



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

**LONDON N. BREED  
MAYOR**

*Sent via Electronic Mail*

September 21, 2023

**NOTICE OF CIVIL SERVICE COMMISSION MEETING**

James S. Sanabria  
[REDACTED]

**SUBJECT: APPEAL BY JAMES SANABRIA OF THE REJECTION OF THEIR APPLICATION FOR SUPERVISING ELECTRONIC MAINTENANCE TECHNICIAN (7287) (CBT-7287-T00044).**

Dear James Sanabria:

The above matter will be considered by the Civil Service Commission at a hybrid meeting (in-person and virtual) in Room 400, City Hall, 1 Dr. Goodlett Place, San Francisco, California 94102 and through Cisco WebEx to be held on **October 2, 2023, at 2:00 p.m.** You will receive a separate email invite from a Civil Service Commission staff member to join and participate in the meeting.

The agenda will be posted for your review on the Civil Service Commission's website at [www.sf.gov/CivilService](http://www.sf.gov/CivilService) under "Meetings" no later than end of day on Wednesday, September 27, 2023. Please refer to the attached Notice for procedural and other information about Commission hearings. A copy of the department's staff report on your appeal is attached to this email.

In the event that you wish to submit any additional documents in support of your appeal, please submit **one hardcopy 3-hole punch, double-sided and numbered at the bottom of each page to the CSC Office at 25 Van Ness Ave., Suite 720 and email a PDF version to the Civil Service Commission's email at [civilservice@sfgov.org](mailto:civilservice@sfgov.org) by 5:00 p.m. on Tuesday, September 26, 2023**, please be sure to redact your submission for any confidential or sensitive information that is not relevant to your appeal (e.g., home addresses, home or cellular phone numbers, social security numbers, dates of birth, etc.), as it will be considered a public document.

It is important that you or an authorized representative attend the hearing on your appeal. Should you or a representative not attend, the Commission will rule on the information previously submitted and any testimony provided at its meeting. All calendared items will be heard and resolved at this time unless good reasons are presented for a continuance. As a reminder, you are to be honest and forthright during all testimony and in all documentation that you provide to the Civil Service Commission.

You may contact me at (628) 652-1100 or at [Sandra.Eng@sfgov.org](mailto:Sandra.Eng@sfgov.org) if you have any questions.

CIVIL SERVICE COMMISSION

/s/

SANDRA ENG  
Executive Officer

Attachment

Cc: Jeffrey Tumlin, Municipal Transportation Agency  
Kimberly Ackerman, Municipal Transportation Agency  
William Miles II, Municipal Transportation Agency  
Shivani Nath, Municipal Transportation Agency  
Commission File  
Commissioners' Binder  
Chron

## **NOTICE OF COMMISSION HEARING POLICIES AND PROCEDURES**

### **A. Commission Office**

The Civil Service Commission office is located at, 25 Van Ness Avenue, Suite 720, San Francisco, CA 94102. The telephone number is (628) 652-1100. The fax number is (628) 652-1109. The email address is [civilservice@sfgov.org](mailto:civilservice@sfgov.org) and the web address is [www.sfgov.org/civilservice/](http://www.sfgov.org/civilservice/). Office hours are from 8:00 a.m. to 5:00 p.m., Monday through Friday.

### **B. Policy Requiring Written Reports**

It is the policy of the Civil Service Commission that except for appeals filed under Civil Service Commission Rule 111A Position-Based Testing, all items appearing on its agenda be supported by a written report prepared by Commission or departmental staff. All documents referred to in any Agenda Document are posted adjacent to the Agenda, or if more than one (1) page in length, available for public inspection and copying at the Civil Service Commission office. Reports from City and County personnel supporting agenda items are submitted in accordance with the procedures established by the Executive Officer. Reports not submitted according to procedures, in the format and quantity required, and by the deadline, will not be calendared.

### **C. Policy on Written Submissions by Appellants**

All written material submitted by appellants to be considered by the Commission in support of an agenda item shall be submitted to the Commission office, no later than 5:00 p.m. on the fourth (4<sup>th</sup>) business day preceding the Commission meeting for which the item is calendared (ordinarily, on Tuesday). An original copy on 8 1/2-inch X 11 inch paper, three-hole punched on left margin, and page numbered in the bottom center margin, shall be provided. Written material submitted for the Commission's review becomes part of a public record and shall be open for public inspection.

### **D. Policy on Materials being Considered by the Commission**

Copies of all staff reports and materials being considered by the Civil Service Commission are available for public view 72 hours prior to the Civil Service Commission meeting on the Civil Service Commission's website at <https://sf.gov/civilservice> and in its office located at 25 Van Ness Avenue, Suite 720, San Francisco, CA 94102. If any materials related to an item on this agenda have been distributed to the Civil Service Commission after distribution of the agenda packet, those materials will be available for public inspection at the Civil Service Commission's during normal office hours (8:00 a.m. to 5:00 p.m. Monday through Friday).

### **E. Policy and Procedure for Hearings to be Scheduled after 5:00 p.m. and Requests for Postponement**

**A request to hear an item after 5:00 p.m. should be directed to the Executive Officer as soon as possible following the receipt of notification of an upcoming hearing. Requests may be made by telephone at (628) 652-1100 and confirmed in writing or by fax at (628) 652-1109.**

A request for a postponement (continuance) to delay an item to another meeting may be directed to the Commission Executive Officer by telephone or in writing. Before acting, the Executive Officer may refer certain requests to another City official for recommendation. Telephone requests must be confirmed in writing prior to the meeting. Immediately following the "Announcement of Changes" portion of the agenda at the beginning of the meeting, the Commission will consider a request for a postponement that has been previously denied. Appeals filed under Civil Service Commission Rule 111A Position-Based Testing shall be considered on the date it is calendared for hearing except under extraordinary circumstances and upon mutual agreement between the appellant and the Department of Human Resources.

### **F. Policy and Procedure on Hearing Items Out of Order**

Requests to hear items out of order are to be directed to the Commission President at the beginning of the agenda. The President will rule on each request. Such requests may be granted with mutual agreement among the affected parties.

### **G. Procedure for Commission Hearings**

All Commission hearings on disputed matters shall conform to the following procedures: The Commission reserves the right to question each party during its presentation and, in its discretion, to modify any time allocations and requirements.

If a matter is severed from the *Consent Agenda* or the *Ratification Agenda*, presentation by the opponent will be for a maximum time limit of five (5) minutes and response by the departmental representative for a maximum time limit of five (5) minutes. Requests by the public to sever items from the [*Consent Agenda* or] *Ratification Agenda* must be provided with justification for the record.

For items on the *Regular Agenda*, presentation by the departmental representative for a maximum time of five (5) minutes and response by the opponent for a maximum time limit of five (5) minutes.

For items on the *Separations Agenda*, presentation by the department followed by the employee or employee's representative shall be for a maximum time limit of ten (10) minutes for each party unless extended by the Commission.

Each presentation shall conform to the following:

1. Opening summary of case (brief overview);
2. Discussion of evidence;
3. Corroborating witnesses, if necessary; and
4. Closing remarks.

The Commission may allocate five (5) minutes for each side to rebut evidence presented by the other side.

**H. Policy on Audio Recording of Commission Meetings**

As provided in the San Francisco Sunshine Ordinance, all Commission meetings are audio recorded in digital form. These audio recordings of open sessions are available starting on the day after the Commission meeting on the Civil Service Commission website at [www.sfgov.org/civilservice/](http://www.sfgov.org/civilservice/).

**I. Speaking before the Civil Service Commission**

Speaker cards are not required. The Commission will take public comment on all items appearing on the agenda at the time the item is heard. The Commission will take public comment on matters not on the Agenda, but within the jurisdiction of the Commission during the “Requests to Speak” portion of the regular meeting. Maximum time will be three (3) minutes. A subsequent comment after the three (3) minute period is limited to one (1) minute. The timer shall be in operation during public comment. Upon any specific request by a Commissioner, time may be extended.

**J. Public Comment and Due Process**

During general public comment, members of the public sometimes wish to address the Civil Service Commission regarding matters that may come before the Commission in its capacity as an adjudicative body. The Commission does not restrict this use of general public comment. To protect the due process rights of parties to its adjudicative proceedings, however, the Commission will not consider, in connection with any adjudicative proceeding, statements made during general public comment. If members of the public have information that they believe to be relevant to a matter that will come before the Commission in its adjudicative capacity, they may wish to address the Commission during the public comment portion of that adjudicative proceeding. The Commission will not consider public comment in connection with an adjudicative proceeding without providing the parties an opportunity to respond.

**K. Policy on use of Cell Phones, Pagers and Similar Sound-Producing Electronic Devices at and During Public Meetings**

The ringing and use of cell phones, pagers and similar sound-producing electronic devices are prohibited at this meeting. Please be advised that the Chair may order the removal from the meeting room of any person(s) responsible for the ringing or use of a cell phone, pager, or other similar sound-producing electronic devices.

**Information on Disability Access**

The Civil Service Commission normally meets in Room 400 (Fourth Floor) City Hall, 1 Dr. Carlton B. Goodlett Place. However, meetings not held in this room are conducted in the Civic Center area. City Hall is wheelchair accessible. The closest accessible BART station is the Civic Center, located 2 ½ blocks from City Hall. Accessible MUNI lines serving City Hall are 47 Van Ness Avenue, 9 San Bruno and 71 Haight/Noriega, as well as the METRO stations at Van Ness and Market and at Civic Center. For more information about MUNI accessible services, call (415) 923-6142. Accessible curbside parking has been designated at points in the vicinity of City Hall adjacent to Grove Street and Van Ness Avenue.

The following services are available on request 48 hours prior to the meeting; except for Monday meetings, for which the deadline shall be 4:00 p.m. of the last business day of the preceding week. For American Sign Language interpreters or the use of a reader during a meeting, a sound enhancement system, and/or alternative formats of the agenda and minutes, please contact the Commission office to make arrangements for the accommodation. Late requests will be honored, if possible.

Individuals with severe allergies, environmental illness, multiple chemical sensitivity or related disabilities should call our ADA coordinator at (628) 652-1100 or email [civilservice@sfgov.org](mailto:civilservice@sfgov.org) to discuss meeting accessibility. In order to assist the City’s efforts to accommodate such people, attendees at public meetings are reminded that other attendees may be sensitive to various chemical-based products. Please help the City to accommodate these individuals.

**Know your Rights under the Sunshine Ordinance (Chapter 67 of the San Francisco Administrative Code)**

Government’s duty is to serve the public, reaching its decisions in full view of the public. Commissions, boards, councils, and other agencies of the City and County exist to conduct the people’s business. This ordinance assures that deliberations are conducted before the people and that City operations are open to the people’s review. For more information on your rights under the Sunshine Ordinance or to report a violation of the ordinance, or to obtain a free copy of the Sunshine Ordinance, contact Victor Young, Administrator of the Sunshine Ordinance Task Force, 1 Dr. Carlton B. Goodlett Place, Room 244, San Francisco, CA 94102-4689 at (415) 554-7724, by fax: (415) 554-7854, by e-mail: [soff@sfgov.org](mailto:soff@sfgov.org), or on the City’s website at [www.sfgov.org/bdsupvrs/sunshine](http://www.sfgov.org/bdsupvrs/sunshine).

**San Francisco Lobbyist Ordinance**

Individuals and entities that influence or attempt to influence local legislative or administrative action may be required by the San Francisco Lobbyist Ordinance (San Francisco Campaign and Governmental Conduct Code Section 2.100) to register and report lobbying activity. For more information about the Lobbyist Ordinance, please contact the San Francisco Ethics Commission at 25 Van Ness Ave., Suite 220, San Francisco, CA 94102, telephone (415) 252-3100, fax (415) 252-3112 and web site <https://sfethics.org/>.





## NOTIFICATIONS

**James S. Sanabria**



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London Breed, Mayor

Amanda Eaken, Chair  
Gwyneth Borden, Vice Chair  
Stephanie Cajina, Director

Steve Heminger, Director  
Fiona Hinze, Director  
Manny Yekutiell, Director

Jeffrey Tumlin, Director of Transportation

**MEMORANDUM**

**DATE:** September 21, 2023

**TO:** Honorable Civil Service Commission

**THROUGH:** Kimberly Ackerman <sup>DS</sup> *kd*  
Chief People Officer, SFMTA Human Resources

**THROUGH:** William (Bill) Miles II <sup>DS</sup> *WEM*  
Talent Acquisition Senior Manager, SFMTA Human Resources

**FROM:** Shivani Nath <sup>DS</sup> *SN*  
Examinations and Classification Manager, SFMTA Human Resources

**SUBJECT:** **Appeal of Rejection of Application by James Sanabria for 7287, Supervising Electronic Maintenance Technician (CBT-7287-T00044)**

**BACKGROUND**

The job advertisement (job ad) for the Supervising Electronic Maintenance Technician (7287) recruitment opened on March 29, 2023, and closed on April 21, 2023, by the Municipal Transportation Agency, Human Resources Division, Exams and Classification (E&C) unit. The job ad was scheduled to close on April 14, 2023, but it was extended under the same recruitment ID to partake in the city-wide career fair on April 15, 2023.

To qualify for the 7287 examination, applicants must possess the following minimum qualifications (MQs) by April 21, 2023 (closing date of the job ad).

***Experience:***

*1. Completion of a two (2) year course or equivalent program in electronics from a recognized academic, trade, or a technical institution; OR completion of a military training program in electronics; AND*

*2. Five (5) years of full-time verifiable journey-level industrial or institutional electronics experience performing installation, instrumentation calibration, maintenance, troubleshooting, repair and modification of electronic control systems and related electrical components and electronic sub-systems to the electronic component level; three (3) years of which must have been at the supervisory level AND*



***License:***

*Possession of a valid Class C driver license.*

The E&C unit reviewed James Sanabria's (Sanabria) application and rejected Sanabria for lacking nearly two (2) years of required experience, that must have been at the supervisory level under the minimum qualifications.

Sanabria filed an appeal on 7/18/23. The second not qualified notice was sent on 7/7/23. Although Sanabria's appeal was filed past the five (5) business day period, the SFMTA is submitting a report, as the period by which an applicant must file an appeal by language was not included in Sanabria's second not qualified notice. Sanabria contests that their experience should qualify them for the 7287 examination.

**ISSUE**

Does Sanabria meet the minimum qualifications to participate in the 7287 examination for recruitment CBT-7287-T00044?

**AUTHORITY/STANDARDS**

**Sec. 410.2 Examination Announcements**

The examination announcement shall be the official notice of an examination and shall provide the qualifications, dates, and other particulars regarding the selection procedure. Applicants must be guided solely by the terms of the examination announcement.

**Sec. 410.4 Appeals of Examination Announcements**

Appeals concerning the provisions of an examination announcement must be received by the MTA Director of Transportation/Designee within five (5) business days from the issuance date. The MTA Director of Transportation/Designee shall rule on all appeals and shall notify appellants in writing of the decision. This decision is subject to appeal to the Commission as provided elsewhere in these Rules.

**Sec. 410.9 Qualifications of Applicants**

Every applicant for an examination must possess and maintain the qualifications required by law and by the examination announcement for the examination. Experience gained in violation of Commission Rules shall not be recognized. City and County employees in Service Critical classes at the Municipal Transportation Agency shall receive credit only for the duties of the class to which appointed or assigned unless sufficient and credible documentation is provided to verify



performance of other duties. Employees in Service-Critical classes at the Municipal Transportation Agency may receive credit for duties not usually performed by incumbents in a Service-Critical class if their employee file contains contemporaneous documentation that the duties were assigned and performed. By way of example but not limitation, records that describe and verify the out-of-class assignment that may be accepted as documentation include a valid performance appraisal completed during the normal evaluation period, payroll records filed at the time of the assignment and Notice of Assignment. Credit for duties in Service-Critical classes at the Municipal Transportation Agency not usually performed by incumbents in a Service-Critical class based on non-contemporaneous documentation shall require the certification of the Municipal Transportation Agency Deputy Director, Labor Relations and Human Resources, and the approval of the Director of Transportation.

#### Sec 405.12.1 Examination Matters

An action by the MTA Director of Transportation/Designee, on examination matters, may be appealed to the Commission provided such appeal is received by the Executive Officer by close of business on the fifth (5th) working day (excluding Saturdays, Sundays, and holidays) following the postmarked mailing date of notification to the appellant. The appeal period shall be extended an additional five (5) working days (excluding Saturdays, Sundays, and holidays) where the notification to the appellant is sent exclusively by certified mail – return receipt requested. The Commission's action on the appeal shall be final and no reconsideration request shall be allowed.

### FINDINGS

1. Sanabria was appointed to the Electronic Maintenance Technician, class code 7318, on 6/21/14 in a temporary exempt appointment. After successfully being placed on a 7318 eligible list, Sanabria competed for and promoted to a permanent civil service appointment on 2/14/15. **[Attachment A]**
2. The examination announcement for CBT-7287-T00044 was posted on March 29, 2023 and closed on April 21, 2023. **[Attachment B]**
3. No appeals were received related to the job advertisement (exam).
4. Sanabria submitted a timely application, with seven (7) attachments, to compete in the recruitment process on April 3, 2023. **[Attachment C]**
5. The E&C unit sent an email requesting information from the SFMTA Labor Unit for records of acting assignments for Sanabria. E&C received confirmation that Sanabria was assigned to perform the full range of duties of the Supervising Electronic Maintenance Technician, class code 7287, effective March 5, 2022 – June 30, 2022, and an extension was granted effective July 1, 2022 – June 30, 2023. **[Attachment D]**
6. The E&C unit determined that the application materials and supporting documents did not



clearly indicate possession of the minimum qualifications. Sanabria received his first not-qualified notice on May 19, 2023. The original deadline to submit additional documents was May 26, 2023. [Attachment E]

7. Sanabria dropped off a thumb drive in person to Pierre Aguirre, Exams Analyst, to support his qualifications. The thumb drive contained 71 folders and 620 files. Upon receipt of the thumb drive, Aguirre discussed with SFMTA's Talent Acquisition Senior Manager, William Miles II, on how to proceed as the quantity of documents to review would substantially impact the examination timeline and candidate review process. Miles reviewed some of the documents and found that they were electronics program requirements and certificates, salary history, worklogs, campaign rosters, installation documents, etc. that had no relevance to supporting qualifying supervisory experience being possessed and advised to give Sanabria time to indicate which specific documents of those provided he feels show supervisory responsibilities being assigned and performed in support of the application. Additionally, an extension of the submittal deadline to June 2, 2023 was provided. [Attachment F]
8. Sanabria requested an extension to the above timeline for which the analyst granted to require a response by June 7, 2023. In response, Sanabria wrote an email dated June 8, 2023 expressing difficulty in being able to respond due to losing their laptop. Sanabria provided documents to be considered to demonstrate their supervisory experience and Aguirre accepted the documents as a part of their review process. [Attachment G]
9. Due to the issues Sanabria indicated with providing the necessary documents by the original provided deadlines, Aguirre provided a final extension to Sanabria on June 16, 2023 to submit anything additional for consideration by June 22, 2023. [Attachment H]
10. Sanabria provided an updated letter from Michael Motta, Fleet Engineering, Maintenance Professional Engineer, dated June 19, 2023. [Attachment I]
11. Upon review, The E&C unit did not find that the documents submitted verified full possession of the Minimum Qualifications. Sanabria received a second not-qualified notice on July 7, 2023. [Attachment J]
12. Sanabria filed an appeal on the rejection of his application on July 18, 2023. [Attachment K].

### ANALYSIS

The electronic maintenance technician series (subject series of this appeal) starts with 7430 Assistant Electronic Maintenance Technician and progresses in responsibility to the 7318 Electronic Maintenance Technician, then to the first supervisory level, 7329 Electronic Maintenance Technician Assistant Supervisor, and finally the second supervisory level, 7287 Supervising Electronic Maintenance Technician. The classifications are represented by IBEW Local 6.





The 7318 Electronic Maintenance Technician is a skilled journey-level classification and responsible for evaluating electronic systems, circuits, and components, working from schematics, drawings, blueprints to perform corrective and preventive, non-routine repair, modification, troubleshooting, calibration, removal and installation of complex electronic systems, equipment, and transit vehicles. The 7318 provides journey-level experience to exercise and strengthen technical expertise in the functional area. No supervisory responsibilities are associated with the 7318 classification. **[Attachment L]**

The 7318 prepares an incumbent to compete for the next level in the series, the 7329 Electronic Maintenance Technician Assistant Supervisor. As such, the 7329 class is the direct promotional pathway for individuals in class 7318. This provides advanced journey level experience and provides an incumbent with the supervisory experience necessary to compete for the highest level in the series, the 7287 Supervising Electronic Maintenance Technician. **[Attachment M]**

The 7287 requires “*journey-level industrial or institutional electronics experience performing installation, instrumentation calibration, maintenance, troubleshooting, repair and modification of electronic control systems and related electrical components and electronic sub-systems to the electronic component level; three (3) years of which must have been at the supervisory level.*” This ensures that the incumbent is minimally qualified to adequately supervise lower-level staff who perform complex work in the field. **[Attachment N]**

Sanabria contests that his experience should qualify him for the 7287 examination.

