



**Metropolitan Transportation Authority**

# **Diversity Committee Meeting**

## **APRIL 2024**

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### **Committee Members**

B. Lopez, Chair

F. Miranda

JR. Rizzo

M. Valdivia

N. Zuckerman

# Diversity Committee Meeting

Monday, 4/29/2024

12:00 - 12:45 PM ET

**1. Public Comment**

**2. Approval of Minutes**

*Diversity Committee Meeting Minutes - Page 3*

**3. 2024 Diversity Committee Work Plan**

*2024 Diversity Committee Work Plan - Page 6*

**4. Executive Summary**

*Diversity Executive Summary - Page 9*

**5. Business and Diversity Initiatives**

*Business & Diversity Initiatives - Page 32*

**6. DBE Certification Activity Report**

*DBE Certification Activity Report - Page 38*

**7. Small Business Development Program Update**

*SBDP Update - Page 41*

**8. M/W/DBE and SDVOB Contract Compliance**

*MWDBE and SDVOB Contract Compliance - Page 61*

**9. Discretionary Awards**

*Discretionary A&E, IT, and Legal - Page 72*

**10. Financial Services**

*Financial Services - Page 79*

**11. Asset Fund Management**

*Asset Fund Management - Page 81*

**12. EEO Activity**

*Workforce Report - Page 86*

## MTA DIVERSITY COMMITTEE

Meeting Minutes

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

New York, NY 10004

Monday, December 18, 2023

### **The following Committee Members were present:**

Hon. Blanca Lopez, Chair

Hon. Neal Zuckerman

### **The following staff were also present:**

Lourdes Zapata, Chief Diversity and Inclusion Officer

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

George Cleary, Deputy CDO, Small Business Development Program

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

Christine Norman, Deputy Chief CDO, Tech., Operations, DBE Certification & Outreach

Alana Smith, Senior Director, Equal Employment Opportunities

Clay Roberts, Director, EO Auditing & Monitoring

Raul Larco, Director, EO Analysis & Reporting

Barbara Cockfield, Senior Director, Diversity, and Inclusion Initiatives

Sheree Owens, Senior Director, Small Business Development Program

Joyce Brown, Agency Chief Equal Opportunity Officer, B&T

Marc Frasier, Manager, Audit and Contract Compliance

Christopher Santariello, Senior Director, Audits, Investigations & Contract Compliance

David Sang, Senior Director, Title VI and Workforce Initiatives

Chair Blanca Lopez welcomed the new Chief Diversity and Inclusion Officer Lourdes Zapata and called to order the December 2023 Diversity Committee.

### **1. PUBLIC SPEAKERS' SESSION**

- There was one virtual public speaker in the public comments portion of the meeting:  
Matty W. Buchys-Hyland

*Refer to the video recording of the meeting produced by the MTA and maintained in MTA records for the content of each speaker's statements.*

### **2. APPROVAL OF MINUTES**

*The Diversity Committee declined to vote on whether to approve the September 18, 2023, committee meeting minutes because a quorum was not present at the meeting.*

### 3. WORK PLAN REPORT

Chair Lopez asked if there were any changes to the 2023 Work Plan. Ms. Zapata reported the following changes:

- The updated DBE Policy and 2024 Equal Opportunity Policy Statements were added to today's meeting, and they can be found on pages 13-29 of the Diversity Committee Book.
- The MWDBE and SDVOB Task Force announcement was moved to the April 2024 meeting and the review of the Diversity Committee Charter was moved to the June 2024 meeting.
- The updated 2023 Work Plan was placed on pages 6-9 and the updated 2024 Diversity Committee Work Plan was placed on pages 9-12 of the Diversity Committee Book.

*The Diversity Committee didn't vote on the work plan report because a quorum was not present.*

### 4. EXECUTIVE SUMMARY

Ms. Zapata introduced herself to the Diversity Committee members and shared her experiences and accomplishments.

#### **MWBE, DBE, SDVOB Program & Compliance, Outreach & Certification**

- Ms. Zapata reported that MTA made a total of \$378 million in payments to MWBE/SDVOB firms in the 1<sup>st</sup> and 2<sup>nd</sup> quarters of NYS FY23-24 and met the SDVOB 6% goal and surpassed the MWBE goal by 2%.
- A total of \$392 million was awarded to DBE firms in FY22-23 and achieved 16% of the 20% FTA DBE goal. The next quarter's efforts are planned to be focused on maximizing the arching numbers.
- Ms. Zapata shared an overview of top prime and subcontract MWBE/SDVOB awards over the last quarter alone with top DBE awards from October 2022 through June 2023.
- The program's outreach efforts resulted in 368 firms interested in doing business with the MTA. 276 of the firms that were certified, and categorized into the following industries: consulting, commodities, construction, and construction consulting. The certified firms are invited to DDCR's quarterly New Firm Orientation. The non-certified firms are encouraged to attend the DDCR DBE certification workshop and or are referred to MTA partner agencies for assistance with the MWBE and SDVOB certification application.
- DBE Certification for 62 firms was completed in the second quarter of 2023, surpassing the number of certifications accomplished in 2022 by 23 firms. DBE Certification time has been reduced by 3 days.
- Mr. Burke reported on MWBE/SDVOB contact compliance and walked committee members through the compliance stages, Pre-award, Post-award, and Reporting. Mr. Burke also reported that in 2022, almost 500 goal requests on MTA construction and non-construction contracts have been processed.

## **Small Business Mentoring Program**

- October 2023 State legislators' approval for changes to the MTA SBMP was received and Mr. Clearly provided the update on SBMP with the effect of the approval. The full report can be found on page 66 of the Diversity Committee Book.

## **EEO Activities**

- Dr. Green provided an update on the MTA overall workforce numbers and an overview of the new hire statistics by race/ethnicity and sex. There was an increase in net female and minority representation in comparison to the 3<sup>rd</sup> quarter of 2022. The complete data sets by the agency were provided on pages 109-122 of the Diversity Committee book.

## **Diversity Equity and Inclusion (DEI)**

- Ms. Cockfield informed the committee members about Employment Resource Groups (ERG) and shared updates on ERG events and accomplishments.
- Ms. Cockfield also shared the progress of the MTA Five Year Diversity, Equity, and Inclusion Strategic Plan including purpose, strategies, steps, and goals.

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

## **5. ADJOURNMENT**

- Ms. Zapata and Chair Lopez extended their appreciation to the staff of the DDCR team.

*The meeting was adjourned by Chair Blanca Lopez.*

Respectfully submitted,  
Ipek M. Fulford  
Civil Rights Business Liaison

## 2024 Diversity Committee Work Plan

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### I. RECURRING AGENDA ITEMS

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

### II. SPECIFIC AGENDA ITEMS

April 2024	Responsibility
M/W/DBE, SDVOB Task Force	Dept. of Diversity/Civil Rights
2023 Year-End Report	
Recruitment Strategies for MTAHQ and MTA Agencies	MTAHQ and Agency Staff

June 2024	Responsibility
1 <sup>st</sup> Quarter 2024 Report	Dept. of Diversity/Civil Rights
5-Year DEI Strategic Plan Bi-Annual Update	
Diversity Committee Charter Review	Committee Chair & Members

September 2024	Responsibility
2 <sup>nd</sup> Quarter 2024 Report	Dept. of Diversity/Civil Rights
M/W/DBE, SDVOB Task Force - Update	
EEOP Program Progress to Goals	

December 2024	Responsibility
3 <sup>rd</sup> Quarter 2024 Report	Dept. of Diversity/Civil Rights
2025 Diversity Committee Workplan	
5-Year DEI Strategic Plan - Bi-Annual Update	

## 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**

#### April 2024

- **2023 Year-End Report:**  
The Department of Diversity and Civil Rights will present 2023 year-end update on MTA Agency-wide EEO and M/W/DBE and SDVOB contract compliance activities.
- **M/W/DBE, SDVOB Task Force:**  
The Department of Diversity and Civil Rights report establish an interagency Task Force to explore and improve M/W/DBE and SDVOB participation in non-construction contracts.
- **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.

#### June 2024

- **1<sup>st</sup> Quarter 2024 Report:**  
The Department of Diversity and Civil Rights will present 1<sup>st</sup> quarter 2024 update on MTA Agency-wide EEO, and M/W/DBE and SDVOB contract compliance activities.

- 5-Year DEI Strategic Plan Bi-Annual Update:  
The Department of Diversity and Civil Rights will present MTA's progress towards its first 5-year DEI Strategic Plan developed to comply with the New York State Executive Order 187.
- Diversity Committee Charter Review:  
The Diversity Committee will review and assess the adequacy of its charter and recommend changes as necessary.

#### September 2024

- 2<sup>nd</sup> Quarter 2024 Report:  
The Department of Diversity and Civil Rights will present 2<sup>nd</sup> quarter 2024 update on MTA Agency-wide EEO, and M/W/DBE and SDVOB contract compliance activities.
- M/W/DBE, SDVOB Task Force – Update:  
The Department of Diversity and Civil Rights report will address progress made by the Task Force to improve M/W/DBE and SDVOB participation.
- EEO Program Progress to Goals

#### December 2024

- 3<sup>rd</sup> Quarter 2024 Report:  
The Department of Diversity and Civil Rights will present 3<sup>rd</sup> quarter 2024 update on MTA Agency-wide EEO, and M/W/DBE and SDVOB contract compliance activities.
- 2025 Diversity Committee Work Plan:  
The Department of Diversity and Civil Rights will present an updated Diversity Committee Work Plan for 2025.
- 5-Year DEI Strategic Plan Bi-Annual Update:  
The Department of Diversity and Civil Rights will present MTA's progress towards its first 5-year DEI Strategic Plan developed to comply with the New York State Executive Order 187.



Metropolitan Transportation Authority  
Department of Diversity and  
Civil Rights

Executive Summary

April 29, 2024



# Executive Summary

## Fiscal Year Program Highlights

Certification Type	Top Prime Awards	Top Subcontract Awards
<b>DBE</b>	Voltamp Electrical - \$31M	Northeast Structural - \$27M
<b>MBE</b>	CRC Associates - \$57M	CRC Associates - \$30M
<b>WBE</b>	ExterNetworks Inc. - \$15M	Northeast Structural Steel - \$14M
<b>SDVOB</b>	Thundercat Technology - \$36M	Citadel Electrical - \$4M

\* For MWBE and SDVOB, the reporting period is from April 2023 through March 2024.  
 For DBE, the reporting period is from October 2022 through September 2023.



# Executive Summary

## MWBE Discretionary Spend

### **An Example of MWBE Discretionary Success**

**IT Discretionary Consulting Contract No. 14357**

**April 2023 – December 2023**

Total Number of Awards- **49**

Total Value of Awards- **\$7 million**

**Since 2016 to Date**

Total Number of Awards- **1,110**

Total Value of Awards- **\$216 million**



# Executive Summary

## MWBE and SDVOB Payments

	NYS FY 2023/24 (April – December 2023)	NYS FY 2022/23 (April – December 2022)
MWBE Payments on NYS Funded Projects	\$547,035,519	\$610,889,850
SDVOB Payments	\$30,635,261	\$22,555,069
<b>MWBE and SDVOB Total Payments</b>	<b>\$577,670,780</b>	<b>\$633,444,919</b>



# Executive Summary

## MWBE and SDVOB Contract Compliance

First three quarters of the NYS Fiscal Year Over Year Comparison

<b>NYS MWBE Goal</b> 30%	<b>NYS State Fiscal Year 2023-2024</b> (4/23-12/23)	<b>NYS State Fiscal Year 2022-2023</b> (4/22-12/22)
MTA MWBE Participation	32%	34%
<b>NYS SDVOB Goal</b> 6%	<b>NYS State Fiscal Year 2023-2024</b> (4/23-12/23)	<b>NYS State Fiscal Year 2022-2023</b> (4/22-12/22)
MTA SDVOB Participation	7%	4%



# Executive Summary

## DBE Contract Compliance

### Federal Fiscal Year Over Year Comparison

DBE Goal 20%	Federal Fiscal Year 2022-2023 (10/22 - 9/23)	NY State Fiscal Year 2021-2022 (10/21-9/22)
MTA DBE Participation	16%	17%



# Executive Summary

## MWDBE Performance – Capital Projects

	Federal DBE Goal 20%	NYS MBE Participation Goal (15%)	NYS WBE Participation Goal (15%)	SDVOB Participation Goal (6%)
Term	Federal FY 2023 (Oct 2022 – Sept 2023)	1 - 3 Quarter of NYS FY 2023-24 (Apr – Dec 2023)		
Total MTA Payments	\$1.6B	\$814M	\$814M	\$342M
Total MWDBE Payments	\$208M (13%)	\$133M (16%)	\$103M (13%)	\$12M (4%)

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

\*\* Total does not include TBDs on Design Build contracts.



# Executive Summary

## MW/DBE & SDVOB Contract Compliance Overview

### Contract Monitoring

- DDCR is monitoring more than **1083 contracts** for MWDBE and SDVOB goal compliance.
- In 2023, DDCR conducted **625 site visits** for MWDBE and SDVOB contract compliance. A monthly average of 52.
- In 2023, DDCR **closed out 71 contracts**.

### Strategies for Improvement

- MWDBE and SDVOB goals are monitored daily for compliance - meetings are held when the goal is not being met at or about 50% contract completion.
- Site visits are scheduled to address subcontractor performance, payment issues, and to mitigate and address Commercial Useful Function issues (CUF) and fraud.
- Waiver requests are reviewed thoroughly for completeness and adequate good faith effort and will not be considered without concurrence from project management.





# Executive Summary

## DBE Certification Activity

	January – December 2023	January – December 2022
Total of New Applications Received	108	81
Total New Firms Certified	84	58
Average Time to Process Application	49	47

**Trends:**

Upward

Constant

Downward – A slight decreased in applications received.

**Strategy for Improvement:** Increase Outreach Activities



# EXECUTIVE SUMMARY

## Outreach Activity

**Total Number of Firms Interested in Doing Business with the MTA (April-December 2023): 664**

### Current Certification Type(s)

\*199 firms out of 664 are not certified.

MBE	107	WBE/DBE	21
WBE	108	WBE/MBE	23
DBE	44	MW/DBE	43
SDVOB	51	MW/SDVOB	0
MBE/DBE	56	MW/DBE/SDVOB	4
MBE/SDVOB	5	DBE/SDVOB	3

- Newly certified firms and/or certified firms new to the MTA are invited to the **MTA's New Firm Orientation Session (NFOS)**. The NFOS integrates certified firms into the MTA procurement process.
- In an effort, to build a pipeline of certified firms, we recommend non-certified firms to participate in the MTA's **Disadvantaged Business Enterprise (DBE) Certification Workshop** and/or referred to our **partner agencies for the M/WBE and SDVOB certifications.**



# Executive Summary

## Legislative Changes to the SBDP

Reported to the Diversity Committee in 2023 – Correction

- Increase to Threshold
  - Tier 1 Threshold increased from \$1M to \$1.5M
  - Tier 2 Threshold increased from \$3M to \$5M
  - SBFP Threshold increased from \$3M to \$5M
- Increase in Number of Years
  - Tier 1, Tier 2, and SBFP participation increased from 4 Years to 5 Years



# Executive Summary

Small Business Development Program (SBDP)  
(as of December 31, 2023)

- ❑ **Calendar year 2023: 59 contracts** awarded exceeding **\$67.1 million**
- ❑ **Calendar year 2022: 73 contracts** awarded exceeding **\$63.8 million**
- ❑ **Twelve (12)** Service-Disabled Veteran-Owned Business (**SDVOB**) certified firms currently in the program. Eleven (11) contracts were awarded totaling **\$8.1 million**.
- ❑ **Lifetime Achievements (2010-2023)**
  - **651 contracts** awarded totaling **\$695 million**
  - Loan Program has issued **154 loans** totaling **\$20.6 million**
  - Contractors have secured **over \$500 million** in aggregate surety **bonds**
  - Estimated **16,865 jobs** created.

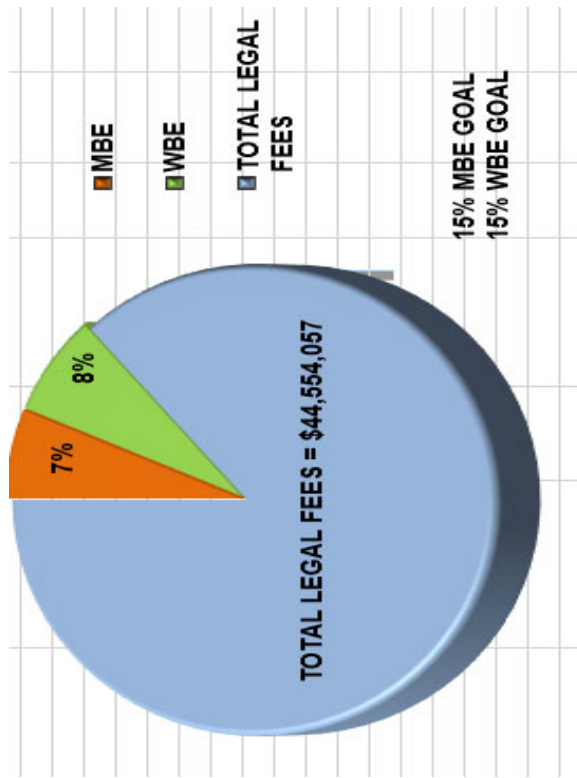
Over **1,152 firms participated** in the training program and over **2,000 hours of classroom training** have been delivered.



