



Metropolitan Transportation Authority

Diversity Committee Meeting

February 2018

Committee Members

J. Molloy, Chairman

D. Jones

S. Metzger

P. Ward

N. Zuckerman

Diversity Committee Meeting

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

**Tuesday, 2/20/2018
3:00 - 4:00 PM ET**

1. PUBLIC COMMENT PERIOD

2. APPROVAL OF MINUTES-SEPTEMBER 27, 2017 AND DECEMBER 13, 2017

September 2017 Diversity Committee Meeting Minutes - Page 4

December 2017 Diversity Committee Meeting Minutes - Page 13

3. 2018 DIVERSITY COMMITTEE WORK PLAN

2018 Diversity Committee Work Plan - Page 18

4. 2018 DEPARTMENTAL GOALS UPDATE

2018 Departmental Goals Update - Page 22

5. EXECUTIVE SUMMARY

Executive Summary - Page 23

6. BUSINESS AND DIVERSITY INITIATIVES

Business and Diversity Initiatives - Page 36

7. DBE CERTIFICATION ACTIVITY REPORT

DBE Certification Activity Report - Page 39

8. FOURTH QUARTER 2017 EEO ACTIVITIES

MTA Wide Diversity 4th Quarter 2017-Final - Page 41

9. AGENCY STRATEGIES TO ADDRESS UTILIZATION

Chief Diversity Officer Presentation HQ - Page 65

MTA Police Chief Presentation MTAPD - Page 69

President's Presentation MTACCC - Page 73

President's Presentation B&T - Page 77

President's Presentation MNR - Page 81

President's Presentation LIRR - Page 85

President's Presentation Bus - Page 89

President's Presentation NYCT - Page 93

10. SMALL BUSINESS DEVELOPMENT PROGRAM UPDATE

SBDP Update - Page 97

11. M/W/DBE & SDVOB CONTRACT COMPLIANCE FOURTH QUARTER 2017 REPORT

MWDBE Contract Compliance - Page 126

12. M/W/DBE and SDVOB CAPITAL PROJECTS

M/W/DBE CAPITAL PROJECTS - Page 159

13. FINANCIAL SERVICES

Financial Services - Page 161

14. ASSET FUND MANAGERS

Asset Fund Managers - Page 163

15. MTA EEO POLICIES

Equal Employment Opportunity - Page 167

Sexual and Other Discriminatory Harassment - Page 169

Americans with Disabilities Act - Page 172

MTA DIVERSITY COMMITTEE

Meeting Minutes

2 Broadway, 20th 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, Acting 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

William 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 attend 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 B&T has appointed 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 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 which 33 (80%) are women, and 24 (59%) 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 said B&T will also launch its fourth class of MAs to address underrepresentation of females in the 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.

MTA Diversity Committee Meeting Minutes, Wednesday, September 27 2017

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 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 said 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 its 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 100th 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.

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 2018 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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MTA DIVERSITY COMMITTEE

Meeting Minutes

2 Broadway, 20th Floor

New York, NY 10004

Wednesday, December 13, 2017

8 a.m.

The following Committee members were present:

Hon. John Molloy, Chairman

Hon. Peter Ward

The following Committee members were absent:

Hon. David Jones

Hon. Neal Zuckerman

Hon. Susan G. Metzger

The following were also present:

Patrick Foye, President, MTA

Veronique “Ronnie” Hakim, Managing Director, MTA

Donna Evans, Chief of Staff, MTA

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

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

Sean Crawford, MTA Chief Investment Officer

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

William Howell, Consultant, SBDP, DDCR

L. Danny Camacho, Manager, Certification, DDCR

Satori Samuda, Assistant Deputy Chief Diversity Officer, DDCR

David Sang, Manager, EEO, DDCR

Patricia Lodge, Vice President, Human Resources, New York City Transit (“NYCT”)

Michael Collins, Assistant Vice President, EEO & Diversity, NYCT

Patrick Smith, Chief Officer, Human Resource Strategic and Business Partnerships, NYCT

Michael Fyffe, Director, Diversity Management, Long Island Rail Road (“LIRR”)

Shawn Moore, Acting Vice President & Chief of Staff, Bridges and Tunnels (“B&T”)

Albert Rivera, Executive Vice President, B&T

MTA Diversity Committee Meeting Minutes, Wednesday, December 13, 2017

Peggie Willens, Audit Manager, MTA Office of Inspector General
Alison MacGregor, Deputy General Counsel
Patrick Isom, Manager, Financial Analysis, MTA Headquarters (“MTAHQ”)
Craig Cipriano, Executive Vice President, Business Strategies and Operations Support, MTA Bus
David Cannon, Vice President & Chief Procurement Officer, Law and Procurement, MTA Capital Construction (“MTACC”)
Melissa Jones, Manager, Compliance, MTACC
Joel Andrews, Chief Officer, Office of EEO, NYCT
Helene Fromm, Acting General Counsel, MTA General Counsel
Eamonn Foley, Special Counsel, NYCT
Shibu Jacob, Manager, Diversity Management, LIRR
Vernessa Moses, Assistant Vice President, EEO, MTA Bus
Michael Wetherell, Director, Office of Construction Oversight
Barry Kluger, Inspector General, IG
Paige Graves, General Counsel, MTA Bus
Alberto Richardson, Operations Analysis Officer, MTA Bus

Public Speaker

There were no public speakers.

Approval of Minutes

A vote on the minutes of the meeting held on September 27, 2017 will take place at the following Diversity Committee Meeting.

2017 & 2018 Diversity Committee Work Plans

Chairman Molloy asked if there were any changes to the 2017 Work Plan. Mr. Din stated that there were no changes to the 2017 work plan. He said that the 2018 Work Plan is also included in the committee materials for review.

Executive Summary

Business and Diversity Initiatives

Mr. Din provided an update on various events that DDCR has organized and/or attended to reach out to MWDBEs, Service Disabled Veteran-Owned Businesses (“SDVOBs”), and other small businesses. Mr. Din highlighted the MWBE Forum in Albany in which President Foye spoke. He said this is the largest forum of its kind in the country. In addition, Mr. Din said MTA attended the Veterans in Transition Conference (“VETCON”) in November 2017. He said this event is designed to extend business opportunities to SDVOBs. Additionally, Mr. Din said an outreach session for MTA’s outside counsel was held in December, in order to increase MWBE participation in this area. He said another such event will be held in January 2018.

DBE Certification Activity Report

Mr. Din reported on the DBE certification activity for the third quarter of calendar year 2017. He said that 32 new applications were received. He said the number of new applications is higher

MTA Diversity Committee Meeting Minutes, Wednesday, December 13, 2017

when compared with the same period last year but remained the same as in the previous year. He said a total of 25 applications for DBE certification were processed. He said the number of applications processed was lower when compared with the same period in the previous two years. Mr. Din the number of applications returned has steadily decreased. However, he said, the number of applications which has been withdrawn has increased.

Third Quarter 2017 EEO Activities

Mr. Din reported that the MTA's overall workforce is comprised of over 73,600 employees, of which over 13,000 (18%) are women, and over 50,000 (68%) are minorities. Additionally, Mr. Din said over 1,800 (3%) of the employees are veterans.

Mr. Din also reported that the percentage of women in the workforce has increased by 6%, compared to the third quarter of 2016. He said the percentage of minorities has increased by 45 compared to the third quarter of 2016. Mr. Din reported that MTA hired over 5,800 employees, of which 1,491 (26%) are women, 4,442 (76%) are minorities, and 160 (3%) are veterans.

Mr. Din also provided an update on MTA-wide EEO complaint activity. He said that MTA and its agencies handled a total of 511 EEO complaints, of which 293 were internal and 218 were external complaints. Mr. Din added that MTA and its agencies handled a total of 339 Title VI complaints.

SBDP Update

Mr. Cleary provided an update on the SBDP. He said currently 284 firms are participating in the program. He said since program inception \$27.4 million in prime contracts has been awarded. Mr. Cleary said that in addition, 100 project loans have been approved for \$13.9 million since program inception and 86 projects have been completed with loans. He stated that since inception, \$242 million in single surety bonding and \$460 million in aggregate bonding has been provided for Tier 2 of the program and for the Small Business Federal Program. He said approximately 6,489 jobs have been created within the small business community, including the MWDBE/SDVOB community.

Mr. Garner stated that MTA did not meet its program goals in the previous two years. He said he is meeting with the MTA agencies to ensure that they are assigning projects to this program in order to reach the \$146 million program goal this year. Mr. Garner also stated that the MTA needs to more effectively integrate more diverse firms in this program. He said DDCR is working with the MTA agencies to debundle large contracts in order to offer greater participation to MWDBEs and SDVOBs.

Interagency Task Force

Mr. Din stated that regular meetings of the task force will be scheduled in 2018. Mr. Garner said the goal of this task force is to address discuss MWDBE issues at the operating agencies.

M/W/DBE Contract Compliance Third Quarter 2017 Report

Mr. Din reported that 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%). He said the overall DBE goal for 2017 is 17%. He reported that a total of \$1.4 billion was paid to prime contractors in federally-funded contracts, with DBE participation of \$285 million (21%), exceeding the overall DBE goal.

Mr. Din said that the overall MWBE goal is 30%. He said for New York State fiscal year 2016-2017, \$1.3 billion was awarded in state-funded contracts, with MWBE participation of approximately \$200 million (15%). He reported that a total of \$1.2 billion was paid to prime contractors with MWBE participation of approximately \$285 million (25%).

Mr. Din also reported on SDVOB participation. He said overall participation goal is 6%. He reported that for New York State fiscal year 2017-2018, \$1.1 million was awarded to SDVOBs. In terms of payments, Mr. Din reported that out of \$1 billion paid, SDVOB share was \$949,134 (0.1%). Mr. Garner said one of the challenges is that many SDVOBs are located in upstate New York. He said MTA is working to increase SDVOB participation. Mr. Garner said MTA has continued to achieve its 6% goal in the area of underwriter fees.

Mr. Din said for discretionary procurements, out of a total of approximately \$202 million, with a value of \$400,000 or less, approximately \$43 million (21%) was awarded to MWBEs, and an additional \$7 million (4%) was awarded to Small Business Concerns.

Mr. Din said for architectural and engineering awards through the discretionary procurement process, from January to September 2017, five projects were awarded, totaling \$588,413. He said since inception, \$1.6 million has been awarded. He said for IT discretionary spending, a total of 187 awards were made with the value of \$31 million. He said since inception \$51.4 million has been awarded. Mr. Garner said the credit belongs to the MTA Business Service Center for doing a great job. Mr. Din reported that MWBE law firms received \$1.3 million (6.6%) out of a total of \$19.5 million paid in outside counsel fees. Mr. Garner said he is working with the MTA agencies to increase MWBE participation in the area of outside counsel fees.

Mr. Din reported that DDCR has closed 1,170 contracts along with additional contracts that are either pending agency action or are in the process of being closed. He said DDCR continues to make great progress in conducting project site visits. He reported that from January to October 2017, 552 such visits were conducted.

M/W/DBE Capital Projects

Mr. Din reported that in 2017 approximately \$996 million was awarded in federally funded construction projects, with DBE participation of \$158 million (16%). He said \$547 million was awarded in state funded construction projects with MBE participation of \$75 million (14%), and WBE participation of \$59 million (11%).

Financial Services

Mr. Isom reported that for underwriter fees for bond transactions during the first two quarters of state fiscal year 2017-2018, \$3.9 million was awarded with MBE participation of \$1.5 million (39%), and WBE participation of \$537 million (14%). Mr. Isom added that an SDVOB participation of \$237,000 (6%) was also achieved, meeting MTA's goal.

Mr. Garner asked about total MWBE and SDVOB participation. Mr. Isom said it is approximately 56%. Mr. Garner said this is the highest participation rate of any MTA agency and the highest in the state. He congratulated Mr. Isom and his department for doing a great job.

Asset Fund Managers

Mr. Crawford said that as of September 30, 2017, MWBEs represented over \$1 billion (15%) of combined assets in the pension funds, with non-MWBEs representing \$6.3 billion (85%). He said MWBE portion grew by \$56 million (5.4%) during the last quarter. Mr. Crawford said that MTA is continuing its efforts to increase MWBE participation in this area. Mr. Garner asked how does \$1 billion assets being managed by MWBEs compare with city and state comptroller's offices. Mr. Crawford said that is a tough comparison because they each have an Emerging Managers Program. He said their totals assets managed by MWBEs are approximately 15%. Mr. Crawford said with Emerging Managers Program our MWBE participation would be around 20%.

Mr. Garner 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

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2018 Diversity Committee Work Plan

I. RECURRING AGENDA ITEMS

Responsibility

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

II. SPECIFIC AGENDA ITEMS

Responsibility

February 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 rd 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

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 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

The Department of Diversity and Civil Rights will present 2017 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 2018

1st Quarter 2018 Report

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

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September 2018

2nd Quarter 2018 Report

The Department of Diversity and Civil Rights will present 2nd 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

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

December 2018

3rd Quarter 2018 Report

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

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

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

2019 Diversity Committee Work Plan

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

DEPARTMENT OF DIVERSITY AND CIVIL RIGHTS

2018 DEPARTMENTAL GOALS UPDATE

GOALS	STATUS
Small Business Development Program Training.	Ongoing. Training will resume in March 2018.
The MTA Mentor/Graduate Mentor Programs (Tier 1 and Tier 2) has committed projects to award of approximately \$80 million from August 2017 through July 2018.	From Program inception in November 2010 through December 2017, MTA has awarded approximately \$193 million in contract awards. Of this amount, approximately \$143 million (74%) was awarded to MWBEs.
MTA Small Business Federal Program for federally funded contracts has committed projects to award of approximately \$34 million from August 2017 through July 2018.	From Program inception in March 2013 through December 2017, \$77.4 million has been awarded. Of this amount, \$34.8 million (45%) was awarded to DBEs.
Work with Empire State Development to formulate a procurement strategy for increased awards to M/WBEs.	Ongoing.
Minority Supplier Development Program for subway car and bus manufacturers.	Ongoing.
Achieve MTA's 30% M/WBE goal and 18% DBE goal.	For the period April through December 2017, MTA achieved 25% MWBE participation in payments on its state funded projects. The MWBE participation represents three quarters of the state fiscal year. For the period October to September 2017, MTA achieved 16% DBE participation in contract awards. As of October 2017, MTA's overall DBE goal increased from 17% to 18%.
Achieve 30% MWBE participation in outside counsel fees.	Ongoing.
Implement a mentoring program within Paratransit.	Currently in planning stages.
MWDBE Outreach events in the suburban counties within the MTA service region.	Ongoing.

Metropolitan Transportation Authority Department of Diversity and Civil Rights

Executive Summary

February 20, 2017



Executive Summary

■ Business and Diversity Initiatives (full report on page 36)

- 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 39)

- A total of **123** applications for DBE certification were **received** in 2017. The number of new applications is higher than the number of applications received during the last two years.
- A total of **127** applications for DBE certification were **processed**. The number of applications processed is lower than the number processed last year but is higher than the previous year.



Executive Summary

■ EEO(full report on page 41)

- MTA's overall workforce is currently comprised of **74,500** employees; of which **13,441 (18%)** are Females,* **50,999 (68%)** are Minorities and **1,885 (3%)** are Veterans.**
- The percentage of Females in the workforce has **increased** by **5% (695)** as compared to the fourth quarter 2016. As it relates to Race/Ethnicity, the percentage of minorities has **increased** by **2,158 (4%)** compared to the fourth quarter 2016.
- MTA Agencies conducted an availability analysis of females and minorities in its workforce. The availability analysis consists of comparing MTA Agencies **December 31, 2017** workforce percentages for females and minorities to 80 percent of the females and minorities available within the relevant labor market.
- Based on the availability analysis, **Females, Asians, Blacks and Hispanics** were underrepresented in some of the job categories at the Agencies. A majority of the underrepresentation occurred within the Skilled Craft and Service Maintenance job categories.



*Includes minorities, non-minorities, and veterans

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

**Minorities and Non-minorities

Executive Summary

- **EEO**(full report on page 56)
 - MTA Agencies hired **7,605** employees; of which **1,874 (25%)** are Females,^{*} **5,792 (76%)** are Minorities and **222 (3%)** are Veterans.^{**}
 - Females were **hired at higher** percentage compared to their current representation of **18%** in the workforce. Minorities were **hired at higher** percentage compared to their current representation of **68%** in the workforce.
 - MTA Agencies handled a total of **586** EEO complaints; of which **340** were internal and **246** were external.
 - MTA Agencies handled a total of **404** Title VI complaints.



^{*}Includes minorities, non-minorities, and veterans

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

^{**}Minorities and Non-minorities

Executive Summary

The table below is a snapshot as of **December 31, 2017** of each agency's numbers of employees, percentage of Race/Ethnicity, Gender and Veterans.

JOB CATEGOR	Gender	TOTAL		Minorities		BLACKS		HISPANICS		ASIANS		AI/AN		NHOPI		2+ Races		WHITES		VETERANS	
		#	%	#	%	#	#	#	%	#	%	#	%	#	%	#	%	#	%	#	%
B&T	Total	1,413		776	55%	362	26%	254	18%	97	7%	5	0%	1	0%	57	4%	637	45%	87	6%
	F	318	23%	249	18%	149	11%	59	4%	26	2%	2	0%	0	0%	13	1%	69	5%	10	11%
	M	1,095	77%	527	37%	213	15%	195	14%	71	5%	3	0%	1	0%	44	3%	568	40%	77	89%
BUS	Total	4,128		3175	77%	1,855	45%	798	19%	335	8%	8	0%	14	0%	165	4%	953	23%	42	1%
	F	527	13%	470	11%	307	7%	121	3%	23	1%	1	0%	0	0%	18	0%	57	1%	3	7%
	M	3,601	87%	2705	66%	1,548	38%	677	16%	312	8%	7	0%	14	0%	147	4%	896	22%	39	93%
CCC	Total	138		76	55%	20	14%	13	9%	39	28%	1	1%	0	0%	3	2%	62	45%	2	1%
	F	46	33%	31	22%	11	8%	6	4%	13	9%	0	0%	0	0%	1	1%	15	11%	0	0%
	M	92	67%	45	33%	9	7%	7	5%	26	19%	1	1%	0	0%	2	1%	47	34%	2	100%
HQ	Total	2,767		1552	56%	627	23%	354	13%	435	16%	7	0%	2	0%	127	5%	1,215	44%	60	2%
	F	934	34%	670	24%	347	13%	123	4%	141	5%	0	0%	1	0%	58	2%	264	10%	7	12%
	M	1,833	66%	882	32%	280	10%	231	8%	294	11%	7	0%	1	0%	69	2%	951	34%	53	88%
LIRR	Total	7,374		2641	36%	1,275	17%	824	11%	299	4%	23	0%	4	0%	216	3%	4,733	64%	506	7%
	F	1,117	15%	573	8%	353	5%	125	2%	56	1%	2	0%	1	0%	36	0%	544	7%	25	5%
	M	6,257	85%	2068	28%	922	13%	699	9%	243	3%	21	0%	3	0%	180	2%	4,189	57%	481	95%
MNR	Total	6,700		2546	38%	1,371	20%	713	11%	208	3%	26	0%	1	0%	227	3%	4,154	62%	570	9%
	F	867	13%	544	8%	318	5%	123	2%	62	1%	4	0%	1	0%	36	1%	323	5%	25	4%
	M	5,833	87%	2002	30%	1,053	16%	590	9%	146	2%	22	0%	0	0%	191	3%	3,831	57%	545	96%
NYCT	Total	51,980		40233	77%	24,250	47%	8,488	16%	6,142	12%	101	0%	21	0%	1,231	2%	11,747	23%	618	1%
	F	9,632	19%	8858	17%	6,640	13%	1,413	3%	531	1%	16	0%	4	0%	254	0%	774	1%	54	9%
	M	42,348	81%	31375	60%	17,610	34%	7,075	14%	5,611	11%	85	0%	17	0%	977	2%	10,973	21%	564	91%
Total		74,500		50,999	68%	29,760	40%	11,444	15%	7,555	10%	171	0%	43	0%	2,026	3%	23,501	32%	1,885	3%

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



Executive Summary

- **Agency Strategies to Address Utilization** (full report on page 65)
 - MTA Presidents provided strategies to improve workforce diversity for their respective agencies (HQ, MTAPD, MTACC, B&T, MNR, LIRR, Bus and NYCT)



EXECUTIVE SUMMARY

- ❑ **Small Business Development Program Update** (full report on page 97)
- ❑ **273** firms currently prequalified in the SBDP
 - ❑ **29** Emerging Contractors
 - ❑ **174** Tier 1 Contractors
 - ❑ **70** Tier 2/Federal Program Contractors
- ❑ **296** Projects Totaling **\$278M** in Prime Contract Awards
- ❑ **101** project loans for **\$14.0M** 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

■ MWDBE and SDVOB Contract Compliance (full report on page 126)

- 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, **\$2.75 billion** was awarded in state-funded contracts, with MWBE participation of **\$413 million (15%)**. A total of **\$1.85 billion** was paid to prime contractors with MWBE participation of **\$478 million (25%)**.
- The overall SDVOB goal is **6%**. During, 2017, **\$2.3 million** was awarded to SDVOBs. A total of **\$1.8 billion** was paid to prime contractors with SDVOB participation of **\$3 million (0.17%)**.
- For discretionary procurements, out of a total of **\$328.3 million** with a value of **\$400,000 or less**, **\$62 million (19%)** was awarded to MWBEs, and **\$9.5 million (3%)** was awarded to Small Business Concerns.

* As of October 1, 2017, MTA's overall DBE goal has increased to 18%.



Executive Summary

- For Architectural and Engineering awards through discretionary procurement, from January to December 2017, 6 projects have been awarded to MWBEs, totaling \$649,423. Since inception \$1.6 million has been awarded to MWBEs.
- For IT discretionary, a total of 194 awards were made, with the value of \$31.5 million. Since inception \$50 million has been awarded.
- For the reporting period, MWBE law firms received \$2.6 million (8%) out of a total of \$34.7 million paid in outside counsel fees.
- As of January 31, 2018, DDCR has closed 1,185 contracts, with an additional 25 contracts in the process of being closed, and 47 contracts are pending agency action. DDCR conducted 696 site visits from January 2017 through January 2018. On average each manager is required to conduct at least eight site visits per month.



Executive Summary

- **MWDBE Capital Projects** (full report on page 159)
 - For calendar year 2017, **\$1 billion** was awarded in federally-funded construction projects, including **\$162 million (16%)** awarded to DBEs. **\$712 million** was awarded in state-funded construction projects, including **\$92 million (13%)** awarded to MBEs, and **\$70 million (10%)** awarded to WBEs. The total MWBE participation is **23%**. There was no additional SDVOB participation.



Executive Summary

- **Financial Services** (full report on page 161)
 - From April 2017 to December 2017, \$15 million was awarded in underwriter fees. MBE participation was \$3.4 million (22%), and WBE participation was \$2.4 million (16%). An additional \$921,492 (6%) was paid to SDVOBs.



Executive Summary

- **Asset Fund Managers – MWBE Participation Combined Plans** (full report on page 163)
 - Total assets managed by MWBEs are \$ 1.1 billion; or 15 % of total assets
 - Total assets managed by MWBEs grew by over \$57 million in 4Q17, or 5.2%
 - The majority of assets are in traditional asset classes
 - Traditional assets managed by MWBEs: \$1.1 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
 - Robust pipeline of potential investments in hedge funds and private credit
- Continue to actively source new relationships and investment managers
 - Engaged with investment consultants, industry groups, custodians, and brokers
 - Held over 70 meetings with MWBE investment firms in 2017
 - 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

February 20, 2018



Business and Diversity Initiatives

December 2017

2017 Hispanic Business Award & Scholarship Ceremony

DDCR presents "Meet and Greet MWBE Legal Services Forum"

Tutor Perini DBE Networking Outreach Event

National Minority Business Council Procurement Opportunity Forum and Mini
Business Expo

January 2018

DDCR presents DBE Certification Workshop

Women's Chamber of Commerce presents "Power Her Breakfast with NYS
Assemblywoman Inez E. Dickens"

Lehman College Small Business Development Corporation presents MWDBE
Event on "How to do Business with the MTA".



Business and Diversity Initiatives

January 2018

(continued)

MTA DDCR presents "Special Presentation of Opportunities for MWBE Law Firms"

DDCR presents New Firm Orientation Session

City and State Magazine's P3 Summit – Panel Discussion

February 2018

The 21st Annual Wall Street Project Economic Summit "The Financial Emancipation of People of Color"

MTA DDCR presents "IBM Information Technology MWBE Networking Event"

Annual NYS Black and Puerto Rican Legislators Conference

Association of Minority Enterprise of New York Business Conference

MTA and COMTO present "A Celebration of Black-Owned Businesses-Sharing Best Practices to Strengthen Our Community"

National Minority Business Council's 37th Annual Awards Luncheon and Expo.



