



Metropolitan Transportation Authority

Diversity Committee Meeting

December 2018

Committee Members

S. Metzger, Chair
D. Jones
P. Ward
N. Zuckerman

Diversity Committee Meeting

2 Broadway- 20th Floor Board Room

New York, NY 10004

Wednesday, 12/12/2018

9:00 - 10:00 AM ET

1. PUBLIC COMMENT PERIOD

2. APPROVAL OF MINUTES- NOVEMBER 5, 2018, MAY 21, 2018, FEBRUARY 20, 2018, DECEMBER 13, 2017, AND SEPTEMBER 27, 2017

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4. 2019 DIVERSITY COMMITTEE WORK PLAN

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5. EXECUTIVE SUMMARY

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7. DBE CERTIFICATION ACTIVITY REPORT

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MTA DIVERSITY COMMITTEE

Meeting Minutes

2 Broadway, 20th Floor

New York, NY 10004

Monday, November 5, 2018

11:30 a.m.

The following Committee member was present:

Hon. Susan G. Metzger, Chair

The following Committee members were absent:

Hon. David Jones

Hon. Neal Zuckerman

Hon. Peter Ward

The following were also present:

Joseph Lhota, Chairman, MTA

Hon. Fernando Ferrer, Vice Chairman, MTA

Norman Brown, MTA Board Member

Patrick Foye, President, MTA

Veronique “Ronnie” Hakim, MTA Managing Director

Helene Fromm, MTA Chief of Staff

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

Rhonda Hogan-Brock, Corporate Director, Workforce Engagement & Development

Philip Eng, President, MTA Long Island Rail Road (“LIRR”)

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

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

Janno Leiber, President, MTA Capital Construction

Chief Owen Monaghan, MTA Chief of Police

Naeem Din, Deputy Chief Diversity Officer, DDCR

Gwen Harleston, Deputy Chief Diversity Officer, Minority, Women-owned and Gwen Disadvantaged Business Enterprises (“MWDBE”) Contract Compliance, DDCR

George Cleary, Deputy Chief Diversity Officer, Small Business Development Program (“SBDP”), DDCR

L. Danny Camacho, Assistant Deputy Chief Diversity Officer, Certification, DDCR

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

Satori Samuda, Assistant Deputy Chief Diversity Officer, DDCR

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David Sang, Assistant Deputy Chief Diversity Officer, Title VI and Workforce Initiatives, DDCR
Leticia Negron, Manager, MWDBE Contract Compliance, DDCR
Nadara Wade, Manager, Title VI Compliance, DDCR
Christine Norman, Director, Supply Diversity, Procurement, MTA
Patricia Lodge, Vice President, HR, MTA New York City Transit (“NYC Transit”)
Joel Andrews, Chief Officer, Office of EEO, NYC Transit
Patrick Smith, V.P., Human Resources, B&T
Shibu Jacob, Manager, Diversity Management, LIRR
Shawn Moore, V.P. and Chief of Staff, B&T
Paige Graves, General Counsel, MTA Bus
Yvonne Hill-Donald, HR Business Manager, MNR
Patrick Isom, Manager, Financial Analysis, MTA Headquarters (“MTAHQ”)
Mayela Velez, Acting Director, EEO and Diversity, MTA Metro-North Railroad (“MNR”)
Roselyn Green, Chief EEO Officer, MTA Capital Construction (“CC”)
Jennifer Buchanan, Director, EEO Recruitment & Diversity, MTA Bus
Keyana Rivers-Smith, Acting Chief EEO Officer, MTA Bus
Vernessa Moses, Assistant Vice President, Office of EEO, NYCT
Mariel Thompson, Assistant General Counsel, NYCT
Antonio Seda, Assistant VP, EEO Investigations, NYCT
Michael Collins, Assistant Vice President, NYCT
Deb Prato, Senior VP, NYCT
Heidi Lemanski, Chief of Staff, MTA Bus
Tiffany Corbett, Employment Specialist, NYCT

Public Speakers

Kieran Spillane, Acting Project Manager of Second Avenue Subway Project, provided a brief overview. In addition, two program interns, Flavia Beppler and Ahmed Obidat discussed their experiences.

Approval of Minutes

Votes on minutes of the meetings held on September 27, 2017, December 13, 2017, February 20, 2018, and May 21, 2018 will take place at the following Diversity Committee meeting.

2018 Diversity Committee Work Plan

Chair Metzger asked if there were any changes to the Work Plan. Mr. Din stated that there were two changes to the work plan: the reporting for September is being presented in November 2018, and the Committee Charter Review is removed because the full Board completed the annual review of the charter in March 2018.

Executive Summary

Mr. Garner stated that Governor Andrew Cuomo announced contract payments made to MWBEs by state agencies and public authorities and MTA was ranked number one, averaging 26%. Mr. Garner stated that this year MTA will exceed its 30% MWBE goal by working with the operating agencies to create opportunities at the prime and subcontract levels.

Business and Diversity Initiatives

Mr. Din provided an update on various outreach events for MWDBEs, Service Disabled Veteran-Owned Businesses (“SDVOBs”), and other small businesses that DDCR organized and/or attended. He said that DDCR attended 17 outreach events from January through October 2018, resulting in increased participation in some areas. He reported that the MWBE Conference was held in Albany in October 2018, the largest state-wide meeting of its kind with over 2,000 participants.

Mr. Din also stated that details of the firms who have obtained contracts from the MTA as a result of participating in the outreach events are in the committee book. Specifically, he said 35 firms obtained contracts, totaling \$467 million in both prime and subcontract awards. He reported that attendance at the DBE Certification Workshops has also increased.

Certification Activity Report

Mr. Din reported on the DBE certification activity for the second quarter of calendar year 2018. He said that from April through September 2018, DDCR received fewer DBE certification applications, compared with the same period in previous two years. However, he said, due to an increase in the number of firms attending DDCR workshops, a corresponding increase in the number of new certification applications is expected in the future.

Second Quarter 2018 EEO Activities

Ms. Samuda stated that total MTA workforce increased by 2 percent. She said female representation increased by 6 percent, and that females were hired at a higher percentage compared to their current representation in the workforce. In addition, she said, minority representation in the work force increased by 3 percent.

Ms. Samuda said DDCR has also outlined the underutilization of females and minorities in specific job categories.

MTA Agency-Wide Strategies to Improve Workforce Diversity

Ms. Samuda stated that the agency-wide strategies for improvement are outlined in the Committee book.

Mr. Garner stated that, based on several conversations with Vice Chairman Ferrer and Chair Metzger, DDCR is meeting with MTA operating agencies, including their HR and EEO staff to prepare recommendations for addressing underutilization in specific job categories. Mr. Garner said he will brief the senior leadership team, and finalize strategies for hiring in a more inclusive manner. He said as Chair Metzger has previously indicated, MTA will need to incorporate the same business practices and strategies that are employed on the business side for increasing opportunities for MWDBEs.

Chair Metzger pointed out that it ultimately rests with the operating agencies to bring about the changes, and help meet the hiring goals. She said it takes both sides to work together and share what has been successful.

SBDP Update

Mr. Cleary reported that 244 contractors are participating in the SBDP. However, he said, compared to last year, there has been a downward trend in program participation due to the graduation from the program and the failure of firms to submit their financial information in a timely manner.

Mr. Cleary said the Emerging Contractors Program was established to increase diversity of the program. He said of the diverse firms in this program, 53 firms were prequalified, and 21 firms satisfied the Tier I prequalification requirements and have transitioned into Tier I. He added that 15 firms did not meet the Tier I pre-qualification requirement and were rescinded from the program. Mr. Cleary said that during last year, SBDP awarded 10 projects, \$3.87 million.

He said SBDP has awarded 345 prime contracts, totaling \$328.3 million. Mr. Cleary said In Program Year Eight, ending July 31, 2018, 68 projects totaling \$70.2 million were awarded, a 94% increase in the number of projects awarded, and a little over 102% increase in the total dollars compared with the previous program year.

Mr. Cleary reported that since the inception of the loan program, SBDP approved 108 loans, totaling \$14.5 million. He said the surety bond assistance program, geared towards Tier II of the program and Federal Program have yielded \$262 million in single and \$489 million in aggregate surety bonding.

Additionally, Mr. Cleary stated that 94 contracts have been awarded in Tier II and the Federal Program since the inception of the program. He said an estimated 8,200 jobs were created with small businesses, MWDBE and SDVOB communities. He said that in Program Year Eight, an estimated 1,684 new jobs were created, a 27% increase from the previous year.

In regards to the new and exciting upcoming things, Mr. Cleary mentioned the comprehensive website review and capability statement for contractors. He said SBDP is currently in the process of researching vendors who can assist in this endeavor.

Mr. Cleary said SBDP is also working with various MTA agencies to create bidding opportunities in the \$3 million to \$15 million range so that the program graduates can continue to grow their businesses by bidding on work within MTA.

Mr. Garner stated that many firms in the SBDP are winning project awards in the \$7 million to \$9 million range. He said aim of the program is to award prime contracts to small, MWDBE, and SDVOB firms. Mr. Garner added that at the state level the intent is to expand this program to other state agencies like DASNY, CUNY, and SUNY.

M/W/DBE and SDVOB Contract Compliance Second Quarter 2018 Report

Mr. Din reported that MTA's overall MWBE goal is 30% (15% for MBEs and 15% for WBEs). He said 15% MWBE participation was achieved in contract awards and 26% was achieved in contract payments. Mr. Din also reported that MTA met its overall SDVOB goal of 6% for the reporting period.

Mr. Din reported that MTA's overall DBE goal is 18%. He said 13% DBE participation was achieved in awards, and 15% was achieved in payments.

Mr. Din stated that MTA has achieved 73% MWBE participation and 56% DBE participation for the SBDP, and continues to work with the operating agencies to design smaller contracts which range from \$3 million to \$15 million in value to allow for greater opportunities for small businesses like SDVOBs and MWDBEs as prime contract awards. He said MTA will continue to conduct effective outreach to potential firms so that we can increase our pool of available firms who can participate in SBMP as well as other contracts. Lastly, he said, MTA will engage in target recruitment effort to encourage MWDBEs and DBEs to compete as prime contractors.

Mr. Din stated that currently, more than 1,500 contracts are being monitored for goal compliance. He said in order to safeguard against fraud and ensure that the MWDBE and SDVOBs are performing a commercial useful function, DDCR will continue to conduct such site visits. Mr. Din said during the reporting period of January through September 2018, over 500 visits were conducted. He said the average for this period is 56 site visits which exceeds the goal DDCR's monthly goal of 50 visits.

Chair Metzger asked if DDCR uses a metric to determine if contract goals are being met. She asked if DDCR has a measure that says more goals are being met than were being met in the previous years, or is there a metric that identifies who is meeting the goals and who is not, and the mitigation plan they need to put into effect.

Ms. Harleston replied that the information is contained in the Committee book, indicating a five-year range that shows how MWDBE participation has fluctuated. She said it has been broken down by agency so that discussions can be had with those agencies. She said DDCR can provide more detailed information.

Chair Metzger said that more detailed information is not stated in the Executive Summary, which is a summary of the data. Ms. Harleston pointed out the sections of the Committee book which contain more detailed information. Vice Chairman Ferrer said metrics are needed so that we can focus on mitigation efforts.

Mr. Garner stated that he will review the number of payments to state-certified firms. For example, he said during 2008-2009, MTA paid \$114 million (6%) to MWBEs. He said in the most recent state fiscal year MWBE participation increased to \$634 million (26%). Mr. Garner said that the most state-favored metric is contract payments, whereas the FTA looks at contract awards to measure overall goal compliance. He said the MWDBE payments are the most accurate measure of success.

Chair Metzger stated that the metric of payments makes sense but it is hard sometimes for the Board to understand because in many cases payments cover a period of years where our goal changes, so it looks like we are not meeting the goal even though we are. She said we are just meeting different goals through time.

Mr. Garner said DDCR is getting more aggressive in achieving MWDBE goals. He said enforcement of MWDBE goal is a responsibility which is shared with the operating agencies. He said DDCR will send a monthly progress report to agency presidents, highlighting projects that are not meeting their assigned goals, and create an action plan for goal compliance. Chair

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Metzger stated that this will be helpful for agency presidents to determine where their respective agency stands.

Lastly, Mr. Din reported that in order to accurately assess goal compliance, DDCR closed over 1,300 contracts during the reporting period.

Mr. Garner thanked Ms. Harleston and her staff for doing a great job in this area. Mr. Garner stated that a few years ago, MTA Inspector General's Office conducted an audit that showed that we were not timely closing out projects, and we were not conducting site visits. Since then MTA operating agencies and DDCR have implemented new policies governing timely project closeouts and site visits.

Capital Projects

Mr. Din reported that for federally funded projects, 12% DBE participation was achieved in awards, and 17% DBE participation was achieved in payments. He said for state-funded projects, 15% MBE and 14% WBE participation was achieved in awards. He also stated that 12% MBE and 11% WBE participation was achieved in payments. Mr. Din reported that an additional 0.38% participation in awards, and 1% participation in payments were achieved for SDVOBs.

Chair Metzger stated that we need to do a better job in achieving SDVOB participation in capital projects. Mr. Garner said that he expects to attend the upcoming VETCON conference in Albany in a few weeks. He said this event draws SDVOBs, contractors, and state agencies, and affords great networking opportunities.

Financial Services

Mr. Garner said MWBE participation in outside counsel fees has increased from 8% last year to 15% this year. He said greater participation is required from MBE firms as opposed to WBE firms so that 15% goal each is achieved for each set of firms. Mr. Garner said he is monitoring this monthly and will provide an update.

Mr. Isom stated that in regards to underwriter fees, the overall MWBE percentage is close to 20%, and the SDVOB percentage is close to 6% for a total participation of 35.42%. He said MTA is on target to meet its overall state fiscal year goals.

Asset Fund Managers

Mr. Din reported that of the total assets, \$1.2 billion (15%) was being managed by MWBEs.

Mr. Garner recognized the DDCR staff for their continued hard work.

Adjournment

Chair Metzger concluded the meeting, and the meeting was adjourned.

Respectfully submitted,

Faith Beauzile,

Administrative Assistant

Department of Diversity and Civil Rights

MTA DIVERSITY COMMITTEE

Meeting Minutes

2 Broadway, 20th Floor

New York, NY 10004

Monday, May 21, 2018

3 p.m.

The following Committee member was present:

Hon. John Molloy, Chairman

The following Committee members were absent:

Hon. David Jones

Hon. Neal Zuckerman

Hon. Susan G. Metzger

Hon. Peter Ward

The following were also present:

Patrick Foye, President, MTA

Veronique “Ronnie” Hakim, MTA Managing Director

Helene Fromm, MTA Chief of Staff

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”)

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

L. Danny Camacho, Assistant Deputy Chief Diversity Officer, DDCR

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

Satori Samuda, Assistant Deputy Chief Diversity Officer, DDCR

David Sang, Assistant Deputy Chief Diversity Officer, Title VI and Workforce Initiatives, DDCR

Nadara Wade, Manager, Title VI Compliance, DDCR

George Llanos, Manager, Business and Diversity Initiatives, DDCR

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Patricia Lodge, Vice President, HR, MTA New York City Transit (“NYC Transit”)
Eamonn Foley, Special Counsel, NYC Transit
Joel Andrews, Chief Officer, Office of EEO, NYC Transit
Patrick Smith, V.P., Human Resources, MTA Bridges and Tunnels (“B&T”)
Michael Fyffe, Director, Diversity Management, MTA Long Island Rail Road (“LIRR”)
Shibu Jacob, Manager, Diversity Management, LIRR
Shawn Moore, V.P. and Chief of Staff, B&T
Paige Graves, General Counsel, MTA Bus Company (“MTA Bus”)
Yvonne Hill-Donald, HR Business Manager, MNR
Patrick Isom, Manager, Financial Analysis, MTA Headquarters (“MTAHQ”)
David Cannon, Vice President and Chief Procurement Officer, Law and Procurement,
MTA Capital Construction (“CC”)
Mayela Velez, Acting Director, EEO and Diversity, MTA Metro-North Railroad
 (“MNR”)
Roselyn Green, Chief EEO Officer, CC
Alberto Richardson, HR Business Strategies, MTA Bus
Bernadette Nespole, Deputy Director of Diversity and EEO, MNR

Public Speakers

There were no public speakers.

Approval of Minutes

Votes on minutes of the meetings held on September 27, 2017, December 13, 2017, and February 20, 2018 will take place at the following Diversity Committee meeting.

2018 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 outreach events for MWDBEs, Service Disabled Veteran-Owned Businesses (“SDVOBs”), and other small businesses that DDCR organized and/or attended.

Certification Activity Report

Mr. Din reported on the DBE certification activity for the first quarter of calendar year 2018. Mr. Din stated that for the reporting period, 44 new applications were received. He said this number is higher when compared to the same period in the last two years. Mr. Din said a total of 18 applications were processed during this period. He said this number is lower when compared with the number of applications processed during the same period in the last two years. Mr. Din added that for the first quarter of 2018, no applications were returned, which is less than the number of applications returned for the same period in the last two years.

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Additionally, Mr. Din said Mr. Camacho was recently promoted to his current position.

First Quarter 2018 EEO Activities

Mr. Din reported that MTA has over 74,400 employees, of which over 13,000 (18%) are women, and over 50,000 (69%) are minorities. Additionally, Mr. Din said over 1,900 (3%) employees are veterans.

Mr. Din noted that compared to the first quarter of 2017, the representation of women in the workforce has remained the same at 18%. He said however the representation of minorities increased by 1,700 (3%).

Mr. Din stated that each MTA Agency conducted an availability analysis of women and minorities in its workforce. Based on the availability analysis, women, Asians, blacks and Hispanics are underrepresented within the technicians, skilled craft and service maintenance job categories.

Mr. Din also reported that MTA hired over 1,350 employees, of which 310 (23%) are women, 982 (72%) are minorities, and 48 (4%) are veterans. Mr. Din said, both minorities and women were hired at a higher percentage compared to their current representation in the workforce.

Additionally, Mr. Din reported that MTA and its agencies handled 363 EEO complaints, of which 196 were internal and 167 were external complaints. In addition, Mr. Din reported that MTA and its agencies handled a total of 295 Title VI complaints, which number is higher compared with the same period in 2017.

SBDP Update

Mr. Cleary reported that 265 contractors are participating in SBDP.

Mr. Cleary said since program inception, 311 projects totaling \$295 million in prime contracts have been awarded. He said in the Loan Program, 103 loans have been approved totaling \$14.4 million, and 86 projects have been completed with loans since program inception.

With regards to the Surety Bond Assistance Program, Mr. Cleary said the program has yielded \$242 million single and \$460 million aggregate bonding for the Tier 2 and Federal Program contractors. He said 86 contracts have been awarded in Tier 2 and the Federal Program since inception. Mr. Cleary also reported that estimated 7,000 jobs have been created or maintained so far within the small business, MWDBE and SDVOB communities.

Mr. Garner said it is anticipated that \$75-\$80 million will be awarded in contracts by the end of the current program year in July 2018. He said while some MTA agencies have withdrawn projected projects from the program, it is expected that for the next program year the agencies will assign more projects to the program.

M/W/DBE and SDVOB Contract Compliance First Quarter 2018 Report

Mr. Din stated that DDCR is in the process of preparing the DBE participation report for the first six months of Federal Fiscal Year ("FFY") 2018, which will be submitted to the Federal Transit Administration by June 1, 2018.

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Mr. Din reported that for FFY 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 a total of \$1.4 billion was paid to prime contractors in federally-funded contracts, with DBE participation of \$285 million (21%). Mr. Din said the DBE participation goal for FFY 2017 was 17%. He said for FFY 2018, that goal has slightly increased to 18%.

Mr. Din also reported that MTA's overall MWBE goal is 30%. He stated that approximately \$5 billion was awarded in state-funded contracts, with MWBE participation of approximately \$618 million (13%). He said approximately \$2.4 billion was paid to prime contractors with MWBE participation of \$634 million (27%).

Mr. Din also reported that MTA's overall SDVOB goal is 6%. He said during the reporting period, \$1.7 million was awarded to SDVOBs. He said a total of \$5.5 million was paid to prime contractors with SDVOB participation of \$1.8 million (33%).

Mr. Din reported that for discretionary procurements, out of a total of \$47.5 million with a value of \$400,000 or less, \$11 million (23%) was awarded to MWBEs, and \$1.6 million (3%) was awarded to other Small Business Concerns.

Mr. Din said for Architectural and Engineering ("A&E") awards through the discretionary procurement process, 3 projects were awarded to MWBEs during this reporting, totaling \$583,234. He said since inception \$2.2 million has been awarded to MWBEs.

Mr. Din said for Information Technology ("IT") awards, a total of 24 awards were made through the discretionary procurement process with value of \$4 million. Mr. Din said since inception, \$59 million has been awarded in this area.

Mr. Garner commended Wael Hibri, Senior Director, MTA Business Service Center and his team for the MWBE participation achieved in this area. Mr. Garner said since inception, there have been about 316 awards totaling almost \$60 million. Mr. Garner also said that he will meet with the agency chief engineers to explore ways to increase MWBE participation in A&E contracts.

With regards to legal fees, Mr. Din said for the reporting period MWBE law firms received \$3 million (8%) out of a total of \$38 million paid in outside counsel fees.

Mr. Din reported that as of March 31, 2018, DDCR has closed over 1,200 contracts, with an additional 18 contracts in the process of being closed, and 49 contracts pending agency action. Mr. Din also reported that DDCR conducted 163 site visits, which equals about 54 visits per month during the reporting period. Mr. Din said that on average each DDCR manager is required to conduct at least eight site visits per month.

M/W/DBE Capital Projects

Mr. Din reported on MWDBE participation in MTA's Capital Projects for first quarter of calendar year 2018. He said \$332 million was awarded in federally-funded construction projects, including \$37 million (11%) awarded to DBEs. Additionally, \$1.64 billion was

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awarded in state-funded construction projects, including \$47 million (3%) awarded to MBEs, and \$22 million (1%) awarded to WBEs. Mr. Din said total MWBE participation is 4%, and there is no additional SDVOB participation.

Financial Services

Mr. Isom reported that from April 2017 to March 2018, approximately \$15 million in underwriter fees was paid, with MBE participation of approximately \$3.4 million (22%), and WBE participation of approximately \$2.4 million (16%). Mr. Isom stated that of the total fees paid, MWBE participation was \$5.8 million (38%) -- the highest in the state. Mr. Isom said an additional \$921,000 (6%) was paid to SDVOBs. He said these numbers were the same as reported during the February 2018 Committee meeting because there was no activity between January and March 2018.

Mr. Isom stated that the program is doing well and has received positive feedback from the underwriters participating in the program. Mr. Garner commended MTA chief financial officer, Robert Foran and Mr. Isom for the outstanding efforts in increasing MWBE participation in this area.

Asset Fund Managers

Mr. Din reported that total assets managed by MWBEs are \$ 1.1 billion (15%). He said a majority of the assets are in traditional asset classes.

Mr. Garner commended former MTA chief investment officer, Sean Crawford for his outstanding work in this area.

Adjournment

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

Respectfully submitted,

Faith Beauzile,

Administrative Assistant

Department of Diversity and Civil Rights

MTA DIVERSITY COMMITTEE

Meeting Minutes

2 Broadway, 20th Floor

New York, NY 10004

Tuesday, February 20, 2018

3:00 p.m.

The following Committee member was present:

Hon. John Molloy, Chairman

The following Committee members were absent:

Hon. David Jones

Hon. Neal Zuckerman

Hon. Susan G. Metzger

Hon. Peter Ward

The following were also present:

Patrick Foye, President, MTA

Helene Fromm, Chief of Staff, MTA

Anita Miller, Chief Employee Relations and Administrative Officer, MTA

Catherine Rinaldi, President, MTA Metro-North Railroad ("MNR")

Andy Byford, President, New York City Transit ("NYC Transit")

Darryl Irick, President, MTA Bus

Patrick Nowakowski, President, Long Island Rail Road ("LIRR")

Janno Lieber, Chief Development Officer, MTA

Cedrick Fulton, President, Bridges and Tunnels ("B&T")

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

Sean Crawford, Chief Investment Officer, MTA

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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 Kalish, Director, Human Resources

Owen Monaghan, Chief of Police, MTA

L. Danny Camacho, Manager, Certification, DDCR

Satori Samuda, Assistant Deputy Chief Diversity Officer, DDCR

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David Sang, Manager, EEO, DDCR
Patricia Lodge, Vice President, Human Resources, NYC Transit
Patrick Smith, Chief Officer, Human Resource Strategic and Business Partnerships, NYC Transit
Michael Fyffe, Director, Diversity Management, LIRR
Shawn Moore, Acting Vice President & Chief of Staff, B&T
Patrick Isom, Manager, Financial Analysis, MTA Headquarters (“MTAHQ”)
David Cannon, Vice President & Chief Procurement Officer, Law and Procurement, MTA Capital Construction (“CC”)
Joel Andrews, Chief Officer, Office of EEO, NYC Transit
Eamonn Foley, Special Counsel, NYC Transit
Shibu Jacob, Manager, Diversity Management, LIRR
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 meetings held on September 27, 2017, and December 13, 2017 will take place at the following Diversity Committee Meeting.

2018 Diversity Committee Work Plan

Chairman Molloy asked if there were any changes to the Work Plan. Mr. Din said there were no changes to the 2018 Work Plan.