# Executive Summary

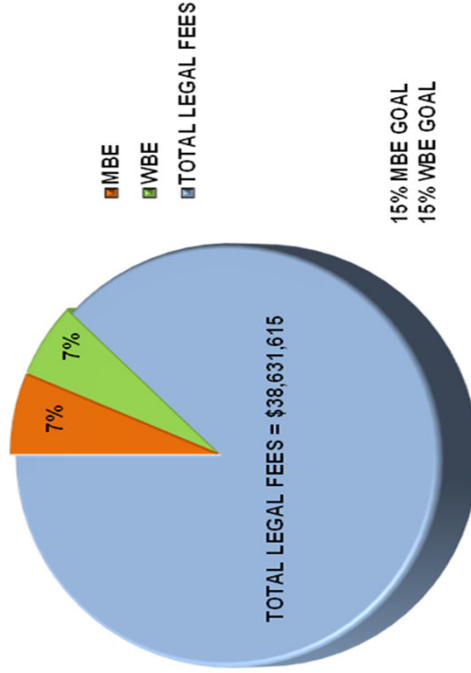
## MTA All Agency Legal Fees

### April 2023 – December 2023



Actual MBE Participation: \$3,255,636 (7%)  
 Actual WBE Participation: \$3,661,505 (8%)

### April 2022 – December 2022



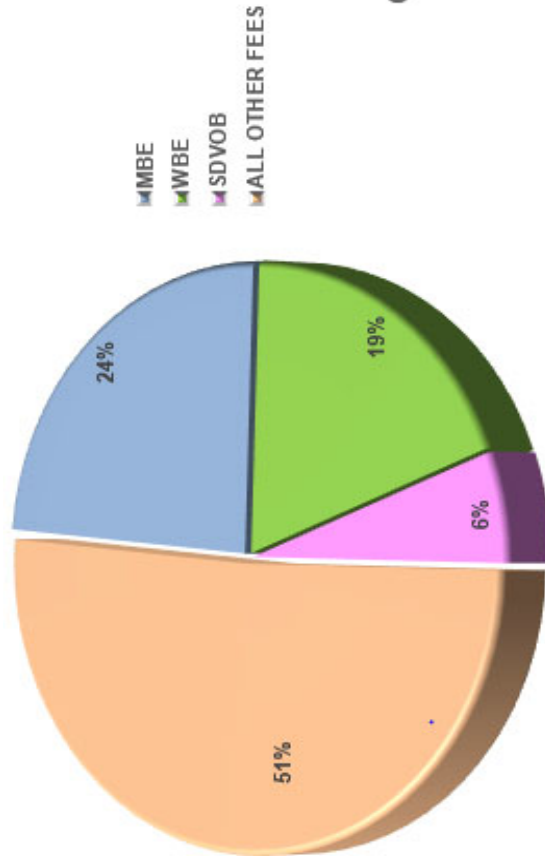
Actual MBE Participation: \$2,789,737 (7%)  
 Actual WBE Participation: \$2,548,577 (7%)



# Executive Summary

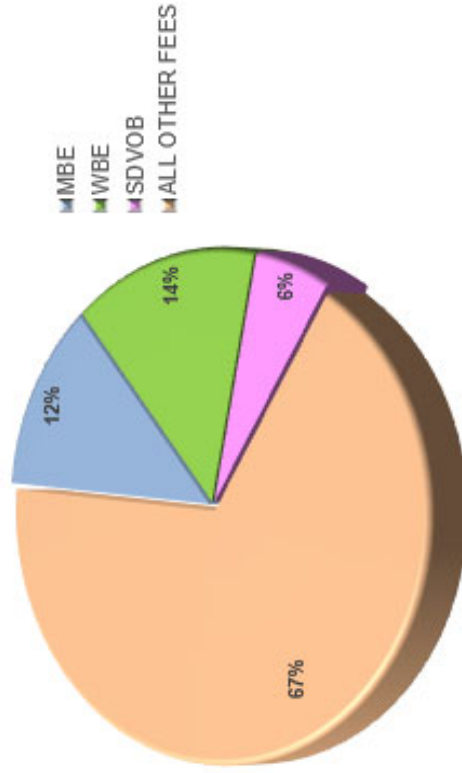
## MTA All Agency Underwriter Fees

### April 2023 – December 2023



Actual MBE Participation: \$1,256,998 (24%)  
 Actual WBE Participation: \$978,583 (19%)  
 Actual SDVOB Participation: \$312,852 (6%)  
 All Other Underwriting Fees: \$2,658,592 (51%)  
 Total Underwriting Fees: \$5,207,025

### April 2022 – December 2022



Actual MBE Participation: \$2,178,963 (12%)  
 Actual WBE Participation: \$3,151,677 (14%)  
 Actual SDVOB Participation: \$1,252,142 (6%)  
 All Other Underwriting Fees: \$14,711,018 (67%)  
 Total Underwriting Fees: \$21,833,790



# Executive Summary

## Asset Fund Managers – MWBE Participation Combined Plans

### As of January 2024...

- ❑ Total assets managed by MWBEs: \$3.45B (32% of total assets)
- ❑ Majority of assets are in traditional asset classes.
- ❑ Traditional assets managed by MWBEs: \$3.28B (40% of traditional assets)
- ❑ MWBE firms manage:
  - 71% of US Equities (↔)
  - 34% of Real Estate (↑)
  - 15% of Non-US Equities (↓)
  - 55% of Fixed Income (↑)
  - 20% of Opportunistic Funds (↑)
- ❑ Alternative investments managed by MWBEs: \$174M (7% of alternative investments)

\* Increase (↑), Decrease (↓) or No Change (↔) from September 2023



# Executive Summary EEO

- MTA's Overall Workforce (detailed on page (86 - 99))
  - **73,470** employees
  - **14,115 (19 %)** are Female\*
  - **53,646 (73 %)** are Minorities
  - **2,180 (3%)** are Veterans\*
  - **705 (1%)** are People with Disabilities.\*\*
- MTA New Hires:
  - **6,568** new employees
  - **1,875 (29%)** are Female\*
  - **5,456 (83%)** are Minorities
  - **115 (2%)** are veterans\*\*
  - **47 (1%)** are People With Disabilities\*\*
- During 2023, MTA Agencies received a total of **270** EEO complaints (Including lawsuits); of which **166** were internal and **104** were external.
- As of December 31, 2023, representation of females has **increased** by **882** employees and the representation of minorities has **increased** by **2,094** employees, when compared to December 31, 2022.

\*Includes minorities, non-minorities, and veterans

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





# Executive Summary

## EEO (Continued)

- **Status:** While the workforce size has increased by 3% compared to 2022 4Q, proportionally, the overall diversity composition of our workforce has remained relatively constant
  
- **Strategies for Improvement:**
  - Identify the specific drivers by job titles within the underutilized categories.
  - Create and customize targeted strategies to address areas of underutilization in the newly created job groups.
  - Utilize Employee Resource Groups to positively impact the recruitment, engagement and building of MTA's workplace culture.



# Executive Summary

## *D & I in Motion – All Agency Employee Resource Groups*

### **2024 Theme: “Connections: Diversity in Motion”**

Diversity, equity, inclusion, and belonging are essential components of our daily interactions, work relationships, & communication within the organization. The ERGs events and initiatives will highlight how the MTA leverages diversity to create an equitable and inclusive culture that allows for meaningful connections in the workplace.

### **Black Employees Group for Inclusion & Networking (B.E.G.I.N.) - Umoja Celebration (Post Kwanzaa Celebration) - January 18, 2024.**

Kwanzaa is an annual African American cultural tradition. Its first principle Umoja confirms the importance of togetherness for the family and community. For the second year the B.E.G.I.N. ERG celebrated the end of Kwanzaa with an Umoja after-work networking event.



# Executive Summary

## D & I in Motion – All Agency Employee Resource Groups

### 2024 Theme: “Connections: Diversity in Motion”

#### **B.E.G.I.N. - Black History Month - February 2024**

B.E.G.I.N. celebrated Black History Month (BHM) with a focus on African American Leaders in Transportation History. This theme was the focal point of the BHM Cultural Celebration on February 22, 2024; an article in MTA Today; and the out-front screens on the subway platforms and bus station stops. BEGIN highlighted the significance of public transportation and its role in civil rights movement. A particular focus was placed on individuals who played significant roles in making public transportation accessible as well as opening employment opportunities in the industry.



# Executive Summary

## D & I in Motion – All Agency Employee Resource Groups

### 2024 Theme: “Connections: Diversity in Motion”

**Empowering Women in Transportation (EWT) – Women’s History Month – March 2024** Empower Her-Bridging Generations, Building Futures” was the theme for 2024 Women’s History Month celebration. EWT led this year’s celebration with its 2<sup>nd</sup> annual Soles4Souls Shoe Drive, International Women Day Panel/Book Club Kick Off Event, and the Empower Her Celebration in which 24 women for 2024 were recognized for having shown outstanding dedication to “EmpowerHER” through their role within the MTA.



# Executive Summary

## MTA'S Five Year Diversity Equity and Inclusion Strategic Plan



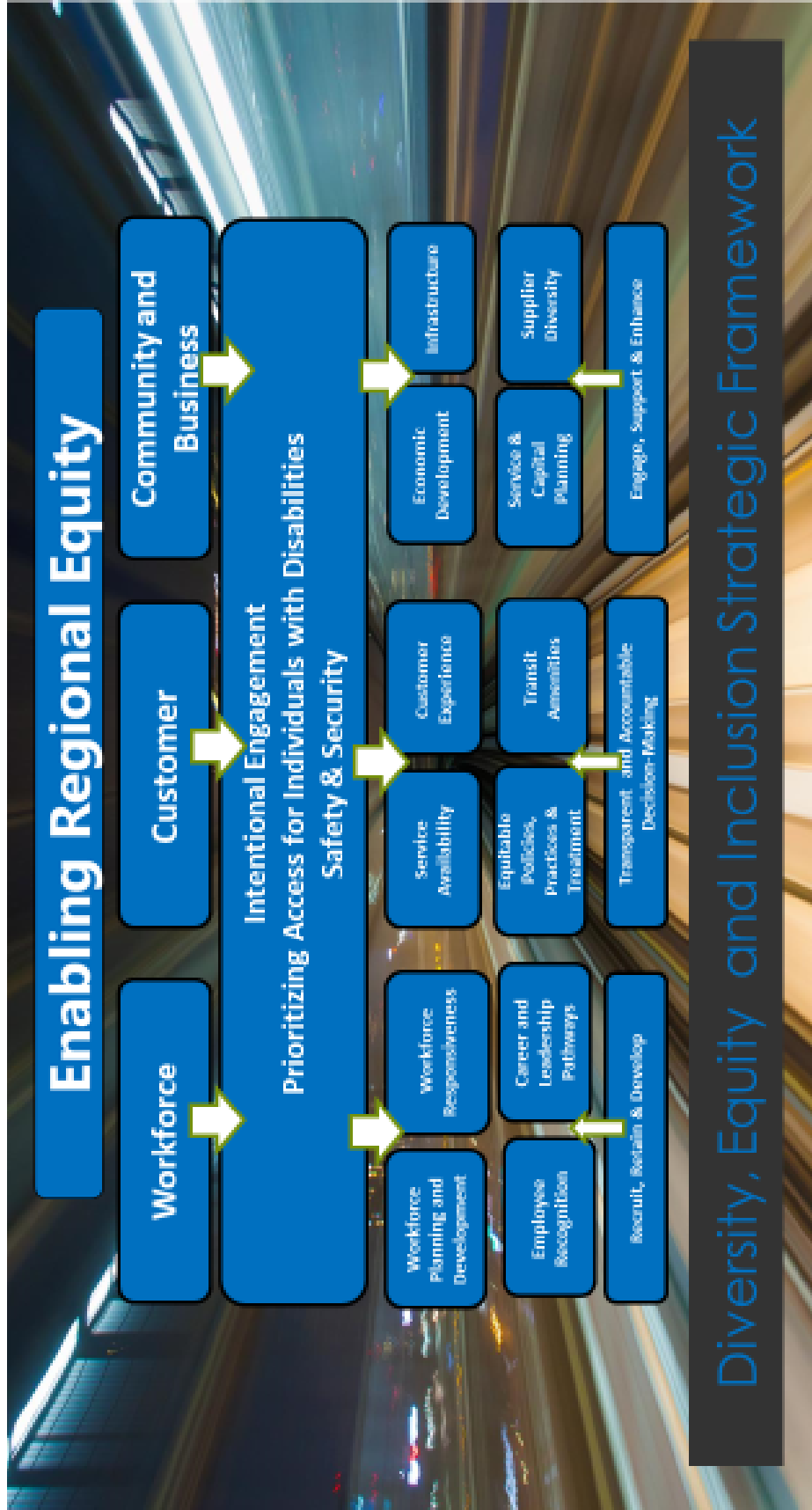
### Message from the Chair and CEO

“As the Nation’s largest transportation authority, MTA employs nearly 72,000 employees and moves nearly 6 million riders daily. As such, the activities, services, and capital projects led by the MTA are highly visible and serve as conduits for the advancement of diversity, equity, inclusion, and accessibility across our service region. Through this first-ever **MTA Diversity, Equity, & Inclusion Strategic Plan**, we’re reaffirming our commitment to actively listen to the voices of our constituents and intentionally engage them as we strive to make meaningful improvements and expansion of our own DEI efforts.”



# Executive Summary

## MTA'S Five Year Diversity Equity and Inclusion Strategic Plan



# Executive Summary

## MTA'S Five Year Diversity Equity and Inclusion Strategic Plan

### MTA DEI GOALS

#### Goal 1: DELIVER EQUITABLE PROGRAMS AND SERVICES

Use an equity lens to establish policies, programs, and services, that boost economic vitality of New York State and result in inclusive decisions that improve the quality of life for our employees, customer's, communities, and stakeholders.

#### Goal 2: RECRUIT, RETAIN, AND DEVELOP A TALENTED WORKFORCE

Attract, recruit, engage, develop and retain a talented workforce capable of using their varied backgrounds and experiences to drive productivity and innovation.

#### Goal 3: FOSTER AN INCLUSIVE WORKPLACE CULTURE

Create an environment that encourages flexibility, fairness, and individuality by establishing processes, policies, and practices that reflect the diverse needs of the workforce and those we serve.

#### Goal 4: PROVIDE A PLATFORM FOR COLLABORATIVE AND ADAPTIVE COMMUNICATION AND ENGAGEMENT

By applying an equity lens to our decision-making process, we will collaborate with internal and external constituents to ensure their needs are taken into account. Incorporating stakeholder engagement as a standard practice across the MTA will strengthen the reach of our decisions and our ability to deliver excellent public service.



Metropolitan Transportation Authority  
Department of Diversity and  
Civil Rights

Business and Diversity Initiatives

April 29, 2024





# Business Initiatives FY2023 - Outreach Q1

April	May	June
MTA DBE Certification Workshop	New York State – MWBE Advocacy Day	Queens Chamber of Commerce   Annual Queens Business Expo 2023
Hofstra University – Annual Ascend Procurement Conference	USDOT-SBTRC and OSDBU: Advancing Equitable Infrastructure Opportunities   BIL Small Business Contracting Symposium	MTA DBE Certification Workshop
General Contractor Association 2023 MWDBE & SDVOB Expo	City & State NY 2023 Diversity in NY Summit	JFK Redevelopment Program Veteran Contracting Opportunities
	NY/NJ Minority Small Diversity Council (NY/NJ MSDC)   2023 Spring Business Opportunity	U.S. Department of Commerce Minority Business Development Agency (MBDA)   Infrastructure Opportunities Matchmaking Conference
	PSEG Long Island   Supplier Diversity Event   Energize Opportunities 2023	NYS ESD MWBE 2023 Regional Expo
	CUNY 2023 MWBE & SDVOB Procurement Conference	MTA Quarterly New Firm Orientation Session
	NYS Department of Civil Service, Office of Diversity and Inclusion Management (ODIM)   Asian American Pacific Islander Heritage Month, Albany, NY	Inaugural Symposium Advancing Diversity, Equity, and Inclusion in the New York State Workforce, Albany, NY
		Transportation Diversity Council (TDC) Business-to-Business Summit
		Small Business Expo
		Bradhurst Merchants Association MWBE Businesses Meeting



# Business Initiatives FY2023 - Outreach Q2

July	August	September
COMTO National Meeting and Training Conference	Woodhaven Business Resources Fair	MTA Quarterly New Firm Orientation Session
29 <sup>th</sup> Annual Competitive Edge Conference	Federal Reserve Bank of New York & NYNJ Minority Supplier Diversity Council – Public Sector Contracting	Orange County Chamber of Commerce Economic Summit
2023 USDOT Prime and Subcontractor Matchmaking Event	NYC Small Business Services: The Melanin Summit: Changing the Color of Capital	MTA SBDP Training – Doing Business with the MTA
MTA SBDP Contractor Outreach Event	DBE Certification Workshop	
Gateway Development Commission - Manhattan Tunnel Contract Packaging Procurement Strategy Informational & Networking Event	NYPA Supplier Diversity Industry Day – Architecture, Engineering and Construction	
	Greater Harlem Chamber of Commerce Harlem Week	
	37 <sup>th</sup> Anniversary of ACCA National Training Institute	
	Latin American and Caribbean Business Forum	
	MTA Public Briefing on DBE Goal-setting Rationale	



# Business Initiatives

## FY2023 - Outreach Q3

October	November	December
City & State NY: Transportation in New York	Building Bridges for Diversity Gov't & Business Expo by LaGuardia CC Small Business & Entrepreneur Services	DBE CERTIFICATION WORKSHOP
15th Annual Citywide M/WBE Procurement Fair	VETCON ALBANY	NEW FIRM ORIENTATION WORKSHOP
Nassau County's Office of Minority Affairs - Annual M/WDBE & SDVOB Opportunity Expo		



# Business Initiatives Outreach Activity

**Total Number of Firms Interested in Doing Business with the MTA (April-December 2023): 664**

## Current Certification Type(s)

\*199 firms out of 664 are not certified.

MBE	107	WBE/DBE	21
WBE	108	WBE/MBE	23
DBE	44	MW/DBE	43
SDVOB	51	MW/SDVOB	0
MBE/DBE	56	MW/DBE/SDVOB	4
MBE/SDVOB	5	DBE/SDVOB	3

➤ Newly certified firms and/or certified firms new to the MTA are invited to the **MTA's New Firm Orientation Session (NFOS)**. The NFOS integrates certified firms into the MTA procurement process.

