



**Metropolitan Transportation Authority**

# **Diversity Committee Meeting**

## **December 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**

**Wednesday, 12/13/2017  
8:00 - 8:30 AM ET**

## **1. PUBLIC COMMENT PERIOD**

## **2. APPROVAL OF MINUTES-SEPTEMBER 27, 2017**

*September 2017 Diversity Committee Meeting Minutes - Page 3*

## **3. 2017 & 2018 DIVERSITY COMMITTEE WORK PLANS**

*2017 Diversity Committee Work Plan - Page 12*

*2018 Diversity Committee Work Plan - Page 16*

## **4. EXECUTIVE SUMMARY**

*Executive Summary - Page 20*

## **5. BUSINESS AND DIVERSITY INITIATIVES**

*Business and Diversity Initiatives - Page 32*

## **6. DBE CERTIFICATION ACTIVITY REPORT**

*DBE Certification Activity Report - Page 35*

## **7. THIRD QUARTER 2017 EEO ACTIVITIES**

*Third Quarter 2017 EEO Activities - Page 37*

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

*Small Business Development Program Update - Page 56*

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

*MWDBE Contract Compliance - Page 81*

## **10. M/W/DBE, DBE, and SDVOB PARTICIPATION ON CAPITAL PROJECTS**

*M/WBE, DBE, and SDVOB Participation on Capital Projects - Page 116*

## **11. FINANCIAL SERVICES**

*Financial Services - Page 118*

## **12. ASSET FUND MANAGERS**

*Asset Fund Managers - Page 120*

## **MTA DIVERSITY COMMITTEE**

Meeting Minutes

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

New York, NY 10004

Wednesday, September 27, 2017

8 a.m.

The following Committee members were present:

Hon. John Molloy, Chairman

Hon. Susan G. Metzger

The following Committee members were absent:

Hon. David Jones

Hon. Peter Ward

Hon. Neal Zuckerman

The following were also present:

Patrick Foye, President, MTA

Veronique “Ronnie” Hakim, MTA Interim Executive Director

Mitchell Pally, Member, MTA Board

Cedrick T. Fulton, President, MTA Bridges and Tunnels (“B&T”)

Catherine Rinaldi, Executive Vice-President, MTA Metro-North Railroad (“MNR”)

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

Darryl Irick, Acting President, MTA New York City Transit (“NYC Transit”)

John “Janno” Lieber, MTA Chief Development Officer

Steven Vidal, Acting President, MTA Bus (“MTA Bus”)

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

Anita Miller, Chief Employee Relations and Administrative Officer, MTA Human Resources Department (“HR”)

Sean Crawford, MTA Chief Investment Officer

Michael Kalish, Director, MTA HR

Joseph McGrann, Chief of Operations, 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

Michael Riegel, Program Manager, SBDP, DDCR

MTA Diversity Committee Meeting Minutes, Wednesday, September 27 2017

Bill Howell, Consultant, SBDP, DDCR  
Zenaida Rodriguez, Assistant Director, Business and Diversity Initiatives, DDCR  
Ron McCune, Assistant Director, Certification, DDCR  
Satori Samuda, Assistant Deputy Chief Diversity Officer, DDCR  
David Sang, Manager, EEO, DDCR  
Patricia Lodge, Vice President, HR, NYC Transit  
Patrick Smith, Chief Officer, Strategic and Business Partnerships, HR, NYC Transit  
Michael Fyffe, Director, Diversity Management, LIRR  
Shawn Moore, Acting Chief of Staff, B&T  
Albert Rivera, Executive Vice President, B&T  
Robert Rodriguez, Director, Diversity and Equal Opportunity, MNR  
Natalie Mason-Kinsey, Chief Officer, EEO, MTA Bus  
Sheree Owens, MWDBE Procurement Compliance Specialist, MNR  
Ouida Gaillard, HR Business Partner, MNR  
Yvonne Hill-Donald, HR Business Manager, MNR  
Peggie Willens, Audit Manager, MTA Office of Inspector General  
Patrick Isom, Manager, Financial Analysis, MTAHQ

### **Public Speaker**

Charles Hymes, Jr., Senior Technical Manager at WSP spoke about their ongoing internship program. Mr. Hymes said interns work with senior professionals to gain practical experience. He said two interns were later employed by WSP on a part-time basis.

M. Garner stated that this initiative is a win-win proposition. He added that a paid internship program is a way to recruit and develop future talent pool.

Mr. Garner said MTA will explore the possibility of expanding in this program to other MTA agencies.

### **Approval of Minutes**

The Committee approved the minutes of the meetings held on December 12, 2016, February 21, 2017, and May 22, 2017.

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

Chairman Molloy asked if there were any changes to the Work Plan. Mr. Din stated that there were no changes to the work plan.

### **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. Mr. Din noted that on October 4-5, 2017, MTA staff will the New York State

MWBE Conference in Albany. He this is the largest conference of its kind, and MTA will be playing a lead role.

### **Certification Activity Report**

Mr. Din reported on the DBE certification activity for the second quarter of calendar year 2017. He said that 26 new applications were received. He said the number of new applications is lower than last year's but higher than previous year's numbers for the same period. He said a total of 47 applications for DBE certification were processed. He said the number of applications processed is higher than the number processed during the same period in the previous two years.

### **Second Quarter 2017 EEO Activities**

Mr. Din reported that the MTA's overall workforce is comprised of over 73,400 employees; of which over 13,000 (18%) are women, and almost 50,000 (68%) are minorities. Additionally, Mr. Din said over 1,800 (2%) of the employees are veterans.

Mr. Din also reported that the percentage of women 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. Mr. Din reported that MTA hired nearly 4,000 employees, of which 1,505 (24%) are women, 4,769 (76%) are minorities, and 214 (3%) are veterans.

Ms. Brown presented the workforce underutilization data. She said that in order to complete the utilization analysis to determine if the work force reflects the relevant labor market, each MTA agency's EEO Office reviewed the respective work force data to ensure that each position title was assigned to the correct occupation code, job group, and EEO category. She said this project took a year to complete, and saved MTA almost \$2 million in outside consultant' fees. Ms. Brown thanked to the agency staff for their assistance in completion of this project.

Mr. Din provided an update on MTA-wide EEO complaints. He said that MTA and its agencies handled a total of 418 EEO complaints, of which 237 were internal and 181 were external complaints. Mr. Din added that MTA and its agencies handled a total of 260 Title VI complaints.

### **Agency Strategies to Address Utilization**

Each MTA agency president or designee, and representatives from MTAHQ and MTAPD reaffirmed their commitment to EEO and diversity. They also outlined their respective agency or department's efforts to increase representation of women and minorities in the workforce, 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 provided 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 and Mr. Kalish discussed the strategies employed at MTAHQ. Mr. Garner stated that MTAHQ reaffirms its commitment to diversity and inclusion in the workplace. Mr. Kalish reaffirmed the importance of diversity in the workplace. He said this applies not only to gender and race-based classifications, but extends to veteran status, disability status, and membership in the LGBTQ community.

Regarding 2017 accomplishments, Mr. Kalish stated that 61% of MTA HQ new hires have been minorities. He said MTAHQ has been aggressively advertising through a variety of diverse publications.

Mr. Garner added that EEO recruitment is a shared responsibility with respect to diversity. Mr. Garner said DDCR will be filling the newly created position of Assistant Deputy Chief Diversity Officer for Title VI and Workforce Initiatives. This person will work not only with HQ, but with all of the departments and agencies within MTA to provide solutions which will allow MTA to address workforce underutilization.

Mr. Garner added MTAHQ will expand diversity recruitment efforts to include people with disabilities and the LBGTQ community, in addition to outreach to affinity associations.

## **MTAPD**

Chief McGrann reported on behalf of Chief Monaghan. He said increasing diversity in all ranks is MTAPD’s priority, and the command staff has been instructed to encourage all officers particularly women and minorities to take the upcoming promotional exams to sergeant and lieutenant. In addition, he said MTAPD has reached out to outside organizations, such as the Guardians Association and the New York Women in Law Enforcement organization seeking their assistance in outreach to minorities and women for new hires and promotions. He said MTAPD will also attend outreach events.

## **B&T**

Mr. Fulton discussed the strategies employed at B&T. He said he has B&T has two personnel actions with senior staff by appointing Al Rivera as the Executive Vice President and Shawn Moore as the Acting Chief of Staff.

He said B&T recruited its third class of Management Associates (“Mas”) in 2017. He said this program has a total of 17 MAs, of which 41% are women, and 58% are minorities. He also said that 52% were hired as junior engineers. He said B&T also participated in five minority, women, and veteran-owned business outreach events to provide opportunities for design-build engineering and construction contracts.

He said B&T participated also participated in various job fairs to recruit females, minorities and veterans into engineering, maintenance and operation fields. He said additionally B&T hired 41 summer interns, of 33 (80%) are women, and 24 (24%) are minorities.

Mr. Fulton also reported that B&T participated in minority, women and veteran-owned business outreach events to provide opportunities for design-build, engineering, and construction contracts. He said B&T continues to take part in SBDP. He added that B&T has successfully met its MWBE goals. Mr. Fulton said one of B&T’s success stories includes the most recent

completion of improvements to the Battery Park Garage for \$7 million. He said the work was awarded under a competitive solicitation process, and was successfully completed by Masterpiece Contracting, a graduate of SBDP.

For 2018, Mr. Fulton said B&T will launch a succession planning committee to address the underrepresentation of women in critical mid-level positions. He B&T will also launch its fourth class of Mas to address underrepresentation of females in STEM field.

Mr. Fulton that B&T will conduct targeted recruitment to increase the under-representation of females in the second quarter and compile the workplace climate survey data and create strategies to address recruitment, hiring and retention practices of females, minorities, veterans, and persons with disabilities.

## **MTA Bus**

Mr. Vidal said MTA Bus's three-prong approach to diversity includes management awareness, public outreach, and workforce development. He stated that the agency's senior leadership team will continue to work in conjunction with the agency EEO Office, DDCR, and NYC Transit to ensure the equitable representation and advancement of protected groups at all levels of employment.

In addition, he said the MTA Bus 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. He said MTA Bus will continue to work to promote other diversity initiatives throughout MTA Bus Company.

Mr. Vidal also stated that in 2017, MTA Bus hired a Director of EEO Outreach, Training and Diversity and a Director of EEO Compliance. He said MTA Bus increased the number of open house recruitment events held to attract provisional talent. He said 26% of external job recruitment events through June 2017 targeted women, veterans, and people with disabilities.

Mr. Vidal said in 2018 MTA Bus will continue to identify areas of underrepresentation, and implement strategic recruitment initiatives.

## **CC**

Mr. Lieber said CC is a growing construction management organization dedicated to building public use projects. He said as CC evolves, the leadership team will reflect how we can further integrate diversity into our operations in order to be more inclusive.

He reported CC's key 2017 accomplishments in 2017: 58% of new hires are minorities; forged a relationship with the Army Corps of Engineers to brainstorm on recruitment and retention strategies.

Mr. Lieber said CC's 2018 key diversity initiatives are as follows: actively recruit minority STEM students for internships with a view to retain them in entry-level professional positions; and continued partnership with MTA agencies to share costs, resources and best practices for strengthening recruitment strategies.

In addition, he said CC is developing a program where managerial staff will mentor students from underserved populations, with an emphasis on females and minorities. Finally, he said CC

will be developing staff training to focus on diversity (age, work and personal experiences) and unconscious bias to further inclusion.

## **LIRR**

Mr. Nowakowski said LIRR makes every effort to attract, develop and retain a workforce profile that reflects the diversity of the region. He also said LIRR operates its services without regard to race, color, or national origin, in accordance with Title VI of the Civil Rights Act of 1964.

He reported on LIRR's 2017 key accomplishments: hired 323 employees, of which 62 (19%) are women, 44% are minorities, and 6% were veterans; hired 88 summer interns and seasonal staff, of which 44% are women and 49% minorities; recruited and hired two junior engineers, of whom one is a woman, two are minorities; and hired seven project manager trainees, of whom two are women, and five are minorities.

Mr. Nowakowski added that in 2018, LIRR will attend college career events and job fairs. He LIRR will also attend job fairs for veterans, and collaborate with MTAHQ on veteran outreach. He also said that in 2018 LIRR will establish goals for hiring individuals with disabilities.

## **MNR**

Ms. Rinaldi discussed MNR's 2017 key accomplishments and best practices: establishment of Women's Book Club, which attracts a cross-section of MNR employees and has provided an opportunity for women to network and share their stories in terms of advancing within the company; redesigning and refurnishing lactation room for employees.

Ms. Rinaldi said MNR hired 57 summer interns, of whom 40% are women. She said MNR and COMTO hosted the MTA Chief Panel Discussion that included the MTA's interim executive director agency presidents. Ms. Rinaldi said MNR recruited and hired 16 engineers for the 2017 Associate Engineer Program, of whom 50% are minority. She said in 2017 MNR also hired 299 employees, including 18 Veterans. She said 17% of new hires are women, and 6% of the female hires are veterans.

For the 2018 key initiatives, Ms. Rinaldi said MNR will continue its Healthy4U Program and Women's Book Club to focus on strengthening communication and engagement with female employees. She said MNR will increase its Talent Acquisition team by three recruiters to intensify our diversity recruitment efforts of females and minorities, particularly in the skilled crafts area. Ms. Rinaldi said MNR will also hold a skilled craft job fair to target women and minority applicants. She said MNR will establish its first hiring goals for individuals with disabilities by June 2018.

## **NYC Transit**

Mr. Irick provided strategies to address underutilization. He said NYC Transit hosted two open-house events for skilled craft jobs. He said NYC Transit hired 48 veterans in 2017. He said 26% of outreach events targeted women, veterans and people with disabilities. Mr. Irick also reported that NYC Transit recently established a relationship with premier research group, for additional resources and expertise based on other prominent organizations' success.

Metzger said she appreciated the current focus on workforce. She said MTA has become a national leader in minority subcontracting by using innovative programs that target minority



businesses. She said she is happy to see that the agency presidents are working together to develop innovative programs that will address MTA-wide underutilization.

### **SBDP Update**

Mr. Garner presented a video clip about SBDP from the Manhattan cable channel, New York 1. Mr. Garner stated that MTA's model has become a national model with the right-size projects, training, access to capital and access to bonding. He thanked the MTA Board and agency presidents for their leadership in this regard. Mr. Garner said he is working with the operating agencies to form a working committee in order to ensure MTA's goals are met. He said MTA intends to award \$145 million in contracts during this year, and each year in 2018 and 2019.

Mr. Garner stated that access to government contract equals job creation in the MWDBE community, which is a pathway to homeownership, better educational opportunities, and better health care options.

With respect to access to capital, Mr. Garner said next week SBDP will award its 100<sup>th</sup> loan. He added that the MTA has become the national leader in providing access to capital for emerging small businesses. He said in the last seven years, there have been only two defaults, which is less than 1%.

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

Mr. Din reported that 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%). He said the overall DBE goal for 2017 is 17%. He reported that a total of \$949 million was paid to prime contractors in federally-funded contracts, with DBE participation of \$183 million (19%). Mr. Din stated that MTA is proposing to increase its overall DBE goal for next three FFYs from 17% to 18%. The overall DBE goal is set based on availability of DBEs and the types of projects which are expected to be awarded.

Mr. Din said that the overall MWBE goal is 30%. He said for New York State fiscal year 2016-2017, \$811 million was awarded in state-funded contracts, with MWBE participation of approximately \$127 million (16%). He reported that a total of \$583 million was paid to prime contractors with MWBE participation of approximately \$137 million (23%).

Mr. Din said for discretionary procurements, out of a total of approximately \$147 million, with a value of \$400,000 or less, approximately \$26 million (17%) was awarded to MWBEs, and an additional \$4 million (3%) was awarded to Small Business Concerns.

Mr. Din said for architectural and engineering awards through the discretionary procurement process, since inception 14 projects have been awarded, totaling \$1.5 million. He said for IT discretionary spending, a total of 113 awards were made, with total value of \$18 million. He said since inception \$50 million has been awarded.

Mr. Din reported that MWBE law firms received \$683,000 (9%) out of a total of \$8 million paid in outside counsel fees. Mr. Din also stated that DDCR has made great progress regarding site visits. Mr. Din reported that 457 site visits were conducted from January to August 2017. He said on average each manager is required to conduct at least eight site visits per month. Mr. Din said as of August 2017, DDCR closed 1,142 contracts, with an additional 17 contracts that were in the process of being closed, and 75 contracts were pending agency action.

MTA Diversity Committee Meeting Minutes, Wednesday, September 27 2017

Mr. Garner stated that we are averaging less than 10% with regards to legal feels. He said he met with the MTA general counsels, and agreed to hold two major outreach events for the MWDBE firms who are currently on MTA's outside counsel panel. In addition, Mr. Garner stated that DDCR was not aware that legal deeds being issued by MTA Risk Management were not being counted in legal fee statistics.

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

Mr. Din reported that as of June 2017, approximately \$903 million was awarded in federally-funded capital projects, with \$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. He said total MWBE participation is 23%, and there is no additional SDVOB participation.

### **Financial Services**

Mr. Isom stated for the underwriter fees, for the first quarter of New York State fiscal year 2017-2018, \$2.45 million was awarded in underwriter fees. He said MBE participation was \$1.3 million (53%), and WBE participation was approximately \$339,000 (14%). He reported that an additional \$151,000 (6%) was paid to SDVOBs.

Mr. Isom said a total of 67% was awarded to MWBEs for the reporting period. He said MTA's high participation rate was due to a large transaction that was handled by an MBE. He said in the future MWBE participation might be around 35%.

Mr. Isom confirmed that MTA's 35% MWBE participation is the highest in the state. Mr. Garner added that financial services is the only area MTA-wide to achieve 6% SDVOB participation. He thanked Mr. Isom, Patrick McCoy, MTA Director of Finance and Robert Foran, MTA Chief Financial Officer for high MWBE and SDVOB participation in this area.

### **Asset Fund Managers**

Mr. Crawford reported that the MWBE investment in alternative investments closed in 2nd quarter. He said private equity fund received a \$25 million commitment from both plans. In addition, in response to Mr. Garner, he said MTA crossed \$1billion threshold in assets managed by MWBE, which represents 15% of our total assets.

Mr. Crawford stated that MTA continues to actively source new relationships and investment managers. He said MTA engaged with investment consultants, industry groups, custodians, and brokers and active schedule with meetings with 43 MWBE investment managers.

He said the key opportunities in 2017 will be in event-driven, long/short equities, global macro, emerging markets, and private equity.

### **Diversity Committee Charter**

Mr. Din stated that the Diversity Committee Charter is included in the book, and there are no changes recommended at this time.

### **Adjournment**

Chairman Molloy concluded the meeting, and the meeting was adjourned.

Respectfully submitted,

Faith Beauzile, Administrative Assistant

Department of Diversity and Civil Rights

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## 2017 Diversity Committee Work Plan

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

## 2018 Diversity Committee Work Plan

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### **I. RECURRING AGENDA ITEMS**

#### Responsibility

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

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

#### Responsibility

#### February 2018

Recommitment to EEO Policy	Dept. of Diversity/Civil Rights
2018 Departmental Goals	
2017 Year-End Report	
Recruitment Strategies for MTAHQ and MTA Agencies	Dept. of Diversity/Civil Rights, MTAHQ and Agency Staff

#### May 2018

1st Quarter 2018 Report	Dept. of Diversity/Civil Rights
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#### September 2018

2nd Quarter 2018 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

#### December 2018

3 <sup>rd</sup> Quarter 2018 Report	Dept. of Diversity/Civil Rights
Status Report on MTA Inter-Agency M/W/DBE Task Force	
2019 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 2018**

#### Recommitment to EEO Policy

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#### Overview of 2018 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 2018.

## 2017 Year-End Report

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## 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 2018**

### 1<sup>st</sup> Quarter 2018 Report

The Department of Diversity and Civil Rights will present 1<sup>st</sup> quarter 2018 update on MTA Agency-wide EEO and M/W/DBE contract compliance activities.

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## **September 2018**

### 2<sup>nd</sup> Quarter 2018 Report

The Department of Diversity and Civil Rights will present 2<sup>nd</sup> quarter 2018 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

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## **December 2018**

### 3<sup>rd</sup> Quarter 2018 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.

### 2019 Diversity Committee Work Plan

The Department of Diversity and Civil Rights will present an updated Diversity Committee Work Plan for 2019.

# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## Executive Summary

December 13, 2017



# Executive Summary

## ■ Business and Diversity Initiatives (full report on page 32)

- 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 35)

- A total of 32 applications for DBE certification were received. The number of new applications is higher than last year’s but remained the same as the previous year’s numbers for the same period.
- A total of 25 applications for DBE certification were processed. The number of applications processed is lower than the number processed during the same period in the last two years.



