

FILE NO. 150364

Petitions and Communications received from April 13, 2015, through April 20, 2015, for reference by the President to Committee considering related matters, or to be ordered filed by the Clerk on April 28, 2015.

**Personal information that is provided in communications to the Board of Supervisors is subject to disclosure under the California Public Records Act and the San Francisco Sunshine Ordinance. Personal information will not be redacted.**

From City Administrator Contract Monitoring Division, submitting FY2014-2015 Local Business Enterprise contracting report. Copy: Each Supervisor. (1)

From Fish and Game, submitting notice of proposed emergency action to protect endangered winter-run Chinook salmon. Copy: Each Supervisor. (2)

From various organizations, regarding proposed ordinance prohibiting the use of wild or exotic animals in entertainment. 3 letters. File No. 150191. Copy: Each Supervisor. (3)

From concerned citizens, regarding proposed ordinance prohibiting the use of wild or exotic animals in entertainment. 3 letters. File No. 150191. Copy: Each Supervisor. (4)

From the Office of Civic Engagement and Immigrant Affairs, submitting March 2015 Language Access Ordinance Annual Compliance Summary Report. Copy: Each Supervisor. (5)

From Treasurer and Tax Collector, submitting pooled investment report for March 2015. Copy: Each Supervisor. (6)

From David Noyola, regarding short-term rental regulation. Copy: Each Supervisor. (7)

From Controller, submitting City Services Report: How Long Does It Take to Hire in the City and County of San Francisco. Copy: Each Supervisor. (8)

From California Highway Patrol, regarding activities accomplished in San Francisco area from January through April 2015. Copy: Each Supervisor. (9)

From Controller, regarding memorandum on controls over claims and judgments settlement payments at the Office of the City Attorney. Copy: Each Supervisor. (10)

From Planning Department, regarding notice of hearing on appeal concerning environmental review of disposal of solid waste in Solano County. Copy: Each Supervisor. (11)

From Hristo Gyoshev, regarding proposed ordinance to change density/zoning on Ocean Avenue. File No. 150271. Copy: Each Supervisor. (12)

From Hannah Crutcher, regarding Airbnb and Uber. Copy: Each Supervisor. (13)

From concerned citizens, regarding ban on training of elephants. 2 letters. File No. 150378. Copy: Each Supervisor. (14)

From Gayle McLaughlin, regarding proposed resolution to oppose fast tracking of the Trans-Pacific Partnership. File No. 150375. Copy: Each Supervisor. (15)

From concerned citizens, regarding noise regulations relating to residential uses near places of entertainment. 2 letters. File No. 141298. Copy: Each Supervisor. (16)

From Controller, regarding Children's Baseline - Disconnected Transitional Aged Youth. Copy: Each Supervisor. (17)

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**From:** Board of Supervisors, (BOS)  
**To:** BOS-Supervisors; BOS-Legislative Aides  
**Subject:** FW: Local Business Enterprise (LBE) Contracting Report for FY 14/15 Q1 and Q2; Chapter 14B.15(A) of the SF Administrative Code  
**Attachments:** 2014-2015 LBE Contracting Rpt 1st 2nd Qtr.pdf; 2014-2015 LBE Contracting Rpt 1st 2nd Qtr\_Attachments.docx

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**From:** Visconti, Michael (ADM)  
**Sent:** Monday, April 13, 2015 2:46 PM  
**To:** Board of Supervisors, (BOS)  
**Cc:** Fretty, Rochelle (ADM); Truax, Nichole (PUC); Ng, Veronica (ADM)  
**Subject:** Local Business Enterprise (LBE) Contracting Report for FY 14/15 Q1 and Q2; Chapter 14B.15(A) of the SF Administrative Code

To the Clerk of the San Francisco Board of Supervisors,

Pursuant to Chapter 14B.15(A) of the San Francisco Administrative Code, attached please find the Local Business Enterprise ("LBE") Contracting Report for the first and second quarters (Q1 and Q2, respectively) of the 2014/15 Fiscal Year. Also attached, please find the signed certification and transmittal letter from the Director of the Contract Monitoring Division, Veronica Ng.

Thirteen (13) copies of the letter and all attachments will be sent to City Hall (Room 244) via CCSF interoffice mail, per Board procedures.

Should you have any questions, require any further information, or if you have not received the interoffice mail package within 48 hours, please do not hesitate to contact me at this email address.

Thank you,

Michael Visconti | CCO  
Contract Monitoring Division



**City and County of San Francisco**

direct phone: 650.821.7765 (SFO Extension 17765) • main: 415-581-2310 • fax: 650.821.7820

email: [michael.visconti@sfgov.org](mailto:michael.visconti@sfgov.org) • [Contract Monitoring Division](#)

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Thank you.



# OFFICE OF THE CITY ADMINISTRATOR CONTRACT MONITORING DIVISION



Edwin M. Lee, Mayor  
Naomi M. Kelly, City Administrator

Veronica Ng, Director

April 13, 2015

San Francisco Board of Supervisors  
City Hall  
1 Dr. Carlton B. Goodlett Place, Room 244  
San Francisco, CA 94102-4689

Dear San Francisco Board of Supervisors:

Pursuant to Chapter 14B.15(A) of the San Francisco Administrative Code, attached please find the Local Business Enterprise ("LBE") Contracting Report for the first and second quarter (Q1 and Q2, respectively) of the 2014/15 Fiscal Year. The LBE Contracting Report documents the number of firms that the Contract Monitoring Division ("CMD") has certified and the LBE contract award statistics on 14B covered contracts for the Airport, Department of Public Works, Port, Public Utilities Commission and the Recreation and Park Department.

Thank you for your continued support of the CMD and the LBE program. Should you have any questions and/or concerns please don't hesitate to contact me at 415-581-2310.

Sincerely,

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

Veronica Ng  
Director, CMD



<b>LBE Certification</b>				
FY 2014/15 Q1 & Q2				
LBE Certified Small & Micro Firms*				
	FY 2014/15 Q1	%	FY 2014/15 Q2	%
MBE	462	38.4%	464	37.7%
OBE	445	37.0%	470	38.2%
WBE	296	24.6%	297	24.1%
Total	1203		1231	
PUC-LBE Certified Small & Micro Firms				
	FY 2014/15 Q1	%	FY 2014/15 Q2	%
MBE	43	34.7%	36	30.0%
OBE	74	59.7%	77	64.2%
WBE	7	5.6%	7	5.8%
Total	124		120	
Small & Micro MBE Firms by Ethnicity				
	FY 2014/15 Q1	%	FY 2014/15 Q2**	%
African-American	117	23.2%	128	24.2%
Arab-American	18	3.6%	19	3.6%
Asian-American	252	49.9%	257	48.5%
Iranian-American	15	3.0%	20	3.8%
Latino-American	101	20.0%	104	19.6%
Native-American	2	0.4%	2	0.4%
Total	505		530	
LBE Firms by Size				
	FY 2014/15 Q1	%	FY 2014/15 Q2	%
Micro LBE	1172	84.9%	1180	83.7%
Small LBE	155	11.2%	171	12.1%
SBA LBE	54	3.9%	58	4.1%
Total	1381		1409	
*primary designation (as selected by each individual LBE firm)				
**includes certified WBE-designated LBE firms with supplemental MBE designation				

<b>Airport</b>		
<b>Contract Award and Payment Summary</b>		
FY 14/15 Q1: July 1, 2014 -September 30, 2014		
<b>FY 14/15 Q1 Awarded Contracts</b>		
<b>Total Number of Contracts</b>	<b>8</b>	
Professional Services	7	87.5%
Construction	1	12.5%
LBE Primes*	3	38%
Non-LBE Primes*	6	75%
MBE Primes*	2	25%
OBE Prime	0	0%
WBE Prime	1	13%
SBA LBE Prime	0	0%
<b>FY 14/15 Q1 LBE Awards</b>		
<b>Amount Awarded</b>	<b>\$ 11,719,153</b>	
Awarded to Non-LBE Primes	\$ 4,421,412	38%
Awarded to Non-LBE Subs	\$ 2,046,237	17%
Awarded to LBEs Primes	\$ 1,853,568	16%
Awarded to LBE Subs	\$ 3,397,936	29%
Awarded to MBE Primes	\$ 1,109,568	9%
Awarded to MBE Subs	\$ 2,138,824	18%
Awarded to OBE Primes	\$ -	0%
Awarded to OBE Subs	\$ 616,962	5%
Awarded to WBE Primes	\$ 744,000	6%
Awarded to WBE Subs	\$ 642,149	5%
Awarded to SBA Prime	\$ -	0%
Awarded to SBA Sub	\$ -	0%
<b>Total Payments on All Open 14B Contracts Advertized After July 1, 2013**</b>		
<b>Total Paid</b>	<b>\$ 7,809,126</b>	
Paid to Non-LBEs Primes	\$ 473,538	6.06%
Paid to Non-LBE Subs	\$ 556,477	7.13%
Paid to LBEs Primes	\$ 7,335,589	93.94%
Paid to LBE Subs	\$ 221,412	2.84%
Paid to MBE Primes	\$ -	0.00%
Paid to MBE Subs	\$ 139,118	1.78%
Paid to OBE Primes	\$ 3,844,227	49.23%
Paid to OBE Subs	\$ 21,598	0.28%
Paid to WBE Primes	\$ 3,491,361	44.71%
Paid to WBE Subs	\$ 60,696	0.78%
<b>Micro Set Aside Contracts</b>		
<b>Total Eligible Contracts</b>	<b>0</b>	
<b>Total Awarded Micro Set Asides</b>	<b>0</b>	
*Includes one (1) Joint Venture partnership		
**Based on information from Elations/LBEUTS dated 1/05/15		

**Airport****Contract Award and Payment Summary**

FY 14/15 Q2: October 1, 2014 - December 31, 2014

FY 14/15 Q2 Awarded Contracts		
Total Number of Contracts	10	
Professional Services	6	60%
Construction	4	40%
LBE Primes*	8	80%
Non-LBE Primes*	5	50%
MBE Primes*	2	20%
OBE Prime	1	10%
WBE Prime*	5	50%
SBA LBE Prime	0	0%

FY 14/15 Q2 LBE Awards		
Amount Awarded	\$ 18,319,225	
Awarded to Non-LBE Primes*	\$ 7,804,515	43%
Awarded to Non-LBE Subs	\$ 2,591,862	14%
Awarded to LBEs Primes*	\$ 3,488,286	19%
Awarded to LBE Subs	\$ 4,422,895	24%
Awarded to MBE Primes*	\$ 1,502,271	8%
Awarded to MBE Subs	\$ 2,019,174	11%
Awarded to OBE Primes	\$ 691,944	4%
Awarded to OBE Subs	\$ 976,096	5%
Awarded to WBE Primes*	\$ 1,294,070	7%
Awarded to WBE Subs	\$ 1,427,625	8%
Awarded to SBA Prime	\$ -	0%
Awarded to SBA Sub	\$ -	0%

Total Payments on All Open 14B Contracts Advertized After July 1, 2013**		
Total Paid	\$ 13,728,248	
Paid to Non-LBEs Primes	\$ 2,365,855	17%
Paid to Non-LBE Subs	\$ 683,202	5%
Paid to LBEs Primes	\$ 11,503,275	84%
Paid to LBE Subs	\$ 483,770	4%
Paid to MBE Primes	\$ 23,548	0%
Paid to MBE Subs	\$ 159,939	1%
Paid to OBE Primes	\$ 5,466,996	40%
Paid to OBE Subs	\$ 29,748	0%
Paid to WBE Primes	\$ 5,226,046	38%
Paid to WBE Subs	\$ 263,921	2%

Micro Set Aside Contracts	
Total Eligible Contracts	2
Total Awarded Micro Set Asides	1

\*Includes three (3) Joint Venture partnerships

\*\*Based on information from Elations/LBEUTS dated 1/05/15

Department	Contract Number	Project Name	Prime	Prime LBE Status	LBE Goal Set by CMD	Sub Goal To Date	Amount	Total Payments to LBEs	Total Contract Payments	Award Notice	Contract Compliance Officer	Industry	Quarter
Airport	8594A	Boarding Area "A" 400 Hertz System Infrastructure Improvements	Schembri Construction	LBE-OBE	18%		\$ 4,774,943	\$ -	\$ 5,215,655	8/16/13	Kelly Dwyer	Construction	FY 13-14 Q1
Airport	8903	Overhead sign and roadside sign, placement, replacement, repair	Statewide Traffic Safety and Signs	Non-LBE	20%		\$ 222,600	\$ -	\$ -	11/5/2013	Kelly Dwyer	Construction	FY 13-14 Q2
Airport	8984	Airport Pavement & Drainage Improvements	Azul Works	LBE-WBE	14%	0%	\$ 2,289,769	\$ -	\$ 600,021	11/12/2013	Kelly Dwyer	Construction	FY 13-14 Q2
Airport	9365	Boarding Area A Checkpoint Expansion	TRICO Construction	LBE-WBE	16%	15%	\$ 945,583	\$ 144,655	\$ 980,216	12/6/2013	Kelly Dwyer	Construction	FY 13-14 Q2
Airport	9262	Bay Area Airports Ground Access Survey	Corey, Canapary & Galanis	LBE-OBE	10%	0%	\$ 285,000	\$ -	\$ 42,750	12/3/2013	Kelly Dwyer	Professional Service	FY 13-14 Q2
Airport	8872.9	Consolidated Administration Campus Support Services	HKS Architects	Non-LBE	25%	18%	\$ 1,200,000	\$ 143,278	\$ 816,766	1/29/2014	Linda Chin	Professional Service	FY 13-14 Q3
Airport	9111A	Ground Transportation and Taxi Management System	Galleria DBA Trico Construction	LBE-WBE	17%	0%	\$ 7,719,577	\$ -	\$ 4,301,509	2/18/2014	Kelly Dwyer	Construction	FY 13-14 Q3
Airport	8519A	Boarding Area G A380 Improvements, Phase A	Golden Gate Constructors	Non-LBE	12%	0%	\$ 2,446,770	\$ -	\$ 1,318,442	3/4/2014	Kelly Dwyer	Construction	FY 13-14 Q3
Airport	10400.50	As Needed PM Support Services for Capital Improvement Plan Projects	Hill International	Non-LBE	24%		\$ 1,500,000	\$ -	\$ -	4/22/2014	Linda Chin	Construction	FY 13-14 Q4
Airport	10400.51	As Needed PM Support Services for Capital Improvement Plan Projects	CPM/Alta Engineering	JV-WBE	24%		\$ 1,500,000	\$ -	\$ -	4/22/2014	Linda Chin	Construction	FY 13-14 Q4
Airport	9319	Domestic Terminal Lower Level Crosswalk Lighting	CF Contracting Inc.	LBE-OBE	13%	0%	\$ 677,800	\$ -	\$ 208,591	4/22/2014	Linda Chin	Construction	FY 13-14 Q4
Airport	10003.41	PMSS for Temporary Boarding Area "B"	Hill International	Non-LBE	20%		\$ 4,850,000	\$ -	\$ -	5/6/2014	Linda Chin	Construction	FY 13-14 Q4
Airport	10009.41	PMSS for T1 Security Access Office	Cambridge CM	Non-LBE	19%	0%	\$ 739,575	\$ -	\$ 76,115	5/19/2014	Michael Visconti	Construction	FY 13-14 Q4
Airport	9159R	International Terminal Carpet Replacement	Golden State Carpet Service	Non-LBE	5%	100%	\$ 3,105,539	\$ 165,675	\$ 165,675	4/22/2014	Kelly Dwyer	Construction	FY 13-14 Q4
Airport	10005.41	PMSS for T1 Utility and Technology Improvements	AECOM/FEJA JV	JV-MBE	23%	0%	\$ 2,915,000	\$ -	\$ 154,533	6/17/2014	Linda Chin	Professional Service	FY 13-14 Q4
Airport	10050.41	PMSS for Fire House No. 3 and South Field Checkpoint Relocation	Parsons Brinckerhoff/AGS JV	JV-MBE	20%		\$ 1,250,000	\$ -	\$ -	6/17/2014	Linda Chin	Professional Service	FY 13-14 Q4
Airport	10051.41	Project Management Support Services for South Field Tenant Relocations	PMA Consultants LLC	Non-LBE	18%		\$ 779,673	\$ -	\$ 66,646	7/22/2014	Kelly Dwyer	Professional Services	FY 14-15 Q1
Airport	9398	As Needed Environmental Remediation Services	Asbestos Management Group of California Inc.	Non-LBE	13%		\$ 1,210,928	\$ -	\$ -	7/1/2014	Kelly Dwyer	Professional Services	FY 14-15 Q1
Airport	9399.50	As Needed Environmental Consulting Services Contract	Haley & Aldrich	Non-LBE	13%		\$ 500,000	\$ -	\$ -	7/1/2014	Kelly Dwyer	Professional Services	FY 14-15 Q1
Airport	9399.51	As Needed Environmental Consulting Services Contract	Ninyo & Moore	Non-LBE	13%		\$ 500,000	\$ -	\$ -	7/1/2014	Kelly Dwyer	Professional Services	FY 14-15 Q1
Airport	9399.52	As Needed Environmental Consulting Services Contract	SCA Environmental	LBE-MBE	13%		\$ 500,000	\$ -	\$ -	7/1/2014	Kelly Dwyer	Professional Services	FY 14-15 Q1
Airport	9005.B	As-Needed Architectural and Engineering Support Services	Hamilton + Aitken	LBE-WBE	27%		\$ 1,200,000	\$ -	\$ -	8/19/2014	Kelly Dwyer	Professional Services	FY 14-15 Q1
Airport	10005.41	Project management support services (PMSS) for Taxilanes H&M Relocation	HNTB Corporation	Non-LBE	20%		\$ 2,250,000	\$ -	\$ 8,889	9/23/2014	Linda Chin	Professional Services	FY 14-15 Q1
Airport	10003.43	Architecture and Engineering Design Services for Temporary Boarding Area B and Security Screening Checkpoint (SSCP)	Corgan + LDA Architects Joint Venture	JV-MBE	25%		\$ 4,778,552	\$ -	\$ -	9/23/2014	Kelly Dwyer	Professional Services	FY 14-15 Q1
Airport	10512.66	Design-Build Services for Lot D Improvements and PARCS Automation	TRICO Construction	LBE-WBE	20%		\$ 1,897,092	\$ -	\$ -	12/3/2014	Linda Chin	Construction	FY 14-15 Q2
Airport	10592.50	As-Needed Construction Management Support Services	The Allen Group, LLC/AE3 Partners, Inc, A J.V.	JV-MBE	20%		\$ 4,000,000	\$ -	\$ -	11/18/2014	Linda Chin	Professional Services	FY 14-15 Q2
Airport	10052.41	PMSS for the South Field Abatement, Demolition, & Hazmat Project	J + A Aviation	JV-WBE	13%		\$ 583,355	\$ -	\$ -	11/18/2014	Linda Chin	Construction	FY 14-15 Q2
Airport	10003.71	CM/GC Services for the Temporary B/A B & Security Screening Checkpoint Project	Turner Construction	Non-LBE	20%		\$ 4,718,483	\$ -	\$ -	12/2/2014	Kelly Dwyer	Construction	FY 14-15 Q2
Airport	10051.43	A & E Design Services for South Field Tenant Relocations Project	Joseph Chow & Associates, Inc.	LBE-WBE	25%		\$ 1,059,600	\$ -	\$ -	12/2/2014	Kelly Dwyer	Professional Services	FY 14-15 Q2
Airport	10631	Superbay Gas Line Repair and Oil Separator	Pilot Construction Management	LBE-WBE	MICRO		\$ 288,000	\$ -	\$ -	11/21/2014	Linda Chin	Construction	FY 14-15 Q2
Airport	10607	As-Needed modifications of Airport Paving Markings	KR Surfaces Industries, Inc.	Non-LBE	5%		\$ 362,695	\$ -	\$ -	12/10/2014	Kelly Dwyer	Professional Services	FY 14-15 Q2
Airport	10050.43	Architecture and Engineering Design Services for the Fire House No. 3 and South Field Checkpoint Relocation Project	Shah Kawasaki/YamaMar JV	JV-WBE	25%		\$ 1,786,240	\$ -	\$ -	12/16/2014	Kelly Dwyer	Professional Services	FY 14-15 Q2
Airport	8593	Boarding Area G "400 Hertz" System Infrastructure Improvements	Schembri Construction Co., Inc.	LBE-OBE	20%		\$ 3,191,944	\$ -	\$ -	12/16/2014	Linda Chin	Professional Services	FY 14-15 Q2
Airport	9350.9	Project Management Support Services for the Revenue Enhancement and Customer Hospitality (REACH) Improvements Project	ABA Global	LBE-MBE	20%		\$ 431,816	\$ -	\$ -	12/16/2014	Linda Chin	Professional Services	FY 14-15 Q2

<b>Department of Public Works</b>		
<b>Contract Award and Payment Summary</b>		
<b>FY 14-15 Q1</b>		
<b>FY 14-15 Q1 Awarded Contracts</b>		
Total Number of Contracts	15	
Professional Services	4	27%
Construction	11	73%
LBE Primes*	13	87%
Non-LBE Primes*	3	20%
MBE Primes*	7	47%
OBE Prime	3	20%
WBE Prime	1	7%
SBA LBE Prime	2	13%
<b>FY 14-15 Q1 Awards</b>		
Amount Awarded	\$ 30,121,904	
Awarded to Non-LBE Primes	\$ 1,987,000	7%
Awarded to Non-LBE Subs	\$ 2,837,564	9%
Awarded to LBEs Primes	\$ 16,108,608	53%
Awarded to LBE Subs	\$ 9,188,731	31%
Awarded to MBE Primes	\$ 8,490,526	28%
Awarded to MBE Subs	\$ 3,897,144	13%
Awarded to OBE Primes	\$ 3,886,687	13%
Awarded to OBE Subs	\$ 4,844,250	16%
Awarded to WBE Primes	\$ 390,000	1%
Awarded to WBE Subs	\$ 447,337	1%
Awarded to SBA Prime	\$ 3,341,395	11%
Awarded to SBA Sub	\$ -	0%
<b>July 1, 2013-September 26, 2014 Payments**</b>		
Total Paid	\$ 41,183,269	
Paid to Non-LBEs Primes	\$ 10,565,204	26%
Paid to Non-LBE Subs	\$ 5,606,286	14%
Paid to LBEs Primes	\$ 14,483,667	35%
Paid to LBE Subs	\$ 10,528,129	26%
Paid to MBE Primes	\$ 6,580,979	16%
Paid to MBE Subs	\$ 4,041,962	10%
Paid to OBE Primes	\$ 5,754,365	14%
Paid to OBE Subs	\$ 6,252,569	15%
Paid to WBE Primes	\$ 2,285,026	6%
Paid to WBE Subs	\$ 233,598	1%
<b>FY 14-15 Q1 Micro Set Aside Contracts</b>		
Total Eligible	4	
Total Awarded	1	
*Includes one (1) Joint Venture partnership		
**Based on information from CAT extract dated 9/25/14.		

<b>Department of Public Works</b>		
<b>Contract Award and Payment Summary</b>		
<b>FY 14-15 Q2</b>		
<b>FY 14-15 Q2 Awarded Contracts</b>		
Total Number of Contracts	20	
Professional Services	2	10%
Construction	18	90%
LBE Primes	15	75%
Non-LBE Primes	5	25%
MBE Primes	7	35%
OBE Prime	8	40%
WBE Prime	0	0%
SBA LBE Prime	0	0%
<b>FY 14-15 Q2 Awards</b>		
Amount Awarded	\$ 41,031,114	
Awarded to Non-LBE Primes	\$ 6,284,905	15%
Awarded to Non-LBE Subs	\$ 1,642,775	4%
Awarded to LBEs Primes	\$ 28,798,916	70%
Awarded to LBE Subs	\$ 4,304,518	10%
Awarded to MBE Primes	\$ 9,752,145	24%
Awarded to MBE Subs	\$ 3,596,918	9%
Awarded to OBE Primes	\$ 19,046,772	46%
Awarded to OBE Subs	\$ 453,600	1%
Awarded to WBE Primes	\$ -	0%
Awarded to WBE Subs	\$ 254,000	1%
Awarded to SBA Prime	\$ -	0%
Awarded to SBA Sub	\$ -	0%
<b>July 2013-December 31, 2014 Payments*</b>		
Total Paid	\$ 68,163,978.52	
Paid to Non-LBEs Primes	\$ 16,251,031	24%
Paid to Non-LBE Subs	\$ 9,932,724	15%
Paid to LBEs Primes	\$ 20,648,091	30%
Paid to LBE Subs	\$ 20,790,973	31%
Paid to MBE Primes	\$ 9,653,562	14%
Paid to MBE Subs	\$ 7,838,651	11%
Paid to OBE Primes	\$ 8,388,463	12%
Paid to OBE Subs	\$ 11,469,356	17%
Paid to WBE Primes	\$ 2,606,066	4%
Paid to WBE Subs	\$ 1,506,300	2%
<b>FY 14-15 Q2 Micro-Set Aside Contracts</b>		
Total Eligible	5	
Total Awarded	3	
*Based on information from CAT extract dated 1/13/15.		



DPW	FCE14086	Bartlett Streetscape Improvements	Bauman Landscape & Construction Inc.	LBE-OBE	25%	0%	\$	1,742,367	\$	-	\$	-	7/8/2014	Selormey Dzikunu	Construction	FY 14-15 Q 1
DPW	FCE14101	Highland Avenue Bridge Traffic Railing Replacement	MH Construction Management Co., Inc.	LBE-MBE	20%	0%	\$	994,999	\$	-	\$	-	7/10/2014	Selormey Dzikunu	Construction	FY 14-15 Q 1
DPW	HCCL4084-4	As-Needed Environmental Contracting Services (Micro-LBE Side-Aside Program)	AEW Engineering, Inc.	LBE-MBE	MICRO	0%	\$	1,000,000	\$	-	\$	-	7/14/2014	Romulus Asenlo	Construction	FY 14-15 Q 1
DPW	APM14067-3	As-Needed Surveying Services 2014	Chaudhary & Associates, Inc.	Non-LBE	20%	0%	\$	750,000	\$	-	\$	-	7/16/2014	Selormey Dzikunu	Professional Services	FY 14-15 Q 1
DPW	FCP13107	Portsmouth Square Park Restroom Renovation	Chiang C M Construction, Inc.	LBE-MBE	18%	0%	\$	1,298,609	\$	15,569.16	\$	490,650	7/17/2014	Finbarr Jewell	Construction	FY 14-15 Q 1
DPW	FCA14091	San Francisco Public Library Teen Center Renovation Work	Chiang C M Construction, Inc.	LBE-MBE	21%	0%	\$	2,057,612	\$	-	\$	-	8/7/2014	Finbarr Jewell	Construction	FY 14-15 Q 1
DPW	FCE14121	24th Street Urban Village	A. Ruiz Construction Co. & Assoc., Inc.	SBA-MBE	25%	0%	\$	513,803	\$	-	\$	-	8/7/2014	Finbarr Jewell	Construction	FY 14-15 Q 1
DPW	APCI4079-2	As Needed Asbestos, Lead, and Industrial Hygiene Consultation Services	Millennium Consulting Associates	Non-LBE	20%	0%	\$	600,000	\$	-	\$	-	8/21/2014	Romulus Asenlo	Professional Services	FY 14-15 Q 1
DPW	APCI4079-5	As Needed Asbestos, Lead, and Industrial Hygiene Consultation Services	North Tower Environmental, Inc.	LBE-MBE	20.00%	0%	\$	600,000	\$	-	\$	-	8/21/2014	Romulus Asenlo	Professional Services	FY 14-15 Q 1
DPW	FCE14100	As Needed Paving Contract No. 10	Esiquet Grading & Paving, Inc.	LBE-MBE	25%	0%	\$	6,010,440	\$	-	\$	-	8/25/2014	Selormey Dzikunu	Construction	FY 14-15 Q 1
DPW	PPA14105-1	Construction Management Support Services (CMS) for Moscone Expansion Project	URS Corporation Americas/AES Partners, JV	JV-MBE	15.00%	0%	\$	3,930,000	\$	-	\$	-	8/29/2014	Selormey Dzikunu	Professional Services	FY 14-15 Q 1
DPW	JCC14013-2	Job Order Contract No. 123 General Building Services (Rebid)	Angotti & Rellly, Inc.	LBE-OBE	25.00%	0%	\$	3,000,000	\$	-	\$	-	8/29/2014	James Sonoyra	Construction	FY 14-15 Q 1
DPW	OCM14127	As-Needed Sidewalk Repair For Accelerated Sidewalk Abatement Program	LC General Engineering and Construction, Inc.	LBE-OBE	25%	0%	\$	1,579,520	\$	-	\$	-	9/8/2014	Selormey Dzikunu	Construction	FY 14-15 Q 1
DPW	FCE14106	Randolph Streetscape Improvements	Precision Engineering, Inc.	LBE-MBE	25%	0%	\$	914,569	\$	-	\$	-	9/11/2014	Selormey Dzikunu	Construction	FY 14-15 Q 1
DPW	FCE14111-1	Dolores Street Pavement Renovation, Sewer Replacement, and Water Main Installation	A. Ruiz Construction Co. & Assoc., Inc.	SBA-MBE	25.00%	0%	\$	5,559,986	\$	-	\$	-	9/30/2014	Selormey Dzikunu	Construction	FY 14-15 Q 1
DPW	FCP15072-1	Civic Center Plaza Pavement Maintenance	CP Contracting, Inc.	LBE-OBE	10%	0%	\$	957,281	\$	-	\$	-	10/16/2014	Finbarr Jewell	Construction	FY 14-15 Q 2
DPW	APCI4079-3	As Needed Asbestos, Lead, and Industrial Hygiene Consultation Services	Environsey, Inc.	LBE-OBE	20%	0%	\$	630,000	\$	-	\$	-	10/23/2014	Romulus Asenlo	Professional Services	FY 14-15 Q 2
DPW	FCA14094-1	SPBH Building 5 Accessibility Compliance Improvements	Rodan Builders, Inc.	Non-LBE	50%	0%	\$	1,845,800	\$	-	\$	-	10/28/2014	Romulus Asenlo	Construction	FY 14-15 Q 2
DPW	FCA14134-1	South of Market Cultural Center Roofing and Related Work	Andy's Roofing Company Inc.	Non-LBE	7%	0%	\$	351,300	\$	-	\$	-	10/31/2014	Romulus Asenlo	Construction	FY 14-15 Q 2
DPW	FCP14135-1	North Beach / Joe Di Maggio Playground Renovation	Bauman Landscape & Construction Inc.	LBE-OBE	22%	0%	\$	4,397,000	\$	-	\$	-	11/20/2014	Finbarr Jewell	Construction	FY 14-15 Q 2
DPW	FCA14135-1	Bayview Opera House Renovation	MH Construction Management Co., Inc.	SBA-MBE	25%	0%	\$	2,286,000	\$	-	\$	-	11/21/2014	Selormey Dzikunu	Construction	FY 14-15 Q 2
DPW	FCE14125-1	Vicente Street and Ocean Avenue Pavement Renovation, Sewer Replacement, and	LC General Engineering and Construction, Inc.	Non-LBE	25%	0%	\$	3,477,785	\$	-	\$	-	11/26/2014	Finbarr Jewell	Construction	FY 14-15 Q 2
DPW	OCF14125-1	Landscape and Tree Maintenance Various Locations Contract-1	Bauman Landscape & Construction Inc.	LBE-OBE	10%	0%	\$	1,067,090	\$	-	\$	-	11/26/2014	Romulus Asenlo	Construction	FY 14-15 Q 2
DPW	FCE14138-1	Pavement Renovation and Sewer Replacement Various Locations No. 18	Precision Engineering, Inc.	LBE-MBE	25%	0%	\$	1,586,295	\$	-	\$	-	12/2/2014	Finbarr Jewell	Construction	FY 14-15 Q 2
DPW	FCE15021-1	Various Locations Pavement Preservation FY 14-15 No. 2	YSS International Inc.	Non-LBE	12%	0%	\$	1,312,500	\$	-	\$	-	12/2/2014	Selormey Dzikunu	Construction	FY 14-15 Q 2
DPW	FCE15011-1	Ocean Avenue and Persla Avenue Pavement Renovation and Sewer Replacement	Precision Engineering, Inc.	LBE-MBE	25%	0%	\$	3,935,955	\$	-	\$	-	12/10/2014	Selormey Dzikunu	Construction	FY 14-15 Q 2
DPW	APCI4079-4	As Needed Asbestos, Lead, and Industrial Hygiene Consultation Services	IHI Environmental, a Terracon Company	Non-LBE	20%	0%	\$	600,000	\$	-	\$	-	12/11/2014	Romulus Asenlo	Professional Services	FY 14-15 Q 2
DPW	HCCL4089-5	As-Needed Environmental Contracting Services (Micro-LBE Side-Aside Program)	Boyle Engineering Construction	LBE-MBE	MICRO	0%	\$	1,000,000	\$	-	\$	-	12/11/2014	Romulus Asenlo	Construction	FY 14-15 Q 2
DPW	HCCL4089-3	As-Needed Environmental Contracting Services (Micro-LBE Side-Aside Program)	Zazon Companies, Inc.	LBE-OBE	MICRO	0%	\$	1,000,000	\$	-	\$	-	12/18/2014	Romulus Asenlo	Construction	FY 14-15 Q 2
DPW	HCCL4089-2	As-Needed Environmental Contracting Services (Micro-LBE Side-Aside Program)	SCA Environmental, Inc.	LBE-MBE	MICRO	0%	\$	1,000,000	\$	-	\$	-	12/18/2014	Romulus Asenlo	Construction	FY 14-15 Q 2
DPW	FCE14123-1	Various Locations Pavement Renovation No. 17 Sewer Replacement and Water Main	Shaw Pflaie, Inc.	LBE-OBE	25%	0%	\$	5,888,070	\$	-	\$	-	12/18/2014	Selormey Dzikunu	Construction	FY 14-15 Q 2
DPW	FCE14130-1	West Portal Avenue and Quintera Street Pavement Renovation, Sewer Replacement	Con-Quest Contractors, Inc.	LBE-OBE	25%	0%	\$	4,764,463	\$	-	\$	-	12/18/2014	Finbarr Jewell	Construction	FY 14-15 Q 2
DPW	FCE14137-1	Pavement Renovation and Sewer Replacement Crescent and Hudson Avenues	Shaw PipeLine, Inc.	LBE-OBE	25%	0%	\$	2,525,776	\$	-	\$	-	12/22/2014	Selormey Dzikunu	Construction	FY 14-15 Q 2
DPW	FCE15015-1	Transit Signal Improvement Project	Bay Area Lightworks Inc.	LBE-MBE	25%	0%	\$	1,725,139	\$	-	\$	-	12/30/2014	Selormey Dzikunu	Construction	FY 14-15 Q 2
DPW	FCE14131-2	Proposition K Curb Ramps Fiscal Year 2013-2014	Bay Area Lightworks Inc.	LBE-MBE	25%	0%	\$	607,721	\$	-	\$	-	12/31/2014	Selormey Dzikunu	Construction	FY 14-15 Q 2



<b>Port</b>		
Contract Award and Payment Summary		
FY 14-15 Q1		
<b>FY 14-15 Q1 Awarded Contracts</b>		
Total Number of Contracts	4	
Professional Services	2	50%
Construction	2	50%
LBE Primes	3	75%
Non-LBE Primes	1	25%
MBE Primes	1	25%
OBE Prime	2	50%
WBE Prime	0	0%
SBA LBE Prime	0	0%
<b>FY 14-15 Q1 Awards</b>		
Amount Awarded	\$ 6,191,481	
Awarded to Non-LBE Primes	\$ 233,888	4%
Awarded to Non-LBE Subs	\$ 482,534	8%
Awarded to LBEs Primes	\$ 4,272,252	69%
Awarded to LBE Subs	\$ 1,202,808	19%
Awarded to MBE Primes	\$ 131,250	2%
Awarded to MBE Subs	\$ 36,488	1%
Awarded to OBE Primes	\$ 4,141,002	67%
Awarded to OBE Subs	\$ 1,166,320	19%
Awarded to WBE Primes	\$ -	0%
Awarded to WBE Subs	\$ -	0%
Awarded to SBA Prime (MBE)	\$ -	0%
Awarded to SBA Sub	\$ -	0%
<b>July 2013-October 2014 Payments*</b>		
Total Paid	\$ 441,127	
Paid to Non-LBEs Primes	\$ 41,767	6%
Paid to Non-LBE Subs	\$ 9,245	1%
Paid to LBEs Primes	\$ 399,360	53%
Paid to LBE Subs	\$ 78,418	10%
Paid to MBE Primes	\$ 8,440	1%
Paid to MBE Subs	\$ 46,919	6%
Paid to OBE Primes	\$ 390,921	52%
Paid to OBE Subs	\$ 4,054	1%
Paid to WBE Primes	\$ -	0%
Paid to WBE Subs	\$ 27,446	4%
<b>FY 14-15 Q1 Micro Set Aside Contracts</b>		
Total Eligible	0	
Total Awarded	0	

<b>Port</b>		
Contract Award and Payment Summary		
FY 14-15 Q2		
<b>FY-14-15 Q2 Awarded Contracts</b>		
Total Number of Contracts	1	
Professional Services	1	100%
Construction	0	0%
LBE Primes*	1	100%
Non-LBE Primes*	1	100%
MBE Primes	0	0%
OBE Prime*	1	100%
WBE Prime	0	0%
SBA LBE Prime	0	0%
<b>FY 14-15 Q2 Awards</b>		
Amount Awarded	\$ 425,000	
Awarded to Non-LBE Primes	\$ 151,496	36%
Awarded to Non-LBE Subs	\$ 61,625	15%
Awarded to LBEs Primes	\$ 100,997	24%
Awarded to LBE Subs	\$ 110,883	26%
Awarded to MBE Primes	\$ 100,997	24%
Awarded to MBE Subs	\$ 8,500	2%
Awarded to OBE Primes	\$ -	0%
Awarded to OBE Subs	\$ 43,733	10%
Awarded to WBE Primes	\$ -	0%
Awarded to WBE Subs	\$ 58,650	14%
Awarded to SBA Prime (MBE)	\$ -	0%
Awarded to SBA Sub	\$ -	0%
<b>July 2013-December 2014 Payments**</b>		
Total Paid	\$ 751,908	
Paid to Non-LBEs Primes	\$ 107,471	14%
Paid to Non-LBE Subs	\$ 15,155	2%
Paid to LBEs Primes	\$ 588,273	78%
Paid to LBE Subs	\$ 63,134	8%
Paid to MBE Primes	\$ 10,787	1%
Paid to MBE Subs	\$ 46,919	6%
Paid to OBE Primes	\$ 577,486	77%
Paid to OBE Subs	\$ 4,054	1%
Paid to WBE Primes	\$ -	0%
Paid to WBE Subs	\$ 32,762	4%
<b>FY 14-15 Q2 Micro Set Aside Contracts</b>		
Total Eligible	0	
Total Awarded	0	
*Includes JV -LBE partnerships		
**Based on information from Elations/LBEUTS dated 1/05/15.		

Department	Contract Number	Project Name	Prime	Prime LBE Status	LBE Goal	Sub Goal to Date	Original Award Amount	Total Payments to LBEs	Total Contract Payments	Award Notice	CCO	Industry	Quarter
Port	2761	Blue Greenway Signage	Cal State Constructors	LBE-OBE	8%	7.08%	\$ 625,547.00	\$ 44,320.00	\$ 626,350.94	8/13/2013	Boris Delepine	Construction	FY 13/14 Q1
Port	2767	Fisherman's Wharf Triangle Lot & SWL 321 Pedestrian Circulation Improvement Project Award Memo	JDB Construction	LBE-OBE	Micro	n/a	\$ 109,730.00	\$ 4,700.00	\$ 4,700.00	12/4/2013	Boris Delepine	Construction	FY 13/14 Q2
Port	PRT 1213-07.01	As Needed Environmental and Related Professional Services	AguaTerra Associates dba Weiss Associates	Non-LBE	21%		1000000	-	-	9/27/2013	Boris Delepine	Professional Services	FY 13/14 Q2
Port	PRT1213-07.02	As Needed Environmental and Related Professional Services	SCA Environmental	LBE-MBE	21%	0.00%	1000000	-	\$ 10,787.00	9/27/2013	Boris Delepine	Professional Services	FY 13/14 Q2
Port	PRT1213-07.03	As Needed Environmental and Related Professional Services	Baseline Environmental	Non-LBE	21%	17.09%	1000000	18,814.32	\$ 110,069.57	9/27/2013	Boris Delepine	Professional Services	FY 13/14 Q2
Port	2758R	Bayview Gateway	Bauman Landscape	LBE-OBE	12%		3667925	-	-	7/8/2014	Boris Delepine	Construction	FY 14/15 Q1
Port	RFP 1314-01.A	As Needed Hazard Waste Disposal and Transportation Services	Eagle Environmental & Construction	LBE-MBE	8%		262500	-	-	7/8/2014	Boris Delepine	Professional Services	FY 14/15 Q1
Port	RFP 1314-01.B	As Needed Hazard Waste Disposal and Transportation Services	Environmental Logistics Inc	Non-LBE	8%		262500	-	-	7/8/2014	Boris Delepine	Professional Services	FY 14/15 Q1
Port	2765	Pier 35 Roof Repair	Riebeck Construction	LBE-OBE	19%		1998556	-	-	8/12/2014	Lupe Arreola	Construction	FY 14/15 Q1
Port	PRT1415-01	Earthquake Vulnerability Study of the Northern Waterfront Seawall	GHD/GTC JV	JV-OBE	25%		425000	-	-	10/28/2014	Lupe Arreola	Professional Services	FY 14/15 Q2

<b>Public Utilities Commission</b>		
Contract Award and Payment Summary		
FY 14-15 Q1		
<b>FY 14-15 Q1 Awarded Contracts</b>		
Total Number of Contracts	7	
Professional Services	1	14%
Construction	6	86%
LBE Primes	5	71%
Non-LBE Primes	2	29%
MBE Primes	2	29%
OBE Prime*	2	29%
WBE Prime	1	14%
SBA LBE Prime	0	0%
<b>FY 14-15 Q1 Awards</b>		
Amount Awarded	\$ 29,099,685	
Awarded to Non-LBE Primes**	\$ 8,311,547	29%
Awarded to Non-LBE Subs	\$ 1,587,689	5%
Awarded to LBEs Primes**	\$ 12,379,060	43%
Awarded to LBE Subs	\$ 6,821,390	23%
Awarded to MBE Primes**	\$ 2,944,436	10%
Awarded to MBE Subs	\$ 1,942,711	7%
Awarded to OBE Primes**	\$ 7,267,049	25%
Awarded to OBE Subs*	\$ 4,640,913	16%
Awarded to WBE Primes**	\$ 2,167,575	7%
Awarded to WBE Subs	\$ 237,765	1%
Awarded to SBA Prime	\$ -	0%
Awarded to SBA Sub	\$ -	0%
<b>July 1, 2013-September 30, 2014 Payments**</b>		
Total Paid	\$ 74,131,928	
Paid to Non-LBEs Primes	\$ 5,332,110	7%
Paid to Non-LBE Subs	\$ 8,012,053	11%
Paid to LBEs Primes	\$ 49,843,853	67%
Paid to LBE Subs	\$ 11,334,683	15%
Paid to MBE Primes	\$ 10,322,718	14%
Paid to MBE Subs	\$ 6,184,521	8%
Paid to OBE Primes	\$ 27,644,425	37%
Paid to OBE Subs	\$ 4,647,373	6%
Paid to WBE Primes	\$ 10,280,167	14%
Paid to WBE Subs	\$ 502,790	1%
<b>FY 14-15 Q1 Micro Set Aside Contracts</b>		
Total Eligible	0	
Total Awarded	0	
*includes PUC-LBE firms		
**Based on information from PUC SOLIS extract dated 10/27/14.		

<b>Public Utilities Commission</b>		
Contract Award and Payment Summary		
FY 14-15 Q2		
<b>FY 14-15 Q2 Awarded Contracts</b>		
Total Number of Contracts	9	
Professional Services	6	67%
Construction	3	33%
LBE Primes*	4	44%
Non-LBE Primes*	7	78%
MBE Primes*	3	33%
OBE Prime	1	11%
WBE Prime	0	0%
SBA LBE Prime	0	0%
<b>FY 14-15 Q2 Awards</b>		
Amount Awarded	\$ 42,402,804	
Awarded to Non-LBE Primes	\$ 21,621,199	51%
Awarded to Non-LBE Subs	\$ 7,789,276	18%
Awarded to LBEs Primes	\$ 5,526,415	13%
Awarded to LBE Subs**	\$ 7,428,414	18%
Awarded to MBE Primes	\$ 3,006,000	7%
Awarded to MBE Subs**	\$ 3,570,930	8%
Awarded to OBE Primes	\$ 2,520,415	6%
Awarded to OBE Subs**	\$ 1,793,484	4%
Awarded to WBE Primes	\$ -	0%
Awarded to WBE Subs	\$ 2,064,000	5%
Awarded to SBA Prime	\$ -	0%
Awarded to SBA Sub	\$ -	0%
<b>July 1, 2013-December 31, 2014 Payments***</b>		
Total Paid	\$ 103,417,427	
Paid to Non-LBEs Primes	\$ 10,530,695	14%
Paid to Non-LBE Subs	\$ 10,020,131	14%
Paid to LBEs Primes	\$ 63,135,411	85%
Paid to LBE Subs	\$ 14,088,018	19%
Paid to MBE Primes	\$ 16,385,741	22%
Paid to MBE Subs	\$ 7,420,127	10%
Paid to OBE Primes	\$ 31,997,708	43%
Paid to OBE Subs	\$ 5,889,898	8%
Paid to WBE Primes	\$ 13,614,202	18%
Paid to WBE Subs	\$ 777,993	1%
<b>FY 14-15 Q2 Micro Set Aside Contracts</b>		
Total Eligible	0	
Total Awarded	0	
*includes two (2) Joint Venture Non-LBE/LBE-MBE partnerships.		
**includes PUC-LBE firms		
***based on information from PUC SOLIS extract dated 1/13/14		



Recreation and Parks Department			Recreation and Parks Department		
Contract Award and Payment Summary			Contract Award and Payment Summary		
FY 14-15 Q1			FY 14-15 Q2		
<b>FY 14-15 Q1 Awarded Contracts</b>			<b>FY 14-15 Q2 Awarded Contracts</b>		
Total Number of Contracts	2		Total Number of Contracts	4	
Professional Services	0	0%	Professional Services	0	0%
Construction	2	100%	Construction	4	100%
LBE Primes	0	0%	LBE Primes	3	75%
Non-LBE Primes	2	100%	Non-LBE Primes	1	25%
MBE Primes	0	0%	MBE Primes	2	50%
OBE Prime	0	0%	OBE Prime	1	25%
WBE Prime	0	0%	WBE Prime	0	0%
SBA LBE Prime	0	0%	SBA LBE Prime	0	0%
<b>FY 14-15 Q1 Awards</b>			<b>FY 14-15 Q2 Awards</b>		
Amount Awarded	\$2,949,969		Amount Awarded	\$ 1,337,590	
Awarded to Non-LBE Primes	\$2,949,969	100%	Awarded to Non-LBE Primes	\$ 645,200	48%
Awarded to Non-LBE Subs	\$ 6,250	0%	Awarded to Non-LBE Subs	\$ 127,800	10%
Awarded to LBEs Primes	\$ -	0%	Awarded to LBEs Primes	\$ 692,390	52%
Awarded to LBE Subs	\$ 459,838	16%	Awarded to LBE Subs	\$ 407,339	30%
Awarded to MBE Primes	\$ -	0%	Awarded to MBE Primes	\$ 362,790	27%
Awarded to MBE Subs	\$ 289,930	10%	Awarded to MBE Subs	\$ 196,004	15%
Awarded to OBE Primes	\$ -	0%	Awarded to OBE Primes	\$ 329,600	25%
Awarded to OBE Subs	\$ 127,708	4%	Awarded to OBE Subs	\$ 58,068	4%
Awarded to WBE Primes	\$ -	0%	Awarded to WBE Primes	\$ -	0%
Awarded to WBE Subs	\$ 42,200	1%	Awarded to WBE Subs	\$ 38,712	3%
Awarded to SBA Prime	\$ -	0%	Awarded to SBA Prime	\$ -	0%
Awarded to SBA Sub	\$ -	0%	Awarded to SBA Sub	\$ -	0%
<b>July 2013-September 30, 2014 Payments</b>			<b>July 2013-December 31, 2014 Payments</b>		
Total Paid	\$1,697,246		Total Paid	\$ 3,174,522	
Paid to Non-LBEs Primes	\$ 241,435	14%	Paid to Non-LBEs Primes	\$ 1,738,807	55%
Paid to Non-LBE Subs	\$ 227,488	13%	Paid to Non-LBE Subs	\$ 234,388	7%
Paid to LBEs Primes	\$ 235,219	14%	Paid to LBEs Primes	\$ 189,697	6%
Paid to LBE Subs	\$ 993,104	59%	Paid to LBE Subs	\$ 1,011,629	32%
Paid to MBE Primes	\$ 82,556	5%	Paid to MBE Primes	\$ 82,556	3%
Paid to MBE Subs	\$ 871,298	51%	Paid to MBE Subs	\$ 878,453	28%
Paid to OBE Primes	\$ 132,708	8%	Paid to OBE Primes	\$ 87,186	3%
Paid to OBE Subs	\$ 89,797	5%	Paid to OBE Subs	\$ 101,166	3%
Paid to WBE Primes	\$ 19,955	1%	Paid to WBE Primes	\$ 19,955	1%
Paid to WBE Subs	\$ 32,009	2%	Paid to WBE Subs	\$ 32,010	1%
<b>FY 14-15 Q1 Micro Set Aside Contracts</b>			<b>FY 14-15 Q1 Micro Set Aside Contracts</b>		
Total Eligible Contracts	0		Total Eligible Contracts	3	
Total Awarded Micro Set Asides	0		Total Awarded Micro Set Asides	3	
<i>*includes JV-LBE partnerships</i>			<i>*includes JV partnerships</i>		

Department	Contract Number	Project Name	Prime	Prime LBE Status	LBE Goal	Sub Goal to Date	Original Award Amount	Total Payments to LBEs	Total Contract Payments	Award Notice	CCO	Industry	Quarter
RPD	CON14-008	Recreation and Parks Department	Continental Golf	Non-LBE	14%	16%	\$ 380,881.00	\$ 70,377.00	\$ 435,187.16	8/8/2014	Finbarr Jewell	Construction	FY 14-15 Q1
RPD	CON14-007	Kezar Track Renovation	Robert A. Bothman	Non-LBE	15%	0%	\$ 2,569,088.00	\$ -	\$ 1,365,222.72	9/29/2014	Finbarr Jewell	Construction	FY 14-15 Q1
RPD	CON14-011	Micro LBE Lawn Bowling Green	Anvil Builders	LBE-MBE	MICRO	n/a	\$ 149,490.00	\$ -	\$ -	10/8/2014	Finbarr Jewell	Construction	FY 14-15 Q2
RPD	47233-13/14	Willie "Woo Woo" Wong Playground Renovation Design Services	Conger Moss Guilliard (CMG) Landscap	Non-LBE	25%		\$ 645,200.00	\$ -	\$ -	11/24/2014	Finbarr Jewell	Construction	FY 14-15 Q2
RPD	CON14-004	Little Hollywood Park Renovation	C.F Contracting	LBE-CBE	MICRO	n/a	\$ 380,881.00	\$ -	\$ -	12/17/2014	Finbarr Jewell	Construction	FY 14-15 Q2
RPD	CON14-017	Trocadero Clubhouse	Hol's Construction	LBE-MBE	MICRO	n/a	\$ 213,300.00	\$ -	\$ -	12/22/2014	Finbarr Jewell	Construction	FY 14-15 Q2



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**Jim Kellogg**, Vice President  
Discovery Bay  
**Richard Rogers**, Member  
Santa Barbara  
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**Jacque Hostler-Carmesin**, Member  
McKinleyville

STATE OF CALIFORNIA  
Edmund G. Brown Jr., Governor

**Sonke Mastrup**, Executive Director  
1416 Ninth Street, Room 1320  
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## Fish and Game Commission



*Wildlife Heritage and Conservation*  
Since 1870  
April 10, 2015

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### NOTICE OF PROPOSED EMERGENCY ACTION

Close all Fishing in the Sacramento River from 650 feet below Keswick Dam to the Highway 44 Bridge to Protect Endangered Winter-Run Chinook Salmon

Pursuant to the requirements of Government Code section 11346.1(a)(1), the Fish and Game Commission (Commission) is providing notice of proposed emergency action with regards to the above-entitled emergency regulation.

#### SUBMISSION OF COMMENTS

Government Code section 11346.1(a)(2) requires that, at least five working days prior to submission of the proposed emergency action to the Office of Administrative Law (OAL), the adopting agency provide a Notice of the Proposed Emergency Action to every person who has filed a request for notice of regulatory action with the agency. After submission of the proposed emergency to OAL, OAL shall allow interested persons five calendar days to submit comments on the proposed emergency regulations as set forth in Government Code Section 11349.6.

Any interested person may present statements, arguments or contentions, in writing, submitted via U.S. mail, e-mail or fax, relevant to the proposed emergency regulatory action. Written comments submitted via U.S. mail, e-mail or fax must be received at OAL within five days after the Commission submits the emergency regulations to OAL for review.

Please reference submitted comments as regarding "Sacramento River Closure" addressed to:

Mailing Address: Reference Attorney  
Office of Administrative Law  
300 Capitol Mall, Suite 1250  
Sacramento, CA 95814

California State  
Fish and Game Commission  
Attn: Sheri Tiemann  
1416 Ninth Street, Rm. 1320  
Sacramento, CA 95814

E-mail Address: [staff@oal.ca.gov](mailto:staff@oal.ca.gov)  
Fax No.: 916-323-6826

[fgc@fgc.ca.gov](mailto:fgc@fgc.ca.gov)  
916-653-5040

For the status of the Commission's submittal to OAL for review, and the end of the five-day written submittal period, please consult OAL's website at <http://www.oal.ca.gov> under the heading "Emergency Regulations."

CALIFORNIA FISH AND GAME COMMISSION  
STATEMENT OF PROPOSED EMERGENCY REGULATORY ACTION

Emergency Action to  
Amend subsection (b)(156.5)(B) of Section 7.50,  
Title 14, California Code of Regulations  
Re: Emergency Closure Due to Low Flow Conditions

**I. Statement of Facts Constituting the Need for Emergency Regulatory Action**

On January 17, 2014 the Governor proclaimed a State of Emergency to exist in California due to severe drought conditions. As part of the declaration, the Governor ordered the Department of Fish and Wildlife (Department) to work with the California Fish and Game Commission (Commission), using the best available science, to determine whether restricting fishing in certain areas will become necessary and prudent as drought conditions persist. On April 25, 2014 the Governor issued an Executive Order (EO) to proclaim a continuation of the State of Emergency based on ongoing drought conditions. This EO and the original orders are still in place and specifically direct the Department to monitor winter-run Chinook salmon in the Sacramento River and tributaries.

Sacramento River winter-run Chinook salmon suffered a 95% loss of the 2014 natural production brood year due to low reservoir storage and elevated water temperatures caused by the ongoing drought. Current projections indicate that similar water conditions will occur in 2015. In-river water temperatures below Shasta Reservoir exceeded the State Water Resources Control Board Order: WR 90-5, maximum of 56 degrees Fahrenheit, for approximately half of the incubation period prior to emergence. Department staff have evaluated the 2013 winter-run Chinook salmon spawning locations (similar conditions to 2015) and have concluded that 98% of the in-river spawning occurred between Keswick Dam and the Highway 44 bridge.

The Drought Operations Plan has outlined measures to try and prevent extinction of winter-run Chinook salmon which include: increased hatchery production, enhanced monitoring, and increased rescue efforts. Maximizing adult spawning numbers is critical to the population. Although fishing for winter-run Chinook salmon in this reach of the Sacramento River is not allowed under current regulations, incidental by-catch by anglers targeting trout has been documented to occur, especially during low flow periods. Even if returned to the water, incidental by-catch adds unnecessary stress on the winter-run Chinook salmon resulting in the potential loss of adults before spawning. A fishing closure in the holding and spawning areas of winter-run will add to protections for a Federal and State Endangered fish facing a high risk of extinction.

The Sacramento River from Keswick Dam downstream to the Red Bluff Diversion Dam (RBDD) is a Commission designated Wild Trout Water and provides some of the best rainbow trout fishing in California. The proposed emergency fishing closure from the Keswick Dam to the Highway 44 bridge is a 5.5 mile (about nine percent) reduction in areas open to fishing upstream of the RBDD. Although this represents a small portion of the fishery, it is one of the most popular reaches for both shore based and boat anglers. The Department does not propose a permanent closure but a temporary 3-month

suspension of fishing and will annually assess the success of all efforts to protect the winter-run Chinook salmon population.

**PROPOSED ACTION BY THE DEPARTMENT:**

The Department acknowledges the importance of this sport fishery and understands any closure to angling will likely have a substantial effect to both local anglers and anglers travelling from other parts of the State. However, given the gravity and magnitude of the current situation facing winter-run Chinook salmon, the Department acting under the directives of the State and Federal Endangered Species Acts, and the orders and provisions contained in the aforementioned 2014 Proclamations and EO's will be requesting the Commission through emergency action to close the Sacramento River downstream of Keswick Dam to the Highway 44 bridge. If adopted, this emergency closure would take effect upon final approval by the Office of Administrative Law and end July 31, 2015. Normal fishing opportunities would resume August 1, 2015.

Amend Sacramento River subsection (b)(156.5)(B) of Section 7.50, Title 14, CCR, to close all fishing in the Sacramento River from 650 feet below Keswick Dam to the Highway 44 bridge, from the effective date of the emergency regulation (about May 1, 2015) through July 31.

Additional streams closures are currently being evaluated by the Department for future actions as needed.

**II. Impact of Regulatory Action**

The potential for significant statewide adverse economic impacts that might result from the proposed regulatory action has been assessed, and the following determinations relative to the required statutory categories have been made:

(a) Costs or Savings to State Agencies or Costs/Savings in Federal Funding to the State:

None.

(b) Nondiscretionary Costs/Savings to Local Agencies:

None.

(c) Programs Mandated on Local Agencies or School Districts:

None.

(d) Costs Imposed on Any Local Agency or School District that is Required to be Reimbursed Under Part 7 (commencing with Section 17500) of Division 4, Government Code:

None.

(e) Effect on Housing Costs:

None.

### **III. Authority and Reference**

The Fish and Game Commission proposes this emergency action pursuant to the authority vested by sections 200, 202, 205, 215, 220, 240, 315, and 316.5 of the Fish and Game Code and to implement, interpret, or make specific sections 200, 202, 205, 206, 215 and 316.5 of said Code.

### **IV. Section 240 Finding**

Pursuant to Section 240 of the Fish and Game Code, the Commission made the finding that the adoption of this regulation is necessary for the immediate conservation, preservation, or protection of birds, mammals, reptiles, or fish, including, but not limited to, any nests or eggs thereof.

## Informative Digest (Plain English Overview)

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Additional streams closures are currently being evaluated by the Department for future actions as needed.

Benefits: The proposed regulation will provide benefits to the environment through the conservation and preservation of the endangered winter-run Chinook salmon population.

The proposed regulations are neither inconsistent nor incompatible with existing State regulations. The Legislature has delegated authority to the Commission to promulgate sport fishing regulations (sections 200, 202, 205, 315, and 316.5, Fish and Game Code).

## Regulatory Language

### §7.50. Alphabetical List of Waters with Special Fishing Regulations.

Subsection (b)(156.5)(B) of Section 7.50, Title 14, CCR, is amended to read:

<i>Body of Water</i>	<i>Open Season and Special Regulations</i>	<i>Daily Bag and Possession Limit</i>
(156.5) <b>Sacramento River</b> and tributaries below Keswick Dam (Butte, Colusa, Contra Costa, Glenn, Sacramento, Solano, Sutter, Tehama and Yolo Cos.)	Also see Sierra District General Regulation (See Section 7.00(b))	
(A) Sacramento River from Keswick Dam to 650 feet below Keswick Dam	Closed to all fishing all year.	
(B) Sacramento River: <del>from 650 feet below Keswick Dam to the Deschutes Road bridge.</del> <u>1. from 650 feet below Keswick Dam to the Highway 44 bridge.</u>	<del>All year. Only barbless hooks may be used.</del> <u>Closed to all fishing from [OAL to insert effective date] through July 31.</u>	<del>2 hatchery trout or hatchery steelhead** 4 hatchery trout or hatchery steelhead** in possession.</del>
	<u>August 1 through December 31. Only barbless hooks may be used.</u>	<u>2 hatchery trout or hatchery steelhead** 4 hatchery trout or hatchery steelhead** in possession.</u>
<u>2. from the Highway 44 bridge to the Deschutes Road bridge.</u>	<u>All year. Only barbless hooks may be used.</u>	<u>2 hatchery trout or hatchery steelhead** 4 hatchery trout or hatchery steelhead** in possession.</u>

NOTE: Authority cited: Sections 200, 202, 205, 215, 220, 240, 315, and 316.5, Fish and Game Code. Reference: Sections 200, 202, 205, 206, 215 and 316.5, Fish and Game Code.

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**From:** Board of Supervisors, (BOS)  
**To:** BOS-Supervisors; BOS Legislation (BOS)  
**Subject:** File 150191 FW: MPAA Memo of Opposition - ordinance prohibiting wild and exotic animals in entertainment  
**Attachments:** MPAA Memo in Opposition - SF Animal Ordinance.pdf

---

**From:** Sarah Walsh@mpaa.org [mailto:Sarah\_Walsh@mpaa.org]  
**Sent:** Monday, April 13, 2015 4:31 PM  
**To:** Tang, Katy (BOS); Yee, Norman (BOS); Wiener, Scott  
**Cc:** Board of Supervisors, (BOS)  
**Subject:** MPAA Memo of Opposition - ordinance prohibiting wild and exotic animals in entertainment

Supervisors Tang, Yee, and Wiener-

Please find attached the Motion Picture Association of America's memo of opposition to the proposed ordinance prohibiting the use wild or exotic animals in entertainment. The ordinance would prohibit the use of these animals in film and television productions, and is at odds with the state's goal of attracting film and television production jobs to California. We hope the Board will consider amending the ordinance, and I would welcome the opportunity to work with your offices on a solution.

Best regards,  
Sarah Walsh

**Sarah Walsh** | Director, State Government Affairs | Motion Picture Association of America, Inc. | 15301 Ventura Blvd., Bldg. E, Sherman Oaks, CA 91403 | 818.935.5840 | [sarah\\_walsh@mpaa.org](mailto:sarah_walsh@mpaa.org)





**MOTION PICTURE ASSOCIATION**  
OF AMERICA, INC.  
15301 VENTURA BOULEVARD  
SHERMAN OAKS, CA 91403  
(818) 995-6600

April 13, 2015

To: Supervisor Katy Tang  
Supervisor Scott Wiener  
Supervisor Norman Yee

RE: Memorandum in Opposition – Wild or Exotic Animals in  
Entertainment

From: Motion Picture Association of America, Inc.

The Motion Picture Association of America, Inc. (MPAA) and its member companies\*, which are the largest producers and distributors of motion pictures in the U.S., oppose the proposed ordinance prohibiting the performance of wild or exotic animals for public entertainment or amusement. If enacted, the bill would prevent animal performances in motion picture and television productions in San Francisco, even when the animal is accompanied by a handler who holds the appropriate permits from the United States Department of Agriculture and/or the United States Fish and Wildlife Service.

In 2014, the state enacted an expanded production tax incentive to attract motion picture production to California. The state has made a commitment to retaining motion picture and television production, and the good middle class jobs that are created by productions, and we are concerned that the draft ordinance would undermine that important public policy.

As you are no doubt aware, motion pictures and television shows have told countless stories about animals, with animals playing both leading and supporting roles. MPAA member companies take seriously their obligation to handle animals safely and responsibly. We urge the Board to amend the proposed ordinance to allow for the use of animals in motion picture and television productions.

\*MPAA member companies are: Paramount Picture Corporation, Sony Pictures Entertainment Inc; Twentieth Century Fox Film Corporation; Universal City Studios LLC; Walt Disney Studios Motion Pictures; and Warner Bros. CBS Corporation is an associated member.

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**From:** Board of Supervisors, (BOS)  
**To:** BOS-Supervisors; BOS Legislation (BOS)  
**Subject:** File 150191 FW: Support for Item #27 on agenda for 4/14/15 meeting, Supervisor Tang's exotic animal performance ban  
**Attachments:** ALDF Supports File No. 150191.pdf; ABA Resolution re wild and exotic animals.pdf

---

**From:** Davi Lang [mailto:[dlang@aldf.org](mailto:dlang@aldf.org)]  
**Sent:** Monday, April 13, 2015 4:51 PM  
**To:** Board of Supervisors, (BOS)  
**Subject:** Support for Item #27 on agenda for 4/14/15 meeting, Supervisor Tang's exotic animal performance ban

April 13, 2015

City & County of San Francisco Board of Supervisors

**Re: Letter in Support of Supervisor Tang's Wild or Exotic Animal Performance Ban**

Dear San Francisco Board of Supervisors:

On behalf of the Bay Area-based Animal Legal Defense Fund (ALDF) and its more than 200,000 nationwide members and supporters, and as a San Francisco Animal Control and Welfare Commissioner and lifelong San Franciscan, I am writing in support of Supervisor Tang's proposed ordinance that would prohibit the use of wild or exotic animals in traveling acts.

It is impossible to make elephants, tigers, and other exotic animals perform unnatural tricks humanely. Elephants used by circuses are violently trained with bullhooks from the time that they are mere babies, after which they perform hundreds of times per year under the threat of abuse. Tigers and other big cats, who are apex predators with home ranges of up to hundreds of square miles in the wild, spend most of their lives in cramped transport cages when used for circuses. Experts recognize that animals who are subjected to the constant threat of punishment are more prone to unpredictable and potentially dangerous behavior. In recognition of the inherent abuse and public safety risks associated with the ownership and use of exotic animals, the American Bar Association passed a resolution (attached) in February recommending that local, state, federal, and territorial governments enact legislation to prohibit the ownership and use of exotic animals in all but a few limited circumstances.

Residents and tourists alike enjoy dazzling entertainment in San Francisco without the need for exotic animals. As the U.S. Department of Agriculture (USDA) is only required to inspect traveling exotic animal acts *periodically*, and particularly since the USDA has been heavily criticized by its own internal auditors for failing to enforce the federal Animal Welfare Act adequately, local legislative efforts are critical to the preservation of public safety and the protection of animals who are used in traveling shows. It is an important symbolic gesture for San Francisco to join Oakland and Los Angeles and the dozens of other localities across the U.S. that are taking proactive steps to prevent abuse of exotic animals in traveling acts.

We urge you to support Supervisor Tang's proposed ordinance. Thank you for your attention to this important animal welfare and public safety matter.

Sincerely,

**Davi Lang** | Legislative Coordinator

**Animal Legal Defense Fund** | [aldf.org](http://aldf.org)

**Cell** 415.887.8492 | **Fax** 707.795.7280

[dlang@aldf.org](mailto:dlang@aldf.org)

April 13, 2015



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We urge you to support Supervisor Tang's proposed ordinance. Thank you for your attention to this important animal welfare and public safety matter.

Sincerely,

Davi Lang  
Legislative Coordinator  
Animal Legal Defense Fund

Enclosure

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Cotati, California 94931

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**AMERICAN BAR ASSOCIATION**

**TORT TRIAL AND INSURANCE PRACTICE SECTION**

**REPORT TO THE HOUSE OF DELEGATES**

**RESOLUTION**

- 1 RESOLVED, That the American Bar Association urges all federal, state, territorial, and  
2 local legislative bodies and/or governmental agencies to enact comprehensive laws that  
3 prohibit, unless otherwise exempted, the possession, sale, breeding, import, or transfer of  
4 dangerous wild animals, such as big cats, bears, wolves, primates, and dangerous reptiles,  
5 in order to protect public safety and health, and to ensure the humane treatment and  
6 welfare of such animals.  
7  
8 FURTHER RESOLVED, that the American Bar Association urges that such laws should  
9 include reasonable exemptions, such as for non-profit wildlife sanctuaries, facilities  
10 accredited by the Association of Zoos and Aquariums, and research institutions.

## REPORT

This Tort, Trial and Insurance Practice Section Animal Law Committee resolution and policy recommendation addresses the private possession of dangerous wild animals. This report will discuss in depth the numerous public health and safety hazards, animal welfare concerns, legal liability, and insurance issues resulting from the current inconsistent patchwork of federal, state, and territorial laws on the subject.<sup>1</sup> The issue of dangerous wild animals in private hands has significant importance to the public and has been the subject of debate in many state legislatures over the past 15 years. A recommendation by the ABA will assist those seeking to encourage decision makers to address these concerns with comprehensive and uniform laws that prohibit private possession of dangerous wild animals. Without consistency, individuals who do not properly care for their animals are free to forum shop for states without regulations, placing both the public and the animals at risk.<sup>2</sup>

### INTRODUCTION

Numerous scientific organizations and governmental entities all believe that certain wild animals are not safe or suitable to be kept as pets—these include the Association of Zoos and Aquariums,<sup>3</sup> American Veterinary Medical Association,<sup>4</sup> American Animal Hospital Association,<sup>5</sup> Centers for Disease Control and Prevention,<sup>6</sup> and United States Department of Agriculture.<sup>7</sup> A consortium of 20 animal protection groups has organized to oppose such private possession, noting that dangerous wild animals behave unpredictably and cannot be domesticated simply through captive breeding or raising by hand.<sup>8</sup> The process of “domestication,” such as that of dogs, is the result of thousands of years of selective breeding. Lions, tigers, leopards, bears, wolves, reptiles, and non-human primates belong

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<sup>1</sup> For a comprehensive, recent overview of the subject, see Lauren Slater, Wild Obsession—The perilous attraction of owning exotic pets, National Geographic, 96 (April 2014) at <http://ngm.nationalgeographic.com/2014/04/exotic-pets/slater-text>.

<sup>2</sup> Michael Scott, Ohio has had loose leash on selling wild animals for years, October 19, 2011 at [http://blog.cleveland.com/pdextra/2011/10/ohio\\_has\\_had\\_loose\\_leash\\_on\\_se.html](http://blog.cleveland.com/pdextra/2011/10/ohio_has_had_loose_leash_on_se.html).

<sup>3</sup> Association of Zoos and Aquariums, Why Wild Animals Don't Make Good Pets, February 19, 2009 at <https://www.aza.org/pressroom/detail.aspx?id=391> (last visited July 20, 2014).

<sup>4</sup> “The AVMA has concerns about animal welfare, husbandry, infectious diseases, public health and safety, and environmental impacts relative to ownership of wild animal species and their hybrids.” If owners or caretakers cannot ensure these aspects, the AVMA recommends prohibiting ownership or possession of wild animal species or their hybrids.” American Veterinary Medical Association policy statement, Ownership or Possession of Wild Animals or Their Hybrids, at <https://www.avma.org/KB/Policies/Pages/Ownership-or-Possession-of-Wild-Animals-or-Their-Hybrids.aspx> (last visited July 20, 2014).

<sup>5</sup> “When wild animals are kept as pets, the results may often be tragic for the animals and the owners.” American Animal Hospital Association, Wild Animals as Pets Position Statement at <https://www.aahanet.org/Library/WildAnimalPets.aspx> (last visited July 20, 2014).

