



118-0492023-002

Agenda Item **No. 5(g)**
Meeting January 16, 2024

MEMORANDUM

TO: Community Investment and Infrastructure Commissioners

FROM: Thor Kaslofsky, Executive Director

SUBJECT: Authorizing a First Amendment to the Personal Services Contract with Lynx Insights and Investigations, Inc., a California Corporation, to increase the contract amount by \$75,000 for an aggregate amount of \$304,570 and to extend the term for an additional six months; reporting on results achieved under existing contract in searching for and contacting persons displaced by projects of the former Redevelopment Agency

EXECUTIVE SUMMARY

In 1967, the former San Francisco Redevelopment Agency (“Former Agency”) established a Certificate of Preference (“COP”) Program for displaced residents and businesses in the Western Addition A-2 Redevelopment Project Area (“WA-A2”). Two years later, in 1969, the California legislature established a “priority” for low- and moderate-income persons displaced by redevelopment projects (“Displaced Persons”) “in renting or buying” affordable housing developed by redevelopment agencies. This statutory preference is currently codified in the Community Redevelopment Law (“CRL”) at Section 33411.3 of the California Health and Safety Code and in the Property Owner and Occupant Preference Program of the Redevelopment Agency dated October. 1, 2008 (the “Certificate of Preference Program” or “COP Program”). The Board of Supervisors (“BOS”) codified the 2018 COP Program to include City-funded affordable housing in San Francisco Administrative Code, Section 47.3(a).

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Over time OCII’s records of the contact information for Displaced Heads of Households (“HH”) became dated and less useful. In December 2020, the Office of Community Investment and Infrastructure (“OCII”) released a Request for Proposals (“RFP”) for a consultant to locate and provide current contact information for the records of the Displaced Persons and who may be income-eligible for a preference in affordable housing in San Francisco.

In December 2021, the OCII Commission authorized a Personal Services Contract (“Contract”) with Lynx Insights and Investigations, Inc. (“Lynx” or “Contractor”) in partnership with New Community Leadership Foundation, to locate and confirm current contact information for original displacees in the WA-A2 and Hunters Point Redevelopment Project Areas. These Project Areas were subject to urban renewal programs in the 1960’s where the federal government funded widespread clearance of neighborhoods and the relocation of residents and businesses.

Lynx confirmed contact information for, or death of, 3,025 original displacees, as reported in Attachment 1, the “Report – Certificate of Preference Program Search” (“Report”). Staff is now proposing to amend the Contract to locate contact information for an additional estimated 800-1,200 original displacees.

Staff recommends authorizing the OCII Executive Director to enter into a First Amendment to the Contract (“First Amendment”) with Lynx for a term not to exceed four months, and an additional \$75,000 for a maximum expenditure authority not to exceed \$304,570.

BACKGROUND

Certificate of Preference Program Overview

Under state law, the COP Program gives a housing preference to low- and moderate-income persons in affordable housing projects assisted by OCII (or the Former Agency). The housing preference is for residents who were displaced by Former Agency activities, such as property acquisition and other actions implementing redevelopment plans. Those redevelopment activities, especially in the WA-A2 and Hunters Point Project Areas, displaced thousands of existing residents primarily in the 1960s and 1970s. Many of the displaced heads of households eventually received a COP, which provides documentation of displacement. To be eligible for a housing preference in affordable housing created by OCII or the Former Agency, the COP holder must also establish income eligibility for the particular affordable housing project.

Initially only displaced heads of households were eligible for COPs. However, in 1998, the Former Agency expanded eligibility for the COP Program to include persons who were minor children or adults who were not heads of households at the time of displacement, who appear in the Former Agency’s Site Occupancy Reports (“SORs”). In 2008, the BOS expanded the supply of affordable housing for which COP holders were eligible to include City-funded affordable housing programs.

In 2009, the Former Agency hired the Keane Organization, Inc. (“Keane”) to complete a survey of the documentation of the approximately 5,894 households comprised of approximately 12,230 individuals that were displaced, which included the following: scanned and created digital records (“PDFs”) of the original SORs documenting COP Holders who were displaced by Former Agency action since 1964; created an Access database of the scanned SORs; confirmed if the original Certificate Holders were still living (and provided a current/or last known address); and conducted an electronic and manual search for current/or last known address of household members at the time of displacement.

Keane concluded its work in July 2010 and found the following:

- Newly identified heads of households who had been displaced (also known as, Residential “A” certificate holders): 1,033
- Newly identified household members who had been minor children at the time of displacement (also known as, Residential “C” certificate holders): 287
- Deceased: 1,259
- *Displaced Persons for whom contact information was not found: 9,992*

The work completed and the final report generated by the Lynx team used the 12,000+ number of displacees from Western Addition A-2 and Hunters Point as the starting point.

DISCUSSION

The RFP and Contractor Selection

On December 3, 2020, OCII staff issued a RFP by posting the opportunity on the OCII and City and County of San Francisco’s Contracting website and informing over 100 organizations, including nonprofit organizations and small businesses located in San Francisco and Oakland, about this opportunity to locate COP holders. On December 7, 2021, the Commission authorized a Contract with Lynx to locate, and provide current contact information for, individuals who were originally displaced from their residences several decades ago by actions of the Former Agency.

Original Scope of Services

Initially the Contractor created a press release and developed a website to engage with COP holders. The Contractor completed an initial search of 4,500 records with social security numbers and a second search of 5,500 records (without social security numbers) with information gathered from the first Keane survey. After the database search the Contractor hired and trained individuals (“Investigators” or “Apprentices”) from impacted communities, these Investigators completed the direct contact work with original displacees where current contact information was verified.

Updated contact information was confirmed by 456 original displacees. Additionally, during the process of confirming contact information, the Investigators also contacted a total of 617 descendants who were the source of information about the original displacees. Finally, the Contractor was required to prepare a final “Phase 1” report and present it to the Commission. A summary of the investigative results for Phase 1 are as follows:

Total Individuals Displaced	#	%
	12,231	100%
Located		
Contacted	456	
Located – Non-Responsive	211	
Confirmed Deceased	2,358	
Subtotal	3,025	25%
Not Located	#	%
Not Located After Investigation and Outreach	362	
Investigative Lead Identified / Record Not Completed	2,124	
Further Research Needed	4,261	
Name Only	2,459	
Subtotal	9,206	75%

The term of the Contract was for nine months beginning on January 3, 2022; this time was extended for an additional six months by the Executive Director due to various project challenges described below. The total budgeted contract amount was \$229,570, which includes the Contract amount plus the Contract contingency which was needed to complete additional contact confirmations.

Project Challenges

The Lynx team realized that many of the individuals they would be searching for, and contacting were children at the time of displacement who did not have a Social Security Number (“SSN”) and many did not include a Date of Birth, so the bulk database searches needed to be conducted only on the Head of Household (“HH”). Therefore, the database search for the HH included a “possible relatives” function which provided some clues for locating the dependents. This challenge required the Lynx investigators to provide additional staff training in how to use the information obtained to locate household members. The result was an additional challenge of time management. Based on industry experience the Lynx team estimated 45 minutes of investigator time to confirm contact information for each displaced person. However, this project averaged 2.4 hours per displaced person because much of the work was more complex and time-intensive than anticipated due to missing data in records as well as longer interviews needed to develop leads. Once the investigative leads, search techniques and technological systems and solutions were developed and fine-tuned the average time spent per displaced person dropped to 1.5 hours.

Unfortunately, the lack of sufficient identifying information resulted in 6,720 (55%) of displaced individual’s records requiring further research (via manual database searches) to obtain any type of verifiable contact information.

COP Descendants

The children and grandchildren of the originally displaced persons played a critical role in locating originally displaced people. Interestingly the descendants encouraged their originally displaced parent or grandparent to provide current contact information because their information would be helpful in the descendant receiving their own COP. As a result, a total of 617 descendants of displaced individuals provided contact information to the investigative team.

Phase 2 Contract Work

Once the investigative data gathering systems were in place, the Lynx investigative team began seeing significant results, especially in the final months of their work. Now that the systems have been established and were operating well, staff is recommending continuing the search work with a Phase 2 to the research. The Lynx team projects that with an additional \$75,000 they can locate between 800 and 1,200 of the remaining displaced persons. Furthermore, the team estimates that the Phase 2 search will result in reaching, identifying and confirming contact information for 600 to 800 descendants as part of the team's efforts to locate original displacees.

The numbers provided for the Phase 2 work are based on the results of the second group of investigators in the Phase 1 search, who were able to identify and confirm contact information for a displaced person within an average of 1.5 hours of research. The Lynx team will use the investigative leads, search techniques and technological systems and solutions that were developed and fine-tuned in the Phase 1 search. Staffing will be similar to Phase 1, with a team of 5-6 investigators who are predominantly either COP holders or individuals from the impacted communities working alongside experienced professional investigators. This diverse blend of professional investigators and staff helps to build trust with displacees and fosters mentorship providing a unique investigative approach that worked well during the Phase 1 work.

This funding will support the Lynx investigative team for a term not to exceed four months, with each member of the investigative team working approximately 20 hours per week.

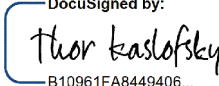
SMALL BUSINESS ENTERPRISE PROGRAM

Lynx Insights and Investigations, Inc., is in compliance with the OCII's purchasing and contracting policies, including policies on non-discrimination in benefits, minimum compensation and healthcare accountability.

STAFF RECOMMENDATION

Staff recommends the Commission approve and authorize the Executive Director to execute a First Amendment to the Contract with Lynx Insights and Investigations, Inc., a California Corporation, for an additional \$75,000 for an aggregate amount of \$304,570 for an extended term not to exceed four months, to search for and contact additional displacees who may be eligible for a Certificate of Preference.

(Originated by Pamela Sims, Senior Development Specialist)

DocuSigned by:

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Thor Kaslofsky
Executive Director

Attachment 1 – Report – Certificate of Preference Program Search

Attachment 2 – Personal Services Contract with Lynx Insights and Investigations, Inc.

Attachment 3 – First Amendment to the Personal Services Contract



September 27, 2023

Report – Certificate of Preference Program Search

Prepared for: The Office of Community Investment and Infrastructure

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Scope, Methodology & Summary of Results

Lynx Insights & Investigations Inc. (“Lynx”), in partnership with New Community Leadership Foundation (“NCLF”), was retained by the Office of Community Investment and Infrastructure (“OCII”) to locate and confirm current contact information for over 10,000 people who were displaced from their homes in San Francisco in the urban renewal projects of the 1960s and 1970s.

Lynx received a spreadsheet from OCII with 5,894 lines of data, each line representing a displaced household (“Household Record”) consisting of one Head of Household (“HoH”) and zero to five dependents (“Dependents”). In each Household Record, the Dependents can include roommates and other people who are not the spouse or child of the HoH. The total number of displaced persons in the spreadsheet, including both HoHs and Dependents, was 12,231 displaced persons.

Displaced Persons in Spreadsheet:

Category	HoH	Dependents	Total
Displaced Persons	5,894	6,337	12,231

Verifying contact information for a person generally requires contact with the individual; in the absence of a verified deceased record, current contact information cannot be confirmed by database research alone. In excess of 20,000 phone calls were made in the investigation to reach displaced persons and engage with their families.

The investigative strategy included:

- 1) Conduct bulk database searches to identify current addresses and phone numbers, deceased records and possible relatives for displaced persons.
- 2) Conduct investigations and outreach to identify and contact surviving members of the displaced households, provide information of the availability of the Certificate of Preference program to their family, and confirm contact information for them and their family members. Outreach was conducted primarily by telephone, but also included social media direct messages and follow-up emails. Examples of the investigation and outreach process for three Household Records are included, please refer to **[Exhibit 1]**.
- 3) Create and disseminate media for outreach and community engagement, and maintain phone and email accounts for people who believe their family was displaced to contact the investigation team.

Project Results

One quarter (3,025) of the 12,231 displaced people identified in the spreadsheet were located and three quarters (9,206) were not located.

Total Displaced Persons:



The Located persons fall into three categories:

- **Contacted (456 individuals):** These displaced persons were contacted by project investigators, usually via telephone with a follow-up email sent to them, and offered information regarding the Certificate of Preference program, hyperlinks to apply, and information relevant to the application process.
- **Located – Non-Responsive (211 individuals):** These displaced persons were located by project investigators, but did not respond to outreach. Reasons for the lack of response vary: some were unable to respond due to disabilities and were contacted through family members, while others simply did not return phone calls.
- **Deceased (2,358 individuals):** These displaced persons were confirmed as deceased in database research, online obituaries, or through interviews with family members.

The Not Located persons fall into four categories:

- **Not Located After Investigation and Outreach (362 individuals):** These displaced persons were not located after project investigators tapped into family networks and exhausted available investigative tools (including manual database searches) to locate and identify them.
- **Investigative Lead Identified – Record Not Completed (2,124 individuals):** Investigative leads (defined here as possible current addresses and phone

numbers for the displaced person and their relatives) were identified in bulk database research. However, due to challenges in the investigation process (detailed below) and to budgetary and time constraints under this contract, investigations and outreach were not completed for these individuals.

- **Further Research Needed (4,261 individuals):** Investigative leads were not identified for these displaced persons in bulk database research, often due to lack of sufficient identifying information, such as a Social Security number (“SSN”) or date of birth (“DOB”). Manual database research, conducted on a record-by-record basis, is necessary to identify investigative leads for these displaced persons.
- **“Name Only” Records (2,459 individuals):** The spreadsheet did not provide a DOB or an SSN for these displaced persons, and a name alone is generally insufficient data to conduct bulk database research. Review of original handwritten paper records (“Original Records”) and manual database research is necessary to identify investigative leads for these displaced persons.

Results of Investigation and Outreach:

Located	#	%
Contacted	456	
Located – Non-Responsive	211	
Deceased	2,358	
Subtotal	3,025	25%
Not Located	#	%
Not Located After Investigation and Outreach	362	
Investigative Lead Identified / Record Not Completed	2,124	
Further Research Needed	4,261	
Name Only	2,459	
Subtotal	9,206	75%
Grand Total	12,231	100%

Anticipated Project Challenges

At the outset of this project, a key challenge identified by the Lynx team was obtaining contact information for the Dependents, who were often children at the time of displacement and listed only by first name and age in OCII records. In order to positively identify the Dependents, bulk database searches were conducted on only the HoH, for

whom a Social Security number (“SSN”) and date of birth (“DOB”) was collected at the time of displacement, since these key identifiers are necessary for a successful bulk database search.

In order to identify the Dependents, a “possible relatives” function in the database was utilized to identify relatives linked to the HoH. Investigators cross-referenced the HoH’s relatives identified in database research with the Dependents listed on the 50-year-old Household Record, searching for clues to identify the current whereabouts of the Dependents.

The Lynx team also understood that investigations are rarely completed with simple or easily-defined tasks; investigations require a complex combination of methodical workflow processes, creative thinking and interpersonal skills. As a result, this project required substantial staff training followed by ongoing support from experienced Lynx investigators throughout the project.

Unanticipated Project Challenges

The investigation team also encountered unanticipated challenges in performing this work. Some of the most impactful unanticipated challenges included:

Time Required to Locate Displaced Persons: Estimated vs. Actual

In the original proposal, project management estimated 45 minutes of investigator time to confirm contact information for each displaced person. The work proved to be more complex and time-intensive than anticipated. Typically, it was necessary to tap into family networks, calling numbers identified for possible relatives of the displaced persons, and engaging with multiple family members, in order to locate a displaced person. Over the course of the project, the investigators spent an average of 2.4 hours per displaced person located. As detailed in the project chronology (see below), this average time improved over the course of the project as a result of refined workflow processes and new technological solutions, with a second group of investigators working an average of only 1.5 hours per displaced person located.

As a result of the additional time required to complete records, there are 2,124 displaced persons for whom there are investigative leads (such as possible current addresses and phone numbers) but the contractual time and budget to locate these persons and complete these records has been exhausted.

Lack of SSNs Negatively Impacted Bulk Database Search Results

In the original proposal, project management believed that most of the HoH records would contain an SSN, but in the spreadsheet provided by OCII staff, only 2,659 of the 5,894 HoH records contained an SSN. As a result, the bulk database search did not produce as many results as was originally anticipated. The bulk database search did not return investigative leads for a total of 4,261 displaced persons, and an additional 2,459 displaced persons lacked both DOB and SSN (“Name Only” records) and were not

submitted in the bulk database search, for a total of 6,720 displaced persons with no investigative leads.

Manual Database Research Required for Remaining Records

Manual database research, in which the available identifiers for a displaced person are entered into database searches on a record-by-record basis, is required to locate the remaining 6,720 displaced persons for whom no investigative lead has been identified in bulk database research.

These records include the 2,459 displaced persons for whom neither a DOB or an SSN is available in the spreadsheet. The investigation team reviewed a sample of the original handwritten paper records ("Original Records") for these records and found that a DOB or SSN could be found in the Original Records for approximately half of these records, despite their omission from the spreadsheet. These "Name Only" records will require review of Original Records in addition to manual database research.

This manual database research and review of Original Records is outside the contractual scope of work.

Descendants: a Relevant Category of Person Outside This Contract

In the process of locating the displaced persons, the investigation team frequently came into contact with another category of people who are now eligible for a Certificate of Preference: the children and grandchildren of the displaced persons ("Descendants"). Descendants are not to be confused with Dependents, who were displaced along with the HoH as the spouse, child or roommate of the HoH. Descendants are the offspring of the displaced persons, including both HoH and Dependents.

As a result of the enactment of California AB1584 in September 2021, the Certificate of Preference was extended to the Descendants of displaced persons. This development occurred after the Request for Proposals for the Certificate of Preference Program Search was issued by OCII in December 2020, and Descendants are outside the contractual scope of work for this project. Nonetheless, the Descendants have been instrumental in helping the investigative team to locate the displaced persons, both by answering investigator calls and assisting in locating their family members who were displaced, and by motivating the displaced persons to cooperate since the Descendants, who are their children and grandchildren, are now also eligible for the potential benefit.

In the investigation to date, a total of 617 Descendants of displaced persons were identified, with their names and contact information added to their Household Record. The actual number of descendants reached is likely significantly higher than the 617 individuals identified in investigation and outreach, since many of the people contacted told investigators that they would convene a family meeting, get the word out to family

members, or forward on the email sent, to reach additional descendants and potential Certificate of Preference holders.