2018 Departmental Goals Update

Mr. Garner provided an update on the 2018 Departmental Goals. He said the Small Business Mentoring Program (“SBMP”) training will begin in March 2018. Mr. Garner said these classes, with average weekly attendance of about 50 companies, provide training on how to do business with the MTA. He said, in addition, the training classes are also a source of recruitment for the SBMP. Mr. Garner said he will be meeting with Donald Spero, MTA Deputy Chief Financial Officer, and the MTA agency presidents to ensure that the \$146 million in contract awards in the SBMP will be achieved this year. In addition, Mr. Garner said DDCR is working with Empire State Development (“ESD”) to make sure that MTA is maximizing MWDBE inclusion at the prime and subcontractor levels.

Mr. Garner stated that DDCR is working with the agencies in debundling larger projects into smaller projects, and is actively seeking and recruiting MWDBE firms who have bonding capacity to bid on projects as prime contracts.

Mr. Garner also said that the goal on a state-funding projects is 30%, and on federally-funded projects is 18%. Mr. Garner said in 2009, MTA paid \$116 to state certified firms, which represented 6% MWBE participation. In comparison to last year, MTA paid \$387 million (24%). Mr. Garner anticipates for the first time in history that the MTA will be at about \$700

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million in MWBE payments this year, and within two years these payments will reach \$1 billion.

Mr. Garner also stated that he is in discussion with Mr. Irick about creating a mentor-protégé program in the Paratransit area.

Mr. Garner said DDCR will continue its outreach efforts throughout the MTA service region.

Executive Summary

Business and Diversity Initiatives

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

Certification Activity Report

Mr. Din reported on the DBE certification activity for calendar year 2017. He said that 123 new applications were received. He said the number of new applications is higher than previous two years’ numbers for the same period. He said a total of 127 applications for DBE certification were processed. He said the number of applications processed is lower than last year but higher than the year before.

Fourth Quarter 2017 EEO Activities

Mr. Din reported that the MTA’s overall workforce is comprised of 74,500 employees; of which over 13,000 (18%) are women, and almost 51,000 (68%) are minorities. Mr. Din said compared to the end of 2016, the overall percentage of women has increased by 5%. As it relates to race/ethnicity, Mr. Din said the percentage of minorities has increased by over 2,000 (4%) employees, compared to the fourth quarter 2016.

Mr. Din reported that MTA-wide, based on the availability analysis, females, Asians, Blacks and Hispanics were underrepresented in some of the job categories.

For the reporting period of 2017, Mr. Din stated that MTA Agencies hired 7,600 employees; of which over 1,800 1,874 (25%) are females, almost 5,800 (76%) are minorities, and over 200 (3%) are veterans.

Mr. Din said females were hired at a higher percentage compared to their current workforce representation of 18%. He said minorities were also hired at a higher percentage compared to their current workforce representation of 68%.

Mr. Din also reported that MTA and its agencies handled a total of 586 EEO complaints; of these, 340 were internal, and 246 were external complaints. Mr. Din said MTA and its agencies also handled 404 Title VI complaints.

Agency Strategies to Address Utilization

Each MTA agency president 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,

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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.

MTAHQ

Ms. Brown stated that workforce data for MTA and its agencies has been compiled, and workforce utilization analysis has been completed. Mr. Garner said DDCR is meeting with Human Resources to focus on creating strategies for more inclusive hiring, and to address underutilization, focusing on those areas where MTA needs to establish working relationships with outside groups.

Mr. Kalish said MTAHQ has been aggressively advertising through a variety of diverse publications. Outlining 2017 accomplishments, he said 64% of MTAHQ new hires have been minorities.

Mr. Kalish stated that in 2017, MTAHQ hired 457 employees, of which 64% were minorities. In addition, he said 6 out of the 10 hires recruited through an IT Open House were female.

Mr. Kalish also said MTAHQ hired an assistant deputy chief diversity officer for EEO compliance in June 2017, and an assistant deputy chief diversity officer, Title VI and workforce initiatives in December 2017.

Mr. Kalish said MTAHQ participated in, and organized multi-agency attendance at 11 military job fairs and outreach events. In addition, he said the MTA and its agencies hired a total of 226 veterans.

Mr. Kalish stated that the outreach efforts will continue in 2018 with a focus on women, minorities, the disabled population, the LGBTQ community, and veterans.

He said MTAHQ will coordinate quarterly meetings with DDCR to establish diversity talent acquisition plans based on workforce underutilization.

MTAPD

Chief Monaghan 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. Furthermore, he said for the first time in the history of the MTAPD, an African American employee has attained the rank of assistant chief.

Chief Monaghan reported that MTAPD hired 37 police officers in January 2018; of these, 13.5% are female and 43% are minority. In addition, he said 38 police officers were hired in the July 2017, of which 8% are female, and 58% are minority.

He also reported that MTAPD promoted 41 employees to supervisor and command staff ranks from sergeant through assistant chief; of these, 9.8% are female and 39% are minority.

Chief Monaghan reported that MTAPD filled 6 civilian positions in September 2017; of these, 5 are female and 5 are minorities.

Chief Monaghan said midyear initiatives include hiring 20-25 diverse police officers in the 2nd quarter of 2018. In addition, he said MTAHQ plans 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. He said approximately 25 sergeants applied for the lieutenant examination, of which 5 are minority. Chief Monaghan also reported that approximately 225 police officers applied for the sergeant examination; of which, 29 are females and 91 are minority.

Finally, Chief Monaghan stated that MTAPD has reached out to outside organizations, such as the Guardians Association in seeking their assistance in outreach to minorities and women for new hires and promotions.

CC

Mr. Lieber said CC is a growing construction management organization dedicated to building large infrastructure but is also responsible for key advertising and real estate functions.

He said CC extended the summer internships for seven STEM¹ college students (six minority, three females) in engineering and finance disciplines to increase diversity in the workplace. He said CC successfully collaborated with the DDCR on an initiative to develop self-identification forms for applicants and employees with disabilities.

Mr. Lieber said CC managers developed a succession plan in order to retain diversity in the ranks of junior staff. He said CC partnered with other MTA agencies to share costs, resources and best practices that strengthened recruitment strategies that target females, minorities and veterans.

In 2018, Mr. Lieber said CC will hire a Director of EEO to ensure the agency is making good faith efforts to increase, retain, and/or promote and foster an inclusive environment for females, minorities, veterans, and individuals with disabilities. In addition, he said CC will submit its EEO Program to DDCR, develop and deliver staff training that focuses on diversity and unconscious bias, and will hire 3 graduating interns (minority/female) in entry-level professional positions.

Mr. Garner thanked Mr. Lieber and Mr. Cannon for the use of a group of diverse college interns, recruited from City College's engineering school to the work on the second phase of the Second Ave Subway project.

B&T

Mr. Fulton discussed the strategies employed at B&T. Regarding the 2017 accomplishments, he reported that B&T participated in five minority, women, and veteran-owned business outreach events to promote opportunities for design-build construction projects. He said 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.

Mr. Fulton said 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. He said in the fourth quarter 2017, B&T hired five Management Associates to full-time positions in engineering and construction, of which 40% were females and minorities.

Mr. Fulton stated that in 2018 B&T will launch a succession planning committee in the first quarter to address the under-representation of females in critical mid-level positions. He said

¹ Science, Technology, Engineering and Mathematics

B&T recognizes the strategic approach to talent management and recruiting as necessary to attain diversified and long-term, sustainable results. Accordingly, Mr. Fulton said B&T will conduct targeted recruitment to increase the under-representation of females in the second quarter.

Finally, Mr. Fulton said 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 2018.

Mr. Fulton also stated that the Small Business Mentoring Program and Discretionary Architecture and Engineering Programs include awards of \$869,000, and 14 discretionary architecture and engineering awards in the amount of \$1.3 million.

Mr. Fulton also welcomed B&T's newest member, Mr. Smith as Vice President for Human Resources; Mr. Smith will serve as a strategic advisor in addressing female and minority underutilization. Mr. Garner thanked Mr. Fulton for his promotion of diversity, and for B&T's exceeding its SBMP participation goals.

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. Ms. Rinaldi said in partnership with CUNY & Cornell Tech, MNR hosted three female interns who participated in the Women in Technology and Entrepreneurship Program and learned about railroad technology.

Ms. Rinaldi reported that MNR participated in the annual New York State MWBE forum to network and develop business partnerships.

Ms. Rinaldi also stated that MNR participated in the Circle of Sisters event held in September 2017 to promote employment opportunities for females. In addition, she said MNR participated in a panel discussion led by the New York City Department of Education to look at the school electrical curriculum and how it aligns with the transportation industry.

Ms. Rinaldi said MNR attended the Recruit Military Job Fair and the CUNY Military Job Fair to provide information sessions about job opportunities, and overall attended 14 military and veteran outreach events in 2017.

For the 2018 key initiatives, Ms. Rinaldi said MNR will continue its annual Internship Program, Associate Engineer Program, and will hold a Skilled Craft Job Fair to enhance MNR's diverse workforce, and to increase veteran representation. In addition, she said MNR will continue its commitment to partner with MTAHQ in attending job fairs and outreach events to increase awareness of employment opportunities. Ms. Rinaldi said MNR will work with DDCR to host an SDVOB vendor outreach forum by June 2018. She said MNR will also schedule outreach events to create a diverse and competitive pool of suppliers. She said MNR will also establish the first hiring goals for individuals with disabilities.

LIRR

Mr. Nowakowski said LIRR makes every effort to attract, develop and retain a workforce profile that reflects the diversity of its service 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. In addition, he reported on LIRR workforce underutilization.

Mr. Nowakowski reported on LIRR's 2017 key accomplishments: attendance at job fairs; hired 240 new employees between July and December, of which, 6% were veterans, 18% were female, and 36% were minority. Mr. Nowakowski said total minority headcount and percentage of minority representation increased by 99 employees (1%) since January 2017. He also reported on LIRR's Upward Mobility Program new hires from July to December 31st: 4 project manager trainees were hired, including 1 female; and 2 junior engineers were hired, including 1 minority male.

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.

NYC Transit

Mr. Byford provided updates for NYC Transit. He listed his priorities as follows: to drive the morale and motivation of the 50,000 agency employees and customers; employee engagement and culture change; respecting and valuing the diversity of customers and employees; and thinking like a customer.

Regarding the 2017 accomplishments, Mr. Byford stated that 32% of NYC Transit recruitment outreach in the second-half of 2017, targeted women, organizations that support hiring people with disabilities, and veterans.

Mr. Byford stated that for the 2018 mid-year key diversity initiatives, NYCT will establish employee affinity groups and a diversity advisory council with executive sponsors for diversity and inclusion. In addition, NYCT will develop a diversity and inclusion analytics dashboard to provide management information for tracking EEO & Title VI case trends and workforce demographics. Additionally, Mr. Byford announced the appointment of Sarah Meyer as a Senior Vice President and Chief Customer Officer.

MTA Bus

Mr. Irick said MTA Bus expanded its engagement in mentorship programs with area technical high schools; this included matching skilled supervisors with students interested in the same area of expertise. Mr. Irick said MTA Bus engaged 14 students at five depot locations. He said MTA Bus also increased outreach efforts to area technical high schools by promoting various employment opportunities. He said MTA Bus continued its commitment to hire more veterans by participating in multiple recruitment efforts.

Mr. Irick stated that 16 veterans were hired during in 2017, compared to the seven hired in 2016. He said MTA Bus hosted a Women's Symposium that included panel discussions on making the successful transition into management positions, and on how to thrive within the MTA; over 70 women attended this event.

As part of the 2018 mid-year key diversity initiatives, Mr. Irick stated that MTA Bus will continue to increase engagement by hosting spring and summer apprenticeship and mentorship programs. He said there are 10 participants registered for spring so far and recruitment for summer will begin in March. In addition, Mr. Irick said MTA Bus will host a spring event with the New York City Mayor's Office for people with disabilities to promote disability awareness

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in the workplace. Mr. Irick also said that MTA Bus will participate in veterans outreach, and will take part in “Today’s Girl/Tomorrow’s Woman” event to promote employment opportunities for young women.

SBDP Update

Mr. Cleary provided an update on the SBDP. He said currently 273 firms are participating in the program. He said since program inception, SBMP has had 296 projects totaling \$278 million in prime contracts that have been awarded, and 101 loans have been approved totaling \$14 million.

He stated that since program 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. Mr. Cleary added that 73 contracts have been awarded in the Tier 2 and Federal Program since program inception.

Mr. Cleary stated that approximately 6,500 estimated jobs have been created within the small business community, including the MWDBE/SDVOB community.

Mr. Garner reiterated that he will be meeting with MTA agency presidents and respective staff members to ensure that approximately \$146 million goal for the SBDP is realized. Mr. Garner said so far the agencies have identified \$115 million in projects.

M/W/DBE Contract Compliance Fourth Quarter 2017 Report

Mr. Din reported that for the Federal Fiscal Year (“FFY”) 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 FFY 2017 was 17%. Mr. Din said at the start of FFY 2018 on October 1, 2017, the overall DBE goal increased to 18%. He said for FFY 2017, a total of \$1.4 billion was paid to prime contractors in federally-funded contracts, with DBE participation of \$285 million (21%).

Mr. Din said the overall MWBE goal is 30%. For New York State fiscal year 2017-2018, Mr. Din reported that \$2.75 billion was awarded in state-funded contracts, with MWBE participation of \$413 million (15%). He said a total of \$1.85 billion was paid to prime contractors with MWBE participation of \$478 million (25%).

Mr. Din said the overall SDVOB goal is 6%. He said during 2017, \$2.3 million was awarded to SDVOBs, and a total of \$1.8 billion was paid to prime contractors, with SDVOB participation of \$3 million (0.17%).

Mr. Din stated that the only area that has continued to achieve consistently 6% participation is in underwriter fees.

Mr. Din said 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 an additional \$9.5 million (3%) was awarded to Small Business Concerns.

Mr. Din said for architectural and engineering awards through the discretionary procurement, from January to December 2017, six projects were awarded to MWBEs, totaling almost \$650,000. He said since inception \$1.6 million has been awarded to MWBEs. For IT

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discretionary, Mr. Din said a total of 194 awards were made, with the value of \$31.5 million; since inception \$50 million has been awarded.

Mr. Din said 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.

Mr. Garner stated that in the area of legal fees, DDCR held an outreach event inviting state-certified firms with the goal of better integrating them with the agency staff issuing outside counsel assignments. He said as we move forward, this will be monitored on a month-by-month basis to ensure 30% participation by next year.

Mr. Garner stated that in the area of architecture and engineers, he will be speaking with MTA agencies to ensure that they are using the discretionary process to maximize MWBE participation.

Mr. Din also stated that DDCR has made great progress regarding site visits. He reported that 696 site visits were conducted from January 2017 to January 2018. He said on average for this time period, 53.5 monthly site visits were conducted. Mr. Din said as of January 2018, DDCR closed over 1,100 contracts, with an additional 25 contracts that were in the process of being closed, and 43 contracts were pending further agency action.

M/W/DBE Capital Projects

Mr. Din reported that for calendar year 2017, \$1 billion was awarded in federally-funded construction projects, including \$162 million (16%) awarded to DBEs. He said \$712 million was awarded in state-funded construction projects, including \$92 million (13%) awarded to MBEs, and \$70 million (10%) awarded to WBEs. Mr. Din said total MWBE participation is 23%; there was no additional SDVOB participation.

Financial Services

Mr. Isom stated that for the fourth quarter of New York State fiscal year 2017-2018, \$15 million was awarded in underwriter fees. He said MBE participation was approximately \$3.4 million (22%), and WBE participation was approximately \$2.4 million (16%). Overall, he said there was a total of MWBE participation of \$5.8 million (38%), out of a total award of \$15 million. In addition, Mr. Isom reported \$920,000 (6%) that was paid to SDVOBs.

In response to a question from Mr. Garner, Mr. Isom confirmed that MTA's MWBE participation is the highest in the state (44%). Mr. Garner thanked Mr. Isom, Patrick McCoy, MTA Director of Finance and Robert Foran, MTA Chief Financial Officer for achieving the highest rate of MWBE and SDVOB participation in underwriters' fees.

Asset Fund Managers

Mr. Crawford reported that the assets managed by MWBE firms grew by \$57 million (5.2%) in the fourth quarter. He said MWBE firms managed \$1.1 billion (15%) in total assets. Mr. Crawford said majority of the assets are in traditional asset classes, such as equities, and fixed income assets. Mr. Crawford said MWBE firms managed 21% of traditional assets.

Mr. Crawford stated that MTA held over 70 meetings with MWDBE firms in 2017 in an effort to reach out to the minority and women-owned asset fund management firms. Mr. Garner thanked Mr. Crawford for his leadership in this area.

Adjournment

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

Respectfully submitted,

Faith Beauzile, Administrative Assistant

Department of Diversity and Civil Rights.

MTA DIVERSITY COMMITTEE

Meeting Minutes

2 Broadway, 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

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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

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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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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

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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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2018 Diversity Committee Work Plan

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

November 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.

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.

2019 Diversity Committee Work Plan

I. RECURRING AGENDA ITEMS	<u>Responsibility</u>
Approval of Minutes	Committee Chair & Members
Committee Work Plan	Committee Chair & Members
MTA Agency-wide Business and Diversity Initiatives and EEO Programs Activities	Dept. of Diversity/Civil Rights
MTA DBE Certification Program Activities	Dept. of Diversity/Civil Rights
M/W/DBE Contract Compliance Activities	Dept. of Diversity/Civil Rights
Action Items (if any)	As listed
II. SPECIFIC AGENDA ITEMS	<u>Responsibility</u>
<u>February 2019</u>	
Recommitment to EEO Policy	Dept. of Diversity/Civil Rights
2019 Departmental Goals	
2018 Year-End Report	
Recruitment Strategies for MTAHQ and MTA Agencies	Dept. of Diversity/Civil Rights,
Diversity Committee Charter Review	Committee Chair and Members
<u>May 2019</u>	
1st Quarter 2019 Report	Dept. of Diversity/Civil Rights
<u>September 2019</u>	
2nd Quarter 2019 Report	Dept. of Diversity/Civil Rights
Recruitment Strategies for MTAHQ and MTA Agencies	Dept. of Diversity/Civil Rights, MTAHQ and Agency Staff
<u>December 2019</u>	
3 rd Quarter 2019 Report	Dept. of Diversity/Civil Rights
Status Report on MTA Inter-Agency M/W/DBE Task Force	
2020 Diversity Committee Work Plan	Dept. of Diversity & Civil Rights

Detailed Summary

I. RECURRING

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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 2019

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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 2019 MTA Department of Diversity/Civil Rights Departmental Goals

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2018 Year-End Report

The Department of Diversity and Civil Rights will present 2018 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.

Diversity Committee Charter Review

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

May 2019

1st Quarter 2019 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.

September 2019

2nd Quarter 2019 Report

The Department of Diversity and Civil Rights will present 2nd quarter 2019 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.

December 2019

3rd Quarter 2019 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.

2020 Diversity Committee Work Plan

The Department of Diversity and Civil Rights will present an updated Diversity Committee Work Plan for 2020.

Metropolitan Transportation Authority Department of Diversity and Civil Rights

Executive Summary

December 12, 2018



Executive Summary

■ Business and Diversity Initiatives

- In addition to hosting a DBE workshop for prospective applicants, the Business and Diversity Initiatives Unit attended 4 events in November 2018. Notable among these events was the annual Veterans in Transition Conference (VETCON), held in Albany, NY. DDCR and MTA agency procurement staff attended this event. A significant number of state agencies and hundreds of other visitors attended the matchmaking session. SDVOBs thus got the opportunity to network with public and private sector employers.
- On December 13, 2018 DDCR will host a DBE Opportunity Day event. DBEs will learn about contracting opportunities with MTA agencies and prime contractors in areas such as construction, IT, rolling stock manufacturing, and A/E professional services. In addition, DDCR will disseminate information about the Small Business Development Program.



Executive Summary

■ Certification Activity Report

- Compared with the same period in the last two years, in **October 2018** DDCR received **more** DBE certification applications. DDCR also certified **more** firms in October 2018, compared with the same time period in the last two years. DDCR continues to see an **increase** in the number of firms attending the bi-monthly DBE certifications workshops. As a result, the number of new certification applications has **increased**.



Executive Summary

■ EEO

The Department of Diversity and Civil Rights examined the workforce composition of MTA Agencies as of September 30, 2018. The total workforce increased by 2% (1,215) compared with third quarter 2017 (3Q17).

- Females represented 18% (13,444) of the workforce, a slight increase of 1% when compared with 3Q17 due to an increase in female representation within NYCT and an increase in the overall hiring activity combined with attrition.
- Females were hired at a percentage above their current representation in the workforce due to targeted recruitment initiatives.
- Minorities represented 69% (51,618) of the workforce, an increase of 3% when compared to 3Q17 due to an increase in minority representation within NYCT. This increase was due to continued participation in job fairs and outreach programs.
- Minorities were hired at a percentage above their current representation in the workforce due to continued collaboration with the state and local government entities as well as educational institutions.



Executive Summary

Each Agency conducted a **utilization analysis*** of females and minorities in its workforce as September 30, 2018. Based on the utilization analysis, the majority of the underrepresentation MTA-wide for **females** and **minorities** occurred in the following EEO categories:

Females:

- ☐ Technicians – Black, Hispanic, Asian, and White females
- ☐ Administrative Support – Hispanic, Asian, and Whites females
- ☐ Skilled Craft, Service Maintenance – Black, Hispanic, Asian and White females

Minorities:

- ☐ Technicians – Blacks, Hispanics, Asians and 2+ Races
- ☐ Skilled Craft – Blacks, Hispanic, Asians, and 2+ Races
- ☐ Service Maintenance – Black, Hispanic, and Asian

*The utilization analysis compares the percentages of females and minorities employed in each job group to 80 percent of the females and minorities available within the relevant labor market.



Executive Summary

■ Small Business Development Program (as of October 31, 2018)

Prequalification

- Compared to last year, a downward trend in program participants due to firms graduating from the Tier 1 program (\$1M) to Tier 2 (\$2M to \$3M)
- There have been a number of firms that have not submitted financials. In a quest to remedy this issue, we have scheduled firms to come in for an appointment.

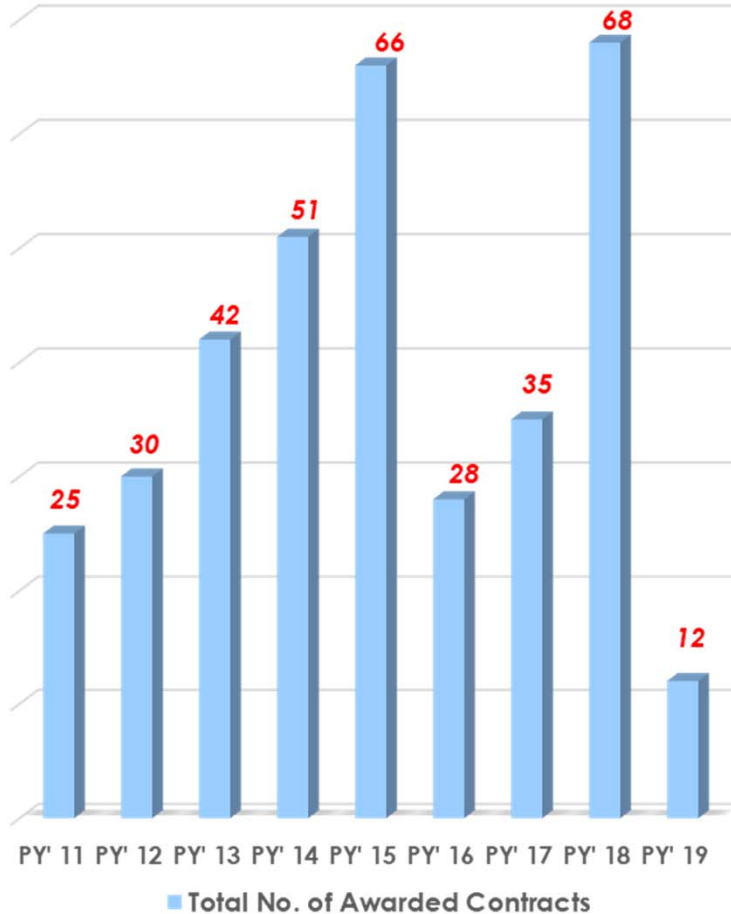
Emerging Contractors Program - Transitioning from the ECP to Tier 1

Ethnicity Breakdown	Prequalified	Transitioned	Projects	Amount
Black American	22	6	3	\$0.94M
Subcontinent Asian American	13	6	3	\$1.40M
Hispanic American	9	6	3	\$1.25M
Asian Pacific American	1	0	0	\$0.00M
Other	8	3	1	\$0.28M
Totals for Emerging Contractors	53	21	10	\$3.87M



Executive Summary

Small Business Development Program (Continued) Contract Awards



Note: PY – Program Year

Executive Summary

■ Small Business Development Program (as of October 31, 2018)

The MTA is a nationally recognized leader in securing surety bonds for Certified MWDBE firms

SBDP Loan Program

■ Year 1*	-	1 Loan	totaling	\$ 100,000
■ Year 2	-	3 Loans	totaling	\$ 350,000
■ Year 3	-	11 Loans	totaling	\$ 1,000,000
■ Year 4	-	26 Loans	totaling	\$ 2,990,000
■ Year 5	-	17 Loans	totaling	\$ 3,420,000
■ Year 6	-	17 Loans	totaling	\$ 2,042,500
■ Year 7	-	16 Loans	totaling	\$ 3,083,500
■ Year 8	-	13 Loans	totaling	\$ 2,045,000
■ Year 9	-	8 Loans	totaling	\$ 499,000
■ Total		112 Loans	Totals	\$15,530,000

SBDP Bond Program

Bonding Capacity increased to **\$261.5M** single and **\$489.0M** aggregate. Fifty (50) firms have Surety and Performance Bonding in Tier 2 and SBFP. Of that, Nine (9) firms have acquired Surety Bonding through the SBDP.

