



Metropolitan Transportation Authority

Diversity Committee Meeting

March 2022

Committee Members

R. Herman, Chair
L. Cortés-Vázquez
E. Velez
N. Zuckerman

Diversity Committee Meeting

2 Broadway 20th Floor Board Room New York NY 10004

Monday, 3/28/2022

3:00 - 4:00 PM ET

1. PUBLIC COMMENT PERIOD

2. APPROVAL OF MINUTES

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MTA DIVERSITY COMMITTEE

Meeting Minutes

2 Broadway, 20th Floor

New York, NY 10004

Monday, December 13, 2021

3:00 p.m.

The following Committee Members were present (*Attended remotely):

Hon. Rhonda Herman, Chair

Hon. Lorraine Cortés-Vázquez*

Hon. Neil Zuckerman*

The following Board Members were present:

Hon. Robert W. Linn

Hon. Norman Brown

The following staff were also present:

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

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

Dr. Rosalyn Green, Deputy Chief Diversity and Inclusion Officer, EEO and Title VI, DDCR

Ray Burke, Deputy Chief Diversity and Inclusion Officer, Contract Compliance, DDCR

Zenaida Rodriguez, Deputy Chief Diversity and Inclusion Officer, Operations, Reporting, DBE Certification & MWDBE Outreach, DDCR

George Llanos, Senior Director, Business and Diversity Initiatives, DDCR

Yvell Stanford, Deputy Chief, Design and Development

Michael Collins, Senior Director, Diversity & Inclusion Initiatives

Patrick Isom, Manager, Financial Analysis

Maria Amper, Assistant Deputy Chief Diversity Officer, Operations and Technological Support, DDCR

Paige Graves, MTA Acting General Counsel and Kate DeSanto, MTA Asst Assoc Counsel also attended the meeting.

Chair Rhonda Herman called to order the December 2021 Diversity Committee meeting and acknowledged the online presence of Lorraine Cortés-Vázquez and Neil Zuckerman.

1. PUBLIC SPEAKERS' SESSION

The MTA Moderator introduced Jason Anthony, a private citizen as the public speaker.

The MTA Moderator reminded public speaker of the rules of conduct, the two-minute speaking limit, and that speakers will be alerted when 30 seconds remain to conclude their remarks.

Refer to the video recording of the meeting produced by the MTA and maintained in MTA records for the

content of speaker's statements.

2. APPROVAL OF MINUTES

Upon motion duly made and seconded, the Committee approved the Minutes of the MTA Diversity Committee meeting held on September 15, 2021.

3. WORK PLAN REPORT

Chair Herman asked if there were any changes to the 2022 Work Plan. Mr. Garner reported two updates. The Diversity Committee meeting in February will be moved to March and the meeting in May will be moved to June. In addition, there were four policy updates at the end of the book that will not require approval from the board.

4. EXECUTIVE SUMMARY

Business and Diversity Initiatives

Ms. Rodriguez reported that DDCR participated in several events during the period of July to October 2021, which attracted 362 firms because of these outreach efforts. Twenty certified firms received approximately \$37 million in contract awards and 47 certified firms received approximately \$22 million in contract payments.

Certification Activity Report

Ms. Rodriguez stated that as of September 2021, 476 new DBE certification applications were received, and 313 firms were certified from 2017 to 2021. Mr. Llanos gave a quick update on the DBE recertification workshops. He mentioned that it takes place every month with an average 20-25 firms in attendance.

Third Quarter 2021 EEO Activities

Dr. Green provided an update on 3rd quarter EEO activities. The MTA's overall workforce consists of 69,445 employees, of whom 18% are women, 71% are minorities, 3% are veterans, and 473 are employees who self-identified as persons with disabilities. There is a decrease in the overall employee headcount that is similar to the local and national trends. The reduction in headcount following employee movement as a result of the transformation was examined with focus on hires and separations during the reporting period January 1st to September 30th, 2021. It indicates that female employees are hired and exiting at a similar rate, which is one of the reasons why the percentage of women in the workforce remains at 18%. A comparison of overall resignations and retirements by month show resignations outpacing retirements in June and September. A further comparison by gender each month showed a sharp increase in female resignations in the months of June and September. Women resigned at a lower rate than men in all the other months. She mentioned that they will investigate the sharp increase and provide an update in the next meeting on what they will do to make sure that we retain our female employees. Chair Herman asked if they could use exit interviews to look back and find out the reasons for resigning. Dr. Green responded that there is no formal MTA-wide exit interview process at this time. However, they have some qualitative data coming from management that they can pair with policy changes that took place around the same time to see if there was a correlation or a driving factor for the exodus of women from the Agency. Hon. Brown added that with exodus occurring in June and September, it seemed to show that the school year is affecting women's decisions to resign. He also added that resignations exceeding retirement, was shocking, when individuals forfeit pensions it is

severe. He further wanted to clarify if all of the information surrounding why individuals are leaving the MTA is anecdotal, and not formalized. Dr. Green added that there was return to work policy and concerns on children going back to school during that time and further investigation was needed to find out the root cause, and if there was a correlation to the women leaving the workplace. Hon. Vázquez added that she strongly recommends creating a formal exit interview process as part of our diversity strategy to find out why people are entering and departing the company.

Ms. Stanford presented diversity recruitment strategic initiatives like the MTA's innovative educational partnerships with CUNY School of Labor and Urban Studies, NYU School of Professional Studies, SUNY Empire State College, CUNY Summer Corps, City Polytechnical High School and The Partnership for NY. Ms. Stanford further outlined the 2021 Diverse Recruitment outreach efforts that included high school and college career fairs, community outreach events, social media strategy, and hosting seminars and websites that help job seekers. Ms. Stanford also detailed the Metro North Nontraditional Employment for Women Apprenticeship Program, and the paid internship program in partnership with the Mayor's office for people with disabilities. She further discussed additional paid internship opportunities, the MNR Associate Engineer Program, the NYCT apprenticeship program, and the workshops and leadership programs under the Transit Employee Groups, (TEGs).

Mr. Collins provided a more detailed overview of the TEGs and the activities that they have been engaged in by sharing a summary of work inclusion at the MTA, including a defined Diversity and Inclusion Strategic approach. As much of the initiatives are done to attract talents, much work has been done to retain and engage talent. The main objective is to become an employer of choice and role model for diversity and inclusion excellence in mass transportation. The overall strategy is to raise awareness on compliance, diversity and inclusion, change behavior, and then integrate the strategic approach into doing business across all MTA agencies. He stated that since 2017, nine employee groups were established. These groups are not just built to have activities but are also designed to improve business practices. He presented a few highlights of the TEGs recent activities in support of the Hispanic and Native American Heritage Month and Veteran's Day. Hon. Brown asked if participants in the group activities are given extra credit when they apply for a position. Dr. Green said that the group will look into that and get back to the committee.

SBDP Small Business Development Program Update

Mr. Cleary reported that since the inception of the program, the SBDP has awarded 486 contracts totaling \$516 million, creating an estimated 13,344 newly created jobs. This year 33 contracts were awarded, totaling a little under \$30 million. The small business loan program since inception has issued 134 loans totaling \$18.6 million. The SBDP bond program has helped firms secure \$485 million in surety bonding.

Mr. Garner added that the Small Business Mentoring Program has been very successful. It was reauthorized by the former New York governor for another 10 years and the city of New York has mimicked this program for the New York City Department of Design and Construction. This is a great opportunity for the MTA to empower our minority and women-owned contractors who otherwise would not have the opportunity to work as subcontractors. These contractors can now work for America's largest transportation network on prime contracts.

M/W/DBE and SDVOB Contract Compliance Report

Mr. Burke reported that the MTA's overall MWBE goal is 30%. MWBEs were awarded 10% in contracts, and 27% was achieved in contract payments during the first two quarters of the state fiscal year 2021-22. The MTA's overall SDVOB goal is 6%. For the same period, 6% SDVOB participation

was achieved in contract awards, and 6% was achieved in payments made on ongoing contracts.

Mr. Burke said that 25% DBE participation was achieved in contract awards, and 18% was achieved in payments in ongoing contracts for the 2021 Federal Fiscal Year.

Capital Projects

Mr. Burke reported that for the Federal Fiscal Year 2021, the DBE goal was 20%, and 23% DBE was achieved in awards for federally funded capital projects. Payments on ongoing contracts achieved a 19% DBE participation. For state-funded capital projects, the goal was 15% and 17% of the MBE participation goal was achieved in contract awards. Payments made on ongoing contracts during the first two quarters of the Fiscal Year 2021 have 22% participation. Regarding WBEs with the goal of 15%, 12% was achieved in awards and 14% in payments. Mr. Burke also reported 4% SDVOB participation in awards and 1% participation in payments on ongoing contracts. Mr. Garner emphasized that the MTA for the first time in history has achieved and exceeded the 30% MWBE goal for the fiscal year 2020-21 at 31% and that awards to SDVOBs have improved.

Mr. Burke and Mr. Garner mentioned DDCR's strategies for improvement include expanding on building relationships with various women, veteran and minority trade groups and associations, designing smaller contracts for greater participation by MWDBE/SDVOBs and hiring additional MWDBE/SDVOB contract compliance staff.

Legal Fees

Mr. Garner stated that current MWBE participation on legal fees is 14%. He is working with Paige Graves, MTA Acting General Counsel and her staff to develop further strategies to help identify certified women and minority owned law firms to retain them and make sure that the MTA will achieve the Governor's 30% MWBE goal on legal fees. There has been an increase in the past four years from 4% to 16%. He said that he will not rest until the MTA is awarding and issuing legal fees to a diverse pool of law firms and the 30% goal is achieved.

Financial Services

Mr. Isom provided an update on financial services. For the reporting period, the MTA has achieved 32% on MWBE/SDVOB participation, specifically 14% MBE participation, 12% for WBE, and 6% for SDVOB participation. Mr. Garner said that he is optimistic that MTA is going to continue to maintain issuing fees to a diverse population of investment banking firms.

Asset Fund Managers

Mr. Garner reported that of the total assets, MWBEs managed \$1.88 billion in assets as of September 30, 2021. We continue not only on the capital side but also continue on the services side to make sure the MTA is affording opportunities to New York State Certified MWBE firms.

Refer to the video recording of the meeting, produced by the MTA and maintained in MTA records, for the details of the Executive Summary report and the Diversity Committee members' comments and discussion.

5. ADJOURNMENT

Chair Herman concluded the meeting, and upon motion duly made and seconded, the Diversity

Committee voted to adjourn the meeting.

Respectfully submitted,
Maria Amper
Assistant Deputy Chief Diversity Officer
Department of Diversity and Civil Rights

2022 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

March 2022

2022 Departmental Goals	Dept. of Diversity/Civil Rights
2021 Year-End Report	Dept. of Diversity/Civil Rights
Diversity Committee Charter Review	Committee Chair and Members

June 2022

1st Quarter 2022 Report	Dept. of Diversity/Civil Rights
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September 2022

2nd Quarter 2022 Report	Dept. of Diversity/Civil Rights
Recruitment Strategies for MTAHQ and MTA Agencies	Dept. of Diversity/Civil Rights, MTAHQ and Agency Staff

December 2022

3 rd Quarter 2022 Report	Dept. of Diversity/Civil Rights
Status Report on MTA Inter-Agency M/W/DBE and SDVOB Task Force	Dept. of Diversity/Civil Rights
2023 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	
2023 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

March 2022

Overview of 2022 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 2022.

2021 Year-End Report

The Department of Diversity and Civil Rights will present 2021 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 2022

1st Quarter 2022 Report

The Department of Diversity and Civil Rights will present 1st quarter 2022 update on MTA Agency-wide EEO, and M/W/DBE and SDVOB contract compliance activities.

September 2022

2nd Quarter 2022 Report

The Department of Diversity and Civil Rights will present 2nd quarter 2022 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 2022

3rd Quarter 2022 Report

The Department of Diversity and Civil Rights will present 3rd quarter 2022 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.

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 2023 EEO Policy.

All Agency Title VI Policy Statement presented for approval

All Agency Title VI Procedure presented for approval

2023 Diversity Committee Work Plan

The Department of Diversity and Civil Rights will present an updated Diversity Committee Work Plan for 2023.

Metropolitan Transportation Authority Department of Diversity and Civil Rights

Executive Summary

March 28, 2022



Executive Summary

FY 2021 Top 25 Agencies & Authorities by MWBE Expenditure

New York State Agency	Agency Expenditure	MBE Expenditure	WBE Expenditure	MWBE Expenditure	MWBE Utilization
Metropolitan Transportation Authority	2,955,114,851.43	501,624,878.52	415,096,051.95	916,720,930.47	31.02%
Empire State Development	1,202,648,637.29	161,222,302.06	230,011,459.65	391,233,761.72	32.53%
Office of General Services	422,329,533.90	86,679,177.80	121,359,581.94	208,038,759.74	49.26%
Department of Health	580,443,139.00	55,789,487.61	128,015,070.31	183,804,557.92	31.67%
Dormitory Authority of the State of New York	425,257,184.94	86,807,826.88	67,974,993.05	154,782,819.93	36.40%
Housing Finance Agency	504,944,495.00	96,685,979.95	54,146,444.43	150,832,424.38	29.87%
State University of New York Central	346,482,615.14	42,507,313.85	67,154,736.90	109,662,050.75	31.65%
New York Power Authority	510,067,948.00	68,110,639.32	36,204,245.88	104,314,885.20	20.45%
State University Construction Fund	317,833,320.50	37,725,710.49	50,374,403.26	88,100,113.75	27.72%
New York State Department of Transportation	440,055,151.38	31,403,980.50	52,184,550.85	83,588,531.35	19.00%
New York State Thruway Authority	387,526,434.00	23,567,258.34	40,616,913.70	64,184,172.04	16.56%
Long Island Power Authority	143,732,288.00	29,897,179.51	31,187,016.79	61,084,196.30	42.50%
Office of Information Technology Services	221,207,421.00	11,324,532.46	38,420,265.23	49,744,797.69	22.49%
Parks, Recreation & Historic Preservation	210,543,149.00	15,516,072.65	31,002,379.08	46,518,451.73	22.09%
Division of Housing & Community Renewal	139,803,568.00	21,831,570.40	14,739,059.41	36,570,629.81	26.16%
Insurance Fund	60,313,829.00	21,321,988.48	11,674,292.23	32,996,280.71	54.71%
Office of Mental Health	78,912,478.00	20,909,461.30	9,191,887.60	30,101,348.90	38.15%
Gaming Commission	107,598,203.27	13,638,488.96	15,460,870.93	29,099,359.89	27.04%
Office of Temporary and Disability Assistance	89,946,318.00	13,724,674.77	12,047,233.03	25,771,907.80	28.65%
City University of New York	61,430,693.38	7,901,313.53	11,464,281.57	19,365,595.10	31.52%
Department of Environmental Conservation	97,995,711.75	744,808.28	17,484,603.30	18,229,411.58	18.60%
Jacob K. Javits Convention Center	31,359,961.08	16,175,381.52	1,122,528.15	17,297,909.67	55.16%
Education Department	56,830,206.00	2,864,332.35	14,293,167.95	17,157,500.30	30.19%
Niagara Frontier Transportation Authority	41,003,887.00	5,611,182.95	9,341,086.51	14,952,269.46	36.47%
Erie County Medical Center	41,951,770.00	8,124,951.31	6,445,267.21	14,570,218.52	34.73%



Executive Summary

Fiscal Year Program Highlights

Largest Awarded MWDBE/SDVOB Contracts

October 1, 2020 - December 31, 2021

Top Prime Awards*

MBE: Fejost LLC **\$280M**

WBE: Asia Trading Int'l LLC **\$33.7M**

DBE: Voltamp Electrical Contractors Inc. **\$6M**

SDVOB: Web House Inc. **\$816K**

Top Subcontract Awards*

WBE: Baronas Luxury II, Inc. **\$24.4M**

MBE: Turing Enterprises Inc. **\$23.8M**

DBE: TDP Associates Inc. **\$6.9M**

SDVOB: Disabled Veterans Solutions **\$7.3M**

* For MWBE and SDVOB, the reporting period is from April 2021 through December 2021.
For DBE, the reporting period is from October 2020 through September 2021.



Executive Summary

Top Prime Capital Contract Awards \$3M-\$25M April 2021 - December 2021

Contract Number	Contract Description	Contractor	Status	Award
C-34874	Electrical and Mechanical Systems Improvements at 130 Livingston Street in the Borough of Brooklyn	Infinity Contracting Services, Corp.	D/MBE	\$56,966,000
C-30401	Rehabilitation of Deep Wells and Control Upgrade at the Nostrand Avenue Line in the Borough of Brooklyn	Zion Contracting, LLC	D/MBE/Mentoring Graduate	\$16,050,000
W-47013	Upgrade of Asynchronous Fiber Optic Network to SONET (F-Ring) in the Boroughs of Brooklyn and Manhattan	ExterNetworks, Inc.	D/MBE	\$13,638,826
E-31713	Fan Plant Damper System Rehabilitation at Seven (7) Locations (Brooklyn & Queens)	Voltamp Electrical Contractors, Inc	D/MBE/Mentoring Graduate	\$10,888,660
C-30539	Wellpoint Rehabilitation, Lenox Avenue Line in the Borough of Manhattan	RMSK Contracting Corp.	D/MBE	\$7,830,000
C-43761R	"Sandy" Critical Facilities Flood Mitigation at the Consolidated Revenue Facility, in the Borough of Queens	Zion Contracting, LLC	D/MBE/Mentoring Graduate	\$7,261,000
W-47020	Furnishing, Installing and Testing Connection Oriented Ethernet (COE) Phase 3B-2 at Various Locations	ExterNetworks, Inc.	D/MBE	\$6,983,563
A-37707	Water Condition Remedy at Various Locations	En Tech Corp.	WBE	\$4,759,182
C-52147	Electronic Security Systems (ESS) at Wall Street Station, Lexington Avenue Line, IRT Division and Broad St. Station	CRC Associates	D/MBE	\$3,969,000
A-37671	E. 138th Street Grand Concourse Station on the Jerome Avenue Line (IRT) in the Borough of The Bronx	M. Bhuiyan Construction	D/MBE/Mentoring Graduate	\$3,081,792
			TOTAL	\$131,428,023

* These firms participated in open competition against larger firms and demonstrated their ability to win contracts when provided the opportunity.



Executive Summary

An Example of MWBE Discretionary Success

IT Discretionary Consulting Contract No. 14357

April 2021 - December 2021

Total Number of Awards- **55**

Total Value of Awards- **\$10.7 million**

Inception to Date

Total Number of Awards- **914**

Total Value of Awards- **\$163.7 million**



Executive Summary

❑ Business & Diversity Initiatives Unit

- ❑ During the period of January through December 2021, DDCR outreach efforts attracted **1,469 firms**.
- ❑ Summary of Outreach Efforts – January through December 2021

As a result of DDCR's outreach efforts, **86** certified firms received a total of **\$290,218,133** in awards and **162** certified firms received **\$249,710,534** in payments.

Awards -	\$ 290,218,133
*Payments -	\$ 249,710,534

*Total payments include ongoing payments on previously awarded contracts



Executive Summary

❑ **Certification Activity Report**

In 2021, there were a total of **87** new applications received and **57** firms were certified.

❑ **Status:**

There is a slight decrease in new applications received.

❑ **Trends**

- ❑ Upward
- ❑ Constant
- ☑ Downward – A slight decrease in applications received.

❑ **Strategy for Improvement**

Train new staff to manage certification activity.



Executive Summary

□ EEO (full report on pages 41-55)

- MTA's overall workforce is currently comprised of **69,702** employees; of which **12,610 (18%)** are Females,* **49,435 (71%)** are Minorities, **2,238 (3%)** are Veterans,* and **514 (1%)** are People with Disabilities.** A breakdown of the MTA-wide workforce is detailed on page 44.
- MTA Agencies hired **3,656** new employees into the organization; of which **834 (23%)** are females,* **2,970 (81%)** are Minorities, **102 (3%)** are veterans,** and **13 (3%)** are People With Disabilities.
- During 2021, MTA Agencies handled a total of **141** EEO complaints; of which **91** were internal and **50** were external. During 2020, MTA Agencies handled a total of **196** EEO complaints; of which **144** were internal and **52** were external complaints.



*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:** While the overall workforce size has decreased by 1.5% (1,067) since December 31, 2020, the diversity composition of our workforce has remained constant.

- **Trends**
 - Upward
 - Downward
 - ☑ Constant

- **Strategies for Improvement:**
 - Identify best practices to improve staffing and retention efforts
 - Initiate occupational reclassifications of positions in the transformed *One-MTA*.