# Executive Summary

## ■ EEO(full report on page 37)

- MTA's overall workforce is currently comprised of **73,640** employees; of which **13,259 (18%)** are Females,\* **50,245 (68%)** are Minorities and **1,851 (3%)** are Veterans.\*\*
- The percentage of Females in the workforce has **increased** by **6% (767)** as compared to the third quarter 2016. As it relates to Race/Ethnicity, the percentage of minorities has **increased** by **2,368 (5% )** compared to the third quarter 2016.
- MTA hired **5,812** employees; of which **1,491 (26%)** are Females,\* **4,442 (76%)** are Minorities and **160 (3%)** were Veterans.\*\*
- MTA and its Agencies handled a total of **511** EEO complaints; of which **293** were internal and **218** were external complaints.
- MTA and its Agencies handled a total of **339** 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 **September 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	1,441	327	23%	648	45%	793	55%	371	26%	259	18%	100	7%	5	0%	1	0%	57	4%	86	6%
BUS	4,136	531	13%	962	23%	3,174	77%	1,850	45%	806	19%	336	8%	8	0%	14	0%	160	4%	39	1%
CCC	134	45	34%	58	43%	76	57%	20	15%	14	10%	39	29%	1	1%	0	0%	2	1%	2	1%
HQ	2,750	924	34%	1,224	45%	1,526	55%	620	23%	349	13%	428	16%	7	0%	2	0%	120	4%	59	2%
LIRR	7,367	1,115	15%	4,730	64%	2,637	36%	1,266	17%	829	11%	297	4%	23	0%	4	0%	218	3%	506	7%
MNR	6,696	872	13%	4,154	62%	2,542	38%	1,374	21%	710	11%	208	3%	25	0%	1	0%	224	3%	570	9%
NYCT	51,116	9,445	18%	11,619	23%	39,497	77%	23,880	47%	8,371	16%	5,955	12%	96	0%	21	0%	1,174	2%	589	1%
Total	73,640	13,259	18%	23,395	32%	50,245	68%	29,381	40%	11,338	15%	7,363	10%	165	0%	43	0%	1,955	3%	1,851	3%

\*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

## ❑ Small Business Development Program Update

(full report on page 56 )

- ❑ 284 firms currently prequalified in the SBDP
  - ❑ 42 Emerging Contractors
  - ❑ 173 Tier 1 Contractors
  - ❑ 69 Tier 2/Federal Program Contractors
- ❑ \$270.4M - Total Program Prime Contract Awards
- ❑ 100 project loans for \$13.9M from program inception
- ❑ 86 projects completed with loans since inception
- ❑ \$242M single and \$460M aggregate bonding for Tier 2 and Federal Program contractors – 73 contract awards in Tier 2 and FP since program inception
- ❑ 6,489 jobs created with small business and the MWDBE / SDVOB community





# Executive Summary

- **MTA Inter-Agency M/W/DBE Task Force**
  - DDCR will conduct quarterly meetings of the MTA Inter-agency M/W/DBE Task Force during 2018.



# Executive Summary

## ■ MWDBE Contract Compliance (full report on page 81)

- For the Federal Fiscal Year 2017, MTA and its agencies awarded approximately \$1.5 billion in federally-funded portion of contracts, with DBE participation of \$244 million (16%). The overall DBE goal was 17%. A total of \$1.4 billion was paid to prime contractors in federally-funded contracts, with DBE participation of \$285 million (21%).
- The overall MWBE goal is 30%. For New York State fiscal year 2017-2018, \$1.3 billion was awarded in state-funded contracts, with MWBE participation of approximately \$200 million (15 %). A total of \$1.2 billion was paid to prime contractors with MWBE participation of \$285 million (25%).
- The overall SDVOB goal is 6%. For New York State fiscal year 2017-2018, \$1.1 million was awarded to SDVOBs. A total of \$1.1 billion was paid to prime contractors with SDVOB participation of \$949,134 (0.1%).
- For discretionary procurements, out of a total of approximately \$202 million, with a value of \$400,000 or less, \$43 million (21%) was awarded to MWBEs, and \$7 million (4%) was awarded to Small Business Concerns.



# Executive Summary

- For Architectural and Engineering awards through discretionary procurement, from January to September 2017, 5 projects have been awarded, totaling \$588,413. Since inception \$1.6 million has been awarded.
- For IT discretionary, a total of 187 awards were made, with the value of \$31 million. Since inception \$51.4 million has been awarded.
- For the reporting period, MWBE law firms received \$1.3 million (6.6%) out of a total of \$19.5 million paid in outside counsel fees.
- As of October 31, 2017, DDCR has closed 1,170 contracts, with an additional 19 contracts in the process of being closed, and 48 contracts are pending agency action. DDCR conducted 552 site visits from January to October 2017. On average each manager is required to conduct at least eight site visits per month.



# Executive Summary

- **MWDBE Capital Projects** (full report on page 116)
  - As of the third quarter of calendar year 2017, approximately **\$996 million** was awarded in federally-funded capital projects, including **\$158 million (16%)** awarded to DBEs. **\$547 million** was awarded in state-funded capital projects, including **\$75 million (14%)** awarded to MBEs, and **\$59 million (11%)** awarded to WBEs. The total MWBE participation is **25%**. There was no additional SDVOB participation.



# Executive Summary

- **Financial Services** (full report on page 118)
  - For underwriter fees, for the first two quarters of New York State fiscal year 2017-2018, **\$3.9 million** was awarded in underwriter fees. MBE participation was **\$1.5 million (39%)**, and WBE participation was **\$537,292 (14%)**. An additional **\$237,000 (6%)** was paid to SDVOBs.



# Executive Summary

- **Asset Fund Managers – MWBE Participation Combined Plans** (full report on page 120)
  - Total assets managed by MWBEs are **\$1.08 billion;** or **15 %** of total assets
  - Total assets managed by MWBEs grew by over **\$56 million** in 3Q17, or **5.4 %**
  - The majority of assets are in traditional asset classes
  - Traditional assets managed by MWBEs: **\$1.0 billion;** 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
  - Robust pipeline of potential investments in hedge fund and private credit
- Continue to actively source new relationships and investment managers
  - Engaged with investment consultants, industry groups, custodians, and brokers
  - Key opportunities in 2017 will be in Event Driven, Long/Short Equities, Global Macro, Emerging Markets, Private Equity



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## Business & Diversity Initiatives

December 13, 2017





# Business and Diversity Initiatives

## October 2017

New York State MWBE Forum

National Minority Business Council's 45<sup>th</sup> Anniversary Celebration

MTA and COMTO Present "DBE Opportunity Day"

Department of Design and Construction's Annual Conference on Contract Opportunities

## November 2017

La Guardia Business Services 5<sup>th</sup> Annual Small Business & Government Matchmaker Event

DDCR presents New Firm Orientation Session

DBE Certification Session

NYNJ Purchasing Council Awards Gala

Hispanics in Real Estate Construction Networking Event

VETCON 2017 (Veterans in Economic Transition Conference)

NYS Association of Minority Contractors (NYSAMC) Awards Gala



# Business and Diversity Initiatives

## December 2017

Department of Diversity and Civil Rights presents "Meet and Greet" Networking Forum for Legal Opportunities

NYC Hispanic Chamber of Commerce presents "12th Annual Hispanic Business Awards Banquet & Scholarship Ceremony"



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## DBE Certification Activity Report

December 13, 2017



# MTA DBE Certification Unit

## DBE CERTIFICATION APPLICATIONS RECEIVED THIRD QUARTER 2015-2017

	2017	2016	2015
JULY	11	9	10
AUGUST	14	10	9
SEPTEMBER	7	4	13
TOTAL	32	23	32

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

	2017	2016	2015
CERTIFIED	13	17	15
DENIED	0	0	0
RETURNED	5	10	15
WITHDRAWN	7	2	5
TOTAL ACTIVITY	25	29	35



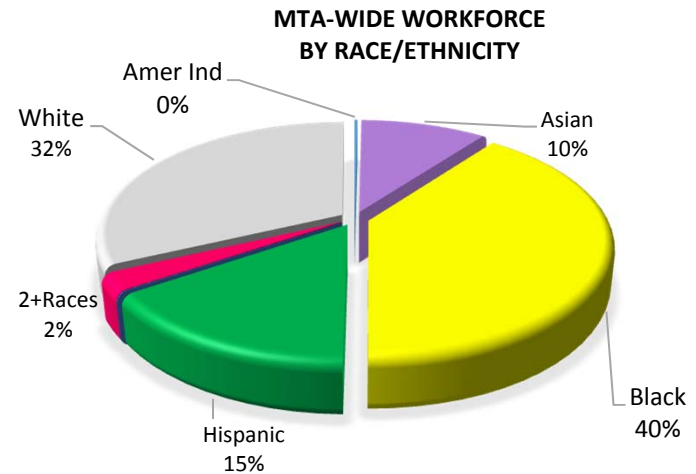
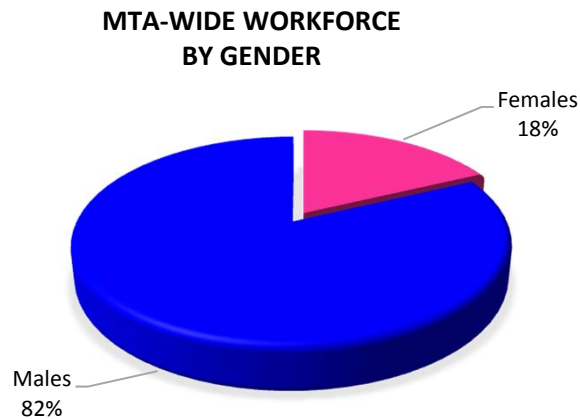
# Metropolitan Transportation Authority Department of Diversity and Civil Rights

MTA-Wide Workforce  
As of September 30, 2017

December 13, 2017



# MTA-Wide Workforce as of September 30, 2017



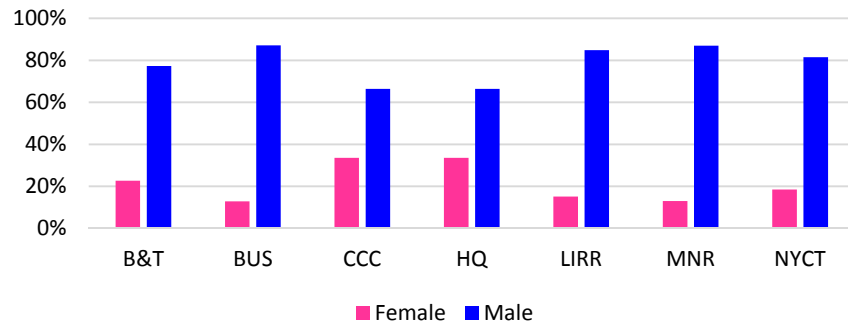
MTA Authority-wide consist of **73,640** employees.

- ❑ **18% Females, 68% Minorities and 3% Veterans.**
- ❑ The percentage of Females employed Authority-Wide has remained constant since the prior quarter.
- ❑ The overall composition of MTA's workforce did not change as it relates to race and ethnicity since the prior quarter.

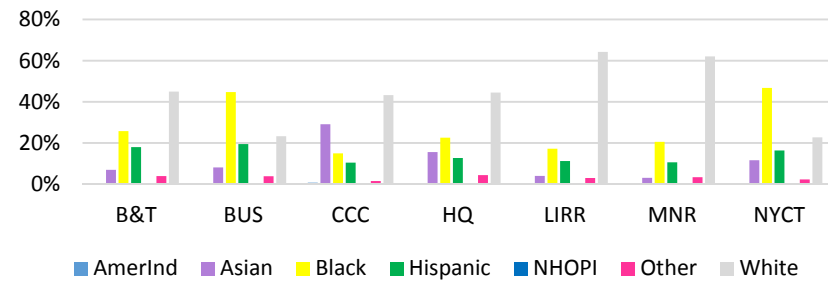


# MTA-Wide Workforce by Gender and Race/Ethnicity as of September 30, 2017

**MTA Agencies  
by Gender**



**MTA Agencies  
By Race/Ethnicity**



Agency	Employees	Females	Minorities
B&T	1,441	23%	55%
BUS	4,136	13%	77%
CCC	134	34%	57%
HQ	2,750	34%	55%
LIRR	7,367	15%	36%
MNR	6,696	13%	38%
NYCT	51,116	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 **September 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**		NHOP***		2+ Races	
	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %
<b>Officials &amp; Administrators</b>														
B&T	25%	29%	8%	21%	6%	8%	6%	13%	0%	0%	0%	0%	1%	5%
BUS	16%	15%	29%	32%	13%	14%	5%	9%	0%	0%	0%	0%	2%	4%
CCC	23%	28%	10%	14%	4%	5%	21%	29%	1%	1%	0%	0%	1%	2%
HQ	29%	38%	7%	22%	6%	8%	7%	15%	0%	0%	0%	0%	1%	3%
LIRR	21%	19%	13%	12%	8%	10%	4%	6%	0%	1%	0%	0%	2%	4%
MNR	23%	24%	10%	14%	6%	8%	6%	8%	0%	0%	0%	0%	2%	4%
NYCT	14%	23%	32%	30%	12%	11%	9%	14%	0%	0%	0%	0%	4%	4%
<b>Professionals</b>														
B&T	39%	44%	14%	20%	10%	18%	12%	14%	0%	0%	0%	1%	2%	8%
BUS	27%	49%	14%	25%	9%	16%	11%	25%	0%	0%	0%	0%	3%	7%
CCC	39%	63%	16%	31%	10%	19%	17%	31%	0%	0%	0%	0%	0%	0%
HQ	39%	39%	11%	26%	9%	13%	10%	23%	0%	0%	0%	0%	1%	6%
LIRR	21%	17%	16%	14%	10%	10%	5%	13%	0%	0%	0%	0%	2%	4%
MNR	39%	38%	13%	20%	9%	11%	10%	15%	0%	0%	0%	0%	1%	3%
NYCT	27%	38%	19%	32%	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



# 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 **September 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 %	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%	17%	11%	27%	4%	5%	0%	0%	0%	0%	2%	2%
BUS	37%	63%	10%	6%	12%	12%	9%	6%	0%	0%	0%	0%	3%	6%
CCC	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
HQ	7%	5%	18%	20%	6%	7%	4%	4%	0%	1%	1%	1%	2%	2%
LIRR	13%	14%	13%	5%	11%	14%	9%	19%	0%	5%	0%	0%	0%	0%
MNR	12%	10%	16%	22%	10%	11%	6%	6%	0%	0%	0%	0%	2%	4%
NYCT	18%	33%	16%	44%	9%	11%	16%	17%	0%	0%	0%	0%	1%	2%
<b>Protective Services</b>														
B&T	26%	21%	19%	33%	13%	24%	4%	4%	0%	0%	0%	0%	1%	3%
BUS	47%	29%	18%	43%	29%	29%	0%	0%	0%	0%	0%	0%	2%	14%
CCC	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
HQ	16%	13%	14%	14%	17%	19%	3%	3%	0%	0%	0%	0%	0%	2%
LIRR	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
MNR	1%	8%	3%	0%	3%	8%	1%	0%	0%	0%	0%	0%	13%	17%
NYCT	16%	21%	22%	48%	12%	20%	2%	6%	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



# 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 **September 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 %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	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	62%	71%	16%	24%	11%	12%	5%	6%	0%	0%	0%	0%	0%	0%
NYCT	50%	57%	23%	49%	9%	25%	9%	9%	0%	0%	0%	0%	15%	4%
<b>Administrative Support</b>														
B&T	63%	72%	16%	65%	8%	15%	6%	9%	0%	0%	0%	0%	0%	0%
BUS	31%	40%	22%	34%	12%	14%	7%	9%	0%	0%	0%	0%	6%	10%
CCC	25%	44%	7%	6%	6%	38%	11%	31%	0%	0%	0%	0%	1%	0%
HQ	69%	75%	14%	45%	14%	18%	5%	7%	0%	0%	0%	0%	1%	6%
LIRR	40%	51%	20%	30%	11%	13%	4%	4%	0%	1%	0%	0%	2%	3%
MNR	45%	43%	20%	35%	14%	14%	5%	3%	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 **September 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**		NHOP***		2+ Races	
	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	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%	0%	24%	33%	20%	15%	7%	13%	0%	0%	1%	1%	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%	18%	10%	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%	21%	9%	15%	5%	3%	0%	1%	0%	0%	1%	4%
BUS	15%	13%	40%	51%	21%	22%	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

## 3<sup>rd</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	0%	0	0		Yes	0%	0	0		Yes
Captains	5%	0	1		Yes	5%	0	1		Yes	0%	0	0		Yes
Lieutenants	6%	2	2		Yes	3%	1	1		Yes	12%	3	4		Yes
Sergeants/Detective Sgts.	3%	2	3		Yes	4%	4	5		Yes	6%	5	7		Yes
Detectives	13%	5	6		Yes	11%	4	5		Yes	18%	7	8		Yes
Police Officers	16%	85	71		No	14%	72	76		Yes	17%	91	102		Yes

JOB TITLE	ASIANS					AI/AN <sup>2</sup>						NHOPI	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	0		Yes	0%	0	0	0		Yes
Captains	5%	0	1		Yes	0%	0	0	0		Yes	0%	0	0	0		Yes
Lieutenants	0%	0	0		Yes	0%	0	0	0		Yes	0%	0	0	0		Yes
Sergeants/Detective Sgts.	3%	3	4		Yes	0%	0	0	0		Yes	1%	1	1	1		Yes
Detectives	2%	1	1		Yes	0%	0	0	0		Yes	0%	0	0	0		Yes
Police Officers	3%	16	19		Yes	0%	0	1	1		Yes	0%	0	0	0		Yes

JOB TITLE	2+ Races				
	Est Avail	Estimated #	Actual	#	Met Avail (Yes/No)
Inspector	0%	0	0		Yes
Captains	6%	1	1		Yes
Lieutenants	6%	2	2		Yes
Sergeants/Detective Sgts.	1%	1	1		Yes
Detectives	0%	0	0		Yes
Police Officers	0%	2	11		Yes

<sup>1</sup> Females are also included in the percentages totals for each of the minority groups.

<sup>2</sup> American Indian/Alaskan Native

<sup>3</sup> Native Hawaiian Other Pacific Islander



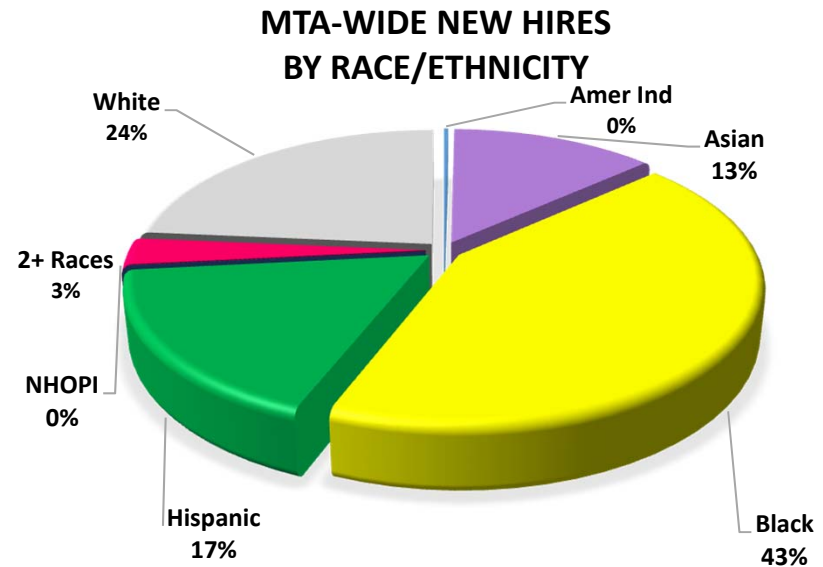
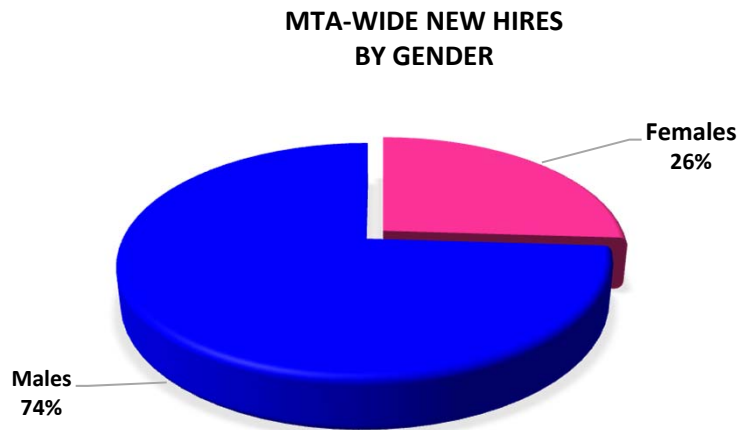
# Metropolitan Transportation Authority Department of Diversity and Civil Rights

MTA-Wide Hires and Veterans  
Third Quarter 2017

December 13, 2017



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



MTA and its Agencies hired **5,812** Employees including **169** Veterans

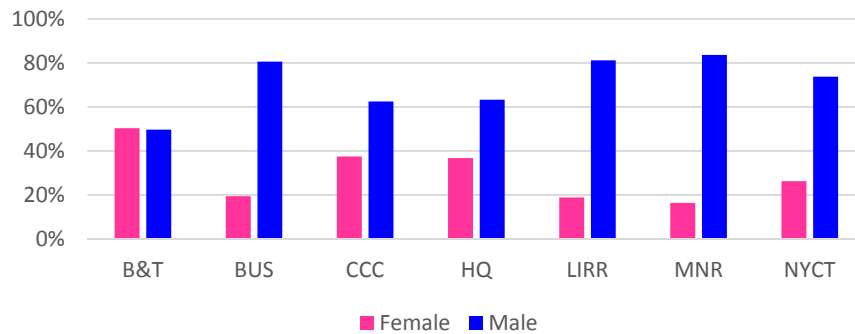
- ❑ **26%** Females in which **1%** were Female Veterans.
- ❑ **76%** Minorities in which **3%** were Minority Veterans.
- ❑ Overall, approximately **3%** of hires were Veterans.