Job Creation

8,200 jobs created or maintained within the small business and the MWDBE / SDVOB communities, 1684 new jobs added in Program Year 8, a 27.2% annual increase.

* Year 1 started July 2010. We are currently in Year 9.



Executive Summary

■ Small Business Development Program (Continued)

What's New and Exciting

Supporting Marketing Strategies:

■ Comprehensive Website Reviews & Marketing Strategies

Assist with Website development and capability statement for the program participants. Professional representation and marketing of firms on the web so as to facilitate teaming, partnership and subcontracting opportunities with Prime contractors doing work with the MTA.

■ Summer Executive Leadership Training Workshops

- Continue professional development to promote capacity building of program participants so that they can successfully bid and complete MTA projects.

■ Bidding Opportunities for MTA Projects

- Progressive capacity building by creating opportunities on MTA projects in the \$3M - \$15M range to continue their growth post graduation from the SBDP



Executive Summary

■ MWDBE and SDVOB Contract Compliance

■ 30% NY State Fiscal Year 2018-2019 MWBE Goal

- 15% MWBE participation in contract awards, two quarters.*
- 26% MWBE participation in contract payments for same period.

■ 6% NY State Fiscal Year 2018-2019 SDVOB Goal

- 6.5% SDVOB participation in contract awards, two quarters.*
- 3% SDVOB participation in contract payment for same period.

■ 18% Federal Fiscal Year 2018 DBE Goal

- 15% DBE participation in contract awards.
- 16% DBE participation in contract payments on ongoing contracts.
- 24% DBE participation on closed contracts.



* April 2018 through September 2018.

Executive Summary

■ MWDBE and SDVOB Contract Compliance (Continued)

■ Strategies for Improvement

- Monthly meeting with agencies to maximize the allocation of projects to the Small Business Development Program. As of **September 2018**, MWDBE award participation achievement has been as follows:
 - 73% MWBE.
 - 56% DBE.
- Working with MTA operating agencies to design smaller contracts **\$3 million to \$15 million** in value to allow for greater MWDBE/SDVOB participation on prime contract awards
- Conducting effective outreach to potential MWDBEs and SDVOBs in order to increase the pool of available certified firms to participate in the Small Business Mentoring Program.
- Targeted recruitment to encourage MWBE to compete as prime contractors.



Executive Summary

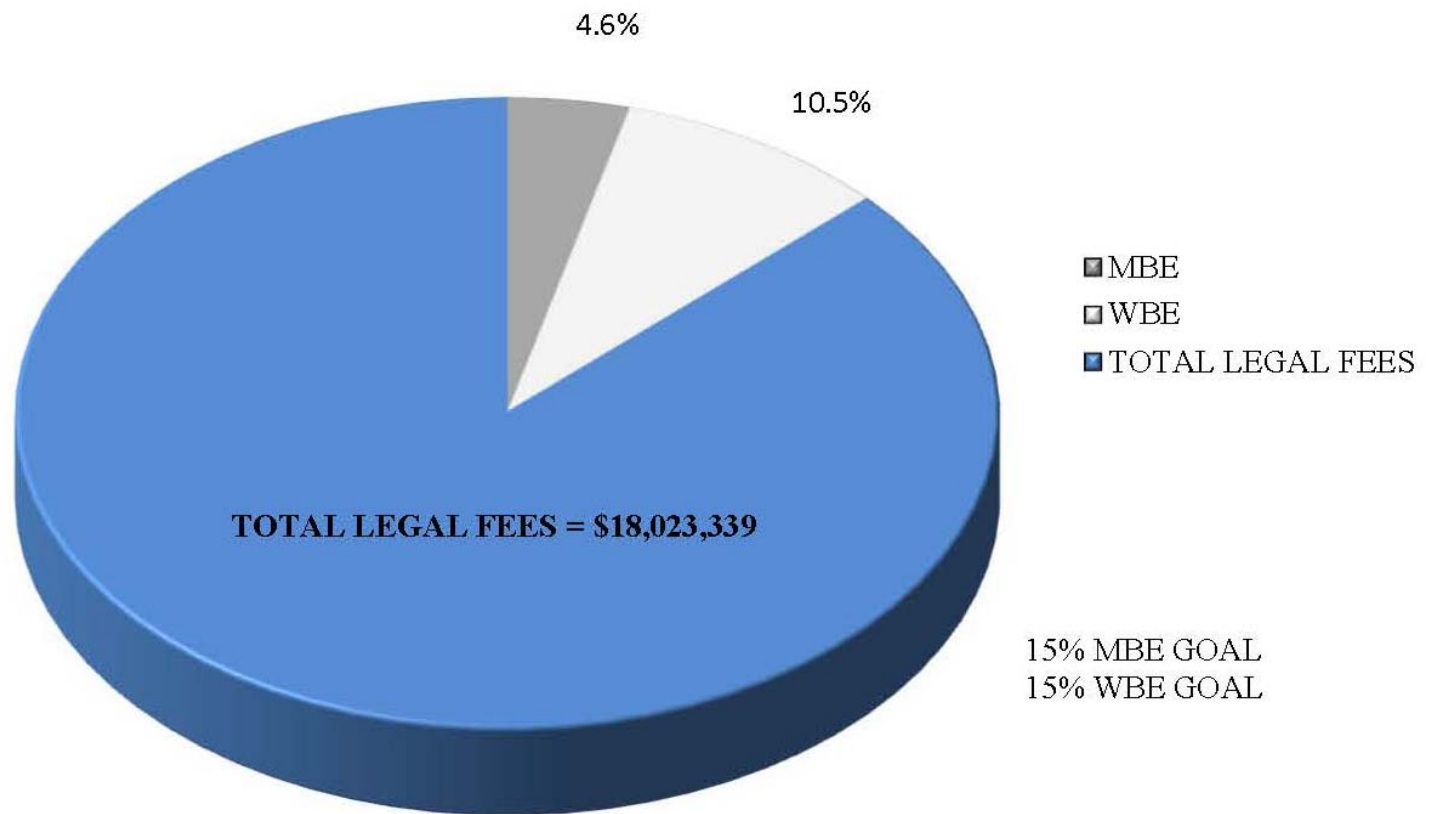
■ MWDBE and SDVOB Contract Compliance (Continued)

- DDCR has increased its contract monitoring activity to ensure greater MWDBE and SDVOB participation. Currently approximately more than **1,500** contracts are being monitored for MWDBE and SDVOB goal compliance.
- In order to safeguard against fraud and to ensure that MWDBEs and SDVOBs are performing a commercially useful function, DDCR has increased the number of visits to contract work sites. From **January-November 2018**, over **600** visits were conducted at various job sites. Current 2018 average through November of approximately **56** site visits per month is above DDCR's goal of **50** monthly visits.
- In order to timely, and accurately assess MWDBE and SDVOB goal compliance and report accurate data to MTA funding partners, in conjunction with the operating agencies DDCR closed nearly **1,400** contracts.



Executive Summary

■ MTA All Agency Legal Fees (April 2018-September 2018)

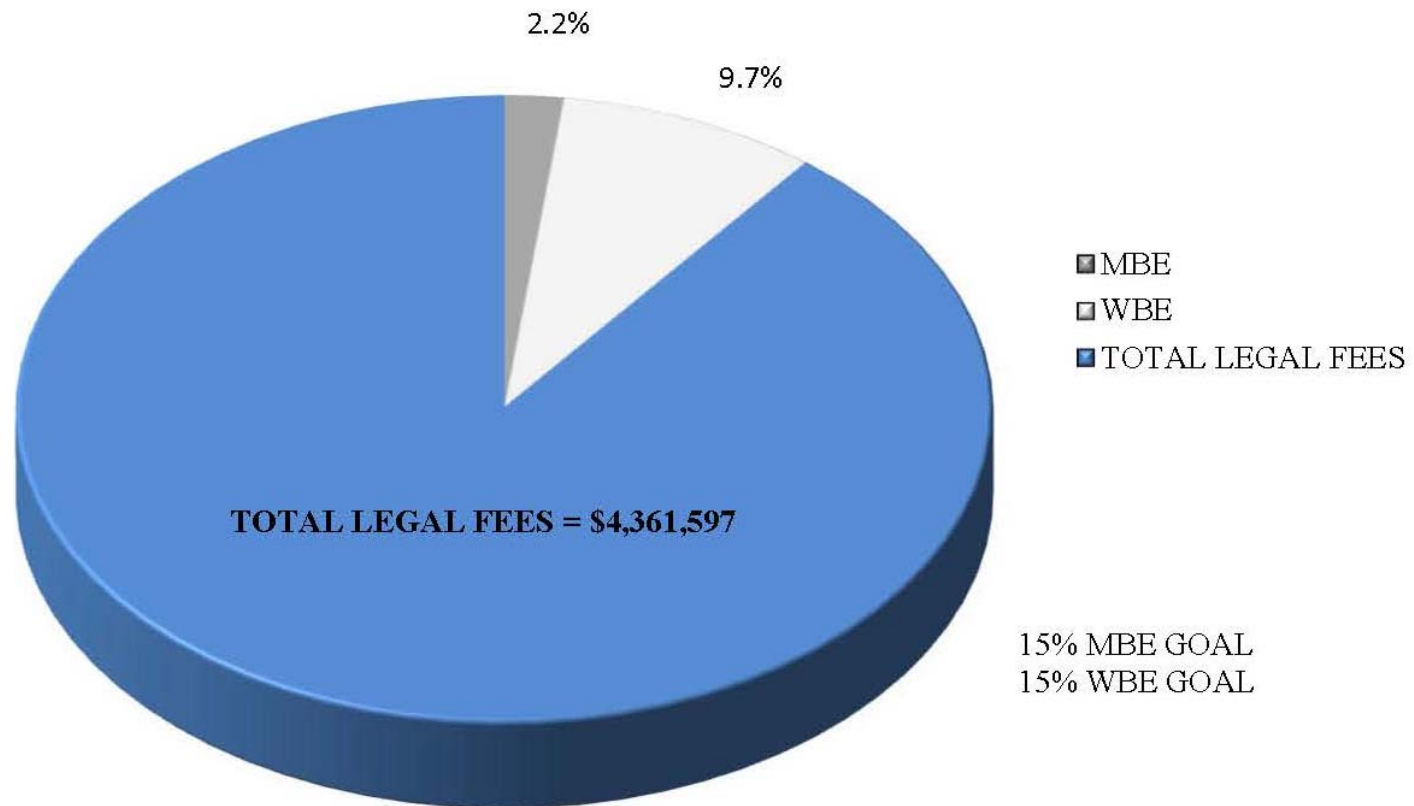


Actual MBE Participation = \$835,616 or 4.6%
Actual WBE Participation = \$1,887,740 or 10.5%



Executive Summary

■ MTA All Agency Legal Fees (October 2018)



Actual MBE Participation = \$95,823 or 2.2%
Actual WBE Participation = \$424,242 or 9.7%



Executive Summary

■ Capital Projects

■ Federal Participation Goal: 18%

(First half Federal Fiscal Year 2018 (October 2017 to September 2018))

- | | |
|----------------------------------|------------------------------------|
| ■ Total Awards: \$773M* | ■ Total Payments: \$966M |
| ■ Total DBE Awards: \$131M (17%) | ■ Total DBE Payments: \$156M (16%) |

■ New York State MBE Participation Goal: 15%**

(Fourth quarter NYS Fiscal Year 2017-2018 and first quarter NYS Fiscal Year 2018-2019 (January 2018 to September 2018))

- | | |
|----------------------------------|------------------------------------|
| ■ Total Awards: \$1.9B* | ■ Total Payments: \$954M |
| ■ Total MBE Awards: \$289M (15%) | ■ Total MBE Payments: \$110M (12%) |

■ New York State WBE Participation Goal: 15%**

(Fourth quarter NYS Fiscal Year 2017-2018 and first quarter NYS Fiscal Year 2018-2019 (January 2018 to September 2018))

- | | |
|----------------------------------|------------------------------------|
| ■ Total Awards: \$1.9B* | ■ Total Payments: \$954M |
| ■ Total WBE Awards: \$266M (14%) | ■ Total WBE Payments: \$102M (11%) |

■ Service Disabled Veteran-Owned Business Participation Goal: 6%

(Fourth quarter NYS Fiscal Year 2017-2018 and first quarter NYS Fiscal Year 2018-2019 (January 2018 to September 2018))

- | | |
|----------------------------------|--|
| ■ Total Awards: \$1.6B | ■ Total Payments: \$95M |
| ■ Total SDVOB Awards \$6M (.38%) | ■ Total SDVOB Payments: \$903,000 (1%) |

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

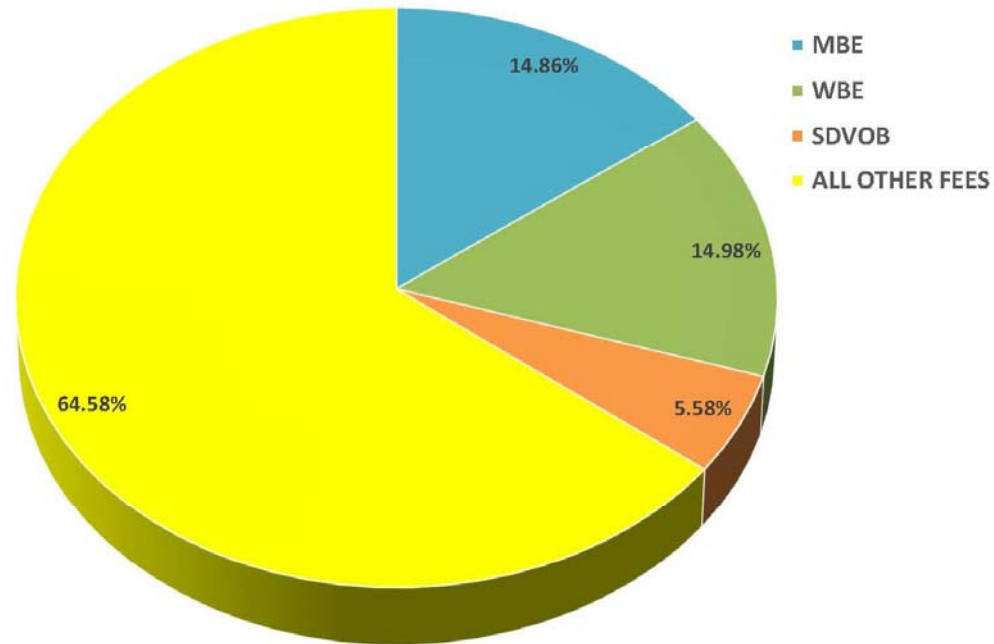
**Report includes MTA Bridges and Tunnels' major maintenance projects funded from operating budget.



Executive Summary

Financial Services

MTA ALL AGENCY UNDERWRITER FEES
April 2018 - September 2018



Actual MBE Participation = \$239,828 or 14.86%
Actual WBE Participation = \$241,723 or 14.98%
Actual SDVOB Participation = \$90,111 or 5.58%
All Other Underwriting Fees = \$1,042,506 or 64.58%
Total Underwriting Fees = \$1,614,1687



Executive Summary

■ Asset Fund Managers – MWBE Participation Combined Plans

■ Combined Plans

- Total assets managed by MWBEs: **\$1.205 billion**; or **15%** of total assets
- Majority of assets are in traditional asset classes
- Traditional assets managed by MWBEs: **\$1.123 billion**; or **22%** of traditional assets
 - MWBE firms manage
 - **53%** of US Equities
 - **33%** of Real Estate
 - **27%** of Non-US Equities
 - **9%** of Fixed Income
 - **1 %** of Opportunistic
- Alternative investments managed by MWBE's: **\$81.9 million**; or **3%** of alternative investments



Metropolitan Transportation Authority Department of Diversity and Civil Rights

Business and Diversity Initiatives

December 12, 2018



Business and Diversity Initiatives

November

DBE Certification Session

NYCHA 2018 M/WBE & SBC Procurement Fair

Veterans in Economic Transition Conference (VETCON)

Kawasaki Rail Car, Inc. M-9 Railcar Fleet MWBE Supplier Diversity Outreach Event

New York City Hispanic Chamber of Commerce, Inc. 13th Anniversary Banquet

December

New Firm Orientation Session

DBE Opportunity Day

Great Harlem Chamber of Commerce End-of-Year Reception



Metropolitan Transportation Authority Department of Diversity and Civil Rights

DBE Certification Activity Report

December 12, 2018



MTA DBE Certification Unit

CERTIFICATION APPLICATIONS RECEIVED JULY-OCTOBER 2016-2018

	2018	2017	2016
JULY	18	9	10
AUGUST	4	12	10
SEPTEMBER	3	6	4
OCTOBER	26	9	13
TOTAL	51	36	37

CERTIFICATION ACTIVITY FOR NEW APPLICATIONS JULY-OCTOBER 2016-2018

	2018	2017	2016
CERTIFIED	27	15	24
DENIED	0	0	1
RETURNED	3	7	12
WITHDRAWN	2	9	4
TOTAL	32	31	41



Metropolitan Transportation Authority Department of Diversity and Civil Rights

MTA-Wide Workforce
as of September 30, 2018

December 12, 2018



MTA-Wide Workforce as of September 30, 2018

Agency	TOTAL ¹		Minorities		WHITES		BLACKS		HISPANICS		ASIANS		AI/AN*		NHOPI**		2+ RACES		VETERANS	
	#	%	#	%	#	#	#	%	#	%	#	%	#	%	#	%	#	%	#	%
B&T	1,360		750	55%	610	45%	345	25%	244	18%	97	7%	5	0%	1	0%	58	4%	81	6%
F	304	22%	236	17%	68	5%	142	10%	55	4%	25	2%	2	0%	0	0%	12	1%	9	11%
M	1,056	78%	514	38%	542	40%	203	15%	189	14%	72	5%	3	0%	1	0%	46	3%	72	89%
BUS	4,143		3,226	78%	917	22%	1,850	45%	835	20%	343	8%	9	0%	14	0%	175	4%	44	1%
F	528	13%	473	11%	55	1%	300	7%	128	3%	24	1%	1	0%	0	0%	20	0%	3	7%
M	3,615	87%	2,753	66%	862	21%	1,550	37%	707	17%	319	8%	8	0%	14	0%	155	4%	41	93%
CCC	131		75	57%	56	43%	23	18%	13	10%	35	27%	1	1%	0	0%	3	2%	2	2%
F	44	34%	31	24%	13	10%	12	9%	4	3%	12	9%	0	0%	0	0%	3	2%	0	0%
M	87	66%	44	34%	43	33%	11	8%	9	7%	23	18%	1	1%	0	0%	0	0%	2	100%
HQ	2,789		1,580	57%	1,209	43%	632	23%	366	13%	440	16%	7	0%	2	0%	133	5%	68	2%
F	935	34%	676	24%	259	9%	346	12%	125	4%	144	5%	0	0%	1	0%	60	2%	6	9%
M	1,854	66%	904	32%	950	34%	286	10%	241	9%	296	11%	7	0%	1	0%	73	3%	62	91%
LIRR	7,651		2,783	36%	4,868	64%	1,309	17%	885	12%	311	4%	24	0%	4	0%	250	3%	522	7%
F	1,148	15%	601	8%	547	7%	358	5%	136	2%	58	1%	2	0%	1	0%	46	1%	27	5%
M	6,503	85%	2,182	29%	4,321	56%	951	12%	749	10%	253	3%	22	0%	3	0%	204	3%	495	95%
MNR	6,727		2,586	38%	4,141	62%	1,356	20%	733	11%	213	3%	26	0%	2	0%	256	4%	553	8%
F	849	13%	534	8%	315	5%	314	5%	120	2%	54	1%	4	0%	1	0%	41	1%	24	4%
M	5,878	87%	2,052	31%	3,826	57%	1,042	15%	613	9%	159	2%	22	0%	1	0%	215	3%	529	96%
NYCT	52,054		40,618	78%	11,436	22%	24,291	47%	8,700	17%	6,200	12%	106	0%	21	0%	1,300	2%	714	1%
F	9,636	19%	8,871	17%	765	1%	6,605	13%	1,454	3%	523	1%	20	0%	3	0%	266	1%	59	8%
M	42,418	81%	31,747	61%	10,671	20%	17,686	34%	7,246	14%	5,677	11%	86	0%	18	0%	1,034	2%	655	92%
Total	74,855		51,618	69%	23,237	31%	29,806	40%	11,776	16%	7,639	10%	178	0%	44	0%	2,175	3%	1,984	3%

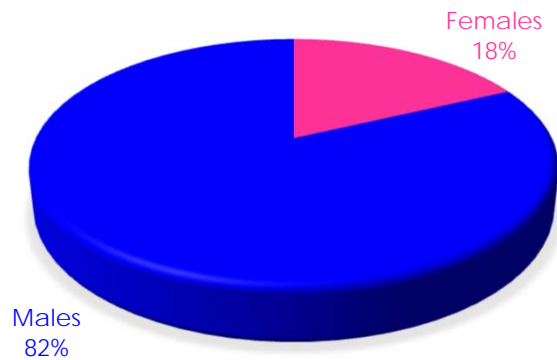
*American Indian/Alaskan Native

**Native Hawaiian Other Pacific Islander

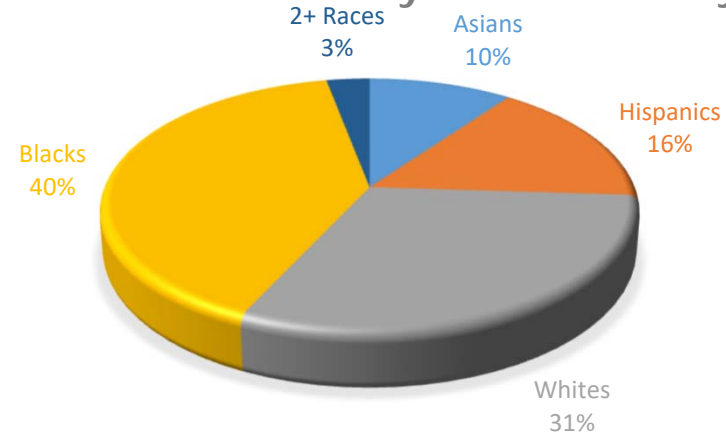


MTA-Wide Workforce as of September 30, 2018

Workforce By Gender



Workforce By Race/Ethnicity



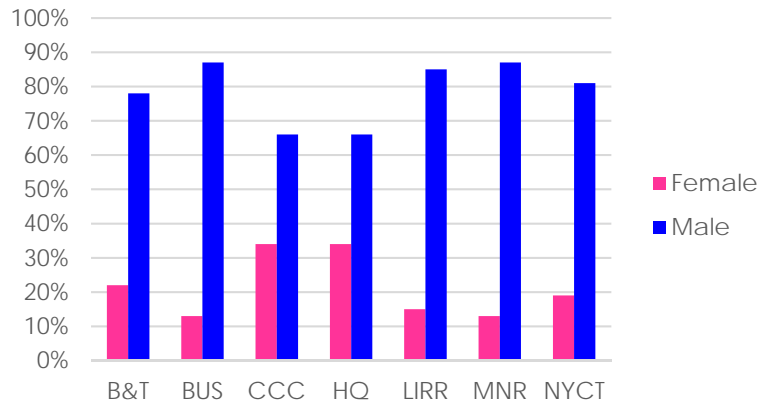
MTA employed **74,855** people: **18%** of the workforce were females, **69%** minorities, and veterans comprised **3%**.

- ❑ The percentage of females employed in the workforce had increased by **1%** when compared to 3Q17.
- ❑ The percentage of minorities in the workforce had increased by **3%** when compared to 3Q17.

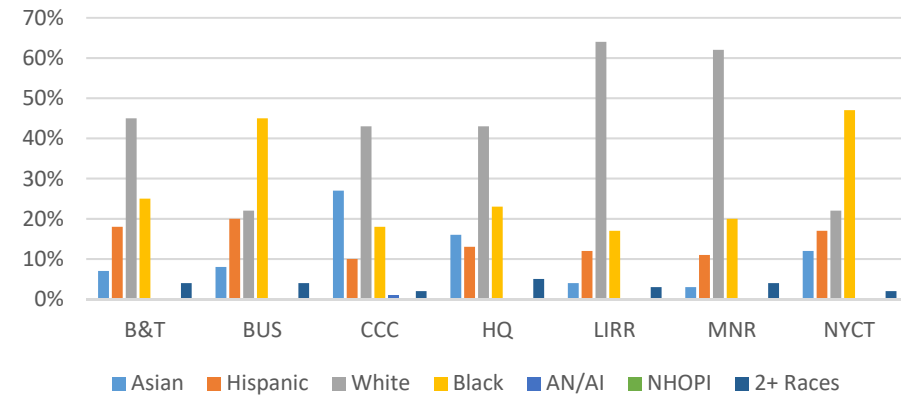


MTA-Wide Workforce by Gender and Race/Ethnicity as of September 30, 2018

MTA Agencies By Gender



MTA Agencies By Race/Ethnicity



Agency	Employees	Females	Minorities
B&T	1,360	22%	54%
BUS	4,143	13%	77%
CCC	131	34%	58%
HQ	2,789	34%	57%
LIRR	7,651	15%	36%
MNR	6,727	13%	38%
NYCT	52,054	19%	78%



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 all agencies conducted a utilization analysis of females and minorities in its workforce. The utilization analysis consists of comparing the percentage of females and minorities in the workforce to the percentages of qualified females and minorities in the relevant labor market.

In general, as of September 30, 2018, **females, Asians, Blacks** and **Hispanics** were underrepresented in some of the EEO job categories. A majority of the underrepresentation occurred within the Technicians, Skilled Craft and Service Maintenance job categories.

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



Note: The following numbers and information do not reflect underutilization 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.