Executive Summary

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

The Program – Current Status

- Calendar Year 2021, SBDP awarded **66 contracts** totaling **\$69.5 million**
- Since program inception, the Small Business Development Program (SBDP) awarded **520 contracts** totaling **\$556 million**.
- SBDP successfully recruited **eighteen (18)** Service-Disabled Veteran-Owned Business (SDVOB) certified firms. **Four (4) firms** were awarded contracts totaling **\$2,504,050**.
- The Small Business Development Loan Program issued **135 loans** totaling **\$18.7 million**.
- The Small Business Development Bond Program has assisted Tier 2 and SBFP firms in securing **\$444 million** in surety bonds.
- The Small Business Development Training Program – more than **995** firms have participated in the training since the inception of the program.



Executive Summary

■ Small Business Development Program (continued)

■ **Status:** Program is achieving its goals.

■ Trends

- Upward
- Constant
- Downward

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



Executive Summary

■ MWDBE and SDVOB Contract Compliance

■ 30% NY State Fiscal Year 2021-2022 MWBE Goal

- 14% MWBE participation in contract awards*
- 28% MWBE participation in contract payments*

■ 6% NY State Fiscal Year 2021-2022 SDVOB Goal

- 6% SDVOB participation in contract awards*
- 5% SDVOB participation in contract payments*

■ 20% Federal Fiscal Year 2020-2021 DBE Goal

- 25% DBE participation in contract awards
- 18% DBE participation in contract payments on ongoing contracts
- 12% DBE participation on payments on closed contracts

* First three quarters of the NYS Fiscal Year 2021-2022



Executive Summary

■ MWDBE and SDVOB Contract Compliance (Continued)

- Currently, DDCR monitors more than **1,093 contracts** for MWDBE and SDVOB goal compliance.
- In 2021, DDCR conducted **722 site visits** for MWDBE and SDVOB contract compliance.
 - Monthly Average: **60**
- In 2021, DDCR has closed **139** contracts.
 - Monthly Average: **12**



Executive Summary

■ MWDBE and SDVOB Contract Compliance (Continued)

■ **Status:** MWBE goals are not being met

■ Trends

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

■ Strategies for Improvement:

- DDCR is expanding 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.
- Hired additional MWDBE/SDVOB Contract Compliance staff.



Executive Summary

■ Capital Projects

■ Federal Participation Goal: 20%

(Federal Fiscal Year 2021 (October 2020 to September 2021))

- Total Awards: \$92M
- Total DBE Awards: \$21M (23%)
- Total Payments: \$467M
- Total DBE Payments: \$88M (19%)

■ New York State MBE Participation Goal: 15%

(First Three Quarters of NYS Fiscal Year 2021-2022 (April 2021 – December 2021))

- Total Awards: \$146M
- Total MBE Awards: \$23M (16%)
- Total Payments: \$1.8B
- Total MBE Payments: \$257M (14%)

■ New York State WBE Participation Goal: 15%

(First Three Quarters of NYS Fiscal Year 2021-2022 (April 2021 – December 2021))

- Total Awards: \$146M
- Total WBE Awards: \$14M (9%)
- Total Payments: \$1.8B
- Total WBE Payments: \$218M (12%)

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

(First Three Quarters of NYS Fiscal Year 2021-2022 (April 2021 – December 2021))

- Total Awards: \$85M
- Total SDVOB Awards \$4M (4%)
- Total Payments: \$512M
- Total SDVOB Payments: \$7M (1%)

*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

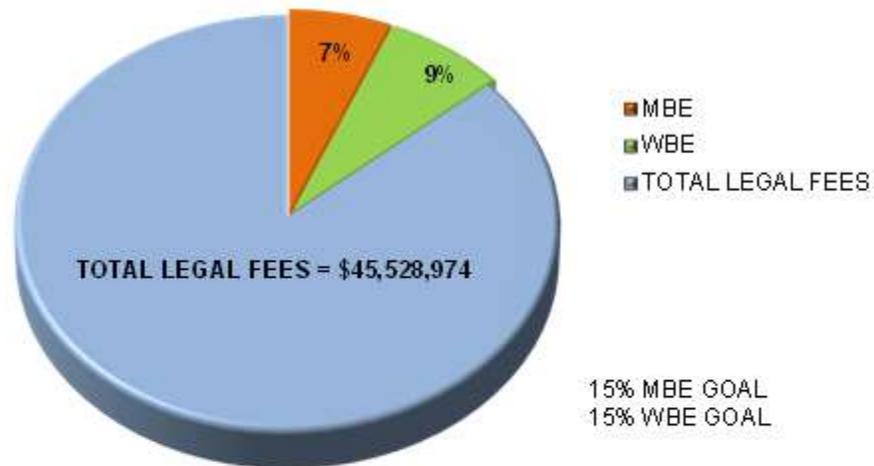
Capital Projects (Continued)

- **Status:** MWBE and SDVOB goals are not being met
- **Trends**
 - ✓ Upward : MBE participation on contract payments
DBE participation on contract awards
 - Constant
 - ✓ Downward: WBE and SDVOB participation on contract payments
- **Strategies for Improvement:**
 - DDCR is expanding on building relationships with various women, veteran and minority trade groups and associations to identify qualified firms in the minority community.
 - Hired additional MWDBE/SDVOB contract compliance staff



Executive Summary

■ MTA All Agency Legal Fees (April 2021 – December 2021)



Actual MBE Participation = \$3,298,508 or 7%
Actual WBE Participation = \$3,940,450 or 9%

15% MBE GOAL
15% WBE GOAL



Executive Summary

MTA All Agency Legal Fees (Continued)

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

- **Trends**
 - Upward
 - ☑ Constant: MWBE participation
 - Downward

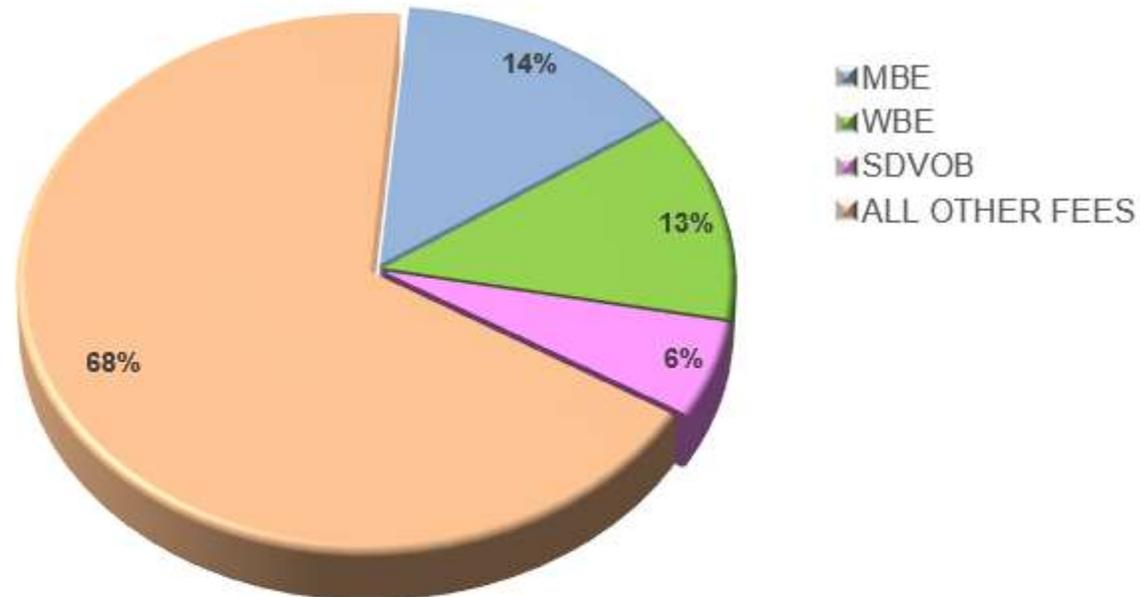
- **Strategies for Improvement:**
 - Work with the MTA's General Counsel in increasing MWBE results.



Executive Summary

Financial Services

MTA All Agency Underwriter Fees (April 2021 – December 2021)



Actual WBE Participation = \$1,762,235 or 13%
Actual MBE Participation = \$1,959,240 or 14%
Actual SDVOB Participation = \$803,685 or 6%
All Other Underwriting Fees = \$9,441,175 or 68%
Total Underwriting Fees = \$13,966,335

* Numbers may not total to 100% due to rounding



Executive Summary

Financial Services (Continued)

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

- **Trends**

- Upward: MWBE participation
- Constant
- Downward

- **Strategies for Improvement:**

- Work with the MTA's CFO and Director of Finance in increasing MWBE results.



Executive Summary

Asset Fund Managers – MWBE Participation Combined Plans (as of December 2021)

Combined Plans

- Total assets managed by MWBEs: **\$1.93 billion**; or **22%** of total assets
- Majority of assets are in traditional asset classes
- Traditional assets managed by MWBEs: **\$1.78 billion**; or **29%** of traditional assets
 - MWBE firms manage
 - 54% of US Equities
 - 40% of Real Estate
 - 36% of Non-US Equities
 - 9% of Fixed Income
 - 5 % of Opportunistic
- Alternative investments managed by MWBE's: **\$155 million**; or **6%** of alternative investments



Metropolitan Transportation Authority Department of Diversity and Civil Rights

Business and Diversity Initiatives

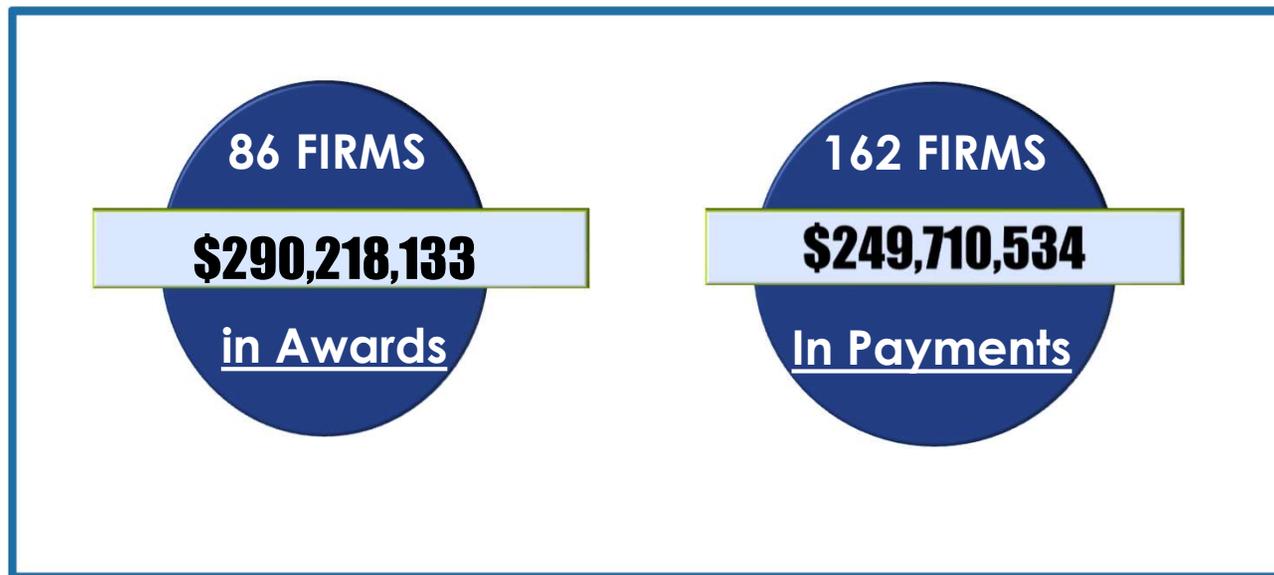
March 28, 2022



Business and Diversity Initiatives

Awards and Payments Based on Outreach Efforts
January 2021 – December 2021

Outreach Efforts Made to 1,469 MWDBE/SDVOB Firms



*Total payments include ongoing payments on previously awarded contracts



Business and Diversity Initiatives

November

Carib News Presents-Creating more Equitable Companies and a more Equitable Society
The MTA and LaGuardia Community College Procurement Technical Assistance Center
Present: "Calling All Veterans" Doing Business with the MTA
City and State NY "2021 Virtual Government Procurement Conference"
Veterans in Economic Transition Conference 2021

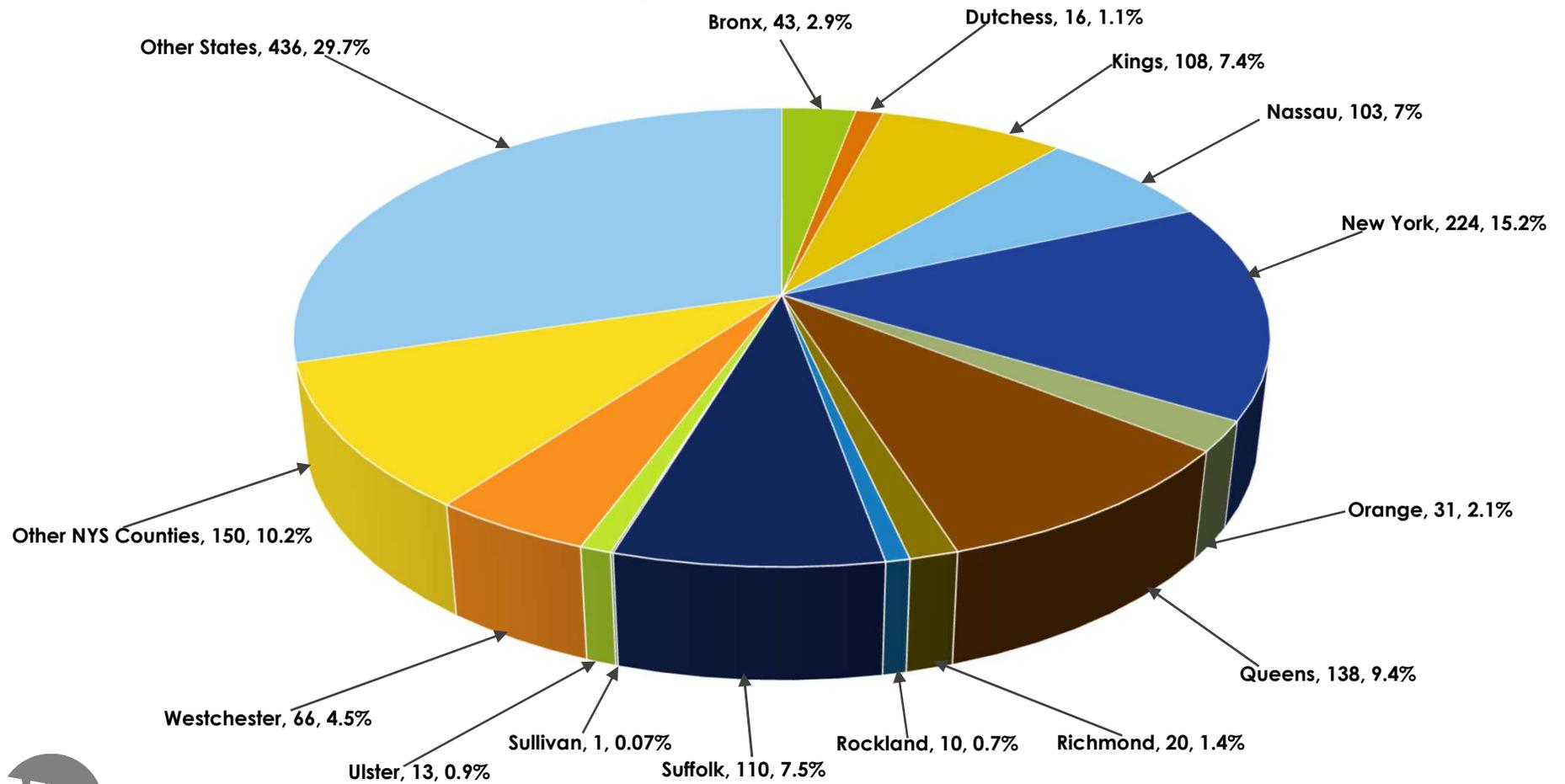
December

Veterans in Economic Transition Conference 2021
Microsoft + MTA Diversity & Inclusion Opportunity
DDCR Presents "DBE Certification Workshop"
11th Annual New York State MWBE Forum



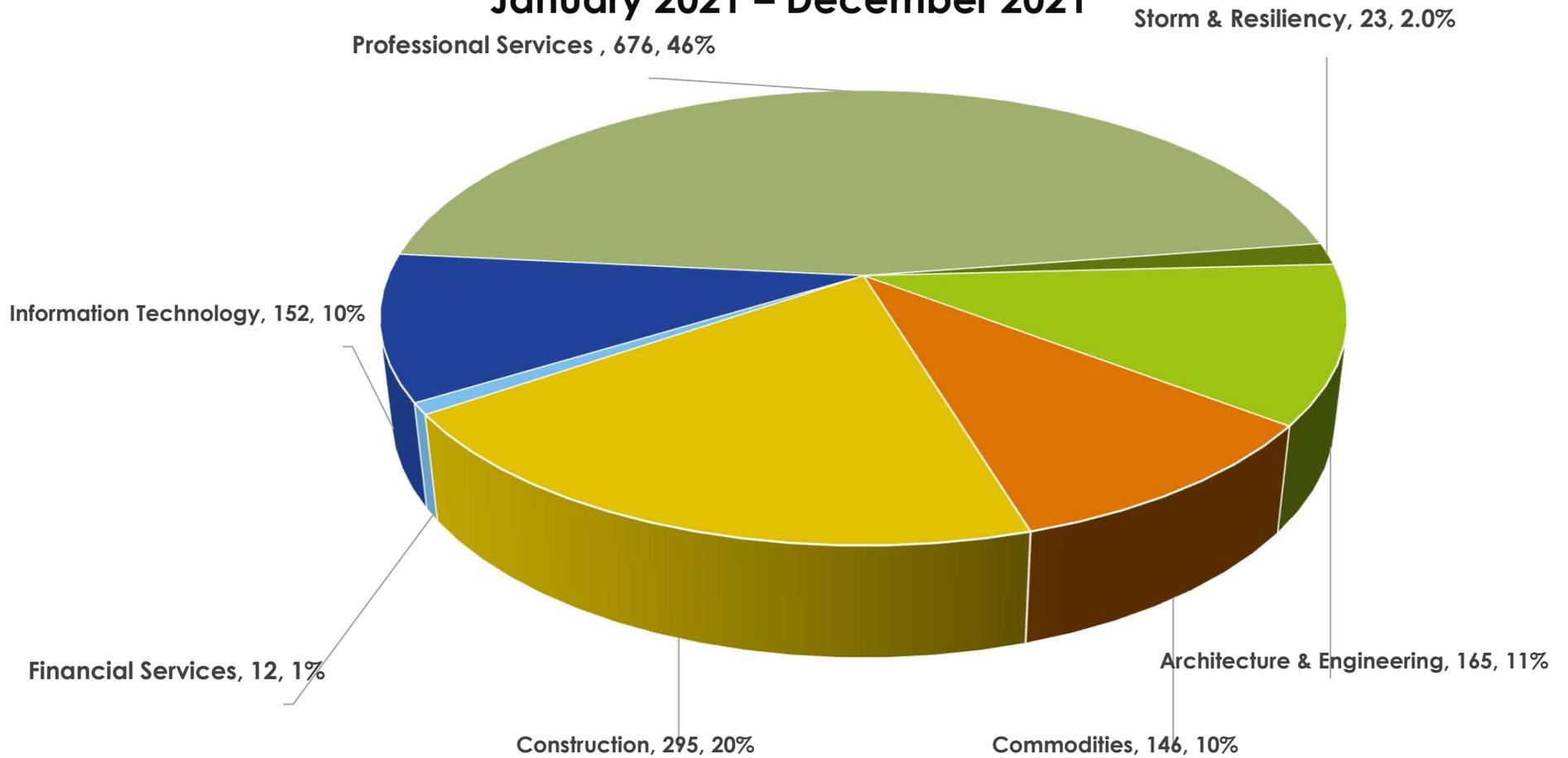
Business and Diversity Initiatives

Outreach Conducted within the MTA's 14 County Service Region January 2021– December 2021



