



**Metropolitan Transportation Authority**

# **Diversity Committee Meeting**

## **September 2019**

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### **Committee Members**

R. Herman, Chair  
S. Metzger, Vice Chair  
L. Lacewell  
H. Mihaltses  
N. Zuckerman

# **Diversity Committee Meeting**

**2 Broadway- 20th Floor Board Room**

**New York, NY 10004**

**Monday, 9/23/2019**

**3:30 - 4:30 PM ET**

## **1. PUBLIC COMMENT PERIOD**

## **2. APPROVAL OF MINUTES- JUNE 24, 2019**

*June 2019 Diversity Committee Meeting Minutes - Page 3*

## **3. 2019 DIVERSITY COMMITTEE WORK PLAN**

*2019 Diversity Committee Work Plan - Page 10*

## **4. EXECUTIVE SUMMARY**

*Diversity Committee Executive Summary - Page 14*

## **5. BUSINESS AND DIVERSITY INITIATIVES**

*2019 Second Quarter Business Diversity Initiatives Committee Report - Page 63*

## **6. DBE CERTIFICATION ACTIVITY REPORT**

*DBE Certification - Page 70*

## **7. SECOND QUARTER 2019 EEO ACTIVITIES**

*EEO - Page 72*

## **8. SMALL BUSINESS DEVELOPMENT PROGRAM UPDATE**

*Small Business Development Program - Page 96*

## **9. M/W/DBE and SDVOB CONTRACT COMPLIANCE**

*MWDBE and SDVOB Contract Compliance - Page 115*

## **10. M/W/DBE and SDVOB CAPITAL PROJECTS**

*Capital Projects - Page 142*

## **11. FINANCIAL SERVICES**

*Underwriter Fees - Page 144*

## **12. ASSET FUND MANAGERS**

*Asset Fund Managers - Page 146*

## **MTA DIVERSITY COMMITTEE**

Meeting Minutes  
2 Broadway, 20<sup>th</sup> Floor  
New York, NY 10004  
Monday, June 24, 2019  
3:30 p.m.

Committee members present:

Rhonda Herman, Chair  
Susan Metzger, Vice Chair  
Haeda Mihaltses

The following Committee member was absent:

Neil Zuckerman

The following were also present:

Veronique “Ronnie” Hakim, MTA Managing Director  
Helene Fromm, MTA Chief of Staff  
Owen Monaghan, Chief of Police, MTA Police (“MTAPD”)  
Alison MacGregor, Deputy General Counsel, MTA Legal  
Michael Garner, MTA Chief Diversity Officer, MTA Department of Diversity and Civil Rights (“DDCR”)  
George Cleary, Deputy Chief Diversity Officer, Small Business Development Program (“SBDP”), DDCR  
Dr. Rosalyn Green, Acting Deputy Chief Diversity Officer, EEO and Title VI, DDCR  
Ray Burke, Acting Deputy Chief Diversity Officer, Contract Compliance, DDCR  
L. Danny Camacho, Assistant Deputy Chief Diversity Officer, Certification, DDCR  
Zenaida Rodriguez, Assistant Director, Business and Diversity Initiatives, DDCR  
Maria Amper, Assistant Deputy Chief Diversity Officer, Operations and Technological Support, DDCR  
George Llanos, Manager, Business and Diversity Initiatives, DDCR  
Patricia Lodge, Vice President, Human Resources (“HR”), NYCT  
Joel Andrews, Chief Officer, Office of Equal Employment Opportunity (“EEO”), NYCT  
Michael Fyffe, Director, Diversity Management, MTA Long Island Rail Road (“LIRR”)  
Shawn Moore, Vice President and Chief of Staff, Bridges and Tunnels (B&T)  
Paige Graves, General Counsel, MTA Bus Company (“MTA Bus”)  
Patrick Isom, Manager, Financial Analysis, MTA Headquarters (“MTAHQ”)  
Mayra Bell, Director, Diversity and EEO, MNR

Anthony Gardner, Acting Senior Director, MNR  
Yvonne Hill-Donald, HR Business Manager, MNR  
Ouida Gaillard, Human Resources Business Partner, Talent Acquisition, MNR  
Melissa Jones, Assistant Director, Contract Diversity Compliance and Reporting, CC  
David Cannon, Vice President and Chief Procurement Officer, CC  
Rosalyn Green, Chief EEO Officer, CC  
Gwendolyn Harleston, Chief EEO Officer, MTA Bus  
Michael Collins, Assistant Vice President, NYC Transit  
Christine Norman, Director Supplier Diversity, MTAHQ  
Sheree Owens, Manager, MWBE Procurement, MNR  
Rohan Jones, Specialist, MWBE Procurement, MNR  
Vernessa Moses, AVP, EEO and Title VI Compliance, NYCT  
Antonia Brown, Director, Recruitment and Internship, NYCT  
Jennifer Buchanan Director, Recruitment and Internship, MTA Bus

Chair Herman introduced herself as the new chair and mentioned that it is her first Diversity Committee meeting. She also introduced Haeda Mihaltses as the new committee member.

### **Public Speakers**

There were no public speakers.

### **Approval of Minutes**

Upon a motion duly made and seconded, the Committee approved minutes of the meeting held on February 25, 2019.

### **2019 Diversity Committee Work Plan**

Chair Herman asked if there were any changes to the Work Plan. Mr. Garner stated that there was one change to the work plan. The meeting that was originally scheduled for May was moved to June.

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

### **Executive Summary**

#### **Business and Diversity Initiatives**

Ms. Rodriguez reported that DDCR hosted and participated in several industry-focused MWBE outreach events during the first quarter of 2019. She mentioned the MNR Skanska ECCO event, highlighting the Croton Harmon Phase II project that is currently valued at \$365 million and the 3<sup>rd</sup> Track Long Island Railroad project that is currently valued at \$1.6 billion and will evolve into a \$2.2

billion project. Each of these projects have a 30% MWBE and SDVOB goal attached. She stated that agency-wide staff will participate at the upcoming 2019 MWBE forum hosted by Governor Cuomo scheduled for later this year. She added that as a result of the outreach efforts, \$124 million in contracts were awarded to MWDBE and SDVOB certified firms.

### **Certification Activity Report**

Mr. Camacho reported the DBE certification activities for the first quarter of 2019. He stated that 18 firms were certified in the first quarter, which is an increase from the same period in 2018. He also mentioned that DDCR will continue to host outreach events to attract more DBE firms.

Mr. Garner stated that June is Pride Month and mentioned that MTA is fully engaged in various activities including the Pride MetroCard's, Pride merchandise, and the Pride train. He also mentioned that MTA is having an upcoming event in conjunction with New York City Transit.

### **Entry Level Police Officer Recruitment Process**

Chief Officer Monaghan discussed the MTAPD hiring process in response to a question that came out of the February Diversity meeting. MTAPD has a total of 783 sworn members in the ranks of police officer through chief and that hiring to address vacancies is a collaborative process between the MTA Police, Human Resources, and Legal department. He discussed in detail all the steps of the recruitment process, including an initial advertising recruitment campaign in career fairs, neighborhood events, and military installations. The position is also posted on the MTAPD website and placed in various media outlets. A written exam is conducted and those who passed will take a physical fitness test, selected randomly without any regard to protected characteristics. It is based on a randomized list of candidates for each physical fitness test generated by a PeopleSoft computer application that uses MTA and IT established algorithms. A panel composed of the MTAPD Applicant Investigation unit and a human resources representative conducts the interview followed by a background investigation. The selected applicant is then given a conditional offer until post-conditional tests such as polygraph testing, psychological evaluation, medical exam and background evaluation follow-up are completed. The final offer is made and the candidate is scheduled for being sworn-in and beginning the MTA Police Academy. This information is provided in the Committee book and contained in the videotape of this meeting.

### **Methodology in Determining Estimated Availability Analysis**

Ms. MacGregor presented the methodology of MTA's estimated availability analysis and how utilization is calculated. MTA is required to complete a utilization analysis that identifies job categories that have an underutilization or concentration of minorities or women in relation to their availability in the labor market. She explained that underutilization is a situation where there are fewer females or minorities than expected, based on a two factor analysis. First, internal availability is identifying current employees that are promotable, transferable or trainable for future openings while external availability is looking at the percentage of women or minorities in the reasonable recruitment area using the US Census Bureau statistical data and the federal statistical standards system. Any job category where the workforce representation is less than 80 percent of the estimated availability for women or minorities is considered an area of underutilization. She also showed the diversity of MTA's job categories by listing some of the job titles in each category. This information is provided in the Committee book and contained in the videotape of this meeting.

Vice Chair Metzger asked if availability varies for the different agencies because the data is reflecting the location where they are likely to want to apply for our jobs. She gave the example of Metro North

railroad where the entry level jobs tend to start at the far-out train yards, making those jobs attractive to people that live near those train yards and not as attractive to those people who live in Long Island or the city. Ms. MacGregor responded yes, part of their analysis is that availability in the area where MTA can reasonably recruit from is where people actually live. Chair Herman stated that even though most of MTA positions are within the 14 counties, certain jobs that would start in Putnam county or far out could possibly be underrepresented because of the people who live there and those who would apply for the job. Ms. MacGregor responded that Putnam is one of the 14 counties. Chair Herman acknowledged that, stating that Putnam has a different demographic of applicants than NYC, and that although the entire reasonable recruiting area is the 14 counties, those who would actually apply would be different. Ms. MacGregor agreed. Vice Chair Metzger asked if she wanted to draw a footprint for a specific job for an agency, would it be different from that of another agency and Ms. MacGregor responded it may. Dr. Green responded that for local jobs there will be a big difference but for regional jobs, it will be similar.

Vice Chair Metzger also asked if we draw a lot of people from outside our 14 counties since we do service Connecticut. Ms. Bell responded that MNR does have several employees who work in the New Haven line from that area. Dr. Metzger asked if that demography was counted as well, citing the fact that NJ Transit is under contract with MNR to operate some lines and that many of those trains operating from Port Jervis are staffed mostly by employees who reside in NJ. Dr. Green responded that there's a 5% threshold that MTA looks at when deciding on a reasonable recruitment area and if it does not meet that threshold, it is not used as a reasonable recruitment area. She also mentioned that it could vary depending upon positions but currently MTA has determined consistent reasonable recruitment areas in the national and regional extents and in local areas, which will be more detailed and specific to the agencies.

### **First Quarter 2018 EEO Activities**

Dr. Green stated that for this meeting she is going to take a closer look at female representation at the MTA and going forward she envisions providing a closer look at different groups in the future meetings. She presented slides that provide a big picture of the female representation at MTA. She mentioned that there are challenges in attracting female applicants in the skilled craft and service maintenance categories. Most of these positions are filled through the competitive civil service examination and male dominated occupations may not be the first choice of female applicants seeking employment. Other challenges include the lack of information and exposure to opportunities in transportation and the barrier that is created for shift work jobs since statistically females are responsible for family care giving.

Dr. Green also presented a video clip of stories that show that many women credit mentorship and encouragement as part of their success at MTA.

Dr. Green mentioned that Governor Cuomo's Executive Order 187 established a comprehensive statewide objective to promote diversity and inclusion throughout the New York state workforce. In alignment with this initiative, MTA has created an all-agency recruitment committee to increase diversity within MTA and to address underutilization. Dr. Green identified and explained each of the seven strategies identified by the committee to address underutilization. This information is provided in the Committee book and contained in the videotape of this meeting.

Dr. Green also discussed the Title VI and the Title VII complaint process. This information is provided in the Committee book and contained in the videotape of this meeting.

Dr. Green reported that MTA has consistently hired females and minorities at a higher percentage

than the current workforce presence. MTA is meeting five of the eight goals for female workforce utilization and is currently expanding relationships with professional and minority organizations to increase female and minority applications in the recruitment pool.

Vice Chair Metzger commented how she likes the deep dive approach to the issue of women in the workforce and the issue on Title VI complaint process because it makes it much easier for a board member to understand what's happening rather than presenting all of the data on all of the issues. She suggested that being able to play the video that was shown for the public would be a great female recruiting tool.

### **SBDP Small Business Development Program Update**

Mr. Garner reported that it's been 10 years since the State of New York enacted its state law to give the MTA the ability to create their small business program. Although the program expires December 31 of this year, it will be extended for another 10 years once the bill, which has already passed the House and the Senate, is signed by the Governor.

Mr. Cleary stated that over the last 10 years, SBDP has awarded 379 contracts totaling \$369 million. During the first 6 months of this year, 11 contracts were awarded totaling a little over \$14 million. There are 7 service disabled veteran firms in the program. Two firms were recently awarded contracts totaling \$800,000. The small business loan program over the last 10 years have issued 114 loans totaling \$16 million. The SBDP bond program have assisted firms in securing \$369 million in surety bonding. The program is currently achieving its goals.

Mr. Garner mentioned that the SBDP advertising campaign on the subway cars have received a lot of positive feedback and comments. The reason for this campaign is to recruit more firms into the small business mentoring program.

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

Mr. Burke reported that the MTA's overall MWBE goal is 30%. He said 15% MWBE participation was achieved in contract awards, and 27% was achieved in contract payments during the state fiscal year 2019. Mr. Burke also reported that MTA's overall SDVOB goal is 6%. For the same period, he said that 4% SDVOB participation was achieved in contract awards, and 3% was achieved in payments made on ongoing contracts for the same period.

Mr. Burke said that 24% DBE participation was achieved in contract awards, and 23% was achieved in payments in ongoing contracts for the first half of 2019 Federal Fiscal year.

Mr. Burke mentioned that DDCR is currently monitoring about 1,800 contracts with goals, which is an increase from the previous years. In 2018, DDCR conducted 665 site visits and for 2019, from January to March, 165 visits were conducted averaging 55 monthly site visits, exceeding the 50 visits per month goal. In 2018, DDCR closed 121 contracts and for January to March of 2019, 37 contracts, averaging 12 contracts closed per month.

Mr. Burke stated that the WBE and SDVOB contract goals are not being met due to a lack of certified WBEs in certain trades and projects with specialized equipment and requirements which resulted in reduced or waived goals. He also mentioned that there are less than 100 certified SDVOBs in our region. As a strategy for improvement, DDCR will expand relationships with and actively recruit various women, veteran and ethnic trade group and associations to identify best practices in the minority community.

Mr. Garner reported that out of 96 state agencies and authorities, the MTA had a \$400,000 threshold and the rest a \$200,000 threshold. This year MTA's threshold is increased to \$1 million while the rest of the agencies are going to increase their threshold to \$400,000.

Ms. Norman recognized the New York City Transit Procurement department for leading in discretionary procurement awards by performing the highest level of MWBE and small business concerns awards averaging approximately \$32.8 million a year and totaling \$230 million in discretionary contracts with MWBEs from 2012 to 2018. She thanked Steve Plochochi, Senior Vice President of Procurements and Supply Chain for NYCT. She also recognized the MTA Headquarters for discretionary awards to MWBEs for IT consultancy. The information technology and consulting discretionary contract was designed to provide NYS certified MWBEs the opportunity to work directly with MTA as the prime contractors. These contracts are currently supporting the consolidated MTA IT department's ability to retain MWBEs as project consultants and supplement in-house staff for critical projects. To date, they have awarded over 500 purchase orders totaling \$81 million. She thanked the MTA IT group, Reggie Matela, Acting Director of Procurement and David Ross, Chief Procurement Officer

### **Capital Projects**

Mr. Burke reported that for the first half of the Federal Fiscal year 2019, the DBE goal was 18%, and 20% DBE was the achievement in awards for federally funded capital projects. Payments on ongoing contracts achieved a 27% DBE participation. For state-funded capital projects, the goal is 15% and 14% of the MBE participation goal was achieved in contract awards, and 12% participation in payments made on ongoing contracts. In regards to WBEs with the goal of 15%, 8% was achieved in awards and 9% in payments. Mr. Burke also reported 3% SDVOB participation in awards, and about 1% participation in payments on ongoing contracts.

### **Legal Fees**

Mr. Garner reported that in 2017 when MTA started looking at MWBE participation on legal fees, it was at 4%. In 2018, it was increased to 8%. Currently, the participation is at 15%. Although there's been growth, the growth has evolved with non-ethnic WBE law firms. A strategy to include ethnic minority-owned law firms is to bring them back and reintroduce them to the operating agencies so growth can be balanced and consistent.

### **Financial Services**

Mr. Isom provided an update on financial services. For the reporting period, MTA has achieved 14% MBE participation, 13% for WBE, and 6% for SDVOB participation. A total of 27 % underwriting fees were paid to MWBE certified firms.

Mr. Isom stated that the fees paid is a representation of how we issue bonds and right now, because of the financial plan, we have issued bonds at a different method. MTA is issuing more competitive transactions as opposed to negotiated bonds, and the fees that are being reported are mostly from the negotiated bond issuance. As a strategy to increase participation, MTA is trying to find opportunities for negotiated bond transactions where only certified MWBE and SDVOB firms will participate. He also stated that as of June 2019, MTA has already implemented this strategy which is a joint venture MBE team of the Williams Capital Group and the PNC Capital. He mentioned that the statistics of this transaction will be discussed in the September 2019 Diversity Committee meeting.

Mr. Garner stated that the Finance Department has the highest minority and women SDVOB



percentages of any other operation in the organization.

### **Asset Fund Managers**

Mr. Garner reported that of the total assets, MWBEs manage \$1.2 billion in assets as of March 31, 2019. It is the highest number in the State of New York out of the 96 state agencies and authorities.

### **ADA Policy Statement and Sexual and Other Discriminatory Harassment Policy**

Dr. Green stated that the updated Americans with Disabilities Act Policy Statement can be found on page 44 of the Diversity Committee book and the updated Sexual and Other Discriminatory Harassment policy is included on page 146. These policies were signed and become effective April 2019.

Mr. Garner wanted to personally thank all the DDCR staff, all the MWBE liaisons, and EEO Officers for getting the job done under challenging circumstances.

Chair Herman said thank you and that the report was very helpful for her first committee meeting. She's asking for each agency to include the information on persons with disabilities in the workforce and a breakdown of external complaints by category for the next meeting.

### **Adjournment**

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

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

## 2019 Diversity Committee Work Plan

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### **I. RECURRING AGENDA ITEMS**

#### Responsibility

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

### **II. SPECIFIC AGENDA ITEMS**

#### Responsibility

#### February 2019

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

#### June 2019

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

#### September 2019

2nd Quarter 2019 Report	Dept. of Diversity/Civil Rights
Recruitment Strategies for MTAHQ and MTA Agencies	Dept. of Diversity/Civil Rights, MTAHQ and Agency Staff

#### December 2019

3 <sup>rd</sup> Quarter 2019 Report	Dept. of Diversity/Civil Rights
Status Report on MTA Inter-Agency M/W/DBE and SDVOB Task Force	Dept. of Diversity/Civil Rights
2020 Diversity Committee Work Plan	Dept. of Diversity/Civil Rights

## **Detailed Summary**

### **I. RECURRING**

#### **Approval of Minutes**

Approval of the official proceedings of the previous month's Committee meeting.

#### **Diversity Committee Work Plan**

An update of any edits and/or changes in the work plan.

#### **MTA Agency-wide Business and Diversity Initiatives Program Activities**

The MTA Department of Diversity and Civil Rights update of planned Agency-wide Business and Diversity Initiatives Program activities.

#### **MTA Agency-wide EEO Program Activities**

The MTA Department of Diversity and Civil Rights update of agency-wide workforce analysis, new hires and EEO and Title VI complaints.

#### **MTA DBE Certification Program Activities**

MTA Department of Diversity and Civil Rights update of DBE Certification Program activities.

#### **M/W/DBE and SDVOB Contract Compliance Activities**

MTA Department of Diversity and Civil Rights update of M/W/DBE and SDVOB contract activities and program initiatives.

#### **Action Items**

Staff summary documents presented to the Board for approval of items affecting business standards and practices.

### **II. SPECIFIC AGENDA ITEMS**

#### **February 2019**

##### **Recommitment to Equal Employment Opportunity ("EEO")**

Each year, the MTA disseminates Policies addressing the Americans with Disabilities Act ("ADA"), Sexual and Other Discriminatory Harassment Prevention and EEO in order to reaffirm MTA's commitment to ensuring a work place environment free from illegal discrimination and to ensure continued compliance with all applicable laws and regulations. The Department of Diversity and Civil Rights will present the 2019 EEO Policy. The ADA and Sexual and Other Discriminatory Harassment Prevention Policies will be presented in May 2019.

##### **Overview of 2019 MTA Department of Diversity/Civil Rights Departmental Goals**

The MTA Department of Diversity and Civil Rights will present an overview of Departmental goals and objectives for 2019.

## 2018 Year-End Report

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

## Recruitment Strategies

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

## Diversity Committee Charter Review

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

## **June 2019**

### Recommitment to EEO

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

### 1<sup>st</sup> Quarter 2019 Report

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

## **September 2019**

### 2<sup>nd</sup> Quarter 2019 Report

The Department of Diversity and Civil Rights will present 2<sup>nd</sup> quarter 2019 update on MTA Agency-wide EEO, and M/W/DBE and SDVOB contract compliance activities.

## Recruitment Strategies

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

## **December 2019**

### 3<sup>rd</sup> Quarter 2019 Report

The Department of Diversity and Civil Rights will present 3<sup>rd</sup> quarter 2019 update on MTA Agency-wide EEO and M/W/DBE and SDVOB contract compliance activities.

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

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

2020 Diversity Committee Work Plan

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

# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## Executive Summary

September 23, 2019



# Executive Summary

## ■ Business and Diversity Initiatives

- DDCR participated in several events during the fiscal period April to June of 2019. In addition to hosting DBE certification workshops for prospective applicants, the Business and Diversity Initiatives Unit attended several events throughout the minority business community.
- Notable among the events was the Second Annual Service Disabled Veteran-owned Business Conference hosted by the MTA and sponsored by several New York State and city agencies.
- DDCR continues to host the quarterly “New Firm Orientation Session”. The session allows newly certified firms to meet agency-wide procurement staff in an effort to understand the procurement process and gain access to contracting opportunities.



# Executive Summary

## ■ Certification Activity Report

- DDCR continues to see an **increase** in firms attending the bi-monthly DBE certification workshops. This has resulted in an **increase** of certification applications and the number of firms certified.

- **Status:** Increased DBE Certifications

## ■ **Trends**

- ☒ Upward
- ☐ Constant
- ☐ Downward

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





# Executive Summary

- **EEO**(full report on pages 72 through 95 )
  - MTA's overall workforce is currently comprised of **74,383** employees; of which **13,350 (18%)** are Females,\* **51,570 (69%)** are Minorities, **1,980 (3%)** are Veterans,\* and **269 (0.3%)** are People with Disabilities.\*\* A breakdown of the MTA-wide workforce is detailed on page 73.
  - In the first half of 2019, females and minorities were **hired at higher** percentage compared to their current representation (**18% and 69% respectively**) in the workforce. A breakdown of the MTA-wide New Hires is detailed on pages 88 and 89.
  - Utilization of females and minorities in the first half of 2019 remained constant. The utilization analysis is detailed on pages 79 through 86.



\*Includes minorities, non-minorities, and veterans

\*\*Disability numbers are based on employees voluntarily self-identifying as such.

# Executive Summary

- EEO (Continued)

- Status: 5 of 8 goals are met

- Trends

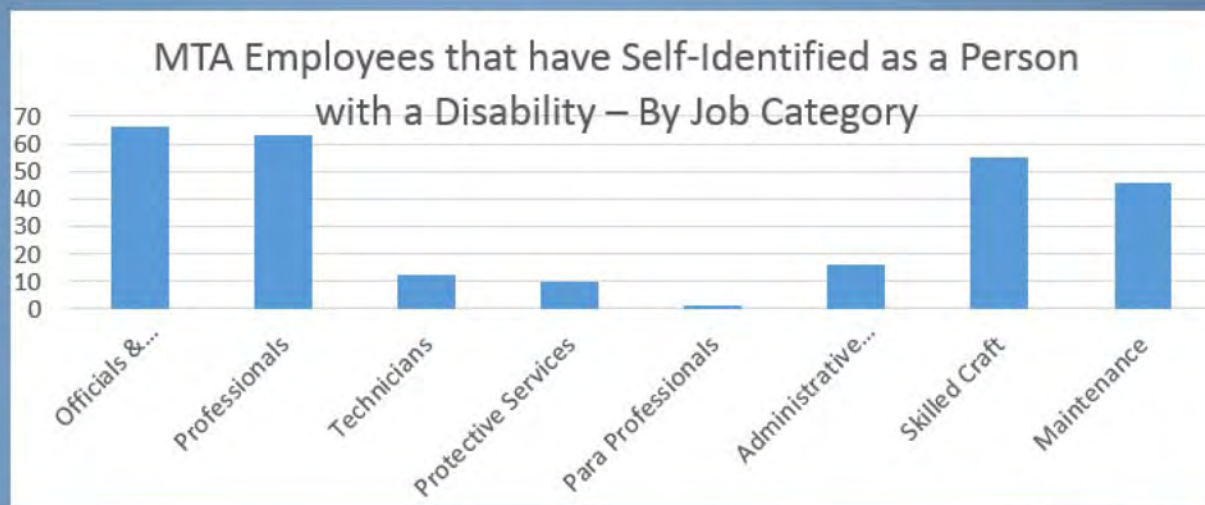
- Upward
- ✓ Constant
- Downward

- Strategies for Improvement:

- Expand relationships with professional and minority organizations to increase applicant pool.
- Hiring additional EEO staff



IT IS ILLEGAL TO DISCRIMINATE AGAINST A PERSON DUE TO THEIR DISABILITY



Not Every Disability is

***VISIBLE***





## MTA Targeted Activities

- Collaborations
- Advisory Committee Meetings
- Education Forums
- Awareness Events
- Job Fairs

**Employers... Here's Your Opportunity to Diversify Your Workforce!**  
Recruit Qualified People with Disabilities for Your Company.

**Career Fair for People and Veterans with Disabilities**  
Tuesday, June 26, 2018  
The Viscardi Center located at  
250 111 Willets Road  
Alhambra, NY 11507

- Employers exhibit FREE (over 70 exhibitors expected)
- Over 300 qualified job candidates with disabilities seeking employment on Long Island and in the NY metropolitan area
- FREE informational seminars for exhibiting employers to assist them with the hiring of people with disabilities

**Tentative Itinerary:**  
8:00 a.m. - 9:00 a.m.  
Table setup and breakfast  
9:15 a.m. - 10:15 a.m.  
Two employer seminars:  
• Enhancing your search for qualified candidates with disabilities.  
• Accommodations for a disability inclusive work environment.  
10:15 a.m. - 10:30 a.m.  
Networking  
10:30 a.m. - 1:00 p.m.  
Career Fair open

**3 Abilities, Inc.**  
at The Viscardi Center  
VISCARDICENTER.ORG

Register for your Career Fair table today!  
Career Fair Open at 10:30 a.m. or earlier. Reservations must be made by June 1, 2018. Sponsorship opportunities available.