Upon submittal of their application, Sanabria provided seven (7) attachments to compete in the recruitment process.

- a. Certificate of Completion – Vocational Electronics
- b. Certificate of Completion – Vocational Electrical
- c. Electronic Technician Certification Curriculum Framework
- d. Verification/Recommendation Letter from Michael Motta dated 5/27/14.
- e. Verification/Recommendation Letter from Michael Motta dated 6/13/21.
- f. Verification/Recommendation Letter from John Catanach – No date.
- g. 7287 Supervising Electronic Maintenance Technician – 10/31/14 eligible list

In the application, Sanabria listed their appointment as a 7318 Electronic Maintenance Technician and, after review of their personnel record, was credited for possessing the required five (5) years of technical experience under the minimum qualifications. The 7318 class does not have any supervisory responsibilities according to the class specification.

Sanabria was credited for possessing the required two (2) year training course, based on attachments 'a-c' above.



Sanabria did not receive any credit for attachments 'd-f' above. The same documents were submitted for an Electrical Transit Shop Supervisor I recruitment that Sanabria applied to in December 2021, to demonstrate supervisory responsibilities.

A supervisor has overall responsibility for recommending hiring and disciplinary actions to a higher authority; establishing and enforcing work rules and procedures; approving staff overtime, travel and time off requests; setting organizations and unit goals; issuing formal evaluations and applying corrective actions to fix areas of deficiency; resolving grievances; and recommending appropriate levels of discipline as needed.

A memo was prepared by the E&C unit for the Chief People Officer to review as a part of the Electrical Transit Shop Supervisor I recruitment in December 2021. Although there is mention of ‘personnel supervision’ in a July 13, 2021 non-contemporaneous letter, none of the tasks listed showed full supervisory responsibilities and no org charts, acting assignments or other documents were found to corroborate the statements made, which would have been out-of-scope of Sanabria’s 7318 classification. An individual stating the word “supervision” in a letter does not make the position supervisory; the job responsibilities determine if one is truly performing supervisory responsibilities over personnel. After review, the E&C unit stated that the documents provided were more consistent with one having responsibility for oversight of a project or coordination of activities, more closely related to lead work than supervision of personnel.

Upon review of the E&C unit’s analysis, the non-contemporaneous documents were not certified by Kimberly Ackerman, Chief People Officer due insufficient information to demonstrate that the full scope of supervisory responsibilities was being performed. **[Attachment O]**

Sanabria also did not receive any credit for attachment 'g' above. It shows that they qualified for a past 7287 recruitment and successfully placed on the list in October 2014. This does not provide any additional information to verify the supervisory experience required to qualify for this current recruitment.

As a part of the application review process, the E&C unit requested acting assignment paperwork from SFMTA’s Labor Unit. Sanabria has documented acting assignment records in class code 7287, effective March 5, 2022 – June 30, 2023. This confirmed the information that Sanabria had submitted on their application for this acting assignment and Sanabria was credited one (1) year, one (1) month of the required supervisory experience under the minimum qualifications. The calculation was from March 5, 2022 – April 21, 2023 (close of job ad). Based on this information, Sanabria was still lacking nearly two (2) years of the required supervisory experience.

As a result, the E&C unit determined that there was not clear possession of the minimum qualifications and sent a first rejection notice to Sanabria. Sanabria responded by providing the following additional documents to be reviewed:

- a. Resume



- b. Application for Patent/Trademark for Toilet Ventilation System
- c. Patent Application Publication for Toilet Ventilation System
- d. Pump Schematic
- e. Optimal Solutions Technologies Business Plan
- f. Optimal Solutions Technologies Schedule A, Class A Interest Members
- g. Optimal Solutions Technologies Listing of Roles and Responsibilities
- h. Sanithrone Employee Handbook
- i. Sanithrone Technologies, LLC filings from 2007
- j. Word document with file name 05-31-09 (with notes on what appears to be what individuals are working on)
- k. Verification/Recommendation Letter from Michael Motta, Light Rail Vehicle Equipment Engineer dated 6/19/23.

Item 'a,' is a resume that did not yield any additional information to further credit Sanabria for the supervisory experience lacking under the MQs.

Items 'b-j' show forms and documents consistent with establishing a small business. The documents do not demonstrate specific duties that Sanabria performed in their role, the level of staff that they supervised, or what roles they had. As such Sanabria did not receive any further credit for the supervisory experience lacking under the MQs.

Item "k" is the most recent letter scribed by Michael Motta, Light Rail Vehicle Equipment Engineer which now states "James is also responsible for supervising other technician and maintenance personnel working on these projects daily... (and that) supervisory duties included enforcement of safety requirements, work planning, maintenance record keeping, quality assurance, assisting others with payroll and timekeeping accounting, and documentation supporting administrative actions." The time period of this letter has been extended from prior letters to cover time periods 2002-2006 and 2012-2023.

The above statement does not clearly identify full supervisory responsibilities. As indicated previously, a supervisor has overall responsibility for recommending hiring and disciplinary actions to a higher authority; establishing and enforcing work rules and procedures; approving staff overtime, travel and time off requests; setting organizations and unit goals; issuing formal evaluations and applying corrective actions to fix areas of deficiency; resolving grievances; and recommending appropriate levels of discipline as needed.

SFMTA HR notes that the letters written by Motta have been modified over the years. The original letter from 2014 claims to cover the time periods from 2002-2006 and January 2012 – January 2014. This letter states no supervisory responsibilities over personnel during these time periods. In Motta's 2021 letter, they include the same dates but extend the time periods to include 2002-2006 and 2012-2021. In this letter, Motta references organizational and supervisorial skills without making any reference to specific work performed that was supervisory in nature. The supervisory words were added to the letter with nothing to support such work actually being performed. A review was



performed at that time requesting documentation from SFMTA’s Transit division on supervisory duties assigned to Sanabria. After a review of documents, the Chief People Officer declined to certify the 2021 non-contemporaneous documents, inclusive of Motta’s letter and other documents provided by the appellant.

Now, Motta has written another letter for which they add more specifics and extend the time period to be from 2002-2006 and between 2012-2023. The time period up to December 2021 has already been reviewed by the Chief People Officer and not certified as required by CSC Rule 410.9, so only time periods beyond that can be considered as a part of this review. Acting assignments dated from March 2022 to April 21, 2023 (filing deadline) corroborate the statements made since the time of the previous letter and Sanabria has been given credit for those acting assignments. The time period not covered (December 2021 – March 2022) would not add enough experience for Sanabria to be determined qualified to necessitate a new review by the Chief People Officer for that time period.

Michael Motta has continuously written letters on behalf of the appellant adding job duties and making it sound as if Sanabria has been performing those duties for the entirety of the time periods from 2002-2006 and since 2012. This is inaccurate. Motta is not breaking down the different time periods for which Sanabria performed the work stated and is thus making it sound like he has been performing these job duties throughout the entire time range specified.

Michael Motta also does not appear to have the authority to write such verification letters on behalf of James Sanabria. Motta has written statements for time periods for which they were not an employee. Motta has written statements to verify Sanabria’s experience for the time period between 2002 and 2006. However, Motta was not employed with SFMTA until October 11, 2005 and was employed as an Assistant Engineer, whom would have no supervisory or management duties over Sanabria’s classification. **[Attachment P]** Sanabria was also in a different classification, 7371 Electrical Transit System Mechanic, during this time period which is not responsible for electronics work as required in the first half of the minimum qualifications and thus any supervisory duties that could have been performed during that time would still not be qualifying for this examination.

Additionally, Motta has written these letters for Sanabria for time periods that SFMTA HR has not been able to validate that they were responsible for supervising Sanabria’s work. Although not all years are covered, a review of appointments in Sanabria’s personnel file was conducted which indicates Kathleen Forrester (2001), Robert Alonzo (2003), Steve Lin (2014), Broderick Topps (2014 – while acting), and Mike Ellis as individuals who may have had prior supervisory or management responsibilities over James Sanabria. There is no mention of Michael Motta as having a reporting relationship in James Sanabria’s personnel records. **[Attachment Q]**

SFMTA HR also looked at recent organizational structures and do not find any reporting relationship between the classes supervised by Michael Motta and the electronic maintenance series. No such positions show up on the organizational chart of positions assigned to Michael Motta; all positions reporting to Motta are engineers. Currently James Sanabria, in their acting capacity, reports directly to Louis Guzzo, Chief Mechanical Officer. **[Attachment R, S and T]**



SFMTA HR also checked with our Labor team who did not have any acting assignments associated with Michael Motta since 2012 that would potentially explain such a relationship existing. **[Attachment U]**

Lastly, SFMTA HR checked with our division representatives for the Transit division to see if there was any other reporting structure HR may have been unable to locate between these two individuals and received no supporting documentation of such a relationship. **[Attachment V]**

Given the above, Michael Motta's letters have been inconsistent and unclear as to time periods for which stated supervisory duties specified were actually performed and Motta does not have the authority to be writing such letters as James Sanabria does not report to Motta.

As a result of receiving their second rejection letter, Sanabria appealed the decision to the Civil Service Commission. The only new document provided as a part of the appeal is an organization chart from the Electrical Shop dated March 2022. This is at the time period for which Sanabria was given a 7287 acting assignment and thus has already been given credit for that experience.

Sanabria states in his appeal that he believes his rejection to be the result of manipulation and retaliation for a separate matter. Sanabria indicates that each time the E&C unit has communicated with him, that he provides the information to only learn there is something else missing. It is the job of the E&C unit to ensure that all applicants clearly possess the MQs listed on each examination announcement. Applicants are reviewed solely based on the application submitted, internal appointment or acting assignment records, and other documents provided by the applicant as a part of the minimum qualification review process. Allowing a candidate to participate and compete in an examination process for which they do not clearly show possession of the minimum qualifications would be an unfair practice to other candidates who compete in the examination process. Each applicant must submit a completed application with specific duties and documentation that they believe will demonstrate that they possess the MQs for the recruitment. The E&C unit has specified that Sanabria has not provided documentation that clearly shows they were assigned supervisory responsibilities over personnel for the time period required to participate in this examination process.

### **CONCLUSION**

Sanabria contests that he should be qualified for the current 7287 examination, using non-contemporaneous letters as the main documentation to support his experience. These letters have not been certified by the Chief People Officer, are inconsistent, and in the case of Michael Motta, are written by an individual who does not appear to have the authority to be writing such verification letters for Sanabria, as they do not the responsibility of supervising or managing Sanabria. No organization charts, job description, performance appraisals, or other documentation have been provided prior to March of 2022 that clearly show the assignment and performance of supervisory responsibilities over personnel while performing the electronics work specified in the minimum qualifications.





The only documentation that SFTMA HR is able to validate and consider is Sanabria’s current acting assignment in the 7287 classification. As this acting assignment was only for a duration of one year, one month as of the filing deadline, Sanabria still lacks nearly two (2) years of the required minimum qualifications supervising staff while performing “*installation, instrumentation calibration, maintenance, troubleshooting, repair and modification of electronic control systems and related electrical components and electronic sub-systems to the electronic component level.*”

### **RECOMMENDATION**

Adopt the report and deny the appeal by James Sanabria.



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# ATTACHMENT A

James S Sanabria

Emp

ID [REDACTED]

Empl Record 0

## Job Appointment Summary

Personalize | Find | View All | First

Eff Date	Appt Date	Action	Description	Payroll Status	Job Code	Union Code	Empl Class	Exmpt Cat	Full/Part Time	Elig List #	Rank	POS #	Dept Sen Date	Dept	Location	Cert Date	Ctywd Srnty Date	Company Seniority Date
07/01/2017	02/14/2015	POS	Position Data Update	Active	7318	006	PCS	NA	F	059904	8.00	01004709	08/22/2014	MTA	MTA001	08/22/2014	08/22/2014	12/27/2011
02/14/2015	02/14/2015	DTA	Status Change	Active	7318	006	PCS	NA	F	059904	8.00	01004709	08/22/2014	MTA	MTA001	08/22/2014	08/22/2014	
06/21/2014	06/21/2014	DTA	Job Code Change	Active	7318	006	TEX	18	F		0.00	01127227		MTA	MTA001			
08/17/2012	05/29/2012	DTA	Data Conversion	Active	7371	006	PCS	NA	F	058456	6.00	01119215	04/02/2012	MTA	MTA001	04/02/2012	04/02/2012	
05/29/2012	05/29/2012	PRO	Prom - Permanent Civil Service	Active	7371	006	PCS		F	058456	6.00		04/02/2012	MTA	MTA001	04/02/2012	04/02/2012	
12/27/2011	12/27/2011	REH	Rehire - Temp Exempt	Active	7371	006	TEX		F		0.00			MTA	MTA001			
07/02/2010	02/17/2001	DTA	Redesignation	Terminated	7371	006	PCS		F	051068	1.00		01/26/2001	MTA	MTA001	01/26/2001	01/26/2001	
01/25/2006	02/17/2001	TER	Resign - Satisfactory Service	Terminated	7371	006	PCS		F	051068	1.00		01/26/2001	DPT	DPT001	01/26/2001	01/26/2001	
02/17/2001	02/17/2001	PRO	Prom - Permanent Civil Service	Active	7371	006	PCS		F	051068	1.00		01/26/2001	DPT	DPT001	01/26/2001	01/26/2001	
07/01/2000	07/01/1999	DTA	Redesignation	Active	7371	006	TPV		F		0.00			DPT	DPT001			



SF | Careers

# ATTACHMENT B

SF.GOV SF | DHR

## Career Opportunity

### Supervising Electronic Maintenance Technician - City and County of San Francisco - Multiple Departments Citywide (7287) - (T00044)

**Recruitment:** REF24019V*Published:* July 19, 2023*Accepting applications until:* April 21, 2023

#### Contact:

**Alvin Nelson** - [Alvin.Nelson@sfgov.org](mailto:Alvin.Nelson@sfgov.org)**Madeleine Chanbanchong** - [madeleine.chanbanchong@sfmta.com](mailto:madeleine.chanbanchong@sfmta.com)

Sorry, this opening is closed

Apply using SmartRecruiters, the City and County of San Francisco's application portal [Learn More](#)

Share

Share

**Department:** Municipal Transportation Agency**Job class:** [7287-Supervising Electronic Maintenance Technician](#)**Salary range:** \$142,246.00 - \$172,848.00**Role type:** Permanent Civil Service [what does this mean?](#)**Hours:** Full-time**Exam type:** Class Based Test**Rule:** Rule of 3 [what does this mean?](#)**List type:** Combined Promotive and Entrance

#### About:

**THIS IS A CITYWIDE EXAM.**

The City and County of San Francisco has Supervising Electronic Maintenance Technician vacancies at various departments Citywide.

San Francisco is a vibrant and dynamic city, on the forefront of economic growth & innovation, urban development, arts & entertainment, as well as social issues & change. This rich tapestry of culture and ideas is sustained by our City's commitment to heighten the quality of life for San Franciscans and residents of the greater Bay Area. Our employees play an important role not only in making our City what it is today, but also in shaping the future of San Francisco.

**Application Opening:** March 29, 2023**Application Deadline:** April 21, 2023

NOTE: The filing deadline has been extended to accept additional applications. Applicants who have already submitted their application do not need to reapply.

**Recruitment ID:** CBT-7287-T00044 / REF24019V

## Role description

Under direction, supervises subordinate supervisory electronics personnel engaged in a wide variety of highly skilled technical functions.

### **Essential Functions:**

According to Civil Service Commission Rule 109, the duties specified below are representative of the range of duties assigned to this job code/class and are not intended to be an inclusive list.

1. Assigns, supervises and inspects the troubleshooting, maintenance, repair, calibration, fabrication, installation, design modification and development of electronic systems and components, which may include, but not limited to, electronic systems on electric transit vehicles, wayside and central control equipment, remote terminal units (RTU), servers, network and fiber optics communication systems, supervisory control, remote signal and remote control equipment, instrumentation and control systems, radio, fire alarm and security systems, video equipment, digital electronic equipment, telemetering, communication, protective relays, meters, and other electronic and auxiliary apparatus.
2. Establishes maintenance and repair policies and procedures which may include, but not limited to, electronic systems on electric transit vehicles, wayside and central control equipment, remote terminal units (RTU), servers, network and fiber optics communication systems, supervisory control, remote signal and remote control equipment, instrumentation and control systems, radio, fire alarm and security systems, video equipment, digital electronic equipment, telemetering, communication, protective relays, meters, and other electronic and auxiliary apparatus.
3. Advises, instructs and assists subordinate personnel in solving complex non-routine electronic problems/emergency work situations; and advises management personnel and others on the functions of electronic systems and components. May personally carry out difficult troubleshooting on equipment at various work sites.
4. Directs, monitors, analyzes and prepares written reports on various tasks such as maintenance progress, recommendations relating to improvement of equipment reliability, personnel effectiveness, operating policies and procedures, etc.
5. Assists in the preparation of budget and allocation of resources.
6. Participates in the review of new projects which includes reading of blueprints, schematics, and diagrams of electronic equipment and electromechanical systems.
7. Establishes and maintains contact with other Departmental personnel, representatives of other division/departments, contractors, and general public, keeping them advised and informed of the department's activities and representing the department at various meetings.
8. Performs other duties as required.

**Nature of Work:** Incumbents may be required to work in adverse work conditions; climb ladders, bend, squat and crawl in tight spaces to access work sites; work in suspended or confined spaces for extended periods of time; work in and around construction areas; work day, swing or night shifts, rotating shift, weekends, and holidays. Some tasks may require the use of Personal Protective Equipment (PPE). Requires normal color vision and average hearing.

Incumbents at SFMTA may be required to walk distances on narrow catwalks, on rock ballast, up and down stairs while carrying tools, test equipment, and parts in dimly lit areas while trains are operating at a speed up to 50 mph in very close proximity.

## How to qualify

### **Experience:**



1. Completion of a two (2) year course or equivalent program in electronics from a recognized academic, trade, or a technical institution; OR completion of a military training program in electronics; AND
2. Five (5) years of full-time verifiable journey-level industrial or institutional electronics experience performing installation, instrumentation calibration, maintenance, troubleshooting, repair and modification of electronic control systems and related electrical components and electronic sub-systems to the electronic component level; three (3) years of which must have been at the supervisory level AND

**License:** Possession of a valid Class C driver license.

One year of full-time employment is equivalent to 2000 hours. (2000 hours of qualifying work experience is based on a 40-hour work week.) Any overtime hours that you work above forty (40) hours per week are not included in the calculation to determine full-time employment.

**Notes:**

- A. Positions at the SFMTA require maintaining hardware and software of light rail vehicle, wayside and central control systems.
- B. Some positions at PUC require exposure to high voltage for testing, calibration and preventative maintenance on power transformers (14.4 kv / 230 kv) and associated protective relays, oil circuit breakers, potential and current devices; testing following operational standards of large generators (to 85 mva) for rotors and stators; utilizing data acquisition equipment, programmable logic systems, vibration recording equipment, communications equipment to include micro wave and mobile units; and understanding of water quality monitoring equipment, UPS systems, inverters, large battery chargers, photo voltaic equipment and voice recording equipment.
- C. Some positions will require employees to obtain a Federal Communications Commission Radio Telephone License or equivalent within six months of appointment.

*Applicants must meet the minimum qualification requirement by the final filing date unless otherwise noted.*

**Verification:** Applicants may be required to submit verification of qualifying education and experience at any point during the recruitment and selection process. If education verification is required, information on how to verify education requirements, including verifying foreign education credits or degree equivalency, can be found at <https://sfdhr.org/how-verify-education-requirements>.

**Note:** Falsifying one's education, training, or work experience or attempted deception on the application may result in disqualification for this and future job opportunities with the City and County of San Francisco.

All work experience, education, training and other information substantiating how you meet the minimum qualifications must be included on your application by the filing deadline. Information submitted after the filing deadline will not be considered in determining whether you meet the minimum qualifications.

Resumes will not be accepted in lieu of a completed City and County of San Francisco application.

Applications completed improperly may be cause for ineligibility, disqualification or may lead to lower scores.

**Selection Procedure:**

After application submission, candidates deemed qualified must complete all subsequent steps to advance in this selection process, which includes the following:

**Minimum Qualification Supplemental Questionnaire (Weight - Qualifying):** Candidates will be prompted to complete a Supplemental Questionnaire prior to being placed on the eligible list. Failure to complete the questionnaire may result in disqualification from the selection process.