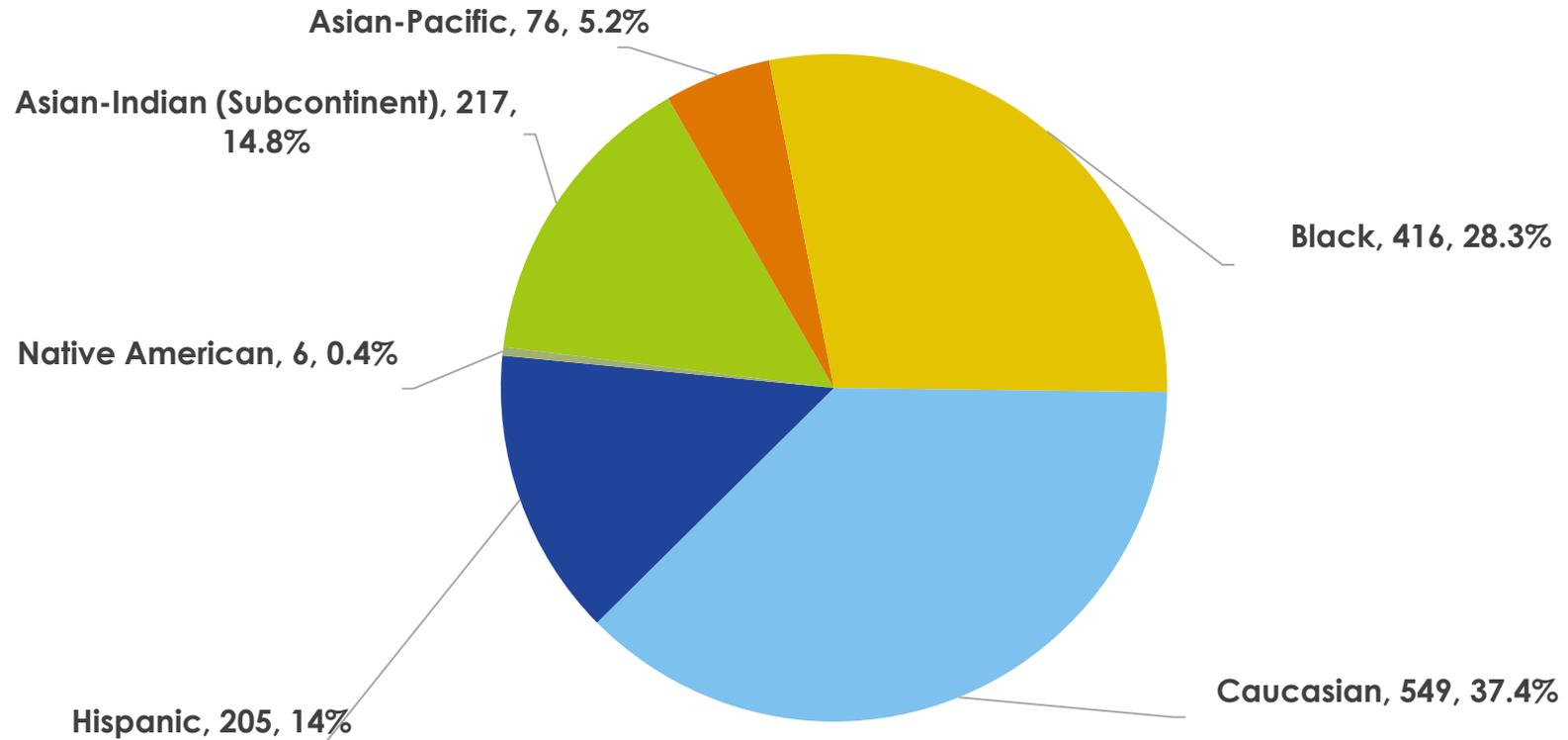
Business and Diversity Initiatives

Outreach Results By Business Type January 2021 – December 2021



Business and Diversity Initiatives

Outreach Results By Ethnicity January 2021 – December 2021



Metropolitan Transportation Authority Department of Diversity and Civil Rights

DBE Certification Activity Report

March 28, 2022



MTA DBE Certification Unit

CERTIFICATION ACTIVITY REPORT JANUARY - DECEMBER 2021

2021 ***	
New Applications Received	87
DBE Firms Certified in Current Year	57
DBE Firms Certified in Subsequent Year	0
Denied	0
Returned	3
Withdrawn	17
Application Closed	0
Decertified	0
Rejected	1
Delisted	1
Pending*	8**

* Applications pending from subsequent year(s)

** Current year applications under review

***2021 Data is up to December 31, 2021

2021	
Annual Submissions Processed (Recertifications)	725



Metropolitan Transportation Authority Department of Diversity and Civil Rights

MTA-Wide Workforce
as of December 31, 2021

March 28, 2022



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 Workforce as of December 31, 2021

JOB CATEGORY	TOTAL		Minorities		WHITES		BLACKS		HISPANICS		ASIANS		AI/AN*		NHOPI**		2+ RACES		VETERANS	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Officials & Administrators	5,359		2752	51%	2,607	49%	1,186	22%	600	11%	641	12%	19	0%	3	0%	303	6%	298	6%
F	1,322	25%	890	17%	432	8%	485	9%	153	3%	177	3%	3	0%	0	0%	72	1%	25	8%
M	4,037	75%	1862	35%	2,175	41%	701	13%	447	8%	464	9%	16	0%	3	0%	231	4%	273	92%
Professionals	4,150		2914	70%	1,236	30%	1,177	28%	506	12%	982	24%	7	0%	3	0%	239	6%	85	2%
F	1,581	38%	1258	30%	323	8%	640	15%	227	5%	290	7%	2	0%	2	0%	97	2%	21	25%
M	2,569	62%	1656	40%	913	22%	537	13%	279	7%	692	17%	5	0%	1	0%	142	3%	64	75%
Technicians	448		215	48%	233	52%	87	19%	60	13%	43	10%	3	1%	1	0%	21	5%	37	8%
F	55	12%	42	9%	13	3%	24	5%	11	2%	2	0%	0	0%	0	0%	5	1%	2	5%
M	393	88%	173	39%	220	49%	63	14%	49	11%	41	9%	3	1%	1	0%	16	4%	35	95%
Protective Services	2,046		1316	64%	730	36%	611	30%	514	25%	116	6%	2	0%	2	0%	71	3%	157	8%
F	351	17%	274	13%	77	4%	160	8%	90	4%	4	0%	1	0%	0	0%	19	1%	14	9%
M	1,695	83%	1042	51%	653	32%	451	22%	424	21%	112	5%	1	0%	2	0%	52	3%	143	91%
Paraprofessionals	60		47	78%	13	22%	27	45%	12	20%	4	7%	0	0%	0	0%	4	7%	0	0%
F	37	62%	31	52%	6	10%	17	28%	9	15%	2	3%	0	0%	0	0%	3	5%	0	0%
M	23	38%	16	27%	7	12%	10	17%	3	5%	2	3%	0	0%	0	0%	1	2%	0	0%
Administrative Support	4,681		3958	85%	723	15%	2,350	50%	627	13%	792	17%	12	0%	2	0%	175	4%	82	2%
F	2,228	48%	2019	43%	209	4%	1,480	32%	303	6%	137	3%	7	0%	2	0%	90	2%	20	24%
M	2,453	52%	1939	41%	514	11%	870	19%	324	7%	655	14%	5	0%	0	0%	85	2%	62	76%
Skilled Craft	26,515		16026	60%	10,489	40%	8,222	31%	3,499	13%	3,128	12%	85	0%	17	0%	1,075	4%	1,081	4%
F	1,542	6%	1238	5%	304	1%	927	3%	200	1%	50	0%	4	0%	2	0%	55	0%	33	3%
M	24,973	94%	14788	56%	10,185	38%	7,295	28%	3,299	12%	3,078	12%	81	0%	15	0%	1,020	4%	1,048	97%
Service Maintenance	26,443		22207	84%	4,236	16%	13,715	52%	5,997	23%	1,610	6%	71	0%	7	0%	807	3%	498	2%
F	5,494	21%	5128	19%	366	1%	3,770	14%	1,111	4%	83	0%	9	0%	1	0%	154	1%	39	8%
M	20,949	79%	17079	65%	3,870	15%	9,945	38%	4,886	18%	1,527	6%	62	0%	6	0%	653	2%	459	92%
Total	69,702		49,435	71%	20,267	29%	27,375	39%	11,815	17%	7,316	10%	199	0%	35	0%	2,695	4%	2,238	3%

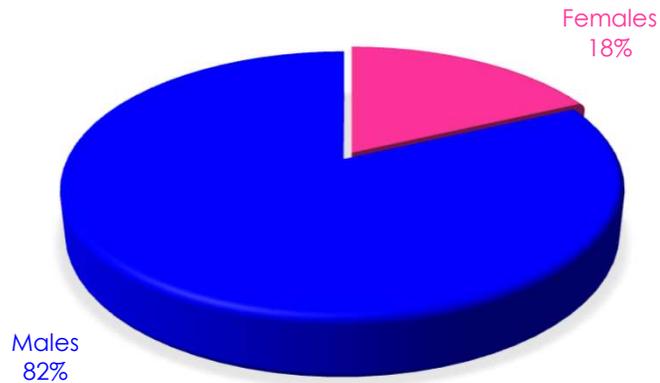
*American Indian/Alaskan Native

**Native Hawaiian Other Pacific Islander

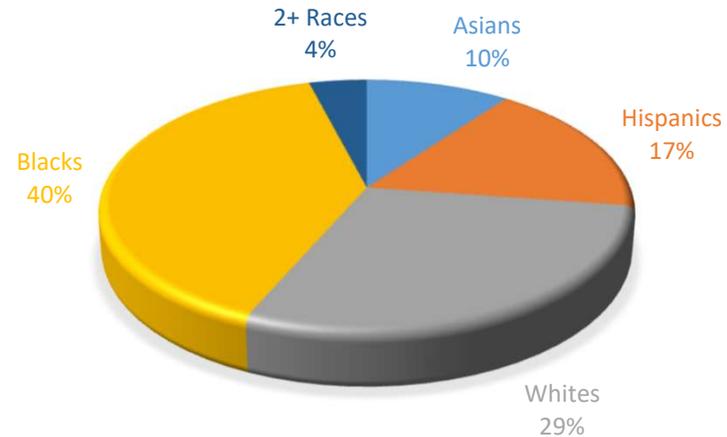


MTA-Wide Workforce as of December 31, 2021

Workforce By Gender



Workforce By Race/Ethnicity



MTA employed **69,702** people: **18%** of the workforce were females, **71%** minorities, and veterans comprised **3%**.

- ❑ The percentage of females employed in the workforce has **remained constant** when compared to Fourth Quarter 2020.
- ❑ The percentage of minorities in the workforce has **increased** by one percentage point when compared to Fourth Quarter 2020.



MTA-Wide Hires and Separations Overview

The focus of Transformation, at MTA and each of its agencies, has shifted to the newly consolidated all-agency departments. Incumbents have been transferred into a new *One-MTA* reporting structure to centralize the workforce and certain back-office operations. As a result, our reports are being redesigned to better capture and measure the employment decisions impacting our workforce.

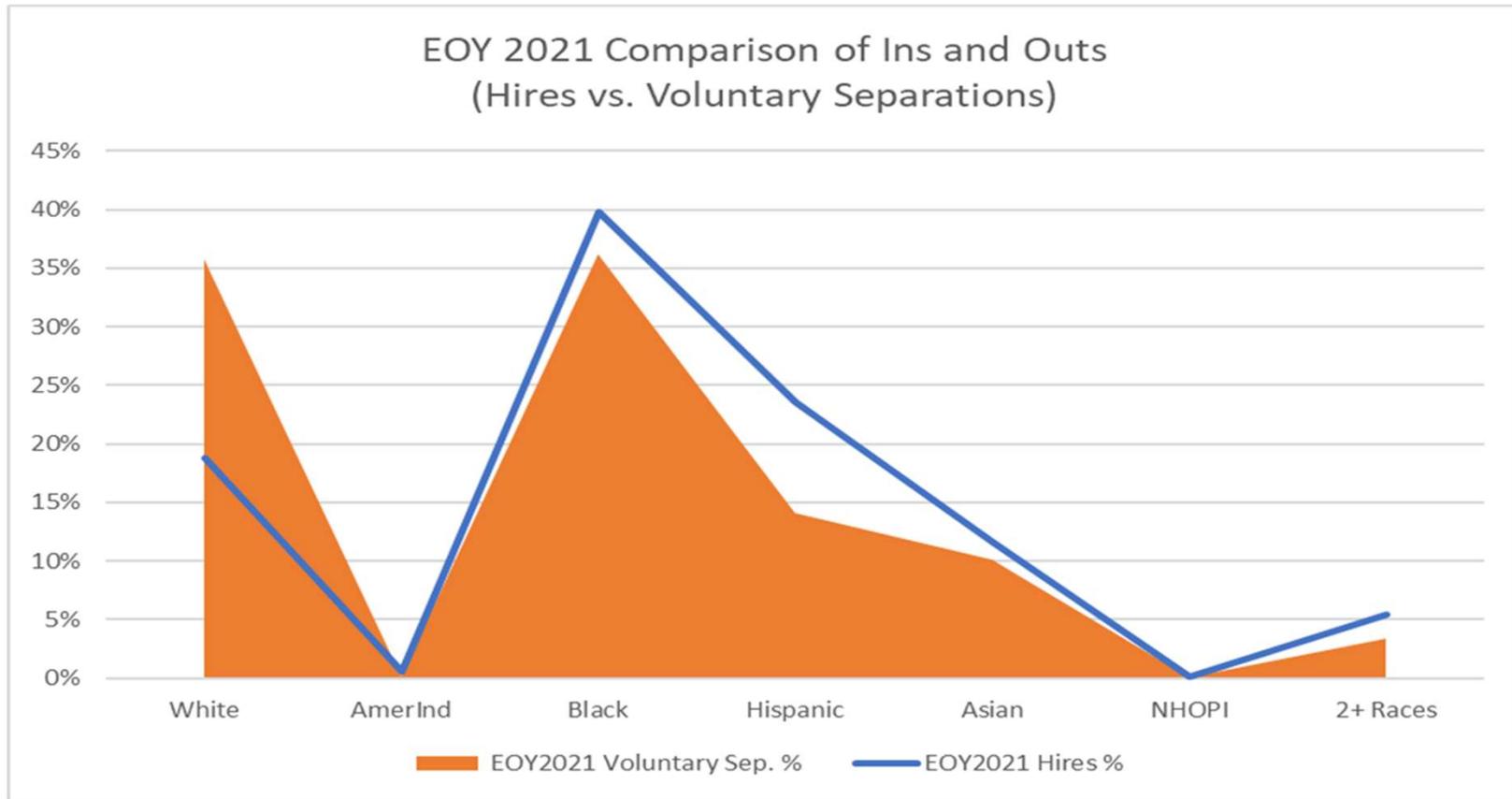
In this fourth quarter report, ending December 31, 2021, our *One-MTA* report continues to highlight the selection rates and separation rates of our people resources, without regard to individual agencies or categorical levels of positions.

The next slide in this section provides a comparison of the percentage of new hires to the percentage of voluntary separations (e. g. resignations and retirements) that occurred during 2021, by race and/or gender.



NOTE: The numbers and information provided do not infer statistical disparities or explain the reasons or provide a root cause analysis for any identified

MTA-Wide Hires and Voluntary Separations January 1, 2021 - December 31, 2021



For the 4,475 employees that left the MTA, the rate of separations appear to offset efforts to grow the workforce population via incoming new hires.

NOTE: MTA reports to EEOC as one jurisdiction, therefore internal transfers between agencies are not counted in new hires or separations totals. Data also does not include temporary titles nor administrative duplicates.



Metropolitan Transportation Authority Department of Diversity and Civil Rights

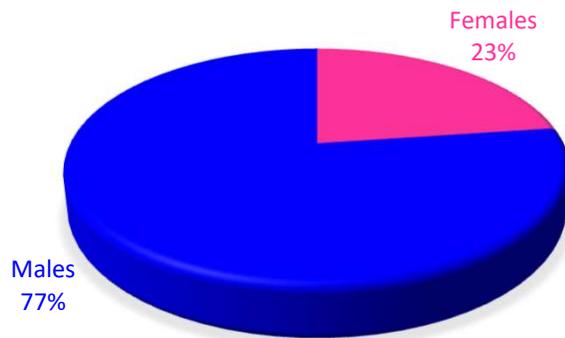
MTA-Wide New Hires and Veterans
Fourth Quarter 2021

March 28, 2022

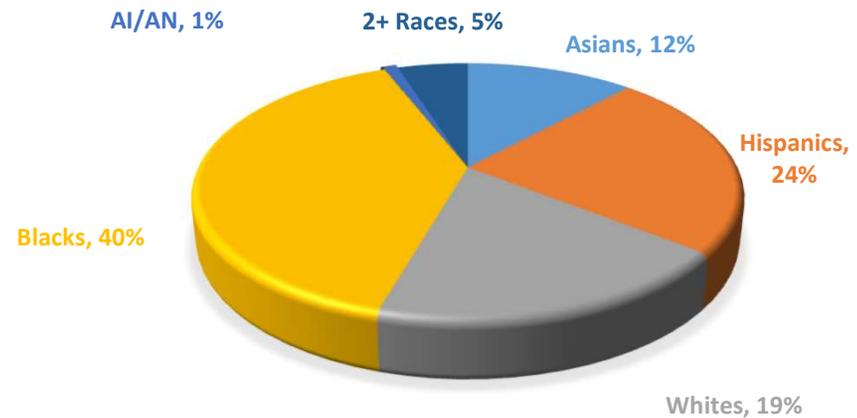


MTA-Wide New Hires January 1, 2021 to December 31, 2021

New Hires By Gender



New Hires By Race/Ethnicity



MTA hired **3,656** employees, including **102** veterans: **23%** of new hires were females and minorities comprised **81%**.

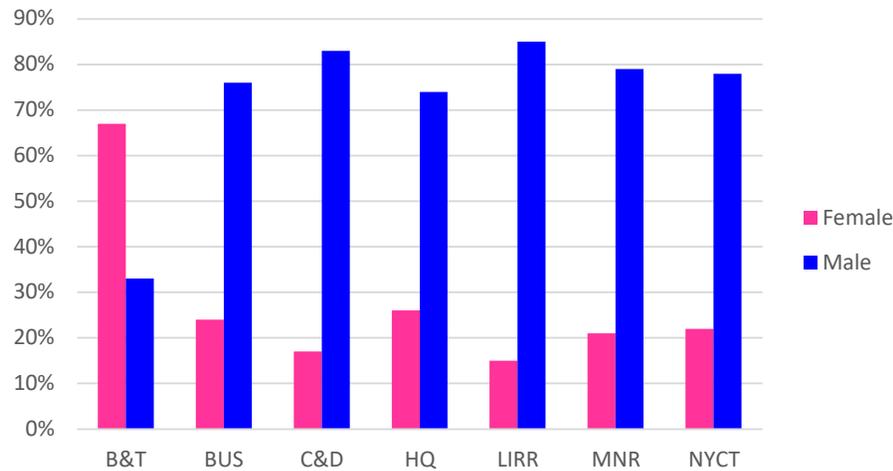
- ❑ Females were hired above their percentage of representation in the workforce.
- ❑ Minorities were hired above their percentage of representation in the workforce.

NOTE: Data shown is for new employees hired into the MTA and does not include internal transfers between agencies.

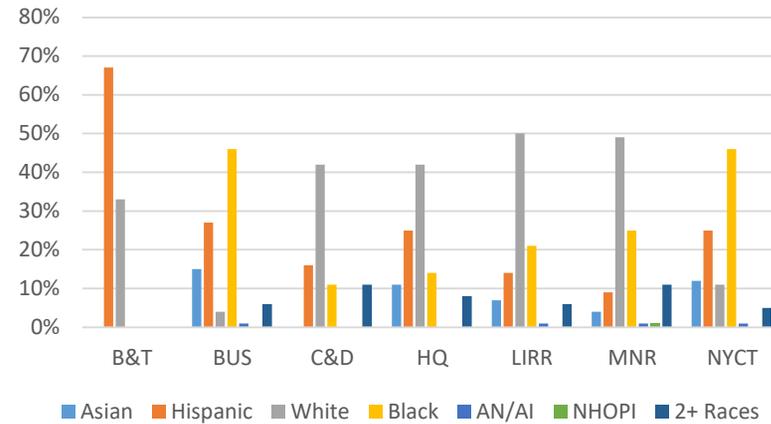


New Hires By Agency January 1, 2021 to December 31, 2021

MTA Agencies New Hires By Gender



MTA Agencies New Hires By Race/Ethnicity



Agency	New Hires	Females	Minorities
B&T	3	67%	67%
BUS	272	24%	96%
C&D	19	53%	37%
HQ	351	26%	58%
LIRR	256	14%	50%
MNR	206	19%	51%
NYCT	2549	23%	89%

NOTE: The above agency-specific data does not reflect employee movements resulting from the transformation.



