



Edwin M. Lee  
Mayor

Micki Callahan  
Human Resources Director

Date: November 14, 2014

To: The Honorable Civil Service Commission

Through: Micki Callahan  
Human Resources Director *MC*

From: Cynthia Avakian, AIR  
Brett Conner, CHF  
Sheila Arcelona, DAT  
Jacquie Hale, DPH  
Rachel Buerkle, ENV  
Parveen Boparai/Cynthia Hamada, MTA  
Brent Lewis, DHR  
Danny Yeung, CPC  
Kendall Gary, TIS

Subject: **Personal Services Contracts Approval Request**

This report contains eleven (11) personal services contracts (PSCs) in accordance with the revised Civil Service Commission (CSC) procedures for processing PSCs that became effective on October 25, 2013.

The services proposed by these contracts have been reviewed by Department of Human Resources (DHR) staff to evaluate whether the requesting departments have complied with City policy and procedures regarding PSCs. The proposed PSCs have been posted on the DHR website for seven (7) calendar days. CSC procedures for processing PSCs require that any appeal of these contracts be filed in the office of the CSC, Executive Officer during the posting period.

No timely appeals have been filed regarding the PSCs contained in this report. These proposed PSCs are being submitted to the CSC for ratification/approval.

DHR has prepared the following cost summary for personal services contracts that have been processed through the Department of Human Resources to date:

Total of this Report	YTD Expedited Approvals FY2014-2015	Total for FY2014-2015
\$172,780,000	\$28,036,839	\$504,853,644

Cynthia Avakian  
Airport Commission  
Contracts Administration Unit  
POB 8097  
San Francisco, CA 94128  
650-821-2014

Kendall Gary  
General Service Agency, Technology  
1 South Van Ness Ave., 2<sup>nd</sup> Floor  
San Francisco, CA 94103  
415-581-4066

Brett Conner  
Children, Youth & Their Families  
1390 Market Street, Suite 900  
San Francisco, CA 94102  
415-554-8427

Sheila Arcelona  
District Attorney  
850 Bryant Street, Room 322  
San Francisco, CA 94103  
415-734-3018

Jacque Hale  
Public Health  
101 Grove St., Rm 307  
San Francisco, CA 94102  
415-554-2609

Rachel Buerkle  
Environment  
1455 Market ST., #1200  
San Francisco, CA 94103  
415-355-3704

Parveen Boparai/Cynthia Hamada  
Municipal Transportation Agency  
1 South Van Ness Ave., 6<sup>th</sup> Floor  
San Francisco, CA 94103  
415-701-5381

Brent Lewis  
Human Resources  
1 South Van Ness Ave., 4<sup>th</sup> Floor  
San Francisco, CA 94103  
415-557-4944

Danny Yeung  
City Planning  
1650 Mission St, Suite 400  
San Francisco, CA 94103  
415-575-9042

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Published on *Personal Services Request Database* (<http://apps.sfgov.org/dhrdrupal>)

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**POSTING FOR****December 01, 2014****PROPOSED PERSONAL SERVICES CONTRACTS – REGULAR****Commission Hearing Date**

2014-12-01

**APPLY**

<b>PSC No</b>	<b>Dept Designation</b>	<b>PSC Amount</b>	<b>Description of Work</b>	<b>PSC Estimated Start Date</b>	<b>PSC Estimated End Date</b>
40119 - 14/15	AIRPORT COMMISSION	\$80,000,000.00	Design-Build services teams with speciality design experience at airports to provide design and construction of the Terminal 1 Redevelopment Program (T1 Program) for the: Terminal 1 Center Renovation Project, New Boarding Area B Reconstruction, and Terminal 1 Baggage Handling System Projects. Work will include a full range of planning, programming, architectural design, engineering, and construction management services necessary to develop and construct the functional and conceptual aspects for the following elements: 1) new interior spaces; 2) construction of a program-wide common use Baggage Handling System; 3) relocation and/or installation of new Passenger Loading Bridges; 4) site work to include pavement grade modifications, installation of a garbage collection area, aircraft apron lighting, and Ground Services Equipment (GSE) charging stations; 5) installation of a new hydrant fueling facility, fueling pits, and ancillary systems and equipment; 6) modifications and/or relocations of utility, technology, and other systems; 7) passenger amenities; and 8) construction of temporary barricades, walls, and pedestrian corridors.	December 1, 2014	April 30, 2020
45299 - 14/15	CHILDREN; YOUTH & THEIR FAMILIES	\$350,000.00	The Department of Children, Youth and Their Families (DCYF) is seeking one or more consultants to provide technical assistance to conduct a mandated community needs assessment (C.N.A.) and services allocation plan (SAP). Starting in FY 15/16 DCYF will be required to conduct an equity and resources analysis as part of its C.N.A. and SAP, which must include community input from all supervisorial districts. The equity and resource analysis will require technical expertise in quantitative methods of developing an equity analysis that represents the need for services based on existing needs and resources. It will also require expertise in conducting community focus groups to gather qualitative input from all supervisorial districts and analyzing the data to provide a representative assessment of the community-identified service needs for children, youth and family services.	January 1, 2015	December 31, 2018
18087 - 14/15	DISTRICT ATTORNEY	\$150,000.00	The District Attorney's Office (SFDA) received a U.S. Department of Justice, Bureau of Justice Assistance Smart Prosecution Initiative grant in support of Predictive Analytics for Strategic Prosecution. The goal of the project is to ensure community safety by preventing and reducing crime through the creation, implementation, and establishment of a Crime Strategies Unit (CSU) to identify both violent and nonviolent chronic crime locations and chronic offenders in San Francisco. This grant requires SFDA to partner with an outside research firm (Justice & Security Strategies, Inc. - JSS) to identify and analyze the problem, validate the data, and identify chronic locations and chronic offenders. Together, CSU and JSS will develop a comprehensive predictive model for San Francisco, enabling SFDA to more effectively allocate resources, conduct investigations and prevent crime.	January 1, 2015	December 31, 2016
46624 - 14/15	PUBLIC HEALTH	\$8,000,000.00	Healthcare reform and the San Francisco General Rebuild project have led to the need for specialized limited term projects for the Department of Public Health. The contractor(s) will provide as-needed project management, Clinical Nurse Informaticists (CNI's), technical services program support, and staffing services for specialized limited term projects and Department programs that will focus on a variety of new and existing information technology projects, system of care integration projects, facilities reprogramming, the San Francisco General rebuild project, bond and capital planning initiatives, and program and project support for innovative new and existing projects in the areas of delivery of services,	November 1, 2014	June 30, 2019

PSC No	Dept Designation	PSC Amount	Description of Work	PSC Estimated Start Date	PSC Estimated End Date
			telemedicine, patient experience and process improvement. Clinical Nurse Informaticsts and other specialists are needed to assist nursing with designing and integrating daily work activity with new technology in a safe and controlled environment. This is especially critical for technology in the rebuild. As needed CNIs are needed to fill the rebuild technology work design and to assist SFGH in building an internal CNI program to manage ongoing needs.		
47199 - 14/15	ENVIRONMENT	\$5,000,000.00	Conduct technical assistance and consulting for City Departments engaged in developing building codes, financing programs, and the design, construction and operation of new buildings, major renovations, tenant improvements and existing buildings where subcontractors for specific areas of expertise are required: research, economic, technical and environmental analyses, energy modeling, green building, LEED (Leadership in Energy and Environmental Design)and GreenPoint Rated consulting, post-occupancy evaluation, policy and program design and implementation support.	April 1, 2015	May 31, 2020
43303 - 14/15	MUNICIPAL TRANSPORTATION AGENCY	\$9,500,000.00	The Real Estate Consultants will provide specialized predevelopment investigative work to determine the feasibility of commercial retail space development within the Central Station Union Square-Market Street (UMS) Station site. This service would involve, but is not limited to the following: urban retail district market analysis/feasibility; business attraction and retention; site specific design concept plans; and, complementary underground cityscape design themes. The scope of work will focus on the UMS Concourse retail areas, Chinatown Station and Plaza, but will also include the other two new subway stations to be built, certain parking garages and other potential retail facilities owned by the San Francisco Municipal Transportation Agency (SFMTA). A final proposal for underground retail Implementation will be developed and presented to the SFMTA.	December 2, 2014	December 1, 2023
42414 - 14/15	HUMAN RESOURCES	\$4,000,000.00	Vendor will provide a pharmacy benefit management program ("PBM") that can meet the following requirements: first fill program; pharmacy cards program; home delivery/mail order fulfillment program; generic substitution program; compound and repackaged drug bill review program; plan for inclusion of a workers' compensation-specific formulary with protocol for determination; pre-authorization process for prescriptions outside the standard formulary; eligibility/referrals protocol, including rules and workflow, e.g. how is eligibility determined, how are status changes handled, etc.; billing protocol, including rules, schedule, change requests and workflow, e.g. procedures if a claim is denied, etc.; proven outreach strategies and methods to support, maximize, and increase program awareness and penetration; a sufficiently large network that includes non-traditional pharmacy billers; effective strategies for managing third-party bills and program compliance, including clinical pharmacy services, with measurement and evaluation of outcomes; retrospective pharmacist and physician review services; and methods for identifying and addressing potential narcotic abuse.	January 1, 2015	December 31, 2018

**TOTAL AMOUNT \$107,000,000**



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**Posting For December 01, 2014****Proposed Modifications to Personal Services Contracts**

Commission Hearing Date

2014-12-01

APPLY

PSC Number	Commission Hearing Date	Department	Additional Amount	Cumulative Total	Description	Start Date	End Date	Approval Type
4098-11/12 - MODIFICATIONS	December 1, 2014	AIRPORT COMMISSION -- AIR	\$60,000,000	\$185,000,000	The cost exceeds the forecast primarily by updated Federal Aviation Administration (FAA) requirements that increased the mechanical, electrical, and special systems infrastructure costs, and by recent upward pricing pressure reflective of the upturn in the economy. The structural design was also upgraded which almost doubled the structural construction costs. In addition, that Airport is enhancing some design elements originally in the scope of the project that were going to be part of the Terminal 1 program.	01/01/2016	12/31/2018	REGULAR
44422 - 13/14 - MODIFICATIONS	December 1, 2014	AIRPORT COMMISSION -- AIR	\$5,000,000	\$8,000,000	Contractor will provide architectural and engineering support services for facilities improvements at San Francisco International Airport (SFO), including but not limited to maintenance tasks in the schematic, design, development, and construction support phases. Contractor will be required to work on time sensitive tasks initiated through the Design, Construction and Technology Division's Help Requests as approved by the Airport Deputy Director. A Contractor with airport expertise is needed to ensure proper and timely development and implementation of tasks.	02/01/2019	12/31/2020	REGULAR
4008 12/13 - MODIFICATIONS	December 1, 2014	CITY PLANNING -- CPC	\$30,000	\$130,000	The SFPUC applied for and was awarded a grant from the Environmental Protection Agency (EPA) in September 2010 to develop the Civic Center Sustainable District Plan (Plan) that will evaluate opportunities for sustainable management of water, wastewater, stormwater and energy resources within the District and develop projects and strategies that will result in measurable reductions in water, wastewater and power demands over time. The Planning Department will develop background documentation and a cultural landscape survey of the Civic Center Historic District. The existing designation materials do not fully document the important landscape features that, together with the buildings, comprise the character of the District. The documentation is intended to update and consolidate all background information regarding the District into one information source and identify all character-	07/20/2012	06/30/2015	REGULAR

PSC Number	Commission Hearing Date	Department	Additional Amount	Cumulative Total	Description	Start Date	End Date	Approval Type
					defining features that contribute to its significance.			
33637 - 14/15 - MODIFICATIONS	December 1, 2014	GENERAL SERVICES AGENCY - TECHNOLOGY -- TIS	\$750,000	\$850,000	Training for solutions and techniques for protecting, backing up and recovering physical server and virtual server files, applications, system images and remote offices and endpoint devices. These backup products provide features such as traditional backup to tape, backup to conventional disk or virtual tape library (VTL), data reduction, snapshot, heterogeneous replication, and continuous data protection (CDP). These solutions may be provided as software only, or as an integrated appliance that contains all or substantial components of the backup application, such as backup management server or a media server.	06/20/2014	05/31/2018	REGULAR

**TOTAL AMOUNT \$65,780,000**

**Regular/Continuing/Annual  
Personal Services Contracts**



PERSONAL SERVICES CONTRACT SUMMARY ("PSC FORM 1")

Department: AIRPORT COMMISSION – AIR Dept. Code: AIR

Type of Request: [X] Initial [ ] Modification of an existing PSC (PSC # \_\_\_\_\_)

Type of Approval: [ ] Expedited [X] Regular ([ ] Omit Posting)

Type of Service: Design-Build Services for Terminal 1 Redevelopment Program

Funding Source: Airport Capital Funds PSC Duration: 5 years 21 weeks

PSC Amount: \$80,000,000 PSC Est. Start Date: 12/01/2014 PSC Est. End Date: 04/30/2020

1. Description of Work

A. Scope of Work:

Design-Build services teams with specialty design experience at airports to provide design and construction of the Terminal 1 Redevelopment Program (T1 Program) for the: Terminal 1 Center Renovation Project, New Boarding Area B Reconstruction, and Terminal 1 Baggage Handling System Projects. Work will include a full range of planning, programming, architectural design, engineering, and construction management services necessary to develop and construct the functional and conceptual aspects for the following elements: 1) new interior spaces; 2) construction of a program-wide common use Baggage Handling System; 3) relocation and/or installation of new Passenger Loading Bridges; 4) site work to include pavement grade modifications, installation of a garbage collection area, aircraft apron lighting, and Ground Services Equipment (GSE) charging stations; 5) installation of a new hydrant fueling facility, fueling pits, and ancillary systems and equipment; 6) modifications and/or relocations of utility, technology, and other systems; 7) passenger amenities; and 8) construction of temporary barricades, walls, and pedestrian corridors.

B. Explain why this service is necessary and the consequence of denial:

The Airport must redevelop existing Terminal 1 and replace Boarding Area B due to significant infrastructure and gate capacity deficiencies. The construction of the Terminal 1 Center Project, New Boarding Area B Reconstruction, and the T1 Baggage Handling System will begin after the completion of the enabling projects. If the Design-Build services for these projects are denied, the T1 Program cannot proceed and existing facilities may need to close due to unsafe facilities and airlines may cease operations at SFO.

C. Has this service been provided in the past. If so, how? If the service was provided via a PSC, provide the most recently approved PSC # and upload a copy of the PSC. This is a new service.

D. Will the contract(s) be renewed? Yes, if there continues to be a need for such services.

2. Union Notification: On 10/06/2014, the Department notified the following employee organizations of this PSC/RFP request: Prof & Tech Eng, Local 21,

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FOR DEPARTMENT OF HUMAN RESOURCES USE

PSC# 40119 - 14/15

DHR Analysis/Recommendation:

Civil Service Commission Action:

Commission Approval Required

DHR Approved for 12/01/2014

**3. Description of Required Skills/Expertise**

A. Specify required skills and/or expertise:

Project architectural, engineering, planning, programming, and construction administration skills with direct and current experience related to airport terminals and associated facilities; demolition and hazardous material abatement; utility infrastructure upgrades; security and special systems; redevelopment of interior spaces; airfield and landside site work; relocation and/or installation of new passenger loading bridges, baggage handling systems and passenger amenities; and project control skills.

B. Which, if any, civil service class(es) normally perform(s) this work?

5201,5203,5207,5209,5211,5212,5214,5215,5216,5218,5219,5241,5260,5261,5262,5265,5266,5268,

C. Will contractor provide facilities and/or equipment not currently possessed by the City? If yes, explain:

No.

**4. Why Classified Civil Service Cannot Perform**

A. Explain why civil service classes are not applicable:

The existing architectural and engineering classifications do not have the required expertise and specialized skills for the proposed design-build services. The Airport will use experienced project and construction management staff integrated with the consultant staff to provide the required services. Depending on the projects, current Airport staff will perform the following duties: project management, construction management, construction inspection and surveying, and IT/engineering/architectural design and oversight.

B. Would it be practical to adopt a new civil service class to perform this work? Explain.

Classifications exist but not with the specialized knowledge of airport requirements. Major construction and terminal projects do not occur frequently enough to justify permanent staffing, with the exception of project management staff.

**5. Additional Information (if "yes", attach explanation)**

**YES NO**

- A. Will the contractor directly supervise City and County employee?  YES  NO
- B. Will the contractor train City and County employee?  YES  NO
- C. Are there legal mandates requiring the use of contractual services?  YES  NO
- D. Are there federal or state grant requirements regarding the use of contractual services?  YES  NO
- E. Has a board or commission determined that contracting is the most effective way to provide this service?  YES  NO
- F. Will the proposed work be completed by a contractor that has a current PSC contract with your department?  YES  NO

THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD

ON 11/06/2014 BY:

Name: Cynthia Avakian Phone: 650-821-2014 Email: cynthia.avakian@flysfso.com

Address: P.O. Box 8097 San Francisco, CA 94128

# **Receipt of Union Notification(s)**

**From:** [dhr-psccordinator@sfgov.org](mailto:dhr-psccordinator@sfgov.org) on behalf of [cynthia.avakian@flysfso.com](mailto:cynthia.avakian@flysfso.com)  
**To:** [Cynthia Avakian; L21PSCReview@ifpte21.org](mailto:Cynthia.Avakian;L21PSCReview@ifpte21.org); [Theresa Lopez](mailto:Theresa.Lopez); [Isen, Richard \(TIS\)](mailto:Isen.Richard); [DHR-PSCCoordinator](mailto:DHR-PSCCoordinator), [DHR \(HRD\)](mailto:DHR(HRD))  
**Subject:** Receipt of Notice for new PCS over \$100K PSC # 40119 - 14/15  
**Date:** Monday, October 06, 2014 5:48:28 PM

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RECEIPT for Union Notification for PSC 40119 - 14/15 more than \$100k

The AIRPORT COMMISSION -- AIR has submitted a request for a Personal Services Contract (PSC) 40119 - 14/15 for \$80,000,000 for Initial Request services for the period 12/01/2014 -- 04/30/2020. Notification of 30 days (60 days for SEIU) is required.

After logging into the system please select link below, view the information and verify receipt:

<http://apps.sfgov.org/dhrdrupal/node/3661> For union notification, please see the

TO: field of the email to verify receipt. If you do not see all the unions you intended to contact, the PSC Coordinator must change the state back to NOT READY, make sure the classes and unions you want to notify are selected and SAVE. Then VIEW the record and verify the list of unions and emails. EDIT the document again , change the state back START UNION NOTIFICATION and SAVE. You should receive the email with all unions to the TO: field as intended

# **Additional Attachment(s)**

PSC 40119-14/15

For all PSCs if the duration requested is 5 years or more, an explanation is required- historical PSC required:

The Design Build Services have to be coordinated with the Project Management Support Services (PMSS) for Boarding Area B & Terminal 1 which has a time frame of six years from 6/1/14 to 12/31/20. The related PSC # 47898 13-14 Project Management Support Services Terminal 1 Redevelopment Program is attached to this PSC request.

PERSONAL SERVICES CONTRACT SUMMARY ("PSC FORM 1")

Department: AIRPORT COMMISSION – AIR Dept. Code: AIR

Type of Request:  Initial  Modification of an existing PSC (PSC # \_\_\_\_\_)

Type of Approval:  Expedited  Regular ( Omit Posting)

Type of Service: Project Management Support Services for Boarding Area B & Terminal 1 Redevelopment

Funding Source: Airport Capital Funds PSC Duration: 6 years 30 weeks  
PSC Amount: \$48,000,000 PSC Est. Start Date: 06/01/2014 PSC Est. End Date: 12/31/2020

**1. Description of Work**

**A. Scope of Work:**

Project Management Support Services (PMSS) teams with design, design-build, construction manager/general contractor (CM/GC), and design-bid-build experience at airports to manage the design and construction of the Terminal 1 Redevelopment Program Boarding Area B and Terminal 1 Redevelopment Projects. Work will include project planning, controls, reporting, scheduling, budgeting, document control, coordination, design management, contracts management and constructability review for the following elements: 1) new interior spaces; 2) construction of a program-wide common use baggage handling system; 3) relocation and/or installation of new passenger loading areas and new foundations and fixed walkways; 4) site work for pavement grade modifications, installation of a garbage collection area, aircraft apron lighting, ground service equipment charging stations; 5) installation of utilities and ancillary systems and equipment; 6) modifications and/or relocations of utility, technology, and mechanical/electrical/plumbing systems; and 7) passenger amenities.

**B. Explain why this service is necessary and the consequence of denial:**

The Airport must replace existing Terminal 1 and Boarding Area B due to significant infrastructure and gate capacity deficiencies. After the completion of the enabling projects, the Boarding Area B Redevelopment and Terminal 1 Central Area will begin the construction of the new facilities. If the PMSS for these projects are denied, the T1 Program cannot proceed and existing facilities may need to close due to unsafe facilities and airlines may cease operations at SFO.

**C. Has this service been provided in the past. If so, how? If the service was provided via a PSC, provide the most recently approved PSC # and upload a copy of the PSC.**  
This is a new service.

**D. Will the contract(s) be renewed? Yes, if there continues to be a need for such services.**

**2. Union Notification:** On 03/24/2014, the Department notified the following employee organizations of this PSC/RFP request: Professional & Tech Engrs, Local 21,

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**FOR DEPARTMENT OF HUMAN RESOURCES USE**

PSC# 47898 - 13/14

DHR Analysis/Recommendation: 05/19/2014

Commission Approval Required Approved by Civil Service Commission

DHR Approved for 05/19/2014 -7

3. Description of Required Skills/Expertise

A. Specify required skills and/or expertise: Project design and construction management skills with direct and current experience related to: airport terminals and associated facilities; demolition and hazardous material abatement; utility infrastructure upgrades; security and special systems; redevelopment of interior spaces; and airfield and landside site work. Project schedule development and analysis, project controls, regulatory compliance, analysis of claims and delays to support this project through programming, design, and construction.

B. Which, if any, civil service class(es) normally perform(s) this work? 1044,1070,5201,5211,5216,5310,5312,5502,5508,6318,6319,5203,5207,5209,5504,5506,

C. Will contractor provide facilities and/or equipment not currently possessed by the City? If yes, explain: No.

4. Why Classified Civil Service Cannot Perform

A. Explain why civil service classes are not applicable:

Existing staff does not have the required expertise and specialized skills related to the proposed services. The Airport will use experienced project and construction management staff integrated with the consultant staff to provide the required services. Depending on the projects, current Airport staff will perform the following duties: project management, construction management, construction inspection and surveying, and information technology/engineering/architectural design and oversight.

B. Would it be practical to adopt a new civil service class to perform this work? Explain.

Classifications exist but not with the specialized knowledge of airport requirements. Major construction and terminal projects do not occur frequently enough to justify permanent staffing, with the exception of project management staff.

5. Additional Information (if "yes", attach explanation)

YES NO

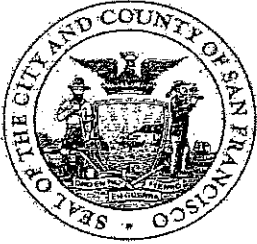
- A. Will the contractor directly supervise City and County employee? [ ] [x]
B. Will the contractor train City and County employee? [ ] [x]
C. Are there legal mandates requiring the use of contractual services? [ ] [x]
D. Are there federal or state grant requirements regarding the use of contractual services? [ ] [x]
E. Has a board or commission determined that contracting is the most effective way to provide this service? [ ] [x]
F. Will the proposed work be completed by a contractor that has a current PSC contract with your department? [ ] [x]

[x] THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD ON 04/21/2014 BY:

Name: Cynthia Avakian Phone: 650-821-2014 Email: cynthia.avakian@flysfso.com

Address: P.O. Box 8097 San Francisco, CA 94128





**CIVIL SERVICE COMMISSION**  
**CITY AND COUNTY OF SAN FRANCISCO**

EDWIN M. LEE  
MAYOR

*Sent via Electronic Mail*

May 21, 2014

**NOTICE OF CIVIL SERVICE COMMISSION ACTION**

**SUBJECT: REVIEW OF REQUEST FOR APPROVAL OF PROPOSED PERSONAL SERVICES CONTRACTS NUMBERS 41848-13/14; 47898-13/14; 48332-13/14; 46405-13/14; 47775-13/14; 48099-13/14; 49500-13/14; 4111-10/11; AND 4138-07/08.**

At its meeting of **May 19, 2014** the Civil Service Commission had for its consideration the above matter.

The Commission took the following actions:

- 1) Approved PSC# 48099-13/14, with the condition that the Public Utilities Commission work with the Executive Officer to amend the submission so that it will be used for future submissions, to include an expanded and detailed explanation regarding the reason for the overlap and repeated requests for approval as well as a citation of the applicable administrative code provision(s). (Vote of 5 to 0)
- 2) Approved the request for all remaining PSCs (PSC numbers 41848-13/14; 47898-13/14; 48332-13/14; 46405-13/14; 47775-13/14; 49500-13/14; 4111-10/11 and 4138-07/08). Adopted the report; notified the Office of the Controller and the Office of Contract Administration. (Vote of 5 to 0)

CIVIL SERVICE COMMISSION

JENNIFER JOHNSTON  
Executive Officer

Cc: Sheila Arcelona, District Attorney's Office  
Cynthia Avakian, Airport Commission  
Mary Hom, Controller's Office  
Shamica Jackson, Public Utilities Commission  
Stacey Lo, Public Utilities Commission  
Genie Wong, San Francisco Police Department  
Ben Rosenfield, Controller's Office  
Jacki Fong, Contract Administrator  
Commission File  
Chron

## POSTING FOR

May 19, 2014

### PROPOSED PERSONAL SERVICES CONTRACTS – REGULAR

**Commission Hearing Date**



PSC No	Dept Designation	PSC Amount	Description of Work	PSC Estimated Start Date	PSC Estimated End Date
41848 - 13/14	AIRPORT COMMISSION	\$2,000,000.00	Design-build services with specialty experience in steel canopy structures to provide the design and construction for Lot D parking improvements and Parking Access Revenue Collection System (PARCS) Automation ("Project"). The design-build contractor will perform the design and construction of a new canopy structure and retrofit an existing five lane width canopy at the Lot D parking facility along with installing over 40 new automation parking revenue collection equipment at this facility. The Airport's existing parking control system will be modified to accommodate the new functionalities along with the addition of FasTrak as a method of payment. Work will include: utility improvements, existing building facility modifications, installation and retrofit of canopy structures, improved signage, site drainage, and lighting improvements.	May 20, 2014	August 1, 2015
47898 - 13/14	AIRPORT COMMISSION	\$48,000,000.00	Project Management Support Services (PMSS) teams with design, design-build, construction manager/general contractor (CM/GC), and design-bid-build experience at airports to manage the design and construction of the Terminal 1 Redevelopment Program Boarding Area B and Terminal 1 Redevelopment Projects. Work will include project planning, controls, reporting, scheduling, budgeting, document control, coordination, design management, contracts management and constructability review for the following elements: 1) new interior spaces; 2) construction of a program-wide common use baggage handling system; 3) relocation and/or installation of new passenger loading areas and new foundations and fixed walkways; 4) site work for pavement grade modifications, installation of a garbage collection area, aircraft apron lighting, ground service equipment charging stations; 5) installation of utilities and ancillary systems and equipment; 6) modifications and/or relocations of utility, technology, and mechanical/electrical/plumbing systems; and 7) passenger amenities.	June 1, 2014	December 31, 2020
48332 - 13/14	CONTROLLER	\$20,000,000.00	The Controller's Office is seeking to hire a vendor to provide installation, configuration and implementation services for the new citywide Financial Management System. The replacement of the City's financial systems is a multi-year project that will be implemented in multiple phases. The Controller's Office will hire a City project team to manage and work on all phases of the project – from scoping to go-live. During the system implementation, the City's project team will be paired with consultants to design and develop the citywide system with the intent of City staff supporting the system upon project completion.	July 1, 2015	June 30, 2018
46405 - 13/14	PUBLIC UTILITIES COMMISSION	\$1,500,000.00	Provide professional services to the San Francisco Public Utilities Commission (SFPUC) for collection of groundwater samples and other monitoring support for SFPUC's existing groundwater monitoring and management programs in the Westside Basin. Services include groundwater level and flow monitoring, analysis, and reporting for third-party irrigation wells; installation of bladder pumps and transducers in wells; routine semi-annual collection and transport of groundwater samples to the SFPUC Millbrae Laboratory; preparation of Drinking Water Source Assessment and Protection Plans for production wells; planning, conducting, and reporting on land subsidence monitoring; locating and properly destroying abandoned monitoring wells; conducting as-needed wellhead maintenance; design of turnouts and piping from SFPUC pipelines to existing irrigation wells, including flowmeter and backflow device design, as part of mitigation measures for Colma irrigation wells, and other associated as-needed tasks.	October 1, 2014	September 1, 2019
47775 - 13/14	PUBLIC UTILITIES COMMISSION	\$5,000,000.00	Scope of work consists of structural engineering services for the Planning Phase and potential Design Phase of the structures covered under the Sewer System Improvement Program (SSIP), including geotechnical support services needed for recommendations for structural analysis. Structural engineering services for the Planning Phase and	May 1, 2014	July 1, 2022



San Francisco International Airport

**NOTICE OF INTENT**

DATE: July 3, 2014  
TO: Public Utilities Commission, Department of Public Works, Port of San Francisco, San Francisco Municipal Transportation Agency  
SUBJECT: **NOTICE OF INTENT FOR: Request for Proposals (RFP) for Design-Build Services for the Terminal 1 Redevelopment Program – New Boarding Area B Reconstruction, Terminal 1 Center Renovation, and Terminal 1 Baggage Handling System Projects at San Francisco International Airport**

REQUESTED RESPONSE DATE IS CLOSE OF BUSINESS DAY: July 14, 2014

The San Francisco International Airport Design & Construction Division is seeking professional design services for: **Design-Build Services for the Terminal 1 Redevelopment Program – New Boarding Area B Reconstruction, Terminal 1 Center Renovation, and Terminal 1 Baggage Handling System Projects at San Francisco International Airport** as listed below. If your Department is interested, please fill out one of the boxes below, sign, date and send back this form via email. If the Airport has not received a response from your organization by **July 14, 2014** it shall be assumed that your staff is not available to perform these services and the Airport will execute a contract service order for completion of these services.

Estimated duration of Design-Build contracts: March 2015– August 2020

Summary of Scope of Work:

The Airport must replace existing Terminal 1 and Boarding Area B due to significant infrastructure and gate capacity deficiencies. These projects will allow for the redevelopment of the new terminal and construction of new boarding area facilities.

The Airport requires Design-Build services for a contractor with specialty design experience at airports to provide design and construction of the Terminal 1 Redevelopment Program (T1 Program): New Boarding Area B Reconstruction, Terminal 1 Center Renovation, and Terminal 1 Baggage Handling System Projects. Work will include a full range of planning, programming, architectural design, engineering, and construction management services necessary to develop the functional and conceptual aspects for the following elements:

- Interior spaces, conference rooms, big rooms, concession areas, restrooms, hold rooms with airline gate podiums and paging systems, tenant offices, way-finding, and signage;
- Construction of a Program-wide, common use Baggage Handling System;
- Relocation and/or installation of new Passenger Loading Bridges with all services such as Pre-Conditioned Air and 400 Hz power systems, as well as new foundations and fixed walkways;
- Site work to include pavement grade modifications, installation of a garbage collection area, aircraft apron lighting, and GSE charging stations;
- New hydrant fueling facility, fueling pits, and ancillary systems and equipment;
- Utility, technology, and mechanical/electrical/plumbing systems, such as power, telecommunications and data, security, sewer, water, natural gas, fire protection, etc.;
- Miscellaneous passenger amenities such as Wi-Fi, flight information displays, hydration stations, in-seat electronics charging outlets, ATMs, art installations, information booths, advertisements, etc.;
- Construction of temporary barricades, demising walls, and pedestrian corridors to provide for safe and secure movements during construction activities;
- Daily management and oversight of all facility and systems interface coordination between Boarding Area B and Terminal 1 to ensure infrastructure and systems common to both projects function, as intended by system provider/manufacturer, upon project completion.

Multiple Requests for Proposals will be sent for these projects.

**AIRPORT COMMISSION** CITY AND COUNTY OF SAN FRANCISCO

EDWIN M. LEE  
MAYOR

LARRY MAZZOLA  
PRESIDENT

LINDA S. CRAYTON  
VICE PRESIDENT

ELEANOR JOHNS

RICHARD J. GUGGENHIME

PETER A. STERN

JOHN L. MARTIN  
AIRPORT DIRECTOR

**SFO, DESIGN & CONSTRUCTION DIVISION  
NOTICE OF INTENT**

**RFPs, Design-Build Services for the Terminal 1 Redevelopment Program – New Boarding Area B  
Reconstruction, Terminal 1 Center Renovation, and Terminal 1 Baggage Handling System Projects at  
San Francisco International Airport**

Please provide the information check one of the boxes below, sign, date and email back by due date.

**Our Department is interested.**

If your department is interested in providing these services, the Project Managers for these RFPs will contact you for further discussions.

**Our Department is not interested or available to perform these services.**

NAME: \_\_\_\_\_

DEPARTMENT: \_\_\_\_\_

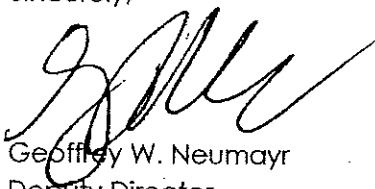
SIGNATURE: \_\_\_\_\_

Date: \_\_\_\_\_

Questions regarding this request should be sent via email to:  
Geoff Neumayr at [Geoff.Neumayr@flysfo.com](mailto:Geoff.Neumayr@flysfo.com) or Reuben Halili at [Reuben.Halili@flysfo.com](mailto:Reuben.Halili@flysfo.com)

Thank you in advance for your consideration.

Sincerely,



Geoffrey W. Neumayr  
Deputy Director  
Design & Construction Division  
San Francisco International Airport

cc: Cynthia Avakian

PERSONAL SERVICES CONTRACT SUMMARY ("PSC FORM 1")

Department: CHILDREN; YOUTH & THEIR FAMILIES – CHF Dept. Code: CHF

Type of Request: [X] Initial [ ] Modification of an existing PSC (PSC # \_\_\_\_\_)

Type of Approval: [ ] Expedited [X] Regular [ ] Omit Posting

Type of Service: Strategic Planning

Funding Source: Children's Fund PSC Duration: 4 years
PSC Amount: \$350,000 PSC Est. Start Date: 01/01/2015 PSC Est. End Date: 12/31/2018

1. Description of Work

A. Scope of Work:

The Department of Children, Youth and Their Families (DCYF) is seeking one or more consultants to provide technical assistance to conduct a mandated community needs assessment (C.N.A.) and services allocation plan (SAP). Starting in FY 15/16 DCYF will be required to conduct an equity and resources analysis as part of its C.N.A. and SAP, which must include community input from all supervisorial districts. The equity and resource analysis will require technical expertise in quantitative methods of developing an equity analysis that represents the need for services based on existing needs and resources. It will also require expertise in conducting community focus groups to gather qualitative input from all supervisorial districts and analyzing the data to provide a representative assessment of the community-identified service needs for children, youth and family services.