<sup>6</sup> Bruno B. Chomel et al, Wildlife, Exotic Pets, and Emerging Zoonoses, Centers for Disease Control and Prevention, January 2007, at [http://wwwnc.cdc.gov/eid/article/13/1/06-0480\\_article](http://wwwnc.cdc.gov/eid/article/13/1/06-0480_article).

<sup>7</sup> USDA Position Statement, Large Wild and Exotic Cats Make Dangerous Pets, at [http://www.aphis.usda.gov/animal\\_welfare/downloads/big\\_cat/position.pdf](http://www.aphis.usda.gov/animal_welfare/downloads/big_cat/position.pdf) (last visited July 20, 2014).

<sup>8</sup> Captive Wild Animal Protection Campaign, a Program of Global Federation of Animal Sanctuaries at <http://cwapc.org/resources/faqs/#sthash.BUOWkrik.dpbs> (last visited July 20, 2014).

in their natural habitats or at accredited facilities that have the appropriate knowledge and expertise to care for wild animals humanely and securely—not in the hands of unregulated individuals. According to one source there are an estimated “30,000 captive great cats, bears, wolves and other large carnivores living in substandard conditions throughout the U.S.”<sup>9</sup> Each year privately owned dangerous wild animals seriously injure or kill humans, including children, such as the ten-year-old North Carolina boy who was “mauled by his aunt’s 400-pound tiger that she kept in her backyard.”<sup>10</sup> In addition to the danger to public safety and the animals themselves, dangerous wild animals can cause harm to other animals and disrupt ecosystems.<sup>11</sup>

According to the Centers for Disease Control, wild animals carry diseases, such as Herpes B and salmonella, which harm and kill humans.<sup>12</sup> International experts in infectious diseases warn that “[m]ost emerging infectious diseases are zoonotic (contagious diseases spread between animals and humans) [and] wildlife constitutes a large and often unknown reservoir.”<sup>13</sup> One of the causes of the emergence of such diseases is the keeping of dangerous wild animals as pets.<sup>14</sup> A recent U.N. report indeed found that “seventy percent (70%) of the new diseases that have emerged in humans over recent decades are of animal origin.”<sup>15</sup>

Dangerous wild animals have complex needs and require highly specific care. The AVMA advises that anyone who owns a dangerous wild animal should be educated in animal husbandry, welfare, and safety.<sup>16</sup> However, several states that regulate ownership, such as Texas, still do not require any special training or relevant qualifications in animal husbandry before granting a permit to own a dangerous wild animal.<sup>17</sup> The humane treatment of dangerous wild animals also requires proper shelter and species-appropriate space, yet many state laws often require only a cage, a pen, or a room.<sup>18</sup>

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<sup>9</sup> The Wild Animal Sanctuary, Major Programs at <http://www.wildanimalsanctuary.org/aboutus/majorprograms.html> (last visited July 20, 2014).

<sup>10</sup> 2004 Legislative Review, 11 Animal Law 325, 337 (2005).

<sup>11</sup> Invasive species slithering around Florida, Washington Post, February 15, 2013 at [http://www.washingtonpost.com/national/health-science/invasive-species-slithering-around-florida/2013/02/15/a0e3daae-77d7-11e2-95e4-6148e45d7adb\\_graphic.html](http://www.washingtonpost.com/national/health-science/invasive-species-slithering-around-florida/2013/02/15/a0e3daae-77d7-11e2-95e4-6148e45d7adb_graphic.html) (last visited July 20, 2014).

<sup>12</sup> Nina Marano & G. Gale Galland, Animal-Associated Hazards, Centers for Disease Control and Prevention, at <http://wwwnc.cdc.gov/travel/yellowbook/2014/chapter-2-the-pre-travel-consultation/animal-associated-hazards> (last visited July 20, 2014).

<sup>13</sup> Chomel et al, *supra* note 7.

<sup>14</sup> *Id.*

<sup>15</sup> Food and Agriculture Organization of the United Nations, Surge in diseases of animal origin necessitates new approach to health – report, Dec. 16, 2013, at <http://www.fao.org/news/story/en/item/210621/icode/> (last visited July 20, 2014).

<sup>16</sup> AVMA, *supra* note 5.

<sup>17</sup> TEX. HEALTH & SAFETY CODE ANN. § 822.104.

<sup>18</sup> See e.g. TEX. HEALTH & SAFETY CODE ANN. 822.101(7)(“Primary enclosure” means any structure used to immediately restrict an animal to a limited amount of space, including a cage, pen, run, room, compartment, or hutch.”).

Responsible ownership also requires a significant financial commitment in order to provide proper food, medical care, and housing to these animals.<sup>19</sup> Current state laws that regulate ownership of dangerous wild animals do not require proof of financial ability to meet the needs of dangerous wild animals. Wisely, some states do require liability insurance to be carried by anyone possessing dangerous wild animals.<sup>20</sup> But liability insurance policies only cover harm to others, and do not address the care of the animal throughout the course of his or her lifetime.

State regulatory schemes vary considerably on requirements related to public safety, health and animal welfare. Federal law currently provides no protection for dangerous wild animals kept as pets.<sup>21</sup> Thus, the Section believes that the only way for government authorities to fully protect the public health and safety, and to eliminate animal welfare risks, is to prohibit the private ownership of dangerous wild animals.

### **Avoidable Tragedies**

#### *Zanesville, Ohio*

On January 6, 2011, Ohio's then-Governor Ted Strickland enacted a comprehensive Executive Order that prohibited the private "possession, sale, breeding and transfer of dangerous wild animals."<sup>22</sup> The order was prompted in part by the death of Brent Kandra, who died from over 600 wounds sustained in an attack while feeding black bears at a privately owned "exotic animal farm" in Columbia Station, Ohio.<sup>23</sup> Gov. Strickland's order put substantial restrictions on private possession, including: prohibiting the acquisition of any new animals; requiring all existing animals to be registered; and ordering facilities containing dangerous wild animals to be regularly inspected by state officials.<sup>24</sup> At the time Gov. Strickland's Executive Order was issued, Ohio was one of

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<sup>19</sup> Captive Wild Animal Protection Campaign, *supra* note 9.

<sup>20</sup> TEX. HEALTH & SAFETY CODE ANN. §822.107. LIABILITY INSURANCE. ("An owner of a dangerous wild animal shall maintain liability insurance coverage in an amount of not less than \$100,000 for each occurrence for liability for damages for destruction of or damage to property and death or bodily injury to a person caused by the dangerous wild animal.").

<sup>21</sup> Federal law currently only regulates interstate commerce in large cats and requires public exhibitors of dangerous wild animals to be licensed by the USDA.

<sup>22</sup> Ohio Executive Order 2010 17S, at <http://www.rexano.org/StatePages/execorder10-17s.pdf> (last visited June 7, 2014). Gov. Strickland's Executive Order suspended the regular rulemaking process and allowed the immediate, emergency adoption of Rule 1501:31-19-05 by the Ohio Department of Natural Resources Division of Wildlife).

<sup>23</sup> Joe Guillen, Outgoing Gov. Ted Strickland bans ownership of exotic animals, cites recent bear attack, *The Plain Dealer*, January 06, 2011 at [http://www.cleveland.com/open/index.ssf/2011/01/strickland\\_bans\\_ownership\\_of\\_e.html](http://www.cleveland.com/open/index.ssf/2011/01/strickland_bans_ownership_of_e.html) (last visited June 7, 2014).

<sup>24</sup> Ohio Administrative Code, Rule 1501:31-19-05, at [http://www.rexano.org/StatePages/OH\\_exotic\\_rule2011.pdf](http://www.rexano.org/StatePages/OH_exotic_rule2011.pdf) (last visited July 20, 2014). For a summary of the rules see Peggy Hall, Ohio Governor Issues Emergency Rule on Ownership of Wild Animals, January 7, 2011 at <http://ohioaglaw.wordpress.com/2011/01/07/ohio-governor-issues-emergency-rule-on-ownership-of-wild-animals/>.



seven states that had no regulation at all regarding the private possession of dangerous wild animals.<sup>25</sup>

When John Kasich assumed the Ohio Governorship in April 2011, he decided to let the existing Dangerous Wild Animals Executive Order expire.<sup>26</sup> His rationale was that the State did not have the right to regulate dangerous wild animals that were not native to Ohio—despite the fact that there had been no such challenge from any affected third party, and that similar prohibitions on possession already existed in many other states.<sup>27</sup> Indeed, “courts have almost universally upheld the validity of exotic pet regulations as a legitimate exercise of state police power that does not infringe on the constitutional protections of equal protection, due process, or takings.”<sup>28</sup>

Six months later, on October 18, 2011, convicted felon Terry Thompson of Zanesville, Ohio, who owned more than 50 large, dangerous wild animals, including tigers, lions, monkeys, and grizzly bears, cut the fences, released all the animals, and then took his own life.<sup>29</sup> As these suddenly freed animals made their way into the countryside, frantic 911 calls began pouring in to local authorities, who immediately closed local schools and flashed warning signs on interstate highways. When law enforcement officials arrived at the scene they quickly had to choose between using lethal force to stop the animals or risking harm to human life. With nightfall approaching the difficult decision was made, and over the next few hours police officers shot and killed 49 of the dangerous wild animals that Thompson had released. The final death tally included 18 Bengal Tigers, 17 Lions, 6 Black Bears, 2 Grizzly Bears, 3 Mountain Lions, 2 Wolves and 1 Baboon.<sup>30</sup>

What makes the Zanesville incident all the more tragic is that it was entirely preventable. Under Gov. Strickland’s Executive Order, Terry Thompson’s dangerous wild animals would have been confiscated as of May 1, 2011, due to his prior convictions for animal cruelty.<sup>31</sup> Such convictions would have disqualified him from the Order’s grandfather provisions for dangerous wild animals already in private possession at the time the Order

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<sup>25</sup> See the Humane Society of the United States, Ohio Rule issued to prohibit dangerous wild animals as pets, at [http://www.humanesociety.org/news/press\\_releases/2011/01/ohio\\_exotic\\_pet\\_rule\\_010611.html](http://www.humanesociety.org/news/press_releases/2011/01/ohio_exotic_pet_rule_010611.html) (last visited July 20, 2014).

<sup>26</sup> Bob Downing, Ohio will draft new rules for exotic animals; Kasich allows Strickland's executive order to lapse, Ohio.com April 7, 2011 at <http://www.ohio.com/news/ohio-will-draft-new-rules-for-exotic-animals-1.206485> (last visited July 20, 2014).

<sup>27</sup> Id.

<sup>28</sup> Matthew Liebman, Detailed Discussion of Exotic Pet Laws, Animal Legal and Historical Center 2004 at <http://www.animallaw.info/articles/ddusexoticpets.htm> (last visited June 7, 2014).

<sup>29</sup> ABC News Nightline, October 19, 2011, 11:35 - 12:00am EDT, <http://abcnews.go.com/US/zanesville-animal-massacre-included-18-rare-bengal-tigers/story?id=14767017>. Transcript at [https://archive.org/details/WJLA\\_20111020\\_033500\\_Nightline](https://archive.org/details/WJLA_20111020_033500_Nightline).

<sup>30</sup> The ones that got away: Sad survivors of exotic animal bloodbath after 'time bomb' private zoo owner opened the cages and shot himself, Daily Mail, October 21, 2011 at <http://www.dailymail.co.uk/news/article-2051418/Ohio-reserve-owner-Terry-Thompson-released-exotic-animals-killed-himself.html> (last visited July 20, 2014).

<sup>31</sup> Alan Johnson, Order that Kasich rejected would have barred man from having exotic animals, The Columbus Dispatch, October 19, 2011 at <http://www.dispatch.com/content/stories/local/2011/10/19/humane-society-head-wants-ohio-exotic-animal-ban.html> (last visited July 20, 2014).

was passed.<sup>32</sup> As a Muskingum County Deputy Sheriff pointedly told reporters, “I feel like me and the other deputies were forced into this situation due to Ohio’s lax laws in reference to exotic animals.”<sup>33</sup> The danger posed by Thompson’s private menagerie certainly was no secret to local law enforcement who had been called out to his property to investigate incidents related to the animals’ confinement and treatment on at least 27 occasions during just the previous 6 years: “16 times for reports of animals at large, 8 times for animal complaints, and 3 times for animal cruelty.”<sup>34</sup>

As a result of the Zanesville tragedy, the Ohio legislature eventually passed the Ohio Dangerous Wild Animals and Restricted Snakes Act<sup>35</sup>—the type of comprehensive regulation of the private possession of dangerous wild animals recommended in this Report. On December 20, 2012, the U.S. District Court for the Southern District of Ohio, Eastern Division, upheld that Act’s restrictions, ruling that “animals subject to the Act are dangerous and the Act is necessary to protect the general public.”<sup>36</sup> The court further held the plaintiffs had only “limited property interest in their exotic animals or dangerous wild animals (as described in the Act), such that a fundamental constitutional right is not implicated.”<sup>37</sup>

### *Stamford, Connecticut*

Another recent high-profile calamity involved a 55-year old Connecticut woman, Charla Nash, who was brutally attacked by her neighbor’s pet chimpanzee. Nash’s face was almost entirely torn and bitten off. The victim was left permanently disfigured, had both of her hands amputated, and also contracted a virus from the chimpanzee that required her eyes to be removed. She currently resides in a nursing home. Prior to the attack, Connecticut prohibited private possession of certain species of dangerous wild animals, but did not restrict primates—an example of the pressing need for more comprehensive state laws. Nash settled a case against the chimpanzee owner’s estate for \$4 million, but her claim against the State of Connecticut for failing to prohibit and protect the public from privately held dangerous primates was denied due to the state’s sovereign immunity law.<sup>38</sup>

## **Current Legal Regime**

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<sup>32</sup> Rule 1501:31-19-05 §B(2), supra note 25 (stating that exemptions do not apply to any person who has “been convicted of an offense involving the abuse or neglect of any animal pursuant to any state, local, or federal law.”)

<sup>33</sup> ABC News Nightline, supra note 30.

<sup>34</sup> Owner Of Released Wild Animals ‘Was An Unusual Fella’ Says The Mayor Of Zanesville, Oct. 19, 2011 at <http://radaronline.com/exclusives/2011/10/wild-animals-owner-terry-thompson-unusual-fellow-says-mayor-zanesville/> (last visited July 20, 2014).

<sup>35</sup> Ohio Rev. Code §935.01-99, enacted June 6, 2012.

<sup>36</sup> Wilkins v. Daniels, Slip Copy, 2012 WL 6644465 (S.D. Ohio, 2012).

<sup>37</sup> Id. at 17.

<sup>38</sup> Sasha Goldstein, Charla Nash, mauled by Travis the chimp, denied the right to sue Connecticut for \$150M, NY Daily News, April 2, 2014, at <http://www.nydailynews.com/news/national/charla-nash-mauled-bychimp-denied-sue-conn-150m-article-1.1743457> (last visited July 20, 2014).

#### a) Federal Laws

Congress and the U.S. Fish and Wildlife Service have attempted to partially regulate the possession of dangerous wild animals by prohibiting interstate trade in certain species.<sup>39</sup> Although this approach has reduced the interstate movement of these animals it has not kept dangerous wild animals entirely out of private hands.<sup>40</sup> Accordingly, in July of 2014, the U.S. Senate Committee on Environment & Public Works recently held a hearing on the Big Cats and Public Safety Protection Act (S.1381, 2013).<sup>41</sup> Consistent with this Recommendation and Report, S.1381 would amend the Lacey Act to federally prohibit all future private possession and breeding of lions, tigers, and other big cats nationwide. It also would require current big cat owners to register their animals. While this would be a positive step in the proper direction, it still only would apply to large cats and not any of the other categories of dangerous wild animals.

#### b) State Laws

With no federal laws directly addressing the private possession of dangerous wild animals in the U.S., the issue currently is governed by an inconsistent regulatory patchwork of state and local laws. Twenty-one states and Washington, D.C. already prohibit the possession of some wild animals (big cats, bears, wolves, non-human primates, and most dangerous reptiles).<sup>42</sup> Another thirteen states ban some, but not all, of these species.<sup>43</sup> Eleven other states allow private possession but regulate the keeping of these animals by requiring a permit.<sup>44</sup> However, five U.S. states still have absolutely no laws regulating the possession of dangerous wild animals.<sup>45</sup>

The following are the central elements of existing laws (legislation and/or regulations):

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<sup>39</sup> See U.S. Fish & Wildlife Service, *Captive Wildlife Safety Act: What Big Cat Owners Need to Know* at <http://www.fws.gov/le/pdf/CaptiveWildlifeSafetyActFactsheet.pdf> (last visited July 20, 2014); U.S. Fish & Wildlife Service, *Questions and Answers Listing of Four Non-native Snake Species as Injurious Under the Lacey Act* at [http://www.fws.gov/injuriouswildlife/pdf\\_files/Four\\_snakes\\_QsAs.final.pdf](http://www.fws.gov/injuriouswildlife/pdf_files/Four_snakes_QsAs.final.pdf) (last visited July 24, 2014). Congress is currently considering the *Captive Primate Safety Act* (H.R.2856 / S. 1463), which would extend these same interstate trade restrictions to monkeys, apes and other primates.

<sup>40</sup> The Wild Animal Sanctuary, *supra* note 10.

<sup>41</sup> S.1381, "To amend the Lacey Act Amendments of 1981 to clarify provisions enacted by the Captive Wildlife Safety Act, to further the conservation of certain wildlife species, and for other purposes." 113<sup>th</sup> Congress, 1<sup>st</sup> Session, introduced July 29, 2013.

<sup>42</sup> Alaska, California, Colorado, Georgia, Hawaii, Illinois, Iowa, Kentucky, Massachusetts, Maryland, Montana, New Hampshire, New Jersey, New Mexico, New York, Ohio, Oregon, Utah, Vermont, Washington, and West Virginia. For direct links to the various state laws governing private possession of dangerous wild animals, see *Summary of State Laws Relating to Private Possession of Exotic Animals, Born Free USA* at [http://www.bornfreeusa.org/b4a2\\_exotic\\_animals\\_summary.php](http://www.bornfreeusa.org/b4a2_exotic_animals_summary.php) (last visited July 20, 2014). For a comprehensive list of all state laws on the subject, see *Possession of Wild Animals: Related Statutes*, Animal Legal & Historical Center at <http://www.animallaw.info/statutes/topicstatutes/sttopwa.htm> (last visited July 20, 2014).

<sup>43</sup> Arizona, Arkansas, Connecticut, Florida, Kansas, Louisiana, Maine, Michigan, Minnesota, Nebraska, Tennessee, Virginia and Wyoming.

<sup>44</sup> Delaware, Idaho, Indiana, Mississippi, Missouri, North Dakota, Oklahoma, Pennsylvania, Rhode Island, South Dakota, and Texas.

<sup>45</sup> Alabama, Nevada, North Carolina, South Carolina, and Wisconsin.

- 1) Degrees of regulation (from outright ban, to mere registration, to little or no regulation);
- 2) Animals covered by the law (big cats, wolves, bears, venomous reptiles, alligators and crocodiles, and non-human primates are the most common);
- 3) Exempted entities;
- 4) Grandfather clauses and their requirements;
- 5) Punishment for violations (this can range from imprisonment to fines as much as \$2,000 per animal per day, as well as the mandatory seizure of animals and court-imposed financial responsibility for the cost of such seizure and care); and,
- 6) Requirements to carry mandatory liability insurance.

### **Public Safety Risks**

Since 1990, there have been more than 1,200 dangerous incidents involving captive big cats, bears, primates, and large constrictor snakes nationwide, resulting in more than 40 human deaths (including eight children) and nearly 700 other persons injured.<sup>46</sup>

Deaths from large constrictor snake incidents in the United States include one person who suffered a heart attack during a violent struggle with his python, and a woman who died from a Salmonella infection (reptiles especially pose the threat of such infections as discussed below).<sup>47</sup> Scores of adults and children have been injured in attacks by these deadly predators. Children, parents, and authorities are finding released or escaped pet pythons, boa constrictors, and anacondas all over the country, where they endanger communities, threaten ecosystems, and in many cases suffer tragic deaths.<sup>48</sup>

Monkeys are the most common non-human primates to be privately held.<sup>49</sup> After the age of two, though, monkeys tend to exhibit unpredictable behavior—the males can become aggressive, and both males and females often bite to defend themselves or establish dominance.<sup>50</sup>

Just since January 2013, there have been over a dozen dangerous attacks involving big cats, including at least two incidents during which big cat handlers were killed.<sup>51</sup> A few of these dangerous encounters from the past year include:

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<sup>46</sup> Dangerous Exotic Pets: Big Cats, Humane Society of the United States, May 24, 2013 at [http://www.humanesociety.org/issues/exotic\\_pets/facts/dangerous-exotic-pets-big-cats.html](http://www.humanesociety.org/issues/exotic_pets/facts/dangerous-exotic-pets-big-cats.html) (last visited July 20, 2014).

<sup>47</sup> Dangerous Exotic Pets: Snakes, Humane Society of the United States, May 24, 2013 at [http://www.humanesociety.org/issues/exotic\\_pets/facts/dangerous-exotic-pets-constrictor-snakes.html](http://www.humanesociety.org/issues/exotic_pets/facts/dangerous-exotic-pets-constrictor-snakes.html) (last visited July 20, 2014).

<sup>48</sup> Washington Post, *supra* note 12.

<sup>49</sup> Nicole Paquette, Hearing Statement, U.S. Senate Committee on Environment & Public Works, June 16, 2003 at [http://www.epw.senate.gov/hearing\\_statements.cfm?id=213174](http://www.epw.senate.gov/hearing_statements.cfm?id=213174) (last visited July 20, 2014).

<sup>50</sup> *Id.*

<sup>51</sup> Big Cat Attacks, Big Cat Rescue at <http://bigcatrescue.org/big-cat-attacks/> (last visited July 20, 2014). A state-by-state spreadsheet of all big cat attacks since 1990 is available at [https://docs.google.com/file/d/0B5WZ\\_cVR\\_hJQQmpPY2VBNDdjQTQ/edit](https://docs.google.com/file/d/0B5WZ_cVR_hJQQmpPY2VBNDdjQTQ/edit) (last visited July 20, 2014).

- October 25, 2013 (Wynnewood, OK), a tiger severed the arm of an employee at a roadside zoo.<sup>52</sup>
- June 21, 2013 (Clay County, IN), a woman was severely mauled by a tiger while cleaning a cage. She was admitted to the intensive care unit at a local hospital where she was listed in critical condition.<sup>53</sup>
- April 21, 2013 (Salina, KS), a woman found a tiger in a restroom after the cat had escaped handlers at a Shrine Circus.<sup>54</sup>
- March 6, 2013 (Dunlap, CA), a woman was fatally mauled by a lion while cleaning its enclosure.<sup>55</sup>

The legal liability and insurance issues related to such attacks are substantial.

### Zoonotic Disease Risks

Another clear risk to humans posed by contact with dangerous wild animals is the transfer of animal diseases to humans. Examples include salmonella from reptiles, tuberculosis and Herpes B from primates, as well as polio, rabies, and parasites.<sup>56</sup> The Centers for Disease Control estimates that every year 70,000 people contract salmonella from pet reptiles.<sup>57</sup> Herpes B, also known as “monkey B” virus, can cause severe neurologic impairment or fatal encephalomyelitis if not treated.<sup>58</sup> Due to the hazards posed by the transmission of such zoonotic diseases, the American Veterinary Medical Association,<sup>59</sup> National Association of State Public Health Veterinarians,<sup>60</sup> Association of Zoos and Aquariums,<sup>61</sup> Centers for Disease Control and Prevention,<sup>62</sup> and United States Department of Agriculture<sup>63</sup> all have official policy statements condemning the private possession of certain species of dangerous wild animals.

<sup>52</sup> Sarah Stewart, NEW: 911 call released on tiger attack at GW Exotic Animal Park, Oct. 8, 2013, at <http://kfor.com/2013/10/06/wynnewood-zoo-worker-to-undergo-surgery-monday-after-tiger-bite/> (last visited July 20, 2014).

<sup>53</sup> Gillian Mohny, Indiana Woman Mauled by Tiger, ABC News, June 22, 2013 at <http://abcnews.go.com/US/tiger-attack-leaves-indiana-woman-condition/story?id=19464198> (last visited July 20, 2014).

<sup>54</sup> Jenna Krehbiel, Kansas Woman, Finds Tiger In Bathroom At The Isis Shrine Circus In Salina, AP April 22, 2013 at [http://www.huffingtonpost.com/2013/04/23/jenna-krehbiel-salina-kansas-tiger-circus\\_n\\_3139437.html](http://www.huffingtonpost.com/2013/04/23/jenna-krehbiel-salina-kansas-tiger-circus_n_3139437.html) (last visited July 20, 2014).

<sup>55</sup> Lateef Mungin and Cristy Lenz, Worker Mauled to Death by Lion at California Facility, CNN March 7, 2013 at <http://www.cnn.com/2013/03/06/us/california-lion-attack/> (last visited July 20, 2014).

<sup>56</sup> Marano et al, supra note 13.

<sup>57</sup> Centers for Disease Control and Prevention, at <http://www.cdc.gov/healthypets/pets/reptiles.html> (last visited July 20, 2014).

<sup>58</sup> Centers for Disease Control and Prevention, B Virus (herpes B, monkey B virus, herpesvirus simiae, and herpesvirus B) at <http://www.cdc.gov/herpesvirus/signs-symptoms.html> (last visited July 20, 2014).

<sup>59</sup> AVMA, supra note 5.

<sup>60</sup> Comments from the National Association of State Public Health Veterinarians (NASPHV) on “Proposed Revision of HHS/CDC Animal-Importation Regulations” at <http://www.nasphv.org/Documents/CorrespondenceANPRM-Exotic.pdf> (last visited July 20, 2014).

<sup>61</sup> AZA, supra note 4.

<sup>62</sup> Stephanie R. Ostrowski et al, B-virus from Pet Macaque Monkeys: An Emerging Threat in the United States?, March 1998 at [http://wwwnc.cdc.gov/eid/article/4/1/98-0117\\_article](http://wwwnc.cdc.gov/eid/article/4/1/98-0117_article) (last visited July 20, 2014).

<sup>63</sup> USDA, supra note 8.

## Animal Welfare Concerns

It is difficult to ensure the basic welfare of dangerous wild animals in private possession even when that possession is regulated. Dangerous wild animals in private possession often are kept in poor conditions and subjected to de-fanging and de-clawing surgeries that leave them deformed and vulnerable to infections.<sup>64</sup> In October 2003, officials even discovered a 400-pound pet tiger and a 3-foot pet caiman living within the confines of a single New York City public housing apartment!<sup>65</sup>

Another related problem is the frequency of abandonment when such animals become too large or unmanageable for untrained and unprepared private individuals to handle. Financial costs also play a role in the quality of care an animal receives. For example, wildlife officials raided the home of one private dangerous wild animal breeder to discover 90 tiger carcasses, “including big cats that had been tied to car bumpers and starved cubs in a freezer.”<sup>66</sup> Some estimates calculate that as many as 90 percent of reptiles die within their first 2 years of captivity.<sup>67</sup>

## Weak Laws, Loopholes, and Lack of Regulation

Weak laws fuel illegal trafficking. David Braun of National Geographic calls captive tigers a “ticking time bomb for the illegal wildlife trade.”<sup>68</sup> He reports that it is estimated that there are more than 5,000 privately owned tigers in captivity, far more than remain in the wild. While the U.S. supports conservation of endangered species, the combination of weak federal regulations, delegation of responsibility to the states, and thousands of tigers being kept in captivity, all open the door to the international black market for tiger parts.<sup>69</sup>

The Captive Wildlife Safety Act, passed by the U.S. Congress in 2003, makes it “illegal to import, export, buy, sell, transport, receive or acquire certain live big cats across state lines or the U.S. border.”<sup>70</sup> However, there are several loopholes that allow violators to circumvent this federal law—and at the state level there is little regulation at all of sales

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<sup>64</sup> USDA, Information Sheet on Declawing and Tooth Removal, August 2006 at [http://www.aphis.usda.gov/animal\\_welfare/downloads/big\\_cat/declaw\\_tooth.pdf](http://www.aphis.usda.gov/animal_welfare/downloads/big_cat/declaw_tooth.pdf) (last visited July 20, 2014).

<sup>65</sup> Lydia Polgreen and Jason George, Adult tiger evicted from Harlem public housing, October 6, 2003 at <http://www.sfgate.com/crime/article/Adult-tiger-evicted-from-Harlem-public-housing-2554345.php> (last visited July 20, 2014).

<sup>66</sup> Liebman, *supra* note 29.

<sup>67</sup> James M. Green, International Trade in Wild-Caught Reptiles, Animal Legal & Historical Center 2005 at <http://www.animallaw.info/articles/ddusitwr.htm> (last visited July 20, 2014).

<sup>68</sup> David Braun, America’s 5,000 Backyard Tigers a Ticking Time Bomb, WWF Says, National Geographic October 21, 2010 at [http://newswatch.nationalgeographic.com/2010/10/21/americas\\_5000\\_backyard\\_tigers/](http://newswatch.nationalgeographic.com/2010/10/21/americas_5000_backyard_tigers/) (last visited July 20, 2014).

<sup>69</sup> *Id.*

<sup>70</sup> U.S. Fish & Wildlife Service, *supra* note 40.

that do not involve interstate commerce. The issue of supplying dangerous wild animals to those who seek to possess them poses its own hazards for the welfare and existence of these creatures, as many die while being smuggled into the U.S. for sale.<sup>71</sup>

Wild and exotic animal auctions are a primary source of dangerous wild animals for individuals seeking to purchase them for private possession. Many of these auctions are completely unregulated, and only three U.S. states even require the mere collection of the names and addresses of those purchasing or selling dangerous wild animals at auctions.<sup>72</sup>

Revisiting the Zanesville tragedy, it is not coincidental that one of the largest auctions of dangerous wild animals regularly takes place in Ohio.<sup>73</sup> The Mid-Ohio Alternative Animal and Bird Sale in Mt. Hope, Ohio typically offers more than 100 different species of wild animals for sale, which until 2010 included primates, bears, tigers, lions, wolves, bison, camels, zebras, and giraffes.<sup>74</sup> These dangerous wild animals could be bought on a cash and carry basis, all with zero paperwork required to document the purchaser's identity or the type of animal acquired.<sup>75</sup> In Missouri, the Lolli Bros. Livestock Market continues to sell big cats and bears as long as they are under 6 months of age.<sup>76</sup> Currently only 10 states have laws regulating wild and exotic animal auctions, and Alabama is the only state with an outright ban.<sup>77</sup> These auctions provide an unregulated supply of animals that helps fuel the trade in dangerous wild animals.

The Internet is another unregulated source of dangerous wild animals.<sup>78</sup> Virtually any type of animal can be purchased without any legal oversight or background checks. Beyond the many websites of breeders and retailers, such as [www.buytigers.com](http://www.buytigers.com), [www.exoticcatsrus.com](http://www.exoticcatsrus.com), and [www.aplusexotics.com](http://www.aplusexotics.com), there even is a large, eBay-style, peer-to-peer website where private individuals can trade in dangerous wild animals without any regulation, oversight, or records.

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<sup>71</sup> Liebman, *supra* note 29.

<sup>72</sup> See *Laws Relating to Exotic Animal Auctions, Born Free USA* at [http://www.bornfreeusa.org/b4a2\\_exoticauctions.php](http://www.bornfreeusa.org/b4a2_exoticauctions.php) (last visited July 20, 2014).

<sup>73</sup> Ohio is the Wall Street of the U.S. exotic animal trade, October 19, 2011 at <http://animaltourism.com/news/2011/10/19/zanesville> (last visited July 20, 2014).

<sup>74</sup> Dennis Cauchon and Dan Vergano, Ohio county must decide what will happen to exotic animals, October 21, 2011 at <http://usatoday30.usatoday.com/news/nation/2011-10-20-zanesville-ohio-exotic-animals.htm> (last visited July 20, 2014).

<sup>75</sup> Scott, *supra* note 3. See also, *The Dirty Side of the Exotic Animal Pet Trade, Born Free USA*, June 15 2003 at <http://www.bornfreeusa.org/articles.php?more=1&p=180> (last visited July 20, 2014).

<sup>76</sup> <http://www.lollibros.com/ExoticSales/Nursery/tabid/58/Default.aspx> (last visited July 20, 2014). See also Sarah Maslin Nir, *A Tighter Leash on Exotic Pets*, *New York Times*, January 10, 2012 at <http://www.nytimes.com/2012/01/11/us/exotic-animals-business-faces-restrictions.html?pagewanted=all> (last visited July 20, 2014).

<sup>77</sup> *Born Free USA supra* note 73.

<sup>78</sup> Amelia Glynn, *Pet lions and tigers and bears? Oh my!*, (April 7, 2011) at <http://blog.sfgate.com/pets/2011/04/07/pet-lions-and-tigers-and-bears-oh-my/> (last visited on July 20, 2014).

Any legislative or regulatory attempt to stem the proliferation of privately possessed dangerous wild animals must address the unregulated nature of auctions and online purchase sites.

**Factors to be considered in enacting laws** Legislative bodies or governmental agencies seeking to enact or revise regulations on private possession of dangerous wild animals should consider the following provisions:

- a. Define the dangerous wild animals to be covered in the legislation;
- b. Prohibit all new possession and breeding of dangerous wild animals as pets;
- c. Prohibit all sales and transfers of existing dangerous wild animals, except as otherwise authorized within the law;
- d. Define the list of entities to be exempted from coverage of the law;
- e. Prohibit continued possession of dangerous wild animals by individuals who have been convicted of abuse or neglect of any animal pursuant to any state, local, or federal law, or who have been convicted of a felony;
- f. Allow other current owners to keep the animals they currently possess (grandfather clauses), but protect those grandfathered animals by giving officials the authority to regulate possession and to inspect the animals' living conditions and care they receive;
- g. Require placement of seized animals at accredited institutions; and,
- h. Require adequate liability insurance to be carried by any individuals or entities allowed to maintain possession of dangerous wild animals.

## **Conclusion**

Dangerous wild animals do not make good pets. Only through thorough regulation can there exist a uniform U.S. legal regime that safeguards the public, protects animals, allocates legal liability and insurance risk properly, furthers a policy of respect for nature, and considers the interests of present and future generations in accordance with the goals of the American Bar Association.

Michael Drumke, Chair  
Tort Trial and Insurance Practice Section  
February 2015



## APPENDIX A:

### Key Provisions to Include in Any Policy Reform Regulating the Keeping of Dangerous Wild Animals

To access Appendix A online, please use this link:

[http://www.americanbar.org/content/dam/aba/administrative/tips/ALCDWAAAppendix\\_HODTIPSale2015.pdf](http://www.americanbar.org/content/dam/aba/administrative/tips/ALCDWAAAppendix_HODTIPSale2015.pdf)

Dangerous wild animal generally refers to any native or non-native non-domesticated species capable of inflicting serious bodily injury, illness, or death to a person or domestic animal. Legislation and regulations should clearly define dangerous wild animal. At a minimum, “dangerous wild animal” (“DWA”) should be defined as the following types of animals that are held in captivity, and any or all hybrids of these species:

1. Class Mammalia
  - a. Order Carnivora
    - i. Family Canidae: captive-bred red wolves (*Canis rufus*) and gray wolves (*Canis lupus*).
    - ii. Family Felidae: lions (*Panthera leo*), tigers (*Panthera tigris*), leopards (*Panthera pardus*), clouded leopards (*Neofelis nebulosa*, *Neofelis diardi*), snow leopards (*Panthera uncia*), jaguars (*Panthera onca*), cheetahs (*Acinonyx jubatus*), captive-bred mountain lions (*Puma concolor*).
    - iii. Family Hyaenidae: all species of hyena and aardwolf.
    - iv. Family Ursidae: Asiatic Black Bears (*Ursus thibetanus*), captive-bred American black bears (*Ursus americanus*), Brown Bears (*Ursus arctos*), Polar Bear (*Ursus maritimus*), Sloth Bears (*Melursus ursinus*), Sun Bears (*Helarctos malayanus*), Giant Panda Bears (*Ailuropoda melanoleuca*), Spectacled Bears (*Tremarctos ornatus*), including hybrids thereof.
    - v. Family Procyonidae: all species, excluding raccoons (*Procyon lotor*).
  - b. Order Primates: all species, excluding humans.
2. Class Reptilia
  - a. Order Crocodylia: all species of alligators, crocodiles, caimans, gharials.
  - b. Order Squamata –
    - i. Family Atractaspidae: all species, such as mole vipers.
    - ii. Family Boidae: anacondas (Genus *Eunectes*), boa constrictors (*Boa constrictor*), Burmese pythons (*Python molurus*), reticulated pythons (*Python reticulatus*), amethystine pythons (*Morelia amethystinus*), scrub pythons (*Morelia kinghorni*), Northern

African pythons (*Python sebae*), Southern African pythons (*Python natalensis*).

- iii. Family Colubridae: boomslangs (*Dispholidus typus*), twig snakes (Genus *Thelotornis*).
- iv. Family Elapidae: all species, such as cobras, mambas, and coral snakes.
- v. Family Hydrophiidae: all species, such as sea snakes.
- vi. Family Viperidae: all species, such as rattlesnakes, pit vipers, and puff adders.

Exemptions should be considered carefully, as they can defeat the purpose of an otherwise strong law. Reasonable exemptions make certain that only sufficiently qualified, professionally run facilities with sufficient knowledge, experience, and resources are allowed to possess dangerous wild animals. This ensures that dangerous wild animals with unique and complex needs are provided appropriate, humane, safe, and long-term care. Exemptions should be limited to:

1. Zoos and aquariums accredited by the Association of Zoos and Aquariums (AZA).
2. Sanctuaries accredited by the Global Federation of Sanctuaries or wildlife sanctuaries defined as a nonprofit organization that:
  - Operates a place of refuge where abused, neglected, unwanted, impounded, abandoned, orphaned, or displaced animals are provided care for the lifetime of the animal;
  - Does not conduct any commercial activity with respect to dangerous wild animals, including, sale, trade, auction, lease, or loan, and does not use dangerous wild animals in any manner in a for-profit business;
  - Does not use dangerous wild animals for entertainment purposes or in a traveling exhibit;
  - Does not breed any dangerous wild animals; and,
  - Does not allow members of the public the opportunity to come into physical contact with dangerous wild animals.
3. Law enforcement and animal control authorities.
4. Licensed veterinary hospitals for the purpose of providing veterinary care.
5. Humane societies and animal shelters temporarily housing a Dangerous Wild Animal at the written request of law enforcement officers.
6. Research institutions, laboratories, and testing facilities.
7. Circuses that possess a class C license under the federal Animal Welfare Act, that are temporarily in the state, and that offer performances by live animals, clowns, and acrobats for public entertainment.
8. A person temporarily transporting a legally owned dangerous wild animal through the state if the transit time is not more than 24 hours.

Existing dangerous wild animals should be grandfathered so that people who currently have these animals can keep them for the remainder of the owners' lives, but breeding and new acquisitions of dangerous wild animal species should be prohibited. Current owners may be required to obtain a license or permit, register the animals, and comply

with certain containment, husbandry, veterinary care, handling, and other requirements. If budgetary constraints prevent inspections or comprehensive oversight, current owners may simply be required to retain proof of ownership prior to the effective date of the law

## GENERAL INFORMATION FORM

Submitting Entity: Tort Trial and Insurance Practice Section

Submitted By: Michael Drumke, Chair

1. Summary of Resolution(s).

The Resolution urges all federal, state, territorial, and local legislative bodies and/or governmental agencies to enact comprehensive laws that prohibit the private possession, sale, breeding, import, or transfer of dangerous wild animals, such as big cats, bears, wolves, primates, and dangerous reptiles, in order to protect public safety and health, and to ensure the humane treatment and welfare of such animals.

2. Approval by Submitting Entity.

TIPS Council voted to support the resolution and report on August 8, 2014.

3. Has this or a similar resolution been submitted to the House or Board previously?

No

4. What existing Association policies are relevant to this Resolution and how would they be affected by its adoption?

ABA Resolution 10B August, 1991 urges all nations to “adopt and implement appropriate measures to ensure that activities within its jurisdiction or control will be conducted with respect for Nature, and in a manner that accounts for the interests of present and future generations.”

5. If this is a late report, what urgency exists which requires action at this meeting of the House?

N/A

6. Status of Legislation. (If applicable)

There is currently no legislation related to this resolution.

7. Brief explanation regarding plans for implementation of the policy, if adopted by the House of Delegates. The Resolution will be used to support legislative efforts to strengthen laws governing private possession of dangerous wild animals in those jurisdictions that still inadequately regulate such possession.

8. Cost to the Association. (Both direct and indirect costs)

None.

9. Disclosure of Interest. (If applicable)

N/A

10. Referrals.

IR&R

Real Property

Admin Law

Environment, Energy Resources

Health Law

International Law

Science and Technology

State and Local Government

YLD

11. Contact Name and Address Information. (Prior to the meeting. Please include name, address, telephone number and e-mail address)

Chris Green, Director of Legislative Affairs

Animal Legal Defense Fund

170 E. Cotati Ave.

Cotati, CA 94931

Cell: (312) 543-1876

Email: cgreen@aldf.org

12. Contact Name and Address Information. (Who will present the report to the House? Please include name, address, telephone number, cell phone number and e-mail address.)

Holly M. Polglase, TIPS Delegate

Hermes, Netburn, O'Connor & Spearing, P.C.

265 Franklin Street, 7th Floor

Boston, MA 02110

Phone: (617) 210-7780

Cell: (617) 981-3054

Email: hpolglase@hermesnetburn.com

## EXECUTIVE SUMMARY

### 1. Summary of the Resolution

The Resolution urges all federal, state, territorial, and local legislative bodies and/or governmental agencies to enact comprehensive laws that prohibit the private possession, sale, breeding, import, or transfer of dangerous wild animals, such as big cats, bears, wolves, primates, and dangerous reptiles, in order to protect public safety and health, and to ensure the humane treatment and welfare of such animals.

### 2. Summary of the Issue that the Resolution Addresses

Since 1990, there have been more than 1,200 dangerous incidents involving captive big cats, bears, primates, and large constrictor snakes nationwide, resulting in more than 40 human deaths (including eight children) and nearly 700 injuries. With no federal laws directly addressing the private possession of dangerous wild animals in the U.S., the issue currently is governed by an inconsistent regulatory patchwork of state and local laws. Twenty-one states and Washington, D.C. already prohibit the possession of some wild animals (big cats, bears, wolves, non-human primates, and most dangerous reptiles). Another thirteen states ban some, but not all, of these species. Eleven other states allow private possession but regulate the keeping of these animals by requiring a permit. However, five U.S. states still have absolutely no laws regulating the possession of dangerous wild animals.

### 3. Please Explain How the Proposed Policy Position will address the issue

The proposed policy position urges all federal, state, territorial, and local legislative bodies and/or governmental agencies to enact comprehensive laws that prohibit the private possession, sale, breeding, import, or transfer of dangerous wild animals. By encouraging such legislative action the proposed policy position will assist implementation of a uniform U.S. legal regime that safeguards the public, protects animals, allocates legal liability and insurance risk properly, furthers a policy of respect for nature, and considers the interests of present and future generations in accordance with the goals of the American Bar Association.

### 4. Summary of Minority Views

It was asked that an exemption for assistance monkeys be included in the Report. However, the American Veterinary Medical Association (AVMA) has a formal policy position stating, "The AVMA does not support the use of nonhuman

primates as assistance animals because of animal welfare concerns, the potential for serious injury, and zoonotic risks.” Furthermore, in 2011, the Department of Justice removed monkeys from the definition of service animals covered by the Americans with Disabilities Act (ADA). This was a deliberate move to close a loophole that many primate owners were exploiting to flout restrictions on owning dangerous wild animals.

Because assistance monkeys (trained or untrained) are no longer recognized as service animals by the Department of Justice under the ADA, and because the American Veterinary Medical Association also officially opposes the practice, we believe it would not be appropriate to recommend that these animals be exempted from future laws prohibiting private possession of dangerous wild animals.

**From:** Adams, Trista [tadams@feldinc.com]  
**Sent:** Friday, April 17, 2015 12:09 PM  
**To:** Board of Supervisors, (BOS)  
**Subject:** Opposition to 150191  
**Attachments:** SF Board of Supervisors Oppositionto 150191.pdf

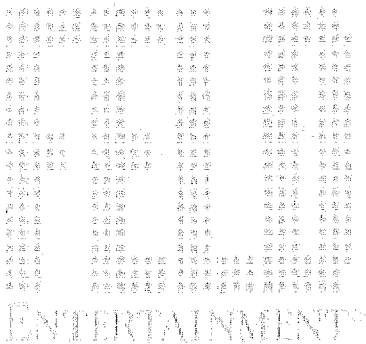
Dear Board of Supervisors,

Feld Entertainment, Inc. ("Feld") is the world's leading producer of live family entertainment spectaculars Ringling Bros. and Barnum & Bailey® Circus, Marvel Universe Live, Disney On Ice, Disney Live! and Feld Motor Sports® events, including Monster Jam® and Monster Energy® Supercross.

We are writing to express our opposition to Ordinance Number 150191, which would amend the Health Code to prohibit the performance of wild or exotic animals for public entertainment or amusement. Please find our formal letter of opposition attached for the record. If you have any questions, please do not hesitate to contact me.

Thank you,

**Trista Adams**  
**Government Relations**  
**Feld Entertainment Inc.**  
**8607 Westwood Center Drive**  
**Vienna, VA 22182**  
**Ph: (703) 448-4029**  
**[tadams@feldinc.com](mailto:tadams@feldinc.com)**





ENTERTAINMENT, INC.  
1000 CALIFORNIA STREET, SUITE 1000  
SAN FRANCISCO, CALIFORNIA 94109  
TEL: 415.774.8000 FAX: 415.774.8001  
WWW.ENTERTAINMENT.COM

ENTERTAINMENT, INC.

April 14, 2015

VIA ELECTRONIC MAIL

San Francisco Board of Supervisors  
San Francisco City Hall  
1 Dr. Carlton B. Goodlett Place, Room 244  
San Francisco, CA 94102-4689

Re: Opposition to Ordinance Number 150191

Dear Board of Supervisors:

Feld Entertainment, Inc. ("Feld") is the world's leading producer of live family entertainment spectacles *Ringling Bros. and Barnum & Bailey® Circus*, *Marvel Universe Live*, *Disney On Ice*, *Disney Live!* and *Feld Motor Sports®* events, including *Monster Jam®* and *Monster Energy® Supercross*.

We are writing to express our opposition to Ordinance Number 150191, which would amend the Health Code to prohibit the performance of wild or exotic animals for public entertainment or amusement.

*Ringling Bros.* is the oldest and largest traveling exhibitor of live animals in the United States, currently consisting of three separate circus units that include Asian elephants, big cats (lions, tigers, leopards) and a variety of other exotic and domestic animals. In 2015, *Ringling Bros.* will make its annual visit to the state of California, performing in ten (10) cities over a period of approximately sixty (80) days. Though we do not perform in the City of San Francisco, we do regularly perform at the nearby Cow Palace in Daly City, California with our next contracted engagement this September.

At *Ringling Bros.* we have over 145 years of experience working with exotic and domestic animals, including extensive practical and scientific knowledge of animal behavior, social structure, and veterinary needs. We are committed to providing each of our animals the highest standards of care in all respects, as demonstrated by the level of resources and time that we devote to proper handling, training and veterinary care. Our team of full-time veterinarians, veterinary technicians and animal caregivers oversee all aspects of the animals' care and well-being. Several of our veterinarians are board certified in multiple disciplines and together, they possess over 75 years of exotic animal medicine experience. We also have on-call veterinarians in every city that we visit, and many of these are zoo vets with years of exotic animal medicine experience.

There are multiple layers of laws and regulations currently in place that govern the safe and humane display and management of exotic and wild animals. The federal Animal Welfare Act (AWA), which was signed into law in 1966, regulates the treatment of animals in research, exhibition, transport, commerce, and by dealers. The United States Department of Agriculture (USDA) licenses circuses, zoos, and other animal facilities in accordance with the AWA. AWA regulations are comprehensive and address a variety of topics including public and animal safety standards. *Ringling Bros.*, like other licensed exhibitors, is subject to unannounced inspections by USDA to ensure compliance with the AWA and its regulations.

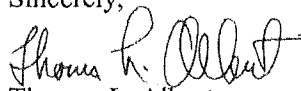
Further, we think the ordinance may run afoul of the U.S. and California Constitutions. First, the proposed ordinance violates the right to freedom of speech. Circuses are an art form steeped in tradition, rich in history and recognized as culturally significant, and the circus itself is a lawful activity. To prohibit licensed exhibitors from conducting their performance with any animal, wild or domestic, just because some portion of society prefers a different form of entertainment is nothing less than censorship. Second, all federally licensed exhibitors, whether they be traveling or stationary are subject to the same AWA regulations and inspections, i.e. they are required to meet the same federal standards. By prohibiting only traveling exhibitors only and exempting zoos and other stationary facilities even though they may have the same animals and be engaged in the exact same kinds of activities, e.g., shows, we believe that the ordinance may be an unlawful restraint on interstate commerce.

Circuses and other traveling animal exhibitors are also subject to state and local laws which provide protection to all performing animals. California Health and Safety Code Section 25989.1 requires any traveling circus to notify animal control services for each city and/or county in which the circus intends to perform at least fourteen (14) days prior to the first performance. It also requires all traveling circuses to provide animal control services in each city and/or county an itinerary of all scheduled performances in California. As a result, *Ringling Bros.* is frequently inspected by local animal care and control authorities throughout the state. In short, the statutory and regulatory system that is in place ensures that circuses and other animal exhibitors have the appropriate qualifications and facilities to safely and properly care for all animals. All the ordinance would accomplish would be to ensure that the City of San Francisco has no ability to ensure the welfare of traveling animals.

We recognize that the city has a legitimate interest in whether the wild and exotic animals covered by this ordinance are being held and cared for in a manner that adequately ensures both public safety and the well-being of the animals. However, we do not agree that enacting arguably unconstitutional legislation prohibiting licensed circuses that are operating lawfully and responsibly would do anything to address either of those concerns. A ban on the wild or exotic animal performances and circuses is unnecessary and unreasonably restrictive and would prevent lawful, state and federally regulated exhibitors like *Ringling Bros.* from being able to conduct business in San Francisco.

We would be happy to provide more information about *Ringling Bros.*, our animals or the matters discussed herein. Thank you.

Sincerely,



Thomas L. Albert

Vice President- Government Relations

RECEIVED  
BOARD OF SUPERVISORS  
SAN FRANCISCO

**ANN LAMBERTSON**  
**805 BURLINGAME AVENUE**  
**BURLINGAME, CA 94010**

15 APR 17 PM 3:09  
April 15, 2015

Bd of Supervisors

Dear Board of Supervisors,

May I commend you all, and  
especially Katy Tang, in your  
unanimous vote to ban all  
gambling in entertainment !!!

Hurray !!!

I hope the whole state of  
Calif stands up and applauds!  
Certainly, I do !!!

Sincerely,  
Ann Lambertson

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**From:** Administrator, City (ADM)  
**Sent:** Thursday, April 16, 2015 11:19 AM  
**To:** Board of Supervisors, (BOS)  
**Subject:** FW: Good for you!!

FYI

**From:** E Mitchell [<mailto:ellemitchell75@gmail.com>]  
**Sent:** Wednesday, April 15, 2015 3:13 PM  
**To:** Administrator, City (ADM)  
**Subject:** Good for you!!

Since I cannot say kudos enough to all who voted in favour to end this "entertainment" in your beautiful city I will be brief.

I am writing to commend you on a job well done regarding banning of the circus in your city! I am a member of PETA and left your email address on their facebook page in praise of your city. I will be sure to spread the word to all that your city is one to spend their time and money visiting.

GREAT JOB SAN FRANCISCO!

Yours truly,

Elle(L) Mitchell

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**From:** karen osgood [karenedo@yahoo.com]  
**Sent:** Thursday, April 16, 2015 8:38 AM  
**To:** Board of Supervisors, (BOS)  
**Cc:** info@pawsweb.org  
**Subject:** Wild and exotic animals

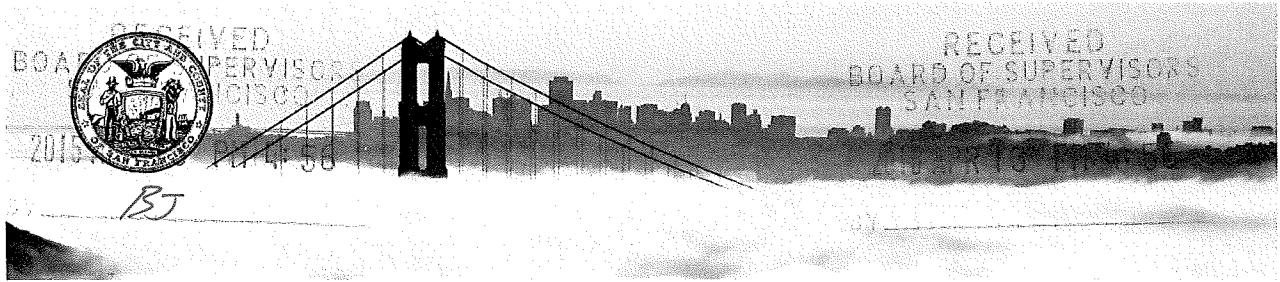
Dear Members:

As a native San Franciscan I want to express my deep gratitude for your decision to ban the use of wild and exotic animals in entertainment in San Francisco.

My concerns are about all animals, wild and domestic and the environment. I firmly believe that wild animals have no place in circuses, zoos, theme parks and performances. Domestic animals have no place in rodeos and horse racing. We simply cannot keep believing that we are such a superior species that we can regard animals as ours to abuse, exploit and to make to do stupid tricks.

Again, thank you so much. I am especially proud of my city for taking this action.

Karen Osgood



CITY AND COUNTY OF SAN FRANCISCO

OFFICE OF CIVIC ENGAGEMENT & IMMIGRANT AFFAIRS

Edwin M. Lee, Mayor  
Naomi Kelly, City Administrator

Adrienne Pon, Executive Director

March 1, 2015

Honorable Edwin M. Lee  
Mayor  
City Hall, Room 200

Honorable London Breed  
President, Board of Supervisors  
City Hall, Room 244

Board of Supervisors  
City Hall, Room 244

Dear Mayor Lee, President Breed, and Supervisors,

As you know, San Francisco's Language Access Ordinance (LAO) requires the Office of Civic Engagement & Immigrant Affairs (OCEIA) to oversee citywide compliance with language access laws and to provide a summary report to the Immigrant Rights Commission, Board of Supervisors, and Mayor indicating which departments have filed their annual language access plans as required by the LAO.

Once again, we are pleased to provide you with the attached Annual Language Access Compliance Summary Report which evaluates how well city departments are complying with LAO provisions. All 26 Tier 1 departments filed their plans with OCEIA in accordance with the LAO. A copy of this report has been sent to the San Francisco Immigrant Rights Commission under separate cover.

The 2015 report outlines citywide progress in complying with provisions of the LAO since the implementation of amendments enacted by the Board in 2009. While the City continues to make significant progress to better serve and inform monolingual and Limited-English Proficient (LEP) individuals in San Francisco, there continues to be plenty of room for improvement and we hope the innovations and community collaborations initiated over the past five years will help the City further advance language access.

Thank you for your continued leadership and support on this important issue!

Always,

*Adrienne Pon*  
Adrienne Pon  
Executive Director

cc: Immigrant Rights Commission, Steve Kawa- Chief of Staff, Naomi Kelly- City Administrator,  
Department Heads



**CITY AND COUNTY OF SAN FRANCISCO  
OFFICE OF CIVIC ENGAGEMENT & IMMIGRANT AFFAIRS**

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**ADVANCING LANGUAGE ACCESS IN SAN FRANCISCO  
LANGUAGE ACCESS ORDINANCE  
ANNUAL COMPLIANCE SUMMARY REPORT  
MARCH 2015**

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## CITY AND COUNTY OF SAN FRANCISCO IMMIGRANT RIGHTS COMMISSION

Edwin M. Lee, Mayor  
Naomi Kelly, City Administrator

March 1, 2015

**Commissioners:**

Celine Kennelly, Chair  
Haregu Gaime, Vice Chair  
Almudena Bernabeu  
Kathleen Coll  
Elahe Enssani  
Felix Fuentes  
Florence Kong  
Roger Kubein  
Melba Maldonado  
Toye Moses  
Mario Paz  
Leah Chen Price

**Executive Director:**

Adrienne Pon  
Office of Civic Engagement  
& Immigrant Affairs

Since 1997, the San Francisco Immigrant Rights Commission (IRC) has been a champion for the inclusion and integration of San Francisco's immigrant residents and workers. From sanctuary city ordinances to language access rights and comprehensive immigration reform, the IRC has fought for fair and dignifying policies at the local, state and federal levels.

The San Francisco Language Access Ordinance (LAO) was enacted to ensure equal access to City services for all San Franciscans, including those with limited proficiency in English. The LAO requires the Office of Civic Engagement & Immigrant Affairs (OCEIA) ensure citywide compliance with language access laws and to provide a summary report each year to the Immigrant Rights Commission (IRC), Board of Supervisors, and Mayor indicating which Tier 1 departments have filed their annual language access plans as required by the law.

The IRC is committed to ensuring that monolingual and limited-English proficient individuals have equal access to City services, programs and timely information in languages besides English. As early advocates for language access rights, we applaud our community partners and city leaders for their vision and continued commitment to meeting the language needs of all San Francisco residents.

Furthermore, the Commission commends the Board of Supervisors for continuing to strengthen San Francisco's LAO and the OCEIA staff for ensuring compliance and preparing this annual report. Together we are moving forward to improve the participation and quality of life for San Francisco's vulnerable residents.

Handwritten signature of Celine Kennelly in black ink.

Celine Kennelly, Chair

Handwritten signature of Haregu Gaime in black ink.

Haregu Gaime, Vice Chair



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**ADVANCING LANGUAGE ACCESS IN SAN FRANCISCO  
LANGUAGE ACCESS ORDINANCE  
ANNUAL COMPLIANCE SUMMARY REPORT  
MARCH 2015**

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## ABOUT THIS REPORT

This report contains information and data for Fiscal Year 2013-14 (ended June 30, 2014), submitted in December 2014 by the following Tier 1 City Departments and analyzed by the Office of Civic Engagement & Immigrant Affairs in January-February 2015:

1. Adult Probation Department
2. Airport, San Francisco International
3. Assessor-Recorder, Office of the
4. Building Inspection, Department of
5. City Hall Building Management
6. District Attorney
7. Economic and Workforce Development, Office of
8. Elections, Department of
9. Emergency Management, Department of
10. Environment Department (SF Environment)
11. Fire Department
12. Human Services Agency
13. Juvenile Probation Department
14. Library, San Francisco Public
15. Municipal Transportation Agency
16. Planning Department
17. Police Department
18. Public Defender
19. Public Health, Department of
20. Public Utilities Commission (Water)
21. Public Works (San Francisco Public Works)
22. Recreation and Park Department
23. Rent Board (Residential Rent Stabilization and Arbitration Board)
24. Sheriff Department
25. Treasurer/Tax Collector
26. Zoo, San Francisco

An electronic version of this report will be available online by April 1, 2015 at [www.sfgov.org/oceia](http://www.sfgov.org/oceia). To view complete versions of individual Tier 1 Department plans, please contact the Office of Civic Engagement & Immigrant Affairs at (415) 581.2360 or email [civic.engagement@sfgov.org](mailto:civic.engagement@sfgov.org).

# 2015 LAO ANNUAL COMPLIANCE SUMMARY REPORT

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	A. San Francisco Language Access Ordinance		
	B. Standardized Annual Compliance Plan Form		
	C. Glossary		

## I. EXECUTIVE SUMMARY

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Our country has long been a beacon of hope and opportunity for people from around the world. Nearly 40 million foreign-born residents nationwide contribute to their communities every day, including 3 million refugees who have resettled here since 1975. These new Americans significantly improve our economy. They make up 13 percent of the population, but are over 16 percent of the labor force and start 28 percent of all new businesses. Moreover, immigrants or their children have founded more than 40 percent of Fortune 500 companies, which collectively employ over 10 million people worldwide and generate annual revenues of \$4.2 trillion.

By focusing on the civic, economic, and linguistic integration of new Americans, we can help immigrants and refugees in the United States contribute fully to our economy and their Communities.

— President Barack Obama

November 21, 2014

### **Language Access, an Essential Key to Immigrant Integration**

Many factors have increased both domestic and international migration across the globe since the 1990s, including warfare, violence, human trafficking, natural disasters, climate change, a global economy, faster and more advanced technology, and lower costs for international travel. Receiving nations and communities are now faced with increasing numbers of migrants who are socially, culturally, and linguistically more diverse. Immigrants, and in some countries even native-born minorities, continue to be regarded with suspicion and considered as “other” by the dominant population. Immigrant integration, language access and human rights are no longer an issue for just a few countries but for the entire international community.

Here in the United States, the nexus between migration, integration, and language acquisition has never been more intense. As Congress continues to fight President Obama’s Immigration Executive Actions announced in November 2014, it remains stalled on fixing a broken and ineffective U.S. immigration system. The result is millions of immigrants remain in limbo, unable to access economic, health, employment and other systems to live, work, survive and thrive.

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<sup>1</sup>Obama, Barack. *Memorandum for the Heads of Executive Departments and Agencies: Creating Welcoming Communities And Fully Integrating Immigrants And Refugees*, November 21, 2014. Retrieved from <http://www.whitehouse.gov/the-press-office/2014/11/21/presidential-memorandum-creating-welcoming-communities-and-fully-integra>

The U.S. immigrant population is over 40 million or 13 percent of the total population, with nearly 12 million undocumented individuals. Data from the 2010 Census and American Community Survey indicate that the largest metropolitan areas across the country are growing at rapid rates and account for most of the nation's population growth. But experts say this growth is a result of two very different migration patterns – one, an out-migration of aging Americans who are leaving large metropolitan areas, and two, a large influx of foreign-born newcomers who are moving into urban areas and replacing domestic out-migrants.<sup>2</sup>

Some metropolitan areas are attracting both domestic and international migrants, including Houston, Dallas, Atlanta, knowledge economy centers like Washington, D.C. and Boston, and knowledge and technology hubs like San Francisco and Austin.<sup>3</sup>

According to the Migration Policy Institute, immigration is a prominent part of the country's DNA but concerns still exist about the ability of international immigrants to integrate into broader society. Five indicators of successful integration include: language proficiency, socioeconomic attainment, political participation, residential locale, and social interaction.<sup>4</sup>

The keys to engagement and full civic participation depend largely on English language acquisition, workforce skills and employment opportunities. According to the Global Justice Initiative, a Washington, D.C. non-profit organization dedicated to promoting access to justice and social change, Language Access "refers to ensuring that persons who have limited or no English language proficiency are able to access information, programs and services at a level equal to English proficient individuals. Depriving people of language access undermines human dignity, exacerbates many immigrants' innate vulnerabilities, and harms society at large by impeding the efficacy of the healthcare and justice systems. Twenty-first century U.S. demography and global migration trends suggest that the language access crisis is unlikely to abate."<sup>5</sup>

## Language Access and Rights in San Francisco

San Francisco is a leader in language access rights and immigrant assistance programs. With a large immigrant and LEP population, City leaders have consistently affirmed their commitment to providing protections and equal access to information and services for all residents, regardless of status.

The landmark 1974 Supreme Court ruling in *Lau v. Nichols* paved the way for linking language access and bilingual education to civil rights and expanded the rights of language-minority

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<sup>2</sup> Since the 2010 Census, the following 10 metropolitan areas had the largest net international migration in the country: New York-Newark-Jersey City, NY-NJ-PA, Los Angeles-Long Beach-Anaheim, CA, Miami-Fort Lauderdale-West Palm Beach, FL, Washington-Arlington-Alexandria, DC-VA-MD-WV, Houston-The Woodlands-Sugar Land, TX, Chicago-Naperville-Elgin, IL-IN-WI, Boston-Cambridge-Newton, MA-NH, San Francisco-Oakland-Hayward, CA, Dallas-Fort Worth-Arlington, TX, Atlanta-Sandy Springs-Roswell, GA

<sup>3</sup> Florida, Richard. *Two Very Different Types of Migrations Are Driving Growth in U.S. Cities. New York and L.A. are losing more Americans than they're gaining, but the flood of immigrants more than makes up for it.* The Atlantic Citylab. April 21, 2014. Retrieved from: <http://www.citylab.com/politics/2014/04/2-very-different-migrations-driving-growth-us-cities/8873/>

<sup>4</sup> Jiménez, Tomás R. *Immigrants in the United States: How Well Are They Integrating into Society?* Migration Policy Institute, Washington, D.C. (May 2011). Retrieved from: <http://www.migrationpolicy.org/research/immigrants-united-states-how-well-are-they-integrating-society>

<sup>5</sup> Global Justice Institute, Washington, D.C. Retrieved from: <http://globaljusticeinitiative.wordpress.com/about/>

students across the country. The ruling found that a person's language is so closely connected to national origin that language-based discrimination is a proxy for discrimination against national origin and thus, a violation of civil rights guaranteed under Section 601 of the Civil Rights Act of 1964 and the Fourteenth Amendment. The Civil Rights Act of 1964 bans discrimination based on the grounds of race, color, or national origin in any program or activity receiving federal financial assistance.

Language Access in San Francisco has been a key priority since 2001 when the City enacted the Equal Access to Services Ordinance (EAS) to ensure meaningful access and the same level of service to Limited English Proficient (LEP) persons that was available to all city residents. Since the Ordinance was amended in 2009 as the Language Access Ordinance (LAO) and the Office of Civic Engagement & Immigrant Affairs (OCEIA) was charged with overseeing compliance, efforts have been focused on implementing one of the strongest and most comprehensive local language access laws in the nation, as well as engaging community organizations and City Departments in an ongoing dialogue to better serve LEP residents in San Francisco.

Marking the 14th anniversary of the LAO, the purpose of this report is to evaluate citywide progress and summarize to what degree departments are currently complying with LAO provisions. The 2015 report addresses six main areas: 1) citywide progress for 26 Tier 1 Departments since implementation of 2009 amendments, 2) the extent to which Departments are currently meeting the spirit, intent and legal requirements of the LAO, 3) barriers to compliance, 4) recommendations to further strengthen the efficacy of the LAO, ensure ongoing compliance, and better serve and inform LEP residents, 5) improvements and innovations initiated by the City, and 6) amendments that will make San Francisco's LAO the strongest local ordinance in the nation.

### **Limited English Proficient Speakers in San Francisco**

Approximately 36 percent (or more than one out of every three) of the City's estimated 837,442 residents are immigrants.<sup>6</sup> Of all San Franciscans over the age of five, 45 percent speak a language other than English at home, with the largest language groups being Chinese, Spanish, Tagalog, and Russian. Thirteen percent of San Francisco households remain "linguistically isolated," with no one over the age of 14 speaking English "well" or "very well."<sup>7</sup>

As noted in previous LAO compliance reports, navigating the public process and obtaining critical, timely information are often difficult, even for longtime city residents. For individuals who speak no or limited English, routine activities such as obtaining a driver's license, seeking services and information, taking public transportation, paying taxes, or enrolling children in school can be confusing and extremely challenging. During crisis or emergency situations,

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<sup>6</sup>U.S. Census Bureau State & County QuickFacts: San Francisco. (Last Revised: Thursday, 04-Dec-2014 14:56:01 EST). Retrieved from: <http://quickfacts.census.gov/qfd/states/06/06075.html>

<sup>7</sup> A "linguistically isolated household" is defined by the U.S. Census Bureau as one in which no member 14 years old and over (1) speaks only English or (2) speaks a non-English language and speaks English "very well." In other words, all members 14 years old and over have at least some difficulty with English.

effective communication between local government agencies and residents, regardless of the languages they speak, is absolutely critical to ensuring public safety and saving lives.<sup>8</sup>

Past emergency and safety situations affecting LEP and monolingual residents highlight the continued need for language access in San Francisco—from numerous fires in Chinatown, Mission, Tenderloin and other areas to incidents of violence, public safety hazards and a rare airline crash in 2013, language access is clearly critical. With nearly half of the City’s population speaking a language other than English at home, the consequences and liability of not being able to communicate during crisis, emergency and public safety situations are immense.

### **Citywide Progress**

Since the LAO was amended in 2009, San Francisco has made great strides in ensuring language access and meeting both the spirit and intent of the law. While the City is far better prepared today to respond to emergency incidents, continuous training and recruitment of culturally and linguistically competent bilingual staff are needed to improve the response level, quality of services, and timeliness. Increased outreach, education, and notification in languages in addition to English should be part of doing daily business and will help to ensure that residents are prepared and informed in a timely manner.

Of the five most commonly spoken languages in San Francisco other than English, three currently meet the population thresholds outlined in the LAO: Chinese, Spanish and Filipino (Tagalog), which was certified by OCEIA in 2014. Each year, OCEIA, with the assistance of the San Francisco Planning Department, analyzes U.S. Census data from the American Community Survey. In 2015, OCEIA will also be looking at the language access needs of a number of emerging communities in San Francisco.

### **Improvements and Innovations in Language Access**

Many improvements in language access have been the result of collaborations among OCEIA, the Language Access Network (LAN), City Departments and community partners. Since 2009, OCEIA has been implementing LAO requirements and training City Departments (both Tier 1 and 2) through annual sessions and one-one-one consultations. In 2013, OCEIA launched a Community Interpreters Training Pilot for community-based service providers and City employees and offered a Training of Trainers session in 2014. Also in 2014, Filipino (Tagalog) was certified as a third required language in addition to Chinese and Spanish.

**Community Ambassadors Program (CAP)** - CAP is a street-smart safety program designed to bridge tensions in the community due to cultural or linguistic differences. Developed and operated by OCEIA, the program was initiated in 2010 by community leaders and advocates concerned about public safety and intergroup conflicts. Multiracial, multilingual Ambassador teams speaking a total of eight different languages are assigned to “hotspots” along major transit and business corridors in Districts 6, 9, and 10, and as needed elsewhere. Ambassadors act as a visible safety presence and provide residents with safety tips, language assistance, and

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<sup>8</sup> City and County of San Francisco, Office of Civic Engagement & Immigrant Affairs, Language Access: Annual Summary Compliance Report. San Francisco 2011, 2012, 2013 and 2014.

bilingual information on city services and programs. Ambassadors also provide language services and other assistance for public information meetings, townhalls, community events, and emergencies.

**Community Engagement & Outreach** - OCEIA has conducted extensive multilingual community outreach to service providers and residents on language access services and City programs and services. Since 2012, OCEIA has been conducting consumer education to vulnerable low income, immigrant, and LEP residents on fraud prevention and various scams. Through the Community Ambassadors Program and Language Services Unit, nearly 50,000 LEP residents have been reached during the past four years.

**Department Head Approval of Annual Plans** - OCEIA implemented a new requirement in 2012 - all Tier 1 Departments compliance reports must be reviewed and signed by their respective Department heads.

**Filipino Language Certification** - In 2014, OCEIA with support from the Planning Department assessed American Community Survey (ACS) population data for LEP residents and determined that a third language, in addition to Chinese and Spanish, now met the threshold outlined in the LAO (at least 10,000 LEP speakers of a shared language). OCEIA conducted a thorough study (surveys, focus groups, and discussions with experts), and Filipino (Tagalog) was certified as a third required language covered by the LAO.

