

FILE NO. 160303

Petitions and Communications received from March 28, 2016, through April 4, 2016, for reference by the President to Committee considering related matters, or to be ordered filed by the Clerk on April 12, 2016.

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 Mayor Lee, regarding the following Charter, Section 3.100(18), appointment to the Human Rights Commission. (1)

Andrea Sanchez - term ending September 2, 2019

From Clerk of the Board, submitting annual Surplus City Property report. (2)

From the Office of the Controller, regarding its audit of the Public Administrator and Public Guardian divisions of the Department of Aging and Adult Services (DAAS).
Copy: Each Supervisor. (3)

From Clerk of the Board, reporting that the following individuals have submitted Form 700 Statements: (4)

Sunny Angulo - Legislative Aide - Annual
April Ang - Legislative Aide - Annual
Sheila Chung Hagen - Legislative Aide - Annual
Victor Lim - Legislative Aide - Annual
Jennifer Low - Legislative Aide - Annual
Samantha Roxas - Legislative Aide - Assuming Office
Lee Hepner - Legislative Aide - Assuming Office
Jess Montejano - Legislative Aide - Annual
Nickolas Pagoulatos - Legislative Aide - Annual
Dyanna Quizon - Legislative Aide - Annual
Raquel Redondiez - Legislative Aide - Annual
Beth Rubenstein - Legislative Aide - Annual
Adam Taylor - Legislative Aide - Annual
Mawuli Tugbenyoh - Legislative Aide - Annual
Junko Laxamana - Administrative Manager - Annual
Victor Young - SOTF Administrator - Annual
Severin Campbell - Budget and Legislative Analyst - Annual
Alisa Somera - Legislative Deputy Director - Assuming Office

From the Work Group to Re-envision the Jail Replacement Project, regarding project update. Copy: Each Supervisor. (5)

From various organizations, regarding proposed Paid Parental Leave ordinance. File No. 160065. 2 letters. Copy: Each Supervisor. (6)

From San Francisco Human Rights Commission, regarding California State Bill AB 1887, a ban of State funded travel to states with anti-LGBT laws. Copy: Each Supervisor. (7)

From Office of the Sheriff, submitting Waiver Request for Rapid Notify, Inc. Copy: Each Supervisor. (8)

From SFFSRE, LLC, regarding application for Liquor License for 447 Bush Street. File No. 160301. (9)

From Commission of Animal Control and Welfare, regarding Certificate of Participation proposal for Animal Care and Control facility. Copy: Each Supervisor. (10)

From National Park Service/Golden Gate National Recreation Area (NPS/GGNRA), regarding Environmental Assessment of Pacific Gas & Electric (PG&E) Gas Line-109 Pipeline Replacement Project. Copy: Each Supervisor. (11)

From Gray Panthers of San Francisco, regarding Tasers for San Francisco Police. (12)

From concerned citizens, regarding reappointment of Cristina Rubke to SFMTA Board of Directors. 2 letters. Copy: Each Supervisor. (13)

From Office of the City Administrator Contract Monitoring Division, regarding Local Business Enterprise ("LBE") Contracting Report for FY2015/2016 first and second quarters. Copy: Each Supervisor. (14)

From Library Users Association, regarding Library fee proposed at San Francisco Public Library. Copy: Each Supervisor. (15)

From Senior and Disability Action, regarding proposed legislation for mandatory disability access improvements. File No. 150732. Copy: Each Supervisor. (16)

OFFICE OF THE MAYOR
SAN FRANCISCO



ORIG: Rules
C: COB, Leg. Dep, Dep. C.A.
C page, AC File
EDWIN M. LEE
MAYOR

Notice of Appointment

March 28, 2016

San Francisco Board of Supervisors
City Hall, Room 244
1 Carlton B. Goodlett Place
San Francisco, California 94102

RECEIVED
BOARD OF SUPERVISORS
SAN FRANCISCO
2016 MAR 28 PM 4:39
BY [Signature]

Honorable Board of Supervisors:

Pursuant to Section 3.100 (18) of the Charter of the City and County of San Francisco, I hereby make the following appointment:

Andrea Sanchez, to the Human Rights Commission, for a term ending September 2, 2019.

I am confident that Ms. Sanchez, an elector of the City and County, will serve our community well. Attached are her qualifications to serve, which will demonstrate how this appointment represents the communities of interest, neighborhoods and diverse populations of the City and County of San Francisco.

Should you have any questions related to this appointment, please contact my Director of Appointments, Nicole Elliott at (415) 554-7940.

Sincerely,

A handwritten signature in cursive script, appearing to read "Edwin M. Lee".

Edwin M. Lee
Mayor

OFFICE OF THE MAYOR
SAN FRANCISCO



EDWIN M. LEE
MAYOR

March 28, 2016

Angela Calvillo
Clerk of the Board, Board of Supervisors
San Francisco City Hall
1 Carlton B. Goodlett Place
San Francisco, CA 94102

Dear Ms. Calvillo,

Pursuant to Section 3.100 (18) of the Charter of the City and County of San Francisco, I hereby make the following appointment:

Andrea Sanchez, to the Human Rights Commission, for a term ending September 2, 2019.

I am confident that Ms. Sanchez, an elector of the City and County, will serve our community well. Attached are her qualifications to serve, which will demonstrate how this appointment represents the communities of interest, neighborhoods and diverse populations of the City and County of San Francisco.

Should you have any questions related to this appointment, please contact my Director of Appointments, Nicole Elliott at (415) 554-7940.

Sincerely,

A handwritten signature in cursive script, appearing to read "Edwin M. Lee".

Edwin M. Lee
Mayor

Andrea Nill Sánchez

1801 Gough Street, Apt. 408 • (585) 770-4486 • andreacnill@gmail.com

EXPERIENCE

Keker & Van Nest: San Francisco, CA (Summer 2013) (January 2016 – present)
Associate

Staff an array of civil and criminal matters at all stages of litigation, covering topics such as antitrust, copyright, trade secrets, and asylum law. Draft motions and briefs filed in federal district court and the California Court of Appeal. Manage pro bono client relationship.

U.S. Federal District Court, Southern District of New York: Manhattan, NY (2014 – 2015)
Law Clerk to the Hon. Edgardo Ramos

Conducted research, prepared bench memoranda and drafted opinions on a wide range of issues, including securities fraud, foreign sovereign immunity, civil rights under Section 1983, employment discrimination under Title VII and Section 1981, federal sentencing guidelines, and various matters under the Federal Rules of Civil Procedure.

U.S. Attorney's Office, Criminal Division: San Francisco, CA; New Haven, CT (Summer 2012) (Fall 2012)
Law Clerk

Prepared research memoranda for the Organized Crime Strike Force and Gang unit. Independently managed and prosecuted a personal caseload of federal misdemeanors in federal magistrate court. Participated in proffer sessions. Authored major portions of a brief filed in the Second Circuit Court of Appeals.

Center for American Progress: Washington, DC (2009 – 2011)
Immigration Researcher and Reporter

Authored daily articles containing policy and political analysis for Think Progress, one of the most widely read political online news journals. Provided coverage of immigration, Latin America, civil rights, and Latino issues. Served as a spokesperson for print and television media. Interviewed high-level government officials including federal representatives, cabinet-level secretaries and state governors.

Immigration Policy Center: Washington, DC (2008 – 2009)
Communications Associate

Founded, wrote and edited Immigration Impact, the first immigration news site of its kind. Researched, drafted, and copyedited communications and marketing materials. Served as a Spanish-language spokesperson.

United Food & Commercial Workers Union: Washington, DC (2006 – 2008)
Bilingual Communications Specialist

Wrote and edited communications materials in English and Spanish. Organized and conducted media pitching and press events. Crafted and managed bilingual communication strategies for major organizing campaigns.

EDUCATION

Yale Law School J.D., 2014

Activities: Latino Law Students Association (*co-chair*); Yale Journal on Regulation (*senior editor*); Graduate Affiliate at Jonathan Edwards College

Cornell University, College of Arts and Sciences, B.A., *magna cum laude* in Government, 2006

PUBLICATIONS AND APPEARANCES

Publications

Mexico's Drug "War": Drawing a Line Between Rhetoric and Reality, 38 YALE J. INT'L L. 467 (2013).

Latinos and SB-1070: Demonization, Dehumanization, and Disenfranchisement, 12 HARV. LATINO L. REV. 35 (2011).

Appearances

Cited by outlets such as the New York Times, Atlantic Monthly, Washington Post, and the Rachel Maddow Show. Appeared on Univision, CNN Español, and Telemundo. Featured panelist at conferences hosted by the National Council of La Raza, the National Immigration Law Center, Grantmakers Concerned With Immigrants and Refugees, and Netroots Nation.

SKILLS AND INTERESTS

Fluent in English and Spanish. Intermediate knowledge of Portuguese.

Avid dog owner. Voracious consumer of mass media. Enjoy pundits, podcasts, and binge-watching television dramas.

BOARD of SUPERVISORS



CPAGE
City Hall
Dr. Carlton B. Goodlett Place, Room 244
San Francisco 94102-4689
Tel. No. 554-5184
Fax No. 554-5163
TDD/TTY No. 544-5227

MEMORANDUM

Date: April 1, 2016
To: Naomi M. Kelly, City Administrator
From: *MC* Angela Calvillo, Clerk of The Board
Subject: Surplus City Property

Section 23A.5 of the Administrative Code requires departments to compile and deliver by April 1 of each year to the City Administrator a list of all real property that it occupies or is otherwise under its control.

The Board of Supervisors/Office of the Clerk of the Board does not have any real City property under its jurisdiction and/or control.

From: Reports, Controller (CON)
Sent: Tuesday, March 29, 2016 2:58 PM
To: Calvillo, Angela (BOS); BOS-Supervisors; BOS-Legislative Aides; Kawa, Steve (MYR); Leung, Sally (MYR); Howard, Kate (MYR); Gosiengfiao, Rachel (BOS); Falvey, Christine (MYR); Elliott, Jason (MYR); Steeves, Asja (CON); Campbell, Severin (BUD); Newman, Debra (BUD); Rose, Harvey (BUD); SF Docs (LIB); CON-EVERYONE; MYR-ALL Department Heads; CON-Finance Officers; gmetcalf@spur.org; bob@sfchamber.com; jballesteros@sanfrancisco.travel; McSpadden, Shireen (HSA) (DSS); Warren, Mary Ann (HSA) (DSS); Abbeduto, James (HSA) (DSS); Badasow, Bridget (DSS) (DSS); Tucker, John (MYR)
Subject: Issued: DAAS: Insufficient Inventory Tracking and Supervisory Practices Increase the Risk That Inventory Will Be Lost or Misappropriated

The Office of the Controller's City Services Auditor Division (CSA) today issued a report on its audit of the Public Administrator and Public Guardian divisions of the Department of Aging and Adult Services (DAAS). The audit found that DAAS does not appropriately maintain records or segregate duties to control the risk of theft or loss of client property.

To view the full report, please visit our website
at: <http://openbook.sfgov.org/webreports/details3.aspx?id=2290>

This is a send-only e-mail address. For questions about the report, please contact Director of City Audits Tonia Lediju at tonia.lediju@sfgov.org or 415-554-5393 or the CSA Audits Unit at 415-554-7469.

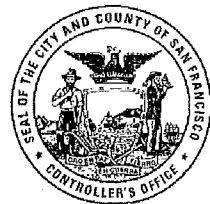
Follow us on Twitter @SFController

City and County of San Francisco

Office of the Controller – City Services Auditor

DEPARTMENT OF AGING AND ADULT SERVICES:

**Insufficient Inventory Tracking
and Supervisory Practices and
Failure to Segregate Duties
Increase the Risk That Inventory
Will Be Lost or Misappropriated
Without Detection**



March 29, 2016

**OFFICE OF THE CONTROLLER
CITY SERVICES AUDITOR**

The City Services Auditor Division (CSA) was created in the Office of the Controller through an amendment to the Charter of the City and County of San Francisco (City) that was approved by voters in November 2003. Charter Appendix F grants CSA broad authority to:

- Report on the level and effectiveness of San Francisco's public services and benchmark the City to other public agencies and jurisdictions.
- Conduct financial and performance audits of city departments, contractors, and functions to assess efficiency and effectiveness of processes and services.
- Operate a whistleblower hotline and website and investigate reports of waste, fraud, and abuse of city resources.
- Ensure the financial integrity and improve the overall performance and efficiency of city government.

CSA may conduct financial audits, attestation engagements, and performance audits. Financial audits address the financial integrity of both city departments and contractors and provide reasonable assurance about whether financial statements are presented fairly in all material aspects in conformity with generally accepted accounting principles. Attestation engagements examine, review, or perform procedures on a broad range of subjects such as internal controls; compliance with requirements of specified laws, regulations, rules, contracts, or grants; and the reliability of performance measures. Performance audits focus primarily on assessment of city services and processes, providing recommendations to improve department operations.

CSA conducts audits in accordance with the Government Auditing Standards published by the U.S. Government Accountability Office. These standards require:

- Independence of audit staff and the audit organization.
- Objectivity of the auditors performing the work.
- Competent staff, including continuing professional education.
- Quality control procedures to provide reasonable assurance of compliance with the auditing standards.

For questions regarding the report, please contact Director of City Audits Tonia Lediju at Tonia.Lediju@sfgov.org or 415-554-5393 or CSA at 415-554-7469.

Audit Team: Irella Blackwood, Audit Manager
Mamadou Gning, Audit Manager
Joanna Zywno, Auditor-in-Charge
Joseph Towner, Auditor



City and County of San Francisco

Office of the Controller - City Services Auditor

Department of Aging and Adult Services:

March 29, 2016

Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

Purpose of the Audit

The Office of the Controller's City Services Auditor Division (CSA) audited the Public Administrator and Public Guardian divisions of the Department of Aging and Adult Services (DAAS) to determine whether the department has adequate controls to mitigate risks of loss or theft of client property during property searches and when property is inventoried in the property room. The audit also evaluated the department's adherence to various departmental policies and procedures and property-handling best practices.

Highlights

DAAS does not appropriately maintain records, segregate duties to control the risk of theft or loss of client property, or follow best practices for minimizing risks of theft during property searches, and can further improve security in its property room. Specifically:

- The information in DAAS's inventory system, known as Panoramic, is highly inaccurate and cannot be relied on to determine what inventory should be in DAAS's possession. 75 percent of sampled items listed as inventory in Panoramic were no longer in DAAS's possession, and 71 percent of items sampled in the property room were not listed in Panoramic.
- DAAS does not always document how inventory was disposed of or distributed, making it impossible to determine whether some inventory was properly distributed, lost, or stolen.
- DAAS allows many staff, including those who handle inventory, to edit inventory listings, increasing the risk that inventory could be lost or stolen and records changed to prevent detection.
- DAAS does not follow best practices such as requiring a witness from outside the unit to observe the search, requiring staff to take photos during searches and maintain these as part of case files, or requiring routine supervisory review of case files and photos.
- Although DAAS has taken significant measures since a 2003 audit to improve the security of the property room, it should further improve its control access to the safe combinations and ensure that someone with property room access is present to let employees into the property room when they return from a search.

DAAS does not follow city contracting guidelines, should develop a policy for weighing the costs and benefits of accessing data on electronic devices, and should enforce its own policy on medication handling.

Recommendations

The report includes 21 recommendations for DAAS to improve the accuracy of its inventory system, segregate duties, and follow existing policy or develop new policies to better safeguard client property. Specifically, DAAS should:

- Ensure that it has an accurate inventory list by continually updating Panoramic and conducting inventory counts.
- Document in Panoramic how items were distributed.
- Ensure that employees not involved in tracking, collecting, or safeguarding inventory review case files for completeness and accuracy.
- Consider segregating the duties of inventory handling and inventory record maintenance.
- Create a policy to guide staff in assessing the potential costs and benefits of accessing electronic data.
- Follow city contracting guidelines and enforce its medication-handling policy.

Copies of the full report may be obtained at:

Office of the Controller • City Hall, Room 316 • 1 Dr. Carlton B. Goodlett Place • San Francisco, CA 94102 • 415.554.7500
or on the Internet at <http://www.sfgov.org/controller>

Page intentionally left blank.



CITY AND COUNTY OF SAN FRANCISCO
OFFICE OF THE CONTROLLER

Ben Rosenfield
Controller

Todd Rydstrom
Deputy Controller

March 29, 2016

Aging and Adult Services Commission
Department of Aging and Adult Services
1 Dr. Carlton B. Goodlett Place
San Francisco, CA 94102

Ms. Shireen McSpadden
Executive Director
Department of Aging and Adult Services
1650 Mission Street
San Francisco, CA 94103

Dear Commission President and Members, and Ms. McSpadden:

The Office of the Controller's City Services Auditor Division (CSA) presents its audit report of the client property processes used by the Public Administrator and Public Guardian divisions of the Department of Aging and Adult Services (DAAS). The audit's objectives were to assess the Public Administrator and Public Guardian's internal controls for identifying and securing deceased residents' goods and information and to determine whether the processes the Public Administrator and Public Guardian use to manage the goods and information in their custody sufficiently limit the risk of loss or theft.

The audit concluded that more than 70 percent of the information in DAAS's inventory system is inaccurate. Also, because DAAS does not always document how inventory was disposed of or distributed, it is impossible to determine whether items listed as inventory but not in DAAS's possession, including three items sampled by CSA, were properly distributed, lost, or stolen. The audit also found that DAAS allows the same staff who handle inventory to maintain the inventory record, does not follow best practices for minimizing risks of theft or loss during home searches, and could take additional measures to improve property room security. Also, DAAS does not follow city contracting guidelines in how it engages its service vendors, should develop a policy for weighing the costs and benefits of accessing data on electronic devices, and should enforce its own policy on medication handling.

The report includes 21 recommendations for DAAS to ensure the accuracy of its inventory system, maintain records of how inventory is disposed of or distributed, segregate incompatible duties, review case files, and create or follow existing policies and procedures. DAAS's response to the report is attached as Appendix B. CSA will work with DAAS to follow up on the status of the recommendations made in this report.

CSA appreciates the assistance and cooperation of DAAS staff during the audit. For questions about the report, please contact me at Tonia.Lediju@sfgov.org or 415-554-5393 or CSA at 415-554-7469.

Respectfully,

Tonia Lediju
Director of City Audits

cc: Board of Supervisors
Budget Analyst
Citizens Audit Review Board
City Attorney
Civil Grand Jury
Mayor
Public Library

TABLE OF CONTENTS

Glossary.....	iii
Introduction.....	1
Chapter 1 – DAAS Does Not Appropriately Maintain Records or Segregate Duties to Control the Risk of Loss or Theft.....	11
Finding 1.1. The data in DAAS's inventory system is highly inaccurate and cannot be relied on to determine what inventory should be in DAAS's possession for each case.....	11
Finding 1.2. DAAS does not always document how inventory was disposed of or distributed, making it impossible to determine whether some inventory no longer with DAAS was properly distributed, lost, or stolen.....	17
Finding 1.3. DAAS's failure to appropriately segregate duties increases the risk that inventory will be lost or stolen without detection.....	18
Finding 1.4. DAAS allows many employees to edit inventory listings, increasing the risk that the inventory record, accidentally or intentionally, will be inappropriately changed.....	21
Finding 1.5. DAAS inventory listings are not always sufficiently detailed and sometimes lack information about the location of the item.....	22
Chapter 2 – DAAS Does Not Follow Best Practices for Minimizing Risks of Theft During Property Searches and Can Further Improve Property Room Security.....	25
Finding 2.1. DAAS's procedures for minimizing the risks of theft during searches fall short of best practices.....	25
Finding 2.2. DAAS's property room procedures can be improved to minimize the risk of misappropriation.....	27
Chapter 3 – DAAS Does Not Ensure Vendor Services Meet City Standards.....	31
Finding 3. DAAS does not select vendors according to city requirements and does not ensure that vendor services meet city standards.....	31

Chapter 4 – DAAS Should Develop a Policy for Accessing Data on Electronic Devices and Enforce Its Policy for Handling Medication.....33

 Finding 4.1. DAAS should develop a policy for accessing data on clients’ electronic devices.....33

 Finding 4.2. DAAS does not enforce its policy for handling medication.....34

Appendix A – Implementation of Prior Audit Recommendations.....A-1

Appendix B – Department Response.....B-1

GLOSSARY OF TERMS

City	City and County of San Francisco
Controller	Office of the Controller
CSA	City Services Auditor Division of the Office of the Controller
DAAS	Department of Aging and Adult Services (part of the Human Services Agency)
GAO	United States Government Accountability Office
Inventory	Client property and assets that the Public Administrator and Public Guardian manage
Panoramic	Fiduciary and case management software, provided by Panoramic Software, Inc., that is used by the Public Administrator and Public Guardian divisions
Public Administrator	Public Administrator division of the Department of Aging and Adult Services
Public Guardian	Public Guardian division of the Department of Aging and Adult Services

Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

Page intentionally left blank.

INTRODUCTION

Audit Authority

This audit was conducted under the authority of the Charter of the City and County of San Francisco (City), Section 3.105 and Appendix F, which requires that the City Services Auditor (CSA) of the Office of the Controller (Controller) conduct periodic, comprehensive financial and performance audits of city departments, services, and activities.

Background

The Public Administrator and Public Guardian are divisions of the Department of Aging and Adult Services (DAAS), which is part of the City's Human Services Agency.

The Public Administrator manages the estates of residents who die with no family members able or willing to take care of the decedent's affairs.

The Public Administrator manages the estates of city residents who die with no family members able or willing to take care of the decedent's affairs. The Public Administrator searches for family members and wills, arranges for the disposition of remains, locates and manages all assets, monitors creditor claims, reviews taxes and provides all services necessary to administer each estate through distribution to heirs and beneficiaries.

The Public Guardian serves residents with physical and mental limitations such that they cannot handle basic personal and financial needs.

The Public Guardian is appointed by the San Francisco Superior Court to serve as conservator of San Franciscans who have physical and mental limitations that make them unable to handle basic personal and financial needs. The Public Guardian is responsible for assessing the physical, mental, and financial needs of the client, known as a conservatee, and ensuring appropriate medical, social, and money management services, and shelter. As part of the process, the Public Guardian must locate all of a conservatee's assets and income and arrange for the storage, disposal, or distribution of real and personal property through sale, public auction, or disbursement to relatives.

Laws and Regulations

The Probate Code governs the Public Administrator and Public Guardian's processes.

The work of the Public Administrator and the Public Guardian are governed by the California Probate Code, which provides guidance on the California probate process.

Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

Under the code, public administrators and public guardians of California counties may take possession of conservatees' and decedents' property, including personal and real property¹—and, in the case of public administrators, financial instruments—and administer the property, including by having it appraised and selling it.

Public administrators and public guardians in California are required to pay the debts of a conservatee or decedent from any income in the individual's estate. Public administrators must distribute any remaining property to the decedent's beneficiaries.

According to the state Probate Code, public administrators and public guardians are entitled to receive compensation for their services.

The Public Administrator and Public Guardian inventory and dispose of or distribute clients' assets.

According to DAAS management, as part of their role in administering estates, the City's Public Administrator and Public Guardian search for, inventory, administer, and distribute or dispose of the assets of clients. This can include financial assets, such as bank or investment accounts or Social Security funds, as well as physical assets, such as jewelry, furniture, artwork, and items of sentimental value, such as family photos. In some cases, clients own homes or cars that the Public Administrator or Public Guardian must administer or sell.

Home searches were conducted in 54 percent of Public Guardian and 33 percent of Public Administrator cases.

A portion of the Public Administrator's and Public Guardian's cases result in the collection of inventory or financial assets.

In the sample of cases examined, home searches were conducted in 33 percent of Public Administrator and 54 percent of Public Guardian cases. Home searches were not conducted in cases where:

- Clients lived in residential care facilities or hospitals (44 percent of cases with no search).
- The unit was handled by family or friends (15 percent).
- Clients were homeless or no address for them could be identified (23 percent).
- Other individuals, such as family or roommates,

¹ Real property consists of land and all associated items, such as buildings, crops, or mineral rights.

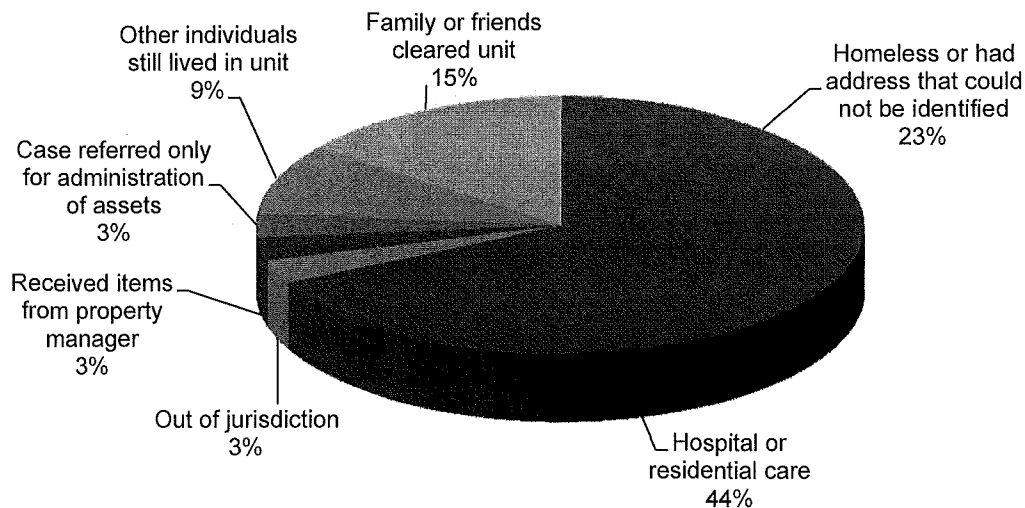
Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

lived in the unit, according to DAAS management (9 percent).

- The property manager had already cleared the unit (3 percent).
- The case was out of the City's jurisdiction (3 percent).
- The case was only referred to the Public Administrator for the administration of assets, according to DAAS management (3 percent).

Exhibit 1 shows the reasons home searches were not conducted even though an address was identified.

EXHIBIT 1 Reasons Home Searches Were Not Conducted Although an Address Was Identified



Source: Auditor's analysis of 34 randomly sampled Public Administrator and Public Guardian cases.

The vast majority (93 percent) of Public Administrator cases have no assets, but one case had more than \$1.1 million in assets. Public Guardian cases have average assets of \$83,773.

Assets, including physical inventory and financial assets, were logged as inventory in only 7 percent of Public Administrator cases but in 77 percent of Public Guardian cases examined.²

Of the Public Administrator's cases sampled:

- 93 percent had no assets of monetary value.
- Two had assets of \$900 to \$1,200.
- One had assets of \$1,160,884.

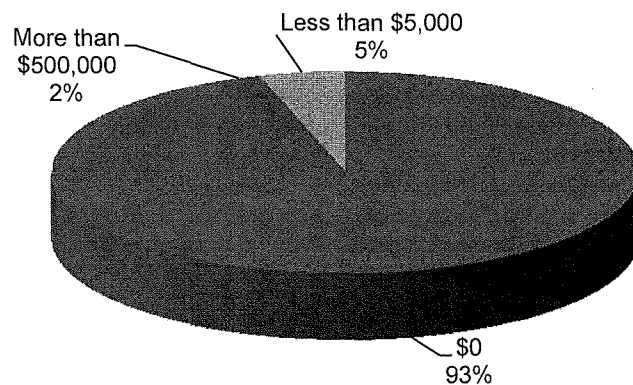
² The Public Administrator and Public Guardian serve different populations, with Public Administrator cases more often serving indigent persons, as observed in a sample of cases CSA reviewed.

Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

For the Public Guardian, the value of assets located ranged from \$0 to \$635,000 and had an average value of \$83,773.

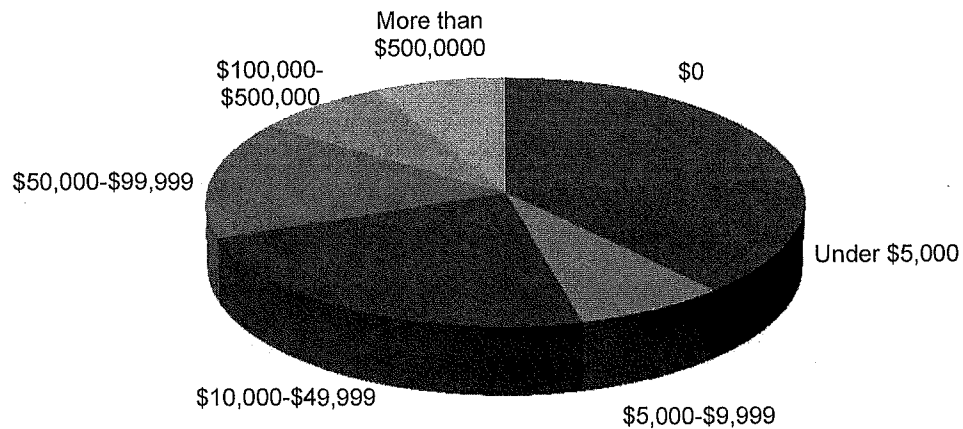
Exhibits 2 and 3 show the distribution of values of client assets in the sample of Public Administrator and Public Guardian cases examined by the audit.

EXHIBIT 2 Inventory Values of Sampled Public Administrator Cases



Source: Auditor's analysis of 42 randomly sampled Public Administrator cases.

EXHIBIT 3 Inventory Values of Sampled Public Guardian Cases



Source: Auditor's analysis of 13 randomly sampled Public Guardian cases.

Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

Referral Process

Most cases are referred to the Public Administrator by the Medical Examiner and hospitals and to the Public Guardian by hospitals or Adult Protective Services.

According to investigators, cases are most often referred to the Public Administrator by the Medical Examiner or hospitals. According to staff, referrals to the Public Guardian are most often made by hospitals or Adult Protective Services.

According to an investigator, the Public Administrator begins a case by searching for the decedent's next of kin to handle the estate. If the decedent's family wants to handle the case themselves, then the Public Administrator's jurisdiction terminates. If not, investigators will handle the case pursuant to the state Probate Code.

Public Administrator and Public Guardian staffs search client homes for documents with information about client assets, relatives, advance directives, and personal identification information.

The Public Guardian petitions the court to be appointed the conservator as the first step after referral. Once appointed to the case, the Public Administrator or Public Guardian will search the client's home looking for safe deposit box keys and documents pertaining to:

- Birth records, baptismal certificates, marriage/death certificates and immigration papers.
- Financial assets, such as bank statements, stock certificates or insurance policy statements.
- Sources of income.
- Home or other real property ownership, such as deeds of trust, mortgage statements, and property tax statements.
- Legal directives, such as a will or advance directive.
- Registration of vehicles.

Items of sentimental value are retained for a conservatee's use or distributed to relatives of the deceased.

The Public Administrator and Public Guardian will also search for information about relatives from items such as address books, letters, photographs, a family bible, and notices in newspaper clippings. The Public Administrator and will collect items of sentimental value for and provide them to heirs. The Public Guardian will collect items of sentimental value for the client's use.

Items may be distributed or sold to provide for the care of a conservatee or pay a decedent's creditors.

The Public Administrator distributes clients' assets, when they exist, to beneficiaries and uses them to pay creditors. The Public Guardian will use assets collected or funds raised through the sale of the conservatee's property to cover the costs of care for the conservatee.

Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

Storage and Tracking of Assets

DAAS stores client property in its property room and logs it in Panoramic.

Physical property recovered by the Public Administrator and Public Guardian is stored in the DAAS property room. According to DAAS staff, documents and mementos are stored on the property room shelves, while valuables, such as jewelry, are stored in one of two safes. DAAS staff said that inventory is logged by estate investigators in the Panoramic system (Panoramic), a database that contains information about all DAAS cases, and includes a section for logging inventory associated with each case. According to an investigator, in cases where items of value cannot be moved during the initial search, estate investigators will safeguard the asset inside the home by applying a seal to the property and possibly changing locks or nailing the door closed, if the investigator believes this is warranted.

Independent appraisers or estate investigators perform inventory appraisals, which are filed with the court.

The state Probate Code requires both public administrators and public guardians to file an Inventory and Appraisal of the property to be administered with the court. According to DAAS policy, when an estate has enough funds, a certified appraisal can be completed by an outside vendor. However, in cases where an estate lacks sufficient funds to pay for a certified appraisal, the estate investigator, along with the senior estate investigator, will provide an estimated value to the best of their ability. All items besides money, checks, cash, and proceeds from brokerage accounts and insurance policies must also be appraised by a probate referee. The probate referee acts as an independent and fair appraiser and can appraise all non-cash assets located in California. Real property, such as homes, administered by the Public Administrator and Public Guardian must be appraised by a court-appointed appraiser, according to management. The Inventory and Appraisal document must be filed with the court within 90 days of the Public Administrator's or Public Guardian's appointment.

Items are sold, donated, or distributed to family or other beneficiaries. The department typically uses one of its vendors to sell items.

Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

*Public Administrator
investigators work with
decedents' family and
friends.*

Investigators explained that they work with a decedent's located family or friends to determine whether any items of sentimental or monetary value should be sent to them and whether the family can pay the costs of sending the items. Items will only be sent if either the estate or the beneficiary can pay the shipping costs. If family or friends are not found or are unwilling to pay for the shipping, items of sentimental value are held for five years and will not be disposed of without the written authority of the assigned investigator.

