



Metropolitan Transportation Authority

Diversity Committee Meeting

May 2021

Committee Members

R. Herman, Chair
L. Cortés-Vázquez
L. Lacewell
N. Zuckerman

Diversity Committee Meeting

2 Broadway 20th Floor Board Room New York NY 10004

Wednesday, 5/26/2021

10:00 AM - 1:00 PM ET

1. PUBLIC COMMENT PERIOD

2. APPROVAL OF MINUTES

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3. 2021 DIVERSITY COMMITTEE WORK PLAN

2021 Diversity Committee Work Plan - Page 4

4. EXECUTIVE SUMMARY

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5. BUSINESS AND DIVERSITY INITIATIVES

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6. DBE CERTIFICATION ACTIVITY REPORT

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7. EEO INITIATIVES 2021

EEO AND TITLE VI - Page 34

8. SMALL BUSINESS DEVELOPMENT PROGRAM UPDATE

Small Business Development Program - Page 58

9. M/W/DBE AND SDVOB CONTRACT COMPLIANCE

MWDBE and SDVOB Contract Compliance - Page 75

10. M/W/DBE AND SDVOB ON CAPITAL PROJECTS

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11. FINANCIAL SERVICES

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12. ASSET FUND MANAGERS

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MTA DIVERSITY COMMITTEE

Meeting Minutes

2 Broadway, 20th Floor

New York, NY 10004

Wednesday, February 18, 2021

Because of the ongoing COVID-19 public health crisis, the MTA Chairman convened a one-day, virtual Board and Committee meeting session on February 18, 2021, which included the following committees:

Long Island Railroad and Metro-North Railroad

New York City Transit

MTA Bridges and Tunnels

Finance

Diversity Committee

Capital Program Oversight Committee

To see a summary of the Diversity Committee meeting, please refer to the February 18, 2021 Board minutes in the March Board Book available here on the Board materials website:

<https://new.mta.info/document/33901>.

2021 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 2021

2020 Year-End Report	Dept. of Diversity/Civil Rights
2021 Departmental Goals	Dept. of Diversity/Civil Rights
2021 EEO, ADA and Sexual and Other Discriminatory Harassment Policy Statements	Dept. of Diversity/Civil Rights
All Agency Title VI Policy Statement	
All Agency Title VI Procedure	
Diversity Committee Charter Review	Committee Chair and Members

May 2021

1st Quarter 2021 Report	Dept. of Diversity/Civil Rights
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September 2021

2nd Quarter 2021 Report	Dept. of Diversity/Civil Rights
Recruitment Strategies for MTAHQ and MTA Agencies	Dept. of Diversity/Civil Rights, MTAHQ and Agency Staff

December 2021

3 rd Quarter 2021 Report	Dept. of Diversity/Civil Rights
Status Report on MTA Inter-Agency M/W/DBE and SDVOB Task Force	Dept. of Diversity/Civil Rights
2021 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 2021

Overview of 2021 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 2021.

2020 Year-End Report

The Department of Diversity and Civil Rights will present 2020 year-end update on MTA Agency-wide EEO and M/W/DBE and SDVOB contract compliance activities.

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 2021 EEO Policy.

All Agency Title VI Policy Statement presented for approval

All Agency Title VI Procedure presented for approval

Recruitment Strategies

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

Diversity Committee Charter Review

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

May 2021

1st Quarter 2021 Report

The Department of Diversity and Civil Rights will present 1st quarter 2021 update on MTA Agency-wide EEO, and M/W/DBE and SDVOB contract compliance activities.

September 2021

2nd Quarter 2021 Report

The Department of Diversity and Civil Rights will present 2nd quarter 2021 update on MTA Agency-wide EEO, and M/W/DBE and SDVOB contract compliance activities.

Title VI Program Approval

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 2021

3rd Quarter 2021 Report

The Department of Diversity and Civil Rights will present 3rd quarter 2021 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.

2022 Diversity Committee Work Plan

The Department of Diversity and Civil Rights will present an updated Diversity Committee Work Plan for 2022.

Metropolitan Transportation Authority Department of Diversity and Civil Rights

Executive Summary

May 26, 2021



Executive Summary

MTA ranked Number 1 in dollars paid to NYS certified MWBEs during NYS Fiscal Year 2019/20 on NYS funded Projects

1. Metropolitan Transportation Authority	\$	772.5 million @ 27.2% MWBE Inclusion
2. Empire State Development Corporation		529.8 million
3. NYS Office General Services		185.6 million
4. NYS Department Financial Services		184.6 million
5. Dormitory Authority State of New York		184.1 million

Out of 97 NYS Agencies and Public Authorities, the MTA was responsible for 25% of all payments state-wide (\$3.1 billion/\$772 million).

MTA is the largest recipient of mass transit Federal funding from the Federal Transit Administration (FTA). Please note that an additional \$304 million was paid to NYS certified MWBEs on FTA funded projects. Thus, during the most recent concluded N.Y.S. fiscal year, the MTA was responsible for \$1.1 billion paid to NYS certified MWBEs.



Executive Summary

❑ Business & Diversity Initiatives

❑ During the period of January 2021 through March 2021, DDCR outreach efforts attracted **709 firms**.

❑ Summary of Outreach Efforts – January 2021 through March 2021

As a result of DDCR's outreach efforts **6** certified firms received a total of **\$4,420,115.55** in awards and **50** certified firms received **\$22,640,869.59** in payments.

Awards - \$ 4,420,115.55

***Payments -** \$ 22,640,869.59

*Total payments include ongoing payments on previously awarded contracts



Executive Summary

❑ **DBE Certification Activity Report**

There were **441** new applications received and **287** firms certified from 2017 to 2021.

❑ **Status**: There is an increase in new applications received and a decrease in staff certification activities.

❑ **Trends**

❑ Upward

❑ Constant

☑ Downward– Firms Certified

❑ **Strategy for Improvement** - Hire additional DBE certification staff to manage increased certification activity.



Executive Summary

- **EEO** (full report on pages 34-57)
 - MTA's overall workforce is currently comprised of **69,911** employees; of which **12,575 (18%)** are Females,* **49,107 (70%)** are Minorities, **2,059 (3%)** are Veterans,* and **416 (0.6%)** are People with Disabilities.** A breakdown of the MTA-wide workforce is detailed on page 35.
 - MTA Agencies hired **341** employees; of which **75 (22%)** are females,* **285 (84%)** are Minorities, **11 (3%)** are veterans,** and **4 (1%)** are People With Disabilities.
 - In the first quarter of 2021, MTA Agencies handled a total of **321** EEO complaints; of which **173** were internal and **148** were external. In the first quarter of 2020, MTA Agencies handled a total of **308** EEO complaints; of which **177** were internal and **131** were external complaints.
 - As of March 31, 2021, utilization of females and minorities has remained **constant** when compared to March 31, 2020.



*Includes minorities, non-minorities, and veterans

**We believe that there are more people with disabilities in our workforce, but they have not self-identified as such.

Executive Summary

- **EEO (Continued)**

- **Status:** 5 of 8 goals are met

- **Trends**

- Upward
- ☑ Constant
- Downward

- **Strategies for Improvement:**

- Increase Staffing
- Expand relationships with professional and minority organizations to increase applicant pool.



Executive Summary

■ Small Business Development Program (as of March 31, 2021)

The Program – Current Status

- Calendar Year 2020, SBDP awarded **28 contracts** totaling **\$34 million ***
- Calendar Year 2021 Quarter 1, SBDP awarded **5 contracts** totaling **\$4.7 million**
- The Small Business Development Program (SBDP) awarded **456 contracts** totaling **\$490.8 million.**
- SBDP successfully recruited **fourteen (14)** Service-Disabled Veteran-Owned Business (SDVOB) certified firms. **Four (4) firms** were awarded contracts totaling **\$1,716,086.**
- The Small Business Development Loan Program issued **131 loans** totaling **\$18.3 million.**
- The Small Business Development Bond Program has assisted Tier 2 and SBFP firms in securing **\$464 million** in surety bonds.
- The Small Business Development Training Program – more than 750 firms have participated in the training since the inception of the program.

* Due to COVID-19 Pandemic all capital contract awards were put on 90-day moratorium.



Executive Summary

■ Small Business Development Program (continued)

■ **Status:** Program is not achieving its goals.

■ Trends

- Upward
- Constant
- Downward *

■ **Strategies for improvements:** n/a

* Due to COVID-19 Pandemic all capital contract awards were put on 90-day moratorium.



Executive Summary

■ MWDBE and SDVOB Contract Compliance

■ 30% NY State Fiscal Year 2020-2021 MWBE Goal

- 17% MWBE participation in contract awards
- 31% MWBE participation in contract payments

■ 6% NY State Fiscal Year 2020-2021 SDVOB Goal

- 24% SDVOB participation in contract awards
- 4% SDVOB participation in contract payments

■ 20% Federal Fiscal Year 2020-2021 DBE Goal

- 14% DBE participation in contract awards*
- 19% DBE participation in contract payments on ongoing contracts*
- 10% DBE participation on payments on closed contracts*

* First half of the Federal Fiscal Year 2020-2021



Executive Summary

■ MWDBE and SDVOB Contract Compliance (Continued)

- Currently, DDCR monitors more than **856 contracts** for MWDBE and SDVOB goal compliance.
- In the first quarter of 2021, DDCR conducted **166 site visits** for MWDBE and SDVOB contract compliance.
 - Monthly Average: **55**
- In the first quarter of 2021, DDCR has closed **36** contracts.
 - Monthly Average: **12**



Executive Summary

■ MWDBE and SDVOB Contract Compliance (Continued)

- **Status:** MWBE goal was achieved
DBE and SDVOB goals are not being met

■ Trends

- ✓ Upward: MWBE participation on contract payments
- ✓ Constant: SDVOB participation on contract payments
- ✓ Downward: DBE participation on contract awards

■ Strategies for Improvement:

- DDCR will expand on building relationships with various women, veteran and minority trade groups and associations to identify qualified firms in the minority business community.
- Design smaller contracts for greater participation by MWDBE/SDVOBs.
- Hiring additional MWDBE/SDVOB Contract Compliance staff.



Executive Summary

Capital Projects

Federal Participation Goal: 20%

(First Half of Federal Fiscal Year 2021 (October 2020 to March 2021))

- Total Awards: \$85M
- Total DBE Awards: \$19M (23%)

- Total Payments: \$287M
- Total DBE Payments: \$61M (21%)

New York State MBE Participation Goal: 15%

(NYS Fiscal Year 2020-2021 (April 2020 – March 2021))

- Total Awards: \$140M
- Total MBE Awards: \$19M (13%)

- Total Payments: \$869M
- Total MBE Payments: \$122M (14%)

New York State WBE Participation Goal: 15%

(NYS Fiscal Year 2020-2021 (April 2020 – March 2021))

- Total Awards: \$140M
- Total WBE Awards: \$17M (12%)

- Total Payments: \$869M
- Total WBE Payments: \$111M (13%)

Service Disabled Veteran-Owned Business Participation Goal: 6%

(NYS Fiscal Year 2020-2021 (April 2020 – March 2021))

- Total Awards: \$38M
- Total SDVOB Awards \$900,890(2%)

- Total Payments: \$526M
- Total SDVOB Payments: \$12M (2%)

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



Executive Summary

Capital Projects (Continued)

- **Status:** DBE goal was achieved
MWBE and SDVOB goals are not being met

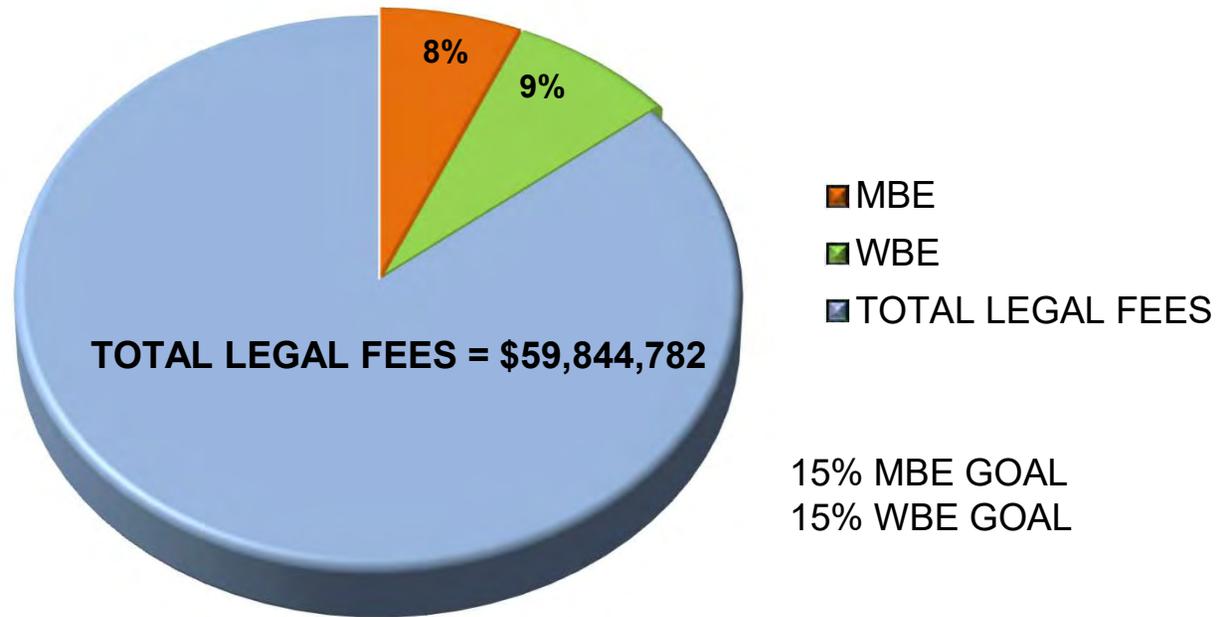
- **Trends**
 - ☑ Upward : MWBE and SDVOB participation on contract payments
 - ☐ Constant
 - ☐ Downward

- **Strategies for Improvement:**
 - DDCR will expand on building relationships with various women, veteran and minority trade groups and associations to identify qualified firms in the minority community.
 - Hiring more MWDBE/SDVOB contract compliance staff



Executive Summary

■ MTA All Agency Legal Fees (April 2020 – March 2021)



Actual MBE Participation = **\$4,535,917 or 8%**
Actual WBE Participation = **\$5,347,280 or 9%**



Executive Summary

MTA All Agency Legal Fees (Continued)

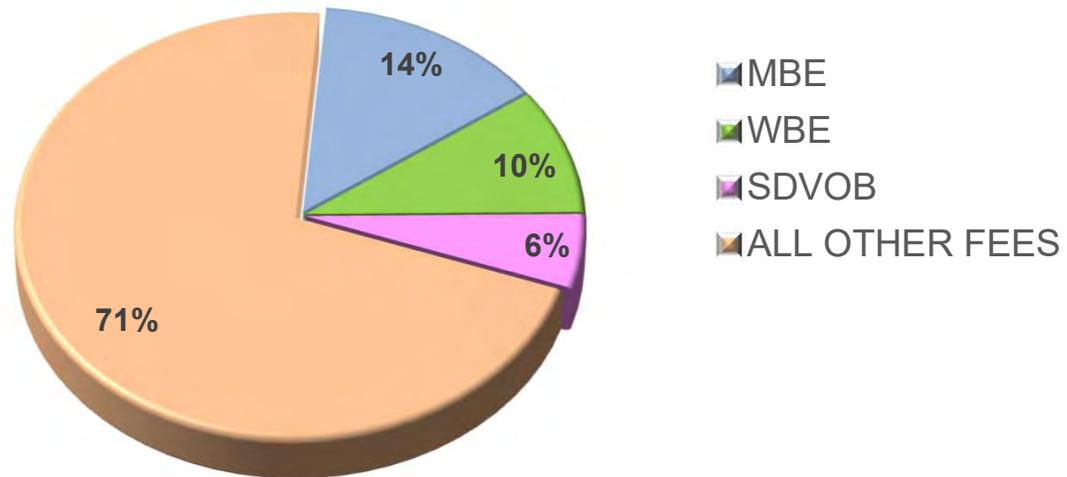
- **Status:** MWBE goals are not being met
- **Trends**
 - Upward
 - ☑ Constant: MBE participation
 - ☑ Downward: WBE participation
- **Strategies for Improvement:**
 - Host an additional all-agency orientation session for prequalified minority law firms.
 - Mentor MWBE law firms to handle more specialized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



Executive Summary

Financial Services

MTA All Agency Underwriter Fees (April 2020 – March 2021)



Actual WBE Participation = **\$1,471,309** or **10%**

Actual MBE Participation = **\$2,114,869** or **14%**

Actual SDVOB Participation = **\$854,147** or **6%**

All Other Underwriting Fees = **\$10,854,485** or **71%**



Executive Summary

Financial Services (Continued)

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

- **Trends**
 - Upward
 - Constant
 - Downward: WBE participation

- **Strategies for Improvement:** n/a



Executive Summary

Asset Fund Managers – MWBE Participation Combined Plans (as of February 28, 2021)

Combined Plans

- Total assets managed by MWBEs: **\$1.74 billion; or 21%** of total assets
- Majority of assets are in traditional asset classes
- Traditional assets managed by MWBEs: **\$1.62 billion; or 27%** of traditional assets
 - MWBE firms manage
 - 55% of US Equities
 - 87% of Real Estate
 - 32% of Non-US Equities
 - 9% of Fixed Income
 - 4 % of Opportunistic
- Alternative investments managed by MWBE's: **\$119 million; or 5%** of alternative investments



Metropolitan Transportation Authority Department of Diversity and Civil Rights

Business and Diversity Initiatives

May 26, 2021



Business and Diversity Initiatives

January

The Eastern Contractors Association: MWBE Compliance - Trends that Contractors Need to Know
New York Power Authority Women's Leadership Symposium

February

Business Council of Westchester: Driving Diversity and Inclusion
HNTB Partners Program MWBE Event
DDCR hosts "New Firm Orientation Session"
DDCR hosts "How to become Certified as a Disadvantaged Business Enterprise"
City and State Virtual Diversity Summit
Greater Harlem Chamber of Commerce present Financial Literacy & Empowerment Program Event
NYS Association of Black, Puerto Rican, Hispanic and Asian Legislators host:
MWBE Opportunities Workshop

March

New Jersey Department of Transportation Contractor Venture Forum
2021 Aim Virtual Leadership Conference
Brooklyn Chamber of Commerce M/WBE Committee Meeting
COMTO New York Presents Women's History Month: Women Entrepreneurs in Transportation
NYNJ MSDC and the Women of Color Program Presents: "She Writes the Checks"