B. Explain why this service is necessary and the consequence of denial:

Proposition C will go before voters in November 2014 to seek approval to reauthorize the Children's Fund. In the event of its passage, DCYF will be required to make changes to its current mandated planning process for conducting a C.N.A. and SAP. DCYF is seeking a consultant to advise the department on technical aspects of the new planning requirements and to support the department to carry out community focus groups across all supervisorial districts as required in the new legislation. ... (see attachment)

C. Has this service been provided in the past. If so, how? If the service was provided via a PSC, provide the most recently approved PSC # and upload a copy of the PSC. DCYF has not sought a request for these services in the past.

D. Will the contract(s) be renewed? We do not anticipate renewing any contracts awarded through this PSC.

2. Union Notification: On none, the Department notified the following employee organizations of this PSC/RFP request: no unions notified

\*\*\*\*\*

FOR DEPARTMENT OF HUMAN RESOURCES USE

PSC# 45299 - 14/15

DHR Analysis/Recommendation:

Civil Service Commission Action:

Commission Approval Required

DHR Approved for 12/01/2014

**3. Description of Required Skills/Expertise**

A. Specify required skills and/or expertise:

Equity Analysis: Expertise on the factors related to positive child and youth development, ability to identify & collect data on neighborhood needs and resources that can be reliably used to build an equity index, and statistical expertise to model different equity indices to arrive at a model that can be replicated in future equity analyses. ... (see attachment)

B. Which, if any, civil service class(es) normally perform(s) this work?  
1823,

C. Will contractor provide facilities and/or equipment not currently possessed by the City? If yes, explain:  
No

**4. Why Classified Civil Service Cannot Perform**

A. Explain why civil service classes are not applicable:

The mandated planning requirements are new to DCYF and therefore our Administrative Analysts have not developed expertise in the development of an equity analysis. DCYF Analysts will work closely with the consultant to develop the expertise needed to conduct future equity analysis. In addition, the development of the required equity analysis C.N.A. and SAP will required an extensive community input process over a two year period (C.N.A. in year 1 & SAP in year 2) for which DCYF does not have the staff capacity or expertise to carry out.

B. Would it be practical to adopt a new civil service class to perform this work? Explain.  
No, this work will eventually be performed by DCYF's 1823 Analyst position in the future.

**5. Additional Information (if "yes", attach explanation)**

**YES NO**

- A. Will the contractor directly supervise City and County employee?  YES  NO
- B. Will the contractor train City and County employee?  
DCYF Administrative Analyst will work closely ... (see attachment)  YES  NO
- C. Are there legal mandates requiring the use of contractual services?  YES  NO
- D. Are there federal or state grant requirements regarding the use of contractual services?  YES  NO
- E. Has a board or commission determined that contracting is the most effective way to provide this service?  YES  NO
- F. Will the proposed work be completed by a contractor that has a current PSC contract with your department?  YES  NO

THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD

ON \_\_\_\_\_ BY:

Name: Brett Conner Phone: 415.554.8427 Email: brett.conner@dcyf.org

Address: 1390 Market Street, Suite 900 San Francisco, CA 94102

# **Receipt of Union Notification(s)**

**From:** [dhr-psccordinator@sfgov.org](mailto:dhr-psccordinator@sfgov.org) on behalf of [brett.conner@dcyf.org](mailto:brett.conner@dcyf.org)  
**To:** [Conner, Brett \(CHF\)](mailto:Conner.Brett@CHF); [leah.berlanga@seiu1021.org](mailto:leah.berlanga@seiu1021.org); [davidmkersten@gmail.com](mailto:davidmkersten@gmail.com); [tiva.thlang@seiu1021.org](mailto:tiva.thlang@seiu1021.org); [ablood@cirseiu.org](mailto:ablood@cirseiu.org); [xiumin.li@seiu1021.org](mailto:xiumin.li@seiu1021.org); [Poon, SinYee \(HSA\)](mailto:Poon.SinYee@HSA); [david.canham@seiu1021.org](mailto:david.canham@seiu1021.org); [joe.tanner@seiu1021.net](mailto:joe.tanner@seiu1021.net); [Larry.Bradshaw@seiu1021.org](mailto:Larry.Bradshaw@seiu1021.org); [camaguev@sfmea.com](mailto:camaguev@sfmea.com); [staff@sfmea.com](mailto:staff@sfmea.com); [L21PSCReview@ifpte21.org](mailto:L21PSCReview@ifpte21.org); [Conner, Brett \(CHF\)](mailto:Conner.Brett@CHF); [Isen, Richard \(TIS\)](mailto:Isen, Richard@TIS); [DHR-PSCCoordinator, DHR \(HRD\)](mailto:DHR-PSCCoordinator.DHR@HRD)  
**Subject:** Receipt of Notice for new PCS over \$100K PSC # 45299 - 14/15  
**Date:** Thursday, September 04, 2014 5:49:01 PM

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RECEIPT for Union Notification for PSC 45299 - 14/15 more than \$100k

The CHILDREN; YOUTH & THEIR FAMILIES -- CHF has submitted a request for a Personal Services Contract (PSC) 45299 - 14/15 for \$350,000 for Initial Request services for the period 01/01/2015 – 12/31/2018. Notification of 30 days (60 days for SEIU) is required.

After logging into the system please select link below, view the information and verify receipt:

<http://apps.sfgov.org/dhrdrupal/node/3878> For union notification, please see the

TO: field of the email to verify receipt. If you do not see all the unions you

intended to contact, the PSC Coordinator must change the state back to NOT READY, make sure the classes and unions you want to notify are selected and SAVE. Then VIEW the record and verify the list of unions and emails. EDIT the document again, change the state back START UNION NOTIFICATION and SAVE. You should receive the email with all unions to the TO: field as intended



# **Additional Attachment(s)**



**Maria Su, Psy.D.**  
EXECUTIVE DIRECTOR



**Edwin M. Lee**  
MAYOR

**Attachment to Form 1**  
**PSC 45299 - 14/15**

**Section 1B – Full Text**

Proposition C will go before voters in November 2014 to seek approval to reauthorize the Children's Fund. In the event of its passage, DCYF will be required to make changes to its current mandated planning process for conducting a C.N.A. and SAP. DCYF is seeking a consultant to advise the department on technical aspects of the new planning requirements and to support the department to carry out community focus groups across all supervisorial districts as required in the new legislation.

Denial of this request does not release DCYF from the mandated requirements in the legislation; therefore, DCYF would have to seek approval to bring in temporary staff with the needed expertise to develop an equity analysis. In addition, the department would need to temporarily redirect the work of existing staff to support these activities.

**Section 3A – Full Text**

**Equity Analysis:** Expertise on the factors related to positive child and youth development, ability to identify & collect data on neighborhood needs and resources that can be reliably used to build an equity index, and statistical expertise to model different equity indices to arrive at a model that can be replicated in future equity analyses.

**Community Focus Groups:** Ability to convene and facilitative community input sessions and conduct an analysis that is representative of key issues surfaced at community meetings to inform equity index for C.N.A. and allocation of resources by service area and neighborhood in the SAP.

**Section 5B – Full Text**

DCYF Administrative Analyst will work closely with the consultant to develop the expertise needed to perform this work in the future. Four Administrative Analysts (1823) will receive the training. The number of training hours is not yet determined.

PERSONAL SERVICES CONTRACT SUMMARY ("PSC FORM 1")

Department: DISTRICT ATTORNEY – DAT Dept. Code: DAT

Type of Request:  Initial  Modification of an existing PSC (PSC # \_\_\_\_\_)

Type of Approval:  Expedited  Regular ( Omit Posting)

Type of Service: Smart Prosecution Research

Funding Source: U.S. Department of Justice PSC Duration: 2 years  
PSC Amount: \$150,000 PSC Est. Start Date: 01/01/2015 PSC Est. End Date: 12/31/2016

**1. Description of Work**

**A. Scope of Work:**

The District Attorney's Office (SFDA) received a U.S. Department of Justice, Bureau of Justice Assistance Smart Prosecution Initiative grant in support of Predictive Analytics for Strategic Prosecution. The goal of the project is to ensure community safety by preventing and reducing crime through the creation, implementation, and establishment of a Crime Strategies Unit (CSU) to identify both violent and nonviolent chronic crime locations and chronic offenders in San Francisco. This grant requires SFDA to partner with an outside research firm (Justice & Security Strategies, Inc. - JSS) to identify and analyze the problem, validate the data, and identify chronic locations and chronic offenders. Together, CSU and JSS will develop a comprehensive predictive model for San Francisco, enabling SFDA to more effectively allocate resources, conduct investigations and prevent crime.

**B. Explain why this service is necessary and the consequence of denial:**

Per page 6 of the RFP, "Smart Prosecution applications require a research partner/organization as part of the application." As an indispensable component of the project, the research partner had to be identified in the grant application, along with its qualifications, roles and responsibilities to the project. Thus, Justice & Security Strategies was vetted and written into the grant as the research partner with the necessary expertise to execute the project with SFDA. The consequences of denial of this PSC would be that SFDA would be out of compliance with the requirements of the grant and we would have to decline the award.

**C. Has this service been provided in the past. If so, how? If the service was provided via a PSC, provide the most recently approved PSC # and upload a copy of the PSC.**  
This service has not been provided in the past.

**D. Will the contract(s) be renewed?** No.

**2. Union Notification:** On 10/08/2014, the Department notified the following employee organizations of this PSC/RFP request: Professional & Tech Engrs, Local 21,

\*\*\*\*\*

**FOR DEPARTMENT OF HUMAN RESOURCES USE**

PSC# 18087 - 14/15

DHR Analysis/Recommendation:

Commission Approval Required

DHR Approved for 12/01/2014

Civil Service Commission Action:

**3. Description of Required Skills/Expertise**

A. Specify required skills and/or expertise:  
 Per the RFP, the research partner must have skills and expertise in field research, action research, scientific research, evaluation methods, and prior experience working with criminal justice partners.

B. Which, if any, civil service class(es) normally perform(s) this work?  
 1805,1823,1824,1825,1827,1830,

C. Will contractor provide facilities and/or equipment not currently possessed by the City? If yes, explain:  
 No.

**4. Why Classified Civil Service Cannot Perform**

A. Explain why civil service classes are not applicable:  
 Civil service classes are not applicable because funding for this grant requires SFDA to partner with a research partner/organization.

B. Would it be practical to adopt a new civil service class to perform this work? Explain.  
 Under these circumstances, it would not be practical to adopt a new civil service class to perform this work. Because the grant requires an outside research partner/organization, no City civil class could meet that requirement.

**5. Additional Information (if "yes", attach explanation)**

	<u>YES</u>	<u>NO</u>
A. Will the contractor directly supervise City and County employee?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
B. Will the contractor train City and County employee? The contractor's role is to provide research and support to the project only.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
C. Are there legal mandates requiring the use of contractual services?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
D. Are there federal or state grant requirements regarding the use of contractual services? See attachment "Notes Grant Requirements".	<input checked="" type="checkbox"/>	<input type="checkbox"/>
E. Has a board or commission determined that contracting is the most effective way to provide this service?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
F. Will the proposed work be completed by a contractor that has a current PSC contract with your department?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD  
 ON 10/31/2014 BY:

Name: Sheila Arcelona Phone: 415 734 3018 Email: sheila.arcelona@sfgov.org

Address: 850 Bryant Street, Room 322 San Francisco, CA

# **Receipt of Union Notification(s)**

From: dhr-psccordinator@sfgov.org [mailto:dhr-psccordinator@sfgov.org] On Behalf Of sheila.arcelona@sfgov.org

Sent: Wednesday, October 08, 2014 10:20 AM

To: Arcelona, Sheila (DAT); L21PSCReview@ifpte21.org; Hoang, Stacey (DAT); Isen, Richard (TIS); DHR-PSCCoordinator, DHR (HRD)

Subject: Receipt of Notice for new PCS over \$100K PSC # 18087 - 14/15

RECEIPT for Union Notification for PSC 18087 - 14/15 more than \$100k

The DISTRICT ATTORNEY -- DAT has submitted a request for a Personal Services Contract (PSC) 18087 - 14/15 for \$150,000 for Initial Request services for the period no date entered, contact dept coordinator -- no date entered, contact dept coordinator. Notification of 30 days (60 days for SEIU) is required.

After logging into the system please select link below, view the information and verify receipt:

<http://apps.sfgov.org/dhrdrupal/node/4024> For union notification, please see the TO: field of the email to verify receipt. If you do not see all the unions you intended to contact, the PSC Coordinator must change the state back to NOT READY, make sure the classes and unions you want to notify are selected and SAVE. Then VIEW the record and verify the list of unions and emails. EDIT the document again, change the state back START UNION NOTIFICATION and SAVE. You should receive the email with all unions to the TO: field as intended

**From:** Kim Carter Martinez [mailto:kcarter@ifpte21.org]  
**Sent:** Thursday, October 30, 2014 10:52 AM  
**To:** Arcelona, Sheila (DAT)  
**Subject:** RE: PSC 18087-14/15

The Union has no objection to this PSC.

Thanks,

Kim

Kim Carter Martinez  
IFPTE Local 21, AFL-CIO  
p:415-864-2100  
f:415-864-2166  
e:kcarter@ifpte21.org

---

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**From:** Kim Carter Martinez  
**Sent:** Thursday, October 30, 2014 9:58 AM  
**To:** 'sheila.arcelona@sfgov.org'  
**Subject:** PSC 18087-14/15

Hi Sheila,

We are in receipt of the above mentioned PSC. I am interested in talking to you more about why Civil Service Employees can not do this work. Please contact me to set up a time to talk/meet.

Thank you,

Kim Carter Martinez

Thanks,

Kim

Kim Carter Martinez  
IFPTE Local 21, AFL-CIO  
p:415-864-2100  
f:415-864-2166  
e:kcarter@ifpte21.org

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## **Additional Attachment(s)**



PSC #18087 – 14/15

**5D.**

*Are there federal or state grant requirements regarding the use of contractual services?*

Yes

*Notes Grant Requirements:*

As stated and attached previously, the RFP explicitly states that, "Smart Prosecution applications require a research partner/organization as part of the application."



---

The U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), Bureau of Justice Assistance (BJA) is seeking applications for the Smart Prosecution Initiative. This program furthers the Department's mission by assisting state and local jurisdictions in preventing and reducing crime.

## Smart Prosecution Initiative FY 2014 Competitive Grant Announcement

### Eligibility

Eligible applicants are limited to state, local, and tribal prosecutor agencies or a government agency acting as fiscal agent for the applicant.

**Note: This solicitation includes a two-step process:**

- Step 1—Concept Paper: Applicants must apply through [Grants.gov](http://Grants.gov).**
- Step 2—Full Application: Selected applicants only, as outlined in this solicitation, will be invited to apply through OJP's Grants Management System (GMS).**

**It is recommended that applicants ensure registration is complete and up to date for both [Grants.gov](http://Grants.gov) and GMS.**

BJA may elect to make awards for applications submitted under this solicitation in future fiscal years, dependent on the merit of the applications and on the availability of appropriations.

### Deadline

**For Step 1—Concept Paper Submission: [Grants.gov](http://Grants.gov)**

Applicants must register with [Grants.gov](http://Grants.gov) prior to submitting a Concept Paper. Concept papers are due by 11:59 p.m. eastern time on April 22, 2014. (See "Deadlines: Registration and Application," page 4.)

**For Step 2—Full Application Submission for Selected Applicants Only: GMS**

Applicants must register in [OJP's Grants Management System](#) prior to submitting a full application for this funding opportunity. Select the "Apply Online" button associated with the solicitation title. (See "How To Apply," page 18.) All registrations and applications are due by 8:00 p.m. eastern time 30 days from the date applicants receive e-mail notification to submit full applications. (See "Deadlines: Registration and Application," page 4.)

All applicants are encouraged to read this **[Important Notice: Applying for Grants in Grants.gov](#)**.

## Contact Information

**Step 1—Concept Paper:** For technical assistance with submitting a concept paper, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via e-mail to [support@grants.gov](mailto:support@grants.gov). The [Grants.gov](http://Grants.gov) Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the BJA contact identified below **within 24 hours after the application deadline** and request approval to submit their application.

**Step 2—Full Application:** For technical assistance with submitting a full application (invited applicants only), contact the Grants Management System Support Hotline at 888-549-9901, option 3 or via e-mail at [GMS.HelpDesk@usdoj.gov](mailto:GMS.HelpDesk@usdoj.gov). The GMS support hotline hours of operation are Monday–Friday from 6:00 a.m. to midnight eastern time, except federal holidays.

For assistance with any other requirement of this solicitation, contact the BJA Justice Information Center at 1-877-927-5657, via e-mail at [JIC@telesishq.com](mailto:JIC@telesishq.com), or via live web chat at [www.justiceinformationcenter.us](http://www.justiceinformationcenter.us). The BJA Justice Information Center hours of operation are 8:30 a.m. to 5:00 p.m. eastern time, Monday through Friday, and 8:30 a.m. to 8:00 p.m. eastern time on the solicitation close date.

Grants.gov number assigned to announcement: BJA-2014-3835

Release Date: March 24, 2014

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# Smart Prosecution Initiative (CFDA #16.825)

## Overview

The Smart Prosecution Initiative, administered by BJA, is part of BJA's "Smart Suite" of crime fighting programs—Smart Policing, Smart Supervision, and now Smart Prosecution. BJA established the first program within this Smart Suite over 4 years ago with the launch of the Smart Policing Initiative (SPI). SPI supports law enforcement agencies in building evidence-based, data-driven law enforcement tactics and strategies that are effective, efficient, and economical. Smart Policing represents a strategic approach that brings more "science" into police operations by leveraging innovative applications of analysis, technology, and evidence-based practices. The goal of the SPI is to improve policing performance and effectiveness while containing costs; an important consideration in today's fiscal environment. For more information on SPI, see the program's most recent fact sheet, available at: [www.smartpolicinginitiative.com/sites/all/files/SPI\\_One\\_Pager\\_2013.pdf](http://www.smartpolicinginitiative.com/sites/all/files/SPI_One_Pager_2013.pdf)

BJA's Smart Prosecution Initiative is designed to promote effective data-driven, research-based approaches to prosecution and prosecutor-led justice systems innovations and reforms. The Smart Prosecution model will build off of the lessons learned from BJA's "Smart Suite" of crime-fighting programs described above. Smart Prosecution will seek to pair an operational, results-focused researcher with a prosecutor's office to develop data-driven solutions which create effective, efficient, and just prosecution strategies which will ultimately improve public safety. It will provide other valuable resources to equip a prosecutor's office to access data across various criminal justice and non-criminal justice information systems to improve results for communities. BJA hopes that the lessons learned will develop a rich body of evidence for use by prosecutors nationally as they seek to work with communities to solve chronic problems and fight violent crime.

## Deadlines: Registration and Application (Concept Paper and Full Application)

### For Step 1—Concept Paper Submission: Grants.gov

Applicants must register with [Grants.gov](http://Grants.gov) in order to submit a Concept Paper. OJP encourages applicants to **register several weeks before** the application submission deadline. The deadline to submit concept papers under this announcement is 11:59 p.m. eastern time on April 22, 2014. See "How To Apply: Grants.gov" on page 8 for details.

### For Step 2—Full Application Submission for Selected Applicants Only: GMS

Applicants must register in [GMS](#) prior to submitting a full application for this funding opportunity. The deadline to register in GMS is 8:00 p.m. eastern time 30 days from the date applicants receive e-mail notification to submit full applications, and the deadline to apply for funding under this announcement is 8:00 p.m. eastern time 30 days from the date applicants receive e-mail notification to submit full applications, 2013. See "How To Apply: GMS" on page xx for details.

## Timeline

- **April 22, 2014:** Deadline to submit concept papers in Grants.gov.

- **May 6, 2014:** Concept paper review completed by OJP.
- **By May 13, 2014:** Selected applicants will be notified via e-mail to submit full applications by **June 11, 2014.**

## Eligibility

Refer to the title page for eligibility under this program.

## Smart Prosecution—Specific Information

Prosecutors are key decisionmakers and policymakers in the criminal justice system. They represent the community, strive to control crime, and ensure that justice prevails. The local prosecutor ensures that justice is done in a fair, effective, and efficient manner and is focused on three goals: 1) to promote the fair, impartial, and expeditious pursuit of justice; 2) to ensure safer communities; and 3) to promote integrity in the prosecution profession and effective coordination in the criminal justice system.<sup>1</sup>

As prosecutors begin to use innovative, best practice or evidenced-based approaches to address the goals listed above, there is a need to research and evaluate those efforts. Smart Prosecution seeks to encourage exploration of new solutions to public safety concerns, as well as internal operations and organizational structure, while employing a research partner at the problem definition stage through assessment of strategies and solutions. Some creative solutions developed by prosecutors around the country range from minor changes in how their organizations prioritize cases, using zone/geographic prosecution, to using tools such as gun reduction programs, nuisance abatement, crime prevention through environmental design, drug-free and prostitute-free zones, restorative justice, community courts, truancy abatement, diversion programs, and graffiti cleanup to improve neighborhood safety. Prosecutors are becoming partnership builders and bringing the police, the community, and other criminal justice and local agencies together to find ways they can work together to solve problems in their jurisdictions.

## Amount and Length of Awards

BJA anticipates that it will make approximately 4 awards of up to \$450,000 for a 24-month project period.

All awards are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law.

## Resources

Examples of research on police and crime reduction are available through the Evidence-Based Policing Matrix, available at <http://cebcp.org/evidence-based-policing/the-matrix/>. The Matrix is a research-to-practice translation tool that categorizes and visualizes all experimental and quasi-experimental research on police and crime reduction.

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<sup>1</sup> "Prosecution in the 21<sup>st</sup> Century: Goals, Objectives and Performance Measures," National District Attorneys Association; American Prosecutors Research Institute; February 2004.

Resources, publications, and case studies on Community Prosecution are available at [www.apainc.org/default.aspx/MenuItemID/113/MenuGroup/Programs.htm](http://www.apainc.org/default.aspx/MenuItemID/113/MenuGroup/Programs.htm).

Reports by the National Institute of Justice documenting successful researcher-practitioner collaborations are available at <http://content.govdelivery.com/accounts/USDOJOJP/bulletins/98e619>.

## **Goals, Objectives, and Deliverables**

The goal of Smart Prosecution is to develop a body of knowledge about data-driven strategies—innovative, best practice, or evidenced-based—as they are implemented by prosecutors. BJA is seeking applications from state, local, or tribal prosecutor agencies interested in testing data-driven approaches that address one or more of the three goals listed on page 5. Smart Prosecution applicants will identify a problem to be addressed and enlist a local research partner to help assess the effectiveness of their Smart Prosecution effort. **Smart Prosecution applications require a research partner/organization as part of the application.**

Areas of focus for this application include, but are not limited to, applying best or evidenced-based practices to contemporary crime problems and criminogenic circumstances; developing innovative data-driven approaches to contemporary crime problems and criminogenic circumstances; or inculcating innovative, best, or evidence-based approaches in local offices.

To help achieve these important outcomes, Smart Prosecution grantees will work closely with BJA and BJA's competitively selected training and technical assistance (TTA) partner to assist agencies incorporate innovative or evidence-based prosecution strategies as a fundamental element in ensuring public safety. Through a separate grant announcement, the selected TTA provider will work directly with BJA in hosting grantee meetings, facilitating peer-to-peer exchanges of information, administering targeted subject matter expertise that is relevant to specific Smart Prosecution sites, and producing reports on the lessons learned from the Smart Prosecution community.

Applications for the FY 2014 Smart Prosecution Initiative solicitation will be processed through a **two-step process**:

Step 1—Submission of a Concept Paper

Step 2—Submission of a Full Application (*invited applicants only*)

*Instructions on how to submit both a concept paper and a full application are outlined in the next section. Note: Step 2 will only be applicable to selected applicants who will receive an e-mail inviting them to submit a full application following systematic review of Concept Papers submitted during Step 1 of the selection process.*

## **Step 1—Submission of a Concept Paper: What a Concept Paper Should Include**

BJA's decision to request a concept paper recognizes limitations on available funding and the substantial time and effort necessary for agencies to submit full applications. Applicants should

expect that failure to submit a concept paper that contains all of the specified requirements outlined below will negatively affect the review of the concept paper.

This is expected to be a highly competitive solicitation, and it is possible that a limited number of concept papers will be invited to proceed to the full application stage or be selected for funding due to limitations in available grant funding.

### **Concept Paper Requirements**

1. **Page limit:** The concept paper narrative should not exceed 5 pages.
2. **Narrative:** Applicants should include the following items in the concept paper:
  - a. Agency information: contact name and all key personnel, including associated position title assigned to the project, if known.
  - b. A preliminary description of the problem that will be addressed, using data to describe the issue and justify why it requires increased attention.
  - c. Steps the agency will take to better understand and define the nature of the problem.
  - d. A description of the evidenced-based or innovative strategy or solution the agency is proposing to test to address the problem.
  - e. A description of the available data, records system, and analytical capability of the agency to support the project.
  - f. A brief biographical statement about the proposed research partner's qualifications in conducting field research and their roles and responsibilities in informing the Smart Prosecution project.
3. **Budget:** Applicants must provide cost estimates for major budget categories (i.e., salaries, contracts, etc., to include anticipated budget for research partner).

### **Concept Paper Review and Selection Process**

Concept papers will be reviewed by OJP staff with subject matter expertise. OJP staff will pay particular attention to the qualifications, experience, and involvement of the research partner; the proposed strategy's transferability and relevance to other prosecution agencies; and the analytical capacity of the applicants.

*Concept papers will be rated on the following criteria:*

1. Is the applicant a prosecutor agency? (Government agencies acting as fiscal agents also meet this definition.)
2. Is the problem addressed likely to be confronted by other prosecutor agencies in the United States?
3. Does the applicant sufficiently document data collection, management, and analytical expertise (e.g., record management system, established analysis function, executive support)?
4. Does the applicant express willingness to test innovative or evidenced-based practices, technologies, or strategies?
5. Does the proposed research partner have sufficient experience in conducting field research?



6. Is the role of the researcher sufficiently defined and integrated into the agency's Smart Prosecution strategy?

All decisions relating to the application process, and specifically regarding invitations to submit full applications (step 2); will be made by, and within the sole discretion of, BJA. All applicants will be notified of the outcome of the Concept Paper review process.

### How To Apply: Grants.gov (Concept Papers ONLY)

Applicants must submit concept papers through Grants.gov. Applicants must register in Grants.gov in order to submit a concept paper through Grants.gov, a "one-stop storefront" to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at [www.Grants.gov](http://www.Grants.gov). Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

BJA strongly encourages all prospective applicants to sign up for Grants.gov email notifications regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be notified.

**Note on File Names and File Types: Grants.gov only permits the use of certain specific characters in names of attachment files. Valid file names may include only the characters shown in the table below. Grants.gov is designed to reject any application that includes an attachment(s) with a file name that contains any characters not shown in the table below. Grants.gov is designed to forward successfully submitted applications to OJP's Grants Management System (GMS).**

Characters	Special Characters		
Upper case (A - Z)	Parenthesis ( )	Curly braces { }	Square brackets [ ]
Lower case (a - z)	Ampersand (&)	Tilde (~)	Exclamation point (!)
Underscore ( _ )	Comma ( , )	Semicolon ( ; )	Apostrophe ( ' )
Hyphen ( - )	At sign (@)	Number sign (#)	Dollar sign (\$)
Space	Percent sign (%)	Plus sign (+)	Equal sign (=)
Period (.)	<b>When using the ampersand (&amp;) in XML, applicants must use the "&amp;amp;" format.</b>		

**GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: ".com," ".bat," ".exe," ".vbs," ".cfg," ".dat," ".db," ".dbf," ".dll," ".ini," ".log," ".ora," ".sys," and ".zip." GMS may reject applications with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

In addition, BJA recognizes that Grants.gov includes a "Program Narrative" descriptor, but not a "Concept Paper" descriptor. As outlined in this solicitation, only concept papers will be reviewed

during the first step of the application process. Applicants may submit "Concept Papers" as "Program Narratives" in Grants.gov.

All applicants are required to complete the following steps:

1. **Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.
2. **Acquire registration with the System for Award Management (SAM).** SAM is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP requires all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Applicants must be registered in SAM to successfully register in Grants.gov. Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applications cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. The information transfer from SAM to Grants.gov can take up to 48 hours. OJP recommends that the applicant register or renew registration with SAM as early as possible.

Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process, go to [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. Note that an organization can have more than one AOR.
5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance number for this solicitation is 16.825, titled "Smart Prosecution Initiative," and the funding opportunity number is BJA-2014-3835.
6. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. Applicants that expend any funds for lobbying activities must provide the detailed information requested on the form *Disclosure of Lobbying Activities* (SF-LLL). Applicants that do not expend any funds for lobbying activities should enter "N/A" in the required highlighted fields.

7. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The message will state whether the application has been received and validated, or rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

Click [here](#) for further details on DUNS, SAM, and Grants.gov registration steps and timeframes.

**Note: Duplicate Applications**

If an applicant submits multiple versions of an application, BJA will review only the most recent valid version submitted.

**Experiencing Unforeseen Grants.gov Technical Issues**

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the BJA contact identified in the Contact Information section on page 2 **within 24 hours after the application deadline** and request approval to submit their application. The e-mail must describe the technical difficulties, and include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s). **Note: BJA does not automatically approve requests.** After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desks to validate the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the applicant failed to follow all required procedures, which resulted in an untimely application submission, OJP will deny the applicant's request to submit their application.

The following conditions are generally insufficient to justify late submissions:

- failure to register in SAM or Grants.gov in sufficient time
- failure to follow Grants.gov instructions on how to register and apply as posted on its web site
- failure to follow each instruction in the OJP solicitation
- technical issues with the applicant's computer or information technology environment, including firewalls.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding web page at [www.ojp.usdoj.gov/funding/solicitations.htm](http://www.ojp.usdoj.gov/funding/solicitations.htm).

**Step 2—Submission of a Full Application (selected applicants only):  
What a Full Application Should Include**

Following the systematic review of the Concept Papers as outlined in Step 1, BJA will formally invite selected applicants, via e-mail, to submit a full application in response to this solicitation. Invitations to submit a full application will be sent to the official points of contact listed on the

applicant's SF-424 form. Applications will be processed and reviewed following the standard OJP competitive review process.

Applicants should anticipate that if they fail to submit an application that contains all of the specified elements, it may negatively affect the review of their application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude the recipient from accessing or using award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that applications that are determined to be nonresponsive to the scope of the solicitation, or that do not include the application elements that BJA has designated to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, BJA has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, and Budget Narrative. Applicants may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget document, it must contain **both** narrative and detail information.

OJP strongly recommends that applicants use appropriately descriptive file names (e.g., "Program Narrative," "Budget Detail Worksheet and Budget Narrative," "Timelines," "Memoranda of Understanding," "Resumes") for all attachments. Also, OJP recommends that applicants include resumes in a single file.

#### **1. Information to Complete the Application for Federal Assistance (SF-424)**

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and OJP's Grants Management System (GMS) take information from the applicant's profile to populate the fields on this form. When selecting "type of applicant," if the applicant is a for-profit entity, select "For-Profit Organization" or "Small Business" (as applicable).

#### **2. Project Abstract**

Applicants should provide an abstract identifying the applicant's name, title of the project, dollar amount requested. The abstract should include goals of the project, a description of the strategies to be used, a numerical listing of key/major deliverables, and coordination plans.

Applications should include a high-quality project abstract that summarizes the proposed project in 400 words or less. Project abstracts should be—

- written for a general public audience.
- submitted as a separate attachment with "Project Abstract" as part of its file name.
- single-spaced, using a standard 12-point font (Times New Roman) with 1-inch margins.

As a separate attachment, the project abstract will **not** count against the page limit for the program narrative.

All project abstracts should follow the detailed template available at [www.ojp.usdoj.gov/funding/Project Abstract Template.pdf](http://www.ojp.usdoj.gov/funding/Project%20Abstract%20Template.pdf).

**Permission to Share Project Abstract with the Public:** It is unlikely that BJA will be able to fund all promising applications submitted under this solicitation, but it may have the opportunity to share information with the public regarding promising but unfunded applications, for example, through a listing on a webpage available to the public. The intent of this public posting would be to allow other possible funders to become aware of such proposals.

In the project abstract template, applicants are asked to indicate whether they give OJP permission to share their project abstract (including contact information) with the public. Granting (or failing to grant) this permission will not affect OJP's funding decisions, and, if the application is not funded, granting permission will not guarantee that abstract information will be shared, nor will it guarantee funding from any other source.

**Note:** OJP may choose not to list a project that otherwise would have been included in a listing of promising but unfunded applications, should the abstract fail to meet the format and content requirements noted above and outlined in the project abstract template.

### 3. Program Narrative

The program narrative must respond to the Selection Criteria 1-5 in the order given. Applications are peer reviewed and scored on answers to the Selection Criteria. The program narrative should be double-spaced, using standard 12-point font (Times New Roman is preferred) with 1-inch margins, and should not exceed 15 pages. Number pages "1 of 15", "2 of 15" etc. If the program narrative fails to comply with these length-related restrictions, BJA may consider such noncompliance in peer review and in final award decisions.

The following sections should be included as part of the program narrative.

- a. Statement of the Problem
- b. Project Design and Implementation
- c. Capabilities and Competencies
- d. Plan for Collecting the Data Required for this Solicitation's Performance Measures  
BJA does not require applicants to submit performance measures data with their application. Performance measures are included as an alert that BJA will require successful applicants to submit specific data as part of their reporting requirements. For the application, applicants should indicate an understanding of these requirements and discuss how they will gather the required data, should they receive funding.
- e. Sustainment

### 4. Budget Detail Worksheet and Budget Narrative

#### a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/forms/budget\\_detail.pdf](http://www.ojp.gov/funding/forms/budget_detail.pdf). Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet.

For questions pertaining to budget and examples of allowable and unallowable costs, see the OJP Financial Guide at [www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm).

**b. Budget Narrative**

The budget narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

Applicants should demonstrate in their budget narratives how they will maximize cost effectiveness of grant expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how the applicant estimated and calculated all costs, and how they are relevant to the completion of the proposed project. The narrative may include tables for clarification purposes but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

**c. Non-Competitive Procurement Contracts In Excess of Simplified Acquisition Threshold**

If an applicant proposes to make one or more non-competitive procurements of products or services, where the non-competitive procurement will exceed the simplified acquisition threshold (also known as the small purchase threshold), which is currently set at \$150,000 the application should address the considerations outlined in the OJP Financial Guide.

**5. Indirect Cost Rate Agreement (if applicable)**

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. For assistance with identifying your cognizant agency, please contact the Customer Service Center at 1-800-458-0786 or at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov). If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at [www.ojp.usdoj.gov/funding/pdfs/indirect\\_costs.pdf](http://www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf).

**6. Tribal Authorizing Resolution (if applicable)**

Tribes, tribal organizations, or third parties proposing to provide direct services or assistance to residents on tribal lands should include in their applications a resolution, a letter, affidavit, or other documentation, as appropriate, that certifies that the applicant has the legal authority from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for a grant on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or assistance

under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

**7. Additional Attachments**

**a. Timeline**

Include a comprehensive timeline that identifies milestones, numerically listed deliverables, and who is responsible for each activity (provide title and agency).

**b. Applicant Disclosure of Pending Applications**

Applicants are to disclose whether they have pending applications for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to State agencies that will subaward federal funds).