The Public Administrator must deposit with the City's Treasurer any funds that remain after creditors and any identified beneficiaries have been paid. In accordance with the state Probate Code, the City's Treasurer will deliver these funds to the California Treasurer or Controller if there are no beneficiaries or other persons entitled to the money or if the beneficiaries or other persons entitled to the money do not appear and claim it.

*A 2003 audit found weak
controls over client property
and money.*

The Controller audited the inventory practices of the Public Administrator and Public Guardian in 2003. The audit reviewed DAAS internal controls over inventory and resulted in four recommendations pertaining to controls over client property and money.

Audit findings included:

- The Public Administrator and Public Guardian divisions cannot verify that they protect client property.
- Neither division monitors client property sufficiently.
- The potential for fraud exists because staff can change property descriptions.
- The property room and safes are less secure than they should be.
- The department did not obtain proposals for brokerage or auction services and did not contract with the current providers of these and other services.

At the conclusion of the audit, the department agreed with all of the recommendations and provided specific plans of how it would address them. A complete list of the findings and recommendations, as well as whether DAAS continues to comply with the recommendations, is listed in Appendix A.

Office of the Controller, City Services Auditor

**Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection**

CSA also assessed DAAS's accounting system in 2009, but the findings of that assessment pertained to issues outside the scope of this audit.

Objectives

The objectives of this audit were to:

1. Assess the Public Administrator and Public Guardian's internal controls over how they identify and secure clients' or decedents' goods and information.
2. Determine whether the processes the Public Administrator and Public Guardian use to manage the goods and information in their custody sufficiently limit the risk of loss or theft.

**Scope and
Methodology**

The audit included Public Administrator and Public Guardian inventory held during July 1, 2013, through May 8, 2015. To perform the audit, the audit team:

- Interviewed Public Administrator and Public Guardian management and staff to gain an understanding of their processes.
- Reviewed key documents, including the Public Administrator and Public Guardian's policies and the 2003 Public Administrator and Public Guardian audit report.
- Conducted inventory counts to ensure the accuracy of the DAAS inventory system by randomly selecting 5 Public Administrator and 12 Public Guardian items from the property room.
- Conducted inventory counts to ensure the accuracy of the DAAS inventory system by randomly selecting 4 Public Administrator and 12 Public Guardian items from the inventory system.
- Identified best practices through benchmarking with four other California counties.
- Randomly and purposefully selected case files to review for completeness.
- Conducted walkthroughs with estate investigators to better understand the amount of risk associated with property searches.

Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

**Statement of Auditing
Standards**

This performance audit was conducted in accordance with generally accepted government auditing standards. These standards require planning and performing the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for the findings and conclusions based on the audit objectives. CSA believes that the evidence obtained provides a reasonable basis for the findings and conclusions based on the audit objectives.

Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

Page intentionally left blank.

CHAPTER 1 – DAAS Does Not Appropriately Maintain Records or Segregate Duties to Control the Risk of Theft or Loss

Summary

Since 2003, DAAS continues to risk that inventory will be lost or misappropriated by:

- Not ensuring the accuracy of its inventory system through proper procedures and supervision.
- Failing to document how items are disposed of.
- Not segregating the duties of inventory handling and inventory record maintenance.
- Allowing many users to edit the inventory list.
- Not consistently recording sufficient detail or location information for inventory items.

Finding 1.1

The data in DAAS's inventory system is highly inaccurate and cannot be relied on to determine what inventory should be in DAAS's possession.

DAAS does not completely and accurately record inventory in Panoramic.

Staff does not consistently update the Panoramic system used by DAAS to log and track inventory associated with each case, which makes it impossible to determine what items should be on hand in any given case and increasing the risk that inventory will be lost or misappropriated without detection. This high level of inaccuracy is allowed to occur because DAAS does not have appropriate managerial oversight processes, and lacks policies and procedures.

System counts did not match actual counts for 75 percent of audited items.

The audit's test counts³ of inventory found multiple discrepancies between system and actual counts. Exhibit 4 shows the system-to-property-room test results, and lists the percentage of sampled inventory items recorded in Panoramic that were missing from the inventory room or other storage location indicated by staff.

³ Of the 948 items on the Panoramic inventory report dated April 21, 2015, 16 (2 percent) were randomly selected to determine the accuracy of the system. Another 17 items were purposefully selected and counted in the property room to determine the completeness of the counts in Panoramic.

Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

EXHIBIT 4 Inventory Count Results: Panoramic Versus Property Room*

Division	Tested	Missing	Inaccuracy
Public Administrator Samples	4	2	50%
Public Guardian Samples	12	10	83%
Combined	16	12	75%

Note: *CSA sampled inventory items recorded in Panoramic and checked whether each was in the department's physical inventory in its property room.

Source: Auditor's analysis of sample inventory items.

As Exhibit 3 shows, DAAS did not possess items listed as inventory for 10 (83 percent) of the 12 Public Guardian cases tested, and for 2 (50 percent) of the 4 Public Administrator cases tested.

Upon researching these items, DAAS provided evidence that 9 (75 percent) of the 12 items missing from the property room had been distributed appropriately, but staff had not updated the inventory system. No record exists of what happened to the remaining 3 inventory items, as described in more detail in Finding 1.3.

The floor count did not match inventory records for 71 percent of audited items.

A significant number of items in the property room were not recorded in Panoramic. Twelve (71 percent) of 17 items judgmentally sampled from the shelves or safes in the property room were not recorded as inventory in Panoramic, indicating that DAAS cannot rely on the records in the system to determine what items should be on hand.

As Exhibit 5 shows, 3 (60 percent) of 5 sample items in the property room in the care of the Public Administrator and 9 (75 percent) of 12 sample items in the care of the Public Guardian were not recorded in Panoramic as inventory for the associated cases. Also, 1 Public Guardian item in the property room had no labeling or other indication of the case with which it was associated.

Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

EXHIBIT 5 Property Room Versus System Inventory Count Results*

Division	Tested	Missing	Inaccuracy
Public Administrator Samples	5	3	60%
Public Guardian Samples	12	9	75%
Combined	17	12	71%

Note: * CSA sampled inventory items in the department's property room and attempted to verify that each was in Panoramic.

Source: Auditor's analysis of sample inventory items.

In addition to sometimes not recording inventory, staff sometimes records inventory in fields other than those designated for this purpose. Of a random sample of 55 cases in Panoramic, 3 (5 percent) showed that staff failed to enter inventory in the designated inventory field, instead entering it in other sections of the case file.⁴

The 2003 audit found that staff does not update records in Panoramic.

DAAS had committed to address the problems identified in the Controller's 2003 audit report, but they persist. That audit found that the "department cannot be sure that it knows where client property is once it is collected because staff does not update the records in the division's computer system" and "screens in the computer system are not current." In 2003, DAAS responded with a plan to investigate implementation of a bar-coding system for inventory and to ensure a more accurate and updated system of recording estates' assets in the computer system. However, DAAS still has no bar-coding system and does not periodically review the inventory system.

The incompleteness and inaccuracy of the inventory system are the result of insufficient managerial oversight processes and insufficient policies and procedures for staff to follow in documenting inventory.

Managers do not perform periodic inventory counts, periodically check the accuracy of case files, or determine whether inventory was properly disposed of or distributed.

A lack of managerial oversight processes allows the inventory documentation problems to persist. According to DAAS management, DAAS has not put in place processes to have managers periodically count inventory to ensure accurate inventory records or routinely audit to ensure the accuracy and completeness of case files.

⁴ This sample was in addition to those used for the tests that led to the results shown in exhibits 3 and 4. This sample focused on the completeness of documentation in Panoramic rather than on how accurately Panoramic reflects what is in the property room.

Office of the Controller, City Services Auditor

**Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection**

Also, management said that there is no process requiring managers to determine whether inventory was disposed of or distributed in an allowable manner, as opposed to lost or stolen.

The 2003 audit report recommended that DAAS "Write and distribute a new procedure (that). . .should further require management to conduct periodic reviews of the property items listed in the Panoramic computer system and compare the lists of items with the written receipts from searches." Although DAAS management reported that during the inventory and appraisal process for the courts, managers review whether property that was brought in is entered in the system, Panoramic still does not contain a complete list of the inventory in the possession of the Public Administrator and Public Guardian.

DAAS policies and procedures lack specificity about how staff should record inventory.

Also, DAAS's policies and procedures do not sufficiently guide staff on how to record inventory. Sufficient policies and procedures would mitigate the problems above by instructing staff:

- Where to enter what kind of inventory.
- Under what circumstances to update an inventory listing in the system.
- How to document the distribution or disposal of inventory.
- To enter inventory only in the inventory field.

The 2003 audit found that a lack of procedures for recording and maintaining accurate records led to an inaccurate inventory system.

The same cause was found during the Controller's 2003 audit, the report of which stated "The divisions lack a standard, written procedure for maintaining accurate records of client property, so employees have discretion as to what they do."

Periodic inventory counts and routine supervisory review were identified as best practices.

Best practices identified through interviews of four jurisdictions include a requirement that management periodically count inventory and routinely review case files. Of the four jurisdictions contacted, three (75 percent) use inventory counts to ensure the accuracy of inventory records. Three also require supervisors to routinely review case files. Jurisdictions responded that they required review of photos taken during searches, inventory sheets, and case notes. Exhibit 6 summarizes the practices in each jurisdiction.

Office of the Controller, City Services Auditor

**Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection**

EXHIBIT 6 Summary of Best Oversight Practices Identified Through Benchmarking

Best Practice	DAAS	Los Angeles County	Orange County	San Mateo County	Ventura County
Perform routine inventory counts or audits	NO	YES	YES	YES	NO
Require managers to routinely review case files	NO	YES	YES	YES	NO
Require managers to routinely review photos	NO	YES	YES	YES	NO

Source: CSA benchmarking analysis

The strongest practice was seen in Orange County, which logs and verifies every piece of inventory collected, conducts a quarterly supervisory review of inventory sheets and an annual 100 percent physical inventory count, and requires that supervisors sign off before property is disposed of or distributed.

According to the U.S. Government Accountability Office (GAO), counting an appropriate amount of the total inventory at once or over a period of time with regular frequency helps to provide accurate inventory records for operational decisions and financial reporting. Without periodically scheduled physical inventory counts, inventory shortages and overages could occur and remain undetected.⁵

Also, according to the GAO, setting performance goals for the accuracy of physical inventory and holding the appropriate level of personnel responsible for the overall process is a key factor in developing and implementing an accurate physical count process. According to the GAO Guide, experts agree that inventory record accuracy goals should be set at 95 percent or higher.

DAAS's lack of procedures and oversight severely diminish its ability to effectively manage and track client property and result in a completely inaccurate inventory list. In turn, this means that DAAS does not know what inventory should be present for each case, which increases the risk of loss or misappropriation.

⁵ Shortages are indicated when the inventory system shows more items than are actually on hand; overages are indicated when the inventory system shows fewer items than are actually on hand.

Recommendations

The Department of Aging and Adult Services should:

1. Count all client and decedent inventory and update Panoramic to reflect all inventory in the department's possession, and research all items listed as inventory that are missing.
2. Implement a policy requiring employees who do not have routine access to inventory or the ability to edit inventory records to count physical inventory at least yearly. Ensure that discrepancies between the property room and the system are reconciled and approved.
3. Ensure that it continually updates its inventory lists to keep track of inventory that was collected in each case, keep track of the inventory that is in its care, and document how each piece of inventory no longer in its possession was distributed or disposed of. This information should be recorded the same way for each case.
4. Create policies and procedures that specify how staff is to record inventory initially collected, inventory in its care, where inventory is stored, and how inventory was distributed or disposed of, and ensure that these are followed. The policies and procedures should be specific enough to ensure that staff knows which fields to use in the inventory system, and how, when, and where to record inventory details.
5. Formalize and ensure compliance with a policy requiring employees not involved in tracking, collecting, or safeguarding inventory to review case files to ensure they are complete and accurate, and ensure that staff records information about inventory accurately, appropriately, in a timely manner, and with a sufficient level of detail to minimize risk.
6. Hold employees accountable for the accuracy of inventory lists in cases they manage.

Finding 1.2

DAAS does not always document how inventory was disposed of or distributed, making it impossible to determine whether some inventory no longer with DAAS was properly distributed, lost, or stolen.

It is impossible to determine whether sampled inventory, including boxes of jewelry, were lost, stolen, or properly distributed.

DAAS does not always document how inventory was disposed of, making it impossible to determine whether it was properly distributed, lost, or stolen. Of a random sample of 16 items listed in the inventory system, 3 (19 percent) are unaccounted for.⁶ The Public Guardian could not provide support for the whereabouts of items described in Panoramic as "Three Boxes of Miscellaneous Jewelry" and "One box of photographs and letters." The Public Administrator could not document the whereabouts of a "Sprint cell phone."

DAAS staff does not always upload supporting documentation of how the items were disposed of in Panoramic. Without such records, it is impossible to determine whether the items above were properly distributed, lost, or stolen.

DAAS does not have policies or procedures requiring staff to document how items are distributed or disposed of or to maintain documentation that shows proof of such disposal, such as receipts for donations. Although Panoramic includes a field that allows staff to indicate whether inventory is still in DAAS' possession or whether it has been sold, donated, or otherwise distributed, this field is not always updated, as evidenced by the items above, which were listed as being in DAAS' possession.

According to the Joint Financial Management Improvement Program,⁷ an inventory system should have a function that allows staff to record withdrawals (dispositions) and identify the type of transaction affecting the item (initial acquisition, location, change of location, and disposal). Inventory systems must provide information on the quantity of items distributed, in transit, or disposed of.

⁶ This is the same random sample that was used for the test whose results are shown in Exhibit 3.

⁷ An undertaking of the U.S. Department of Treasury, Government Accountability Office, Office of Management and Budget, and Office of Personnel Management, working in cooperation with one another, with other agencies, and with the private sector, to improve financial management in the federal government.

Office of the Controller, City Services Auditor

**Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection**

By not requiring such documentation, DAAS has no effective way of determining what happened to inventory formerly in its possession.

Recommendation

7. The Department of Aging and Adult Services should ensure that staff documents how and when inventory is distributed and disposed of and that staff uploads documentation of the distribution or disposal to the inventory system.

Finding 1.3

DAAS's failure to appropriately segregate duties increases the risk that inventory will be lost or stolen without detection.

DAAS has not fully addressed risks of fraud that arise when duties are not properly segregated which were identified in the 2003 audit. The Public Administrator and Public Guardian do not segregate duties between those employees who distribute or dispose of inventory and those who record these actions. Further, a manager is not required to approve distributions and disposals.

DAAS does not segregate duties appropriately, increasing the risk that inventory will be lost without detection.

Estate investigators are DAAS employees who are charged with creating and maintaining the inventory lists in Panoramic and who handle, distribute, and dispose of the inventory. This lack of segregation of duties creates a risk that staff could mishandle or misappropriate inventory and then change the inventory record to prevent detection.

Staff can lose or misappropriate inventory and then erase it from the inventory system to avoid detection.

The Controller pointed out this risk in its 2003 audit report, which noted that DAAS staff could modify or delete the description of an inventory item, making the department vulnerable to fraud. For example, an employee could change the description of a valuable item to something less valuable, and then be able to enter the property room or one of the safes and tamper with the property, replacing the more valuable item with a less valuable one. Although DAAS staff stated that the department now enforces dual custody in the property room and requires 2 employees to be present during searches, procedures are still insufficient to prevent an employee from removing an item from the property room and replacing that item with a less valuable one with a similar description or replacing it with something else and altering the inventory description in the system to

Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

prevent detection.

Further, DAAS management indicated that the department does not require manager approval or documentation of such approval before inventory is removed from DAAS custody. In the cases examined by the audit, Public Administrator estate investigators had disposed of a cell phone listed as inventory without the managers' knowledge and without documentation and were storing a Porsche automobile at an offsite location that the manager relied on staff to identify. This demonstrates that inventory could be lost or misappropriated and that DAAS would have no reliable way of knowing what happened to the inventory if staff left the office.

Best practices indicate that those who have access to inventory should not modify the Public Administrator's and Public Guardian's perpetual⁸ inventory records and that inventory disposal should require approval by another employee.

Employees who have access to physical inventory should not be responsible for modifying perpetual inventory records.

According to BDO Consulting,⁹ employees who have access to physical inventory should not be responsible for modifying perpetual inventory records. That is, employees should not be able to both initiate and approve inventory disposals and record these adjustments in the inventory system.

This guidance is echoed by the GAO, which states that key duties and responsibilities must be divided or segregated among different people to reduce the risk of error or fraud. The key areas of segregation are:

- Physical custody of assets
- Processing and recording of transactions
- Approval of transactions

Ideally, personnel performing any one of these three functions would not also have responsibilities in either of

⁸ Perpetual inventory records are records that show what inventory has been received, what items have been moved from one location to another, and what items have been removed from inventory.

⁹ According to its website, BDO Consulting specializes in assurance, advisory, consulting and tax services for clients in the private and public sector and has more than 4,000 employees in the U.S. BDO's Fraud Prevention Program, which published the guidelines cited above, has investigated hundreds of frauds, according to the company's website.

Office of the Controller, City Services Auditor
**Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection**

the other two functions. Segregation of duties dictates that no individual should control all key aspects of a transaction or event.

All three of the other jurisdictions that CSA interviewed about segregation of inventory handling and recordkeeping mentioned some controls in this area:

- San Mateo County segregates inventory duties between the Public Administrator staff, which makes decisions regarding property, and Estate Management staff, which oversees the warehouse and carries out inventory actions.
- Orange County has one set of employees handle inventory and another set maintain the inventory lists.
- Ventura County requires employees to document when they donate inventory and have a supervisor review and sign the document.

By not appropriately segregating duties, DAAS faces a higher risk of fraud. When incompatible duties are not separated, improper transactions can be recorded in inventory records to cover improper or unauthorized transactions. Also, errors in inventory records can easily be hidden from management, preventing further investigation.

Recommendations

The Department of Aging and Adult Services should:

8. Consider segregating roles so that those who can edit inventory listings in Panoramic are not the same individuals who handle the inventory. If this is infeasible, DAAS should require managers to routinely review a Panoramic-generated report of all edits that have been made to inventory fields to ensure that these are proper.
9. Require an approval path for the disposal or distribution of inventory and upload documentation of both the approval path and the method of distribution and disposal.

Finding 1.4

DAAS allows many employees to edit inventory listings, increasing the risk that the inventory record, accidentally or intentionally, will be inappropriately changed.

Many Public Administrator and Public Guardian employees may edit case files, which compounds the risks described in Finding 1.3 that staff could misappropriate inventory and change the record to avoid detection. Forty-one Public Guardian Panoramic module users and 28 Public Administrator users can insert and edit inventory and other data fields in any case, regardless of whether or not they are assigned to that case. Also, at the time CSA reviewed this access, one user who had ceased to be a DAAS employee over a month earlier, still had access to the system. According to Panoramic, system access is not restricted only to those assigned to each case so that changes to a case can be made when the individuals assigned to it are absent.

Any user who can edit inventory fields could replace an item in DAAS' possession with something less valuable and change the inventory system to avoid detection. Although this risk is partially mitigated by the dual custody that is required in the property room, CSA was notified that staff held items temporarily in cubicles, at which point any person in the office could misappropriate the item. Also, allowing edit access to so many employees raises the risk that one will unintentionally enter an error into the system.

Access to edit cases should be restricted to the minimum number of employees needed.

According to *Inventory, Supplies and Materials System Requirements*, published by the Joint Financial Management Improvement Program, an inventory, supplies, and materials system must support the common requirements, including controlling user access by permitting only authorized personnel to enter, modify, or otherwise alter inventory records, and must provide audit trails to trace transactions.

According to the National Institute of Standards and Technology, organizations should have policies for identifying account types, granting and removing user access, specifying and enforcing access privileges, requiring appropriate approvals, and regularly reviewing

user access.¹⁰

Recommendation

10. The Department of Aging and Adult Services should consider restricting access to cases only to those staff assigned to the case and routinely review changes made to the inventory fields in Panoramic to ensure that changes are made by the appropriate staff and accurately reflect appropriate inventory handling.

Finding 1.5

DAAS inventory listings are not always sufficiently detailed and sometimes lack information about the location of the item.

DAAS staff does not always record sufficient detail about inventory in the system and does not videotape all searches, including all contents of residences as it had committed after the 2003 audit, increasing the risk of fraud or mishandling. DAAS also does not always record the location of items, which may lead to items being lost.

Insufficient inventory descriptions and lack of inventory photographs increase the risk of fraud.

Overall, 7 (21 percent) of the 33 inventory items reviewed had descriptions that were too vague to allow the item to be accurately identified as belonging to a particular case without additional information, such as a case number. For example, four inventory items were described as "miscellaneous jewelry." Such vague descriptions raise the risk that items could be mishandled or misappropriated.

As mentioned before, if an item's appearance is not documented, this increases the risk that an employee could change the description of a valuable to something less valuable. Although dual custody is now enforced in the property room, staff is allowed to remove items from the property room and could return a less valuable item if its appearance is not sufficiently documented.

Maintaining photos in case files and requiring managers to review these are best practices among jurisdictions interviewed by CSA for mitigating this risk. Two out of three jurisdictions with which this issue was discussed require photos to be reviewed by managers.

¹⁰ NIST, *Recommended Security Controls for Federal Information Systems and Organizations*, Special Publication 800-53, Revision 3, 2009.

Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

Videos or photos of inventory can mitigate fraud risk, but DAAS does not require these to be taken or maintained in case files.

In its response to the 2003 audit report, DAAS committed to videotape all searches, including all contents of residences, which would help to mitigate the risk of fraud by allowing management to see what an item looks like. However, according to DAAS management, such videotaping has not been required. Management stated that DAAS has made iPads available to staff to take on searches and upload photos of residences and property in Panoramic, which, in lieu of videotaping, would mitigate this risk. However, this is not a formal policy and these photos were only uploaded in 1 (6 percent) of the 18 cases examined that had physical inventory that would lend itself to photographic documentation.

Inventory locations are often not specified in Panoramic, sometimes making inventory difficult to find.

DAAS also does not properly document where inventory in its possession is located. For the Public Guardian division, in 8 (53 percent) of 15 cases examined, the location of the inventory was not specified in the Panoramic field designated for this information.¹¹ For the Public Administrator, 5 (56 percent) of 9 cases examined lacked location information. This lack of documentation impairs the department's ability to properly track inventory and may lead to lost items, particularly if staff leaves or cases are open for long periods.

DAAS has not required staff to record a sufficient level of detail about inventory through its policies and procedures. No procedures have been established to mitigate the problems above by instructing staff:

- On the level of detail appropriate to describe inventory items.
- To upload photos.
- To enter the location of physical inventory in a specific field.

The problems of not documenting location were also highlighted by CSA in its 2003 audit report, which stated that deputies did not update the location of property as it moved, and that:

Both the public guardian and the public administrator find it difficult to track property accurately. No printed inventory of client property exists and staff has no way of knowing where something is. If a deputy needs to

¹¹ The 15 cases exclude the 9 cases the audit determined to be missing from Panoramic.

Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

find a particular item, that item may be in the property room, in a safe ... on a staff person's desk, or lost.

The Joint Financial Management Improvement Program states that general mandatory requirements for any system that controls inventory, supplies, and materials include that the system can record location. The lack of location information in the system may make it more difficult to find inventory items.

Recommendations

The Department of Aging and Adult Services should:

11. Formalize a policy requiring staff to take photos of inventory and upload them into Panoramic and ensure that the policy is followed.
12. Ensure that the location of inventory is entered and updated in Panoramic.

CHAPTER 2 – DAAS Does Not Follow Best Practices for Minimizing Risks of Theft During Property Searches and Can Further Improve Property Room Security

Summary

Although DAAS has some procedures to limit the risk of misappropriation of client property during searches and from the property room, DAAS can increase security in both of these areas by implementing additional best practices.

Finding 2.1

DAAS's procedures for minimizing risks of theft during searches fall short of best practices.

DAAS does not follow all best practices identified that could be used to reduce the risk of theft during searches.

Although DAAS does require that two employees participate in all home searches, DAAS does not implement other measures that would minimize the risks of theft during residence searches.

Exhibit 7 shows best practices implemented by other jurisdictions and how DAAS's practices for minimizing risk compare to these.

EXHIBIT 7 Summary of Best Practices Identified Through Benchmarking					
Best Practice	DAAS	Los Angeles County	Orange County	San Mateo County	Ventura County
At least two employees are present at each residence search	✓	✓	✓	✓	-
A third person witnesses each residence search	-	✓	✓	-	-
The search witness is from outside the department	-	-	✓	-	-
Staff takes photos or video during each residence search	-	✓	✓	✓	✓
Photos of searches are maintained in case files	-	✓	✓	✓	✓

Source: CSA benchmarking analysis

Unlike Orange County, DAAS management stated that DAAS does not require independent witnesses at residence searches. Also, DAAS management said that

Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

although DAAS' residence search policy requires that two estate investigators search residences together, it does not require the presence of an independent witness at the search. Although staff is instructed to search together to ensure dual custody of all items found, the employees do separate during the search. Employees explained that they separate during the search so that one searches after the other in case the first employee does not notice something. The presence of an independent witness would help mitigate the risk of theft.

Three of the four benchmark jurisdictions require more than two employees to be present during the residence search.

Of the four jurisdictions surveyed, three indicated that they require either a witness to be present or more than two employees present during a residence search. One jurisdiction, Los Angeles County, stated that it tries to use an external witness, such as a neighbor, to monitor the search. When this is impossible, the jurisdiction said it will have another employee from the office serve as a witness. Los Angeles County stated that, before the search, witnesses are given instructions and required to sign a witness form that describes their duties.

Orange County reported having witnesses present at every search, sometimes going as far as to hire law enforcement personnel to accompany staff as a witness. Orange County also indicated that its supervisors periodically check up on staff as they conduct residence searches by monitoring the staff without their knowledge.

Further, DAAS does not require photos or video of searches to be taken or retained. Although DAAS has made iPads available for staff to record searches and take photos of residences during searches, DAAS' policies and procedures do not require the use of this technology or the retention of the photos and videos in Panoramic and DAAS does not require managers to review case files to determine whether photos or videos are uploaded. Of eight cases reviewed by the audit that had physical inventory collected during the search that could have been documented in photos, only one (13 percent) had photos of inventory in Panoramic.

All benchmark jurisdictions require cameras to be used during residence searches.

All four of the jurisdictions surveyed indicated that they use technology to minimize the risk of theft during searches. Specifically, each jurisdiction stated that it uses cameras to photograph client property. Orange County stated that it uses video cameras to record

Office of the Controller, City Services Auditor
**Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection**

residence searches. Also, all four of the jurisdictions surveyed indicated that they require photos taken during the search to be maintained as part of the case file. Three of these jurisdictions also indicated that their managers review the photographs as part of a routine case review.

DAAS's lack of controls over the inventory search process further increases the risk of misappropriation.

Not requiring the presence of an independent witness during residence searches increases the risk that items could be misappropriated and reduces the chance that management would detect such misappropriation. Also, DAAS's failure to establish and enforce procedures requiring that searches and inventory be documented in photos and video and reviewed by managers increases the department's risk of theft during searches.

Recommendations

The Department of Aging and Adult Services should:

13. Develop a policy on how technology should be used during inventory searches, require all photos and videos to be attached to the corresponding case file in Panoramic, and require that managers routinely review these photos or videos to help ensure proper inventory handling.
14. Assess the feasibility of having an independent witness attend searches and sign off on inventory sheets. If deemed feasible, implement these procedures.

Finding 2.2

DAAS's property room procedures can be improved to minimize the risk of misappropriation.

Although DAAS has taken significant measures since 2003 to improve the security of the property room—including limiting those with access to the room to two managers, requiring dual custody within the room, and installing security cameras in the room—the following two areas could be strengthened to further improve security.

Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

Inventory is not always properly stored due to staff's lack of access to the property room.

- According to DAAS management, only two managers have electronic badge access to the secured property room. Because these managers are not always available when staff returns from a home search, collected property is sometimes not immediately stored in the property room. CSA observed estate investigators returning to the DAAS office with items that they recovered after a residence search. Because they lacked access to the property room, the estate investigators could not secure the items in the room, so had to store them at their desks. Doing so increases the risk that items may be lost or stolen.

DAAS does not adequately restrict access to safe combinations.

- DAAS also temporarily provides the combination to its two safes to any employee who needs to open them, but changes safe combinations infrequently, which compromises the security of the safes. Although employees are given the combination on a sheet of paper and are expected to return the combination when they are finished using it, they could memorize the combination or write it down while it is in their possession. DAAS only changes combinations once every 18 months, according to management, which is not frequent enough to mitigate this risk.

Physical control must be established to secure assets.

According to a guide published by the GAO, an agency must establish physical control to secure and safeguard vulnerable assets. Examples include security for and limited access to assets such as cash, securities, and equipment which might be vulnerable to risk or loss or unauthorized use.

According to the Controller's Departmental Guidelines No. 003-12, the City's *Cash Handling Guidelines*, industry standards indicate that point-of-sale system passwords should be changed every 60 to 90 days.¹² This standard can also be applied to safes, which, like point-of-sale systems, are used to safeguard assets.

By sharing safe combinations with numerous employees without changing the password frequently, DAAS increases the risk that improper access to the safes will occur. Also, if DAAS does not provide estate

¹² These policies have been incorporated into the Controller's Accounting Policies & Procedures, 2016 Edition.

Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

investigators access to the property room when they arrive with inventory, client property will continue to be at risk of potential loss or theft.

Recommendations

The Department of Aging and Adult Services should:

15. Implement a policy to change safe combinations every 60 to 90 days.
16. Ensure that managers coordinate so that one of them or a backup employee is always available to escort staff into the property room throughout the day.

Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

Page intentionally left blank.

CHAPTER 3 – DAAS Does Not Ensure That Vendor Services Meet City Standards

Finding 3

DAAS does not select vendors according to city requirements and does not ensure that vendor services meet city standards.

DAAS does not have contracts with its vendors and appears not to have followed city requirements in engaging its vendors.

The Public Administrator and Public Guardian do not follow best practices because they rely on the services of vendors with which they do not have contracts. DAAS did not provide signed contracts between the City and any of the eight vendors that DAAS management reported using for appraisal of jewelry, management and sale of property, or real estate services.

Similar problems were found in a 2003 audit.

Similar problems were noted in the Controller's 2003 audit of DAAS, which found that the Public Guardian and Public Administrator had established exclusive or near-exclusive relationships with a securities brokerage firm and an auction house without any competitive solicitation process or contract for these services. At the time, according to DAAS, some vendors had not been selected through a competitive solicitation process as this had been deemed unnecessary by DAAS because the vendors were paid with client rather than city funds.

The audit report recommended that DAAS begin or continue to issue requests for proposals and establish contracts for the following services:

- Appraising and auctioning property
- Mortuary services
- Real estate services
- Tax preparation
- Brokerage services
- Computer services

At the time, DAAS stated it would issue solicitation documents for appraising and auctioning property, mortuary services, real estate services, and a number of other services. However, there is no evidence that such solicitation documents were ever issued.

Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

All other jurisdictions interviewed report using a competitive solicitation process.

Public administrators and public guardians in other jurisdictions follow a formal process for procuring services. Of three jurisdictions interviewed that use vendors, two reported using vendors under contract with their county and one reported it was working to standardize its vendors using a competitive bid process in the future.

Using vendors that are not procured through a competitive solicitation process increases the risk that DAAS does business with a vendor who is not the most qualified or does not provide the best value to the City. It also increases the risk that the vendor engaged or services procured will not meet city standards.

Recommendations

The Department of Aging and Adult Services should:

17. Ensure that it solicits vendors only in accordance with city contracting guidelines.
18. Retain copies of signed, properly approved contracts with all vendors.

CHAPTER 4 – DAAS Should Develop a Policy for Accessing Data on Electronic Devices and Enforce Its Policy for Handling Medication

Summary

DAAS must implement or enforce stronger policies for how it uses clients' electronic equipment and handles medication, both of which require special procedures. DAAS has no policies for accessing data on clients' electronic devices, which may prevent or delay the locating of client assets, information needed for case management, or sentimental items such as photos. DAAS has policies for handling medications but does not enforce them, raising the risk that medications will be mishandled.

Finding 4.1

DAAS should develop a policy for accessing data on clients' electronic devices.

Accessing financial data and personal items stored on clients' electronic devices is a growing concern for DAAS.

According to management, DAAS does not have policies or procedures for how to access data stored on decedents' or conservatees' electronic devices. This is a growing concern for DAAS managers, who believe that the Public Administrator and Public Guardian will encounter an increasing number of cases in which the individual will have financial data as well as personal items, such as photos, stored only in electronic form.

Without policies and procedures on when and how it is acceptable to access data on clients' electronic devices, DAAS may not retrieve all the financial assets or mementos that may be valuable to next of kin, such as digital photos. If it does not fully use clients' electronic information, DAAS staff may find it more difficult to identify a decedent's family and friends when client correspondence was conducted via e-mail or text message rather than on paper.

