



Metropolitan Transportation Authority

Diversity Committee Meeting

June 2019

Diversity Committee Meeting

2 Broadway- 20th Floor Board Room

New York, NY 10004

Monday, 6/24/2019

3:30 - 4:30 PM ET

1. PUBLIC COMMENT PERIOD

2. APPROVAL OF MINUTES- FEBRUARY 25, 2019

February 25, 2019 Diversity Committee Meeting Minutes - Page 4

3. 2019 DIVERSITY COMMITTEE WORK PLAN

2019 Diversity Committee Work Plan - Page 11

4. EXECUTIVE SUMMARY

Diversity Committee Executive Summary - Page 15

5. BUSINESS AND DIVERSITY INITIATIVES

Business and Diversity Initiatives - Page 52

6. DBE CERTIFICATION ACTIVITY REPORT

DBE Certification Activity Report - Page 60

7. FIRST QUARTER 2019 EEO ACTIVITIES

MTA Wide Diversity 1st Quarter 2019 - Page 62

8. SMALL BUSINESS DEVELOPMENT PROGRAM UPDATE

Small Business Development Program Update - Page 86

9. M/W/DBE and SDVOB CONTRACT COMPLIANCE FIRST QUARTER 2019 REPORT

MWDBE and SDVOB Contract Compliance - Page 105

10. M/W/DBE and SDVOB CAPITAL PROJECTS

Capital Projects - Page 136

11. FINANCIAL SERVICES

Financial Services - Page 138

12. ASSET FUND MANAGERS

13. MTA EEO POLICIES: ADA and Sexual and Other Disc. Harassment Policies

Americans with Disabilities Act Policy Statement - Page 144

Sexual and Other Discriminatory Harassment - Page 146

MTA DIVERSITY COMMITTEE

Meeting Minutes

2 Broadway, 20th Floor New
York, NY 10004 Monday,
February 25, 2019
3:30 p.m.

The following Committee members were present:

Susan G. Metzger, Chair
Neal Zuckerman

The following Committee members were absent:

Peter Ward
David Jones

The following were also present:

Hon. Fernando Ferrer, Acting MTA Chairman
Mitchell Pally, MTA Board Member
Carl Weisbrod, MTA Board Member
Veronique “Ronnie” Hakim, MTA Managing Director
Helene Fromm, MTA Chief of Staff
Midori Valdivia, Chief of Staff to MTA President
Catherine Rinaldi, President, MTA Metro-North Railroad (“MNR”)
Owen Monaghan, Chief of Police, MTA Police (“MTAPD”)
Michael Garner, MTA Chief Diversity Officer, MTA Department of Diversity and Civil Rights (“DDCR”)
Naeem Din, Deputy Chief Diversity Officer, DDCR
George Cleary, Deputy Chief Diversity Officer, Small Business Development Program (“SBDP”), DDCR
Zenaida Rodriguez, Assistant Director, Business and Diversity Initiatives, DDCR
David Sang, Assistant Deputy Chief Diversity Officer, Title VI and Workforce Initiatives, DDCR
L. Danny Camacho, Assistant Deputy Chief Diversity Officer, Certification, DDCR
Maria Amper, Assistant Deputy Chief Diversity Officer, Women-owned and Disadvantaged Business Enterprise (“MWDBE”) and Service Disabled Veteran-Owned Business (“SDVOB”) Operations and Technological Support, DDCR
George Llanos, Manager, Business and Diversity Initiatives, DDCR
Patricia Lodge, Vice President, Human Resources (“HR”), MTA New York City Transit (“NYC Transit”)

MTA Diversity Committee Meeting Minutes, Monday, February 25, 2019

Joel Andrews, Chief Officer, Office of Equal Employment Opportunity (“EEO”), NYC Transit

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

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

Paige Graves, General Counsel, MTA Bus Company (“MTA Bus”)

Patrick Isom, Manager, Financial Analysis, MTA Headquarters (“MTAHQ”)

Mayra Bell, Director, Diversity and EEO, MNR

Yvonne Hill-Donald, HR Business Manager, MNR

Ouida Gaillard, Human Resources Business Partner, Talent Acquisition, MNR

David Cannon, Vice President and Chief Procurement Officer, CC

Rosalyn Green, Chief EEO Officer, CC

Gwendolyn Harleston, Chief EEO Officer, MTA Bus

Michael Collins, Assistant Vice President, NYC Transit

Public Speakers

There were no public speakers.

Approval of Minutes

Upon a motion duly made and seconded, the Committee approved minutes of the meeting held on December 12, 2018.

2019 Diversity Committee Work Plan

Chair Metzger asked if there were any changes to the Work Plan. Mr. Din stated that there was one change to the work plan. The EEO Policy Statements for 2019 were to be presented at this meeting. However, the Americans with Disabilities Act (“ADA”) and the Sexual and Other Discriminatory Harassment Policy Statements were still under review and would be presented at the May 2019 Diversity Committee Meeting.

Upon a motion duly made and seconded, the Committee approved the changes made in the 2019 Diversity Committee Work Plan.

2019 Departmental Goals Update

The 2019 Departmental Goals Update was provided in the February 2019 Diversity Committee Book.

Executive Summary

Business and Diversity Initiatives

Mr. Din provided an update on various outreach events for MWDBEs, SDVOBs, and other small businesses that DDCR organized and/or attended. He stated that due to the budgetary constraints, outreach events have become limited.

Mr. Din highlighted the Black and Puerto Rican Legislators Conference which took place in Albany, NY. In addition, Mr. Din highlighted the awards which were given as a result of the outreach efforts. A total of \$533 million was awarded to MWDBEs and SDVOBs in 2018.

Certification Activity Report

Mr. Din reported on the DBE certification activity for 2018. He stated that, in comparison with the previous two years, DDCR has received more DBE certification applications in 2018. The number of firms which were certified had slightly declined, but the submission of applications returned has also declined.

In addition, Mr. Din stated that DDCR continued to experience a large participation in the DBE certification workshops which take place bi-monthly. As a result of this, more firms have been applying for certification.

Fourth Quarter 2018 EEO Activities

Mr. Sang stated, with regards to the fourth quarter EEO activities, the overall workforce at the MTA is currently at 75,007 employees, of which 18% are women and 69% are minorities. In addition, there was a 2% increase of minorities compared to the fourth quarter of 2017. There was a slight decrease of less than one percent of women compared to the fourth quarter of 2017.

Regarding new hires, Mr. Sang stated that 5,679 employees were hired. Women and minorities were hired at a rate higher than their representation in the workforce.

Lastly, Dr. Sang stated that 591 EEO and 377 Title VI complaints were handled.

SBDP Small Business Development Program Update

Mr. Cleary stated, at the recommendation of the Diversity Committee, SBDP reduced program year nine to five months, to align with the MTA calendar year. During program year nine, SBDP had 12 projects that were awarded, totaling \$20.1 million. Moving forward, starting with program year 10, the SBDP program cycle will operate in concurrence with the calendar year (January-December).

With regards to the Emerging Contractors Program, 56 firms were pre-qualified of which 23 firms having met the prequalification requirements, have now transitioned into Tier 1. In addition, Mr. Cleary stated that 13 projects were awarded, totaling \$5.3 million.

Since its inception, SBDP has had 357 projects totaling \$348.4 million in prime contracts awarded. Annual figures for year 9 are reduced due to the conversion from program year to calendar year.

Regarding the Loan and Bond Program, Mr. Cleary stated that 111 loans have been approved, totaling \$15.4 million. In the Surety Bond Assistance Program, SBDP has \$245 million in single and \$462 million in aggregate surety bonding, respectively.

Agency Strategies to Address Utilization

MTA agency presidents 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 provided their report on the representation of women and minorities in the current workforce, new hires and promotions. This information is provided in the committee book. Representatives from MTAHQ and MTAPD along with MNR President presented their respective strategies to address utilization. The following is a summary of what was stated at the meeting.

MTAHQ

Mr. Garner stated that, on behalf of the MTA, the goal is to recruit and hire employees that are reflective of the region that we service. In addition, to ensure that each and every employee has the ability to work in a harassment-free environment.

Mr. Garner stated that DDCR had been working with the agencies to come up with a list of best practices for outreach and recruitment and the list was provided in the diversity book. The goal is to bring all of the agencies together to make sure that the commonalities are affixed to the outreach, recruitment and the retention of a diverse workforce.

MTAPD

Chief Monaghan stated that increasing diversity in the ranks is an important priority for MTA Police, not only at the entry level, but at all levels of the department. Chief Monaghan has instructed his command staff to encourage all officers, particularly women and minorities, to take advantage of the internal opportunities available. In addition, MTAPD has reached out to the Guardians Association on numerous occasions, and the New York Women in Law Enforcement organization, seeking assistance in recruiting, and received positive results.

Acting Chair Ferrer stated that the numbers have not changed a lot in eight years and asked what was the testing, application, and entry process for Officers in MTAPD. Chief Monaghan stated that the process includes applying and taking the test, which is available every other year. Once test scores are calculated, the pool of those passing that exam is given to Human Resources. Chief Monaghan stated that Human Resources, in their calculus of identifying candidates for further processing, forwards the selections to MTA PD's Applicant Processing Unit. Acting Chairman Ferrer stated that it is the calculus that he is interested in knowing about. Chief Monaghan stated that he is not familiar with the formula and suggested deferring this question to Human Resources because after their calculations and results they provide MTA PD with the approved pool of candidates. MTAPD received a result which goes through the applicant background processing. Acting Chair Ferrer asked that at the next meeting the HR person responsible for the calculations come to the meeting to provide an explanation.

Chair Metzger stated that the confusion is partially related to how the availability number is arrived at. She stated that she was aware the agencies have gone through explaining how the availability number is calculated more than once in her tenure, and asked if this can be done again at the next meeting. In addition, Acting Chair Ferrer requested the information on how they differ from title to title, category to category, and job to job.

Chair Metzger stated that part of the goal with diversity is to share success stories amongst agencies. A few good ones were discussed at the agency meeting by Mr. Andrews and Ms. Harleston, but the day ran long and several individuals as well as agency Presidents had to depart but the board would still like a better understanding.

MNR

Ms. Rinaldi was present for any questions with regards to MNR. Chair Metzger stated that she recommends that the agency Presidents cross-reference to some of the successful programs in

reference to diversity efforts and lessons learned. Ms. Hakim stated that she regularly schedules meetings with the agency Presidents and would add this as an agenda item for them to talk and provide a review of diversity efforts, lessons learned and sharing information. Ms. Hakim said that she could bring that information back to the committee.

Acting Chair Ferrer stated that this was a requirement for agency Presidents to have these discussions. Further that job fairs, high school and college visits weren't doing enough to make a difference in diversity numbers or what the board had in mind. When you see numbers that reflect a problem, this is the problem and what are you doing about it.

Chair Metzger stated that one of the items that came up in the discussion of diversity through the different organizations was that boards need to see progress. The data being reported is based upon state and federal requirements, however, the Agency (or board) needs to know whether or not there has been improvement. She suggested providing a trend line for the past five to ten years as it would be helpful to the board to see if something has worked or not worked for the operating agencies.

M/W/DBE and SDVOB Contract Compliance Fourth Quarter 2019 Report

Mr. Din reported that MTA's overall MWBE goal is 30% (15% for MBEs and 15% for WBEs). He said 16% MWBE participation was achieved in contract awards, and 27% was achieved in contract payments during the first 3 quarters of the current state fiscal year. Mr. Din also reported that MTA's overall SDVOB goal is 6% for the same period. He said 4% SDVOB was achieved in awards, and 3% was achieved in payments made on ongoing contracts for the same period.

Mr. Din reported that 16% DBE participation was achieved in awards, and 16% was achieved in payments in ongoing contracts for the 2018 Federal Fiscal year. However, he said contracts closed during the same period achieved 24% DBE participation.

Mr. Pally asked if there was a specific reason as to why the goal was not met. Mr. Garner stated that a lot of the projects that are being monitored are legacy projects. Prior to Mr. Garner's arrival at MTA, the goals were smaller, there was a 15% MWDBE goal. In around 2011 and 2012 the 20% goal was increased to 30%. There are a lot of legacy contracts, and as they age out, the numbers would then rise after that. In addition, there has been a number of projects where the goals were assigned at a lower rate because of the availability or non-availability of MWDBE and SDVOB firms in the marketplace.

Mr. Pally asked if the general contractors, for which the percentages apply, are having difficulty in finding certified firms that meet the criteria. Mr. Garner stated yes in some cases. Mr. Garner stated that DDCR is working with major prime contractors to conduct MWDBE and SDVOB events. One of the upcoming events taking place is an outreach session in Yonkers for the new Croton Harmon \$365 million contract that was awarded. All MWDBE and SDVOB firms in that region have been invited to attend and Skanska will be talking about where the sub-contracting opportunities are and how to apply.

Chair Metzger stated that the reason the SBMP came about was to help small businesses and therefore help the MTA. The program has been proven to be fruitful but some of the needs have been difficult to come by in this specific business.

Mr. Garner stated that it is a lot easier to achieve MWDBE goals in building construction than it is with infrastructure construction.

Mr. Din stated that with regards to the strategies that are employed for increasing participation of MWDBEs and SDVOBs, as of December 2018, the MWDBE award participation in the SBMP has been 70% MWBEs and 57% DBEs.

Board Member Pally stated that he would assume that the goal is for a company to start out in the SBMP program and move on to their own contracting or sub-contracting opportunities.

Mr. Garner affirmed that when the firms graduate out of the SBMP, they have access to capital and surety bonding along with the MTA experience to finish projects safely, timely, and on a budget. This will attract the attention of a lot of primes for larger subcontract opportunities. One of the strategies noted was to get the agencies to create smaller packages between \$3 million and \$15 million and actively recruiting those firms for prime contract opportunities. Mr. Garner confirmed with Mr. Pally that the firms are finding their own bonding, but are benefiting from our surety bond program.

Mr. Din stated that there are over 1,750 contracts that are currently being monitored. The number of site visits has increased for 2018 to 56 per month which exceeds the goal of 50 site visits per month. Mr. Din stated that 1,400 contracts were closed.

Mr. Garner stated that in 2017, legal fees were at 8%. However, in 2018 that number has increased to 14%. Mr. Garner stated that we are gradually improving with regards to legal fees.

Capital Projects

Mr. Din reported that for the Federal Fiscal year which ended September 2018, the DBE goal was 18%, and 17% DBE was the achievement in awards for federally funded capital projects. Payments on ongoing contracts achieved a 16% DBE participation. He said for state-funded capital projects, the goal and achievement was 15% MBE participation goal which was achieved in contract awards, and 12% participation in payments made on ongoing contracts. In regards to DBEs with the goal of 15%, 13% was achieved in awards and 11% in payments.

Mr. Din also reported .5% SDVOB participation in awards, and about 1% participation in payments on ongoing contracts.

Financial Services

Mr. Isom provided an update on financial services. He reported that for the reporting period, we have achieved approximately MWDBE participation and actual fees paid was about 27%.

The SDVOB participation and fees paid was 6.01 (6%) for a total of approximately 33% between MWDBE and SDVOB fees paid.

Mr. Isom stated that the fees paid is a representation of how we issue bonds and right now, because of the financial plan, we have issued bonds at a different method. A lot of competitive transactions are taking place. As a result, not as many fees are having to be paid.

Mr. Garner stated that the Finance Department has the highest minority and women SDVOB percentages of any other operation in the organization. Ms. Metzger added that they [Finance

Department] started out with nothing.

Mr. Garner stated that there is a second exercise that he wanted to point out. He stated that in the discretionary program that exists, there has been 433 assignments totaling \$83 million, which was all awarded to MWBEs. Mr. Garner stated that it is a testament to the leadership of the BSC- David Ross, and Christine Norman, who are present here today.

Asset Fund Managers

Mr. Din reported that of the total assets, MWBEs manage \$1 billion (15% by MWBE firms) in assets as of November 30, 2018. After the diversity book had gone to print, DDCR received the December 2018 figures and it is still 1 billion and slightly downwards to 14%.

Mr. Garner recognized the DDCR staff for their continued hard work, and congratulated Ms. Harleston on her recent promotion.

Charter

Mr. Din stated that the charter of the diversity committee is in the book. This is in advance of the corporate governance committee so that the charter is presented for review. There are no changes recommended.

Mr. Garner introduced Dr. Green who is currently working at CC. Dr. Green provides a lot of hands on experience in dealing with the FTA. The FTA will be at the MTA for the Triennial Review.

Mr. Garner recognized Mr. Din for his continued hard work and dedication to both the department and the MTA. Mr. Din announced his retirement and departure with the MTA and gave thanks to Mr. Garner, staff, board members, and employees of the MTA.

Adjournment

Chair Metzger concluded the meeting, and upon a motion duly made and seconded, the meeting was adjourned.

Respectfully submitted, Faith

Beauzile, Administrative

Assistant

Department of Diversity and Civil Rights

2019 Diversity Committee Work Plan

I. RECURRING AGENDA ITEMS

Responsibility

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

II. SPECIFIC AGENDA ITEMS

Responsibility

February 2019

2019 EEO Policy	Dept. of Diversity/Civil Rights
2019 Departmental Goals	Dept. of Diversity/Civil Rights
2018 Year-End Report	Dept. of Diversity/Civil Rights
Recruitment Strategies for MTAHQ and MTA Agencies	Dept. of Diversity/Civil Rights, MTAHQ and Agency Staff
Diversity Committee Charter Review	Committee Chair and Members

June 2019

2019 ADA and Sexual and Other Discriminatory Harassment Prevention Policies	Dept. of Diversity/Civil Rights
1st Quarter 2019 Report	Dept. of Diversity/Civil Rights

September 2019

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

December 2019

3 rd Quarter 2019 Report	Dept. of Diversity/Civil Rights
Status Report on MTA Inter-Agency M/W/DBE and SDVOB Task Force	Dept. of Diversity/Civil Rights
2020 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 and SDVOB Contract Compliance Activities

MTA Department of Diversity and Civil Rights update of M/W/DBE and SDVOB 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

Recommitment to Equal Employment Opportunity ("EEO")

Each year, the MTA disseminates Policies addressing the Americans with Disabilities Act ("ADA"), Sexual and Other Discriminatory Harassment Prevention and EEO 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. The Department of Diversity and Civil Rights will present the 2019 EEO Policy. The ADA and Sexual and Other Discriminatory Harassment Prevention Policies will be presented in May 2019.

Overview of 2019 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 2019.

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 and SDVOB 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.

June 2019

Recommitment to EEO

The Department of Diversity and Civil Rights will present the 2019 ADA and Sexual and Other Discriminatory Harassment Policies.

1st Quarter 2019 Report

The Department of Diversity and Civil Rights will present 1st quarter 2019 update on MTA Agency-wide EEO, and M/W/DBE and SDVOB 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 and SDVOB 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 2019 update on MTA Agency-wide EEO and M/W/DBE and SDVOB contract compliance activities.

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

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

June 24, 2019



Executive Summary

■ Business and Diversity Initiatives

- In addition to hosting DBE certification workshops for prospective applicants, the Business and Diversity Initiatives Unit attended **5** events during the first quarter of 2019. Notable among these events was the Croton Harmon Phase 2 MWBE Outreach Event. This joint effort between DDCR, MNR, Skanska, and ECCO is a great opportunity for MWBEs and SDVOBs to learn about the project's potential subcontracting opportunities.
- MTA's outreach efforts contributed to the **\$124 million** in contracts awarded to certified MWDBEs and SDVOBs in the first quarter of 2019.



Executive Summary

■ Certification Activity Report

- The number of firms certified in 2019 **increased** compared with the previous year and the number of returned applications remains very low. DDCR continues to see an **increase** in the number of firms attending the bi-monthly DBE certification workshops.

■ Status: Increased DBE Certification

■ Trends

- ☑ Upward
- Constant
- Downward

■ Strategies for Improvement:

- Continue to host DBE certification workshops





Pride Month Initiatives

Pride MetroCards

500,000 limited edition Pride MetroCards created in partnership with NYC & Co. and I Love NY/ Empire State Development.

Launched May 30 at Christopher St Station.



Available at 19 stations while supplies last.



For MTA internal use only - Not for Distribution


Pride Merchandise


Featuring an MTA-designed "Subway Heart" and available exclusively at New York Transit Museum stores.



For MTA internal use only - Not for Distribution



Pride Train

Beginning June 11, five trains on the  line will display the MTA Pride emblem on every car.

The  line was chosen as it serves Christopher St Station, home of Stonewall and epicenter of the World Pride celebrations.

Fifty cars (five train sets) symbolize the 50 years since Stonewall.

Featuring MTA-designed "Subway Heart" and printed and installed courtesy of Outfront Media.



For MTA internal use only - Not for Distribution



MTA Police

Entry Level Police Officer Recruitment Process



Random Selection of Police Applicants for the Physical Fitness Test

Purpose of the Random Selection Process

The goal of the police recruitment process is to establish a diverse pool of applicants to fill anticipated police officer vacancies. PD usually aims to give a new police exam every 3-4 years. With the pool of applicants far exceeding the number of vacancies and to ensure an unbiased mechanism for determining who is considered for the next step, we utilize a random selection process.

For instance, it would be overly expensive and inefficient to invite all 7,000 that passed the written examination to take the physical fitness test, especially when the PD only requires approximately 1100 applicants to meet its hiring needs per year. The random selection process has been a fair mechanism that has yielded a diverse pool of hires and helped the department maintain diversity.

Description of the Random Selection Process

The random selection process utilizes a program within the PeopleSoft system to select, without regard to protected characteristics, an agreed upon number of those who passed the written examination to be given the opportunity to take the physical fitness test.

Senior HR Manager provides the BSC with the number of candidates desired for invitation to the PFT. BSC Testing Personnel enters the number into the PeopleSoft database and obtains a randomized list of participants. PeopleSoft system uses an algorithm established by the BSC and IT to provide a randomized list of candidates for each PFT as necessary.

How is the number to be selected for the PFT via the random selection process determined?

PD and HR work in partnership and consider upcoming retirements, resignations, new needs, and attrition for the various stages in the police recruitment process. For example, HR would invite approximately 550 applicants to a physical fitness test in January in order to assure we are prepared to fill 40 anticipated vacancies for the MTA Police Officer position in July when the next police academy class is scheduled.



Recruitment Process for Entry Level Police Officer

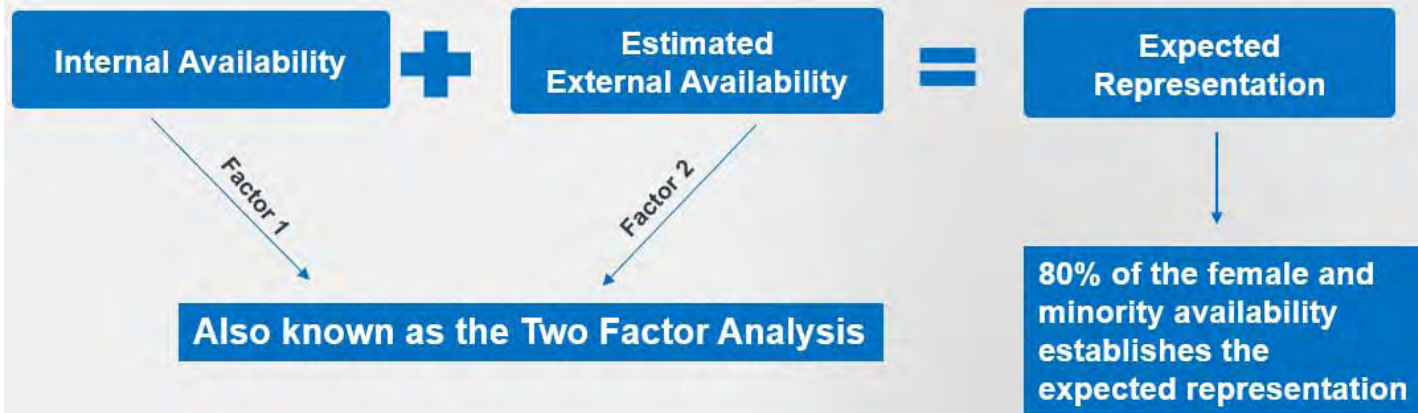
Steps in the Police Recruitment process

Advertisement	
Posting	
Written Examination	
Random Selection of Police applicants for the Physical Fitness Test	
Physical Fitness Test "PFT"	
Panel Interview	
Background Process	
Extend Conditional Offer (Written)	
Post conditional testing	<ul style="list-style-type: none"> • Polygraph • Psychological Evaluation (Written and Oral) • Medical Examination • Background Investigation (Part Two)
Final Offer/Hire Date	<ul style="list-style-type: none"> • Academy (6 months), if applicable



Estimated Availability Analysis

MTA performs an *Availability Analysis* to obtain an estimated proportion of females and minorities available and qualified for our job opportunities. To do this, we....



Internal Availability

- **Identify employees in feeder positions who are promotable, trainable and/or transferable into the recruited position.**
- **Agency workforce data is used to determine the percentage of individuals from the feeder job groups that may be available and qualified to fill the recruited position.**

Examples of Promotional Progression for Job Titles

	Program Manager (MTACC)	General Manager (MTA Bus)	Chief Maintenance Officer (NYCT)
Feeder Positions	Chief Engineer	Assistant General Manager	General Superintendent
	Senior Engineer	General Superintendent	Superintendent
	Engineer II	Superintendent	Supervisor I/II
	Engineer I	Dispatcher	Maintainer
	Engineer Intern	Bus Operator	Maintainer Helper



Estimated External Availability

- To obtain the estimated external availability numbers, we utilize the U.S. Census Bureau, which compiles statistics for every geographic area in the U.S. on census occupation codes. The Census Bureau has data on how many females and how many minorities are represented among each census occupation code in each geographic area in the country.
- We use the Standard Occupational Classification (SOC) System, which is a federal statistical standard used by federal agencies to classify workers into the census occupational cross classification (OCC) categories.
- We assign each MTA job title a OCC code based upon the job description.

Example of Census data by SOC/OCC Code

Job Title	SOC Number	OCC Number
Urban and Regional Planners	19-3051	1840
Civil Engineer	17-2051	1360
Dispatcher	43-5030	5520
Secretary – Legal	43-6012	5700
Senior Paralegal	23-2011	2145
Labor Counsel	23-1011	2100
Database Administrator	15-1141	1060
Bus Driver	53-3020	9120



Reasonable Recruitment Area (RRA)

- For each job title, MTA determines the geographical area from which the Agency typically finds incumbents to fill similar positions. This is referred to as the Reasonable Recruitment Area (RRA).
- The RRA used for calculating estimated availability varies according to essential functions within job titles for each MTA Agency. MTA and its Agencies' job categories, job groups and position titles are not always analogous.
- MTA is required to use the most current statistical information available to derive availability figures. We are currently using the updated 2010 census data to perform our analysis.
- This data (SOC/OCC code for identified RRA) is combined for each job title to determine the final estimated external availability figures.

Generally, the RRAs used for determining MTA availability are as follows:

- **National:**
Executive Positions
- **Regional:**
Most positions – 14 counties (Bronx, Dutchess, Fairfield, Kings, Nassau, New Haven, New York, Orange, Putnam, Queens, Richmond, Rockland, Suffolk and Westchester counties)
- **Local:**
Administrative Support, Skilled Craft and Service Maintenance positions - Combination of any of the above 14 counties based on the agency's service area



Four Fifths / Eighty Percent (80%) Rule

- After determining the estimated availability, MTA applies the Four Fifths/ 80% Rule to determine whether underutilization exists for the female and/or minority group.
- Underutilization exists if the percentage of females and/or minorities in a particular job category is less than 80% of the final estimated availability percentage.