# **Metropolitan Transportation Authority Headquarters**

**Michael J. Garner, Chief Diversity Officer  
Strategies to Improve Utilization in the Workforce**

**September 23, 2019**



# Message To The Board

## I. Message From Michael J. Garner, Chief Diversity Officer, MTA

As Chief Diversity Officer for MTA and its affiliated agencies I reaffirm my commitment to ensure all MTA agencies use good faith efforts to ensure the equitable representation and advancement of protected group members at all levels of employment.

MTA HQ reaffirms its commitment to diversity and inclusion in the workplace. This applies not only to gender and race-based classifications, but also extends to veteran status, disability status, and membership in the LGBTQ community.

## II. Keeping Employees Informed Of Their EEO Rights

- ❑ All MTA HQ new hires are informed at orientation of MTA's commitment to EEO and the consequences of retaliation, and are provided with copies of the current EEO, ADA, and Sexual and Other Discriminatory Harassment Policy statements.
- ❑ DDCR has ensured that each agency has informed all of their employees of their EEO rights, and the consequences of retaliation.



# 2019 Mid-Year Accomplishments

## III. MTA HQ 2019 Mid-Year Key Accomplishments

- ❑ MTA HQ continued its partnership with NYU Rusk's Business Advisory Committee by providing resume feedback, job search advice, and presentation skills to persons with disabilities in a group setting. This event is part of our long-term vision to be a positive partner with individuals and organizations representing Persons with Disabilities.
- ❑ MTA HQ held diversity events focusing on minorities and women, which included "The Second Civil Rights Movement," for Black History Month, and a Women's History Month event featuring Board Member Veronica Vanterpool. MTA HQ also attended an LGBT Career Fair hosted by the Office of the Bronx Borough President.
- ❑ As part of its MWBE efforts, DDCR has forged a partnership with the joint venture of ECCO III, STV, and city colleges in providing paid college internships for the Second Avenue Subway Phase II Project during the summer of 2019. Hispanics comprised the largest group in the internship program.





# 2019 Year-End Initiatives

## IV. MTA HQ's 2019 year-End Key Diversity Initiatives

- ❑ MTAHQ will facilitate efforts to build and strengthen partnerships with colleges and universities, technical and trade schools, and affinity groups to expand recruitment efforts, particularly related to job categories that identify areas of underutilization.
- ❑ MTAHQ is working with all MTA agencies to strengthen engagement, inclusion and leadership development strategies to address areas of ongoing underutilization.
- ❑ MTA HQ will lead efforts to make sure that all agencies are incorporating New York State's recent amendments to existing workplace harassment laws, and expanded gender discrimination protections.
- ❑ MTA HQ has and will continue to host an All-Agency training session for its talent acquisition teams which will include how to read a military resume and DD-214, as well as requirements established by USERRA (Uniformed Services Employment and Re-employment Rights Act).





# **Metropolitan Transportation Authority Capital Construction**

**Janno Lieber, Chief Development Officer  
Strategies to Improve Utilization in the Workforce**

**September 23, 2019**



# Message To The Board

## I. Message From Janno Lieber, Chief Development Officer

- ❑ I am committed to maintaining a culture that allows all employees to feel empowered to bring their full, authentic selves to work. AT MTACC we encourage, support and celebrate the diverse perspectives of our employees. This cultivates an environment of dialogue and action, spurs innovations and empowers our talent to transform MTA's capital projects into mega construction blueprints for others to replicate.
- ❑ MTACC's commitment to diversity and inclusion extends beyond the workplace. We purposely, and purposefully, coordinate forums to connect community members within our project and service areas with networking opportunities designed to provide educational, employment and capital project awareness on those things that resonate most with the community; educational and job opportunities, and transparency on project benefits and challenges specific to that community.

## II. Keeping Employees Informed Of Their EEO Rights

- ❑ Dr. Rosalyn Green reiterated her roles and responsibilities as MTACC's Chief EEO Officer at the January 2019 All Hands Meeting. All MTACC EEO Policies were updated and posted at each work location and on the MTACC intranet.
- ❑ We distributed two interagency emails to remind all MTACC employees (and work affiliates) that MTACC has zero tolerance for discrimination and harassment.



# 2019 Mid-Year Accomplishments

## III. MTACC's 2019 Mid-Year Key Accomplishments

MTACC's commitment to diversity and inclusion is reflected through our efforts to team up with organizations and key stakeholders to provide information and resources to address the varied needs of the communities we serve.

- ❑ Through our internship program, we have exposed underrepresented groups to opportunities at MTACC. During the 1<sup>st</sup> half of 2019, six STEM\* college students (five minority, two female) worked on MTACC projects. Additionally, we had another successful summer legal internship program. Once again MTACC successfully recruited legal interns from top-tier law schools. Throughout the summer these students proved to be an invaluable resource in performing legal research and assisting on a wide range of high profile projects.
- ❑ Our strong commitment to diversity is reflected by our workforce: Minorities represent 57% of our current workforce, 100 % of employees promoted, and 71% of the new hires during first half of fiscal year 2019. MTACC is equally proud to report that 36% of our current workforce and 14% of our new hires are female.
- ❑ As you saw in the video, our projects are also developing initiatives to educate and recruit students from local colleges, high schools, and elementary schools. In East Harlem the Second Avenue Subway Community Outreach team has developed STEM based programming to incorporate into area schools educating students on how this curriculum can translate into a career using SAS P2 as an example. The LIRR Expansion project has also successfully integrated STEM programming into their outreach activities resulting in area students developing creative ideas, including installing new artwork at construction sites, implementing noise mitigation techniques, introducing eco-friendly construction methods, and many others.



# 2019 Year End Initiatives

## IV. MTACC's 2019 Year End Key Diversity Initiatives

As MTACC customize strategies to centralize construction and development functions to optimize efficiencies of capital projects delivery, we will remain diligent in our efforts to address areas of underutilization within the workforce.

- ❑ In 2019 MTACC has partnered and will continue to partner with 15 union affiliates and 5 direct entry programs from the Building and Construction Trades Counsel of Greater NY, along with NYS Laborers, and representatives from NYCT, LIRR and MTACC HR to bring information on union apprentice programs, direct entry programs, and employment opportunities with the MTA, to the residents of East Harlem. The event drew over 400 residents from East Harlem and beyond, resulting in over 150 potential candidates being identified.
- ❑ Diversity recruiting requires strategy and relationship building. MTACC will expand working relationships with external constituencies and participate in targeted or hosted recruitment events to further brand MTACC as an “employer of choice” for recruitment of employees in areas of underrepresentation. Looking to the future MTACC is already in the planning stages for jobs information events in partnership with the BCTC and its affiliate programs for both the East Bronx and East Harlem communities in Q4 2019/Q1 2020.



# **Metropolitan Transportation Authority Metro-North Railroad**

**Catherine Rinaldi, President  
Strategies to Improve Utilization in the Workforce**

**September 23, 2019**



# Message To The Board

## I. Message From Catherine Rinaldi, President, MNR

- My Executive Leadership Team and I are committed to having a diverse workforce and maintaining a culture of inclusion, equity, respect and equal employment opportunity. MNR's Strategic Plan upholds these commitments by ensuring equitable employment practices, policies and customer service standards to our employees, customers, vendors, and stakeholders.

## II. Keeping Employees Informed Of Their EEO Rights

- In an effort to ensure that our employees are aware of their EEO rights MNR Office of Diversity & EEO continually trains its workforce, including new hires, managers, supervisors, and line staff, at all MNR campus locations to ensure employees are protected against discrimination and retaliation. MNR disseminates all EEO policies via e-mail, MNR campus postings, employee group trainings and through its intranet.



# 2019 Mid-Year Accomplishments

## III. MNR's 2019 Mid-Year Key Accomplishments

In maintaining our culture of diversity and inclusion, and consistent with our commitment to increase, retain and/or promote females, minorities, veterans, and individuals with disabilities in the workplace MNR undertook the following:

- ❑ **Females:** Women's History Month featured an expert transportation executive who addressed *"The Importance of Women as Transportation Decisionmakers."* MNR Lunch & Learn panel featured *"Women Engineers: Leading the Way for Progress at Metro-North Railroad."* Two women have been selected to receive the President's Award (2019), that recognizes exceptional employees at MNR.
- ❑ **Minorities:** Due to MNR's recruitment initiatives focusing on minorities, women, and veterans, 43% of new hires were minorities as compared to 38% minority representation in the MNR workforce. To commemorate Black History Month, MNR's Lunch & Learn Series featured author Ibram X. Kendi's book which examined the history and effects of racism in America.
- ❑ **Veterans and Disabled:** Continued efforts to attract a diverse workforce by targeting veterans, minorities and disabled individuals at career & job fairs. 27% of the fairs attended focused on veterans and individuals with disabilities.



# 2019 Year-End Initiatives

## IV. MNR's 2019 Year-End Key Diversity Initiatives

- ❑ As part of MNR's "Way Ahead Plan," HR and EEO plans to attend job fairs sponsored by universities, female and disabled organizations in order to attract qualified applicants to non-traditional jobs that were vacant in 2019.
- ❑ MNR will continue its Managers In Transition (MIT) program that grooms newly transitioned managers to prepare to be role models to their subordinates.
- ❑ As part of the MNR's S.M.A.R.T initiatives (Specific Measurable Attainable Realistic Tangible), MNR will expand on its training programs to inform employees of their EEO rights and responsibilities, as well as enhances professional relationships across the MNR workforce.





# **Metropolitan Transportation Authority Long Island Rail Road**

**Phillip Eng, President  
Strategies to Improve Utilization in the Workforce**

**September 23, 2019**



# Message To The Board

## I. Message From Phillip Eng, President, LIRR

- ❑ While LIRR Forward Corporate Plan is customer focused, it cannot be successful without our most valuable resource – our employees. We make every effort to attract, develop and retain a workforce profile that reflects the diversity of the region's labor pool. We also operate our services without regard to race, color, or national origin, in accordance with Title VI of the Civil Rights Act of 1964.
- ❑ Continuous efforts with executive leadership buy-in are being made to recruit, hire and retain women, minorities, persons with disabilities, and military veterans throughout all EEO job categories.

## II. Keeping Employees Informed Of Their EEO Rights

- ❑ Extensive EEO and Diversity training and outreach site visits.
- ❑ Annual mailing of the President's Personal Commitment to Diversity and Sexual and Other Discriminatory Harassment Policies. Policy overview included as part of all training modules. The Commitment Letter and Policies are posted on LIRR's intranet site, and forwarded to department heads with instructions to print and post conspicuously throughout the company.
- ❑ Deliver information about employee rights under relevant policies during various training modules, and all complaint investigation interviews.



# 2019 Mid-Year Accomplishments

## III. Long Island Rail Road's 2019 Mid-Year Key Accomplishments

- ❑ Expanded working relationships with external women, minority, veterans, and persons with disabilities organizations.
- ❑ Partnered with the Governors Office of Constituency Affairs/Mayor's Office to advertise vacancies with women, minority, veteran and persons with disabilities professional organizations.
- ❑ Partnered with Girls Inc. of Long Island in a mentorship effort to encourage young girls to pursue careers in transportation.



# 2019 Year-End Initiatives

## IV. Long Island Rail Road's 2019 Year-End Key Diversity Initiatives

- ☐ Continue EEO/Diversity and Inclusion training efforts to influence workplace behavior.
- ☐ Develop unpaid internship program.
- ☐ Develop email list of NY State and City legislators to send job vacancies.
- ☐ Advertise in minority community newspapers.



# **Metropolitan Transportation Authority MTA Bus**

**Craig Cipriano, Acting President  
Strategies to Improve Utilization in the Workforce**

**September 23, 2019**



# Message To The Board

## I. Message From Craig Cipriano, Acting President, MTA Bus

MTA Bus's commitment to the principles and practices of equal employment opportunity directs us to identify and leverage best-in-class solutions for securing a work environment that is free from discrimination and harassment. Additionally, we continuously reinforce a culture of respect, diversity and inclusion for ourselves, our vendors, and for the communities that we serve.

## II. Keeping Employees Informed Of Their EEO Rights

- ❑ All MTA EEO policies were updated and posted at each worksite and on the MTA intranet.
- ❑ Employees are informed of the consequences of retaliation in our EEO Policy Statement and held accountable for instances of retaliation.



# 2019 Mid-Year Accomplishments

## III. MTA Bus 2019 Mid-Year Key Accomplishments

Creating and nurturing a culture of equity, diversity, and inclusion is a critical component of our strategy to ensure that we have the capacity to attract and retain the human capital necessary to execute on our mission to deliver safe and reliable bus service to our customers. The following examples highlight our success in executing on this strategy:

- ❑ Females and Persons with Disabilities hired or promoted during second quarter 2019 increased, when compared to first quarter 2019, in the Officials and Administrators, Professionals and Service Maintenance job categories
- ❑ In conjunction with Corporate Communications, MTA Bus recruitment disseminated hard-to-fill Examination Employment Opportunities via the Customer Information Screens and MetroCard mobile sales vehicles
- ❑ Rolled out well-received monthly diversity celebrations across Buses properties
- ❑ Piloted Respect and Inclusion Gender Awareness Workshops with MTA Bus managers and Pride Express
- ❑ Successfully completed our FTA Triennial Review with no deficiencies found in our Title VI and EEO programs



# 2019 Year-End Initiatives

## IV. MTA Bus 2019 Year-End Key Diversity Initiatives

MTA Bus will pursue opportunities to advance our diversity and inclusion strategy in the face of a challenging and continuously evolving operating environment. As we approach year end 2019, these are some of the initiatives we will participate in:

- ❑ Revisit bus operator exam requirements and listing of successful candidates
- ❑ Review job vacancy notification (JVN) for statement regarding reasonable accommodations
- ❑ Continue to develop out-of-the-box recruitment strategies for underutilized populations for Women, Asians, Hispanics, Veterans, LGBTQ and Persons with Disabilities
- ❑ In conjunction with MTA IT, create an accessible MTA employment/examination page for Persons with Disabilities





# **Metropolitan Transportation Authority New York City Transit**

**Andy Byford, President  
Strategies to Improve Utilization in the Workforce**

**September 23, 2019**



# Message To The Board

## I. NYCT President & Leadership Team Commitment

- ❑ One of the four priorities of the Fast Forward Plan is the commitment to engage and empower employees by showing we value them, by embracing diversity & inclusion at every level, and by working to create more of a team culture that is customer focused.
- ❑ Management is provided with the tools, information and inclusive culture training needed to deliver on our commitment to an agency that is as diverse as the city it serves.

## II. Keeping Employees Informed Of Their EEO Rights

- ❑ Distribute annual letters from the President on EEO, Sexual and Other Discriminatory Harassment and Respect in the Workplace Policies, and post the information on the NYCT website and in our buildings and facilities.
- ❑ Conduct thorough investigations of all EEO complaints, including complaints alleging retaliation. Provide EEO training to all employees and deliver information about employees' rights and responsibilities during the onboarding of newly hired and promoted employees.



# 2019 Mid-Year Accomplishments

## III. New York City Transit

- Participated in 18 career fairs sponsored by government officials representing NYC Assembly and Congressional districts with significant Asian and Hispanic populations.
- Signed partnership agreement with City Polytechnic High School (a PTECH school linked to City Tech College) to help source interns for hard-to-fill Science, Technology, Engineering, and Mathematics positions.
- Continued partnerships with MTA Office of Veteran's Recruitment, NYS Department of Labor and NYC Mayor's Office of People with Disabilities. Distributed job postings to active military and veteran communities, and on the "New York At Work" job board. Participated in quarterly Vocational Rehabilitation Advisory Council meetings sponsored by the New York University Rusk Institute.
- Modeling best practices and strategic planning, the Transit Diversity Advisory Council (TDAC) held its inaugural meeting in April. TDAC, which is chaired by President Byford, was established to ensure collaboration between the leads of Transit Employee Groups (TEGs) and their Executive Sponsors to identify and address affinity-related barriers, align its activities with business objectives and champion diversity and inclusion.
- Introduced the "INCLUSION: Just Do It!" communications campaign at the Senior Leaders Forum in February; held a Lunch and Learn in May on Intersectionality; and sponsored Diversity Awareness Week events in June.



# 2019 Year-End Initiatives

## IV. New York City Transit

- Expand outreach of employment opportunities through (1) distribution of monthly Notice of Examination schedules on over 50 NYC community boards and (2) promotion of jobs on eight digital display platforms to NYC customers.
- Utilize the nine Transit Employee Groups (TEGs) to broaden outreach efforts and promote job opportunities to underrepresented populations.
- Hold the first "Semi-Annual" Awards program to nominate employees who have embodied and practiced the Fast Forward Guiding Principles (Safety, Customer Service, Teamwork, Leadership, Diversity & Inclusion, and Accountability).
- Distribute the "*On Track to Wellness*" monthly newsletter to provide employees with tips to promote workplace and overall well-being.
- Launch the "Meet the TEGs" Video Series to encourage all MTA employee participation.
- Complete Diversity Dashboard in collaboration with Strategic Initiatives, MTA IT and People & Business Transformation (HR, LR, SIR) to support D&I action planning.



# **Metropolitan Transportation Authority Bridges and Tunnels**

**Daniel DeCrescenzo, Jr., Acting President  
Strategies to Improve Utilization in the Workforce**

**September 23, 2019**



# Message To The Board

## I. Message From Daniel DeCrescenzo, Jr., Acting President, MTA Bridges and Tunnels

- As President of MTA Bridges and Tunnels (B&T), I am firmly committed to achieving the highest caliber of service excellence, innovation and organizational transformation through B&T's diversity, equity and inclusion programs. By fostering new and innovative partnerships, B&T can maintain a robust workforce and competitive business environment that achieves its mission, vision and goals. B&T's leadership is equally committed to strategically integrating B&T's programmatic diversity initiatives into its core objectives to be the best-in-class tolling and transportation agency that fully honors and respects its workforce, business partners and the customers that it serves.

## II. Keeping Employees Informed Of Their EEO Rights

- B&T's leadership and managers will reinforce EEO policies and procedures in day-to-day operations to ensure employees are protected against retaliation.
- B&T conspicuously posts MTA, MTA Bridges and Tunnels, federal, state, and local EEO policies and procedures online and common areas, provides an annual EEO, leadership, and diversity training during the onboarding and orientation processes, and through direct email to employees on an annual basis.



# 2019 Mid-Year Accomplishments

## III. MTA Bridges and Tunnels 2019 Mid-Year Key Accomplishments

- ❑ B&T participated in four minority, women, veteran-owned business outreach events that provided opportunities for professional service, design-build engineering and construction contracts.
- ❑ To address vacancies and current MTA-wide hiring freeze, B&T developed an Executive Level Staffing Needs Committee to realign the organization and fill critical positions with internal staff. The internal realignment provided an opportunity to fill critical mid-level positions with women, minorities, and veterans where under representation existed in specific B&T job categories.
- ❑ In the first and second quarters, B&T participated in MTA Enterprise Asset Management Six Sigma certification program.
- ❑ B&T participated in targeted recruitment at employment, professional associations, veteran, disability organizations, and college fairs in anticipation of filling vacancies in the future.



# 2019 Year-End Initiatives

## IV. MTA Bridges and Tunnels' 2019 Year-End Key Diversity Initiatives

- B&T's will launch its Brown-Bag Series employee engagement initiative in the third quarter. The overall goals of the program are three-fold: (1) develop the Who's Who at TBTA series to encourage a broader understanding of what we do at B&T and the broader MTA, (2) foster cross-departmental communications, and (3) encourage skill-building and thought-provoking interactive sessions in a safe environment.
- As part of the agency's talent management and outreach efforts to improve the utilization of women, minorities, and veterans in critical and vacant positions, B&T will continue to participate in targeted recruitment at veteran and disability associations, and college employment fairs in the third and fourth quarters.
- B&T will launch its recruitment for the 2020 Summer Internship Program and develop and implement the internship professional development initiatives such as the Speaker's Summit Mixer, Networking Series, Mentorship Connection, and Interpersonal and Team Building initiatives in the fourth quarter.





# Executive Summary

## ■ Small Business Development Program (as of June 30, 2019)

### The Program – Current Status

The Small Business Development Program (SBDP) awarded **391 contracts** totaling **\$394.1 million** since the inception of the program.

In the current year, SBDP awarded **23 contracts** totaling **\$36.6 million**. The goal for current year is **\$80 million**.

SBDP successfully recruited **seven (7)** Service Disabled Veteran-Owned Business (SDVOB) certified firms. **Three (3) firms** were awarded contracts totaling **\$992,525**.

The Small Business Development Loan Program issued **117 loans** totaling **\$16.5 million**.

The Small Business Development Bond Program has assisted program participants in securing **\$344.5 million** in surety bonds.

SBDP expires in December 2019. Due to legislative actions in Albany, the program has been extended to December 31, 2029.



# 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 2019-2020 MWBE Goal

- 15% MWBE participation in contract awards\*
- 29% MWBE participation in contract payments\*

### ■ 6% NY State Fiscal Year 2019-2020 SDVOB Goal

- 2% SDVOB participation in contract awards\*
- 3% SDVOB participation in contract payments\*

### ■ 18% Federal Fiscal Year 2018-2019 DBE Goal

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

\* First quarter of the NY State Fiscal Year 2019-2020

\*\* First half of the Federal Fiscal Year 2019-2020



# Executive Summary

## ■ MWDBE and SDVOB Contract Compliance (Continued)

- Currently, DDCR monitors more than **1,838 contracts** for MWDBE and SDVOB goal compliance.
- In 2018, DDCR conducted **667 site visits** for MWDBE and SDVOB contract compliance.
  - January-June 2019 site visits
    - Total Conducted: **350**
    - Current Monthly Average: **58**
- In 2018, DDCR has closed **122 contracts**.
  - January-June 2019 closed contracts
    - Total Closed: **55**
    - Current Monthly Average: **9**



# Executive Summary

## ■ MWDBE and SDVOB Contract Compliance (Continued)

■ Status: WBE and SDVOB goals are not being met

## ■ Trends

- ✓ Upward: SDVOB participation on contract payments
- ✓ Constant: WBE participation on contract payments
- Downward

## ■ Strategies for Improvement:

- DDCR will expand on building relationships with various women, veteran and ethnic trade groups and associations to identify qualified firms in the minority business community.
- Design smaller contracts for greater participation by MWDBE/SDVOBs.
- Due to legislative actions in Albany, discretionary spending threshold was increased from \$400k to \$1M.
- Hiring additional MWDBE/SDVOB Contract Compliance staff.



# Executive Summary

## ■ Capital Projects

### ■ Federal Participation Goal: 18%

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

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

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

(First Quarter NYS Fiscal Year 2019-2020 (April 2019 to June 2019))

- |                                 |                                  |
|---------------------------------|----------------------------------|
| ■ Total Awards: \$183M          | ■ Total Payments: \$315M         |
| ■ Total MBE Awards: \$33M (18%) | ■ Total MBE Payments: \$29M (9%) |

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

(First Quarter NYS Fiscal Year 2019-2020 (April 2019 to June 2019))

- |                                 |                                   |
|---------------------------------|-----------------------------------|
| ■ Total Awards: \$183M          | ■ Total Payments: \$315M          |
| ■ Total WBE Awards: \$38M (21%) | ■ Total WBE Payments: \$33M (10%) |

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

(First Quarter NYS Fiscal Year 2019-2020 (April 2019 to June 2019))

- |                                |                                          |
|--------------------------------|------------------------------------------|
| ■ Total Awards: \$112M         | ■ Total Payments: \$175M                 |
| ■ Total SDVOB Awards \$3M (2%) | ■ Total SDVOB Payments: \$368,879 (.21%) |

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

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



# Executive Summary

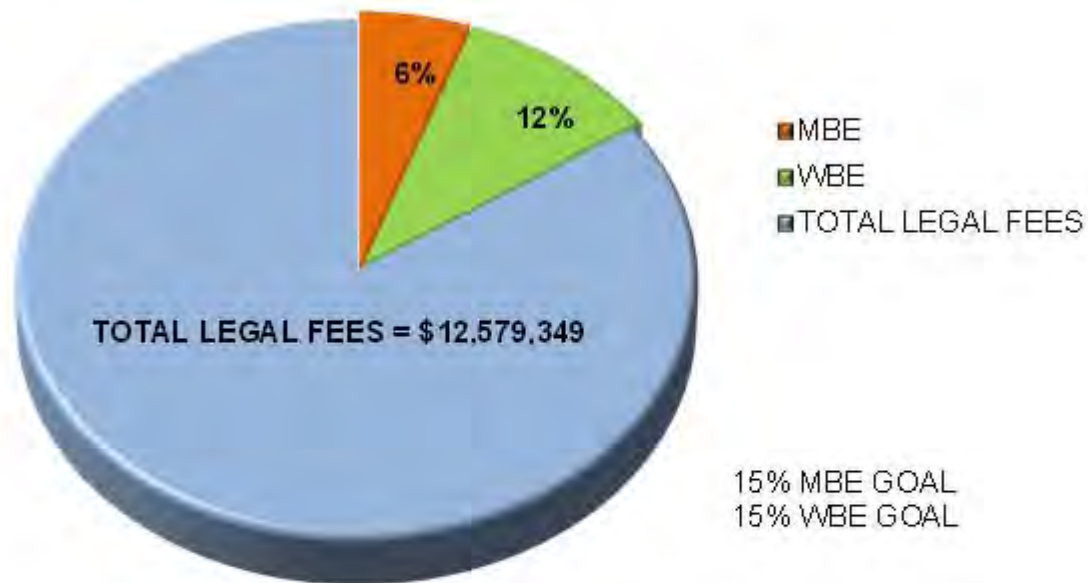
## Capital Projects (Continued)

- **Status:** MWBE/SDVOB goals are not being met
- **Trends**
  - Upward:
  - ✓ Constant: MWBE payments
  - ✓ Downward: SDVOB payments
- **Strategies for Improvement:**
  - DDCR will expand on building relationships with various women, veteran and ethnic trade groups and associations to identify qualified firms in the minority community.
  - Hiring more MWDBE/SDVOB contract compliance staff



# Executive Summary

## ■ MTA All Agency Legal Fees (April - June 2019)



Actual MBE Participation = \$793,152 or 6.31%  
Actual WBE Participation = \$1,516,099 or 12.05%





# Executive Summary

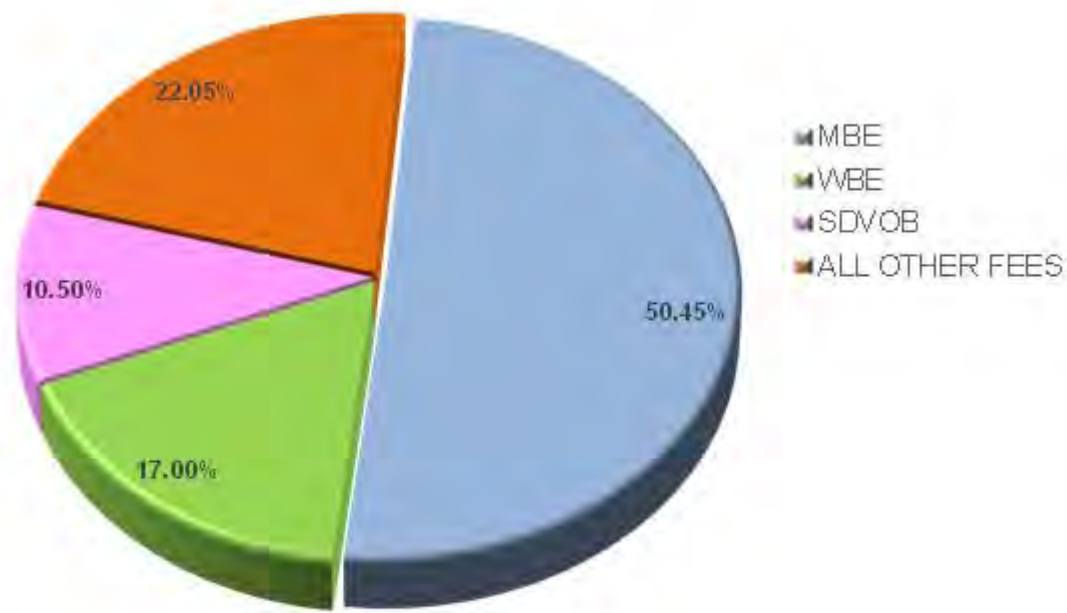
## MTA All Agency Legal Fees (Continued)

- **Status:** MWBE goals are not being met
- **Trends**
  - ☑ Upward
  - Constant
  - Downward
- **Strategies for Improvement:**
  - Host an all-agency orientation session for prequalified ethnic minority law firms which is scheduled for September 2019.
  - Mentor MWBE law firms to handle more specialized cases.