**Trades Supervisory Examination (TSE) Weighted 50%:**

Candidates will be administered a written multiple-choice examination that includes test items that relate to various supervisory practices and procedures (e.g., directing subordinates, delegating tasks to subordinates, providing customer service, demonstrating appropriate supervisory/leadership behavior, addressing and/or evaluating subordinate issues, behavior and performance, etc.) and well as reading comprehension items.

The score you achieve on this examination shall be valid and 'banked' for three years, starting from the date of the examination. This means that, during this three-year time period, you will not be required to take this test again should you apply and be found eligible for a future announcement for which this particular test is used. Please note this test is used for other supervisory classes therefore your test score may be applied to one or more of these classes if you choose to apply to future recruitments. If the test for this future announcement is held within one year of the date of this examination, your score will be automatically applied to that announcement. However, after one year, you have the option to either (a) apply your test score to the other announcement or (b) re-take the test. Re-testing is permitted no sooner than one year from the date of the examination and only in association with your eligibility for another announcement for which this test is used. Please note that, should you re-test, your re-test score would become your official score since it is the most recent.

A passing score must be achieved on Trades Supervisory Exam in order to continue in the selection process. This is a standardized examination, and, therefore, test questions and answers are not available for public inspection or review.

**Training & Experience (T&E) Evaluation Weighted 50%:** Candidates who pass the TSE will receive a Supplemental Questionnaire via email. Candidates will be evaluated on their relative knowledge, skill and ability levels in job-related areas.

Candidates must achieve a passing score on all exam components listed above in order to be placed on the eligible list/score report.

## What else should I know?

**Eligible List/Score Report:** A confidential eligible list/score report of applicant names that have passed the civil service examination process will be created and used for certification purposes only. An examination score report will be established, so applicants can view the ranks, final scores and number of eligible candidates. Applicant information, including names of applicants on the eligible list/score report, shall not be made public unless required by law. However, an eligible list/score report shall be made available for public inspection, upon request, once the eligible list/score report is exhausted or expired and referrals resolved. The eligible list/score report resulting from this civil service examination process is subject to change after adoption (e.g., as a result of appeals), as directed by the Human Resources Director or the Civil Service Commission.

The duration of the eligible list/score report resulting from this examination process will be **12** months and may be extended with the approval of the Human Resources Director.

**Terms of Announcement:** Applicants must be guided solely by the provisions of this announcement, including requirements, time periods and other particulars, except when superseded by federal, state or local laws, rules or regulations. [Note: The correction of clerical errors in an announcement may be posted on the Department of Human Resources website at <https://careers.sf.gov>.] The terms of this announcement may be appealed under Civil Service Rule 410.4. Such appeals must be submitted in writing to the Department of Human Resources, 1 S Van Ness Avenue, 4th Floor, San Francisco, CA 94103 by close of business on the 5th business day following the issuance date of this examination announcement. Information concerning other Civil Service Commission Rules involving announcements, applications and examination policies, including applicant appeal rights, can be found on the Civil Service Commission website at <http://sfgov.org/civilservice/rules>.

**Medical Examination/Drug Testing:** Candidates who are being considered for appointment may be required to pass a medical examination.

The San Francisco Municipal Transportation Agency (SFMTA) has determined that Class 7287 Supervising Electronic Maintenance Technician is a "safety-sensitive" position, under regulations issued by the Federal Transit Administration (49 CFR Part 655). All applicants for Safety-Sensitive positions shall undergo urine drug testing prior to employment and within 90 days prior to performing Safety-Sensitive functions for the first time.

For more information, click here: <https://www.sfmta.com/about-us/sfmta-career-center/how-join-our-team#Background>.

**Transportation Security Administration (TSA) Security Clearance:** Candidates for employment with the San Francisco Airport Commission are required to undergo a criminal history record check, including FBI fingerprints, and Security Threat Assessment in order to determine eligibility for security clearance and may be required to undergo drug/alcohol screening. Per Civil Service Commission Rule Section 110.9.1, every applicant for an examination must possess and maintain the qualifications required by law and by the examination announcement for the examination. Failure to obtain and maintain security clearance may be basis for termination from employment with the Airport Commission.

**Customs Clearance:** This position may require that the incumbent be qualified for unescorted access to the San Francisco International Airport U.S. Customs Security Area. An application for a U.S. Custom Access Seal may be submitted to Customs ONLY after employment has commenced. Employment in this position requires that the incumbent submit an application for, successfully acquire and maintain a Customs Access Seal. Per Civil Service Commission Rule 110.9.1, every applicant must possess and maintain the qualifications required by law and by the examination announcement for this examination. Failure to acquire or maintain customs access, a requirement for this position, may be basis for termination from employment with the Airport Commission. Customs Access Seal requirements and procedures are located in the Code of Federal Regulations, Title 19, Part 122, Sections 181 or 189.

**Additional Information Regarding Employment with the City and County of San Francisco:** [Information About The Hiring Process](#) / [Conviction History](#) / [Employee Benefits Overview](#) / [Equal Employment Opportunity](#) / [Disaster Service Worker](#) / [ADA Accommodation](#) / [Veterans Preference](#) / [Seniority Credit in Promotional Exams](#) / [Right to Work](#) / [Copies of Application Documents](#) / [Diversity Statement](#)

**How to Apply:** Applications for City and County of San Francisco jobs are only accepted through an online process.

1. Visit [Careers with Purpose | City and County of San Francisco \(sf.gov\)](#)
2. Type "7287" in to the "Search by class or keyword" field.
3. Click the link to open the Job Announcement.
4. Select the "Apply Now" button and follow instructions on the screen.

Applicants may be contacted by email about this recruitment and, therefore, it is their responsibility to ensure that their registered email address is accurate and kept up-to-date. Also, applicants must ensure that email from CCSF is not blocked on their computer by a spam filter. To prevent blocking, applicants should set up their email to accept CCSF mail from the following addresses (@careers.sf.gov, @sfgov.org, @sfdpw.org, @sfport.com, @flysfo.com, @sfwater.org, @sfdph.org, @asianart.org, @sfmta.com, @sfpl.org, @dcyf.org, @first5sf.org, @famsf.org, @ccsf.edu, @smartalerts.info, and @smartrecruiters.com).

Applicants will receive a confirmation email that their online application has been received in response to every announcement for which they file. Applicants should retain this confirmation email for their records. Failure to receive this email means that the online application was not submitted or received.

**Exam Analyst Information:** If you have any questions regarding the Exam Process, please contact the exam analyst Madeleine.Chanbanchong@sfmta.com. *MC | CBT-7287-T00044 | CPE*

**CONDITION OF EMPLOYMENT:** All City and County of San Francisco employees are required to be fully vaccinated against COVID-19 as a condition of employment. Someone is fully vaccinated when 14 days have passed since they received the final dose of a two-shot vaccine or a dose of a one-shot vaccine. Any new hire must present proof of full vaccination status to be appointed. Any new hire who will be routinely assigned or occasionally enter High-Risk Settings, must provide proof of having received a COVID-19 booster vaccine by March 1, 2022, or once eligible.

The City and County of San Francisco encourages women, minorities and persons with disabilities to apply. Applicants will be considered regardless of their sex, race, age, religion, color, national origin, ancestry, physical disability, mental disability, medical condition (associated with cancer, a history of cancer, or genetic characteristics), HIV/AIDS status, genetic information, marital status, sexual orientation, gender, gender identity, gender expression, military and veteran status, or other protected category under the law.

Sorry, this opening is closed

# ATTACHMENT C

James Sanabria - (REF24019V) - Supervising Electronic Maintenance Technician - City and County of San Francisco - Multiple Departments Citywide (7287) - (T00044)

OFFICIAL COPY

## Job Application

James Sanabria

<b>Submission:</b> 10:26:12 on 2023-April-03	<b>Email:</b> [REDACTED]
--	--------------------------

## Experience

### Electrical Maintenance Mechanic

1998-01 - 2006-01

SFMTA - Municipal Railway

Experience 4: 19980105 - 20060126

07/03-01/06: Lead Mechanic for LRV Engineering Support Group. 01/02-07/03: Mobile Response Unit co-founding & member, emergency response to minimize delays, response to all major accidents derailments for rail fleet maintenance, lead mechanic awarded multiple commendations for service, safety and professionalism (MUNI & SFFD). 01/98-01/02: lead mechanic on BREDA Modification Team, performed detailed wiring updates, directed technicians and mechanics on installation/test/acceptance and failure analysis provide with written reports to engineering and system safety departments. All other duties as requested.

### Electrical Maintenance Mechanic

2012-02 - 2014-06

SFMTA - Municipal Railway

Experience 3: 20120201 - 20140620

As the lead electrical mechanic of the LRV Engineering Support Shop, which is under the supervision of LRV Fleet Engineering, I acted and conducted duties equivalent to both the 7329 (Assistant Supervising Electronic Technician).

I led, managed, and supervised both SFMTA personnel (7371's and 7318's) and contractors for the following major campaign:

Breda LRV Mif-life Retrofit Campaign 2/1/12 - 4/1/14

As the lead mechanic, under the supervision of the LRV Fleet Engineering, I participated, assigned, supervised and inspected the maintenance, repair, calibration, fabrication, installation, design modification and development of electronic systems and components. These systems included, but were not limited to, electronic propulsion systems, automatic train control systems, electronic systems on electric transit vehicles, infrastructure and central control equipment, power distribution systems, remote terminal units (RTU), supervisory control systems, equipment control, instrumentation, and control systems, digital electronic equipment, telemetering, protective relays, meters, electronic and auxiliary apparatus.

I established and participated in maintenance, repair and inspection policies and procedures to be

SAN-008



**James Sanabria - (REF24019V) - Supervising Electronic Maintenance Technician - City and County of San Francisco - Multiple Departments Citywide (7287) - (T00044)**

utilized by my subordinates for the equipment and systems, as stated above.

I advised, instructed and assisted subordinate personnel in solving complex non-routine electronic problems/emergency work situations, and advises management personnel and others on the functions of electronic systems and components. I routinely engaged in addressing difficult troubleshooting solutions on equipment at various work sites and/or equipment and systems. This included vehicle testing and safety procedures.

I directed, monitored, analyzed and prepared written reports on various tasks such as maintenance progress, recommendations relating to improvement of equipment reliability, personnel effectiveness, operating policies and procedures, etc.

I participates in the review of new projects, revisions, and modifications which included reading of blueprints, schematics, and diagrams of electronic equipment and electromechanical systems. This included specification compliance and warranty support.

I routinely and often established and maintained contacts with other Departmental personnel, representatives of other division/departments, contractors, keeping them advised and informed of the department's activities and representing the department at various meetings.

**Acting Electronic Technician Supervisor**

*2022-03 - Present*

SFMTA - Municipal Railway

Experience 1: Current 20220501 to present

As supervisor of the Farebox, Radio, Video and LRV Engineering Support Shops I assign, supervise and inspect the troubleshooting, maintenance, repair, calibration, fabrication, installation, design modification and development of electronic systems and components. These systems include, but are not limited to, electronic systems on electric transit vehicles, infrastructure and central control equipment, remote terminal units (RTU), servers, network and fiber optics communication systems, supervisory control systems, equipment control, instrumentation, and control systems, radio, microwave, and video equipment, digital electronic equipment, telemetering, various communication systems, protective relays, meters, electronic revenue and hard currency counting and verification systems, electronic and auxiliary apparatus.

I establish maintenance and repair policies and procedures to be utilized by my subordinates for the equipment and systems, as stated above.

I advise, instruct and assist subordinate personnel in solving complex non-routine electronic problems/emergency work situations, and advises management personnel and others on the functions of electronic systems and components. I routinely engage in addressing difficult troubleshooting solutions on equipment at various work sites and/or equipment and systems.

I directs, monitor, analyze and prepares written reports on various tasks such as maintenance progress, recommendations relating to improvement of equipment reliability, personnel effectiveness, operating policies and procedures, etc.

I engage and complete the preparation of shop budgets and allocation of resources.

I participates in the review of new projects which includes reading of blueprints, schematics, and diagrams of electronic equipment and electromechanical systems.

**James Sanabria - (REF24019V) - Supervising Electronic Maintenance Technician - City and County of San Francisco - Multiple Departments Citywide (7287) - (T00044)**

I routinely and often establish and maintain contacts with other Departmental personnel, representatives of other division/departments, contractors, and general public, keeping them advised and informed of the department's activities and representing the department at various meetings. This includes onsite evaluations, restricted site location access oversight, work/cost benefit determinations, etc.

**Electronic Technician**

*2014-06 - 2022-05*

SFMTA - Municipal Railway

Experience 2: 20140621 - 20220501

As the lead technician of the LRV Engineering Support Shop, which is under the supervision of LRV Fleet Engineering, I acted and conducted duties equivalent to both the 7329 (Assistant Supervising Electronic Technician) and 7287 (Supervising Electronic Technician).

I led, managed, and supervised both SFMTA personnel (7371's and 7318' ) and contractors for the following major campaigns:

Breda LRV ATCS/Propulsion Mid-life Upgrade Campaign 7/1/14 - 6/10/17

Breda LRV Harris Radio System Install Campaign 6/1/16 - 10/1/18

Genfare Farebox Install Campaign 5/1/18 - 10/1/18

As the lead technician, under the supervision of the LRV Fleet Engineering, I participated, assigned, supervised and inspected the maintenance, repair, calibration, fabrication, installation, design modification and development of electronic systems and components. These systems included, but were not limited to, electronic propulsion systems, automatic train control systems, electronic systems on electric transit vehicles, infrastructure and central control equipment, power distribution systems, remote terminal units (RTU), supervisory control systems, equipment control, instrumentation, and control systems, radio, microwave, and video equipment, digital electronic equipment, telemetering, various communication systems, protective relays, meters, electronic revenue and hard currency counting and verification systems, electronic and auxiliary apparatus.

I established and participated in maintenance, repair and inspection policies and procedures to be utilized by my subordinates for the equipment and systems, as stated above.

I advised, instructed and assisted subordinate personnel in solving complex non-routine electronic problems/emergency work situations, and advises management personnel and others on the functions of electronic systems and components. I routinely engaged in addressing difficult troubleshooting solutions on equipment at various work sites and/or equipment and systems. This included vehicle testing and safety procedures.

I directed, monitored, analyzed and prepared written reports on various tasks such as maintenance progress, recommendations relating to improvement of equipment reliability, personnel effectiveness, operating policies and procedures, etc.

I engaged and completed the preparation of personnel payroll and allocation of resources.

I participates in the review of new projects, revisions, and modifications which included reading of

**James Sanabria - (REF24019V) - Supervising Electronic Maintenance Technician - City and County of San Francisco - Multiple Departments Citywide (7287) - (T00044)**

blueprints, maps, schematics, and diagrams of electronic equipment and electromechanical systems. This included specification compliance and warranty support.

I routinely and often established and maintained contacts with other Departmental personnel, representatives of other division/departments, contractors, keeping them advised and informed of the department's activities and representing the department at various meetings.

---

## **Education**

**Vocational Electrical Works**

Creekside Adult Education

**AS**  
**Complete**

**Vocational Electronics**

Creekside Adult Education

**AS**  
**Complete**

State of California

Creekside Adult School Vocational Education

# Certificate of Completion

awarded to

**James Mitchell**

who has successfully completed the following vocational certification

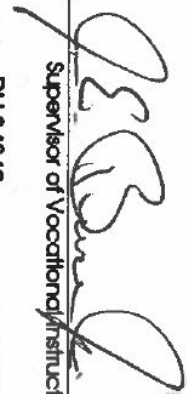
**Vocational Electronics**

and is hereby honored for achieving this commendable goal

March 24, 1994

Date

Supervisor of Vocational Instruction



Vocational Instructor



Log # BH 94043

Accredited by Western Association of Schools and Colleges • Accreditation # 0395000999



*State of California*

**Creekside Adult School Vocational Education**

# *Certificate of Completion*

awarded to

**James Mitchell**

who has successfully completed the following vocational certification

**Vocational Electrical Works**

and is hereby honored for achieving this commendable goal

**June 16, 1994**

Date

*Barbara Heasley*  
Supervisor of Vocational Instruction

*Richard Boster*  
Vocational Instructor

Log # **RB 94118**

Accredited by Western Association of Schools and Colleges • Accreditation # 0395000999

**V 03.00 ELECTRONIC SERVICE OCCUPATIONS**  
**V 03.01 ELECTRONICS TECHNICIAN (ET) (12/99)**

**CURRICULUM FRAMEWORK**

The student shall complete each assigned Certification Unit and Supporting Competency by the demonstration of proficiency. Upon successful completion and certification he or she will have skills necessary to perform the activities of an entry-level technician.

**V 03.01.01 ORIENTATION**

**Student will demonstrate knowledge and understanding of...**

- .001 The course goals and objectives.
- .002 Program procedures and rules of conduct.
- .003 Program requirements.
- .004 Industry, including history and possible future.
- .005 The background and purpose of apprenticeship.
- .006 Labor and management organizations.
- .007 Employer-employee relations.

**CERTIFICATION**

---

**V 03.01.02 SHOP AND SITE SAFETY**

**Student will demonstrate knowledge and understanding of...**

- .001 A prevention philosophy.
- .002 A positive attitude toward safety.
- .003 The major causes of industrial injuries.
- .004 Immediate injury intervention.
- .005 Acceptable shop and site conduct.
- .006 Safety rules and regulations.
- .007 First aid procedures.
- .008 Fire safety.
- .009 Earthquake safety.
- .010 Hazardous materials awareness.
- .011 All trade and industry applicable Occupational Safety and Health Administration (OSHA), Air Quality Management (AQM), Environmental Protection Agency (EPA), Work Place Safety (WPS) and Illness and Injury Prevention Program (Senate Bill 198) rules, regulations, policies and procedures.

**CERTIFICATION**

---



### **V 03.01.03 TOOLS AND EQUIPMENT**

**Student will demonstrate knowledge and understanding of...**

- .001 Trade specific tools and equipment.
- .002 Hand tools.
- .003 Portable power tools.
- .004 Stationary power tools.
- .005 Personal protective equipment.
- .006 Tool maintenance and service.
- .007 Equipment maintenance and service.

#### **CERTIFICATION**

---

### **V 03.01.04 REQUIRED AND RELATED ARITHMETIC AND MATHEMATICS**

**Student will demonstrate knowledge and understanding of...**

- .001 Whole number operations.
- .002 Fractional operations.
- .003 Decimal operations.
- .004 Percentage operations.
- .005 Unit conversions.
- .006 Equivalency.
- .007 Perimeters, areas and volume.
- .008 Squares and square roots.
- .009 Metric measurements.
- .010 Weights and measures.
- .011 The powers of ten.
- .012 Scientific notation.

#### **CERTIFICATION**

---

### **V 03.01.05 CORE FUNDAMENTALS**

Student will demonstrate knowledge and understanding of...

- .001 The nature of electricity.
- .002 Electrical production methods.
- .003 Conductors.
- .004 Insulators.
- .005 Semiconductors.
- .006 The electrical units of measurement.
- .007 The symbols and language of electricity.
- .008 The symbols and language of electronics.
- .009 Component identification.
- .010 Switches and relays.
- .011 Circuits.
- .012 Resistors, resistance and color code.
- .013 Direct current electricity.
- .014 Alternating current electricity.

#### **CERTIFICATION**

---

### **V 03.01.06 BASIC SOLDERING TECHNIQUES**

Student will demonstrate knowledge and understanding of...

- .001 Soldering safety.
- .002 Equipment.
- .003 Solders and fluxes.
- .004 Solder and desolder techniques.
- .005 Parts replacement.
- .006 Special component mounting.

#### **CERTIFICATION**

---

### **V 03.01.07 DIRECT CURRENT CIRCUITS**

Student will demonstrate knowledge and understanding of...

- .001 Circuit elements.
- .002 Basic definitions.
- .003 Sources, controls, conductors and loads.
- .004 Voltage, current and resistance.
- .005 Series, parallel and combination circuits.
- .006 Common circuit failures.

#### **CERTIFICATION**

---

### **V 03.01.08 SYMBOLS AND DIAGRAMS**

Student will demonstrate knowledge and understanding of...

- .001 Graphic symbols.
- .002 How to apply symbols to a circuit diagram.
- .003 Reference designations.
- .004 The numerical values of components.
- .005 Pictorial diagrams.
- .006 Schematic diagrams.
- .007 Block diagrams.
- .008 Wiring diagrams.

#### **CERTIFICATION**

---

### **V 03.01.09 ELECTRICAL ENERGY AND POWER**

Student will demonstrate knowledge and understanding of...

- .001 Work.
- .002 Joules, watts and decibels.
- .003 Power and energy.
- .004 The Power laws and formulas.
- .005 The relationship between power and heat.
- .006 Computation of energy consumption.

#### **CERTIFICATION**

---

### **V 03.01.10 ALTERNATING CURRENT CIRCUITS**

Student will demonstrate knowledge and understanding of...