MTA-Wide Underutilization Analysis as of September 30, 2018

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 %
Officials & Administrators															
B&T	F	8%	11%	5%	2%	3%	4%	0%	0%	0%	0%	1%	2%	8%	9%
	M	8%	10%	6%	7%	5%	10%	0%	0%	0%	0%	3%	3%		
BUS	F	3%	11%	2%	3%	1%	2%	0%	0%	0%	0%	0%	1%	15%	4%
	M	8%	16%	5%	11%	4%	8%	0%	0%	0%	0%	2%	4%		
CCC	F	5%	6%	3%	5%	5%	7%	0%	0%	0%	0%	0%	0%	12%	12%
	M	5%	7%	2%	0%	15%	20%	1%	1%	0%	0%	0%	2%		
HQ	F	7%	14%	3%	4%	4%	6%	0%	0%	0%	0%	1%	1%	16%	14%
	M	5%	8%	4%	4%	6%	11%	0%	0%	0%	0%	1%	2%		
LIRR	F	5%	5%	2%	2%	1%	2%	0%	0%	0%	0%	1%	1%	11%	10%
	M	7%	8%	6%	7%	3%	4%	0%	1%	0%	0%	1%	3%		
MNR	F	4%	5%	3%	3%	3%	3%	0%	0%	0%	0%	1%	1%	13%	10%
	M	6%	10%	4%	6%	4%	5%	0%	0%	0%	0%	2%	3%		
NYCT	F	6%	12%	2%	2%	1%	3%	0%	0%	0%	0%	0%	1%	6%	7%
	M	18%	18%	8%	9%	10%	11%	0%	0%	1%	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 underutilization analysis.



MTA-Wide Underutilization Analysis as of September 30, 2018

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 %
Professionals															
B&T	F	8%	14%	4%	10%	3%	6%	0%	0%	0%	0%	1%	1%	13%	13%
	M	8%	7%	9%	9%	4%	7%	0%	0%	0%	0%	1%	6%		
BUS	F	8%	15%	5%	13%	4%	10%	0%	0%	0%	0%	1%	4%	13%	7%
	M	5%	9%	4%	5%	8%	17%	0%	0%	0%	0%	2%	5%		
CCC	F	8%	24%	3%	5%	8%	24%	0%	0%	0%	0%	0%	0%	15%	5%
	M	6%	10%	4%	10%	5%	10%	0%	0%	0%	0%	0%	0%		
HQ	F	6%	15%	4%	5%	4%	8%	0%	0%	0%	0%	1%	3%	20%	9%
	M	5%	12%	4%	9%	5%	15%	0%	0%	0%	0%	1%	4%		
LIRR	F	3%	3%	2%	2%	2%	3%	0%	0%	0%	0%	0%	1%	14%	7%
	M	6%	12%	5%	8%	6%	11%	0%	0%	0%	0%	1%	3%		
MNR	F	7%	12%	6%	5%	4%	6%	0%	1%	0%	0%	1%	2%	24%	11%
	M	4%	9%	4%	7%	4%	9%	0%	0%	0%	0%	0%	2%		
NYCT	F	6%	16%	3%	5%	4%	8%	0%	0%	0%	0%	0%	2%	14%	7%
	M	9%	14%	5%	5%	9%	19%	2%	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 underutilization analysis.



MTA-Wide Underutilization Analysis as of September 30, 2018

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%	6%	3%	6%	0%	1%	0%	0%	0%	0%	1%	1%	2%	4%
	M	16%	10%	16%	21%	3%	4%	0%	0%	0%	0%	2%	1%		
BUS	F	7%	6%	6%	13%	1%	0%	0%	0%	0%	0%	0%	0%	21%	44%
	M	5%	0%	5%	0%	8%	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	3%	0%	2%	1%	0%	0%	0%	0%	0%	0%	1%	1%	6%	4%
	M	7%	8%	11%	6%	3%	4%	0%	0%	0%	1%	1%	1%		
LIRR	F	3%	0%	3%	0%	2%	5%	0%	0%	0%	0%	0%	10%	6%	5%
	M	10%	0%	9%	20%	8%	10%	0%	5%	0%	0%	0%	0%		
MNR	F	4%	4%	2%	2%	1%	0%	0%	0%	0%	0%	1%	1%	4%	3%
	M	13%	19%	8%	10%	5%	6%	0%	0%	0%	0%	3%	3%		
NYCT	F	7%	21%	5%	3%	5%	1%	0%	0%	0%	0%	0%	0%	17%	5%
	M	8%	24%	5%	6%	7%	14%	0%	0%	0%	0%	1%	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 underutilization analysis.



MTA-Wide Underutilization Analysis as of September 30, 2018

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%	19%	7%	20%	2%	4%	0%	0%	0%	0%	0%	2%		
BUS	F	7%	0%	16%	17%	1%	0%	0%	0%	0%	0%	1%	0%	13%	17%
	M	22%	50%	5%	0%	0%	0%	0%	0%	0%	0%	7%	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%	8%	16%	2%	3%	0%	0%	0%	0%	1%	2%		
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%	3%	8%
	M	4%	0%	6%	8%	1%	0%	0%	0%	0%	0%	4%	23%		
NYCT	F	10%	16%	6%	3%	2%	0%	0%	0%	0%	0%	0%	1%	19%	2%
	M	14%	34%	8%	17%	3%	6%	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 underutilization analysis.



MTA-Wide Underutilization Analysis as of September 30, 2018

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 %
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	12%	14%	12%	0%	4%	7%	0%	0%	0%	0%	1%	0%	41%	36%
	M	2%	0%	2%	0%	1%	0%	0%	0%	0%	0%	0%	7%		
NYCT	F	11%	27%	9%	16%	3%	6%	0%	0%	0%	0%	1%	4%	26%	4%
	M	7%	20%	5%	8%	3%	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 underutilization analysis.



MTA-Wide Underutilization Analysis as of September 30, 2018

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOP**		2+ Races		Whites	
		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%	66%	9%	10%	3%	3%	0%	0%	0%	0%	0%	0%	13%	3%
	M	4%	3%	3%	0%	4%	4%	0%	0%	0%	0%	0%	0%		
BUS	F	11%	17%	8%	9%	3%	2%	0%	0%	0%	0%	2%	3%	10%	7%
	M	16%	17%	6%	4%	7%	8%	0%	1%	0%	0%	3%	8%		
CCC	F	2%	9%	6%	27%	3%	0%	0%	0%	0%	0%	0%	9%	21%	10%
	M	3%	18%	0%	18%	5%	9%	0%	0%	0%	0%	0%	0%		
HQ	F	11%	36%	11%	11%	4%	3%	0%	0%	0%	0%	1%	6%	41%	19%
	M	2%	9%	2%	6%	1%	4%	0%	0%	0%	0%	0%	1%		
LIRR	F	13%	21%	10%	7%	4%	2%	0%	0%	0%	0%	1%	1%	26%	20%
	M	5%	10%	4%	5%	2%	1%	0%	0%	0%	0%	1%	2%		
MNR	F	11%	21%	11%	7%	4%	1%	0%	0%	0%	0%	0%	2%	30%	11%
	M	4%	14%	5%	7%	2%	2%	0%	0%	0%	0%	0%	3%		
NYCT	F	19%	31%	8%	6%	3%	3%	0%	0%	0%	0%	1%	1%	8%	2%
	M	19%	23%	9%	9%	6%	16%	0%	0%	0%	0%	1%	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 underutilization analysis.



MTA-Wide Underutilization Analysis as of September 30, 2018

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOP**		2+ Races		Whites	
		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	1%	0%	1%	0%	0%	0%	0%	0%	0%	0%	0%	0%	1%	0%
	M	24%	32%	13%	15%	9%	12%	0%	0%	1%	1%	4%	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%	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%	3%		
MNR	F	1%	1%	1%	0%	0%	0%	0%	0%	0%	0%	0%	0%	2%	0%
	M	12%	17%	10%	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	26%	33%	12%	12%	8%	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 underutilization analysis.



MTA-Wide Underutilization Analysis as of September 30, 2018

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 %
Service Maintenance															
B&T	F	3%	1%	7%	2%	1%	0%	0%	0%	0%	0%	0%	0%	3%	1%
	M	14%	21%	24%	13%	3%	3%	0%	1%	0%	0%	1%	4%		
BUS	F	7%	8%	5%	3%	0%	0%	0%	0%	0%	0%	0%	0%	1%	1%
	M	32%	43%	18%	19%	4%	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%	8%	5%	3%	1%	0%	0%	0%	0%	0%	0%	1%	6%	6%
	M	13%	18%	16%	12%	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%	18%	18%	10%	2%	2%	0%	0%	0%	0%	1%	3%		
NYCT	F	13%	15%	4%	4%	0%	0%	0%	0%	0%	0%	0%	0%	2%	1%
	M	28%	42%	16%	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 underutilization analysis.



Metropolitan Transportation Authority Department of Diversity and Civil Rights

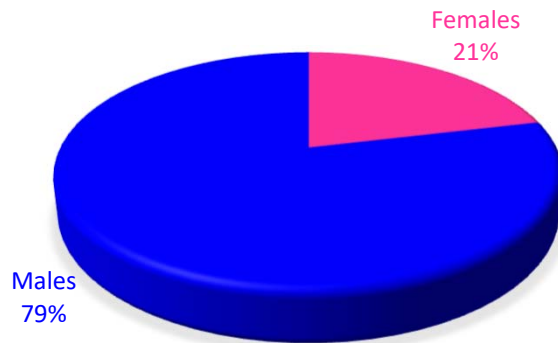
MTA-Wide New Hires and Veterans
Third Quarter 2018

December 12, 2018

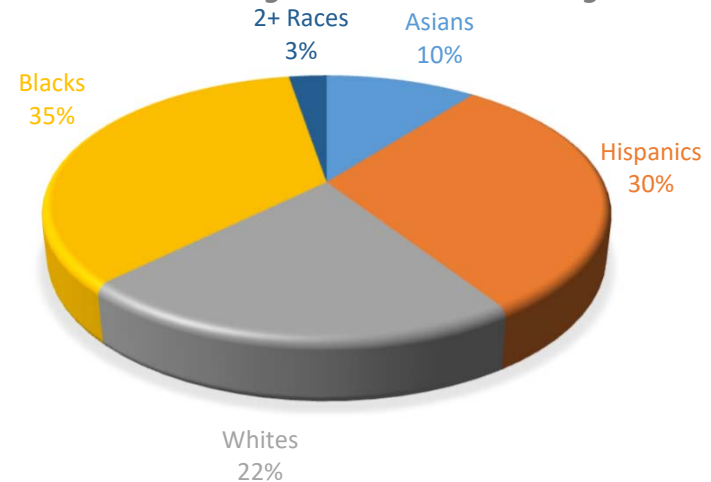


MTA-Wide New Hires as of September 30, 2018

New Hires By Gender



New Hires By Race/Ethnicity



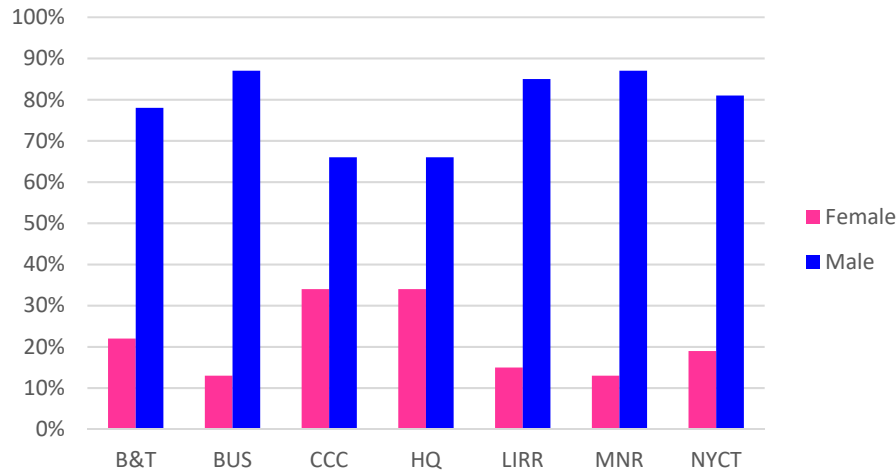
We hired **4,430** employees, including **174** veteran: **21%** of new hires were females and minorities comprised **75%**.

- ❑ Female were hired above their percentage of representation in the workforce.
- ❑ Minorities were hired above their percentage of representation in the workforce.

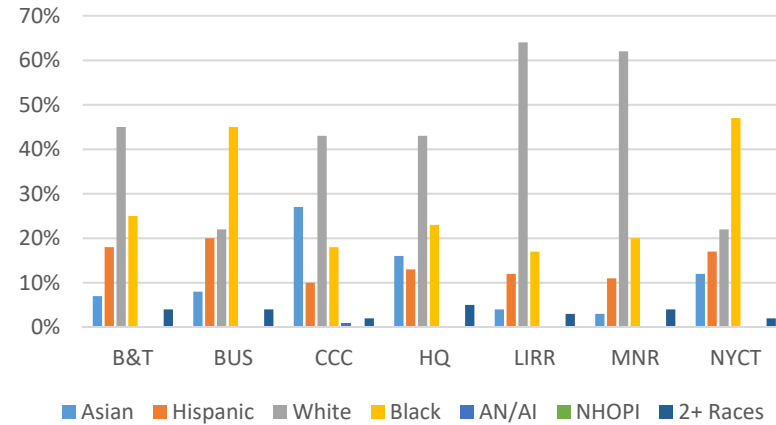


New Hires By Agency as of September 30, 2018

MTA Agencies New Hires By Gender



MTA Agencies New Hires By Race/Ethnicity



Agency	New Hires	Females	Minorities
B&T	34	38%	65%
BUS	321	18%	89%
CCC	16	38%	57%
HQ	189	31%	59%
LIRR	516	19%	45%
MNR	370	13%	47%
NYCT	2,984	22%	84%



Metropolitan Transportation Authority Department of Diversity and Civil Rights

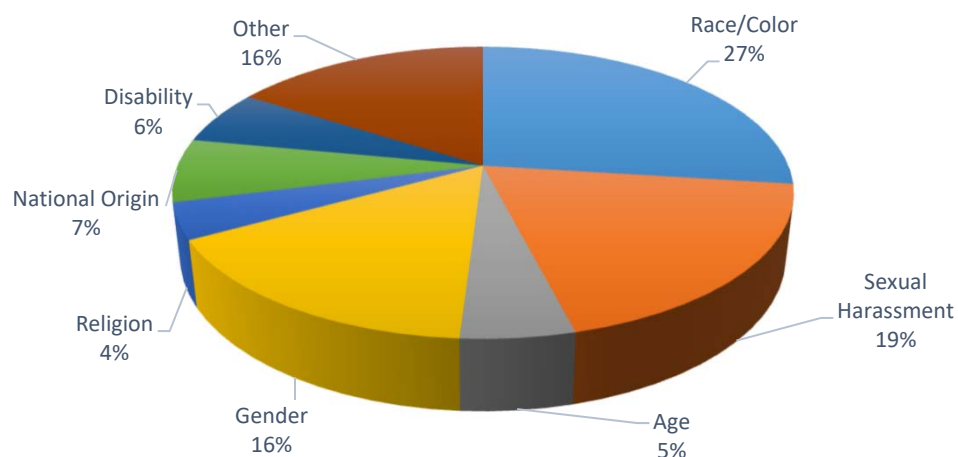
MTA-Wide Complaints and Lawsuits Third Quarter 2018



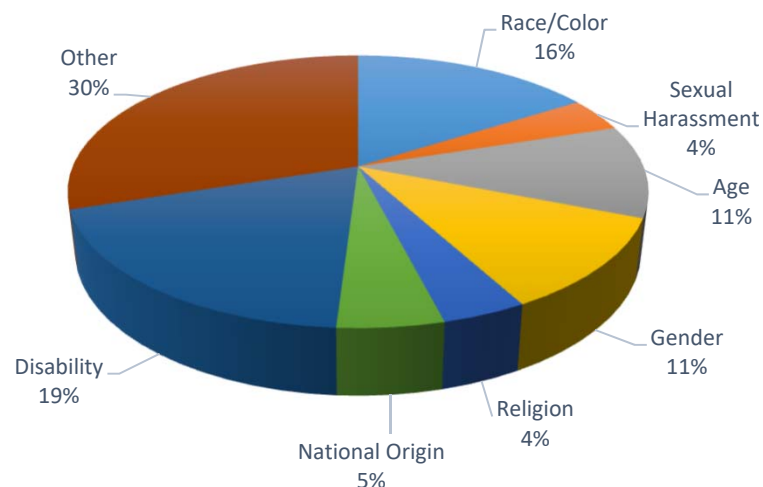
December 12, 2018

MTA-Wide EEO Internal/External Discrimination Complaints January 1, 2018 to September 30, 2018

Internal EEO Complaints by Allegations



External EEO Complaints by Allegations



MTA handled **508** EEO complaints, citing **922** separate allegations, and **90** lawsuits.

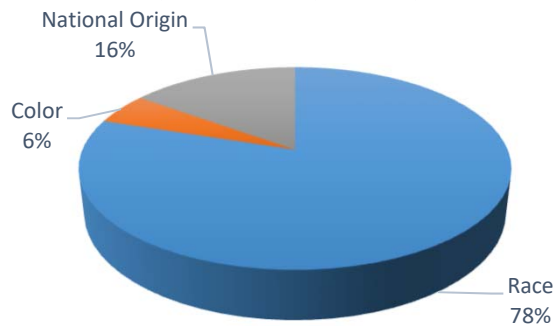
- ❑ **291** filed internal complaints.
- ❑ **217** filed external complaints.
- ❑ The most frequently cited allegation internally was race/color and externally was disability.



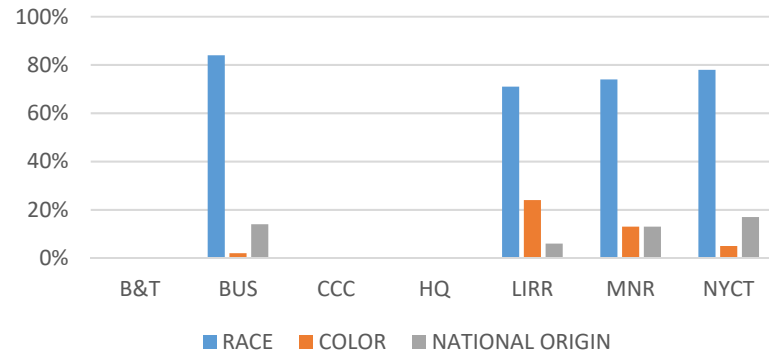
Note: Complaints can be filed alleging multiple allegations.

MTA-Wide Title VI Complaints by Complaints and Lawsuits January 1, 2018 to September 30, 2018

**MTA-Wide Title VI
Complaints by Allegations**



Title VI Complaints by Agency



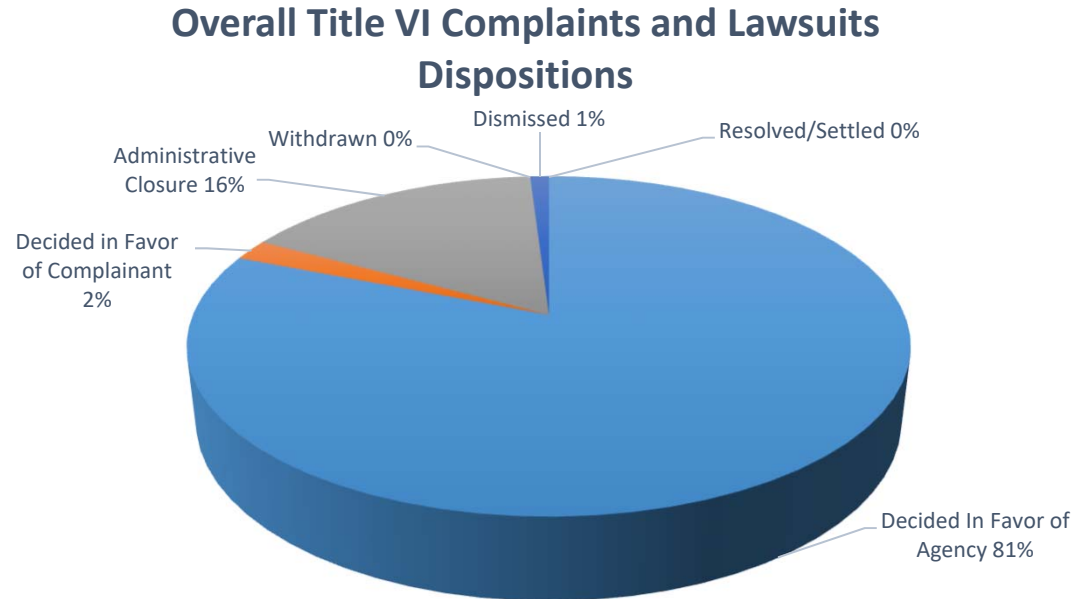
MTA handled a total of **335** Title VI complaints with **352** allegations and **0** Title VI lawsuits.

Agency	Complaints	Allegations	Race	Color	National Origin
BUS	82	85	84%	2%	14%
LIRR	12	17	71%	24%	6%
MNR	20	23	74%	13%	13%
NYCT	221	227	78%	5%	17%

Note: Complaints can be filed alleging multiple allegations.



MTA-Wide Title VI Complaints and Lawsuits Dispositions January 1, 2018 to September 30, 2018



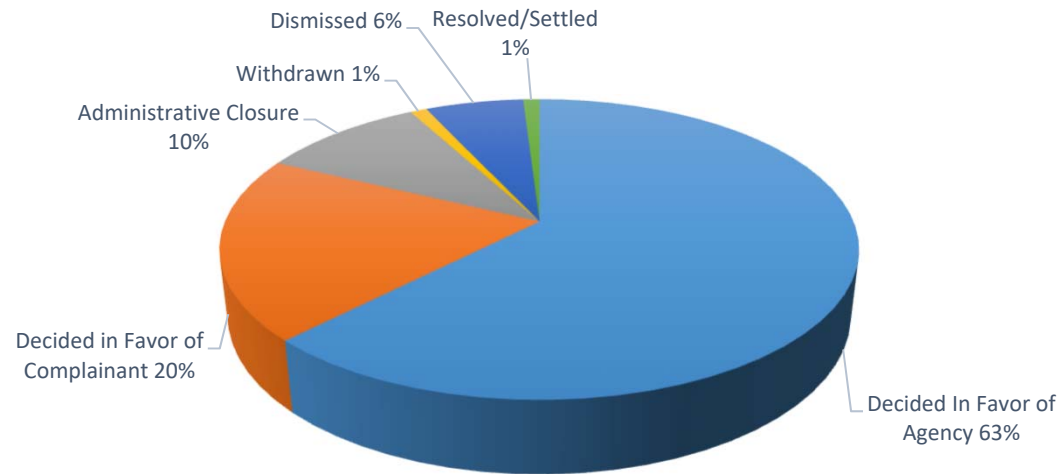
MTA disposed of **129** Title VI complaints and **0** Title VI lawsuits

- ❑ **81%** complaints decided in favor of the agency.
- ❑ **2%** complaints decided in favor of the complainant.
- ❑ **16%** complaints were administrative closures.
- ❑ **1%** complaints were dismissed.
- ❑ **0%** complaints were resolved/settled.



MTA-Wide EEO Complaints and Lawsuits Dispositions January 1, 2018 to September 30, 2018

Overall EEO Complaints and Lawsuits Dispositions



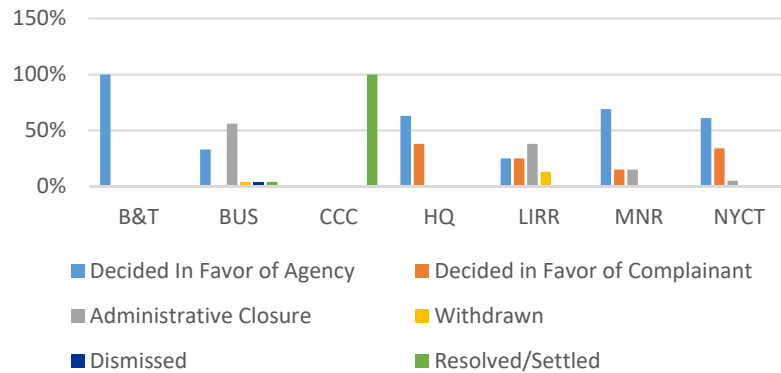
MTA disposed of **177** EEO complaints and **15** EEO lawsuits.

- ❑ **63%** complaints/lawsuits decided in favor of the agency.
- ❑ **20%** complaints /lawsuits decided in favor of the complainant.
- ❑ **10%** complaints/lawsuits were administrative closures.
- ❑ **1%** complaints/lawsuits were withdrawn.
- ❑ **6%** complaints/lawsuits were dismissed.
- ❑ **1%** complaints/lawsuits were resolved/settled.

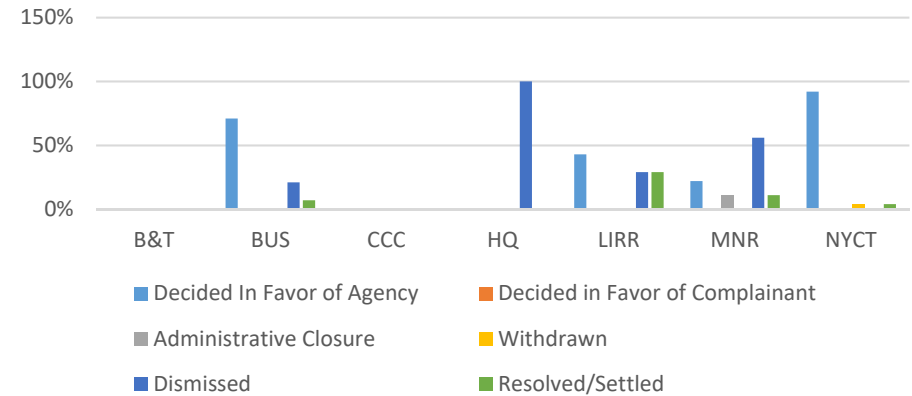


MTA-Wide Internal/External EEO Complaints and Lawsuits Dispositions January 1, 2018 to September 30, 2018

EEO Internal Complaint Dispositions



EEO External Complaint and Lawsuits Dispositions



Metropolitan Transportation Authority Department of Diversity and Civil Rights

MTA Small Business Development Program Business Development Initiatives and MWDBE Results

December 12, 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.