OJP seeks this information to help avoid any inappropriate duplication of funding. Leveraging multiple funding sources in a complementary manner to implement comprehensive programs or projects is encouraged and is not seen as inappropriate duplication.

Applicants that have pending applications as described above are to provide the following information about pending applications submitted within the last 12 months:

- the federal or state funding agency
- the solicitation name/project name
- the point of contact information at the applicable funding agency.

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/E-mail for Point of Contact at Funding Agency
DOJ/COPS	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
HHS/ Substance Abuse & Mental Health Services Administration	Drug Free Communities Mentoring Program/ North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov

Applicants should include the table as a separate attachment, with the file name "Disclosure of Pending Applications," to their application. Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page (e.g., "[Applicant Name on SF-424] does not have pending applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.").

**c. Research and Evaluation Independence and Integrity**

If a proposal involves research and/or evaluation, regardless of the proposal's other

merits, in order to receive funds, the applicant must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation objectivity and integrity.

For purposes of this solicitation, research and evaluation independence and integrity pertains to ensuring that the design, conduct, or reporting of research and evaluation funded by BJA grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of the investigators responsible for the research and evaluation or on the part of the applicant organization. Conflicts can be either actual or apparent. Examples of potential investigator (or other personal) conflict situations may include those in which an investigator would be in a position to evaluate a spouse's work product (actual conflict), or an investigator would be in a position to evaluate the work of a former colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization could not be given a grant to evaluate a project if that organization had itself provided substantial prior technical assistance to that project, as the organization in such an instance would appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability is a problem.

In the attachment dealing with research and evaluation independence and integrity, the applicant should explain the process and procedures that the applicant has put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients. It should also identify any potential organizational conflicts of interest on the part of the applicant with regard to the proposed research/evaluation. If the applicant reasonably believes that no potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

For situations in which potential personal or organizational conflicts of interest exist, in the attachment, the applicant should identify the safeguards the applicant has or will put in place to eliminate, mitigate, or otherwise address those conflicts of interest.

Considerations in assessing research and evaluation independence and integrity will include, but may not be limited to, the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the organization in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

#### **8. Accounting System and Financial Capability Questionnaire**

Any applicant (other than an individual) that is a non-governmental entity and that has not received any award from OJP within the past 3 years must download, complete, and submit this form.



## Full Application Selection Criteria

The following six selection criteria will be used by peer reviewers to evaluate each application, with the different weight given to each based on the percentage value listed after each individual criteria. For example, the first criteria, "Statement of the Problem," is worth 15 percent of the entire score in the application review process.

### 1. Statement of the Problem (15 percent of 100)

- a) Identify the specific problem the applicant seeks to address, using data to support the problem definition. Describe the process used to define the problem.

### 2. Project Design and Implementation (25 percent of 100)

- a) Describe the development of the strategy to address the problem based on thoughtful, thorough analysis.
- b) Describe specifically how the project will accomplish expected outcomes by providing the objectives and the performance measures applicable to the project. Include a comprehensive timeline that identifies milestones, numerically lists deliverables, and identifies who is responsible for each activity (as an attachment).
- c) Describe the qualifications of the Smart Prosecution research partner and the prior experience of the researcher with "action research," including prior work with criminal justice partners.
- d) Describe the roles and responsibilities of the research partner in the Smart Prosecution Initiative and how the role of the research partner is integrated into the strategy. At a minimum, the research partner should: assist in problem description and definition; participate in solution development; provide ongoing analysis, monitoring, and assessment of the solution(s) impact; and prepare a final report that thoroughly assesses the results of the project.
- e) Describe and provide evidence of the types and quality of data sources available to the agency to conduct appropriate analysis. For example:
  - Does the agency have access to multiple sources of data (both internal and external to the agency) specific to the identified problem?
  - Does the agency have the ability to integrate data from different sources?

### 3. Capabilities and Competencies (25 percent of 100)

Discuss organizational capabilities and competencies that will directly enable the applicant to successfully implement the proposed project. Identify personnel who are critical to the project's successful implementation and discuss their roles, responsibilities, and qualifications.

The involvement of a research partner is indispensable to this project. Research partners should be able to conduct scientific research and be well versed in evaluation methods. Describe the following for the research partner.

- Describe previous experience working with criminal justice agencies or organizations.
- Describe policy, program, or organization evaluation experience. Justice system experience is required.
- Describe criminal justice research experience, including oral and written presentations of research results and data collection methodologies used.

**4. Plan for Collecting the Data Required for this Solicitation's Performance Measures (20 percent of 100)**

Describe the process for measuring project performance. Identify who will collect and report the data, how the data will be stored, and how it will be used to guide and evaluate the impact of the program. Describe how the program's performance data will be shared with customers and stakeholders.

**5. Sustainment (5 percent of 100)**

Outline a strategy for sustaining the Smart Prosecution strategy when the federal grant ends.

**6. Budget (10 percent of 100)**

Provide a proposed budget and budget narrative for the entire project that are complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to the goals and objectives of the project.<sup>2</sup>

Applicants should budget travel/lodging expenses for four-person teams of agency and research partner representatives to attend two 2-day meetings during the 24-month project period. The meetings may be held in the Washington, D.C. area or other like regions of the country.

**Full Application Review Process**

OJP is committed to ensuring a fair and open process for awarding grants. BJA reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation.

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. BJA may use either internal peer reviewers, external peer reviewers, or a combination, to review the applications under this solicitation. An external peer reviewer is an expert in the subject matter of a given solicitation who is NOT a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. Applications that meet basic minimum requirements will be evaluated, scored, and rated by a peer review panel. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

<sup>2</sup> Generally speaking, a reasonable cost is a cost that if, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

The Office of the Chief Financial Officer (OCFO), in consultation with BJA, reviews applications for potential discretionary awards to evaluate the fiscal integrity and financial capability of applicants, examines proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and determines whether costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Assistant Attorney General, who may consider factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

### **How To Apply: GMS (Invited Applicants ONLY)**

Full applications will be submitted through GMS.

Applicants must submit applications through the Grants Management System (**GMS**), which provides cradle to grave support for the application, award, and management of awards at OJP. Applicants **must register in GMS for each specific funding opportunity**. Although the registration and submission deadlines are the same, OJP urges applicants to **register immediately**, especially if this is their first time using the system. Complete instructions on how to register and submit an application in GMS can be found at [www.ojp.usdoj.gov/gmscbt/](http://www.ojp.usdoj.gov/gmscbt/). Applicants that experience technical difficulties during this process should e-mail [GMS.HelpDesk@usdoj.gov](mailto:GMS.HelpDesk@usdoj.gov) or call 888-549-9901 (option 3), Monday – Friday from 6:00 a.m. to midnight eastern time, except federal holidays. OJP recommends that applicants **register immediately** to prevent delays in submitting an application package by the deadline.

**Note: GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: ".com," ".bat," ".exe," ".vbs," ".cfg," ".dat," ".db," ".dbf," ".dll," ".ini," ".log," ".ora," ".sys," and ".zip."

All applicants should complete the following steps:

1. **Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their application for a new award or a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.
2. **Acquire registration with the System for Award Management (SAM).** SAM replaces the **Central Contractor Registration (CCR) database** as the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the SAM database. Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applicants that were previously registered in the CCR database must, at a minimum:

- Create a SAM account;
- Log in to SAM and migrate permissions to the SAM account (all the entity registrations and records have already been migrated).

Applicants that were not previously registered in the CCR database must register in SAM prior to registering in Grants.gov. Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

3. **Acquire a GMS username and password.** New users must create a GMS profile by selecting the "First Time User" link under the sign-in box of the [GMS](#) home page. For more information on how to register in GMS, go to [www.ojp.usdoj.gov/gmscbt/](http://www.ojp.usdoj.gov/gmscbt/).
4. **Verify the SAM registration in GMS, formerly CCR registration.** OJP requests that all applicants verify their SAM registration in GMS. Once logged into GMS, click the "CCR Claim" link on the left side of the default screen. Click the submit button to verify the SAM (formerly CCR) registration.
5. **Search for the funding opportunity on GMS.** After logging into GMS or completing the GMS profile for username and password, go to the "Funding Opportunities" link on the left side of the page. Select "Bureau of Justice Assistance" and the "Smart Policing Initiative—Full Proposal."
6. **Register by selecting the "Apply Online" button associated with the solicitation title.** The search results from step 5 will display the solicitation title along with the registration and application deadlines for this funding opportunity. Select the "Apply Online" button in the "Action" column to register for this solicitation and create an application in the system.
7. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information and submit the form in GMS. Applicants that expend any funds for lobbying activities must provide the detailed information requested on the form, *Disclosure of Lobbying Activities*, (SF-LLL). Applicants that do not expend any funds for lobbying activities should enter "N/A" in the required highlighted fields. Access the form at [www.ojp.gov/funding/forms/disclosure.pdf](http://www.ojp.gov/funding/forms/disclosure.pdf).
8. **Follow the directions in GMS to submit an application consistent with this solicitation.** Once submitted, GMS will display a confirmation screen stating the submission was successful. **Important:** In some instances, applicants must wait for GMS approval before they can submit an application. OJP urges applicants to submit the application at **least 72 hours prior** to the due date of the application.

#### **Note: Duplicate Applications**

If an applicant submits multiple versions of an application, BJA will review the most recent version submitted.

#### **Experiencing Unforeseen GMS Technical Issues**

Applicants that experience unforeseen GMS technical issues beyond their control that prevent them from submitting their application by the deadline, must e-mail BJA Justice Information Center (see page 2 for contact information) **within 24 hours after the application deadline** and request approval to submit their application. The e-mail must describe the technical difficulties and include a timeline of the applicant's submission efforts, the complete grant

application, the applicant's DUNS number, and any GMS Help Desk or SAM tracking number(s). **Note: BJA does not automatically approve requests.** After the program office reviews the submission, and contacts the GMS Help Desk to validate the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If the technical issues reported cannot be validated, the application will be rejected as untimely.

The following conditions are not valid reasons to permit late submissions: (1) failure to register in sufficient time, (2) failure to follow GMS instructions on how to register and apply as posted on its web site, (3) failure to follow each instruction in the OJP solicitation, and (4) technical issues with the applicant's computer or information technology environment, including firewalls.

**Notifications regarding known technical problems with GMS, if any, are posted at the top of the OJP funding web page at [www.ojp.usdoj.gov/funding/solicitations.htm](http://www.ojp.usdoj.gov/funding/solicitations.htm).**

## **Other Important Information**

### **Evidence-Based Programs or Practices**

OJP places a strong emphasis on the use of data and evidence in policy making and programming in criminal justice. OJP is committed to:

- Improving the quantity and quality of evidence OJP generates;
- Integrating evidence into program, practice, and policy decisions within OJP and the field; and
- Improving the translation of evidence into practice.

OJP considers programs and practices to be evidence-based when their effectiveness has been demonstrated by causal evidence, generally obtained through one or more outcome evaluations. Causal evidence documents a relationship between an activity or intervention (including technology) and its intended outcome, including measuring the direction and size of a change, and the extent to which a change may be attributed to the activity or intervention. Causal evidence depends on the use of scientific methods to rule out, to the extent possible, alternative explanations for the documented change. The strength of causal evidence, based on the factors described above, will influence the degree to which OJP considers a program or practice to be evidence-based. OJP's [CrimeSolutions.gov](http://CrimeSolutions.gov) web site is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

### **Budget Information**

#### **Limitation on Use of Award Funds for Employee Compensation; Waiver**

With respect to any award of more than \$250,000 made under this solicitation, recipients may not use federal funds to pay total cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the federal government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. The 2014 salary table for SES employees is available at [www.opm.gov/salary-tables](http://www.opm.gov/salary-tables). Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds)

where match requirements apply.)

The Assistant Attorney General (AAG) for OJP may exercise discretion to waive, on an individual basis, the limitation on compensation rates allowable under an award. An applicant requesting a waiver should include a detailed justification in the budget narrative of the application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit its budget.

The justification should include: the particular qualifications and expertise of the individual, the uniqueness of the service the individual will provide, the individual's specific knowledge of the program or project being undertaken with award funds, and a statement explaining that the individual's salary is commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work that is to be done.

#### **Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs**

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully – before submitting an application – the OJP policy and guidance on “conference” approval, planning, and reporting available at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm). OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most such costs for cooperative agreement recipients and of some such costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

#### **Costs Associated with Language Assistance (if applicable)**

If an applicant proposes a program or activity that would deliver services or benefits to individuals, the costs of taking reasonable steps to provide meaningful access to those services or benefits for individuals with limited English proficiency may be allowable. Reasonable steps to provide meaningful access to services or benefits may include interpretation or translation services where appropriate.

For additional information, see the "Civil Rights Compliance" section of the OJP "Other Requirements for OJP Applications" web page at [www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

#### **Match Requirement**

This solicitation does not require a match. However, if a successful application proposes a voluntary match amount, and OJP approves the budget, the total match amount incorporated into the OJP-approved budget becomes mandatory and subject to audit.

#### **Performance Measures: Full Applications ONLY**

To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, applicants that receive funding under this solicitation. OJP will require any award recipient, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
<p>Identify and address a new solution to a specific public safety concern, internal operation or organizational structure, using an analysis-driven/innovative approach.</p>	<p>Percent of program goals and objectives completed that are directly linked to grant funding and address a specific problem</p> <p>Number of new solutions employed</p> <p>Percent increase in frequency of data collection</p> <p>Percent increase in scheduled data collection series and special analysis to be conducted</p> <p>Number of research projects initiated</p> <p>Percent increase in number of research or evidence-based tools, or solutions deployed</p>	<p>Number of program tasks that were completed during the reporting period that are directly linked to grant funding (Task: a grant activity defined in application project plan)</p> <p>Number of total program tasks (complete or incomplete) that are directly linked to grant funding</p> <p>Number of new solutions employed during the current reporting period</p> <p>Number of times data were collected during the six months prior to grant funding</p> <p>Number of times data are collected for the current reporting period</p> <p>Number of statistical data analyses conducted (e.g. cluster, link, time-series, etc.) to inform decision-making, devise solutions, and measure results during the 6 months prior to grant funding</p> <p>Number of statistical data analyses conducted (e.g. cluster, link, time-series, etc.) to inform decision-making, devise solutions, and measure results for the current reporting period</p> <p>Number of new research-based initiatives since grant reporting period began</p> <p>Number of research or evidence-based tools or solutions deployed in six months prior to grant funding.</p> <p>Number of research or evidence-based tools, or solutions deployed during current reporting period</p>
<p>Support and sustain evidence-based prosecution and public safety strategies.</p>	<p>Percent increase in cost savings as a result of new initiative implemented</p>	<p>Total amount of non-grant dollars expended by the agency to implement new initiative during the six months prior to grant funding</p> <p>Total amount of non-grant dollars expended by the agency to implement new initiative during the</p>

	<p>Number of new or revised policies created that outline the use or demonstrate the value of research as part of agency strategic decision making</p> <p>Percent increase in staff able to perform a specific skill</p> <p>Number of partnerships established with other criminal justice organizations or agencies</p> <p>Number of public/community briefings or trainings promoting evidence-based practices</p>	<p>current reporting period</p> <p>Number of new or revised policies created that outline the use or demonstrate the value of research as part of agency strategic decision making</p> <p>Number of staff hired during this reporting period to perform analysis or coordinate research-based efforts</p> <p>Number of current staff trained to perform analysis or coordinate research-based efforts</p> <p>Number of formal agreements signed with new research partnerships during the reporting period (e.g. MOUs, LOAs, other formal agreements)</p> <p>Number of new partnerships formed with other criminal justice organizations or agencies during the reporting period</p> <p>Number of briefings or outreach to the public/community about evidence based practices</p> <p>Type of briefings or outreach to the public/community about evidence based practices</p>
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OJP does not require applicants to submit performance measures data with their applications. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Refer to the section "What an Application Should Include" on page 10 for additional information.

**Note on Project Evaluations**

Applicants that propose to use funds awarded through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may constitute "research" for purposes of applicable DOJ human subjects' protection regulations. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP's performance measure data reporting requirements likely do not constitute "research." Applicants should provide sufficient information for OJP to determine whether the particular project they propose would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ regulatory definition of research.

Research, for the purposes of human subjects protections for OJP-funded programs, is defined as, "a systematic investigation, including research development, testing, and evaluation,



designed to develop or contribute to generalizable knowledge” 28 C.F.R. § 46.102(d). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the “Research and the Protection of Human Subjects” section of the OJP “Other Requirements for OJP Applications” web page ([www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm)). Applicants whose proposals may involve a research or statistical component also should review the “Confidentiality” section on that web page.

## **Additional Requirements**

Applicants selected for awards must agree to comply with additional legal requirements upon acceptance of an award. OJP encourages applicants to review the information pertaining to these additional requirements prior to submitting an application. Additional information for each requirement can be found at [www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

- Civil Rights Compliance
- Civil Rights Compliance Specific to State Administering Agencies
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- Reporting of Potential Fraud, Waste, and Abuse, and Similar Misconduct
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with Office of Justice Programs Financial Guide
- Suspension or Termination of Funding
- Non-profit Organizations
- For-profit Organizations

- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active SAM Registration
- Policy and Guidance for Conference Approval, Planning, and Reporting
- OJP Training Guiding Principles for Grantees and Subgrantees

### **Provide Feedback to OJP**

To assist OJP in improving its application and award processes, we encourage applicants to provide feedback on this solicitation, the application submission process, and/or the application review/peer review process. Provide feedback to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

**IMPORTANT:** This e-mail is for feedback and suggestions only. Replies are **not** sent from this mailbox. If you have specific questions on any program or technical aspect of the solicitation, **you must** directly contact the appropriate number or e-mail listed on the front of this solicitation document. These contacts are provided to help ensure that you can directly reach an individual who can address your specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please e-mail your resume to [ojppeerreview@lmbps.com](mailto:ojppeerreview@lmbps.com). The OJP Solicitation Feedback email account will not forward your resume. **Note:** Neither you nor anyone else from your organization can be a peer reviewer in a competition in which you or your organization have submitted an application.

## Application Checklist: Full Application

### FY 2014 Smart Prosecution Initiative

This application checklist has been created to assist in developing an application.

#### What an Applicant Should Do:

##### *Prior to Registering in GMS:*

- \_\_\_\_\_ Acquire a DUNs Number (see page 18)
- \_\_\_\_\_ Acquire or renew registration with SAM (see page 18)

##### *To Register with GMS:*

- \_\_\_\_\_ For new users, acquire a GMS username and password\* (see page 19)
- \_\_\_\_\_ For existing users, check GMS username and password\* to ensure account access (see page 19)
- \_\_\_\_\_ Verify SAM registration in GMS (see page 19)
- \_\_\_\_\_ Search for correct funding opportunity in GMS (see page 19)
- \_\_\_\_\_ Register by selecting the "Apply Online" button associated with the funding opportunity title (see page 19)

\*Password Reset Notice – GMS users are reminded that while password reset capabilities exist, this function is only associated with points of contacts designated within GMS at the time the account was established. Neither OJP or the GMS Help Desk will initiate a password reset unless requested by the authorized official or a designated point of contact associated with an award or application.

#### General Requirements:

- \_\_\_\_\_ Review "Other Requirements" web page

#### Scope Requirement:

- \_\_\_\_\_ The federal amount requested is within the allowable limit(s) of \$450,000.

**Eligibility Requirement:** Eligible applicants are limited to state, local, and tribal prosecutor agencies or a government agency acting as fiscal agent for the applicant.

#### What an Application Should Include:

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 11)
- \_\_\_\_\_ Project Abstract (see page 11)
- \_\_\_\_\_ \*Program Narrative (see page 12)
- \_\_\_\_\_ \*Budget Detail Worksheet (see page 12)
- \_\_\_\_\_ \*Budget Narrative (see page 13)
- \_\_\_\_\_ Employee Compensation Waiver request and justification (if applicable) (see page 20)
- \_\_\_\_\_ Read OJP policy and guidance on "conference" approval, planning, and reporting available at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm) (see page 21)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 19)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 13)

- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 13)
- \_\_\_\_\_ Additional Attachments (see page 14)
  - \_\_\_\_\_ Project Timeline
  - \_\_\_\_\_ Position Descriptions/Resumes
  - \_\_\_\_\_ Applicant Disclosure of Pending Applications
  - \_\_\_\_\_ Research and Evaluation Independence and Integrity
- \_\_\_\_\_ Accounting System and Financial Capability Questionnaire (if applicable) (see page 15)

\*These elements are the basic minimum requirements for applications. Applications that do not include these elements shall neither proceed to peer review nor receive funding from BJA.

PERSONAL SERVICES CONTRACT SUMMARY ("PSC FORM 1")

Department: PUBLIC HEALTH – DPH Dept. Code: DPH

Type of Request: [X] Initial [ ] Modification of an existing PSC (PSC # \_\_\_\_\_)

Type of Approval: [ ] Expedited [X] Regular [ ] Omit Posting

Type of Service: As Needed project and program management services

Funding Source: Genl Fund, State, Federal, Bonds PSC Duration: 4 years 34 weeks
PSC Amount: \$8,000,000 PSC Est. Start Date: 11/01/2014 PSC Est. End Date: 06/30/2019

1. Description of Work

A. Scope of Work:

Healthcare reform and the San Francisco General Rebuild project have led to the need for specialized limited term projects for the Department of Public Health. The contractor(s) will provide as-needed project management, Clinical Nurse Informaticsts (CNI's), technical services program support, and staffing services for specialized limited term projects and Department programs that will focus on a variety of new and existing information technology projects, system of care integration projects, facilities reprogramming, the San Francisco General rebuild project, bond and capital planning initiatives, and program and project support for innovative new and existing projects in the areas of delivery of services, telemedicine, patient experience and process improvement. Clinical Nurse Informaticsts and other specialists are needed to assist nursing with designing and integrating daily work activity with new technology in a safe and controlled environment. This is especially critical for technology in the rebuild. As needed CNIs are needed to fill the rebuild technology work design and to assist SFGH in building an internal CNI program to manage ongoing needs.

B. Explain why this service is necessary and the consequence of denial:

The services are necessary in order to fully implement and carry out mandated reforms in order for the Department to meet various obligations of funders, regulatory agencies, complete the SFGH rebuild, and to deliver effective services to consumers. Denial will result in delays in the roll out of new initiatives, the opening of the new San Francisco General Hospital, and may impact the delivery of services, and the ability to access reimbursements from Federal and State funding sources.

C. Has this service been provided in the past. If so, how? If the service was provided via a PSC, provide the most recently approved PSC # and upload a copy of the PSC. This is a new service.

D. Will the contract(s) be renewed? Only if there is an ongoing need.

2. Union Notification: On none, the Department notified the following employee organizations of this PSC/RFP request: no unions notified

\*\*\*\*\*

FOR DEPARTMENT OF HUMAN RESOURCES USE

PSC# 46624 - 14/15

DHR Analysis/Recommendation:

Civil Service Commission Action:

Commission Approval Required

DHR Approved for 12/01/2014

**3. Description of Required Skills/Expertise**

A. Specify required skills and/or expertise:  
 Access to individuals with project and program management experience in the areas of information technology projects such as networking, data security, electronic medical records; project and program management experience in the areas of facilities projects, and or information technology integration within in complex facilities projects; \* See attachment 1 for full answer \*

B. Which, if any, civil service class(es) normally perform(s) this work?  
 1053,1054,1043,1044,1070,1091,1092,1093,1094,1095,5502,5504,5506,5508,1823,1824,2119,2320,

C. Will contractor provide facilities and/or equipment not currently possessed by the City? If yes, explain:  
 No.

**4. Why Classified Civil Service Cannot Perform**

A. Explain why civil service classes are not applicable:

Civil service classes are not applicable because the work will be for limited term projects and are needed primarily to implement the program or project.

B. Would it be practical to adopt a new civil service class to perform this work? Explain.

It is not practical to adopt a new Civil Service class because the services are intermittent, project based, and as-needed. In IT alone, for FY 14-15 the Department has 25 positions going through the HR hiring process and hiring of staff should be completed by January 2015. \* See attachment 1 for full answer \*

**5. Additional Information (if "yes", attach explanation)**

	<u>YES</u>	<u>NO</u>
A. Will the contractor directly supervise City and County employee?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
B. Will the contractor train City and County employee?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
C. Are there legal mandates requiring the use of contractual services?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
D. Are there federal or state grant requirements regarding the use of contractual services?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
E. Has a board or commission determined that contracting is the most effective way to provide this service?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
F. Will the proposed work be completed by a contractor that has a current PSC contract with your department?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD

ON \_\_\_\_\_ BY:

Name: Jacquie Hale Phone: (415) 554-2609 Email: jacquie.hale@sfdph.org

Address: 101 Grove St., Rm. 307 San Francisco, CA 94102

# **Receipt of Union Notification(s)**

## Receipt of Notice for new PCS over \$100K PSC # 46624 - 14/15

dhr-psccordinator@sfgov.org on behalf of jacquie.hale@sfdph.org

Fri 9/19/2014 1:19 PM

Inbox

To: Hale, Jacquie (DPH) <jacquie.hale@sfdph.org>; Leah Berlanga <leah.berlanga@seiu1021.org>;  
David Mkersten <davidmkersten@gmail.com>; Tiya Thlang <tiya.thlang@seiu1021.org>;  
Ablood <ablood@cirseiu.org>; Xiumin Li <xiumin.li@seiu1021.org>; Poon, SinYee (HSA)  
<sin.yee.poon@sfgov.org>; David Canham <david.canham@seiu1021.org>; Joe Tanner <joe.tanner@seiu1021.net>;  
Larry Bradshaw <Larry.Bradshaw@seiu1021.org>; Camaguey <camaguey@sfmea.com>;  
Staff <staff@sfmea.com>; L21PSCReview <L21PSCReview@ifpte21.org>; Longhitano, Robert (DPH) <robert.longhitano@sfdph.org>; Isen, Richard (TIS)  
<richard.isen@sfgov.org>; DHR-PSCCoordinator, DHR (HRD) <dhr-psccordinator@sfgov.org>;

RECEIPT for Union Notification for PSC 46624 - 14/15 more than \$100k

The PUBLIC HEALTH -- DPH has submitted a request for a Personal Services Contract (PSC) 46624 - 14/15 for \$9,000,000 for Initial Request services for the period 11/01/2014 - 06/30/2019. Notification of 30 days (60 days for SEIU) is required.

After logging into the system please select link below, view the information and verify receipt:

<http://apps.sfgov.org/dhrdrupal/node/3678> For union notification, please see the

TO: field of the email to verify receipt. If you do not see all the unions you

intended to contact, the PSC Coordinator must change the state back to NOT READY, make sure the classes and unions you want to notify are selected and SAVE. Then VIEW the record and verify the list of unions and emails. EDIT the document again, change the state back START UNION NOTIFICATION and SAVE. You should receive the email with all unions to the TO: field as intended



# **Additional Attachment(s)**

**Attachment 1**  
**Additional Information PSC 46624-14/15**

3A. Specify required skills and/or expertise:

*Access to individuals with project and program management experience in the areas of information technology projects such as networking, data security, electronic medical records; project and program management experience in the areas of facilities projects, and or information technology integration within in complex facilities projects; Technical expertise in various health care related technology focus areas such new and legacy electronic medical record systems, billing systems, decision support systems, clinical systems. Clinical Nurse Informaticsts are nurses who must be licensed registered nurses with significant work experience installing electronic health records and other related clinical technologies a masters in nursing informatics or certification is preferred, but not required.*

4B. Would it be practical to adopt a new civil service class to perform this work? Explain.

*It is not practical to adopt a new Civil Service class because the services are intermittent, project based, and as-needed. In IT alone, for FY 14-15 the Department has 25 positions going through the HR hiring process and hiring of staff should be completed by January 2015. There are 38 vacant positions in IT and the plan to have these positions filled is by the end of FY 14-15. As those requisitions are filled for IT, the need for this augmented specialized service will be eliminated. For all positions which may be impacted by this request the Civil Service staff will be able to obtain up to date knowledge and skills in the area of project and program management through their interactions with the selected vendors.*

PERSONAL SERVICES CONTRACT SUMMARY ("PSC FORM 1")

Department: ENVIRONMENT – ENV Dept. Code: ENV

Type of Request:  Initial  Modification of an existing PSC (PSC # \_\_\_\_\_)

Type of Approval:  Expedited  Regular ( Omit Posting)

Type of Service: Green Building Consulting

Funding Source: Department Funds-various depts PSC Duration: 5 years 8 weeks  
PSC Amount: \$5,000,000 PSC Est. Start Date: 04/01/2015 PSC Est. End Date: 05/31/2020

**1. Description of Work**

**A. Scope of Work:**

Conduct technical assistance and consulting for City Departments engaged in developing building codes, financing programs, and the design, construction and operation of new buildings, major renovations, tenant improvements and existing buildings where subcontractors for specific areas of expertise are required: research, economic, technical and environmental analyses, energy modeling, green building, LEED (Leadership in Energy and Environmental Design) and GreenPoint Rated consulting, post-occupancy evaluation, policy and program design and implementation support.

**B. Explain why this service is necessary and the consequence of denial:**

SF Environmental Code Chapter 7 requires all municipal construction projects over 5,000 sq.ft. to achieve LEED Gold Certification from the US Green Building Council. SF Green Building Code requires similar environmental standards to be met for construction city-wide. Not all City construction contracts include qualified consultants to perform energy modeling, building commissioning, post-occupancy evaluations, etc., and coordinate the multi-disciplinary effort required to achieve LEED certification. Without this City-wide contract, each department would have to be able to predict precisely which technical service would be needed and contract for the services separately. (See attachment for the full response.)

**C. Has this service been provided in the past. If so, how? If the service was provided via a PSC, provide the most**

recently approved PSC # and upload a copy of the PSC. These services have been provided from 2007 to the present through a similar contract under PSC approval #4009-07/08.

**D. Will the contract(s) be renewed? Unknown.**

**2. Union Notification:** On 10/01/2014, the Department notified the following employee organizations of this PSC/RFP request: Professional & Tech Engrs, Local 21, Architect & Engineers, Local 21,

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**FOR DEPARTMENT OF HUMAN RESOURCES USE**

PSC# 47199 - 14/15

DHR Analysis/Recommendation:

Commission Approval Required

DHR Approved for 12/01/2014

Civil Service Commission Action:

3. Description of Required Skills/Expertise

A. Specify required skills and/or expertise: Applicants shall be licensed engineering or architectural firms. Applicants shall provide architects, engineers, analysts, experienced LEED and GreenPoint Rated practitioners, LEED Accredited Professionals and Certified Green Building Professionals designated for appropriate tasks within the described scope of work. Applicants shall have experience and expertise in multi-disciplinary project coordination and communication, and LEED and GreenPoint Rated documentation and certification. (See attachment for the full response.)

B. Which, if any, civil service class(es) normally perform(s) this work? 5640,5642,

C. Will contractor provide facilities and/or equipment not currently possessed by the City? If yes, explain: No

4. Why Classified Civil Service Cannot Perform

A. Explain why civil service classes are not applicable:

This work requires a multiple-member team, with a unique combination of experience, skills and expertise, to work at numerous locations simultaneously at all types of hours and days to meet the demands of program implementation.

B. Would it be practical to adopt a new civil service class to perform this work? Explain.

It would not be practical to adopt a new civil service class since the work needs to be accomplished at an intensive and varying level, at multiple locations simultaneously, for multiple City Departments, up to hundreds of hours a month, for a limited period of time.

5. Additional Information (if "yes", attach explanation)

YES NO

- A. Will the contractor directly supervise City and County employee? [ ] [x]
B. Will the contractor train City and County employee? [ ] [x]
C. Are there legal mandates requiring the use of contractual services? [ ] [x]
D. Are there federal or state grant requirements regarding the use of contractual services? [ ] [x]
E. Has a board or commission determined that contracting is the most effective way to provide this service? [ ] [x]
F. Will the proposed work be completed by a contractor that has a current PSC contract with your department? [ ] [x]

[x] THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD ON 11/04/2014 BY:

Name: Rachel Buerkle Phone: 415-355-3704 Email: Rachel.Buerkle@sfgov.org

Address: 1455 Market St., #1200 San Francisco, CA 94103

# **Receipt of Union Notification(s)**

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

From: dhr-psccordinator@sfgov.org [mailto:dhr-psccordinator@sfgov.org] On Behalf Of Rachel.Buerkle@sfgov.org

Sent: Wednesday, October 01, 2014 5:03 PM

To: Buerkle, Rachel (ENV); L21PSCReview@ifpte21.org; Buerkle, Rachel (ENV); Isen, Richard (TIS); DHR-PSCCoordinator, DHR (HRD)  
Subject: Receipt of Notice for new PCS over \$100K PSC # 47199 - 14/15

RECEIPT for Union Notification for PSC 47199 - 14/15 more than \$100k

The ENVIRONMENT -- ENV has submitted a request for a Personal Services Contract (PSC) 47199 - 14/15 for \$5,000,000 for Initial Request services for the period 04/01/2015 - 05/31/2020. Notification of 30 days (60 days for SEIU) is required.

After logging into the system please select link below, view the information and verify receipt:

<http://apps.sfgov.org/dhrdrupal/node/3988> For union notification, please see the TO: field of the email to verify receipt. If you do not see all the unions you intended to contact, the PSC Coordinator must change the state back to NOT READY, make sure the classes and unions you want to notify are selected and SAVE. Then VIEW the record and verify the list of unions and emails. EDIT the document again, change the state back START UNION NOTIFICATION and SAVE. You should receive the email with all unions to the TO: field as intended

# **Additional Attachment(s)**

**For all PSCs if the duration requested is 5 years or more, an explanation is required.**

The services will be continuing, as the type of service is required for both municipal and city-wide construction by the SF Environment Code and SF Green Building Code. As long as the code requirements are in place, each City department with a construction project over 5,000 sq.ft. will need these services. Having a city-wide contract removes the need for each department to predict precisely which technical service will be needed and contract for the services separately.

The services will be intermittent, depending on the needs of City departments.



**Q. 1B. Explain why this service is necessary and the consequences of denial:**

San Francisco Environment Code Chapter 7 requires all municipal construction projects over 5,000 square feet to achieve LEED Gold certification from the US Green Building Council. San Francisco Green Building Code requires similar environmental standards to be met for construction city-wide. Not all City construction contracts include qualified consultants to perform energy modeling, building commissioning, post-occupancy evaluations, etc., and coordinate the multi-disciplinary effort required to achieve LEED certification. Without this City-wide contract, each department would have to be able to predict precisely which technical service would be needed and contract for the services separately.

The City's Climate Action Plan requires 25% reduction of emissions below 1990 levels by 2017, 40% reduction below 1990 levels by 2025, and 80% reduction below 1990 levels by 2050. LEED ratings certify that a building meets standards in areas such as energy performance, water efficiency, sustainable building materials, etc. Failure to meet these standards may result in buildings that waste energy, water and materials, and prevent the City from meeting its carbon-reduction goals.

**Q. 3A. Specify required skills and/or expertise:**

Applicants shall be licensed engineering or architectural firms. Applicants shall provide architects, engineers, analysts, experienced LEED and GreenPoint Rated practitioners, LEED Accredited Professionals and Certified Green Building Professionals designated for appropriate tasks within the described scope of work. Applicants shall have experience and expertise in multi-disciplinary project coordination and communication, and LEED and GreenPoint Rated documentation and certification.