Example of Four Fifths / Eighty Percent Rule Comparison
MTA-Wide as of 1st Quarter 2019

Job Category	Female Representation (What we currently have)	Eighty Percent Rule (What we should have)	Goal Met
Officials and Administrators	25%	22%	YES
Skilled Craft	6%	15%	NO
Professionals	37%	34%	YES



Job Titles within MTA Job Categories



Officials and Administrators

President, Vice President, Controller, Chief Officers, General Managers, Directors, General Counsel, Chief of Staff, Managers



Professionals

Engineers, Analyst, Specialists, CPAs, Attorneys, Recruiters, Project Managers, Photographers, Investigators, Architects



Technicians

Technical Writer, Sergeants, Computer Associates, Medical Technician, Bridge Inspector, Drug & Alcohol Tech, Graphic Artist



Protective Service

Security Agent, Police Officer, Detective, Fire EMS Specialist, Special Inspector, TA Property Protection Agent



Paraprofessionals

Claims Specialists, Paralegal, Claims Examiner, Database Coordinator, RTC Assistant, Worker's Comp Associate



Administrative Support

Administrative Assistants, Secretary, Warehouse person, Records Clerk, Customer Service Associate, Ticket Seller, Cashier, Stock Worker/Handler,



Skilled Craft

Maintainer, Yardmaster, Trackworker, Elevator Operator, Machine Operator, Electrician, Maintenance Supervisors, Foreman

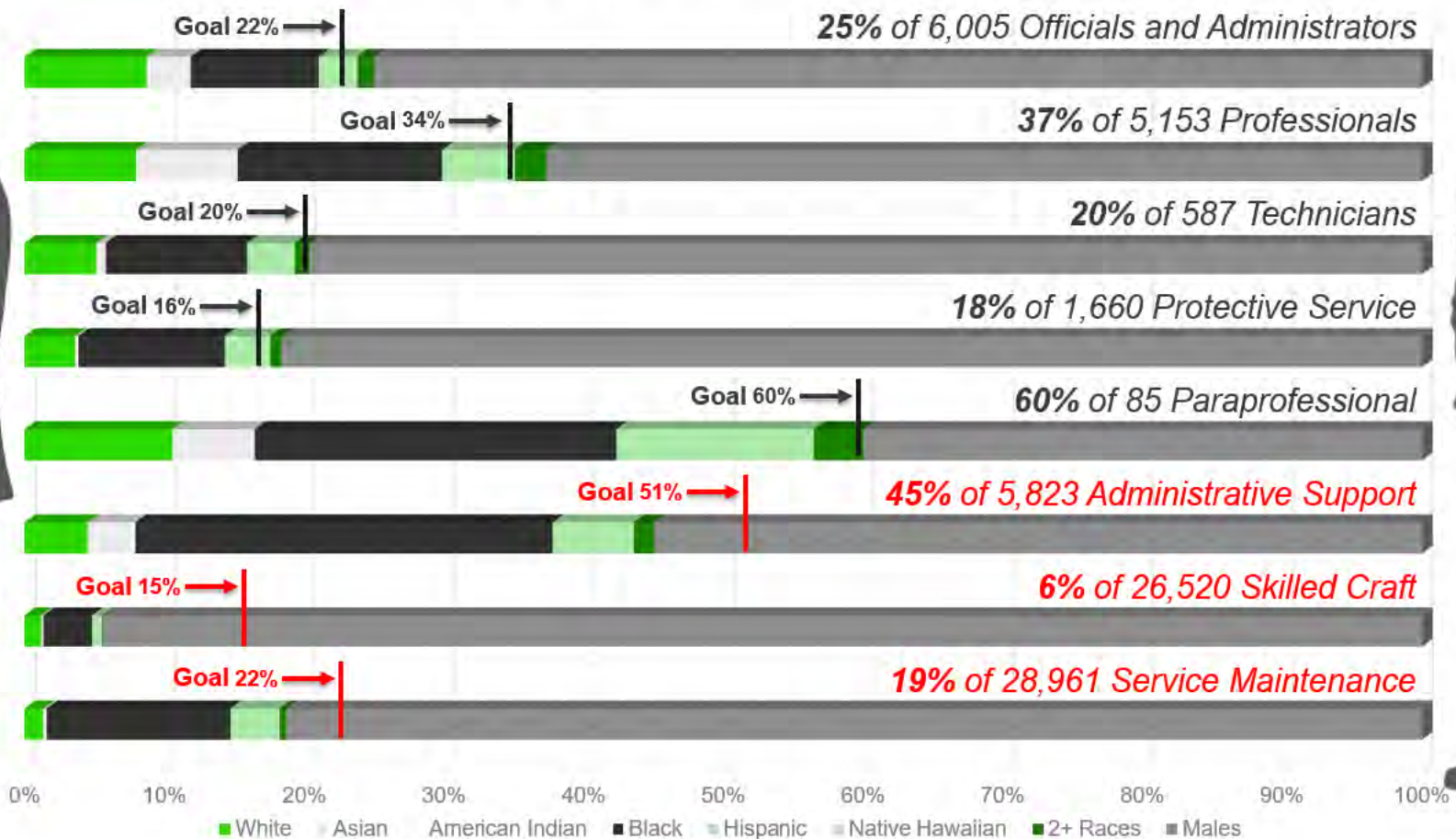


Service Maintenance

Bus Operator, Conductor, Station Agent, Custodian, Restroom Attendant, Track Walker, Dispatcher, Signal Helper, Laborer



Female Representation at MTA



Females in Management Positions

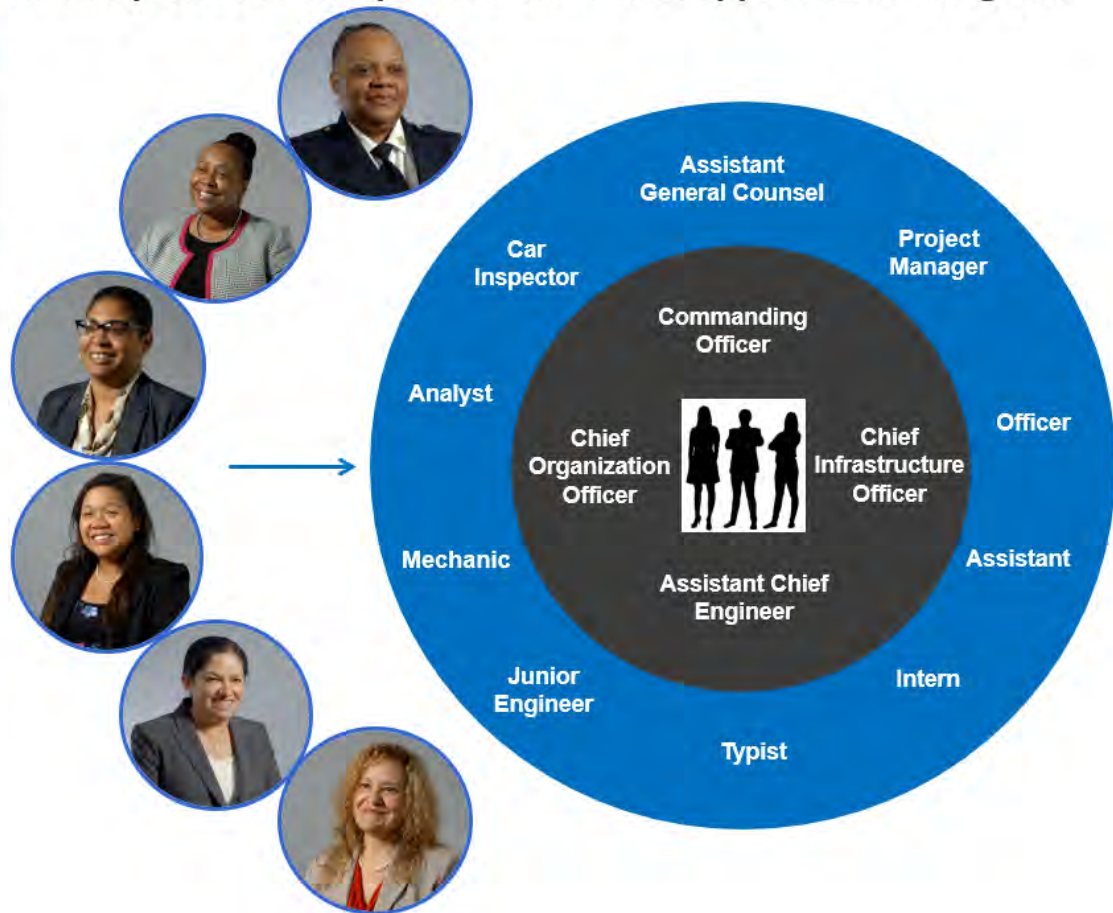


Females are Advancing at the MTA

We hire people who are talented, driven and proactive and provide them with opportunities to grow.



“Each MTA Agency has numerous success stories exemplifying the ascension of female employees to influential leadership positions”





Best Practices

Engage ↔ Collaborate ↔ Activate

In alignment with the NYS Governors Office's initiative to increase workforce diversity statewide, MTA's All-Agency Diversity Recruitment Committee identified strategies to enhance workforce diversity. The Committee recommended establishing an all agency diversity budget to fund shared cost for memberships, conferences, and broad agency strategies to address areas of underutilization and diversity recruitment efforts. The committee identified the following as initial strategies for 2019-2020:

- ❖ Strengthen working relationships with diversity and professional women/minority organizations.
- ❖ Restructure employee benefits to align with best practices and increase our competitiveness to attract and retain high performing employees.
- ❖ Expand paid internship programs, develop (and expand) apprenticeship programs, and create additional mentorship opportunities.
- ❖ Enhance recruitment by redesigning employment website to make it visibly appealing, informative and user friendly, and creating an agency-wide applicant tracking system and a shared resume database.
- ❖ Implement an all-agency succession planning program to identify and develop employees with the potential to fill key leadership positions.
- ❖ Partner with local colleges, trade schools, high schools and middle schools to introduce students to MTA careers.

**Estimated
Budget to
Implement
Strategies**

\$4,500,000

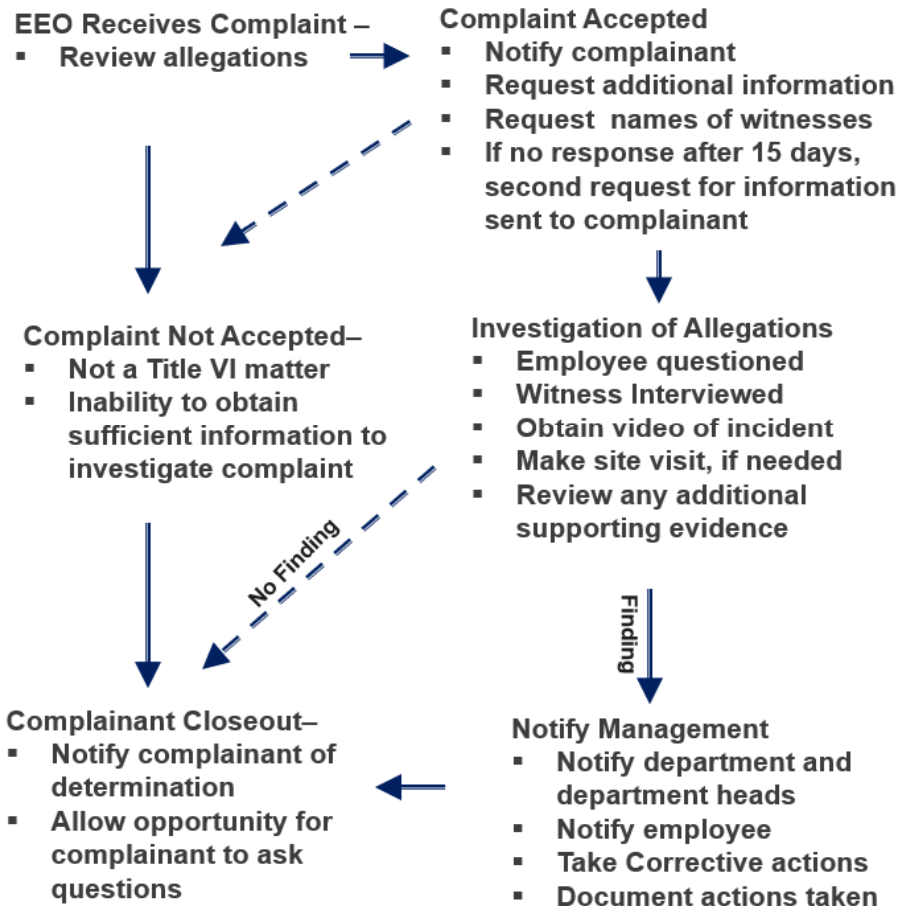
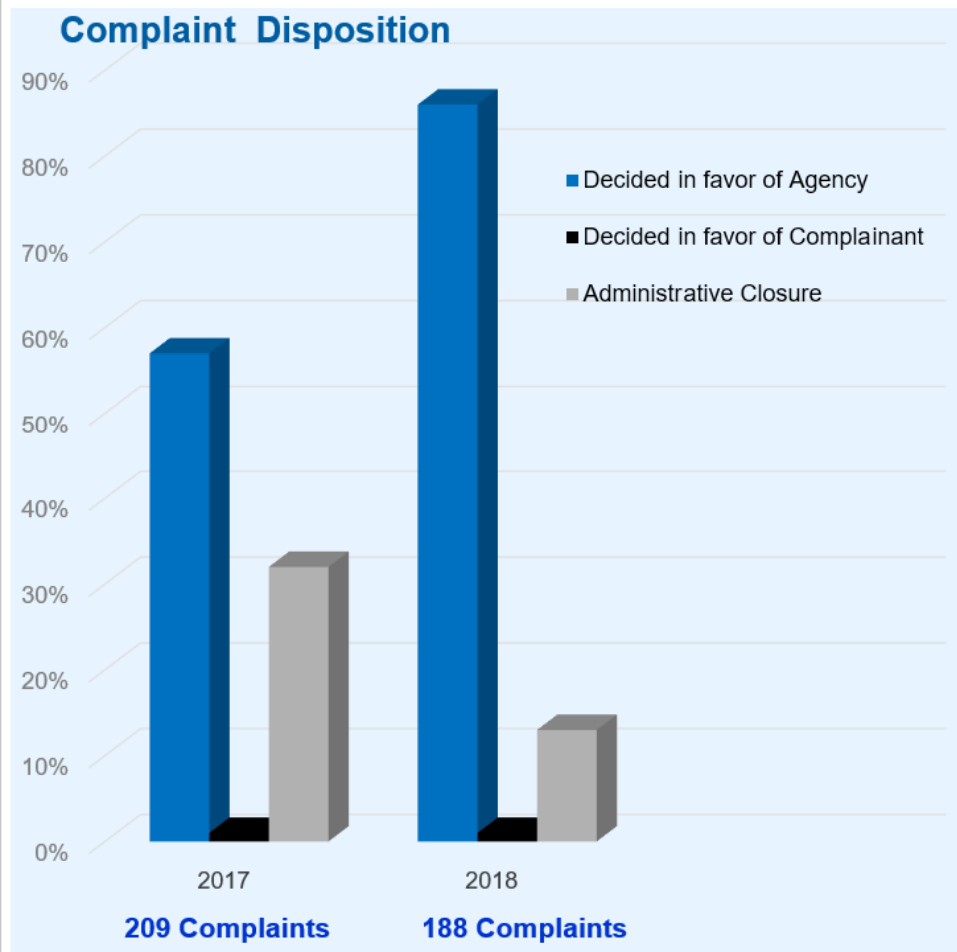


Increasing Female Representations

	Challenges	Strategies
1	Low number of female applicants taking exams	Expand distribution of the “notice of exams”
2	Market Competitiveness	Review language in postings, and highlight benefits offered
3	Large number of Skilled Craft positions	Develop creative recruitment strategies

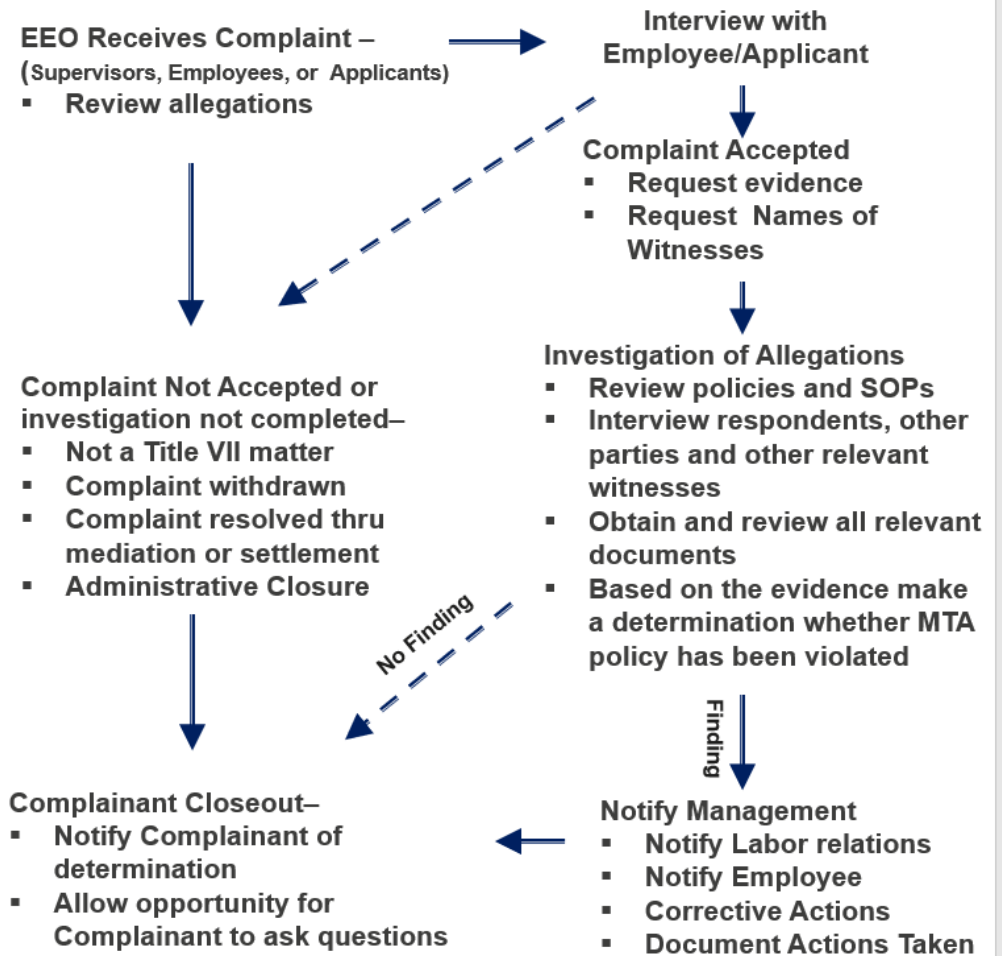
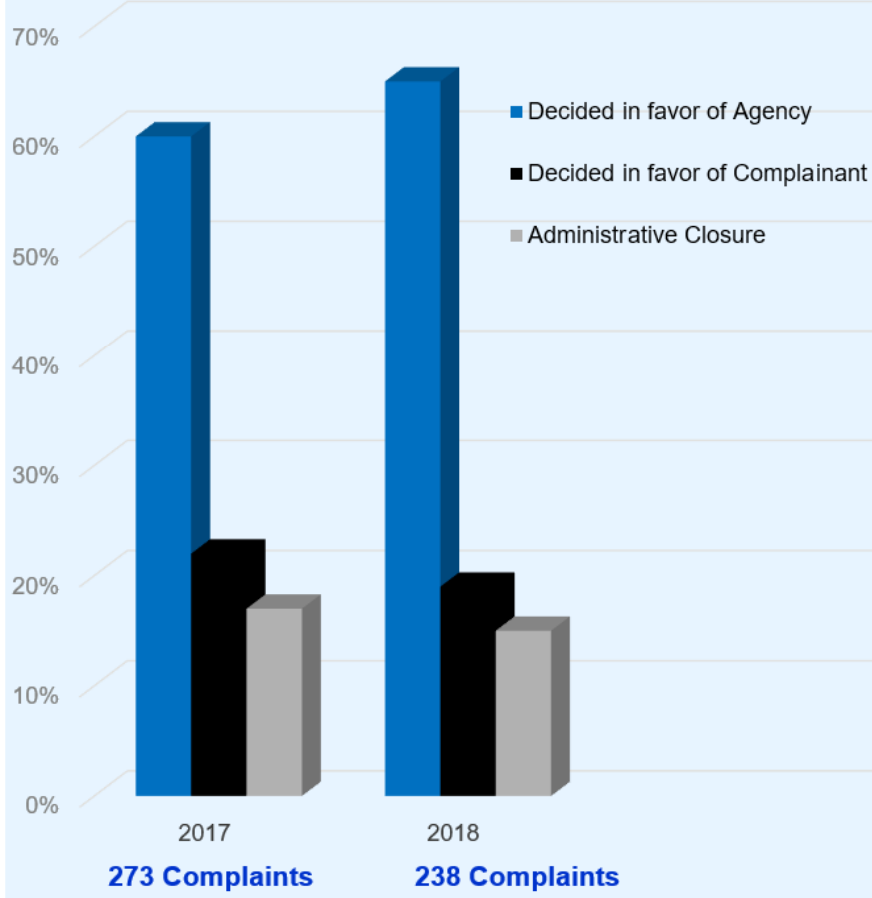


Title VI Complaint Process – Customer Complaints



Title VII Complaint Process – Employee Complaints

Complaint Disposition



Executive Summary

■ EEO

- MTA's overall workforce is currently comprised of **74,794** employees; of which **13,428 (18%)** are Females,* **51,731 (69%)** are Minorities and **1,990 (3%)** are Veterans.**
- The percentage of Females in the workforce has **remained the same (18%)** as compared to the first quarter 2018. As it relates to race/ethnicity, the percentage of minorities has **increased** by **712 (1%)** compared to the first quarter 2018.
- MTA agencies conducted an availability analysis of females and minorities in its workforce. The availability analysis consists of comparing MTA agencies **March 31, 2019** workforce percentages for females and minorities to 80 percent of the females and minorities available within the relevant labor market.
- Based on the availability analysis, **Females, Asians, Blacks and Hispanics** were underrepresented in some of the job categories at the Agencies.



*Includes minorities, non-minorities, and veterans

**Minorities and Non-minorities

Executive Summary

■ EEO (Continued)

- MTA Agencies hired **1,074** employees; of which **228 (21%)** are Females,* **847 (79%)** are Minorities and **36 (3%)** are Veterans.**
- Females were **hired at higher** percentage compared to their current representation of **18%** in the workforce. Minorities were **hired at higher** percentage compared to their current representation of **69%** in the workforce.
- MTA Agencies handled a total of **295** EEO complaints; of which **179** were internal and **116** were external. In the first quarter of 2018, MTA Agencies handled a total of **363** EEO complaints; of which **196** were internal and **167** were external complaints.
- MTA Agencies handled a total of **213** Title VI complaints. In the first quarter of 2018, MTA Agencies handled a total of **295** Title VI complaints.



*Includes minorities, non-minorities, and veterans

**Minorities and Non-minorities

Executive Summary

- EEO (Continued)
- Status: 5 of 8 goals are met
- Trends
 - Upward
 - ☑ Constant
 - Downward
- Strategies for Improvement:
 - Expand relationships with professional and minority organizations to increase applicant pool.



Executive Summary

■ Small Business Development Program (as of March 31, 2019)

The Program – Current Status

The Small Business Development Program (SBDP) awarded **379 contracts** totaling **\$369.4 million**.

Program Year 10 SBDP awarded **11 contracts** totaling **\$14.2 million**.

SBDP successfully recruited **7** Service Disabled Veteran-Owned Business (SDVOB) certified firms. **Two (2) firms** were awarded contracts totaling **\$800,000**.

The Small Business Development Loan Program issued **114 loans** totaling **\$16.0 million**.

The Small Business Development Bond Program has assisted firms in securing **\$369.5 million** in surety bond.



Executive Summary

■ Small Business Development Program (Continued)

■ Status: Program is achieving its goals

■ Trends

- ☑ Upward
- Constant
- Downward

■ Strategies for Improvement: n/a



Executive Summary

■ MWDBE and SDVOB Contract Compliance

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

- 15% MWBE participation in contract awards
- 27% MWBE participation in contract payments

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

- 4% SDVOB participation in contract awards
- 3% SDVOB participation in contract payments

■ 18% Federal Fiscal Year 2018-2019 DBE Goal

- 24% DBE participation in contract awards*.
- 23% DBE participation in contract payments on ongoing contracts*.
- 16% DBE participation on payments on closed contracts*.

* First half of the Federal Fiscal Year 2019



Executive Summary

■ MWDBE and SDVOB Contract Compliance (Continued)

- Currently, DDCR monitors more than **1,828 contracts** for MWDBE and SDVOB goal compliance.
- In 2018, DDCR conducted **665 site visits** for MWDBE and SDVOB contract compliance.
 - January-March 2019 site visits
 - Total Conducted: **165**
 - Current Monthly Average: **55**
- In 2018, DDCR has closed **121** contract.
 - January-March 2019 closed contracts
 - Total Closed: **37**
 - Current Monthly Average: **12**



Executive Summary

- **MWDBE and SDVOB Contract Compliance (Continued)**
- **Status:** WBE and SDVOB goals are not met
- **Trends**
 - Upward
 - Constant
 - ☑ Downward: WBE & SDVOB awards and payments
- **Strategies for Improvement:**
 - DDCR will expand on building relationships with various women, veteran and ethnic trade groups and associations to identify qualified firms in the minority business community.
 - Design smaller contracts for greater participation by MWDBE/SDVOBs.
 - Increase the discretionary spending threshold to \$1M.



Executive Summary

■ Capital Projects

■ Federal Participation Goal: 18%

(First half of the Federal Fiscal Year 2019 (October 2018 to March 2019))

- Total Awards: \$387M*
- Total DBE Awards: \$77M (20%)
- Total Payments: \$316M
- Total DBE Payments: \$85M (27%)

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

(NYS Fiscal Year 2018-2019 (April 2018 to March 2019))

- Total Awards: \$1.03B
- Total MBE Awards: \$140M (14%)
- Total Payments: \$1.6B
- Total MBE Payments: \$182M (12%)

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

(NYS Fiscal Year 2018-2019 (April 2018 to March 2019))

- Total Awards: \$1.03B
- Total WBE Awards: \$87M (8%)
- Total Payments: \$1.6B
- Total WBE Payments: \$143M (9%)

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

(NYS Fiscal Year 2018-2019 (April 2018 to March 2019))

- Total Awards: \$387M
- Total SDVOB Awards \$10M (3%)
- Total Payments: \$205M
- Total SDVOB Payments: \$2.1M(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

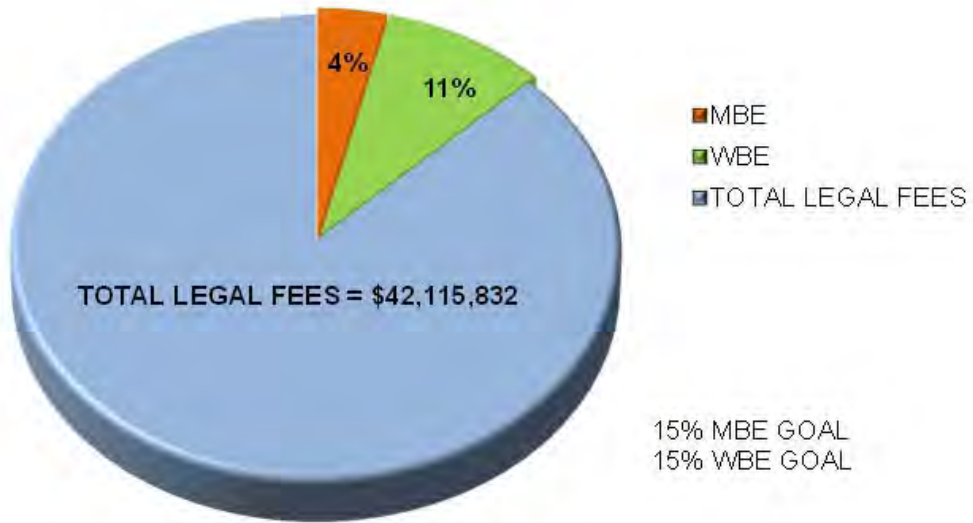
Capital Projects (Continued)

- **Status:** WBE and SDVOB goals are not met
- **Trends**
 - Upward
 - Constant
 - ☑ Downward: WBE & SDVOB awards and payments
- **Strategies for Improvement:**
 - DDCR will expand on building relationships with various women, veteran and ethnic trade groups and associations to identify qualified firms in the minority community.