Two of four jurisdictions surveyed access clients' electronic data.

CSA surveyed other jurisdictions to identify electronic data retrieval best practices. Two of four surveyed jurisdictions, Orange and Los Angeles counties, have developed procedures for accessing data on decedents' electronic devices, and a third jurisdiction, San Mateo County, is developing such procedures.

Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

Although both Orange and Los Angeles counties access data on client devices, one uses the services of a forensics specialist from its district attorney's office, while the other relies on its own information technology staff. Orange County reported that it only retrieves data for clients with very large estates that can cover the costs.

San Francisco's Department of Technology recommended DAAS perform a cost-benefit analysis.

San Francisco's Department of Technology advised that accessing clients' electronic data is time-consuming and recommended that DAAS perform a cost-benefit analysis to determine in which cases attempting to access data is likely to bring a net benefit. Staff from the Department of Technology also said that the City Attorney's Office performs similar work and may be able to do it for DAAS as a contractual service.

Recommendations

The Department of Aging and Adult Services should:

19. Survey the Department of Technology, City Attorney's Office, and outside vendors to determine the potential costs to obtain various levels of access to various types of electronic data.
20. Create a policy that guides staff in comparing the likely costs and benefits of accessing data in each case and instructs staff whether and how to proceed with contracting for data extraction.

Finding 4.2

DAAS does not enforce its own policy for handling medication.

Estate investigators for both the Public Administrator and Public Guardian left medications in the residences they searched, contrary to DAAS policy.

DAAS policy for both the Public Administrator and Public Guardian directs staff to dispose of medication found during searches, noting the name of the medication, the amount remaining in the container, and name of the physician. Estate investigators are required by DAAS policy to take the medication to the Human Services Agency's Main Administrative Office, where it can be disposed of as toxic waste. Failure to enforce this policy increases the risk that medication will be misappropriated by staff or by others who can access the units where it is left, both legally and illegally.

Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

Two of four jurisdictions interviewed have procedures for handling medication found during searches. Orange County inventories the medication, while Ventura County requires staff to dispose of medication at the Sheriff's Office.

Recommendation

21. The Department of Aging and Adult Services should enforce its policy on how staff is to dispose of medication.

**Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection**

Page intentionally left blank.

APPENDIX A: IMPLEMENTATION OF PRIOR AUDIT RECOMMENDATIONS

In 2003 the Controller performed an investigative audit and a limited performance audit of the Public Guardian-Public Conservator and the Public Administrator divisions of the Department of Aging and Adult Services. That audit investigated allegations concerning the Public Guardian and Public Administrator and evaluated whether the divisions have adequate management controls and perform their functions effectively. The audit resulted in three recommendations, with several parts thereof (shown below) pertaining to inventory management practices and one recommendation pertaining to contracting practices that fell within the scope of the current audit. In 2003 the Department agreed with all the recommendations and provided specific plans for how it would address them. However, as noted in the findings in this report, the department does not yet have processes that address all the concerns raised in 2003.

The chart below summarizes the recommendations pertaining to inventory and contracting from the 2003 audit report that were relevant to the scope of this audit and indicates whether the department now has procedures that address those recommendations.

CSA determined that DAAS has partially complied with Recommendation 3 below because it has limited to the DAAS director system rights to delete inventory records. However, DAAS does not require that authorization must occur before an inventory record can be deleted.

Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

Prior Audit Inventory Control Recommendation	Recommendation Addressed?			Current Process
	Yes	No	Partially	
1. Write and distribute a new procedure that formalizes how staff should search conservatees' and decedents' residences. The procedure should require that:				
<ul style="list-style-type: none"> Two employees conduct all searches. 	✓			DAAS policies require at least two estate investigators to conduct searches.
<ul style="list-style-type: none"> Staff stays together at all times during searches. 		✓		Both Public Administrator and Public Guardian policies include language indicating that the "two-person rule" is to be used whenever valuables belonging to an estate are investigated. However, this rule is not defined to explicitly state whether or not estate investigators must stay together during the search. This, coupled with CSA's observations that investigators did not stay with each other during residence searches, results in CSA concluding that the recommendation has not been addressed.
<ul style="list-style-type: none"> Witnesses sign receipts when property is collected from third parties. 		✓		Neither Public Administrator nor Public Guardian policies require that a witness sign receipts when property is collected from a third party. Although Public Guardian inventory forms have a witness signature line, the line is not signed by an independent witness, but by a coworker who witnessed the collection of property.
<ul style="list-style-type: none"> Two deputies together count, sign, and seal in an envelope any cash collected from a residence or third party. 	✓			Estate investigators are required to count and box cash for immediate removal, and the accounting clerk and estate investigator must sign information entered into the cash log.
<ul style="list-style-type: none"> Management periodically reviews the property items listed in the Panoramic computer system and compares the lists of items with the written receipts from searches. 		✓		No periodic review of case files is required.

Office of the Controller, City Services Auditor
**Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
 Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection**

Prior Audit Inventory Control Recommendation	Recommendation Addressed?			Current Process
	Yes	No	Partially	
2. Implement better controls over access to the property room and safes, including establishing and enforcing dual custody. Dual custody requires that two employees must be present whenever the property room or a safe is opened.	✓			Controls over access to the property room and safes were improved. DAAS now requires dual custody in the property room and has provided keys to the room to only two employees. DAAS has also installed security cameras in the property room.
3. Prohibit the deletion of inventory records in the Panoramic computer system unless employees provide a written request, signed by the employee and a supervisor, to Panoramic. Whenever possible, staff should simply change the status of an inventory item and enter a note in the system to explain the error or change. If an employee and a manager find sufficient reason to delete an item, the staff and manager should sign a written request and send it to Panoramic for removal.			✓	The right to delete inventory records is assigned only to one manager, which limits risk. However, as noted in Finding 1.4, many employees can still edit the inventory system, which creates some risk in this area, and DAAS has granted the authority to delete inventory lines to the same manager who has access to the property room, thus failing to segregate duties properly.
4. To ensure that client funds are spent on services of the best available value, use competitive processes and establish contracts with all vendors of professional services, including: appraisal, auction, brokerage, computer, mortuary, property management and real estate, and tax preparation services.		✓		DAAS could not provide any vendor contracts or other documents to show that the department uses any competitive solicitation processes.

Office of the Controller, City Services Auditor
Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection

APPENDIX B: DEPARTMENT RESPONSE

City and County of San Francisco
Edwin M. Lee, Mayor



Department of Aging and Adult Service
Shireen McSpadden
Acting Executive Director

December 30, 2015

Tonia Lediju
Director of City Audits
City Hall, Room 476
1 Dr. Carlton B. Goodlett Place
San Francisco, CA 94102

RE: Responses to draft *DEPARTMENT OF AGING AND ADULT SERVICES: Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection.*

Dear Ms. Lediju:

Thank you for sending me a copy of the Controller's Office Audit Report. Enclosed for your review are the Department of Aging and Adult Services (DAAS) responses to the audit. We appreciate your staff's time and effort in conducting this audit and in making recommendations for process improvement.

We have carefully reviewed your team's draft report and findings and concur with the majority of the recommendations. Attached is the completed *Audit Recommendation and Response Form*. We are thankful that the audit found no evidence of any fraud or theft. We are confident that the suggested changes will ensure tighter controls and improved accuracy in inventory tracking.

If you have any questions or require further information, please call Mary Ann Warren at 415-355-3520.

Sincerely,

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

Shireen McSpadden
Acting Executive Director

Attachment: Audit Recommendation and Response Form

CC: Mamadou Gning, Audit Manager
Trent Rhorer

1650 Mission Street • 4th Floor • San Francisco • CA 94103
Telephone (415) 355-3555 • Fax Number (415) 355-6785

Office of the Controller, City Services Auditor
**Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
 Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection**

For each recommendation, the responsible agency should indicate whether it concurs, does not concur, or partially concurs. If it concurs with the recommendation, it should indicate the expected implementation date and implementation plan. If the responsible agency does not concur or partially concurs, it should provide an explanation and an alternate plan of action to address the identified issue.

RECOMMENDATIONS AND RESPONSES

Recommendation	Response
The Department of Aging and Adult Services should:	
1. Count all client and decedent inventory and update Panoramic to reflect all inventory in the department's possession, and research all items listed as inventory that are missing.	<input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur DAAS will conduct a 100% Physical Inventory by January 30, 2016.
2. Implement a policy requiring employees who do not have routine access to inventory or the ability to edit inventory records to count physical inventory at least yearly. Ensure that discrepancies between the property room and the system are reconciled and approved.	<input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur An audit will occur at least yearly. The audit will be conducted by the Estate Manager, (Classification 1827) and Accounting Supervisor (Classification 1827) by the end of each fiscal year.
3. Ensure that it continually updates its inventory lists to keep track of inventory that was collected in each case, keep track of the inventory that is in its care, and document how each piece of inventory no longer in its possession was distributed or disposed of. This information should be recorded the same way for each case.	<input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur DAAS will work with Panoramic Computer systems to show current inventory that will also show inventory that was distributed or disposed each month.

Office of the Controller, City Services Auditor
**Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
 Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection**

Recommendation	Response
<p>4. Create policies and procedures that specify how staff is to record inventory initially collected, inventory in its care, where inventory is stored, and how inventory was distributed or disposed of, and ensure that these are followed. The policies and procedures should be specific enough to ensure that staff knows which fields to use in the inventory system, and how, when, and where to record inventory details.</p>	<p><input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur</p> <p>New, specific policies and procedures will be created and distributed to staff by January 30, 2016.</p>
<p>5. Formalize and ensure compliance with a policy requiring employees not involved in tracking, collecting, or safeguarding inventory to review case files to ensure they are complete and accurate, and ensure that staff records information about inventory accurately, appropriately, in a timely manner, and with a sufficient level of detail to minimize risk.</p>	<p><input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur</p> <p>New, specific policies and procedures will be created and distributed to staff by January 30, 2016.</p>
<p>6. Hold employees accountable for the accuracy of inventory lists in cases they manage.</p>	<p><input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur</p> <p>Supervisors and managers will track with employees more closely by monitoring inventory records and physical inventory quarterly.</p>
<p>7. Ensure that staff documents how and when inventory is distributed and disposed of and that staff uploads documentation of the distribution or disposal to the inventory system.</p>	<p><input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur</p> <p>New policies will indicate that a supervisor or manager must sign when inventory is destroyed or distributed by January 30, 2016.</p>

Office of the Controller, City Services Auditor

**Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection**

Recommendation	Response
<p>8. Consider segregating roles so that those who can edit inventory listings in Panoramic are not the same individuals who handle the inventory. If this is infeasible, DAAS should require managers to routinely review a Panoramic-generated report of all edits that have been made to inventory fields to ensure that these are proper.</p>	<p><input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur</p> <p>Panoramic does not easily lend itself to segregating duties and multiple team members need to be aware of items in inventory. DAAS will work with Panoramic Computer systems to show current inventory items that have been edited by someone other than the designated estate investigator or legal secretary.</p>
<p>9. Require an approval path for the disposal or distribution of inventory and upload documentation of both the approval path and the method of distribution and disposal.</p>	<p><input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur</p> <p>New, specific policies and procedures will be created and distributed to staff by January 30, 2016.</p>
<p>10. Consider restricting access to cases only to those staff assigned to the case and routinely review changes made to the inventory fields in Panoramic to ensure that changes are made by the appropriate staff and accurately reflect appropriate inventory handling.</p>	<p><input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur</p> <p>Panoramic does not easily lend itself to segregating duties and multiple team members need to be aware of items in inventory. DAAS will work with Panoramic Computer systems to show current inventory items that have been edited by someone other than the designated estate investigator or legal secretary. Additionally, teams will take photographs as mentioned in Recommendation 13 below.</p>
<p>11. Formalize a policy requiring staff to take photos of inventory and upload them into Panoramic and ensure that the policy is followed.</p>	<p><input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur</p> <p>New, specific policies and procedures will be created and distributed to staff by January 30, 2016.</p>
<p>12. Ensure that the location of inventory is entered and updated in Panoramic.</p>	<p><input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur</p> <p>New, specific policies and procedures will be created and distributed to staff by January 30, 2016.</p>

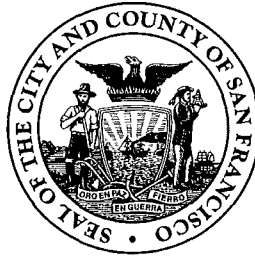
Office of the Controller, City Services Auditor
**Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
 Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection**

Recommendation	Response
13. Develop a policy on how technology should be used during inventory searches, require all photos and videos to be attached to the corresponding case file in Panoramic, and require that managers routinely review these photos or videos to help ensure proper inventory handling.	<input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur New, specific policies and procedures will be created and distributed to staff by January 30, 2016.
14. Assess the feasibility of having an independent witness attend searches and sign off on inventory sheets. If deemed feasible, implement these procedures.	<input type="checkbox"/> Concur <input checked="" type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur It is not feasible to have independent witnesses available to attend searches. Estate investigators will continue to work in various pairs for each search. Individual estate investigators will rotate investigations and search so that no two people will work together consistently.
15. Implement a policy to change safe combinations every 60 to 90 days.	<input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur New, specific policies and procedures will be created and distributed to staff by January 30, 2016.
16. Ensure that managers coordinate so that one of them or a backup employee is always available to escort staff into the property room throughout the day.	<input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur There will be someone with access to the property room at all times throughout the day.
17. Ensure that it solicits vendors only in accordance with city contracting guidelines.	<input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur This is currently done although the contracts unit within DAAS did not work with audit requests. All vendors used by the PA/PG are paid directly from the individual estate and no city funds are used.
18. Retain copies of signed, properly approved contracts with all vendors.	<input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur

Office of the Controller, City Services Auditor
**Insufficient Inventory Tracking and Supervisory Practices and Failure to Segregate Duties
 Increase the Risk That Inventory Will Be Lost or Misappropriated Without Detection**

Recommendation	Response
19. Survey the Department of Technology, City Attorney's Office, and outside vendors to determine the potential costs to obtain various levels of access to various types of electronic data.	<input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur Additionally, PA/PG is also seeking best practice advice from other counties.
20. Create a policy that guides staff in comparing the likely costs and benefits of accessing data in each case and instructs staff whether and how to proceed with contracting for data extraction.	<input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur New, specific policies and procedures will be created and distributed to staff by January 30, 2016.
21. Enforce its policy on how staff is to dispose of medication.	<input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur New, specific policies and procedures will be created and distributed to staff by January 30, 2016.

BOARD of SUPERVISORS



City Hall
1 Dr. Carlton B. Goodlett Place, Room 244
San Francisco 94102-4689
Tel. No. 554-5184
Fax No. 554-5163
TDD/TTY No. 544-5227

MEMORANDUM

Date: April 4, 2016
To: Members, Board of Supervisors
From: Angela Calvillo, Clerk of the Board
Subject: Form 700

This is to inform you that the following individual has submitted a Form 700 Statement:

Sunny Angulo – Legislative Aide– Annual
April Ang – Legislative Aide – Annual
Sheila Chung Hagen – Legislative Aide – Annual
Victor Lim – Legislative Aide – Annual
Jennifer Low – Legislative Aide – Annual
Samantha Roxas – Legislative Aide – Assuming Office
Hepner, Lee – Legislative Aide – Assuming Office
Jess Montejano – Legislative Aide – Annual
Nickolas Pagoulatos – Legislative Aide – Annual
Dyanna Quizon – Legislative Aide – Annual
Raquel Redondiez – Legislative Aide – Annual
Beth Rubenstein – Legislative Aide – Annual
Adam Taylor – Legislative Aide – Annual
Mawuli Tugbenyoh – Legislative Aide – Annual
Junko Laxamana – Administrative Manager – Annual
Victor Young – SOTF Administrator - Annual
Severin Campbell - Budget and Legislative Analyst– Annual
Somera, Alisa – Legislative Deputy Director – Assuming Office

RECEIVED
BOARD OF SUPERVISORS
SAN FRANCISCO

Bos-11 - Cpage
C001111 matrix
DP



City and County of San Francisco

2016 MAR 29 PM 2:29 San Francisco Sheriff's Department

Vicki L. Hennessy
Sheriff

San Francisco Department of Public Health

Barbara A. Garcia, MPA
Director of Health

MEMORANDUM

TO: Board of Supervisors

FROM: Barbara Garcia (Director of Health), Vicki Hennessy (Sheriff), Roma Guy (Taxpayers for Public Safety)

DATE: March 30, 2016

SUBJECT: Work Group to Re-envision the Jail Replacement Project Update, requested in Resolution No. 02-16

In response to the Board of Supervisors' Resolution No. 02-16, the City & County of San Francisco (the "City") has convened the Work Group to Re-envision the Jail Replacement Project. The work group comprises approximately 40 representatives from the City and the community¹ and is chaired by Barbara Garcia (Director of Department of Public Health), Vicki Hennessy (Sheriff), and Roma Guy (Taxpayers for Public Safety). Harder+Company Community Research has been hired to facilitate work group sessions and develop the process by which members will arrive at recommendations.

The group's first meeting occurred on March 11.² At this meeting, members discussed the following:

Goals

The work group will make recommendations to the City's Board of Supervisors and Mayor on how to plan for the permanent closure of County Jails 3 and 4 by:

1. Identifying strategies for reducing the jail population including alternatives to incarceration and other programs or policies;
2. Identifying effective and humane investments in behavioral health programs for those that may otherwise find themselves incarcerated; and
3. Reviewing the current state of the city's facilities and identifying what new facility or facilities are needed.

¹ See Appendix A (page 6) for the names and affiliations of work group members.

² See Appendix B (pages 9-15) for the minutes from the work group's first meeting.

Deliverables

The work group will approve a final set of policy recommendations and submit them in written form to the Board of Supervisors and Mayor by November 2016.

Decision Making

The work group will seek to identify areas of consensus around proposed recommendations. On issues where there is no consensus, different perspectives will be noted in the recommendations made to the Board of Supervisors and the Mayor.

San Francisco Sequential Intercept Model

Adapted from a national model, the San Francisco Sequential Intercept Model (SIM) on page 4 is a simplified visual of the criminal justice system that gives an overview of the process from initial contact with law enforcement through disposition, community re-entry, and beyond. It illustrates five different “intercept” points at which interventions can be made to divert individuals from the criminal justice system. The model will be used during work group meetings to develop a common language for work group members, provide a framework to identify strengths and gaps, and formulate recommendations.

Support Groups

Three teams have been formed to support the work group:

- Technical Support Team³: This group meets twice a month to assess the viability of emerging recommendations and prepare content for work group meetings.
- Case Review Team⁴: This team will review diversion options for a sample of individuals currently (or recently) incarcerated in the San Francisco County Jail System. The results of this review will inform the larger work group’s recommendations.
- Planning Team⁵: This group meets weekly to prepare for each work group and other support group meetings, coordinate follow up, and manage timelines.

Meeting Roadmap

The visual on page 5 outlines the content that the work group will cover in each of its meetings and the background work that the Technical Support Team and Case Review Team will perform to prepare key information for work group discussions. The work group is scheduled to meet monthly through October 2016 from 2-5pm at 25 Van Ness, Room 610.

Interviews

Members of the Technical Support Team will reach out to each work group member before the April work group meeting to collect their responses to the following questions:

1. What ideas do you have in mind for reducing San Francisco’s jail population?

³ See Appendix A (page 7) for the names and affiliations of Technical Support Team members.

⁴ See Appendix A (page 7) for the names and affiliations of Case Review Team members.

⁵ See Appendix A (pages 7-8) for the names and affiliations of Planning Team members.

2. What best practices employed in other jurisdictions do you think the work group should consider to achieve project goals?
3. What information do you need to be able to make recommendations?
4. What decision criteria do you think the work group should use to prioritize recommendations?

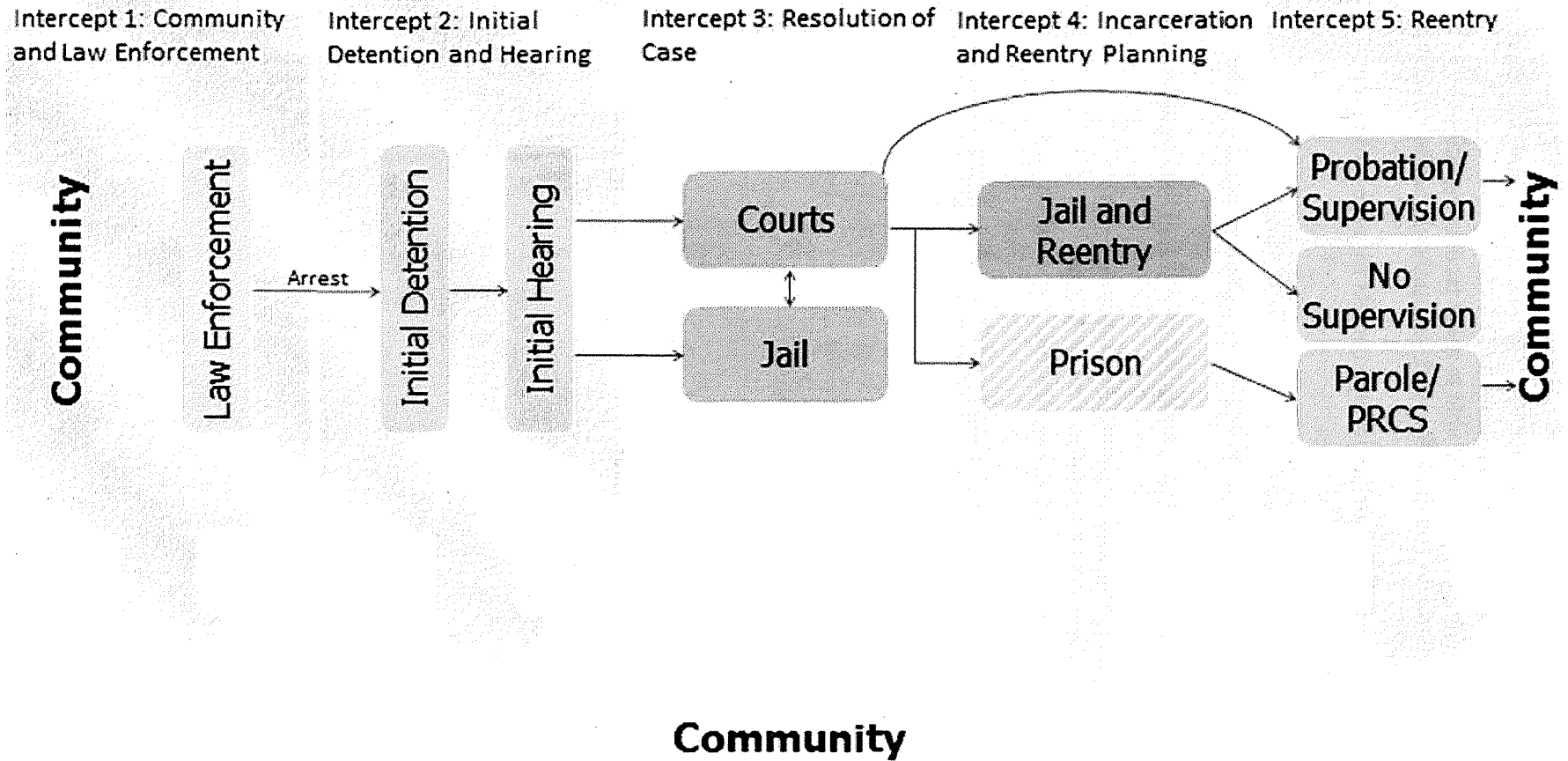
The answers to these questions will be used to develop content for each work group meeting.

Information Sharing & Engagement

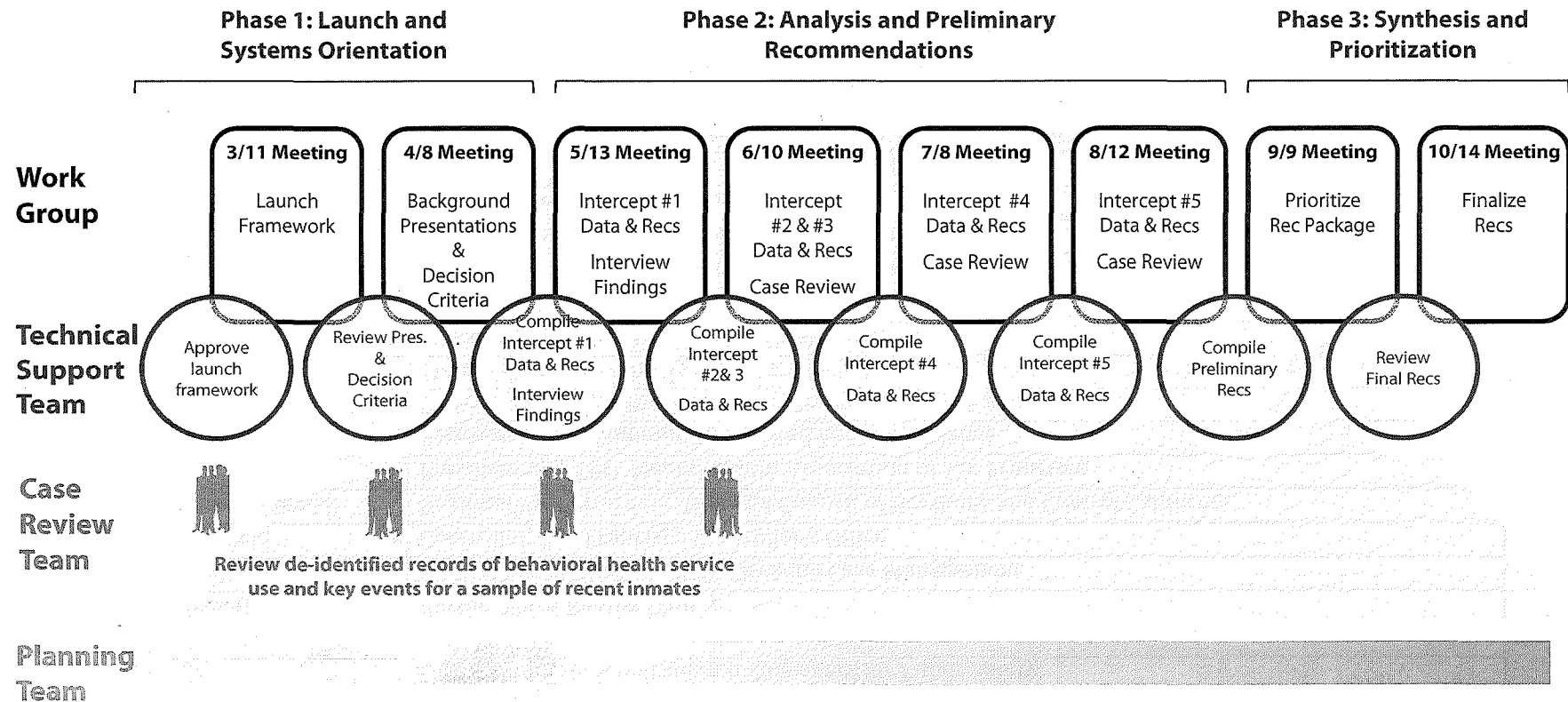
The work group plans to engage and inform the public throughout its process in the following ways:

- Dedicated page on DPH website (<http://bit.ly/JRPworkgroup>) that includes the following:
 - Work group meeting dates, agendas, and minutes
 - Relevant studies, research, reports, and issue briefs
- Dedicated email to receive comments and distribute information (JRPworkgroup@sfgov.org)
- Public comment at each work group meeting

San Francisco Sequential Intercept Model



Meeting Roadmap



Appendix A

Membership, Work Group to Re-Envision the Jail Replacement Project

Name	Organization
Work Group Co-Chairs	
Barbara Garcia	Director of Health, San Francisco Department of Public Health
Vicki Hennessy	Sheriff, San Francisco Sheriff's Department
Roma Guy	Representative, San Francisco Taxpayers for Public Safety
Work Group Members	
Amos Brown	Pastor, Third Baptist Church
Andrea Salinas	Clinical Social Worker, UCSF Citywide Case Management
Ben Rosenfield	Controller, San Francisco Controller's Office
David Serrano Sewell	Regional Vice President, Hospital Council of Northern and Central California
Eduardo Vega	President and CEO, Mental Health Association of San Francisco
Essex Lordes	Representative, Communities United Against Violence
George Gascón	District Attorney, Office of the San Francisco District Attorney
Greg Suhr	Chief of Police, San Francisco Police Department
Jacqueline Flin	Executive Director, A Philip Randolph Institute
James Bell	Executive Director, W. Haywood Burns Institute
Jane Kim	Supervisor, San Francisco Board of Supervisors
Jeff Adachi	Public Defender, San Francisco Public Defender's Office
James E. Loyce, Jr.	Board of Directors, Metta Fund
Joe Calderon	Community Health Worker, Transitions Clinic Network
Karen Fletcher	Chief Adult Probation Officer, San Francisco Adult Probation Department
Kate Howard	Budget Director, Office of Mayor Ed Lee
Lillian Kim Shine	Executive Director, Bayview Hunters Point Foundation
Lisa Marie Alatorre	Human Rights Organizer, Coalition on Homelessness
Lizzie Buchen	Statewide Advocacy and Communications Coordinator, Californians United for a Responsible Budget
London Breed	Supervisor, San Francisco Board of Supervisors
Mallory Scott Cusenbery	Principal, RossDrulisCusenbery Architecture, Inc.
Mattie Scott	Chapter Leader, Mothers in Charge
Mohammed Nuru	Director, San Francisco Department of Public Works
Naomi Kelly	City Administrator, Office of the San Francisco City Administrator

Appendix A

Membership, Work Group to Re-Envision the Jail Replacement Project

Phoebe Dodd Vanderhorst	Founder, Way-Pass Program, City College of San Francisco
Ronald E. Albers	Judge, Behavioral Health Court, Superior Court of California, County of San Francisco
Ronald O. Haynes	Representative, The GEO Group, Inc.
Rudy Corpuz	Executive Director, United Playaz
Steve Fields	Executive Director, Progress Foundation
Theresa Sparks	Executive Director, San Francisco Human Rights Commission
Will Leong	Chief Executive Officer, San Francisco Pretrial Diversion Project
Windy Click	Member, California Coalition for Women Prisoners
Woods Ervin	Administrative Director, TGI Justice Project
Technical Support Team	
Craig Murdock	San Francisco Department of Public Health
Jeanne Woodford	Criminal Justice Expert
Jessica Flintoft	Criminal Justice Expert
Kara Chien	San Francisco Office of the Public Defender
Katy Miller	San Francisco Office of the District Attorney
Laura Thomas	Drug Policy Expert
Roma Guy	Social Justice Advocate
Simin Shamji	San Francisco Office of the Public Defender
Tara Anderson	San Francisco Office of the District Attorney
Case Review Team	
Eileen Hirst	San Francisco Sheriff's Department
Jo Robinson	San Francisco Department of Public Health
Michael Arnold	Harder+Company
Planning Team	
Colleen Chawla	San Francisco Department of Public Health
Eileen Hirst	San Francisco Sheriff's Department
Heather Green	Office of the San Francisco City Administrator
Jeff Pomrenke	San Francisco Controller's Office
Jessie Rubin	San Francisco Controller's Office
Jo Robinson	San Francisco Department of Public Health

Appendix A
Membership, Work Group to Re-Envision the Jail Replacement Project

Kelly Kirkpatrick	Office of Mayor Ed Lee
Kyle Patterson	San Francisco Controller's Office
Michael Arnold	Harder+Company
Michelle Magee	Harder+Company

Appendix B

Work Group to Re-envision the Jail Replacement Project

Launch Meeting (#1) – March 11, 2016

Action Minutes

Co-Chairs: Barbara Garcia, Director of Health, San Francisco Public Health Department
 Vicki Hennessy, Sheriff, San Francisco Sheriff's Department
 Roma Guy, Taxpayers for Public Safety

Work Group: see posted list

Facilitation Team: Harder+Company Community Research

Agenda Topic	Discussion, Agreements, Key Learnings	Action and Follow-up Items
Opening Comments	<ul style="list-style-type: none"> San Francisco Board of Supervisors President London Breed, and the three Work Group co-chairs, Barbara Garcia, Director of Health, San Francisco Department of Health; Sheriff Vicki Hennessy, SF Sheriff's Department; Roma Guy, Taxpayers for Public Safety, gave opening remarks. President Breed welcomed members to the first convening of the Work Group to plan for the permanent closure of County Jails #3 and #4 and corresponding investments in behavioral health programs that uphold public safety and better serve at-risk individuals. President Breed emphasized the importance of bringing together a diverse group of criminal justice and mental health experts from the City and the community to recommend solutions that will reduce the jail population, offer humane investments in behavioral health programs, and offer facility alternatives. She addressed the community concern related to the request to the Board of State and Community Corrections (BSCC) for a 180 day extension for the \$80 million dollar grant. She clarified that the City extension seeks to preserve the opportunity to use the funds for alternatives identified by this Working Group and does not represent a change to the BOS unanimous vote to reject financing to build a stand-alone jail. Barbara Garcia thanked members of the public for attending the first Work Group meeting. Director Garcia acknowledged DPH's commitment and history working with the community to find solutions to complex issues. She emphasized the close collaboration between DPH and the Sheriff to find solutions that help divert 	