Metropolitan Transportation Authority Department of Diversity and Civil Rights

DBE Certification Activity Report

February 20, 2018



MTA DBE Certification Unit

CERTIFICATION APPLICATIONS RECEIVED 2015-2017

	2017	2016	2015
January	13	6	6
February	8	11	6
March	14	7	8
April	9	7	4
May	8	14	9
June	9	13	11
July	11	10	9
August	14	14	5
September	7	5	9
October	9	15	8
November	16	5	7
December	5	13	12
TOTAL	123	120	94

CERTIFICATION ACTIVITY FOR NEW APPLICATIONS 2015-2017

	2017	2016	2015
CERTIFIED	60	69	59
DENIED	0	3	3
RETURNED	40	47	29
INELIGIBLE	0	0	0
WITHDRAWN	27	15	16
TOTAL	127	134	107



Metropolitan Transportation Authority Department of Diversity and Civil Rights

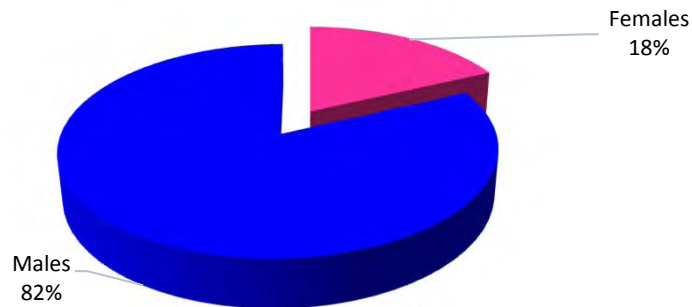
MTA-Wide Workforce
As of December 31, 2017

February 20, 2018

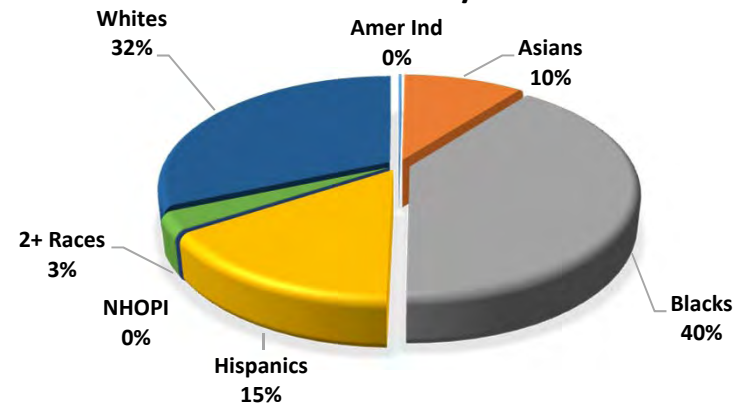


MTA-Wide Workforce as of December 31, 2017

WORKFORCE BY GENDER



WORKFORCE BY RACE/ETHNICITY



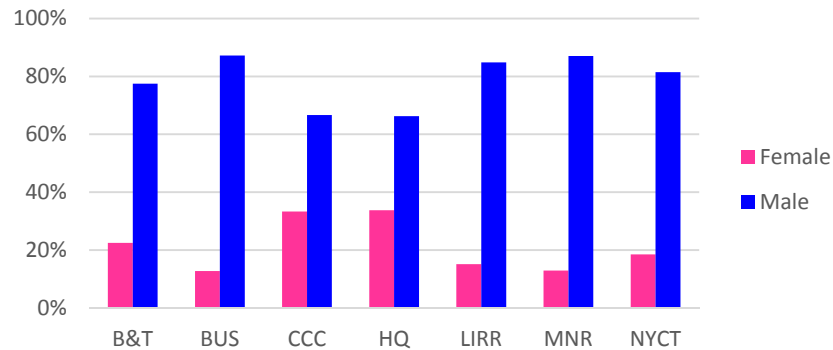
MTA Authority-wide consist of **74,500** employees.

- ❑ **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.

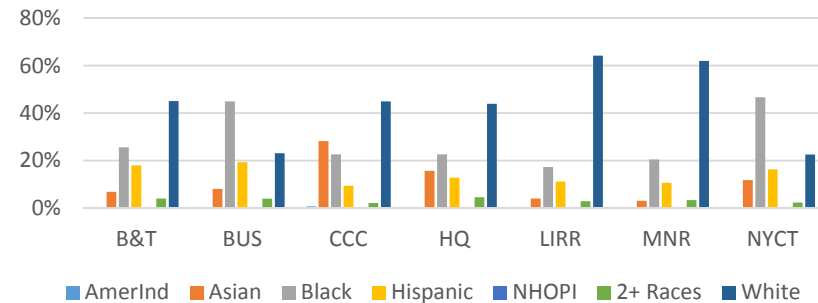


MTA-Wide Workforce by Gender and Race/Ethnicity as of December 31, 2017

MTA AGENCIES BY GENDER



MTA AGENCIES BY RACE/ETHNICITY



Agency	Employees	Females	Minorities
B&T	1,413	23%	55%
BUS	4,128	13%	77%
CCC	138	33%	55%
HQ	2,767	34%	56%
LIRR	7,374	15%	36%
MNR	6,700	13%	38%
NYCT	51,980	19%	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 Overview

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 **December 31, 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.

The following numbers and information do not reflect availability for specific job groups. In addition, the numbers and information provided do not show statistical disparities or explain the reasons or provide a root cause analysis for any identified underutilization.

In general, as of **December 31, 2017**, females, Asians, Blacks and Hispanics were underrepresented in some of the job categories at the Agencies. A majority of the underrepresentation occurred within the Skilled Craft and Service Maintenance job categories.

The following charts provide shaded/bolded areas that represent below 80 percent of the Census availability or underutilization: (1) the female and minority workforce percentages for each agency; (2) 80% of the females and minorities available for work based on the 2010 Census by job category; and (3) whether or not the estimated availability percentages were met for females and minorities within each of the job categories.



MTA-Wide Underutilization Analysis as of December 31, 2017

		Blacks		Hispanics		Asians		AI/AN*		NHOPI**		2+ Races		Whites	
Job Category	Gender	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %
Officials & Administrators															
B&T	F	8%	10%	5%	2%	3%	4%	0%	0%	0%	0%	1%	2%	8%	10%
	M	8%	11%	6%	6%	5%	8%	0%	0%	0%	0%	3%	4%		
BUS	F	5%	10%	2%	3%	2%	2%	0%	0%	0%	0%	0%	1%	13%	4%
	M	9%	17%	5%	8%	5%	10%	0%	0%	0%	0%	2%	4%		
CCC	F	4%	28%	3%	4%	3%	7%	0%	0%	0%	0%	0%	0%	15%	11%
	M	4%	72%	3%	2%	9%	21%	0%	1%	0%	0%	1%	2%		
HQ	F	6%	14%	3%	4%	3%	6%	0%	0%	0%	0%	0%	1%	19%	14%
	M	4%	8%	3%	4%	5%	11%	0%	0%	0%	0%	2%	1%		
LIRR	F	5%	4%	2%	2%	1%	2%	0%	0%	0%	0%	1%	1%	11%	11%
	M	7%	8%	6%	8%	3%	5%	0%	1%	0%	0%	1%	3%		
MNR	F	4%	5%	3%	3%	2%	4%	0%	0%	0%	0%	1%	1%	14%	10%
	M	5%	9%	3%	5%	3%	5%	0%	0%	0%	0%	1%	3%		
NYCT	F	9%	12%	2%	2%	1%	3%	0%	0%	0%	0%	0%	1%	2%	6%
	M	25%	18%	10%	9%	9%	11%	0%	0%	0%	0%	2%	3%		

Note: The underutilized areas of representation are shaded. *American Indian/Alaskan Native. **Native Hawaiian Other Pacific Islander
 Note: Pursuant to FTA Circular 4704.1A EEO Requirements and Guidelines, white males have been excluded from the availability analysis.



MTA-Wide Underutilization Analysis as of December 31, 2017

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOP1**		2+ Races		Whites	
		Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %
Professionals															
B&T	F	8%	14%	4%	10%	3%	6%	0%	0%	0%	0%	1%	2%	13%	13%
	M	8%	5%	9%	8%	4%	8%	0%	0%	0%	0%	1%	5%		
BUS	F	7%	17%	5%	11%	3%	8%	0%	0%	0%	0%	2%	4%	15%	6%
	M	6%	10%	4%	4%	7%	17%	0%	0%	0%	0%	1%	4%		
CCC	F	10%	53%	4%	6%	11%	18%	0%	0%	0%	0%	0%	0%	23%	6%
	M	9%	47%	6%	6%	8%	12%	0%	0%	0%	0%	0%	0%		
HQ	F	6%	15%	4%	5%	4%	8%	0%	0%	0%	0%	1%	3%	26%	9%
	M	4%	8%	3%	4%	5%	11%	0%	0%	0%	0%	2%	1%		
LIRR	F	3%	3%	2%	2%	2%	3%	0%	0%	0%	0%	0%	1%	14%	10%
	M	6%	10%	5%	8%	6%	11%	0%	0%	0%	0%	1%	3%		
MNR	F	9%	13%	5%	4%	5%	6%	0%	1%	0%	0%	1%	2%	21%	14%
	M	5%	9%	4%	6%	5%	8%	0%	0%	0%	0%	1%	1%		
NYCT	F	7%	17%	3%	5%	4%	7%	0%	0%	0%	0%	0%	2%	14%	7%
	M	11%	15%	6%	6%	8%	19%	0%	0%	0%	0%	1%	2%		

Note: The underutilized areas of representation are shaded. *American Indian/Alaskan Native. **Native Hawaiian Other Pacific Islander
 Note: Pursuant to FTA Circular 4704.1A EEO Requirements and Guidelines, white males have been excluded from the availability analysis.



MTA-Wide Underutilization Analysis as of December 31, 2017

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOPI**		2+ Races		Whites	
		Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %
Technicians															
B&T	F	11%	7%	3%	6%	0%	1%	0%	0%	0%	0%	1%	1%	2%	5%
	M	16%	10%	16%	21%	3%	4%	0%	0%	0%	0%	2%	1%		
BUS	F	8%	6%	7%	13%	1%	0%	0%	0%	0%	0%	0%	0%	25%	44%
	M	3%	0%	3%	0%	7%	6%	0%	0%	0%	0%	3%	6%		
CCC	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
HQ	F	0%	0%	1%	1%	0%	0%	0%	0%	0%	0%	1%	1%	4%	5%
	M	5%	7%	4%	6%	3%	4%	0%	0%	0%	1%	1%	1%		
LIRR	F	3%	0%	3%	0%	2%	10%	0%	0%	0%	0%	0%	0%	6%	0%
	M	10%	5%	9%	20%	8%	5%	0%	5%	0%	0%	0%	0%		
MNR	F	5%	5%	3%	2%	2%	0%	0%	0%	0%	0%	1%	2%	6%	3%
	M	11%	17%	7%	10%	5%	6%	0%	0%	0%	0%	2%	4%		
NYCT	F	3%	22%	3%	4%	4%	1%	0%	0%	0%	0%	0%	0%	12%	5%
	M	11%	23%	6%	6%	10%	16%	0%	0%	0%	0%	1%	2%		

Note: The underutilized areas of representation are shaded. *American Indian/Alaskan Native. **Native Hawaiian Other Pacific Islander
 Note: Pursuant to FTA Circular 4704.1A EEO Requirements and Guidelines, white males have been excluded from the availability analysis.



MTA-Wide Underutilization Analysis as of December 31, 2017

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOPI**		2+ Races		Whites	
		Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %
Protective Services															
B&T	F	4%	14%	3%	3%	0%	0%	0%	0%	0%	0%	0%	1%	3%	2%
	M	4%	20%	7%	20%	2%	3%	0%	0%	0%	0%	0%	2%		
BUS	F	13%	0%	19%	17%	1%	0%	0%	0%	0%	0%	1%	0%	12%	17%
	M	5%	50%	10%	0%	1%	0%	0%	0%	0%	0%	1%	17%		
CCC	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
HQ	F	3%	4%	2%	3%	0%	0%	0%	0%	0%	0%	0%	1%	7%	6%
	M	7%	10%	9%	16%	2%	3%	0%	0%	0%	0%	1%	1%		
LIRR	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
MNR	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	1%	8%
	M	3%	0%	3%	8%	0%	0%	0%	0%	0%	0%	13%	17%		
NYCT	F	6%	15%	3%	3%	1%	0%	0%	0%	0%	0%	0%	1%	6%	2%
	M	17%	33%	10%	17%	1%	6%	0%	0%	0%	0%	0%	2%		

Note: The underutilized areas of representation are shaded. *American Indian/Alaskan Native. **Native Hawaiian Other Pacific Islander

Note: Pursuant to FTA Circular 4704.1A EEO Requirements and Guidelines, white males have been excluded from the availability analysis.



MTA-Wide Underutilization Analysis as of December 31, 2017

Job Category	Blacks			Hispanics		Asians		AI/AN*		NHOPI**		2+ Races		Whites	
	Gender	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %
Para-Professionals															
B&T	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
BUS	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
CCC	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
HQ	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
LIRR	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
MNR	F	15%	18%	11%	6%	4%	6%	0%	0%	0%	0%	0%	0%	32%	29%
	M	1%	0%	1%	0%	1%	0%	0%	0%	0%	0%	0%	6%		
NYCT	F	13%	25%	8%	15%	4%	6%	0%	0%	0%	0%	1%	4%	25%	4%
	M	6%	21%	5%	10%	4%	6%	0%	0%	0%	0%	0%	0%		

Note: The underutilized areas of representation are shaded. *American Indian/Alaskan Native. **Native Hawaiian Other Pacific Islander

Note: Pursuant to FTA Circular 4704.1A EEO Requirements and Guidelines, white males have been excluded from the availability analysis.



MTA-Wide Underutilization Analysis as of December 31, 2017

Job Category	Blacks			Hispanics		Asians		AI/AN*		NHOPI**		2+ Races		Whites	
	Gender	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %
Administrative Support															
B&T	F	37%	61%	9%	9%	3%	3%	0%	0%	0%	0%	0%	0%	13%	3%
	M	4%	6%	3%	3%	4%	6%	0%	0%	0%	0%	0%	0%		
BUS	F	10%	18%	8%	8%	2%	3%	0%	0%	0%	0%	2%	4%	10%	6%
	M	12%	19%	4%	4%	5%	7%	0%	0%	0%	0%	5%	6%		
CCC	F	12%	50%	12%	6%	3%	19%	0%	0%	0%	0%	0%	6%	44%	13%
	M	1%	50%	1%	25%	1%	13%	0%	0%	0%	0%	0%	0%		
HQ	F	8%	37%	7%	14%	2%	4%	0%	0%	0%	0%	1%	5%	53%	17%
	M	1%	7%	1%	6%	1%	4%	0%	0%	0%	0%	0%	1%		
LIRR	F	13%	19%	10%	7%	4%	2%	0%	0%	0%	0%	1%	2%	26%	20%
	M	5%	11%	4%	7%	2%	1%	0%	1%	0%	0%	1%	2%		
MNR	F	13%	20%	8%	7%	3%	2%	0%	0%	0%	0%	1%	2%	20%	11%
	M	7%	15%	5%	7%	2%	1%	0%	0%	0%	0%	1%	3%		
NYCT	F	14%	31%	13%	5%	5%	3%	0%	0%	0%	0%	0%	1%	16%	3%
	M	10%	23%	10%	9%	4%	16%	0%	0%	0%	0%	0%	1%		

Note: The underutilized areas of representation are shaded. *American Indian/Alaskan Native. **Native Hawaiian Other Pacific Islander
 Note: Pursuant to FTA Circular 4704.1A EEO Requirements and Guidelines, white males have been excluded from the availability analysis.



MTA-Wide Underutilization Analysis as of December 31, 2017

Job Category	Blacks			Hispanics		Asians		AI/AN*		NHOPI**		2+ Races		Whites		
	Gender	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	
Skilled Craft																
B&T	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%			
BUS	F	2%	0%	1%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	
	M	22%	33%	19%	14%	7%	12%	0%	0%	0%	1%	2%	7%			
CCC	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%			
HQ	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%			
LIRR	F	5%	3%	2%	1%	0%	0%	0%	0%	0%	0%	0%	0%	5%	5%	
	M	14%	13%	11%	10%	4%	3%	0%	0%	1%	0%	2%	2%			
MNR	F	1%	1%	1%	0%	0%	0%	0%	0%	0%	0%	0%	0%	2%	1%	
	M	13%	17%	9%	10%	2%	1%	0%	1%	0%	0%	2%	3%			
NYCT	F	6%	4%	2%	1%	1%	0%	0%	0%	0%	0%	0%	0%	2%	0%	
	M	27%	32%	13%	12%	7%	15%	0%	0%	0%	0%	1%	2%			



Note: The underutilized areas of representation are shaded. *American Indian/Alaskan Native. **Native Hawaiian Other Pacific Islander
 Note: Pursuant to FTA Circular 4704.1A EEO Requirements and Guidelines, white males have been excluded from the availability analysis.

MTA-Wide Underutilization Analysis as of December 31, 2017

	Blacks			Hispanics		Asians		AI/AN*		NHOPI**		2+ Races		Whites	
Job Category	Gender	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %
Service Maintenance															
B&T	F	3%	1%	7%	2%	1%	0%	0%	0%	0%	0%	0%	0%	3%	1%
	M	14%	20%	24%	13%	3%	3%	0%	1%	0%	0%	1%	4%		
BUS	F	7%	8%	5%	3%	1%	0%	0%	0%	0%	0%	0%	0%	2%	1%
	M	28%	42%	16%	19%	5%	6%	0%	0%	0%	0%	1%	3%		
CCC	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
HQ	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
LIRR	F	6%	9%	5%	4%	1%	0%	0%	0%	0%	0%	0%	1%	6%	6%
	M	13%	19%	16%	11%	2%	2%	0%	1%	0%	0%	1%	2%		
MNR	F	4%	6%	6%	2%	1%	0%	0%	0%	0%	0%	0%	1%	5%	6%
	M	14%	17%	18%	9%	2%	1%	0%	0%	0%	0%	1%	3%		
NYCT	F	10%	15%	4%	3%	0%	0%	0%	0%	0%	0%	0%	2%	1%	1%
	M	30%	42%	18%	18%	4%	5%	0%	0%	0%	0%	1%	2%		

Note: The underutilized areas of representation are shaded. *American Indian/Alaskan Native. **Native Hawaiian Other Pacific Islander
 Note: Pursuant to FTA Circular 4704.1A EEO Requirements and Guidelines, white males have been excluded from the availability analysis.



MTA Police Workforce Underutilization 4th Quarter 2017

JOB TITLE	FEMALES ¹			BLACKS			HISPANICS		
	Est Avail	Estimated #	Actual #	Est Avail	Estimated #	Actual #	Est Avail	Estimated #	Actual #
Inspector	0%	0	0	0%	0	0	0%	0	0
Captains	5%	1	2	5%	1	1	0%	0	0
Lieutenants	6%	1	1	3%	1	1	12%	2	4
Sergeants/Detective Sgts.	3%	3	5	4%	4	7	6%	6	7
Detectives	13%	5	6	11%	4	5	18%	6	7
Police Officers	16%	86	69	14%	73	74	17%	92	99

JOB TITLE	ASIANS			AI/AN ²			NHOPI		
	Est Avail	Estimated #	Actual #	Est Avail	Estimated #	Actual #	Est Avail	Estimated #	Actual #
Inspector	0%	0	1	0%	0	0	0%	0	0
Captains	5%	1	0	0%	0	0	0%	0	0
Lieutenants	0%	0	0	0%	0	0	0%	0	0
Sergeants/Detective Sgts.	3%	4	4	0%	0	0	1%	1	1
Detectives	2%	1	1	0%	0	0	0%	0	0
Police Officers	3%	16	19	0%	0	1	0%	0	0

JOB TITLE	2+ RACES		
	Est Avail	Estimated #	Actual #
Inspector	0%	0	0
Captains	6%	1	1
Lieutenants	6%	1	1
Sergeants/Detective Sgts.	1%	1	1
Detectives	0%	0	0
Police Officers	0%	2	11

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



Metropolitan Transportation Authority Department of Diversity and Civil Rights

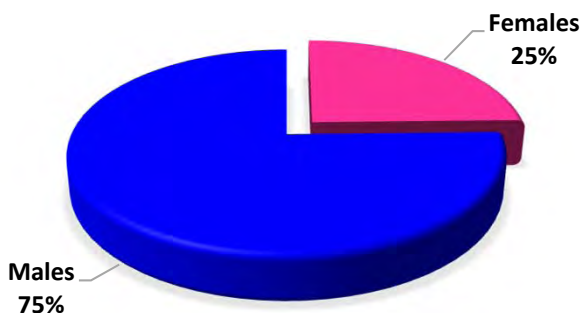
MTA-Wide New Hires and Veterans
Fourth Quarter 2017

February 20, 2018

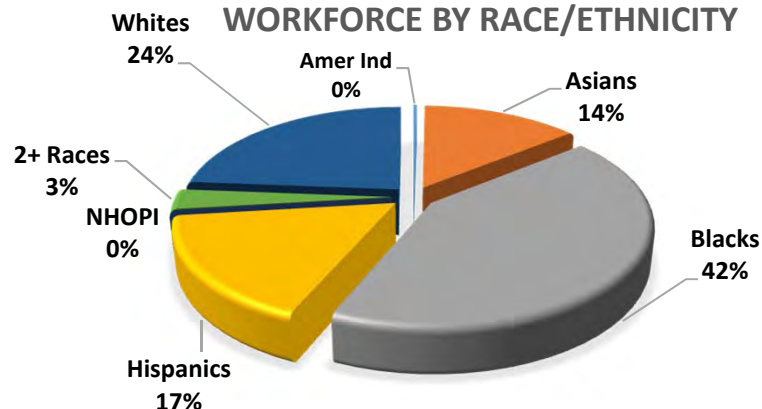


MTA-Wide New Hires and Veterans By Gender and Race/Ethnicity January 1, 2017 to December 31, 2017

NEW HIRE BY GENDER



WORKFORCE BY RACE/ETHNICITY



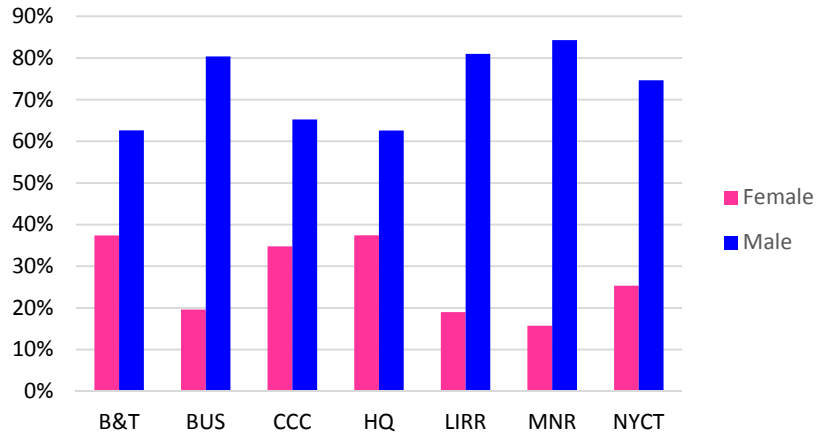
MTA and its Agencies hired **7,605** Employees including **222 (3%)** Veterans

- ❑ **25%** Females in which **1%** were Female Veterans.
- ❑ Females were **hired at higher** percentage compared to their current representation of **18%** in the workforce.
- ❑ **76%** Minorities in which **3%** were Minority Veterans.
- ❑ Minorities were **hired at higher** percentage compared to their current representation of **68%** in the workforce.

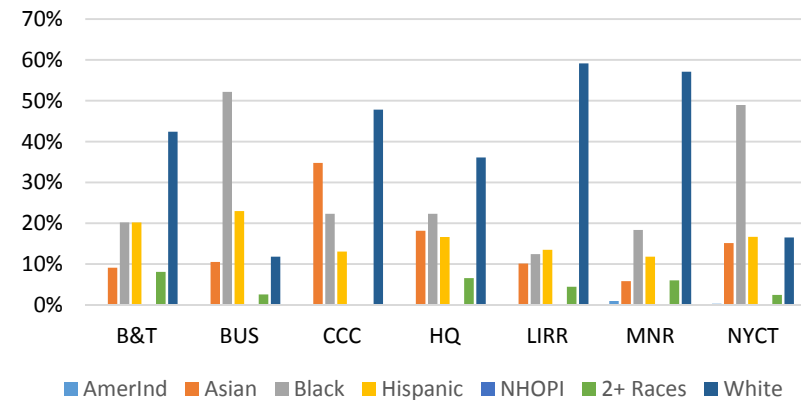


New Hires and Veterans By Agency January 1, 2017 to December 31, 2017

MTA AGENCIES BY GENDER



MTA AGENCIES BY RACE/ETHNICITY



This chart shows a breakdown by Agency of the **7,605** employees including **222** Veterans hired.

