South Bronx Overall Economic Development Corp MWBE Expo

DDCR Presents DBE Certification Session

Nassau County MWBE Event

2017 Circle of Sisters Expo



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## DBE Certification Activity Report

September 25, 2017



# MTA DBE Certification Unit

## DBE CERTIFICATION APPLICATIONS RECEIVED SECOND QUARTER 2015-2017

	2017	2016	2015
APRIL	9	7	4
MAY	8	14	9
JUNE	9	16	11
TOTAL	26	37	24

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

	2017	2016	2015
CERTIFIED	23	15	16
DENIED	0	0	2
RETURNED	15 <sup>1</sup>	16 <sup>2</sup>	3 <sup>3</sup>
WITHDRAWN	9	3	2
TOTAL ACTIVITY	47	34	23

1. Two firms were already certified by other NYUCP partners; four firms reapplied, one was certified and three are pending certification.
2. Seven firms reapplied and were certified as DBEs.
3. None reapplied.



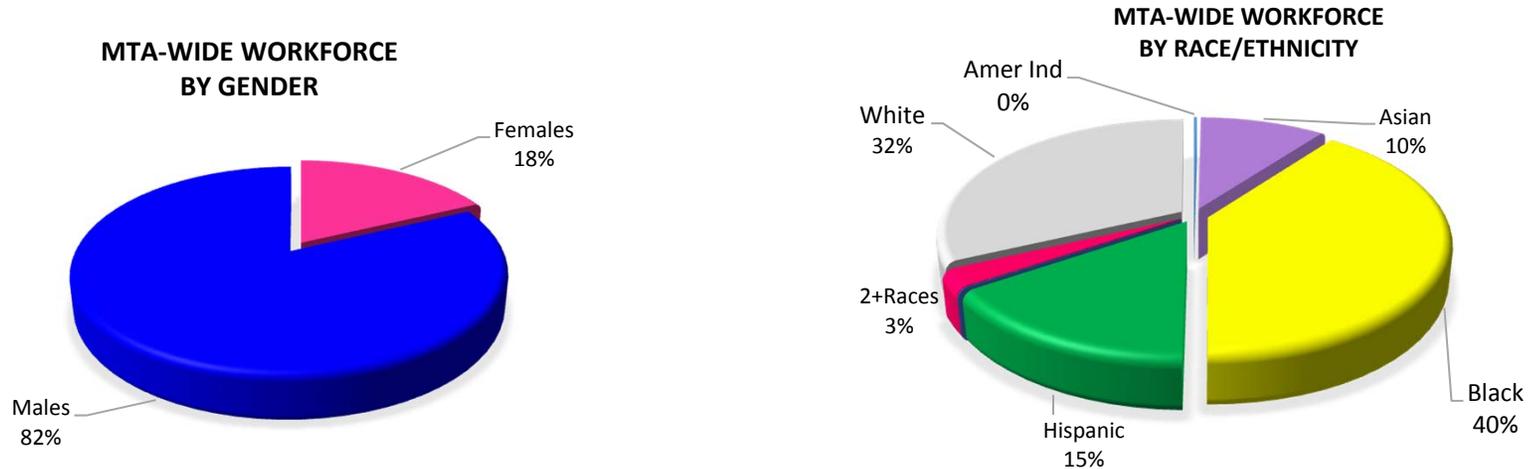
# Metropolitan Transportation Authority Department of Diversity and Civil Rights

MTA-Wide Workforce  
As of June 30, 2017

September 25, 2017



# MTA-Wide Workforce as of June 30, 2017



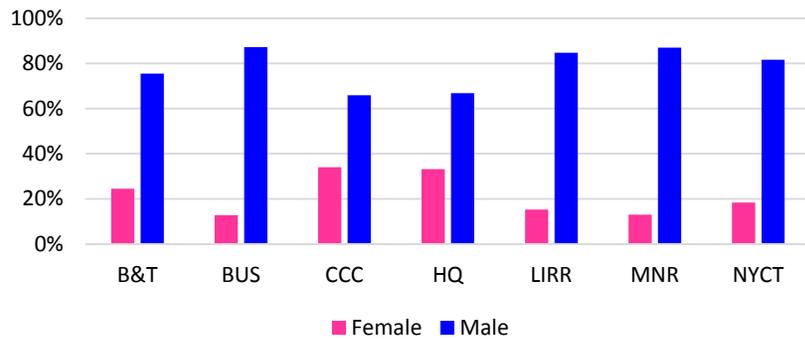
MTA Authority-wide consist of **73,457** employees.

- ❑ **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.

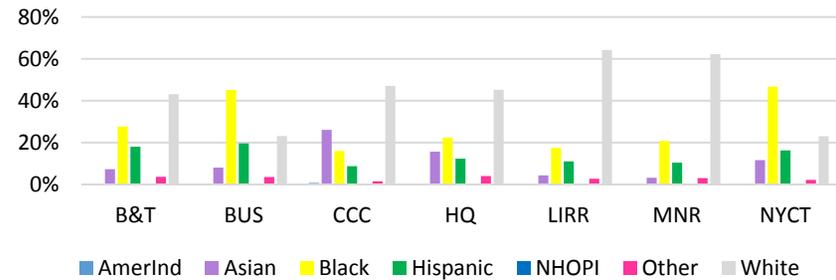


# MTA-Wide Workforce by Gender and Race/Ethnicity as of June 30, 2017

**MTA Agencies by Gender**



**MTA Agencies By Race/Ethnicity**



Agency	Employees	Females	Minorities
B&T	1,541	25%	57%
BUS	4,232	13%	77%
CCC	138	34%	53%
HQ	2,663	33%	55%
LIRR	7,350	15%	36%
MNR	6,703	13%	38%
NYCT	50,830	18%	77%



# Definitions of EEO Job Categories

- ❑ **Officials & Administrators** - Occupations in which employees set broad policies, exercise overall responsibility for execution of these policies, or direct individual departments or special phases of the agency's operations, or provide specialized consultation on a regional, district or area basis.
- ❑ **Professionals** - Occupations which require specialized and theoretical knowledge which is usually acquired through college training or through work experience and other training which provides comparable knowledge.
- ❑ **Technicians** - Occupations which require a combination of basic scientific or technical knowledge and manual skill which can be obtained through specialized post-secondary school education or through equivalent on-the-job training.
- ❑ **Protective Services** - Occupations in which workers are entrusted with public safety, security and protection from destructive forces.



# Definitions of EEO Job Categories

- ❑ **Paraprofessionals** - Occupations in which workers perform some of the duties of a professional or technician in a supportive role, which usually require less formal training and/or experience normally required for professional or technical status.
- ❑ **Administrative Support** - Occupations in which workers are responsible for internal and external communication, recording and retrieval of data and/or information and other paperwork required in an office.
- ❑ **Skilled Craft** - Occupations in which workers perform jobs which require special manual skill and a thorough and comprehensive knowledge of the process involved in the work which is acquired through on-the-job training and experience or through apprenticeship or other formal training programs.
- ❑ **Service Maintenance** - Occupations in which workers perform duties which result in or contribute to the comfort, convenience, hygiene or safety of the general public or which contribute to the upkeep and care of buildings, facilities or grounds of public property.



# MTA-Wide Underutilization Analysis

MTA and its Agencies have conducted an availability analysis of females and minorities in its workforce. The availability analysis consists of comparing MTA and its Agencies **June 30, 2017** workforce percentages for females and minorities to 80 percent of the females and minorities available within the relevant labor market based on the U.S. Census.

Job Category	Female*		Blacks		Hispanics		Asians		AI/AN**		NHOPi***		2+ Races	
	Est Avail	Actual %												
<b>Officials &amp; Administrators</b>														
B&T	25%	11%	8%	22%	6%	7%	6%	7%	0%	0%	0%	0%	1%	5%
BUS	16%	14%	29%	32%	13%	15%	5%	7%	0%	0%	0%	0%	2%	3%
CCC	23%	28%	10%	14%	4%	5%	20%	28%	1%	1%	0%	0%	1%	2%
HQ	31%	37%	13%	22%	7%	8%	10%	16%	0%	0%	0%	0%	1%	3%
LIRR	21%	19%	13%	12%	8%	10%	4%	7%	0%	1%	0%	0%	2%	4%
MNR	22%	24%	10%	14%	6%	8%	6%	9%	0%	0%	0%	0%	2%	4%
NYCT	14%	23%	32%	30%	12%	11%	9%	13%	0%	0%	0%	0%	4%	4%
<b>Professionals</b>														
B&T	39%	40%	14%	19%	10%	17%	12%	16%	0%	1%	0%	1%	2%	7%
BUS	27%	40%	14%	28%	9%	14%	11%	24%	0%	0%	0%	0%	3%	6%
CCC	38%	53%	13%	20%	16%	27%	20%	33%	0%	0%	0%	0%	0%	0%
HQ	37%	37%	11%	24%	9%	12%	11%	24%	0%	0%	0%	0%	1%	6%
LIRR	21%	18%	16%	13%	10%	9%	5%	13%	0%	0%	0%	0%	2%	3%
MNR	39%	38%	13%	21%	9%	11%	9%	13%	0%	0%	0%	0%	1%	3%
NYCT	27%	37%	19%	31%	9%	10%	12%	26%	0%	0%	0%	0%	1%	4%

Note: The underutilized areas of representation are shaded.

\*Females are also included in the percentages totals for each of the minority groups.

\*\*American Indian/Alaskan Native

\*\*\*Native Hawaiian Other Pacific Islander



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Job Category	Female*		Blacks		Hispanics		Asians		AI/AN**		NHOPI***		2+ Races	
	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %
<b>Technicians</b>														
B&T	15%	19%	14%	16%	11%	24%	4%	6%	0%	0%	0%	0%	2%	4%
BUS	37%	51%	10%	10%	12%	14%	9%	10%	0%	0%	0%	0%	3%	5%
CCC	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
HQ	<b>21%</b>	<b>3%</b>	<b>10%</b>	<b>6%</b>	<b>11%</b>	<b>10%</b>	<b>6%</b>	<b>3%</b>	0%	0%	0%	1%	1%	2%
LIRR	13%	20%	<b>13%</b>	<b>3%</b>	11%	14%	9%	23%	0%	3%	0%	0%	0%	0%
MNR	<b>12%</b>	<b>9%</b>	16%	21%	9%	12%	6%	7%	0%	0%	0%	0%	2%	4%
NYCT	18%	42%	16%	48%	9%	10%	<b>16%</b>	<b>15%</b>	0%	0%	0%	0%	1%	2%
<b>Protective Services</b>														
B&T	<b>26%</b>	<b>22%</b>	19%	34%	13%	24%	4%	4%	0%	0%	0%	0%	1%	3%
BUS	<b>47%</b>	<b>20%</b>	18%	60%	<b>29%</b>	<b>20%</b>	<b>2%</b>	<b>0%</b>	0%	0%	<b>2%</b>	<b>0%</b>	2%	20%
CCC	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
HQ	13%	13%	13%	14%	16%	18%	3%	3%	0%	0%	0%	0%	1%	2%
LIRR	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
MNR	<b>1%</b>	<b>0%</b>	<b>3%</b>	<b>0%</b>	10%	13%	<b>1%</b>	<b>0%</b>	0%	0%	0%	0%	7%	25%
NYCT	16%	21%	22%	49%	12%	20%	2%	7%	0%	0%	0%	0%	0%	2%

Note: The underutilized areas of representation are shaded.  
 \*Females are also included in the percentages totals for each of the minority groups.  
 \*\*American Indian/Alaskan Native  
 \*\*\*Native Hawaiian Other Pacific Islander



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Job Category	Female*		Blacks		Hispanics		Asians		AI/AN**		NHOPI***		2+ Races	
	Est Avail	Actual %												
<b>Para-Professionals</b>														
B&T	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
BUS	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
CCC	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
HQ	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
LIRR	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
MNR	63%	63%	16%	26%	15%	11%	6%	5%	0%	0%	0%	0%	0%	0%
NYCT	50%	56%	23%	49%	9%	24%	9%	11%	0%	0%	0%	0%	15%	4%
<b>Administrative Support</b>														
B&T	63%	48%	16%	17%	8%	28%	6%	17%	0%	0%	0%	0%	0%	0%
BUS	31%	40%	47%	62%	12%	13%	7%	8%	0%	0%	0%	0%	6%	10%
CCC	25%	67%	7%	33%	6%	25%	11%	0%	0%	0%	0%	0%	1%	0%
HQ	68%	78%	15%	48%	14%	17%	5%	5%	0%	0%	0%	0%	1%	5%
LIRR	40%	52%	20%	30%	11%	12%	4%	6%	0%	1%	0%	0%	2%	3%
MNR	45%	41%	20%	33%	14%	13%	5%	4%	0%	0%	0%	0%	2%	4%
NYCT	34%	43%	34%	54%	20%	14%	7%	19%	0%	0%	0%	0%	1%	2%

Note: The underutilized areas of representation are shaded.  
 \*Females are also included in the percentages totals for each of the minority groups.  
 \*\*American Indian/Alaskan Native  
 \*\*\*Native Hawaiian Other Pacific Islander



# MTA-Wide Underutilization Analysis

MTA and its Agencies have conducted an availability analysis of females and minorities in its workforce. The availability analysis consists of comparing MTA and its Agencies **June 30, 2017** workforce percentages for females and minorities to 80 percent of the females and minorities available within the relevant labor market based on the U.S. Census.

Job Category	Female*		Blacks		Hispanics		Asians		AI/AN**		NHOPI***		2+ Races	
	Est Avail	Actual %												
<b>Skilled Craft</b>														
B&T	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
BUS	2%	1%	24%	32%	20%	14%	7%	12%	0%	0%	1%	2%	2%	6%
CCC	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
HQ	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
LIRR	11%	10%	17%	16%	12%	11%	3%	3%	0%	0%	0%	0%	2%	2%
MNR	4%	2%	14%	19%	9%	10%	2%	1%	0%	1%	0%	0%	2%	3%
NYCT	14%	5%	34%	37%	16%	12%	8%	15%	0%	0%	0%	0%	1%	2%
<b>Service Maintenance</b>														
B&T	25%	3%	14%	43%	9%	14%	5%	3%	0%	1%	0%	0%	1%	3%
BUS	15%	12%	40%	51%	21%	21%	4%	6%	0%	0%	0%	0%	1%	3%
CCC	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
HQ	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
LIRR	15%	19%	16%	27%	15%	15%	3%	2%	0%	1%	0%	0%	2%	3%
MNR	15%	14%	18%	23%	24%	11%	3%	2%	0%	0%	0%	0%	1%	3%
NYCT	16%	20%	40%	57%	22%	21%	4%	5%	0%	0%	0%	0%	1%	2%

Note: The underutilized areas of representation are shaded.  
 \*Females are also included in the percentages totals for each of the minority groups.  
 \*\*American Indian/Alaskan Native  
 \*\*\*Native Hawaiian Other Pacific Islander



# MTA Police Workforce Underutilization 2<sup>nd</sup> Quarter 2017

JOB TITLE	FEMALES <sup>1</sup>					BLACKS					HISPANICS				
	Est Avail	Estimated #	Actual #	#	Met Avail (Yes/No)	Est Avail	Estimated #	Actual #	#	Met Avail (Yes/No)	Est Avail	Estimated #	Actual #	#	Met Avail (Yes/No)
Inspector	0%	0	0		Yes	16%	1	1		Yes	0%	0	0		Yes
Captains	9%	1	1		Yes	0%	0	0		Yes	0%	0	0		Yes
Lieutenants	6%	2	2		Yes	3%	1	1		Yes	3%	1	1		Yes
Sergeants/Detective Sgts.	2%	2	2		Yes	4%	3	4		Yes	8%	7	9		Yes
Detectives	13%	5	6		Yes	13%	5	6		Yes	17%	6	8		Yes
Police Officers	16%	85	69		No	14%	72	74		Yes	17%	91	91		Yes

JOB TITLE	ASIANS					AI/AN <sup>2</sup>					NHOPI <sup>3</sup>				
	Est Avail	Estimated #	Actual #	#	Met Avail (Yes/No)	Est Avail	Estimated #	Actual #	#	Met Avail (Yes/No)	Est Avail	Estimated #	Actual #	#	Met Avail (Yes/No)
Inspector	0%	0	0		Yes	0%	0	0		Yes	0%	0	0		Yes
Captains	9%	1	1		Yes	0%	0	0		Yes	0%	0	0		Yes
Lieutenants	0%	0	0		Yes	0%	0	0		Yes	0%	0	0		Yes
Sergeants/Detective Sgts.	3%	2	3		Yes	0%	0	0		Yes	1%	1	1		Yes
Detectives	2%	1	1		Yes	0%	0	0		Yes	0%	0	0		Yes
Police Officers	3%	17	18		Yes	0%	0	0		Yes	0%	0	0		Yes

JOB TITLE	OTHER				
	Est Avail	Estimated #	Actual #	#	Met Avail (Yes/No)
Inspector	0%	0	0		Yes
Captains	9%	1	1		Yes
Lieutenants	6%	2	2		Yes
Sergeants/Detective Sgts.	1%	1	1		Yes
Detectives	0%	0	0		Yes
Police Officers	0%	2	10		Yes