Appendix B
Work Group to Re-envision the Jail Replacement Project
Launch Meeting (#1) – March 11, 2016
Action Minutes

Agenda Topic	Discussion, Agreements, Key Learnings	Action and Follow-up Items
	<p>appropriate individuals from the criminal justice system and refer to appropriate community services while preserving public safety. She looks forward to the Work Group bringing forward their ideas and appreciates the members of the public sharing their concerns.</p> <p>Sheriff Hennessy thanked her fellow co-chairs for all their efforts leading up to this first Work Group convening. Sheriff Hennessy reinforced that the Board of Supervisors, Work Group members, and the community shared a common concern about the unsafe conditions of County Jails #3 and #4, and shared commitment to identifying alternatives that uphold public safety and better serve at-risk individuals. She emphasized her appreciation to the Work Group members for their participation and to the public for sharing their perspectives.</p> <p>Roma Guy highlighted that San Francisco is on track to create viable alternatives to incarceration, and that the Work Group has the opportunity to expand on what works by making solid decisions.</p>	
Agenda Review	<p>Michelle Magee from Harder+Company Community Research reviewed the Work Group agenda and the contents of the Work Group binders. She noted that the presentation will be posted on the Work Group website.</p> <p>Michelle Magee briefly reviewed Resolution 02-16 from the Board of Supervisors and noted that the initial resolution did not include 3 co-chairs. The two co-chairs wanted to invite an additional chair to represent the community's voice.</p>	<p>Work Group presentation will be made available on the Work Group website 3/11 at 5:30pm. http://bit.ly/JRPworkgroup</p>
Introductions	<p>Each Work Group member introduced themselves, the organizations they represent, and noted any concerns they wanted to bring to the attention of the Work Group.</p>	<p>See posted Work Group Membership List</p>
Orientation	<p>Reviewed the planning structure for the Work Group, and identified the Work Group support teams, including the Technical Support Team (TST), the Case Review Team, the Planning Team, and Harder+Company.</p> <p>Differentiated the specific responsibilities of the teams. The support teams will synthesizing data by reviewing existing reports and documents, and analyze de-</p>	

Appendix B
Work Group to Re-envision the Jail Replacement Project
Launch Meeting (#1) – March 11, 2016
Action Minutes

Agenda Topic	Discussion, Agreements, Key Learnings	Action and Follow-up Items
	identified data on inmates in the current county jail system with the purpose of bringing information to the Work Group to support the development of recommendations.	
Work Group Responsibilities	<ul style="list-style-type: none"> ▣ Detailed the Work Group’s responsibilities, including: asking questions; contributing to the development of recommendations; participating in reviewing and prioritizing recommendations; reaching out to their respective organizations to gather ideas and input; and reading all materials before meetings. 	
Decision Making	<ul style="list-style-type: none"> ▣ Reviewed the decision making guidelines from the Work Group presentation and polled the group for agreement. Emphasized that divergent ideas and opinions will be documented in the final set of recommendations to the Mayor and the Board of Supervisors. ▣ The Work Group questioned the role of recommendations that would have a fiscal impact. Michelle Magee noted that the Planning Team will be conducting interviews with the Work Group members after the launch meeting and that fiscal recommendations can be brought up then. ▣ The Work Group noted additional members it would like represented in the Work Group, including: <ul style="list-style-type: none"> • Youth representation • Children of incarcerated individuals • Formerly incarcerated individuals 	<ul style="list-style-type: none"> ▣ The Work Group will consider additional people to bring to discussions.
Information Sharing and Engagement	<ul style="list-style-type: none"> ▣ Highlighted the process for sharing information using the Work Group website. ▣ Links to the documents listed in the Work Group binder labeled “Documents Collected to Date” will be posted on the Work Group website by close of business, Monday, March 15. 	<ul style="list-style-type: none"> ▣ Post document links to Work Group website by 3/15.
Other Roles and Responsibilities	<ul style="list-style-type: none"> ▣ The Work Group posed questions about the members of the support teams and requested to see a list of the members of each of the support teams. ▣ Michelle Magee noted that members can be invited to TST as needed to review documents and bring expertise on specific issues. 	<ul style="list-style-type: none"> ▣ Planning Team to post list of Work Group Support Team members to the website.
Discussion Guidelines	<ul style="list-style-type: none"> ▣ Reviewed the discussion guidelines for the Work Group, and highlighted the San Francisco Sunshine Ordinance rules that restrict gatherings of a majority of 	

Appendix B
Work Group to Re-envision the Jail Replacement Project
Launch Meeting (#1) – March 11, 2016
Action Minutes

Agenda Topic	Discussion, Agreements, Key Learnings	Action and Follow-up Items
<p>Planning Framework – Sequential Intercept Model</p>	<p>members outside of publicly noticed Work Group meetings. Work Group members were encouraged to refer to the Sunshine Ordinance Task Force website for more information.</p> <p>Walked the Work Group through the Sequential Intercept Model (SIM), which was proposed as the framework for formulating and organizing the Work Group’s recommendation. Adapted from a national model to the San Francisco context, the model presents a simplified visual of the criminal justice system that gives an overview of the process from initial contact with law enforcement through disposition, community reentry and beyond. It is not intended to be a comprehensive process map.</p> <p>The SIM presents 5 intercept points at which an intervention can be made to divert individuals from the criminal justice system. The visual was not meant to represent that having contact with law enforcement means an individual will continue through every intercept point. An individual can exit the system at any point in the process. The intercepts are: 1) Community and Law Enforcement, 2) Initial Detention and Hearing, 3) Resolution of Case, 4) Incarceration and Reentry Planning, and 5) Reentry.</p> <p>The arrows at each intercept point represent the fact that individuals who become involved with the criminal justice system can exit the system at any point.</p> <p>Half of the Work Group members noted they are familiar with the model.</p> <p>The Work Group noted aspects that are not captured in the model, including:</p> <ul style="list-style-type: none"> • Preventative opportunities • Pre-diversion opportunities • Race and poverty dynamics 	
<p>Planning Framework – Meeting Roadmap</p>	<p>Reviewed the Meeting Roadmap which will serve a process plan and identifies the sequence of topics that map onto the SIM framework.</p> <p>Work Group members expressed the need to include a discussion on housing and housing needs.</p> <ul style="list-style-type: none"> • Michelle Magee noted that a special issue-related meeting might be an approach to discussing this specific issue. 	

Appendix B
Work Group to Re-envision the Jail Replacement Project
Launch Meeting (#1) – March 11, 2016
Action Minutes

Agenda Topic	Discussion, Agreements, Key Learnings	Action and Follow-up Items
	<p>Work Group members also noted that the end of the recent request to BSCC for a 180-day grant extension deadline precedes the Work Group deadline to submit recommendations.</p> <ul style="list-style-type: none"> Co-Chairs and City staff emphasized that the request for an extension was to preserve the possibility of using the dollars in the future. City processes would not precede the recommendations of this Work Group. 	
Snapshot Data	<p>Eileen Hirst and Chief Deputy Matthew Freeman presented one day booking and disposition data from February 16, 2016 to show the process individuals go through when they come into contact with law enforcement, and show where different release mechanisms come into play.</p> <p>Chief Deputy Matthew Freeman walked through the data, and highlighted the following points:</p> <ul style="list-style-type: none"> The largest proportion of individuals detained on 2/16 was between the ages of 26-35 years of age. This trend holds over the course of a year. The largest proportion of individuals detained on 2/16 was African American. The data contained an error. The highest crime class data only presents information on males. The Sheriff's Department will to correct this. Most individuals detained on 2/16 were released within 1-3 days. Overall, trends presented in the one day snapshot hold throughout the year. <p>Work Group members used index cards to note their questions and to make recommendations for data they would like to see at subsequent meetings. Some initial data requests included:</p> <ul style="list-style-type: none"> More information on police overcharging and more information on crime classes. Data presented by multiple categories to see the intersection of different characteristics, such as gender and ethnicity. More information on bail and classifications. <p>Work Group members wanted more clarity on the required use of the \$80 million grant from BSCC.</p> <ul style="list-style-type: none"> More information about the required use of the grant will be brought to the next 	<p>Index card questions will be reviewed and discussed at the Work Group meeting on 4/8.</p>

Appendix B
Work Group to Re-envision the Jail Replacement Project
Launch Meeting (#1) – March 11, 2016
Action Minutes

Agenda Topic	Discussion, Agreements, Key Learnings	Action and Follow-up Items
Next Steps	<p>meeting.</p> <ul style="list-style-type: none"> ■ Michelle Magee reviewed the next steps prior to April 8 Work Group Meeting. ■ Work Group members will be asked to participate in interviews before the April 8 meeting. 	<ul style="list-style-type: none"> ■ The Planning Team will conduct interviews with the Work Group members before the April 8 Work Group meeting. ■ Findings will be shared over the next two meeting – April 8th and May 13th.
Public Comments	<p>Members of the public were invited to speak. All speakers identified themselves by name and stated the organization and/or issue area they represented. 10 individuals spoke, some representing organizations.</p> <p>Public comments included the following:</p> <ul style="list-style-type: none"> ■ David Wiesnere, Recovery International. Wiesnere discussed his experience with drug abuse and mental health services, and noted the services offered by Power to Change. ■ Jesse Stout, member of the public. Stout recommended the city fund mental health facilities in place of jail facilities. ■ Laura Thomas, Drug Policy Alliance. Also represented SF Taxpayers for Public Safety, and thanked Supervisors Breed and Kim for their work on this issue. Thomas suggested decriminalizing drug use, building up a public health response, providing more mental health services, and providing more appropriate housing. ■ Karyn Smoot, Critical Resistance. Also representing the No New SF Jail Coalition. Smoot highlighted the high proportion of homeless individuals in the jail system although they are a small portion of the San Francisco population, recommended providing more mental health facilities to address this population's health issues, and suggested looking at the Miami criminal justice model. ■ Daisy Ozim, TAY age, ROC. Ozim discussed the need for programs addressing the specific needs of people of color who have faced a long history of marginalization, as 	

Appendix B
Work Group to Re-envision the Jail Replacement Project
Launch Meeting (#1) – March 11, 2016
Action Minutes

Agenda Topic	Discussion, Agreements, Key Learnings	Action and Follow-up Items
	<p>well as the young immigrant population. Ozim highlighted the need for greater housing provisions, peer services such as peer counselors, and a greater emphasis of the damaging economic effects of the bail system.</p> <p>David Eccriott Lewis, Mental Health Board of San Francisco. Lewis recognized the services offered by the National Alliance on Mental Illness (NAMI). He suggested no new mental health facility be built, but instead suggested verbal de-escalation training and adopting the Co-Response Model.</p> <p>Lis Worcester, community member. Worcester acknowledged the lack of services currently offered in San Francisco.</p> <p>Coral Feigin, Western Regional Advocacy Project. Feigin highlighted the work of the Western Regional Advocacy Program on homeless rights. Feigin acknowledged the role poverty and race dynamics play when people are detained. Feigin suggested more housing provisions, greater substance abuse support, and respecting the transgender community's voice on the Work Group and as a population impacted by the criminal justice system.</p> <p>Danielle West, community member. West highlighted the needs of the transgender community, the importance of acknowledging gender identities beyond binary identities in any data analysis, and the importance of addressing people by correct pronouns.</p> <p>Tash Nguyen, Ella Baker Center for Human Rights. Nguyen recognized that the recommendations coming from the Work Group will serve as a model for the rest of the state, the need to have housing in tandem with pre-diversion strategies, and promoting strategies to reduce the number of African Americans incarcerated.</p>	
Closing Remarks	<p>The three Work Group co-chairs thanked the public and Work Group members for their participation and comments.</p>	
NEXT WORK GROUP TEAM MEETING: Friday, April 8, 2016 at 2pm. 25 Van Ness, Room 610.		

From: Board of Supervisors, (BOS)
To: BOS-Supervisors; Wong, Linda (BOS)
Subject: FW: PPNorCal Letter of Support re: File #160065
Attachments: PPNorCal_SF Paid Parental Leave Letter of Support.pdf

From: Jimenez, Gabriela [mailto:gjimenez@ppnorcal.org]
Sent: Tuesday, March 29, 2016 8:08 PM
To: Board of Supervisors, (BOS) <board.of.supervisors@sfgov.org>
Subject: PPNorCal Letter of Support re: File #160065

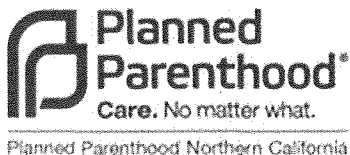
ATTN: Angela Calvillo

Hello,

Please see the attached letter of support for Board File #160065 – Police Code -- Paid Parental Leave for Bonding with New Child - to be heard by the Board of Supervisors on April 5th.

Please email me with any further questions. Thank you!

Gabriela Jimenez
Senior Public Affairs Officer
Planned Parenthood Northern California
1650 Valencia Street, San Francisco CA 94110
Phone: 415-920-2075 Fax: 415-920-2079 | Mobile: 909-489-4488
gjimenez@ppnorcal.org
<http://www.ppnorcal.org>



Like us on [Facebook](#)! Follow us on [Twitter](#)!

NOTICE: This e-mail is for the sole use of the intended recipient(s) and contains information that is confidential and privileged. If you are not the intended recipient, you are hereby notified that any disclosure, copying, distribution or taking of any action in reliance on the contents of this e-mail information is strictly prohibited. If you have received this e-mail in error, please immediately notify the sender by reply e-mail and destroy all copies of the original message.

NOTICE: This e-mail is for the sole use of the intended recipient(s) and contains information that is confidential and privileged. If you are not the intended recipient, you are hereby notified that any disclosure, copying, distribution or taking of any action in reliance on the contents of this e-mail information is strictly prohibited. If you have received this e-mail in error, please immediately notify the sender by reply e-mail and destroy all copies of the original message. Be aware that e-mail communication is not secure -- the contents of e-mail messages can be intercepted, misdirected, lost, or otherwise subject to transmission errors and may be received by, forwarded to or otherwise accessed by individuals other than the intended recipient. Your use of e-mail to communicate protected health information to us indicates that you acknowledge and accept the risks, including those outlined above, associated with sending sensitive personal information via standard e-mail.

Please consider communicating any sensitive information by telephone, fax or mail. If you do not wish to have your information sent by email, please contact the sender immediately.



San Francisco, North Bay: p: 415.821.1984 · f: 415.920.2079
East Bay: p: 925.676.0505 · f: 925.676.2814
www.ppnorcal.org

Planned Parenthood Northern California

Via Email

March 29, 2016

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

Re: Support for Board File #160065 – Police Code -- Paid Parental Leave for Bonding with New Child

Dear Supervisors,

On behalf of Planned Parenthood Northern California, we write to express our support for this ordinance, which will have a significant impact on women, infants, and families in San Francisco. Specifically, this ordinance will allow San Franciscans who are expanding their families the ability to concentrate on what matters most – bonding with a new child – without risking financial hardship.

Planned Parenthood Northern California is committed to addressing issues of disparity as they affect our community and the largely low-income clients we serve. This legislation enhances the level of stability an individual can count on in San Francisco, and therefore contributes to overall family stability. We support the Department on the Status of Women's analysis recommending further conversation with employers, in order to mitigate unintended negative consequences that could arise over the course of implementing this important step forward.

The United States is the only developed country in the world that does not offer a national paid family leave (PFL) program. California's groundbreaking program was the first PFL program in the United States, and has been a great boon to workers and employers. California's program is entirely employee funded and provides employees with 55% of their normal wages for up to 6 weeks to bond with a new child.

Regional Administrative Offices: CONCORD: 2185 Pacheco St., Concord, CA 94520 (925) 676-0505 || EL CERRITO: 731 El Cerrito Plaza El Cerrito, CA 94530
SAN FRANCISCO: 1650 Valencia St, San Francisco, CA 94110-5013 (415)821-1984 || MARIN: 2 H Street, San Rafael 94901
EUREKA: 3225 Timber Fall Court, Suite B, Eureka, CA 95503 (707) 442-5700

Serving Counties: Butte, Contra Costa, Colusa, Del Norte, Glenn, Humboldt, Lake, Lassen, Marin, Mendocino, Modoc, Napa, Plumas, San Francisco, Shasta, Siskiyou, Solano, Sonoma, Tehama & Trinity



San Francisco, North Bay: p: 415.821.1984 · f: 415.920.2079
East Bay: p: 925.676.0505 · f: 925.676.2814
www.ppnorcal.org

Planned Parenthood Northern California

We support the passage of Board File #160065 – Police Code -- Paid Parental Leave for Bonding with New Child to ensure all workers can have time to bond with a new child without facing financial hardship. Please contact us if we can provide any additional information.

Sincerely,

A handwritten signature in black ink, reading 'Heather Saunders Estes'. The signature is fluid and cursive.

Heather Saunders Estes
President and CEO
Planned Parenthood Northern California

cc: Angela Calvillo, Clerk of the Board

Regional Administrative Offices: CONCORD: 2185 Pacheco St., Concord, CA 94520 (925) 676-0505 || EL CERRITO: 731 El Cerrito Plaza El Cerrito, CA 94530
SAN FRANCISCO: 1650 Valencia St, San Francisco, CA 94110-5013 (415)821-1984 || MARIN: 2 H Street, San Rafael 94901
EUREKA: 3225 Timber Fall Court, Suite B, Eureka, CA 95503 (707) 442-5700

Serving Counties: Butte, Contra Costa, Colusa, Del Norte, Glenn, Humboldt, Lake, Lassen, Marin, Mendocino, Modoc, Napa, Plumas, San Francisco, Shasta, Siskiyou, Solano, Sonoma, Tehama & Trinity

From: Calvillo, Angela (BOS)
Sent: Tuesday, March 29, 2016 6:21 PM
To: Somera, Alisa (BOS)
Subject: FW: Chamber Letter Regarding File No. 160065 Paid Parental Leave
Attachments: 3.29 File No. 160065 Paid Parental Leave Letter to BOS.pdf

For the file please.
Thank you.
Angela

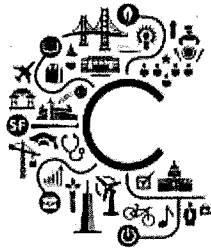
From: Alexander Mitra [mailto:amitra@sfchamber.com]
Sent: Tuesday, March 29, 2016 3:55 PM
To: Breed, London (BOS) <london.breed@sfgov.org>
Cc: Calvillo, Angela (BOS) <angela.calvillo@sfgov.org>; Mar, Eric (BOS) <eric.mar@sfgov.org>; Farrell, Mark (BOS) <mark.farrell@sfgov.org>; Peskin, Aaron (BOS) <aaron.peskin@sfgov.org>; Tang, Katy (BOS) <katy.tang@sfgov.org>; Kim, Jane (BOS) <jane.kim@sfgov.org>; Yee, Norman (BOS) <norman.yee@sfgov.org>; Wiener, Scott <scott.wiener@sfgov.org>; Campos, David (BOS) <david.campos@sfgov.org>; Cohen, Malia (BOS) <malia.cohen@sfgov.org>; Avalos, John (BOS) <john.avalos@sfgov.org>; Fannon, Una (MYR) <una.fannon@sfgov.org>; Elliott, Nicole (MYR) <nicole.elliott@sfgov.org>
Subject: Chamber Letter Regarding File No. 160065 Paid Parental Leave

Dear Supervisor Breed:

Please find the attached letter from the San Francisco Chamber of Commerce regarding the Paid Parental Leave ordinance.

Thank you,

Alex Mitra
Manager, Public Policy
San Francisco Chamber of Commerce
235 Montgomery Street, Suite 760
San Francisco, CA, 94104
415.352.8808 (P)
415.794.1755 (C)
amitra@sfchamber.com | www.sfchamber.com



**SAN
FRANCISCO
CHAMBER OF
COMMERCE**

March 29, 2016

The Honorable London Breed, President
San Francisco Board of Supervisors
1 Dr. Carlton B. Goodlett Place, Room 244
San Francisco, CA 94102

RE: File No. 160065 Paid Parental Leave

Dear Supervisor Breed:

The San Francisco Chamber of Commerce and other local organizations have met a number of times with Supervisor Wiener and his staff to discuss the proposed "Paid Parental Leave for Bonding with New Child" ordinance, which will be on the Board of Supervisors' calendar on April 5. We appreciate both the opportunity we were given to better understand how this ordinance would impact employers and to suggest amendments to moderate impacts, especially on small businesses.

The substitute ordinance Supervisor Wiener introduced and which was heard last week at the Budget and Finance Committee, contained a number of amendments that will assist employers in complying with this new mandate. Importantly, the Budget and Finance Committee adopted additional amendments that will help local businesses, including a six month delay in the operative date for small businesses, vesting enforcement in the Office of Labor Standards Enforcement (OLSE) and the City Attorney's Office and a Controller review of benefits should federal or state laws be amended to improve parental leave wage payments. These amendments assist employers in meeting the goals of the ordinance and recognize the strong enforcement tools available to employees through OLSE and the City Attorney.

Regarding enforcement, the Budget and Finance Committee's action to delete the private right of action provision conforms this legislation with recent ordinances mandating employer actions, such as the Formula Retail Workers Bill of Rights, Family Friendly Workplace and Fair Hire ordinances. San Francisco has a model enforcement process that serves both employees and employers promptly and fairly. Exposing employers to third party litigation is wisely excluded from this ordinance.

While the San Francisco Chamber of Commerce supports expanded parental leave benefits, there is strong belief among many business owners that once again, to the financial detriment of small businesses, a mandate is being adopted in San Francisco that would be better dealt with at the State or Federal level. And, because a number of additional amendments suggested by employers were not included by either Supervisor Wiener or the Committee, we are neutral on this legislation.

Sincerely,

A handwritten signature in black ink, appearing to read "Jim Lazarus", with a long horizontal flourish extending to the right.

Jim Lazarus
Senior Vice President of Public Policy

cc: Clerk of the Board, to be distributed to all Supervisors; Mayor Ed Lee

City and County of San Francisco
HUMAN RIGHTS COMMISSION

Theresa Sparks
 Executive Director



COMMISSIONERS

Susan Belinda
 Christian
Chair

Sheryl Evans Davis
Vice Chair

Mark Kelleher
 Michael Pappas
 Richard Pio Roda
 Abigail Porth
 Michael Sweet

March 25, 2016
 San Francisco Board of Supervisors
 1 Dr. Carlton B. Goodlett Place
 City Hall, Room 244
 San Francisco, Ca. 94102-4689

Edwin M. Lee
 Mayor

RECEIVED
 BOARD OF SUPERVISORS
 SAN FRANCISCO
 2016 MAR 29 PM 3:07
 W

To the Honorable San Francisco Board of Supervisors:

The San Francisco Human Rights Commission (SFHRC) is pleased to offer its strong support of San Francisco Supervisors Scott Wiener and David Campos in their efforts to support the passage of California State Bill AB 1887, a ban of State funded travel to states with anti-LGBT laws.

Existing California law prohibits discrimination on the basis of race, national origin, ethnic group identification, religion, age, sex, sexual orientation, color, genetic information, or disability under any State program or activity. Existing law also provides for officers and employees of the State, when away from their headquarters on State business, to receive reimbursement for travel expenses.

The San Francisco Human Rights Commission supports AB 1887, which would prohibit a State agency from requiring any of its employees, officers, or members to travel to any state with a law in effect that sanctions or requires discrimination on the basis of sexual orientation, gender identity, or gender expression, or approving a request for state-funded or state-sponsored travel to any state with a law in effect that sanctions or requires discrimination on the basis of sexual orientation, gender identity, or gender expression. The SFHRC would strongly endorse amendments to this proposed legislation that would provide for certain exemptions, such as for educational or humanitarian reasons.

Since its inception in 1964, the SFHRC has been charged by the City and County of San Francisco to provide leadership and promote and advocate for the human rights of all San Franciscans. We are resolute in our support of local, State and national efforts to limit or neutralize the negative impact of discriminatory laws against lesbian, gay, bisexual and transgender individuals as currently supported in some instances by asserting a religious freedom exemption.

SFHRC echoes the shared pronouncement of bill co-authors Assembly Members Evan Low and Phil Ting, as well as Equality California, that the passage AB 1887 sends a clear message that the State of California does not tolerate discrimination in any form.

The SFHRC applauds your leadership regarding this effort and remains committed to supporting you in those efforts toward the passage of CA AB 1887.

Sincerely,

A handwritten signature in black ink, appearing to read 'Susan Belinda Christian', with a stylized flourish at the end.

Susan Belinda Christian
Chair
On Behalf of the San Francisco Human Rights Commission

From: Board of Supervisors, (BOS)
To: BOS-Supervisors; BOS-Legislative Aides
Subject: FW: Notification of Waiver Request - Rapid Notify
Attachments: BOS Sole Source Notificatin Ltr - Rapid Notify 03.25.2016.pdf; CMD Waiver Request Ltr and CMD-201 - Rapid Notify 03.25.2016.pdf; OCA Waiver Request Letter - Rapid Notify 03.25.2016.pdf

From: Gong, Henry (SHF)
Sent: Friday, March 25, 2016 1:37 PM
To: Board of Supervisors, (BOS) <board.of.supervisors@sfgov.org>
Subject: Notification of Waiver Request - Rapid Notify

Pursuant to the San Francisco Administrative code Chapters 12B & 14B attached please find a copy of the Waiver Request form (CMD-201) sent to the Contract Monitoring Division on 3/25/16.

The Sheriff's Department is requesting a waiver from Administrative Code Chapter 12B requirement for Rapid Notify, Inc.

This is a one year subscription fee which allows access to Rapid Notify, a proprietary emergency telecommunication system for San Mateo County. The system allows the Sheriff's Department to initiate automated emergency telephone calls to residents and business of San Mateo County, with emergency information related to the San Francisco County Jails located in San Bruno.

Thank you.

Henry Gong
SFSD Finance
1 Dr. Carlton B. Goodlett Place
Room 456, City Hall
San Francisco, CA 94103

Tel: (415) 554-7241



**OFFICE OF THE SHERIFF
CITY AND COUNTY OF SAN FRANCISCO**


1 DR. CARLTON B. GOODLETT PLACE
ROOM 456, CITY HALL
SAN FRANCISCO, CALIFORNIA 94102



**VICKI L. HENNESSY
SHERIFF**

March 25, 2016
Reference # CFO-2016-06

To: Angela Calvillo
Clerk of the Board of Supervisors

From: Mylan Luong 
Acting Deputy Director/CFO

Re: Waiver Request – Rapid Notify, Inc.

Pursuant to the San Francisco Administrative code Chapters 12B & 14B attached is a copy the Waiver Request Form (HRC Form 201) sent to the Contract Monitoring Division on 3/25/16.

The Sheriff's Department is requesting a waiver from Administrative Code Chapters 12B and 12C requirement for Rapid Notify, Inc.

This is a one year subscription fee which allows access to Rapid Notify, a proprietary emergency telecommunication system for San Mateo County. The System is fully automated and pre-programmed with all residential and business telephone numbers in that county. The system allows the Sheriff to initiate automated emergency telephone calls to residents and business of San Mateo County, with emergency information related to the San Francisco County Jails located in San Bruno.

If you have any questions about this request, please contact Henry Gong at (415) 554-7241. Thanks you for your consideration of this matter.

RECEIVED
BOARD OF SUPERVISORS
SAN FRANCISCO
2016 MAR 25 PM 1:43



**OFFICE OF THE SHERIFF
CITY AND COUNTY OF SAN FRANCISCO**

1 DR. CARLTON B. GOODLETT PLACE
ROOM 456, CITY HALL
SAN FRANCISCO, CALIFORNIA 94102



**VICKI L. HENNESSY
SHERIFF**

March 25, 2016
Reference # CFO-2016-07

To: Romulus Asenloo,
Contract Monitoring Division

From: Mylan Luong
Acting Deputy Director/CFO

Re: Waiver Request – Rapid Notify, Inc.

The Sheriff's Department is requesting waiver from Administrative Code Chapter 12B requirement for Rapid Notify, Inc.

This is a one year subscription fee which allows access to Rapid Notify, a proprietary emergency telecommunication system for San Mateo County. The system is fully automated and pre-programmed with all residential and business telephone numbers in that county. The system allows the Sheriff to initiate automated emergency telephone calls to residents and business of San Mateo County with emergency information related to the San Francisco County Jails, located in San Bruno.

If you have any questions about this request, please contact Henry Gong at (415) 554-7241. Thanks you for your consideration of this matter.



CITY AND COUNTY OF SAN FRANCISCO CONTRACT MONITORING DIVISION

S.F. ADMINISTRATIVE CODE CHAPTERS 12B and 14B WAIVER REQUEST FORM (CMD-201)

Send completed waiver requests to:
cmd.waiverrequest@sfgov.org or
CMD, 30 Van Ness Avenue, Suite 200, San Francisco, CA
94102

FOR CMD USE ONLY

Request Number:

Section 1. Department Information

Department Head Signature: [Signature]

Name of Department: San Francisco Sheriff's Department

Department Address: 1 Dr. Carlton B. Goodlett Place, Room 456

Contact Person: Henry Gong

Phone Number: (415) 554-7241

E-mail: henry.gong@sfgov.org

Section 2. Contractor Information

Contractor Name: Rapid Notify

Vendor No.: 76003

Contractor Address: 23046 Avenida de la Carlota, Suite 600, Laguna Hills, CA 92653

Contact Person: Steve Sipe

Contact Phone No.: (949) 582-3020

Section 3. Transaction Information

Date Waiver Request Submitted: 03/22/2016

Type of Contract: Annual Service Fee

Contract Start Date: 7/1/2016

End Date: 6/30/2017

Dollar Amount of Contract: \$ \$ 12,075.00

Section 4. Administrative Code Chapter to be Waived (please check all that apply)

☒ Chapter 12B

☐ Chapter 14B Note: Employment and LBE subcontracting requirements may still be in force even when a 14B waiver (type A or B) is granted.

Section 5. Waiver Type (Letter of Justification *must* be attached, see Check List on back of page.)

☒ A. Sole Source

☐ B. Emergency (pursuant to Administrative Code §6.60 or 21.15)

☐ C. Public Entity

☐ D. No Potential Contractors Comply

(Required) Copy of waiver request sent to Board of Supervisors on: _____

☐ E. Government Bulk Purchasing Arrangement

(Required) Copy of waiver request sent to Board of Supervisors on: _____

☐ F. Sham/Shell Entity

(Required) Copy of waiver request sent to Board of Supervisors on: _____

☐ G. Subcontracting Goals

☐ H. Local Business Enterprise (LBE)

CMD/HRC ACTION

12B Waiver Granted: _____

14B Waiver Granted: _____

12B Waiver Denied: _____

14B Waiver Denied: _____

Reason for Action: _____

CMD Staff: _____

Date: _____

CMD Director: _____

Date: _____

HRC Director (12B Only): _____

Date: _____



**OFFICE OF THE SHERIFF
CITY AND COUNTY OF SAN FRANCISCO**

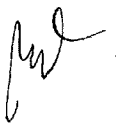
1 DR. CARLTON B. GOODLETT PLACE
ROOM 456, CITY HALL
SAN FRANCISCO, CALIFORNIA 94102



**VICKI L. HENNESSY
SHERIFF**

March 25, 2016
Reference # CFO-2016-08

To: Jaci Fong
Director, Office of Contract Administration

From: Mylan Luong
Acting Deputy Director/CFO 

Subject: Request for Waiver of Applicable San Francisco Administrative Code Requirements to allow access to proprietary emergency telecommunication system held and operated by Rapid Notify, Inc. in the amount of \$12,075.

Reference: Annual Subscription Fee

The San Francisco Sheriff's Department (SFSD) requests your approval of the above referenced sole source request for the reasons set forth in this memo.

This is a one year subscription fee allows access to a Rapid Notify proprietary emergency telecommunication system for San Mateo County. The System is fully automated and pre-programmed with all residential and business telephone numbers in that county. This will allow the Sheriff to initiate automated emergency telephone calls, to residents and business of San Mateo County, with emergency information (prisoner escapes, etc.) related to the San Francisco County Jails, located in San Bruno.

Please call Henry Gong at 415-554-7241 with any questions you may have regarding this request.

Sole Source Waiver Request

Administrative Code Section 21.5(b) provides that commodities or services available only from a sole source shall be procured in accordance with Purchaser's regulations. Purchaser's regulations provide that, "If a department needs a commodity or service which is unique and which is known to be provided by only one vendor, then only one price quotation is solicited from the single vendor. The requesting department must submit documentation to the Purchaser justifying the transaction as a sole source. From time to time, the Purchaser may conduct a formal bid to determine the continuing validity of the sole source determination." (Procurement Instruction 12.06, Exhibit A, Section IX.D, dated April 28, 1989)

Directions: Use this form to justify a sole source transaction. The department requestor must complete the information below and attach a written memo with appropriate supporting documentation to justify this request. The memo must provide specific and comprehensive information that explains why the requested transaction should be considered a sole source. Departments are encouraged to consult with the Human Rights Commission and the City Attorney prior to submitting this request.