Business and Diversity Initiatives

Awards and Payments January 2021 – March 2021

Outreach efforts made to
709 MWDBE/SDVOB Firms

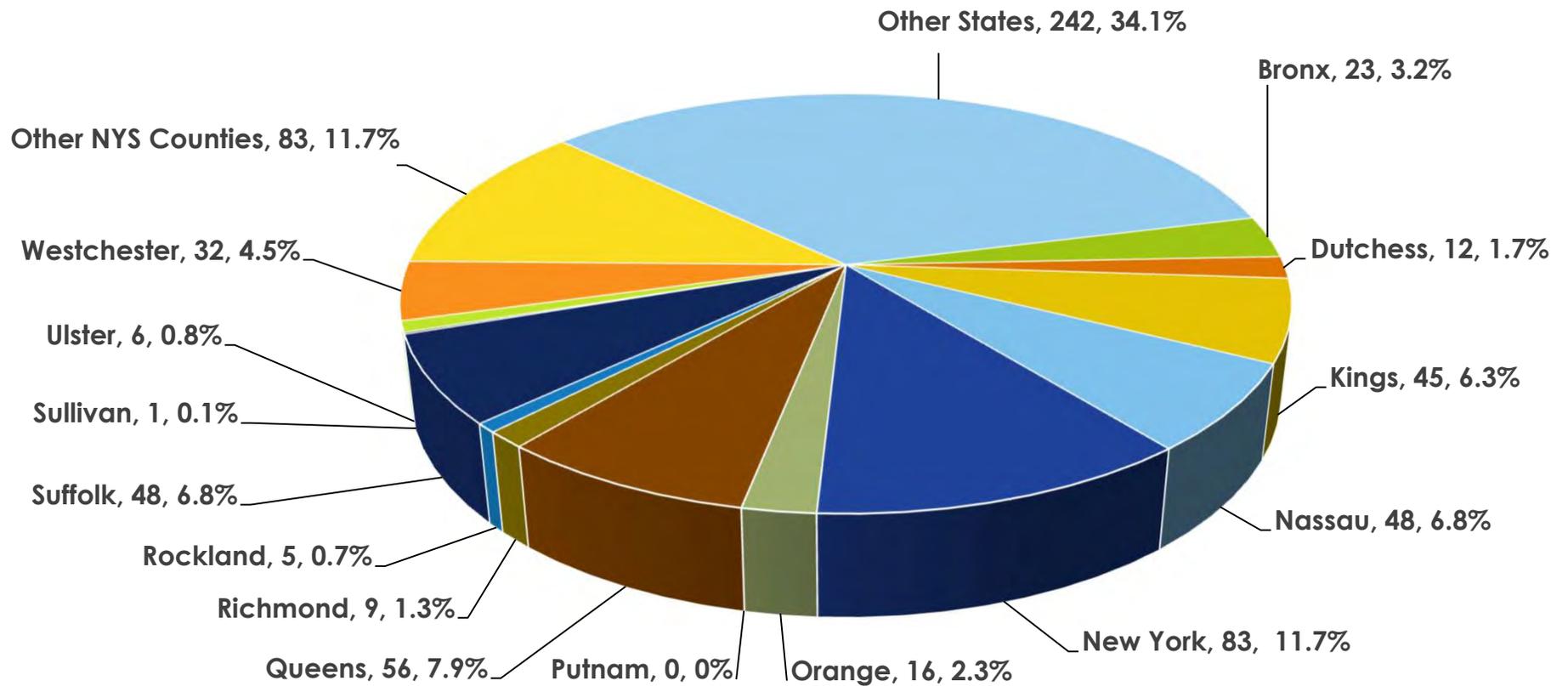
- Awards – 6 Firms totaling **\$4,420,115.55**
- Payments – 50 Firms totaling **\$22,640,869.59**

* Payments are from recent and historical contract awards



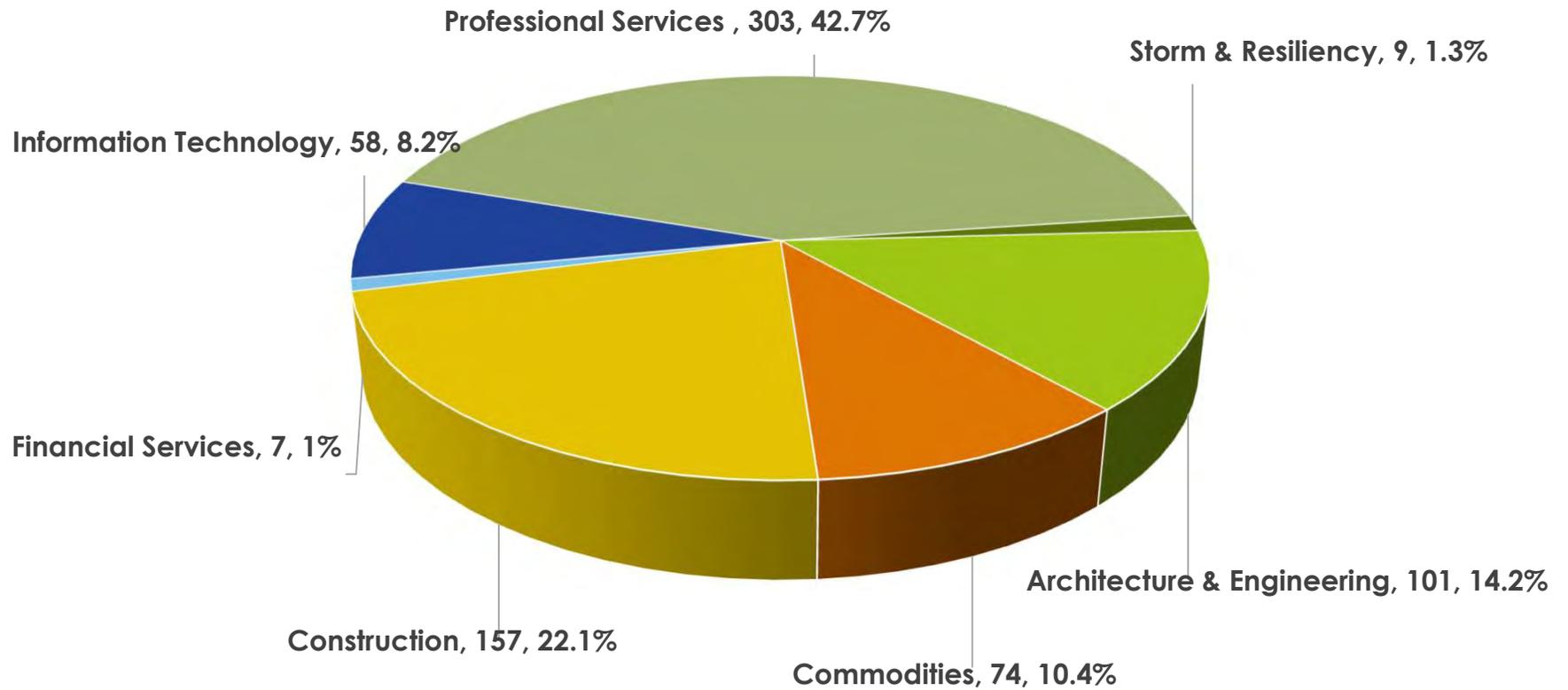
Business and Diversity Initiatives

Outreach Conducted In MTA Region Service Area (14 Counties) January 2021 – March 2021



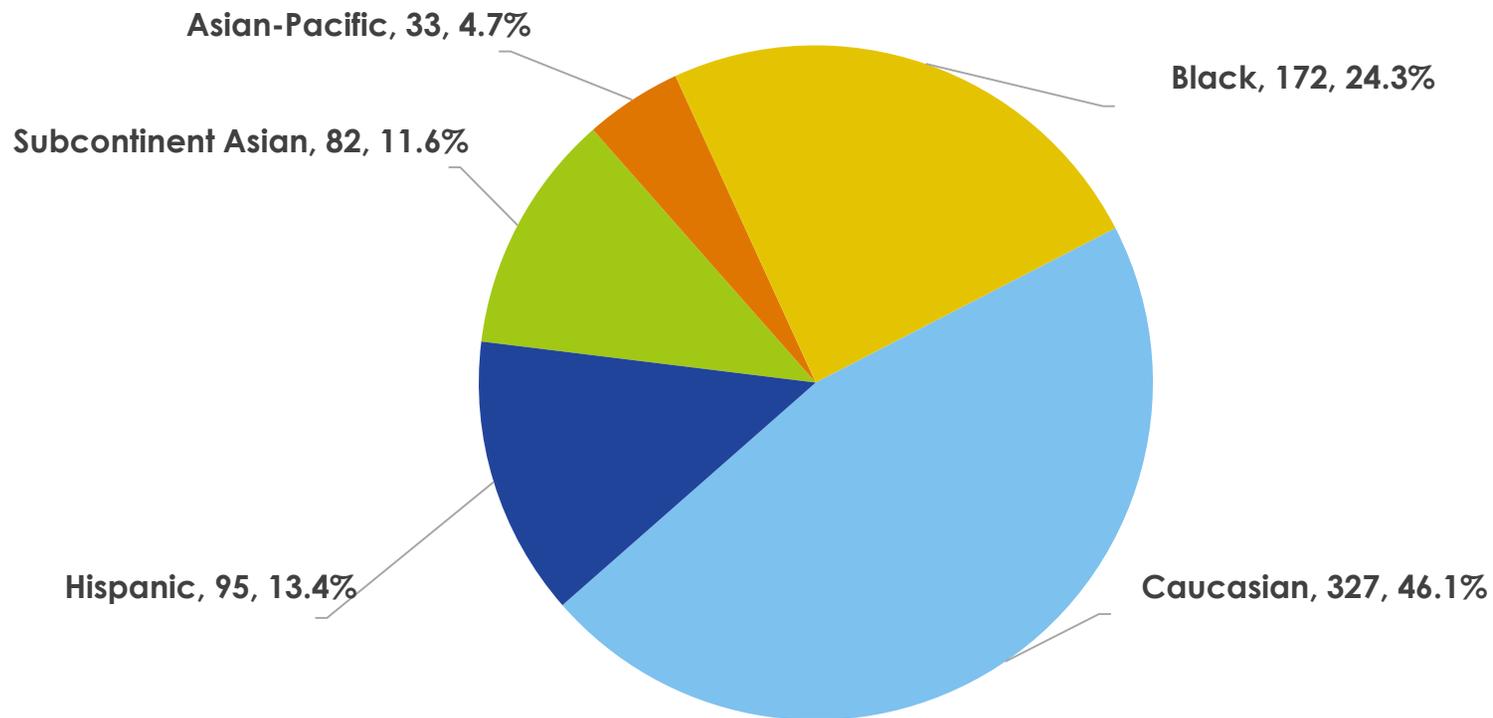
Business and Diversity Initiatives

Outreach Results By Business Type January 2021 – March 2021



Business and Diversity Initiatives

Outreach Results By Ethnicity January 2021 – March 2021



Metropolitan Transportation Authority Department of Diversity and Civil Rights

DBE Certification Activity Report

May 26, 2021



MTA DBE Certification Unit

CERTIFICATION ACTIVITY REPORT 2017 – 2021

	2017	2018	2019	2020	2021
New Applications Received	114	119	90	88	30
DBE Firms Certified in Current Year	46	39	43	53	11
DBE Firms Certified in Subsequent Year	29	37	20	9	0
Denied	0	0	0	0	0
Returned	4	14	4	5	2
Withdrawn	16	9	11	16	4
Application Closed	1	1	0	0	0
Decertified	3	2	5	1	0
Rejected	0	1	3	0	0
Delisted	0	0	0	0	1
Pending*	15	16	4	4	12**

*Applications pending from subsequent year(s)

**Current year applications under review

	2017	2018	2019	2020	2021
Annual Submissions Processed (Recertifications)	535	501	506	724	228



Metropolitan Transportation Authority Department of Diversity and Civil Rights

MTA-Wide Workforce
as of March 31, 2021

May 26, 2021



MTA-Wide Workforce as of March 31, 2021

Agency	TOTAL		Minorities		WHITES		BLACKS		HISPANICS		ASIANS		AI/AN*		NHOPI**		2+ RACES		VETERANS		
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	
B&T		1,195		685	57%	510	43%	309	26%	225	19%	85	7%	6	1%	1	0%	59	5%	78	7%
	F	255	21%	205	17%	50	4%	122	10%	50	4%	20	2%	2	0%	0	0%	11	1%	14	18%
	M	940	79%	480	40%	460	38%	187	16%	175	15%	65	5%	4	0%	1	0%	48	4%	64	82%
BUS		3,989		3243	81%	746	19%	1,791	45%	876	22%	358	9%	10	0%	10	0%	198	5%	69	2%
	F	515	13%	468	12%	47	1%	284	7%	138	3%	24	1%	1	0%	0	0%	21	1%	5	7%
	M	3,474	87%	2775	70%	699	18%	1,507	38%	738	19%	334	8%	9	0%	10	0%	177	4%	64	93%
C&D		117		65	56%	52	44%	17	15%	11	9%	31	26%	0	0%	0	0%	6	5%	2	2%
	F	43	37%	31	26%	12	10%	11	9%	7	6%	12	10%	0	0%	0	0%	1	1%	1	50%
	M	74	63%	34	29%	40	34%	6	5%	4	3%	19	16%	0	0%	0	0%	5	4%	1	50%
HQ		2,699		1539	57%	1,160	43%	588	22%	386	14%	410	15%	6	0%	2	0%	147	5%	101	4%
	F	880	33%	626	23%	254	9%	310	11%	127	5%	127	5%	0	0%	1	0%	61	2%	12	12%
	M	1,819	67%	913	34%	906	34%	278	10%	259	10%	283	10%	6	0%	1	0%	86	3%	89	88%
LIRR		7,318		2715	37%	4,603	63%	1,233	17%	854	12%	311	4%	21	0%	4	0%	292	4%	483	7%
	F	1,066	15%	565	8%	501	7%	329	4%	123	2%	59	1%	2	0%	1	0%	51	1%	20	4%
	M	6,252	85%	2150	29%	4,102	56%	904	12%	731	10%	252	3%	19	0%	3	0%	241	3%	463	96%
MNR		6,276		2474	39%	3,802	61%	1,239	20%	725	12%	196	3%	24	0%	1	0%	289	5%	464	7%
	F	802	13%	525	8%	277	4%	300	5%	121	2%	53	1%	4	0%	1	0%	46	1%	17	4%
	M	5,474	87%	1949	31%	3,525	56%	939	15%	604	10%	143	2%	20	0%	0	0%	243	4%	447	96%
NYCT		48,317		38386	79%	9,931	21%	22,299	46%	8,503	18%	5,881	12%	116	0%	16	0%	1,571	3%	862	2%
	F	9,014	19%	8374	17%	640	1%	6,148	13%	1,463	3%	459	1%	16	0%	3	0%	285	1%	65	8%
	M	39,303	81%	30012	62%	9,291	19%	16,151	33%	7,040	15%	5,422	11%	100	0%	13	0%	1,286	3%	797	92%
Total		69,911		49,107	70%	20,804	30%	27,476	39%	11,580	17%	7,272	10%	183	0%	34	0%	2,562	4%	2,059	3%

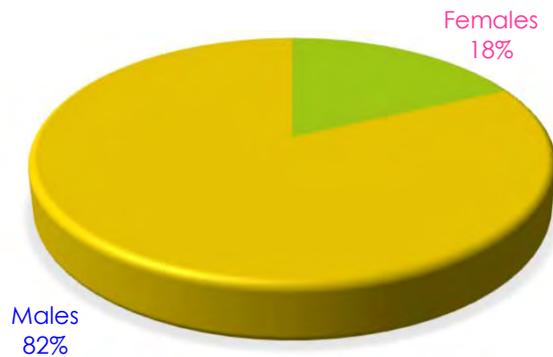
*American Indian/Alaskan Native

**Native Hawaiian Other Pacific Islander

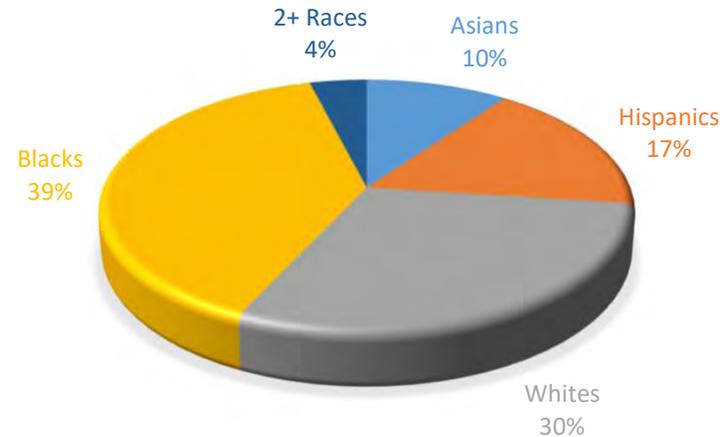


MTA-Wide Workforce as of March 31, 2021

Workforce By Gender



Workforce By Race/Ethnicity



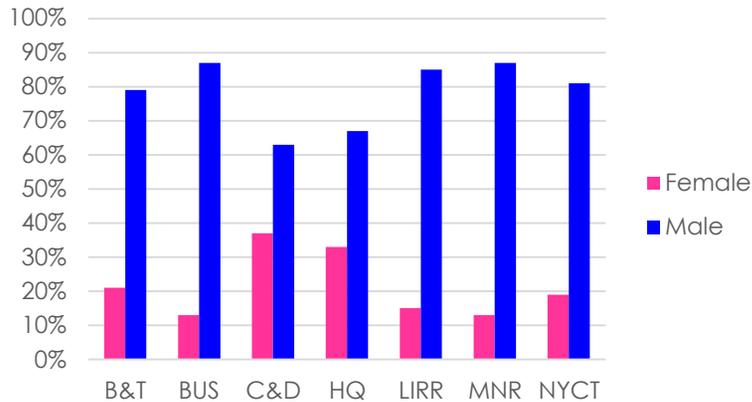
MTA employed **69,911** people: **18%** of the workforce were females, **70%** minorities, and veterans comprised **3%**.

- ❑ The percentage of females employed in the workforce has **remained constant** when compared to First Quarter 2020.
- ❑ The percentage of minorities in the workforce has **remained constant** when compared to First Quarter 2020.

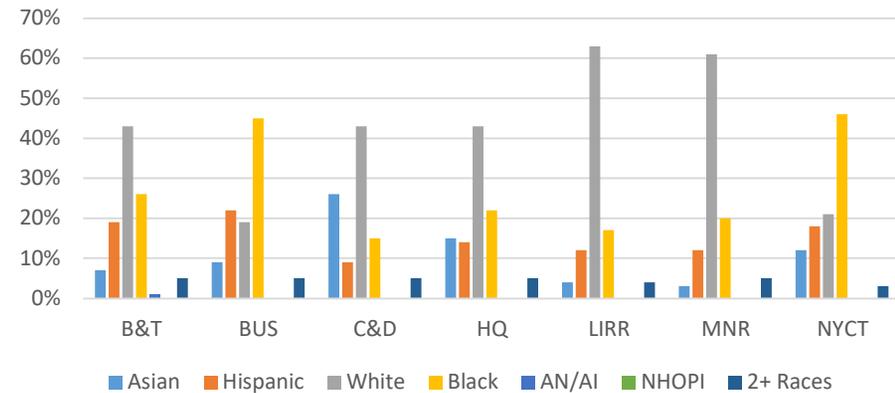


MTA-Wide Workforce by Gender and Race/Ethnicity as of March 31, 2021

MTA Agencies By Gender



MTA Agencies By Race/Ethnicity



Agency	Employees	Females	Minorities
B&T	1195	21%	57%
BUS	3989	13%	81%
C&D	117	37%	56%
HQ	2699	33%	57%
LIRR	7318	15%	37%
MNR	6276	13%	39%
NYCT	48,317	19%	79%



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.