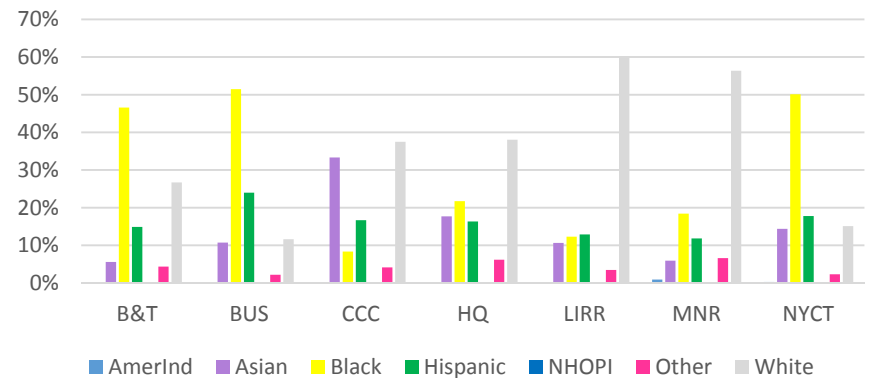


# New Hires and Veterans By Agency January 1, 2017 to September 30, 2017

MTA Agencies  
by Gender



MTA Agencies  
By Race/Ethnicity



This chart shows a breakdown by Agency of the **5,812** employees including **169** Veterans hired.

Agency	Employees	Females	Minorities
B&T	161	50%	73%
BUS	550	19%	88%
CCC	24	38%	63%
HQ	373	37%	62%
LIRR	488	19%	40%
MNR	440	16%	44%
NYCT	3,776	26%	85%



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

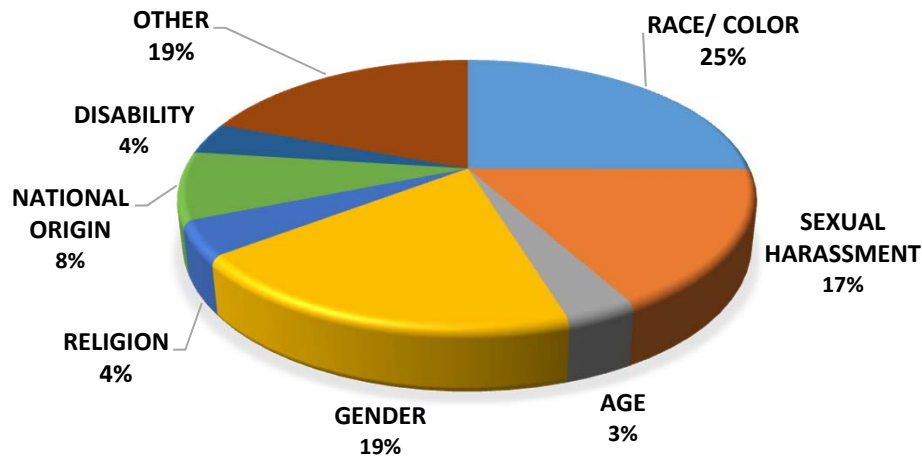
## MTA-Wide Complaints and Lawsuits

December 13, 2017

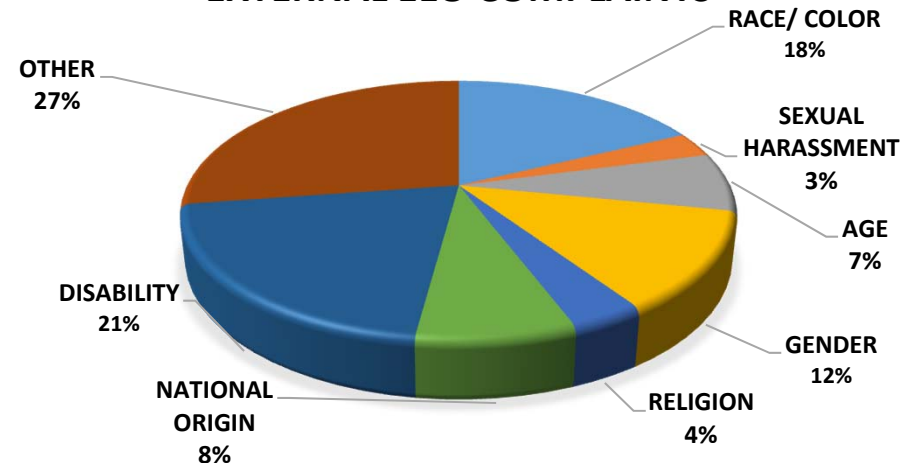


# MTA-Wide and its Agency's EEO Internal/External Discrimination Complaint Dispositions January 1, 2017 to September 30, 2017

## INTERNAL EEO COMPLAINTS



## EXTERNAL EEO COMPLAINTS

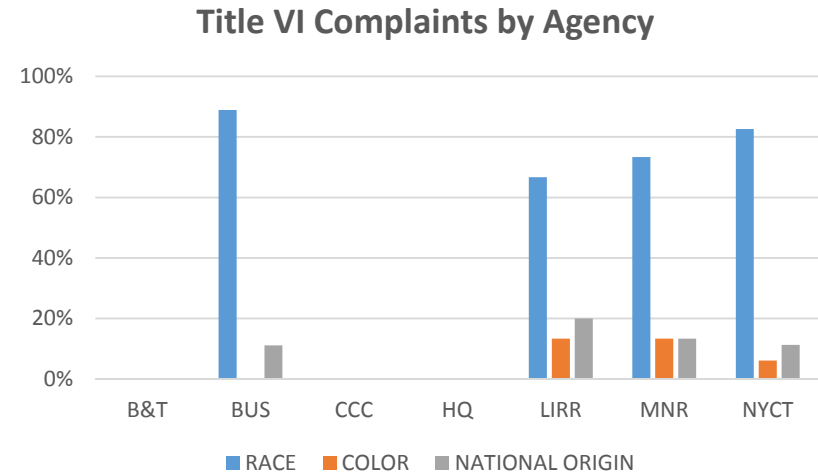
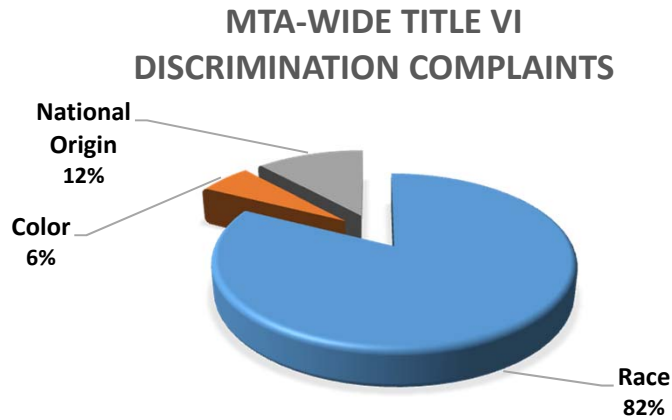


MTA and its Agencies handled **511** EEO complaints, citing **830** separate allegations, and **82** Lawsuits.

- ❑ **293** filed Internal complaints.
- ❑ **218** 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 September 30, 2017

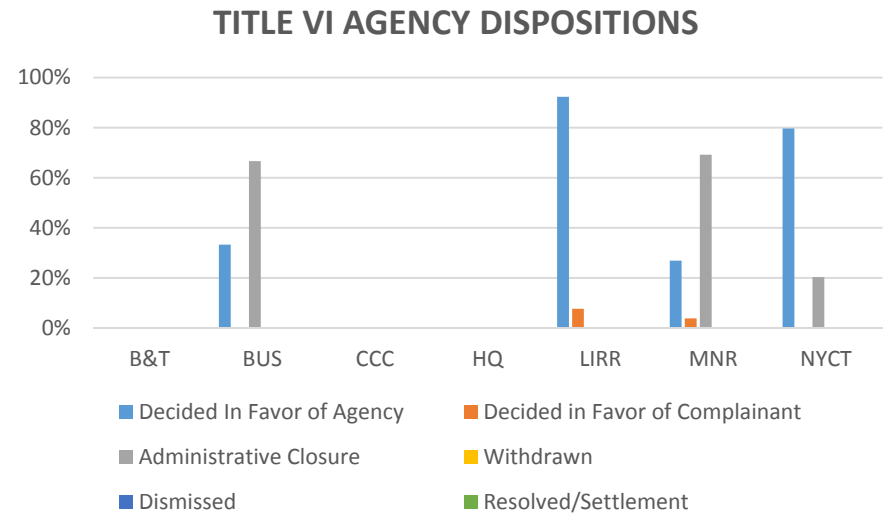
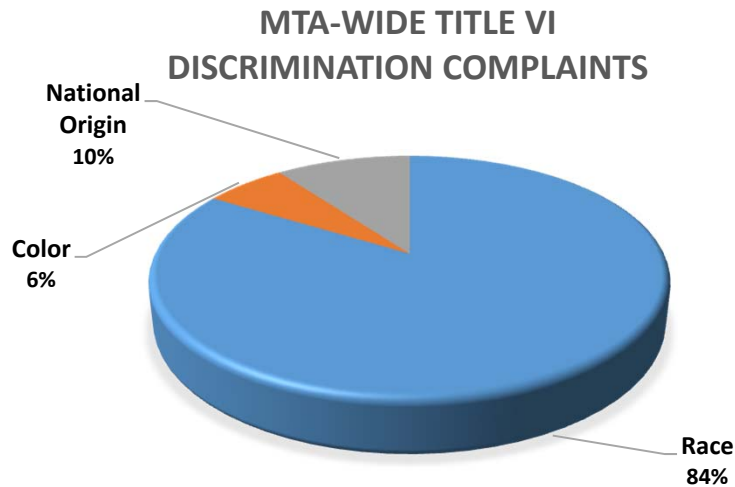


MTA and its Agencies handled a total of Title VI complaints with **339** allegations and **0** Title VI lawsuits.

Agency	Complaints	Allegations	Race	Color	National Origin
BUS	64	72	89%	0%	11%
LIRR	10	15	67%	13%	20%
MNR	22	30	73%	13%	13%
NYCT	190	230	83%	6%	11%



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

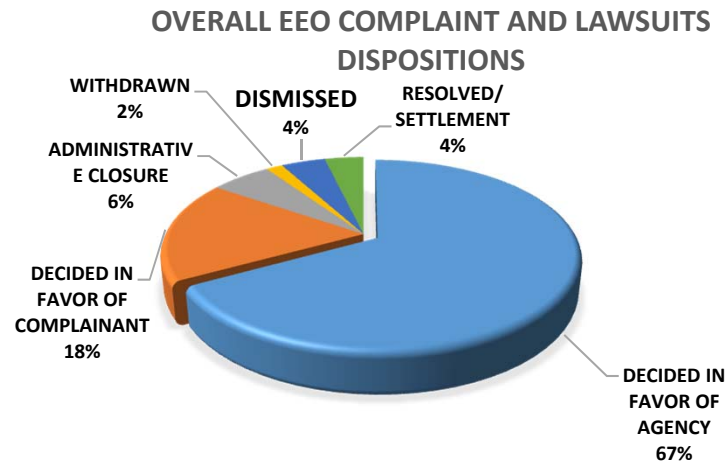


MTA and its Agencies disposed **109** Title VI Complaints and **0** Title VI lawsuits

- ❑ 66% complaints decided in Favor of the Agency.
- ❑ 2% complaints decided in Favor of the Complainant.
- ❑ 32% complaints were Administrative Closures.



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



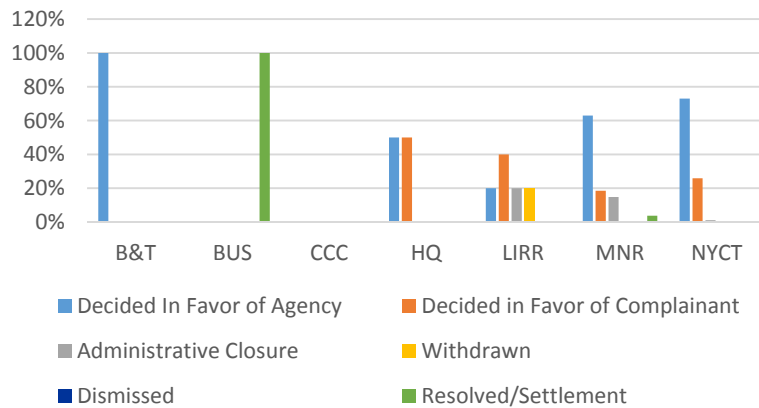
MTA and its Agencies disposed **184** EEO complaints and **4** EEO Lawsuits.

- ❑ **67%** complaints/lawsuits decided in Favor of the Agency.
- ❑ **18%** complaints /lawsuits decided in Favor of the Complainant.
- ❑ **6%** complaints/lawsuits were Administrative Closures.
- ❑ **2%** complaints/lawsuits were Withdrawn.
- ❑ **4%** complaints/lawsuits were Dismissed.
- ❑ **4%** complaints/lawsuits were Resolved/Settlement.

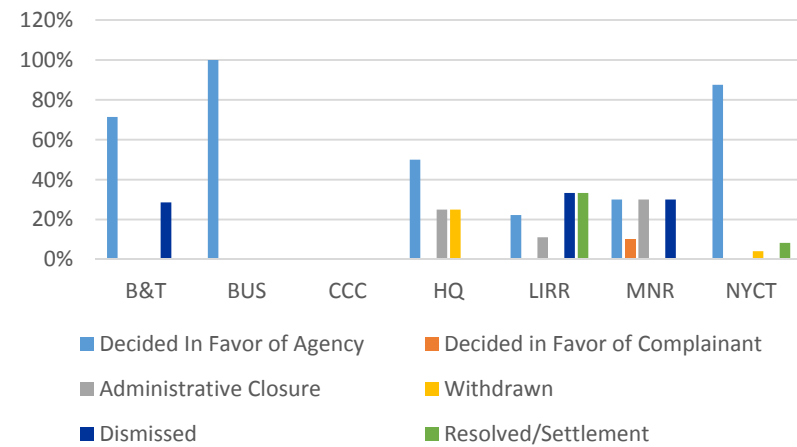


# MTA-Wide Internal/External EEO Complaints and Lawsuits Dispositions January 1, 2017 to September 30, 2017

EEO Internal Complaint Dispositions



EEO External Complaint and Lawsuits Dispositions



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

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

December 13, 2017





# Small Business Development Program

## Mission Statement

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

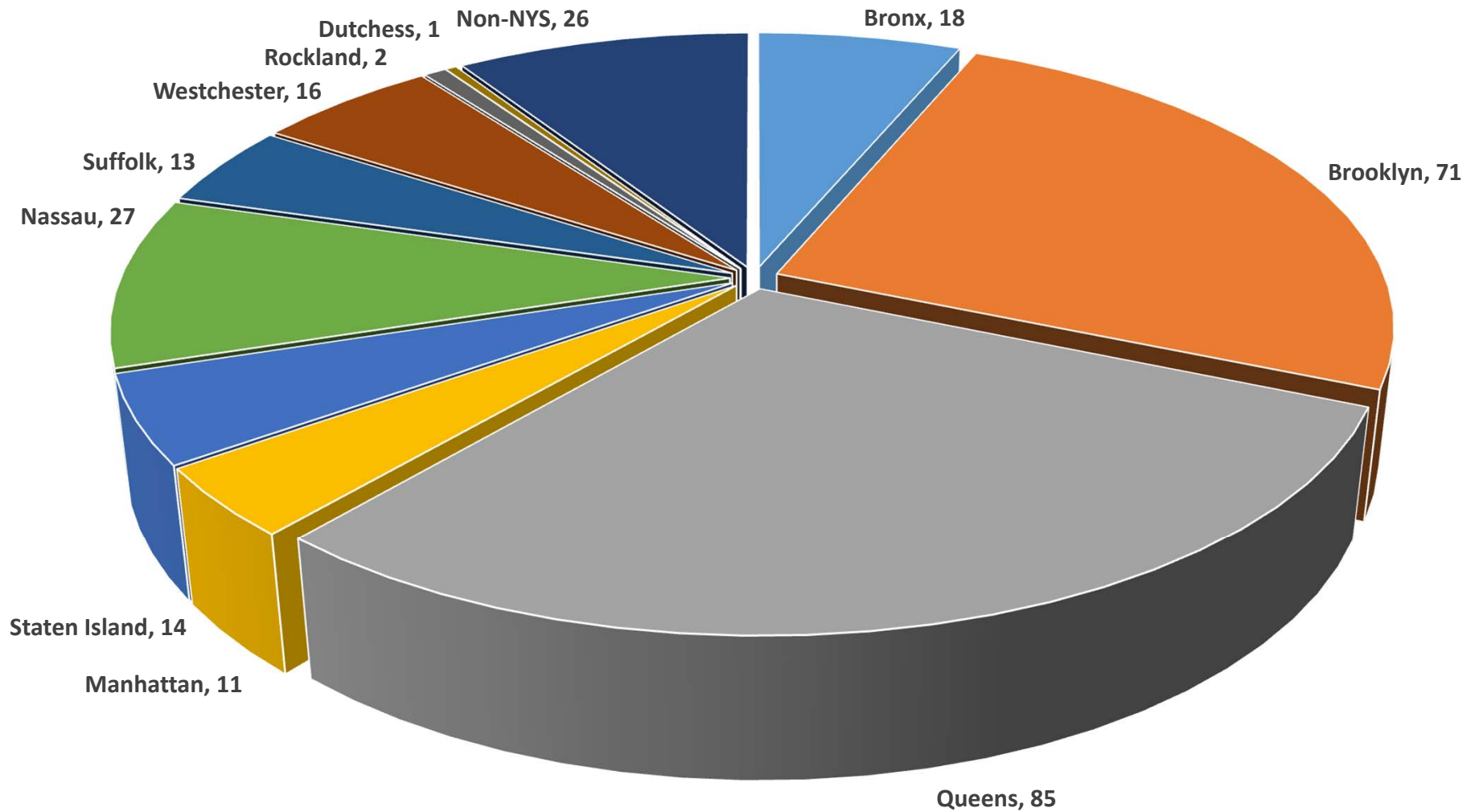


# SBDP Program Year 8 Goals

- \$146M – Program Year 8 Contracting Commitment
- \$109M – Identified Projects for Program Year 8
- \$13.4M awarded for current program year
- \$22M in bidding and pre-award phases
- Agency goals are based on MTA Capital Plan
  - NYCT/DOB \$71.0M
  - LIRR \$22.8M
  - MNR \$22.3M
  - B&T \$10.0M
  - MTACC \$19.7M