Executive Summary

■ MTA All Agency Legal Fees (April 2018-March 2019)



Actual MBE Participation = \$1,803,601 or 4%
Actual WBE Participation = \$4,351,174 or 11%



Executive Summary

MTA All Agency Legal Fees (Continued)

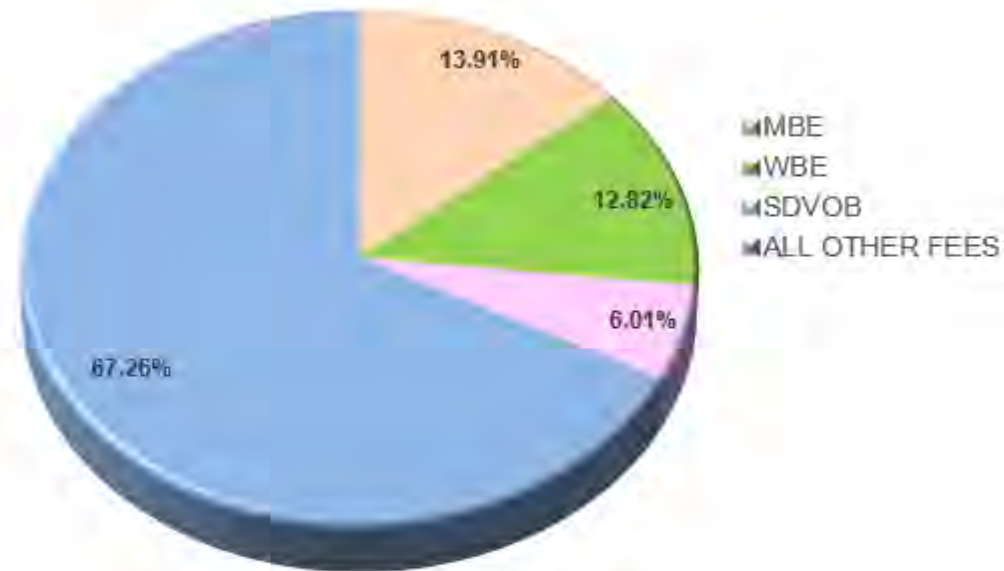
- **Status:** MWBE goals are not met
- **Trends**
 - ☑ Upward
 - Constant
 - Downward
- **Strategies for Improvement:**
 - Host an all-agency orientation session for prequalified ethnic minority law firms.
 - Mentor MWBE law firms to handle more specialized cases.



Executive Summary

Financial Services

MTA ALL AGENCY UNDERWRITER FEES
April 2018 - March 2019



Actual WBE Participation = \$285,584 or 12.82%
Actual MBE Participation = \$310,013 or 13.91%
Actual SDVOB Participation = \$133,972 or 6.01%
All Other Underwriting Fees = \$1,498,699 or 67.26%



Executive Summary

Financial Services (Continued)

- **Status:** MWBE goals are not met

- **Trends**

- ☒ Upward
- Constant
- Downward

- **Strategies for Improvement:**

- Find opportunities for negotiated bond transactions where only certified firms would participate.



Executive Summary

Asset Fund Managers – MWBE Participation Combined Plans (as of March 31, 2019)

Combined Plans

- Total assets managed by MWBEs: \$1.22 billion; or 15% of total assets
- Majority of assets are in traditional asset classes
- Traditional assets managed by MWBEs: \$1.12 million; or 22% of traditional assets
 - MWBE firms manage
 - 54% of US Equities
 - 35% of Real Estate
 - 28% of Non-US Equities
 - 9% of Fixed Income
 - 1 % of Opportunistic
- Alternative investments managed by MWBE's: \$95 million; or 3% of alternative investments



Executive Summary

Asset Fund Managers – MWBE Participation Combined Plans (Continued)

New England Pension Consultants (NEPC) Diversity Advisory Committee

“In the interest of promoting equal access to all who seek to provide financial services to the MTA sponsored defined benefit plans, the MaBSTOA Investment Committee and the MTA Defined Benefit Pension Plan Board of Managers of Pensions has directed its investment advisor, NEPC, to review whether minority-owned and women-owned investment management firms are qualified in connection with every investment manager search that the investment advisor performs.”



Executive Summary

Asset Fund Managers – MWBE Participation Combined Plans (Continued)

- **Status:** NEPC has an in-house committee that is tasked with identifying emerging managers across all asset classes
- **Trends**
 - Upward
 - ☑ Constant
 - Downward
- **Strategies for Improvement:**
 - ❑ Proactively expand selection and recommendation of MWDBE Managers
 - ❑ Identify top-tier firms across all asset classes (public/alternatives)
 - ❑ Maintain a database of viable emerging managers
 - ❑ Thought leadership in emerging manager research
 - ❑ Increase utilization of emerging managers within our client's portfolio



Metropolitan Transportation Authority Department of Diversity and Civil Rights

Business and Diversity Initiatives

June 24, 2019



Business and Diversity Initiatives

January

MTA Small Business Development Program Bronx Workforce 1 Center

MTA Small Business Development Program Orientation Session for Service Disabled Veteran-Owned Businesses

SOBRO Presents MTA Small Business Development Program Orientation Session for Service Disabled Veteran-Owned Businesses

The Construction Industry Council of Westchester and Hudson Valley Awards Luncheon

Governor's Office of Storm Recovery Procurement Outreach Event

February

DDCR Presents DBE Certification Session

MTA Small Business Development Program Monthly Pre-Qualification Workshop

The New York State Association of Black and Puerto Rican Legislators, Inc 48th Annual Legislative Conference

MTA Small Business Development Program Orientation Session at The Construction Industry Council of Westchester and Hudson Valley

LaGuardia Procurement Technical Assistance Center hosts the Small Business Development Program Orientation Session



Business and Diversity Initiatives

MARCH

DDCR, MNR and Skanska/ECCO Present “Croton Harmon Phase 2 MWBE Outreach Event”

MTA Small Business Development Program Orientation Session for New Prequalified Firms

DDCR Presents MTA Agency-wide New Firm Orientation Session

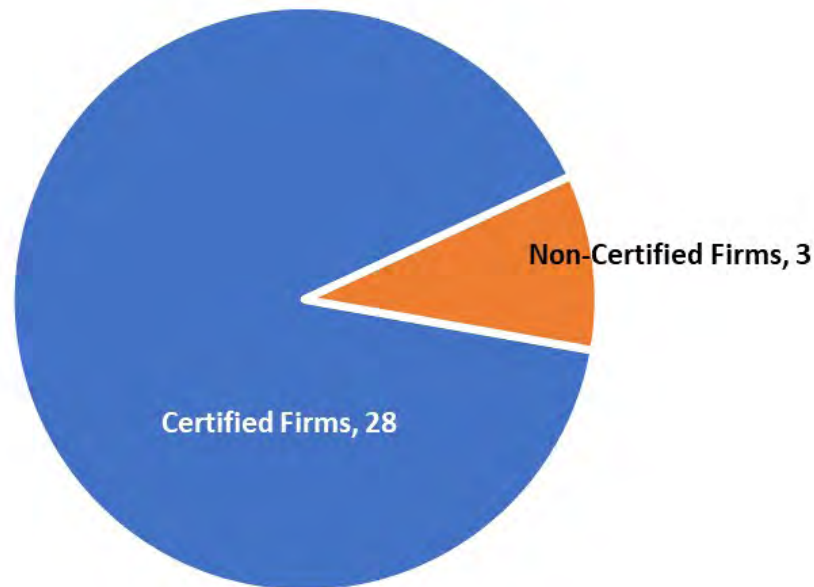
Queens Chamber of Commerce hosts the MTA Small Business Development Program Orientation Session

New York City Hispanic Chamber of Commerce celebrates “Women in Business Awards Luncheon”



Business and Diversity Initiatives

Contract Awards Based On Outreach Efforts January 2019 – March 2019

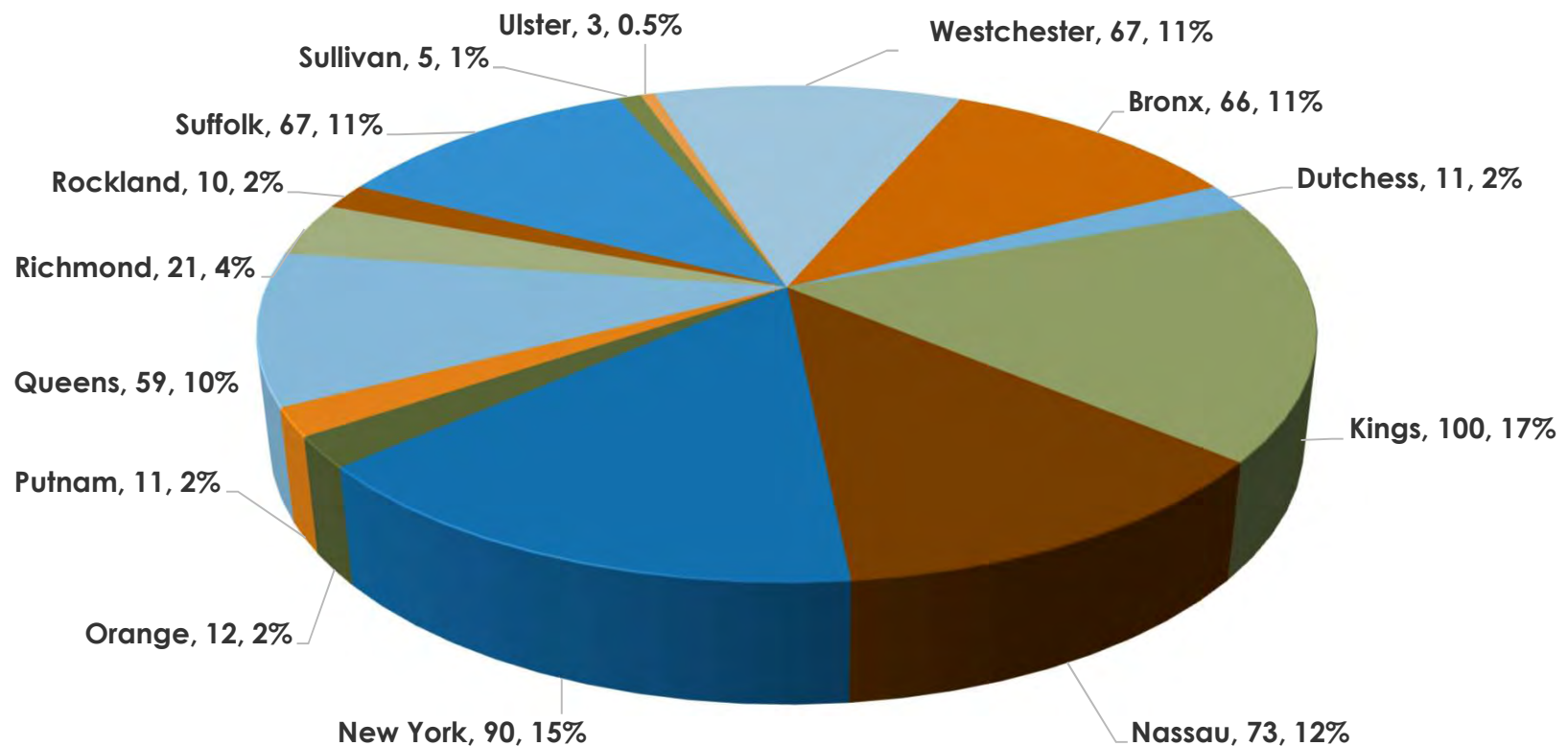


31 firms were awarded \$124 million in contracts



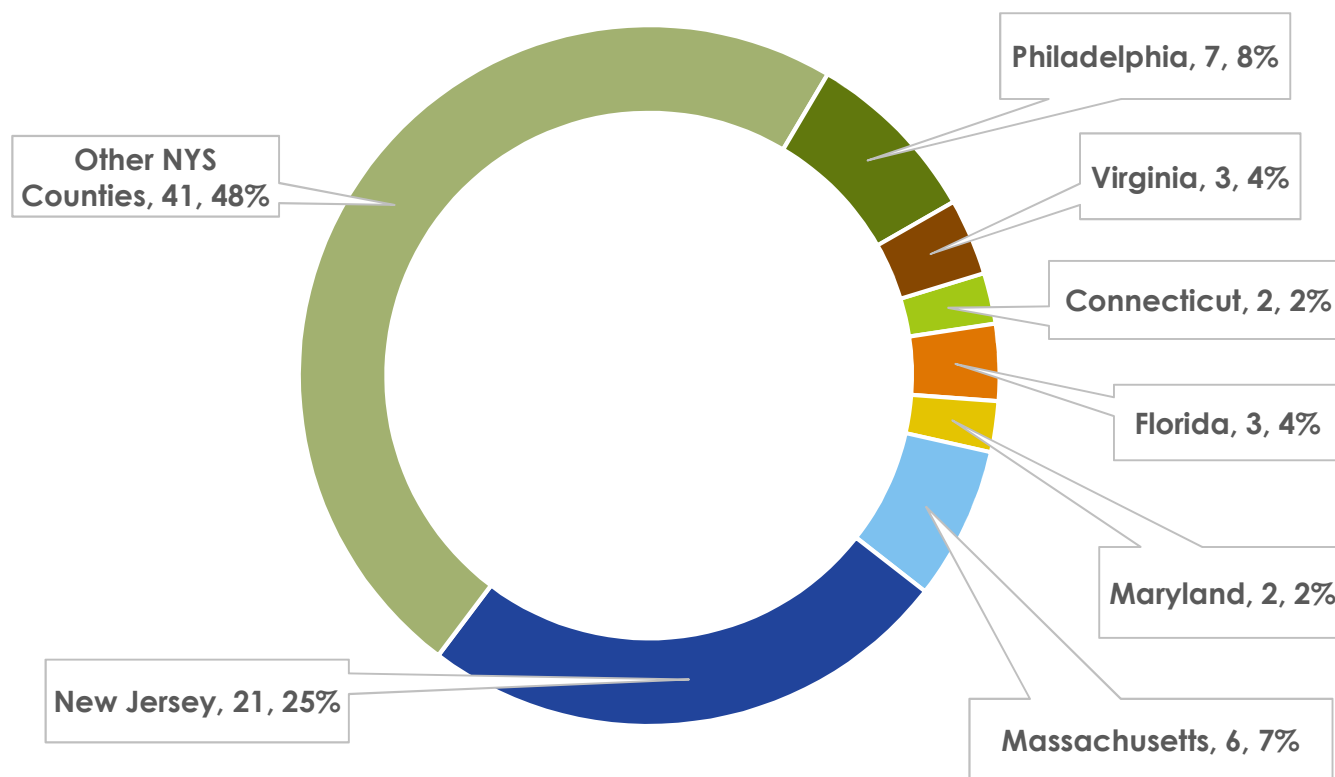
Business and Diversity Initiatives

Outreach Conducted In MTA Region Service Area (14 Counties) January 2019 – March 2019



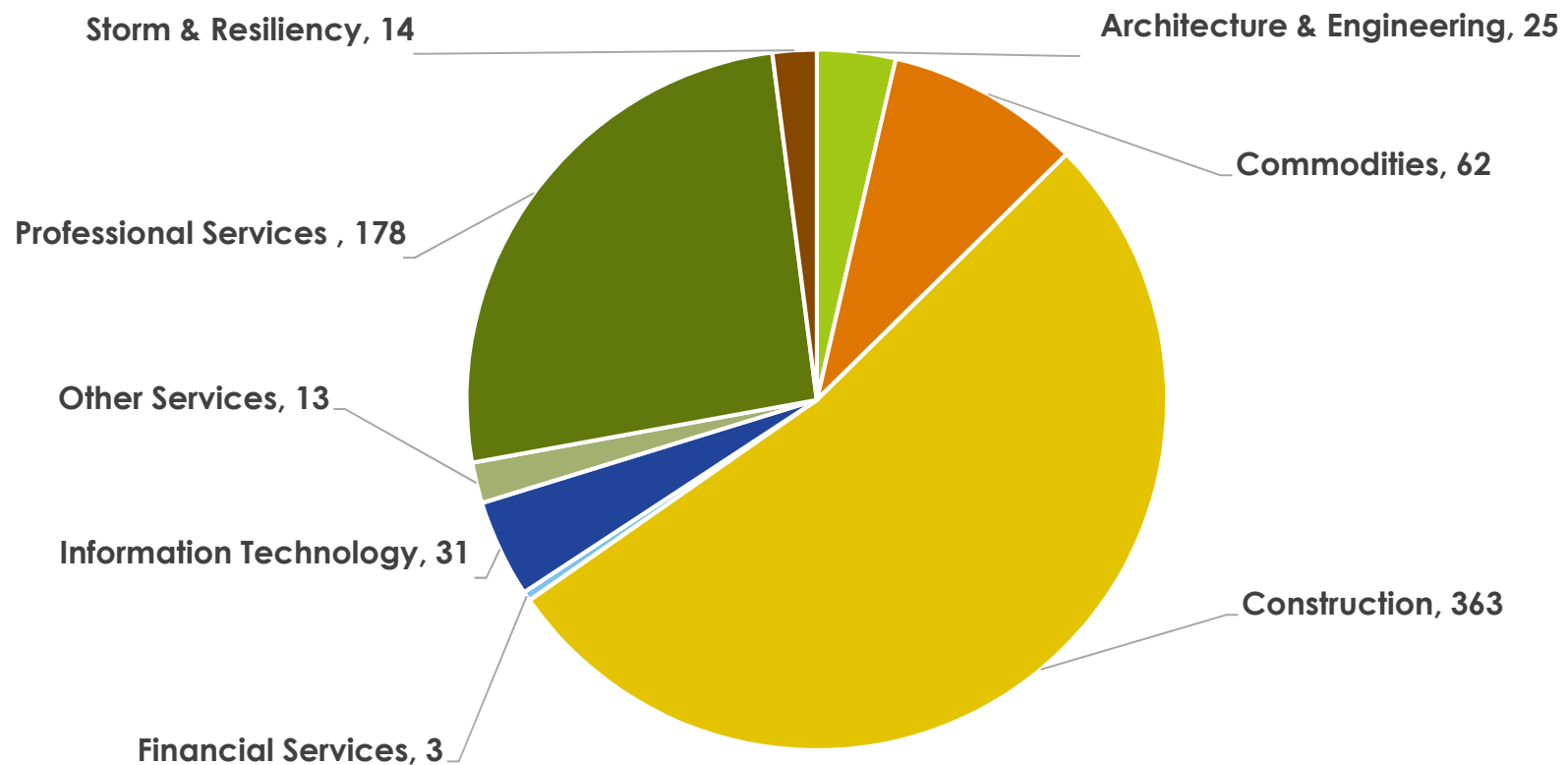
Business and Diversity Initiatives

Outreach Conducted Outside MTA Region Service Area January 2019 – March 2019



Business and Diversity Initiatives

Outreach Results By Business Type January 2019 – March 2019

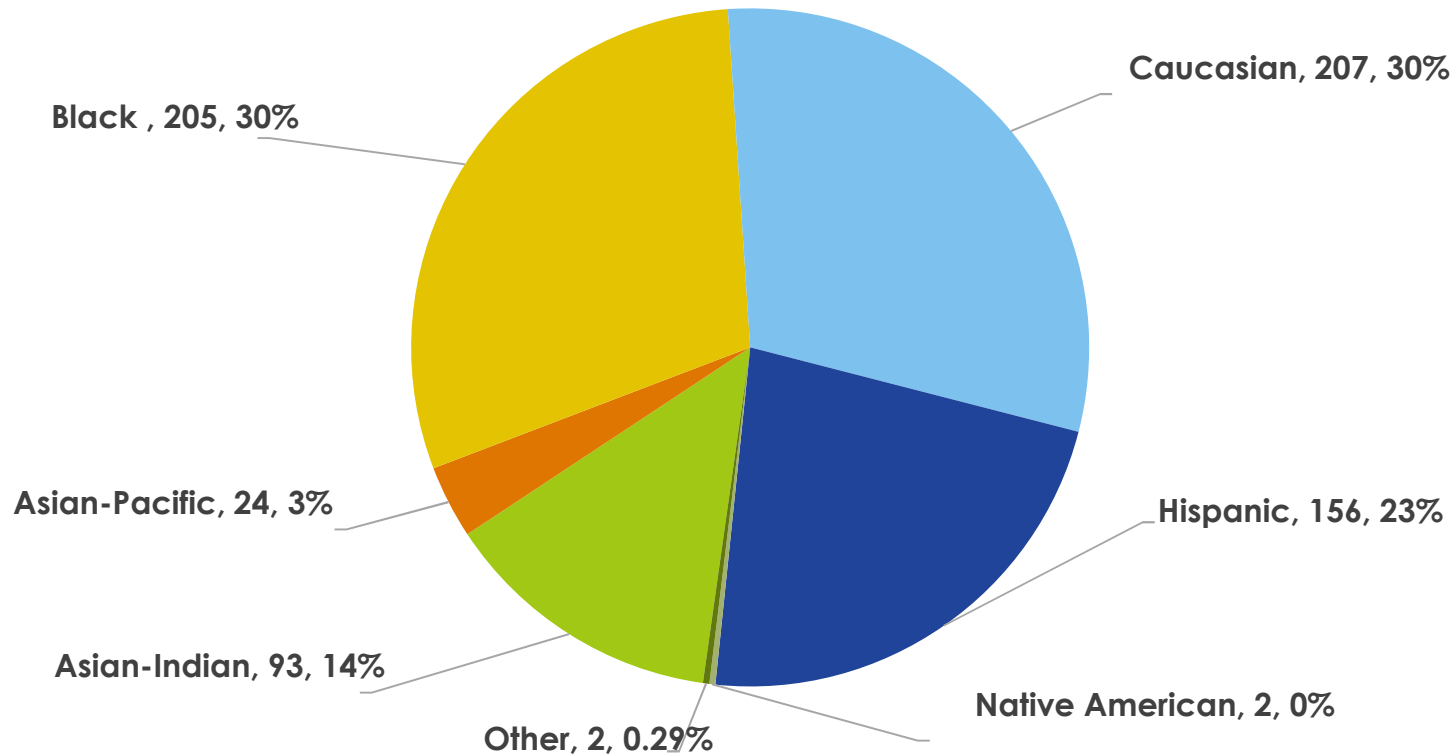


Total Firms: 689



Business and Diversity Initiatives

Outreach Results By Ethnicity January 2019 – March 2019



Metropolitan Transportation Authority Department of Diversity and Civil Rights

DBE Certification Activity Report

June 24, 2019



MTA DBE Certification Unit

CERTIFICATION APPLICATIONS RECEIVED FIRST QUARTER 2017-2019

	2019	2018	2017
January	12	19*	13
February	0	6	8
March	6	11	14
TOTAL	18	36	35

*8 of the 27 new applications were not new, as previously reported, but re-assigned in 2018 pursuant to staff departures/retirements.

CERTIFICATION ACTIVITIES FOR NEW APPLICATIONS FIRST QUARTER 2017-2019

	2019	2018	2017
CERTIFIED	18	12	16
DENIED	0	0	0
RETURNED	1	0	18
WITHDRAWN	4	6	8
TOTAL	23	18	42



Metropolitan Transportation Authority Department of Diversity and Civil Rights

MTA-Wide Workforce
as of March 31, 2019

June 24, 2019



MTA-Wide Workforce as of March 31, 2019

Agency	TOTAL		Minorities		WHITES		BLACKS		HISPANICS		ASIANS		AI/AN*		NHOP1**		2+ RACES		VETERANS			
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%		
B&T		1,367			759	56%	608	44%	345	25%	250	18%	98	7%	5	0%	1	0%	60	4%	76	6%
	F	297	22%		232	17%	65	5%	141	10%	54	4%	23	2%	2	0%	0	0%	12	1%	10	13%
	M	1,070	78%		527	39%	543	40%	204	15%	196	14%	75	5%	3	0%	1	0%	48	4%	66	87%
BUS		4,267			3381	79%	886	21%	1,925	45%	889	21%	360	8%	9	0%	13	0%	185	4%	45	1%
	F	563	13%		508	12%	55	1%	325	8%	137	3%	23	1%	1	0%	0	0%	22	1%	4	9%
	M	3,704	87%		2873	67%	831	19%	1,600	37%	752	18%	337	8%	8	0%	13	0%	163	4%	41	91%
CCC		129			73	57%	56	43%	22	17%	12	9%	33	26%	1	1%	0	0%	5	4%	1	1%
	F	45	35%		33	26%	12	9%	12	9%	9	7%	11	9%	0	0%	0	0%	1	1%	0	0%
	M	84	65%		40	31%	44	34%	10	8%	3	2%	22	17%	1	1%	0	0%	4	3%	1	100%
HQ		2,774			1579	57%	1,195	43%	621	22%	373	13%	437	16%	7	0%	2	0%	139	5%	70	3%
	F	935	34%		678	24%	257	9%	338	12%	128	5%	149	5%	0	0%	1	0%	62	2%	8	11%
	M	1,839	66%		901	32%	938	34%	283	10%	245	9%	288	10%	7	0%	1	0%	77	3%	62	89%
LIRR		7,649			2779	36%	4,870	64%	1,302	17%	874	11%	312	4%	21	0%	4	0%	266	3%	520	7%
	F	1,130	15%		591	8%	539	7%	351	5%	131	2%	58	1%	1	0%	1	0%	49	1%	24	5%
	M	6,519	85%		2188	29%	4,331	57%	951	12%	743	10%	254	3%	20	0%	3	0%	217	3%	496	95%
MNR		6,737			2601	39%	4,136	61%	1,353	20%	741	11%	221	3%	29	0%	2	0%	255	4%	530	8%
	F	850	13%		540	8%	310	5%	319	5%	119	2%	55	1%	4	0%	1	0%	42	1%	20	4%
	M	5,887	87%		2061	31%	3,826	57%	1,034	15%	622	9%	166	2%	25	0%	1	0%	213	3%	510	96%
NYCT		51,871			40559	78%	11,312	22%	24,102	46%	8,748	17%	6,215	12%	108	0%	21	0%	1,365	3%	748	1%
	F	9,608	19%		8847	17%	761	1%	6,540	13%	1,482	3%	520	1%	19	0%	3	0%	283	1%	64	9%
	M	42,263	81%		31712	61%	10,551	20%	17,562	34%	7,266	14%	5,695	11%	89	0%	18	0%	1,082	2%	684	91%
Total		74,794			51,731	69%	23,063	31%	29,670	40%	11,887	16%	7,676	10%	180	0%	43	0%	2,275	3%	1,990	3%

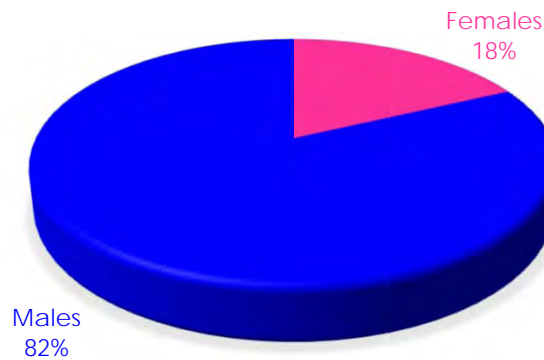
*American Indian/Alaskan Native

**Native Hawaiian Other Pacific Islander

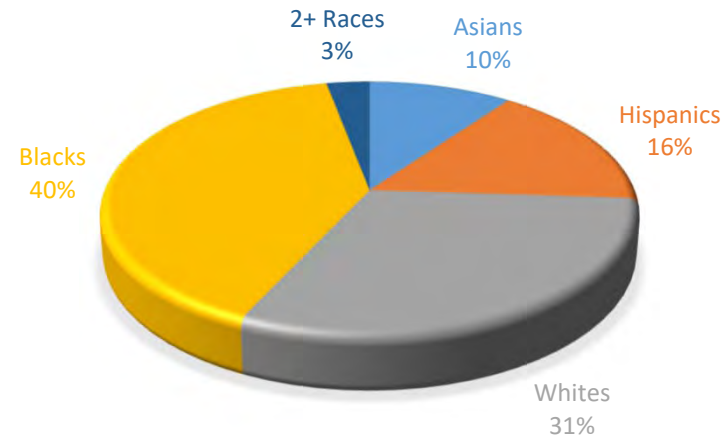


MTA-Wide Workforce as of March 31, 2019

Workforce By Gender



Workforce By Race/Ethnicity



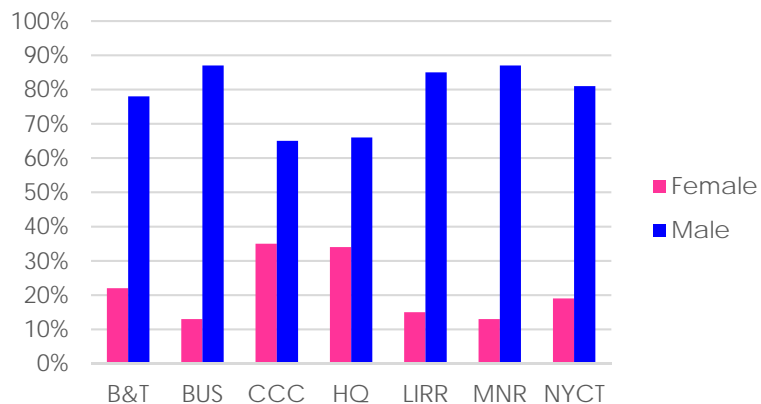
MTA employed **74,794** people: **18%** of the workforce were Females, **69%** Minorities, and Veterans comprised **3%**.

