



**Metropolitan Transportation Authority**

# **Diversity Committee Meeting**

## **February 2021**

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### **Committee Members**

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

# **Diversity Committee Meeting**

2 Broadway, 20th Floor Board Room New York, NY 10004

Thursday, 2/18/2021  
10:00 AM - 1:00 PM ET

## **1. PUBLIC COMMENT PERIOD**

## **2. APPROVAL OF MINUTES**

*December 2020 Diversity Committee Meeting Minutes - Page 3*

## **3. 2021 DIVERSITY COMMITTEE WORK PLAN**

*2021 Diversity Committee Work Plan - Page 4*

## **4. EXECUTIVE SUMMARY**

*Executive Summary - Page 8*

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

*Business and Diversity Initiatives - Page 26*

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

*DBE Certification 2020 - Page 32*

## **7. EEO INITIATIVES 2020**

*EEO Activities - Page 34*

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

*Small Business Development Program - Page 58*

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

*MWDBE and SDVOB Contract Compliance - Page 75*

## **10. M/W/DBE AND SDVOB CAPITAL PROJECT**

*MWDBE and SDVOB Capital Projects - Page 101*

## **11. FINANCIAL SERVICES**

*Underwriter Fees - Page 103*

## **12. ASSET FUND MANAGERS**

*Asset Fund Managers - Page 104*

## **13. EEO AND TITLE VI ANNUAL POLICY STATEMENTS**

*EEO and TITLE VI Annual Policy Statements - Page 108*

## **MTA DIVERSITY COMMITTEE**

Meeting Minutes

2 Broadway, 20<sup>th</sup> Floor

New York, NY 10004

Wednesday, December 16, 2020

Because of the ongoing COVID-10 public health crisis, the MTA Chairman convened a one-day, virtual Board and Committee meeting session on December 16, 2020, which included the following committees:

Long Island Railroad and Metro-North Railroad

New York City Transit

MTA Bridges and Tunnels

Finance

Diversity Committee

Capital Program Oversight Committee

To see a summary of the Diversity Committee meeting, please refer to the December 16, 2020 Board minutes in the January Board Book available here on the Board materials website:

<https://new.mta.info/document/26886>.

## 2021 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 2021

2021 Departmental Goals	Dept. of Diversity/Civil Rights
2020 Year-End Report	Dept. of Diversity/Civil Rights
Diversity Committee Charter Review	Committee Chair and Members

#### May 2021

2021 EEO, ADA and Sexual and Other Discriminatory Harassment Policy Statements	Dept. of Diversity/Civil Rights
All Agency Title VI Policy Statement	
All Agency Title VI Procedure	
1st Quarter 2021 Report	Dept. of Diversity/Civil Rights

#### September 2021

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

#### December 2021

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



## **Detailed Summary**

### **I. RECURRING**

#### **Approval of Minutes**

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

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

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

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

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

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

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

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

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

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

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

#### **Action Items**

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

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

#### **February 2021**

##### **Overview of 2021 MTA Department of Diversity/Civil Rights Departmental Goals**

The MTA Department of Diversity and Civil Rights will present an overview of Departmental goals and objectives for 2021.

##### **2020 Year-End Report**

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

##### **Recruitment Strategies**

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

## Diversity Committee Charter Review

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

### **May 2021**

#### Recommitment to Equal Employment Opportunity (“EEO”)

Each year, the MTA disseminates Policies addressing the Americans with Disabilities Act (“ADA”), Sexual and Other Discriminatory Harassment Prevention and EEO in order to reaffirm MTA’s commitment to ensuring a work place environment free from illegal discrimination and to ensure continued compliance with all applicable laws and regulations. The Department of Diversity and Civil Rights will present the 2021 EEO Policy.

All Agency Title VI Policy Statement presented for approval

All Agency Title VI Procedure presented for approval

#### 1<sup>st</sup> Quarter 2021 Report

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

### **September 2021**

#### 2<sup>nd</sup> Quarter 2021 Report

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

Title VI Program Approval

#### Recruitment Strategies

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

### **December 2021**

#### 3<sup>rd</sup> Quarter 2021 Report

The Department of Diversity and Civil Rights will present 3<sup>rd</sup> quarter 2021 update on MTA Agency-wide EEO and M/W/DBE and SDVOB contract compliance activities.

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

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

#### 2022 Diversity Committee Work Plan

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

Metropolitan Transportation Authority  
Department of Diversity and  
Civil Rights

Executive Summary

February 18, 2021



# Executive Summary

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

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

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

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



# Executive Summary

## □ Business & Diversity Initiatives

- Summary of Outreach Efforts – January 2020 through December 2020  
As a result of DDCR’s outreach efforts **50** certified firms received a total of **\$199,100,200** in awards and **126** certified firms received **\$275,669,354** in payments.

**Awards** - \$199,100,200

**\*Payments** - \$275,669,354

\*Total payments include ongoing payments on previously awarded contracts.



# Executive Summary

- **Certification Activity Report**
- There is a decrease in the number of firms being certified due to understaffing
- **Status:** Decreased DBE Certifications
- **Trends**
  - Upward
  - Constant
  - ☑ Downward
- **Strategy for Improvement:**
  - Hiring additional DBE Certification Staff



# Executive Summary

- **EEO**(full report on pages 34-57)
  - MTA's overall workforce is currently comprised of **70,769** employees; of which **12,737 (18%)** are Females,\* **49,624 (70%)** are Minorities, **2,039 (3%)** are Veterans,\* and **349 (0.5%)** are People with Disabilities.\*\* A breakdown of the MTA-wide workforce is detailed on page 35.
  - MTA Agencies hired **1,685** employees; of which **392 (23%)** are females,\* **1,287 (76%)** are Minorities, **49 (3%)** are veterans,\*\* and **15 (0.9%)** are People With Disabilities.
  - In the calendar year 2020, MTA Agencies handled a total of **452** EEO complaints; of which **279** were internal and **173** were external. In the calendar year 2019, MTA Agencies handled a total of **455** EEO complaints; of which **277** were internal and **178** were external complaints.
  - As of December 31, 2020, utilization of females and minorities has remained **constant** when compared to 2019.

\*Includes minorities, non-minorities, and veterans

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





# Executive Summary

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



# Executive Summary

## Small Business Development Program (as of December 31, 2020)

### The Program – Current Status

- Calendar Year 2020, SBDP awarded **28 contracts** totaling **\$34 million** \*
- Record year in 2019. The goal was **\$80 million**. SBDP awarded **58 contracts** totaling **\$86 million**.
- The Small Business Development Program (SBDP) awarded **451 contracts** totaling **\$486.2 million**.
- SBDP successfully recruited **thirteen (13)** Service-Disabled Veteran-Owned Business (SDVOB) certified firms. **Three (3)** firms were awarded contracts totaling **\$1,116,366**.
- The Small Business Development Loan Program issued **130 loans** totaling **\$18.2 million**.
- The Small Business Development Bond Program has assisted Tier 2 and SBFP firms in securing **\$484 million** in surety bonds.
- The Small Business Development Training Program – more than 750 firms have participated in the training since the inception of the program.

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



# Executive Summary

## Small Business Development Program (continued)

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

### □ Trends

- Upward
- Constant
- ☑ Downward \*

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

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



# Executive Summary

- ❑ **MWDBE and SDVOB Contract Compliance**
  - ❑ **30% NY State Fiscal Year 2020-2021 MWBE Goal**
    - ❑ **18%** MWBE participation in contract awards\*
    - ❑ **29%** MWBE participation in contract payments\*
  - ❑ **6% NY State Fiscal Year 2020-2021 SDVOB Goal**
    - ❑ **25%** SDVOB participation in contract awards\*
    - ❑ **3%** SDVOB participation in contract payments\*
  - ❑ **18% Federal Fiscal Year 2019-2020 DBE Goal**
    - ❑ **15%** DBE participation in contract awards
    - ❑ **18%** DBE participation in contract payments on ongoing contracts
    - ❑ **14%** DBE participation on payments on closed contracts

\* First three quarters of the NYS Fiscal Year 2020-2021



# Executive Summary

- ❑ **MWDBE and SDVOB Contract Compliance (Continued)**
  - ❑ Currently, DDCR monitors more than **944 contracts** for MWDBE and SDVOB goal compliance.
  - ❑ In 2020, DDCR conducted **401 site visits** for MWDBE and SDVOB contract compliance.
    - ❑ Monthly Average: **33\***
  - ❑ In 2020, DDCR has closed **270** contracts.
    - ❑ Monthly Average: **23**

\* Site visits were suspended on March 16, 2020 due to the COVID-19 outbreak, which has caused site visits to trend downward. The monthly average at the time of suspension was 54.5.



# Executive Summary

- **MWDBE and SDVOB Contract Compliance (Continued)**
- **Status:** MWDBE and SDVOB goals are not being met
- **Trends**
  - ☑ Upward: MWBE participation on contract payments
  - ☐ Constant
  - ☑ Downward: DBE participation on contract awards  
SDVOB participation on contract payments
- **Strategies for Improvement:**
  - DDCR will expand on building relationships with various women, veteran and minority trade groups and associations to identify qualified firms in the minority business community.
  - Design smaller contracts for greater participation by MWDBE/SDVOBs.
  - Hiring additional MWDBE/SDVOB Contract Compliance staff.



# Executive Summary

## Capital Projects

### Federal Participation Goal: 18%

(Federal Fiscal Year 2020 (October 2019 to September 2020))

- Total Awards: \$381M
- Total DBE Awards: \$52M (14%)
- Total Payments: \$612M
- Total DBE Payments: \$133M (22%)

### New York State MBE Participation Goal: 15%

(First Three Quarters NYS Fiscal Year 2020-2021 (April 2020 – December 2020))

- Total Awards: \$104M
- Total MBE Awards: \$15M (15%)
- Total Payments: \$424M
- Total MBE Payments: \$49.6M (12%)

### New York State WBE Participation Goal: 15%

(First Three Quarters NYS Fiscal Year 2020-2021 (April 2020 – December 2020))

- Total Awards: \$104M
- Total WBE Awards: \$12M (12%)
- Total Payments: \$424M
- Total WBE Payments: \$50.4M (12%)

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

(First Three Quarters NYS Fiscal Year 2020-2021 (April 2020 – December 2020))

- Total Awards: \$35M
- Total SDVOB Awards: \$845,550 (2%)
- Total Payments: \$368M
- Total SDVOB Payments: \$8M (2%)

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



# Executive Summary

## Capital Projects (Continued)

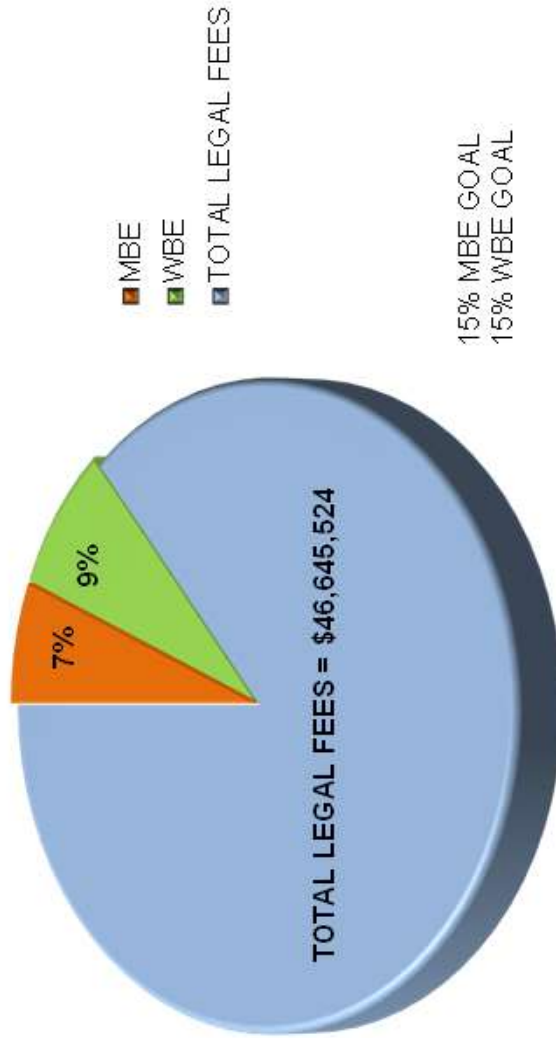
- **Status:** MWDBE and SDVOB goals are not being met
- **Trends**
  - ☑ Upward : MWBE and SDVOB participation on contract payments
  - ☐ Constant
  - ☑ Downward: DBE participation in contract awards
- **Strategies for Improvement:**
  - DDCR will expand on building relationships with various women,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





# Executive Summary

## MTA All Agency Legal Fees (April 2020 – December 2020)



Actual MBE Participation = \$3,295,859 or 7%  
Actual WBE Participation = \$4,017,250 or 9%



# Executive Summary

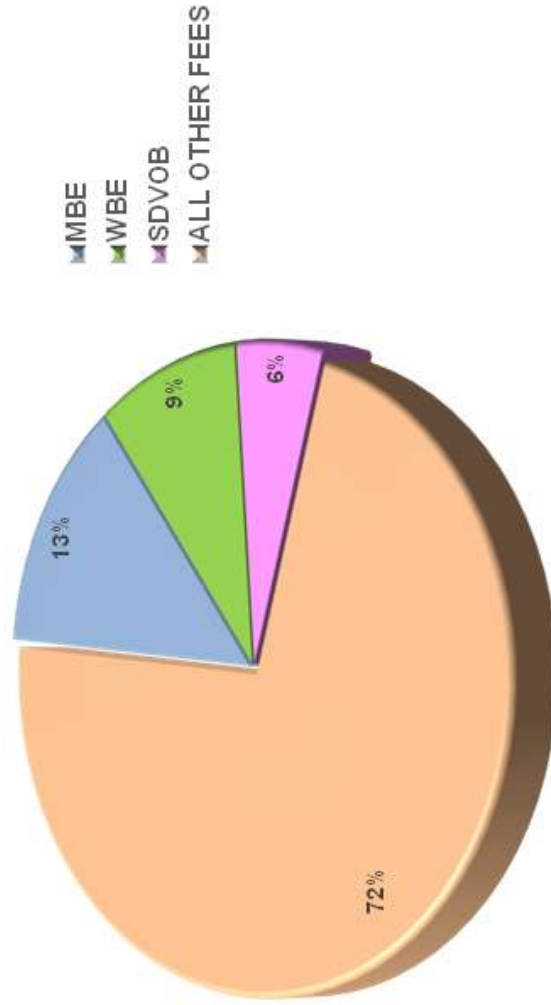
## MTA All Agency Legal Fees (Continued)

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



# Executive Summary

## Financial Services MTA All Agency Underwriter Fees (April 2020 – December 2020)



Actual WBE Participation = \$1,216,049 or 9%  
Actual MBE Participation = \$1,716,132 or 13%  
Actual SDVOB Participation = \$730,836 or 6%  
All Other Underwriting Fees = \$9,402,110 or 72%



# Executive Summary

## Financial Services (Continued)

- **Status:** MWBE goals are not being met
- **Trends**
  - Upward
  - Constant
  - ☑ Downward: MWBE and SDVOB participation
- **Strategies for Improvement:** n/a



# Executive Summary

## Asset Fund Managers – MWBE Participation Combined Plans (as of November 30, 2020)

### Combined Plans

- Total assets managed by MWBEs: \$1.6 billion; or 19% of total assets
- Majority of assets are in traditional asset classes
- Traditional assets managed by MWBEs: \$1.49 billion; or 26% of traditional assets
  - MWBE firms manage
    - 55% of US Equities
    - 35% of Real Estate
    - 32% of Non-US Equities
    - 8% of Fixed Income
    - 3 % of Opportunistic
- Alternative investments managed by MWBE's: \$105 million; or 4% of alternative investments



Metropolitan Transportation Authority  
Department of Diversity and  
Civil Rights

Business and Diversity Initiatives

February 18, 2021



# Business & Diversity Initiatives

## November

- Commercial Observer Public Projects Event: Navigating MWBE Participation, PPP and other Public Works Procurement Programs
- NYNJ Minority Supplier Diversity Council 2020 Virtual Exchange Event

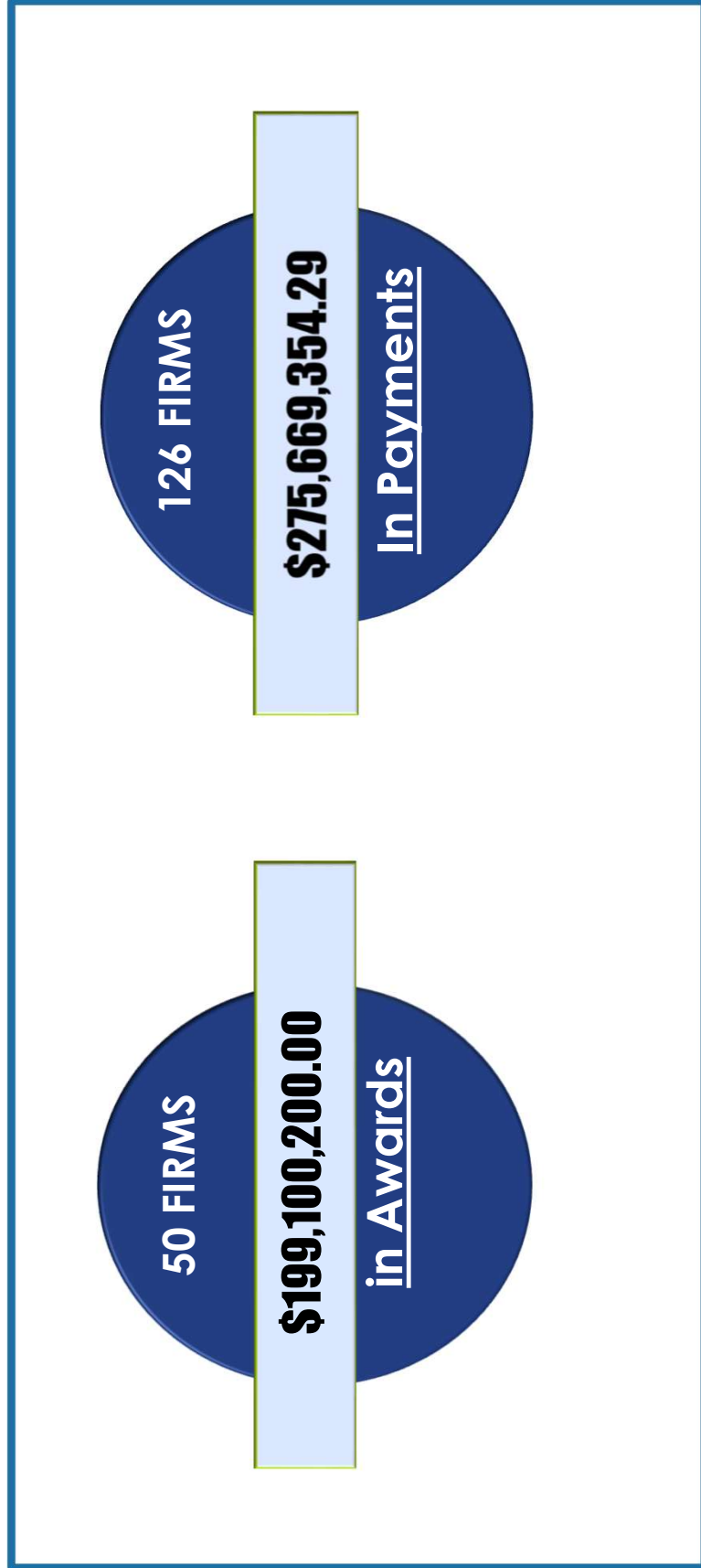
## December

- 2020 New York State MWBE Virtual Forum: Building Business Better
- National Hispanic Business Group “Meet and Greet” Networking Event
- DDCR presents “How to become Certified as a Disadvantaged Business Enterprise, Virtual Session”
- 2020 Garden State Minority, Women and Veteran-owned Business Virtual Marketplace Exchange Summit
- Ascend Long Island Procurement Conference



# Business and Diversity Initiatives

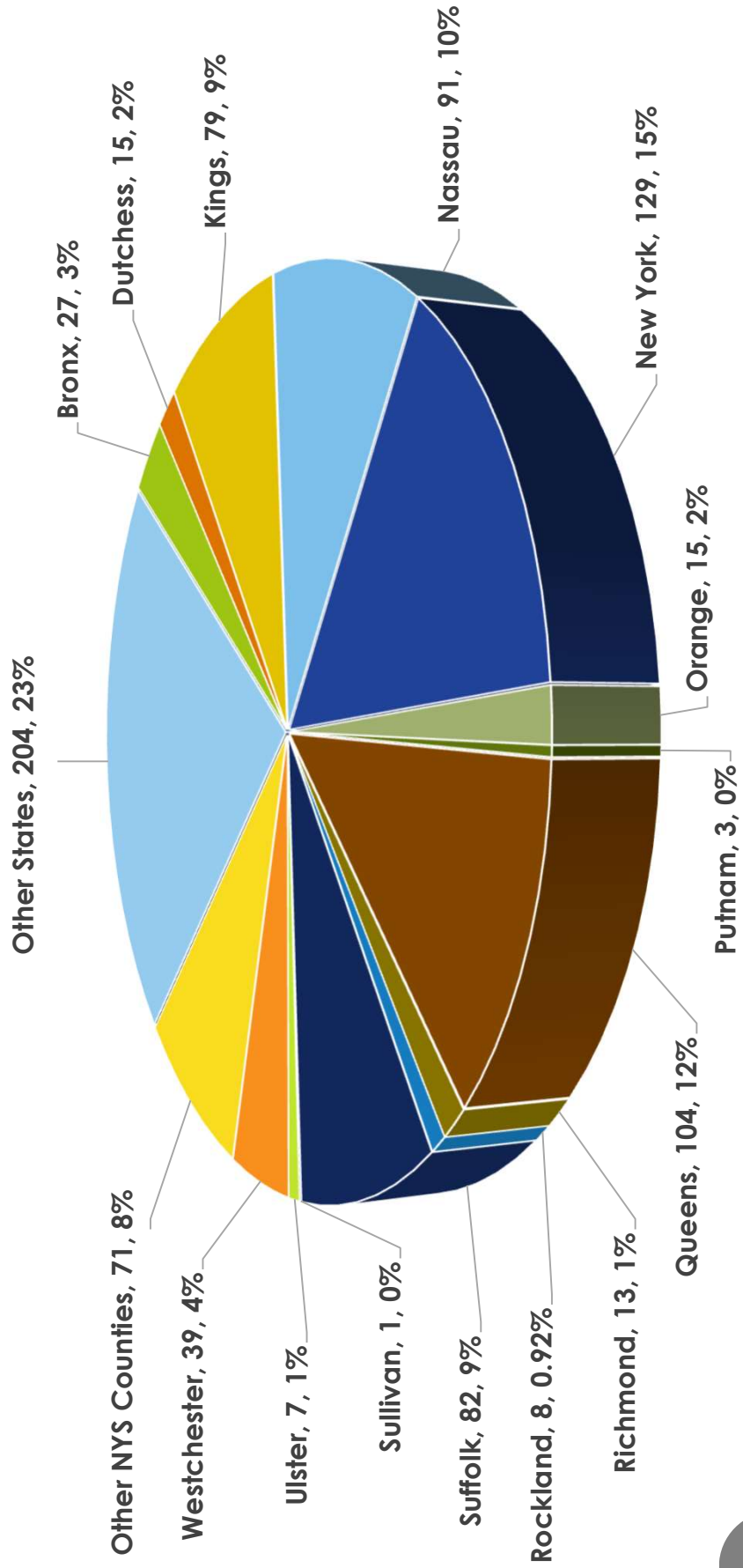
Awards and Payments Based on Outreach Efforts  
January 2020 – December 2020