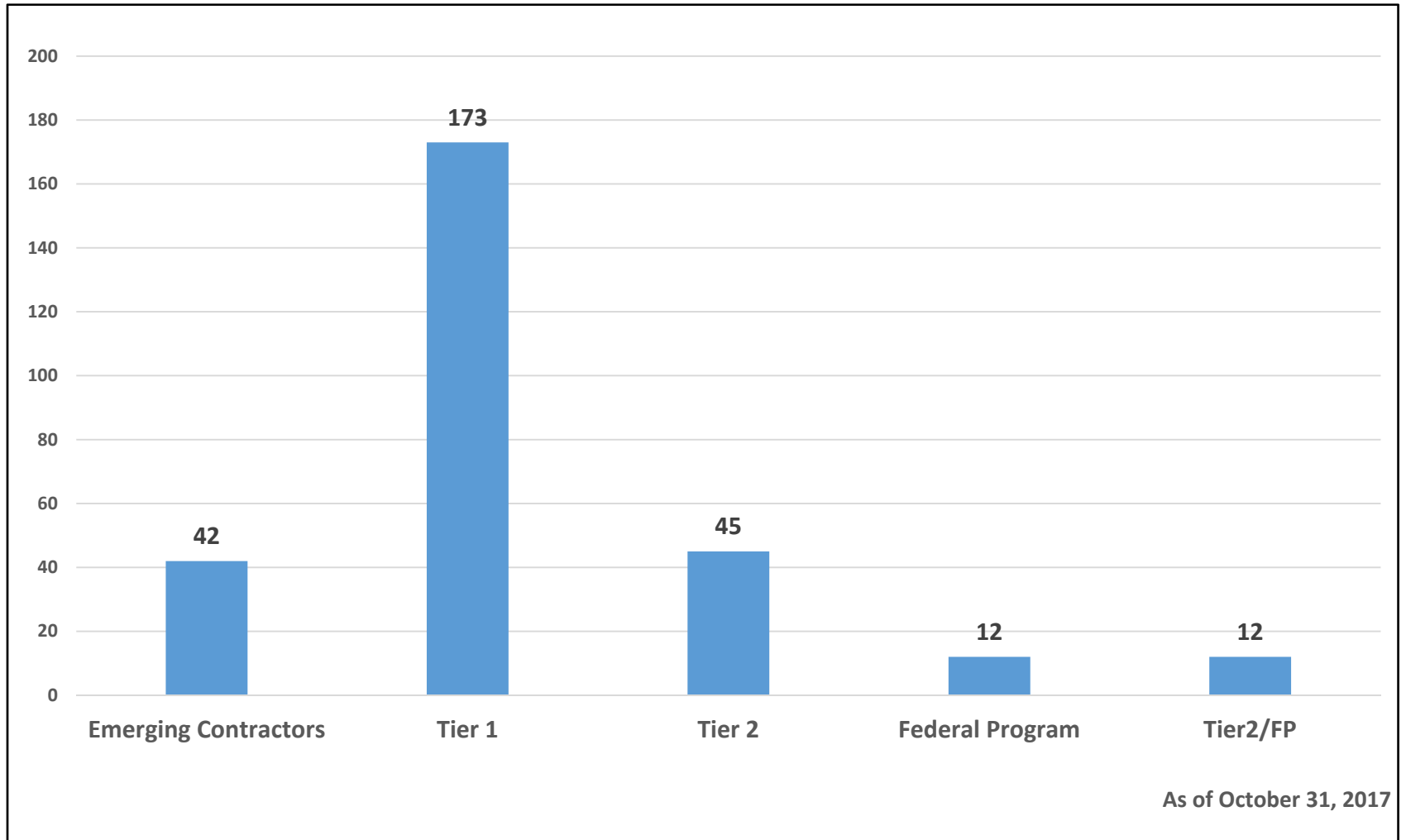
# SBDP Represents NY Metro Region



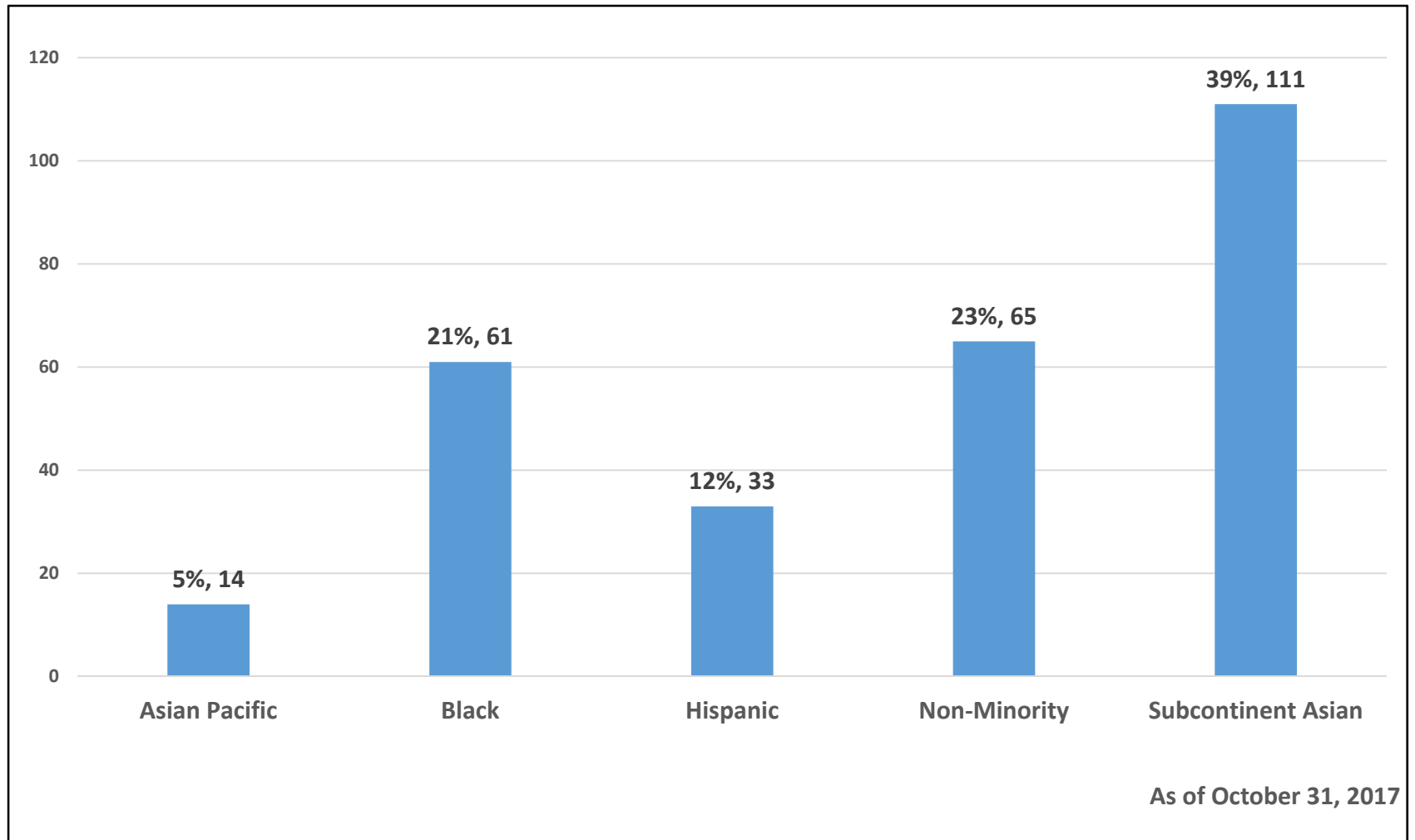
As of October 31, 2017



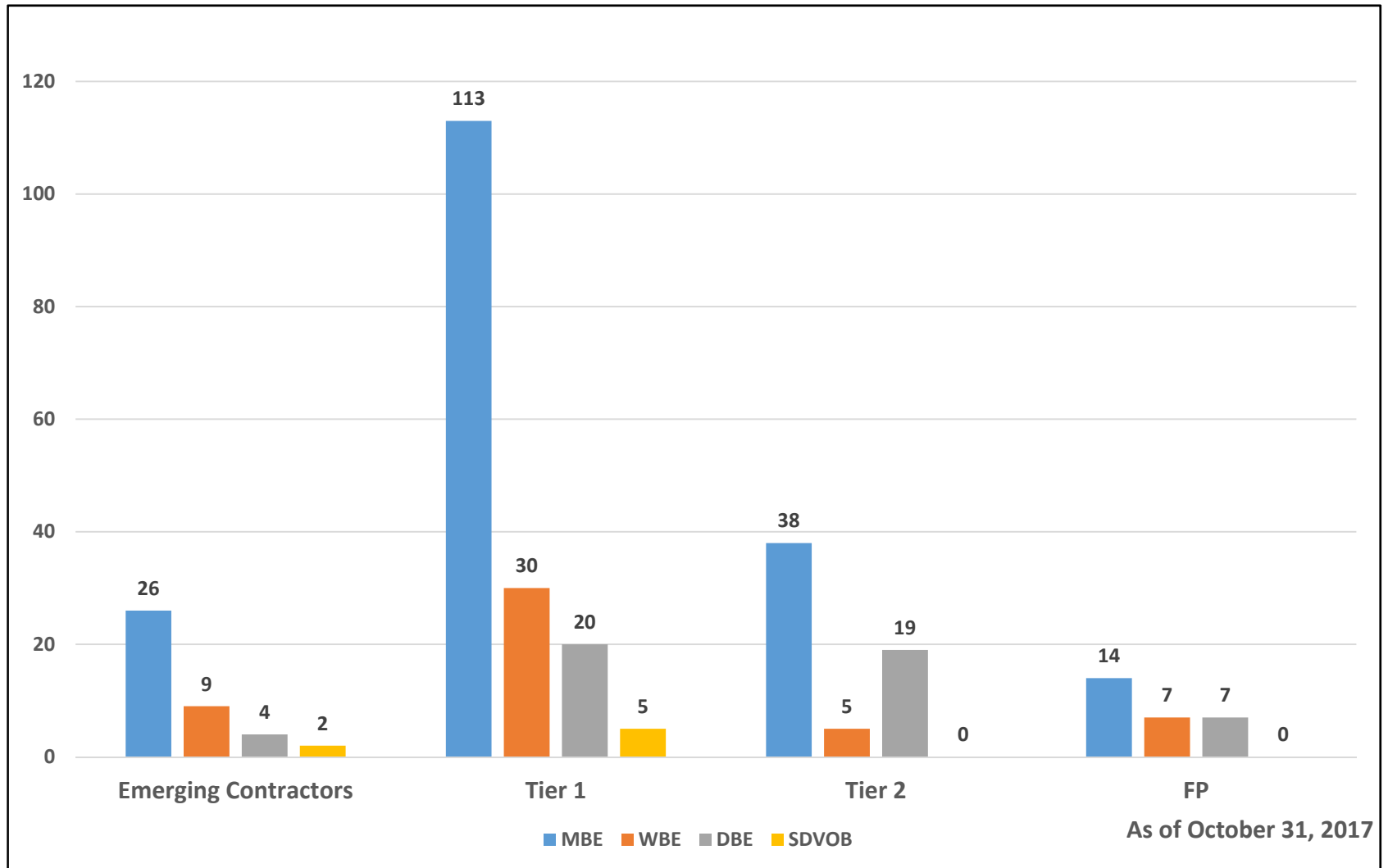
# SBDP Tier Participants



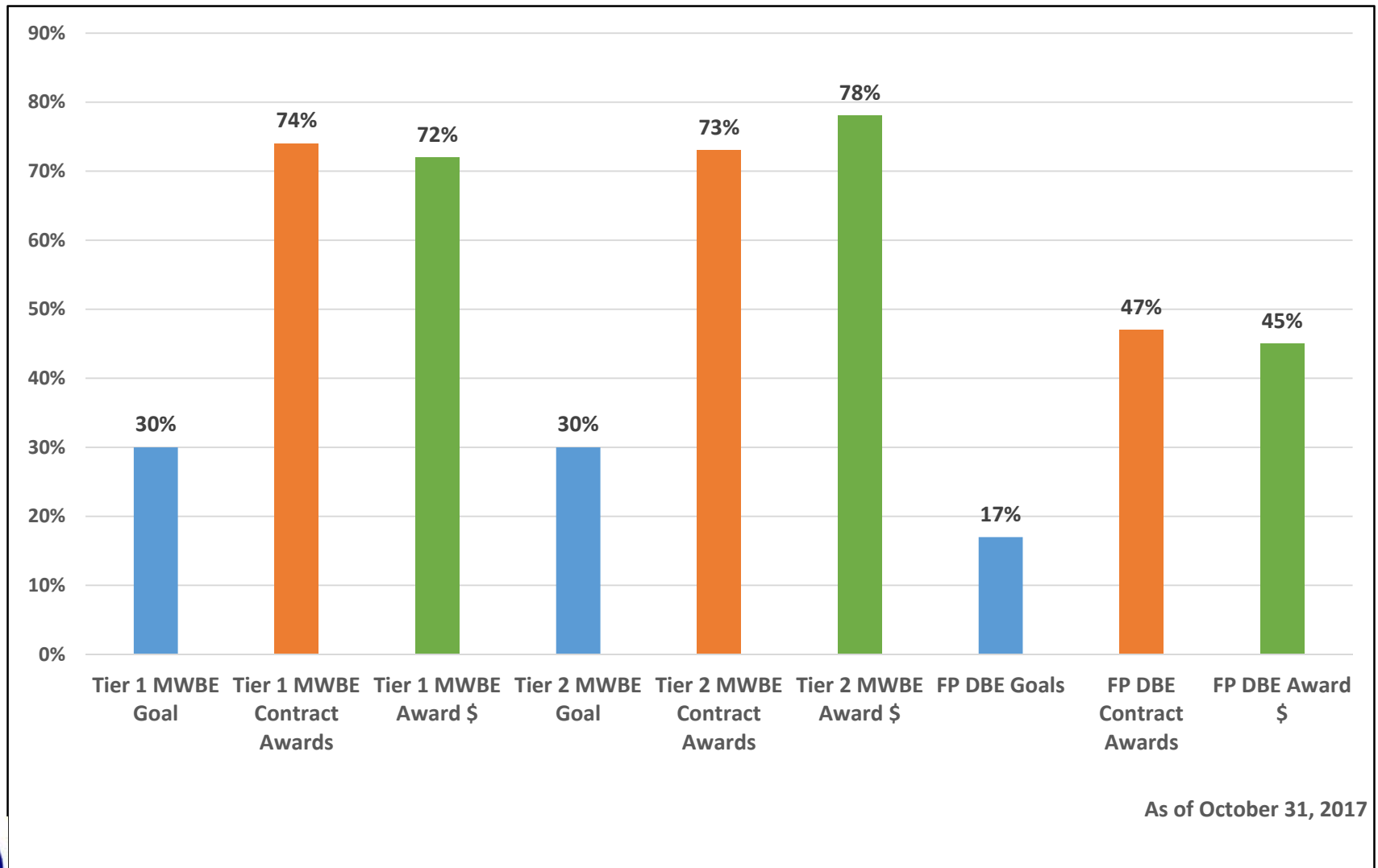
# SBDP Participants are Diverse



# SBDP Certifications



# SBDP is Exceeding MWDBE Goals



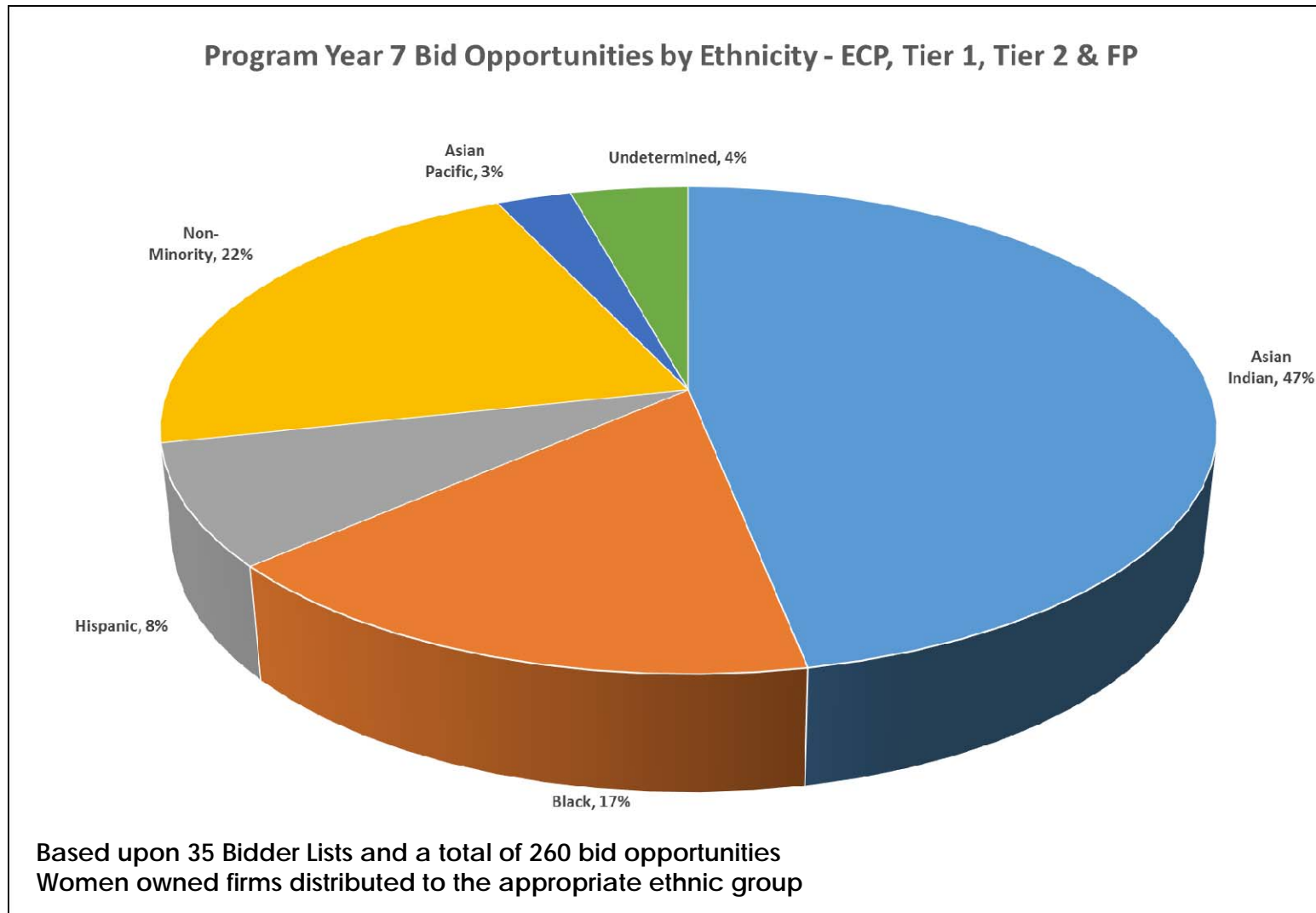
# Elements of the SBDP

- Prime Contract Bid Opportunities
- Business Management, Leadership and Technical Training
- Access to Working Capital and Surety Bonding
- Comprehensive business consulting services
- Experience working on MTA Projects up to \$3.0 million
- Fast-Track Payments – 10 Business Days