# Executive Summary

■ Financial Services  
MTA All Agency Underwriter Fees (April – June 2019)



Actual WBE Participation = \$88,426 or 17%  
Actual MBE Participation = \$262,418 or 50.45%  
Actual SDVOB Participation = \$54,818 or 10.50%  
All Other Underwriting Fees = \$114,694 or 22.05%



# Executive Summary

## Financial Services (Continued)

- **Status:** All goals were met. Total fees paid to MWBE/SDVOB is **77.95%!!!**
- **Trends**
  - ☑ Upward
  - Constant
  - Downward
- **Strategies for Improvement:** n/a



# Executive Summary

## Asset Fund Managers – MWBE Participation Combined Plans (as of June 30, 2019)

### Combined Plans

- Total assets managed by MWBEs: \$1.31 billion; or 16% of total assets
- Majority of assets are in traditional asset classes
- Traditional assets managed by MWBEs: \$1.22 billion; or 24% of traditional assets
  - MWBE firms manage
    - 55% of US Equities
    - 35% of Real Estate
    - 26% of Non-US Equities
    - 9% of Fixed Income
    - 1 % of Opportunistic
- Alternative investments managed by MWBE's: \$89 million; or 3% of alternative investments



# Executive Summary

## Asset Fund Managers – MWBE Participation Combined Plans (Continued)

### New England Pension Consultants (NEPC) Diversity Advisory Committee

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



# Executive Summary

## Asset Fund Managers – MWBE Participation Combined Plans (Continued)

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



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## Business and Diversity Initiatives

September 23, 2019



# Business and Diversity Initiatives

## April

The Regional Alliance Contractor's Clearinghouse

Competitive Edge Committee Presents "2<sup>nd</sup> Annual Service Disabled Veteran-Owned Business Conference"

DDCR Presents "DBE Certification Session"

African American Chamber of Commerce of New Jersey Presents "The State of Black New Jersey 2019 Conference"

New York City School Construction Authority and Department of Design and Construction's

MWBE Procurement Fair

Transportation Diversity Council- MIT Summit 2019

NYC Department of Parks MWBE Event

MTA "Connect" Agency-Wide Small Business Conference

3<sup>rd</sup> Track Constructors Present "Information Opportunity Seminar: Project Labor Agreements"

## May

General Contractors Association Annual DBE/MWBE/SDVOB Networking Event

New York City Housing Authority MWBE & s3BC Procurement Fair

Harlem Economic Development Corporation Presents "How to Do Business With the MTA"





# Business and Diversity Initiatives

## June

Puerto Rico Delegation Orientation Session “How to Do Business with the MTA”

2019 New York State Regional MWBE Opportunities Expo Series

DDCR Presents “DBE Certification Session”

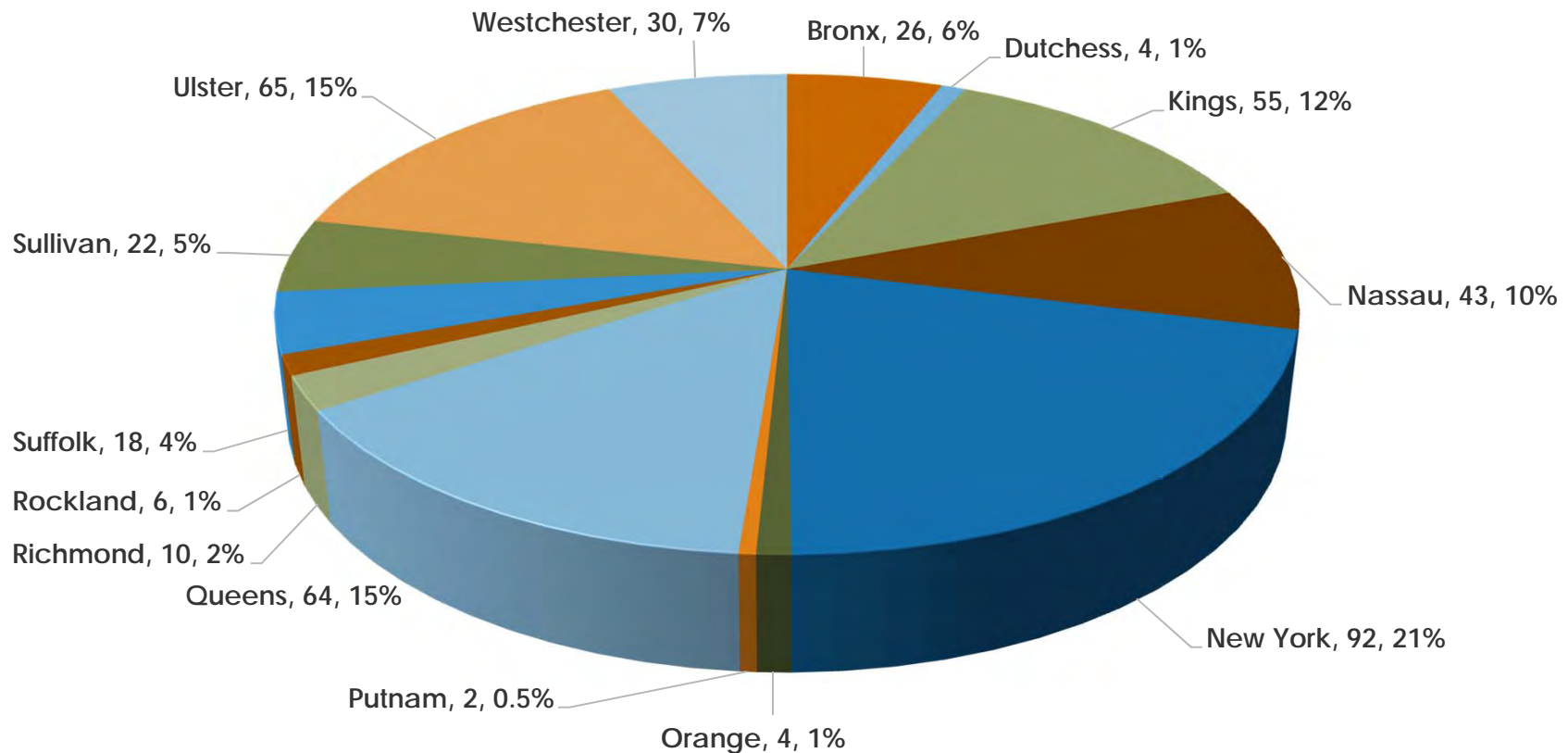
DDCR Presents “MTA Agency-wide New Firm Orientation Session”

13<sup>th</sup> Annual NYC Department of Small Business Services Citywide Procurement Fair



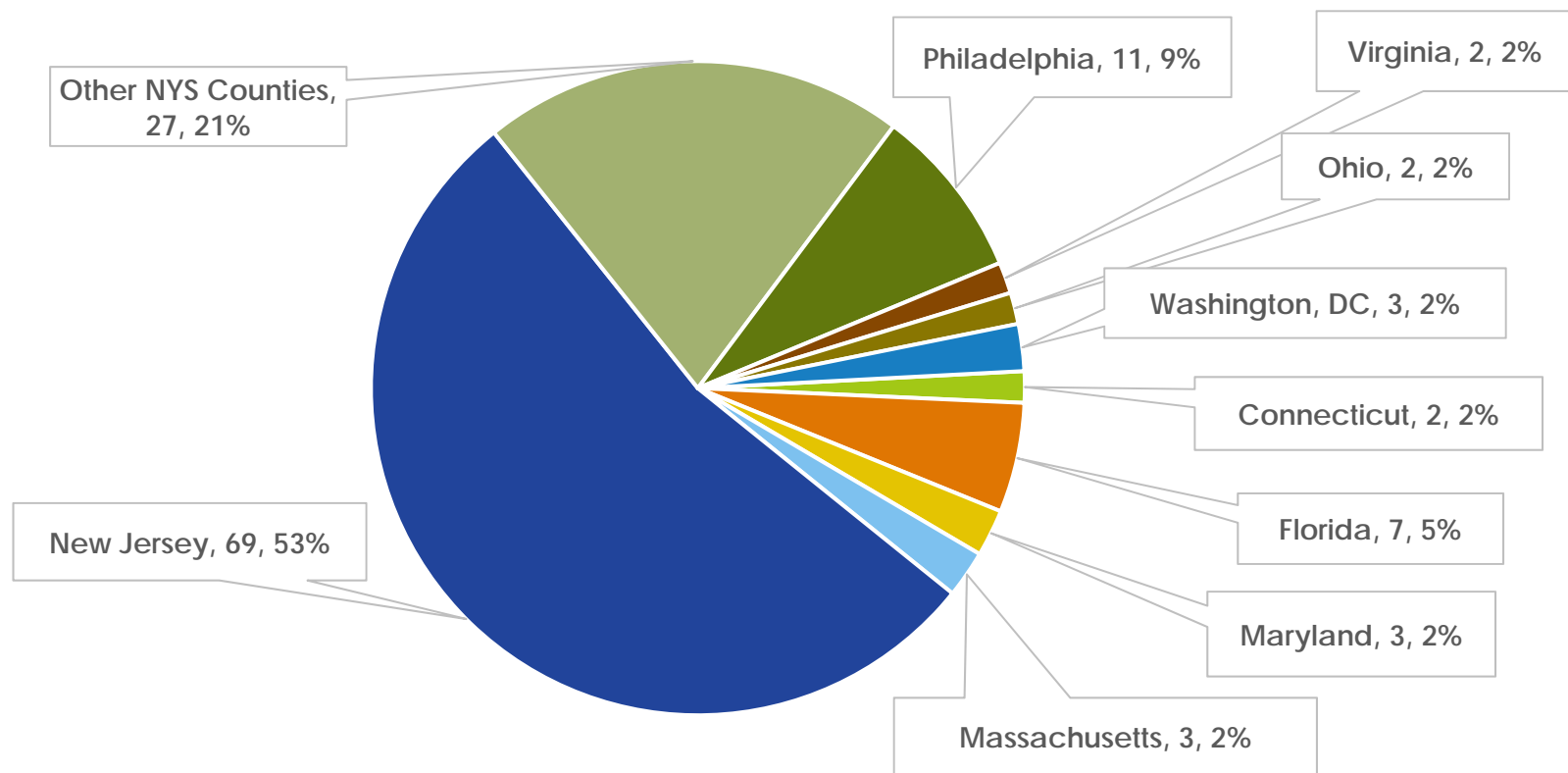
# Business and Diversity Initiatives

Outreach Conducted In MTA Region Service Area (14 Counties)  
April 2019 – June 2019



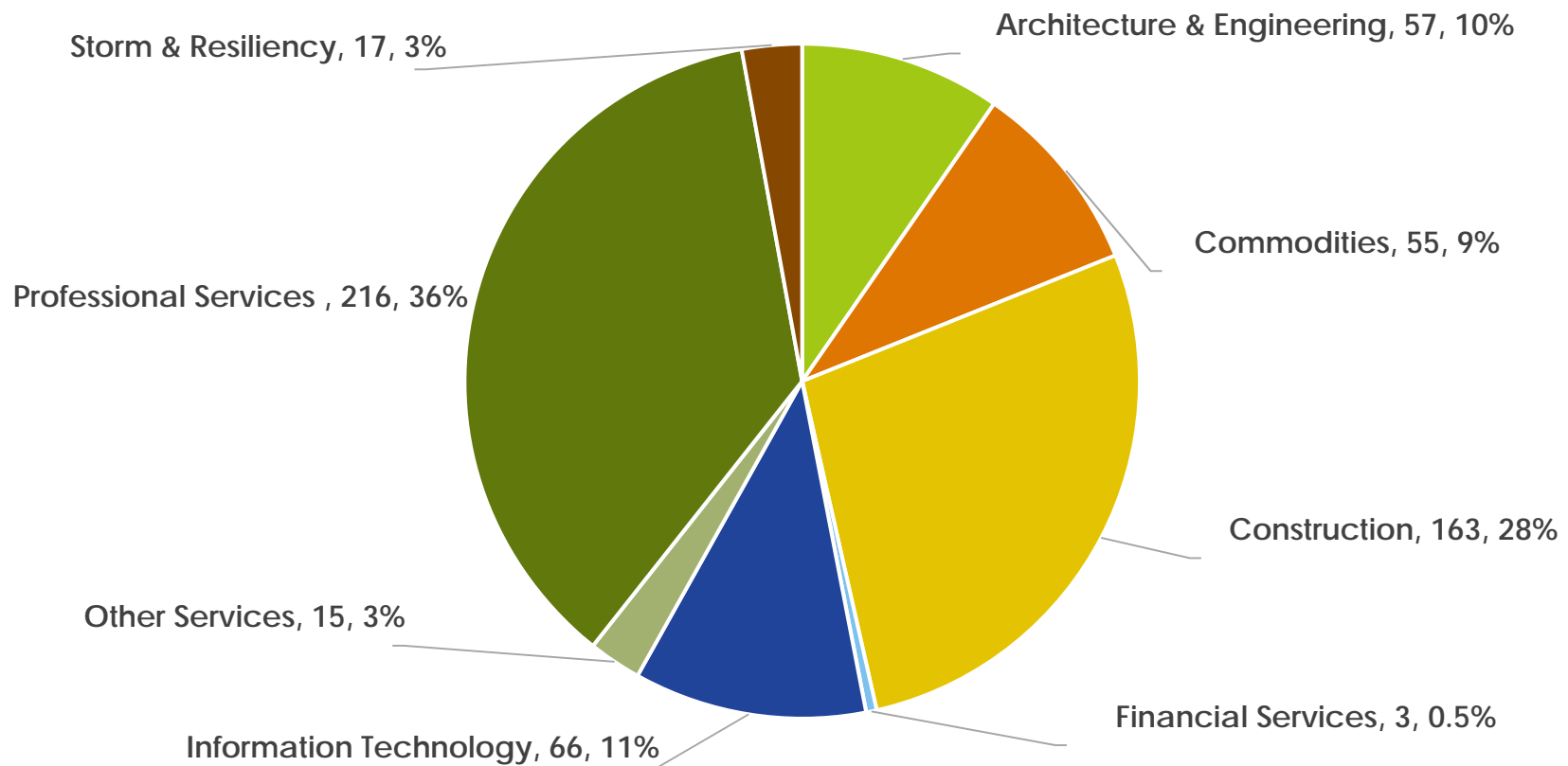
# Business and Diversity Initiatives

## Outreach Conducted Outside MTA Region Service Area April 2019 – June 2019



# Business and Diversity Initiatives

## Outreach Results By Business Type April 2019 – June 2019

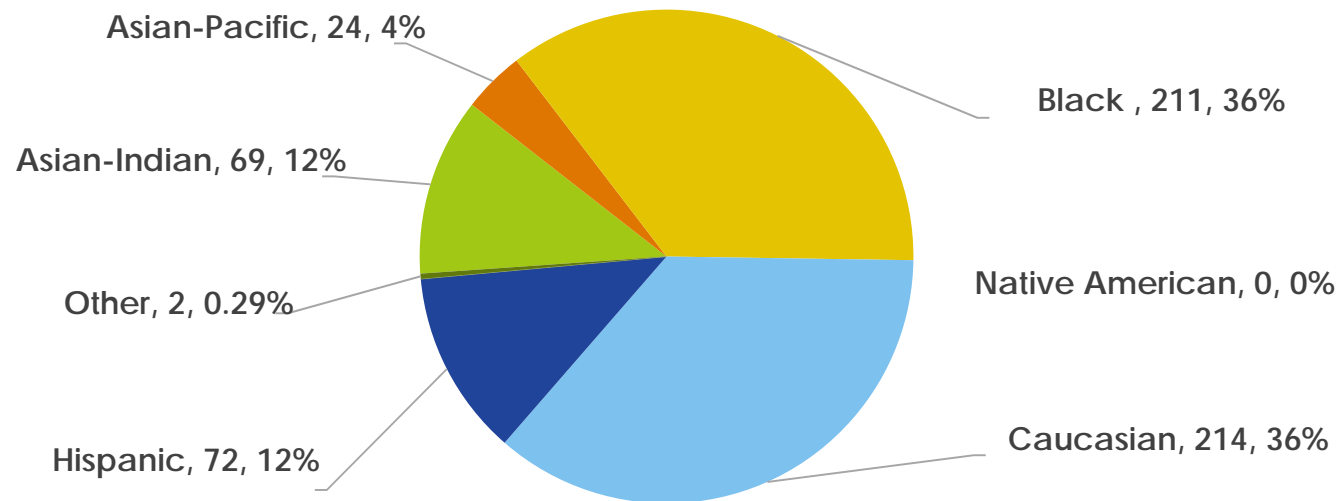


Total Firms: 592



# Business and Diversity Initiatives

Outreach Results By Ethnicity  
April 2019 – June 2019



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## DBE Certification Activity Report

September 23, 2019



# MTA DBE Certification Unit

## CERTIFICATION APPLICATIONS RECEIVED SECOND QUARTER 2017-2019

	2019	2018	2017
April	7	2	9
May	6	14	8
June	12	4	9
<b>TOTAL</b>	<b>25</b>	<b>20</b>	<b>26</b>

## CERTIFICATION ACTIVITIES FOR NEW APPLICATIONS SECOND QUARTER 2017-2019

	2019	2018	2017
<b>CERTIFIED</b>	<b>22</b>	<b>11</b>	<b>23</b>
<b>DENIED</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>RETURNED</b>	<b>2</b>	<b>5</b>	<b>15</b>
<b>WITHDRAWN</b>	<b>10</b>	<b>9</b>	<b>9</b>
<b>TOTAL</b>	<b>34</b>	<b>25</b>	<b>47</b>



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

MTA-Wide Workforce  
as of June 30, 2019

September 23, 2019





# MTA-Wide Workforce as of June 30, 2019

Agency	TOTAL		Minorities		WHITES		BLACKS		HISPANICS		ASIANS		AI/AN*		NHOP1**		2+ RACES		VETERANS			
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%		
B&T		1,342			753	56%	589	44%	343	26%	247	18%	97	7%	5	0%	1	0%	60	4%	75	6%
	F	289	22%		229	17%	60	4%	139	10%	53	4%	23	2%	2	0%	0	0%	12	1%	10	13%
	M	1,053	78%		524	39%	529	39%	204	15%	194	14%	74	6%	3	0%	1	0%	48	4%	65	87%
BUS		4,175			3316	79%	859	21%	1,886	45%	871	21%	353	8%	9	0%	12	0%	185	4%	45	1%
	F	547	13%		492	12%	55	1%	316	8%	132	3%	23	1%	1	0%	0	0%	20	0%	4	9%
	M	3,628	87%		2824	68%	804	19%	1,570	38%	739	18%	330	8%	8	0%	12	0%	165	4%	41	91%
CCC		128			73	57%	55	43%	21	16%	12	9%	32	25%	1	1%	0	0%	7	5%	1	1%
	F	46	36%		34	27%	12	9%	13	10%	9	7%	11	9%	0	0%	0	0%	1	1%	0	0%
	M	82	64%		39	30%	43	34%	8	6%	3	2%	21	16%	1	1%	0	0%	6	5%	1	100%
HQ		2,734			1560	57%	1,174	43%	611	22%	369	13%	430	16%	6	0%	2	0%	142	5%	68	2%
	F	924	34%		671	25%	253	9%	335	12%	127	5%	144	5%	0	0%	1	0%	64	2%	7	10%
	M	1,810	66%		889	33%	921	34%	276	10%	242	9%	286	10%	6	0%	1	0%	78	3%	61	90%
LIRR		7,618			2774	36%	4,844	64%	1,294	17%	878	12%	311	4%	22	0%	4	0%	265	3%	516	7%
	F	1,117	15%		583	8%	534	7%	346	5%	129	2%	57	1%	2	0%	1	0%	48	1%	24	5%
	M	6,501	85%		2191	29%	4,310	57%	948	12%	749	10%	254	3%	20	0%	3	0%	217	3%	492	95%
MNR		6,720			2593	39%	4,127	61%	1,346	20%	740	11%	210	3%	31	0%	1	0%	265	4%	519	8%
	F	844	13%		540	8%	304	5%	318	5%	121	2%	54	1%	4	0%	0	0%	43	1%	18	3%
	M	5,876	87%		2053	31%	3,823	57%	1,028	15%	619	9%	156	2%	27	0%	1	0%	222	3%	501	97%
NYCT		51,666			40501	78%	11,165	22%	23,996	46%	8,782	17%	6,214	12%	111	0%	20	0%	1,378	3%	756	1%
	F	9,583	19%		8835	17%	748	1%	6,531	13%	1,495	3%	505	1%	19	0%	3	0%	282	1%	64	8%
	M	42,083	81%		31666	61%	10,417	20%	17,465	34%	7,287	14%	5,709	11%	92	0%	17	0%	1,096	2%	692	92%
Total		74,383			51,570	69%	22,813	31%	29,497	40%	11,899	16%	7,647	10%	185	0%	40	0%	2,302	3%	1,980	3%

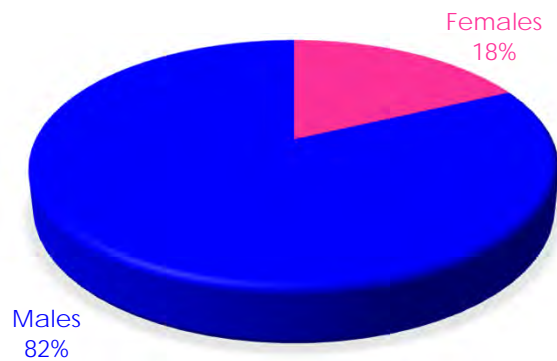
\*American Indian/Alaskan Native

\*\*Native Hawaiian Other Pacific Islander

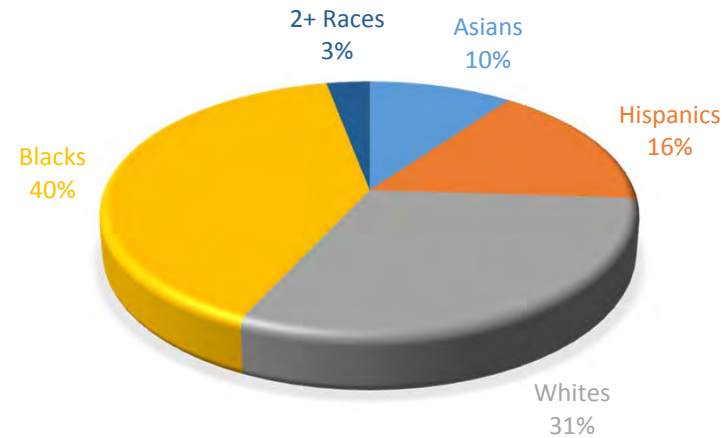


# MTA-Wide Workforce as of June 3, 2019

Workforce By Gender



Workforce By Race/Ethnicity



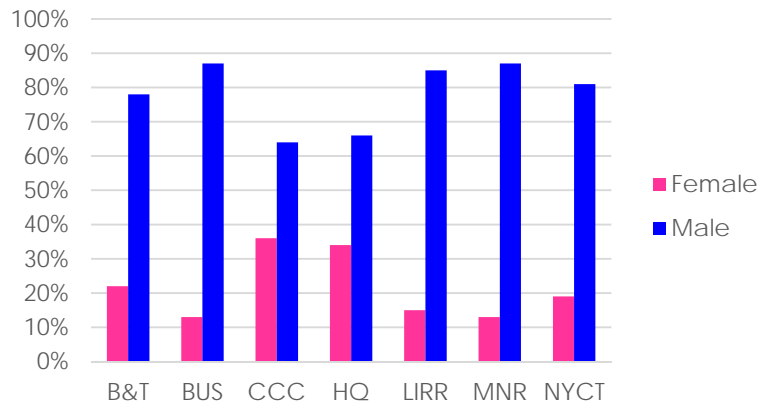
MTA employed **74,383** people: **18%** of the workforce were females, **69%** minorities, and veterans comprised **3%**.

- ❑ The percentage of females employed in the workforce has **decreased by 1%** when compared to 2Q18.
- ❑ The percentage of minorities in the workforce has **remained constant** when compared to 2Q18.