Agency	Employees	Females	Minorities
B&T	99	37%	58%
BUS	627	20%	88%
CCC	23	35%	52%
HQ	457	37%	64%
LIRR	563	19%	41%
MNR	534	16%	43%
NYCT	5,302	25%	83%



Metropolitan Transportation Authority Department of Diversity and Civil Rights

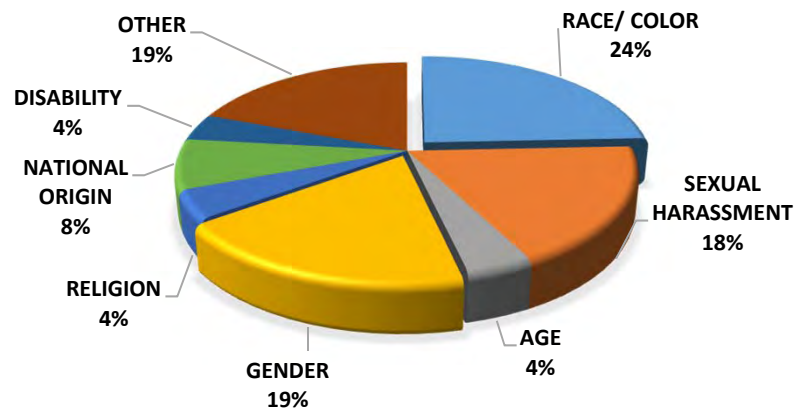
MTA-Wide Complaints and Lawsuits

February 20, 2018

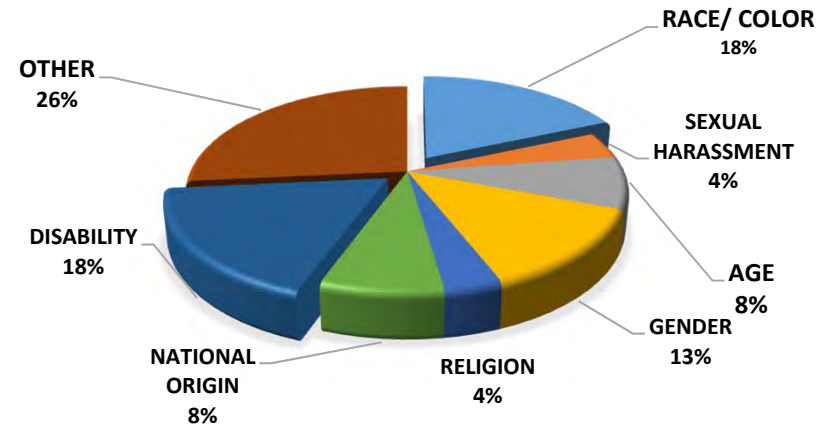


MTA-Wide EEO Internal/External Discrimination Complaint Dispositions January 1, 2017 to December 31, 2017

INTERNAL EEO COMPLAINTS



EXTERNAL EEO COMPLAINTS

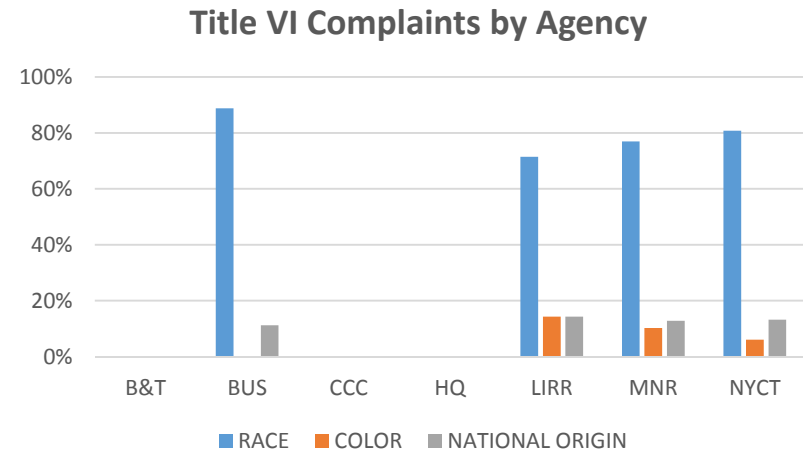
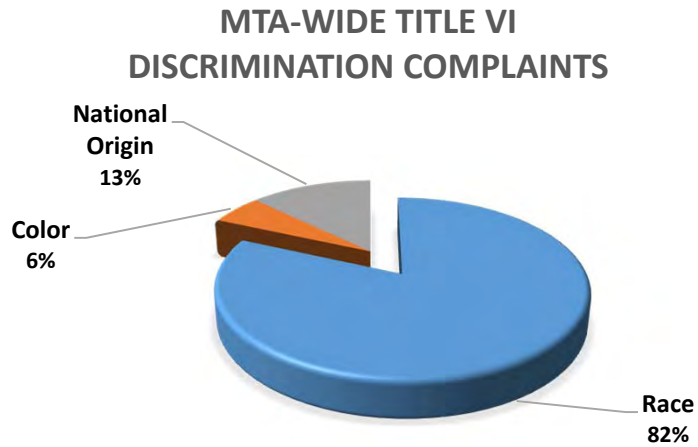


MTA and its Agencies handled **586** EEO complaints, citing **977** separate allegations, and **83** Lawsuits.

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



MTA-Wide Title VI Complaints and Lawsuits January 1, 2017 to December 31, 2017

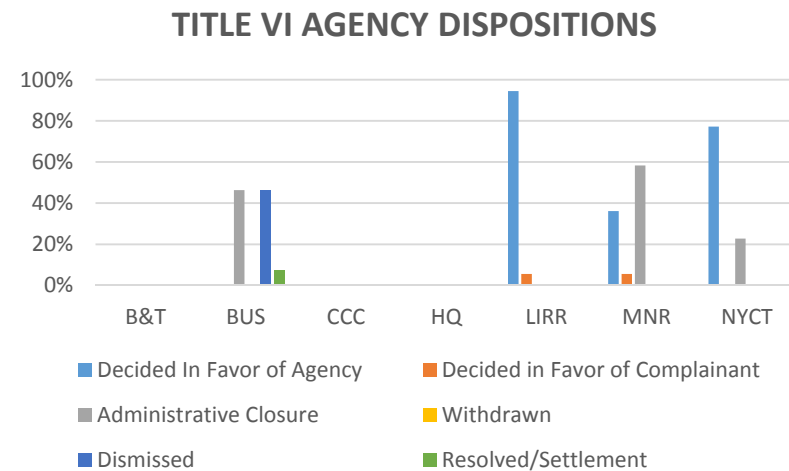
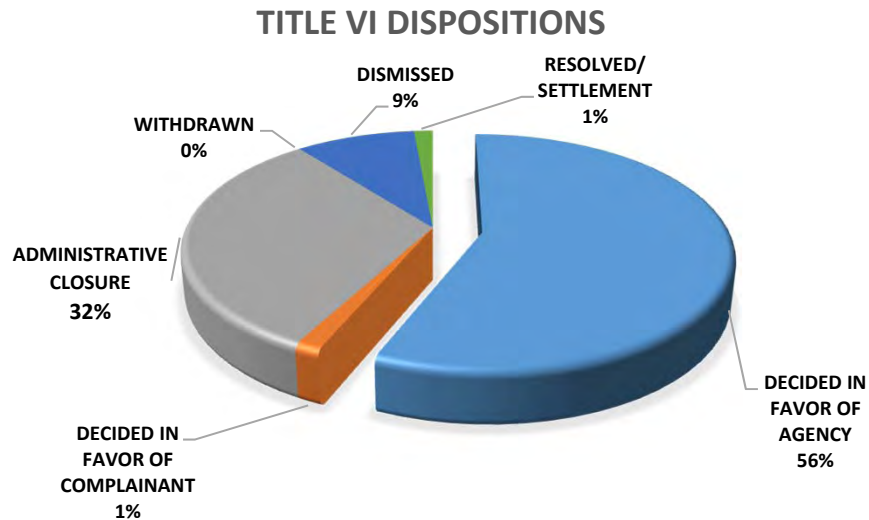


MTA and its Agencies handled a total of **404** Title VI complaints with **414** allegations and **0** Title VI lawsuits.

Agency	Complaints	Allegations	Race	Color	National Origin
BUS	89	89	89%	0%	11%
LIRR	18	21	71%	14%	14%
MNR	37	39	77%	10%	13%
NYCT	260	265	81%	6%	13%



MTA-Wide Title VI Complaints and Lawsuits Dispositions January 1, 2017 to December 31, 2017

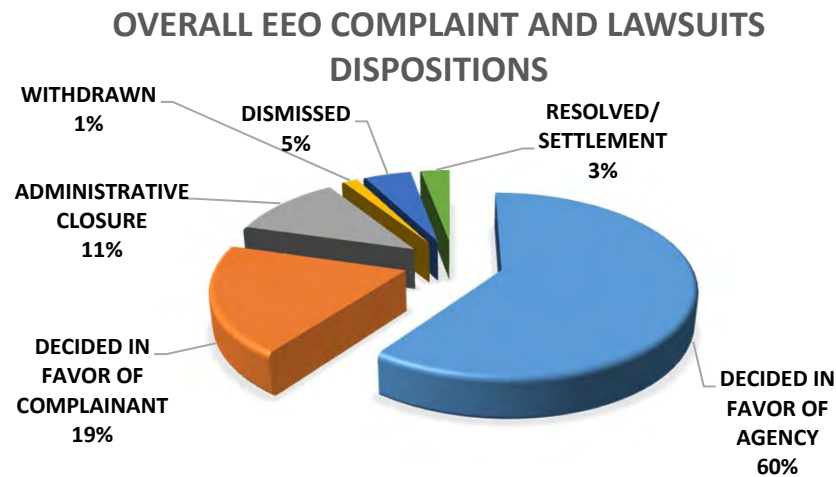


MTA and its Agencies disposed **209** Title VI Complaints and **0** Title VI lawsuits

- ❑ **57%** complaints decided in Favor of the Agency.
- ❑ **1%** complaints decided in Favor of the Complainant.
- ❑ **32%** complaints were Administrative Closures.
- ❑ **9%** complaints were dismissed.
- ❑ **1%** complaints were resolved/settlement.



MTA-Wide EEO Complaints and Lawsuits Dispositions January 1, 2017 to December 31, 2017



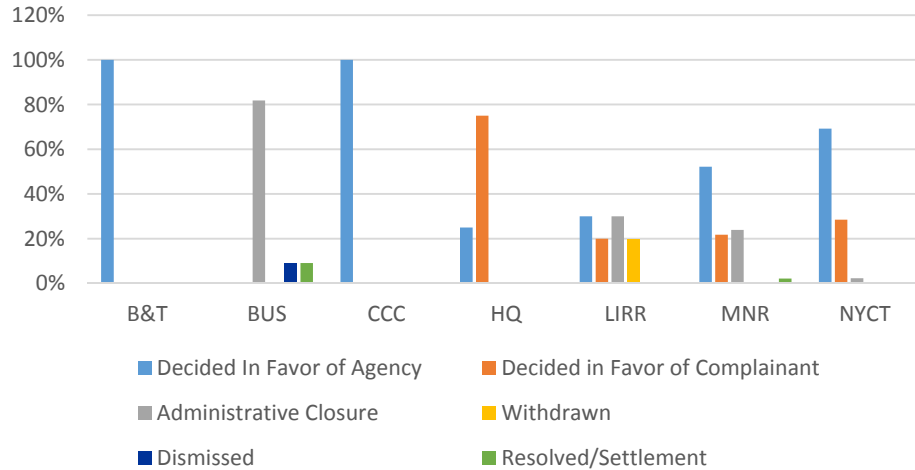
MTA and its Agencies disposed **273** EEO complaints and **4** EEO Lawsuits.

- ❑ **60%** complaints/lawsuits decided in Favor of the Agency.
- ❑ **19%** complaints /lawsuits decided in Favor of the Complainant.
- ❑ **11%** complaints/lawsuits were Administrative Closures.
- ❑ **2%** complaints/lawsuits were Withdrawn.
- ❑ **5%** complaints/lawsuits were Dismissed.
- ❑ **3%** complaints/lawsuits were Resolved/Settlement.

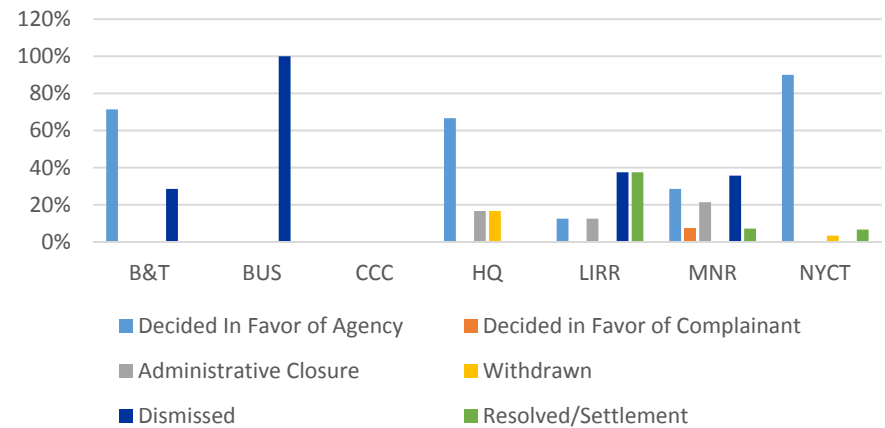


MTA-Wide Internal/External EEO Complaints and Lawsuits Dispositions January 1, 2017 to December 31, 2017

EEO Internal Complaint Dispositions



EEO External Complaint and Lawsuits Dispositions



Metropolitan Transportation Authority Headquarters

Michael J. Garner
And
Michael Kalish

Strategies to Improve Utilization in the Workforce

February 20, 2018



Message To The Board

I. Message From Michael J. Garner, 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 the equitable representation and advancement of protected group members at all levels of employment.
- ❑ As Chief Diversity Officer, I will ensure that MTA employees are aware of the MTA Equal Employment Opportunity and Workplace Harassment policies and that all violations are addressed in a professional, expeditious and fair manner.
- ❑ 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 its recruiting, hiring and promotional decisions.



2017 Key Accomplishments

II. DDCR and HQ Human Resources - 2017 Key Accomplishments and Best Practices

- ❑ DDCR standardized an Agency-wide EEO Internal Complaint Process, EEO Policy Statement and Transgender Policy during quarterly meetings with EEO Officers and Legal staff from all agencies.
- ❑ MTA conducted four diversity events (Black History, Jewish-American Heritage, Caribbean-American Heritage, and Hispanic Heritage celebrations) reaching approximately 800-1000 employees.
- ❑ Hired an Assistant Deputy Chief Diversity Officer for EEO Compliance in June 2017 and filled in December 2017, the Assistant Deputy Chief Diversity Officer, Title VI and Workforce Initiatives vacancies.
- ❑ 64% of MTA HQ's 457 new hires were minorities. 6 out of the 10 hires recruited through an IT Open House were female.
- ❑ MTA HQ participated in and organized multi-agency attendance at 11 military job fairs and outreach events.



2018 Mid-Year Initiatives

III. DDCR and HQ Human Resources - 2018 Key Workforce, Business and Service Initiatives

- ❑ By June 2018, DDCR and HQ will strengthen relationships with women and minorities in technology by participating in events such as the National Center for Women and Information Technology's SANS Cyber Talent online job fair, as well as in online Meetup and/or LinkedIn groups such as Tech Up for Women Conference, African-American Women in Technology, TechFam- Black and Latino Tech.
- ❑ MTA HQ will coordinate quarterly meetings with DDCR to establish diversity talent acquisition plans based on workforce underutilization information.
- ❑ MTA HQ will improve methods to capture new hire information and host an information session for non-profit and diversity organizations by June 2018.
- ❑ In 2018, MTA will conduct at least four diversity events.
- ❑ By June 2018, DDCR will meet with all Human Resources departments agency-wide in order to review past and current recruitment efforts as well as discuss and strategize the streamlining of the outreach and recruitment process.



Metropolitan Transportation Authority Headquarters

Chief Owen Monaghan Strategies to Improve Utilization in the Workforce

February 20, 2018



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 all levels of the Police Department.
- ❑ 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.
- ❑ Furthermore, I am honored to announce that, for the first time in the history of the MTA Police, an African American has attained the rank of Assistant Chief.



2017 End of Year Accomplishments

II. MTAHQ Police Department 2017 End of Year Key Accomplishments and Best Practices

- ❑ Hired **37** police officers for January 2018 class. Of the **37**, **13.5%** identify as a female and **43%** identify as a minority.
- ❑ Hired **38** police officers for July 2017 class. Of the **38**, **8%** identify as a female and **58%** identify as a minority.
- ❑ Promoted **41** members of the Department to supervisor and command staff ranks from Sergeant through Assistant Chief. Of the **41** promotions, **9.8%** identify as a female and **39%** identify as a minority.
- ❑ Hired **6** civilian positions in September 2017. Of the **6** civilian positions, the MTA PD hired **5** minorities including **5** females.



2018 Mid-Year Initiatives

III. MTA Police 2018 Key Diversity Initiatives

- ❑ Plan to hire 20-25 diverse police officers in the 2nd quarter of 2018.
- ❑ Plan to administer the Sergeant and Lieutenant promotional examinations to a diverse pool of applicants in February 2018 with a focus on encouraging females and minorities to take the exam. Approximately **25** Sergeants applied for the Lieutenant examination. Of the **25**, **5** sergeants identify as a minority (**20%**).
- ❑ Approximately **225** Police Officers applied for the Sergeant examination. Of the **225**, **29** are females (**12.8%**) and **91** identify as minority (**40.4%**).



Metropolitan Transportation Authority Capital Construction

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

February 20, 2018



Message To The Board

I. Message From the Chief Development Officer

The Office of the Chief Development Officer is an evolving organization charged with building large infrastructure but is also responsible for key advertising and real estate functions. In all these areas, success hinges on retaining and attracting the best staff from all walks of life. To be an employer of choice, our goal is to build and leverage a diverse and inclusive workforce and workplace by ensuring that all employees listen to and respect differing viewpoints and opinions, encouraging and developing leadership capabilities and holding our employees accountable for meeting these objectives. Capital Construction is committed to improving minority, female, Veteran and disability representation in the workforce.



2017 End of Year Accomplishments

II. Capital Construction's 2017 End of Year Key Accomplishments and Best Practices

- ❑ MTACC extended the summer internships for seven STEM college students (six minority, three females) in Engineering and Finance disciplines to increase diversity in the workplace.
- ❑ MTACC successfully collaborated with the Department of Diversity and Civil Rights on Agency-wide initiative to develop self identification forms for applicants and employees with disabilities.
- ❑ MTACC managers developed a succession plan in order to retain diversity in the ranks of junior staff.
- ❑ MTACC partnered with other MTA Agencies to share costs, resources and best practices that strengthened recruitment strategies that targeted females, minorities and veterans.



2018 Mid-Year Initiatives

III. Capital Construction's 2018 Mid-Year Key Diversity Initiatives

- ❑ By end of second quarter, MTACC will hire a Director of EEO to ensure MTACC is making good faith efforts to increase, retain, and/or promote and foster an inclusive environment for females, minorities, veterans and individuals with disabilities.
- ❑ By April 2018, MTACC will submit its EEO Program to the Department of Diversity and Civil Rights.
- ❑ By June 2018, MTACC will develop and deliver staff training that focuses on diversity and unconscious bias.
- ❑ By June 2018, MTACC will hire 3 graduating interns (minority/female) in entry-level professional positions.



Metropolitan Transportation Authority MTA Bridges and Tunnels

Cedrick T. Fulton
Strategies to Improve Utilization in the Workforce

February 20, 2018



Message To The Board

I. Message From President Cedrick T. Fulton

As President of MTA Bridges and Tunnels (B&T), the world leader in bridge and tunnel management and public service provider of Open Road Tolling, my leadership team and I are firmly committed to achieving excellence through diversity, innovation, and organizational transformation. Our aim is to become best in class standard against which other toll agencies can measure themselves by. It is from this platform that our Team will expand its commitment to workforce diversity initiatives and the creation of robust business opportunities for our minority, women and veteran-owned business partners.

The overall success that B&T has enjoyed is evident and realized through our recent transformation to open road tolling in record time, an extraordinary accomplishment that could only be achieved by the diversity of its leaders, employees, and partnerships.

B&T will continue to incorporate diversity goals into its mission and objectives by providing safe, efficient and courteous service to customers; creating a workplace environment that treats employees with dignity and respect; be vigilant stewards of revenue, and ensure that its leadership and workforce remain engaged, committed, and accountable for the safety and state of good repair of its bridges and tunnels.



2017 End of Year Accomplishments

II. MTA Bridges and Tunnels 2017 End of Year Key Accomplishments and Best Practices

- ❑ B&T participated in **five** minority, women, and veteran owned businesses outreach events to provide opportunities for design-build construction contracts.
- ❑ B&T's Enterprise Asset Management Program (EAM), held a recruitment event in September, 2017 to increase the number of females interested in engineering, maintenance, and operations fields.
- ❑ B&T participated in a one-day EAM training on October 30, 2017, which included 45 employees (50% were females) to increase female participation as leaders in reliability and asset management professions.
- ❑ In the fourth quarter, B&T hired five Management Associates to full-time positions in Engineering and Construction of which 40% were females and minorities.



2018 Mid-Year Initiatives

III. MTA Bridges and Tunnels 2018 Mid-Year 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.
- ❑ B&T recognizes the strategic approach to talent management and recruiting as necessary to attain diversified and long-term, sustainable results. Accordingly, B&T will conduct targeted recruitment to increase the under-representation of females in the second quarter.
- ❑ B&T will compile workplace climate survey data and create strategies to address recruitment, hiring and retention practices of females, minorities, veterans, and persons with disabilities in the second quarter.



Metropolitan Transportation Authority Metro-North Railroad

Catherine Rinaldi
Strategies to Improve Utilization in the Workforce

February 20, 2018



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 strives to achieve excellence while ensuring that we maintain an environment that acknowledges and celebrates the diversity of its employees and customers.
- ❑ Our Agency and its leadership support these values through implementation of Metro-North's strategic plan that identifies "Our People" as our greatest resource.
- ❑ Metro-North Railroad also realizes that diversity of people drives diversity of thought and improves business outcomes. Therefore, recognizing the expertise and capabilities of Minority and Women-owned Business Enterprises is part of our commitment to ensuring that we are performing business in a manner that is inclusive and seeks to recognize the potential of companies small and large.



2017 End of Year Accomplishments

II. Metro-North Railroad 2017 End of Year Key Accomplishments and Best Practice

(June 1, 2017 – December 31, 2017)

- ❑ In partnership with CUNY & Cornell Tech Metro-North hosted three female interns who participated in the Women in Technology and Entrepreneurship program (WiTNY) to expose them to railroad technology.
- ❑ Metro-North participated in the annual New York State Minority & Women Business Enterprise (MWBE) forum to network and develop business partnerships with MNR.
- ❑ In September 2017, MNR participated in the Circle of Sisters event held at The Jacob Javits Convention Center to promote employment opportunities for females.
- ❑ In October 2017, MNR participated in a panel discussion led by the NYC Dept. of Education to look at the school electrical curriculum and how it aligns with our industry.
- ❑ Metro-North attended the Recruit Military Job Fair and the CUNY Military Job Fair to provide information sessions about job opportunities, and overall attended 14 military/veteran outreach events in 2017.



2018 Mid-Year Initiatives

III. Metro-North 2018 Mid-Year Key Diversity Initiatives

- ❑ EEO/Diversity will launch diversity initiatives to expand MNR's diverse workforce through professional development, outreach, and employee engagement events.
- ❑ Metro-North will continue its annual Internship Program, Associate Engineer Program and will hold a Skilled Craft Job Fair to enhance MNR's diverse workforce.
- ❑ To increase veteran participation Metro-North will continue its commitment to partner with MTAHQ in attending job fairs and outreach events to bring awareness of our many employment opportunities.
- ❑ Halmar in conjunction with DDCR and Metro-North will host an SDVOB vendor outreach forum by June 2018. The intent is to identify sources for products we purchase frequently. This will create a more competitive and diverse market of suppliers that may result in better pricing for Metro-North.
- ❑ By June 2018 we will establish the first hiring goals for individuals with disabilities.



Metropolitan Transportation Authority Long Island Rail Road

Patrick A. Nowakowski
Strategies to Improve Utilization in the Workforce

February 20, 2018



Message To The Board

I. Message From Long Island Rail Road President

- ❑ 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.
- ❑ LIRR's executive team recognizes the importance of leveraging diversity in all LIRR business practices. We are personally committed to diversity, and strongly believe in the business case and benefits of a diverse workforce. We will continue to seek all opportunities to increase female and minority representation, in our workforce and procurement projects.



2017 End of Year Accomplishments

II. LIRR 2017 End of Year Key Diversity Accomplishments

- ❑ Attended 10 employment outreach events between July 1 and December 31, 2017.
- ❑ Hired 240 new employees between July 1st and December 31st, of which, 6% were veterans, 18% were female (3% higher than current total female representation) and 36% were minority. Total minority headcount and percentage of minority representation increased by 99 employees and 1%, respectively, since 1/1/17.
- ❑ July 1st to December 31st Upward Mobility Program New Hires; hired 4 Project Manager Trainees, including 1 female and 2 Junior Engineers, including 1 minority male.