1 Females are also included in the percentages totals for each of the minority groups.

2 American Indian/Alaskan Native

3 Native Hawaiian Other Pacific Islander



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

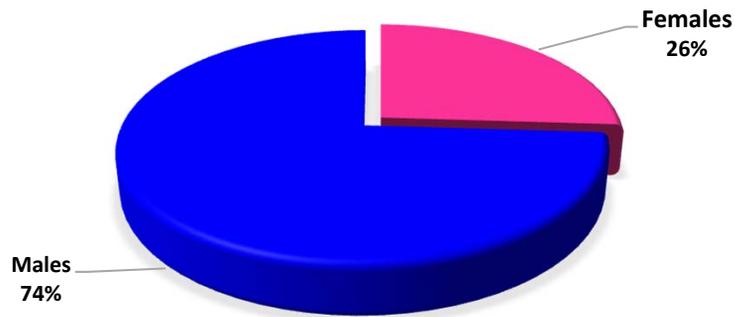
MTA-Wide Hires and Veterans  
Second Quarter 2017

September 25, 2017

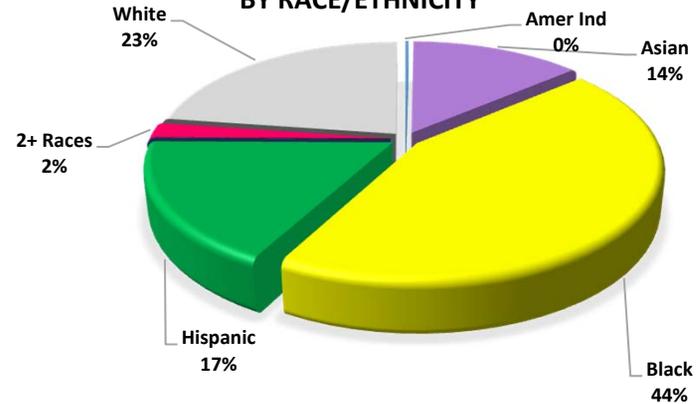


# MTA-Wide New Hires and Veterans By Gender and Race/Ethnicity January 1, 2017 to June 30, 2017

MTA-WIDE NEW HIRES  
BY GENDER



MTA-WIDE NEW HIRES  
BY RACE/ETHNICITY

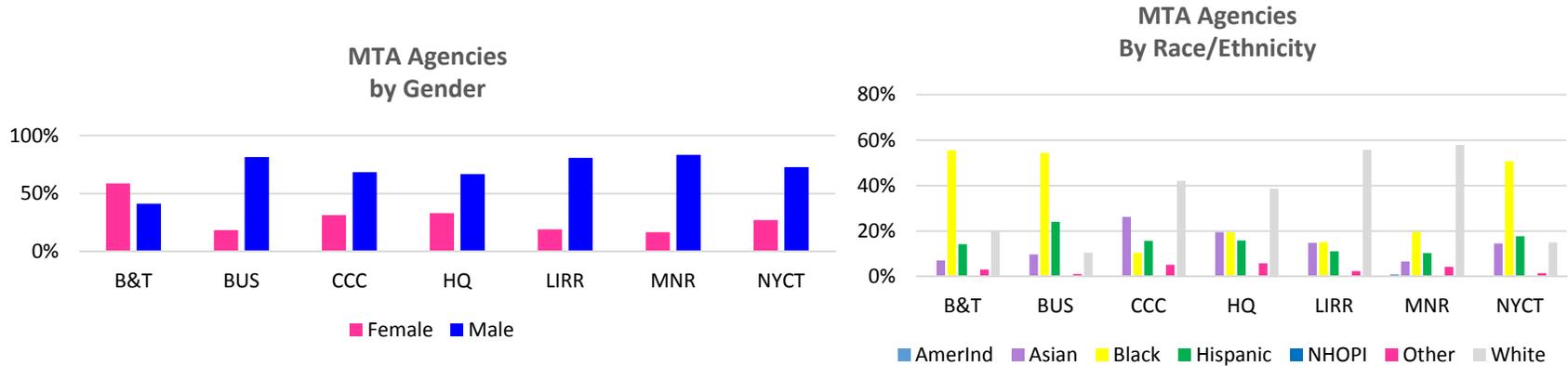


MTA and its Agencies hired **3,930** Employees including **104** Veterans

- ❑ **26%** Females in which **1%** were Female Veterans.
- ❑ **77%** Minorities in which **3%** were Minority Veterans.
- ❑ Overall, approximately **3%** of hires were Veterans.



## New Hires and Veterans By Agency January 1, 2017 to June 30, 2017



This chart shows a breakdown by Agency of the **3,930** employees including **104** Veterans hired.

Agency	Employees	Females	Minorities
B&T	126	59%	80%
BUS	511	19%	89%
CCC	19	32%	58%
HQ	220	33%	61%
LIRR	323	19%	44%
MNR	299	17%	42%
NYCT	2,432	27%	85%



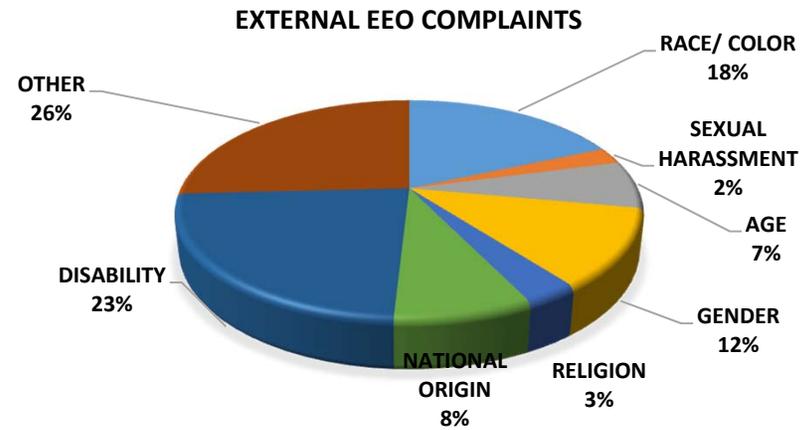
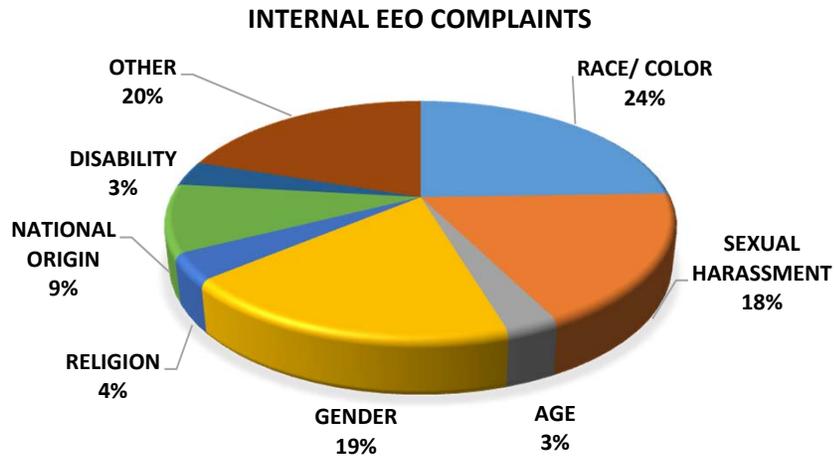
# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## MTA-Wide Complaints and Lawsuits

September 25, 2017



# MTA-Wide and its Agency's EEO Internal/External Discrimination Complaint Dispositions January 1, 2017 to June 30, 2017

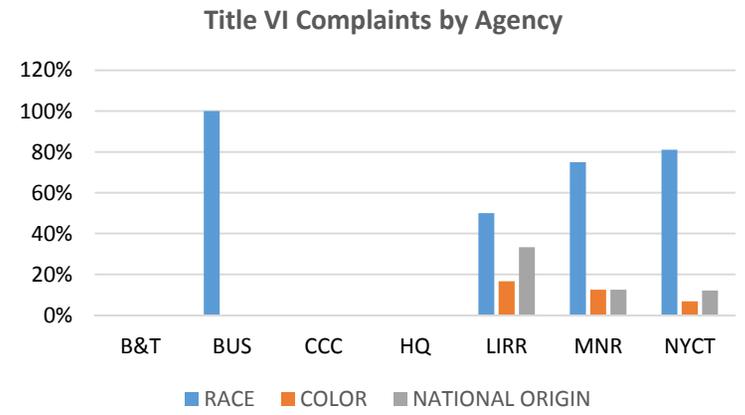
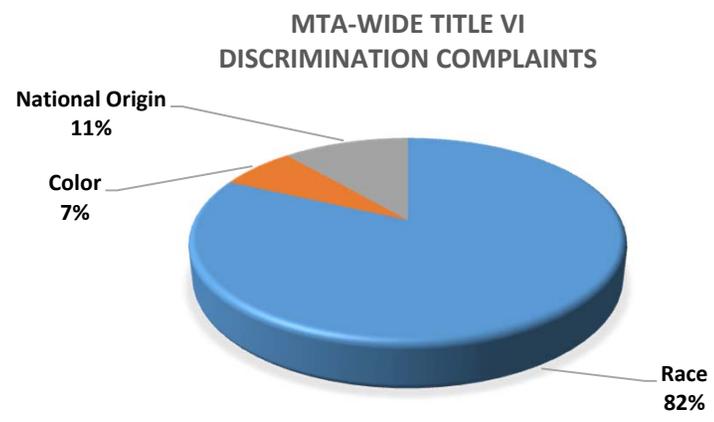


MTA and its Agencies handled **418** EEO complaints, citing **671** separate allegations, and **63** Lawsuits.

- ❑ **237** filed Internal complaints.
- ❑ **181** filed External complaints.
- ❑ The most frequently cited basis Internally was Race/Color and Externally was Disability.



# MTA-Wide Title VI Complaints and Lawsuits January 1, 2017 to June 30, 2017

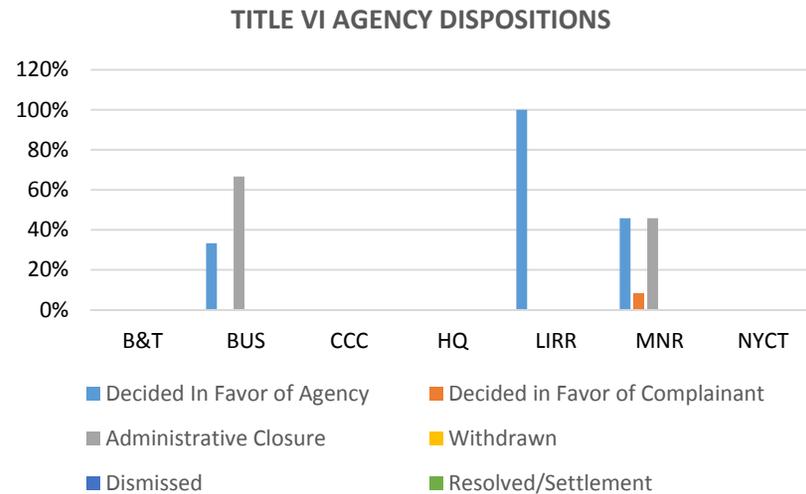
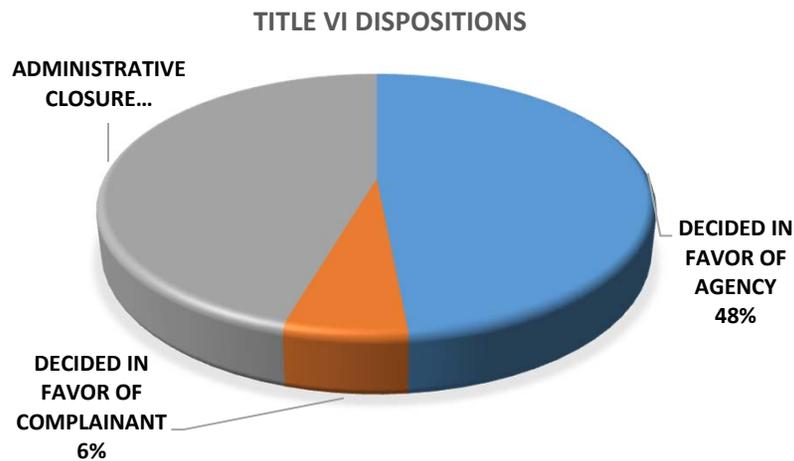


MTA and its Agencies handled a total of **260** Title VI complaints with **265** allegations and **0** Title VI lawsuits.

Agency	Complaints	Allegations	Race	Color	National Origin
BUS	29	29	100%	0%	0%
LIRR	5	6	50%	17%	33%
MNR	24	24	75%	13%	13%
NYCT	202	206	81%	7%	12%



# MTA-Wide Title VI Complaints and Lawsuits Dispositions January 1, 2017 to June 30, 2017

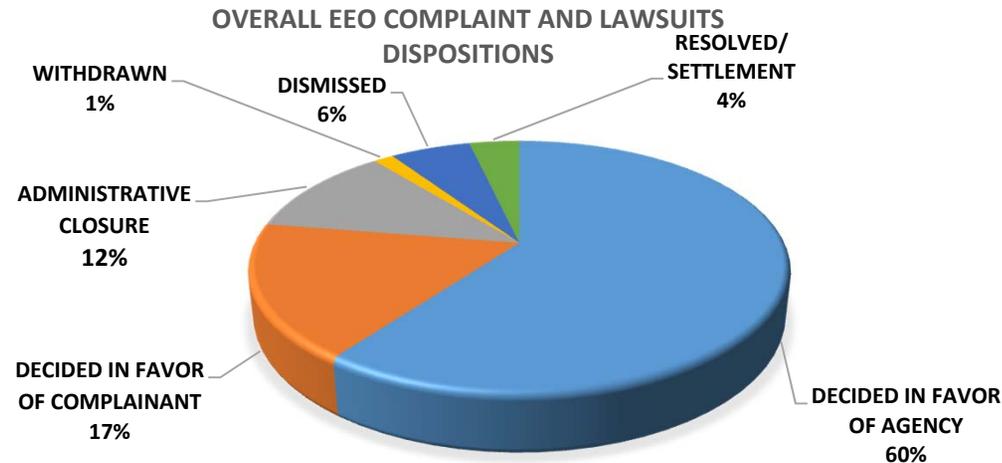


MTA and its Agencies disposed of **33** Title VI Complaints and **0** Title VI lawsuits

- ❑ 48.5% complaints decided in Favor of the Agency.
- ❑ 6% complaints decided in Favor of the Complainant.
- ❑ 45.5% complaints were Administrative Closures.



## MTA-Wide EEO Complaints and Lawsuits Dispositions January 1, 2017 to June 30, 2017



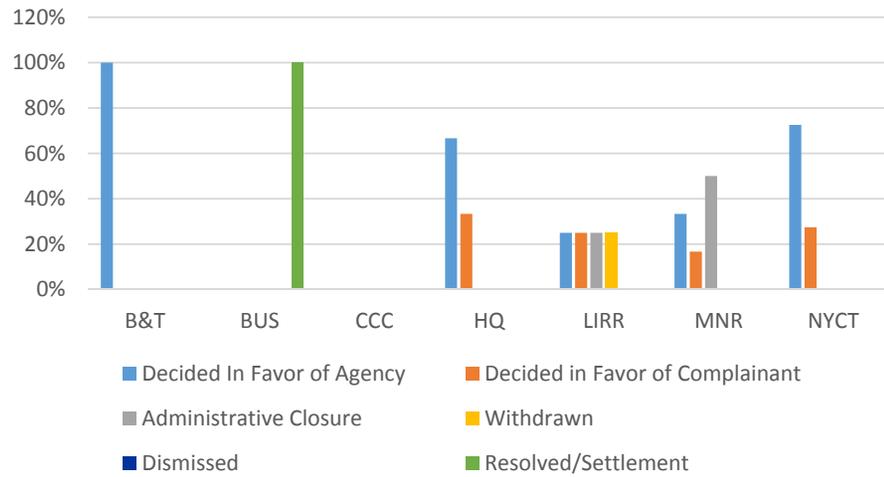
MTA and its Agencies disposed **138** EEO complaints and **4** EEO Lawsuits.

- ❑ **60%** complaints/lawsuits decided in Favor of the Agency.
- ❑ **17%** complaints /lawsuits decided in Favor of the Complainant.
- ❑ **12%** complaints/lawsuits were Administrative Closures.
- ❑ **1%** complaints/lawsuits were Withdrawn.
- ❑ **6%** complaints/lawsuits were Dismissed.
- ❑ **4%** complaints/lawsuits were Resolved/Settlement.

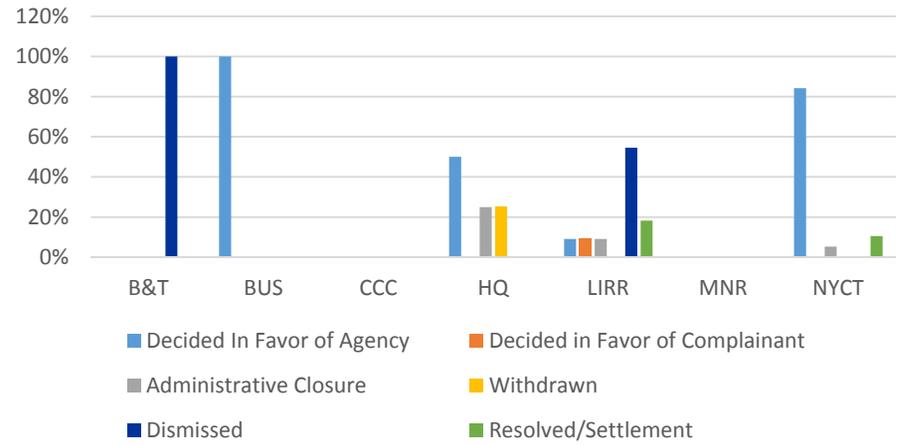


# MTA-Wide Internal/External EEO Complaints and Lawsuits Dispositions January 1, 2017 to June 30, 2017

**EEO Internal Complaint Dispositions**



**EEO External Complaint and Lawsuits Dispositions**



# **Metropolitan Transportation Authority Headquarters**

## **MTAHQ's Strategies to Improve Utilization in the Workforce**

**September 25, 2017**



# Message To The Board

## I. Message From Chief Diversity Officer and MTA HQ

- ❑ As Chief Diversity Officer for MTA and its affiliated agencies I am responsible for agency oversight to ensure non-discrimination. I reaffirm my commitment to ensure all MTA agencies use good faith efforts to ensure equitable representation and advancement of protected group members at all levels of employment.
  