Firms will assist with and perform technical, environmental and economic analyses, building energy modeling, architectural/mechanical design peer review, building mechanical, engineering & plumbing (MEP) commissioning, building enclosure commissioning and help to build capacity for self-performing by city staff.

**Q. 3.B-1. What efforts has the department made to obtain these services through available resources within the City?**

The department has worked with Public Works and other city departments on many projects to promote self-performing these services. In some cases, LEED administration can be performed in-house, but management decisions often dictate the use of a consultant.

Energy modeling by in-house mechanical engineers has been attempted on some projects with limited success, and consulting services are typically required. Other engineering designs and calculations are best performed by specialists having expertise in stormwater management, living roof design, daylight and shadow rendering, etc. that does not exist within the City. As a city blanket, this contract can provide as-needed services to multiple City Departments saving much time and effort in procurement, especially for discrete tasks for required specialized services. Building Commissioning is no longer included as a service under this contract as all city building commissioning is now being provided by SFPUC.

**Q. 5.G. Is there a plan to transition this work back to the City? Please explain why or why not.**

Over time, city design professionals who benefit from these consulting services have learned and will learn more about how to perform some of these services in-house, and in some cases these services are transitioning to the City. However, for increasing City participation, significantly more training is necessary, especially in the field of building energy modeling.

In some cases, newer software solutions can make these services easier for less experienced staff, but additional training is required nonetheless. Most decisions about the use of this contract and staff training time allotments are made by other City departments; the Department of Environment acts primarily in an advisory role.

**Q. 5.H. What support will the department provide to help build internal capacity to do this work?**

The department has provided and will continue to provide direct staff assistance to other City departments and project teams by Department of Environment Green Building Specialists. The department will continue to promote and provide training opportunities for city design professionals so that more of these services can be self-performed over time.

The department will continue to advocate for training time to be made available for city design professionals. The department will continue to encourage task orders under this contract that promote collaboration and learning of skills by City staff.

DATE: 12/6/2012  
 DEPARTMENT NAME ENVIRONMENT DEPARTMENT NUMBER 22

TYPE OF APPROVAL:  EXPEDITED  REGULAR (OMIT POSTING \_\_\_\_\_)

CONTINUING  ANNUAL

TYPE OF REQUEST:  
 INITIAL REQUEST  MODIFICATION (PSC# 4009-07/08)

TYPE OF SERVICE: Green Building Technical Assistance

FUNDING SOURCE: Professional Services; All City Departments with Contracting Authority, Green Building General Account, Department of the Environment

PSC			
ORIGINAL AMOUNT:	<u>\$1,500,000</u>	ORIGINAL DURATION :	<u>12/01/2007 – 06/30/2011</u>
Modification Amount (1)	<u>No Change</u>	Modification of Duration (1)	<u>07/01/2011 – 03/31/2013</u>
Modification Amount (2)	<u>\$ 749,000</u>	Modification of Duration (2)	<u>No Change</u>
Modification Amount (3)	<u>\$2,750,000</u>	Modification of Duration (3)	<u>04/01/2013 – 03/31/2015</u>
Total Amount:	<u>\$4,999,000</u>	Total Duration:	<u>12/01/2007 – 3/31/2005/5</u>

**1. DESCRIPTION OF WORK**

A. Concise description of proposed work: See Attachment

B. Explain why this service is necessary and the consequences of denial: See Attachment

C. Explain how this service has been provided in the past (if this service was previously approved by the Civil Service Commission, indicate most-recent personal services contract approval number):

Some limited services have been provided on selected projects through existing construction contracts. This RFP will ensure that all projects can have access to qualified contractors for all required services without having to issue separate RFP's for each project. Prior DHR-Approved PSC#4009-07/08 attached.

D. Will the contract(s) be renewed: Unknown.

**2. UNION NOTIFICATION:** Copy of this summary is to be sent to employee organizations as appropriate (refer to instructions for specific procedures):

Local 21, IFPTE  
 Union Name

Rachel C. Bover  
 Signature of person mailing / faxing form

12/6/12  
 Date

RFP sent to \_\_\_\_\_, on \_\_\_\_\_  
 Union Name Date Signature

\*\*\*\*\*

**FOR DEPARTMENT OF HUMAN RESOURCES USE**

PSC# \_\_\_\_\_  
 STAFF ANALYSIS/RECOMMENDATION:

CIVIL SERVICE COMMISSION ACTION:

3. DESCRIPTION OF REQUIRED SKILLS/EXPERTISE

A. Specify required skills and/or expertise:

Applicants shall be licensed engineering or architectural firms with LEED Accredited Professionals on staff designated for appropriate tasks within the described scope of work. Applicants with staff that are Certified Green Building Professionals by *Build It Green* are preferred for residential projects. The selected consultant shall have experience and expertise in multi-disciplinary project coordination and communication, building plans analyses, LEED and GreenPoint Rated compliance. Consultant will perform economic analyses, building energy modeling, and architectural/mechanical design peer review, and provide latest knowledge in this rapidly developing field, and by identifying latest technology and trade developments will build capacity of existing city staff. Building Commissioning subcontractors shall have experience and expertise in building commissioning and post-occupancy evaluations for occupant comfort (thermal, acoustical, air quality, etc.).

B. Which, if any, civil service class normally performs this work?

Some Environmental Specialists in the Green Building specialty area, e.g., 5642 and 5640, may have the knowledge to perform certain aspects of this work, but will not be able to address all aspects of the scope of work.

C. Will contractor provide facilities and/or equipment not currently possessed by the City? No.

4. WHY CLASSIFIED CIVIL SERVICE CANNOT PERFORM

A. Explain why civil service classes are not applicable:

This work requires a multiple-member team, with a unique combination of experience, skills and expertise, to work at numerous locations simultaneously at all types of hours and days to meet the demands of program implementation.

B. Would it be practical to adopt a new civil service class to perform this work? Explain.

It would not be practical to adopt a new civil service class since the work needs to be accomplished at an intensive and varying level, at multiple locations simultaneously, for multiple City Departments, up to hundreds of hours a month, for a limited period of time.

5. ADDITIONAL INFORMATION (if "yes", attach explanation)

Yes	No
<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>	<input type="checkbox"/>

A. Will the contractor directly supervise City and County employees?

B. Will the contractor train City and County employees?

- Describe training and indicate approximate number of hours.

Specific areas of training will be determined on an as needed basis.

- Indicate occupational type of City and County employees to receive training (e.g., clerks, civil engineers, etc.) and approximate number to be trained.

Again, this depends on which areas participating Departments determine require training. However, generally, the occupational types will include engineers, architects, and environmental specialists.

C. Are there legal mandates requiring the use of contractual services?

<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/>	<input checked="" type="checkbox"/>

D. Are there federal or state grant requirements regarding the use of contractual services?

<input type="checkbox"/>	<input checked="" type="checkbox"/>
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E. Has a board or commission determined that contracting is the most effective way to provide this service?

<input type="checkbox"/>	<input type="checkbox"/>
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F. Will the proposed work be completed by a contractor that has a current personal services contract with your department? Not Known -Contract will be bid

THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD:



Signature of Departmental Personal Services Contract Coordinator

Rachel C. Buerkle

415-355-3704

Department of the Environment  
11 Grove Street, San Francisco, CA 94102

Personal Services Contract

Green Building Technical Assistance – Request for Modification

1. DESCRIPTION OF WORK

A. Concise description of proposed work:

To conduct technical assistance and consulting for City Departments engaged in the design, construction and operation of new buildings, major renovations, tenant improvements and existing buildings where sub-contractors for specific areas of expertise are required: research, economic, technical and environmental analyses, energy modeling, green building and LEED® (or other approved green building rating system) consulting, building commissioning, post-occupancy evaluation, policy and program design and implementation support.

B. Explain why this service is necessary and the consequences of denial:

This service is instrumental in allowing City departments to meet the requirements of the City's Environment Code and Building Code and allowing the City to be a leader in Green Building programs.

Environment Code Chapter 7 requires all municipal construction projects over 5,000 square feet to achieve a LEED Gold rating from the US Green Building Council, and requires regular reporting on Departmental compliance to the Board of Supervisors. Failure to achieve the LEED Gold requirements may result in buildings that waste energy, water and materials, and prevent the City from meeting its carbon-reduction goals. Not all current City construction contracts include qualified contractors to coordinate the multi-disciplinary effort required to achieve LEED ratings, conduct building commissioning, conduct post-occupancy evaluations, etc.

Scope

This service provides as-needed technical assistance to City design teams to achieve LEED certification and improve the environmental performance of city buildings including:

- Policy and Program Development
- LEED consulting
- Charrette Facilitation
- Building Commissioning
- Energy Modeling
- Economic and Environmental Analyses
- Post-occupancy Evaluations
- Training

Users

This service is set up as a city blanket contract for green building technical assistance and has been instrumental in implementing the City's green building requirements under San Francisco Environment Code Chapter 7 and San Francisco Building Code Chapter 13C. City Departments utilizing this contract include:

- San Francisco Environment
- San Francisco Recreation and Parks
- San Francisco Public Utilities Commission
- San Francisco Redevelopment Agency
- San Francisco International Airport
- San Francisco Municipal Transportation Agency
- San Francisco Department of Public Works doing work for
  - San Francisco Public Library
  - GSA Real Estate Division
  - Port of San Francisco
  - San Francisco Fire Department
  - Department of Public Health

Projects Underway

San Francisco currently has nearly 9 million square feet of municipal construction projects seeking or achieving LEED certification, including hospitals, libraries, fire stations, museums, airport terminals, etc.:

	Square Feet
LEED Certified Projects	3,675,116
Projects Completed, LEED Certification Pending	965,316
Projects Under Construction	1,509,055
Projects in Planning or Design	2,665,260
<b>Total</b>	<b>8,814,747</b>

Not to continue this service would cause a major disruption in the completion of these construction projects, as each City department would then have to obtain these services independently.

Building In-House Capacity

This contract complements the City's in-house architectural and engineering services, and task orders are often structured to build capacity within City Departments and mentor City design professionals so that they can self-perform additional services over time.

Achievements

Notable San Francisco Green Building Achievements:

- California Academy of Sciences: Largest "Double-LEED Platinum" museum in the world
- Laguna Honda Hospital: California's 1<sup>st</sup> LEED certified hospital
- SFO Terminal 2: 1<sup>st</sup> LEED Gold airport terminal in the US
- 4 LEED Gold Branch Libraries

Leading by example, San Francisco's municipal experience has city-wide influence. Green buildings have achieved extraordinary city-wide market penetration in San Francisco; more than 35 million square feet have earned LEED certification to date. In the office market, more than 37% of competitive office properties have earned LEED certification. In 2011, the city was awarded "Best Green Building Policy" by the World Green Building Council, and ranked the #1 market for green development in North America in the Better Bricks/Cushman & Wakefield Green Building Opportunity Index.



# CIVIL SERVICE COMMISSION CITY AND COUNTY OF SAN FRANCISCO

EDWIN M. LEE  
MAYOR

February 8, 2013

## NOTICE OF CIVIL SERVICE COMMISSION ACTION

**SUBJECT: REVIEW OF REQUEST FOR APPROVAL OF PROPOSED PERSONAL SERVICES CONTRACT NUMBERS 4059-12/13 THROUGH 4073-12/13; 4094-10/11; 4009-7/08; 4023-09/10; 4028-06/07.**

KATE FAVETTI  
PRESIDENT

SCOTT R. HELDFOND  
VICE PRESIDENT

MARY Y. JUNG  
COMMISSIONER

E. DENNIS NORMANDY  
COMMISSIONER

JENNIFER C. JOHNSTON  
EXECUTIVE OFFICER

At its meeting of February 4, 2013 the Civil Service Commission had for its consideration the above matter:

**PLEASE NOTE:** *It is important that a copy of this action be kept in the department files as you will need it in the future as proof of Civil Service Commission approval. Please share it with everyone responsible for follow-up.*

### The Commission:

- (1) Approved the request to withdraw PSC# 4065-12/13 at the request of Department of Human Resources. (Vote of 4 to 0)
- (2) Adopt the report; Approved the request for approval of PSC# 4066-12/13 as amended to reflect a contract duration of five years instead of six. Notified the Office of the Controller and the Office of Contract Administration. (Vote of 4 to 0)
- (3) Adopt the report; Approved the request for approval of PSC#4072-12/13 on the condition that the department reports back on its discussion with SEIU after one year. Notify the Office of the Controller and the Office of Contract Administration. (Vote of 4 to 0)
- (4) Adopt the report; Approved the request for approval of PSC# 4073-12/13 as amended to reflect that the contract will be renewed after it has come before the Board of Supervisors. Notify the Office of the Controller and the Office of Contract Administration. (Vote of 4 to 0)
- ✓ (5) Adopt the report; Approved the requests for all remaining contracts. Notified the Office of the Controller and the Office of Contract Administration. (Vote of 4 to 0)

If this matter is subject to Code of Civil Procedure (CCP) Section 1094.5, the time within which judicial review must be sought is set forth in CCP Section 1094.6.

CIVIL SERVICE COMMISSION

*Jennifer Johnston* FOR  
JENNIFER JOHNSTON  
Executive Officer

Attachment



c: Parveen Boparai, Municipal Transportation Agency  
Rachel Buerkle, Department of the Environment  
Jeanne Buick, Department of Human Resources  
Micki Callahan, Human Resources Director  
Lily Conover, Controller's Office  
Leorah Dang, Department of Human Resources  
Aleric Degrafinried, Public Utilities Commission  
Thomas DiSanto, Planning Department  
Kendall Gary, Technology Department  
Jacquie Hale, Department of Public Health  
Shamica Jackson, Public Utilities Commission  
LaWan Jones, Public Utilities Commission  
Greg Kato, Treasurer/Tax Collector  
Rebekah Krell, Art Commission  
William Lee, Department of Emergency Management  
Brent Lewis, Department of Human Resources  
Donna Marion, Public Library  
Commission File  
Chron

POSTING FOI

02/04/2013

PROPOSED PERSONAL SERVICES CONTRACTS  
 MODIFICATION TO INCREASE CONTRACT AMOUNT/DURATION

PSC No	DeptNo	Dept Description	Approval Type	Modified Amount	Cumulative Total	Description of Work	Start Date - End Date
4094-10/11	08	Treasurer/Tax Collector	Regular	\$250,000	\$350,000	A consultant will be engaged to assist the Treasurer-Tax Collector in implementing a Request for Proposals process for banking services that will result in a contract for bank services for the City and County of San Francisco.	3/21/2011 - 12/31/2012
4009-07/08	22	Environment	Regular	\$2,750,000	\$4,999,000	Will conduct technical assistance and consulting for City Depts. engaged in the design, construction and operation of new bldgs., major renovations, tenant improvements and existing bldgs. where sub-contractors for specific areas of expertise are required: research, economic, technical and environmental analyses, energy modeling, green building and LEED (or other approved green building rating system) consulting, building commissioning, post-occupancy evaluation, policy and program design and implementation support.	12/1/2007 - 3/31/2015
4023-09/10	40	Public Utilities Commission	Regular	\$0	\$2,300,000	Contract work consists of environmental tasks in support of the Upper Alameda Creek Filter Gallery Project. The completed project would recapture water released from the Calaveras Reservoir. Tasks will include: coordination and work plan preparation; environmental document scoping; environmental background and field studies; alternatives analysis; preparation of draft environmental documents; public review of draft environmental documents; response to public comments; preparation of final environmental documents; and, mitigation monitoring plan preparation.	11/1/2009 - 3/1/2019
4028-06/07	41	Public Library	Regular	\$1,100,000	\$2,150,000	The San Francisco Public Library (Library) seeks a Contractor to develop a program to interpret and coordinate data, design form format, and issue notices and forms for the Library in multiple languages. The services include transforming electronic data, via File Transfer Protocol (FTP) to generate around 1,000 library notices per day, printing text of notices onto designated forms, and mailing them to library patrons first class presorted on the same day. Initially, the Contractor and Library staff will meet to define the specifications for and design each of the required forms: reserves, overdue, billed items, holds expired, and holds cancelled. Subsequent changes and/or additions to the forms would be made as needed and, on occasion, the Library would provide additional inserts, or camera-ready copy of same, to be included in the mailings.	11/1/2006 - 6/30/2022
				Sum of Modified Amounts:		\$4,100,000	

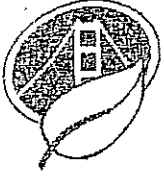
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02/04/2013

PROPOSED PERSONAL SERVICES CONTRACTS - Regular

PSC No.	Dept No.	Dept Name	Approval Type	Contract Amount	Description of Work	Duration
4069-12/13	68	Municipal Transportation Agency	Regular	\$500,000	The consultant will analyze the San Francisco Municipal Transportation Agency's (SFMTA) transportation (all modes) impacts on potential land use, employment, housing, transit service, and transportation infrastructure changes. The SF-CHAMP San Francisco Regional Travel Model is the official transportation modeling tool for San Francisco and is certified as compliant with the Regional Transportation Plan by the Metropolitan Transportation Commission. The consultant is an expert working with this unique proprietary software product and will use the model to forecast changes in regional travel.	3/4/2013 - 3/3/2018
4070-12/13	68	Municipal Transportation Agency	Regular	\$2,000,000	Develop and maintain an employee wellness program that enables employees to reach optimal physical well-being, fitness, injury prevention, and complements existing San Francisco Municipal Transportation Agency (SFMTA) services and programs by implementing, providing and managing the following services: (1) Comprehensive Risk Assessments to include: blood pressure screening, orthopedic assessments, nutrition, stress reduction; weight control; and chronic illness screening (2) Exercise and Education Centers (up to eight locations) to include professional quality fitness equipment with supervision and training, and healthy lifestyle and training programs (3) Therapeutic Program to include yoga, zumba, tai chi, massage, and similar therapeutic modalities (4) Data tracking, data management, and data reporting to measure outcomes	3/1/2013 - 2/28/2018
4071-12/13	77	Emergency Management	Regular	\$1,200,000	The contractor will provide training and exercise curriculums for the Bay Area Urban Areas Security Initiative (UASD). Services will include review of existing regional catastrophic plans for each operational area; develop and conduct Homeland Security Exercise and Evaluation Program (HSEEP) tabletop exercises; develop a web-based interactive training curriculum for each Bay Area County, coordinate with CALEMA Golden Guardian regarding exercise design for use in Urban Shield; create a strategic plan addressing future growth and best practices from regional catastrophic training and exercise projects.	1/1/2013 - 12/31/2015
4072-12/13	81	Public Health	Regular	\$1,200,000	The contractor will perform neuromonitoring services for patients undergoing operating room procedures at San Francisco General Hospital. Neuromonitoring services consist of the patient being connected to electrodes during surgery and spontaneous electrophysiologic signals are obtained and interpreted periodically or continuously throughout the course of the operation.	3/2/2013 - 2/28/2015
4073-12/13	75	Dept of Technology	Regular	\$28,000,000	Technical Support services for the Motorola radios used by the San Francisco Police Department, the Sheriff's Department, the Fire Department, the Department of Emergency Management, the Department of Public Works and the Public Utilities Commission.	9/22/1997 - 9/22/2017

Total Amount - Regular: \$43,052,200



**SF Environment**  
 Our home. Our city. Our planet.  
 A Department of the City and County of San Francisco



GAVIN NEWSOM  
 Mayor  
 Melanie Nutter  
 Director

**MEMORANDUM**

DATE: 9/14/10  
 TO: Maria Ryan, PSC Analyst  
 Department of Human Resources (Dept. 33)  
 FROM: Rachel Buerkle, PSC Coordinator  
 Department of the Environment (Dept. 22) *R. Buerkle*  
 RE: Request for Administrative Approval of PSC Modification (less than 50%)

PSC No: 4009-07/08 Approval Date: 9/4/07  
 Description of Service(s): Green Building Technical Assistance for all City departments  
 Original Approved Amount: \$1,500,000 Original Approved Duration: 12/01/07 – 6/30/11  
 Modification Amount: (1) No change Modification of Duration: (1) 12/01/07 – 3/31/13  
 Modification Amount: (2) 749,000 Modification of Duration: (2) No change  
 Total Amount as Modified: \$2,249,000 Total Duration as Modified: 12/01/07 – 3/31/13

Reason for the modification:

Additional services to provide access for all City departments to green building consulting services which are needed for compliance with SF Environment Code Chapter 7.

Attachment: Copy of Approved PSC Summary

.....  
**FOR DEPARTMENT OF HUMAN RESOURCES USE**

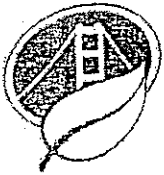
DHR ACTION:  Approved

Approval Date: 9/15/10

By: *Micki Callahan*

502 Micki Callahan, Human Resources Director

*2002*



# SF Environment

Our home. Our city. Our planet.

A Department of the City and County of San Francisco



GAVIN NEWSOM  
Mayor

DAVID ASSMANN  
Acting Director

## MEMORANDUM

DATE: 7/22/10  
 TO: PSC Coordinator  
 Department of Human Resources (Dept. 33)  
 FROM: Rachel C. Buerkle, PSC Coordinator  
 Department of the Environment (Dept. 22) *Rachel C. Buerkle*  
 RE: Request for Administrative Approval of PSC Modification (less than 50%)

PSC No: 4009-07/08 Approval Date: 9/04/07  
 Description of Service(s): Green Building Technical Assistance for all City departments  
 Original Approved Amount: \$1,500,000 Original Approved Duration: 12/01/07 - 6/30/11  
 Modification Amount: no change Modification of Duration: 12/01/07 - 3/31/13  
 Total Amount as Modified: \$1,500,000 Total Duration as Modified: 12/01/07 - 3/31/13

Reason for the modification:  
 Additional time is needed to provide access for all City department to green building consulting services which are needed for compliance with SF Environment Code Chapter 7.

Attachment: Copy of Approved PSC Summary

.....  
FOR DEPARTMENT OF HUMAN RESOURCES USE

DHR ACTION:  Approved

Approval Date: 8/25/10

By: *Micki Callahan*  
Micki Callahan, Human Resources Director

City and County of San Francisco Department of Human Resources  
**PERS. SERVICES CONTRACT SUMMARY**

DATE: August 10, 2007  
 DEPARTMENT NAME ENVIRONMENT DEPARTMENT NUMBER 22

TYPE OF APPROVAL:  EXPEDITED  REGULAR (OMIT POSTING \_\_\_\_\_)

CONTINUING  ANNUAL

TYPE OF REQUEST:  
 INITIAL REQUEST  MODIFICATION (PSC# \_\_\_\_\_)

TYPE OF SERVICE: Green Building Technical Assistance

FUNDING SOURCE: Professional Services; All City Departments with Contracting Authority. Green Building General Account, Department of the Environment

PSC AMOUNT: \$1,500,000.00 PSC DURATION: December 1, 2007 - June 30, 2011

DESCRIPTION OF WORK

A. Concise description of proposed work: To conduct technical assistance and consulting for City Departments engaged in the design, construction and operation of new buildings, major renovations, tenant improvements and existing buildings where sub-contractors for specific areas of expertise are required: research, economic, technical and environmental analyses, energy modeling, green building and LEED® (or other approved green building rating system) consulting, building commissioning, post-occupancy evaluation, policy and program design and implementation support.

B. Explain why this service is necessary and the consequences of denial: Environment Code Chapter 7 requires all municipal construction projects over 5,000 square feet to achieve a LEED Silver rating from the US Green Building Council, and requires regular reporting on Departmental compliance to the Board of Supervisors. The City's Climate Action Plan requires a 2.5 million ton reduction in carbon-dioxide emissions within San Francisco by 2012. Failure to achieve the LEED Silver requirements may result in buildings that waste energy, water and materials, and prevent the City from meeting its carbon-reduction goals. Not all current City construction contracts include qualified contractors to coordinate the multi-disciplinary effort required to achieve LEED ratings, conduct building commissioning, conduct post-occupancy evaluations, etc.

C. Explain how this service has been provided in the past (if this service was previously approved by the Civil Service Commission, indicate most recent personal services contract approval number):  
 Some limited services have been provided on selected projects through existing construction contracts. This RFP will ensure that all projects can have access to qualified contractors for all required services without having to issue separate RFP's for each project.

D. Will the contract(s) be renewed: Unknown.

2. UNION NOTIFICATION: Copy of this summary is to be sent to employee organizations as appropriate (refer to instructions for specific procedures):

<u>Local 21</u> Union Name	<u>[Signature]</u> Signature of person mailing / faxing form	<u>8/10/07</u> Date
<u>Local 790</u> Union Name	<u>[Signature]</u> Signature of person mailing / faxing form	<u>8/10/07</u> Date

RFP sent to \_\_\_\_\_, on \_\_\_\_\_, Date \_\_\_\_\_ Signature \_\_\_\_\_

\*\*\*\*\*

**FOR DEPARTMENT OF HUMAN RESOURCES USE**

PSC# \_\_\_\_\_  
 STAFF ANALYSIS/RECOMMENDATION:

**3. DESCRIPTION OF REQUIRED SKILLS/EXPERTISE**

A. Specify required skills and/or expertise:

Applicants shall be licensed engineering or architectural firms with LEED Accredited Professionals on staff designated for appropriate tasks within the described scope of work. Applicants with staff that are Certified Green Building Professionals by *Build It Green* are preferred for residential projects.

The selected consultant shall have experience and expertise in multi-disciplinary project coordination and communication, building plans analyses, LEED and GreenPoint Rated compliance. Consultant will perform economic analyses, building energy modeling, and architectural/mechanical design peer review, and provide latest knowledge in this rapidly developing field, and by identifying latest technology and trade developments will build capacity of existing city staff. Building Commissioning subcontractors shall have experience and expertise in building commissioning and post-occupancy evaluations for occupant comfort (thermal, acoustical, air quality, etc.).

B. Which, if any, civil service class normally performs this work?

Some Environmental Specialists in the Green Building specialty area, e.g., 5642 and 5640, may have the knowledge to perform certain aspects of this work, but will not be able to address all aspects of the scope of work.

C. Will contractor provide facilities and/or equipment not currently possessed by the City? If yes, explain: No.

**4. WHY CLASSIFIED CIVIL SERVICE CANNOT PERFORM**

A. Explain why civil service classes are not applicable:

This work requires a multiple-member team, with a unique combination of experience, skills and expertise, to work at numerous locations simultaneously at all types of hours and days to meet the demands of program implementation.

B. Would it be practical to adopt a new civil service class to perform this work? Explain.

It would not be practical to adopt a new civil service class since the work needs to be accomplished at an intensive and varying level, at multiple locations simultaneously, for multiple City Departments, up to hundreds of hours a month, for a limited period of time.

**5. ADDITIONAL INFORMATION (if "yes", attach explanation)**

A. Will the contractor directly supervise City and County employees?

<u>Yes</u>	<u>No</u>
<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/>	<input checked="" type="checkbox"/>

B. Will the contractor train City and County employees?

- Describe training and indicate approximate number of hours.

- Indicate occupational type of City and County employees to receive training (e.g., clerks, civil engineers, etc.) and approximate number to be trained.

C. Are there legal mandates requiring the use of contractual services?

<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/>	<input checked="" type="checkbox"/>

D. Are there federal or state grant requirements regarding the use of contractual services?

<input type="checkbox"/>	<input checked="" type="checkbox"/>
--------------------------	-------------------------------------

E. Has a board or commission determined that contracting is the most effective way to provide this service?

<input type="checkbox"/>	<input type="checkbox"/>
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F. Will the proposed work be completed by a contractor that has a

current personal services contract with your department? Not Known—unlikely (Contract will be

bid)

THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD:

*Rachel C. Buerkle*

Signature of Departmental Personal Services Contract Coordinator

Rachel C. Buerkle

415-355-3704

Print or Type Name

Telephone Number



# CIVIL SERVICE COMMISSION CITY AND COUNTY OF SAN FRANCISCO

September 20, 2007

## NOTICE OF CIVIL SERVICE COMMISSION ACTION

GAVIN NEWSOM  
MAYOR

SUBJECT: REVIEW OF REQUEST FOR APPROVAL OF PROPOSED  
PERSONAL SERVICES CONTRACT NUMBERS 4008-07/08  
AND 4009-07/08.

ALICIA D. BECERRIL  
PRESIDENT

At its meeting of September 17, 2007 the Civil Service Commission had for its consideration the above matter.

DONALD A. CASPER  
VICE PRESIDENT

PLEASE NOTE: *It is important that a copy of this action be kept in the department files as you will need it in the future as proof of Civil Service Commission approval.*

MORGAN R. GORRONO  
COMMISSIONER

THOMAS T. NG  
COMMISSIONER


It was the decision of the Commission to adopt the Human Resources Director's report. Notify the offices of the Controller and the Purchaser.

YU-YEE WU  
COMMISSIONER

If this matter is subject to Code of Civil Procedure (CCP) Section 1094.5, the time within which judicial review must be sought is set forth in CCP Section 1094.6.

CIVIL SERVICE COMMISSION

ANITA SANCHEZ  
EXECUTIVE OFFICER

  
ANITA SANCHEZ  
Executive Officer

### Attachment

- c: Rachel Buerkle, Department of the Environment
- Eugene Clendinen, District Attorney
- James Horan, Acting Human Resources Director
- Jennifer Johnston, Department of Human Resources
- Jonathan Nelly, Department of Human Resources
- Commission File
- Chron



POSTED FOR  
September 04, 2007

RECOMMENDED APPROVAL OF PROPOSED PERSONAL SERVICES CONTRACTS

PSC No.	DeptNo.	DeptName	Approval Type	Contract Amount	Description of work	Duration
4008-07/08	4	District Attorney's Office	Regular	\$76,000.00	Will provide assistance to the District Attorney's Office in the prosecution of real estate fraud transactions.	30-Jun-09
4009-07/08	22	Environment	Regular	\$1,500,000.00	Will conduct technical assistance and consulting for City Depts. engaged in the design, construction and operation of new bldgs., major renovations, tenant improvements and existing bldgs. where sub-contractors for specific areas of expertise are required.	30-Jun-11
4010-07/08	21	Mayor's Office of Economic & Workforce Development	Regular	\$930,000.00	Will provide employment and training services for low income and low skilled San Francisco Individuals. The contractor will work one on one with individuals to prepare them to enter the world of work.	30-Jun-08
4011-07/08	25	Mayor's Office of Economic & Workforce Development	Regular	\$856,817.00	Will provide employment and training services for low income and low skilled San Francisco Youth. The contractor will work one on one with youth to prepare them to enter the world of work.	30-Jun-08

INITIAL

PERSONAL SERVICES CONTRACT SUMMARY ("PSC FORM 1")

Department: MUNICIPAL TRANSPORTATION AGENCY – MTA Dept. Code: MTA

Type of Request: [X] Initial [ ] Modification of an existing PSC (PSC # \_\_\_\_\_)

Type of Approval: [ ] Expedited [X] Regular ( [ ] Omit Posting)

Type of Service: Commercial Real Estate Consultants

Funding Source: Operating Budget PSC Duration: 9 years 1 day
PSC Amount: \$9,500,000 PSC Est. Start Date: 12/02/2014 PSC Est. End Date: 12/01/2023

1. Description of Work

A. Scope of Work:

The Real Estate Consultants will provide specialized predevelopment investigative work to determine the feasibility of commercial retail space development within the Central Station Union Square-Market Street (UMS) Station site. This service would involve, but is not limited to the following: urban retail district market analysis/feasibility; business attraction and retention; site specific design concept plans; and, complementary underground cityscape design themes. The scope of work will focus on the UMS Concourse retail areas, Chinatown Station and Plaza, but will also include the other two new subway stations to be built, certain parking garages and other potential retail facilities owned by the San Francisco Municipal Transportation Agency (SFMTA). A final proposal for underground retail implementation will be developed and presented to the SFMTA.

B. Explain why this service is necessary and the consequence of denial:

The SFMTA is seeking to utilize its underground stations as resources, including its available real properties and commercial retail spaces, to higher intensity and more profitable uses. If these proposed professional planning, analysis and study services are denied, the SFMTA will be unable to determine the highest and best uses of its realty resources.

C. Has this service been provided in the past. If so, how? If the service was provided via a PSC, provide the most recently approved PSC # and upload a copy of the PSC. The SFMTA has not obtained this type of specific service in the past for its underground facilities and real estate needs.

D. Will the contract(s) be renewed? No.

2. Union Notification: On 10/08/2014, the Department notified the following employee organizations of this PSC/RFP request: Professional & Tech Engrs, Local 21,

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FOR DEPARTMENT OF HUMAN RESOURCES USE

PSC# 43303 - 14/15

Civil Service Commission Action:

DHR Analysis/Recommendation:

Commission Approval Required

DHR Approved for 12/01/2014

**3. Description of Required Skills/Expertise**

A. Specify required skills and/or expertise:

The consultant(s) must have five (5) years of documentable experience in the following: retail market analysis; retail/dining business attraction and retention; retail operations; tenant recruitment; urban revitalization, specifically as it relates to large-city downtowns and urban, including underground, retail environments; mixed use retail/office architectural experience, both in new construction and rehabilitation of existing facilities or structures, including, but not limited to parking garages; urban design expertise related to urban commercial/retail

B. Which, if any, civil service class(es) normally perform(s) this work?  
9151,4140,

C. Will contractor provide facilities and/or equipment not currently possessed by the City? If yes, explain:  
No.

**4. Why Classified Civil Service Cannot Perform**

A. Explain why civil service classes are not applicable:

The specific requirement for specialized areas of underground retail development expertise is not possessed by civil service classifications.

B. Would it be practical to adopt a new civil service class to perform this work? Explain.

No. This project requires a variety of specializations in various select areas of expertise that would apply only when that service is needed. Therefore, the work is intermittent and as-needed depending upon the developing project.

**5. Additional Information (if "yes", attach explanation)**

	<u>YES</u>	<u>NO</u>
A. Will the contractor directly supervise City and County employee?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
B. Will the contractor train City and County employee?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
C. Are there legal mandates requiring the use of contractual services?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
D. Are there federal or state grant requirements regarding the use of contractual services?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
E. Has a board or commission determined that contracting is the most effective way to provide this service?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
F. Will the proposed work be completed by a contractor that has a current PSC contract with your department?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD ON 10/08/2014 BY:

Name: Cynthia Hamada Phone: 415.701.5381 Email: cynthia.hamada@sfmta.com

Address: 1 South Van Ness Avenue, 6th Floor San Francisco, CA 94103

# **Receipt of Union Notification(s)**

## Hamada, Cynthia

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**From:** dhr-psccordinator@sfgov.org on behalf of cynthia.hamada@sfmta.com  
**Sent:** Thursday, October 02, 2014 12:24 PM  
**To:** Hamada, Cynthia; L21PSCReview@ifpte21.org; Hamada, Cynthia; Isen, Richard; DHR-  
PSCCoordinator, DHR  
**Subject:** Receipt of Notice for new PCS over \$100K PSC # 43303 - 14/15

RECEIPT for Union Notification for PSC 43303 - 14/15 more than \$100k

The COUNTY EDUCATION OFFICE -- USD has submitted a request for a Personal Services Contract (PSC) 43303 - 14/15 for \$9,500,000 for Initial Request services for the period 12/02/2014 – 12/01/2023. Notification of 30 days (60 days for SEIU) is required.