2018 Mid-Year Initiatives

III. LIRR 2018 Mid-Year Key Diversity Initiatives

- ☐ Continue internal efforts to prepare workforce for advancement opportunities.
- ☐ Continue partnering with MTAHQ on outreach to veterans seeking employment.
- ☐ Identify additional sources in which to post vacancies.
- ☐ Work with BSC on revising reports to capture veterans and disabled employees.



Metropolitan Transportation Authority MTA Bus

Darryl C. Irick
Strategies to Improve Utilization in the Workforce

February 20, 2018



Message To The Board

I. Message From MTA Bus President

I am strongly committed to the communities that we serve, our employees, and to ensuring that the diversity of these groups is respected and valued. In addition to providing safe and reliable customer service, MTA Bus strives to have a workforce that represents the diversity of New York City. At MTA Bus, we work to promote an environment that reflects this commitment in all areas of the organization from employment, to the provision of services and to contract awards.



2017 End of Year Accomplishments

II. MTA Bus 2017 End of Year Key Accomplishments and Best Practices

- ❑ In 2017, MTA Bus expanded our engagement in mentorship programs with area technical high schools, which included matching skilled supervisors with students interested in the same area of expertise.
- ❑ MTA Bus also increased outreach efforts to area technical high schools by promoting various employment opportunities. We also continued our commitment to hire more veterans by participating in multiple recruitment efforts.
- ❑ In November, MTA Bus hosted a Women's Symposium that included panel discussions on making the successful transition into management positions and how to thrive within the MTA.



2018 Mid-Year Initiatives

III. MTA Bus 2018 Mid-Year Key Diversity Initiatives

- ❑ Spring and Summer Apprenticeship & Mentorship Programs. There are 10 participants registered for Spring so far and recruitment for Summer will begin in March.
- ❑ Spring Event with Mayor's Office for People with Disabilities to promote disability awareness in the workplace.
- ❑ Participate in approximately 15-20 Spring and Summer Veteran Recruiting Events.
- ❑ Participate in Spring "Today's Girl/Tomorrow's Woman" Event to promote employment opportunities and mentor young women.



Metropolitan Transportation Authority New York City Transit

Andy Byford
Strategies to Improve Utilization in the Workforce

February 20, 2018



Message To The Board

I. Message From Andy Byford, NYCT President

- ❑ Employee engagement and culture change – a critically important priority.
- ❑ Respecting and valuing the diversity of customers, employees, and persons who perform work at NYC Transit – a core value.
- ❑ Think like a customer – a key to success and sustained change.



2017 End of Year Accomplishments

II. New York City Transit 2017 End of Year Key Accomplishments and Best Practices

- ❑ Recruitment – 32% of NYC Transit recruitment outreach in the second-half of 2017, targeted women, organizations that support hiring people with disabilities, and veterans; and NYC Transit hosted two Open House events for skilled-trade talent to fill open positions with the goal of attracting a more diverse workforce.
- ❑ 32% of NYC Transit recruitment outreach in the second-half of 2017, targeted women, organizations that support hiring people with disabilities, and veterans.
- ❑ Mentoring – Engaged 35 diverse pairs. Demonstrated commitment and mix of people and functions has worked well. Conducted year-end review outlined and plan for full program rollout.
- ❑ Diversity Best Practices – Established relationship with premier research group, for additional resources and expertise based on other prominent organizations' success.



2018 Mid-Year Initiatives

III. New York City Transit's 2018 Mid-Year Key Diversity Initiatives

- ❑ Diversity and 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.



Metropolitan Transportation Authority Department of Diversity and Civil Rights

MTA Small Business Development Program Business Development Initiatives and MWDBE Results

February 20, 2018



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.

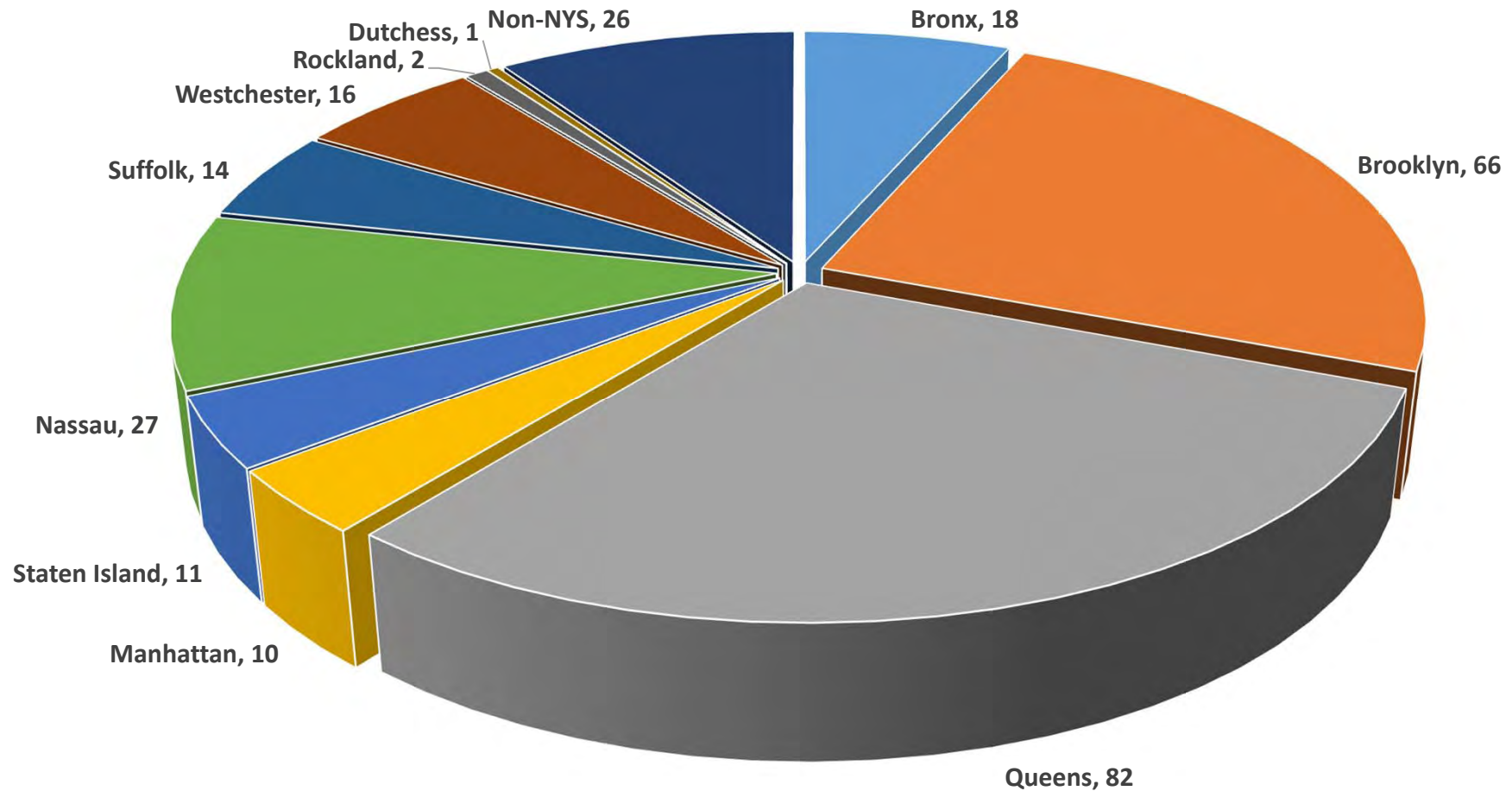


SBDP Program Year 8 Goals

- \$146M – Program Year 8 Contracting Commitment
- \$114M – Identified Projects for Program Year 8
- \$20.3M awarded for current program year
- \$20M 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