➤ In an effort, to build a pipeline of certified firms, we recommend non-certified firms to participate in the MTA's **Disadvantaged Business Enterprise (DBE) Certification Workshop** and/or referred to our **partner agencies for the M/WBE and SDVOB certifications.**



# Business Initiatives

## Outreach Activity

**Total Number of Firms Interested in Doing Business with the MTA (April-December 2023): 664**

### **Firms by Industry**

Commodities	33 (15%)
Construction	86 (13%)
Construction Consulting	80 (12%)
Service Consulting	465 (70%)



Metropolitan Transportation Authority  
Department of Diversity and Civil Rights

DBE Certification Activity Report  
March 25, 2024



# MTA DBE Certification Unit

## Certification Activity Report Year 2022 – 2023

	2022*	2023**
New Applications Received	81	108
DBE Firms Certified in Current Year	58	84
DBE Firms Certified in Subsequent Year	0	0
Denied	2	0
Returned	10	6
Withdrawn	11	12
Application Closed	0	0
Decertified	0	0
Rejected	0	0
Delisted	0	1
Pending	0	5

\*Data is from January 1, to December 31, 2022

\*\*Data is from January 1, to December 31, 2023

	2022	2023
Annual Submissions Processed (Re-Certification)	698	681
Average Days To Certify Firms	47.162	48.53



# Executive Summary

## Certification Activity Report:

This year, from January 1, 2023 to December 31, 2023, there were a total of **108** new applications received and a total of **84** firms were certified. The average time to process certified firms in 2023 was **49 days**.

From January 1, 2022 to December 31, 2022, there were a total of **81** new applications received and a total of **58** firms were certified. The average time to process certified firms in 2022 was **47 days**.

Status: There is a difference of **27** new applications received and **26** firms certified.

## Trends:

Upward

Constant

Downward – A slight decrease in applications received.

## Strategy for Improvement:

Increase Outreach Activities





Metropolitan Transportation Authority  
Department of Diversity and  
Civil Rights

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

**April, 2024**



# 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.



# Small Business Development Program (SBMP)

## Legislative Changes to the SBMP

- Increase to Threshold
  - Tier 1 Threshold increased from \$1M to \$1.5M
  - Tier 2 Threshold increased from \$3M to \$5M
- Increase in Number of Years
  - Tier 1 increased from 4 Years to 5 Years
  - Tier 2 increased from 4 Years to 5 Years



# 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



# Elements of the SBDP

## ▶ **Departmental Goals for the Calendar Year 2023**

DDCR SBDP's goal for 2023 included (1) to increase contractor recruitment and (2) to improve contractor's participation in the MTA's loan program.

In 2023, with respect to meeting goals, SBDP has delivered an exceptional performance, exceeding expectations in the goals as compared to 2022.

- ▶ The goal of a 10% increase in contractor recruitment was eclipsed by SBDP delivering a 17% overall increase in recruitment. Recruitment brought in 70 new firms as compared to 60 new firms in the last year.
- ▶ The new loan program contract with BOC Capital Corp, a lender focused on funding small businesses, has doubled the number of loans as compared to last year from the prior lending bank. MTA and BOC has approved ten of ten loan applicants in 2023, where only three loans were approved in the last year, a 233% increase overall.



# Twelve Years to Date

- Through December 31<sup>st</sup> of 2023
- These first twelve years the MTA Small Business Development Program (SBDP) achieved its greatest milestone reaching and exceeding the \$600 million mark, having awarded 651 contracts totaling \$695 million with an estimated 16,865 jobs created.
- Our loan program assists contractors in creating a track record of successful project completion and loan history, providing our program contractors with the power and the confidence of capital and credit. Since the inception of the SBDP Loan Program we have approved and issued 154 loans totaling \$20.6 million.
- The Small Business Development Bond Program has assisted our contractors in securing over \$500 million in AGGREGATE surety bonds.
- Over 1152 firms participated in our SBDP training program and over 2,000 hours of classroom training. Over 500 of these firms have applied to and prequalified into our program.

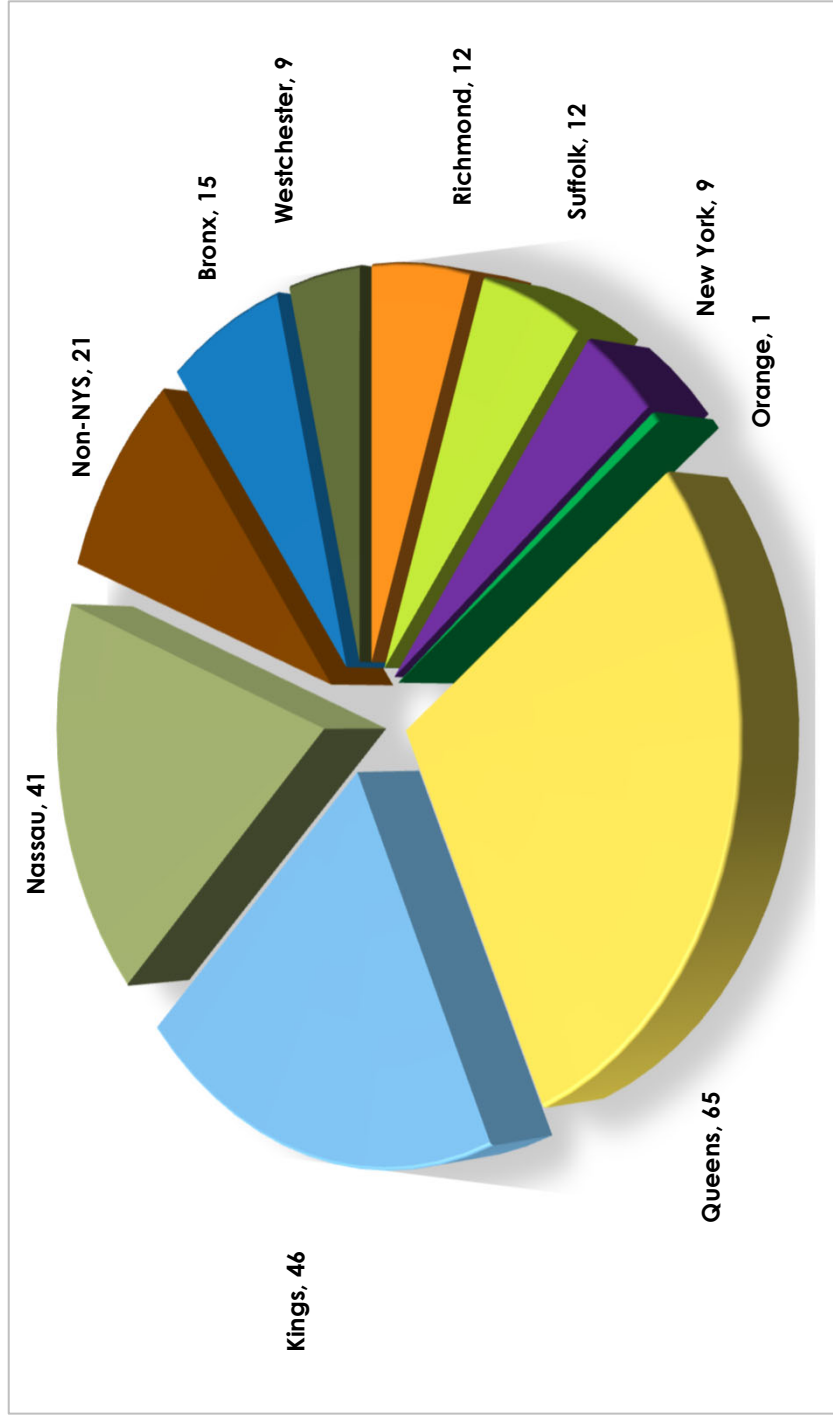


# SBDP Represents NY Metro Region

**Small Business Mentoring Program All Tiers      231 Firms Actively Enrolled in the Program  
(as of December 31, 2023)**

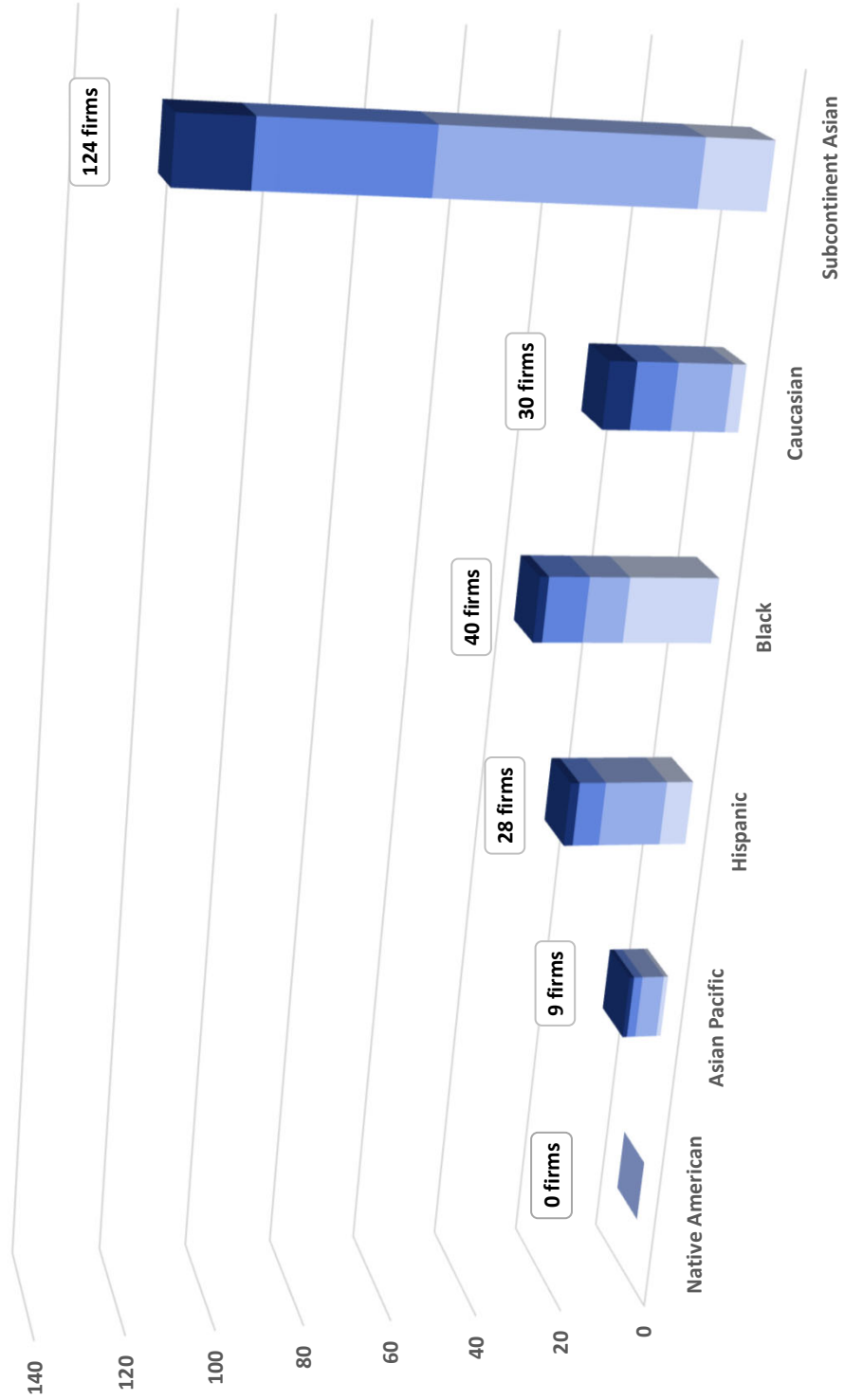
Certification	
MBE	134
WBE	31
DBE	46
SDVOB	12
Non-Certified	73