INVESTIGATIVE RESULTS

The goal of this project was to obtain current contact information for 12,231 displaced persons who lived in 5,894 households over 50 years ago. The identifying information for these displaced persons was provided in a spreadsheet which was created in approximately 2010 by another vendor, the Keane Organization (“Keane”), using information from the original handwritten paper records (“Original Records”) created at the time of displacement in the late-1960s and early-1970s. OCII provided scanned images of the Original Records for reference, but the scope and budget of this project did not include comprehensive review of these documents.

Bulk Database Research

In order to generate investigative leads to locate the displaced persons, the data in the spreadsheet was submitted to a bulk database search. Instead of manually entering each displaced person’s identifying information into a person-finding database, hundreds of hours of staff time were saved by submitting the data in bulk and retrieving results in a spreadsheet that could be used by investigators to immediately place calls and conduct further research as needed.

Chronology of Data Review and Bulk Database Search

In August 2022, Lynx received from OCII a spreadsheet with 5,894 lines of data. Each line represents a displaced household (“Household Record”) consisting of one Head of Household (“HoH”) and zero to five dependents (“Dependents”). The total number of displaced persons in the spreadsheet, including both HoHs and Dependents, is 12,231 displaced persons.

Because the spreadsheet generally provides full name, date of birth (“DOB”) and/or Social Security number (“SSN”) only for the HoH, and provides only first name and age for the Dependents, bulk database searches were only conducted on the HoH.

Heads of Household in Spreadsheet:

Data Provided	HoHs
Name, DOB, and SSN	2,659
Name and Date of Birth (no SSN)	1,855
Name only (no DOB or SSN)	1,380
Total	5,894

In September 2022, Lynx conducted a comprehensive review of the spreadsheet data. Lynx determined that 1,380 of the Household Records listed therein lacked sufficient identifiers to be run through a bulk database search.

In October 2022, Lynx ran a bulk search for the remaining 4,514 Household Records listed in the spreadsheet (2,659 + 1,855 HoH records). With a total of 4,514 HoHs and 5,258 Dependents, these Household Records encompassed a total of 9,772 displaced persons and included searches for:

1. Deceased records for each Head of Household.
2. Most recent contact information for each Head of Household, including address and phone.
3. Contact information for up to six possible relatives of the Head of Household, including address and phone.

The bulk database research identified 1,567 Household Records in which the HoH was found to be deceased and had no dependents. These 1,567 Household Records were deemed "Complete." (These HoH may have descendants who are eligible for a Certificate of Preference, however these descendants are not included in the scope of work. Nonetheless, descendants of HoH were sometimes encountered during the investigative process and were added to the database as they were identified).

The bulk database research produced addresses, phone numbers, and possible relatives for the HoH for 1,318 Household Records. These Household Records were labeled "Records Ready to Work." These 1,318 Household Records included 2,626 Dependents, for a total of 3,944 displaced individuals with potential investigative leads for contact.

The 1,629 Household Records which produced no positive identification in the bulk database research were designated as "Further Research Needed." As a result of this lack of identification, the bulk database search did not provide investigative leads to locate 4,261 of the displaced persons.

Results of Bulk Database Research:

Category	HoH	Dependents	Total
Deceased with no Dependents	1,567	0	1,567
Records Ready to Work	1,318	2,626	3,944
Further Research Needed	1,629	2,632	4,261
Total	4,514	5,258	9,772

Data Challenges

The need for further research on so many records was not anticipated; the bulk database search produced no investigative leads for a total of 4,261 displaced persons. This data-based research challenge resulted from the following major factors:

- 1) Only 2,659 HoH records contained an SSN.
- 2) The Original Records are over 50 years old, and information contained in commercial databases typically only goes back 30-40 years.
- 3) 261 of the HoHs were over 100 years old.
- 4) Errors and omissions in data entry in the spreadsheet created by Keane in 2010.¹

Based on a review of the spreadsheet and a limited review of the Original Records, some errors and omissions in the Keane spreadsheet were identified. DOB formatting issues and errors in SSN data entry were identified and corrected prior to submission for bulk data searches.

Other issues were not addressed prior to bulk database research, including the following:

1. The Keane spreadsheet limited the number of individuals in each Household Record to six and omitted additional household members that were identified in the Original Records. The Original Records from which the spreadsheet was created had up to nine lines for household members, and additional names were sometimes penciled in for households of ten or more.
2. A sample of 27 "Name Only" Household Records in which no DOB or SSN was provided for the HoH in the spreadsheet were reviewed and investigators found a DOB and/or SSN in Original Records for 12 of these Household Records.

Because a comprehensive review of Original Records was outside of the scope of work for this contract, "Name Only" Household Records were not included in the bulk database search.

Nonetheless, the samples reviewed by Lynx indicate that it is possible to positively identify (and therefore obtain contact information for) the HoH and/or Dependents for many of the "Name Only" and "Further Research Needed" through manual database research and review of the Original Records.

¹ Lynx was able to identify and correct some errors in the Keane spreadsheet, such as SSNs that were missing numbers and DOBs that included only two numbers for year of birth when the person was born in the 1800s, so that 10/10/97 was corrected to read 10/10/1897. Lynx was not able to correct other errors, such as misspelled names (very common due to the source material being handwritten as well as alternate spellings of names over time) and other data entry errors for DOB and SSN entries.

Investigation and Outreach

In order to locate and confirm current contact information for the displaced persons, telephone calls were made directly to displaced persons, with email follow-ups when appropriate. When investigators were unable to reach the displaced person directly, phone calls were made to family members and descendants of the displaced persons, along with email follow-ups.

To ensure cultural competency and engage with the impacted communities, individuals with ties to the impacted communities (“Investigative Apprentices”) were hired and trained to conduct investigations and outreach. Experienced Lynx investigators worked alongside the Investigative Apprentices and provided them with training and support throughout the project.

Investigations are rarely completed with simple or easily-defined tasks; they often require a complex combination of methodical workflow processes, creative thinking and interpersonal skills. This project, with its large number of similar but unique mini-investigations, is well suited for training new investigators. Project management is very proud of the achievements of the Investigative Apprentices in this project, who brought a wide range of professional experience and competencies to this complex assignment.

Case Examples: Three Household Records

The Investigative Apprentices found that each Household Record was unique and required an individualized solution. To illustrate the type of investigative work that was required, below are three case examples, each worked by a different Investigative Apprentice. To illustrate the problem-solving and teamwork that was required, a redacted screenshot from the project interface for each of these records has been included. **[Exhibit 1]**

1. Record No. 2085: *This Household Record consisted of a husband, wife, and three sons. A deceased record was identified for the father in bulk database research. The middle son, who was age 10 at time of displacement, was contacted via telephone and stated that his mother was living, but had dementia and currently lived with him. The middle son provided contact information for his younger brother, who was contacted after several attempts. The eldest son is deceased but had children, one of whom was contacted in the course of the investigation and said that she would get word out to her siblings and cousins. All family members were referred to MOHCD.*
2. Record No. 4004: *This Household Record consisted of a husband, wife, daughter and son. An obituary for the father was identified in online research, which stated that his wife was also deceased. The first name of the wife in the obituary was different from the first name of the wife in the OCII records, however, and additional genealogy research was required to verify that it was in fact the same*

woman in both records -- she went by her middle name later in life. The daughter was contacted, but expressed disinterest in the family history. The daughter said that she would share the information with her brother, but did not respond to emails or subsequent phone calls. No active phone number was identified for the brother. Names for three grandchildren were identified from the obituary for the father.

3. Record No. 4741: *This Household Record consisted of a father and a son. A deceased record was identified for the father in bulk database research. Calls to phone numbers identified for the son were not successful, and contact was finally made by calling a relative who turned out to be the son's wife. Once contacted, the son provided the investigator with contact information for his sister (who was not listed on the record) and his children, and all family members were referred to MOHCD.*

Chronology of Investigation and Outreach

In addition to making direct contact with displaced persons and their families, media was created and disseminated to engage with the impacted community at large. In September 2022, a press release was published, a website and job announcement were created, and the job announcement was distributed to over 200 nonprofit organizations, businesses, activists and community members in the Bay Area. As a result of NCLF's outreach, a dynamic and diverse group of individuals with ties to the impacted communities responded to the job announcement. Interviews were conducted via Zoom with 19 candidates, and eight finalists (the "Investigative Apprentices") were selected, onboarded as employees and provided with a full-day in-person training at the NCLF offices in November 2022.

The Investigative Apprentices were provided with an interview template, which was workshopped and refined at the in-person training and subsequent trainings held on Zoom calls. The Investigative Apprentices began making calls to potential Certificate of Preference holders in December 2022, with ongoing training and support from project management and Lynx investigators. Once contact was made with a family member, the investigator followed the interview template and attempted to win trust and cooperation from the family member.

The initial approach involved providing each Investigator with approximately 60 Household Records in a spreadsheet format, with a paper worksheet where they could take notes and build out the family network. By mid-December 2022, the investigative team had encountered challenges with entering and managing data in the spreadsheet format. In late December 2022, an alternative web-based interface for the project was identified. In the weeks that followed, this online interface was built and tested to replace the paper worksheet. An updated workflow process, designed around the online interface, was ready for the investigator team to use in January 2023.

The online interface has been a valuable addition to the project, allowing for flexible and secure transfer of records, communication and oversight between Investigative Apprentices and project management, and review and finalization of records. The project was launched in the midst of the Covid-19 pandemic, which added to the need for many project staff to work remotely. The online interface provided a platform for training, support and collaborative teamwork to occur in the context of completing complex assignments while working remotely. Examples of the online interface for three Household Records, each one completed by a different Investigative Apprentice, is included with this report. **[Exhibit 1]**

In January 2023, the Investigative Apprentices were also introduced to additional research tools, including online research, genealogy websites, and person-finding databases that offer the same type of searches utilized in the bulk-database search (phone number, address and possible relatives). By the end of January 2023, all investigators were trained in interviewing techniques, data management, and a variety of online investigative tools.

In the months that followed, the investigator team continued to identify and implement best practices through collaborative teamwork. In March 2023, with input from the Investigative Apprentices, project management developed a template for a follow-up email, letter, or text message. As a result, once a displaced person was reached on the telephone, they would be sent a standardized written follow-up with links to relevant resources, contact information for the Certificate of Preference coordinator at the Mayor's Office of Housing and Community Development ("MOHCD"), and information specific to displaced person's family that would allow them to complete the online form to apply for a Certificate of Preference. Providing this useful information in written form, following an impactful telephone interview, facilitated the sharing of this information among family members in the displaced household and successful completion of Certificate of Preference applications.

The team's efforts have been publicized in local media outlets, such as the San Francisco Bay View and received media coverage from articles in the San Francisco Public Press,² the New York Times³ and the Guardian.⁴ This media coverage and NCLF's community outreach efforts have resulted in numerous calls to the project's central phone number and email. The team received a total of 138 incoming calls and emails from individuals who believed their family may have been displaced; 39 of these calls (28%) resulted in a match with a displaced person in the spreadsheet.

² <https://www.sfpublishpress.org/housing-program-to-redress-urban-renewal-could-get-boost-from-sf-reparations-plan/>

³ <https://www.nytimes.com/2023/05/16/us/san-francisco-reparations.html?searchResultPosition=1>

⁴ <https://www.theguardian.com/us-news/2023/sep/09/san-francisco-public-housing-detectives-renewal>

Investigator Challenges

The first challenge for investigators in confirming contact information for a displaced person was finding an active phone number for that person and getting through to them. Project management estimates that investigators placed approximately 20,000 calls over the course of the six-month investigation. To arrive at this estimate, the call log of one investigator who had worked 83 Household Records was reviewed. A total of 1,045 unique numbers were called, most of them called multiple times.

Due to the limits of available databases, sometimes the only way to find an active telephone number or deceased status for a displaced person was through a cooperative family member. While many people were not comfortable giving out phone numbers of family members to a stranger on the phone, people interviewed were generally willing to provide an email or physical address so that follow-up information relevant to the family could be received and easily shared within the family network. This discovery led to the creation of a follow-up email and mail template to be sent after a successful call.

While many of the outreach calls were initially met with cautious or suspicious responses, the team frequently won trust and enthusiastic cooperation from people. Sometimes, the work to win trust resulted in additional work for investigators, with multiple family members, including grandchildren and great-grandchildren, calling to get their information added to the record. On several occasions, the investigators became involved in efforts to obtain expedited housing for a family member in need, such as assisting an unhoused individual to complete an online application with MOHCD.

Midway through the project, project management increased the number of fields for “Additional Descendants” from six to ten to accommodate families who provided investigators with names of many descendants, for a maximum of 16 individual fields for each Household Record. Names of descendants over this number are included in the notes field for the record.

In March and April 2023, six additional Investigator Apprentices were added to the project, due to limited availability of several of the original eight to contribute to the project. These six were trained in interviewing techniques, data management, and online investigative tools in individual Zoom sessions lasting approximately three hours; a much more efficient onboarding process than the first group of Investigator Apprentices. The second group of Investigator Apprentices were very productive, completing a total of 137 Household Records (out of a project total of 432 Household Records) in less than three months.

In the original proposal, project management estimated 45 minutes of investigator time to identify contact information for each displaced person. In practice more time was required: the first group of Investigative Apprentices who started work in December 2022 worked an average of 3.1 hours per displaced person located; the second group of Investigative Apprentices, who joined the project in March and April 2023 and

benefited from refined workflow processes and technological solutions developed in the first half of the project, worked an average of 1.5 hours per displaced person located.

The success of this second group of Investigator Apprentices shows that the refinement of the workflow processes and technological solutions that were achieved during the course of this project has positioned project management to efficiently and effectively onboard and train community members to do this complex and impactful work in the future.

Conclusion

The results show that a participatory investigation model is effective and impactful, allowing members of the communities that experienced displacement to play a critical role in locating and contacting the people who were displaced. During the course of this project, Lynx, NCLF and the Investigative Apprentices engaged in collaborative team work to develop and refine a technologically effective and culturally competent solution. This solution includes interview templates and techniques; follow-up email and mail templates; a suite of database and online search resources and search techniques; and an online interface that allows tens of thousands of records in a massive database to be shared, updated, commented-upon, reviewed, finalized and tabulated in a secure environment while allowing for work to be completed remotely.

Over six months of investigation and outreach, contact information was confirmed for 3,025 displaced persons (including 2,358 deceased individuals), or 25% of the 12,231 displaced persons in the Keane spreadsheet. This number is 31% of the 9,772 displaced persons for whom there were enough identifiers to include them in the bulk database search, and 54% of the 5,511 displaced persons for whom the bulk database search returned investigative leads.

The time and resources provided to the investigator team under this contract have been exhausted with 2,124 displaced persons not yet been located or contacted, but for whom there are investigative leads, such as possible current addresses and phone numbers that have not been verified. Project management has created work-flow processes, training protocols and technological solutions that leave this team well-positioned to continue the work of locating these additional displaced persons under a new contract.

There are 4,261 displaced persons for whom investigative leads were not identified in bulk database searches. Additionally, there are 2,459 displaced persons in "Name Only" records that will require additional document review before database research can be conducted. The review of the Keane spreadsheet and samples of the original handwritten paper records indicated that finding contact information for these individuals with additional manual database research and document review is possible.

At the client's direction, this team is prepared to continue the work of finding displaced persons using the tools that have been developed.

OFFICE OF COMMUNITY INVESTMENT AND INFRASTRUCTURE/
SUCCESSOR AGENCY TO THE REDEVELOPMENT AGENCY OF THE CITY AND
COUNTY OF SAN FRANCISCO

PERSONAL SERVICES CONTRACT

This PERSONAL SERVICES CONTRACT (“Contract”) is entered into as of June 2, 2022 by and between the OFFICE OF COMMUNITY INVESTMENT AND INFRASTRUCTURE/SUCCESSOR AGENCY TO THE REDEVELOPMENT AGENCY OF THE CITY AND COUNTY OF SAN FRANCISCO, a public body, corporate and politic (“OCII”), and LYNX INSIGHTS AND INVESTIGATIONS, INC. **“a California corporation”** (“Contractor”).

RECITALS

A. The Office of Community Investment and Infrastructure, Successor Agency to the Redevelopment Agency of the City and County of San Francisco (“OCII”), is interested in identifying persons who were displaced by the former Redevelopment Agency in the 1960’s and 1970’s as a result of redevelopment activities and who are eligible for Certificates of Preference (“COP”). OCII has previously identified approximately 900 COP holders who have affirmatively indicated interest in affordable housing, subject to meeting income and other program requirements. COP holders have a priority in housing that is funded or sponsored by OCII or the Mayor’s Office of Housing and Community Development (“MOHCD”). OCII seeks to locate additional displacees through this Contract.

B. On December 3, 2020, OCII staff released a Request for Proposals to seek an entity or firm to obtain and confirm contact information for household members who were living in units at the time of displacement by San Francisco Redevelopment Agency action.

C. On February 18, 2021, staff received eight responses from possible candidates. On May 20, 2021, OCII issued Addendum #2. On June 18, 2021, staff received five updated submissions. Housing and Contract Compliance staff reviewed the submittals and considered the teams’ responsiveness to the RFP and their qualifications.

D. On August 24, 2021, three of the teams were interviewed by a panel that included representation from the COP Committee appointed under OCII Resolution No 41-2020 (Dec. 15, 2020), the Mayor’s Office of Housing and Community Development and OCII. After conclusion of the evaluation process, the Lynx Insights and Investigations/New Community Leadership Foundation team was determined to be the highest ranked proposer and the best qualified contractor to perform the required scope of work. Notably, New Community Leadership Foundation (a local non-profit organization) will perform significant aspects of the required scopes of work as a subconsultant in this team.

NOW, THEREFORE, OCII and the Contractor agree as follows:

1. SCOPE OF SERVICES

Contractor shall provide the services described on **Attachment A**, "Scope of Services".

2. TIME OF COMPLETION

Contractor's Schedule of Performance is set forth on Attachment "A". The work under this Contract shall commence as of the effective date of the Contract.

3. COMPENSATION AND METHOD OF PAYMENT

A. Compensation. The maximum amount payable under this Contract is One Hundred Ninety-Nine Thousand Six Hundred Twenty-one Dollars (\$199,621.00). Payment shall be made according to the schedule and terms described on **Attachment B**, "Budget". All expenses of Contractor are included in the amounts payable pursuant to Attachment B and no expenses shall be reimbursed separately. Contractor will submit monthly billing invoices to OCII. The invoices shall include the billing amount, total hours invoiced, hourly billing rate, description of services rendered, supporting documentation and Contractor's signature. OCII staff will review and approve these invoices for payment. Additional services for an amount not to exceed Twenty-Nine Thousand Nine Hundred Forty-Nine (\$29,949) or (15%) will be payable only to the extent of any change orders for additional services, will be made available at the discretion of the OCII Executive Director.