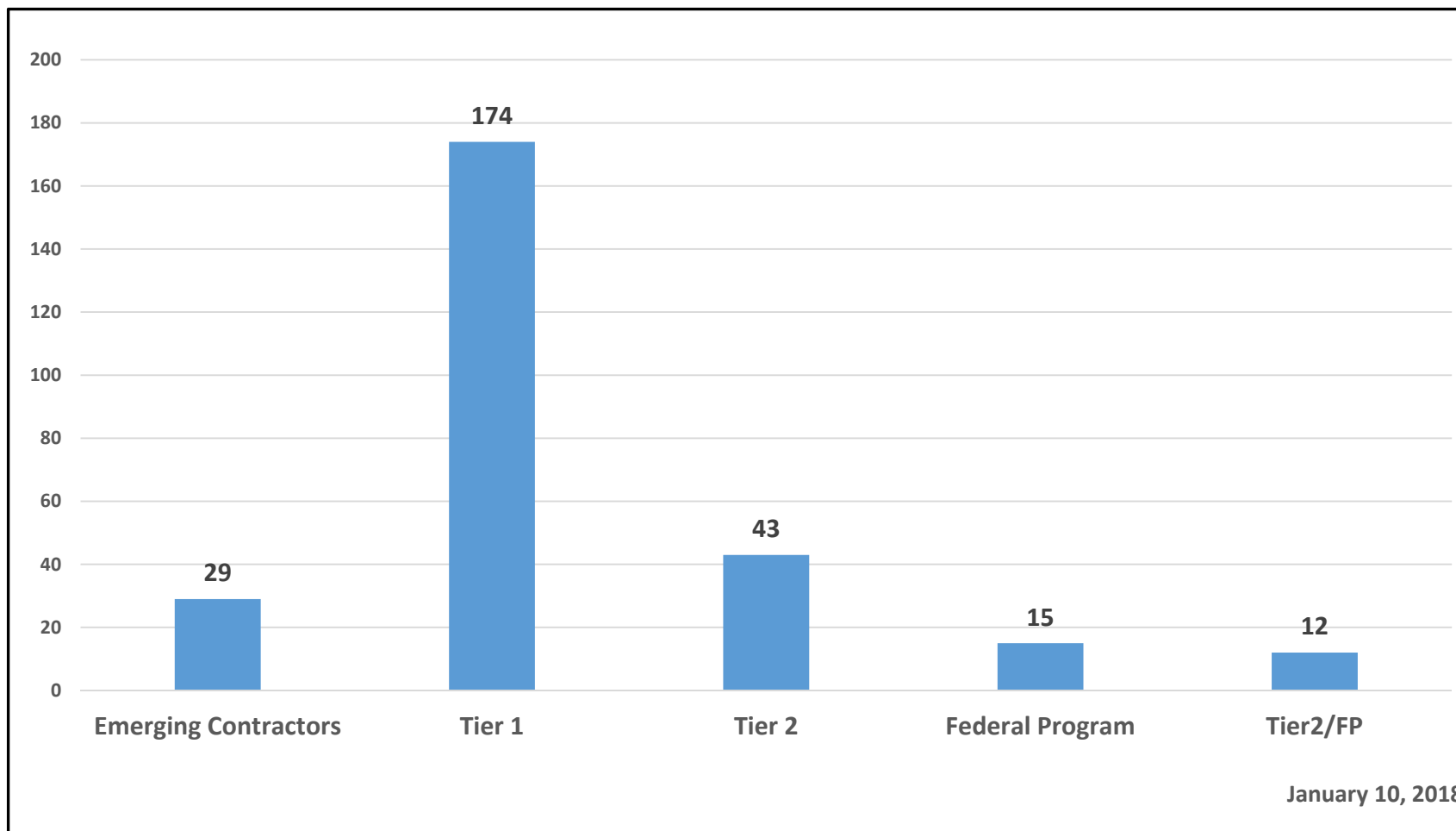
SBDP Represents NY Metro Region



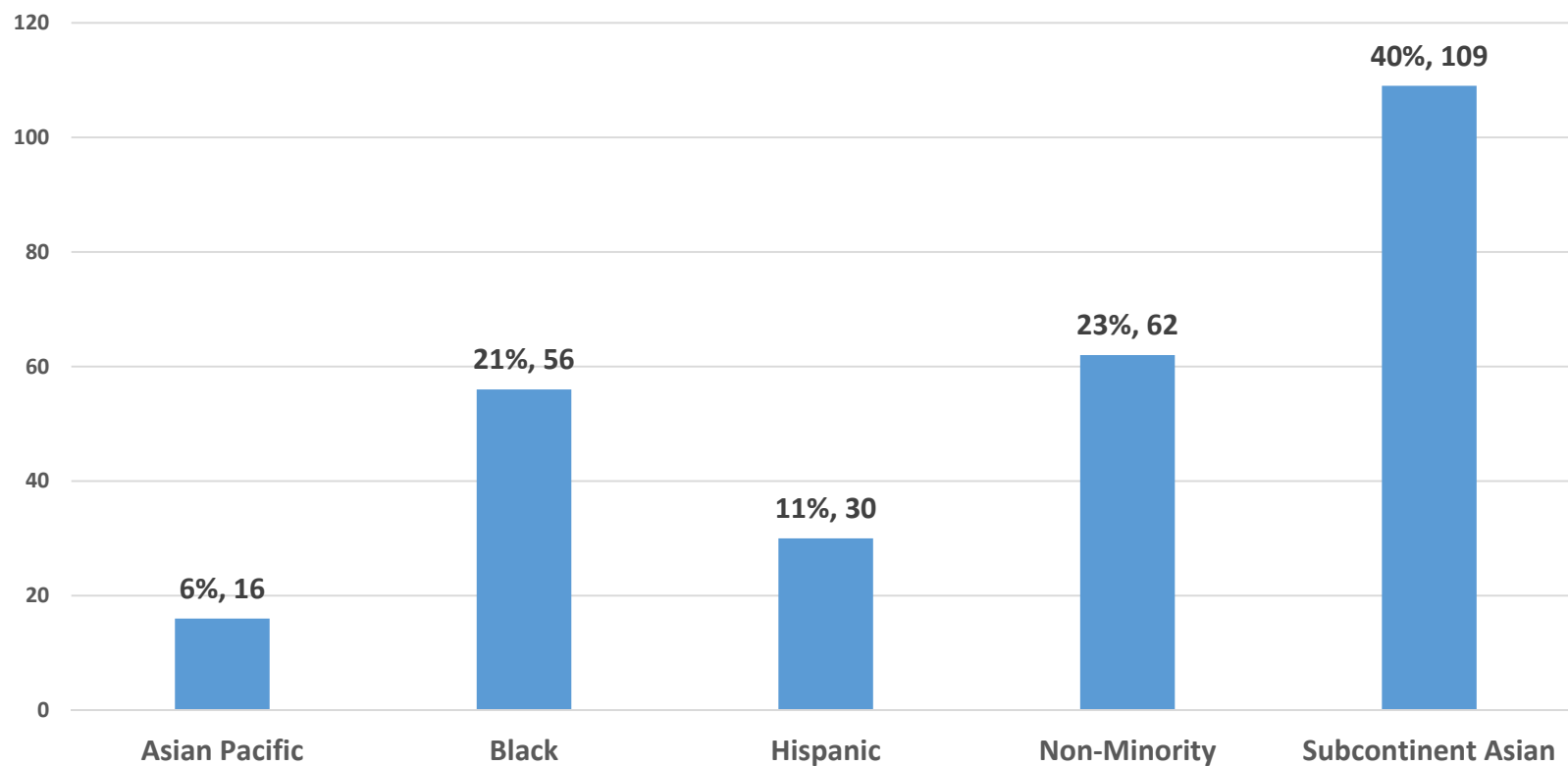
January 10, 2018



SBDP Tier Participants



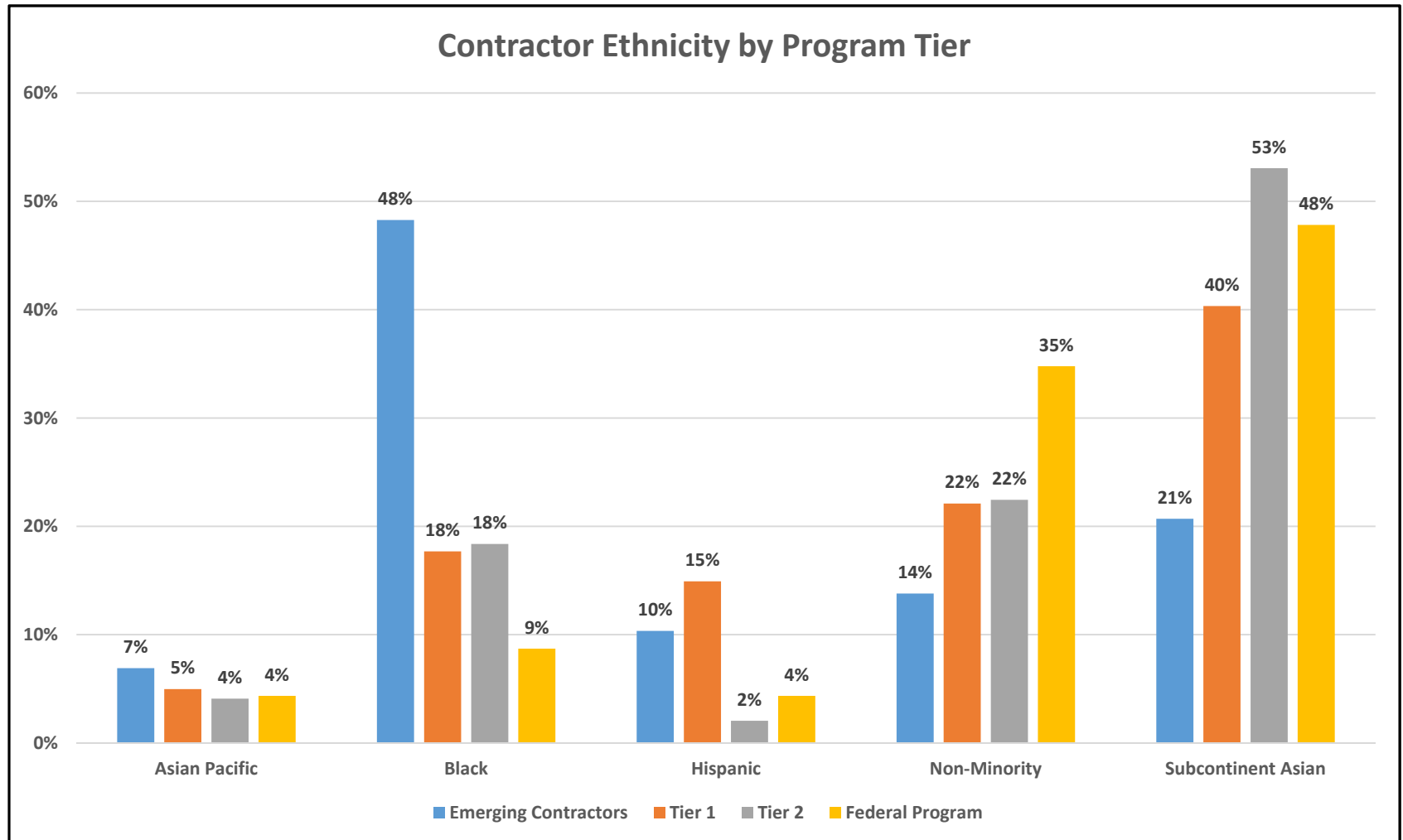
SBDP Participants are Diverse



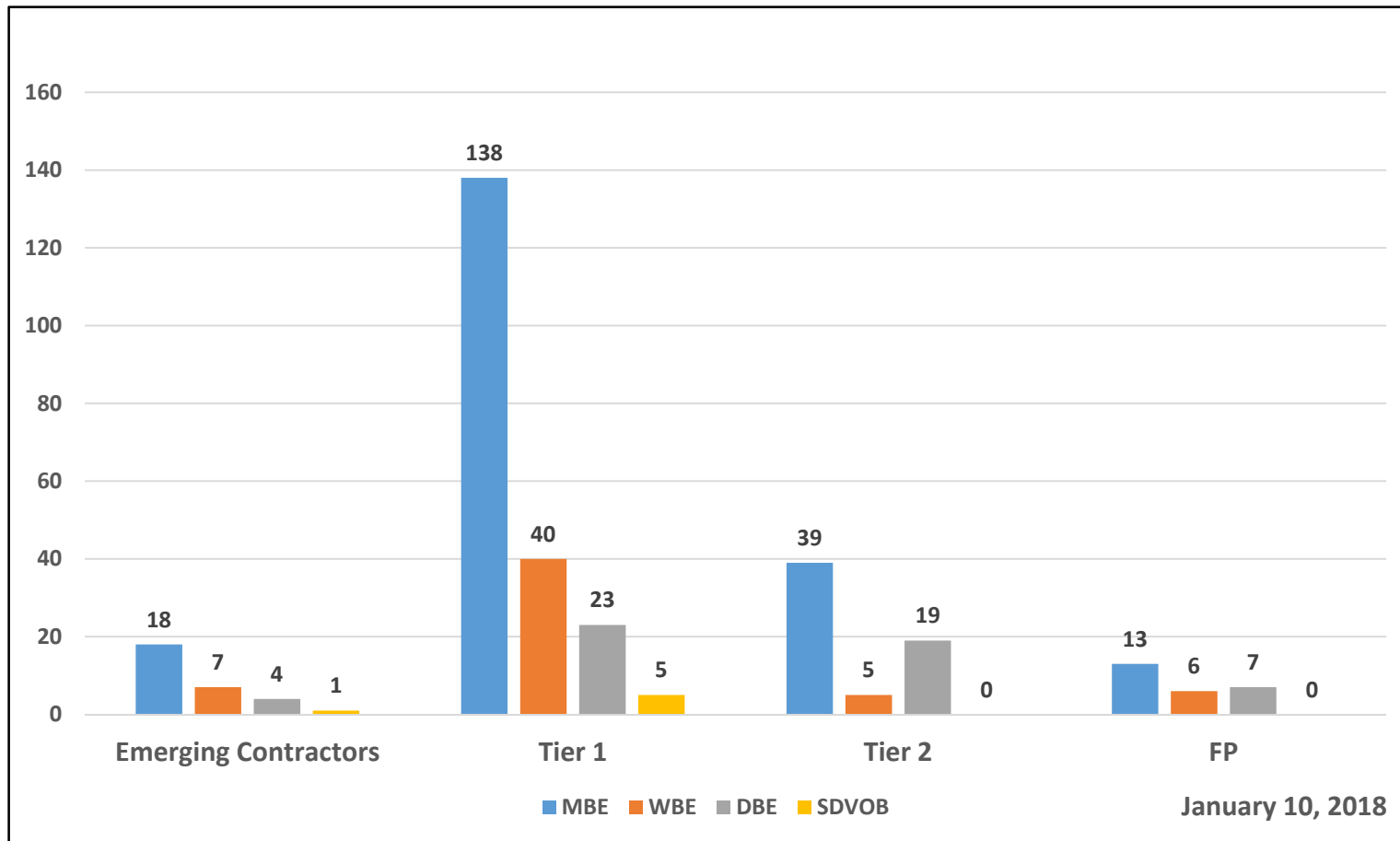
January 10, 2018



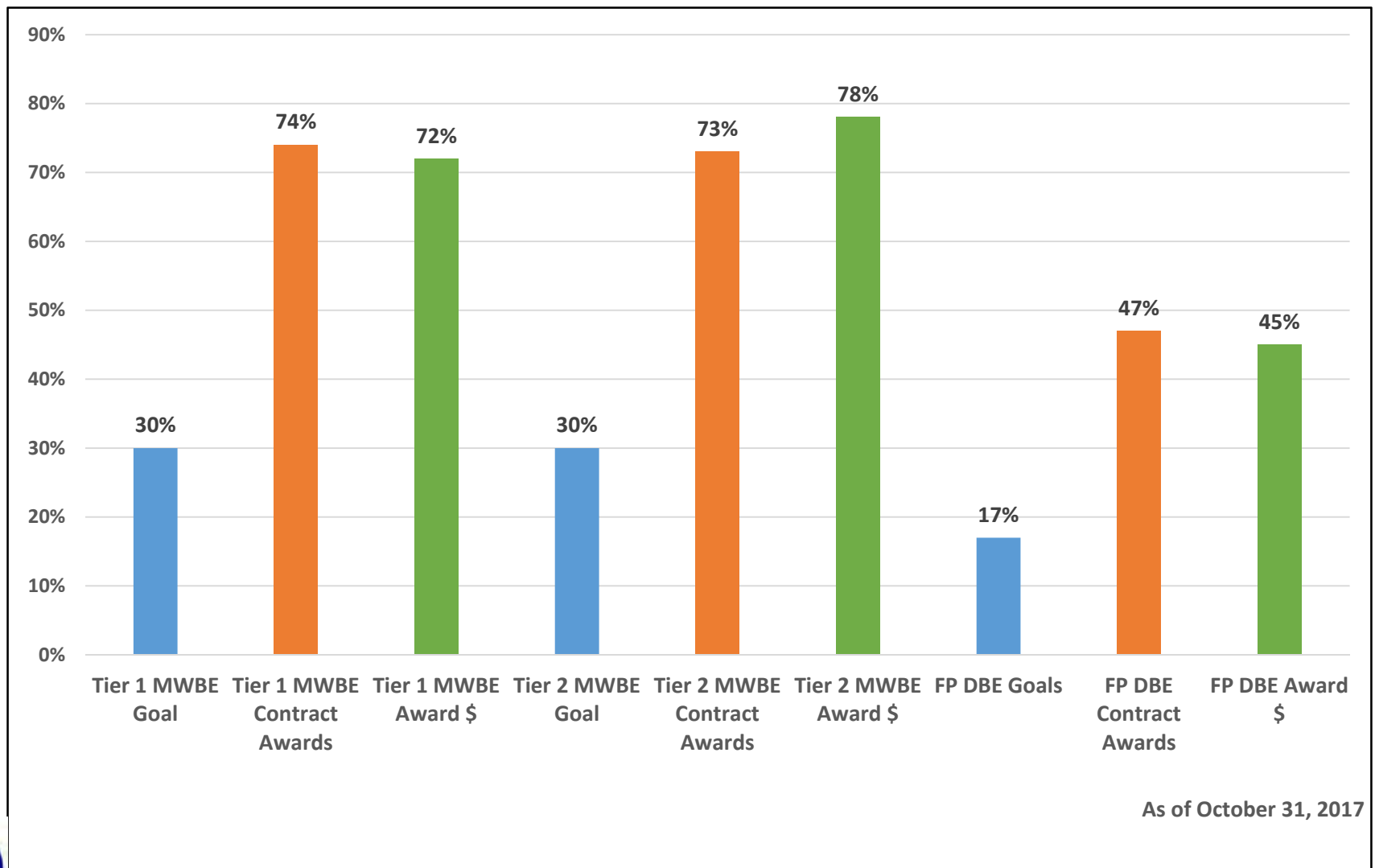
SBDP Tiers are also Diverse



SBDP Certifications



SBDP is Exceeding MWDBE Goals



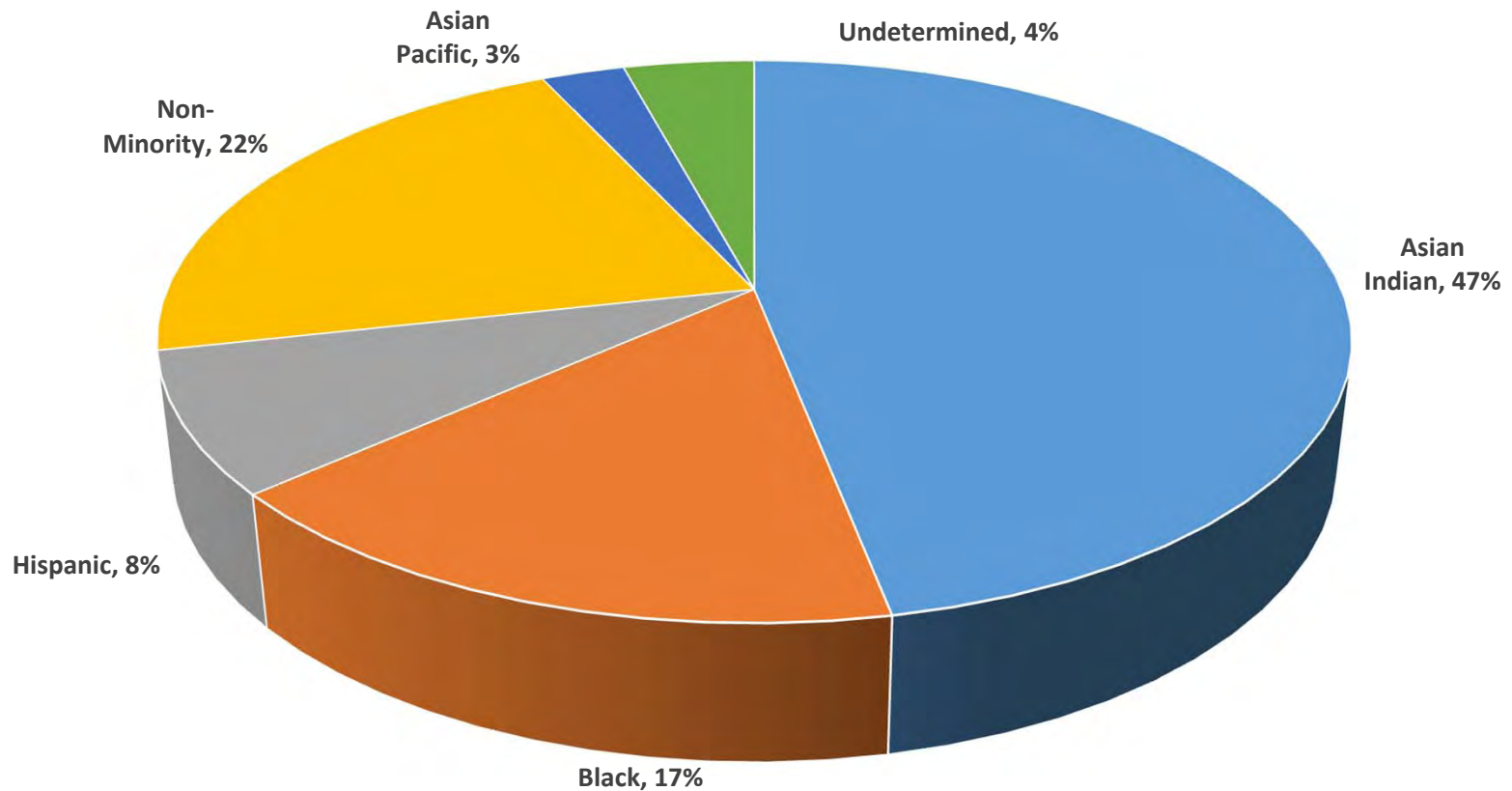
Elements of the SBDP

- 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

Bidder List by Ethnicity - SBDP Emerging Contractor Program, Tier 1, Tier 2, FP

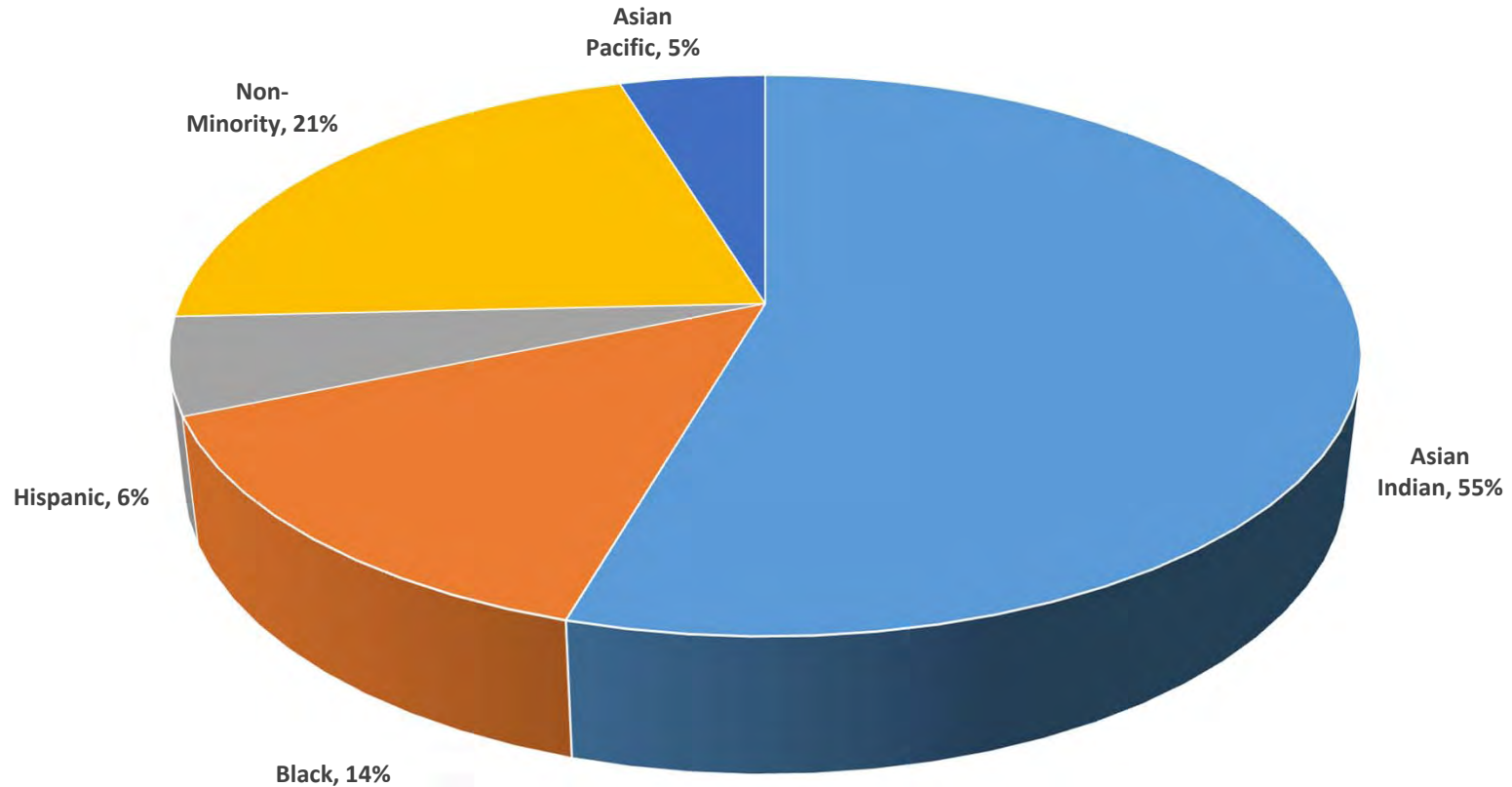


Based upon 35 Bidder Lists and a total of 260 bid opportunities
Women-owned firms distributed to the appropriate ethnic group



Program Year 8 Bids To Date

Emerging Contractors, Tier 1, Tier 2 & Federal Program – January 10, 2018

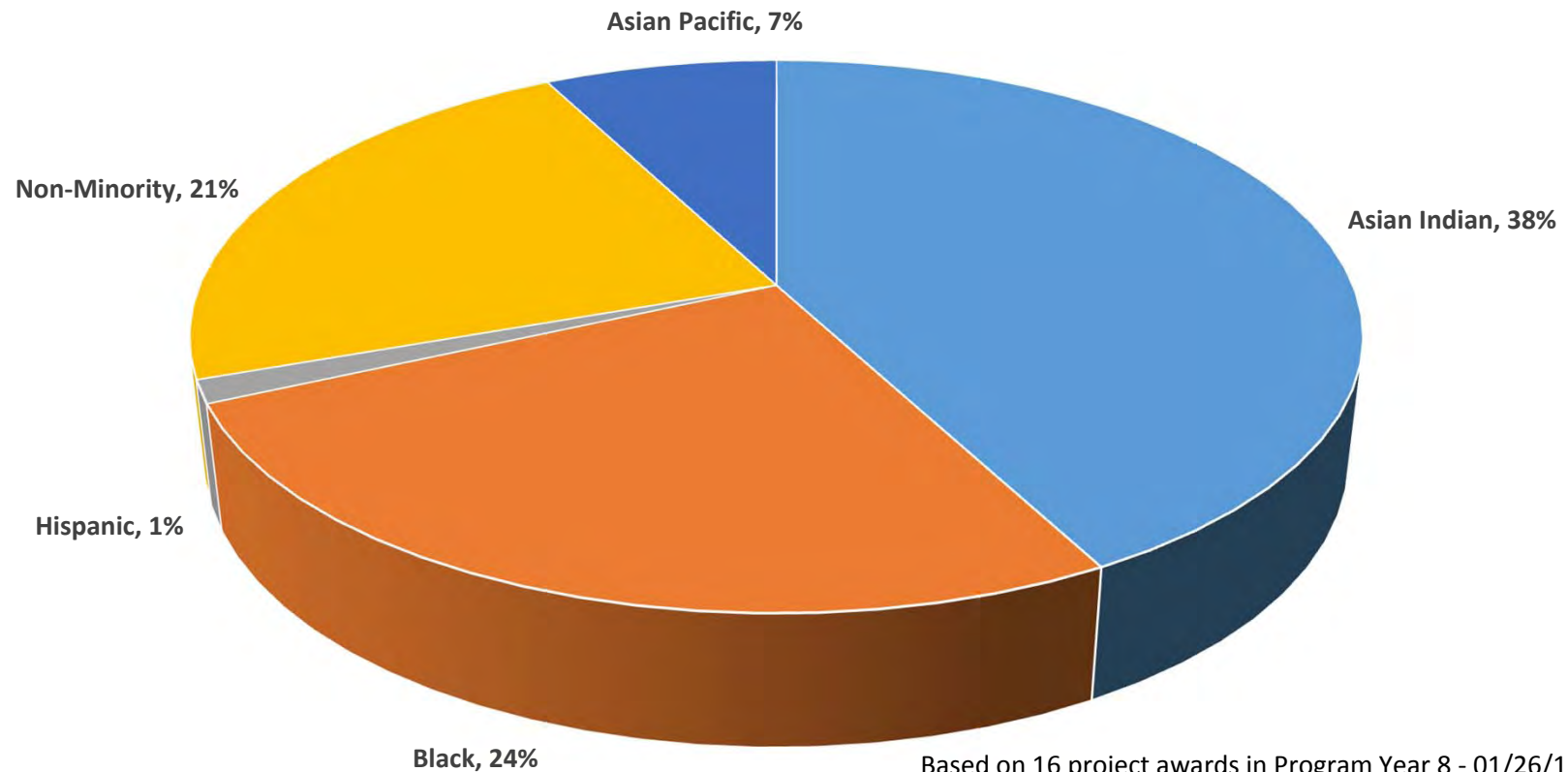


Based upon 30 Bidder Lists and a total of 233 bid opportunities
Women owned firms distributed to the appropriate ethnic group



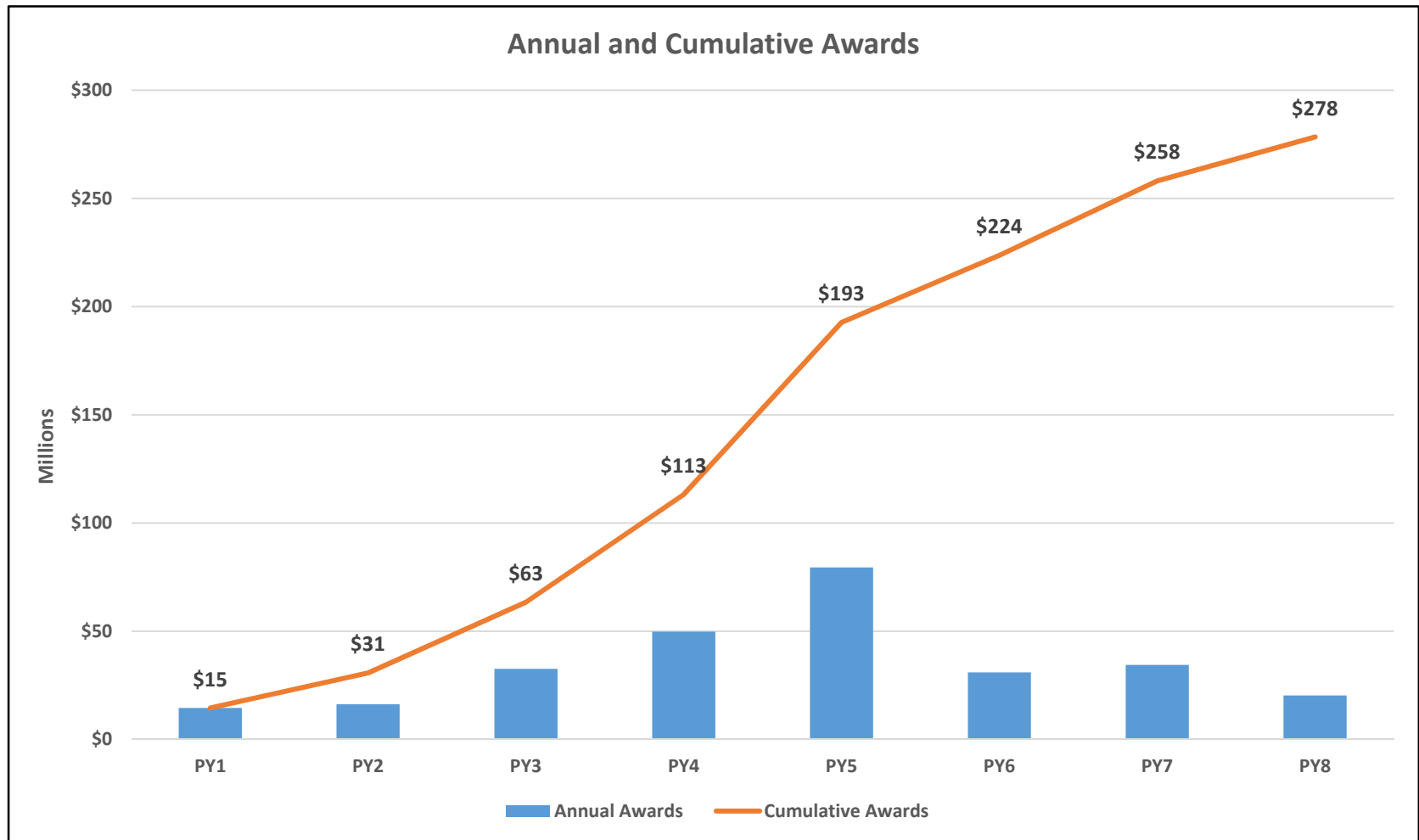
Program Year 8 Project Awards (\$)

Emerging Contractors, Tier 1 Tier 2, and Federal Program



Based on 16 project awards in Program Year 8 - 01/26/18

SBDP Prime Contract Opportunities



Program Year 8 awards through November 15, 2017.

SBDP Projected Awards 2017-2019

Tier	Award \$	Projects	Annual Average
➤ 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

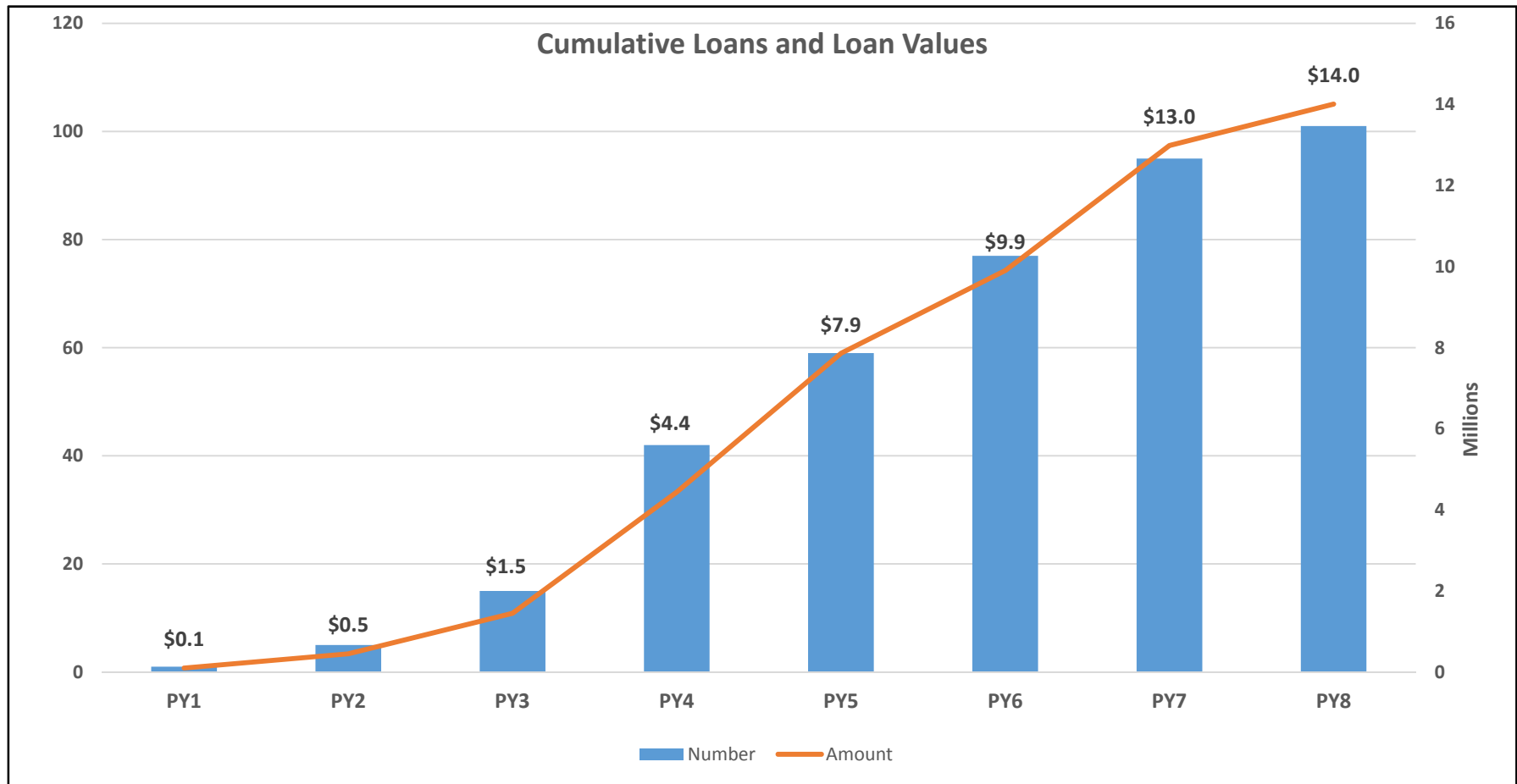
*Source: New York State Department of Transportation (NYSDOT)

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 January 10, 2018.