- ❑ MTA HQ reaffirms its commitment to diversity and inclusion in the workplace. This applies not only to gender and race-based classifications, but extends to veteran status, disability status, and membership in the LGBTQ community. Diversity enriches our workplace and fosters innovation, creativity and cultural understanding. MTA HQ embraces diversity in all that it does, including but not limited to in its recruiting, hiring and promotional decisions.



# 2017 Key Accomplishments

## II. DDCR and Headquarters' 2017 Key Accomplishments or Best Practices

- ❑ DDCR worked with MTA's respective HR Departments in conducting EEO recruitment events.
- ❑ MTA HQ advertised employment opportunities in: Women in Technology, National Association of Hispanic Professionals, National Urban League, Women in Transportation, National Association of Asian American Professionals, IMDiversity.com, Society of Women Engineers, National Society of Black Engineers.
- ❑ 61% of MTA HQ new hires have been minorities.
- ❑ MTA HQ coordinated a multi-agency Women's Networking Event at John Jay College, 2<sup>nd</sup> quarter.
- ❑ MTA HQ participated in 14 Military Job Fairs and outreach events, and forwarded employment announcements to over 200 military liaisons, and over 1700 individual current and former service members.



# 2018 Initiatives

## III. DDCR and Headquarters' 2018 Key Diversity Initiatives

- ❑ DDCR will work with all MTA HR Departments to establish efforts to improve recruitment of females and minorities.
- ❑ Coordinate quarterly meetings with newly created Assistant Deputy Chief Diversity Officer, Title VI and Workforce Initiatives to establish diversity talent acquisition plans based on underutilization information.
- ❑ Expand MTA HQ's diversity recruitment efforts to include people with disabilities and the LBGTO community. Research affinity associations and provide MTA HQ employment information. Attend employment events.
- ❑ Host an Information Session for non-profit and diversity organizations.
- ❑ Improve methods to capture new hire information, including employee characteristics and referral sources.



# **Metropolitan Transportation Authority Headquarters**

## **Chief Owen Monaghan Strategies to Improve Utilization in the Workforce**

**September 25, 2017**



# Message To The Board

## I. Message From Chief Owen Monaghan

- ❑ Increasing diversity in the ranks is an important priority to the MTA Police Department not only at the entry level, but at the supervisory level as well.
- ❑ To that end I have instructed my command staff to encourage all officers particularly women and minorities to take the upcoming promotional exams to sergeant and lieutenant. In addition, I have reached out to the Guardian Association and the New York Women in Law Enforcement organization seeking their assistance in recruiting new officers.



# 2017 Key Accomplishments

## II. MTA Police 2017 Key Accomplishments or Best Practices

- ❑ Written examination administered to 10,100 applicants.
- ❑ Hired 82 police officers in 2017. 10.9 percent of the officers hired were females.
- ❑ Of the 82, MTA police officers hired 7 veterans, 38 minorities including 9 females.
- ❑ Partnered with fraternal organizations including NY Women in Law Enforcement, MTA Police Guardians, and The Columbian Association to encourage their members to take the sergeant and lieutenant promotional examinations.



# 2018 Initiatives

## III. MTA Police 2018 Key Diversity Initiatives

- ❑ Anticipating to administer the physical fitness test in the 4<sup>th</sup> quarter 2017 to approximately 1,100 diverse applicants.
- ❑ Projected January 2018 class of 35-40, and projected April 2018 class of 20 police officers.
- ❑ Plan to administer the sergeant and lieutenant promotional examinations in the first quarter of 2018 with a focus on encouraging females and minorities to take the exams.
- ❑ Will attend approximately five events in an effort to encourage females and minorities to take the entrance exam.



# **Metropolitan Transportation Authority Bridges and Tunnels**

## **Cedrick T. Fulton Strategies to Improve Utilization in the Workforce**

**September 25, 2017**



# Message To The Board

## I. Message From MTA Bridges and Tunnels President

- ❑ As President of MTA Bridges and Tunnels, I affirm my abiding commitment to diversity and inclusion within our workforce and shall be resolved in advancing fair and equitable policies and practices wherein employee differences are valued and integrated into each part of our organization's operations. I am equally committed to investing in and supporting minority, women, and veteran owned businesses by eliminating barriers, implementing robust diversity goals and creating contracting opportunities within our Agency.
- ❑ At B&T our leadership supports a work environment that fosters respect, fair and impartial treatment of all qualified applicants and employees within its workforce. As an organization, we strive to develop, motivate, and promote culturally diverse employees to ensure that B&T capitalizes on the skills, talents, and abilities offered by its human resources. Accordingly, we believe and hold dearly that successful diversity management initiatives not only enhance performance within the Agency, but also leads to the cohesiveness of an organization.



# 2017 Key Accomplishments

## II. MTA Bridges and Tunnels 2017 Key Accomplishments or Best Practices

- ❑ B&T recruited its third class of Management Associates (MAs) in the first quarter. The program has a total of 17 (MAs), of which (41%) were females, (58%) minorities, and (52%) were hired as junior engineers.
- ❑ In the first and second quarter, B&T participated in five minority, women, veteran owned businesses outreach events to provide opportunities for design-build engineering and construction contracts.
- ❑ B&T participated in seven veteran, higher education, and STEM job fairs in the first and second quarter to recruit females, minorities and veterans into engineering, maintenance and operation fields.
- ❑ In the second quarter, B&T hired 41 summer interns, 33 females (80%) and 24 minorities (60%).



# 2018 Initiatives

## III. MTA Bridges and Tunnels 2018 Key Diversity Initiatives

- ❑ B&T will launch a succession planning committee in the first quarter to address the under-representation of females in critical mid-level positions.
- ❑ In the first quarter, B&T will launch its fourth class of Management Associates to increase the under-representation of females in STEM fields.
- ❑ B&T will conduct targeted recruitment to increase the under-representation of females in the second quarter.
- ❑ In the second quarter, B&T will compile the workplace climate survey data and create strategies to address recruitment, hiring and retention practices of females, minorities, veterans, and persons with disabilities.



# **Metropolitan Transportation Authority Bus Company**

## **Stephen A. Vidal Strategies to Improve Utilization in the Workforce**

**September 25, 2017**



# Message To The Board

## I. Message From MTA Bus's President

- ❑ At MTA Bus, our three-pronged approach to diversity includes management awareness, public outreach and workforce development. This year, my senior leadership team and I will continue our work in each of these areas in order to ensure the equitable representation and advancement of protected group members at all levels of employment.
- ❑ Members of the leadership team will conduct various management training sessions in the areas of ethics, respectful workplaces, and effective recruitment strategies among other topics in order to better inform our managers and supervisors.
- ❑ The MTA Bus senior leadership team will continue to work to promote other diversity initiatives throughout MTA Bus Company in order to reinforce our commitment to diversity within the workforce.



# 2017 Key Accomplishments

## II. MTA Bus's 2017 Key Accomplishments or Best Practices

- ❑ Hired Director of EEO Outreach, Training and Diversity
- ❑ Hired Director of EEO Compliance
- ❑ Increased the number of open house recruitment events to attract provisional talent
- ❑ Twenty-six percent of external recruitment events through June 30 were targeted to women, veterans, and people with disabilities



# 2018 Initiatives

## III. MTA Bus's 2018 Key Diversity Initiatives

- ❑ Identify departments, occupational titles, and job categories experiencing under-representation and implement strategic recruitment initiatives for women, minorities, and veterans.
- ❑ Participate in targeted recruiting events at NYC CTE High Schools to promote job opportunities in Buses.
- ❑ Discuss viability of creating an automotive maintenance apprenticeship program within MTA Bus.



# **Metropolitan Transportation Authority Capital Construction**

**John (Janno) Leiber  
Strategies to Improve Utilization  
in the Workforce**

**September 25, 2017**



# Message To The Board

## I. Message From Chief Development Officer

We are a growing construction management organization dedicated to building public use projects in one of the most diverse cities in the world. As Capital Construction evolves, the leadership team reflects on how we can further integrate diversity into our operations so that we are making strides towards inclusion. We recognize that encouraging diversity of thought, education, work styles and life experiences among our staff will ultimately produce results that will more effectively serve generations to come. While we are proud of our progress so far, there is more we hope to accomplish.



# 2017 Key Accomplishments

## II. Capital Construction's 2017 Key Accomplishments or Best Practices

- ❑ Fifty-eight percent of those hired in the first half of 2017 were minorities.
- ❑ Forged a relationship with the Army Corps of Engineers to brainstorm on recruitment and retention strategies.
- ❑ Attended the launch of NYC: ATWORK hosted by the NYC Mayor's Office of People with Disabilities to begin assessing employment opportunities for this population.
- ❑ HR member presented at a Harlem school as part of NYC Department of Education's Career Exploration Month event to expand diversity outreach in a non-traditional way.



# 2018 Initiatives

## III. Capital Construction's 2018 Key Diversity Initiatives

- ❑ Actively recruit minority STEM students for internships with the hope to retain them afterwards in entry-level professional positions.
- ❑ MTACC will continue its partnership with other MTA Agencies to share costs, resources and best practices for strengthening recruitment strategies that target female, minorities and veterans.
- ❑ MTACC is developing a program where managerial staff will mentor students from underserved populations, with an emphasis on females and minorities.
- ❑ Developing staff training to focus on diversity (age, work and personal experiences) and unconscious bias as a way of working towards inclusion.



**Metropolitan Transportation Authority  
Long Island Rail Road**

**Patrick A. Nowakowski  
Strategies to Improve Utilization  
in the Workforce**

**September 25, 2017**



# Message To The Board

## I. Message From Patrick A. Nowakowski

Long Island Rail Road (LIRR) is committed to Equal Employment Opportunity (EEO) for all employees and applicants for LIRR employment. We make every effort to attract, develop and retain a workforce profile that reflects the diversity of the region's labor pool. LIRR also operates its services without regard to race, color, or national origin, in accordance with Title VI of the Civil Rights Act of 1964.



# 2017 Key Accomplishments

## II. LIRR's 2017 Key Accomplishments and Best Practices

- ❑ LIRR hired 323 employees, of which 62 (19%) were females, 143 (44%) were minorities; and 20 (6%) were veterans.
- ❑ LIRR hired 88 summer interns and seasonal staff, of which 44% were females and 49% minorities.
- ❑ LIRR recruited and hired 2 Junior Engineers (1 female, 2 minorities) and 7 Project Manager Trainees (2 female, 5 minorities).
- ❑ LIRR's promotion initiatives.



# 2018 Initiatives

## III. LIRR's 2018 Key Diversity Initiatives

- ❑ By the 3<sup>rd</sup> Quarter 2018, LIRR personnel will attend at least 14 pre-career college events, and job fairs.
- ❑ LIRR personnel will continue to attend veterans job fairs, and collaborate with MTAHQ on veteran outreach to over 1,700 service members.
- ❑ By June 2018, LIRR will establish goals for individuals with disabilities.



**Metropolitan Transportation Authority  
Metro-North Railroad**

**Catherine Rinaldi  
Strategies to Improve Utilization  
in the Workforce**

**September 25, 2017**



# Message To The Board

## I. Message From Metro-North Railroad President

- I am committed to increasing diversity in the workforce and maintaining a culture that embraces our differences. Diversity enriches our workplace and fosters innovation, creativity and cultural understanding. Metro-North Railroad also realizes that diversity of people drives diversity of thought and improves business outcomes.
- Our agency and its leadership support these values through implementation of Metro-North's strategic plan that identifies "Our People" as our greatest resource. We are a diverse, dedicated and proud workforce and our leadership team and departments support this core priority by aligning their departmental goals in support of our employees.



# 2017 Key Accomplishments

## II. Metro-North Railroad 2017 Key Accomplishments or Best Practices

- ❑ Established Metro-North's Women's Book Club: books included "Hidden Figures" and "I am Malala".
- ❑ Metro-North redesigned and refurnished its Lactation room for its employees in the Grand Central Terminal locations.
- ❑ Hired 57 summer interns of whom 23 (40%) were females.
- ❑ MNR and COMTO hosted the MTA Chief Panel Discussion that included the Interim Executive Director and all agency Presidents.
- ❑ Recruited and hired 16 engineers for the 2017 Associate Engineer Program of whom 8 (50%) were minority.



# 2018 Initiatives

## III. Metro-North Railroad 2018 Key Diversity Initiatives

- ❑ MNR will continue its Healthy4U program and Women's Book Club, meeting quarterly, to focus on strengthening our communication and engagement with our female employees.
- ❑ By the 2<sup>nd</sup> Quarter of 2018 Metro-North will increase our Talent Acquisition team by three recruiters to intensify our diversity recruitment efforts of females and minorities, particularly in the Skilled Crafts area.
- ❑ By the 3<sup>rd</sup> Quarter of 2018 Metro-North will hold a Skilled Craft Job Fair to increase female and minority applications for positions in these areas.
- ❑ By June 2018 we will establish the first hiring goals for individuals with disabilities.



**Metropolitan Transportation Authority  
New York City Transit**

**Darryl C. Irick  
Strategies to Improve Utilization  
in the Workforce**

**September 25, 2017**



# Message To The Board

- I. **Message From New York City Transit President**
  - ❑ Remain vigilant against hatred, bigotry, violence and discrimination.
  - ❑ We are all equal – a core belief and value of the Executive Leadership Team.
  - ❑ Our shared commitment to excellence, equality and inclusion ensures a dynamic, rewarding and welcoming work experience.
  - ❑ Reimagining the Department of EEO & Diversity.



# 2017 Key Accomplishments

## II. New York City Transit 2017 Key Accomplishments or Best Practices

- ❑ Recruitment – Hosted two open-house events for skilled-trade talent. Hired 48 veterans (January 1-June 30); 26% of the external events targeted women, veterans and people with disabilities.
- ❑ Mentoring – Engaged 35 diverse pairs. Demonstrated commitment and mix of people and functions has worked well. Will conduct year-end review for full program rollout.
- ❑ Diversity Best Practices – Recently established relationship with premier research group, for additional resources and expertise based on other prominent organizations' success.



# 2018 Initiatives

## III. New York City Transit 2018 Key Diversity Initiatives

- ❑ Recruitment – Continue partnership with NYC DOE technical high schools, particularly Transit Tech; partner with Mayor’s Office of People with Disabilities, and 10 minority recruitment organizations.
- ❑ Diversity Advisory Council – Establish employee affinity groups and a diversity advisory council with executive sponsors to connect D&I to the business.
- ❑ Analytics – Develop a D&I analytics dashboard to provide management information for tracking EEO & Title VI case trends and workforce demographics.
- ❑ Development – Rollout the next level of D&I managerial development focused on inclusive behavior and addressing underutilization.



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

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

September 25, 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.