As of March 31, 2021, a majority of the underrepresentation of **females, Asians, Blacks** and **Hispanics** occurred within the Technicians, Skilled Craft, Administrative Support 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, 2021

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOPI**		2+ Races		Whites	
		Est Avail	Actual %												
Officials & Administrators															
B&T	F	7%	11%	3%	2%	3%	5%	0%	0%	0%	0%	1%	2%	10%	6%
	M	8%	12%	7%	8%	6%	9%	0%	0%	0%	0%	3%	4%		
BUS	F	4%	10%	4%	3%	4%	3%	0%	0%	0%	0%	1%	2%	15%	5%
	M	8%	16%	8%	12%	7%	9%	0%	0%	0%	0%	1%	4%		
C&D	F	4%	7%	3%	4%	3%	8%	0%	0%	0%	0%	0%	0%	15%	12%
	M	4%	11%	3%	3%	9%	20%	0%	0%	0%	0%	1%	3%		
HQ	F	5%	13%	3%	4%	4%	6%	0%	0%	0%	0%	1%	2%	16%	14%
	M	7%	8%	4%	4%	6%	11%	0%	0%	0%	0%	1%	4%		
LIRR	F	5%	4%	2%	2%	1%	2%	0%	0%	0%	0%	1%	1%	9%	9%
	M	8%	9%	6%	9%	3%	5%	0%	0%	0%	0%	2%	4%		
MNR	F	5%	5%	2%	4%	2%	4%	0%	0%	0%	0%	1%	1%	7%	10%
	M	9%	9%	6%	6%	3%	5%	0%	0%	0%	0%	3%	4%		
NYCT	F	6%	12%	2%	2%	1%	3%	0%	0%	0%	0%	0%	1%	7%	6%
	M	18%	19%	9%	9%	8%	11%	0%	0%	0%	0%	2%	4%		

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, 2021

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOP1**		2+ Races		Whites	
		Est Avail	Actual %												
Professionals															
B&T	F	8%	18%	4%	11%	3%	3%	0%	0%	0%	0%	1%	1%	15%	12%
	M	7%	8%	8%	9%	4%	6%	0%	0%	0%	1%	1%	7%		
BUS	F	7%	18%	7%	11%	2%	7%	0%	0%	0%	0%	1%	3%	11%	8%
	M	8%	13%	6%	4%	12%	18%	0%	0%	0%	0%	1%	4%		
C&D	F	11%	22%	7%	6%	11%	28%	0%	0%	0%	0%	0%	0%	23%	6%
	M	9%	11%	6%	0%	8%	6%	0%	0%	0%	0%	1%	6%		
HQ	F	6%	16%	4%	5%	4%	7%	0%	0%	0%	0%	1%	3%	20%	9%
	M	5%	12%	4%	8%	5%	15%	0%	0%	0%	0%	1%	4%		
LIRR	F	3%	2%	2%	2%	2%	4%	0%	0%	0%	0%	0%	1%	12%	8%
	M	7%	13%	6%	10%	5%	12%	0%	0%	0%	0%	1%	4%		
MNR	F	7%	12%	4%	6%	2%	5%	0%	0%	0%	0%	1%	1%	9%	10%
	M	9%	8%	6%	8%	4%	8%	0%	0%	0%	0%	3%	5%		
NYCT	F	12%	17%	5%	5%	5%	7%	0%	0%	0%	0%	1%	2%	16%	7%
	M	8%	14%	4%	5%	8%	19%	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, 2021

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOPI**		2+ Races		Whites	
		Est Avail	Actual %												
Technicians															
B&T	F	11%	6%	3%	7%	0%	1%	0%	0%	0%	0%	0%	1%	2%	4%
	M	16%	10%	17%	16%	3%	5%	0%	1%	0%	0%	2%	1%		
BUS	F	4%	11%	3%	11%	3%	0%	0%	0%	0%	0%	0%	0%	6%	33%
	M	9%	0%	11%	0%	18%	11%	0%	0%	0%	0%	1%	11%		
C&D	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%	0%	0%	0%	0%	0%	0%	0%	1%	1%	6%	6%
	M	7%	7%	11%	11%	3%	5%	0%	0%	0%	1%	1%	0%		
LIRR	F	3%	8%	2%	0%	1%	0%	0%	0%	0%	0%	0%	0%	6%	0%
	M	10%	8%	8%	15%	5%	8%	0%	8%	0%	0%	1%	8%		
MNR	F	2%	4%	1%	2%	1%	0%	0%	0%	0%	0%	0%	2%	3%	3%
	M	13%	19%	9%	8%	3%	7%	0%	1%	0%	0%	3%	4%		
NYCT	F	4%	14%	5%	2%	4%	2%	0%	0%	0%	0%	0%	1%	21%	2%
	M	6%	26%	5%	10%	5%	16%	0%	0%	0%	0%	0%	6%		

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, 2021

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOP1**		2+ Races		Whites	
		Est Avail	Actual %												
Protective Services															
B&T	F	9%	13%	4%	3%	0%	0%	0%	0%	0%	0%	0%	1%	3%	2%
	M	12%	20%	15%	22%	3%	4%	0%	0%	0%	0%	1%	3%		
BUS	F	10%	0%	4%	17%	1%	0%	0%	0%	0%	0%	0%	0%	2%	17%
	M	29%	50%	15%	17%	5%	0%	0%	0%	0%	0%	2%	0%		
C&D	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%	5%	0%	0%	0%	0%	0%	0%	0%	1%	7%	6%
	M	7%	9%	8%	17%	2%	5%	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	8%	11%	3%	3%	1%	0%	0%	0%	0%	0%	0%	1%	3%	1%
	M	26%	37%	15%	24%	3%	6%	0%	0%	0%	0%	0%	2%		

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



MTA-Wide Underutilization Analysis as of March 31, 2021

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOPI**		2+ Races		Whites	
		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%		
C&D	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	7%	9%	7%	9%	0%	0%	0%	0%	0%	0%	0%	0%	33%	36%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	7%	9%		
NYCT	F	5%	32%	5%	16%	2%	4%	0%	0%	0%	0%	0%	6%	16%	4%
	M	2%	22%	1%	6%	1%	4%	0%	0%	0%	0%	0%	0%		

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



MTA-Wide Underutilization Analysis as of March 31, 2021

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOP1**		2+ Races		Whites	
		Est Avail	Actual %												
Administrative Support															
B&T	F	27%	46%	11%	8%	6%	15%	0%	0%	0%	0%	0%	8%	21%	12%
	M	1%	0%	1%	0%	4%	0%	0%	0%	0%	0%	0%	0%		
BUS	F	7%	12%	7%	9%	2%	4%	0%	0%	0%	0%	1%	3%	7%	3%
	M	22%	19%	16%	4%	6%	15%	0%	0%	0%	0%	2%	8%		
C&D	F	12%	13%	12%	25%	3%	0%	0%	0%	0%	0%	2%	13%	26%	0%
	M	1%	13%	1%	13%	1%	0%	0%	0%	0%	0%	0%	13%		
HQ	F	11%	37%	11%	9%	4%	3%	0%	0%	0%	0%	1%	5%	41%	20%
	M	2%	12%	2%	9%	1%	3%	1%	0%	0%	0%	0%	2%		
LIRR	F	13%	20%	8%	6%	3%	2%	0%	0%	0%	0%	1%	2%	21%	20%
	M	6%	10%	4%	4%	2%	2%	0%	0%	0%	0%	2%	3%		
MNR	F	9%	21%	3%	7%	1%	2%	0%	0%	0%	0%	1%	3%	4%	9%
	M	16%	15%	9%	8%	1%	1%	0%	0%	0%	0%	3%	3%		
NYCT	F	15%	34%	16%	6%	7%	3%	0%	0%	0%	0%	0%	2%	16%	3%
	M	6%	20%	8%	7%	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, 2021

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOP1**		2+ Races		Whites	
		Est Avail	Actual %												
Skilled Craft															
B&T	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
BUS	F	2%	0%	1%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	22%	34%	22%	15%	8%	11%	0%	0%	0%	0%	4%	8%		
C&D	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%	1%	0%	5%	5%
	M	13%	12%	10%	11%	3%	3%	0%	0%	1%	0%	3%	3%		
MNR	F	1%	1%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	1%	1%
	M	14%	16%	9%	10%	1%	1%	1%	0%	0%	0%	3%	4%		
NYCT	F	3%	4%	1%	1%	0%	0%	0%	0%	0%	0%	0%	0%	1%	0%
	M	23%	33%	19%	13%	8%	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, 2021

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOPi**		2+ Races		Whites	
		Est Avail	Actual %												
Service Maintenance															
B&T	F	1%	1%	4%	2%	0%	0%	0%	0%	0%	0%	0%	0%	1%	1%
	M	15%	20%	16%	14%	3%	4%	0%	1%	0%	0%	2%	5%		
BUS	F	8%	8%	7%	4%	1%	0%	0%	0%	0%	0%	0%	0%	3%	1%
	M	26%	42%	15%	21%	6%	7%	0%	0%	0%	0%	1%	3%		
C&D	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
HQ	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
LIRR	F	6%	8%	4%	3%	1%	0%	0%	0%	0%	0%	0%	1%	6%	5%
	M	12%	20%	15%	12%	2%	2%	0%	0%	0%	0%	2%	2%		
MNR	F	5%	8%	3%	3%	0%	0%	0%	0%	0%	0%	1%	1%	2%	7%
	M	17%	17%	13%	11%	1%	1%	0%	0%	0%	0%	3%	3%		
NYCT	F	7%	16%	7%	4%	1%	0%	0%	0%	0%	0%	0%	1%	3%	1%
	M	19%	40%	24%	19%	5%	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

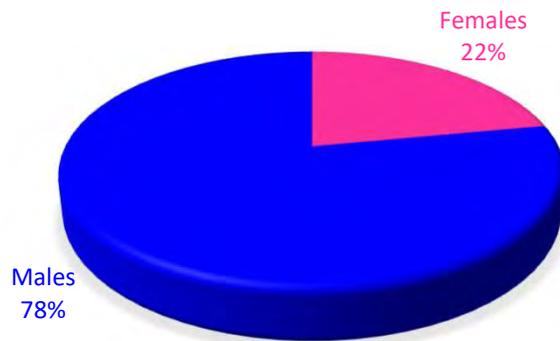
MTA-Wide New Hires and Veterans
First Quarter 2021

May 26, 2021

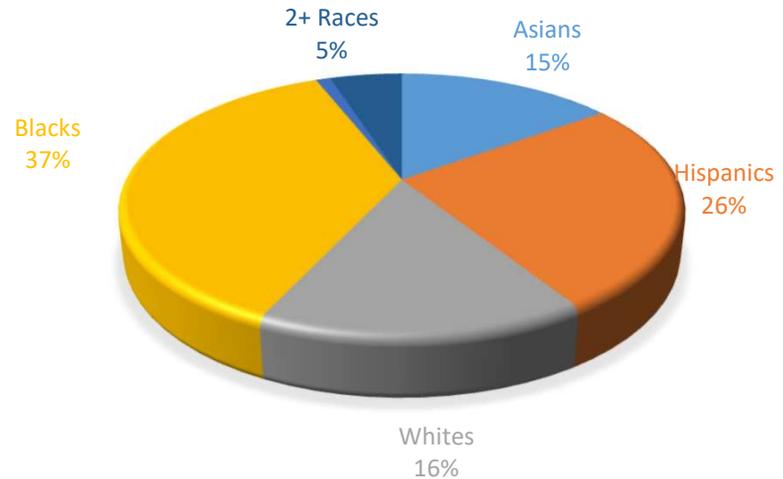


MTA-Wide New Hires January 1, 2021 to March 31, 2021

New Hires By Gender



New Hires By Race/Ethnicity



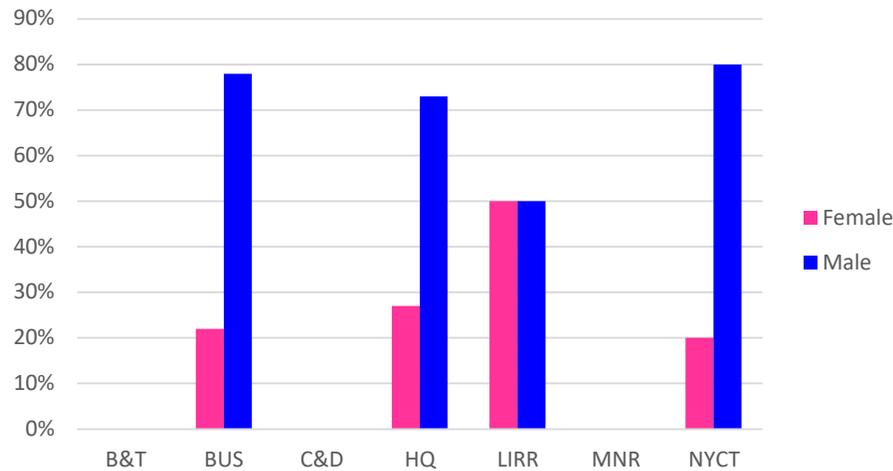
MTA hired **341** employees, including **11** veterans: **22%** of new hires were females and minorities comprised **84%**.

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

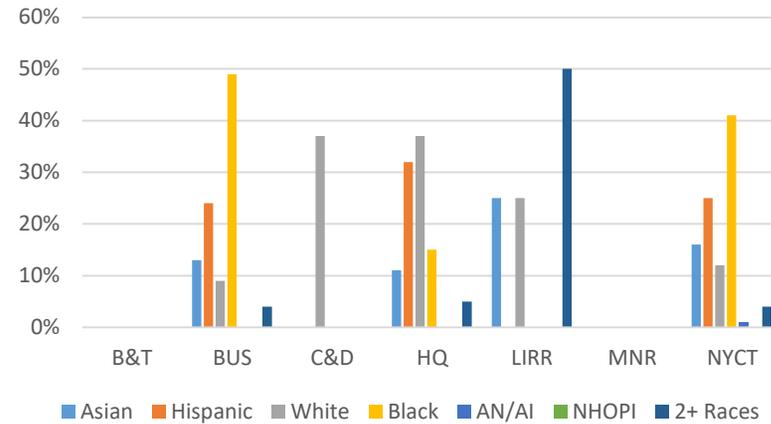


New Hires By Agency January 1, 2021 to March 31, 2021

MTA Agencies New Hires By Gender



MTA Agencies New Hires By Race/Ethnicity



Agency	New Hires	Females	Minorities
B&T	0	0%	0%
BUS	45	22%	91%
C&D	0	0%	0%
HQ	62	27%	63%
LIRR	4	50%	75%
MNR	0	0%	0%
NYCT	230	20%	88%



Metropolitan Transportation Authority Department of Diversity and Civil Rights

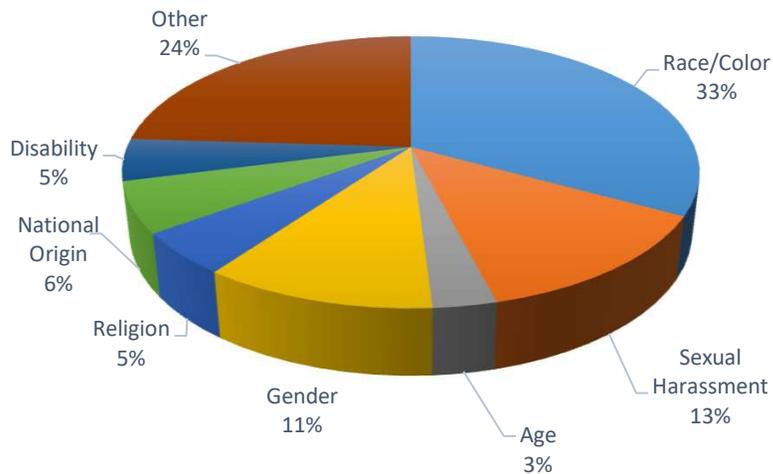
MTA-Wide Complaints and Lawsuits First Quarter 2021



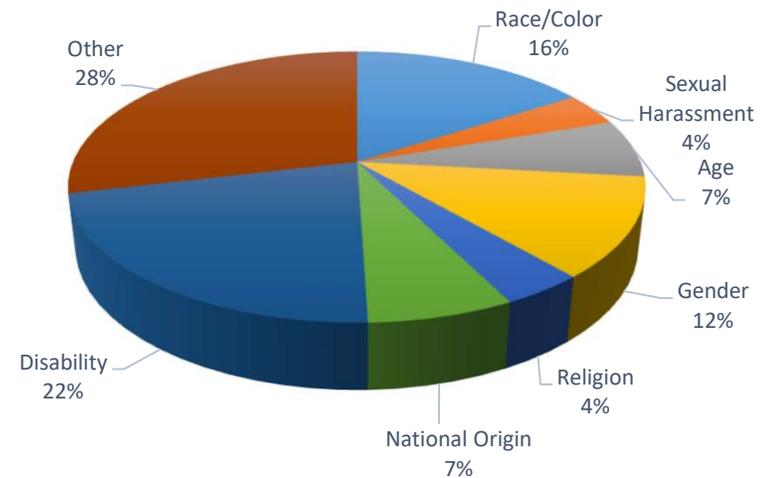
May 26, 2021

MTA-Wide EEO Internal/External Discrimination Complaints by Bases January 1, 2021 to March 31, 2021

Internal EEO Complaints by Bases



External EEO Complaints by Bases



MTA handled **321** EEO complaints, citing **622** separate bases, and **99** lawsuits.

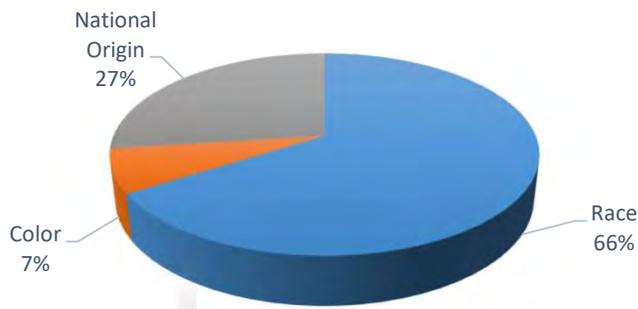
- ❑ **173** filed internal complaints.
- ❑ **148** filed external complaints.
- ❑ The most frequently cited bases internally was race/color.



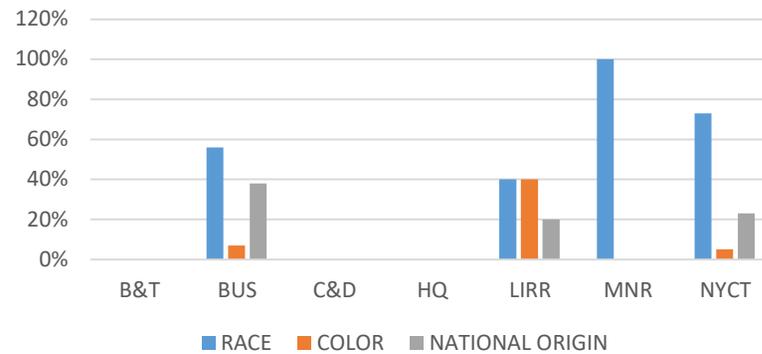
Note: Complaints can be filed alleging multiple bases.

MTA-Wide Title VI Complaints by Bases and Lawsuits January 1, 2021 to March 31, 2021

MTA-Wide Title VI Complaints by Bases



Title VI Complaints by Agency



MTA handled a total of **89** Title VI complaints with **99** bases and **0** Title VI lawsuits.