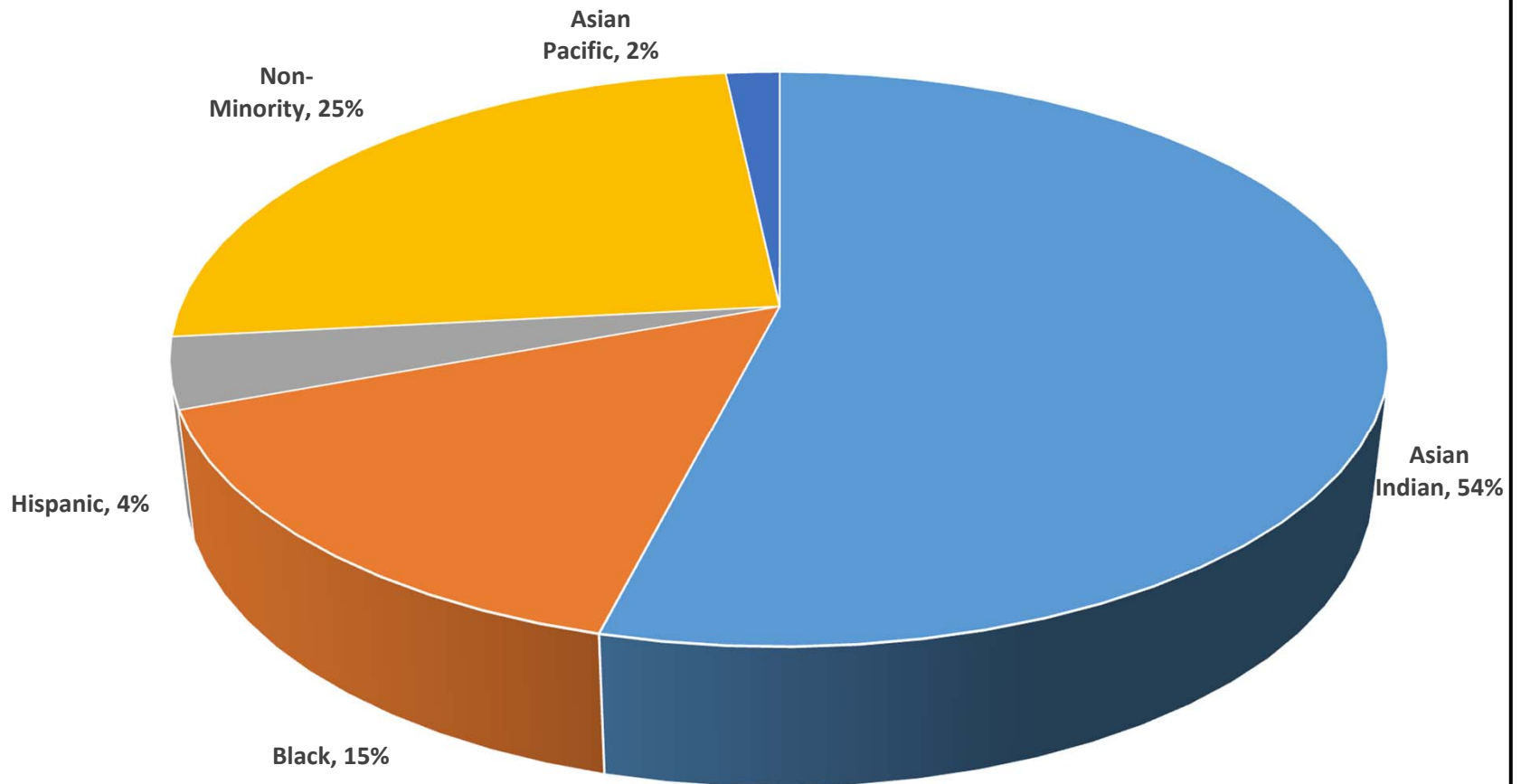


# Program Year 7 Bid Opportunities



# Program Year 8 Bids To Date

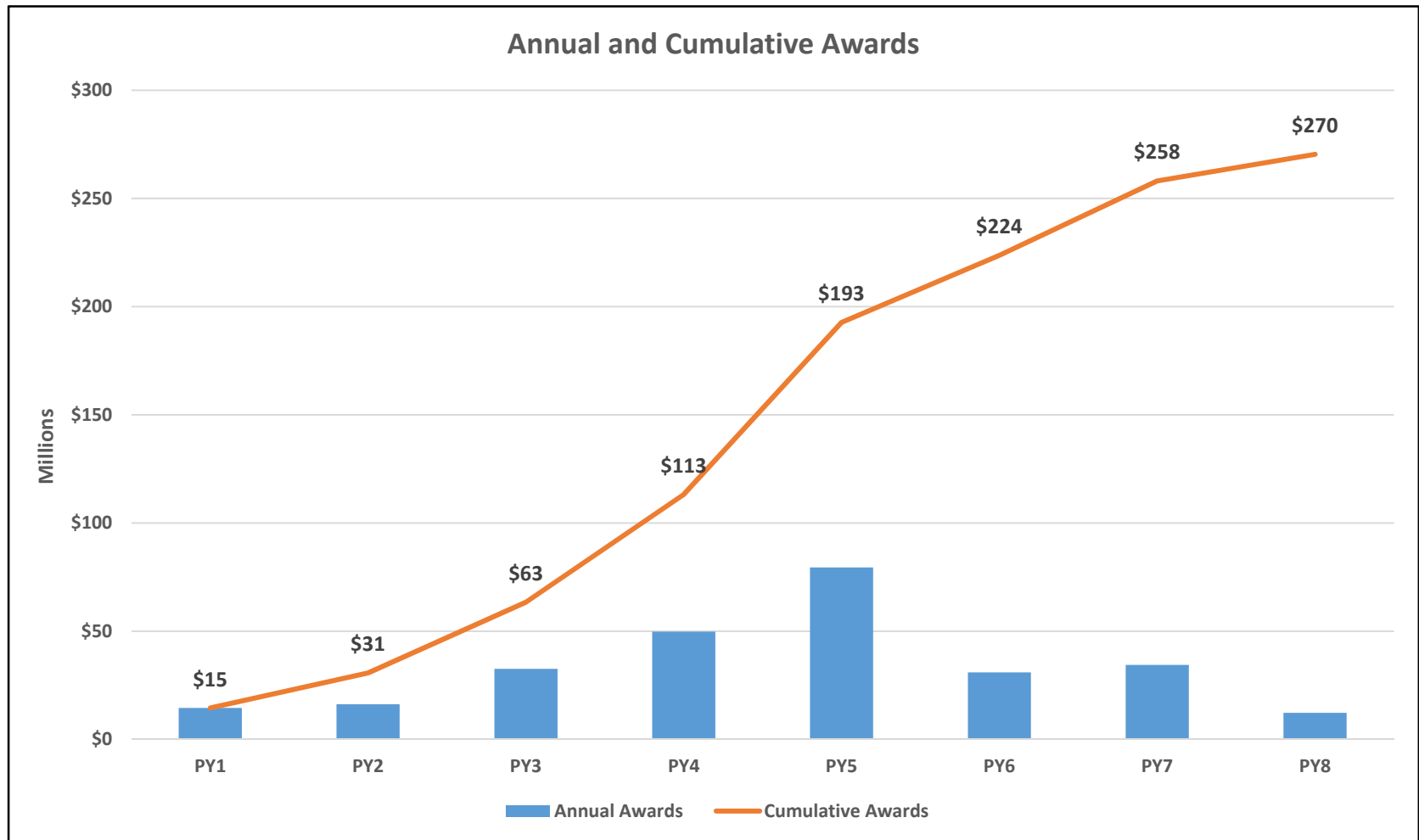
## Emerging Contractors, Tier 1, Tier 2 & FP – Nov. 15, 2017



Based upon 22 Bidder Lists and a total of 176 bid opportunities  
Women owned firms distributed to the appropriate ethnic group



# SBDP Prime Contract Opportunities



Program Year 8 awards through November 15, 2017.

# SBDP Projected Awards 2017-2019

<b>Tier</b>	<b>Award \$</b>	<b>Projects</b>	<b>Annual Average</b>
➤ Tier 1	\$171M	240	\$57M
➤ Tier 2	\$133M	65	\$44.3M
➤ SBFP	\$133M	65	\$44.3M

## **Totals**

➤ All Tiers	\$437M	370	\$145.6M
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❖ 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>)



# SBDP Jobs Created

- PY'10 – PY'17 SBMP-Tier 1 Awards total **\$130.0** Million
- PY'15 – PY'17 SBMP-Tier 2 Awards total **\$63.0** Million
- PY'13 – PY'17 SBFP Awards total **\$77.4** Million
- Estimated job creation within the Small Business and MWDBE Community approaching 6,500

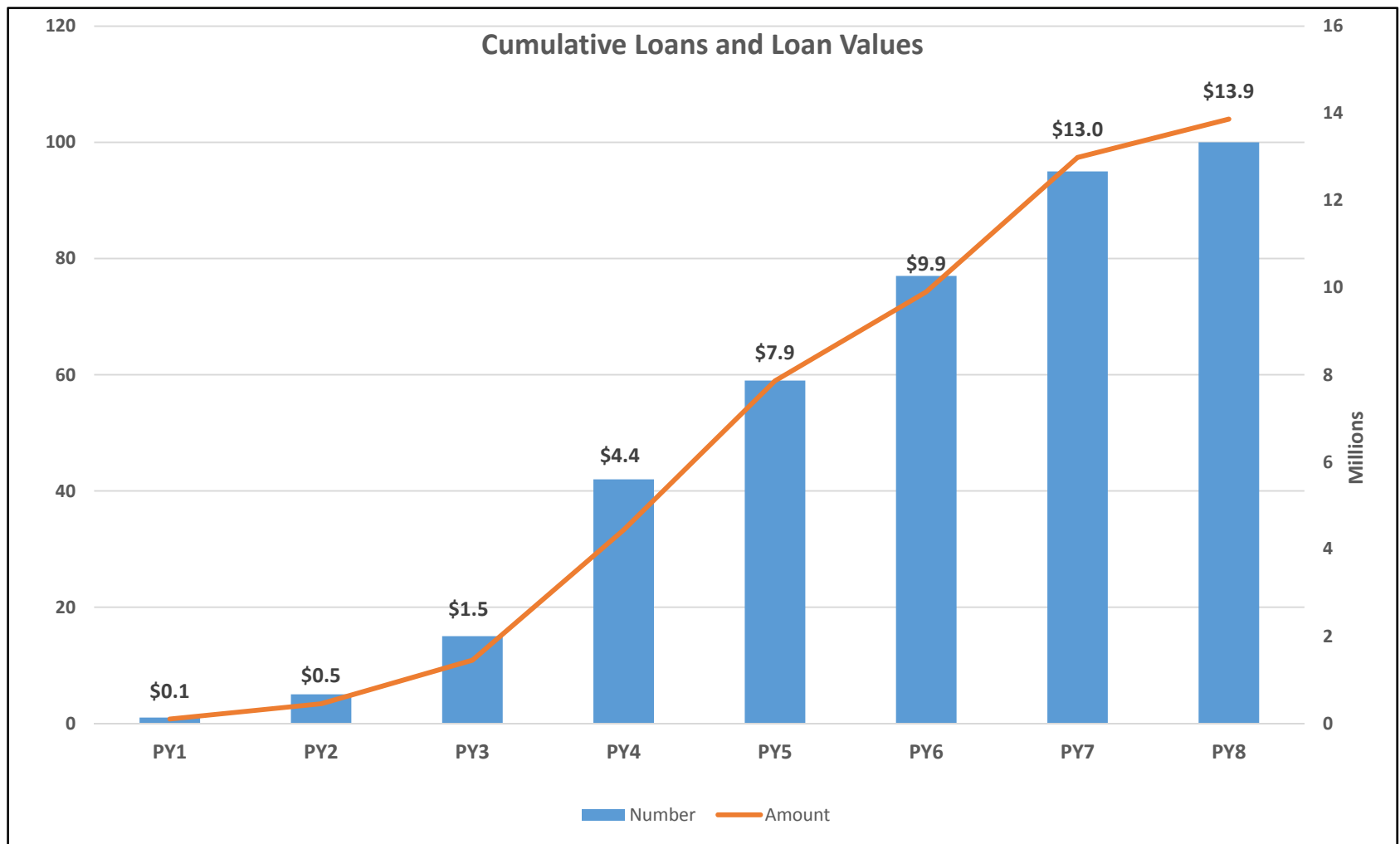
\*Source: New York State Department of Transportation (NYSDOT)

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

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



## SBDP Provides Access to Capital



Loan values shown are for each program year ending on July 31. Program Year 8 through November 15, 2017.

# SBDP Facilitates Bonding and Growth

- Tier 2 and Federal Program contractors currently carry \$242M in Single and \$460M in Aggregate bonding capacity
- 651 bid opportunities in the Tier 2 and Federal Programs
- 73 contract awards
- Ongoing consultation with contractors to maximize bidding opportunities by increasing bonding capacity
- Engaging Tier 1 contractors 24-36 months before graduation to ensure access to bonding and eligibility for Tier 2 and the Federal Program



# TRAINING IS INTEGRAL TO SUCCESS

- Fall 2017 class has 32 participating companies
  - 24 are already pre-qualified or in the pre-qualification process
- New in 2017
  - Leadership Institute – 10 courses to supplement mandatory training curriculum
  - Industry leaders presenting important topics including DBE Fraud, PLAs, Strategic Business Development, Marketing, Public Speaking & Presentation Skills
  - MTA-based case study and reference documents
  - Interactive and small group activities





# Assessments Plot a Course of Action

- Contractor Assessments lead to detailed Action Plans
- Identifying existing and future needs
- Creating SMART Plans with each contractor
  - **S**pecific
  - **M**easurable
  - **A**greed Upon
  - **R**ealistic
  - **T**ime-bound
- 178 In-Person Assessments Complete
- 163 Action Plans Delivered
- Regular follow up with contractors on progress



# 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



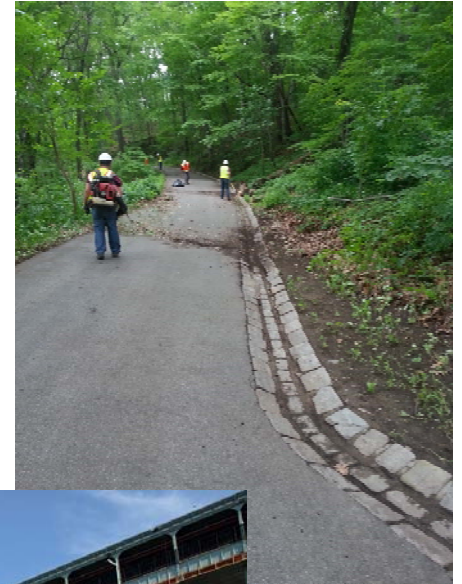
# SBDP Contractors are Finding Success

- 18 Tier 1 contractors graduated in 2017
- 16 additional Tier 1 contractors exceeded revenue thresholds in 2017
- 27 Tier 2/FP graduates in 2017
- 11 FP contractors exceeded revenue thresholds
- Current SBDP contractors and bidding and winning MTA projects outside of the program
- SBDP contractors are winning projects at other NY area agencies including the SCA, PANYNJ, SUNY, DDC



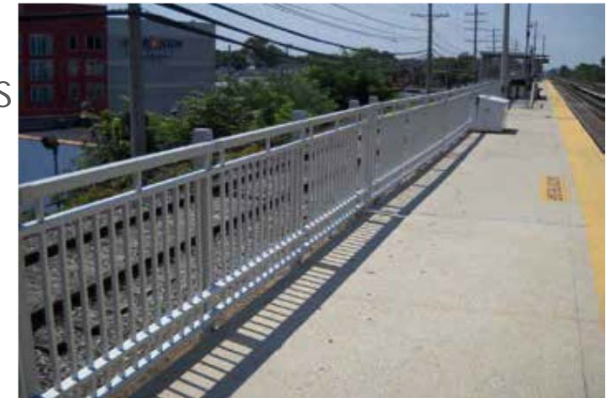
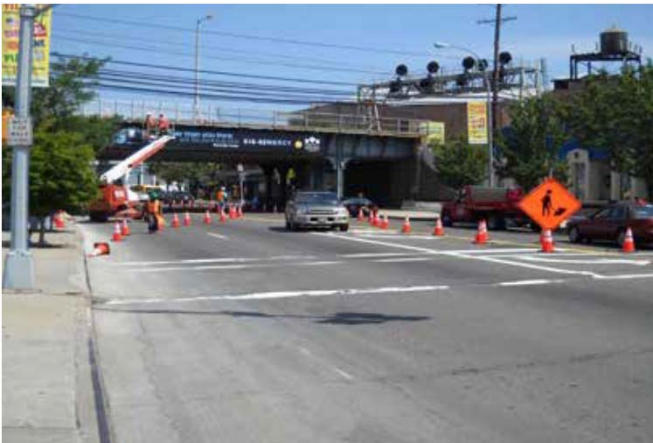
# Classico Building Maintenance

- Mentor contractor since 2013
  - \$653,000 in MTA SBDP prime contract awards
  - 2 SBDP Tier 1 contract awards
  - Graduated to Tier 2 in 2017
  - 16 new jobs created



# Riggs Construction

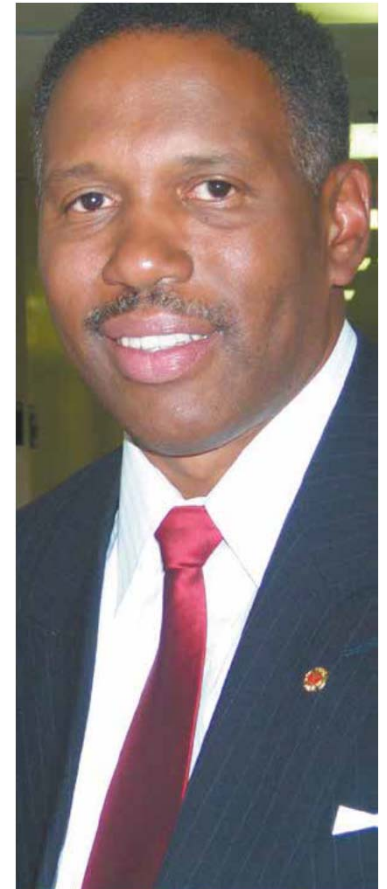
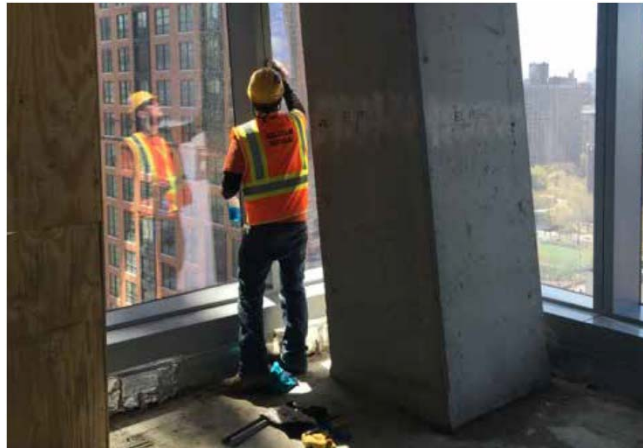
- Mentor contractor since 2010
  - \$3.9M in MTA SBDP prime contract awards
  - 5 SBDP contract awards
  - 94 new jobs created





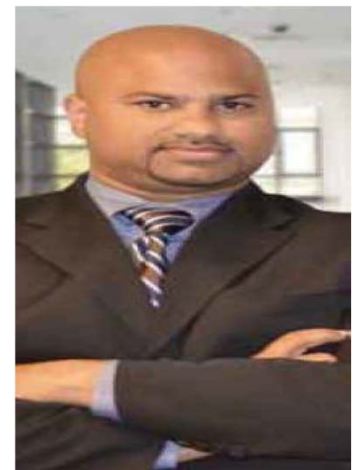
# Malcolm Patrick Corporation

- 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
  - \$8.7M 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





# Metropolitan Transportation Authority Department of Diversity and Civil Rights

M/W/DBE Contract Compliance  
Third Quarter 2017

December 13, 2017

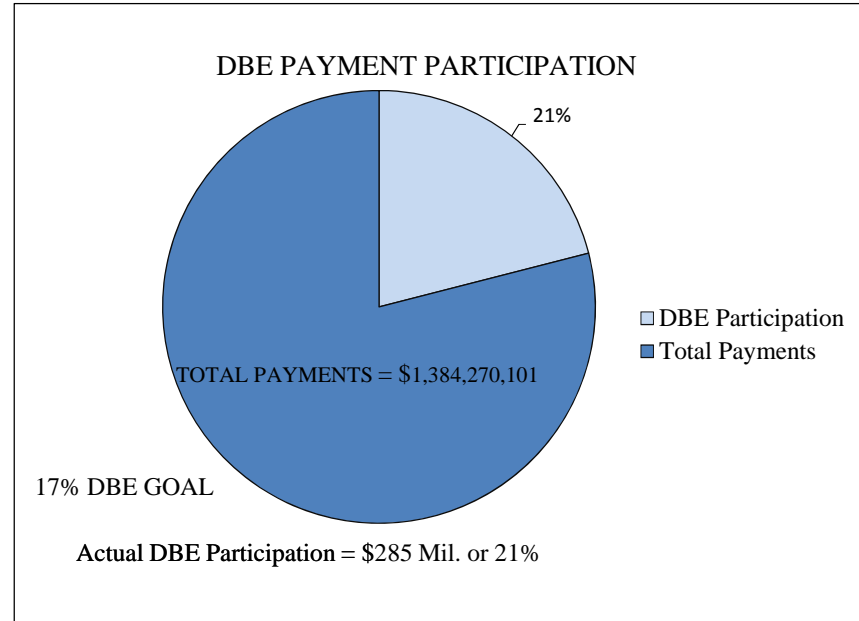
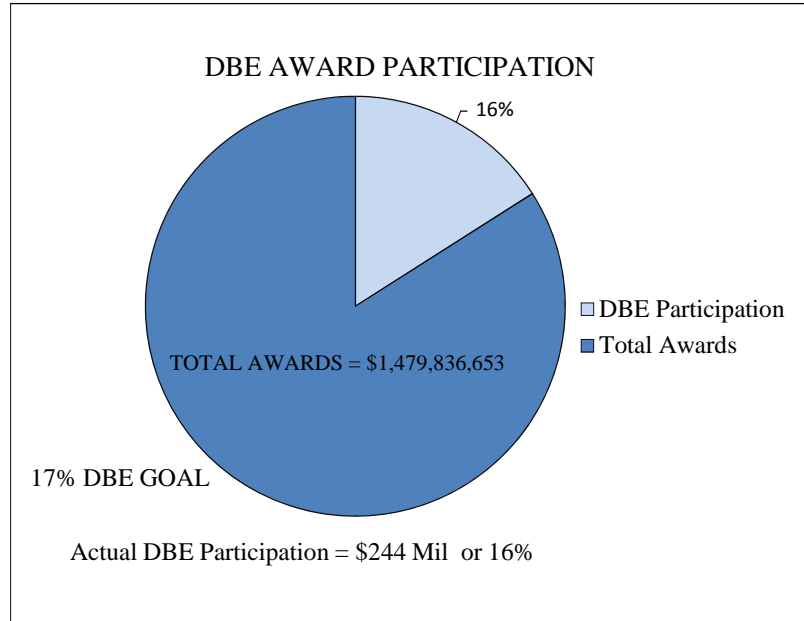


**DBE Participation in Federally Funded Contracts  
Federal Fiscal Year 2017\*  
(October 1, 2016 to September 30, 2017)**

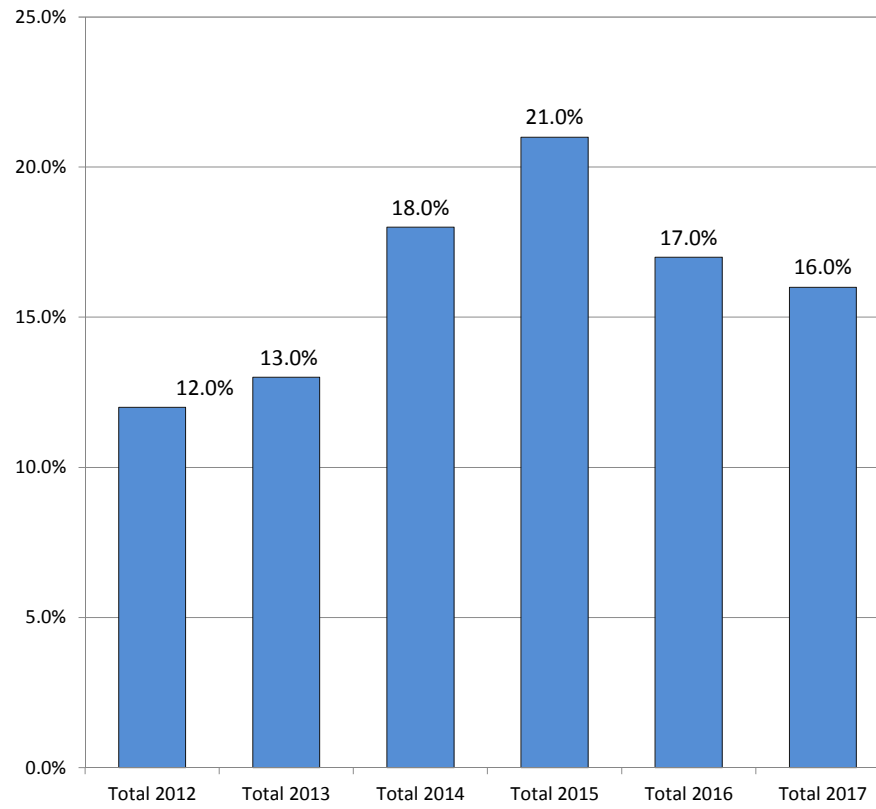
- Each year, MTA reports to the Federal Transit Administration on a semi-annual basis DBE participation in federally funded contracts.
- Reports are submitted on June 1st -- covering October through March, and December 1st -- covering April through September. The December report also summarizes data for the entire Federal Fiscal Year (“FFY”).
- Reports include DBE participation data on new awards and payments on completed contracts.
- For FFY 2017, MTA’s DBE goal was 17%.
- During FFY 2017, MTA awarded \$1.5 billion in the federally funded portion of contracts, with \$244 million (16%) being awarded to certified DBEs.
- During FFY 2017, MTA paid prime contractors \$1.4 billion, with payments to certified DBEs totaling \$285 million (21%).