Metropolitan Transportation Authority Department of Diversity and Civil Rights

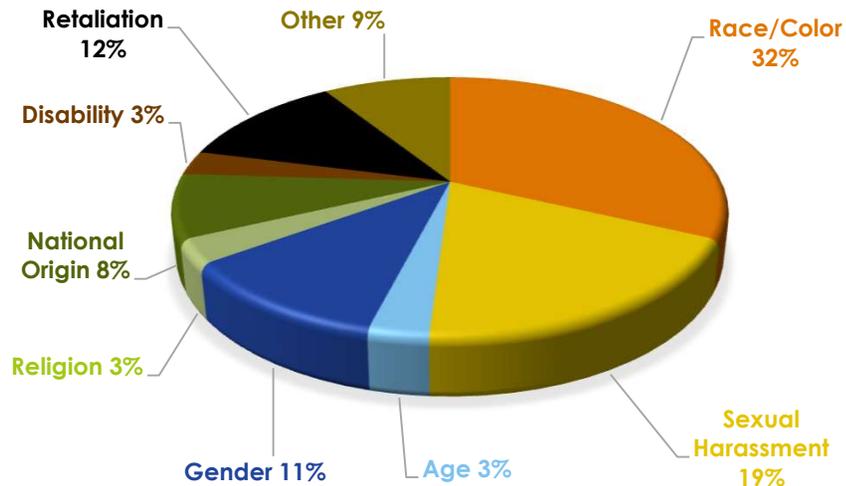
MTA-Wide Complaints and Lawsuits Fourth Quarter 2021

March 28, 2022

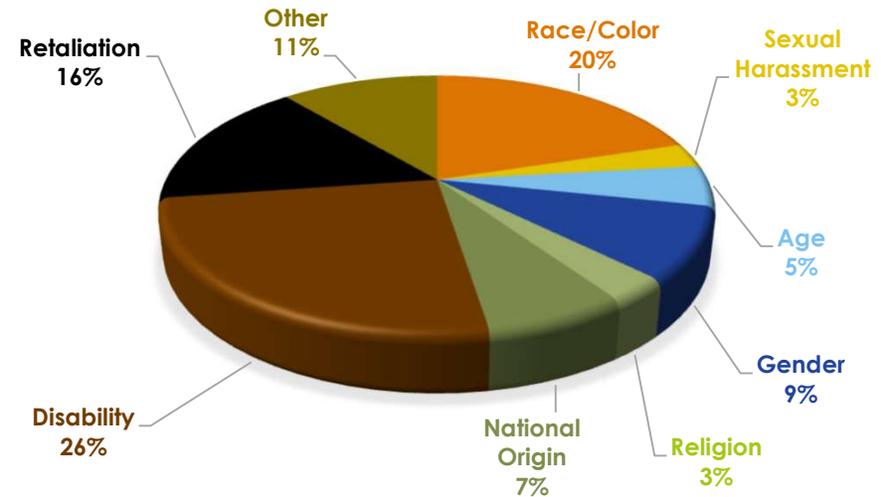


MTA-Wide EEO Internal/External Discrimination Complaints by Bases January 1, 2021 to December 31, 2021

INTERNAL EEO COMPLAINTS BY BASES



EXTERNAL EEO COMPLAINTS BY BASES



MTA received **141** new EEO complaints, citing **236** separate bases, and **27** lawsuits.

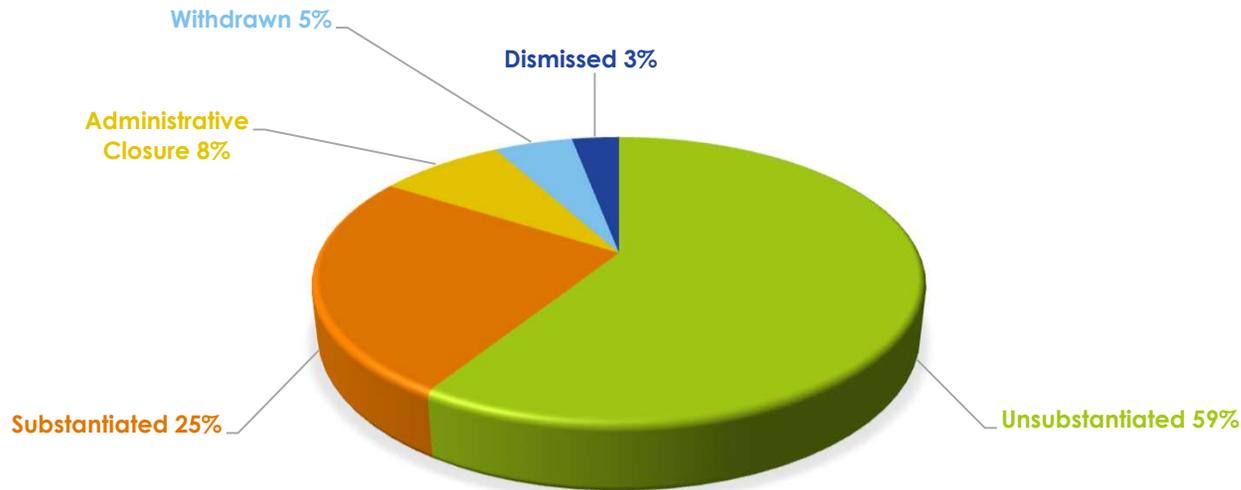
- ❑ **91** filed internal complaints.
- ❑ **50** filed external complaints.
- ❑ The most frequently cited bases internally was race/color.



Note: Complaints can be filed alleging multiple bases.

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

MTA-WIDE EEO COMPLAINT DISPOSITIONS



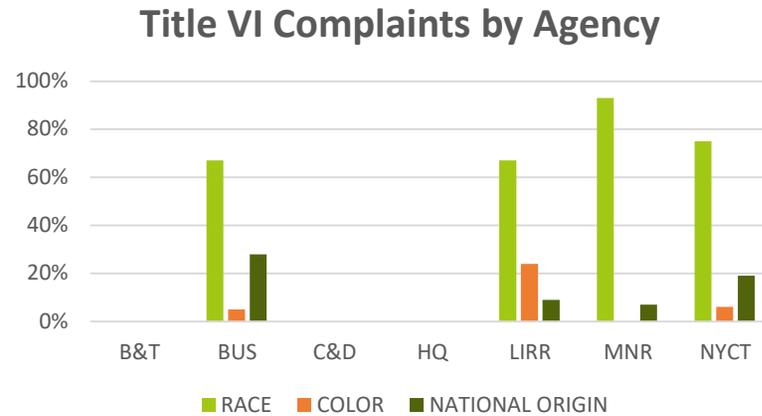
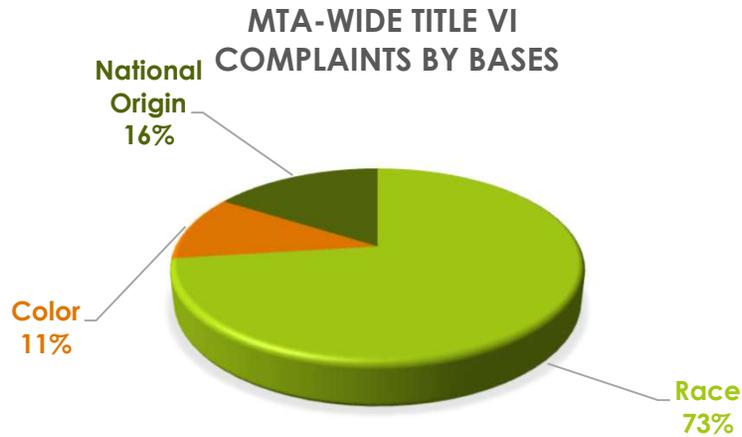
MTA disposed **64** EEO complaints.

- ❑ **59%** complaints were unsubstantiated.
- ❑ **24%** complaints were substantiated.
- ❑ **8%** complaints were administrative closures.
- ❑ **5%** complaints were withdrawn.
- ❑ **3%** complaints were dismissed.

MTA also disposed of **2** lawsuits (1 unsubstantiated and 1 resolved/settled)



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



MTA handled a total of **118** new Title VI complaints with **129** bases and **0** Title VI lawsuits.

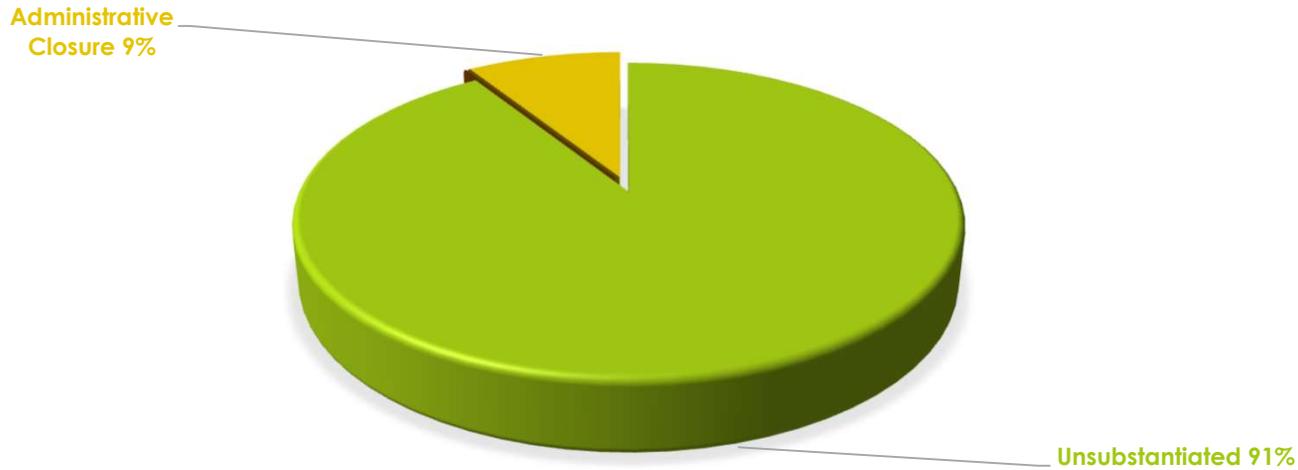
Agency	Complaints	Bases	Race	Color	National Origin
BUS	25	26	77%	4%	19%
LIRR	37	40	70%	20%	10%
MNR	7	7	86%	0%	14%
NYCT	49	56	71%	9%	20%

Note: Complaints can be filed alleging multiple bases.



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

MTA-WIDE TITLE VI COMPLAINT DISPOSITIONS



MTA disposed of **56** Title VI complaints

- ❑ **91%** complaints were unsubstantiated.
- ❑ **0%** complaints were substantiated.
- ❑ **9%** complaints were administrative closures.
- ❑ **0%** complaints were withdrawn.
- ❑ **0%** complaints were dismissed.

MTA disposed of **0** Title VI lawsuits during this period.



Metropolitan Transportation Authority Department of Diversity and Civil Rights

MTA Small Business Development Program Business Development Initiatives and MWDBE/SDVOB Results

March 28, 2022



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



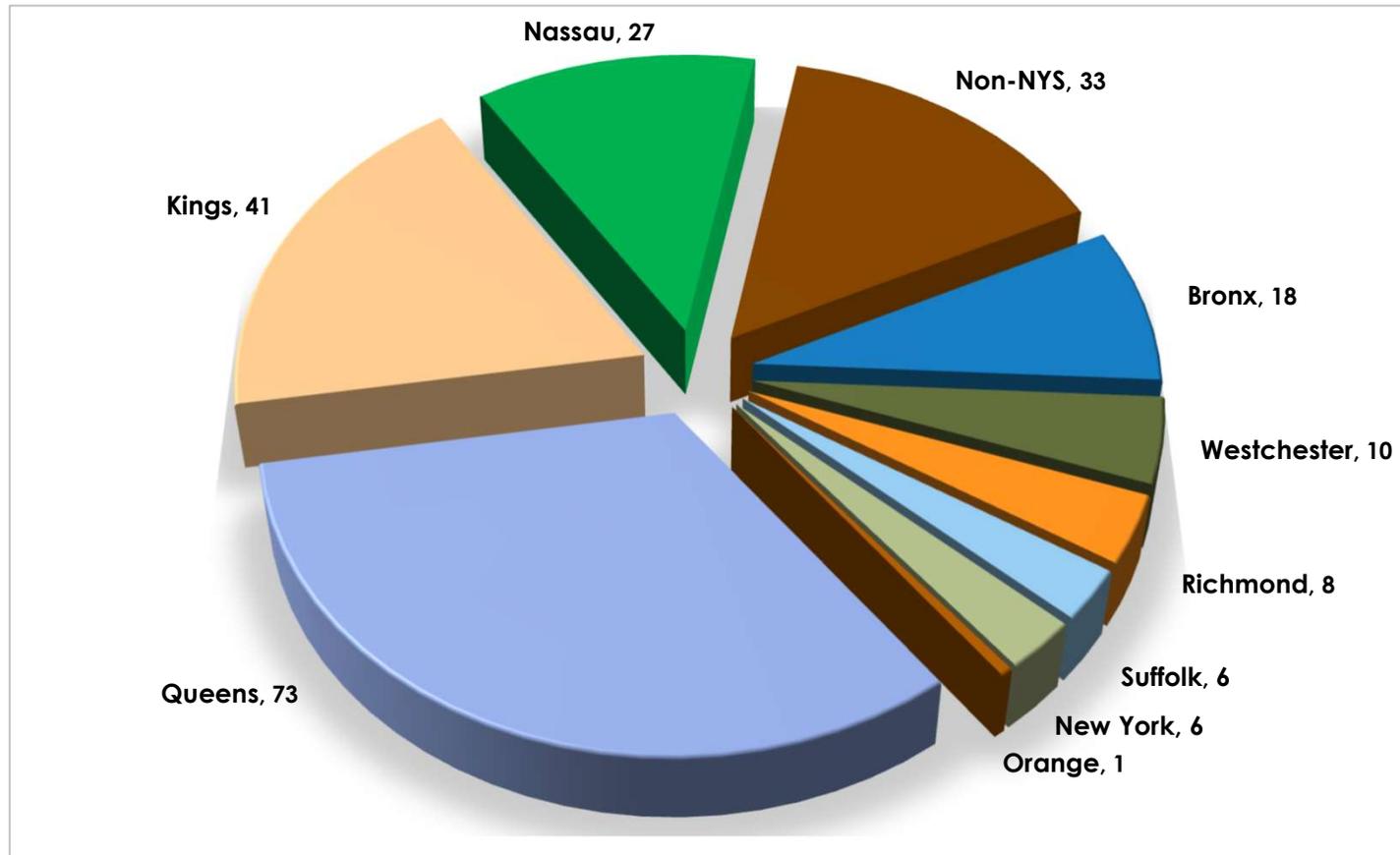
SBDP Represents NY Metro Region

Small Business Mentoring Program All Tiers

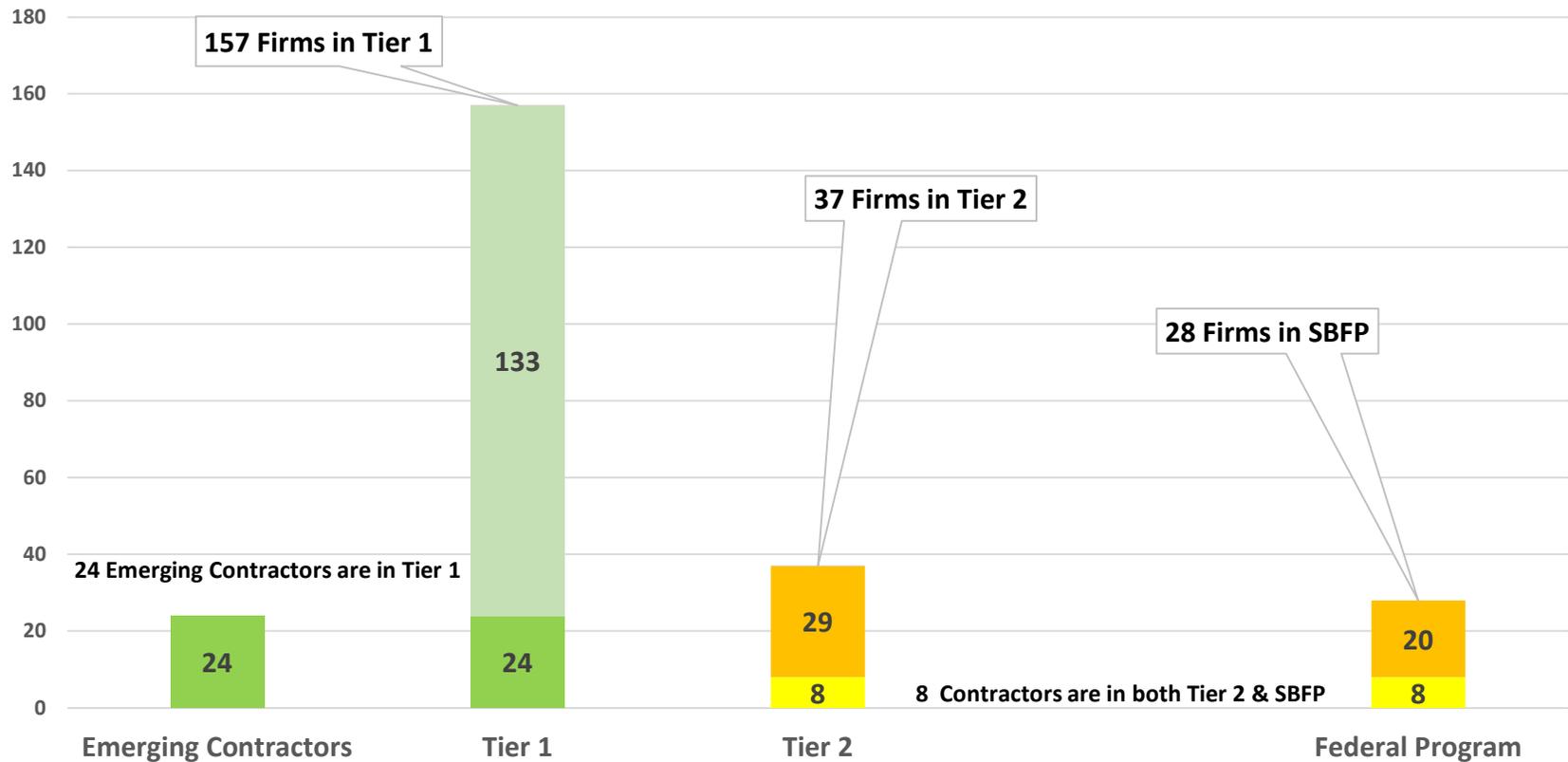
Certification	
MBE	128
WBE	27
DBE	55
SDVOB	13
Non-Certified	75