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

- Over **180** classroom training dates completed
- Nearly **1,500** hours of classroom training provided to date
- All prequalified contractors complete a mandatory 13-session training program
- 24 of 32 Fall 2017 course attendees are pre-qualified or in the pre-qualification process
- Supplementary training opportunities for 2018
 - 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



Training Classes Continue to Evolve

- Regular review and update of topics, materials and instructors
- New topics include Project Management and Strategic Business Development
- Mandatory training spans technical, organizational, and business operations
- Course topics include:
 - ❑ Doing Business with the MTA and Prime Contractors
 - ❑ Prevailing Wages / Project Management
 - ❑ Estimating and Bidding Strategies at the MTA
 - ❑ Project Scheduling at the MTA
 - ❑ Cash Flow and Financial Management
 - ❑ Safety and Quality Planning at the MTA
 - ❑ Requisition and Change Order Process
 - ❑ Construction Law and Contract Review
 - ❑ Marketing Your Business to the NY Construction Industry
 - ❑ Developing a Profitable Business in the MTA Region
 - ❑ Surety Bonding, Access to Capital, and The CEO Toolkit
 - ❑ Navigating MTA Contracts & MWDBE Compliance / Strategic Business Development
 - ❑ How to be a Prime Contractor



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
- 204 In-Person Assessments Complete
- 185 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



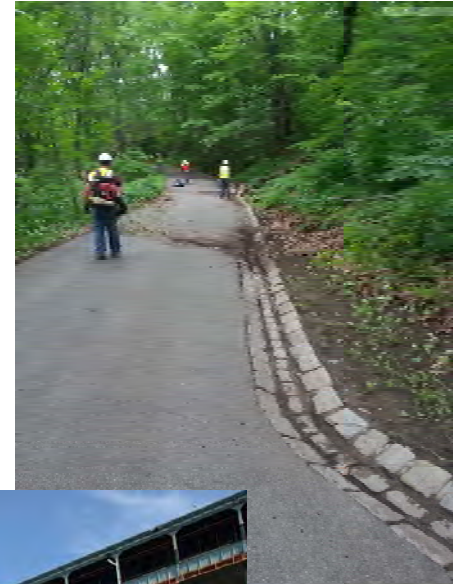
SBDP Contractors are Finding Success

- 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 NYC School Construction Authority, Port Authority of NY & NJ, State University of NY, NYC Department of Design and Construction



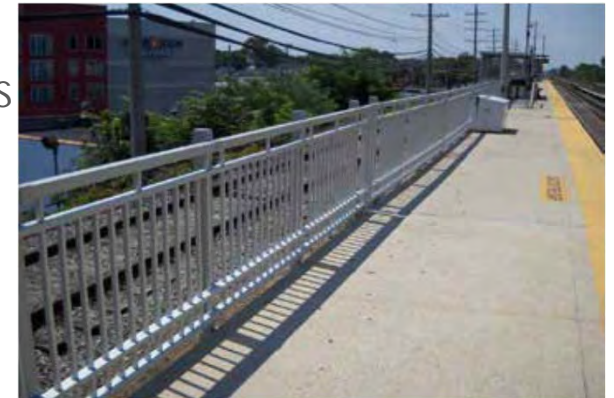
Classico Building Maintenance

- 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



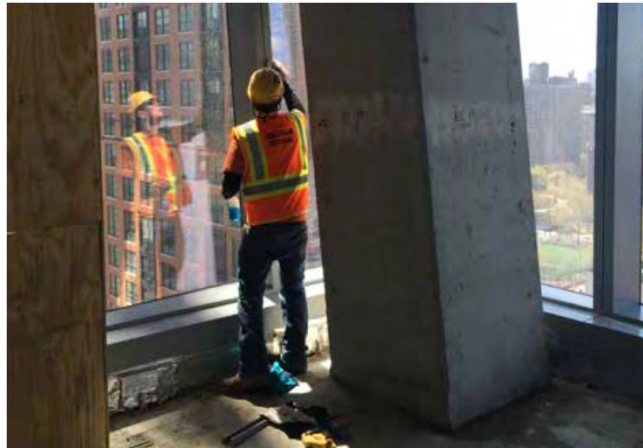
Riggs Construction

- 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



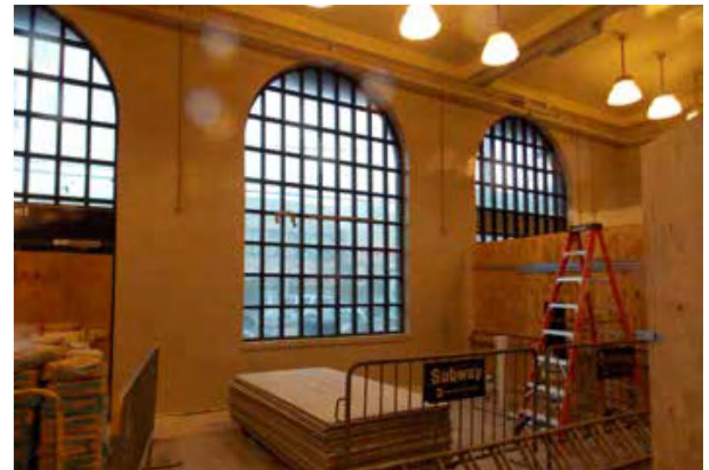
Zion Contracting

- 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
 - \$8.7 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



Success Beyond Mentoring

Aurora Electric

- 7 subcontracts outside the SBDP with NYCT and MNR
- Contract values ranging from \$250k to \$8M
- Total contracts valued at **\$18.5M**
- WBE certified and union affiliated

Voltamp Electrical

- 3 prime contracts with NYCT outside the SBDP
- 12 subcontracts with NYCT, 1 subcontract for LIRR and MNR each
- Prime contracts valued at **\$30M**
- MBE and DBE certified



Metropolitan Transportation Authority Department of Diversity and Civil Rights

M/W/DBE & SDVOB Contract Compliance Fourth Quarter 2017

February 20, 2018



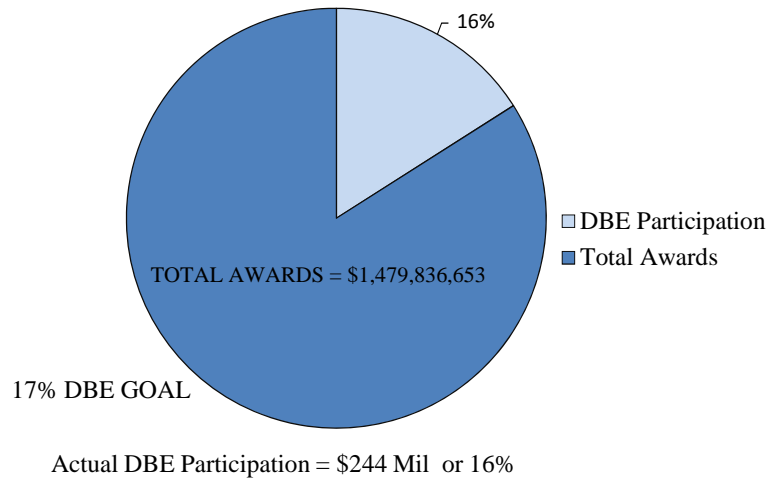
**DBE Participation in Federally Funded Contracts
Federal Fiscal Year 2017*
(October 1, 2016 to September 30, 2017)**

- 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%).

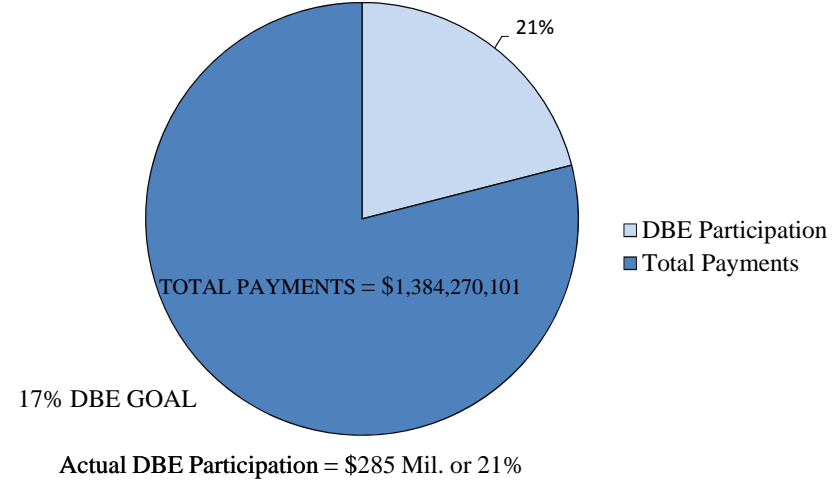
*The Federal Fiscal Year runs from October 1st through September 30th.

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

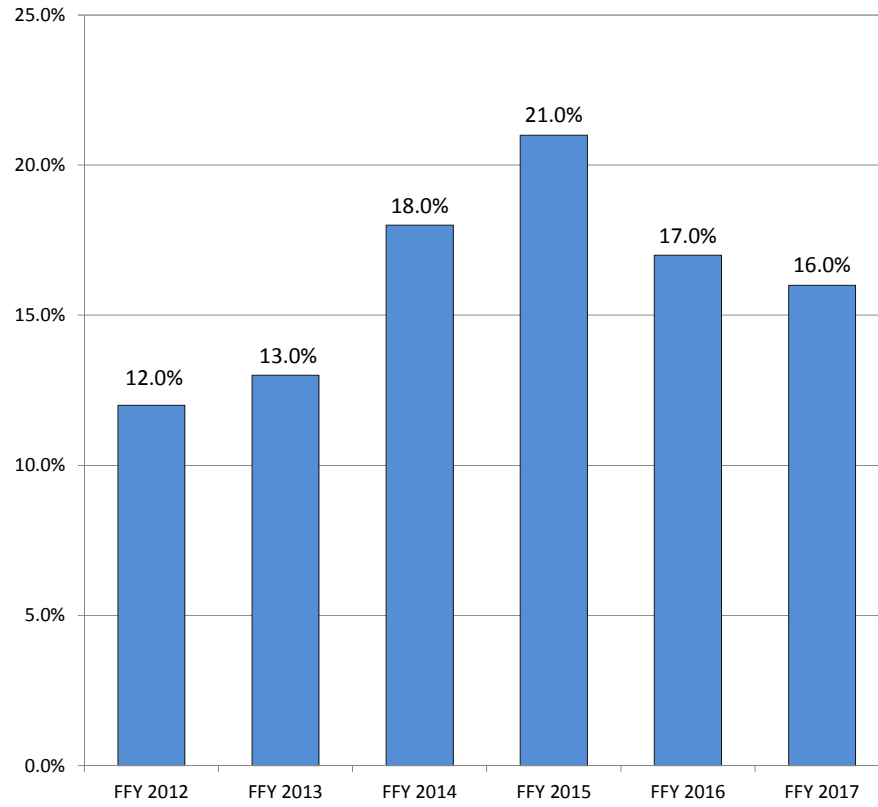
DBE AWARD PARTICIPATION



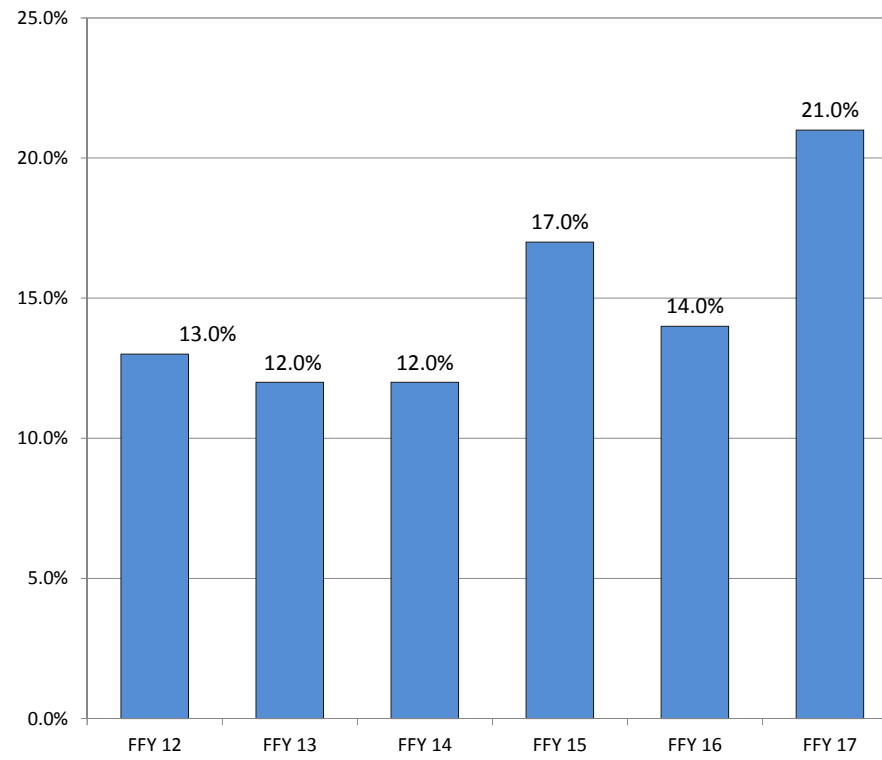
DBE PAYMENT PARTICIPATION



DBE CONTRACT AWARDS
October 2011 - September 2017



DBE CONTRACT PAYMENTS
October 2011 - September 2017



**FEDERALLY-FUNDED CONTRACTS
DBE CONTRACT ACTIVITY
FEDERAL FISCAL YEAR 2017 (OCTOBER 2016-SEPTEMBER 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	
1st SEMI-ANNUAL REPORT	1,041	\$412,243,992	99	\$69,904,793	17%	17%
October 2016- March 2017						
2nd SEMI-ANNUAL REPORT	756	\$1,067,592,661	117	\$174,222,727	16%	17%
April 2017-September 2017						
TOTAL	1797**	\$1,479,836,653	216	\$244,127,520	16%	17%

PAYMENTS*

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

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

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

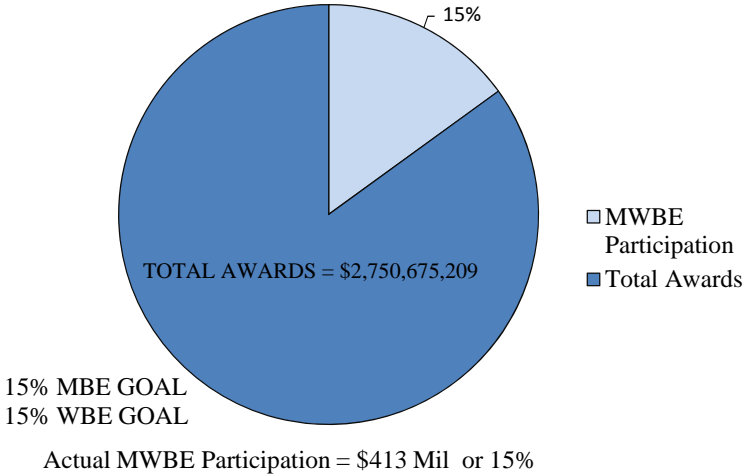
**MWBE Participation in State Funded Contracts
New York State Fiscal Year 2017-2018*
(April 1, 2017 to December 31, 2017)**

- Each year, MTA reports to the Empire State Development Corporation on a quarterly basis MWBE participation on state funded contracts.
- Reports are submitted 15 days after the end of each quarter, on January 15, April 15, July 15, and October 15.
- Reports include data on contracts with goals and MWBE contract payments.
- MTA established an overall MWBE goal of 30% for New York State fiscal year 2017-2018, starting on April 1, 2017.
- From April 1, 2017 to December 31, 2017, MTA awarded \$2.75 billion in New York State funded contracts, with \$413 million (15%) awarded to certified MWBEs.
- From April 1, 2017 to December 31, 2017, MTA paid over \$1.85 billion on prime contracts with \$478 million (25%), paid to MWBEs.

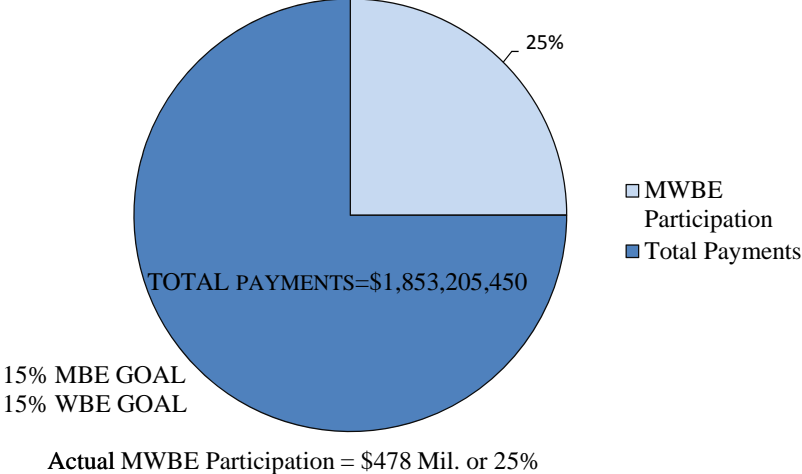
*The State Fiscal Year runs from April 1st through March 31st.

MWBE CONTRACT ACTIVITY
NEW YORK STAT FISCAL YEAR 2017-2018 (APRIL 2017-DECEMBER 2017)

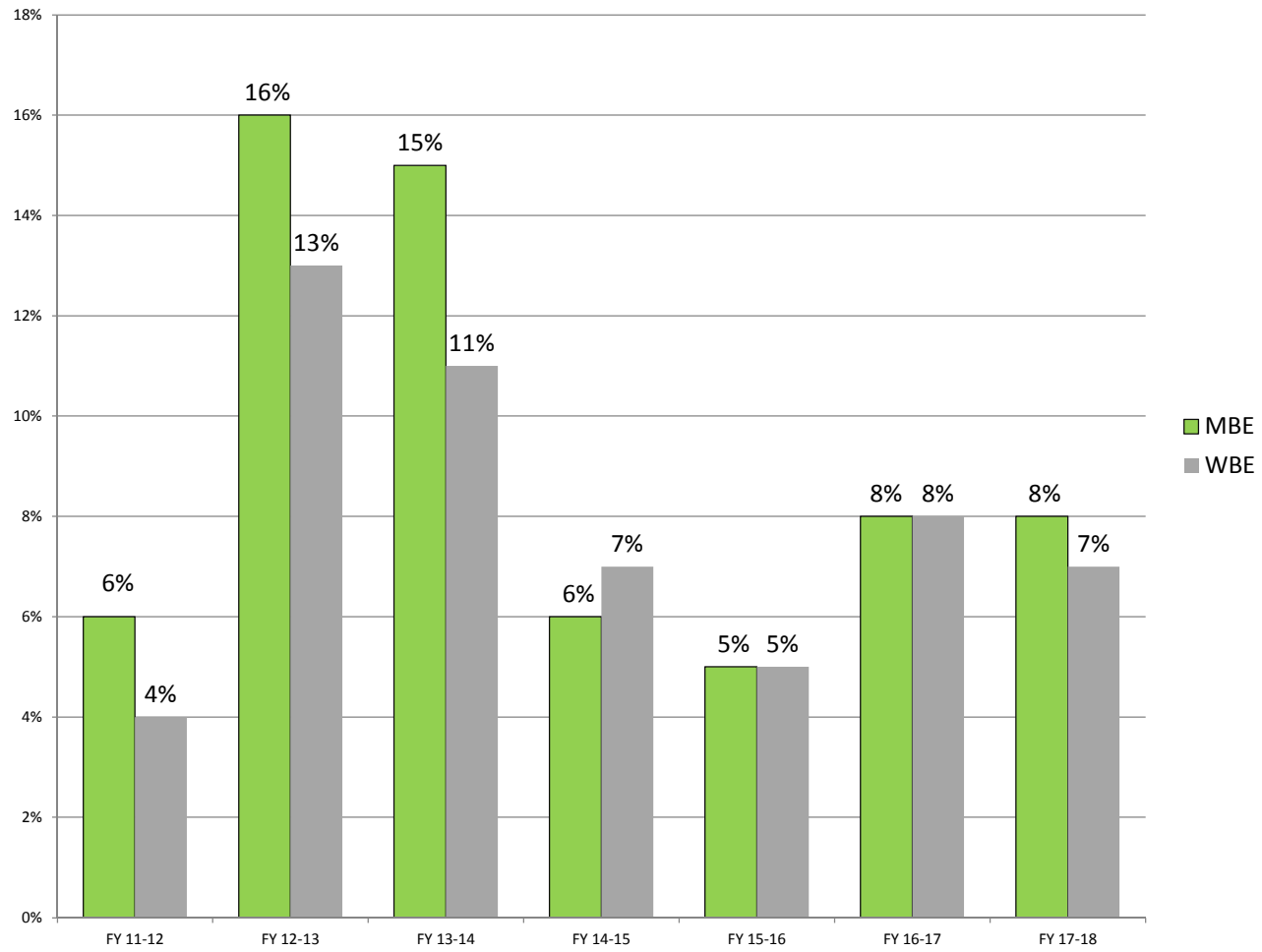
MWBE AWARD PARTICIPATION



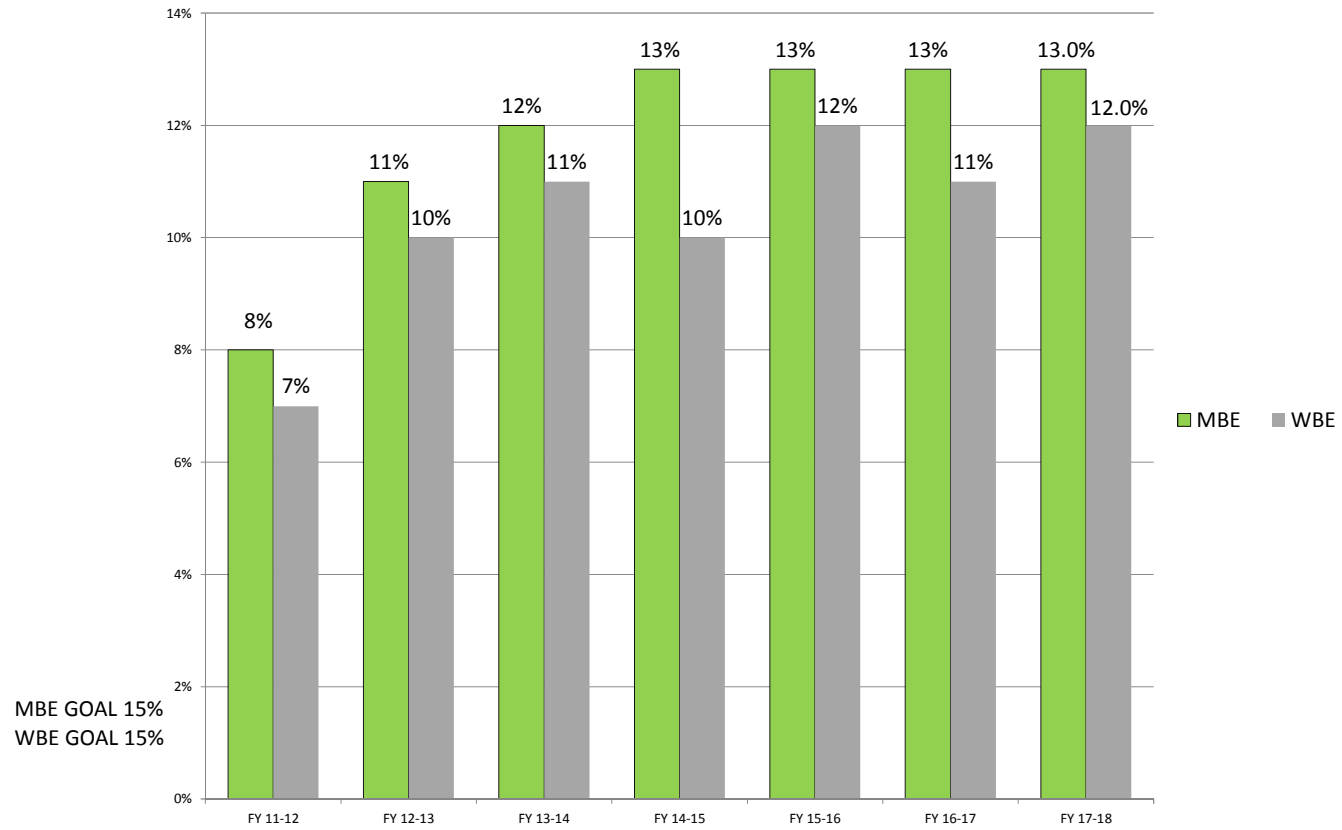
MWBE PAYMENT PARTICIPATION



NYS MWBE AWARDS
APRIL 2011 - DECEMBER 2017



NYS MWBE PAYMENTS
APRIL 2011- DECEMBER 2017



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

CONTRACT AWARDS	PRIME AWARDS		MWBE AWARDS			NYS Goal
	Number of Contracts	Award Amount	Number of MWBE Subcontracts	MWBE Award Amount	MWBE %	
FIRST QUARTER	20,594	\$811,427,097	1,552	\$126,566,925	16%	30%
APRIL 2017-JUNE 2017						
SECOND QUARTER	20,507	\$515,324,820	1,221	\$71,375,678	14%	30%
JULY 2017-SEPTEMBER 2017						
THIRD QUARTER	16,213	\$1,423,923,292	1,461	\$214,692,294	15%	30%
OCTOBER 2017-DECEMBER 2017						
TOTAL	57,314	\$2,750,675,209	4,234	\$412,634,897	15%	30%

PAYMENTS

CONTRACT PAYMENTS	PAYMENTS TO PRIMES		MWBE PARTICIPATION			NYS Goal
	Number of Contracts	Payment Amount	Number MWBE Contracts	MWBE Payment Amount	MWBE %	
FIRST QUARTER	1,025	\$583,483,892	4,533	\$136,681,139	23%	30%
APRIL 2017-JUNE 2017						
SECOND QUARTER	1,118	\$580,074,280	3,427	\$148,336,536	26%	30%
JULY 2017- SEPTEMBER 2017						
THIRD QUARTER		\$689,647,278	3,739	\$192,532,822	28%	30%
OCTOBER 2017-DECEMBER 2017						
TOTAL	2,143	\$1,853,205,450	11,699	\$477,550,497	25%	30%

**SDVOB Participation in State Funded Contracts
New York State Fiscal Year 2017-2018*
(April 1, 2017 to December 31, 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 December 31, 2017 MTA awarded \$2.3 million to SDVOBs.
- From April 1, 2017 to December 31, 2017, MTA paid over \$1.8 billion on prime contracts with \$3 million (0.17%), paid to SDVOBs.