# Changing Laws and Futures

- A 2010 change in New York State law allowed for the establishment of the MTA's Small Business Mentoring Program for small, minority and disadvantaged companies
- 2016 saw the creation of an Emerging Contractor Program – a one-year program with prime contracts of \$100-250k projects
- Tier 1 (4 years) projects range from \$250k-\$1M
- Tier 2 and Federal Program (4 years) projects from \$1-3M
- Over 6,000 jobs created with small business and the MWDBE / SDVOB community



# Small Business Development Program

	SBMP-Tier 1	SBMP- Tier 2	SBFP
Participation Duration	4 Years	4 Years	4 Years
Project Values up to	\$1 Million	\$3 Million	\$3 Million
Avg. 3 Year Revenue	\$3 Million	\$5 Million	\$5 Million
Personal Net Worth Not to Exceed	-	\$3.5 Million	\$1.32 Million
Bonding Required	No	Yes	Yes
Max Loan Value	\$150	\$900K	\$900K
Number of Prequalified Firms (12/31/15)	167	56	36
Small Business Training Program	√	√	√
Back Office Support Training	√	-	-
Onsite Insurance covered by MTA OCIP	√	√	√
Firm Assessments & Guidance	√	√	√
Business Plan Development	√	√	√



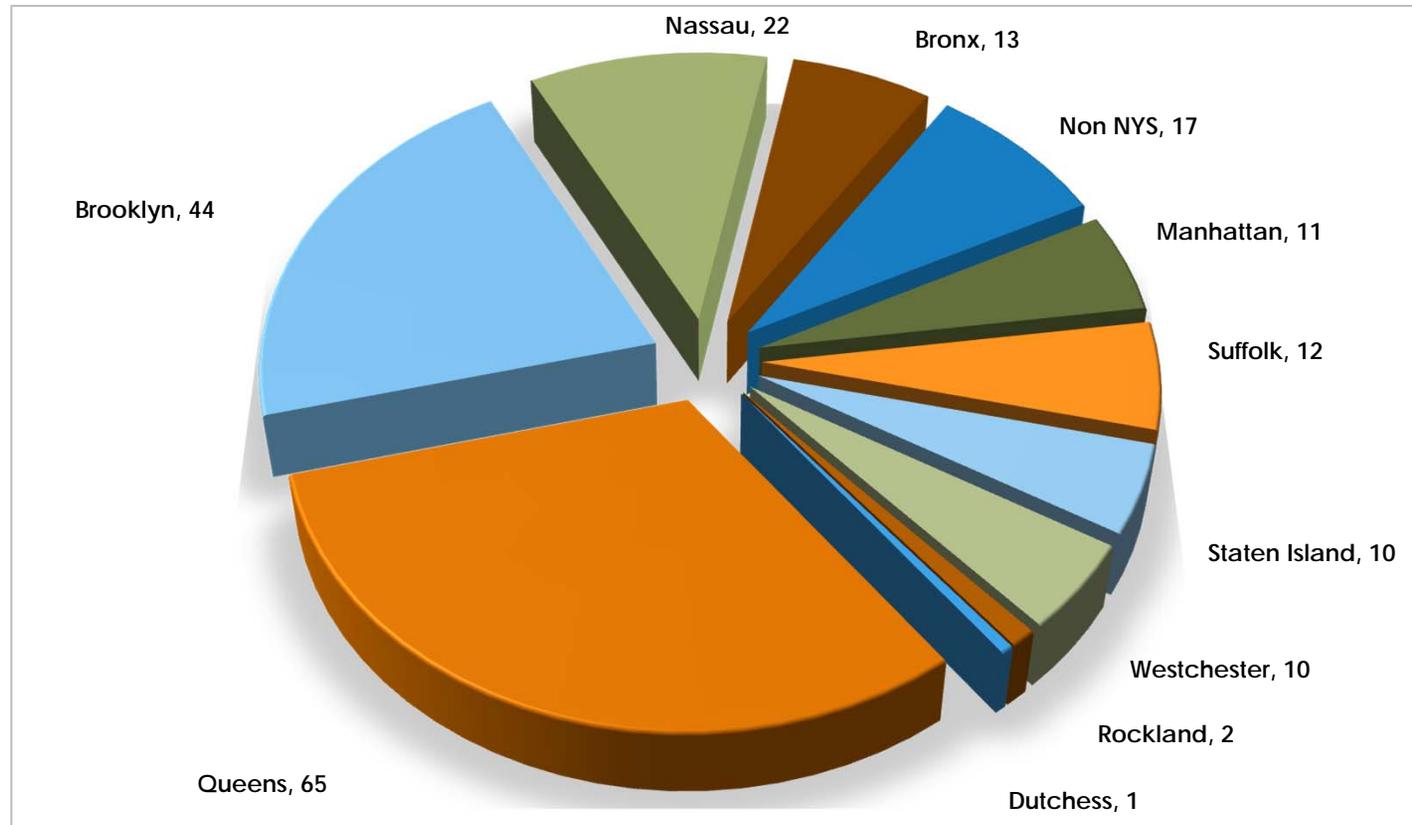
# SBDP Demographics

## Small Business Mentoring Program Tier 1

Certification *	
MBE	134
WBE	35
DBE	20
Non-Certified	18

\* firms may have multiple certifications

207 Prequalified Firms (as of July 31, 2017)



# Training Classes and Seminars

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



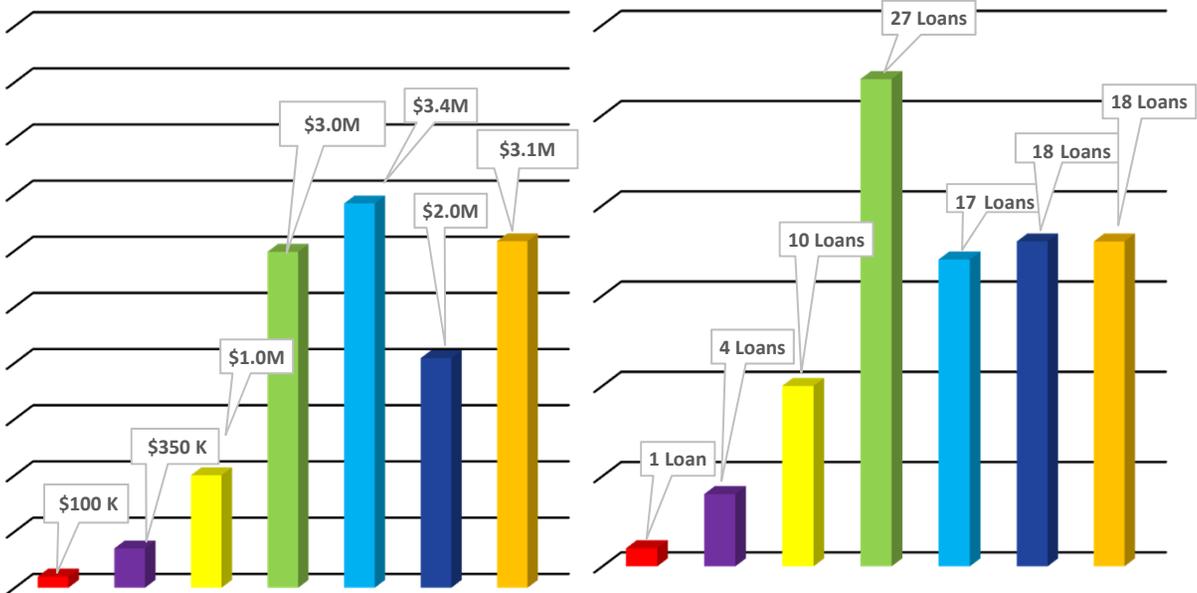
# TRAINING CLASSES FOR FALL 2017

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



# SBDP Loan Program

<span style="color: red;">■</span>	Year 1	-	1 Loan	totaling	\$100,000
<span style="color: purple;">■</span>	Year 2	-	4 Loans	totaling	\$350,000
<span style="color: yellow;">■</span>	Year 3	-	10 Loans	totaling	\$1,000,000
<span style="color: olive;">■</span>	Year 4	-	27 Loans	totaling	\$2,990,000
<span style="color: cyan;">■</span>	Year 5	-	17 Loans	totaling	\$3,420,000
<span style="color: blue;">■</span>	Year 6	-	18 Loans	totaling	\$2,042,500
<span style="color: gold;">■</span>	Year 7	-	18 Loans	totaling	\$3,083,500
<span style="color: gray;">□</span>	<b>Total</b>		<b>95 Loans</b>	<b>Totals</b>	<b>\$12,986,500</b>

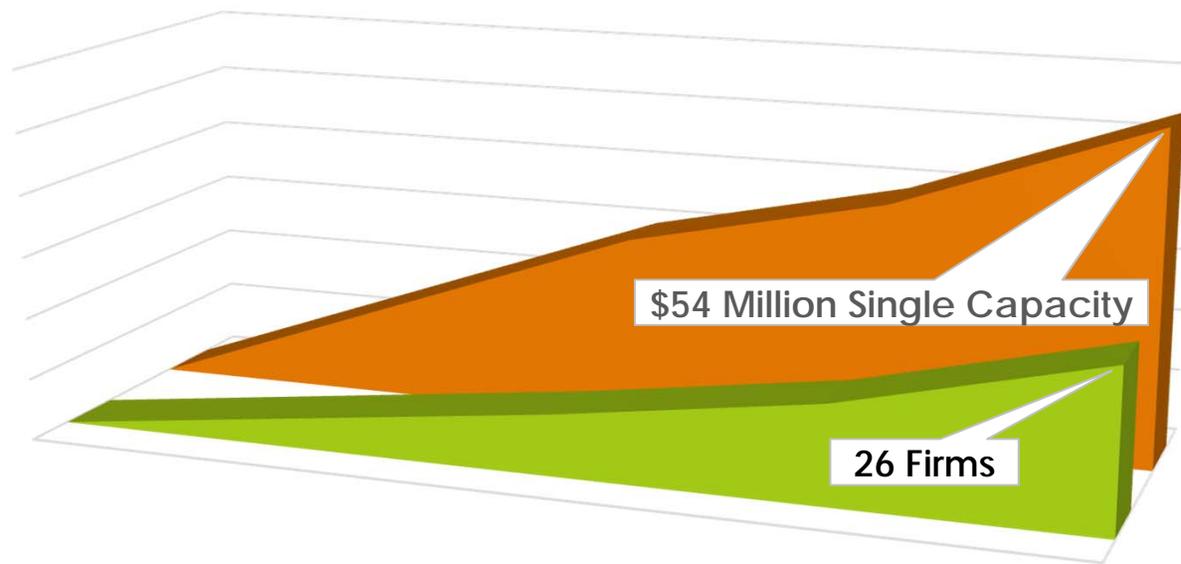


Loan values shown are for each program year ending on July 31. Program Year 7 ended on July 31, 2017.



# Small Business Development Program

Total Bonding Secured and Total \$



# Small Business Development Program

## **SBMP-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

## **SBMP-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

## **SBFP DBE Accomplishments**

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



# Benefits Of The Program

- Uniform Set of Front End Bid Documents for All Agencies – NYCT; MNR; B&T; LIRR; DOB; MTACC
- Payments – within 10 business days
- Awards SBMP & SBFP – within 22 business days
- Closeouts SBMP & SBFP – within 20 & 30 business days respectively
- Change Orders – within 15 business days
- Submittals – within 10 business days
- RFIs – within 5 business days



# SBDP Projections

## 2017 – 2019 SBDP Estimated Project Awards

<b>Small Business Mentoring Program</b>		<b># of Projects</b>
■ Tier 1	\$171M	240
■ Tier 2	\$133M	65
<b>Small Business Federal Program</b>		
■ SBFP	\$133M	65
<hr/>		
<b>Totals</b>		
□ All Programs	\$437M	370
<hr/>		
□	Estimated Job Creation of over 10,500 jobs *	

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

As an average statewide estimate, the Department uses 24 jobs per \$1 million dollars (\$1M) of construction value to calculate the estimated number of direct, indirect and induced jobs created or saved.

**Jobs Created and Employment Reporting** ( <https://www.dot.ny.gov/recovery/jobs?nd=nysdot> )



# Commitment Plan Projects

- NYCT - Stairs Replacements, Substations Rehabilitation, Station Repairs & Renovations, Help Points Kiosk Installations, Sandy Recovery
- NYCTDOB - Depot & Building Improvements, Facility Improvements, Bus Lift Replacements, Roof Replacements
- LIRR - Station & Building Improvements, Facilities & Station Renovation, Hurricane Sandy Restoration Projects
- MNR - Station Overpass Improvements, Station & Parking Facility Improvements
- B&T - Building Improvements & Rehabilitation of Roof, Masonry Restoration, Concrete Repair Projects, Miscellaneous Repair Projects



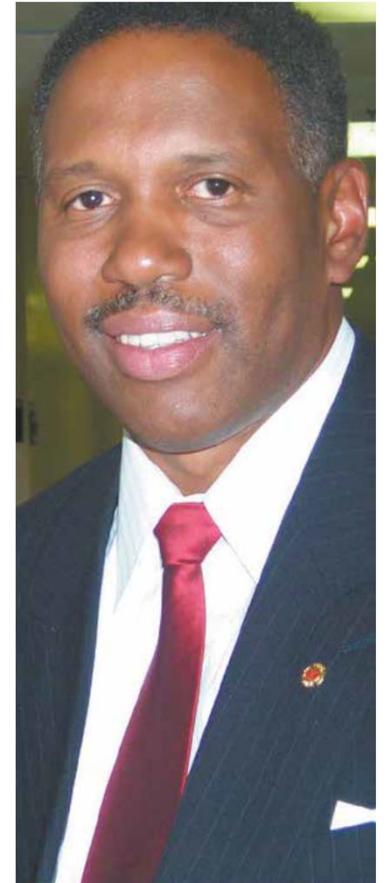
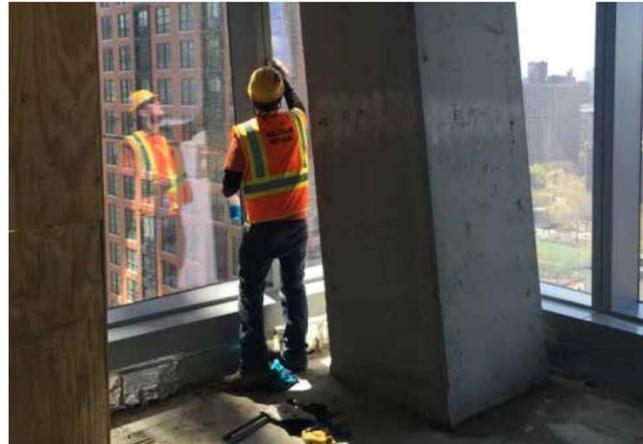
# Riggs Construction

- Mentor contractor since 2010
  - \$3.9M in MTA SBDP prime contract awards
  - 5 SBDP contract awards
  - 94 new jobs created



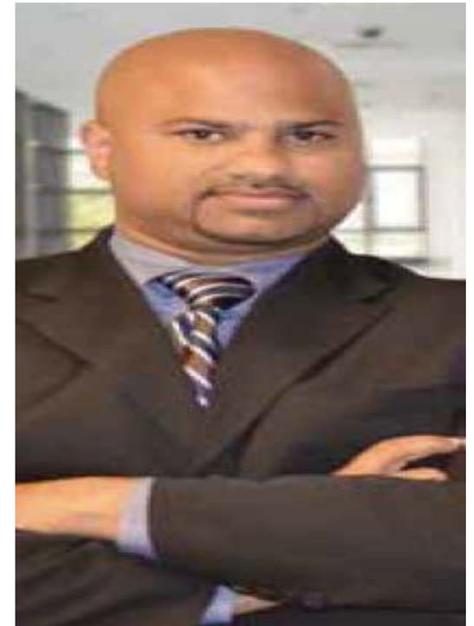
# Malcolm Patrick Corporation

- Mentor contractor since 2011
  - \$5.0M in MTA SBDP prime contract awards
  - 4 SBDP contract awards
  - 120 new jobs created



# Zion Contracting

- Mentor Contractor since 2011
  - \$5.5M in MTA SBDP prime contract awards
  - 5 SBDP contract awards
  - 132 new jobs created
  - Beyond SBDP Mentoring – 3 contract awards
    - Total firm contract value - \$11.2M



# Minhas Construction

- Mentor contractor since 2011
  - \$8.7 in MTA SBDP prime contract awards
  - 6 SBDP contract awards
  - 209 new jobs created
  - Beyond SBDP Mentoring – 2 contract awards
    - 1 prime contract award, 1 Joint Venture
    - Total firm contract value - \$42M



# SBDP Jobs Created

- PY'10 – PY'17 SBMP-Tier 1 Awards total \$128.6 Million
- PY'15 – PY'17 SBMP-Tier 2 Awards total \$55.4 Million
- PY'13 – PY'17 SBFP Awards total \$73.3 Million

## ■ Estimated job creation within the Small Business and MWDBE Community exceeding 6,000

\*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 Programs

## Emerging Contractors Program

- The Emerging Contractors Program is a one-year program designed to increase the diversity and participation of those who have applied for SBMP Tier 1 but for financial reasons, have not met the prequalification requirements. Participants will receive intensive mentoring in one or more areas needing improvement with respect to program qualification.
- If they fulfill the requirements of the Emerging Contractors Program, the firms will continue prequalification in Tier 1.
- Three Emerging Contractors have already transitioned into Tier 1 with three additional under review.