After logging into the system please select link below, view the information and verify receipt:

<http://apps.sfgov.org/dhrdrupal/node/4028> For union notification, please see the TO: field of the email to verify receipt. If you do not see all the unions you intended to contact, the PSC Coordinator must change the state back to NOT READY, make sure the classes and unions you want to notify are selected and SAVE. Then VIEW the record and verify the list of unions and emails. EDIT the document again , change the state back START UNION NOTIFICATION and SAVE. You should receive the email with all unions to the TO: field as intended

# **Additional Attachment(s)**



**SFMTA**  
Municipal  
Transportation  
Agency

Edwin M. Lee, *Mayor*

Tom Nolan, *Chairman*

Gwyneth Borden, *Director*

Jerry Lee, *Director*

Cristina Rubke, *Director*

Edward D. Reiskin, *Director of Transportation*

Cheryl Brinkman, *Vice-Chairman*

Malcolm Hencke, *Director*

Joel Ramos, *Director*

Date: October 2, 2014

To: The Honorable Civil Service Commission

From: Kezia Tang *KT/amh*  
Real Estate Section – TIDF Administrator

Subject: Explanation for PSC #43303-14/15 contract term.

The contract term is initially set for three years with two options, each to extend the contract for three additional years. The Central Subway is projected to open to the public in 2019. One or more contracts may be awarded as a result of the Request for Proposals process. The selected consultant or consultants would propose a retail plan, determine which tenants are most desirable after appropriate market research and analysis, as well as a plan for community outreach, specific to each site. The plan would then be implemented by potentially, a different contractor or subconsultant with the specialized skills to build out the "tenant improvements" for the selected retail tenants. After the retail is implemented and installed a consultant would operate and maintain the facilities as the SFMTA's primary function is to provide and support transit. The reason for the optional contract extensions is to accommodate the need for as-needed, but very specialized retail market commercial brokers. The commercial brokers specializing in retail leasing will be needed for seeking new tenants and negotiating leases, when necessary.

The Real Estate section at the SFMTA will oversee the management/monitoring of this contract.

PSC 43303-14/15

Specify required skills and/or expertise:

The consultant(s) must have five (5) years of documentable experience in the following: retail market analysis; retail/dining business attraction and retention; retail operations; tenant recruitment; urban revitalization, specifically as it relates to large-city downtowns and urban, including underground, retail environments; mixed use retail/office architectural experience, both in new construction and rehabilitation of existing facilities or structures, including, but not limited to parking garages; urban design expertise related to urban commercial/retail environments, plaza and outdoor space design; retail signage design, placement and regulatory framework; and, underground retail environment work experience.



PERSONAL SERVICES CONTRACT SUMMARY

DATE: October 2, 2014

DEPARTMENT NAME: San Francisco Municipal Transportation Agency DEPARTMENT NUMBER: 68

TYPE OF APPROVAL: ( ) EXPEDITED ( X ) REGULAR (OMIT POSTING \_\_\_\_\_)  
( ) CONTINUING ( ) ANNUAL

TYPE OF REQUEST: ( X ) INITIAL REQUEST ( ) MODIFICATION (PSC# \_\_\_\_\_)

TYPE OF SERVICE: Commercial Real Estate Consultants

FUNDING SOURCE: Operating Budget

PSC AMOUNT: \$9,500,000.00 PSC DURATION December 2, 2014 – December 1, 2023

1. DESCRIPTION OF WORK

A. Concise description of proposed work:

The Real Estate Consultants will provide specialized predevelopment investigative work to determine the feasibility of commercial retail space development within the Central Station Union Square-Market Street (UMS) Station site. This service would involve, but is not limited to the following: urban retail district market analysis/feasibility; business attraction and retention; site specific design concept plans; and, complementary underground cityscape design themes. The scope of work will focus on the UMS Concourse retail areas, Chinatown Station and Plaza, but will also include the other two new subway stations to be built, certain parking garages and other potential retail facilities owned by the San Francisco Municipal Transportation Agency (SFMTA). A final proposal for underground retail implementation will be developed and presented to the SFMTA.

B. Explain why this service is necessary and the consequences of denial:

The SFMTA is seeking to utilize its underground stations as resources, including its available real properties and commercial retail spaces, to higher intensity and more profitable uses. If these proposed professional planning, analysis and study services are denied, the SFMTA will be unable to determine the highest and best uses of its realty resources.

C. Explain how this service has been provided in the past (if this service was previously approved by the Civil Service Commission, indicate most recent personal services contract approval number):

The SFMTA has not obtained this type of specific service in the past for its underground facilities and real estate needs.

D. Will the contract(s) be renewed:  
No.

2. UNION NOTIFICATION: Copy of this summary is to be sent to employee organizations as appropriate (refer to instructions for specific procedures):

<u>IFPTE, Local 21</u> Union Name	<u><i>[Signature]</i></u> Signature of person mailing / faxing form	<u>10/2/14</u> Date
_____ Union Name	_____ Signature of person mailing / faxing form	_____ Date

RFP sent to \_\_\_\_\_, on \_\_\_\_\_, Signature \_\_\_\_\_  
Union Name Date

FOR DEPARTMENT OF HUMAN RESOURCES USE

PSC# 43303-14/15

*SFMTA approved  
10/2/14 cmh*

STAFF ANALYSIS/RECOMMENDATION:  
CIVIL SERVICE COMMISSION ACTION:

3. **DESCRIPTION OF REQUIRED SKILLS/EXPERTISE**

**A. Specify required skills and/or expertise:**

The consultant(s) must have five (5) years of documentable experience in the following: retail market analysis; retail/dining business attraction and retention; retail operations; tenant recruitment; urban revitalization, specifically as it relates to large-city downtowns and urban, including underground, retail environments; mixed use retail/office architectural experience, both in new construction and rehabilitation of existing facilities or structures, including, but not limited to parking garages; urban design expertise related to urban commercial/retail environments, plaza and outdoor space design; retail signage design, placement and regulatory framework; and, underground retail environment work experience.

**B. Which, if any, civil service class normally performs this work?**

Classifications 9151 Real Estate Development Manager, SFMTA, and 4140 Real Property Managers may be able to perform some of the functions, but neither class has the retail-related experiences required to perform the services the SFMTA is requiring.

**C. Will contractor provide facilities and/or equipment not currently possessed by the City? If yes, explain:**  
No.

4. **WHY CLASSIFIED CIVIL SERVICE CANNOT PERFORM**

**A. Explain why civil service classes are not applicable:**

The specific requirement for specialized areas of underground retail development expertise is not possessed by civil service classifications.

**B. Would it be practical to adopt a new civil service class to perform this work? Explain.**

No. This project requires a variety of specializations in various select areas of expertise that would apply only when that service is needed. Therefore, the work is intermittent and as-needed depending upon the developing project.

5. **ADDITIONAL INFORMATION** (if "yes," attach explanation)

Yes      No

- |   |     |       |
|---|-----|-------|
| A. Will the contractor directly supervise City and County employees?  | ( ) | ( X ) |
| B. Will the contractor train City and County employees?   | ( ) | ( X ) |
| - Describe training and indicate approximate number of hours.   |     |       |
| - Indicate occupational type of City and County employees to receive training (e.g., clerks, civil engineers, etc.) and approximate number to be trained. |     |       |
| C. Are there legal mandates requiring the use of contractual services?  | ( ) | ( X ) |
| D. Are there federal or state grant requirements regarding the use of contractual services?   | ( ) | ( X ) |
| E. Has a board or commission determined that contracting is the most effective way to provide this service?   | ( ) | ( X ) |
| F. Will the proposed work be completed by a contractor that has a current personal services contract with your department?                                | ( ) | ( X ) |

THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD:

*Parveen Boparai*  
 \_\_\_\_\_  
 Signature of Departmental Personal Services Contract Coordinator

*Parveen Boparai*  
 \_\_\_\_\_  
 Print or Type Name

415-701-5377  
 \_\_\_\_\_  
 Telephone Number

San Francisco Municipal Transportation Agency, Human Resources  
 \_\_\_\_\_

1 South Van Ness Avenue, 6<sup>th</sup> Floor, San Francisco, CA 94103  
 \_\_\_\_\_  
 Address

PERSONAL SERVICES CONTRACT SUMMARY ("PSC FORM 1")

Department: HUMAN RESOURCES – HRD Dept. Code: HRD

Type of Request:  Initial  Modification of an existing PSC (PSC # \_\_\_\_\_)

Type of Approval:  Expedited  Regular ( Omit Posting)

Type of Service: Workers' Compensation Pharmacy Benefit Management Network Services

Funding Source: General and Special Fund amounts PSC Duration: 4 years  
PSC Amount: \$4,000,000 PSC Est. Start Date: 01/01/2015 PSC Est. End Date: 12/31/2018

**1. Description of Work**

**A. Scope of Work:**

Vendor will provide a pharmacy benefit management program ("PBM") that can meet the following requirements: first fill program; pharmacy cards program; home delivery/mail order fulfillment program; generic substitution program; compound and repackaged drug bill review program; plan for inclusion of a workers' compensation-specific formulary with protocol for determination; pre-authorization process for prescriptions outside the standard formulary; eligibility/referrals protocol, including rules and workflow, e.g. how is eligibility determined, how are status changes handled, etc.; billing protocol, including rules, schedule, change requests and workflow, e.g. procedures if a claim is denied, etc.; proven outreach strategies and methods to support, maximize, and increase program awareness and penetration; a sufficiently large network that includes non-traditional pharmacy billers; effective strategies for managing third-party bills and program compliance, including clinical pharmacy services, with measurement and evaluation of outcomes; retrospective pharmacist and physician review services; and methods for identifying and addressing potential narcotic abuse.

**B. Explain why this service is necessary and the consequence of denial:**

California State Labor Code section 4600 requires all employers to cover the cost of all reasonable and necessary medical care, including prescription drugs, to employees who are ill or injured as a consequence of their employment. Currently, the City and County of San Francisco ("CCSF") does not have the benefit of a pharmacy network which results in higher costs for prescribed medications and obstacles for getting those prescriptions filled. Total pharmacy spend over the last two fiscal years has been \$3.3-\$3.7 million. Denial of the pharmacy benefit management network management services contract will deprive CCSF from available cost reductions and subjects ill or injured employees to delays and other obstacles...Please see attached document.

**C. Has this service been provided in the past. If so, how? If the service was provided via a PSC, provide the most recently approved PSC # and upload a copy of the PSC.**

The service has not been provided in the past. Payments are currently made to individual pharmacies without the benefit of a discounted rate. With a PBM company, they take over the direct payment to individual pharmacies and apply their contracted, discounted rates which are in turn billed to CCSF at lower cost and increased efficiency.

**D. Will the contract(s) be renewed? No...Please see attached document.**

**2. Union Notification:** On 10/09/2014, the Department notified the following employee organizations of this PSC/RFP request: Municipal Executive Association,

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**FOR DEPARTMENT OF HUMAN RESOURCES USE**

PSC# 42414 - 14/15

DHR Analysis/Recommendation:

Civil Service Commission Action:

Commission Approval Required

DHR Approved for 12/01/2014

**3. Description of Required Skills/Expertise**

A. Specify required skills and/or expertise:  
 URAC accreditation (formerly known as the Utilization Review Accreditation Commission) for Workers' Compensation and Property and Casualty Pharmacy Benefit management; experience in Workers' Compensation pharmacy benefit management services in the State of California; and ability to handle at least 15,000 prescription drug reviews per year.

B. Which, if any, civil service class(es) normally perform(s) this work?  
 0923,

C. Will contractor provide facilities and/or equipment not currently possessed by the City? If yes, explain:  
 No.

**4. Why Classified Civil Service Cannot Perform**

A. Explain why civil service classes are not applicable:

Civil service classes are not applicable because the City is not accredited to perform Workers' Compensation pharmacy benefit management. Pharmacy benefit management services are an outcome of a vendor's contracted arrangements and formularies with pharmacy providers.

B. Would it be practical to adopt a new civil service class to perform this work? Explain.

No. Pharmacy benefit management vendors maintain networks of nationwide pharmacies and can negotiate low rates. The City does not have the budgetary resources to create a nationwide network or maintain the benefit software.

**5. Additional Information (if "yes", attach explanation)**

	<u>YES</u>	<u>NO</u>
A. Will the contractor directly supervise City and County employee?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
B. Will the contractor train City and County employee? Yes, the contractor will provide...Please see attached.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
C. Are there legal mandates requiring the use of contractual services?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
D. Are there federal or state grant requirements regarding the use of contractual services?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
E. Has a board or commission determined that contracting is the most effective way to provide this service?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
F. Will the proposed work be completed by a contractor that has a current PSC contract with your department?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD ON 11/10/2014 BY:

Name: Brent Lewis Phone: 557-4944 Email: brent.lewis@sfgov.org

Address: 1 South Van Ness Avenue, 4th Floor San Francisco, CA 94103

# **Receipt of Union Notification(s)**

**Choi, Suzanne (HRD)**

---

**From:** dhr-psccordinator@sfgov.org on behalf of brent.lewis@sfgov.org  
**Sent:** Thursday, October 09, 2014 5:08 PM  
**To:** Lewis, Brent (HRD); camaguey@sfmea.com; staff@sfmea.com; Brusaca, Christina; Isen, Richard (TIS); DHR-PSCCoordinator, DHR (HRD)  
**Subject:** Receipt of Notice for new PCS over \$100K PSC # 42414 - 14/15

RECEIPT for Union Notification for PSC 42414 - 14/15 more than \$100k

The HUMAN RESOURCES -- HRD has submitted a request for a Personal Services Contract (PSC) 42414 - 14/15 for \$4,000,000 for Initial Request services for the period 01/01/2015 – 12/31/2019. Notification of 30 days (60 days for SEIU) is required.

After logging into the system please select link below, view the information and verify receipt:

<http://apps.sfgov.org/dhrdrupal/node/4063> For union notification, please see the TO: field of the email to verify receipt. If you do not see all the unions you intended to contact, the PSC Coordinator must change the state back to NOT READY, make sure the classes and unions you want to notify are selected and SAVE. Then VIEW the record and verify the list of unions and emails. EDIT the document again , change the state back START UNION NOTIFICATION and SAVE. You should receive the email with all unions to the TO: field as intended

# **Additional Attachment(s)**

**PSC#42414-14/15**  
**Additional Documentation**

**1B. Explain why this service is necessary and the consequences of denial:**

California State Labor Code section 4600 requires all employers to cover the cost of all reasonable and necessary medical care, including prescription drugs, to employees who are ill or injured as a consequence of their employment. Currently, CCSF does not have the benefit of a pharmacy network which results in higher costs for prescribed medications and obstacles for getting those prescriptions filled. Total pharmacy spend over the last two fiscal years has been \$3.3-\$3.7 million. Denial of the pharmacy benefit management network management services contract will deprive CCSF from available cost reductions and subjects ill or injured employees to delays and other obstacles in obtaining necessary prescription medications. It will also prevent CCSF Workers' Compensation Division from fully addressing potential narcotic abuse and dependence among this population.

**1D. Will the contract(s) be renewed:**

No, DHR will issue a Request For Proposals (RFP) with a contract maximum term of four years.

**5B. Will the contractor train City and County employees?**

Yes, the contractor will provide a minimum of five hours of training per calendar year to Workers' Compensation staff regarding how to interface with Contractor's software, pharmacy benefit management legal requirements, and other programmatic updates/changes. The job classes include: Class 8141, Workers' Compensation Adjuster; 8165, Workers' Compensation Supervisor I; 1209, Benefits Technician; 1404, Clerk; 1424, Clerk Typist; 1654, Accountant III; 1840, Junior Management Assistant; 1842, Management Assistant; 0922, Manager I; 0923, Manager II; 0931, Manager III; 0953, Workers' Compensation Director.



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4600. (a) Medical, surgical, chiropractic, acupuncture, and hospital treatment, including nursing, medicines, medical and surgical supplies, crutches, and apparatuses, including orthotic and prosthetic devices and services, that is reasonably required to cure or relieve the injured worker from the effects of his or her injury shall be provided by the employer. In the case of his or her neglect or refusal reasonably to do so, the employer is liable for the reasonable expense incurred by or on behalf of the employee in providing treatment.

(b) As used in this division and notwithstanding any other law, medical treatment that is reasonably required to cure or relieve the injured worker from the effects of his or her injury means treatment that is based upon the guidelines adopted by the administrative director pursuant to Section 5307.27.

(c) Unless the employer or the employer's insurer has established or contracted with a medical provider network as provided for in Section 4616, after 30 days from the date the injury is reported, the employee may be treated by a physician of his or her own choice or at a facility of his or her own choice within a reasonable geographic area. A chiropractor shall not be a treating physician after the employee has received the maximum number of chiropractic visits allowed by subdivision (c) of Section 4604.5.

(d) (1) If an employee has notified his or her employer in writing prior to the date of injury that he or she has a personal physician, the employee shall have the right to be treated by that physician from the date of injury if the employee has health care coverage for nonoccupational injuries or illnesses on the date of injury in a plan, policy, or fund as described in subdivisions (b), (c), and (d) of Section 4616.7.

(2) For purposes of paragraph (1), a personal physician shall meet all of the following conditions:

(A) Be the employee's regular physician and surgeon, licensed pursuant to Chapter 5 (commencing with Section 2000) of Division 2 of the Business and Professions Code.

(B) Be the employee's primary care physician and has previously directed the medical treatment of the employee, and who retains the employee's medical records, including his or her medical history. "Personal physician" includes a medical group, if the medical group is a single corporation or partnership composed of licensed doctors of medicine or osteopathy, which operates an integrated multispecialty medical group providing comprehensive medical services predominantly for nonoccupational illnesses and injuries.

(C) The physician agrees to be predesignated.

(3) If the employee has health care coverage for nonoccupational injuries or illnesses on the date of injury in a health care service plan licensed pursuant to Chapter 2.2 (commencing with Section 1340) of Division 2 of the Health and Safety Code, and the employer is notified pursuant to paragraph (1), all medical treatment, utilization review of medical treatment, access to medical treatment, and other medical treatment issues shall be governed by Chapter 2.2 (commencing with Section 1340) of Division 2 of the Health and Safety Code. Disputes regarding the provision of medical treatment shall be resolved pursuant to Article 5.55 (commencing with Section 1374.30) of Chapter 2.2 of Division 2 of the Health and Safety Code.

(4) If the employee has health care coverage for nonoccupational injuries or illnesses on the date of injury in a group health

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insurance policy as described in Section 4616.7, all medical treatment, utilization review of medical treatment, access to medical treatment, and other medical treatment issues shall be governed by the applicable provisions of the Insurance Code.

(5) The insurer may require prior authorization of any nonemergency treatment or diagnostic service and may conduct reasonably necessary utilization review pursuant to Section 4610.

(6) An employee shall be entitled to all medically appropriate referrals by the personal physician to other physicians or medical providers within the nonoccupational health care plan. An employee shall be entitled to treatment by physicians or other medical providers outside of the nonoccupational health care plan pursuant to standards established in Article 5 (commencing with Section 1367) of Chapter 2.2 of Division 2 of the Health and Safety Code.

(e) (1) When at the request of the employer, the employer's insurer, the administrative director, the appeals board, or a workers' compensation administrative law judge, the employee submits to examination by a physician, he or she shall be entitled to receive, in addition to all other benefits herein provided, all reasonable expenses of transportation, meals, and lodging incident to reporting for the examination, together with one day of temporary disability indemnity for each day of wages lost in submitting to the examination.

(2) Regardless of the date of injury, "reasonable expenses of transportation" includes mileage fees from the employee's home to the place of the examination and back at the rate of twenty-one cents (\$.21) a mile or the mileage rate adopted by the Director of Human Resources pursuant to Section 19820 of the Government Code, whichever is higher, plus any bridge tolls. The mileage and tolls shall be paid to the employee at the time he or she is given notification of the time and place of the examination.

(f) When at the request of the employer, the employer's insurer, the administrative director, the appeals board, or a workers' compensation administrative law judge, an employee submits to examination by a physician and the employee does not proficiently speak or understand the English language, he or she shall be entitled to the services of a qualified interpreter in accordance with conditions and a fee schedule prescribed by the administrative director. These services shall be provided by the employer. For purposes of this section, "qualified interpreter" means a language interpreter certified, or deemed certified, pursuant to Article 8 (commencing with Section 11435.05) of Chapter 4.5 of Part 1 of Division 3 of Title 2 of, or Section 68566 of, the Government Code.

(g) If the injured employee cannot effectively communicate with his or her treating physician because he or she cannot proficiently speak or understand the English language, the injured employee is entitled to the services of a qualified interpreter during medical treatment appointments. To be a qualified interpreter for purposes of medical treatment appointments, an interpreter is not required to meet the requirements of subdivision (f), but commencing March 1, 2014, shall meet any requirements established by rule by the administrative director that are substantially similar to the requirements set forth in Section 1367.04 of the Health and Safety Code, notwithstanding any other effective date established in regulations. The administrative director shall adopt a fee schedule for qualified interpreter fees in accordance with this section. Upon request of the injured employee, the employer or insurance carrier

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shall pay for interpreter services. An employer shall not be required to pay for the services of an interpreter who is not certified or is provisionally certified by the person conducting the medical treatment or examination unless either the employer consents in advance to the selection of the individual who provides the interpreting service or the injured worker requires interpreting service in a language other than the languages designated pursuant to Section 11435.40 of the Government Code.

(h) Home health care services shall be provided as medical treatment only if reasonably required to cure or relieve the injured employee from the effects of his or her injury and prescribed by a physician and surgeon licensed pursuant to Chapter 5 (commencing with Section 2000) of Division 2 of the Business and Professions Code, and subject to Section 5307.1 or 5703.8. The employer shall not be liable for home health care services that are provided more than 14 days prior to the date of the employer's receipt of the physician's prescription.

4600.1. (a) Subject to subdivision (b), any person or entity that dispenses medicines and medical supplies, as required by Section 4600, shall dispense the generic drug equivalent.

(b) A person or entity shall not be required to dispense a generic drug equivalent under either of the following circumstances:

(1) When a generic drug equivalent is unavailable.

(2) When the prescribing physician specifically provides in writing that a nongeneric drug must be dispensed.

(c) For purposes of this section, "dispense" has the same meaning as the definition contained in Section 4024 of the Business and Professions Code.

(d) Nothing in this section shall be construed to preclude a prescribing physician, who is also the dispensing physician, from dispensing a generic drug equivalent.

4600.2. (a) Notwithstanding Section 4600, when a self-insured employer, group of self-insured employers, insurer of an employer, or group of insurers contracts with a pharmacy, group of pharmacies, or pharmacy benefit network to provide medicines and medical supplies required by this article to be provided to injured employees, those injured employees that are subject to the contract shall be provided medicines and medical supplies in the manner prescribed in the contract for as long as medicines or medical supplies are reasonably required to cure or relieve the injured employee from the effects of the injury.

(b) Nothing in this section shall affect the ability of employee-selected physicians to continue to prescribe and have the employer provide medicines and medical supplies that the physicians deem reasonably required to cure or relieve the injured employee from the effects of the injury.

(c) Each contract described in subdivision (a) shall comply with standards adopted by the administrative director. In adopting those standards, the administrative director shall seek to reduce pharmaceutical costs and may consult any relevant studies or practices in other states. The standards shall provide for access to a pharmacy within a reasonable geographic distance from an injured

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employee's residence.

4603.2. (a) (1) Upon selecting a physician pursuant to Section 4600, the employee or physician shall notify the employer of the name and address, including the name of the medical group, if applicable, of the physician. The physician shall submit a report to the employer within five working days from the date of the initial examination, as required by Section 6409, and shall submit periodic reports at intervals that may be prescribed by rules and regulations adopted by the administrative director.

(2) If the employer objects to the employee's selection of the physician on the grounds that the physician is not within the medical provider network used by the employer, and there is a final determination that the employee was entitled to select the physician pursuant to Section 4600, the employee shall be entitled to continue treatment with that physician at the employer's expense in accordance with this division, notwithstanding Section 4616.2. The employer shall be required to pay from the date of the initial examination if the physician's report was submitted within five working days of the initial examination. If the physician's report was submitted more than five working days after the initial examination, the employer and the employee shall not be required to pay for any services prior to the date the physician's report was submitted.

(3) If the employer objects to the employee's selection of the physician on the grounds that the physician is not within the medical provider network used by the employer, and there is a final determination that the employee was not entitled to select a physician outside of the medical provider network, the employer shall have no liability for treatment provided by or at the direction of that physician or for any consequences of the treatment obtained outside the network.

(b) (1) Any provider of services provided pursuant to Section 4600, including, but not limited to, physicians, hospitals, pharmacies, interpreters, copy services, transportation services, and home health care services, shall submit its request for payment with an itemization of services provided and the charge for each service, a copy of all reports showing the services performed, the prescription or referral from the primary treating physician if the services were performed by a person other than the primary treating physician, and any evidence of authorization for the services that may have been received. Nothing in this section shall prohibit an employer, insurer, or third-party claims administrator from establishing, through written agreement, an alternative manual or electronic request for payment with providers for services provided pursuant to Section 4600.

(A) Notwithstanding the requirements of this paragraph, a copy of the prescription shall not be required with a request for payment for pharmacy services, unless the provider of services has entered into a written agreement, as provided in this paragraph, that requires a copy of a prescription for a pharmacy service.

(B) Notwithstanding timely billing and payment rules established by the Division of Workers' Compensation, any entity submitting a pharmacy bill for payment, on or after January 1, 2013, and denied payment for not including a copy of the prescription from the treating physician, may resubmit those bills for payment until March 31, 2014.

(C) Nothing in this section shall preclude an employer, insurer,

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pharmacy benefits manager, or third-party claims administrator from requesting a copy of the prescription during a review of any records of prescription drugs that were dispensed by a pharmacy.

(2) Except as provided in subdivision (d) of Section 4603.4, or under contracts authorized under Section 5307.11, payment for medical treatment provided or prescribed by the treating physician selected by the employee or designated by the employer shall be made at reasonable maximum amounts in the official medical fee schedule, pursuant to Section 5307.1, in effect on the date of service. Payments shall be made by the employer with an explanation of review pursuant to Section 4603.3 within 45 days after receipt of each separate, itemization of medical services provided, together with any required reports and any written authorization for services that may have been received by the physician. If the itemization or a portion thereof is contested, denied, or considered incomplete, the physician shall be notified, in the explanation of review, that the itemization is contested, denied, or considered incomplete, within 30 days after receipt of the itemization by the employer. An explanation of review that states an itemization is incomplete shall also state all additional information required to make a decision. Any properly documented list of services provided and not paid at the rates then in effect under Section 5307.1 within the 45-day period shall be paid at the rates then in effect and increased by 15 percent, together with interest at the same rate as judgments in civil actions retroactive to the date of receipt of the itemization, unless the employer does both of the following:

(A) Pays the provider at the rates in effect within the 45-day period.

(B) Advises, in an explanation of review pursuant to Section 4603.3, the physician, or another provider of the items being contested, the reasons for contesting these items, and the remedies available to the physician or the other provider if he or she disagrees. In the case of an itemization that includes services provided by a hospital, outpatient surgery center, or independent diagnostic facility, advice that a request has been made for an audit of the itemization shall satisfy the requirements of this paragraph.

An employer's liability to a physician or another provider under this section for delayed payments shall not affect its liability to an employee under Section 5814 or any other provision of this division.

(3) Notwithstanding paragraph (1), if the employer is a governmental entity, payment for medical treatment provided or prescribed by the treating physician selected by the employee or designated by the employer shall be made within 60 days after receipt of each separate itemization, together with any required reports and any written authorization for services that may have been received by the physician.

(4) Duplicate submissions of medical services itemizations, for which an explanation of review was previously provided, shall require no further or additional notification or objection by the employer to the medical provider and shall not subject the employer to any additional penalties or interest pursuant to this section for failing to respond to the duplicate submission. This paragraph shall apply only to duplicate submissions and does not apply to any other penalties or interest that may be applicable to the original submission.

(c) Any interest or increase in compensation paid by an insurer

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pursuant to this section shall be treated in the same manner as an increase in compensation under subdivision (d) of Section 4650 for the purposes of any classification of risks and premium rates, and any system of merit rating approved or issued pursuant to Article 2 (commencing with Section 11730) of Chapter 3 of Part 3 of Division 2 of the Insurance Code.

(d) (1) Whenever an employer or insurer employs an individual or contracts with an entity to conduct a review of an itemization submitted by a physician or medical provider, the employer or insurer shall make available to that individual or entity all documentation submitted together with that itemization by the physician or medical provider. When an individual or entity conducting an itemization review determines that additional information or documentation is necessary to review the itemization, the individual or entity shall contact the claims administrator or insurer to obtain the necessary information or documentation that was submitted by the physician or medical provider pursuant to subdivision (b).

(2) An individual or entity reviewing an itemization of service submitted by a physician or medical provider shall not alter the procedure codes listed or recommend reduction of the amount of the payment unless the documentation submitted by the physician or medical provider with the itemization of service has been reviewed by that individual or entity. If the reviewer does not recommend payment for services as itemized by the physician or medical provider, the explanation of review shall provide the physician or medical provider with a specific explanation as to why the reviewer altered the procedure code or changed other parts of the itemization and the specific deficiency in the itemization or documentation that caused the reviewer to conclude that the altered procedure code or amount recommended for payment more accurately represents the service performed.

(e) (1) If the provider disputes the amount paid, the provider may request a second review within 90 days of service of the explanation of review or an order of the appeals board resolving the threshold issue as stated in the explanation of review pursuant to paragraph (5) of subdivision (a) of Section 4603.3. The request for a second review shall be submitted to the employer on a form prescribed by the administrative director and shall include all of the following:

(A) The date of the explanation of review and the claim number or other unique identifying number provided on the explanation of review.

(B) The item and amount in dispute.

(C) The additional payment requested and the reason therefor.

(D) The additional information provided in response to a request in the first explanation of review or any other additional information provided in support of the additional payment requested.

(2) If the only dispute is the amount of payment and the provider does not request a second review within 90 days, the bill shall be deemed satisfied and neither the employer nor the employee shall be liable for any further payment.

(3) Within 14 days of a request for second review, the employer shall respond with a final written determination on each of the items or amounts in dispute. Payment of any balance not in dispute shall be made within 21 days of receipt of the request for second review. This time limit may be extended by mutual written agreement.

(4) If the provider contests the amount paid, after receipt of the second review, the provider shall request an independent bill review

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as provided for in Section 4603.6.

(f) Except as provided in paragraph (4) of subdivision (e), the appeals board shall have jurisdiction over disputes arising out of this subdivision pursuant to Section 5304.

4616. (a) (1) On or after January 1, 2005, an insurer, employer, or entity that provides physician network services may establish or modify a medical provider network for the provision of medical treatment to injured employees. The network shall include physicians primarily engaged in the treatment of occupational injuries. The administrative director shall encourage the integration of occupational and nonoccupational providers. The number of physicians in the medical provider network shall be sufficient to enable treatment for injuries or conditions to be provided in a timely manner. The provider network shall include an adequate number and type of physicians, as described in Section 3209.3, or other providers, as described in Section 3209.5, to treat common injuries experienced by injured employees based on the type of occupation or industry in which the employee is engaged, and the geographic area where the employees are employed.

(2) Medical treatment for injuries shall be readily available at reasonable times to all employees. To the extent feasible, all medical treatment for injuries shall be readily accessible to all employees. With respect to availability and accessibility of treatment, the administrative director shall consider the needs of rural areas, specifically those in which health facilities are located at least 30 miles apart and areas in which there is a health care shortage.

(3) Commencing January 1, 2014, a treating physician shall be included in the network only if, at the time of entering into or renewing an agreement by which the physician would be in the network, the physician, or an authorized employee of the physician or the physician's office, provides a separate written acknowledgment in which the physician affirmatively elects to be a member of the network. Copies of the written acknowledgment shall be provided to the administrative director upon the administrative director's request. This paragraph shall not apply to a physician who is a shareholder, partner, or employee of a medical group that elects to be part of the network.

(4) Commencing January 1, 2014, every medical provider network shall post on its Internet Web site a roster of all treating physicians in the medical provider network and shall update the roster at least quarterly. Every network shall provide to the administrative director the Internet Web site address of the network and of its roster of treating physicians. The administrative director shall post, on the division's Internet Web site, the Internet Web site address of every approved medical provider network.

(5) Commencing January 1, 2014, every medical provider network shall provide one or more persons within the United States to serve as medical access assistants to help an injured employee find an available physician of the employee's choice, and subsequent physicians if necessary, under Section 4616.3. Medical access assistants shall have a toll-free telephone number that injured employees may use and shall be available at least from 7 a.m. to 8 p.m. Pacific Standard Time, Monday through Saturday, inclusive, to respond to injured employees, contact physicians' offices during regular business hours, and schedule appointments. The administrative

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director shall promulgate regulations on or before July 1, 2013, governing the provision of medical access assistants.

(b) (1) An insurer, employer, or entity that provides physician network services shall submit a plan for the medical provider network to the administrative director for approval. The administrative director shall approve the plan for a period of four years if he or she determines that the plan meets the requirements of this section. If the administrative director does not act on the plan within 60 days of submitting the plan, it shall be deemed approved. Commencing January 1, 2014, existing approved plans shall be deemed approved for a period of four years from the most recent application or modification approval date. Plans for reapproval for medical provider networks shall be submitted at least six months before the expiration of the four-year approval period. Upon a showing that the medical provider network was approved or deemed approved by the administrative director, there shall be a conclusive presumption on the part of the appeals board that the medical provider network was validly formed.

(2) Every medical provider network shall establish and follow procedures to continuously review the quality of care, performance of medical personnel, utilization of services and facilities, and costs.

(3) Every medical provider network shall submit geocoding of its network for reapproval to establish that the number and geographic location of physicians in the network meets the required access standards.

(4) The administrative director shall at any time have the discretion to investigate complaints and to conduct random reviews of approved medical provider networks.

(5) Approval of a plan may be denied, revoked, or suspended if the medical provider network fails to meet the requirements of this article. Any person contending that a medical provider network is not validly constituted may petition the administrative director to suspend or revoke the approval of the medical provider network. The administrative director may adopt regulations establishing a schedule of administrative penalties not to exceed five thousand dollars (\$5,000) per violation, or probation, or both, in lieu of revocation or suspension for less severe violations of the requirements of this article. Penalties, probation, suspension, or revocation shall be ordered by the administrative director only after notice and opportunity to be heard. Unless suspended or revoked by the administrative director, the administrative director's approval of a medical provider network shall be binding on all persons and all courts. A determination of the administrative director may be reviewed only by an appeal of the determination of the administrative director filed as an original proceeding before the reconsideration unit of the workers' compensation appeals board on the same grounds and within the same time limits after issuance of the determination as would be applicable to a petition for reconsideration of a decision of a workers' compensation administrative law judge.

(c) Physician compensation may not be structured in order to achieve the goal of reducing, delaying, or denying medical treatment or restricting access to medical treatment.

(d) If the employer or insurer meets the requirements of this section, the administrative director may not withhold approval or disapprove an employer's or insurer's medical provider network based solely on the selection of providers. In developing a medical



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provider network, an employer or insurer shall have the exclusive right to determine the members of their network.

(e) All treatment provided shall be provided in accordance with the medical treatment utilization schedule established pursuant to Section 5307.27.

(f) No person other than a licensed physician who is competent to evaluate the specific clinical issues involved in the medical treatment services, when these services are within the scope of the physician's practice, may modify, delay, or deny requests for authorization of medical treatment.