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

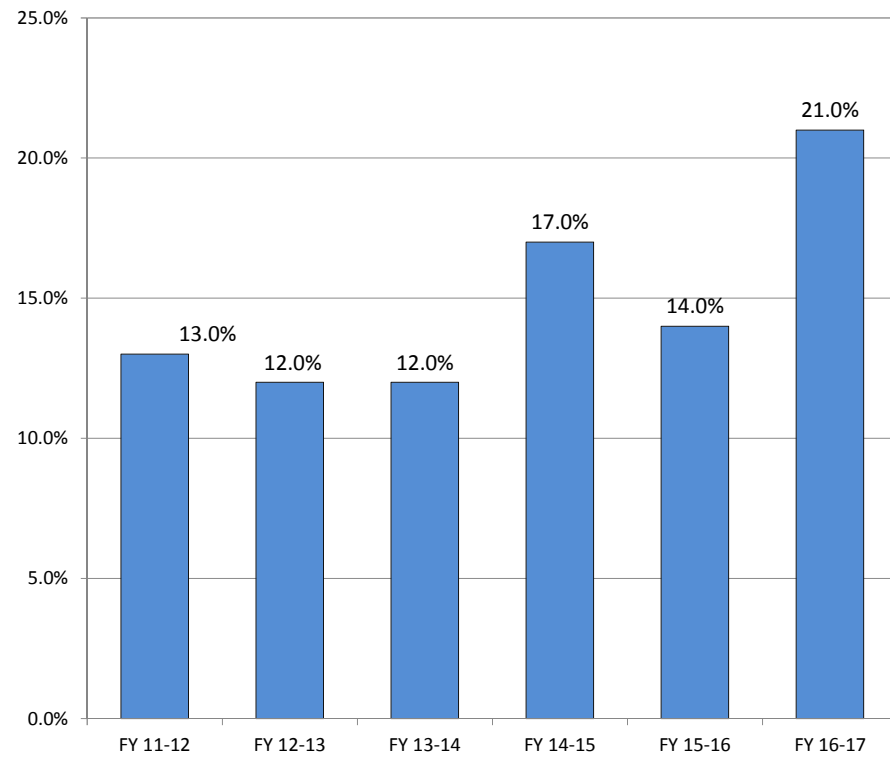
FEDERALLY-FUNDED CONTRACTS  
DBE CONTRACT ACTIVITY  
FEDERAL FISCAL YEAR 2016 (OCTOBER 2016-SEPTEMBER 2017)



DBE CONTRACT AWARDS  
October 2011 - September 2017



DBE CONTRACT PAYMENTS  
October 2011 - September 2017



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

**AWARDS\***

<b>CONTRACT AWARDS</b>	<b>PRIME AWARDS</b>		<b>DBE PARTICIPATION</b>			<b>OVERALL FTA GOAL</b>
	<b>Number of Contracts</b>	<b>Award Amount</b>	<b>Number of DBE Contracts</b>	<b>DBE Award Amount</b>	<b>% To Agency Total</b>	
<b>1st SEMI-ANNUAL REPORT</b> <b>October 2016- March 2017</b>	1,041	\$412,243,992	99	\$69,904,793	17%	17%
<b>2nd SEMI-ANNUAL REPORT</b> <b>April 2017-September 2017</b>	756	\$1,067,592,661	117	\$174,222,727	16%	17%
<b>TOTAL</b>	<b>1797**</b>	<b>\$1,479,836,653</b>	<b>216</b>	<b>\$244,127,520</b>	<b>16%</b>	<b>17%</b>

**PAYMENTS\***

<b>CONTRACT PAYMENTS</b>	<b>PAYMENTS TO PRIMES</b>		<b>DBE PARTICIPATION</b>			<b>OVERALL FTA GOAL</b>
	<b>Number of Contracts</b>	<b>Payment Amount</b>	<b>Number of DBE Subcontracts</b>	<b>DBE Payment Amount</b>	<b>% To Agency Total</b>	
<b>1st SEMI-ANNUAL REPORT</b> <b>October 2016- March 2017</b>	156	\$677,961,759	559	\$145,705,963	21%	17%
<b>2nd SEMI ANNUAL REPORT</b> <b>April 2017-September 2017</b>	166	\$706,308,342	228	\$139,018,324	20%	17%
<b>TOTAL</b>	<b>322</b>	<b>\$1,384,270,100</b>	<b>787</b>	<b>\$284,724,287</b>	<b>21%</b>	<b>17%</b>

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

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

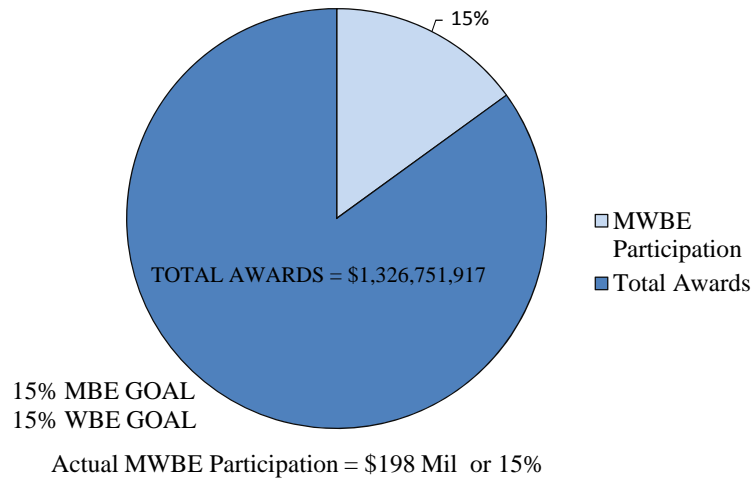
**MWBE Participation in State Funded Contracts  
New York State Fiscal Year 2017-2018\*  
(April 1, 2017 to September 30, 2017)**

- 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 2017-2018, starting on April 1, 2017.
- From April 1, 2017 to September 30, 2017, MTA awarded \$1.3 billion in New York State funded contracts, with approximately \$200 million (15%) awarded to certified MWBEs.
- From April 1, 2017 to September 30, 2017, MTA paid over \$1.2 billion on prime contracts with \$285 million (25%), paid to MWBEs.

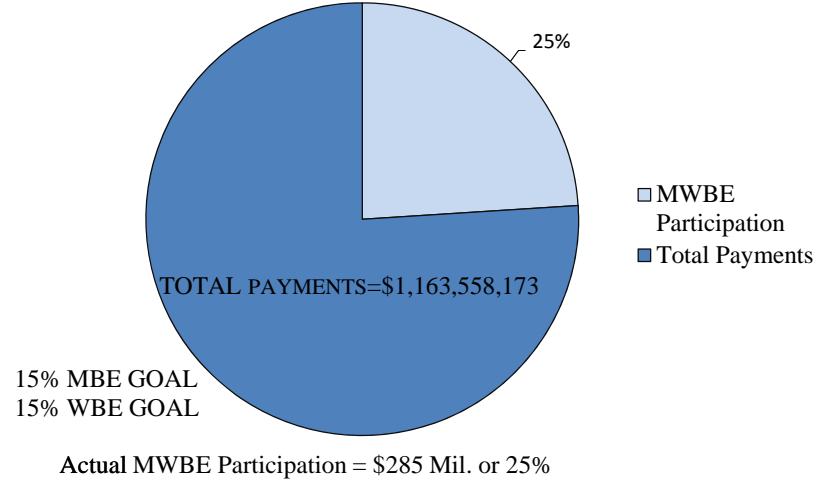
\*The State Fiscal Year runs from April 1<sup>st</sup> through March 31<sup>st</sup>.

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

MWBE AWARD PARTICIPATION

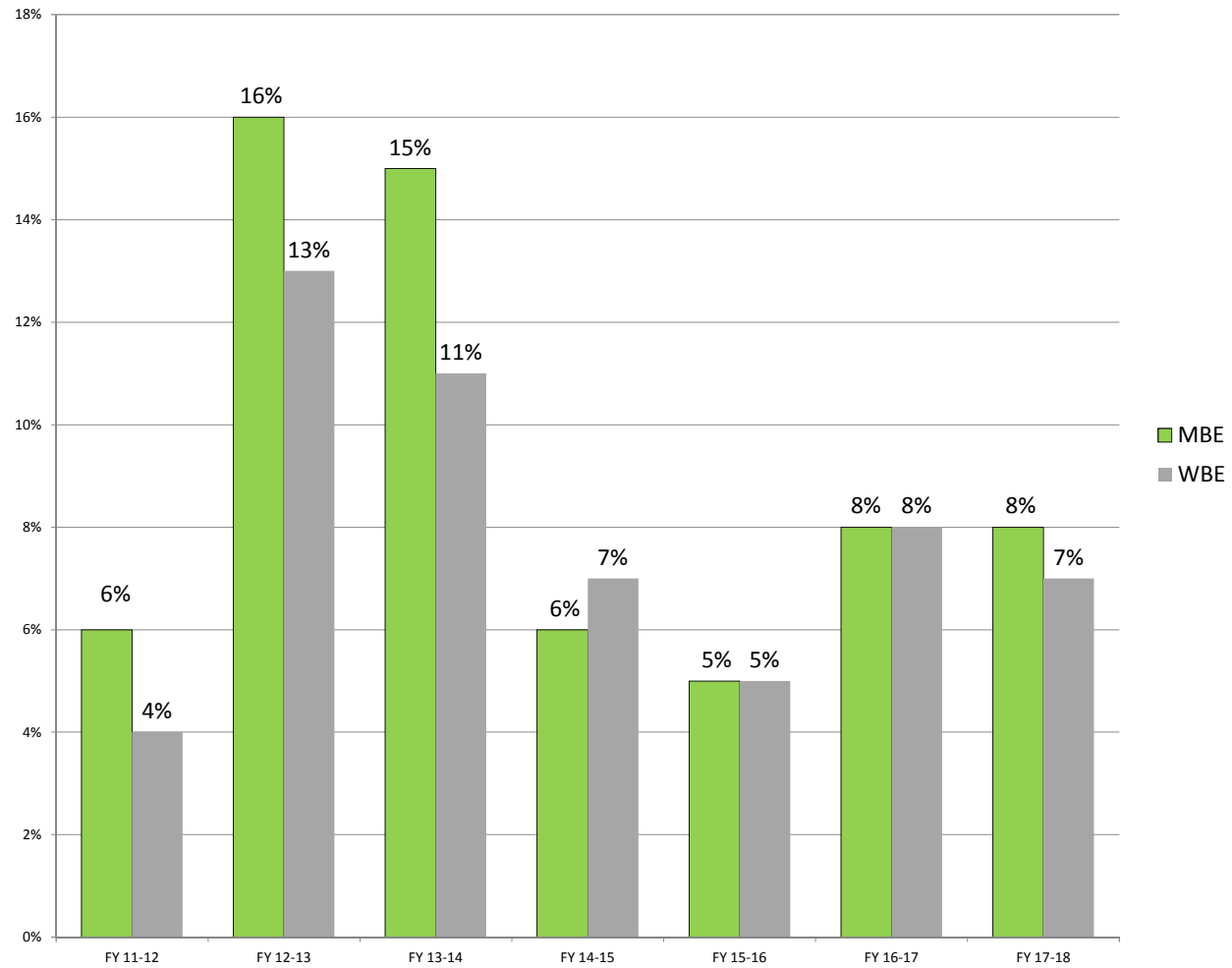


MWBE PAYMENT PARTICIPATION

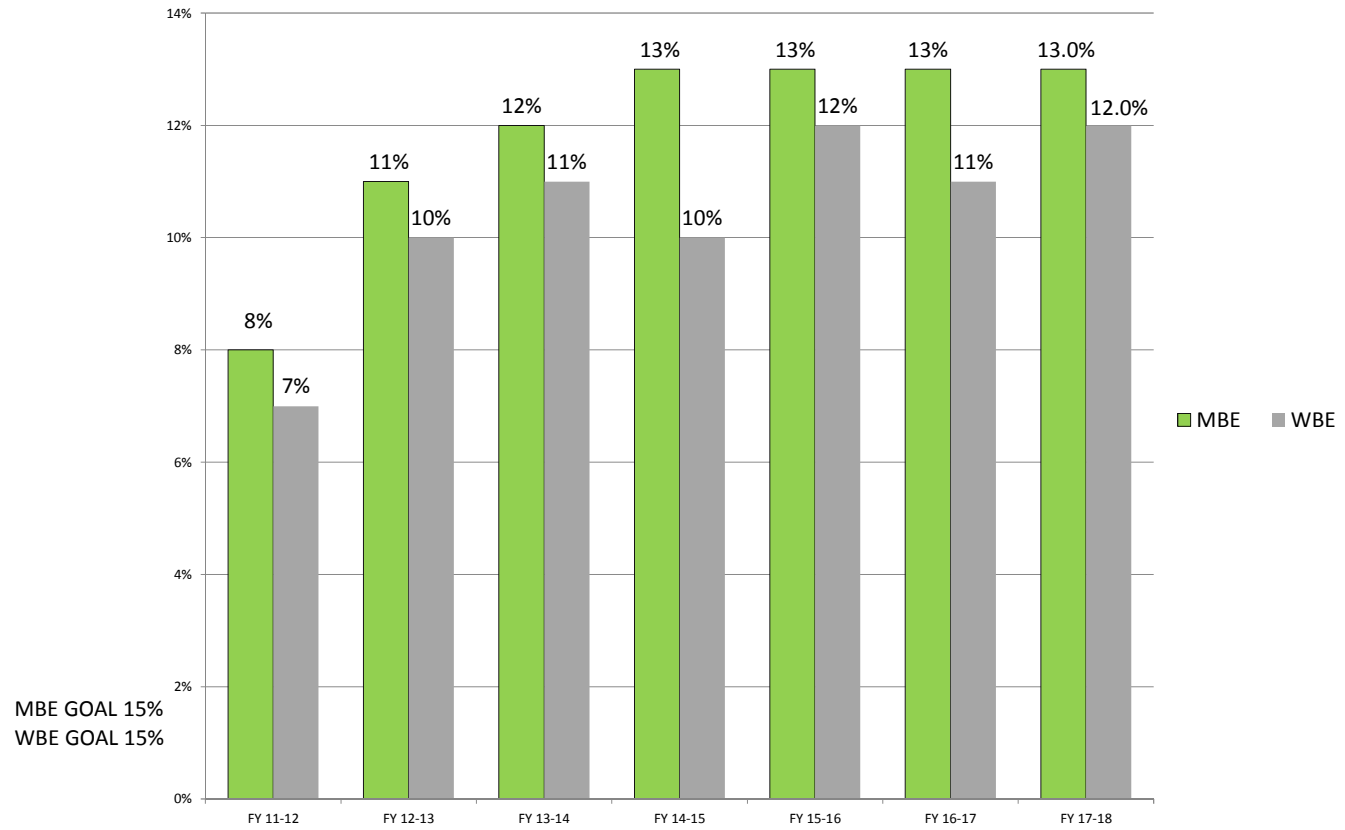




NYS MWBE AWARDS  
APRIL 2011 - SEPTEMBER 2017



NYS MWBE PAYMENTS  
APRIL 2011- SEPTEMBER 2017



**NYS CONTRACTS  
MWBE CONTRACT ACTIVITY  
APRIL 1, 2017-SEPTEMBER 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>SECOND QUARTER</b>	20,507	\$515,324,820	1,221	\$71,375,678	14%	30%
<b>JULY 2017-SEPTEMBER 2017</b>						
<b>TOTAL</b>	<b>41,101</b>	<b>\$1,326,751,917</b>	<b>2,773</b>	<b>\$197,942,603</b>	<b>15%</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>SECOND QUARTER</b>	1,118	\$580,074,281	3,427	\$148,336,536	26%	30%
<b>JULY 2017- SEPTEMBER 2017</b>						
<b>TOTAL</b>	<b>2,143</b>	<b>\$1,163,558,173</b>	<b>7,960</b>	<b>\$285,017,675</b>	<b>25%</b>	<b>30%</b>

**SDVOB Participation in State Funded Contracts  
New York State Fiscal Year 2017-2018\*  
(April 1, 2017 to September 30, 2017)**

- Each year, MTA reports to the Office of General Services on a quarterly basis SDVOB participation on state funded contracts.
- Reports are submitted 30 days after the end of each quarter, on January 31, April 30, July 31, and October 30.
- Reports include data on contracts with goals and SDVOB contract payments.
- MTA established an overall SDVOB goal of 6% for State fiscal year 2017-2018, starting on April 1, 2017.
- From April 1, 2017 to September 30, 2017, MTA awarded \$1.1 million to SDVOBs.
- From April 1, 2017 to September 30, 2017, MTA paid over \$1.1 billion on prime contracts with \$949,134 (0.1%), paid to SDVOBs.