# The Elements of the Emerging Contractor Program

- Orientation - to the MTA, the SBDP & to emphasize expectations
- Participation Agreement - to participate in all program aspects
- Assessments – in-person to evaluate and understand business
- Action Plans – short term and long term development needs
- Financial Training/Planning – finances and cash flow for growth
- Mandatory Training – 13-week training sequence
- Optional Training – access to additional training opportunities
- Bidding Opportunities - prime contracts up to \$250,000
- Access to Capital - eligible for 30% loans on contract awards



# Small Business Development Program Summary

- Pre-Qualification
- Bid Opportunities
- Training
- Access to Working Capital and Bonding
- Gain experience working on MTA Projects up to \$3.0 million
- Fast-Track Payments



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

M/W/DBE Contract Compliance  
Second Quarter 2017

September 25, 2017

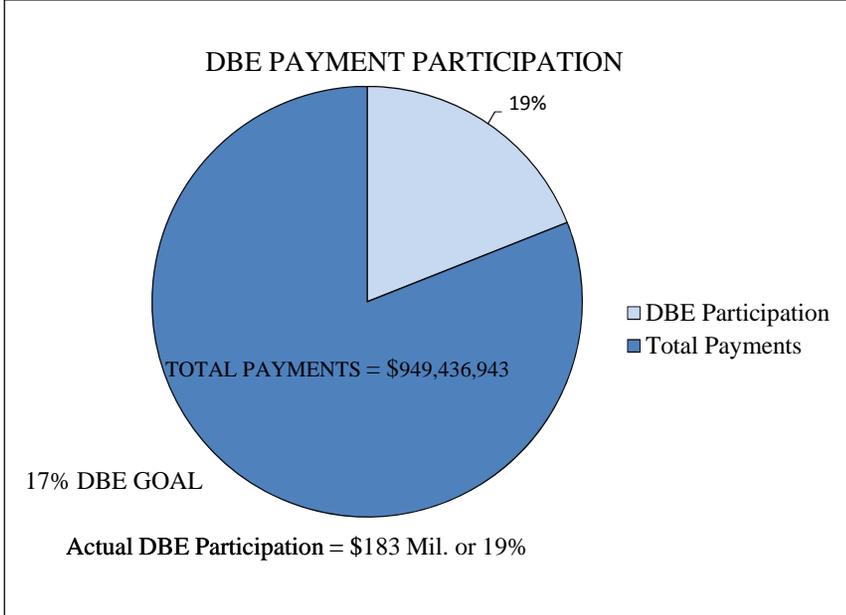
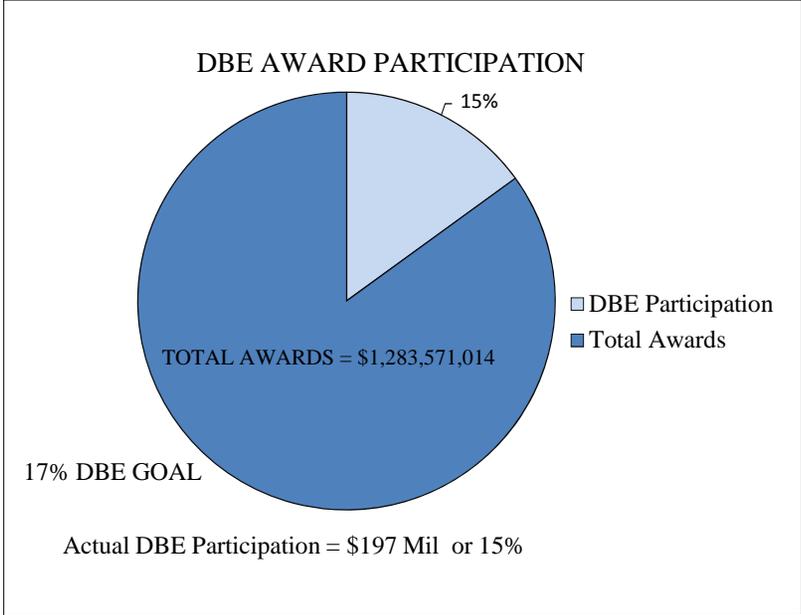


**DBE Participation in Federally Funded Contracts  
Federal Fiscal Year 2017\*  
(October 1, 2016 to June 2017)**

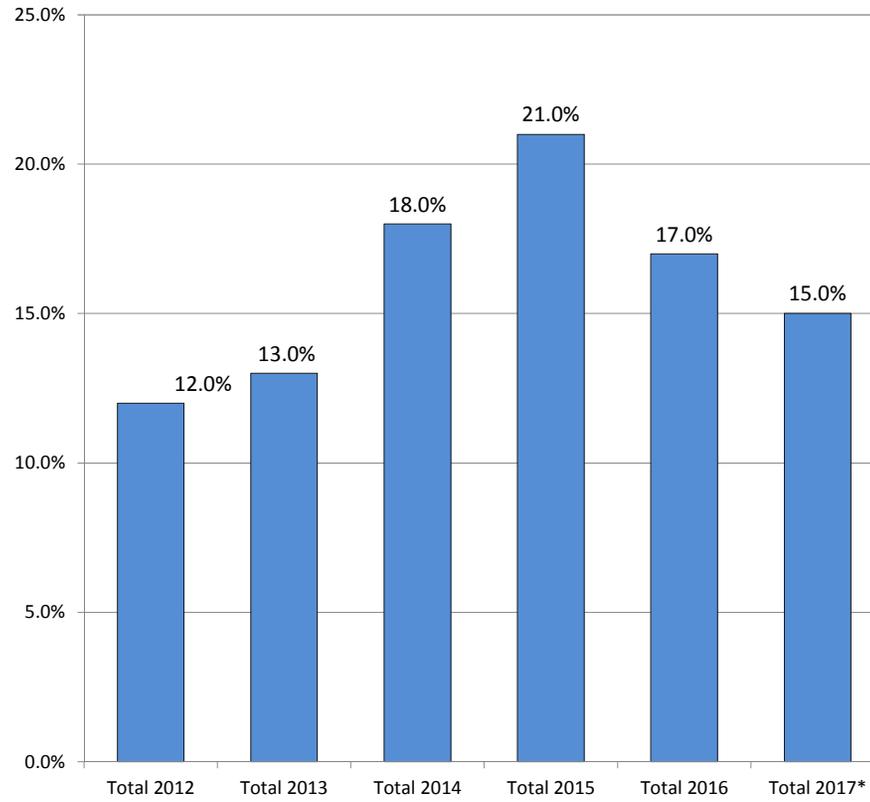
- Each year, MTA reports to the Federal Transit Administration on a semi-annual basis DBE participation in federally funded contracts.
- Reports are submitted on June 1st -- covering October through March, and December 1st -- covering April through September. The December report also summarizes data for the entire Federal Fiscal Year (“FFY”).
- Reports include DBE participation data on new awards and payments on completed contracts.
- For FFY 2017, MTA set an overall DBE goal of 17%.
- From October 2016 through June 2017, MTA awarded approximately \$1.3 billion in the federally funded portion of contracts, with approximately \$197 million (15%) being awarded to certified DBEs.
- From October 2016 through June 2017, MTA paid prime contractors \$949 million, with payments to certified DBEs totaling approximately \$183 million (19%).

\*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-JUNE 2017)

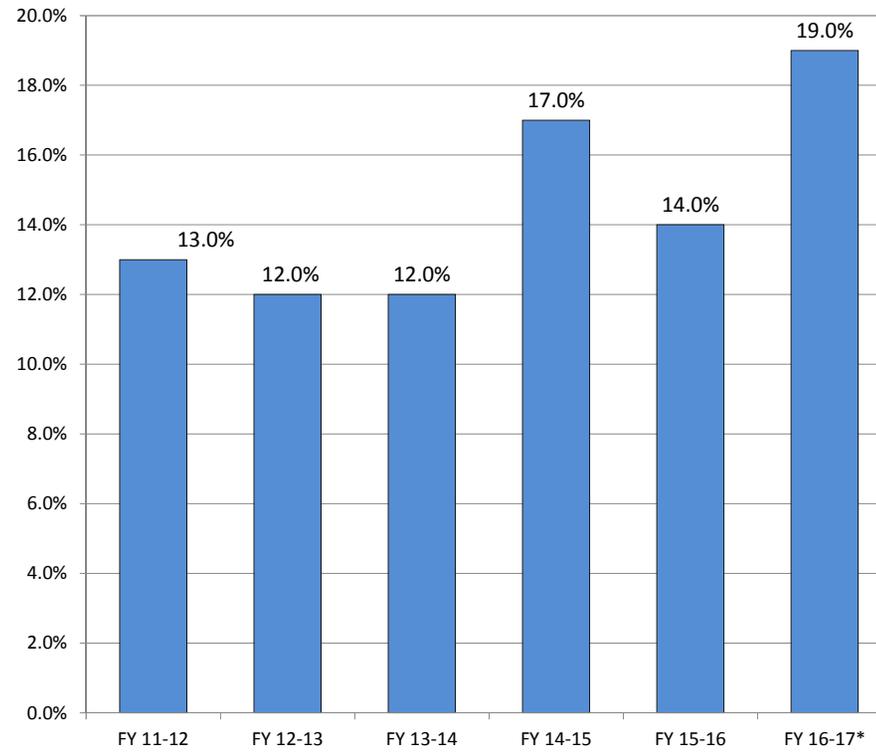


### DBE CONTRACT AWARDS October 2012 - June 2017



\* This is for the first 3 quarters of the FFY 2017 (October 2016 - June 2017)

### DBE CONTRACT PAYMENTS October 2011 - June 2017



\* This is for the first 3 quarters of the FFY 2017 (October 2016 - June 2017)

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

**AWARDS\***

CONTRACT AWARDS	PRIME AWARDS		DBE PARTICIPATION			OVERALL FTA GOAL
	Number of Contracts	Award Amount	Number of DBE Contracts	DBE Award Amount	% To Agency Total	
<b>1st SEMI-ANNUAL REPORT</b> October 2016- March 2017	1,041	\$412,243,992	99	\$69,904,793	17%	17%
<b>2nd SEMI-ANNUAL REPORT</b> April 2017-June 2017**	421	\$871,327,022	60	\$127,067,638	15%	17%
<b>TOTAL</b>	<b>1458***</b>	<b>\$1,283,571,014</b>	<b>159</b>	<b>\$196,972,431</b>	<b>15%</b>	<b>17%</b>

**PAYMENTS\***

CONTRACT PAYMENTS	PAYMENTS TO PRIMES		DBE PARTICIPATION			OVERALL FTA GOAL
	Number of Contracts	Payment Amount	Number of DBE Subcontracts	DBE Payment Amount	% To Agency Total	
<b>1st SEMI-ANNUAL REPORT</b> October 2016- March 2017	156	\$677,961,759	559	\$145,705,963	21%	17%
<b>2nd SEMI ANNUAL REPORT</b> April 2017-June 2017	119	\$271,475,184	172	\$37,257,242	14%	17%
<b>TOTAL</b>	<b>275</b>	<b>\$949,436,943</b>	<b>731</b>	<b>\$182,963,205</b>	<b>19%</b>	<b>17%</b>

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

\*\*For three months only.

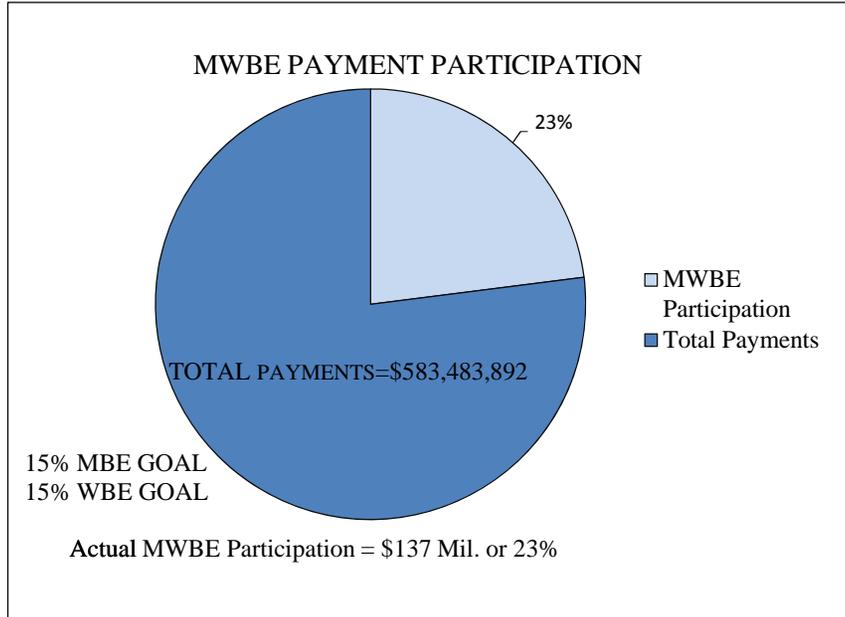
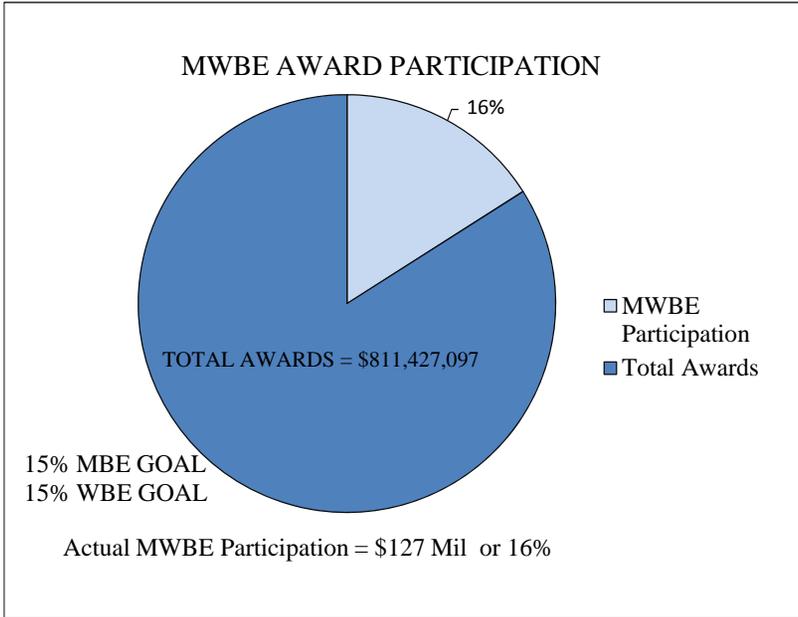
\*\*\*This figure includes contracts for which no DBE goals were assigned.

**MWBE Participation in State Funded Contracts  
New York State Fiscal Year 2017-2018\*  
(April 1, 2017 to June 30, 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 MWBE goal of 30% for State fiscal year 2016-2017, starting on April 1, 2017.
- From April 1, 2017 to June 30, 2017, MTA awarded \$811 million in New York State funded contracts, with \$127 million (16%) awarded to certified MWBEs.
- From April 1, 2017 to June 30, 2017, MTA paid over \$583 million on prime contracts with approximately \$ 137 million (23%), paid to MWBEs.

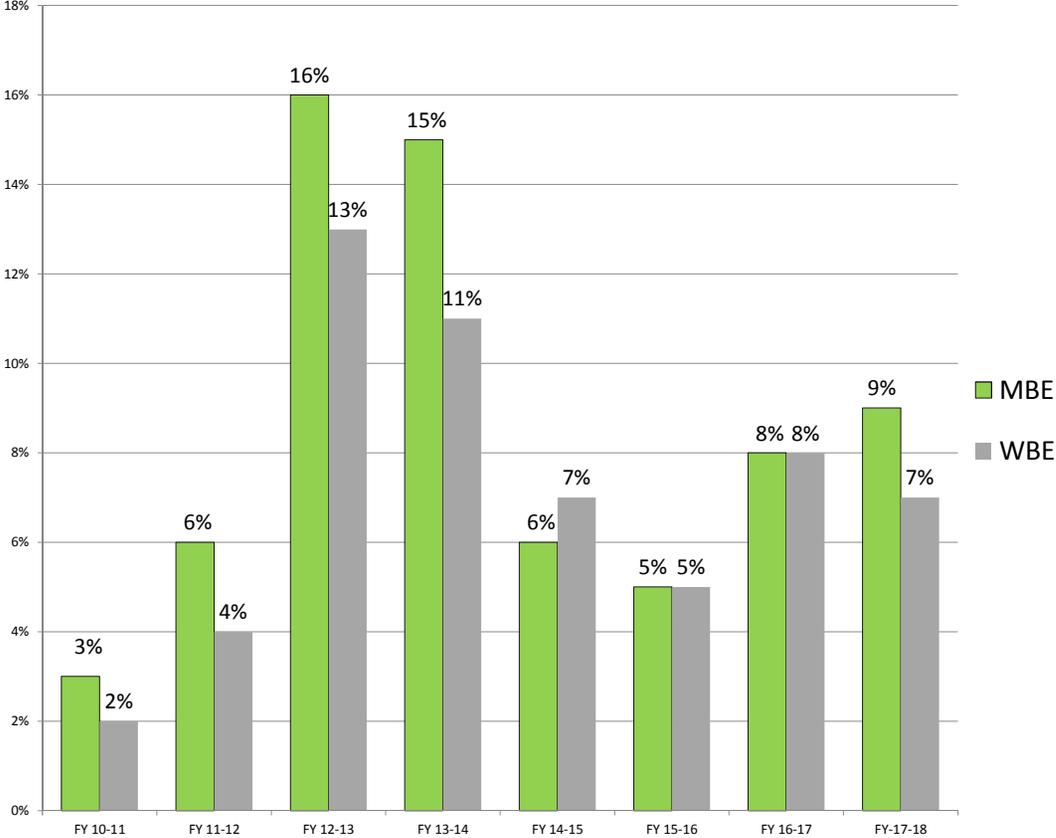
\*The State Fiscal Year runs from April 1<sup>st</sup> through March 31<sup>st</sup>.