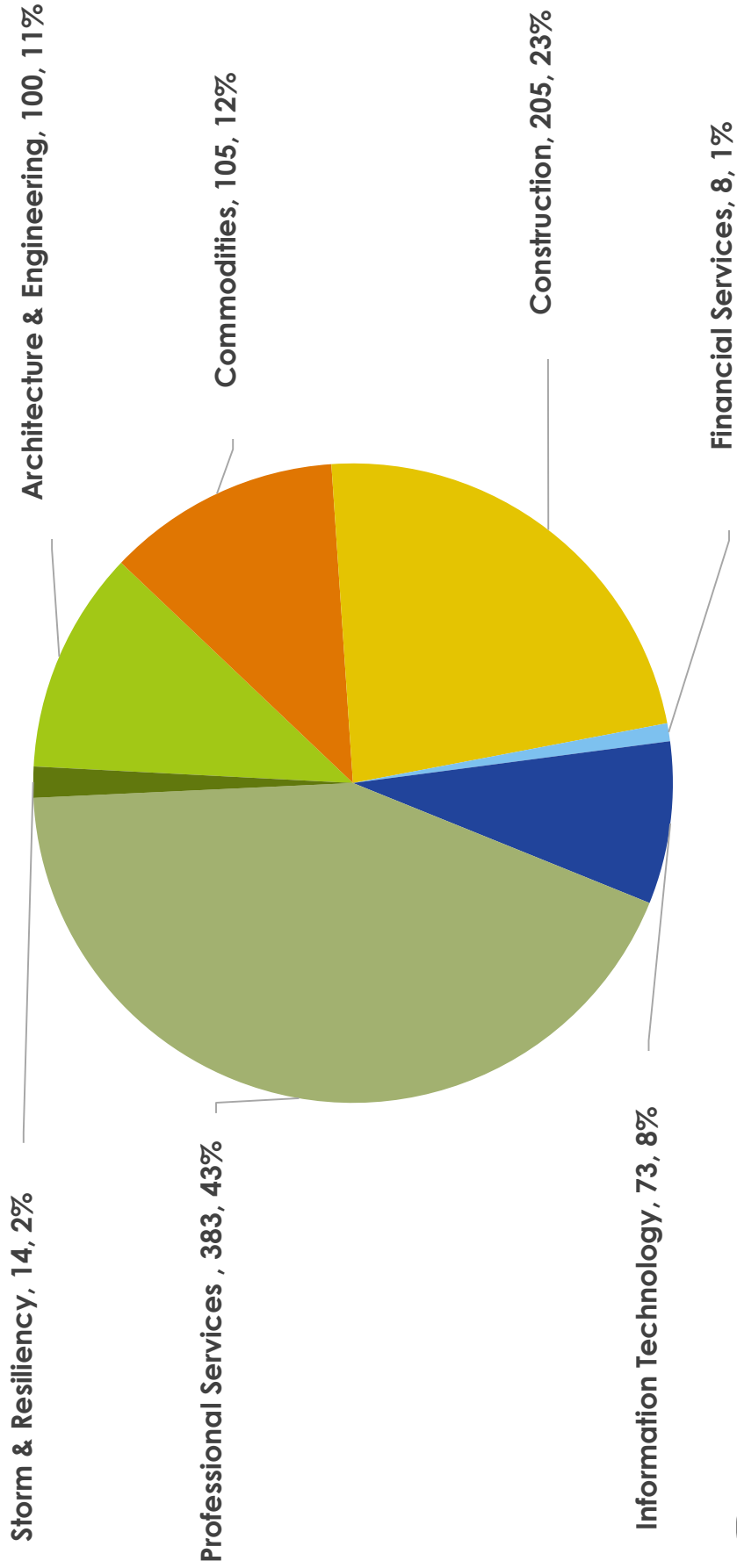
# Business and Diversity Initiatives

## Outreach Conducted In MTA Region Service Area (14 Counties) January 2020 – December 2020



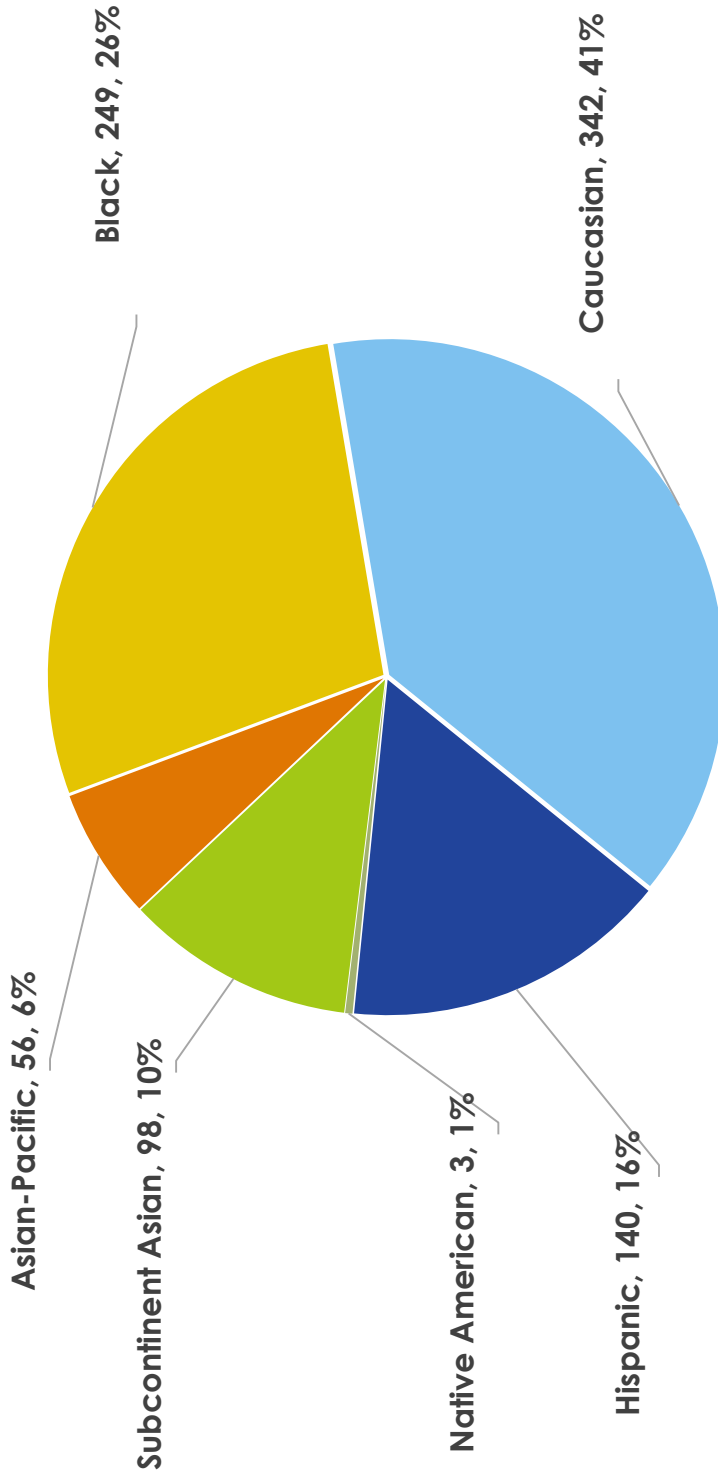
# Business and Diversity Initiatives

## Outreach Results By Business Type January 2020 – December 2020



# Business and Diversity Initiatives

## Outreach Results By Ethnicity January 2020 – December 2020



Metropolitan Transportation Authority  
Department of Diversity and  
Civil Rights

DBE Certification Activity Report

February 18, 2021



# MTA DBE Certification Unit

## CERTIFICATION APPLICATIONS RECEIVED 2018-2020

	2020	2019	2018
January	8	12	29
February	6	0	6
March	12	6	11
April	5	7	2
May	7	6	13
June	4	13	4
July	6	1	18
August	2	12	4
September	8	6	3
October	9	11	26
November	8	6	0
December	14	12	13
<b>TOTAL</b>	<b>89</b>	<b>92</b>	<b>129</b>

## CERTIFICATION ACTIVITY FOR NEW APPLICATIONS 2018-2020

	2020	2019	2018
CERTIFIED	72	90	59
DENIED	1	0	0
RETURNED	1	6	8
INELIGIBLE	0	1	0
WITHDRAWN	17	22	17
<b>TOTAL</b>	<b>91</b>	<b>119</b>	<b>84</b>



Metropolitan Transportation Authority  
Department of Diversity and  
Civil Rights

MTA-Wide Workforce  
as of December 31, 2020

February 18, 2021



# MTA-Wide Workforce as of December 31, 2020

Agency	TOTAL		Minorities		WHITES		BLACKS		HISPANICS		ASIANS		AI/AN*		NHOP1**		2+ RACES		VETERANS	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
B&T	1,222		699	57%	523	43%	313	26%	232	19%	87	7%	6	0%	1	0%	60	5%	80	7%
F	262	21%	210	17%	52	4%	125	10%	51	4%	21	2%	2	0%	0	0%	11	1%	15	19%
M	960	79%	489	40%	471	39%	188	15%	181	15%	66	5%	4	0%	1	0%	49	4%	65	81%
BUS	4,017		3,259	81%	758	19%	1,797	45%	883	22%	362	9%	10	0%	10	0%	197	5%	64	2%
F	520	13%	473	12%	47	1%	291	7%	137	3%	24	1%	1	0%	0	0%	20	0%	5	8%
M	3,497	87%	2,786	69%	711	18%	1,506	37%	746	19%	338	8%	9	0%	10	0%	177	4%	59	92%
C&D	116		63	54%	53	46%	17	15%	11	9%	30	26%	0	0%	0	0%	5	4%	3	3%
F	42	36%	30	26%	12	10%	10	9%	7	6%	12	10%	0	0%	0	0%	1	1%	1	33%
M	74	64%	33	28%	41	35%	7	6%	4	3%	18	16%	0	0%	0	0%	4	3%	2	67%
HQ	2,714		1,538	57%	1,176	43%	594	22%	376	14%	413	15%	6	0%	2	0%	147	5%	96	4%
F	897	33%	636	23%	261	10%	316	12%	127	5%	130	5%	0	0%	1	0%	62	2%	9	9%
M	1,817	67%	902	33%	915	34%	278	10%	249	9%	283	10%	6	0%	1	0%	85	3%	87	91%
LIRR	7,369		2,726	37%	4,643	63%	1,243	17%	856	12%	313	4%	21	0%	4	0%	289	4%	486	7%
F	1,074	15%	568	8%	506	7%	332	5%	124	2%	60	1%	2	0%	1	0%	49	1%	20	4%
M	6,295	85%	2,158	29%	4,137	56%	911	12%	732	10%	253	3%	19	0%	3	0%	240	3%	466	96%
MNR	6,360		2,503	39%	3,857	61%	1,260	20%	730	11%	198	3%	24	0%	1	0%	290	5%	475	7%
F	809	13%	530	8%	279	4%	304	5%	121	2%	53	1%	4	0%	1	0%	47	1%	17	4%
M	5,551	87%	1,973	31%	3,578	56%	956	15%	609	10%	145	2%	20	0%	0	0%	243	4%	458	96%
NYCT	48,971		38,836	79%	10,135	21%	22,639	46%	8,584	18%	5,929	12%	116	0%	16	0%	1,552	3%	835	2%
F	9,133	19%	8,480	17%	653	1%	6,226	13%	1,478	3%	465	1%	18	0%	3	0%	290	1%	63	8%
M	39,838	81%	30,356	62%	9,482	19%	16,413	34%	7,106	15%	5,464	11%	98	0%	13	0%	1,262	3%	772	92%
Total	70,769		49,624	70%	21,145	30%	27,863	39%	11,672	16%	7,332	10%	183	0%	34	0%	2,540	4%	2,039	3%

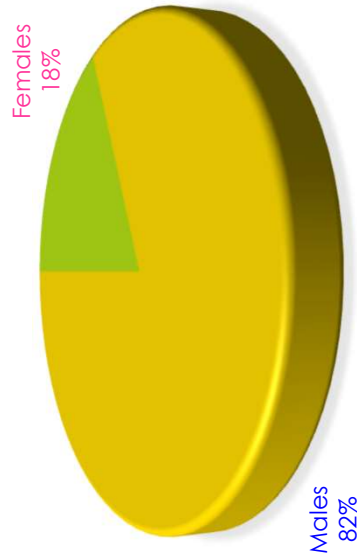
\*American Indian/Alaskan Native

\*\*Native Hawaiian Other Pacific Islander

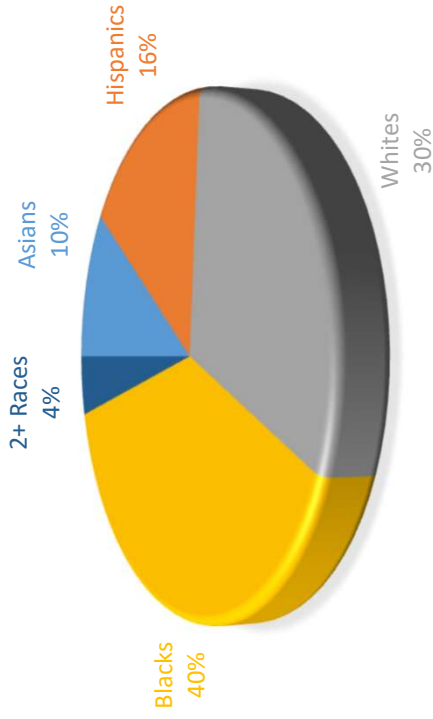


# MTA-Wide Workforce as of December 31, 2020

## Workforce By Gender



## Workforce By Race/Ethnicity



MTA employed **70,769** people: **18%** of the workforce were females, **70%** minorities, and veterans comprised **3%**.

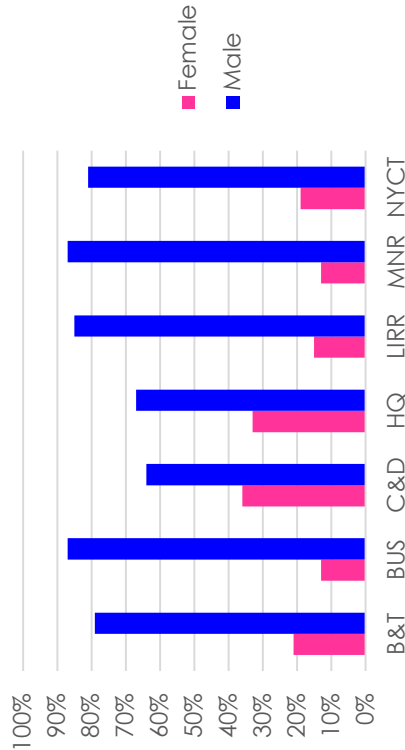
- ❑ The percentage of females employed in the workforce has **remained constant** when compared to 4Q19.
- ❑ The percentage of minorities in the workforce has **remained constant** when compared to 4Q19.



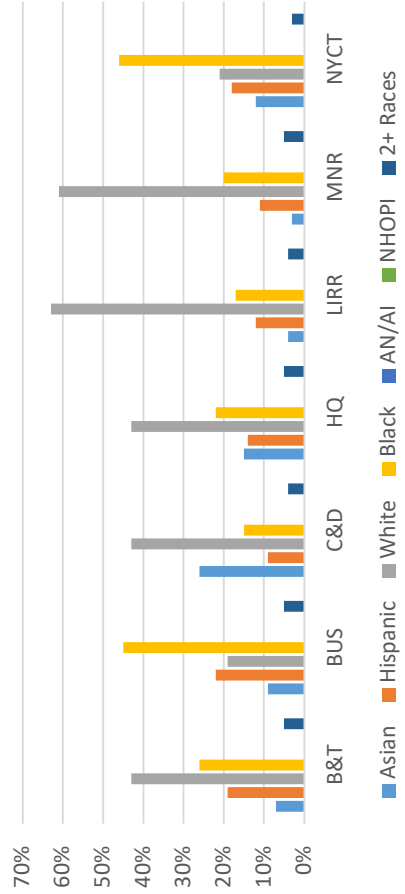


# MTA-Wide Workforce by Gender and Race/Ethnicity as of December 31, 2020

MTA Agencies By Gender



MTA Agencies By Race/Ethnicity



## Agency Employees Females Minorities

Agency	Employees	Females	Minorities
B&T	1222	21%	57%
BUS	4017	13%	81%
C&D	116	36%	54%
HQ	2714	33%	57%
LIRR	7369	15%	37%
MNR	6360	13%	39%
NYCT	48,971	19%	79%



# Definitions of EEO Job Categories

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



# Definitions of EEO Job Categories

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



# MTA-Wide Underutilization Analysis Overview

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

As of December 31, 2020, a majority of the underrepresentation of **females, Asians, Blacks** and **Hispanics** occurred within the Technicians, Skilled Craft, Administrative Support and Service Maintenance job categories.

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



Note: The following numbers and information do not reflect underutilization for specific job groups. In addition, the numbers and information provided do not show statistical disparities or explain the reasons or provide a root cause analysis for any identified underutilization.

# MTA-Wide Underutilization Analysis as of December 31, 2020

Job Category	Gender	Blacks		Hispanics		Asians		AI/AN*		NHOP1**		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>															
	F	7%	11%	3%	2%	3%	5%	0%	0%	0%	0%	1%	2%	10%	6%
	M	8%	11%	7%	7%	6%	9%	0%	0%	0%	0%	3%	5%		
	F	5%	9%	2%	3%	2%	4%	0%	0%	0%	0%	1%	2%	15%	5%
	M	6%	16%	6%	13%	5%	9%	0%	0%	0%	0%	2%	4%		
	F	4%	6%	3%	4%	3%	8%	0%	0%	0%	0%	0%	0%	15%	12%
	M	4%	11%	3%	3%	9%	19%	0%	0%	0%	0%	1%	2%		
	F	5%	13%	3%	4%	4%	6%	0%	0%	0%	0%	1%	2%	16%	14%
	M	7%	8%	4%	3%	6%	11%	0%	0%	0%	0%	1%	4%		
	F	6%	4%	2%	2%	1%	2%	0%	0%	0%	0%	1%	1%	9%	9%
	M	8%	9%	6%	9%	3%	5%	0%	1%	0%	0%	2%	4%		
	F	5%	5%	2%	4%	2%	4%	0%	0%	0%	0%	1%	1%	10%	10%
	M	8%	9%	5%	6%	3%	5%	0%	0%	0%	0%	2%	4%		
	F	6%	12%	2%	2%	1%	3%	0%	0%	0%	0%	0%	1%	9%	6%
	M	15%	19%	8%	10%	8%	11%	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 December 31, 2020

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%	17%	4%	11%	3%	5%	0%	0%	0%	0%	1%	2%	15%	13%
	<b>M</b>	7%	8%	8%	10%	4%	6%	0%	0%	0%	1%	1%	6%		
<b>BUS</b>	<b>F</b>	7%	18%	5%	11%	4%	8%	0%	0%	0%	0%	1%	2%	15%	7%
	<b>M</b>	5%	13%	4%	4%	7%	17%	0%	0%	0%	0%	1%	4%		
<b>C&amp;D</b>	<b>F</b>	11%	22%	7%	6%	11%	28%	0%	0%	0%	0%	0%	0%	23%	6%
	<b>M</b>	9%	11%	6%	0%	8%	6%	0%	0%	0%	0%	1%	6%		
<b>HQ</b>	<b>F</b>	6%	16%	4%	5%	4%	7%	0%	0%	0%	0%	1%	3%	20%	9%
	<b>M</b>	5%	12%	4%	8%	5%	15%	0%	0%	0%	0%	1%	4%		
<b>LIRR</b>	<b>F</b>	3%	2%	2%	2%	2%	4%	0%	0%	0%	0%	0%	1%	14%	8%
	<b>M</b>	6%	13%	5%	10%	6%	12%	0%	0%	0%	0%	1%	4%		
<b>MNR</b>	<b>F</b>	7%	11%	6%	6%	4%	4%	0%	0%	0%	0%	1%	1%	22%	11%
	<b>M</b>	5%	9%	4%	8%	4%	8%	0%	0%	0%	0%	1%	5%		
<b>NYCT</b>	<b>F</b>	6%	17%	4%	5%	4%	7%	0%	0%	0%	0%	0%	2%	19%	7%
	<b>M</b>	7%	14%	5%	5%	8%	19%	0%	0%	0%	0%	1%	3%		

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



# MTA-Wide Underutilization Analysis as of December 31, 2020

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>															
	F	11%	6%	3%	7%	0%	1%	0%	0%	0%	0%	0%	1%	2%	4%
	M	16%	10%	17%	18%	3%	5%	0%	1%	0%	0%	2%	1%		
	F	5%	11%	11%	11%	0%	0%	0%	0%	0%	0%	0%	0%	32%	33%
	M	0%	0%	0%	0%	5%	11%	0%	0%	0%	0%	5%	11%		
	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	F	3%	0%	2%	0%	0%	0%	0%	0%	0%	0%	1%	1%	6%	5%
	M	7%	8%	11%	10%	3%	4%	0%	0%	0%	0%	1%	0%		
	F	3%	8%	3%	0%	2%	0%	0%	0%	0%	0%	0%	0%	6%	0%
	M	10%	8%	9%	15%	7%	8%	0%	8%	0%	0%	0%	8%		
	F	3%	4%	1%	2%	1%	0%	0%	0%	0%	0%	0%	2%	4%	3%
	M	13%	19%	9%	8%	3%	7%	0%	1%	0%	0%	2%	4%		
	F	3%	13%	5%	2%	4%	3%	0%	0%	0%	0%	0%	1%	19%	2%
	M	6%	27%	5%	10%	6%	15%	0%	0%	0%	0%	0%	7%		

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 December 31, 2020

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>															
	F	9%	13%	4%	3%	0%	0%	0%	0%	0%	0%	0%	1%	3%	2%
	M	12%	20%	15%	22%	3%	4%	0%	0%	0%	0%	1%	3%		
	F	9%	0%	4%	17%	1%	0%	0%	0%	0%	0%	0%	0%	3%	17%
	M	27%	50%	16%	17%	4%	0%	0%	0%	0%	0%	0%	0%		
	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
	F	3%	3%	2%	4%	0%	0%	0%	0%	0%	0%	0%	1%	7%	6%
	M	7%	9%	8%	16%	2%	5%	0%	0%	0%	0%	1%	2%		
	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
	F	8%	11%	3%	3%	1%	0%	0%	0%	0%	0%	0%	1%	3%	1%
	M	26%	37%	15%	24%	3%	6%	0%	0%	0%	0%	0%	2%		

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





# MTA-Wide Underutilization Analysis as of December 31, 2020

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>															
	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	F	12%	9%	12%	9%	4%	0%	0%	0%	0%	0%	1%	0%	41%	36%
	M	2%	0%	2%	0%	1%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	F	5%	31%	5%	18%	2%	4%	0%	0%	0%	0%	0%	0%	16%	4%
	M	2%	22%	1%	6%	1%	4%	0%	0%	0%	0%	0%	0%	0%	0%

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



# MTA-Wide Underutilization Analysis as of December 31, 2020

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>Administrative Support</b>															
	F	27%	63%	11%	11%	6%	5%	0%	0%	0%	0%	0%	0%	21%	5%
	M	1%	0%	1%	0%	4%	0%	0%	0%	0%	0%	0%	0%		
	F	7%	13%	5%	9%	1%	2%	0%	0%	0%	0%	1%	3%	6%	3%
	M	21%	19%	9%	4%	8%	16%	0%	0%	0%	0%	5%	8%		
	F	12%	11%	12%	22%	3%	0%	0%	0%	0%	0%	2%	11%	26%	0%
	M	1%	11%	1%	11%	1%	0%	0%	0%	0%	0%	0%	11%		
	F	11%	30%	11%	9%	4%	4%	0%	0%	0%	0%	1%	5%	41%	20%
	M	2%	10%	2%	8%	1%	3%	1%	0%	0%	0%	0%	0%		
	F	13%	20%	6%	6%	3%	2%	0%	0%	0%	0%	1%	2%	17%	20%
	M	7%	10%	5%	4%	3%	1%	0%	0%	0%	0%	2%	2%		
	F	10%	21%	5%	7%	1%	2%	0%	0%	0%	0%	1%	3%	11%	9%
	M	13%	15%	7%	8%	2%	1%	0%	0%	0%	0%	2%	3%		
	F	15%	34%	16%	6%	7%	3%	0%	0%	0%	0%	0%	1%	16%	3%
	M	6%	20%	8%	7%	4%	16%	0%	0%	0%	0%	0%	1%		

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



# MTA-Wide Underutilization Analysis as of December 31, 2020

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>															
	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	F	1%	0%	1%	0%	0%	0%	0%	0%	0%	0%	0%	0%	1%	0%
	M	25%	34%	12%	15%	9%	12%	0%	0%	1%	1%	5%	8%		
	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	F	5%	3%	2%	1%	0%	0%	0%	0%	0%	0%	1%	0%	5%	5%
	M	13%	12%	9%	10%	3%	3%	0%	0%	1%	0%	3%	3%		
	F	1%	1%	1%	0%	0%	0%	0%	0%	0%	0%	0%	0%	2%	1%
	M	13%	16%	10%	10%	2%	1%	0%	1%	0%	0%	2%	4%		
	F	4%	4%	2%	1%	0%	0%	0%	0%	0%	0%	0%	0%	1%	0%
	M	20%	33%	17%	13%	8%	15%	0%	0%	0%	0%	1%	3%		

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



# MTA-Wide Underutilization Analysis as of December 31, 2020

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>															
	F	1%	1%	4%	2%	0%	0%	0%	0%	0%	0%	0%	0%	1%	1%
	M	15	20%	16%	14%	3%	4%	0%	1%	0%	0%	2%	5%		
	F	7%	8%	5%	4%	0%	0%	0%	0%	0%	0%	0%	0%	5%	1%
	M	28%	42%	16%	21%	4%	7%	0%	0%	0%	0%	2%	3%		
	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
	F	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	M	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		
	F	6%	8%	3%	3%	1%	0%	0%	0%	0%	0%	1%	1%	6%	5%
	M	11%	20%	13%	11%	2%	2%	0%	0%	0%	0%	2%	3%		
	F	5%	8%	6%	3%	1%	0%	0%	0%	0%	0%	0%	1%	3%	7%
	M	16%	17%	19%	11%	2%	1%	0%	0%	0%	0%	2%	3%		
	F	5%	16%	9%	4%	2%	0%	0%	0%	0%	0%	0%	1%	3%	1%
	M	16%	40%	28%	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.