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

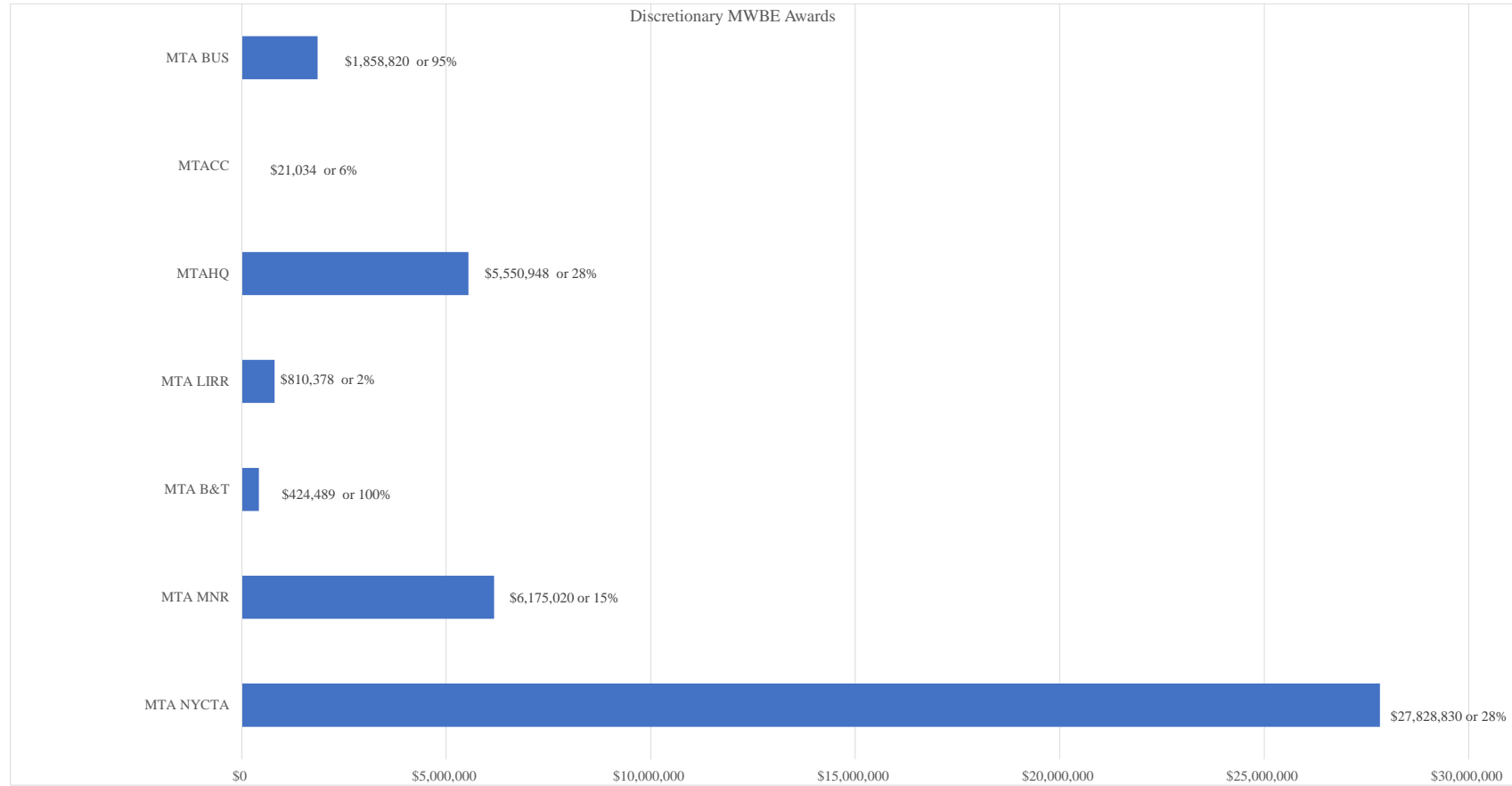
**FY 2017 SDVOB CONTRACT AWARDS**  
**JANUARY 2017-SEPTEMBER 2017**

	<b>Total SDVOB Awards</b>
January 2017-March 2017	\$411,940
April 2017-June 2017	\$452,817
July 2017 - September 2017	\$205,022
<b>Total 2017</b>	<b>\$1,069,779</b>

**SDVOB DISBURSEMENTS**  
**January 2017-September 2017**

	<b>Total Agency Disbursements</b>	<b>Total SDVOB Disbursements</b>	<b>SDVOB%</b>
January 2017 - March 2017	\$411,689,281	\$472,494	0.1%
April 2017 - June 2017	\$583,483,892	\$216,364	0.04%
July 2017- September 2017	\$138,254,656	\$260,276	0.19%
			0%
			0%
<b>TOTAL</b>	<b>\$1,133,427,829</b>	<b>\$949,134</b>	<b>0.08%</b>

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



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

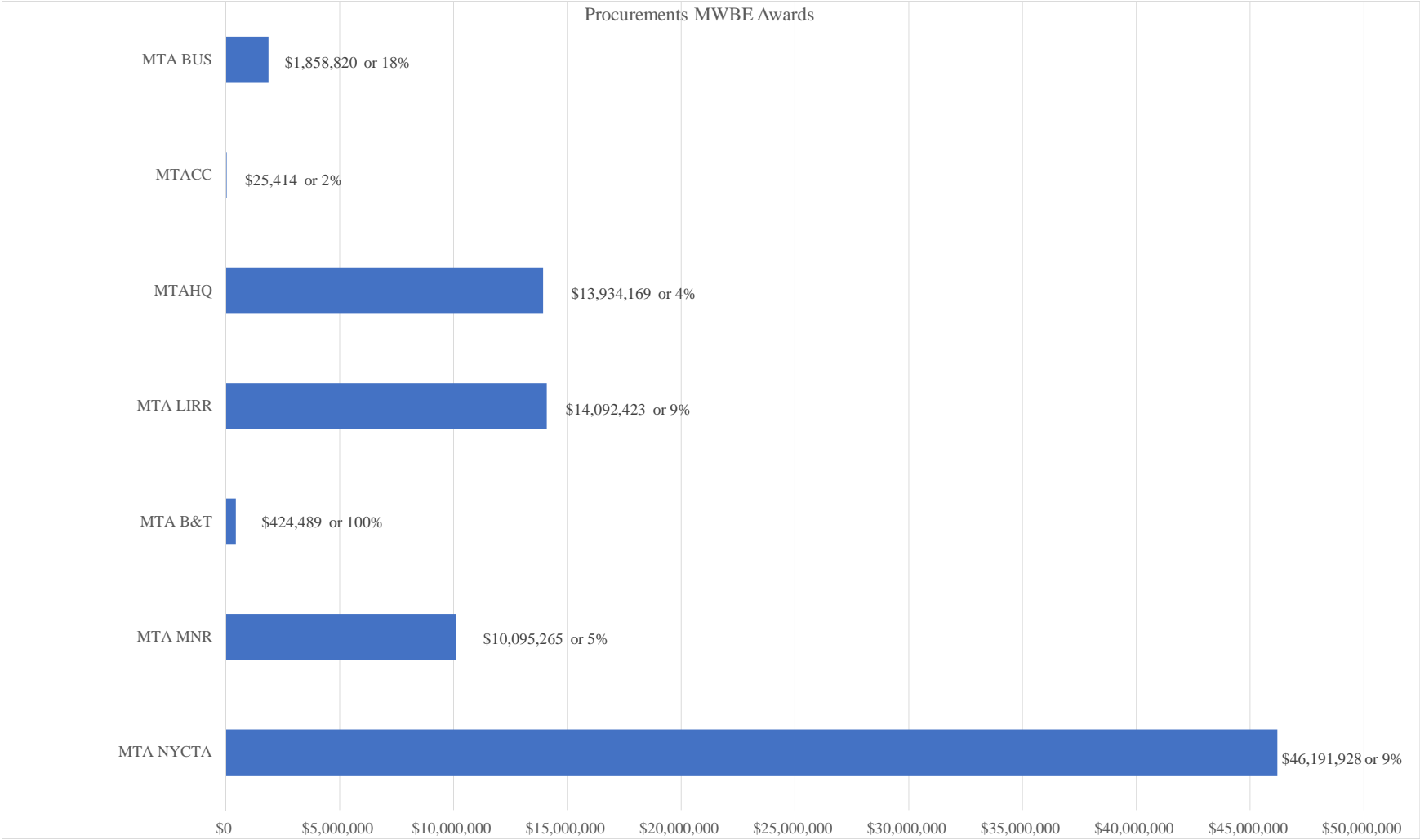
**MTA ALL AGENCY  
DISCRETIONARY PROCUREMENT REPORT\***

**January 2017 - September 2017**

Agency	Total Awards \$400k or Less	MWBE Discretionary Awards	Discretionary MWBE	SBC Discretionary	Discretionary SBC
<b>MTA NYCTA</b>	\$99,155,089	\$27,828,830	28%	\$4,343,370	4%
<b>MTA MNR</b>	\$41,647,006	\$6,175,020	15%	\$968,821	2%
<b>MTA B&amp;T</b>	\$424,489	\$424,489	100%	\$0	0%
<b>MTA LIRR</b>	\$38,546,643	\$810,378	2%	\$1,330,076.00	3%
<b>MTA HQ</b>	\$20,106,326	\$5,550,948	28%	\$468,052	2%
<b>MTA CC</b>	\$372,125	\$21,034	6%	\$0	0%
<b>MTA BUS</b>	\$1,948,495	\$1,858,820	95%	\$89,675	5%
<b>Total</b>	<b>\$202,200,173</b>	<b>\$42,669,519</b>	<b>21%</b>	<b>\$7,199,994</b>	<b>4%</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 - September 2017**

<b>Agency</b>	<b>Total Award Amount</b>	<b>Total MWBE Awards</b>	<b>MWBE</b>
<b>MTA NYCTA</b>	\$498,367,335.46	\$46,191,928.72	9%
<b>MTA MNR</b>	\$210,013,062.24	\$10,095,265.38	5%
<b>MTA B&amp;T</b>	\$424,489.00	\$424,489.00	100%
<b>MTA LIRR</b>	\$157,368,527.14	\$14,092,422.92	9%
<b>MTA HQ</b>	\$349,988,791.00	\$13,934,169.00	4%
<b>MTA CC</b>	\$1,371,483.48	\$25,414.37	2%
<b>MTA BUS</b>	\$10,182,291.70	\$1,858,820.32	18%
<b>Total</b>	<b>\$1,227,715,980</b>	<b>\$86,622,510</b>	<b>7%</b>

# Metropolitan Transportation Authority Department of Diversity and Civil Rights

Discretionary A&E, Legal, & IT

December 13, 2017





# IT Discretionary

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

Total Number of Awards- 187

Value of Awards- \$31 million

Value of Cumulative Awards- \$51.4 million



Supplier	PO No.	Sum Merchandise Amt
CAPSTONE STRATEGY GROUP, LLC	9000005896	\$100,000.00
	9000005949	\$225,000.00
	9000005950	\$230,870.00
	9000006412	\$258,453.00
	9000006884	\$100,760.66
	9000007063	\$206,049.63
	9000007158	\$52,000.00
	9000007196	\$113,416.86
DONNELLY & MOORE CORP	9000005798	\$200,747.04
	9000005798	\$200,747.04
	9000006057	\$201,600.00
	9000006057	\$201,600.00
	9000006098	\$152,848.00
	9000006098	\$152,848.00
	9000006159	\$215,339.41
	9000006159	\$215,339.41
	9000006739	\$310,341.00
	9000006739	\$310,341.00
GRANDWOOD INC IIT INC	9000006747	\$158,304.81
	9000006747	\$158,304.81
	9000006258	\$113,750.00
	9000005718	\$99,568.00
	9000005745	\$201,975.00
	9000005753	\$78,319.00
	9000005752	\$97,500.00
	9000005779	\$213,741.00
	9000005780	\$50,000.00
	9000005797	\$86,922.00
	9000005799	\$173,584.00
	9000005643	\$28,931.00
	9000005802	\$267,393.00
	9000006021	\$76,050.00

	9000006069	\$100,000.00
	9000006149	\$62,693.00
	9000006257	\$211,133.00
	9000006334	\$258,421.50
	9000006421	\$211,113.00
	9000006460	\$300,000.00
	9000006463	\$202,000.00
	9000006488	\$32,780.00
	9000006487	\$68,800.00
	9000006708	\$85,663.50
	9000006772	\$100,760.66
	9000006773	\$100,760.66
	9000006896	\$206,049.63
	9000006984	\$60,568.84
	9000007006	\$71,045.98
	9000007068	\$212,994.60
	9000007071	\$212,994.60
	9000007087	\$173,016.12
	9000007238	\$65,139.36
INFOPEOPLE CORP	9000005681	\$278,237.50
	9000005716	\$52,488.00
	9000005769	\$271,206.00
	9000006156	\$55,185.50
	9000006255	\$26,680.00
	9000006666	\$149,602.65
	9000006703	\$81,900.00
	9000006714	\$81,900.00
	9000007003	\$165,260.48
	9000007056	\$71,045.98
	9000007075	\$54,600.00
	9000007237	\$242,431.76
INFOSYS INTERNATIONAL, INC.	9000005734	\$159,441.41
	9000005785	\$31,160.00
	9000005807	\$57,720.00

	9000005829	\$310,537.50
	9000005964	\$220,272.00
	9000005965	\$220,272.00
	9000006011	\$297,833.84
	9000006020	\$96,824.00
	9000006058	\$141,100.00
	9000006062	\$279,440.00
	9000006099	\$162,393.00
	9000006172	\$171,546.38
	9000006266	\$286,000.00
	9000006316	\$197,784.00
	9000006605	\$211,113.00
	9000006687	\$80,925.00
	9000006785	\$238,746.00
	9000006823	\$165,260.48
	9000007005	\$60,568.84
	9000007031	\$189,150.00
IZAR ASSOCIATES INC	9000005700	\$98,865.00
	9000005700	\$197,730.00
	9000005740	\$44,880.00
	9000005740	\$89,760.00
	9000005813	\$19,595.08
	9000005813	\$39,190.16
	9000005875	\$190,892.24
	9000005875	\$381,784.48
	9000006094	\$171,800.00
	9000006094	\$343,600.00
LYNX TECHNOLOGY PARTNERS INC	9000006139	\$267,393.00
	9000006891	\$85,663.50
NEOTECRA, INC.	9000005773	\$198,861.00
	9000005773	\$198,861.00
	9000006877	\$147,690.10
	9000006877	\$147,690.10
	9000006888	\$141,407.88

	9000006888	\$141,407.88
NEXT GENERATION INC	9000006325	\$286,000.00
	9000007123	\$79,952.60
PROTEK INFORMATION TECHNOLOGY SVS LLC	9000005877	\$389,320.00
PRUTECH SOLUTIONS, INC.	9000005795	\$55,114.00
	9000005795	\$55,114.00
	9000005884	\$92,048.00
	9000005884	\$92,048.00
	9000006293	\$215,256.00
	9000006293	\$215,256.00
	9000006454	\$143,931.00
	9000006454	\$143,931.00
	9000006455	\$353,356.30
	9000006455	\$353,356.30
	9000006462	\$105,518.00
	9000006462	\$105,518.00
	9000006466	\$169,867.00
	9000006466	\$169,867.00
Q.E.D., INC.	9000006071	\$133,120.00
	9000006107	\$223,225.00
	9000006108	\$109,980.00
	9000006218	\$168,480.00
SOURCE OF FUTURE TECHNOLOGY INC.	9000005739	\$118,950.00
	9000005750	\$85,800.00
	9000005770	\$101,156.00
	9000005941	\$141,414.00
	9000005942	\$92,327.02
	9000005943	\$94,991.52
	9000005944	\$220,272.00
	9000005977	\$221,130.00
	9000006040	\$325,000.00
	9000006056	\$386,720.00
	9000006174	\$184,800.00
	9000006305	\$192,500.00



SPRUCE TECHNOLOGY INC	9000006390	\$193,839.36
	9000006435	\$116,667.00
	9000006658	\$150,764.00
	9000006667	\$138,552.00
	9000005688	\$173,584.00
	9000005814	\$74,142.00
	9000006419	\$193,839.36
TCA CONSULTING GROUP INC	9000006660	\$286,000.00
	9000006865	\$122,542.23
	9000006369	\$63,375.00
	9000006559	\$73,125.00
	9000006748	\$139,379.24
UNIQUE COMP, INC.	9000006926	\$165,260.48
	9000007058	\$83,440.50
	9000005817	\$111,392.00
	9000005817	\$111,392.00
	9000005819	\$312,000.00
	9000005819	\$312,000.00
	9000005886	\$134,000.00
	9000005886	\$134,000.00
	9000005961	\$283,650.80
	9000005961	\$283,650.80
	9000005970	\$355,920.00
	9000005970	\$355,920.00
	9000006221	\$194,865.00
	9000006221	\$194,865.00
	9000006233	\$286,000.00
	9000006233	\$286,000.00
	9000006343	\$26,319.00
	9000006343	\$26,319.00
	9000006341	\$127,717.59
	9000006341	\$127,717.59
	9000006468	\$117,867.00
	9000006468	\$117,867.00

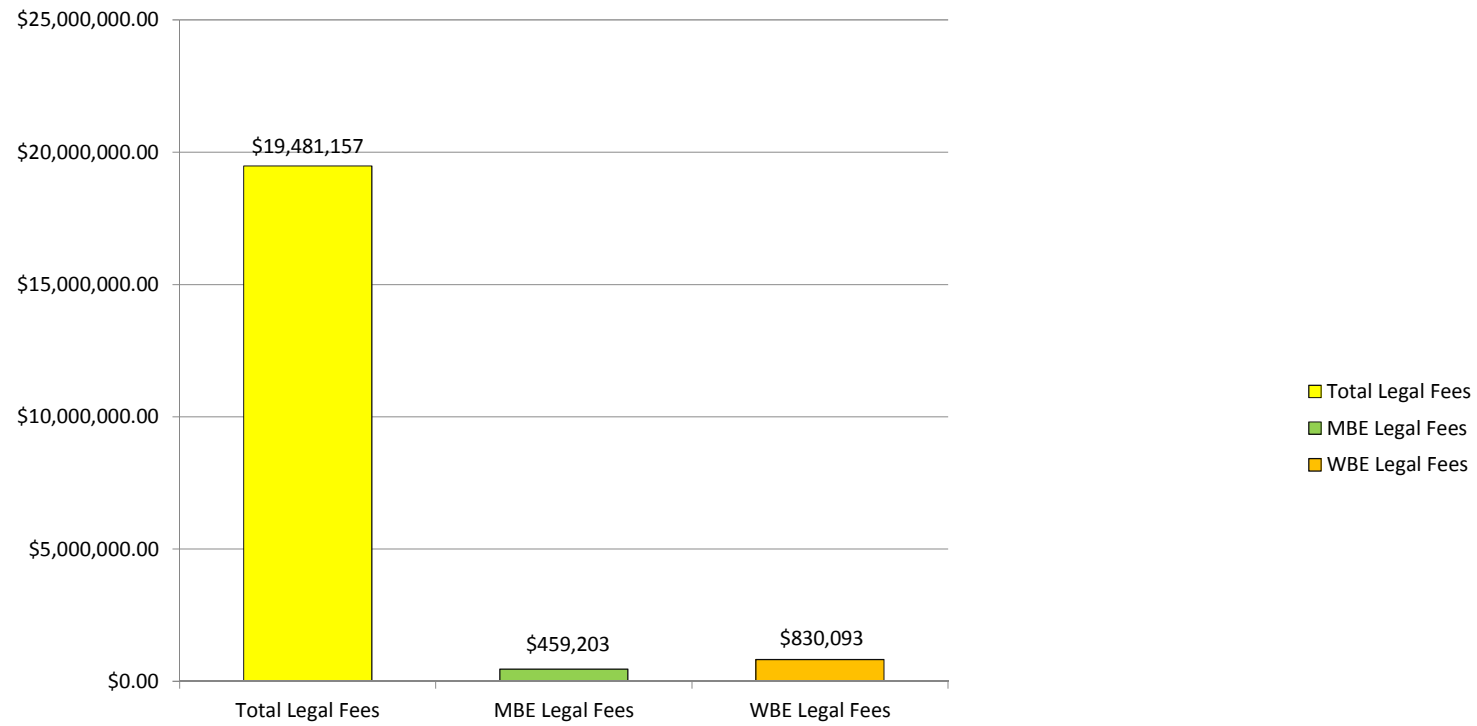
US TECH SOLUTIONS, INC

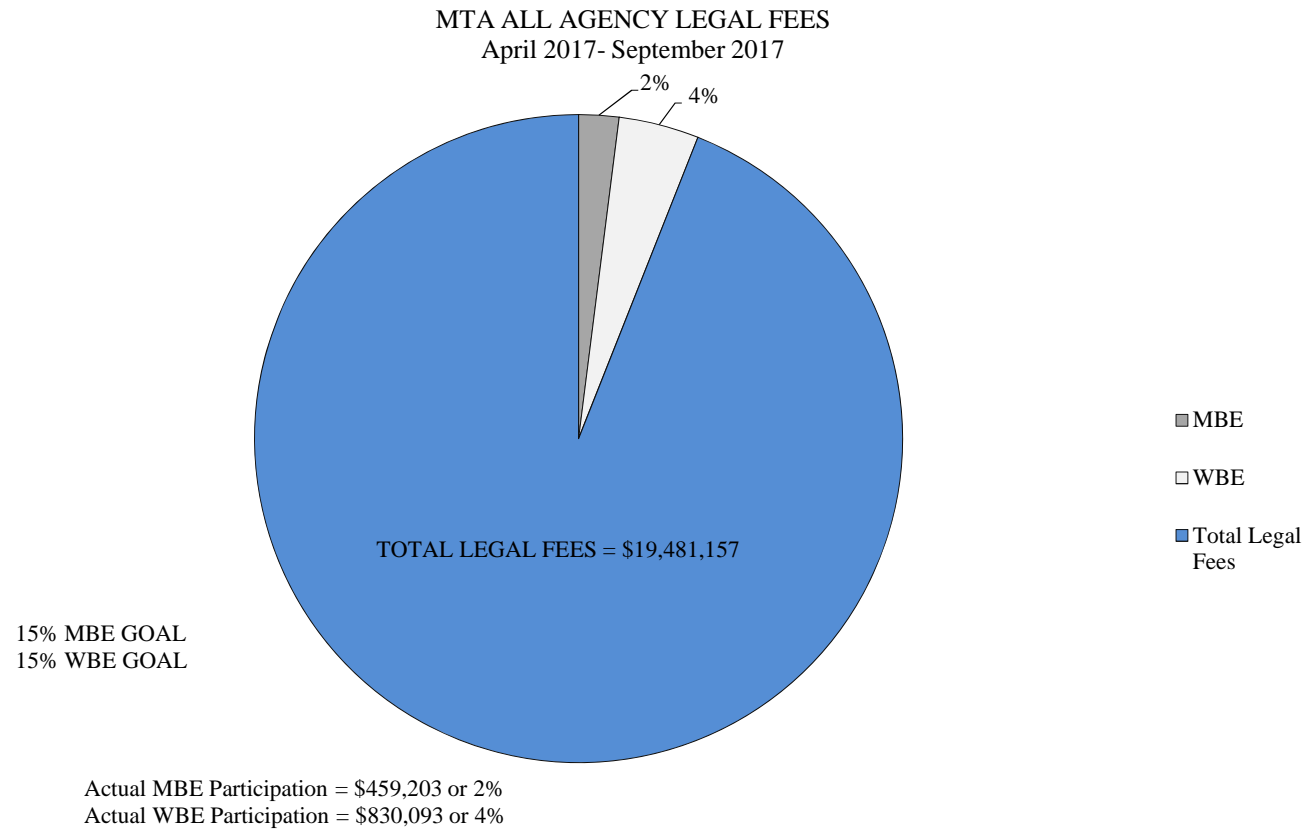
9000006469	\$164,667.00
9000006469	\$164,667.00
9000006485	\$123,587.00
9000006485	\$123,587.00
9000006568	\$216,944.00
9000006568	\$216,944.00
9000006689	\$139,264.11
9000006689	\$139,264.11
9000006782	\$108,350.55
9000006782	\$108,350.55
9000006893	\$113,519.40
9000006893	\$113,519.40
9000006415	\$219,966.29
9000006547	\$222,169.98
9000006736	\$196,232.00
9000006770	\$143,029.00
9000006822	\$357,548.00
9000007138	\$78,804.50
9000007139	\$78,804.50