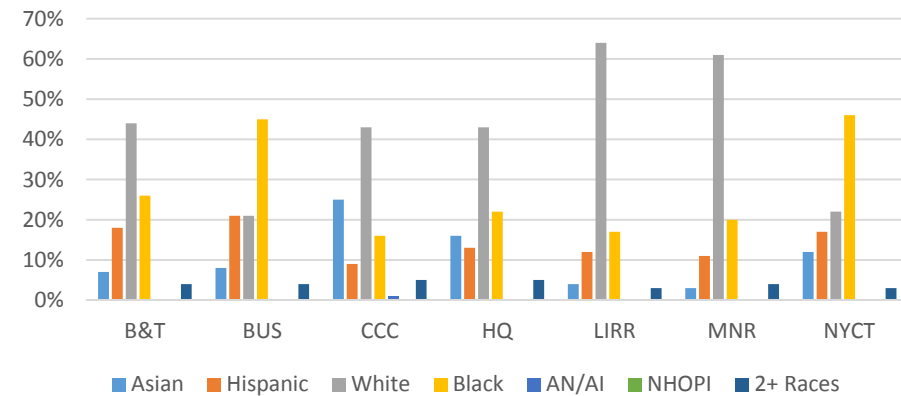


# MTA-Wide Workforce by Gender and Race/Ethnicity as of June 30, 2019

## MTA Agencies By Gender



## MTA Agencies By Race/Ethnicity



Agency	Employees	Females	Minorities
B&T	1,342	22%	56%
BUS	4,175	13%	79%
CCC	128	36%	57%
HQ	2,734	34%	57%
LIRR	7,618	15%	36%
MNR	6,720	13%	39%
NYCT	51,666	19%	78%



# Definitions of EEO Job Categories

- ❑ **Officials & Administrators** - Occupations in which employees set broad policies, exercise overall responsibility for execution of these policies, or direct individual departments or special phases of the agency's operations, or provide specialized consultation on a regional, district or area basis.
- ❑ **Professionals** - Occupations which require specialized and theoretical knowledge which is usually acquired through college training or through work experience and other training which provides comparable knowledge.
- ❑ **Technicians** - Occupations which require a combination of basic scientific or technical knowledge and manual skill which can be obtained through specialized post-secondary school education or through equivalent on-the-job training.
- ❑ **Protective Services** - Occupations in which workers are entrusted with public safety, security and protection from destructive forces.



# Definitions of EEO Job Categories

- ❑ **Paraprofessionals** - Occupations in which workers perform some of the duties of a professional or technician in a supportive role, which usually require less formal training and/or experience normally required for professional or technical status.
- ❑ **Administrative Support** - Occupations in which workers are responsible for internal and external communication, recording and retrieval of data and/or information and other paperwork required in an office.
- ❑ **Skilled Craft** - Occupations in which workers perform jobs which require special manual skill and a thorough and comprehensive knowledge of the process involved in the work which is acquired through on-the-job training and experience or through apprenticeship or other formal training programs.
- ❑ **Service Maintenance** - Occupations in which workers perform duties which result in or contribute to the comfort, convenience, hygiene or safety of the general public or which contribute to the upkeep and care of buildings, facilities or grounds of public property.



# MTA-Wide Underutilization Analysis Overview

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

In general, as of June 30, 2019, **females, Asians, Blacks** and **Hispanics** were underrepresented in some of the EEO job categories. A majority of the underrepresentation occurred within the Technicians, Skilled Craft, 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 June 30, 2019

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOPI**		2+ Races		Whites	
		Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %
<b>Officials &amp; Administrators</b>															
<b>B&amp;T</b>	<b>F</b>	8%	12%	4%	2%	3%	4%	0%	0%	0%	0%	1%	2%	10%	8%
	<b>M</b>	7%	10%	6%	7%	5%	10%	0%	0%	0%	0%	3%	4%		
<b>BUS</b>	<b>F</b>	5%	11%	2%	3%	2%	3%	0%	0%	0%	0%	1%	1%	16%	5%
	<b>M</b>	6%	15%	5%	12%	5%	9%	0%	0%	0%	0%	1%	4%		
<b>CCC</b>	<b>F</b>	4%	6%	3%	5%	3%	6%	0%	0%	0%	0%	0%	0%	15%	11%
	<b>M</b>	4%	5%	3%	0%	9%	21%	0%	1%	0%	0%	1%	3%		
<b>HQ</b>	<b>F</b>	5%	14%	3%	5%	4%	7%	0%	0%	0%	0%	1%	2%	16%	14%
	<b>M</b>	7%	8%	4%	4%	6%	11%	0%	0%	0%	0%	1%	3%		
<b>LIRR</b>	<b>F</b>	5%	4%	2%	2%	1%	2%	0%	0%	0%	0%	1%	1%	11%	10%
	<b>M</b>	7%	8%	6%	7%	3%	5%	0%	1%	0%	0%	1%	4%		
<b>MNR</b>	<b>F</b>	4%	6%	2%	3%	2%	4%	0%	0%	0%	0%	1%	1%	10%	11%
	<b>M</b>	8%	9%	5%	6%	3%	5%	0%	0%	0%	0%	2%	3%		
<b>NYCT</b>	<b>F</b>	7%	12%	2%	2%	2%	3%	0%	0%	0%	0%	1%	1%	9%	6%
	<b>M</b>	14%	19%	7%	9%	8%	11%	0%	0%	0%	0%	1%	3%		

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



# MTA-Wide Underutilization Analysis as of June 30, 2019

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOPI**		2+ Races		Whites	
		Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %
<b>Professionals</b>															
<b>B&amp;T</b>	<b>F</b>	8%	14%	4%	10%	3%	5%	0%	0%	0%	0%	1%	2%	14%	13%
	<b>M</b>	7%	7%	8%	9%	5%	7%	0%	0%	0%	1%	1%	7%		
<b>BUS</b>	<b>F</b>	10%	16%	6%	12%	5%	8%	0%	0%	0%	0%	2%	3%	13%	6%
	<b>M</b>	6%	12%	4%	6%	8%	17%	0%	0%	0%	0%	1%	5%		
<b>CCC</b>	<b>F</b>	11%	29%	7%	5%	11%	24%	0%	0%	0%	0%	0%	0%	23%	5%
	<b>M</b>	9%	10%	6%	5%	8%	5%	0%	0%	0%	0%	1%	5%		
<b>HQ</b>	<b>F</b>	6%	15%	4%	5%	4%	7%	0%	0%	0%	0%	1%	3%	20%	8%
	<b>M</b>	5%	12%	4%	9%	5%	15%	0%	0%	0%	0%	1%	4%		
<b>LIRR</b>	<b>F</b>	3%	3%	2%	2%	2%	3%	0%	0%	0%	0%	0%	1%	14%	7%
	<b>M</b>	6%	12%	5%	9%	6%	13%	0%	0%	0%	0%	1%	3%		
<b>MNR</b>	<b>F</b>	7%	11%	5%	5%	3%	4%	0%	1%	0%	0%	1%	3%	20%	10%
	<b>M</b>	6%	9%	5%	8%	4%	9%	0%	0%	0%	0%	1%	4%		
<b>NYCT</b>	<b>F</b>	6%	16%	4%	5%	4%	7%	0%	0%	0%	0%	0%	2%	18%	8%
	<b>M</b>	7%	15%	5%	5%	8%	19%	0%	0%	0%	0%	1%	2%		

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

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





# MTA-Wide Underutilization Analysis as of June 30, 2019

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOPI**		2+ Races		Whites	
		Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %
<b>Technicians</b>															
<b>B&amp;T</b>	<b>F</b>	10%	5%	3%	6%	0%	1%	0%	0%	0%	0%	1%	1%	2%	4%
	<b>M</b>	14%	10%	16%	21%	3%	4%	0%	0%	0%	0%	2%	1%		
<b>BUS</b>	<b>F</b>	5%	6%	10%	13%	0%	0%	0%	0%	0%	0%	0%	0%	35%	44%
	<b>M</b>	0%	0%	0%	0%	5%	6%	0%	0%	0%	0%	5%	6%		
<b>CCC</b>	<b>F</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	<b>M</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
<b>HQ</b>	<b>F</b>	3%	0%	2%	1%	0%	0%	0%	0%	0%	0%	1%	1%	6%	3%
	<b>M</b>	7%	8%	11%	6%	3%	5%	0%	0%	0%	1%	1%	0%		
<b>LIRR</b>	<b>F</b>	3%	7%	3%	0%	2%	0%	0%	0%	0%	0%	0%	0%	6%	0%
	<b>M</b>	10%	7%	9%	14%	8%	7%	0%	7%	0%	0%	0%	7%		
<b>MNR</b>	<b>F</b>	2%	5%	1%	1%	1%	0%	0%	0%	0%	0%	0%	1%	3%	3%
	<b>M</b>	14%	17%	9%	8%	2%	6%	1%	0%	0%	0%	3%	6%		
<b>NYCT</b>	<b>F</b>	4%	21%	3%	4%	3%	2%	0%	0%	0%	0%	0%	1%	13%	6%
	<b>M</b>	10%	22%	6%	6%	9%	13%	0%	0%	0%	0%	1%	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 June 30, 2019

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOPI**		2+ Races		Whites	
		Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %
<b>Protective Services</b>															
<b>B&amp;T</b>	<b>F</b>	10%	14%	4%	3%	0%	0%	0%	0%	0%	0%	0%	1%	4%	2%
	<b>M</b>	12%	20%	15%	21%	3%	4%	0%	0%	0%	0%	1%	3%		
<b>BUS</b>	<b>F</b>	0%	0%	13%	17%	0%	0%	0%	0%	0%	0%	0%	0%	13%	17%
	<b>M</b>	40%	33%	0%	17%	0%	0%	0%	0%	0%	0%	13%	17%		
<b>CCC</b>	<b>F</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	<b>M</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
<b>HQ</b>	<b>F</b>	3%	3%	2%	4%	0%	0%	0%	0%	0%	0%	0%	1%	7%	7%
	<b>M</b>	7%	9%	8%	16%	2%	4%	0%	0%	0%	0%	1%	2%		
<b>LIRR</b>	<b>F</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	<b>M</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
<b>MNR</b>	<b>F</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	<b>M</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
<b>NYCT</b>	<b>F</b>	9%	15%	3%	3%	1%	0%	0%	0%	0%	0%	0%	1%	3%	2%
	<b>M</b>	27%	35%	15%	17%	4%	6%	0%	0%	0%	0%	0%	2%		

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



# MTA-Wide Underutilization Analysis as of June 30, 2019

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOPI**		2+ Races		Whites	
		Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %
<b>Para-Professionals</b>															
<b>B&amp;T</b>	<b>F</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	<b>M</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
<b>BUS</b>	<b>F</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	<b>M</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
<b>CCC</b>	<b>F</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	<b>M</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
<b>HQ</b>	<b>F</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	<b>M</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
<b>LIRR</b>	<b>F</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	<b>M</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
<b>MNR</b>	<b>F</b>	12%	9%	12%	9%	4%	4%	0%	0%	0%	0%	1%	0%	41%	26%
	<b>M</b>	2%	9%	2%	0%	1%	4%	0%	0%	0%	0%	0%	4%		
<b>NYCT</b>	<b>F</b>	10%	31%	10%	17%	4%	7%	0%	0%	0%	0%	1%	5%	31%	3%
	<b>M</b>	4%	20%	3%	5%	2%	3%	0%	0%	0%	0%	0%	2%		

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

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



# MTA-Wide Underutilization Analysis as of June 30, 2019

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOP**		2+ Races		Whites	
		Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %
<b>Administrative Support</b>															
<b>B&amp;T</b>	<b>F</b>	14%	63%	14%	8%	5%	4%	0%	0%	0%	0%	1%	0%	35%	4%
	<b>M</b>	5%	4%	3%	0%	2%	4%	0%	0%	0%	0%	0%	0%		
<b>BUS</b>	<b>F</b>	13%	17%	9%	9%	2%	2%	0%	0%	0%	0%	2%	3%	14%	5%
	<b>M</b>	11%	19%	4%	3%	6%	12%	1%	0%	0%	0%	5%	8%		
<b>CCC</b>	<b>F</b>	12%	10%	12%	30%	3%	0%	0%	0%	0%	0%	1%	10%	26%	0%
	<b>M</b>	1%	10%	1%	20%	1%	0%	0%	0%	0%	0%	0%	0%		
<b>HQ</b>	<b>F</b>	11%	32%	11%	9%	4%	5%	0%	0%	0%	0%	1%	8%	41%	19%
	<b>M</b>	2%	9%	2%	6%	1%	5%	0%	0%	0%	0%	0%	0%		
<b>LIRR</b>	<b>F</b>	13%	21%	10%	7%	4%	2%	0%	0%	0%	0%	1%	2%	26%	21%
	<b>M</b>	5%	10%	4%	5%	2%	1%	0%	0%	0%	0%	1%	2%		
<b>MNR</b>	<b>F</b>	10%	22%	6%	7%	2%	1%	0%	0%	0%	0%	1%	2%	15%	9%
	<b>M</b>	11%	15%	7%	8%	2%	1%	0%	0%	0%	0%	2%	3%		
<b>NYCT</b>	<b>F</b>	14%	32%	15%	6%	6%	3%	0%	0%	0%	0%	0%	1%	17%	2%
	<b>M</b>	7%	23%	9%	9%	4%	15%	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 June 30, 2019

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOPI**		2+ Races		Whites	
		Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %
<b>Skilled Craft</b>															
<b>B&amp;T</b>	<b>F</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	<b>M</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
<b>BUS</b>	<b>F</b>	1%	0%	1%	0%	0%	0%	0%	0%	0%	0%	0%	0%	1%	0%
	<b>M</b>	23%	33%	13%	15%	9%	12%	0%	0%	1%	1%	4%	6%		
<b>CCC</b>	<b>F</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	<b>M</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
<b>HQ</b>	<b>F</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	<b>M</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
<b>LIRR</b>	<b>F</b>	5%	3%	2%	1%	0%	0%	0%	0%	0%	0%	0%	0%	5%	5%
	<b>M</b>	14%	13%	11%	11%	4%	3%	0%	0%	1%	0%	2%	3%		
<b>MNR</b>	<b>F</b>	1%	1%	1%	0%	0%	0%	0%	0%	0%	0%	0%	0%	2%	0%
	<b>M</b>	13%	16%	10%	10%	2%	1%	0%	1%	0%	0%	2%	3%		
<b>NYCT</b>	<b>F</b>	6%	4%	3%	1%	2%	0%	0%	0%	0%	0%	0%	0%	8%	0%
	<b>M</b>	16%	33%	12%	12%	7%	16%	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 June 30, 2019

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOPI**		2+ Races		Whites	
		Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %	Est Avail	Actual %
<b>Service Maintenance</b>															
<b>B&amp;T</b>	<b>F</b>	2%	1%	4%	2%	1%	0%	0%	0%	0%	0%	0%	0%	2%	1%
	<b>M</b>	15	21%	18%	14%	4%	4%	0%	1%	0%	0%	2%	4%		
<b>BUS</b>	<b>F</b>	7%	8%	5%	3%	0%	0%	0%	0%	0%	0%	0%	0%	6%	1%
	<b>M</b>	26%	43%	16%	20%	4%	6%	0%	0%	0%	0%	1%	3%		
<b>CCC</b>	<b>F</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	<b>M</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
<b>HQ</b>	<b>F</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	<b>M</b>	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
<b>LIRR</b>	<b>F</b>	6%	8%	5%	3%	1%	0%	0%	0%	0%	0%	0%	1%	6%	5%
	<b>M</b>	13%	19%	16%	13%	2%	2%	0%	0%	0%	0%	1%	2%		
<b>MNR</b>	<b>F</b>	4%	6%	6%	2%	1%	0%	0%	0%	0%	0%	0%	1%	4%	6%
	<b>M</b>	15%	17%	21%	9%	2%	2%	0%	0%	0%	0%	1%	3%		
<b>NYCT</b>	<b>F</b>	5%	15%	8%	4%	2%	0%	0%	0%	0%	0%	0%	0%	6%	1%
	<b>M</b>	14%	41%	23%	19%	4%	6%	0%	0%	0%	0%	0%	2%		

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



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

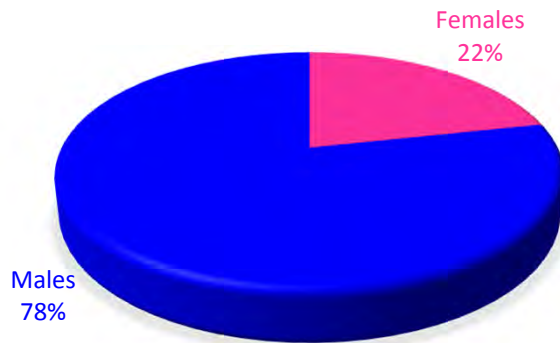
MTA-Wide New Hires and Veterans  
Second Quarter 2019

September 23, 2019

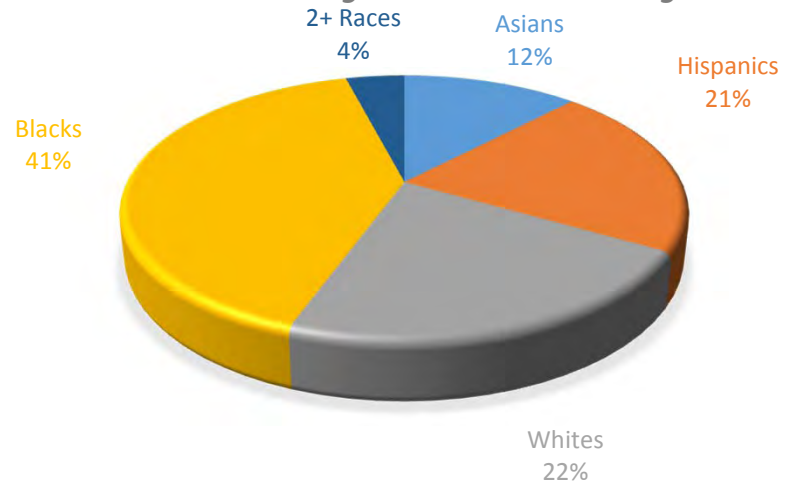


# MTA-Wide New Hires January 1, 2019 to June 30, 2019

New Hires By Gender



New Hires By Race/Ethnicity



MTA hired **2,148** employees, including **65** veterans: **22%** of new hires were females and minorities comprised **78%**.

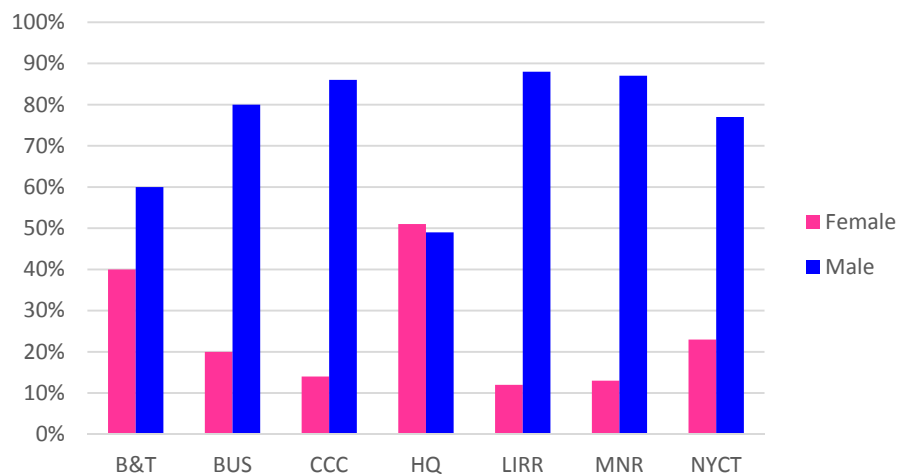
- ❑ Females were hired above their percentage of representation in the workforce.
- ❑ Minorities were hired above their percentage of representation in the workforce.



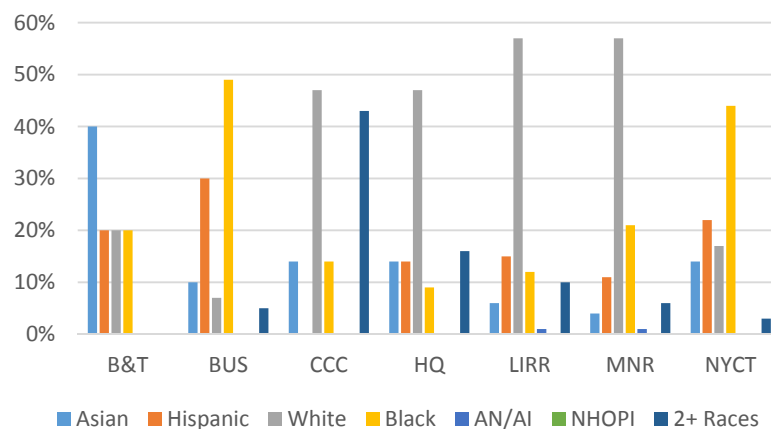


# New Hires By Agency January 1, 2019 to June 30, 2019

MTA Agencies New Hires By Gender



MTA Agencies New Hires By Race/Ethnicity



Agency	New Hires	Females	Minorities
B&T	5	40%	80%
BUS	257	20%	93%
CCC	7	14%	71%
HQ	43	51%	53%
LIRR	139	13%	43%
MNR	170	15%	43%
NYCT	1527	23%	83%



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

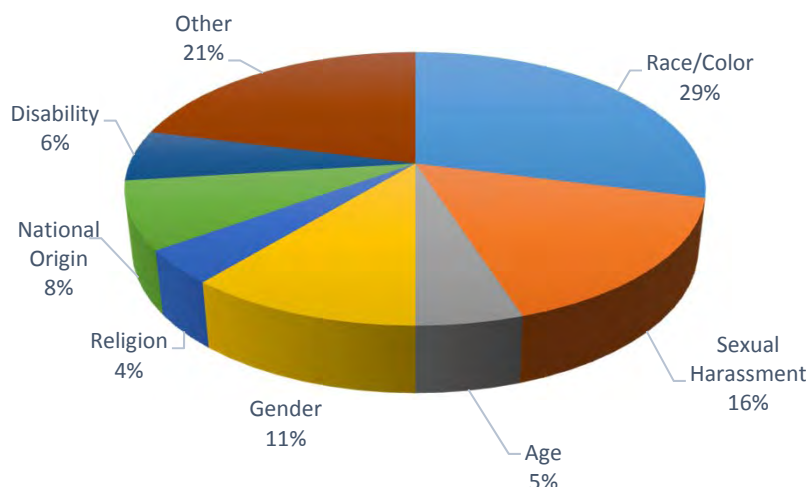
## MTA-Wide Complaints and Lawsuits Second Quarter 2019



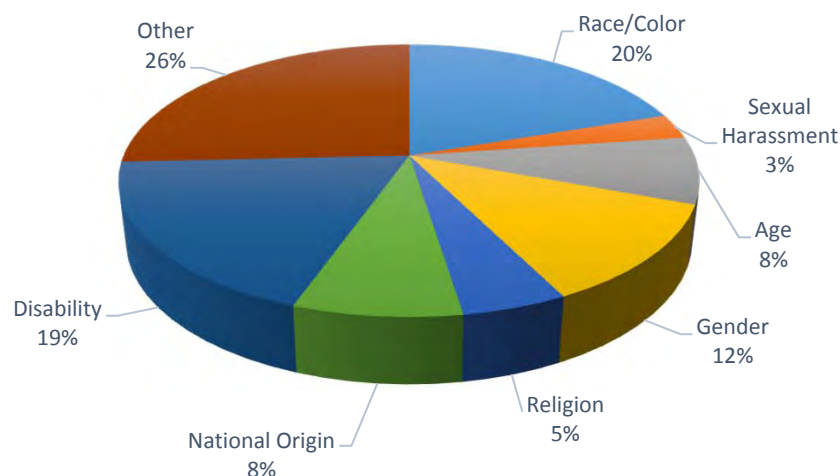
September 23, 2019

# MTA-Wide EEO Internal/External Discrimination Complaints by Bases January 1, 2019 to June 30, 2019

## Internal EEO Complaints by Bases



## External EEO Complaints by Bases



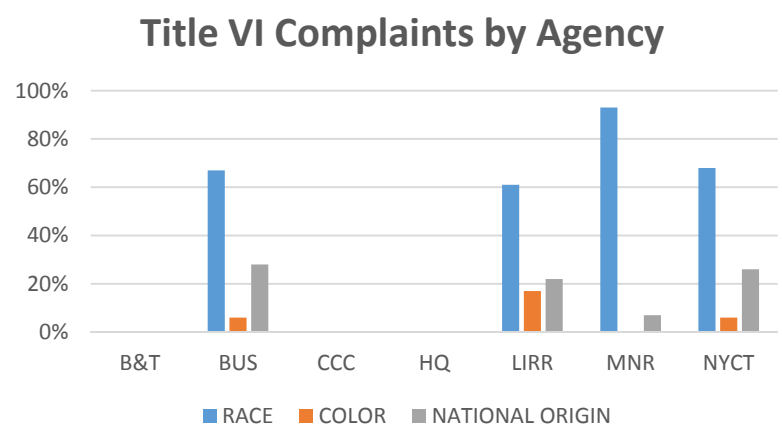
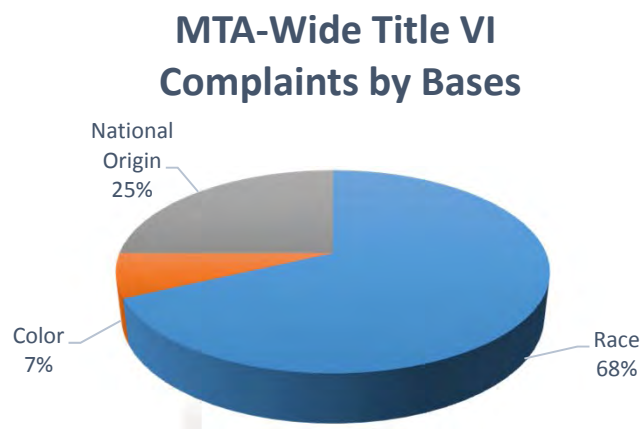
MTA handled **368** EEO complaints, citing **736** separate bases, and **101** lawsuits.

- ❑ **217** filed internal complaints.
- ❑ **151** filed external complaints.
- ❑ The most frequently cited basis internally and externally combined was race/color.



Note: Complaints can be filed alleging multiple bases.

# MTA-Wide Title VI Complaints by Bases and Lawsuits January 1, 2019 to June 30, 2019



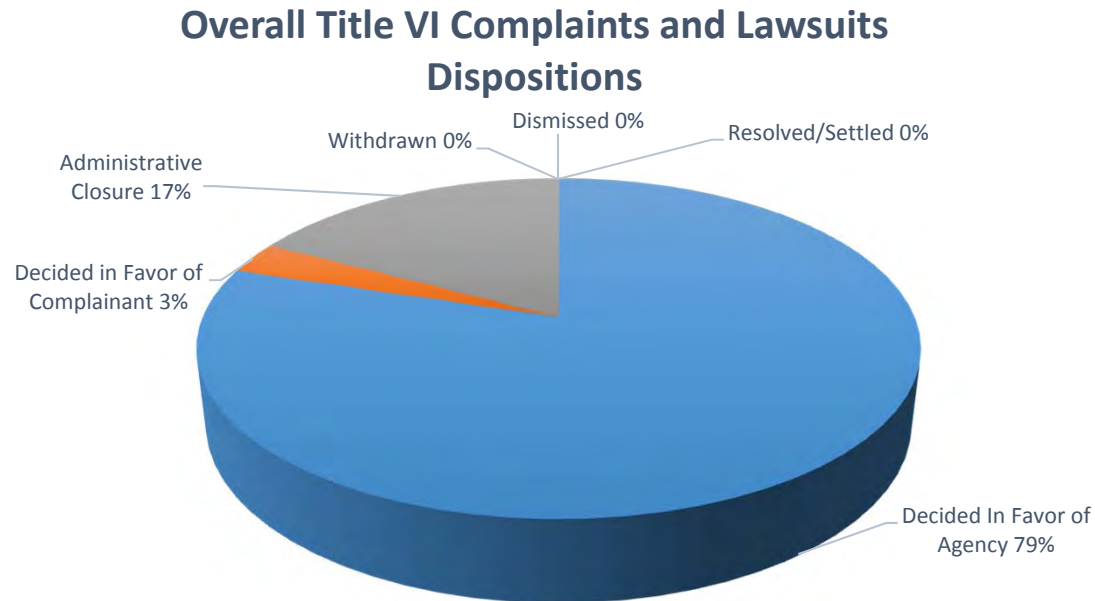
MTA handled a total of **261** Title VI complaints with **286** bases and **0** Title VI lawsuits.