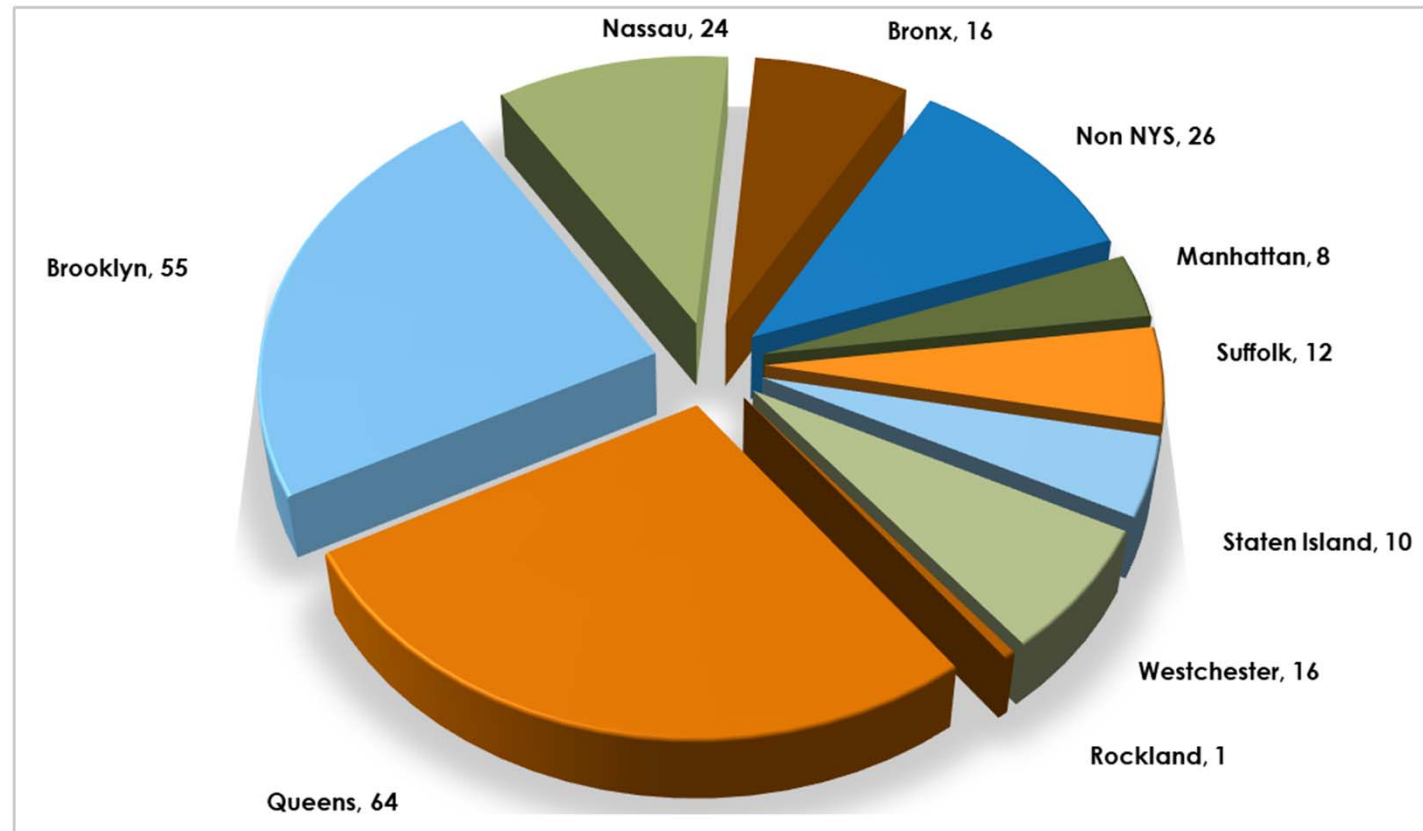
SBDP Represents NY Metro Region

Small Business Mentoring Program All Tiers

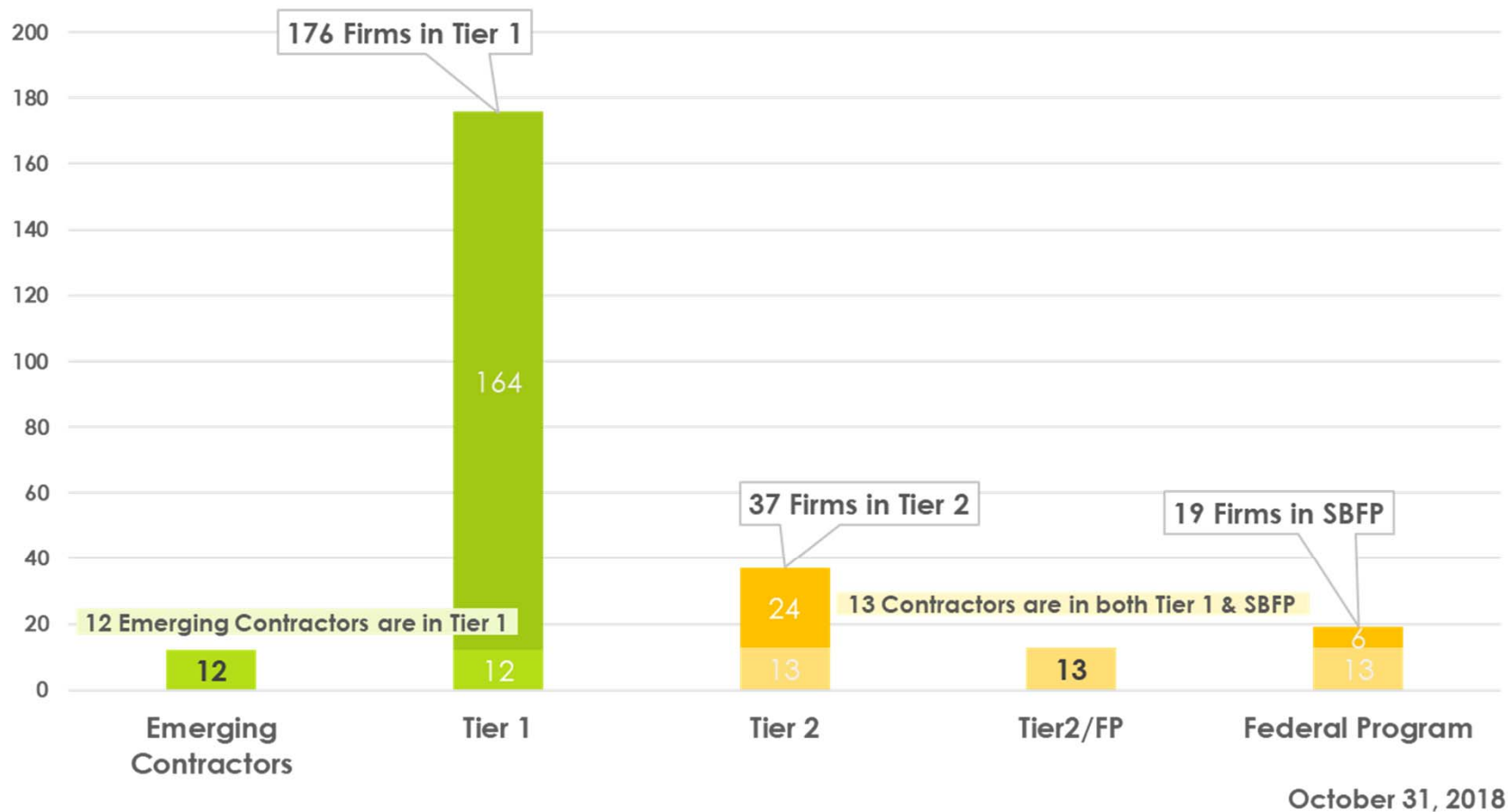
Certification *	
MBE	153
WBE	41
DBE	39
SDVOB	8
Non-Certified	64

** firms may have multiple certifications*

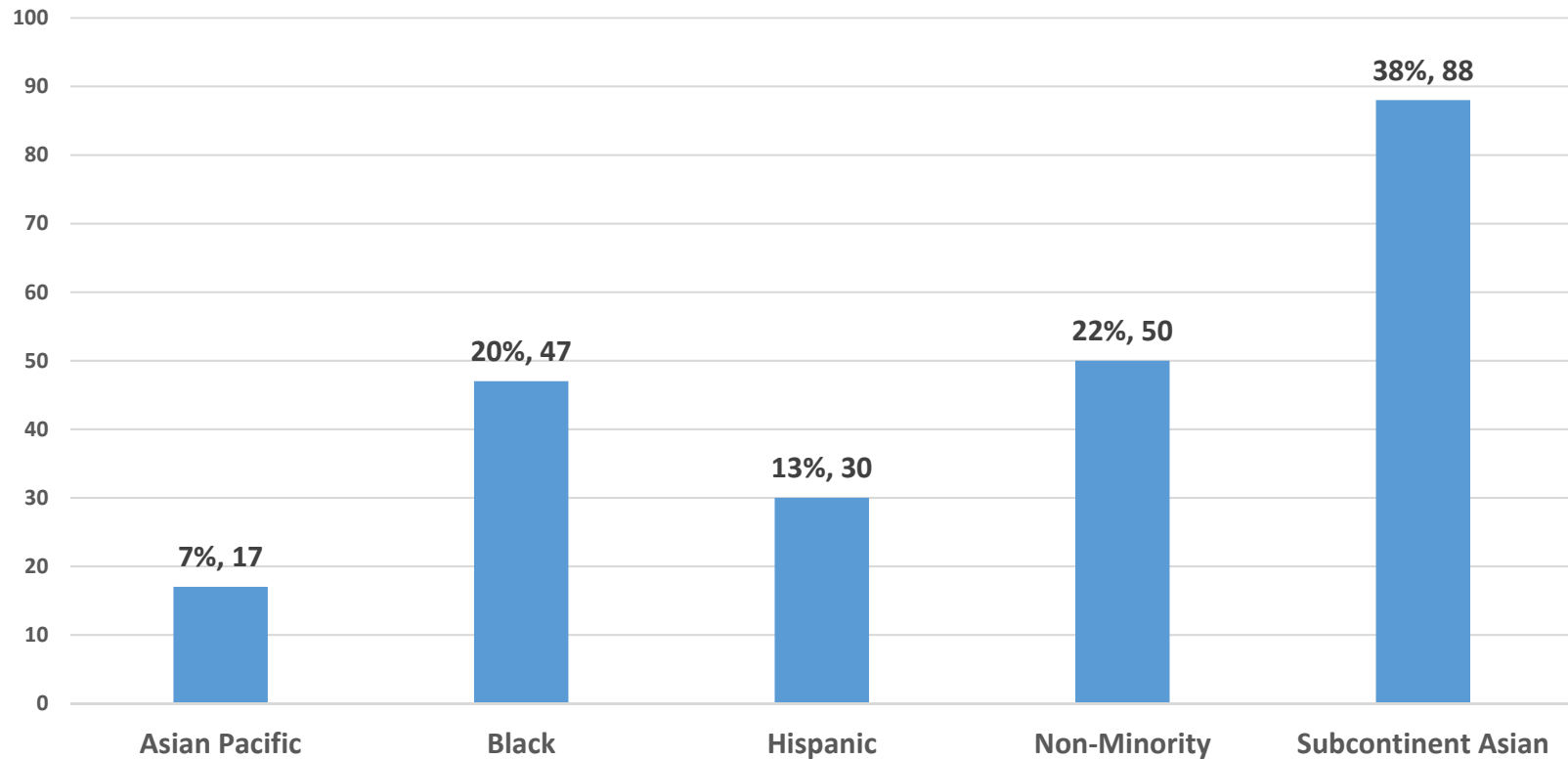
232 Prequalified Firms (as of October 31, 2018)



SBDP Tier Participants



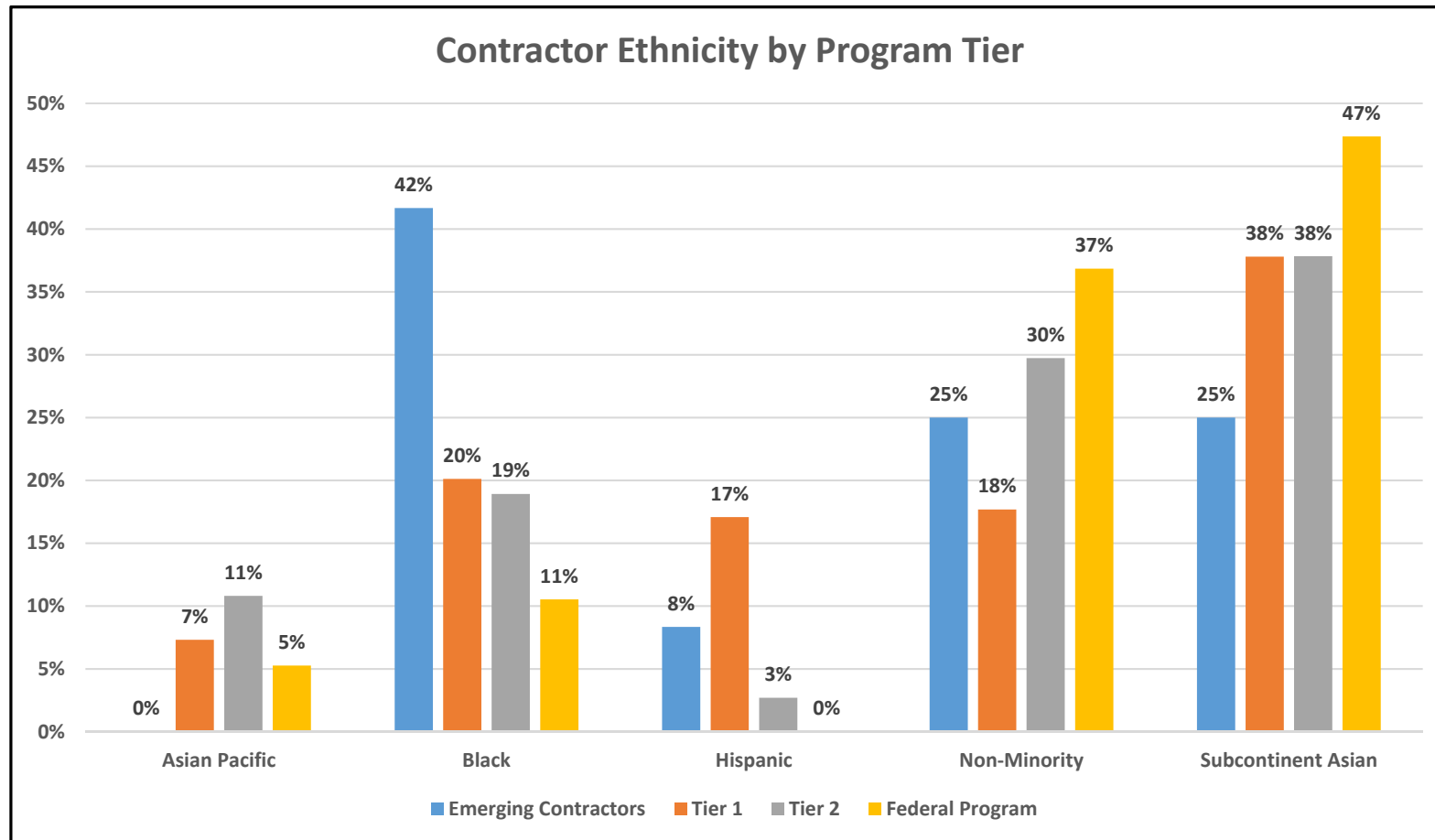
SBDP Participants are Diverse



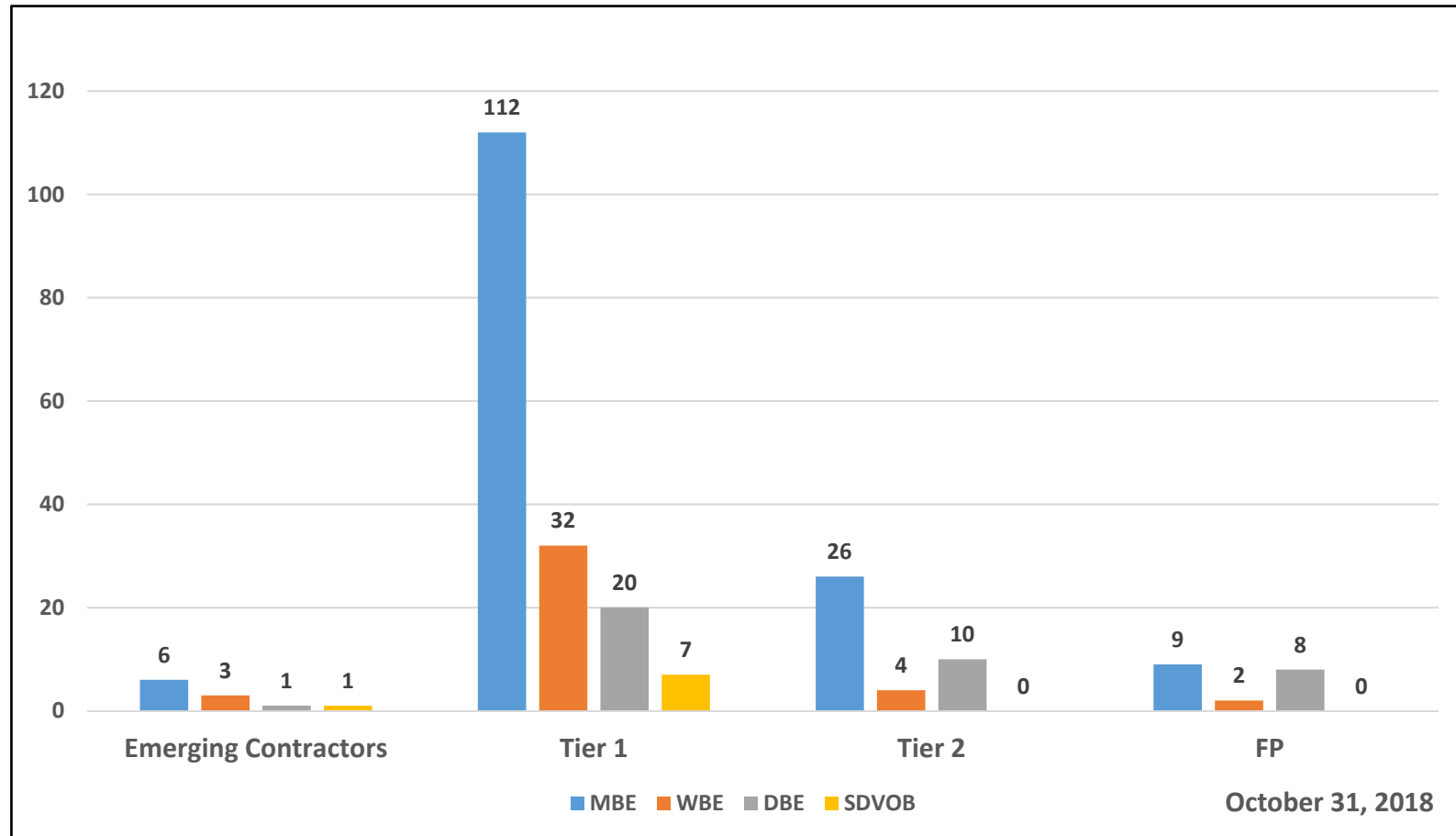
October 31, 2018



SBDP Tiers are also Diverse



SBDP Certifications



SBDP is Exceeding MWDBE Goals

- MTA MWBE SBMP Tier 1/Tier 2 Goal – **30%**
- MTA DBE Goal – **18%**
- Tier 1 MWBE Achievements
 - **70%** - contracts awarded to NYS-certified MWBEs
 - **69%** - contract dollars awarded to NYS-certified MWBEs
- Tier 2 MWBE Achievements
 - **90%** - contracts awarded to NYS-certified MWBEs
 - **91%** - contracts dollars awarded to NYS-certified MWBEs
- Federal Program DBE Achievements
 - **59%** - contracts awarded to DBEs
 - **57%** - contracts dollars awarded to DBEs

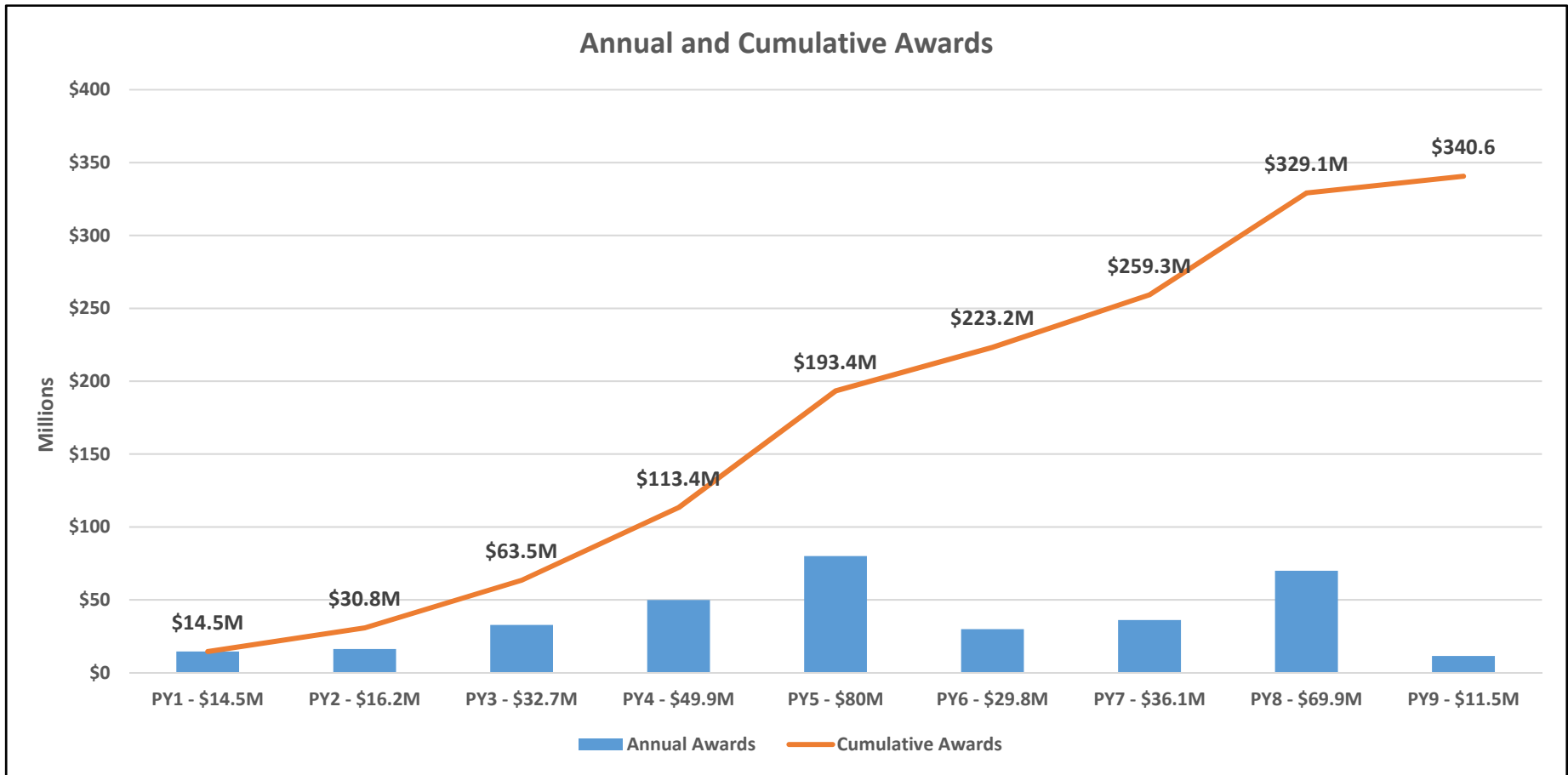


Elements of the SBDP

- 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



SBDP Prime Contract Opportunities

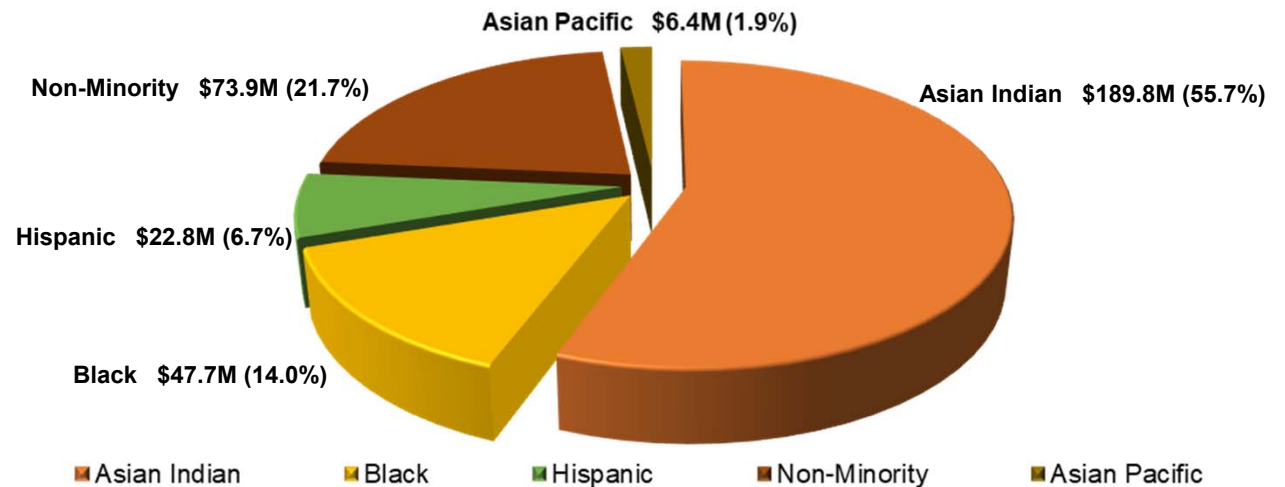


Program Year 1-9 awards, from July 2010 through October 31, 2018.