**Language Access Community Grants** - Thanks to leadership from the Board of Supervisors and community advocates, OCEIA established the Language Access Community Grants Program in late 2012 to increase community and city capacity to meet the language access needs of monolingual or Limited English Proficient (LEP) individuals who live or work in San Francisco, and underserved immigrant communities. The program emphasizes: 1) building community-based language access leadership and capacity, 2) assessing and evaluating language access needs in the community, 3) assisting city departments to more effectively communicate with and deliver services to residents who speak languages other than English, and 4) planning for language access needs during crisis, emergency and public safety situations. Grants in three major areas (Citywide Collaborative, Emerging Needs and Crisis, Emergency and Public Safety) were awarded to a total of eleven community-based organizations.

**Language Access Network and Advisory Council** - OCEIA partners closely with community service providers and the Language Access Network, as well as with other cities and national networks. OCEIA has facilitated conversations between Language Access Grantees and City Departments on policies, programs and opportunities to better serve LEP residents and workers in San Francisco, leveraging both city and community assets.

**Language Access Summit** - In September 2012, OCEIA hosted the Community Summit on Language Access in San Francisco. Nearly 100 community-based service providers attended interactive day-long sessions featuring LAO training, planning, discussions, and a resource fair by city departments. The Summit will be repeated in 2015 and thereafter, every other year.

**Language Access Surveys** - Since 2012, OCEIA has conducted Language Access Surveys and focus groups of 1) community-based organizations working with immigrant, monolingual and



LEP individuals to gauge awareness of laws and processes, satisfaction levels, experience, suggestions and community capacity, and 2) City Departments on how they provision services to these populations. Surveys conducted in 2014 provided baseline information on Tier 2 Departments and a Community Needs Assessment of the Filipino-speaking LEP population. Surveys help inform OCEIA of service gaps and are used to provide feedback to departments to better serve LEP residents.

**Language Services Unit (LSU)** - In early 2011, OCEIA established the Language Services Unit (LSU). Initiated by the Board of Supervisors and community advocates, the LSU was created to provide high quality, 24/7 translation and interpretation services during crisis, emergency and urgent public safety situations. The LSU has in-house capability in Cantonese, Mandarin, Spanish, Russian, and Filipino. While the LSU was initially created to provide assistance to City Departments and agencies during emergency situations, the majority of requests for assistance have been urgent or short-turnaround assistance for special public information projects, technical advice, and on-site interpretations for meetings, hearings and interviews. The LSU has provided hundreds of document translation and on-site interpretation services to both City Departments and community-based organizations serving immigrant, monolingual, and/or limited-English proficient persons. The majority of services have involved Cantonese and Spanish translations and interpretations. In some cases, the LSU has translated or coordinated translations in other languages, including Russian, Filipino, and Vietnamese. The unit has also handled walk-in and telephonic requests for assistance, and reached over 15,269 LEP/monolingual city residents through multilingual community events, meetings, interviews and convenings.

**Mandatory Citywide LAO Training** - San Francisco is the only local jurisdiction with a mandatory training requirement. OCEIA requires this as part of its oversight responsibilities and departments have been overwhelmingly supportive, attending sessions for the past four years. All Tier 1 and many Tier 2 Departments attended the interactive trainings, which also feature community feedback, survey results, and opportunities for Department representatives to interact directly with advocates and experts. Annual trainings include the importance of language access, changing demographics and general legal requirements, sharing best practices, challenges and solutions, general tools and resources, and hands-on, interactive sessions for Tier 1 Departments on how to complete annual compliance plan reports. The trainings allow OCEIA to gather direct feedback from Departments on compliance challenges and innovations.

**Technical Assistance to City Departments** - Since 2009, OCEIA has increased ongoing technical assistance to Tier 1 and other City Departments, including recommendations for wording of notices and signage, providing in-house translation and interpreter services, and identification of community and external resources and low-cost solutions. OCEIA instituted an open-door policy for Departments to schedule one-on-one consultations with staff experts and provided customized LAO training for Departments. LSU senior staff worked closely with Language Line, the largest and most commonly used vendor, to assist client departments with data collection, tailored reports, and account/billing management.

**Spot Checks** - In 2014, OCEIA in partnership with the San Francisco Language Access Network

developed a simple Spot Check tool to identify best practices and areas of improvement for multilingual service provisioning throughout city agencies. Over 129 Spot Checks were conducted anonymously by LAN staff members between July and October 2014, to record the experiences of LEP individuals trying to seek services in their native languages. Assistance was requested both in person and over the telephone from Tier 1 and other Departments with high public contact. OCEIA and the LAN hope that this assessment tool will provide useful feedback to Departments and develop opportunities for the City to collaborate with community stakeholders.

**Technical Assistance and Capacity Building for Community-based Organizations Serving LEP Communities** - OCEIA provided advisors and consultants from Social Media for Nonprofits, Zero Divide, language access vendors, and City Departments to assist CBOs in planning their language access work. Partners are convened quarterly to address issues, concerns and solutions. In 2015, Zero Divide will be developing a user-friendly data collection system for both City Departments and CBOs.

### **Establishing Quality Standards in Community Interpreting**

Community Interpreting is a profession, not an accidental or incidental activity to be conducted by children, family or friends, particularly during life-threatening, crisis, emergency, or public safety situations. The profession involves complex professional skills, training, assessment of language fluency, certification, a code of ethics and conduct, and professional standards. The consequences of not having adequate and appropriate language services have been well documented. Public safety risks, tragic situations for immigrants and LEP individuals, lawsuits and consent decrees all have had dramatic impact on residents and local governments across the world, increasing the need for competent and qualified interpreters and translators.

In September 2013, OCEIA partnered with Cross-Cultural Communications, LLC, to launch a pilot Community Interpreters Training program in San Francisco. Twenty-three participants, including OCEIA's entire Language Services Unit and language access grantees, completed an intensive 40-hour training and certification process. The training covered the foundations of community interpreting, including language proficiency, interpreter certification, language access laws, codes of ethics, and standards of practice. Participants practiced basic skills and fundamentals on different modes of interpreting (consecutive, simultaneous, and sight translation), positioning, accuracy, use of first person and professional introductions, as well as message analysis, conversion, memory skills and note-taking. Training also covered culture and mediation, key areas for interpretation (health, education, and human/social services), how to adapt ethics and standards to different situations, and how to ensure interpreter safety, advocacy and professional development. In 2014, OCEIA introduced a 40-hour Training of Trainers Program and plans are underway in 2015, to launch the second class of Community Interpreters Training which will be open to both city and community participants.

## Key Recommendations

After five years of implementing amended requirements in the 2009 LAO and four years of tracking and analyzing compliance results, OCEIA recommended the following actions to strengthen the efficacy of the law in 2014.

1.	<p>Amend and clarify ambiguous sections of the LAO.</p> <ul style="list-style-type: none"><li>✓ Abolish the two-Tier system and make LAO requirements applicable to all City Departments that provide information or services to the public.</li><li>✓ Departments should be clearly identified and named.</li><li>✓ A standard method for determining District specific information should be outlined. OCEIA should be authorized to develop guidances for Departments to ensure citywide standards for LEP data collection.</li></ul>
2.	<p>The LAO currently allows Departments to self-assess their progress and compliance using self-selected methods, which does not ensure citywide consistency.</p> <ul style="list-style-type: none"><li>✓ More objective criteria and quantifiable measures should be developed by OCEIA.</li><li>✓ Non-compliance penalties should be clearly stated in the Ordinance by the Board of Supervisors.</li></ul>
3.	<p>Provide adequate resources and funding for Language Services. Only a handful of Departments currently budget and spend for the provision of language services. There is no mechanism to verify that Departments are allocating resources as outlined in their annual compliance plans.</p> <ul style="list-style-type: none"><li>✓ Adequately fund citywide translation and interpreter services either through a centralized unit for use by Departments with modest general budgets, and/or require Departments to allocate a percentage of their budgets to a centralized language services fund.</li><li>✓ Adequately fund OCEIA to provide a wider range of technical assistance tools, templates, and guidelines to departments.</li><li>✓ Invest in citywide training and language certification such as OCEIA's Community Interpreter Training pilot initiative.</li><li>✓ Continue to invest in community partners who can fill language service gaps with low-cost solutions.</li></ul>
4.	<p>Develop an effective citywide Language Access complaint process. Strengthen complaint resolution process and protocols. The LAO mandates each Department to have a mechanism to process and resolve language access complaints; however, this varies widely across Departments and does not always provide an accurate picture of citywide trends.</p> <ul style="list-style-type: none"><li>✓ Implement a mandatory citywide complaint process that assures accountability.</li><li>✓ The complaint process should be centralized within OCEIA with review by the Immigrant Rights Commission.</li></ul>
5.	<p>The LAO mandates both City Departments and OCEIA to make language threshold determinations. Departments use various methods to make this self-determination which is not consistent across the city.</p>

	<ul style="list-style-type: none"> <li>✓ Language thresholds should be determined by a single entity. OCEIA currently conducts certification studies to support Census Bureau data used by the Planning Department, which is a more reliable method of determining thresholds.</li> <li>✓ City Departments should use the LEP population clients served as a tool to better assess their clientele's language access needs.</li> </ul>
6.	<p>Develop standardized and accurate Quality Assurance and Data Collection Methods. Departments currently use a variety of methods to self-assess and determine the quality of language services delivered to LEP clients; however, very few methods include measurable goals, objectives or outcomes. In addition, there is great variance in how or if Departments collect LEP language needs data.</p> <ul style="list-style-type: none"> <li>✓ Conduct an audit of Department data collection methodology for Language Services.</li> <li>✓ Establish guidances and criteria for standardized data collection.</li> <li>✓ Develop and use technology tools to effectively collect data and track progress.</li> </ul>
7.	<p>Develop Guidelines and Standards for implementation of the LAO. OCEIA has been providing mandatory general training since 2010. However, there is significant turnover for Language Access Liaisons in many Departments.</p> <ul style="list-style-type: none"> <li>✓ Establish citywide standards for quality and cultural/linguistic competence, including a certification program for bilingual staff that goes beyond testing for basic language ability.</li> <li>✓ Adopt professional standards and a code of ethics for all interpreters.</li> <li>✓ Establish baseline citywide protocols for emergency and crisis situations.</li> <li>✓ Require periodic trainings and updates.</li> <li>✓ Provide additional guidance or assistance to Departments to address deficiencies in procedures and processes required by the LAO.</li> </ul>
8.	<p>Leverage Community and City assets and knowledge to build capacity and collaboration.</p> <ul style="list-style-type: none"> <li>✓ Collaborate with community based organizations and advocates to form a Language Access Task Force that meets regularly with citywide Departments.</li> <li>✓ Conduct a citywide and departmental language needs assessment.</li> <li>✓ Develop an objective tool that incorporates community feedback to gauge the adequacy and quality of language services.</li> </ul>

In 2015, after working for months with the LAN, community service providers, City Departments and OCEIA, Supervisors Katy Tang, Norman Yee, and the Board of Supervisors moved forward with a number of significant amendments to the LAO. These actions will clearly make the San Francisco LAO the strongest, self-imposed, local language law in the nation. Key changes include amending the administrative code to 1) expand the scope of the Language Access Ordinance to apply to all City Departments that provide information or services directly to the public, 2) revising and strengthening complaint procedures, and 3) enhancing and streamlining annual departmental compliance plan reporting requirements.



In 2014, at the request of Supervisor Katy Tang's office, the Budget and Legislative Analyst (BLA) conducted an analysis of language access services in San Francisco, including two rounds of surveys with City Tier 1 and Tier 2 Departments. The surveys allowed the BLA to outline some general conclusions.

- ✓ The City's language access expenditures are concentrated in a few Departments, with 98 percent of expenditures by Tier 1 Departments and 2 percent by Tier 2 Departments.
- ✓ The City's certified bilingual employees are concentrated in a few Departments.
- ✓ The majority of the City's certified bilingual employees are in direct service positions, and primarily provide oral interpretation services and secondarily translation services, including review of work performed by contractors.
- ✓ There are limitations in using certified bilingual employees to meet Language Access Ordinance needs, and the City supplements the work of certified bilingual employees in several ways — including contracts with outside vendors.
- ✓ Consolidating language services contracts into master contracts would standardize rates and improve quality.
- ✓ Departments have indicated a need for additional language access resources for interpretation and translation services, including additional assistance with Spanish and Chinese.

The BLA recommended the following:

1. The City Administrator should work with the Mayor's Office of Public Policy and Finance to consolidate existing language services contracts into one or more master contracts administered by OCEIA.
2. The City Administrator should work with the Department of Human Resources to evaluate if existing City classifications could provide interpretation and translation services or if new City classifications would need to be created. Any new positions created in the OCEIA budget to provide interpretation and translations services could be funded in whole or in part by savings in contractual services, and would be subject to the Board of Supervisors' appropriation approval.
3. OCEIA and the Controller's Office should work with City Departments to ensure that contracts for translation and interpreting services are coded correctly in the City's purchasing system so that expenditures against these contracts can be accurately tracked.
4. OCEIA should work with City Departments to more aggressively promote the certification of bilingual employees.

## Conclusion

Cities and counties must contribute to an environment that is welcoming and nurturing for Limited-English Proficient, immigrant and vulnerable residents. With Comprehensive Immigration Reform (CIR) questionable at the moment, it is essential that local governments

take innovative steps to ensure immigrant integration, engagement, and full civic participation without creating deeper divides between native-born and new residents.

The importance of complying with language access laws is clear; the investment in ensuring that all San Francisco residents and workers have equal access to information, services, and opportunities to participate in meaningful and relevant ways is critical to our future. As stated time and time again, language access should be a normal part of doing business with local government. The City's goal is to communicate effectively with all of its diverse communities and residents, and to provide the same information at the same time and in the same place, regardless of the languages spoken.<sup>9</sup>

Providing multilingual language services is not only good government, it is also a huge global competitive advantage. Multinational corporations have clearly figured out that communicating to customers in their own languages can build credibility, increase relevance and revenues, maintain brand integrity, and build customer loyalty. For local governments and communities, continuing to invest resources and building human capital through community interpreter training and workforce development are opportunities to build credibility and trust, engage and involve residents, and respond appropriately and competently to diverse and multilingual community needs.

Language Access in San Francisco is part of a broader public engagement vision that links access to meeting core community needs, supporting immigrant integration, and encouraging civic participation. By supporting community-based efforts to articulate needs and develop relevant, culturally appropriate solutions, providing tools and access for meaningful and relevant participation, and leveraging collaborative efforts among City Departments, officials and community leaders, the City can ensure that every resident and worker benefits from and contributes to San Francisco's overall success as a world class city.

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<sup>9</sup> Brown v. Board of Ed., 347 U.S. 483 (1954). In Brown v. Board of Education (1954), the late Supreme Court Justice Thurgood Marshall argued that "Equal means getting the same thing, at the same time and in the same place."

## II. KEY FINDINGS

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All 26 Tier 1 Departments (“Departments”) are required by the LAO to file annual compliance plans with the Office of Civic Engagement & Immigrant Affairs (OCEIA) by December 31 of each year. For this report period, Departments were asked to submit their annual plans by December 18, 2014 to allow time for clarifications and corrections with LAO Liaisons before the holidays. All data contained in submitted Annual Compliance Plan reports are self-reported.

### Overall Compliance and Reporting

In general, overall compliance, timeliness of report submittal, and mandatory training attendance for the current report period were good. However, staff transitions and reassignment of LAO Liaisons significantly impacted the ability of several Departments to file timely or accurate reports for this report period.

All 26 Tier 1 Departments filed annual compliance plans, with 77 percent (20) filing by the requested December 18, 2014 deadline, and 15 percent (4) filing by December 31, 2014. Eight percent (2) filed late after January 1, 2015, and one Department (DPH) disclosed a significant discrepancy in reporting for the past four years (OCEIA is working with department representatives to correct this problem).

Over the past four years, compliance reporting and training attendance have remained generally good. However, OCEIA staff continue to spend a significant amount of time contacting a few Departments after the December 31 legal deadline to correct inaccurate data. Staff from one key Department questioned the importance of the Annual Compliance Report and LAO data requirements.

Year	Compliance Plans Submitted	On Time Reporting	Late Reporting	Mandatory Training Attendance
FY2010-11	100%	88%	12%	96%
FY2011-12	100%	100%	0%	100%
FY2012-13	100%	92%	8%	88%
FY2013-14	100%	92%	8%	96%

### Self Assessment of Adequacy of Internal Processes and Continuous Improvement

The LAO mandates Departments to provide an assessment of their compliance plans.<sup>10</sup> For FY13-14, 65 percent (17) reported that their current processes to facilitate communication with LEP persons are adequate, 31 percent (8) reported highly adequate, and four percent (1) reported inadequate.

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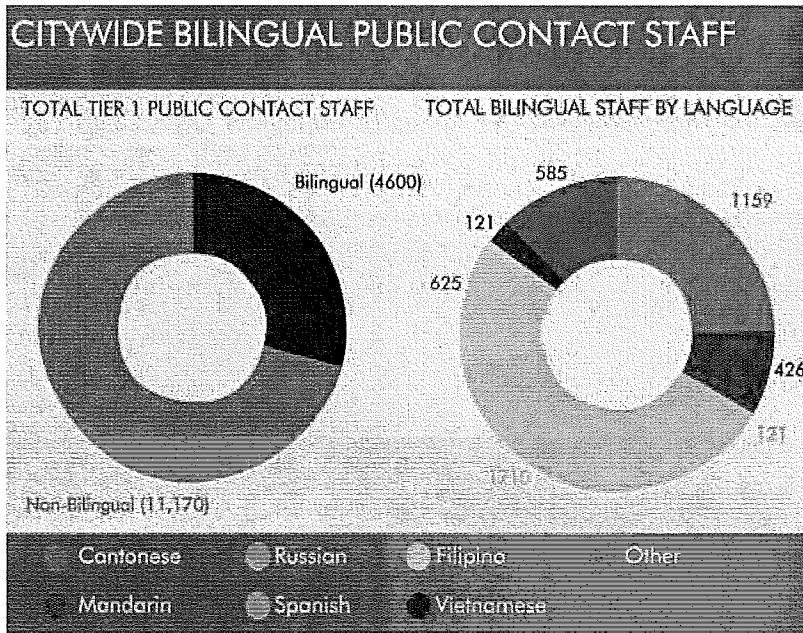
<sup>10</sup> Sec. 91.10(r).

Ninety-two percent (24) provided their goals and planned improvements for providing services for LEP clients for the next fiscal year. The most commonly reported goals include: hiring additional bilingual staff, translating documents into more languages, translating websites, and training for employees. Many Departments continue to report the same goals for each year and some will require additional guidance or assistance from OCEIA in planning, measuring, and reaching stated goals as well as addressing deficiencies in procedures and processes required by the LAO.

**Bilingual Staffing, Public Contact Positions and Quality Control**

**Bilingual Public Contact Positions-** As mandated by the LAO, Departments must ensure that public contact positions are adequately filled by bilingual employees in order to serve LEP clients. The LAO currently defines a public contact position as “a position in which a primary job responsibility consists of meeting, contacting, and dealing with the public in the performance of the duties of that position.”<sup>11</sup>

Reported information on bilingual public contact positions continues to vary widely across Departments, with criteria inconsistently used to determine overall quality of language services, Departments continue to have difficulty determining: the number of bilingual employees who perform Language Access work, standards for cultural and linguistic competency, languages spoken and the level of proficiency, ongoing development and skills training, and quality control protocols for bilinguals.

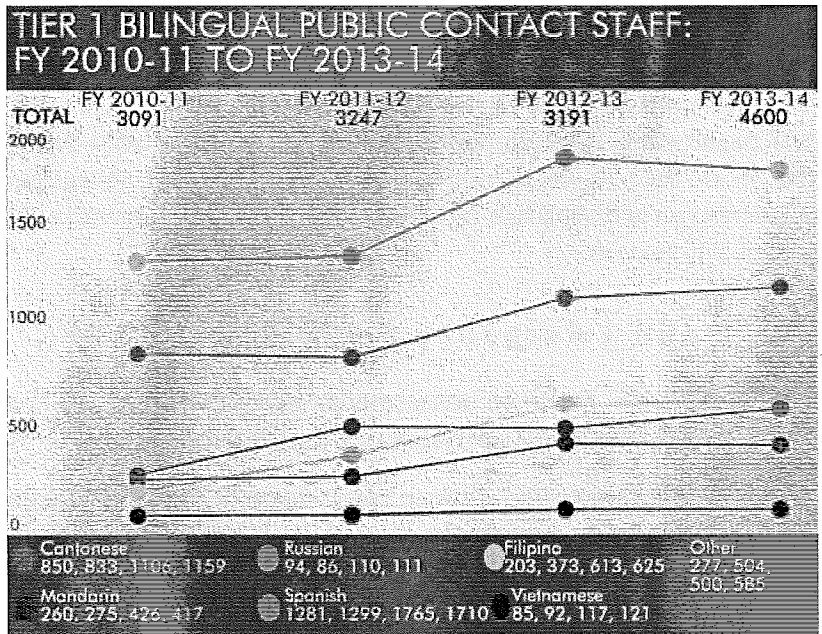


For FY2013-14, Departments reported 4,600 bilingual public contact staff out of 15,770 total public contact positions, an increase of 31% from the last fiscal year.

<sup>11</sup> Section 91.2(j)



Languages Spoken by Bilingual Public Contact Staff- Over the last four years the most commonly spoken languages by bilingual staff have been Spanish and Cantonese. Spanish remains the highest, although numbers have decreased since the last fiscal year. The numbers of Cantonese and Filipino bilingual public contact staff continue to increase, as well as smaller increases for Russian, Vietnamese and other languages.



For FY2013-14, Spanish speaking bilingual public contact staff totaled 1,710 (10.8% of total public contact staff, a 3.1% decrease from last fiscal year); Cantonese staff totaled 1,159 (7.3% of total public contact staff, a 4.8% increase from last fiscal year), and Filipino totaled 625 (4% of total public contact staff, 1.9% increase)

**Consistency of Bilingual Staff Training** – The LAO states that annual compliance reports should include an update on “employee training and development strategy to maintain well trained bilingual employees and general staff.”<sup>12</sup> Over the past four years, slightly over half of Tier 1 Departments reported that they offer training to bilingual employees and general staff. However, the content, breadth, and depth of training continues to differ significantly among Departments, ranging from basic language courses available through City College or standardized terminology and usage, to more intense language assistance trainings tailored to requirements of the LAO. Some Departments continue to rely solely on OCEIA’s annual mandatory LAO training and only a few Departments have taken advantage of the no-cost 40-hour professional Community Interpreters Training offered by OCEIA.

- In FY 2010-11, 58 percent of Departments reported offering training to bilingual staff. In FY 2011-12 and FY 2012-13, 54 percent of Departments offered training. In FY 2013-14, 15 Departments (58%) offered training, an increase of one Department from the past two fiscal years.

<sup>12</sup> Section 91.10(i).

**Quality Controls for Bilingual Staff-** Departments are mandated to provide a mechanism for maintaining quality controls for bilingual staff.<sup>13</sup> Overall, Departments have improved in reporting but remain inconsistent in applying objective quality control evaluation criteria. As noted in previous LAO reports, most Departments rely solely on the certification testing administered by the Department of Human Resources to serve as quality controls. The DHR certification process tests for basic spoken language ability for bilingual pay differential and is not an indicator of ongoing translation/interpretation accuracy and competence. OCEIA will be issuing guidances in this area in 2015.

- In FY 2010-11, 65 percent of Departments reported having quality controls. In FY 2011-12, 62 percent had quality controls. In FY 2012-13, 65 percent had quality controls and 54 percent reported offering training in connection with language services. In FY 2013-14, 77 percent (or 20 Departments) reported having quality controls.

### **Communication Policies and Emergency Protocols for LEP**

The LAO requires Departments to provide narrative assessments of their protocols and procedures to facilitate communication with limited English speaking (or LEP) persons.<sup>14</sup>

**Crisis Situations and Emergency Protocols-** Departments that assist clients in crisis situations are mandated by the LAO to include language service protocols in their annual compliance plans<sup>15</sup> and to indicate if these protocols are written.

Year	Policies to Communicate with LEP Clients	Work with Clients in Crisis Situations	Emergency/Crisis Situation Protocols	Written Protocols in Place
FY2010-11	58% (15)	58% (15)	65% (17)	50% (13)
FY2011-12	65% (17)	62% (16)	58% (15)	46% (12)
FY2012-13	73% (19)	65% (17)	65% (17)	46% (12)
FY2013-14	85% (22)	69% (18)	73% (19)	50% (13)
Improvement	47%	20%	12%	0%

### **Complaint Processes**

The LAO requires Departments to allow the public to make complaints alleging violations of the LAO in each language spoken by a Substantial Number of Limited English Speaking Persons.<sup>16</sup>

Eighty-five percent of Departments (22) reported having written complaint procedures, and 65 percent (17) reported that complaint procedures were publically posted. Eighteen (18) complaints were forwarded to OCEIA in FY 2013-14, a significant improvement from previous years but still only eight percent of all complaints received. Several Departments continue to resolve complaints internally with no involvement of OCEIA or the Immigrant Rights

<sup>13</sup> Section 91.10(i).

<sup>14</sup> Section 91.10(h).

<sup>15</sup> Section 91.8.

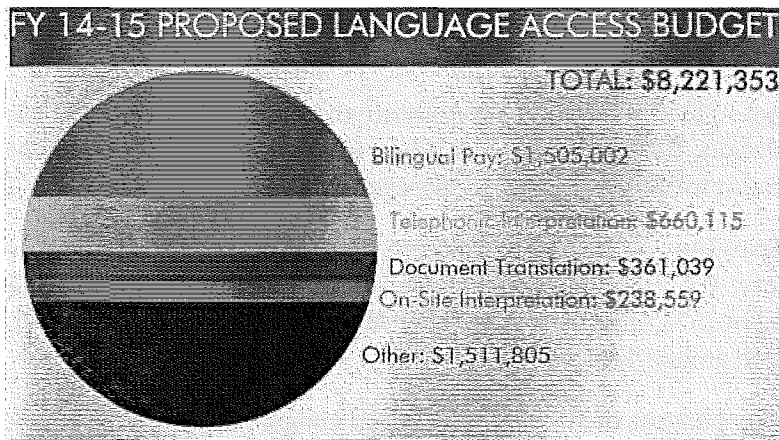
<sup>16</sup> As defined by section 91.2(k) means either 10,000 City residents, or 5 percent of those persons who use the Department's services.

Commission (IRC) as required by the LAO. Information reported by Departments is often inconsistent with anecdotal information reported by community-based organizations working with monolingual and LEP clients. OCEIA will be re-addressing this issue in new guidances to Departments in 2015.

## Data Collection

**Consistency in Collection Processes, Tracking LEP Client Information and Reporting Data-** Departments are required under the LAO to use one of three methods to determine the number of LEP clients they serve: 1) surveys, 2) at the point of service, and/or 3) records from telephonic interpretation vendors contracted by the Department.<sup>17</sup> For this report period, 92 percent of Departments (24 of 26) used one or more of the methods listed in the LAO to track clients, tracking actual LEP interactions rather than using general Census Bureau estimates, which do not provide an accurate picture of actual clients served. This is a significant improvement, however, the methods used to track lead to increasingly varied numbers and comparison of results between a two week survey or intake for an entire year is difficult.

## Language Access Citywide Budgeting



The LAO mandates that Tier 1 Departments provide budget information related to language services. With the exception of a few Departments, most are spending very little on language services— less than one percent (.11 percent) of the combined total Tier 1 Department budgets. For FY 2014-15,

Departments reported a total proposed language services budget of \$8.2 million, a nine percent decrease in projected spending from the previous fiscal year. Departments reported only \$4.3 million budgeted in the five categories specified by the LAO, leaving more than \$3.9 million uncategorized. Of the spending reported within the five categories, 36 percent of the total proposed budget for Language Access is comprised of special projects, 35 percent for compensatory bilingual pay, 15 percent for telephonic interpretation, eight percent for document translation, and six percent for on-site interpretation services.

- The projected budget for language services categories are skewed by a handful of Departments. Two Departments account for the vast majority (83 percent) of the citywide projected budget for language access: 67 percent by the Department of Public Health (\$5.5 million), 16 percent by the Department of Elections (\$1.3 million), and the remaining 17 percent by 24 other Departments (\$1.4 million).

<sup>17</sup> Section 91.2(k).

- With the exception of the Department of Elections, the Residential Rent Stabilization and Arbitration Board and City Hall Building Management (seven percent, three percent and one percent respectively of their total departmental projected budgets), the remaining 23 Departments are projected to spend less than one percent of their projected total departmental budgets on language services.

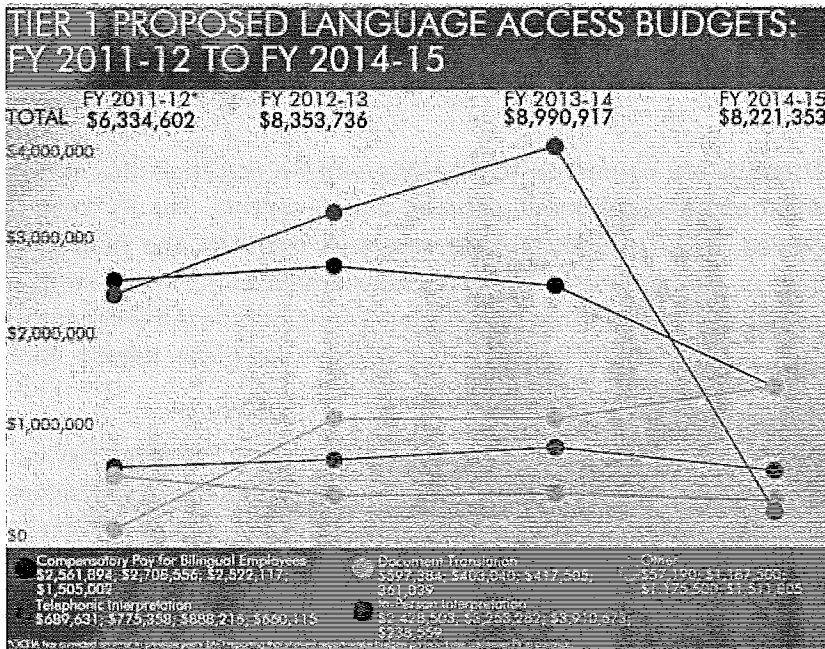
**Budget for “Other” or Special Language Projects-** Special projects is the largest category for language services, representing 36 percent of the total. However, if all uncategorized spending by Tier 1 Departments was included in this category, it would comprise 66 percent of the total language services budget. This category consists of grants and other special programs associated with language access, and is largely from four Departments: Department of Elections, 68 percent (\$1,021,000), the Treasurer and Tax Collector, 12 percent (\$180,000), the Residential Rent Stabilization and Arbitration Board, eight percent (\$120,000), and the San Francisco Public Utilities Commission, seven percent or \$100,000. The remaining 23 Departments account for five percent of the budget category.

**Bilingual Staffing Budget-** Thirty-five percent of the projected budget for language services is anticipated for bilingual employee compensation. Seventy-four percent of the total projected budget reported by the 26 Tier 1 Departments is from the Department of Public Health (\$1,120,494), the remaining 26 percent reported for bilingual pay is spread across the 15 Departments that reported an allocation.

**Telephonic Interpretation Budget-** Fifteen percent of the total projected language budget is allocated to telephonic interpretation. The Department of Public Health represents 89 percent (\$679,000); 21 Departments account for the remaining 11 percent.

**Translation Services Budget-** Sixty-four percent of the translation of documents budget is comprised of three Departments: the Human Services Agency 28 percent (\$99,500), the Department of Elections 21 percent (\$75,686) and the District Attorney 15 percent (\$55,000). The remaining 36 percent is shared among 13 Departments.

**On-site Interpretation Budget-** Six percent of the total proposed Language Access budget is comprised of on-site interpretation—40 percent of this projected budget is from the Human Services Agency (\$96,369) and 27 percent (\$64,100) is from the Public Defender. Eleven other Departments contribute the remaining 33 percent of the on-site interpretation budget.



**Comparison with previous years-** Since FY 2011-12, the total proposed Language Access budget has increased by 29.78 percent. However, nearly 80 percent or more of the budget has been from three Departments. The Department of Public Health has accounted for more than 50 percent of the total proposed Language Access budget (FY 2011-12: 61 percent, FY 2012-13: 57 percent,

FY 2013-14 67 percent, and FY 2014-15 67 percent). For the past three years, the Department of Elections has also accounted for a significant portion of the total budget (FY 2012-13: 13 percent, FY 2013-14: 12 percent, FY 2014-15: 16 percent). The Human Services Agency previously accounted for a significant share of the budget but has declined in the past two years (FY 2011-12: 14 percent, FY 2012-13: 11 percent, FY 2013-14: seven percent, FY 2014-15: two percent).

- The total FY 2011-12 projected budget for language services was \$6.3 million: 40 percent for compensatory bilingual pay, 11 percent for telephonic interpretation, nine percent for document translation, 38 percent for on-site interpretation, and one percent for other unallocated costs. The total FY 2012-13 projected budget was \$8.3 million: 39 percent for on-site interpretation, 32 percent for compensatory bilingual pay, 14 percent for special projects, nine percent for telephonic interpretation, and five percent for document translation. The total FY 2013-14 projected budget was \$8.9 million: 43 percent for on-site interpretation, 28 percent for compensatory bilingual pay, 13 percent special projects, 10 percent for telephonic interpretation, and five percent for document translation services. The total FY 2014-15 projected budget is \$8.3 million: 36 percent for special projects, 35 percent for compensatory bilingual pay, 15 percent for telephonic interpretation, eight percent for document translation and six percent for on-site interpretation.
- While on-site interpretation was the top budget category for the past three years (FY 2011-12: 38 percent, FY 2012-13: 39 percent, and FY 2013-14: 43 percent), it is now the smallest category (six percent). This is likely due to the Department of Public Health reporting no expenses in this category in FY 2014-15 after comprising 98 percent of the category's expenses in FY 2013-14.
- Special projects have increased by 2,543 percent since FY 2011-12. Telephonic interpretation services have decreased over the past four years by four percent, followed by document translation services with a decrease of 40 percent. Compensatory bilingual pay decreased by 41 percent and on-site interpretation services decreased by 90 percent.

## Language Services Provisioning

The LAO also mandates Departments to provide both written translations and interpretation services to LEP residents.

**Translated Materials-** Departments are mandated to translate written materials that provide vital information to the public about department services and programs. For FY 2013-14, Departments reported producing 1812 translated materials, with the MTA and Rent Board reporting the highest number of translations (435 MTA, 390 Rent Board). The majority of documents were translated into Spanish and Chinese, with increasing numbers in Filipino, and some Vietnamese and Russian. Some materials were also translated in Japanese, Korean, Hindi, Gujarati, Samoan and Arabic.

**Telephonic Messages-** For FY 2013-14, 27 percent of Departments (7) reported having a different telephone number for LEP individuals and 69 percent (18) reported having in-language recorded messages. The Library, Human Services Agency and Sheriff's Department reported separate telephone numbers for LEP individuals with messages available in five languages.

The number of in-language recorded messages has varied over the past four years. In FY 2010-11 and FY 2011-12, 69 percent of Departments (18) reported having telephonic messages in other languages in addition to English. In FY 2012-13, 73 percent of Departments reported having recorded telephonic messages available in languages other than English.

**Interpretation Services for Public Meetings-** For FY 2013-14, 42 percent of Departments (11) reported offering interpretation at 422 public meetings, serving approximately 1,946 LEP attendees. The provisioning of on-site interpretation at public meetings has varied by one or two Departments over the past four years. In FY 2010-11, 42 percent of Departments (11) provided on-site interpretation at meetings; in FY 2011-12, 46 percent (12) provided the service, and in FY 2012-13, 54 percent (14) provided on-site interpretation at public meetings.

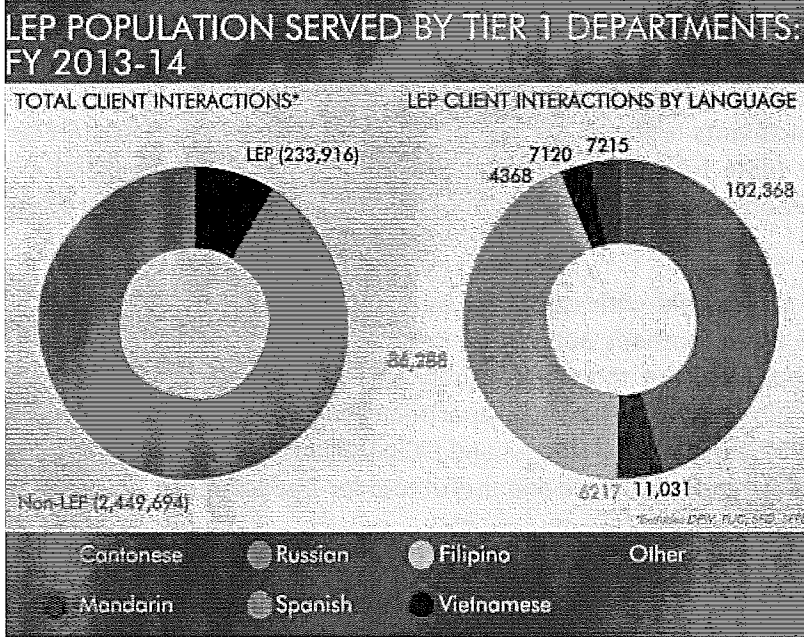
**Telephonic Interpretation Services-** Departments may track their interactions with LEP clients using telephonic records of language assistance.<sup>18</sup> For FY 2013-14, 77 percent of Departments (20) tracked call volumes, 88 percent (23) use Language Line services, 30 percent (8) use both Language Line and internal staff, and eight percent (2) use only internal staff. Over 59,000 calls were interpreted, with 42 percent (25,020) in Spanish, 21 percent (12,284) in Cantonese, five percent (3,147) in Mandarin, and four percent (2,752) in Russian.

**Telephonic Calls By Language FY 2010-2014**

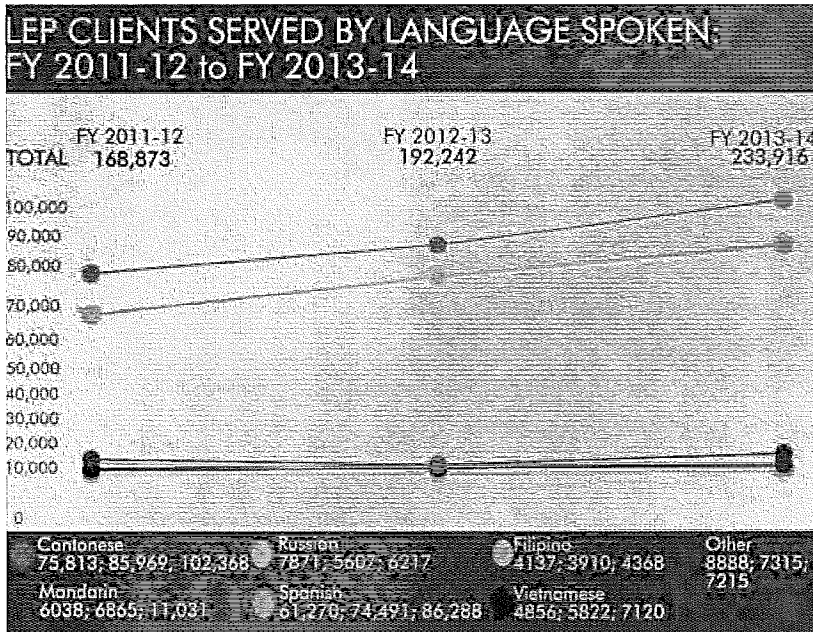
Year	Spanish	Cantonese	Mandarin	Russian	Vietnamese	Filipino
FY 2010-11	44%	40%	4%	4%	6%	1%
FY 2011-12	43%	32%	5%	3%	5%	1%
FY 2012-13	51%	30%	6%	4%	2%	3%
FY 2013-14	42%	21%	5%	4%	2%	<1%

<sup>18</sup> Sec. 91.2 (k).

## LEP Clients Served



**LEP Interactions-** Total client interactions reported for FY 2013-14, were 2,683,610. LEP interactions were 233,916 or 8.7% of total client interactions, an increase of 21.7% over the last fiscal year. Overall client interactions as reported decreased from the previous year most likely due to Departments tracking actual data rather than using U.S. Census data.



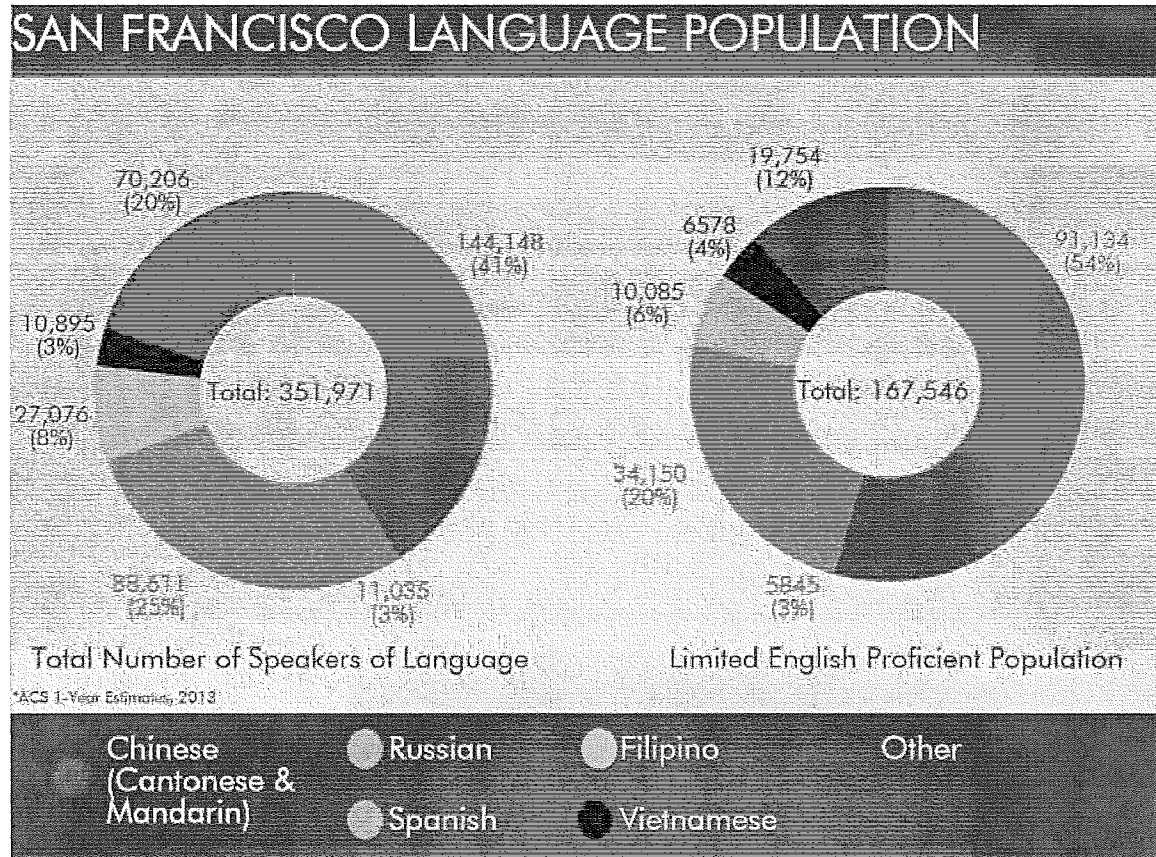
**LEP Client Interactions by Language-** As reported, the two most commonly spoken languages have remained consistent for the past four years: Cantonese and Spanish. For FY 2013-14, Cantonese was 44%, Spanish 37%, Mandarin 5%, Vietnamese 3%, Russian 3% and Filipino 2%. When compared to general client interactions across all Departments, only Cantonese and Spanish are more than one percent of total client interactions (about 4% for Cantonese and 3% for Spanish).



## Supervisory District Data on LEPs

As part of annual compliance plan reporting, Departments are required to provide information on LEP clients served by their facilities located in each corresponding Supervisory District.<sup>19</sup> However, for the past four years, this has been consistently difficult for Departments to report. For FY 2013-14, only six Departments reported LEP data by Supervisory District. OCEIA could only validate data from four (data from the remaining two- DPH and OEWD- were false or incomplete) thus, the information reported for LEP clients by Supervisory District is not usable for a citywide comparison.

Most Departments continue to struggle with capturing information on LEP clients served in each district using one of the three methods outlined in the LAO. Their past reliance on using U.S. Census estimates has improved, but this is clearly an area in which Departments need guidance or better tools. The San Francisco Planning Department has been extremely helpful in providing reliable information by Supervisory District and OCEIA will continue to work with the Planning Department to develop a more accurate and useful tool for Departments.



<sup>19</sup> Section 91.10 (b)- The number and percentage of limited English speaking residents of each district in which a Covered Department Facility is located and persons who use the services provided by a Covered Department Facility, listed by language other than English, using either method in Section 91.2(k) of this Chapter.



**Whether in an emergency or in the course of routine business matters, the success of government efforts to effectively communicate with members of the public depends on the widespread and nondiscriminatory availability of accurate, timely, and vital information.**

—U.S. Attorney General Eric J. Holder, Jr.

**Adequate funding is a vital aspect of compliance.... However, fiscal pressures are not a blanket exemption from civil rights requirements.**

—U.S. Department of Justice letter to North Carolina Courts on their obligation to meet federal language access requirements<sup>20</sup>

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<sup>20</sup>Assistant U.S. Attorney General Thomas E. Perez March 2012 letter to Honorable John W. Smith Director North Carolina Administrative Office of the Courts. Retrieved from [http://www.justice.gov/crt/about/cor/TitleVI/030812\\_DOJ\\_Letter\\_to\\_NC\\_AOC.pdf](http://www.justice.gov/crt/about/cor/TitleVI/030812_DOJ_Letter_to_NC_AOC.pdf) See also "Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons," 67 Fed. Reg. 41,455, 41,460 (June 18, 2002). Retrieved from [http://www.dhs.gov/xlibrary/assets/crcl\\_lep\\_guidance.pdf](http://www.dhs.gov/xlibrary/assets/crcl_lep_guidance.pdf).

### III. LAO REQUIREMENTS

The Language Access Ordinance (LAO) was enacted in 2001 to ensure equal access to City services for all San Franciscans, including those with limited proficiency in English. The LAO imposes on Tier 1 City Departments the obligation to use sufficient numbers of bilingual employees in public contract positions to provide the same level of information and services to Limited English Proficient (LEP) persons as they provide to English speakers in each language that meets certain language thresholds.<sup>21</sup>

TIER 1 DEPARTMENTS	TIER 2 DEPARTMENTS
<p>All Departments designated as Tier 1 must comply with the full extent of the law and submit Annual Compliance Plans to the Board of Supervisors, Mayor, and the Immigrant Rights Commission through the Office of Civic Engagement &amp; Immigrant Affairs.</p> <ol style="list-style-type: none"> <li>1. Adult Probation Department</li> <li>2. Airport, San Francisco International</li> <li>3. Assessor Recorder, Office of the</li> <li>4. Building Inspection, Department of</li> <li>5. City Hall Building Management</li> <li>6. District Attorney</li> <li>7. Economic and Workforce Development, Office of</li> <li>8. Elections, Department of</li> <li>9. Emergency Management, Department of</li> <li>10. Environment Department (SF Environment)</li> <li>11. Fire Department</li> <li>12. Human Services Agency</li> <li>13. Juvenile Probation Department</li> <li>14. Library, San Francisco Public</li> <li>15. Municipal Transportation Agency</li> <li>16. Planning Department</li> <li>17. Police Department</li> <li>18. Public Defender</li> <li>19. Public Health, Department of</li> <li>20. Public Utilities Commission</li> <li>21. Public Works (San Francisco Public Works)</li> <li>22. Recreation and Park Department</li> <li>23. Rent Board (Residential Rent Stabilization and Arbitration Board)</li> <li>24. Sheriff Office</li> <li>25. Treasurer /Tax Collector</li> <li>26. Zoo, San Francisco</li> </ol>	<p>All other City Departments not specified as Tier 1 that provide information or services directly to the public must comply with minimum requirements of the LAO. Based on the extent of their work with the public, the following Departments are considered Tier 2 (list not limited to these Departments):</p> <ol style="list-style-type: none"> <li>1. 311</li> <li>2. Animal Care and Control</li> <li>3. Child Support Services</li> <li>4. Department of Children, Youth &amp; Their Families</li> <li>5. Office of Citizen Complaints</li> <li>6. City Administrator's Office</li> <li>7. City Attorney</li> <li>8. Clerk of the Board of Supervisors</li> <li>9. Office of Contract Administration</li> <li>10. Controller's Office</li> <li>11. County Clerk</li> <li>12. General Services Agency</li> <li>13. Human Resources</li> <li>14. Human Rights Commission</li> <li>15. Office of Labor Standards Enforcement</li> <li>16. Mayor's Office</li> <li>17. Mayor's Office of Criminal Justice</li> <li>18. Mayor's Office on Disability</li> <li>19. Mayor's Office of Housing</li> <li>20. Mayor's Office of Neighborhood Services</li> <li>21. Medical Examiner</li> <li>22. Port of San Francisco</li> <li>23. Office of Public Finance</li> <li>24. Purchasing</li> <li>25. Office of Small Business</li> <li>26. Department on the Status of Woman</li> <li>27. Department of Technology</li> </ol>

<sup>21</sup> Departments must provide information and services in each language spoken by either a Concentrated or Substantial number of Limited English Speaking Persons. "Concentrated Number of Limited English Speaking Persons" means either five percent of the population of the district in which a covered Department facility is located or five percent of those persons who use the services provided by the facility. Section 91.2(e). "Substantial Number of Limited English Speaking Persons" means either 10,000 city residents or five percent of those persons who use the Department's services. Section 91.2(k).

Following is a summary of key requirements under the Language Access Ordinance for all city departments that provide information to the public.

#### **MINIMUM REQUIREMENTS FOR ALL PUBLIC-SERVING CITY DEPARTMENTS (TIER 1 AND 2)**

1. Inform Limited English Speaking Persons who seek services in their native tongue of their right to request translation services from all City Departments.
2. Translate all publicly-posted documents related to (1) services provided and, or affecting a person's rights to, determination of eligibility of, award of, denial of, or decrease in benefits, or (2) services into the languages spoken by a Substantial Number of Limited English Speaking Persons.
3. Post notices in public areas of facilities.
4. Ensure translations are accurate and appropriate.
5. Designate a staff member for quality control.
6. Oral interpretation of any public meeting or hearing if requested at least 48 hours in advance.
7. Translate meeting minutes if (1) requested; (2) after the Legislative body adopts the meeting minutes; and (3) within a reasonable time period thereafter.
8. Allow complaints alleging violation of the LAO.
9. Document actions to resolve complaints and maintain copies of complaints for not less than 5 years. A copy shall be forwarded to the Immigrant Rights Commission and OCEIA within 30 days of receipt.

#### **ADDITIONAL REQUIREMENTS FOR TIER 1 CITY DEPARTMENTS**

In addition to meeting the above minimum requirements, Tier 1 Departments must also track and provide the following information in their annual plans:

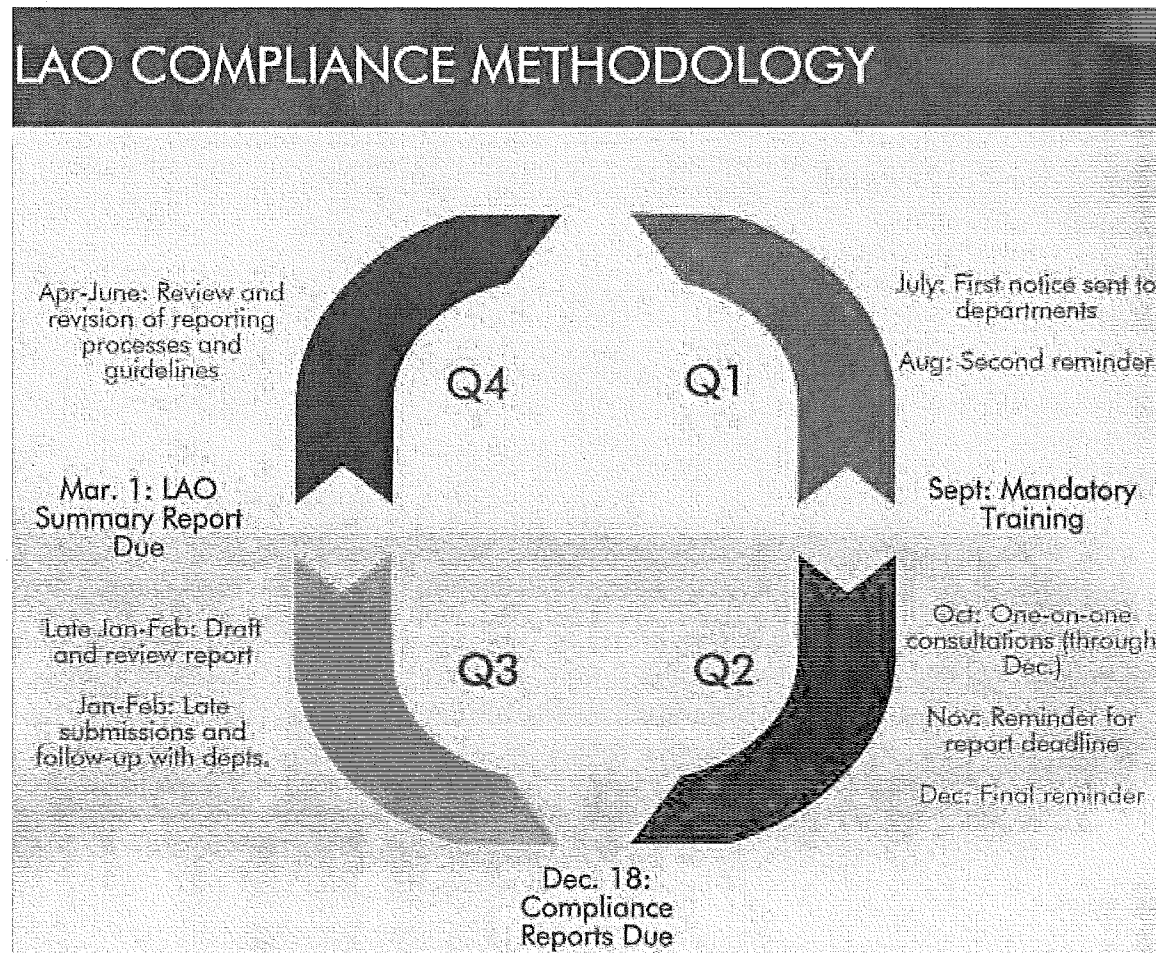
1. Total number and percentage of limited English speaking persons who use the Department's services listed by language.
2. Total number and percentage of limited English speaking clients residing in the supervisory district in which the Department is located who use Department services, listed by language.
3. A demographic profile.
4. Total number of public contact positions.
5. Bilingual public contact positions.
6. Language access liaison.
7. Telephone-based interpretation services.
8. Protocols to communicate with limited English-speaking clients.
9. Employee development and training strategy, and quality control protocols for bilingual employees and individuals in crisis situations.
10. An assessment of the adequacy of bilingual staff public contact positions.
11. List of all designated bilingual staff assigned to review accuracy and appropriateness of translation materials.
12. List of the Department's written materials required to be translated by language.
13. Written copies on providing services to Limited English Speaking Persons.
14. Procedures for receiving and resolving complaints of any alleged violations of the ordinance.
15. Department goals for the upcoming year and a comparison to the previous year's goals.
16. Budget allocation and strategy.
17. Changes between previous Plan submittal and current submittal.
18. Any information requested by the Immigrant Rights Commission necessary for implementing listed requirements above.



## IV. CITYWIDE COMPLIANCE REVIEW AND METHODOLOGY

As amended in 2009, the LAO requires OCEIA to ensure citywide compliance with language access laws and to provide a summary report each year to the Immigrant Rights Commission, Board of Supervisors and Mayor indicating which Tier 1 Departments have filed their annual language access plans.

In 2009, OCEIA developed a standardized compliance plan form to simplify the reporting process and facilitate analysis across diverse Tier 1 Departments. This form is updated each year and in 2014, the form was mechanized and will be available in a completely digital format in FY 2015-16. The reporting form, which is based on Chapter 91 of the Administrative Code, is divided into three sections: 1) Departmental Results, 2) Language Access Planning and, 3) Language Access Documentation. Tier 1 Departments must complete the form and provide relevant attachments to supplement the information requested, including written policies, assessments, goals, and protocols for emergency situations. All compliance plans must be reviewed and signed by respective Department Heads.



Following is an overview of the LAO Process:

<p><b>Mandatory Training</b></p>	<p>Since 2010, Departments have been required to attend mandatory training sessions. OCEIA developed the training to reinforce LAO requirements and rationale. Two levels of interactive training are provided:</p> <ul style="list-style-type: none"> <li>✓ Mandatory Tier 1 training to reinforce and clarify compliance reporting requirements. The trainings include information on collecting, monitoring and reporting language services for each Department. Tier 1 Departments are trained on LAO legal requirements, language access rights, complaint procedures and cost-effective methods of tracking data.</li> <li>✓ General training to familiarize all Departments providing information to the public (Tier 1, Tier 2 and interested parties) with local, state and national legal requirements, LEP demographics, and an overview of San Francisco's LAO. Departments are encouraged to participate in dialogue and share best practices, challenges and innovations.</li> <li>✓ Since September 2012, a third component was added to the mandatory training to include community feedback panels and interactive discussion as well as a resource fair for City Departments.</li> </ul>
<p><b>Reporting Period</b></p>	<p>Compliance plans from Tier 1 Departments are due in mid-December of each year and final completed plans are due no later than December 31. Departments report data from the previous complete fiscal year (July 1 to June 30). Reminders are sent to Department heads and liaisons several times during the year in advance of the filing date. The summary compliance report prepared by OCEIA is due on March 1 of each year to the Mayor, the Board of Supervisors and the Immigrant Rights Commission (IRC).</p>
<p><b>Submission of Annual Compliance Plans</b></p>	<p>Once individual Tier 1 Department plans are submitted, they are reviewed by OCEIA staff for completeness and accuracy. Incomplete reports are not accepted and Departments must first correct their plans before resubmitting.</p>
<p><b>Annual Plan Review and Analysis</b></p>	<p>OCEIA conducts a thorough analysis and comparison of all submitted data. Individual Department reports are recorded and the annual summary report is prepared and reviewed several times. An IRC advisor reviews the data sections of the summary report in advance.</p>
<p><b>Immigrant Rights Commission Oversight</b></p>	<p>The IRC reviews citywide compliance with the LAO and may conduct a joint hearing with the Board of Supervisors. The Commission is responsible for conducting outreach to LEP persons about their rights under the law; reviewing complaints about alleged LAO violations; working with Departments to resolve complaints and maintaining records; coordinating a language bank for Departments that choose to have translation done outside the Department and need assistance in obtaining translators; and reviewing Annual Compliance Plans. Most of this work is conducted by OCEIA staff on behalf of the IRC.</p>
<p><b>Public Hearings on Language Access</b></p>	<p>By June 30 of each year, OCEIA may request a joint public hearing with the Board of Supervisors and the Immigrant Rights Commission to assess the adequacy of the City's ability to provide the public with access to language services. The Board of Supervisors may link LAO compliance to the annual budgeting process.</p>

## V. DEPARTMENT COMPLIANCE DATA AND PLANS

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The following section provides summary data provided by Tier 1 Departments in their annual compliance plans for FY 2013-14 (year ended June 30, 2014), submitted on or before December 31, 2014 as required by the LAO.

Each Department was asked to respond to a standardized set of questions contained in the annual compliance plan form. Information is shown by individual Department as self-reported. Compliance Indicators (timeliness, accuracy, et cetera) are indicated on each Department's summary chart.





# ADULT PROBATION DEPARTMENT

## 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

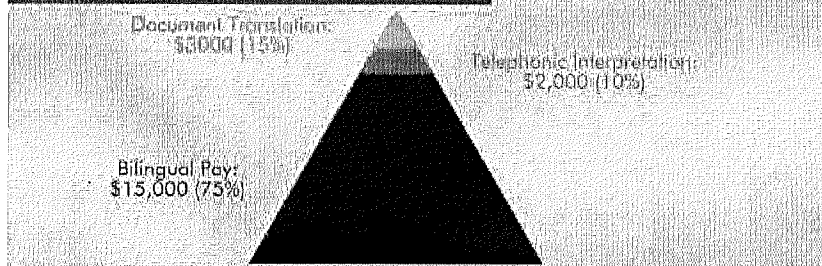
- ✓ Renew and update posted LAO information in reception areas
- ✓ Update recorded greeting to include English, Spanish, and Cantonese
- ✓ Provide training on LAO policy and bilingual premium to all staff
- ✓ Adhere to the Department's Bilingual Premium Policy to ensure compliance with labor Memorandum of Understanding and City policies
- ✓ Continue to translate notices and forms into core languages

### TOTAL DEPARTMENTAL BUDGET      TOTAL LANGUAGE ACCESS BUDGET

**\$35M**

**\$20K**

### LANGUAGE ACCESS BUDGET CATEGORIES



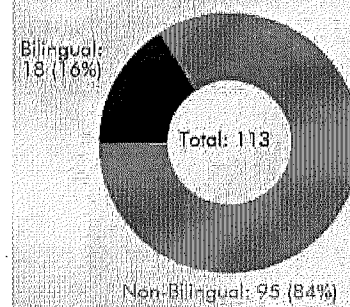
### LANGUAGE SERVICES OFFERED

Service	Count	Language(s)
Telephonic Interpretation	32 LEP Calls	Cantonese, Filipino, Spanish
Translated Documents	19 Documents	None
Recorded Message in Multiple Languages		
Oral Interpretation at Public Meetings		

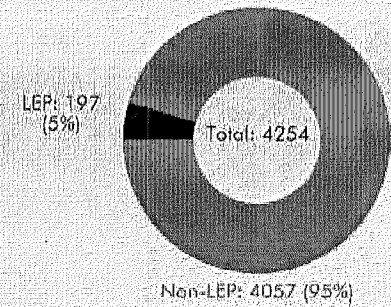
### COMPLIANCE INDICATORS

Submitted Plan on Time	Tracks LEP Client Interactions	LAO Complaint Process
Attended LAO Training	Written LAO Policy	Annual Goals, Budget & Strategy

### PUBLIC CONTACT STAFF



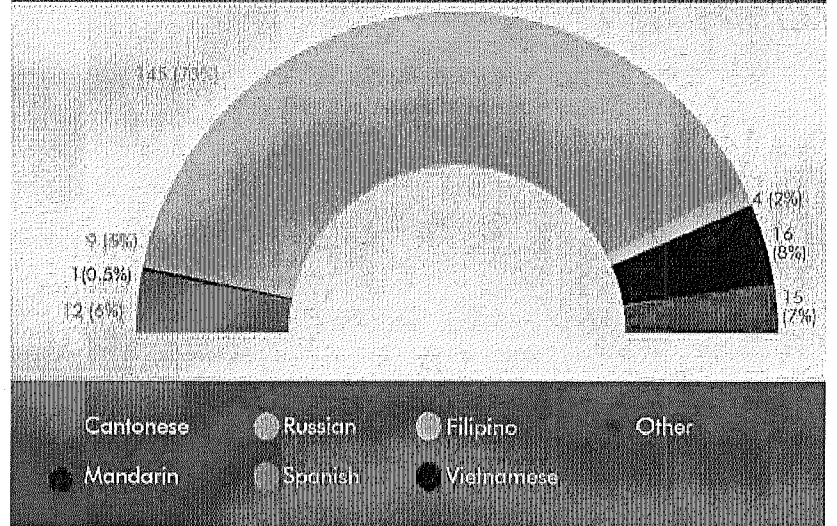
### CLIENT INTERACTIONS



### BILINGUAL STAFF - LANGUAGES SPOKEN



### LEP CLIENT INTERACTIONS BY LANGUAGE





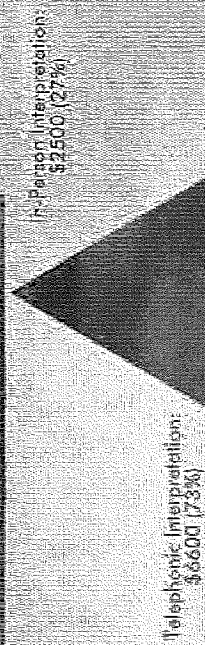
# SAN FRANCISCO INTERNATIONAL AIRPORT

## 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

- ✓ Continue to monitor language needs and recruit and hire bilingual volunteers. Every effort will be made to hire qualified candidates for staff positions with bilingual capabilities.
- ✓ The airport website is translated and available in foreign languages (Spanish, German, Japanese, French, Chinese, Italian, Korean, and Portuguese).
- ✓ iPads are available at all information desks with direct access to the airport's website that is available in foreign languages.
- ✓ Video Remote Interpretation (VRI) will be available to all Information Desk Language Training will be available to all volunteers.
- ✓ Language Kits will be used by volunteers and contract vendors to identify foreign languages spoken.

**TOTAL DEPARTMENTAL BUDGET: \$940.2M** **TOTAL LANGUAGE ACCESS BUDGET: \$9100**

### LANGUAGE ACCESS BUDGET CATEGORIES



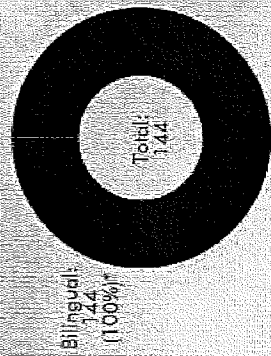
### LANGUAGE SERVICES OFFERED

- ✓ Telephonic Interpretation: 556 Calls, 6 Documents
- ✓ Translated Documents: 2 Meetings
- ✓ Recorded Message in Multiple Languages
- ✓ Oral Interpretation at Public Meetings

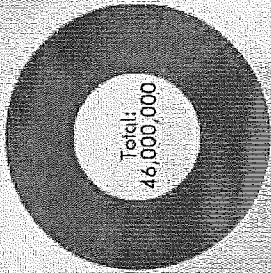
### COMPLIANCE INDICATORS

- Submitted Plan on Time
- Advanced LEO Training
- Tracks LEP Client Interactions
- Written LEO Policy
- LAO Complaint Process
- Annual Goals, Budget & Strategy

## PUBLIC CONTACT STAFF



## CLIENT INTERACTIONS



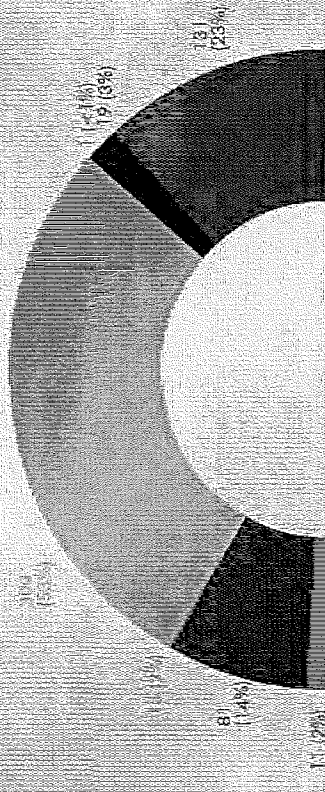
Non-Bilingual: 0 (0%)

Non-LEP: 45,999,434 (100%)

## BILINGUAL STAFF - LANGUAGES SPOKEN



## LEP CLIENT INTERACTIONS BY LANGUAGE



- Cantonese
- Mandarin
- Russian
- Spanish
- Filipino
- Vietnamese
- Other

# OFFICE OF THE ASSESSOR-RECORDER

## 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

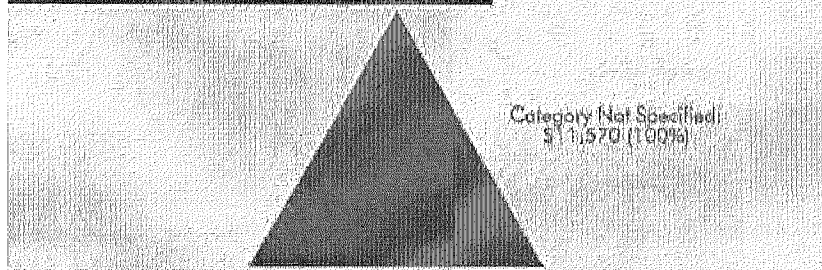
- ✓ Promote the usage of telephonic interpretation services by continuing education and training of staff about Language Line's conferencing real-time interpreter function.
- ✓ Post multilingual signage in the Front Counter area to give clear direction and improve publicity of LAO services to LEP communities.
- ✓ Increase the number of translated documents through securing a translation contract.
- ✓ Finalize the Department's written policy on providing services to LEP persons.
- ✓ Identify bilingual staff and assist interested staff with certification process.
- ✓ Increase multilingual website content.
- ✓ Expand Language Notification and Survey to business owners to assess language needs of business owners.