Agency	Complaints	Bases	Race	Color	National Origin
BUS	83	90	67%	6%	28%
LIRR	16	23	61%	17%	22%
MNR	14	14	93%	0%	7%
NYCT	148	159	68%	6%	26%

Note: Complaints can be filed alleging multiple bases.



## MTA-Wide Title VI Complaints and Lawsuits Dispositions January 1, 2019 to June 30, 2019



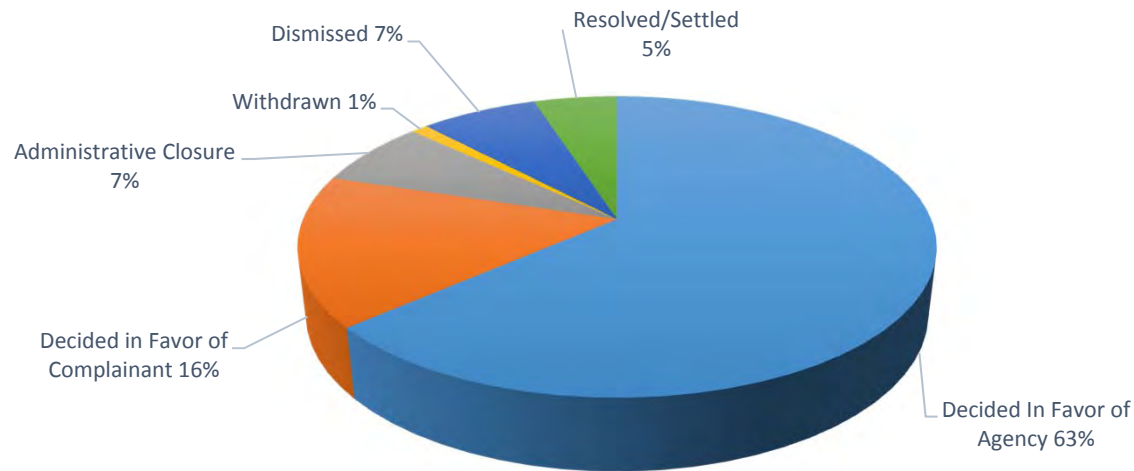
MTA disposed of **92** Title VI complaints and **0** Title VI lawsuits

- ❑ **79%** complaints decided in favor of the agency.
- ❑ **3%** complaints decided in favor of the complainant.
- ❑ **17%** complaints were administrative closures.
- ❑ **0%** complaints were dismissed.
- ❑ **0%** complaints were resolved/settled.



## MTA-Wide EEO Complaints and Lawsuits Dispositions January 1, 2019 to June 30, 2019

**Overall EEO Complaints and Lawsuits Dispositions**



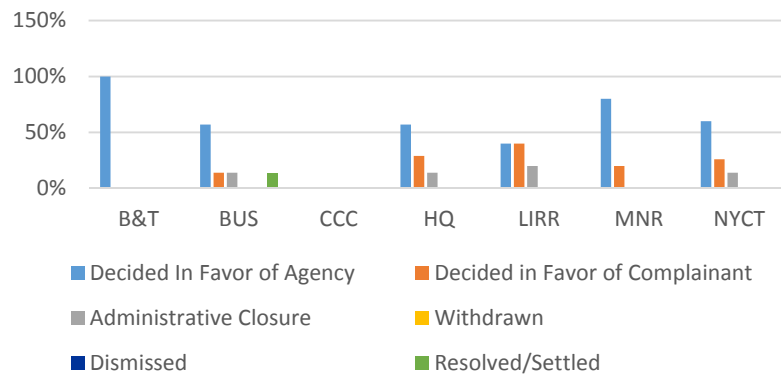
MTA disposed of **101** EEO complaints and **11** EEO lawsuits.

- ❑ **63%** complaints/lawsuits decided in favor of the agency.
- ❑ **16%** complaints /lawsuits decided in favor of the complainant.
- ❑ **7%** complaints/lawsuits were administrative closures.
- ❑ **1%** complaints/lawsuits were withdrawn.
- ❑ **7%** complaints/lawsuits were dismissed.
- ❑ **5%** complaints/lawsuits were resolved/settled.

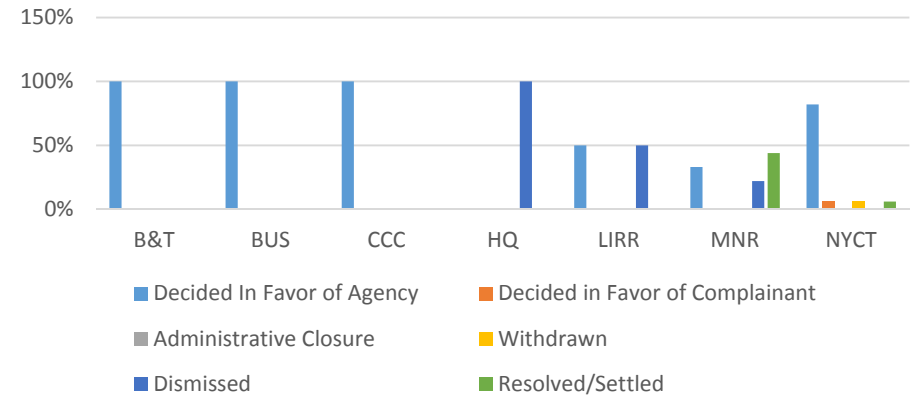


# MTA-Wide Internal/External EEO Complaints and Lawsuits Dispositions January 1, 2019 to June 30, 2019

## EEO Internal Complaint Dispositions



## EEO External Complaint and Lawsuits Dispositions



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

## MTA Small Business Development Program Business Development Initiatives and MWDBE Results

September 23, 2019





# 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 \$3.0 million
- Fast-Track Payments – 10 Business Days



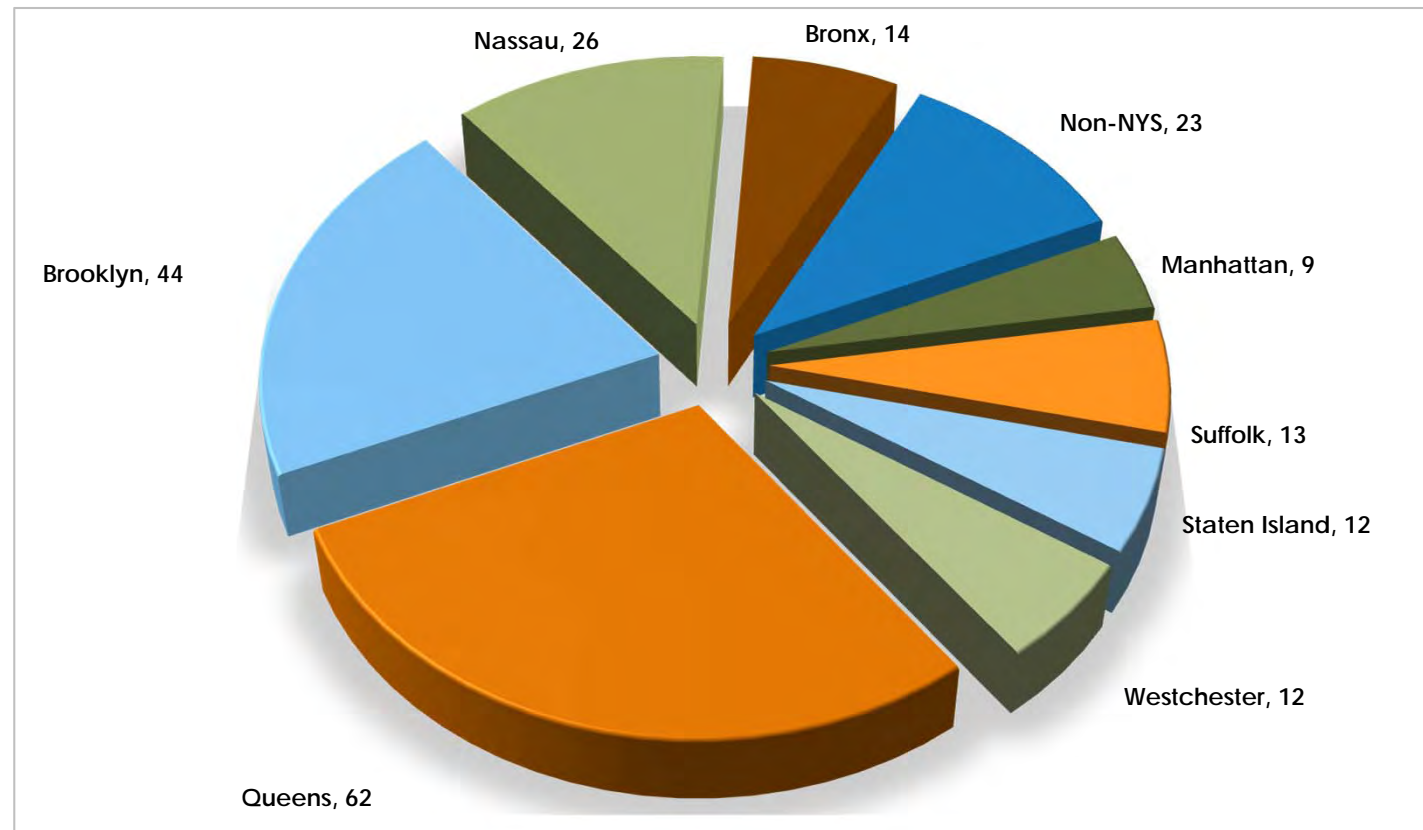
# SBDP Represents NY Metro Region

## Small Business Mentoring Program All Tiers

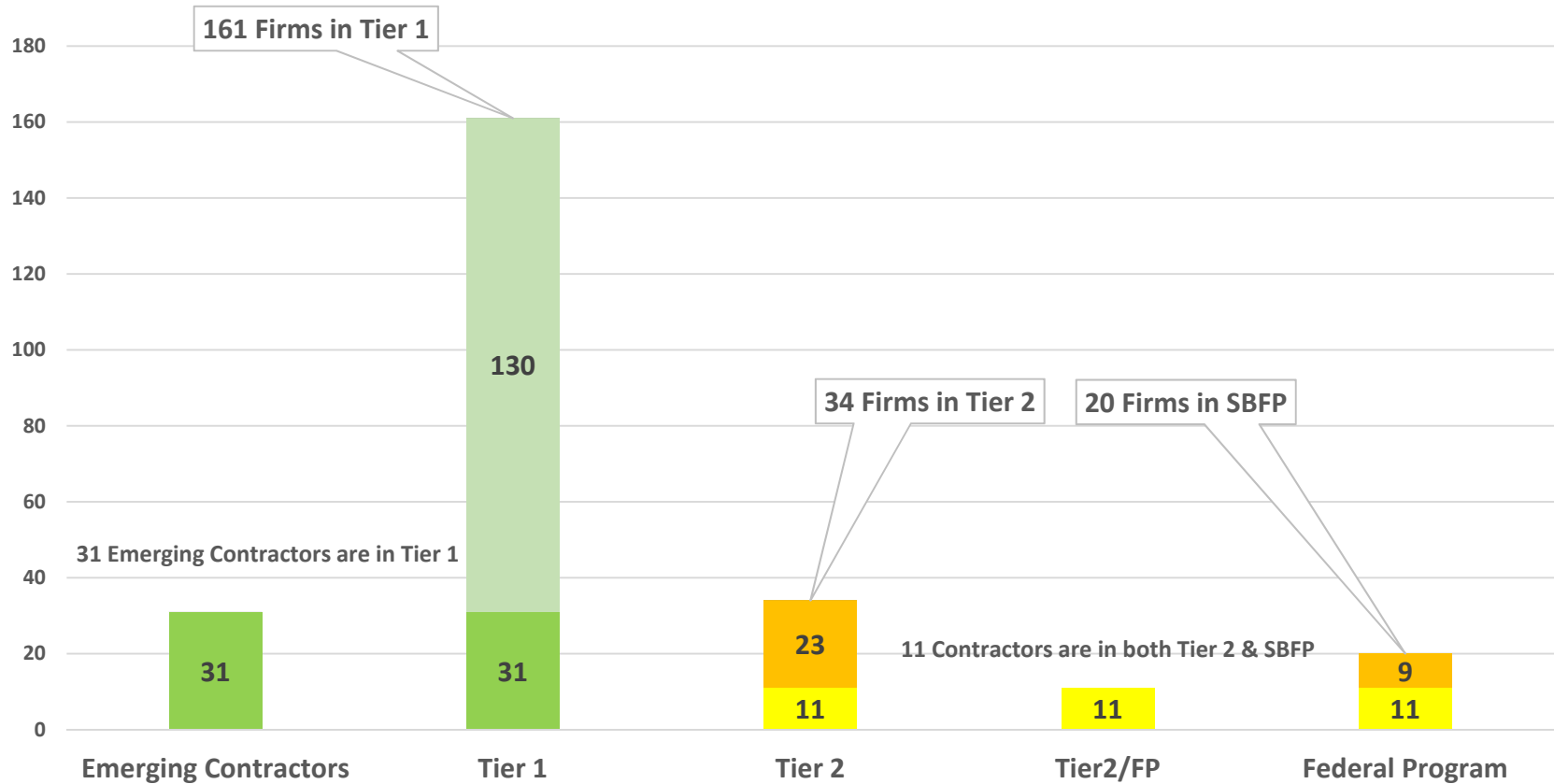
Certification *	
MBE	137
WBE	27
DBE	55
SDVOB	8
Non-Certified	50

*\* firms may have multiple certifications*

215 Prequalified Firms (as of June 30, 2019)



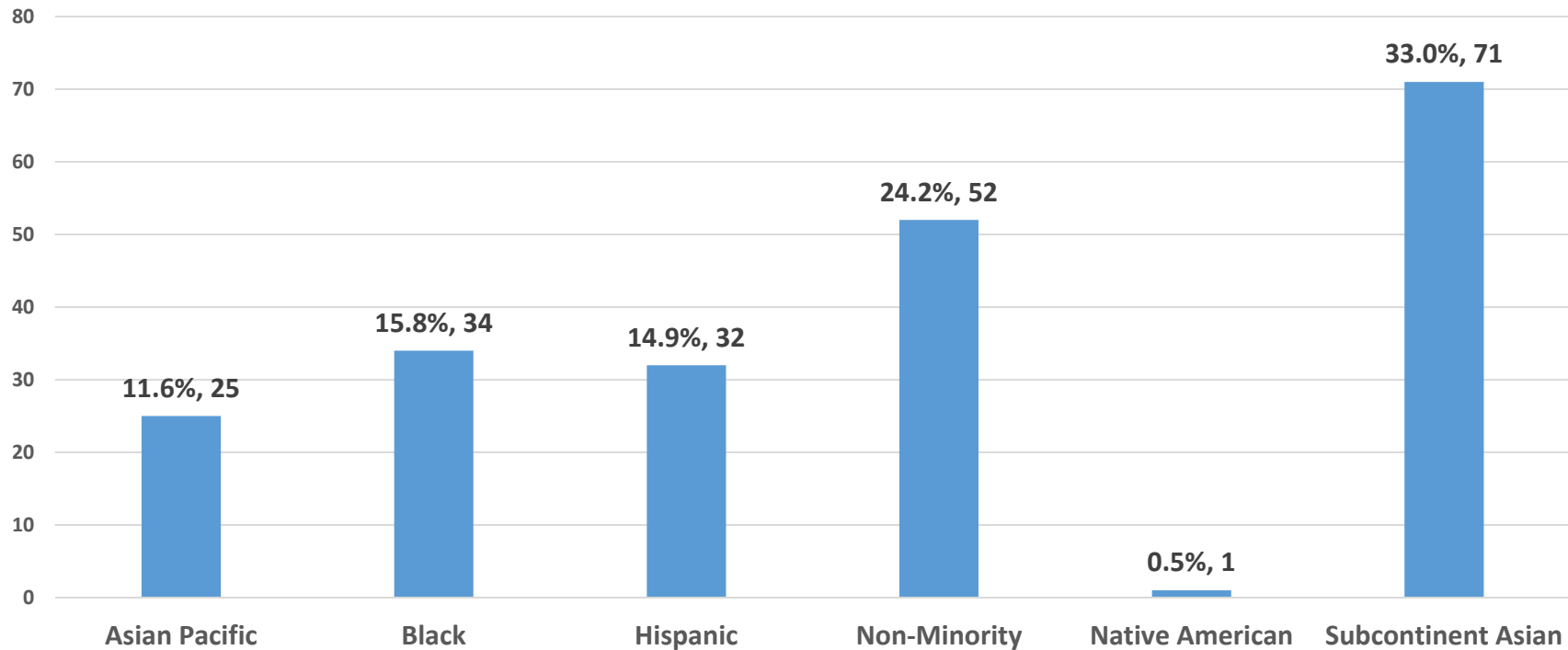
# SBDP Tier Participants



as of June 30, 2019



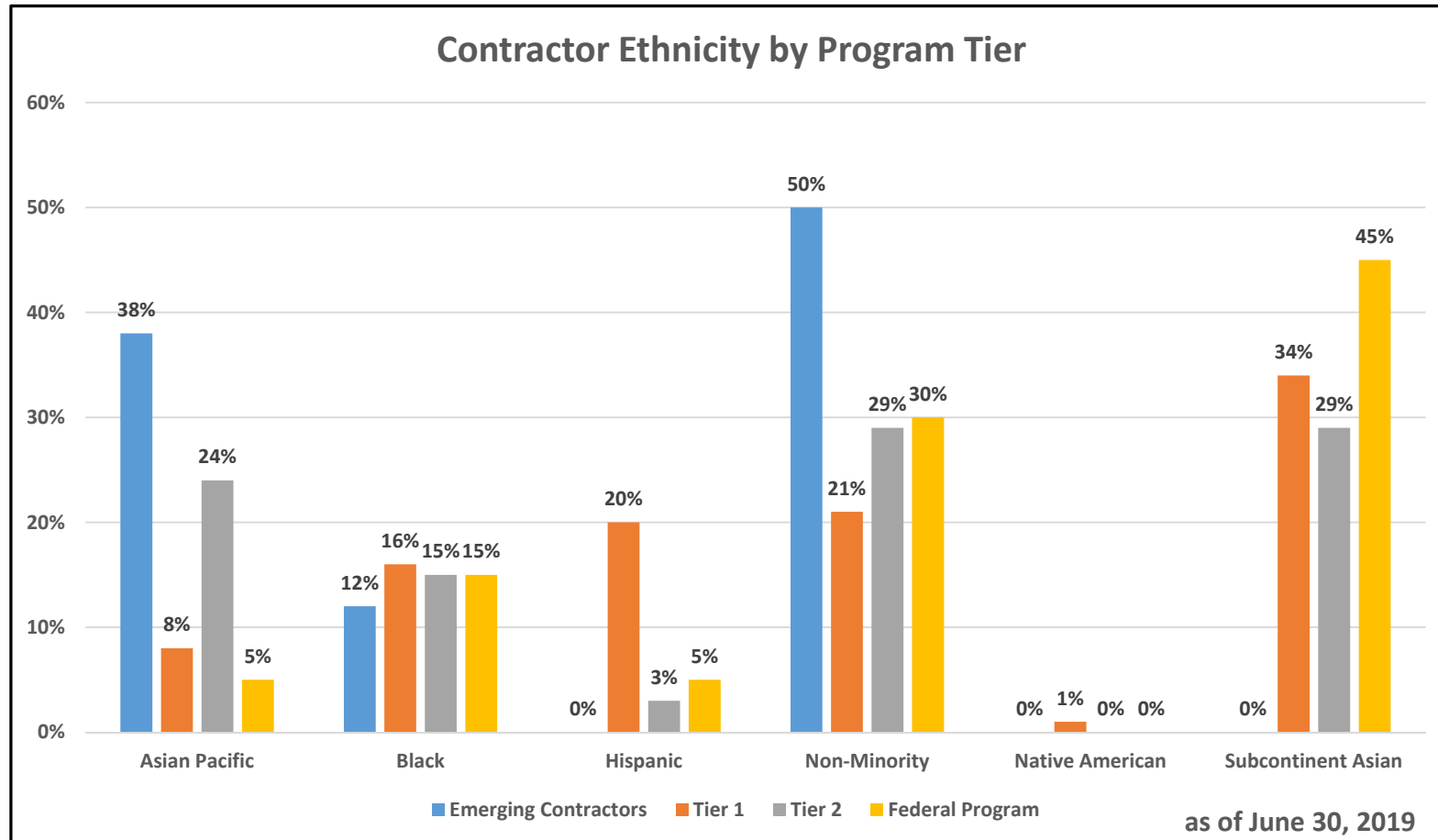
# SBDP Participants are Diverse



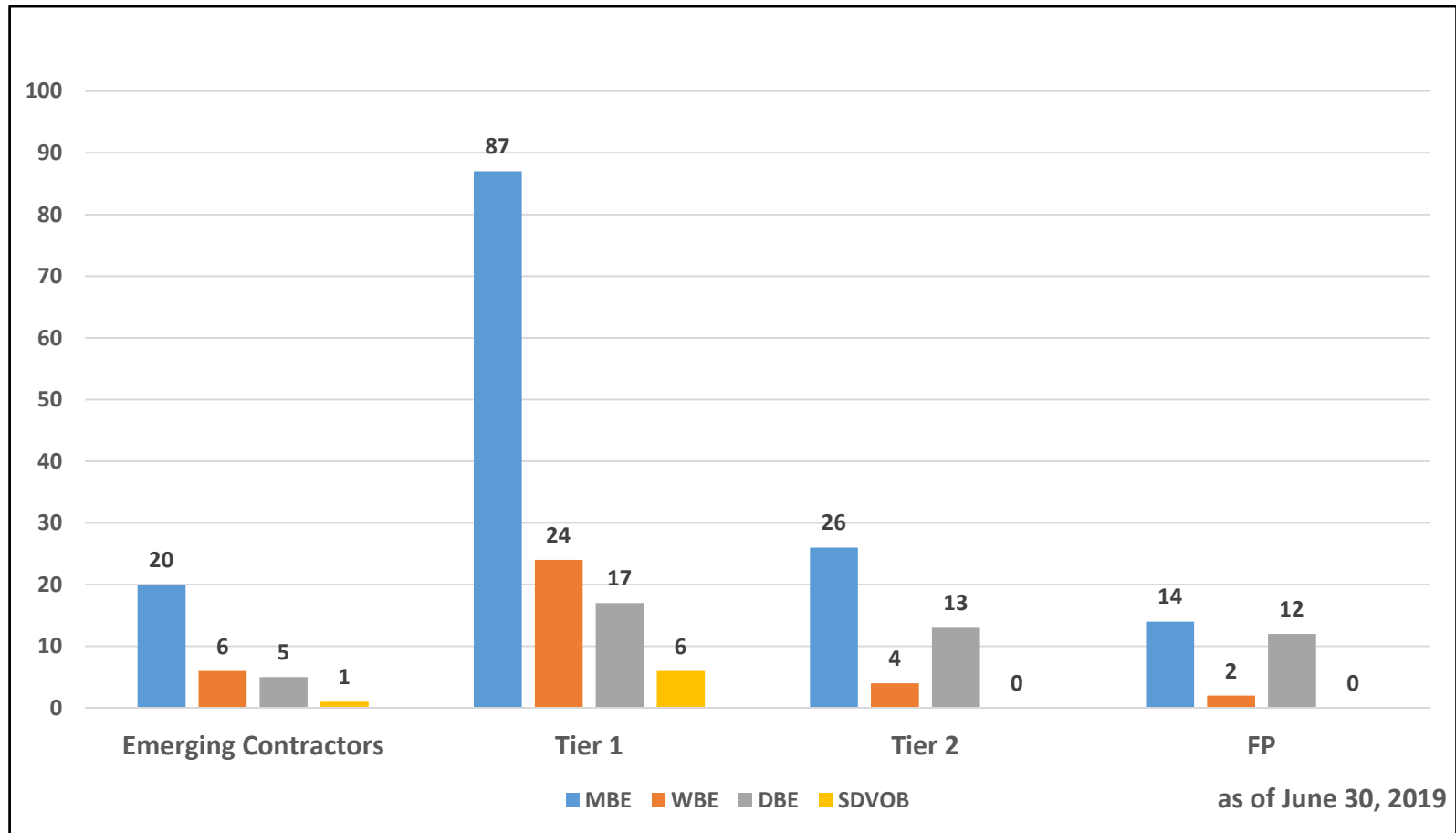
as of June 30, 2019



# SBDP Tiers are also Diverse



# SBDP Certifications



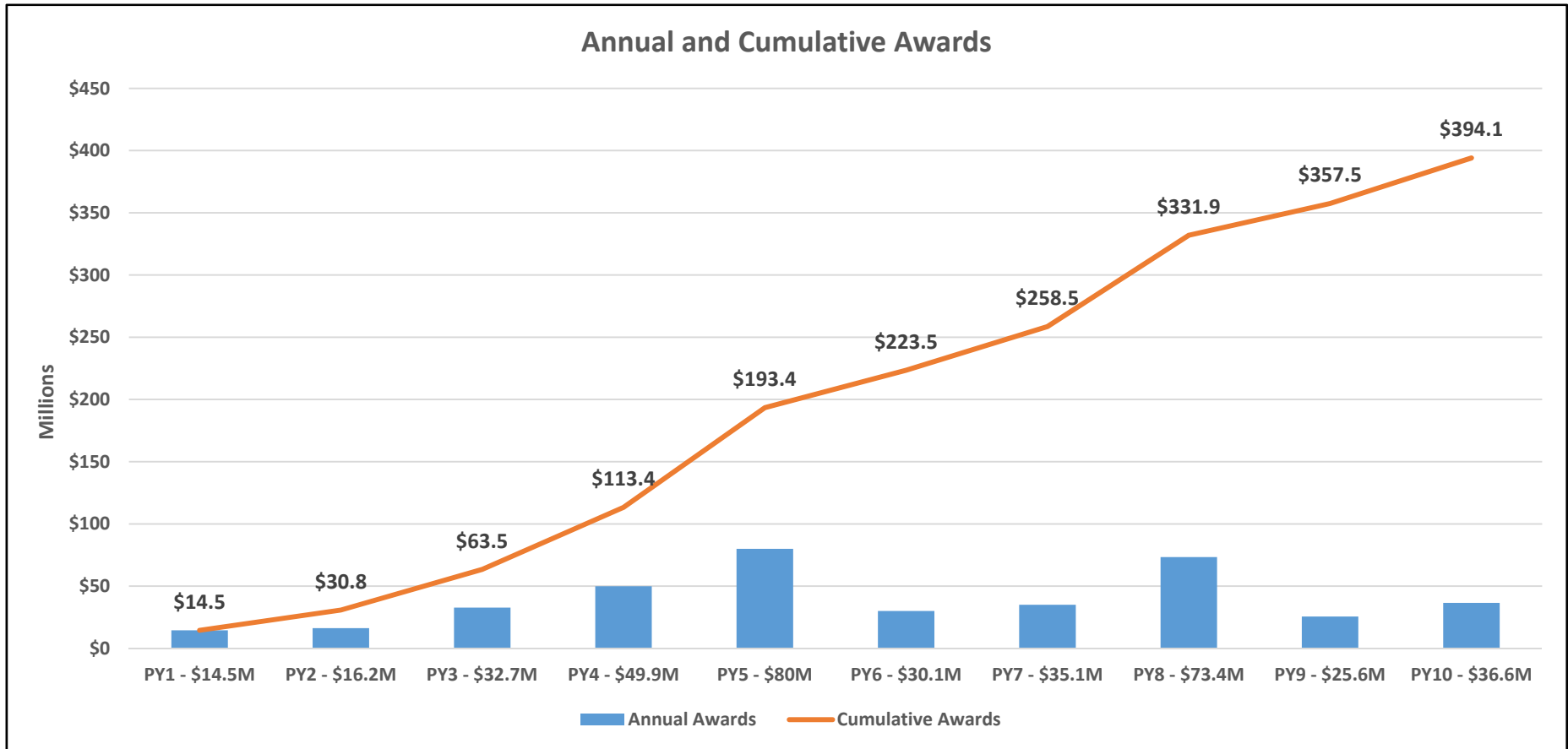
# SBDP is Exceeding MWDBE Goals

- MTA MWBE SBMP Tier 1/Tier 2 Goal – **30%**
- MTA DBE Goal – **18%**
- MTA SDVOB Goal - **6%** (Initiated during Program Year 7)
- Tier 1 MWBE Achievements
  - **70%** - contracts awarded to NYS-certified MWBEs
  - **69%** - contract dollars awarded to NYS-certified MWBEs
- Tier 2 MWBE Achievements
  - **90%** - contracts awarded to NYS-certified MWBEs
  - **91%** - contracts dollars awarded to NYS-certified MWBEs
- Federal Program DBE Achievements
  - **59%** - contracts awarded to DBEs
  - **57%** - contracts dollars awarded to DBEs
- SDVOB Achievements
  - **10%** - contracts awarded to SDVOBs
  - **2%** - contract dollars awarded to SDVOBs