B. Taxes. No payroll or employment taxes of any kind will be withheld or paid by OCII on behalf of Contractor. OCII will not treat Contractor as an employee with respect to the Contract services for any purpose, including federal and state tax purposes. Contractor understands and agrees that it is Contractor's responsibility to pay all taxes required by law, including self-employment social security tax. OCII will issue an IRS 1099 Form, or other appropriate tax-reporting document, to Contractor for the Contract services.

C. Benefits. Contractor will not be eligible for, and will not participate in, any health, pension, or other benefit of OCII which exists solely for the benefit of OCII employees during the Contract Term.

4. NO PERSONAL LIABILITY

No member, official or employee of OCII shall be liable personally to Contractor or any successor in interest in the event of any default or breach by OCII or for any amount which may become due to Contractor or any successor or on any obligation under the terms of this Contract.

5. ASSIGNMENT OF CONTRACT

Contractor shall not assign this Contract, or any part thereof, without the prior express written consent of OCII.

6. INTENTIONALLY OMITTED

7. NON-FEDERAL LABOR STANDARDS

Contractor agrees that any employees performing work or services for Contractor shall be subject to the State and local laws governing prevailing wage rates, hours and working conditions, and benefits applicable to similar work or services performed in San Francisco. Contractor further agrees that the inclusion of the above provision in this Contract shall not be construed to relieve Contractor or any subcontractor from the pertinent requirements of any applicable Federal labor standards provision. Where minimum rates of pay required under State or local law are higher than the minimum rates of pay required by or set forth in applicable Federal labor standards, said State or local minimum rates shall be the applicable minimum rates of pay for such classifications.

8. INDEMNIFICATION

To the fullest extent allowable by law, Contractor shall hold harmless, defend at its own expense and indemnify OCII, the City and County of San Francisco and their respective commissioners, members, officers, agents and employees against any and all liability, claims, losses, damages or expenses, including reasonable attorney's fees, arising directly or indirectly from all acts or omissions to act of contractor or its officers, agents or employees in rendering services under this contract; excluding, however, such liability, claims, losses, damages or expenses arising from OCII's gross negligence or willful acts and is not contributed to by any act of, or by any omission to perform some duty imposed by law or agreement on Contractor, its officers, agents or employees. In addition to Contractor's obligation to indemnify OCII, Contractor specifically acknowledges and agrees that it has an immediate and independent obligation to defend OCII from any claim which actually or potentially falls within this indemnification provision, even if the allegations are or may be groundless, false or fraudulent, which obligation arises at the time such claim is tendered to Contractor by OCII and continues at all times thereafter. This section does not apply to contracts for construction design services provided by a design professional, as defined in California Civil Code Section 2782.8.

9. INDEPENDENT CONTRACTOR

Contractor hereby declares that it is engaged in an independent business and agrees to perform its services as an independent contractor and not as the agent or employee of OCII. Contractor has and hereby retains the right to exercise full control and supervision of the services and work to be provided under this Contract and full control over the employment, direction, compensation and discharge of all persons assisting it in the performance of the services and work hereunder. Contractor agrees to be solely responsible for all matters relating to payment of employees, including, but not limited to, compliance with all federal, state and local payroll tax and withholding requirements, workers' compensation requirements and all regulations governing

such matters. Contractor agrees to be solely responsible for its own acts and those of its subordinates and employees during the term of the Contract.

10. INSURANCE

A. Contractor must procure and maintain for the duration of the Contract, including any extensions, insurance against claims for injuries to person or damages to property which may arise from or in connection with the performance of the work under this Contract by the Contractor, its agents, representatives, employees or subcontractors. If the Contractor maintains additional coverages and/or higher limits than the minimums shown in this Article 10, OCII requires and shall be entitled to the additional coverage and/or the higher limits maintained by the Contractor.

B. Minimum Scope of Insurance. Coverage must be at least as broad as:

- (1) Insurance Services Office Commercial General Liability coverage (occurrence form CG 00 01).
- (2) Insurance Services Office Automobile Liability coverage, code 1 (form number CA 00 01- any auto).
- (3) Workers' Compensation insurance as required by the State of California and Employer's Liability Insurance.
- (4) Professional Liability Insurance: INTENTIONALLY OMITTED

C. Minimum Limits of Insurance. Contractor must maintain limits no less than:

- (1) General Liability:
 - a. For contracts not involving demolition or construction, or during phases of contracts prior to demolition or construction: \$2,000,000 per occurrence for bodily injury, personal injury and property damage. If Commercial General Liability Insurance or other form with a general aggregate limit is used, either the general aggregate limit must apply separately to this project/location or the general aggregate limit must be twice the required occurrence limit (\$4,000,000). Applicable Umbrella or Excess Liability limits may be used to meet the terms of this paragraph.
- (2) Automobile Liability: \$1,000,000 per accident for bodily injury and property damage.
- (3) Workers' Compensation and Employer's Liability: Workers' Compensation limits as required by the State of California and Employer's Liability limits of \$1,000,000 for bodily injury by accident and \$1,000,000 per

person and in the annual aggregate for bodily injury by disease. (Required only if Contractor has employees).

(4) Professional Liability Insurance: INTENTIONALLY OMITTED

D. Deductibles and Self-Insured Retentions. Any deductibles or self-insured retentions must be declared to and approved by OCII. At the option of OCII, either: the insurer shall reduce or eliminate such deductibles or self-insured retentions as respects to OCII, the City and County of San Francisco and their respective commissioners, members, officers, agents and employees; or Contractor shall provide a financial guarantee satisfactory to OCII guaranteeing payment of losses and related investigations, claim administration and defense expenses.

E. Other Insurance Provisions. The general liability and automobile liability policies are to contain, or be endorsed to contain, the following provisions:

- (1) The “Office of Community Investment and Infrastructure/Successor Agency to the Redevelopment Agency of the City and County of San Francisco, the City and County of San Francisco and their respective commissioners, members, officers, agents and employees” are to be covered as additional insureds as respects: liability arising out of automobiles owned, leased, hired or borrowed by or on behalf of the Contractor; and liability arising out of work or operations performed by or on behalf of the Contractor.
- (2) For any claims related to this Contract, the Contractor’s insurance coverage must be primary insurance as respects to OCII, the City and County of San Francisco and their respective commissioners, members, officers, agents, and employees. Any insurance or self-insurance maintained by OCII, the City and County of San Francisco and their respective commissioners, members, officers, agents or employees shall be in excess of Contractor’s insurance and shall not contribute with it.
- (3) Any failure to comply with reporting provisions of the policies shall not affect coverage provided to OCII, the City and County of San Francisco and their respective commissioners, members, officers, agents or employees.
- (4) Each insurance policy required by this clause must be endorsed to state that coverage will not be suspended, voided, canceled by either party, or reduced in coverage or in limits, except after thirty (30) days’ prior written notice by certified mail, return receipt requested, has been given to OCII.
- (5) Contractor hereby grants to OCII a waiver of any right to subrogation which any insurer of said Contractor may acquire against OCII by virtue of the payment of any loss under such insurance. Contractor agrees to obtain any endorsement that may be necessary to affect this waiver of subrogation, but

this provision applies regardless of whether or not OCII has received a waiver of subrogation endorsement from the insurer.

- (6) If any of the required policies provide coverage on a claims-made basis:
 - a. The Retroactive Date must be shown and must be before the date of the contract or the beginning of contract work.
 - b. Insurance must be maintained and evidence of insurance must be provided for at least five years after completion of the contract of work.
 - c. If coverage is canceled or non-renewed, and not replaced with another claims-made policy form with a Retroactive Date prior to the contract effective date, the Contractor must purchase "extended reporting" coverage for a minimum of five years after completion of contract work.

F. Acceptability of Insurers. Insurance is to be placed with insurers with a current A.M. Best's rating of no less than A:VII, unless otherwise approved by OCII's Risk Manager.

G. Verification of Coverage. Contractor must furnish OCII with certificates of insurance and with original endorsements evidencing coverage required by this clause. The certificates and endorsements for each insurance policy are to be signed by a person authorized by that insurer to bind coverage on its behalf. The certificates and endorsements may be on forms provided by OCII. All certificates and endorsements are to be received and approved by OCII before work commences. OCII reserves the right to require complete, certified copies of all required insurance policies, including endorsements demonstrating the coverage required by these specifications at any time.

H. Subcontractors. Contractor shall include all subcontractors as insureds under its policies or shall furnish separate certificates and endorsements for each subcontractor. All coverages for subcontractors shall be subject to all the requirements stated herein.

11. RECORDS, REPORTS AND AUDITS

A. Records

- (1) Records shall be established and maintained in accordance with OCII requirements, and U.S. Department of Housing and Urban Development ("HUD") requirements if the Contract is funded with HUD Community Development Block Grant ("CDBG") funds, with respect to all matters covered by this Contract. Except as otherwise authorized by OCII, such records shall be maintained for a period of four years from the date of the termination of the Contract; except that records that are the subject of audit findings shall be retained for four years or until such audit findings have been resolved, whichever is later.

- (2) All costs shall be supported by properly executed payrolls, time records, invoices, contracts, vouchers or other official documentation evidencing in proper detail the nature and propriety of the charges. All checks, payrolls, invoices, contracts, vouchers, orders or other accounting documents pertaining in whole or in part to this Contract shall be clearly identified and readily accessible.

B. Reports and Information

At such times and in such forms as OCII, the City and County of San Francisco or HUD, if the Contract is funded with CDBG funds, may require, there shall be furnished to OCII or its designated representative such statements, records, reports, data and information as OCII, the City and County of San Francisco or HUD may request pertaining to matters covered by this Contract.

C. Audits and Inspections

At any time during normal business hours and as often as OCII, the City and County of San Francisco or HUD, and/or the Comptroller General of the United States, if the Contract is funded with CDBG funds, may deem necessary, there shall be made available to OCII or its representatives for examination all records with respect to all matters covered by this Contract and Contractor will permit OCII, the City and County of San Francisco, HUD and/or the Comptroller General of the United States to audit, examine and make excerpts or transcripts from such records, and to make audits of all contracts, invoices, materials, payrolls, records of personnel, conditions of employment and other data relating to all matters covered by this Contract.

12. CONFLICTS

Except for approved eligible administrative or personnel costs, no employee, agent, contractor, officer or official of OCII who exercises any functions or responsibilities with respect to this Contract or who is in a position to participate in a decision making process or gain inside information with regard to it, shall obtain a personal or financial interest in or benefit from any contract, subcontract or agreement with respect thereto, or the proceeds thereunder, either for himself or herself or for those with whom they have family or business ties, during his or her tenure or for two years thereafter. The term "Contractor" also includes the employees, officers (including board members), agents and subcontractors of a Contractor under this Contract. In order to carry out the purposes of this Section, Contractor shall incorporate, or cause to be incorporated, in all contracts and subcontracts relating to activities pursuant to this Contract, a provision similar to that of this Section.

13. CONTRACTOR'S DUTY OF LOYALTY

Contractor for itself and subcontractors, if any, agrees to abide by OCII's duty of loyalty, which appears at Section IX.H. (Prohibited Activities of Present and Former Employees, Commissioners and Consultants) of OCII's Personnel Policy and which states in part the following: "Unless approved in advance in writing by OCII, no present or former employee, Commissioner or consultant of OCII shall knowingly act for anyone other than OCII in connection

with any particular matter in which OCII is a party, or has a direct and substantial interest, and in which he or she participated personally and substantially as an OCII employee, Commissioner or consultant whether through decisions, recommendations, advice, investigation or otherwise. Violation of this section by a present employee, consultant or Commissioner may, in the case of an employee or consultant, be grounds for discharge or termination of the consultant contract, and in the case of a Commissioner, be considered misconduct in office pursuant of California Health and Safety Code Section 33115.”

14. LIMITATIONS ON CONTRIBUTIONS

Through execution of this Agreement, Contractor acknowledges that it is familiar with section 1.126 of the San Francisco Campaign and Governmental Conduct Code, which prohibits any person who contracts with OCII for the rendition of personal services, for the furnishing of any material, supplies or equipment, for the sale or lease of any land or building, or for a grant, loan or loan guarantee, from making any campaign contribution to (1) the Mayor or members of the Board of Supervisors, (2) a candidate for Mayor or Board of Supervisors, or (3) a committee controlled by such office holder or candidate, at any time from the commencement of negotiations for the contract until the later of either the termination of negotiations for such contract or six months after the date the contract is approved. Contractor acknowledges that the foregoing restriction applies only if the contract or a combination or series of contracts approved by the same individual or board in a fiscal year have a total anticipated or actual value of \$50,000 or more. Contractor further acknowledges that the prohibition on contributions applies to each prospective party to the contract; each member of Contractor's board of directors; Contractor's chairperson, chief executive officer, chief financial officer and chief operating officer; any person with an ownership interest of more than 20 percent in Contractor; any subcontractor listed in the bid or contract; and any committee that is sponsored or controlled by Contractor. Additionally, Contractor acknowledges that Contractor must inform each of the persons described in the preceding sentence of the prohibitions contained in section 1.126.

Finally, Contractor agrees to provide to OCII the names of each member of Contractor's board of directors; Contractor's chairperson, chief executive officer, chief financial officer and chief operating officer; any person with an ownership interest of more than 20 percent in Contractor; any subcontractor listed in the bid or contract; and any committee that is not sponsored or controlled by Contractor.

15. CONFIDENTIALITY/PROPERTY OF AGENCY

All of the reports, information, data or other materials prepared or assembled by Contractor under this Contract, including Contractor's opinions and conclusions based upon such items, are confidential. Contractor agrees that such reports, information, opinions or conclusions shall not be made available to or discussed with any individual or organization, including the news media, without the prior written approval of OCII. Unless otherwise stated in the Scope of Services, all such reports, information, data or other materials and work product shall become the property of OCII, but may be subject to disclosure under the Public Records Act, Cal. Gov't Code §§ 6250 et seq., and the Agency Public Records Policy, Agency Resolution No. 182-2005 (Nov. 1, 2005)

unless the information is Private Information, as defined in Section 15A.

15A. PROTECTION OF PRIVATE INFORMATION.

This Contract requires that the Contractor have access to Private Information in the custody of OCII and the Mayor's Office of Housing and Community Development ("MOHCD"). Private Information shall mean any information, whether in electronic, written or oral form, that (1) could be used to identify an individual, including without limitation name, address, social security number, medical information, financial information, date and location of birth, and names of relative; or (2) the law forbids any person from disclosing.

MOHCD requires that OCII enter into a Data Sharing Agreement whereby OCII employees and consultants who have access to Private Information in MOHCD possession must be listed as Authorized Users and comply with the terms and conditions of the Data Sharing Agreement.

Contractor agrees that at all times and notwithstanding any termination or expiration of this Contract it will comply with the Data Sharing Agreement (see **Attachment G** "Data Sharing Agreement") and hold in strict confidence and not disclose to any third party any Private Information except as approved in writing in advance by OCII. Contractor further agrees that it will use the Private Information for no purpose other than completing the Scope of Services in accordance with any conditions or restrictions stated in this Contract, the Data Sharing Agreement, or OCII's written approval. Contractor shall only permit access to Private Information to those of its employees or authorized representatives having a need to know and who have signed confidentiality agreements consistent with the terms of this Contract or have been identified as Authorized Users under the Data Sharing Agreement. Additionally, Contractor, its employees and/or authorized representatives shall:

- Provide a list of all persons who are Authorized Users; and.
- For each user: complete and submit to OCII, the "MOHCD Acknowledgement for the Access to and Usage of Confidential and Personal Identifying Information" document (see "**Attachment G**" for applicable form).

Contractor shall immediately notify OCII upon discovery of any loss or unauthorized disclosure of the Private Information. The OCII Executive Director or designee shall sign any approvals of OCII required under this Section 15A.

Any failure of the Contractor to comply with the requirements this Section 15A shall be a material breach of the Contract. In such an event, in addition to any other remedies available to it under equity or law, OCII may terminate the Contract.

16. COMPLIANCE WITH CALIFORNIA GOVERNMENT CODE

It is understood and agreed that Contractor shall comply with California Government Code Section 7550. California Government Code Section 7550 provides in part that when the total cost for work performed for a local agency by nonemployees of such agency exceeds \$5,000.00, any document or written report prepared in whole or in part by nonemployees for such agency shall

contain, in a separate section, the numbers and dollar amount of all contracts and subcontracts relating to the preparation of such document or written report.

17. NONDISCRIMINATION AND EQUAL BENEFITS

A. There shall be no discrimination against or segregation of any person, or group of persons, on account of race, color, religion, creed, national origin or ancestry, sex, gender identity, age, marital or domestic partner status, sexual orientation or disability (including HIV or AIDS status) in the performance of this Contract. Contractor will ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, creed, national origin or ancestry, sex, gender identity, age, marital or domestic partner status, sexual orientation or disability (including HIV or AIDS status) or other protected class status. Such action shall include, but not be limited to the following: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; selection for training, including apprenticeship; and provision of any services or accommodations to clients or the general public.

B. Contractor will, in all solicitations or advertisements for employees placed by it or on its behalf, state it is an equal opportunity employer.

C. Contractor will cause the foregoing provisions to be inserted in all subcontracts for any work covered by this Contract so that such provisions will be binding upon each subcontractor, provided that the foregoing provisions shall not apply to contracts or subcontracts for standard commercial supplies or raw materials.

D. Contractor agrees not to discriminate in the provision of benefits between employees with domestic partners and employees with spouses, and/or between the domestic partners and spouses of such employees, and shall comply fully with all provisions of OCII's Nondiscrimination in Contracts Policy ("Policy"), adopted by Agency Resolution No. 175-97, as such Policy may be amended from time to time.

E. Contractor shall provide all services to the public under this Contract in facilities that are accessible to persons with disabilities as required by state and federal law and execute **Attachment C** "Nondiscrimination in Contracts and Benefits Form".

18. COMPLIANCE WITH SMALL BUSINESS ENTERPRISE PROGRAM

OCII implements a Small Business Enterprises ("SBE") Program that was adopted by OCII Resolution No. 43-2015 and that requires consideration in awarding contracts in the following order: 1) Project Area SBEs, 2) San Francisco-based SBEs (outside an OCII Project Area), and 3) All other SBEs. Non San Francisco-based SBEs should be used to satisfy participation goals only if Project Area SBEs or San Francisco-based SBEs are not available, qualified, or if their bids or fees are significantly higher than those of non-San Francisco-based SBEs (see **Attachment D** "SBE Agreement").