TOTAL DEPARTMENTAL BUDGET      TOTAL LANGUAGE ACCESS BUDGET




**\$22.5M**

**\$11.6K**

## LANGUAGE ACCESS BUDGET CATEGORIES



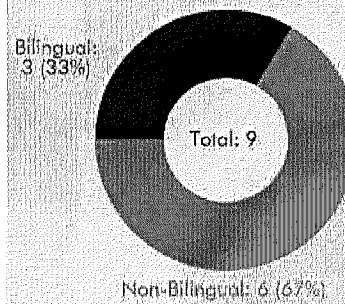
## LANGUAGE SERVICES OFFERED

<p>Telephonic Interpretation</p>  <p>98 Calls</p>	<p>Translated Documents</p>  <p>13 Documents</p>	<p>Recorded Message in Multiple Languages</p>  <p>Cantonese, Filipino, Spanish</p>	<p>Oral Interpretation at Public Meetings</p> <p>None</p>
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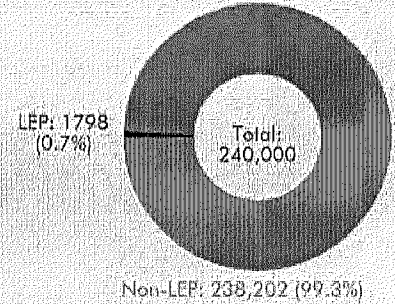
## COMPLIANCE INDICATORS

- |                        |                                |                                 |
|------------------------|--------------------------------|---------------------------------|
| Submitted Plan on Time | Tracks LEP Client Interactions | LAO Complaint Process           |
| Attended LAO Training  | Written LAO Policy             | Annual Goals, Budget & Strategy |

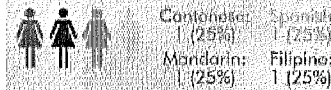
## PUBLIC CONTACT STAFF



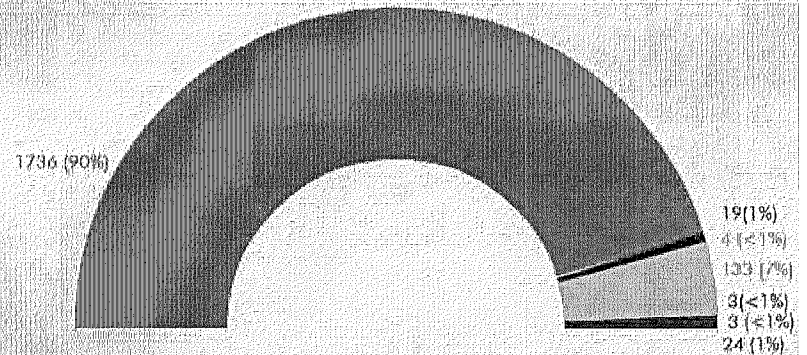
## CLIENT INTERACTIONS



## BILINGUAL STAFF - LANGUAGES SPOKEN



## LEP CLIENT INTERACTIONS BY LANGUAGE



- Cantonese
- Mandarin
- Russian
- Spanish
- Filipino
- Vietnamese
- Other

# DEPARTMENT OF BUILDING INSPECTION

## 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

- ✓ Identify/make available sufficient bilingual staff to meet LEP customer needs
- ✓ Publicly post physical signs in customer offices that Chinese, Spanish services can be requested
- ✓ Provide LEP services in Filipino
- ✓ Develop/update informational brochures in Chinese and Spanish, and make them available both online and at hot-call, homecalls during community outreach events throughout the fiscal year

**TOTAL DEPARTMENTAL BUDGET** **\$68M** **TOTAL LANGUAGE ACCESS BUDGET** **Not Provided**

### LANGUAGE ACCESS BUDGET CATEGORIES

**Not Provided**

### LANGUAGE SERVICES OFFERED

- Telephone Interpretation
- Translated Documents
- Recorded Message in Multiple Languages
- Oral interpretation at Public Meetings
- Number of documents unknown
- Cantonese, Mandarin, Spanish
- As needed

### COMPLIANCE INDICATORS

- Submitted Complaints
- Tracked LEP Client Interactions
- Whiter LAG Policy
- LAO Complaint Process
- Annual Goals, Budget & 37-d/epg





# CITY HALL BUILDING MANAGEMENT

## 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

- ✓ Track the percentage of LEP interaction in office/ phone calls
- ✓ Set up a language line account
- ✓ Designate bilingual staff for LEP interpretation
- ✓ Develop procedures for providing services to LEP patrons
- ✓ Develop a complaint system
- ✓ Install kiosks and make them operational

TOTAL DEPARTMENTAL BUDGET: **\$6M**      TOTAL LANGUAGE ACCESS BUDGET: **\$60K**

### LANGUAGE ACCESS BUDGET CATEGORIES

Not Provided

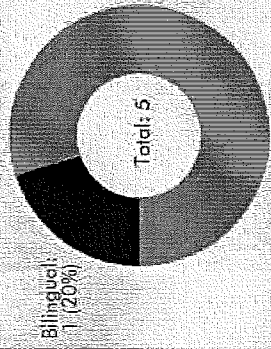
### LANGUAGE SERVICES OFFERED

- ✓ Telephonic Interpretation
  - ✓ Translated Documents
  - ✓ Recorded Message in Multiple Languages
  - ✓ Oral Interpretation of Public Meetings
- N/A      2 Documents      Cantonese, Filipino, Mandarin, Russian      None

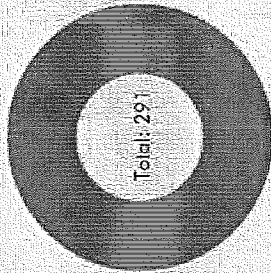
### COMPLIANCE INDICATORS

- Submitted Plan on Time
- Attended LEO Training
- Tracks LEP Client Interactions
- Written LEO Policy
- LAO Complaint Process
- Annual Goals, Budget & Strategy

## PUBLIC CONTACT STAFF



## CLIENT INTERACTIONS



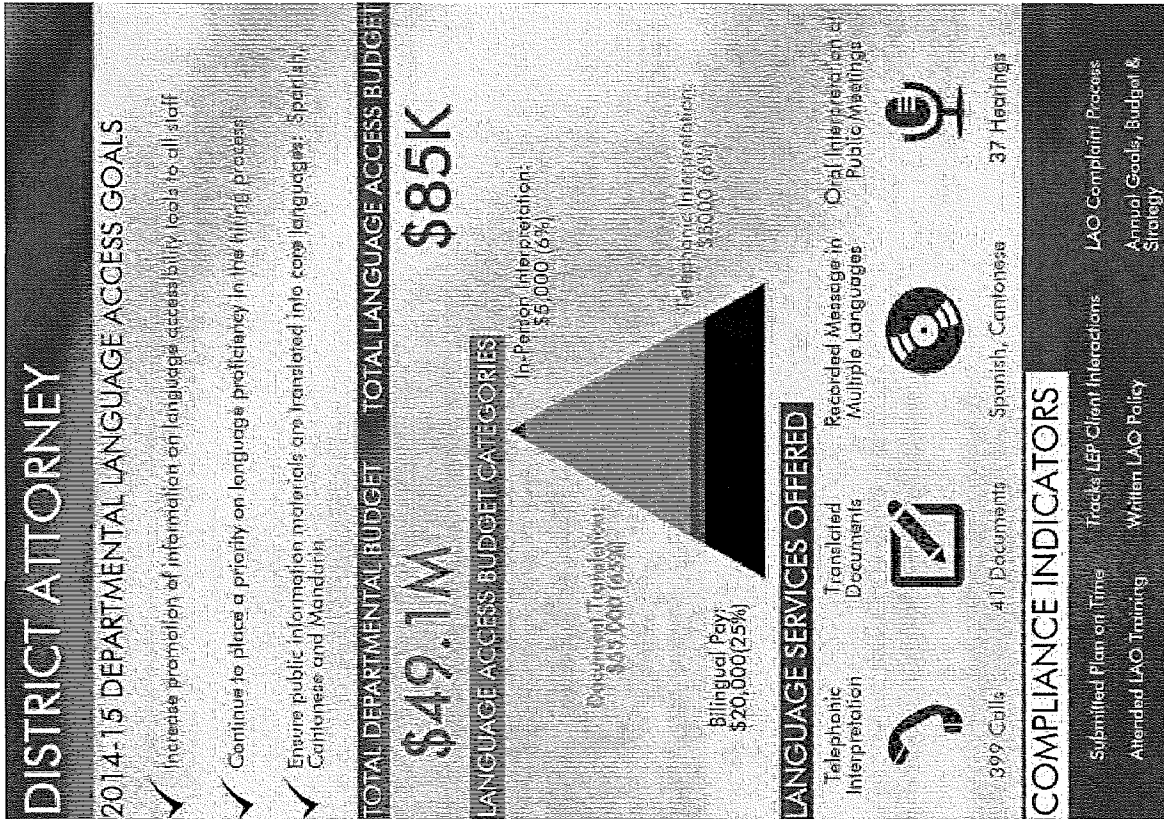
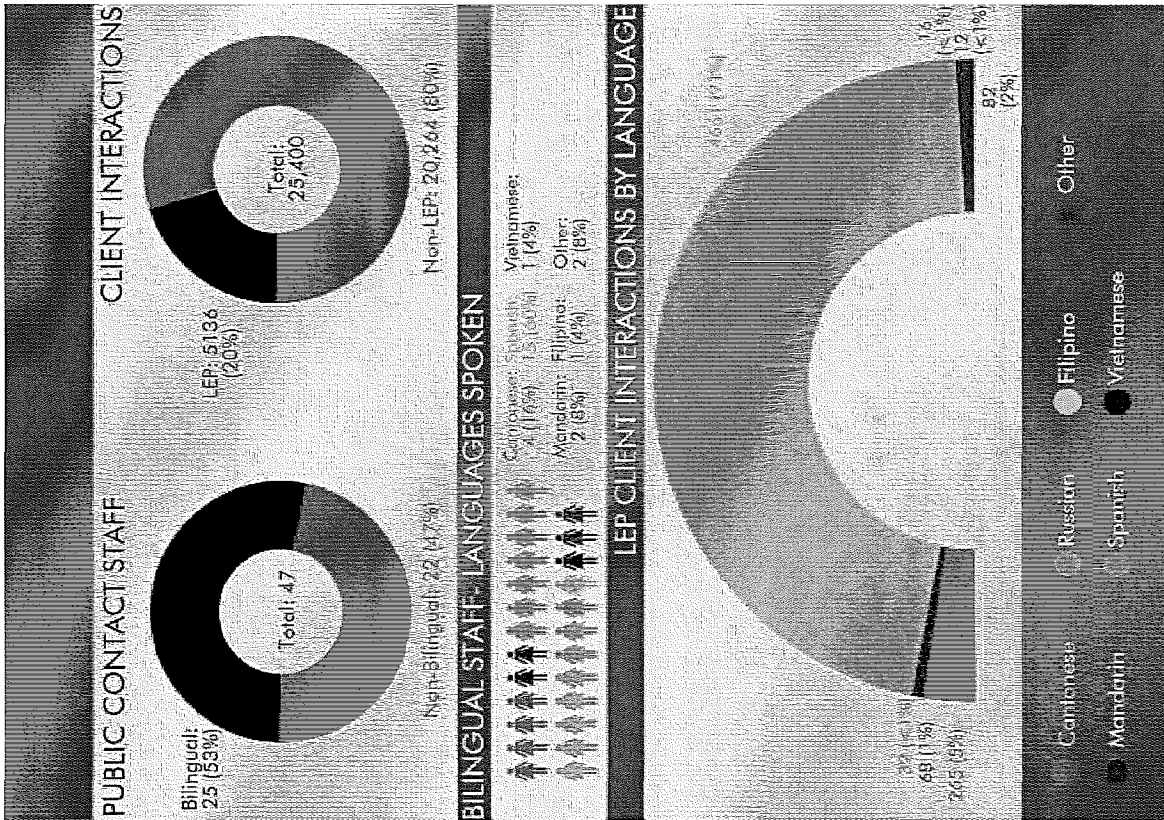
### BILINGUAL STAFF - LANGUAGES SPOKEN

Confession: 1 (100%)

### LEP CLIENT INTERACTIONS BY LANGUAGE

N/A:  
No LEP Clients Served

- Cantonese
- Mandarin
- Russian
- Spanish
- Filipino
- Vietnamese
- Other



# OFFICE OF ECONOMIC & WORKFORCE DEVELOPMENT

## 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

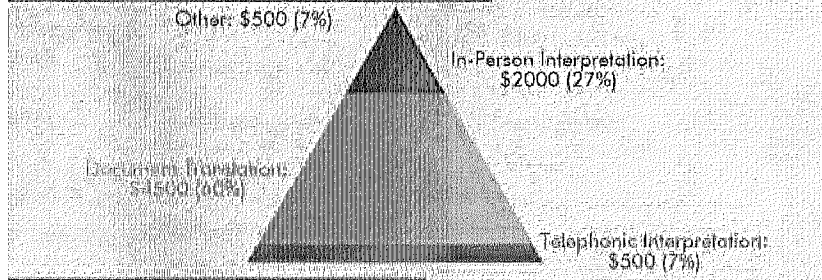
- ✓ Leverage community-based organization partners and existing resources to enhance CEWD's language capabilities
- ✓ Continue to translate written materials and provide translation services and access based on the communities served
- ✓ Translate documents and provide translation services to speakers that comprise over 5% or more of the population such as Korean and Vietnamese
- ✓ Work with other Tier 1 Departments on how to utilize best practices and explore opportunities with other Departments to share resources
- ✓ Formalize post disaster small business recovery efforts with the Dept. of Emergency Management to include language accessibility measures

### TOTAL DEPARTMENTAL BUDGET      TOTAL LANGUAGE ACCESS BUDGET

**\$33.2M**

**\$7.5K**

### LANGUAGE ACCESS BUDGET CATEGORIES



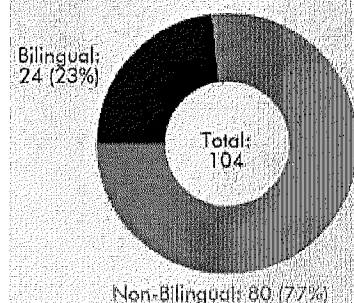
### LANGUAGE SERVICES OFFERED

Telephonic Interpretation	Translated Documents	Recorded Message in Multiple Languages	Oral Interpretation at Public Meetings
376 Calls	55 Documents	Spanish	253 Meetings

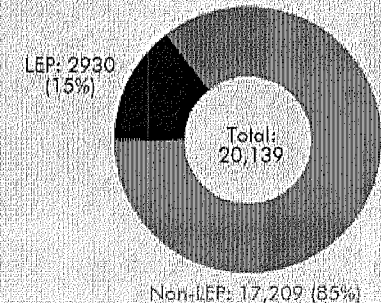
### COMPLIANCE INDICATORS

Submitted Plan on Time	Tracks LEP Client Interactions	LAO Complaint Process
Attended LAO Training	Written LAO Policy	Annual Goals, Budget & Strategy

### PUBLIC CONTACT STAFF



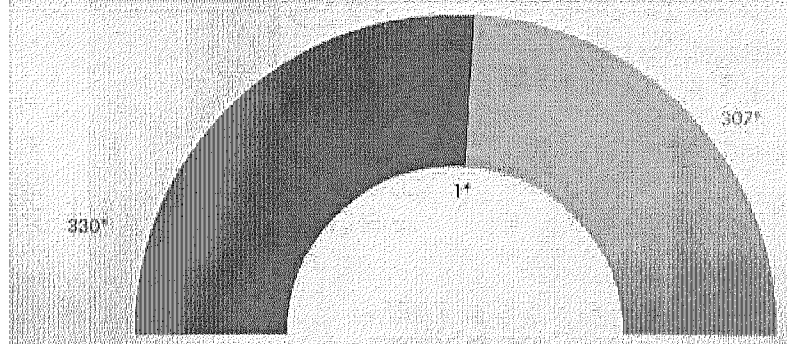
### CLIENT INTERACTIONS



### BILINGUAL STAFF - LANGUAGES SPOKEN



### LEP CLIENT INTERACTIONS BY LANGUAGE



\*The data provided by CEWD on client interactions by language did not correspond with the data provided by LEP clients served.

Cantonese	Russian	Filipino	Other
Mandarin	Spanish	Vietnamese	



# DEPARTMENT OF ELECTIONS

## 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

- ✓ Develop and implement an outreach and voter education plan aimed at reaching communities protected by the Voting Rights Act, Section 203
- ✓ Continue to provide adequate language assistance to LEP voters at the polls on Election Day
- ✓ Continue to provide multilingual information about registration and voting process to the public through scheduled events, presentations, and naturalization ceremonies
- ✓ Develop and execute a plan to implement Filipino language access, allowing the Department to offer full-scale language assistance, including providing official ballots and the Voter Information Pamphlet in Filipino, beginning with the November 3, 2015 Municipal Election

## TOTAL DEPARTMENTAL BUDGET TOTAL LANGUAGE ACCESS BUDGET

**\$15.8M** **\$1.3M**

## LANGUAGE ACCESS BUDGET CATEGORIES

Document Translations: \$25,000 (2%)  
 Other: \$1,021,055 (80%)  
 Bilingual Pay: \$22,000 (2%)

Telephone Interpretation: \$500 (< 1%)

## LANGUAGE SERVICES OFFERED

- ✓ Telephone Interpretation
- ✓ Translated Documents
- ✓ Recorded Message in Multiple Languages
- ✓ Oral Interpretation at Public Meetings

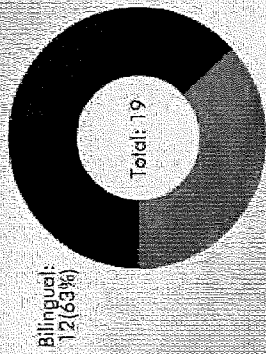


3200 Calls Not Provided Cantonese, Mandarin, Spanish, Nepali

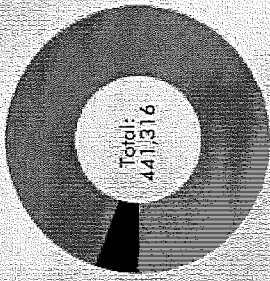
## COMPLIANCE INDICATORS

- Submitted Plan on Time
- Tracked LEP Client Interactions
- Written LAO Policy
- LAO Complaint Process
- Annual Goals, Budget & Strategy

## PUBLIC CONTACT STAFF



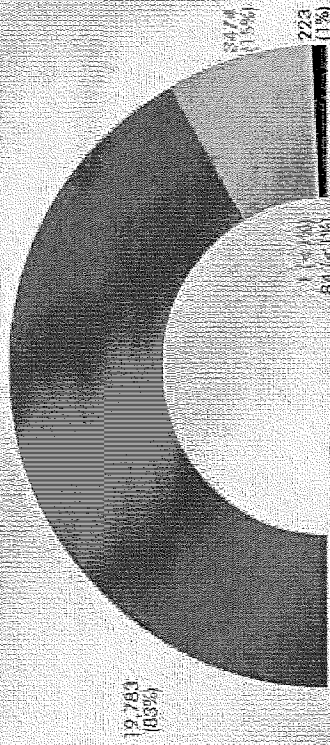
## CLIENT INTERACTIONS



## BILINGUAL STAFF - LANGUAGES SPOKEN



## LEP CLIENT INTERACTIONS BY LANGUAGE



- Chinese (Includes Cantonese & Mandarin)
- Russian
- Filipino
- Other
- Spanish
- Vietnamese

# DEPARTMENT OF EMERGENCY MANAGEMENT

## 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

✓ Continue to provide fast and accurate oral translation services for 3:1-1 calls as well as accurate written materials in multiple languages.

**TOTAL DEPARTMENTAL BUDGET** **\$69.5M** **TOTAL LANGUAGE ACCESS BUDGET** **\$39.7K**

### LANGUAGE ACCESS BUDGET CATEGORIES

Bilingual Pay: \$39,672 (100%)

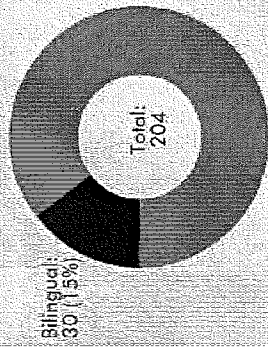
### LANGUAGE SERVICES OFFERED

- Telephonic Interpretation
- Translated Documents
- Recorded Message in Multiple Languages
- On-site Interpretation at Public Meetings
- 5,632 Calls
- 1 Document
- Confidentially Mandarin & Spanish

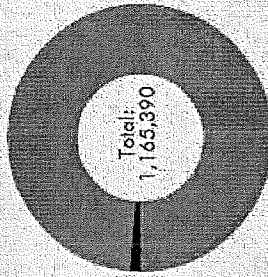
### COMPLIANCE INDICATORS

- Submitted Plan on Time
- Tracked LEP Client Interactions
- Written LEO Policy
- LAO Completion Process
- Annual Goals, Budget & Strategy

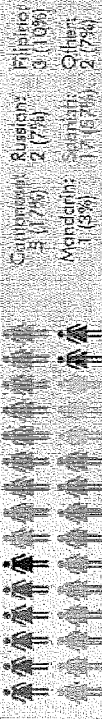
# PUBLIC CONTACT STAFF



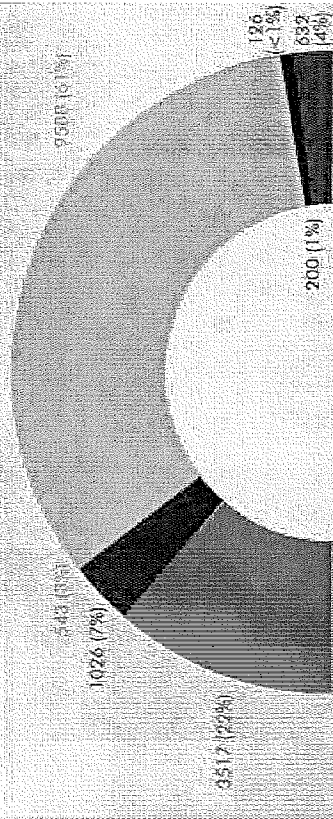
# CLIENT INTERACTIONS



### BIILINGUAL STAFF - LANGUAGES SPOKEN



### LEP CLIENT INTERACTIONS BY LANGUAGE



- Cantonese
- Mandarin
- Russian
- Spanish
- Filipino
- Other
- Vietnamese



# DEPARTMENT OF THE ENVIRONMENT

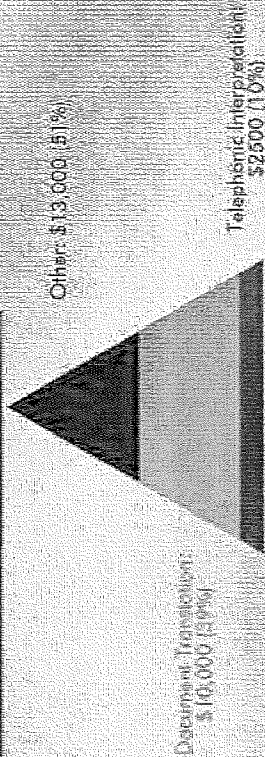
## 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

- ✓ Finalize Language Access Policy for Departmental procedures
- ✓ Set contract with language line for telephone translation services
- ✓ Launch in-language "micro" web sites
- ✓ Finalize translation glossary and publish

## TOTAL DEPARTMENTAL BUDGET TOTAL LANGUAGE ACCESS BUDGET

**\$21M** **\$25.5K**

## LANGUAGE ACCESS BUDGET CATEGORIES



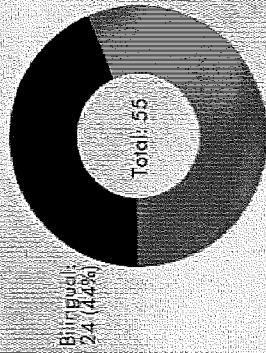
## LANGUAGE SERVICES OFFERED

- ✓ Telephonic Interpretation
- ✓ Translated Documents
- ✓ Recorded Message in Multiple Languages
- ✓ Oral Interpretation at Public Meetings
- ✓ 98 Documents
- ✓ 2 Meetings

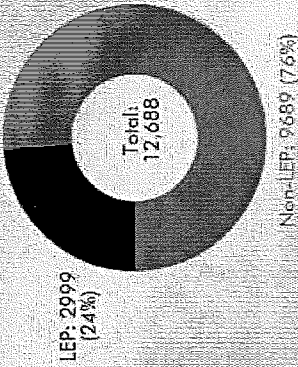
## COMPLIANCE INDICATORS

- Submitted Plan on Time
- Tracked LEP Client Interactions
- Attended LEO Training
- Written LEO Policy
- LAO Complaint Process
- Annual Goals, Budget & Strategy

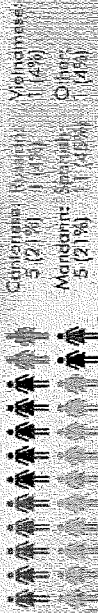
## PUBLIC CONTACT STAFF



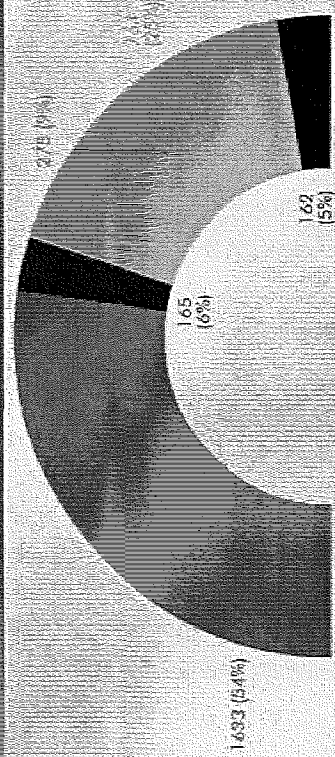
## CLIENT INTERACTIONS



## BILINGUAL STAFF - LANGUAGES SPOKEN



## LEP CLIENT INTERACTIONS BY LANGUAGE



- Cantonese
- Mandarin
- Russian
- Spanish
- Filipino
- Vietnamese
- Other

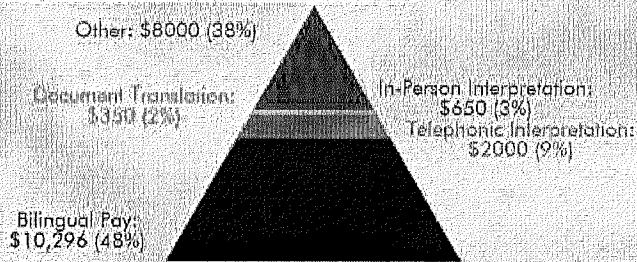
# FIRE DEPARTMENT

## 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

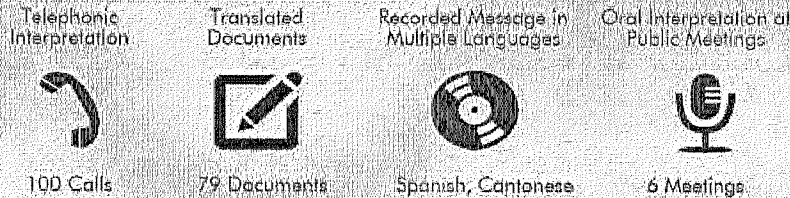
- ✓ Provide translated LAO Complaint Forms
- ✓ Publicly post translated Notice announcing Language Services Available
- ✓ Implementation of language services in Filipino
- ✓ Improve awareness of Department Language Access Policy (employee training & orientation)
- ✓ Require Bilingual Skills Survey for New Hires
- ✓ Translate literature regarding Fire & Life Safety
- ✓ Translate Fire Prevention Bulletins and Permit Information

TOTAL DEPARTMENTAL BUDGET: **\$346.1M**  
 TOTAL LANGUAGE ACCESS BUDGET: **\$21.3K**

### LANGUAGE ACCESS BUDGET CATEGORIES



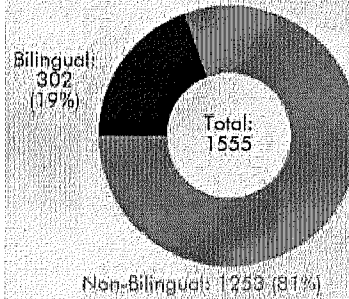
### LANGUAGE SERVICES OFFERED



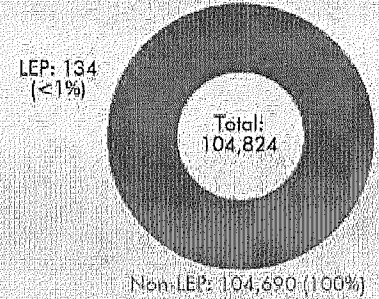
### COMPLIANCE INDICATORS

- Submitted Plan on Time
- Tracks LEP Client Interactions
- LAO Complaint Process
- Attended LAO Training
- Written LAO Policy
- Annual Goals, Budget & Strategy

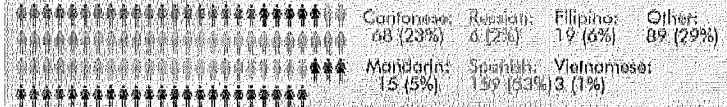
### PUBLIC CONTACT STAFF



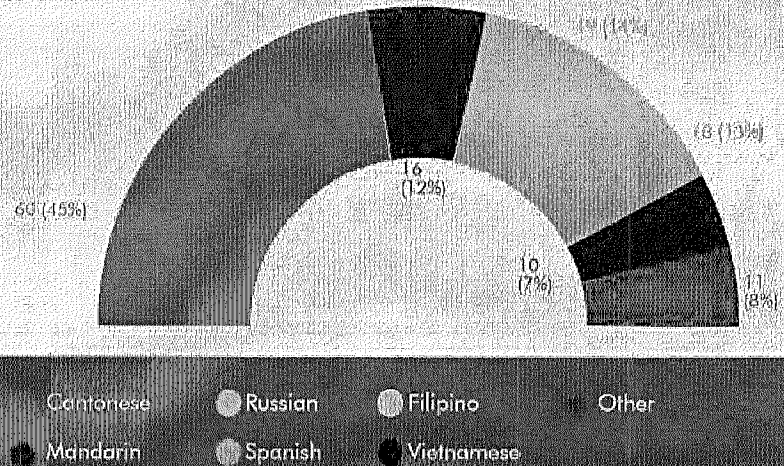
### CLIENT INTERACTIONS



### BILINGUAL STAFF: LANGUAGES SPOKEN



### LEP CLIENT INTERACTIONS BY LANGUAGE



# HUMAN SERVICES AGENCY

## 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

✓ Continue to improve the Department's visibility and content in the threshold languages

**TOTAL DEPARTMENTAL BUDGET**    **\$835.7M**    **TOTAL LANGUAGE ACCESS BUDGET**    **\$195.9K**

### LANGUAGE ACCESS BUDGET CATEGORIES

In-Person Interpretation: \$16,365 (9%)

Document Translation: \$9,500 (5.1%)

### LANGUAGE SERVICES OFFERED

Telephonic Interpretation    Recorded Message in Multiple Languages    Oral Interpretation at Public Meetings

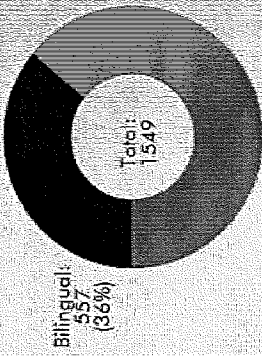


3840 Calls    83 Documents    Spanish, Russian, Vietnamese, Filipino, Cantonese

### COMPLIANCE INDICATORS

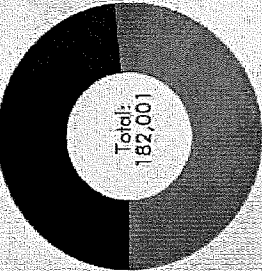
Submitted Plan on Time    Trained LEP Client Interactions    LAO Complaint Process  
 Attended LAO Training    Worked LAO Policy    Annual Goals, Budget & Strategy

## PUBLIC CONTACT STAFF



Non-Bilingual: 992 (6.4%)

## CLIENT INTERACTIONS

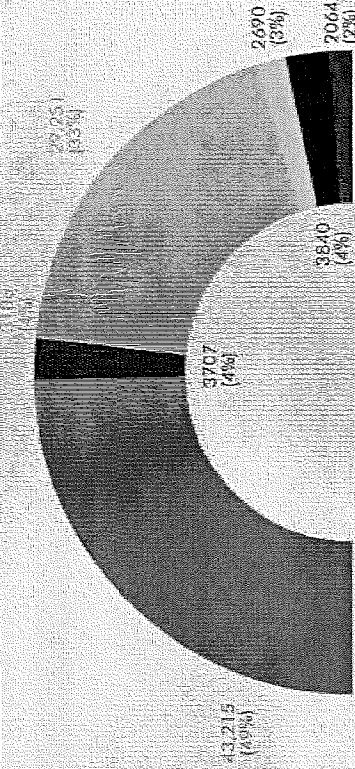


Non-LEP: 94,048 (52%)

### BILINGUAL STAFF- LANGUAGES SPOKEN



### LEP CLIENT INTERACTIONS BY LANGUAGE



- Cantonese
- Mandarin
- Russian
- Spanish
- Vietnamese
- Filipino
- Other



# JUVENILE PROBATION DEPARTMENT

## 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

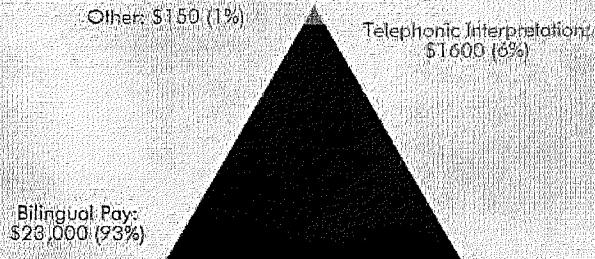
- ✓ Ensure the Parent Guide to the Juvenile Justice System is always available in every language at Juvenile Hall
- ✓ Make as needed appropriate changes to the Parent Guide to the Juvenile Justice System and ensure these changes are reflected in hard copies and the on-line publication.
- ✓ Continued Dissemination of the Parent Guide to the Juvenile Justice System to community partners.
- ✓ Continue the practice of translating new material to key languages of our consumers
- ✓ Work with OCEIA to review and refine protocols for communicating with LEP clients

## TOTAL DEPARTMENTAL BUDGET      TOTAL LANGUAGE ACCESS BUDGET



**\$38.5M**

**\$24.8K**

## LANGUAGE ACCESS BUDGET CATEGORIES



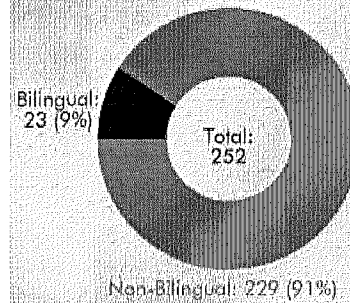
## LANGUAGE SERVICES OFFERED

Telephonic Interpretation	Translated Documents	Recorded Message in Multiple Languages	Oral Interpretation at Public Meetings
			
127 Calls	17 Documents		

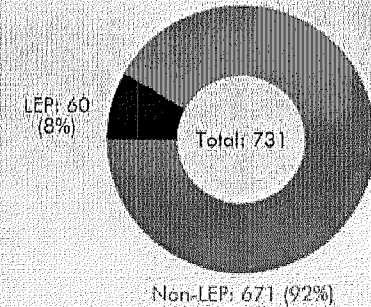
## COMPLIANCE INDICATORS

- Submitted Plan on Time
- Tracks LEP Client Interactions
- LAO Complaint Process
- Attended LAO Training
- Written LAO Policy
- Annual Goals, Budget & Strategy

## PUBLIC CONTACT STAFF



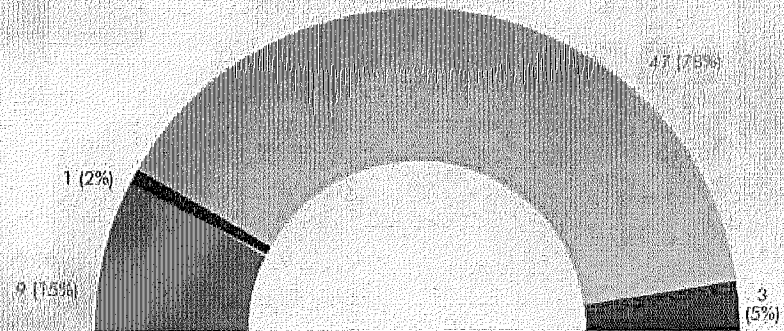
## CLIENT INTERACTIONS



## BILINGUAL STAFF - LANGUAGES SPOKEN



## LEP CLIENT INTERACTIONS BY LANGUAGE



- Cantonese
- Russian
- Filipino
- Other
- Mandarin
- Spanish
- Vietnamese

## PUBLIC LIBRARY

### 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

- ✓ Analyze US Census and community demographic data to reflect additional priority languages
- ✓ Implement outreach strategies to improve services based on library users' voluntary language preference identification methods
- ✓ Further increase access to library resources and services through enhanced translation and interpretation services

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### TOTAL DEPARTMENTAL BUDGET \$112.3M

### TOTAL LANGUAGE ACCESS BUDGET \$144K

#### LANGUAGE ACCESS BUDGET CATEGORIES

In-Person Interpretation:	\$16,000 (11%)
Telephonic Interpretation:	\$10,000 (7%)
Other:	\$18,000 (9%)
<b>Bilingual Pay:</b>	<b>\$95,000 (66%)</b>

Dispersed in various programs \$10,000 (7%)

---

#### LANGUAGE SERVICES OFFERED

- ✓ Telephonic Interpretation
- ✓ Translated Documents
- ✓ Recorded Message in Multiple Languages
- ✓ Oral Interpretation of Public Meetings

0 Calls  
135 Documents

Icons: Telephone, Document with pencil, CD, and a person with speech bubble.

---

#### COMPLIANCE INDICATORS

- Submitted Plan on Time
- Attended LAO Training
- Tracks LEP Client Interactions
- Written LAO Policy
- LAO Compliance Process
- Annual Goals, Budget & Strategy

## PUBLIC CONTACT STAFF

Bilingual: 74 (11%)  
Total: 654  
Non-Bilingual: 580 (89%)

## CLIENT INTERACTIONS

LEP: 15,738 (100%)\*  
Total: 15,738  
Non-LEP: 0 (0%)

\*Data collected from work survey

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### BILINGUAL STAFF - LANGUAGES SPOKEN

Cantonese	36 (49%)
Mandarin	9 (12%)
Other	17 (22%)
Spanish	8 (11%)
Vietnamese	1 (1%)

---

### LEP CLIENT INTERACTIONS BY LANGUAGE

Cantonese	1,539 (10%)
Mandarin	229 (1%)
Other	103 (<1%)
Spanish	383 (2%)
Vietnamese	2,601 (17%)

Legend: Cantonese, Mandarin, Other, Russian, Filipino, Spanish, Vietnamese

# MUNICIPAL TRANSPORTATION AGENCY

## 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

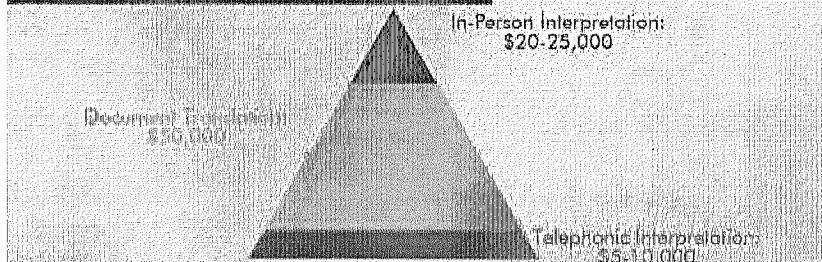
- ✓ Increase bilingual capabilities in the Community Outreach group
- ✓ Continue providing language sensitivity training for public contact staff
- ✓ Continue surveying existing English-only SFMTA documents and prioritizing for translation, utilize in-house and external resources for translations and include "311 Free Language Assistance" tagline on all appropriate SFMTA documents
- ✓ Renew agency wide contract with community ambassadors that will allow all access for all SFMTA divisions to bilingual ambassadors in a variety of languages
- ✓ Continue to maintain ongoing partnerships with Community Based Organizations (CBOs) that serve LEP populations in San Francisco
- ✓ Analyze census data for project-related neighborhoods for more effective targeted outreach

### TOTAL DEPARTMENTAL BUDGET      TOTAL LANGUAGE ACCESS BUDGET

**\$945M**

**\$75-85K\***

### LANGUAGE ACCESS BUDGET CATEGORIES



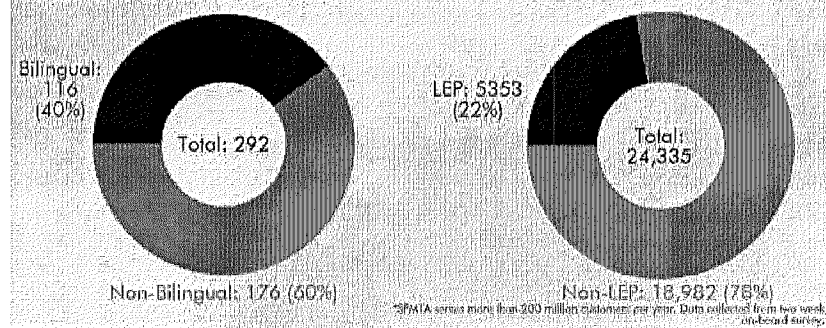
### LANGUAGE SERVICES OFFERED

Telephonic Interpretation	Translated Documents	Recorded Message in Multiple Languages	Oral Interpretation at Public Meetings
1216 Calls	435 Documents	Spanish, Cantonese	25 Meetings

### COMPLIANCE INDICATORS

Submitted Plan on Time	Tracks LEP Client Interactions	LAO Complaint Process
Attended LAO Training	Written LAO Policy	Annual Goals, Budget & Strategy

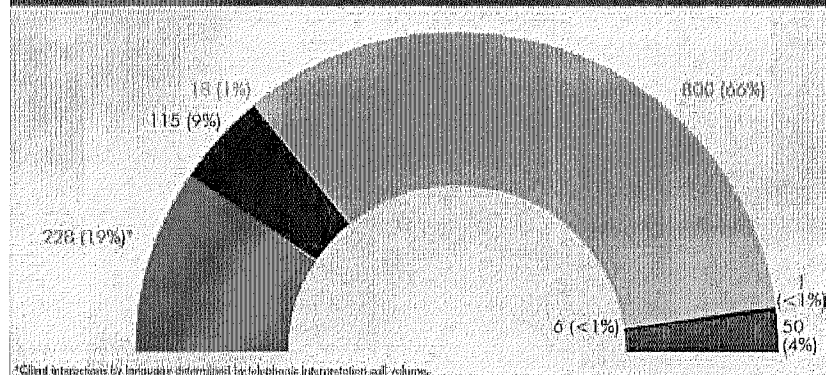
## PUBLIC CONTACT STAFF      CLIENT INTERACTIONS



### BILINGUAL STAFF - LANGUAGES SPOKEN



### LEP CLIENT INTERACTIONS BY LANGUAGE





# PLANNING DEPARTMENT

## 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

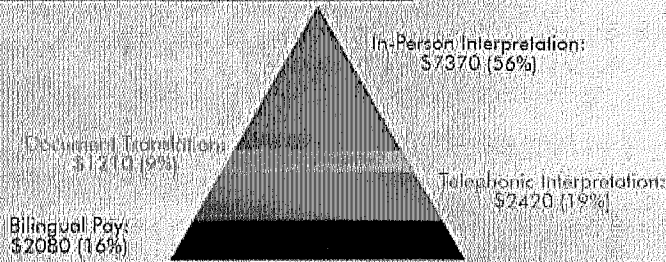
- ✓ Implement Filipino as a required language, identified & certified by OCE/A
- ✓ Update recorded greeting to include English, Spanish, Cantonese, and Filipino
- ✓ Publically publish the Department's complaint process
- ✓ Continue to translate materials disseminated to the public in languages to the communities that the Department have long-range planning projects in
- ✓ Research & identify language/cultural training for bilingual paid staff
- ✓ Continue to utilize the SF Planning website to provide information in Chinese, Spanish, Russian, and Filipino on the Department's free language services, basic information about the Planning Department, and a glossary of planning related terms

TOTAL DEPARTMENTAL BUDGET: \$31.4M      TOTAL LANGUAGE ACCESS BUDGET: \$13.1K

**\$31.4M**

**\$13.1K**

### LANGUAGE ACCESS BUDGET CATEGORIES



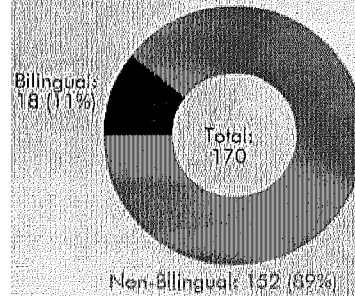
### LANGUAGE SERVICES OFFERED

<b>Telephonic Interpretation</b>  136 Calls	<b>Translated Documents</b>  70 Documents	<b>Recorded Message in Multiple Languages</b>  Cantonese, Mandarin, Spanish	<b>Oral Interpretation at Public Meetings</b>  2 Meetings
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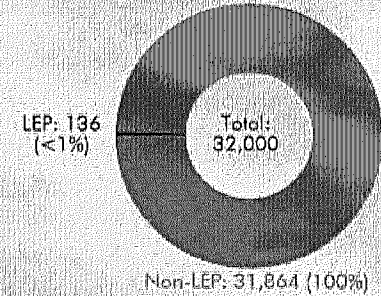
### COMPLIANCE INDICATORS

- Submitted Plan on Time
- Tracks LEP Client Interactions
- LAO Complaint Process
- Attended LAO Training
- Written LAO Policy
- Annual Goals, Budget & Strategy

### PUBLIC CONTACT STAFF



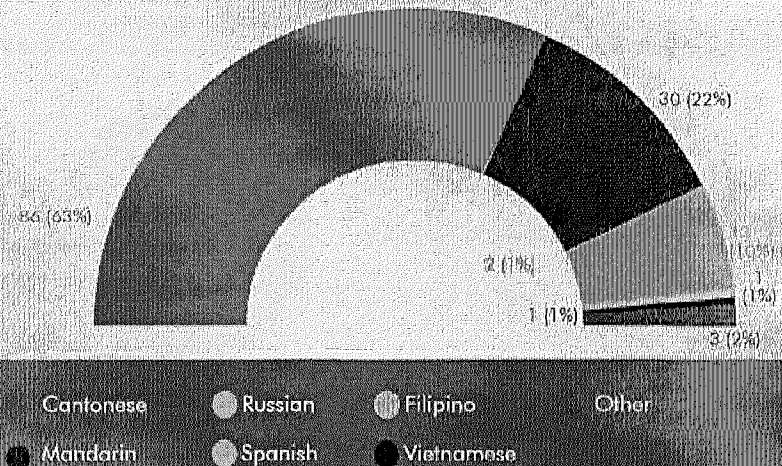
### CLIENT INTERACTIONS



### BILINGUAL STAFF - LANGUAGES SPOKEN



### LEP CLIENT INTERACTIONS BY LANGUAGE



## POLICE DEPARTMENT

### 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

For the fiscal year 2014-15 the San Francisco Police Department will continue its efforts with DHR to administer more test dates to certify officers in the Core languages. With more certified bilingual members available, this should help expedite the Department's response in assisting the LEP community.

**TOTAL DEPARTMENTAL BUDGET**    **TOTAL LANGUAGE ACCESS BUDGET**  
**\$545.3M**                                    **Not Provided**

**LANGUAGE ACCESS BUDGET CATEGORIES**

**Not Provided**

**LANGUAGE SERVICES OFFERED**

- Telephonic Interpretation: 2699 Calls
- Translated Documents: 6 Documents
- Recorded Message in Multiple Languages
- Oral Interpretation at Public Meetings: 9 Meetings

**COMPLIANCE INDICATORS**

- Submitted Plan on Time
- Attended LEO Training
- Tracks LEP Client Interactions
- Written LEO Policy
- LAO Complaint Process
- Annual Goals, Budget & Strategy

### PUBLIC CONTACT STAFF

**Total: 2582**

Bilingual: 460 (18%)

### CLIENT INTERACTIONS

**Total: 887,442\***

LEP: 29,544 (~3%)

Non-LEP: N/A

\*Total client interactions include Police, US, Crime Data

### BILINGUAL STAFF - LANGUAGES SPOKEN

Non-Bilingual: 2122 (82%)

- Cantonese: 112 (24%)
- English: 12 (3%)
- Filipino: 34 (7%)
- Other: 92 (20%)
- Mandarin: 26 (6%)
- Spanish: 184 (40%)
- Vietnamese: 5 (1%)

### LEP CLIENT INTERACTIONS BY LANGUAGE

- 500 (20%)
- 235 (8%)
- 34 (1%)
- 1825 (87%)
- 47 (2%)
- 31 (1%)
- 202 (7%)

Legend: Cantonese, Mandarin, Russian, Filipino, Spanish, Vietnamese, Other



## PUBLIC DEFENDER

### 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

Translate written notices of rights into Chinese

---

**TOTAL DEPARTMENTAL BUDGET**    **TOTAL LANGUAGE ACCESS BUDGET**  
**\$29M**                                    **\$95.5K**

#### LANGUAGE ACCESS BUDGET CATEGORIES

In-Person Interpretation: \$64,100 (67%)	Telephonic Interpretation: \$6,000 (6%)
Bilingual Pay: \$23,400 (25%)	Recorded Messages in Multiple Languages: \$5,000 (5%)
Translated Documents: \$5,000 (5%)	Oral Interpretation at Public Meetings: \$5,000 (5%)

#### LANGUAGE SERVICES OFFERED

- Telephonic Interpretation: Spanish, Cantonese, Mandarin
- Translated Documents: Spanish, Cantonese, Mandarin
- Recorded Messages in Multiple Languages: Spanish, Cantonese, Mandarin
- Oral Interpretation at Public Meetings: Spanish, Cantonese, Mandarin

11,000 Calls    3 Documents

#### COMPLIANCE INDICATORS

- Submitted Plan on Time
- Attended LAO Training
- Tracks LEP Client Interactions
- Written LAO Policy
- LAO Complaint Process
- Annual Goals, Budget & Strategy

## PUBLIC CONTACT STAFF

Bilingual: 47 (29%)  
 Total: 160  
 Non-bilingual: 113 (71%)

## CLIENT INTERACTIONS

LEP: 3,638 (15%)  
 Total: 23,729  
 Non-LEP: 20,091 (85%)

### BILINGUAL STAFF- LANGUAGES SPOKEN

Cantonese: 3 (6%)	Russian: 1 (2%)	Filipino: 3 (6%)	Other: 7 (15%)
Mandarin: 4 (9%)	Spanish: 30 (64%)	Vietnamese: 2 (4%)	

### LEP CLIENT INTERACTIONS BY LANGUAGE

Cantonese: 190 (5%)	Russian: 177 (5%)	Filipino: 125 (3%)	Other: 215 (6%)
Mandarin: 66 (2%)	Spanish: 357 (10%)	Vietnamese: 215 (6%)	

## DEPARTMENT OF PUBLIC HEALTH

### 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

- ✓ Improve the quality of interpreter services available to patients, clients and residents
- ✓ Continue to expand VMI to Laguna Honda Hospital and the Health Centers
- ✓ Continue to review the language needs of clients and add language waivers to vacant positions, as appropriate

**TOTAL DEPARTMENTAL BUDGET**    **\$1.95B**    **TOTAL LANGUAGE ACCESS BUDGET**    **\$5.5M\***

#### LANGUAGE ACCESS BUDGET CATEGORIES

Over-the-phone Translation: \$70,000  
 Other: \$56,100  
 Telephonic Interpretation: \$586,000  
 Bilingual Pay: \$1,120,494\*

\*Speech and hearing services are provided for interpretation purposes only. The Department was awarded a grant to fund the program.

#### LANGUAGE SERVICES OFFERED

- ✓ Telephonic Interpretation
- ✓ Translated Documents
- ✓ Recorded Messages in Multiple Languages
- ✓ Oral Interpretation at Public Meetings

13,516 Calls    187 Documents    Spanish, Cantonese, Filipino, Russian & Vietnamese

#### COMPLIANCE INDICATORS

- Submitted Plan on Time
- Attended LAO Training
- Tracks LEP Client Interactions
- Written LAO Policy
- LAO Complaint Process
- Annual Goals, Budget & Strategy

## PUBLIC CONTACT STAFF

Bilingual: 1001 (29%)\*  
 LEP: 44,507\* (32%)\*  
 Total: 3500

## CLIENT INTERACTIONS

Total: 139,822  
 Non-LEP: 95,315 (68%)\*

### BILINGUAL STAFF - LANGUAGES SPOKEN

Cantonese: 425 (24%)  
 Mandarin: 216 (10%)  
 Spanish: 193 (10%)  
 Vietnamese: 161 (8%)  
 Russian: 135 (6%)  
 Tagalog: 132 (21%)  
 Other: 61 (3%)

### LEP CLIENT INTERACTIONS BY LANGUAGE

Cantonese: 4,135 (9%)  
 Mandarin: 1,895 (4%)  
 Spanish: 1,895 (4%)  
 Vietnamese: 872 (2%)  
 Russian: 1,353 (6%)  
 Tagalog: 2,314 (62%)

Cantonese ● Russian ● Filipino ● Other  
 Mandarin ● Spanish ● Vietnamese

\*DPH has submitted the same data to bilingual staff and LEP client interactions for the past 3 years, excepting any double-counting. This data was only able to submit total data for FY 2015. The data submitted originally is by Department.

# PUBLIC UTILITIES COMMISSION

## 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

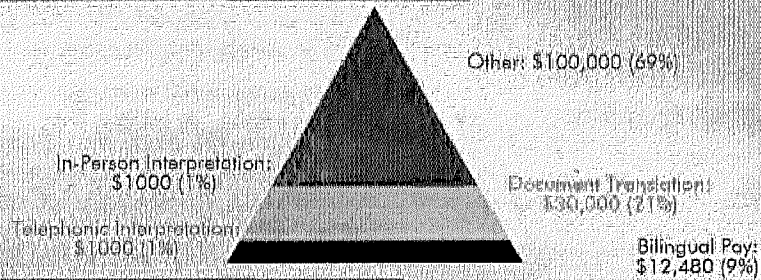
- ✓ Continue to provide LEP clients with exceptional communication of all agency policies and information
- ✓ Expand telephonic interpretation to be available to field personnel
- ✓ Continue to enhance outreach methodology to include use of social media, innovative technology and current usage of various mediums to LEP clients
- ✓ Explore the possibility of implementation of Multilingual audio and virtual tours of 525 Golden Gate to LEP population
- ✓ Provide language specific in-City Tours to LEP communities for an opportunity to view SFPUC facilities and operations.
- ✓ Tell the story and educate LEP community members using the Digital wall "Snowfall to Outfall" in the appropriate language

TOTAL DEPARTMENTAL BUDGET      TOTAL LANGUAGE ACCESS BUDGET

**\$940M**

**\$144.5K**

## LANGUAGE ACCESS BUDGET CATEGORIES



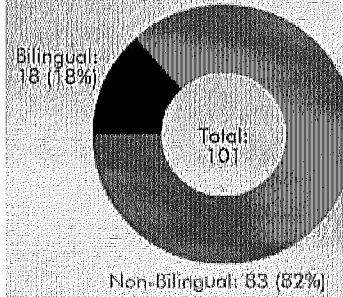
## LANGUAGE SERVICES OFFERED



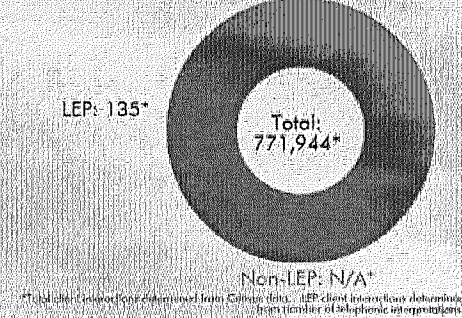
## COMPLIANCE INDICATORS

- Submitted Plan on Time
- Tracked LEP Client Interactions
- LAO Complaint Process
- Attended LAO Training
- Written LAO Policy
- Annual Goals, Budget & Strategy

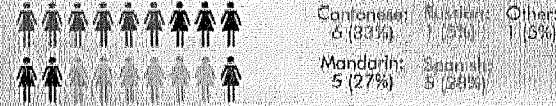
## PUBLIC CONTACT STAFF



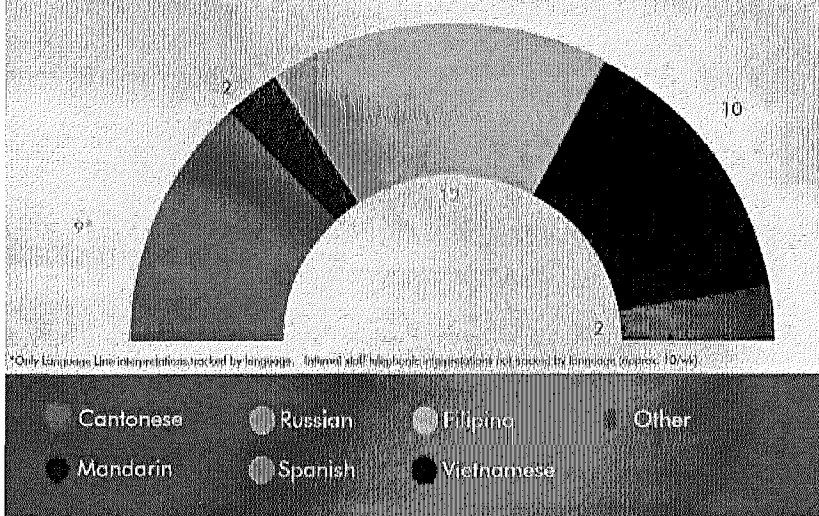
## CLIENT INTERACTIONS



## BILINGUAL STAFF - LANGUAGES SPOKEN



## LEP CLIENT INTERACTIONS BY LANGUAGE





## DEPARTMENT OF PUBLIC WORKS

### 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

- Establish or readily available language interpretation account number for staff to access easily for various projects
- Follow through with adding translated content to new webpage in Chinese, Spanish and Filipino when it launches later this year
- Increase the number of multilingual documents available on departmental webpage
- Continue to develop targeted "in-language" education and outreach campaigns

<b>TOTAL DEPARTMENTAL BUDGET</b>	<b>TOTAL LANGUAGE ACCESS BUDGET</b>
<b>\$237.1M</b>	<b>\$36.5K</b>

### LANGUAGE ACCESS BUDGET CATEGORIES

Telephone Interpretation	In-Person Interpretation: \$10,000 (27%)
Translated Documents	Bilingual Pay: \$1,500 (4%)
Recorded Messages in Multiple Languages	
Oral Interpretation at Public Meetings	

960 Calls    44 Documents    Spanish, Cantonese, Filipino    8 Meetings

### LANGUAGE SERVICES OFFERED

- Telephone Interpretation
- Translated Documents
- Recorded Messages in Multiple Languages
- Oral Interpretation at Public Meetings

### COMPLIANCE INDICATORS

- Submitted Plan on Time
- Tracked LEP Client Interactions
- Written LAO Policy
- Attended LAO Training
- LAO Compliance Process
- Annual Goals, Budget & Strategy

### PUBLIC CONTACT STAFF

Total: 1100

Bilingual: 70 (6%)

Non-Bilingual: 1030 (94%)

### CLIENT INTERACTIONS

Total: 805,230\*

LEP: 960\*

Non-LEP: N/A

\*Total includes in-person and interpreted both. Call center, LEP sign language interpreting from outside of Department of Public Works.

### BILINGUAL STAFF - LANGUAGES SPOKEN

Cantonese	15 (1.4%)
Chinese	2 (0.2%)
English	7 (0.6%)
Other	21 (2.0%)
Mandarin	10 (0.9%)
Spanish	14 (1.3%)
Vietnamese	1 (0.1%)

### LEP CLIENT INTERACTIONS BY LANGUAGE

Cantonese	576 (60%)
Mandarin	208 (20%)
Other	98 (10%)
Russian	
Spanish	
Filipino	
Vietnamese	

# RECREATION & PARK DEPARTMENT

## 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

- Develop and adopt final written LAO policy. Document as draft form.
- Expand language line telephonic translation services for all Department recreation sites throughout the city.
- Review LAO programs provided and posted in multiple languages at park sites throughout the city.
- Make improvements to Department website to include full translation options for LEP citizens.
- Ensure LAO language policy and complaint procedures are posted on Department website and dedicated web page.
- Assess feasibility of providing fully translated course offerings (five per year: winter, spring, summer, fall, and Day Camp).
- Continue to assess signage at park sites throughout the city.
- Continue to expand translation services at public meetings.
- Continue to provide increased translation for promotional flyers and program/annual event materials.
- Develop reliable method of surveying all staff to determine accurate number of bilingual staff.

**TOTAL DEPARTMENTAL BUDGET: \$163.2M**      **TOTAL LANGUAGE ACCESS BUDGET: \$45K**

### LANGUAGE ACCESS BUDGET CATEGORIES

- In-Person Interpretation: \$10,000 (22%)
- Telephonic Interpretation: \$25,000 (56%)

### LANGUAGE SERVICES OFFERED

- Telephonic Interpretation:
- Translated Documents:
- Recorded Messages in Multiple Languages:
- On-Site Interpretation at Public Meetings:

318 Calls      Not Provided

### COMPLIANCE INDICATORS

- Submitted Plan on Time:
- Tracks LEP Client Interactions:
- Attended LAO Training:
- Written LAO Policy:
- LAO Complaint Process:
- Annual Goals, Budget & Strategy:

## PUBLIC CONTACT STAFF

Bilingual: Not Provided  
 Total: 2000

## CLIENT INTERACTIONS

LEP: 318 (<1%)  
 Total: 65,000

Non-Bilingual: Not Provided  
 Non-LEP: 64,682 (100%)

### BILINGUAL STAFF - LANGUAGES SPOKEN

**Not Provided**

### LEP CLIENT INTERACTIONS BY LANGUAGE

Language	Count	Percentage
Spanish	105	53%
Other	22	7%
Spanish	105	53%
Other	4	1%
Other	2	1%

Legend: Cantonese, Mandarin, Russian, Spanish, Filipino, Vietnamese, Other

# RENT STABILIZATION & ARBITRATION BOARD

## 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

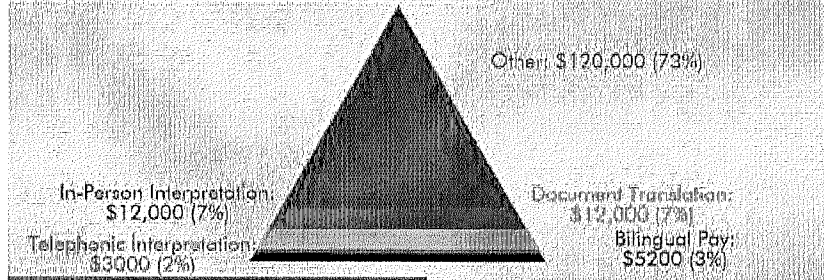
- ✓ Provide translations of documents and make available through multiple sources

TOTAL DEPARTMENTAL BUDGET      TOTAL LANGUAGE ACCESS BUDGET

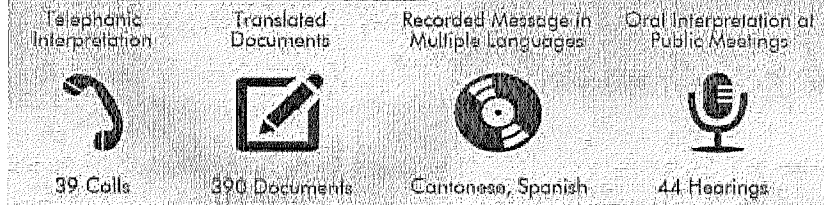
**\$6.6M**

**\$164K**

### LANGUAGE ACCESS BUDGET CATEGORIES



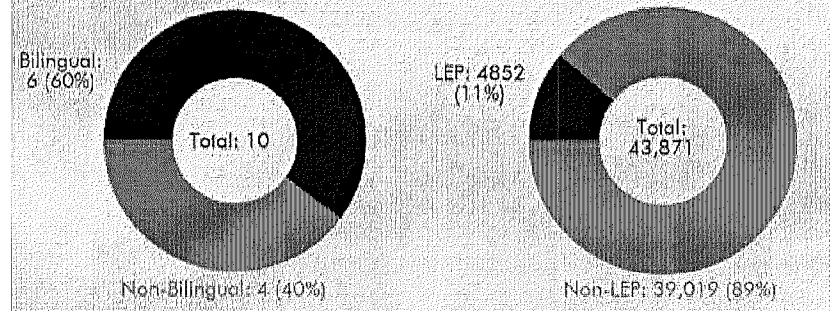
### LANGUAGE SERVICES OFFERED



### COMPLIANCE INDICATORS

- Submitted Plan on Time
- Tracks LEP Client Interactions
- LAO Compliance Process
- Attended LAO Training
- Written LAO Policy
- Annual Goals, Budget & Strategy

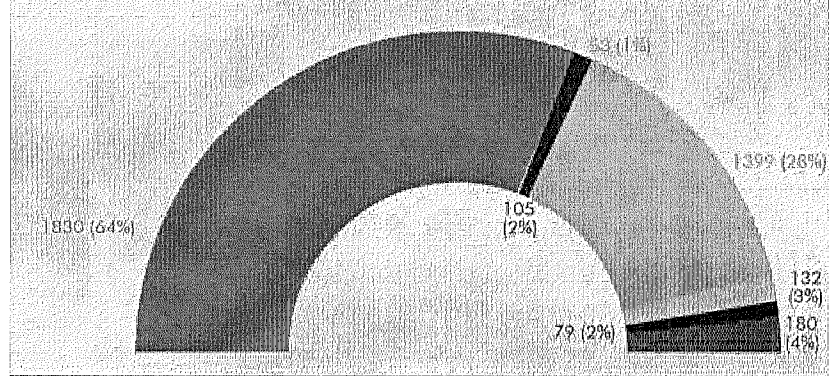
## PUBLIC CONTACT STAFF      CLIENT INTERACTIONS



### BILINGUAL STAFF - LANGUAGES SPOKEN



### LEP CLIENT INTERACTIONS BY LANGUAGE



- Cantonese
- Russian
- Filipino
- Mandarin
- Spanish
- Vietnamese
- Other



# SHERIFFS DEPARTMENT

## 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

None. Business will be status-quo.

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**TOTAL DEPARTMENTAL BUDGET** \$192.6M

**TOTAL LANGUAGE ACCESS BUDGET** \$177K

### LANGUAGE ACCESS BUDGET CATEGORIES

- Telephonic Interpretation: \$,000 (1%)
- Bilingual Pay: \$110,000 (99%)

### LANGUAGE SERVICES OFFERED

- Telephonic Interpretation
- Translated Documents
- Recorded Messages in Multiple Languages
- Oral Interpretation of Public Meetings

79 Calls 18 Documents Spanish, Cantonese

### COMPLIANCE INDICATORS

- Submitted Plan on Time
- Tracks LEP Client Interactions
- LAO Compliance Process
- Attended LAO Training
- Written LAO Policy
- Annual Goals, Budget & Strategy

## PUBLIC CONTACT STAFF

**Total: 920**

Bilingual: 119 (13%)

Non-Bilingual: 801 (87%)

## CLIENT INTERACTIONS

**Total: 47,565**

LEP: 126 (<1%)

Non-LEP: 47,439 (100%)

### BILINGUAL STAFF - LANGUAGES SPOKEN

- Cantonese: 30 (25%)
- Spanish: 85 (53%)
- Vietnamese: 1 (1%)
- Russian: 1 (1%)
- Filipino: 22 (18%)

## LEP CLIENT INTERACTIONS BY LANGUAGE

- Cantonese: 17 (13%)
- Spanish: 2 (2%)
- Other: 106 (84%)

# TREASURER & TAX COLLECTOR

## 2014-15 DEPARTMENTAL LANGUAGE ACCESS GOALS

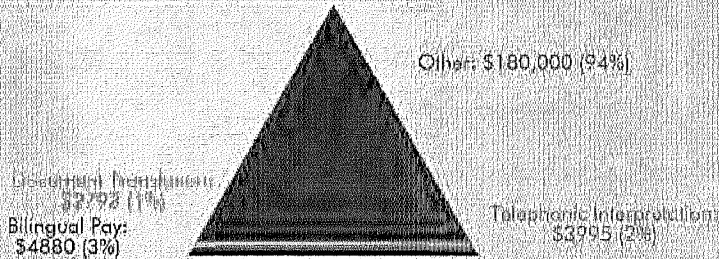
- ✓ A continued and farther-reaching internal campaign of awareness regarding LAO requirements
- ✓ Upon the completion of the translation of "first tier" of most widely used documents, a second tier of documents will be translated
- ✓ Encourage, facilitate and monitor increased use of Language Line
- ✓ Introduce and implement a more formalized approach to fielding and responding to complaints (or compliments) on service offerings related to LAO
- ✓ Determine and implement a formalized standard of training and a set of quality controls for bilingual staff, and develop a guideline of written protocols for communication with LEP clientele

TOTAL DEPARTMENTAL BUDGET      TOTAL LANGUAGE ACCESS BUDGET




**\$37M**

**\$191.7K**

### LANGUAGE ACCESS BUDGET CATEGORIES



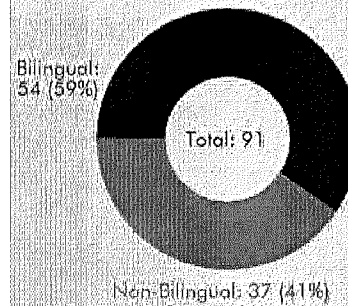
### LANGUAGE SERVICES OFFERED

<p>Telephonic Interpretation</p>  <p>126 Calls</p>	<p>Translated Documents</p>  <p>16 Documents</p>	<p>Recorded Messages in Multiple Languages</p>  <p>Spanish, Cantonese, Mandarin</p>	<p>Oral Interpretation at Public Meetings</p>
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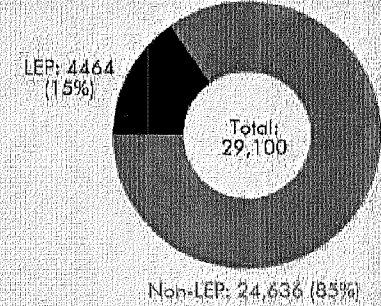
### COMPLIANCE INDICATORS

- Submitted Plan on Time
- Tracks LEP Client Interactions
- LAO Complaint Process
- Attended LAO Training
- Written LAO Policy
- Annual Goals, Budget & Strategy

## PUBLIC CONTACT STAFF



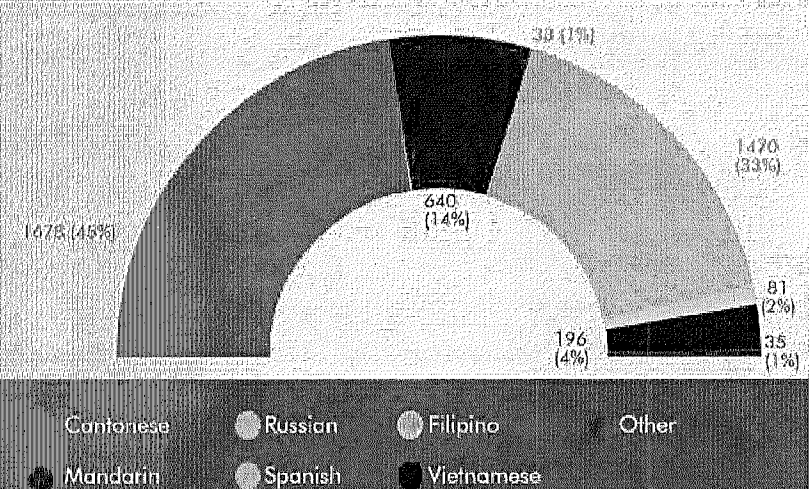
## CLIENT INTERACTIONS



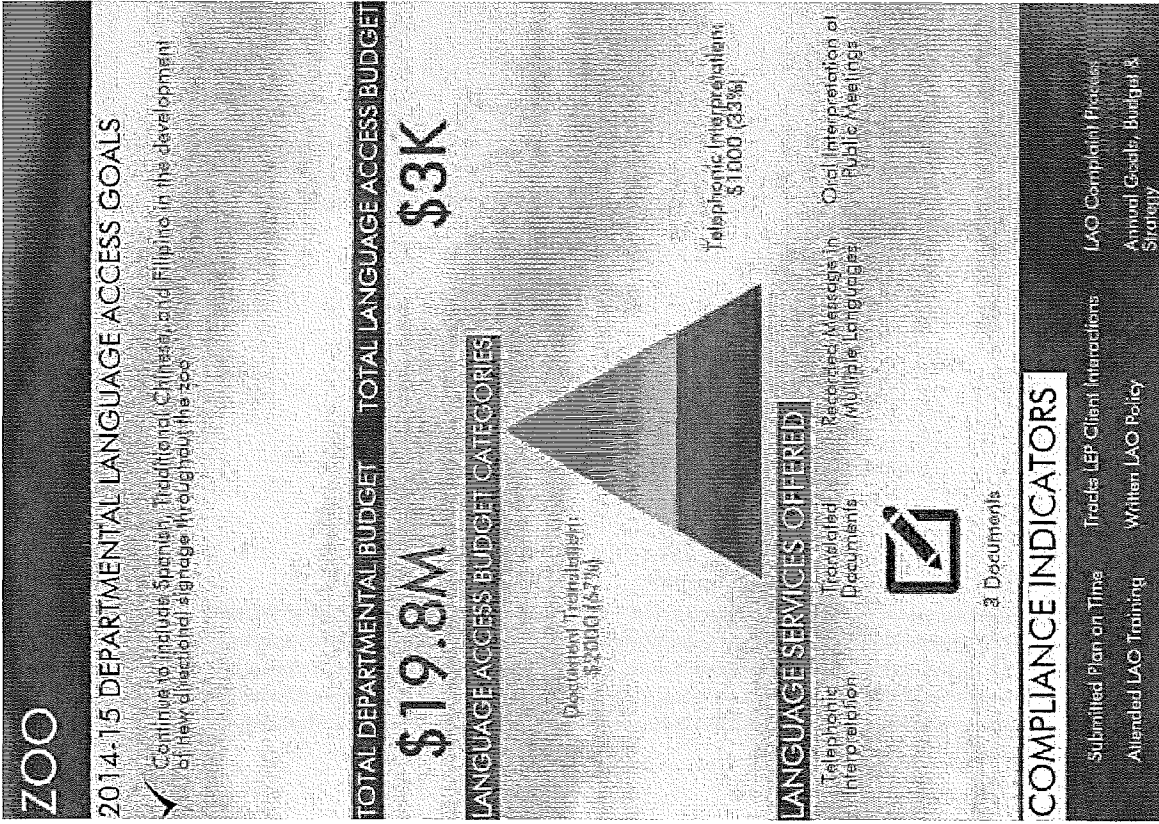
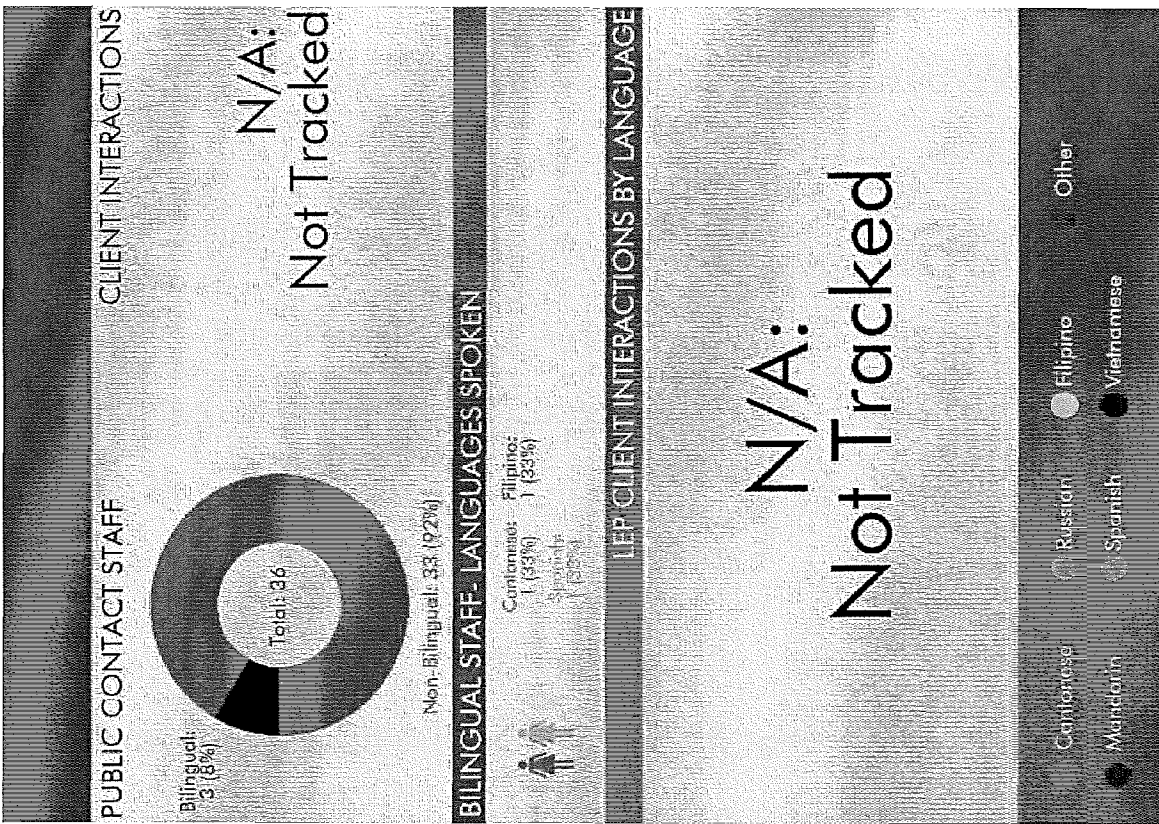
### BILINGUAL STAFF - LANGUAGES SPOKEN



### LEP CLIENT INTERACTIONS BY LANGUAGE







## Difference between Translation and Interpretation

Bilingualism on its own is not a guarantee of written fluency or skill in translation. Professional translators are first and foremost writers, capable of producing texts that read well in the target language. Bilingualism is something else. Bilinguals speak two languages fluently, but are not necessarily good at moving information between the two, especially in writing. Experience shows that many people who describe themselves as bilingual over-estimate their communications skills altogether.