*firms may have multiple certifications*



# SBDP Tiers are also Diverse

Ethnicity of Firms Actively Enrolled in the Program by Tier



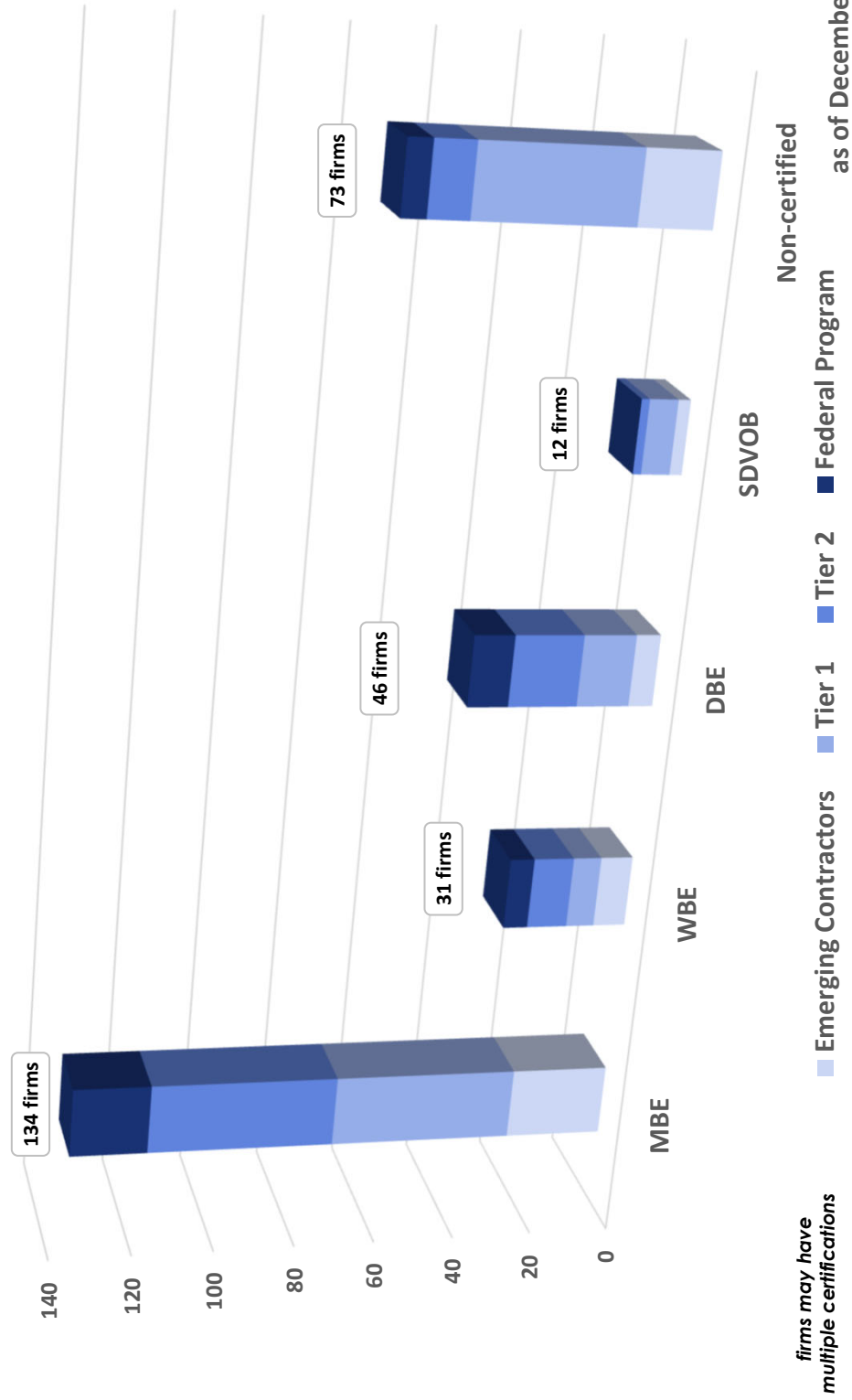
as of December 31, 2023

Emerging Contractors Tier 1 Tier 2 Federal Program



# SBDP Certifications

Certifications of Firms Actively Enrolled in the Program by Tier

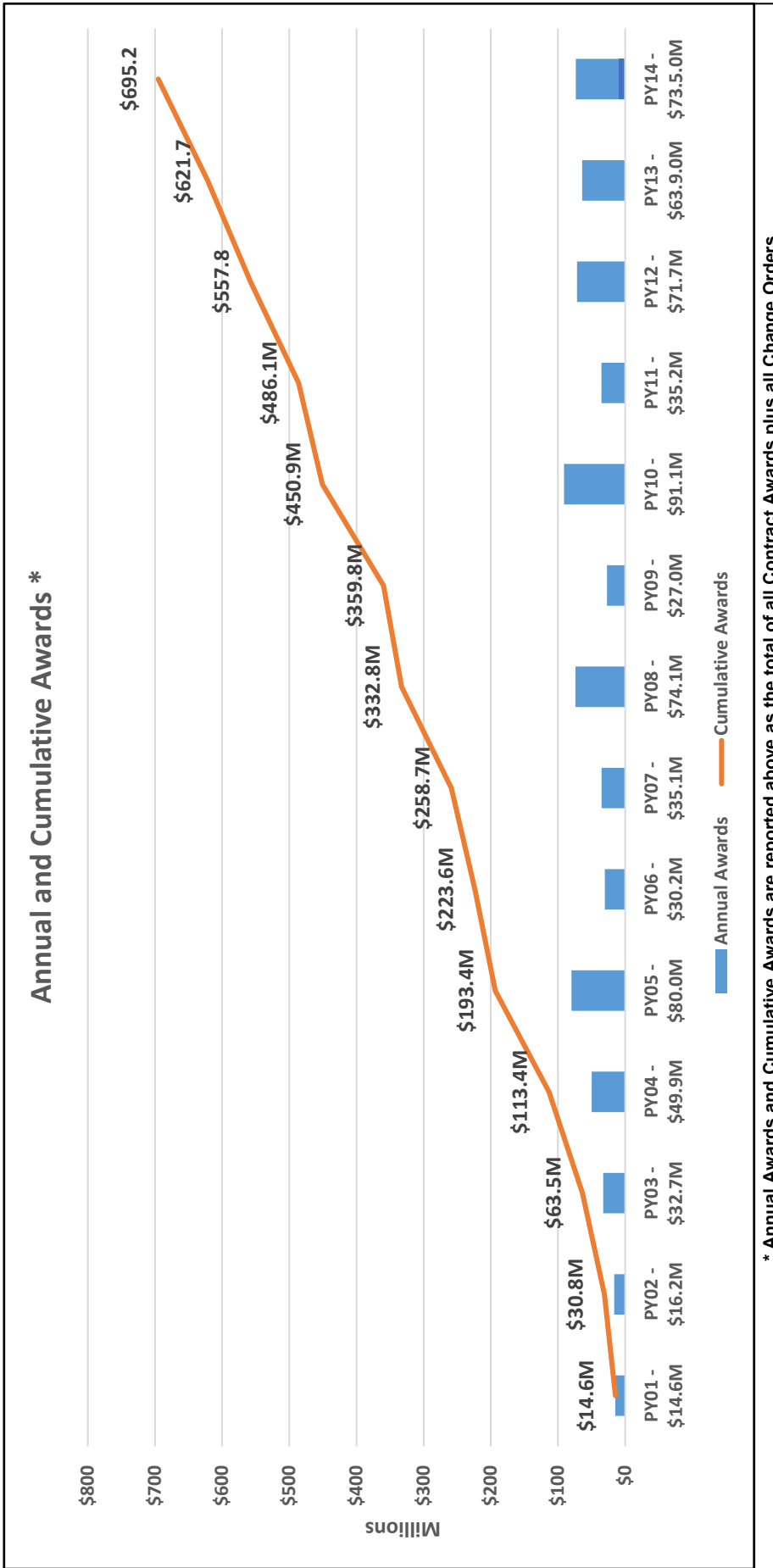


# SBDP is Exceeding MWDBE Goals

- MTA MWBE SBMP Tier 1/Tier 2 Goal – **30%**
- MTA DBE Goal – **20%**
- MTA SDVOB Goal - **6%** (Initiated during Program Year 7)
- Tier 1 MWBE Achievements
  - **62%** - contracts awarded to NYS-certified MWBEs
  - **62%** - contract dollars awarded to NYS-certified MWBEs
- Tier 2 MWBE Achievements
  - **83%** - contracts awarded to NYS-certified MWBEs
  - **82%** - contracts dollars awarded to NYS-certified MWBEs
- Federal Program DBE Achievements
  - **61%** - contracts awarded to DBEs
  - **58%** - contracts dollars awarded to DBEs
- SDVOB Achievements
  - **1%** - contracts awarded to SDVOBs
  - **1%** - contract dollars awarded to SDVOBs



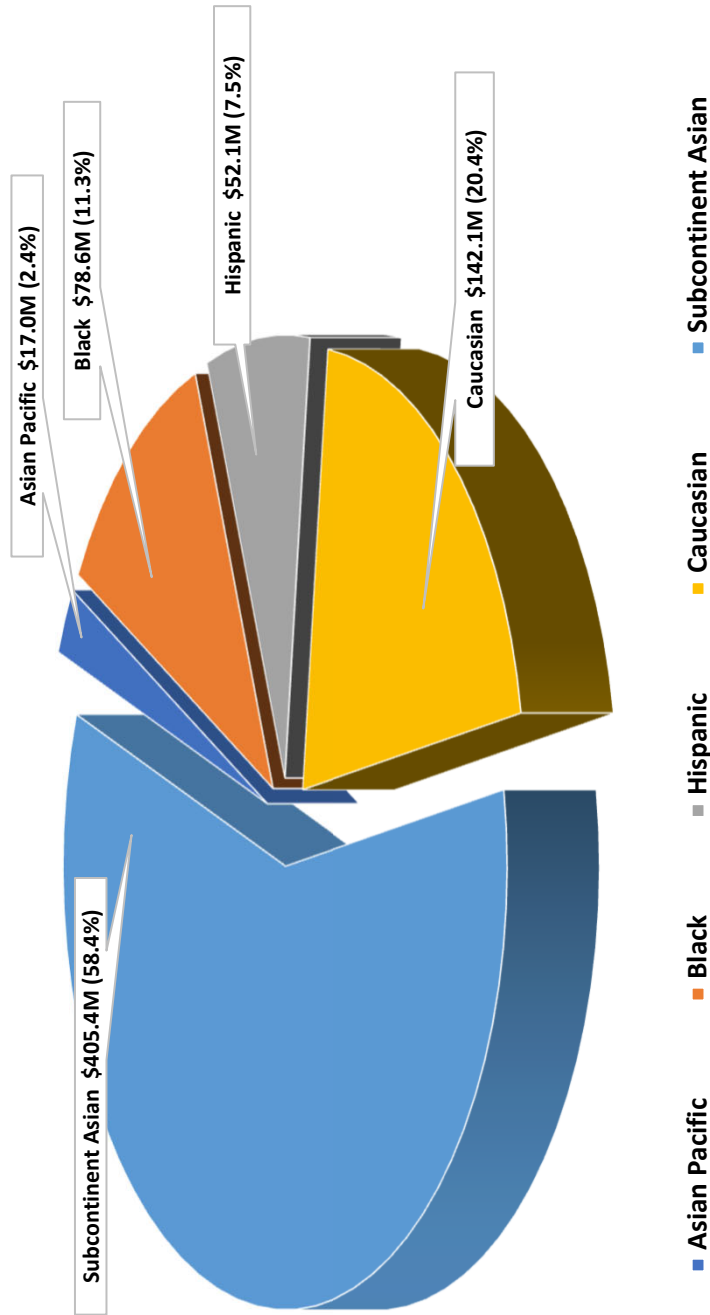
# SBDP Prime Contract Opportunities



Program Years 1-14 awards through December 31, 2023

# SBDP Contract Awards

## Total SBDP Contract Awards by Ethnic Categories



Category	Legend	Awards
Subcontinent Asian	■	\$405.4M
Caucasian	■	\$142.1M
Black	■	\$78.6M
Hispanic	■	\$52.1M
Asian Pacific	■	\$17.0M
<b>Total SBDP Awards</b>		<b>\$695.2M</b>

(Awards in Millions of Dollars)

Contract Awards through December 31, 2023



# SBDP Loan Program

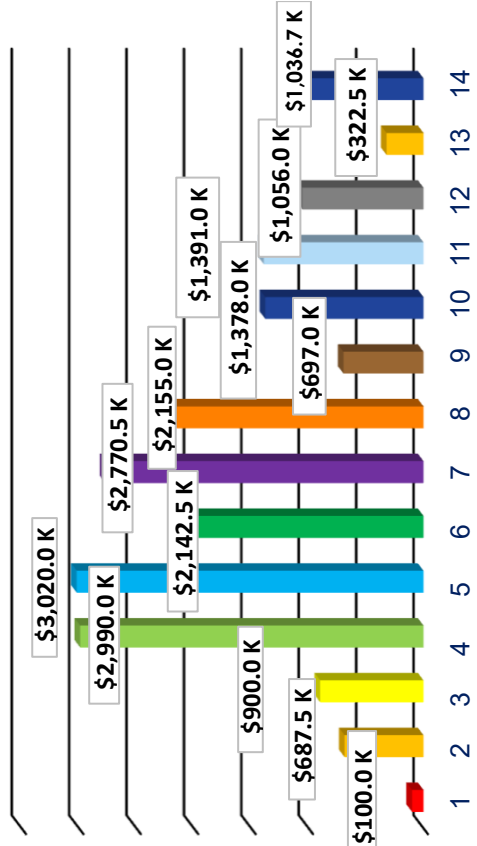
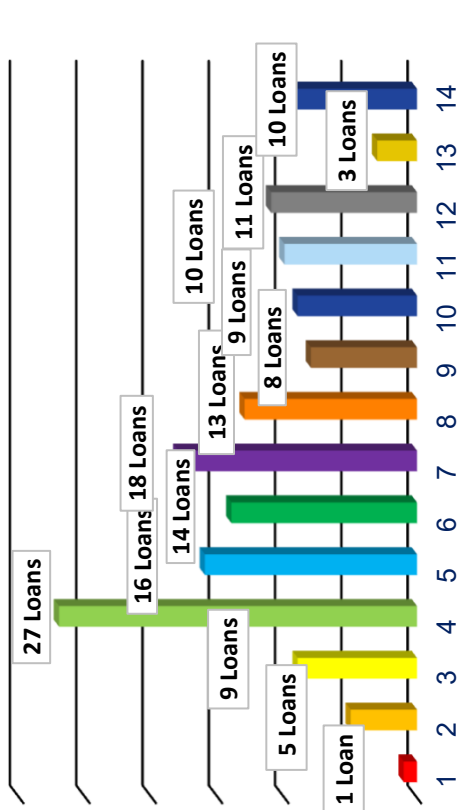
Loan values shown are through December 31, 2023

Year 1	1 Loan	totaling	\$ 100,000
Year 2	5 Loans	totaling	\$ 687,500
Year 3	9 Loans	totaling	\$ 900,000
Year 4	27 Loans	totaling	\$2,990,000
Year 5	16 Loans	totaling	\$3,020,000
Year 6	14 Loans	totaling	\$2,142,500
Year 7	18 Loans	totaling	\$2,770,500
Year 8	13 Loans	totaling	\$2,155,000
Year 9	8 Loans	totaling	\$ 697,000
Year 10	9 Loans	totaling	\$1,378,000
Year 11	10 Loans	totaling	\$1,391,000
Year 12	11 Loans	totaling	\$1,056,000
Year 13	3 Loans	totaling	\$ 322,500
Year 14	10 Loans	totaling	\$1,036,760
<b>Total 154 Loans Totals</b>			<b>\$20,646,760</b>

Maximum Loan Available: Tier 1 - up to \$150,0000

SBFP and Tier 2 - up to \$900,000

Note: On January 1, 2019, SBDP began reporting on a Calendar year instead of a Fiscal year.  
Year 9 represents activity from August 1st 2018 to December 31st, 2018



# SBDP Awards

Program Year	Tier	Dollars Awarded
➤ 2010 – 2023	SBMP-Tier 1	Awards total <b>\$257.2</b> Million
➤ 2015 – 2023	SBMP-Tier 2	Awards total <b>\$270.0</b> Million
➤ 2013 – 2023	SBFP	Awards total <b>\$168.0</b> Million
Award values shown are through December 31, 2023		
	All Tiers	Awards total <b>\$695.2</b> Million



# SBDP Facilitates Bonding and Growth

- The Small Business Development Bond Program has assisted Tier 2 and SBFP firms in securing **\$603 million** in surety bonds.
- **1,777** bid opportunities in the **Tier 2** and **Federal** programs
- **228** 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 **300** classroom training dates completed from July 2010 through December 2023
- Over **2,000** hours of classroom training provided from July 2010 through December 2023
- More than **1152** firms have participated in the training since the program's inception,
  - Over **500** of these firms have applied to and prequalified into the SBMP
- All prequalified contractors complete a mandatory 18-session training program
- Over **35** course attendees were registered for the recent training sessions
  - assisting them through the application and pre-qualification process





# TRAINING IS INTEGRAL TO SUCCESS

All prequalified contractors complete a mandatory 18-session training program.

This training program is facilitated twice a year, in the spring and in the fall. Since the inception of this training program in 2012, 1,152 firms have participated, we have had 300 classroom training dates, over 500 firms have applied to the MTA SBDP, and, we have provided over 2000 hours of classroom instruction.

The training curriculum, specific content, trainers, and delivery methods are subject to MTA approval and is evaluated after each course. There is a training evaluation form sent out to the class participants at the end of each course requesting that they rate the effectiveness of the training. This evaluation rates the instructor, course material, organization of class, pace of the course as well as course effectiveness.

The rating system is scored 1 thru 5 with 1 being the strongest. The average rating for each class has been 1.2.



# Training Classes Continue to Evolve

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

## ➤ Course topics include:

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



# Assessments Plot a Course of Action

- Contractor Assessments lead to detailed Action Plans
- Identifying existing and future needs
- Creating SMART Plans with each contractor
  - **S**pecific
  - **M**easurable
  - **A**greed Upon
  - **R**ealistic
  - **T**ime-bound
- **Over 490** In-Person Assessments Completed
- **Over 470** 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

April, 2024

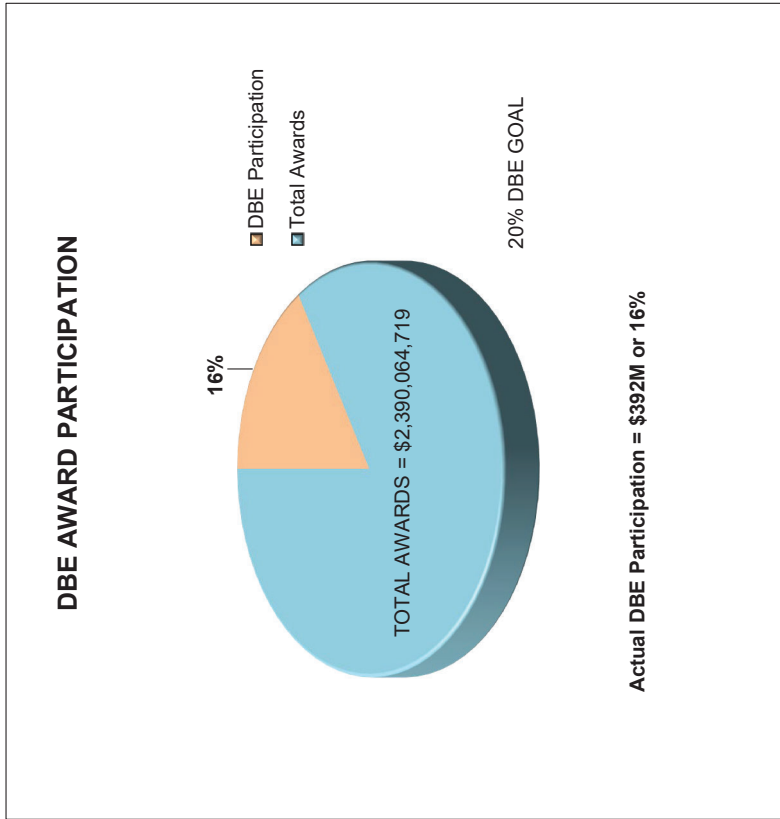


## **DBE Participation in Federally Funded Contracts Federal Fiscal Year 2023**

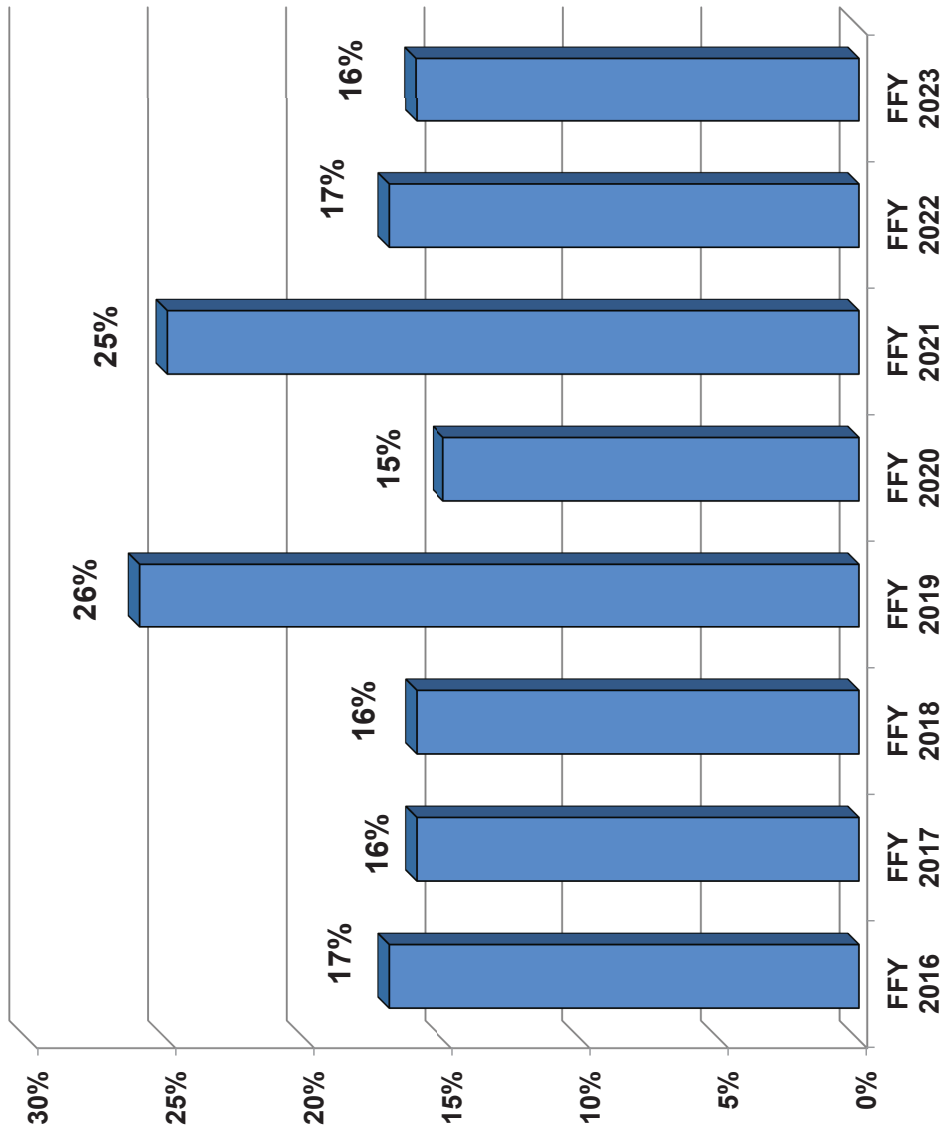
**(Reporting Period: October 1, 2022 to September 30, 2023)**

- 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 2023, MTA’s DBE goal is 20%.
- During FFY 2023, MTA awarded \$2.3 billion in the federally funded portion of contracts, with approximately \$392.3 million (16%) being awarded to certified DBEs.
- On contracts closed during the first half of the FFY 2023, MTA achieved 22% DBE participation.