MWBE CONTRACT ACTIVITY  
NEW YORK STATE FISCAL YEAR 2017-2018 (APRIL 2017-JUNE 2017)

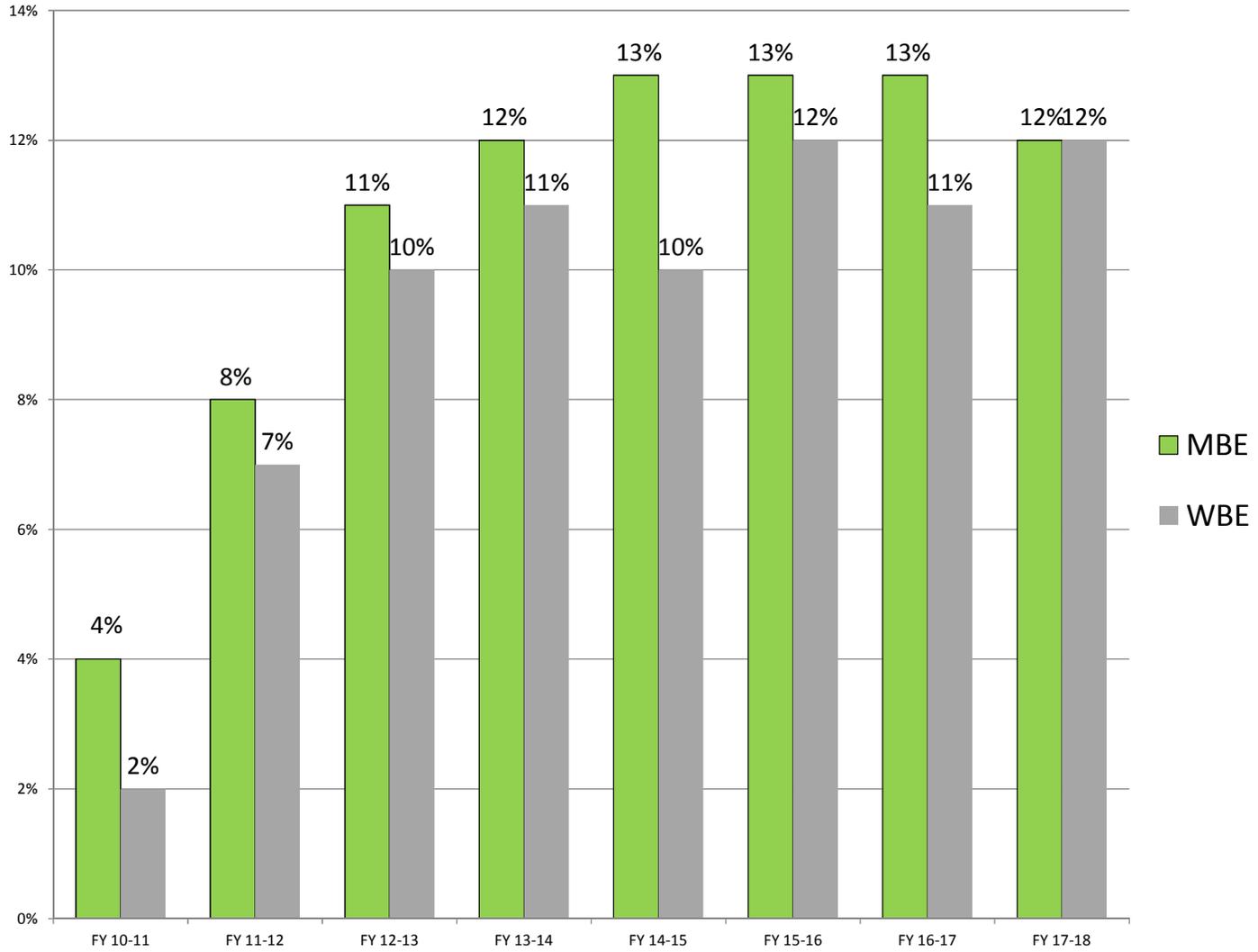


NYS MWBE AWARDS

APRIL 2010 - JUNE 2017



NYS MWBE PAYMENTS  
April 2010- June 2017



**NYS CONTRACTS  
MWBE CONTRACT ACTIVITY  
April 1, 2017 - June 30, 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>	20,594	\$811,427,097	1,552	\$126,566,925	16%	30%
<b>APRIL 2017-JUNE 2017</b>						

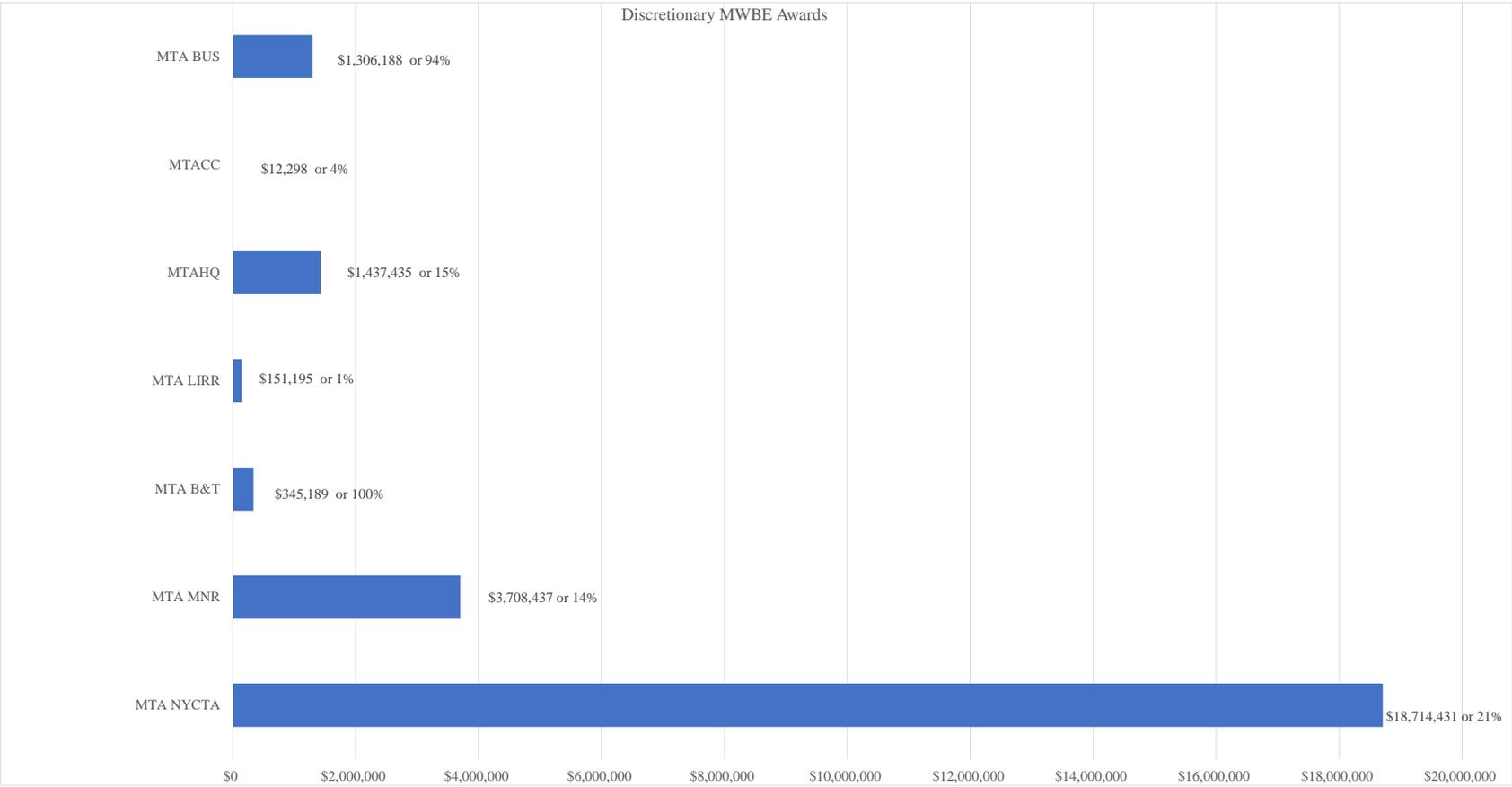
<b>TOTAL</b>	<b>20,594</b>	<b>\$811,427,097</b>	<b>1,552</b>	<b>\$126,566,925</b>	<b>16%</b>	<b>30%</b>

**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>	1,025	\$583,483,892	4,533	\$136,681,139	23%	30%
<b>APRIL 2017-JUNE 2017</b>						

<b>TOTAL</b>		<b>\$583,483,892</b>	<b>4,533</b>	<b>\$136,681,139</b>	<b>23%</b>	<b>30%</b>

**MTA ALL AGENCY  
DISCRETIONARY PROCUREMENTS REPORT\*  
JANUARY 2017-JUNE 2017**



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

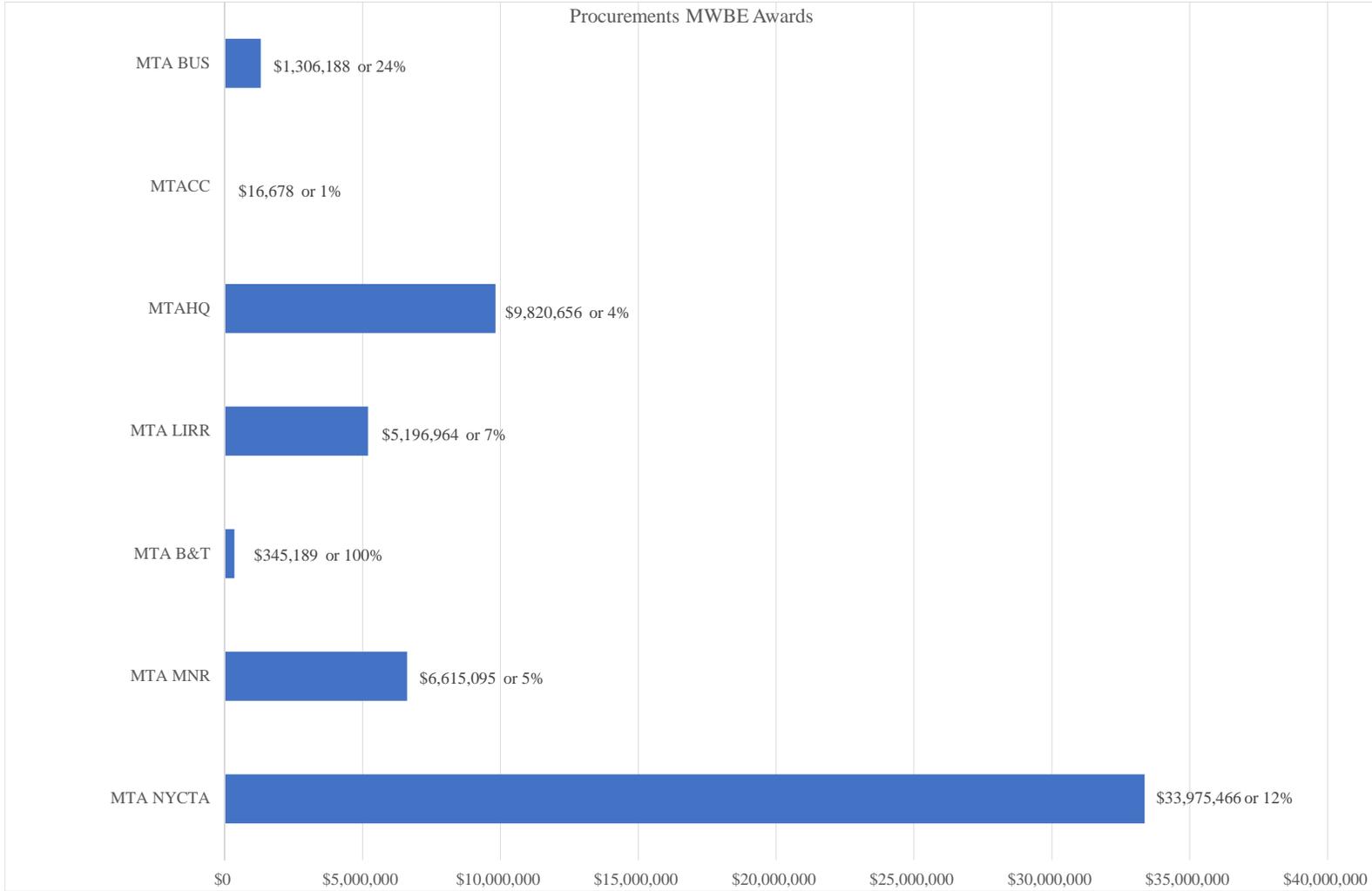
**MTA ALL AGENCY  
DISCRETIONARY PROCUREMENT REPORT\***

**January 2017 - June 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>	\$88,115,020	\$18,714,431	21%	\$2,580,270	3%
<b>MTA MNR</b>	\$25,914,917	\$3,708,437	14%	\$517,002	2%
<b>MTA B&amp;T</b>	\$345,189	\$345,189	100%	\$0	0%
<b>MTA LIRR</b>	\$21,522,252	\$151,195	1%	\$543,325	3%
<b>MTA HQ</b>	\$9,678,237	\$1,437,435	15%	\$111,275	1%
<b>MTA CC</b>	\$310,079	\$12,298	4%	\$0	0%
<b>MTA BUS</b>	\$1,395,863	\$1,306,188	94%	\$89,675	6%
<b>Total</b>	<b>\$147,281,557</b>	<b>\$25,675,173</b>	<b>17%</b>	<b>\$3,841,547</b>	<b>3%</b>

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

MTA ALL AGENCY  
TOTAL PROCUREMENTS  
JANUARY 2017-JUNE 2017



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

Agency	Total Award Amount	Total MWBE Awards	MWBE
<b>MTA NYCTA</b>	\$282,471,863	\$33,975,466	12%
<b>MTA MNR</b>	\$131,616,426	\$6,615,095	5%
<b>MTA B&amp;T</b>	\$345,189	\$345,189	100%
<b>MTA LIRR</b>	\$69,965,250	\$5,196,964	7%
<b>MTA HQ</b>	\$218,267,658	\$9,820,656	4%
<b>MTA CC</b>	\$1,309,437	\$16,678	1%
<b>MTA BUS</b>	\$5,452,493	\$1,306,188	24%
<b>Total</b>	<b>\$709,428,316</b>	<b>\$57,276,236</b>	<b>8%</b>

# Metropolitan Transportation Authority Department of Diversity and Civil Rights

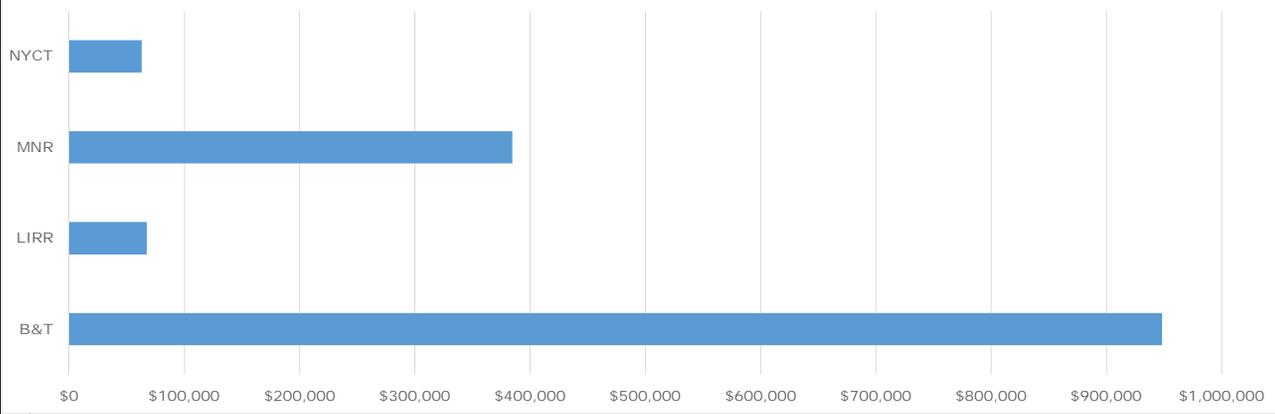
## Discretionary A&E, Legal & IT

September 25, 2017



A/E Awards thru Discretionary Procurement						
#	Agency	Project Name & Description	Primary Trades	Contract Amount	Notice of Award Date	Contractor Certification
1	B&T	Installation of Security Fencing @ the BWB Bronx Approach & Queens Anchorage	Construction Administration & Inspection Services	\$ 147,356	3/16/16	MBE
2	B&T	Sidewalk Repairs @ the Queens Midtown Tunnel	Construction Administration & Inspection Services	\$ 131,615	4/18/16	MBE
3	B&T	Retrofitting suspender Ropes Socket Boxes for Inspection at BWB	Inspection and Design, Expert engineering, and Engineering support Services	\$ 109,002	7/19/16	MBE
4	B&T	Manhattan Blower Building Front Door Repair & Replacement at HLC Tunnel	Engineering Design Services	\$ 23,826	9/2/16	M/WBE
5	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
6	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
7	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
8	B&T	WBM-373 Soil Stabilization under the Queens Approach at the BWB	Inspection and Design, Expert engineering, and Engineering support Services	\$ 36,770	3/31/17	MBE
9	B&T	Engineering Application Management Consultant	Inspection and Design, Expert Engineering, and Engineering Support Services	\$ 250,000	6/15/17	MBE
10	LIRR	Geotechnical Subsurface Investigation of North Main Street & Accabonack Bridge	Design - Environmental. Soils	\$ 55,888	5/6/16	MBE
11	LIRR	3D Renderings of North Main Street & Accabonack Bridge	Design - Lines (Bridges)	\$ 11,252	8/12/16	MBE
12	MNR	Feasibility Study Spuyten Duyvil to Ludlow Trail	Design- Environmental	\$ 220,401	11/3/16	WBE
13	MNR	Design Harmon Office of System Safety Facility	Design	\$ 163,924	3/30/17	WBE
14	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				\$ 1,462,539		