firms may have multiple certifications

222 Prequalified Firms (as of December 31, 2021)



SBDP Tier Participants

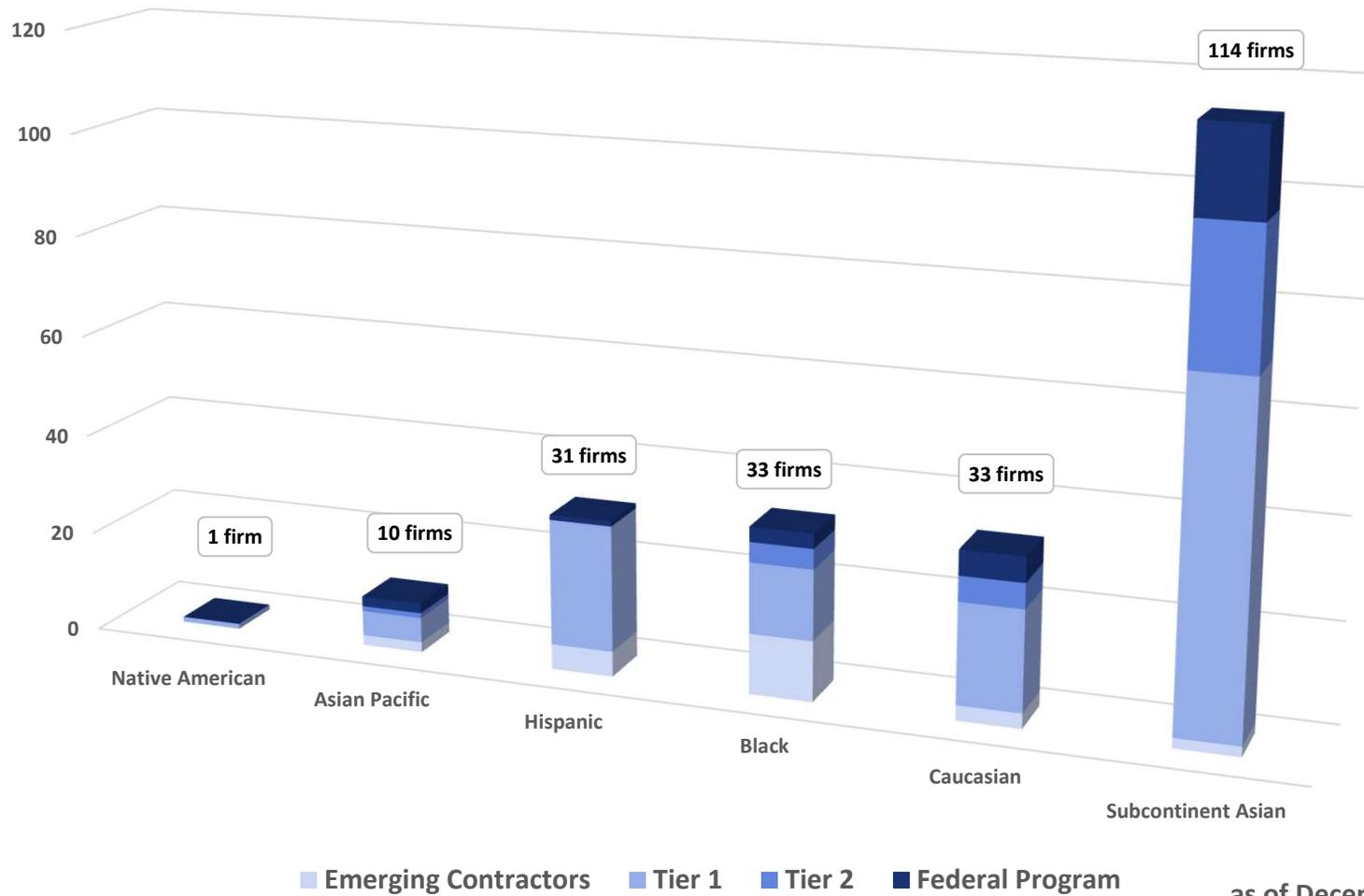


as of December 31, 2021



SBDP Tiers are also Diverse

Ethnicity of Prequalified Contractors in Program Tiers

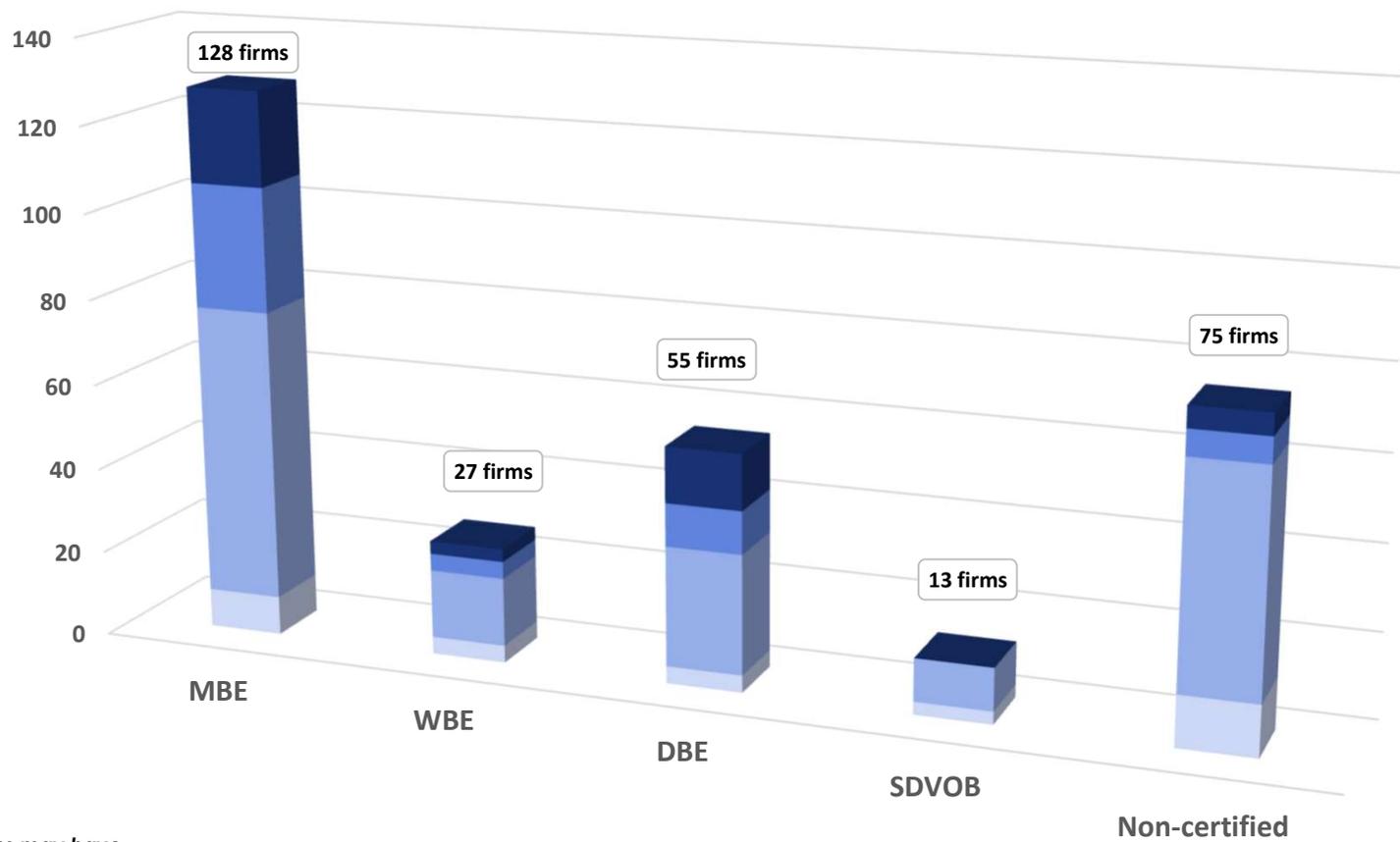


as of December 31, 2021



SBDP Certifications

Certifications of Prequalified Contractors in Program Tiers



firms may have multiple certifications

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

as of December 31, 2021



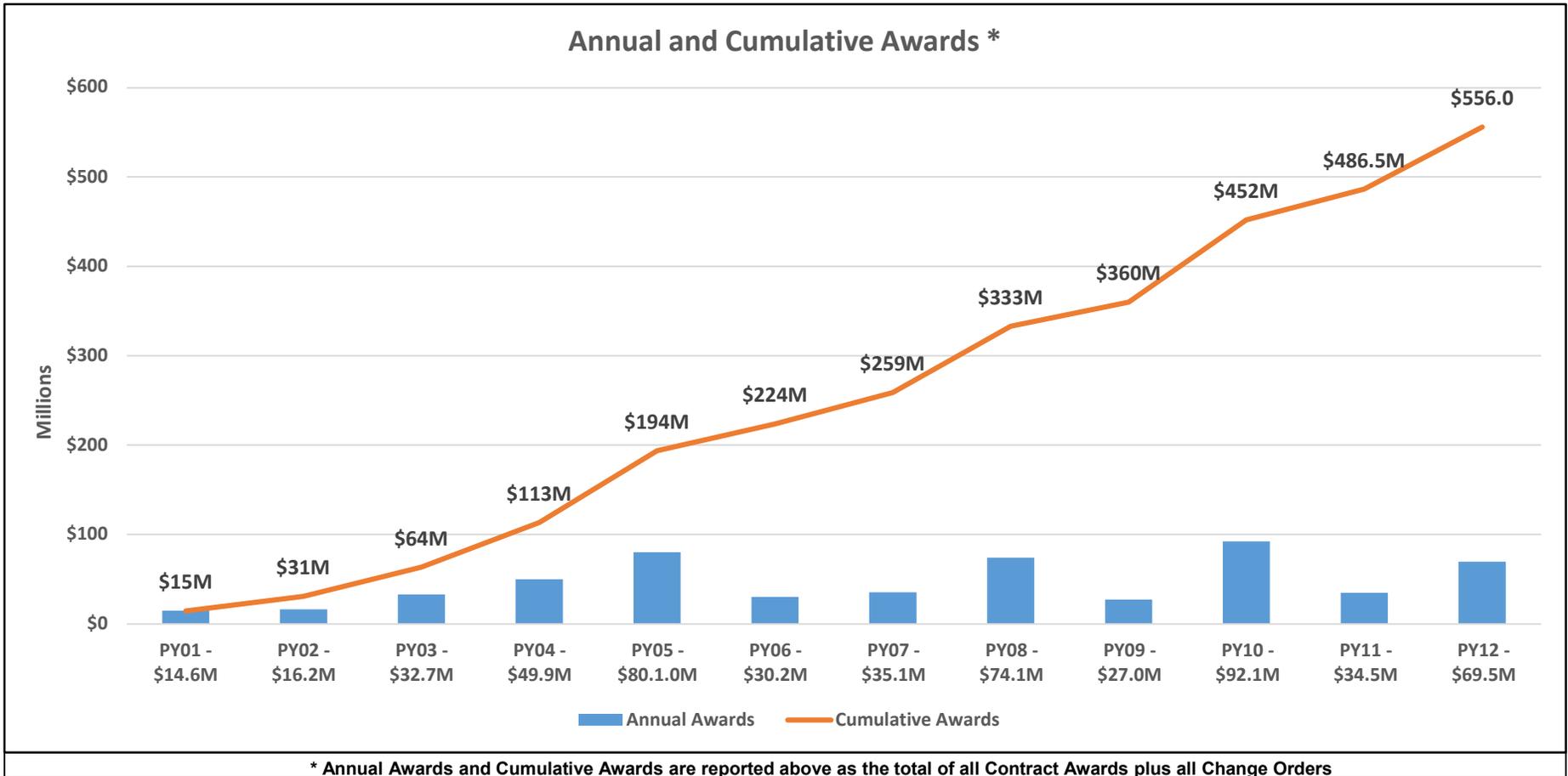
SBDP is Exceeding MWDBE Goals

- MTA MWBE SBMP Tier 1/Tier 2 Goal – **30%**
- MTA DBE Goal – **20%**
- MTA SDVOB Goal - **6%** (Initiated during Program Year 7)
- Tier 1 MWBE Achievements
 - **67%** - contracts awarded to NYS-certified MWBEs
 - **67%** - contract dollars awarded to NYS-certified MWBEs
- Tier 2 MWBE Achievements
 - **87%** - contracts awarded to NYS-certified MWBEs
 - **85%** - contracts dollars awarded to NYS-certified MWBEs
- Federal Program DBE Achievements
 - **62%** - contracts awarded to DBEs
 - **61%** - contracts dollars awarded to DBEs
- SDVOB Achievements
 - **1%** - contracts awarded to SDVOBs
 - **1%** - contract dollars awarded to SDVOBs



as of December 31, 2021

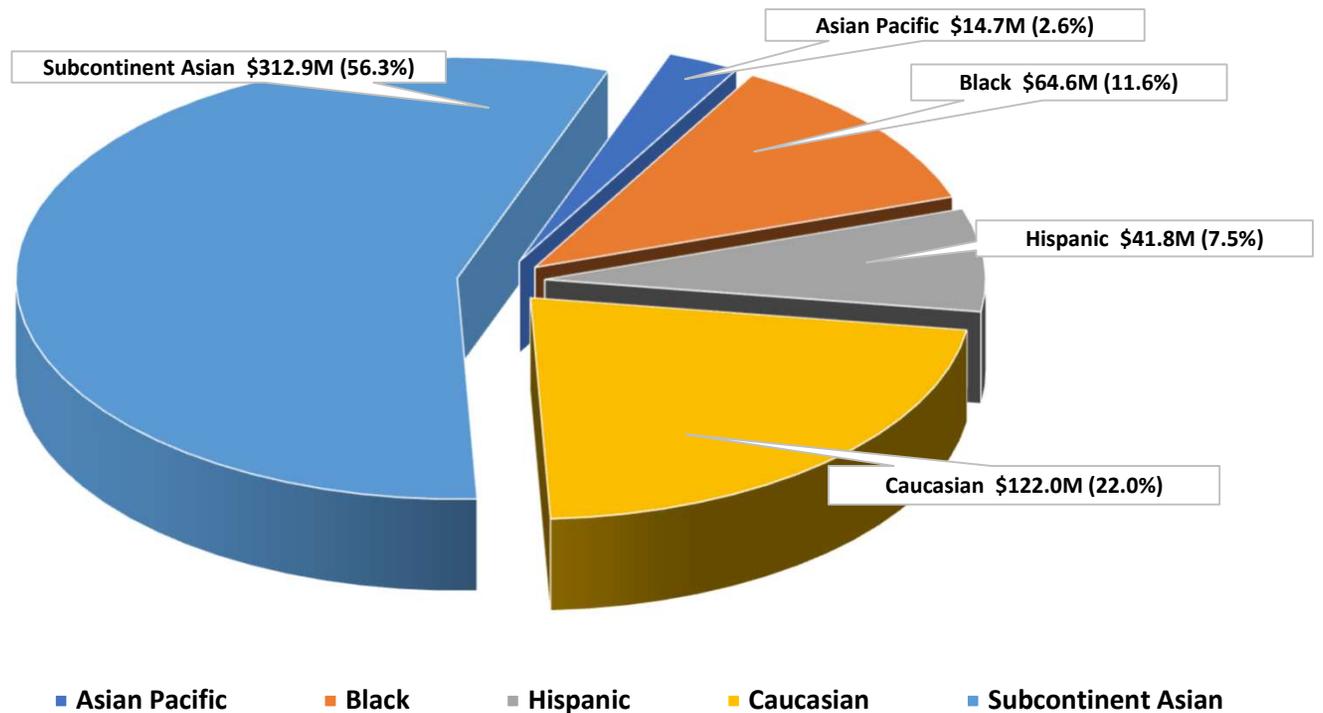
SBDP Prime Contract Opportunities



Program Year 1-12 awards through December 31, 2021

SBDP Contract Awards

Total SBDP Contract Awards by Ethnic Categories



Category	Legend	Awards
Subcontinent Asian		\$312.9M
Caucasian		\$122.0M
Black		\$64.6M
Hispanic		\$41.8M
Asian Pacific		\$14.7M
Total SBDP Awards		\$556.0M

(Awards in Millions of Dollars)

Contract Awards through December 31, 2021



SBDP Loan Program

Loan values shown are through December 31, 2021

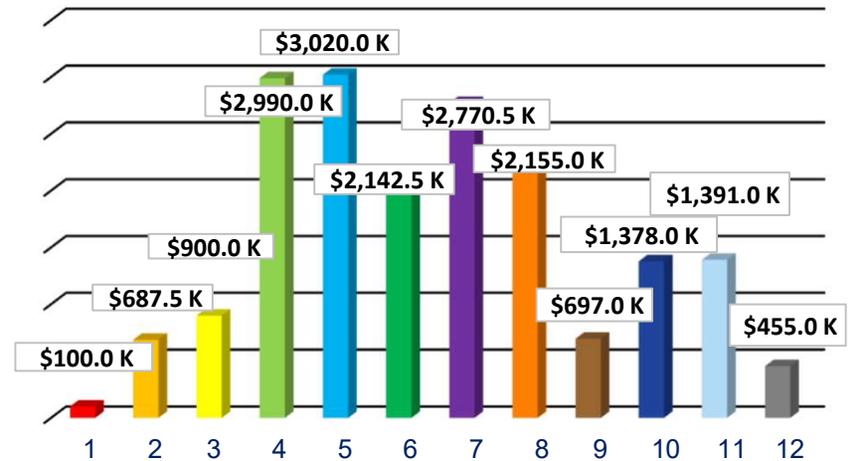
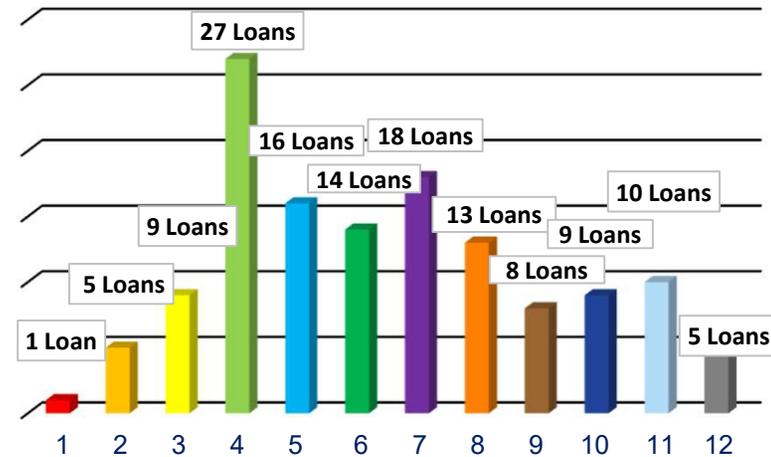
Year 1	1 Loan	totaling	\$ 100,000
Year 2	5 Loans	totaling	\$ 687,500
Year 3	9 Loans	totaling	\$ 900,000
Year 4	27 Loans	totaling	\$2,990,000
Year 5	16 Loans	totaling	\$3,020,000
Year 6	14 Loans	totaling	\$2,142,500
Year 7	18 Loans	totaling	\$2,770,500
Year 8	13 Loans	totaling	\$2,155,000
Year 9	8 Loans	totaling	\$ 697,000
Year 10	9 Loans	totaling	\$1,378,000
Year 11	10 Loans	totaling	\$1,391,000
Year 12	5 Loans	totaling	\$ 455,000

Total 135 Loans Totals \$18,686,500

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 represents activity from August 1st 2018 to December 31st, 2018



SBDP Awards

➤ Program Year	Tier	Dollars Awarded*
➤ 2010 – 2021	SBMP-Tier 1	Awards total \$205 Million
➤ 2015 – 2021	SBMP-Tier 2	Awards total \$198 Million
➤ 2013 – 2021	SBFP	Awards total \$153 Million
	All Tiers	Awards total \$556 Million



* Contract Awards plus all Change Orders through December 31, 2021

SBDP Facilitates Bonding and Growth

- The Small Business Development Bond Program has assisted Tier 2 and SBFP firms in securing **\$444 million** in surety bonds.
- **1,305** bid opportunities in the **Tier 2** and **Federal** programs
- **183** 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



as of December 31, 2021

TRAINING IS INTEGRAL TO SUCCESS

- Over **259** classroom training dates completed from July 2010 through December 2021
- Over **1,960** hours of classroom training provided from July 2010 through December 2021
- More than **995** firms have participated in the training since the inception of the program
 - Over **470** of these firms have applied to and prequalified into the SBMP
- All prequalified contractors complete a mandatory 18-session training program
- Over **20** 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 405 In-Person Assessments Completed
- Over 395 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

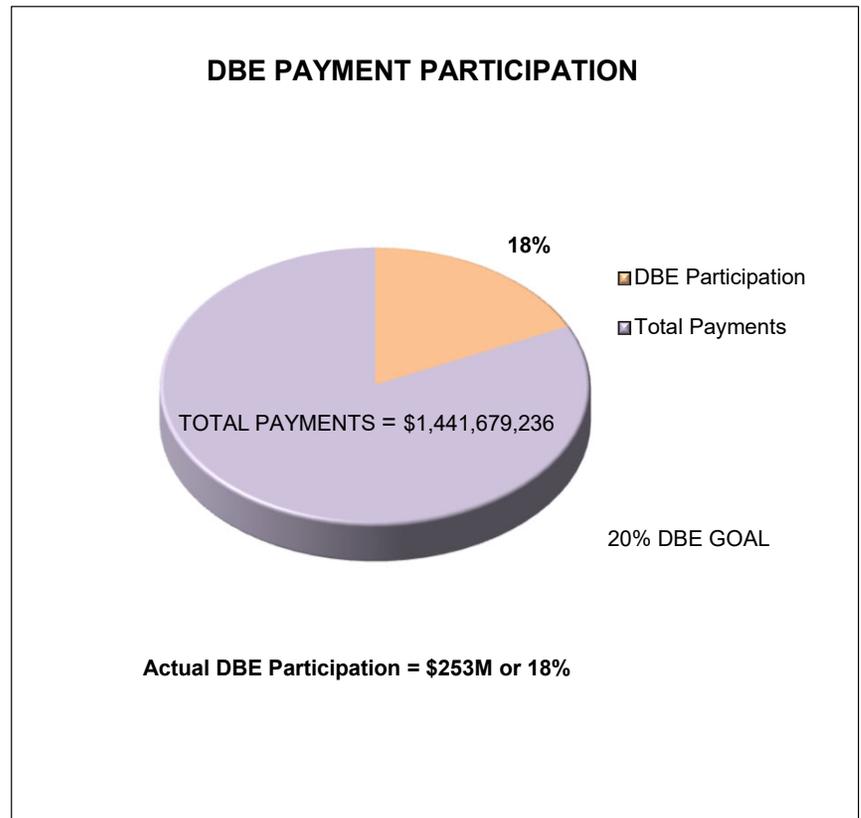
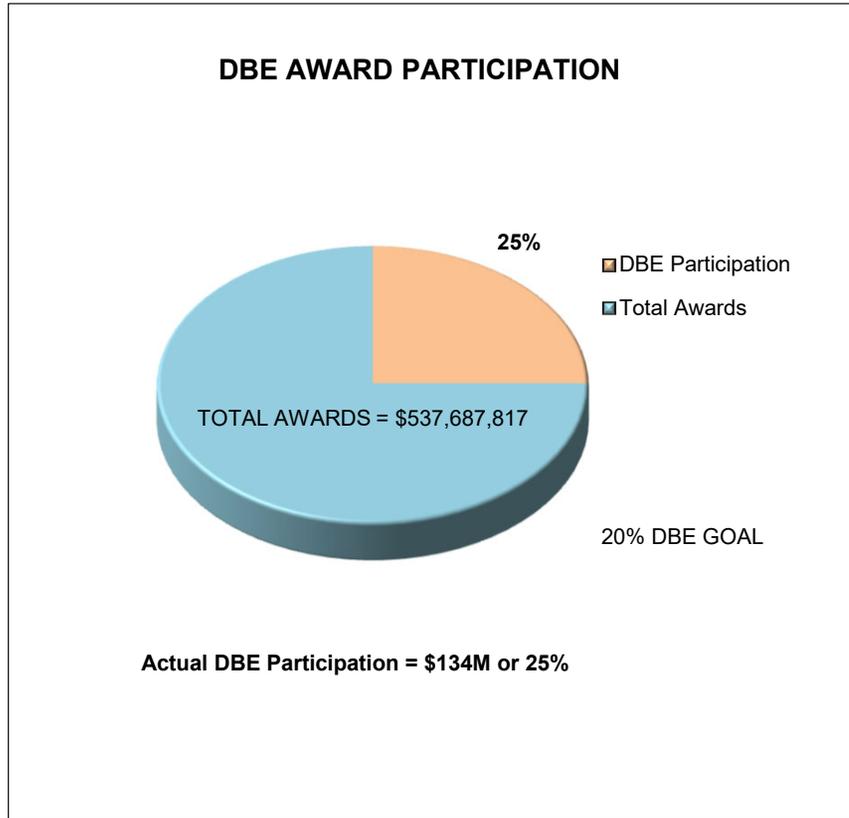
March 28, 2022