- .001 Induced current theory.
- .002 Simple AC generators.
- .003 The alternating current cycle.
- .004 The sine wave.
- .005 Maximum or peak voltage.
- .006 Instantaneous voltage.
- .007 Cycles, phase angles and frequencies.
- .008 Periods, waves, waveforms and wavelengths.
- .009 Voltage values.
- .010 Power in AC circuits.
- .011 Phase relationships.
- .012 Nonsinusoidal waveforms.
- .013 Frequency ranges.

#### **CERTIFICATION**

---

### **V 03.01.11 INSTRUMENTATION**

**Student will demonstrate knowledge and understanding of...**

- .001 Digital and analog meters.
- .002 Oscilloscope operation and utilization.
- .003 Signal generator operation and utilization.
- .004 Additional laboratory test instruments.

#### **CERTIFICATION**

---

### **V 03.01.12 CAPACITANCE**

**Student will demonstrate knowledge and understanding of...**

- .001 Capacitance.
- .002 Capacitor construction.
- .003 Units of capacitance.
- .004 Factors which determine capacitance.
- .005 AC and DC capacitor action.
- .006 Capacitor types.
- .007 Capacitor replacement.
- .008 Ratings.
- .009 Capacitors in series and parallel.
- .010 Testing techniques.
- .011 The RC time constant.
- .012 Capacitor usage.
- .013 Capacitive reactance.

#### **CERTIFICATION**

---

### **V 03.01.13 INDUCTANCE**

**Student will demonstrate knowledge and understanding of...**

- .001 Inductance.
- .002 Inductor construction.
- .003 Units of inductance.
- .004 Factors which determine inductance.
- .005 AC and DC inductor action.
- .006 Inductor types.
- .007 Inductor replacement.
- .008 Ratings.
- .009 Inductors in series and parallel.
- .010 Testing techniques.
- .011 The RL time constant.
- .012 Inductor usage.
- .013 Inductive reactance.
- .014 The operation and utilization of transformers.

#### **CERTIFICATION**

---

### **V 03.01.14 "R", "C" AND "L" CIRCUITS**

**Student will demonstrate knowledge and understanding of...**

- .001 Impedance in an "RC" circuit.
- .002 Impedance in an "RL" circuit.
- .003 Impedance in an "RCL" circuit.
- .004 Resonance.
- .005 Filters.

#### **CERTIFICATION**

---

### **V 03.01.15 ELECTRONICS FUNDAMENTALS**

**Student will demonstrate knowledge and understanding of...**

- .001 Semiconductors.
- .002 Power supplies.
- .003 Audio and video amplifiers.
- .004 Transmitters and receivers.
- .005 Digital circuits and microprocessors.

#### **CERTIFICATION**

---

### **V 03.01.16 NEW TECHNOOGY**

(Advances in electronics require each instructor to quickly assimilate information and incorporate it into his or her trade specific curriculum framework. This certification unit has been incorporated to facilitate rapid inclusion).

**Student will demonstrate knowledge and understanding of...**

- .001
- .002
- .003
- .004
- .005
- .006

#### **CERTIFICATION**

---

### **V 03.01.17 SMALL BUSINESS AND LIGHT INDUSTRY EDUCATION**

Student will demonstrate knowledge and understanding of...

- .001 A variety of shop environments.
- .002 Lease and rental agreements.
- .003 Permit and license requirements.
- .004 Operating cost determination.
- .005 Utility requirements.
- .006 Recording and bookkeeping.
- .007 Advertising and merchandising techniques.
- .008 Cost, profit, mark-up and pricing relationships.
- .009 Overhead, labor and competition.
- .010 Cash and carry merchandising principles.
- .011 Sales and business operations techniques.
- .012 Order preparation.
- .013 Time in the preparation of a product.
- .014 Time in the delivery of a product.

#### **CERTIFICATION**

---

### **V 03.01.18 JOB PREPARATION AND CAREER EXPLORATION**

Student will demonstrate knowledge of and the ability to...

- .001 Develop a personal survey.
- .002 Conduct an effective job search.
- .003 Identify potential employment with a particular company.
- .004 Prepare a personal data sheet.
- .005 Prepare a personal resume.
- .006 Prepare a cover letter of application.
- .007 Discuss personal appearance standards, including clothing and grooming.
- .008 Complete three different employment application forms.
- .009 Successfully perform a laboratory based employment interview.
- .010 Demonstrate skill and accuracy in a variety of employment tests.
- .011 Prepare an employment interview follow-up letter.
- .012 Perform employment interview telephone follow-up contacts.

#### **CERTIFICATION**

---

### **ENTRY LEVEL ELECTRONIC TECHNICIAN CERTIFICATION NATIONAL, REGIONAL AND LOCAL CERTIFICATIONS**





**SFMTA**  
Municipal  
Transportation  
Agency

Edwin M. Lee, *Mayor*

Tom Nolan, *Chairman*

Malcolm Heinicke, *Director*

Joel Ramos, *Director*

Edward D. Reishin, *Director of Transportation*

Cheryl Brinkman, *Vice-Chairman*

Jerry Lee, *Director*

Cristina Rubke, *Director*

May 27, 2014

This letter is to verify Mr. James Sanabria's employment with the San Francisco Municipal Railway for the time period between 2002 and 2006, and again between January 2012 and January 2014.

Mr. Sanabria worked with the light rail vehicle (LRV) engineering staff to support procurement and overhaul projects on the Breda LRV fleet. Mr. Sanabria's key duties included the installation, testing, and troubleshooting of LRV electronic systems including propulsion, power distribution, automatic train control system (ATCS), and solid-state and relay based control systems.

Mr. Sanabria's experience was leveraged to support troubleshooting and repair of LRV electronic systems to the component level; some examples include propulsion and power controls, ATCS control boards, destination sign controls, and door/step control circuits. Additionally, Mr. Sanabria was responsible for coordination of vehicle testing, safety procedures, and engaged with contractors to ensure specification compliance and warranty support.

Sincerely,

A handwritten signature in black ink, appearing to read "Michael Motta".

Michael Motta, P.E.  
San Francisco Municipal Transportation Agency  
Fleet Engineering, Maintenance  
425 Geneva Ave.  
San Francisco, CA 94112  
michael.motta@sfmta.com  
(415) 337-2229 office



**London Breed**, Mayor

**Gwyneth Borden**, Chair  
**Amanda Eaken**, Vice Chair  
**Cheryl Brinkman**, Director  
**Steve Heminger**, Director

**Fiona Hinze**, Director  
**Sharon Lai**, Director  
**Manny Yekutieli**, Director

**Jeffrey Tumlin**, Director of Transportation

July 13, 2021

This letter is to verify Mr. James Sanabria's employment and responsibilities with the San Francisco Municipal Railway for the time period between 2002 and 2006, and again between 2012 to 2021.

James spent a majority of his time on light rail vehicle (LRV) projects including the Breda LRV2/3 mid-life overhaul, LRV2/3 propulsion system maintenance campaigns, Genfare farebox upgrade project, and the Harris radio installation project. James utilized his exceptional organizational and supervisory skills to help ensure that all of these projects were run efficiently and effectively. James' contributions to these projects covered all areas of the field work, and went above and beyond into the supervision of other employees and general management of day to day tasks.

James is always willing to take on extra responsibilities and can be counted on to ensure nothing is left unresolved during times of need or when other team members are unavailable to make decisions. James utilizes these skills in addition to contributing his support and knowledge to advance vehicle troubleshooting and repair, vehicle testing, safety requirements, and rescue operations. James' experience is broad in all these areas of vehicle work, operational needs, personnel supervision, and organizational skills, and his contributions are greatly welcome whenever there is a large scale engineering project or maintenance campaign.

Sincerely,

A handwritten signature in blue ink that reads "Michael Motta".

Michael Motta, P.E.  
San Francisco Municipal Transportation Agency  
Fleet Engineering, Maintenance  
michael.motta@sfmta.com  
(415) 646-2209



**London Breed**, Mayor

**Gwyneth Borden**, Chair  
**Amanda Eaken**, Vice Chair  
**Cheryl Brinkman**, Director  
**Steve Heminger**, Director

**Fiona Hinze**, Director  
**Sharon Lai**, Director  
**Manny Yekutieli**, Director

**Jeffrey Tumlin**, Director of Transportation

To whom it may concern:

Acting as Deputy Director of Rails at SFMTA, I am aware of James Sanabria's work on various special projects either by being updated on the projects by James Sanabria as a manager in the Rail Department, or by direct supervision of James Sanabria's activities. The special projects that James Sanabria worked on, but not an exhaustive list of all projects he participated in, are: the Breda Mid-Life Overhaul, the Breda Propulsion Campaign, the Harris Radio Installation, and the Genfare farebox installation. For each project, James Sanabria was required to utilize his extensive technical knowledge and management skills to ensure that all work was technically proficient, as well as addressing any safety or personnel issues that arose during his time on the project.

The Breda Mid-life Overhaul Campaign was an overhaul of the Breda rail vehicles' most problematic systems. The systems targeted by the campaign were: Doors, Steps, Air Supply Unit (ASU), Couplers, Articulated-Roof Electrical Connector, Center Truck Electrical Connector, Traction Motors, Center-Truck Resilient Pin, Relays (propulsion, braking and auxiliary) and any other components required to pass final testing. The work performed on this project in overhauling these systems ranged from replacement of wearable parts (e.g. seals, gaskets, and hardware) up to replacement of larger components (e.g. Emergency Release Cables on the Door System, Main Cylinder for the Moveable-Step System, etc.). This work began in May 2012 and continued through November 2018. During this period, James Sanabria supervised another SFMTA person, as well as to oversee the work noted above and performed by over forty of Breda's personnel. James Sanabria would generate and submit reports to the Deputy-Director of Rail Maintenance in regard to any technical issues, proposed solutions, as well as to provide his own technical input.

Subsequent to the Breda overhaul, specific components, primarily in the Propulsion System and Automatic Train Control Systems (ATCS), continued to be problematic. As such, The Breda Propulsion Campaign was initiated to address these components. The project began in February 2015 and continued through June 2017. During this period, James Sanabria supervised the work performed by fifteen SFMTA personnel and the work they performed. The work performed could only be performed by an electrical technician, and all supporting electrical technicians were supervised by James Sanabria. For the ATCS system, work performed ranged from: replacement of the antennas used for communication with the wayside and the vehicle; replacement of the relays displaying information to the train operator (a.k.a. driver); replacement of VOBC IRU (Integrated Relay Unit – which provided automatic train control commands, logic and monitoring), as well as the equipment used by the operator to interface with the system. For the Propulsion System, the work performed ranged from an entire cleaning of the propulsion container through replacing critical communication and power transmission cables, and up to replacing the line-contactor (which provides the power coming from the

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overhead lines to the motors that drive the train) and replacement of capacitor banks. All components required adherence to exacting tolerances, and to perform the work in strict compliance to all relevant safety and technical instruction. Initially, James Sanabria performed this work exclusively himself, and eventually proceeded to train other SFMTA technicians to perform this work as well. However, as the project was assigned to James Sanabria, he was responsible for signing off the work and ensured appropriate time management and reporting for all activities involved.

The Harris Radio Installation Project was a result of the city-wide upgrade to SFMTA's radio communication system. This required removal of the previous radio system and replacement with a new system, as well as to ensure that technology, separated by over a decade, would work together. This project began in February 2017 and continued through January 2020. During this period, James Sanabria supervised the work performed by thirty-one contractors, as well as twelve SFMTA personnel. During this project, James Sanabria worked to develop Quality Control Plans, Inspection Documentation, and reviewed various technical documents and provided comments back to the contractor. He trained both SFMTA and Contractor personnel on safety and technical procedures for the equipment installation. James Sanabria would generate and submit reports to track installation progress and report work times. Additionally, James Sanabria was responsible for managing SFMTA staff and addressing any personnel issues as they arose.

In continuing with equipment modernization, the Genfare Farebox Installation Project began in April 2018 and continued through August 2018. This required removal of the previous farebox and replacement with a new farebox. Additionally, the new farebox needed to integrate into the recently installed radio system. During this period, James Sanabria supervised the work performed by eleven contractors, as well as six SFMTA personnel. During this time, James Sanabria supported the installation layout and integration within the rail vehicle. James Sanabria generated regular reports and managed the installation across three working-shifts. Additionally, James Sanabria was responsible for managing SFMTA staff and addressing any personnel issues as they arose.

Sincerely,

A handwritten signature in blue ink, appearing to read 'John Catanach', written over a light blue horizontal line.

John "Randy" Catanach, Deputy Director of Rail Maintenance (Acting)



**City and County of San Francisco Department of Human Resources  
Eligible List**

<b>List ID:</b>	900313 CBT Discrete	<b>List Type:</b>	CPE
<b>Class:</b>	7287 Sprv Electronic Main Tech	<b>Scope:</b>	Citywide
<b>Working Title:</b>			
<b>Post:</b>	10/30/2014	<b>Cert Rule:</b>	Rule of Three Scores
<b>Inspection Start:</b>	10/31/2014	<b>Inspection End:</b>	11/4/2014
		<b>Duration:</b>	12 Months
		<b>Adoption:</b>	Tentative

<b>Rank</b>	<b>Score</b>	<b>Last Name</b>	<b>First Name</b>	<b>Middle</b>
1	974	DRANE	CHARLES	W
1	974	MCINTYRE	SHAWN	T
1	974	SHERIDAN	THOMAS	M
2	931	HARBIN	DAVID	W
2	931	LEW	JONATHAN	D
2	931	OUTLIOUA	KHALID	
2	931	SANABRIA	JAMES	S
3	889	CHEN	RICKY	H
4	846	PANGELINAN	CHARLES	C
4	846	YEE	SAMMY	K
5	803	DOON	NELSON	
6	786	KOLEDIN	DANIEL	J
7	760	NGUYEN	PHONG	T
7	760	TSURKAN	VASILYIY	

10/30/2014 1:34:53 PM



# ATTACHMENT D

## MEMORANDUM

Date: March 14, 2022  
To: Michael Keohane, Payroll Manager  
From: Kimberly W. Ackerman, Chief People Officer *Kimberly Ackerman*  
Re: Acting Assignment Pay Request for James Sanabria  
Electronic Maintenance Technician, Job Code 7318

James Sanabria, Electronic Maintenance Technician, Job Code 7318 has been assigned to perform the full range of duties and responsibilities of the Supervising Electronic Maintenance Technician, Job Code 7287. This acting assignment pay is in accordance with the current Memorandum of Understanding between the SFMTA and IBEW, Local 6, Acting Assignment Pay.

Please adjust employee's salary rate as shown below for a period from March 5, 2022, through June 30, 2022:

Job Code 7318 Compensation Schedule No. 7318V, \$5221 BW (Step 5);  
New Job Code 7287 Adjusted Compensation Schedule No. 7287 \$5758 BW (Step 4)

Your cooperation in expediting the necessary payroll adjustments is appreciated. Should you have any questions, please contact Sabrina Blanco, HR Analyst, at 415.646.4566.

Thank you for your assistance in this process.

Attachments: Acting Assignment Pay Form

Cc: Julie Kirschbaum, Director of Transit, Transit Division  
Charles Drane, Chief Maintenance Officer, Transit Division  
Louis Guzzo, Director of Director of Transit Maintenance, Transit Division  
James Sanabria, Supervising Electronic Maintenance Technician, Transit Division  
Emily Williams, Transit Administration, Transit Division  
Walter Montes, Transit Administration, Transit Division  
William Doan, Transit Administration, Transit Division  
Marilou Perez, Transit Administration, Transit Division  
Aaron Beckwith, ELR, HR Division  
Susan Vang-Chan, ELR, HR Division  
Nicolle Lewis, Payroll  
Qihong Feng, Payroll  
Mimi Tran, Payroll  
Acting Assignment Pay File  
Employee's Personnel File Chron File





# ACTING ASSIGNMENT PAY REQUEST FORM

## I. EMPLOYEE INFORMATION

Please **DO NOT** fill in **Highlighted** fields

Name of Employee Assigned James Sanabria				Salary (for period of assignment)		(Rate Change & eff. Date)	(Rate Change & eff. Date)
Employee ID (DSW ID#) [REDACTED]		Employee Organization IBEW Local 6		Bi-weekly	\$5,221		
Current Job Code/Title 7318 – Electronic Maintenance Technician				Hourly	\$65.262500		
				Step	5		
				Salary Grade #	7318V		
				Eff Date	3/5/2022		
Current Funding Job Code 7318	Pos. No. 73180075	Dept 68	Budget Combo Code 8535205	Project & Activity ID 10001724 & 14	Project	Grant	Other

## II. ASSIGNMENT INFORMATION (Position to which employee will be assigned)

IS THIS AN EXTENSION? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Explain:	Date Extension Begins	Date Extension Ends
Job Code/Title of Temporary Assignment 7287 – Supervising Electronic Maintenance Technician	Date Assignment Begins 3/5/2022	Adjusted Salary	(Rate Change & eff. Date)
Vice Name Louis Guzzo III	Date Assignment Ends 6/30/2022	Bi-weekly	\$5,758
Reason for Assignment Vice Louis Guzzo III promoted to PCN #91820022	Eff. Date Acting Pay 3/5/2022	Hourly	\$71.9750
		Step	4
		Salary Grade #	7287V
		Eff Date	3/5/2022
Description of Duties: (DO NOT ATTACH JOB CLASS SPECIFICATION) Janes will Assign, supervise and inspects the troubleshooting, maintenance, repair, calibration, fabrication, installation, design modification and development of electronic systems and components, which may include, but not limited to, electronic systems on electric transit vehicles, wayside and central control equipment, remote terminal units (RTU), servers, network and fiber optics communication systems, supervisory control, instrumentation and control systems, radio, fire alarm and security systems, video equipment, digital electronic equipment, telemetering, communication, protective relays, meters, and other electronic and auxiliary apparatus. Directs, monitors, analyzes and prepares written reports on various tasks such as maintenance progress, recommendations relating to improvement of equipment reliability, personnel effectiveness, operating policies and procedures, etc.			
FUNDING IDENTIFICATION		Dept	Program
<input checked="" type="checkbox"/> Budgeted <input type="checkbox"/> Non-Budgeted*		68	
PCN: 72280008      Combo Code: 9760962		Acting Project ID	10001724
Grant		Other	
*Explain			

## III. APPROVALS

Certifies Assignment meets conditions of applicable MOU provisions And validates description of duties statement.	
<i>Kimberly Ackerman</i>	
Signature of Approving Officer or Designee	
Kimberly W. Ackerman Director of Human Resources	March 14, 2022 Date

Certification of availability of funds SFMTA Finance	
<i>Auggie Mense</i>	
Signature of Approving Officer or Designee	
Auggie Mense Budget	March 14, 2022 Date

DEPARTMENT: Retain copy of this form. It may be submitted to support claims of qualifying experience for DHR examinations.

To Division Date		To Payroll Date	
------------------	--	-----------------	--



London Breed, Mayor

Gwyneth Borden, Chair  
Amanda Eaken, Vice Chair  
Cheryl Brinkman, Director  
Steve Heminger, Director

Fiona Hinze, Director  
Sharon Lai, Director  
Manny Yekutieli, Director

Jeffrey Tumlin, Director of Transportation

## MEMORANDUM

Date: March 8, 2022

To: Kimberly W. Ackerman  
Director, Human Resources

Through: Emily Williams *Emily Williams*  
Business and Administration Manager, Transit Division

From: Louis Guzzo *Guzzo, Louis*  
Director of Transit Maintenance

Re: Request for Acting Assignment Pay – James Sanabria  
7287 – Supervising Electronic Maintenance Technician – New

James Sanabria, 7318 Electronic Maintenance Technician, has been assigned to perform the full range of duties and responsibilities of the 7287 Supervising Electronic Maintenance Technician position of the Electrical Support Shops due to the operational need to supervise the Radio, Farebox and Video Support Shops. Therefore, it is requested that James Sanabria be granted acting assignment pay effective March 5, 2022, in classification 7287 Supervising Electronic Maintenance Technician. It is anticipated that the acting assignment will end on or before June 30, 2022.

This request is made pursuant to the current Memorandum of Understanding (MOU) in place between the SAN FRANCISCO MUNICIPAL TRANSPORTATION AGENCY / CITY & COUNTY OF SAN FRANCISCO and THE INTERNATIONAL BROTHERHOOD OF ELECTRICAL WORKERS LOCAL 6. All pertinent supporting documents are enclosed.

If you have further questions regarding this request, please contact me at (415) 646-2805.