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

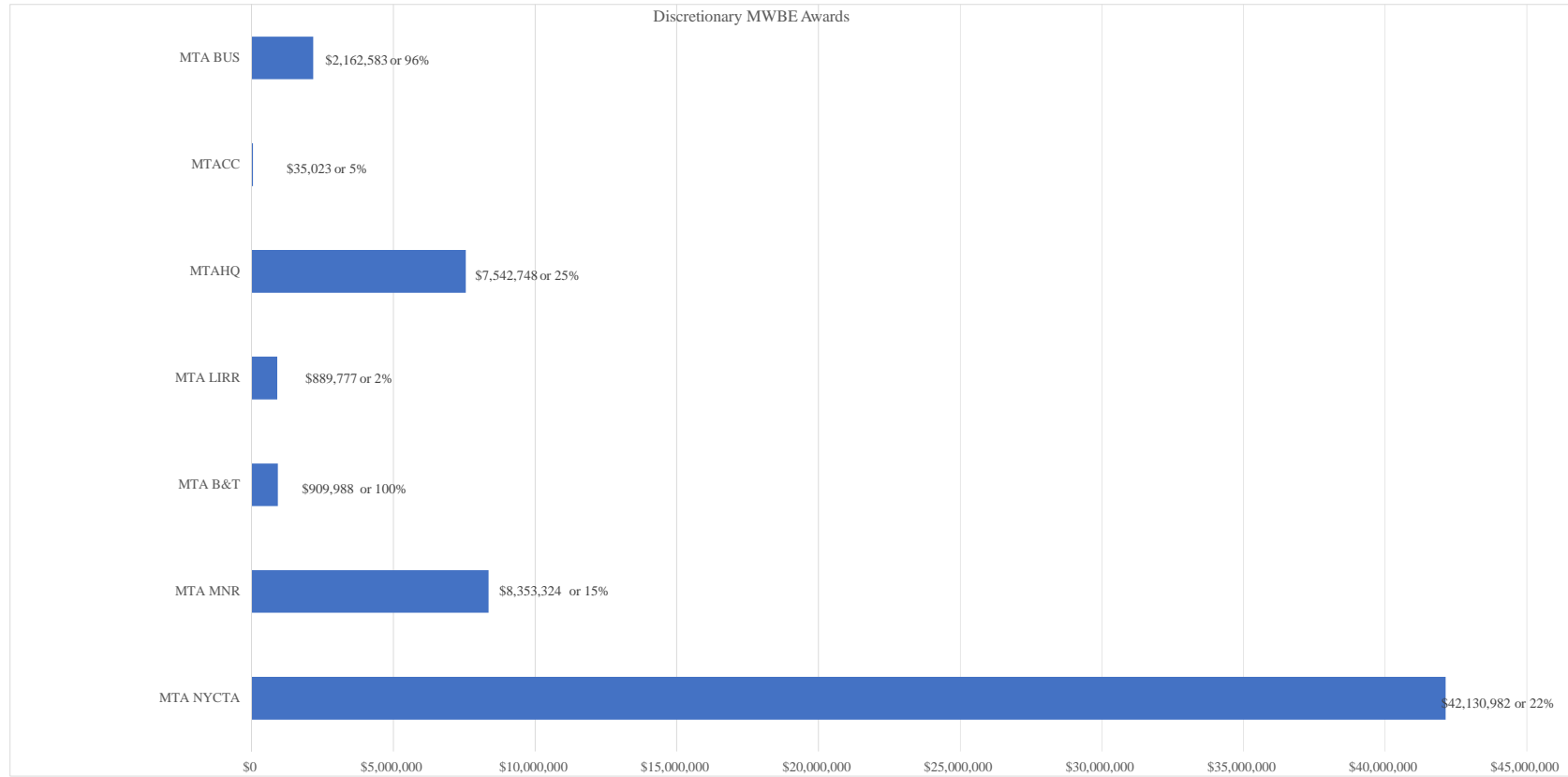
FY 2017 SDVOB CONTRACT AWARDS
JANUARY 2017-DECEMBER 2017

	Total SDVOB Awards
January 2017-March 2017	\$411,940
April 2017-June 2017	\$452,817
July 2017 - September 2017	\$205,022
October 2017-December 2017	\$1,236,550
Total 2017	\$2,306,329

SDVOB DISBURSEMENTS
January 2017-December 2017

	Total Agency Disbursements	Total SDVOB Disbursements	SDVOB%
January 2017	\$411,689,281	\$472,494	0.1%
April 2017	\$583,483,892	\$216,364	0.04%
July 2017-	\$138,254,656	\$260,276	0.19%
October 2017	\$689,647,278	\$2,078,092	0.30%
TOTAL	\$1,823,075,107	\$3,027,226	0.17%

MTA ALL AGENCY
DISCRETIONARY PROCUREMENTS REPORT*
JANUARY 2017-DECEMBER 2017



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

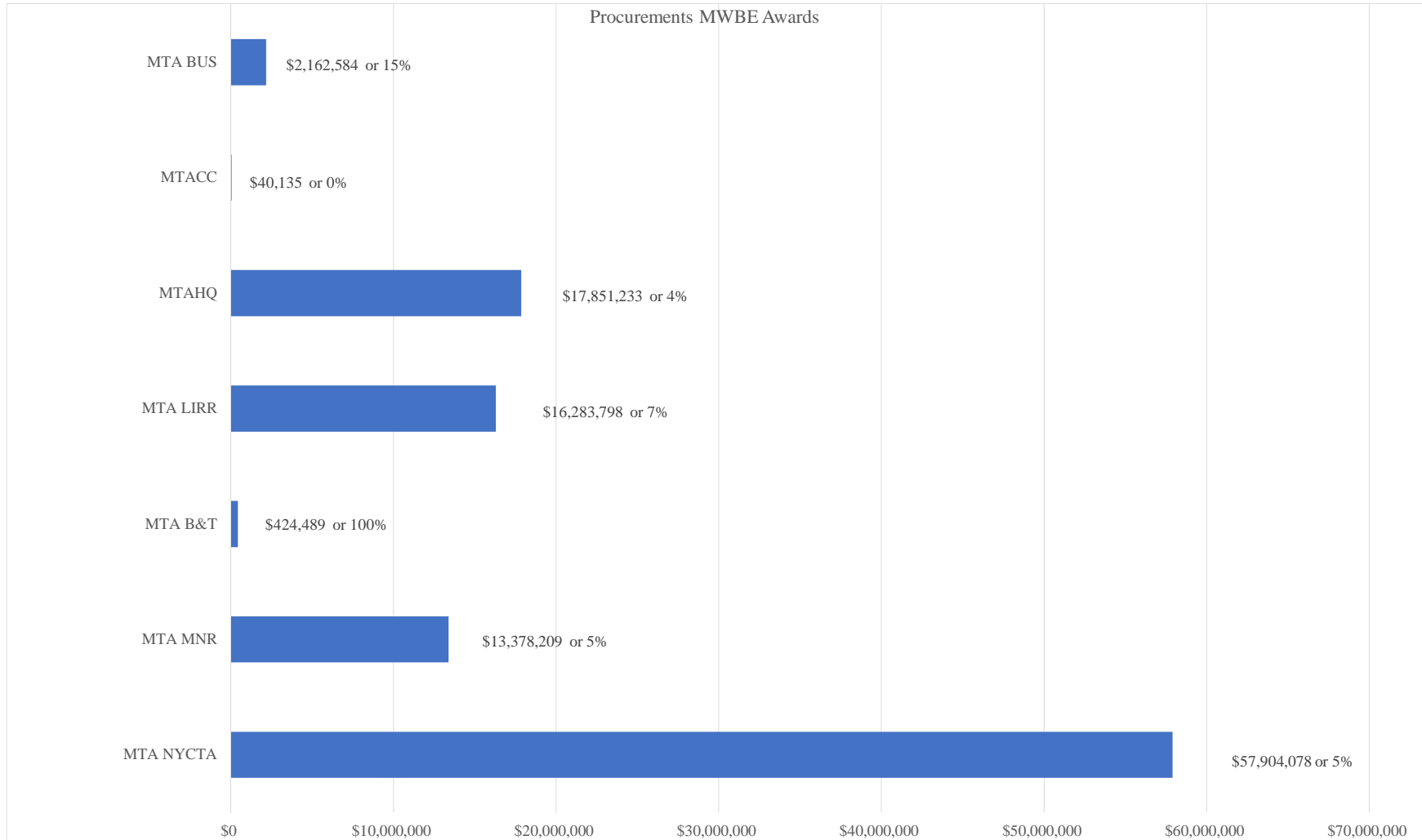
**MTA ALL AGENCY
DISCRETIONARY PROCUREMENT REPORT***

January 2017 - December 2017

Agency	Total Awards \$400k or Less	MWBE Discretionary Awards	Discretionary MWBE	SBC Discretionary	Discretionary SBC
MTA NYCTA	\$188,776,177	\$42,130,982	22%	\$5,933,672	3%
MTA MNR	\$55,692,490	\$8,353,324	15%	\$1,198,034	2%
MTA B&T	\$909,988	\$909,988	100%	\$0	0%
MTA LIRR	\$49,929,486	\$889,777	2%	\$1,456,197.00	3%
MTA HQ	\$29,962,874	\$7,542,748	25%	\$825,352	3%
MTA CC	\$751,649	\$35,023	5%	\$4,004	1%
MTA BUS	\$2,262,068	\$2,162,583	96%	\$99,485	4%
Total	\$328,284,732	\$62,024,425	19%	\$9,516,744	3%

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

MTA ALL AGENCY
TOTAL PROCUREMENTS
JANUARY 2017-DECEMBER 2017



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

Agency	Total Award Amount	Total MWBE Awards	MWBE
MTA NYCTA	\$1,166,756,289.46	\$57,904,077.72	5%
MTA MNR	\$289,932,900.83	\$13,378,208.66	5%
MTA B&T	\$424,489.00	\$424,489.00	100%
MTA LIRR	\$240,724,876.14	\$16,283,797.92	7%
MTA HQ	\$427,790,045.31	\$17,851,233.36	4%
MTA CC	\$68,569,622.48	\$40,135.26	0%
MTA BUS	\$14,100,278.35	\$2,162,583.67	15%
Total	\$2,208,298,502	\$108,044,526	5%

Metropolitan Transportation Authority Department of Diversity and Civil Rights

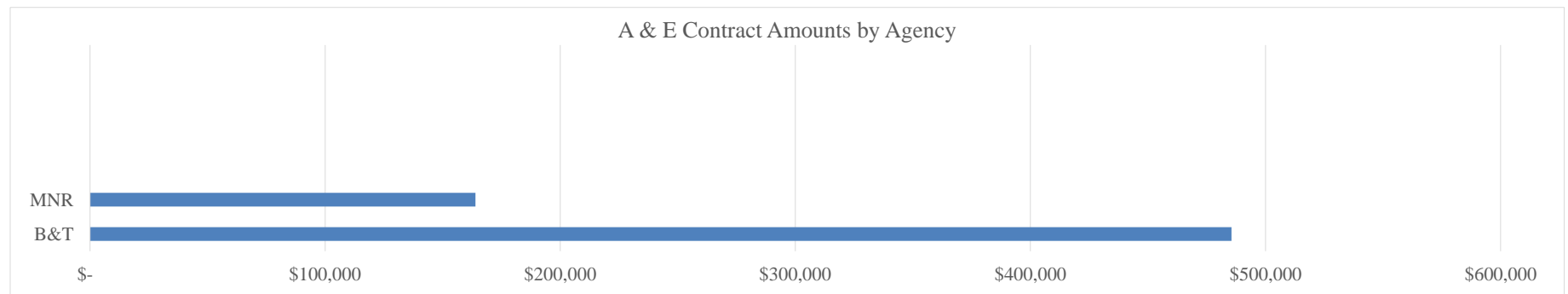
Discretionary A&E, Legal, & IT

February 20, 2018



A/E Awards thru Discretionary Procurement as of 11/27/17[illegible]

Total : \$ 649,423



IT Discretionary

**IT Discretionary Consulting Contract No. 14357
January 2017- December 2017**

Total Number of Awards- 194

Value of Awards- \$ 31.5 million

Value of Cumulative Awards- \$50 million*

*Previously we reported the value of awards from January to September 2017 as \$31 million. Upon further review we have revised that figure to \$28.5 million. The cumulative value through September 2017 was previously reported as \$51.4 million. We have revised this figure to \$47 million.



Supplier	PO No.	Sum Merchandise Amt
CAPSTONE STRATEGY GROU	9000005896	\$100,000.00
	9000006673	\$85,663.50
	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
	9000007423	\$71,045.98
DONNELLY & MOORE CORP	9000006057	\$201,600.00
	9000005798	\$200,747.04
	9000006098	\$152,848.00
	9000006159	\$215,339.41
	9000006739	\$310,341.00
	9000006747	\$158,304.81
	9000007100	\$212,994.60
GRANDWOOD INC	9000006258	\$113,750.00
IIT INC	9000005802	\$298,154.00
	9000006460	\$300,000.00
	9000007784	\$125,000.00
	9000007791	\$115,025.62
	9000005753	\$78,319.00
	9000005797	\$86,922.00
	9000006257	\$211,133.00
	9000006488	\$32,780.00
	9000006824	\$87,171.08
	9000006938	\$165,260.48
	9000007006	\$71,045.98
	9000005643	\$28,931.00
	9000005718	\$99,568.00
	9000005745	\$201,975.00
	9000005752	\$97,500.00
	9000005779	\$213,741.00
	9000005780	\$50,000.00
	9000005799	\$173,584.00
	9000006021	\$76,050.00
	9000006069	\$100,000.00
	9000006149	\$177,785.00
	9000006334	\$258,421.50
	9000006421	\$211,113.00

	9000006463	\$202,000.00
	9000006487	\$68,800.00
	9000006708	\$85,663.50
	9000006772	\$100,760.66
	9000006773	\$100,760.66
	9000006896	\$206,049.63
	9000006984	\$60,568.84
	9000007068	\$212,994.60
	9000007071	\$212,994.60
	9000007087	\$173,016.12
	9000007238	\$65,139.36
	9000007240	\$194,392.80
	9000007282	\$3,757.00
	9000007283	\$2,537.50
	9000007285	\$20,174.00
	9000007574	\$31,148.00
	9000007576	\$31,148.00
	9000007800	\$150,000.00
INFOPEOPLE CORP	9000005681	\$373,761.50
	9000007780	\$116,243.12
	9000005716	\$52,488.00
	9000005769	\$271,206.00
	9000006156	\$142,755.50
	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
	9000007262	\$268,917.60
	9000007274	\$40,992.00
	9000007571	\$295,054.00
	9000007742	\$292,433.06
INFOSYS INTERNATIONAL, IN	9000006823	\$220,384.48
	9000007043	\$71,045.98
	9000007563	\$31,149.00
	9000005734	\$159,441.41
	9000005785	\$31,160.00
	9000005807	\$48,735.00
	9000005829	\$310,537.50
	9000005964	\$220,272.00

	9000006011	\$297,833.84
	9000006020	\$381,244.50
	9000006058	\$150,085.00
	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	\$358,119.00
	9000007005	\$60,568.84
	9000007031	\$189,150.00
	9000007308	\$101,381.10
	9000007436	\$54,613.00
	9000007570	\$31,148.00
IZAR ASSOCIATES INC	9000005740	\$89,760.00
	9000005813	\$39,190.16
	9000006094	\$343,600.00
	9000005700	\$197,730.00
	9000005875	\$381,784.48
LYNX TECHNOLOGY PARTNE	9000006139	\$303,399.00
	9000007296	\$262,626.12
	9000006140	\$245,802.71
	9000006607	\$198,855.71
	9000006891	\$85,663.50
NEOTECRA, INC.	9000005773	\$198,861.00
	9000006877	\$147,690.10
	9000006888	\$141,407.88
NEXT GENERATION INC	9000006325	\$286,000.00
PROTEK INFORMATION TECH	9000005877	\$389,320.00
PRUTECH SOLUTIONS, INC.	9000005795	\$55,114.00
	9000005884	\$92,048.00
	9000006293	\$215,256.00
	9000006454	\$143,931.00
	9000006455	\$353,356.30
	9000006462	\$105,518.00
	9000006466	\$169,867.00
	9000007416	\$200,742.30
Q.E.D., INC.	9000006107	\$390,644.00
	9000006218	\$168,480.00
	9000006018	\$372,360.00
	9000006071	\$133,120.00

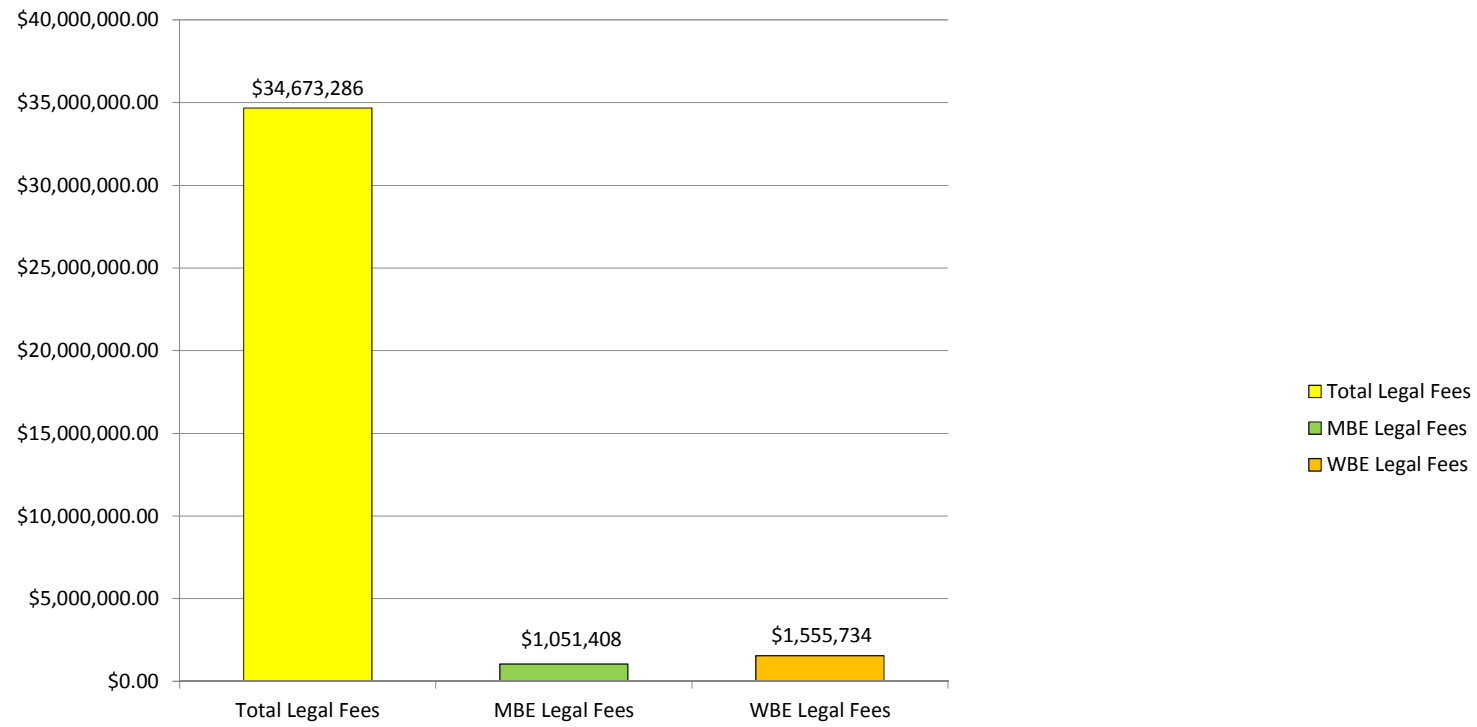
	9000006108	\$109,980.00
	9000006205	\$242,938.00
	9000007404	\$141,407.88
	9000007510	\$54,613.00
SOURCE OF FUTURE TECHN	9000005770	\$101,156.00
	9000006390	\$193,839.36
	9000005739	\$118,950.00
	9000005750	\$85,800.00
	9000005941	\$141,414.00
	9000005942	\$92,327.02
	9000005943	\$94,991.52
	9000005944	\$220,272.00
	9000005977	\$221,130.00
	9000006040	\$325,000.00
	9000006056	\$386,720.00
	9000006174	\$184,800.00
	9000006305	\$192,500.00
	9000006418	\$348,249.76
	9000006435	\$116,667.00
	9000006667	\$138,552.00
	9000007577	\$31,148.00
SPRUCE TECHNOLOGY INC	9000006365	\$219,267.00
	9000005688	\$173,584.00
	9000005814	\$74,142.00
	9000006419	\$193,839.36
	9000005966	\$220,272.00
	9000006660	\$286,000.00
	9000006865	\$122,542.23

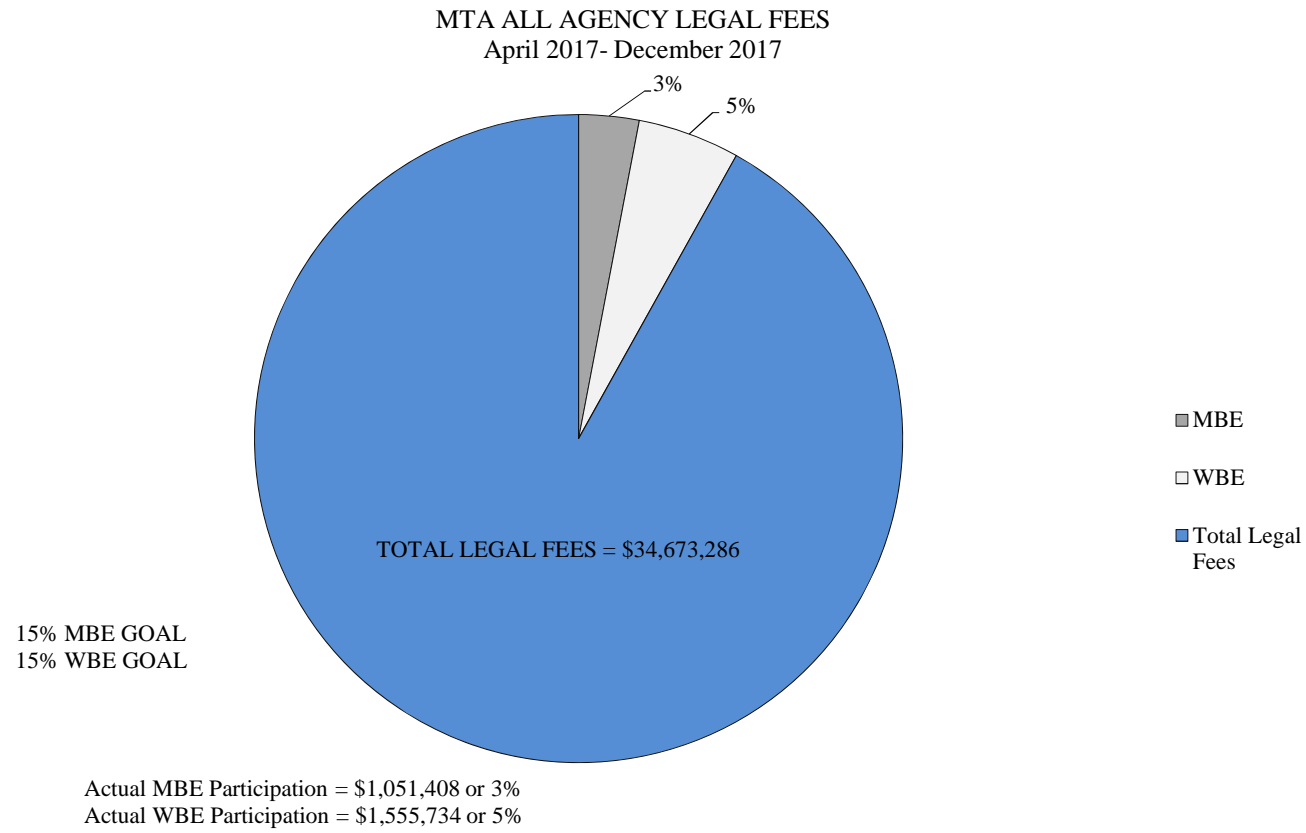
	9000007342	\$184,164.00
TCA CONSULTING GROUP IN	9000007058	\$250,321.50
	9000006369	\$63,375.00
	9000006559	\$73,125.00
	9000006748	\$139,379.24
	9000006926	\$165,260.48
UNIQUE COMP, INC.	9000006485	\$219,267.00
	9000006689	\$185,685.11
	9000006015	\$98,892.00
	9000006343	\$26,319.00
	9000007082	\$78,804.50
	9000005817	\$111,392.00
	9000005818	\$159,998.00
	9000005819	\$312,000.00
	9000005886	\$134,000.00
	9000005961	\$283,650.80
	9000005970	\$355,920.00
	9000006221	\$194,865.00
	9000006233	\$286,000.00
	9000006341	\$127,717.59
	9000006468	\$117,867.00
	9000006469	\$164,667.00
	9000006568	\$216,944.00
	9000006782	\$108,350.55
	9000006893	\$113,519.40
	9000007280	\$21,840.00
US TECH SOLUTIONS, INC	9000006415	\$219,966.29
	9000006547	\$222,169.98
	9000006736	\$196,232.00
	9000006770	\$143,029.00
	9000006822	\$357,548.00
	9000007102	\$71,760.00
	9000007138	\$78,804.50
	9000007139	\$78,804.50
	9000007292	\$78,804.50
	9000007317	\$78,804.50
	9000007405	\$84,760.00
	9000007424	\$78,804.50
	9000007426	\$90,183.00

194

\$ 31,541,135.43

MTA ALL AGENCY LEGAL FEES APRIL 2017 - DECEMBER 2017





**MTA ALL AGENCY LEGAL FEES PAID
APRIL 2017 THROUGH DECEMBER 2017**

AGENCY	ALL FEES PAID	MBE FEES PAID	Agency MBE PARTICIPATION	WBE FEES PAID	Agency WBE PARTICIPATION	MWBE FEES PAID	Agency MWBE PARTICIPATION
B & T	\$156,269.68	\$30,390.55	19.4%	\$0.00	0.0%	\$30,390.55	19.4%
LIRR	\$2,349,510.08	\$273,988.96	11.7%	\$268,130.00	11.4%	\$542,118.96	23.1%
MTABUS	\$3,553,119.72	\$207,052.55	5.8%	\$202,976.81	5.7%	\$410,029.36	11.5%
MTACC	\$342,322.00	\$0.00	0.0%	\$277,786.00	81.1%	\$277,786.00	81.1%
MTAHQ	\$17,436,670.12	\$313,932.07	1.8%	\$256,259.81	1.5%	\$570,191.88	3.3%
MNR	\$2,169,151.90	\$194,059.99	8.9%	\$256,650.41	11.8%	\$450,710.40	20.8%
NYCTA	\$8,666,242.54	\$31,983.92	0.4%	\$293,931.22	3.4%	\$325,915.14	3.8%
TOTAL	\$34,673,286	\$1,051,408	3.0%	\$1,555,734	4.5%	\$2,607,142.29	7.5%