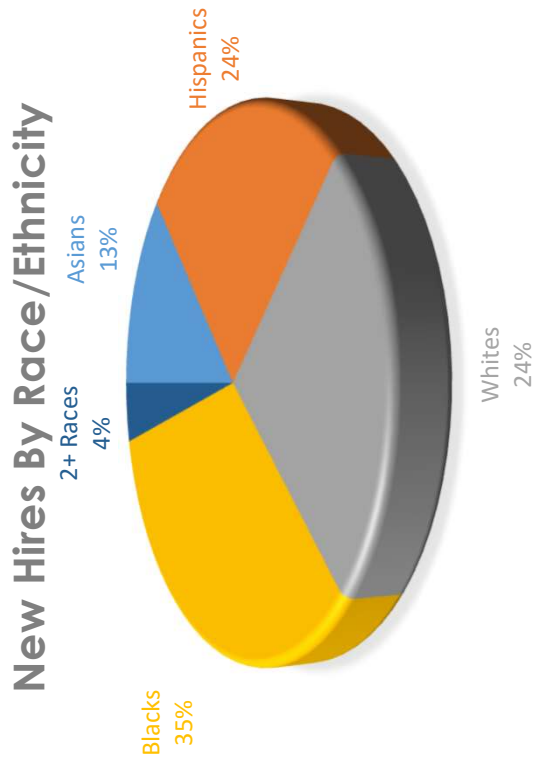
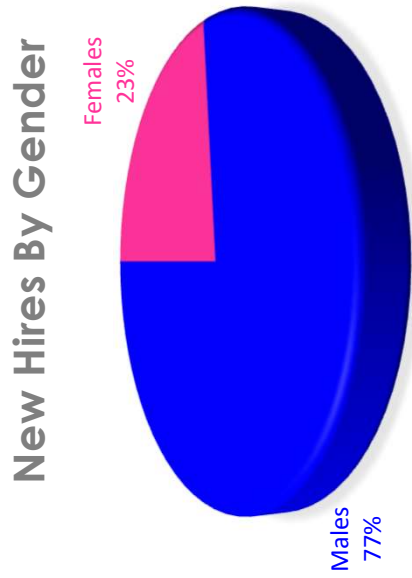
Metropolitan Transportation Authority  
Department of Diversity and  
Civil Rights

MTA-Wide New Hires and Veterans  
Fourth Quarter 2020

February 18, 2021



# MTA-Wide New Hires January 1, 2020 to December 31, 2020



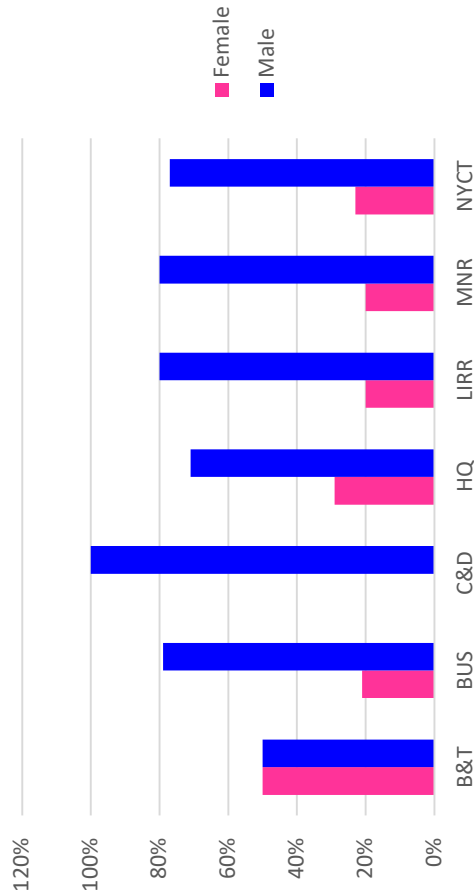
MTA hired **1,685** employees, including **49** veterans: **23%** of new hires were females and minorities comprised **76%**.

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

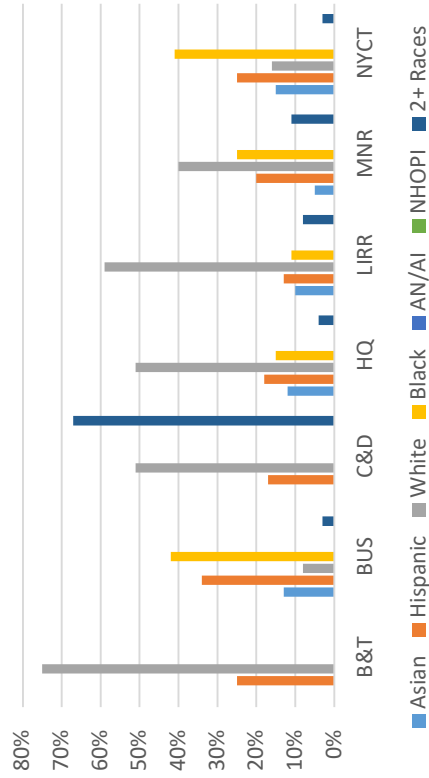


# New Hires By Agency January 1, 2020 to December 31, 2020

MTA Agencies New Hires By Gender



MTA Agencies New Hires By Race/Ethnicity



Agency New Hires Females Minorities

Agency	New Hires	Females	Minorities
B&T	4	50%	25%
BUS	248	21%	92%
C&D	6	0%	83%
HQ	242	29%	49%
LIRR	104	20%	41%
MNR	65	20%	60%
NYCT	1016	23%	84%



Metropolitan Transportation Authority  
Department of Diversity and  
Civil Rights

MTA-Wide Complaints and Lawsuits  
Fourth Quarter 2020

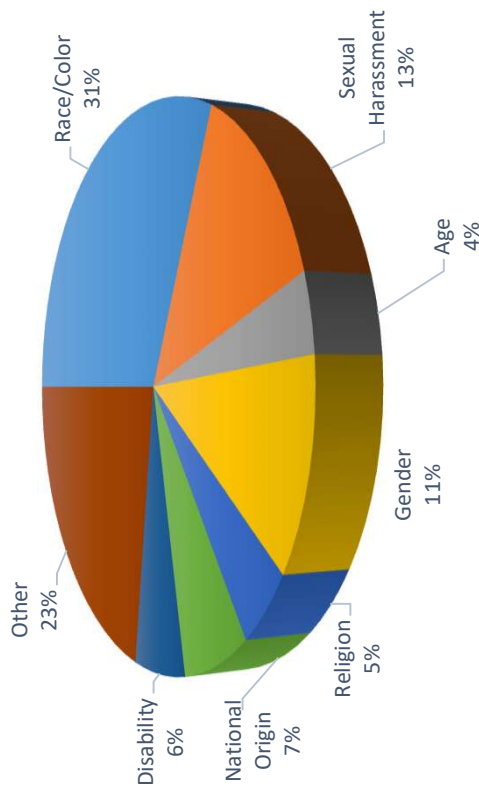
February 18, 2021



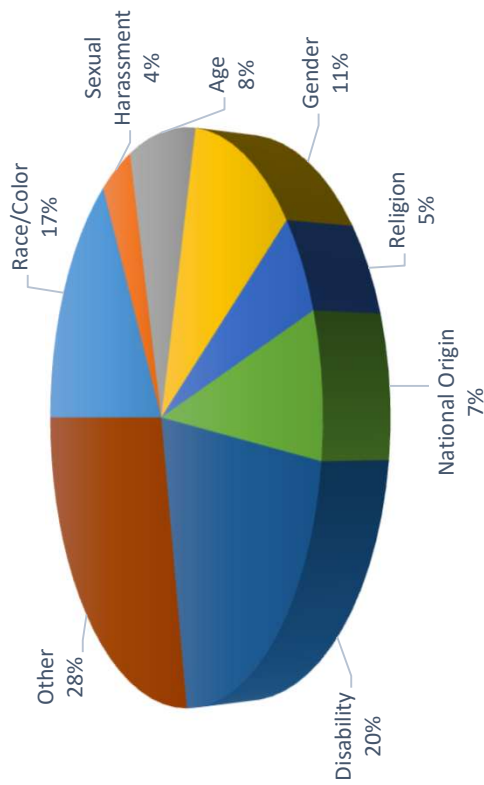


# MTA-Wide EEO Internal/External Discrimination Complaints by Bases January 1, 2020 to December 31, 2020

**Internal EEO Complaints by Bases**



**External EEO Complaints by Bases**



MTA handled **452** EEO complaints, citing **884** separate bases, and **117** lawsuits.

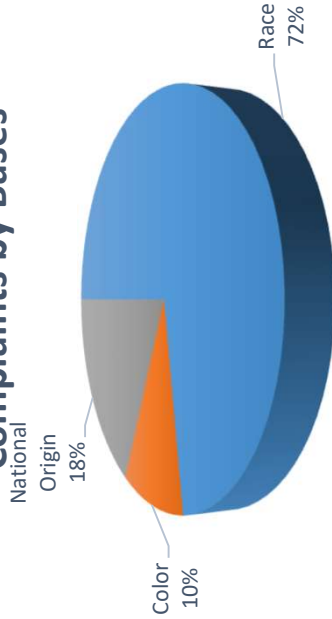
- **279** filed internal complaints.
- **173** filed external complaints.
- The most frequently cited bases internally was race/color.



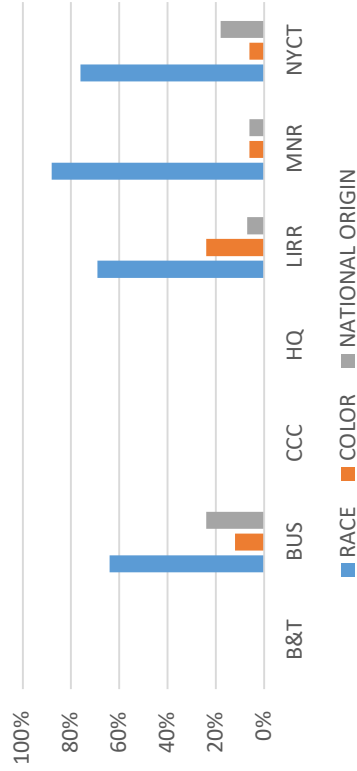
Note: Complaints can be filed alleging multiple bases.

# MTA-Wide Title VI Complaints by Bases and Lawsuits January 1, 2020 to December 31, 2020

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



**Title VI Complaints by Agency**



MTA handled a total of **226** Title VI complaints with **253** bases and **0** Title VI lawsuits.

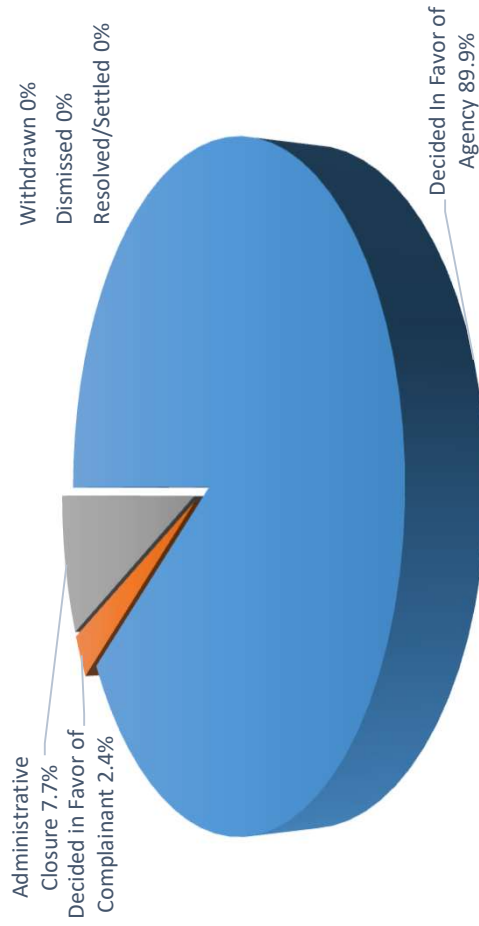
Agency	Complaints	Bases	Race	Color	National Origin
BUS	70	74	64%	12%	24%
LIRR	21	29	69%	24%	7%
MNR	14	16	88%	6%	6%
NYCT	121	134	76%	6%	18%

Note: Complaints can be filed alleging multiple bases.



# MTA-Wide Title VI Complaints and Lawsuits Dispositions January 1, 2020 to December 31, 2020

## Overall Title VI Complaints and Lawsuits Dispositions

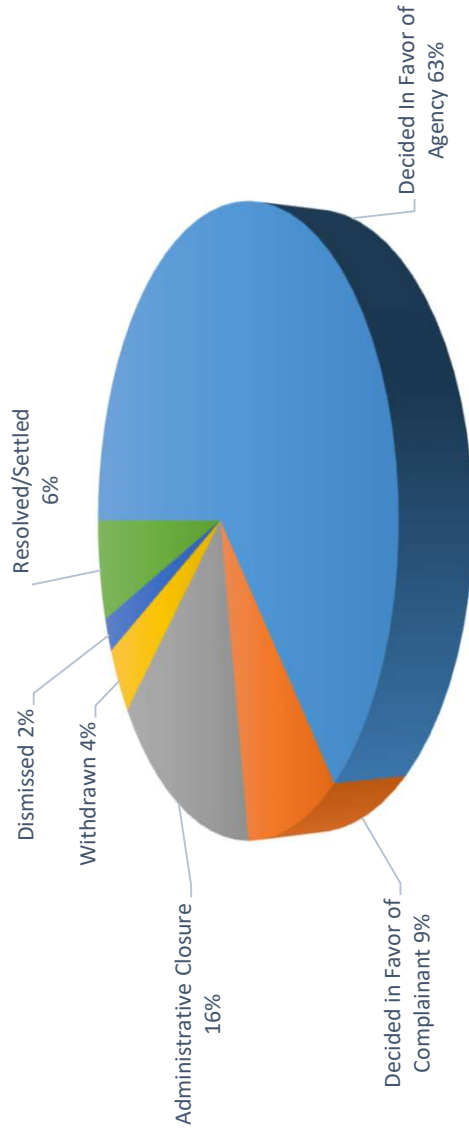


- MTA disposed of **169** Title VI complaints and **0** Title VI lawsuits
- **89.9%** complaints decided in favor of the agency.
  - **2.4%** complaints decided in favor of the complainant.
  - **7.7%** complaints were administrative closures.
  - **0%** complaints were withdrawn.
  - **0%** complaints were dismissed.
  - **0%** complaints were resolved/settled.



# MTA-Wide EEO Complaints and Lawsuits Dispositions January 1, 2020 to December 31, 2020

Overall EEO Complaints and Lawsuits Dispositions



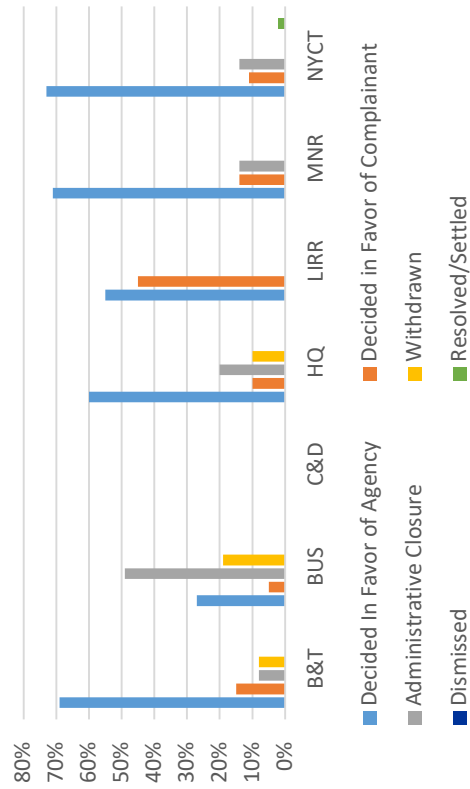
MTA disposed **190** EEO complaints and **21** EEO lawsuits.

- **63%** complaints/lawsuits decided in favor of the agency.
- **9%** complaints /lawsuits decided in favor of the complainant.
- **16%** complaints/lawsuits were administrative closures.
- **4%** complaints/lawsuits were withdrawn.
- **2%** complaints/lawsuits were dismissed.
- **6%** complaints/lawsuits were resolved/settled.

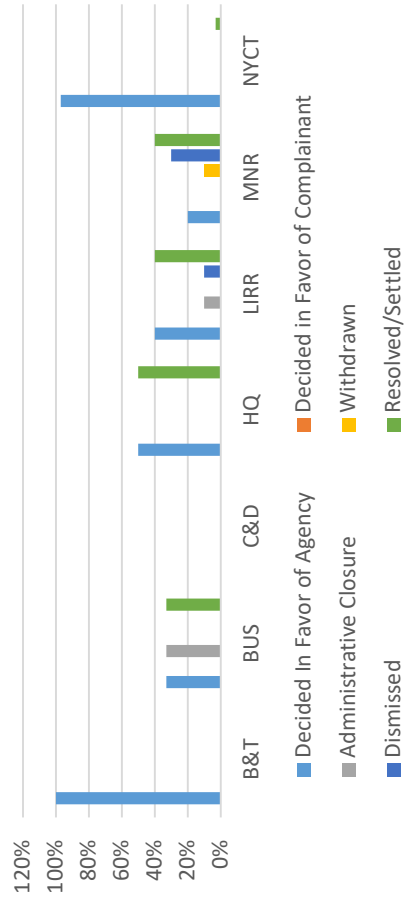


# MTA-Wide Internal/External EEO Complaints and Lawsuits Dispositions January 1, 2020 to December 31, 2020

### EEO Internal Complaint Dispositions



### EEO External Complaint and Lawsuits Dispositions



Metropolitan Transportation Authority  
Department of Diversity and  
Civil Rights

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

**February 18, 2021**



# Small Business Development Program

## **Mission Statement**

To develop and grow emerging contractors through classes, on-the-job training and technical assistance on prime contracts with MTA Agencies, thereby creating a larger pool of diverse qualified contractors who can compete for, and complete MTA construction projects safely, timely and within budget.