A & E Contract Amounts by Agency



# IT Discretionary

IT Discretionary Consulting Contract No. 14357  
January 2017-June 2017

Total Number of Awards- 113

Value of Awards- \$18 million

Value of Cumulative Awards- \$50 million



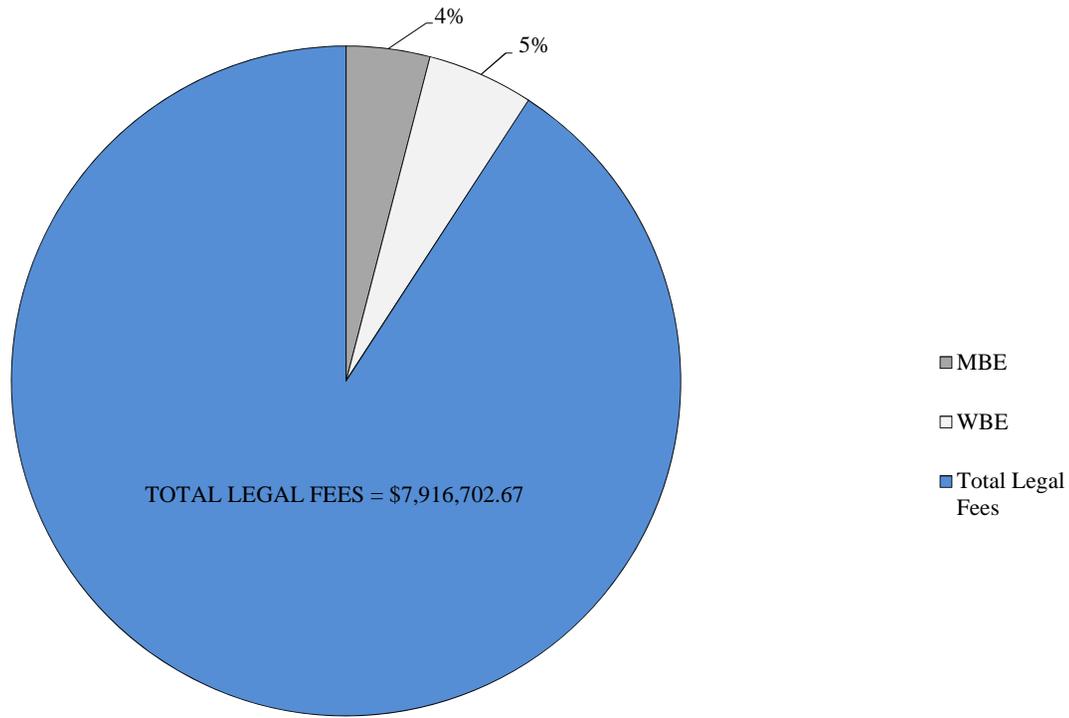
IT Discretionary Consulting Contract No. 14357

Vendor	PO Number	PO Amount	Vendor	PO Number	PO Amount
CAPSTONE STRATEGY GROUP, LLC	9000005949	\$ 225,000.00	LYNX TECHNOLOGY PARTNERS INC	9000006139	\$ 267,393.00
	9000005950	\$ 100,000.00		9000006140	\$ 179,540.71
	9000006412	\$ 193,839.00		9000006607	\$ 132,593.71
DONNELLY & MOORE CORP	9000005798	\$ 200,747.04	NEOTECRA, INC.	9000005773	\$ 100,000.00
	9000006057	\$ 201,600.00	NEXT GENERATION INC	9000006325	\$ 286,000.00
	9000006098	\$ 152,848.00	PROTEK INFORMATION TECHNOLOGY SVS LLC	9000005877	\$ 389,320.00
	9000006159	\$ 215,339.41	PRUTECH SOLUTIONS, INC.	9000005795	\$ 55,114.00
GRANDWOOD INC	9000006258	\$ 97,500.00		9000005884	\$ 92,048.00
IIT INC	9000005643	\$ 28,931.00		9000006454	\$ 143,931.00
	9000005718	\$ 99,568.00		9000006455	\$ 353,356.30
	9000005745	\$ 150,000.00		9000006462	\$ 105,518.00
	9000005779	\$ 78,319.00		9000006466	\$ 169,867.00
	9000005780	\$ 50,000.00	Q.E.D., INC.	9000006071	\$ 133,120.00
	9000005797	\$ 102,960.00		9000006107	\$ 223,225.00
	9000005799	\$ 173,584.00		9000006108	\$ 109,980.00
	9000005802	\$ 267,393.00		9000006205	\$ 172,416.00
	9000006021	\$ 76,050.00	SOURCE OF FUTURE TECHNOLOGY INC.	9000005739	\$ 118,950.00
	9000006069	\$ 100,000.00		9000005750	\$ 85,800.00
	9000006149	\$ 62,693.00		9000005770	\$ 100,000.00
	9000006334	\$ 258,421.50		9000005941	\$ 78,000.00
	9000006421	\$ 211,113.00		9000005942	\$ 47,021.52
	9000006460	\$ 300,000.00		9000005943	\$ 47,021.52
	9000006463	\$ 202,000.00		9000005944	\$ 220,272.00
	9000006487	\$ 68,800.00		9000005977	\$ 221,130.00
	9000006708	\$ 85,663.50		9000006040	\$ 325,000.00
INFOPEOPLE CORP	9000005681	\$ 268,000.00		9000006056	\$ 236,520.00
	9000005716	\$ 52,488.00		9000006174	\$ 184,800.00
	9000005769	\$ 271,206.00		9000006305	\$ 192,500.00
	9000006156	\$ 55,185.50		9000006418	\$ 193,839.46
	9000006255	\$ 26,680.00		9000006435	\$ 116,667.00
	9000006666	\$ 149,602.65		9000006658	\$ 150,764.00
	9000006703	\$ 81,900.00		9000006667	\$ 103,914.00
	9000006714	\$ 81,900.00	SPRUCE TECHNOLOGY INC	9000005688	\$ 173,584.00
INFOSYS INTERNATIONAL, INC.	9000005734	\$ 159,441.41		9000005814	\$ 74,142.00
	9000005785	\$ 31,160.00		9000005966	\$ 220,272.00
	9000005807	\$ 57,720.00		9000006365	\$ 111,627.00
	9000005829	\$ 152,100.00		9000006660	\$ 286,000.00
	9000005964	\$ 220,272.00	TCA CONSULTING GROUP INC	9000006369	\$ 63,375.00
	9000005965	\$ 220,272.00		9000006559	\$ 73,125.00
	9000006011	\$ 297,833.84	UNIQUE COMP, INC.	9000005817	\$ 111,392.00
	9000006020	\$ 96,824.00		9000005818	\$ 117,113.00
	9000006058	\$ 141,100.00		9000005819	\$ 312,000.00
	9000006062	\$ 166,440.00		9000005886	\$ 134,000.00
	9000006099	\$ 75,000.00		9000005961	\$ 283,650.80
	9000006172	\$ 171,546.38		9000005970	\$ 355,920.00
	9000006266	\$ 286,000.00		9000006221	\$ 194,865.00
	9000006316	\$ 197,784.00		9000006233	\$ 286,000.00
	9000006605	\$ 211,113.00		9000006341	\$ 127,717.59
	9000006687	\$ 80,925.00		9000006343	\$ 26,319.00
IZAR ASSOCIATES INC	9000005700	\$ 98,865.00		9000006468	\$ 117,867.00
	9000005700	\$ 197,730.00		9000006469	\$ 164,667.00
	9000005740	\$ 44,880.00		9000006485	\$ 111,627.00
	9000005740	\$ 89,760.00		9000006568	\$ 216,944.00
	9000005813	\$ 74,142.00		9000006689	\$ 139,264.11
	9000005813	\$ 148,284.00	US TECH SOLUTIONS, INC	9000006415	\$ 219,966.29
	9000005875	\$ 190,892.24		9000006547	\$ 161,577.98
	9000005875	\$ 381,784.48			
	Sub Total	\$ 8,481,200.95		Sub Total	\$ 9,418,637.99
			Grand Total		\$ 17,899,838.94

MTA All Agency Legal Fees April 2017 to June 2017



MTA ALL AGENCY LEGAL FEES  
April 2017 - June 2017



15% MBE GOAL  
15% WBE GOAL

Actual MBE Participation = \$279,382 or 4%  
Actual WBE Participation = \$403,523 or 5%

**MTA All Agency Legal Fees Paid  
April 2017 through June 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	\$64,115.03	\$10,211.63	15.9%	\$0.00	0.0%
LIRR	\$503,049.00	\$12,487.00	2.5%	\$24,199.00	4.8%
MTABUS	\$1,282,672.76	\$100,133.51	7.8%	\$54,139.35	4.2%
MTACC	\$156,708.00	\$0.00	0.0%	\$155,036.00	98.9%
MTAHQ	\$3,025,272.34	\$98,003.00	3.2%	\$40,912.99	1.4%
MNR	\$373,710.22	\$46,817.14	12.5%	\$50,285.65	13.5%
NYCTA	\$2,511,175.32	\$11,729.80	0.5%	\$78,949.78	3.1%
<b>TOTAL</b>	<b>\$7,916,703</b>	<b>\$279,382</b>	<b>3.5%</b>	<b>\$403,523</b>	<b>5.1%</b>

# Metropolitan Transportation Authority Department of Diversity and Civil Rights

Status of Closed Contracts  
as of August 31, 2017

September 25, 2017



# MTA Headquarters DDCR Update

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

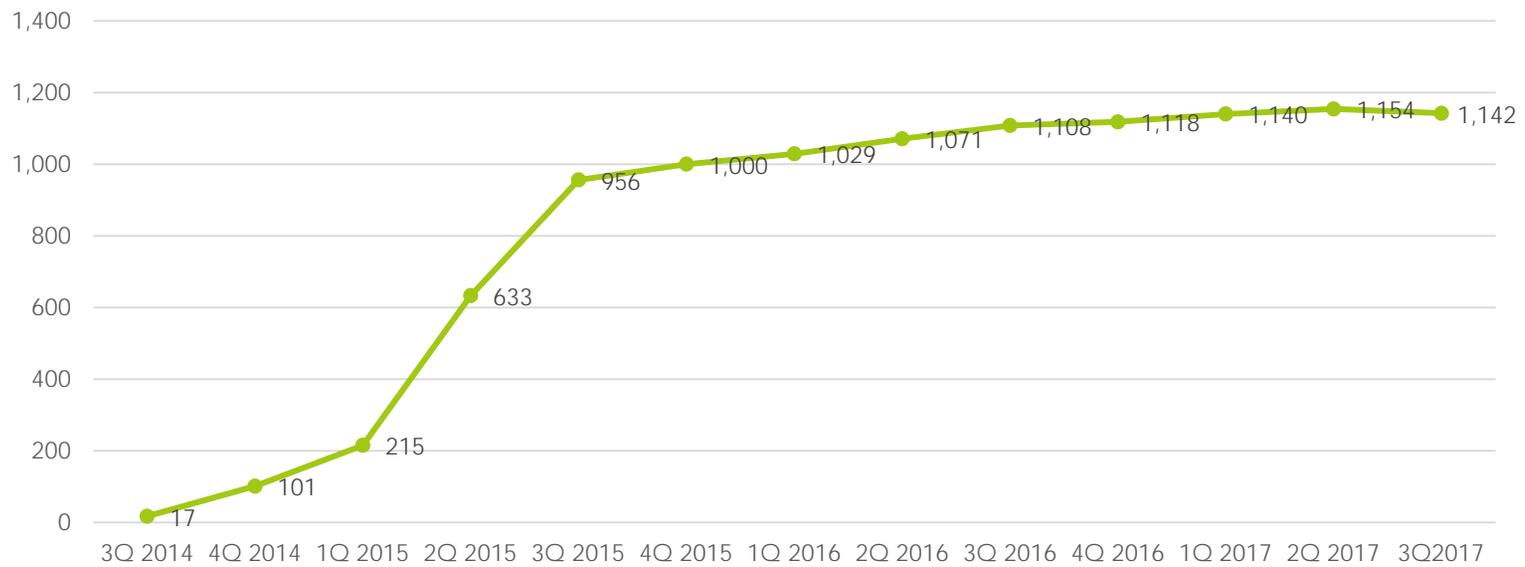
Inactive Contracts with Goals	Number of Contracts
1. Total Contracts Reviewed and Closed	862
2. Contracts Administratively Closed	280 <sup>1</sup>
Sub-Total	1,142 (93%)
3. Closeouts in Progress	17
4. Contracts Pending Agency Action	75
Total	1,234 <sup>2</sup> (100%)

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 August 31, 2017.



# MTA Headquarters DDCR Update

## DDCR Contract Closeout Progression 8/12/2014 through 8/31/2017



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

Project Site Visits  
as of August 31, 2017

September 25, 2017



# MTA Headquarters DDCR Update

## DDCR Project Site Visits: Year-To-Date 2017

AGENCY	MONTH								TOTAL TO DATE	AVERAGE
	JAN	FEB	MAR	APRIL	MAY	JUNE	JULY	AUG		
MTAHQ	11	8	8	3	9	1	0	7	47	6.71
NYCT	26	22	15	47	29	32	29	21	221	27.63
B&T	13	11	8	9	18	13	7	4	83	10.38
MNR	7	0	3	6	7	6	8	7	44	6.29
LIRR	9	8	7	8	9	8	7	6	62	7.75
<b>DDCR Total:</b>	<b>66</b>	<b>49</b>	<b>41</b>	<b>73</b>	<b>72</b>	<b>60</b>	<b>51</b>	<b>45</b>	<b>457</b>	<b>57.13</b>



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## M/W/DBE Capital Projects

September 25, 2017



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

FEDERALLY FUNDED	JAN 2017-MAR 2017 (in millions)			APR 2017-JUN 2017 (in millions)			JAN 2017- JUN 2017 (in millions)		
	DBE Participation Goal: 17%	Total Awards*	Total DBE Awards	DBE Participation (%)	Total Awards*	Total DBE Awards	DBE Participation (%)	Total Awards*	Total DBE Awards
Construction	\$ 40	\$ 11	28%	\$ 863	\$ 132	15%	\$ 903	\$ 143	16%
<b>TOTAL</b>	<b>\$ 40</b>	<b>\$ 11</b>	<b>28%</b>	<b>\$ 863</b>	<b>\$ 132</b>	<b>15%</b>	<b>\$ 903</b>	<b>\$ 143</b>	<b>16%</b>
<b>Additional MWBE Participation:</b>	<b>Total Awards*</b>	<b>Total MWBE Awards</b>		<b>Total Awards*</b>	<b>Total MWBE Awards</b>		<b>Total Awards*</b>	<b>Total MWBE Awards</b>	
Construction	\$ 40	\$ 11		\$ 863	\$ 123		\$ 903	\$ 134	
<b>Total</b>	<b>\$ 40</b>	<b>\$ 11</b>		<b>\$ 863</b>	<b>\$ 123</b>		<b>\$ 903</b>	<b>\$ 134</b>	

\* Total awards exclude rolling stock and signals.

**MWBE / SDVOB  
AWARDS ON MTA CAPITAL PROJECTS with GOALS  
JANUARY 2017 - JUNE 2017  
STATE-FUNDED**

STATE FUNDED	JAN 2017-MAR 2017 (in millions)			APR 2017-JUN 2017 (in millions)			JAN 2017-JUN 2017 (in millions)		
<b>MBE Participation Goal: 15%</b>	<b>Total Awards*</b>	<b>Total MBE Awards</b>	<b>MBE Participation (%)</b>	<b>Total Awards*</b>	<b>Total MBE Awards</b>	<b>MBE Participation (%)</b>	<b>Total Awards*</b>	<b>Total MBE Awards</b>	<b>MBE Participation (%)</b>
Construction	\$ 71	\$ 12	17%	\$ 388	\$ 48	12%	\$ 459	\$ 60	13%
<b>TOTAL</b>	<b>\$ 71</b>	<b>\$ 12</b>	<b>17%</b>	<b>\$ 388</b>	<b>\$ 48</b>	<b>12%</b>	<b>\$ 459</b>	<b>\$ 60</b>	<b>13%</b>
<b>WBE Participation Goal: 15%</b>	<b>Total Awards*</b>	<b>Total WBE Awards</b>	<b>WBE Participation (%)</b>	<b>Total Awards*</b>	<b>Total WBE Awards</b>	<b>WBE Participation (%)</b>	<b>Total Awards*</b>	<b>Total WBE Awards</b>	<b>WBE Participation (%)</b>
Construction	\$ 71	\$ 9	13%	\$ 388	\$ 35	9%	\$ 459	\$ 44	10%
<b>TOTAL</b>	<b>\$ 71</b>	<b>\$ 9</b>	<b>13%</b>	<b>\$ 388</b>	<b>\$ 35</b>	<b>9%</b>	<b>\$ 459</b>	<b>\$ 44</b>	<b>10%</b>
<b>SDVOB Participation Goal: 6%</b>	<b>Total Awards</b>	<b>Total SDVOB Awards</b>	<b>SDVOB Participation (%)</b>	<b>Total Awards</b>	<b>Total SDVOB Awards</b>	<b>SDVOB Participation (%)</b>	<b>Total Awards</b>	<b>Total SDVOB Awards</b>	<b>SDVOB Participation (%)</b>
Construction	\$ -	\$ -	0%	\$ -	\$ -	0%	\$ -	\$ -	0%
<b>TOTAL</b>	<b>\$ -</b>	<b>\$ -</b>	<b>0%</b>	<b>\$ -</b>	<b>\$ -</b>	<b>0%</b>	<b>\$ -</b>	<b>\$ -</b>	<b>0%</b>
<b>Additional DBE Participation:</b>	<b>Total Awards*</b>	<b>Total DBE Awards</b>		<b>Total Awards*</b>	<b>Total DBE Awards</b>		<b>Total Awards*</b>	<b>Total DBE Awards</b>	
Construction	\$ 71	\$ 14		\$ 388	\$ 45		\$ 459	\$ 59	
<b>Additional DBE Participation Total</b>	<b>\$ 71</b>	<b>\$ 14</b>		<b>\$ 388</b>	<b>\$ 45</b>		<b>\$ 459</b>	<b>\$ 59</b>	

\*Total awards exclude rolling stock and signals.