- ❑ The percentage of females employed in the workforce has **remained constant** when compared to 1Q18.
- ❑ The percentage of minorities in the workforce has also **remained constant** when compared to 1Q18.

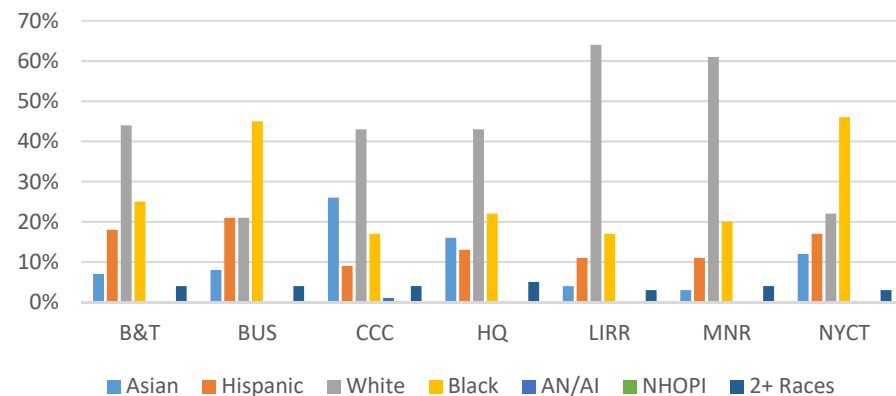


MTA-Wide Workforce by Gender and Race/Ethnicity as of March 31, 2019

MTA Agencies By Gender



MTA Agencies By Race/Ethnicity



Agency	Employees	Females	Minorities
B&T	1,367	22%	56%
BUS	4,267	13%	79%
CCC	129	35%	57%
HQ	2,774	34%	57%
LIRR	7,649	15%	36%
MNR	6,737	13%	39%
NYCT	51,871	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 March 31, 2019, **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 March 31, 2019

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%	12%	5%	2%	3%	4%	0%	0%	0%	0%	1%	2%	8%	9%
	M	8%	10%	6%	7%	5%	10%	0%	0%	0%	0%	1%	4%		
BUS	F	5%	11%	2%	3%	2%	2%	0%	0%	0%	0%	1%	2%	16%	5%
	M	6%	16%	5%	11%	5%	9%	0%	0%	0%	0%	1%	3%		
CCC	F	4%	5%	3%	5%	3%	6%	0%	0%	0%	0%	0%	0%	15%	11%
	M	4%	6%	3%	0%	9%	21%	0%	1%	0%	0%	1%	3%		
HQ	F	7%	13%	3%	5%	4%	7%	0%	0%	0%	0%	1%	2%	16%	14%
	M	5%	8%	4%	4%	6%	10%	0%	0%	0%	0%	1%	3%		
LIRR	F	5%	4%	2%	2%	1%	2%	0%	0%	0%	0%	1%	1%	11%	10%
	M	7%	8%	6%	7%	3%	4%	0%	1%	0%	0%	2%	4%		
MNR	F	4%	6%	2%	3%	2%	4%	0%	0%	0%	0%	1%	1%	10%	11%
	M	8%	9%	5%	6%	3%	5%	0%	0%	0%	0%	2%	3%		
NYCT	F	7%	12%	2%	2%	2%	3%	0%	0%	0%	0%	1%	1%	9%	6%
	M	14%	19%	7%	9%	8%	11%	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 March 31, 2019

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%	5%	0%	0%	0%	0%	0%	2%	13%	14%
	M	8%	7%	9%	10%	4%	7%	0%	0%	0%	1%	1%	7%		
BUS	F	10%	16%	6%	11%	5%	9%	0%	0%	0%	0%	2%	4%	13%	6%
	M	6%	12%	4%	6%	8%	16%	0%	0%	0%	0%	1%	4%		
CCC	F	11%	29%	7%	5%	11%	24%	0%	0%	0%	0%	0%	0%	23%	5%
	M	9%	10%	6%	5%	8%	5%	0%	0%	0%	0%	1%	5%		
HQ	F	6%	15%	4%	5%	4%	8%	0%	0%	0%	0%	1%	3%	20%	8%
	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%	11%	7%
	M	7%	12%	6%	9%	5%	11%	0%	0%	0%	0%	1%	3%		
MNR	F	7%	10%	5%	6%	3%	5%	0%	1%	0%	0%	1%	2%	20%	10%
	M	6%	9%	5%	8%	4%	9%	0%	0%	0%	0%	1%	3%		
NYCT	F	6%	15%	4%	15%	4%	15%	0%	0%	0%	0%	0%	2%	18%	8%
	M	7%	14%	5%	5%	8%	19%	0%	0%	0%	0%	1%	2%		

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

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



MTA-Wide Underutilization Analysis as of March 31, 2019

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%	0%	1%	2%	4%
	M	16%	10%	16%	21%	3%	4%	0%	0%	0%	0%	0%	1%		
BUS	F	5%	6%	10%	13%	0%	0%	0%	0%	0%	0%	0%	0%	35%	44%
	M	0%	0%	0%	0%	5%	6%	0%	0%	0%	0%	5%	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%	5%	0%	0%	0%	1%	1%	0%		
LIRR	F	3%	7%	3%	0%	2%	0%	0%	0%	0%	0%	0%	0%	6%	0%
	M	10%	7%	9%	14%	8%	7%	0%	7%	0%	0%	0%	7%		
MNR	F	2%	5%	1%	1%	1%	0%	0%	0%	0%	0%	0%	1%	3%	3%
	M	14%	17%	9%	8%	2%	6%	1%	0%	0%	0%	3%	5%		
NYCT	F	4%	21%	3%	4%	3%	1%	0%	0%	0%	0%	0%	1%	13%	6%
	M	10%	21%	6%	6%	9%	13%	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 March 31, 2019

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	0%	0%	13%	20%	0%	0%	0%	0%	0%	0%	0%	0%	13%	20%
	M	40%	40%	0%	0%	0%	0%	0%	0%	0%	0%	13%	20%		
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%	3%	2%	4%	0%	0%	0%	0%	0%	0%	0%	1%	7%	7%
	M	7%	10%	8%	16%	2%	4%	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%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
NYCT	F	9%	15%	3%	3%	1%	0%	0%	0%	0%	0%	0%	1%	3%	2%
	M	27%	35%	15%	18%	4%	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 March 31, 2019

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%	12%	12%	8%	4%	4%	0%	0%	0%	0%	1%	0%	41%	28%
	M	2%	8%	2%	0%	1%	4%	0%	0%	0%	0%	0%	4%		
NYCT	F	10%	32%	10%	17%	4%	7%	0%	0%	0%	0%	1%	5%	31%	3%
	M	4%	20%	3%	5%	2%	3%	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 March 31, 2019

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	13%	62%	10%	12%	4%	4%	0%	0%	0%	0%	1%	0%	13%	4%
	M	5%	4%	4%	0%	2%	4%	0%	0%	0%	0%	1%	0%		
BUS	F	13%	17%	9%	9%	2%	2%	0%	0%	0%	0%	2%	3%	14%	6%
	M	11%	17%	4%	3%	6%	10%	1%	0%	0%	0%	5%	8%		
CCC	F	12%	10%	12%	30%	3%	0%	0%	0%	0%	0%	1%	10%	26%	0%
	M	1%	20%	1%	20%	1%	0%	0%	0%	0%	0%	0%	0%		
HQ	F	11%	36%	11%	9%	4%	4%	0%	0%	0%	0%	1%	6%	41%	19%
	M	2%	9%	2%	6%	1%	4%	0%	0%	0%	0%	0%	0%		
LIRR	F	14%	21%	8%	7%	3%	2%	0%	0%	0%	0%	1%	2%	20%	20%
	M	6%	10%	4%	5%	2%	1%	0%	0%	0%	0%	1%	2%		
MNR	F	10%	21%	6%	7%	2%	1%	0%	0%	0%	0%	1%	2%	15%	10%
	M	11%	14%	7%	8%	2%	1%	0%	0%	0%	0%	2%	3%		
NYCT	F	14%	31%	15%	6%	6%	3%	0%	0%	0%	0%	0%	1%	17%	3%
	M	7%	23%	9%	9%	4%	16%	0%	0%	0%	0%	0%	1%		

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

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



MTA-Wide Underutilization Analysis as of March 31, 2019

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 %
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	23%	33%	13%	15%	9%	11%	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	13%	13%	10%	11%	4%	3%	0%	0%	1%	0%	3%	3%		
MNR	F	1%	1%	1%	0%	0%	0%	0%	0%	0%	0%	0%	0%	2%	0%
	M	13%	17%	10%	10%	2%	2%	0%	1%	0%	0%	2%	3%		
NYCT	F	6%	4%	3%	1%	2%	0%	0%	0%	0%	0%	0%	0%	8%	0%
	M	16%	33%	12%	12%	7%	15%	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 March 31, 2019

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	4%	20%	24%	14%	3%	4%	0%	1%	0%	0%	1%	4%		
BUS	F	7%	8%	5%	3%	0%	0%	0%	0%	0%	0%	0%	0%	6%	1%
	M	26%	43%	16%	20%	4%	7%	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	7%	7%	5%	3%	1%	0%	0%	0%	0%	0%	0%	1%	6%	6%
	M	12%	19%	15%	12%	2%	2%	0%	0%	0%	0%	2%	3%		
MNR	F	4%	6%	6%	2%	1%	0%	0%	0%	0%	0%	0%	1%	4%	6%
	M	15%	17%	21%	10%	2%	2%	0%	0%	0%	0%	1%	3%		
NYCT	F	5%	15%	8%	4%	2%	0%	0%	0%	0%	0%	0%	0%	6%	1%
	M	14%	41%	23%	18%	4%	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.



Metropolitan Transportation Authority Department of Diversity and Civil Rights

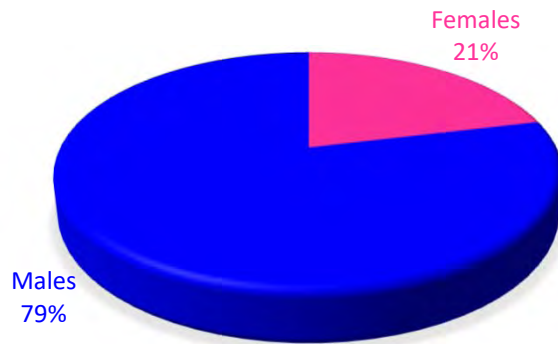
MTA-Wide New Hires and Veterans
First Quarter 2019

June 24, 2019

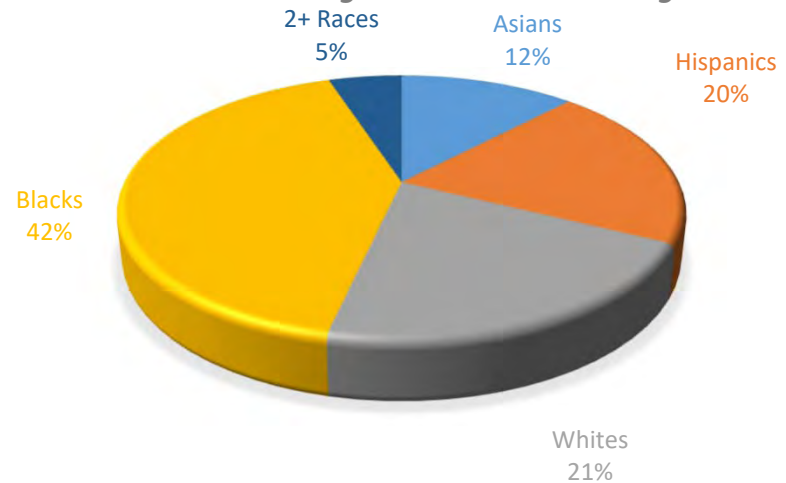


MTA-Wide New Hires January 1, 2019 to March 31, 2019

New Hires By Gender



New Hires By Race/Ethnicity



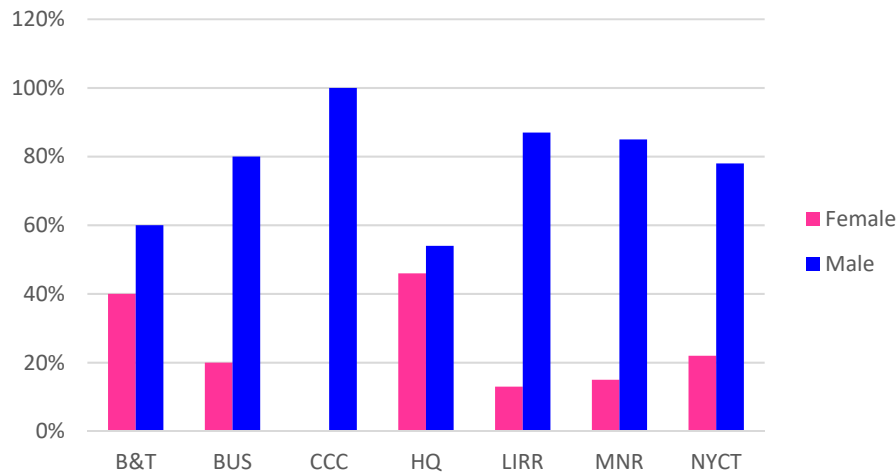
MTA hired **1,074** employees, including **36** Veterans: **21%** of new hires were Females and Minorities comprised **79%**.

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

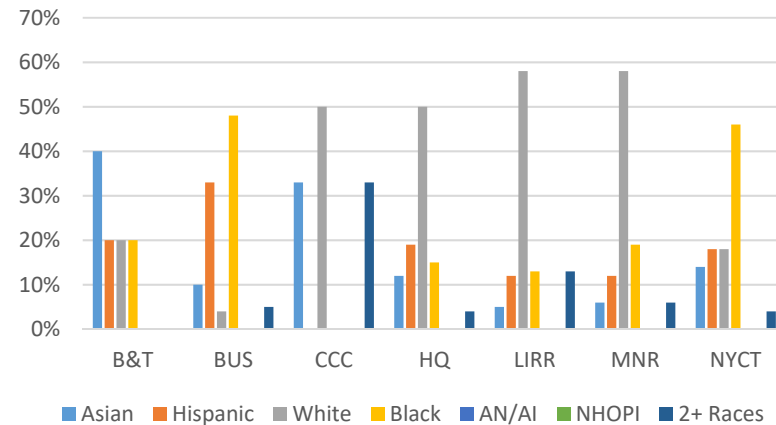


New Hires By Agency January 1, 2019 to March 31, 2019

MTA Agencies New Hires By Gender



MTA Agencies New Hires By Race/Ethnicity



Agency	New Hires	Females	Minorities
B&T	5	40%	80%
BUS	206	20%	96%
CCC	3	0%	67%
HQ	26	46%	50%
LIRR	86	13%	42%
MNR	52	15%	42%
NYCT	696	22%	82%



Metropolitan Transportation Authority Department of Diversity and Civil Rights

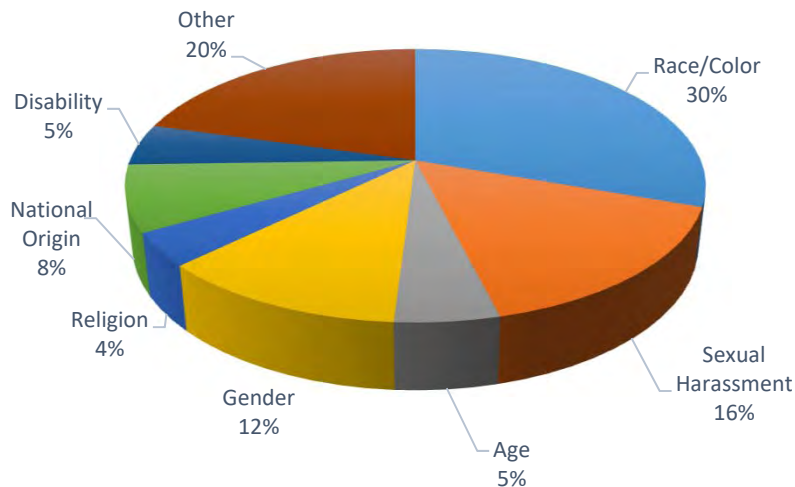
MTA-Wide Complaints and Lawsuits First Quarter 2019



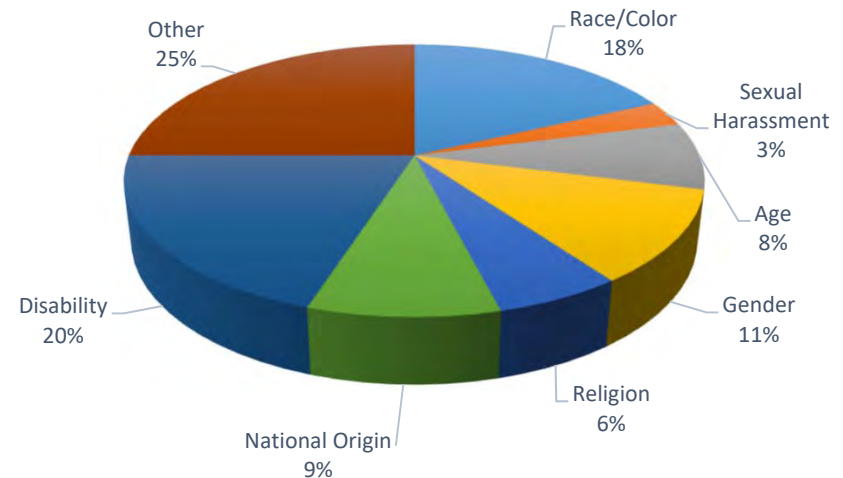
June 24, 2019

MTA-Wide EEO Internal/External Discrimination Complaints by Bases January 1, 2019 to March 31, 2019

Internal EEO Complaints by Bases



External EEO Complaints by Bases



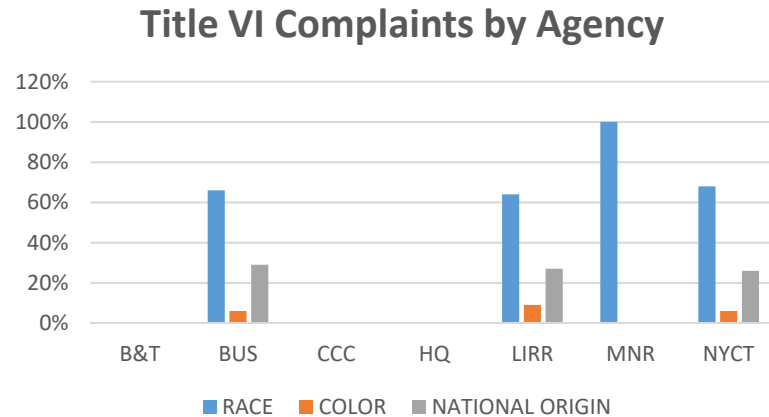
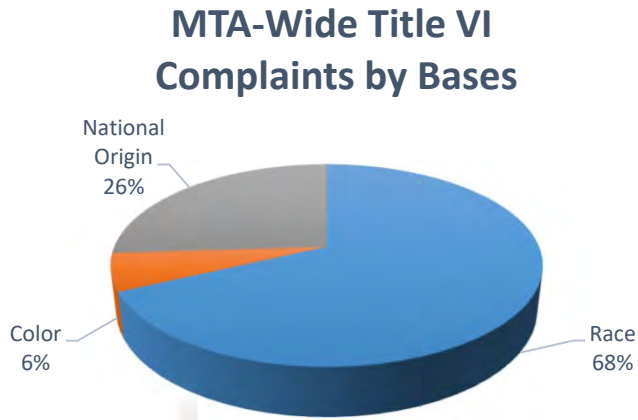
MTA handled **295** EEO complaints, citing **578** separate bases, and **87** lawsuits.

- ❑ **179** filed internal complaints.
- ❑ **116** filed external complaints.
- ❑ The most frequently cited bases internally and externally combined was race/color.

Note: Complaints can be filed alleging multiple bases.



MTA-Wide Title VI Complaints by Bases and Lawsuits January 1, 2019 to March 31, 2019



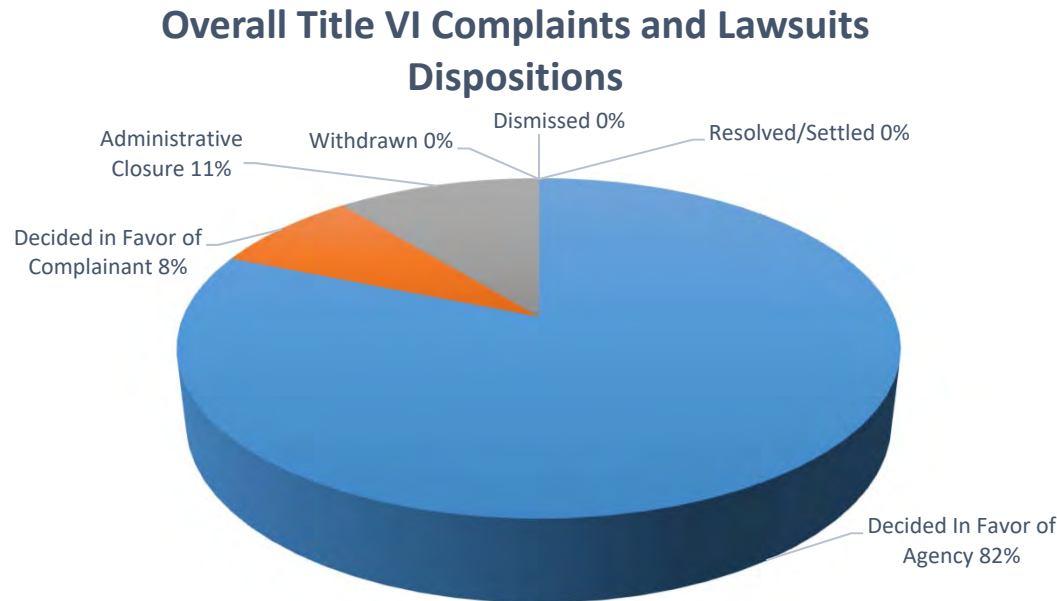
MTA handled a total of **213** Title VI complaints with **231** bases and **0** Title VI lawsuits.

Agency	Complaints	Bases	Race	Color	National Origin
BUS	64	70	66%	6%	28%
LIRR	8	11	64%	9%	27%
MNR	5	5	100%	0%	0%
NYCT	136	145	68%	6%	26%

Note: Complaints can be filed alleging multiple bases.



MTA-Wide Title VI Complaints and Lawsuits Dispositions January 1, 2019 to March 31, 2019



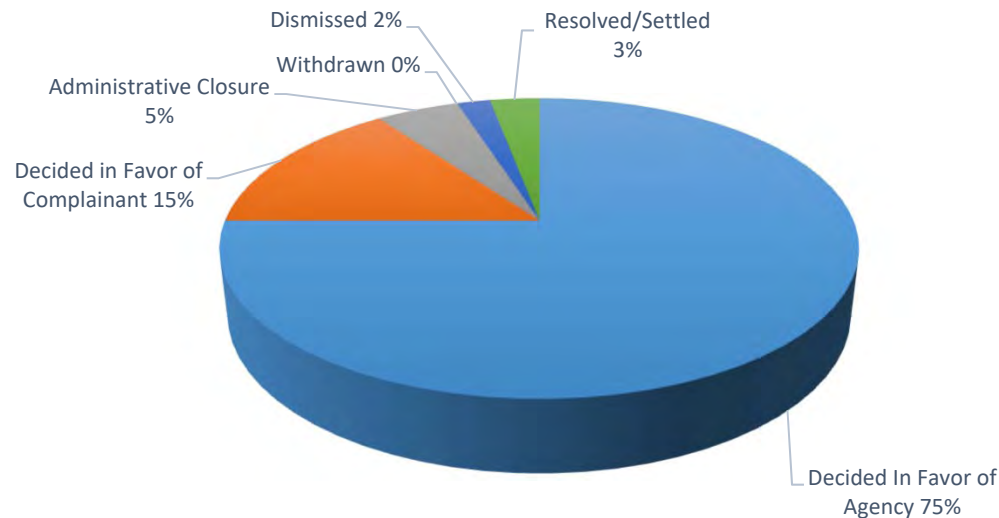
MTA disposed of **38** Title VI complaints and **0** Title VI lawsuits

- ❑ **82%** complaints decided in favor of the agency.
- ❑ **8%** complaints decided in favor of the complainant.
- ❑ **11%** complaints were administrative closures.
- ❑ **0%** complaints were dismissed.
- ❑ **0%** complaints were resolved/settled.



MTA-Wide EEO Complaints and Lawsuits Dispositions January 1, 2019 to March 31, 2019

Overall EEO Complaints and Lawsuits Dispositions



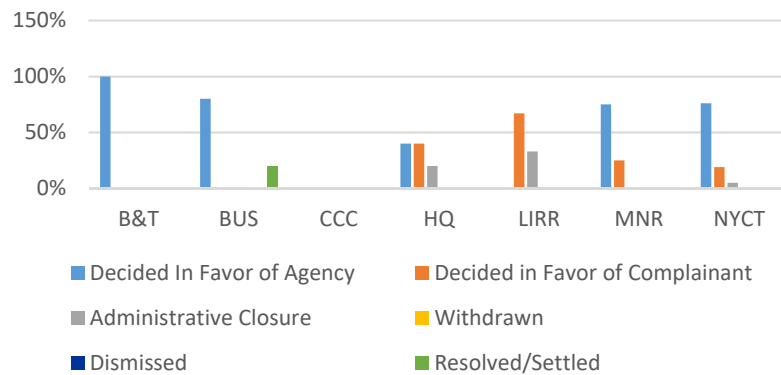
MTA disposed **54** EEO complaints and **5** EEO lawsuits.

- ❑ **75%** complaints/lawsuits decided in favor of the agency.
- ❑ **15%** complaints /lawsuits decided in favor of the complainant.
- ❑ **5%** complaints/lawsuits were administrative closures.
- ❑ **0%** complaints/lawsuits were withdrawn.
- ❑ **2%** complaints/lawsuits were dismissed.
- ❑ **3%** complaints/lawsuits were resolved/settled.