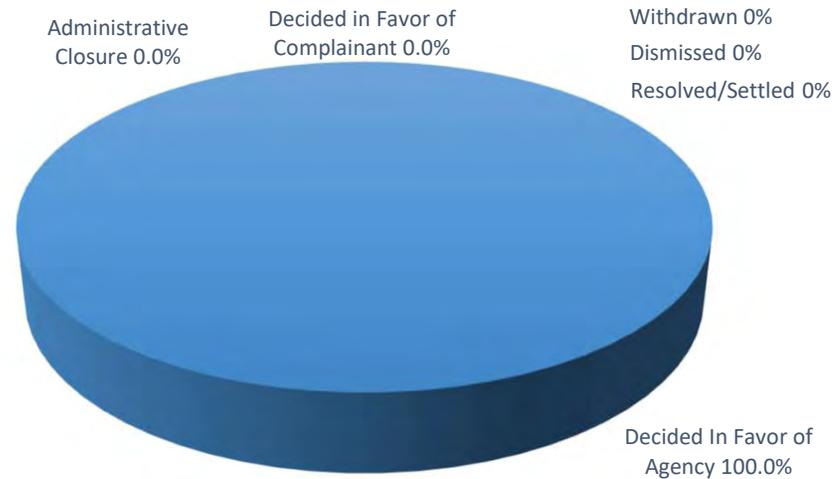
Agency	Complaints	Bases	Race	Color	National Origin
BUS	42	45	56%	7%	38%
LIRR	3	5	40%	40%	20%
MNR	9	9	100%	0%	0%
NYCT	35	40	73%	5%	23%

Note: Complaints can be filed alleging multiple bases.



MTA-Wide Title VI Complaints and Lawsuits Dispositions January 1, 2021 to March 31, 2021

Overall Title VI Complaints and Lawsuits Dispositions



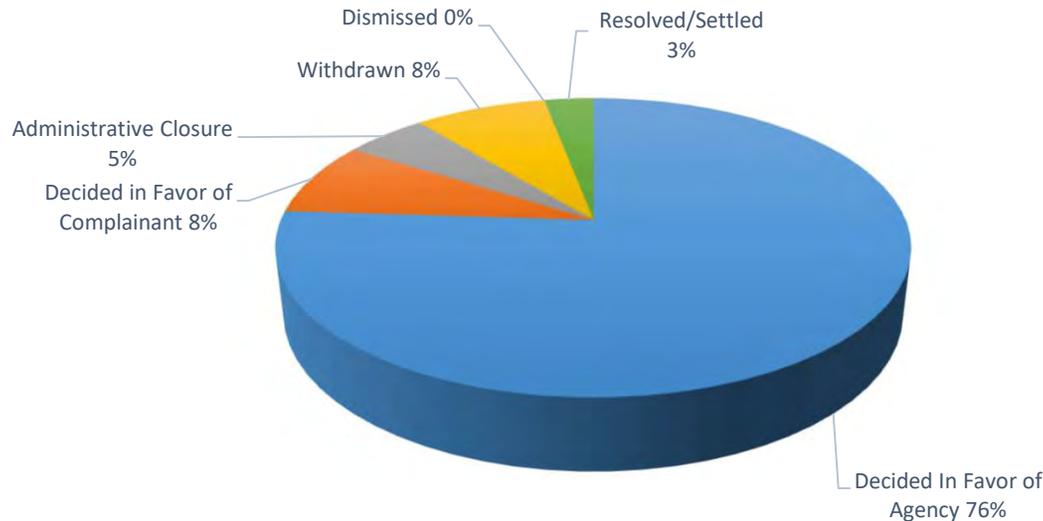
MTA disposed of **47** Title VI complaints and **0** Title VI lawsuits

- ❑ **100%** complaints decided in favor of the agency.
- ❑ **0%** complaints decided in favor of the complainant.
- ❑ **0%** complaints were administrative closures.
- ❑ **0%** complaints were withdrawn.
- ❑ **0%** complaints were dismissed.
- ❑ **0%** complaints were resolved/settled.



MTA-Wide EEO Complaints and Lawsuits Dispositions January 1, 2021 to March 31, 2021

Overall EEO Complaints and Lawsuits Dispositions



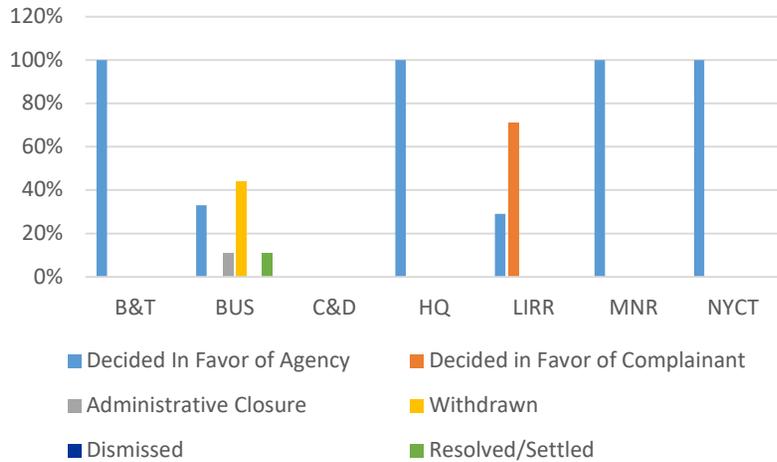
MTA disposed **59** EEO complaints and **6** EEO lawsuits.

- ❑ **76%** complaints/lawsuits decided in favor of the agency.
- ❑ **8%** complaints /lawsuits decided in favor of the complainant.
- ❑ **5%** complaints/lawsuits were administrative closures.
- ❑ **8%** complaints/lawsuits were withdrawn.
- ❑ **0%** complaints/lawsuits were dismissed.
- ❑ **3%** complaints/lawsuits were resolved/settled.

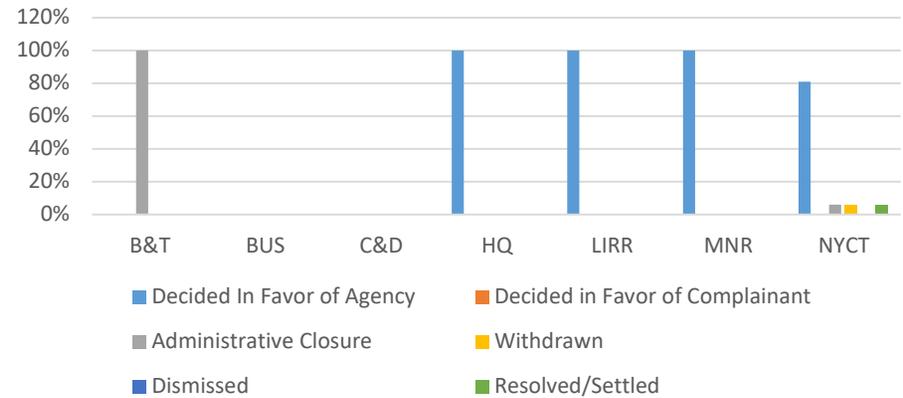


MTA-Wide Internal/External EEO Complaints and Lawsuits Dispositions January 1, 2021 to March 31, 2021

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/SDVOB Results

May 26, 2021



Small Business Development Program

Mission Statement

To develop and grow emerging contractors through classes, on-the-job training and technical assistance on 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 up to \$3 million
- 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 million
- Fast-Track Payments – 10 Business Days



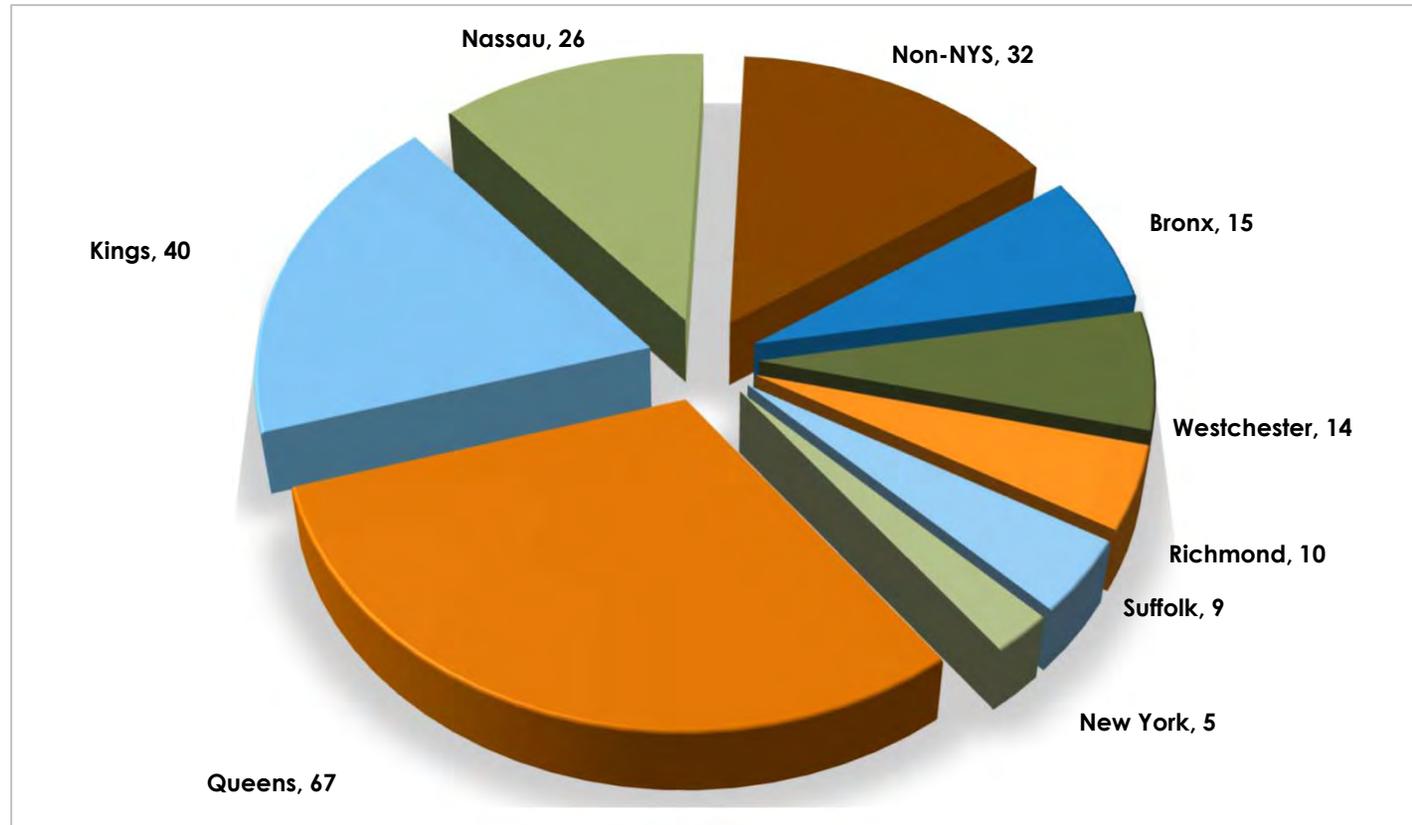
SBDP Represents NY Metro Region

Small Business Mentoring Program All Tiers

Certification	
MBE	132
WBE	26
DBE	53
SDVOB	11
Non-Certified	71

firms may have multiple certifications

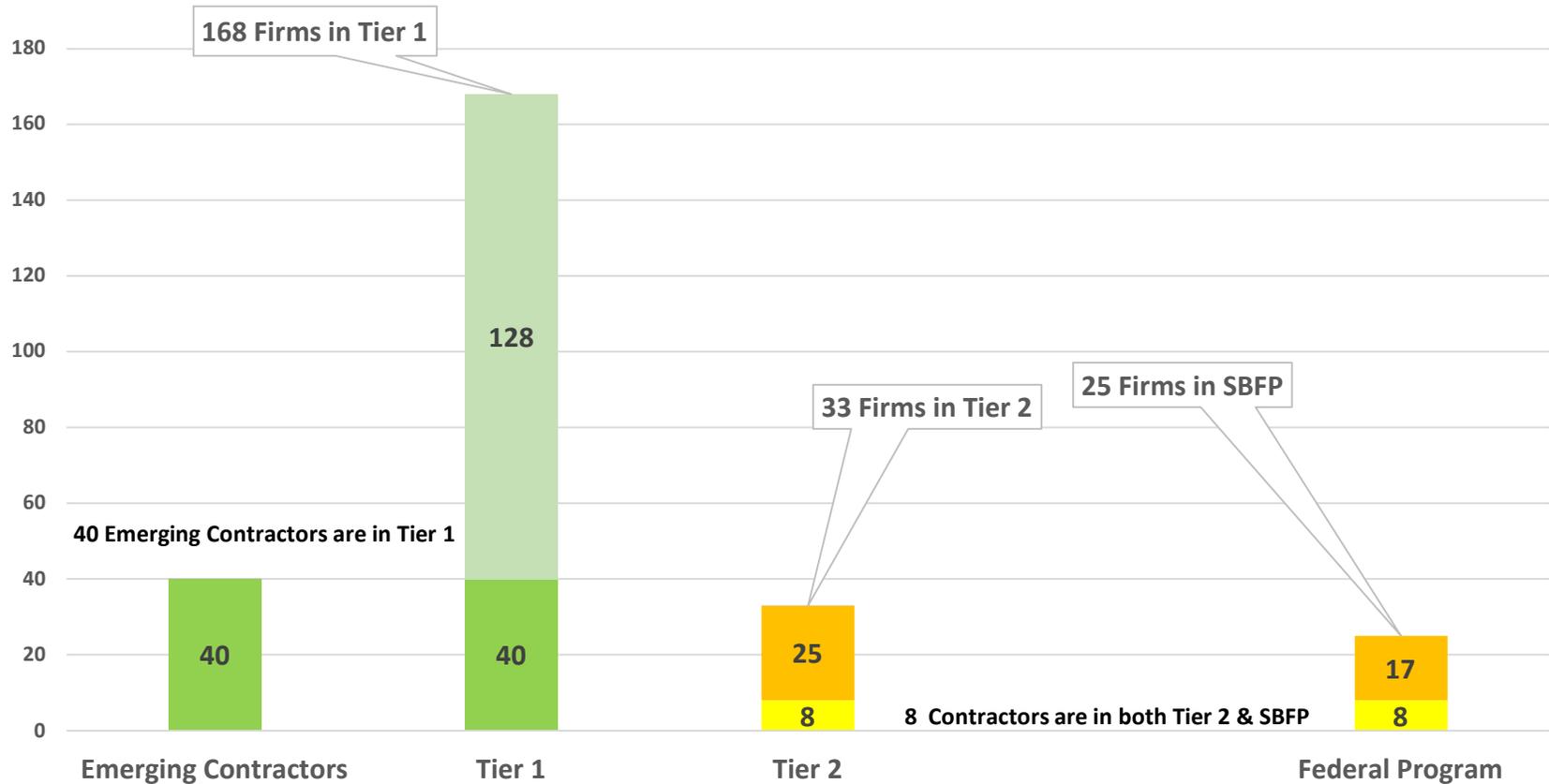
218* Prequalified Firms (as of March 31, 2021)



* Note: 8 firms are in both Tier 2 and SBFP with each only counted once above.