Under the SBE Program, the Contractor, in awarding subcontracts, must make good faith efforts to achieve SBE participation of 50% for professional, personal services, and construction contracts; provided, however, that this goal may vary depending on the extent of subcontracting opportunities under OCII contract and the availability of SBE subcontractors capable of providing goods or services required by the contract; and provided further, that OCII has the sole discretion to modify the 50% SBE participation goal consistent with the SBE Program, as specified in the SBE Agreement.

OCII relies on the information that a business may have provided to qualify under another public entities' business certification program in determining whether that business qualifies as an SBE under OCII's SBE Program. Those other programs include: City and County of San Francisco Local Disadvantaged Business Enterprises (LBE) certification, *information available at* - <http://sfgsa.org/index.aspx?page=5364>; and State of California – Small Business Enterprises certification – <https://www.dgs.ca.gov/PD/Services/Page-Content/Procurement-Division-Services-List-Folder/Certify-or-Re-apply-as-Small-Business-Disabled-Veteran-Business-Enterprise?search=small%20business%20enterprise%20certification>. OCII retains the discretion, however, to determine if the information provided for those other programs meets SBE eligibility under OCII's SBE Program.

Contractor's proposed team of subcontractors include New Community Leadership Foundation, and Alise Vincent Consulting which OCII has relied upon in the award of this Contract. Contractor shall not replace its subcontractors without the written approval of OCII's designated representative.

19. COMPLIANCE WITH MINIMUM COMPENSATION POLICY AND HEALTH CARE ACCOUNTABILITY POLICY

Contractor agrees, as of the date of this Contract and during the term of this Contract, to comply with the provisions of OCII's Minimum Compensation Policy and Health Care Accountability Policy (the "Policies"), adopted by Agency Resolution 168-2001, as such policies may be amended from time to time (See **Attachment E** "Minimum Compensation Policy" and **Attachment F** "Health Care Accountability Policy"). Such compliance includes providing all "Covered Employees," as defined under Section 2.7 of the Policies, a minimum level of compensation and offering health plan benefits to such employees or to make payments to the City and County of San Francisco's Department of Public Health, or to participate in a health benefits program developed by the City and County of San Francisco's Director of Health.

20. TERMINATION

OCII may terminate this Contract at any time without cause upon written Notice of Termination to the Contractor; provided, however, that in the event of such termination, OCII shall compensate the Contractor for work completed to the satisfaction of OCII as of the date of such notice or the date of termination specified in and directed by such notice.

21. MISCELLANEOUS PROVISIONS

A. Notices

All notices, demands, consents or approvals required under this Contract shall be in writing and shall be deemed given when delivered personally or by facsimile transmission or three (3) business days after being deposited in the U.S. Mail, first class postage prepaid, return receipt requested, addressed as follows:

If to OCII: Office of Community Investment and Infrastructure/Successor
Agency to the San Francisco Redevelopment Agency
One South Van Ness Avenue, Fifth Floor
San Francisco, CA 94103
Attention: Executive Director

If to Contractor: **Lynx Insights & Investigations, Inc.**
970 North Broadway, Suite 211
Los Angeles, CA 90012
Attention: **Giles Miller, Principal**

or to such other addresses as the parties may designate by notice as set forth above.

B. Time of Performance

- (1) Time is of the essence in the performance of all the terms and conditions of this Contract.
- (2) All performance and cure periods expire at 5 p.m., San Francisco, California time, on the applicable date.
- (3) A performance or cure date which otherwise would be a Saturday, Sunday or OCII holiday shall be extended to the next OCII working day.

C. Successors and Assigns

This Contract shall be binding upon and inure to the benefit of the successors and assigns of OCII and the Contractor. Where the term "Contractor" or "Agency" is used in this Contract, it shall mean and include their respective successors and assigns; provided, however, that OCII shall have no obligation under this Contract to, nor shall any benefit of this Contract accrue to, any unapproved successor or assign of Contractor where OCII approval of a successor or assign is required by this Contract.

D. Modification, Waiver and Amendment

Any modification, waiver or amendment of any of the provisions of this Contract must be in writing and signed by both OCII and Contractor.

E. Entire Contract

This Contract represents the complete agreement between the parties as to the matters described herein, and there are no oral understandings between Contractor and OCII affecting this Contract not set forth herein. This Contract supersedes all previous negotiations, arrangements, agreements and understandings between Contractor and OCII with respect to the subject matter hereof.

F. Severability

If any provision of this Contract shall be determined to be illegal or unenforceable, such determination shall not affect any other provision and all such other provisions shall remain in full force and effect.

G. Governing Law

This Contract shall be governed by the laws of the State of California. It is the responsibility of Contractor to be informed of local, state and federal laws and requirements applicable to this Contract and to perform all work in compliance with those laws and requirements.

H. Headings

Titles of parts or sections of this Contract are inserted for convenience only and shall be disregarded in construing or interpreting its provisions.

I. Attorneys' Fees

In any action or proceeding arising out of this Contract, the prevailing party shall be entitled to reasonable attorneys' fees and costs.

J. Authority

The undersigned represents and warrants that he or she has full power and authority to enter into this Contract and to bind the Contractor in accordance with its terms.

K. Designated Representative

The initial designated representative for OCII for this Contract is Pamela Sims, OCII representative's cell phone number is (510) 206-9218. The initial Contractor designated representative for this Contract is Giles Miller, the Contractor's designated representative's phone number is (213) 792-2320.

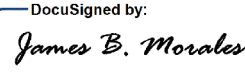
[SIGNATURES ON FOLLOWING PAGE]

IN WITNESS WHEREOF OCII and Contractor have executed this Contract as of the date first above written.

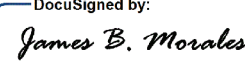
INSIGHTS & INVESTIGATIONS, a California corporation

By:  DocuSigned by:
8D49D437986844F...
Giles Miller
Principal
Federal Tax Identification No. 27-3148189

SUCCESSOR AGENCY TO THE REDEVELOPMENT AGENCY OF THE CITY
AND COUNTY OF SAN FRANCISCO, a public body, corporate and politic

By:  DocuSigned by:
30EF0328C5DD496...
James B. Morales
Deputy Director and General Counsel

APPROVED AS TO FORM:

By:  DocuSigned by:
30EF0328C5DD496...
James B. Morales
General Counsel

Authorized by Resolution No. 46-2021, adopted December 7, 2021.

ATTACHMENTS

- Attachment A: Scope of Services
- Attachment B: Budget
- Attachment C: Nondiscrimination in Contracts and Benefits Form
- Attachment D: Small Business Enterprise Agreement
- Attachment E: Minimum Compensation Policy Declaration
- Attachment F: Health Care Accountability Policy Declaration
- Attachment G: Data Sharing Agreement

Attachment A

Scope of Services

Plan

The Contractor will locate, and provide current contact information of, individuals who were displaced from their residences several decades ago by actions of the former San Francisco Redevelopment Agency (“Displaced Persons”) and who may be income-eligible for a preference in affordable housing in San Francisco. The Contractor will update a 2009-2010 survey that identified the status of approximately 937 Displaced Persons (the “2010 Survey”), but was unable to locate a large number of other Displaced Persons. As stated in the Schedule of Performance, the Contractor will utilize new and innovative database search techniques and strategies using modern resources for obtaining current contact information. Additionally, records will be updated for those individuals who are deceased.

Information that has been confirmed by the Contractor will be provided to OCII and the Mayor’s Office of Housing and Community Development (MOHCD), so material located in the Salesforce database can be updated.

Schedule of Performance

Description	*Date
Contract signed; initial meeting with staff	Second week of December 2021
Bulk database search Complete a search of 4,500 records with social security numbers. Complete a second search of 5,500 records with information gathered from first search.	Month of January 2022
Media creation Creation of a press release and a website where potential displacees can engage with a team member.	Month of January 2022
Meet with OCII staff to discuss results	Last week of January 2022
Train investigators Hire 5 employees from impacted communities to conduct outreach and investigations, over 2 days. Training will include: investigative techniques; introduction to the scripts; and, subject matter about the history of displacement.	February 2022 (first week)
Contact potential displacees per updated contact information Trainees will call with numbers obtained from database search, explain the reason for the call, confirm physical addresses,	February – May 2022

and will inquire about other family members who were displaced.	
Prepare report for OCII Team will review and analyze findings and finalize designations for each record. Present report for feedback, including an Excel worksheet.	May 2022
Present final report to OCII Commission at public meeting Present final report.	July 19, 2022

*Dates are tentative and may be amended once deadlines for completing the bulk database search has been completed.

Deliverables

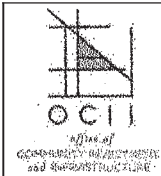
- A database (similar to Access or Excel) of all occupants identified on SORs and not located in the 2010 Survey that MOHCD (in a format is that is acceptable with MOHCD) will use to operationalize outreach and confirm eligibility for COP certificates to newly identified individuals.
- List of current contact information for COP eligible individuals
- Memo or report and presentation of initial results to staff to obtain feedback
- Presentation of final results to staff in a written report
- Presentation of final results to OCII Commission

Attachment B**Budget**

Action	Time	Cost
Media Creation	3 weeks	\$11,125
Bulk Database Search	3 weeks	\$26,587
Train Investigators	1 week	\$9,390
Investigation (contact potential displacees per updated contract information)	17 weeks	\$142,219
Prepare Report for OCII and Present Report to Commission	2 weeks	\$10,300
TOTAL	26 weeks	\$199,621*

*15% contingency of \$29,949 is available at the discretion of the OCII Executive Director. The total aggregate amount available under this Contract is \$229,570.

ATTACHMENT C



OFFICE OF COMMUNITY INVESTMENT AND INFRASTRUCTURE (OCII)
(SUCCESSOR TO THE SAN FRANCISCO REDEVELOPMENT AGENCY)

DECLARATION FORM
Nondiscrimination in Contracts and Benefits

Section A

Is your company/organization currently certified by the City and County of San Francisco in compliance with Administrative Code 12B Equal Benefits Ordinance and will your company/organization ensure nondiscrimination in contracts and benefits pursuant to 12B on OCII contracts? If yes, please indicate below, skip Section B, and execute the Declaration in Section C. If no, please skip Section A and complete Sections B and C.

- ☐ My company/organization is certified and compliant with the 12B Equal Benefits Ordinance of the City and County of San Francisco and there has been no change in our 12B Declaration since certification. My company/organization agrees to ensure nondiscrimination in contracts and benefits pursuant to 12B on OCII contracts. (Please check box to affirm, if applicable)

Section B**1. Nondiscrimination—Protected Classes**

- a. Is it your company/organization's policy that you will not discriminate against your employees, applicants for employment, employees of the Office of Community Investment and Infrastructure (successor to the San Francisco Redevelopment Agency) (Agency), or City and County of San Francisco (City), or members of the public for the following reasons:

• Race	☒ Yes	☐ No
• color	☒ Yes	☐ No
• Creed	☒ Yes	☐ No
• Religion	☒ Yes	☐ No
• ancestry	☒ Yes	☐ No
• national origin	☒ Yes	☐ No
• Age	☒ Yes	☐ No
• sex	☒ Yes	☐ No
• sexual orientation	☒ Yes	☐ No
• gender identity	☒ Yes	☐ No
• marital status	☒ Yes	☐ No
• domestic partner status	☒ Yes	☐ No
• Disability	☒ Yes	☐ No
• AIDS or HIV status	☒ Yes	☐ No

- b. Do you agree to insert a similar nondiscrimination provision in any subcontract you enter into for the performance of a substantial portion of the contract that you have with the Agency or the City?

☒ Yes ☐ No

If you answered "no" to any part of Question 1a or 1b, the Agency or the City cannot do business with you.

2. Nondiscrimination—Equal Benefits (Question 2 does not apply to subcontracts or subcontractors)

- a. Do you provide, or offer access to, any benefits to employees with spouses or to spouses of employees?

☒ Yes ☐ No

- b. Do you provide, or offer access to, any benefits to employees with domestic partners (Partners) or to domestic partners of employees?

☒ Yes ☐ No

If you answered "no" to both Questions 2a and 2b, skip 2c and 2d, and sign, date and return this form. If you answered "yes" to Question 2a or 2b, continue to 2c.

- c. If "yes," please indicate which ones. This list is not intended to be exhaustive. Please list any other benefits you provide (even if the employer does not pay for them).

Benefit	Yes, for Spouses	Yes, for Partners	No
• Medical (health, dental, vision)	☒	☒	☐
• Pension	☐	☐	☐
• Bereavement	☐	☐	☐
• Family leave	☐	☐	☐
• Parental leave	☐	☐	☐
• Employee assistance programs	☐	☐	☐
• Relocation and travel	☐	☐	☐
• Company discounts, facilities, events	☐	☐	☐
• Credit union	☐	☐	☐
• Child care	☐	☐	☐
• Other _____	☐	☐	☐
• Other _____	☐	☐	☐

- d. If you answered "yes" to Question 2a or 2b, and in 2c indicated that you do not provide equal benefits, you may still comply with the Policy if you have taken all reasonable measures to end discrimination in benefits, have been unable to do so, and now provide employees with a cash equivalent.

- (1) Have you taken all reasonable measures? ☐ Yes ☐ No
- (2) Do you provide a cash equivalent? ☐ Yes ☐ No

3. Documentation for Nondiscrimination in Benefits (Questions 2c and 2d only)

If you answered "yes" to any part of Question 2c or Question 2d, you must attach to this form those provisions of insurance policies, personnel policies, or other documents you have which verify your compliance with Question 2c or Question 2d. Please include the policy sections that list the benefits for which you indicated "yes" in Question 2c. If documentation does not exist, attach an explanation, e.g., some of your personnel policies are unwritten. If you answered "yes" to Question 2d(1) complete and attach form SFRA/CC-103, "Nondiscrimination in Benefits—Reasonable Measures Affidavit," which is available from the Agency. You need not document your "yes" answer to Question 1a or Question 1b.

Section C

I declare (or certify) under penalty of perjury that the foregoing is true and correct, and that I am authorized to bind this entity contractually.

Executed this 29th day of May, 2022, at Los Angeles, CA.
(City) (State)

Name of Company/Organization: Lynx Insights & Investigations Inc.

Doing Business As (DBA): _____

Also Known As (AKA): _____

General Address: 970 N. Broadway #211, LA, CA 90012

Remittance Address (if different from above): _____

Name of Signatory: Giles Miller Title: President

Signature: (Please Print) Giles Miller

Phone Number: 213-792-2320 Federal Tax Identification Number: 27-3148189

Approximate number of employees in the U.S.: 5 Vendor Number: _____
(if known)

- ☐ Check here if your address has changed.
- ☐ Check here if your organization is a non-profit.
- ☐ Check here if your organization is a governmental entity.

THIS FORM MUST BE RETURNED WITH THE ORIGINAL SIGNATURE

Please return this form to: Office of Community Investment and Infrastructure (successor to the San Francisco Redevelopment Agency), One South Van Ness Avenue, 5th Floor, San Francisco, CA 94103

ATTACHMENT D

SMALL BUSINESS ENTERPRISE AGREEMENT

The company or entity executing this Small Business Enterprise Agreement, by and through its duly authorized representative, hereby agrees to use good faith efforts to comply with all of the following:

I. PURPOSE. The purpose of entering into this Small Business Enterprise Program agreement (“**SBE Program**”) is to establish a set of Small Business Enterprise (“SBE”) participation goals and good faith efforts designed to ensure that monies are spent in a manner which provides SBEs with an opportunity to compete for and participate in contracts by or at the behest of the Successor Agency to the San Francisco Redevelopment Agency (“**Agency**”) and/or the Agency-Assisted Contractor. A genuine effort will be made to give First Consideration to Project Area SBEs and San Francisco-based SBEs before looking outside of San Francisco.

II. APPLICATION. The SBE Program applies to all Contractors and their subcontractors seeking work on Agency-Assisted Projects on or after November 17, 2004 and any Amendment to a Pre-existing Contract.

III. GOALS. The Agency’s SBE Participation Goals are:

CONSTRUCTION	50%
PROFESSIONAL SERVICES	50%
SUPPLIERS	50%

IV. TRAINEE HIRING GOAL. In addition to the goals set forth above in Section III, there is a trainee hiring goal for all design professionals (architects, engineers, planners, and environmental consultants) on contracts or subcontracts over \$100,000. The trainee hiring goal requires architects, engineers and other design professionals only to hire qualified San Francisco residents as trainees. The trainee hiring goal is based upon the total amount of the design professional’s contract as follows:

<u>Trainees</u>	<u>Design Professional Fees</u>
0	\$ 0 – \$99,000
1	\$ 100,000 – \$249,999
2	\$ 250,000 – \$499,999
3	\$ 500,000 – \$999,999
4	\$1,000,000 – \$1,499,999
5	\$1,500,000 – \$1,999,999
6	\$2,000,000 - \$4,999,999
7	\$5,000,000 - \$7,999,999
8	\$8,000,000 – or more

A. Procedures For Trainee Hires

1. Compliance with the Trainee Hiring Goal

Design professionals will be deemed in compliance with this Agreement by meeting or exceeding the trainee hiring goal or by take the following steps in good faith towards compliance.

2. Execution and Incorporation of this Agreement to Sub-agreements

The Agency-Assisted Contractor shall execute this Agreement and shall incorporate by reference or attach this Agreement to its contract(s) with the architects, engineers and other design professionals. Thus, each design professional (regardless of tier) will be obligated to comply with the terms of this Agreement. The Agency-Assisted Contractor and/or the design professionals shall retain the executed Agreements and make them available to the Agency Compliance Officer upon request.

3. Contact Educational Institutions

Each design professional shall call the City and County of San Francisco Office of Economic and Workforce Development (OEWD) or educational institution(s) and request referrals for the required trainee positions. The request will indicate generally: (1) the number of trainees sought; (2) the required skills set (keeping in mind that these are trainee positions); (3) a brief description of job duties; (4) the duration of the trainee period; and (5) any other information that would be helpful or necessary for the educational institution or OEWD to make the referral. The minimum duration of assignment is part-time for one semester. However, design professionals are strongly encouraged to offer longer trainee employment periods to allow a more meaningful learning experience. (For example, a half-time or full-time assignment over the summer.) Although the initial contact shall be made by phone, the educational institution(s) or OEWD may require the design professionals to send a confirming letter or complete its form(s). Each design professional is required to timely provide all of the information requested by the OEWD or educational institution(s) in order to get the referrals.

4. Response from Educational Institutions

Each educational institution may have a different way of referring applicants, such as: sending resumes directly to the design professional; having the applicant contact the design professional by phone; require design professionals to conduct on-campus interviews; or some other method. The timing and method of the response will normally be discussed with the design professional during the initial phone request. The design professional is required to follow the process set by the educational institution(s) in order to get the referrals.