### Attachments:

1. Acting Assignment Notification Memo
2. Current Dated Organizational Chart
3. Acting Assignment Pay Request Form

CC: Julie Kirschbaum, Director of Transit, Transit Division  
Charles Drane, Chief Maintenance Officer, Transit Division  
Louis Guzzo, Director of Director of Transit Maintenance, Transit Division  
James Sanabria, Supervising Electronic Maintenance Technician, Transit Division

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Aaron Beckwith, ELR, HR Division  
Susan Chan-Vang, ELR, HR Division  
Emily Williams, Transit Administration, Transit Division  
Walter Montes, Transit Administration, Transit Division  
William Doan, Transit Administration, Transit Division  
[EE's PERSONNEL FILE]  
[CHRON FILE]



London Breed, Mayor

Gwyneth Borden, Chair  
Amanda Eaken, Vice Chair  
Cheryl Brinkman, Director  
Steve Heminger, Director

Fiona Hinze, Director  
Sharon Lai, Director  
Manny Yekutieli, Director

Jeffrey Tumlin, Director of Transportation

## MEMORANDUM

Date: March 8, 2022

To: James Sanabria  
7318 – Electronic Maintenance Technician

From: Louis Guzzo *Guzzo, Louis*  
Director of Transit Maintenance

Re: Acting Assignment Appointment – New

Thank you for your effort and dedication while serving as the 7287 Supervising Electronic Maintenance Technician position within the Green division. Your acting assignment as the 7287 Supervising Electronic Maintenance Technician of the Electrical Support Shops will be granted as of March 5, 2022. You will perform the full range of essential functions of the 7287 Supervising Electronic Maintenance Technician.

Your effective date will be March 5, 2022 and it is anticipated that the acting assignment will end before or on June 30, 2022.

Please be aware that the acting assignment pay is subject to the approval of the Director of Human Resources, SFMTA Appointing Officer's designee and Finance.

Cc: Julie Kirschbaum, Director of Transit, Transit Division  
Charles Drane, Chief Maintenance Officer, Transit Division  
Louis Guzzo, Director of Director of Transit Maintenance, Transit Division  
James Sanabria, Supervising Electronic Maintenance Technician, Transit Division  
Aaron Beckwith, ELR, HR Division  
Susan Chan-Vang, ELR, HR Division  
Emily Williams, Transit Administration, Transit Division  
Walter Montes, Transit Administration, Transit Division  
William Doan, Transit Administration, Transit Division  
[EE's PERSONNEL FILE]  
[CHRON FILE]

San Francisco Municipal Transportation Agency 1 South Van Ness Avenue, 7<sup>th</sup> Floor San Francisco, CA 94103 SFMTA.com

311 Free language assistance / 免費語言協助 / Ayuda gratis con el idioma / Бесплатная помощь переводчиков / Trợ giúp Thông dịch Miễn phí / Assistance linguistique gratuite / 無料の言語支援 / Libreng tulong para sa wikang Filipino / 무료 언어 지원 / การช่วยเหลือทางคำภาษาโดยไม่เสียค่าใช้จ่าย / خط المساعدة المجاني على الرقم



# ACTING ASSIGNMENT PAY REQUEST FORM

## I. EMPLOYEE INFORMATION

Please **DO NOT** fill in **Highlighted** fields

Name of Employee Assigned James Sanabria				Salary (for period of assignment) Bi-weekly		(Rate Change & eff. Date)	(Rate Change & eff. Date)
Employee ID (DSW ID#) [REDACTED]		Employee Organization IBEW Local 6		Hourly			
Current Job Code/Title 7318 – Electronic Maintenance Technician				Step			
				Salary Grade #			
Current Funding Job Code 7318	Pos. No. 73180075	Dept 68	Budget Combo Code 8535205	Project & Activity ID 10001724 & 14	Project	Grant	Other

## II. ASSIGNMENT INFORMATION (Position to which employee will be assigned)

IS THIS AN EXTENSION? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		Explain:		Date Extension Begins		Date Extension Ends	
Job Code/Title of Temporary Assignment 7287 – Supervising Electronic Maintenance Technician		Date Assignment Begins 3/5/2022		Adjusted Salary Bi-weekly		(Rate Change & eff. Date)	(Rate Change & eff. Date)
Vice Name Louis Guzzo III		Date Assignment Ends 6/30/2022		Hourly			
Reason for Assignment Vice Louis Guzzo III promoted to PCN #91820022		Eff. Date Acting Pay 3/5/2022		Step			
Description of Duties: (DO NOT ATTACH JOB CLASS SPECIFICATION) Janes will Assign, supervise and inspects the troubleshooting, maintenance, repair, calibration, fabrication, installation, design modification and development of electronic systems and components, which may include, but not limited to, electronic systems on electric transit vehicles, wayside and central control equipment, remote terminal units (RTU), servers, network and fiber optics communication systems, supervisory control, instrumentation and control systems, radio, fire alarm and security systems, video equipment, digital electronic equipment, telemetering, communication, protective relays, meters, and other electronic and auxiliary apparatus. Directs, monitors, analyzes and prepares written reports on various tasks such as maintenance progress, recommendations relating to improvement of equipment reliability, personnel effectiveness, operating policies and procedures, etc.							
FUNDING IDENTIFICATION <input checked="" type="checkbox"/> Budgeted <input type="checkbox"/> Non-Budgeted*		Dept 68	Program	Acting Project ID 10001724		Grant	Other
PCN: 72280008      Combo Code: 9760962							
*Explain							

## III. APPROVALS

Certifies Assignment meets conditions of applicable MOU provisions And validates description of duties statement.  Signature of Appointing Officer or Designee  Kimberly W. Ackerman Director of Human Resources	Certification of availability of funds SFMTA Finance  Signature  Auggie Mense Budget
Date	Date

DEPARTMENT: Retain copy of this form. It may be submitted to support claims of qualifying experience for DHR examinations.

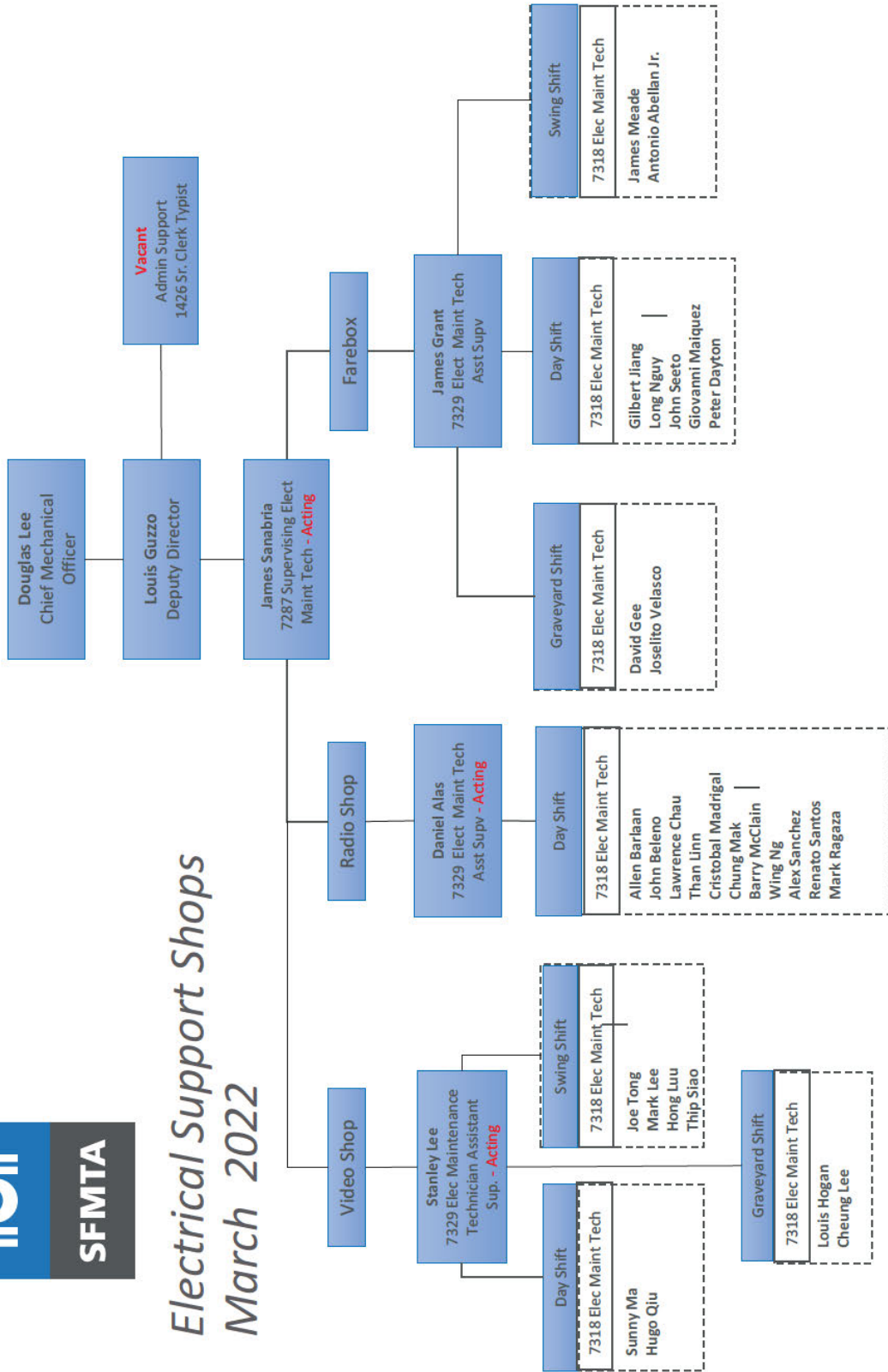
To Division Date		To Payroll Date		Log Date	
------------------	--	-----------------	--	----------	--

Corrections to Form By: 0 SFMTA Finance      Date: \_\_\_\_\_





# Electrical Support Shops March 2022



# ATTACHMENT E

**From:** [Pierre Aguirre from City and County of San Francisco](#)  
**To:** [REDACTED]  
**Subject:** Supervising Electronic Maintenance Technician - City and County of San Francisco - Multiple Departments Citywide (7287) - Application Review  
**Date:** Friday, May 19, 2023 11:50:37 AM

---

EXT

5/19/2023

[REDACTED]

Dear James Sanabria,

Thank you for your application for the ***Supervising Electronic Maintenance Technician - City and County of San Francisco - Multiple Departments Citywide (7287)*** examination. The information that you have provided on your application has been carefully reviewed, and it does not demonstrate that you possess the minimum qualifications indicated on the examination announcement. This is your opportunity to provide additional information to demonstrate how the experience that you listed on your application (by the final filing date\*) correlates with the required minimum qualifications listed below.

*\*Any new information concerning work experience, education, training and other information that is submitted after the filing deadline may not be used for scoring or considered to determine whether you meet the minimum qualifications.*

## **MINIMUM QUALIFICATIONS:**

1. Completion of a two (2) year course or equivalent program in electronics from a recognized academic, trade, or a technical institution; OR completion of a military training program in electronics; **AND**
2. Five (5) years of full-time verifiable journey-level industrial or institutional electronics experience performing installation, instrumentation calibration, maintenance, troubleshooting, repair and modification of electronic control systems and related electrical components and electronic sub-systems to the electronic component level; three (3) years of which must have been at the supervisory level **AND**

**License:** Possession of a valid Class C driver license.

One year of full-time employment is equivalent to 2000 hours. (2000 hours of qualifying work experience is based on a 40-hour work week.) Any overtime hours that you work above forty (40) hours per week are not included in the calculation to determine full-time employment.

## **Notes:**

A. Positions at the SFMTA require maintaining hardware and software of light rail vehicle, wayside and central control systems.



B. Some positions at PUC require exposure to high voltage for testing, calibration and preventative maintenance on power transformers (14.4 kv / 230 kv) and associated protective relays, oil circuit breakers, potential and current devices; testing following operational standards of large generators (to 85 mva) for rotors and stators; utilizing data acquisition equipment, programmable logic systems, vibration recording equipment, communications equipment to include micro wave and mobile units; and understanding of water quality monitoring equipment, UPS systems, inverters, large battery chargers, photo voltaic equipment and voice recording equipment.

C. Some positions will require employees to obtain a Federal Communications Commission Radio Telephone License or equivalent within six months of appointment.

If you wish to provide any additional information regarding your qualifications for reconsideration, it must be submitted no later than **the Close of Business on Friday, May 26, 2023.**

Please submit by e-mail to [pierre.aguirre@sfmta.com](mailto:pierre.aguirre@sfmta.com), Subject: **Supervising Electronic Maintenance Technician - SF Municipal Transportation Agency (7287).**

Civil Service Commission Rules for the City and County of San Francisco specify announcement, application and examination policies and procedures, including applicant appeal rights. Information can be found on the Civil Service Commission website at <http://sfgov.org/civilservice/rules>. Copies of specific rules can also be obtained at 1 South Van Ness, 4th Floor, San Francisco, CA 94103.

Thank you for your interest in this employment opportunity with the San Francisco Municipal Transportation Agency.

Pierre Aguirre  
Human Resources  
[pierre.aguirre@sfmta.com](mailto:pierre.aguirre@sfmta.com)

Madeleine Chanbanchong  
[Madeleine.Chanbanchong@sfmta.com](mailto:Madeleine.Chanbanchong@sfmta.com)

*CBT-7287-T00044*

This message is from outside of the SFMTA email system. Please review the email carefully before responding, clicking links, or opening attachments.

# ATTACHMENT F

**Miles II, William**

---

**From:** Aguirre, Pierre  
**Sent:** Friday, June 2, 2023 11:17 AM  
**To:** Sanabria, James  
**Subject:** RE: Acting Verification 7287 (acting)

Hello James,

Following up on the documentation requested. Today, by close of business, is the deadline. I understand getting a letter of verification may be difficult. If you need more time or cannot obtain the letter please let me know.

Also, is if there are **specific documents** from the thumb drive provided, that would show/detail the "Supervisory" experience, please advise of the *Folder name(s), and file name(s)*, this will ensure we review what you feel qualifies you.

Thank you for your time and understanding.

Regards,

**Pierre Aguirre**  
Exams and Classifications Unit



Office 415.646.4664  
San Francisco Municipal Transportation Agency  
1 South Van Ness Avenue, 6th floor  
San Francisco, CA 94103



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---

**From:** Sanabria, James <James.Sanabria@sfmta.com>  
**Sent:** Thursday, May 25, 2023 10:55 AM  
**To:** Aguirre, Pierre <Pierre.Aguirre@sfmta.com>  
**Subject:** RE: Acting Verification 7287 (acting)

Thank you so much again so my friend. I appreciate all your clarifications and input. All things considered at this time, I think it is best to request an extension considering I am still waiting to hear back and we have this holiday weekend coming up. So yes, I would like to request and extension.

Please enjoy a happy and safe holiday weekend bro.

Thank you.

Best Regards,

**James Sanabria** (He/Him)



San Francisco Municipal Railway  
Fleet Maintenance

LRV Technical Projects & Engineering Support / ERU /  
Supervising Electronic Maint. Tech.  
(Farebox, Radio & Video Shops)

Tel: 415-337-2219  
Cell: 415-265-3979



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---

**From:** Aguirre, Pierre <[Pierre.Aguirre@sfmta.com](mailto:Pierre.Aguirre@sfmta.com)>  
**Sent:** Wednesday, May 24, 2023 12:02  
**To:** Sanabria, James <[James.Sanabria@sfmta.com](mailto:James.Sanabria@sfmta.com)>  
**Subject:** RE: Acting Verification 7287 (acting)

Hello James,

Thank you for coming in this morning to provide the thumb drive. If you want to provide any more information as well as the verification letter for the supervisory experience, as discussed, please do so by the deadline Friday, May 26, 2023, by close of business.

If you need an extension for the deadline, please just reply to this email.

Thank you for your time and understanding.

Regards,

**Pierre Aguirre**  
Exams and Classifications Unit



Office 415.646.4664  
San Francisco Municipal Transportation Agency

1 South Van Ness Avenue, 6th floor  
San Francisco, CA 94103



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---

**From:** Sanabria, James <[James.Sanabria@sfmta.com](mailto:James.Sanabria@sfmta.com)>  
**Sent:** Tuesday, May 23, 2023 9:58 AM  
**To:** Aguirre, Pierre <[Pierre.Aguirre@sfmta.com](mailto:Pierre.Aguirre@sfmta.com)>  
**Subject:** RE: Acting Verification 7287 (acting)

Found the other in email...going into file.

Thank you.

Best Regards,

**James Sanabria** (He/Him)



San Francisco Municipal Railway  
Fleet Maintenance

LRV Technical Projects & Engineering Support / ERU /  
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---

**From:** Aguirre, Pierre <[Pierre.Aguirre@sfmta.com](mailto:Pierre.Aguirre@sfmta.com)>  
**Sent:** Tuesday, May 23, 2023 9:47  
**To:** Sanabria, James <[James.Sanabria@sfmta.com](mailto:James.Sanabria@sfmta.com)>  
**Subject:** RE: Acting Verification 7287 (acting)

Yes, this is good for 3 months (March 2022 – June 30<sup>th</sup> 2022) You'll need to get the one from July 2022 to present.

Pierre

---

**From:** Sanabria, James <[James.Sanabria@sfmta.com](mailto:James.Sanabria@sfmta.com)>  
**Sent:** Tuesday, May 23, 2023 9:32 AM  
**To:** Aguirre, Pierre <[Pierre.Aguirre@sfmta.com](mailto:Pierre.Aguirre@sfmta.com)>  
**Subject:** Acting Verification 7287 (acting)

Will this suffice for the acting verification bro?

Thank you.

Best Regards,

**James Sanabria** (He/Him)



San Francisco Municipal Railway  
Fleet Maintenance

LRV Technical Projects & Engineering Support / ERU /  
Supervising Electronic Maint. Tech.  
(Farebox, Radio & Video Shops)

425 Geneva Avenue  
Metro Annex - 2nd Floor  
San Francisco, CA 94127

Tel: 415-337-2219  
Cell: 415-265-3979  
[James.Sanabria@sfmta.com](mailto:James.Sanabria@sfmta.com)



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# ATTACHMENT G

**From:** [James Sanabria](#)  
**To:** [Aguirre, Pierre](#)  
**Subject:** Fw: Acting Verification 7287 (acting)  
**Date:** Thursday, June 8, 2023 1:20:27 PM  
**Attachments:** [JSSanabria Resume.doc](#)  
[28404\\_complt.pdf](#)  
[28404\\_00patent.pdf](#)  
[OST\\_BP\\_\\$800K.docx](#)  
[OpAg\\_Amend Sch A 2013.doc](#)  
[sani\\_schematic.pdf](#)  
[Roles\\_and\\_Resposibilities\\_ATI.doc](#)  
[Employee Handbook.doc](#)  
[Articles\\_of\\_Organization\\_SaniThrone llc\\_Filed.pdf](#)  
[05-31-09.doc](#)  
[image007.jpg](#)  
[image006.png](#)  
[image011.jpg](#)  
[image010.png](#)  
[image009.jpg](#)  
[image008.jpg](#)  
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[image006.png](#)  
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[image010.png](#)  
[image009.jpg](#)  
[image008.jpg](#)  
[image007.jpg](#)  
[image006.png](#)  
[image011.jpg](#)  
[image010.png](#)  
[image009.jpg](#)  
[image008.jpg](#)

EXT

Hello Pierre,

I apologize but I lost my laptop in the field and I was unable to respond to you until this time (see thread below). As you may be aware, do to new IT restrictions, I no longer have a desktop as a fallback which restricted me from a timely response back to you. I am requesting one more time extension since I realize that I also have non-SFMTA related proof of work experience (please see attached).

I was the founder and CEO of a company that I currently have idle due to funding limitation. As Founder and CEO of Sanithrone/Astredero Technologies, I feel that experience will further provide my supervisory (and above) requirements that SFMTA is indicating is lacking.

As previously submitted internal SFMTA documents, the attached non-SFMTA documents are simply a sample of docs of a much larger data pool, that I can provide further docs if there is something you feel can be further used to my benefit.

Please let me know if the extension request can be honored and if the documentation submitted will suffice to advance my application for 7287.

Best regards and realize how blessed you are,

SAN-040

James S. Sanabria

On Thursday, June 8, 2023 at 12:15:21 PM PDT, Sanabria, James <james.sanabria@sfmta.com> wrote:

Thank you.

James Sanabria - SFMTA

Sent with MS Outlook 365 Mobile.

---

**From:** Sanabria, James

**Sent:** Thursday, June 8, 2023 8:39:13 AM

**To:** James Sanabria <james\_sanabria@yahoo.com>

**Subject:**

Hi James,

No worries, we will grant another extension until **Wednesday, June 7<sup>th</sup>, 2023**, by close of business. Per our conversation, you would advise me of which files I need to review **specifically**. I followed up this morning as no letter or instructions for what to look for has been received.

The files you named below will be furthered reviewed, please be mindful that no determinations have been made.

Thank you for your time and understanding.