SBDP Tier Participants

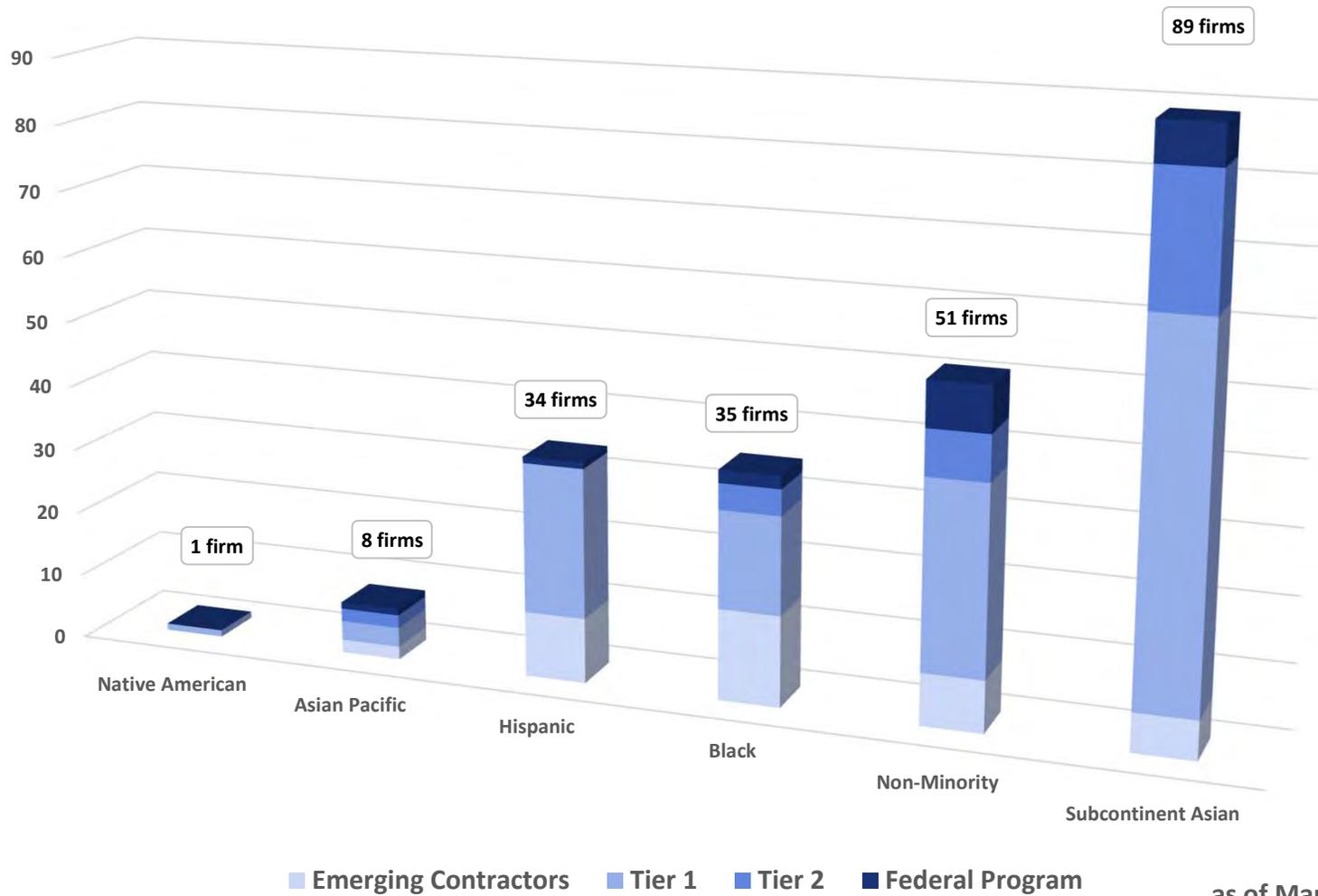


as of March 31, 2021



SBDP Tiers are also Diverse

Ethnicity of Prequalified Contractors in Program Tiers

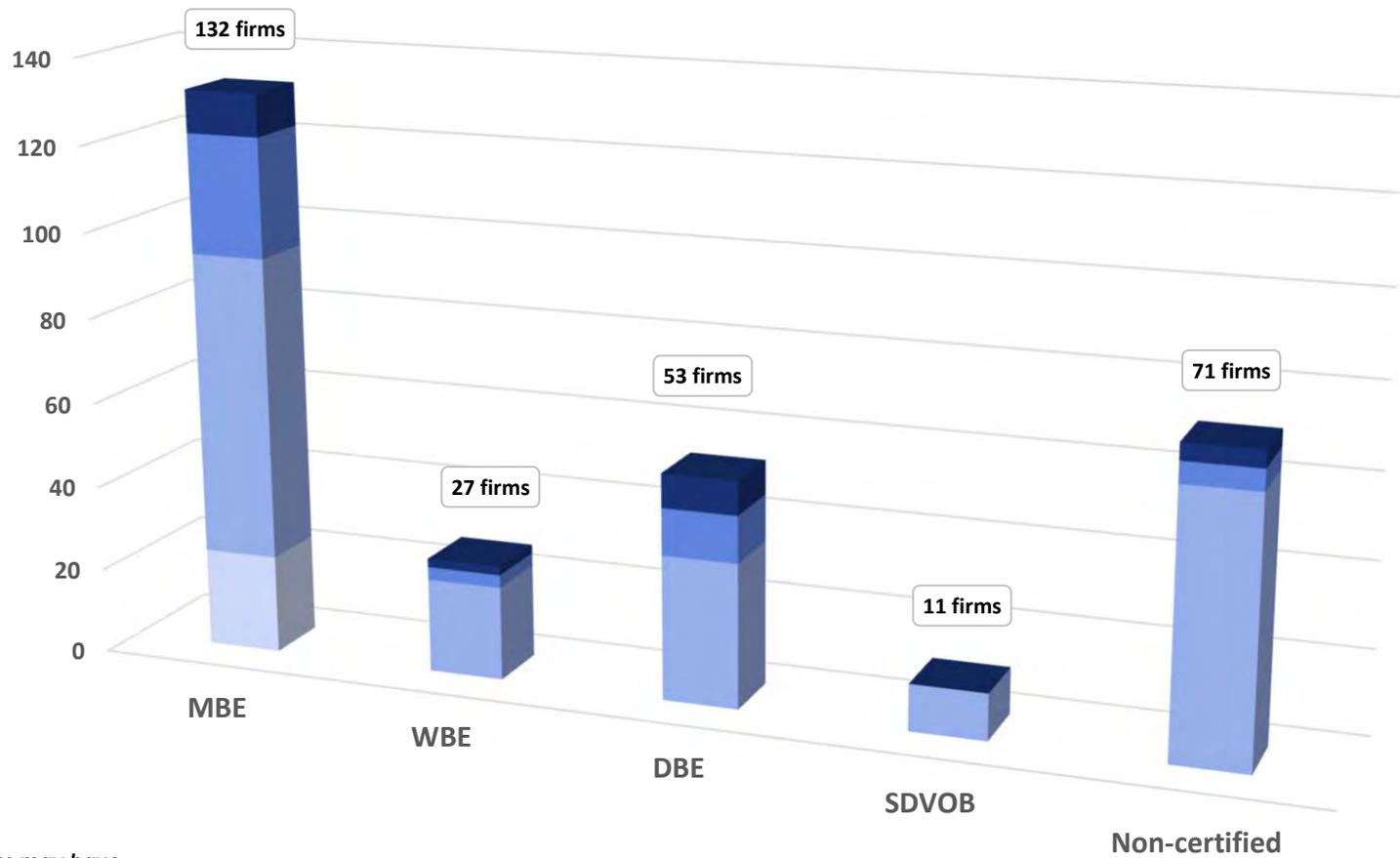


as of March 31, 2021



SBDP Certifications

Certifications of Prequalified Contractors in Program Tiers



firms may have multiple certifications

■ Emerging Contractors
 ■ Tier 1
 ■ Tier 2
 ■ Federal Program

as of March 31, 2021

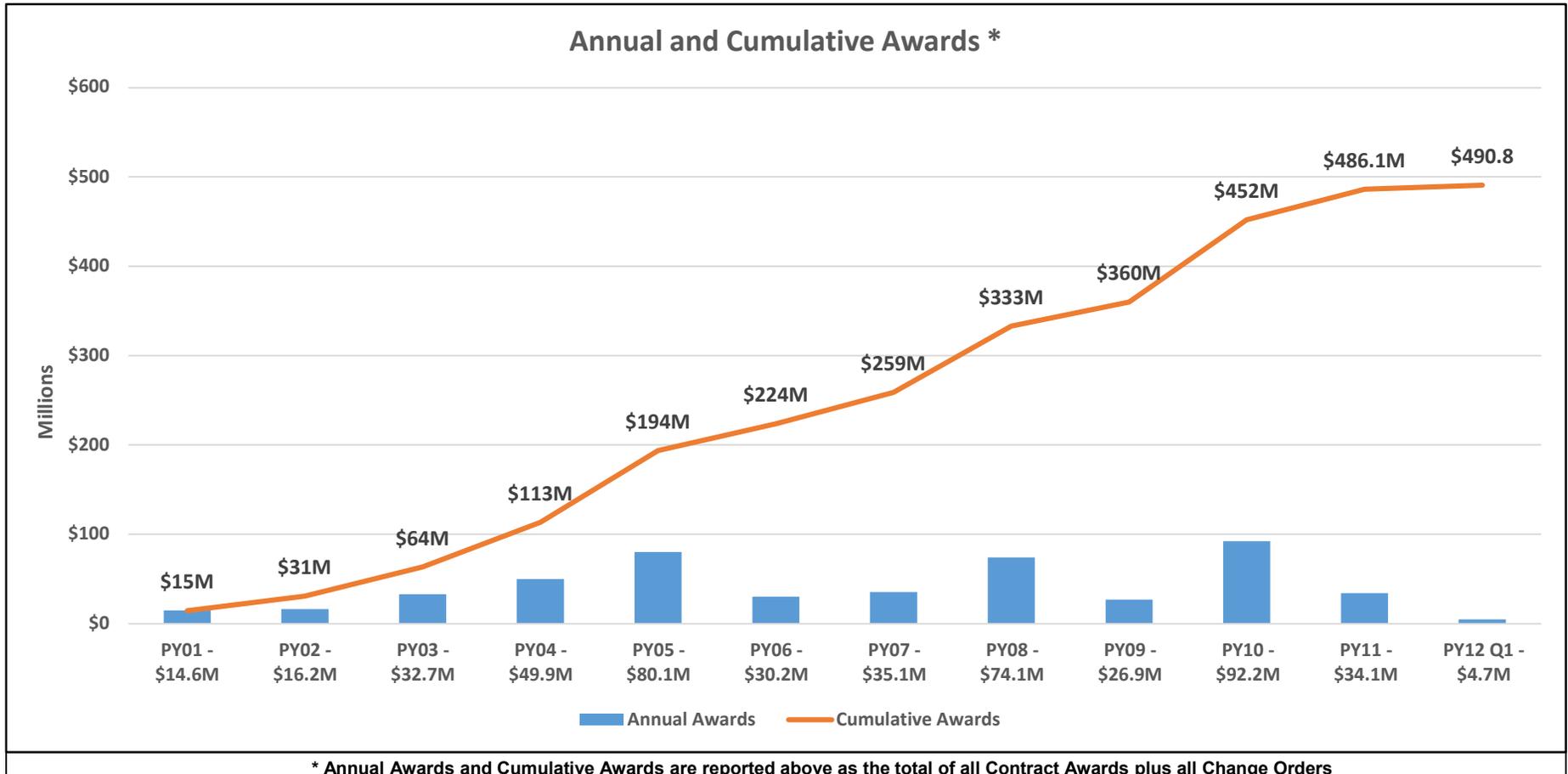


SBDP is Exceeding MWDBE Goals

- 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
 - **68%** - contract dollars awarded to NYS-certified MWBEs
- Tier 2 MWBE Achievements
 - **89%** - contracts awarded to NYS-certified MWBEs
 - **87%** - contracts dollars awarded to NYS-certified MWBEs
- Federal Program DBE Achievements
 - **67%** - contracts awarded to DBEs
 - **64%** - contracts dollars awarded to DBEs
- SDVOB Achievements
 - **1%** - contracts awarded to SDVOBs
 - **1%** - contract dollars awarded to SDVOBs



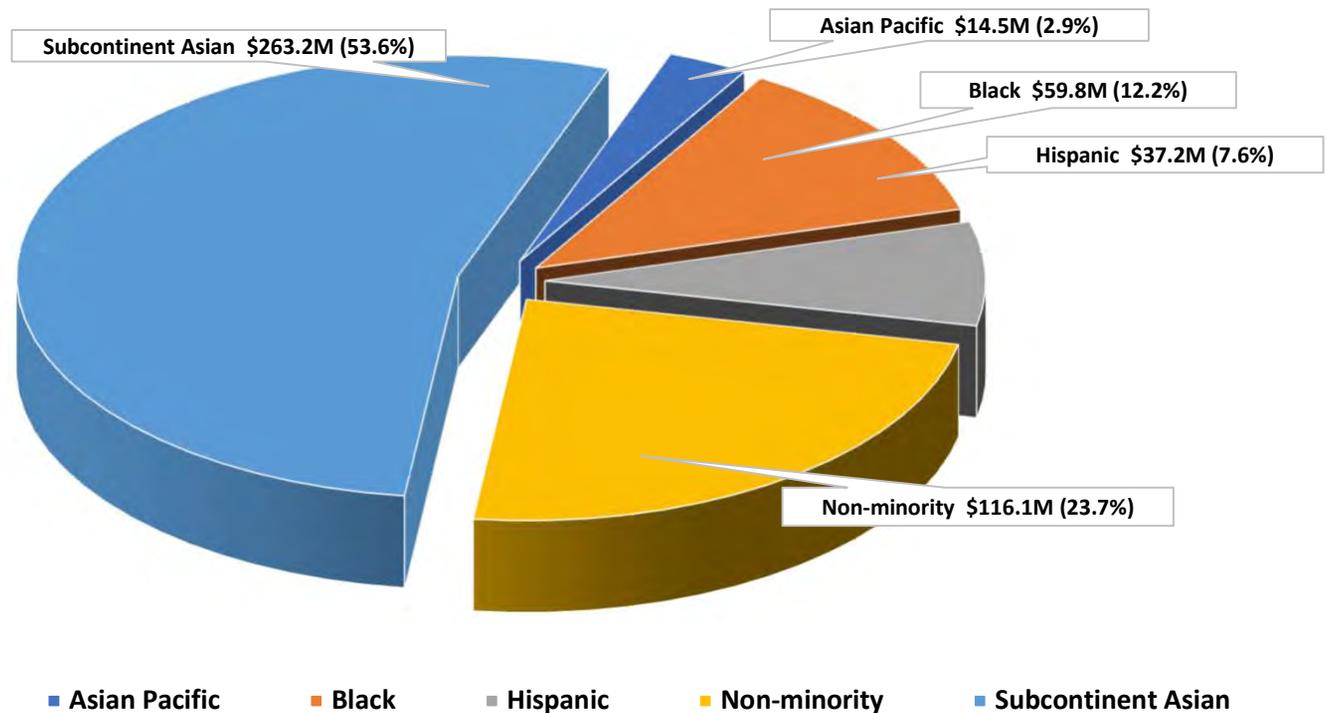
SBDP Prime Contract Opportunities



Program Year 1-12 awards through March 31, 2021

SBDP Contract Awards

Total SBDP Contract Awards by Ethnic Categories



Category	Awards
Subcontinent Asian	\$263.2M
Non-Minority/Other	\$116.1M
Black	\$ 59.8M
Hispanic	\$ 37.2M
Asian Pacific	\$ 14.5M
Total SBDP Awards	\$490.8M

(Awards in Millions of Dollars)

Contract Awards through March 31, 2021



SBDP Loan Program

Loan values shown are through March 31, 2021

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	9 Loans	totaling	\$1,378,000
Year 11	10 Loans	totaling	\$1,391,000
Year 12	1 Loan	totaling	\$ 92,000

Total 131 Loans Totals \$18,323,500

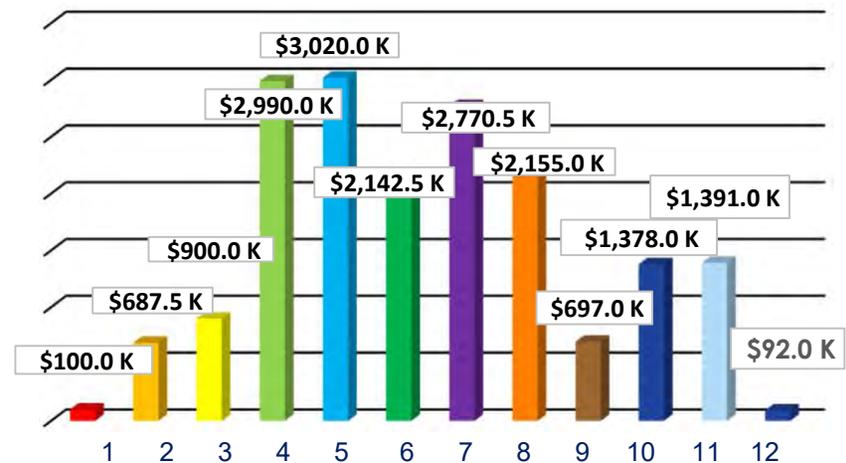
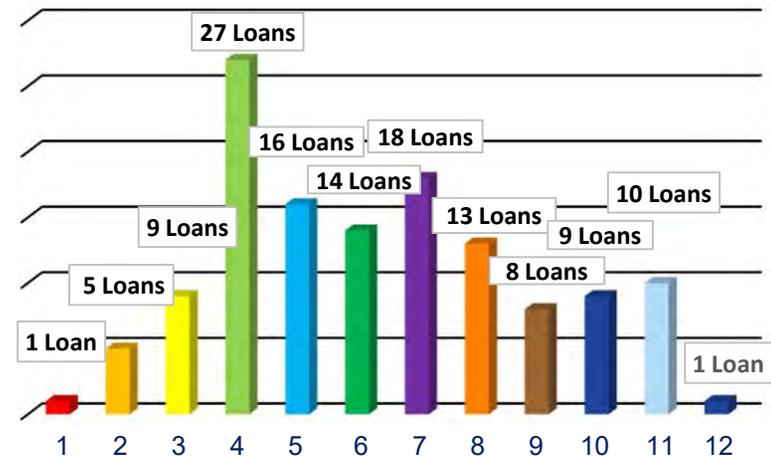
Maximum Loan Available: Tier 1 - up to \$150,000
SBFP and Tier 2 - up to \$900,000

Note: On January 1, 2019, the SBDP began reporting on a Calendar year instead of a Fiscal year.

Year 9 now only represents activity from August 1st 2018 to December 31st, 2018

Year 10 represents calendar year 2019. Year 11 represents calendar year 2020.

Year 12 reflects First Quarter 2021 only.



SBDP Awards

➤ Program Year	Tier	Dollars Awarded
➤ 2010 – 2021	SBMP-Tier 1	Awards total \$187.7 Million
➤ 2015 – 2021	SBMP-Tier 2	Awards total \$176.3 Million
➤ 2013 – 2021	SBFP	Awards total \$126.8 Million
	All Tiers	Awards total \$490.8 Million



SBDP Facilitates Bonding and Growth

- The Small Business Development Bond Program has assisted Tier 2 and SBFP firms in securing **\$464 million** in surety bonds.
- **1,127** bid opportunities in the **Tier 2** and **Federal** programs
- **153** contract awards in the **Tier 2** and **Federal** programs
- 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 **200** classroom training dates completed from July 2010 through March 2021
- Over **1,800** hours of classroom training provided from July 2010 through March 2021
- More than **775** firms have participated in the training since the inception of the program
 - Over **400** of these firms have applied to and prequalified into the SBMP
- All prequalified contractors complete a mandatory 18-session training program
- Over **25** course attendees were registered for the recent training sessions
 - assisting them through the application and pre-qualification process



Training Classes Continue to Evolve

- Regular review and update of topics, materials and instructors
- New topics include Project Management and Strategic Business Development
- Mandatory training spans technical, organizational, and business operations

- Course topics include:
 - Doing Business with the MTA and Prime Contractors
 - Prevailing Wages / Project Management
 - Estimating and Bidding Strategies at the MTA
 - Project Scheduling at the MTA
 - Cash Flow and Financial Management
 - Safety and Quality Planning at the MTA
 - Requisition and Change Order Process
 - Business Communications
 - Marketing Your Business to the NY Construction Industry
 - Construction Law
 - 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
- **Over 400** In-Person Assessments Completed
- **Over 375** 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 MTA C&D
- 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**



Metropolitan Transportation Authority Department of Diversity and Civil Rights

M/W/DBE and SDVOB
Contract Compliance

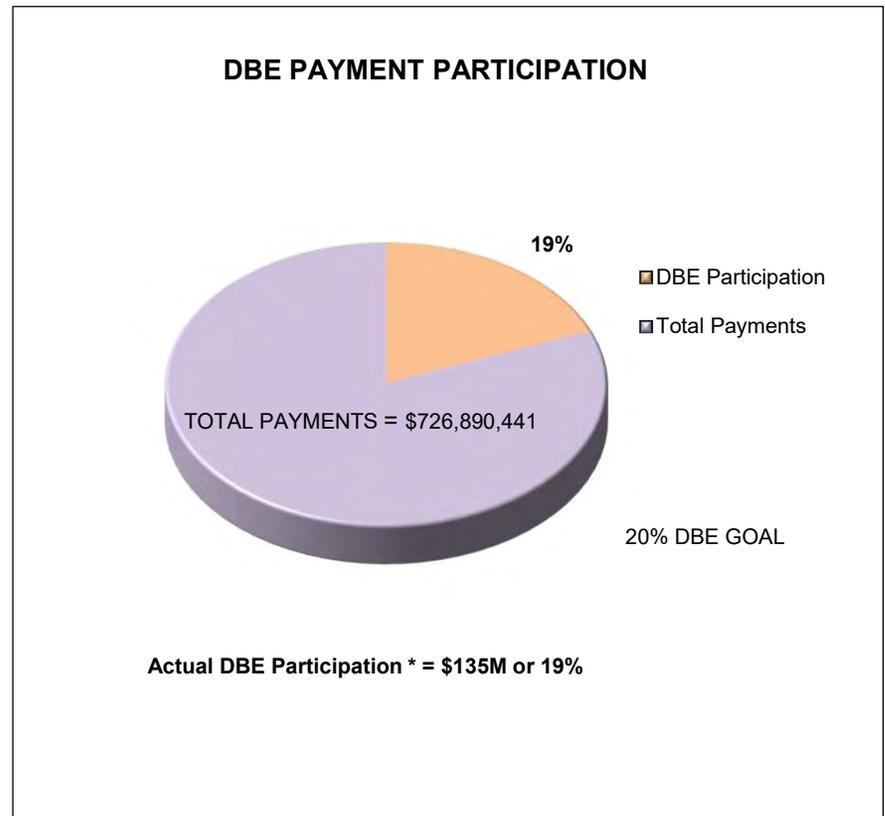
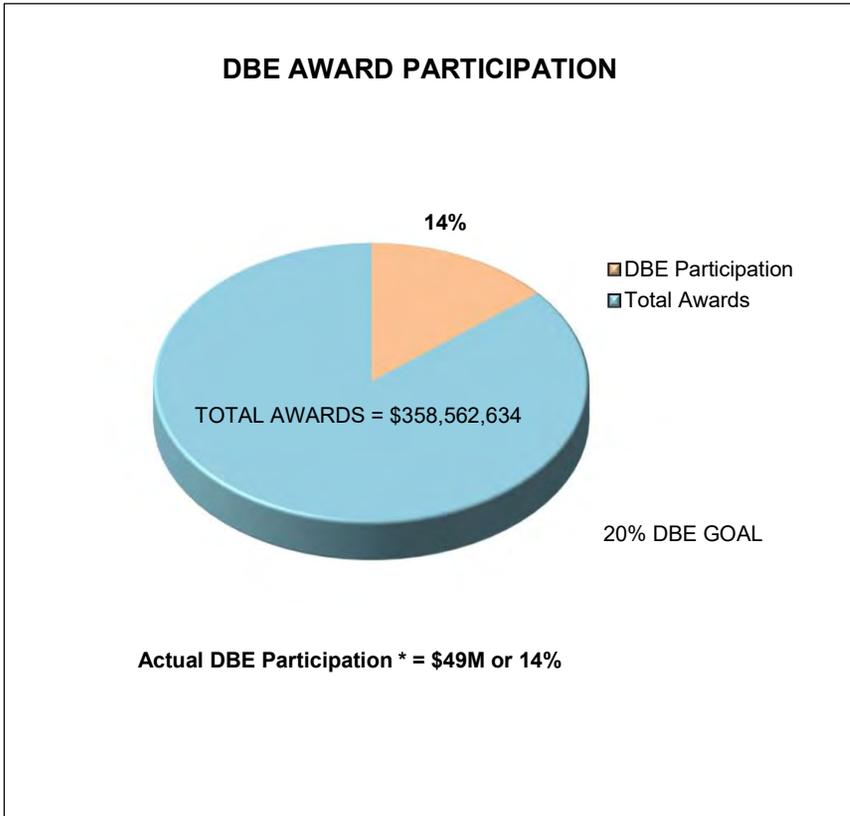
May 26, 2021