# Elements of the SBDP

- Prime Contract Bid Opportunities up to \$3 million
- Business Management, Leadership and Technical Training
- Access to Working Capital and Surety Bonding
- Comprehensive business consulting services
- Experience working on MTA Projects up to \$3 million
- Fast-Track Payments – 10 Business Days





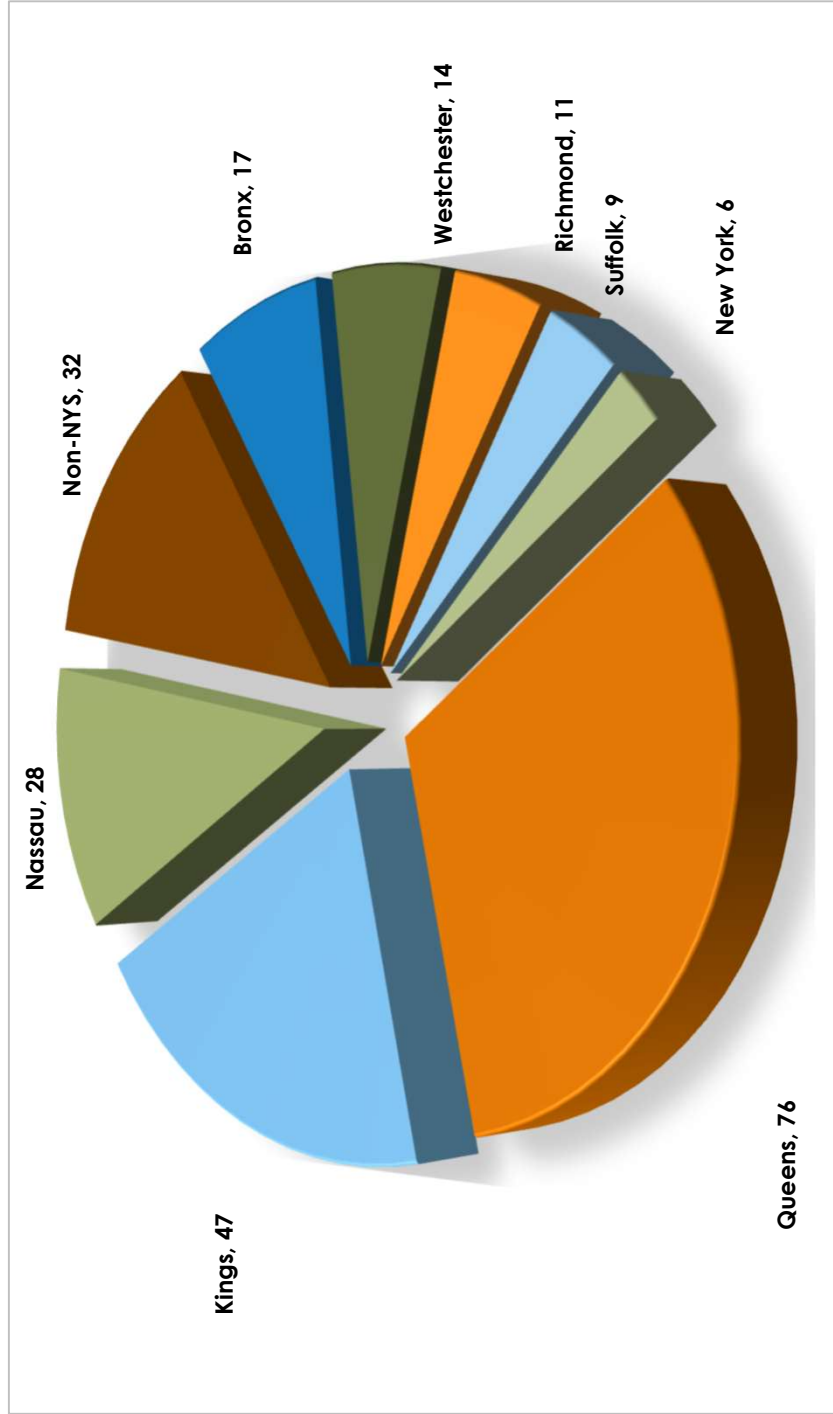
# SBDP Represents NY Metro Region

## Small Business Mentoring Program All Tiers

Certification	
MBE	145
WBE	32
DBE	61
SDVOB	12
Non-Certified	76

firms may have multiple certifications

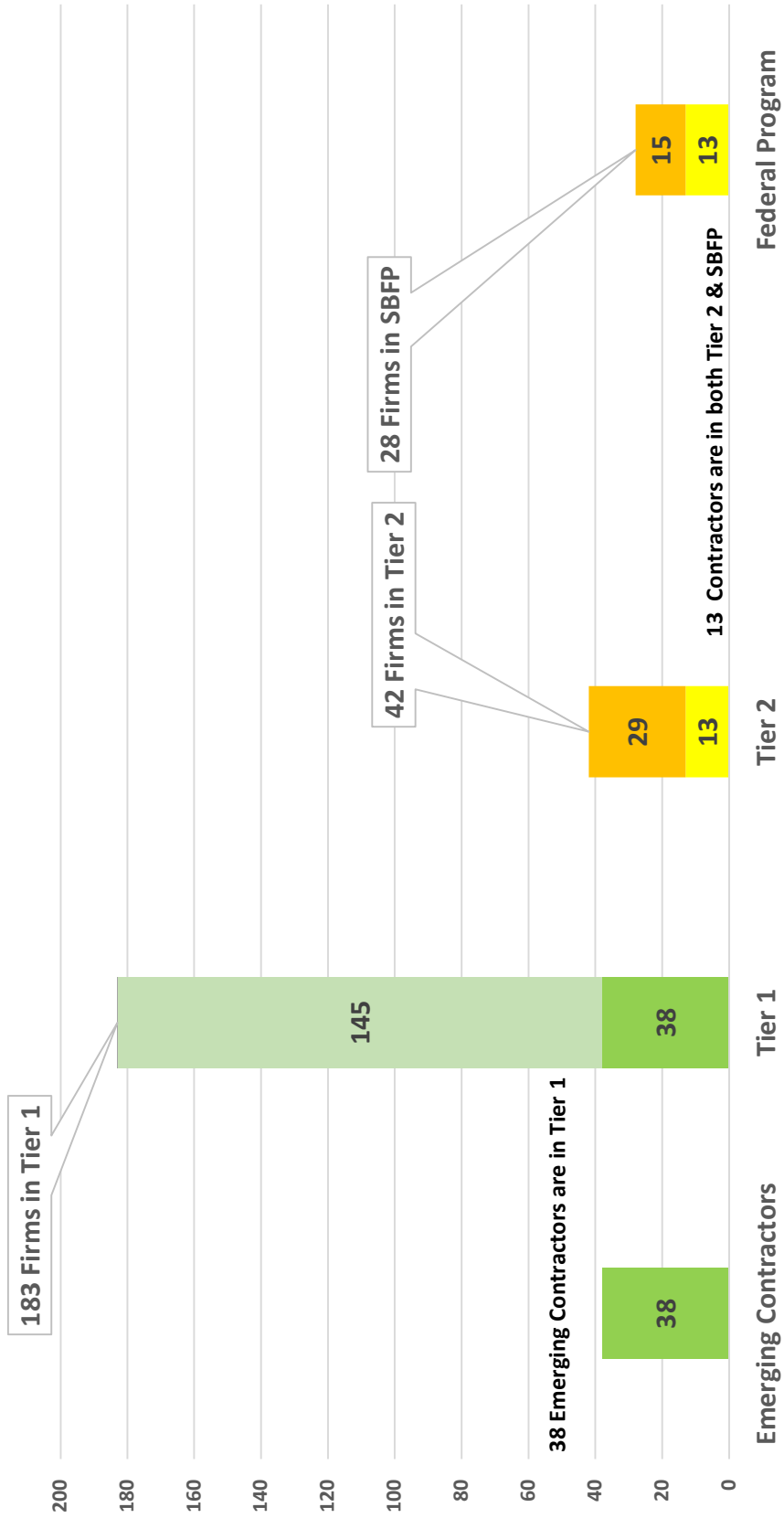
240\* Prequalified Firms (as of December 31, 2020)



\* Note: 13 firms are in both Tier 2 and SBFP with each only counted once above.



# SBDP Tier Participants

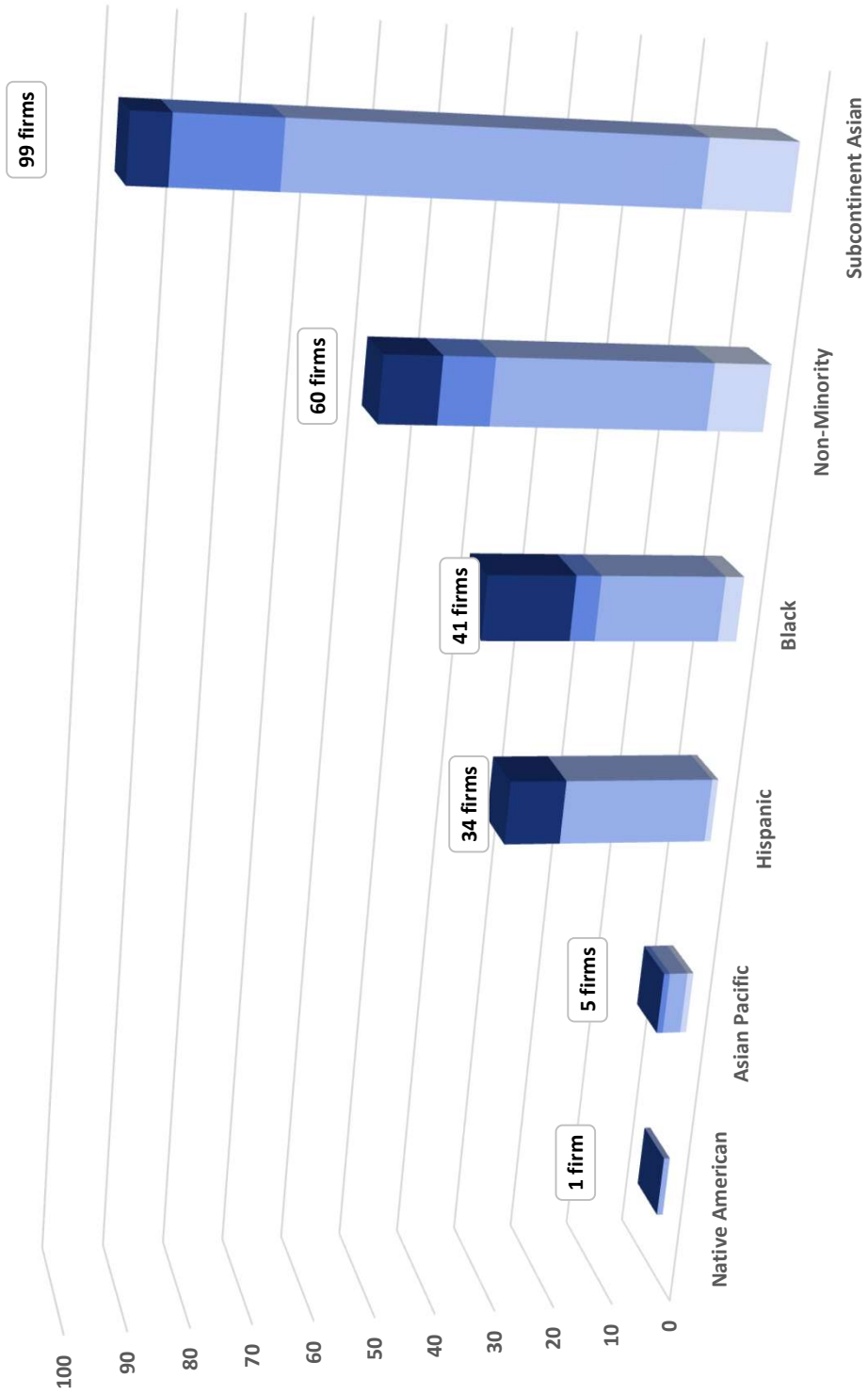


as of December 31, 2020



# SBDP Tiers are also Diverse

Ethnicity of Prequalified Contractors in Program Tiers

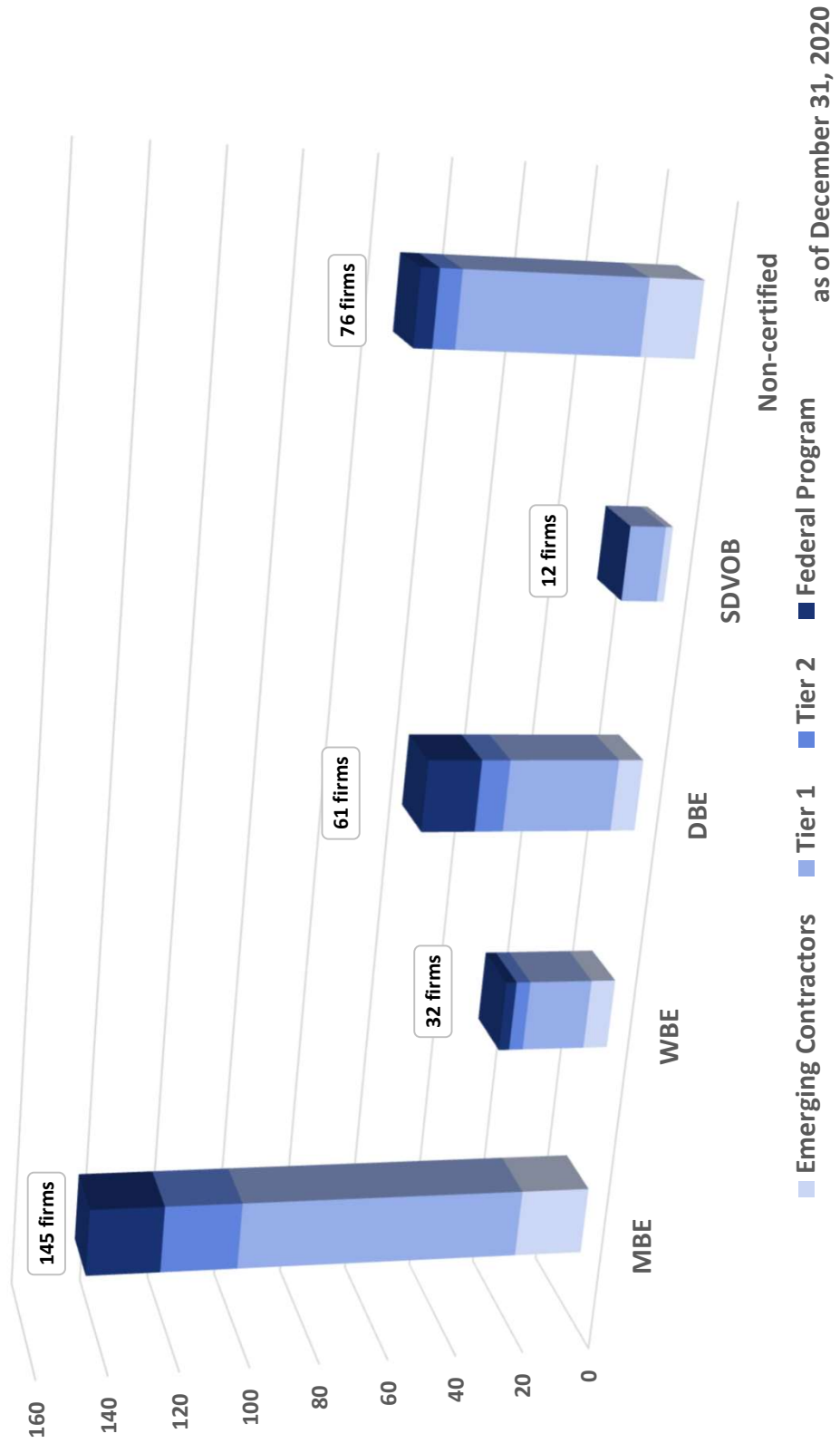


as of December 31, 2020

Emerging Contractors Tier 1 Tier 2 Federal Program

# SBDP Certifications

Certifications of Prequalified Contractors in Program Tiers

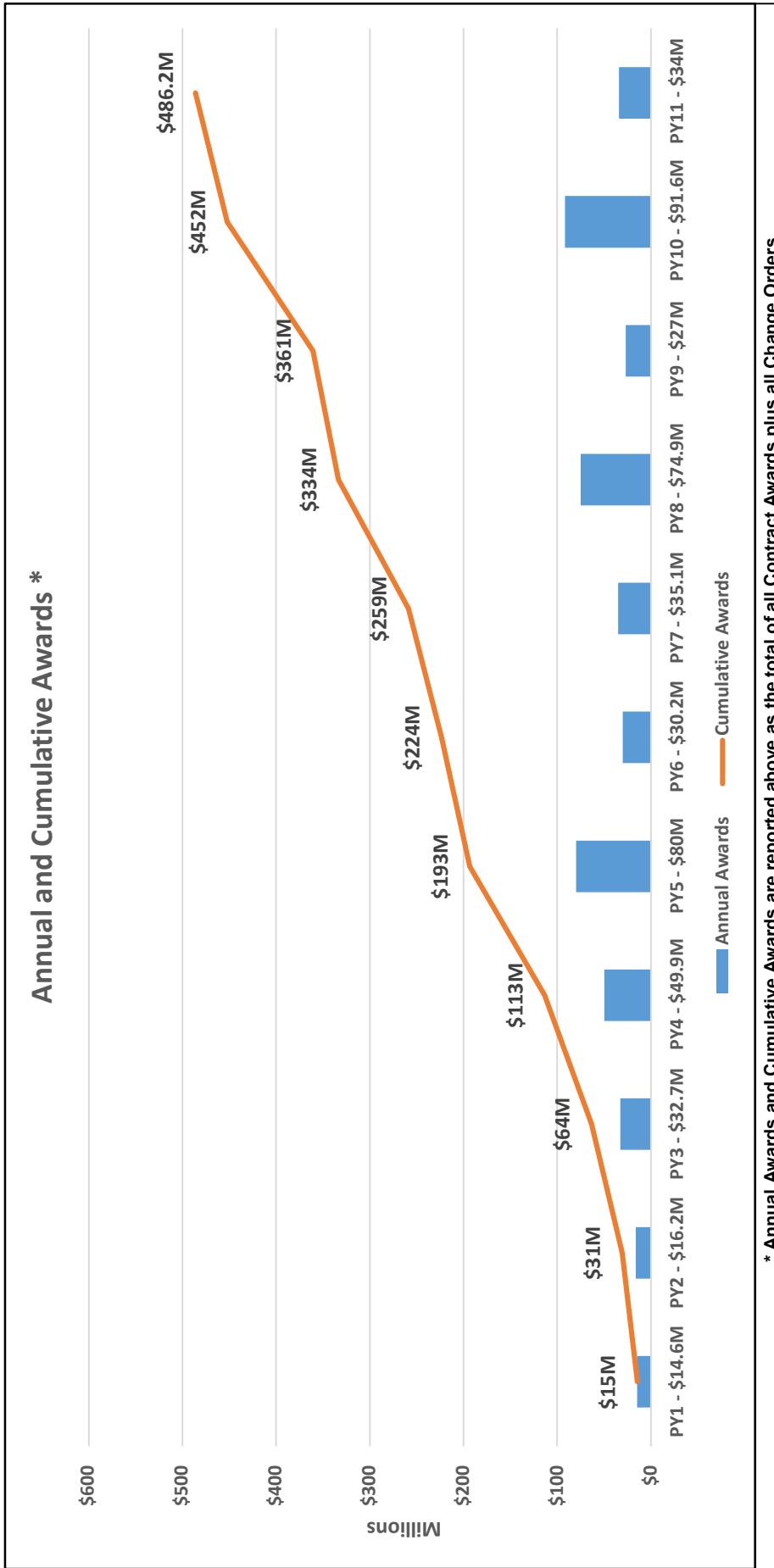


# SBDP is Exceeding MWDBE Goals

- ▶ 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
  - ▶ **68%** - contracts awarded to NYS-certified MWBEs
  - ▶ **66%** - contract dollars awarded to NYS-certified MWBEs
- ▶ Tier 2 MWBE Achievements
  - ▶ **87%** - contracts awarded to NYS-certified MWBEs
  - ▶ **86%** - contracts dollars awarded to NYS-certified MWBEs
- ▶ Federal Program DBE Achievements
  - ▶ **68%** - contracts awarded to DBEs
  - ▶ **66%** - contracts dollars awarded to DBEs
- ▶ SDVOB Achievements
  - ▶ **1%** - contracts awarded to SDVOBs
  - ▶ **1%** - contract dollars awarded to SDVOBs



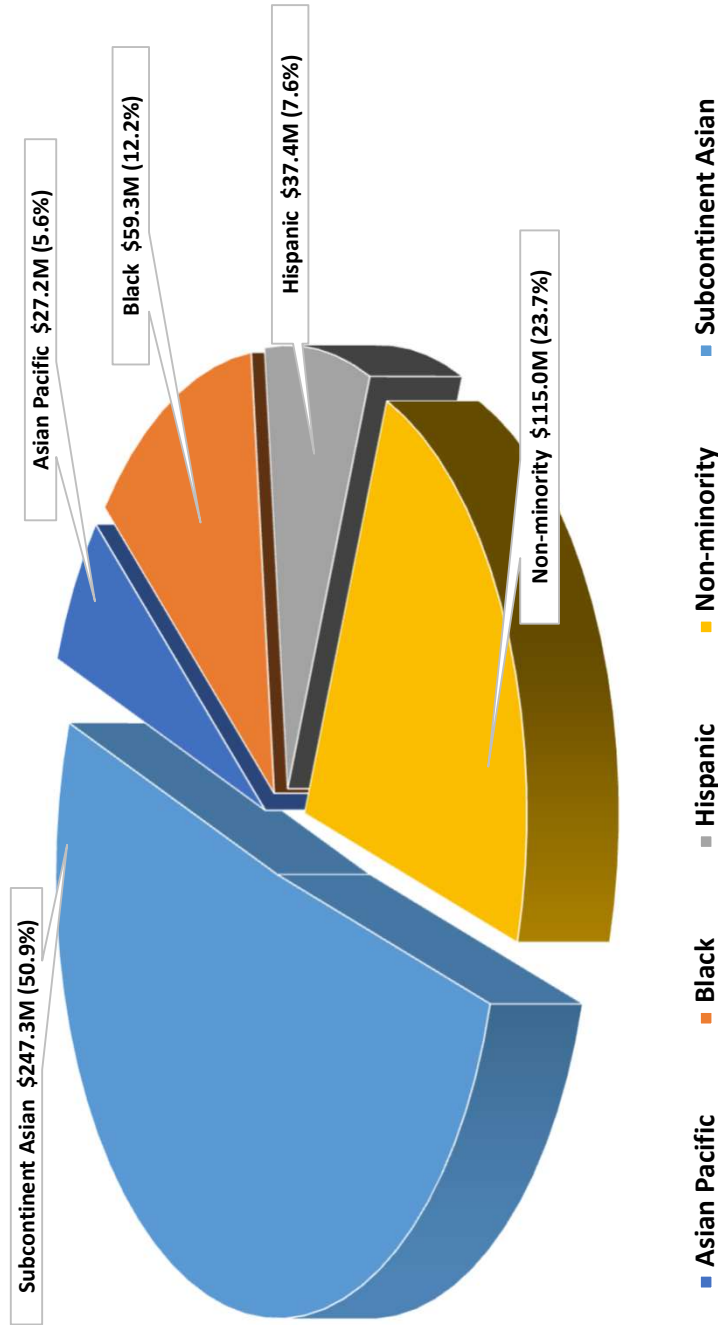
# SBDP Prime Contract Opportunities



Program Year 1-11 awards through December 31, 2020

# SBDP Contract Awards

## Total SBDP Contract Awards by Ethnic Categories



Category	Legend	Awards
Subcontinent Asian	■	\$247.3M
Non-Minority/Other	■	\$115.0M
Black	■	\$59.3M
Hispanic	■	\$37.4M
Asian Pacific	■	\$27.2M
<b>Total SBDP Awards</b>		<b>\$486.2M</b>

(Awards in Millions of Dollars)

Contract Awards through December 31, 2020



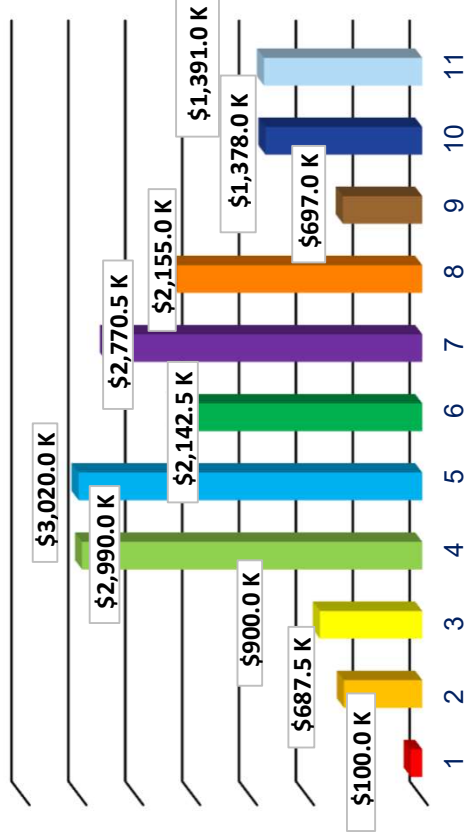
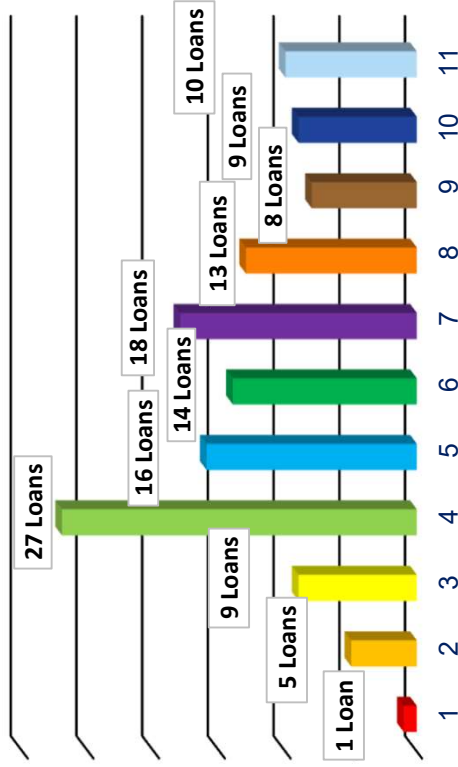
# SBDP Loan Program

Loan values shown are through December 31, 2020

Year 1	1 Loan	totaling	\$ 100,000
Year 2	5 Loans	totaling	\$ 687,500
Year 3	9 Loans	totaling	\$ 900,000
Year 4	27 Loans	totaling	\$2,990,000
Year 5	16 Loans	totaling	\$3,020,000
Year 6	14 Loans	totaling	\$2,142,500
Year 7	18 Loans	totaling	\$2,770,500
Year 8	13 Loans	totaling	\$2,155,000
Year 9	8 Loans	totaling	\$ 697,000
Year 10	9 Loans	totaling	\$1,378,000
Year 11	10 Loans	totaling	\$1,391,000
<b>Total 129 Loans Totals</b>			<b>\$18,231,500</b>

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

Note: On January 1, 2019, the SBDP began reporting on a Calendar year instead of a Fiscal year.  
Year 9 now only represents activity from August 1<sup>st</sup> 2018 to December 31<sup>st</sup>, 2018  
Year 10 represents calendar year 2019.  
Year 11 represents calendar year 2020.