—American Translators Association<sup>22</sup>

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<sup>22</sup> American Translators Association (ATA)- *“Translation – Getting it Right; A Guide to Buying Translations”* A. Aparicio & C. Durban 2003, as cited in *Guide to Translation of Legal Materials*, Prepared by the Professional Issues Committee, April 2011. Copyright © 2011 by the National Center for State Courts, on behalf and for the use of the *Consortium for Language Access in the Courts*. All rights reserved. Retrieved from: <http://www.ncsc.org/education-and-careers/state-interpretation/certification/~media/files/pdf/education%20and%20careers/state%20interpreter%20certification/guide%20to%20translation%20practices%206-14-11.ashx>

## VI. APPENDICES

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- A. San Francisco Language Access Ordinance
- B. Standardized Annual Compliance Plan Form
- C. Glossary

## APPENDIX A: SAN FRANCISCO LANGUAGE ACCESS ORDINANCE

**CITY AND COUNTY OF SAN FRANCISCO  
SAN FRANCISCO ADMINISTRATIVE CODE, CHAPTER 91: - LANGUAGE ACCESS**

**SEC. 91.1. - PURPOSE AND FINDINGS.**

**(a) Title.** This Chapter shall be known as the "Language Access Ordinance."

**(b) Findings.**

**(1)** The Board of Supervisors finds that San Francisco provides an array of services that can be made accessible to persons who are not proficient in the English language. The City of San Francisco is committed to improving the accessibility of these services and providing equal access to them.

**(2)** The Board finds that despite a long history of commitment to language access as embodied in federal, state and local law, beginning with the landmark Civil Rights Act of 1964, there is still a significant gap in the provision of governmental services to limited-English language speakers.

**(3)** In 1973, the California State Legislature adopted the Dymally-Alatorre Bilingual Services Act, which required state and local agencies to provide language services to non-English speaking people who comprise 5% or more the total state population and to hire a sufficient number of bilingual staff.

**(4)** In 1999, the California State Auditor concluded that 80% of state agencies were not in compliance with the Dymally-Alatorre Act, and many of the audited agencies were not aware of their responsibility to translate materials for non-English speakers.

**(5)** In 2001, in response to these findings, the San Francisco Board of Supervisors enacted the Equal Access to Services Ordinance, which required major departments to provide language translation services to limited-English proficiency individuals who comprise 5% or more the total city population.

**(6)** Eight years later, the Board finds that differential access to City services still exists due to significant gaps in language services, lack of protocols for departments to procure language services, low budgetary prioritization by departments for language services.

**(7)** The Board finds that the lack of language services seriously affects San Francisco's ability to serve all of its residents. A 2006 survey by the United States Census Bureau found that 45% of San Franciscans are foreign-born and City residents speak more than 28 different languages. Among the 24% of the total population who self-identify as limited-English speakers, 50% are Chinese speakers, 23% are Spanish speakers, 5% are Russian speakers and 4% speak Tagalog.

*(Added by Ord. 126-01, File No. 010409, App. 6/15/2001; Ord. 202-09, File No. 090461, App. 8/28/2009)*

**SEC. 91.2. - DEFINITIONS.**

As used in this Chapter, the following capitalized terms shall have the following meanings:

**(a)** "Annual Compliance Plan" is set forth in Section 91.10 of this Chapter.

**(b)** "Bilingual Employee" shall mean a City employee who is proficient in the English language and in one or more non-English language.

**(c)** "City" shall mean the City and County of San Francisco.

**(d)** "Commission" shall mean the Immigrant Rights Commission.

**(e)** "Concentrated Number of Limited English Speaking Persons" shall mean either 5 percent of the population of the District in which a Covered Department Facility is located or 5 percent of those persons who use the services provided by the Covered

Department Facility. The Office of Civic Engagement and Immigrant Affairs shall determine annually whether 5 percent or more of the population of any District in which a Covered Department Facility is located are Limited English Speaking Persons who speak a shared language other than English. The Office of Civic Engagement and Immigrant Affairs shall make this determination by referring to the best available data from the United States Census Bureau or other reliable source and shall certify its determination to all City Departments and the Commission no later than December 1 of each year. Each Department shall determine annually whether 5 percent or more of those persons who use the Department's services at a Covered Department Facility are Limited English Speaking Persons who speak a shared language other than English using either of the following methods specified in Section 91.2(k) of this Chapter.

**(f)** "Covered Department Facility" shall mean any Department building, office, or location that provides direct services to the public and serves as the workplace for 5 or more full-time City employees.

**(g)** "Department(s)" shall mean both Tier 1 Departments and Tier 2 Departments.

**(h)** "Districts" shall refer to the 11 geographical districts by which the people of the City elect the members of the City's Board of Supervisors. If the City should abandon the district election system, the Commission shall have the authority to draw 11 district boundaries for the purposes of this Chapter that are approximately equal in population.

**(i)** "Limited English Speaking Person" shall mean an individual who does not speak English well or is otherwise unable to communicate effectively in English because English is not the individual's primary language.

**(j)** "Public Contact Position" shall mean a position, a primary job responsibility which consists of meeting, contacting, and dealing with the public in the performance of the duties of that position.

**(k)** "Substantial Number of Limited English Speaking Persons" shall mean either 10,000 City residents, or 5 percent of those persons who use the Department's services. The Office of Civic Engagement and Immigrant Affairs shall determine annually whether at least 10,000 limited English speaking City residents speak a shared language other than English. The Office of Civic Engagement and Immigrant Affairs shall make this determination by referring to the best available data from the United States Census Bureau or other reliable source and shall certify its determination to Departments and the Commission no later than December 1 of each year. Each Department shall determine annually whether 5 percent or more of those Limited English Speaking Persons who use the Department's services Citywide speak a shared language other than English. Departments shall make this determination using one of the following methods:

**(1)** Conducting an annual survey of all contacts with the public made by the Department during a period of at least two weeks, at a time of year in which the Department's public contacts are to the extent possible typical or representative of its contacts during the rest of the year, but before developing its Annual Compliance Plan required by Section 91.10 of this Chapter; or

**(2)** Analyzing information collected during the Department's intake process. The information gathered using either method shall also be broken down by Covered Department Facility to determine whether 5 percent or more of those persons who use the Department's services at a Covered Department Facility are Limited English Speaking Persons who speak a shared language other than English for purposes of Section 91.2(e) of this Chapter; or

**(3)** Analyzing and calculating the total annual number of requests for telephonic language translation services categorized by language that Limited English Speaking Persons make to the Department garnered from monthly bills generated by telephonic translation services vendors contracted by Department.

**(l)** "Tier 1 Departments" shall mean the following City departments: Adult Probation Department, Department of Elections, Department of Human Services, Department of Public Health, District Attorney's Office, Department of Emergency Management, Fire Department, Human Services Agency, Juvenile Probation Department, Municipal Transportation Agency, Police Department, Public Defender's Office, Residential Rent Stabilization and Arbitration Board, Sheriff's Office. Beginning July 1, 2010, the following departments shall be added to the list of Tier 1 Departments: San Francisco International Airport, Office of the Assessor Recorder, City Hall Building Management, Department of Building Inspection, Department of the Environment, San Francisco Public Library, Mayor's Office of Economic and Workforce Development, Planning Department, Department of Public Works, Public Utilities Commission, Recreation and Park Department, Office of the Treasurer and Tax Collector, and the San Francisco Zoo.

**(m)** "Tier 2 Departments" shall mean all City departments not specified as Tier 1 Departments that furnish information or provide services directly to the public.

*(Added by Ord. 126-01, File No. 010409, App. 6/15/2001; amended by Ord. 187-04, File No. 040759, App. 7/22/2004; Ord. 202-09, File No. 090461, App. 8/28/2009)*

**SEC. 91.3. - ACCESS TO LANGUAGE SERVICES.**

(a) Utilizing sufficient Bilingual Employees in Public Contact Positions, Tier 1 Departments shall provide information and services to the public in each language spoken by a Substantial Number of Limited English Speaking Persons or to the public served by a Covered Department Facility in each language spoken by a Concentrated Number of Limited English Speaking Persons. Tier 1 Departments comply with their obligations under this Section if they provide the same level of service to Limited English Speaking Persons as they provide English speakers.

(b) Tier 1 Departments need only implement the hiring requirements in the Language Access Ordinance by filling public contact positions made vacant by retirement or normal attrition. Nothing herein shall be construed to authorize the dismissal of any City employee in order to carry out the Language Access Ordinance.

(c) All Departments shall inform Limited English Speaking Persons who seek services, in their native tongue, of their right to request translation services from all City departments.

*(Added by Ord. 128-01, File No. 011051, App. 6/15/2001; Ord. 202-09, File No. 090461, App. 8/28/2009)*

**SEC. 91.4. - TRANSLATION OF MATERIALS.**

(a) Tier 1 Departments shall translate the following written materials that provide vital information to the public about the Department's services or programs into the language(s) spoken by a Substantial Number of Limited English Speaking Persons: applications or forms to participate in a Department's program or activity or to receive its benefits or services; written notices of rights to, determination of eligibility of, award of, denial of, loss of, or decreases in benefits or services, including the right to appeal any Department's decision; written tests that do not assess English language competency, but test competency for a particular license or skill for which knowledge of written English is not required; notices advising Limited English Speaking Persons of free language assistance; materials explaining a Department's services or programs; complaint forms; or any other written documents that have the potential for important consequences for an individual seeking services from or participating in a program of a city department.

(b) Tier 2 Departments shall translate all publicly-posted documents that provide information (1) regarding Department services or programs, or (2) affecting a person's rights to, determination of eligibility of, award of, denial of, loss of, or decreases in benefits or services into the language(s) spoken by a Substantial Number of Limited English Speaking Persons.

(c) Departments required to translate materials under the provisions of this Section shall post notices in the public areas of their facilities in the relevant language(s) indicating that written materials in the language(s) and staff who speak the language(s) are available. The notices shall be posted prominently and shall be readily visible to the public.

(d) Departments required to translate materials under the provisions of this Section shall ensure that their translations are accurate and appropriate for the target audience. Translations should match literacy levels of the target audience.

(e) Each Department shall designate a staff member with responsibility for ensuring that all translations of the Department's written materials meet the accuracy and appropriateness standard set in Subsection (d) of this Section. Departments are encouraged to have their staff check the quality of written translations, but where a Department lacks biliterate personnel, the responsible staff member shall obtain quality checks from external translators. Departments are also encouraged to solicit feedback on the accuracy and appropriateness of translations from bilingual staff at community groups whose clients receive services from the Department.

(f) The newly added Tier 1 Departments as set forth in Section 91.2(l) shall comply with the requirements of this Section by January 31, 2011.

*(Added by Ord. 126-01, File No. 010409, App. 6/15/2001; Ord. 202-09, File No. 090461, App. 8/28/2009)*

**SEC. 91.5. - DISSEMINATION OF TRANSLATED MATERIALS FROM THE STATE AND FEDERAL GOVERNMENT.**

If the State or federal government or any agency thereof makes available to a Department written materials in a language other than English, the Department shall maintain an adequate stock of the translated materials and shall make them readily

available to persons who use the Department's services.

*(Added by Ord. 126-01, File No. 010409, App. 6/15/2001)*

**SEC. 91.6. - PUBLIC MEETINGS AND HEARINGS.**

(a) City Boards, City Commissions and City Departments shall not automatically translate meeting notices, agendas, or minutes.

(b) City Boards, City Commissions and City Departments shall provide oral interpretation of any public meeting or hearing if requested at least 48 hours in advance of the meeting or hearing.

(c) City Boards, City Commissions and City Departments shall translate meeting minutes if: (1) requested; (2) after the legislative body adopts the meeting minutes; and (3) within a reasonable time period thereafter.

*(Added by Ord. 126-01, File No. 010409, App. 6/15/2001; Ord. 202-09, File No. 090461, App. 8/28/2009)*

**SEC. 91.7. - RECORDED TELEPHONIC MESSAGES.**

All Departments with recorded telephonic messages about the Department's operation or services shall maintain such messages in each language spoken by a Substantial Number of Limited English Speaking Persons or where applicable a Concentrated Number of Limited English Speaking Persons. Such Departments are encouraged to include in the telephonic messages information about business hours, office location(s), services offered and the means of accessing such services, and the availability of language assistance. If the Department is governed by a Commission, the messages shall include the time, date, and place of the Commission's meetings.

*(Added by Ord. 126-01, File No. 010409, App. 6/15/2001)*

**SEC. 91.8. - CRISIS SITUATIONS.**

All Tier 1 Departments involved in health related emergencies, refugee relief, disaster-related activities all other crisis situations shall work with the Office of Civic Engagement and Immigrant Affairs to include language service protocols in the Department's Annual Compliance Plan.

*(Added by Ord. 202-09, File No. 090461, App. 8/28/2009)*

**SEC. 91.9. - COMPLAINT PROCEDURE.**

(a) Departments shall allow persons to make complaints alleging violation of this Chapter to the Department in each language spoken by a Substantial Number of Limited English Speaking Persons. The Complaints may be made by telephone or by completing a complaint form.

(b) Departments shall document actions taken to resolve each complaint and maintain copies of complaints and documentation of their resolution for a period of not less than 5 years. A copy of each complaint shall be forwarded to the Commission and the Office of Civic Engagement and Immigrant Affairs within 30 days of its receipt.

*(Added by Ord. 126-01, File No. 010409, App. 6/15/2001; Ord. 202-09, File No. 090461, App. 8/28/2009)*

**SEC. 91.10. - ANNUAL COMPLIANCE PLAN.**

Each Tier 1 Department shall draft an Annual Compliance Plan containing all of the following information:

(a) The number and percentage of Limited English Speaking Persons who actually use the Tier 1 Department's services Citywide, listed by language other than English, using either method in Section 91.2(k) of this Chapter;

(b) The number and percentage of limited English speaking residents of each District in which a Covered Department Facility is located and persons who use the services provided by a Covered Department Facility, listed by language other than English, using either method in Section 91.2(k) of this Chapter;

- (c)** A demographic profile of the Tier 1 Department's clients;
- (d)** The number of Public Contact Positions in the Tier 1 Department;
- (e)** The number of Bilingual Employees in Public Contact Positions, their titles, certifications of bilingual capacity, office locations, the language(s) other than English that the persons speak;
- (f)** The name and contact information of the Tier 1 Department's language access liaison;
- (g)** A description of any use of telephone-based interpretation services, including the number of times such services were used and the language(s) for which they were used;
- (h)** A narrative assessment of the procedures used to facilitate communication with Limited English Speaking Persons, which shall include an assessment of the adequacy of the procedures;
- (i)** Ongoing employee development and training strategy to maintain well trained bilingual employees and general staff. Employee development and training strategy should include a description of quality control protocols for bilingual employees; and description of language service protocols for Limited English Speaking individuals in crisis situations as outlined in Section 91.8;
- (j)** A numerical assessment of the additional Bilingual Employees in Public Contact Positions needed to meet the requirements of Section 91.3 of this Chapter;
- (k)** If assessments indicate a need for additional Bilingual Employees in Public Contact Positions to meet the requirements of Section 91.3 of this Chapter, a description of the Tier 1 Department's plan for filling the positions, including the number of estimated vacancies in Public Contact Positions;
- (l)** The name, title, and language(s) other than English spoken (if any) by the staff member designated with responsibility for ensuring the accuracy and appropriateness of translations for each language in which services must be provided under this Chapter;
- (m)** A list of the Tier 1 Department's written materials required to be translated under this Chapter, the language(s) into which they have been translated, and the persons who have reviewed the translated material for accuracy and appropriateness;
- (n)** A description of the Tier 1 Department's procedures for accepting and resolving complaints of an alleged violation of this Chapter consistent with Section 91.9;
- (o)** A copy of the written policies on providing services to Limited English Speaking Persons;
- (p)** A list of goals for the upcoming year and, for all Annual Compliance Plans except the first, an assessment of the Tier 1 Department's success at meeting last year's goals;
- (q)** Annual budget allocation and strategy, including the total annual expenditure for services that are related to language access:
  - (1)** Compensatory pay for bilingual employees who perform bilingual services, excluding regular annual salary expenditures;
  - (2)** Telephonic translation services provided by City vendors;
  - (3)** Document translation services provided by City vendors;
  - (4)** On-site language interpretation services provided by City vendors;
  - (5)** The total projected budget to support progressive implementation of the Department's language service plan;
- (r)** Summarize changes between the Department's previous Annual Compliance Plan submittal and the current submittal, including but not limited to: (1) an explanation of strategies and procedures that have improved the Department's language services from the previous year; and (2) an explanation of strategies and procedures that did not improve the Department's



language services and proposed solutions to achieve the overall goal of this Language Access Ordinance; and

(s) Any other information requested by the Commission necessary for the implementation of this Chapter.  
(Added by Ord. 126-01, File No. 010409, App. 6/15/2001; Ord. 202-09, File No. 090461, App. 8/28/2009)

**SEC. 91.11. - COMPLIANCE PLANS SUBMITTALS AND EMERGING LANGUAGE POPULATIONS.**

(a) **Compliance Plans Submittals.** The Director of each Tier 1 Department shall approve and annually file electronic copies of the Annual Compliance Plan by December 31st with the Mayor's Office, the Commission, and the Office of Civic Engagement and Immigrant Affairs.

(b) **Inclusion of Emerging Language Populations in a written report to the Board.** By March 1st of each year, the Office of Civic Engagement and Immigrant Affairs shall compile and summarize in a written report to the Clerk of the Board of Supervisors all departmental Annual Compliance Plans. In the written report of the Clerk of the Board, the Office of Civic Engagement and Immigrant Affairs may recommend appropriate changes to all departmental Annual Compliance Plans in order to meet the needs of emerging language populations. Emerging language populations is defined as at least 2.5 percent of the population who use the Department's services or 5,000 City residents who speak a shared language other than English.

(c) By June 30th of each year, the Office of Civic Engagement and Immigrant Affairs may request a joint public hearing with the Board of Supervisors and the Commission to assess the adequacy of the City's ability to provide the public with access to language services.

(d) The Office of Civic Engagement of Immigrant Affairs shall keep a log of all complaints submitted and report quarterly to the Commission.

(Added by Ord. 202-09, File No. 090461, App. 8/28/2009)

**SEC. 91.12. - RECRUITMENT.**

It shall be the policy of the City to publicize job openings for Departments' Public Contact Positions as widely as possible including, but not limited to, in ethnic and non-English language media.

(Added by Ord. 126-01, File No. 010409, App. 6/15/2001; Ord. 202-09, File No. 090461, App. 8/28/2009)

**SEC. 91.13. - COMMISSION RESPONSIBILITIES.**

The Commission shall be responsible for monitoring and facilitating compliance with this Chapter. Its duties shall include: conducting outreach to Limited English Speaking Persons about their rights under this Chapter; reviewing complaints about alleged violations of this Chapter forwarded from Departments; working with Departments to resolve complaints; maintaining copies of complaints and their resolution for not less than 8 years, organized by Department; coordinating a language bank for Departments that choose to have translation done outside the Department and need assistance in obtaining translators; and reviewing Annual Compliance Plans.

(Added by Ord. 126-01, File No. 010409, App. 6/15/2001; Ord. 202-09, File No. 090461, App. 8/28/2009)

**SEC. 91.14. - OFFICE OF CIVIC ENGAGEMENT AND IMMIGRANT AFFAIRS' RESPONSIBILITIES.**

Subject to the budgetary and fiscal provisions of the Charter, the City may adequately fund the Office of Civic Engagement and Immigrant Affairs to provide a centralized infrastructure for the City's language services. The Office of Civic Engagement responsibilities include the following:

(a) Provide technical assistance for language services for all Departments;

(b) Coordinate language services across Departments, including but not limited to maintaining a directory of qualified language service providers for the City, maintaining an inventory of translation equipment, providing assistance to Departments, Board of Supervisors, and the Mayor's Office in identifying bilingual staff;

(c) Compiling and maintaining a central repository for all Departments translated documents;

(d) Providing Departments with model Annual Compliance Plans; and

(e) Reviewing complaints of alleged violations with quarterly reports to the Commission.

*(Added by Ord. 202-09, File No. 090461, App. 8/28/2009)*

**SEC. 91.15. - RULES AND REGULATIONS.**

In order to effectuate the terms of this Chapter, the Commission may adopt rules and regulations consistent with this Chapter.

*(Added by Ord. 126-01, File No. 010409, App. 6/15/2001; Ord. 202-09, File No. 090461, App. 8/28/2009)*

**SEC. 91.16. - ENFORCEMENT.**

If after an investigation and attempt to resolve an incidence of Department non-compliance, the Commission is unable to resolve the matter, it shall transmit a written finding of non-compliance, specifying the nature of the non-compliance, to the Department, the Department of Human Resources, the Mayor, and the Board of Supervisors.

*(Added by Ord. 126-01, File No. 010409, App. 6/15/2001; Ord. 202-09, File No. 090461, App. 8/28/2009)*

**SEC. 91.17. - SEVERABILITY.**

If any of the provisions of this Chapter or the application thereof to any person or circumstance is held invalid, the remainder of this Chapter, including the application of such part or provisions to persons or circumstances other than those to which it is held invalid, shall not be affected thereby and shall continue in full force and effect. To this end, the provisions of this Chapter are severable.

*(Added by Ord. 126-01, File No. 010409, App. 6/15/2001; Ord. 202-09, File No. 090461, App. 8/28/2009)*

**SEC. 91.18. - DISCLAIMERS.**

(a) By providing the public with equal access to language services, the City and County of San Francisco is assuming an undertaking only to promote the general welfare. It is not assuming, nor is it imposing on its officers and employees, an obligation for breach of which it is liable in money damages to any person who claims that such breach proximately caused injury.

(b) The obligations set forth in the Language Access Ordinance are directory and the failure of the City to comply shall not provide a basis to invalidate any City action.

(c) The Language Access Ordinance shall be interpreted and applied so as to be consistent with Title VI and VII of the Civil Rights Act of 1964, California's Fair Employment and Housing Act, and Article X of the San Francisco Charter and so as not to impede or impair the City's obligations to comply with any court order or consent decree.

*(Added by Ord. 202-09, File No. 090461, App. 8/28/2009)*

APPENDIX B: STANDARDIZED ANNUAL COMPLIANCE PLAN FORM

**LANGUAGE ACCESS ORDINANCE (LAO)**  
**TIER 1 DEPARTMENT ANNUAL COMPLIANCE PLAN WORKSHEET**  
**SECTION A: DEPARTMENT RESULTS**

Instructions for completing Section A:

Please enter required department information in all fields listed in Section A. Report results for fiscal year 2013-2014 (July 1, 2013 to June 30, 2014) unless otherwise stated.

**I. SUMMARY OF COMPLIANCE PLAN CHANGES**

1. Please provide a summary (bullet points) of all changes made from your department's previous annual compliance plan (FY12-13).  
 Summarize changes made from previous Annual Compliance Plans:

A. List specific changes.

B. Describe and prioritize implemented since your Department previously submitted a compliance plan. Indicate which improved your department's language services and which did not.

C. Indicate the key barriers that have prevented your department from achieving LAO goals and any proposed solutions.

D. Indicate how your department can maintain and improve services to meet language access plans.

**CITY AND COUNTY OF SAN FRANCISCO**  
**OFFICE OF CIVIC ENGAGEMENT & IMMIGRANT AFFAIRS**

**SAN FRANCISCO LANGUAGE ACCESS ORDINANCE (LAO)**  
**FY2013-14 ANNUAL COMPLIANCE PLAN WORKSHEET FOR TIER 1 DEPARTMENTS**  
 (Results for July 1, 2013 - June 30, 2014)

General Instructions for Completing Annual Compliance Plan Filings:

Please note that OCIEA is using a revised process this year for departments to report data. We will continue to simplify and streamline the process going forward until it is completely digital. Meanwhile, please use this worksheet to begin collecting required data for your department and complete all sections. OCIEA will send you an online link along with instructions to submit the final report. This link will be available from November 6, 2014 until 5:00 p.m. PST on December 31, 2014, the final deadline for all Tier 1 Annual Compliance Reports.

Provide short, concise responses that directly relate to the data or information requested. There will be character and space limitations on the final online reporting form, so short bullet points and specific numbers are highly recommended. To check grey boxes, double click and under default values, indicate effect.

Please contact OCIEA if you have any questions or need additional information about filing this report by sending an email to [civicengagement@sf.gov](mailto:civicengagement@sf.gov) with the Subject Line: Annual LAO Compliance, or calling LEO Analyst Kaiti Cook at (415) 581-2352.

**CHECKLIST**

I. Completed Section A: LAO Annual Compliance Plan

II. Completed Section B: Required Language Access Ordinance Attachments:

A.  Written explanation of meeting FY2013-14 goals

B.  List of the Language Access Ordinance goals for FY 2013-14.

C.  Copy of Department's written policies on providing services to LEP speakers

D.  Copy of Department's written procedures for handling complaints

E.  Written protocols for serving LEP citizens in crisis or emergency situations

F.  List of all bilingual public contact staff; phone numbers provided; Form 11

**III. CLIENT INFORMATION**

2. What kind of demographic information does your department currently track?  
 Describe the demographic information tracked for clients tracked by your department's language and proficiency of staff primary and secondary clients (check all that apply):

**Primary Clients (i.e., the clients served in direct and essential functions check all that apply):**

Children(ies)  
 Disabled  
 Homeless  
 Immigrants/Refugees  
 Low Income  
 Public Housing Residents

**Secondary Clients (i.e., clients are occasionally or indirectly served check all that apply):**

Children(ies)  
 Elderly  
 Homeless  
 Immigrants/Refugees  
 Low Income  
 Public Housing Residents

3. What is the number and percentage of limited English proficient (LEP) persons who actually served your department's services citywide?  
 Please provide the method you used to determine the number LEP persons actually served.

Annual Survey  Other  Number of telephone translations  
 \*You may obtain this information by conducting an annual survey using a sample of at least two weeks, or if an Agency-wide form is available, and calculate the annual total number for telephone translation services requested. See Language Access Guidelines Section 9.1.2 (USA 17)

Total Clients Citywide: \_\_\_\_\_ Number of LEP Clients: \_\_\_\_\_ Total (Total) Clients who are LEP: \_\_\_\_\_

CIVIL RIGHTS ACCESS COMPLIANCE PLAN FORM (LAO 2011) 1/14

Please indicate the number of LEP persons served in the following core languages:

NUMBER OF LEP CLIENTS BY CORE LANGUAGE		Other (Specify):	
SPANISH	VIETNAMESE	Other (Specify):	Other (Specify):
_____	_____	_____	_____

LEP:  All Languages  All Languages (Regional)  MCHS = Mandarin  VBT = Vietnamese  
 BUS = Business  SPN = Spanish

Please indicate the number of clients served in other languages:

Other Languages	Approximate Client

\* Please add additional rows as needed.

4. What are the number and percentage of limited English proficient (LEP) persons served in each supervisory district in which your department offices are located?

SUPERVISORIAL DISTRICT	Total Number of Clients in District	Number of LEP Clients in District	% of Total Clients who are LEP	Include Number of LEP Clients by core language spoken in the District						
				SPAN	VIET	RUSS	CHN	WIT	Other (Specify)	
D-1										
D-2										
D-3										
D-4										
D-5										
D-6										
D-7										
D-8										
D-9										
D-10										
D-11										
<b>CITYWIDE</b>										

CIVIL RIGHTS ACCESS COMPLIANCE PLAN FORM (LAO 2011) 1/14

**III. BILINGUAL STAFFING & TRAINING**

5. What is the total number of public contact positions in your department? List the number of bilingual public contact positions and languages spoken.

Note: A public contact position is defined as a position in which a primary job responsibility consists of meeting, contacting and dealing with the public in the performance of the duties of that position. Include public contact positions that are identified as bilingual. The treatment of a given position may exceed the number of bilingual staff reported because some staffers may speak more than one foreign language.

Total Public Contact Staff	Number of bilingual staff by core languages						
	CAN	ML	MONS	RUS	SPN	MEI	Other

6. Please use Form F to provide a list all bilingual staff members.

7. Please indicate the name, title and language(s) other than English spoken by the staff member(s) designated with responsibility for ensuring quality control, that is the accuracy and appropriateness of translations for each language in which services must be provided.

Name of person responsible for bilingual quality control	Non-English spoken languages									
	CHN	TEL	MUND	RUS	SPN	VIET	Other	Other	Other	Other
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Note: Add more rows as submit an additional list, if necessary.

8. What is your department's assessment of additional bilingual employees needed in FY 2014-15 and beyond to meet the requirements of the Language Access Ordinance?

Number of existing public contact positions	Number of additional bilingual staff needed in FY 2014-15	Number of additional bilingual staff needed in FY 2015-16

9. If you have evaluated the number of bilingual staff in your department, in particular, please state your department's plans to fill various public-access positions with bilingual staff or multilingual responses to Bilingual clients' language needs.

**9. Employee Development & Training**

**EMPLOYEE DEVELOPMENT & TRAINING**  
 Does your department have quality controls for bilingual employees?  
 If yes, explain the type of quality controls:  Yes  No

If yes, please explain: \_\_\_\_\_

Does your department offer training for bilingual staff?  Yes  No

If yes, list types of training: \_\_\_\_\_

If no, please explain: \_\_\_\_\_

**IV. TRANSLATIONS & INTERPRETATION**

10. How does your department translate all written materials required under the LAQ?

All required documents  
 Ad hoc as needed  
 Other (Please specify)

11. Please provide a summary of all translated materials by completing the table below. If you select "Other," provide the specific language(s).

Required Type of Written Materials	Number of Translated Materials	Material Based on Material						Other	Languages
		Spanish	Chinese	Vietnamese	Tagalog	Other	Other		
Applications									
Forms									
Written notices of rights									
Written tests									
Notices									
Procedural materials									
Complaint forms									
In-tenant written statements									

Key: CH = Chinese, SP = Spanish, VI = Vietnamese, TAG = Tagalog, OTH = Other  
 FI = Filipino, HAW = Hawaiian, RUS = Russian

12. How does your department ensure accuracy and cultural competency of translated materials?

Individual Personnel  
 Department Member  
 Community Based Organizations

13. Describe any telephone-based interpretation services (telephonic) used for fiscal year 2013-2014 (July 1, 2013 through June 30, 2014). Please include information on call volumes and language use, if your department uses multiple telephone-based interpretation services, which may include internal staff, please indicate each on a separate line.

Vendor Name	Did the system use LEP clients (Y/N)?	Total Call Volume	Total call volume by language															
			SPAN	CHINESE	Vietnamese	Tagalog	Other	Other	Other	Other	Other	Other						
<b>Totals:</b>																		

Note: Add more lines or submit an additional list if necessary.

14. For in-person or over-the-counter contacts, what is your department's procedure for serving persons who request interpreter services or translated information? Please indicate if there is a notice posted in a public place informing LEP persons of their right to request language access and the language this notice is printed in.

Public notice posted informing LEP persons of their right to request language access in the following language(s):  
 Spanish  
 Chinese  
 Vietnamese  
 Tagalog  
 Other: \_\_\_\_\_  
 Public notice NOT available to community in the following language(s):  
 Spanish  
 Chinese  
 Vietnamese  
 Tagalog  
 Other: \_\_\_\_\_

15. For telephone contacts, what is the procedure used by your department when a person calls and requests language assistance or language accommodations? Please indicate if there is a separate number or message available for Limited English Proficient (LEP) persons and if a translated automatic message or pre-recorded prompt is used.

Separate telephone number available for hearing impaired

Separate telephone number available for LEP persons and if a translated automatic message or pre-recorded prompt is used

Received electronic message available for the following languages:

Cantonese

Chinese

English

Hindi

Japanese

Korean

Spanish

Tagalog

Vietnamese

Other \_\_\_\_\_

16. How often did your department provide oral interpretation at public meetings or hearings during FY2013-14? Please indicate the number of meetings/hearings and languages provided and whether vendors or bilingual employees were used.

Number of meetings/hearings: \_\_\_\_\_

Number of LEP attendees: \_\_\_\_\_

Translation provided by:

Vendors

Bilingual employees

Other \_\_\_\_\_

Interpretation provided in the following languages:

Cantonese

Chinese

English

Hindi

Japanese

Korean

Spanish

Tagalog

Vietnamese

Other \_\_\_\_\_

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V. LANGUAGE SERVICE AND COMMUNICATION PROTOCOLS

17. Please provide a brief summary of your department's written policies for providing services for LEP persons and protocols for serving LEP persons in crisis situations.

Does your department have a written policy on policies for providing services to LEP persons? Yes  No

Please provide a brief summary of the written policy.

Does your department have a written policy on emergency situations? Yes  No

If yes, please describe the nature of crisis or emergency situations (e.g. fire, disaster, explosion, etc.).

Does your department have a protocol for serving LEP persons in crisis or emergency situations? Yes  No

If yes, please describe the written policy.

What languages is the written policy available in?

Chinese

English

Hindi

Japanese

Korean

Other \_\_\_\_\_

Please provide a brief summary of the protocol regarding all personal health or emergency situations.

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18. Please assess your department's current process used to facilitate communication with LEP persons and indicate whether this will be adequate for FY2014-15 and beyond.

How adequate are your current procedures used to communicate with LEP persons?

Highly Adequate  
 Adequate  
 Inadequate

Please provide a brief narrative description of your department's process and/or process for communicating with LEP persons.

Please provide a brief description of your department's planned for FY2014-15 and beyond.

19. Please provide the following information regarding your department's process for accepting and resolving complaints regarding alleged violations of the Language Access Ordinance.

Please provide the methods for accepting complaints regarding LEO violations (mark all boxes that apply).

In person	<input type="checkbox"/>	Please indicate the method for resolving LEO complaints (mark all boxes that apply).	
Via telephone	<input type="checkbox"/>	In person	<input type="checkbox"/>
In writing via US mail	<input type="checkbox"/>	Via telephone	<input type="checkbox"/>
Complaint form	<input type="checkbox"/>	In writing via US mail	<input type="checkbox"/>
Website/electronic submission	<input type="checkbox"/>	Via email	<input type="checkbox"/>
Other (please explain)	<input type="checkbox"/>	Other (please explain)	<input type="checkbox"/>

Please provide a brief description of your department's general complaint procedure.

Direct Language Access Complaints from Person (EO 13160)

20. Please provide the following information on complaints received and resolved in FY2013-14. The purpose of this question is to assess the number of LEO complaints as a share of total department complaints.

What percentage of all complaints are related to Language Access Services?

0 - 20%     21 - 40%     41 - 60%     61 - 80%     81 - 100%

Estimated total number of complaints filed against	Estimated total number of resolved complaints (all types)	Total number of LEO complaints	Total number of resolved LEO complaints	Total number of complaints resolved by the LEO

Please provide a brief description of your department's LEO complaint procedure.

Where are your department's complaint procedures publicly posted? (Please mark all that apply)

Department Head     Public Board     Other (Please specify)

21. Please provide the following information on complaints received and resolved in FY2013-14. The purpose of this question is to assess the number of LEO complaints as a share of total department complaints.

How adequate are your current procedures used to communicate with LEP persons?

Highly Adequate  
 Adequate  
 Inadequate

Please provide a brief narrative description of your department's process and/or process for communicating with LEP persons.

Please provide a brief description of your department's planned for FY2014-15 and beyond.

22. Please provide the following information regarding your department's process for accepting and resolving complaints regarding alleged violations of the Language Access Ordinance.

Please provide the methods for accepting complaints regarding LEO violations (mark all boxes that apply).

In person	<input type="checkbox"/>	Please indicate the method for resolving LEO complaints (mark all boxes that apply).	
Via telephone	<input type="checkbox"/>	In person	<input type="checkbox"/>
In writing via US mail	<input type="checkbox"/>	Via telephone	<input type="checkbox"/>
Complaint form	<input type="checkbox"/>	In writing via US mail	<input type="checkbox"/>
Website/electronic submission	<input type="checkbox"/>	Via email	<input type="checkbox"/>
Other (please explain)	<input type="checkbox"/>	Other (please explain)	<input type="checkbox"/>

Please provide a brief description of your department's general complaint procedure.

Direct Language Access Complaints from Person (EO 13160)



**VI. DEPARTMENT FY2014-15 BUDGET FOR LANGUAGE ACCESS**

10. Please provide the following information on the annual budget and actual expenses for Language Services provisioning:

Language Access Services	FY13-14 Budget Reported in FY13-14 Plan	FY13-14 Actual Expenses	FY14-15 Budget
1. Contingency pay for bilingual employees who perform bilingual services, excluding regular annual salary adjustments.			
2. Telephonic interpretation services provided by City website.			
3. Department translation services provided by City website.			
4. Cost of language interpretation services provided by City website.			
5. Other fees associated with providing language access services (e.g., grants, special programs, other).			
6. The total projected budget to support progressive implementation of your Department's language services plan.			
7. Your Department's total budget.			

**LANGUAGE ACCESS ORDINANCE (LAO) ANNUAL COMPLIANCE PLAN SECTION B. REQUIRED DOCUMENTATION**

Instructions for completing Section B:

The LAO requires that Tier 1 Departments provide documentation on specific policies and plans. Please attach all required documents with your annual compliance plan.

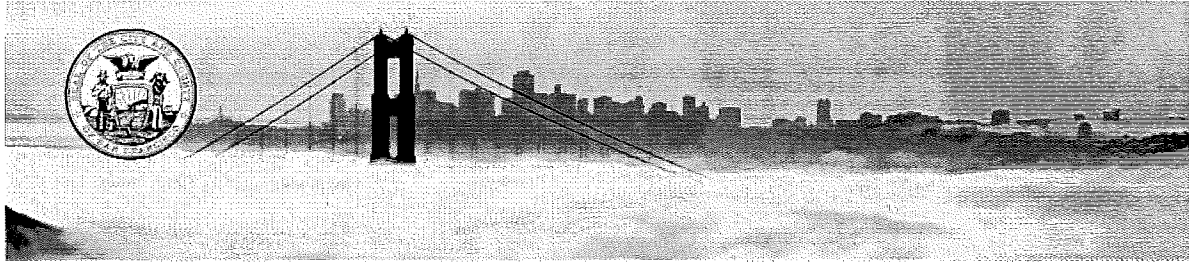
- A. A list of your department's Language Access Ordinance checklist for FY2014-2015. Please provide a description of the goals your department plans to achieve for FY2014-2015.
- B. An assessment of how your department is meeting FY2013-2014 goals. Please provide an update on how your department is meeting your current goals. What are the goals that your department met/failed to meet in last year's plan.
- C. A copy of existing written policies on providing services to LEP persons. If your department does not have written policies, please indicate when you plan on developing them.
- D. A copy of your department's written procedure for creating and resolving complaints regarding the LAO. If your department does not have written policies, please indicate when you plan on developing them.
- E. A copy of written protocols for serving LEP persons in crisis or emergency situations.
- F. A roster of Bilingual Employees, their titles, certifications of bilingual capacity, office locations and the languages other than English that they speak (please use the roster form provided by DCEIA).



## APPENDIX C: GLOSSARY OF TERMS

<b>American Community Survey</b>	An ongoing survey conducted by the U.S. Census Bureau among a sample of the population that provides a detailed snapshot of various social, economic, and housing characteristics of the U.S. population. Data are analyzed and released in the form of 1-year, 3-year, and 5-year estimates.
<b>Annual Compliance Plan</b>	An annual written plan required of Tier 1 Departments including information and data outlined in the LAO, due to OCEIA by December 31 of each year.
<b>Bilingual Employee</b>	A City employee who is proficient in the English language and in one or more non-English language(s).
<b>Census</b>	A population snapshot conducted every ten years on April 1 by the U.S. Census Bureau to provide an official count of the entire U.S. population to Congress. Data are used to determine congressional representation, community services, and distribution of federal funds. In the 2010 Census, the survey included ten questions.
<b>Community Interpreting</b>	A profession that facilitates access to community services for linguistically diverse clients who do not speak the language of service. A community interpreter is a professional interpreter, bilingual staff member or volunteer who interprets for healthcare, education or other community services. Services may be delivered in person, telephonically or by video.
<b>Concentrated Number of Limited English Speaking Persons</b>	Either 5 percent of the population of the District in which a Covered Department Facility is located or 5 percent of those persons who use the services provided by the Covered Department Facility. OCEIA determines annually whether 5 percent or more of the population of any District in which a Covered Department Facility is located are Limited English Speaking Persons who speak a shared language other than English. OCEIA makes this determination by referring to the best available data from the United States Census Bureau or other reliable sources and certifies its determination to all City Departments and the Immigrant Rights Commission no later than December 1 of each year (beginning 2011). Each Department shall determine annually whether 5 percent or more of those persons who use the Department's services at a Covered Department Facility are Limited English Speaking Persons who speak a shared language other than English using either of the methods specified in Section 91.2(k) of the LAO.
<b>Covered Department Facility</b>	Under the LAO, any Department building, office, or location that provides direct services to the public and serves as the workplace for 5 or more full-time City employees.
<b>Crisis/Emergency Situation</b>	A serious or unexpected event of intense difficulty or danger that requires an immediate response due to the impact on individual or public safety.
<b>Cultural &amp; Linguistic Competency</b>	A set of behaviors, attitudes, and policies that come together in a system, agency, or among professionals that enables effective work in cross-cultural situations. The ability to provide services effectively across cultures and languages.
<b>Districts</b>	The 11 geographical districts by which the people of the City and County of San Francisco elect the members of the Board of Supervisors.
<b>Interpreting/Interpreter</b>	Interpreting is the act of accurately rendering oral or signed communication between two or more parties who do not share a common language in an appropriate and culturally competent manner. An interpreter is a person who accurately listens to and renders a message from a source into a target language.
<b>Language Access Ordinance (LAO)</b>	San Francisco's language access law, established in 2001 to ensure equal and meaningful access to information and services. Covers all City Departments that provide information and services to the public, including 26 named Tier 1 Departments. Amended in 2009 to strengthen compliance requirements.
<b>Language Access Services</b>	The full range of services used to ensure that individuals who are not English-language proficient have meaningful and equal access to information about city programs and services. Services include, but are not limited to 1) in-person, telephonic and video remote interpreter services, 2) translation of written materials, notices and documents, and 3) bilingual employee services.

<b>Language Line</b>	An authorized telephonic interpretation vendor that provides over-the-phone interpretation, among other services. OCEIA manages all citywide language service contracts.
<b>Limited English Proficient (LEP)</b>	An individual who does not speak English well or is otherwise unable to communicate effectively in English because English is not the individual's primary language.
<b>Multilingualism</b>	Language diversity, the use of multiple languages by an individual or community of speakers to communicate with others. Over 115 different languages are spoken in the San Francisco Bay area.
<b>National Origin Discrimination</b>	Discrimination as a result of a person's birthplace, ancestry, culture or language. This means people cannot be denied equal opportunity because they or their family are from another country, because they have a name or accent associated with a national origin group, because they participate in certain customs associated with a national origin group, or because they are married to or associate with people of a certain national origin (Source: U.S. Department of Justice).
<b>Primary Language</b>	An individual's preferred and/or strongest language for communication with others.
<b>Public Contact Position</b>	A position in which a primary job responsibility consists of meeting, contacting, and dealing with the public in the performance of the duties of that position.
<b>Quality Control</b>	Procedures or measures that ensure City Departments' and agencies' services and materials are translated or interpreted accurately and consistently.
<b>Substantial Number of Limited English Speaking Persons</b>	Either 10,000 City residents or 5 percent of those persons who use the Department's services. OCEIA determines annually whether at least 10,000 limited English speaking City residents speak a shared language other than English. OCEIA makes this determination by referring to the best available data from the United States Census Bureau or other reliable sources, and certifies this determination to Departments and the Immigrant Rights Commission no later than December 1 of each year (beginning in 2011). Each Department shall determine annually whether 5 percent or more of those Limited English Speaking Persons who use the Department's services Citywide speak a shared language other than English. Departments shall make this determination using one of the following methods: 1) surveys, 2) at the point of service, and/or 3) Language Line or other telephonic language translation vendors contracted by the Department.
<b>Telephonic Services</b>	Contracted interpretation services to provide as-needed, toll-free 800 telephone number(s) or other means for participating City Departments to access language interpretation services 24 hours a day and 365 days of the year. Core languages include: Cantonese (Chinese), Mandarin (Chinese), Spanish, Russian, Filipino, and Vietnamese and a minimum of 20 additional languages and/or dialects approved in writing by the Office of Civic Engagement & Immigrant Affairs.
<b>Tier 1 Departments</b>	Departments that must comply with the full extent of the LAO (including minimum requirements) and file annual compliance plans: Adult Probation, Airport, Assessor Recorder, Building Inspection, City Hall Building Management, District Attorney, Economic and Workforce Development, Elections, Environment, Fire, Human Services Agency, Juvenile Probation, Municipal Transportation Agency, Planning, Police, Public Defender, Public Health, Public Library, Public Utilities, Public Works, Recreation and Parks, Residential Rent Stabilization and Arbitration Board, Sheriff, Treasurer and Tax Collector, and Zoo.
<b>Tier 2 Departments</b>	All City Departments not specified as Tier 1 that furnish information or provide services directly to the public. Must meet basic requirements of the LAO.
<b>Translation/Translator</b>	Reading a document in one language and conveying the document's meaning in writing into another language in an appropriate and culturally competent manner. A translator is a person who professionally renders a written text into another language in writing.



CITY AND COUNTY OF SAN FRANCISCO

OFFICE OF CIVIC ENGAGEMENT & IMMIGRANT AFFAIRS

Edwin M. Lee, Mayor  
Naomi Kelly, City Administrator

Adrienne Pon, Executive Director

OCEIA promotes civic participation and inclusive policies that improve the lives of San Francisco’s residents, particularly immigrants, newcomers, underserved and vulnerable communities. OCEIA seeks to bridge cultural, linguistic and economic barriers to ensure that San Francisco’s diverse residents have equal access to city services and opportunities to participate and contribute in meaningful ways to the success of the community and to the city.

Program Areas:

Community Ambassadors Safety Program | Community Grants: Citizenship, DACA, Day Laborers, Language Access | Community Outreach & Education | Language Access & Services | Immigrant Affairs & Integration | Immigrant Rights Commission | SF WireUP! Consumer Education

Main Office:

50 Van Ness Avenue | San Francisco, CA 94102  
Telephone: 415.581-2360 | website: www.sfgov.org/OCEIA |  
Email: civic.engagement@sfgov.org

Staff:

- Adrienne Pon, *Executive Director*
- Richard Whipple, *Deputy Director of Programs*
- Sarah Hooker, *Associate Director of Policy & Language Access*
- Maricela Alvarez, *CAP Program Coordinator*
- Melissa Chan, *Executive Coordinator/Office Manager*
- Kraig Cook, *Policy Analyst/Project Manager*
- Keyla Cordero, *Language Services Specialist (Spanish)*
- Felix Fuentes, *Senior Outreach & Education Manager/CAP Supervisor*
- Madiha Khan, *DreamSF Fellow*
- Agnes Li, *Language Services Specialist (Chinese)*
- Alena Miakinina, *Senior CAP Administrative & Data Coordinator (Russian Interpreter/Translator)*
- Sandra Panopio, *Language Services Unit Supervisor (Filipino)*
- Jamie Richardson, *Communications Specialist*

Community Ambassadors:

**District 6**

- Faapito Sagote, *Mid-Market Team Lead*
- Jennifer Barrera
- Paulette Broughton
- Kristian Marzett
- Alvin Sumbillo
- Horepa Tautolo
- Rico Tiger
- Juliette Vargas

**District 9**

- Edward Munoz, *Mission Team Lead*
- Jaime Aguilar
- Leticia Haynes
- Walter James
- Javier Rodriguez

**District 10**

- Schevonne Baty, *Vis Valley/Portola Team Lead*
- Raymund Borres
- Carmen Gavidia
- Binh Khuu
- Zhengchao (David) Zhou

- Junior Tovio, *Bayview Team Lead*
- Nayche Bradford
- Hui Yi Cao
- Oscar Vivas

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Chief Researcher   LAO Compliance, Data Analysis & Integrity   Graphics	Kraig Cook
Factchecking   Proofing	Melissa Chan, Kraig Cook, Sandra Panopio, Richard Whipple
Production & Distribution	Melissa Chan
IRC Advisors	Commissioners Celine Kennelly & Haregu Gaime

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**From:** Board of Supervisors, (BOS)  
**To:** BOS-Supervisors  
**Subject:** FW: CCSF Monthly Pooled Investment Report for March 2015  
**Attachments:** CCSF Monthly Pooled Investment Report for March 2015.pdf

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**From:** Dion, Ichieh (TTX)  
**Sent:** Tuesday, April 14, 2015 10:36 AM  
**Subject:** CCSF Monthly Pooled Investment Report for March 2015

Hello All -

Please find the CCSF Pooled Investment Report for the month of March attached for your use.

Regards,

Ichieh Dion  
City and County of San Francisco  
1 Dr. Carlton B. Goodlett Place, Room 140  
San Francisco, CA 94102  
415-554-5433



**Office of the Treasurer & Tax Collector  
City and County of San Francisco**



**José Cisneros, Treasurer**

Pauline Marx, Chief Assistant Treasurer  
Michelle Durgy, Chief Investment Officer

Investment Report for the month of March 2015

April 15, 2015

**The Honorable Edwin M. Lee  
Mayor of San Francisco  
City Hall, Room 200  
1 Dr. Carlton B. Goodlett Place  
San Francisco, CA 94102-4638**

**The Honorable Board of Supervisors  
City and County of San Francisco  
City Hall, Room 244  
1 Dr. Carlton B. Goodlett Place  
San Francisco, CA 94102-4638**

Ladies and Gentlemen,

In accordance with the provisions of California State Government Code, Section 53646, we forward this report detailing the City's pooled fund portfolio as of March 31, 2015. These investments provide sufficient liquidity to meet expenditure requirements for the next six months and are in compliance with our statement of investment policy and California Code.

This correspondence and its attachments show the investment activity for the month of March 2015 for the portfolios under the Treasurer's management. All pricing and valuation data is obtained from Interactive Data Corporation.

**CCSF Pooled Fund Investment Earnings Statistics \***

<i>(in \$ million)</i>	<b>Current Month</b>		<b>Prior Month</b>	
	<u>Fiscal YTD</u>	<u>March 2015</u>	<u>Fiscal YTD</u>	<u>February 2015</u>
Average Daily Balance	\$ 6,053	\$ 6,602	\$ 5,983	\$ 6,440
Net Earnings	34.57	4.07	30.49	3.90
Earned Income Yield	0.76%	0.73%	0.77%	0.79%

**CCSF Pooled Fund Statistics \***

<i>(in \$ million)</i>	<b>% of Portfolio</b>	<b>Book Value</b>	<b>Market Value</b>	<b>Wtd. Avg. Coupon</b>	<b>Wtd. Avg. YTM</b>	<b>WAM</b>
<b>Investment Type</b>						
U.S. Treasuries	7.99%	\$ 532.0	\$ 538.4	1.04%	1.14%	543
Federal Agencies	70.18%	4,718.9	4,726.4	0.86%	0.79%	775
State & Local Government						
Agency Obligations	2.76%	187.6	186.2	1.43%	0.89%	616
Public Time Deposits	0.01%	0.5	0.5	0.52%	0.52%	183
Negotiable CDs	7.88%	530.5	530.5	0.45%	0.46%	564
Commercial Paper	2.23%	150.0	150.0	0.00%	0.09%	1
Medium Term Notes	8.73%	589.4	587.7	0.79%	0.41%	403
Money Market Funds	0.22%	15.1	15.1	0.02%	0.02%	1
<b>Totals</b>	<b>100.0%</b>	<b>\$ 6,723.9</b>	<b>\$ 6,734.9</b>	<b>0.83%</b>	<b>0.74%</b>	<b>684</b>

In the remainder of this report, we provide additional information and analytics at the security-level and portfolio-level, as recommended by the California Debt and Investment Advisory Commission.

Very truly yours,

**José Cisneros  
Treasurer**

cc: Treasury Oversight Committee: Aimee Brown, Ronald Gerhard, Joe Grazioli, Charles Perl  
Ben Rosenfield, Controller, Office of the Controller  
Tonia Lediju, Internal Audit, Office of the Controller  
Cynthia Fong, Deputy Director for Finance & Administration, San Francisco County Transportation Authority  
Carol Lu, Budget Analyst  
San Francisco Public Library

\* Please see last page of this report for non-pooled funds holdings and statistics.

## Portfolio Summary Pooled Fund

	<b>Par Value</b>	<b>Book Value</b>	<b>Market Value</b>	<b>Market/Book Price</b>	<b>Current % Allocation</b>	<b>Max. Policy Allocation</b>	<b>Compliant?</b>
	\$ 535.0	\$ 532.0	\$ 538.4	101.22	7.99%	100%	Yes
	4,715.2	4,718.9	4,726.4	100.16	70.18%	100%	Yes
	185.5	187.6	186.2	99.24	2.76%	20%	Yes
	0.5	0.5	0.5	100.00	0.01%	100%	Yes
	530.5	530.5	530.5	100.01	7.88%	30%	Yes
	-	-	-	-	0.00%	40%	Yes
	150.0	150.0	150.0	100.00	2.23%	25%	Yes
	586.2	589.4	587.7	99.72	8.73%	25%	Yes
	-	-	-	-	0.00%	10%	Yes
ts	-	-	-	-	0.00%	\$75mm	Yes
	15.1	15.1	15.1	100.00	0.22%	10%	Yes
	-	-	-	-	0.00%	\$50mm	Yes
	-	-	-	-	0.00%	5%	Yes
	<b>\$ 6,718.0</b>	<b>\$ 6,723.9</b>	<b>\$ 6,734.9</b>	<b>100.16</b>	<b>100.00%</b>	<b>-</b>	<b>Yes</b>

San Francisco uses the following methodology to determine compliance: Compliance is pre-trade and calculated on both a par and market value basis. The result is the lowest percentage of the overall portfolio value. Cash balances are included in the City's compliance calculations.

This report does not include cash balances. Due to fluctuations in the market value of the securities held in the Pooled Fund and other factors, the allocation limits may be exceeded on a post-trade compliance basis. In these instances, no compliance violation has been identified or exceeded prior to trade execution.

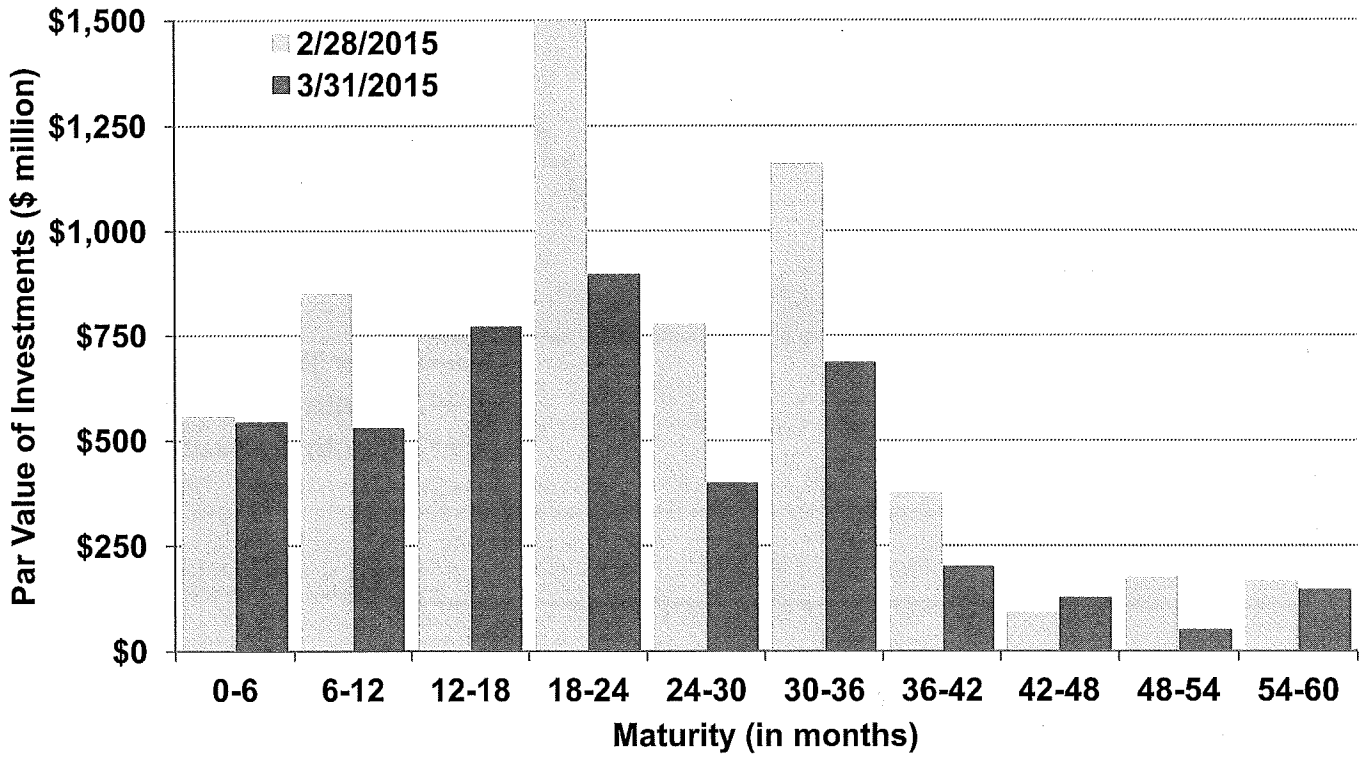
Additional information can be found at <http://www.sftreasurer.org/>, in the Reports & Plans section of the About menu.

ending.

# Portfolio Analysis

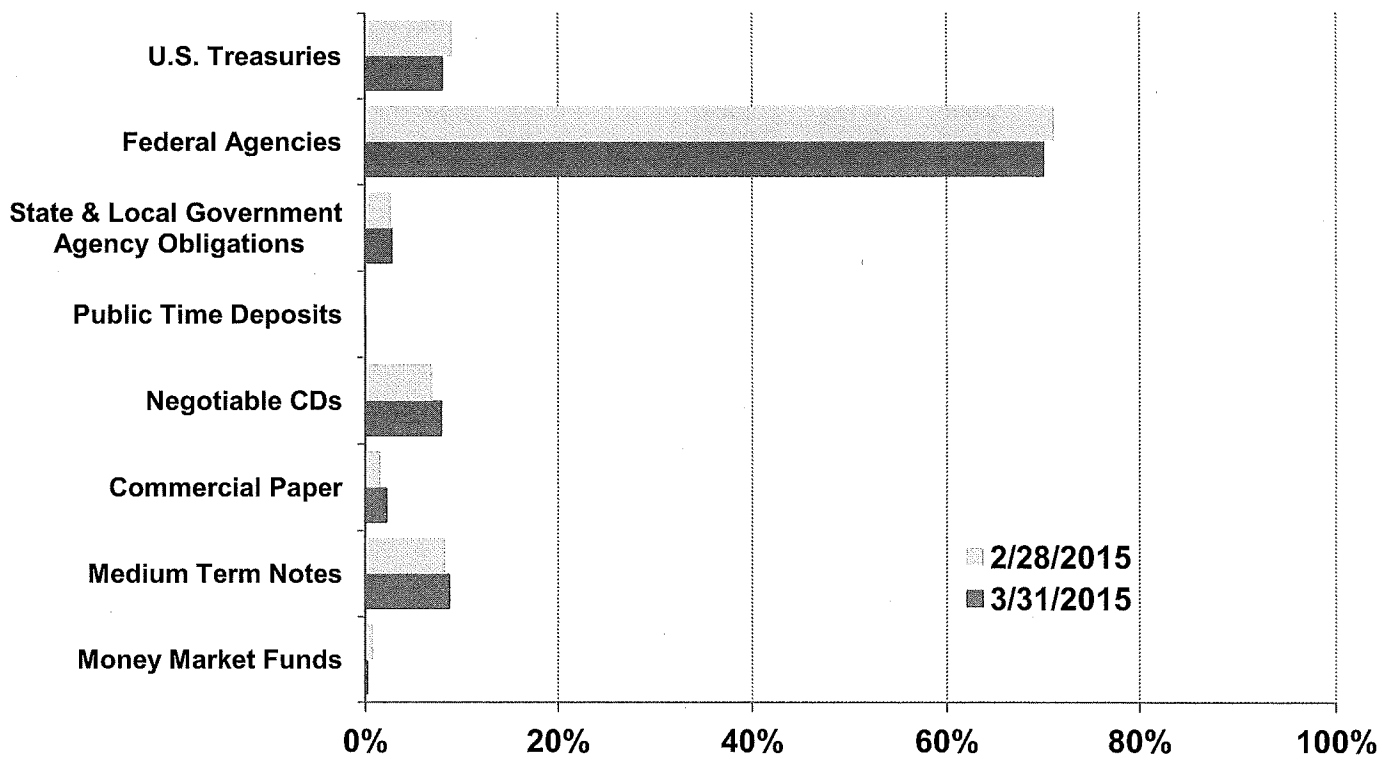
## Pooled Fund

### Par Value of Investments by Maturity

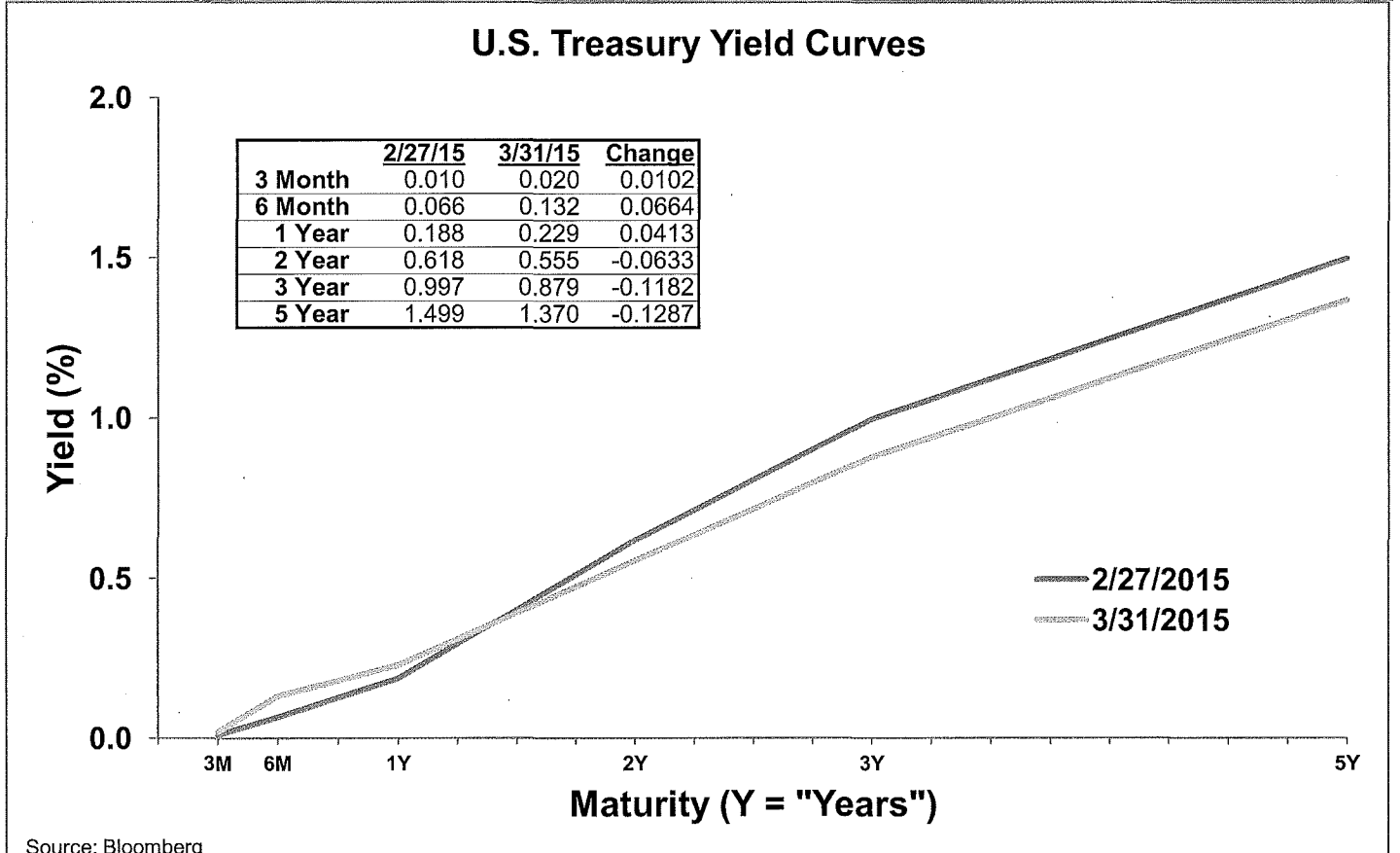
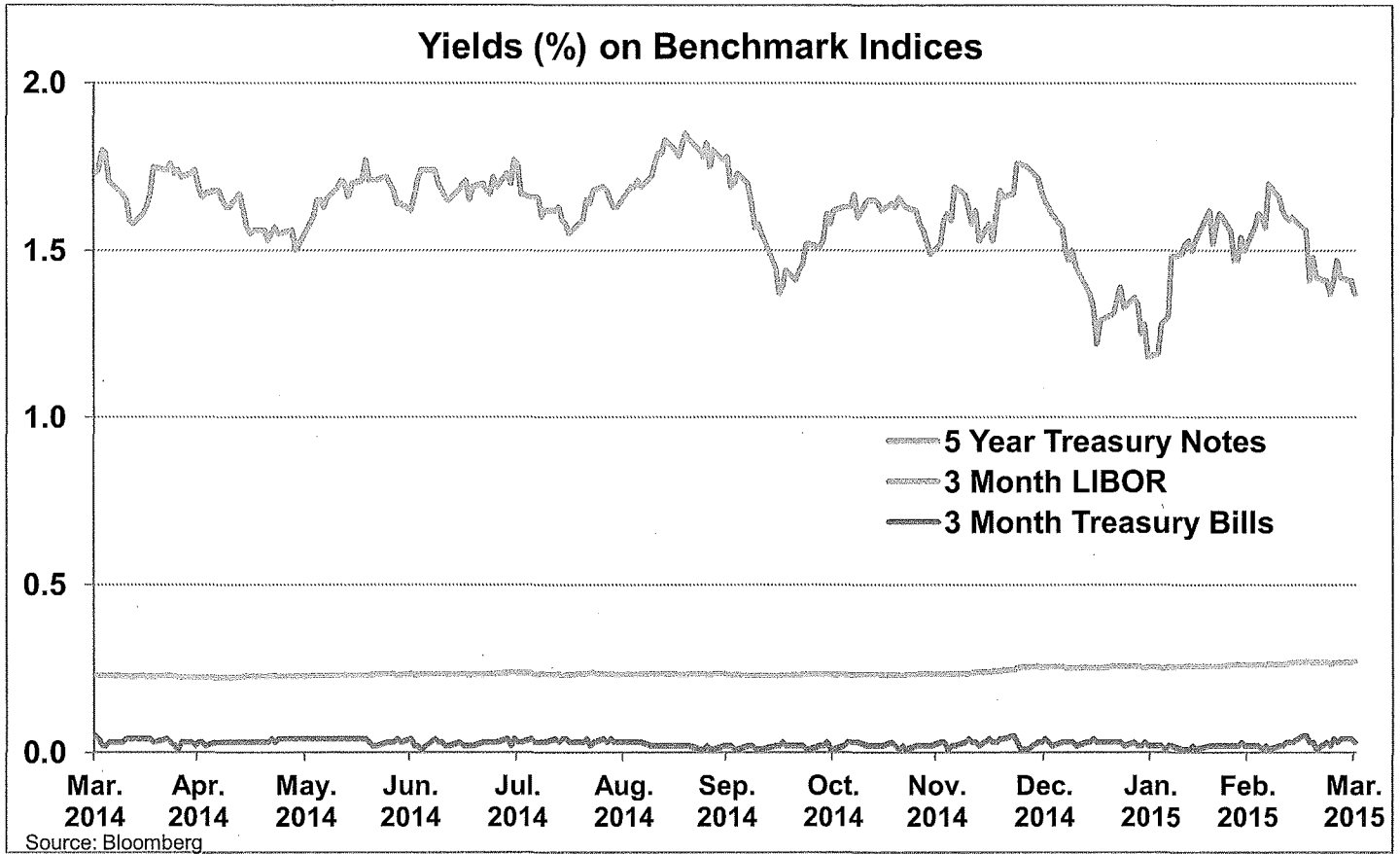


Callable bonds shown at maturity date.