SBDP Contract Awards

Total SBDP Contract Awards by Ethnic/Gender Categories

Category	Awards
Asian Indian	\$189.8M
Non-Minority	\$ 73.9M
Black	\$ 47.7M
Hispanic	\$ 22.8M
Asian Pacific	\$ 6.4M
Total SBDP Awards	\$340.6M



Contract Awards through October 31, 2018



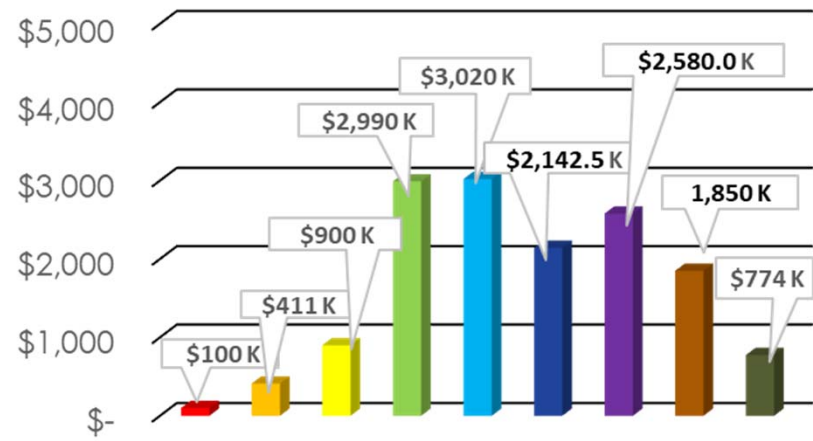
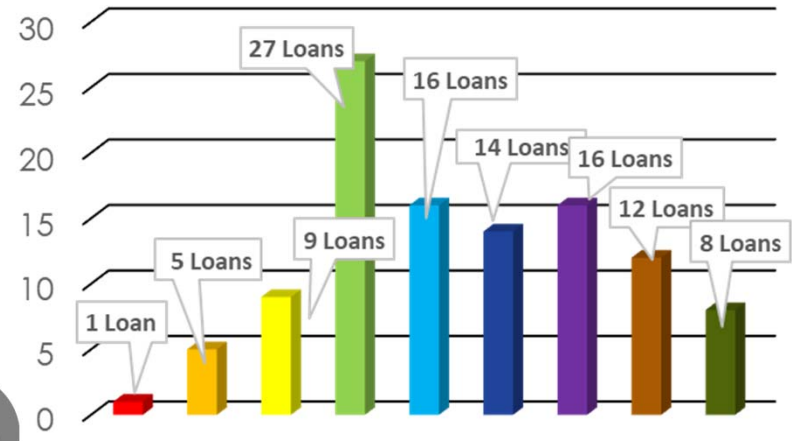
SBDP Loan Program

	Year 1	-	1 Loan	totaling	\$ 100,000
	Year 2	-	5 Loans	totaling	\$ 411,000
	Year 3	-	9 Loans	totaling	\$ 900,000
	Year 4	-	27 Loans	totaling	\$ 2,990,000
	Year 5	-	16 Loans	totaling	\$ 3,020,000
	Year 6	-	14 Loans	totaling	\$ 2,142,500
	Year 7	-	16 Loans	totaling	\$ 2,580,000
	Year 8	-	12 Loans	totaling	\$ 1,850,000
	Year 9	-	8 Loans	totaling	\$ 774,000
	Total		108 Loans	Totals	\$14,767,500

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






Loan values shown are as of
July 2010 through October 31, 2018

(Year 9 is for 3 months ended 10/31/2018)



SBDP Projections

Estimated SBDP Project Awards 2018 – 2019 & 2019 – 2020 Program Years

Small Business Mentoring Program		# of Projects
 Tier 1	\$ 90M	130
 Tier 2	\$ 63M	31
Small Business Federal Program		
 SBFP	\$ 72M	35
Totals		
 All Programs	\$225M	196
<hr/>		
	Estimated Job Creation of over 5,400 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'19 SBMP-Tier 1 Awards total **\$155.9** Million
 - PY'15 – PY'19 SBMP-Tier 2 Awards total **\$93.8** Million
 - PY'13 – PY'19 SBFP Awards total **\$90.9** Million
-
- Estimated job creation and maintenance within the Small Business and MWDBE Community approaching **8,200**

*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 Facilitates Bonding and Growth

- Tier 2 and Federal Program contractors currently carry \$261.5M in Single and \$489M in Aggregate bonding capacity
- 688 bid opportunities in the Tier 2 and Federal Programs
- 94 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 **190** classroom training dates completed from July 2010 through October 2018
- Over **1,600** hours of classroom training provided from July 2010 through October 2018
- All prequalified contractors complete a mandatory 13-session training program
- 35 current course attendees – assisting them through the application and 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
 - Business Communications
 - 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
- 254 In-Person Assessments Complete
- 250 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

- 6 Tier 1 contractors graduated in 2018
- 6 additional Tier 1 contractors exceeded revenue thresholds in 2018
- 6 Tier 2/FP contractors graduated in 2018
- 2 FP contractors exceeded revenue thresholds
- Current SBDP contractors are 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



Metropolitan Transportation Authority Department of Diversity and Civil Rights

M/W/DBE & SDVOB Contract Compliance
Third Quarter 2018

December 12, 2018



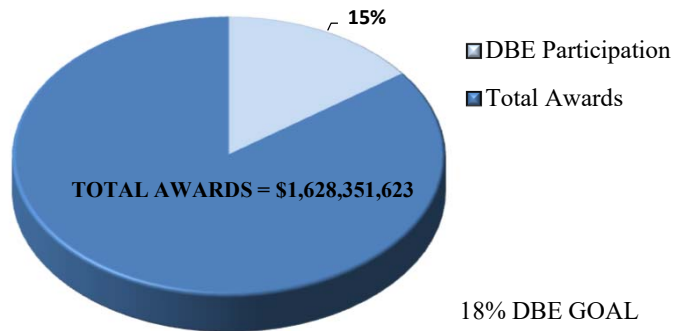
**DBE Participation in Federally Funded Contracts
Federal Fiscal Year 2018*
(Reporting Period: October 1, 2017 to September 30, 2018)**

- 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 ongoing, and completed contracts.
- For FFY 2018, MTA’s DBE goal is 18%.
- During FFY 2018, MTA awarded \$1.6 billion in the federally funded portion of contracts, with \$245 million (15%) being awarded to certified DBEs.
- During FFY 2018, MTA paid prime contractors \$1.4 billion, with payments to certified DBEs totaling \$227 million (16%).

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

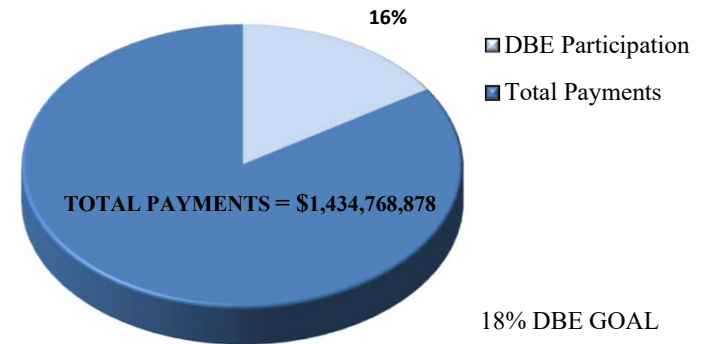
FEDERALLY-FUNDED CONTRACTS
DBE CONTRACT ACTIVITY
FEDERAL FISCAL YEAR 2018 (OCTOBER 2017- SEPTEMBER 2018)

DBE AWARD PARTICIPATION



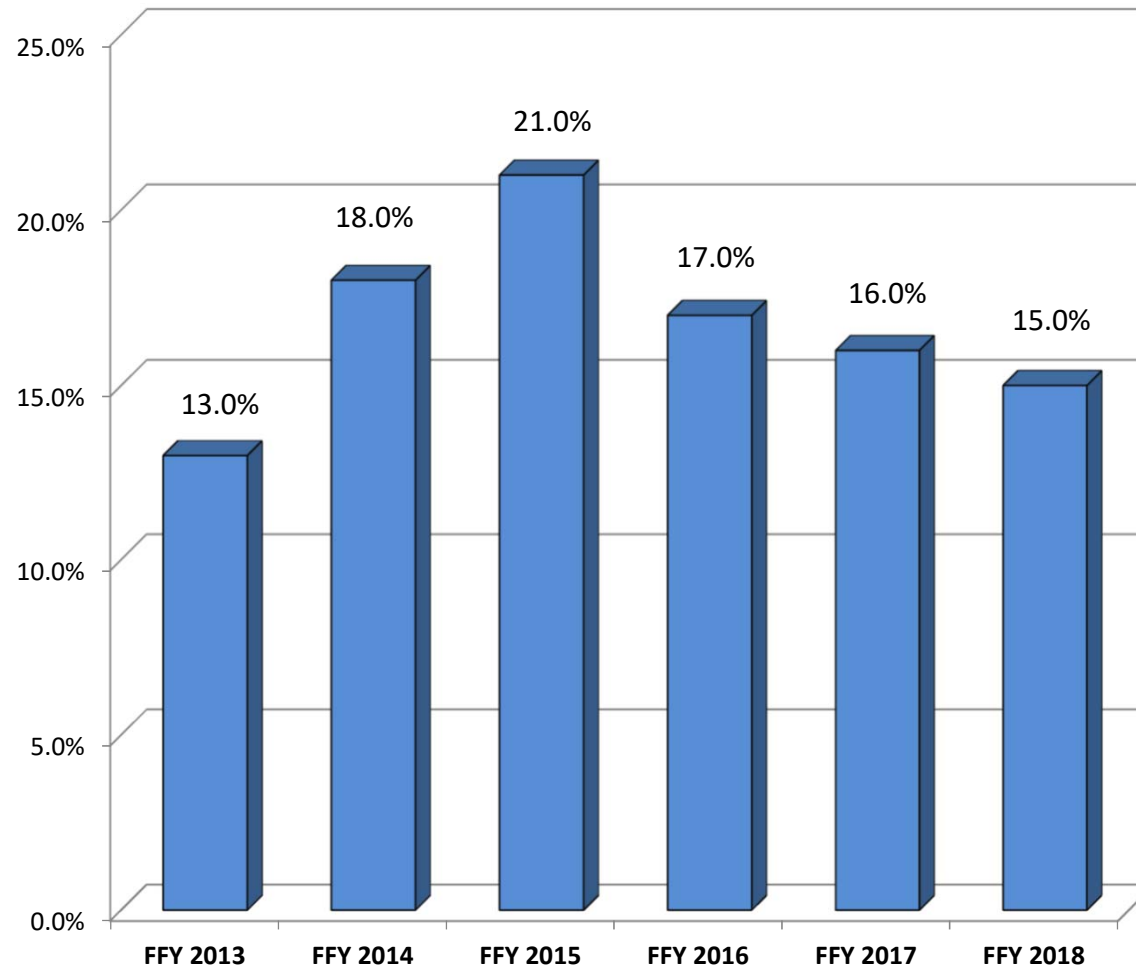
Actual DBE Participation = \$245M or 15%

DBE PAYMENT PARTICIPATION

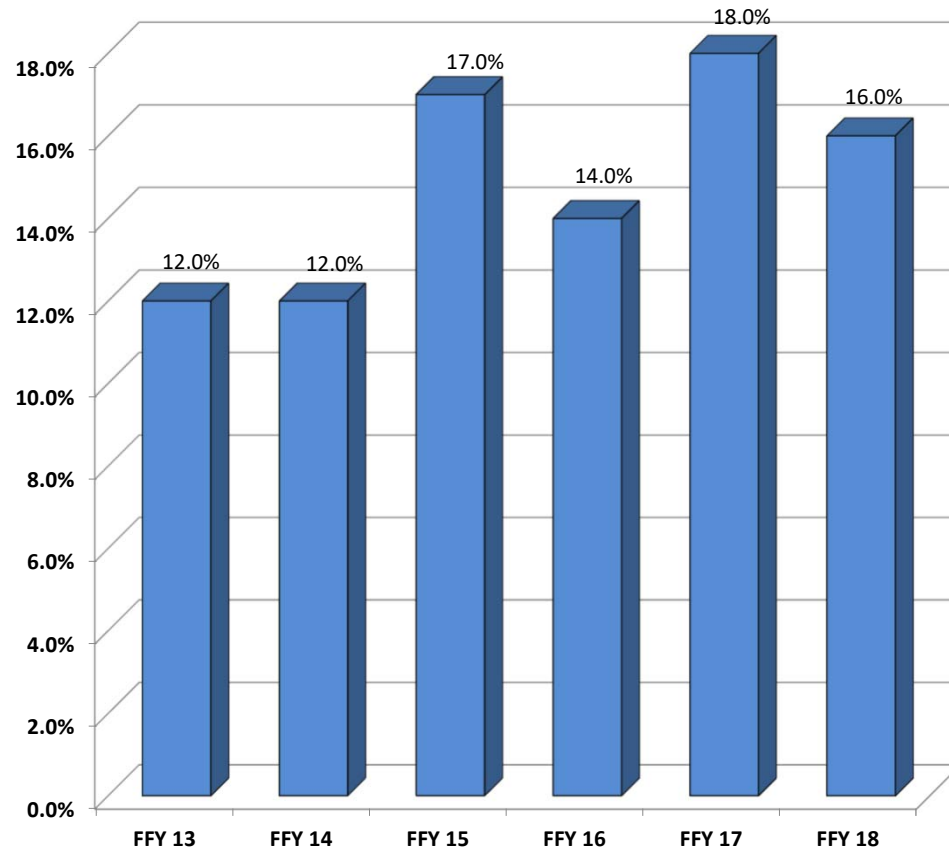


Actual DBE Participation = \$227M or 16%

DBE CONTRACT AWARDS
October 2013 - September 2018



DBE CONTRACT PAYMENTS
October 2013 - September 2018



**FEDERALLY-FUNDED CONTRACTS
DBE CONTRACT ACTIVITY
FEDERAL FISCAL YEAR 2018 (OCTOBER 2017-SEPTEMBER 2018)**

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	512	\$678,898,415	179	\$87,696,507	13%	18%
October 2017- March 2018						
2nd SEMI-ANNUAL REPORT	337	\$949,453,208	104	\$157,609,630	17%	18%
April 2018- September 2018						
TOTAL	849**	\$1,628,351,623	283	\$245,306,137	15%	18%

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	160	\$719,759,224	484	\$110,849,801	15%	18%
October 2017- March 2018						
2nd SEMI-ANNUAL REPORT	169	\$715,009,654	473	\$116,118,347	16%	18%
April 2018- September 2018						
TOTAL	329	\$1,434,768,878	957	\$226,968,148	16%	18%

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

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

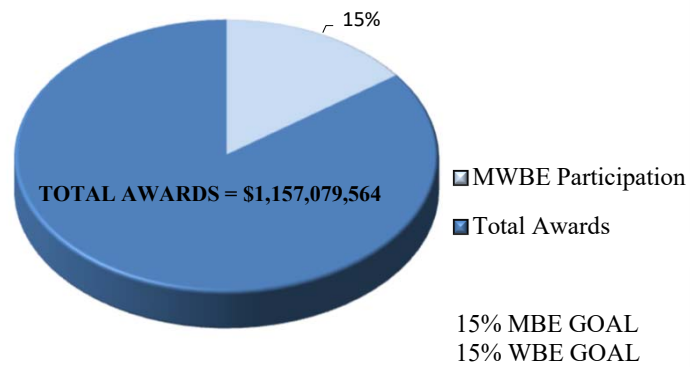
**MWBE Participation in State Funded Contracts
New York State Fiscal Year 2018-2019*
(Reporting Period: April 1, 2018 to September 30, 2018)**

- 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 2018-2019, starting April 1, 2018.
- From April 1, 2018 to September 30, 2018, MTA awarded \$1.16 billion in New York State funded contracts, with \$171 million (15%) awarded to certified MWBEs.
- From April 1, 2018 to September 30, 2018, MTA paid \$1.4 billion on prime contracts with \$364 million (26%), paid to MWBEs.

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

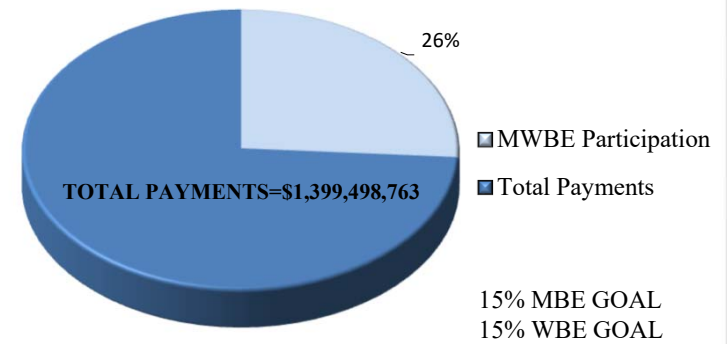
MWBE CONTRACT ACTIVITY
NEW YORK STATE FISCAL YEAR 2018-2019 (APRIL 2018-SEPTEMBER 2018)

MWBE AWARD PARTICIPATION



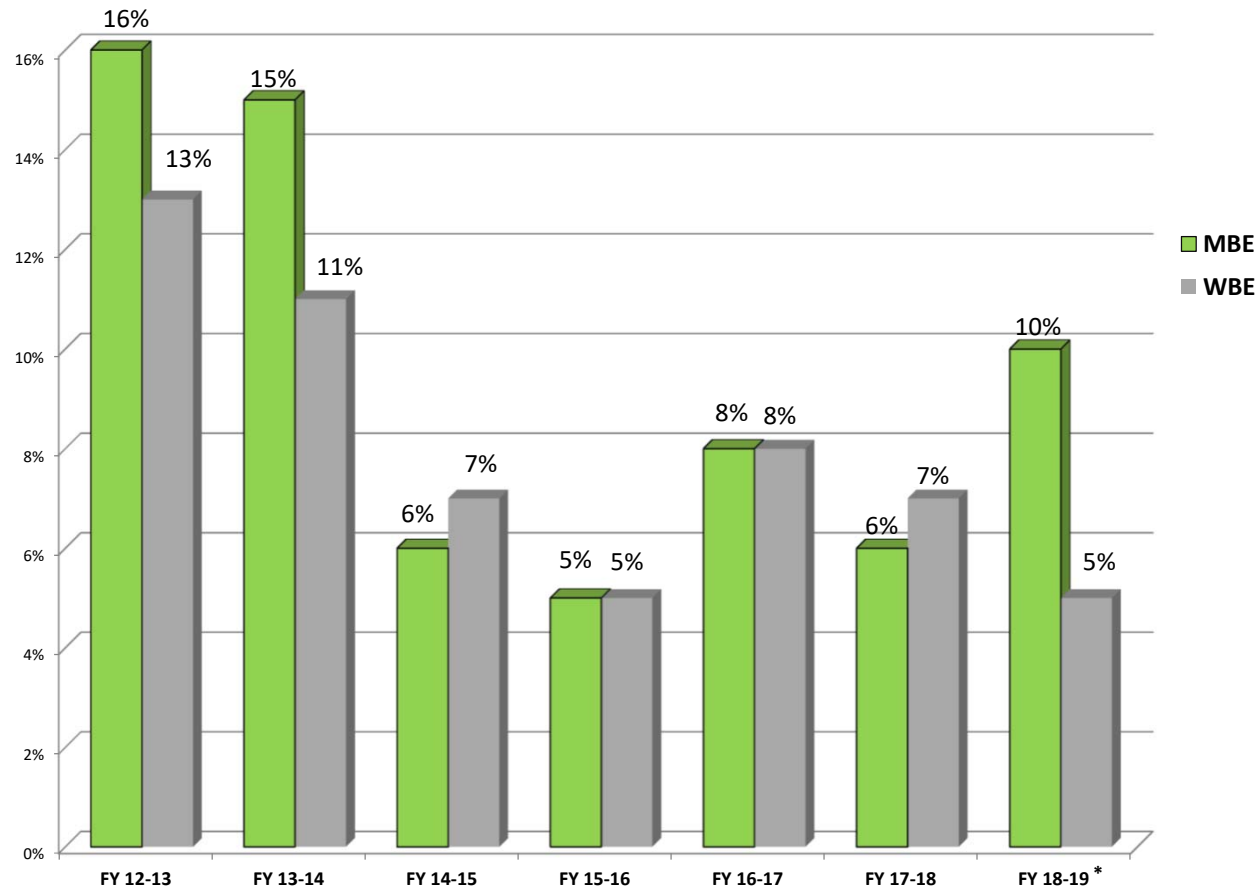
Actual MWBE Participation = \$171M or 15%

MWBE PAYMENT PARTICIPATION



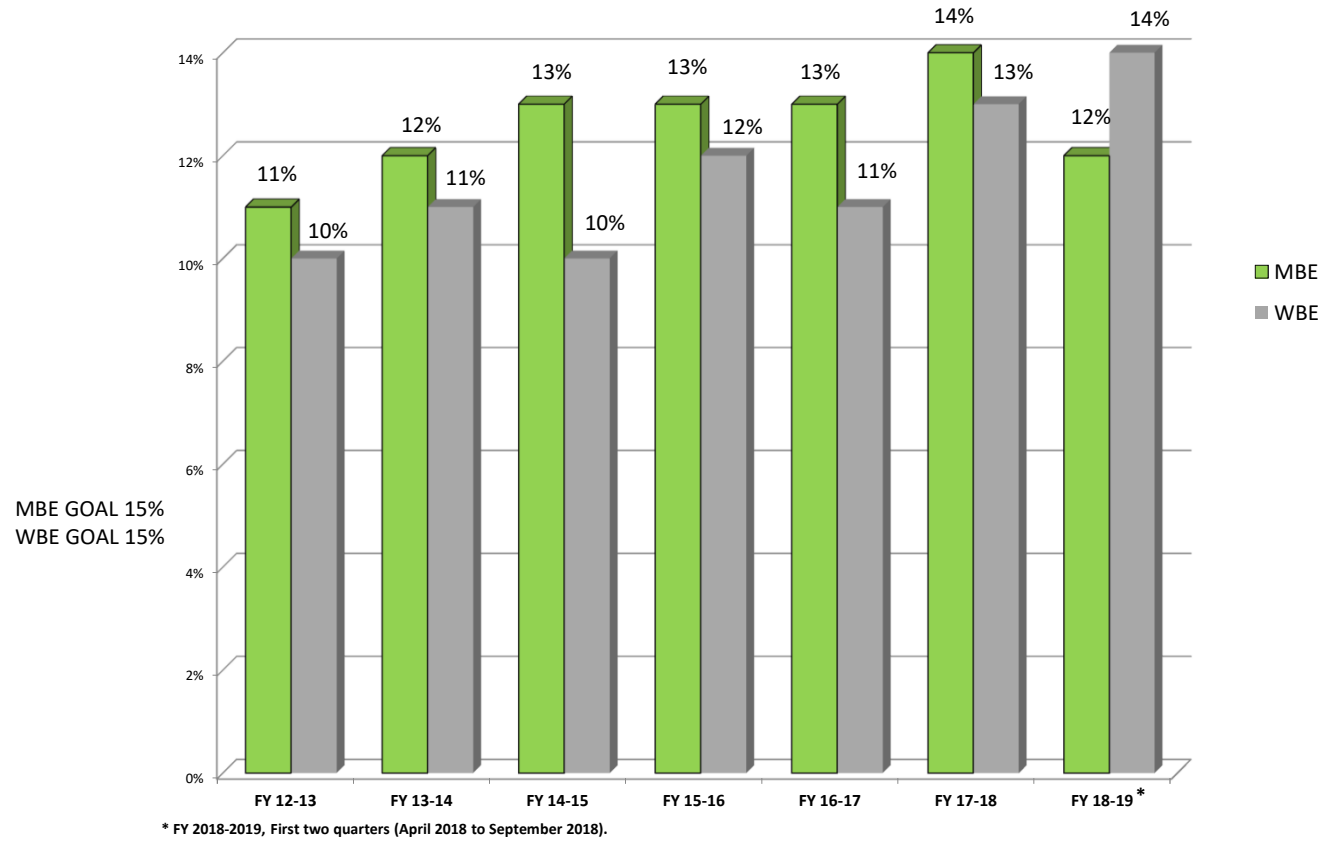
Actual MWBE Participation = \$364M or 26%

**NYS MWBE AWARDS
APRIL 2012 - SEPTEMBER 2018**



* FY 2018-2019, First two quarters (April 2018 to September 2018).