# SBDP Awards

Program Year	Tier	Dollars Awarded
➤ 2010 – 2020	SBMP-Tier 1	Awards total <b>\$186.3</b> Million
➤ 2015 – 2020	SBMP-Tier 2	Awards total <b>\$175.7</b> Million
➤ 2013 – 2020	SBFP	Awards total <b>\$124.2</b> Million
	All Tiers	Awards total <b>\$486.2</b> Million



# SBDP Facilitates Bonding and Growth

- The Small Business Development Bond Program has assisted Tier 2 and SBFP firms in securing **\$484 million** in surety bonds.
- **1,105** bid opportunities in the **Tier 2** and **Federal** programs
- **152** contract awards in the **Tier 2** and **Federal** programs
- Ongoing consultation with contractors to maximize bidding opportunities by increasing bonding capacity
- **Engaging Tier 1** contractors 24-36 months before graduation to ensure access to bonding and eligibility for the Tier 2 and the Federal Program



# TRAINING IS INTEGRAL TO SUCCESS

- Over **200** classroom training dates completed from July 2010 through December 2020
- Over **1,800** hours of classroom training provided from July 2010 through December 2020
- More than **750** firms have participated in the training since the inception of the program
  - Over **400** of these firms have applied to and prequalified into the SBMP
- All prequalified contractors complete a mandatory 14-session training program
- Over **20** course attendees were registered for the recent training sessions
  - assisting them through the application and pre-qualification process

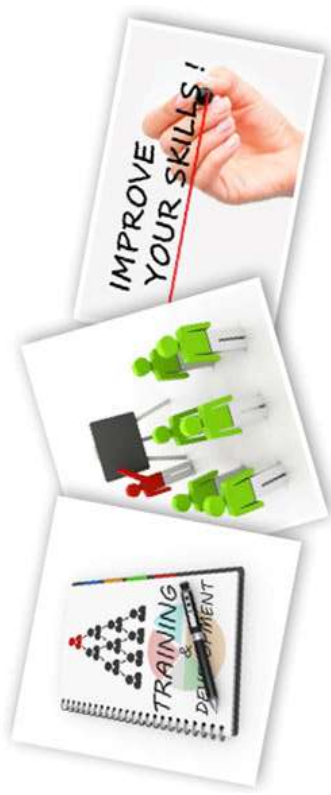


# Training Classes Continue to Evolve

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

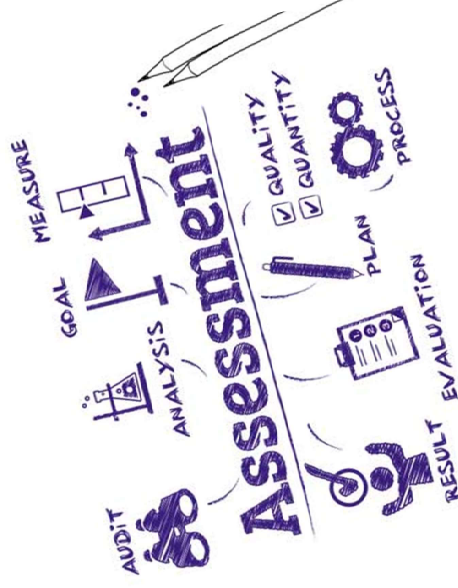
## ➤ Course topics include:

- Doing Business with the MTA and Prime Contractors
- Prevailing Wages / Project Management
- Estimating and Bidding Strategies at the MTA
- Project Scheduling at the MTA
- Cash Flow and Financial Management
- Safety and Quality Planning at the MTA
- Requisition and Change Order Process
- Business Communications
- Marketing Your Business to the NY Construction Industry
- Construction Law
- Developing a Profitable Business in the MTA Region
- Surety Bonding, Access to Capital, and The CEO Toolkit
- Navigating MTA Contracts & MWDBE Compliance / Strategic Business Development
- How to be a Prime Contractor



# Assessments Plot a Course of Action

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



# Benefits Of The Program

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



Metropolitan Transportation Authority  
Department of Diversity and  
Civil Rights

M/W/DBE and SDVOB  
Contract Compliance

February 18, 2021

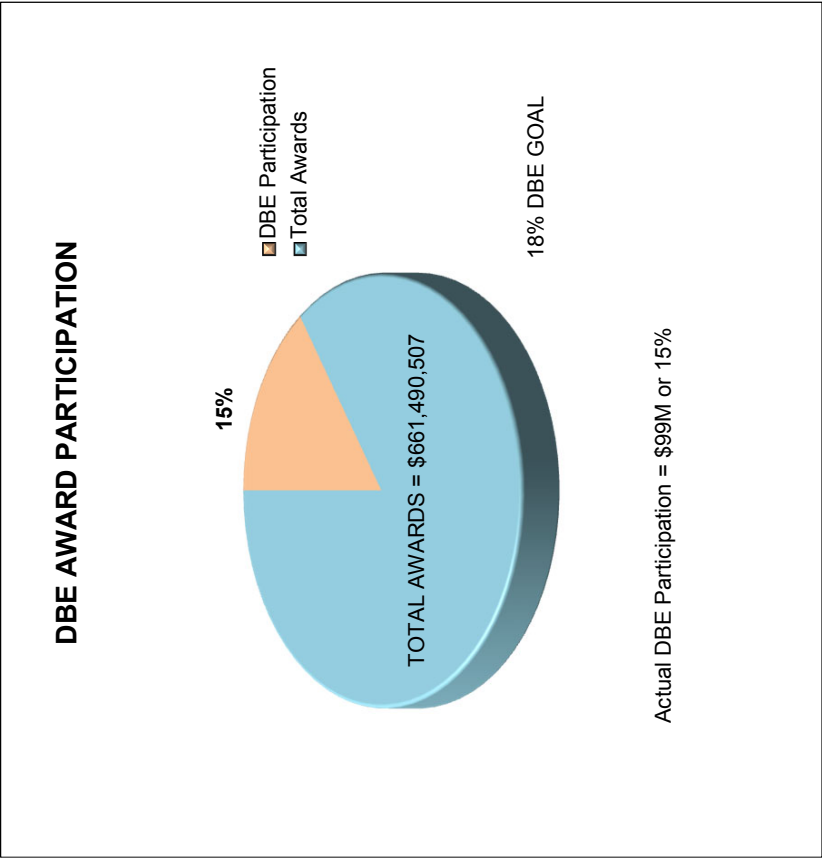


**DBE Participation in Federally Funded Contracts  
Federal Fiscal Year 2020  
(Reporting Period: October 1, 2019 to September 30, 2020)**

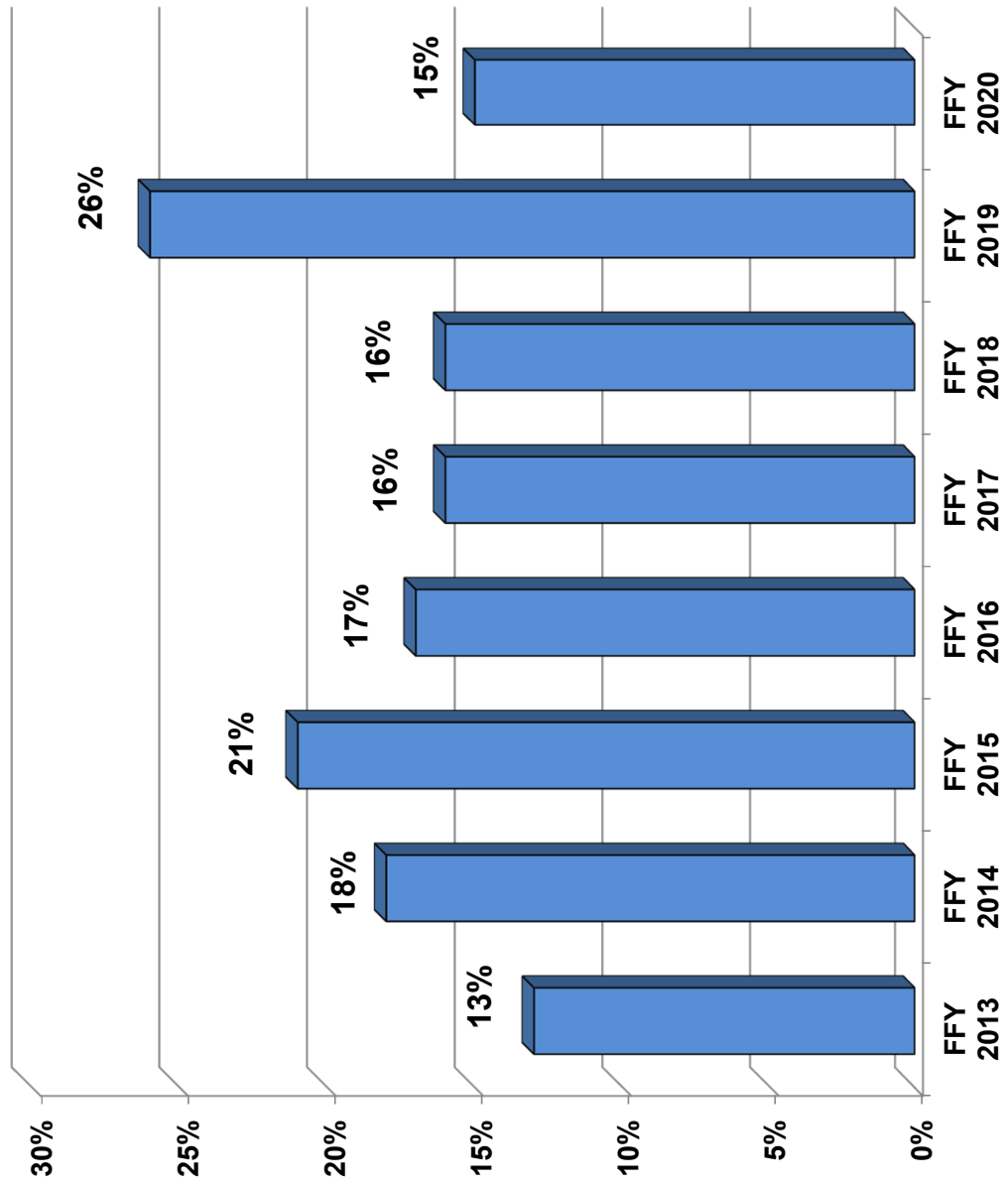
- Each year, MTA reports to the Federal Transit Administration on a semi-annual basis DBE participation in federally funded contracts.
- Reports are submitted on June 1st -- covering October through March, and December 1st -- covering April through September. The December report also summarizes data for the entire Federal Fiscal Year (“FFY”).
- Reports include DBE participation data on new awards and payments on ongoing, and completed contracts.
- For FFY 2020, MTA’s DBE goal is 18%.
- During the FFY 2020, MTA awarded \$661 million in the federally funded portion of contracts, with \$99 million (15%) being awarded to certified DBEs.
- During the FFY 2020, MTA paid prime contractors \$1.66 billion, with payments to certified DBEs totaling \$299 million (18%).
- On contracts closed during the FFY 2020, MTA achieved 14% DBE participation.



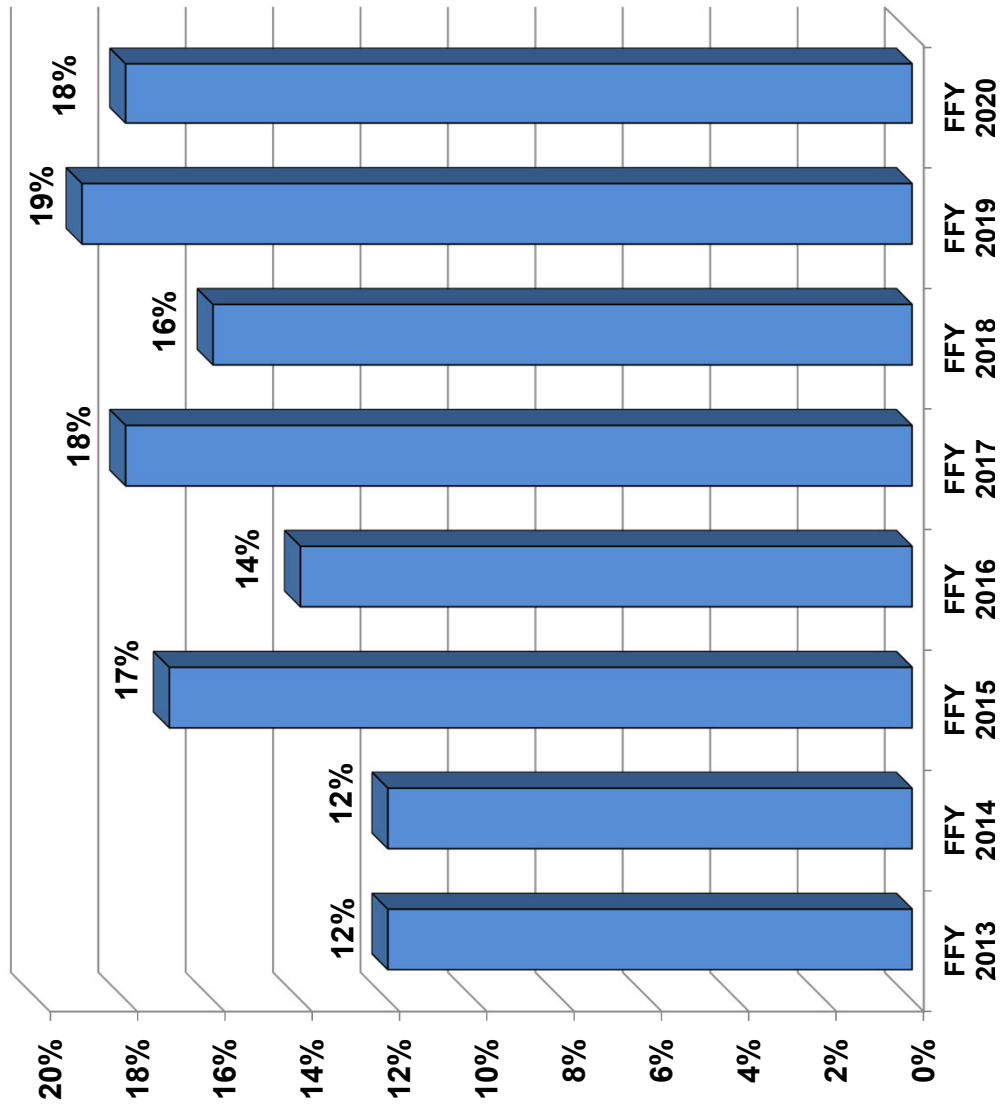
FEDERALLY-FUNDED CONTRACTS  
 DBE CONTRACT ACTIVITY  
 FEDERAL FISCAL YEAR 2020(OCTOBER 2019-SEPTEMBER 2020)



**DBE CONTRACT AWARDS  
October 2012 - September 2020**



**DBE CONTRACT PAYMENTS  
October 2012 - September 2020**



**FEDERALLY-FUNDED CONTRACTS  
DBE CONTRACT ACTIVITY  
FEDERAL FISCAL YEAR 2020 (OCTOBER 2019-SEPTEMBER 2020)**

**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 October 2019- March 2020</b>	570	\$290,777,976	111	\$49,161,717	17%	18%
<b>2ND SEMI-ANNUAL REPORT April 2020- September 2020</b>	699	\$370,712,531	70	\$50,083,338	14%	18%
<b>TOTAL</b>	<b>**1,269</b>	<b>\$661,490,507</b>	<b>181</b>	<b>\$99,245,055</b>	<b>15%</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 October 2019- March 2020</b>	696	\$867,300,749	543	\$139,220,727	16%	18%
<b>2ND SEMI-ANNUAL REPORT April 2020- September 2020</b>	815	\$792,665,991	282	\$160,271,401	20%	18%
<b>TOTAL</b>	<b>1,511</b>	<b>\$1,659,966,740</b>	<b>825</b>	<b>\$299,492,128</b>	<b>18%</b>	<b>18%</b>

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

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

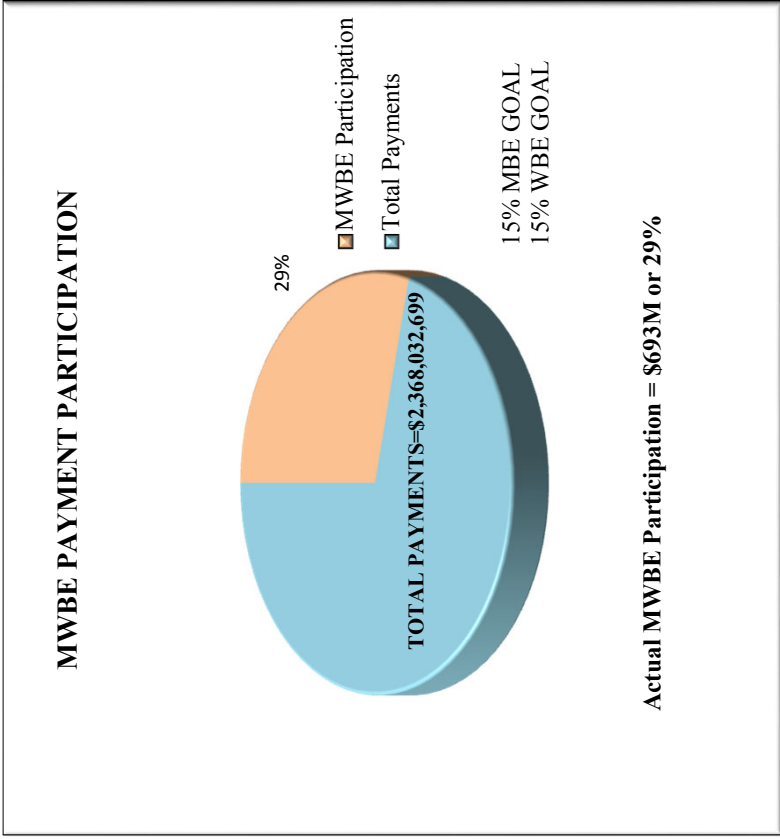
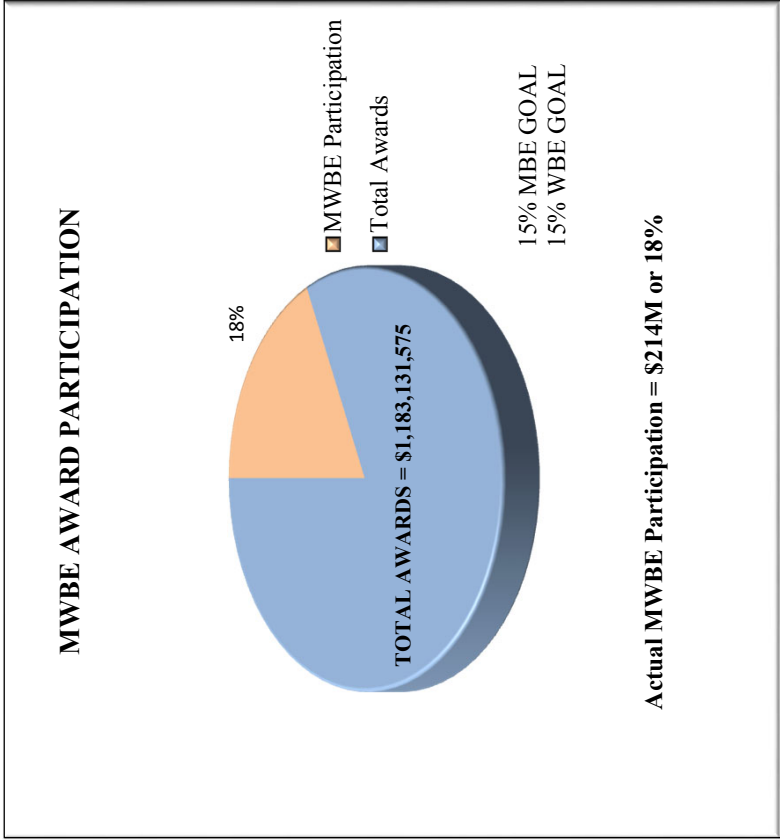
## **MWBE Participation in State Funded Contracts New York State Fiscal Year 2020-2021\***

- Each year, MTA reports to the Empire State Development Corporation on a quarterly basis MWBE participation on state funded contracts.
- Reports are submitted 15 days after the end of each quarter, on January 15, April 15\*\*, July 15, and October 15.
- Reports include data on contracts with goals and MWBE contract payments.
- MTA established an overall MWBE goal of 30% for New York State fiscal year 2020-2021, starting April 1, 2020.
- From April 1, 2020 to December 31, 2020, MTA awarded approximately \$ 1.2 billion in New York State funded contracts, with \$ 214 million (18%) awarded to certified MWBEs.
- From April 1, 2020 to December 31, 2020, MTA paid approximately \$2.4 billion on prime contracts with \$693 million (29%), paid to MWBEs.

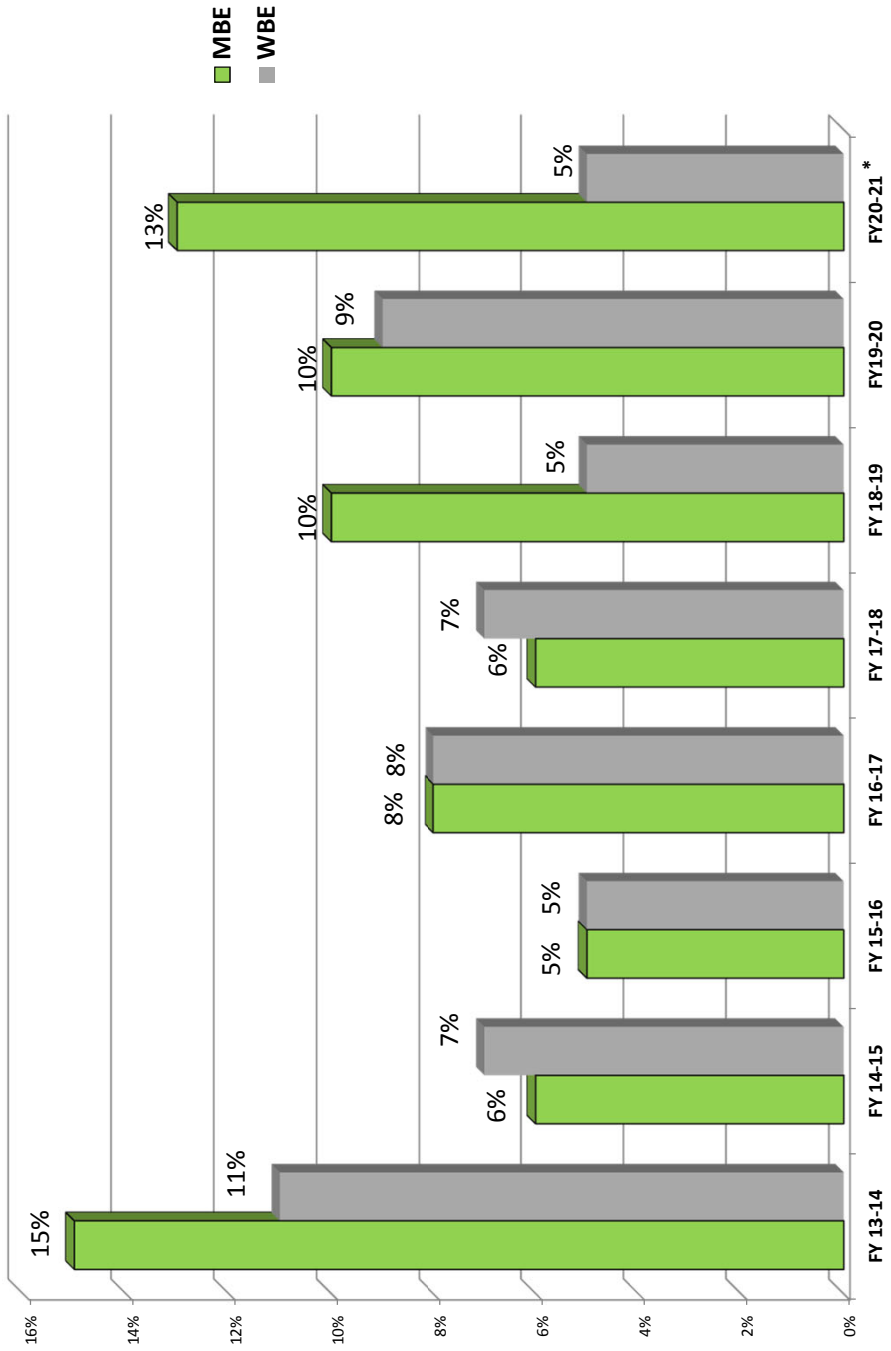
\*The State Fiscal Year runs from April 1<sup>st</sup> through March 31<sup>st</sup>.