### Asset Allocation by Market Value



# Yield Curves



# Investment Inventory

## Pooled Fund

Security Name	Settle	Maturity	Duration	Coupon	Par Value	Book Value	Amortized	
	Date	Date					Book Value	Market Value
TSY NT	12/23/11	10/31/15	0.58	1.25	\$ 25,000,000	\$ 25,609,375	\$ 25,092,185	\$ 25,154,250
TSY NT	12/16/10	11/30/15	0.66	1.38	50,000,000	49,519,531	49,935,495	50,386,500
TSY NT	12/16/10	11/30/15	0.66	1.38	50,000,000	49,519,531	49,935,495	50,386,500
TSY NT	12/23/10	11/30/15	0.66	1.38	50,000,000	48,539,063	49,803,102	50,386,500
TSY NT	10/11/11	9/30/16	1.49	1.00	75,000,000	74,830,078	74,948,724	75,644,250
TSY NT	12/26/13	10/31/16	1.57	1.00	25,000,000	25,183,594	25,102,212	25,218,750
TSY NT	2/25/14	12/31/16	1.74	0.88	25,000,000	25,145,508	25,089,543	25,170,000
TSY NT	3/14/12	2/28/17	1.90	0.88	75,000,000	74,771,484	74,911,847	75,474,750
TSY NT	3/21/12	2/28/17	1.90	0.88	25,000,000	24,599,609	24,844,946	25,158,250
TSY NT	3/21/12	2/28/17	1.90	0.88	25,000,000	24,599,609	24,844,946	25,158,250
TSY NT	4/4/12	3/31/17	1.99	1.00	50,000,000	49,835,938	49,934,267	50,418,000
TSY NT	9/17/12	8/31/17	2.40	0.63	60,000,000	59,807,813	59,906,190	59,892,000
			<b>1.48</b>	<b>1.04</b>	<b>\$ 535,000,000</b>	<b>\$ 531,961,133</b>	<b>\$ 534,348,953</b>	<b>\$ 538,448,000</b>
3B FLT NT 1ML+1	6/8/12	5/14/15	0.04	0.18	\$ 50,000,000	\$ 49,985,500	\$ 49,999,417	\$ 50,005,500
3B FLT NT 1ML+2	12/5/12	6/22/15	0.06	0.19	50,000,000	49,987,300	49,998,879	50,012,000
VCA	11/22/13	7/22/15	0.31	2.38	15,000,000	15,511,350	15,094,351	15,100,350
3B FLT NT T-BILL+14	8/5/13	8/5/15	0.10	0.16	62,500,000	62,487,500	62,497,842	62,511,250
.B	12/12/13	8/28/15	0.41	0.38	9,000,000	9,014,130	9,003,374	9,006,210
.MC BONDS	12/15/10	9/10/15	0.45	1.75	50,000,000	49,050,000	49,911,040	50,339,500
.B	12/15/10	9/11/15	0.45	1.75	75,000,000	73,587,000	74,866,945	75,504,000
RMER MAC	9/15/10	9/15/15	0.46	2.13	45,000,000	44,914,950	44,992,222	45,365,850
3B FLT NT QTR T-BILL+16	4/24/13	9/18/15	0.22	0.18	16,200,000	16,198,073	16,199,626	16,205,184
VA EX-CALL NT	10/14/11	9/21/15	0.48	2.00	25,000,000	25,881,000	25,105,990	25,211,750
3B FLT NT 1ML+2.5	11/30/12	9/22/15	0.06	0.20	27,953,000	27,941,120	27,950,985	27,966,138
VA	12/15/10	10/26/15	0.57	1.63	25,000,000	24,317,500	24,920,068	25,199,750
VA	12/23/10	10/26/15	0.57	1.63	42,000,000	40,924,380	41,873,456	42,335,580
3B	12/15/10	11/16/15	0.62	1.50	25,000,000	24,186,981	24,896,393	25,193,000
3B FLT NT MONTHLY 1ML+0	5/8/13	11/19/15	0.05	0.18	25,000,000	24,997,000	24,999,248	25,010,250
.B	12/3/10	12/11/15	0.69	1.88	25,000,000	24,982,000	24,997,507	25,279,500
.B	12/14/10	12/11/15	0.69	1.88	50,000,000	49,871,500	49,982,096	50,559,000
3B FLT	12/12/13	1/20/16	0.05	0.18	50,000,000	50,000,000	50,000,000	50,023,000
.B	12/29/14	1/29/16	0.83	0.25	25,000,000	25,000,000	25,000,000	24,989,750
.B NT	4/13/12	3/11/16	0.94	1.00	22,200,000	22,357,620	22,238,080	22,326,540
.B	12/12/13	3/11/16	0.94	3.13	14,000,000	14,848,400	14,356,949	14,364,000
3B NT	4/12/12	3/28/16	0.99	1.05	25,000,000	25,220,750	25,055,264	25,172,000
VA GLOBAL NT	12/13/13	3/30/16	1.00	0.50	25,000,000	25,022,250	25,009,665	25,044,500
VCA FLT MTN 1ML+0	4/1/13	4/1/16	0.00	0.17	50,000,000	50,000,000	50,000,000	50,024,500
.B NT	4/18/12	4/18/16	1.04	0.81	20,000,000	19,992,200	19,997,955	20,087,400
3B NT	11/20/13	5/9/16	1.10	0.65	22,650,000	22,746,489	22,693,265	22,758,041
3B FLT NT 1ML+3	1/15/14	6/2/16	0.01	0.20	50,000,000	49,991,681	49,995,903	50,040,000
VCA NT	2/9/12	6/9/16	1.18	0.90	10,000,000	10,000,000	10,000,000	10,070,200

# Investment Inventory

## Pooled Fund

Security Name	Settle	Maturity	Duration	Coupon	Par Value	Book Value	Amortized	
	Date	Date					Book Value	Market Value
.B	10/23/14	6/10/16	1.18	2.13	28,000,000	28,790,468	28,578,262	28,567,000
.B SUB NT	5/20/13	6/13/16	1.16	5.63	16,925,000	19,472,890	17,923,682	17,963,518
.B SUB NT	5/30/13	6/13/16	1.16	5.63	14,195,000	16,259,095	15,011,340	15,066,005
.B SUB NT	9/4/14	6/13/16	1.16	5.63	8,620,000	9,380,715	9,135,361	9,148,923
.B NT	2/11/14	6/17/16	1.21	0.52	50,000,000	50,062,000	50,032,049	50,059,500
.B EX-CALL NT	3/24/14	6/24/16	1.23	0.50	25,000,000	25,000,000	25,000,000	25,015,750
.VA GLOBAL NT	3/25/14	7/5/16	1.26	0.38	50,000,000	49,753,100	49,863,360	49,969,500
.MCA MTN	7/27/11	7/27/16	1.31	2.00	15,000,000	14,934,750	14,982,750	15,293,100
.MCA MTN	3/26/13	7/27/16	1.31	2.00	14,100,000	14,735,205	14,351,685	14,375,514
.MCA MTN	3/26/13	7/27/16	1.31	2.00	11,900,000	12,440,498	12,114,160	12,132,526
.MCA MTN	3/26/14	7/27/16	1.31	2.00	20,000,000	20,643,350	20,363,862	20,390,800
.MC CALL NT	11/20/14	7/29/16	1.32	0.65	15,000,000	15,022,500	15,017,686	15,017,850
.VA GLOBAL NT	3/17/14	8/26/16	1.40	0.63	50,000,000	50,124,765	50,071,674	50,132,500
.MCA NT	10/29/13	9/1/16	1.41	1.50	7,000,000	7,156,240	7,078,120	7,093,170
.B BD	10/11/11	9/9/16	1.42	2.00	25,000,000	25,727,400	25,213,560	25,548,250
.B	11/5/14	9/9/16	1.42	2.00	25,000,000	25,662,125	25,517,715	25,548,250
.B FLT NT 1ML+2	3/14/14	9/14/16	0.04	0.19	50,000,000	49,993,612	49,996,286	50,030,500
.MC EX-CALL MTN	3/26/14	9/26/16	1.48	0.60	25,000,000	25,000,000	25,000,000	24,957,500
.B NT CALL	1/9/15	9/28/16	1.48	1.13	25,000,000	25,137,500	25,094,466	25,085,500
.MC NT CALL	12/14/12	10/5/16	1.50	0.75	75,000,000	75,071,250	75,000,338	75,004,500
.B	10/23/14	10/11/16	1.51	1.13	5,000,000	5,062,083	5,048,687	5,047,600
.B FLT NT 1ML+2	4/11/14	10/11/16	0.03	0.20	25,000,000	24,993,750	24,996,178	25,014,750
.B	11/3/14	10/14/16	1.53	0.63	40,000,000	40,045,194	40,038,488	40,054,800
.MC GLOBAL NT	3/3/14	10/14/16	1.52	0.88	25,000,000	25,200,250	25,117,720	25,140,000
.VA CALL NT	11/4/13	11/4/16	1.57	1.50	18,000,000	18,350,460	18,104,178	18,123,120
.MC CALL MTN	11/17/14	11/17/16	1.62	0.60	25,000,000	25,000,000	25,000,000	24,952,250
.B	11/17/14	11/23/16	1.64	0.63	25,000,000	24,990,000	24,991,832	25,023,750
.B NT	11/30/12	11/30/16	1.66	0.57	23,100,000	23,104,389	23,101,830	23,104,158
.B	11/6/14	12/9/16	1.67	1.63	25,000,000	25,513,000	25,414,966	25,429,000
.B	12/4/14	12/9/16	1.67	1.63	25,000,000	25,486,750	25,408,711	25,429,000
.B	12/12/14	12/9/16	1.67	1.63	25,000,000	25,450,885	25,383,269	25,429,000
.B CALL NT	3/19/14	12/19/16	1.71	0.70	20,500,000	20,497,950	20,498,720	20,505,535
.B NT CALL	12/28/12	12/28/16	1.73	0.63	13,500,000	13,500,000	13,500,000	13,515,120
.B NT CALL	12/28/12	12/28/16	1.73	0.63	9,000,000	9,000,000	9,000,000	9,010,080
.MC CALL MTN	12/29/14	12/29/16	1.73	0.78	50,000,000	50,000,000	50,000,000	50,058,000
.B NT CALL	12/30/14	12/30/16	1.74	0.75	8,000,000	8,000,000	8,000,000	8,019,840
.B NT CALL	12/30/14	12/30/16	1.74	0.75	50,000,000	50,000,000	50,000,000	50,124,000
.MC NT	1/3/13	1/3/17	1.75	0.60	50,000,000	50,000,000	50,000,000	50,019,500
.B NT	12/20/12	1/12/17	1.77	0.58	14,000,000	14,000,000	14,000,000	13,988,240
.RMER MAC MTN	5/4/12	1/17/17	1.78	1.01	49,500,000	49,475,250	49,490,541	49,836,600
.B FLT QTR T-BILL+14	12/12/14	1/30/17	0.08	0.16	50,000,000	49,981,400	49,984,023	50,012,000
.MC CALL MTN	1/30/15	1/30/17	1.82	0.90	25,000,000	25,000,000	25,000,000	25,013,750



# Investment Inventory

## Pooled Fund

Security Name	Settle		Maturity		Duration	Coupon	Par Value	Book Value	Amortized	
	Date	Date	Date	Date					Book Value	Market Value
_B NT	1/10/13	2/13/17	1.85	1.00	67,780,000	68,546,456	68,130,673	68,242,937		
_B CALL NT	2/27/15	2/27/17	1.89	0.80	30,000,000	29,959,200	29,961,042	30,030,300		
_B CALL NT	2/27/15	2/27/17	1.89	0.80	19,500,000	19,473,480	19,474,677	19,519,695		
_B FLT NT 1ML+5.5	2/27/14	2/27/17	0.07	0.23	50,000,000	50,000,000	50,000,000	50,062,500		
_B	12/15/14	3/10/17	1.93	0.88	50,000,000	50,058,500	50,050,829	50,250,500		
RMER MAC FLT NT 1ML+4	10/3/14	3/24/17	0.07	0.21	26,000,000	26,009,347	26,007,484	26,025,480		
_MC CALL MTN	3/28/14	3/28/17	1.98	0.78	25,000,000	25,000,000	25,000,000	25,054,000		
VA CALL NT	3/28/14	3/28/17	1.98	0.88	25,000,000	25,000,000	25,000,000	25,081,250		
_B FLT NT 1ML+2	10/29/14	3/29/17	0.08	0.20	25,000,000	24,999,750	24,999,794	25,014,750		
RMER MAC MTN	4/10/12	4/10/17	1.99	1.26	12,500,000	12,439,250	12,475,381	12,621,250		
_B NT	4/17/13	4/17/17	2.03	0.60	10,000,000	10,000,000	10,000,000	9,989,700		
RMER MAC MTN	4/26/12	4/26/17	2.04	1.13	10,500,000	10,500,000	10,500,000	10,586,100		
_MC NT	5/14/12	5/12/17	2.08	1.25	25,000,000	25,133,000	25,056,292	25,298,250		
RMER MAC MTN	12/28/12	6/5/17	2.15	1.11	9,000,000	9,122,130	9,060,010	9,036,720		
_B	12/19/14	6/9/17	2.16	1.00	12,000,000	12,024,093	12,021,725	12,072,480		
_B	12/30/14	6/15/17	2.18	0.95	25,000,000	24,959,750	24,963,874	25,115,500		
_B FLT NT FF+22	6/19/12	6/19/17	0.22	0.34	50,000,000	50,000,000	50,000,000	50,099,000		
_B	12/26/14	6/26/17	2.21	0.93	8,400,000	8,397,312	8,397,595	8,431,332		
_MC GLOBAL NT	3/25/14	6/29/17	2.22	1.00	25,000,000	24,920,625	24,945,396	25,139,250		
_MC CALL MTN	12/30/14	6/30/17	2.23	1.05	25,000,000	25,000,000	25,000,000	25,043,000		
_MC CALL MTN	12/30/14	6/30/17	2.23	1.05	25,000,000	25,000,000	25,000,000	25,043,000		
_MC	12/30/14	6/30/17	2.24	1.00	50,000,000	50,000,000	50,000,000	50,253,000		
_B FLT NT 1ML+4	7/24/13	7/24/17	0.07	0.21	50,000,000	50,000,000	50,000,000	50,043,000		
_MC EX-CALL MTN	4/15/14	7/25/17	2.29	1.00	19,000,000	18,995,250	18,996,643	19,076,380		
_B FLT NT 3ML+0	8/5/13	7/26/17	0.07	0.26	23,520,000	23,520,000	23,520,000	23,549,165		
_B FLT 1ML+5	12/23/14	8/23/17	0.06	0.22	50,000,000	50,000,000	50,000,000	50,051,500		
_MC CALL MTN	2/25/15	8/25/17	2.38	1.00	18,300,000	18,300,000	18,300,000	18,337,515		
_MC CALL MTN	9/25/14	9/25/17	2.46	1.13	20,100,000	20,079,900	20,083,348	20,168,340		
_MC GLOBAL NT	3/25/14	9/29/17	2.47	1.00	25,000,000	24,808,175	24,863,750	25,077,500		
VA STEP NT	11/8/12	11/8/17	2.58	0.80	50,000,000	50,000,000	50,000,000	49,904,000		
_B FLT NT 1ML+3	11/18/14	11/13/17	0.04	0.21	25,000,000	24,988,794	24,990,170	25,009,750		
_MC CALL MTN	5/21/13	11/21/17	2.61	0.80	50,000,000	50,000,000	50,000,000	49,754,500		
_MC CALL STEP	11/24/14	11/24/17	2.63	0.63	25,000,000	25,000,000	25,000,000	25,016,000		
_MC CALL STEP	11/24/14	11/24/17	2.63	0.63	11,200,000	11,191,600	11,192,581	11,207,168		
RMER MAC FLT CALL 1ML+17	12/1/14	12/1/17	0.00	0.34	25,000,000	25,000,000	25,000,000	25,068,250		
_B	12/22/14	12/8/17	2.64	1.13	25,000,000	24,988,313	24,992,425	25,147,250		
_B	12/18/14	12/18/17	2.67	1.13	50,000,000	50,012,500	50,011,314	50,211,000		
_B	12/19/14	12/18/17	2.67	1.13	50,000,000	49,916,063	49,924,105	50,211,000		
VA MTN	12/22/14	12/22/17	2.68	1.20	46,000,000	46,000,000	46,000,000	46,340,400		
VA STEP NT	12/26/12	12/26/17	2.71	0.75	29,000,000	29,000,000	29,000,000	29,020,300		
VA STEP NT	12/26/12	12/26/17	2.71	0.80	39,000,000	39,000,000	39,000,000	39,029,250		
_MC CALL NT	12/28/12	12/28/17	2.71	1.00	50,000,000	50,000,000	50,000,000	49,844,000		

# Investment Inventory

## Pooled Fund

Sec Name	Settle Date	Maturity Date	Duration	Coupon	Par Value	Book Value	Amortized Book Value	Market Value
_MC CALL MTN	12/29/14	12/29/17	2.70	1.25	25,000,000	25,000,000	25,000,000	25,030,000
RMER MAC FLT CALL 1ML+16	1/5/15	1/5/18	0.01	0.33	50,000,000	50,000,000	50,000,000	50,082,000
_MC CALL STEP NT	1/30/15	1/30/18	2.81	0.50	25,000,000	25,000,000	25,000,000	24,994,500
_B FLT NT 1ML+5	2/2/15	2/2/18	0.01	0.22	35,000,000	34,978,893	34,980,010	35,025,900
_B FLT NT 1ML+4	11/5/14	2/5/18	0.01	0.21	25,000,000	25,000,000	25,000,000	25,011,250
_B FLT NT 1ML+4	11/5/14	2/5/18	0.01	0.21	25,000,000	24,991,750	24,992,771	25,011,250
_B FLT NT 1ML+4	11/5/14	2/5/18	0.01	0.21	50,000,000	49,983,560	49,985,594	50,022,500
_MC STEP CALL MTN	2/6/15	2/6/18	2.82	0.75	24,900,000	24,900,000	24,900,000	24,873,606
_MC CALL MTN	2/20/15	2/20/18	2.86	0.75	22,000,000	22,000,000	22,000,000	21,997,800
_B	2/27/15	2/27/18	2.87	0.85	25,000,000	25,000,000	25,000,000	25,021,750
_MC CALL STEP	2/27/15	2/27/18	2.89	0.50	25,000,000	25,000,000	25,000,000	25,009,750
_MC CALL STEP	2/27/15	2/27/18	2.89	0.50	25,000,000	25,000,000	25,000,000	25,009,750
VA GLOBAL NT CALL	2/26/14	2/28/18	2.87	1.15	19,000,000	18,877,450	18,910,873	18,948,510
VA GLOBAL NT CALL	2/26/14	2/28/18	2.87	1.15	8,770,000	8,713,434	8,728,861	8,746,233
_MC STEP CALL MTN	3/5/15	3/5/18	2.90	0.75	25,000,000	25,000,000	25,000,000	25,011,250
_MC STEP CALL MTN	3/16/15	3/16/18	2.92	1.00	50,000,000	50,000,000	50,000,000	50,056,500
_MC STEP CALL MTN	3/26/15	3/26/18	2.95	1.00	25,000,000	25,000,000	25,000,000	25,029,750
_B FLT CALL NT 1ML+23	10/2/14	4/2/18	0.01	0.40	50,000,000	50,000,000	50,000,000	50,000,000
VA NT CALL	4/24/13	4/24/18	2.99	1.50	50,000,000	50,903,000	50,028,451	50,035,000
VA NT STEP	4/30/13	4/30/18	3.04	0.75	12,600,000	12,600,000	12,600,000	12,604,914
RMER MAC STEP NT	5/3/13	5/3/18	3.05	0.70	24,600,000	24,600,000	24,600,000	24,612,054
_B STEP NT	5/7/13	5/7/18	3.07	0.75	25,000,000	25,000,000	25,000,000	25,014,500
_B NT	5/23/13	5/14/18	3.07	0.88	10,000,000	9,934,600	9,959,004	9,913,300
VA NT	5/23/13	5/21/18	3.09	0.88	25,000,000	24,786,500	24,865,860	24,940,500
_B STEP NT	5/22/13	5/22/18	3.12	0.50	50,000,000	50,000,000	50,000,000	50,019,500
_B CALL STEP	3/27/15	6/25/18	3.21	0.50	4,000,000	4,000,111	4,000,111	4,002,120
_MC CALL MTN	4/17/14	7/17/18	3.21	1.64	25,000,000	25,000,000	25,000,000	25,099,500
_MC CALL STEP NT	1/27/15	7/27/18	3.28	0.75	25,000,000	25,000,000	25,000,000	25,015,750
_MC STEP CALL MTN	1/30/15	7/30/18	3.28	1.00	25,000,000	25,000,000	25,000,000	25,014,500
_B NT CALL	3/18/15	9/18/18	3.40	1.33	15,000,000	15,000,000	15,000,000	15,038,550
RMER MAC CALL FLT 3ML+14	3/3/15	12/3/18	0.18	0.40	50,000,000	50,000,000	50,000,000	50,130,000
RMER MAC FLT CALL 3ML+12	3/3/15	12/3/18	0.18	0.38	50,000,000	50,000,000	50,000,000	50,094,000
_MC CALL STEP	12/10/13	12/10/18	3.63	0.88	50,000,000	50,000,000	50,000,000	50,230,000
_MC CALL MULTI-STEP	12/18/13	12/18/18	3.61	1.50	25,000,000	25,000,000	25,000,000	25,065,750
VA CALL NT	12/30/14	12/28/18	3.63	1.63	15,000,000	15,000,000	15,000,000	15,127,050
RMER MAC FLT CALL NT 3ML+15	4/3/14	4/3/19	0.01	0.41	50,000,000	50,000,000	50,000,000	50,000,000
RMER MAC FLT CALL NT 1ML+31	11/3/14	5/3/19	0.01	0.48	25,000,000	25,000,000	25,000,000	25,007,500
RMER MAC FLT CALL NT 3ML+12	8/12/14	8/12/19	0.12	0.38	50,000,000	50,000,000	50,000,000	50,033,500
_B FLT CALL NT 1ML+40	10/2/14	10/2/19	0.01	0.57	50,000,000	50,000,000	50,000,000	50,000,000
VA 0 CPN	11/21/14	10/9/19	4.53	0.00	29,675,000	26,700,081	26,918,654	27,268,654
VA 0 CPN	11/24/14	10/9/19	4.53	0.00	25,000,000	22,498,750	22,678,615	22,972,750
VA 0 CPN	11/24/14	10/9/19	4.53	0.00	10,000,000	9,005,200	9,076,736	9,189,100
RMER MAC FLT CALL 3ML+12	12/2/14	12/2/19	0.17	0.38	50,000,000	50,000,000	50,000,000	50,027,000
_B STEP CALL NT	3/18/15	3/18/20	4.83	1.25	25,000,000	25,000,000	25,000,000	25,033,250
_MC STEP CALL MTN	3/25/15	3/25/20	4.81	1.63	15,000,000	15,000,000	15,000,000	15,029,400
			<b>1.45</b>	<b>0.86</b>	<b>\$ 4,715,188,000</b>	<b>\$ 4,718,852,316</b>	<b>\$ 4,715,206,663</b>	<b>\$ 4,726,431,696</b>

# Investment Inventory

## Pooled Fund

Security Name	Settle Date	Maturity Date	Duration	Coupon	Par Value	Book Value	Amortized Book Value	Market Value
IV OF CALIFORNIA REVENUE BC	3/14/13	5/15/15	0.12	0.39	\$ 5,000,000	\$ 5,000,000	\$ 5,000,000	\$ 5,001,000
NTEREY COMM COLLEGE GO	5/7/13	8/1/15	0.34	0.63	315,000	315,000	315,000	315,428
IFORNIA ST TAXABLE GO BD	8/19/14	11/1/15	0.57	3.95	5,000,000	5,215,300	5,104,953	5,100,300
IV YORK CITY TAXABLE GO	4/1/13	12/1/15	0.65	5.13	12,255,000	13,700,477	12,617,111	12,610,027
IFORNIA ST TAXABLE GO BD	3/27/13	2/1/16	0.83	1.05	11,000,000	11,037,180	11,010,929	11,046,200
IFORNIA ST GO BD	12/19/14	2/1/16	0.83	1.05	7,000,000	7,044,310	7,033,151	7,029,400
IFORNIA ST GO BD	3/31/15	2/1/16	0.83	1.05	21,000,000	21,150,150	21,149,781	21,088,200
IV OF CALIFORNIA REVENUE	4/10/14	5/15/16	1.12	0.63	2,500,000	2,500,000	2,500,000	2,499,550
NTEREY COMM COLLEGE GO	5/7/13	8/1/16	1.33	0.98	2,670,000	2,670,000	2,670,000	2,679,105
IFORNIA ST TAXABLE GO BD	12/9/14	11/1/16	1.57	0.75	44,000,000	44,059,033	44,051,500	43,946,760
IV OF CALIFORNIA REVENUE BD	4/10/14	5/15/17	2.09	1.22	3,250,000	3,250,000	3,250,000	3,262,968
IFORNIA ST GO BD	11/5/13	11/1/17	2.52	1.75	16,558,000	16,558,905	16,538,205	16,688,595
IFORNIA ST GO BD	11/25/14	11/1/17	2.54	1.25	50,000,000	50,121,500	50,107,106	49,942,000
IFORNIA ST GO BD	12/22/14	11/1/17	2.55	1.25	5,000,000	5,009,238	5,008,802	4,994,200
			<b>1.66</b>	<b>1.43</b>	<b>\$ 185,490,000</b>	<b>\$ 187,631,093</b>	<b>\$ 186,356,538</b>	<b>\$ 186,203,733</b>
ANK OF SAN FRANCISCO PTD	4/9/14	4/9/15	0.03	0.45	\$ 240,000	\$ 240,000	\$ 240,000	\$ 240,000
ANS PACIFIC NATIONAL BANK P	3/20/15	3/21/16	0.97	0.58	240,000	240,000	240,000	240,000
			<b>0.49</b>	<b>0.29</b>	<b>\$ 480,000</b>	<b>\$ 480,000</b>	<b>\$ 480,000</b>	<b>\$ 480,000</b>
YAL BANK OF CANADA NY YCD	5/19/14	6/25/15	0.24	0.37	\$ 5,500,000	\$ 5,497,250	\$ 5,499,419	\$ 5,498,961
YAL BANK OF CANADA NY YCD	9/16/14	3/10/16	0.03	0.34	25,000,000	25,000,000	25,000,000	25,003,300
.STPAC FLT YCD 3ML+15	4/24/14	4/25/16	0.07	0.41	25,000,000	25,000,000	25,000,000	24,994,200
.STPAC FLT YCD 1ML+22	4/24/14	4/25/16	0.07	0.39	50,000,000	50,000,000	50,000,000	49,988,750
ANK OF NOVA SCOTIA YCD 3ML+1	5/9/14	5/9/16	0.11	0.45	25,000,000	24,989,525	24,994,211	24,993,325
ANK OF MONTREAL CHICAGO YCI	2/12/15	8/12/16	0.04	0.42	25,000,000	25,000,000	25,000,000	24,989,875
ANK OF MONTREAL CHICAGO YCI	3/31/15	9/23/16	0.06	0.44	50,000,000	50,000,000	50,000,000	50,000,000
ANK OF MONTREAL CHICAGO YCI	3/31/15	9/23/16	0.06	0.44	25,000,000	25,000,000	25,000,000	25,000,000
ANK OF NOVA SCOTIA FLT 3ML+2	9/25/14	9/23/16	0.23	0.46	50,000,000	50,000,000	50,000,000	49,958,750
ANK OF NOVA SCOTIA YCD 3ML+2	10/7/14	10/7/16	0.02	0.45	50,000,000	50,000,000	50,000,000	49,985,000
YAL BANK OF CANADA YCD 3ML	12/15/14	12/15/16	0.21	0.45	100,000,000	100,000,000	100,000,000	100,146,700
ANK OF NOVA SCOTIA YCD 3ML+2	2/23/15	2/23/17	0.15	0.54	25,000,000	25,000,000	25,000,000	24,995,150
ANK OF NOVA SCOTIA YCD 3ML+2	2/23/15	2/23/17	0.15	0.54	25,000,000	25,000,000	25,000,000	24,995,150
ANK OF NOVA SCOTIA YCD 3ML+2	9/25/14	9/25/17	0.24	0.54	50,000,000	50,000,000	50,000,000	49,970,650
			<b>0.13</b>	<b>0.45</b>	<b>\$ 530,500,000</b>	<b>\$ 530,486,775</b>	<b>\$ 530,493,629</b>	<b>\$ 530,519,811</b>
FG UNION BANK NA	3/31/15	4/1/15	0.00	0.00	\$ 100,000,000	\$ 99,999,861	\$ 99,999,861	\$ 100,000,000
ANK OF TOKYO-MITSUBISHI UFJ C	3/10/15	4/2/15	0.00	0.00	50,000,000	49,994,569	49,994,569	49,999,792
			<b>0.00</b>	<b>0.00</b>	<b>\$ 150,000,000</b>	<b>\$ 149,994,430</b>	<b>\$ 149,994,430</b>	<b>\$ 149,999,792</b>

# Investment Inventory

## Pooled Fund

Security Name	Settle Date	Maturity Date	Duration	Coupon	Par Value	Book Value	Amortized Book Value	Market Value
YOTA MOTOR CREDIT CORP 3M	4/12/13	4/8/15	0.02	0.40	\$ 50,000,000	\$ 50,000,000	\$ 50,000,000	\$ 50,000,500
NEW YORK LIFE MTN	9/22/14	5/4/15	0.09	3.00	5,000,000	5,084,250	5,012,412	5,010,600
YOTA MTN	12/19/13	5/11/15	0.11	0.75	5,425,000	5,460,859	5,427,824	5,427,170
CAPITAL CORP MTN	8/19/13	7/2/15	0.26	1.63	5,000,000	5,075,250	5,010,151	5,015,150
CAPITAL CORP FLT MTN 3ML+7	11/25/13	7/9/15	0.02	1.00	8,565,000	8,624,955	8,575,043	8,580,503
YOTA MTN	11/15/13	7/17/15	0.30	0.88	10,000,000	10,072,000	10,012,650	10,016,200
YOTA MTN	3/4/14	7/17/15	0.30	0.88	6,100,000	6,147,885	6,110,247	6,109,882
MICROSOFT MTN	10/30/13	9/25/15	0.49	1.63	3,186,000	3,260,266	3,204,914	3,205,626
STPAC NT	9/15/14	9/25/15	0.49	1.13	10,152,000	10,232,201	10,189,855	10,189,055
GENERAL ELECTRIC MTN	3/5/14	10/9/15	0.52	0.85	10,000,000	10,069,000	10,022,605	10,031,500
GENERAL ELECTRIC MTN	5/7/14	10/9/15	0.52	0.85	8,000,000	8,043,680	8,016,044	8,025,200
GENERAL ELECTRIC MTN	5/19/14	10/9/15	0.52	0.85	9,300,000	9,358,311	9,321,924	9,329,295
BANK OF MONTREAL MTN	3/27/14	11/6/15	0.60	0.80	8,500,000	8,532,470	8,512,073	8,521,760
CAPITAL CORP MTN	5/12/14	11/9/15	0.60	2.25	7,000,000	7,183,890	7,074,768	7,072,730
ROYAL BANK & GAMBLE MTN	3/7/14	11/15/15	0.62	1.80	23,025,000	23,588,652	23,232,949	23,229,692
ROYAL BANK & GAMBLE MTN	3/12/14	11/15/15	0.62	1.80	10,000,000	10,231,900	10,086,253	10,088,900
YOTA CORP NT	2/11/14	1/5/16	0.76	2.00	19,579,000	20,139,743	19,804,754	19,820,213
WELLS FARGO CHASE & CO	2/11/15	1/15/16	0.78	2.60	12,836,000	13,079,085	13,047,339	13,013,265
WELLS FARGO FLT MTN 3ML+45	3/17/14	2/26/16	0.15	0.71	10,000,000	10,035,800	10,016,666	10,011,600
FLT MTN 3ML+20	5/19/14	5/11/16	0.11	0.46	17,689,000	17,703,328	17,697,046	17,708,635
FLT MTN 3ML+65	3/23/15	7/12/16	0.04	0.90	27,651,000	27,902,111	27,898,288	27,835,985
BANK OF NOVA SCOTIA	2/13/15	7/15/16	1.28	1.38	16,483,000	16,639,415	16,626,822	16,624,094
TORONTO-DOMINION BANK 3ML+45	12/15/14	9/9/16	0.19	0.72	18,930,000	19,016,132	19,001,595	19,002,123
TORONTO-DOMINION BANK 3ML+45	3/2/15	9/9/16	0.19	0.72	24,000,000	24,103,620	24,098,039	24,091,440
YOTA MOTOR CREDIT CORP 3M	9/23/14	9/23/16	0.23	0.36	50,000,000	50,000,000	50,000,000	49,973,500
YOTA MOTOR CREDIT CORP 3M	12/9/14	9/23/16	0.23	0.36	14,150,000	14,145,331	14,146,137	14,142,501
YOTA MOTOR CREDIT CORP 3M	2/11/15	9/23/16	0.23	0.36	28,150,000	28,142,963	28,143,547	28,135,081
YOTA MOTOR CREDIT CORP FF-	9/25/14	9/23/16	0.23	0.37	47,500,000	47,500,000	47,500,000	47,486,225
STPAC FLT MTN 1ML+25	10/10/14	10/7/16	0.02	0.43	50,000,000	50,000,000	50,000,000	50,000,000
GENERAL ELEC CAP CORP FLT 3M	1/9/15	1/9/17	0.02	0.53	20,000,000	20,000,000	20,000,000	20,024,400
YOTA MOTOR CREDIT CORP 3M	2/20/15	2/16/17	0.13	0.45	50,000,000	50,000,000	50,000,000	50,008,500
			<b>0.27</b>	<b>0.79</b>	<b>\$ 586,221,000</b>	<b>\$ 589,373,095</b>	<b>\$ 587,789,947</b>	<b>\$ 587,731,325</b>
BLACKROCK T-FUND INSTL	3/31/15	4/1/15	0.00	0.01	\$ 5,001,493	\$ 5,001,493	\$ 5,001,493	\$ 5,001,493
ELIYITY INSTL GOVT PORT	3/31/15	4/1/15	0.00	0.01	5,003,920	5,003,920	5,003,920	5,003,920
INSTL GOVT FUND	3/31/15	4/1/15	0.00	0.04	5,090,186	5,090,186	5,090,186	5,090,186
			<b>0.00</b>	<b>0.02</b>	<b>\$ 15,095,599</b>	<b>\$ 15,095,599</b>	<b>\$ 15,095,599</b>	<b>\$ 15,095,599</b>
			<b>1.21</b>	<b>0.83</b>	<b>\$ 6,717,974,599</b>	<b>\$ 6,723,874,440</b>	<b>\$ 6,719,765,759</b>	<b>\$ 6,734,909,955</b>

# Monthly Investment Earnings

## Pooled Fund

Name	Par Value	Coupon	YTM <sup>1</sup>	Settle Date	Maturity Date	Earned Interest	Amort. Expense	Realized Gain/(Loss)	Earned Income /Net Earnings
'SY NT	\$ -	2.50	0.48	2/24/12	3/31/15	\$ 103,022	\$ (82,373)	\$ -	\$ 20,649
'SY NT	25,000,000	1.25	0.61	12/23/11	10/31/15	26,761	(13,417)	-	13,344
'SY NT	50,000,000	1.38	1.58	12/16/10	11/30/15	58,551	8,229	-	66,780
'SY NT	50,000,000	1.38	1.58	12/16/10	11/30/15	58,551	8,229	-	66,780
'SY NT	50,000,000	1.38	2.00	12/23/10	11/30/15	58,551	25,119	-	83,670
'SY NT	75,000,000	1.00	1.05	10/11/11	9/30/16	63,862	2,901	-	66,763
'SY NT	25,000,000	1.00	0.74	12/26/13	10/31/16	21,409	(5,473)	-	15,936
'SY NT	25,000,000	0.88	0.67	2/25/14	12/31/16	18,733	(4,337)	-	14,395
'SY NT	75,000,000	0.88	0.94	3/14/12	2/28/17	55,282	3,909	-	59,191
'SY NT	25,000,000	0.88	1.21	3/21/12	2/28/17	18,427	6,877	-	25,304
'SY NT	25,000,000	0.88	1.21	3/21/12	2/28/17	18,427	6,877	-	25,304
'SY NT	50,000,000	1.00	1.07	4/4/12	3/31/17	42,575	2,791	-	45,366
'SY NT	60,000,000	0.63	0.69	9/17/12	8/31/17	31,590	3,293	-	34,883
	<b>\$ 535,000,000</b>					<b>\$ 575,741</b>	<b>\$ (37,375)</b>	<b>\$ -</b>	<b>\$ 538,366</b>
A GLOBAL	\$ -	0.38	0.20	1/13/14	3/16/15	\$ 1,469	\$ (671)	\$ -	\$ 798
MER MAC FLT NT FF+26	-	0.37	0.37	5/3/12	5/1/15	4,597	-	12,500	17,097
3 FLT NT 1ML+1	50,000,000	0.18	0.36	6/8/12	5/14/15	7,899	420	-	8,319
3 FLT NT 1ML+2	50,000,000	0.19	0.29	12/5/12	6/22/15	8,328	424	-	8,752
CA	15,000,000	2.38	0.32	11/22/13	7/22/15	29,688	(26,115)	-	3,572
3 FLT NT T-BILL+14	62,500,000	0.16	0.21	8/5/13	8/5/15	8,652	531	-	9,183
3	9,000,000	0.38	0.28	12/12/13	8/28/15	2,813	(702)	-	2,111
VC BONDS	50,000,000	1.75	2.17	12/15/10	9/10/15	72,917	17,023	-	89,940
3	75,000,000	1.75	2.31	12/15/10	9/11/15	109,375	25,305	-	134,680
MER MAC	45,000,000	2.13	2.17	9/15/10	9/15/15	79,688	1,444	-	81,131
3 FLT NT QTR T-BILL+16	16,200,000	0.18	0.20	4/24/13	9/18/15	2,456	68	-	2,524
A EX-CALL NT	25,000,000	2.00	1.08	10/14/11	9/21/15	41,667	(18,992)	-	22,674
3 FLT NT 1ML+2.5	27,953,000	0.20	0.28	11/30/12	9/22/15	4,776	359	-	5,135
A	25,000,000	1.63	2.22	12/15/10	10/26/15	33,854	11,913	-	45,767
A	42,000,000	1.63	2.19	12/23/10	10/26/15	56,875	18,860	-	75,735
3	25,000,000	1.50	2.20	12/15/10	11/16/15	31,250	14,025	-	45,275
3 FLT NT MONTHLY 1ML+0	25,000,000	0.18	0.20	5/8/13	11/19/15	3,771	101	-	3,872
3	25,000,000	1.88	1.89	12/3/10	12/11/15	39,063	304	-	39,367
3	50,000,000	1.88	1.93	12/14/10	12/11/15	78,125	2,185	-	80,310
3 FLT	50,000,000	0.18	0.18	12/12/13	1/20/16	7,512	-	-	7,512
3	25,000,000	0.25	0.25	12/29/14	1/29/16	5,208	-	-	5,208
3 NT	22,200,000	1.00	0.82	4/13/12	3/11/16	18,500	(3,422)	-	15,078
3	14,000,000	3.13	0.41	12/12/13	3/11/16	36,458	(32,074)	-	4,385
3 NT	25,000,000	1.05	0.82	4/12/12	3/28/16	21,875	(4,733)	-	17,142
A GLOBAL NT	25,000,000	0.50	0.46	12/13/13	3/30/16	10,417	(823)	-	9,594
CA FLT MTN 1ML+0	50,000,000	0.17	0.17	4/1/13	4/1/16	7,401	-	-	7,401
3 NT	20,000,000	0.81	0.82	4/18/12	4/18/16	13,500	166	-	13,666
3 NT	22,650,000	0.65	0.48	11/20/13	5/9/16	12,269	(3,320)	-	8,949
3 FLT NT 1ML+3	50,000,000	0.20	0.22	1/15/14	6/2/16	8,692	297	-	8,988

# Monthly Investment Earnings

## Pooled Fund

Security Name	Par Value	Coupon	YTM <sup>1</sup>	Settle Date	Maturity Date	Earned Interest	Amort. Expense	Realized Gain/(Loss)	Earned Income /Net Earnings
CA NT	10,000,000	0.90	0.90	2/9/12	6/9/16	7,500	-	-	7,500
3	28,000,000	2.13	0.39	10/23/14	6/10/16	49,583	(41,115)	-	8,468
3 SUB NT	16,925,000	5.63	0.65	5/20/13	6/13/16	79,336	(70,522)	-	8,814
3 SUB NT	14,195,000	5.63	0.77	5/30/13	6/13/16	66,539	(57,646)	-	8,893
3 SUB NT	8,620,000	5.63	0.62	9/4/14	6/13/16	40,406	(36,392)	-	4,014
3 NT	50,000,000	0.52	0.44	2/11/14	6/17/16	21,667	(2,243)	-	19,424
3 EX-CALL NT	25,000,000	0.50	0.50	3/24/14	6/24/16	10,417	-	-	10,417
A GLOBAL NT	50,000,000	0.38	0.59	3/25/14	7/5/16	15,625	9,188	-	24,813
CA MTN	15,000,000	2.00	2.09	7/27/11	7/27/16	25,000	1,107	-	26,107
CA MTN	14,100,000	2.00	0.63	3/26/13	7/27/16	23,500	(16,154)	-	7,346
CA MTN	11,900,000	2.00	0.62	3/26/13	7/27/16	19,833	(13,745)	-	6,088
CA MTN	20,000,000	2.00	0.61	3/26/14	7/27/16	33,333	(23,353)	-	9,980
VC CALL NT	15,000,000	0.65	0.56	11/20/14	7/29/16	8,125	(1,130)	-	6,995
A GLOBAL NT	50,000,000	0.63	0.52	3/17/14	8/26/16	26,042	(4,331)	-	21,711
CA NT	7,000,000	1.50	0.70	10/29/13	9/1/16	8,750	(4,666)	-	4,084
3 BD	25,000,000	2.00	1.39	10/11/11	9/9/16	41,667	(12,562)	-	29,104
3	25,000,000	2.00	0.55	11/5/14	9/9/16	41,667	(30,454)	-	11,213
3 FLT NT 1ML+2	50,000,000	0.19	0.20	3/14/14	9/14/16	8,329	216	-	8,546
VC EX-CALL MTN	25,000,000	0.60	0.60	3/26/14	9/26/16	12,500	-	-	12,500
3 NT CALL	25,000,000	1.13	0.80	1/9/15	9/28/16	23,438	(16,269)	-	7,168
VC NT CALL	75,000,000	0.75	0.72	12/14/12	10/5/16	46,875	(2,623)	-	44,252
3	5,000,000	1.13	0.51	10/23/14	10/11/16	4,708	(2,596)	-	2,113
3 FLT NT 1ML+2	25,000,000	0.20	0.21	4/11/14	10/11/16	4,200	212	-	4,412
3	40,000,000	0.63	0.58	11/3/14	10/14/16	20,833	(1,395)	-	19,438
VC GLOBAL NT	25,000,000	0.88	0.57	3/3/14	10/14/16	18,229	(6,493)	-	11,736
A CALL NT	18,000,000	1.50	0.84	11/4/13	11/4/16	22,500	(14,883)	-	7,617
VC CALL MTN	25,000,000	0.60	0.60	11/17/14	11/17/16	12,500	-	-	12,500
3	25,000,000	0.63	0.64	11/17/14	11/23/16	13,021	421	-	13,441
3 NT	23,100,000	0.57	0.57	11/30/12	11/30/16	10,973	(93)	-	10,879
3	25,000,000	1.63	0.64	11/6/14	12/9/16	33,854	(20,815)	-	13,039
3	25,000,000	1.63	0.65	12/4/14	12/9/16	33,854	(20,502)	-	13,352
3	25,000,000	1.63	0.72	12/12/14	12/9/16	33,854	(19,056)	-	14,799
3 CALL NT	20,500,000	0.70	0.70	3/19/14	12/19/16	11,958	63	-	12,022
3 NT CALL	13,500,000	0.63	0.63	12/28/12	12/28/16	7,031	-	-	7,031
3 NT CALL	9,000,000	0.63	0.63	12/28/12	12/28/16	4,688	-	-	4,688
VC CALL MTN	50,000,000	0.78	0.78	12/29/14	12/29/16	32,500	-	-	32,500
3 NT CALL	8,000,000	0.75	0.75	12/30/14	12/30/16	5,000	-	-	5,000
3 NT CALL	50,000,000	0.75	0.75	12/30/14	12/30/16	31,250	-	-	31,250
VC NT	50,000,000	0.60	0.60	1/3/13	1/3/17	25,000	-	-	25,000
3 NT	14,000,000	0.58	0.58	12/20/12	1/12/17	6,767	-	-	6,767
MER MAC MTN	49,500,000	1.01	1.02	5/4/12	1/17/17	41,663	446	-	42,109
3 FLT QTR T-BILL+14	50,000,000	0.16	0.18	12/12/14	1/30/17	6,922	739	-	7,661
VC CALL MTN	25,000,000	0.90	0.90	1/30/15	1/30/17	18,750	-	-	18,750
3 NT	67,780,000	1.00	0.72	1/10/13	2/13/17	56,483	(15,893)	-	40,590
3 CALL NT	30,000,000	0.80	0.87	2/27/15	2/27/17	20,000	1,730	-	21,730

# Monthly Investment Earnings

## Pooled Fund

Security Name	Par Value	Coupon	YTM <sup>1</sup>	Settle Date	Maturity Date	Earned Interest	Amort. Expense	Realized Gain/(Loss)	Earned Income /Net Earnings
3 CALL NT	19,500,000	0.80	0.87	2/27/15	2/27/17	13,000	1,125	-	14,125
3 FLT NT 1ML+5.5	50,000,000	0.23	0.23	2/27/14	2/27/17	9,799	-	-	9,799
3	50,000,000	0.88	0.82	12/15/14	3/10/17	36,458	(2,222)	-	34,236
MER MAC FLT NT 1ML+4	26,000,000	0.21	0.20	10/3/14	3/24/17	4,750	(321)	-	4,429
VC CALL MTN	25,000,000	0.78	0.78	3/28/14	3/28/17	16,250	-	-	16,250
A CALL NT	25,000,000	0.88	0.88	3/28/14	3/28/17	18,229	-	-	18,229
3 FLT NT 1ML+2	25,000,000	0.20	0.20	10/29/14	3/29/17	4,143	9	-	4,152
MER MAC MTN	12,500,000	1.26	1.36	4/10/12	4/10/17	13,125	1,031	-	14,156
3 NT	10,000,000	0.60	0.60	4/17/13	4/17/17	5,000	-	-	5,000
MER MAC MTN	10,500,000	1.13	1.13	4/26/12	4/26/17	9,844	-	-	9,844
VC NT	25,000,000	1.25	1.14	5/14/12	5/12/17	26,042	(2,260)	-	23,781
MER MAC MTN	9,000,000	1.11	0.80	12/28/12	6/5/17	8,325	(2,337)	-	5,988
3	12,000,000	1.00	0.93	12/19/14	6/9/17	10,000	(713)	-	9,287
3	25,000,000	0.95	1.02	12/30/14	6/15/17	19,792	1,389	-	21,181
3 FLT NT FF+22	50,000,000	0.34	0.34	6/19/12	6/19/17	13,964	-	-	13,964
3	8,400,000	0.93	0.94	12/26/14	6/26/17	6,510	91	-	6,601
VC GLOBAL NT	25,000,000	1.00	1.10	3/25/14	6/29/17	20,833	2,064	-	22,898
VC CALL MTN	25,000,000	1.05	1.05	12/30/14	6/30/17	21,875	-	-	21,875
VC CALL MTN	25,000,000	1.05	1.05	12/30/14	6/30/17	21,875	-	-	21,875
VC	50,000,000	1.00	1.00	12/30/14	6/30/17	41,667	-	-	41,667
3 FLT NT 1ML+4	50,000,000	0.21	0.21	7/24/13	7/24/17	9,134	-	-	9,134
VC EX-CALL MTN	19,000,000	1.00	1.01	4/15/14	7/25/17	15,833	123	-	15,956
3 FLT NT 3ML+0	23,520,000	0.26	0.26	8/5/13	7/26/17	5,020	-	-	5,020
3 FLT 1ML+5	50,000,000	0.22	0.22	12/23/14	8/23/17	9,620	-	-	9,620
VC CALL MTN	18,300,000	1.00	1.00	2/25/15	8/25/17	15,250	-	-	15,250
VC CALL MTN	20,100,000	1.13	1.16	9/25/14	9/25/17	18,844	569	-	19,412
A STEP NT	-	0.72	0.72	9/27/12	9/27/17	52,000	-	-	52,000
VC GLOBAL NT	25,000,000	1.00	1.22	3/25/14	9/29/17	20,833	4,631	-	25,465
A STEP NT	50,000,000	0.80	0.80	11/8/12	11/8/17	33,333	-	-	33,333
3 FLT NT 1ML+3	25,000,000	0.21	0.22	11/18/14	11/13/17	4,399	318	-	4,717
VC CALL MTN	50,000,000	0.80	0.80	5/21/13	11/21/17	33,333	-	-	33,333
VC CALL STEP	25,000,000	0.63	0.63	11/24/14	11/24/17	13,021	-	-	13,021
VC CALL STEP	11,200,000	0.63	0.65	11/24/14	11/24/17	5,833	238	-	6,071
MER MAC FLT CALL 1ML+17	25,000,000	0.34	0.34	12/1/14	12/1/17	7,123	-	-	7,123
3	25,000,000	1.13	1.19	12/22/14	12/8/17	23,438	1,275	-	24,712
3	50,000,000	1.13	1.12	12/18/14	12/18/17	46,875	(354)	-	46,521
3	50,000,000	1.13	1.18	12/19/14	12/18/17	46,875	2,421	-	49,296
CA MTN	46,000,000	1.20	1.20	12/22/14	12/22/17	46,000	-	-	46,000
A STEP NT	29,000,000	0.75	0.75	12/26/12	12/26/17	18,125	-	-	18,125
A STEP NT	39,000,000	0.80	0.80	12/26/12	12/26/17	26,000	-	-	26,000
VC CALL NT	50,000,000	1.00	1.00	12/28/12	12/28/17	41,667	-	-	41,667
VC CALL MTN	25,000,000	1.25	1.25	12/29/14	12/29/17	26,042	-	-	26,042
MER MAC FLT CALL 1ML+16	50,000,000	0.33	0.33	1/5/15	1/5/18	13,864	-	-	13,864
VC CALL STEP NT	25,000,000	0.50	0.50	1/30/15	1/30/18	10,417	-	-	10,417



# Monthly Investment Earnings

## Pooled Fund

Security Name	Par Value	Coupon	YTM <sup>1</sup>	Settle Date	Maturity Date	Earned Interest	Amort. Expense	Realized Gain/(Loss)	Earned Income /Net Earnings
3 FLT NT 1ML+5	35,000,000	0.22	0.24	2/2/15	2/2/18	6,687	597	-	7,284
3 FLT NT 1ML+4	25,000,000	0.21	0.21	11/5/14	2/5/18	4,580	-	-	4,580
3 FLT NT 1ML+4	25,000,000	0.21	0.22	11/5/14	2/5/18	4,580	215	-	4,795
3 FLT NT 1ML+4	50,000,000	0.21	0.22	11/5/14	2/5/18	9,160	429	-	9,589
VC STEP CALL MTN	24,900,000	0.75	0.75	2/6/15	2/6/18	15,563	-	-	15,563
VC CALL MTN	22,000,000	0.75	0.75	2/20/15	2/20/18	13,750	-	-	13,750
3	25,000,000	0.85	0.85	2/27/15	2/27/18	17,708	-	-	17,708
VC CALL STEP	25,000,000	0.50	0.50	2/27/15	2/27/18	10,417	-	-	10,417
VC CALL STEP	25,000,000	0.50	0.50	2/27/15	2/27/18	10,417	-	-	10,417
A GLOBAL NT CALL	19,000,000	1.15	1.32	2/26/14	2/28/18	18,208	2,597	-	20,805
A GLOBAL NT CALL	8,770,000	1.15	1.32	2/26/14	2/28/18	8,405	1,199	-	9,603
VC STEP CALL MTN	25,000,000	0.75	0.75	3/5/15	3/5/18	13,542	-	-	13,542
VC STEP CALL MTN	50,000,000	1.00	1.00	3/16/15	3/16/18	20,833	-	-	20,833
VC STEP CALL MTN	25,000,000	1.00	1.00	3/26/15	3/26/18	3,472	-	-	3,472
3 FLT CALL NT 1ML+23	50,000,000	0.40	0.40	10/2/14	4/2/18	16,749	-	-	16,749
A NT CALL	50,000,000	1.50	1.13	4/24/13	4/24/18	62,500	(38,347)	-	24,153
A NT STEP	12,600,000	0.75	0.75	4/30/13	4/30/18	7,875	-	-	7,875
MER MAC STEP NT	24,600,000	0.70	0.70	5/3/13	5/3/18	14,350	-	-	14,350
3 STEP NT	25,000,000	0.75	0.75	5/7/13	5/7/18	15,625	-	-	15,625
3 NT	10,000,000	0.88	1.01	5/23/13	5/14/18	7,292	1,116	-	8,407
A NT	25,000,000	0.88	1.05	5/23/13	5/21/18	18,229	3,629	-	21,858
3 STEP NT	50,000,000	0.50	0.50	5/22/13	5/22/18	20,833	-	-	20,833
MER MAC FLT CALL	-	0.37	0.37	6/6/14	6/6/18	1,269	-	-	1,269
3 CALL STEP	4,000,000	0.50	0.50	3/27/15	6/25/18	222	-	-	222
VC CALL MTN	25,000,000	1.64	1.64	4/17/14	7/17/18	34,167	-	-	34,167
VC CALL STEP NT	25,000,000	0.75	0.75	1/27/15	7/27/18	15,625	-	-	15,625
VC STEP CALL MTN	25,000,000	1.00	1.00	1/30/15	7/30/18	20,833	-	-	20,833
3 NT CALL	15,000,000	1.33	1.33	3/18/15	9/18/18	7,204	-	-	7,204
MER MAC CALL FLT 3ML+14	50,000,000	0.40	0.40	3/3/15	12/3/18	16,186	-	-	16,186
MER MAC FLT CALL 3ML+12	50,000,000	0.38	0.38	3/3/15	12/3/18	14,850	-	-	14,850
VC CALL STEP	50,000,000	0.88	0.88	12/10/13	12/10/18	36,458	-	-	36,458
VC CALL MULTI-STEP	25,000,000	1.50	1.50	12/18/13	12/18/18	31,250	-	-	31,250
A CALL NT	15,000,000	1.63	1.63	12/30/14	12/28/18	20,313	-	-	20,313
MER MAC FLT CALL NT 3ML+15	50,000,000	0.41	0.41	4/3/14	4/3/19	16,900	-	-	16,900
MER MAC FLT CALL NT 1ML+31	25,000,000	0.48	0.48	11/3/14	5/3/19	10,060	-	-	10,060
MER MAC FLT CALL	-	0.38	0.38	6/3/14	6/3/19	1,068	-	-	1,068
MER MAC FLT CALL NT 3ML+12	50,000,000	0.38	0.38	8/12/14	8/12/19	15,754	-	-	15,754
3 FLT CALL NT 1ML+40	50,000,000	0.57	0.57	10/2/14	10/2/19	23,832	-	-	23,832
A 0 CPN	29,675,000	0.00	2.18	11/21/14	10/9/19	-	51,723	-	51,723
A 0 CPN	25,000,000	0.00	2.17	11/24/14	10/9/19	-	43,561	-	43,561
A 0 CPN	10,000,000	0.00	2.16	11/24/14	10/9/19	-	17,325	-	17,325
MER MAC FLT CALL 3ML+12	50,000,000	0.38	0.38	12/2/14	12/2/19	15,861	-	-	15,861
3 STEP CALL NT	25,000,000	1.25	1.25	3/18/15	3/18/20	11,285	-	-	11,285
VC STEP CALL MTN	15,000,000	1.63	1.63	3/25/15	3/25/20	4,063	-	-	4,063
<b>\$ 4,715,188,000</b>						<b>\$ 3,328,092</b>	<b>\$ (327,114)</b>	<b>\$ 12,500</b>	<b>\$ 3,013,478</b>

# Monthly Investment Earnings

## Pooled Fund

Security Name	Par Value	Coupon	YTM <sup>1</sup>	Settle Date	Maturity Date	Earned Interest	Amort. Expense	Realized Gain/(Loss)	Earned Income /Net Earnings
NEW YORK ST TAXABLE GO	\$ -	0.39	0.40	3/21/13	3/1/15	\$ -	\$ -	\$ -	\$ -
STATE OF CALIFORNIA REVENUE BC	5,000,000	0.39	0.39	3/14/13	5/15/15	1,633	-	-	1,633
STATE OF CALIFORNIA COLLEGE GO	315,000	0.63	0.63	5/7/13	8/1/15	165	-	-	165
STATE OF CALIFORNIA ST TAXABLE GO BD	5,000,000	3.95	0.35	8/19/14	11/1/15	16,458	(15,203)	-	1,255
NEW YORK CITY TAXABLE GO	12,255,000	5.13	0.66	4/1/13	12/1/15	52,390	(46,006)	-	6,384
STATE OF CALIFORNIA ST TAXABLE GO BD	11,000,000	1.05	0.91	3/27/13	2/1/16	9,625	(1,107)	-	8,518
STATE OF CALIFORNIA ST GO BD	7,000,000	1.05	0.48	12/19/14	2/1/16	6,125	(3,358)	-	2,767
STATE OF CALIFORNIA ST GO BD	21,000,000	1.05	0.40	3/31/15	2/1/16	-	(369)	-	(369)
STATE OF CALIFORNIA REVENUE	2,500,000	0.63	0.63	4/10/14	5/15/16	1,321	-	-	1,321
STATE OF CALIFORNIA COLLEGE GO	2,670,000	0.98	0.98	5/7/13	8/1/16	2,185	-	-	2,185
STATE OF CALIFORNIA ST TAXABLE GO BD	44,000,000	0.75	0.69	12/9/14	11/1/16	27,500	(2,067)	-	25,433
STATE OF CALIFORNIA REVENUE BD	3,250,000	1.22	1.22	4/10/14	5/15/17	3,310	-	-	3,310
STATE OF CALIFORNIA ST GO BD	16,500,000	1.75	1.66	11/5/13	11/1/17	24,063	(1,253)	-	22,809
STATE OF CALIFORNIA ST GO BD	50,000,000	1.25	1.17	11/25/14	11/1/17	52,083	(3,514)	-	48,570
STATE OF CALIFORNIA ST GO BD	5,000,000	1.25	1.22	12/22/14	11/1/17	5,208	(135)	-	5,073
	<b>\$ 185,490,000</b>					<b>\$ 202,067</b>	<b>\$ (73,013)</b>	<b>\$ -</b>	<b>\$ 129,054</b>
STATE OF CALIFORNIA ST GO BD	\$ 240,000	0.45	0.45	4/9/14	4/9/15	\$ 93	\$ -	\$ -	\$ 93
STATE OF CALIFORNIA PACIFIC NATIONAL BANK P	240,000	0.58	0.58	3/20/15	3/21/16	46	-	-	46
	<b>\$ 480,000</b>					<b>\$ 139</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 139</b>
AL BANK OF CANADA NY YCD	\$ 5,500,000	0.37	0.57	5/19/14	6/25/15	\$ 1,636	\$ 212	\$ -	\$ 1,848
AL BANK OF CANADA NY YCD	25,000,000	0.34	0.34	9/16/14	3/10/16	7,298	-	-	7,298
STATE OF CALIFORNIA TPAC FLT YCD 3ML+15	25,000,000	0.41	0.41	4/24/14	4/25/16	8,742	-	-	8,742
STATE OF CALIFORNIA TPAC FLT YCD 1ML+22	50,000,000	0.39	0.39	4/24/14	4/25/16	16,884	-	-	16,884
STATE OF CALIFORNIA NOVA SCOTIA YCD 3ML+1	25,000,000	0.45	0.48	5/9/14	5/9/16	9,604	444	-	10,048
STATE OF CALIFORNIA MONTREAL CHICAGO YCI	25,000,000	0.42	0.42	2/12/15	8/12/16	8,949	-	-	8,949
STATE OF CALIFORNIA MONTREAL CHICAGO YCI	50,000,000	0.44	0.44	3/31/15	9/23/16	608	-	-	608
STATE OF CALIFORNIA MONTREAL CHICAGO YCI	25,000,000	0.44	0.44	3/31/15	9/23/16	304	-	-	304
STATE OF CALIFORNIA NOVA SCOTIA FLT 3ML+2	50,000,000	0.46	0.46	9/25/14	9/23/16	19,621	-	-	19,621
STATE OF CALIFORNIA NOVA SCOTIA YCD 3ML+2	50,000,000	0.45	0.45	10/7/14	10/7/16	19,530	-	-	19,530
AL BANK OF CANADA YCD 3ML	100,000,000	0.45	0.45	12/15/14	12/15/16	37,552	-	-	37,552
STATE OF CALIFORNIA NOVA SCOTIA YCD 3ML+2	25,000,000	0.54	0.54	2/23/15	2/23/17	11,657	-	-	11,657
STATE OF CALIFORNIA NOVA SCOTIA YCD 3ML+2	25,000,000	0.54	0.54	2/23/15	2/23/17	11,657	-	-	11,657
STATE OF CALIFORNIA NOVA SCOTIA YCD 3ML+2	50,000,000	0.54	0.54	9/25/14	9/25/17	22,706	-	-	22,706
	<b>\$ 530,500,000</b>					<b>\$ 176,748</b>	<b>\$ 656</b>	<b>\$ -</b>	<b>\$ 177,405</b>
STATE OF CALIFORNIA TOKYO-MITSUBISHI UFJ C	\$ -	0.00	0.13	2/27/15	3/6/15	\$ 1,806	\$ -	\$ -	\$ 1,806
G UNION BANK NA	-	0.00	0.06	3/27/15	3/31/15	667	-	-	667
G UNION BANK NA	100,000,000	0.00	0.05	3/31/15	4/1/15	139	-	-	139
STATE OF CALIFORNIA TOKYO-MITSUBISHI UFJ C	50,000,000	0.00	0.17	3/10/15	4/2/15	5,194	-	-	5,194
	<b>\$ 150,000,000</b>					<b>\$ 7,806</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 7,806</b>

# Monthly Investment Earnings

## Pooled Fund

Name	Par Value	Coupon	YTM <sup>1</sup>	Settle Date	Maturity Date	Earned Interest	Amort. Expense	Realized Gain/(Loss)	Earned Income /Net Earnings
ER MTN	\$ -	5.35	0.44	12/9/13	3/15/15	\$ 6,242	\$ (5,644)	\$ -	\$ 598
OTA MOTOR CREDIT CORP 3M	50,000,000	0.40	0.40	4/12/13	4/8/15	17,270	-	-	17,270
YORK LIFE MTN	5,000,000	3.00	0.26	9/22/14	5/4/15	12,500	(11,660)	-	840
MTN	5,425,000	0.75	0.27	12/19/13	5/11/15	3,391	(2,188)	-	1,202
CAPITAL CORP MTN	5,000,000	1.63	0.81	8/19/13	7/2/15	6,771	(3,420)	-	3,350
CAPITAL CORP FLT MTN 3ML+7:	8,565,000	1.00	-0.40	11/25/13	7/9/15	7,152	(3,145)	-	4,008
OTA MTN	10,000,000	0.88	0.44	11/15/13	7/17/15	7,292	(3,665)	-	3,627
OTA MTN	6,100,000	0.88	0.30	3/4/14	7/17/15	4,448	(2,969)	-	1,479
ROSOF MTN	3,186,000	1.63	0.39	10/30/13	9/25/15	4,314	(3,313)	-	1,002
TPAC NT	10,152,000	1.13	0.35	9/15/14	9/25/15	9,518	(6,630)	-	2,888
ERAL ELECTRIC MTN	10,000,000	0.85	0.42	3/5/14	10/9/15	7,083	(3,669)	-	3,414
ERAL ELECTRIC MTN	8,000,000	0.85	0.46	5/7/14	10/9/15	5,667	(2,604)	-	3,063
ERAL ELECTRIC MTN	9,300,000	0.85	0.40	5/19/14	10/9/15	6,588	(3,558)	-	3,029
K OF MONTREAL MTN	8,500,000	0.80	0.56	3/27/14	11/6/15	5,667	(1,709)	-	3,958
CAPITAL CORP MTN	7,000,000	2.25	0.48	5/12/14	11/9/15	13,125	(10,441)	-	2,684
CTER & GAMBLE MTN	23,025,000	1.80	0.34	3/7/14	11/15/15	34,538	(28,274)	-	6,264
CTER & GAMBLE MTN	10,000,000	1.80	0.41	3/12/14	11/15/15	15,000	(11,727)	-	3,273
CORP NT	19,579,000	2.00	0.48	2/11/14	1/5/16	32,632	(25,084)	-	7,548
ORGAN CHASE & CO	12,836,000	2.60	0.75	2/11/15	1/15/16	27,811	(20,084)	-	7,727
UFJ FLT MTN 3ML+45	10,000,000	0.71	0.35	3/17/14	2/26/16	6,123	(1,561)	-	4,562
ILT MTN 3ML+20	17,689,000	0.46	0.39	5/19/14	5/11/16	6,982	(614)	-	6,367
ILT MTN 3ML+65	27,651,000	0.90	0.34	3/23/15	7/12/16	6,236	(3,823)	-	2,413
K OF NOVA SCOTIA	16,483,000	1.38	0.78	2/13/15	7/15/16	18,887	(8,306)	-	10,581
ONTO-DOMINION BANK 3ML+4	18,930,000	0.72	0.42	12/15/14	9/9/16	11,678	(4,211)	-	7,466
ONTO-DOMINION BANK 3ML+4	24,000,000	0.72	0.44	3/2/15	9/9/16	14,341	(5,581)	-	8,760
OTA MOTOR CREDIT CORP 3M	50,000,000	0.36	0.36	9/23/14	9/23/16	15,315	-	-	15,315
OTA MOTOR CREDIT CORP 3M	14,150,000	0.36	0.39	12/9/14	9/23/16	4,334	221	-	4,556
OTA MOTOR CREDIT CORP 3M	28,150,000	0.36	0.38	2/11/15	9/23/16	8,623	370	-	8,992
OTA MOTOR CREDIT CORP FF-	47,500,000	0.37	0.37	9/25/14	9/23/16	14,812	-	-	14,812
TPAC FLT MTN 1ML+25	50,000,000	0.43	0.43	10/10/14	10/7/16	18,254	-	-	18,254
ERAL ELEC CAP CORP FLT 3M	20,000,000	0.53	0.53	1/9/15	1/9/17	9,164	-	-	9,164
OTA MOTOR CREDIT CORP 3M	50,000,000	0.45	0.45	2/20/15	2/16/17	19,401	-	-	19,401
	<b>\$ 586,221,000</b>					<b>\$ 381,156</b>	<b>\$ (173,289)</b>	<b>\$ -</b>	<b>\$ 207,868</b>
CKROCK T-FUND INSTL	\$ 5,001,493	0.01	0.01	3/31/15	4/1/15	\$ 42	\$ -	\$ -	\$ 42
LITY INSTL GOVT PORT	5,003,920	0.01	0.01	3/31/15	4/1/15	43	-	-	43
NSTL GOVT FUND	5,090,186	0.04	0.04	3/31/15	4/1/15	250	-	-	250
	<b>\$ 15,095,599</b>					<b>\$ 335</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 335</b>
	<b>\$ 6,717,974,599</b>					<b>\$ 4,672,083</b>	<b>\$ (610,134)</b>	<b>\$ 12,500</b>	<b>\$ 4,074,449</b>