Metropolitan Transportation Authority
Department of Diversity and Civil Rights

Status of Closed Contracts
as of January 31, 2018

February 20, 2018



MTA Headquarters DDCR Update

Inactive Contracts – Status as of January 31, 2018

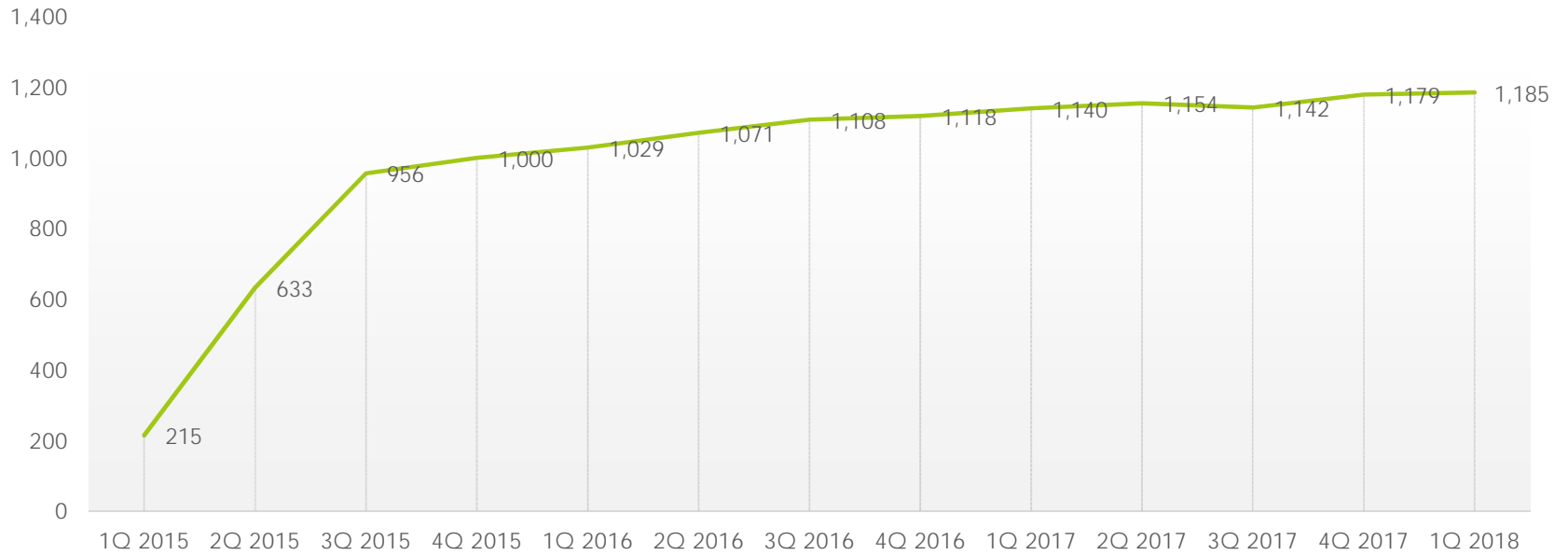
Inactive Contracts with Goals	#
1. Total Contracts Reviewed and Closed	893
2. Contracts Administratively Closed	292 ¹
Sub-Total	1,185 (95%)
3. Closeouts in Progress	25
4. Contracts Pending Agency Action	47
Total	1,257 ² (100%)

1. Contracts administratively closed because of the age of the contract (beyond the established seven-year record retention period).
2. Total number of inactive & closed contracts as of January 31, 2018.



MTA Headquarters DDCR Update

DDCR Contract Closeout Progression 1Q 2015 through 1Q 2018*



*1Q 2018 data reflects the total number of contracts closed out as of January 31, 2018.



Metropolitan Transportation Authority Department of Diversity and Civil Rights

Project Site Visits
as of January 31, 2018

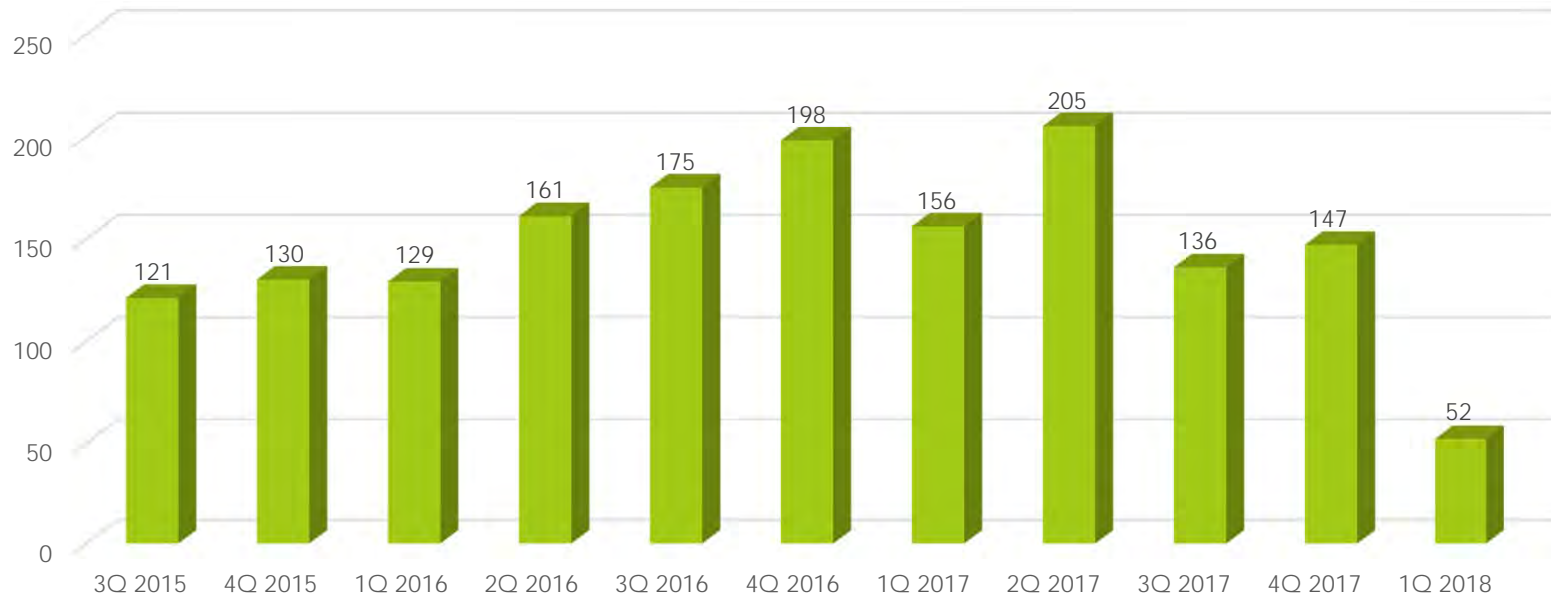
February 20, 2018



MTA Headquarters DDCR Update

DDCR Project Site Visits: 3Q 2015 - 1Q 2018*

Total Site Visits Performed = 1,610



*1Q 2018 data reflects site visits performed in January 2018 only.



Metropolitan Transportation Authority Department of Diversity and Civil Rights

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

February 20, 2018



MWDBE and SDVOB Participation on MTA Capital Projects with Goals

January -- December 2017

- Federal Participation Goal: 17%* Actual DBE Participation: 16%
 - Total Awards: \$1.013 B**
 - Total DBE Awards \$162M

- NYS MBE Participation Goal: 15% Actual MBE Participation: 13%
 - Total Awards: \$712M**
 - Total MBE Awards \$92M

- NYS WBE Participation Goal: 15% Actual WBE Participation: 10%
 - Total Awards: \$712M**
 - Total WBE Awards \$70M

- NYS SDVOB Participation Goal: 6% Actual SDVOB Participation: 0%

* As of October 1, 2017 MTA's overall DBE goal increased to 18%.

**Based on original contract amount provided by MTA Agencies for third-party design and construction (excluding rolling stock and signals).



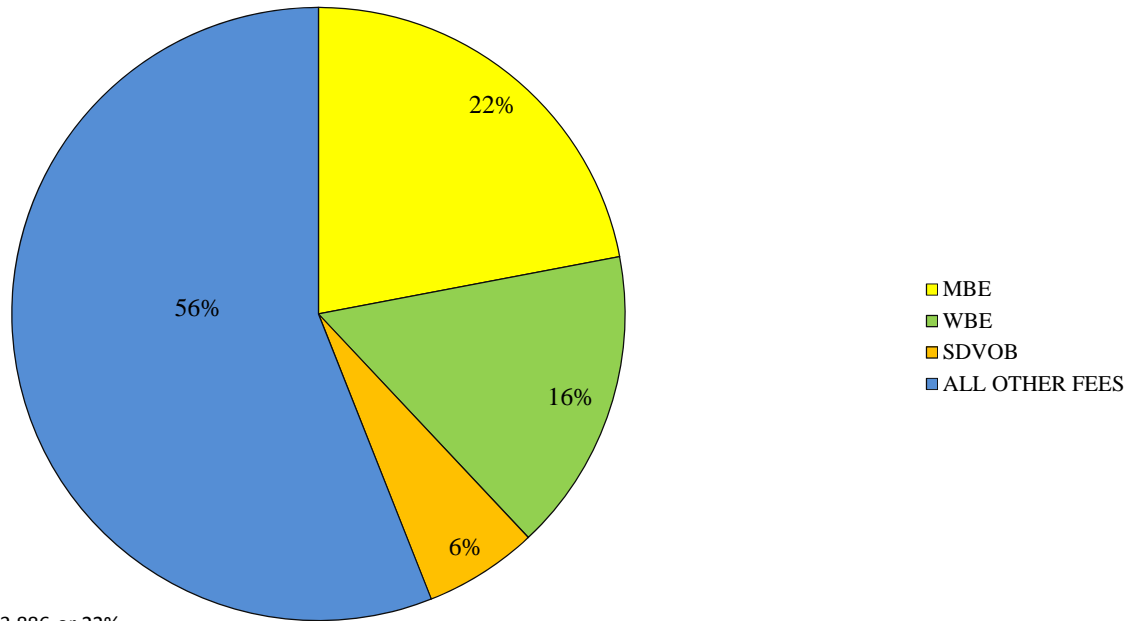
Metropolitan Transportation Authority Department of Diversity and Civil Rights

Financial Services

February 20, 2018



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



Actual MBE Participation = \$3,363,886 or 22%
Actual WBE Participation = \$2,382,251 or 16%
Actual SDVOB Participation \$921,492 or 6%
All Other Underwriting Fees =\$8,553,105 or 56%
Total Underwriting Fees = \$15,221,734

Metropolitan Transportation Authority Department of Diversity and Civil Rights

Asset Fund Managers

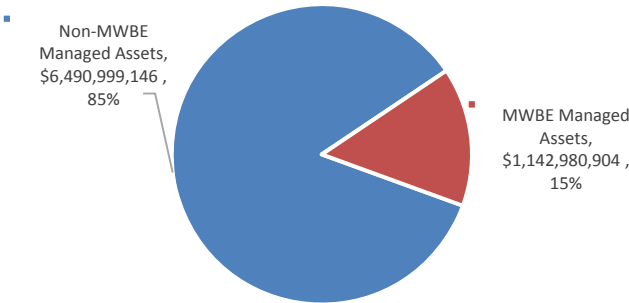
February 20, 2018



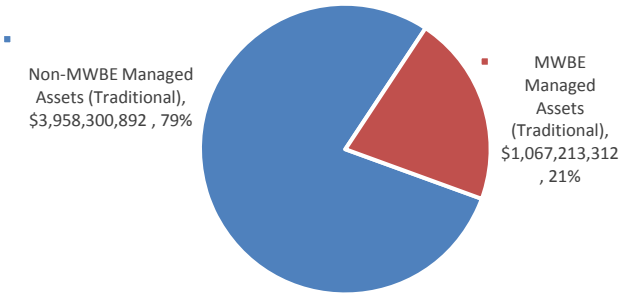
MTA Sponsored Plans – MWBE Participation

As of December 31, 2017

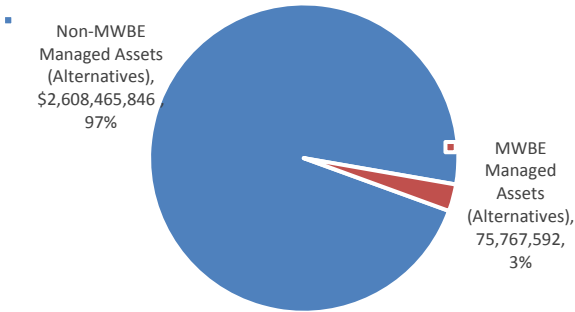
Combined Plans - Total Assets



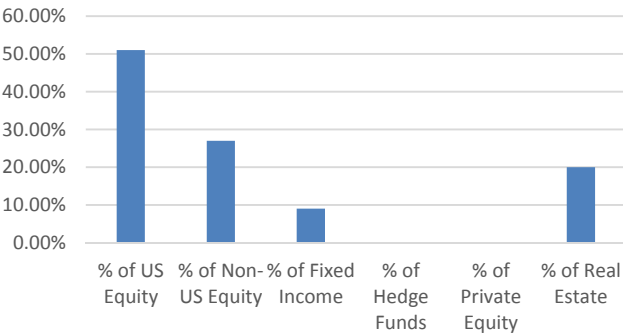
Combined Plans - Traditional Investments



Combined Plans- Alternative Investments



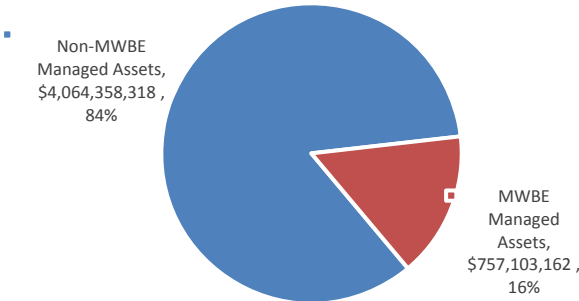
MWBE Managed Assets by Asset Class



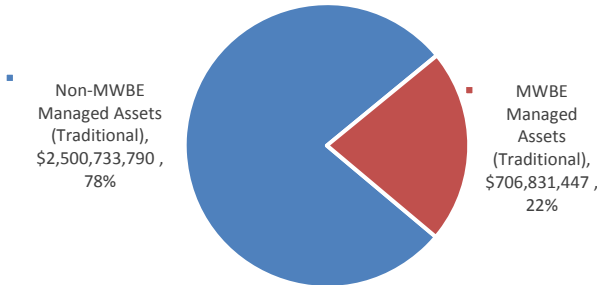
MTA Sponsored Plans – MWBE Participation

As of December 31, 2017

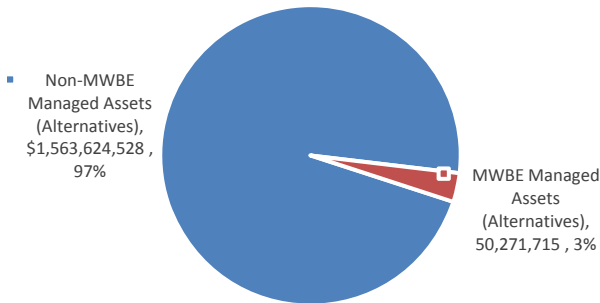
MTA Defined Benefit - Total Assets



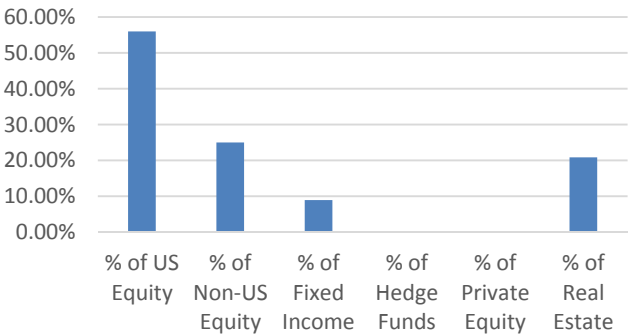
MTA Defined Benefit - Traditional Investments



MTA Defined Benefit - Alternative Investments



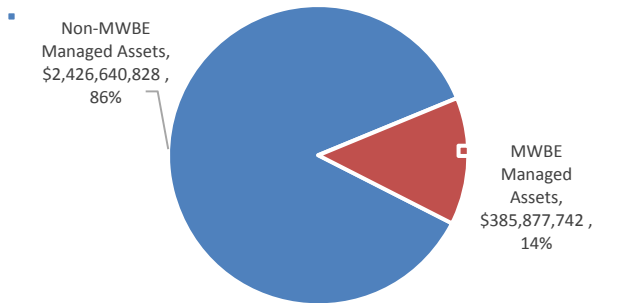
MWBE Managed Assets by Asset Class



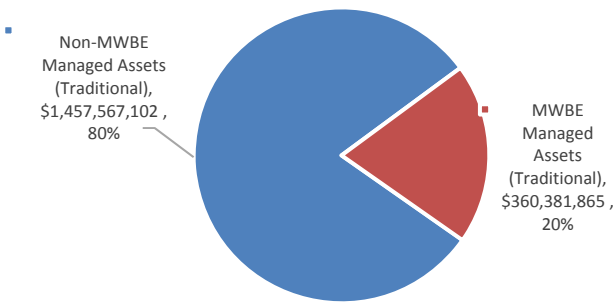
MTA Sponsored Plans – MWBE Participation

As of December 31, 2017

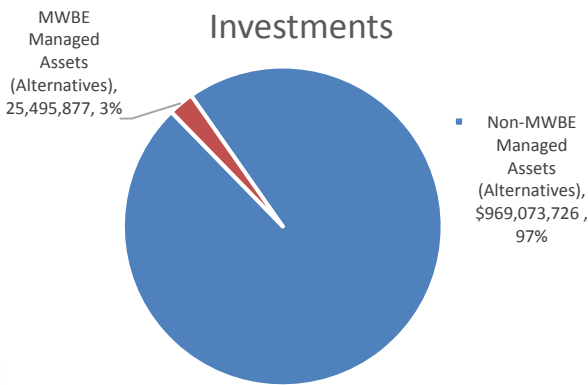
MaBSTOA - Total Assets



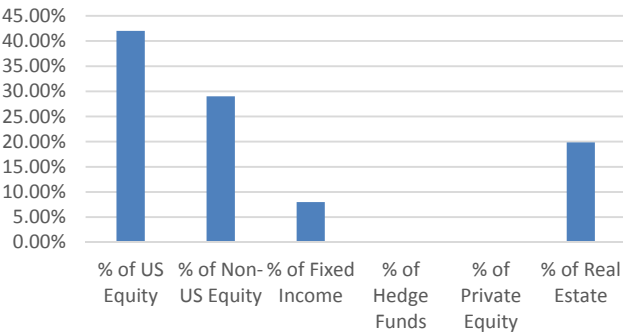
MaBSTOA - Traditional Investments



MaBSTOA - Alternative Investments



MWBE Managed Assets by Asset Class



MTAHQ POLICY STATEMENT

EQUAL EMPLOYMENT OPPORTUNITY

The Metropolitan Transportation Authority (“MTA”) is fully committed to equal employment opportunity for all employees and applicants for employment without regard to race, color, religion, creed, national origin, ancestry, sex, sexual orientation, age, disability, predisposing genetic characteristic, gender identity and expression, pregnancy, veteran or military status, marital/familial/partnership/caregiver status, status as a victim of domestic violence, stalking and/or sex offenses, or any other legally protected basis. In addition, MTA will not impermissibly use or rely on immigration/alienage/citizenship status, credit history, arrest/conviction records, unemployment history, or salary history in its employment practices. MTA’s EEO policy applies to all employment actions, including but not limited to hiring, promotion, upgrading, working conditions, demotion, transfer, recruitment or recruitment advertising, layoff or other discharge, recall, rates of pay or other forms of compensation, treatment of employees, benefits and selection for training. Further, the MTA expressly prohibits any form of harassment based on the aforementioned protected bases. These forms of discrimination are prohibited in the workplace and in any location that could reasonably be regarded as an extension of the workplace, such as business travel or outside training. Such interference with the ability of the MTA’s employees to perform their expected job duties is not tolerated.

All employees and applicants for employment shall be protected from retaliation or harassment for filing a complaint or participating in an investigation of a complaint, participating in any employment discrimination proceeding or other protected activity. Such retaliation or harassment is strictly prohibited and will not be tolerated. The MTA is committed to providing reasonable accommodations to applicants and employees who need them because of a disability or pregnancy/childbirth or related medical condition, or to practice or observe their religion, absent undue hardship as required by applicable law.

The MTA is fully committed to complying with all applicable laws and regulations that call for the establishment and implementation of a program providing equal employment opportunities for all employees and applicants for employment. To that end, MTA has developed a written nondiscrimination program that sets forth the policies, practices and procedures, with goals and timetables, to which MTA is committed. This program is available for inspection by employees or applicants for employment upon request. All managers and supervisors share in the responsibility for complying with and promulgating this program and are assigned specific tasks to ensure and achieve compliance. Their performance in connection with this responsibility will be evaluated in the same manner the agency evaluates their performance in other agency programs.

Michael J. Garner, Chief Diversity Officer, reports directly to the MTA President. Mr. Garner is responsible for implementing the MTA’s EEO Policy and coordinating the MTA’s equal employment opportunity program. If you believe you have been subjected to a violation of MTA’s EEO Policy in your employment or application for employment you have a right to file complaints of discrimination and/ or retaliation directly with Mr.

MTAHQ POLICY STATEMENT

EQUAL EMPLOYMENT OPPORTUNITY (Continued)

Garner at 2 Broadway, 16th Floor, New York, NY 10004 and mgarner@mtahq.org or by phone at (646) 252-1385. You may also report a potential violation to your immediate supervisor or a higher level supervisor, although you are not required to do so.

Managers and supervisors are required to notify MTA's EEO Officer, Mr. Garner, as soon as they receive a complaint or otherwise observe, learn about, or suspect any improper discriminatory or retaliatory conduct, regardless of whether or not:

- a written statement is provided contemporaneously,
- the complainant requests that no action be taken and/or requests confidentiality, or
- the complainant works in the manger/supervisor's department, division, or unit.

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

You may also file a complaint externally with an outside agency/organization. For certain complaints, you may be required to file directly in State Court. The following external agencies handle complaints of discrimination and retaliation:

- The United States Equal Employment Opportunity Commission, New York District Office, 33 Whitehall Street, 11th Floor – New York, NY 10004
- The New York State Division of Human Rights, New York District Office, 100 Gold Street, 4th Floor New York, NY 10038

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



Veronique Hakim
Managing Director



Patrick Foye
President

MTAHQ POLICY

SEXUAL AND OTHER DISCRIMINATORY HARASSMENT

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

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

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

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

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

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

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

MTAHQ POLICY

SEXUAL AND OTHER DISCRIMINATORY HARASSMENT (Continued)

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

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

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

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

The Department of Diversity and Civil Rights will promptly initiate a thorough and impartial inquiry. In all cases, confidentiality will be maintained throughout the investigation to the extent practical and consistent with the MTA's obligation to undertake a full inquiry and to make a determination. In addition, all employees are required to fully cooperate during the conduct of such an investigation. The MTA Equal

MTAHQ POLICY

SEXUAL AND OTHER DISCRIMINATORY HARASSMENT (Continued)

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

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

In addition to the complaint procedures described above, complaints may be filed with:

- The United States Equal Employment Opportunity Commission, New York District Office, 33 Whitehall Street, 11th Floor, New York, NY 10004
- The New York State Division of Human Rights, New York District Office, 100 Gold Street, 4th Floor New York, NY 10038

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Veronique Hakim
Managing Director



Patrick Foye
President

MTAHQ POLICY

AMERICANS WITH DISABILITIES ACT

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

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

All employees and applicants for employment shall be protected from retaliation or harassment for filing a complaint or participating in an investigation of a complaint. Reprisal against or interference with an employee's or applicant's right to file a complaint concerning such matters constitutes a violation of this Policy. The MTA Equal Employment Opportunity Policy also contains pertinent information relating to claims of discrimination.

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

The Department of Diversity and Civil Rights will promptly initiate a thorough and impartial inquiry. In all cases, confidentiality will be maintained throughout the investigation to the extent practical and consistent with the MTA's obligation to undertake a full inquiry and to make a determination. In addition, all employees are required to fully cooperate during the conduct of such an investigation.

MTAHQ POLICY

AMERICANS WITH DISABILITIES ACT (Continued)

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

In addition to the complaint procedures described above, complaints may be filed with:

- The United States Equal Employment Opportunity Commission, New York District Office, 33 Whitehall Street, 11th Floor, New York, NY 10004
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