# SBDP Prime Contract Opportunities

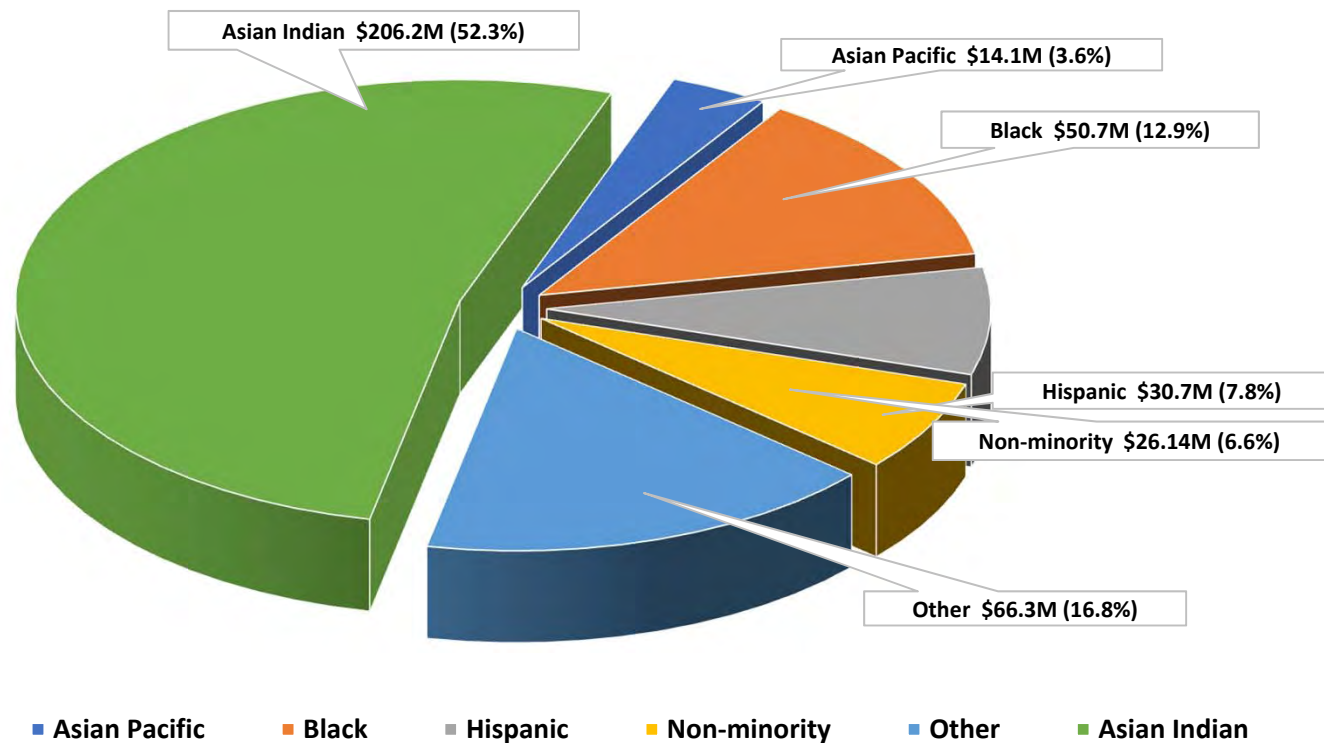


Program Year 1-10 awards through June 30, 2019

# SBDP Contract Awards

## Total SBDP Contract Awards by Ethnic/Gender Categories

Awards in Millions	
Ethnicity	Awards
Asian Pacific	\$14.1
Black	\$50.7
Hispanic	\$30.7
Non-minority	\$26.1
Other	\$66.3
Asian Indian	\$206.2



Contract Awards through June 30, 2019



# SBDP Loan Program

 Year 1	1 Loan	totaling \$ 100,000
 Year 2	5 Loans	totaling \$ 687,500
 Year 3	9 Loans	totaling \$ 900,000
 Year 4	27 Loans	totaling \$2,990,000
 Year 5	16 Loans	totaling \$3,020,000
 Year 6	14 Loans	totaling \$2,142,500
 Year 7	18 Loans	totaling \$2,770,500
 Year 8	13 Loans	totaling \$2,155,000
 Year 9	8 Loans	totaling \$ 697,000
 Year 10	6 Loans	totaling \$1,035,000
<b>Total</b>	<b>117 Loans</b>	<b>Totals \$16,497,500</b>

Maximum Loan Available:

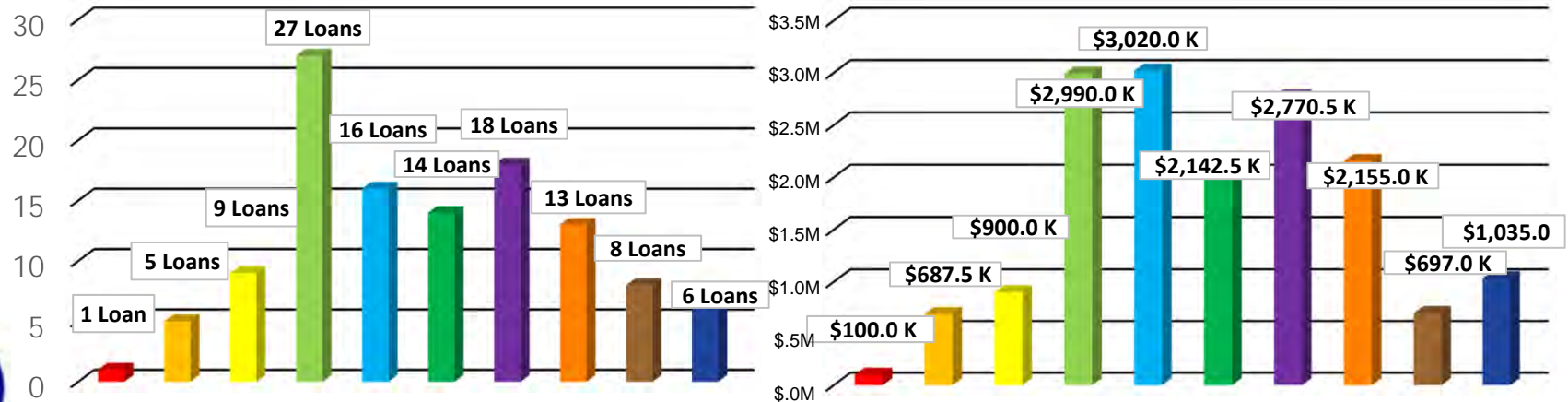
SBMP up to \$150,000

SBFP up to \$900,000

Loan values shown are through June 30, 2019

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

Year 9 now represents activity from August 1<sup>st</sup> 2018 to December 31<sup>st</sup>, 2018  
Year 10 represents calendar year 2019.



# SBDP Awards

➤ PY'10 – PY'19	SBMP-Tier 1	Awards total	<b>\$164.4</b> Million
➤ PY'15 – PY'19	SBMP-Tier 2	Awards total	<b>\$125.9</b> Million
➤ PY'13 – PY'19	SBFP	Awards total	<b>\$103.8</b> Million



# SBDP Facilitates Bonding and Growth

- Tier 2 and Federal Program contractors currently carry \$179.7M in single and \$344.5M in aggregate bonding capacities collectively. The SBDP Bond Assistance Program yielded \$36.0M single and \$53.0 aggregate.
- 947 bid opportunities in the Tier 2 and Federal Programs
- 121 contract awards
- Ongoing consultation with contractors to maximize bidding opportunities by increasing bonding capacity
- Engaging Tier 1 contractors 24-36 months before graduation to ensure access to bonding and eligibility for the Tier 2 and the Federal Program



# TRAINING IS INTEGRAL TO SUCCESS

- 589 firms have completed the training since the inception of the program
- Over **190** classroom training dates completed from July 2010 through June 2019
- Over **1,600** hours of classroom training provided from July 2010 through June 2019
- All prequalified contractors complete a mandatory 13-session training program
- 35 course attendees in the previous training sessions
  - assisting them through the application and pre-qualification process
- Supplementary training opportunities in 2019
  - Leadership Institute – **10 courses** to supplement mandatory training curriculum
  - Industry leaders presenting important topics including DBE Fraud, Marketing, PLAs, Strategic Business Development, Public Speaking & Presentation Skills



# Training Classes Continue to Evolve

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



# Assessments Plot a Course of Action

- Contractor Assessments lead to detailed Action Plans
- Identifying existing and future needs
- Creating SMART Plans with each contractor
  - **S**pecific
  - **M**easurable
  - **A**greed Upon
  - **R**ealistic
  - **T**ime-bound
- **321** In-Person Assessments Completed
- **315** Action Plans Delivered
- Regular follow up with contractors on progress





# Benefits Of The Program

- Uniform Set of Front End Bid Documents for All Agencies: NYCT, MNR, B&T, LIRR, MTA BUS, and MTACC
- Payments – within 10 business days
- Awards SBMP & SBFP – within 22 business days
- Closeouts SBMP & SBFP – within 20 & 30 business days respectively
- Change Orders – within 15 business days
- Submittals – within 10 business days
- RFIs – within 5 business days



# SBDP Contractors are Finding Success

- **Twenty-six (26) Tier 1** contractors graduated in **2019**
- **Six (6)** additional **Tier 1** contractors exceeded revenue thresholds in **2019**
- **Seventeen (17) Tier 2 / SBFP** contractors graduated in **2019**
- **Three (3)** additional **Tier 2 / SBFP** contractors exceeded revenue thresholds in **2019**
- Current SBDP contractors are bidding and winning MTA projects outside of the program
- SBDP contractors are winning projects at other NY area agencies including the NYC School Construction Authority, Port Authority of NY & NJ, State University of NY, and NYC Department of Design and Construction



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

M/W/DBE and SDVOB  
Contract Compliance

September 23, 2019

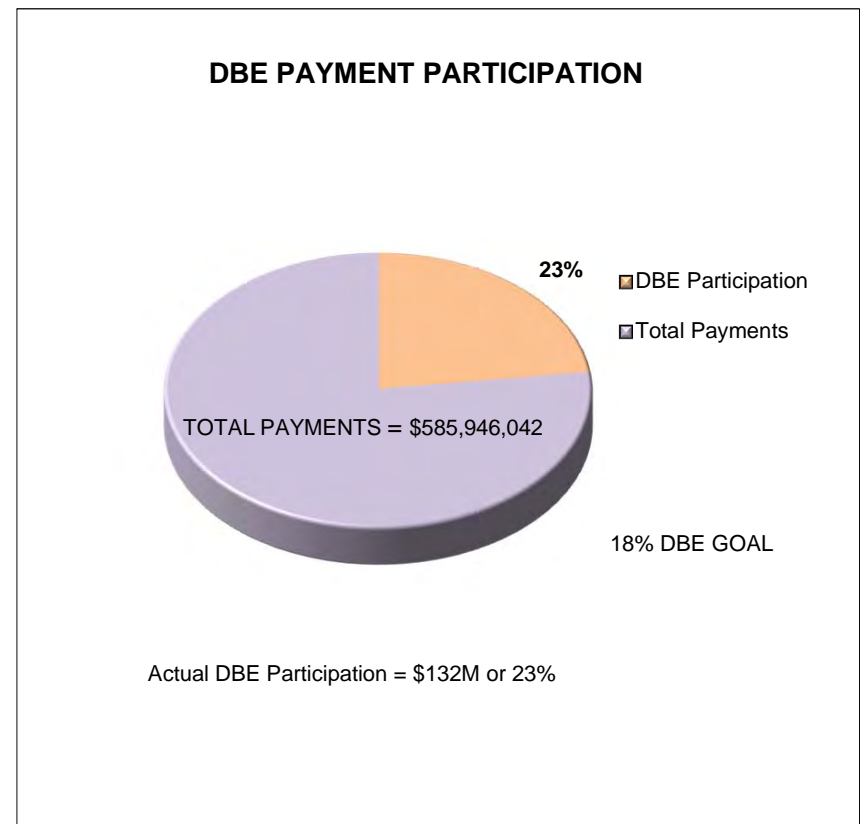
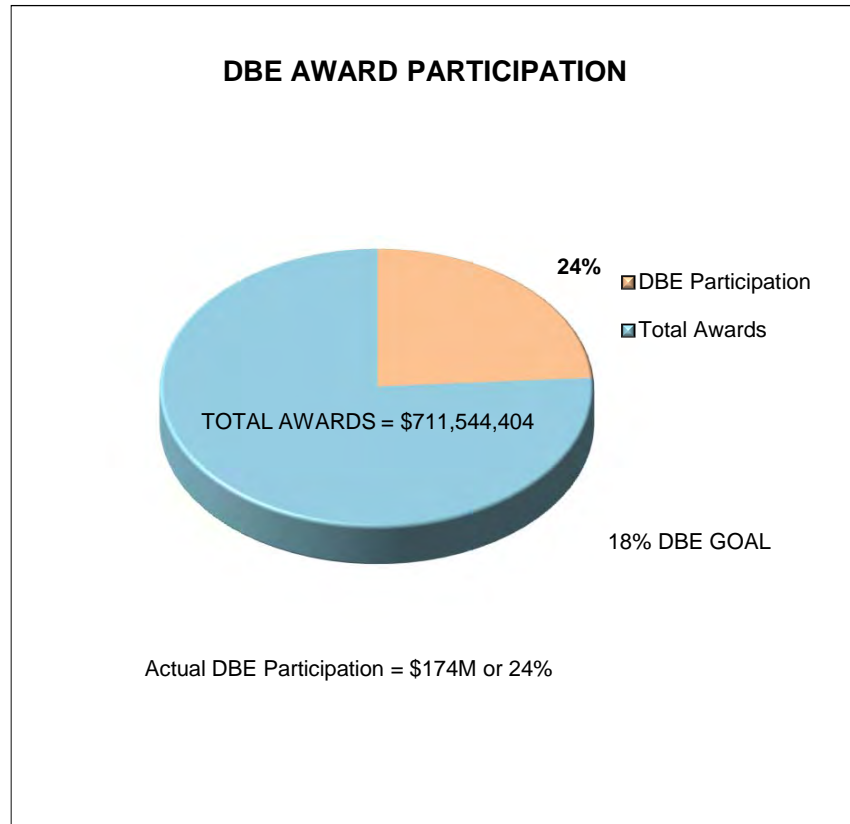


**DBE Participation in Federally Funded Contracts  
Federal Fiscal Year 2019\*  
(Reporting Period: October 1, 2018 to March 31, 2019)**

- Each year, MTA reports to the Federal Transit Administration on a semi-annual basis DBE participation in federally funded contracts.
- Reports are submitted on June 1st -- covering October through March, and December 1st -- covering April through September. The December report also summarizes data for the entire Federal Fiscal Year ("FFY").
- Reports include DBE participation data on new awards and payments on ongoing, and completed contracts.
- For FFY 2019, MTA's DBE goal is 18%.
- During the first half of FFY 2019, MTA awarded \$712 billion in the federally funded portion of contracts, with \$174 million (24%) being awarded to certified DBEs.
- During the first half of FFY 2019, MTA paid prime contractors \$586 million, with payments to certified DBEs totaling \$132 million (23%).
- On contracts closed during the first half of FFY 2019, MTA achieved 16% DBE participation.

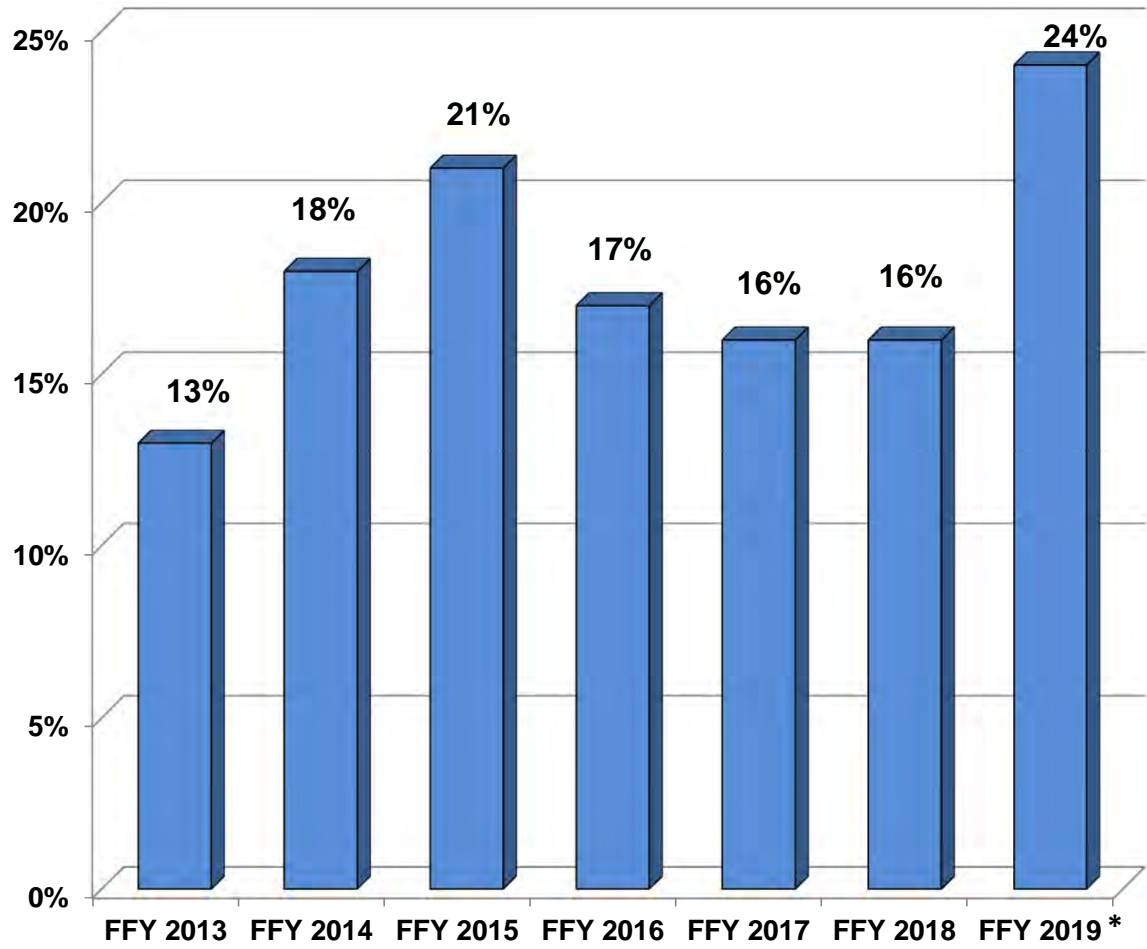
\*First half of the Federal Fiscal Year 2019.

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



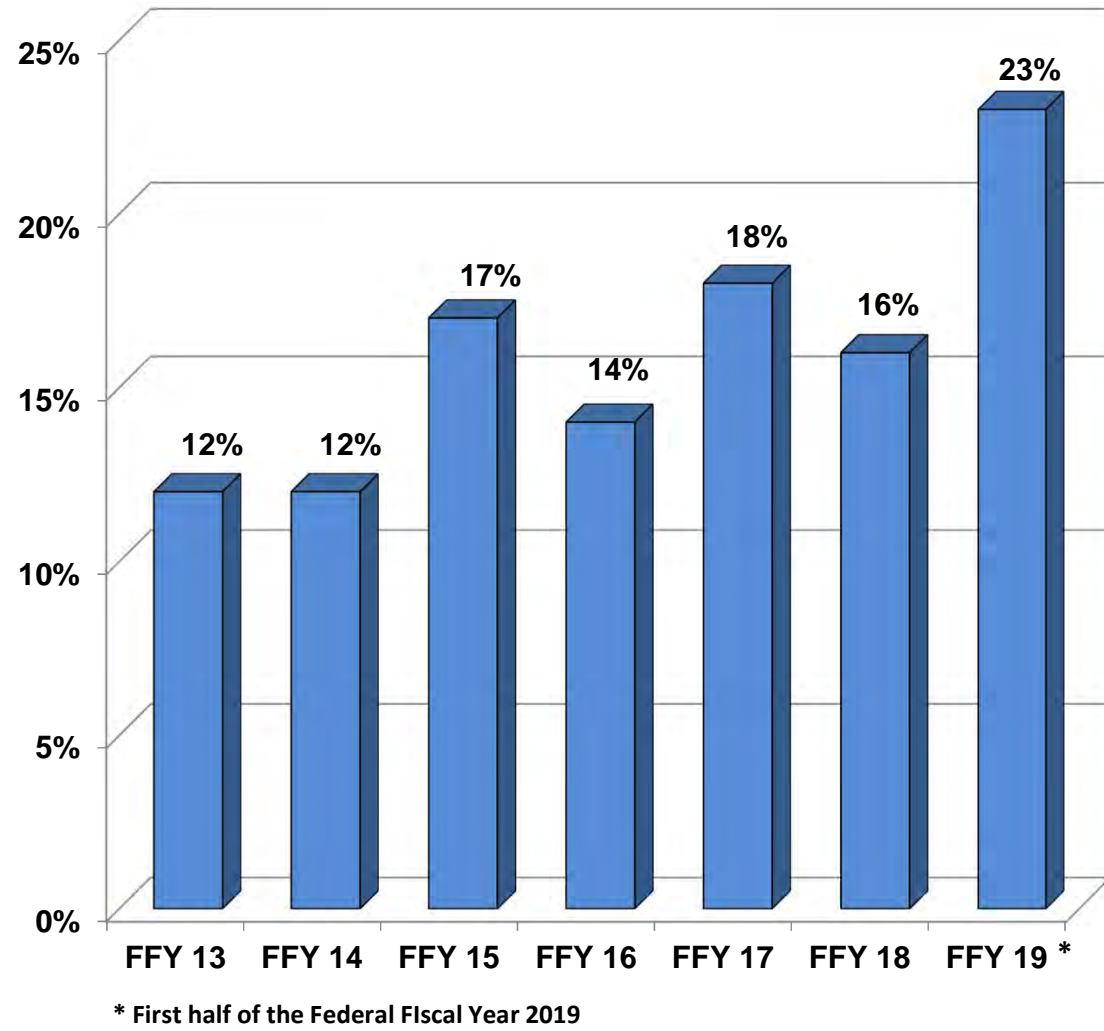
\*First half of the Federal Fiscal Year 2019

**DBE CONTRACT AWARDS**  
**October 2013 - March 2019**



\* First half of the Federal Fiscal Year 2019

**DBE CONTRACT PAYMENTS**  
**October 2013 - March 2019**



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

**AWARDS\***

CONTRACT AWARDS	PRIME AWARDS		DBE PARTICIPATION			OVERALL FTA GOAL
	Number of Contracts	Award Amount	Number of DBE Contracts	DBE Award Amount	% To Agency Total	
<b>1st SEMI-ANNUAL REPORT</b>	373	\$711,544,404	175	\$174,150,552	24%	18%
<b>October 2018- March 2019</b>						
<b>TOTAL **</b>	<b>373***</b>	<b>\$711,544,404</b>	<b>175</b>	<b>\$174,150,552</b>	<b>24%</b>	<b>18%</b>

**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	
<b>1st SEMI-ANNUAL REPORT</b>	657	\$585,946,042	236	\$131,912,566	23%	18%
<b>October 2018- March 2019</b>						
<b>TOTAL</b>	<b>657</b>	<b>\$585,946,042</b>	<b>236</b>	<b>\$131,912,566</b>	<b>23%</b>	<b>18%</b>

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

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

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



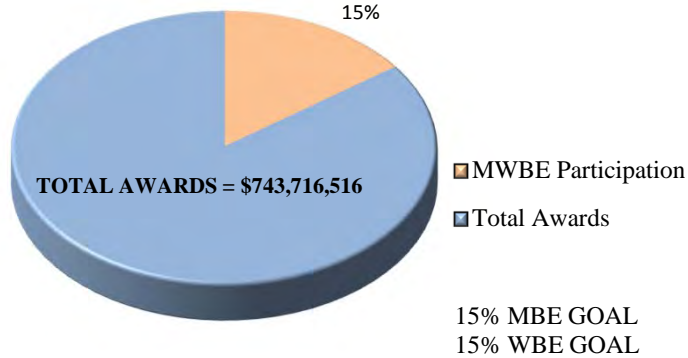
## **MWBE Participation in State Funded Contracts New York State Fiscal Year 2019-2020\***

- 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 2019-2020, starting April 1, 2019.
- From April 1, 2019 to June 30, 2019, MTA awarded \$744 million in New York State funded contracts, with \$108 million (15%) awarded to certified MWBEs.
- From April 1, 2019 to June 30, 2019, MTA paid \$703 million on prime contracts with \$201 million (29%), paid to MWBEs.