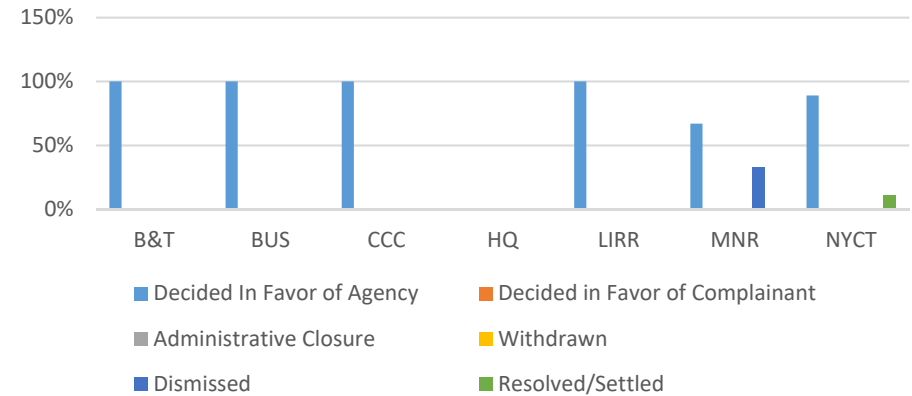


MTA-Wide Internal/External EEO Complaints and Lawsuits Dispositions January 1, 2019 to March 31, 2019

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

June 24, 2019



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.



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



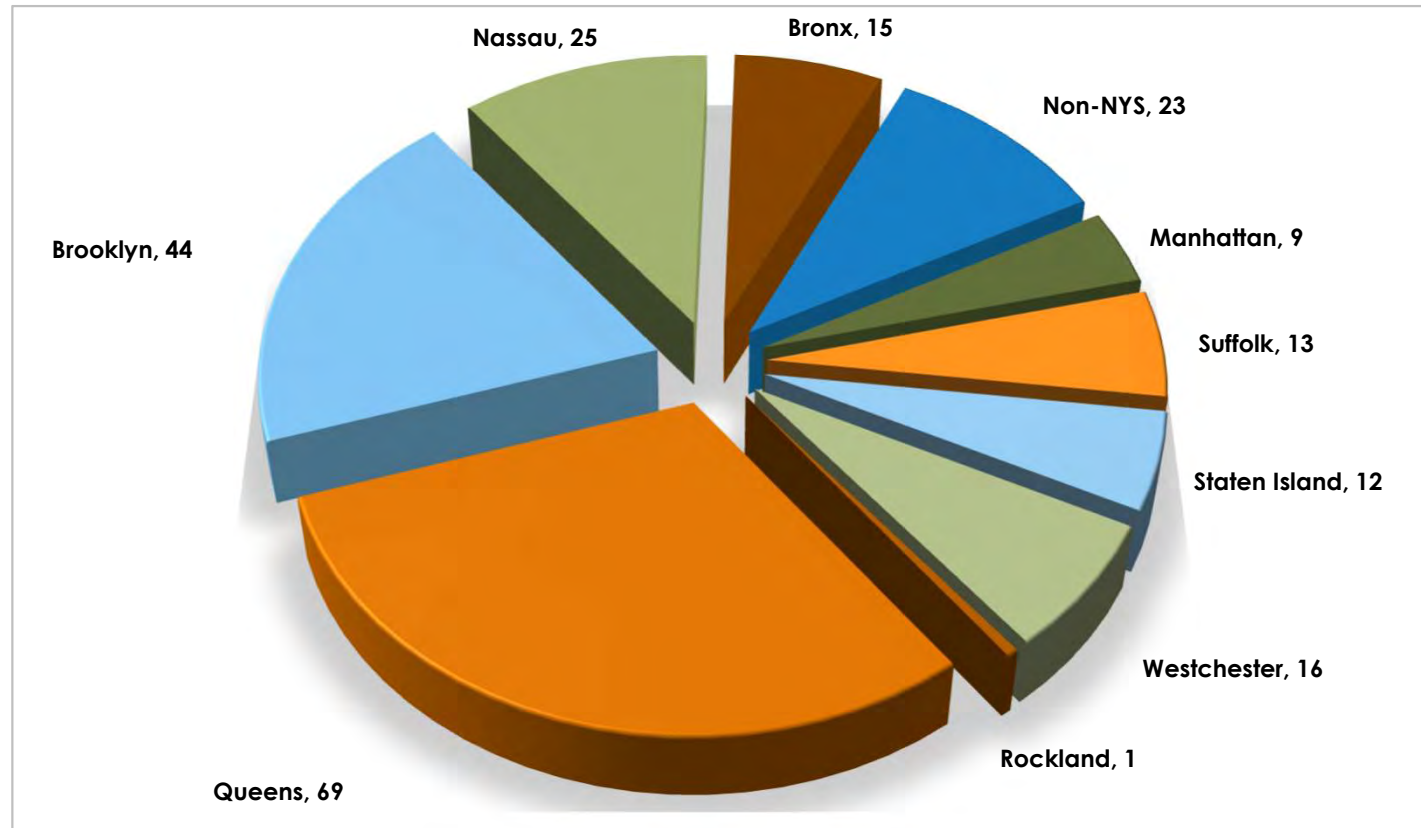
SBDP Represents NY Metro Region

Small Business Mentoring Program All Tiers

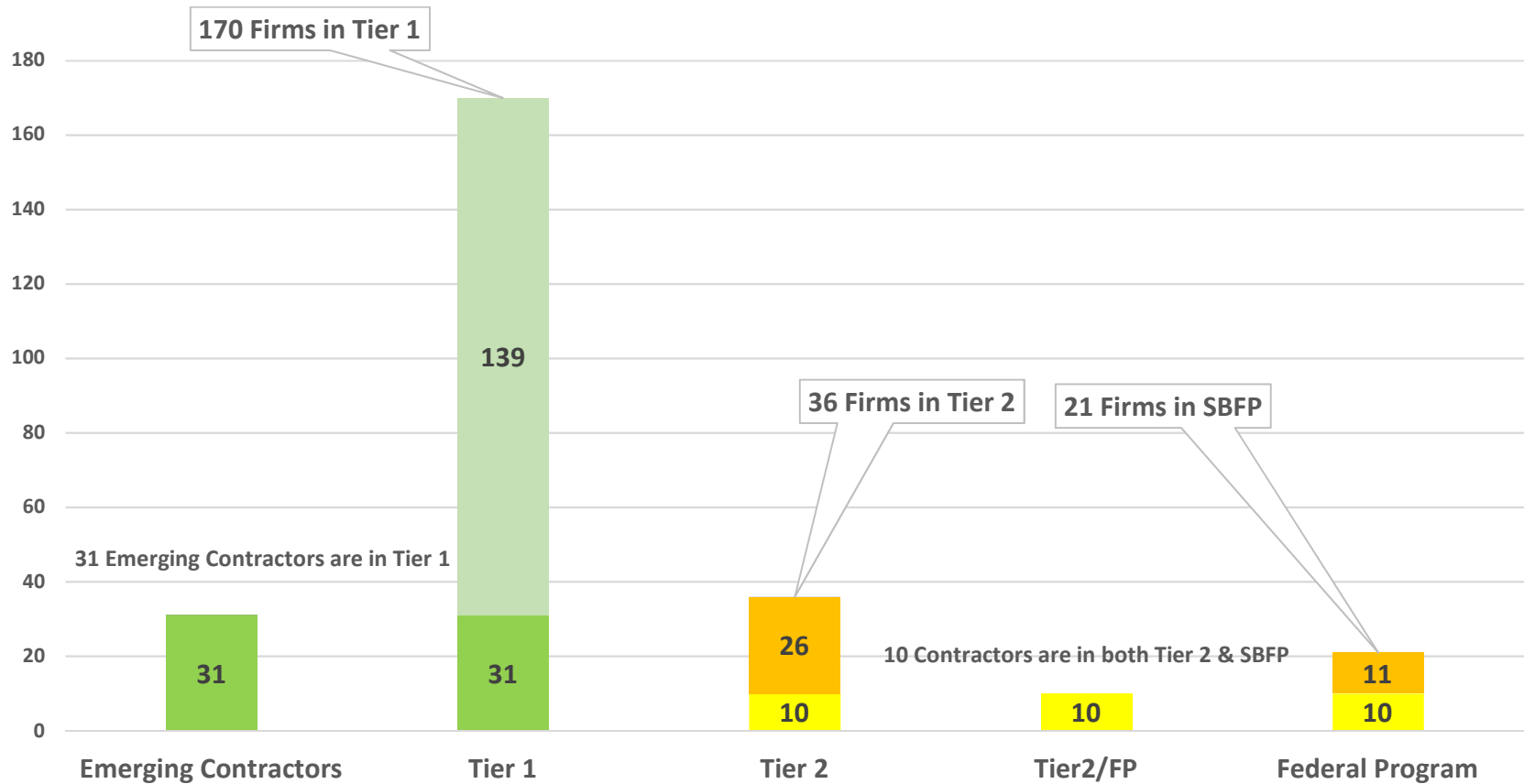
Certification *	
MBE	147
WBE	36
DBE	47
SDVOB	7
Non-Certified	61

** firms may have multiple certifications*

227 Prequalified Firms (as of March 31, 2019)



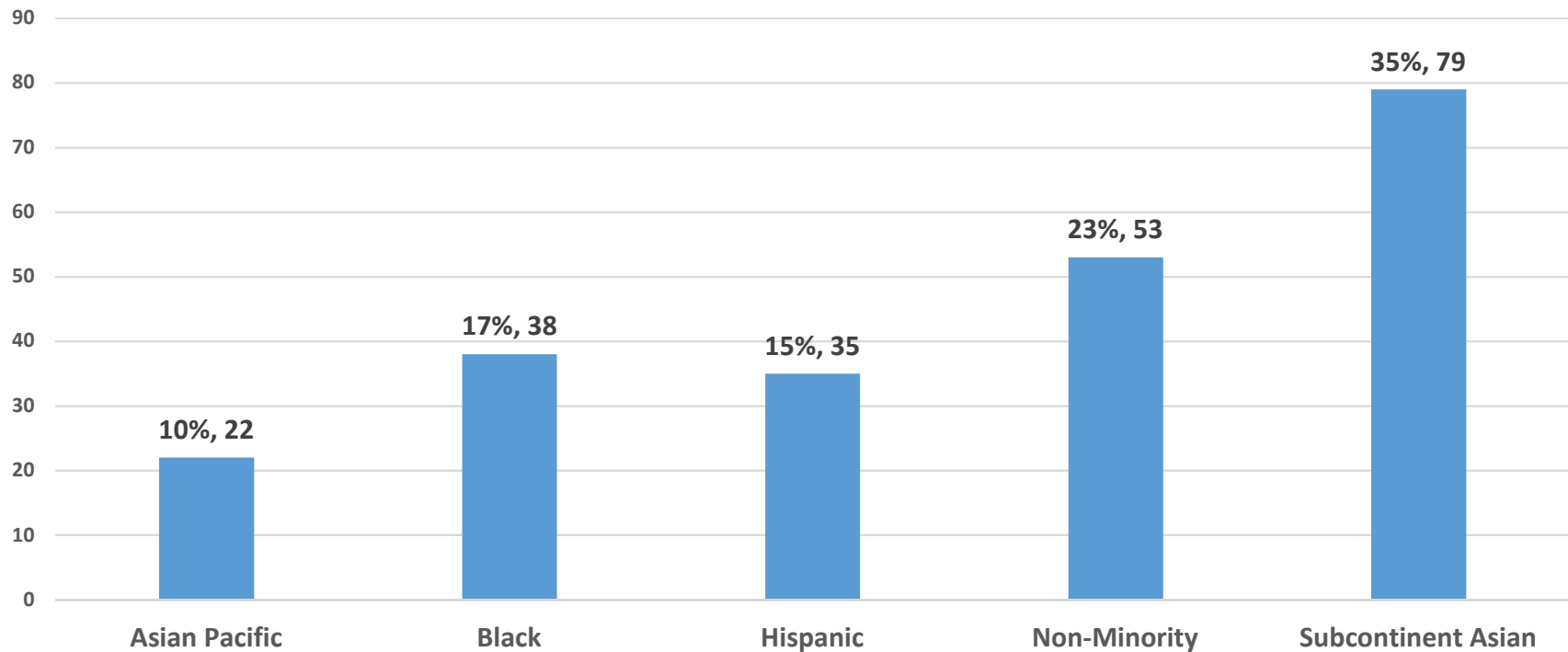
SBDP Tier Participants



as of March 31, 2019



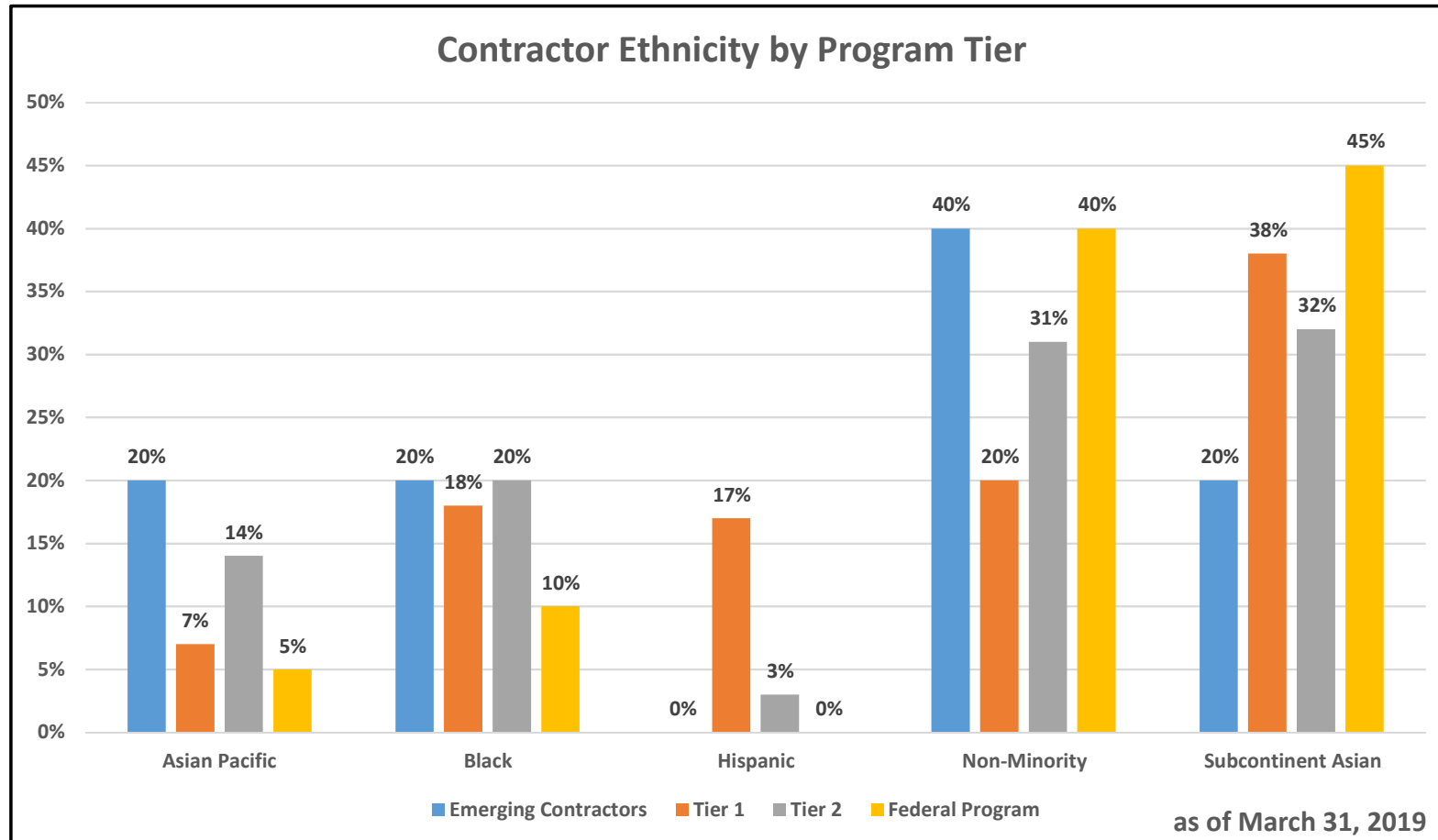
SBDP Participants are Diverse



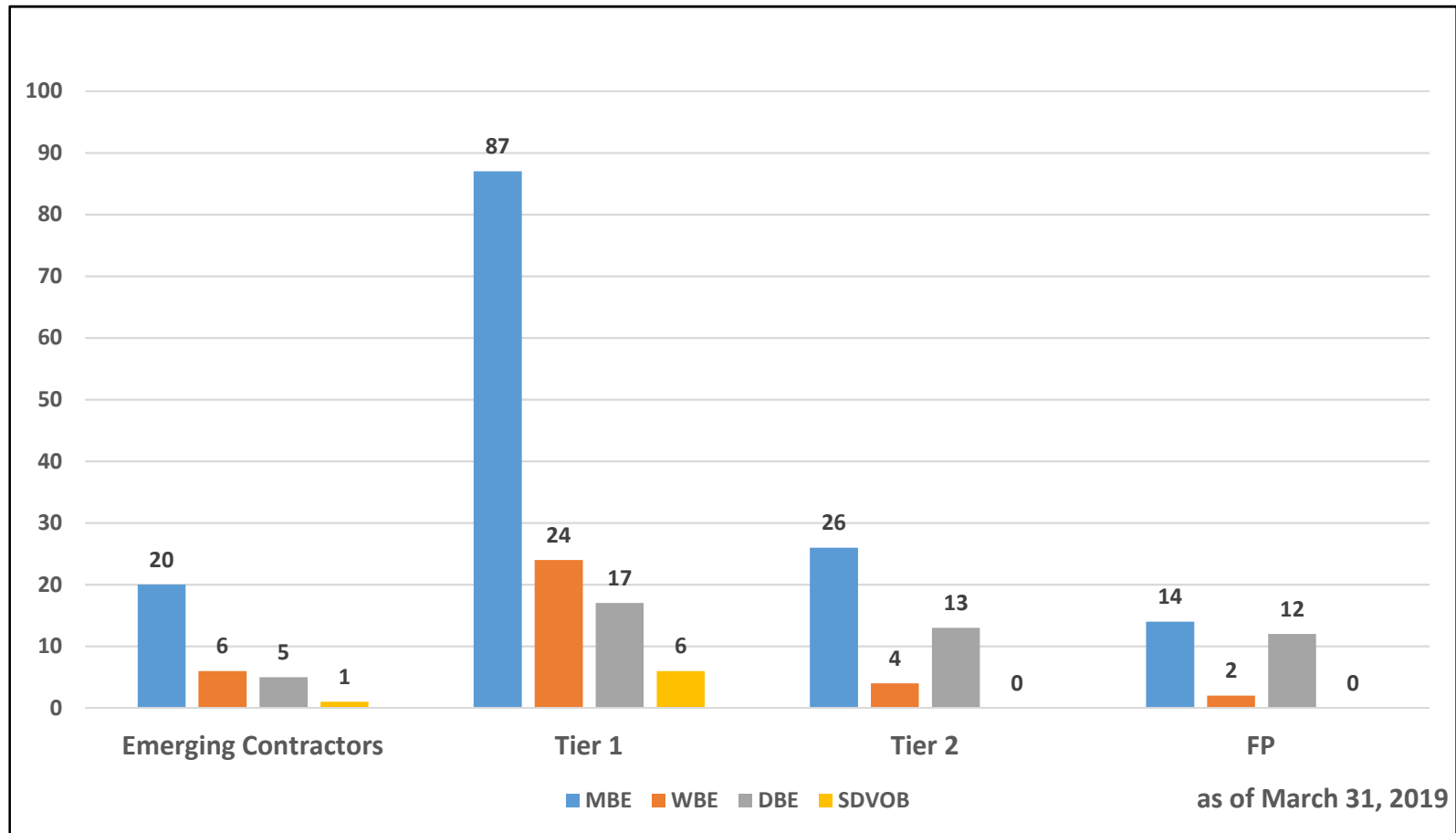
as of March 31, 2019



SBDP Tiers are also Diverse



SBDP Certifications

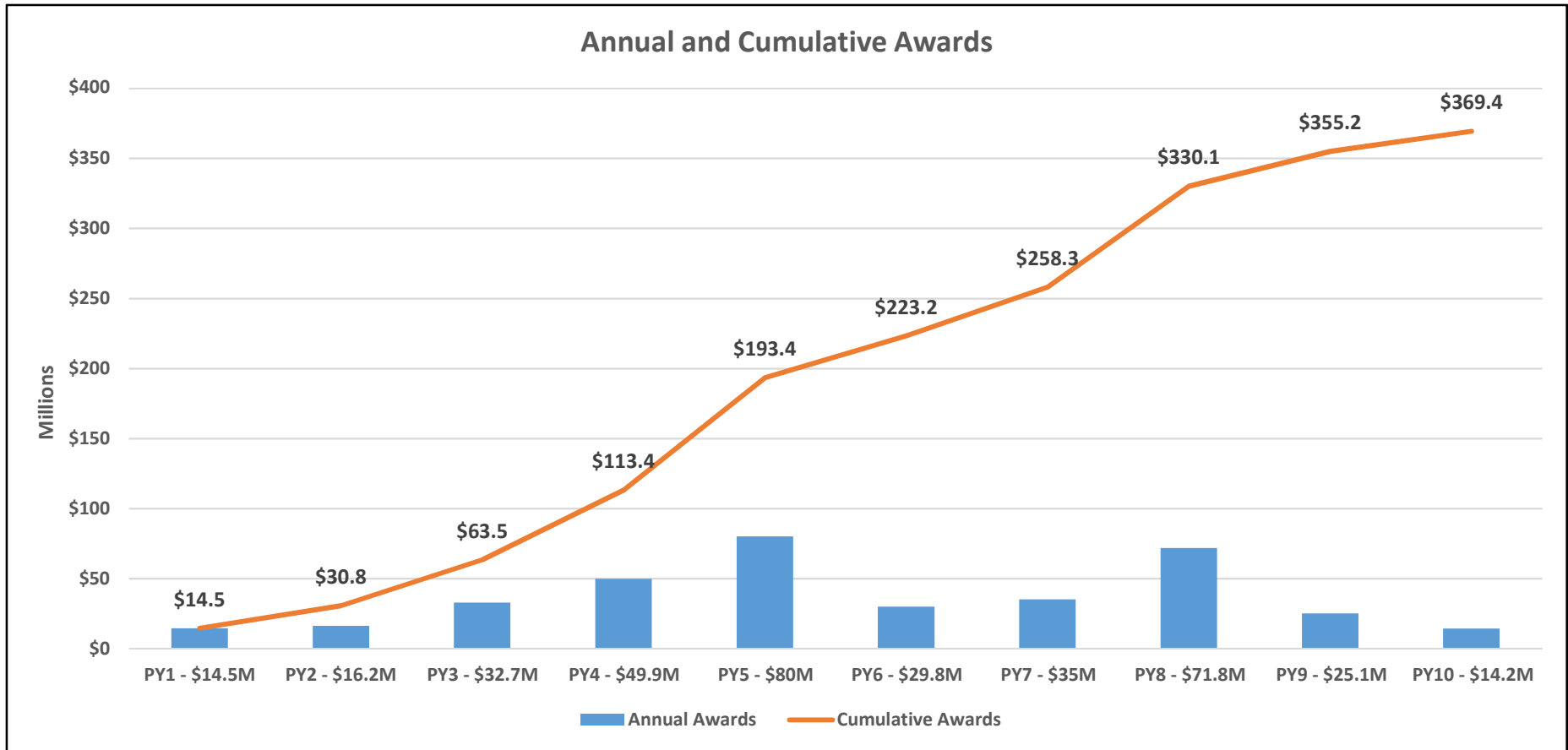


SBDP is Exceeding MWDBE Goals

- MTA MWBE SBMP Tier 1/Tier 2 Goal – **30%**
- MTA DBE Goal – **18%**
- MTA SDVOB Goal - **6%** (Initiated during Program Year 7)
- 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
- SDVOB Achievements
 - **10%** - contracts awarded to SDVOBs
 - **2%** - contract dollars awarded to SDVOBs



SBDP Prime Contract Opportunities

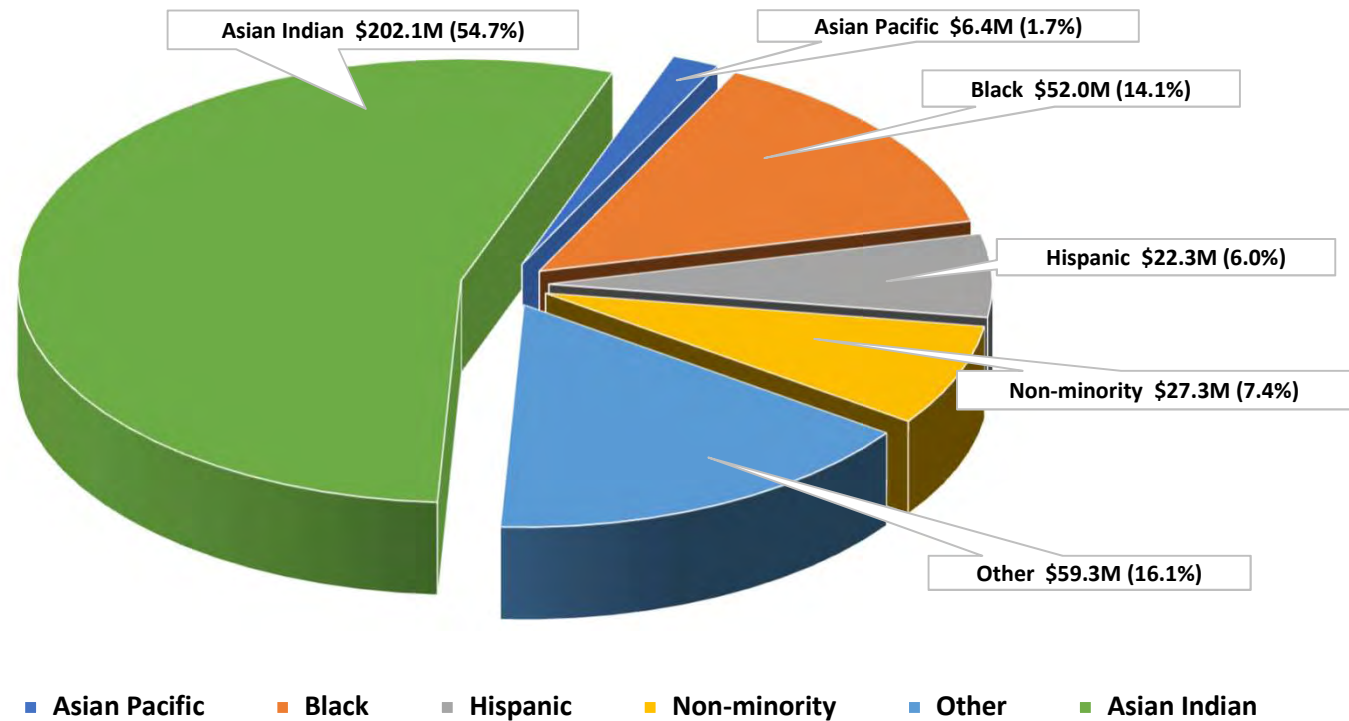


Program Year 1-10 awards through March 31, 2019

SBDP Contract Awards

Total SBDP Contract Awards by Ethnic/Gender Categories

Awards in Millions	
Ethnicity	Awards
Asian Pacific	\$6.4
Black	\$52.0
Hispanic	\$22.3
Non-minority	\$27.3
Other	\$59.3
Asian Indian	\$202.1
Grand Total	\$369.4