(g) Commencing January 1, 2013, every contracting agent that sells, leases, assigns, transfers, or conveys its medical provider networks and their contracted reimbursement rates to an insurer, employer, entity that provides physician network services, or another contracting agent shall, upon entering or renewing a provider contract, disclose to the provider whether the medical provider network may be sold, leased, transferred, or conveyed to other insurers, employers, entities that provide physician network services, or another contracting agent, and specify whether those insurers, employers, entities that provide physician network services, or contracting agents include workers' compensation insurers.

(h) On or before November 1, 2004, the administrative director, in consultation with the Department of Managed Health Care, shall adopt regulations implementing this article. The administrative director shall develop regulations that establish procedures for purposes of making medical provider network modifications.

4616.1. (a) An insurer, employer, or entity that provides physician network services that offers a medical provider network under this division and that uses economic profiling shall file with the administrative director a description of any policies and procedures related to economic profiling utilized. The filing shall describe how these policies and procedures are used in utilization review, peer review, incentive and penalty programs, and in provider retention and termination decisions. The insurer, employer, or entity that provides physician network services shall provide a copy of the filing to an individual physician, provider, medical group, or individual practice association.

(b) The administrative director shall make each approved medical provider network economic profiling policy filing available to the public upon request. The administrative director may not publicly disclose any information submitted pursuant to this section that is determined by the administrative director to be confidential pursuant to state or federal law.

(c) For the purposes of this article, "economic profiling" shall mean any evaluation of a particular physician, provider, medical group, or individual practice association based in whole or in part on the economic costs or utilization of services associated with medical care provided or authorized by the physician, provider, medical group, or individual practice association.

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4616.2. (a) An insurer, employer, or entity that provides physician network services that arranges for care for injured employees through a medical provider network shall file a written continuity of care policy with the administrative director.

(b) If approved by the administrative director, the provisions of the written continuity of care policy shall replace all prior continuity of care policies. The insurer, employer, or entity that provides physician network services shall file a revision of the continuity of care policy with the administrative director if it makes a material change to the policy.

(c) The insurer, employer, or entity that provides physician network services shall provide to all employees entering the workers' compensation system notice of its written continuity of care policy and information regarding the process for an employee to request a review under the policy and shall provide, upon request, a copy of the written policy to an employee.

(d) (1) An insurer, employer, or entity that provides physician network services that offers a medical provider network shall, at the request of an injured employee, provide the completion of treatment as set forth in this section by a terminated provider.

(2) The completion of treatment shall be provided by a terminated provider to an injured employee who, at the time of the contract's termination, was receiving services from that provider for one of the conditions described in paragraph (3).

(3) The insurer, employer, or entity that provides physician network services shall provide for the completion of treatment for the following conditions subject to coverage through the workers' compensation system:

(A) An acute condition. An acute condition is a medical condition that involves a sudden onset of symptoms due to an illness, injury, or other medical problem that requires prompt medical attention and that has a limited duration. Completion of treatment shall be provided for the duration of the acute condition.

(B) A serious chronic condition. A serious chronic condition is a medical condition due to a disease, illness, or other medical problem or medical disorder that is serious in nature and that persists without full cure or worsens over an extended period of time or requires ongoing treatment to maintain remission or prevent deterioration. Completion of treatment shall be provided for a period of time necessary to complete a course of treatment and to arrange for a safe transfer to another provider, as determined by the insurer, employer, or entity that provides physician network services, in consultation with the injured employee and the terminated provider and consistent with good professional practice. Completion of treatment under this paragraph shall not exceed 12 months from the contract termination date.

(C) A terminal illness. A terminal illness is an incurable or irreversible condition that has a high probability of causing death within one year or less. Completion of treatment shall be provided for the duration of a terminal illness.

(D) Performance of a surgery or other procedure that is authorized by the insurer, employer, or entity that provides physician network services as part of a documented course of treatment and has been recommended and documented by the provider to occur within 180 days of the contract's termination date.

(4) (A) The insurer, employer, or entity that provides physician network services may require the terminated provider whose services

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are continued beyond the contract termination date pursuant to this section to agree in writing to be subject to the same contractual terms and conditions that were imposed upon the provider prior to termination. If the terminated provider does not agree to comply or does not comply with these contractual terms and conditions, the insurer, employer, or entity that provides physician network services is not required to continue the provider's services beyond the contract termination date.

(B) Unless otherwise agreed by the terminated provider and the insurer, employer, or entity that provides physician network services, the services rendered pursuant to this section shall be compensated at rates and methods of payment similar to those used by the insurer, employer, or entity that provides physician network services for currently contracting providers providing similar services who are practicing in the same or a similar geographic area as the terminated provider. The insurer, employer, or entity that provides physician network services is not required to continue the services of a terminated provider if the provider does not accept the payment rates provided for in this paragraph.

(5) An insurer or employer shall ensure that the requirements of this section are met.

(6) This section shall not require an insurer, employer, or entity that provides physician network services to provide for completion of treatment by a provider whose contract with the insurer, employer, or entity that provides physician network services has been terminated or not renewed for reasons relating to a medical disciplinary cause or reason, as defined in paragraph (6) of subdivision (a) of Section 805 of the Business and Profession Code, or fraud or other criminal activity.

(7) Nothing in this section shall preclude an insurer, employer, or entity that provides physician network services from providing continuity of care beyond the requirements of this section.

(e) The insurer, employer, or entity that provides physician network services may require the terminated provider whose services are continued beyond the contract termination date pursuant to this section to agree in writing to be subject to the same contractual terms and conditions that were imposed upon the provider prior to termination. If the terminated provider does not agree to comply or does not comply with these contractual terms and conditions, the insurer, employer, or entity that provides physician network services is not required to continue the provider's services beyond the contract termination date.

**Modification**  
**Personal Services Contracts**

PERSONAL SERVICES CONTRACT SUMMARY ("PSC FORM 1")

Department: AIRPORT COMMISSION Dept. Code: AIR

Type of Request: [ ] Initial [x] Modification of an existing PSC (PSC # 4098-11/12)

Type of Approval: [ ] Expedited [x] Regular ([ ] Omit Posting)

Type of Service: Design Build Services for the Replacement Airport Traffic Control Tower (ATCT)

Funding Source: Airport Capital & Federal Funds
PSC Original Approved Amount: \$90,000,000 PSC Original Approved Duration: 03/01/12 - 03/01/15 (3 years)
PSC Mod#1 Amount: \$35,000,000 PSC Mod#1 Duration: 03/02/15-12/31/15 (43 weeks 4 days)
PSC Mod#2 Amount: \$60,000,000 PSC Mod#2 Duration: 01/01/16-12/31/18 (3 years 1 day)
PSC Cumulative Amount Proposed: \$185,000,000 PSC Cumulative Duration Proposed: 6 years 43 weeks

1. Description of Work

A. Scope of Work:

The cost exceeds the forecast primarily by updated Federal Aviation Administration (FAA) requirements that increased the mechanical, electrical, and special systems infrastructure costs, and by recent upward pricing pressure reflective of the upturn in the economy. The structural design was also upgraded which almost doubled the structural construction costs. In addition, that Airport is enhancing some design elements originally in the scope of the project that were going to be part of the Terminal 1 program. See attached document(s).

B. Explain why this service is necessary and the consequence of denial:

The ATCT and Integrated Facilities is a complex and time sensitive program to meet the operational and safety requirements of the Airport. The FAA's extraordinary requirements for continuous operation during a seismic event, blast protection strengthening, lighting protection, and other special equipment specifications require specialty qualifications and oversight. Denial will cause project delays, and increase the probability of operations and safety impacts.

C. Has this service been provided in the past. If so, how? If the service was provided via a PSC, provide the most recently approved PSC # and upload a copy of the PSC. Yes, PSC 4098-11/12

D. Will the contract(s) be renewed? It is possible if services are needed in the future.

2. Union Notification: On 10/28/14, the Department notified the following employee organizations of this PSC/RFP request: Professional & Tech Engrs, Local 21;

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FOR DEPARTMENT OF HUMAN RESOURCES USE

PSC# 4098-11/12

DHR Analysis/Recommendation:

Civil Service Commission Action:

Commission Approval Required

DHR Approved for 12/01/2014

**3. Description of Required Skills/Expertise**

A. Specify required skills and/or expertise:

Project architectural, engineering and construction management skills with specific expertise in large airport projects and FAA compliant ATCTs including special knowledge and skills required to construct and commission an Airport Control Tower and all of its operating systems.

B. Which, if any, civil service class(es) normally perform(s) this work?

5201,5203,5207,5209,5211,5212,5214,5215,5268,5216,5218,5219,5241,

C. Will contractor provide facilities and/or equipment not currently possessed by the City? If yes, explain:

Yes, procurement of proprietary equipment for FAA.

**4. Why Classified Civil Service Cannot Perform**

A. Explain why civil service classes are not applicable:

The existing architectural and engineering classifications do not have the required expertise and specialized skills related to large airport and ATCTs including construction. The Airport will use experienced Airport project and construction management staff integrated with the consultant staff to provide the required services. The Airport estimates that up to 10% of the administrative work on the various projects will be performed by current Airport staff such as IT support and project management.

B. Would it be practical to adopt a new civil service class to perform this work? Explain.

As stated above, classifications exist but not with specialized knowledge of airport requirements; major new construction or remodeling terminal airport projects do not occur frequently enough to justify permanent staffing, with the exception of project management staff. SFO has one ATCT.

**5. Additional Information (if "yes", attach explanation)**

	<u>YES</u>	<u>NO</u>
A. Will the contractor directly supervise City and County employee?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
B. Will the contractor train City and County employee?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
C. Are there legal mandates requiring the use of contractual services?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
D. Are there federal or state grant requirements regarding the use of contractual services?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
E. Has a board or commission determined that contracting is the most effective way to provide this service?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
F. Will the proposed work be completed by a contractor that has a current PSC contract with your department? Unknown at this time.	<input checked="" type="checkbox"/>	<input type="checkbox"/>

THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD

ON 10/28/14 BY:

Name: Cynthia Avakian Phone: 650-821-2014 Email: cynthia.avakian@flysfso.com

Address: Airport Commission, Contracts Administration San Francisco, CA 94128

# **Receipt of Union Notification(s)**

## Cynthia Avakian (AIR)

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**From:** dhr-psccordinator@sfgov.org on behalf of cynthia.avakian@flysfso.com  
**Sent:** Tuesday, October 28, 2014 3:31 PM  
**To:** Cynthia Avakian (AIR); L21PSCReview@ifpte21.org; Cynthia Avakian (AIR); DHR-PSCCoordinator, DHR (HRD); Isen, Richard (TIS)  
**Subject:** Receipt of Modification Request to PSC # 4098-11/12 - MODIFICATIONS

PSC RECEIPT of Modification notification sent to Unions and DHR

The AIRPORT COMMISSION – AIR has submitted a modification request for a Personal Services Contract (PSC) for \$60,000,000 for services for the period January 1, 2016 – December 31, 2018. For all Modification requests, there is a 7-Day noticed to the union(s) prior to DHR Review.

After logging into the system please select link below:

<http://apps.sfgov.org/dhrdrupal/node/1067>

Email sent to the following addresses: [L21PSCReview@ifpte21.org](mailto:L21PSCReview@ifpte21.org)



# **Additional Attachment(s)**

Because of the complexity of this project, the work is expected to take greater than 5 years to complete.

## **PSC 4098-11/12 Mod 2**

### **1. Description of Work**

#### **A. Scope of Work:**

The cost exceeds the forecast primarily by updated Federal Aviation Administration (FAA) requirements that increased the mechanical, electrical, and special systems infrastructure costs, and by recent upward pricing pressure reflective of the upturn in the economy. The structural design was also upgraded which almost doubled the structural construction costs. In addition, that Airport is enhancing some design elements originally in the scope of the project that were going to be part of the Terminal 1 program. See attached document(s). Please see the Original PSC 4098-11/12.

PERSONAL SERVICES CONTRACT SUMMARY ("PSC FORM 1")

Department: AIRPORT COMMISSION Dept. Code: AIR

Type of Request: [ ] Initial [X] Modification of an existing PSC (PSC # 4098-11/12)

Type of Approval: [X] Expedited [ ] Regular ( [ ] Omit Posting)

Type of Service: Design Build Services for the Replacement Airport Traffic Control Tower (ATCT)

Funding Source: Airport Capital & Federal Funds
PSC Original Approved Amount: \$90,000,000 PSC Original Approved Duration: 03/01/12 - 03/01/15 (3 years)
PSC Mod#1 Amount: \$35,000,000 PSC Mod#1 Duration: 03/02/15-12/31/15 (43 weeks 4 days)
PSC Mod#2 Amount: PSC Mod#2 Duration:
PSC Cumulative Amount Proposed: \$125,000,000 PSC Cumulative Duration Proposed: 3 years 43 weeks

1. Description of Work

A. Scope of Work:

The cost exceeds the forecast primarily by updated Federal Aviation Administration (FAA) requirements that increased the mechanical, electrical, and special systems infrastructure costs, and by recent upward pricing pressure reflective of the upturn in the economy. The structural design was also upgraded which almost doubled the structural construction costs. In addition, that Airport is enhancing some design elements originally in the scope of the project that were going to be part of the Terminal 1 program. See attached document(s).

B. Explain why this service is necessary and the consequence of denial:

The ATCT and Integrated Facilities is a complex and time sensitive program to meet the operational and safety requirements of the Airport. The FAA's extraordinary requirements for continuous operation during a seismic event, blast protection strengthening, lighting protection, and other special equipment specifications require specialty qualifications and oversight. Denial will cause project delays, and increase the probability of operations and safety impacts.

C. Has this service been provided in the past. If so, how? If the service was provided via a PSC, provide the most recently approved PSC # and upload a copy of the PSC.

No

D. Will the contract(s) be renewed? It is possible if services are needed in the future.

2. Union Notification: On 12/24/13, the Department notified the following employee organizations of this PSC/RFP request: Professional & Tech Engrs, Local 21;

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FOR DEPARTMENT OF HUMAN RESOURCES USE

PSC# 4098-11/12

DHR Analysis/Recommendation:

Civil Service Commission Action:

Commission Approval Not Required

Approved by DHR on 01/09/2014

**3. Description of Required Skills/Expertise**

A. Specify required skills and/or expertise:

Project architectural, engineering and construction management skills with specific expertise in large airport projects and FAA compliant ATCTs including special knowledge and skills required to construct and commission an Airport Control Tower and all of its operating systems.

B. Which, if any, civil service class(es) normally perform(s) this work?  
5201,5203,5207,5209,5211,5212,5214,5215,5268,5216,5218,5219,5241,

C. Will contractor provide facilities and/or equipment not currently possessed by the City? If yes, explain:  
Yes, procurement of proprietary equipment for FAA.

**4. Why Classified Civil Service Cannot Perform**

A. Explain why civil service classes are not applicable:

The existing architectural and engineering classifications do not have the required expertise and specialized skills related to large airport and ATCTs including construction. The Airport will use experienced Airport project and construction management staff integrated with the consultant staff to provide the required services. The Airport estimates that up to 10% of the administrative work on the various projects will be performed by current Airport staff such as IT support and project management.

B. Would it be practical to adopt a new civil service class to perform this work? Explain.

As stated above, classifications exist but not with specialized knowledge of airport requirements; major new construction or remodeling terminal airport projects do not occur frequently enough to justify permanent staffing, with the exception of project management staff. SFO has one ATCT.

**5. Additional Information (if "yes", attach explanation)**

	<u>YES</u>	<u>NO</u>
A. Will the contractor directly supervise City and County employee?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
B. Will the contractor train City and County employee?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
C. Are there legal mandates requiring the use of contractual services?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
D. Are there federal or state grant requirements regarding the use of contractual services?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
E. Has a board or commission determined that contracting is the most effective way to provide this service?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
F. Will the proposed work be completed by a contractor that has a current PSC contract with your department?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD

ON 12/24/13 BY:

Name: Cynthia Avakian Phone: 650-821-2014 Email: cynthia.avakian@flysfo.com

Address: Airport Commission, Contracts Administratioi San Francisco, CA 94128

PERSONAL SERVICES CONTRACT SUMMARY ("PSC FORM 1")

Department: AIRPORT COMMISSION -- AIR Dept. Code: AIR

Type of Request: [X] Initial [ ] Modification of an existing PSC (PSC # )

Type of Approval: [ ] Expedited [X] Regular [ ] Omit Posting

Type of Service: Design Build Services for the Replacement Airport Traffic Control Tower (ATCT)

Funding Source: Airport Capital & Federal Funds PSC Duration: 3 years
PSC Amount: \$90,000,000 PSC Est. Start Date: 03/01/2012 PSC Est. End Date: 03/01/2015

1. Description of Work

A. Scope of Work:

This request is for design-build services, separate from the Master Architect services approved under PSC #4034-10/11. The Airport's design consultant, approved under PSC#4034-10/11, will prepare bridging documents for the design-build request for proposal. The selected design-build contractor will prepare the final design, as the Engineer of Record.

Replacement Airport Traffic Control Tower and Integrated Facilities: Design-build services for the FAA's Replacement ATCT and FAA Facilities, and Airport Facilities that reside within the footprint of, or are directly adjacent to the FAA Facilities (Integrated Facilities). The replacement of the existing Airport Traffic Control Tower is required due to significant seismic structural deficiencies..

B. Explain why this service is necessary and the consequence of denial:

The ATCT and Integrated Facilities is a complex and time sensitive program to meet the operational and safety requirements of the Airport. The FAA's extraordinary requirements for continuous operation during a seismic event, blast protection strengthening, lighting protection, and other special equipment specifications require specialty qualifications and oversight. Denial will cause project delays, and increase the probability of operations and safety impacts.

C. Has this service been provided in the past. If so, how? If the service was provided via a PSC, provide the most recently approved PSC # and upload a copy of the PSC. This is a new service.

D. Will the contract(s) be renewed? It is possible if services are needed in the future.

2. Union Notification: On none, the Department notified the following employee organizations of this PSC/RFP request: no unions notified

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FOR DEPARTMENT OF HUMAN RESOURCES USE

PSC# 4098-11/12

DHR Analysis/Recommendation:

Civil Service Commission Action:

**3. Description of Required Skills/Expertise**

A. Specify required skills and/or expertise:  
 Project architectural, engineering and construction management skills with specific expertise in large airport projects and FAA compliant ATCTs including special knowledge and skills required to construct and commission an Airport Control Tower and all of its operating systems.

B. Which, if any, civil service class(es) normally perform(s) this work?  
 5201,5203,5207,5209,5211,5212,5214,5215,5268,5216,5218,5219,5241,

C. Will contractor provide facilities and/or equipment not currently possessed by the City? If yes, explain:  
 Yes, procurement of proprietary equipment for FAA.

**4. Why Classified Civil Service Cannot Perform**

A. Explain why civil service classes are not applicable:

The existing architectural and engineering classifications do not have the required expertise and specialized skills related to large airport and ATCTs including construction. The Airport will use experienced Airport project and construction management staff integrated with the consultant staff to provide the required services. The Airport estimates that up to 10% of the administrative work on the various projects will be performed by current Airport staff such as IT support and project management.

B. Would it be practical to adopt a new civil service class to perform this work? Explain.

As stated above, classifications exist but not with specialized knowledge of airport requirements; major new construction or remodeling terminal airport projects do not occur frequently enough to justify permanent staffing, with the exception of project management staff. SFO has one ATCT.

**5. Additional Information (if "yes", attach explanation)**

	<u>YES</u>	<u>NO</u>
A. Will the contractor directly supervise City and County employee?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
B. Will the contractor train City and County employee?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
C. Are there legal mandates requiring the use of contractual services?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
D. Are there federal or state grant requirements regarding the use of contractual services?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
E. Has a board or commission determined that contracting is the most effective way to provide this service?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
F. Will the proposed work be completed by a contractor that has a current PSC contract with your department?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD

ON \_\_\_\_\_ BY:

Name: Cynthia Avakian Phone: 650-821-2014 Email: cynthia.avakian@flysfo.com

Address: Airport Commission, Contracts Administratioi San Francisco, CA 94128

PERSONAL SERVICES CONTRACT SUMMARY

DATE: January 10, 2012

DEPARTMENT NAME: AIRPORT COMMISSION

DEPARTMENT NUMBER: 27

TYPE OF APPROVAL: [ ] EXPEDITED [X] REGULAR (OMIT POSTING [ ])
[ ] CONTINUING [ ] ANNUAL

TYPE OF REQUEST: [X] INITIAL REQUEST [ ] MODIFICATION

TYPE OF SERVICE: Design-Build Services for the Replacement Airport Traffic Control Tower (ATCT) and Integrated Facilities

FUNDING SOURCE: Airport Capital and Federal Appropriation Funds

PSC AMOUNT: \$90,000,000 PSC DURATION: 3/1/2012 to 3/1/2015

1. DESCRIPTION OF WORK

A. Concise description of proposed work: This request is for design-build services, separate from the Master Architect services approved under PSC #4034-10/11. The Airport's design consultant, approved under PSC #4034-10/11, will prepare bridging documents for the design-build request for proposal. The selected design-build contractor will prepare the final design, as the Engineer of Record.

Replacement Airport Traffic Control Tower and Integrated Facilities: Design-build services for the FAA's Replacement ATCT and FAA Facilities, and Airport Facilities that reside within the footprint of, or are directly adjacent to the FAA Facilities (Integrated Facilities). The replacement of the existing Airport Traffic Control Tower is required due to significant seismic structural deficiencies.

B. Explain why this service is necessary and the consequences of denial: The ATCT and Integrated Facilities is a complex and time sensitive program to meet the operational and safety requirements of the Airport. The FAA's extraordinary requirements for continuous operation during a seismic event, blast protection strengthening, lightning protection, and other special equipment specifications require specialty qualifications and oversight. Denial will cause project delays, and increase the probability of operations and safety impacts.

C. Explain how this service has been provided in the past (if this service was previously approved by the Civil Service Commission, indicate most recent personal services contract approval number): This is a new service.

D. Will the contract(s) be renewed? It is possible in the future if there is a need for such services at the Airport.

2. UNION NOTIFICATION: Copy of this summary is to be sent to employee organizations as appropriate (refer to instructions for specific procedure):

IFPTE Local 21
Union Name
Signature of person mailing/faxing form
Date
January 10, 2012
RFP sent to: IFPTE Local 21
Union Name
on February 7, 2012
Date
Signature



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FOR DEPARTMENT OF HUMAN RESOURCES USE

PSC # 4098 - 11/12  
STAFF ANALYSIS/RECOMMENDATION:

CIVIL SERVICE COMMISSION ACTION: Approved 3/19/12

3. DESCRIPTION OF REQUIRED SKILLS/EXPERTISE

A. Specify required skills and/or expertise: Project architectural, engineering and construction management skills with specific expertise in large airport projects and FAA compliant ATCTs including special knowledge and skills required to construct and commission an Airport Control Tower and all of its operating systems.

B. Which, if any, civil service class normally performs this work? Architectural (5268) and engineering (5201-5241) classes exist but their expertise is not applicable to large airport and Airport Traffic Control Tower projects. City Project Managers with the appropriate expertise in managing terminal development, ATCTs and construction and systems commissioning at the Airport will supervise the contracted work.

C. Will contractor provide facilities and/or equipment not currently possessed by the City? If yes, explain: Yes, procurement of proprietary equipment for FAA.

4. WHY CLASSIFIED CIVIL SERVICE CANNOT PERFORM

A. Explain why civil service classes are not applicable: The existing architectural and engineering classifications do not have the required expertise and specialized skills related to large airport and ATCTs including construction. The Airport will use experienced Airport project and construction management staff integrated with the consultant staff to provide the required services. The Airport estimates that up to 10% of the administrative work on the various projects, including project management, construction management, IT support, landside/airfield operations, maintenance and Airport engineering/architectural, will be performed by current Airport staff.

B. Would it be practical to adopt a new civil service class to perform this work? Explain. As stated above, classifications exist but not with the specialized knowledge of airport requirements; major new construction or remodeling terminal airport projects do not occur frequently enough to justify permanent staffing, with the exception of project management staff. SFO has one ATCT.

5. ADDITIONAL INFORMATION (if "yes," attach explanation)

A. Will the contractor directly supervise City and County employees?

Yes	No
<input type="checkbox"/>	<input checked="" type="checkbox"/>

B. Will the contractor train City and County employees?

<input type="checkbox"/>	<input checked="" type="checkbox"/>
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- Describe the training and indicate approximate number of hours.
- Indicate occupational type of City and County employees to receive training (e.g., clerks, civil engineers, etc.) and approximate numbers to be trained.

C. Are there legal mandates requiring the use of contractual services?

<input type="checkbox"/>	<input checked="" type="checkbox"/>
--------------------------	-------------------------------------

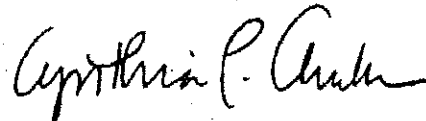
D. Are there federal or state grant requirements regarding the use of contractual services?

<input type="checkbox"/>	<input checked="" type="checkbox"/>
--------------------------	-------------------------------------

E. Has a board or commission determined that contracting is the most effective way to provide this service? No; however the Airport Commission has approved Resolution No. 11-0275 to issue the RFP/RFQ for these services.

F. Will the proposed work be completed by a contractor that has a current personal services contract with your department? An RFP/RFQ will be conducted and the result of that process is not known at this time.

THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD:



Signature of Departmental Personal Services Contract Coordinator

Cynthia P. Avakian

(650) 821-2014

Print or Type Name

Telephone Number

Airport Commission, Contracts Administration Unit  
P.O. Box 8097, San Francisco, CA 94128

Address



# CIVIL SERVICE COMMISSION CITY AND COUNTY OF SAN FRANCISCO

EDWIN M. LEE  
MAYOR

E. DENNIS NORMANDY  
PRESIDENT

KATE FAVETTI  
VICE PRESIDENT

SCOTT R. HELDFOND  
COMMISSIONER

MARY Y. JUNG  
COMMISSIONER

ANITA SANCHEZ  
EXECUTIVE OFFICER

March 23, 2012

## NOTICE OF CIVIL SERVICE COMMISSION ACTION

**SUBJECT: REVIEW OF REQUEST FOR APPROVAL OF PROPOSED PERSONAL SERVICES CONTRACT NUMBERS 4095-11/12 THROUGH 4101-11/12; 3048-10/11; 4023-98/99; 4041-10/11; 4098-04/05; 4001-09/10 AND 4109-08/09.**

At its meeting of March 19, 2012 the Civil Service Commission had for its consideration the above matter.

**PLEASE NOTE:** *It is important that a copy of this action be kept in the department files as you will need it in the future as proof of Civil Service Commission approval. Please share it with everyone responsible for follow-up.*

The Commission adopted the following:

- (1) Adopted the report; Approved request for PSC #4001-09/10 as amended. Notified the Office of the Controller and the Office of Contract Administration.
- (2) Adopted the report; Approved request for all remaining contracts. Notified the Office of the Controller and the Office of Contract Administration.

If this matter is subject to Code of Civil Procedure (CCP) Section 1094.5, the time within which judicial review must be sought is set forth in CCP Section 1094.6.

CIVIL SERVICE COMMISSION

ANITA SANCHEZ  
Executive Officer

### Attachment

- c: Cynthia Avakian, Airport Commission  
 Parveen Boparai, Municipal Transportation Agency  
 Micki Callahan, Human Resources Director  
 Marie de Vera, Department of Human Resources  
 Kendall Gary, Department of Technology  
 Merrick Pascual, Mayor's Office of Economic Workforce Development  
 Maria Ryan, Department of Human Resources  
 Shawn Wallace, San Francisco Police Department  
 Commission File  
 Chron

POSTING FOR

3/19/2012

PROPOSED PERSONAL SERVICES CONTRACTS - Regular

PSC No	Dept No.	Dept Name	Approval Type	Contract Amount	Description of Work	Duration
4095-11/12	27	Airport Commission	Regular	\$150,000	Perform an airport economic impact study to quantify SFO's current economic impact to the local and state economy. The study will quantify the direct, indirect, and induced impacts associated with the SFO's operations as related to economic activity, earnings and jobs at SFO and businesses directly related to the Airport. The standard industry practice is to seek outside expertise because of the objectivity and credibility it provides to the results of the study.	3/20/2012 - 12/31/2013
4096-11/12	27	Airport Commission	Regular	\$180,000	Provide an independent assessment and recommendation on measures to improve the shared-ride system at SFO. The consultant will interview current permittees and airline passengers; provide an in-depth diagnostic study of existing program; study best practices from intermodal hubs nationwide; identify key area of opportunities to improve shared-ride distribution; and determine optimal number and size of van companies to service SFO.	4/1/2012 - 3/31/2013
4097-11/12	27	Airport Commission	Regular	\$500,000	The consultant will analyze the Airport Signage systems, environment, and program as well as provide an overall assessment and recommendations for signage. In addition, the consultant will survey passengers, identify the top five (5) problem areas and provide analysis and recommendations on how these issues should be solved. In order to be able to adequately assess and make recommendations on signage and wayfinding, the consultant must have an expert technical understanding of signage philosophies and systems within a large hub airport setting that integrates multiple terminals, floor levels, concession areas, ground transportation and parking structures. The Airport staff does not have the expertise of knowing what is taking place in other airports, and needs the assistance of a consultant expert.	3/15/2012 - 6/30/2015
4098-11/12	27	Airport Commission	Regular	\$90,000,000	This request is for design-build services, separate from the Master Architect services approved under PSC #4034-10/11. The Airport's design consultant, approved under PSC #4034-10/11, will prepare bridging documents for the design-build request for proposal. The selected design-build contractor will prepare the final design, as the Engineer of Record.	3/1/2012 - 3/1/2015
4099-11/12	75	Dept. of Technology	Regular	\$860,000	This contract will consist of services for captioned text added to video for the City's Board of Supervisors' meetings, Mayor's press conferences, 14 City commissions video tape, and cablecast by the San Francisco Government Television (SFGovTV) on cable channels 26 and 78. Closed caption text will also be added to the original programs produced by SFGovTV for City departments.	4/1/2012 - 6/30/2015
4100-11/12	35	Municipal Transportation Agency	Regular	\$175,000	This is a pilot program to integrate Clipper Card as an optional source of payment at San Francisco Municipal Transportation (SFMTA) parking garages. The contractor will provide Clipper Card equipment, technical support, installation, computer software, and operational upgrades on existing Parking Access and Revenue Control System (PARCS) in SFMTA off-street parking facilities. The contract includes warranties for the system.	4/1/2012 - 3/31/2014

PERSONAL SERVICES CONTRACT SUMMARY ("PSC FORM 1")

Department: AIRPORT COMMISSION Dept. Code: AIR

Type of Request: [ ] Initial [x] Modification of an existing PSC (PSC # 44422 - 13/14)

Type of Approval: [ ] Expedited [x] Regular ([ ] Omit Posting)

Type of Service: As-Needed Architectural and Engineering Support Services

Funding Source: Airport Operating Funds
PSC Original Approved Amount: \$3,000,000 PSC Original Approved Duration: 01/01/14 - 01/31/19 (5 years 4 we
PSC Mod#1 Amount: \$5,000,000 PSC Mod#1 Duration: 02/01/19-12/31/20 (1 year 47 weeks)
PSC Mod#2 Amount: PSC Mod#2 Duration:
PSC Cumulative Amount Proposed: \$8,000,000 PSC Cumulative Duration Proposed: 7 years 1 day

1. Description of Work

A. Scope of Work:

Contractor will provide architectural and engineering support services for facilities improvements at San Francisco International Airport (SFO), including but not limited to maintenance tasks in the schematic, design, development, and construction support phases. Contractor will be required to work on time sensitive tasks initiated through the Design, Construction and Technology Division's Help Requests as approved by the Airport Deputy Director. A Contractor with airport expertise is needed to ensure proper and timely development and implementation of tasks.

B. Explain why this service is necessary and the consequence of denial:

Along with the aging infrastructure, SFO continues to experience strong passenger growth, both of which require the Airport to upgrade its facilities to improve operational efficiency, safety, and meet forecast demand. Facilities improvement and maintenance tasks are required to maintain terminal and office building interiors, industrial waste and drainage pump stations, fire and police stations, power distribution, underground infrastructure, heat ventilation and air-conditioning systems. Denial will cause projects delays, which will affect customer service, and result in lost revenues.

C. Has this service been provided in the past. If so, how? If the service was provided via a PSC, provide the most recently approved PSC # and upload a copy of the PSC.
44422-13/14

D. Will the contract(s) be renewed? Yes, if there is a continued need for such services at SFO.

2. Union Notification: On 10/23/14, the Department notified the following employee organizations of this PSC/RFP request: Architect & Engineers, Local 21;

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FOR DEPARTMENT OF HUMAN RESOURCES USE

PSC# 44422 - 13/14

DHR Analysis/Recommendation:

Civil Service Commission Action:

Commission Approval Required

DHR Approved for 12/01/2014

**3. Description of Required Skills/Expertise**

A. Specify required skills and/or expertise:

Architectural and engineering firms with specialized experience in airport projects including, but not limited to specific expertise in airport development, design and remodel, utilities engineering, drainage and industrial waste pump stations, related structural engineering, security access and monitoring, fire protection, fire alarm, telecommunications, and system integration.

B. Which, if any, civil service class(es) normally perform(s) this work?

5201,5203,5207,5211,5218,5241,5260,5261,5265,5266,5268,5364,

C. Will contractor provide facilities and/or equipment not currently possessed by the City? If yes, explain:

To be determined based on the nature of the task.

**4. Why Classified Civil Service Cannot Perform**

A. Explain why civil service classes are not applicable:

The existing classifications do not have the required expertise and specialized skills related to the field of airport facilities improvements. Contracted work will be supervised by City project managers with the appropriate expertise in managing Airport asset development and construction including unique special systems commissioned at the Airport.

B. Would it be practical to adopt a new civil service class to perform this work? Explain.

No, these as-needed projects do not justify permanent staffing.

**5. Additional Information (if "yes", attach explanation)**

	<u>YES</u>	<u>NO</u>
A. Will the contractor directly supervise City and County employee?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
B. Will the contractor train City and County employee?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
C. Are there legal mandates requiring the use of contractual services?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
D. Are there federal or state grant requirements regarding the use of contractual services?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
E. Has a board or commission determined that contracting is the most effective way to provide this service?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
F. Will the proposed work be completed by a contractor that has a current PSC contract with your department? The results of the process are not known at this time.	<input checked="" type="checkbox"/>	<input type="checkbox"/>

THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD ON 10/23/14 BY:

Name: Cynthia Avakian Phone: 650-821-2014 Email: cynthia.avakian@flysfso.com

Address: P.O. Box 8097 San Francisco, CA 94128

# **Receipt of Union Notification(s)**

**Choi, Suzanne (HRD)**

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**From:** dhr-psccordinator@sfgov.org on behalf of cynthia.avakian@flysfo.com  
**Sent:** Thursday, October 23, 2014 7:05 PM  
**To:** Cynthia Avakian; L21PSCReview@ifpte21.org; Cynthia Avakian; DHR-PSCCoordinator, DHR (HRD); Isen, Richard (TIS)  
**Subject:** Receipt of Modification Request to PSC # 44422 - 13/14 - MODIFICATIONS

PSC RECEIPT of Modification notification sent to Unions and DHR

The AIRPORT COMMISSION -- AIR has submitted a modification request for a Personal Services Contract (PSC) for \$5,000,000 for services for the period February 1, 2019 – December 31, 2020. For all Modification requests, there is a 7-Day noticed to the union(s) prior to DHR Review.