# Investment Transactions

## Pooled Fund

Category of Investment	Issuer Name	CUSIP	Par Value	Coupon	YTM	Price	Interest	Transaction
Money Market Funds	BLACKROCK T-FUND INSTL	09248U718	\$ 156	0.01	0.01	\$ 100.00	\$ -	\$ 156
Municipal Term Notes	TORONTO-DOMINION BANK 3M	89114QAL2	24,000,000	0.70	0.41	100.43	38,490	24,142,110
Jeral Agencies	FARMER MAC CALL FLT 3ML+	31315PS59	50,000,000	0.40	0.40	100.00	-	50,000,000
Jeral Agencies	FARMER MAC FLT CALL 3ML+	31315PW96	50,000,000	0.26	0.26	100.00	-	50,000,000
Jeral Agencies	FHLMC STEP CALL MTN	3134G6FR9	25,000,000	0.75	0.75	100.00	-	25,000,000
Commercial Paper	BANK OF TOKYO-MITSUBISHI	06538CR29	50,000,000	0.00	0.17	99.99	-	49,994,569
Jeral Agencies	FHLMC STEP CALL MTN	3134G6JN4	50,000,000	1.00	1.00	100.00	-	50,000,000
Jeral Agencies	FHLB NT CALL	3130A4GL0	15,000,000	1.33	1.33	100.00	-	15,000,000
Jeral Agencies	FHLB STEP CALL NT	3130A4HA3	25,000,000	1.25	1.25	100.00	-	25,000,000
Municipal Time Deposits	TRANS PACIFIC NATIONAL B	XTPNB1604	240,000	0.58	0.58	100.00	-	240,000
Municipal Term Notes	GE FLT MTN 3ML+65	36962G7A6	27,651,000	0.90	0.34	100.73	48,502	27,902,111
Jeral Agencies	FHLMC STEP CALL MTN	3134G6KV4	15,000,000	1.63	1.63	100.00	-	15,000,000
Jeral Agencies	FHLMC STEP CALL MTN	3134G6LN1	25,000,000	1.00	1.00	100.00	-	25,000,000
Jeral Agencies	FHLB CALL STEP	3130A4MX7	4,000,000	0.50	0.50	100.00	111	4,000,111
Commercial Paper	MUFG UNION BANK NA	62478YQX9	100,000,000	0.00	0.06	100.00	-	99,999,333
Money Market Funds	MS INSTL GOVT FUND	61747C707	250	0.04	0.04	100.00	-	250
Money Market Funds	FIDELITY INSTL GOVT PORT	316175108	43	0.01	0.01	100.00	-	43
State/Local Agencies	CALIFORNIA ST GO BD	13063BN73	21,000,000	1.05	0.40	100.54	36,750	21,150,150
Mortgageable CDs	BANK OF MONTREAL CHICAGO	06366CA32	50,000,000	0.44	0.44	100.00	-	50,000,000
Mortgageable CDs	BANK OF MONTREAL CHICAGO	06366CA32	25,000,000	0.44	0.44	100.00	-	25,000,000
Commercial Paper	MUFG UNION BANK NA	62478YR18	100,000,000	0.00	0.05	100.00	-	99,999,861
			<b>\$ 656,891,448</b>	<b>0.46</b>	<b>0.43</b>	<b>\$ 100.06</b>	<b>\$ 123,853</b>	<b>\$ 657,428,694</b>
Money Market Funds	MS INSTL GOVT FUND	61747C707	\$ 35,000,000	0.04	0.04	\$ 100.00	\$ -	\$ 35,000,000
Jeral Agencies	FARMER MAC FLT NT FF+26	31315PWJ4	50,000,000	0.37	0.37	100.03	19,250	50,031,750
			<b>\$ 85,000,000</b>	<b>0.23</b>	<b>0.23</b>	<b>\$ 100.01</b>	<b>\$ 19,250</b>	<b>\$ 85,031,750</b>
Jeral Agencies	FARMER MAC FLT CALL	31315P3W7	\$ 50,000,000	0.39	0.38	\$ 100.00	\$ -	\$ 50,000,000
Jeral Agencies	FARMER MAC FLT CALL	31315P4W6	25,000,000	0.37	0.37	100.00	-	25,000,000
Jeral Agencies	FNMA STEP NT	3136G0D81	100,000,000	0.72	0.72	100.00	-	100,000,000
			<b>\$ 175,000,000</b>	<b>0.41</b>	<b>0.41</b>	<b>\$ 100.00</b>	<b>\$ -</b>	<b>\$ 175,000,000</b>
State/Local Agencies	NEW YORK ST TAXABLE GO	649791JS0	\$ 4,620,000	0.39	0.40	\$ 100.00	\$ 9,009	\$ 4,629,009
Commercial Paper	BANK OF TOKYO-MITSUBISHI	06538CQ61	100,000,000	0.00	0.13	100.00	-	100,000,000
Municipal Term Notes	PFIZER MTN	717081DA8	3,000,000	5.35	0.44	100.00	80,250	3,080,250
Jeral Agencies	FNMA GLOBAL	3135G0HG1	9,399,000	0.38	0.20	100.00	17,623	9,416,623
U.S. Treasuries	US TSY NT	912828MW7	50,000,000	2.50	0.48	100.00	625,000	50,625,000
Commercial Paper	MUFG UNION BANK NA	62478YQX9	100,000,000	0.00	0.06	100.00	-	100,000,000
			<b>\$ 267,019,000</b>	<b>0.55</b>	<b>0.18</b>	<b>\$ 100.00</b>	<b>\$ 731,882</b>	<b>\$ 267,750,882</b>
Jeral Agencies	FAMCA FLT MTN 1ML+0	31315PTF6	\$ 50,000,000	0.17	0.17	\$ -	\$ -	\$ 6,646
Jeral Agencies	FAMCA NT	31315PQB8	7,000,000	1.50	0.70	-	-	52,500
Jeral Agencies	FARMER MAC FLT CALL 1ML+	31315PJ83	25,000,000	0.34	0.34	-	-	7,102
Jeral Agencies	FFCB FLT NT 1ML+3	3133EDB35	50,000,000	0.20	0.21	-	-	7,813
Jeral Agencies	FHLB FLT CALL NT 1ML+23	3130A35B6	50,000,000	0.40	0.40	-	-	16,708
Jeral Agencies	FHLB FLT CALL NT 1ML+40	3130A35A8	50,000,000	0.57	0.57	-	-	23,792
Jeral Agencies	FARMER MAC FLT CALL 3ML+	31315PJ26	50,000,000	0.35	0.35	-	-	44,200
Jeral Agencies	FFCB FLT NT 1ML+5	3133EEMH0	35,000,000	0.22	0.24	-	-	6,013
Jeral Agencies	FARMER MAC FLT CALL	31315P3W7	50,000,000	0.39	0.38	-	-	48,075
Jeral Agencies	FARMER MAC FLT CALL NT 1	31315PE47	25,000,000	0.48	0.48	-	-	10,026
Jeral Agencies	FFCB FLT NT 1ML+4	3133EEAN0	25,000,000	0.21	0.21	-	-	4,103
Jeral Agencies	FFCB FLT NT 1ML+4	3133EEAN0	25,000,000	0.21	0.22	-	-	4,103

City and County of San Francisco

# Investment Transactions

## Pooled Fund

Type of Investment	Issuer Name	CUSIP	Par Value	Coupon	YTM	Price	Interest	Transaction
General Agencies	FFCB FLT NT 1ML+4	3133EEAN0	50,000,000	0.21	0.22	-	-	8,206
General Agencies	FARMER MAC FLT CALL 1ML+	31315P4S5	50,000,000	0.33	0.33	-	-	13,792
General Agencies	FARMER MAC FLT CALL	31315P4W6	25,000,000	0.37	0.37	-	-	22,834
General Agencies	FHLB BD	313370TW8	25,000,000	2.00	1.39	-	-	250,000
Medium Term Notes	WESTPAC FLT MTN 1ML+25	9612E0DB0	50,000,000	0.42	0.42	-	-	16,372
General Agencies	FHLB	313370TW8	25,000,000	2.00	0.55	-	-	250,000
Medium Term Notes	TORONTO-DOMINION BANK 3M	89114QAL2	18,930,000	0.70	0.43	-	-	32,919
Medium Term Notes	TORONTO-DOMINION BANK 3M	89114QAL2	24,000,000	0.70	0.41	-	-	41,736
General Agencies	FHLMC BONDS	3137EACM9	50,000,000	1.75	2.17	-	-	437,500
Governmental CDs	ROYAL BANK OF CANADA NY	78009NSA5	25,000,000	0.34	0.34	-	-	6,543
General Agencies	FHLB	3133782N0	50,000,000	0.88	0.82	-	-	218,750
General Agencies	FHLB	313370JB5	75,000,000	1.75	2.31	-	-	656,250
General Agencies	FHLB NT	313375RN9	22,200,000	1.00	0.82	-	-	111,000
General Agencies	FHLB	3133XXP43	14,000,000	3.13	0.41	-	-	218,750
General Agencies	FFCB FLT NT 1ML+2	3133EDJA1	25,000,000	0.19	0.21	-	-	3,737
Governmental CDs	BANK OF MONTREAL CHICAGO	06366CWA2	25,000,000	0.41	0.41	-	-	8,005
General Agencies	FFCB FLT NT 1ML+3	3133EEBR0	25,000,000	0.20	0.22	-	-	3,922
General Agencies	FFCB FLT NT 1ML+1	3133EAQC5	50,000,000	0.18	0.30	-	-	7,078
General Agencies	FFCB FLT NT 1ML+2	3133EDH21	50,000,000	0.19	0.20	-	-	7,467
General Agencies	FARMER MAC	31315PGT0	45,000,000	2.13	2.17	-	-	478,125
Governmental CDs	ROYAL BANK OF CANADA YCD	78009NSX5	100,000,000	0.42	0.42	-	-	106,318
General Agencies	FFCB FLT NT QTR T-BILL+1	3133ECJB1	16,200,000	0.18	0.20	-	-	7,401
General Agencies	FFCB FLT NT FF+22	3133EAUW6	50,000,000	0.31	0.31	-	-	41,806
General Agencies	FFCB FLT NT MONTHLY 1ML+	3133ECLZ5	25,000,000	0.17	0.19	-	-	3,374
General Agencies	FFCB FLT	3133ED5A6	50,000,000	0.17	0.17	-	-	6,747
General Agencies	FNMA EX-CALL NT	31398A3T7	25,000,000	2.00	1.08	-	-	250,000
General Agencies	FFCB FLT NT 1ML+2.5	3133EAJF6	27,953,000	0.20	0.27	-	-	4,316
General Agencies	FFCB FLT NT 1ML+2	3133EAVE5	50,000,000	0.19	0.27	-	-	7,525
Medium Term Notes	TOYOTA MOTOR CREDIT CORP	89236TBU8	50,000,000	0.35	0.35	-	-	44,013
Governmental CDs	BANK OF NOVA SCOTIA FLT	06417HUW4	50,000,000	0.45	0.45	-	-	56,513
Medium Term Notes	TOYOTA MOTOR CREDIT CORP	89236TBV6	47,500,000	0.36	0.36	-	-	43,357
Medium Term Notes	TOYOTA MOTOR CREDIT CORP	89236TBU8	14,150,000	0.35	0.37	-	-	12,456
General Agencies	FFCB FLT 1ML+5	3133EEFX3	50,000,000	0.22	0.22	-	-	8,692
Medium Term Notes	TOYOTA MOTOR CREDIT CORP	89236TBU8	28,150,000	0.35	0.37	-	-	24,779
General Agencies	FFCB FLT NT 1ML+4	3133ECV92	50,000,000	0.21	0.21	-	-	8,225
General Agencies	FHLB EX-CALL NT	3130A1BK3	25,000,000	0.50	0.50	-	-	62,500
Governmental CDs	WESTPAC FLT YCD 1ML+22	96121TWK0	50,000,000	0.39	0.39	-	-	15,225
General Agencies	FARMER MAC FLT NT 1ML+4	3133EDP30	26,000,000	0.21	0.19	-	-	4,277
Medium Term Notes	MICROSOFT MTN	594918AG9	3,186,000	1.63	0.39	-	-	25,886
Governmental CDs	ROYAL BANK OF CANADA NY	78009NGU4	5,500,000	0.36	0.45	-	-	4,876
General Agencies	FHLMC CALL MTN	3134G5HS7	20,100,000	1.13	1.16	-	-	113,063
Medium Term Notes	WESTPAC NT	961214BW2	10,152,000	1.13	0.35	-	-	57,105
Governmental CDs	BANK OF NOVA SCOTIA YCD	06417HUR5	50,000,000	0.53	0.52	-	-	62,661
General Agencies	FHLMC EX-CALL MTN	3134G4XW3	25,000,000	0.60	0.60	-	-	75,000
General Agencies	FNMA STEP NT	3136G0D81	100,000,000	0.72	0.72	-	-	360,000
General Agencies	FFCB FLT NT 1ML+5.5	3133EDFW7	50,000,000	0.23	0.23	-	-	8,828
General Agencies	FFCB NT	3133EAJU3	25,000,000	1.05	0.82	-	-	131,250
General Agencies	FHLMC CALL MTN	3134G4XM5	25,000,000	0.78	0.78	-	-	97,500
General Agencies	FNMA CALL NT	3136G1ZB8	25,000,000	0.88	0.88	-	-	109,375
General Agencies	FHLB NT CALL	3130A1CD8	25,000,000	1.13	0.80	-	-	140,625
General Agencies	FHLMC GLOBAL NT	3137EADL0	25,000,000	1.00	1.22	-	-	125,000
General Agencies	FFCB FLT NT 1ML+2	3133EDZW5	25,000,000	0.19	0.19	-	-	3,865
General Agencies	FNMA GLOBAL NT	3135G0VA8	25,000,000	0.50	0.46	-	-	62,500

# Investment Transactions

## Pooled Fund

Type of Investment	Issuer Name	CUSIP	Par Value	Coupon	YTM	Price	Interest	Transaction
U.S. Treasuries	US TSY NT	912828RJ1	75,000,000	1.00	1.05	-	-	375,000
U.S. Treasuries	US TSY NT	912828SM3	50,000,000	1.00	1.07	-	-	250,000
Money Market Funds	MS INSTL GOVT FUND	61747C707	5,090,186	0.04	0.04	-	-	250
Money Market Funds	FIDELITY INSTL GOVT PORT	316175108	5,003,920	0.01	0.01	-	-	43
			<b>\$ 2,475,115,106</b>	<b>0.61</b>	<b>0.58</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 5,734,413</b>

Purchases								
Sales								
Maturities / Calls								
Change in number of positions								

# Non-Pooled Investments

Security Name	Settle	Maturity	Duration	Coupon	Par Value	Book Value	Amortized	
	Date	Date					Book Value	Market Value
SFRDA SOUTH BEACH HARBOR	1/20/12	12/1/16	1.62	3.50	\$ 2,640,000	\$ 2,640,000	\$ 2,640,000	\$ 2,640,000
			<b>1.62</b>	<b>3.50</b>	<b>\$ 2,640,000</b>	<b>\$ 2,640,000</b>	<b>\$ 2,640,000</b>	<b>\$ 2,640,000</b>
			1.62	3.50	\$ 2,640,000	\$ 2,640,000	\$ 2,640,000	\$ 2,640,000

## NON-POOLED FUNDS PORTFOLIO STATISTICS

	Current Month		Prior Month	
	Fiscal YTD	March 2015	Fiscal YTD	February 2015
Average Daily Balance	\$ 2,991,788	\$ 2,640,000	\$ 3,036,667	\$ 2,640,000
Net Earnings	\$ 78,488	\$ 7,700	\$ 70,788	\$ 7,700
Earned Income Yield	3.50%	3.43%	3.50%	3.80%

Securities were inherited by the City and County of San Francisco as successor agency to the San Francisco Redevelopment Agency and amortized book value are derived from limited information received from the SFRDA and are subject to verification.



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**From:** Board of Supervisors, (BOS)  
**To:** BOS-Supervisors  
**Subject:** FW: Home sharing's economic impact in SF  
**Attachments:** SF Economic Impact Update.pdf

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**From:** David Noyola [<mailto:dgn@platinumadvisors.com>]  
**Sent:** Monday, April 20, 2015 10:55 AM  
**To:** Breed, London (BOS)  
**Cc:** Johnston, Conor (BOS); Board of Supervisors, (BOS)  
**Subject:** Home sharing's economic impact in SF

Madam President,

Please find attached a recently released study highlighting the positive economic impacts of home sharing to San Francisco neighborhood businesses. Please don't hesitate to contact us with any questions on this research.

I've also cc'd the Board of Supervisors general email address in hopes the Clerk can help distribute this document to all members' offices.

Best,

David Noyola  
Platinum Advisors  
560 Mission Street, Suite 2800  
San Francisco, CA 94105  
O (415) 955-1100 x4013 | C (415) 812-6479  
[dgn@platinumadvisors.com](mailto:dgn@platinumadvisors.com)

## FINAL SF ECONOMIC IMPACT EMAIL

TO: San Francisco small business owners  
FROM: David Owen  
RE: Airbnb: Making San Francisco More Affordable, Supporting Small Businesses  
DATE: April 19, 2015

You're one of the hundreds of small business owners who support Airbnb in San Francisco, so we wanted you to be the first to know about new research that shows how home sharing supports businesses like yours and makes San Francisco more affordable for more families.

Airbnb got started in 2008 when our co-founders struggled to make their rent. Since then, we've heard from families across the city who use Airbnb to help pay the bills. For many people, sharing their home on Airbnb is the only way they can afford to stay in the city they love.

We've also heard from you about how Airbnb guests visit small businesses in neighborhoods from the Outer Sunset to the OMI and the Bayview - neighborhoods that haven't traditionally benefited from tourism in the past. These anecdotes confirm what we've always known: that the majority (72%, in fact) of Airbnb guests are staying outside of traditional hotel districts and in the neighborhoods where so many of you own small businesses.

We wanted to know more about how our hosts and guests are making our economy stronger, so we asked the Land Econ Group to study Airbnb's economic impact throughout San Francisco. Here's what they found:

- The Airbnb community contributed nearly **\$469 million to the San Francisco economy last year.**
- The average Airbnb host **earns \$13,000 per year** hosting - money they use to pay the bills and stay in San Francisco, and shop at businesses like yours.
- The Airbnb community supports **3,600 jobs at the local neighborhood businesses they patronize.**
- **72%** of Airbnb properties are outside of traditional hotel districts, in neighborhoods that haven't benefitted from tourism in the past.
- The typical Airbnb property is **booked about 6.5 nights per month**, underscoring the point that these are people who are simply sharing space in the home in which they live.

Over the last three years alone, Airbnb's economic impact in San Francisco has grown from \$56 million to \$469 million annually, a more than eight-fold increase.

Our study also found that Airbnb guests spend more time and money in the city than the typical hotel guests. Check out this chart:

<b>Spending Per Trip</b>	<b>Airbnb Guests</b>	<b>Hotel Guests<sup>1</sup></b>
Total	\$1,223	\$931
Avg. Length of Stay	5.0 nights	3.5 nights

Each year, hundreds of thousands of people stay in Airbnb properties across the city. For these guests, San Francisco becomes a special place for two reasons: the warm hospitality they find in their San Franciscan hosts and the delicious meals, unique experiences, and vital services they discover at your businesses. San Francisco's small businesses are the backbone of this community. We're proud Airbnb's community is helping businesses like yours and making this city a little more affordable for thousands of residents, and countless more visitors - many of whom would not have come without an affordable, local travel option.

Thank you again for your partnership. As we update and add to this data in the future, we will make sure you're the first to know. If you have additional questions, or thoughts about strengthening our partnership, please don't hesitate to reach out to my colleague Mason Smith ([mason.smith@airbnb.com](mailto:mason.smith@airbnb.com)).

Sincerely,

David Owen

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<sup>1</sup> Airbnb guest spending data based on 2012 survey of Airbnb guests in San Francisco and Airbnb accommodation costs from previous year in San Francisco. Average Airbnb length of stay based on Airbnb bookings data. Hotel guest data based on most recently available data from SF Travel (<http://www.sanfrancisco.travel/san-francisco-visitor-industry-statistics>). Guest Spending inflated to 2015 \$ by Land Econ Group.

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**To:** BOS-Supervisors  
**Subject:** FW: Airbnb letter re: Short Term Rental regulations  
**Attachments:** Airbnb letter re STR regulation - 4-15-2015.pdf

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**From:** David Noyola [<mailto:dgn@platinumadvisors.com>]  
**Sent:** Wednesday, April 15, 2015 12:31 PM  
**To:** Calvillo, Angela (BOS)  
**Cc:** Gosiengfiao, Rachel (BOS)  
**Subject:** Airbnb letter re: Short Term Rental regulations

Madam Clerk,

Attached is a letter to the full Board of Supervisors regarding Short Term Rental regulations that I am hoping your office can help distribute to individual members of the Board.

Thank you for your help, please let me know if you have any questions.

All the best,

David Noyola  
Platinum Advisors  
560 Mission Street, Suite 2800  
San Francisco, CA 94105  
O (415) 955-1100 x4013 | C (415) 812-6479  
[dgn@platinumadvisors.com](mailto:dgn@platinumadvisors.com)



President London Breed  
San Francisco City Hall  
1 Dr. Carlton B. Goodlett Place, Room 244  
San Francisco, CA 94102-4689

April 14, 2015

Dear President Breed,

Last October, San Francisco approved progressive home sharing legislation, marking an important step forward for the peer to peer economy. While the legislation was not perfect, it was welcomed by countless San Francisco families. Home sharing gives travelers the chance to see San Francisco's diverse neighborhoods and is an economic lifeline for San Franciscans, many of whom would be forced to leave the City they love if they couldn't share their space.

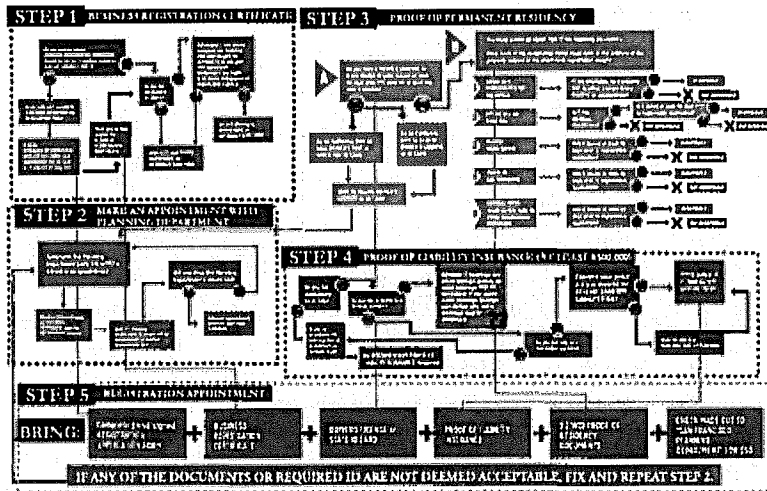
Today, home sharing and Airbnb are also helping to fight economic inequality by giving every resident the opportunity to turn their home into an economic asset. According to our surveys, 71 percent of hosts use the income they earn to help pay the bills. Later this week, we will be releasing new information showing how home sharing helps middle class San Franciscans make ends meet.

In October, Airbnb also began collecting and remitting the same taxes as hotels on behalf of our hosts and guests in San Francisco. We were under no obligation to take this action and the overwhelming majority of other short term rental platforms still refuse to follow our lead. We are proud that our community has already contributed millions of dollars to the City's General Fund through this initiative.

Unfortunately, after the law was approved, the Planning Department created a system that was designed to fail by implementing restrictions and requirements -- many of which had no basis in the law -- that have made it difficult or impossible for San Franciscans to follow the new rules. One Airbnb host documented the complexity of the current process:



### SHORT-TERM RENTAL REGISTRATION PROCESS



Hosts who have successfully completed this process have received threatening letters from the City Treasurer demanding they collect hotel taxes - even though Airbnb is already doing so on their behalf. To be clear, Airbnb has been remitting these taxes to the City since October 1, 2014 and has paid a back tax assessment issued by the City Treasurer in full. Today, the City Treasurer is accepting nearly \$1 million every month from the Airbnb community, while demanding our hosts also remit the exact same tax -- double taxing on the same activity solely because they have not received personal, private, confidential information about regular people who share their home.

Given these challenges, it is no surprise that many critics of the new law have stepped forward. Supervisor Campos has introduced a Trojan Horse proposal that effectively bans home sharing by demanding the government receive sensitive personal data about thousands of City residents, and would pit neighbor against neighbor in frivolous litigation. Some in the City are also considering placing similar legislation on the ballot this November.

Supervisor Farrell has offered an alternative proposal. While this legislation is certainly an improvement upon Supervisor Campos'



attempt to ban home sharing, it also raises significant concerns. Most notably, this proposal imposes an arbitrary 120-day cap on families' ability to share the home in which they live, even when they are present. This kind of proposal would adversely impact San Franciscans like Kevin and Esther who share their guest room and use the money they earn to pay medical bills associated with Kevin's Parkinson's disease.

We know these issues are not easy and we appreciate the challenge in ensuring that home sharing remains legal and transparent while also preventing abuses. After over two years spent crafting legislation on this topic, the City should work quickly and give the new rules time to work. San Franciscans do not want us to continually re-fight old battles - revisiting this matter every few months will not move us forward. Instead, we should spend 2015 ensuring new rules are implemented quickly, fairly and in a way that supports families who depend on home sharing to make ends meet.

We are optimistic that we can achieve these goals and we appreciate the opportunity to participate in this conversation. The thousands of Airbnb hosts and guests who love this city look forward to continuing to work with you to make San Francisco an even better place to live and visit.

Sincerely,

A handwritten signature in black ink, appearing to read 'D. Owen', with a large, stylized flourish at the end.

David Owen



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**From:** Reports, Controller (CON)  
**Sent:** Wednesday, April 15, 2015 1:53 PM  
**To:** Calvillo, Angela (BOS); Gosiengfiao, Rachel (BOS); BOS-Supervisors; BOS-Legislative Aides; Kawa, Steve (MYR); Howard, Kate (MYR); Falvey, Christine (MYR); Tsang, Francis; Elliott, Jason (MYR); Steeves, Asja (CON); Campbell, Severin (BUD); Newman, Debra (BUD); Rose, Harvey (BUD); 'CON-EVERYONE'; 'CON-CCSF Dept Heads'; 'CON-Finance Officers'; Guma, Amanda (BUD); Podolin, Matthew (ADM)  
**Subject:** Issued: Controller's Office City Services Report: How Long Does It Take to Hire in CCSF the City and County of San Francisco?

The City and County of San Francisco (City) Charter requires that the Office of the Controller conduct and publish a periodic review of management and employment practices that either promote or impede the effective and efficient operation of city government. In one of several efforts to fulfill this mandate, the Controller's Office City Performance Unit has issued *How Long Does It Take to Hire in the City and County of San Francisco? Analysis and Recommendations*. This report provides estimates of current times to hire across multiple departments and classification series, as well as an assessment of available data and systems to track the City's hiring processes. Our work in this area reveals that the City is making significant improvements in its hiring processes; however, continued efforts are needed to ensure that the City's hiring processes are as efficient and effective as possible, while maintaining our commitment to and compliance with the rules and principles of the merit system.

A PDF version of the report can be accessed at <http://openbook.sfgov.org/webreports/details3.aspx?id=1907>, or on the Controller's website (<http://www.sfcontroller.org/>) under the News & Events section.

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**CITY & COUNTY OF SAN FRANCISCO**

**Office of the Controller**

City Services Auditor

# **How Long Does it Take to Hire in the City and County of San Francisco?**

**Analysis and Recommendations**

**April 15, 2015**



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## 1.0 Executive Summary

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The City and County of San Francisco (City) Charter requires that the City Services Auditor (CSA) in the Office of the Controller conduct and publish a periodic review of management and employment practices that either promote or impede the effective and efficient operation of city government. CSA is fulfilling this mandate through a recently launched management and employment practices program. Among other work, the program is currently assisting the Department of Human Resources (DHR) in evaluating and improving upon the City's hiring practices. As San Francisco's largest employer with nearly 28,000 employees, the City's ability to attract and hire qualified people has implications not only for the organization itself, but also for the public services that it provides. The recruitment of new employees and advancement of existing talent is critical to maintain a high-quality, 21<sup>st</sup> century workforce capable of meeting the diverse needs of San Francisco residents. With a historically low unemployment rate of 3.8% (California Employment Development Department, 2015), the need to understand and continue to improve the City's hiring practices is as pressing as ever.

Similar to other municipalities, the City's hiring is governed by a complicated maze of regulations, laws, ordinances, policies, and negotiated labor agreements with many employee organizations. The California Public Employment Relations Board administers state laws regarding collective bargaining for all employees of local public agencies in California. The San Francisco City Charter mandates the Annual Appropriation Ordinance and the Annual Salary Ordinance, which authorize budgets and salaries. The City Charter also establishes the authority of the Civil Service Commission and the Department of Human Resources (DHR). The Civil Service Commission governs the Merit System, which provides rules on examinations, appointments, separation procedures, and other elements of employment to help ensure fair, competitive, and transparent processes. At the same time, the City is also subject to state oversight to ensure compliance with the merit system. Finally, the Department of Human Resources issues policies and procedures that interpret and implement Civil Service Rules, and guide hiring practices.

Within this context, this report surveys the current hiring landscape by reviewing the City's hiring procedures, assessing the systems it uses to track the process, and analyzing available data regarding the amount of time it takes to fill open positions. In analyzing the data, we measured hiring times across multiple dimensions, including classification series, city departments, and appointment types. To inform our interpretation of the data and understanding of hiring processes, we additionally conducted stakeholder interviews with human resources staff at DHR and multiple city departments. Based on this collective body of work, we offer recommendations for potential process and system improvements. Our work reveals that the City is making strides to improve its hiring processes, but continued efforts are needed to ensure that the City's hiring processes are as efficient and effective as possible, while maintaining our commitment to and compliance with the rules and principles of the merit system.

## 1.1 Time to Hire

Throughout this report, the terms “hire time” or “time to hire” represent the period of time beginning when a department formally initiates the hiring process by submitting a Request To Fill (RTF) form and ending when the employee starts work in his or her new position. The time to hire analysis presented here reflects a one-year snapshot in time: positions for which the RTF submission to start date occurred in its entirety between August 13, 2013 and August 27, 2014. While our analysis focuses on permanent civil service (PCS) positions, which comprise the largest share of all types of city positions, we have included hire times for permanent exempt (PEX) and temporary exempt (TEX) appointments to provide a comparison by appointment type.

Throughout the report we also frequently refer to “job classes” and “classification series.” Job classes are individual positions such as 2320-Registered Nurse. Several related job classes comprise a classification series. For example, the nursing classification series includes several job classes, such as Registered Nurse, Licensed Vocational Nurse, Nursing Assistant and Patient Care Assistant.

Overall, the data show that the length of time to hire varies significantly by appointment type, position, and department:

- A. Across all appointment types, the citywide median hire time was 118 calendar days.**  
Excluding public safety job classification series, which have unique hiring processes, the citywide median hire time for PCS positions during the sampled time period was 137 calendar days, or 4.6 months. The median hire times for PEX and TEX positions – appointment types that were specifically designed to move through the hiring process more quickly and are exempt from the merit system – were 74 days and 84 days, respectively. The differences between PCS and exempt hiring timelines are not surprising, given the requirements for merit-based hiring that apply to PCS hires.
  
- B. Five classification series with 20 or more PCS hires had median hire times over 150 days.**  
The nursing, management, airport operation, information systems (IS), and community development classification series each had at least 20 PCS hires and the longest median hire times – over 150 days. The nursing classification series had the longest median time to hire (200 days) and the second largest number of PCS hires (91) in the dataset. The Human Services series had the most PCS hires (97), but at 112 days those hires took much less time than the nursing series (Table 1). The difference may be due to the rapid batched hiring of many Human Services Agency (HSA) Eligibility Workers, in which large numbers of candidates take frequently offered examinations and reachable candidates are hired in large groups at one time.

**Table 1 – Median Hire Times for All Classification Series with 20 or more PCS Hires**

<b>Classification Series</b>	<b>Median Days to Hire</b>	<b>Number of PCS Hires</b>
Nursing	200	91
Management	189	31
Airport Operation	179	20
Information Systems	179	28
Community Development	163	22
Journey-Level Trades	143	79
Library	141	50
Professional Engineering	133	77
Budget, Administrative & Statistical Analysts	119	80
Human Services	112	97
Clerical, Secretarial & Stenography	101	35
Personnel	100	41
Payroll, Billing & Accounting	85	66

Within these classification series, there was significant variance in hire times among individual job classes. For example, among the ten job classes that were hired within the IS series during the time period sampled, median hire times ranged from 144 days for the 1023-IS Administrator 3 position to 271 days for the 1053-IS Business Analyst-Senior position.

- C. **There was significant variance in median hire times among individual PCS job classes.** Of all the job classes sampled, only three had median times of less than 90 days: Eligibility Worker (56 days); Accountant III (58 days); and Senior Personnel Analyst (78 days). At the other end of the spectrum, Patient Care Assistant, Manager II, Electronic Maintenance Technician, and Registered Nurse were among those that took the longest to fill.

**Table 2 – Job Classes with 10 or more PCS Hires and Hire Times Above the Citywide PCS Median**

<b>Job Classification</b>	<b>Median Days to Hire</b>	<b>Number of PCS Hires</b>
Patient Care Assistant	285	39
Manager II	185	12
Electronic Maintenance Technician	173	18
Registered Nurse	159	44
Employment and Training Specialist 3	150	11
Protective Services Worker	145	10
Senior Administrative Analyst	140	23

- D. The Department of Public Health (DPH) and the Recreation and Parks Department (REC) had the longest median hire times for PCS positions.** Of 12 City departments that filled at least 20 PCS positions during the time period sampled, DPH and REC had the longest median times at 193 and 169 days, respectively.

**Table 3 – Median Hire Times for Departments with at least 20 PCS Hires**

<b>Department</b>	<b>Median Days to Hire</b>	<b>Number of PCS Hires</b>
Public Health	193	158
Recreation and Parks	169	28
Library	141	55
Public Utilities Commission	140	70
Municipal Transportation Agency	139	83
Airport	135	50
Police	134	28
Public Works	134	52
Human Services	124	166
Human Resources	107	24
City Administrator	104	33
Controller	81	42

## **1.2 Data Systems and Tracking**

The City manages its hiring process using two primary systems – eMerge PeopleSoft and JobAps. We found several challenges with respect to these systems:

- A. The City does not have the ability to track individual recruitment efforts through the entire hiring process in an automated manner.** There is no unique identifier for each recruitment effort to which all hiring data can be tied. The lack of such an identifier makes it impractical to track recruitment efforts throughout the entire process and across data systems. For example, out of 15 major steps in the hiring process that we identified as the most important to track (see Table 4, pg. 11), the City can easily report position-level data for only three. The inability to tie data across different systems or the absence of an integrated system that allows for tracking data at the individual position level makes it difficult to analyze why some positions take longer to fill than others and, importantly, which parts of the hiring process are most in need of improvement.
- B. JobAps data tracking and reporting limitations inhibit analysis.** Notwithstanding the current inability to follow position-level data across the two systems, JobAps itself is unable to provide information in large datasets, which also inhibits analysis. For example, when DHR staff attempts to run a report for a single large department for one year, the report fails.



- C. **The City is pursuing numerous, potentially impactful improvements to its processes and systems that require robust change management practices.** In an effort to decrease hire times, the City is initiating a variety of innovative pilots and reforms discussed throughout this report; however our interviews with departmental HR staff suggest that HR staff and hiring managers are not always aware of recent policy or process changes. While DHR has developed important mechanisms for communicating with departmental staff such as its monthly HR professionals meetings, departments would likely benefit from a more robust change management process that includes training and support for front-line HR staff and hiring managers who are responsible for, or impacted by, process changes.

### **1.3 Recommendations**

Our analysis points to several opportunities to improve the City's hiring processes and systems:

#### **Time to Hire**

- 1. Focus hiring process improvements and streamlining efforts on the five classification series with the most number of PCS positions and the longest hire times.** Among DHR's innovative reform efforts are a pilot project that provides on-demand civil service examinations for IS positions, as well as a series of process reforms to reduce the hiring time for Registered Nurses. We recommend that DHR additionally focus process improvements on other high impact classification series that have a large number of PCS hires and the slowest hire times such as: management, airport operations, and community development. Further, DHR should develop a set of standard metrics to consistently evaluate the impact of its current and future process and systems improvements.
- 2. Implement continuous, un-proctored civil service examinations on a broader scale for classes with a large number of vacancies or hard to fill classes.** The City's overall demand for a large number of RNs, coupled with a competitive labor market, presents numerous hiring challenges. The City currently employs over 1,200 PCS nurses across the City. Similarly, although the City does not routinely fill a large volume of IS positions, it faces significant competition for IS talent. While DHR is currently piloting process improvements that will address many of the challenges for IS positions within two city departments, the implementation of continuous, unproctored civil service examinations on a broader scale could yield benefits for other classes with a large number of vacancies, or those that are hard to fill.
- 3. When implementing future system changes, replace manual "pull-based" workflow systems with automated "push-based" systems.** In "push-based" workflow systems, the system identifies the appropriate resources to which an outstanding work item should be routed and automatically notifies those individuals that tasks require action to move forward. In contrast, "pull-based" systems require staff to initiate outstanding work items

(Russell, ter Hofstede, Edmond & van der Aalst, n.d.). When making future systems improvements, the City should try to employ push-based work allocation strategies so that recruitment efforts move steadily through the process with as few back-logs as possible.

4. **Identify steps in the hiring process that can occur simultaneously, rather than sequentially.** Administering hiring process steps simultaneously and/or moving certain steps of the hiring process to an earlier point in the process could save significant time.
5. **Develop department-level annual hiring staffing plans, with specific start date targets for each quarter and associated workflow processes necessary to meet those targets.** For example, DPH and DHR have established a hiring plan with interim steps, a process workflow, and target dates in anticipation of the opening of San Francisco General Hospital. The Municipal Transit Agency (MTA) has a similar strategy. Creating staffing and hiring plans helps keep all of the relevant stakeholders informed and enables staff to identify when and where requisitions get “stuck” in the process.

## **Data Systems and Tracking**

Without citywide data that provide adequate insight into hiring for each step of the process, it is difficult to either identify the parts of the hiring process that are most in need of improvement or make suggestions for specific improvements. Accordingly, we recommend the following changes to the City’s systems and processes, which will enhance our ability to further analyze the challenges and identify possible solutions around hiring.

1. **Consider developing a single integrated hiring data management and workflow system.** Perhaps the greatest challenge with respect to analyzing the time it takes the City to fill vacant positions is the inability to track individual recruitment efforts through each stage of the hiring process in an automated fashion. To that end, we recommend developing a single integrated system that will provide greater visibility into the complete hiring process.
2. **In the absence of a single hiring data management system, create an interim solution to link eMerge PeopleSoft and JobAps data so the City has a clearer and more comprehensive view of each step of the hiring process.** A potential strategy for better systems integration would be to create a unique recruitment identifier that links position-level data across the two systems. While doing so, the City should also determine whether additional changes to JobAps are needed (or are possible), so that it is capable of reporting the volume of data that is routinely generated and needed for more in-depth citywide analysis.
3. **Following system improvements that allow for more comprehensive reporting, develop web-based human resource dashboards that provide HR staff and hiring managers with greater visibility into the hiring process.** Such dashboards could not only provide

information on time to hire and the interim steps involved, but they could also improve communications and transparency; ease monitoring of the hiring process for individual recruitment efforts; and enable managers to hold process owners accountable for their specific tasks.

- 4. Develop and implement a change management program to support current and planned changes to hiring processes and systems across and within departments.** With so many improvements to hiring processes and systems planned or already underway, the City would benefit from the development and implementation of consistent and on-going change management practices.

To address these and other challenges, DHR launched a comprehensive project in 2015 called Project HIR<sup>2</sup>E (Hiring Innovation through Redesign and Resource Efficiencies). Project HIR<sup>2</sup>E seeks to identify, update, and implement a full range of innovative human resources processes to ensure effective and efficient hiring of City employees, the City's most valued asset. A description of Project HIR<sup>2</sup>E is provided in Appendix A.

## **2.0 Introduction**

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Appendix F, Section 103 of the City Charter requires that the CSA in the Office of the Controller conduct and publish a periodic review of management and employment practices that either promote or impede the effective and efficient operation of city government. The Charter further requires that CSA provide analytical and technical support to assist departments in implementing its findings. To address this mandate, in Fiscal Year 2015, CSA launched an ongoing program, which is currently focused on improving City hiring practices among other issues.

With a workforce of nearly 28,000 employees, the City is San Francisco's largest employer (San Francisco Center for Economic Development, 2013). In Fiscal Year 2013-2014, personnel accounted for 46 percent of the City's general fund budget; and in that same year, 1,563 employees left City employment, and 1,114 new employees were hired (City and County of San Francisco, 2014). Effective and efficient hiring practices are critical to delivering timely public services and attracting high quality talent. The recruitment of new employees and advancement of existing talent is critical to maintain a 21<sup>st</sup> century workforce capable of meeting the diverse needs of San Francisco residents. Among other ramifications, lengthy hiring processes may discourage highly qualified applicants from applying for City jobs and if they do apply, they may accept other offers while waiting to hear from the City. During a time of economic growth and a tight labor supply, it is especially important to understand and address the challenges around our hiring practices. To that end, this report provides estimates of current times to hire across multiple departments and classification series, as well as an assessment of available data and systems to track the City's hiring processes. Our work in this area so far reveals that the City is making strides to improve its hiring processes but continued efforts are needed to ensure that the City's hiring processes are as efficient and effective as possible, while maintaining our commitment to fairness, competitiveness, and transparency.

### **2.1 Overview of the City's Hiring Process**

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#### **The Civil Service Framework**

Recruitment and hiring at the City and County of San Francisco is governed by a variety of state and federal laws, provisions in the City Charter, and rules set forth by the Civil Service Commission. These requirements are implemented through policies and procedures established by both the Civil Service Commission and DHR. Among other things, these policies and procedures pertain to the way that positions with the City are classified, the manner in which people are appointed to those positions, and the procedures used to evaluate candidates.

Position classification is the process of assigning the duties and responsibilities of a particular job to a defined job classification (or job class). This process occurs when a position is newly created or when there are significant changes to the duties of an existing job. Positions in the same class generally perform work of a similar nature and the employees in those positions are similarly

recruited, examined, and compensated. Each job classification established by DHR is given an identifier (usually four digits) and a title. Individual job classes are further grouped into job classification series, again based on similarities in the nature of the positions. For example, the nursing classification series consists of four job classes: 2302-Nursing Assistant, 2303-Patient Care Assistant, 2312-Licensed Vocational Nurse, and 2320-Registered Nurse.

With regard to the manner in which people are appointed to their positions, there are two main appointment types: PCS and exempt.

- **Permanent Civil Service** appointments are made through an open and competitive examination and selection process. Individuals appointed to a PCS position receive civil service job protections and benefits. PCS employees are appointed to their positions by an appointing officer, typically a department head. Most city employees are PCS employees.
- **Permanent Exempt and Temporary Exempt (PEX and TEX)** appointments do not require the same open and competitive examination and selection process as PCS positions but they also do not carry the same benefits as PCS positions. For example, employees in exempt positions typically are appointed by department heads, commissions, or the mayor, and they serve at the will of the appointing official. Exempt appointments are governed by the San Francisco Charter and are reviewed and approved by DHR. The Charter allows for 19 different categories of exemptions, ranging from department heads to temporary and seasonal employees. Since PEX and TEX appointments (purposefully) do not follow the same examination process as PCS positions, they generally take less time to fill.

With respect to civil service testing, positions are further divided by the type of recruitment examination that is used to identify eligible candidates:

- **Class Based Testing (CBT)** is routinely conducted for job classes that are utilized citywide. The exam process results in the creation of a list of eligible candidates from which any City department may hire.
- **Position Based Testing (PBT)** is conducted for specific positions. In these cases, the hiring department is responsible for conducting the examination and creating the eligible list.
- **Continuous Class Based Testing (CCT)** is conducted for job classes for which there is a continuous need of candidates. In these cases, recruitment announcements do not specify closing dates and candidates may apply at any time. Each time an exam for a class is given, the names of successful candidates are added to an existing list with an eligibility period. Names are removed from a continuous list at the end of the eligibility period. Examples of classes for which CCT is utilized include entry-level police officers, firefighters, and nurses.

## Key Procedural Steps

The City's hiring process is partially decentralized, with most responsibilities split among DHR, human resources staff in individual departments, and hiring managers. Differences in responsibilities typically depend on the examination process used. In a CBT process, DHR often holds more responsibilities while the hiring department holds more responsibilities in the PBT process. Regardless of the appointment type or examination process used, all hiring is managed in two citywide data systems – eMerge PeopleSoft and JobAps.<sup>1</sup> eMerge PeopleSoft, an Oracle-developed system, serves as the City's unified human resources, payroll, and benefits administration system. JobAps is used by DHR and departmental HR staff to publicly post job announcements, intake and manage applications for employment, maintain examination scores, create eligible lists, issue referrals from eligible lists to hiring departments, and communicate with applicants.

Below is a simplified description of the key steps involved in filling a typical PCS position assuming there are no protests or other events that could alter the basic process.<sup>2</sup> The table notes the data systems used and their ability to report the date that each step is completed for an individual position in an automated manner.

**Table 4 – Key Steps in the Hiring Process and Current Reporting Capability**

Step	Data System	Position-level Reporting
1. <b>Departmental Budget Confirmation:</b> The hiring department reviews its budget and position authority in the Annual Salary Ordinance, and determines that it has the sufficient budget and authority to hire.	No Citywide system	NO
2. <b>Request to Fill (RTF) Submission:</b> The hiring department initiates the hiring process by submitting an electronic RTF form. The RTF includes key information about the position including: the requested appointment type, job class, recruitment type, and position-specific attributes. If a list of qualified and eligible candidates already exists, the department may also identify it at this point.	eMerge PeopleSoft	YES
3. <b>Approvals:</b> The RTF is reviewed and approved by DHR, the Controller's Office (CON), and the Mayor's Budget Office (MYR).	eMerge PeopleSoft	YES
4. <b>Job Analysis:</b> DHR and a group of subject matter experts identify the tasks performed on a job and the knowledge, skills, and abilities needed to perform that job. The results of the job analysis form the basis of the job description and examination plan.	No Citywide system	NO
5. <b>Exam Development:</b> With assistance from subject matter experts, DHR uses the job-related knowledge, skills, and abilities contained in the examination plan to develop and validate the content of the examination.	No Citywide system	NO
6. <b>Job Posting:</b> To solicit applications and (if necessary) create a new eligible list, the position announcement is posted on the City's jobs website.	JobAps	NO

<sup>1</sup> In addition to these citywide systems, departments may also use their own internal systems throughout the process.

<sup>2</sup> For more information regarding the City's hiring process see DHR's website at <http://www.sfdhr.org/index.aspx?page=5> and <http://www.sfdhr.org/index.aspx?page=20>.

7. <b>Minimum Qualifications Check:</b> After the job announcement closes, each applicant is evaluated to determine if he or she meets the minimum qualifications listed in the job announcement.	No Citywide System	NO
8. <b>Qualified Candidates Take Examination:</b> Applicants who meet the minimum qualifications continue to the civil service exam. The exams must be based on a job analysis that defines the knowledge, skills, and abilities required to perform the functions.	JobAps	NO
9. <b>Eligible List Adoption:</b> Exams are scored and a ranked list of applicants is created, verified by DHR, posted for public review, and then adopted.	JobAps	NO
10. <b>Referral:</b> Individuals from the eligible list are “referred” to the hiring department by DHR for further consideration. The number of individuals referred is determined by the “certification rule” governed by the Civil Service Commission. Typically, individuals in the top three ranks are referred. <sup>3</sup>	JobAps	NO
11. <b>Departmental Selection:</b> The hiring department conducts its selection process to identify the finalist(s) from the eligible list.	No Citywide system	NO
12. <b>Pre-Employment Vetting:</b> It is mandatory for new civil service appointees to be fingerprinted. The fingerprints are used to obtain conviction records from the California Department of Justice and the Federal Bureau of Investigation in order to verify conviction information provided by candidates. When candidates have a conviction history, DHR conducts a position nexus review to determine suitability for employment. Finalists for certain positions may also be required at this stage to pass medical or physical exams and obtain security clearance. The finalists’ minimum qualifications are also verified in greater detail.	No Citywide system <sup>4</sup>	NO
13. <b>Job Offer and Acceptance:</b> Once a finalist clears the pre-employment vetting process, the hiring department extends an offer of employment.	No Citywide system	NO
14. <b>Resolving and Returning the Referral:</b> Once the hiring department makes its hiring decision, the referral must be completed, or “resolved,” to identify the person(s) selected for appointment. Once the selection is made, the referral documents are then returned electronically to DHR. Civil Service Rules require that the referral be returned within 60 calendar days of when the initial referral was made.	JobAps	NO
15. <b>Employee starts in new position</b>	eMerge PeopleSoft	YES

It is important to note that there is no unique identifier for each recruitment effort to which all hiring data can be tied; the lack of such an identifier makes it impractical to track recruitment efforts throughout the entire process and across data systems in particular. For example, out of the 15 major steps in the hiring process identified above, the City can easily report position-level data for only three – RTF submittal, RTF approvals, and employee start date. The inability to monitor individual recruitment efforts from end to end throughout the process makes it difficult to analyze why some positions take longer to fill than others and, importantly, which parts of the hiring process are most in need of improvement.

<sup>3</sup> The rule that refers individuals in the top three ranks is called the Rule of 3. Expanded certifications require advance approval from the union representing the classification. The maximum certification is the Rule of 10, which is typically applied to management positions.

<sup>4</sup> Efforts are currently underway to enable tracking of the pre-employment vetting process in eMerge PeopleSoft.



## **3.0 Analysis of Existing Hiring Data**

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### **3.1 Data Sources**

For this analysis, the Controller's Office extracted hiring data from eMerge PeopleSoft, the City's payroll system. This system contains data on the RTF approval processes, the candidate selection date, and the employee's hire date. The hire date is the employee's actual start date rather than the day on which the final offer was extended or accepted. The dataset contains data on positions in all City departments that recorded an RTF submission after August 13, 2013 and that were filled by August 27, 2014 for new hires, rehires, and existing employees who changed job classes.<sup>5</sup> The dataset does not include positions in which the RTF was submitted prior to August 13, 2013, even if that RTF resulted in a hire during the timeframe sampled. A total of 1,551 positions across 382 job classes met these criteria. The analysis sought to include both the beginning and end of the hiring process primarily because data on the interim steps are not readily available.

### **3.2 Positions by Appointment Type**

Across all appointment types (PCS, PEX, TEX, and temporary provisional), the median hire time during the period studied was 118 calendar days – just under four months. Over the same period, the citywide median hire time for PCS positions (the main focus of our analysis) was 137 calendar days. Three quarters of these PCS positions took more than 90 days, and more than one quarter took over 180 days. The median hire times for PEX and TEX positions were 74 days and 84 days, respectively.

### **3.3 Permanent Civil Service Hiring by Department**

Table 5 (next page) shows the time from RTF submission to hire date for the 12 departments with 20 or more PCS hires during the year time period sampled. These departments account for approximately 92 percent of all PCS hires.

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<sup>5</sup> For this analysis, the data from eMerge PeopleSoft were filtered to exclude positions in public safety job classifications because the hiring processes used for those positions are substantially different from the processes used in other cases. The data were also filtered to exclude positions that were backdated (e.g. when an RTF is actually submitted after a hire is made). eMerge PeopleSoft Action-Reasons reflected in the data include: job code change, new hire, rehire, and rehire with status rights.

**Table 5 – Median Hire Times for Departments with at least 20 PCS Hires**

<b>Department</b>	<b>Median Days to Hire</b>	<b>Number of PCS Hires</b>
Public Health	193	158
Recreation and Parks	169	28
Library	141	55
Public Utilities Commission	140	70
Municipal Transportation Agency	139	83
Airport	135	50
Police	134	28
Public Works	134	52
Human Services	124	166
Human Resources	107	24
City Administrator	104	33
Controller	81	42

The DPH and REC departments had the longest median hire times at 193 and 169 days respectively. For DPH, only 14% of the vacancies were filled in less than 4 months, and nearly 37% of the vacancies took more than 8 months to fill, excluding any of the department’s internal approval processes prior to the RTF submission date.

As mentioned, the lack of readily available data for the interim steps between the RTF submittal and the hire date (see Table 4) makes it difficult to pinpoint where the greatest delays occur for different departments. Conversations with human resources staff in many of the departments listed above suggest that delays can arise anywhere in the process for a variety of reasons. One potential reason for the slower hire times at DPH may be insufficient HR staff capacity to administer its highly specialized, department-specific examinations. Of the over 250 classes that DPH hires, its internal HR department is responsible for conducting examinations for about 50%. In January 2015, DPH had five exam analysts that can each conduct approximately 12 examinations per year. At that time, the department had 98 examinations in progress but there were over 139 job classes without an eligible list or with lists that were close to expiring. Furthermore, many of the examinations given by DPH are administered in hard copy form and must be manually rated and ranked. Efforts to automate the examination process, an increase in HR staffing levels, and standardization of the exams (where appropriate) across its many job classes are a few strategies that may help DPH reduce its time to hire, some of which are already underway.

The HR staff in another department indicated that the eligible lists for some of its positions are not refreshed frequently enough to maintain pools of qualified, interested, and available candidates from which to hire. As a consequence, managers may be forced to delay hiring for extended periods of time until a new and more current list is referred to them. Staff in another

department explained that when canvassing a list, it is not uncommon for them to encounter applicants who are not available or interested in a position, or who are altogether unresponsive. In one instance, a department HR representative reported that it had to re-canvass a list five times to find eight people who were interested in a position.<sup>6</sup> Multiple departments explained that under these circumstances, they sometimes had to wait extended periods of time for DHR staff to refer alternate candidates to them. These comments are notable in that at the time of our interviews, DHR had already implemented changes that made the entire eligible list available to departmental human resources staff when the list was initially referred to them, so they did not actually need to return to DHR for the names of alternates. It is unclear why the staff were not aware of the revised policy.

Even after a candidate has been selected, departments noted that delays can occur in the pre-employment verification process. In particular, multiple departments reported frequent delays of two to three weeks when scheduling fingerprinting appointments at DHR, and medical exams at DPH. However, data from DHR on fingerprinting appointment times do not support the perception that scheduling substantially delays the hiring process. According to data collected by DHR between July and December 2014, the average total time between DHR's receipt of the fingerprinting appointment request to departments' receipt of fingerprinting clearance was 12 days. Once fingerprinted, the Department of Justice returned the results within the same day 58% of the time and it returned the results within five days 83% of the time. With respect to delays associated with the fingerprinting process, DHR noted several factors that may impact the total time, including the following:

- Delays in scheduling the fingerprint appointment resulting from delays with the hiring department or candidate.
- Multiple candidates can be included on one Conviction History Electronic Service Request (ESR). A department may receive clearances for any number of those candidates before the ESR completion date because, in DHR's system, an ESR is only noted as "complete" when all candidate clearances have been completed.
- Fingerprint rejections, which happen several times per week, require candidates to be re-fingerprinted.

DHR further explained that the conviction history review may take longer when there is a "nexus" between the nature of the applicant's conviction and the attributes of the position for which he or she has applied. When such a nexus exists, DHR considers factors such as the recency of the conviction, the relevancy of the conviction to the position, and the rehabilitation of the individual to determine whether the candidate is suitable for the position despite the conviction. In order to prevent bias against hiring people with prior convictions, DHR intentionally does not inform hiring departments that this analysis has been performed unless it is determined that the person is not suitable for the position. Thus in some cases, departments may have the impression that

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<sup>6</sup> As a result of a recent Civil Service Rule Change, departments no longer need to canvass the list to verify that the candidates are still interested in the job.

the fingerprinting process has been delayed due to DOJ or DHR inaction, when in fact a confidential issue has arisen that must be examined more closely.

Other issues raised by departmental HR staff that could contribute to delays in hiring include:

- duplicate data entry across multiple systems,
- delays in RTF approval and greater scrutiny from DHR before approving management positions in particular, and
- HR staff turnover and shortages (both in DHR and individual departments).

With regard to the RTF approval process, in February 2015 the Mayor's Budget Office amended its procedures for review to streamline and expedite hiring. Previously, the Mayor's Budget Office reviewed RTFs for nearly every City department after approval of the request by DHR. Under the new procedures, most RTFs will be automatically approved by the Mayor's Budget Office except under limited circumstances. For example, RTFs submitted by departments that are at risk for overspending their budgets will not be automatically approved.

With regard to the approval of management positions, DHR disbanded the Management Classification and Compensation Plan (MCCP) review committee as of February 4, 2015 and presented a new MCCP allocation program to HR professionals on February 18, 2015. DHR believes the new program will significantly expedite the DHR approval process for management classes.

Moving beyond anecdotal reports to pinpoint where the greatest delays occur and determining the reasons for those delays will require a more intensive (and manual) review of records for individual cases, and could serve as next steps for the Controller's Office's management and employment practices program work. In addition to the Controller's Office's efforts, DHR is conducting deeper analysis of nursing and other DPH hires, along with pursuing many other process and systems improvements, as noted in Appendix A.□□□□

### **3.4 PCS Hiring by Classification Series and Job Class**

As described above in Section 2.1, DHR categorizes functionally related job classifications into groups called classification series. The nursing, management, airport operation, IS, and community development classification series each had at least 20 PCS hires and the longest median hire times – over 150 days. Table 6 (next page) shows the median hire times and number of PCS hires for all classification series that had 20 or more PCS hires during the period sampled.

**Table 6 – Median Hire Times for Classification Series with 20 or more PCS Hires**

<b>Classification Series</b>	<b>Median Days to Hire</b>	<b>Number of PCS Hires</b>
Nursing	200	91
Management	189	31
Airport Operation	179	20
Information Systems	179	28
Community Development	163	22
Journey-Level Trades	143	79
Library	141	50
Professional Engineering	133	77
Budget, Administrative & Statistical Analysts	119	80
Human Services	112	97
Clerical, Secretarial & Stenography	101	35
Personnel	100	41
Payroll, Billing & Accounting	85	66

The data provides several insights into current hiring dynamics:

- Seven classification series had median hire times above the citywide median of 137 days for PCS positions.
- The nursing series had the longest median hire time at 200 days and had the second greatest number of PCS hires (91) among the classes with median hire times above the citywide median (see section 3.4.1 for further detail on nurse hiring).
- Management positions were the second-slowest series to hire at a median of 189 days (section 3.4.2). This could in part reflect the M CCP committee review process in place prior to February 2015. Hire times for management positions may improve as a result of this recent change.
- While the City made only 20 PCS hires within the Airport Operations series and only 28 PCS IS hires, these hires each took a median of 179 days (6 months). Both series are discussed further in sections 3.4.3 and 3.4.4 respectively.
- The Human Services series had the most PCS hires (97), but those hires took much less time than the nursing series, which hired a similar number of positions. The difference is likely due in part to an adequate supply of candidates who meet the minimum job qualifications and rapid batched hiring of many HSA Eligibility Workers, in which large numbers of candidates take frequently offered examinations and reachable candidates are hired in large groups at one time.

Table 7 shows the time to hire for the individual job classes with the most number of PCS hires in the dataset. These ten job classes accounted for 41% of all filled PCS positions. Notably, the nursing and analyst classification series each have two positions in this list.

**Table 7 – Median Hire Times for Job Classes with at least 10 PCS Hires**

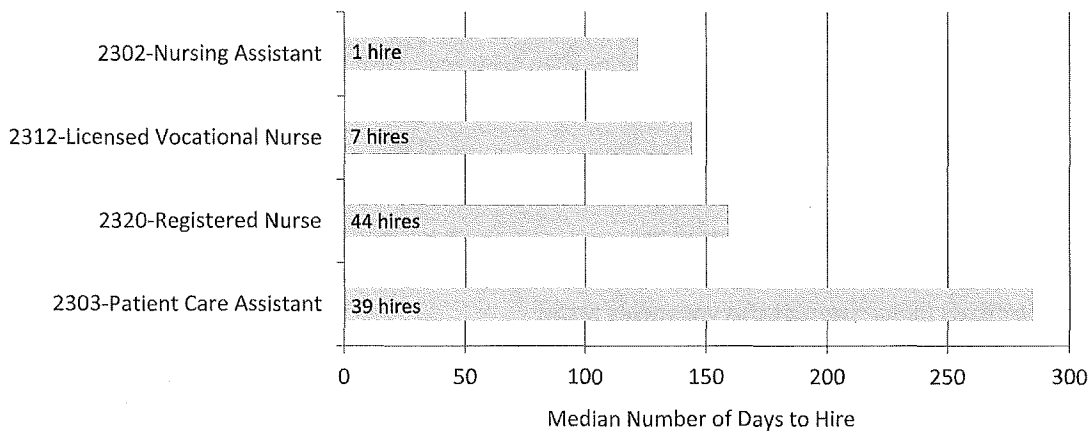
<b>Job Classification</b>	<b>Median Days to Hire</b>	<b>Number of PCS Hires</b>
Patient Care Assistant	285	39
Manager II	185	12
Electronic Maintenance Technician	173	18
Registered Nurse	159	44
Employment and Training Specialist 3	150	11
Protective Services Worker	145	10
Senior Administrative Analyst	140	18
Library Page	125	23
Clerk	118	14
Administrative Analyst	116	15

With regard to library pages, Library HR staff suggested in our interviews that the relatively longer time to hire Pages likely reflects an internal decision to bundle those positions for processing rather than filling them as the vacancies arise.

### 3.4.1 Nursing Classification Series

Nurses are one of the City’s largest classifications, with 1,243 PCS nurses employed across the City. As shown in Chart 1, the nursing position with the longest median hire time was the 2303 Patient Care Assistant at 285 days – over nine months. Based on our interviews with DPH staff, this longer hire time was due to a number of factors. First, 462 candidates reached the examination stage; this large number of candidates necessitated ten separate examination sessions. In addition, contestation of the hiring process resulted in arbitration and significantly delayed any hiring.

**Chart 1 – Median Hire Times and Numbers of PCS Hires in the Nursing Classification Series**



The fastest median hire time within the nurse series was the 2302 Nursing Assistant position at 122 days. However, only one Nursing Assistant hire was included in the dataset that we sampled. Registered Nurses (RNs) had the most PCS hires within the series at 44 and a median hire time of 159 days (5.3 months), three weeks longer than the citywide median for PCS hires. Of the 44 RN hires, 16% were hired in less than 90 days and 43% were hired between 91 and 180 days. Forty-one percent of RN hires required more than 180 days.

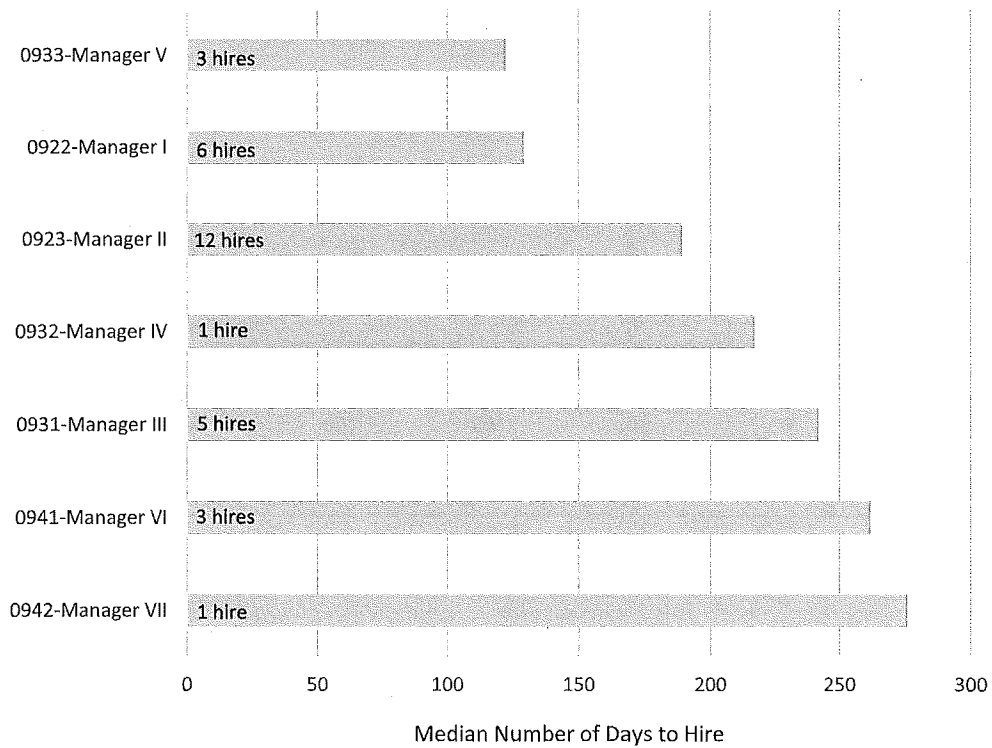
It is important to note that DPH and DHR have implemented significant process reforms to reduce hire times for RNs, with a new goal of hiring nurses in 90 days or less. The two departments have collaborated in many ways, including initiation of a Lean process to optimize its hiring operations. A more detailed description of improvements that DHR is pursuing can be found in Appendix A.



### 3.4.2 Management Classification Series

The Management Classification Series was the second slowest to hire, with an overall median time to hire of 189 days for PCS position – just over six months. Chart 2 below shows the median times to hire for individual job classes within this series.

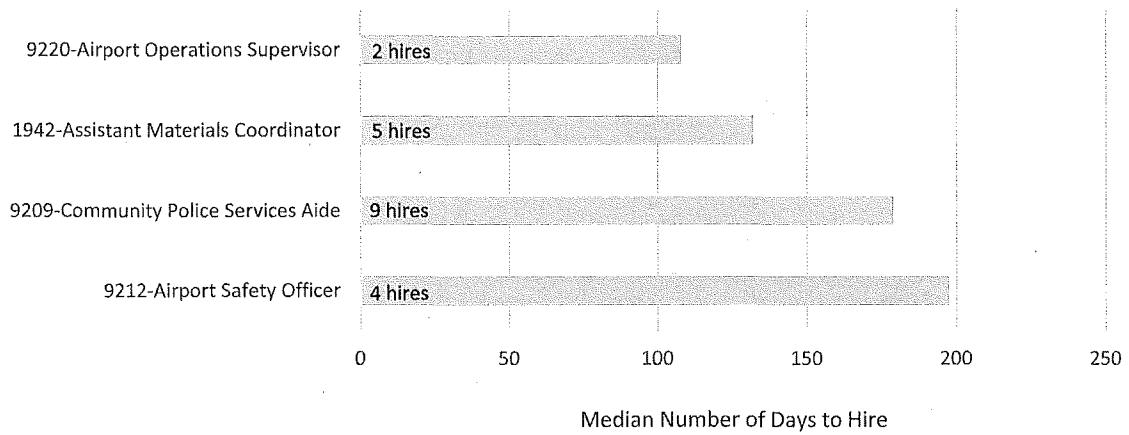
**Chart 2 – Median Hire Times and Number of PCS Hires in the Management Classification Series**



### 3.4.3 Airport Operation Classification Series

With 20 PCS hires in the dataset, the Airport Operation classification series had a median time to hire of 179 days. Chart 3 below shows the median time to hire for individual job classes within this series that appeared in the sample data. Airport Safety Officers required the most time to hire at 198 days – over six months. The two Airport Operations Supervisor positions were hired in almost half the time at a median of 108 days. One of the hires was made in just 69 days.

**Chart 3 – Median Hire Times and Number of PCS Hires in the Airport Operation Classification Series**

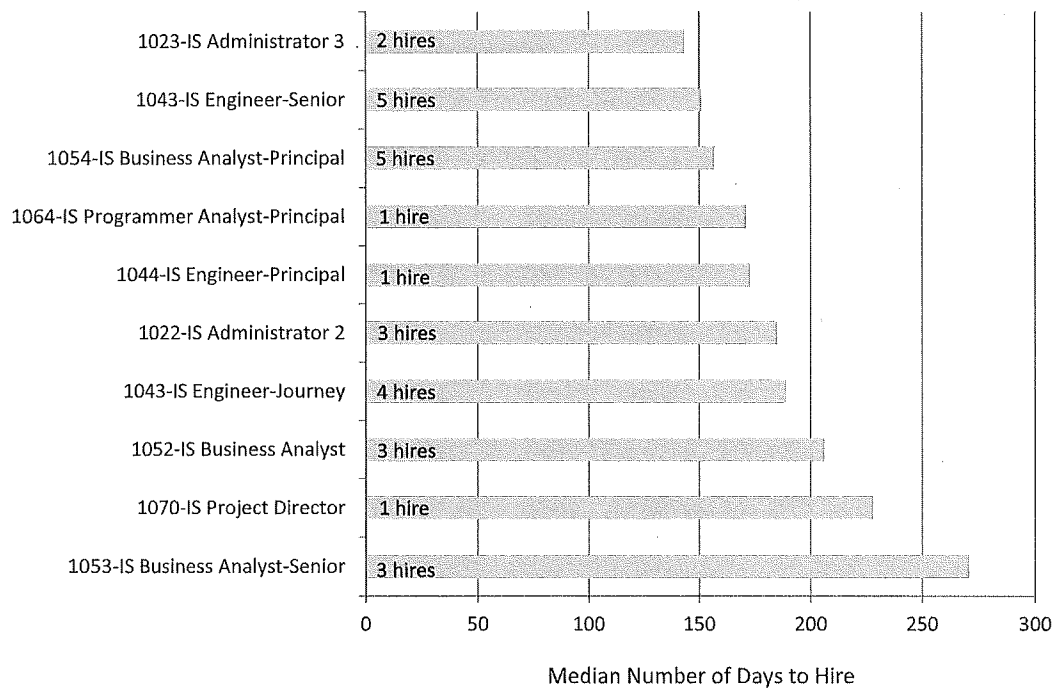


### 3.4.4 Information Systems Classification Series

Anecdotally, jobs in the IS series are considered by many to be among the most difficult to fill and the data support this perception: nine of the ten positions hired during the period sampled had a median hire time of 150 days or more, and half took more 180 days. Across all of these positions, the median hire time was 179 days.

Chart 4 shows the median hire time for each of the PCS IS positions included in our data sample. Stakeholder interviews revealed several challenges in filling IS positions: required expertise with specific software applications used only by the City; poor branding of positions such as job titles that do not match industry standards; and limited recruitment efforts. The City's very low unemployment rate of 3.8% also contributes to hiring difficulties. In response to these challenges, DHR launched an IS hiring pilot in two City departments in February, 2015 that uses technology solutions to deliver on-demand, un-proctored, online core exams and a video-based technical online interview designed to significantly expedite the process. DHR has also convened an IT hiring group to address other challenges, such as branding the City as a desirable employer, and improving the effectiveness of our recruitment efforts.

**Chart 4 – Median Hire Times and Number of PCS Hires in the Information Systems Hires**

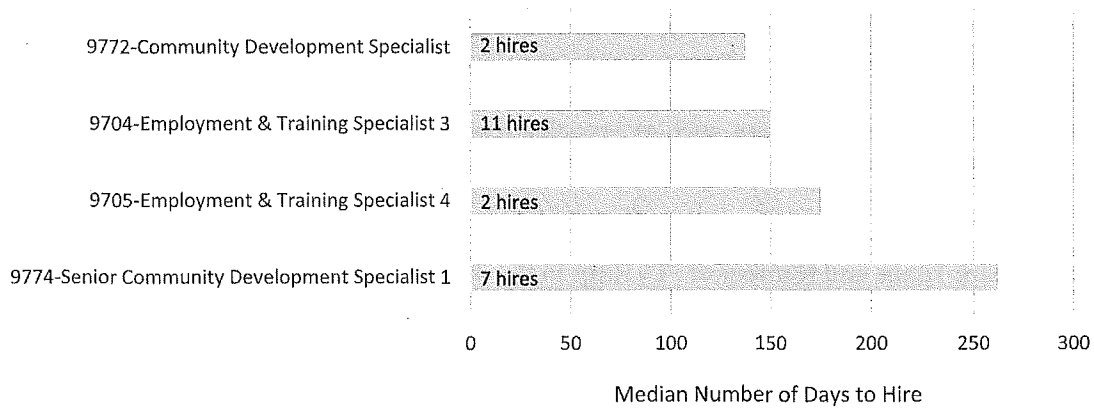


### 3.4.5 Community Development Classification Series

The Community Development series included 22 PCS hires across four positions. The median hire time across the series was 163 days. Chart 5 shows the median hire times and number of PCS hires for the series.