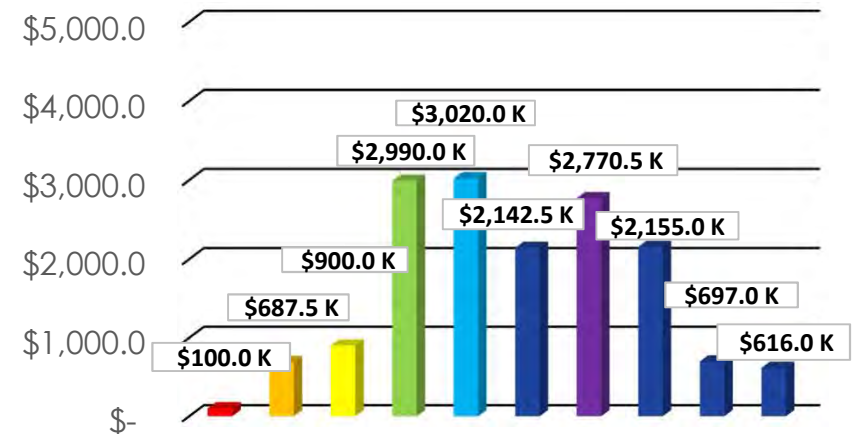
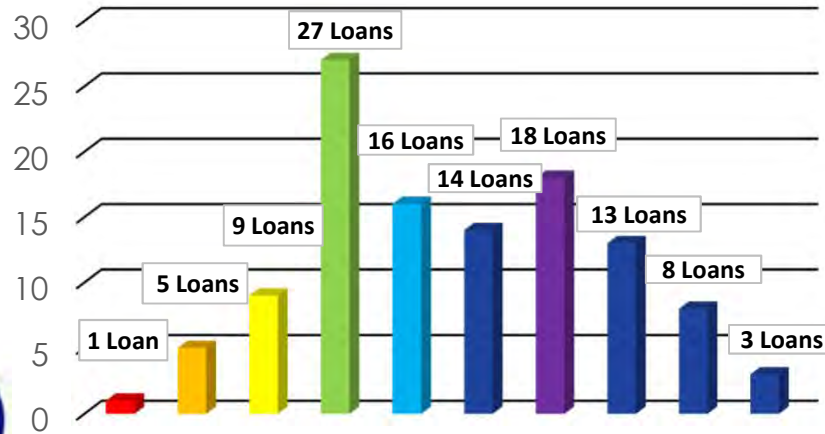
Contract Awards through March 31, 2019



SBDP Loan Program

 Year 1	1 Loan	totaling	\$ 100,000
 Year 2	5 Loans	totaling	\$ 687,500
 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	18 Loans	totaling	\$2,770,500
 Year 8	13 Loans	totaling	\$2,155,000
 Year 9	8 Loans	totaling	\$ 697,000
 Year 10	3 Loans	totaling	\$ 616,000
 Total	114 Loans	Totals	\$16,078,500

Maximum Loan Available:
 SBMP up to \$150,000
 SBFP up to \$900,000
 Loan values shown are
 through March 31, 2019



SBDP Awards

➤ PY'10 – PY'19	SBMP-Tier 1	Awards total \$161.3 Million
➤ PY'15 – PY'19	SBMP-Tier 2	Awards total \$114.1 Million
➤ PY'13 – PY'19	SBFP	Awards total \$94.0 Million



SBDP Facilitates Bonding and Growth

- **Tier 2** and **Federal Program** contractors currently carry **\$193.0M** in single and **\$368.5M** in aggregate bonding capacities collectively. The SBMP Bond Assistance Program yielded \$36.0M single and \$53.0 aggregate.
- **919** bid opportunities in the Tier 2 and Federal Programs
- **113** 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 the Tier 2 and the Federal Program



TRAINING IS INTEGRAL TO SUCCESS

- Over **190** classroom training dates completed from July 2010 through March 2019
- Over **1,600** hours of classroom training provided from July 2010 through March 2019
- All prequalified contractors complete a mandatory 13-session training program
- 35 course attendees in the previous training sessions
 - assisting them through the application and pre-qualification process
- Supplementary training opportunities in 2018
 - Leadership Institute – **10 courses** to supplement mandatory training curriculum
 - Industry leaders presenting important topics including DBE Fraud, Marketing, PLAs, Strategic Business Development, 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 In
 - 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
- **301** In-Person Assessments Completed
- **295** 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, MTA BUS, and 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

- **Six (6) Tier 1** contractors graduated in **2018**
- **Six (6)** additional **Tier 1** contractors exceeded revenue thresholds in **2018**
- **Six (6) Tier 2 / SBFP** contractors graduated in **2018**
- **Two (2) SBFP** contractors exceeded revenue thresholds in **2018**
- 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 and SDVOB Contract Compliance First Quarter 2019 Report



June 24, 2019

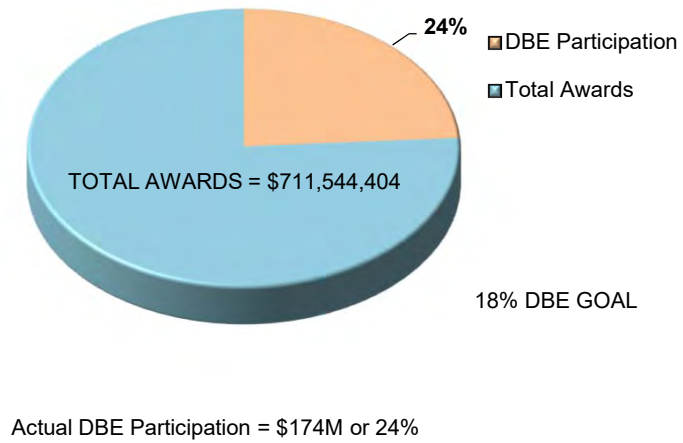
**DBE Participation in Federally Funded Contracts
Federal Fiscal Year 2019*
(Reporting Period: October 1, 2018 to March 31, 2019)**

- 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 2019, MTA’s DBE goal is 18%.
- During the first half of FFY 2019, MTA awarded \$712 billion in the federally funded portion of contracts, with \$174 million (24%) being awarded to certified DBEs.
- During the first half of FFY 2019, MTA paid prime contractors \$586 million, with payments to certified DBEs totaling \$132 million (23%).
- On contracts closed during the first half of FFY 2019, MTA achieved 16% DBE participation.

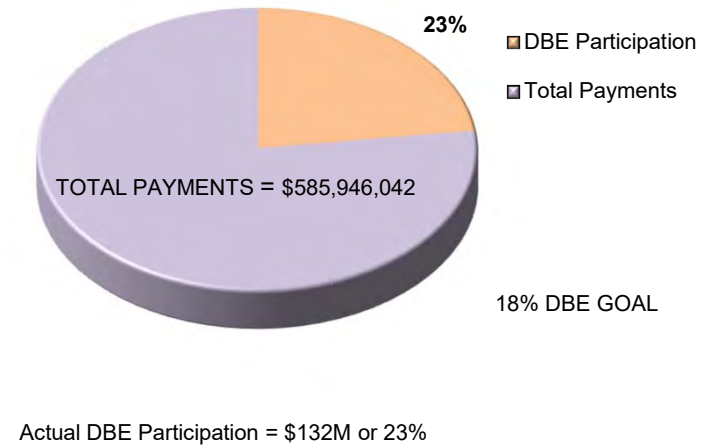
*First half of the Federal Fiscal Year 2019.

FEDERALLY-FUNDED CONTRACTS
DBE CONTRACT ACTIVITY
FEDERAL FISCAL YEAR 2019 (OCTOBER 2018-MARCH 2019)*

DBE AWARD PARTICIPATION

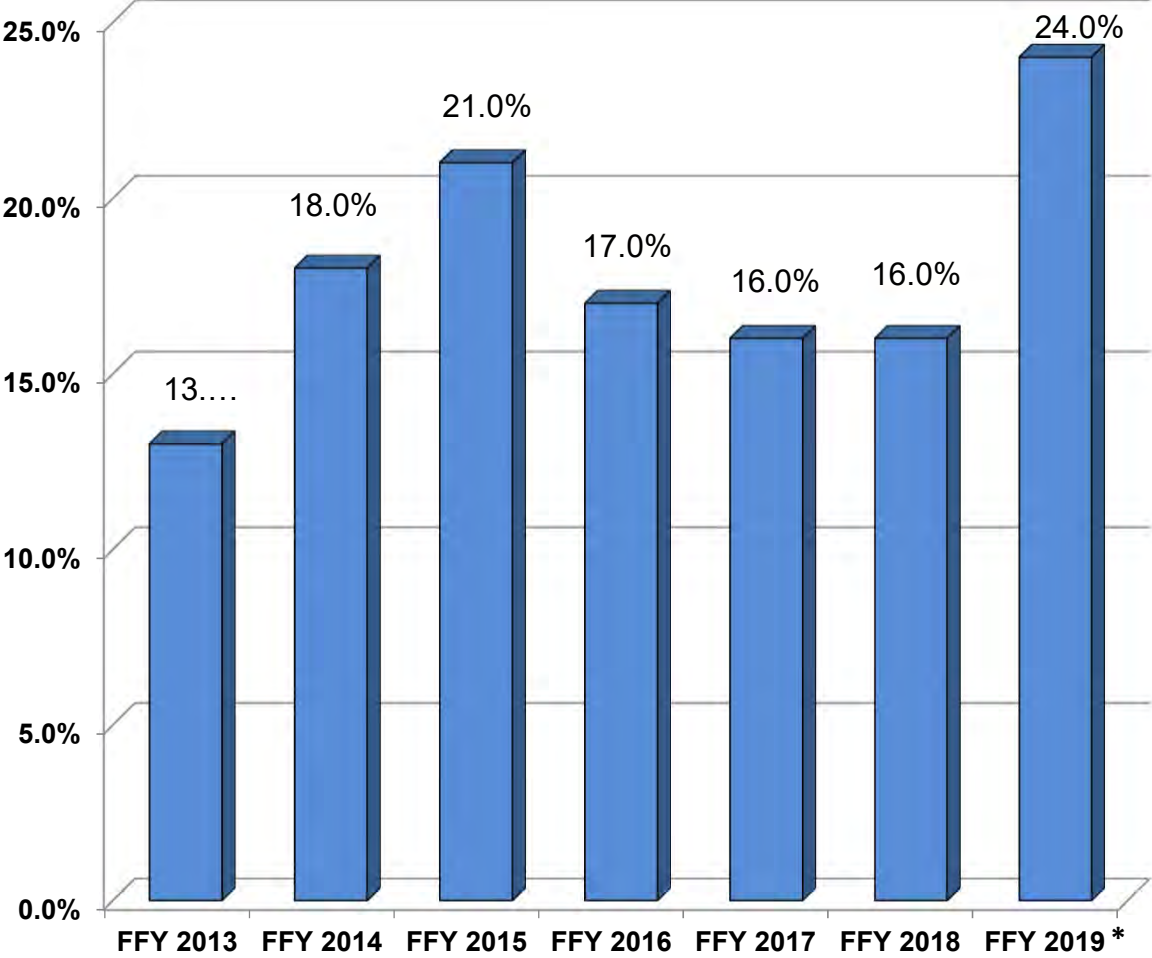


DBE PAYMENT PARTICIPATION



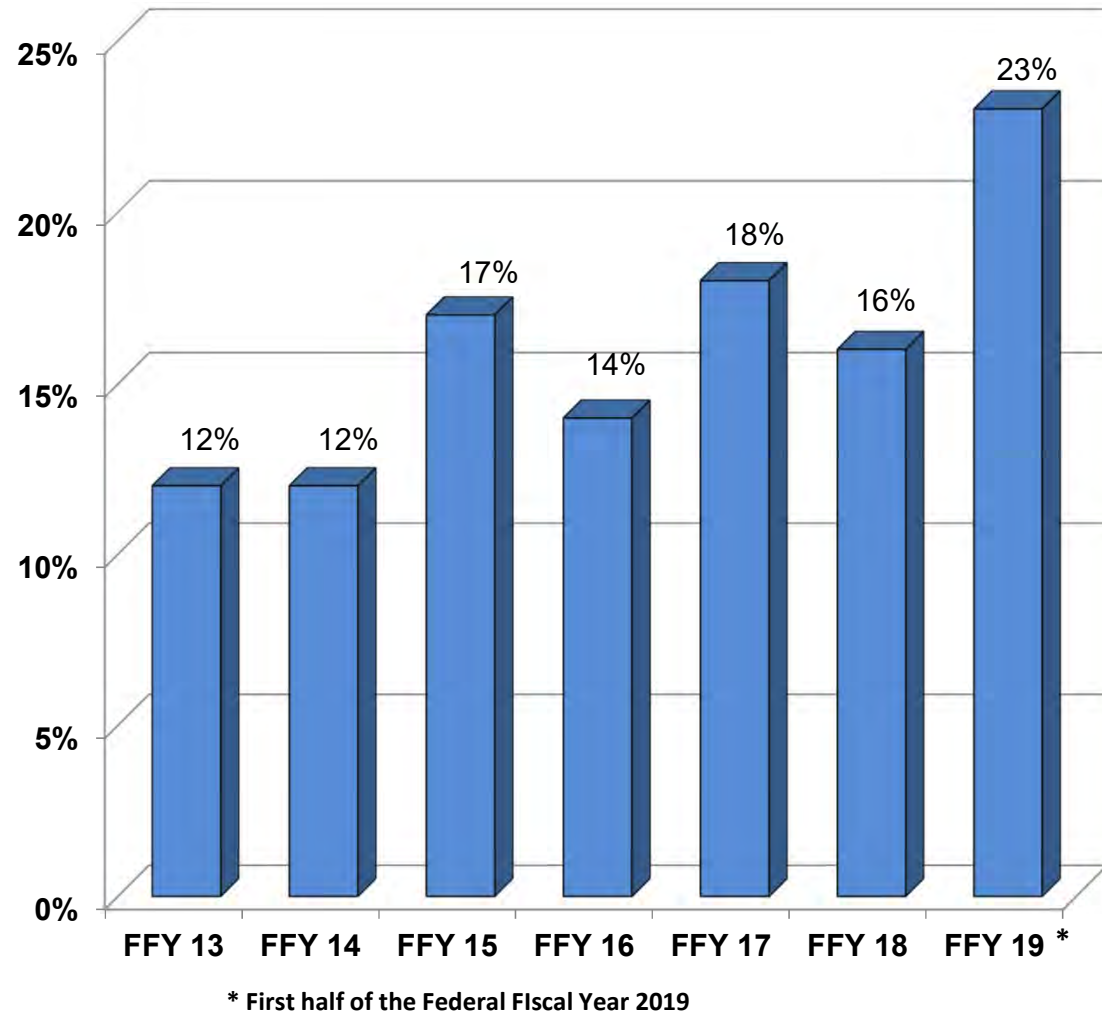
*First half of the Federal Fiscal Year 2019

DBE CONTRACT AWARDS
October 2013 - March 2019



* First half of the Federal Fiscal Year 2019

DBE CONTRACT PAYMENTS October 2013 - March 2019



**FEDERALLY-FUNDED CONTRACTS
DBE CONTRACT ACTIVITY
FEDERAL FISCAL YEAR 2019 (OCTOBER 2018-MARCH 2019)**

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	373	\$711,544,404	175	\$174,150,552	24%	18%
October 2018- March 2019						
TOTAL**	373***	\$711,544,404	175	\$174,150,552	24%	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	657	\$585,946,042	236	\$131,912,566	23%	18%
October 2018- March 2019						
TOTAL	657	\$585,946,042	236	\$131,912,566	23%	18%

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

** Upon further review, these figures were revised from what was reported in December 2018

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

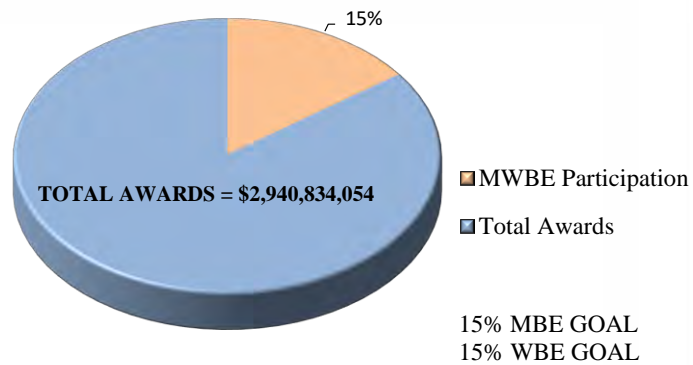
MWBE Participation in State Funded Contracts New York State Fiscal Year 2018-2019*

- 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 March 31, 2019, MTA awarded \$2.9 billion in New York State funded contracts, with \$446 million (15%) awarded to certified MWBEs.
- From April 1, 2018 to March 31, 2019, MTA paid \$2.9 billion on prime contracts with \$791 million (27%), paid to MWBEs.

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

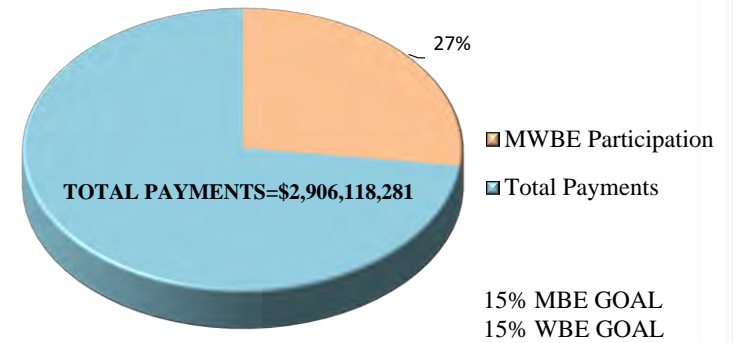
**MWBE CONTRACT ACTIVITY
NEW YORK STATE FISCAL YEAR 2018-2019 (APRIL 2018-MARCH 2019)**

MWBE AWARD PARTICIPATION



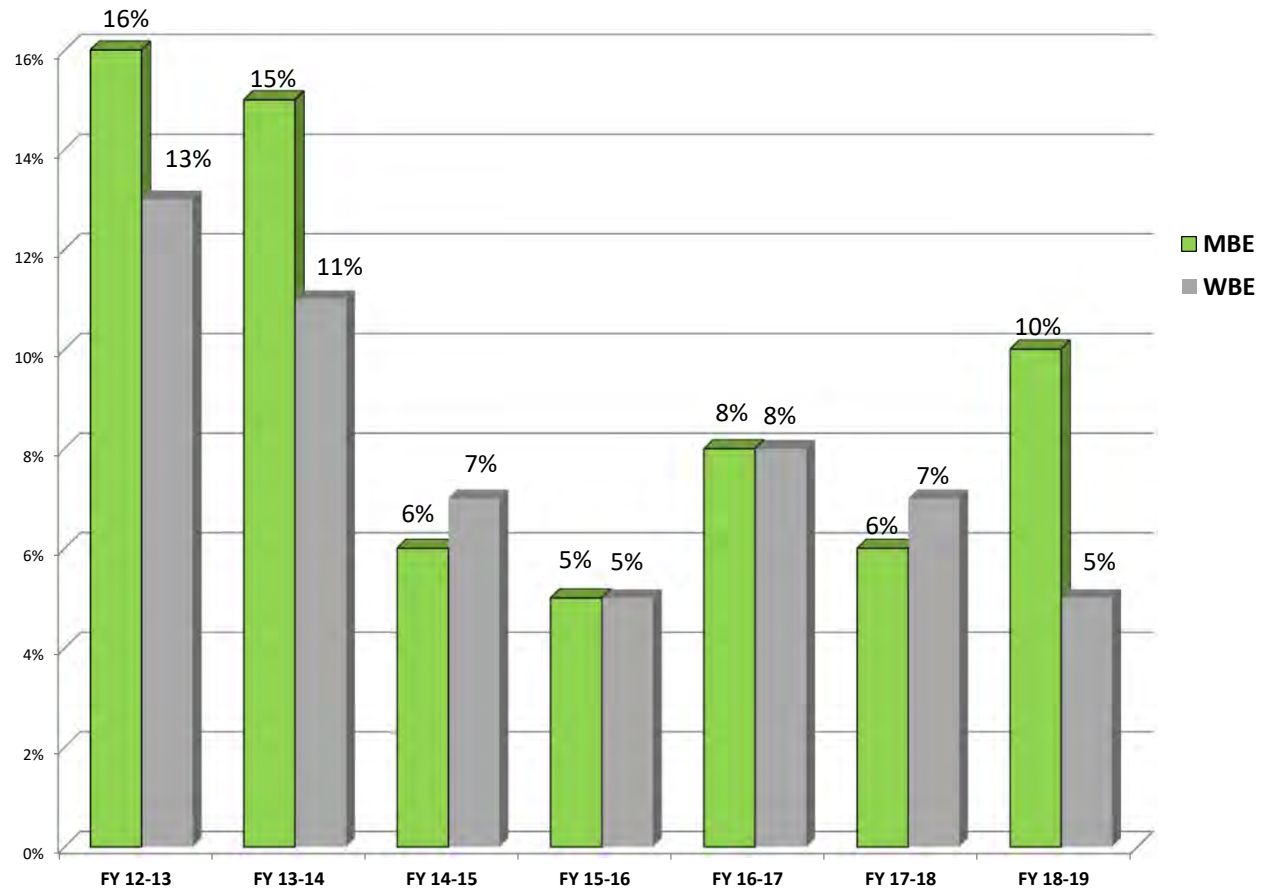
Actual MWBE Participation = \$446M or 15%

MWBE PAYMENT PARTICIPATION

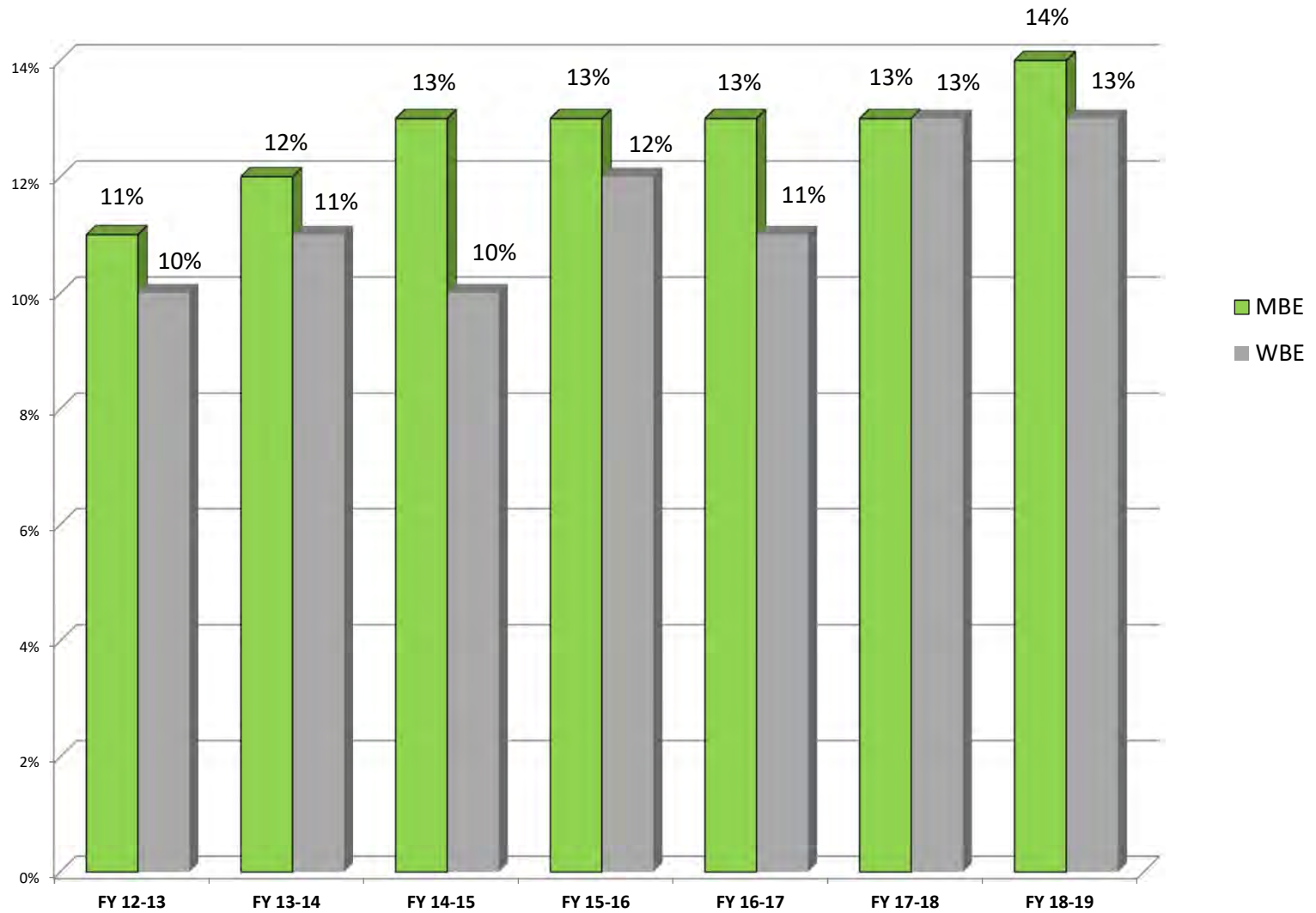


Actual MWBE Participation = \$791M or 27%

**NYS MWBE AWARDS
APRIL 2012 - MARCH 2019**



**NYS MWBE PAYMENTS
APRIL 2012- MARCH 2019**



**NYS CONTRACTS
MWBE CONTRACT ACTIVITY
APRIL 1, 2018 - MARCH 31, 2019**

AWARDS

CONTRACT AWARDS	PRIME AWARDS		MWBE AWARDS			NYS Goal
	Number of Contracts	Award Amount	Number of MWBE Subcontracts	MWBE Award Amount	MWBE %	
FIRST QUARTER APRIL 2018-JUNE 2018	18,011	\$494,398,447	1,844	\$75,114,990	15%	30%
SECOND QUARTER JULY 2018-SEPT 2018	18,144	\$662,681,117	1,689	\$96,147,233	15%	30%
THIRD QUARTER OCT 2018-DEC 2018	18,370	\$1,054,975,440	1,570	\$185,575,138	17%	30%
FOURTH QUARTER JAN 2019-MARCH 2019	19,846	\$728,779,051	1,556	\$89,063,587	12%	30%
TOTAL	74,371	\$2,940,834,054	6,659	\$445,900,948	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 APRIL 2018-JUNE 2018	25,819	\$702,395,183	4,255	\$169,192,150	24%	30%
SECOND QUARTER JULY 2018-SEPT 2018	16,191	\$697,103,580	4,477	\$194,646,729	28%	30%
THIRD QUARTER OCT 2018-DEC 2018	10,227	\$818,974,644	4,608	\$233,491,392	29%	30%
FOURTH QUARTER JAN 2019-MARCH 2019	9,423	\$687,644,874	4,451	\$193,443,125	28%	30%
TOTAL	61,660	\$2,906,118,281	17,791	\$790,773,396	27%	30%

**SDVOB Participation in State Funded Contracts
New York State Fiscal Year 2018-2019
(Reporting Period: April 1, 2018 to March 31, 2019)**

- 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 March 2019, MTA awarded approximately \$562 million with \$22 million (4%) awarded to SDVOBs.
- From April 2018 to March 2019, MTA paid over \$371 million on prime contracts with \$12 million (3%), paid to SDVOBs.