**DBE Participation in Federally Funded Contracts
Federal Fiscal Year 2021
(Reporting Period: October 1, 2020 to March 31, 2021)**

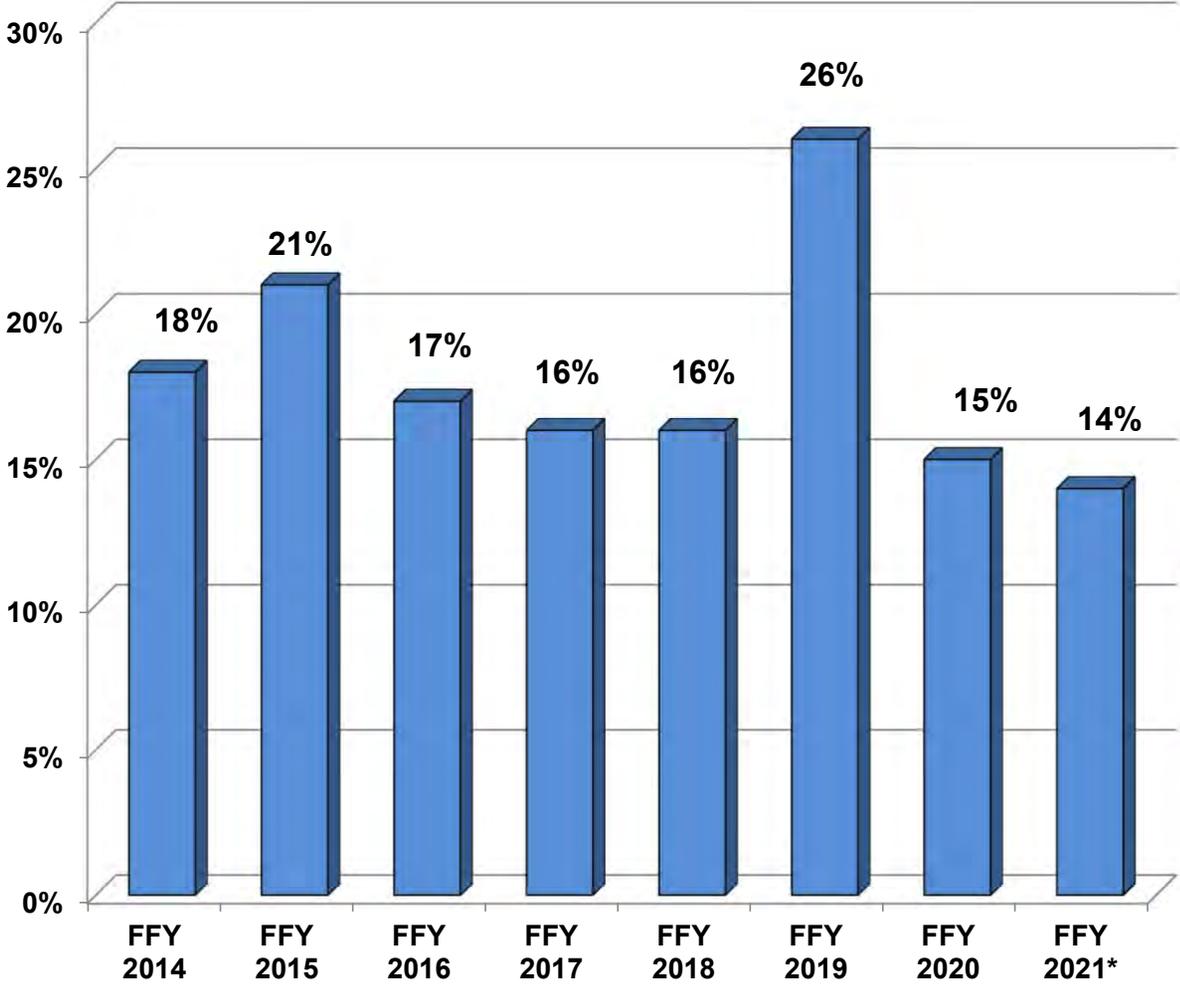
- Each year, MTA reports to the Federal Transit Administration on a semi-annual basis DBE participation in federally funded contracts.
- Reports are submitted on June 1st -- covering October through March, and December 1st -- covering April through September. The December report also summarizes data for the entire Federal Fiscal Year (“FFY”).
- Reports include DBE participation data on new awards and payments on ongoing, and completed contracts.
- For FFY 2021, MTA’s DBE goal is 20%.
- During the first half of FFY 2021, MTA awarded \$359 million in the federally funded portion of contracts, with \$49 million (14%) being awarded to certified DBEs.
- During the first half of FFY 2021, MTA paid prime contractors \$727 million, with payments to certified DBEs totaling \$135 million (19%).
- On contracts closed during the first half of FFY 2021, MTA achieved 10% DBE participation.

FEDERALLY-FUNDED CONTRACTS
DBE CONTRACT ACTIVITY
FEDERAL FISCAL YEAR 2021(OCTOBER 2020-MARCH 2021)



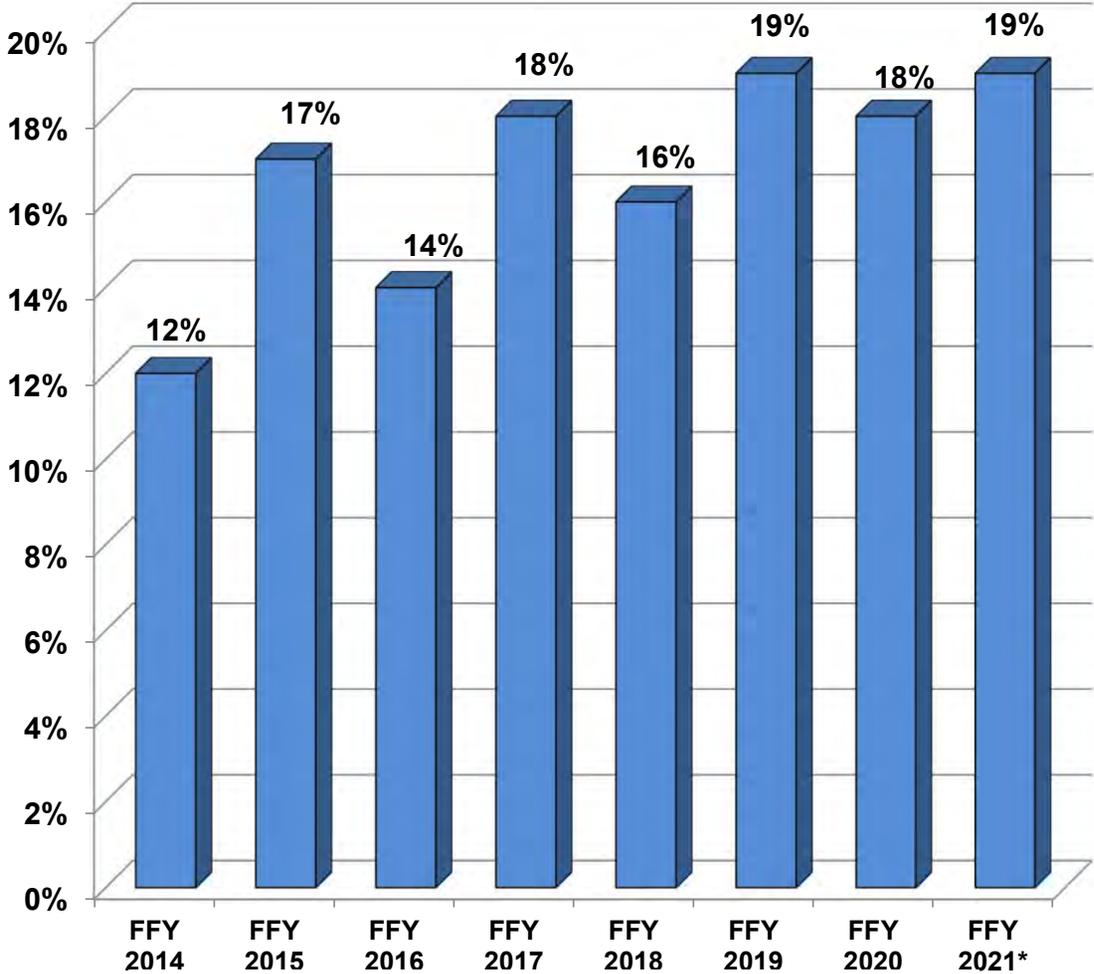
* First half of the Federal Fiscal Year 2021

DBE CONTRACT AWARDS
October 2014 - March 2021



* First half of the Federal Fiscal Year 2021

DBE CONTRACT PAYMENTS
October 2014 - March 2021



* First half of the Federal Fiscal Year 2021

**FEDERALLY-FUNDED CONTRACTS
DBE CONTRACT ACTIVITY
FEDERAL FISCAL YEAR 2021 (OCTOBER 2020-MARCH 2021)**

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 October 2020- March 2021	574	\$358,562,634	56	\$49,383,333	14%	20%
TOTAL	**574	\$358,562,634	56	\$49,383,333	14%	20%

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 October 2020- March 2021	737	\$726,890,441	565	\$135,446,796	19%	20%
TOTAL	737	\$726,890,441	565	\$135,446,796	19%	20%

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

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

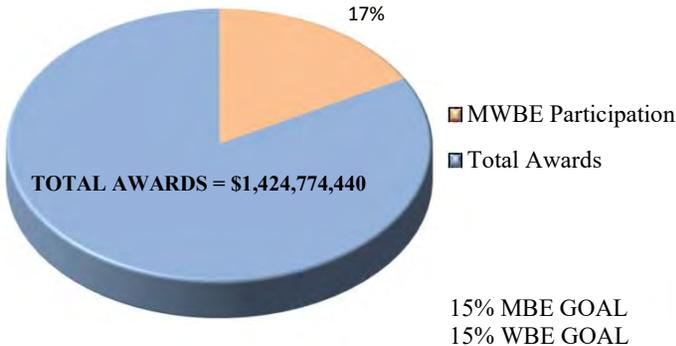
MWBE Participation in State Funded Contracts New York State Fiscal Year 2020-2021*

- 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 2020-2021, starting April 1, 2020.
- From April 1, 2020 to March 31, 2021, MTA awarded \$1.4 billion in New York State funded contracts, with \$240 million (17%) awarded to certified MWBEs.
- From April 1, 2020 to March 31, 2021, MTA paid approximately \$3 billion on prime contracts with \$909 million (31%), paid to MWBEs.

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

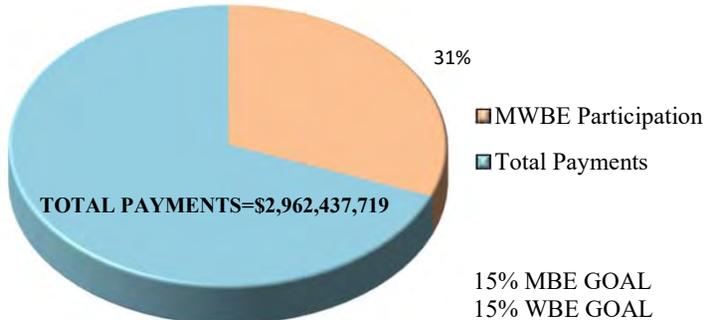
MWBE CONTRACT ACTIVITY
NEW YORK STATE FISCAL YEAR 2020-2021 (APRIL-MARCH 2021)

MWBE AWARD PARTICIPATION



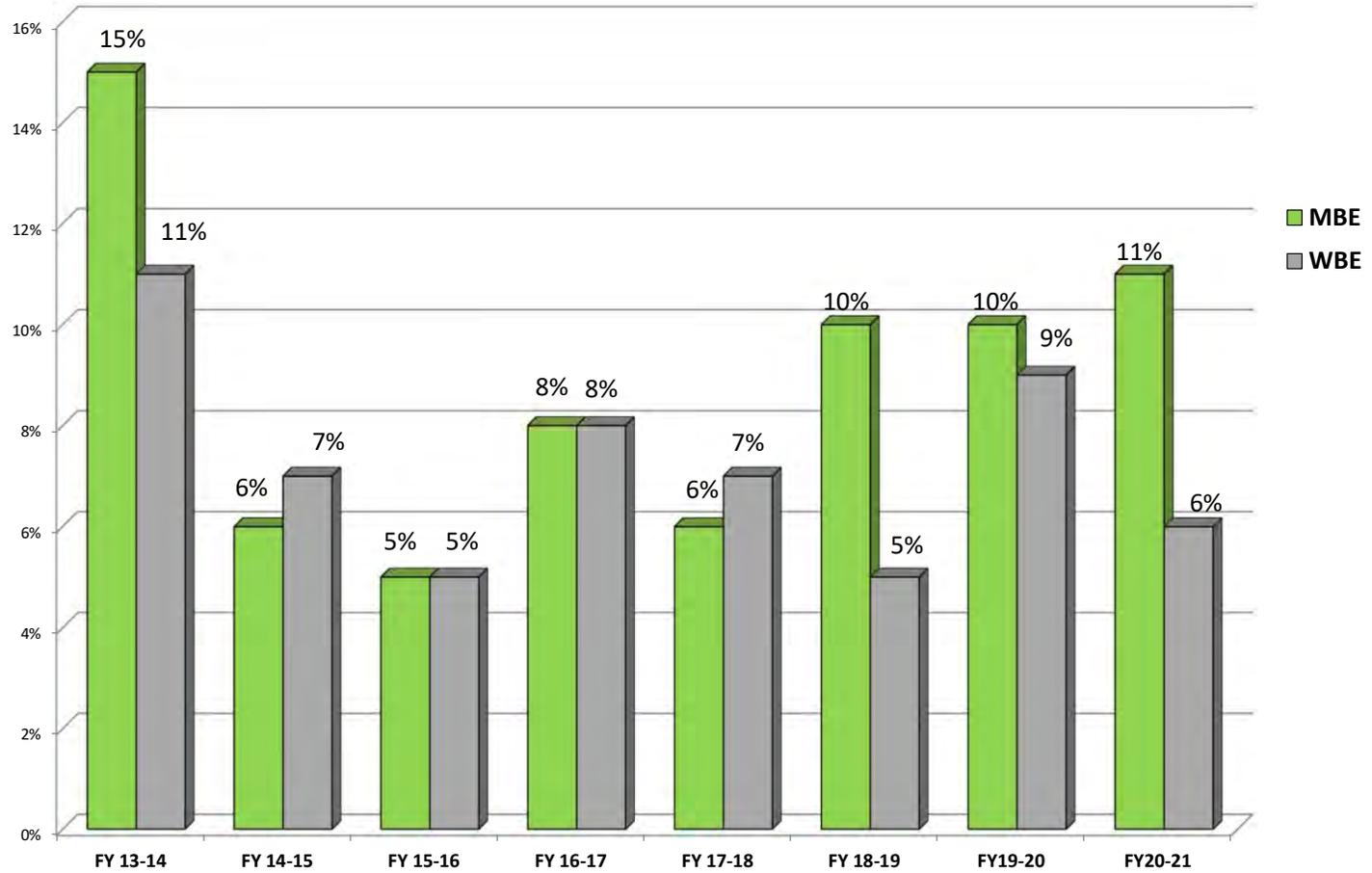
Actual MWBE Participation = \$240M or 17%

MWBE PAYMENT PARTICIPATION

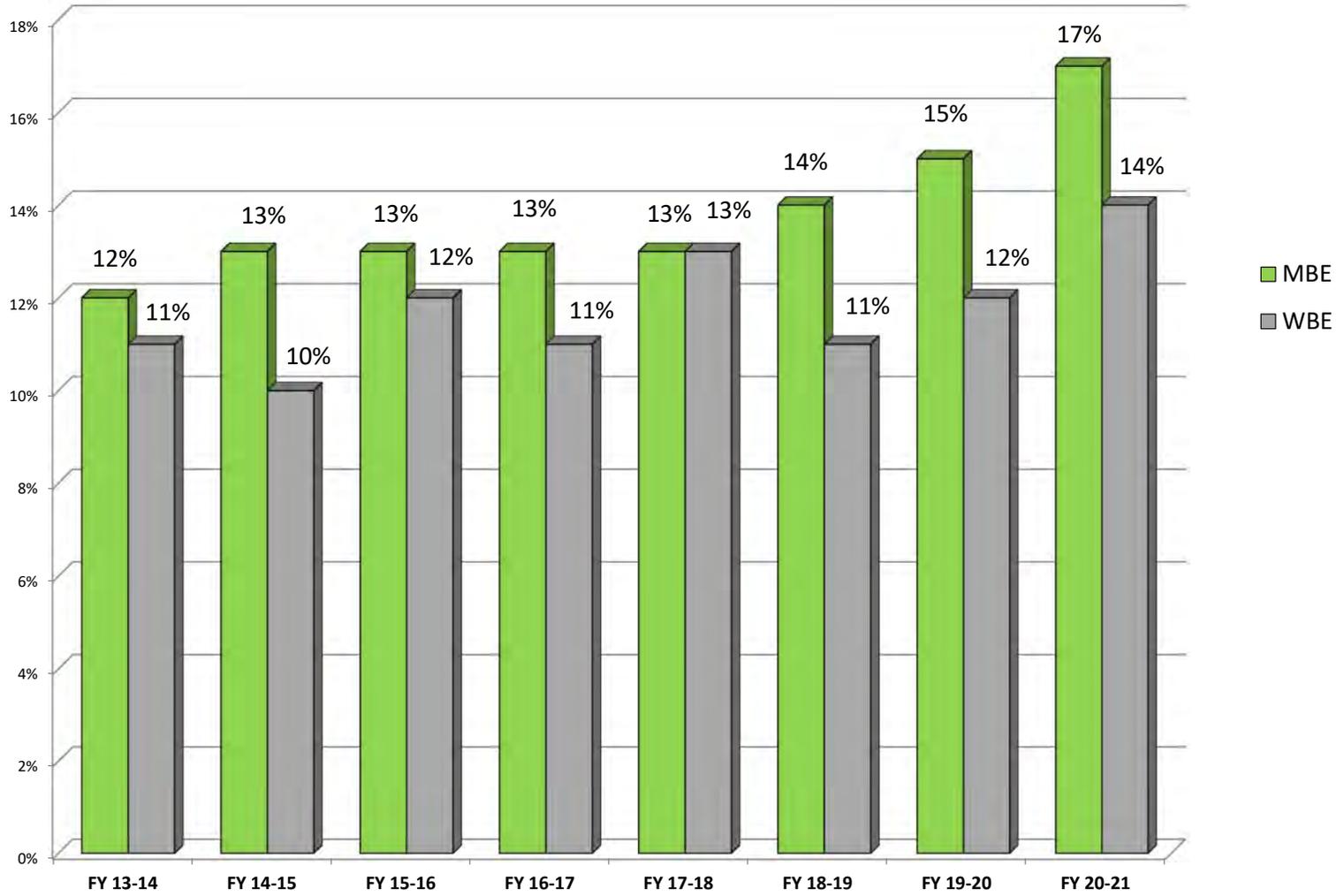


Actual MWBE Participation = \$909M or 31%

**NYS MWBE AWARDS
APRIL 2013 - MARCH 2021**



NYS MWBE PAYMENTS APRIL 2013 -MARCH 2021



**NYS CONTRACTS
MWBE CONTRACT ACTIVITY
APRIL 1, 2020 - MARCH 31, 2021**

CONTRACT AWARDS	PRIME AWARDS		MWBE AWARDS			NYS Goal
	Number of Contracts	Award Amount	Number of MWBE Subcontracts	MWBE Award Amount	MWBE %	
FIRST QUARTER APRIL 2020-JUNE 2020	10,370	\$540,136,153	946	\$110,032,599	20%	30%
SECOND QUARTER JULY 2020-SEPTEMBER 2020	12,323	\$403,048,869	1,286	\$62,232,066	15%	30%
THIRD QUARTER OCTOBER 2020-DECEMBER 2020	12,726	\$239,946,553	1,208	\$41,614,121	17%	30%
FOURTH QUARTER JANUARY 2021-MARCH 2021	13,264	\$241,642,865	1,170	\$26,282,553	11%	30%
TOTAL	22,693	\$1,424,774,440	2,232	\$240,161,339	17%	30%