5. Action by Design Professionals When Referrals Available

The design professional shall interview each applicant prior to making the decision to hire or not to hire. The design professional shall make the final determination whether the applicant is qualified for the trainee position and the ultimate hiring decision. The Agency strongly encourages the design professional to hire a qualified San Francisco resident referred by the educational institution(s). The design professional shall notify the educational institution in writing of the hiring decision.

6. Action by Design Professionals When Referrals Unavailable

If after contacting two or more educational institutions the design professional is informed that no San Francisco residents are currently available, then the design professional should wait thirty (30) days and contact the educational institutions a second time to inquire whether qualified San Francisco residents are currently available for hire as trainees. If no qualified San Francisco residents are currently available after the second request, then the design professional has fulfilled its obligation under this Agreement, provided that the design professional has acted in good faith. The design professional must retain its file on all of the steps it took to comply with this Section IV and submit a copy of its file to the Agency Compliance Officer upon request.

7. Action by Design Professional When No Response From Educational Institutions

If a design professional has not received a response to its request for referrals from any of the

educational institutions within five (5) business days after the design professional has fully complied with the procedures, if any, set by the educational institution(s) for obtaining referrals, then the design professional should immediately advise the Agency Compliance Officer by phone, fax or email. The Agency Compliance Officer or his/her designee shall cause the educational institution(s) to respond to the design professional within five (5) business days of the Agency Compliance Officer being notified. If the design professional still has not received a response from the educational institution(s) after this additional five (5) business day period has run, then the design professional has fulfilled its obligation under this Section IV, provided that the design professional has acted in good faith. Each design professional must retain its file on all of the steps it took to comply with this Agreement and submit a copy of its file to the Agency Compliance Officer upon request.

8. Termination of Trainee for Cause

If at any time during the Term, it becomes necessary to terminate for cause a trainee who was hired under this Agreement and the design professional has not met the minimum duration requirements under this policy, then the design professional shall hire a new trainee by following the process set forth above.

B. Reporting Requirements For Trainee Hires

1. Reporting

Upon completion of the Term of the Agreement or the term of the design professional's contract with the Agency-Assisted Contractor, whichever is less, the design professional (i.e. Employer) shall fax or email a report to the Agency Compliance Officer stating in detail: (1) the names of the San Francisco resident(s) interviewed for trainee positions; (2) the date(s) of each interview; (3) the reasons for not hiring the San Francisco resident(s) interviewed; (4) the name, address, gender and racial/ethnic background of the successful candidate for the trainee position; and (5) the number of San Francisco residents hired as trainees.

2. Report on Terminations

In the event a San Francisco resident hired pursuant to this Agreement is terminated for cause, the responsible design professional shall within five (5) days fax or email a termination report to the Agency Compliance Officer stating in detail: (1) the name of the trainee(s) terminated; (2) his/her job title and duties; (3) the reasons and circumstances leading to the termination(s); and (4) whether the design professional replaced the trainee(s).

V. TERM. The obligations of the Agency-Assisted Contractor and/or Contractor(s) with respect to SBE Program shall remain in effect until completion of all work to be performed by the Agency-Assisted Contractor in connection with the original construction of the site and any tenant improvements on the site performed by or at the behest of the Agency-Assisted Contractor unless another term is specified in the Agency-Assisted Contract or Contract.

VI. FIRST CONSIDERATION. First consideration will be given by the Agency or Agency-Assisted Contractor in awarding contracts in the following order: (1) Project Area SBEs, (2) San Francisco-based SBEs (outside an Agency Project or Survey Area, but within San Francisco), and (3) Non-San Francisco-based SBEs. Non-San Francisco-based SBEs should be used to satisfy participation goals only if Project Area SBEs or San Francisco-based SBEs are not available, qualified, or if their bids or fees are significantly higher than those of non-San Francisco-based SBEs.

VII. ASSOCIATIONS AND JOINT VENTURES (JV). OCII will recognize JVs and Associations between non-SBE firms and SBE firms where the SBE partner performs at least 35% of the work defined in the JV or Association agreement, and receives at least 35% (or a proportionate share, whichever is higher) of the dollars to be earned by the JV or Association. Under this arrangement, OCII will deem the JV or Association to be an SBE for the purposes of meeting the SBE goal. Due to the technical nature of the disciplines and the various standards of each industry, OCII will not require a standardized agreement. However, each JV and Association agreement must be in writing and contain, at a minimum, the following terms:

- Define the management of the agreement between the parties;
- Define the technical and managerial responsibilities of each party;
- Define the scope of work to be performed by each party, and where possible identify the percentage and break-down of scope of work for each party;
- Identify any additional subcontractors or consultants that will perform the work under the agreement;
- Define the schedule, duration, and deliverable of the agreement;
- Detail the fee schedule, fee breakdown, or division of compensation;
- Specify insurance requirements and/or if each party shall maintain its own insurance;
- Specify how additional work or changes in scope shall be negotiated or determined and which party shall be responsible for notifying OCII of the changes;
- Specify how claims and disputes will be resolved.

A copy of the JV or Association agreement must be provided to OCII for approval in order for the JV or Association to be recognized.

VIII. CERTIFICATION. The Agency no longer certifies SBEs but instead relies on the information provided in other public entities' business certifications to establish eligibility for the Agency's program. Only businesses certified by the Agency as SBEs whose certification has not expired and economically disadvantaged businesses that meet the Agency's SBE Certification Criteria will be counted toward meeting the participation goals. The SBE Certification Criteria are set forth in the SBE Policy.

IX. INCORPORATION. Each contract between the Agency, Agency-Assisted Contractor or Contractor on the one hand, and any subcontractor on the other hand, shall physically incorporate as an attachment or exhibit and make binding on the parties to that contract, a true and correct copy of this SBE Agreement.

X. DEFINITIONS. Capitalized terms not otherwise specifically defined in this SBE Agreement have the meaning set forth in the Agency's SBE Policy adopted on November 16, 2004 and amended on July 21, 2009 ("**Policy**") or as defined in the Agency-Assisted Contract or Contract. In the event of a conflict in the meaning of a defined term, the SBE Policy shall govern over the Agency-Assisted Contract or Contract which in turn shall govern over this SBE Agreement.

Affiliates means an affiliation with another business concern is based on the power to control, whether exercised or not. Such factors as common ownership, common management and identity of interest (often found in members of the same family), among others, are indicators of affiliation. Power to control exists when a party or parties have 50 percent or more ownership. It may also exist with considerably less than 50 percent ownership by contractual arrangement or when one or more parties own a large share compared to other parties. Affiliated business concerns need not be in the same line of business.

Agency-Assisted Contract means, as applicable, the Development and Disposition Agreement (“DDA”), Land Disposition Agreement (“LDA”), Lease, Loan and Grant Agreements, and other similar contracts, and agreement that the Agency executed with for-profit or non-profit entities.

Agency-Assisted Contractor means any person(s), firm, partnership, corporation, or combination thereof, who is negotiating or has executed an Agency-Assisted Contract.

Agency Contract means personal services contracts, purchase requisitions, and other similar contracts and operations agreements that the Agency executes with for-profit or non-profit entities.

Amendment to a Pre-existing Contract means a material change to the terms of any contract, the term of which has not expired on or before the date that this Small Business Enterprise Policy (“SBE Policy”) takes effect, but shall not include amendments to decrease the scope of work or decrease the amount to be paid under a contract.

Annual Receipts means “total income” (or in the case of a sole proprietorship, “gross income”) plus “cost of goods sold” as these terms are defined and reported on Internal Revenue Service tax return forms. The term does not include net capital gains or losses; taxes collected for and remitted to a taxing authority if included in gross or total income, such as sales or other taxes collected from customers and excluding taxes levied on the concern or its employees; proceeds from transactions between a concern and its domestic or foreign affiliates; and amounts collected for another by a travel agent, real estate agent, advertising agent, conference management service provider, freight forwarder or customs broker. For size determination purposes, the only exclusions from receipts are those specifically provided for in this paragraph. All other items, such as subcontractor costs, reimbursements for purchases a contractor makes at a customer's request, and employee-based costs such as payroll taxes, may not be excluded from receipts. Receipts are averaged over a concern's latest three (3) completed fiscal years to determine its average annual receipts. If a concern has not been in business for three (3) years, the average weekly revenue for the number of weeks the concern has been in business is multiplied by 52 to determine its average annual receipts.

Arbitration Party means all persons and entities who attend the arbitration hearing pursuant to Section XIII, as well as those persons and entities who are subject to a default award provided that all of the requirements in Section XIII.L. have been met.

Association means an agreement between two parties established for the purpose of completing a specific task or project. The associate agreement shall provide the SBE associate a significant project management role and the SBE associate shall be recognized in marketing and collateral material. The Association shall be distinguished from traditional subcontracting arrangements via a written Association agreement that defines the management of the agreement, technical and managerial responsibilities of the parties, and defined scopes and percentages of work to be performed by each party with its own resources and labor force. Unlike the more formal Joint Venture, an Association does not require formation of a new business enterprise between the parties. The Associate agreement shall contain, at a minimum, provisions required by Section VII and be subject to OCII approval.

Commercially Useful Function means that the business is directly responsible for providing the materials, equipment, supplies or services in the City and County of San Francisco (“City”) as required by the solicitation or request for quotes, bids or proposals. Businesses that engage in the business of providing brokerage, referral or temporary employment services shall not be deemed to perform a “commercially useful function” unless the brokerage, referral or temporary employment services are required and sought by the Agency.

Contract means any agreement between the Agency and a person(s), firm, partnership, corporation, or combination thereof, to provide or procure labor, supplies or services to, for, or on behalf of the Agency.

Contractor means any person(s), firm, partnership, corporation, or combination thereof, who is negotiating or has executed a Contract.

Joint Venture means an entity established between two parties for the purposes of completing a venture or project. The Joint Venture agreement typically creates a separate business entity and requires acquisition of additional insurance for the newly created joint business entity. The Joint Venture agreement shall contain, at a minimum, provisions required by Section VII and be subject to OCII approval.

Non-San Francisco-based Small Business Enterprise means a SBE that has fixed offices located outside the geographical boundaries of the City.

Office” or “Offices means a fixed and established place(s) where work is performed of a clerical, administrative, professional or production nature directly pertinent to the business being certified. A temporary location or movable property or one that was established to oversee a project such as a construction project office does not qualify as an “office” under this SBE Policy. Work space provided in exchange for services (in lieu of monetary rent) does not constitute an “office.” The office is not required to be the headquarters for the business but it must be capable of providing all the services to operate the business for which SBE certification is sought. An arrangement for the right to use office space on an “as needed” basis where there is no office exclusively reserved for the business does not qualify as an office. The prospective SBE must submit a rental agreement for the office space, rent receipt or cancelled checks for rent payments. If the office space is owned by the prospective SBE, the business must submit property tax or a deed documenting ownership of the office.

Project Area Small Business Enterprise means a business that meets the above-definition of Small Business Enterprise and that: (a) has fixed offices located within the geographical boundaries of a Redevelopment Project or Survey Area where a commercially useful function is performed; (b) is listed in the Permits and License Tax Paid File with a Project Area or Survey Area business street address; (c) possesses a current Business Tax Registration Certificate at the time of the application for certification as a SBE; (d) has been located and doing business in a Project Area or Survey Area for at least six months preceding its application for certification as a SBE; and (e) has a Project Area or Survey Area office in which business is transacted that is appropriately equipped for the type of business for which the enterprise seeks certification as a SBE. Post office box numbers of residential addresses alone shall not suffice to establish a firms’ location in a Project Area or Survey Area.

Project Area means an area of San Francisco that meets the requirements under Community Redevelopment Law, Health and Safety Code Section 33320.1. These areas currently include the Bayview Industrial Triangle, Bayview Hunters Point (Area B), Hunters Point Shipyard, Mission Bay (North), Mission Bay (South), Rincon Point/South Beach, South of Market, and Transbay.

San Francisco-based Small Business Enterprise means a SBE that: (a) has fixed offices located within the geographical boundaries of the City where a commercially useful function is performed; (b) is listed in the Permits and License Tax Paid File with a San Francisco business street address; (c) possesses a current Business Tax Registration Certificate at the time of the application for certification as a SBE; (d) has been located and doing business in the City for at least six months preceding its application for certification as a SBE; and (e) has a San Francisco office in which business is transacted that is appropriately equipped for the type of business for which the enterprise seeks certification as a

SBE. Post office box numbers or residential addresses alone shall not suffice to establish a firm's status as local.

Small Business Enterprise (SBE) means an economically disadvantaged business that: is an independent and continuing business for profit; performs a commercially useful function; is owned and controlled by persons residing in the United States or its territories; has average gross annual receipts in the three years immediately preceding its application for certification as a SBE that do not exceed the following limits:

Industry	OCII SBE Size Standard
Construction Contractors	\$20,000,000
Specialty Construction Contractors	\$14,000,000
Suppliers (goods/materials/ equipment and general services)	\$10,000,000
Professional Services	\$2,500,000
Trucking	\$3,500,000

In addition, an economically disadvantaged business shall meet the other certification criteria described in Exhibit I of the SBE Policy in order to be considered an SBE by the Agency.

In order to determine whether or not a firm meets the above economic size definitions, the Agency will use the firm's three most recent business tax returns (i.e., 1040 with Schedule C for Sole Proprietorships, 1065s with K-1s for Partnerships, and 1120s for Corporations) to calculate the firm's three year average annual gross receipts. In addition, the calculation of a firm's size shall include the receipts of all affiliates.

Once a business reaches the 3-year average size threshold for the applicable industry the business ceases to be economically disadvantaged, it is not an eligible SBE and it will not be counted towards meeting SBE contracting requirements (or goals).

Specialty Construction Contractor means a contractor licensed by the Contractors State License Board under the "C" classification license pursuant to California Business and Professions Code Section 7058.

Survey Area means an area of San Francisco that meets the requirements of the Community Redevelopment Law, Health and Safety Code Section 33310. These areas currently include the Bayview Hunters Point Redevelopment Survey Area C.

XI. GOOD FAITH EFFORTS TO MEET SBE GOALS Compliance with the following steps will be the basis for determining if the Agency-Assisted Contractor and/or Consultant has made good faith efforts to meet the goals for SBEs:

A. Outreach. Not less than 30 days prior to the opening of bids or the selection of contractors, the Agency-Assisted Contractor or Contractor shall:

1. **Advertise.** Advertise for SBEs interested in competing for the contract, in general circulation media, trade association publications, including timely use of the ***Bid and Contract Opportunities*** newsletter published by the City and County of San Francisco Purchasing Department and

media focused specifically on SBE businesses such as the ***Small Business Exchange***, of the opportunity to submit bids or proposals and to attend a pre-bid meeting to learn about contracting opportunities.

2. **Request List of SBEs.** Request from the Agency's Contract Compliance Department a list of all known SBEs in the pertinent field(s), particularly those in the Project and Survey Areas and provide written notice to all of them of the opportunity to bid for contracts and to attend a pre-bid or pre-solicitation meeting to learn about contracting opportunities.

B. Pre-Solicitation Meeting. For construction contracts estimated to cost \$5,000 or more, hold a pre-bid meeting for all interested contractors not less than 15 days prior to the opening of bids or the selection of contractors for the purpose answering questions about the selection process and the specifications and requirements. Representatives of the Contract Compliance Department will also participate.

C. Follow-up. Follow up initial solicitations of interest by contacting the SBEs to determine with certainty whether the enterprises are interested in performing specific items involved in work.

D. Subdivide Work. Divide, to the greatest extent feasible, the contract work into small units to facilitate SBE participation, including, where feasible, offering items of the contract work which the Contractor would normally perform itself.

E. Provide Timely and Complete Information. The Agency-Assisted Contractor or Contractor shall provide SBEs with complete, adequate and ongoing information about the plans, specifications and requirements of construction work, service work and material supply work. This paragraph does not require the Agency-Assisted Contractor or Contractor to give SBEs any information not provided to other contractors. This paragraph does require the Agency Assisted Contractor and Contractor to answer carefully and completely all reasonable questions asked by SBEs and to undertake every good faith effort to ensure that SBEs understand the nature and the scope of the work.

F. Good Faith Negotiations. Negotiate with SBEs in good faith and demonstrate that SBEs were not rejected as unqualified without sound reasons based on a thorough investigation of their capacities.

G. Bid Shopping Prohibited. Prohibit the shopping of the bids. Where the Agency-Assisted Contractor or Contractor learns that bid shopping has occurred, it shall treat such bid shopping as a material breach of contract.

H. Other Assistance. Assist SBEs in their efforts to obtain bonds, lines of credit and insurance. (Note that the Agency has a Surety Bond Program that may assist SBEs in obtaining necessary bonding.) The Agency-Assisted Contractor or Contractor(s) shall require no more stringent bond or insurance standards of SBEs than required of other business enterprises.

I. Delivery Scheduling. Establish delivery schedules which encourage participation of SBEs.

J. Utilize SBEs as Lower Tier Subcontractors. The Agency-Assisted Contractor and its Contractor(s) shall encourage and assist higher tier subcontractors in undertaking good faith efforts to utilize SBEs as lower tier subcontractors.

K. Maximize Outreach Resources. Use the services of SBE associations, federal, state and local SBE assistance offices and other organizations that provide assistance in the recruitment and

placement of SBEs, including the Small Business Administration and the Business Development Agency of the Department of Commerce. However, only SBEs certified by the Agency shall count towards meeting the participation goal.

L. Replacement of SBE. If during the term of this SBE Agreement, it becomes necessary to replace any subcontractor or supplier, the Agency's Contract Compliance Specialist should be notified prior to replacement due to the failure or inability of the subcontractor or supplier to perform the required services or timely delivery the required supplies, then First Consideration should be given to a certified SBE, if available, as a replacement.

XII. ADDITIONAL PROVISIONS

A. No Retaliation. No employee shall be discharged or in any other manner discriminated against by the Agency-Assisted Contractor or Contractor because such employee has filed any complaint or instituted or caused to be instituted any proceeding under or relating to enforcement of this Agreement.

B. No Discrimination. There shall be no discrimination against or segregation of any person, or group of persons, on account of race, color, religion, creed, national origin or ancestry, sex, gender identity, age, marital or domestic partner status, sexual orientation or disability (including HIV or AIDS status) in the performance of an Agency-Assisted Contract or Contract. The Agency-Assisted Contractor or Contractor will ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, creed, national origin or ancestry, sex, gender identity, age, marital or domestic partner status, sexual orientation or disability (including HIV or AIDS status) or other protected class status. Such action shall include, but not be limited to the following: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; selection for training, including apprenticeship; and provision of any services or accommodations.