**NYS MWBE PAYMENTS
APRIL 2012- SEPTEMBER 2018**



**NYS CONTRACTS
MWBE CONTRACT ACTIVITY
APRIL 1, 2018 - SEPTEMBER 30, 2018**

AWARDS

CONTRACT AWARDS	PRIME AWARDS		MWBE AWARDS			NYS Goal
	Number of Contracts	Award Amount	Number of MWBE Subcontracts	MWBE Award Amount	MWBE %	
FIRST QUARTER	18,011	\$494,398,447	1,844	\$75,114,990	15%	30%
APRIL 2018-JUNE 2018						
SECOND QUARTER	18,144	\$662,681,117	1,689	\$96,147,233	15%	30%
JULY 2018-SEPT. 2018						
TOTAL	36,155	\$1,157,079,564	3,533	\$171,262,223	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	25,819	\$702,395,183	4,255	\$169,192,150	24%	30%
APRIL 2018-JUNE 2018						
SECOND QUARTER	16,191	\$697,103,580	4,477	\$194,646,729	28%	30%
JULY 2018-SEPT. 2018						
TOTAL	42,010	\$1,399,498,763	8,732	\$363,838,879	26%	30%

**SDVOB Participation in State Funded Contracts
New York State Fiscal Year 2018-2019
(Reporting Period: April 1, 2018 to September 30, 2018)**

- 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 30, April 30, July 30, and October 30.
- Reports include data on contracts with SDVOB goals and payments made to SDVOBs.
- MTA established an overall SDVOB goal of 6% for State fiscal year 2018-2019, starting on April 1, 2018.
- From April 2018 to September 2018, MTA awarded \$6.2 million to SDVOBs.
- From April 2018 to September 2018, MTA paid over \$190 million on prime contracts with \$5.2 million (3%), paid to SDVOBs.

FY 2018-2019 SDVOB CONTRACT AWARDS
APRIL 2018 - SEPTEMBER 2018

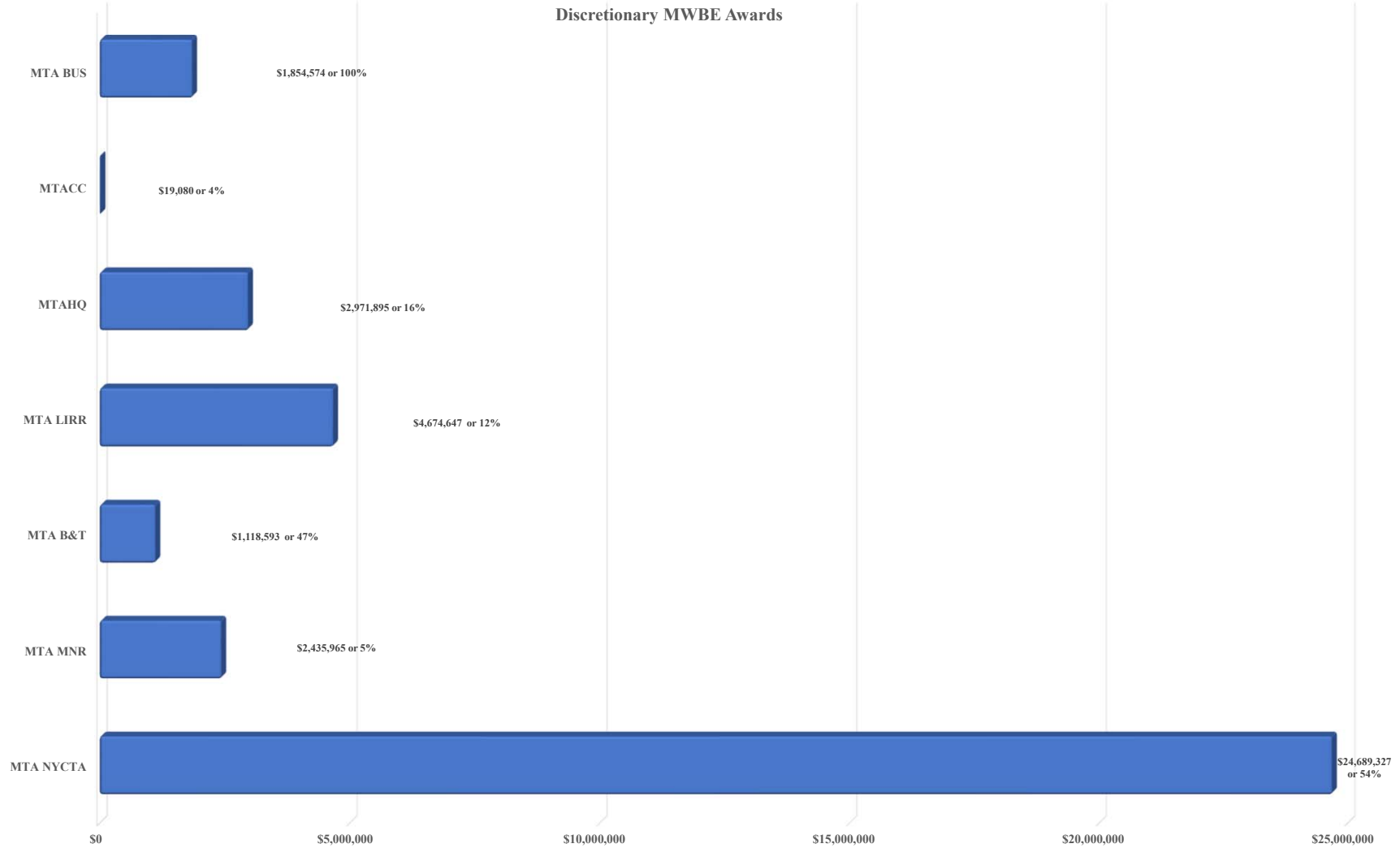
	SDVOB Awards
FIRST QUARTER	\$3,768,843
APRIL 2018-JUNE 2018	
SECOND QUARTER	\$2,417,930
JULY 2018-SEPT. 2018	
FY 2018-2019 TOTAL	\$6,186,773

FY 2018-2019 SDVOB CONTRACT PAYMENTS
APRIL 2018 - SEPTEMBER 2018

	Agency Disbursements	SDVOB Disbursements	SDVOB%
FIRST QUARTER	\$101,733,571	\$1,723,601	2%
APRIL 2018-JUNE 2018			
SECOND QUARTER	\$88,514,049	\$3,484,280	4%
JULY 2018-SEPT. 2018			
FY 2018-2019 TOTAL	\$190,247,620	\$5,207,881	3%

MTA ALL AGENCY
DISCRETIONARY PROCUREMENTS REPORT*
JANUARY 2018 - SEPTEMBER 2018

Discretionary MWBE Awards



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

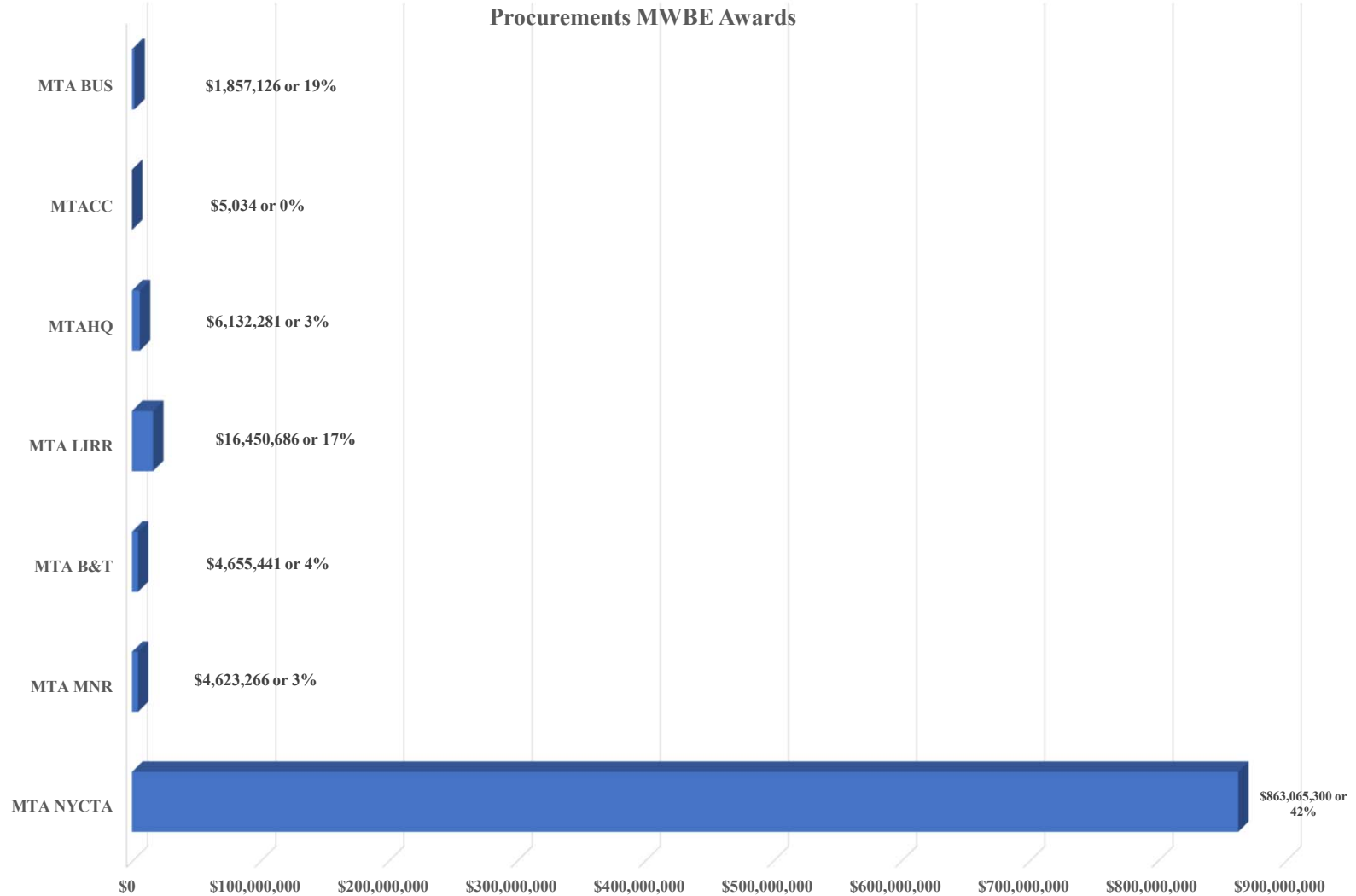
**MTA ALL AGENCY
DISCRETIONARY PROCUREMENT REPORT***
JANUARY 2018 - SEPTEMBER 2018

Agency	Total Awards \$400k or Less	MWBE Discretionary Awards	MWBE Discretionary Award Percentages	SBC** Discretionary Awards	SBC** Discretionary Award Percentages
MTA NYCTA	\$45,360,370	\$24,689,327	54%	\$6,094,965	13%
MTA MNR	\$46,217,799	\$2,435,965	5%	\$990,591	2%
MTA B&T	\$2,378,916	\$1,118,593	47%	\$0	0%
MTA LIRR	\$39,564,816	\$4,674,647	12%	\$1,366,657	3%
MTA HQ	\$19,003,316	\$2,971,895	16%	\$580,103	3%
MTA CC	\$467,081	\$19,080	4%	\$5,888	1%
MTA BUS	\$1,861,859	\$1,854,574	100%	\$7,285	0%
Total	\$154,854,157	\$37,764,081	24%	\$9,045,489	6%

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

** Small Business Concerns

MTA ALL AGENCY
TOTAL PROCUREMENTS
JANUARY 2018-SEPTEMBER 2018



**MTA ALL AGENCY
TOTAL PROCUREMENTS
JANUARY 2018 - SEPTEMBER 2018**

Agency	Total Award Amount	Total MWBE Awards	MWBE
MTA NYCTA	\$2,076,666,769	\$863,065,300	42%
MTA MNR	\$134,478,913	\$4,623,266	3%
MTA B&T	\$132,734,351	\$4,655,441	4%
MTA LIRR	\$96,523,748	\$16,450,686	17%
MTA HQ	\$215,259,849	\$6,132,281	3%
MTA CC	\$1,459,664,662	\$5,034	0%
MTA BUS	\$9,558,676	\$1,857,126	19%
Total	\$4,124,886,968	\$896,789,134	22%

Metropolitan Transportation Authority Department of Diversity and Civil Rights

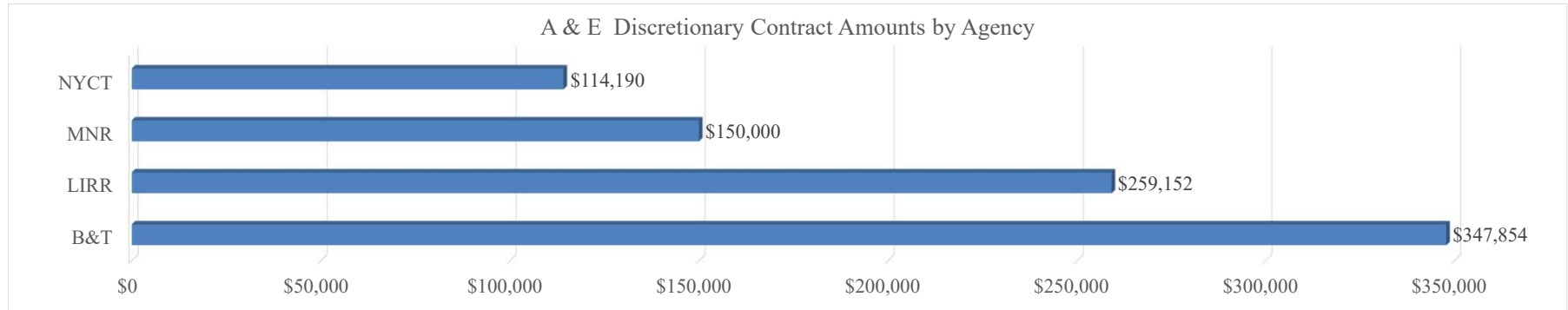
Discretionary A&E, Legal & IT

December 12, 2018



A/E Awards thru Discretionary Procurement January to September 2018

#	Agency	Contract Number	Project Name & Description	Primary Trades	County	Contract Amount	Notice of Award Date	Contractor	Contractor Certification
1	B&T	14703-2100- TBTA Work Order #12	Concrete Coating & Misc. Repairs at the Henry Hudson Bridge Facility	As-Needed Construction Administration, Inspection and Support Services		\$174,082	1/30/18	KS Engineers, P.C.	MBE
2	B&T	14073-2800-TBTA; Work Order #11A	Engineering Application Management Consultant Extension	Inspection and Design, Expert Engineering, and Engineering Support Services		\$149,880	4/5/18	MP Engineers, P.C.	MBE
3	B&T	14073-1800-TBTA; Work Order #10A	Service Building Curb and Sidewalk Replacement the Bronx Whitestone Bridge Facility	As-Needed Construction Administration, Inspection and Support Services		\$23,892	5/25/18	SJH Engineering, P.C	MBE
	B&T			Total		\$347,854			
4	LIRR	14073-1800-2-14-A	Huntington Station East Pedestrian Overpass Rehabilitation Project Design	Design		\$259,152	2/22/18	SJH Engineering, PC	MBE
5	MNR	92242	Design for roof replacement	Preparation of Plans and Specs for rehabilitation of historic roof at Ossining Station		\$150,000	3/1/18	SJH Engineering	MBE
6	NYCT	14073-4200-Transit	Design Services for Windows at Moshulu, East New York, and Coney Island Yards, and Roof and Canopy Repair at Coney Island Yard Tower C	Design		\$114,190	3/26/18	Popli Design Group	W/MBE
					Total :	\$871,196			



IT Discretionary

IT Discretionary Consulting Contract No. 14357

January 2018- September 2018

Total Number of Awards- 80

Value of Awards- \$ 11 million

Value of Cumulative Awards- \$66 million

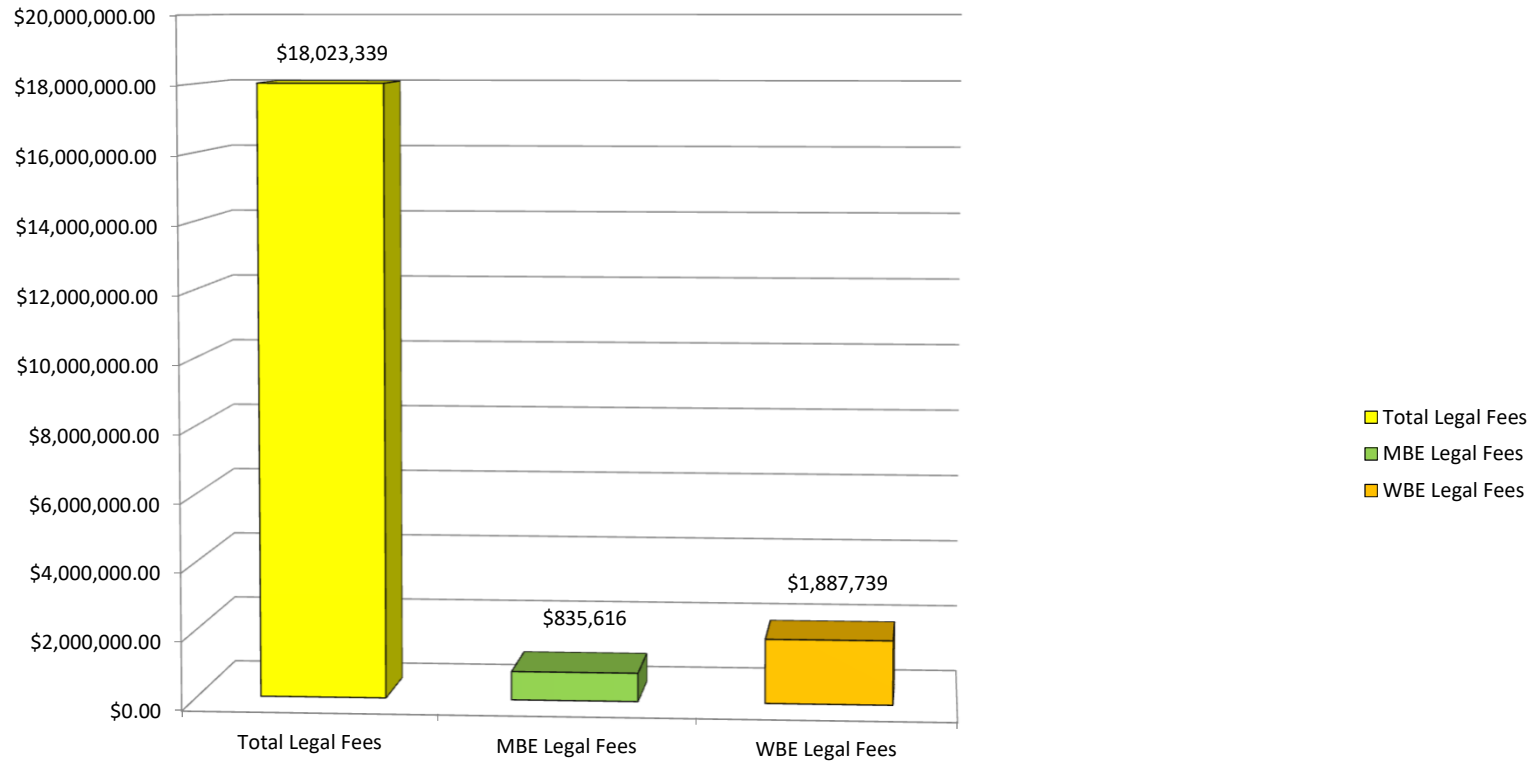


<u>Supplier</u>	<u>PO No.</u>	<u>Sum Merchandise Amount</u>
CAPSTONE STRATEGY GROUP, LLC	9000009140	\$54,613.00
DONNELLY & MOORE CORP	9000008413	\$243,000.00
	9000008633	\$128,056.00
IIT INC	9000008041	\$268,322.50
	9000008078	\$87,171.08
	9000008190	\$54,971.20
	9000008260	\$188,727.00
	9000008618	\$158,513.50
	9000008923	\$233,324.00
	9000008934	\$103,682.00
	9000009118	\$88,463.00
	9000009219	\$103,530.00
	9000009333	\$387,500.00
INFOPEOPLE CORP	9000008558	\$43,455.00
	9000008629	\$258,461.00
	9000008671	\$109,080.00
	9000008729	\$150,895.00
	9000008817	\$127,386.00
	9000008838	\$162,961.00
	9000009116	\$81,984.00
INFOSYS INTERNATIONAL, INC.	9000008369	\$53,060.00
	9000008510	\$97,280.00
	9000008647	\$133,430.00
	9000008843	\$174,325.00
	9000008919	\$174,325.00
	9000009023	\$95,086.00
	9000009029	\$152,570.00
	9000009170	\$167,400.00
IZAR ASSOCIATES INC	9000008353	\$216,216.00
	9000008622	\$159,905.20
	9000009010	\$56,280.00
MVP CONSULTING PLUS INC	9000008862	\$94,230.00
NEOTECRA, INC.	9000008036	\$141,375.00
	9000008419	\$119,934.70
NEXT GENERATION INC	9000009236	\$214,985.00

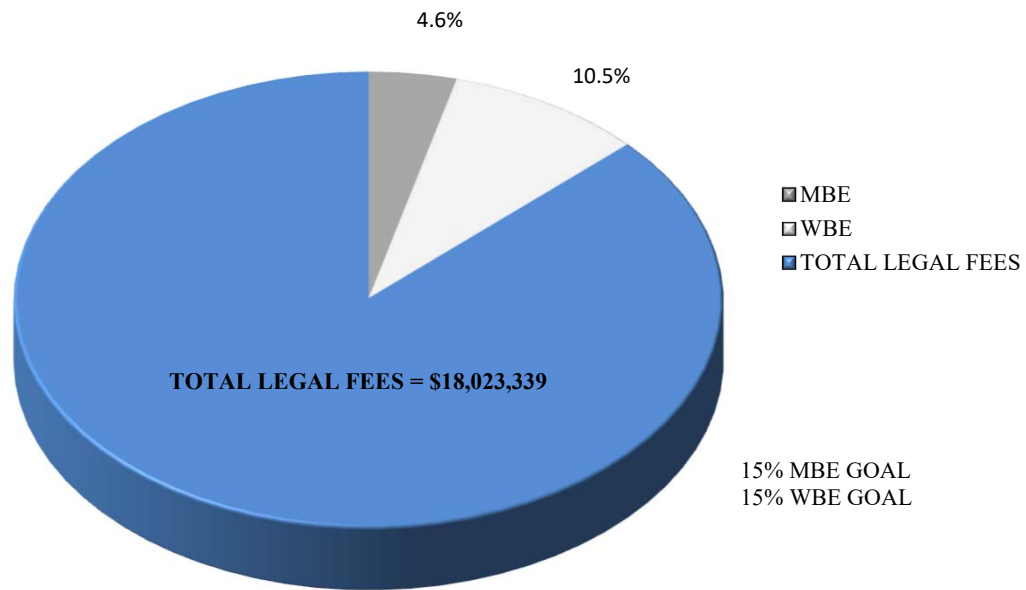
<u>Supplier</u>	<u>PO No.</u>	<u>Sum Merchandise Amount</u>
PROTEK INFORMATION TECHNOLOGY SVS LLC	9000008370	\$136,500.00
Q.E.D., INC.	9000008192	\$148,512.00
	9000008716	\$104,375.70
	9000008908	\$116,332.00
	9000008909	\$99,700.00
	9000008941	\$81,250.00
	9000009012	\$87,237.15
SOURCE OF FUTURE TECHNOLOGY INC.	9000007939	\$250,000.00
	9000008204	\$247,487.00
	9000008284	\$125,000.00
	9000008337	\$165,409.00
	9000008541	\$100,010.00
	9000008731	\$133,965.00
	9000009163	\$130,640.00
SPRUCE TECHNOLOGY INC	9000008351	\$140,448.00
	9000008386	\$277,875.00
	9000008950	\$116,448.00
	9000008987	\$143,026.00
	9000009030	\$115,837.00
UNIQUE COMP, INC.	9000008140	\$268,322.50
	9000008203	\$247,487.00
	9000008206	\$246,792.00
	9000008300	\$269,938.24
	9000008646	\$31,930.00
	9000008984	\$175,668.48
	9000008998	\$165,780.98
	9000009044	\$113,360.00
	9000009045	\$112,320.00
	9000009050	\$109,200.00
US TECH SOLUTIONS, INC	9000008063	\$36,855.00
	9000008072	\$33,536.16
	9000008087	\$104,130.00
	9000008128	\$141,252.00
	9000008189	\$54,971.20
	9000008466	\$200,000.00
	9000008526	\$151,917.75
	9000008723	\$104,375.70
	9000008743	\$104,375.70
	9000008760	\$104,375.70

<u>Supplier</u>	<u>PO No.</u>	<u>Sum Merchandise Amount</u>
	9000008867	\$140,026.00
	9000008955	\$162,690.00
	9000009111	\$176,913.00
	9000009171	\$107,131.24
	9000009198	\$90,914.00
	9000009340	\$49,210.00
TOTAL	80	\$11,308,021.68