**187**

**\$30,732,784.94**

MTA ALL AGENCY LEGAL FEES APRIL 2017 - SEPTEMBER 2017





**MTA ALL AGENCY LEGAL FEES PAID  
APRIL 2017 THROUGH SEPTEMBER 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>MWBE FEES PAID</b>	<b>Agency MWBE PARTICIPATION</b>
B & T	\$99,951.60	\$17,361.98	17.4%	\$0.00	0.0%	\$17,361.98	17.4%
LIRR	\$880,351.00	\$21,921.00	2.5%	\$57,814.00	6.6%	\$79,735.00	9.1%
MTABUS	\$2,137,204.83	\$129,276.95	6.0%	\$174,537.55	8.2%	\$303,814.50	14.2%
MTACC	\$209,637.00	\$0.00	0.0%	\$182,660.00	87.1%	\$182,660.00	87.1%
MTAHQ	\$9,409,011.15	\$187,803.00	2.0%	\$152,258.85	1.6%	\$340,061.85	3.6%
MNR	\$966,895.59	\$86,498.48	8.9%	\$149,345.91	15.4%	\$235,844.39	24.4%
NYCTA	\$5,778,105.66	\$16,342.06	0.3%	\$113,476.68	2.0%	\$129,818.74	2.2%
<b>TOTAL</b>	<b>\$19,481,157</b>	<b>\$459,203</b>	<b>2.4%</b>	<b>\$830,093</b>	<b>4.3%</b>	<b>\$1,289,296.46</b>	<b>6.6%</b>

# Metropolitan Transportation Authority Department of Diversity and Civil Rights

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

December 13, 2017



# MTA Headquarters DDCR Update

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

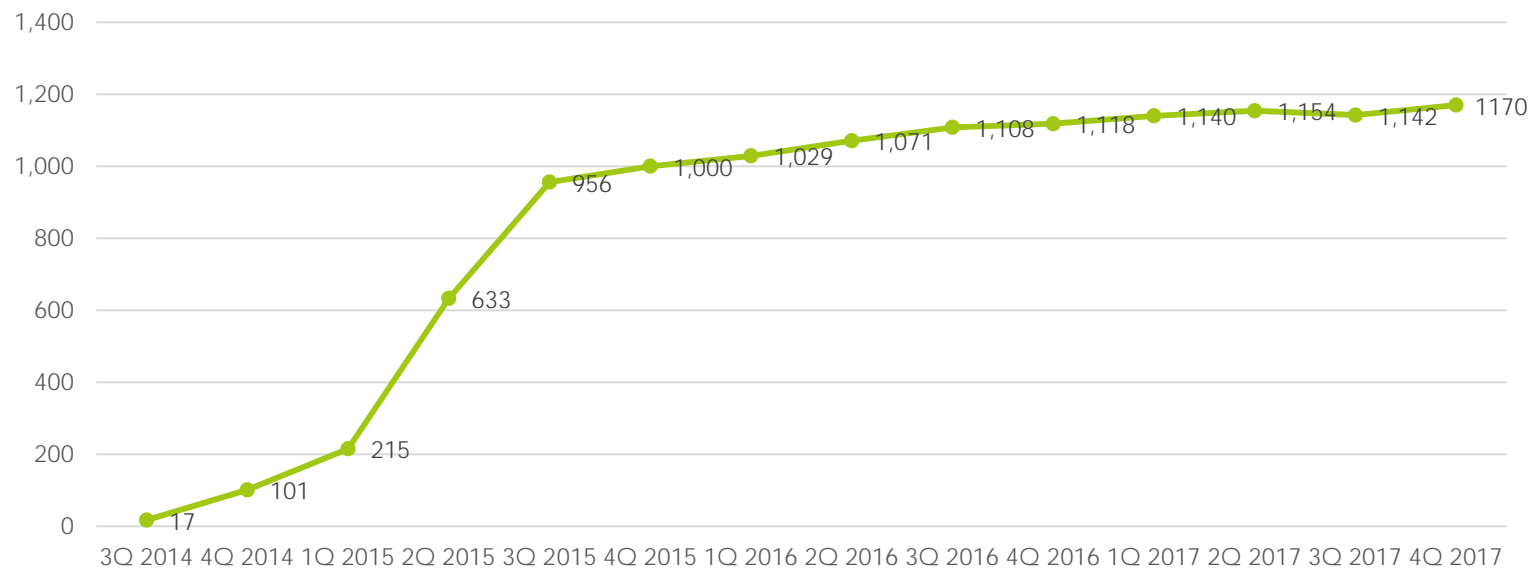
Inactive Contracts with Goals	Number of Contracts
1. Total Contracts Reviewed and Closed	878
2. Contracts Administratively Closed	292 <sup>1</sup>
Sub-Total	1,170 (95%)
3. Closeouts in Progress	19
4. Contracts Pending Agency Action	48
Total	1,237 <sup>2</sup> (100%)

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 October 31, 2017.



# MTA Headquarters DDCR Update

DDCR Contract Closeout Progression  
8/12/2014 through 10/31/2017





# Metropolitan Transportation Authority Department of Diversity and Civil Rights

Project Site Visits  
as of October 31, 2017

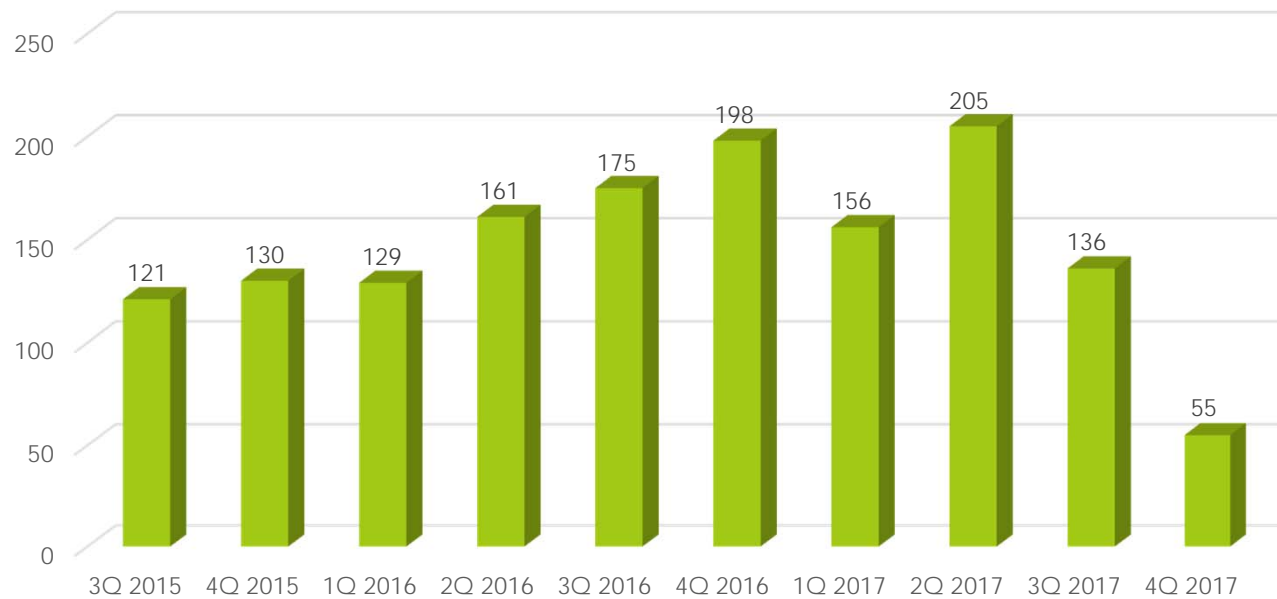
December 13, 2017



# MTA Headquarters DDCR Update

DDCR Project Site Visits: 3Q 2015 - 4Q 2017\*

Total Site Visits Performed = 1,466



\*As of October 31, 2017.



# MTA Headquarters DDCR Update

DDCR Project Site Visits: January - October 2017

AGENCY	MONTH										TOTAL TO DATE	AVG PER MONTH
	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT		
MTAHQ	11	8	8	3	9	1	0	7	5	8	47	6.71
NYCT / MTACC	26	22	15	47	29	32	29	21	20	25	221	27.63
B&T	13	11	8	9	18	13	7	4	0	0	83	10.38
MNR	7	0	3	6	7	6	8	7	8	11	44	6.29
LIRR	9	8	7	8	9	8	7	6	7	11	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>40</b>	<b>55</b>	<b>552</b>	<b>55.20</b>



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

M/WBE, DBE, and SDVOB Participation on  
Capital Projects

December 13, 2017



# M/WBE, DBE, and SDVOB Participation on Capital Projects

## MWDBE and SDVOB Awards on MTA Capital Projects with Goals\*

- Federal Participation Goal: 17%\*\*      Actual DBE Participation: 16%
  - Total Awards: \$996M\*\*\*
  - Total DBE Awards \$158M
- NYS MBE Participation Goal: 15%      Actual MBE Participation: 14%
  - Total Awards: \$547M\*\*\*
  - Total MBE Awards \$75M
- NYS WBE Participation Goal: 15%      Actual WBE Participation: 11%
  - Total Awards: \$547M\*\*\*
  - Total WBE Awards \$59M
- NYS SDVOB Participation Goal: 6%      Actual SDVOB Participation: 0%

\*Excludes Rolling Stock and Signals

\*\* Total Awards figures provided by DDCR

\*\*\* As of October 1, 2017, MTA's DBE Goal is 18%



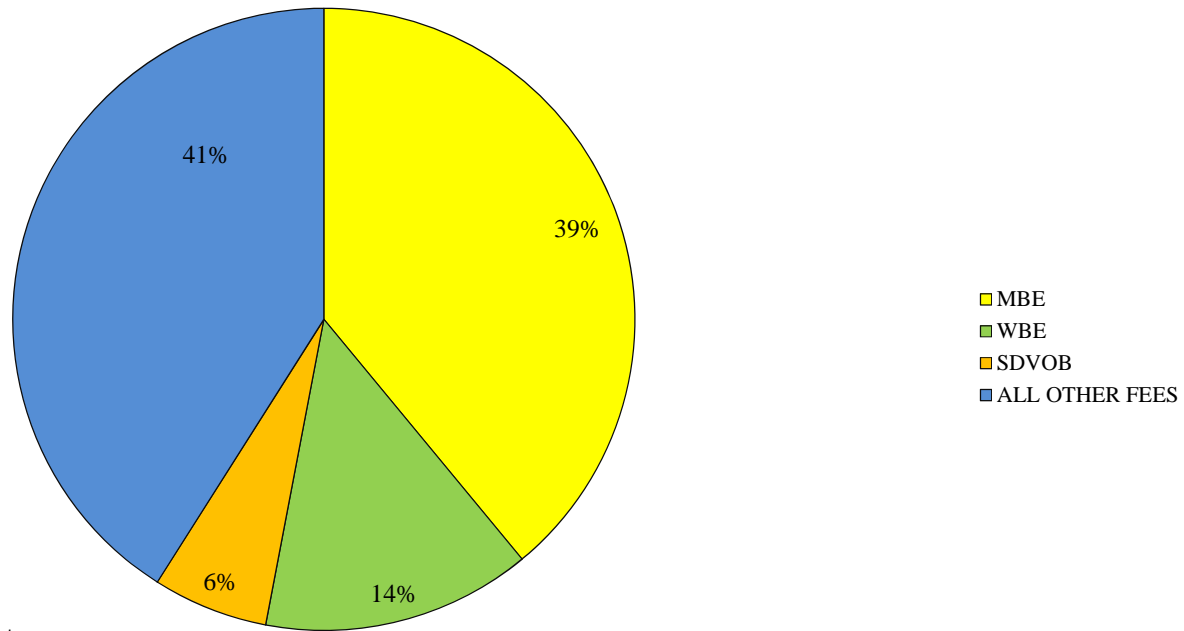
# Metropolitan Transportation Authority Department of Diversity and Civil Rights

Financial Services

December 13, 2017



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



Actual MBE Participation = \$1,506,068 or 39%  
Actual WBE Participation = \$537,292 or 14%  
Actual SDVOB Participation \$236,993 6%  
All Other Underwriting Fees =\$1,597,255 or 41%  
Total Underwriting Fees = \$3,877,608

# Metropolitan Transportation Authority Department of Diversity and Civil Rights

Asset Fund Managers

December 13, 2017

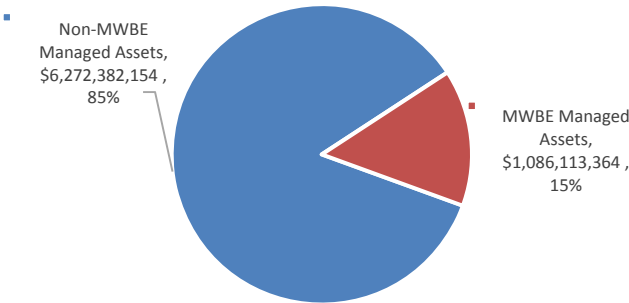




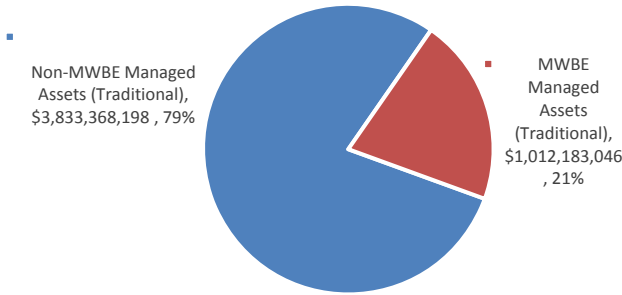
# MTA Sponsored Plans – MWBE Participation

As of September 30, 2017

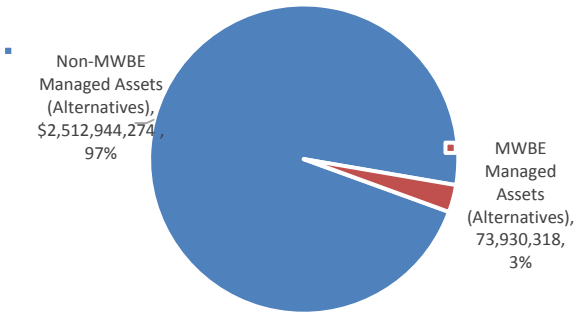
Combined Plans - Total Assets



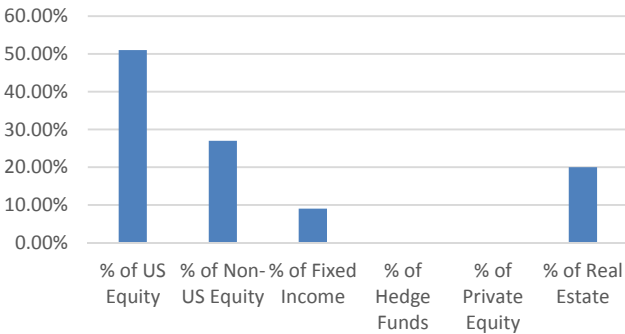
Combined Plans - Traditional Investments



Combined Plans- Alternative Investments



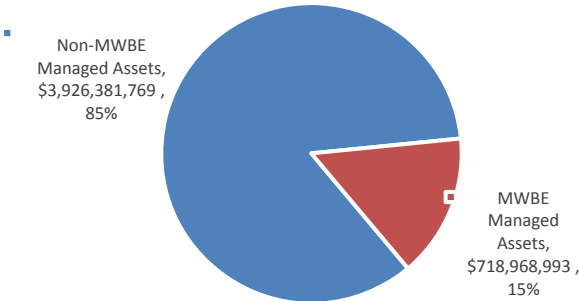
MWBE Managed Assets by Asset Class



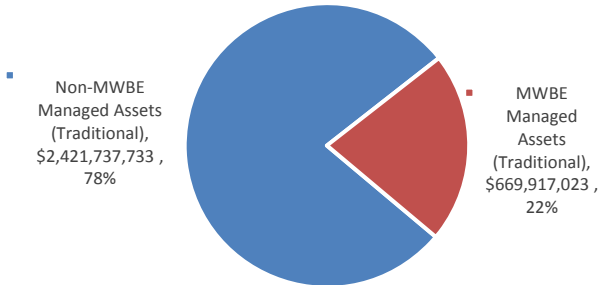
# MTA Sponsored Plans – MWBE Participation

As of September 30, 2017

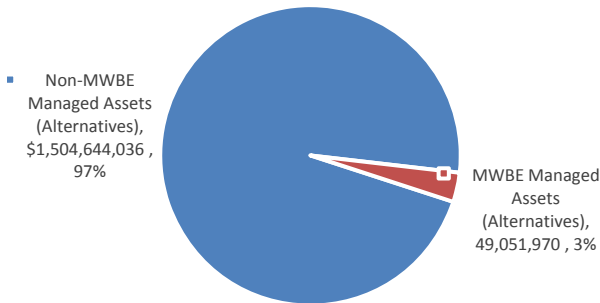
MTA Defined Benefit - Total Assets



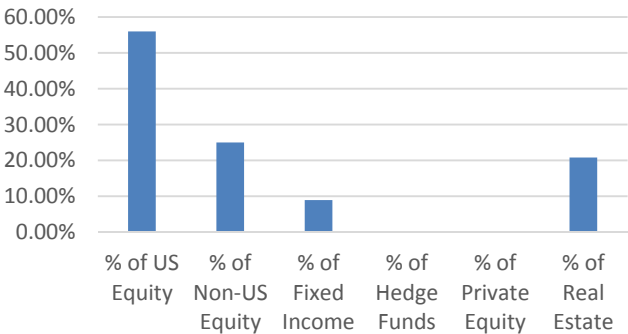
MTA Defined Benefit - Traditional Investments



MTA Defined Benefit - Alternative Investments



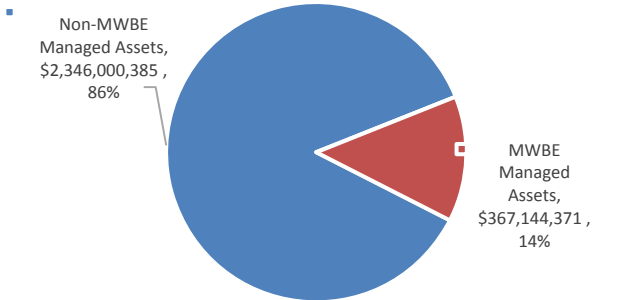
MWBE Managed Assets by Asset Class



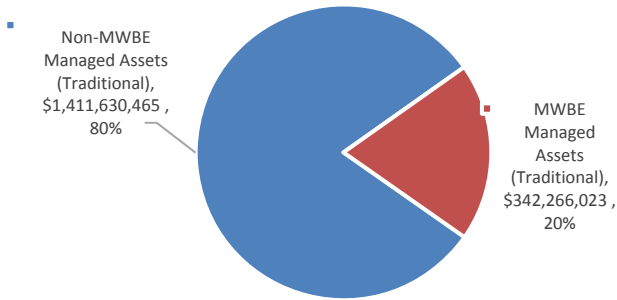
# MTA Sponsored Plans – MWBE Participation

As of September 30, 2017

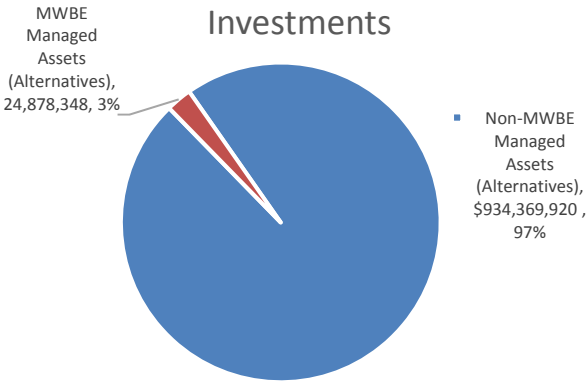
MaBSTOA - Total Assets



MaBSTOA - Traditional Investments



MaBSTOA - Alternative Investments



MWBE Managed Assets by Asset Class

