



2020 - 2021 Internal Control Certification

**Submitted as part of the MTA 2021 Annual Report
Pursuant to New York State Public Authorities Law Section 2800(1)(a)(2)(iii)**



INTERNAL CONTROL COMPLIANCE CERTIFICATION 2020-21

METROPOLITAN TRANSPORTATION AUTHORITY

2 BROADWAY, NEW YORK, NY 10004

We hereby certify to the best of our knowledge and belief that as of December 31, 2021 the Metropolitan Transportation Authority's Enterprise Risk Management and Internal Controls Structure and Procedures are effective.

In compliance with internal control standards the MTA has: (1) Established and maintained guidelines for a system of internal controls; (2) Established and maintained a system of internal controls and a program of internal control review; (3) Made available to each officer and employee of the MTA a clear and concise statement of the generally applicable management policies and standards; (4) Designate an Internal Control Officer, who reports to the authority head, to implement and review the internal control responsibilities; (5) Implement education and training efforts to ensure that officers and employees have achieved adequate awareness and understanding of internal control standards and, as appropriate, evaluation techniques; and (6) Periodically evaluate the need to establish, maintain or modify the internal audit function

Therefore, the MTA is **Fully Compliant** with the Enterprise Risk Management/Internal Control Guidelines issued by the MTA Board of Directors, Standards for Internal Control in New York State published by the Office of the State Comptroller, Guidelines issued by the Independent Authority Budget Office, and the Guidelines of the Commission of Sponsoring Organizations of the Treadway Commission.

A handwritten signature in black ink, appearing to read "Lamond W. Kearse", written over a horizontal line.

LAMOND W. KEARSE
Chief Ethics, Risk & Compliance Officer

3.28.22

Date

A handwritten signature in black ink, appearing to read "Janno Lieber", written over a horizontal line.

JANNO LIEBER
Chair and Chief Executive Officer

3.28.22

Date