\*\*Due to the COVID-19 outbreak, the April 15, 2020 submission date was moved to May 15, 2020.

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



**NYS MWBE AWARDS  
APRIL 2013 - DECEMBER 2020**



\* FY 2020-2021, first three quarters (April 2020 to December 2020).

**NYS MWBE PAYMENTS  
APRIL 2013 - DECEMBER 2020**



\* FY 2020-2021, first three quarters (April 2020 to December 2020).



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

CONTRACT AWARDS	PRIME AWARDS		MWBE AWARDS			NYS Goal
	Number of Contracts	Award Amount	Number of MWBE Subcontracts	MWBE Award Amount	MWBE %	
FIRST QUARTER APRIL 2020-JUNE 2020	10,370	\$540,136,153	946	\$110,032,599	20%	30%
SECOND QUARTER JULY 2020-SEPTEMBER 2020	12,323	\$403,048,869	1,286	\$62,232,066	15%	30%
THIRD QUARTER OCTOBER 2020-DECEMBER 2020	12,726	\$239,946,553	1,208	\$41,614,121	17%	30%
<b>TOTAL</b>	<b>35,419</b>	<b>\$1,183,131,575</b>	<b>3,440</b>	<b>\$213,878,786</b>	<b>18%</b>	<b>30%</b>

CONTRACT PAYMENTS	PAYMENTS TO PRIMES		MWBE PARTICIPATION		NYS Goal	
	Number of Contracts	Payment Amount	Number of MWBE Contracts	MWBE Payment Amount		
FIRST QUARTER APRIL 2020-JUNE 2020	2,351	\$710,106,248	3,091	\$193,293,681	27%	30%
SECOND QUARTER JULY 2020-SEPTEMBER 2020	2,274	\$859,062,955	3,243	\$244,211,674	28%	30%
THIRD QUARTER OCTOBER 2020-DECEMBER 2020	2,350	\$798,863,496	3,516	\$255,440,069	32%	30%
<b>TOTAL</b>	<b>6,975</b>	<b>\$2,368,032,699</b>	<b>9,850</b>	<b>\$692,945,424</b>	<b>29%</b>	<b>30%</b>

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

- Each year, MTA reports to the Office of General Services on a quarterly basis SDVOB participation on state funded contracts.
- Reports are submitted 30 days after the end of each quarter, on January 30, April 30\*, July 30, and October 30.
- Reports include data on contracts with SDVOB goals and payments made to SDVOBs.
- MTA established an overall SDVOB goal of 6% for State fiscal year 2020-2021, starting on April 1, 2020.
- From April 2020 to December 2020, MTA awarded approximately \$113 million with \$28.5 million (25%) awarded to SDVOBs.
- From April 2020 to December 2020, MTA paid approximately \$770 million on prime contracts with \$26.2 million (3%) paid to SDVOBs.

\*Due to the COVID-19 outbreak, the April 30, 2020 submission date was moved to May 31, 2020.

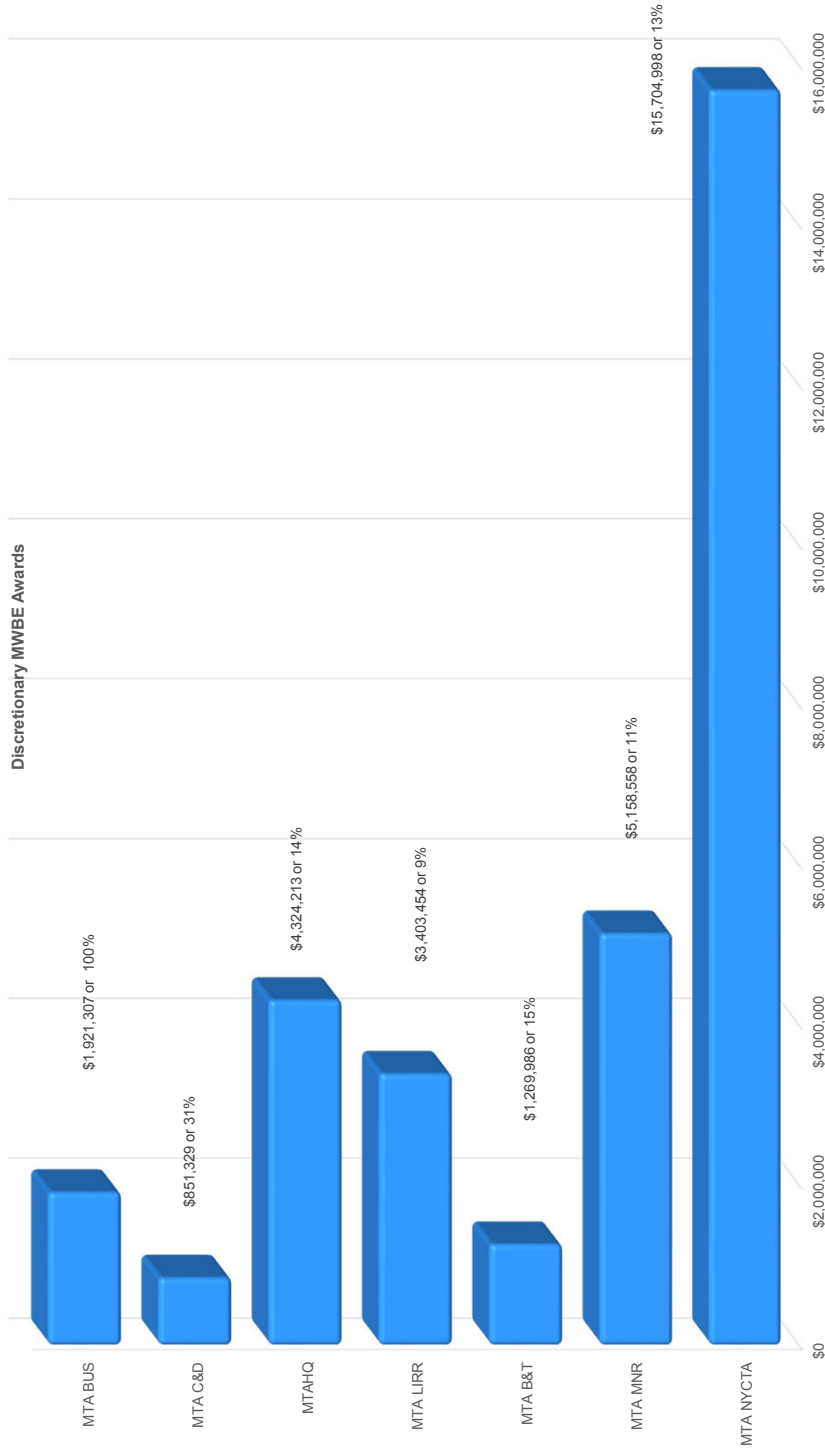
**SDVOB CONTRACT AWARDS  
FY 2020-2021**

<b>CONTRACT AWARDS</b>	<b>Agency Awards</b>	<b>SDVOB Awards</b>	<b>SDVOB%</b>
FIRST QUARTER (APRIL 2020 - JUNE 2020)	\$52,928,469	\$19,589,968	37%
SECOND QUARTER (JULY 2020 - SEPTEMBER 2020)	\$36,735,373	\$5,132,077	14%
THIRD QUARTER (OCTOBER 2020 - DECEMBER 2020)	\$22,840,825	\$3,827,670	17%
<b>FY 2020-2021 TOTAL</b>	<b>\$112,504,667</b>	<b>\$28,549,715</b>	<b>25%</b>

**SDVOB CONTRACT PAYMENTS  
FY 2020-2021**

<b>CONTRACT PAYMENTS</b>	<b>Agency Disbursements</b>	<b>SDVOB Disbursements</b>	<b>SDVOB%</b>
FIRST QUARTER (APRIL 2020 - JUNE 2020)	\$214,224,498	\$11,212,287	5%
SECOND QUARTER (JULY 2020 - SEPTEMBER 2020)	\$287,868,755	\$9,561,798	3%
THIRD QUARTER (OCTOBER 2020 - DECEMBER 2020)	\$267,699,025	\$5,461,205	2%
<b>FY 2020-2021 TOTAL</b>	<b>\$769,792,278</b>	<b>\$26,235,291</b>	<b>3%</b>

MTA ALL AGENCY  
 DISCRETIONARY PROCUREMENTS REPORT\*  
 APRIL 2020 - DECEMBER 2020



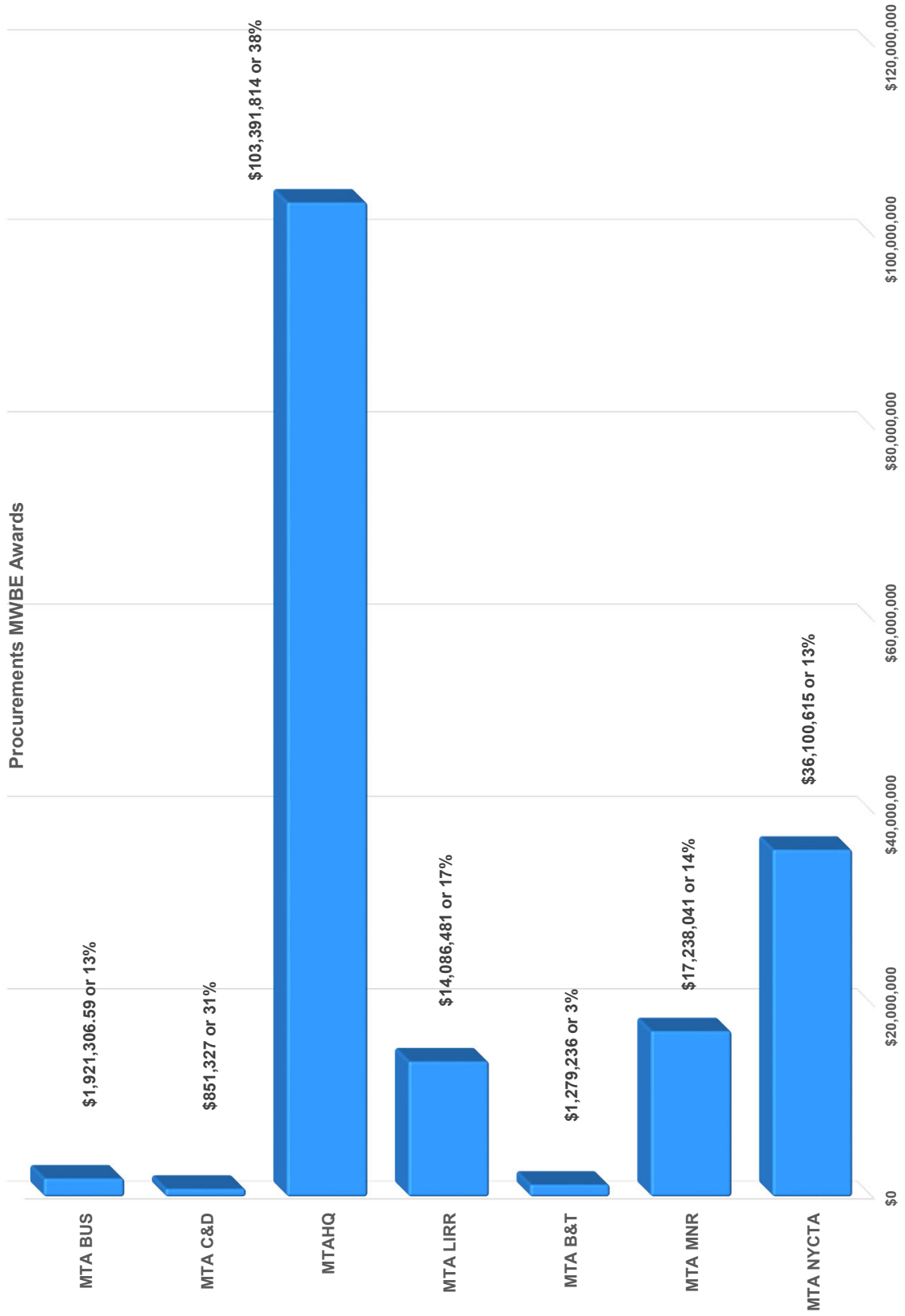
\*Discretionary procurements include purchases for goods, miscellaneous procurements, personal or miscellaneous services.

**MTA ALL AGENCY  
DISCRETIONARY PROCUREMENT REPORT\*  
April 2020 - December 2020**

Agency	Total Awards \$IM or Less	MWBE Discretionary Awards	Discretionary MWBE	SBC Discretionary	Discretionary SBC
MTA NYCTA	\$ 123,015,012.78	\$ 15,704,998.42	13%	\$ 3,808,392.00	3%
MTA MNR	\$ 48,895,507.59	\$ 5,158,558.00	11%	\$ 468,236.62	1%
MTA B&T	\$ 8,343,738.52	\$ 1,269,986.16	15%	\$ -	0%
MTA LIRR	\$ 36,534,038.43	\$ 3,403,453.80	9%	\$ 1,263,246.84	3%
MTA HQ	\$ 30,692,686.00	\$ 4,324,213.00	14%	\$ -	0%
MTA C&D	\$ 2,785,769.07	\$ 851,329.47	31%	\$ -	0%
MTA BUS	\$ 1,921,306.59	\$ 1,921,306.59	100%	\$ -	0%
<b>Total</b>	<b>\$ 252,188,059</b>	<b>\$ 32,633,845</b>	<b>13%</b>	<b>\$ 5,539,875</b>	<b>2%</b>

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

**MTA ALL AGENCY  
TOTAL PROCUREMENTS REPORT  
APRIL - DECEMBER 2020**



**MTA ALL AGENCY  
TOTAL PROCUREMENTS  
APRIL 2020 - DECEMBER 2020**

<b>Agency</b>	<b>Total Award Amount</b>	<b>Total MWBE Awards</b>	<b>MWBE</b>
<b>MTA NYCTA</b>	\$ 281,304,355.36	\$ 36,100,614.65	13%
<b>MTA MNR</b>	\$ 124,105,579.97	\$ 17,238,041.00	14%
<b>MTA B&amp;T</b>	\$ 39,186,022.94	\$ 1,279,236.16	3%
<b>MTA LIRR</b>	\$ 83,188,059.22	\$ 14,086,480.86	17%
<b>MTA HQ</b>	\$ 271,459,448.00	\$ 103,391,813.85	38%
<b>MTA C&amp;D</b>	\$ 2,785,769.07	\$ 851,327.47	31%
<b>MTA BUS</b>	\$ 14,933,114.66	\$ 1,921,306.59	13%
<b>Total</b>	<b>\$ 816,962,349</b>	<b>\$ 174,868,821</b>	<b>21%</b>

Metropolitan Transportation Authority  
Department of Diversity and  
Civil Rights

Discretionary A&E, IT, and Legal

February 18, 2021





A/E Awards thru Discretionary Procurement January to December 2020

#	Agency	Contract Number	Project Name & Description	Primary Trades	Contract Amount	Notice of Award Date	Contractor	Contractor Certification
1	B&T	14073-2000-TBTA; Work Order #21	Staff Augmentation – Architectural Services	Staff Augmentation – Architectural Services	\$ 203,840	2/5/20	Distinct Engineering Solutions, Inc.	MBE
2	B&T	14073-4400-TBTA - Task 22	Safety Manager Services	As-Needed Construction Administration, Inspection and Support Services	\$ 264,024	7/23/20	SA Engineering, LLC	MBE
				<b>B&amp;T Total:</b>	<b>\$ 467,864</b>			
				<b>Total :</b>	<b>\$467,864</b>			

# IT Discretionary

**IT Discretionary Consulting Contract No. 14357  
January - December 2020**

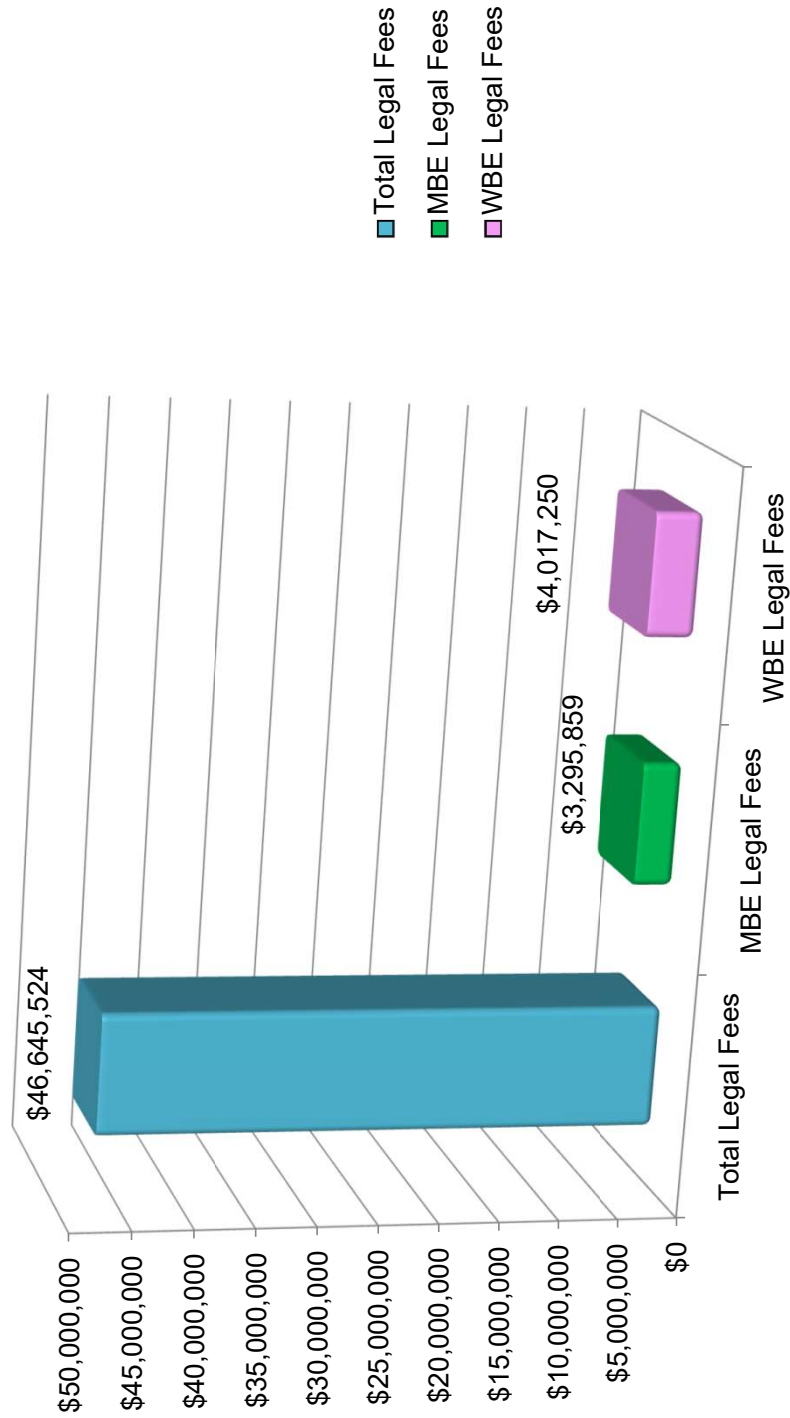
**Total Number of Awards - 90**

**Value of Awards - \$10 million**

**Value of Cumulative Awards - \$124 million**



**MTA ALL AGENCY LEGAL FEES APRIL 2020 - DECEMBER 2020**



**MTA ALL AGENCY LEGAL FEES PAID  
APRIL THROUGH DECEMBER 2020**

<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	\$ 21,262,007	\$ 1,199,554	6%	\$ 205,936	1%	\$ 1,405,490	7%
NYCTA	\$ 10,165,691	\$ 406,269	4%	\$ 1,576,998	16%	\$ 1,983,268	20%
MNR	\$ 1,703,551	\$ 115,811	7%	\$ 155,188	9%	\$ 270,998	16%
LIRR	\$ 705,347	\$ 52,881	7%	\$ 32,623	5%	\$ 85,504	12%
B&T	\$ 1,847,198	\$ 167,872	9%	\$ 156,720	8%	\$ 324,593	18%
MTA C&D	\$ 1,650,562	\$ 241,702	15%	\$ 164,106	10%	\$ 405,808	25%
MTA BUS	\$ 3,017,768	\$ 194,238	6%	\$ 871,324	29%	\$ 1,065,561	35%
FMTAC	\$ 6,293,400	\$ 917,531	15%	\$ 854,356	14%	\$ 1,771,886	28%
<b>Total</b>	<b>\$ 46,645,524</b>	<b>\$ 3,295,859</b>	<b>7%</b>	<b>\$ 4,017,250</b>	<b>9%</b>	<b>\$ 7,313,109</b>	<b>16%</b>

Metropolitan Transportation Authority  
Department of Diversity and Civil Rights

Status of Closed Contracts  
as of December 31, 2020

February 18, 2021



# MTA Headquarters DDCR Update

## Inactive Contracts – Status as of December 31, 2020

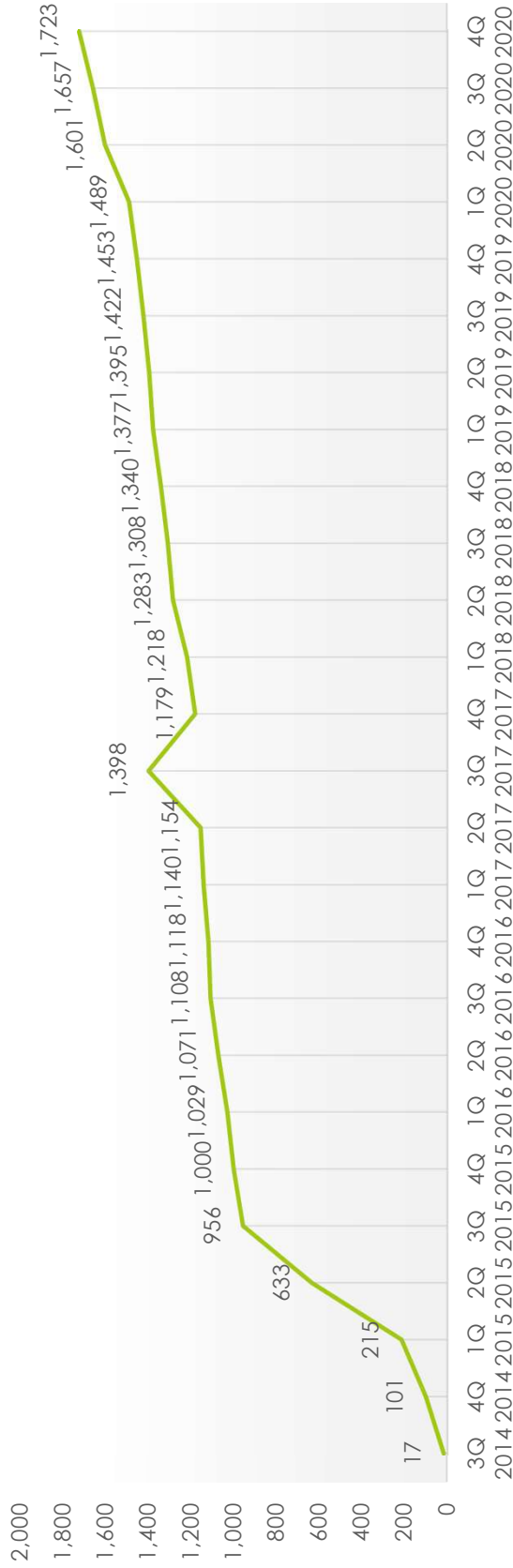
Inactive Contracts with Goals	#
<b>1. Total Contracts Reviewed and Closed</b>	<b>1,416</b>
<b>2. Contracts Administratively Closed</b>	<b>307<sup>1</sup></b>
<b>Sub-Total</b>	<b>1,723 (96%)</b>
<b>3. Closeouts in Progress</b>	<b>41</b>
<b>4. Contracts Pending Agency Action</b>	<b>22</b>
<b>Total</b>	<b>1,786 (100%)</b>