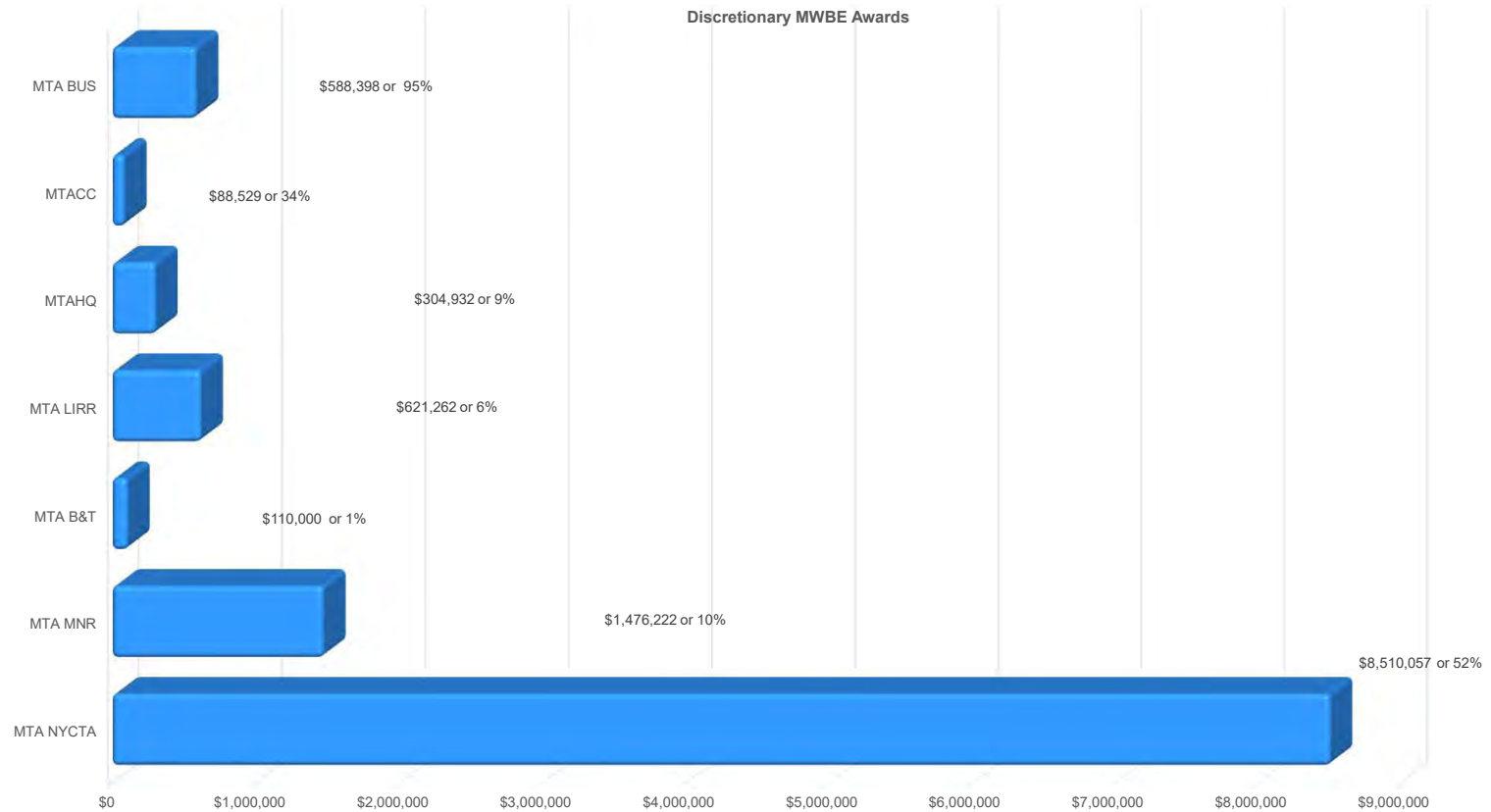
FY 2018-2019 SDVOB CONTRACT AWARDS
APRIL 2018 - MARCH 2019

	Agency Awards	SDVOB Awards	SDVOB%
FIRST QUARTER	\$47,486,772	\$3,768,843	8%
APRIL 2018-JUNE 2018			
SECOND QUARTER	\$46,715,159	\$2,417,930	5%
JULY 2018-SEPT. 2018			
THIRD QUARTER	\$345,291,345	\$10,515,022	3%
OCT. 2018-DEC. 2018			
FOURTH QUARTER	\$122,492,450	\$5,407,376	4%
JAN. 2019-MAR. 2019			
FY 2018-2019 TOTAL	\$561,985,725	\$22,109,171	4%

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

	Agency Disbursements	SDVOB Disbursements	SDVOB%
FIRST QUARTER	\$101,733,571	\$1,723,601	2%
APRIL 2018-JUNE 2018			
SECOND QUARTER	\$88,514,049	\$3,484,281	4%
JULY 2018-SEPT. 2018			
THIRD QUARTER	\$114,773,931	\$2,817,762	3%
OCT. 2018-DEC. 2018			
FOURTH QUARTER	\$65,897,288	\$3,811,771	6%
JAN. 2019-MAR. 2019			
FY 2018-2019 TOTAL	\$370,918,838	\$11,837,415	3%

MTA ALL AGENCY
DISCRETIONARY PROCUREMENTS REPORT*
JANUARY - MARCH 2019



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

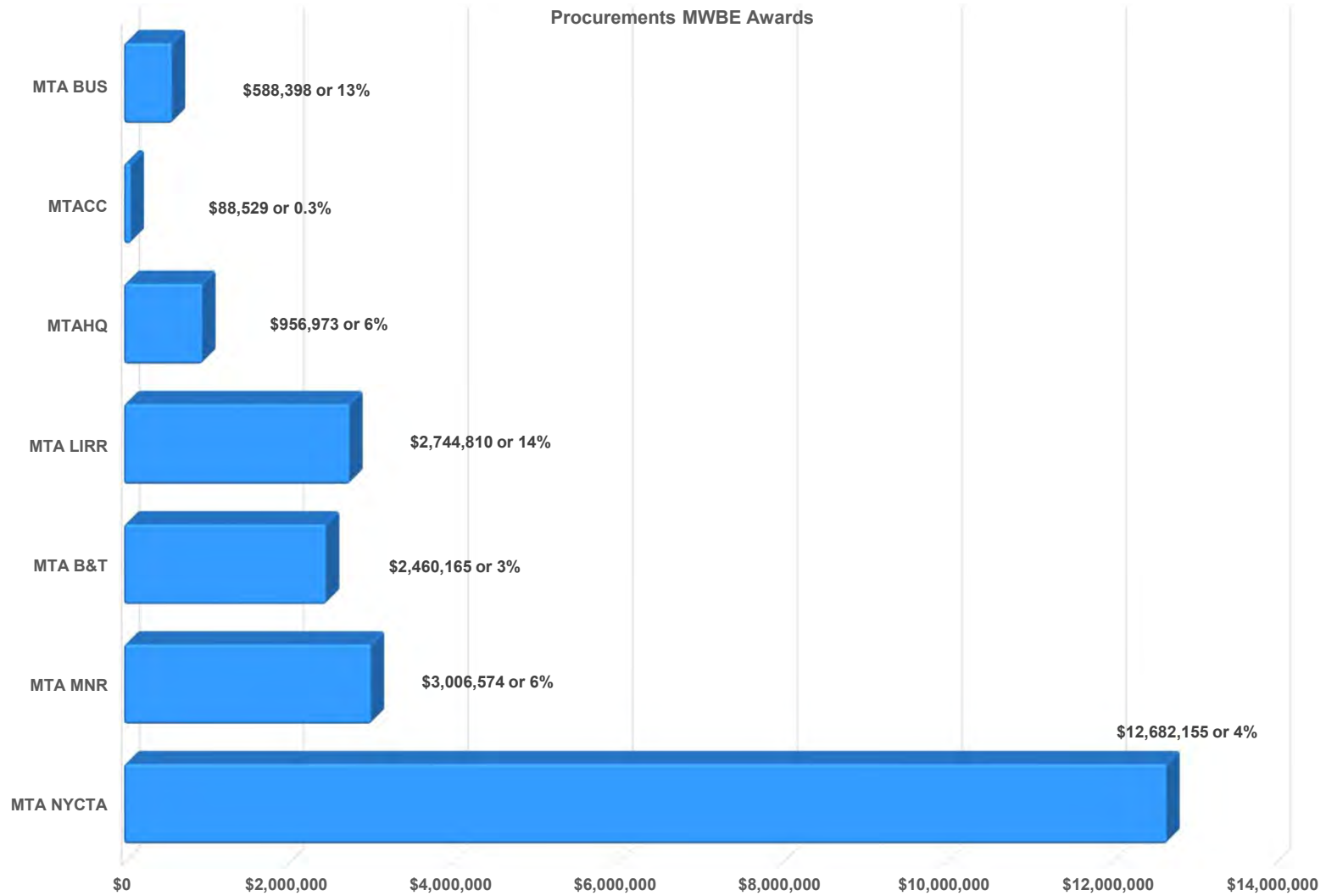
**MTA ALL AGENCY
DISCRETIONARY PROCUREMENT REPORT*
JANUARY - MARCH 2019**

Agency	Total Awards \$400k or Less	MWBE Discretionary Awards	MWBE Discretionary Award Percentages	SBC** Discretionary Awards	SBC** Discretionary Award Percentages
MTA NYCTA	\$ 16,261,880.92	\$ 8,510,057.23	52%	\$ 1,035,973.84	6%
MTA MNR	\$ 15,431,306.89	\$ 1,476,222.10	10%	\$ 443,092.52	3%
MTA B&T	\$ 9,385,481.55	\$ 110,000.00	1%	\$ -	0%
MTA LIRR	\$ 9,900,898.26	\$ 621,261.59	6%	\$ 166,402.36	2%
MTA HQ	\$ 3,445,354.89	\$ 304,932.29	9%		0%
MTA CC	\$ 263,400.70	\$ 88,528.70	34%	\$ -	0%
MTA BUS	\$ 618,845.47	\$ 588,397.99	95%	\$ 30,447.48	5%
Total	\$ 55,307,168.68	\$ 11,699,399.90	21%	\$ 1,675,916.20	3%

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

** Small Business Concerns

MTA ALL AGENCY
TOTAL PROCUREMENTS REPORT
JANUARY - MARCH 2019



**MTA ALL AGENCY
TOTAL PROCUREMENTS
JANUARY - MARCH 2019**

Agency	Total Award Amount	Total MWBE Awards	MWBE
MTA NYCTA	\$ 349,048,793.88	\$ 12,682,154.78	4%
MTA MNR	\$ 51,152,282.29	\$ 3,006,574.00	6%
MTA B&T	\$ 95,260,271.67	\$ 2,460,164.91	3%
MTA LIRR	\$ 20,169,928.98	\$ 2,744,809.67	14%
MTA HQ	\$ 15,434,162.34	\$ 956,972.76	6%
MTA CC	\$ 32,500,116.70	\$ 88,528.70	0.3%
MTA BUS	\$ 4,617,603.42	\$ 588,397.99	13%
Total	\$ 568,183,159.28	\$ 22,527,602.81	4%

Metropolitan Transportation Authority Department of Diversity and Civil Rights

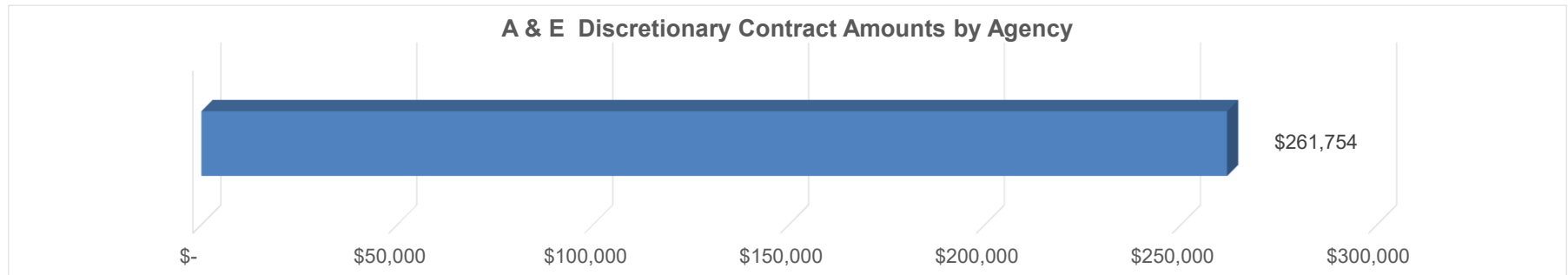
Discretionary A&E, Legal & IT

June 24, 2019



A/E Awards thru Discretionary Procurement January to March 2019

#	Agency	Contract Number	Project Name & Description	Primary Trades	County	Contract Amount	Notice of Award Date	Contractor	Contractor Certification
1	B&T	14073-2800-TBTA; Work Order #16	Soil Stabilization under the Queens Approach at the Bronx-Whitestone Bridge	As-Needed Construction Administration, Inspection and Support Services		\$ 57,110	1/23/19	MP Engineers, P.C.	MBE
2	B&T	4073-4700-TBTA; Work Order #14	Major Deegan On-Ramp Pavement Repairs at the Robert F. Kennedy Bridge	As-Needed Design and Construction Support Services		\$ 204,644	1/23/19	Siddiqui Engineering, P.C	MBE
				B&T Total:		\$ 261,754			
				Total :		\$261,754			



IT Discretionary

IT Discretionary Consulting Contract No. 14357
January 2019- March 2019

Total Number of Awards- 128

Value of Awards- \$ 15 million

Value of Cumulative Awards- \$77 million



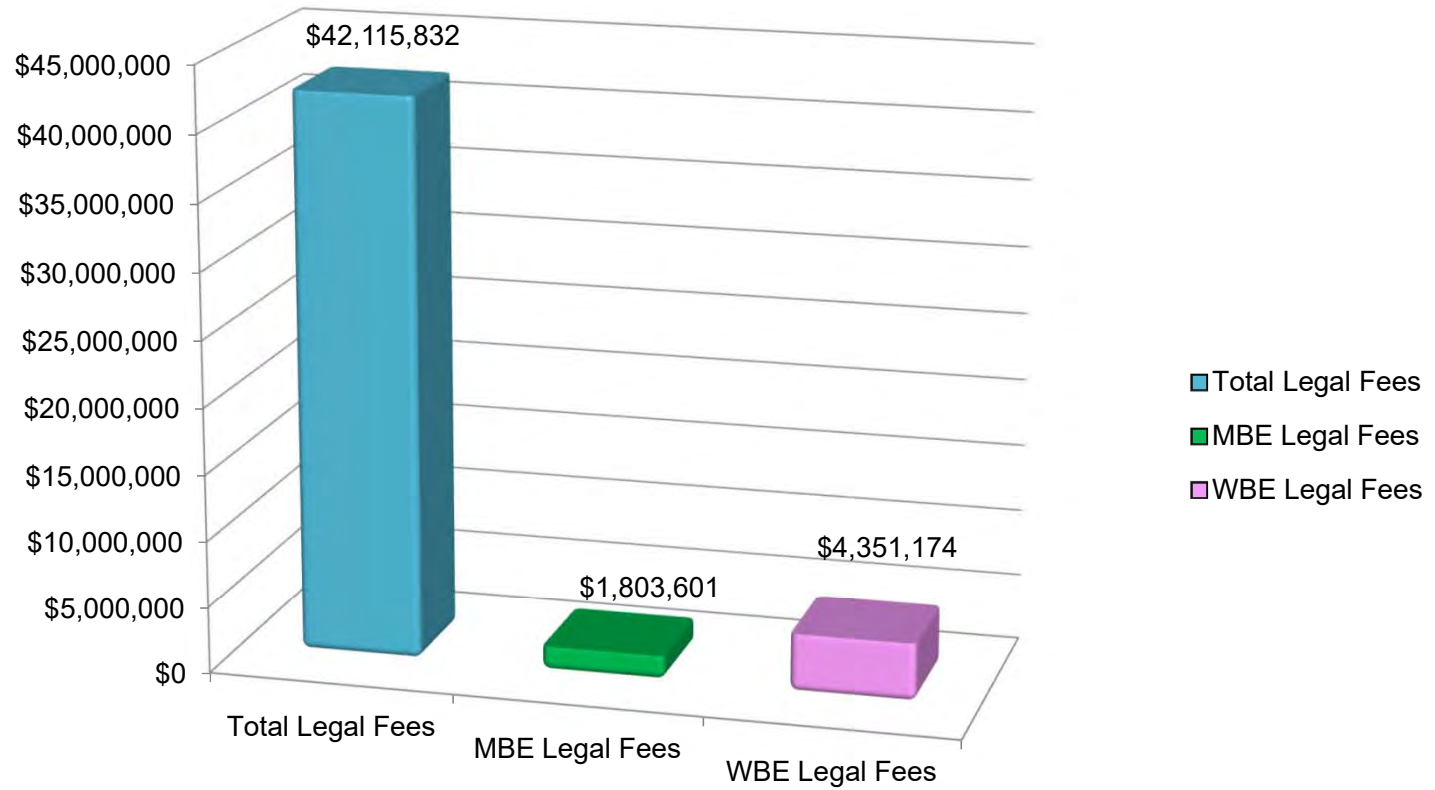
<u>Supplier</u>	<u>PO No.</u>	<u>Sum Merchandise Amount</u>
A-1 TECHNOLOGY, INC.	9000010335	\$145,560.00
CAPSTONE STRATEGY GROUP, LLC	9000009882	\$192,225.00
	9000010153	\$234,000.00
	9000010186	\$145,600.00
	9000010187	\$145,600.00
	9000010191	\$156,000.00
	9000010192	\$124,800.00
	9000010197	\$103,630.00
	9000010205	\$127,365.00
DATA INDUSTRIES LTD	9000010232	\$117,000.00
DONNELLY & MOORE CORP	9000009929	\$30,420.00
	9000010069	\$136,500.00
	9000010368	\$103,014.00
	9000010424	\$48,792.00
GRANDWOOD INC	9000010167	\$97,500.00
	9000010442	\$55,040.00
IIT INC	9000009919	\$161,980.00
	9000009940	\$100,679.00
	9000009945	\$200,000.00
	9000009949	\$43,460.00
	9000010161	\$232,050.00
	9000010174	\$118,950.00
	9000010222	\$185,120.00
	9000010226	\$112,320.00
	9000010227	\$110,538.00
	9000010229	\$135,102.00
	9000010230	\$91,520.00
	9000010307	\$51,569.50
	9000010325	\$91,000.00
	9000010327	\$95,680.00
	9000010338	\$212,550.00
	9000010476	\$55,040.00
INFOPEOPLE CORP	9000009902	\$41,667.80
	9000009946	\$98,280.00
	9000009993	\$152,880.00
	9000009994	\$111,000.00
	9000010054	\$114,629.00
	9000010055	\$15,196.00

<u>Supplier</u>	<u>PO No.</u>	<u>Sum Merchandise Amount</u>
	9000010056	\$174,038.00
	9000010057	\$152,880.00
	9000010058	\$150,150.00
	9000010059	\$163,800.00
	9000010100	\$163,800.00
	9000010364	\$82,560.00
INFOSYS INTERNATIONAL, INC.	9000009938	\$108,063.00
	9000010178	\$77,188.00
	9000010189	\$156,000.00
	9000010211	\$133,430.00
	9000010212	\$133,430.00
	9000010214	\$228,800.00
	9000010215	\$154,700.00
	9000010218	\$124,592.00
	9000010323	\$30,875.00
	9000010403	\$17,265.00
	9000010427	\$80,357.00
IZAR ASSOCIATES INC	9000010158	\$136,941.00
	9000010305	\$120,003.00
	9000010514	\$55,040.00
LYNX TECHNOLOGY PARTNERS INC	9000010330	\$90,229.22
MVP CONSULTING PLUS INC	9000010156	\$160,875.00
PROTEK INFORMATION TECHNOLOGY SVS LLC	9000010268	\$246,305.00
PRUTECH SOLUTIONS, INC.	9000009906	\$68,640.00
	9000010333	\$114,608.00
Q.E.D., INC.	9000009878	\$89,021.20
	9000009917	\$96,233.00
	9000010101	\$55,467.00
	9000010119	\$112,320.00
	9000010121	\$101,213.00
	9000010123	\$85,280.00
	9000010128	\$196,331.00
	9000010130	\$112,081.00
	9000010131	\$98,253.00
	9000010133	\$112,081.00
	9000010134	\$68,640.00
	9000010135	\$207,480.00

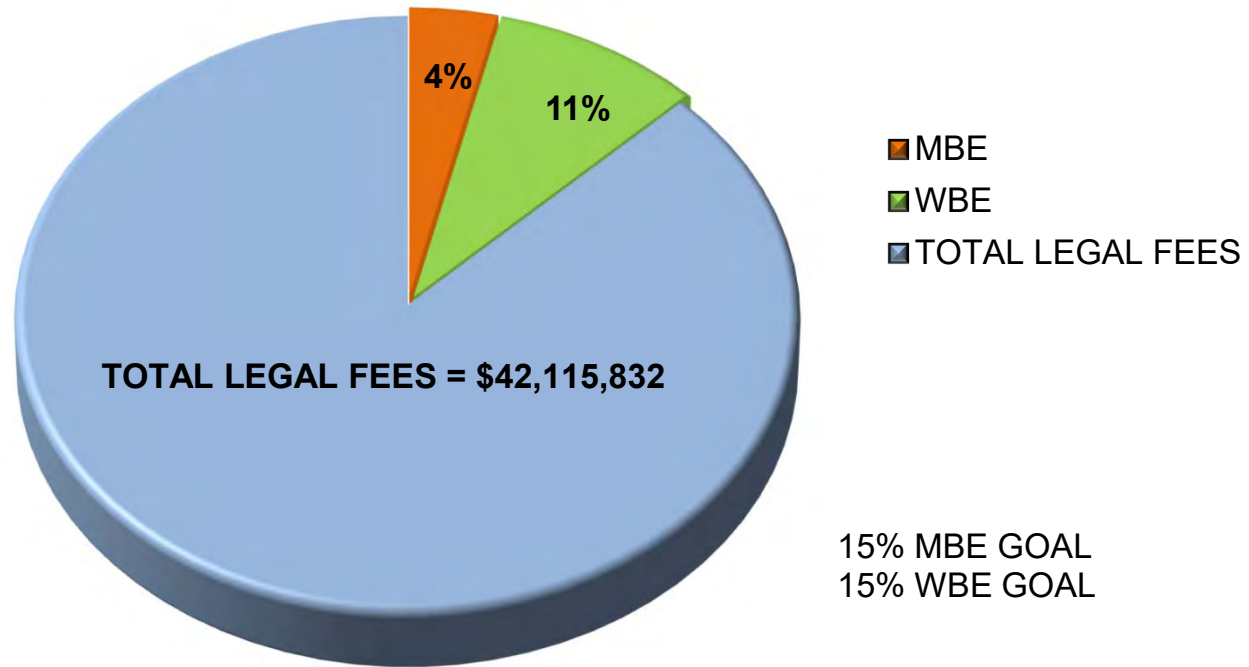
<u>Supplier</u>	<u>PO No.</u>	<u>Sum Merchandise Amount</u>
	9000010136	\$116,689.00
	9000010137	\$68,640.00
	9000010138	\$78,100.00
	9000010452	\$117,000.00
SOURCE OF FUTURE TECHNOLOGY INC.	9000009903	\$58,875.90
	9000009922	\$13,864.00
	9000009928	\$33,996.25
	9000009941	\$52,650.00
	9000010175	\$171,600.00
	9000010228	\$114,400.00
	9000010258	\$221,520.00
	9000010263	\$190,630.00
	9000010302	\$23,400.00
	9000010422	\$6,462.80
	9000010462	\$63,375.00
	9000010500	\$55,040.00
SPRUCE TECHNOLOGY INC	9000009905	\$136,397.00
	9000009918	\$185,250.00
	9000009947	\$131,625.00
	9000010151	\$125,755.00
	9000010152	\$187,200.00
	9000010162	\$200,850.00
	9000010306	\$3,150.00
	9000010355	\$187,200.00
UNIQUE COMP, INC.	9000009889	\$149,240.00
	9000009915	\$74,511.00
	9000009931	\$70,956.75
	9000010262	\$1,030.00
	9000010276	\$188,897.00
	9000010298	\$117,839.05
	9000010301	\$85,280.00
	9000010366	\$37,760.00
	9000010383	\$61,847.50
	9000010402	\$82,484.00
	9000010454	\$39,360.00
	9000010480	\$27,264.00
US TECH SOLUTIONS, INC	9000009916	\$150,150.00
	9000009939	\$80,990.00
	9000009944	\$200,000.00
	9000009967	\$104,000.00

<u>Supplier</u>	<u>PO No.</u>	<u>Sum Merchandise Amount</u>
	9000010163	\$174,038.00
	9000010231	\$47,953.00
	9000010234	\$99,840.00
	9000010235	\$99,528.00
	9000010264	\$126,880.00
	9000010265	\$126,880.00
	9000010266	\$101,920.00
	9000010267	\$101,920.00
	9000010304	\$159,900.00
	9000010331	\$193,050.00
	9000010352	\$143,780.00
	9000010354	\$193,050.00
V GROUP INC	9000010326	\$194,123.00
TOTAL	128	\$14,731,367.97

MTA ALL AGENCY LEGAL FEES APRIL 2018 - MARCH 2019



**MTA ALL AGENCY LEGAL FEES
APRIL 2018- MARCH 2019**



Actual MBE Participation = \$1,803,601 or 4%
Actual WBE Participation = \$4,351,174 or 11%

**MTA ALL AGENCY LEGAL FEES PAID
APRIL 2018 THROUGH MARCH 2019**

AGENCY	ALL FEES PAID	MBE FEES PAID	Agency MBE PARTICIPATION	WBE FEES PAID	Agency WBE PARTICIPATION	MWBE FEES PAID	Agency MWBE PARTICIPATION
MTAHQ	\$13,183,883.27	\$203,963.32	1.5%	\$530,505	4.0%	\$734,468.66	5.6%
NYCTA	\$12,583,569.59	\$307,829.46	2.4%	\$2,205,243.93	17.5%	\$2,513,073.39	20.0%
MNR	\$3,122,573.04	\$319,690.13	10.2%	\$523,812.72	16.8%	\$843,502.85	27.0%
LIRR	\$485,834.42	\$4,163.00	0.9%	\$47,637.00	9.8%	\$51,800.00	10.7%
B&T	\$1,343,698.64	\$137,265.78	10.2%	\$56,374.87	4.2%	\$193,640.65	14.4%
MTACC	\$1,105,389.40	\$0.00	0.0%	\$200,071.20	18.1%	\$200,071.20	18.1%
MTA BUS	\$4,761,815.71	\$304,917.97	6.4%	\$621,691.55	13.1%	\$926,609.52	19.5%
FMTAC	\$5,529,067.47	\$525,771.22	9.5%	\$165,837.50	3.0%	\$691,608.72	12.5%
TOTAL	\$42,115,831.54	\$1,803,600.88	4.3%	\$4,351,174.11	10.3%	\$6,154,774.99	15%

Metropolitan Transportation Authority
Department of Diversity and Civil Rights

Status of Closed Contracts
as of March 31, 2019

June 24, 2019



MTA Headquarters DDCR Update

Inactive Contracts – Status as of March 31, 2019

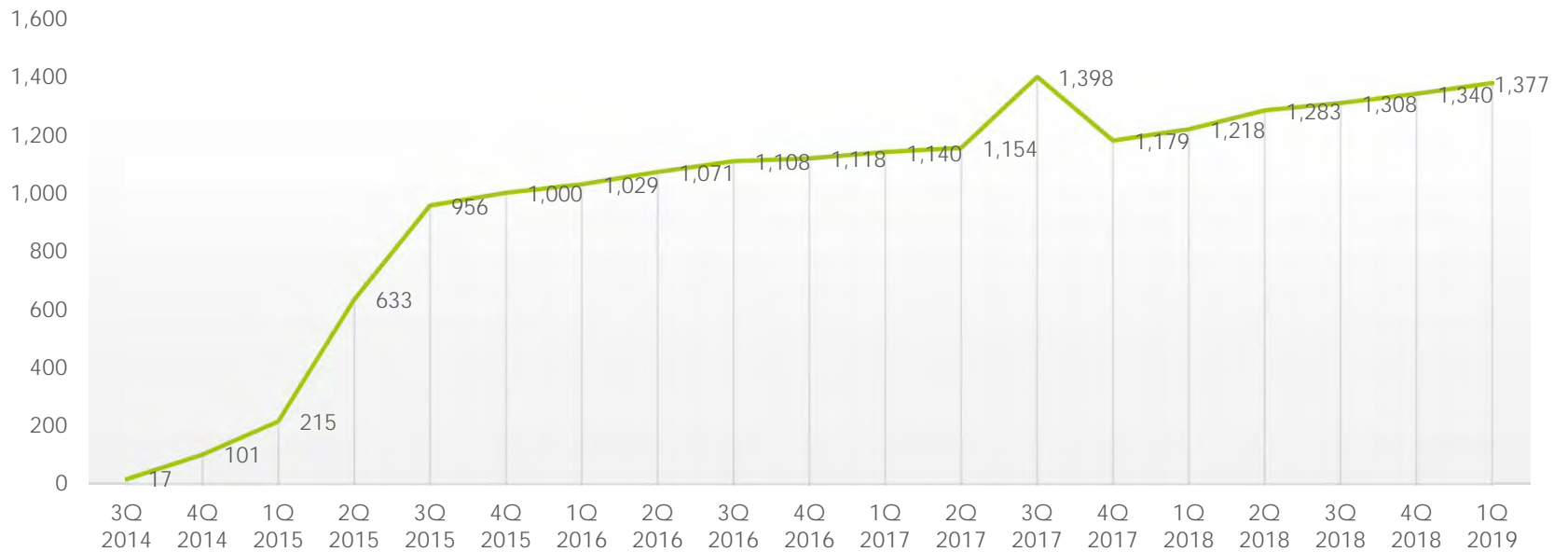
Inactive Contracts with Goals	#
1. Total Contracts Reviewed and Closed	1,083
2. Contracts Administratively Closed	294 ¹
Sub-Total	1,377 (96%)
3. Closeouts in Progress	24
4. Contracts Pending Agency Action	33
Total	1,434 (100%)

1. Contracts administratively closed because of the age of the contract (beyond the established seven-year record retention period).