After logging into the system please select link below:

<http://apps.sfgov.org/dhrdrupal/node/4107>

Email sent to the following addresses: [L21PSCReview@ifpte21.org](mailto:L21PSCReview@ifpte21.org)



# **Additional Attachment(s)**

The duration for this Personal Service Contract request is to cover the future as-needed contracts that will begin in 2015 and last for five years.

AIRPORT COMMISSION

CITY AND COUNTY OF SAN FRANCISCO

RESOLUTION NO. 13\_0205

**AUTHORIZATION TO ISSUE A RFP FOR CONTRACT NO. 9005, AS-NEEDED  
ARCHITECTURAL AND ENGINEERING SUPPORT SERVICES**

WHEREAS, the DC&T Division introduced DCHelp, a small project support system for all Airport divisions to use when requesting assistance and support for various types of architectural and/or engineering construction tasks; and

WHEREAS, requests in general have included minor repairs, evaluations, system studies, modifications, remodel and safety improvements; and

WHEREAS, implementation of these important and immediate tasks can disrupt ongoing Capital and Facilities Maintenance design projects assigned to in-house Architectural and Engineering staff; and

WHEREAS, Staff proposes to issue a RFP for as-needed design services to supplement Airport staff in order to be able to manage the increased workload, minimize disruptions to in-progress design efforts, and meet the needs of client divisions in a timely manner; and

WHEREAS, Staff proposes to award two contracts to the two highest ranked proposers, with an annual budget of \$400,000 per contract and a total budget of \$1,200,000 per contract, with a contract duration of five years; now, therefore, be it

RESOLVED, that the Commission hereby authorizes the Director to issue a RFP for professional services for Contract No. 9005, As-Needed Architectural and Engineering Support Services, and to negotiate with the two highest ranked proposers for two separate as-needed contracts; and failing successful negotiation with either of the two highest ranked proposers, the Commission authorizes the Director to negotiate with the next successively ranked proposers in order until negotiations are successful with the two qualified firms; and, further be it

RESOLVED, that following successful negotiations, Staff will present for Commission approval a recommendation to award two separate contracts for As-Needed Architectural and Engineering Services.

*I hereby certify that the foregoing resolution was adopted by the Airport Commission*

*at its meeting of*

SEP 17 2013

-131-

*Juan Caramatta*

PERSONAL SERVICES CONTRACT SUMMARY ("PSC FORM 1")

Department: AIRPORT COMMISSION – AIR Dept. Code: AIR

Type of Request: [X] Initial [ ] Modification of an existing PSC (PSC # \_\_\_\_\_)

Type of Approval: [ ] Expedited [X] Regular ([ ] Omit Posting)

Type of Service: As-Needed Architectural and Engineering Support Services

Funding Source: Airport Operating Funds PSC Duration: 5 years 4 weeks
PSC Amount: \$3,000,000 PSC Est. Start Date: 01/01/2014 PSC Est. End Date: 01/31/2019

1. Description of Work

A. Scope of Work:

Contractor will provide architectural and engineering support services for facilities improvements at San Francisco International Airport (SFO), including but not limited to maintenance tasks in the schematic, design, development, and construction support phases. Contractor will be required to work on time sensitive tasks initiated through the Design, Construction and Technology Division's Help Requests as approved by the Airport Deputy Director. A Contractor with airport expertise is needed to ensure proper and timely development and implementation of tasks.

B. Explain why this service is necessary and the consequence of denial:

Along with the aging infrastructure, SFO continues to experience strong passenger growth, both of which require the Airport to upgrade its facilities to improve operational efficiency, safety, and meet forecast demand. Facilities improvement and maintenance tasks are required to maintain terminal and office building interiors, industrial waste and drainage pump stations, fire and police stations, power distribution, underground infrastructure, heat ventilation and air-conditioning systems. Denial will cause projects delays, which will affect customer service, and result in lost revenues.

C. Has this service been provided in the past. If so, how? If the service was provided via a PSC, provide the most recently approved PSC # and upload a copy of the PSC. This is a new request.

D. Will the contract(s) be renewed? Yes, if there is a continued need for such services at SFO.

2. Union Notification: On 10/07/2013, the Department notified the following employee organizations of this PSC/RFP request: Architect & Engineers, Local 21,

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FOR DEPARTMENT OF HUMAN RESOURCES USE

PSC# 44422 - 13/14

Civil Service Commission Action:

DHR Analysis/Recommendation:

Commission Approval Required

DHR Approved for 12/02/2013

CSC Approved 12/2/2013

**3. Description of Required Skills/Expertise**

- A. Specify required skills and/or expertise:  
Architectural and engineering firms with specialized experience in airport projects including, but not limited to specific expertise in airport development, design and remodel, utilities engineering, drainage and industrial waste pump stations, related structural engineering, security access and monitoring, fire protection, fire alarm, telecommunications, and system integration.
- B. Which, if any, civil service class(es) normally perform(s) this work?  
5201,5203,5207,5211,5218,5241,5260,5261,5265,5266,5268,5364,
- C. Will contractor provide facilities and/or equipment not currently possessed by the City? If yes, explain:  
To be determined based on the nature of the task.

**4. Why Classified Civil Service Cannot Perform**

- A. Explain why civil service classes are not applicable:  
The existing classifications do not have the required expertise and specialized skills related to the field of airport facilities improvements. Contracted work will be supervised by City project managers with the appropriate expertise in managing Airport asset development and construction including unique special systems commissioned at the Airport.
- B. Would it be practical to adopt a new civil service class to perform this work? Explain.  
No, these as-needed projects do not justify permanent staffing.

**5. Additional Information (if "yes", attach explanation)**

	<u>YES</u>	<u>NO</u>
A. Will the contractor directly supervise City and County employee?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
B. Will the contractor train City and County employee?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
C. Are there legal mandates requiring the use of contractual services?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
D. Are there federal or state grant requirements regarding the use of contractual services?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
E. Has a board or commission determined that contracting is the most effective way to provide this service?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
F. Will the proposed work be completed by a contractor that has a current PSC contract with your department?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD  
ON 11/06/2013 BY:

Name: Cynthia Avakian Phone: 650-821-2014 Email: cynthia.avakian@fysfo.com  
Address: P.O. Box 8097 San Francisco, CA 94128



# CIVIL SERVICE COMMISSION CITY AND COUNTY OF SAN FRANCISCO

EDWIN M. LEE  
MAYOR

*Sent via Electronic Mail*

December 4, 2013

SCOTT R. HELDFOND  
PRESIDENT

E. DENNIS NORMANDY  
VICE PRESIDENT

DOUGLAS S. CHAN  
COMMISSIONER

KATE FAVETTI  
COMMISSIONER

GINA M. ROCCANOVA  
COMMISSIONER

JENNIFER C. JOHNSTON  
EXECUTIVE OFFICER

## NOTICE OF CIVIL SERVICE COMMISSION ACTION

**SUBJECT: REVIEW OF REQUEST FOR APPROVAL OF PROPOSED PERSONAL SERVICES CONTRACTS NUMBERS 4053-13/14; 44422-13/14; 43208-13/14; 49930-13/14; 4125-11/12; 4026-06/07; 3071-12/13 AND 3092-12/13.**

At its meeting of December 2, 2013 the Civil Service Commission had for its consideration the above matter.

The Commission took the following actions:

- 1) Commissioner Roccanova was recused from voting on PSC numbers 3071-12/13 and 3092-12/13.
- 2) Approved PSC numbers 3071-12/13 and 3092-12/13.
- 3) Approved the request for all remaining PSCs. Adopted the report; notified the Office of the Controller and the Office of Contract Administration.

**PLEASE NOTE:** *It is important that a copy of this action be kept in the department files as you will need it in the future as proof of Civil Service Commission approval. Please share it with everyone responsible for follow-up.*

If this matter is subject to Code of Civil Procedure (CCP) Section 1094.5, the time within which judicial review must be sought is set forth in CCP Section 1094.6.

CIVIL SERVICE COMMISSION

JENNIFER JOHNSTON  
Executive Officer

Attachment

Cc: Cynthia Avakian, Airport Commission  
Parveen Boparai, Municipal Transportation Agency  
Micki Callahan, Department of Human Resources  
Lily Conover, Controller's Office  
Brent Lewis, Department of Human Resources  
Bree Mawhorter, San Francisco Sheriff's Department  
Merrick Pascual, Economic & Workforce Environment  
Ben Rosenfield, Controller's Office  
Jaci Fong, Office of Contract Administration  
Commission File  
Chron

# DHR Posting for December 02, 2013

## Proposed Personal Services Contracts - Regular

PSC No	Dept Description	PSC Amount	Description of Work	PSC Estimated Start Date	PSC Estimated End Date
422 - 13/14	AIRPORT COMMISSION	\$3,000,000.00	Contractor will provide architectural and engineering support services for facilities improvements at San Francisco International Airport (SFO), including but not limited to maintenance tasks in the schematic, design, development, and construction support phases. Contractor will be required to work on time sensitive tasks initiated through the Design, Construction and Technology Division's Help Requests as approved by the Airport Deputy Director. A Contractor with airport expertise is needed to ensure proper and timely development and implementation of tasks.	1/1/2014	1/31/2019
208 - 13/14	AIRPORT COMMISSION	\$16,000,000.00	Project Management Support Services (PMSS) teams with experience at airports to manage the design and construction of the Terminal 1 Redevelopment Program (T1 Program) Enabling Projects. Work will include project planning, controls, reporting, scheduling, budgeting, document control, coordination, design management, contracts management and constructability review for the following enabling projects: 1) Temporary Boarding Area B and Passenger Security Screening Checkpoint; 2) South Field demolition and hazardous material abatement; 3) Utility infrastructure upgrades and relocations; 4) Security and Special Systems improvements; 5) Various airport, airline, and agency related tenant relocations; and 6) South Field facility relocations, including the vehicle screening checkpoint, emergency response facility, aircraft taxi lanes, Ground Transportation Unit, Airport Commission car wash, gas station, and radio shop.	12/2/2013	12/1/2018
9930 - 13/14	AIRPORT COMMISSION	\$8,000,000.00	Contractor will provide program management support services for the San Francisco International Airport's (SFO) multi-year phased Consolidated Administration Campus (CAC) Program, including but not limited to: program planning (development of a design guideline, master plan redevelopment, market analysis, reporting, scheduling/phasing and budgeting); design management; document control (including contracts management); and constructability review.	1/1/2014	12/31/2021

**Total Amount: \$27,000,000.00**

PERSONAL SERVICES CONTRACT SUMMARY ("PSC FORM 1")

Department: CITY PLANNING Dept. Code: CPC

Type of Request: [ ] Initial [x] Modification of an existing PSC (PSC # 4008 12/13)

Type of Approval: [ ] Expedited [x] Regular ([ ] Omit Posting)

Type of Service: Civic Center Historic District Cultural Landscape Survey

Funding Source: Federal Grant

PSC Original Approved Amount: \$75,000 PSC Original Approved Duration: 07/20/12 - 12/31/13 (1 year 23 weeks)
PSC Mod#1 Amount: \$15,000 PSC Mod#1 Duration: no duration added
PSC Mod#2 Amount: \$10,000 PSC Mod#2 Duration: 07/20/12-09/30/14 (38 weeks 6 days)
PSC Mod#3 Amount: \$30,000 PSC Mod#3 Duration: 07/20/12-06/30/15 (39 weeks)
PSC Mod#4 Amount: PSC Mod#4 Duration:
PSC Cumulative Amount Proposed: \$130,000 PSC Cumulative Duration Proposed: 2 years 49 weeks

1. Description of Work

A. Scope of Work:

The SFPUC applied for and was awarded a grant from the Environmental Protection Agency (EPA) in September 2010 to develop the Civic Center Sustainable District Plan (Plan) that will evaluate opportunities for sustainable management of water, wastewater, stormwater and energy resources within the District and develop projects and strategies that will result in measurable reductions in water, wastewater and power demands over time. The Planning Department will develop background documentation and a cultural landscape survey of the Civic Center Historic District. The existing designation materials do not fully document the important landscape features that, together with the buildings, comprise the character of the District. The documentation is intended to update and consolidate all background information regarding the District into one information source and identify all character-defining features that contribute to its significance.

B. Explain why this service is necessary and the consequence of denial:

A background document and a cultural landscape survey are necessary in order to balance the goals of the Civic Center Sustainable Plan and to recognize and preserve the historic and cultural significance of the District. Denial would result in delay in the completion and the implementation of the Civic Center sustainable Plan, which is part of the City's sustainable realm plan.

C. Has this service been provided in the past. If so, how? If the service was provided via a PSC, provide the most recently approved PSC # and upload a copy of the PSC.

Services have been provided in the past through earlier PSC request. See 4008 12/13

D. Will the contract(s) be renewed? No.

2. Union Notification: On 10/16/14, the Department notified the following employee organizations of this PSC/RFP request: Professional & Tech Engrs, Local 21; Prof & Tech Eng, Local 21; Management & Superv Local 21; Architect & Engine

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FOR DEPARTMENT OF HUMAN RESOURCES USE

PSC# 4008 12/13

DHR Analysis/Recommendation:

Civil Service Commission Action:

Commission Approval Required

DHR Approved for 12/01/2014



**3. Description of Required Skills/Expertise**

A. Specify required skills and/or expertise:

Required skills include expertise in architectural history, art history, and historic preservation. Experience in research and writing, or teaching in American architectural history or restoration architecture or substantial contribution through research and publication. Contractors' employees must meet Professional Qualifications Standards that define the minimum combination of education and experience for historic preservation identification as published in the Code of Federal Regulations, 36 CFR Part 61.

B. Which, if any, civil service class(es) normally perform(s) this work?  
5293,5120,

C. Will contractor provide facilities and/or equipment not currently possessed by the City? If yes, explain:  
Contractor will provide the services at their work site using their own standard office equipment (computer, etc.).

**4. Why Classified Civil Service Cannot Perform**

A. Explain why civil service classes are not applicable:

The City's civil service classifications do not cover the expertise and specific skills to prepare the background document and the cultural landscape survey. Consultant must meet the minimum professional qualification standards from the Secretary of the Interior Standards for the Treatment of Historic Properties.

B. Would it be practical to adopt a new civil service class to perform this work? Explain.

No, given that these services are required only for a one-time consultation to the Planning Department, it would not be feasible to attempt to create a civil service class for this purpose, or add this as a specialty to an existing class.

**5. Additional Information (if "yes", attach explanation)**

**YES    NO**

- |  |                                     |                                     |
|--|-------------------------------------|-------------------------------------|
| A. Will the contractor directly supervise City and County employee?  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| B. Will the contractor train City and County employee?   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| C. Are there legal mandates requiring the use of contractual services?   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| D. Are there federal or state grant requirements regarding the use of contractual services?  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| E. Has a board or commission determined that contracting is the most effective way to provide this service?                          | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| F. Will the proposed work be completed by a contractor that has a current PSC contract with your department? MOORE IACOFANO GOLTSMAN | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |

THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD ON 10/16/14 BY:

Name: Danny Yeung Phone: 415-575-9042 Email: Danny.Yeung@sfgov.org

Address: 1650 Mission St, Suite 400 San Francisco, CA 94103

# **Receipt of Union Notification(s)**

**From:** [dhr-psccordinator@sfgov.org](mailto:dhr-psccordinator@sfgov.org) on behalf of [Danny.Yeung@sfgov.org](mailto:Danny.Yeung@sfgov.org)  
**To:** [Yeung, Danny \(CPC\); L21PSCReview@ifpte21.org](mailto:Yeung, Danny (CPC); L21PSCReview@ifpte21.org); [Yeung, Danny \(CPC\); DHR-PSCCoordinator, DHR \(HRD\); Isen, Richard \(TIS\)](mailto:Yeung, Danny (CPC); DHR-PSCCoordinator, DHR (HRD); Isen, Richard (TIS))  
**Subject:** Receipt of Modification Request to PSC # 4008 12/13 - MODIFICATIONS  
**Date:** Thursday, October 16, 2014 5:34:31 PM

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PSC RECEIPT of Modification notification sent to Unions and DHR

The CITY PLANNING -- CPC has submitted a modification request for a Personal Services Contract (PSC) for \$30,000 for services for the period July 20, 2012 – June 30, 2015. For all Modification requests, there is a 7-Day noticed to the union(s) prior to DHR Review.

After logging into the system please select link below:

<http://apps.sfgov.org/dhrdrupal/node/1488>

Email sent to the following addresses: [L21PSCReview@ifpte21.org](mailto:L21PSCReview@ifpte21.org)

## **Additional Attachment(s)**

## National Park Service, Interior

§ 61.2

The Keeper shall notify the petitioner and the applicable State Historic Preservation Officer, Federal Preservation Officer, or person or local government where there is no approved State Historic Preservation Program, of his decision. The State Historic Preservation Officer or Federal Preservation Officer transmitting the petition shall notify the petitioner, the owner(s), and the chief elected local official in writing of the decision. The Keeper will provide such notice for petitions from persons or local governments where there is no approved State Historic Preservation Program. The general notice may be used for properties with more than 50 owners. If the general notice is used it shall be published in one or more newspapers with general circulation in the area of the nomination.

(k) The Keeper may remove a property from the National Register on his own motion on the grounds established in paragraph (a) of this section, except for those properties listed in the National Register prior to December 13, 1980, which may only be removed from the National Register on the grounds established in paragraph (a)(1) of this section. In such cases, the Keeper will notify the nominating authority, the affected owner(s) and the applicable chief elected local official and provide them an opportunity to comment. Upon removal, the Keeper will notify the nominating authority of the basis for the removal. The State Historic Preservation Officer, Federal Preservation Officer, or person or local government which nominated the property shall notify the owner(s) and the chief elected local official of the removal.

(1) No person shall be considered to have exhausted administrative remedies with respect to removal of a property from the National Register until the Keeper has denied a petition for removal pursuant to this section.

### PART 61—PROCEDURES FOR STATE, TRIBAL, AND LOCAL GOVERNMENT HISTORIC PRESERVATION PROGRAMS

- Sec.  
61.1 Authorization.  
61.2 Definitions.  
61.3 Implementation of this part.

- 61.4 State programs.  
61.5 Grants to State programs.  
61.6 Certified local government programs.  
61.7 Subgrants to certified local governments.  
61.8 Tribal programs. [Reserved]  
61.9 Grants to tribal programs. [Reserved]  
61.10 Waiver.  
61.11 Information collection.

AUTHORITY: 16 U.S.C. 470 *et seq.*

SOURCE: 64 FR 11742, Mar. 9, 1999, unless otherwise noted.

#### § 61.1 Authorization.

The National Historic Preservation Act of 1966, as amended (16 U.S.C. 470 *et seq.*):

(a) Requires the Secretary of the Interior (Secretary) to promulgate regulations for:

(1) Approving and overseeing State historic preservation programs;

(2) Certifying local governments to carry out the purposes of the Act;

(3) Ensuring that applicable State Historic Preservation Officers (SHPOs) allocate to certified local governments (CLGs) a share of grants that the SHPOs receive under the Act; and

(4) Assisting Indian tribes in preserving their particular "historic properties" (as defined by the Act);

(b) Directs the Secretary to administer a program of grants-in-aid to States and Indian tribes for historic preservation projects and programs that the Secretary has approved; and

(c) Requires the Secretary to make available information concerning professional standards, methods, and techniques for the preservation of "historic properties" (as defined by the Act) and the administration of historic preservation programs.

#### § 61.2 Definitions.

As used in this part:

(a) All terms that the National Historic Preservation Act of 1966, as amended, defines have the same meaning in the regulations in this part that the statute provides; see especially sections 101(a)(1)(A), 101(b), 101(c)(4), 108, and 301.

(b) *Act* means the National Historic Preservation Act of 1966, as amended, (16 U.S.C. 470 *et seq.*).

(c) *Chief elected local official* means the elected head of a local government.

### §61.3

### 36 CFR Ch. I (7-1-01 Edition)

(d) *The Secretary's Standards* means only the "Standards" portions and not the "Guidelines" portions of "the Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation." The Secretary's Standards provide broad national principles of archeological and historic preservation practices and methods. "The Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation" also contains "the Secretary's Guidelines" which provide broad national guidance on how to apply "the Secretary's Standards."

(e) *State historic preservation program* or *State program* means a State government organization or program meeting the requirements that section 101(b) of the Act specifies.

#### §61.3 Implementation of this part.

(a) *National Park Service policy of management by exception.* The National Park Service (NPS) will administer the regulations in this part in such a way (and where feasible) as to:

(1) Limit the use of direct Federal management review procedures to high risk situations, to new programs, or to activities that are appropriate for the Federal Government to oversee;

(2) Presume that State, tribal, and local government historic preservation officials manage their programs in an accountable way unless situations indicate the contrary; and

(3) Rely to the maximum extent feasible on State, tribal, and local government systems of financial and program management that meet Federal standards. At the discretion of the Secretary, each State, tribal, and local government may substitute its own fiscal audit and management systems for the Secretary's comparable fiscal audit and management requirements, so long as the State, tribal, or local government system establishes and maintains accounting standards substantially similar to Federal standards and provides for independent peer review.

(b) *The Secretary's Standards.* NPS will use the Secretary's Standards as technical performance standards for matters covered by this part. NPS may also use as technical performance standards (for matters covered by this part) additional guidance that NPS

identifies and provides from time to time after appropriate consultation and notice.

(c) Each State historic preservation program staff member, State Historic Preservation Review Board (Review Board) member, and certified local government (CLG) historic preservation review commission (Commission) member whom the Secretary has approved as meeting "the Secretary's (Historic Preservation) Professional Qualifications Standards" will retain that status, regardless of subsequent revisions to those Standards, until such time as that individual no longer works in that program, or serves on that Review Board, or serves on that Commission with which that individual was affiliated as of the date of that individual's approval.

(d) You may obtain publications and other information mentioned in this part by contacting: Heritage Preservation Services, National Center for Cultural Resource Stewardship and Partnership Programs, National Park Service, 1849 C Street NW (NC Suite 200), Washington, D.C. 20240 or via the National Park Service Home Page for cultural programs at <http://www.cr.nps.gov>.

#### §61.4 State programs.

(a) For a State to participate in the program that this part describes, the Governor must appoint and designate a State Historic Preservation Officer (SHPO) to administer the State historic preservation program.

(b) It is the responsibility of the SHPO to carry out the duties and activities that section 101 (b)(3) of the Act describes. In performing those duties and activities:

(1) The SHPO must carry out a historic preservation planning process that includes the development and implementation of a comprehensive statewide historic preservation plan that provides guidance for effective decision making about historic property preservation throughout the State.

(2) The SHPO, in addition to surveying and maintaining inventories of historic properties, may also obtain:

(i) Comparative data valuable in determining the National Register eligibility of properties;

## National Park Service, Interior

## §61.4

(ii) Information on properties that may become eligible for the National Register of Historic Places with the passage of time; and/or

(iii) Information on the absence of historic properties for use in planning for public and private development projects.

(3) The SHPO must provide for adequate public participation in the State historic preservation program as a whole.

(i) As part of the process of recommending a property to the National Register, the SHPO must comply with the consultation and notification procedures contained in 36 CFR part 60.

(ii) The SHPO may authorize other persons or entities to fulfill the notice requirements in 36 CFR part 60 pursuant to the Secretary's written guidance.

(iii) The SHPO also may authorize the historic preservation review commission (Commission) of a certified local government (CLG) to act in place of the State Historic Preservation Review Board (Review Board) for the purpose of considering National Register nominations within its jurisdiction, provided that the Commission both meets the professional qualifications required for the Review Board when considering such nominations and otherwise follows the Secretary's written guidance.

(iv) In accordance with the Secretary's written guidance and with the consent of both the property owners in a nomination and the chief elected local official, the Review Board (or the Commission acting in its place) may consider the nomination without a face-to-face meeting.

(4) The SHPO may carry out all or any part of his or her responsibilities by contract or cooperative agreement with any qualified nonprofit organization, educational institution, or otherwise pursuant to State law. However, the SHPO may not delegate the responsibility for compliance with the Act or with grant assistance terms and conditions.

(c) The Secretary will consider individual SHPO proposals for programs that, for a specified period, include fewer duties than those section 101(b)(3) of the Act specifies, if a dif-

ferent approach would better serve an appropriate balance of historic property, customer or constituent, and historic preservation needs.

(d) *Procedures for review and approval of State historic preservation programs.*

(1) In accordance with the Act, the Secretary will evaluate each State program for consistency with the Act periodically, but not less often than every four years. If the Secretary determines that it meets the program requirements of paragraphs (a), (b), (e) and (f) of this section, he or she will approve the State program as set forth in this section.

(2) The Secretary may use on-site and/or off-site inquiries to perform such evaluation. The Secretary will provide the SHPO with a timely report containing written findings and analyses that highlight the strengths and weaknesses of the State program.

(3) *Approval method.* (i) If the Secretary determines that a State program is consistent with the Act, the report will include notice that the State program's approved status continues.

(ii) If the Secretary determines that a State program has major aspects not consistent with the Act, the report will include notice of deficiencies along with required actions for correcting them. Unless circumstances warrant immediate action, the Secretary will provide a specified period to allow the SHPO either to correct the deficiencies or to present for Secretarial approval a justifiable plan and timetable for correcting the deficiencies. During this period, the SHPO has the opportunity to request that the Secretary reconsider any findings and required actions.

(iii) The Secretary will provide timely notice of continued approved State program status to a SHPO successfully resolving deficiencies. Once the Secretary renews a State program's approved status, he or she generally will not review the program until the next regular evaluation period. However, if the Secretary deems it necessary, he or she may conduct a review more often.

(iv) The Secretary will provide timely notice of the revocation of a program's approved status to any SHPO whose program has deficiencies that warrant immediate action or that remain uncorrected after the expiration

of the period specified pursuant to paragraph (d)(3)(ii) of this section. The Secretary will then initiate financial suspension and other actions in accordance with the Act, applicable regulatory requirements, and related guidance that the National Park Service issues.

(e) The SHPO must appoint or employ a professionally qualified staff.

(1) Except as approved pursuant to paragraph (e)(2) of this section, the staff must include at a minimum, one individual meeting "the Secretary's (Historic Preservation) Professional Qualifications Standards" for history, one individual meeting "the Secretary's (Historic Preservation) Professional Qualifications Standards" for historic or prehistoric archeology, and one individual meeting "the Secretary's (Historic Preservation) Professional Qualifications Standards" for architectural history. "The Secretary's (Historic Preservation) Professional Qualifications Standards" and related guidance are part of the larger "Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation." The SHPO may determine that additional professional staff members representing the required or other disciplines are necessary to administer the State program in accordance with the Act.

(2) The Secretary will consider proposals from a SHPO for a minimum required staff composition that differs from the requirement that paragraph (e)(1) of this section specifies, if the proposal addresses better an appropriate balance of historic property, customer or constituent, and historic preservation needs in that State.

(3) When a staff position that paragraph (e)(1) of this section requires becomes vacant, the SHPO must fill the vacancy in a timely manner. In the interim, the SHPO must ensure that appropriately qualified individuals address technical matters. A vacancy in a required position that persists for more than six months is cause for review, comment, and appropriate action by the Secretary.

(f) Unless State law provides for a different method of appointment, the SHPO must appoint an adequate and

qualified State historic preservation Review Board (Review Board).

(1) All Review Board members must have demonstrated competence, interest, or knowledge in historic preservation. A majority of Review Board members must meet "the Secretary of the Interior's (Historic Preservation) Professional Qualifications Standards" which are part of the larger "Secretary's Standards and Guidelines for Archeology and Historic Preservation." The members meeting "the Secretary's (Historic Preservation) Professional Qualifications Standards" must include at a minimum, one individual meeting "the Secretary's (Historic Preservation) Professional Qualifications Standards" for history, one individual meeting "the Secretary's (Historic Preservation) Professional Qualifications Standards" for prehistoric archeology or historic archeology, and one individual meeting "the Secretary's (Historic Preservation) Professional Qualifications Standards" for architectural history. One person may meet the Standards for more than one required discipline. The other Review Board members, if any, who comprise the majority that meets "the Secretary's (Historic Preservation) Professional Qualifications Standards" may represent, subject to the SHPO's selection, any of the disciplines that those "Standards" describe.

(2) The Secretary will consider proposals from a SHPO for a minimum required Review Board composition that differs from the requirement that paragraph (f)(1) of this section specifies, if the proposal addresses better an appropriate balance of historic property, customer or constituent, and historic preservation needs in that State.

(3) When a required Review Board position becomes vacant, the SHPO must fill the vacancy in a timely manner. In the interim, the SHPO must ensure that the Review Board has access to advice from appropriately qualified individuals. A lapse of more than one year in filling the vacancy is cause for review, comment, and appropriate action by the Secretary.

(4) The Review Board must meet as often as is necessary to complete its work in a timely fashion but no less often than once a year.



## National Park Service, Interior

## §61.6

(5) The Review Board must adopt written procedures governing its operations consistent with the provisions of this section and related guidance that the National Park Service issues.

(6) Review Board responsibilities include, but are not limited to, the following:

(i) Providing advice to the SHPO on the full range of Historic Preservation Fund-supported activities, that section 101 (b)(3) of the Act describes;

(ii) Reviewing and making recommendations on National Register nomination proposals;

(iii) Participating in the review of appeals to National Register nominations; and

(iv) Performing such other duties as may be appropriate.

### §61.5 Grants to State programs.

(a) Each State with an approved State program is eligible for grants-in-aid from the Historic Preservation Fund (HPF).

(b) The National Park Service (NPS) will administer HPF matching grants-in-aid in accordance with the Act, OMB Circular A-133 and 43 CFR part 12, and related guidance that NPS issues. Failure by a State program to meet these requirements is cause for comment and appropriate action by the Secretary.

### §61.6 Certified local government programs.

(a) Each approved State program must provide a mechanism for certification (by the State Historic Preservation Officer and the Secretary) of local governments to carry out the purposes of the Act.

(b) Each State Historic Preservation Officer (SHPO) must follow procedures that the Secretary approves for the certification of local governments. Each SHPO also must follow procedures for removal of certified local government (CLG) status for cause. A SHPO must submit any proposed amendment to its procedures to the Secretary for approval. The Secretary will act on each proposal in a timely fashion generally within 45 days of receipt.

(c) When a SHPO approves a local government certification request in accordance with the State program's Na-

tional Park Service (NPS)-approved certification process, the SHPO must prepare a written certification agreement between the SHPO and the local government. The certification agreement must list the specific responsibilities of the local government when certified. The SHPO must submit to the Secretary the written certification agreement and any additional information as is necessary for the Secretary to certify the local government pursuant to the Act and this part. If the Secretary does not disapprove the proposed certification within 15 working days of receipt, the Secretary has certified the local government.

(d) Beyond the minimum responsibilities set out in the Act for all CLGs, the SHPO may make additional delegations of responsibility to individual CLGs. However, these delegations may not include the SHPO's overall responsibility derived from the Act or where law or regulation specifies.

(e) The SHPO must ensure that each local government satisfies the following minimum requirements as conditions for certification. Each CLG must:

(1) Enforce appropriate State or local legislation for the designation and protection of historic properties. The State procedures must define what constitutes appropriate legislation, as long as:

(i) Designation provisions in such legislation include the identification and registration of properties for protection that meet criteria established by the State or the locality for significant historic and prehistoric resources within the jurisdiction of the local government;

(ii) Protection provisions in such legislation include a local review process under State or local law for proposed demolitions of, changes to, or other action that may affect historic properties as paragraph (e)(1)(i) of this section describes; and

(iii) The legislation otherwise is consistent with the Act.

(2) Establish by State or local law and maintain an adequate and qualified historic preservation review commission (Commission). All Commission members must have a demonstrated interest, competence, or knowledge in

historic preservation. Unless State or local legislation provides for a different method of appointment, the chief elected local official must appoint all Commission members.

(i) The State procedures must encourage certified local governments to include individuals who meet "the Secretary's (Historic Preservation) Professional Qualifications Standards" among the membership of the Commission, to the extent that such individuals are available in the community.

(ii) The State procedures may specify the minimum number of Commission members who must meet "the Secretary's (Historic Preservation) Professional Qualifications Standards." The State procedures may also specify which, if any, disciplines the Commission's membership must include from among those disciplines that the Standards describe. Membership requirements set by the State procedures for Commissions must be cognizant of the needs and functions of Commissions in the State and subject to the availability of such professionals in the community concerned.

(iii) Provided that the Commission is otherwise adequate and qualified to carry out the responsibilities delegated to it, the SHPO may certify a local government without the minimum number or types of disciplines established in State procedures, if the local government can demonstrate that it has made a reasonable effort to fill those positions, or that an alternative composition of the Commission best meets the needs of the Commission and of the local government.

(iv) The SHPO must make available to each Commission orientation materials and training designed to provide a working knowledge of the roles and operations of Federal, State, and local historic preservation programs, and historic preservation in general.

(3) Maintain a system for the survey and inventory of historic properties. The SHPO must ensure that such systems and the data that they produce are capable of integration into and are compatible with statewide inventories and (when and as appropriate) with State and local planning processes.

(4) Provide for adequate public participation in the local historic preser-

vation program as a whole. The SHPO must provide each CLG with appropriate guidance on mechanisms to ensure adequate public participation in the local historic preservation program including the process for evaluating properties for nomination to the National Register of Historic Places.

(5) Satisfactorily perform the responsibilities delegated to it under the Act. The SHPO must monitor and evaluate the performance of each CLG according to written standards and procedures that the SHPO establishes. If a SHPO's evaluation of a CLG's performance indicates that such performance is inadequate, the SHPO must suggest in writing ways to improve performance. If, after a period of time that the SHPO stipulates, the SHPO determines that the CLG has not improved its performance sufficiently, the SHPO may recommend that the Secretary decertify the local government. If the Secretary does not object within 30 working days of receipt, the Secretary has approved the decertification.

(f) Effects of certification include:

(1) Inclusion in the process of nominating properties to the National Register of Historic Places in accordance with sections 101 (c)(2)(A) and (c)(2)(B) of the Act. The SHPO may delegate to a CLG any of the responsibilities of the SHPO and the Review Board in processing National Register nominations as specified in 36 CFR part 60 (see also §61.4(b)(3)), except for the authority to nominate properties directly to the National Register. A CLG may make nominations directly to NPS only when the State does not have an approved program pursuant to §61.4.

(2) Eligibility to apply for a portion of the State's annual Historic Preservation Fund (HPF) grant award. Each State must transfer at least 10 percent of its annual HPF grant award to CLGs for historic preservation projects and programs in accordance with the Act and as §61.7 specifies.

(g) The District of Columbia is exempt from the requirements of this section because there are no subordinated local governments in the District. If any other jurisdiction that section 301(2) of the Act defines as a State believes that its political subdivisions lack authorities similar to those of

## National Park Service, Interior

## §61.11

Local governments in other States, and hence cannot satisfy the requirements for local government certification, it may apply to the Secretary for exemption from the requirements of this section.

(h) *Procedures for direct certification by the Secretary where there is no approved State program pursuant to §61.4.* To the extent feasible, the Secretary will ensure that there is consistency and continuity in the CLG program of a State that does not have an approved State program.