Department: Sheriff Date Submitted: 3/22/16

Contact: Henry Gong Phone: (415) 554-7241

Vendor Name: Rapid Notify Vendor # 76003

Type of Contract: Commodity _____ Professional Service _____ Non-Professional Service X
Other _____ Annual Subscription Fee _____

Amount: \$ \$12,075.00 ADPICS Doc #: _____

Describe the product or service: This is a one year subscription fee to allow access to the proprietary emergency telecommunications systems held and operated by Rapid Notify, Inc. (Previously known as Community Alert Network, Inc.). This allows the San Francisco Sheriff's Department to initiate automated emergency telephone calls to residents of San Mateo County, with emergencies related to the San Francisco County Jail located in San Bruno (Emergencies such as prisoner escape, etc.). This is not professional nor personal service related, as the emergency alert system is fully automated and pre-programmed with all residential and business telephone numbers in San Mateo County. The service period is from 7/1/16 through 6/30/17.

Has the Contract Monitoring Division granted a sole source waiver on this transaction? Yes
If yes, when was the sole source granted? 4/28/15 Please attach a copy of the HRC Waiver.

Check the appropriate statement. Attach a memo and documentation to address the questions following each statement.

X Goods or services are available from only one source.

Explain why this is the only product or service that will meet the City's needs. Why is this the only vendor or contractor that can provide the services or products? What steps were taken to verify that the goods or services are not available from another source? Explain what efforts were made to obtain the best possible price. Why do you feel the price to be fair and reasonable? How was this vendor chosen? How long has the vendor been providing goods or services for your department?

_____ Only one prospective vendor is willing to enter into a contract with the City.

Explain why no other vendors are willing to contract with the City. If there are compliance issues, what have you done to get other possible sources to become compliant? Have you contacted HRC? Have you received a waiver from HRC?

_____ Item has design and/or performance features that are essential to the department, and no other source satisfies the City's requirements.

Explain why the design/performance features are essential. Have you contacted other suppliers to evaluate items/services with similar features and capabilities? If no, explain why not. If yes, list the suppliers and explain why their goods or services do not meet the department's needs.

_____ Licensed or patented good or service.

Provide proof that the license or patent limits the availability of the product or service to only one source.

Other: _____

INSTRUCTIONS:

The Sole Source request must be approved before the department makes a commitment to the vendor, and before funds are encumbered. If the Sole Source request is denied, the department will be advised to conduct a competitive process to select the vendor/contractor. If the Sole Source request is to extend an existing professional service contract, attach a copy of the original contract and any prior sole source determinations made by HRC or Purchasing. When processing professional service contracts and modifications for signature, attach the approved sole source waiver form to the contract documents.

This form is required for every transaction, contract, or contract modification that the department wishes to be treated as a sole source. For additional information call the Purchaser assigned to your department.

The Department Head must sign this request before it is sent to OCA-Purchasing.

This Sole Source request is being submitted by:

Department Head Signature: _____

Date: _____

Mylan Luong
Mylan Luong- Interim Deputy Director/CFO
San Francisco Sheriff's Department

Name of Department: _____

OCA Review and Approval:

Sole Source Approved: _____

Sole Source Denied: _____

Reason for Determination

OCA Staff: _____

Date: _____

OCA Staff: _____

Date: _____

OCA Director: _____

Date: _____

**451 Bush Street, Inc.
SFFSRE, LLC**

03-24-16
PSN S,
cpage

Clerk of the Board
San Francisco Board of Supervisors
1 Dr. Carlton B. Goodlett Place, Room 244
San Francisco, CA 94102

Re: Liquor License "PCN" Request
Transfer Type 48, Pending License 567344
447 Bush Street, San Francisco, CA 94108

RECEIVED
BOARD OF SUPERVISORS
SAN FRANCISCO
2016 MAR 28 PM 2:28
AK

To the Clerk of the Board,

The purpose of this letter is to respectfully request to be placed on the Board's calendar for ~~Public Convenience and Necessity~~ approval with regard to our transfer Type 48 On-Sale General Public Premises license. We are renovating the downstairs level premises at 447 Bush Street within the Hotel des Arts, and wish to operate as a cocktail lounge to serve the artists, professionals, hotel guests, and visitors of this area.

Our desired hours of operation are 6:00am - 2:00am. We will vigilantly monitor the surrounding area to ensure the safety of our business and customers at all times and maintain a lawful business. We've operated several other liquor licenses in San Francisco (Amelie, Michel Bistro, Tunnel Top, Madrone, Pop's Bar) since 2006 with no problems. Our long history in this area has allowed us to cultivate very good relationships with community leaders and members.

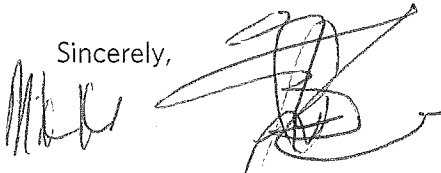
Further, our co-licensee, SFFSRE LLC, is the owner of the real estate. The process by which to obtain their approval and complete this buildout has been long fought. We feel forging this relationship with the landlord assures our success at this location.

In addition to each of the owners of 451 Bush Street Inc. taking shifts to run the business, we anticipate having between 6-7 employees. We have settled on the name of FLUXUS for the bar name. We are spending approximately \$800,000 on the build-out of the space.

We seek the SF Board of Supervisor's affirmative ruling that our application serves the public convenience and necessity of our City.

Please contact our representative, Carrie A Peters, for scheduling our hearing date. She can be reached at 415-235-3921 or via email at Carrie@ABCLicenseCompany.com. Thank you for your kind consideration of this request.

Sincerely,



Michael Krouse, Ludovic Racenet and Jean-Michel Fabregon



(9)



Commission of Animal Control and Welfare

RECEIVED
BOARD OF SUPERVISORS
SAN FRANCISCO
MAR 25 PM 2:45

March 23, 2016

Dear Members of the Board of Supervisors,

We urge you to approve the Certificate of Participation proposal to finance a new Animal Care and Control facility in San Francisco. The current facility at 15th Street, which opened in 1989, is seismically unsafe and poses a safety risk for both humans who work and visit as well as for the animals. The current facility is not likely to withstand a major earthquake, which puts both humans and animals inside the facility at risk.

In the event of a disaster, Animal Care and Control needs to have a safe and fully operational facility to care for both the animals in its custody and animals whose guardians are injured or deceased. We also want to ensure that people do not have any hesitation about seeking safety with Animal Care and Control for fear that their animals will be endangered. The Commission understands that our elected representatives must balance the needs of all our citizens which is why a new Animal Care and Control facility is important to the pets and pet guardians of San Francisco.

The proposed new facility will allow ACC to accomplish its goal of saving all healthy and treatable shelter animals. Specific improvements include space to house sick and infectious animals requiring quarantine, to provide much needed outdoor space where animals can receive regular exercise, alleviating stress and increasing overall health. Additionally, the new facility will provide a clean and welcoming area where the public are comfortable visiting. All these improvements and many others will allow staff to continue improving the live release rates.

Thank you for your consideration of this important matter.

Sincerely,

San Francisco Animal Control and Welfare Commission
Annemarie Fortier, Chairperson
Russell Tenofsky, Vice-Chair
Jane Tobin, Secretary
Nanci Haines, Commissioner
Julene Johnson, Commissioner
Davi Lang, Commissioner

COMMISSIONERS

Annemarie Fortier
Chairperson

Russell Tenofsky
Vice-Chair

Jane Tobin
Secretary

Nanci Haines
Commissioner

Julene Johnson
Commissioner

Davi Lang
Commissioner

DEPARTMENT REPRESENTATIVES

Shari O'Neill, DVM
Animal Care & Control

Sergeant Sherry Hicks
San Francisco Police Department

Lisa Wayne
Recreation & Park Department



National Park Service
U.S. Department of the Interior

Golden Gate National Recreation Area
Fort Mason, Bldg. 201
San Francisco, CA 94123
www.nps.gov/goga

2016 MAR 28 PM 2:28

Environmental Assessment Public Review Period Extended
PG&E Gas Line-109 Pipeline Replacement Project
March 28-April 15, 2016

NPS released an Environmental Assessment (EA) of the Pacific Gas & Electric (PG&E) Gas Line-109 Pipeline Replacement Project in the San Francisco Peninsula Watershed for public review, February 28, 2016 for a 30-day comment period ending on March 28, 2016. The NPS is extending the comment period deadline to **April 15, 2016**.

The project would enhance safety and improve operations of PG&E's natural gas transmission system by replacing 4.7 miles of pipeline in three segments within the San Francisco Peninsula Watershed - Cañada Road, Bunker Hill, and Crystal Springs.

The National Park Service/Golden Gate National Recreation Area (NPS/GGNRA) holds two easements, a Scenic Easement and a Scenic and Recreation Easement over the 23,000 acre Watershed which is owned by the City and County of San Francisco (CCSF) and managed by the San Francisco Public Utilities Commission (SFPUC). Because of these easements, SFPUC is required to obtain approval from NPS/GGNRA for actions that may affect the Watershed scenic and recreational resources.

Submit online comments by **April 15, 2016** or postmarked on or before **April 15** if mailing written comments. For more information e-mail: goga_planning@nps.gov or call 415-561-4700. Interested individuals, organizations, and agencies are invited to submit comments on the proposed gas line safety enhancement NPS/GGNRA either online at: <http://parkplanning.nps.gov/pgpipeline>, or by mail to:

Superintendent
Golden Gate National Recreation Area
Attn: PG&E L-109 Project
Fort Mason, Building 201
San Francisco, CA 94123

From: Michael Lyon <mlyon01@comcast.net>
Sent: Thursday, March 31, 2016 12:11 AM
To: Avalos, John (BOS); Peskin, Aaron (BOS); Campos, David (BOS); Breed, London (BOS); Cohen, Malia (BOS); Farrell, Mark (BOS); Kim, Jane (BOS); Tang, Katy (BOS); Wiener, Scott; Yee, Norman (BOS); Mar, Eric (BOS); Lee, Mayor (MYR); Board of Supervisors, (BOS); SFPD, Commission (POL)
Subject: No Tasers for SF Police
Attachments: 2016-03-30-michael- tasers, letter to SF officials against equipping police with tasers.doc

Gray Panthers of San Francisco

2940 16th Street, Room 200-4, San Francisco CA 94103
415-552-8800 graypanther-sf@sonic.net

Officials of the City of San Francisco
March 30, 2016
Re: Do Not Equip SF Police with Tasers

Mayor Ed Lee and Police Chief Greg Suhr are taking advantage of the SF Police Department's execution-style murder of Mario Woods to push for arming SF police with tasers (electric stun guns), claiming that if the police had tasers, it would not have been "necessary" to kill Mario.

This statement is outrageous and wrong in the facts. Police procedure is to use guns when endangered, so the same racist routine of police killing people of color they say are endangering them will continue, whether cops have tasers or not. A UCSF study showed fatal police shootings and deaths actually *increase* after police have tasers. Instead, tasers will give police another weapon to terrorize subjects. 80% of US taser use is against unarmed victims. And police use tasers disproportionately against Blacks, Latinos, people with disabilities, and the mentally ill. In San Diego Blacks and Latinos are twice as likely to be tased as whites

Tasers are not non-lethal. Between 2001-2014, over 600 have been killed by tasers in the US. When police tase someone, they have no way of knowing if the person is vulnerable to death or permanent bodily or psychology injury from tasing.

Prosecutors and courts will not restrain police taser abuse any more than they restrain police gun use. A seven-month pregnant black woman in Seattle was pulled over for allegedly driving 32 in a 20 mph zone. When she refused to sign the ticket, thinking it admitted guilt, and did not get out of the car, she was tased three times. A court ruled police acted reasonably.

Instead of tasers and more weapons for the police, we need trained people who can be called to help people in mental or psychiatric crises. The stresses of extreme economic insecurity, and particularly homelessness, is driving more and more people to mental illness, alcoholism, drug addiction, and suicide, and the increased mental crises on San Francisco streets is a symptom.

We need **Crisis Intervention Teams**, who can approach people having mental and emotional breakdowns, and use calming and verbal de-escalation, instead of shouted police threats, beatings, and

even murder. Localities where strong Crisis Intervention Teams have been implemented have greatly reduced and sometimes eliminated use of force and fatal shootings by police.

San Francisco Police have trained some officers in Crisis Intervention, but the lessons of this training have not been incorporated into their General Orders which govern their conduct on the street. Moreover, the City has not created any **Crisis Intervention Teams** who could reach people in crisis on San Francisco streets. This is what needs to be done.

Michael Lyon, Co-Convener

Gray Panthers of San Francisco

2940 16th Street, Room 200-4, San Francisco CA 94103

415-552-8800 graypanther-sf@sonic.net

Officials of the City of San Francisco

March 30, 2016

Re: Do Not Equip SF Police with Tasers

Mayor Ed Lee and Police Chief Greg Suhr are taking advantage of the SF Police Department's execution-style murder of Mario Woods to push for arming SF police with tasers (electric stun guns), claiming that if the police had tasers, it would not have been "necessary" to kill Mario.

This statement is outrageous and wrong in the facts. Police procedure is to use guns when endangered, so the same racist routine of police killing people of color they say are endangering them will continue, whether cops have tasers or not. A UCSF study showed fatal police shootings and deaths actually *increase* after police have tasers. Instead, tasers will give police another weapon to terrorize subjects. 80% of US taser use is against unarmed victims. And police use tasers disproportionately against Blacks, Latins, people with disabilities, and the mentally ill. In San Diego Blacks and Latins are twice as likely to be tased as whites

Tasers are not non-lethal. Between 2001-2014, over 600 have been killed by tasers in the US. When police tase someone, they have no way of knowing if the person is vulnerable to death or permanent bodily or psychology injury from tasing.

Prosecutors and courts will not restrain police taser abuse any more than they restrain police gun use. A seven-month pregnant black woman in Seattle was pulled over for allegedly driving 32 in a 20 mph zone. When she refused to sign the ticket, thinking it admitted guilt, and did not get out of the car, she was tased three times. A court ruled police acted reasonably.

Instead of tasers and more weapons for the police, we need trained people who can be called to help people in mental or psychiatric crises. The stresses of extreme economic insecurity, and particularly homelessness, is driving more and more people to mental illness, alcoholism, drug addiction, and suicide, and the increased mental crises on San Francisco streets is a symptom.

We need **Crisis Intervention Teams**, who can approach people having mental and emotional breakdowns, and use calming and verbal de-escalation, instead of shouted police threats, beatings, and even murder. Localities where strong Crisis Intervention Teams have been implemented have greatly reduced and sometimes eliminated use of force and fatal shootings by police.

San Francisco Police have trained some officers in Crisis Intervention, but the lessons of this training have not been incorporated into their General Orders which govern their conduct on the street. Moreover, the City has not created any **Crisis Intervention Teams** who could reach people in crisis on San Francisco streets. This is what needs to be done.

Michael Lyon, Co-Convener

From: Bruce Agid <bruce.h.agid@gmail.com>
Sent: Tuesday, March 29, 2016 12:28 AM
To: Breed, London (BOS); Avalos, John (BOS); Campos, David (BOS); Cohen, Malia (BOS); Farrell, Mark (BOS); Kim, Jane (BOS); Mar, Eric (BOS); Peskin, Aaron (BOS); Tang, Katy (BOS); Wiener, Scott; Yee, Norman (BOS)
Cc: Elliott, Nicole (MYR); Board of Supervisors, (BOS)
Subject: Reappointment of Cristina Rubke to the SFMTA Board of Directors

Board President Breed
Supervisor Avalos
Supervisor Campos
Supervisor Cohen
Supervisor Farrell
Supervisor Kim
Supervisor Mar
Supervisor Peskin
Supervisor Tang
Supervisor Wiener
Supervisor Yee

I'm writing to show my support for the re-appointment of Cristina Rubke to the SFMTA Board of Directors.

I have known Cristina for close to 4 years and have seen her dedication and focus first hand. Overall she has been advocating for accessibility and building better connections between the disability community and the SFMTA. SFMTA already has done great work with accessibility, but the aging infrastructure is a real challenge, especially for things like elevators and escalators. Some of her accomplishments:

- She successfully advocated to include funding in the next two year budget to upgrade the Van Ness Station elevator (a huge problem in terms of constant outages).
- Better communication to riders about elevator & escalator outages. Although it still needs improvement, SFMTA now uses the next bus screens & email/text alerts, along with their Twitter feed, to convey this information.
- Worked with Sunday Streets, the SF Bike Coalition and BORP to include an accessible bike demo at the Dogpatch/Bayview Sunday Streets a few years ago.
- Of course, she is deeply committed to VisionZero.

In addition, she remains active in the community to stay connected to current concerns, ideas, and opportunities and is accessible to all community members. One example, during the recent shut-down and around the clock work at the corner of 4th and King for the Central Subway construction, Cristina met with me to discuss potential community concerns, issues and proposed actions. So very supportive!

Also, she served on the Pier 30-32 CAC, volunteered as a Super Bowl ambassador for SFMTA and currently serves on the Waterfront Plan Update Working Group.

Policy thought leader, community representative and disability advocate, please support Cristina Rubke's reappointment to the SFMTA Board of Directors.

Thanks in advance,

Bruce Agid

South Beach/Rincon/Mission Bay Neighborhood Association Board Member and Transportation Representative*

*Identification purposes only

From: Board of Supervisors, (BOS)
To: BOS-Supervisors; Evans, Derek
Subject: File 160208 FW: Cristina Rubke's nomination to MTA Board

-----Original Message-----

From: Jessica Lehman [mailto:jessica@sdaction.org]
Sent: Friday, April 01, 2016 2:03 PM
To: Board of Supervisors, (BOS) <board.of.supervisors@sfgov.org>
Cc: Elliott, Nicole (MYR) <nicole.elliott@sfgov.org>
Subject: Cristina Rubke's nomination to MTA Board

Dear Supervisors,

I write to urge you to support the nomination of Cristina Rubke for another 4-year term on the MTA Board. Senior and Disability Action has worked with Cristina and we appreciate her willingness to meet with community groups, hear the experiences of residents, and take action as needed. She spoke up in terms of Free Muni for seniors and people with disabilities and played an instrumental role in getting this important program passed and implemented. As a person with a disability herself, Cristina brings critical personal experience to the board. We hope you will approve her nomination and allow her to continue to work for people with disabilities, seniors, and the entire community.

Thank you.

Jessica Lehman
Executive Director
Senior & Disability Action

1360 Mission Street #400
San Francisco, CA 94103
(415) 546-1333 x301
jessica@sdaction.org

www.sdaction.org
Like us on facebook!
<https://www.facebook.com/pages/San-Francisco-Senior-and-Disability-Action/473061952727334>

From: Board of Supervisors, (BOS)
To: BOS-Supervisors; BOS-Legislative Aides
Subject: FW: Local Business Enterprise (LBE) Contracting Report for FY 15/16 - Q1/Q2 pursuant to Chapter 14B.15(A) of the SF Administrative Code
Attachments: 00_BOS Attachments.pdf; FY15-16 Q2 quarterly report cover letter 03 23 16.pdf

From: Visconti, Michael (ADM)
Sent: Thursday, March 31, 2016 12:06 PM
To: Board of Supervisors, (BOS) <board.of.supervisors@sfgov.org>
Cc: Fretty, Rochelle (ADM) <rochelle.fretty@sfgov.org>
Subject: Local Business Enterprise (LBE) Contracting Report for FY 15/16 - Q1/Q2 pursuant to 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 of the 2015/16 fiscal year.

Thirteen (13) copies of the letter and all attachments have arrived at City Hall (Room 244) via CCSF interoffice mail, per Board procedures, and per our conversation this morning.

Should you have any questions, require any further information, please do not hesitate to contact me at this email address.

Please confirm receipt of attachments (size reduced to <1 MB).

Thank you,

Michael Visconti
Contract Monitoring Division | SFO
City and County of San Francisco
Direct: 650.821.7765 | Fax: 650.821.7820
Email: Michael.Visconti@sfgov.org

From: Fretty, Rochelle (ADM)
Sent: Thursday, March 31, 2016 12:00 PM
To: Visconti, Michael (ADM) <michael.visconti@sfgov.org>
Subject: FW: Local Business Enterprise (LBE) Contracting Report for FY 14/15 pursuant to Chapter 14B.15(A) of the SF Administrative Code

Rochelle Fretty, Clerk



Contract Monitoring Division (CMD)
30 Van Ness Avenue | Suite 200 | San Francisco | CA | 94102

14

Direct 415-581-2314 | Main 415-581-2310

Rochelle.Fretty@sfgov.org

Visit us at sfgov.org/cmd



OFFICE OF THE CITY ADMINISTRATOR CONTRACT MONITORING DIVISION



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

Veronica Ng, Director

March 23, 2016

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

RECEIVED
BOARD OF SUPERVISORS
SAN FRANCISCO
2016 MAR 28 AM 9:48
BY: [signature]

Dear San Francisco Board of Supervisors:

Pursuant to Chapter 14B.15(A) of the San Francisco Administrative Code, please find the Local Business Enterprise ("LBE") Contracting Report for the first and second quarter (Q1 and Q2) of the 2015/16 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 contracts covered by Chapter 14B 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,

Veronica Ng
Contract Monitoring Division
Director

Recreation and Parks Department

Contract Award and Payment Summary

FY 15-16 Q1

FY 15-16 Q1 Awarded Contracts		
Total Number of Contracts	1	
Professional Services	0	0%
Construction	1	100%
LBE Primes	1	100%
Non-LBE Primes	0	0%
MBE Primes	0	0%
OBE Prime	0	0%
WBE Prime	1	100%
SBA LBE Prime	0	0%

FY 15-16 Q1 Awards		
Amount Awarded	\$ 216,000	
Awarded to Non-LBE Primes	\$ -	0%
Awarded to Non-LBE Subs	\$ 67,500	31%
Awarded to LBEs Primes	\$ 148,500	69%
Awarded to LBE Subs	\$ -	0%
Awarded to MBE Primes	\$ -	0%
Awarded to MBE Subs	\$ -	0%
Awarded to OBE Primes	\$ -	0%
Awarded to OBE Subs	\$ -	0%
Awarded to WBE Primes	\$ 148,500	69%
Awarded to WBE Subs	\$ -	0%
Awarded to SBA Prime	\$ -	0%
Awarded to SBA Sub	\$ -	0%

July 2013-September 30, 2015 Payments**			Change from Q4 2014/15
Total Paid	\$ 5,244,725		\$ 207,234
Paid to Non-LBEs Primes	\$ 2,967,488	14%	\$ 83,899
Paid to Non-LBE Subs	\$ 270,256	13%	\$ -
Paid to LBEs Primes	\$ 787,511	14%	\$ 23,421
Paid to LBE Subs	\$ 1,219,470	59%	\$ 99,914
Paid to MBE Primes	\$ 388,068	5%	\$ -
Paid to MBE Subs	\$ 959,687	51%	\$ 81,234
Paid to OBE Primes	\$ 379,488	8%	\$ 23,421
Paid to OBE Subs	\$ 132,346	5%	\$ 18,680
Paid to WBE Primes	\$ 19,955	1%	\$ -
Paid to WBE Subs	\$ 127,437	2%	\$ -
Paid to SBA-LBE Primes	\$ -	0%	\$ -
Paid to SBA-LBE Subs	\$ -	0%	\$ -

FY 15-16 Q1 Micro Set Aside Contracts	
Total Eligible Contracts	1
Total Awarded Micro Set Asides	1

*Based on information from Elation/LBEUTS dated 10/1/2015

Recreation and Parks Department

Contract Award and Payment Summary

FY 15-16 Q2

FY 15-16 Q2 Awarded Contracts		
Total Number of Contracts	1	
Professional Services	0	0%
Construction	1	100%
LBE Primes	1	100%
Non-LBE Primes	0	0%
MBE Primes	0	0%
OBE Prime	1	100%
WBE Prime	0	0%
SBA LBE Prime	0	0%

FY 15-16 Q2 Awards		
Amount Awarded	\$ 1,337,590	
Awarded to Non-LBE Primes	\$ 390,672	29%
Awarded to Non-LBE Subs	\$ 127,800	10%
Awarded to LBEs Primes	\$ 542,790	41%
Awarded to LBE Subs	\$ 276,328	21%
Awarded to MBE Primes	\$ 319,990	24%
Awarded to MBE Subs	\$ 127,670	10%
Awarded to OBE Primes	\$ 222,800	17%
Awarded to OBE Subs	\$ 100,555	8%
Awarded to WBE Primes	\$ -	0%
Awarded to WBE Subs	\$ 48,103	4%
Awarded to SBA Prime	\$ -	0%
Awarded to SBA Sub	\$ -	0%

July 2013-December 31, 2015 Payments*			Change from Q1 2015/16
Total Paid	\$ 7,043,187		\$ 1,798,462
Paid to Non-LBEs Primes	\$ 3,410,967	48%	\$ 443,478
Paid to Non-LBE Subs	\$ 446,471	6%	\$ 176,215
Paid to LBEs Primes	\$ 1,836,150	26%	\$ 1,048,639
Paid to LBE Subs	\$ 1,349,599	19%	\$ 130,129
Paid to MBE Primes	\$ 496,912	7%	\$ 108,845
Paid to MBE Subs	\$ 972,614	14%	\$ 12,927
Paid to OBE Primes	\$ 1,133,558	16%	\$ 754,070
Paid to OBE Subs	\$ 225,453	3%	\$ 93,107
Paid to WBE Primes	\$ 205,680	3%	\$ 185,725
Paid to WBE Subs	\$ 151,532	2%	\$ 24,095
Paid to SBA-LBE Primes	\$ -	0%	\$ -
Paid to SBA-LBE Subs	\$ -	0%	\$ -

FY 15-16 Q2 Micro Set Aside Contracts	
Total Eligible Contracts	0
Total Awarded Micro Set Asides	0

*Based on information from Elation/LBEUTS dated 1/1/2016

RPD

FY 13/14 - FY15/16 Contract List
Contract Monitoring Division

Chapter 14B CMD LBE Report

Dept.	Contract Number	Project Name	Prime	Prime LBE Status	LBE Goal	Sub Goal to Date	Original Award Amount	Total Payments to LBEs	Total Contract Payments	Date	CCO	Industry	Quarter
RPD	CON15-014	Great Highway Frontage Project	Anvil Builders	LBE-OBE	0.25	93%	\$ 267,000	\$ 248,710	\$ 248,710	10/2/2015	Finbarr Jewell	Construction	FY 15-16 Q2
RPD	CON15-004	Crocker Amazon Park - Trail, Steps and Tree Maintenance	Alta Engineering	LBE-WBE	MICRO	86%	\$ 216,000	\$ 185,725	\$ 185,725	8/20/2015	Finbarr Jewell	Construction	FY 15-16 Q1
RPD	CON14-022	Shark Park Safety, Infrastructure Improvement Project	Sean W. Smith	Non-LBE	16%	50%	\$ 374,000	\$ 59,368.50	\$ 119,263.50	6/4/2015	Finbarr Jewell	Construction	FY 14-15 Q4
RPD	CON14-020	Light and Court Improvements at Kellogg Velasco and John McLaren Park	JDB & Sons	LBE-OBE	MICRO	43%	\$ 215,893	\$ 123,306.12	\$ 213,116.12	4/21/2015	Finbarr Jewell	Construction	FY 14-15 Q4
RPD	CON14-023	Beach Chalet Renovation - Fencing	Crusader Fence	Non-LBE	5%	0%	\$ 311,405	\$ -	\$ 287,672	3/16/2015	Finbarr Jewell	Construction	FY 14-15 Q3
RPD	47233-13/14	Willie "Woo Woo" Wong Playground Renovation Design Services	Conger Moss Guillard (CMG) Landscape Architecture	Non-LBE	25%	38%	\$ 545,200.00	\$ 19,643.00	\$ 52,193.77	11/24/2014	Finbarr Jewell	Construction	FY 14-15 Q2
RPD	CON14-017	Trocadero Clubhouse	Hol's Construction	LBE-MBE	MICRO	143%	\$ 213,300.00	\$ 305,511.53	\$ 305,511.53	12/22/2014	Finbarr Jewell	Construction	FY 14-15 Q2
RPD	CON14-011	Micro LBE Lawn Bowling Green	Anvil Builders	LBE-OBE	MICRO	0%	\$ 149,490.00	\$ -	\$ -	10/8/2014	Finbarr Jewell	Construction	FY 14-15 Q2
RPD	CON14-004	Little Hollywood Park Renovation	C F Contracting	LBE-OBE	MICRO	101%	\$ 329,600.00	\$ 332,782.18	\$ 332,782.18	12/17/2014	Finbarr Jewell	Construction	FY 14-15 Q2
RPD	CON14-008	Sharp Park Golf Course Eastside Recycled Water Irrigation Retrofits Project	Continental Golf	Non-LBE	14%	19%	\$ 380,881	\$ 70,377	\$ 364,810	8/8/2014	Finbarr Jewell	Construction	FY 14-15 Q1
RPD	CON14-007	Kezar Track Replacement Project	Robert A. Bothman	Non-LBE	15%	0%	\$ 2,569,088.00	\$ -	\$ -	9/29/2014	Finbarr Jewell	Construction	FY 14-15 Q1
RPD	CON14-007	Kezar Track Replacement Project	Robert A. Bothman	Non-LBE	15%	0%	\$ 2,569,088	\$ -	\$ 2,571,734	9/30/2014	Finbarr Jewell	Construction	FY 14-15 Q1
RPD	4112-1213-D	As Needed Construction Management Services	Swinerton/MCK JV	JV-OBE	21%	90%	\$ 850,000	\$ 23,397	\$ 26,097	11/2/2013	Finbarr Jewell	Professional Services	FY 13-14 Q2
RPD	4112-1213-C	As Needed Construction Management Services	CPM/ECS JV	JV-OBE	21%	50%	\$ 850,000	\$ 108,845	\$ 217,689	11/2/2013	Finbarr Jewell	Professional Services	FY 13-14 Q2
RPD	4112-1213-B	As Needed Construction Management Services	CM Pros	LBE-MBE	21%	100%	\$ 850,000	\$ 82,556	\$ 82,556	11/2/2013	Finbarr Jewell	Professional Services	FY 13-14 Q2
RPD	4112-1213-A	As Needed Construction Management Services	ABA Global, INC	LBE-WBE	21%	100%	\$ 850,000	\$ 19,955	\$ 19,955	11/25/2013	Finbarr Jewell	Professional Services	FY 13-14 Q2
RPD	CON13-002R	Coit Tower Renovation	Anvil Builders	LBE-OBE	25%	93%	\$ 1,109,995	\$ 1,247,215	\$ 1,338,659	11/15/2013	Finbarr Jewell	Construction	FY 13-14 Q2
RPD	4025-1213	Randall Museum Renovation	Pfau Long Architecture/Kuth Ranieri	JV-OBE	26%	53%	\$ 736,538	\$ 358,359	\$ 676,712	10/18/2013	Finbarr Jewell	Professional Services	FY 13-14 Q2

Public Utilities Commission

FY 15-16 Q1

FY 15-16 Q1 Awarded Contracts		
Total Number of Contracts*	16	
Professional Services	11	69%
Construction	3	19%
LBE Primes**	10	63%
Non-LBE Primes**	10	63%
MBE Primes	6	38%
OBE Prime	3	19%
WBE Prime	1	6%
SBA LBE Prime	0	0%

FY 15-16 Q1 Awards		
Amount Awarded	\$ 45,519,475	
Awarded to Non-LBE Primes	\$ 18,300,420	40%
Awarded to Non-LBE Subs	\$ 5,738,144	13%
Awarded to LBEs Primes	\$ 13,721,075	30%
Awarded to LBE Subs	\$ 7,759,836	17%
Awarded to MBE Primes	\$ 9,146,987	20%
Awarded to MBE Subs	\$ 2,823,290	6%
Awarded to OBE Primes	\$ 3,974,087	9%
Awarded to OBE Subs	\$ 1,785,761	4%
Awarded to WBE Primes	\$ 600,000	1%
Awarded to WBE Subs	\$ 3,150,785	7%
Awarded to SBA Prime	\$ -	0%
Awarded to SBA Sub	\$ -	0%

July 1, 2013-September 30, 2015 Payments***			Change from Q4 2014/15
Total Paid	\$ 217,582,805		\$ 46,238,924
Paid to Non-LBEs Primes	\$ 60,363,491	28%	\$ 17,236,438
Paid to Non-LBE Subs	\$ 25,080,179	12%	\$ 6,721,304
Paid to LBEs Primes	\$ 100,495,172	46%	\$ 12,555,400
Paid to LBE Subs	\$ 31,643,963	15%	\$ 9,725,782
Paid to MBE Primes	\$ 20,713,001	10%	\$ 2,296,987
Paid to MBE Subs	\$ 14,872,024	7%	\$ 7,136,845
Paid to OBE Primes	\$ 54,038,655	25%	\$ 6,103,163
Paid to OBE Subs	\$ 14,260,055	7%	\$ 1,950,592
Paid to WBE Primes	\$ 18,967,170	9%	\$ 3,577,747
Paid to WBE Subs	\$ 2,511,884	1%	\$ 638,344
Paid to SBA-LBE Primes	\$ 6,776,346	3%	\$ 577,503
Paid to SBA-LBE Subs	\$ -	0%	\$ -

FY 15-16 Q1 Micro Set Aside Contracts	
Total Eligible	0
Total Awarded	0

*includes HH-960. NTP date updated to 6/22/2015 following FY 2014-15 report.