Regards,

**Pierre Aguirre**

Exams and Classifications Unit

SAN-041



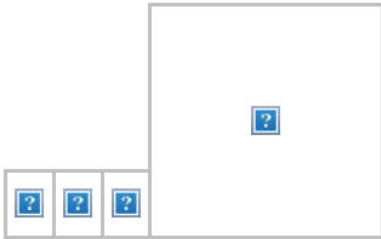


Office 415.646.4664

San Francisco Municipal Transportation Agency

1 South Van Ness Avenue, 6th floor

San Francisco, CA 94103



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---

**From:** Sanabria, James <James.Sanabria@sfmta.com>

**Sent:** Friday, June 2, 2023 11:54 AM

**To:** Aguirre, Pierre <Pierre.Aguirre@sfmta.com>

**Subject:** RE: Acting Verification 7287 (acting)

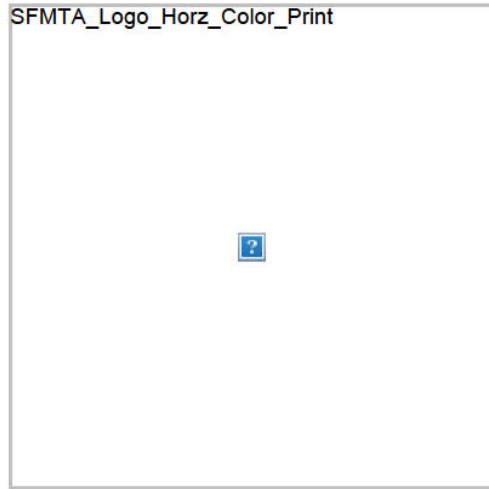
I just realized in one of the letters from Mike Motta (reachable as still in Fleet Engineering for verbal confirmation if needed), that clearly states "personnel supervision" (Paragraph 3, sentence 3) that was dated 7/13/21. Why does that not suffice?

Thank you.

Best Regards,

SAN-042

**James Sanabria** (He/Him)



San Francisco Municipal Railway

Fleet Maintenance

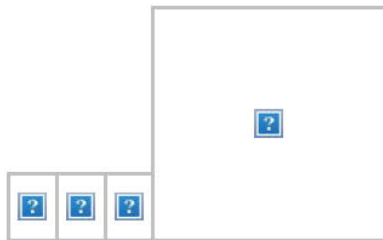
LRV Technical Projects & Engineering Support / ERU /

Supervising Electronic Maint. Tech.

(Farebox, Radio & Video Shops)

Tel: 415-337-2219

Cell: 415-265-3979



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**From:** Aguirre, Pierre <[Pierre.Aguirre@sfmta.com](mailto:Pierre.Aguirre@sfmta.com)>  
**Sent:** Friday, June 2, 2023 11:17  
**To:** Sanabria, James <[James.Sanabria@sfmta.com](mailto:James.Sanabria@sfmta.com)>  
**Subject:** RE: Acting Verification 7287 (acting)

Hello James,

Following up on the documentation requested. Today, by close of business, is the deadline. I understand getting a letter of verification may be difficult. If you need more time or cannot obtain the letter please let me know.

Also, is if there are **specific documents** from the thumb drive provided, that would show/detail the "Supervisory" experience, please advise of the *Folder name(s), and file name(s)*, this will ensure we review what you feel qualifies you.

Thank you for your time and understanding.

Regards,

**Pierre Aguirre**

Exams and Classifications Unit



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San Francisco, CA 94103

SAN-044



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---

**From:** Sanabria, James <[James.Sanabria@sfmta.com](mailto:James.Sanabria@sfmta.com)>  
**Sent:** Thursday, May 25, 2023 10:55 AM  
**To:** Aguirre, Pierre <[Pierre.Aguirre@sfmta.com](mailto:Pierre.Aguirre@sfmta.com)>  
**Subject:** RE: Acting Verification 7287 (acting)

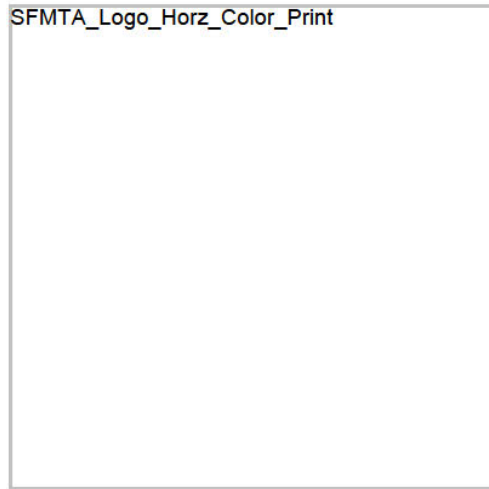
Thank you so much again so my friend. I appreciate all your clarifications and input. All things considered at this time, I think it is best to request an extension considering I am still waiting to hear back and we have this holiday weekend coming up. So yes, I would like to request and extension.

Please enjoy a happy and safe holiday weekend bro.

Thank you.

Best Regards,

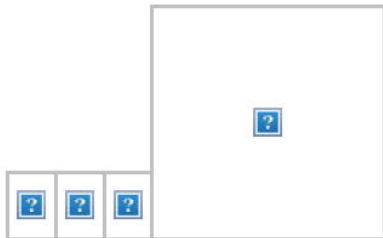
**James Sanabria** (He/Him)



San Francisco Municipal Railway  
Fleet Maintenance

LRV Technical Projects & Engineering Support / ERU /  
Supervising Electronic Maint. Tech.  
(Farebox, Radio & Video Shops)

Tel: 415-337-2219  
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---

**From:** Aguirre, Pierre <[Pierre.Aguirre@sfmta.com](mailto:Pierre.Aguirre@sfmta.com)>  
**Sent:** Wednesday, May 24, 2023 12:02

**To:** Sanabria, James <[James.Sanabria@sfmta.com](mailto:James.Sanabria@sfmta.com)>  
**Subject:** RE: Acting Verification 7287 (acting)

Hello James,

Thank you for coming in this morning to provide the thumb drive. If you want to provide any more information as well as the verification letter for the supervisory experience, as discussed, please do so by the deadline Friday, May 26, 2023, by close of business.

If you need an extension for the deadline, please just reply to this email.

Thank you for your time and understanding.

Regards,

**Pierre Aguirre**

Exams and Classifications Unit



Office 415.646.4664

San Francisco Municipal Transportation Agency

1 South Van Ness Avenue, 6th floor

San Francisco, CA 94103



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SAN-047

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---

**From:** Sanabria, James <[James.Sanabria@sfmta.com](mailto:James.Sanabria@sfmta.com)>  
**Sent:** Tuesday, May 23, 2023 9:58 AM  
**To:** Aguirre, Pierre <[Pierre.Aguirre@sfmta.com](mailto:Pierre.Aguirre@sfmta.com)>  
**Subject:** RE: Acting Verification 7287 (acting)

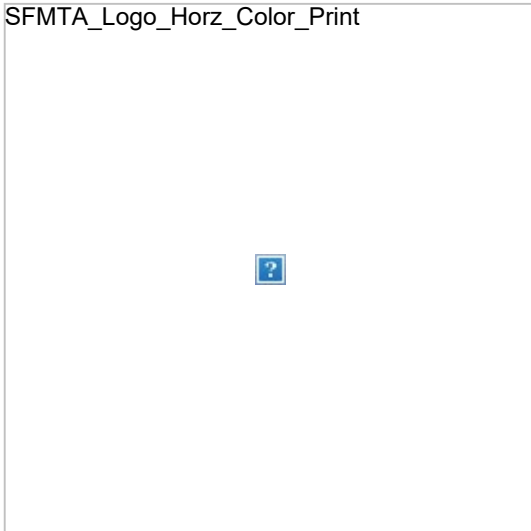
Found the other in email...going into file.

Thank you.

Best Regards,

**James Sanabria** (He/Him)

SFMTA\_Logo\_Horz\_Color\_Print



San Francisco Municipal Railway

Fleet Maintenance

SAN-048



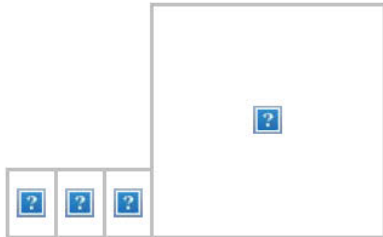
LRV Technical Projects & Engineering Support / ERU /

Supervising Electronic Maint. Tech.

(Farebox, Radio & Video Shops)

Tel: 415-337-2219

Cell: 415-265-3979



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**From:** Aguirre, Pierre <[Pierre.Aguirre@sfmta.com](mailto:Pierre.Aguirre@sfmta.com)>  
**Sent:** Tuesday, May 23, 2023 9:47  
**To:** Sanabria, James <[James.Sanabria@sfmta.com](mailto:James.Sanabria@sfmta.com)>  
**Subject:** RE: Acting Verification 7287 (acting)

Yes, this is good for 3 months (March 2022 – June 30<sup>th</sup> 2022) You'll need to get the one from July 2022 to present.

Pierre

---

**From:** Sanabria, James <[James.Sanabria@sfmta.com](mailto:James.Sanabria@sfmta.com)>  
**Sent:** Tuesday, May 23, 2023 9:32 AM  
**To:** Aguirre, Pierre <[Pierre.Aguirre@sfmta.com](mailto:Pierre.Aguirre@sfmta.com)>  
**Subject:** Acting Verification 7287 (acting)

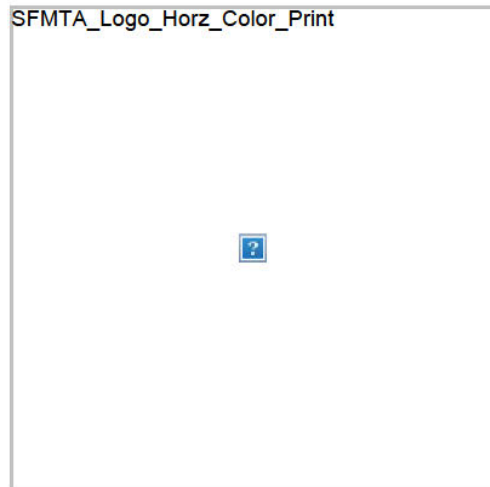
Will this suffice for the acting verification bro?

Thank you.

SAN-049

Best Regards,

**James Sanabria** (He/Him)



San Francisco Municipal Railway

Fleet Maintenance

LRV Technical Projects & Engineering Support / ERU /

Supervising Electronic Maint. Tech.

(Farebox, Radio & Video Shops)

425 Geneva Avenue

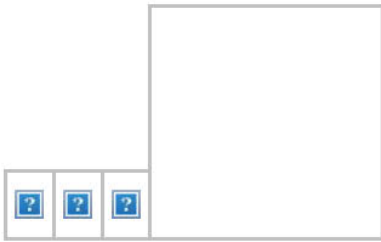
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**Title:** Lost Laptop  
**Description:** I lost my laptop in the field at approximately 0200 hours at Montgomery Station. I request an immediate replacement as without it, I am at a near standstill.  
  
Thank you.  
  
James Sanabria - SFMTA  
  
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**Analyst:**

Regards,

SFMTA Service Desk  
1 South Van Ness Avenue, Room 3085  
San Francisco, CA 94103  
Phone: (415) 646-4060

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Jeffrey Tumlin, Director of Transportation

June 19, 2023

This letter is to verify Mr. James Sanabria's employment and responsibilities with the San Francisco Municipal Railway for the time period between 2002 and 2006, and again between 2012 to 2023.

James supports LRV fleet engineering on several major capital and procurement projects including the Harris radio and CAD/AVL design and installation project, the Breda LRV2/3 mid-life overhaul, the Breda LRV2/3 master controller rehab project, the Breda LRV2/3 propulsion system maintenance campaign, and the Genfare farebox project. In addition to supporting the routine maintenance and troubleshooting of rail vehicle systems, James is also responsible for supervising other technicians and maintenance personnel working on these projects daily.

For the above referenced projects, James was responsible for supervision of other technicians and maintenance personnel directly involved on a regular basis. His supervisory duties included the enforcement of safety requirements, work planning, maintenance record keeping, quality assurance, assisting others with payroll and timekeeping accounting, and documentation supporting administrative actions.

James has a great deal of hands-on expertise with the Muni vehicles, operations, maintenance, and facilities, and uses this experience to instruct and advise personnel on the relevant Agency rules and regulations. James leverages his supervisory skills to ensure the personnel working for him comply with Agency rules and regulations, workmanship and quality standards, and record keeping.

Sincerely,

A handwritten signature in black ink that reads "Michael Motta". The signature is fluid and cursive, with the first name being more prominent.

Michael Motta, P.E.  
San Francisco Municipal Transportation Agency  
Fleet Engineering, Maintenance  
michael.motta@sfmta.com  
(415) 646-2209

San Francisco Municipal Transportation Agency 1 South Van Ness Avenue, 7<sup>th</sup> Floor San Francisco, CA 94103 SFMTA.com

311 Free language assistance / 免費語言協助 / Ayuda gratis con el idioma / Бесплатная помощь переводчиков / Trợ giúp Thông dịch Miễn phí / Assistance linguistique gratuite / 無料の言語支援 / Librang tulong para sa wikang Filipino / 무료 언어 지원 / การช่วยเหลือทางด้านภาษาโดยไม่เสียค่าใช้จ่าย / خط المساعدة المجاني على الرقم

Attorney Docket No. 28404.00

IN THE APPLICATION  
OF  
JAMES S. SANABRIA  
FOR A  
TOILET VENTILATION SYSTEM



## TOILET VENTILATION SYSTEM

### BACKGROUND OF THE INVENTION

#### 1. FIELD OF THE INVENTION

The present invention relates to ventilation systems, and more specifically to a ventilation system for a toilet.

#### 2. DESCRIPTION OF THE RELATED ART

Noxious odors and gaseous fumes present in toilets and in the space about toilets have always been a normal, but unpleasant, result of toilet use. These odors and fumes are especially prevalent in areas containing many toilets and in a small bathroom containing a single toilet. Over the years, various venting systems have been developed to remove the odors resulting from normal toilet use. These systems have worked with greater or lesser degrees of success, depending upon their design and configuration of components. In most cases, such toilet venting systems have required a specially configured bowl to collect and channel odors in response to operation of a gas exhaust system. To implement such apparatus requires

replacement of an existing toilet, which may involve new plumbing fixtures or at least detachment and reattachment of water and sewage lines. The labor for such removal and installation work is expensive and the costs for replacing a toilet are not insignificant.

There is a need for a toilet ventilation system that can be used with a toilet of essentially conventional configuration. Thus, a toilet ventilation system solving the aforementioned problems is desired.

#### SUMMARY OF THE INVENTION

The toilet ventilation system includes a toilet seat for use with a conventional toilet, the toilet seat having an interior air channel disposed through the entire circumference of the seat and a plurality of apertures disposed through the bottom surface communicating with the interior channel. A vacuum or suction pump is connected to the channel by tubing. A plurality of microswitches are attached to the bottom of the toilet seat, including a standby switch that turns the pump on when the seat is lowered onto the bowl but does not activate the pump motor, a pressure switch that activates the pump when a person is seated on the toilet, and a water switch

that shuts the pump off in the event of a toilet overflow. The pump features microcontroller operation, has an activated charcoal filter for removing odors from air pumped away from the mouth of the toilet bowl, and is powered either by a wall transformer with built-in GFCI protection or by rechargeable batteries.

Optionally, the pump may include a scent cartridge for releasing a scent when the pump is activated.

These and other features of the present invention will become readily apparent upon further review of the following specification and drawings.

#### BRIEF DESCRIPTION OF THE DRAWINGS

Fig. 1 is a top view of a toilet ventilation system according to the present invention.

Fig. 2 is a partial side view of a toilet ventilation system according to the present invention.

Fig. 3 is a diagrammatic top view of the pump unit of a toilet ventilation system according to the present invention with the cover removed.

Fig. 4 is a pneumatic schematic diagram of a toilet ventilation system according to the present invention.

Fig. 5 is a block diagram showing the electronic components and circuits in a toilet ventilation system according to the present invention

Fig. 6 is an electrical schematic of the power supply circuits of a toilet ventilation system according to the present invention.

Fig. 7 is an electrical schematic of the pump control unit circuit of a toilet ventilation system according to the present invention.

Fig. 8 shows an electrical schematic of a processor circuit of a toilet ventilation system according to the present invention.

Similar reference characters denote corresponding features consistently throughout the attached drawings.

#### DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENTS

The present invention is a toilet ventilation system, designated generally as 10 in the drawings.

Referring to Figs. 1-3, toilet ventilation system 10 is for use with a conventional toilet. The system includes an annular toilet seat 12 having an

interior channel 14 defined therein extending through the entire circumference of the seat 12. The seat 12 also has a plurality of apertures 16 defined through the bottom surface that communicate with the interior channel 14. Apertures 16 and interior channel 14 in toilet seat 12 act to collect and channel away noxious air that accumulates in and around the mouth of the toilet bowl.

Along a rear portion of toilet seat 12, interior channel 14 is connected to a flexible hose 28 or tubing that keeps channel 14 in fluid connection with a pump unit 22. Pump unit 22 has a housing. Disposed within the housing are an evacuation pump 24, a pump control module 32, a carbon filter 26, and an optional scented cartridge 34. The processor and pump control circuits described below may also be disposed within the pump housing. The pump 24 and related circuitry may be connected to the a.c. power main by a wall transformer plug 36 that has a case 35 housing the power supply and ground fault interrupter circuitry described below, with a GFCI reset button 37 mounted to a side of the case 35. The pump 24 may be a vacuum pump, suction pump, exhaust fan, blower fan, or any other device that is adapted to

draw air through apertures 16, channel 14, tubing or hose 28, and filter 26, and to exhaust the air from pump unit 22.

An adapter 30 is used to connect flexible hose 28 to pump unit 22 and is equipped with a one-way valve, allowing fluid to travel only from toilet seat 12 into pump unit 22. Evacuation pump 24 is controlled by pump control module 32 and acts to draw the noxious air collected in channel 14 away from the toilet area through flexible hose 28 and into pump unit 22. The noxious air is filtered through carbon filter 26 and released from pump unit 22 through a vent 26a located on the pump unit 22. Optionally, to further scent the noxious air, scented cartridge 34 and an additional vent 34a may be provided on the pump unit 22. It will be understood, however, that activated carbon filter 26 is sufficient, by itself, to remove noxious odors from the air drawn through pump unit 22, and adding scented fragrance to air exhausted from pump unit 22 is an optional feature.

A switch 18 is disposed along the bottom surface of toilet seat 12. Switch 18 may be two switches in a single housing, including a normally open standby switch that is configured to close when toilet seat 12 is in a



down position. The standby switch is in electrical connection with pump unit 22 so that when the switch 18 is closed, evacuation pump 24 is put into standby mode. Switch 18 may also include a pressure sensor switch, which is also a normally open switch that is configured to close when a user is seated on toilet seat 12. The pressure switch is in electrical connection with pump unit 22 so that when the pressure switch is closed, the entire circuit is closed and evacuation pump 24 is activated to pump air away from toilet seat 12, and thus from the toilet bowl.

Switch 18 is preferably a microswitch, and may, for example, include a single button or plunger that compresses two springs having different spring constants so that the button or plunger is depressed to two different depths, depending upon whether the seat is lowered against the bowl with or without additional pressure applied to the seat by the weight of a user sitting upon the seat, in order to close one contact in the standby mode or two contacts in the pressure mode. Alternatively, switch 18 may comprise two entirely separate switches. Momentary switches suitable for use as a standby switch and pressure switches that do not close until a predetermined weight or

pressure is exerted against the switch are well known, and will not be described further.

A second switch 20 (or third switch, if switch 18 comprises discrete switches) is also disposed on the bottom of seat 12. Switch 20 is a water sensor switch that senses when an overflow occurs in the toilet when the seat is lowered and cuts off current to the pump unit 22 and other circuitry in order to avoid the risk of electrical shock. The structure of the water switch 20 is described below in conjunction with Fig. 7.

Fig. 4 displays a pneumatic schematic drawing of the toilet ventilation system showing toilet seat 12 and pump unit 22 connected by hose 28. Pump unit 22 includes adapter 30 with built-in one-way valve, filter 26, evacuation pump 24, and optional scented cartridge 34. Toilet seat 12 includes interior channel 14 with corresponding apertures 16 and is in connection with hose 28 through the use of two valves or adapters 38 and 40.