MTA Headquarters DDCR Update

DDCR Contract Closeout Progression 3Q 2014 through 1Q 2019²



2.

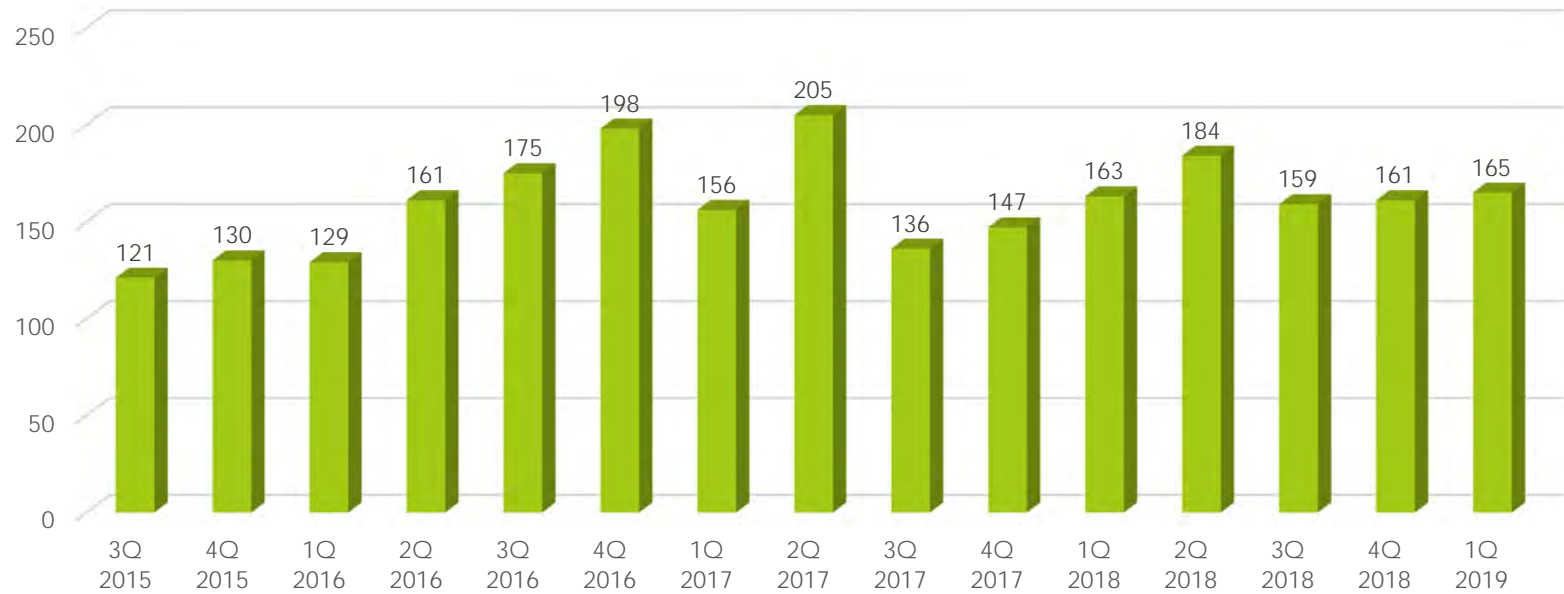
The decrease in closeouts between 3Q 2017 and 4Q 2017 is due to approx. 200 contracts being closed out in error, requiring subsequent re-activation.



MTA Headquarters DDCR Update

DDCR Project Site Visits: 3Q 2015 – 1Q 2019

Total Site Visits Performed = 2,390



Metropolitan Transportation Authority Department of Diversity and Civil Rights

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

June 24, 2019



MWDBE and SDVOB Participation on MTA Capital Projects with Goals

■ Federal Participation Goal: 18%

(First half of the Federal Fiscal Year 2019 (October 2018 to March 2019))

- Total Awards: \$387M*
- Total DBE Awards: \$77M (20%)
- Total Payments: \$316M
- Total DBE Payments: \$85M (27%)

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

(NYS Fiscal Year 2018-2019 (April 2018 to March 2019))

- Total Awards: \$1.03B
- Total MBE Awards: \$140M (14%)
- Total Payments: \$1.6B
- Total MBE Payments: \$182M (12%)

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

(NYS Fiscal Year 2018-2019 (April 2018 to March 2019))

- Total Awards: \$1.03B
- Total WBE Awards: \$87M (8%)
- Total Payments: \$1.6B
- Total WBE Payments: \$143M (9%)

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

(NYS Fiscal Year 2018-2019 (April 2018 to March 2019))

- Total Awards: \$387M
- Total SDVOB Awards \$10M (3%)
- Total Payments: \$205M
- Total SDVOB Payments: \$2.1M(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.



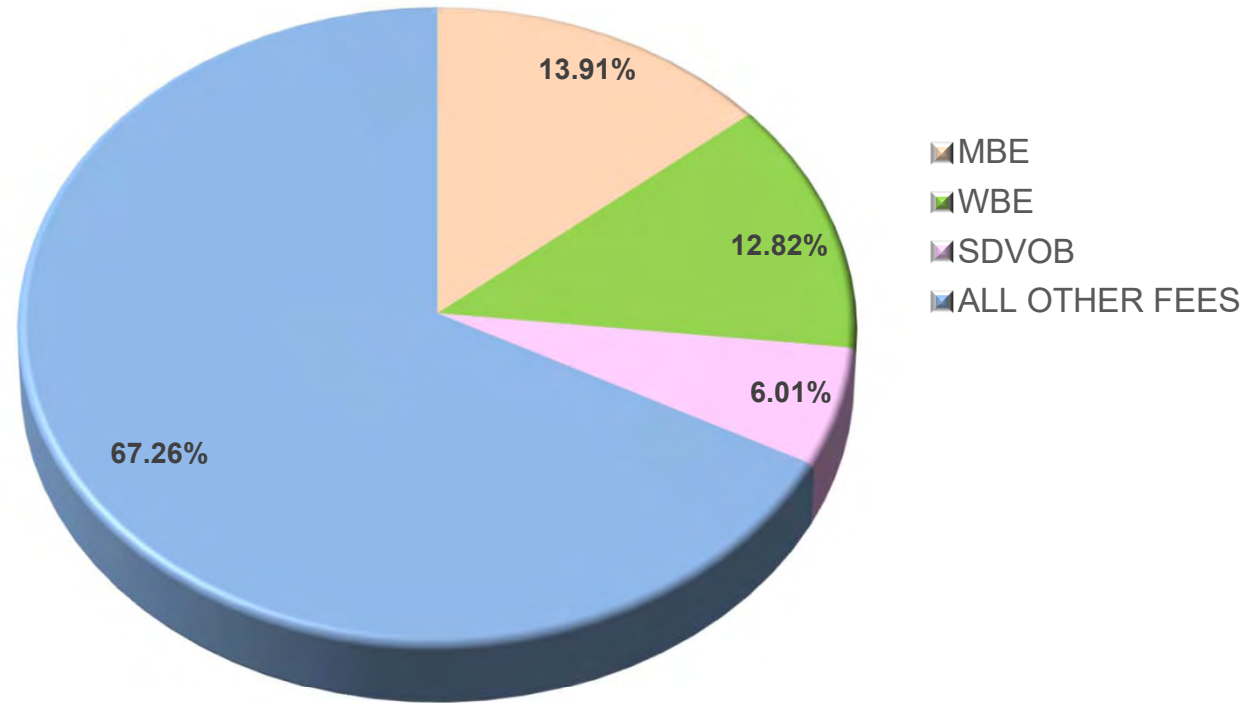
Metropolitan Transportation Authority Department of Diversity and Civil Rights

Financial Services

June 24, 2019



MTA ALL AGENCY UNDERWRITER FEES April 2018 - March 2019



Actual WBE Participation = \$285,584 or 12.82%
Actual MBE Participation = \$310,013 or 13.91%
Actual SDVOB Participation = \$133,972 or 6.01%
All Other Underwriting Fees = \$1,498,699 or 67.26%

Metropolitan Transportation Authority Department of Diversity and Civil Rights

Asset Fund Managers

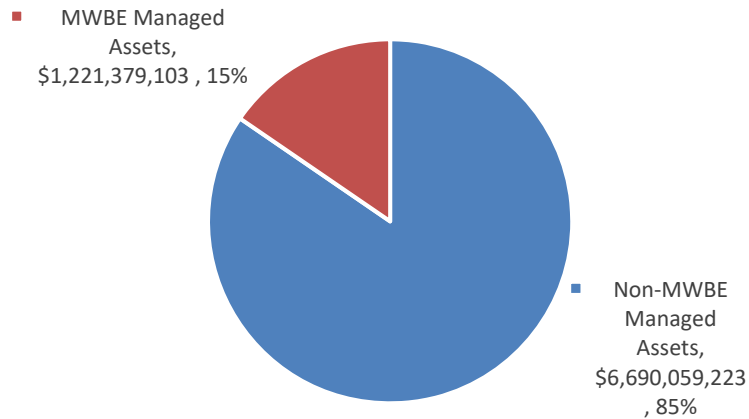
June 24, 2019



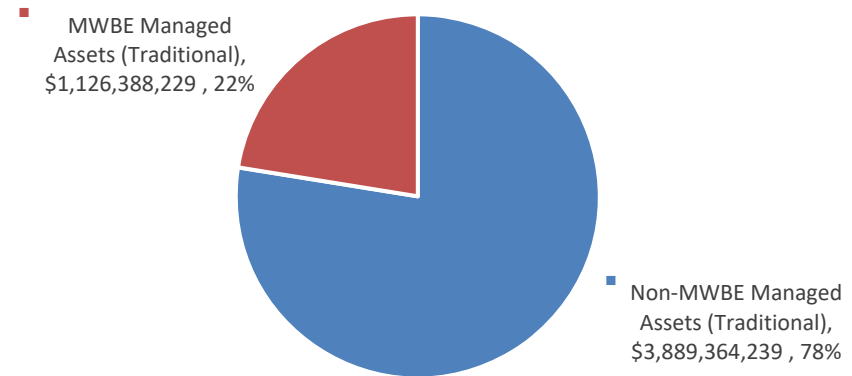
MTA Sponsored Plans – MWBE Participation

As of March 31, 2019

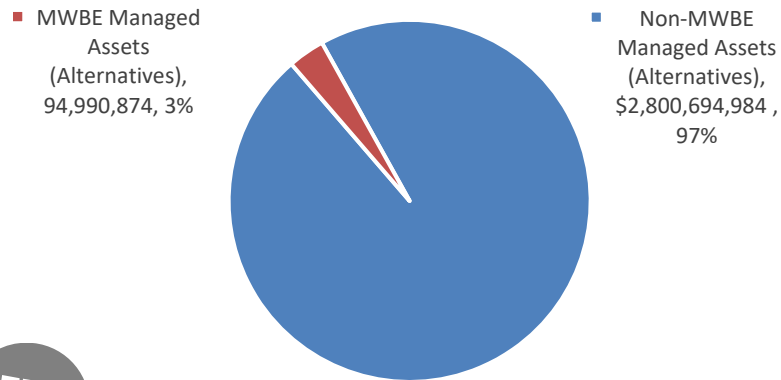
Combined Plans - Total Assets



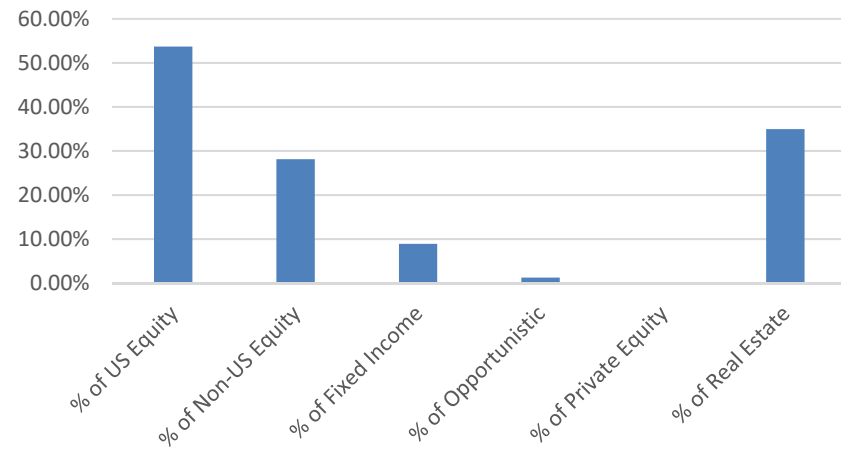
Combined Plans - Traditional Investments



Combined Plans- Alternative Investments



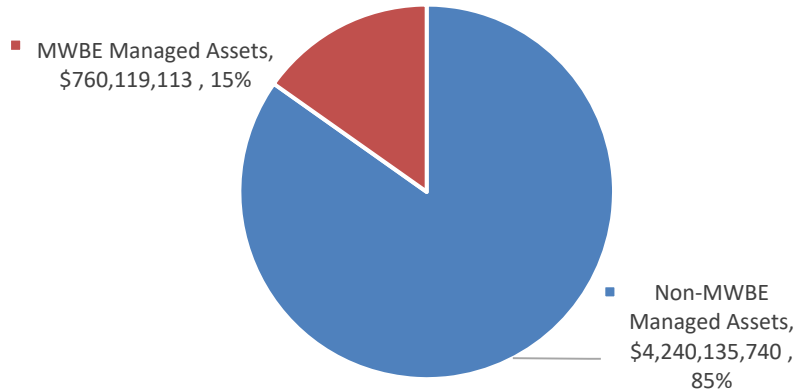
MWBE Managed Assets by Asset Class



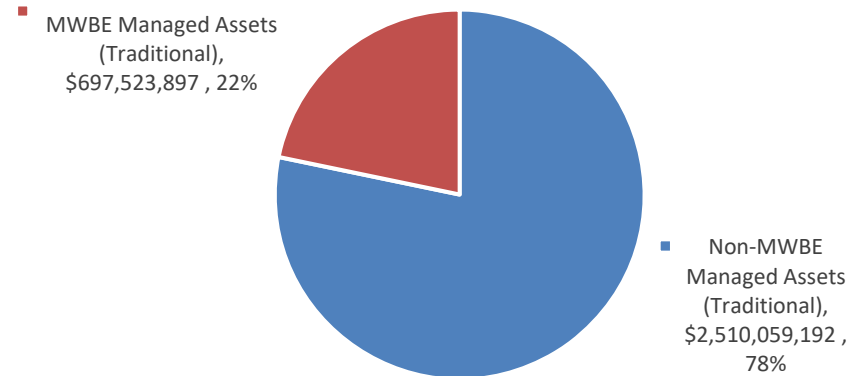
MTA Sponsored Plans – MWBE Participation

As of March 31, 2019

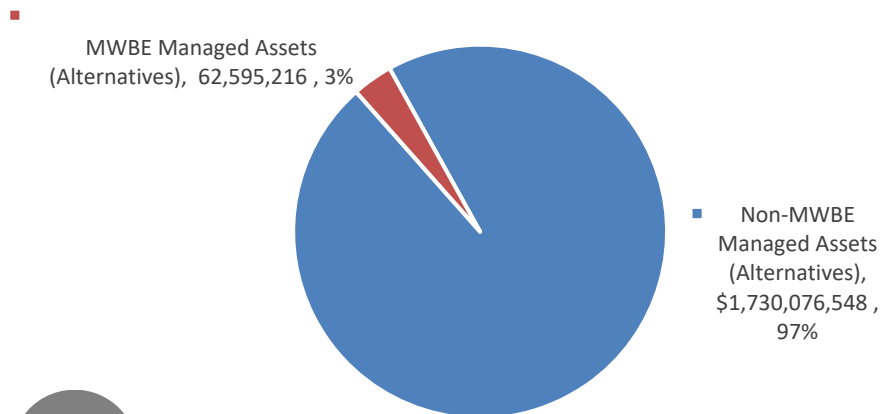
MTA Defined Benefit - Total Assets



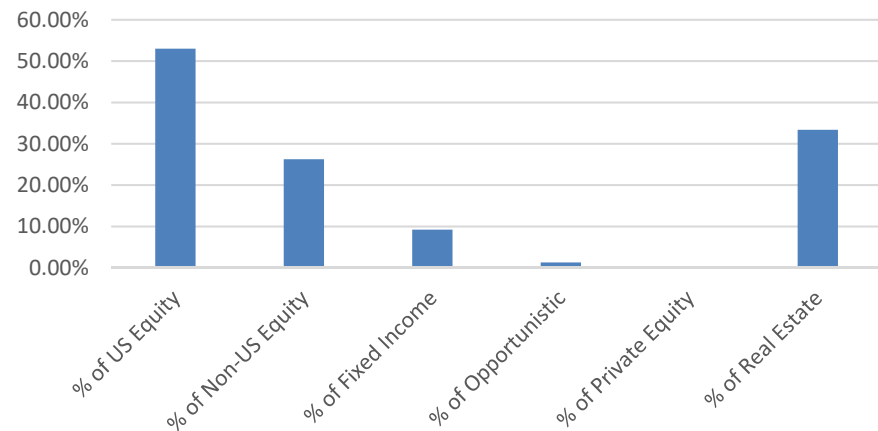
MTA Defined Benefit - Traditional Investments



MTA Defined Benefit - Alternative Investments



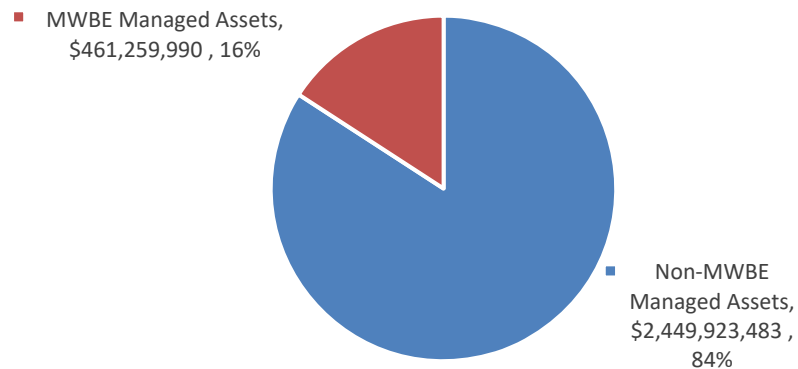
MWBE Managed Assets by Asset Class



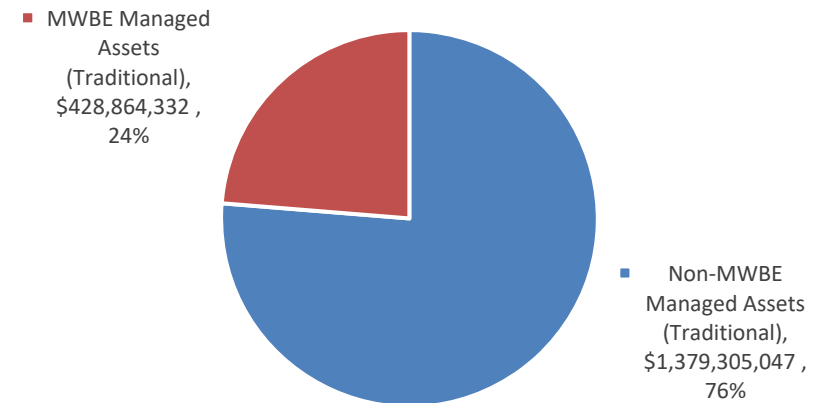
MTA Sponsored Plans – MWBE Participation

As of March 31, 2019

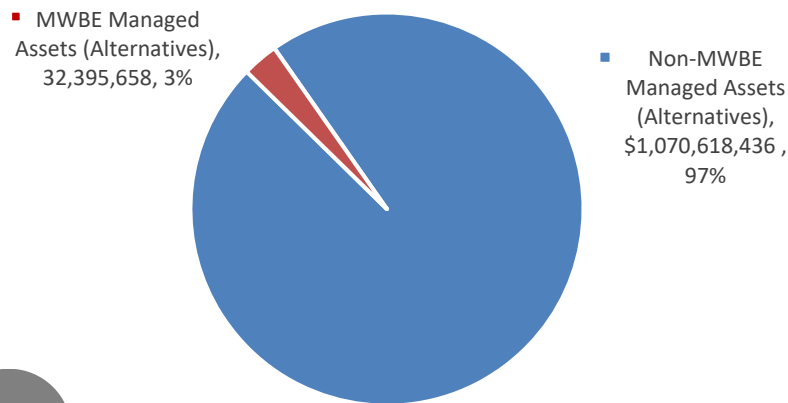
MaBSTOA - Total Assets



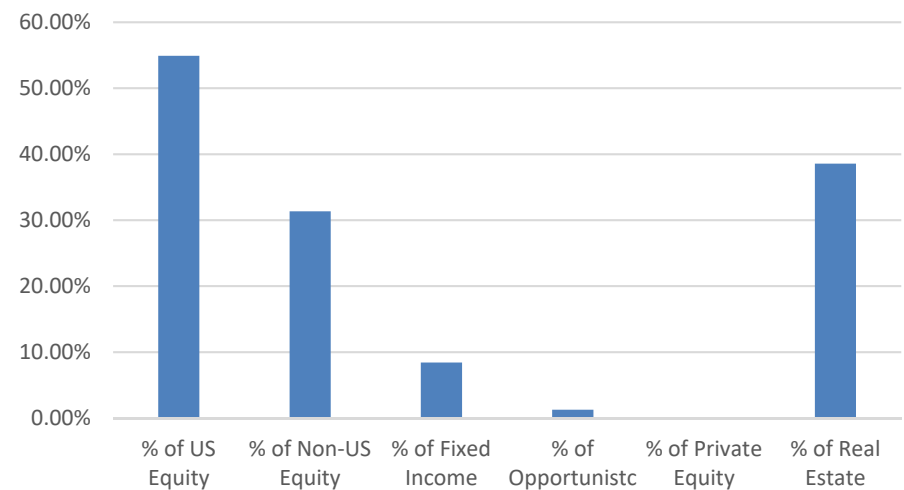
MaBSTOA - Traditional Investments



MaBSTOA - Alternative Investments



MWBE Managed Assets by Asset Class



MTAHQ POLICY

AMERICANS WITH DISABILITIES ACT

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

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

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

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

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

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

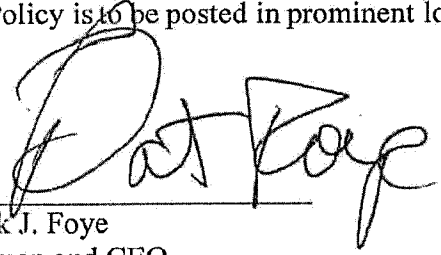
MTAHQ POLICY

AMERICANS WITH DISABILITIES ACT

You may also file a complaint externally with an outside agency/organization. The following external agencies handle complaints of discrimination and retaliation:

- The United States Equal Employment Opportunity Commission, New York District Office, 33 Whitehall Street, 11th Floor, New York, NY 10004 ((800) 669-4000)
- The New York State Division of Human Rights, New York District Office, One Fordham Plaza, 4th Floor, Bronx, NY 104581 ((888) 392-3644)

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


Patrick J. Foye
Chairman and CEO

4/5/19
Date

MTAHQ POLICY

SEXUAL AND OTHER DISCRIMINATORY HARASSMENT

Sexual or other discriminatory harassment in the workplace is unlawful and all employees, as well as certain non-employees such as visitors, contractors, subcontractors, consultant, interns, fellows, or apprentices, are prohibited from engaging in any such activity. It is the Policy of the Metropolitan Transportation Authority ("MTA") that all employees have the right to work in an environment free from any form of discriminatory harassment or intimidation, either physical or verbal, by any other employee as well as certain non-employees. The MTA will not tolerate sexual or any other form of discriminatory harassment and violators of this Policy will be subject to disciplinary action, including but not limited to termination of employment, as set forth in more detail in MTA's Sexual and Other Discriminatory Harassment All Agency Policy Directive. (This Policy Directive is available on the MTA's intranet site as well as by contacting the MTA Department of Diversity and Civil Rights at (646) 252-1373.

Sexual harassment includes harassment on the basis of sex, sexual orientation, gender identity and expression and the status of being transgender, and is defined to include, but is not limited to, unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when:

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

Sexual harassment can occur in a variety of circumstances, without regard to gender or perceived gender of the individuals or whether there has been an adverse employment action. Sexual harassment is not limited to the physical workplace itself. It can occur while employees are traveling for business or at employer sponsored events or parties. Calls, texts, emails and social media usage by employees can constitute workplace harassment, even if they occur away from the workplace premises, on personal devices or during non-work hours.

The following describes some of the types of acts that may constitute sexual harassment, are strictly prohibited, and may be unlawful:

- Physical assaults of a sexual nature;
- Unwanted sexual advances or propositions;

MTAHQ POLICY

SEXUAL AND OTHER DISCRIMINATORY HARASSMENT (Continued)

- Sexually oriented gestures, noises, remarks, jokes or comments about a person's sexuality or sexual experience, which create a hostile work environment;
- Sex stereotyping, which occurs when conduct or personality traits are considered inappropriate simply because they may not conform to other people's ideas or perceptions about how individuals of a particular sex should act or look;
- Sexual or discriminatory displays or publications anywhere in the workplace; and
- Hostile actions taken against an individual because of that individual's sex, sexual orientation, gender identity and the status of being transgender.

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

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

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

MTAHQ POLICY

SEXUAL AND OTHER DISCRIMINATORY HARASSMENT (Continued)

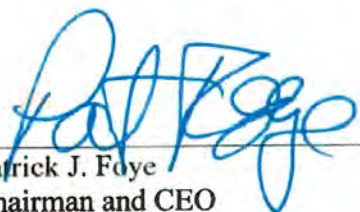
The Department of Diversity and Civil Rights will promptly initiate a thorough and impartial inquiry. In all cases, confidentiality will be maintained throughout the investigation to the extent practical and consistent with the MTA's obligation to undertake a full inquiry and to make a determination.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

If it is determined that a violation of this Policy has occurred, the MTA will take immediate action to remedy the situation. Anyone who witnesses or becomes aware of potential instances of sexual harassment or other discriminatory harassment must report such behavior to a manager or supervisor, and/or Mr. Garner. Any employee who is found to have violated this Policy or any supervisor or managerial employee who knowingly permits a violation of this Policy to occur may be subject to disciplinary action, up to and including dismissal from employment. Such an employee may also be subject to personal legal and financial liability.

You may also file a complaint externally with an outside agency/organization. The following external agencies handle complaints of discrimination and retaliation:

- The United States Equal Employment Opportunity Commission, New York District Office, 33 Whitehall Street, 11th Floor, New York, NY 10004 ((800) 669-4000)
- The New York State Division of Human Rights, New York District Office, One Fordham Plaza, 4th Floor, Bronx, NY 104581 ((800) 392-3644)

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


Patrick J. Foye
Chairman and CEO

Date 4/5/19