MTA ALL AGENCY LEGAL FEES APRIL 2018 - SEPTEMBER 2018



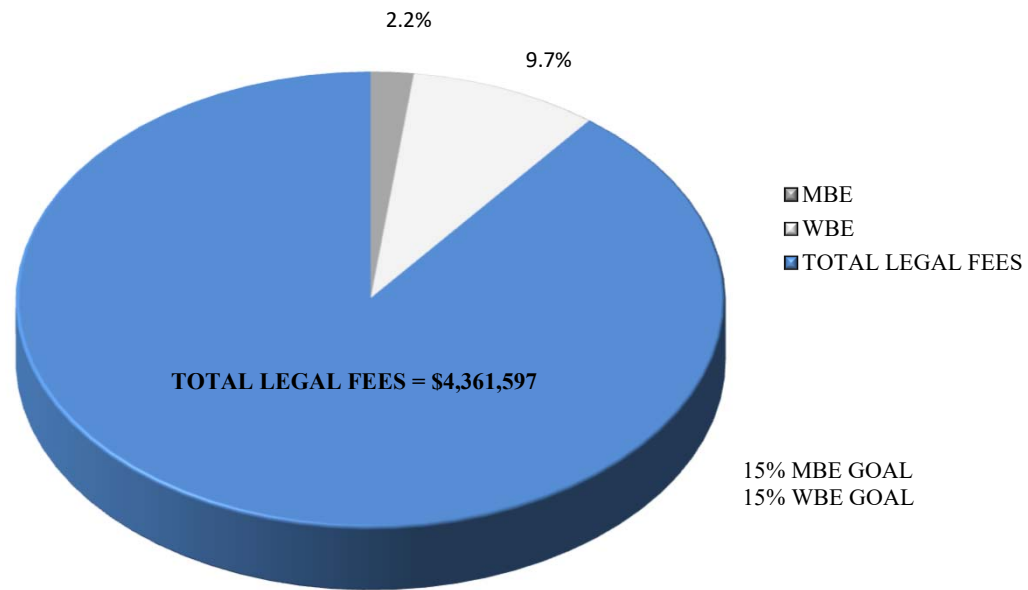
**MTA ALL AGENCY LEGAL FEES
APRIL 2018- SEPTEMBER 2018**



Actual MBE Participation = \$835,616 or 4.6%
Actual WBE Participation = \$1,887,740 or 10.5%

15% MBE GOAL
15% WBE GOAL

**MTA ALL AGENCY LEGAL FEES
OCTOBER 2018**



Actual MBE Participation = \$95,823 or 2.2%
Actual WBE Participation = \$424,242 or 9.7%

**MTA ALL AGENCY LEGAL FEES PAID
APRIL 2018 THROUGH SEPTEMBER 2018**

AGENCY	ALL FEES PAID	MBE FEES PAID	Agency MBE PARTICIPATION	WBE FEES PAID	Agency WBE PARTICIPATION	MWBE FEES PAID	Agency MWBE PARTICIPATION
B & T	\$501,017.45	\$77,785.16	15.5%	\$4,440.00	0.9%	\$82,225.16	16.4%
LIRR	\$257,468.00	\$1,442.00	0.6%	\$39,667.00	15.4%	\$41,109.00	16.0%
MTABUS	\$2,472,482.56	\$168,046.53	6.8%	\$162,810.08	6.6%	\$330,856.61	13.4%
MTACC	\$348,476.33	\$0.00	0.0%	\$52,648.00	15.1%	\$52,648.00	15.1%
MTAHQ	\$6,012,681.83	\$62,353.97	1.0%	\$90,097.77	1.5%	\$152,451.74	2.5%
MNR	\$1,257,013.80	\$214,445.76	17.1%	\$298,574.32	23.8%	\$513,020.08	40.8%
NYCTA	\$6,861,867.02	\$43,839.93	0.6%	\$1,194,872.35	17.4%	\$1,238,712.28	18.1%
FMTAC	\$312,332.20	\$267,702.20	85.7%	\$44,630	14.3%	\$312,332.20	100.0%
TOTAL	\$18,023,339.19	\$835,615.55	4.6%	\$1,887,739.52	10.5%	\$2,723,355.07	15.1%

**MTA ALL AGENCY LEGAL FEES PAID
OCTOBER 2018**

AGENCY	ALL FEES PAID	MBE FEES PAID	Agency MBE PARTICIPATION	WBE FEES PAID	Agency WBE PARTICIPATION
B &T	\$113,286.28	\$5,078.36	4.5%	\$0.00	0.0%
LIRR	\$43,647.00	\$15.00	0.0%	\$0.00	0.0%
MTABUS	\$580,355.00	\$28,952.30	5.0%	\$77,800.90	13.4%
MTACC	\$192,735.00	\$0.00	0.0%	\$119,760.00	62.1%
MTAHQ	\$1,140,405.67	\$2,507.70	0.2%	\$6,857.05	0.6%
MNR	\$823,713.22	\$1,299.00	0.2%	\$160,255.19	19.5%
NYCTA	\$818,733.70	\$20,456.04	2.5%	\$30,176.25	3.7%
FMTAC	\$648,721.00	\$37,514.76	5.8%	\$29,393	4.5%
TOTAL	\$4,361,597	\$95,823	2.2%	\$424,242	9.7%

Metropolitan Transportation Authority
Department of Diversity and Civil Rights

Status of Closed Contracts
as of November 30, 2018

December 12, 2018



MTA Headquarters DDCR Update

Inactive Contracts – Status as of November 30, 2018

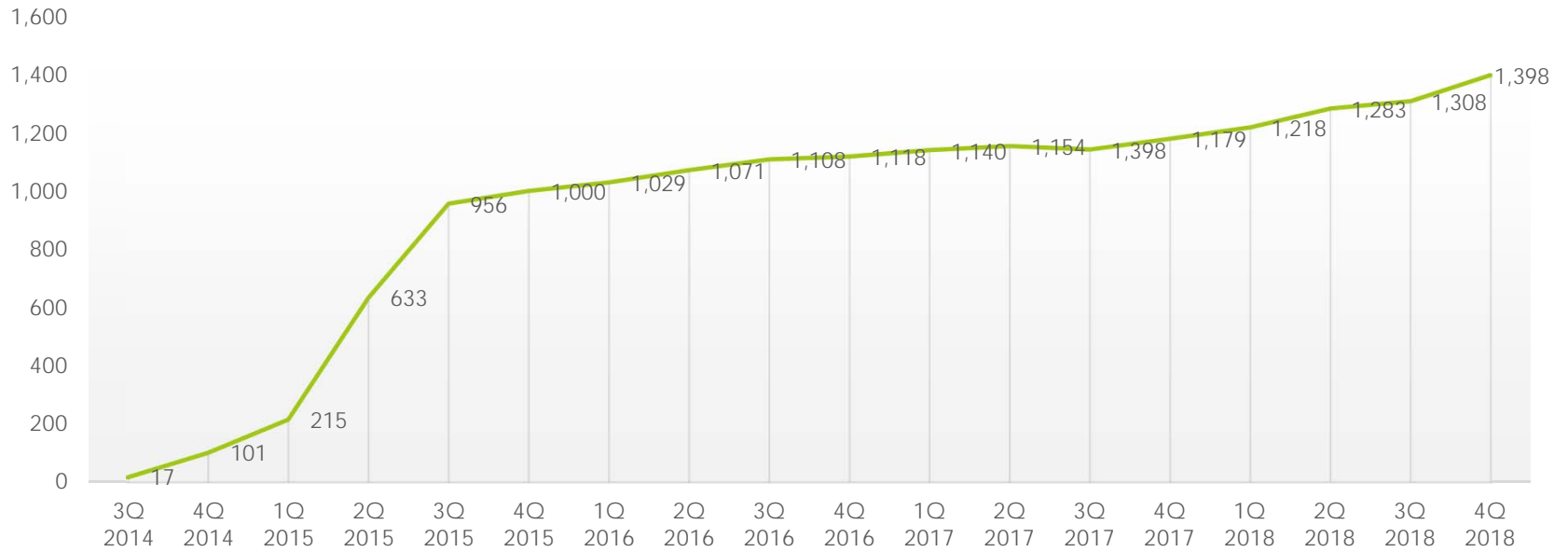
Inactive Contracts with Goals	#
1. Total Contracts Reviewed and Closed	1,039
2. Contracts Administratively Closed	294 ¹
Sub-Total	1,333 (95%)
3. Closeouts in Progress	32
4. Contracts Pending Agency Action	33
Total	1,398 ² (100%)

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 November 30, 2018.



MTA Headquarters DDCR Update

DDCR Contract Closeout Progression 3Q 2014 through 4Q 2018*



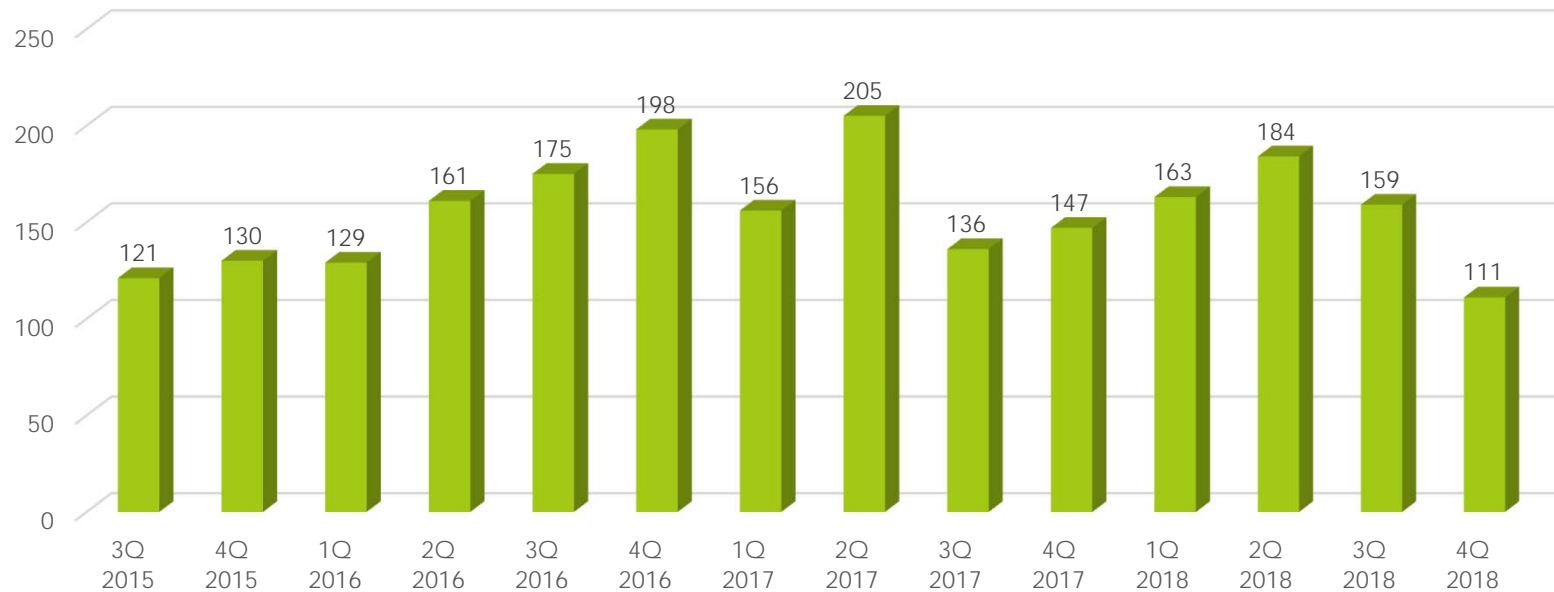
*Total number of inactive & closed contracts as of November 30, 2018.



MTA Headquarters DDCR Update

DDCR Project Site Visits: 3Q 2015 – 4Q 2018*

Total Site Visits Performed = 2,175



*Total number of site visits performed as of November 30, 2018.



Metropolitan Transportation Authority Department of Diversity and Civil Rights

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

December 12, 2018



MWDBE and SDVOB Participation on MTA Capital Projects with Goals

■ Federal Participation Goal: 18%

(First half Federal Fiscal Year 2018 (October 2017 to September 2018))

- | | |
|----------------------------------|------------------------------------|
| ■ Total Awards: \$773M* | ■ Total Payments: \$966M |
| ■ Total DBE Awards: \$131M (17%) | ■ Total DBE Payments: \$156M (16%) |

■ New York State MBE Participation Goal: 15%**

(Fourth quarter NYS Fiscal Year 2017-2018 and first quarter NYS Fiscal Year 2018-2019 (January 2018 to September 2018))

- | | |
|----------------------------------|------------------------------------|
| ■ Total Awards: \$1.9B* | ■ Total Payments: \$954M |
| ■ Total MBE Awards: \$289M (15%) | ■ Total MBE Payments: \$110M (12%) |

■ New York State WBE Participation Goal: 15%**

(Fourth quarter NYS Fiscal Year 2017-2018 and first quarter NYS Fiscal Year 2018-2019 (January 2018 to September 2018))

- | | |
|----------------------------------|------------------------------------|
| ■ Total Awards: \$1.9B* | ■ Total Payments: \$954M |
| ■ Total WBE Awards: \$266M (14%) | ■ Total WBE Payments: \$102M (11%) |

■ Service Disabled Veteran-Owned Business Participation Goal: 6%

(Fourth quarter NYS Fiscal Year 2017-2018 and first quarter NYS Fiscal Year 2018-2019 (January 2018 to September 2018))

- | | |
|----------------------------------|--|
| ■ Total Awards: \$1.6B | ■ Total Payments: \$95M |
| ■ Total SDVOB Awards \$6M (.38%) | ■ Total SDVOB Payments: \$903,000 (1%) |

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

**Report includes MTA Bridges and Tunnels' major maintenance projects funded from operating budget.



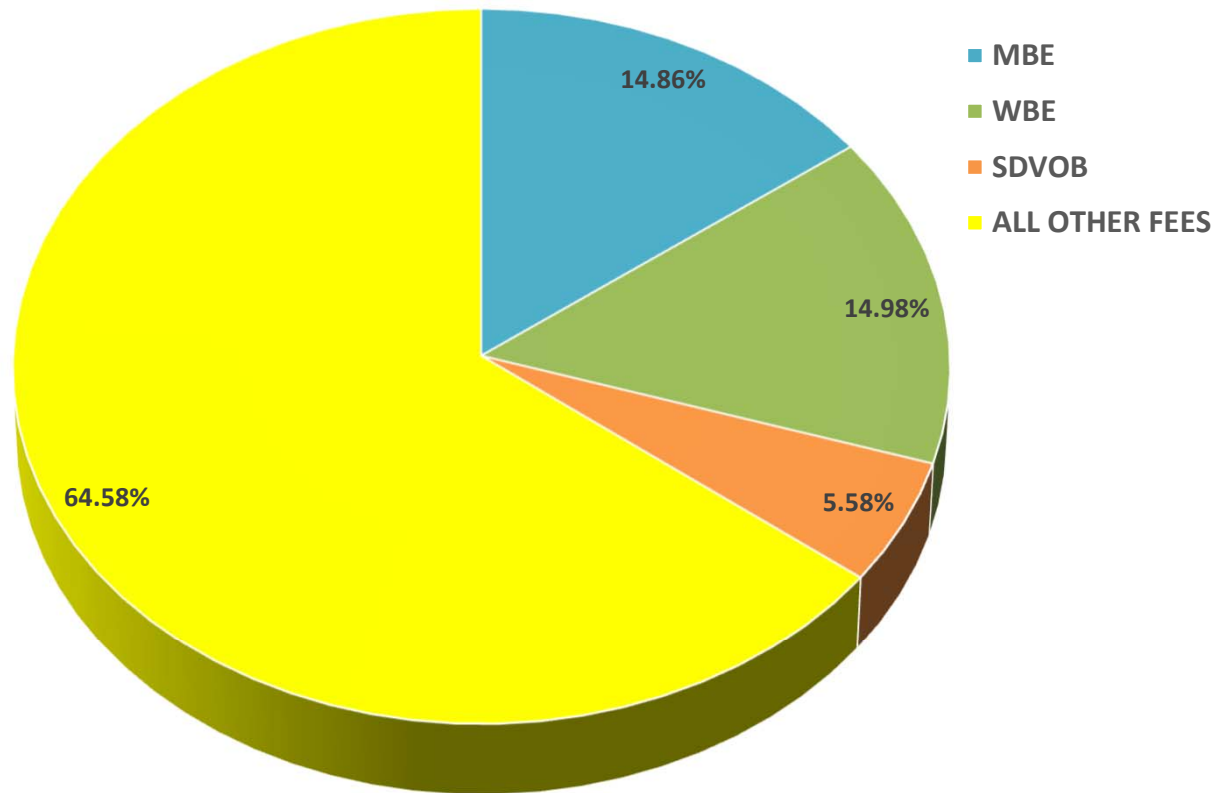
Metropolitan Transportation Authority Department of Diversity and Civil Rights

Financial Services

December 12, 2018



MTA ALL AGENCY UNDERWRITER FEES
April 2018 - September 2018



Actual MBE Participation = \$239,828 or 14.86%
Actual WBE Participation = \$241,723 or 14.98%
Actual SDVOB Participation = \$90,111 or 5.58%
All Other Underwriting Fees = \$1,042,506 or 64.58%
Total Underwriting Fees = \$1,614,1687

Metropolitan Transportation Authority Department of Diversity and Civil Rights

Asset Fund Managers

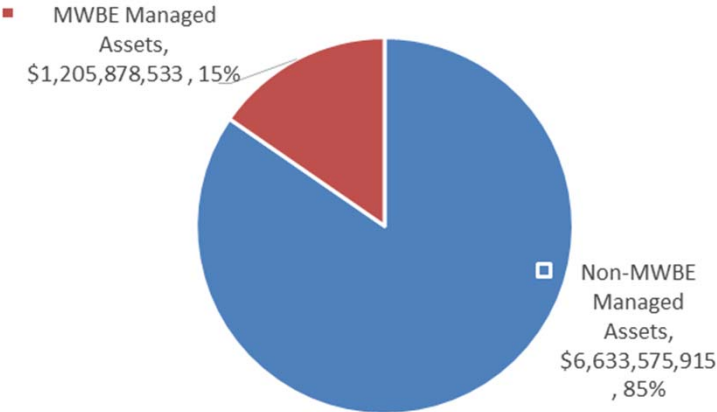
December 12, 2018



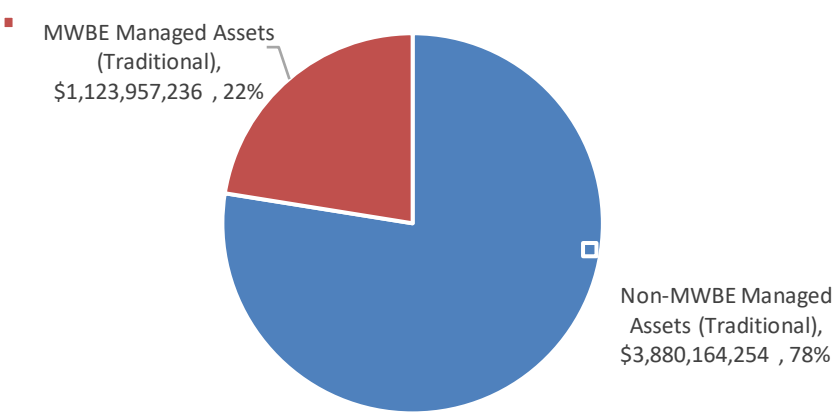
MTA Sponsored Plans – MWBE Participation

As of September 30, 2018

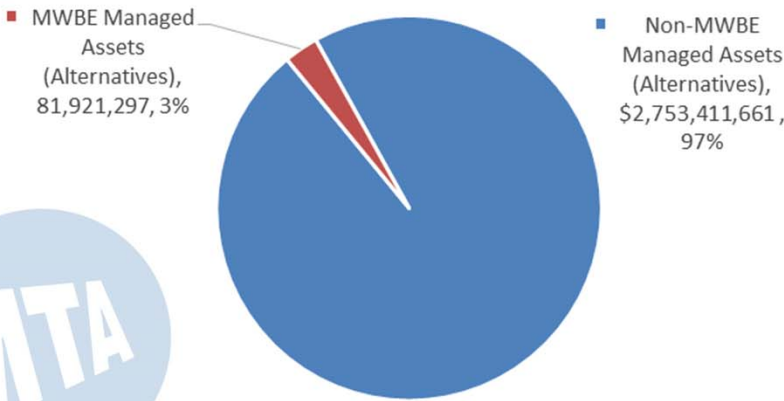
Combined Plans - Total Assets



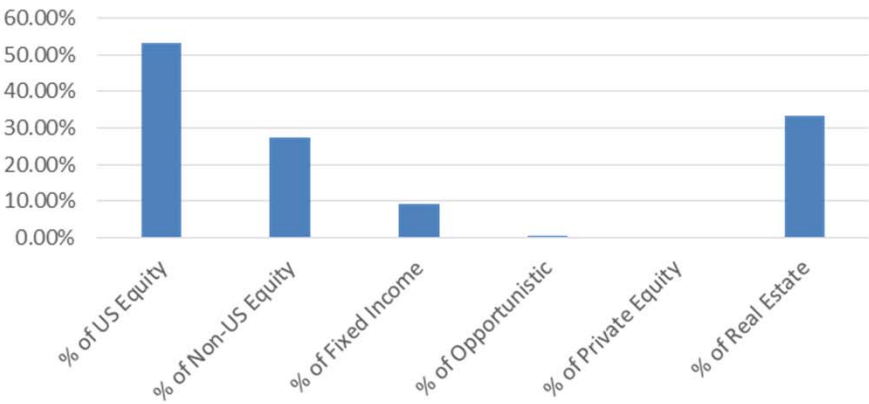
Combined Plans - Traditional Investments



Combined Plans- Alternative Investments



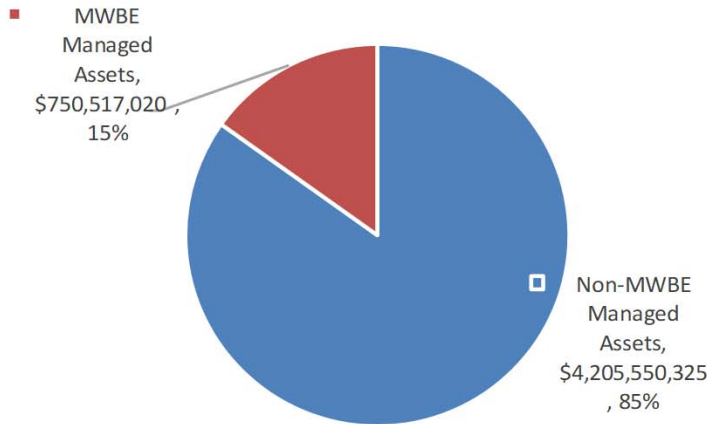
MWBE Managed Assets by Asset Class



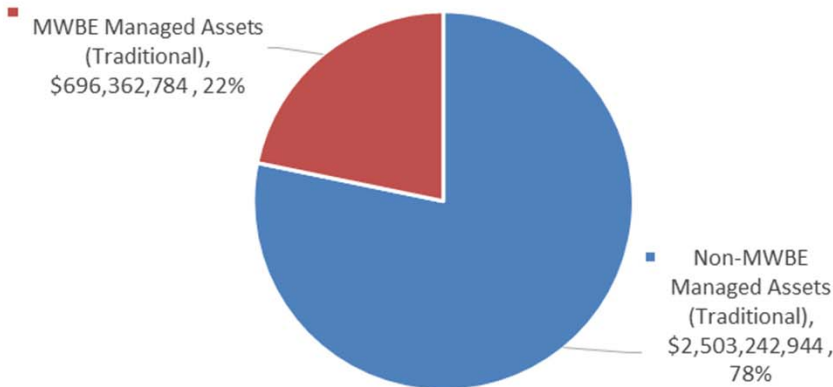
MTA Sponsored Plans – MWBE Participation

As of September 30, 2018

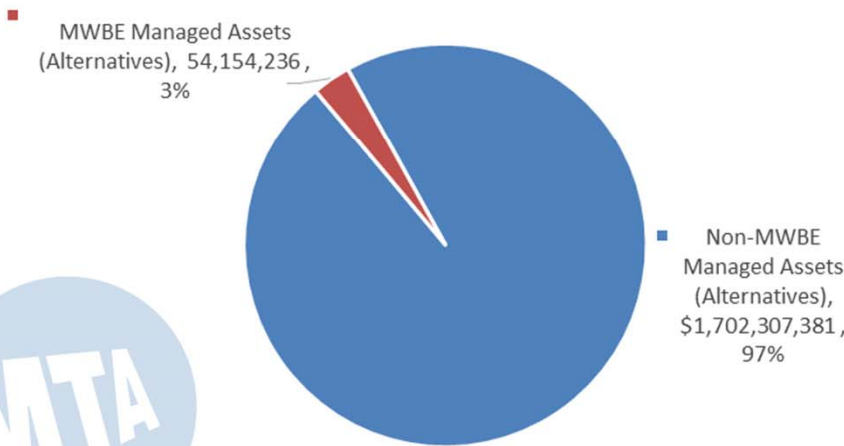
MTA Defined Benefit - Total Assets



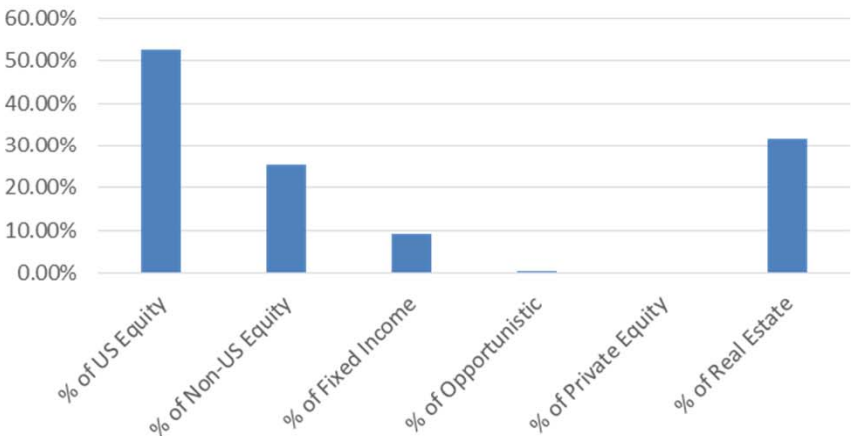
MTA Defined Benefit - Traditional Investments



MTA Defined Benefit - Alternative Investments



MWBE Managed Assets by Asset Class



MTA Sponsored Plans – MWBE Participation

As of September 30, 2018