Fig. 5 shows a block diagram of the electrical components and circuits in the toilet ventilation system 10. The system 10 includes a power circuit 52

for converting power supplied by the ac power mains 50 from 120-volt ac power to a dc power level appropriate to power the pump motor of evacuation pump 24, which is preferably about 12-volts dc, although the power level will depend upon the particular make and model of evacuation pump 24 that is used. The power circuit 52 preferably also includes a ground fault circuit interrupter (GFCI) 54 for the prevention of electrical shock in the event that water is disposed in the area of the pump unit 22. The power supply circuit 52 and GFCI 54 could be disposed in the pump housing or a separate, discrete housing connected to a wall outlet by a separate cord and plug. However, as described above, in a preferred embodiment, the power supply 52 and GFCI 54 are housed in a wall transformer case having prongs that can be plugged directly into the wall outlet in order to keep the high voltage components off of the floor, so that the high voltage components are not exposed to water if the toilet overflows, thereby decreasing the risk of electrical shock.

The 12-volt power supply provides power for various components in the pump circuit 56, including pump 24, etc. The circuitry also includes a

regulated 5-volt power supply circuit 58 that supplies power to various pump control circuitry, including a PIC microcontroller 60 or other processor circuit, standby and pressure switches 18, water sensor 20, relay 62, etc. The processor or microcontroller 60 also includes indicator diodes 64 to indicate the state of the system 10.

The system 10 also includes a 12-volt battery 66 or battery pack, which is preferably provided by rechargeable batteries. The pump control circuitry includes a battery charging circuit 68 for recharging battery 66. Thus, the system 10 may be operated by ac power when plug 36 is plugged into a wall outlet, or may be powered by battery 66 when the device is unplugged or when there is a power failure in the ac power mains 50.

Fig. 6 shows an exemplary electrical schematic of the power supply used in powering the pump unit of the system. T1 is a transformer with a 120-volt ac primary and a 12-volt ac secondary. CR2 is a bridge rectifier that converts the 12-volt ac to dc. TB1 is a 2-position terminal strip connected to the cord leading to pump unit 22.

Circuit breaker CB1, current sensing transformer T2, bridge rectifier CR1, silicon controlled rectifier Q1, integrated circuit U1, and the remaining resistors, capacitors, and diodes form the ground fault circuit interrupter. U1 is an LM1851 ground fault interrupter chip or comparable substitute. If a ground fault occurs, T2 produces a voltage proportional to the severity of the fault. Q1 will trigger U1 if the fault current exceeds five milliamperes, tripping circuit breaker CB1 and shutting down power to the system 10 until the reset button 37 is pushed and the fault is removed.

Fig. 7 shows an electrical schematic of a pump control circuit of the system 10 that is used to control the operation of the system 10. The pump receives power from the 12-volt dc power supply. R6 supplies a bias voltage to the base of bipolar power transistor Q2, which turns on and off upon receipt of control signals from microcontroller circuit 60 to switch relay K1, thereby turning the pump on and off.

U3, C1, C2, C3 and D1 provide a regulated 5-volt power supply for the microcontroller circuitry 60 and other components of the pump control circuit. U3 is an LM7805 or equivalent 5-volt voltage regulator. D1 and C1

form a half-wave filter. TB6 is a 2-position terminal strip connected to rechargeable battery or batteries 66, which provide power to the regulator U3 and pump 24 in the absence of an ac voltage.

Transistors Q3 and Q4 (general purpose or switching bipolar transistors), R7-R12, R14, R15 and microcontroller U2 (shown in Fig. 8) form a battery charging circuit for battery 66. The circuit provides a trickle charge current of approximately 100mA. Resistors R11 and R12 provide a sensing voltage to microcontroller U2. When the plug 36 is connected to ac power mains 50, the voltage across R12 will be high enough to cause U2 to put 5V at R7, switching on Q3. This enables the charging circuit. U2 also monitors the battery voltage through resistors R14 and R15. When U2 determines that the battery has been charged, it disables the charging circuit. D4 prevents reverse current flow through the charging circuit when plug 36 is not connected to the ac mains 50.

D3 provides an alternate power path for the control circuit in the event the battery voltage falls too low. When this happens, the control circuit will not operate the pump 24 until the battery 66 has been adequately charged.



The standby switch, pressure switch, and water sensor switch are supplied with power by the 5-volt regulated circuit 58. Although other water sensors may be used, water sensor 20 may include two wires placed close together so that when water bridges across the two wires (e.g., when the toilet bowl overflows), a conductive path is formed in the base-emitter junction of Q1 (a general purpose or switching bipolar transistor). Collector current from Q1 produces a voltage across R4, which is monitored by U2.

When the standby switch and the pressure switch are closed, and when Q1 is off, i.e., no water is sensed, inputs A, B, and C to U2 are all low voltage, so that U2 will put 5V at R6, turning on Q2 and energizing relay K1 to provide power to pump 24. Diode D2 protects Q2 from the high flyback voltage that occurs when the relay K1 drops out.

Referring to Figs. 7 and 8, resistors R5 and R13, zener diode D8, and capacitor C4 protect the motor of pump 24 from excessive current. When the motor is running, a small voltage is developed across R5. This voltage is applied across R13 and C4, which form a filter to smooth the voltage. If the voltage becomes too large as a result of excessive motor current, U2 will de-

energize the relay K1, shutting off the motor of pump 24. U2 will periodically re-energize the relay K1 for brief periods of time in an attempt to clear the fault. Zener diode D8 protects U2 from excessive voltage as a result of current spikes in pump 24.

Referring to Fig. 8, U2 is preferably a PIC16f914 microcontroller or comparable microcontroller or microprocessor. D7 is a dual LED used as a charge indicator. D5 and D6 are indicators to show the status of the water sensor and standby switches, respectively. RP1 is a resistor pack that provides current limiting resistors for the indicator diodes. When the charging circuit is not enabled, U2 monitors the battery voltage and controls the color of D7 so that D7 is a solid red with the power unit plugged in and the battery charging, D7 is solid green when the power unit is plugged in and the battery is fully charged, D7 is flashing red when the power unit is unplugged and the battery needs charging, and D7 is off when the power unit is unplugged, the battery is fully charged, and the unit is functional.

D6 is an indicator for the standby switch and flashes once every two seconds when the seat 12 is lowered and the standby switch is closed. D5 is

an indicator for the water sensor 20 and turns on when water is sensed and Q1 turns on. Pump control circuit 56, relay 62, 5-volt power supply circuit 58, microcontroller circuit 60, battery 66, and battery charging circuit 68 may be housed in the pump unit 22. The indicator diodes D5, D6, and D7 may be mounted on the housing of the pump unit 22.

Thus, the system 10 provides a pump 24 for pumping air from around the toilet bowl when a person is seated on the toilet seat 12, and removes noxious odors from the air by pumping the air through a charcoal filter 26. The device includes a water sensor 20 to shut down the unit when the toilet overflows, and a GFCI circuit 54 to interrupt power when a fault condition is detected. The high voltage components are preferably kept above the floor by incorporating the power supply 52 and GFCI circuit 54 into a wall transformer plug 36 to increase safety. The system 10 may be operated from ac power or from battery power using batteries that may be recharged when the system 10 is connected to the ac power mains. The toilet ventilation system 10 therefore provides an effective, convenient, and safe method of removing noxious odors from the bathroom.

It is to be understood that the present invention is not limited to the embodiments described above, but encompasses any and all embodiments within the scope of the following claims.

## CLAIMS

I claim:

1. A toilet ventilation system, comprising:

a toilet seat having a bottom surface and an interior channel defined within the seat, the seat having a plurality of apertures disposed through the bottom surface and communicating with the interior channel;

a pump unit having a housing and a vacuum pump disposed within the housing, the vacuum pump being connected to the interior channel and operative to pump air from a toilet bowl through the apertures, interior channel and pump unit;

a filter disposed in the pump unit housing for removing noxious odors from the air pumped through the pump unit;

a control circuit for turning the pump on and off; and

a pressure switch disposed on the toilet seat, the pressure switch being connected to the control circuit and having a normally open position in which the control circuit turns the pump off when no weight is applied to the

toilet seat, and a closed position causing the control circuit to turn the pump on when the toilet seat is lowered onto the toilet bowl and a person is seated on the toilet seat.

2. A wall transformer, comprising:

a case;

a plurality of prongs adapted for insertion into a wall outlet;

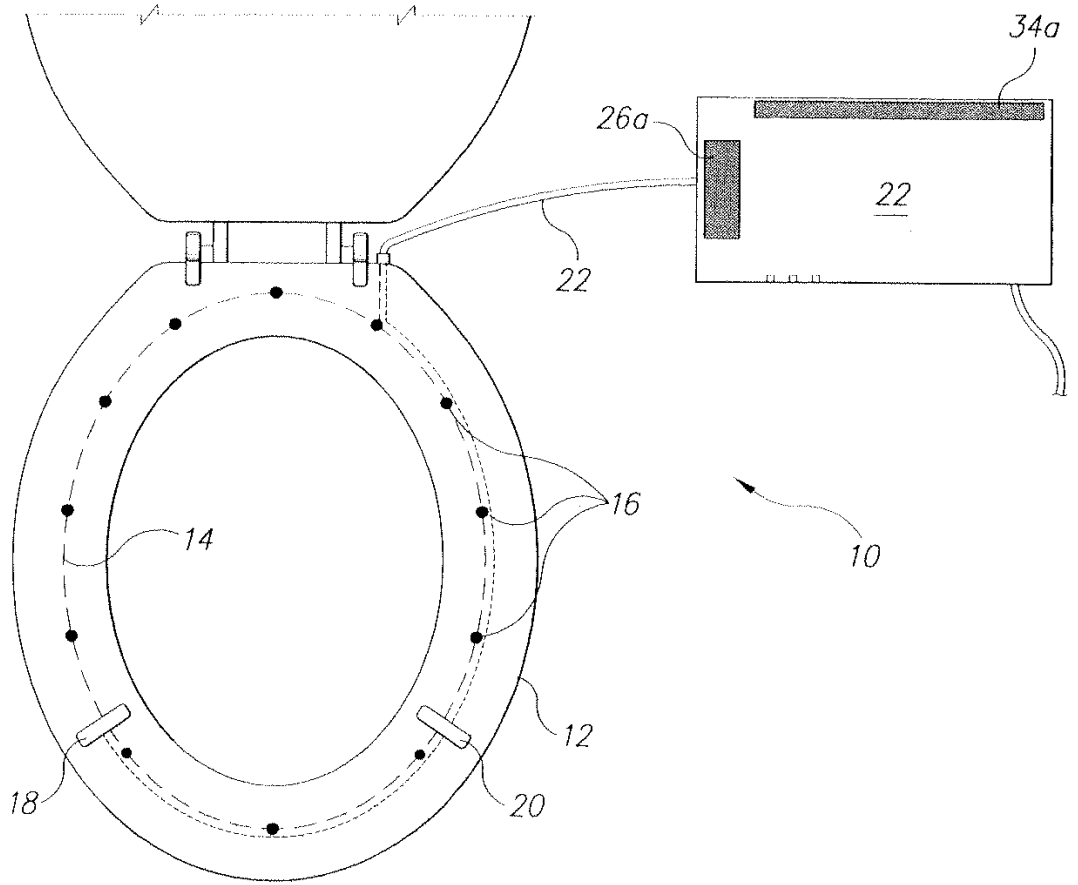
a step-down transformer circuit disposed within the case for stepping down voltage supplied from the wall outlet; and

a ground fault circuit interrupter disposed within the case, the ground fault circuit interrupter including a circuit breaker mounted within the case and a reset button mounted on a sidewall of the case for resetting the circuit breaker.

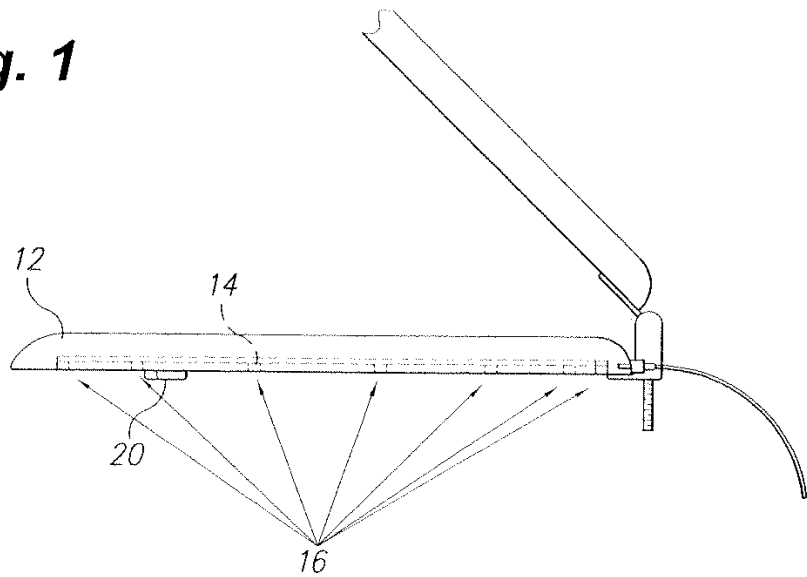
## ABSTRACT OF THE DISCLOSURE

The toilet ventilation system includes a toilet seat having an interior air channel disposed through the entire circumference of the seat and a plurality of apertures disposed through the bottom surface communicating with the interior channel. A vacuum pump is connected to the channel by tubing. A plurality of microswitches are attached to the bottom of the toilet seat, including a standby switch that turns the pump on when the seat is lowered onto the bowl, a pressure switch that activates the pump when a person is seated on the toilet, and a water switch that shuts the pump off in the event of a toilet overflow. The pump features microcontroller operation, has an activated charcoal filter for removing odors from air pumped away from the mouth of the toilet bowl, and is powered either by a wall transformer with built-in GFCI protection or by rechargeable batteries.