**Chart 5 – Median Hire Times and Number of PCS Hires in the Community Development Classification Series**

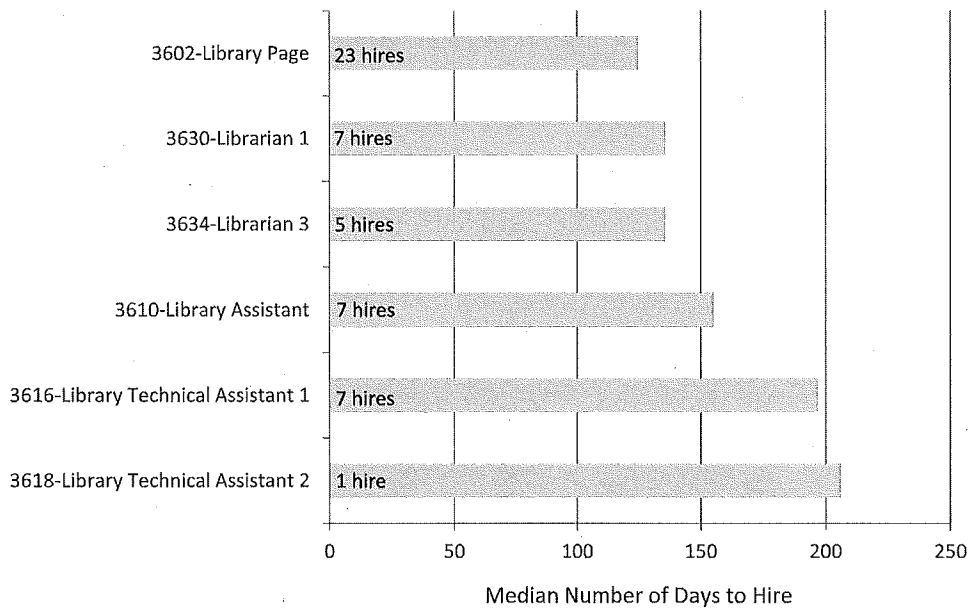
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### 3.4.6 Library Classification Series

The City made 50 PCS hires in the Library classification series during the time period sampled with a median time to hire of 141 days, slightly longer than the citywide median. Chart 6 shows median hire times and number of PCS hires for the Library series. All of the positions had a median hire time of at least 125 days – about four months. Almost half of the positions hired during the time period sampled were Library Pages, with a median hire time of 125 days – about four months. One quarter of hires were Librarians, with a median hire time of 136 days.

**Chart 6 –Median Hire times and Number of PCS Hires in the Library Classification Series**

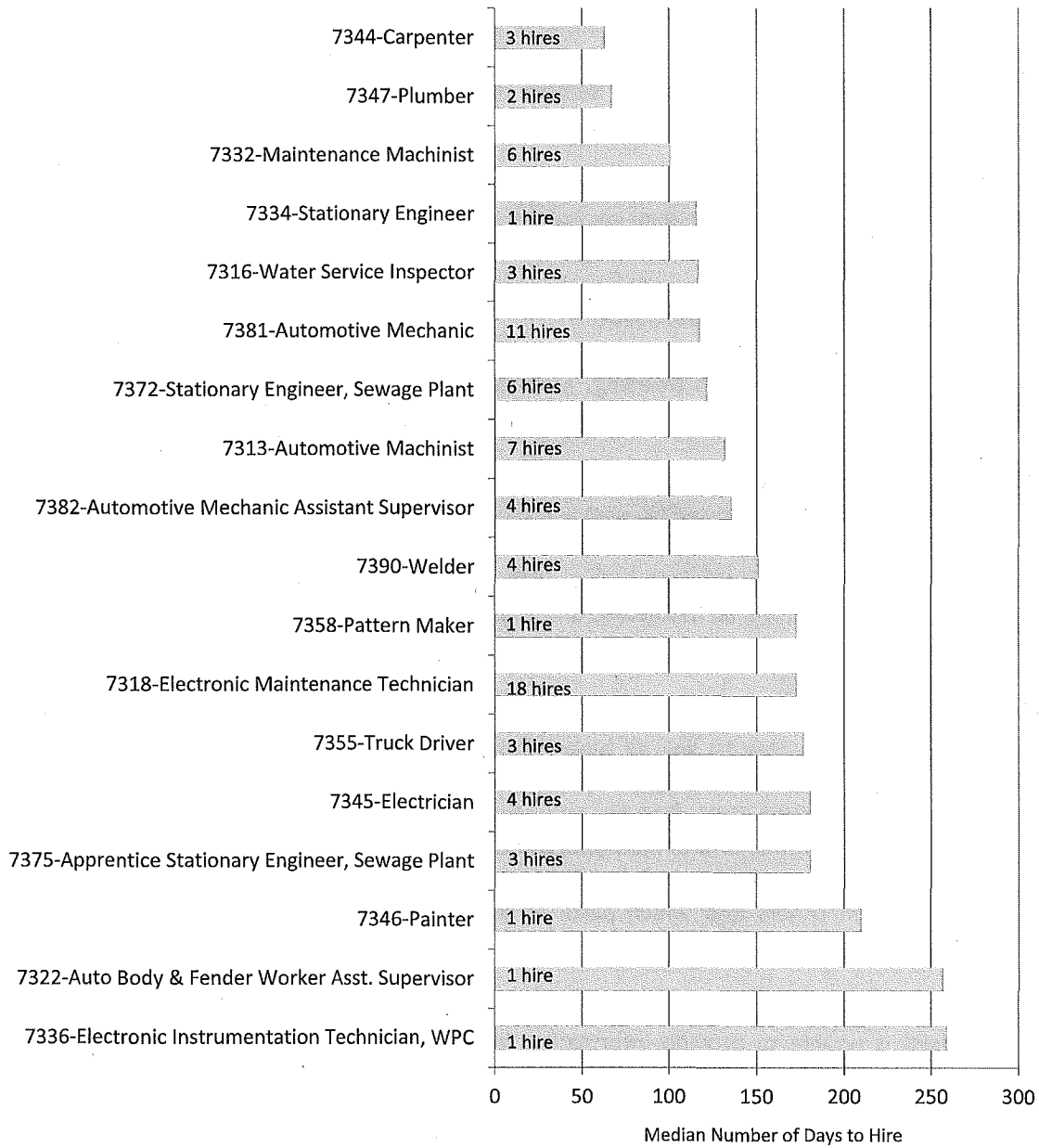


### **3.4.7 Journey-Level Trades Classification Series**

The Journey-Level Trades series included 79 PCS hires at a median of 143 days, slightly longer than the citywide median. Chart 7 (next page) shows the median hire times and numbers of PCS hires for each job class included in the dataset. Electronic Maintenance Technicians and Automotive Mechanics accounted for 37 percent of all Journey-Level Trades hires. Electronic Maintenance Technicians were the most frequently hired and took a median of 173 days to hire. Electronic Instrumentation Technicians for water and pollution control took the longest time to hire at 259 days – 8.5 months.

Staff at DPW indicated that hiring journey-level trades is challenging because the City is competing with private sector employers for many positions during a time of booming construction. This challenge is reflected in the City's unusually low unemployment rate.

**Chart 7 – Median Hire Times and Number of PCS Hires in the Journey-Level Trades Series**



## 4.0 Challenges and Recommendations

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As described throughout the report, our analysis points to several key challenges:

### Time to Hire

1. The Citywide median hire time in the sample dataset was 137 calendar days for PCS positions.
2. There was significant variance in median hire times for PCS positions among departments, job classification series, and individual job classifications:
  - a. The DPH and REC departments had the longest median hire times for PCS positions at 193 and 169 days, respectively;
  - b. Five classification series (Nursing, Management, Airport Operation, Information Systems, and Community Development) had median hire times over 150 days; and
  - c. Four job classes (Patient Care Assistant, Manager II, Electronic Maintenance Technician, and Registered Nurses) had median hire times over 150 days.
3. To promote effective and efficient hiring, DHR is initiating a number of process and systems reforms, which will be monitored and tracked over time.

### Data Systems and Tracking

4. Currently, there is no way to link all hiring data captured for each recruitment effort throughout the hiring process; of the 15 major steps we identified in the process, the City can easily report position-level data for only three. The absence of a way to link data across and within systems, or a unified integrated system that allows for tracking data at the individual position level, makes it difficult to understand why some positions take longer to fill than others and which parts of the hiring process are most in need of improvement.
5. Notwithstanding the current inability to track position-level data across different systems, JobAps itself is unable to provide information in large datasets, and this inability also inhibits analysis.
6. The City is already pursuing numerous improvements to its processes and systems that require robust data tracking and change management practices.

The data obtained for this analysis reveal that in many cases the hiring process can take a considerable amount of time. However, the data do not explain the causes of the delays. As the City's data systems are currently configured, the City must conduct an extensive manual review



of the records for individual recruitment efforts in order to pinpoint where the longest delays occur and why. While this is feasible for a limited number of job classifications, it is impractical on a larger scale, or on an on-going basis.

## Recommendations

Our analysis points to several opportunities for the City to improve its hiring processes and data systems.

**Table 8 – Key Recommendations for Improving the City’s Hiring Times**

<b>Hiring Processes</b>	
<b>Recommendation</b>	<b>Lead Dept(s)</b>
1. Focus hiring process improvements and streamlining efforts on the five classification series with the most number of PCS positions and the longest hire times.	DHR
2. Implement continuous, un-proctored civil service examinations on a broader scale for classes with a large number vacancies or hard to fill classes.	DHR, Hiring Departments
3. When implementing future system changes, replace manual “pull-based” workflow systems with automated “push-based” systems.	DHR, CON
4. Identify steps in the hiring process that can occur simultaneously, rather than sequentially.	DHR
5. Develop department-level annual hiring staffing plans, with specific start date targets for each quarter and associated workflow processes necessary to meet those targets.	Hiring Departments
<b>Data Systems and Tracking</b>	
<b>Recommendation</b>	<b>Lead Dept(s)</b>
1. Consider developing a single integrated hiring data management and workflow system.	DHR, CON
2. In the absence of a single hiring data management system, create an interim solution to link eMerge PeopleSoft and JobAps data so the City has a clearer and more comprehensive view of each step of the hiring process.	DHR, CON
3. Following system improvements that allow for more comprehensive reporting, develop web-based human resource dashboards that provide HR staff and hiring managers with greater visibility into the hiring process.	DHR, CON
4. Develop and implement a change management program to support current and planned changes to hiring processes and systems across and within departments.	DHR

## References

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- Russell, N., ter Hofstede, A.H.M., Edmond, D., & van der Aalst, W.M.P. (n.d.). Workflow Resource Patterns. Retrieved from <http://www.workflowpatterns.com/documentation/>.
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## Appendix A: Current DHR Time to Hire Reform Projects

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DHR has launch a comprehensive project – Project HIR<sup>2</sup>E (Hiring Innovation through Redesign and Resource Efficiencies) to identify, update, and implement a full range of innovative human resources processes to ensure effective and efficient hiring of City employees.

Project HIR<sup>2</sup>E uses an evidence-based approach to identify current process inefficiencies that result in hiring delays. Relying on Lean principles and values, the objective of Project HIR<sup>2</sup>E is to identify policy, process, procedural, and practice waste(s) that result in delays and develop creative solutions to address them.

Project HIR<sup>2</sup>E focuses on four (4) hiring-related project components:

- Component 1 - Vacancy to Request To Fill (RTF) Approval
- Component 2 - Examination and Eligible List Development
- Component 3 - Post Referral Selection Processes to Identification of Finalist
- Component 4 - Pre-Employment Vetting and Appointment Processing.

In collaboration with other agencies, DHR is working on a number of projects that align with the recommendations contained in this report and are designed to increase hiring efficiency:

- **Component 1 - Vacancy to Request to Fill:** DHR will interview human resources staff at ten departments to understand how they are currently managing approval of positions prior to the submission of an RTF. DHR will use these interviews to develop a set of best practices for departments.
- **Component 2 - Examination and Eligible List Development:** DHR has established pilot expedited examinations using an on-demand, online, un-proctored examination process. In addition, DHR has developed and implemented a pilot continuous, class-based examination process.
  - Registered Nurse Hiring:** DHR is working in collaboration with DPH to improve the hiring processes for Registered Nurses. This has included participation in DPH's Lean processes and reorganizing the department's examination and referral processes for this classification. DHR and DPH have designed and delivered a continuous class-based examination program based in 17 specialty nurse areas.
  - Expedited IT Hiring Pilot:** DHR is working with the Mayor's Office, Controllers Office, Committee on Information Technology (COIT), Department of Technology, and others on a pilot program to increase the speed of eligible list creation for the IS Business Analyst positions (1053 and

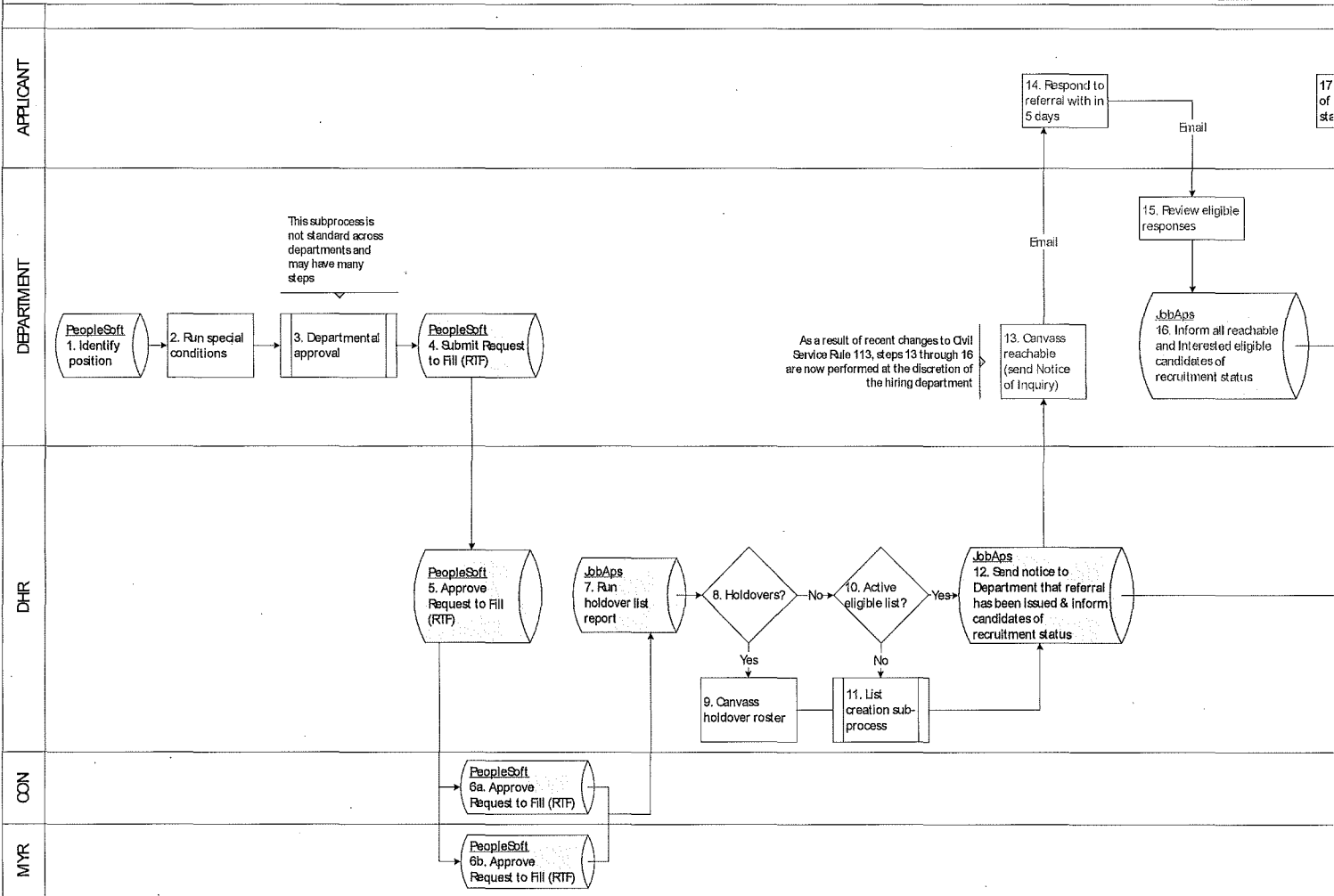
1054). The online, on-demand, un-proctored continuous testing program launched with two departments on February 4, 2015.

- DHR is also implementing an expedited, system-delivered referral process once an eligible list is adopted. These changes include a position table in the JobAps system that will allow for data to move dynamically between eMerge PeopleSoft and JobAps. This project will also allow DHR to group positions awaiting referral based on the characteristics of each position. Proposed groups include positions waiting for a list to be established and positions where a list is available.
- **Component 3 - Post-Referral to Identification of Finalist:** DHR is working to add automated referral verification and other process improvements into the Request to Hire (RTH) process. The system will track the total number of reachable ranks for a recruitment, and confirm that the selected candidate is reachable based on depth in the ranks and the departments noted reasons for not selecting candidates ranked higher on the eligible list.
- **Component 4 - Pre-Employment Vetting and Appointment Processing:** DHR, in partnership with the Controller's Office, is currently working to streamline and integrate pre-employment verification and appointment processing. This project will consolidate the use of multiple systems for fingerprinting, background clearance, and appointment processing into one system built by SmartERP to connect with eMerge PeopleSoft. It will have appropriate workflow processes to ensure that a candidate is not issued clearance until all appropriate actions have been taken, and it will reduce the current system of manually re-entering data into multiple different systems.

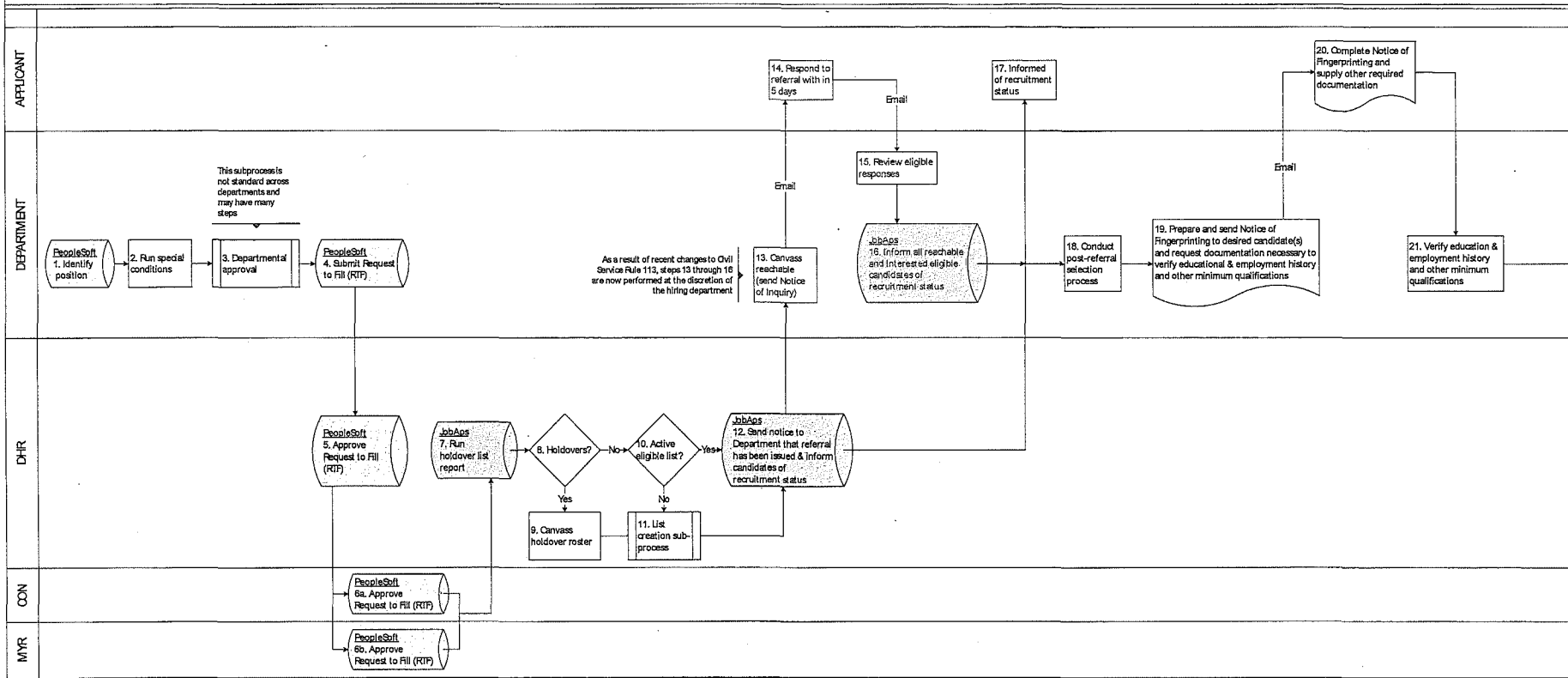
**Appendix B: Hiring Process Map for PCS Positions with Eligible List**

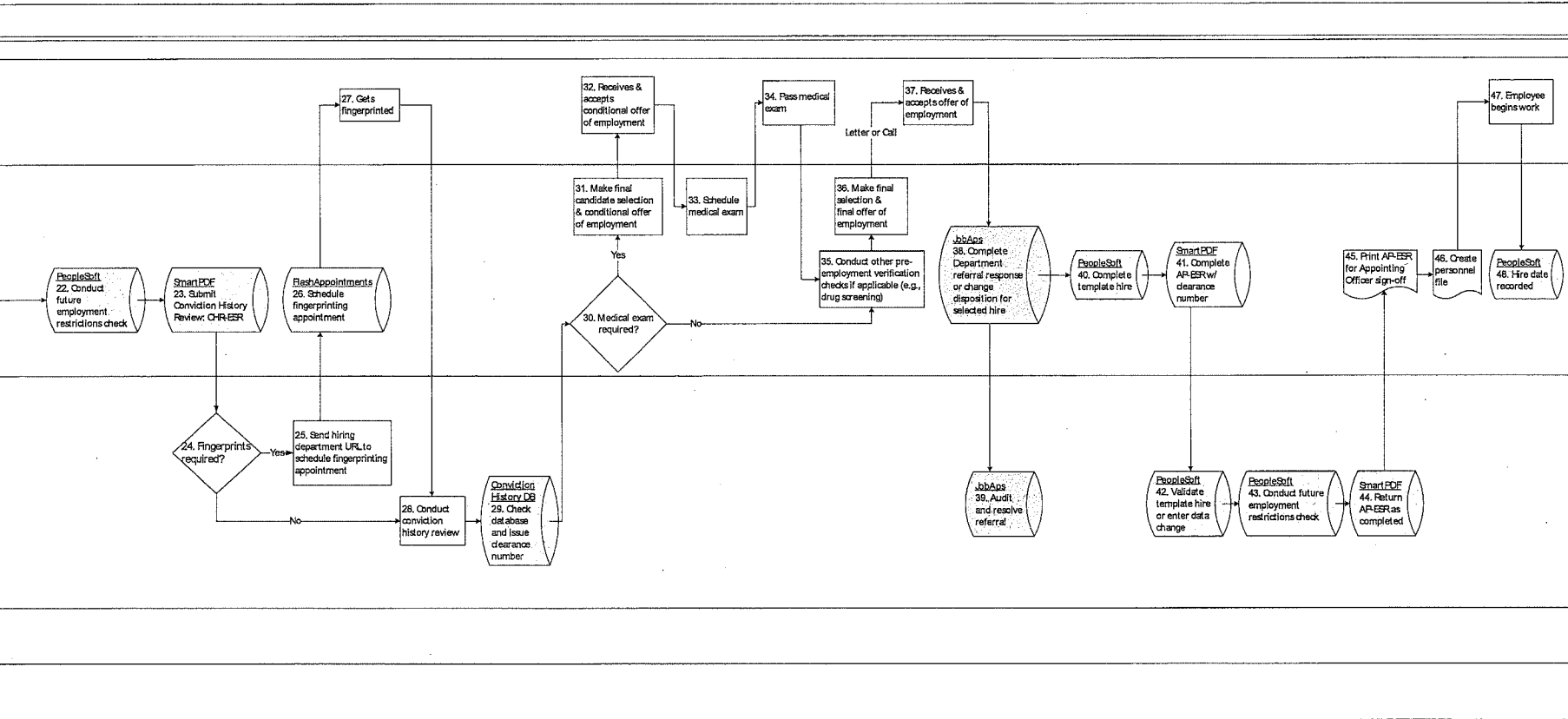
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City and County of San Francisco Simplified Hiring Process for a Permanent Civil Service Position (as of April, 2015)



City and County of San Francisco Simplified Hiring Process for a Permanent Civil Service Position (as of April, 2015)







DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

San Francisco Area  
455 8<sup>th</sup> Street  
San Francisco, CA 94103  
(415) 557-1094  
(800) 735-2929 (TT/TDD)  
(800) 735-2922 (Voice)

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April 14, 2015

File No.: 335.14995

Honorable Board of Supervisors  
1 Dr. Carlton B. Goodlett Place, Rm 244  
San Francisco, CA 94102

Dear Supervisors:

As part of our ongoing contact with your office, I thought you would appreciate learning of our recent activities. During the months of January through April, 2015, The San Francisco Area of the California Highway Patrol accomplished the following:

- Made 11,784 enforcement contacts.
- Apprehended 276 persons for driving under the influence
- Issued 418 seatbelt and child safety seat citations.
- Issued 1020 cell/texting while driving citations.
- Investigated 582 traffic collisions.
- Provided 3,677 motorist services.
- Fatal collisions decreased 100%.
- Continued our Social Media campaign to better serve our community.  
[www.chp.ca.gov/sanfrancisco](http://www.chp.ca.gov/sanfrancisco)  
[www.twitter.com/chpsanfrancisco](http://www.twitter.com/chpsanfrancisco)  
[www.facebook.com/chpsanfrancisco](http://www.facebook.com/chpsanfrancisco)
- Conducted 15 Public affairs presentations, including *Start Smart* Teen driver safety classes.
- Received 7 letters of appreciation.

The San Francisco Area of the California Highway Patrol stands ready to assist you and your staff in any way possible. Please do not hesitate to contact me at (415) 557-1094 should you have any questions or concerns regarding issues of mutual concern.

Sincerely,

C. J. SHERRY, Captain  
Commander  
San Francisco Area



**From:** Reports, Controller (CON)  
**Sent:** Thursday, April 16, 2015 2:30 PM  
**To:** Calvillo, Angela (BOS); Gosiengfiao, Rachel (BOS); BOS-Supervisors; BOS-Legislative Aides; Kawa, Steve (MYR); Leung, Sally (MYR); Howard, Kate (MYR); Seip, Emily (MYR); Falvey, Christine (MYR); Elliott, Jason (MYR); Steeves, Asja (CON); Campbell, Severin (BUD); Newman, Debra (BUD); Rose, Harvey (BUD); gmetcalf@spur.org; bob@sfchamber.com; jballesteros@sanfrancisco.travel; CON-EVERYONE; CON-Finance Officers; MYR-ALL Department Heads; Rothschild, Matthew (CAT); Okai, Dora (CAT); Navarro, Tess (MTA); Leonardo, Eloida (MTA); Gannon, Maureen (POL)  
**Subject:** Issued: Controls Over Claims and Judgments Settlement Payments at the City Attorney Need Improvement

The Office of the Controller's City Services Auditor Division (CSA) today issued a memorandum on its assessment of the cash disbursement processes and controls for claims and judgment settlements at the Office of the City Attorney (City Attorney). Although the City Attorney has some adequate processes and controls, it should establish thorough written policies and procedures for processing unlitigated claims settlements, ensure that all claimants offered settlements of more than \$25,000 are informed that the settlement amount is contingent upon additional approvals by the City Attorney, department, and Board of Supervisors, ensure that receipt dates and receiver names are recorded upon receipt of settlement releases, and provide monthly reports of litigated settlements less than \$25,000 to each city department, commission and the Board of Supervisors.

To view the full memorandum, please visit our Web site at:  
<http://openbook.sfgov.org/webreports/details3.aspx?id=1908>  
This is a send-only e-mail address.

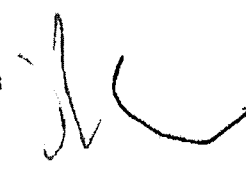
For questions about the memorandum, please contact Director of City Audits Tonia Lediju at [tonia.lediju@sfgov.org](mailto:tonia.lediju@sfgov.org) or 415-554-5393 or the CSA Audits Unit at 415-554-7469.

Follow us on Twitter @SFController



## **MEMORANDUM**

**TO:** Dennis Herrera, City Attorney  
Office of the City Attorney

**FROM:** Tonia Lediju, Director of City Audits  
City Services Auditor Division 

**DATE:** April 16, 2015

**SUBJECT:** *Controls Over Claims and Judgments Settlement Payments at the City Attorney  
Need Improvement*

---

### **EXECUTIVE SUMMARY**

The Office of the City Attorney (City Attorney) has some adequate cash disbursement processes and controls for claims and judgment settlements, including proper segregation of duties and proper recording and approval of settlement amounts in the accounting system of the City and County of San Francisco (City). However, the City Attorney should:

- Establish thorough written policies and procedures for processing settlements of unlitigated claims.
- Ensure that all claimants offered settlements exceeding \$25,000 are informed that the settlement amount is contingent upon additional approvals by the City Attorney, department, and Board of Supervisors.
- Ensure that receipt dates and receiver names are recorded upon receipt of settlement releases.
- Provide monthly reports of litigated settlements of less than \$25,000 to each city department, commission, and the Board of Supervisors.

The City Attorney agrees with all five of the findings and recommendations.

## BACKGROUND, SCOPE, OBJECTIVES & METHODOLOGY

### Background

Cash Disbursements Assessment Program: In accordance with its fiscal year 2013-14 work plan, the City Services Auditor Division (CSA) of the Office of the Controller (Controller) assessed the cash disbursements process for claims and judgments settlements at the City Attorney, the San Francisco Municipal Transportation Agency (SFMTA), and Police Department. This assessment is part of a series of planned cash disbursements assessments of various departments across the City. The purpose of this program is to evaluate the adequacy of the internal control structures related to cash disbursements and to determine whether cash disbursements are made in accordance with governing policies and procedures while adequately safeguarding the City's resources. CSA analyzed all city cash disbursements made in fiscal year 2012-13 without prior encumbrances and selected payment types and departments to include in this year's assessment.

City Attorney: The City Attorney provides legal services to the City, including representation in legal proceedings, providing advice or written opinions to offices, department heads, boards and commissions, making recommendations on legal proceedings, and investigating and recommending dispositions of all claims made against the City.

**Litigation, Claims and Investigation Division**: The Litigation Division, which includes the trial team and the Bureau of Claims Investigations and Administration, handles all claims and litigation filed against the City.

*Bureau of Claims Investigation and Administration*: The San Francisco Charter establishes in the City Attorney a Bureau of Claims Investigation and Administration (Claims Bureau), which is delegated the power to investigate, evaluate, and settle all claims for money or damage for the City's boards, commissions, and departments.<sup>1</sup> The Claims Bureau also has the power to investigate incidents in which the City faces potential civil liability and to settle demands before they are presented as claims, within dollar limits provided for by ordinance, from a revolving fund to be established for that purpose. The Claims Bureau may handle claims against the City by uniformed officers and employees, claims against the City for death or injury to persons or damage to personal property, and claims against the City for a property tax refund.

**Administration Division**: This Division is responsible for secretarial, clerical, personnel, administrative, and information systems support.

*Fiscal Affairs Bureau*: The Fiscal Affairs Bureau is responsible for the City Attorney's accounting functions. Litigated claims settlements are processed by this office.

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<sup>1</sup> City and County of San Francisco Charter, Article VI, Section 6.102, Subsection 9.

Police Department: The Police Department is responsible for preserving the public peace, preventing and detecting crime, and protecting the rights of persons and property by enforcing federal, state, and city laws.

SFMTA: Established by voter proposition in 1999, SFMTA, a city department, oversees the Municipal Railway, parking and traffic, bicycling, walking, and taxis.

Claims Against the City: Any demands against the City for money or damages must first be filed with the City as a claim. Claims must be filed within six months of a cause of action giving rise to death, injury, or personal property damage, or within a year for all other claims. Exhibit 1 lists the total number of claims filed against the City in four recent fiscal years.

<b>EXHIBIT 1 Claims Against the City Fiscal Years 2009-10 Through 2012-13</b>			
Fiscal Year	Number of Claims Filed	Number of Claims Paid	Amount Paid
2009-10	3,661	1,760	\$9,144,627
2010-11	3,291	1,542	6,857,452
2011-12	3,092	1,431	7,868,701
2012-13	3,056	1,186	4,492,477
<b>Total</b>	<b>13,100</b>	<b>5,919</b>	<b>\$28,363,257</b>

Note: The City's fiscal year is July 1-June 30.

Source: City Attorney

The Claims Process: The receipt, review, investigation, settlement, and payment of claims are handled by the Office of the Controller (Controller), City Attorney's Claims Bureau, and department against which the claim was filed. As mandated by Charter, all claims against the City (except for those involving Port Commission property) must be delivered to the Clerk of the Board of Supervisors or the Controller, or mailed to the Clerk of the Board of Supervisors, Controller, or Board of Supervisors.<sup>2,3</sup> Once received, the claim is processed by the Controller's Claims Division, which then forwards the claim to the City Attorney's Claims Bureau for review. The Claims Bureau reviews, investigates, and negotiates settlements. The Claims Bureau also has the authority to reject claims filed.

Unlitigated Claims Against the City: For claims filed against the City, the Claims Bureau has the authority to settle for amounts up to \$25,000 on behalf of a department. For proposed settlement amounts greater than \$25,000, the Claims Bureau may settle on the written recommendation of the department head or the board or commission in charge of the department against which the claim is made, and with the written approval of the City Attorney and the approval of the Board of Supervisors by resolution.<sup>4</sup> When all parties agree to a settlement amount, Claims Bureau and Fiscal Affairs Bureau staff processes the settlement

<sup>2</sup> City and County of San Francisco Administrative Code, Article II, Sections 10.20-4 and 10.20-5.

<sup>3</sup> City and County of San Francisco Administrative Code, Article II, Section 10.20-6 authorizes the Port Commission to perform all functions of the Board of Supervisors for claims arising out of or in connection with any matter or property under its jurisdiction.

<sup>4</sup> City and County of San Francisco Administrative Code, Article II, Section 10.22

amount for payment. Payments are made only when the Controller certifies that funds are available for the settlement.

Litigated Claims Against the City: After a claim has been rejected, a claimant may file a suit against the City. If during the suit a settlement is negotiated for \$25,000 or less, it must be approved by the relevant department head and have the City Attorney's written approval. If the negotiated settlement exceeds \$25,000, an ordinance approved by the department head, the City Attorney, and the Controller is required. Payments are made only when the Controller certifies that funds are available for the settlement.

## **Objectives**

This assessment determined whether the City Attorney has adequate policies and procedures for disbursing claim and judgment settlement payments made by the City Attorney, Police Department, and SFMTA. In addition, the assessment determined whether the City Attorney has adequate controls to ensure that:

- Cash disbursements are made in accordance with governing policies and procedures, while adequately safeguarding the City's resources.
- Claim and judgment settlements paid in the period are recorded correctly as to account, amount, and period and are disbursed in accordance with the City's policies and procedures for claim and judgment settlements.
- Claim and judgment settlements are proper under applicable federal and state laws and regulations.

## **Scope**

The assessment focused on settlement payments disbursed for claims and judgments against the City Attorney, Police Department, and SFMTA during July 1, 2012, through June 30, 2013. CSA reviewed and evaluated the adequacy of internal controls and procedures for the disbursement of payments after claims and judgments were settled.

## **Methodology**

To perform this assessment, CSA:

- Extracted payment information from the Financial Accounting and Management Information System (FAMIS), the City's accounting system, to analyze "Judgments and Claims" payment transactions.
- Tested a sample of 49 payments, consisting of 47 randomly selected payments disbursed for claims and judgments settlements for the Police Department and SFMTA and both payments disbursed for claims and judgments for the City Attorney in fiscal year 2012-13. Traced and agreed payment data to settlement documents and verified whether payments were properly recorded and approved, and disbursed timely.
- Interviewed key personnel from the City Attorney, Controller, Police Department, and SFMTA to understand the litigated and unlitigated settlement disbursement processes.

- Reviewed the City Attorney's policies and procedures and user access to FAMIS. Evaluated and verified existing security and controls for the recording and disbursement of cash.
- Compared the claims settlement disbursement environment against Controller-issued guidelines for payment processing, prompt payments, and one-time payments, and city and state code related to claims.

CSA classifies locations with no control weaknesses as effective and those with few instances of control weaknesses as needing some improvement. If significant control weaknesses exist, CSA determines that major improvement is needed. If a department has severely inadequate controls and unmanaged risks, CSA deems the control environment to be unsatisfactory.

Government Auditing Standards do not cover nonaudit services, which are defined as professional services other than audits or attestation engagements. Therefore, the City Attorney, Police Department, and SFMTA are responsible for evaluating the adequacy and results of this nonaudit service and the implementation of recommendations that may result from it.

## RESULTS

Some of the City Attorney's cash disbursements procedures for claims and judgments payments are adequate, but others need improvement. Although the City Attorney has appropriate segregation of duties and settlement amounts were properly recorded and approved in FAMIS, it should establish thorough written policies and procedures for processing unlitigated claims settlements, ensure that all claimants offered settlements exceeding \$25,000 are informed that the settlement amount is contingent upon additional approvals by the City Attorney, department, and Board of Supervisors, ensure that receipt dates and receiver names are recorded upon receipt of settlement releases, and provide monthly reports of litigated settlements of less than \$25,000 to department heads and the Board of Supervisors.

### **Finding 1 – Duties are properly segregated, and the City Attorney properly recorded and approved settlement amounts.**

Some of the City Attorney's controls over disbursements of claims and judgments are adequate. The City Attorney had adequate controls to ensure that:

- Duties are appropriately segregated.
- Access to FAMIS is limited to authorized personnel.

Based on CSA's review of the City Attorney's claims and judgments disbursements process, duties were appropriately segregated, and FAMIS access and authorizations were properly executed. Internal control systems in FAMIS provide reasonable assurance that internal control objectives will be achieved.

Of the 49 sampled claims and judgment disbursements:

- All amounts were properly recorded in FAMIS and payment data agreed to settlement documents.
- All disbursements were properly initiated and authorized in FAMIS by City Attorney and Controller staff.
- All tax reporting requirements were fulfilled.

Proper recording and approving of disbursements helps ensure that that the City has an accurate record of the settlement amount, that claimants receive the proper settlement amounts, and that the City can properly fulfill its tax reporting requirements.

**Finding 2 –The Claims Bureau lacks adequate policies and procedures for processing unlitigated claims settlements.**

The Claims Bureau created written policies and procedures for unlitigated claims in June 2014. The instructions list procedures for unlitigated claims settlements of \$25,000 or less, based on the amount of the proposed settlement and instructions for FAMIS processing and payment. However, the policies and procedures provided do not address unlitigated claims settled for more than \$25,000, nor does it address communications with different departments.

According to Claims Bureau staff, the processing and payment of unlitigated claims settled for more than \$25,000 involve both the Claims Bureau and the Fiscal Affairs Bureau. The Claims Bureau is responsible for investigating and settling all claims. Fiscal Affairs Bureau then collects all necessary signatures and processes the FAMIS payment. According to the City's Administrative Code (Administrative Code), unlitigated claims settlements of more than \$25,000 require the written recommendation of the head, board or commission of the department against which the claim was made, with the written approval of the City Attorney and the approval of the Board of Supervisors by resolution. Fiscal Affairs Bureau has a set of written procedures which contains detailed instructions for processing unlitigated claims exceeding \$25,000. The Claims Bureau's policies and procedures, however, do not address the settlement process for unlitigated claims of more than \$25,000 or the duties and responsibilities of each division.

According to Claims Bureau staff, there are also different communications and reporting procedures for unlitigated claims, depending on which department the unlitigated claim is against. For example, one department receives a monthly report of new claims, while another receives bimonthly reports. Other departments have not made specific requests, and thus do not receive any reports. However, these variations were not noted in the instructions the Claims Bureau provided.

According to the Controller's Payment Processing Guidelines, departments must document and implement departmental policies and procedures that incorporate citywide policies, reflect good internal controls, and are specific to the operational and organizational risks in their environments.<sup>5</sup> Without specific, written, comprehensive procedures that are clearly

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<sup>5</sup> Office of the Controller, Departmental Guideline No. 008-11, *Payment Processing Guidelines*, March 15, 2011.



communicated to and understood by employees, duties may not be properly performed, conflicts can occur, poor decisions can be made, and serious harm can be done to the department's reputation and financial well-being. Further, the efficiency and effectiveness of operations can be adversely affected.<sup>6</sup> According to the Claims Bureau, there were no written policies or procedures for processing unlitigated settlements until June 2014 because settlements are handled by a few employees who have been in their roles for a long time.

### Recommendation

1. The Office of the City Attorney should create and implement detailed written policies and procedures that instruct Claims Bureau staff on how all unlitigated claims settlements are to be processed with regard to settlement amounts exceeding \$25,000 and communications with different departments.

### **Finding 3 – City Attorney should more consistently advise claimants of subsequent required approvals from the Board of Supervisors of tentative settlements exceeding \$25,000.**

The City Attorney did not always obtain all required approvals for settlement amounts of more than \$25,000 before presenting a settlement release to the claimant. City Attorney procedures require that the amount determined by the City Attorney be presented to the claimant in a settlement agreement while the office concurrently seeks approval from the department involved and the Board of Supervisors (Board). The settlement release must include the settlement amount and is to be signed by both the City Attorney and the claimant(s). According to the City Attorney, it adopted this practice to avoid any unnecessary delays in the claims resolution process, because obtaining approvals from the Board of Supervisors can take up to three months.

The Administrative Code states that unlitigated claim settlements exceeding \$25,000 require the written recommendation of the head, board, or commission of the department against which the claim was made, the written approval of the City Attorney, and the approval of the Board of Supervisors by resolution. Of the five settlement amounts tested that exceeded \$25,000, two received Board approval after the settlement release was signed by both the claimant and City Attorney. Presenting and ratifying a settlement amount with the claimant before obtaining the department's written recommendation and Board's approval, although well-intentioned, may actually lengthen the settlement negotiations process if the Board were to reject the claimant-agreed amount.

According to the City Attorney, signed claimant release agreements do not bind the City to disbursing the amount listed, and the City Attorney normally informs claimants (through cover letters or verbally) that the settlement amount will require the formal review and approval by the department, the Board of Supervisors, and the Mayor's Office. However, the settlement records tested did not indicate that claimants are informed that the settlement release is contingent on department and Board approval. After this test was conducted, the City Attorney provided one

<sup>6</sup> Vermont State Auditor, *Improper Payments: Internal Control Weaknesses Expose the State to Improper Payments*, June 4, 2010.

example of a cover letter for a settlement release from the Claims Bureau, which includes language stating that the settlement requires formal review and approval by the Board of Supervisors and the Mayor.

### **Recommendations**

The Office of the City Attorney should:

2. Include language in its settlement release form or in a cover letter to be attached to all settlement documents stating that settlement amounts exceeding \$25,000 are contingent on the approval of the City Attorney, department, and Board of Supervisors.
3. Ensure that adjusters, investigators, and attorneys are trained that language stating that settlement amounts exceeding \$25,000 are contingent on the approval of the City Attorney, department, and Board of Supervisors is compulsory, and advise claimants accordingly.

### **Finding 4 – The City Attorney does not mark settlement release documents with a receipt date or the receiver’s initials upon receipt.**

Contrary to city guidelines, the City Attorney does not mark upon receipt settlement release documents with the date of receipt or the receiver’s initials. Because receipt dates were not documented, CSA calculated how long it took the City Attorney to disburse payments from the latest signature dates available in the sampled settlements. The vast majority (90 percent) of the 49 settlements tested were processed and disbursed within 30 days of the date on which a claimant signed the agreement. However, 5 (10 percent) settlements tested took between 36 and 194 days to process from the release signature date. Without records of the dates settlement release documents were received (or by whom), CSA could not definitively determine how long it took the City Attorney to disburse settlement payments after the receipt of settlement release documents.

The City’s Prompt Payment Guidelines recommend that when an invoice is received, it should be marked with the date of receipt and the initials or name of the person receiving the invoice. Although the Prompt Payment Guidelines apply to invoices, the processes included can be applied to claims settlements to ensure that they are paid promptly. According to the City Attorney, its staff makes every effort to process and pay settlements promptly. Records of dates received can help the City Attorney accurately and easily track the duration a release is outstanding. Not tracking when releases are received enhances the risk that releases will not be accounted for and that a settlement amount may be neglected and unnecessarily delayed.

According to the City Attorney and its current policies and procedures, it is not departmental practice to note the receipt date or receiver of a signed release. According to the Claims Bureau, settled claims are generally processed promptly and if a settlement is not paid, claimants will inquire about it.

## Recommendation

4. The Office of the City Attorney should ensure that all signed release agreements are noted with the receipt date and receiver name upon receipt.

### **Finding 5 – The City Attorney does not submit monthly reports of litigated settlements of \$25,000 or less to all department heads and the Board of Supervisors.**

According to the City Attorney, staff does not submit monthly reports of litigated settlements negotiated for \$25,000 or less to each city department, commission, and the Board of Supervisors. This is contrary to Administrative Code requirements. The City Attorney has the discretion to settle litigation on behalf of a department, provided that the settlement does not exceed \$25,000 and that it has been approved by the head of the department against which the claim was made. According to the City Attorney, its staff provides close-out memorandums to the relevant department for each litigated claim but not to the Board of Supervisors. Also, the City Attorney states that it only provides reports to departments that express interest in receiving monthly reporting of claims and settlements.

According to the Administrative Code, the City Attorney must report monthly to each city department, commission, and the Board of Supervisors all litigation settlements not more than \$25,000. The Administrative Code requires a monthly report that includes details such as the amount demanded and paid, the nature of the incident giving rise to the litigation, and the city department involved. The City Attorney uses CityLaw case management software to digitally log and track cases. The CityLaw claims module offers the capability to generate reports with fields including amount demanded and paid, cause, and department involved.

The reports that the City Attorney does provide to some departments include the requisite details listed in the Administrative Code. However, the Administrative Code mandates that all heads of departments against which the claim was filed and the Board of Supervisors receive this report. Without regular reporting, departments and their commissions do not have a full account of all settlements made on their behalf and the Board of Supervisors has no consistent records of settlements of \$25,000 or less. According to City Attorney staff, the department does not create the reports for every department because department heads are already aware of litigation against their department through close-out memoranda issued for each claim and because City Attorney staff is busy with other responsibilities that take priority over reporting litigated claims amounts to the Board of Supervisors.

## Recommendation

5. The Office of the City Attorney must provide a monthly report of litigated settlements of \$25,000 or less to each city department, commission, and the Board of Supervisors. If that is not feasible, coordinate with each city department, commission, and the Board of Supervisors to determine a reasonable regular reporting schedule for litigated settlements of \$25,000 or less.

The City Attorney's response is attached. CSA will work with the City Attorney to follow up on the status of the recommendations in this memorandum. CSA extends its appreciation to you and your staff who assisted with this assessment. If you have any questions or concerns, please contact me at (415) 554-5393 or [tonia.lediju@sfgov.org](mailto:tonia.lediju@sfgov.org).

cc: City Attorney  
Matthew Rothschild  
Dora Okai

Municipal Transportation Agency  
Tess Navarro  
Elaida Leonardo

Police Department  
Maureen Gannon

Controller  
Ben Rosenfield  
Todd Rydstrom  
Irella Blackwood  
Mamadou Gning  
Sandra Chen  
Amanda Sobrepeña

Board of Supervisors  
Budget Analyst  
Citizens Audit Review Board  
City Attorney  
Civil Grand Jury  
Mayor  
Public Library

## ATTACHMENT: DEPARTMENT RESPONSE

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CITY AND COUNTY OF SAN FRANCISCO



DENNIS J. HERRERA  
City Attorney

OFFICE OF THE CITY ATTORNEY

DIRECT DIAL: (415) 554-4748  
E-MAIL: brittany.feitelberg@sfgov.org

April 2, 2015

Tonia Lediju  
Director of City Audits  
City Hall, Room 476  
1 Dr. Carlton B. Goodlett Place  
San Francisco, CA 94102

Re: Draft assessment memorandum, Claims and Judgments Settlement Payment Controls at the City Attorney Need Improvement

Dear Ms. Lediju:

I have reviewed your office's draft assessment memorandum, Claims and Judgments Settlement Payment Controls at the City Attorney Need Improvement dated April 1, 2015.

I appreciate the hard work that your office has put into the memorandum and the cooperation you have shown with the City Attorney's Claims Division in reaching consensus on how our office can improve its controls.

As to your Recommendations and Responses:

1. Concur. Expected implementation by 10/1/15
2. Concur and adopted.
3. Concur and adopted.
4. Concur and adopted.
5. Concur. Expected implementation by 7/1/15.

Very truly yours,

  
DENNIS J. HERRERA  
City Attorney

For each recommendation, the responsible agency should indicate whether it concurs, does not concur, or partially concurs. If it concur, it should indicate the expected implementation date and implementation plan. If the responsible agency does not concur, it should provide an explanation and an alternate plan of action to address the identified issue.

## RECOMMENDATIONS AND RESPONSES

Recommendation	Response
The Office of the City Attorney should:	
1. Create and implement detailed written policies and procedures that instruct Claims Bureau staff on how all unlitigated claims settlements are to be processed with regard to settlement amounts exceeding \$25,000 and communications with different departments.	Concur. Expected implementation by 10/1/15.
2. Include language in its settlement release form or in a cover letter to be attached to all settlement documents stating that settlement amounts exceeding \$25,000 are contingent on the approval of the City Attorney, department, and Board of Supervisors.	Concur and adopted.
3. Ensure that adjusters, investigators, and attorneys are trained that language stating that settlement amounts exceeding \$25,000 are contingent on the approval of the City Attorney, department, and Board of Supervisors is compulsory, and advise claimants accordingly.	Concur and adopted.
4. Ensure that all signed release agreements are noted with the receipt date and receiver name upon receipt.	Concur and adopted.
5. Provide a monthly report of litigated settlements of \$25,000 or less to each city department, commission and the Board of Supervisors. If that is not feasible, coordinate with each city department, commission, and the Board of Supervisors to determine a reasonable regular reporting schedule for litigated settlements of \$25,000 or less.	Concur. Expected implementation by 7/1/15.



# SAN FRANCISCO PLANNING DEPARTMENT

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## NOTICE OF HEARING ON APPEAL OF PRELIMINARY NEGATIVE DECLARATION

April 15, 2015

You are hereby notified of a hearing to be held by the San Francisco Planning Commission on an appeal concerning the environmental review of the following project:

**File No. 2014.0653E: Agreement for Disposal of San Francisco Municipal Solid Waste at Recology Hay Road Landfill in Solano County**

An initial evaluation conducted by the San Francisco Planning Department determined that the proposed project **COULD NOT** have a significant effect on the environment, and that no environmental impact report is required. Accordingly, a **PRELIMINARY NEGATIVE DECLARATION** has been prepared.

This determination by the Department has been appealed to the San Francisco Planning Commission, which will hold a public hearing on this appeal and other matters in Room 400, City Hall, 1 Dr. Carlton B. Goodlett Place, San Francisco, California. This appeal is scheduled for a public hearing on **April 23, 2015**, beginning at 1:30 p.m. or later. At that time, the hearing will be **proposed for continuance to May 21, 2015**. For a more specific time, please call (415) 558-6422 for a recorded message the week of the hearing.

If you have any questions concerning this matter, please call me at (415) 575-9038.

Sincerely,

Paul Maltzer  
Senior Planner

- cc: Bulletin Board
- J. Levine
- D. Kromm
- D. Tam
- Project Sponsor
- Clerk, Board of Supervisors
- Distribution List

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**From:** Board of Supervisors, (BOS)  
**To:** BOS-Supervisors; Ausberry, Andrea  
**Subject:** File 150271 FW: Sup. Yee's legislation to change density / zoning in D7/D11 on Ocean Ave

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**From:** [gyoshev@gmail.com](mailto:gyoshev@gmail.com) [<mailto:gyoshev@gmail.com>] **On Behalf Of** Hristo Gyoshev  
**Sent:** Friday, April 17, 2015 5:19 PM  
**To:** Board of Supervisors, (BOS)  
**Subject:** RE: Sup. Yee's legislation to change density / zoning in D7/D11 on Ocean Ave

Supervisor Norman Yee has submitted legislation, that looks at rezoning parcels along Ocean Ave to NCT. This would remove unit density restrictions based on lot size, and rely on height limits to control density.

Heights and changes in rezoning are being pushed (in part by development interests) without real changes in infrastructure such as the trains, frequency, capacity and right of way.

Congestion along the Ocean Ave Corridor is increasing, among other reason, due to the CCSF, SFPUC property at the Balboa Reservoir, and already-taking-place increase in density in the western side of SF.

PLEASE make sure a plan is under way (NOT to be considered or debated) for fixing the existing congest, before passing legislation that would further increase the density.



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**From:** Board of Supervisors, (BOS)  
**To:** BOS-Supervisors  
**Subject:** FW: AirBnB and Uber

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**From:** Hannah Crutcher [[mailto:hannah\\_crutcher13@yahoo.com](mailto:hannah_crutcher13@yahoo.com)]  
**Sent:** Wednesday, April 15, 2015 11:33 AM  
**To:** Board of Supervisors, (BOS)  
**Subject:** AirBnB and Uber

1. Based on my neighborhood experience with **AirBnB**, we support David Campo's current, more restrictive AirBnB legislation. The negative neighborhood impact is significant - the total dynamics of a friendly community change. Quite frankly, in District 1, we noticed more out-of-town travelers exiting homes and apartments than neighbors. Our key objective in relocation was to find an HOA (District 2) that prohibits short-term rentals. While I appreciate the additional income that both owners and renters receive, their gain should not be at the loss of residents.

2. Frankly, I abhor the unsafe driving on SF roads with **Uber and Lyft** drivers - more so Uber since they have more drivers. If I see a taxi or limo driving unsafely, I can easily take note of the company, the cab no or TCP number. However, when the Uber/Lyft driver exhibits unsafe driving skills, it is impossible to report because the cars are not identified by a number. It is not even safe for the aggrieved drivers to try and take a photo of the Uber driver's license plate. I have witnessed the following within a 7 day period: Uber/Lyft driver unsafely tailgating on California to meet a pick up, driver blocking traffic on narrow street, such as Clay, Sacramento or Washington on Nob Hill, and suddenly turning left from the far right lane heading west to make a U turn across three lanes of traffic to pick up a fare heading east.

Given the above, as you continue to evaluate the merits of Uber and Lyft, please also consider the safety of other drivers and passengers. Please insist that those "employee" drivers be given large, numbered signs that are easily visible so any unsafe driving can easily be reported. Those services should at a minimum abide by the safety and identification standards required by other pay-for-service drivers.

Please help us take back our streets and neighborhoods. Also, please be sure to collect all those taxes!

Regards,  
Hannah and Larry Crutcher

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**From:** Board of Supervisors, (BOS)  
**To:** BOS-Supervisors; BOS Legislation (BOS)  
**Subject:** File 150378 FW: Please OPPOSE Ordinance No.

**From:** Joanne Smith [mailto:[elphyjs@gmail.com](mailto:elphyjs@gmail.com)]  
**Sent:** Saturday, April 18, 2015 3:32 PM  
**To:** Board of Supervisors, (BOS)  
**Subject:** Please OPPOSE Ordinance No. 150919

Dear Members of the Board of Supervisors,

Please accept this letter as a formal letter of opposition to ending the elephant ride at the Kern County Fair and add it as a matter of public record to be included in any hearing, study and/or report pertaining to this issue.

I have worked with elephants for 26 years both in the zoo field and in the private sector. The guide (bullhook/ankus) is a training tool. It is widely accepted by United States Department of Agriculture-Animal and Plant Health Inspection Services (USDA-APHIS), the American Veterinary Medical Association (AVMA), the Elephant Managers Association (EMA), the International Elephant Foundation (IEF), American Zoological Association (AZA), and the Zoological Association of America (ZAA).

Animal extremist groups are attempting to vilify the guide because they do not agree with animals in human care.

There are many regulatory agencies that oversee elephants and ensure the humane treatment such as USDA-APHIS, United States Department of Fish and Game (USDFG), and the California Department of Fish and Game (CDFG). There are also regulatory agencies at the county and city level.

Please consider opposing Ordinance No. 15019 as it will do nothing to ensure care of elephants, rather it will hinder the excellent care that the elephants deserve.

Please visit <https://vimeo.com/81361105> for a very short video to learn more about how the guide is used. There are other videos available at: <https://vimeo.com/user23318881>.

Thank you for your consideration,

Joanne Smith  
P. O. Box 719  
Lake Elsinore, CA 92531  
951-206-9456

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**From:** Board of Supervisors, (BOS)  
**To:** BOS Legislation (BOS)  
**Subject:** File 150378 FW: Please oppose performing animal ban Resolution 150378

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**From:** WithAnHConley [<mailto:withanhconley@gmail.com>]  
**Sent:** Monday, April 20, 2015 11:28 AM  
**To:** Board of Supervisors, (BOS)  
**Cc:** Avalos, John (BOS); Breed, London (BOS); Campos, David (BOS); Christensen, Julie (BOS); Cohen, Malia (BOS); Farrell, Mark (BOS); Kim, Jane (BOS); Mar, Eric (BOS); Tang, Katy (BOS); Wiener, Scott; Yee, Norman (BOS)  
**Subject:** Please oppose performing animal ban Resolution 150378

Dear Honorable Board of Supervisors,

I am writing to you today to urge you to oppose the proposed ban on performing animals in San Francisco, resolution 150378.

I am an animal lover and circus fan and speak from experience when I say that it is only a small faction of well-organized special interest groups that supports drastic action like banning performing animals from the city.

The animals are the highlight of events for many families. Performing animals are regulated from the federal level via the USDA all the way to the local level, making sure a positive and healthy environment is the only one the animals know. A ban by San Francisco would not only be superfluous but it would egregiously punish people who have done nothing wrong. Moreover, having an endangered species like the Asian elephant in the public eye where people of all ages can experience them and fall in love benefits not only circus patrons but the elephants themselves. The experience of seeing, touching, and riding an elephant is not easily forgotten, therefore when the opportunity comes up to give support for saving this endangered species people will be more willing to take action. Without a personal experience or memory it is all too easy to turn a blind eye or pretend you don't see the need. Experiencing elephants in all levels makes an impact that can have positive reverberations for elephants across the globe.

Before you allow animal rights extremists to form your opinion on animal care, let me tell you a little bit about animal rights extremist organizations like PETA and ADI:

- In 2003 the African country Swaziland allowed two American zoos to rescue elephants as an alternative to Swaziland shooting them to alleviate a strain on their resources. PETA sued the U.S. Department of the Interior, the Fish & Wildlife Service, and the San Diego Zoo in order to block the Swazi animals' importation. In a U.S. District Court hearing on August 6, 2003, PETA's attorney told a federal judge that her client thought seeing elephants "euthanized [killed] in Swaziland" would be "a better outcome than to have these elephants live the rest of their lives in captivity." PETA apparently believes bringing joy to children is a fate worse than death for an elephant.
- In 2001 PETA's President Ingrid Newkirk told ABC news: "I openly hope that it [hoof-and-mouth disease] comes here. It would be good for animals, good for human health and good for the environment."
- In 1988 Newkirk also told Newsday: "In the end, I think it would be lovely if we stopped this whole notion of pets altogether."

In this climate it is easy to give in to a few, militant complainers in order to try to try to give a quick fix and create peace, but let's be serious: animal rights extremists and their organizations like PETA will not stop at

eliminating performing animals in the circus. From the pony rides to livestock to the service animals helping citizens every animal is a target for these extremists. Capitulating to their demands on this issue would only embolden their efforts to eliminate animals in human care altogether.

If you enjoy seeing animals at the zoo, own a pet, or eat bacon you are on the opposite side from groups like PETA, and it can only be detrimental to the human experience and animals anywhere to give in to their demands.

Sincerely,

Sarah Conley  
Chair, Animal Welfare Committee  
Circus Fans Association of America

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**From:** Board of Supervisors, (BOS)  
**To:** BOS-Supervisors; BOS Legislation (BOS)  
**Subject:** File 150375 FW: Please vote yes on the resolution to oppose fast-tracking of TPP/TAFTA/TISA

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**From:** Gayle McLaughlin [<mailto:Gayle@definingourdestiny.net>]  
**Sent:** Sunday, April 19, 2015 11:36 AM  
**To:** Board of Supervisors, (BOS)  
**Subject:** Please vote yes on the resolution to oppose fast-tracking of TPP/TAFTA/TISA

Dear SF Board of Supervisors:

I want to urge you to vote "yes" on the resolution brought forward by Supervisor Avalos on your Tuesday, April 21 agenda, opposing the fast-tracking of TPP and other similar agreements.

I brought forward a similar resolution that was approved by the Richmond City Council on February 17, 2015. It is very important that as many cities and counties express our united opposition to these deeply flawed agreements, which will take away aspects of our power on a local level and will harm the future of our working families.

Richmond was glad to join many other cities in opposing the fast-tracking of such harmful agreements which will only give more power to corporations. I am very hopeful that the City/County of San Francisco will join us!

My best,

*Gayle McLaughlin*  
*Councilmember, City of Richmond*  
*440 Civic Center Plaza*  
*Richmond, CA*  
*(510)620-5431*  
*[Gayle@definingourdestiny.net](mailto:Gayle@definingourdestiny.net)*

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**From:** Board of Supervisors, (BOS)  
**To:** BOS-Supervisors; Ausberry, Andrea  
**Subject:** File 141298 FW: Land Use and Transportation Comm Meeting Item (Agenda #141298 - Various Codes - Noise Regulations Relating to Residential Uses Near Places of Entertainment)

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**From:** Catherine Lee [mailto:videovision\_cml@yahoo.com]  
**Sent:** Sunday, April 19, 2015 12:35 PM  
**To:** Board of Supervisors, (BOS); Kim, Jane (BOS); Wiener, Scott; Cohen, Malia (BOS)  
**Cc:** BreedStaff, (BOS); Catherine Lee  
**Subject:** Land Use and Transportation Comm Meeting Item (Agenda #141298 -Various Codes - Noise Regulations Relating to Residential Uses Near Places of Entertainment)

[To: Board.of.Supervisors@sfgov.org](mailto:Board.of.Supervisors@sfgov.org) ; [Jane.Kim@sfgov.org](mailto:Jane.Kim@sfgov.org); [Scott.Wiener@sfgov.org](mailto:Scott.Wiener@sfgov.org);  
[Malia.Cohen@sfgov.org](mailto:Malia.Cohen@sfgov.org);

CC: [Breedstaff@sfgov.org](mailto:Breedstaff@sfgov.org)

**Subject: Land Use and Transportation Comm Meeting Item (Agenda #141298 -Various Codes - Noise Regulations Relating to Residential Uses Near Places of Entertainment)**

Dear members of the Land Use Committee Supervisor Weiner, Supervisor Kim and Supervisor Cohen,

I cannot attend the 4/20/15 meeting of the Land Use Committee so please accept these comments in advance of the meeting via email.

I strongly support the planning code change proposed for the benefit of live music and entertainment in San Francisco, for both the residents of the City across all neighborhoods, and for the visitors to SF who understand The City to be a place of culture with entertainment and the arts.

The existing clubs, venues, and various places that we gather in to play music, perform in, and to enjoy arts and culture deserve our support. They are vital to each neighborhood. We usually only live in one neighborhood, but enjoy the bounty of many neighborhoods in all the districts when we participate in cultural events.

Each venue has someone willing to risk time and money to present performances which benefit The City as a whole - not just as a neighborhood. Venues need all the protections and benefits we can give them, and if they already exist and have labored to be successful, they have given TO San Francisco as a community.

We shouldn't punish them for success, like when many patrons attend, and a neighbor dislikes the gathering of people outside the venue. The minor inconvenience that neighbors to a venue cite as problems are a single interest versus the cultural interests of many who attend, pay, and enjoy music, entertainment, and cultural events.

Please update the planning code to reflect the value of our existing venues and make the burden of noise and gathering issues be part of the developers and sellers/buyers burden. They need to respect the community they are building into. Planning for the culture of a neighborhood should be part of their planning process and new housing should do NO HARM

to our cultural venues and traditions, which includes many forms of art: from drag shows to rap battles to literary readings.

Please do not be deceived by the developers argument that it will cost too much - that's simply part of the building budget they need to manage. This bill is NOT relevant to a housing discussion. It IS vitally important to maintain the character of The City to support venues of all sizes and aspirations to maintain San Francisco as a cultural destination.

I support and attend music and cultural events in the neighborhoods at all of the following on a regular basis: Bottom of the Hill, The Elbo Room, The Independent, Benders, Milk Bar, Hemlock, Thee Parkside, Cafe du Nord, The Fillmore, Amnesia, Club 1015, and more. I regularly attend Litquake, Hardly Strictly Bluegrass, Phono del Sol, and more.

Sincerely,  
Catherine Lee  
Registered Voter - District 10 (94110)

Details:

Land Use Committee hearing at City Hall, 4/20/15 (Agenda item #3) and the public is encouraged to provide in-person *or written comments, to be submitted by the time of the hearing.*

**Bill Language (Agenda #141298 -Various Codes - Noise Regulations Relating to Residential Uses Near Places of Entertainment):**

Ordinance amending the Building, Administrative, Planning, and Police Codes to require attenuation of exterior noise for new residential structures and acoustical analysis and field testing in some circumstances; to provide that a Place of Entertainment (POE) not become a public or private nuisance on the basis of noise for nearby residents of residential structures constructed or converted on or after January 1, 2005; to authorize the Entertainment Commission to hold a hearing on a proposed residential use near a POE, and require the project sponsor's participation in the hearing; to authorize the Entertainment Commission to measure noise conditions at such project sites and provide comments and recommendations regarding noise to the Planning Department and Department of Building Inspection; to require lessors and sellers of residential property to disclose to lessees and purchasers potential noise and other inconveniences associated with nearby POEs; to require that such disclosure requirements be recorded against all newly approved residential projects in a Notice of Special Restrictions; to require the Planning Department and Commission to consider noise issues when reviewing proposed residential projects; and to specify factors concerning noise for the Entertainment Commission to review when considering granting a POE permit; making environmental findings, and findings of consistency with the General Plan, and the eight priority policies of Planning Code, Section 101.1, and findings of local conditions under California Health and Safety Code, Section 17958.7; and directing the Clerk of the Board of Supervisors to forward the Ordinance to the State Building Standards Commission upon final passage.

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**From:** Board of Supervisors, (BOS)  
**To:** BOS-Supervisors; Ausberry, Andrea  
**Subject:** File 141298 FW: support for London Breed's legislation

-----Original Message-----

From: joe [mailto:jzarmin@yahoo.com]  
Sent: Monday, April 20, 2015 11:12 AM  
To: Board of Supervisors, (BOS)  
Subject: support for London Breed's legislation

Hi,  
I would like to express my support for London Breed's legislation to protect nightlife in San Francisco. I live in Bernal Heights, first moved here in 1989 and nightlife, live music is a big reason I moved to this city. None of my friends nor myself have any understanding how new residential developments that are allowed to be built next to already existing nightlife venues are allowed to complain and sometimes harass the establishments which were already there to begin with. Not every neighborhood should become residential. If this is not allowed to remain a mixed use city, then it will become a residential suburb.

thank you

Joe Armin  
Bernal Heights



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**To:** BOS-Supervisors  
**Subject:** FW: Memo for File #140443  
**Attachments:** TAY Rebase Memo - FINAL 4.17.15.pdf

**From:** Delgado, Nicholas (CON)  
**Sent:** Monday, April 20, 2015 9:13 AM  
**To:** Wong, Linda (BOS)  
**Subject:** Memo for File #140443

Hello Linda

Proposition C, approved this past November, required the Controller's Office to perform a calculation of City appropriations for the development of a baseline for children's services. Our office has developed the attached memo for the File explaining the requirements, the calculation as well as providing the baseline amount.

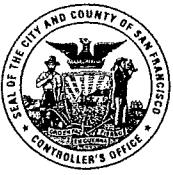
Can you help me understand how I can go about including this in File #140443?

Thanks  
Nick

Nicholas Delgado  
Office of the Controller  
Budget and Analysis Division  
City and County of San Francisco  
415-554-7575



<http://sfcontroller.org/>




Ben Rosenfield  
Controller

Todd Rydstrom  
Deputy Controller

## MEMORANDUM

**TO:** The Honorable Board of Supervisors  
Clerk of the Board

**FROM:** Ben Rosenfield, Controller 

**DATE:** April 17, 2015

**SUBJECT:** Children's Baseline – Disconnected Transitional Aged Youth  
File: 140443

Proposition C, approved by voters in the November 2014 general election, amended Section 16.108 and added new section 16.108-1 to the City Charter. Among other changes, the amendment requires the Controller's Office to calculate City appropriations made in FY 2013-14 for services to Disconnected Transitional-Aged Youth (TAY), known as the TAY Baseline, and add the appropriations to the existing Children and Youth Fund Baseline.

To determine the baseline, the Controller's Office Budget and Analysis Division (BAD) contacted all City departments for information on FY 2013-14 TAY eligible appropriations according to the criteria listed in the charter amendment and included in Attachment 1. After validating department responses against eligibility criteria we summed the appropriations to arrive at \$14.6 million or 0.580% of Aggregate Discretionary Revenue (ADR) appropriated in FY 2013-14.

To track eligible appropriations moving forward, the Controller's Office created a new program in the accounting system (FAMIS) coded FAY and loaded eligible FY 2015-16 appropriations in the base budget into this program. Table 1 on the following page lists the eligible appropriations by department for FY 2013-14 and FY 2015-16.

To calculate eligible appropriations the Controller's Office made the following interpretations around eligibility criteria:

1. The list of eligible services, section 16.108(e), were assumed as examples of eligible services rather than an exhaustive list. The list of excluded services was treated as an exhaustive list of excludable services; services not explicitly on that list were not excluded. Examples:
  - a. Eligible uses include: a) transitional housing placement, homeless shelter services, and employment health and housing education programs for TAY provided by the Human Services Agency (HSA); b) alternative education, secondary prevention, diversion, and detention alternatives for TAY provided by the Department of Children, Youth and Families.
  - b. Ineligible services include: a) incidental services provided to TAY by the Recreation and Parks Department and job training services provided by the Department of Public Works; and b) case management services provided by the Adult Probation Department..

2. Services supported by the General Fund and other discretionary local sources such as the Library property tax setaside were included. State, federal or private grant non-discretionary supported services were excluded. For example, services provided by the Department of Public Health that are supported by State 2011 Realignment subventions are not included in the baseline.
3. Services supported by workorders were included if the source of funding could be shown to be the General Fund or other discretionary local sources.

Table 1 summarizes departmental appropriations for TAY for FY 2013-14, known as the TAY baseline, and the budgeted eligible appropriations for FY 2015-16 as a percentage of ADR.

<b>Table 1 - Baseline Eligible Appropriations (\$M)</b>			
<b>Department</b>	<b>FY 2013-14</b>	<b>FY 2014-15</b>	<b>FY 2015-16</b>
CHF	\$ 3.1	\$	3.1
DPH	\$ 5.4	\$	5.3
DPW	\$ 0.4	\$	0.4
DSS	\$ 5.5	\$	6.9
LIB	\$ -	\$	0.3
MYR	\$ 0.2	\$	0.2
REC	\$ 0.0	\$	-
WOM	\$ 0.1	\$	0.2
<b>Total</b>	<b>\$ 14.6</b>	<b>\$</b>	<b>16.3</b>
<b>Budgeted ADR</b>	<b>\$ 2,523.5</b>	<b>\$ 2,766.7</b>	<b>\$ 2,786.6</b>
<b>Baseline Amount</b>	<b>\$ 14.6</b>	<b>\$</b>	<b>16.2</b>
<b>% of ADR</b>	<b>0.580%</b>		<b>0.580%</b>

cc: Budget Analyst  
 Mayor's Budget Office