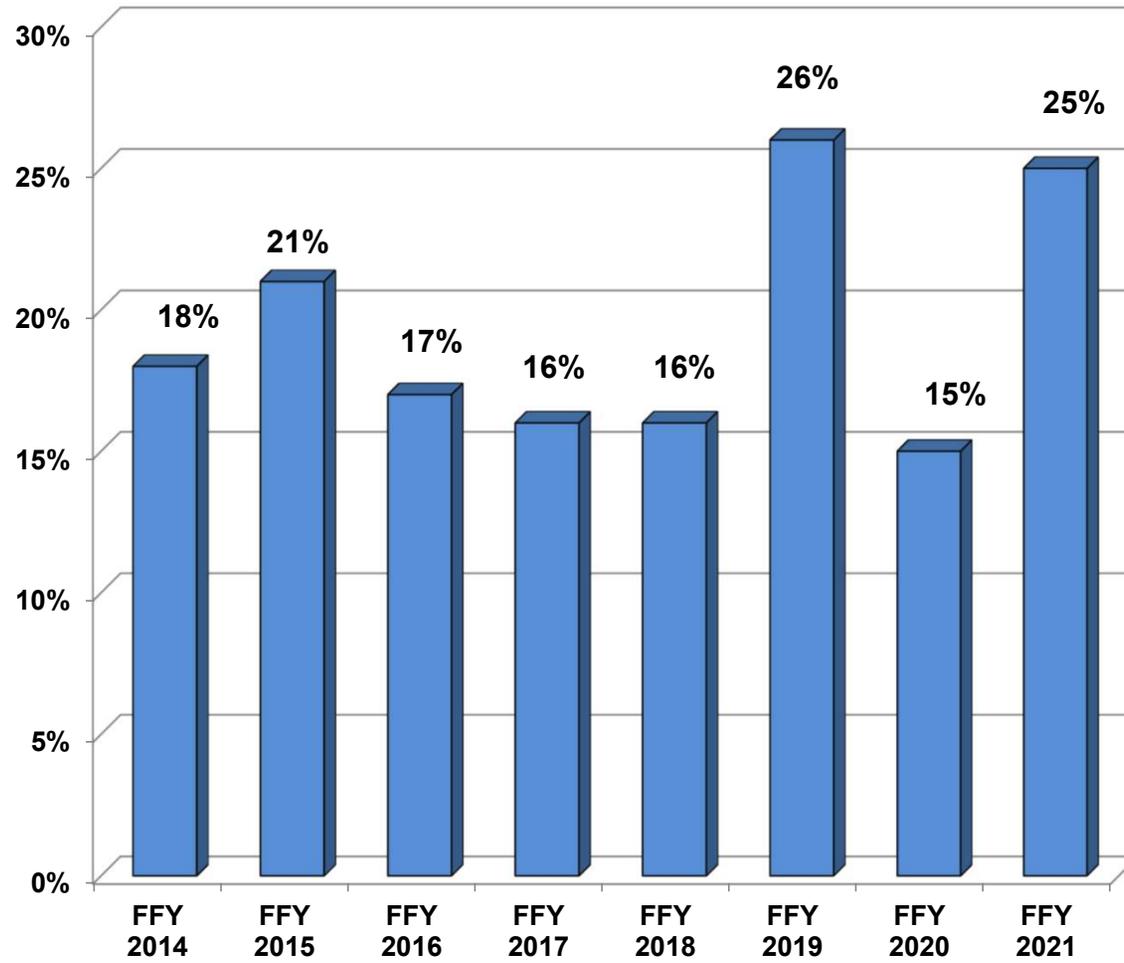
DBE Participation in Federally Funded Contracts
Federal Fiscal Year 2021
(Reporting Period: October 1, 2020 to September 30, 2021)

- 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 FFY 2021, MTA awarded \$538 million in the federally funded portion of contracts, with \$134 million (25%) being awarded to certified DBEs.
- During the FFY 2021, MTA paid prime contractors \$1.4 billion, with payments to certified DBEs totaling \$253 million (18%).
- On contracts closed during the FFY 2021, MTA achieved 12% DBE participation.

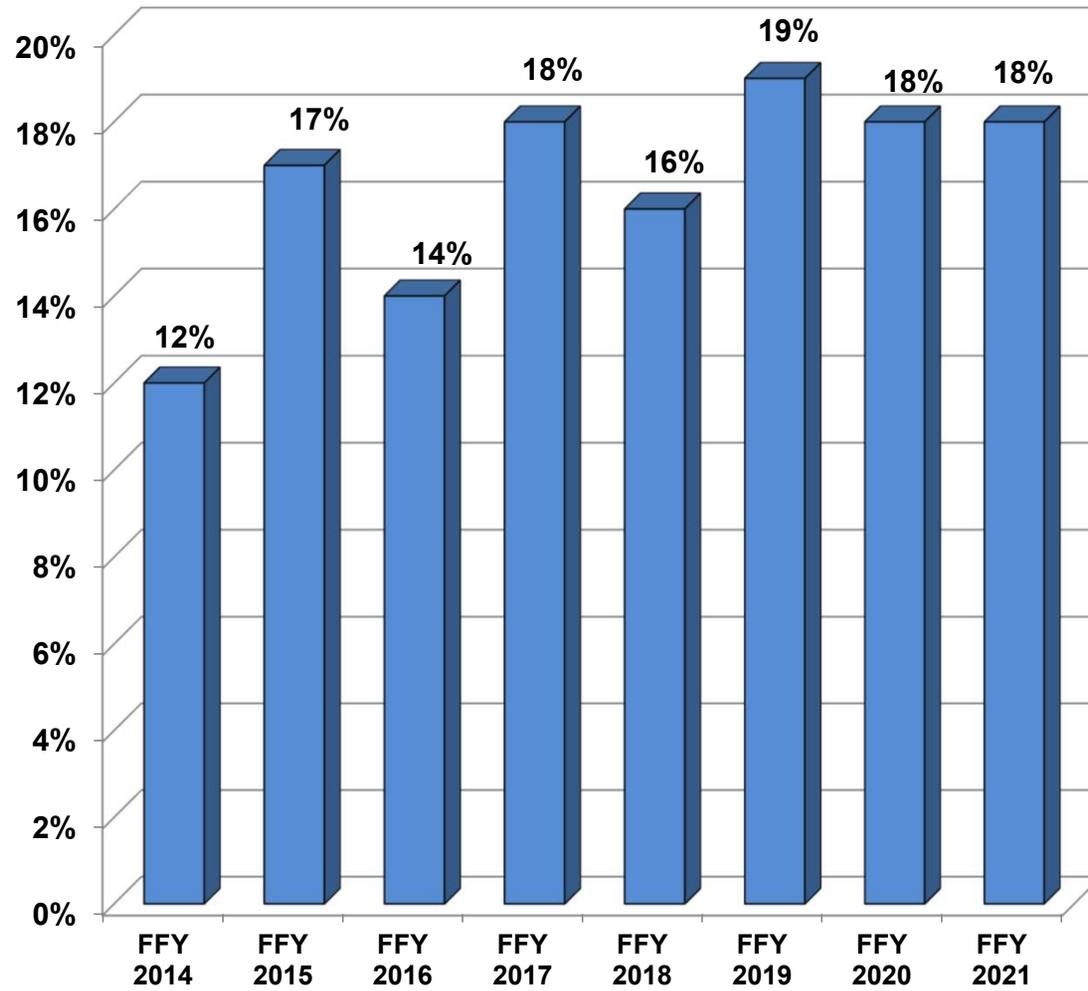
FEDERALLY-FUNDED CONTRACTS
DBE CONTRACT ACTIVITY
FEDERAL FISCAL YEAR 2021(OCTOBER 2020-SEPTEMBER 2021)



DBE CONTRACT AWARDS
October 2014 - September 2021



DBE CONTRACT PAYMENTS
October 2014 - September 2021



**FEDERALLY-FUNDED CONTRACTS
DBE CONTRACT ACTIVITY
FEDERAL FISCAL YEAR 2021 (OCTOBER 2020-SEPTEMBER 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%
2ND SEMI-ANNUAL REPORT APRIL 2021-SEPTEMBER 2021	459	\$179,125,183	77	\$85,109,081	48%	20%
TOTAL	**1,033	\$537,687,817	133	\$134,492,414	25%	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	\$726,900,288	565	\$135,448,805	19%	20%
2ND SEMI-ANNUAL REPORT APRIL 2021-SEPTEMBER 2021	761	\$714,778,948	564	\$117,394,031	16%	20%
TOTAL	1,498	\$1,441,679,236	1,129	\$252,842,836	18%	20%

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

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

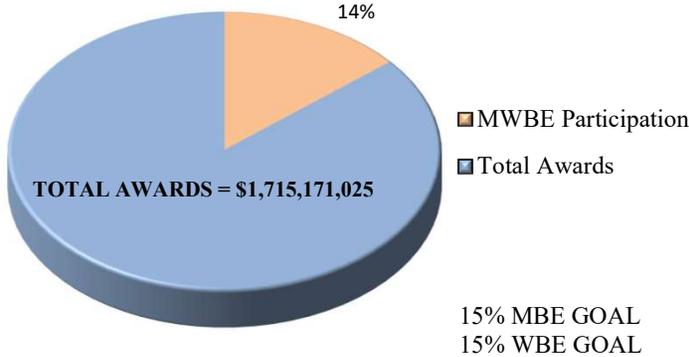
**MWBE Participation in State Funded Contracts
New York State Fiscal Year 2021-2022*
(Reporting Period: April 1, 2021 to December 31, 2021)**

- Each year, the MTA reports to the Empire State Development Corporation on a quarterly basis the 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 the New York State fiscal year 2021-2022, starting April 1, 2021.
- During the first three quarters of the FY 2021-22, the MTA awarded \$1.7 billion on New York State funded contracts, with approximately \$242 million (14%) awarded to certified MWBEs.
- During the first three quarters of the FY 2021-22, the MTA paid \$2.1 billion on prime contracts, with \$602 million (28%) paid to certified MWBEs.

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

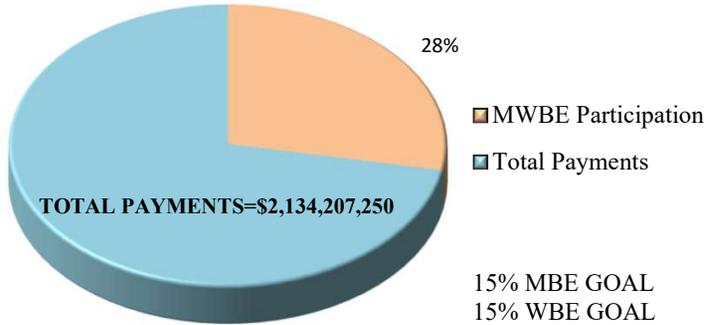
MWBE CONTRACT ACTIVITY
NEW YORK STATE FISCAL YEAR 2021-2022 (APRIL-DECEMBER 2021)

MWBE AWARD PARTICIPATION



Actual MWBE Participation * = \$242M or 14%

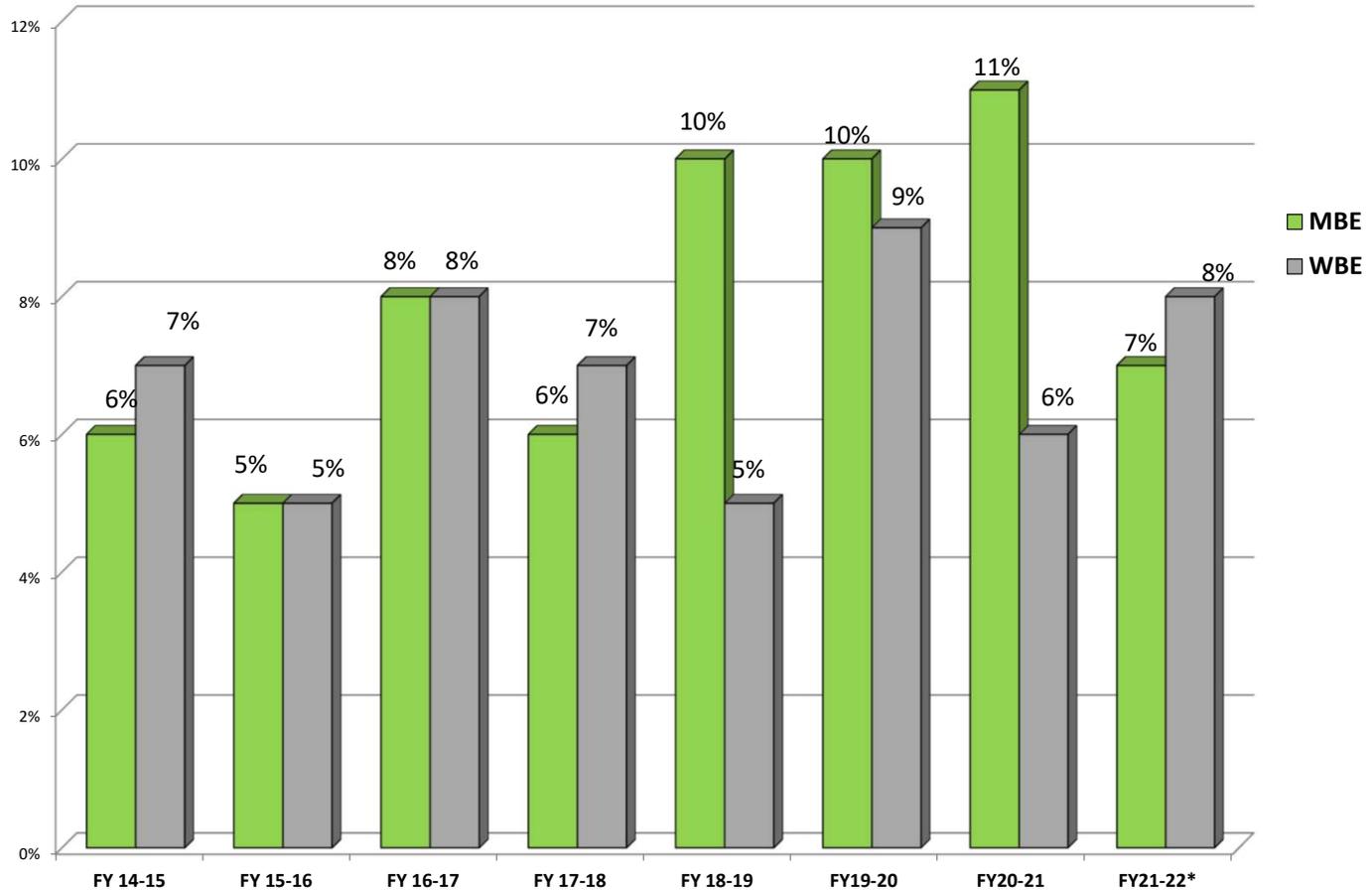
MWBE PAYMENT PARTICIPATION



Actual MWBE Participation * = \$602M or 28%

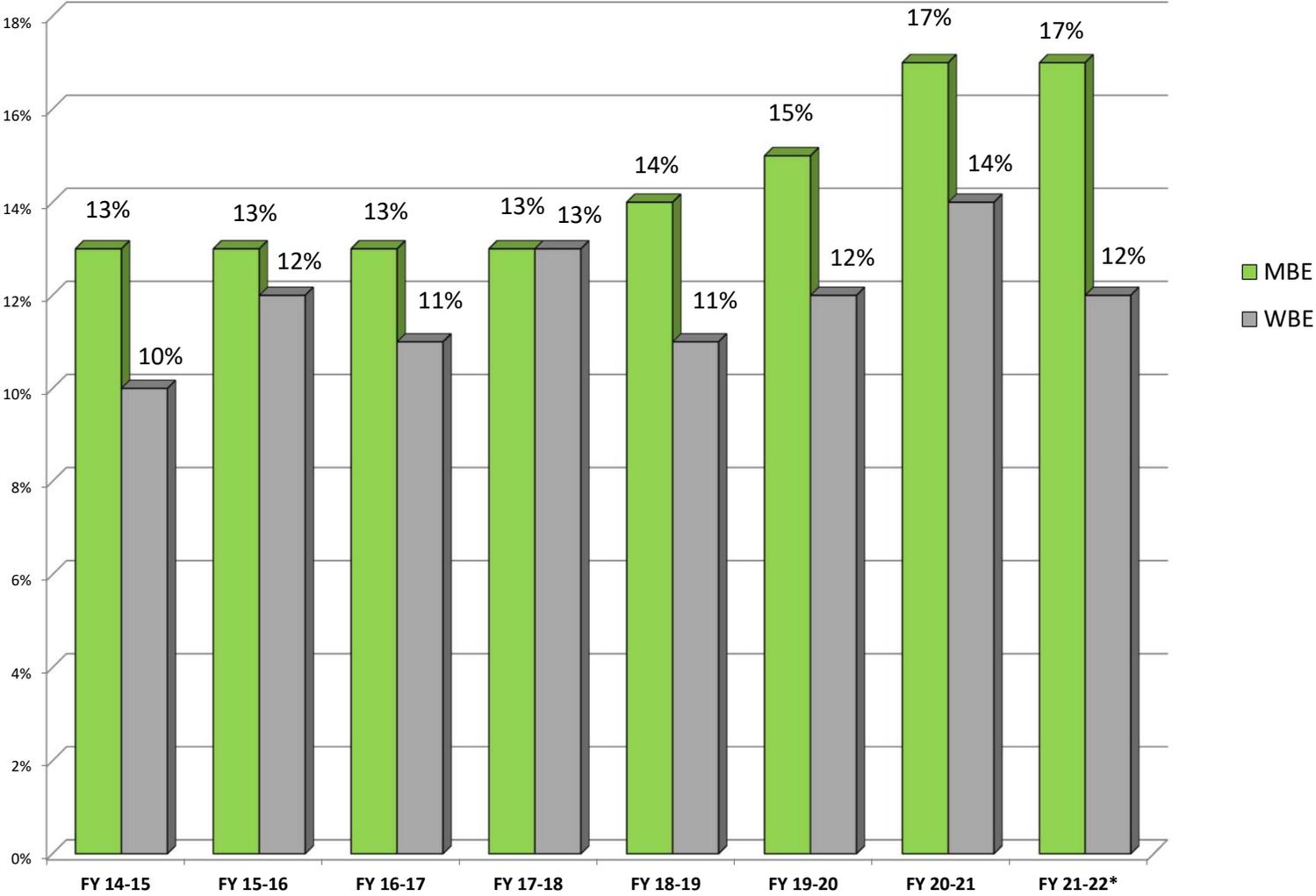
* First three quarters of NYS FY 2021-22

**NYS MWBE AWARDS
APRIL 2014 - DECEMBER 2021**



* FY 2021-22, Quarters 1-3 (April 2021 to December 2021)

NYS MWBE PAYMENTS APRIL 2014 -DECEMBER 2021



* FY 2021-22, Quarters 1-3 (April 2021 to December 2021)

**NYS CONTRACTS
MWBE CONTRACT ACTIVITY
APRIL 1, 2021 - DECEMBER 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	15,297	\$263,829,811	1,170	\$32,136,732	12%	30%
APRIL 2021-JUNE 2021						
SECOND QUARTER	15,717	\$347,902,989	1,257	\$29,829,254	9%	30%
JULY 2021-SEPTEMBER 2021						
THIRD QUARTER	11,540	\$1,103,438,226	1,020	\$179,912,653	16%	30%
OCTOBER 2021-DECEMBER 2021						
TOTAL	42,554	\$1,715,171,025	3,447	\$241,878,639	14%	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	2,316	\$763,152,478	3,313	\$203,104,234	27%	30%
APRIL 2021-JUNE 2021						
SECOND QUARTER	2,167	\$685,690,699	3,053	\$194,326,202	28%	30%
JULY 2021-SEPTEMBER 2021						
THIRD QUARTER	2,129	\$685,364,073	2,953	\$204,977,190	30%	30%
OCTOBER 2021-DECEMBER 2021						
TOTAL	6,612	\$2,134,207,250	9,319	\$602,407,626	28%	30%

**SDVOB Participation on State Funded Contracts
New York State Fiscal Year 2021-2022*
(Reporting Period: April 1, 2021 to December 31, 2021)**

- Each year, the MTA reports to the Office of General Services on a quarterly basis the 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 2021-2022, starting on April 1, 2021.
- During the first three quarters of FY 2021-22, the MTA awarded \$311 million in contracts with \$19 million (6%) awarded to certified SDVOBs.
- During the first three quarters of FY 2021-22, the MTA paid \$691 million on prime contracts with \$34 million (5%), paid to certified SDVOBs.