Metropolitan Transportation Authority  
Department of Diversity and  
Civil Rights

**MTA DBE Goal Setting  
Methodology  
Federal Fiscal Years 2018-2020**

**September 25, 2017**



# DBE Goal Setting Process

- FTA DBE Program Requirements: 49 C.F.R. Part 26
  - Agencies are to establish a “Level Playing Field” for expected DBE participation
  - Use of narrowly tailored means to create opportunities for DBEs without unduly burdening non-DBEs.
  - DBE Goal is tied to local market
  - Recipients have use flexibility to set goal



# Establishing Overall Three-Year Goal DBE Availability

- MTA's proposed three-year overall DBE goal is at best an estimate based on the projected value of federally-funded contracts currently available. Depending on the actual contract awards, MTA's DBE goal is subject to adjustment. We will reassess our DBE goal and rationale to reflect any changes that might occur.
- Overall Businesses Availability
  - 2014 U.S Census Bureau County Business Patterns (All firms within MTA's service area). Over 46,600 firms identified.
- Calculating Weighted Relative Availability
  - Comparing available DBEs in each SIC/NAICS Code by the proportion of work let in each SIC/NAICS Code



# Establishing Overall Three-Year Goal

- Step One
  - Establishing the Base Figure
    - Calculate Relative Availability of DBEs
      - NYUCP Directory of Certified DBEs
      - New York MWBE Directory for Potential DBEs



# Establishing Overall Three-Year Goal

## ■ Identification of Proposed Federally-Assisted Contracts

- Estimated value of federally-assisted contracts subject to three-year DBE goal: approximately \$2.7 billion.
- Contracting activity broken out by SIC/NAICS codes: General Construction, Heavy and Civil Engineering Construction, Specialty Trade, Administrative and Support Services, Architectural and Engineering Services.

## ■ DBE Availability

- NYC UCP Directory (DBEs within MTA's 14-county service area)
- Empire State Development Corporation Directory (M/WBEs within MTA's 14-county service area) – potential DBEs. Over 5,500 firms identified.



# Establishing Overall Three-Year Goal

- To determine the percentage of DBE availability, the number of DBEs in particular NAICS codes is divided by the number of all firms available to perform work in those NAICS codes. The percentages of available DBEs in NAICS code is then adjusted by the proportion of work to be awarded in that NAICS code so that the overall goal reflects a composite of all DBEs who can perform work in those NAICS codes in which MTA expects to award contracts.
- Based on this methodology, we determined a Base Figure of 18.03%.



# Establishing Overall Three-Year Goal

- Step Two
  - Adjustment of the Base Figure, if necessary. Factors Considered :
    - Ability of DBEs to undertake projects as primes.
    - Current capacity of DBE firms to participate in MTA's federally funded projects
    - Past DBE participation
    - DBE participation in MTA's Small Business Federal Program



# Establishing Overall Three-Year Goal DBE Availability

<b>FFY</b>	<b>PRIME AWARDS</b>	<b>DBE DOLLARS</b>
<b>2013</b>	<b>\$1.5B</b>	<b>\$211.6M (13.7%)</b>
<b>2014</b>	<b>\$1.06B</b>	<b>\$188.6M (17.8%)</b>
<b>2015</b>	<b>\$1.4B</b>	<b>\$306M (21.3%)</b>
<b>2016</b>	<b>\$1.4B</b>	<b>\$237M (17.1%)</b>
<b>2017*</b>	<b>\$412M</b>	<b>\$70M (17%)</b>

\* For first six months only (October 2016- March 2017)



# Establishing Overall Three-Year Goal

- Base Figure Adjustment

MTA determined the median past participation by arranging the DBE participation for the last four completed FFYs from lowest to highest.

FFY	2013	2016	2014	2015
DBE%	13.7%	17.1%	17.8%	21.3%



# Establishing Overall Three-Year Goal

## ■ Base Figure Adjustment

Because there is an even number of values, we added the middle two percentages and averaged them, resulting in a mean of 17.45%.

We then added the weighted Base Figure of 18.03% (calculated in Step One) to the mean of the completed past four FFYs of 17.45%, and divided the total by two, resulting in 17.74% which is rounded to 18% .

We thus determined that no adjustment to the Base Figure is necessary.

Therefore, MTA's overall DBE goal for FFYs 2018-2020 is 18%. We are proposing to achieve 3.6% DBE participation using race neutral measures, and remaining 14.4% participation using race conscious measures.



- DBE Participation in MTA's Small Business Federal Program
  - From Program inception in March 2013 through June 30, 2017, \$72 million has been awarded. Of this amount, DBEs were awarded \$36 million (50%).



# Race Neutral vs. Race Conscious Measures

- Race Neutral Measures
  - Prioritize outreach and technical assistance efforts
  - Use race neutral measures to the fullest extent possible
  - As race neutral measures become more effective, fewer contract goals are required
  - Separately track DBE participation for contracts with goals and those without goals
  
- Race Conscious Measures
  - Use only as necessary to reach overall goal
  - Goals not required on any particular contract
  - Emphasize good faith efforts



# Advertisement of DBE Goal

- Notice placed on MTA Web site
- Proposed DBE goal was advertised in *The New York Times*, *Newsday*, *El Diario*, *Minority Commerce Weekly*, *New York Post*, *Amsterdam News*, and *La Voz Hispana* on June 29, 2017.
- 30-day Comment Period Ran Through July 29, 2017.
- Goal submitted to the FTA on August 1, 2017



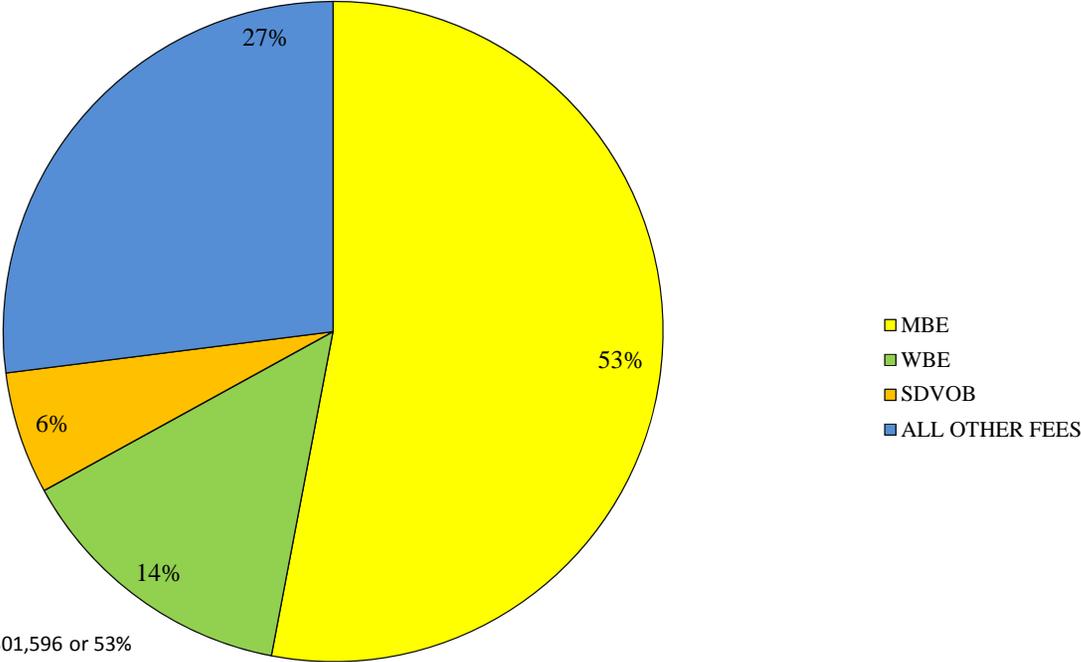
# Metropolitan Transportation Authority Department of Diversity and Civil Rights

Financial Services

September 25, 2017



**MTA ALL AGENCY UNDERWRITER FEES  
APRIL 2017 - JUNE 2017**



Actual MBE Participation = \$1,301,596 or 53%  
Actual WBE Participation = \$338,779 or 14%  
Actual SDVOB Participation \$151,224 or 6%  
All Other Underwriting Fees = \$658,398 or 27%  
Total Underwriting Fees = \$2,449,997

# Metropolitan Transportation Authority Department of Diversity and Civil Rights

Asset Fund Managers

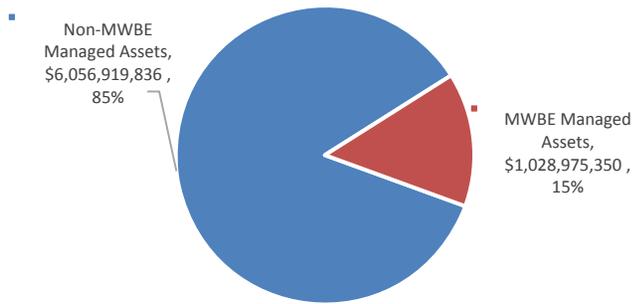
September 25, 2017



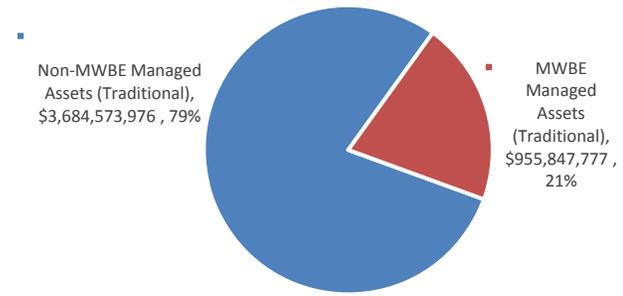
# MTA Sponsored Plans – MWBE Participation

As of June 30, 2017

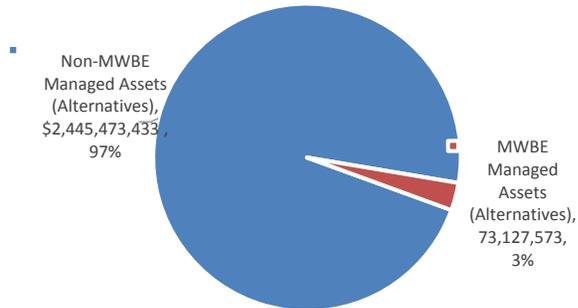
Combined Plans - Total Assets



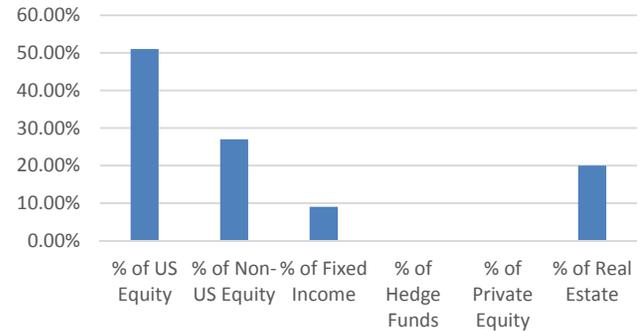
Combined Plans - Traditional Investments



Combined Plans- Alternative Investments



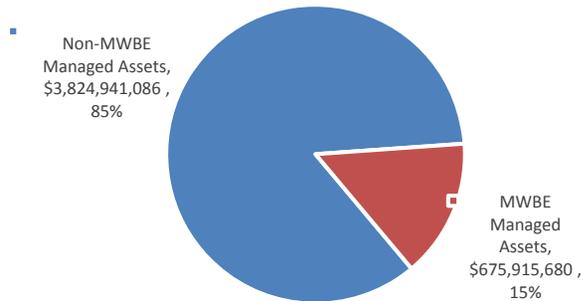
MWBE Managed Assets by Asset Class



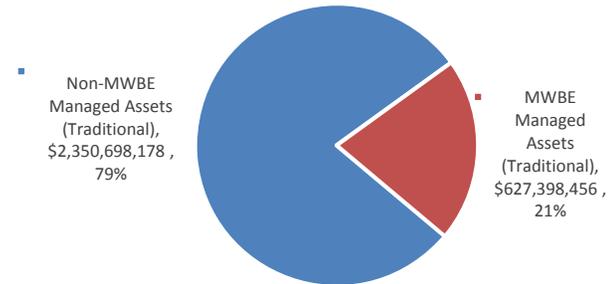
# MTA Sponsored Plans – MWBE Participation

As of June 30, 2017

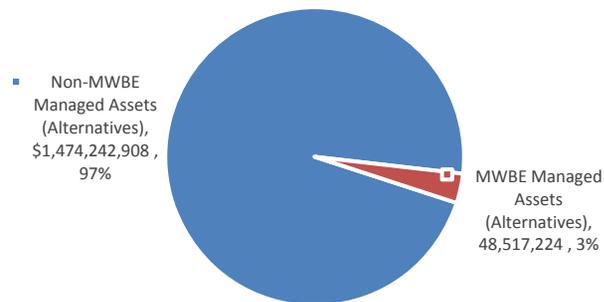
MTA Defined Benefit - Total Assets



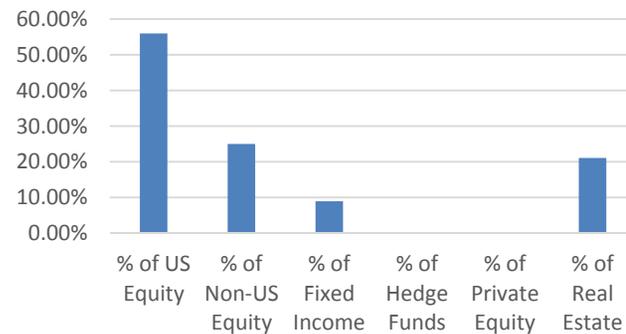
MTA Defined Benefit - Traditional Investments



MTA Defined Benefit - Alternative Investments



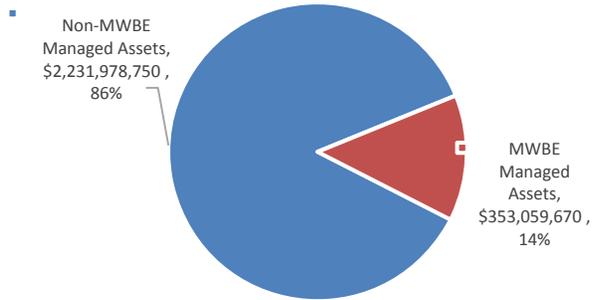
MWBE Managed Assets by Asset Class



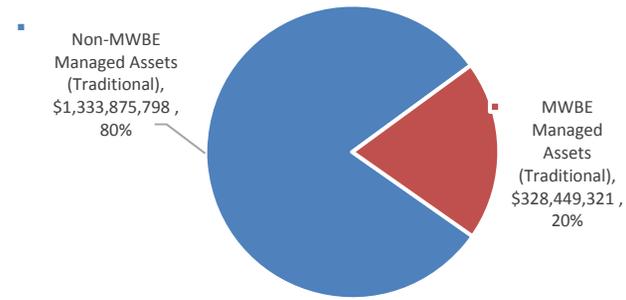
# MTA Sponsored Plans – MWBE Participation

As of June 30, 2017

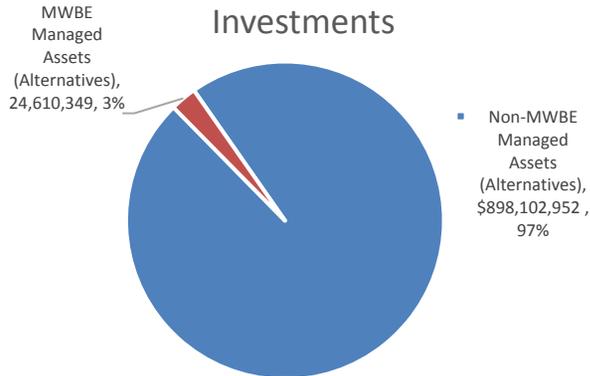
MaBSTOA - Total Assets



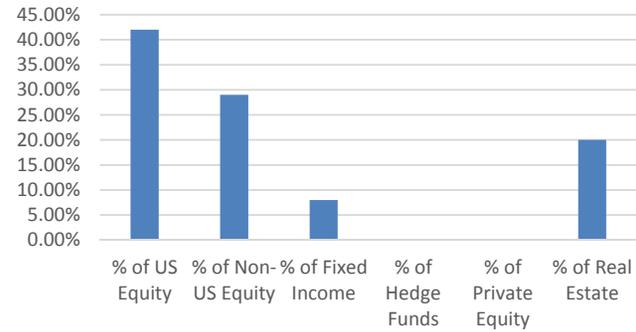
MaBSTOA - Traditional Investments



MaBSTOA - Alternative Investments



MWBE Managed Assets by Asset Class



# **The Metropolitan Transportation Authority**

## **DIVERSITY COMMITTEE**

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

### **I. PURPOSE**

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

### **II. COMMITTEE AUTHORITY**

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

### **III. COMMITTEE MEMBERSHIP**

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

### **IV. COMMITTEE MEETINGS**

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

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

## **V. COMMITTEE REPORTS.**

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

## **VI. KEY RESPONSIBILITIES**

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

To fulfill its purpose, the Committee shall:

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

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