FEDERALLY-FUNDED CONTRACTS  
DBE CONTRACT ACTIVITY  
FEDERAL FISCAL YEAR 2023(OCTOBER 2022-SEPTEMBER 2023)



**DBE CONTRACT AWARDS**  
October 2016 - September 2023





**FEDERALLY-FUNDED CONTRACTS  
DBE CONTRACT ACTIVITY  
FEDERAL FISCAL YEAR 2023 (OCTOBER 2022-SEPTEMBER 2023)**

**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 2022- March 2023</b>	138	\$2,173,635,317	191	\$346,521,007	16%	20%
<b>2ND SEMI-ANNUAL REPORT April 2023- September 2023</b>	153	\$216,429,402	77	\$45,867,954	21%	20%
<b>TOTAL</b>	<b>**291</b>	<b>\$2,390,064,719</b>	<b>268</b>	<b>\$392,388,961</b>	<b>16%</b>	<b>20%</b>

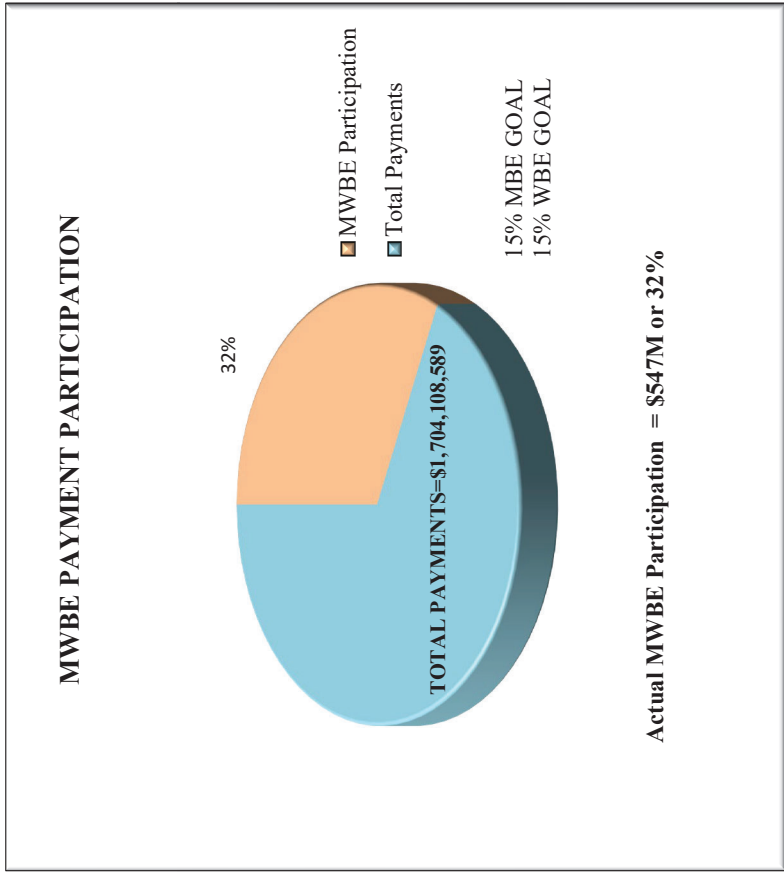
\*Dollar amounts represent the federally-funded portion of contracts.

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

**MWBE Participation in State Funded Contracts**  
**New York State Fiscal Year 2023-2024\***  
**(Reporting Period: April 1, 2023 to December 31, 2023)**

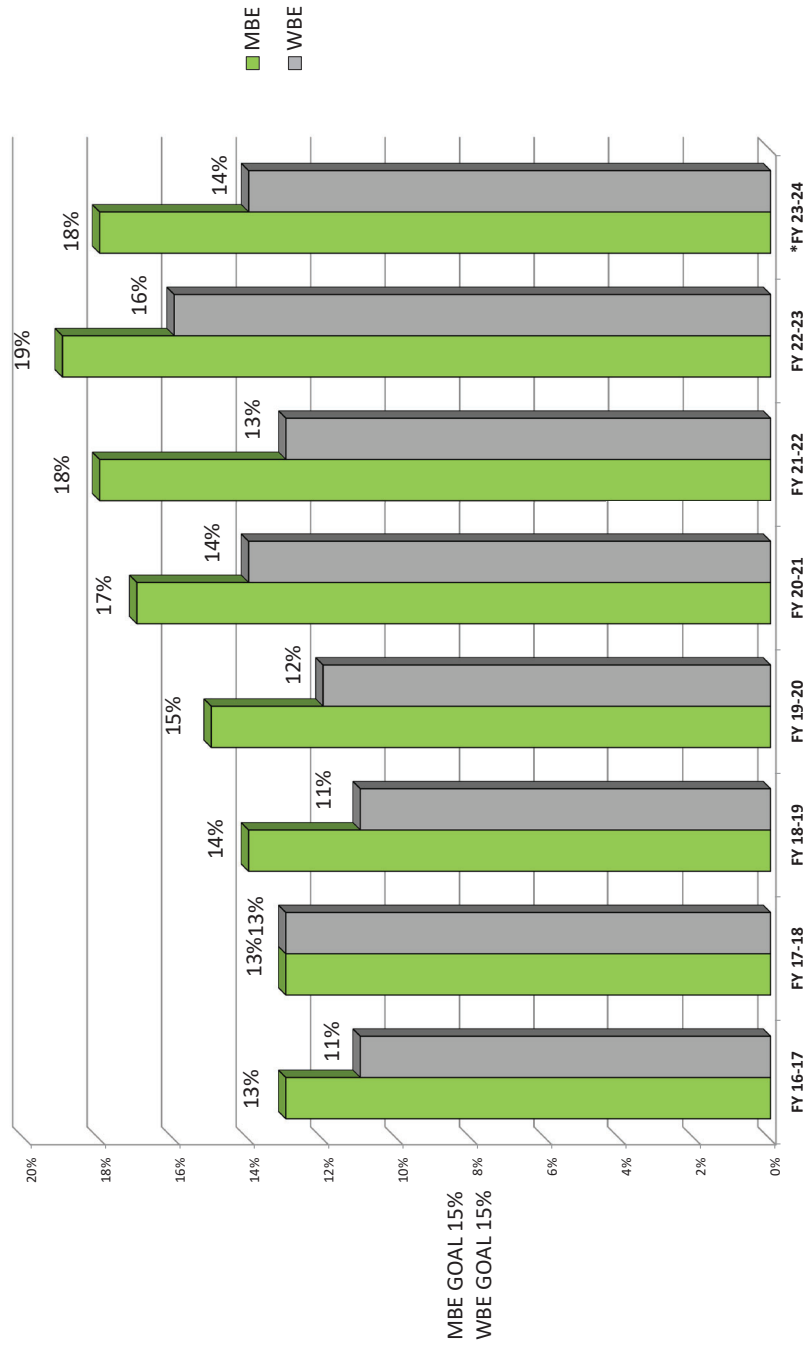
- Each year, the MTA reports to the Empire State Development Corporation on a quarterly basis the MWBE participation on state funded contracts.
- Reports are submitted 15 days after the end of each quarter, on January 15, April 15, July 15, and October 15.
- Reports include data on contracts with goals and MWBE contract payments.
- MTA established an overall MWBE goal of 30% for the New York State fiscal year 2023-2024, starting April 1, 2023.
- During the first three quarters of the FY 2023-24, the MTA paid \$1.7 billion on prime contracts, with \$547 million (32%) paid to certified MWBEs.

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



\* First Three Quarters of NYS FY 2023-24

NYS MWBE PAYMENTS  
 APRIL 2016 - DECEMBER 2023



**NYS CONTRACTS  
MWBE CONTRACT ACTIVITY  
APRIL 1, 2023 - DECEMBER 31, 2023**

CONTRACT PAYMENTS	PAYMENTS TO PRIMES		MWBE PARTICIPATION			NYS Goal
	Number of Contracts	Payment Amount	Number of MWBE Contracts	MWBE Payment Amount	MWBE %	
FIRST QUARTER (Apr-Jun 2023)	2,057	\$582,270,127	2,689	\$179,012,917	31%	30%
SECOND QUARTER (July-Sept 2023)	1,983	\$560,796,762	2,715	\$182,340,032	33%	30%
THIRD QUARTER (Oct-Dec 2023)	2,058	\$561,041,700	2,782	\$185,682,570	33%	30%
<b>TOTAL</b>	<b>6,098</b>	<b>\$1,704,108,589</b>	<b>8,186</b>	<b>\$547,035,519</b>	<b>32%</b>	<b>30%</b>

**SDVOB Participation on State Funded Contracts**  
**New York State Fiscal Year 2023-2024\***  
**(Reporting Period: April 1, 2023 to December 31, 2023)**

- Each year, the MTA reports to the Office of General Services on a quarterly basis the SDVOB participation on state funded contracts.
- Reports are submitted 30 days after the end of each quarter, on January 30, April 30, July 30, and October 30.
- Reports include data on contracts with SDVOB goals and payments made to SDVOBs.
- MTA established an overall SDVOB goal of 6% for State fiscal year 2023-2024, starting on April 1, 2023.
- During the first three quarters of FY 2023-24, the MTA paid \$442 million on prime contracts with \$31 million (7%), paid to certified SDVOBs.

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

**NYS CONTRACTS**  
**SDVOB CONTRACT ACTIVITY**  
**APRIL 1, 2023 - DECEMBER 31, 2023**

Contract Payments	Prime Disbursements	SDVOB Disbursements	SDVOB%
FIRST QUARTER (Apr-Jun 2023)	\$141,247,825	\$7,308,924	5%
SECOND QUARTER (July-Sept 2023)	\$143,079,019	\$9,411,029	7%
THIRD QUARTER (Oct-Dec 2023)	\$157,664,879	\$13,915,308	9%
<b>FY 2023-2024 TOTAL</b>	<b>\$441,991,723</b>	<b>\$30,635,261</b>	<b>7%</b>

Metropolitan Transportation Authority  
Department of Diversity and  
Civil Rights

All Discretionary  
Including  
A&E, IT, and Legal

April, 2024





**MTA ALL AGENCY  
DISCRETIONARY PROCUREMENT REPORT\***

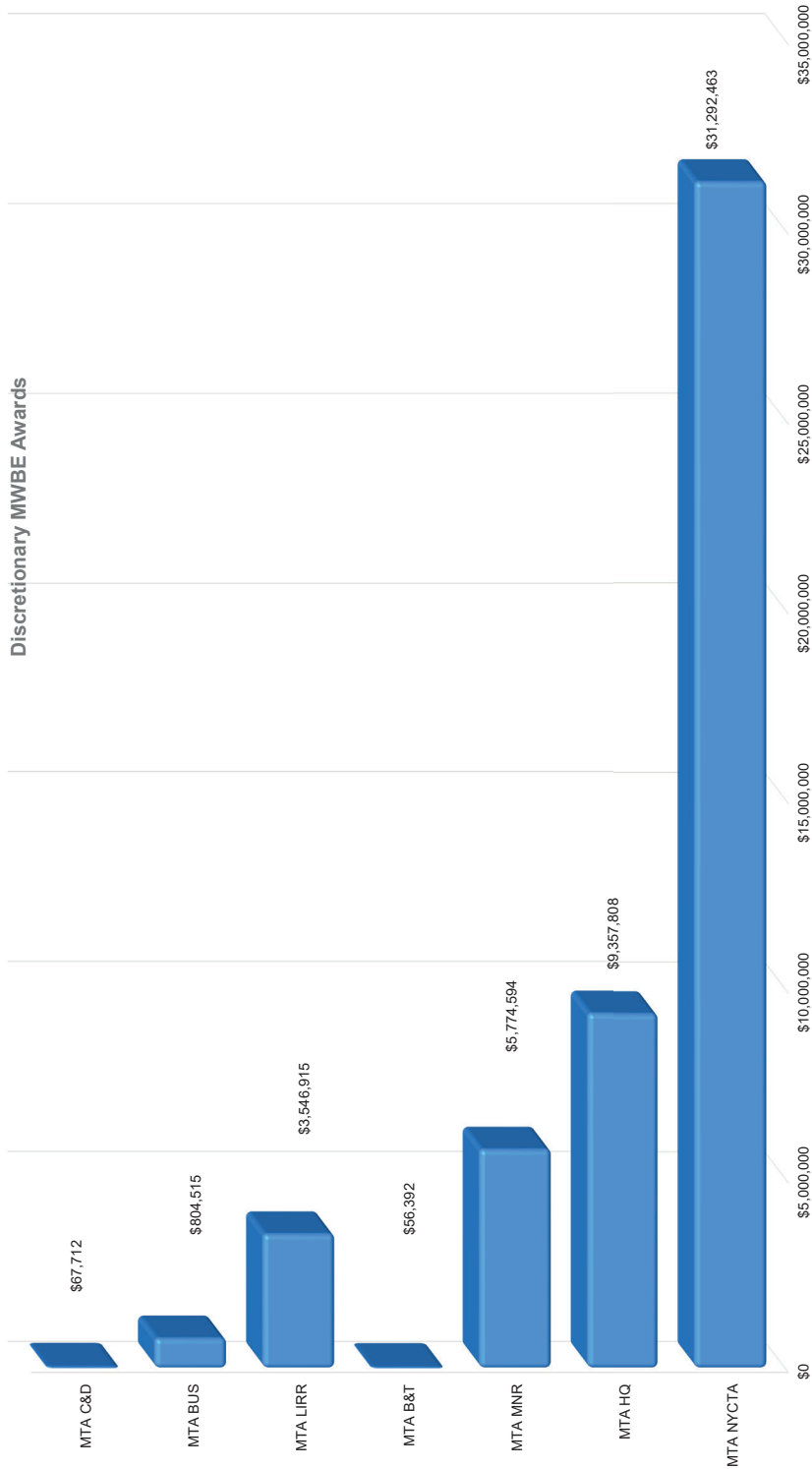
**April 2023 - December 2023**

Agency	Total Awards \$1.5M or Less	MWBE Discretionary Awards	Discretionary MWBE	SBC Discretionary	Discretionary SBC
MTA NYCTA	\$ 179,931,740.90	\$ 31,292,462.99	17%	\$ 3,851,292.94	2%
MTA MNR	\$ 51,886,702.84	\$ 5,774,594.23	11%	\$ 561,625.63	1%
MTA B&T	\$ 3,398,320.55	\$ 56,391.60	2%	\$ -	0%
MTA LIRR	\$ 65,139,103.56	\$ 3,546,914.52	5%	\$ 921,295.33	1%
MTA HQ	\$ 27,812,334.15	\$ 9,357,807.92	34%	\$ 127,140.00	0%
MTA C&D	\$ 2,882,073.04	\$ 67,712.20	2%	\$ 7,866.00	0%
MTA BUS	\$ 24,698,246.48	\$ 804,515.18	3%	\$ 385,862.50	2%
<b>Total</b>	<b>\$ 355,748,521.52</b>	<b>\$ 50,900,398.64</b>	<b>14%</b>	<b>\$ 5,855,082.40</b>	<b>2%</b>

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

Includes IT Discretionary \$7,317,706.56

MTA ALL AGENCY  
 DISCRETIONARY PROCUREMENTS REPORT\*  
 APRIL 2023 - DECEMBER 2023

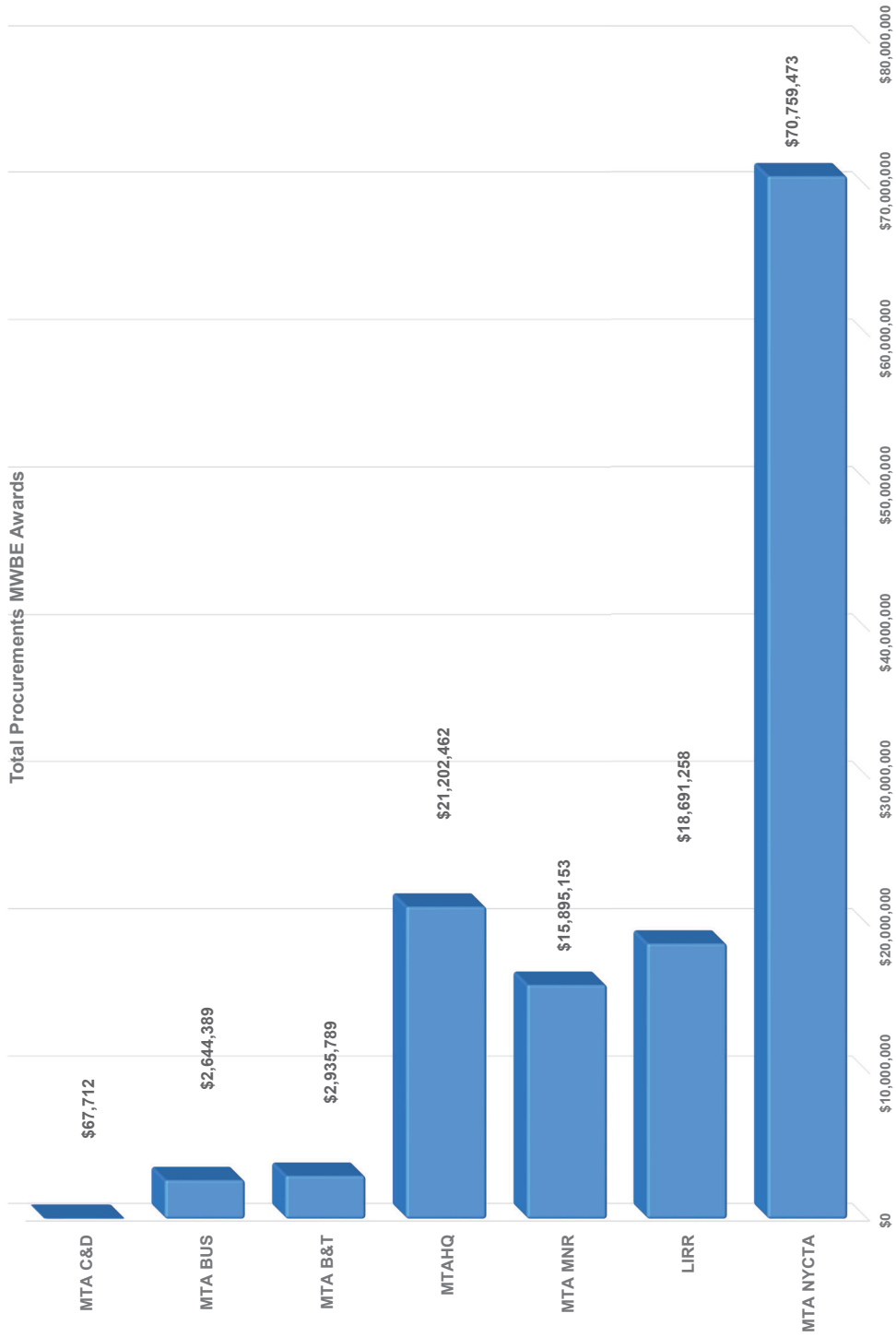


\*Discretionary procurements include purchases for goods, miscellaneous procurements, personal or miscellaneous services.