\*The State Fiscal Year runs from April 1<sup>st</sup> through March 31<sup>st</sup>.

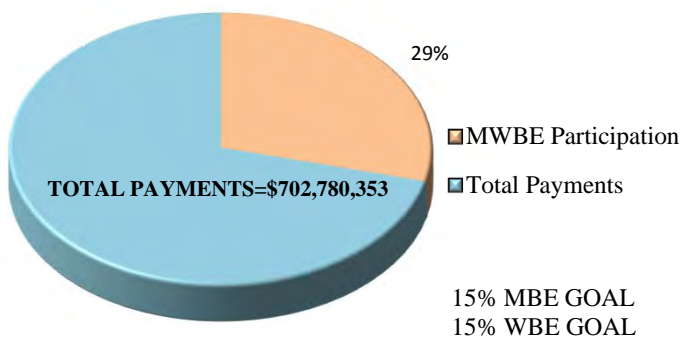
**MWBE CONTRACT ACTIVITY**  
**NEW YORK STATE FISCAL YEAR 2019-2020 (APRIL 2019-JUNE 2019)**

**MWBE AWARD PARTICIPATION**



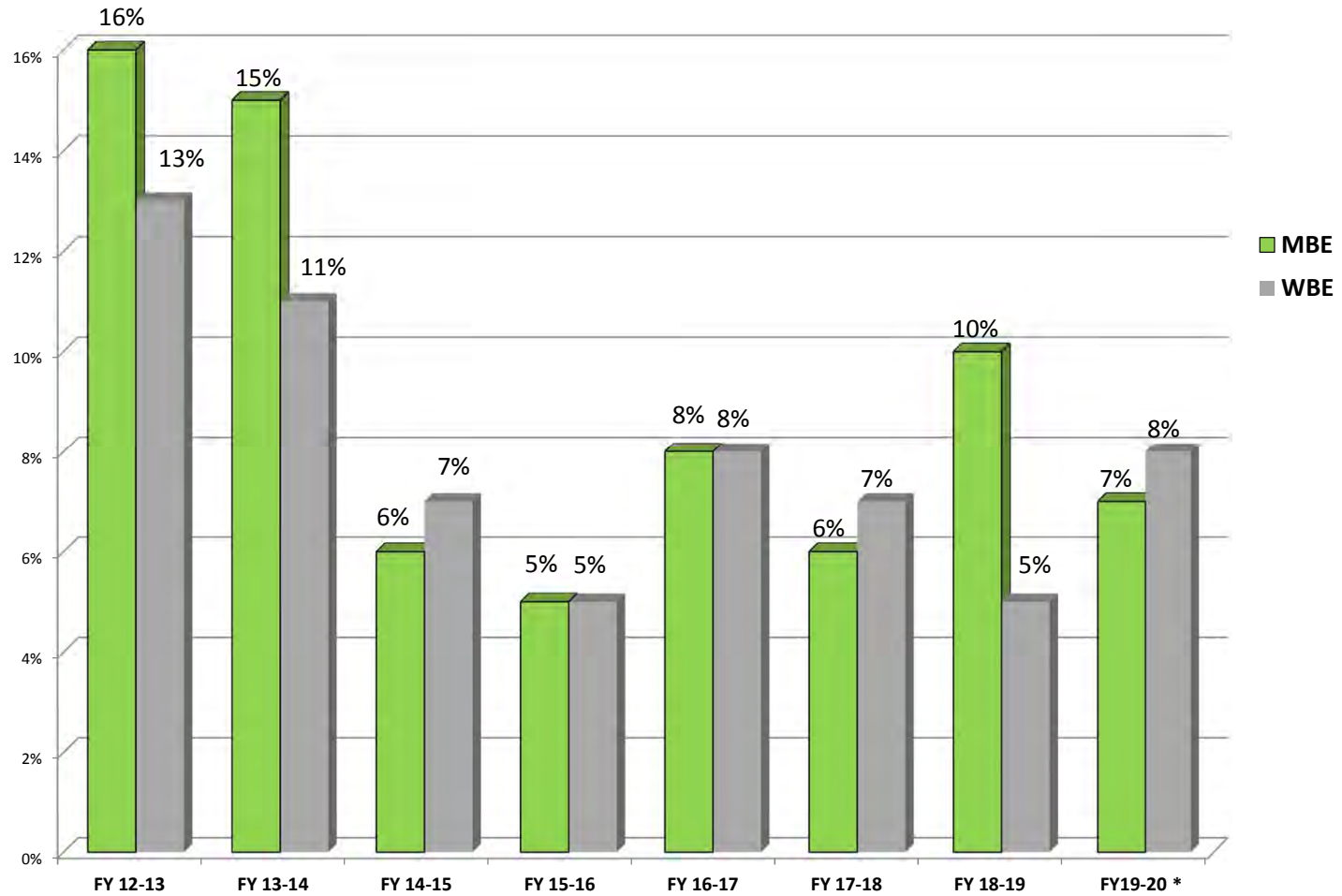
**Actual MWBE Participation = \$108M or 15%**

**MWBE PAYMENT PARTICIPATION**



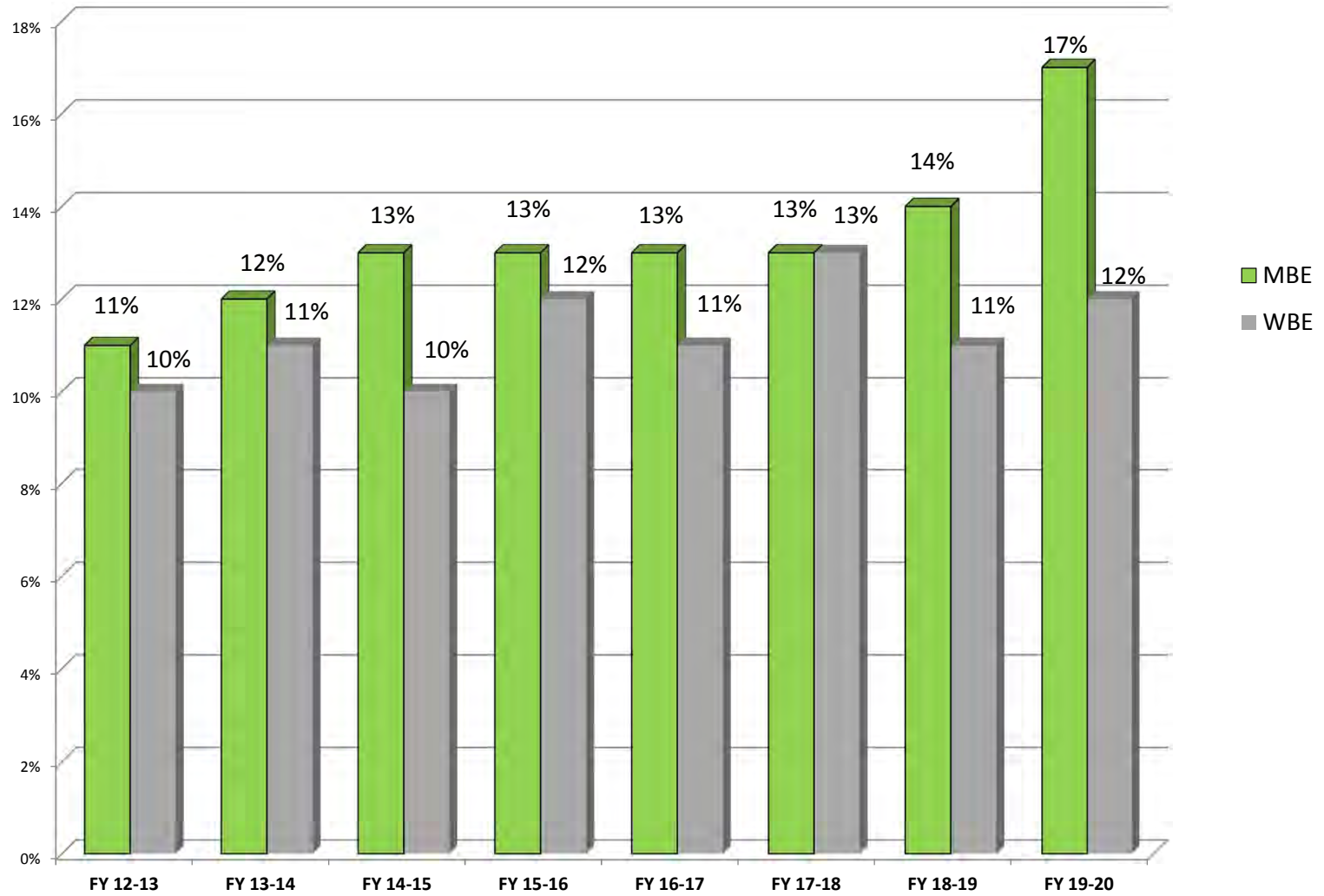
**Actual MWBE Participation = \$201M or 29%**

# NYS MWBE AWARDS APRIL 2012 - JUNE 2019



\* FY 2019-2020, first quarter (April 2019 to June 2019).

## NYS MWBE PAYMENTS APRIL 2012- JUNE 2019



\* FY 2019-2020, first quarter (April 2019 to June 2019).

**NYS CONTRACTS  
MWBE CONTRACT ACTIVITY  
APRIL 1, 2019 - JUNE 30, 2019**

**AWARDS**

<b>CONTRACT AWARDS</b>	<b>PRIME AWARDS</b>		<b>MWBE AWARDS</b>			<b>NYS Goal</b>
	<b>Number of Contracts</b>	<b>Award Amount</b>	<b>Number of MWBE Subcontracts</b>	<b>MWBE Award Amount</b>	<b>MWBE %</b>	
FIRST QUARTER	17,899	\$743,716,516	1,352	\$108,290,177	15%	30%
APRIL 2019-JUNE 2019						
<b>TOTAL</b>	<b>17,899</b>	<b>\$743,716,516</b>	<b>1,352</b>	<b>\$108,290,177</b>	<b>15%</b>	<b>30%</b>

**PAYMENTS**

<b>CONTRACT PAYMENTS</b>	<b>PAYMENTS TO PRIMES</b>		<b>MWBE PARTICIPATION</b>			<b>NYS Goal</b>
	<b>Number of Contracts</b>	<b>Payment Amount</b>	<b>Number of MWBE Contracts</b>	<b>MWBE Payment Amount</b>	<b>MWBE %</b>	
FIRST QUARTER	3,756	\$702,780,353	3,756	\$201,303,685	29%	30%
APRIL 2019-JUNE 2019						
<b>TOTAL</b>	<b>3,756</b>	<b>\$702,780,353</b>	<b>3,756</b>	<b>\$201,303,685</b>	<b>29%</b>	<b>30%</b>

**SDVOB Participation in State Funded Contracts  
New York State Fiscal Year 2019-2020  
(Reporting Period: April 1, 2019 to June 30, 2019)**

- Each year, MTA reports to the Office of General Services on a quarterly basis SDVOB participation on state funded contracts.
- Reports are submitted 30 days after the end of each quarter, on January 30, April 30, July 30, and October 30.
- Reports include data on contracts with SDVOB goals and payments made to SDVOBs.
- MTA established an overall SDVOB goal of 6% for State fiscal year 2019-2020, starting on April 1, 2019.
- From April 2019 to June 2019, MTA awarded approximately \$397 million with \$8 million (2%) awarded to SDVOBs.
- From April 2019 to June 2019, MTA paid over \$189 million on prime contracts with \$6 million (3%), paid to SDVOBs.

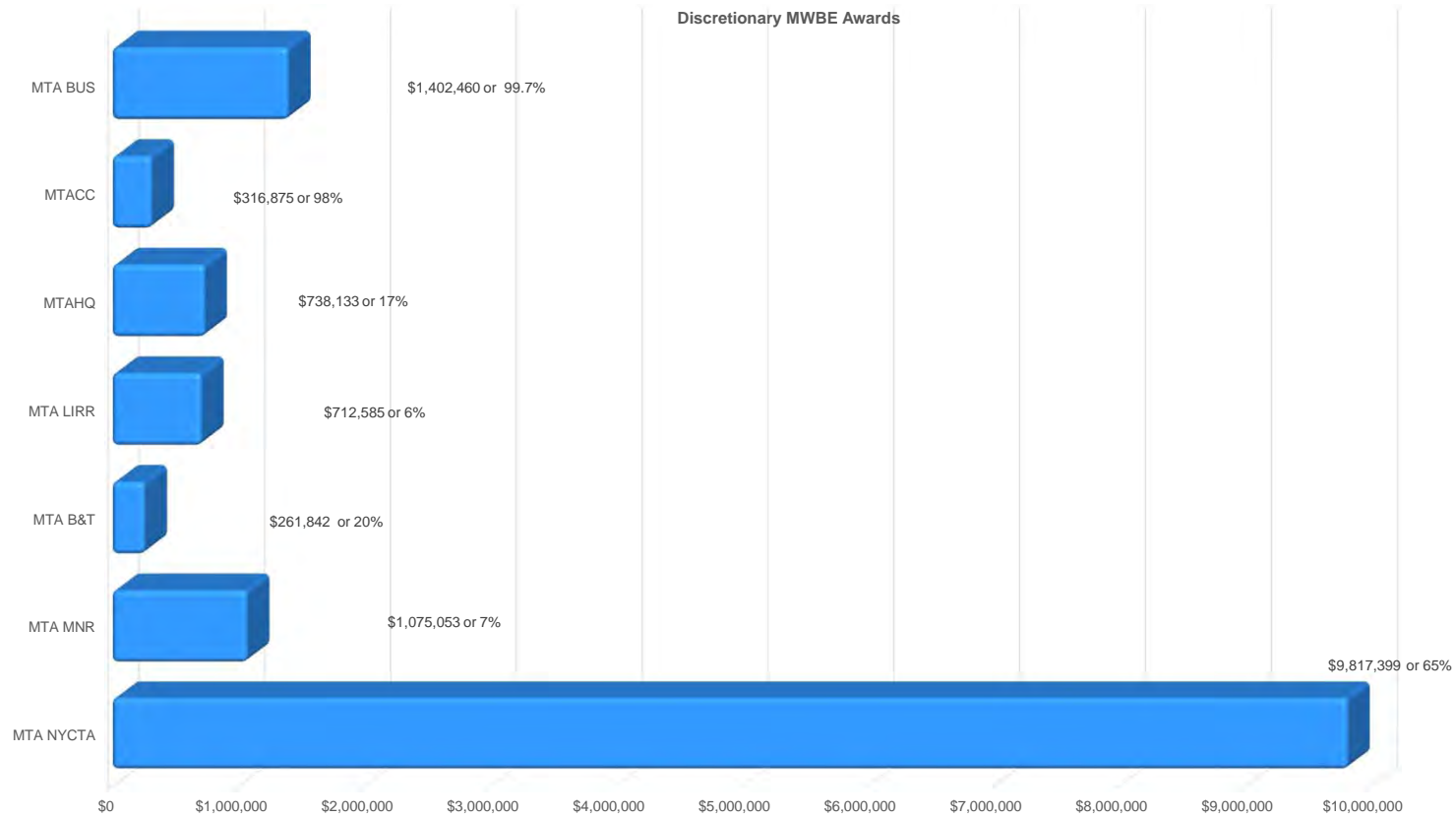
**FY 2019-2020 SDVOB CONTRACT AWARDS****APRIL 2019 - JUNE 2019**

	<b>Agency Awards</b>	<b>SDVOB Awards</b>	<b>SDVOB%</b>
FIRST QUARTER	\$397,298,623	\$7,923,481	2%
APRIL 2019-JUNE 2019			
<b>FY 2019-2020 TOTAL</b>	<b>\$397,298,623</b>	<b>\$7,923,481</b>	<b>2%</b>

**FY 2019-2020 SDVOB CONTRACT PAYMENTS****APRIL 2019 - JUNE 2019**

	<b>Agency Disbursements</b>	<b>SDVOB Disbursements</b>	<b>SDVOB%</b>
FIRST QUARTER	\$189,282,720	\$5,690,663	3%
APRIL 2019-JUNE 2019			
<b>FY 2019-2020 TOTAL</b>	<b>\$189,282,720</b>	<b>\$5,690,663</b>	<b>3%</b>

MTA ALL AGENCY  
DISCRETIONARY PROCUREMENTS REPORT\*  
APRIL - JUNE 2019



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



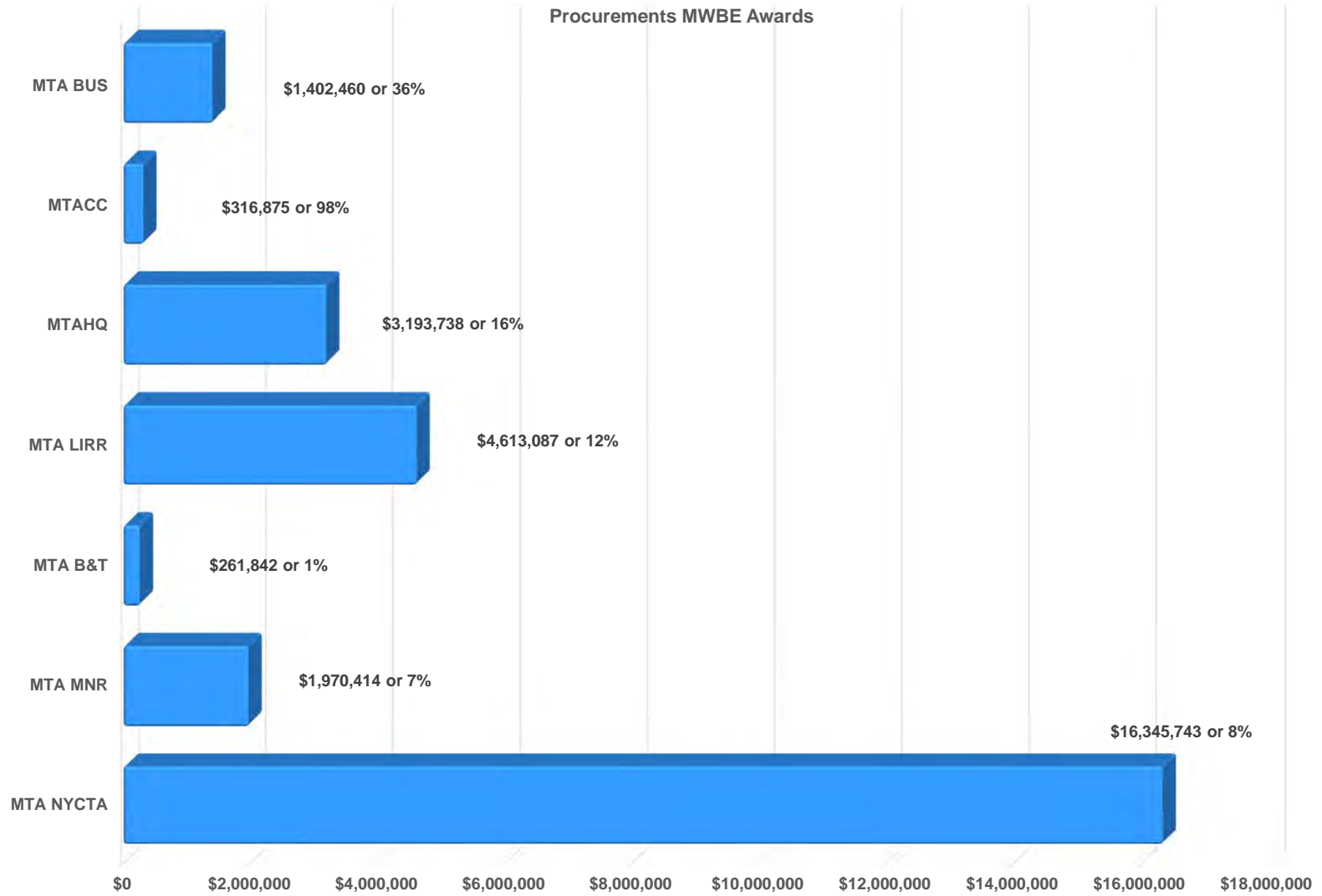
**MTA ALL AGENCY  
DISCRETIONARY PROCUREMENT REPORT\***  
**APRIL - JUNE 2019**

Agency	Total Awards \$400k or Less	MWBE Discretionary Awards	MWBE Discretionary Award Percentages	SBC** Discretionary Awards	SBC** Discretionary Award Percentages
<b>MTA NYCTA</b>	\$ 15,054,423.52	\$ 9,817,398.88	65%	\$ 1,708,810.63	11%
<b>MTA MNR</b>	\$ 14,834,361.90	\$ 1,075,053.00	7%	\$ 757,593.00	5%
<b>MTA B&amp;T</b>	\$ 1,342,292.41	\$ 261,842.00	20%	\$ -	0%
<b>MTA LIRR</b>	\$ 12,641,515.28	\$ 712,585.00	6%	\$ 441,449.28	3%
<b>MTA HQ</b>	\$ 4,424,503.41	\$ 738,133.45	17%	\$ -	0%
<b>MTA CC</b>	\$ 323,538.57	\$ 316,875.00	98%	\$ -	0%
<b>MTA BUS</b>	\$ 1,406,636.50	\$ 1,402,460.34	99.7%	\$ 4,176.16	0.3%
<b>Total</b>	<b>\$ 50,027,271.59</b>	<b>\$ 14,324,347.67</b>	<b>29%</b>	<b>\$ 2,912,029.07</b>	<b>6%</b>

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

\*\* Small Business Concerns

MTA ALL AGENCY  
TOTAL PROCUREMENTS REPORT  
APRIL - JUNE 2019



**MTA ALL AGENCY  
TOTAL PROCUREMENTS  
APRIL - JUNE 2019**

<b>Agency</b>	<b>Total Award Amount</b>	<b>Total MWBE Awards</b>	<b>MWBE</b>
<b>MTA NYCTA</b>	\$ 213,381,958.84	\$ 16,345,742.64	8%
<b>MTA MNR</b>	\$ 28,046,400.62	\$ 1,970,414.38	7%
<b>MTA B&amp;T</b>	\$ 27,670,270.81	\$ 261,842.00	1%
<b>MTA LIRR</b>	\$ 39,611,354.09	\$ 4,613,087.04	12%
<b>MTA HQ</b>	\$ 20,318,495.87	\$ 3,193,737.86	16%
<b>MTA CC</b>	\$ 323,538.57	\$ 316,875.00	98%
<b>MTA BUS</b>	\$ 3,877,803.84	\$ 1,402,460.34	36%
<b>Total</b>	<b>\$ 333,229,822.64</b>	<b>\$ 28,104,159.26</b>	<b>8%</b>

# Metropolitan Transportation Authority Department of Diversity and Civil Rights

Discretionary A&E, Legal & IT

September 23, 2019



**A/E Awards thru Discretionary Procurement January to July 2019**

#	Agency	Contract Number	Project Name & Description	Primary Trades	County	Contract Amount	Notice of Award Date	Contractor	Contractor Certification
1	B&T	14073-2800-TBTA; Work Order #16	Soil Stabilization under the Queens Approach at the Bronx-Whitestone Bridge	As-Needed Construction Administration, Inspection and Support Services		\$ 57,110	1/23/19	MP Engineers, P.C.	MBE
2	B&T	4073-4700-TBTA; Work Order #14	Major Deegan On-Ramp Pavement Repairs at the Robert F. Kennedy Bridge	As-Needed Design and Construction Support Services		\$ 204,644	1/23/19	Siddiqui Engineering, P.C	MBE
3	B&T	14073-0200 TBTA Work -Order #12	Concrete Coating & Misc. Repairs at the Henry Hudson Bridge Facility	As-Needed Construction Administration, Inspection and Support Services		\$ 261,842	7/1/19	K.S. Engineers	MBE
				<b>B&amp;T Total:</b>		<b>\$ 523,596</b>			
					<b>Total :</b>	<b>\$523,596</b>			