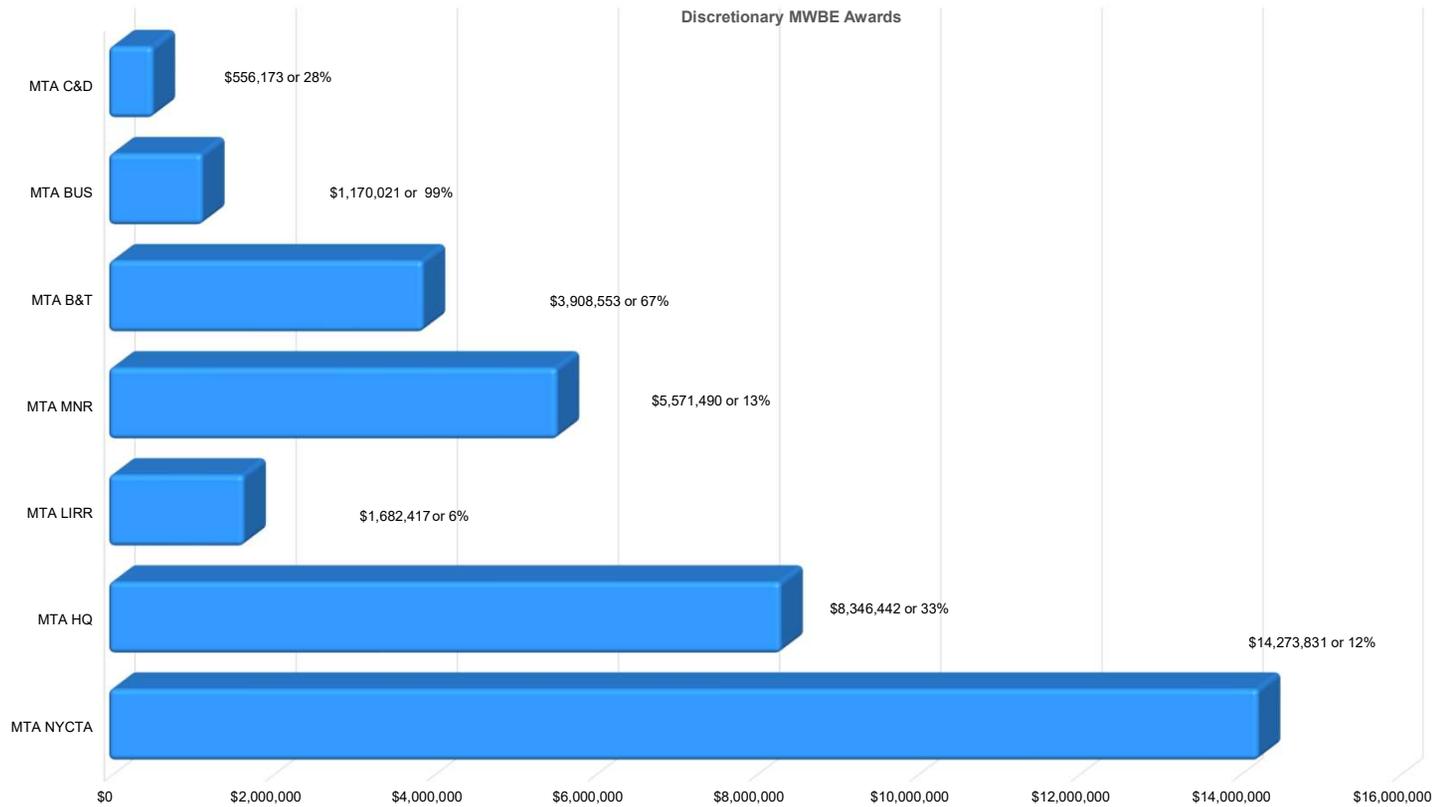
*The State Fiscal Year runs from April 1st through March 31st.

**SDVOB CONTRACT ACTIVITY
APRIL 1, 2021 - DECEMBER 31, 2021**

Contract Awards	Prime Awards	SDVOB Awards	SDVOB%
FIRST QUARTER (APRIL - JUNE 2021)	\$35,420,483	\$2,711,347	8%
SECOND QUARTER (JULY - SEPTEMBER 2021)	\$201,767,547	\$11,042,269	5%
THIRD QUARTER (OCTOBER - DECEMBER 2021)	\$74,152,786	\$5,743,557	8%
FY 2021-2022 TOTAL	\$311,340,816	\$19,497,173	6%

Contract Payments	Prime Disbursements	SDVOB Disbursements	SDVOB%
FIRST QUARTER (APRIL - JUNE 2021)	\$220,609,874	\$10,757,230	5%
SECOND QUARTER (JULY - SEPTEMBER 2021)	\$212,779,345	\$16,996,396	8%
THIRD QUARTER (OCTOBER - DECEMBER 2021)	\$257,810,817	\$6,546,785	3%
FY 2021-2022 TOTAL	\$691,200,036	\$34,300,412	5%

MTA ALL AGENCY
DISCRETIONARY PROCUREMENTS REPORT*
APRIL 2021 - DECEMBER 2021



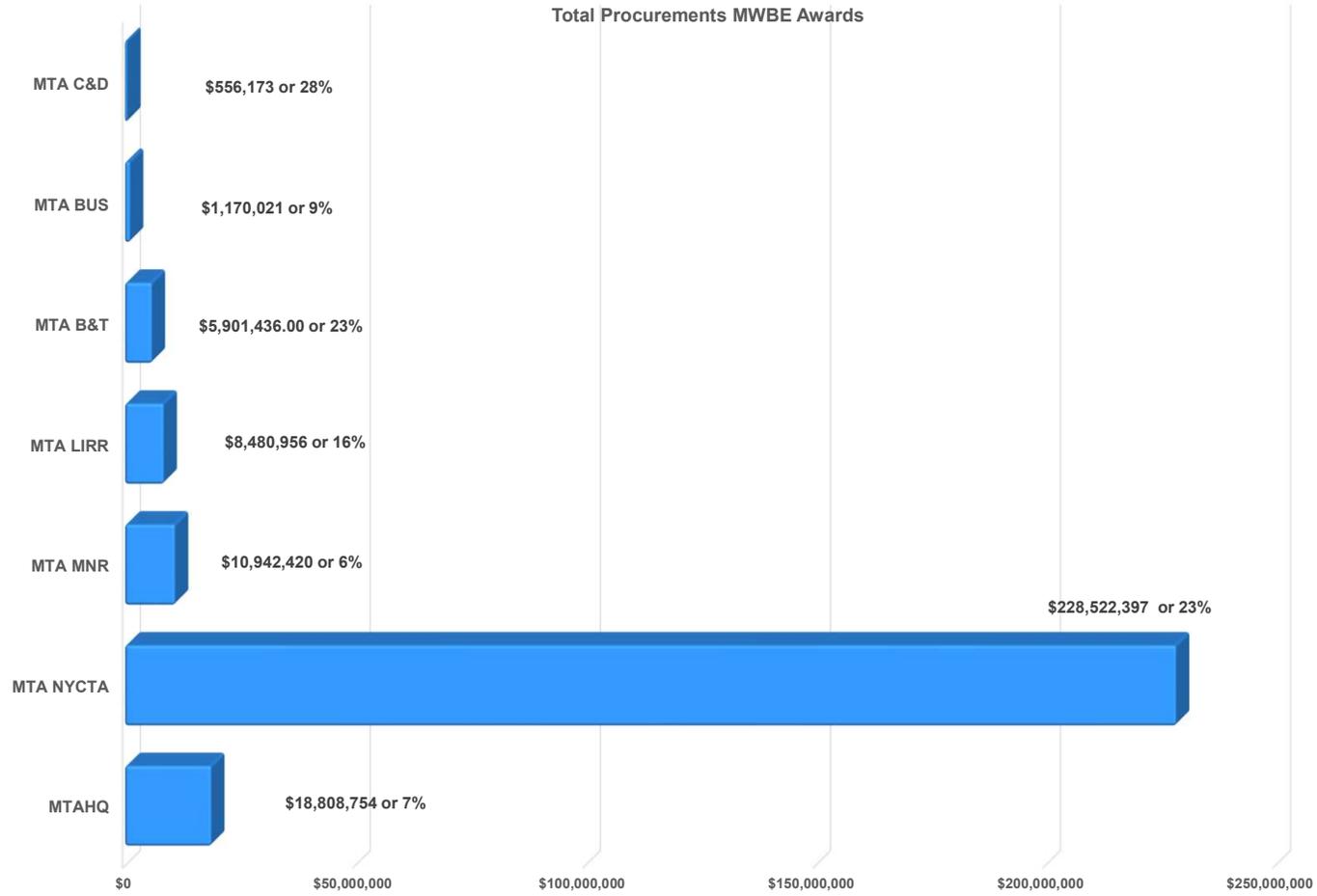
*Discretionary procurements include purchases for goods, miscellaneous procurements, personal or miscellaneous services.

**MTA ALL AGENCY
DISCRETIONARY PROCUREMENT REPORT*
April 2021 - December 2021**

Agency	Total Awards \$1M or Less	Discretionary MWBE Awards	Discretionary MWBE %	Discretionary SBC	Discretionary SBC %
MTA NYCTA	\$119,870,315	\$14,273,831	12%	\$1,977,109	2%
MTA HQ	\$25,563,063	\$8,346,442	33%	\$843,247	3%
MTA MNR	\$44,050,431	\$5,571,490	13%	\$531,333	1%
MTA B&T	\$5,811,611	\$3,908,553	67%	\$0	0%
MTA BUS	\$1,183,602	\$1,170,021	99%	\$13,581	1%
MTA LIRR	\$26,424,956	\$1,682,417	6%	\$1,942,273	7%
MTA C&D	\$2,004,283	\$556,173	28%	\$0	0%
Total	\$224,908,260	\$35,508,927	16%	\$5,307,543	2%

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

MTA ALL AGENCY
TOTAL PROCUREMENTS REPORT
APRIL 2021 - DECEMBER 2021



**MTA ALL AGENCY
TOTAL PROCUREMENTS
APRIL 2021 - DECEMBER 2021**

Agency	Total Award Amount	Total MWBE Awards	MWBE %
MTA NYCTA	\$979,926,666	\$228,522,397	23%
MTA B&T	\$25,919,181	\$5,901,436	23%
MTA HQ	\$271,300,302	\$18,808,754	7%
MTA LIRR	\$52,656,579	\$8,480,956	16%
MTA MNR	\$169,290,174	\$10,942,420	6%
MTA BUS	\$13,522,838	\$1,170,021	9%
MTA C&D	\$2,004,283	\$556,173	28%
Total	\$1,514,620,021	\$274,382,156	18%

Metropolitan Transportation Authority Department of Diversity and Civil Rights

Discretionary A&E, IT, and Legal

March 28, 2022



A/E Awards thru Discretionary Procurement as of 12/31/2021

#	Agency	Contract Number	Project Name & Description	Primary Trades	Contract Amount	Notice of Award Date	Contractor	Contractor Certification
1	B&T	14073-5600, Work Order No. 29	RIC-2003 for improvements to the Ventilation at the Fleet Garage and RMB 2nd Floor	As-Needed Construction Administration, Inspection and Support Services	\$ 252,137	4/29/21	IH Engineers, P.C.	MBE
2	B&T	14073-5600 – Work Order # 36,	Senior Project Engineer(s), Staff Augmentation for Project GES-264	As-Needed Construction Administration, Inspection and Support Services	\$ 313,000	5/28/21	O&S Associates, Inc.	MBE
3	B&T	14073-4600 – Work Order # 35	Senior Project Engineer(s), Staff Augmentation for Project GES-264	As-Needed Construction Administration, Inspection and Support Services	\$ 350,189	6/11/21	Armand Corporation	M/WBE
4	B&T	14073-1800 – Work Order # 33	WO 33 Senior Project Engineer (Multi facility)- GES-264	As-Needed Construction Administration, Inspection and Support Services	\$ 263,191	8/6/21	SJH Engineering	MBE
5	B&T	14073-3600 – Work Order # 34	HHM-396, 400, 401, 402 Construction Administration	As-Needed Construction Administration, Inspection and Support Services	\$ 782,847	8/6/21	Hudson Valley Engineering Associates, P.C.	WBE
6	B&T	14073-0500 – Work Order # 31	CBM-335, MPM-355 Construction Administration	As-Needed Construction Administration, Inspection and Support Services	\$ 659,000	8/11/21	SI Engineering, P.C.	MBE
7	B&T	14073-5000 – Work Order # 38	GFMC-2101 - Climate Control for HCT and QMT Buildings	As-Needed Construction Administration, Inspection and Support Services	\$ 644,095	9/15/21	M&J ENGINEERING, P C	MBE
					Total : \$ 3,264,459			

IT Discretionary

IT Discretionary Consulting Contract No. 14357

April 2021 - December 2021

Total Number of Awards- 55

Value of Awards- \$ 10.7 million

Value of Cumulative Awards- \$157 million



**MTA ALL AGENCY LEGAL FEES PAID
APRIL THROUGH DECEMBER 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 FEES PAID
MTA BUS	\$ 3,110,492	\$ 273,229	8.78%	\$ 771,089	24.79%	\$ 1,044,318	33.57%	\$ 2,066,174
FMTAC	\$ 6,436,039	\$ 1,133,228	17.61%	\$ 734,614	11.41%	\$ 1,867,841	29.02%	\$ 4,568,198
MTA C&D	\$ 2,724,334	\$ 170,137	6.25%	\$ 394,885	14.49%	\$ 565,022	20.74%	\$ 2,159,312
NYCTA	\$ 10,895,706	\$ 625,749	5.74%	\$ 826,088	7.58%	\$ 1,451,837	13.32%	\$ 9,443,869
B&T	\$ 2,003,614	\$ 80,611	4.02%	\$ 321,041	16.02%	\$ 401,652	20.05%	\$ 1,601,962
MNR	\$ 2,263,819	\$ 172,249	7.61%	\$ 61,019	2.70%	\$ 233,268	10.30%	\$ 2,030,551
LIRR	\$ 354,125	\$ 25,584	7.22%	\$ 199,948	56.46%	\$ 225,532	63.69%	\$ 128,594
MTA HQ	\$ 17,740,845	\$ 817,721	4.61%	\$ 631,767	3.56%	\$ 1,449,488	8.17%	\$ 16,291,357
Total	\$ 45,528,974	\$ 3,298,508	7%	\$ 3,940,450	9%	\$ 7,238,958	16%	\$ 38,290,015

Metropolitan Transportation
Authority
Department of Diversity and
Civil Rights

Status of Closed Contracts
as of December 31, 2021

March 28, 2022



MTA Headquarters DDCR Update

Inactive Contracts – Status as of December 31, 2021

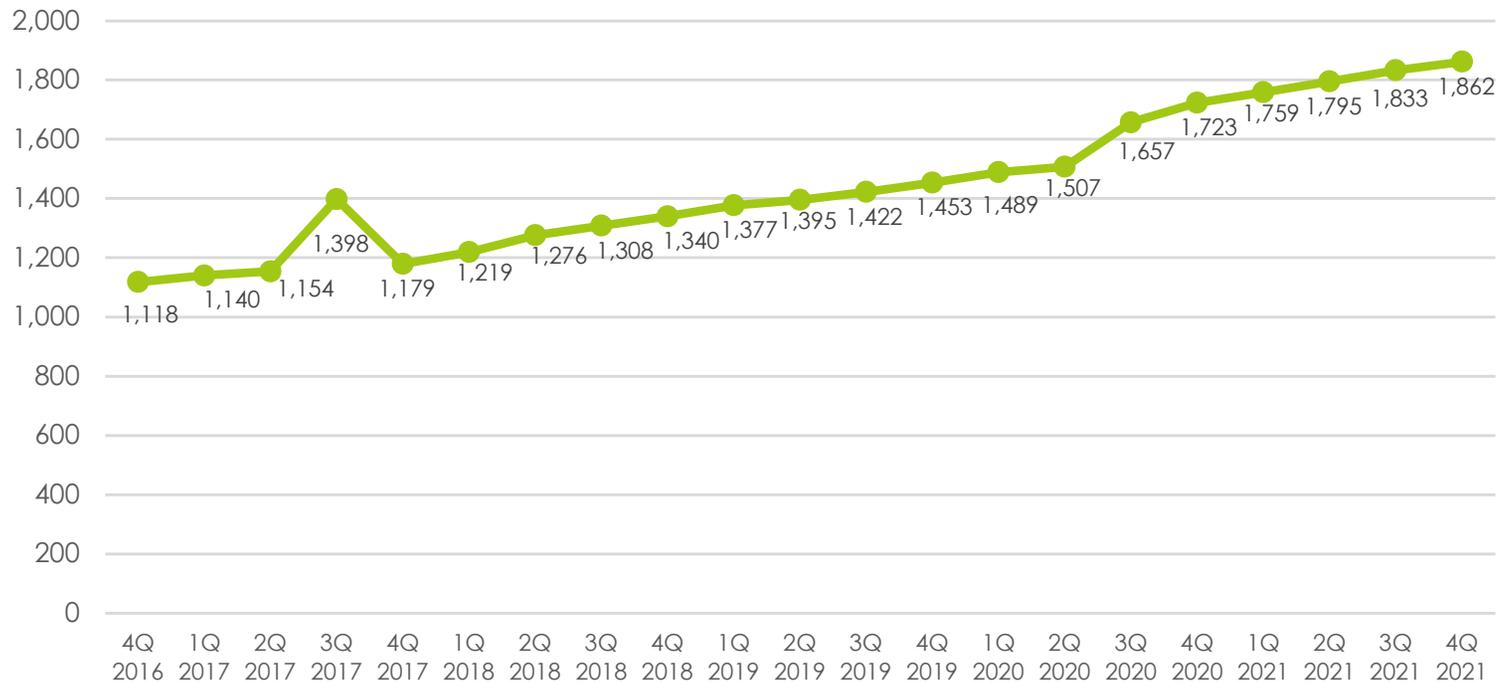
Inactive Contracts with Goals	#
1. Total Contracts Reviewed and Closed	1,554
2. Contracts Administratively Closed	308 ¹
Sub-Total	1,862 (97%)
3. Closeouts in Progress	45
4. Contracts Pending Agency Action	16
Total	1,923 (100%)

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 4Q 2016 through 4Q 2021²

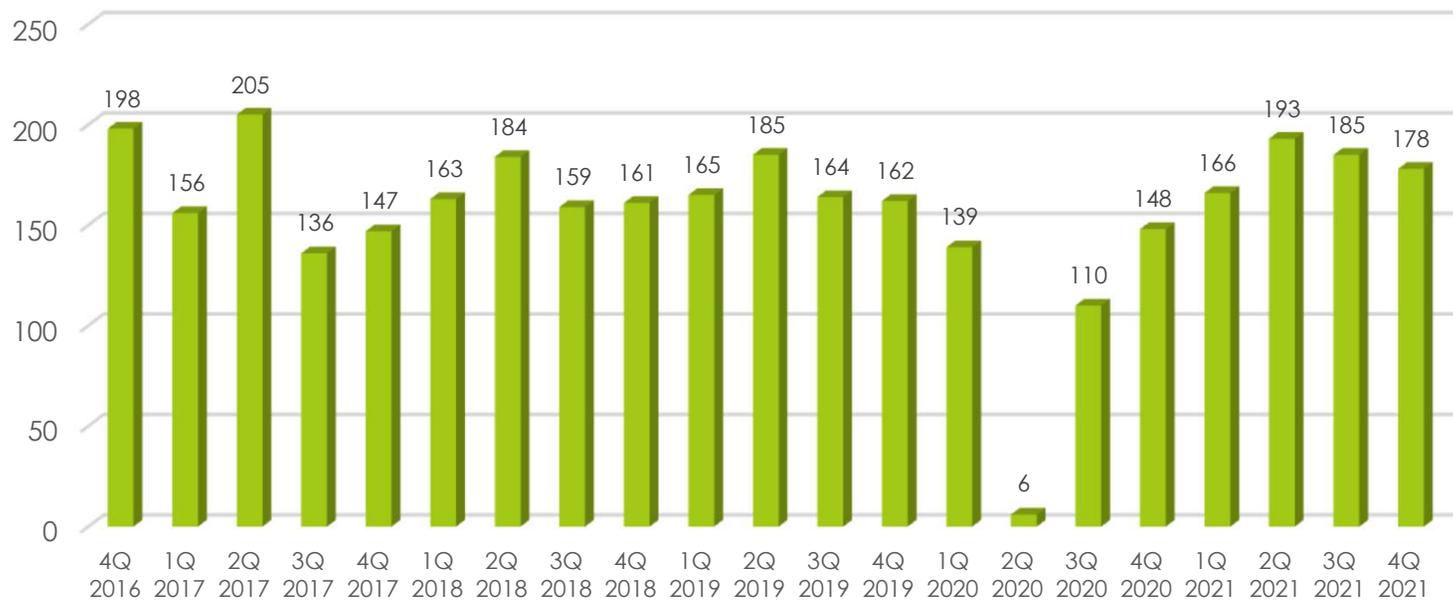


- The decrease in closeouts between 3Q 2017 and 4Q 2017 is due to approx. 200 contracts being closed out in error, requiring subsequent re-activation.