C. Compliance with Prompt Payment Statute. Construction contracts and subcontracts awarded for \$5,000 or more shall contain the following provision:

“Amounts for work performed by a subcontractor shall be paid within seven (7) days of receipt of funds by the contractor, pursuant to California Business and Professions Code Section 7108.5 *et seq.* Failure to include this provision in a subcontractor or failure to comply with this provision shall constitute an event of default which would permit the Agency to exercise any and all remedies available to it under contract, at law or in equity.”

In addition to and not in contradiction to the Prompt Payment Statute (California Business and Professions Code Section 7108.5 *et seq.*), if a dispute arises which would allow a Contractor to withhold payment to a subcontractor due to a dispute, the Contractor shall only withhold that amount which directly relates to the dispute and shall promptly pay the remaining undisputed amount, if any.

D. Submission Of Electronic Certified Payrolls. For any Agency-Assisted Contract which requires the submission of certified payroll reports, the requirements of Section VII of the Agency's Small Business Enterprise Policy shall apply. Please see the Small Business Enterprise Policy for more details.

XIII. PROCEDURES

A. Notice to Agency. The Agency-Assisted Contractor or Contractor(s) shall provide the Agency with the following information within 10 days of awarding a contract or selecting subconsultant:

1. the nature of the contract, e.g. type and scope of work to be performed;
2. the dollar amount of the contract;
3. the name, address, license number, gender and ethnicity of the person to whom the contract was awarded; And
4. SBE status of each subcontractor or subconsultant.

B. Affidavit. If the Agency-Assisted Contractor or Contractor(s) contend that the contract has been awarded to a SBE, the Agency-Assisted Contractor or Contractor(s) shall, at the same time also submit to the Agency a SBE Application for Certification and its accompanying Affidavit completed by the SBE owner. However, a SBE that was previously certified by the Agency shall submit only the short SBE Eligibility Statement.

C. Good Faith Documentation. If the 50% SBE Participation Goals are not met in each category (Construction, Professional Services and Suppliers), the Agency-Assisted Contractor or Contractor(s) shall meet and confer with the Agency at a date and time set by the Agency. If the issue of the Agency-Assisted Contractor's or Contractor's good faith efforts is not resolved at this meeting, the Agency-Assisted Contractor or Contractor shall submit to the Agency within five (5) days, a declaration under penalty of perjury containing the following documentation with respect to the good faith efforts ("**Submission**"):

1. A report showing the responses, rejections, proposals and bids (including the amount of the bid) received from SBEs, including the date each response, proposal or bid was received. This report shall indicate the action taken by the Agency-Assisted Contractor or Contractor(s) in response to each proposal or bid received from SBEs, including the reasons(s) for any rejections.
2. A report showing the date that the bid was received, the amount bid by and the amount to be paid (if different) to the non-SBE contractor that was selected. If the non-SBE contractor who was selected submitted more than one bid, the amount of each bid and the date that each bid was received shall be shown in the report. If the bidder asserts that there were reasons other than the respective amounts bid for not awarding the contract to an SBE, the report shall also contain an explanation of these reasons.
3. Documentation of advertising for and contacts with SBEs, contractor associations or development centers, or any other agency which disseminates bid and contract information to small business enterprises.
4. Copies of initial and follow-up correspondence with SBEs, contractor associations and other agencies, which assist SBEs.
5. A description of the assistance provided SBE firms relative to obtaining and explaining plans, specifications and contract requirements.
6. A description of the assistance provided to SBEs with respect to bonding, lines of credit, etc.

7. A description of efforts to negotiate or a statement of the reasons for not negotiating with SBEs.
8. A description of any divisions of work undertaken to facilitate SBE participation.
9. Documentation of efforts undertaken to encourage subcontractors to obtain small business enterprise participation at a lower tier.
10. A report which shows for each private project and each public project (without a SBE program) undertaken by the bidder in the preceding 12 months, the total dollar amount of the contract and the percentage of the contract dollars awarded to SBEs and the percentage of contract dollars awarded to non-SBEs.
11. Documentation of any other efforts undertaken to encourage participation by small business enterprises.

D. Presumption of Good Faith Efforts. If the Agency-Assisted Contractor or Contractor(s) achieves the Participation Goals, it will not be required to submit Good Faith Effort documentation.

E. Waiver. Any of the SBE requirements may be waived if the Agency determines that a specific requirement is not relevant to the particular situation at issue, that SBEs were not available, or that SBEs were charging an unreasonable price.

F. SBE Determination. The Agency shall exercise its reasonable judgment in determining whether a business, whose name is submitted by the Agency-Assisted Contractor or Contractor(s) as a SBE, is owned and controlled by a SBE. A firm's appearance in any of the Agency's current directories will be considered by the Agency as prima facie evidence that the firm is a SBE. Where the Agency-Assisted Contractor or Contractor(s) makes a submission the Agency shall make a determination, as to whether or not a business which the Agency-Assisted Contractor or Contractor(s) claims is a SBE is in fact owned and controlled by San Francisco-based SBEs. If the Agency determines that the business is not a SBE, the Agency shall give the Agency-Assisted Contractor or Contractor a Notice of Non-Qualification and provide the Agency-Assisted Contractor or Contractor with a reasonable period (not to exceed 20 days) in which to meet with the Agency and if necessary make a Submission, concerning its good faith efforts. If the Agency-Assisted Contractor or Contractor disagrees with the Agency's Notice of Non-Qualification, the Agency-Assisted Contractor or Contractor may request arbitration pursuant to Section XIII.

G. Agency Investigation. Where the Agency-Assisted Contractor or Contractor makes a Submission and, as a result, the Agency has cause to believe that the Agency-Assisted Contractor or Contractor has failed to undertake good faith efforts, the Agency shall conduct an investigation, and after affording the Agency-Assisted Contractor or Contractor notice and an opportunity to be heard, shall recommend such remedies and sanctions as it deems necessary to correct any alleged violation(s). The Agency shall give the Agency-Assisted Contractor or Contractor a written Notice of Non-Compliance setting forth its findings and recommendations. If the Agency-Assisted Contractor or Contractor disagrees with the findings and recommendations of the Agency as set forth in the Notice of Non-Compliance, the Agency-Assisted Contractor or Contractor may request arbitration pursuant to this SBE Agreement.

XIV. ARBITRATION OF DISPUTES.

A. Arbitration by AAA. Any dispute regarding this SBE Agreement shall be determined by arbitration through the American Arbitration Association, San Francisco, California office ("AAA") in accordance with the Commercial Rules of the AAA then applicable, but subject to the further revisions thereof. The arbitration shall take place in the City and County of San Francisco.

B. Demand for Arbitration. Where the Agency-Assisted Contractor or Contractor disagrees with the Agency's Notice of Non-Qualification or Notice of Non-Compliance, **the Agency-Assisted Contractor or Contractor shall have seven (7) business days, in which to file a Demand for Arbitration**, unless otherwise stipulated by the parties. The Demand for Arbitration shall contain at a minimum: (1) a cover letter demanding arbitration under this provision and identifying any entities believed to be involved in the dispute; (2) a copy of the Notice of Non-Qualification or Notice of Non-Compliance; and (3) any written response to the Notice of Non-Qualification or Notice of Non-Compliance. If the Agency-Assisted Contractor and Contractor fail to file a timely Demand for Arbitration, the Agency-Assisted Contractor and Contractor shall be deemed to have accepted and to be bound by the finding of Non-Qualification or the findings and recommendations contained in the Notice of Non-Compliance.

C. Parties' Participation. The Agency and all persons or entities who have a contractual relationship affected by the dispute shall be made an Arbitration Party. Any such person or entity not made an Arbitration Party in the Demand for Arbitration may intervene as an Arbitration Party and in turn may name any other such person or entity as an Arbitration Party, provided however, that the Agency-Assisted Contractor or Contractor made an initial timely Demand for Arbitration pursuant to Section XIII.B. above.

D. Agency Request to AAA. Within seven (7) business days after service of a Demand for Arbitration, the Agency shall transmit to AAA a copy of the Demand for Arbitration, the Notice of Non-Qualification or Notice of Non-Compliance, and any written response thereto from the affected party. Such material shall be made part of the arbitration record.

E. Selection of Arbitrator. One arbitrator shall arbitrate the dispute. The arbitrator shall be selected from the panel of arbitrators from AAA by the parties to the arbitration in accordance with the AAA rules. The parties shall act diligently in this regard. If the Arbitration Parties fail to agree on an arbitrator within seven (7) days from the receipt of the panel, AAA shall appoint the arbitrator. A condition to the selection of any arbitrator shall be that person's agreement to render a decision within ninety (90) days from the arbitrator's fulfillment of the disclosure requirements set forth in California Code of Civil Procedure Section 1281.9.

F. Setting of Arbitration Hearing. A hearing shall be held within ninety (90) days of the date of the filing of the Request, unless otherwise agreed by the parties. The arbitrator shall set the date, time and place for the arbitration hearing(s) within the prescribed time periods by giving notice by hand delivery or first class mail to each Arbitration Party.

G. Discovery. In arbitration proceedings hereunder, discovery shall be permitted in accordance with Code of Civil Procedure §1283.05.

H. Burden of Proof. The burden of proof with respect to SBE status and/or Good Faith Efforts shall be on the Agency-Assisted Contractor and/or Contractor. The burden of proof as to all other alleged breaches by the Agency-Assisted Contractor and/or Contractor shall be on the Agency.

I. California Law Applies. Except where expressly stated to the contrary in this SBE Agreement, California law, including the California Arbitration Act, Code of Civil Procedure §§ 1280 through 1294.2, shall govern all arbitration proceedings.

J. Arbitration Remedies and Sanctions. The arbitrator may impose only the remedies and sanctions set forth below:

1. Order specific, reasonable actions and procedures, in the form of a temporary restraining order, preliminary injunction or permanent injunction, to mitigate the effects of the non-compliance and/or to bring any non-compliant Arbitration Party into compliance.

2. Require any Arbitration Party to refrain from entering into new contracts related to work covered by the Agency-Assisted Contract or this SBE Agreement, or from granting extensions or other modifications to existing contracts related to services covered by the Agency-Assisted Contract or this SBE Agreement, other than those minor modifications or extensions necessary to enable compliance with this SBE Agreement.

3. Direct any Arbitration Party to cancel, terminate, suspend or cause to be cancelled, terminated or suspended, any contract or portion(s) thereof for failure of any party to the arbitration to comply with any of the SBE Program requirements in the Agency-Assisted Contract or this SBE Agreement. Contracts may be continued upon the condition that a program for future compliance is approved by the Agency.

4. If any Arbitration Party is found to be in willful breach of its obligations hereunder, the arbitrator may impose a monetary sanction not to exceed Fifty Thousand Dollars (\$50,000.00) or ten percent (10%) of the base amount of the breaching party's contract, whichever is less, for each such willful breach; provided that, in determining the amount of any monetary sanction to be assessed, the arbitrator shall consider the financial capacity of the breaching party. No monetary sanction shall be imposed pursuant to this paragraph for the first willful breach of this SBE Agreement unless the breaching party has failed to cure after being provided notice and a reasonable opportunity to cure. Monetary sanctions may be imposed for subsequent willful breaches by any Arbitration Party whether or not the breach is subsequently cured. For purposes of this paragraph, "willful breach" means a knowing and intentional breach.

5. Direct any Arbitration Party to produce and provide to the Agency any records, data or reports which are necessary to determine if a violation has occurred and/or to monitor the performance of any Arbitration Party.

K. Arbitrator's Decision. The arbitrator shall make his or her award within twenty (20) days after the date that the hearing is completed; provided that where a temporary restraining order is sought, the arbitrator shall make his or her award not later than twenty-four (24) hours after the hearing on the motion. The arbitrator shall send the decision by certified or registered mail to each Arbitration Party.

L. Default Award; No Requirement to Seek an Order Compelling Arbitration. The arbitrator may enter a default award against any person or entity who fails to appear at the hearing, provided that: (1) said person or entity received actual notice of the hearing; and (2) the complaining party has a proof of service for the absent person or entity. In order to obtain a default award, the complaining party need not first seek or obtain an order to arbitrate the controversy pursuant to Code of Civil Procedure §1281.2.

M. Arbitrator Lacks Power to Modify. Except as otherwise provided, the arbitrator shall

have no power to add to, subtract from, disregard, modify or otherwise alter the terms of the Agency-Assisted Contract, this SBE Agreement or any other agreement between the Agency, the Agency-Assisted Contractor or Contractor or to negotiate new agreements or provisions between the parties.

N. Jurisdiction/Entry of Judgment. The inquiry of the arbitrator shall be restricted to the particular controversy which gave rise to the Demand for Arbitration. A decision of the arbitrator issued hereunder shall be final and binding upon all Arbitration Parties. The non-prevailing Arbitration Party(ies) shall pay the arbitrator's fees and related costs of arbitration (or reimburse the Arbitration Parties that advanced such arbitration fees and costs). Each Arbitration Party shall pay its own attorneys' fees, provided, however, that attorneys' fees may be awarded to the prevailing party if the arbitrator finds that the arbitration action was instituted, litigated, or defended in bad faith. Judgment upon the arbitrator's decision may be entered in any court of competent jurisdiction.

O. Exculpatory Clause. Agency-Assisted Contractor or Contractor (regardless of tier) expressly waive any and all claims against the Agency for damages, direct or indirect, including, without limitation, claims relative to the commencement, continuance and completion of construction and/or providing professional and consulting services ("the Work"). Agency-Assisted Contractor or Contractor (regardless of tier) acknowledge and agree that the procedures set forth herein for dealing with alleged breaches or failure to comply with the obligations and requirements of this SBE Agreement are reasonable and have been anticipated by the parties in securing financing, in inviting, submitting and receiving bids and proposals for the planning, design and construction of the improvements and in determining the times for commencement and completion of the planning, design and construction and/or for providing consulting, professional or personal services.

P. Severability. The provisions of this SBE Agreement are declared to be separate and severable. The invalidity of any clause, sentence, paragraph, subdivision, section or portion of this SBE Agreement or the invalidity of the application thereof to any person or circumstance shall not affect the validity of the remainder of this SBE Agreement or the validity of their application to other persons or circumstances.

Q. Arbitration Notice: BY INITIALING IN THE SPACE BELOW YOU ARE AGREEING TO HAVE ANY DISPUTE ARISING OUT OF THE MATTERS INCLUDED IN THE "ARBITRATION OF DISPUTES" PROVISION DECIDED BY NEUTRAL ARBITRATION AS PROVIDED BY CALIFORNIA LAW AND YOU ARE GIVING UP ANY RIGHTS YOU MIGHT POSSESS TO HAVE THE DISPUTE LITIGATED IN COURT OR JURY TRIAL. BY INITIALING IN THE SPACE BELOW YOU ARE GIVING UP YOUR JUDICIAL RIGHTS TO DISCOVERY AND APPEAL, UNLESS SUCH RIGHTS ARE SPECIFICALLY INCLUDED IN THE "ARBITRATION OF DISPUTES" PROVISION. IF YOU REFUSE TO SUBMIT TO ARBITRATION AFTER AGREEING TO THIS PROVISION, YOU MAY BE COMPELLED TO ARBITRATE UNDER THE AUTHORITY OF THE CALIFORNIA CODE OF CIVIL PROCEDURE. YOUR AGREEMENT TO THIS ARBITRATION PROVISION IS VOLUNTARY.

WE HAVE READ AND UNDERSTAND THE FOREGOING AND AGREE TO SUBMIT DISPUTES ARISING OUT OF THE MATTERS INCLUDED IN THE "ARBITRATION OF DISPUTES" PROVISION TO NEUTRAL ARBITRATION.

DS
JBM

Agency

DS
GM

Agency-Assisted Contractor

XV. AGREEMENT EXECUTION

I, hereby certify that I have authority to execute this SBE Agreement on behalf of the business, organization or entity listed below and that it will use good faith efforts to comply with the Agency's 50% SBE Participation Goals. I declare under penalty of perjury under the laws of the State of California that the above statement is true and correct.

DocuSigned by:

8D49D437986844F...
Signature

5/27/2022

Date

Giles Miller

President

Print Your Name

Title

Lynx Insights & Investigations, Inc.,
213-792-2320
Company Name and Phone Number

ATTACHMENT E

MINIMUM COMPENSATION POLICY (MCP) DECLARATION

What the Policy does. The Office of Community Investment and Infrastructure (OCII) (Successor Agency to the San Francisco Redevelopment Agency) adopted the Minimum Compensation Policy (MCP), which became effective on September 25, 2001. The MCP requires contractors and subcontractors to provide the following to their employees covered by the MCP on OCII contracts and subcontracts for services: for contractors with employees performing work in San Francisco, the Commercial Business MCP wage rate shall be no less than \$17.00 per hour effective November 11, 2018. The Nonprofit MCP wage rate is \$15.00 per hour effective July 1, 2018. The Minimum Compensation rate is adjusted on January 1 each year. Furthermore, 12 paid days off per year (or cash equivalent) and 10 days off without pay per year shall be offered.

The OCII may require contractors to submit reports on the number of employees affected by the MCP.

Effect on OCII contracting. For contracts and amendments signed on or after September 25, 2001, the MCP will have the following effect:

- ☐ in each contract, the contractor will agree to abide by the MCP and to provide its employees the minimum benefits the MCP requires, and to require its subcontractors subject to the MCP to do the same.
- ☐ if a contractor does not provide the MCP minimum benefits, OCII can award a contract to that contractor only if the contract is exempt under the MCP, or if the contract has received a waiver from OCII.

What this form does. Your signed declaration will help OCII's contracting practice. Sign this form if you can assure OCII that, beginning with the first OCII contract or amendment you receive after September 25, 2001 and until further notice, you will provide the minimum benefit levels specified in the MCP to your covered employees, and will ensure that your subcontractors also subject to the MCP do the same.

If you cannot make this assurance now, please do not return this form.

For more information, please see the complete text of the MCP, available from the OCII's Contract Compliance Department at (415) 749-2400 or <http://sfocii.org/policies-and-procedures>.

Routing. Return this form to: Contract Compliance Department, Office of Community Investment and Infrastructure (Successor to the San Francisco Redevelopment Agency), 1 South Van Ness, Fifth Floor, San Francisco, CA 94103.

Declaration

Effective with the first OCII contract or amendment this company receives on or after September 25, 2001, this company will provide the minimum benefit levels specified in the MCP to our covered employees, and will ensure that our subcontractors also subject to the MCP do the same, until further notice. This company will give such notice as soon as possible.