CONTRACT PAYMENTS	PAYMENTS TO PRIMES		MWBE PARTICIPATION			NYS Goal
	Number of Contracts	Payment Amount	Number of MWBE Contracts	MWBE Payment Amount	MWBE %	
FIRST QUARTER APRIL 2020-JUNE 2020	2,351	\$710,106,248	3,091	\$193,293,681	27%	30%
SECOND QUARTER JULY 2020-SEPTEMBER 2020	2,274	\$859,062,955	3,243	\$244,211,674	28%	30%
THIRD QUARTER OCTOBER 2020-DECEMBER 2020	2,350	\$798,863,496	2,345	\$255,440,069	32%	30%
FOURTH QUARTER JANUARY 2021-MARCH 2021	2,249	\$594,405,020	2,201	\$216,365,317	36%	30%
TOTAL	9,224	\$2,962,437,719	10,880	\$909,310,741	31%	30%

SDVOB Participation in State Funded Contracts
New York State Fiscal Year 2020-2021
(Reporting Period: April 1, 2020 to March 31, 2021)

- 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 2020-2021, starting on April 1, 2020.
- From April 2020 to March 2021, MTA awarded approximately \$121 million in contracts with \$29 million (24%) awarded to SDVOBs.
- From April 2020 to March 2021, MTA paid approximately \$974 million in prime contracts with \$36 million (4%), paid to SDVOBs.

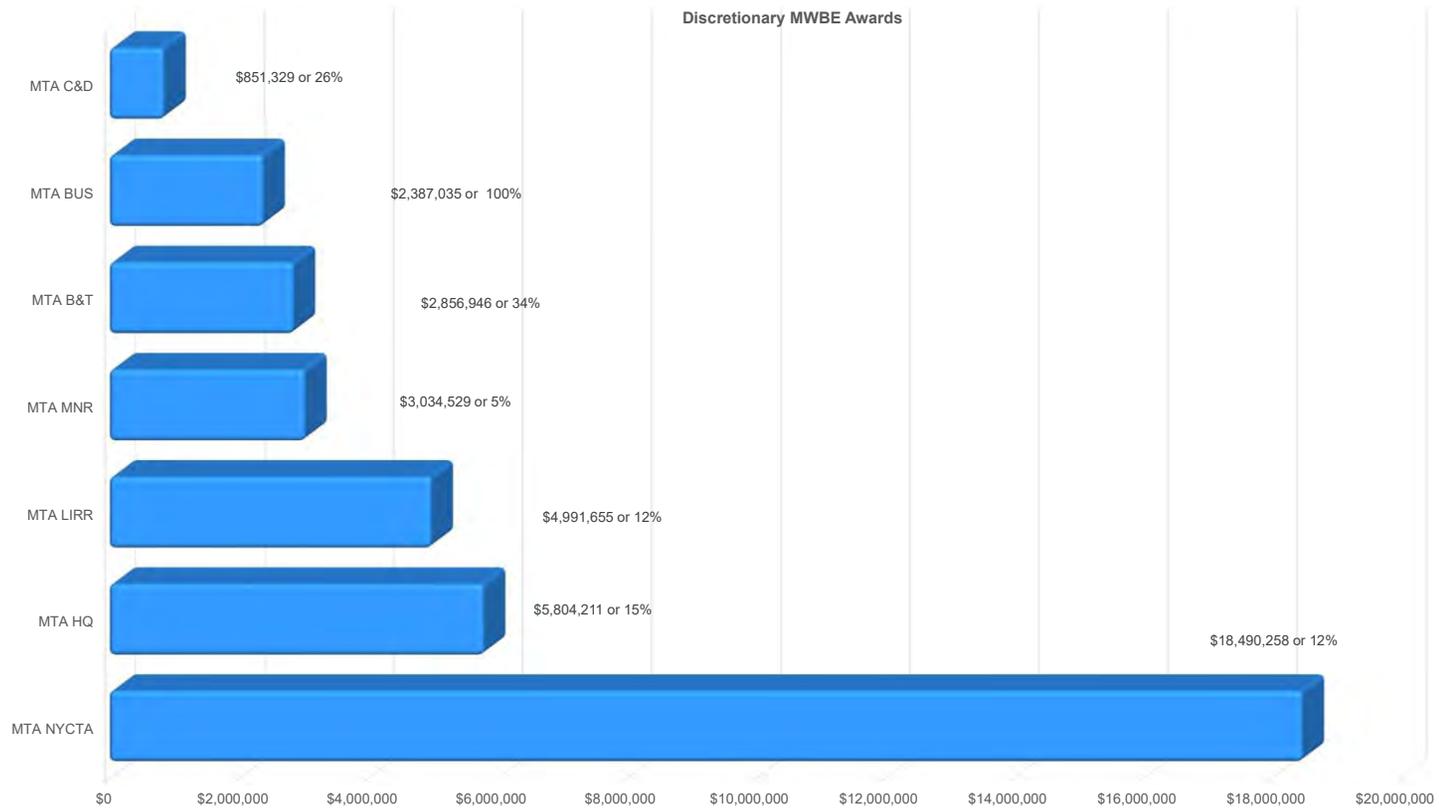
**SDVOB CONTRACT AWARDS
FY 2020-2021**

CONTRACT AWARDS	Agency Awards	SDVOB Awards	SDVOB%
FIRST QUARTER (APRIL 2020 - JUNE 2020)	\$52,928,469	\$19,589,968	37%
SECOND QUARTER (JULY 2020 - SEPTEMBER 2020)	\$36,735,373	\$5,132,077	14%
THIRD QUARTER (OCTOBER 2020 - DECEMBER 2020)	\$22,840,825	\$3,827,670	17%
FOURTH QUARTER (JANUARY 2021 - MARCH 2021)	\$8,340,490	\$517,917	6%
FY 2020-2021 TOTAL	\$120,845,157	\$29,067,632	24%

**SDVOB CONTRACT PAYMENTS
FY 2020-2021**

CONTRACT PAYMENTS	Agency Disbursements	SDVOB Disbursements	SDVOB%
FIRST QUARTER (APRIL 2020 - JUNE 2020)	\$214,224,498	\$11,212,287	5%
SECOND QUARTER (JULY 2020 - SEPTEMBER 2020)	\$287,868,755	\$9,561,798	3%
THIRD QUARTER (OCTOBER 2020 - DECEMBER 2020)	\$267,699,025	\$5,461,205	2%
FOURTH QUARTER (JANUARY 2021 - MARCH 2021)	\$204,474,664	\$9,444,294	5%
FY 2020-2021 TOTAL	\$974,266,942	\$35,679,585	4%

MTA ALL AGENCY
DISCRETIONARY PROCUREMENTS REPORT*
APRIL 2020 - MARCH 2021



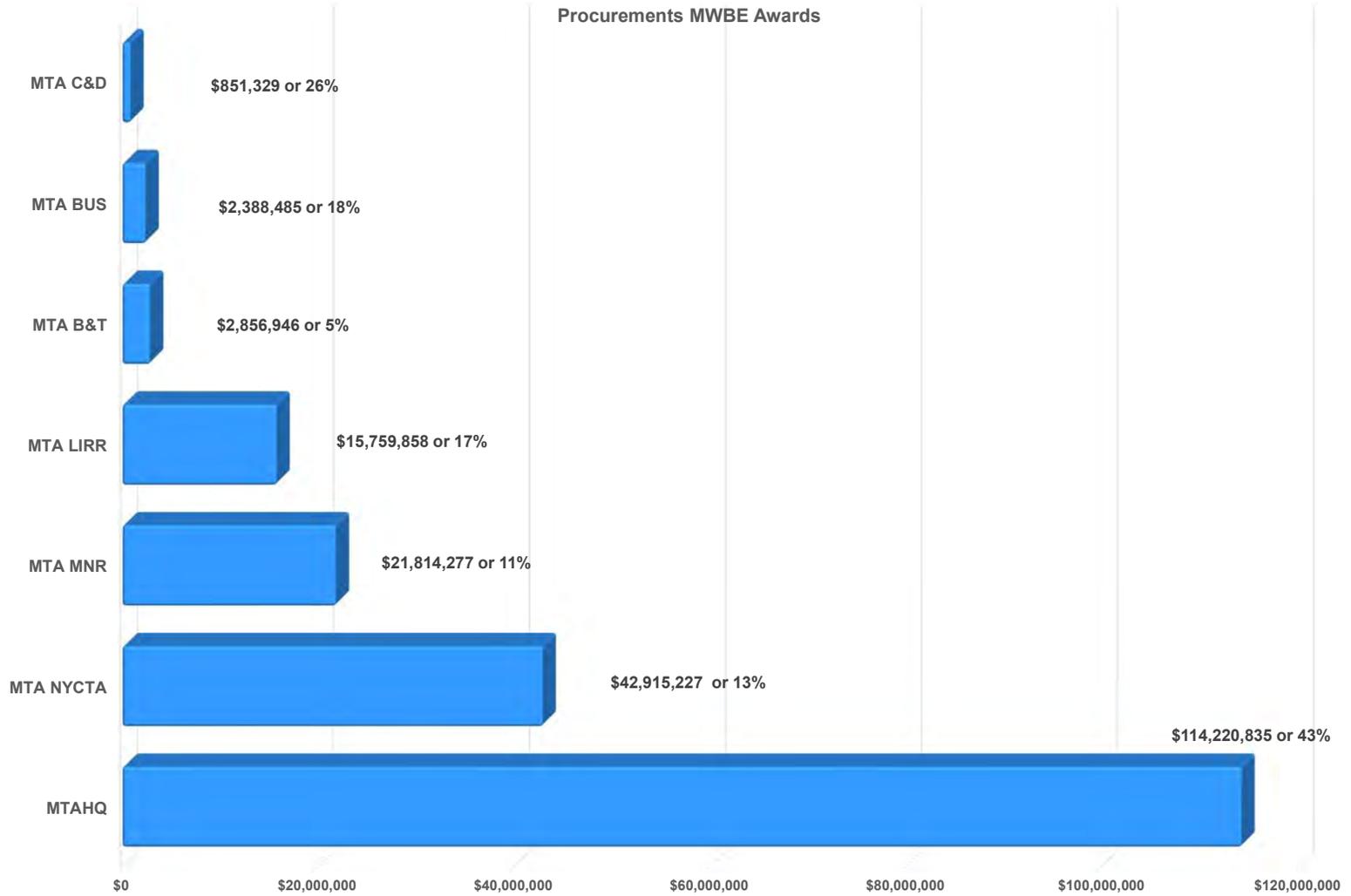
*Discretionary procurements include purchases for goods, miscellaneous procurements, personal or miscellaneous services.

**MTA ALL AGENCY
DISCRETIONARY PROCUREMENT REPORT*
April 2020 - March 2021**

Agency	Total Awards \$1M or Less	Discretionary MWBE Awards	Discretionary MWBE %	Discretionary SBC	Discretionary SBC %
MTA NYCTA	\$ 159,817,832	\$ 18,490,258	12%	\$ 4,468,494	3%
MTA HQ	\$ 37,579,583	\$ 5,804,211	15%	\$ 2,808	0.01%
MTA LIRR	\$ 41,484,569	\$ 4,991,655	12%	\$ 456,502	1%
MTA MNR	\$ 67,412,375	\$ 3,034,529	5%	\$ 506,587	1%
MTA B&T	\$ 8,392,751	\$ 2,856,946	34%	\$ -	0%
MTA BUS	\$ 2,389,801	\$ 2,387,035	99.88%	\$ 2,767	0.12%
MTA C&D	\$ 3,337,780	\$ 851,329	26%	\$ -	0%
Total	\$ 320,414,691	\$ 38,415,964	12%	\$ 5,437,157	2%

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

MTA ALL AGENCY
TOTAL PROCUREMENTS REPORT
APRIL 2020 - MARCH 2021



**MTA ALL AGENCY
TOTAL PROCUREMENTS
APRIL 2020 - MARCH 2021**

Agency	Total Award Amount	Total MWBE Awards	MWBE %
MTA HQ	\$ 267,737,867.00	\$ 114,220,835.00	43%
MTA NYCTA	\$ 325,357,405.09	\$ 42,915,226.86	13%
MTA MNR	\$ 193,746,855.17	\$ 21,814,277.13	11%
MTA LIRR	\$ 90,745,107.84	\$ 15,759,857.69	17%
MTA B&T	\$ 63,371,509.79	\$ 2,856,946.16	5%
MTA BUS	\$ 12,941,158.51	\$ 2,388,484.87	18%
MTA C&D	\$ 3,337,780.07	\$ 851,329.47	26%
Total	\$ 957,237,683	\$ 200,806,957	21%

Metropolitan Transportation Authority Department of Diversity and Civil Rights

Discretionary A&E, IT, and Legal

May 26, 2021



A/E Awards thru Discretionary Procurement April 2020 to March 2021

#	Agency	Contract Number	Project Name & Description	Primary Trades		Contract Amount	Notice of Award Date	Contractor	Contractor Certification
1	B&T	14073-4400-TBTA - Task 22	Safety Manager Services	As-Needed Construction Administration, Inspection and Support Services		\$ 264,024	7/23/20	SA Engineering, LLC	MBE
2	B&T	14073-4400, Work Order No. 24	CM Services for Projects HC-80 BB-28	As-Needed Construction Administration, Inspection and Support Services		\$ 150,484	9/25/20	IH Engineers, P.C.	MBE
3	B&T	14073-4400, Work Order No. 25	CM Services for Projects HH-36 Phase 1	As-Needed Construction Administration, Inspection and Support Services		\$ 344,754	9/6/20	SA Engineering, LLC	MBE
4	B&T	14073-0400, Work Order No. 26	CM Services for Projects RKM-390	As-Needed Construction Administration, Inspection and Support Services		\$ 100,000	12/18/20	SA Engineering, LLC	MBE
5	LIRR	14073-1700-2-A	GEC Consultant Design for Facility Rehabilitation Projects	GEC Consultant Design for Facility Rehabilitation Projects		\$ 400,000	3/10/21	AI Engineers, Inc.	MBE
6	B&T	14073-1700-TBTA Work Order 28	Project WBC-2001	As-Needed Construction Administration, Inspection and Support Services		\$ 100,850	3/10/21	AI Engineers, Inc.	MBE
7	B&T	14073-4400-TBTA, Work Order 27	Project QMC-2101	As-Needed Construction Administration, Inspection and Support Services		\$ 137,988	3/22/21	SA Engineering, LLC	MBE
8	B&T	14073-5600, Work Order No. 30	Project HC-80A - Requisition 10899 & 10966	As-Needed Construction Administration, Inspection and Support Services		\$ 501,280	3/30/21	O&S Associates, Inc.	MBE

TOTAL

\$ 1,999,380

IT Discretionary

**IT Discretionary Consulting Contract No. 14357
April 2020 - March 2021**

Total Number of Awards- 201

Value of Awards- \$ 27 million

Value of Cumulative Awards- \$134 million



MTA ALL AGENCY LEGAL FEES APRIL 2020 - MARCH 2021



**MTA ALL AGENCY LEGAL FEES PAID
APRIL 2020 THROUGH MARCH 2021**

AGENCY	ALL FEES PAID	MBE FEES PAID	Agency MBE PARTICIPATION	WBE FEES PAID	Agency WBE PARTICIPATION	MWBE FEES PAID	Agency MWBE PARTICIPATION	NON-CERTIFIED
MTAHQ	\$ 24,619,887	\$ 1,295,953	5.26%	\$ 332,501	1.35%	\$ 1,628,454	6.61%	\$ 22,991,433
NYCTA	\$ 13,877,236	\$ 815,444	5.88%	\$ 1,965,927	14.17%	\$ 2,781,372	20.04%	\$ 11,095,864
MNR	\$ 2,317,225	\$ 152,487	6.58%	\$ 165,704	7.15%	\$ 318,190	13.73%	\$ 1,999,035
LIRR	\$ 964,430	\$ 55,610	5.77%	\$ 61,716	6.40%	\$ 117,326	12.17%	\$ 847,104
B&T	\$ 2,271,125	\$ 190,556	8.39%	\$ 156,720	6.90%	\$ 347,277	15.29%	\$ 1,923,849
MTA C&D	\$ 1,882,320	\$ 270,093	14.35%	\$ 164,106	8.72%	\$ 434,199	23.07%	\$ 1,448,121
MTA BUS	\$ 3,896,240	\$ 235,969	6.06%	\$ 1,145,249	29.39%	\$ 1,381,217	35.45%	\$ 2,515,023
FMTAC	\$ 10,016,318	\$ 1,519,805	15.17%	\$ 1,355,357	13.53%	\$ 2,875,162	28.70%	\$ 7,141,156
Total	\$ 59,844,782	\$ 4,535,917	8%	\$ 5,347,280	9%	\$ 9,883,197	17%	\$ 49,961,585

Metropolitan Transportation Authority
Department of Diversity and Civil Rights

Status of Closed Contracts
as of March 31, 2021

May 26, 2021



MTA Headquarters DDCR Update

Inactive Contracts – Status as of March 31, 2021

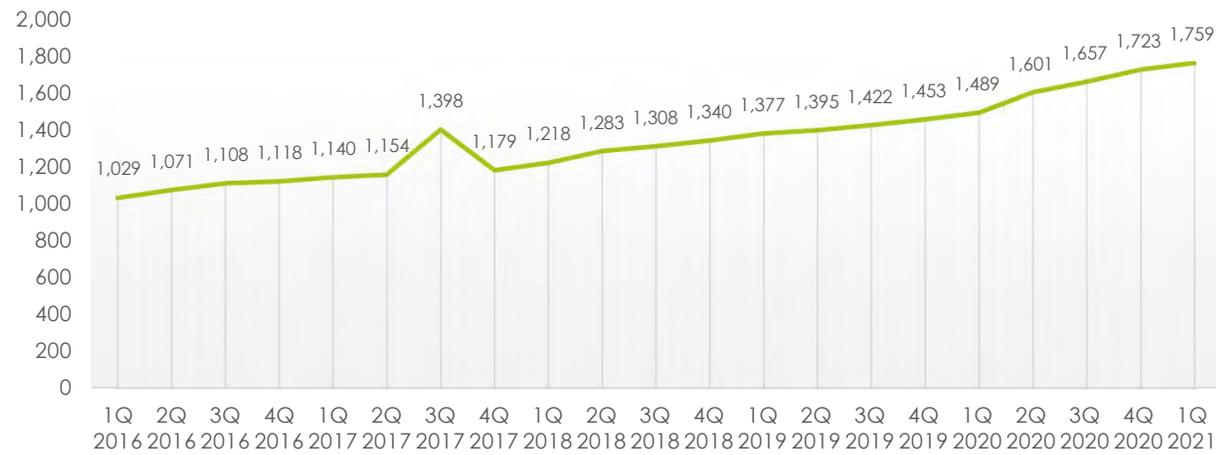
Inactive Contracts with Goals	#
1. Total Contracts Reviewed and Closed	1,451
2. Contracts Administratively Closed	308¹
Sub-Total	1,759 (97%)
3. Closeouts in Progress	44
4. Contracts Pending Agency Action	19
Total	1,822 (100%)

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 1Q 2016 through 1Q 2021²



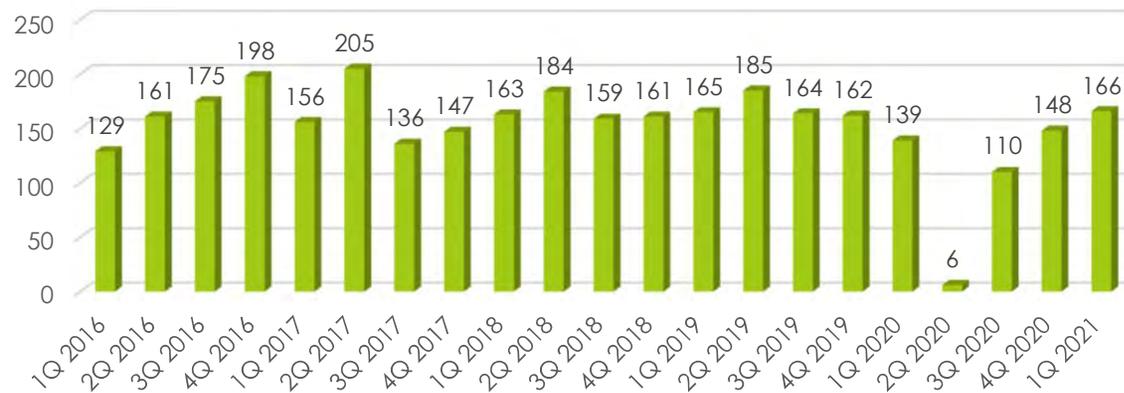
2. The decrease in closeouts between 3Q 2017 and 4Q 2017 is due to approx. 200 contracts being closed out in error, requiring subsequent re-activation.