**MTA ALL AGENCY  
TOTAL PROCUREMENTS  
April 2023 - December 2023**

<b>Agency</b>	<b>Total Award Amount</b>	<b>Total MWBE Awards</b>	<b>MWBE</b>
<b>MTA NYCTA</b>	\$ 512,864,634.36	\$ 70,759,472.63	14%
<b>MTA MNR</b>	\$ 58,783,746.08	\$ 15,895,153.17	27%
<b>MTA B&amp;T</b>	\$ 25,198,529.08	\$ 2,935,788.60	12%
<b>MTA LIRR</b>	\$ 120,965,896.97	\$ 18,691,258.11	15%
<b>MTA HQ</b>	\$ 200,684,447.07	\$ 21,202,461.90	11%
<b>MTA C&amp;D</b>	\$ 2,882,073.04	\$ 67,712.20	2%
<b>MTA BUS</b>	\$ 33,748,030.99	\$ 2,644,388.62	8%
<b>Total</b>	<b>\$ 955,127,357.59</b>	<b>\$ 132,196,235.23</b>	<b>14%</b>

MTA ALL AGENCY  
TOTAL PROCUREMENTS REPORT  
APRIL 2023 - DECEMBER 2023



A/E Awards thru Discretionary Procurement April 2023 - December 2023									
#	Agency	Contract Number	Project Name & Description	Primary Trades	Contract Amount	Notice of Award Date	Contractor	Contractor Certification	
1	B&T	D81691B	A&E Design, PM Inspection	As-Needed Construction Administration, Inspection and Support Services	\$ 1,195,679	04/14/23	AI Engineers Inc.	MBE	
2	B&T	D81695B	A&E Design, PM Inspection	As-Needed Construction Administration, Inspection and Support Services	\$ 436,721	04/14/23	Entech Engineering	WBE	
3	LIRR	D81694L	A&E Design, PM Inspection	As-Needed Construction Administration, Inspection and Support Services	\$ 612,442	05/30/23	Enovate Engineering	WBE	
4	NYCT	D81701OPR	A&E Design, PM Inspection	As-Needed Construction Administration, Inspection and Support Services	\$ 61,893	04/04/23	Naik Consulting	MBE	
5	BRTUN	D81693B	A&E Design, PM Inspection	As-Needed Construction Administration, Inspection and Support Services	\$ 413,907.00	07/17/23	CSA GROUP NY ARCHITECTS AND ENGINEERS PC	MBE	
6	MNCRR	D81697M	A&E Design, PM Inspection	As-Needed Construction Administration, Inspection and Support Services	\$ 773,006.00	07/28/23	GEDEON GRC CONSULTING	MBE	
7	MNCRR	D81701M	A&E Design, PM Inspection	As-Needed Construction Administration, Inspection and Support Services	\$ 680,324.52	07/31/23	NAIK CONSULTING GROUP PC	MBE	
8	LIRRD	D81695L	A&E Design, PM Inspection	As-Needed Construction Administration, Inspection and Support Services	\$ 855,366.22	08/21/23	ENTECH ENGINEERING PC	WBE	
9	NYCT	D81700	A&E Design, PM Inspection	As-Needed Construction Administration, Inspection and Support Services	\$ 617,248.00	10/18/23	KS ENGINEERS PC	MBE	
				<b>TOTAL</b>	<b>\$ 5,646,587</b>				

MTA ALL AGENCY LEGAL FEES PAID  
APRIL THROUGH DECEMBER 2023

AGENCY	ALL LEGAL FEES PAID	PAYMENTS TO MBE CERTIFIED FIRMS	MBE PARTICIPATION	PAYMENTS TO WBE CERTIFIED FIRMS	WBE PARTICIPATION	PAYMENTS TO MWBE CERTIFIED FIRMS	MWBE PARTICIPATION	PAYMENTS TO NON-CERTIFIED FIRMS
MTA C&D	\$ 3,199,246.18	\$ 108,085.76	3.38%	\$465,564.25	14.55%	\$ 573,650.01	17.93%	\$ -
MTA BUS	\$ 3,369,322.66	\$ 90,441.21	2.68%	\$ 834,715.76	24.77%	\$ 925,156.97	27.46%	\$ -
B&T	\$ 1,412,923.41	\$ 58,244.84	4.12%	\$ 186,658.00	13.21%	\$ 244,902.84	17.33%	\$ -
FMTAC	\$ 3,574,844.19	\$ 740,148.62	20.70%	\$ 179,053.00	5.01%	\$ 919,201.62	25.71%	\$ -
LIRR	\$ 1,817,238.79	\$ 56,980.18	3.14%	\$ 512,640.32	28.21%	\$ 569,620.50	31.35%	\$ -
NYCTA	\$ 16,002,401.99	\$ 1,631,161.34	10.19%	\$ 1,033,105.81	6.46%	\$ 2,664,267.15	16.65%	\$ -
MNR	\$ 695,905.86	\$ 10,417.09	1.50%	\$0.00	0.00%	\$ 10,417.09	1.50%	\$ -
MTA HQ	\$ 14,482,173.90	\$ 560,156.55	3.87%	\$ 449,768.10	3.11%	\$ 1,009,924.65	6.97%	\$ -
<b>Total</b>	<b>\$ 44,554,057</b>	<b>\$ 3,255,636</b>	<b>7%</b>	<b>\$ 3,661,505</b>	<b>8%</b>	<b>\$ 6,917,141</b>	<b>16%</b>	<b>\$ -</b>

AMEND/REMOVED

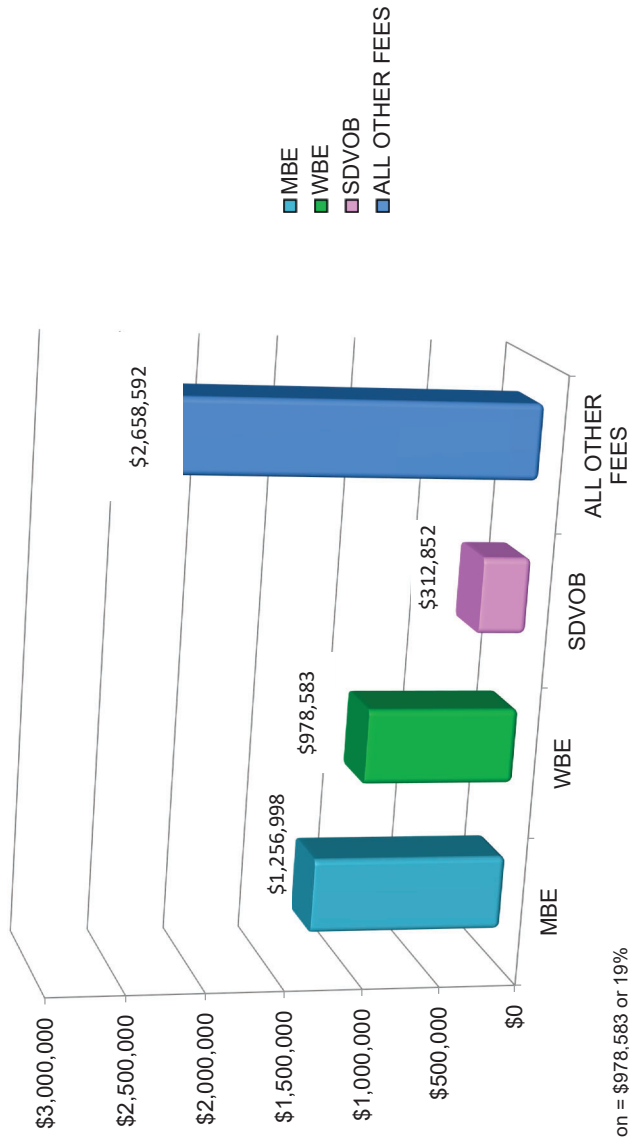
Metropolitan Transportation Authority  
Department of Diversity and  
Civil Rights

Financial Services

April, 2024



**MTA ALL AGENCY UNDERWRITER FEES  
APRIL 2023 - December 2023**



Actual WBE Participation = \$978,583 or 19%  
 Actual MBE Participation = \$1,256,998 or 24%  
 Actual SDVOB Participation = \$312,852 or 6%  
 All Other Underwriting Fees = \$2,658,592 or 51%  
 Total Underwriting Fees = \$5,207,025



Metropolitan Transportation Authority  
Department of Diversity and  
Civil Rights

Asset Fund Managers

April, 2024



# MTA Sponsored Plans – MWBE Participation

As of January 2024

## Executive Summary

### Combined Plans

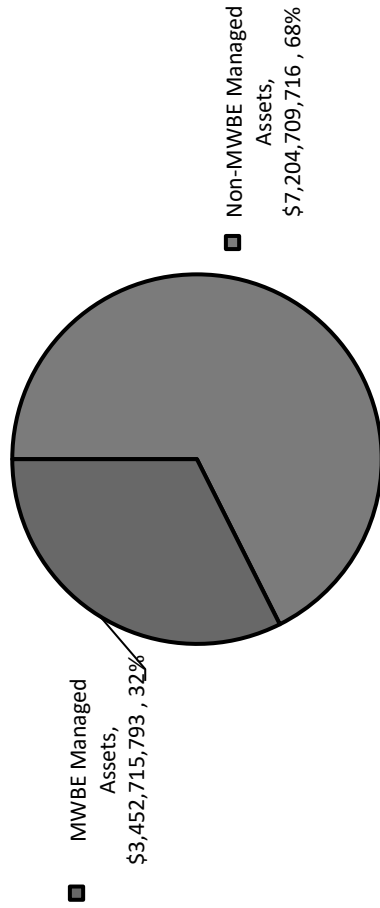
- Total assets managed by MWBEs: \$3.45 billion; or 32% of total assets
- Majority of assets are in traditional asset classes
- Traditional assets managed by MWBEs: \$3.28 billion; or 40% of traditional assets
  - MWBE firms manage
    - 71% of US Equities
    - 34% of Real Estate
    - 15% of Non-US Equities
    - 55% of Fixed Income
    - 20% of Opportunistic
- Alternative investments managed by MWBE's: \$174 million; or 7% of alternative investments



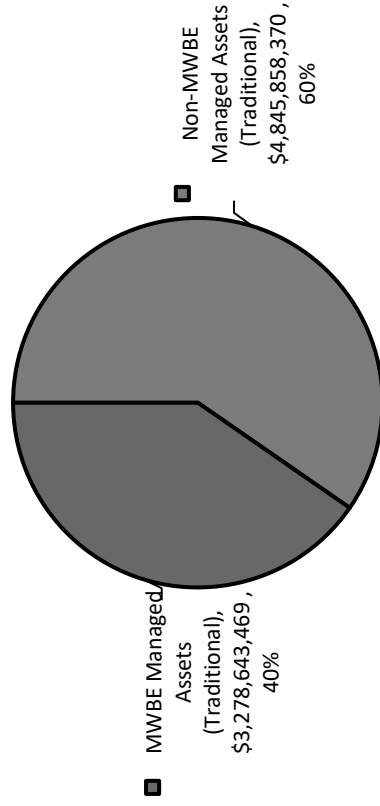
# MTA Sponsored Plans – MWBE Participation

As January 2024

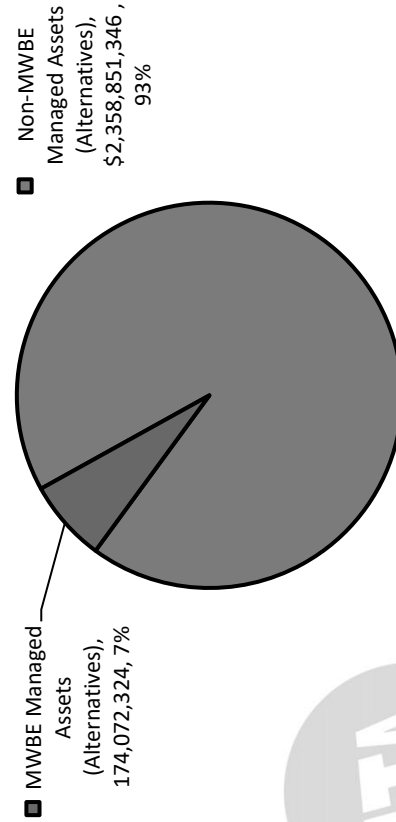
Combined Plans - Total Assets



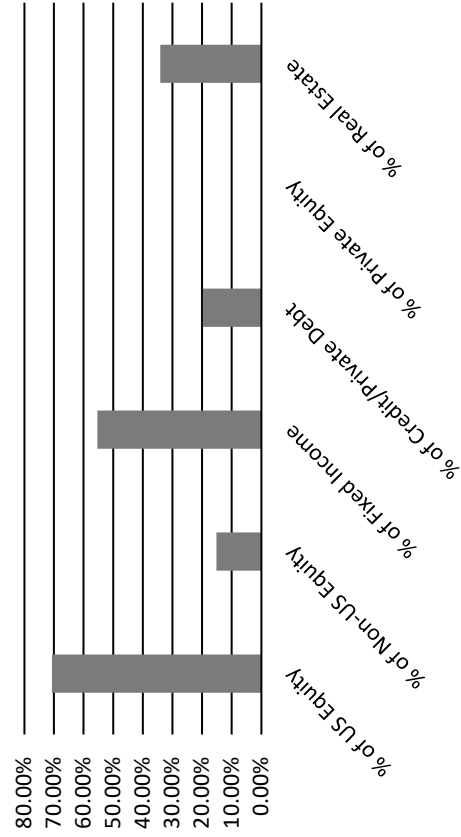
Combined Plans - Traditional Investments



Combined Plans- Alternative Investments



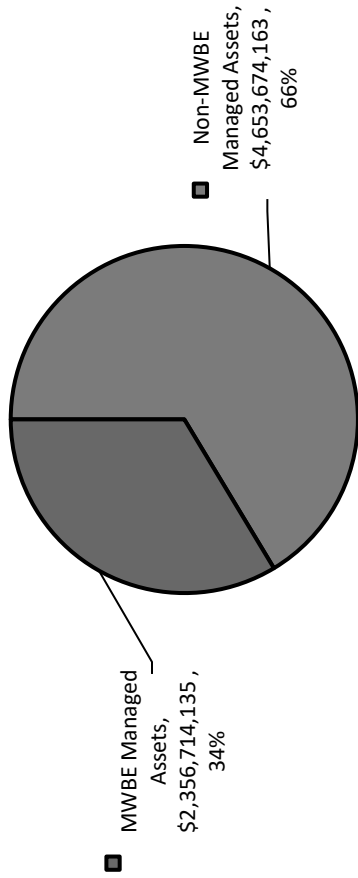
MWBE Managed Assets by Asset Class



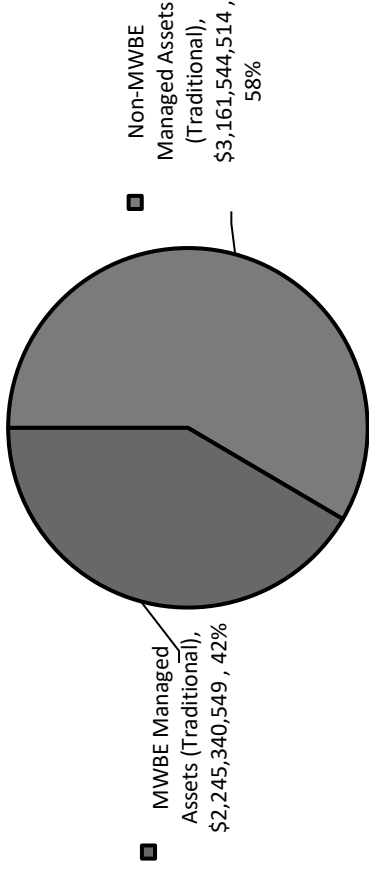
# MTA Sponsored Plans – MWBE Participation