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



# MTA Headquarters DDCR Update

## DDCR Contract Closeout Progression 3Q 2014 through 4Q 2020<sup>2</sup>



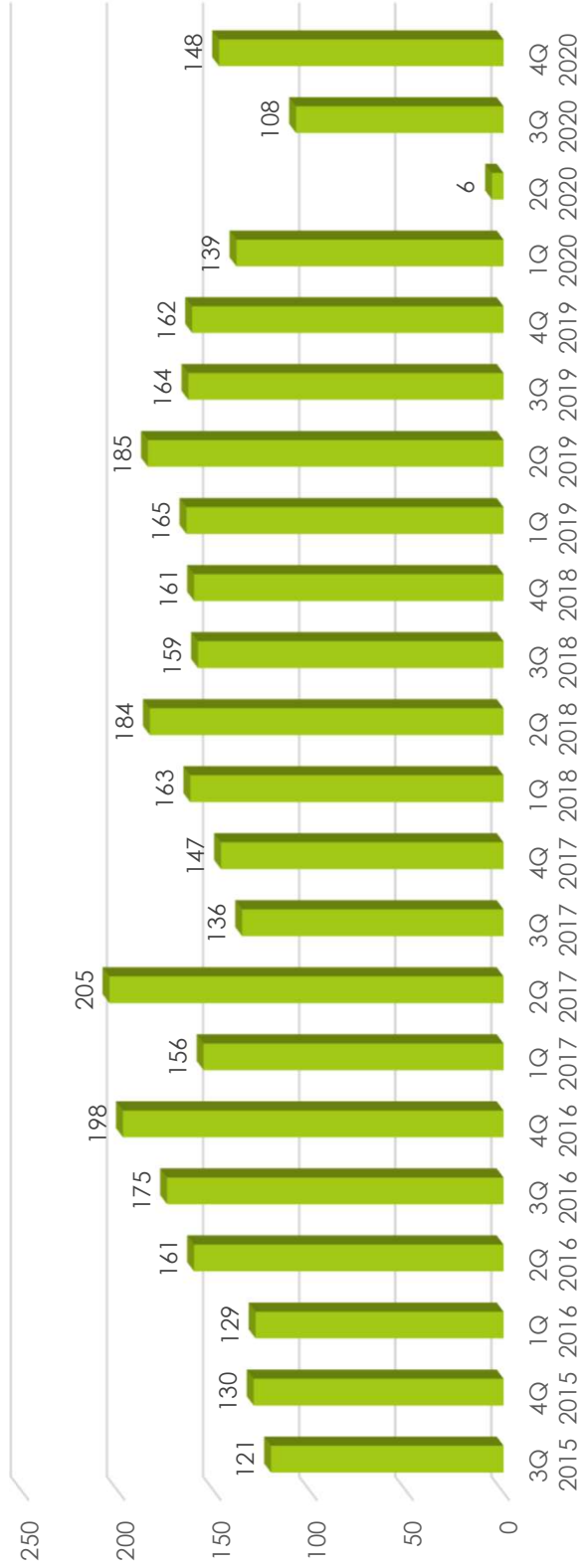
2. The decrease in closeouts between 3Q 2017 and 4Q 2017 is due to approx. 200 contracts being closed out in error, requiring subsequent re-activation.



# MTA Headquarters DDCR Update

DDCR Project Site Visits: 3Q 2015 – 4Q 2020

Total Site Visits Performed = 3,302



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





Metropolitan Transportation Authority  
Department of Diversity and  
Civil Rights

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

February 18, 2021



# MWDBE and SDVOB Participation on MTA Capital Projects with Goals\*

## ▣ **Federal Participation Goal: 18%**

(Federal Fiscal Year 2020 (October 2019 to September 2020))

- ▣ Total Awards: \$381M
- ▣ Total DBE Awards: \$52M (14%)
- ▣ Total Payments: \$612M
- ▣ Total DBE Payments: \$133M (22%)

## ▣ **New York State MBE Participation Goal: 15%**

(First Three Quarters NYS Fiscal Year 2020-2021 (April 2020 – December 2020))

- ▣ Total Awards: \$104M
- ▣ Total MBE Awards: \$15M (15%)
- ▣ Total Payments: \$424M
- ▣ Total MBE Payments: \$49.6M (12%)

## ▣ **New York State WBE Participation Goal: 15%**

(First Three Quarters NYS Fiscal Year 2020-2021 (April 2020 – December 2020))

- ▣ Total Awards: \$104M
- ▣ Total WBE Awards: \$12M (12%)
- ▣ Total Payments: \$424M
- ▣ Total WBE Payments: \$50.4M (12%)

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

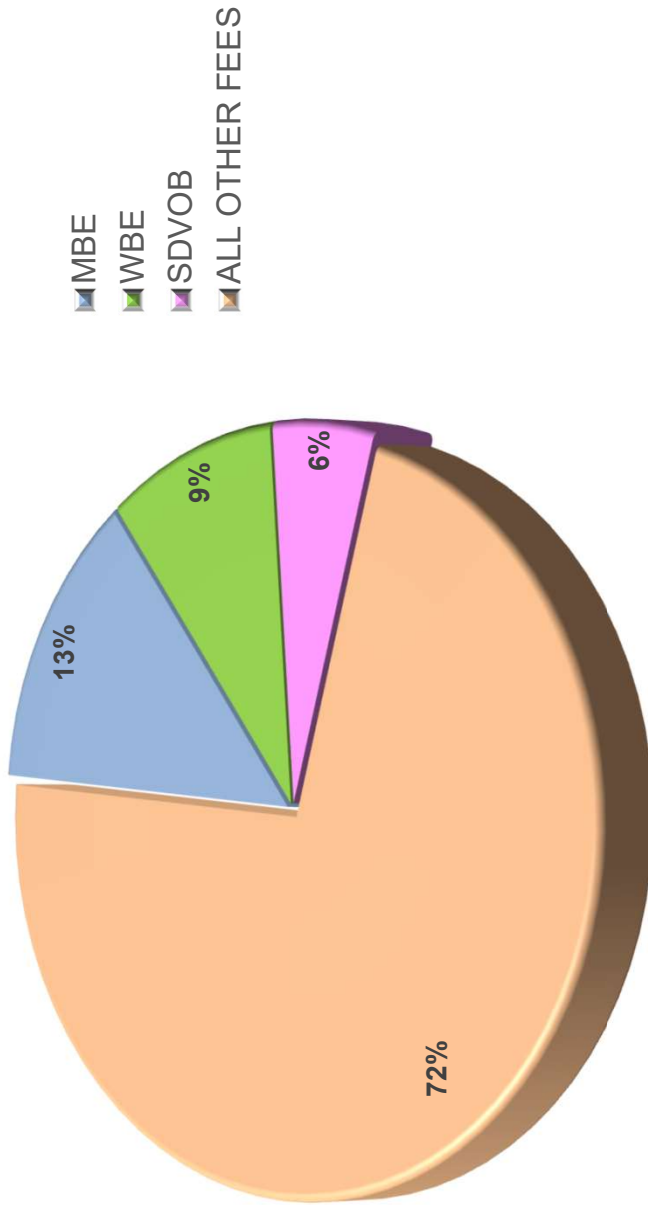
(First Three Quarters NYS Fiscal Year 2020-2021 (April 2020 – December 2020))

- ▣ Total Awards: \$35M
- ▣ Total SDVOB Awards \$845,550 (2%)
- ▣ Total Payments: \$368M
- ▣ Total SDVOB Payments: \$8M (2%)

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



**MTA ALL AGENCY UNDERWRITER FEES  
April 2020 - December 2020**



Actual WBE Participation = \$1,216,049 or 9%  
 Actual MBE Participation = \$1,716,132 or 13%  
 Actual SDVOB Participation = \$730,836 or 6%  
 All Other Underwriting Fees = \$9,402,110 or 72%

Metropolitan Transportation Authority  
Department of Diversity and  
Civil Rights

Asset Fund Managers

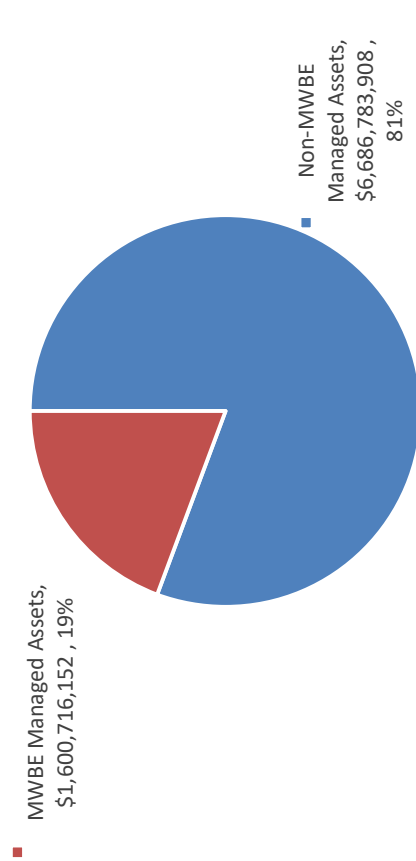
February 18, 2021



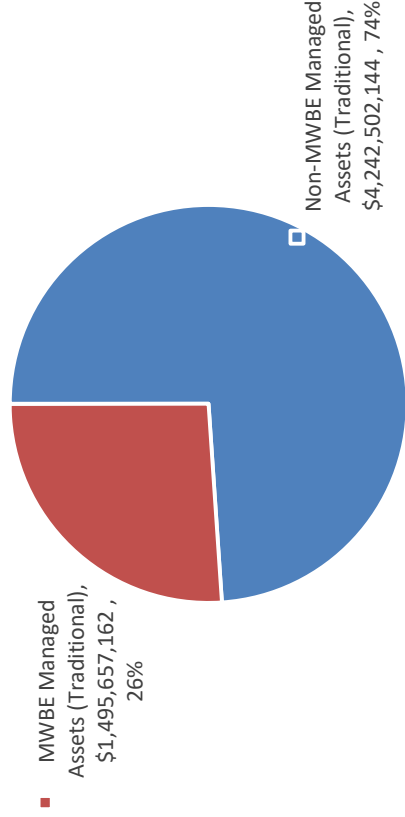
# MTA Sponsored Plans – MWBE Participation

As of November 30, 2020

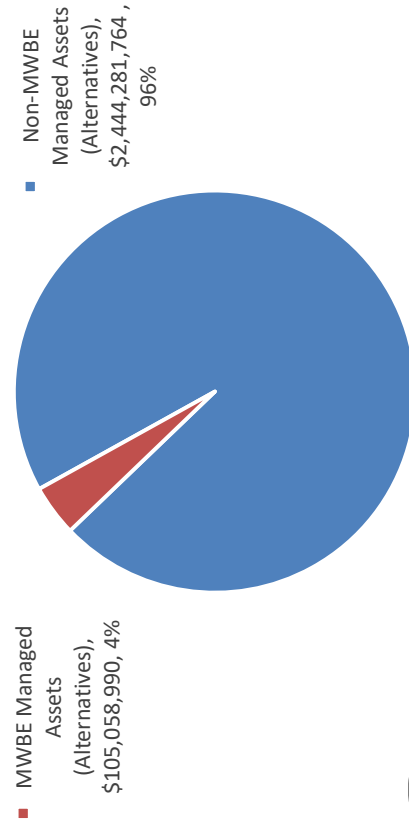
Combined Plans - Total Assets



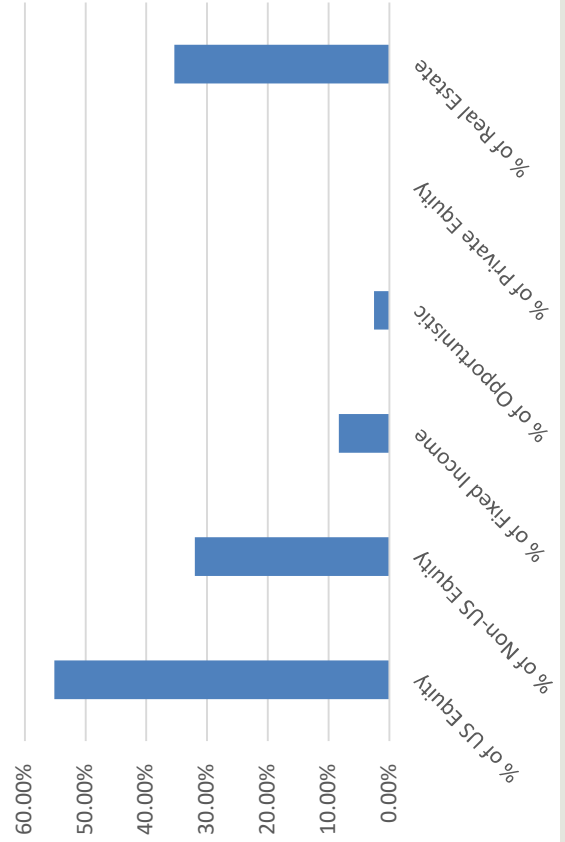
Combined Plans - Traditional Investments



Combined Plans- Alternative Investments



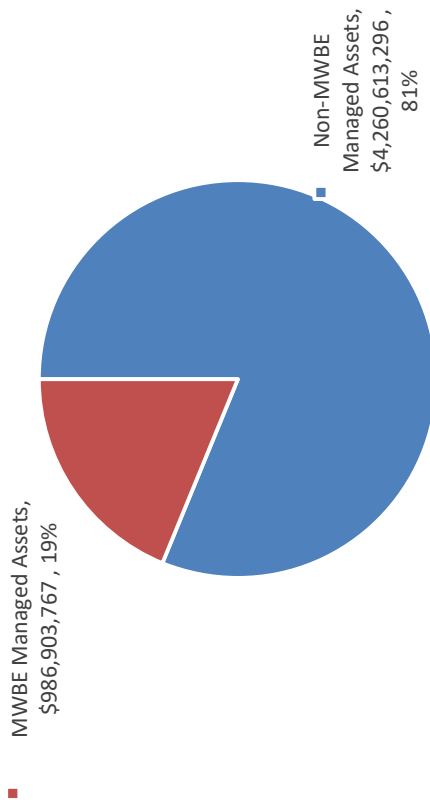
MWBE Managed Assets by Asset Class



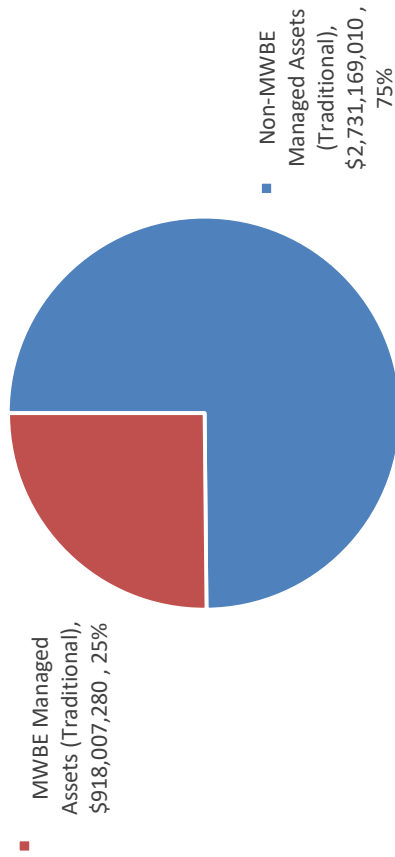
# MTA Sponsored Plans – MWBE Participation

## As of November 30, 2020

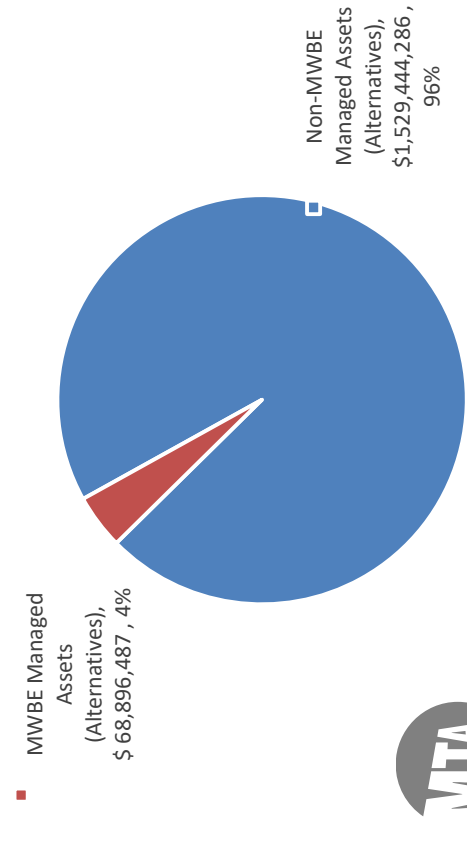
MTA Defined Benefit - Total Assets



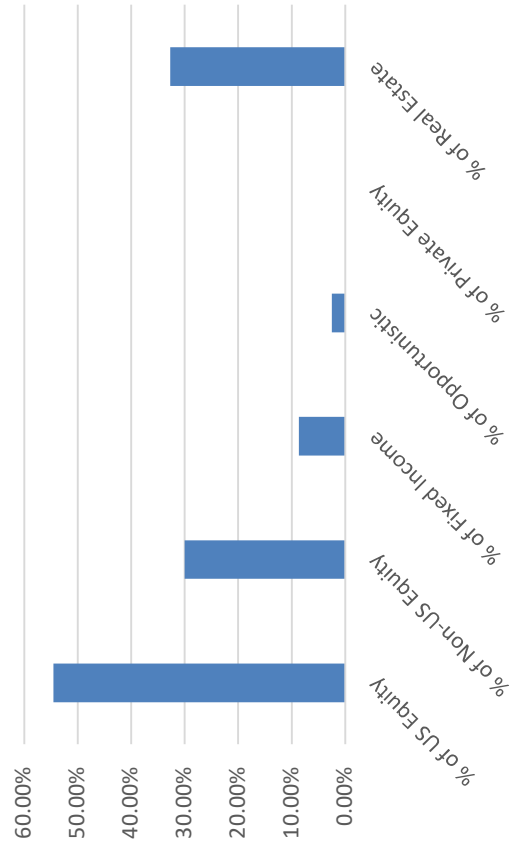
MTA Defined Benefit - Traditional Investments



MTA Defined Benefit - Alternative Investments



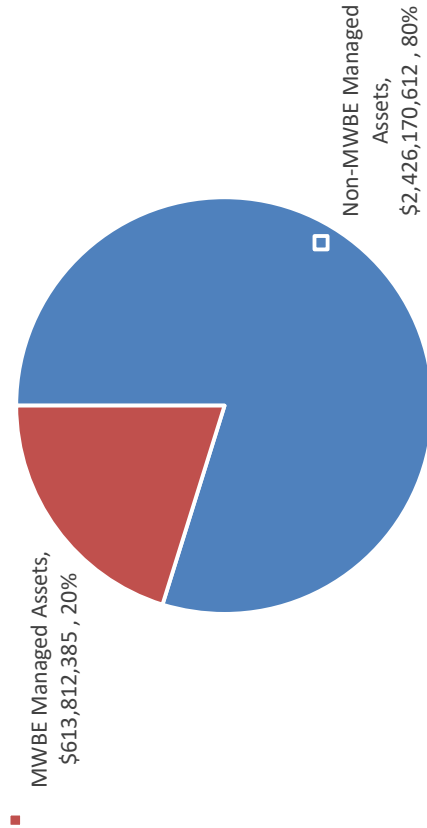
MWBE Managed Assets by Asset Class



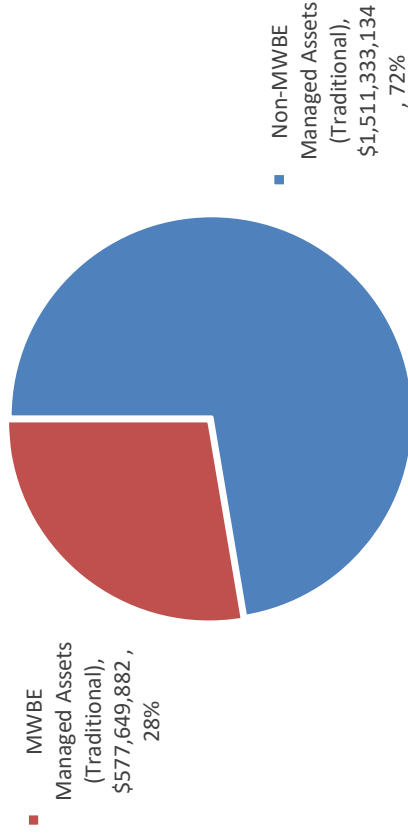
# MTA Sponsored Plans – MWBE Participation

## As of November 30, 2020

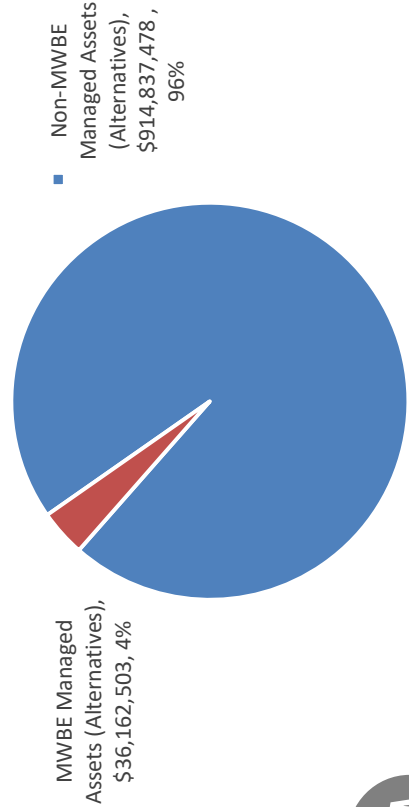
MaBSTOA - Total Assets



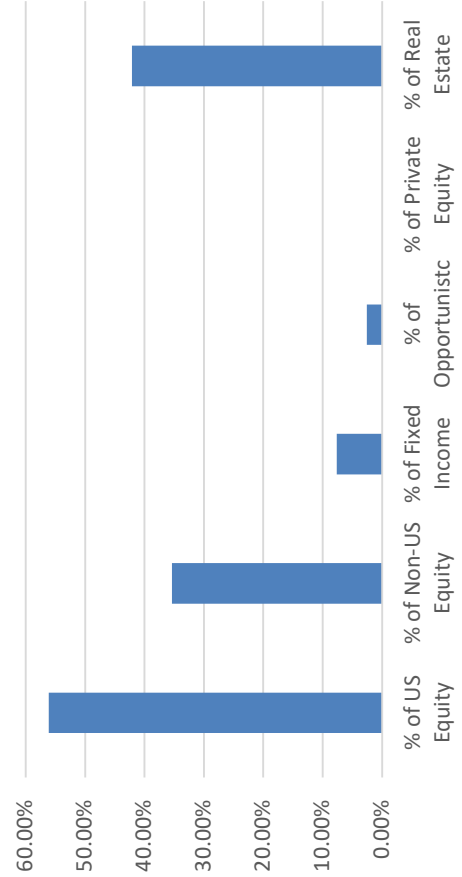
MaBSTOA - Traditional Investments



MaBSTOA - Alternative Investments



MWBE Managed Assets by Asset Class



Metropolitan Transportation Authority  
Department of Diversity and  
Civil Rights

EEO and TITLE VI Policy Statements  
Update

February 18, 2021





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## **MTA ALL AGENCY POLICY STATEMENT EQUAL EMPLOYMENT OPPORTUNITY**

The Metropolitan Transportation Authority (“MTA”), and its affiliated agencies: New York City Transit, Metro North Railroad, Long Island Rail Road, MTA Bus Company, MTA Bridges and Tunnels and MTA Construction and Development, herein referred to as “MTA”, is fully committed to equal employment opportunity for all employees, applicants for employment, and certain non-employees in the workplace, without regard to race, color, religion, (including the wearing of any attire, clothing, or facial hair in accordance of the requirements of a person’s religion), creed, national origin, ancestry, sex, sexual orientation, age, disability, predisposing genetic characteristic, gender identity and expression, pregnancy, veteran or military status, marital/familial/partnership/caregiver status, status as a victim of domestic violence, stalking and/or sex offenses, sexual and reproductive health decisions, or any legally protected basis. In addition, MTA will not impermissibly use or rely on immigration/alienage/citizenship status, credit history, arrest/conviction records, unemployment history, or salary history in its employment practices. MTA’s Equal Employment Opportunity (“EEO”) Policy applies to all employment actions, including but not limited to hiring, promotion, upgrading, working conditions, demotion, transfer, recruitment or recruitment advertising, layoff or other discharge, recall, rates of pay or other forms of compensation, treatment of employees, benefits and selection for training. Further, the MTA expressly prohibits any form of harassment based on the aforementioned protected bases. These forms of discrimination or harassment are prohibited in the workplace and in any location that could reasonably be regarded as an extension of the workplace, such as business travel or outside training, and will not be tolerated.