I declare under penalty of perjury under the laws of the State of California that the above is true and correct.

DocuSigned by:

Giles Miller

8D49D437986844F...

Signature

Giles Miller

Print Name

Lynx Insights & Investigations, Inc.

Company Name

5/27/2022

Date

213-792-2320

Phone

ATTACHMENT F

HEALTH CARE ACCOUNTABILITY POLICY (HCAP) DECLARATION

What the Policy does. The Office of Community Investment and Infrastructure (“OCII”) (as Successor Agency to the Redevelopment Agency) adopted the San Francisco Health Care Accountability Policy (the “HCAP”), which became effective on September 25, 2001. The HCAP requires contractors and subcontractors that provide services to OCII, contractors and subcontractors that enter into leases with OCII, and parties providing services to tenants and sub-tenants on OCII property to choose between offering health plan benefits to their employees or making payments to OCII or directly to their employees.

Specifically, contractors can either: (1) offer the employee minimum standard health plan benefits approved by the OCII Commission; (2) pay OCII \$5.15 per hour for each hour the employee works on the covered contract or subcontract or on property covered by a lease (but not to exceed \$206 in any week) and OCII will appropriate the money for staffing and other resources to provide medical care for the uninsured (rates and amounts effective July 1, 2018 and subject to annual change).

The OCII may require contractors to submit reports on the number of employees affected by the HCAP.

Effect on OCII contracting. For contracts and amendments signed on or after September 25, 2001, the HCAP will have the following effect:

- in each contract, the contractor will agree to abide by the HCAP and to provide its employees the minimum benefits the HCAP requires, and to require its subcontractors to do the same.
- if a contractor does not provide the HCAP’s minimum benefits, OCII can award a contract to that contractor **only if** the contract is exempt under the HCAP, or if the contract has received a waiver from OCII.

What this form does. Your signed declaration will help OCII’s contracting practice. Sign this form if you can assure OCII that, beginning with the first OCII’s contract or amendment you receive after September 25, 2001 and until further notice, you will provide the minimum benefit levels specified in the HCAP to your covered employees, and will ensure that your subcontractors also subject to the HCAP do the same.

If you cannot make this assurance now, please do not return this form.

For more information, please see the complete text of the HCAP, available from the OCII’s Contract Compliance Department at: (415) 749-2400.

Routing. Return this form to: Contact Compliance Department, Office of Community Investment and Infrastructure (Successor to the San Francisco Redevelopment Agency), 1 South Van Ness Avenue, Fifth Floor, San Francisco, CA 94103.

Declaration

Effective with the first OCII contract or amendment this company receives on or after September 25, 2001, this company will provide the minimum benefit levels specified in the HCAP to our covered employees, and will ensure that our subcontractors also subject to the HCAP do the same, until further notice. This company will give such notice as soon as possible.

I declare under penalty of perjury under the laws of the State of California that the above is true and correct.

DocuSigned by:

 8D49D437986844F...
 Signature
 Giles Miller

5/27/2022

Date

Print Name

Lynx Insights & Investigations, Inc.

Company Name

213-792-2320

Phone

**ATTACHMENT G
DATA SHARING
AGREEMENT
DATED 6/2/2022**

ATTACHED

**Data Sharing Agreement
between
City and County of San Francisco
and
Office of Community Investment and Infrastructure**

This data use agreement (“Agreement”) made as of the 2nd day of June, 2022 (“Effective Date”) in the City and County of San Francisco, State of California, by and between the City and County of San Francisco, a municipal corporation (“City”), acting through the Mayor’s Office of Housing and Community (“MOHCD”), and the Office of Community Investment and Infrastructure as Successor Agency to the Redevelopment Agency of the City and County of San Francisco (“OCII” or “Data User”) (each a “Party” and, collectively, the “Parties”).

A. The Parties have entered into that certain Memorandum of Understanding For the Implementation of Affordable Housing Obligations Under the San Francisco Successor Agency Ordinance 215-12 dated May 6, 2014. Pursuant to the MOU, MOHCD provides OCII with services related to marketing, sale, and lease-up of OCII sponsored affordable housing projects (“Project Sale and Lease-up”).

B. Upon dissolution of the former Redevelopment Agency of the City and County of San Francisco (“Former Agency”), certain records of the Former Agency related to implementation of the statutory preference for Displacees (Section 33411.3 of the California Health and Safety Code) in Former Agency-assisted affordable housing were transferred to the MOHCD, acting as the Housing Successor under Section 34176 (a) (1) of the California Health and Safety Code and Board of Supervisor Resolution No. 11-12. The City expanded the supply of affordable housing for which Displacees are potentially eligible to include City Affordable Housing Programs as defined in Chapter 47 of the San Francisco Administrative Code, and MOHCD independently collects information on Displacees to implement preferences in such City Affordable Housing Programs.

C. The Parties believe that streamlined sharing of data is within the respective missions of each Party and necessary to implement the MOU. The Parties desire to share certain personally identifying information concerning applicants and residents of OCII sponsored housing projects with each other for the purposes of coordinating the Project Sale and Lease-up. In addition, the Parties desire to share such personally identifying information for the purpose of identifying and finding Displacees that OCII and MOHCD have previously been unable to locate.

D. Under the MOU, MOHCD collects and stores applicant and project data for OCII’s housing projects, and OCII has transferred applicant and project data to MOHCD for the Project Sale and Lease-up. OCII requires access to MOHCD’s systems and files to implement its housing projects. To maintain compliance with local, state and federal laws and regulations, including, without limitation, San Francisco Administrative Code Chapter 12M, and to ensure the integrity, security and confidentiality of the Data (as defined below), the Parties desire to enter into this Agreement.

NOW, THEREFORE, in consideration of the mutual promises and covenants contained in this Agreement, and other valuable and good consideration, the receipt and sufficiency of which is hereby acknowledged, the Parties agree to the following:

I. PURPOSE OF AGREEMENT AND DEFINITIONS

A. This Agreement sets forth the terms and conditions under which the formal access to certain data, as described in Section III of this Agreement and **Attachment A** hereto, is to be provided to the Data User by City. This Agreement also describes, in its **Attachment B**, what use the Data User may make of the Data. Furthermore, this Agreement also sets forth the security requirements that such access and use is conditioned upon, what responsibilities the Data User agrees to assume in connection with such use and disposition of the Data, and all permutations of the Data, and the procedures for security, transfer, use, retention, ownership, and confidentiality of the Data.

B. Definitions:

“**Authorized Users**” has the meaning set forth in Section VI(B)(2).

“**Authorized User Agreement**” has the meaning set forth in Section VI(B)(3).

“**City User**” has the meaning set forth in Section VI(B)(1).

“**Data**” has the meaning set forth in Section III(A).

“**Indemnified Party**” has the meaning set forth in Section X(B).

“**Non-Public Information**” has the meaning set forth in Section VI(B)(1).

“**PII**” has the meaning set forth in Section VI(C).

“**Unauthorized or inadvertent use or disclosure**” has the meaning set forth in Section VI(E)(1).

“**unauthorized use**” has the meaning set forth in Section IV(B).

C. The headings and other captions in this Agreement are for convenience and reference only and shall not be used in interpreting, construing or enforcing any of the provisions of this agreement.

II. TERM AND TERMINATION

A. **Term.** This Agreement shall commence as of the Effective Date and shall terminate on the earlier of: (1) upon termination of the MOU, or (2) sixty (60) days after either Party provides the other Party with a written notice of termination of this Agreement.

B. Termination for Cause. Breach of a material provision of this Agreement by the Data User, or the Authorized Users, shall be grounds for immediate termination of this Agreement by City. Upon becoming aware of such a material breach, City may do one or more of the following:

1. Provide an opportunity for Data User to cure the violation within 30 days, and terminate the Agreement if Data User does not cure or end the violation within the time specified by City;
2. Demand assurances from the Data User that remedial actions will be taken to remedy the circumstances that gave rise to the violation within a time frame set by, or approved by, City;
3. Immediately terminate the Agreement if Data User fails to cure a violation or taken any remedial actions within 30 days of the violation; and/or
4. Determine that no further Data, or other data, will be released to, nor agreements entered into with, Data User for a period of time to be determined by City until Data User cures a violation or takes remedial actions reasonably satisfactory to the City.

C. Termination without Cause. Either Party may terminate this Agreement at any time by providing 15 days written notice to the other Party.

D. Effect of Termination.

1. The Data User will not be entitled to any damages for reason of the termination of this Agreement.
2. Upon the termination, cancellation, expiration or other conclusion of this Agreement for any reason, the confidentiality and security provisions set forth herein shall continue to apply to the Data shared with Data User pursuant to this Agreement. Return or destruction of the Data shall take place as set forth in Section VI (Return or Destruction of Data) of this Agreement.

III. DESCRIPTION OF DATA

- A. Definition of Data.** “Data” shall mean all data collected, used, maintained, processed, stored, or generated by or on behalf of the City and will include, without limitation, the specific description and data elements set forth in **Attachment A** to this Agreement. The City’s Data includes, without limitation, Non-Public Information.
- B. Data Ownership.** Except for any Data transferred from Data User to the City, Data User hereby acknowledges that the City is the exclusive owner of the Data and all trade secrets and other rights therein. No license or conveyance of any such rights is granted or implied under this Agreement. Without the prior written consent of an individual and

MOHCD, Data User shall not make, have made, use or sell for any purpose any product or other item using, incorporating or derived from Data, other than for the purposes set forth **Attachment B** for which the Data was provided under this Agreement.

IV. PERMITTED USE OF DATA

- A. Data User agrees to use the Data solely for the purposes set forth in **Attachment B** to this Agreement, and for no other purposes.
- B. Nothing herein shall be construed to confer any license or right to the Data, by implication, estoppel or otherwise, under copyright or other intellectual property rights, to any third party. Unauthorized use of Data by Data User or third parties is prohibited. For purpose of this requirement, the phrase “**unauthorized use**” means the data mining or processing of data, stored or transmitted by the service, for unrelated commercial purposes, advertising or advertising-related purposes, or for any other purpose other than security or service delivery analysis that is not explicitly authorized.
- C. Products or other items used or produced by the Data User for its performance of the functions set forth in **Attachment B** must be capable of creating a digital, reusable copy of the Data, in whole and in parts, as a platform independent and machine-readable file. Such file formats include, but are not limited to, plain text files such as comma-delimited tables, extensible markup language, and JavaScript object notation. Data which is stored in binary formats, including but not limited to portable document format, JPEG, and portable network graphics files, shall instead be reproducible in the same format in which it was transferred to Data User. This reusable copy must be made available in a publicly documented and non-proprietary format, with a clearly-defined data structure and a data dictionary for all terms of art contained in the data. For purposes of this section, non-proprietary formats include formats for which royalty-free codecs are available to end-users.

V. METHOD AND FREQUENCY OF DATA TRANSFER AND/OR ACCESS

- A. During the term of this Agreement, City shall provide secure access to Data to the Data User. The Parties shall use secure, mutually agreed upon methods for transferring and accessing confidential information.
- B. The Data User shall ensure that all Data to which Data User has access shall be used expressly and solely for the purposes enumerated in the Agreement. Data shall not be distributed, repurposed or shared across other applications, environments, or business units of the Data User. The Data User shall ensure that no City Data of any kind shall be copied, modified, destroyed, deleted, transmitted, exchanged or otherwise passed to other entities or interested parties except on a case-by-case basis as specifically agreed to in writing by City.

- C. Except where otherwise agreed in writing by the City, access to Data by Data User from outside the continental United States is prohibited.
- D. Data User shall ensure that all electronic transmission or exchange of system and application data with City and/or any other parties expressly designated by City shall take place via encrypted secure means (using HTTPS or SFTP or most current encryption methods).

VI. DATA CONFIDENTIALITY AND SECURITY

A. **Compliance with Applicable Privacy and Security Laws, Rules, and Regulations.**

The Data provided under this Agreement shall be used and maintained in accordance with applicable provisions of federal, state, and local laws, rules and regulations as are in effect at the time the Data is produced by City and retained by Data User. Data User's failure to comply with any requirements of local, state or federal laws restricting access, use and disclosure of proprietary or confidential information shall be deemed a material breach and City may terminate the Agreement. Without limiting the general scope of the foregoing sentence, Data User shall comply with San Francisco Administrative Code 12M. Data User agrees to include all of the terms and conditions regarding confidentiality and security of Data contained in this Agreement in all subcontractor or agency contracts providing services under this Agreement.

B. **Non-Public Information Restricted Access to "Authorized Users".**

1. Definition of Non-Public Information. Data User's performance under this Agreement may involve access to certain Data that the City wishes to be protected from further use or disclosure. "**Non-Public Information**" shall be defined as: (i) PII; (ii) information the City discloses, in writing, orally, or visually, to Data User, or to which Data User obtains access under this Agreement, and which relates to the City, its employees, third-party vendors or licensors, or any other individuals or entities that have made confidential information available to the City or to the Data User acting on the City's behalf (collectively, "**City Users**"), marked or otherwise identified as proprietary and/or confidential, or that, given the nature of the information, ought reasonably to be treated as proprietary and/or confidential; (iii) trade secrets; and (iv) business information.
2. Only the Data User's employees and/or consultants required to use the Non-Public Information to perform the functions of this Agreement that are set forth in **Attachment B**, and so designated by Data User as "**Authorized Users**" in **Attachment C** to this Agreement, will be given access to the Non-Public Information.
3. Such Authorized Users will be trained by Data User, based on guidelines provided by MOHCD, as to the confidential nature of the Non-Public Information, and its proper handling, and shall sign an agreement, in a form approved by City, to treat the Data as confidential and meet any appropriate security requirements ("**Authorized User**

Agreement”). In addition, if an Authorized User will have access to MOHCD’s systems that contains an individual’s financial information or records, medical or health records, social security numbers, or other confidential information, such Authorized User shall obtain security clearance required for City employees by the City’s Department of Human Resources (“DHR”) and prior to access to MOHCD’s systems. MOHCD shall have no obligation to provide access to its systems without verification by DHR of the Authorized User’s clearance to access MOHCD’s systems. Data User shall retain the Authorized User’s information for the duration of the Authorized User’s access to MOHCD’s systems under this Agreement.

4. Data User shall provide City with a copy of each Authorized User Agreement that it has secured prior to the exchange of Non-Public Information and prior to granting any Authorized User access to the Non-Public Information.
 5. Data User shall notify City of any changes to **Attachment C** within 5 days of any changes to the Authorized User list. In addition, Data User shall provide City with any newly entered Authorized User Agreement with an employee and/or consultant within 5 days of entering such an agreement pursuant to the terms of this Agreement.
 6. Data User shall immediately notify City if any Authorized User has failed to comply with the terms of the Authorized User Agreement and has compromised the privacy and security of the Non-Public Information. Such conduct shall result in the immediate removal of the Authorized User from the list of Authorized Users under **Attachment C** and the immediate termination of Data access to that specific user.
- C. **Confidentiality.** When Data User receives Data from the City in accordance with this Agreement, or creates and uses files derived from Data, Data User shall maintain the confidentiality of Data as required by this Agreement and applicable laws, rules and regulations. Except as otherwise provided in this Agreement, Data User shall not, at any time, directly or indirectly disclose, share, give, loan, sell, or otherwise grant access to Non-Public Information provided pursuant to this Agreement, in part or in whole, to any other person or organization. Without limiting this provision, Data User shall not disclose any information it receives pursuant to this Agreement that is personally identifiable information, or any information about an individual, including information that can be used to distinguish or trace an individual’s identity, such as name, social security number, date and place of birth, mother’s maiden name, or biometric records; and any other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information (collectively, “**PII**”). PII must be maintained in a manner approved by City, and consistent with applicable laws, rules and regulations.
- D. **Safeguards to Protect Non-Public Information.** Data User shall take all reasonable measures to safeguard and keep Non-Public Information confidential and secure, including, but not limited to:
- a. storing Non-Public Information in secure access-restricted files;
 - b. encrypting PII at rest, in use, and in transit with controlled access;

- c. encrypting any laptop, USB, CD or other mobile storage tool, device, or equipment used to store and/or transmit Non-Public Information;
- d. creating a password or encryption system to obtain and restrict access to Non-Public Information only to those Authorized Users who have signed the Authorized User Agreement;
- e. keeping any hardcopy versions of the files in locked areas with restricted access, and with a log book for users to sign in and sign out files;
- f. ensuring that only Authorized Users shall have access to Non-Public Information;
- g. providing a firewall to protect Non-Public Information so that no third party is allowed access to the Non-Public Information;
- h. complying with any additional City security requirement imposed on Data User to ensure the security of the Non-Public Information and minimize the risks of a breach.

E. **Unauthorized or Inadvertent Use or Disclosure.** Without limiting Data User's obligation to safeguard and secure Data as described further in this Agreement, the following security measures shall apply:

1. Reporting an Unauthorized or Inadvertent Use or Disclosure. Data User agrees to report to City in writing immediately, and no later than forty-eight (48) hours, following the discovery of any (i) unauthorized or inadvertent use or disclosure of the Non-Public Information by Data User, its employees and/or consultants in violation of this Agreement (including, but not limited to, the theft or loss of portable devices or equipment containing Non-Public Information or copies of Non-Public Information); (ii) access, destruction, loss, theft, use, modification or disclosure of Non-Public Information by an unauthorized party or that is in violation of the Agreement terms and/or applicable local, state or federal law; and (iii) act, error, omission, negligence, misconduct, or breach that compromises or is suspected to compromise the security, confidentiality, or integrity of the Non-Public Information or the physical, technical, administrative, or organizational safeguards put in place by Data User that relate to the protection of the security, confidentiality, or integrity of the Non-Public Information (collectively, an "**unauthorized or inadvertent use or disclosure**"). Data User shall make such report to the designated contact in the Notice specifications of Section X of this agreement. Data User agrees to fully cooperate with any investigation conducted by the City or its agents of any such unauthorized or inadvertent use or disclosure.
2. Accounting for Unauthorized or Inadvertent Use or Disclosure. In the event that an unauthorized or inadvertent use or disclosure is made to a third party, Data User shall ensure that a proper record of such unauthorized or inadvertent use or disclosure is kept and immediately provided to City. Data User shall also assist in any subsequent investigation of the unauthorized or inadvertent use or disclosure and mitigate any possible resulting damages of the same. The record required under this provision, shall include, at a minimum:

- a. The date of the event;
- b. The name of the recipient;
- c. The address of the recipient, if known;
- d. A brief description of the information disclosed;
- e. Any remedial measures taken to retrieve or otherwise repossess such information or to mitigate any deleterious effect of the unauthorized or inadvertent use or disclosure;
- f. What corrective action Data User has taken or will take to prevent future unauthorized or inadvertent uses or disclosures; and
- g. All other details required or necessary for City to know when and how such unauthorized or inadvertent use or disclosure was made and what mitigating steps are being undertaken or recommended by the Data User.