As January 2024

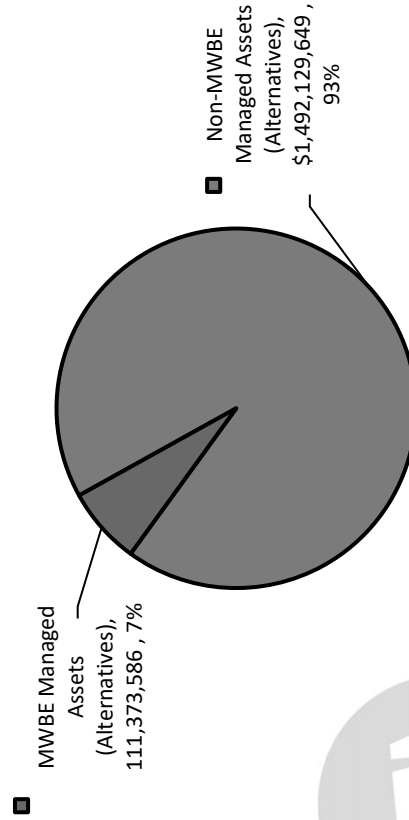
MTA Defined Benefit - Total Assets



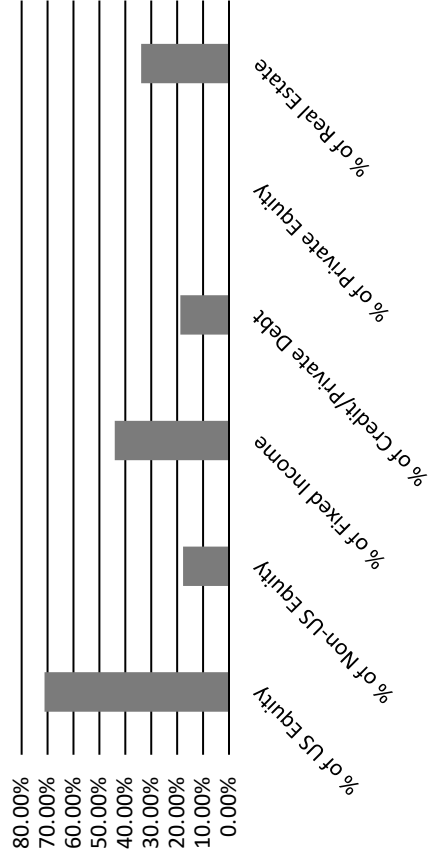
MTA Defined Benefit - Traditional Investments



MTA Defined Benefit - Alternative Investments



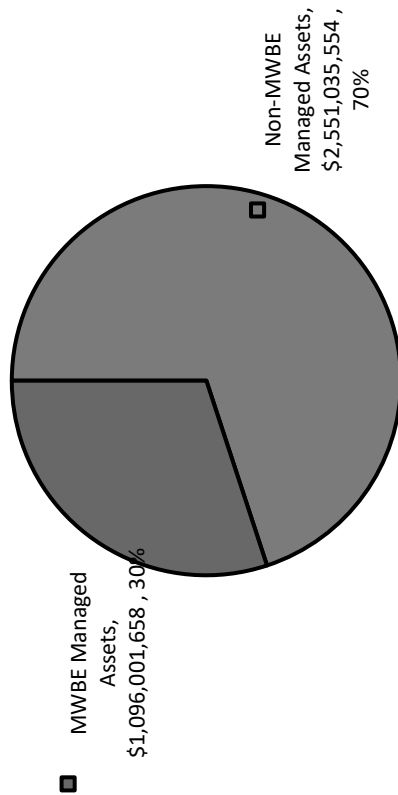
MWBE Managed Assets by Asset Class



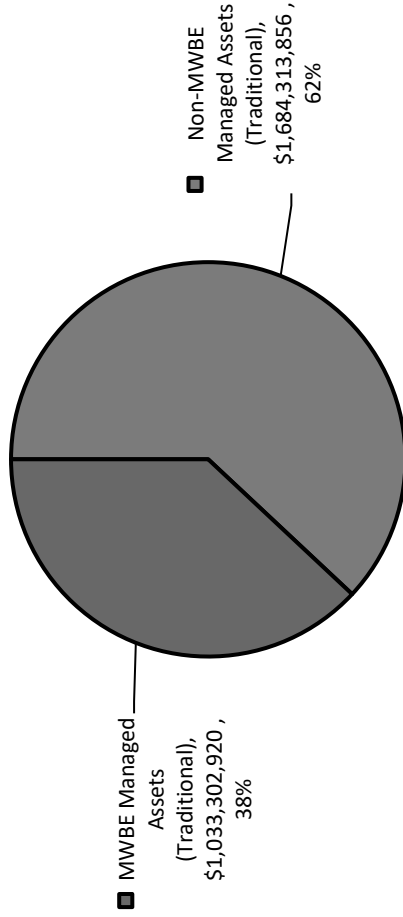
# MTA Sponsored Plans – MWBE Participation

As of January 2024

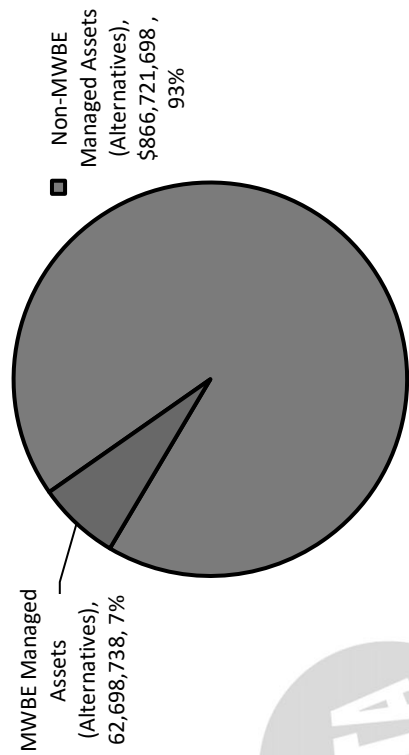
MaBSTOA - Total Assets



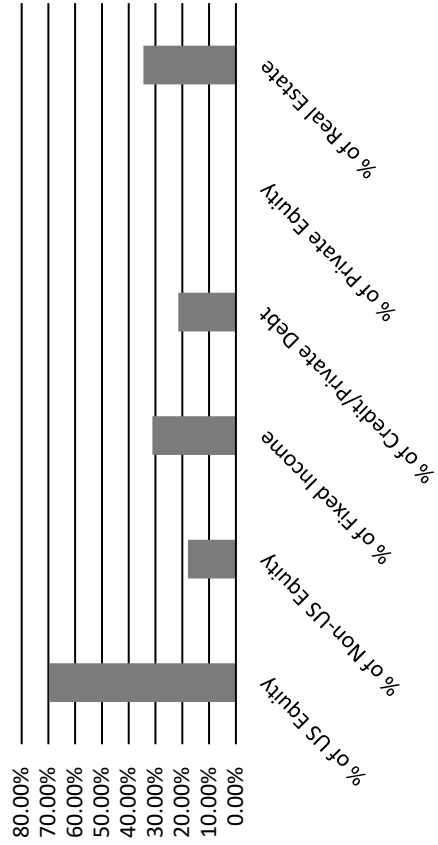
MaBSTOA - Traditional Investments



MaBSTOA - Alternative Investments



MWBE Managed Assets by Asset Class



Metropolitan Transportation Authority  
Department of Diversity and Civil Rights

**Workforce**  
as of December 31, 2023



# 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 Representation Overview

Reporting from a One-MTA organizational perspective, this quarterly report provides a basic overview of the current workforce representation within each agency and of the hiring and separations activities during the reporting period ending **December 31, 2023**.

The hiring & separation activity is described as only those employees coming into or out of the organization for each agency, by race and/or gender. Data on internal transfers between agencies as well as temporary workers (e.g. rehired retirees, contingents) are not included.

Also shown on the slides are the internal and external complaints filed with the organization, by allegation type (a.k.a. bases).

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



# MTA-Wide Workforce as of December 31, 2023

JOB CATEGORY	TOTAL		Minorities		WHITES		BLACKS		HISPANICS		ASIANS		AI/AN*		NHOP I**		2+ RACES		VETERANS		PWD***	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>Officials &amp; Administrators</b>	<b>5,381</b>		3049	9%	2,332	7%	1,243	23%	653	12%	789	15%	12	0%	5	0%	347	6%	247	5%	197	4%
F	1,552	29%	1099	20%	453	8%	552	10%	221	4%	231	4%	4	0%	1	0%	90	2%	19	0%	70	1%
M	3,829	71%	1950	36%	1,879	35%	691	13%	432	8%	558	10%	8	0%	4	0%	257	5%	228	4%	127	2%
<b>Professionals</b>	<b>4,334</b>		3017	70%	1,317	30%	1,124	26%	558	13%	1,029	24%	9	0%	3	0%	294	7%	99	2%	150	3%
F	1,596	37%	1290	30%	306	7%	611	14%	226	5%	329	8%	4	0%	3	0%	117	3%	16	0%	67	2%
M	2,738	63%	1727	40%	1,011	23%	513	12%	332	8%	700	16%	5	0%	0	0%	177	4%	83	2%	83	2%
<b>Technicians</b>	<b>631</b>		342	8%	289	46%	139	22%	91	14%	79	13%	4	1%	1	0%	28	4%	30	5%	15	2%
F	82	13%	65	10%	17	3%	38	6%	17	3%	5	1%	0	0%	0	0%	5	1%	5	1%	2	0%
M	549	87%	277	44%	272	43%	101	16%	74	12%	74	12%	4	1%	1	0%	23	4%	25	4%	13	2%
<b>Protective Services</b>	<b>2,196</b>		1448	66%	748	34%	654	30%	573	26%	134	6%	2	0%	2	0%	83	4%	134	6%	18	1%
F	392	18%	306	14%	86	4%	178	8%	101	5%	5	0%	1	0%	0	0%	21	1%	13	1%	8	0%
M	1,804	82%	1142	52%	662	30%	476	22%	472	21%	129	6%	1	0%	2	0%	62	3%	121	6%	10	0%
<b>Paraprofessionals</b>	<b>109</b>		80	73%	29	27%	46	42%	20	18%	8	7%	1	1%	0	0%	5	5%	2	2%	1	1%
F	68	62%	57	52%	11	10%	31	28%	15	14%	6	6%	1	1%	0	0%	4	4%	0	0%	1	1%
M	41	38%	23	21%	18	17%	15	14%	5	5%	2	2%	0	0%	0	0%	1	1%	2	2%	0	0%
<b>Administrative Support</b>	<b>2,002</b>		1605	80%	397	20%	880	44%	288	14%	311	16%	12	1%	2	0%	112	6%	32	2%	44	2%
F	1,048	52%	902	45%	146	7%	571	29%	156	8%	102	5%	5	0%	2	0%	66	3%	11	1%	22	1%
M	954	48%	703	35%	251	13%	309	15%	132	7%	209	10%	7	0%	0	0%	46	2%	21	1%	22	1%
<b>Skilled Craft</b>	<b>22,980</b>		14253	62%	8,727	38%	6,703	29%	3,129	14%	3,167	14%	106	0%	16	0%	1,132	5%	882	4%	123	1%
F	645	3%	566	2%	79	0%	404	2%	92	0%	38	0%	0	0%	1	0%	31	0%	11	0%	10	0%
M	22,335	97%	13687	60%	8,648	38%	6,299	27%	3,037	13%	3,129	14%	106	0%	15	0%	1,101	5%	871	4%	113	0%
<b>Service Maintenance</b>	<b>35,837</b>		29852	83%	5,985	17%	18,331	51%	7,600	21%	2,542	7%	92	0%	7	0%	1,280	4%	754	2%	157	0%
F	8,732	24%	8073	23%	659	2%	5,933	17%	1,588	4%	221	1%	22	0%	3	0%	306	1%	86	0%	45	0%
M	27,105	76%	21779	61%	5,326	15%	12,398	35%	6,012	17%	2,321	6%	70	0%	4	0%	974	3%	668	2%	112	0%
<b>Total</b>	<b>73,470</b>		<b>53,646</b>	<b>73%</b>	<b>19,824</b>	<b>27%</b>	<b>29,120</b>	<b>40%</b>	<b>12,912</b>	<b>18%</b>	<b>8,059</b>	<b>11%</b>	<b>238</b>	<b>0%</b>	<b>36</b>	<b>0%</b>	<b>3,281</b>	<b>4%</b>	<b>2,180</b>	<b>3%</b>	<b>705</b>	<b>1%</b>

\*\*\*Persons With Disabilities

\*\*Native Hawaiian Other Pacific Islander

\* American Indian/Alaskan Native



# MTA Workforce, by Agency as of December 31, 2023

MTA Agency	TOTAL		Minorities		WHITES		BLACKS		HISPANICS		ASIANS		AI/AN*		NHOPI**		2+ RACES		VETERANS		PWD***	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
B&T	901		538	60%	363	40%	230	26%	190	21%	54	6%	5	1%	0	0%	59	7%	16	2%	15	2%
F	179	20%	150	17%	29	3%	87	10%	39	4%	15	2%	1	0%	0	0%	8	1%	3	0%	8	1%
M	722	80%	388	43%	334	37%	143	16%	151	17%	39	4%	4	0%	0	0%	51	6%	13	1%	7	1%
BUS	3,781		3,241	86%	540	14%	1,770	47%	890	24%	347	9%	17	0%	8	0%	209	6%	75	2%	28	1%
F	499	13%	467	12%	32	1%	302	8%	128	3%	14	0%	1	0%	0	0%	22	1%	3	0%	6	0%
M	3,282	87%	2,774	73%	508	13%	1,468	39%	762	20%	333	9%	16	0%	8	0%	187	5%	72	2%	22	1%
C&D	1,791		1,167	65%	624	35%	343	19%	191	11%	525	29%	3	0%	1	0%	104	6%	24	1%	62	3%
F	567	32%	411	23%	156	9%	143	8%	83	5%	146	8%	2	0%	1	0%	36	2%	3	0%	23	1%
M	1,224	68%	756	42%	468	26%	200	11%	108	6%	379	21%	1	0%	0	0%	68	4%	21	1%	39	2%
HQ	5,271		3,324	63%	1,947	37%	1,269	24%	768	15%	938	18%	15	0%	5	0%	329	6%	170	3%	161	3%
F	1,818	34%	1,359	26%	459	9%	663	13%	283	5%	274	5%	5	0%	3	0%	131	2%	25	0%	68	1%
M	3,453	66%	1,965	37%	1,488	28%	606	11%	485	9%	664	13%	10	0%	2	0%	198	4%	145	3%	93	2%
LIRR	7,456		3,039	41%	4,417	59%	1,365	18%	950	13%	340	5%	24	0%	3	0%	357	5%	451	6%	71	1%
F	983	13%	579	8%	404	5%	347	5%	131	2%	51	1%	1	0%	0	0%	49	1%	21	0%	13	0%
M	6,473	87%	2,460	33%	4,013	54%	1,018	14%	819	11%	289	4%	23	0%	3	0%	308	4%	430	6%	58	1%
MNR	6,245		2,636	42%	3,609	58%	1,270	20%	783	13%	187	3%	23	0%	3	0%	370	6%	413	7%	98	2%
F	716	11%	483	8%	233	4%	280	4%	107	2%	30	0%	5	0%	2	0%	59	1%	22	0%	18	0%
M	5,529	89%	2,153	34%	3,376	54%	990	16%	676	11%	157	3%	18	0%	1	0%	311	5%	391	6%	80	1%
NYCT	48,025		39,701	83%	8,324	17%	22,873	48%	9,140	19%	5,668	12%	151	0%	16	0%	1,853	4%	1,031	2%	270	1%
F	9,353	19%	8,909	19%	444	1%	6,496	14%	1,645	3%	407	1%	22	0%	4	0%	335	1%	84	0%	89	0%
M	38,672	81%	30,792	64%	7,880	16%	16,377	34%	7,495	16%	5,261	11%	129	0%	12	0%	1,518	3%	947	2%	181	0%
<b>Total</b>	<b>73,470</b>		<b>53,646</b>	<b>73%</b>	<b>19,824</b>	<b>27%</b>	<b>29,120</b>	<b>40%</b>	<b>12,912</b>	<b>18%</b>	<b>8,059</b>	<b>11%</b>	<b>238</b>	<b>0%</b>	<b>36</b>	<b>0%</b>	<b>3,281</b>	<b>4%</b>	<b>2,180</b>	<b>3%</b>	<b>705</b>	<b>1%</b>

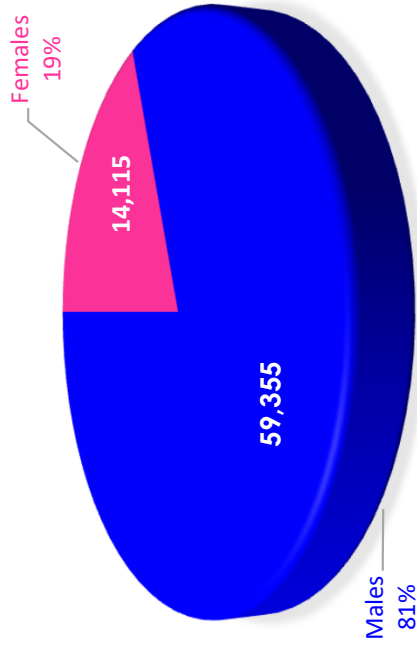
\*American Indian/Alaskan Native

\*\*Native Hawaiian Other Pacific Islander

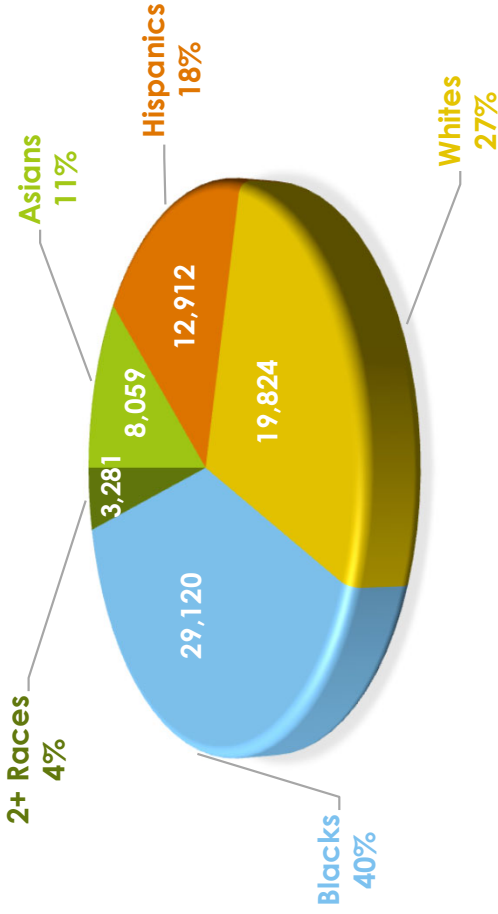


# MTA-Wide Workforce as of December 31, 2023

Workforce By Sex



WORKFORCE BY RACE/ETHNICITY



MTA employed **73,470** employees, **19%** of the workforce were **females**, **73% minorities**, **3% veterans** and **1%** self identified as **person(s) with a disability**.