**includes joint venture Non-LBE/LBE prime partnerships

***Based on information from PUC's SOLISv2 CMS, dated October 9, 2015

Public Utilities Commission

FY 15-16 Q2

FY 15-16 Q2 Awarded Contracts		
Total Number of Contracts	5	
Professional Services	4	80%
Construction	1	20%
LBE Primes*	3	60%
Non-LBE Primes*	3	60%
MBE Primes	1	20%
OBE Prime	0	0%
WBE Prime	2	40%
SBA LBE Prime	0	0%

FY 15-16 Q2 Awards		
Amount Awarded	\$ 60,637,605	
Awarded to Non-LBE Primes	\$ 25,223,699	42%
Awarded to Non-LBE Subs	\$ 10,203,228	17%
Awarded to LBEs Primes	\$ 14,365,596	24%
Awarded to LBE Subs**	\$ 10,845,082	18%
Awarded to MBE Primes	\$ 1,806,000	3%
Awarded to MBE Subs**	\$ 5,617,810	9%
Awarded to OBE Primes	\$ 7,607,844	13%
Awarded to OBE Subs**	\$ 2,128,484	4%
Awarded to WBE Primes	\$ 4,737,020	8%
Awarded to WBE Subs	\$ 3,098,788	5%
Awarded to SBA Prime	\$ 214,732	0%
Awarded to SBA Sub	\$ -	0%

July 1, 2013-December 31, 2015 Payments***			Change from Q1 2015/16
Total Paid	\$ 256,756,354		\$ 39,173,549
Paid to Non-LBEs Primes	\$ 69,355,771	14%	\$ 8,992,280
Paid to Non-LBE Subs	\$ 34,921,870	14%	\$ 9,841,691
Paid to LBEs Primes	\$ 111,043,734	85%	\$ 10,548,563
Paid to LBE Subs	\$ 41,434,978	19%	\$ 9,791,015
Paid to MBE Primes	\$ 23,437,055	22%	\$ 2,724,054
Paid to MBE Subs	\$ 16,630,111	10%	\$ 1,758,088
Paid to OBE Primes	\$ 59,320,559	43%	\$ 5,281,903
Paid to OBE Subs	\$ 20,662,423	8%	\$ 6,402,368
Paid to WBE Primes	\$ 20,333,006	18%	\$ 1,365,836
Paid to WBE Subs	\$ 4,142,444	1%	\$ 1,630,559
Paid to SBA-LBE Primes	\$ 7,953,115	-	\$ 1,176,769
Paid to SBA-LBE Subs	\$ -	-	\$ -

FY 15-16 Q2 Micro Set Aside Contracts	
Total Eligible	0
Total Awarded	0

*includes one (1) Joint Venture Non-LBE/LBE-WBE partnership.

**includes PUC-LBE and SF-LBE firms.

***based on information from PUC's SOLISv2 CMS, dated January 4 2016

Department	Contract Number	Project Name	Prime	Prime LBE Status	LBE Goal	Sub Goal To Date	Amount	Total Payments to LBEs	Total Contract Payment	NTP/BPO (Construction/PS)	Contract Compliance Officer	Industry	Quarter
PUC	CS-247(R)	Customer and Administrative Services for Community Choice Aggregation Program	NOBLE AMERICAS ENERGY SOLUTIONS LLC	Non-LBE	5%	0%	\$ 5,600,000	\$ -	\$ -	11/20/2015	Hadas Rivera-Weiss	Professional Service	Q2 FY 15-16
PUC	CS-291.J	Communications Support for SFPUC Community Benefits Program	DAVIS & ASSOCIATES COMMUNICATIONS INC	LBE-MBE	20%	0%	\$ 600,000	\$ -	\$ -	11/9/2015	Regina Chan	Professional Service	Q2 FY 15-16
PUC	CS-169	Planning and Engineering Services CBSIP	M W H AMERICAS INC	Non-LBE	12%	0%	\$ 30,000,000	\$ -	\$ -	11/3/2015	Bayard Fond	Professional Service	Q2 FY 15-16
PUC	CS-369.B	Program Scheduling and Cost Control Staff Augmentation Services	PMA DABRI JV LLC	JV-WBE	35%	0%	\$ 4,750,000	\$ -	\$ -	10/27/2015	Regina Chan	Professional Service	Q2 FY 15-16
PUC	WD-2746	Auxiliary Water Supply System New Cisterns E	AZUL WORKS INC	LBE-WBE	15%	0%	\$ 4,316,950	\$ 43,530	\$ 43,530	10/5/2015	Regina Chan	Construction	Q2 FY 15-16
PUC	WD-2779	College Hill Learning Garden	JDB CONSTRUCTION	LBE-OBE	16%	8%	\$ 532,400.00	\$ 149,292.50	\$ 162,117.50	9/21/2015	Regina Chan	Construction	Q1 FY 15-16
PUC	CS-391.A	As-Needed Operations and Maintenance Services for HHWP	AMEC FOSTER WHEELER-SONIKA CORP JV ENVIRONMENTAL & CONSTRUCTION SLTNS INC	JV-MBE	18%	0%	\$ 4,000,000.00	\$ -	\$ -	9/18/2015	Bayard Fong	Professional Service	Q1 FY 15-16
PUC	CS-369.A	Program Scheduling and Cost Control Staff Augmentation Services	INC	LBE-OBE	16%	0%	\$ 4,750,000.00	\$ -	\$ -	9/11/2015	Regina Chan	Professional Service	Q1 FY 15-16
PUC	PRO.0004.8	As-Needed Wastewater Process Engineering	RMC-SRT (JV)	JV-WBE	6%	0%	\$ 2,000,000.00	\$ -	\$ -	9/11/2015	Hadas Rivera-Weiss	Professional Service	Q1 FY 15-16
PUC	WW-617	As-Needed Sewer Cleaning & Inspection (FY16)	PIPE AND PLANT SOLUTIONS INC	Non-LBE	10%	0	\$ 1,839,350.00	\$ -	\$ 187,065.45	8/31/2015	Bayard Fong	Construction	Q1 FY 15-16
PUC	CS-391.C	As-Needed Operations and Maintenance Services for HHWP	M W H AMERICAS INC	Non-LBE	18%	0%	\$ 4,000,000.00	\$ -	\$ 200,616.68	8/24/2015	Bayard Fong	Professional Service	Q1 FY 15-16
PUC	CS-391.B	As-Needed Operations and Maintenance Services for HHWP	BLACK & VEATCH CORPORATION	Non-LBE	18%	0%	\$ 4,000,000.00	\$ -	\$ -	8/21/2015	Bayard Fong	Professional Service	Q1 FY 15-16
PUC	PRO.0004.A	As-Needed Wastewater Process Engineering	HAZEN AND SAWYER	Non-LBE	6%	0%	\$ 2,000,000.00	\$ -	\$ -	8/11/2015	Hadas Rivera-Weiss	Professional Service	Q1 FY 15-16
PUC	WW-590	Bryant Street Sewer Replacement & Pavement Renovation	SHAW PIPELINE INC	LBE-OBE	15%	0%	\$ 1,851,278.00	\$ 902,727.90	\$ 902,727.90	8/10/2015	Mindy Lee / Nichole Truax	Construction	Q1 FY 15-16
PUC	WW-612	Various Locations Sewer Replacement & Pavement Renovation	PRECISION ENGINEERING INC	LBE-MBE	20%	0%	\$ 4,832,001.00	\$ -	\$ -	8/10/2015	Mindy Lee / Nichole Truax	Construction	Q1 FY 15-16
PUC	CS-1004.A	Engineering Design Services for Oceanside Plant	CAROLLO ENGINEERS INC-LEE INC JV	JV-MBE	13%	0%	\$ 3,500,000.00	\$ -	\$ -	7/28/2015	Bayard Fong	Professional Service	Q1 FY 15-16
PUC	CS-372.A	Structural Engineering Services for the Seismic Upgrade of the Southeast Plant	STRUCTUS INC	LBE-MBE	14%	0%	\$ 2,500,000.00	\$ 218,863.51	\$ 218,863.51	7/28/2015	Hadas Rivera-Weiss	Professional Service	Q1 FY 15-16
PUC	CS-372.B	Structural Engineering Services for the Seismic Upgrade of the Southeast Plant	SOHA-MBE JV	JV-MBE	14%	0%	\$ 2,500,000.00	\$ -	\$ -	7/28/2015	Hadas Rivera-Weiss	Professional Service	Q1 FY 15-16
PUC	CS-1000	As-Needed Green Infrastructure Design and Engineering Services	MWH-AGS INC JV	JV-MBE	20%	0%	\$ 2,000,000.00	\$ 468.28	\$ 1,170.71	7/28/2015	Bayard Fong	Professional Service	Q1 FY 15-16
PUC	PRO.0006	Electric Rate Study [CANCELLED]	N B S GOVERNMENT FINANCE GROUP	Non-LBE	10%	0%	\$ 200,000.00	\$ -	\$ 35,021.75	7/17/2015	Hadas Rivera-Weiss	Professional Service	Q1 FY 15-16
PUC	HH-960	Don Pedro Reservoir Crossing 115kV & 230kV Transmission Lines	SYSTEM 3 INC	Non-LBE	11%	0%	\$ 5,014,446	\$ 1,122,060	\$ 1,545,466	6/22/2015	Regina Chan	Construction	Q3 FY 15-16
PUC	WW-580	Oceanside Water Pollution Control Plant, W2 & W3 Water System Improvements	CAL STATE CONSTRUCTORS INC	LBE-MBE	18%	0%	\$ 1,494,047	\$ 37,050	\$ 37,050	6/17/2015	Bayard Fong	Construction	FY 14-15 Q4
PUC	CS-291.I	As-Needed Communication and Marketing Services	BARNES MOSHER WHITEHURST LAUTER & PRITNS	LBE-OBE	30%	0%	\$ 500,000	\$ -	\$ -	6/10/2015	Regina Chan (Du)	Professional Services	FY 14-15 Q4
PUC	WD-2615	8" Ductile Iron Water Main Installation on McAlister, Fulton & Grove Streets	M SQUARED CONSTRUCTION INC	LBE-OBE	16%	0%	\$ 1,693,030	\$ 912,019	\$ 912,019	6/8/2015	Bayard Fong	Construction	FY 14-15 Q4
PUC	CS-1004.B	Engineering Design Services for Oceanside Plant	M W H AMERICAS INC	Non-LBE	13%	7%	\$ 3,500,000	\$ 21,035	\$ 318,078	5/14/2015	Bayard Fong	Professional Services	FY 14-15 Q4
PUC	CS-366	Emergency Planning, Technical Assistance and Training Support	AECOM TECHNICAL SERVICES INC	Non-LBE	10%	0%	\$ 2,000,000	\$ -	\$ 70,338	4/28/2015	Regina Chan (Du)	Professional Services	FY 14-15 Q4
PUC	WW-510R	Schwerin Street Sewer System Improvement	J M B CONSTRUCTION	Non-LB E	10%	0%	\$ 3,844,353	\$ 7,049	\$ 1,802,782	4/27/2015	Hadas Rivera-Weiss	Construction	FY 14-15 Q4
PUC	CS-294.G	HAZWOPER Training	SAFETY COMPLIANCE MANAGEMENT INC	Non-LBE	10%	0%	\$ 220,910	\$ -	\$ -	4/20/2015	Mindy Lee	Professional Services	FY 14-15 Q4
PUC	WD-2750	Site Remediation at 520 John Muir Drive	ENGINEERING/REMEDATION RESOURCES GROUP	Non-LBE	17%	52%	\$ 9,210,716	\$ 4,034,950	\$ 7,800,374	4/17/2015	Bayard Fong	Construction	FY 14-15 Q4
PUC	JOC-55	Electrical (C-10 License), Hetch, Hetchy	SYSTEM 3 INC	Non-LBE	6%	0%	\$ 5,000,000	\$ -	\$ -	4/10/2015	Bayard Fong	Construction	FY 14-15 Q4
PUC	CS-297.D	As-Needed Construction Management Services	M C & ASSOCIATES LLC	LBE-OBE	23%	33%	\$ 4,000,000	\$ 333,012	\$ 418,852	4/6/2015	Bayard Fong	Professional Services	FY 14-15 Q4
PUC	CS-297.B	As-Needed Construction Management Services	CPM-ALTA JV	JV-MBE	15%	0%	\$ 4,000,000	\$ -	\$ 178,264	4/6/2015	Bayard Fong	Professional Services	FY 14-15 Q4
PUC	CS-297.A	As-Needed Construction Management Services	AVILA & ASSOC CONSULTING ENGINEERS INC	LBE-WBE	15%	0%	\$ 4,000,000	\$ 451,628	\$ 451,628	4/6/2015	Bayard Fong	Professional Services	FY 14-15 Q4
PUC	WD-2668	Regional Groundwater Storage & Recovery	RANGER PIPELINES INC	Non-LBE	14%	23%	\$ 42,980,047	\$ 2,566,514	\$ 11,199,659	4/6/2015	Mindy Lee	Construction	FY 14-15 Q4
PUC	CS-297.C	As-Needed Construction Management Services	ENVIRONMENTAL & CONSTRUCTION SLTNS INC	LBE-OBE	15%	0%	\$ 4,000,000	\$ 254,578	\$ 254,578	4/3/2015	Bayard Fong	Professional Services	FY 14-15 Q4
PUC	JOC-52	Electrical (C-10 License), San Francisco, Peninsula, and East Bay	U S ELECTRIC TECHNOLOGIES INC	LBE-MBE	13%	0%	\$ 3,000,000	\$ 77,378	\$ 77,378	3/26/2015	Regina Chan (Du)	Construction	FY 14-15 Q3
PUC	CS-388	River Ecosystem Science Support	MCBAIN ASSOCIATES	Non-LBE	12%	5%	\$ 1,500,000	\$ 3,889	\$ 81,172	3/24/2015	Hadas Rivera-Weiss	Professional Services	FY 14-15 Q3
PUC	WD-2621R	San Francisco Groundwater Supply Well Stations	WESTERN WATER CONSTRUCTORS INC	Non-LBE	18%	35%	\$ 14,955,100	\$ 617,898	\$ 1,751,378	3/16/2015	Bayard Fong	Construction	FY 14-15 Q3
PUC	WD-2506	8" DIM Installation on Clement from Arguello to 14th Ave	M SQUARED CONSTRUCTION INC	LBE-OBE	13%	2%	\$ 3,057,191	\$ 1,640,905	\$ 1,640,905	2/19/2015	Regina Chan (Du)	Construction	FY 14-15 Q3
PUC	WW-601	As-Needed Spot Sewer Replacement	J FLORES CONSTRUCTION COMPANY INC	Non-LBE	7%	11%	\$ 6,883,165	\$ 203,534	\$ 1,833,232	2/12/2015	Regina Chan (Du)	Construction	FY 14-15 Q3
PUC	CS-380	Specialized Groundwater Monitoring Services	NORTHGATE AGS JOINT VENTURE	JV-MBE	14%	4%	\$ 1,500,000	\$ 20,033	\$ 51,194	2/11/2015	Hadas Rivera-Weiss	Professional Services	FY 14-15 Q3
PUC	WD-2745	Auxiliary Water Supply System New Cisterns D	AZUL WORKS INC	LBE-WBE	15%	44%	\$ 4,247,350	\$ 2,419,059	\$ 2,624,475	2/9/2015	Regina Chan (Du)	Construction	FY 14-15 Q3
PUC	CS-396	Engineering Services for the Pilarcitos Dam and Reservoir Improvements Project	U R S CORPORATION	Non-LBE	16%	0%	\$ 3,000,000	\$ -	\$ 100,297	2/6/2015	Mindy Lee	Professional Services	FY 14-15 Q3
PUC	WW-589	Oceanside Water Pollution Control Plant Total Solid Control and Waste Activated Sludge System Upgrade	ANVIL BUILDERS INC	LBE-OBE	14%	11%	\$ 1,580,500	\$ 655,822	\$ 1,099,990	1/28/2015	Bayard Fong	Construction	FY 14-15 Q3
PUC	CS-294.F	HAZWOPER Training	GOLDEN GATE ENVIRONMENTAL	LBE-WBE	5%	0%	\$ 286,500	\$ 21,600	\$ 21,600	1/15/2015	Mindy Lee	Professional Services	FY 14-15 Q3
PUC	JOC-48R	General Engineering (A-License), San Francisco/Peninsula/Eastbay	TRINET CONSTRUCTION INC	LBE-WBE	18%	18%	\$ 5,000,000	\$ 1,424,601	\$ 1,433,111	12/29/2014	Mindy Lee	Construction	FY 14-15 Q2
PUC	JOC-47R	General Engineering (A-License), San Francisco/Peninsula/East Bay	VERBA BUENA ENGINEERING & CONSTRUCTN INC	Non-LBE	18%	0%	\$ 5,000,000	\$ -	\$ 140,955	12/29/2014	Regina Chan (Du)	Construction	FY 14-15 Q2
PUC	WD-2712	8-inch DIM Installation on Alabama & 25th Streets	M SQUARED CONSTRUCTION INC	LBE-OBE	12%	7%	\$ 1,575,000	\$ 1,376,803	\$ 1,376,803	12/16/2014	Hadas Rivera-Weiss	Construction	FY 14-15 Q2
PUC	WW-593R	As-Needed Sewer Cleaning and Inspection	A TRUIT CONSTRUCTION CO AND ASSOC INC	SBA-LBE	10%	9%	\$ 1,594,150	\$ 416,413	\$ 1,587,409	12/11/2014	Regina Chan (Du)	Construction	FY 14-15 Q2
PUC	HH-976	Coast Range Tunnel Inspection Access Work [CLOSED]	TRINET CONSTRUCTION INC	LBE-WBE	11%	11%	\$ 765,651	\$ 876,176	\$ 876,176	11/18/2014	Hadas Rivera-Weiss	Construction	FY 14-15 Q2
PUC	WW-572R	Westside Pump Station Discharge Pipe Manifold Upgrade	CAL STATE CONSTRUCTORS INC	LBE-OBE	16%	4%	\$ 5,800,000	\$ 1,880,142	\$ 2,184,095	10/15/2014	Regina (Chan) Du	Construction	FY 14-15 Q2
PUC	CS-389	Planning and Engineering Services Southeast Plant New 250 MGD Headworks Facility	CAROLLO ENGINEERS PC	Non-LBE	12%	0%	\$ 14,000,000	\$ -	\$ 659,092	12/19/2014	Bayard Fong	Professional Services	FY 14-15 Q2
PUC	CS-386.C	As-Needed Engineering Design Services	U R S CORPORATION	Non-LBE	14%	20%	\$ 3,000,000	\$ 152,046	\$ 758,812	12/1/2014	Bayard Fong	Professional Services	FY 14-15 Q2
PUC	CS-386.A	As-Needed Engineering Design Services	KI-AGS JV	JV-MBE	14%	23%	\$ 3,000,000	\$ 278,020	\$ 548,265	11/24/2014	Bayard Fong	Professional Services	FY 14-15 Q2
PUC	CS-386.B	As-Needed Engineering Design Services	MWH-WRE JV	JV-MBE	14%	7%	\$ 3,000,000	\$ 205,450	\$ 512,520	11/24/2014	Bayard Fong	Professional Services	FY 14-15 Q2
PUC	DB-124	San Joaquin Valley Communication System Upgrade	COMMUNICATION SERVICES INC	Non-LBE	6%	11%	\$ 6,990,959	\$ 460,907	\$ 4,043,215	11/17/2014	Mindy Lee	Construction	FY 14-15 Q2
PUC	CS-291.A	K-12 Framework Environmental Literacy and Education	CENTER FOR ECOLITERACY	Non-LBE	22%	0%	\$ 1,000,000	\$ -	\$ 50,172	11/13/2014	Regina (Chan) Du	Professional Services	FY 14-15 Q2
PUC	WW-595	3rd/7th/8th/25th/33rd/42nd Avenues and Baker/Welsh Streets Sewer Replacement	SHAW PIPELINE INC	LBE-OBE	13%	6%	\$ 2,964,845	\$ 3,413,828	\$ 3,413,828	10/27/2014	Mindy Lee	Construction	FY 14-15 Q2
PUC	WD-2686	Auxiliary Water Supply System Pumping Station No. 1 Improvements (2014)	N T K CONSTRUCTION INC	Non-LBE	16%	0%	\$ 7,847,000	\$ -	\$ 4,526,627	10/20/2014	Mindy Lee	Construction	FY 14-15 Q2
PUC	HH-963R	Moccasin Control and Server Building	ROBERT E BOYER CONSTRUCTION INC	PUC-LBE	11%	53%	\$ 6,611,250	\$ 5,323,992	\$ 6,659,781	7/8/2014	Regina (Chan) Du	Construction	FY 14-15 Q1

Department	Contract Number	Project Name	Prime	Prime LBE Status	LBE Goal	Sub Goal To Date	Amount	Total Payments to LBEs	Total Contract Payment	NTP/BPO (Construction/PS)	Contract Compliance Officer	Industry	Quarter
PUC	WW-592	As-Needed Main Sewer Replacement [Closed]	HARTY PIPELINE INC	LBE-WBE	16%	16%	\$ 2,766,688	\$ 3,913,741	\$ 3,913,741	8/25/2014	Bayard Fong	Construction	FY 14-15 Q1
PUC	WW-591	As-Needed Spot Sewer Replacement	J FLORES CONSTRUCTION COMPANY INC	LBE-OBE	7%	6%	\$ 6,425,224	\$ 6,785,413	\$ 6,785,413	8/25/2014	Regina (Chan) Du	Construction	FY 14-15 Q2
PUC	WD-2622	San Francisco Groundwater Supply Pipeline	RANGER PIPELINES INC	Non-LBE	10%	21%	\$ 7,664,116	\$ 1,620,135	\$ 7,788,063	8/24/2014	Hadas Rivera-Weiss	Construction	FY 14-15 Q1
PUC	CS-324.8	Security Consulting Design Services	THE CONSULTING GROUP	Non-LBE	5%	0%	\$ 2,000,000	\$ -	\$ 157,771	8/7/2014	Bayard Fong	Professional Services	FY 14-15 Q1
PUC	WW-562	Instrumentation & Back-Up Power Systems Improvements	PHOENIX ELECTRIC COMPANY	LBE-MBE	10%	0%	\$ 1,190,735	\$ 1,163,906	\$ 1,163,906	7/21/2014	Mindy Lee	Construction	FY 14-15 Q1
PUC	WD-2667	8-Inch Ductile Iron Water Main Replacement and Pavement Renovation on Mission Street	M HERNANDEZ CONSTR DBA HERNANDEZ ENGRNG	LBE-MBE	18%	1%	\$ 2,441,673	\$ 2,052,004	\$ 2,052,004	7/14/2014	Hadas Rivera-Weiss	Construction	FY 14-15 Q1
PUC	WW-559R	Fixed Gas Monitoring System Upgrade	U S ELECTRIC TECHNOLOGIES INC	Non-LBE	10%	3%	\$ 2,484,000	\$ 65,680	\$ 2,198,679	6/23/2014	Mindy Lee	Construction	FY 13-14 Q4
PUC	WD-2705	Town of Sundi Fire Suppression System	Azul Works Inc.	LBE-WBE	13%	13%	\$ 5,702,680	\$ 2,267,359	\$ 5,877,358	5/30/2014	Bayard Fong	Construction	FY 13-14 Q4
PUC	CS-258.C	As-needed Environmental Services for SSIP HSIP	ESA & Orion	JV-MBE	15%	0%	\$ 4,850,000	\$ -	\$ -	5/13/2014	Regina (Chan) Du	Professional Services	FY 13-14 Q4
PUC	CS-258.B	As-needed Environmental Services for SSIP HSIP	URS	Non-LBE	15%	40%	\$ 4,850,000	\$ 6,431	\$ 16,078	5/12/2014	Regina (Chan) Du	Professional Services	FY 13-14 Q4
PUC	CS-258.A	As-needed Environmental Services for SSIP HSIP	ICF/Panorama Environmental	JV-WBE	15%	48%	\$ 4,850,000	\$ 246,437	\$ 518,651	5/12/2014	Regina (Chan) Du	Professional Services	FY 13-14 Q4
PUC	WD-2727	Peninsula Pipelines Seismic Upgrade	RANGER PIPELINES INC	Non-LBE	13%	13%	\$ 20,736,380	\$ 2,488,218	\$ 19,683,413	4/28/2014	Bayard Fong	Construction	FY 13-14 Q4
PUC	WD-2670A	Catholic Protection for 30-, 36-, 42- & 48- Steel Pipe Transmission Main of University Mound System	Azul Works Inc.	LBE-WBE	18%	8%	\$ 640,300	\$ 639,360	\$ 639,360	4/28/2014	Bayard Fong	Construction	FY 13-14 Q4
PUC	CS-193.D	As-needed Energy Efficiency Services	CS&I/EBS JV	JV-OBE	6%	40%	\$ 2,375,000	\$ 37,178	\$ 92,946	4/11/2014	Mindy Lee	Professional Services	FY 13-14 Q3
PUC	WW-547	Alhambra/Bay/Beach Streets and Mallorca/Retiro/Toledo Way Sewer Replacement [Closed]	PRECISION ENGINEERING INC	LBE-WBE	17%	15%	\$ 2,626,560	\$ 2,497,985	\$ 2,497,985	4/7/2014	Hadas Rivera-Weiss	Construction	FY 13-14 Q4
PUC	WW-556	Southeast Water Pollution Control Plant Chemical System Relocation and Facility Upgrades	N T K CONSTRUCTION INC	SBA-MBE	13%	14%	\$ 14,025,000	\$ 9,100,609	\$ 10,143,832	3/18/2014	Hadas Rivera-Weiss	Construction	FY 13-14 Q3
PUC	WD-2697	Auxiliary Water Supply System - New Cisterns C	Cal State Constructors	LBE-OBE	15%	17%	\$ 4,147,000	\$ 2,745,010	\$ 3,897,886	3/17/2014	Mindy Lee	Construction	FY 13-14 Q3
PUC	WW-568	18th,25th,35th,47th Avenues and Delancey,Felton,Fern,Hawes,Madrid,Steiner Streets Sewer Replacement [Closed]	J FLORES CONSTRUCTION COMPANY INC	LBE-OBE	14%	21%	\$ 2,354,290	\$ 2,918,766	\$ 2,918,766	3/3/2014	Bayard Fong	Construction	FY 13-14 Q3
PUC	WW-585	15th, 17th, 23rd, 44th, Granada, Meda and Oakdale Avenues Sewer Replacement [CLOSED]	Shaw Pipeline	LBE-OBE	16%	16%	\$ 2,634,535	\$ 2,832,992	\$ 2,832,992	2/18/2014	Hadas Rivera-Weiss	Construction	FY 13-14 Q3
PUC	WW-583	As-Needed Main Sewer Replacement	PRECISION ENGINEERING INC	LBE-MBE	10%	1%	\$ 3,534,100	\$ 2,128,565	\$ 2,128,565	2/18/2014	Bayard Fong	Construction	FY 13-14 Q3
PUC	WW-584	As-Needed Spot Sewer Repair [Closed]	J FLORES CONSTRUCTION COMPANY INC	LBE-OBE	10%	7%	\$ 6,593,265	\$ 7,110,942	\$ 7,110,942	2/6/2014	Regina (Chan) Du	Construction	FY 13-14 Q3
PUC	WW-552R	Clay, Cherry, and Collins St. Sewer Replacement, Water Main Installation, and Pavement Renovation [Closed]	Shaw Pipeline	LBE-OBE	14%	45%	\$ 4,466,518	\$ 4,381,342	\$ 4,445,609	2/4/2014	Regina (Chan) Du	Construction	FY 13-14 Q3
PUC	WW-546R	15th/16th/18th/19th/20th Avenues & California/Clement Sts Sewer Replacement & Pavement Renovation [Closed]	Harty Pipelines, Inc	LBE-WBE	17%	100%	\$ 3,899,750	\$ 4,044,162	\$ 4,044,162	1/13/2014	Regina (Chan) Du	Construction	FY 13-14 Q3
PUC	CS-193.C	As-needed Energy Efficiency Services	ENERGOC INC	Non-LBE	6%	3%	\$ 2,375,000	\$ 16,119	\$ 500,695	1/13/2014	Mindy Lee	Professional Services	FY 13-14 Q3
PUC	CS-193.A	As-needed Energy Efficiency Services	KW Engineering	Non-LBE	6%	0%	\$ 2,375,000	\$ -	\$ 301,841	12/7/2013	Mindy Lee	Professional Services	FY 13-14 Q2
PUC	CS-317	Specialized and Technical Services - Restoration and Revegetation	Orion Environmental Associates	LBE-MBE	11%	24%	\$ 1,500,000	\$ 518,180	\$ 760,266	1/6/2013	Hadas Rivera-Weiss	Professional Services	FY 13/14 Q3
PUC	WD-2696	AWSS New Cisterns B Contract	Azul Works Inc.	LBE-WBE	15%	52%	\$ 5,013,300	\$ 3,879,554	\$ 3,879,554	12/2/2013	Mindy Lee	Construction	FY 13/14 Q2
PUC	WD-2685	Auxiliary Water Supply System, Reservoir, and Tanks Improvement Project	Cal State Constructors	LBE-OBE	16%	25%	\$ 8,469,000	\$ 6,853,623	\$ 8,852,396	11/18/2013	Bayard Fong	Construction	FY 13/14 Q2
PUC	CS-193.B	As Needed Energy Efficiency Services	Envoviv Inc	Non-LBE	6%	0%	\$ 2,375,000	\$ -	\$ 57,828	12/30/2013	Mindy Lee	Professional Services	FY 13/14 Q2
PUC	CS-287	Real Estate and Land Negotiation Services	ECONOMIC & PLANNING SYSTEMS INC	Non-LBE	22%	5%	\$ 420,000	\$ 16,559	\$ 321,267	10/28/2013	Mindy Lee	Professional Services	FY 13/14 Q2
PUC	CS-306.H	As-Needed Contracting and Employment Technical Support Services	The Their Group	LBE-WBE	Micro	100%	\$ 50,000	\$ -	\$ 14,758	11/6/2013	Regina (Chan) Du	Professional Services	FY 13/14 Q2
PUC	CS-306.F	As-Needed Contracting and Employment Technical Support Services	Merrithew & Williams Insurance	LBE-MBE	Micro	100%	\$ 50,000	\$ -	\$ 31,439	10/12/2013	Regina (Chan) Du	Professional Services	FY 13/14 Q2
PUC	CS-306.D	As-Needed Contracting and Employment Technical Support Services	JBR Partners	LBE-MBE	Micro	99%	\$ 50,000	\$ -	\$ 85,316	10/28/2013	Regina (Chan) Du	Professional Services	FY 13/14 Q2
PUC	CS-306.B	As-Needed Contracting and Employment Technical Support Services	Butler Enterprises Group	LBE-MBE	Micro	91%	\$ 50,000	\$ -	\$ 75,894	10/28/2013	Regina (Chan) Du	Professional Services	FY 13/14 Q2
PUC	WD-2683R	8 inch Ductile Iron Pipe Main Installation in Indiana and Tennessee Streets; and 16 inch Ductile Iron Pipe [Closed]	M Squared Construction	LBE-OBE	21%	4%	\$ 2,445,650	\$ 2,042,168	\$ 2,042,168	9/16/2013	Bayard Fong	Construction	FY 13/14 Q1
PUC	WW-548	Avila/Bay/Beach/Chestnut/Francisco/Jefferson/Scott Streets and Capra Way Sewer Replacement [Closed]	D'Arcy & Harty	LBE-OBE	17%	98%	\$ 2,459,995	\$ 2,452,144	\$ 2,493,752	9/9/2013	Regina (Chan) Du	Construction	FY 13/14 Q1
PUC	CS-211.A	Specialized and Technical Services, Natural Resources Div., Water Enterprise	CDM SMITH & A-T-S JV	JV-WBE	13%	64%	\$ 5,000,000	\$ 486,402	\$ 759,621	9/9/2013	Hadas Rivera-Weiss	Professional Services	FY 13-14 Q1
PUC	WW-549	Buchanan/Divasadero/Fillmore/Green/Pierce and Scott Streets Sewer Replacement [CLOSED]	PRECISION ENGINEERING INC	LBE-MBE	16%	6%	\$ 2,178,505	\$ 2,202,507	\$ 2,202,507	9/3/2013	Hadas Rivera-Weiss	Construction	FY 13/14 Q1
PUC	WW-545	16th, 21st, 25th Avenue & Cabrillo/California Streets [Closed]	Shaw Pipeline	LBE-OBE	10%	100%	\$ 3,960,311	\$ 3,999,477	\$ 3,999,477	9/3/2013	Bayard Fong	Construction	FY 13/14 Q1
PUC	WW-567	As Needed Spot Sewer Repair [Closed]	J FLORES CONSTRUCTION COMPANY INC	LBE-OBE	10%	6%	\$ 6,944,815	\$ 7,608,979	\$ 7,608,979	8/26/2013	Regina (Chan) Du	Construction	FY 13/14 Q1
PUC	WD-2682	8-Inch Ductile Iron Pipe Main Installation in 25th St, Noe, Hoffman	M Hernandez	LBE-MBE	18%	51%	\$ 1,228,345	\$ 143,205	\$ 280,086	8/26/2013	Regina (Chan) Du	Construction	FY 13/14 Q1
PUC	CS-211.D	Specialized and Technical Services, Natural Resources and Land Mgmt Div., Water Enterprise	U R S CORPORATION	Non-LBE	13%	6%	\$ 5,000,000	\$ 128,594	\$ 2,239,422	8/21/2013	Hadas Rivera-Weiss	Professional Services	FY 13-14 Q1
PUC	CS-211.C	Specialized and Technical Services, Natural Resources and Land Management Div., Water Enterprise	CB&I GOVERNMENT SOLUTIONS INC	Non-LBE	13%	34%	\$ 5,000,000	\$ 164,518	\$ 483,700	8/21/2013	Hadas Rivera-Weiss	Professional Services	FY 13-14 Q1
PUC	CS-211.B	Specialized and Technical Services, Natural Resources and Land Mgmt Div., Water Enterprise	ICF-AVILA JV	JV-WBE	13%	51%	\$ 5,000,000	\$ 1,043,009	\$ 2,040,991	8/21/2013	Hadas Rivera-Weiss	Professional Services	FY 13-14 Q1
PUC	WW-558R	As Needed Sewer Cleaning [Closed]	Proven Management	Non-LBE	9%	4%	\$ 1,594,500	\$ 72,096	\$ 1,665,064	8/19/2013	Regina (Chan) Du	Construction	FY 13/14 Q1
PUC	WW-551	18th/19th/Carolina/Connecticut/Indiana/Minnesota/Texas/ Wisconsin Streets Sewer Replacement [Closed]	Harty Pipelines, Inc	LBE-WBE	16%	15%	\$ 2,385,030	\$ 2,322,313	\$ 2,322,313	8/19/2013	Regina (Chan) Du	Construction	FY 13/14 Q1
PUC	WD-2503R	8-Inch DIP Main Installation in Jackson, Washington, Sacramento and Davis Streets	Empire Engineering & Construction, Inc.	LBE-MBE	13%	1%	\$ 2,139,389	\$ 1,143,989	\$ 1,143,989	8/19/2013	Hadas Rivera-Weiss	Construction	FY 13/14 Q1
PUC	CS-315.C	As-Needed Geotechnical Engineering Services	Geotechnical Consultants, Inc.	LBE-MBE	15%	0%	\$ 1,500,000	\$ -	\$ 344,411	8/19/2013	Hadas Rivera-Weiss	Professional Services	FY 13/14 Q1
PUC	CS-315.B	As-Needed Geotechnical Engineering Services	ARUP/Terra Engineers	JV-WBE	15%	#DIV/0!	\$ 1,500,000	\$ -	\$ -	8/19/2013	Hadas Rivera-Weiss	Professional Services	FY 13/14 Q1
PUC	CS-315.A	As-Needed Geotechnical Engineering Services	AGS	LBE-MBE	15%	0%	\$ 1,500,000	\$ -	\$ 129,094	8/19/2013	Hadas Rivera-Weiss	Professional Services	FY 13/14 Q1
PUC	CS-296.A	HSIP Professional and Engineering Support Services	BLACK & VEATCH CORPORATION	Non-LBE	16%	0%	\$ 2,500,000	\$ -	\$ 3,062,256	8/19/2013	Hadas Rivera-Weiss	Professional Services	FY 13-14 Q1
PUC	WD-2620	8 and 12 Inch DI Main Installation and Pavement Renovation in Bryant Street [CLOSED]	M Squared Construction	LBE-OBE	18%	24%	\$ 3,737,165	\$ 3,228,454	\$ 3,228,454	8/12/2013	Hadas Rivera-Weiss	Construction	FY 13/14 Q1
PUC	CS-296.E	HSIP Professional and Engineering Support Services [Inactive]	CB&I GOVERNMENT SOLUTIONS INC	LBE-MBE	16%	43%	\$ 2,500,000	\$ 482,413	\$ 1,124,853	7/25/2013	Hadas Rivera-Weiss	Professional Services	FY 13-14 Q1
PUC	CS-296.B	HSIP Professional and Engineering Support Services	CH2M HILL ENGINEERS INC	Non-LBE	16%	25%	\$ 2,500,000	\$ 565,619	\$ 2,296,178	7/25/2013	Hadas Rivera-Weiss	Professional Services	FY 13-14 Q1
PUC	CS-235	Digester Southeast Planning	Brown and Caldwell	Non-LBE	10%	12%	\$ 80,000,000	\$ 3,241,972	\$ 27,900,175	8/5/2013	Hadas Rivera-Weiss	Professional Services	FY 13/14 Q1