Security Audits. City reserves the right to conduct tests of the Data User's internal data safekeeping and other control systems prior to transfer of Data, and periodically after the transfer of Data, to provide reasonable assurance to itself that the Data User is receiving and safekeeping the Data in compliance with the provisions of this Agreement and applicable laws, rules, and regulations. Upon request by City, the Data User will promptly provide access and respond to City inquiries regarding Data privacy and security.

- F. **No Reproduction without Consent.** Except as set forth in Section III, Data User shall not reproduce the Data in any form without the prior written consent of City.
- G. **Survival.** Upon the Expiration of this Agreement, only the continued use of Data for the purposes set forth in **Attachment B** will cease. All other provisions of this Agreement, including this Section V, shall survive.

VII. DISPOSITION OF DATA

- A. Except as provided in paragraph (B) of this subsection, upon termination, cancellation, expiration or other conclusion of this Agreement, for any reason, Data User shall return Data provided by City that Data User maintains in any form, and all copies of the Data in all its forms, unless the City requests in writing that the Data be destroyed. This provision will also apply to all Data that is in the possession of subcontractors or agents of the Data User. Such destruction of Data will be accomplished by "purging" or "physical destruction," in accordance with National Institute of Standards and Technology (NIST) Special Publication 800-88. Data User will confirm in writing to City Data User's destruction or return of Data, and all copies, within 30 days of the termination of this Agreement.
- B. In the event that Data User determines that returning or destroying all of the Data, and all copies of the Data, is infeasible, Data User shall provide to City notification of the conditions that make return or destruction infeasible. Upon receipt by City of such notification that return or destruction of the Data is infeasible, Data User shall extend the protections of this Agreement to such Data and limit further uses and disclosures of such

Data to those purposes that make the return or destruction infeasible, for so long as Data User maintains such Data.

VIII. REMEDIES FOR BREACH

A. Data User acknowledges that:

1. the breach of this Agreement will cause City irreparable damage for which recovery of damages would be inadequate;
2. the damages flowing from such breach are not readily susceptible to measurement in monetary terms; and
3. City shall be entitled to immediate injunctive relief restraining any breach hereof, as well as such further relief as may be granted by a court of competent jurisdiction.

B. Nothing in this Agreement shall be deemed to limit City's remedies at law or in equity for any such breach by Data User of any term of this Agreement.

IX. WAIVER

A. Any waiver by City of any act, failure to act or breach on the part of Data User shall not constitute a waiver by City of any prior or subsequent act or failure to act or breach by Data User and shall not be effective unless set forth in a written document executed by City.

X. INDEMNIFICATION

A. In no event will City be liable for any use by Data User, its employees and/or consultants of the Data, or for any loss, claim, damage or liability, of whatsoever kind or nature, which may arise from, or in connection with, this Agreement, or for the use or dissemination by Data User of the Data.

B. Data User agrees to defend, indemnify and hold harmless the City, and its employees, officers, subcontractors, agents, and other members of its workforce (each of the foregoing hereinafter referred to as "Indemnified Party") against all claims or losses asserted by a third party, including reasonable attorneys' fees, costs, and expenses incidental thereto, arising from or in connection with:

1. any breach of the provisions of this Agreement by Data User;
2. any breach of the provisions of this Agreement by Data User relating to the use or disclosure of Data, including any unauthorized or inadvertent use or disclosure of Data;

3. any violation of local, state, or federal common law, statute or regulation, including but not limited to privacy or PII, and health information laws or regulations; or
 4. any negligent act or omission or intentional tortious act by Data User that results in a violation of any laws, rules, or regulations.
- C. Accordingly, on demand, Data User shall reimburse the Indemnified Party for any and all losses, liabilities, fines, penalties, costs, or expenses (including reasonable attorneys' fees) which may for any reason be imposed upon the Indemnified Party by reason of any suit, claim, action, or proceeding, or demand by any third party which results from the conduct in IX.B.1, 2, 3 or 4 above.

XI. NOTICE

- A. All notices under this Agreement shall be in writing and shall be deemed delivered by electronic mail, upon receipt. All notices shall be sent to the names and addresses set forth below. Either Party may change its contact information by notice to the other; any such change shall take effect immediately upon delivery of such notice. Any notice pursuant to this Agreement shall be given or made to the respective Parties as follows:

For City:

Mayor's Office of Housing and Community Development
Gloria Woo, Director of Data, Evaluation and Compliance
gloria.woo@sfgov.org

For Data User:

Office of Community Investment and Infrastructure
Pamela Sims, Senior Development Specialist
pam.sims@sfgov.org

XII. PUBLICATION AND PUBLIC RELEASE OF DATA

- A. Data User shall not reveal any PII such as a person's date of birth, last name, first name, or any other identifying information in any draft or final publication.
- B. Data User must obtain prior written approval from the City before releasing any public information concerning this Agreement.
- C. Subject to the terms of this Agreement, including without limitation, **Attachment B** to this Agreement, which describes the uses that the Data User may make of the Data, the Data User may publish or publicly present its work as described in **Attachment B**, which shall not contain any PII, of the use undertaken in accord with **Attachment B**. Prior to publication or public presentation of such work product, the Data User will submit its final work product to the City for review and approval. The final work product must be satisfactory in form to the City, and will be submitted to City, revised in accord with the

City comments, and resubmitted for review and approval at such intervals as may be specified by the City until final approval by the City is achieved.

XII. ADDITIONAL PROVISIONS

- A. **Merger.** This Agreement and the Exhibits hereto constitute the entire understanding of the Parties and merges all prior discussion, agreements or understandings into it. No prior agreement, oral or otherwise, regarding the subject matter of this Agreement shall be deemed to exist or to bind any of the Parties.
- B. **Modification.** This Agreement may, from time to time, be modified by a writing signed by authorized representatives of the Parties. It may not be altered, modified, rescinded or extended orally. The Exhibits hereto may be modified upon written agreement by the Parties without the need to amend this Agreement in its entirety.
- A. **Non-Assignment.** The Data User agrees that it shall not subcontract, assign, transfer, convey or otherwise dispose of its obligations under this Agreement except by operation of law or execution of an Authorized User Agreement, without the prior written consent of the City.
- C. **No Third Party Beneficiary.** Nothing express or implied in this Agreement is intended to confer, nor shall anything herein confer, upon any person other than the Parties, any rights, remedies, obligations, or liabilities whatsoever.
- D. **Jurisdiction, Venue, and Applicable Law.** The formation, interpretation and performance of this Agreement shall be governed by the laws of the State of California. Venue for all litigation relative to the formation, interpretation and performance of this Agreement shall be in San Francisco.
- E. **Agency.** For purposes of this Agreement, Data User shall be deemed to be acting as an independent entity, and not an agent, of the City.
- F. **No Data Warranties.** Nothing contained herein shall constitute any representation, warranty, or guarantee to the Data User with respect to the value or accuracy of the Data or information exchanged or that such exchanged information does not infringe any rights of third parties. The City shall not be held liable for any errors or omissions in the Data used or exchanged or in connection with the use of the Data.
- G. **Counterparts.** This agreement may be executed in one or more counterparts.
- H. **Interpretation.** Any ambiguity in this Agreement shall be resolved in favor of a meaning that permits the Parties to maintain the confidentiality and security of the Data.
- I. **Severability.** If any provision of this Agreement is found by a proper authority to be unenforceable or invalid, such unenforceability or invalidity shall not render this

Agreement unenforceable or invalid as a whole and, in such event, such provision shall be changed and interpreted so as to best accomplish the objectives of such unenforceable or invalid provision within the limits of applicable law or applicable court decisions.

- J. **Supersedes.** This Agreement supersedes all prior and contemporaneous agreements and understandings, written or oral, relating to the use of the Data that is the subject matter of this Agreement.

[Remainder of Page Intentionally Left Blank; Signature Page Follows]

IN WITNESS WHEREOF, the parties hereto have executed this Agreement on the day first mentioned above.

CITY

DATA USER

By:

By:

DocuSigned by:

Eric Shaw

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Eric D. Shaw

Director

Mayor's Office of Housing & Community
Development

DocuSigned by:

James B. Morales

30EF0328C5DD496...

James B. Morales

Deputy Director & General Counsel
Office of Community Investment and
Infrastructure

Approved as to Form:

David Chiu

City Attorney

By:

DocuSigned by:

Keith Nagayama

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Keith Nagayama

Deputy City Attorney

ATTACHMENT A – Data

The City will share the following data, which will include PII, with Data User.

Data Source	Data Element	Time Period
MOHCD network server	OCII project information stored on the MOHCD network server under M:\HBMR Portfolio	all records to date
Salesforce	OCII project data	all records until each property is transferred to MOHCD
Salesforce	Certificate of Preference (COP) holder data including contact information and placement data	all records to date
Electronically translated data	Site Occupancy Records (SORs)	all records to date

ATTACHMENT B – Project Description and Data Use

MOHCD and OCII have entered into a Memorandum of Understanding (MOU) dated May 6, 2014, for the implementation of affordable housing obligations under the San Francisco Successor Agency Ordinance 215-12. Pursuant to the MOU, MOHCD provides OCII with services related to marketing, sale, and lease-up of OCII sponsored affordable housing projects. MOHCD and OCII need to share data on applicants and residents of OCII sponsored housing projects with each other for the purposes of coordinating these services.

OCII has entered into a Personal Services Contract (PSC) with Lynx Insights and Investigations, Inc., (“Contractor”) on June 2, 2022, to locate, and provide current contact information of, individuals who were displaced from their residences several decades ago by actions of the former San Francisco Redevelopment Agency (“Displaced Persons”) and who may be income-eligible for a preference in affordable housing in San Francisco. This phase of work will be completed through Bulk database search of 4,500 records with social security numbers found on the Site Occupancy Records. Complete a second search of 5,500 records with information gathered from first search.

Additionally, the Contractor will update a 2009-2010 survey that identified the status of approximately 937 Displaced Persons (the “2010 Survey”) but was unable to locate a large number of other Displaced Persons. The Contractor will utilize new and innovative database search techniques and strategies using modern resources for obtaining current contact information. Records will also be updated for those individuals who are deceased. The anticipated timeframe for the work to be completed is six months.

Information that has been confirmed by the Contractor will be provided to OCII and the Mayor’s Office of Housing and Community Development (MOHCD), so material located in the Salesforce database can be updated.

ATTACHMENT C – Authorized Users

Below is a list of the names and job titles of each employee of Data User who will have access to Non-Public Information and will be an “Authorized User” of the Data.

Name	Title
Pam Sims	Senior Development Specialist
Elizabeth Colomello	Housing Manager
Giles Miller	Principal
Josh Lichtman	Principal
Maura Brewer	Investigator
Facundo Bermudez	Investigator

**First Amendment to the Personal Services Contract
with Lynx Insights and Investigations, Inc.**

OFFICE OF COMMUNITY INVESTMENT AND INFRASTRUCTURE/
SUCCESSOR AGENCY TO THE REDEVELOPMENT AGENCY OF THE CITY AND
COUNTY OF SAN FRANCISCO

FIRST AMENDMENT TO THE PERSONAL SERVICES CONTRACT

This FIRST AMENDMENT to the Personal Services Contract ("**First Amendment**") is entered into as of _____, 2024 (the "**Effective Date**") by and between the OFFICE OF COMMUNITY INVESTMENT AND INFRASTRUCTURE/SUCCESSOR AGENCY TO THE REDEVELOPMENT AGENCY OF THE CITY AND COUNTY OF SAN FRANCISCO, a public body, organized and existing under the laws of the State of California ("**OCII**"), and Lynx Insights and Investigations, Inc., a California Corporation ("**Contractor**").

RECITALS

This First Amendment is made with reference to the following facts and circumstances:

A. The Office of Community Investment and Infrastructure, Successor Agency to the Redevelopment Agency of the City and County of San Francisco ("OCII"), is interested in identifying persons who were displaced by the former Redevelopment Agency in the 1960's and 1970's as a result of redevelopment activities and who are eligible for Certificates of Preference ("COP"). OCII has previously identified approximately 900 COP holders who have affirmatively indicated interest in affordable housing, subject to meeting income and other program requirements. COP holders have a priority in housing that is funded or sponsored by OCII or the Mayor's Office of Housing and Community Development ("MOHCD"). OCII seeks to locate additional displacees through this Contract.

B. On December 3, 2020, OCII staff released a Request for Proposals to seek an entity or firm to obtain and confirm contact information for household members who were living in units at the time of displacement by San Francisco Redevelopment Agency action.

C. On August 24, 2021, three of the teams were interviewed by a panel that included representation from the COP Committee appointed under OCII Resolution No 41-2020 (Dec. 15, 2020), the Mayor's Office of Housing and Community Development and OCII. After conclusion of the evaluation process, the Lynx Insights and Investigations/New Community Leadership Foundation team was determined to be the highest ranked proposer and the best qualified contractor to perform the required scope of work.

D. On December 7, 2021, the OCII Commission, by Resolution No. 46-2021, authorized a Personal Services Contract ("PSC") with Lynx Insights and Investigations, Inc. for a term not to exceed nine months and in an amount not to exceed \$199,621, plus \$29,949 in contingency funding.

E. On June 9, 2023, the Executive Director authorized the release of the contingency funding totaling \$29,949, which amount was included in Section 3A of the original PSC, for an increased PSC amount of \$229,570.

F. OCII and Contractor now wish to amend the Original Contract with a Phase 2 additional scope, budget, and timeline.

G. OCII and Contractor now wish to extend the Original Contract to a termination date of not later than May 20, 2024. The maximum contract amount will increase by \$75,000, to a total contract amount of \$304,570.

H. OCII and Contractor now wish to extend the Original Contract to a termination date of not later than May 20, 2024. The \$229,570 maximum contract amount will increase by \$75,000, to a total contract amount of \$304,570, upon the basis of the terms, covenants, and conditions set forth below. Together, the Original Contract and this First Amendment comprise the "**Contract**".

AGREEMENT

NOW, THEREFORE, OCII and the Contractor agree as follows:

1. The Original Contract shall be amended as follows:
 - a. Section 1. SCOPE OF SERVICES. is amended as follows, and replaced with Attachment A-1:

Phase Two search:

- Employ a team of 6 investigators who are either COP holders or individuals from the impacted communities working alongside experienced professional investigators.
- Spend an average of 1.5 hours identifying and contacting an originally displaced person.
- Each investigator will work approximately 20 hours per week.
- Locate and confirm updated contact information for between 800 and 1,200 remaining originally displaced persons.
- Identify and contact 600 to 800 additional descendants.
- Prepare simplified Excel worksheet which includes located individuals, for the Mayor's Office of Community Development ("MOHCD").
- Prepare a report on the findings for MOHCD and OCII.
- Present the findings to the OCII Commission.

- b. Section 2. TERM. is amended as follows:

Unless terminated earlier, the term of the First Amendment to the Contract shall be for an additional not to exceed period of six months beginning no later than February 1, 2024, and be completed no later than August 1, 2024.

- c. The first paragraph of Section 3.A. Compensation is amended as follows:
 - A. Compensation. The maximum amount payable under the Amendment is \$75,000 as reflected in Attachment B-1, for an aggregate total under this Contract of Three Hundred Four Thousand Five Hundred Seventy Dollars (\$304,570) (the "Contract Amount").
- 2. Miscellaneous
 - a. This First Amendment constitutes a part of the Contract and any reference to the Contract shall be deemed to include a reference to the Original Contract as amended by this First Amendment.
 - b. Except as otherwise amended hereby, all terms, covenants, conditions and provisions of the Contract shall remain in full force and effect.
 - c. The First Amendment shall be binding upon and inure to the benefit of the successors and assigns for OCII and the Contractor, subject to the limitations set forth in the Contract.
 - d. This First Amendment may be executed in any number of counterparts, all of which, together, shall constitute the original agreement.

[Remainder of Page Intentionally Left Blank]

IN WITNESS WHEREOF OCII and Contractor have executed this First Amendment as of the date first above written.

LYNX INSIGHTS & INVESTIGATIONS, INC.,
a California corporation

By: _____
Giles Miller
Principal
Federal Tax Identification No. 27-3148189

SUCCESSOR AGENCY TO THE
REDEVELOPMENT AGENCY OF THE CITY
AND COUNTY OF SAN FRANCISCO, a public
body, organized and existing under the laws of the
State of California

By: _____
Thor Kaslofsky
Executive Director

APPROVED AS TO FORM:

By: _____
James B. Morales
General Counsel

Authorized by Resolution No. _____, adopted _____.

Attachment A-1 Amended Scope of Services

Plan

The Contractor will continue to locate, and provide current contact information of, individuals who were displaced from their residences several decades ago by actions of the former San Francisco Redevelopment Agency (“Displaced Persons”) and who may be income-eligible for a preference in affordable housing in San Francisco. The Contractor will focus its work on the “Investigative Lead Identified/Record Not Completed” group of individuals. Defined in the Report – Certificate of Preference Program Search, dated September 27, 2023, as: "investigative leads (defined as possible current addresses and phone numbers for the displaced person and their relatives) were identified in bulk database research.”

Schedule of Performance and Deliverables

Hire and Train investigators Employ a team of 4-6 investigators who are either COP holders or individuals from the impacted communities working alongside experienced professional investigators. Training will include: investigative techniques; introduction to the scripts; and, subject matter about the history of displacement.	February 2024
Contact potential displacees per updated contact information Spend an average of 1.5 hours identifying and contacting an originally displaced person, and investigators will work approximately 20 hours per week. Investigators will locate and confirm updated contact information on between 800 and 1,200 remaining originally displaced persons. Additionally, investigators will identify and contact 600-800 additional descendants.	*March – June 2024
Prepare report for OCII Team will review and analyze findings and finalize designations for each record. Present report for feedback, including an Excel worksheet.	*July 2024

Present final report to OCII Commission at public meeting	*August 2024
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***Dates subject to change.**

**Attachment B-1
Amended Budget**

Action	Cost
NCLF (overall project management)	\$ 5,000
Lynx (investigations and support investigators)	\$22,000
Community Investigators (contact displacees per updated contract information)	\$30,000
Prepare Report for OCII and Present Report to Commission	\$ 3,000
Administrative Costs	\$15,000
TOTAL	\$75,000