MTA Headquarters DDCR Update

DDCR Project Site Visits: 4Q 2016 – 4Q 2021
Total Site Visits Performed = 4,026



- No site visits were performed during April & May 2020 due to the COVID-19 pandemic. Virtual site visits began on June 29, 2020.



Metropolitan Transportation Authority Department of Diversity and Civil Rights

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

March 28, 2022



MWDBE and SDVOB Participation on MTA Capital Projects with Goals*

■ Federal Participation Goal: 20%

(Federal Fiscal Year 2021 (October 2020 to September 2021))

- Total Awards: \$92M
- Total DBE Awards: \$21M (23%)
- Total Payments: \$467M
- Total DBE Payments: \$88M (19%)

■ New York State MBE Participation Goal: 15%

(First Three Quarters of NYS Fiscal Year 2021-2022 (April 2021 – December 2021))

- Total Awards: \$146M
- Total MBE Awards: \$23M (16%)
- Total Payments: \$1.8B
- Total MBE Payments: \$257M (14%)

■ New York State WBE Participation Goal: 15%

(First Three Quarters of NYS Fiscal Year 2021-2022 (April 2021 – December 2021))

- Total Awards: \$146M
- Total WBE Awards: \$14M (9%)
- Total Payments: \$1.8B
- Total WBE Payments: \$218M (12%)

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

(First Three Quarters of NYS Fiscal Year 2021-2022 (April 2021 – December 2021))

- Total Awards: \$85M
- Total SDVOB Awards \$4M (4%)
- Total Payments: \$512M
- Total SDVOB Payments: \$7M (1%)

*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

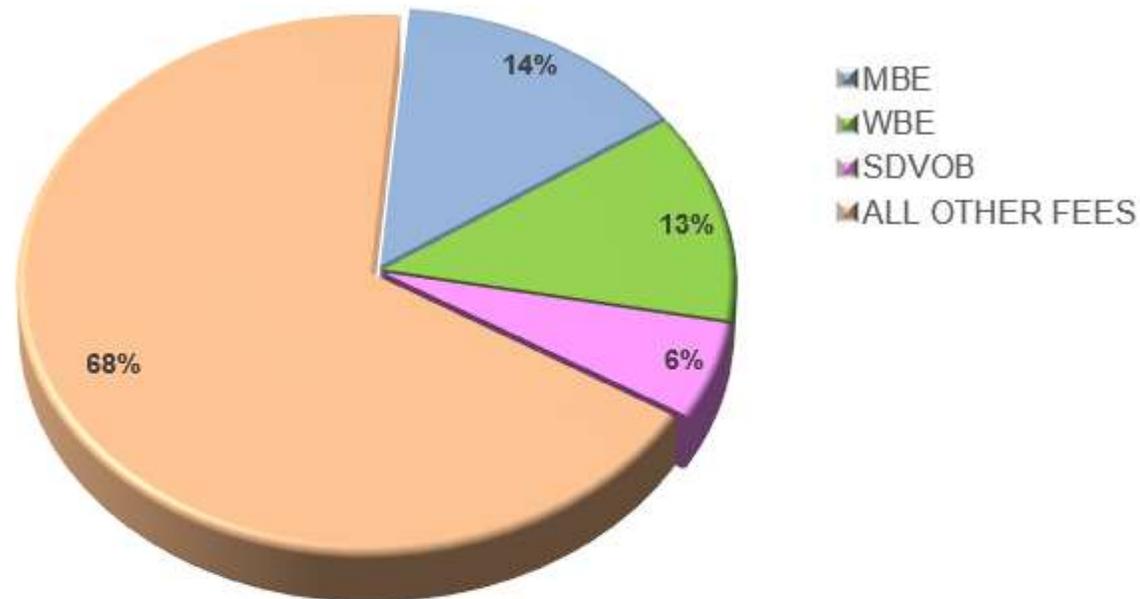
Financial Services

March 28, 2022



MTA All Agency Underwriter Fees

April 2021 - December 2021



Actual WBE Participation = \$1,762,235 or 13%
Actual MBE Participation = \$1,959,240 or 14%
Actual SDVOB Participation = \$803,685 or 6%
All Other Underwriting Fees = \$9,441,175 or 68%
Total Underwriting Fees = \$13,966,335

* Numbers may not total to 100% due to rounding



Metropolitan Transportation Authority Department of Diversity and Civil Rights

Asset Fund Managers

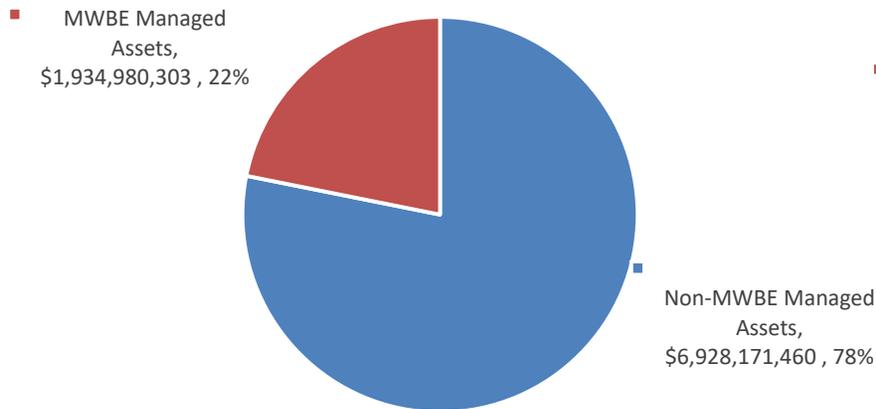
March 28, 2022



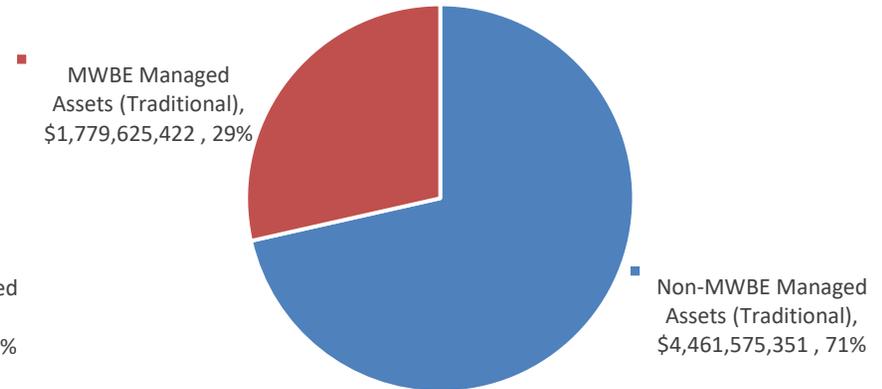
MTA Sponsored Plans – MWBE Participation

As of December 2021

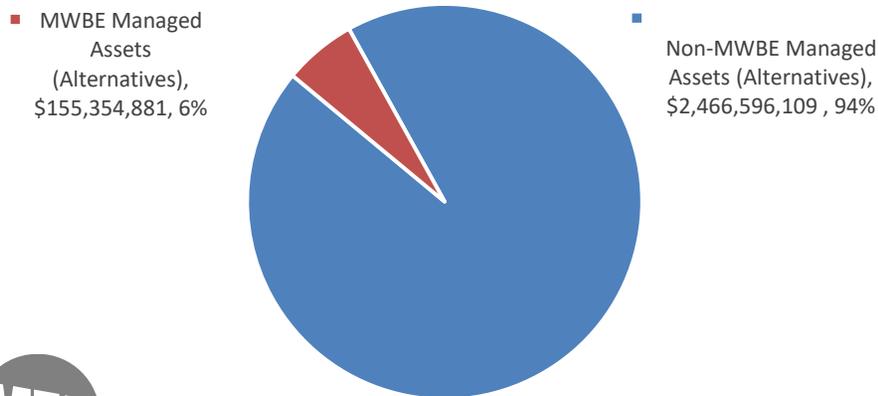
Combined Plans - Total Assets



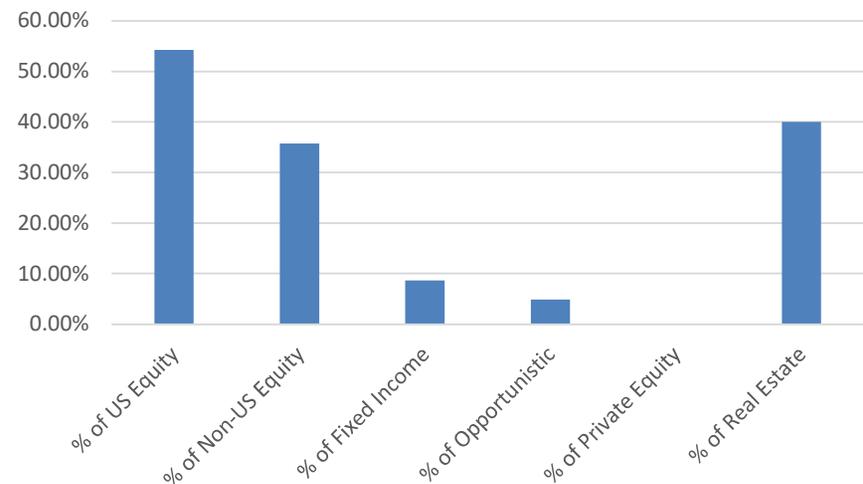
Combined Plans - Traditional Investments



Combined Plans- Alternative Investments



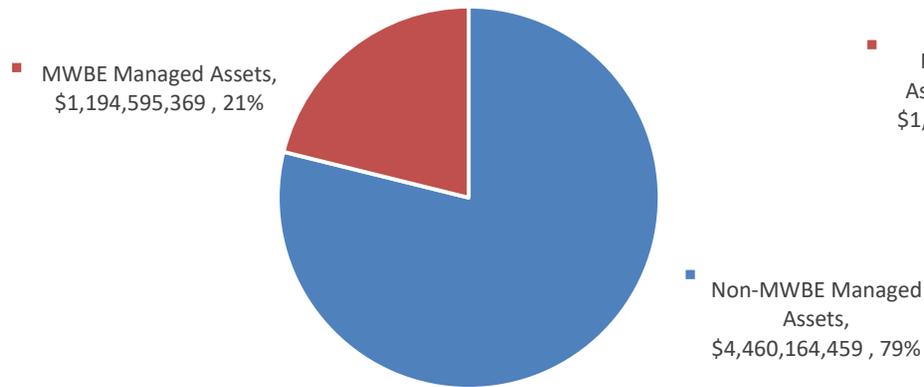
MWBE Managed Assets by Asset Class



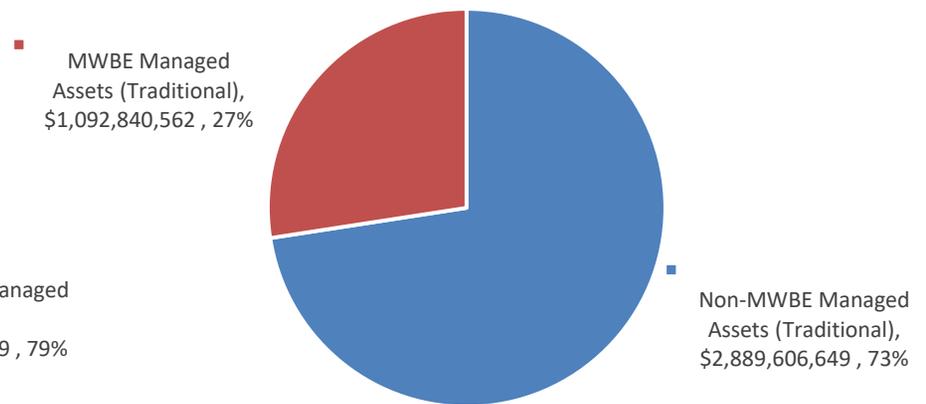
MTA Sponsored Plans – MWBE Participation

As of December 2021

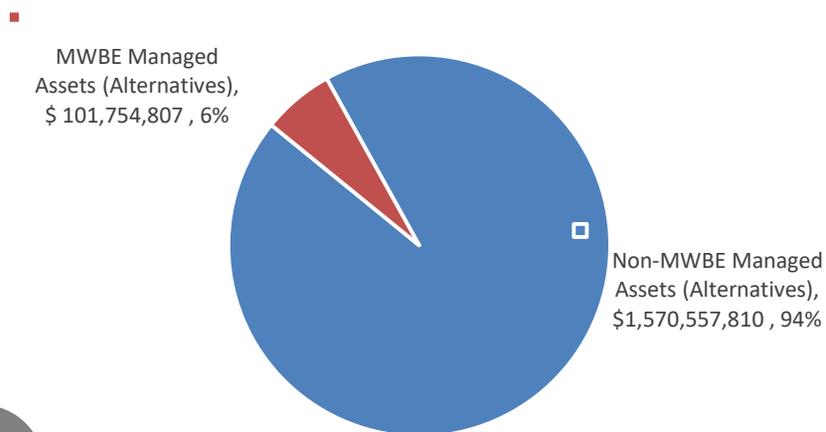
MTA Defined Benefit - Total Assets



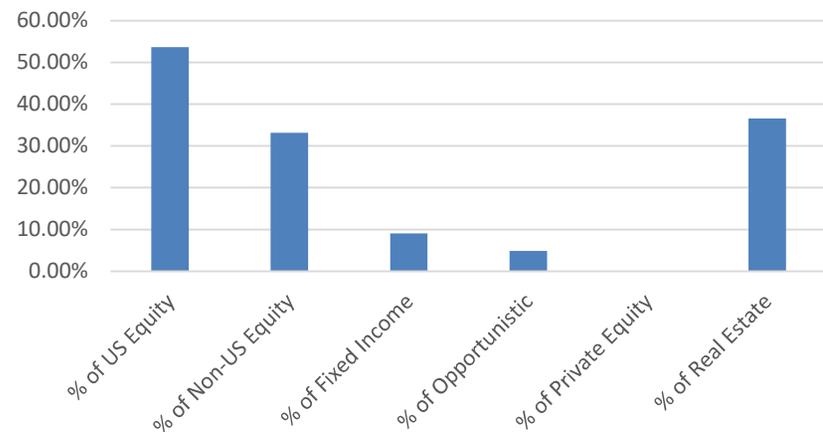
MTA Defined Benefit - Traditional Investments



MTA Defined Benefit - Alternative Investments



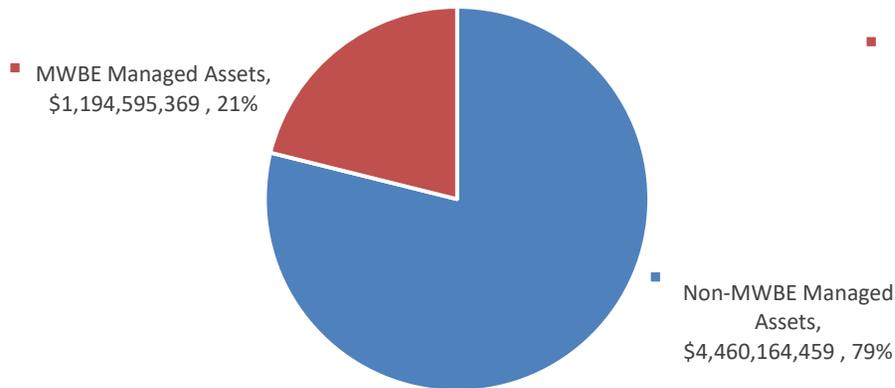
MWBE Managed Assets by Asset Class



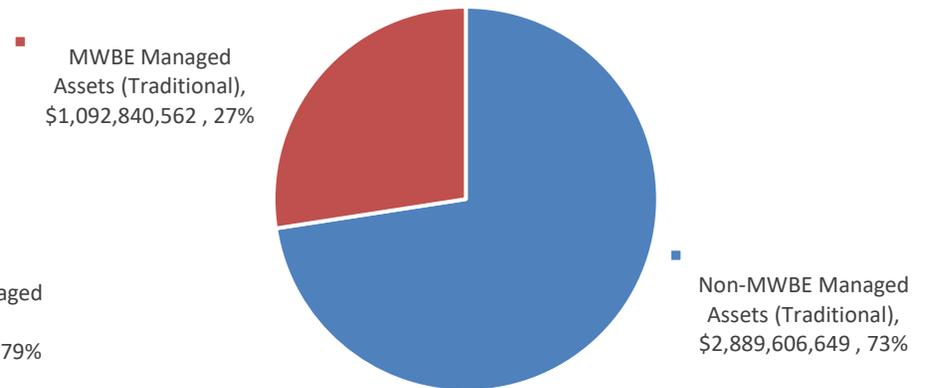
MTA Sponsored Plans – MWBE Participation

As of December 2021

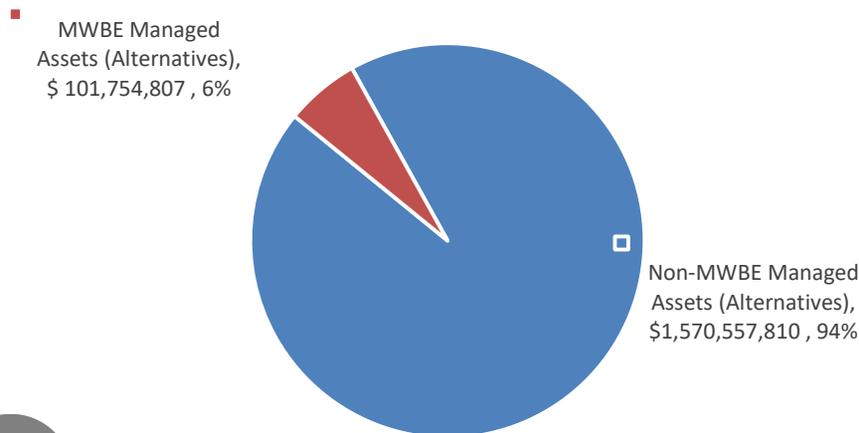
MTA Defined Benefit - Total Assets



MTA Defined Benefit - Traditional Investments



MTA Defined Benefit - Alternative Investments



MWBE Managed Assets by Asset Class