All employees and applicants for employment and certain non-employees in the workplace shall be protected from retaliation or harassment for filing a complaint or participating in an investigation of a complaint, participating in any employment discrimination proceeding or other protected activity. Such retaliation or harassment is strictly prohibited and will not be tolerated. The MTA is committed to providing reasonable accommodations to applicants and employees who need them because of a disability or pregnancy/childbirth or related medical condition, or to practice or observe their religion, absent undue hardship as required by applicable law.

The MTA is fully committed to complying with all applicable laws and regulations that call for the establishment and implementation of a program providing equal employment opportunities for all employees, applicants for employment and certain non-employees in the workplace. To that end, the MTA has developed a written nondiscrimination program that sets forth the policies, practices and procedures, with goals and timetables, to which MTA is committed. This program is available for inspection by employees or applicants for employment upon request. All managers and supervisors share in the responsibility for complying with and promulgating this program and are assigned specific tasks to ensure and achieve compliance. Their performance in connection with this responsibility will be evaluated in the same manner the agency evaluates their performance in other agency programs.

Michael J. Garner, MTA’s Chief Diversity and Inclusion Officer, reports directly to the MTA Chairman and Chief Executive Officer. Mr. Garner is the executive responsible for implementing MTA’s EEO

## MTA ALL AGENCY POLICY STATEMENT EQUAL EMPLOYMENT OPPORTUNITY (Continued)

policies and regulatory adherence with all MTA's Equal Opportunity Programs. MTA's Chief Diversity and Inclusion Officer and the agencies' Chief Equal Opportunity Officers are responsible for implementing EEO policies and administering the Equal Employment Opportunity Program at the agency level. If you believe you have been subjected to a violation of MTA's EEO Policy in your employment or application for employment, you have a right to file complaints of discrimination and/or retaliation directly with the Agency's Chief Equal Opportunity Officer at the appropriate agency listed below:

MTA Headquarters  
Michael J. Garner  
2 Broadway, 16<sup>th</sup> Floor  
New York, NY 10004  
646-252-1385  
[mgarner@mtahq.org](mailto:mgarner@mtahq.org)

Construction and Development  
Dr. Rosalyn Green  
2 Broadway, 8<sup>th</sup> Floor  
New York, NY 10004  
646-252-4379  
[rosalyn.green@mtacd.org](mailto:rosalyn.green@mtacd.org)

Bridges and Tunnels  
(Vacant)  
2 Broadway, 23<sup>rd</sup> Floor  
New York, NY 10004  
646-252-1385  
[mgarner@mtahq.org](mailto:mgarner@mtahq.org)

MTA Bus  
Gwendolyn Harleston  
2 Broadway, 16<sup>th</sup> Floor  
New York, NY 10004  
646-252-8545  
[gharlest@mtahq.org](mailto:gharlest@mtahq.org)

Long Island Rail Road  
(Vacant)  
Jamaica Station - 1141  
Jamaica, NY 11435  
646-252-1385  
[mgarner@mtahq.org](mailto:mgarner@mtahq.org)

Metro North Railroad  
Mayra Bell  
420 Lexington Ave. 12<sup>th</sup> Floor  
New York, NY 10170  
212-340-2560  
[mbell@mnr.org](mailto:mbell@mnr.org)

New York City Transit  
Joel Andrews  
130 Livingston Street  
Brooklyn, NY 11201  
718-694-1730  
[Joel.andrews@nyct.com](mailto:Joel.andrews@nyct.com)

Complaints can also be filed directly with MTA's Chief Diversity and Inclusion Officer, Mr. Garner, at 2 Broadway, 16<sup>th</sup> Floor, New York, New York 10004, [mgarner@mtahq.org](mailto:mgarner@mtahq.org), or by phone at (646) 252 - 1385 or you can contact any EEO personnel. You may also report a potential violation to your immediate supervisor or a higher-level supervisor, although you are not required to do so.

Managers and supervisors are required to notify the Agency's Chief Equal Opportunity Officer or MTA's Chief Diversity and Inclusion Officer, Mr. Garner, as soon as they receive a complaint or otherwise observe, learn about, or suspect any improper discriminatory or retaliatory conduct, regardless of whether or not:

- a written statement is provided contemporaneously,
- the Complainant requests that no action be taken and/or requests confidentiality, or
- the Complainant works in the manager/supervisor's department, division or unit.

## MTA ALL AGENCY POLICY STATEMENT EQUAL EMPLOYMENT OPPORTUNITY (Continued)

If it is determined that a violation of the MTA’s EEO Policy has occurred, the MTA will take appropriate action to remedy the situation. All employees are required to fully cooperate during an investigation. Any employee who is found to have violated the EEO Policy, or any supervisory or managerial employee who knowingly permits a violation of the EEO Policy to occur, may be subject to disciplinary action, up to and including dismissal from employment. Such an employee may also be subject to personal legal and financial liability.

You may also file a complaint externally with an outside agency/organization. For certain complaints, you may be required to file directly in State Court. The following external agencies handle complaints of discrimination and retaliation:

- The United States Equal Employment Opportunity Commission (EEOC), New York District Office, 33 Whitehall Street, 11<sup>th</sup> Floor – New York, NY 10004- (800) 669-4000 or [eeoc.gov](http://eeoc.gov)
- The New York State Division of Human Rights, New York District Office, One Fordham Plaza, 4<sup>th</sup> Floor New York, NY 10458- (888) 392-3644 or [dhr.ny.gov](http://dhr.ny.gov)

The New York City Commission of Human Rights may also be an available forum and can be contacted at New York City Commission of Human Rights, 22 Reade Street, New York, NY 10007-(212) 416-0197 or [www1.nyc.gov/site/cchr/index.page](http://www1.nyc.gov/site/cchr/index.page)

This Policy Statement is to be posted in prominent locations throughout MTA’s facilities.

Effective: February 18, 2021

\_\_\_\_\_  
Patrick J. Foye  
Chairman and CEO

\_\_\_\_\_  
Michael J. Garner  
Chief Diversity and Inclusion Officer

\_\_\_\_\_  
Janno Lieber  
Chief Development Officer  
President Construction and Development

\_\_\_\_\_  
Mario Peloquin  
Chief Operating Officer  
MTA Headquarters

\_\_\_\_\_  
Daniel DeCrescenzo  
President  
B & T

\_\_\_\_\_  
Craig Cipriano  
President  
MTA Bus

\_\_\_\_\_  
Phillip Eng  
President  
LIRR

\_\_\_\_\_  
Catherine Rinaldi  
President  
MNR

\_\_\_\_\_  
Sarah Feinberg  
President  
NYCT

GRC#000000-000000

Policy Number 00-000

# MTA ALL AGENCY POLICY STATEMENT

## Americans With Disabilities Act and New York State Human Rights Law

The Metropolitan Transportation Authority ("MTA"), and its subsidiary and affiliated agencies: New York City Transit, Metro North Railroad, Long Island Rail Road, MTA Bus Company, Bridges and Tunnels<sup>1</sup> and Construction and Development, herein collectively referred to as ("MTA"), is fully committed to equal opportunity for all employees and applicants for employment and prohibits discrimination on the basis of disability in all of its employment practices. Such interference with the ability of the MTA's employees to perform their expected job duties is not tolerated. The Americans with Disabilities Act ("ADA") and New York State Human Rights Law ("NYSHRL") require the MTA to provide reasonable accommodations to qualified applicants and employees with disabilities or pregnancy-related conditions under certain circumstances. The MTA recognizes this obligation and has adopted guidelines to ensure its compliance with the ADA and the NYSHRL.

To request a reasonable accommodation for a disability or pregnancy-related condition relating to your employment or application for employment with the MTA, please contact your Agency's HR People Function liaison.

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

If you believe you have been subjected to a violation of MTA's EEO Policy in your employment or application for employment, you have a right to file complaints of discrimination and/or retaliation directly with your Agency's Chief Equal Opportunity Officer or other personnel at the appropriate agency listed below:

MTA Headquarters  
Michael J. Garner  
2 Broadway, 16<sup>th</sup> Floor  
New York, NY 10004  
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[mgarner@mtahq.org](mailto:mgarner@mtahq.org)

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Bridges and Tunnels  
(Vacant)  
2 Broadway, 23<sup>rd</sup> Floor  
New York, NY 10004  
646-252-1385  
[mgarner@mtahq.org](mailto:mgarner@mtahq.org)

<sup>1</sup> The MTA Triborough Bridge and Tunnel Authority

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# MTA ALL AGENCY POLICY STATEMENT

## Americans With Disabilities Act and New York State Human Rights Law

MTA Bus  
Gwendolyn Harleston  
2 Broadway, 16<sup>th</sup> Floor  
New York, NY 10004  
646-252-8545  
[gharlest@mtahq.org](mailto:gharlest@mtahq.org)

Long Island Rail Road  
(Vacant)  
Jamaica Station - 1141  
Jamaica, NY 11435  
646-252-1385  
[mgarner@mtahq.org](mailto:mgarner@mtahq.org)

Metro North Railroad  
Mayra Bell  
420 Lexington Ave. 12<sup>th</sup> Floor  
New York, NY 10170  
212-340-2560  
[mbell@mnr.org](mailto:mbell@mnr.org)

New York City Transit  
Joel Andrews  
130 Livingston Street  
Brooklyn, NY 11201  
718-694-1730  
[Joel.andrews@nyct.com](mailto:Joel.andrews@nyct.com)

Complaints can also be filed directly with MTA's Chief Diversity and Inclusion Officer, Mr. Garner at 2 Broadway, 16<sup>th</sup> Floor, New York, New York 10004, [mgarner@mtahq.org](mailto:mgarner@mtahq.org) or by phone at (646) 252 - 1385 or you can contact any EEO personnel. You may also report a potential violation to your immediate supervisor or a higher-level supervisor, although you are not required to do so.

Managers and supervisors are required to notify the Agency's Chief Equal Opportunity Officer or MTA's Chief Diversity and Inclusion Officer, Mr. Garner, as soon as they receive a complaint or otherwise observe, learn about, or suspect any improper discriminatory or retaliatory conduct, regardless of whether or not:

- a written statement is provided contemporaneously,
- the Complainant requests that no action be taken and/or requests confidentiality, or
- the Complainant works in the manager/supervisor's department, division or unit.

If it is determined that a violation of the MTA's EEO Policy has occurred, the MTA will take appropriate action to remedy the situation. All employees are required to fully cooperate during an investigation. Any employee who is found to have violated the EEO Policy, or any supervisory or managerial employee who knowingly permits a violation of the EEO Policy to occur, may be subject to disciplinary action, up to and including dismissal from employment. Such an employee may also be subject to personal legal and financial liability.

You may also file a complaint externally with an outside agency/organization. For certain complaints, you may be required to file directly in State Court. The following external agencies handle complaints of discrimination and retaliation:

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# MTA ALL AGENCY POLICY STATEMENT

## Americans With Disabilities Act and New York State Human Rights Law

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- The New York State Division of Human Rights, New York District Office, One Fordham Plaza, 4<sup>th</sup> Floor New York, NY 10458- (888) 392-3644 or [dhr.ny.gov](http://dhr.ny.gov)

The New York City Commission of Human Rights may also be an available Forum and can be contacted at New York City Commission of Human Rights, 22 Reade, New York, NY 10007- (212) 416-0197 or [www1.nyc.gov/site/cchr/index.page](http://www1.nyc.gov/site/cchr/index.page)

This Policy Statement is to be posted in prominent locations throughout MTA’s facilities.

Effective: February 18, 2021

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Patrick J. Foye  
Chairman and CEO

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Michael J. Garner  
Chief Diversity and Inclusion Officer

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Janno Lieber  
Chief Development Officer  
President Construction and Development

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Mario Peloquin  
Chief Operating Officer  
MTA Headquarters

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Daniel DeCrescenzo  
President  
B & T

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Craig Cipriano  
President  
MTA Bus

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Phillip Eng  
President  
LIRR

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Catherine Rinaldi  
President  
MNR

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Sarah Feinberg  
President  
NYCT

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## **MTA ALL AGENCY POLICY STATEMENT SEXUAL AND OTHER DISCRIMINATORY HARASSMENT**

Sexual or other discriminatory harassment in the workplace is unlawful and all employees, as well as certain non-employees such as visitors, contractors, subcontractors, consultants, interns, fellows, or apprentices, are prohibited from engaging in any such activity. It is the Policy of the Metropolitan Transportation Authority (“MTA”) and its subsidiary and affiliated agencies: New York City Transit, Metro North Railroad, Long Island Rail Road, MTA Bus Company, MTA Bridges and Tunnels and MTA Construction and Development, herein referred to as “MTA”, that all employees have the right to work in an environment free from any form of discriminatory harassment or intimidation, either physical or verbal, by any other employee as well as certain non-employees. The MTA will not tolerate sexual or any other form of discriminatory harassment and violators of this Policy will be subject to disciplinary action, including but not limited to termination of employment, as set forth in more detail in MTA’s Sexual and Other Discriminatory Harassment All Agency Policy Directive. (This Policy Directive is available on the MTA’s intranet site as well as by contacting the appropriate MTA Agency or MTA Department of Diversity and Civil Rights at (646) 252-1385.

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

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

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

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

- Physical assaults of a sexual nature;
- Unwanted sexual advances or propositions; sexually oriented gestures, noises, remarks, jokes or comments about a person’s sexuality or sexual experience, which create a hostile work environment;

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## MTA ALL AGENCY POLICY STATEMENT SEXUAL AND OTHER DISCRIMINATORY HARASSMENT (Continued)

- Sex stereotyping, which occurs when conduct or personality traits are considered inappropriate simply because they may not conform to other people’s ideas or perceptions about how individuals of a particular sex should act or look;
- Sexual or discriminatory displacement or publications anywhere in the workplace; and
- Hostile actions taken against an individual because of that individual’s sex, sexual orientation, gender identity and the status of being transgender.

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

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

Michael J. Garner, Chief Diversity and Inclusion Officer, and the agencies’ Chief Equal Opportunity Officers are responsible for coordinating this Policy. If you believe you have been subjected to a violation of this Policy in your employment or application for employment, you may contact your immediate supervisor, a higher-level supervisor or your Agency’s Chief Equal Opportunity Officer as listed below:

MTA Headquarters  
Michael J. Garner  
2 Broadway, 16<sup>th</sup> Floor  
New York, NY 10004  
646-252-1385  
[mgarner@mtahq.org](mailto:mgarner@mtahq.org)

Construction and Development  
Dr. Rosalyn Green  
2 Broadway, 8<sup>th</sup> Floor  
New York, NY 10004  
646-252-4379  
[rosalyn.green@mtacd.org](mailto:rosalyn.green@mtacd.org)

Bridges and Tunnels  
(Vacant)  
2 Broadway, 23<sup>rd</sup> Floor  
New York, NY 10004  
646-252-1385  
[mgarner@mtahq.org](mailto:mgarner@mtahq.org)



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## MTA ALL AGENCY POLICY STATEMENT SEXUAL AND OTHER DISCRIMINATORY HARASSMENT (Continued)

MTA Bus  
Gwendolyn Harleston  
2 Broadway, 16<sup>th</sup> Floor  
New York, NY 10004  
646-252-8545  
[gharlest@mtahq.org](mailto:gharlest@mtahq.org)

Long Island Rail Road  
(Vacant)  
Jamaica Station - 1141  
Jamaica, NY 11435  
(646) 252-1385  
[mgarner@mtahq.org](mailto:mgarner@mtahq.org)

Metro North Railroad  
Mayra Bell  
420 Lexington Ave. 12<sup>th</sup> Floor  
New York, NY 10170  
212-340-2560  
[mbell@mnr.org](mailto:mbell@mnr.org)

New York City Transit  
Joel Andrews  
130 Livingston Street  
Brooklyn, NY 11201  
718-694-1730  
[Joel.andrews@nyct.com](mailto:Joel.andrews@nyct.com)

You may also contact MTA's Chief Diversity and Inclusion Officer, Mr. Garner at 2 Broadway, 16th Floor, New York, NY 10004. Mr. Garner can be reached by telephone at (646) 252-1385. Managers and supervisors are required to notify the Agency's Chief Equal Opportunity Officer or MTA's Chief Diversity and Inclusion Officer, Mr. Garner, as soon as they receive a complaint or otherwise observe, learn about, or suspect any improper discriminatory or retaliatory conduct, regardless of whether or not:

- a written statement is provided contemporaneously,
- the complainant requests that no action be taken and/or requests confidentiality, or
- the complainant works in the manager/supervisor's department, division or unit.

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

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

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## **MTA ALL AGENCY POLICY STATEMENT SEXUAL AND OTHER DISCRIMINATORY HARASSMENT (Continued)**

You may also file a complaint externally with an outside agency/organization. For certain complaints, you may be required to file directly in State Court. The following external agencies handle complaints of discrimination and retaliation:

- The United States Equal Employment Opportunity Commission (EEOC), New York District Office, 33 Whitehall Street, 11<sup>th</sup> Floor – New York, NY 10004- (800) 669-4000 or eeoc.gov
- The New York State Division of Human Rights, New York District Office, One Fordham Plaza, 4<sup>th</sup> Floor New York, NY 10458- (888) 392-3644 or dhr.ny.gov

The New York City Commission of Human Rights may also be an available Forum and can be contacted at New York City Commission of Human Rights, 22 Reade, New York, NY 10007- (212) 416-0197 or [www1.nyc.gov/site/cchr/index.page](http://www1.nyc.gov/site/cchr/index.page)

This Policy Statement is to be posted in prominent locations throughout MTA’s facilities.

Effective: February 18, 2021

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Patrick J. Foye  
Chairman and CEO

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Michael J. Garner  
Chief Diversity and Inclusion Officer

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Janno Lieber  
Chief Development Officer  
President Construction and Development

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Mario Peloquin  
Chief Operating Officer  
MTA Headquarters

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Daniel DeCrescenzo  
President  
B & T

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Craig Cipriano  
President  
MTA Bus

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Phillip Eng  
President  
LIRR

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Catherine Rinaldi  
President  
MNR

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Sarah Feinberg  
President  
NYCT

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# MTA ALL AGENCY POLICY STATEMENT

## Title VI and Related Nondiscrimination Laws

### Statement of Commitment to Title VI and Related Nondiscrimination Laws

Title VI of the Civil Rights Act provides that “No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.”

In addition, the Federal Transit Laws, (49 U.S.C. § 5332) prohibits discrimination in any Federally Assisted Programs on the basis of age, sex, religion, and disability.

The Metropolitan Transportation Authority and certain of its subsidiary and affiliate agencies: New York City Transit, Metro North Railroad, Long Island Rail Road, MTA Bus Company, and MTA Construction and Development, herein collectively referred to as “MTA”, is committed to complying with the requirements of Title VI and the related Federal Transit Laws with respect to all of its federally funded programs and activities.<sup>1</sup>

### Nondiscrimination Policy

It is the policy of the MTA to prohibit discrimination in MTA’s federally assisted programs. No person shall, on the grounds of race, color, or national origin, including matters related to limited English proficiency (LEP) access, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any MTA program or activity receiving federal financial assistance. In compliance with the Federal Transit Laws, (49 U.S.C. § 5332), MTA also prohibits discrimination on the basis of religion, sex, disability and age.

### Title VI and Related Discrimination Complaints

Any person who believes that they have been discriminated against by the MTA on the basis of race, color, national original (including matters related to LEP access), religion, sex, disability or age, may file a complaint by completing and submitting the Title VI and other Discrimination Complaint Form to the appropriate agency provided on the form. Complaints must be filed no more than **180 days** from the date(s) of the alleged incident.

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<sup>1</sup> The MTA Triborough Bridge and Tunnel Authority is not subject to this Policy Statement due to its funding status.

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# MTA ALL AGENCY POLICY STATEMENT

## Title VI and Related Nondiscrimination Laws

An individual may elect to complete the complaint form online or print the form and mail it directly to the Chief Equal Opportunity Officer of the relevant MTA subsidiary or affiliate agency listed below:

MTA Headquarters  
Michael J. Garner  
2 Broadway, 16<sup>th</sup> Floor  
New York, NY 10004  
646-252-1385  
[mgarner@mtahq.org](mailto:mgarner@mtahq.org)

Construction and Development  
Dr. Rosalyn Green  
2 Broadway, 8<sup>th</sup> Floor  
New York, NY 10004  
646-252-4379  
[rosalyn.green@mtacd.org](mailto:rosalyn.green@mtacd.org)

Bridges and Tunnels  
(Vacant)  
2 Broadway, 23<sup>rd</sup> Floor  
New York, NY 10004  
646-252-1385  
[mgarner@mtahq.org](mailto:mgarner@mtahq.org)

MTA Bus  
Gwendolyn Harleston  
2 Broadway, 16<sup>th</sup> Floor  
New York, NY 10004  
646-252-8545  
[gharlest@mtahq.org](mailto:gharlest@mtahq.org)

Long Island Rail Road  
(Vacant)  
Jamaica Station - 1141  
Jamaica, NY 11435  
646 252-1385  
[mgarner@mtahq.org](mailto:mgarner@mtahq.org)

Metro North Railroad  
Mayra Bell  
420 Lexington Ave. 12<sup>th</sup> Fl  
New York, NY 10170  
212-340-2560  
[mbell@mnr.org](mailto:mbell@mnr.org)

New York City Transit  
Joel Andrews  
130 Livingston Street  
Brooklyn, NY 11201  
718-694-1730  
[Joel.andrews@nyct.com](mailto:Joel.andrews@nyct.com)

Additionally, a person may, at any time, file a complaint directly with the U.S. Department of Transportation at:

U.S. Department of Transportation,  
Federal Transit Administration's Office of Civil Rights:  
Complaint Team, East Building 5th Floor—TCR,  
1200 New Jersey Ave. SE,  
Washington, DC 20590.

Effective: February 18, 2021

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Patrick J. Foye  
Chairman and CEO

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Michael J. Garner  
Chief Diversity and Inclusion Officer

GRC#000000-000000

Policy Number 00-000