(1) Where there is no approved State program, a local government wishing to become certified must apply directly to the Secretary.

(2) The application must demonstrate that the local government meets the specifications for certification set forth in paragraph (e) of this section.

(3) The Secretary will review certification applications under this paragraph (h) and take action in a timely fashion generally within 90 days of receipt.

### §61.7 Subgrants to certified local governments.

(a) Each SHPO must transfer at least 10 percent of its annual Historic Preservation Fund (HPF) grant award to CLGs as subgrants for historic preservation projects and programs in accordance with the Act. In any year that the annual HPF State grant appropriation exceeds \$65,000,000, SHPOs must transfer one half of the amount over \$65,000,000 to CLGs according to procedures that the Secretary will establish.

(b) Each CLG is eligible to receive funds from the 10 percent (or greater) CLG share of the State's total annual HPF grant award. However, the SHPO need not award funds to all CLGs.

(c) Each SHPO must maintain and follow a procedure that the Secretary approves for the use and distribution of funds from the State's annual HPF grant award to CLGs to ensure that no CLG receives a disproportionate share of the allocation. The procedure will provide a clear basis for the funding decisions. The SHPO must submit any proposed amendment to its procedure to the Secretary for approval. The Secretary will respond to such a proposal

in a timely fashion generally within 45 days of receipt.

(d) Each SHPO must notify annually each CLG of its opportunity to apply for HPF funding as well as what is entailed in the application and project selection process.

(e) Each CLG receiving an HPF grant award from the CLG share is a subgrantee of the State. The SHPO must ensure that each CLG adheres to all applicable grant conditions and government-wide and program specific requirements that the National Park Service issues. The SHPO may require specific uses of funds subgranted to CLGs. CLGs may not apply subgranted HPF monies as matching share for any other Federal grant.

(f) Where there is no approved State program pursuant to §61.4, the Secretary will determine the method for allocating funds to CLGs in that State in accordance with the procedures set forth for the State in this section. To the extent feasible, the Secretary will ensure consistency and continuity in the funding allocation policy of the CLG program for a State that does not have an approved historic preservation program.

### §61.8 Tribal programs. [Reserved]

### §61.9 Grants to tribal programs. [Reserved]

### §61.10 Waiver.

The Secretary may waive any of the requirements of the rules in this part that are not mandated by statute or by other applicable regulations if the Secretary finds, in writing, that the historic preservation program would benefit from such waiver and the waiver would not compromise the purposes, conditions, and requirements of the National Historic Preservation Act of 1966, as amended.

### §61.11 Information collection.

(a) The Office of Management and Budget (OMB) under 44 U.S.C. 3507 *et seq.*, has approved the collection of information contained in this part. OMB has assigned clearance number 1024-0038 to this collection of information. The National Park Service (NPS) collects this information as part of the process for reviewing the procedures

and programs of State and local governments participating in the national historic preservation program and the Historic Preservation Fund grant program. NPS will use the information to evaluate those programs and procedures for consistency with the National Historic Preservation Act of 1966, as amended, and compliance with government-wide grant requirements. The obligation to respond is required to obtain a benefit under these programs. Note that a Federal agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. NPS provides no assurance of confidentiality to respondents with the exception of locational information concerning some properties that government historic preservation property inventories include. Pursuant to section 304 of the National Historic Preservation Act of 1966, as amended, NPS tightly controls release of information when such release could have the potential of damaging those qualities which make a property historic.

(b) We estimate the public reporting burden for the collection of this information to average 14.06 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to Ms. Diane M. Cooke, Information Collection Officer, National Park Service, 1849 C Street NW, Washington, D.C. 20240 and to the Office of Management and Budget, Office of Information and Regulatory Affairs, Attention: Desk Officer for the Department of the Interior (1024-0038), Washington, D.C. 20503.

## PART 62—NATIONAL NATURAL LANDMARKS PROGRAM

Sec.

- 62.1 Purpose.
- 62.2 Definitions.
- 62.3 Effects of designation.

- 62.4 Natural landmark designation and recognition process.
- 62.5 Natural landmark criteria.
- 62.6 Natural landmark monitoring.
- 62.7 Natural landmark modifications.
- 62.8 Natural landmark designation removal.
- 62.9 General provisions.

AUTHORITY: 16 U.S.C. 1a-5, 461 *et seq.*, 463, 1908.

SOURCE: 64 FR 25717, May 12, 1999, unless otherwise noted.

### § 62.1 Purpose

The procedures in this part set forth the processes and criteria for the identification, evaluation, designation and monitoring of national natural landmarks.

(a) The National Natural Landmarks Program focuses attention on areas of exceptional natural value to the nation as a whole rather than to one particular State or locality. The program recognizes areas preserved by Federal, State and local agencies as well as private organizations and individuals and encourages the owners of national natural landmarks to voluntarily observe preservation precepts.

(b) The National Natural Landmarks Program identifies and preserves natural areas that best illustrate the biological and geological character of the United States, enhances the scientific and educational values of preserved areas, strengthens public appreciation of natural history, and fosters a greater concern for the conservation of the nation's natural heritage.

### § 62.2 Definitions.

The following definitions apply to this part:

*National Natural Landmark* is an area designated by the Secretary of the Interior as being of national significance to the United States because it is an outstanding example(s) of major biological and geological features found within the boundaries of the United States or its Territories or on the Outer Continental Shelf.

*National Registry of Natural Landmarks* is the official listing of all designated national natural landmarks.

*National significance* describes an area that is one of the best examples of a biological community or geological feature within a natural region of the

PERSONAL SERVICES CONTRACT SUMMARY ("PSC FORM 1")

Department: CITY PLANNING Dept. Code: CPC

Type of Request:  Initial  Modification of an existing PSC (PSC # 4008 12/13)

Type of Approval:  Expedited  Regular ( Omit Posting)

Type of Service: Civic Center Historic District Cultural Landscape Survey

Funding Source: Federal Grant

PSC Original Approved Amount: \$75,000

PSC Original Approved Duration: 07/20/12 - 12/31/13 (1 year 23 we

PSC Mod#1 Amount: \$15,000

PSC Mod#1 Duration: no duration added

PSC Mod#2 Amount: \$10,000

PSC Mod#2 Duration: 07/20/12-09/30/14 (38 weeks 6 days)

PSC Cumulative Amount Proposed: \$100,000

PSC Cumulative Duration Proposed: 2 years 10 weeks

1. **Description of Work**

A. Scope of Work:

PLEASE SEE ORIGINAL PSC

B. Explain why this service is necessary and the consequence of denial:

A background document and a cultural landscape survey are necessary in order to balance the goals of the Civic Center Sustainable Plan and to recognize and preserve the historic and cultural significance of the District. Denial would result in delay in the completion and the implementation of the Civic Center sustainable Plan, which is part of the City's sustainable realm plan.

C. Has this service been provided in the past. If so, how? If the service was provided via a PSC, provide the most recently approved PSC # and upload a copy of the PSC.

Services have been provided in the past through earlier PSC request. See 4008 12/13

D. Will the contract(s) be renewed? No.

2. **Union Notification:** On 02/21/14, the Department notified the following employee organizations of this PSC/RFP request: Professional & Tech Engrs, Local 21; Prof & Tech Eng, Local 21; Management & Superv Local 21; Architect & Enginee

\*\*\*\*\*

FOR DEPARTMENT OF HUMAN RESOURCES USE

PSC# 4008 12/13

DHR Analysis/Recommendation:

Civil Service Commission Action:

Commission Approval Not Required

Approved by DHR on 03/18/2014

**3. Description of Required Skills/Expertise**

A. Specify required skills and/or expertise:

Required skills include expertise in architectural history, art history, and historic preservation. Experience in research and writing, or teaching in American architectural history or restoration architecture or substantial contribution through research and publication. Contractors' employees must meet Professional Qualifications Standards that define the minimum combination of education and experience for historic preservation identification as published in the Code of Federal Regulations, 36 CFR Part 61.

B. Which, if any, civil service class(es) normally perform(s) this work?

5293,5120,

C. Will contractor provide facilities and/or equipment not currently possessed by the City? If yes, explain:

Contractor will provide the services at their work site using their own standard office equipment (computer, etc.).

**4. Why Classified Civil Service Cannot Perform**

A. Explain why civil service classes are not applicable:

The City's civil service classifications do not cover the expertise and specific skills to prepare the background document and the cultural landscape survey. Consultant must meet the minimum professional qualification standards from the Secretary of the Interior Standards for the Treatment of Historic Properties.

B. Would it be practical to adopt a new civil service class to perform this work? Explain.

No, given that these services are required only for a one-time consultation to the Planning Department, it would not be feasible to attempt to create a civil service class for this purpose, or add this as a specialty to an existing class.

**5. Additional Information (if "yes"; attach explanation)**

**YES**    **NO**

- |  |                                     |                                     |
|--|-------------------------------------|-------------------------------------|
| A. Will the contractor directly supervise City and County employee?  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| B. Will the contractor train City and County employee?   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| C. Are there legal mandates requiring the use of contractual services?   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| D. Are there federal or state grant requirements regarding the use of contractual services?  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| E. Has a board or commission determined that contracting is the most effective way to provide this service?                          | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| F. Will the proposed work be completed by a contractor that has a current PSC contract with your department? MOORE IACOFANO GOLTSMAN | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |

THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD

ON 02/21/14 BY:

Name: Danny Yeung Phone: 415-575-9042 Email: Danny.Yeung@sfgov.org

Address: 1650 Mission St, Suite 400 San Francisco, CA 94103



# SAN FRANCISCO PLANNING DEPARTMENT

## MEMORANDUM

Date: August 20, 2013  
 To: PSC Contract Coordinator  
 Department of Human Resources (Dept. 33)  
 From: Thomas DiSanto *Thomas DiSanto*  
 Planning Department (Dept. 29)  
 Re: Request for Administrative Approval of PSC Modification  
 (Less than 50% in amount or duration)

1650 Mission St.  
 Suite 400  
 San Francisco,  
 CA 94103-2479

Reception:  
 415.558.6378

Fax:  
 415.558.6409

Planning  
 Information:  
 415.558.6377

PSC No. 4008-12/13

Approval Date: 7/16/2012

Description of Services: Civic Center Historic District Cultural Landscape Survey.

Original Approved Amount:	<u>\$75,000</u>	Original approved Duration:	<u>7/20/2012-12/31/2013</u>
Modification #1 Amount:	<u>\$15,000</u>	Modified Duration:	<u>Same as above</u>
Total Amount as Modified:	<u>\$90,000</u>	Total Duration as Modified:	<u>7/20/2012-12/31/2013</u>

Reason for Modification: The Planning Department is requesting to increase the amount of the mentioned PSC to allow additional tasks such as adding features to Blocks 766 and 811. The historic boundary will remain the same, but the new block areas will appear as part of the project boundary that was inventoried.

Attachment: Copy of Approved PSC Summary

FOR DEPARTMENT OF HUMAN RESOURCES USE

DHR Action:  Approved

Approval Date: 8/22/2013

By: *Micki Callahan*  
 Micki Callahan, Human Resources Director

**Ko, Yvonne**

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**From:** Dang, Leorah on behalf of DHR-PSCCoordinator, DHR  
**Sent:** Friday, August 23, 2013 10:22 AM  
**To:** Ko, Yvonne; DHR-PSCCoordinator, DHR  
**Cc:** DeMartini, Keith; DiSanto, Thomas  
**Subject:** Administrative Approval PSC #4008-12/13 Mod1 Notice: Civic Center Historic Cultural Landscape Survey (CPC-29)  
**Attachments:** 4008-1213\_CPC\_AA\_Mod1\_08222013.pdf

Administrative Approval PSC Modification Notice

Type of Service: Civic Center Historic Cultural Landscape Survey  
PSC#: 4008-12/13  
PSC Amount: \$90,000.00  
PSC Duration: 07/20/2012 – 12/31/2013

Approval appended.

Best Regards,

*Leorah Dang*

DHR-PSC Coordinator  
One South Van Ness Avenue, 4th Flr  
San Francisco, Ca 94103  
Phone: 415-557-4842



4008-12/13

City and County of San Francisco

Department of Human Resources

PERSONAL SERVICES CONTRACT SUMMARY

DATE: 5/21/2012 updated on 6/21/12

DEPARTMENT NAME: Planning Department DEPARTMENT NUMBER 29

TYPE OF APPROVAL: [ ] EXPEDITED [X] REGULAR (OMIT POSTING [ ]) [ ] CONTINUING [ ] ANNUAL

TYPE OF REQUEST: [X] INITIAL REQUEST [ ] MODIFICATION (PSC# [ ])

TYPE OF SERVICE: Civic Center Historic District Cultural Landscape Survey

FUNDING SOURCE: Federal Grant

PSC AMOUNT: \$75,000 PSC DURATION: 7/20/2012 - 12/31/2013

1. DESCRIPTION OF WORK

A. Concise description of proposed work:

The Civic Center was designed as a sustainable resource district by former Mayor Gavin Newsome in September 2008, with goals of maximizing energy and water efficiency; incorporating renewable energy sources; and reducing potable water use, wastewater discharge, and the community carbon footprint. (Continued on attachment.)

B. Explain why this service is necessary and the consequences of denial:

A background document and a cultural landscape survey are necessary in order to balance the goals of the Civic Center Sustainable Plan and to recognize and preserve the historic and cultural significance of the District. Denial would result in delay in the completion and the implementation of the Civic Center sustainable Plan, which is part of the City's sustainable realm plan.

C. Explain how this service has been provided in the past (if this service was previously approved by the Civil Service Commission, indicate most recent personal services contract approval number):

These services would normally be provided by a trained, qualified expert in the field of historic architecture.

D. Will the contract(s) be renewed: No

2. UNION NOTIFICATION: Copy of this summary is to be sent to employee organizations as appropriate (refer to instructions for specific procedures):

IFPTE Local 21 Union Name Signature of person mailing/faxing form Date 5/21/12

RFP sent to Union Name, on Date Signature

\*\*\*\*\*

FOR DEPARTMENT OF HUMAN RESOURCES USE

PSC# STAFF ANALYSIS/RECOMMENDATION:

CIVIL SERVICE COMMISSION ACTION:

3. DESCRIPTION OF REQUIRED SKILLS/EXPERTISE

A. Specify required skills and/or expertise:

Required skills include expertise in architectural history, art history, and historic preservation. Experience in research and writing, or teaching in American architectural history or restoration architecture or substantial contribution through research and publication. Contractors' employees must meet Professional Qualifications Standards (Continued on attachment.)

B. Which, if any, civil service class normally performs this work?

These services could be provided by a portion of 5293 Planner IV and 5120 Architectural Administrator who possesses the requisite skills, training and experience.

C. Will contractor provide facilities and/or equipment not currently possessed by the City? If yes, explain:

Contractor will provide the services at their work site using their own standard office equipment (computer, etc.).

4. WHY CLASSIFIED CIVIL SERVICE CANNOT PERFORM

A. Explain why civil service classes are not applicable:

The City's civil service classifications do not cover the expertise and specific skills to prepare the background document and the cultural landscape survey. Also, the Planning Department has no identifiable historic architects that meet the federal requirements.

B. Would it be practical to adopt a new civil service class to perform this work? Explain.

No, given that these services are required only for a one-time consultation to the Planning Department, it would not be feasible to attempt to create a civil service class for this purpose, or add this as a specialty to an existing class.

5. ADDITIONAL INFORMATION (if "yes," attach explanation)

A. Will the contractor directly supervise City and County employees?

Yes	No
<input type="checkbox"/>	<input checked="" type="checkbox"/>

B. Will the contractor train City and County employees?

<input type="checkbox"/>	<input checked="" type="checkbox"/>
--------------------------	-------------------------------------

• Describe the training and indicate approximate number of hours.

• Indicate occupational type of City and County employees to receive training (i.e., clerks, civil engineers, etc.) and approximate number to be trained.

C. Are there legal mandates requiring the use of contractual services?

<input type="checkbox"/>	<input checked="" type="checkbox"/>
--------------------------	-------------------------------------

D. Are there federal or state grant requirements regarding the use of contractual services?

<input checked="" type="checkbox"/>	<input type="checkbox"/>
-------------------------------------	--------------------------

The USEPA requires recipients of their grants to conduct fair competitive bidding process and the local business enterprise subcontracting goal is not applicable to this contract.

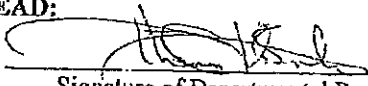
E. Has a board or commission determined that contracting is the most effective way to provide this service?

<input type="checkbox"/>	<input checked="" type="checkbox"/>
--------------------------	-------------------------------------

F. Will the proposed work be completed by a contractor that has a current personal services contract with your department?

<input type="checkbox"/>	<input checked="" type="checkbox"/>
--------------------------	-------------------------------------

THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD:



Signature of Departmental Personal Services Contract Coordinator

Thomas DiSanto

415.575.9113

Print or Type Name

Telephone Number

1650 Mission Street, Suite 400

San Francisco, CA 94103

Address

King, or  
1/2

City and County of San Francisco

Department of Human Resources

ATTACHMENT

DATE: 5/21/2012

DEPARTMENT NAME: PLANNING DEPARTMENT

DEPARTMENT NUMBER: 29

TYPE OF SERVICE: Civic Center Historic District Cultural Landscape Survey

1A. Concise description of proposed work: (Continued):

To help reach these sustainability goals, the San Francisco Public Utilities Commission (SFPUC) applied for and was awarded a grant from the United States Environmental Protection Agency (EPA) in September 2010 to develop the Civic Center Sustainable District Plan (Plan) that will evaluate opportunities for sustainable management of water, wastewater, stormwater and energy resources within the District and develop projects and strategies that will result in measurable reductions in water, wastewater and power demands over time. \$75,000 was budgeted for the Planning Department to develop a background documentation and a cultural landscape survey of the Civic Center Historic District.

These background documents are necessary in order to balance the goals of the Plan and to recognize and preserve the historic and cultural significance of the District. The existing designation materials do not fully document the important landscape features that, together with the buildings, comprise the character of the District. The documentation is intended to update and consolidate all background information regarding the District into one information source and identify all character-defining features that contribute to its significance, especially as related to the District's significance as an excellent example of the "City Beautiful" movement.

Consultant must meet the minimum professional qualification standards from the Secretary of the Interior Standards for the Treatment of Historic Properties to provide a matrix outlining survey findings, and prepare a single document based on a review of all previous documentation and primary research on the Civic Center Historic District.

3A. Specify required skills and/or expertise (Continued):

that define the minimum combination of education and experience for historic preservation identification as published in the Code of Federal Regulations, 36 CFR Part 61.

4508-12/13  
Original



# CIVIL SERVICE COMMISSION CITY AND COUNTY OF SAN FRANCISCO

EDWIN M. LEE  
MAYOR

July 18, 2012

## NOTICE OF CIVIL SERVICE COMMISSION ACTION

**SUBJECT: REVIEW OF REQUEST FOR APPROVAL OF PROPOSED PERSONAL SERVICES CONTRACT NUMBERS 4004-12/13 THROUGH 4010-12/13 AND 4185-06/07.**

KATE FAVETTI  
PRESIDENT

SCOTT R. HELDFOND  
VICE PRESIDENT

MARY Y. JUNG  
COMMISSIONER

E. DENNIS NORMANDY  
COMMISSIONER

SANDRA ENG  
ACTING EXECUTIVE OFFICER

At its meeting of July 16, 2012 the Civil Service Commission had for its consideration the above matter.

**PLEASE NOTE:** *It is important that a copy of this action be kept in the department files as you will need it in the future as proof of Civil Service Commission approval. Please share it with everyone responsible for follow-up.*

The Commission:

- (1) Adopted the report; Approved the request for PSC #4009-12/13 as amended to reflect that staff will be trained. Notified the Office of the Controller and the Office of Contract Administration.
- (2) Adopted the report; Approved the request for PSC #4185-06/07 as amended to extend duration to June 30, 2016. Notified the Office of the Controller and the Office of Contract Administration.
- (3) Adopted the report; Approved the request for all remaining contracts. Notified the Office of the Controller and the Office of Contract Administration.

If this matter is subject to Code of Civil Procedure (CCP) Section 1094.5, the time within which judicial review must be sought is set forth in CCP Section 1094.6.

CIVIL SERVICE COMMISSION

SANDRA ENG  
Acting Executive Officer

### Attachment

- c: Parveen Boparai, Municipal Transportation Agency
- Jesusa Bushong, San Francisco Fire Department
- Micki Callahan, Human Resources Director
- Gordon Choy, Department of Public Works
- Marie de Vera, Department of Human Resources
- Aleric Degrafinried, Public Utilities Commission
- Thomas DiSanto, Planning Department
- Jaci Fong, Office of Contract Administration
- Shamica Jackson, Public Utilities Commission
- LaWan Jones, Public Utilities Commission
- Rebekah Krell, Art Commission
- William Lee, Department of Emergency Management
- Brent Lewis, Department of Human Resources
- Ben Rosenfield, Controller
- Maria Ryan, Department of Human Resources
- Commission File
- Chron

POSTING FOR  
7/16/2012

PROPOSED PERSONAL SERVICES CONTRACTS - Regular

PSC No.	Dept No.	Dept Name	Approval Type	Contract Amount	Description of Work	Duration
4008-12/13	28	Art Commission	Regular	\$330,000	Eight Writer Corps Artists-in-Residence will conduct creative writing classes with youth in need at up to 14 sites in San Francisco. Artists-in-Residence will serve youth who may be educationally disadvantaged, recently immigrated, homeless, incarcerated, or in crisis. Artists-in-Residence will teach and mentor targeted youth to increase their learning, writing and public speaking skills. Artists-in-Residence will plan and organize lesson plans, facilitate writing workshops; compile, design and edit publications of youth writing; and help to organize city-wide literary arts events for participating youth. Artists-in-Residence will work for ten months from September to June.	9/1/2012 - 6/30/2013
4008-12/13	77	Emergency Management	Regular	\$385,000	This project will 1) assess the state of medical surge planning and patient tracking efforts in the Bay Area UASI (BAAUASI) region and provide technical assistance to counties; and 2) develop a final report including a gap analysis regarding regional medical surge planning, a testability assessment related to patient tracking, and a road map for next steps.	7/15/2012 - 1/1/2014
4008-12/13	31	Fire Department	Regular	\$258,719	The Fire Department currently owns a FireTrainer J-1000 Training Simulator, which is used at the Division of Training for conducting live fire simulations to recruits and uniformed members. Based on the manufacturer's preventive maintenance tasks outlined in the product's service manual, the contract will be for quarterly inspections, cleaning, checking/verifying, calibrating/adjusting and/or flushing of the product's various pilot lights, burners, valves, sensors, fans, blowers, wires, filters, batteries and cabinet housing. Additionally, if any of the product's elements listed above were to break down and need repair or replacement, the contract includes corrective maintenance at a pre-set hourly rate for labor plus the cost of parts.	7/1/2012 - 6/30/2015
4007-12/13	35	Municipal Transportation Agency	Regular	\$5,000,000	The consultant will provide specialized engineering and technical support during the rehabilitation of the existing Neoplan fleet and the upcoming procurement for the diesel-hybrid coaches and the electric trolley coaches. Their task will include detailed and structural analysis of the new coaches; quality control and inspection procedures; ensuring all required test, measurement and documentation performed and documented prior to coach delivery; provide independent price and cost analysis per Federal Transit Administration (FTA) guidelines; provide independent audits for pre-award and post-delivery of FTAs Bay Area requirements.	7/1/2012 - 12/31/2012
4008-12/13	29	City Planning	Regular	\$75,000	The SF Public Utilities Commission applied for and received a grant from the US Environmental Protection Agency in September 2010 to develop the Civic Center Sustainable District Plan that will evaluate opportunities for sustainable management of water, wastewater, stormwater and energy resources within the District and develop projects and strategies that will result in measurable reductions in water, wastewater and power demands over time. \$75,000 was budgeted for the Planning Department to develop background documentation and a cultural landscape survey of the Civic Center Historic District. The existing designation materials do not fully document the important landscape features that, together with the buildings, comprise the character of the District. The documentation is intended to update and consolidate all background information regarding the District into one information source and identify all character-defining features that contribute to the significance. The consultant will provide a matrix outlining survey findings, and prepare a single document based on a review of all previous documentation and primary research.	7/20/2012 - 12/31/2013

PERSONAL SERVICES CONTRACT SUMMARY ("PSC FORM 1")

Department: GENERAL SERVICES AGENCY - TECHNOLOGY Dept. Code: TIS

Type of Request: [ ] Initial [x] Modification of an existing PSC (PSC # 33637 - 14/15)

Type of Approval: [ ] Expedited [x] Regular [ ] Omit Posting

Type of Service: End user Training for Commvault Software and Equipment

Funding Source: General Fund

PSC Original Approved Amount: \$100,000

PSC Original Approved Duration: 06/20/14 - 06/19/15 (52 weeks)

PSC Mod#1 Amount: \$750,000

PSC Mod#1 Duration: 06/20/14-05/31/18 (2 years 49 weeks)

PSC Mod#2 Amount:

PSC Mod#2 Duration:

PSC Cumulative Amount Proposed: \$850,000

PSC Cumulative Duration Proposed: 3 years 49 weeks

1. Description of Work

A. Scope of Work:

Training for solutions and techniques for protecting, backing up and recovering physical server and virtual server files, applications, system images and remote offices and endpoint devices. These backup products provide features such as traditional backup to tape, backup to conventional disk or virtual tape library (VTL), data reduction, snapshot, heterogeneous replication, and continuous data protection (CDP). These solutions may be provided as software only, or as an integrated appliance that contains all or substantial components of the backup application, such as backup management server or a media server.

B. Explain why this service is necessary and the consequence of denial:

This request is technical support services and training for City end users to back up the DT servers that support the mainframe and all data that is currently virtualized. If this training and service is not provided, the data on the mainframe is jeopardized and would not fully support the City's daily function that would impact the following departments to include, but not limited to the Controller's Office, Department of Emergency, 311, the Board of Supervisors, and DHR.

C. Has this service been provided in the past. If so, how? If the service was provided via a PSC, provide the most recently approved PSC # and upload a copy of the PSC.

Yes see original request

D. Will the contract(s) be renewed? Yes.

2. Union Notification: On 10/28/14, the Department notified the following employee organizations of this PSC/RFP request: Architect & Engineers, Local 21;

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FOR DEPARTMENT OF HUMAN RESOURCES USE

PSC# 33637 - 14/15

DHR Analysis/Recommendation:

Civil Service Commission Action:

Commission Approval Required

DHR Approved for 12/01/2014

**3. Description of Required Skills/Expertise**

A. Specify required skills and/or expertise:

Subject matter expert on the Commvault Equipment and Software and certified to provide training to end users.

B. Which, if any, civil service class(es) normally perform(s) this work?

1042,1043,1044,

C. Will contractor provide facilities and/or equipment not currently possessed by the City? If yes, explain:

No.

**4. Why Classified Civil Service Cannot Perform**

A. Explain why civil service classes are not applicable:

The City has no employees who are subject matter expert and certified to provide technical support and provide training on this product. The training required is for end user training for back up and restore of data on the servers. No employee has the required certification to be able to train other City employees on how to complete this task.

B. Would it be practical to adopt a new civil service class to perform this work? Explain.

No, the Civil Service employee classification exist, but the work would not justify a full time position.

**5. Additional Information (if "yes", attach explanation)**

	YES	NO
A. Will the contractor directly supervise City and County employee?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
B. Will the contractor train City and County employee? 160 hours of training for 1042, 1043 and 1044 Engineers.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
C. Are there legal mandates requiring the use of contractual services?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
D. Are there federal or state grant requirements regarding the use of contractual services?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
E. Has a board or commission determined that contracting is the most effective way to provide this service?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
F. Will the proposed work be completed by a contractor that has a current PSC contract with your department? Yes Commvault has existing PSC see below	<input checked="" type="checkbox"/>	<input type="checkbox"/>

THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD

ON 10/28/14 BY:

Name: Kendall Gary Phone: 415-581-4066 Email: kendall.gary@sfgov.org

Address: One South Van Ness Ave., 2nd Floor, SF, CA San Francisco, CA

# Receipt of Union Notification(s)



**Renteria, Jason (TIS)**

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**From:** dhr-psccordinator@sfgov.org on behalf of kendall.gary@sfgov.org  
**Sent:** Tuesday, October 28, 2014 1:40 PM  
**To:** Warrington, Kendall (TIS); L21PSCReview@ifpte21.org; Renteria, Jason (TIS); DHR-PSCCoordinator, DHR (HRD); Isen, Richard (TIS)  
**Subject:** Receipt of Modification Request to PSC # 33637 - 14/15 - MODIFICATIONS

PSC RECEIPT of Modification notification sent to Unions and DHR

The GENERAL SERVICES AGENCY - TECHNOLOGY – TIS has submitted a modification request for a Personal Services Contract (PSC) for \$750,000 for services for the period June 20, 2014 – May 31, 2018. For all Modification requests, there is a 7-Day noticed to the union(s) prior to DHR Review.

After logging into the system please select link below:

<http://apps.sfgov.org/dhrdrupal/node/4090>

Email sent to the following addresses: [L21PSCReview@ifpte21.org](mailto:L21PSCReview@ifpte21.org)

# **Additional Attachment(s)**

## PSC 33637-14/15 End User Training Services for Commvault Software

### 5B. Will the contractor train City and County employees?

Yes, the contractor is expected to conduct end user training for the 1042, 1043 and 1044 IS Engineers. Training will include solutions and techniques for protecting, backing up and recovering physical server and virtual server files, applications, system images and remote offices and endpoint devices. These backup products provide features such as traditional backup to tape, backup to conventional disk or virtual tape library (VTL), data reduction, snapshot, heterogeneous replication, and continuous data protection (CDP). These solutions may be provided as software only, or as an integrated appliance that contains all or substantial components of the backup application, such as backup management server or a media server.

#### **Core Fundamentals**

##### **Description**

This 3-day Instructor-Led course is intended for personnel responsible for day-to-day administration and management of CommVault® Simpana® software. The course covers essential concepts, details, options, and best practices for user security and management, system settings, policy configuration and use, media and library management, job activity and status monitoring, and job management. Students also learn how to efficiently and effectively manage data movement (backup, archive, auxiliary copy, and restore) within a CommCell® group.

#### **Implementation and Maintenance**

##### **Description**

This 2-day Instructor-Led course is intended for operations and administrative personnel responsible for ongoing configuration of Simpana® software and troubleshooting. The course provides an introductory technical overview of architectural considerations, resource planning requirements, and installation options for deploying Simpana software. Students will learn configuration Best Practices and performance-enhancement techniques, as well as troubleshooting tools and processes that can help identify causes of and solutions for common problems.

This course can be delivered in combination with our 3-day Core Fundamentals course.

#### **Disaster Recovery—Design and Implementation**

##### **Description**

This 2-day Instructor-Led course is intended for administrators, engineers and other personnel who have completed Core Fundamentals. It is designed for those responsible for Disaster Recovery planning and implementation using CommVault Simpana software. This course addresses topics ranging from general disaster recovery concepts and terminology to specific planning and recovery steps using tools and technologies relevant to Simpana software. Students are instructed on how to identify risk factors affecting all CommCell components as well as suggested response levels and approaches that help reduce the potential impact to production environments. Through real-world scenarios and hands-on practice labs, students integrate and apply knowledge to effectively recover all necessary CommCell components.

**Will the proposed work be completed by a contractor that has a current PSC?**

**if "yes" please include an explanation. :**

Yes Commvault has existing PSC see below

**Has the Department requested additional staff to meet this ongoing requirement for service? :**

No, this service cannot be performed by city staff due to the technical and proprietary nature of the experience and knowledge needed to provide the training and technical support services.

**If not, is the Department willing to hire additional staff to create the capacity to do this work?:**

No, this service can only be performed by the vendor due to the technical and proprietary nature of the experience and knowledge needed of the Commvault software to provide the training and technical support services.

PERSONAL SERVICES CONTRACT SUMMARY ("PSC FORM 1")

Department: GENERAL SERVICES AGENCY - TECHNOLOGY - TIS Dept. Code: TIS

Type of Request:  Initial  Modification of an existing PSC (PSC # \_\_\_\_\_)

Type of Approval:  Expedited  Regular ( Omit Posting)

Type of Service: End user Training for Commvault Software and Equipment

Funding Source: General Fund PSC Duration: 52 weeks  
PSC Amount: \$100,000 PSC Est. Start Date: 06/20/2014 PSC Est. End Date: 06/19/2015

**1. Description of Work**

A. Scope of Work:

Training for solutions and techniques for protecting, backing up and recovering physical server and virtual server files, applications, system images and remote offices and endpoint devices. These backup products provide features such as traditional backup to tape, backup to conventional disk or virtual tape library (VTL), data reduction, snapshot, heterogeneous replication, and continuous data protection (CDP). These solutions may be provided as software only, or as an integrated appliance that contains all or substantial components of the backup application, such as backup management server or a media server.

B. Explain why this service is necessary and the consequence of denial:

This request is technical support services and training for City end users to back up the DT servers that support the mainframe and all data that is currently virtualized. If this training and service is not provided, the data on the mainframe is jeopardized and would not fully support the City's daily function that would impact the following departments to include, but not limited to the Controller's Office, Department of Emergency, 311, the Board of Supervisors, and DHR.

C. Has this service been provided in the past. If so, how? If the service was provided via a PSC, provide the most recently approved PSC # and upload a copy of the PSC.  
This is a new contract request.

D. Will the contract(s) be renewed? Yes.

**2. Union Notification:** On 07/08/2014, the Department notified the following employee organizations of this PSC/RFP request: Architect & Engineers, Local 21,

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**FOR DEPARTMENT OF HUMAN RESOURCES USE**

PSC# 33637 - 14/15

DHR Analysis/Recommendation:

Commission Approval Not Required

Approved by DHR on 07/24/2014

**3. Description of Required Skills/Expertise**

A. Specify required skills and/or expertise:  
 Subject matter expert on the Commvault Equipment and Software and certified to provide training to end users.

B. Which, if any, civil service class(es) normally perform(s) this work?  
 1042,1043,1044,

C. Will contractor provide facilities and/or equipment not currently possessed by the City? If yes, explain:  
 No.

**4. Why Classified Civil Service Cannot Perform**

A. Explain why civil service classes are not applicable:

The City has no employees who are subject matter expert and certified to provide technical support and provide training on this product. The training required is for end user training for back up and restore of data on the servers. No employee has the required certification to be able to train other City employees on how to complete this task.

B. Would it be practical to adopt a new civil service class to perform this work? Explain.  
 No, the Civil Service employee classification exist, but the work would not justify a full time position.

**5. Additional Information (if "yes", attach explanation)**

	<u>YES</u>	<u>NO</u>
A. Will the contractor directly supervise City and County employee?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
B. Will the contractor train City and County employee? 160 hours of training for 1042, 1043 and 1044 Engineers.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
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E. Has a board or commission determined that contracting is the most effective way to provide this service?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
F. Will the proposed work be completed by a contractor that has a current PSC contract with your department?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD  
 ON 07/23/2014 BY:

Name: Kendall Gary Phone: 415-581-4066 Email: kendall.gary@sfgov.org

Address: One South Van Ness Ave., 2nd Floor, SF, CA San Francisco, CA