Port

Contract Award and Payment Summary
FY 15-16 Q1

FY 15-16 Q1 Awarded Contracts		
Total Number of Contracts	1	
Professional Services	1	100%
Construction	0	0%
LBE Primes	1	100%
Non-LBE Primes	0	0%
MBE Primes	0	0%
OBE Prime	0	0%
WBE Prime	1	100%
SBA LBE Prime	0	0%

FY 15-16 Q1 Awards		
Amount Awarded	\$ 98,000	
Awarded to Non-LBE Primes	\$ -	0%
Awarded to Non-LBE Subs	\$ -	0%
Awarded to LBEs Primes	\$ 98,000	100%
Awarded to LBE Subs	\$ -	0%
Awarded to MBE Primes	\$ -	0%
Awarded to MBE Subs	\$ -	0%
Awarded to OBE Primes	\$ -	0%
Awarded to OBE Subs	\$ -	0%
Awarded to WBE Primes	\$ 98,000	100%
Awarded to WBE Subs	\$ -	0%
Awarded to SBA Primes	\$ -	0%
Awarded to SBA Sub	\$ -	0%

July 1, 2013-September 30, 2015 Payments*			Change from Q4 2014/15
Total Paid	\$ 7,188,199		\$ 1,388,262
Paid to Non-LBEs Primes	\$ 335,628	5%	\$ 34,506
Paid to Non-LBE Subs	\$ 2,010,102	28%	\$ 549,109
Paid to LBEs Primes**	\$ 2,531,672	35%	\$ (699,160)
Paid to LBE Subs	\$ 2,310,797	32%	\$ 1,503,806
Paid to MBE Primes	\$ 178,716	2%	\$ 19,131
Paid to MBE Subs	\$ 893,343	12%	\$ 735,209
Paid to OBE Primes**	\$ 2,352,956	33%	\$ (718,291)
Paid to OBE Subs	\$ 1,298,967	18%	\$ 736,963
Paid to WBE Primes	\$ -	0%	\$ -
Paid to WBE Subs	\$ 118,487	2%	\$ 31,635
Paid to SBA-LBE Primes	\$ -	0%	\$ -
Paid to SBA-LBE Subs	\$ -	0%	\$ -

FY 15-16 Q1 Micro Set Aside Contracts	
Total Eligible	1
Total Awarded	1

*Based on information from Elations/LBEUTS dated 10/08/2015.

**reduced from previous quarter due to disbursements from Primes to subcontractors

Port

Contract Award and Payment Summary
FY 15-16 Q2

FY 15-16 Q2 Awarded Contracts		
Total Number of Contracts	2	
Professional Services	1	50%
Construction	1	50%
LBE Primes	2	100%
Non-LBE Primes	0	0%
MBE Primes	0	0%
OBE Prime	1	50%
WBE Prime	1	50%
SBA LBE Prime	0	0%

FY 15-16 Q2 Awards		
Amount Awarded	\$ 364,218	
Awarded to Non-LBE Primes	\$ -	0%
Awarded to Non-LBE Subs	\$ -	0%
Awarded to LBEs Primes	\$ 182,663	50%
Awarded to LBE Subs	\$ 181,555	50%
Awarded to MBE Primes	\$ -	0%
Awarded to MBE Subs	\$ 181,555	50%
Awarded to OBE Primes	\$ 84,663	23%
Awarded to OBE Subs	\$ -	0%
Awarded to WBE Primes	\$ 98,000	27%
Awarded to WBE Subs	\$ -	0%
Awarded to SBA Primes	\$ -	0%
Awarded to SBA Sub	\$ -	0%

July 2013-December 31, 2015 Payments*			Change from Q1 2015/16
Total Paid	\$ 7,699,815		\$ 511,616
Paid to Non-LBEs Primes	\$ 488,216	6%	\$ 152,588
Paid to Non-LBE Subs	\$ 2,043,414	27%	\$ 33,312
Paid to LBEs Primes	\$ 2,628,233	34%	\$ 96,561
Paid to LBE Subs	\$ 2,539,952	33%	\$ 229,155
Paid to MBE Primes	\$ 178,896	2%	\$ 180
Paid to MBE Subs	\$ 1,085,107	14%	\$ 191,764
Paid to OBE Primes	\$ 2,433,022	32%	\$ 80,066
Paid to OBE Subs	\$ 1,334,474	17%	\$ 35,507
Paid to WBE Primes	\$ 16,315	0%	\$ 16,315
Paid to WBE Subs	\$ 120,371	2%	\$ 1,884
Paid to SBA-LBE Primes	\$ -	0%	\$ -
Paid to SBA-LBE Subs	\$ -	0%	\$ -

FY 15-16 Q2 Micro Set Aside Contracts	
Total Eligible	2
Total Awarded	1

*Based on information from Elations/LBEUTS dated 1/05/2016.

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	PRT1516-01	Construction Contract Outreach Support	The Their Group	LBE-WBE	MICRO	0%	\$ 98,000.00	\$ -	\$ -	11/20/2015	Finbarr Jewell	Professional Services	FY 15-16 Q2
Port	2774R	Pier 94 High Mast Lighting Project	Angotti & Reilly, Inc.	LBE-OBE	20%	0%	\$ 266,218.00	\$ -	\$ -	10/2/2015	Lupe Arreola	Construction	FY 15-16 Q2
Port	PRT 1415-06	Digital Newsletter	Next Steps Marketing, Inc.	LBE-WBE	MICRO	0%	\$ 98,000.00	\$ 16,315.00	\$ 18,096.00	7/7/2015	Lupe Arreola	Professional Service	FY 15-16 Q1
Port	2772	Pier 49 Wharf J1 Under-Pier Sewer Replacement Project	Schembri Construction	LBE-OBE	25%	73.9%	\$ 1,149,500	\$ 1,073,880	\$ 1,073,880	4/28/2015	Lupe Arreola	Construction	FY 14/15 Q4
Port	PRT1415-05	Municipal Financial Advisory Services	Public Financial Management, Inc.	Non-LBE	20%	0.0%	\$ 420,000	\$ -	\$ 108,950	3/24/2015	Lupe Arreola	Professional Services	FY 14/15 Q3
Port	PRT1415-01	Earthquake Vulnerability Study of the Northern Seawall	GHD-GTC JV	JV-MBE	25%	16.6%	\$ 467,500	\$ 190,264	\$ 366,580	10/28/2014	Lupe Arreola	Professional Services	FY 14/15 Q2
Port	2765	Pier 35 Building Roof & Repair Project [CLOSED]	Roebuck Construction	LBE-OBE	19%	96.5%	\$ 1,998,556	\$ 952,357	\$ 1,495,031	8/12/2014	Lupe Arreola	Construction	FY 14/15 Q1
Port	PRT1314-01.01	As Needed Hazard Waste Disposal and Transportation Services	Environmental Logistics Inc	Non-LBE	8%	0.0%	\$ 262,500	\$ -	\$ 20,931	7/8/2014	Boris Delepine	Professional Services	FY 14/15 Q1
Port	PRT1314-01.02	As Needed Hazard Waste Disposal and Transportation	Eagle Environmental & Construction	LBE-MBE	8%	0.0%	\$ 262,500	\$ -	\$ -	7/8/2014	Boris Delepine	Professional Services	FY 14/15 Q1
Port	2758R	Bayview Gateway	Bauman Landscape	LBE-OBE	12%	50.7%	\$ 3,667,925	\$ 2,263,065	\$ 3,528,708	7/8/2014	Boris Delepine	Construction	FY 14/15 Q1
Port	PRT1213-07.03	As Needed Environmental and Related Professional Services	Baseline Environmental	Non-LBE	21%	45.4%	\$ 1,000,000	\$ 69,124	\$ 152,156	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%	37.1%	\$ 1,000,000	\$ 50,515	\$ 67,319	9/27/2013	Boris Delepine	Professional Services	FY 13/14 Q2
Port	PRT 1213-07.01	As Needed Environmental and Related Professional Services	AguaTierra Associates dba Weiss Associates	Non-LBE	21%	17.7%	\$ 1,000,000	\$ 27,864	\$ 157,381	9/27/2013	Boris Delepine	Professional Service	FY 13/14 Q2
Port	2767	Fisherman's Wharf Triangle Lot & SWL 321 Pedestrian	JDB Construction	LBE-OBE	MICRO	95.9%	\$ 109,730	\$ 97,902	\$ 102,132	12/4/2013	Boris Delepine	Construction	FY 13/14 Q2
Port	2761	Blue Greenway Signage [Closed]	Cal State Constructors	LBE-OBE	8%	70.1%	\$ 625,547	\$ 426,899	\$ 608,651	8/13/2013	Boris Delepine	Construction	FY 13/14 Q1

DPW

FY 15-16 Q1

FY 15-16 Q1 Awarded Contracts		
Total Number of Contracts	19	
Professional Services	6	32%
Construction	13	68%
LBE Primes*	15	79%
Non-LBE Primes*	6	32%
MBE Primes	4	21%
OBE Prime	8	42%
WBE Prime	3	16%
SBA LBE Prime	0	0%

FY 15-16 Q1 Awards		
Amount Awarded	\$ 34,503,436	
Awarded to Non-LBE Primes	\$ 5,100,126	15%
Awarded to Non-LBE Subs	\$ 5,674,736	16%
Awarded to LBEs Primes	\$ 14,155,265	41%
Awarded to LBE Subs	\$ 9,573,309	28%
Awarded to MBE Primes	\$ 2,769,282	8%
Awarded to MBE Subs	\$ 3,131,620	9%
Awarded to OBE Primes	\$ 9,976,645	29%
Awarded to OBE Subs	\$ 4,112,489	12%
Awarded to WBE Primes	\$ 1,409,338	4%
Awarded to WBE Subs	\$ 2,329,200	7%
Awarded to SBA Prime	\$ -	0%
Awarded to SBA Subs	\$ -	0%

July 1, 2013-September 30, 2015 Payments**		
Total Paid	\$ 161,902,684	
Paid to Non-LBEs Primes	\$ 29,719,401	18%
Paid to Non-LBE Subs***	\$ 13,874,958	9%
Paid to LBEs Primes	\$ 70,965,407	44%
Paid to LBE Subs	\$ 47,342,918	29%
Paid to MBE Primes	\$ 29,693,324	18%
Paid to MBE Subs	\$ 15,814,755	10%
Paid to OBE Primes	\$ 32,974,045	20%
Paid to OBE Subs	\$ 27,038,904	17%
Paid to WBE Primes	\$ 4,329,184	3%
Paid to WBE Subs	\$ 4,489,259	3%
Paid to SBA-LBE Primes	\$ 3,968,855	2%
Paid to SBA-LBE Subs	\$ -	0%

FY 15-16 Q1 Micro Set Aside Contracts		
Total Eligible	6	
Total Awarded	3	

*Includes joint venture partnerships with LBE and Non-LBE members

**Based on information from DPW CAT System, January/February 2016

***data based on DPW reporting, February/March 2016

DPW

FY 15-16 Q2

FY 15-16 Q2 Awarded Contracts		
Total Number of Contracts	15	
Professional Services	7	47%
Construction	8	53%
LBE Primes	11	73%
Non-LBE Primes	6	40%
MBE Primes	7	47%
OBE Prime	3	20%
WBE Prime	1	7%
SBA LBE Prime	0	0%

FY 15-16 Q2 Awards		
Amount Awarded	\$ 38,423,391	
Awarded to Non-LBE Primes	\$ 15,090,399	39%
Awarded to Non-LBE Subs	\$ 2,102,045	5%
Awarded to LBEs Primes	\$ 13,830,569	36%
Awarded to LBE Subs	\$ 7,400,379	19%
Awarded to MBE Primes	\$ 7,334,023	19%
Awarded to MBE Subs	\$ 3,112,461	8%
Awarded to OBE Primes	\$ 6,216,546	16%
Awarded to OBE Subs	\$ 3,612,518	9%
Awarded to WBE Primes	\$ 280,000	1%
Awarded to WBE Subs	\$ 675,400	2%
Awarded to SBA Prime	\$ -	0%
Awarded to SBA Sub	\$ -	0%

July 1, 2013-December 31, 2015 Payments**		
Total Paid	\$ 169,574,929	
Paid to Non-LBEs Primes	\$ 30,225,092	19%
Paid to Non-LBE Subs	\$ 13,874,958	9%
Paid to LBEs Primes	\$ 77,096,352	48%
Paid to LBE Subs	\$ 47,342,918	29%
Paid to MBE Primes	\$ 33,603,734	21%
Paid to MBE Subs	\$ 15,814,755	10%
Paid to OBE Primes	\$ 33,162,581	20%
Paid to OBE Subs	\$ 27,038,904	17%
Paid to WBE Primes	\$ 4,329,184	3%
Paid to WBE Subs	\$ 4,489,259	3%
Paid to SBA-LBE Primes	\$ 6,000,854	4%
Paid to SBA-LBE Subs	\$ -	0%

FY 14-15 Q2 Micro Set Aside Contracts		
Total Eligible	3	
Total Awarded	2	

*Includes joint venture partnerships with LBE and Non-LBE members

**Based on information from DPW CAT System, January/February 2016

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	Notice to Proceed	CCO	Industry	Quarter
DPW	FCE15094-1	Various Locations Pavement Renovation and Sewer Replacement No. 19	Harty Pipelines, Inc.	LBE-WBE	25%	0%	\$ 8,140,000	\$ -	\$ 1,489,039	6/18/2015	Finbarr Jewell	Construction	FY 14-15 Q4
DPW	OCM15081-1	AS-NEEDED SIDEWALK INSPECTION AND REPAIR PROGRAM (SIRP) No. 9	Bauman Landscape & Construction Inc.	LBE-OBE	25%	0%	\$ 2,186,415	\$ -	\$ 308,011	6/18/2015	Selormey Dzikunu	Construction	FY 14-15 Q4
DPW	FCA15066-1	City Clinic Barrier Removal and ADA Compliance Work	Svals Construction Inc.	LBE-OBE	20%	0%	\$ 361,430	\$ -	\$ 68,828	6/18/2015	Finbarr Jewell	Construction	FY 14-15 Q4
DPW	FCA15028-1	SUTTER STOCKTON PARKING GARAGE TOP, AND PARTIAL 8TH FLOOR WATERPROOFING	Rainbow Waterproofing & Restoration Company	SBA-LBE	20%	0%	\$ 757,245	\$ -	\$ 800,265	6/2/2015	Selormey Dzikunu	Construction	FY 14-15 Q4
DPW	FCA15026-1	5TH AND MISSION PARKING GARAGE TOP FLOOR WATERPROOFING	CF Contracting, Inc.	LBE-OBE	20%	14%	\$ 1,198,000	\$ 293,036	\$ 2,155,655	5/29/2015	Selormey Dzikunu	Construction	FY 14-15 Q4
DPW	APF15030-1	As-Needed Hydrologic Engineering Services 2014	RMC Water and Environment / Hydroconsult Engineering	JV-MBE	25%	0%	\$ 1,000,000	\$ -	\$ -	5/27/2015	Selormey Dzikunu	Professional Services	FY 14-15 Q4
DPW	APF15030-2	As-Needed Hydrologic Engineering Services 2014	MWH Americas, Inc. / Water Resources Engineering	JV-MBE	25%	0%	\$ 1,000,000	\$ -	\$ -	4/30/2015	Selormey Dzikunu	Professional Services	FY 14-15 Q4
DPW	FCA14129-1	SFGH PLANT SERVICES BUILDING NPC-4 SEISMIC UPGRADE	Angotti & Reilly, Inc.	LBE-OBE	25%	0%	\$ 2,407,000	\$ -	\$ 298,043	5/29/2015	Selormey Dzikunu	Construction	FY 14-15 Q4
DPW	FCE15078-1	Pavement Renovation and Sewer Replacement - Garfield Street and Grafton Avenue (J2711)	Esquivel Grading & Paving, Inc.	LBE-MBE	25%	0%	\$ 2,719,872	\$ -	\$ 550,103	5/21/2015	Finbarr Jewell	Construction	FY 14-15 Q4
DPW	JCC15055-1	Job Order Contract No. J27 General Engineering Services (JOC J27)	Trinet Construction, Inc.	LBE-WBE	15%	0%	\$ 5,000,000	\$ -	\$ -	5/21/2015	Finbarr Jewell	Construction	FY 14-15 Q4
DPW	FCE15074-1	As-Needed Curb Ramp Construction for Paving Program No.3	Empire Engineering & Construction, Inc.	LBE-MBE	25%	0%	\$ 1,355,235	\$ -	\$ 268,942	5/19/2015	Selormey Dzikunu	Construction	FY 14-15 Q4
DPW	FCE15072-1	As-Needed Curb Ramp Construction for Paving Program No.1	Anvill Builders Inc.	LBE-OBE	25%	0%	\$ 1,416,100	\$ -	\$ 390,282	5/19/2015	Selormey Dzikunu	Construction	FY 14-15 Q4
DPW	ICA15056-1	Fire Station No. 13 CO2 Detection System [Micro-LBE Set-Aside Program]	Becker Electric, Inc.	LBE-OBE	MICRO	0%	\$ 109,850	\$ -	\$ 105,510	5/15/2015	Finbarr Jewell	Construction	FY 14-15 Q4
DPW	FCE15073-1	As-Needed Curb Ramp Construction for Paving Program No.2	L C General Engineering and Construction, Inc.	LBE-OBE	25%	0%	\$ 1,383,901	\$ -	\$ 296,401	5/12/2015	Selormey Dzikunu	Construction	FY 14-15 Q4
DPW	FCE14031-1	Alamo Elementary Safe Routes To School Project (Federal Aid Project No. SRTSL-6328 [040])	Bay Area Lightworks Inc.	LBE-MBE	25%	23%	\$ 304,779	\$ 59,248	\$ 260,274	4/30/2015	Selormey Dzikunu	Construction	FY 14-15 Q4
DPW	FCE15075-1	As-Needed Pavement Preservation FY 15/16	Teifer Highway Technologies	Non-LBE	12%	0%	\$ 3,561,500	\$ -	\$ 607,425	4/28/2015	Selormey Dzikunu	Construction	FY 14-15 Q4
DPW	FCE14133-1	Twin Peaks Boulevard Cold-In-Place Recycling Pavement Renovation	MCK Services Inc.	Non-LBE	13%	0%	\$ 546,117	\$ -	\$ 554,219	4/7/2015	Selormey Dzikunu	Construction	FY 14-15 Q4
DPW	FCA15068-1	Gilman Playground Renovation	Anvill Builders Inc.	LBE-OBE	14%	0%	\$ 1,093,595	\$ -	\$ 56,497	4/16/2015	Finbarr Jewell	Construction	FY 14-15 Q4
DPW	APF15029-1	As-Needed Civil Engineering Services 2014	RMC Water and Environment / Urban Design Consult	JV-MBE	25%	0%	\$ 2,700,000	\$ -	\$ -	4/28/2015	Selormey Dzikunu	Professional Services	FY 14-15 Q4
DPW	FCP15025	Union Square ADA Enhancement	Apadana Engineering, Inc.	LBE-WBE	16%	0%	\$ 599,778	\$ -	\$ -	2/19/2015	Finbarr Jewell	Construction	FY 14-15 Q3
DPW	FCA15060-1	SFGH Building 5 Ground Floor and Second Floor Remodels at Tunnel and Bridge Connections	Rodan Builders, Inc.	Non-LBE	25%	6%	\$ 5,694,000	\$ 104,847	\$ 1,846,639	3/23/2015	Selormey Dzikunu	Construction	FY 14-15 Q3
DPW	FCE15032-1	As-Needed Paving Contract No. 11	A. Ruiz Construction Co. & Assoc., Inc.	SBA-MBE	25%	1%	\$ 9,228,964	\$ 10,908	\$ 1,176,937	2/23/2015	Selormey Dzikunu	Construction	FY 14-15 Q3
DPW	FCE14132-1	Various Locations Curb Ramps No. 6	Empire Engineering & Construction, Inc.	LBE-MBE	25%	20%	\$ 392,550	\$ 75,403	\$ 372,914	2/11/2015	Romulus Asenlo	Construction	FY 14-15 Q3
DPW	FCE15018-1	Pavement Renovation, Sewer Replacement, and Water Main Installation - Haight St and Hayes St	Ghilotti Bros., Inc.	Non-LBE	25%	66%	\$ 13,748,778	\$ 2,766,470	\$ 1,606,570	2/10/2015	Romulus Asenlo	Construction	FY 14-15 Q3
DPW	APF15029-3	As-Needed Civil Engineering Services 2014	Kennedy/Jenks Consultants, Inc. / AGS, Inc. / JV (K-AGS, JV)	JV-MBE	25%	0%	\$ 2,700,000	\$ -	\$ -	2/9/2015	Selormey Dzikunu	Professional Services	FY 14-15 Q3
DPW	APF15023-2	As-Needed Learning and Training Services	Dan Goldes	LBE-OBE	SOLE SOURCE	0%	\$ 400,000	\$ -	\$ -	2/4/2015	Selormey Dzikunu	Professional Services	FY 14-15 Q3
DPW	APF15023-1	As-Needed Learning and Training Services	Sara Ellis Conant	LBE-WBE	SOLE SOURCE	0%	\$ 400,000	\$ -	\$ -	2/4/2015	Selormey Dzikunu	Professional Services	FY 14-15 Q3
DPW	APF15029-1	As-Needed Civil Engineering Services 2014	URS Corporation Americas/Telamon Engineering Consultants, Inc. Joint Venture (URS/TEG JV)	JV-WBE	25%	0%	\$ 2,700,000	\$ -	\$ -	1/26/2015	Selormey Dzikunu	Professional Services	FY 14-15 Q3
DPW	APF14072-2	As-Needed Cost Estimating Services 2014 [Micro-LBE Set-Aside Program]	Dabril, Inc.	LBE-WBE	MICRO	0%	\$ 100,000	\$ -	\$ -	1/26/2015	Selormey Dzikunu	Professional Services	FY 14-15 Q3
DPW	APF14072-1	As-Needed Cost Estimating Services 2014 [Micro-LBE Set-Aside Program]	Design and Construction Management Services (DCMS), Inc.	LBE-OBE	MICRO	0%	\$ 100,000	\$ -	\$ -	1/15/2015	Selormey Dzikunu	Professional Services	FY 14-15 Q3
DPW	FCE14131-2	Proposition K Curb Ramps Fiscal Year 2013-2014	Bay Area Lightworks Inc.	LBE-MBE	25%	17%	\$ 607,721	\$ 623,058	\$ 623,058	12/31/2014	Selormey Dzikunu	Construction	FY 14-15 Q2
DPW	FCE15015-1	Transit Signal Improvement Project	Bay Area Lightworks Inc.	LBE-MBE	25%	12%	\$ 1,726,139	\$ 1,248,213	\$ 1,248,213	12/30/2014	Selormey Dzikunu	Construction	FY 14-15 Q2
DPW	FCE14137-1	Pavement Renovation and Sewer Replacement Crescent and Hudson Avenues	Shaw Pipeline, Inc.	LBE-OBE	25%	15%	\$ 2,526,776	\$ 1,783,444	\$ 1,783,444	12/22/2014	Selormey Dzikunu	Construction	FY 14-15 Q2
DPW	FCE14130-1	West Portal Avenue and Quintara Street Pavement Renovation, Sewer Replacement and Watermain Installation	Con-Quest Contractors, Inc.	LBE-OBE	25%	4%	\$ 4,764,463	\$ 3,639,190	\$ 3,675,813	12/18/2014	Finbarr Jewell	Construction	FY 14-15 Q2
DPW	FCE14123-1	Various Locations Pavement Renovation No. 17 Sewer Replacement and Water Main Installation	Shaw Pipeline, Inc.	LBE-OBE	25%	41%	\$ 5,888,070	\$ 2,793,962	\$ 2,793,962	12/18/2014	Selormey Dzikunu	Construction	FY 14-15 Q2
DPW	HCC14089-2	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 Q2
DPW	HCC14089-3	As-Needed Environmental Contracting Services [Micro-LBE Side-Aside Program]	Zaccor Companies, Inc.	LBE-OBE	MICRO	0%	\$ 1,000,000	\$ -	\$ -	12/18/2014	Romulus Asenlo	Construction	FY 14-15 Q2
DPW	HCC14089-5	As-Needed Environmental Contracting Services [Micro-LBE Side-Aside Program]	Eagle Engineering Construction	LBE-MBE	MICRO	0%	\$ 1,000,000	\$ -	\$ -	12/11/2014	Romulus Asenlo	Construction	FY 14-15 Q2
DPW	APC14079-4	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 Q2
DPW	FCE15011-1	Ocean Avenue and Persia Avenue Pavement Renovation and Sewer Replacement	Precision Engineering, Inc.	LBE-MBE	25%	3%	\$ 3,935,955	\$ 2,515,119	\$ 2,572,123	12/10/2014	Selormey Dzikunu	Construction	FY 14-15 Q2
DPW	FCE15021-1	Various Locations Pavement Preservation FY 14-15 No. 2	VSS International Inc.	Non-LBE	12%	0%	\$ 1,312,500	\$ -	\$ 623,204	12/2/2014	Selormey Dzikunu	Construction	FY 14-15 Q2
DPW	FCE14138-1	Pavement Renovation and Sewer Replacement Various Locations No. 18	Precision Engineering, Inc.	LBE-MBE	25%	23%	\$ 1,586,295	\$ 1,730,927	\$ 1,730,927	12/2/2014	Finbarr Jewell	Construction	FY 14-15 Q2
DPW	OCF14125-1	Landscaping and Tree Maintenance Various Locations Contract-1	Bauman Landscape & Construction Inc.	LBE-OBE	10%	0%	\$ 1,067,030	\$ 170,348	\$ 170,348	11/26/2014	Romulus Asenlo	Construction	FY 14-15 Q2
DPW	FCE14126-1	Vicente Street and Ocean Avenue Pavement Renovation, Sewer Replacement, and Water Main Installation	L C General Engineering and Construction, Inc.	Non-LBE	25%	45%	\$ 3,477,785	\$ 1,292,130	\$ 2,902,960	11/26/2014	Finbarr Jewell	Construction	FY 14-15 Q2
DPW	FCA14116-1	Bayview Opera House Renovation	M H Construction Management Co., Inc.	LBE-MBE	25%	10%	\$ 2,285,000	\$ 1,350,943	\$ 1,391,697	11/21/2014	Selormey Dzikunu	Construction	FY 14-15 Q2
DPW	FCP14136-1	North Beach / Joe Di Maggio Playground Renovation	Bauman Landscape & Construction Inc.	LBE-OBE	22%	3%	\$ 4,397,003	\$ 4,727,106	\$ 5,107,795	11/20/2014	Finbarr Jewell	Construction	FY 14-15 Q2
DPW	FCA14134-1	South of Market Cultural Center Roofing and Related Work	Andy's Roofing Company Inc.	Non-LBE	7%	7%	\$ 351,300	\$ 26,746	\$ 345,147	10/25/2014	Romulus Asenlo	Construction	FY 14-15 Q2
DPW	FCA14094-1	SFGH Building 5 Accessibility Compliance Improvements	Rodan Builders, Inc.	Non-LBE	30%	23%	\$ 1,946,800	\$ 147,566	\$ 644,588	10/28/2014	Romulus Asenlo	Construction	FY 14-15 Q2
DPW	APC14079-3	As Needed Asbestos, Lead, and Industrial Hygiene Consultation Services	Envirosurvey, Inc.	LBE-OBE	25%	0%	\$ 600,000	\$ -	\$ -	10/23/2014	Romulus Asenlo	Professional Services	FY 14-15 Q2
DPW	FCP15022-1	Civic Center Plaza Pavement Maintenance	CF Contracting, Inc.	LBE-OBE	10%	6%	\$ 957,281	\$ 770,048	\$ 979,295	10/16/2014	Finbarr Jewell	Construction	FY 14-15 Q2
DPW	FCE14111-1	Dolores Street Pavement Renovation, Sewer Replacement, and Water Main Installation	A. Ruiz Construction Co. & Assoc., Inc.	SBA-MBE	25%	35%	\$ 5,559,986	\$ 4,796,764	\$ 4,853,779	9/30/2014	Selormey Dzikunu	Construction	FY 14-15 Q1
DPW	FCE14106	Randolph Streetscape Improvements	Precision Engineering, Inc.	LBE-MBE	25%	14%	\$ 914,569	\$ 868,837	\$ 868,837	9/11/2014	Selormey Dzikunu	Construction	FY 14-15 Q1
DPW	OCM14127	As-Needed Sidewalk Repair For Accelerated Sidewalk Abatement Program	L C General Engineering and Construction, Inc.	LBE-OBE	25%	19%	\$ 1,579,520	\$ 1,359,754	\$ 1,415,929	9/8/2014	Selormey Dzikunu	Construction	FY 14-15 Q1
DPW	JCC14023-2	Job Order Contract No. J23 General Building Services (Rebid)	Angotti & Reilly, Inc.	LBE-OBE	25%	0%	\$ 3,000,000	\$ -	\$ -	8/29/2014	Romulus Asenlo	Construction	FY 14-15 Q1
DPW	FPA14105-1	Construction Management Support Services (CMSS) for Mascone Expansion Project	URS Corporation Americas/AES Partners, JV	JV-MBE	15%	0%	\$ 3,500,000	\$ 813,693	\$ 1,849,302	8/29/2014	Selormey Dzikunu	Professional Services	FY 14-15 Q1
DPW	FCE14109	As Needed Paving Contract No. 10	Esquivel Grading & Paving, Inc.	LBE-MBE	25%	63%	\$ 6,010,440	\$ 7,748,807	\$ 7,748,807	8/25/2014	Selormey Dzikunu	Construction	FY 14-15 Q1
DPW	APC14079-5	As Needed Asbestos, Lead, and Industrial Hygiene Consultation Services	North Tower Environmental, Inc.	LBE-WBE	20%	0%	\$ 600,000	\$ -	\$ -	8/21/2014	Romulus Asenlo	Professional Services	FY 14-15 Q1
DPW	APC14079-2	As Needed Asbestos, Lead, and Industrial Hygiene Consultation Services [INACTIVE]	Millennium Consulting Associates	Non-LBE	20%	0%	\$ 600,000	\$ -	\$ -	8/21/2014	Romulus Asenlo	Professional Services	FY 14-15 Q1
DPW	FCE14121	24th Street Urban Village	A. Ruiz Construction Co. & Assoc., Inc.	SBA-MBE	25%	14%	\$ 513,803	\$ 492,390	\$ 586,289	8/7/2014	Finbarr Jewell	Construction	FY 14-15 Q1
DPW	FCA14091	San Francisco Public Library Teen Center Renovation Work	Chiang C M Construction, Inc.	LBE-MBE	21%	74%	\$ 2,057,612	\$ 1,324,888	\$ 1,781,319	8/7/2014	Finbarr Jewell	Construction	FY 14-15 Q1
DPW	FCP13107	Portsmouth Square Park Restroom Renovation	Chiang C M Construction, Inc.	LBE-MBE	18%	20%	\$ 1,298,609	\$ 1,335,853	\$ 1,489,968	7/17/2014	Finbarr Jewell	Construction	FY 14-15 Q1