# IT Discretionary

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

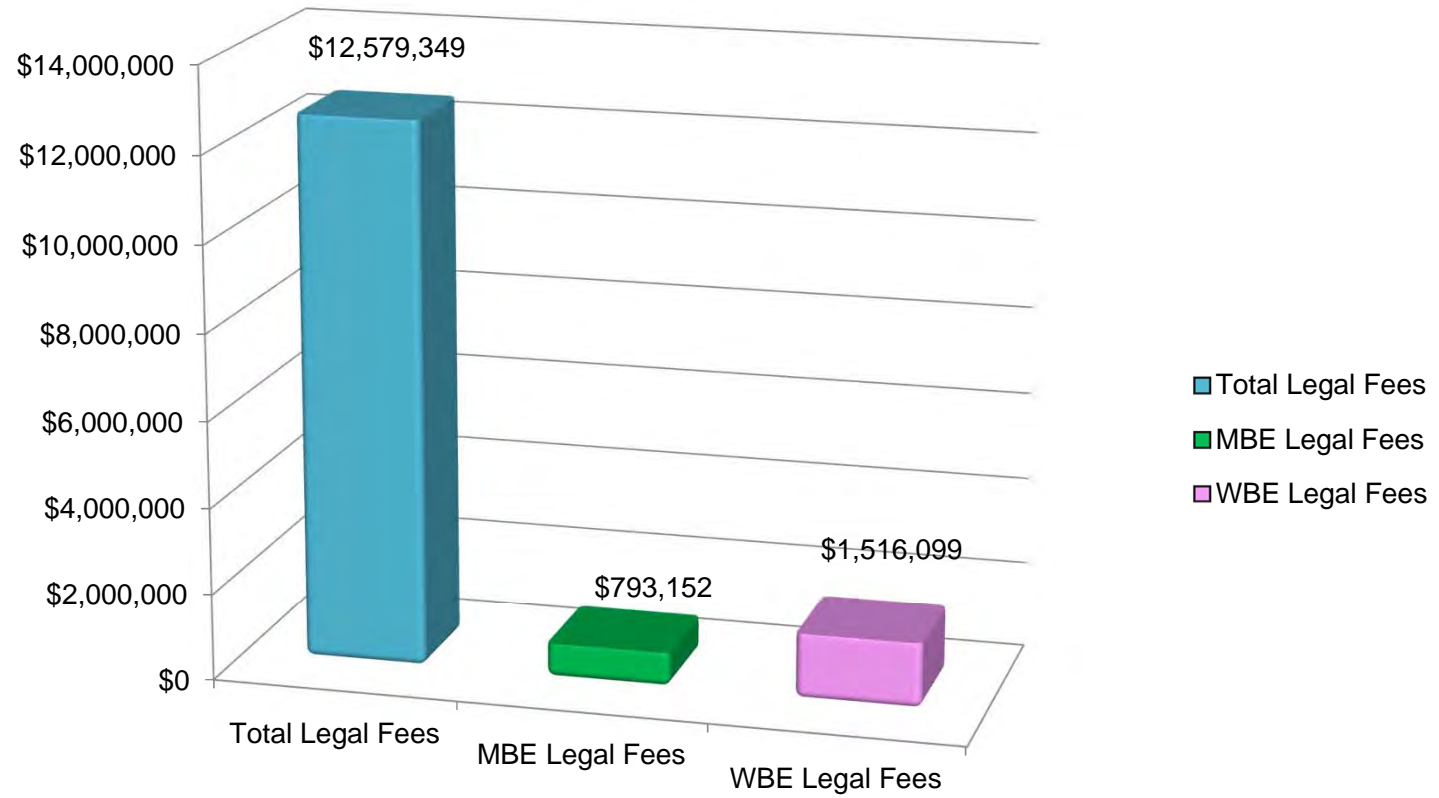
Total Number of Awards- 151

Value of Awards- \$ 18 million

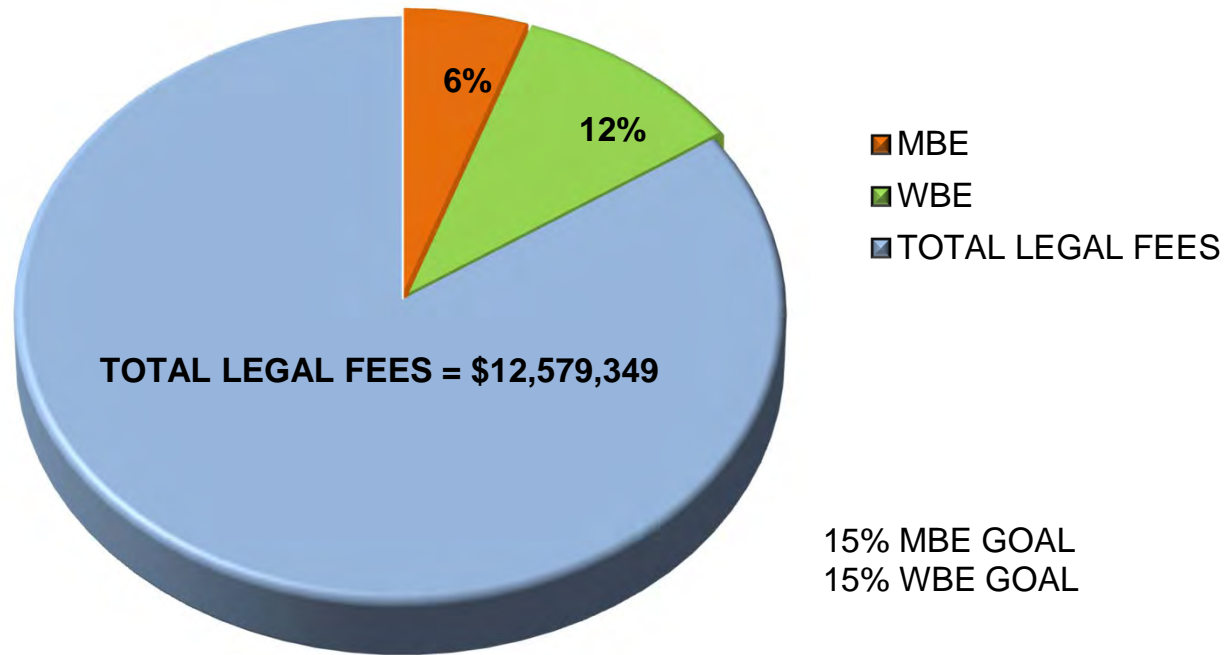
Value of Cumulative Awards- \$82 million



### MTA ALL AGENCY LEGAL FEES APRIL 2019 - JUNE 2019



**MTA ALL AGENCY LEGAL FEES  
APRIL 2019- JUNE 2019**



Actual MBE Participation = \$793,152 or 6.31%  
Actual WBE Participation = \$1,516,099 or 12.05%



**MTA ALL AGENCY LEGAL FEES PAID  
APRIL 2019 THROUGH JUNE 2019**

<b>AGENCY</b>	<b>ALL FEES PAID</b>	<b>MBE FEES PAID</b>	<b>Agency MBE PARTICIPATION</b>	<b>WBE FEES PAID</b>	<b>Agency WBE PARTICIPATION</b>	<b>MWBE FEES PAID</b>	<b>Agency MWBE PARTICIPATION</b>
MTAHQ	\$3,375,436.93	\$124,132.13	3.7%	\$213,745	6.3%	\$337,876.96	10.0%
NYCTA	\$4,109,655.58	\$94,447.51	2.3%	\$641,869.69	15.6%	\$736,317.20	17.9%
MNR	\$753,600.38	\$122,646.34	16.3%	\$58,019.38	7.7%	\$180,665.72	24.0%
LIRR	\$206,533.00	\$0.00	0.0%	\$41,947.00	20.3%	\$41,947.00	20.3%
B&T	\$669,857.04	\$30,082.80	4.5%	\$36,039.68	5.4%	\$66,122.48	9.9%
MTACC	\$516,896.33	\$0.00	0.0%	\$237,385.13	45.9%	\$237,385.13	45.9%
MTA BUS	\$1,256,244.92	\$97,173.53	7.7%	\$239,697.62	19.1%	\$336,871.15	26.8%
FMTAC	\$1,691,124.45	\$324,669.41	19.2%	\$47,395.50	2.8%	\$372,064.91	22.0%
<b>TOTAL</b>	<b>\$12,579,348.63</b>	<b>\$793,151.72</b>	<b>6.3%</b>	<b>\$1,516,098.83</b>	<b>12.1%</b>	<b>\$2,309,250.55</b>	<b>18%</b>

Metropolitan Transportation Authority  
Department of Diversity and Civil Rights

Status of Closed Contracts  
as of June 30, 2019

September 23, 2019



# MTA Headquarters DDCR Update

## Inactive Contracts – Status as of June 30, 2019

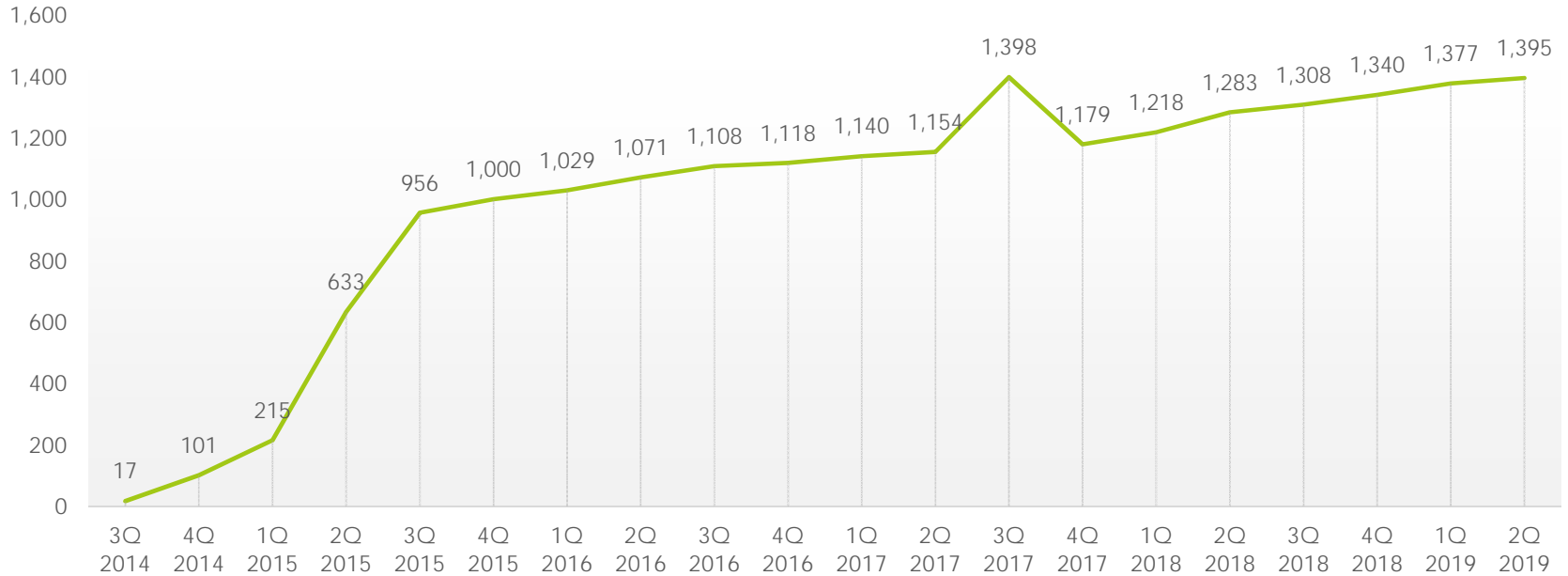
Inactive Contracts with Goals	#
1. Total Contracts Reviewed and Closed	1,090
2. Contracts Administratively Closed	305 <sup>1</sup>
Sub-Total	1,395 (95%)
3. Closeouts in Progress	42
4. Contracts Pending Agency Action	32
Total	1,469 (100%)

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 2015 through 2Q 2019<sup>2</sup>



2.

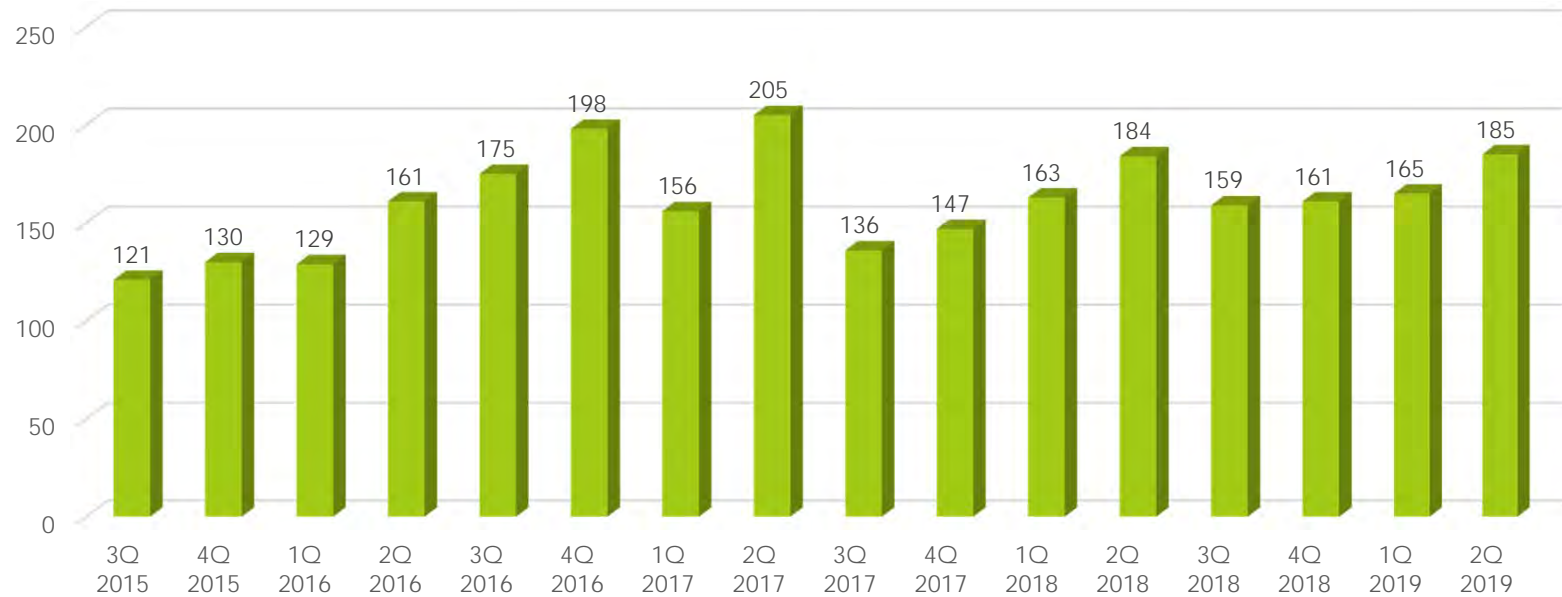
The decrease in closeouts between 3Q 2017 and 4Q 2017 is due to approx. 200 contracts being closed out in error, requiring subsequent re-activation.



# MTA Headquarters DDCR Update

DDCR Project Site Visits: 3Q 2015 – 2Q 2019

Total Site Visits Performed = 2,575



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

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

September 23, 2019



# MWDBE and SDVOB Participation on MTA Capital Projects with Goals

## ■ Federal Participation Goal: 18%

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

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

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

(First Quarter NYS Fiscal Year 2019-2020 (April 2019 to June 2019))

- Total Awards: \$183M
- Total MBE Awards: \$33M (18%)
- Total Payments: \$315M
- Total MBE Payments: \$29M (9%)

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

(First Quarter NYS Fiscal Year 2019-2020 (April 2019 to June 2019))

- Total Awards: \$183M
- Total WBE Awards: \$38M (21%)
- Total Payments: \$315M
- Total WBE Payments: \$33M (10%)

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

(First Quarter NYS Fiscal Year 2019-2020 (April 2019 to June 2019))

- Total Awards: \$112M
- Total SDVOB Awards \$3M (2%)
- Total Payments: \$175M
- Total SDVOB Payments: \$368,879 (.21%)

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

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



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

Financial Services

September 23, 2019





# MTA All Agency Underwriter Fees

April - June 2019



Actual WBE Participation = \$88,426 or 17%  
Actual MBE Participation = \$262,418 or 50.45%  
Actual SDVOB Participation = \$54,818 or 10.50%  
All Other Underwriting Fees = \$114,694 or 22.05%



# Metropolitan Transportation Authority Department of Diversity and Civil Rights

Asset Fund Managers

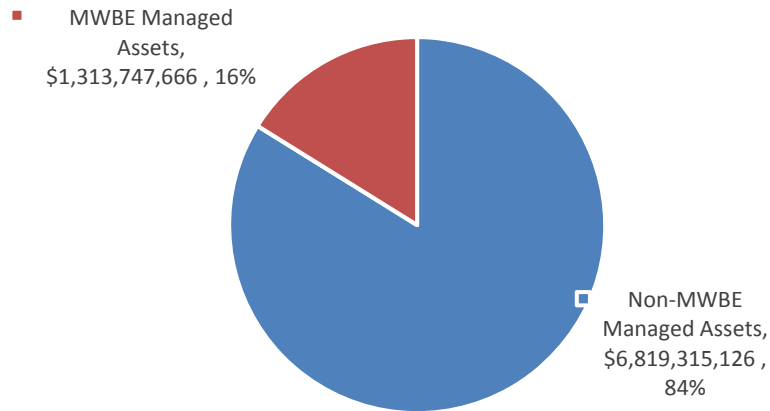
September 23, 2019



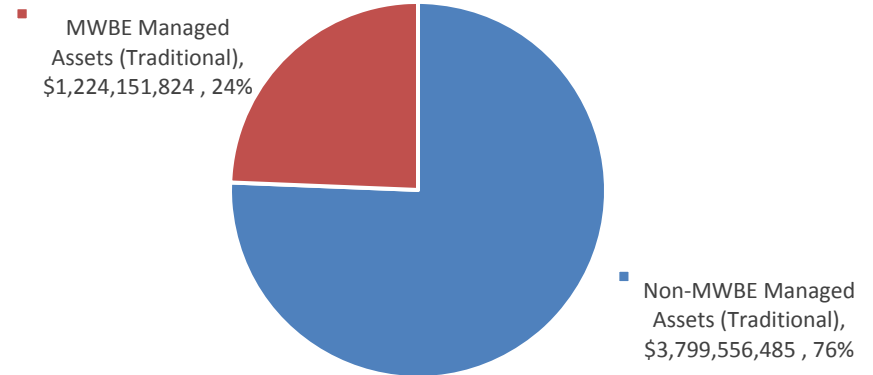
# MTA Sponsored Plans – MWBE Participation

As of June 30, 2019

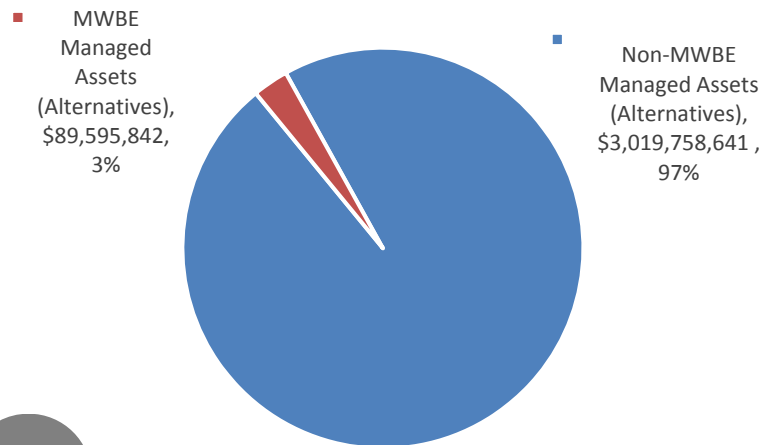
Combined Plans - Total Assets



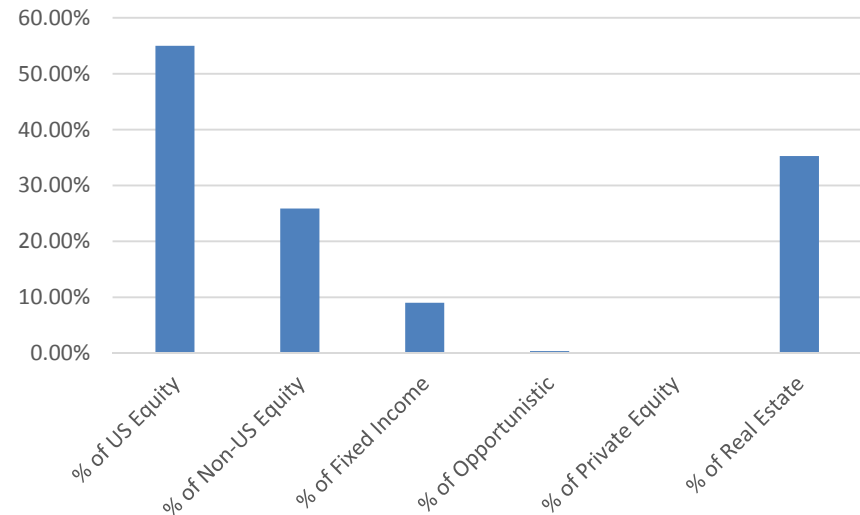
Combined Plans - Traditional Investments



Combined Plans- Alternative Investments



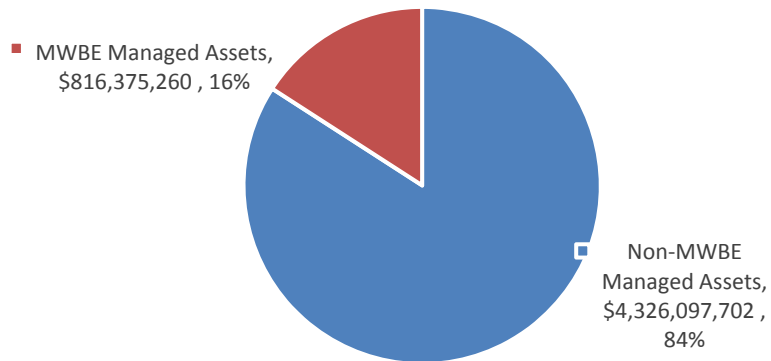
MWBE Managed Assets by Asset Class



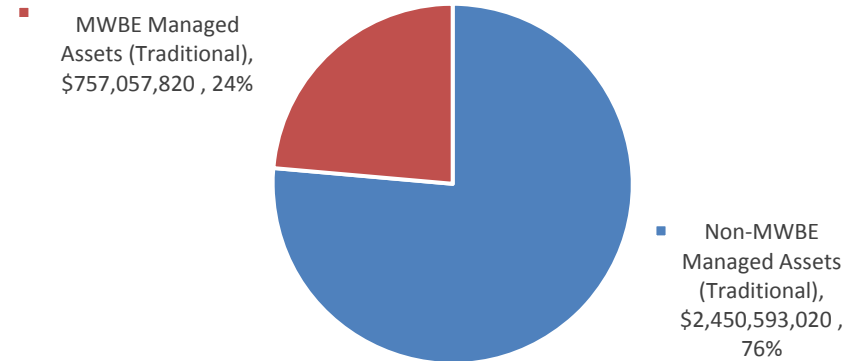
# MTA Sponsored Plans – MWBE Participation

## As of June 30, 2019

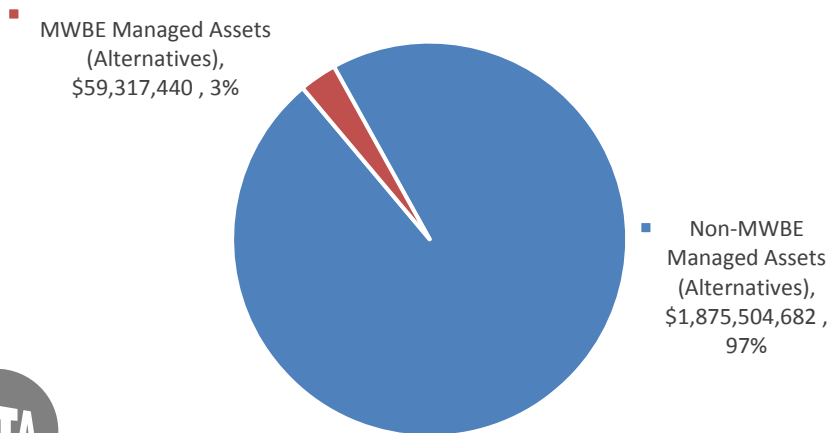
MTA Defined Benefit - Total Assets



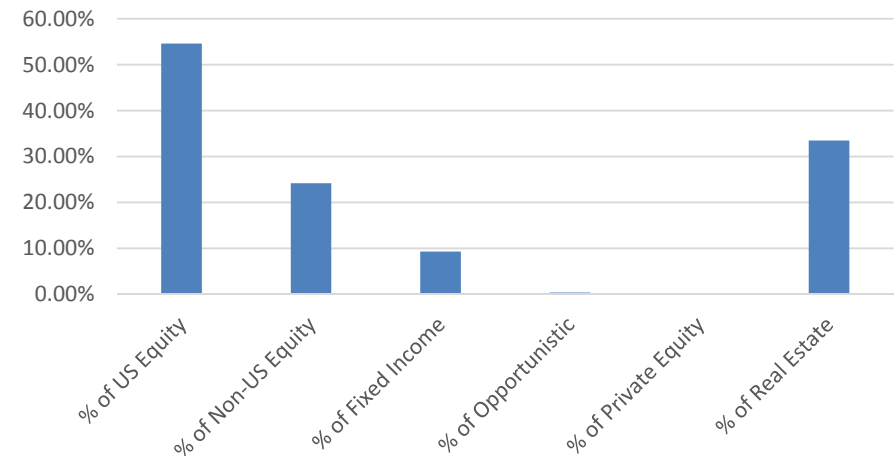
MTA Defined Benefit - Traditional Investments



MTA Defined Benefit - Alternative Investments



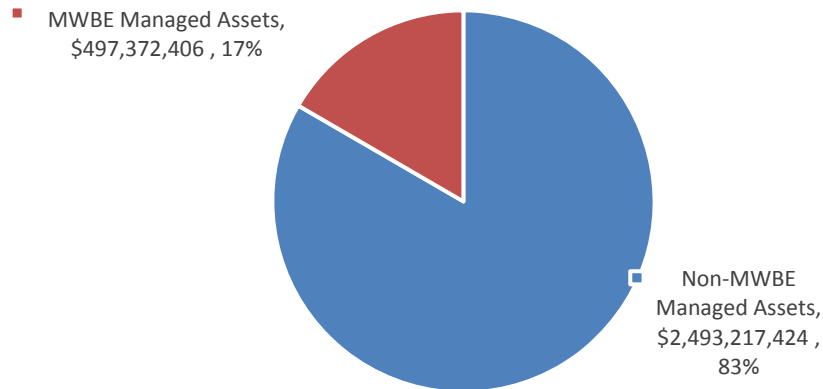
MWBE Managed Assets by Asset Class



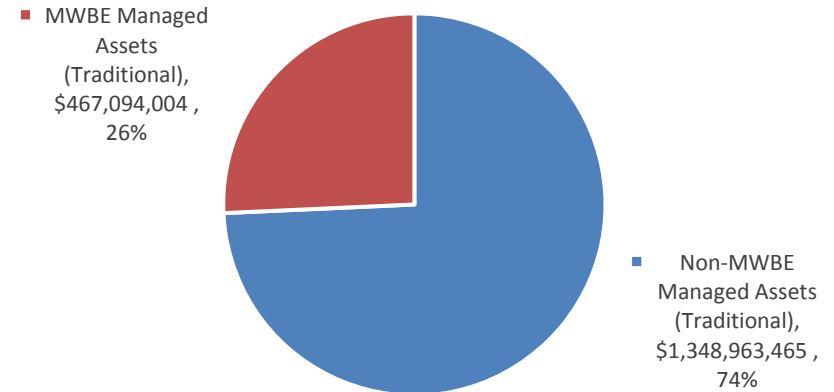
# MTA Sponsored Plans – MWBE Participation

## As of June 30, 2019

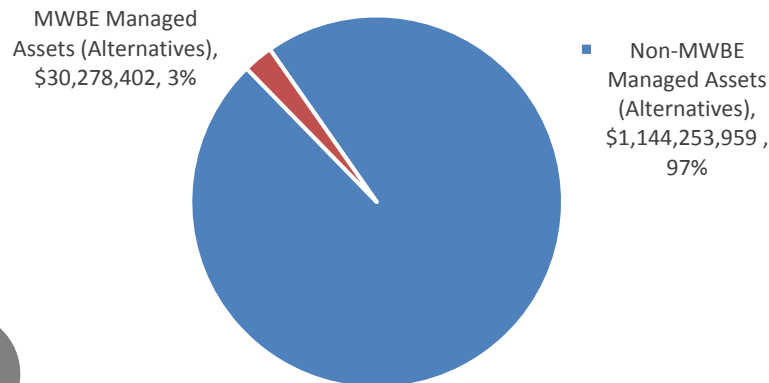
MaBSTOA - Total Assets



MaBSTOA - Traditional Investments



MaBSTOA - Alternative Investments



MWBE Managed Assets by Asset Class