- ❑ The percentage of **females** employed in the workforce has **increased by 1 percentage point** when compared to Fourth Quarter 2022.
- ❑ The percentage of **minorities** in the workforce has **increased by 1 percentage point** when compared to Fourth Quarter 2022.



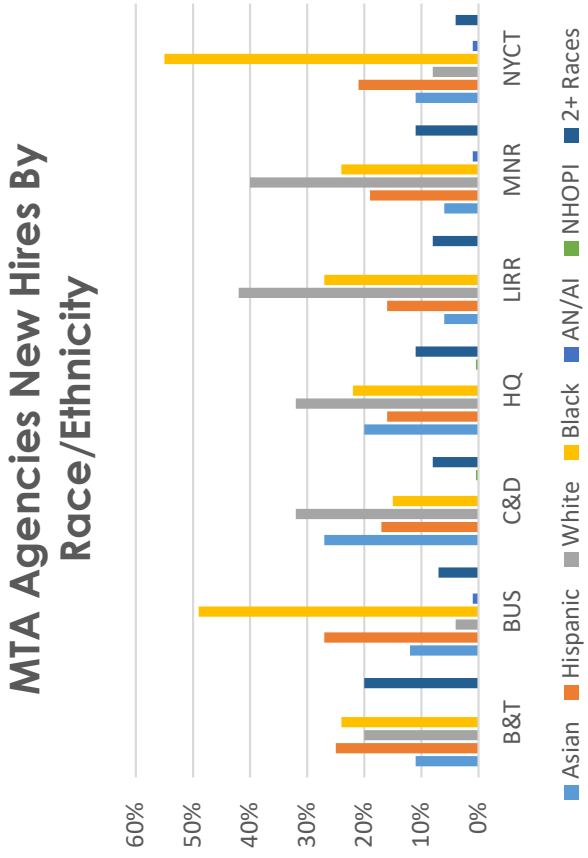
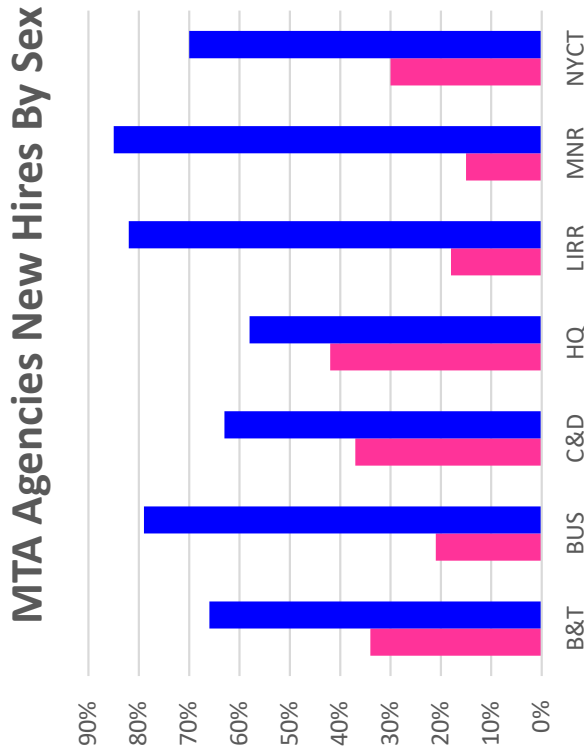
Metropolitan Transportation Authority  
Department of Diversity and Civil Rights

# **MTA-Wide New Hires and Separations**

January 1, 2023 – December 31, 2023



# New Hires By Agency January 1, 2023 to December 31, 2023



## Agency New Hires Females Minorities

B&T	71	34%	80%
BUS	334	21%	96%
C&D	253	37%	68%
HQ	608	42%	68%
LIRR	576	18%	58%
MNR	534	15%	60%
NYCT	4,192	30%	92%

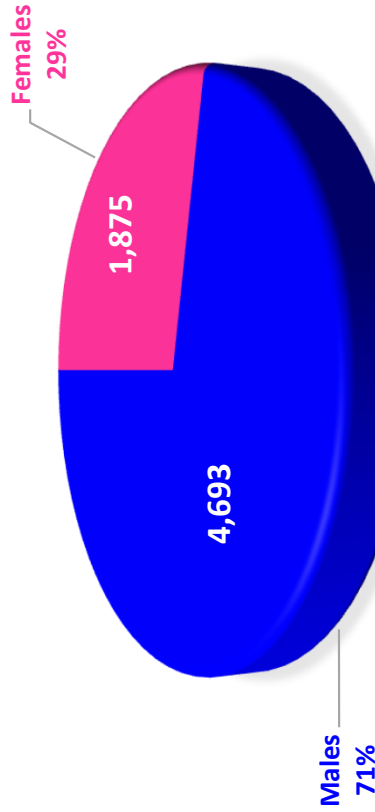


\*The above agency-specific data does not accurately reflect employee movements resulting from the transformation.

# MTA-Wide New Hires and Separations by Sex January 1, 2023 to December 31, 2023

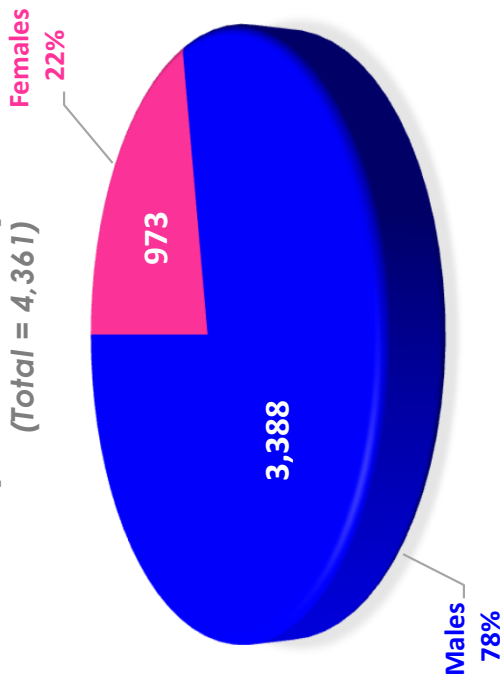
## New Hires By Sex

(Total = 6,568)



## Separations By Sex

(Total = 4,361)



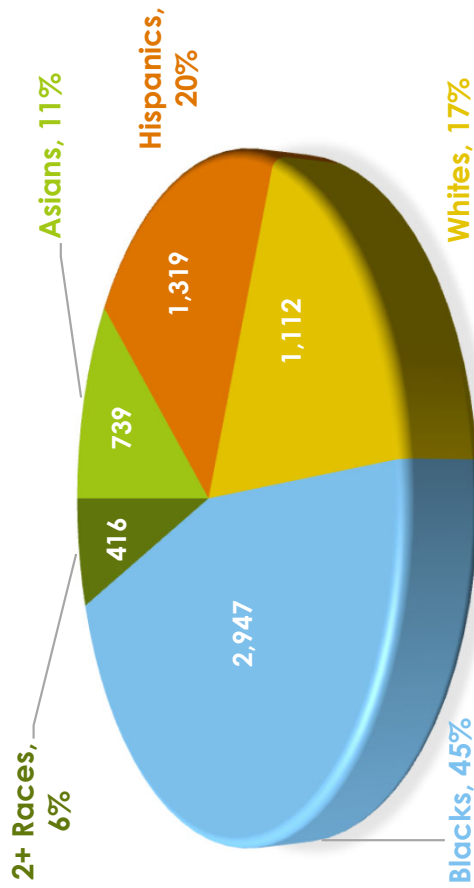
During the fourth quarter 2023, MTA hired **6,568** employees, including **1,875** females and **4,693** males. During this same reporting period, **4,361** employees **separated** from MTA, including **973** females and **3,388** males.

- The result was a **net increase of 902 females** and **1,305 males** employees.
- The number of employees who self-identified as **veterans decreased by 41**. There were **115** veterans **hired** and **156** veterans **separated** during 2023.

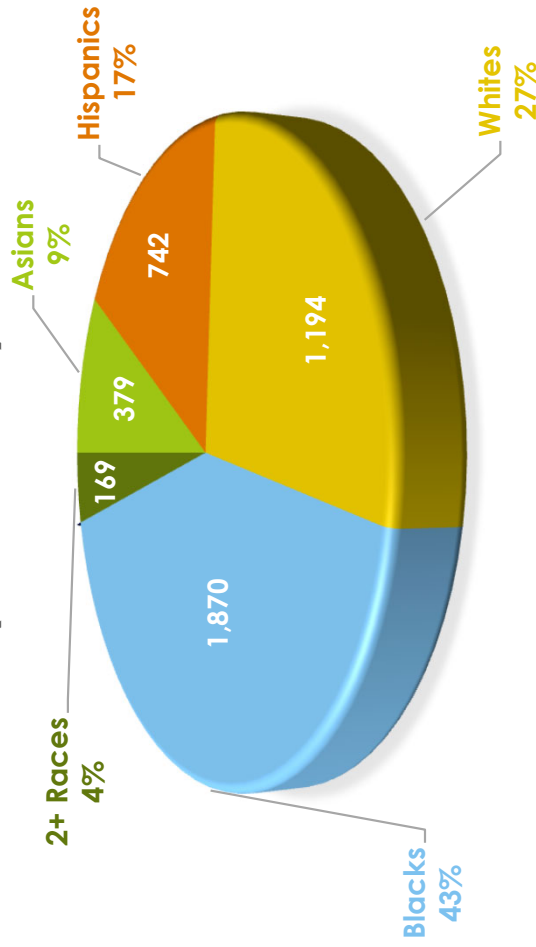


# MTA-Wide New Hires and Separations by Race/Ethnicity January 1, 2023 to December 31, 2023

**NEW HIRES BY RACE/ETHNICITY  
(TOTAL = 6,568)**



**SEPARATIONS BY RACE/ETHNICITY  
(TOTAL = 4,361)**



During 2023, **MTA hired 6,568** employees, **5,456** minorities and **1,112** non-minorities. During this same reporting period, **4,361** employees **separated** from MTA, **3,167** minorities and **1,194** non-minorities.

- The result was a net **increase** of **2,289** minority employees.
- The number of employees who self-identified as **a person(s) with a disability decreased** by **8**. There were **47** persons with a disability **hired** and **55 persons with a disability separated** during 2023.





Metropolitan Transportation Authority  
Department of Diversity and Civil Rights

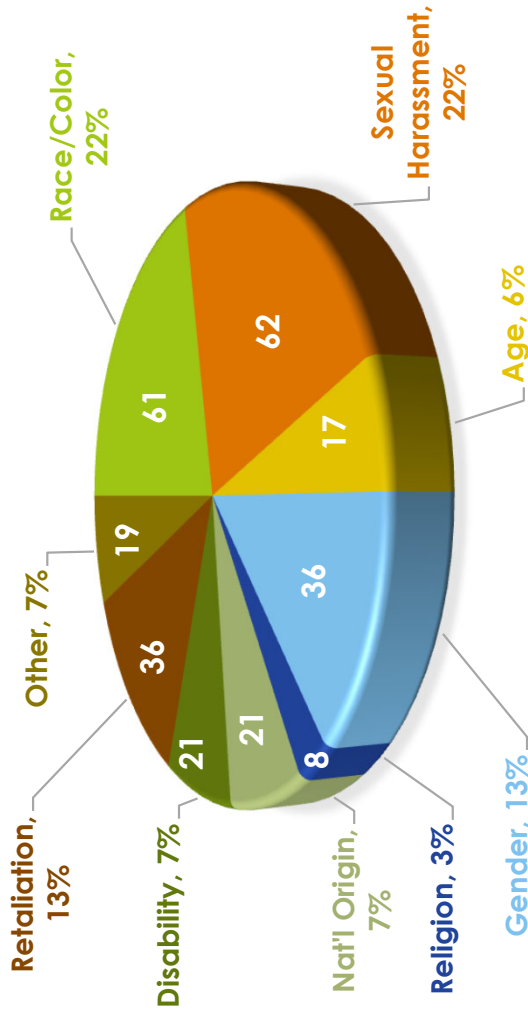
**MTA-Wide Complaints and Lawsuits**

January 1, 2023 – December 31, 2023

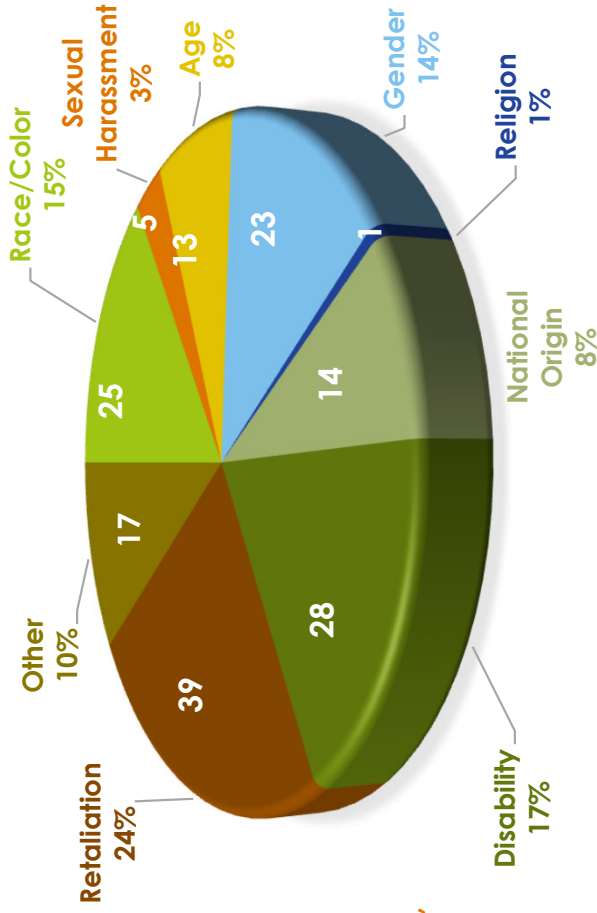


# MTA-Wide EEO Discrimination Complaints by Bases January 1, 2023 to December 31, 2023

**INTERNAL EEO COMPLAINTS**



**EXTERNAL EEO COMPLAINTS**



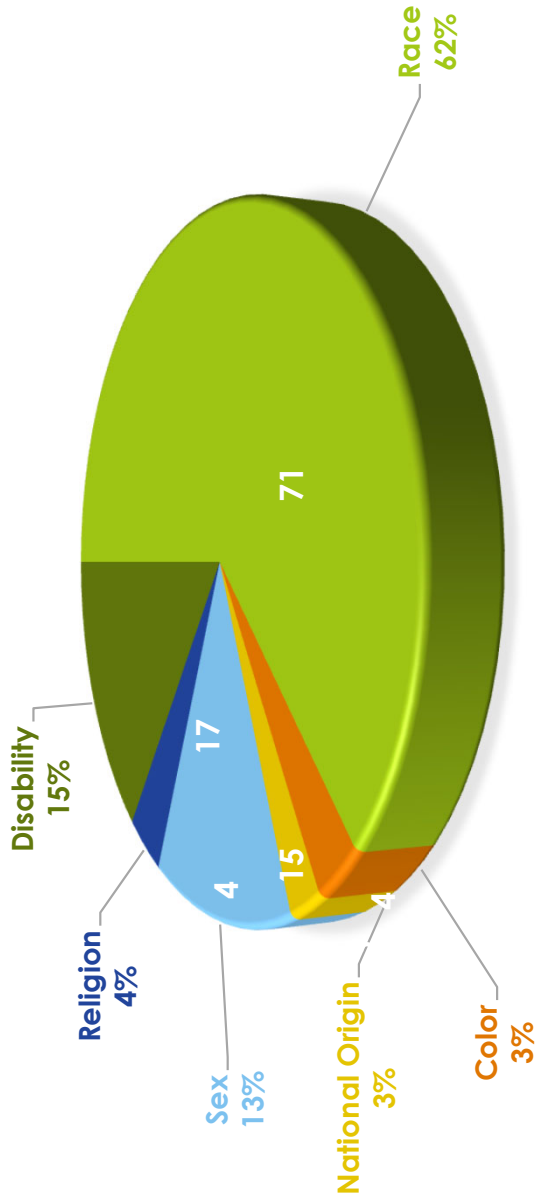
During 2023, MTA received **249** EEO complaints\*, citing **446** separate bases, and **21** lawsuits.

- 166 filed internal complaints.
- 104 filed external complaints including lawsuits.
- The most frequently cited bases **internally** was **Race/Color** and **Sexual Harassment**.

Note: \*Formal complaints can be filed alleging multiple bases. Additionally, numerous incoming matters were also handled during this time



# MTA-Wide Title VI and Related Discrimination Complaints by Bases January 1, 2023 to December 31, 2023



During 2023, MTA received **103** Title VI and Related complaints, citing **114** separate bases and **1** Title VI lawsuit.

- **82** Title VI complaints\* were filed.
- **21** Related discrimination complaints\*\* were filed.
- The **most frequently cited** bases was **Race**.

Note: \*Only Formal complaints filed, which can allege multiple bases, are included.  
 Note: \*\*Related Discrimination complaints are filed by customers based on age, disability, religion and sex.