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	Notice to Proceed	CCO	Industry	Quarter
DPW	APM15113	As-Needed Surveying Services 2015	Towill, Inc.	Non-LBE	20%	0%	\$ 660,000	\$ -	\$ -	11/16/2015	Selormey Dzikunu/Kelly Dwyer	Professional Service	Q2 FY 15-16
DPW	FCE15125	Webster Street Pavement Renovation, Sewer Replacement and Watermain Installation	Shaw Pipeline, Inc.	LBE-OBE	25%	0%	\$ 4,209,602	\$ -	\$ -	11/12/2015	Selormey Dzikunu/Kelly Dwyer	Construction	Q2 FY 15-16
DPW	FCP15110	Randall Museum Renovation Project	Roebuck Construction	LBE-OBE	12%	0%	\$ 4,112,000	\$ -	\$ -	11/4/2015	Selormey Dzikunu/Kelly Dwyer	Construction	Q2 FY 15-16
DPW	ICE16012	7th Avenue and Lincoln Way Traffic Signal Upgrade [Micro-LBE Set-Aside Program]	Bay Area Lightworks Inc.	LBE-MBE	MICRO	0%	\$ 290,488	\$ -	\$ -	11/4/2015	Selormey Dzikunu/Kelly Dwyer	Construction	Q2 FY 15-16
DPW	APM15113	As-Needed Surveying Services 2015	R.E.Y. Engineers, Inc.	Non-LBE	20%	0%	\$ 660,000	\$ -	\$ -	10/29/2015	Selormey Dzikunu/Kelly Dwyer	Professional Service	Q2 FY 15-16
DPW	FCE15120	Muni Forward - Sansome Transit Lane	Bay Area Lightworks Inc.	LBE-MBE	24%	0%	\$ 935,799	\$ -	\$ -	10/22/2015	Selormey Dzikunu/Kelly Dwyer	Construction	Q2 FY 15-16
DPW	ICE16016	Traffic Signal Conduit Contract No.1 [Micro-LBE Set-Aside Program]	Bay Area Lightworks Inc.	LBE-MBE	MICRO	0%	\$ 296,000	\$ -	\$ -	10/22/2015	Selormey Dzikunu/Kelly Dwyer	Construction	Q2 FY 15-16
DPW	APE15031	As-Needed Structural Engineering Services 2015	Biggs Cardosa / Ansari, JV (BCA/ASE, JV)	JV-WBE	25%	0%	\$ 1,000,000	\$ -	\$ -	10/19/2015	Selormey Dzikunu/Kelly Dwyer	Professional Service	Q2 FY 15-16
DPW	FPA15084	Materials Testing and Spedal Inspection Services for Office of the Chief Medical Examiner Facility	ISI Inspection Services, Inc.	Non-LBE	15%	0%	\$ 499,917	\$ -	\$ -	10/19/2015	Selormey Dzikunu/Kelly Dwyer	Professional Service	Q2 FY 15-16
DPW	FCP15105	South Park Renovation	Bauman Landscape & Construction Inc.	LBE-OBE	20%	0%	\$ 2,482,650	\$ -	\$ -	10/15/2015	Selormey Dzikunu/Kelly Dwyer	Construction	Q2 FY 15-16
DPW	FCE15049	Columbus Avenue Pavement Renovation and Water Main Replacement	Esquivel Grading & Paving, Inc.	LBE-MBE	25%	0%	\$ 5,758,436	\$ -	\$ -	10/9/2015	Selormey Dzikunu/Kelly Dwyer	Construction	Q2 FY 15-16
DPW	7440A	Construction Manager/General Contractor (CM/GC) for a new Fire Station 5	Thompson Builders Corporation	Non-LBE	20%	0%	\$ 13,524,500	\$ -	\$ -	10/5/2015	Selormey Dzikunu/Kelly Dwyer	Construction	Q2 FY 15-16
DPW	APE15031	As-Needed Structural Engineering Services 2015	Gerwick (COWI) / OLMM, JV	JV-MBE	25%	0%	\$ 1,000,000	\$ -	\$ -	10/5/2015	Selormey Dzikunu/Kelly Dwyer	Professional Service	Q2 FY 15-16
DPW	APE15116	As-Needed Geotechnical Engineering Services 2015	AGS, Inc.	LBE-MBE	25%	0%	\$ 1,500,000	\$ -	\$ -	10/5/2015	Selormey Dzikunu/Kelly Dwyer	Professional Service	Q2 FY 15-16
DPW	APE15116	As-Needed Geotechnical Engineering Services 2015	Geotechnical Consultants, Inc.	LBE-MBE	25%	0%	\$ 1,500,000	\$ -	\$ -	10/5/2015	Selormey Dzikunu/Kelly Dwyer	Professional Service	Q2 FY 15-16
DPW	FCE15090	9-1-1 Emergency Communications Center Infrastructure Upgrades (ReSild)	Anvil Builders Inc	LBE-OBE	25%	0%	\$ 488,884	\$ -	\$ -	9/29/2015	Selormey Dzikunu/Kelly Dwyer	Construction	Q1 FY 15-16
DPW	ICF16019	Palm Tree Removal and Replanting [Micro-LBE Set-Aside Program]	Capax Group, Inc.	LBE-WBE	MICRO	0%	\$ 382,000	\$ -	\$ -	9/28/2015	Selormey Dzikunu/Kelly Dwyer	Construction	Q1 FY 15-16
DPW	APM15113	As-Needed Surveying Services 2015	Chaudhary & Associates, Inc.	Non-LBE	20%	0%	\$ 660,000	\$ -	\$ -	9/18/2015	Selormey Dzikunu/Kelly Dwyer	Professional Service	Q1 FY 15-16
DPW	FPA15019	Architectural and Engineering Team Led by an Executive Architect for Traffic Company and Forensic Services Division Facility	Hellmuth, Obata & Kassabaum (HOK)	Non-LBE	20%	0%	\$ 993,952	\$ -	\$ -	9/15/2015	Selormey Dzikunu/Kelly Dwyer	Professional Service	Q1 FY 15-16
DPW	APA15087	As-Needed Multi-Discipline Construction Management Services	CPM/AGS, JV	JV-MBE	25%	0%	\$ 900,000	\$ -	\$ -	9/8/2015	Selormey Dzikunu/Kelly Dwyer	Professional Service	Q1 FY 15-16
DPW	APM15113 - 1	As-Needed Surveying Services 2015	F3 & Associates Inc.	Non-LBE	20%	0%	\$ 660,000	\$ -	\$ -	9/8/2015	Selormey Dzikunu/Kelly Dwyer	Professional Service	Q1 FY 15-16
DPW	FCE15095	Franklin and Divisadero Street Traffic Signal Upgrade	Bay Area Lightworks Inc.	LBE-MBE	25%	0%	\$ 2,046,352	\$ -	\$ -	8/27/2015	Selormey Dzikunu/Kelly Dwyer	Construction	Q1 FY 15-16
DPW	FCE15071	Pavement Renovation and Sewer Replacement - Guerrero St, San Jose Ave and Corbett Ave	M Squared Construction, Inc.	LBE-OBE	25%	0%	\$ 6,523,720	\$ -	\$ -	8/21/2015	Selormey Dzikunu/Kelly Dwyer	Construction	Q1 FY 15-16
DPW	FCP15093	Glen Canyon Recreation Center Renovation	Roebuck Construction	LBE-OBE	26%	0%	\$ 9,537,500	\$ -	\$ -	8/20/2015	Selormey Dzikunu/Kelly Dwyer	Construction	Q1 FY 15-16
DPW	FPA15013	Architectural and Engineering Team Design Criteria Consulting Services for a new San Francisco Sheriff's Department Rehabilitation Detention Facility	AECOM Technical Services, Inc.	Non-LBE	15%	0%	\$ 4,020,000	\$ -	\$ -	8/18/2015	Selormey Dzikunu/Kelly Dwyer	Professional Service	Q1 FY 15-16
DPW	APE15031 - 4	As-Needed Structural Engineering Services 2015	Rutherford + Chekene (R+C) / Tennebaum - Manheim Engineers, JV	JV-OBE	25%	0%	\$ 1,000,000	\$ -	\$ -	8/17/2015	Selormey Dzikunu/Kelly Dwyer	Construction	Q1 FY 15-16
DPW	FCA15037	SFGH MOD Potrero Avenue Ramp	Fontenoy Engineering	LBE-OBE	25%	0%	\$ 913,000	\$ -	\$ -	8/17/2015	Selormey Dzikunu/Kelly Dwyer	Construction	Q1 FY 15-16
DPW	FCE15112	San Marcos Avenue and Santa Rita Avenue Roadway Improvement	Alta Engineering Group Inc.	LBE-WBE	27%	0%	\$ 1,499,998	\$ -	\$ -	8/14/2015	Selormey Dzikunu/Kelly Dwyer	Construction	Q1 FY 15-16
DPW	ICE15114	911 Emergency Building Filter Rack Replacement [Micro-LBE Set-Aside Program] (REBID)	Total Filtration Specialists	LBE-WBE	MICRO	0%	\$ 84,000	\$ -	\$ -	8/12/2015	Selormey Dzikunu/Kelly Dwyer	Construction	Q1 FY 15-16
DPW	ICA15121	E.S.E.R. Bond No. 2014 Shower Restoration At Fire Stations 13, 20, 22, and 34 [MICRO]	R & S Construction Management, Inc.	LBE-MBE	MICRO	0%	\$ 157,280	\$ -	\$ -	8/10/2015	Selormey Dzikunu/Kelly Dwyer	Construction	Q1 FY 15-16
DPW	FCA15038 - 2	Mission Cultural Center for Latino Arts ADA Barrier Removal	Roebuck Construction	LBE-OBE	25%	0%	\$ 834,000	\$ -	\$ -	7/21/2015	Selormey Dzikunu/Kelly Dwyer	Construction	Q1 FY 15-16
DPW	FCA15038	Mission Cultural Center for Latino Arts ADA Barrier Removal	Roebuck Construction	LBE-OBE	25%	0%	\$ 834,000	\$ -	\$ -	7/21/2015	Selormey Dzikunu/Kelly Dwyer	Construction	Q1 FY 15-16
DPW	APE15031 - 5	As-Needed Structural Engineering Services 2015	SOHA Engineers / M. Bittleston Engineers, JV (SOHA-MBE, JV)	JV-MBE	25%	0%	\$ 1,000,000	\$ -	\$ -	7/20/2015	Selormey Dzikunu/Kelly Dwyer	Professional Service	Q1 FY 15-16
DPW	FCP15065	Mountain Lake Park Playground Renovation	CF Contracting, Inc.	LBE-OBE	15%	0%	\$ 1,968,750	\$ -	\$ -	7/16/2015	Selormey Dzikunu/Kelly Dwyer	Construction	Q1 FY 15-16
DPW	FCA15098-1	Clement Street Pavement Renovation and Sewer Replacement	Fontenoy Engineering	LBE-OBE	30%	0%	\$ 499,000	\$ -	\$ -	6/30/2015	Finbarr Jewell	Construction	FY 14-15 Q4
DPW	FCE15050-1	Clement Street Pavement Renovation and Sewer Replacement	Shaw Pipeline, Inc.	LBE-OBE	25%	0%	\$ 1,955,818	\$ -	\$ -	6/27/2015	Finbarr Jewell	Construction	FY 14-15 Q4
DPW	FCE15082-1	Ocean Avenue Streetscape Improvements	Bauman Landscape & Construction Inc.	LBE-OBE	20%	0%	\$ 625,336	\$ -	\$ -	6/27/2015	Selormey Dzikunu	Construction	FY 14-15 Q4
DPW	FCE15076-1	FULTON STREET PAVEMENT RENOVATION AND MUNI FORWARD PROJECT	Esquivel Grading & Paving, Inc.	LBE-MBE	25%	0%	\$ 4,160,109	\$ -	\$ 22,204	6/25/2015	Finbarr Jewell	Construction	FY 14-15 Q4
DPW	FCE15079-1	Contract No. 62 New Traffic Signals	Bay Area Lightworks Inc.	LBE-MBE	25%	0%	\$ 1,178,572	\$ 3,150	\$ 806,506	6/18/2015	Selormey Dzikunu	Construction	FY 14-15 Q4
DPW	APE15031-1	As-Needed Structural Engineering Services 2015	Structus, Inc.	LBE-MBE	25%	0%	\$ 1,000,000	\$ -	\$ -	6/18/2015	Selormey Dzikunu	Professional Services	FY 14-15 Q4
DPW	FCA15042-1	Sutter Stockton Parking Garage Ventilation Improvements	CLW Builders, Inc.	LBE-MBE	20%	0%	\$ 1,483,000	\$ -	\$ 44,650	6/18/2015	Selormey Dzikunu	Construction	FY 14-15 Q4
DPW	FCA15041-1	Golden Gateway Parking Garage Ventilation Improvements	CLW Builders, Inc.	LBE-MBE	20%	0%	\$ 2,537,000	\$ -	\$ 642,604	6/18/2015	Selormey Dzikunu	Construction	FY 14-15 Q4

LBE Certification

FY 2015/16 Q1

LBE Certified Small & Micro Firms

	FY 2015/16 Q1	%
MBE	445	38.1%
OBE	437	37.4%
WBE	286	24.5%
Total	1168	

PUC-LBE Certified Small & Micro Firms

	FY 2015/16 Q1	%
MBE	34	29.6%
OBE	72	62.6%
WBE	9	7.8%
Total	115	

Small & Micro MBE Firms by Ethnicity (LBE and PUC-LBE)

Ethnicity	FY 2015/16 Q1	%
African-American	126	23.2%
Arab-American	14	2.6%
Asian-American*	254	46.8%
Iranian-American	23	4.2%
Latino-American	123	22.7%
Native-American	3	0.6%
Total**	543	

LBE Firms by Size (LBE and PUC-LBE)

	FY 2015/16 Q1	%
Micro LBE	1137	84.5%
Small LBE	146	10.9%
SBA LBE	62	4.6%
Total	1345	

LBE Certification

FY 2015/16 Q2

LBE Certified Small & Micro Firms

	FY 2015/16 Q2	%
MBE	445	38.2%
OBE	434	37.3%
WBE	285	24.5%
Total	1164	

PUC-LBE Certified Small & Micro Firms

	FY 2015/16 Q2	%
MBE	35	31.0%
OBE	69	61.1%
WBE	9	8.0%
Total	113	

Small & Micro MBE Firms by Ethnicity (LBE and PUC-LBE)

Ethnicity	FY 2015/16 Q2	%
African-American	128	23.5%
Arab-American	15	2.8%
Asian-American*	252	46.3%
Iranian-American	21	3.9%
Latino-American	125	23.0%
Native-American	3	0.6%
Total**	544	

LBE Firms by Size (LBE and PUC-LBE)

	FY 2015/16 Q2	%
Micro LBE	1182	84.7%
Small LBE	152	10.9%
SBA LBE	62	4.4%
Total	1396	

*includes firms identifying as Asian, Asian Indian, Asian/PI, Chinese, Filipino, Japanese, Korean, Pacific Islander, Southeast Asian

**Firms with a primary identification as a Women-Owned Business (WBE) may also identify an Ethnicity that is Non-Minority.

Airport
FY 15-16 Q1

FY 15-16 Q1 Awarded Contracts		
Total Number of Contracts	6	
Professional Services	5	83%
Construction	1	17%
LBE Primes*	3	50%
Non-LBE Primes*	6	100%
MBE Primes	2	33%
OBE Prime	0	0%
WBE Prime	1	17%
SBA LBE Prime	0	0%

FY 15-16 Q1 Awards		
Amount Awarded	\$ 15,906,227	
Awarded to Non-LBE Primes	\$ 6,415,387	40%
Awarded to Non-LBE Subs	\$ 2,778,107	17%
Awarded to LBEs Primes	\$ 1,617,051	10%
Awarded to LBE Subs	\$ 5,095,682	32%
Awarded to MBE Primes	\$ 1,367,051	9%
Awarded to MBE Subs	\$ 862,269	5%
Awarded to OBE Primes	\$ -	0%
Awarded to OBE Subs	\$ 1,773,070	11%
Awarded to WBE Primes	\$ 250,000	2%
Awarded to WBE Subs	\$ 1,113,395	7%
Awarded to SBA Prime	\$ -	0%
Awarded to SBA Sub	\$ 1,346,947	8%

July 1, 2013-September 30, 2015 Payments**			Change from Q4 2014/15
Total Paid	\$ 40,601,125		\$ 40,713,891
Paid to Non-LBEs Primes	\$ 11,655,831	29%	\$ 21,445,509
Paid to Non-LBE Subs	\$ 6,920,021	17%	\$ 5,639,753
Paid to LBEs Primes	\$ 16,460,589	41%	\$ 8,943,887
Paid to LBE Subs	\$ 5,564,684	14%	\$ 4,684,742
Paid to MBE Primes	\$ 1,818,366	4%	\$ 2,498,740
Paid to MBE Subs	\$ 2,665,936	7%	\$ 1,191,926
Paid to OBE Primes	\$ 7,450,994	18%	\$ 1,019,969
Paid to OBE Subs	\$ 2,522,472	6%	\$ 2,549,675
Paid to WBE Primes	\$ 7,191,229	18%	\$ 5,425,178
Paid to WBE Subs	\$ 376,275	1%	\$ 943,141
Paid to SBA-LBE Primes	\$ -	0%	\$ -
Paid to SBA-LBE Subs	\$ -	0%	\$ -

FY 15-16 Q1 Micro Set Aside Contracts	
Total Eligible	0
Total Awarded	0

*includes joint venture Non-LBE/LBE partnerships
**Based on information from Elation System, October 2015

Airport
FY 15-16 Q2

FY 15-16 Q2 Awarded Contracts		
Total Number of Contracts	2	
Professional Services	2	100%
Construction	0	0%
LBE Primes	1	50%
Non-LBE Primes	1	50%
MBE Primes	1	50%
OBE Prime	0	0%
WBE Prime	0	0%
SBA LBE Prime	0	0%

FY 15-16 Q2 Awards		
Amount Awarded	\$ 1,160,000	
Awarded to Non-LBE Primes	\$ 388,600	34%
Awarded to Non-LBE Subs	\$ 214,600	19%
Awarded to LBEs Primes	\$ 336,400	29%
Awarded to LBE Subs	\$ 220,400	19%
Awarded to MBE Primes	\$ 336,400	29%
Awarded to MBE Subs	\$ 185,600	16%
Awarded to OBE Primes	\$ -	0%
Awarded to OBE Subs	\$ -	0%
Awarded to WBE Primes	\$ -	0%
Awarded to WBE Subs	\$ 34,800	3%
Awarded to SBA Prime	\$ -	0%
Awarded to SBA Sub	\$ -	0%

July 1, 2013-December 31, 2015 Payments*			Change from Q1 2015/16
Total Paid	\$ 67,781,704		\$ 27,067,813
Paid to Non-LBEs Primes	\$ 26,693,156	39%	\$ 5,247,647
Paid to Non-LBE Subs	\$ 10,405,559	15%	\$ 4,765,806
Paid to LBEs Primes	\$ 22,509,178	33%	\$ 13,565,291
Paid to LBE Subs	\$ 8,173,811	12%	\$ 3,489,069
Paid to MBE Primes	\$ 3,195,773	5%	\$ 697,033
Paid to MBE Subs	\$ 3,628,181	5%	\$ 2,436,254
Paid to OBE Primes	\$ 7,871,550	12%	\$ 6,851,581
Paid to OBE Subs	\$ 3,262,384	5%	\$ 712,709
Paid to WBE Primes	\$ 11,441,855	17%	\$ 6,016,677
Paid to WBE Subs	\$ 1,283,247	2%	\$ 340,106
Paid to SBA-LBE Primes	\$ -	0%	\$ -
Paid to SBA-LBE Subs	\$ -	0%	\$ -

FY 15-16 Q2 Micro Set Aside Contracts	
Total Eligible	0
Total Awarded	0

*Based on information from Elation System, January 8, 2016

[illegible]

From: Board of Supervisors, (BOS)
To: Avalos, John (BOS)
Subject: FW: Library Users Association Helps Stop \$1,000 Library Fee Proposed at SFPL -- for now
Attachments: pw--LUA-Helps-Stop-Proposed-Thousand-Dollar-Library-Fee--3-31-15-ve (Repaired).doc

-----Original Message-----

From: Library Users Association [mailto:libraryusers2004@yahoo.com]
Sent: Friday, April 01, 2016 2:52 PM
To: Board of Supervisors, (BOS) <board.of.supervisors@sfgov.org>
Cc: Board of Supervisors, (BOS) <board.of.supervisors@sfgov.org>; Breed, London (BOS) <london.breed@sfgov.org>; Campos, David (BOS) <david.campos@sfgov.org>; Cohen, Malia (BOS) <malia.cohen@sfgov.org>; Kim, Jane (BOS) <jane.kim@sfgov.org>; Tang, Katy (BOS) <katy.tang@sfgov.org>; Nroman.Yee@sfgov.org; Farrell, Mark (BOS) <mark.farrell@sfgov.org>; Mar, Eric (BOS) <eric.mar@sfgov.org>; Wiener, Scott <scott.wiener@sfgov.org>; Peskin, Aaron (BOS) <aaron.peskin@sfgov.org>
Subject: Library Users Association Helps Stop \$1,000 Library Fee Proposed at SFPL -- for now

Dear Supervisors:

As you well know, fixed fines and fees are a problem for the poorest people, and represent a regressive tax that hurts the poorest the most.

That is why we have been talking to you at Board meetings the last two months and more -- about the Library's astronomical proposed new fines and fees, and how we worked to stop them -- for now -- but would like you to consider changes that would ease and eliminate barriers to access for all San Franciscans.

Attached is our press release about how we worked to stop the \$1,000 fee for a lost -- or damaged --laptop computer, and other onerous proposed charges.

FYI, yesterday's New York Times also wrote about the damage fines and fees can do to access, focusing primarily on San Jose Public Library. For additional information on that article, see below.

We hope to speak with you further about how YOU can help remove barriers to library access in San Francisco, including fine-free for everyone, not just those under 18, and opportunities to settle lost book issues via non-cash methods such as Project 20 or reading programs.

Sincerely yours,

Peter Warfield
Executive Director
Library Users Association
415/ 7 5 3 - 2 1 8 0

--- On Thu, 3/31/16, Library Users Association <libraryusers2004@yahoo.com> wrote:

> From: Library Users Association <libraryusers2004@yahoo.com>
> Subject: Library Users Association Helps Stop \$1,000 Library Fee
> Proposed at SFPL -- for now
> To: libraryusers2004@yahoo.com
> Date: Thursday, March 31, 2016, 8:41 PM Dear Colleagues:

>

> Today's New York Times carries an article about the negative impact of

> library fines and fees on poor people, focusing on San Jose Public

> Library -- but in San Francisco, a tremendously wealthy library, fines

> and fees keep thousands of library card holders from full

> participation in this library of "Free and Equal Access."

>

> Library Users Association has been working for months and has helped

> to stop proposed high fees at San Francisco Public Library --

> including a proposed \$1,000 fee for a lost or damaged laptop computer.

>

> Please see attached press release.

>

> FYI, The Times article headline is, "In San Jose, Poor Find Doors to

> Library Closed" and the url is:

>

> [http://www.nytimes.com/2016/03/31/us/in-san-jose-poor-find-doors-to-li](http://www.nytimes.com/2016/03/31/us/in-san-jose-poor-find-doors-to-library-closed.html?_r=0)

> [brary-closed.html?_r=0](http://www.nytimes.com/2016/03/31/us/in-san-jose-poor-find-doors-to-library-closed.html?_r=0)

>

> Thanks!

>

> Peter Warfield

> Executive Director

> Library Users Association

> 415/ 7 5 3 - 2 1 8 0

> *****

> TEXT IS PROVIDED BELOW, SHOULD YOU HAVE DIFFICULTY OPENING THE

> ATTACHED WORD DOCUMENT. (CAUTION -- FORMATTING ANOMALIES.)

>

> Library Users Association

> P.O. Box 170544, San Francisco, CA 94117-0544 PRESS RELEASE

> CONTACT: Peter Warfield March 31, 2016 Tel./Fax:

> (415) 753-2180; cell/text 735-8963

>

> Library Users Association Helped Stop S.F. Public Library's Proposed

> New \$1,000 Fee for Lost or Damaged Laptops –

>

> San Francisco, Thursday, March 31, 2016 -- When the San Francisco

> Public Library Commission met this month, there was one notable item

> not on the agenda: revised fines and fees.

>

> That made it clear that Library Users Association research and

> advocacy have helped stop -- at least for the moment -- an

> unprecedentedly high proposed user fee of \$1,000 for a lost or damaged

> laptop computer, presented last month to the Commission by San

> Francisco City Librarian Luis Herrera.

>

> The fee was one of three brand-new technology fees that were part

> of Mr. Herrera's newly-revised set of proposed fines and fees sent to

> the City's Library Commission for approval at its regular February 4,

> 2016 meeting. The Commission ultimately rejected the revisions when

> no commissioner seconded a motion made by Commissioner Zoe Dunning to

> approve the fees as presented.

>

> Additional proposed fees also included a \$500 charge for lost or

> damaged "iPad or tablet device," and \$50 for

> "peripherals/accessories."

>

> Library Users Association Executive Director Peter Warfield said, "It

> is shocking that the City Librarian would even consider imposing such

> extraordinarily high fees, and that he would try to conceal that fee

> from the Commission's consideration by omitting it from his memo to

> the commissioners. I am glad that we were able to open the eyes of

> the commission and that the members made the sensible decision to

> reject these fees."

>

> The agenda for the Commission's March 17 meeting made no mention

> of the proposal, but in an interview March 15, Mr. Herrera indicated

> that his proposal may return in April or May with revised numbers that

> he said have not yet been determined.

>

> Library Users Association Executive Director Peter Warfield told

> the Commission the amount of three proposed new fees after the

> commission president, indicated she did not know the amounts.

> Following discussion by the Commissioners, the body refused to approve

> the entire proposed fee package.

>

> The lack of a second to a motion is something that activists with more

> than 20 years' experience said had never happened before.

>

> The three commissioners who would not second the motion are Mary

> Wardell-Ghirarduzzi, Michael Nguyen, and John Lee.

> Mr. Warfield said afterwards that he was grateful that they "did the

> right thing."

>

> Mr. Warfield, in making public comment at the February 4 meeting,

> noted that City Librarian Luis Herrera's cover memo to the commission

> never mentioned the three specific technology fees, even as it

> described specifics of other proposed changes in two pages of detail.

> These included numerous specifics on some 15 other charges, including

> removal of the \$1 charge to replace a lost library card and reduction

> of the late fine for orchestral scores from 25 cents per day to 10

> cents per day.

>

> Neither did Mr. Herrera or anyone from the library administration ever

> mention the amount of the three new technology fees during the

> administration's presentation at either the February meeting or the

> prior January meeting at which the fees were first presented.

>

> Mr. Warfield said his group in general approves the reductions, but

> not the new fees or the returned check charge, which was proposed to

> increase from \$10 to \$35.

>

> Mr. Warfield said, "No library patron should be subjected to the

> possibility of such an enormous fine or fee that will likely
> discourage and prevent usage by many who understand the potential
> costs – especially the poorest users. He added that many who
> unfortunately might have been billed the new fees would be unable to
> pay, and that would jeopardize their future ability to borrowing books
> and other materials.
>
> Library rules prohibit patrons who owe more than \$10 from borrowing
> 'physical items' such as books and materials.
>
> The group Mr. Warfield heads has called for not just rejection of the
> increased fees, but a fine-free system so as to minimize barriers to
> patron access.
> ### prprCC16b
>
> 57,000 Card holders Blocked From Borrowing Books
>
> NOTE: Additional research into library statistics shows that more
> than 57,000 San Francisco Public Library card holders, including
> children and seniors, are blocked from borrowing books because they
> owe more than \$10 in fines and/or fees.

From: Board of Supervisors, (BOS)
To: BOS-Supervisors; Wong, Linda (BOS)
Subject: File 150732 FW: Letter of support - disability access improvements (Tang)
Attachments: SDA letter Disability Access Tang.pdf

-----Original Message-----

From: Jessica Lehman [mailto:jessica@sdaction.org]
Sent: Friday, April 01, 2016 3:43 PM
To: Board of Supervisors, (BOS) <board.of.supervisors@sfgov.org>
Subject: Letter of support - disability access improvements (Tang)

Please see letter attached. Thank you.

Jessica Lehman
Executive Director
Senior & Disability Action

1360 Mission Street #400
San Francisco, CA 94103
(415) 546-1333 x301
jessica@sdaction.org

www.sdaction.org
Like us on facebook!
<https://www.facebook.com/pages/San-Francisco-Senior-and-Disability-Action/473061952727334>



1360 Mission St., Suite 400
San Francisco, CA 94103
415-546-1333
www.sdaction.org

April 1, 2016

Re: File 150732 - Mandatory Disability Access Improvements; Administrative Fee (Tang)

Dear Supervisors,

Senior and Disability Action is in strong support of Supervisor Tang's proposed amendment to mandate access to public accommodations' primary entrance and path of travel. We urge you to pass this legislation, which would require existing buildings that serve the public to make entries accessible (unless it will be an unreasonable hardship), would establish a Disability Access Compliance Unit within the Department of Building Inspection, and would establish a onetime fee to cover access costs.

The Americans with Disabilities Act (ADA) requires access for people with disabilities in public accommodations, along with education, employment, and other areas. Unfortunately, more than 25 years after the passage of this landmark civil rights legislation, many businesses are not accessible to all residents. We support the community and business leaders who have worked together in San Francisco to shape this legislation in a way that small businesses and the disability community can support.

This legislation provides an important opportunity for this city to honor our values and make a statement that accessibility is a civil right for people with disabilities, and at the same time recognizing that a healthy small business community serves everyone's interests. We applaud Supervisor Tang for stepping forward on this issue, addressing concerns that we are either going too far or not going far enough.

Once this legislation passes, there will be important work to do in implementation, making sure that resources are allocated appropriately and that access does indeed improve.

We urge you to join Supervisor Tang in support of this legislation.

Thank you.

Sincerely,

A handwritten signature in black ink that reads "Jessica Lehman". The signature is fluid and cursive, with the first name "Jessica" and last name "Lehman" clearly distinguishable.

Jessica Lehman
Executive Director