MTA Headquarters DDCR Update

DDCR Project Site Visits: 1Q 2016 – 1Q 2021

Total Site Visits Performed = 3,468



- 3. No site visits were performed during April & May 2020 due to the COVID-19 pandemic. Virtual site visits began on June 29, 2020.
- 4. Total Site Visits Performed includes data from 3Q 2015 – 1Q 2021, while the chart above reflects only the most recent 5 years of data.



Metropolitan Transportation Authority Department of Diversity and Civil Rights

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

May 26, 2021



MWDBE and SDVOB Participation on MTA Capital Projects with Goals*

■ Federal Participation Goal: 20%

(First Half of Federal Fiscal Year 2021 (October 2020 to March 2021))

■ Total Awards: \$85M

■ Total DBE Awards: \$19M (23%)

■ Total Payments: \$287M

■ Total DBE Payments: \$61M (21%)

■ New York State MBE Participation Goal: 15%

(NYS Fiscal Year 2020-2021 (April 2020 – March 2021))

■ Total Awards: \$140M

■ Total MBE Awards: \$19M (13%)

■ Total Payments: \$869M

■ Total MBE Payments: \$122M (14%)

■ New York State WBE Participation Goal: 15%

(NYS Fiscal Year 2020-2021 (April 2020 – March 2021))

■ Total Awards: \$140M

■ Total WBE Awards: \$17M (12%)

■ Total Payments: \$869M

■ Total WBE Payments: \$111M (13%)

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

(NYS Fiscal Year 2020-2021 (April 2020 – March 2021))

■ Total Awards: \$38M

■ Total SDVOB Awards \$900,890 (2%)

■ Total Payments: \$526M

■ Total SDVOB Payments: \$12M (2%)

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



Metropolitan Transportation Authority Department of Diversity and Civil Rights

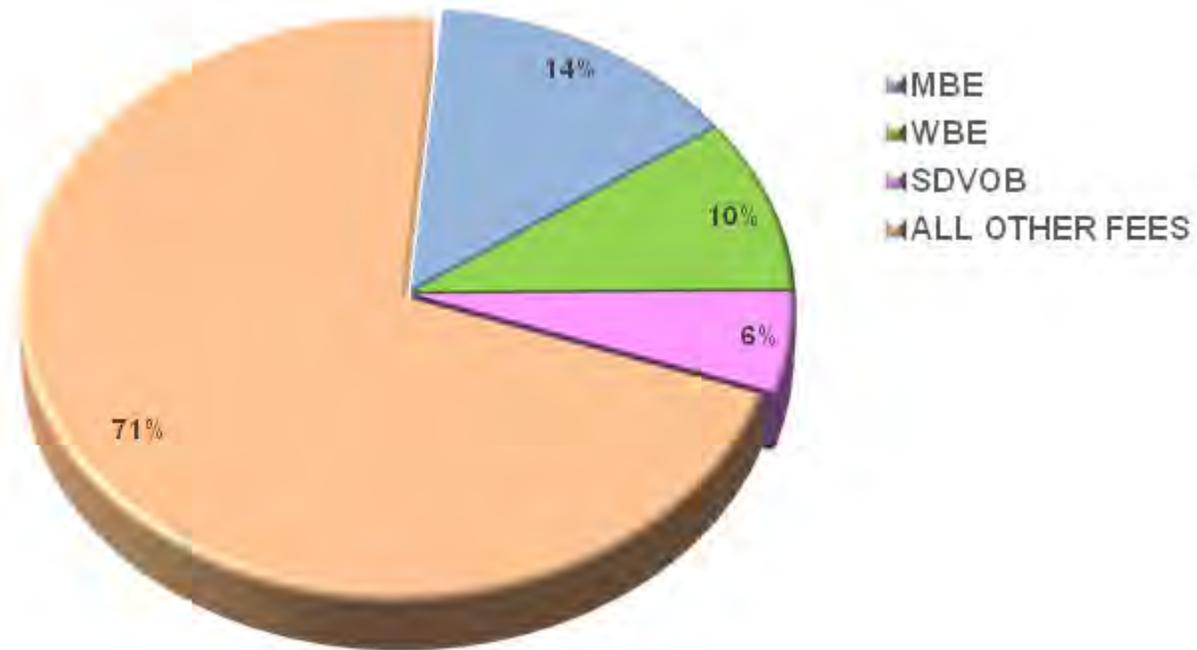
Financial Services

May 26, 2021



MTA All Agency Underwriter Fees

April 2020 - March 2021



Actual WBE Participation = \$1,471,309 or 10%
Actual MBE Participation = \$2,114,869 or 14%
Actual SDVOB Participation = \$854,147 or 6%
All Other Underwriting Fees = \$10,854,485 or 71%



Metropolitan Transportation Authority Department of Diversity and Civil Rights

Asset Fund Managers

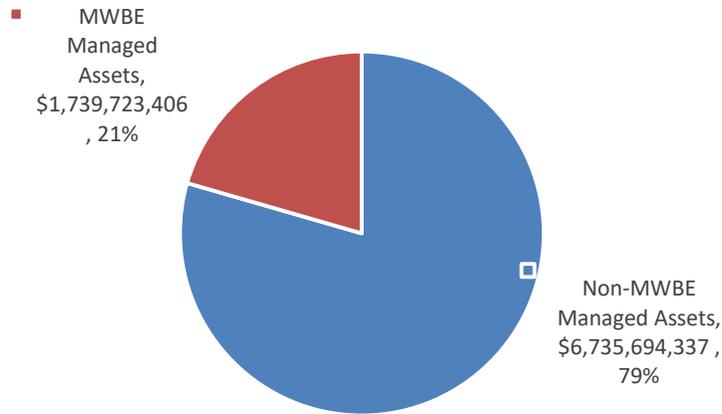
May 26, 2021



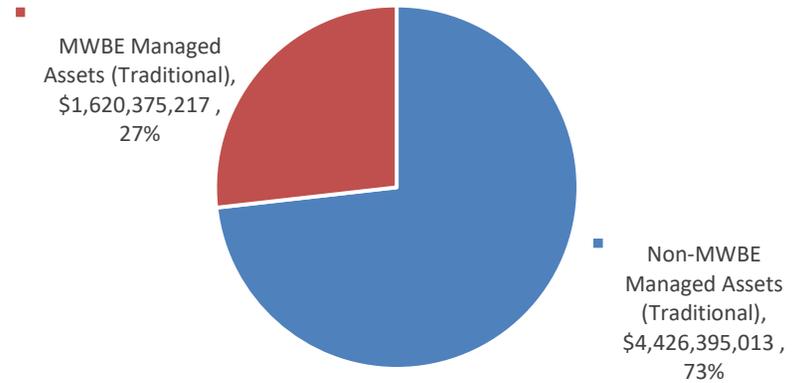
MTA Sponsored Plans – MWBE Participation

As of February 2021

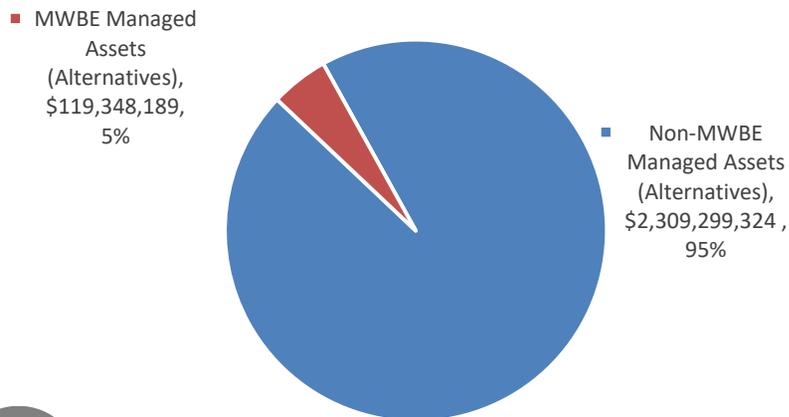
Combined Plans - Total Assets



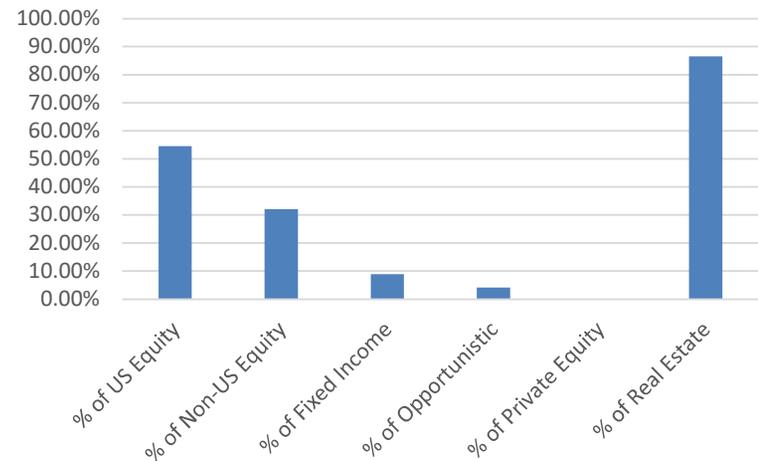
Combined Plans - Traditional Investments



Combined Plans- Alternative Investments



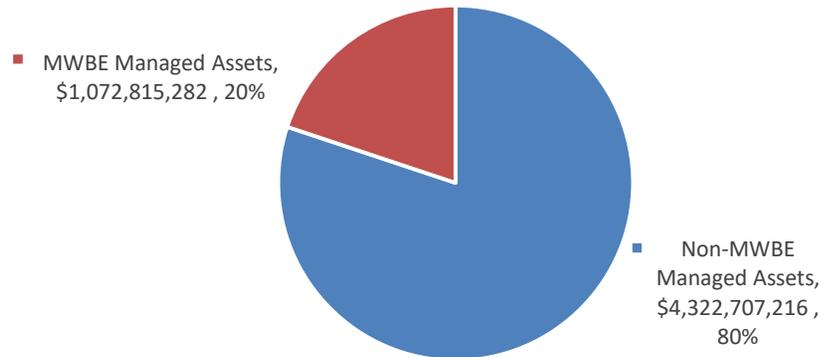
MWBE Managed Assets by Asset Class



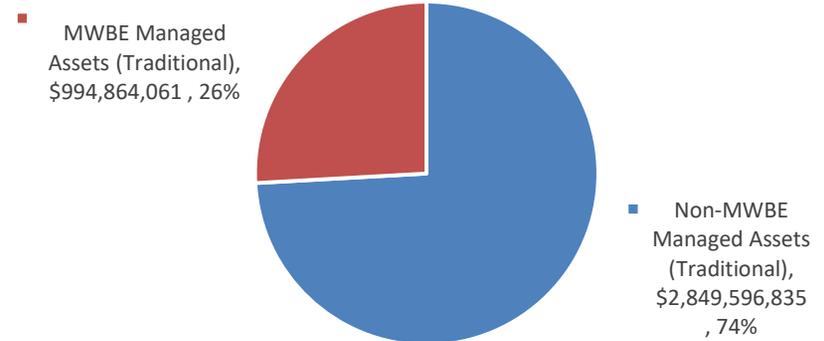
MTA Sponsored Plans – MWBE Participation

As of February 2021

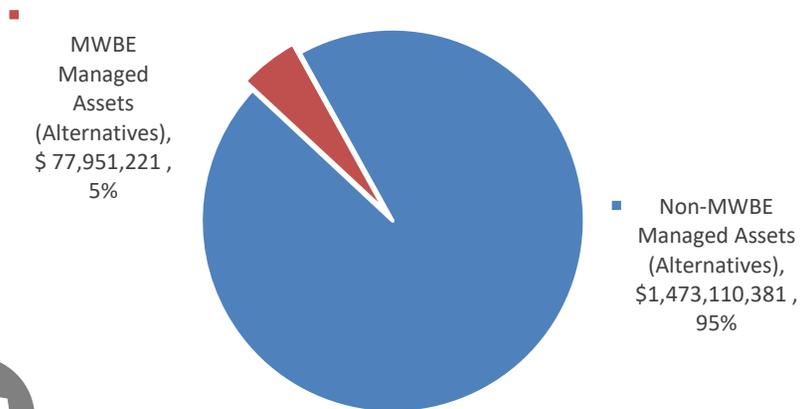
MTA Defined Benefit - Total Assets



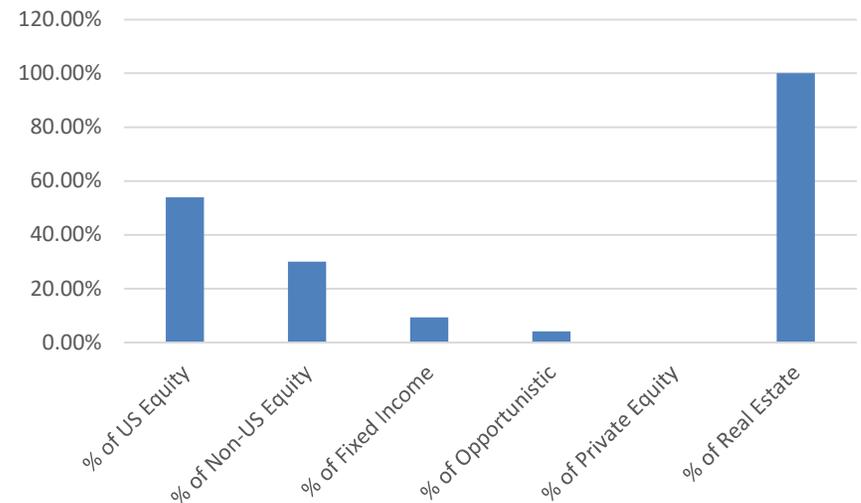
MTA Defined Benefit - Traditional Investments



MTA Defined Benefit - Alternative Investments



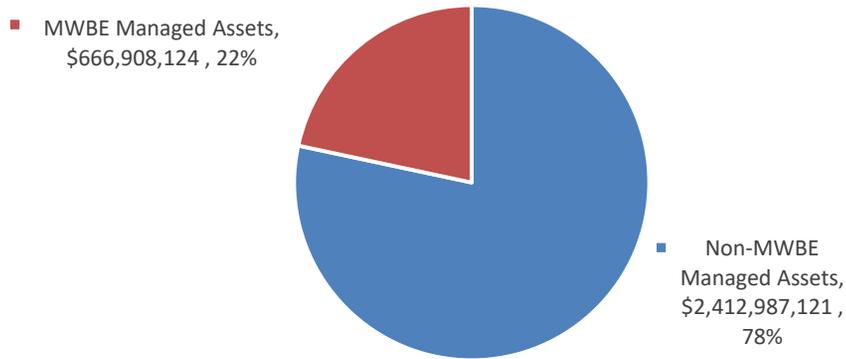
MWBE Managed Assets by Asset Class



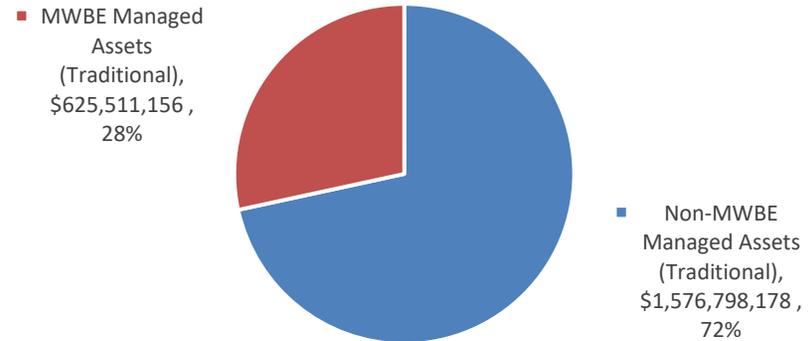
MTA Sponsored Plans – MWBE Participation

As of February 2021

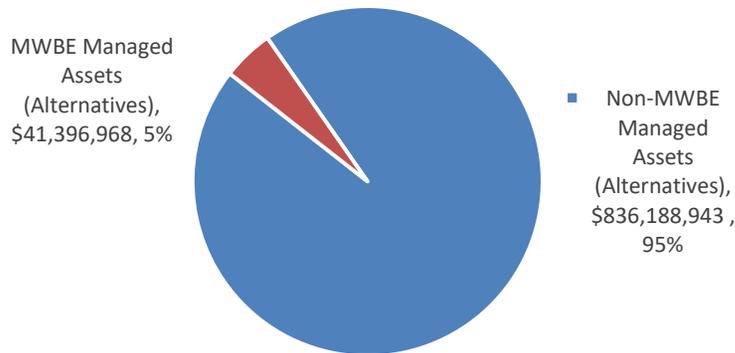
MaBSTOA - Total Assets



MaBSTOA - Traditional Investments



MaBSTOA - Alternative Investments



MWBE Managed Assets by Asset Class