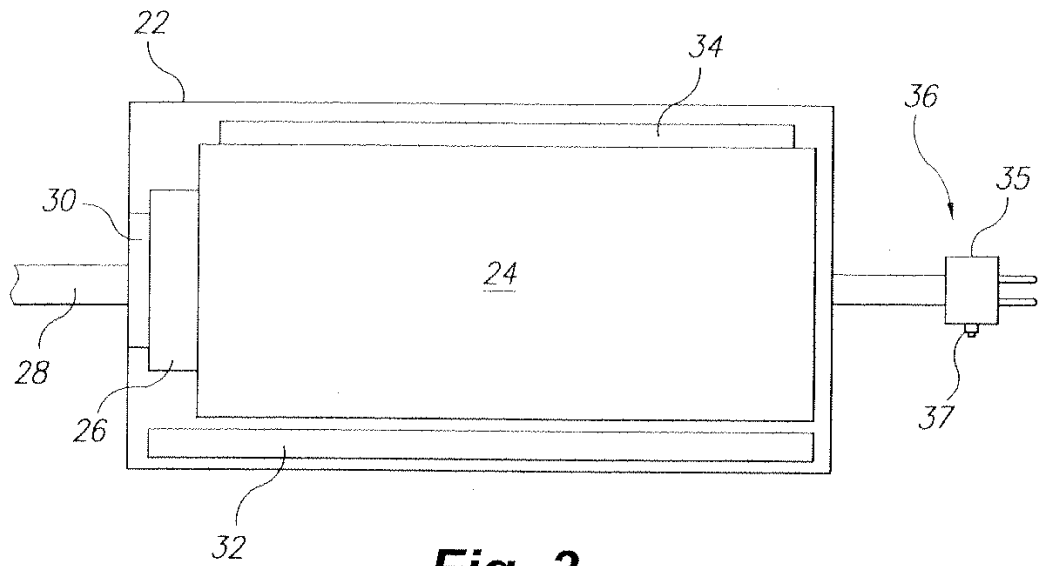




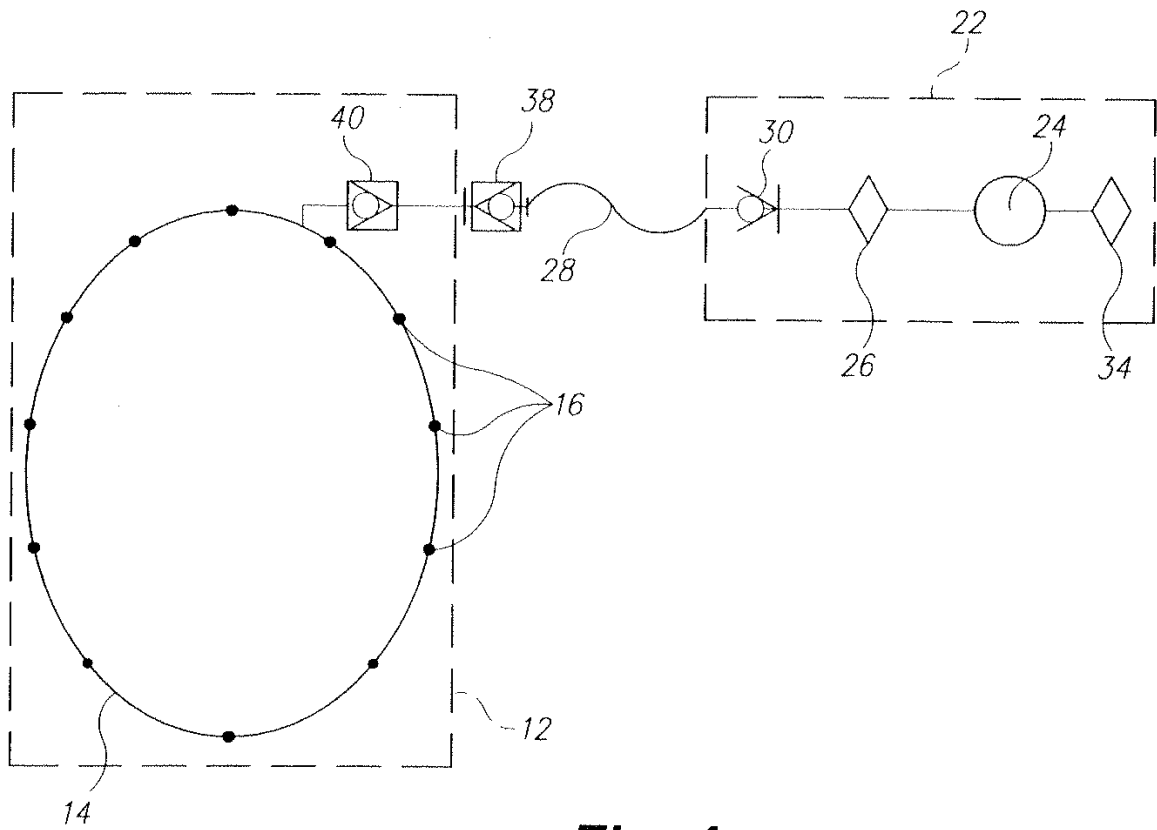
**Fig. 1**



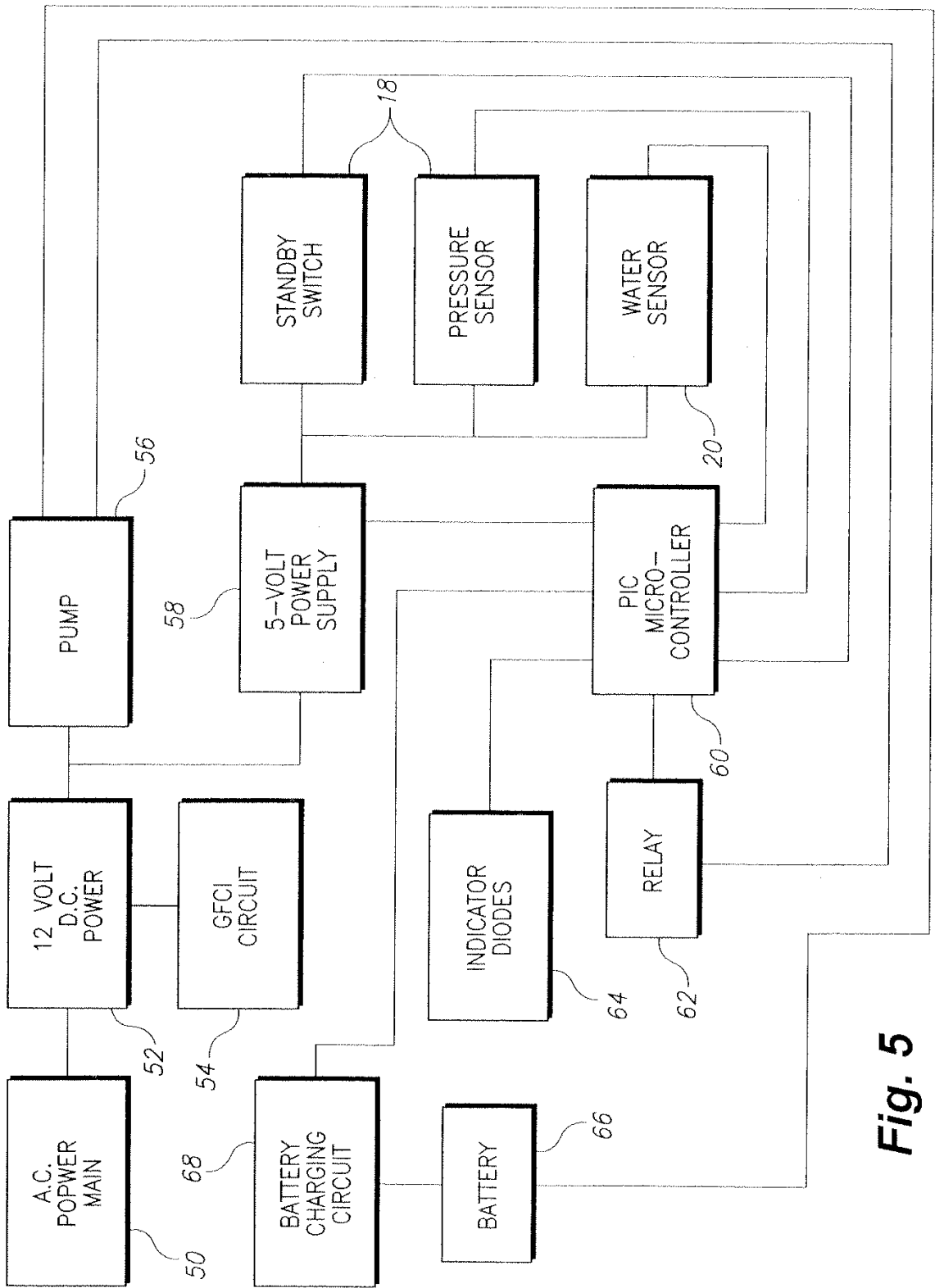
**Fig. 2**



**Fig. 3**

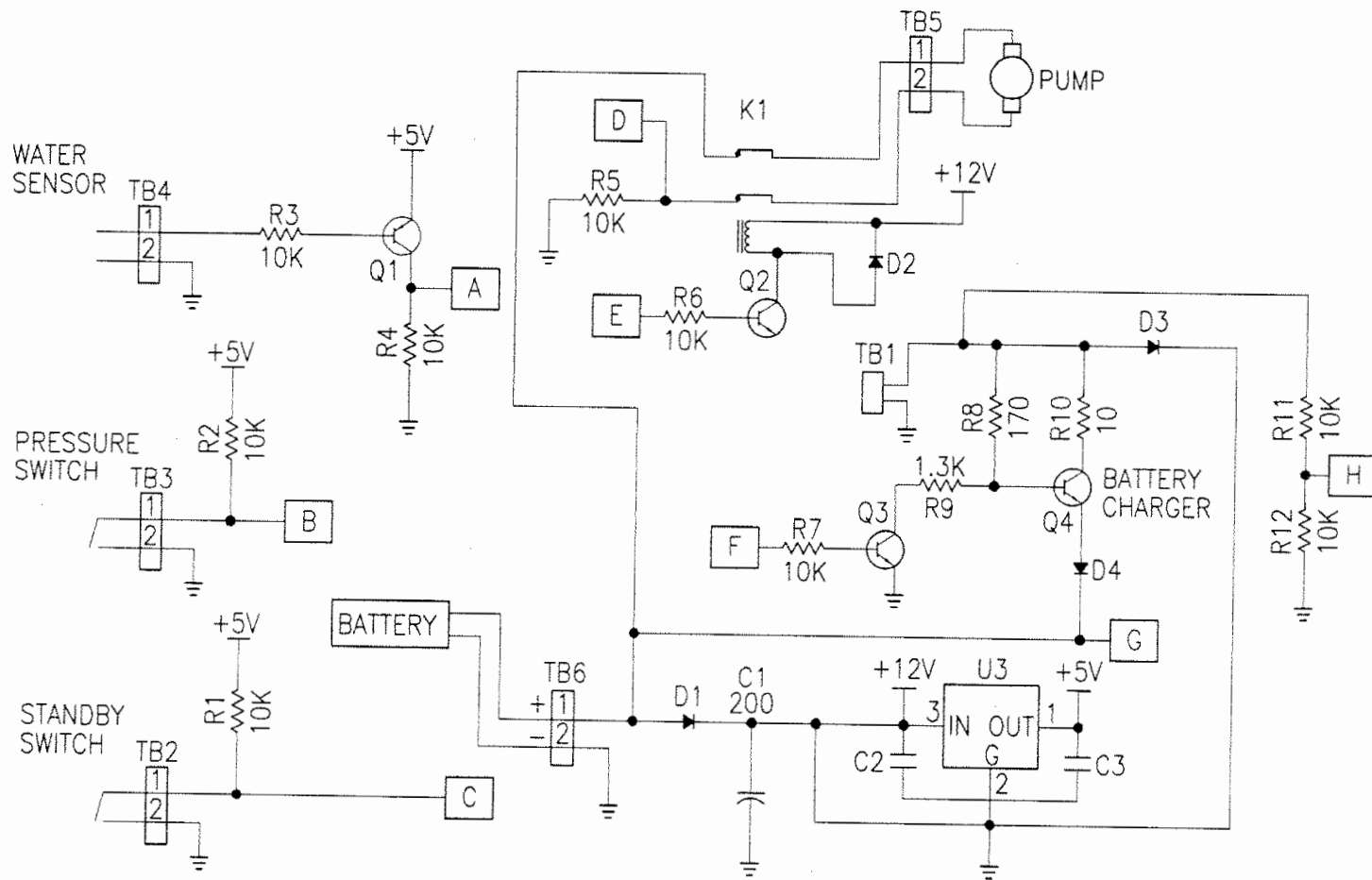


**Fig. 4**



**Fig. 5**





**Fig. 7**

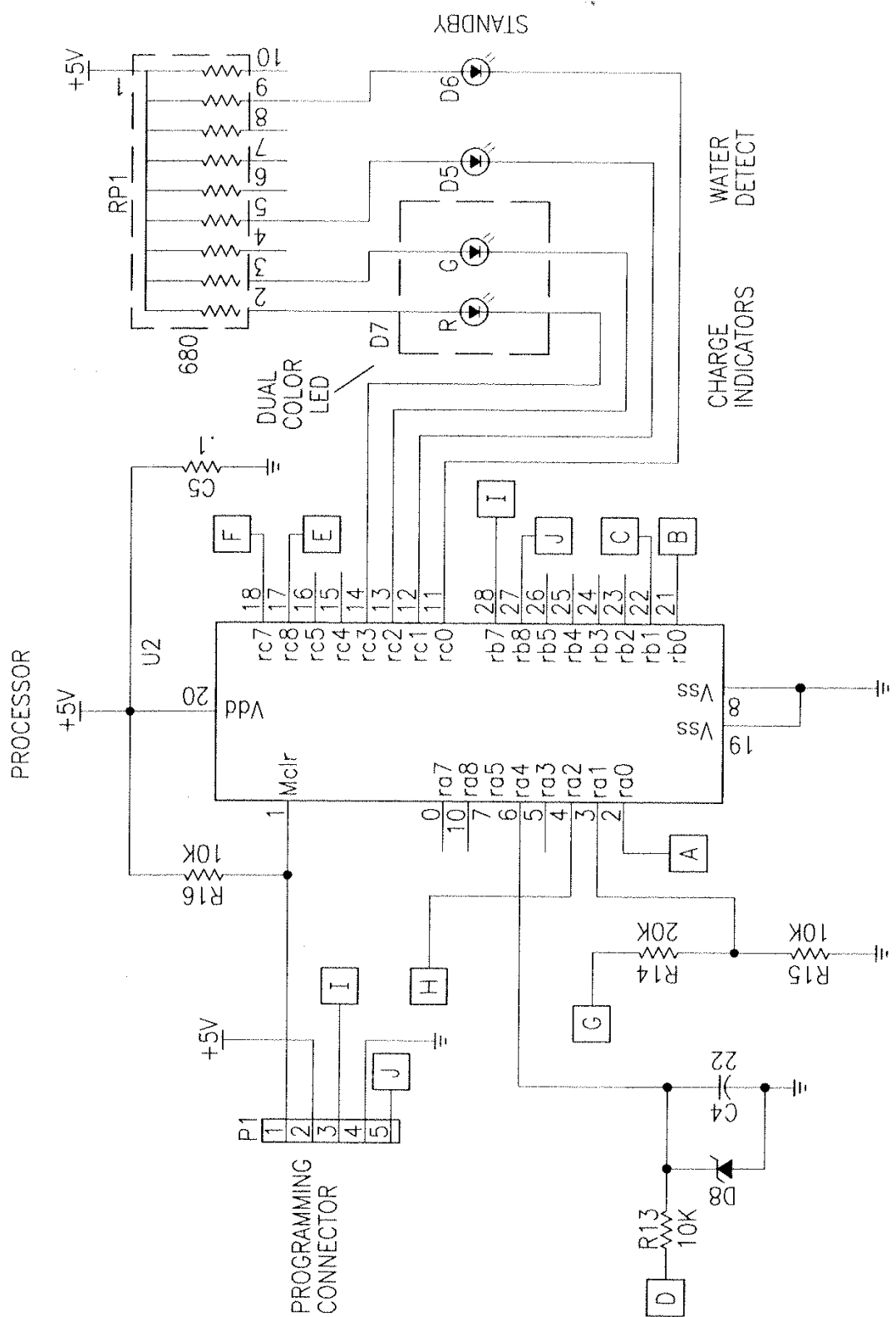


Fig. 8

Attorney Docket No. 28404.00

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(b))--INDEPENDENT INVENTOR**

As the below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9 (c) for purposes of paying reduced fees under section 41 (a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled below and in:

TITLE OF INVENTION

**TOILET VENTILATION SYSTEM**

X  the specification filed herewith.

I have not assigned, granted, conveyed, or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9 (c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9 (d) or a nonprofit organization under 37 CFR 1.9 (e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

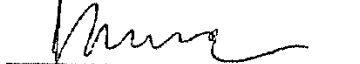
X  no such person, concern or organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small business entity is no longer appropriate. (37 CFR 1.28 (b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

JAMES S. SANABRIA

Name of Sole or First Inventor

  
Signature of Sole or First Inventor

Date 06-26-06



## **Business Plan**



**58 West Portal Avenue, Suite 245  
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415-420-5417**

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## 1.0 Executive Summary

Optimal Solutions Technologies ("OST") is a pending LLC and an exciting start-up company based in San Francisco, California in the newly emerging field of indoor air quality advancement. Our products capture odor and airborne pathogens at the source via patentable technology.

The innovative green products OST will introduce to consumers in 2014 will greatly impact the lives of every person around the world. OST addresses odor removal and airborne pathogen reduction – a \$100 billion dollar market potential.

OST will disrupt the market and change the way the game is played forever, creating a Toilet 2.0 revolution with our initial products which caters to: residential homes; commercial real estate (hotels, casinos, schools, government buildings); as well as airlines, buses, trains; and even portable toilets (portapotties). OST's products are new, different and attractive. OST products provide many benefits which improve lives, while simultaneously reducing carbon pollution by targeting the \$7 billion air freshener market... all key factors to a successful and profitable brand.

### Products and Services

OST ([www.optimalsolutionstech.com](http://www.optimalsolutionstech.com)) will develop and distribute Automatic Toilet Ventilation Systems (ATVS). ATVS are toilet systems that automatically eliminate odor and airborne pathogens at the source. These systems are green technology systems that indirectly reduce electricity use and water consumption. Our systems require a consumable filter in order to operate. OST will develop the supporting software and systems internally. OST systems can reduce overall restroom ventilation costs by up to seventy percent (70%) while creating an odor free environment and significantly reducing airborne pathogen exposure. Our systems can be customized by the manufacturer for different applications.

### Market

Our primary target markets include, but are not limited to, the hospitality industry, high rise commercial and residential buildings, sports stadiums, the family consumer, channel sales to original equipment manufacturers (OEM's), boat manufacturers and the governmental arena, among others.

We predict our systems will strongly appeal to families concerned with the safety of their loved ones and the conservation of the environment.

The combined Global TAM of potential customers for our products is well over \$1,500,000,000, with millions of units moving in the first five (5) years. However, we will focus on a more realistic and attainable 4 year sales goal of approximately 624,000 units.

It is important to note the company's future results could differ materially from those projected due to a number of factors, including, but not limited to, general financing conditions, competitor pricing activity and expense volatility.

### Objectives

OST has identified three types of objectives that will serve as challenging but attainable goals for the organization.

#### Business Objectives

- a. Become the market leader in the new and emerging Automatic Toilet Ventilation Systems global arena.
- b. Reach profitability within three years of the company's launch.
- c. Develop multiple profit centers such as retail outlets, product licensing, incremental innovations and eventually expand into other sanitation related markets.

### Financial Objectives

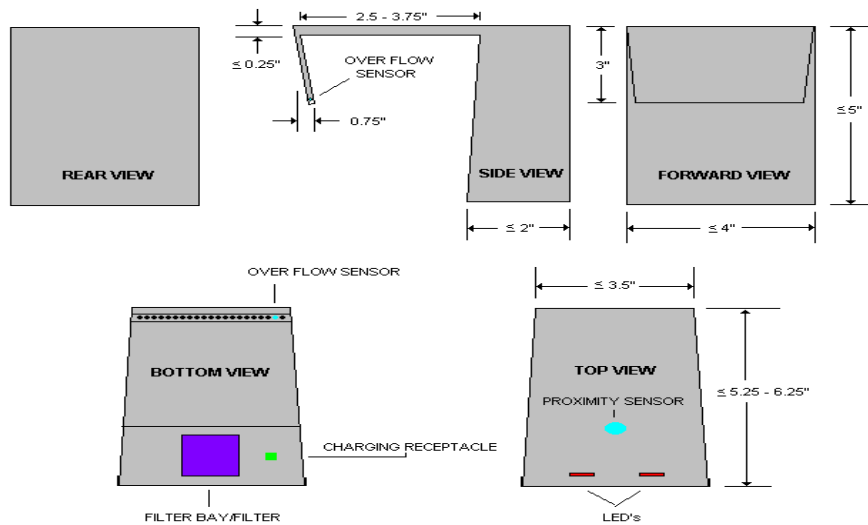
- Increase product sales to several million dollars annually by the end of the third year.
- Bring gross margin up and maintain profitability by the third year.
- Improve inventory turnover on an ongoing basis, until "just-in-time" inventory is standard.

### Marketing Objectives

- Focus on target marketing to increase market penetration and domination.
- Expand target markets with controlled growth.
- Establish brand awareness for the OST trademark and products.
- Position ourselves as the leading Automatic Toilet Ventilation Systems company in the world.
- Aggressive distribution.

### Keys to Success

- Product quality and efficiency for real-life situations.
- Utilizing next-generation technology in order to improve upon current systems, while differentiating ourselves from our competition.
- Marketing:* Dealing with channel issues and/or barriers to entry and solving problems with major advertising and promotion budgets in order to penetrate our target markets effectively.
- Management:* Efficiently manage timely delivery of products, costs, and marketing budgets. There is a tendency to increase growth at the expense of profits, however, we are committed to match our growth with our profits in order to maintain our ultimate plan.
- Sustaining controlled growth in order to manage start-up costs more efficiently.



## 2.0 Company History

### MISSION STATEMENT

OST is committed to enabling people live healthier lives by making toilet sanitation safer through our state of the art systems that will eliminate offensive odor and airborne pathogen risks, while reducing the consumption of limited environmental resources.

### COMPANY STATEMENT

OST succeeds by delivering outstanding performance.

We believe in service beyond expectation, achieved through a constant desire to anticipate and fulfill evolving customer needs.

The integrity, intelligence and commitment of our people are vital to OST's mission. We share pride in the Company and respect each individual's contribution at every level.

Exemplary customer relationships drive OST'S growth and prosperity.

OST is dedicated to pushing the limits of excellence, standing at the forefront to provide the finest and healthiest environments attainable in the industry.

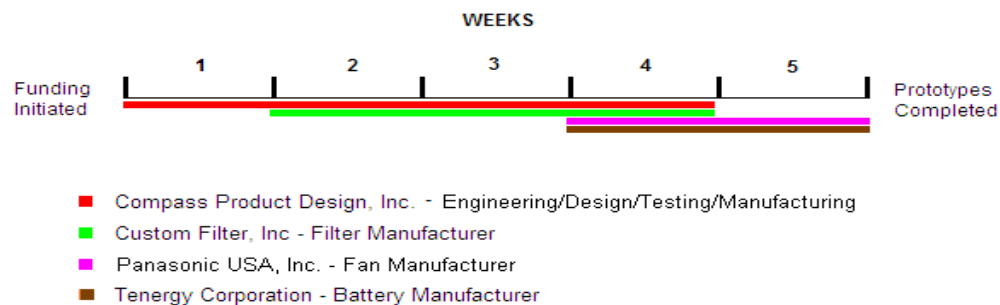
OST. always strives to exceed its best.

### Company History

In late 2006 James S. Sanabria, an electrical engineer, recognized the need for a safe, effective way to eradicate airborne pathogens, as well as the ingestion of harmful toxic chemicals introduced by fragranced air fresheners, widely used by consumers in an attempt to mask odor.

OST has established its infrastructure to the point that an infusion of capital would address the legal, manufacturing, distribution and sales needs required for a successful launch.

Currently, OST is poised to have production units available for sale within approximately 6 to 9 months of funding.



\* +/- 2 Weeks

### 3.0 Market Research

OST has developed revolutionary systems for the restroom environment which reduces ventilation electricity usage by as much as seventy (70%) of what is required to recondition the air back to thermostatic settings. This equates to millions of kilowatts of electricity saved per year. Furthermore, OST systems will aide in reducing the amount of water wasted by an average of six (6) gallons of water per day, per toilet. OST systems will also capture airborne pathogens by up to 99.97%. Finally, OST systems will eliminate the need for aerosol sprays and deodorizers which only mask odors and expose consumers to chemical hazards.

There are at least 300 to 350 million toilets in use in the United States alone.

Architects and builders must design and build homes and commercial buildings which adhere to much stricter standards in order to reduce outside air leaks. Ironically, this causes an even greater amount of indoor air pollution. To counteract this, various ventilation systems are used to improve indoor air quality through the dilution of indoor air pollutants, stale and/or bad odors and the introduction of more oxygen. Unfortunately, this causes the air to be re-conditioned which contributes to the production of greenhouse gases on a scale of millions of tons per day. Despite all of this, elimination of infectious airborne pathogens are rarely addressed.

#### About Airborne Pathogens

One of the ways airborne disease transmission occurs is when pathogenic microorganisms hitchhike on dust particles or respiratory droplets through the human defecation process which can send these unhealthy pathogens airborne.

Pathogenic microbes are initially distributed in droplets, about 10-100 microns in diameter. These dry quickly to droplet nuclei of 1-4 microns, averaging about 3 microns in size, carrying viruses or bacteria into the air.

In office environments, the U.S. Department of Labor website states: "Inadequate or improper ventilation is the cause of about half of all indoor air quality (IAQ) problems in non-industrial workplaces." Furthermore, indoor air can be two to five times more polluted than outdoor air, and in extreme cases, improper ventilation causes "sick building syndrome", according the U.S. Environmental Protection Agency.

#### US Toilet Data

- 300 to 350 million toilets in use in the US. (2003)\*
- Approximately 225 million residential toilets in use in the US. (2003)\*
- Approximately 75 to 125 million commercial toilets in use in the US. (2003)\*
- 9 million toilets sold annually. (2003)\*
- \$52.9 billion spent on toilet articles and preparations in 1996.\*
- \$176 billion spent on plumbing fixtures and hardware in the U.S in 1999.\*

#### Water & Electricity

- National Energy Average cost per kilowatt \$0.116. (2007)\*
- \$99.3 billion was spent on electricity and \$4.2 billion spent on water in the U.S in 1996. \*
- The average kilowatts per unit for a 50 CFM overhead fan is 63.9 kilowatts per year. (2007 HVI)
- Average kilowatts per OST's Initial system (5 CFM) is 3.65 per year.
- Electricity savings using OST vs. overhead fan @ national average is over 90%.

Water Conservation Fact: If ten (10%) of the estimated residential toilets in the United States (16,114,600 toilets) used OST systems and that population did not waste water in the futile attempt to reduce odor by unnecessary repeated flushing, (1.6 gallons), 25,783,360 gallons of water would be saved (this figure is based on just *one* extra "flush"). The average cost savings for that water use reduction is \$64,458 based on the average cost of tap water per gallon @ \$0.0025.

## Target Market

52.58% of the U.S. household population are individuals and businesses with an income of over \$100K per year. OST'S overall target market is one percent (1%) of the 52.58% of the U.S. household population that has a household income of more than \$100k per year.

+ Average commercial building working sixty-one (61) hours per week (3,172 hrs per year) vs. OST systems average of 23 hours per week (1200 hrs. per year). All commercial electricity savings figures are based on this formula.

# Water reduction due to elimination of unnecessary flushing (based on 4 flushes per day @ 1.6 GPF [gallons per flush]) per toilet.

## Commercial Buildings

- Average of 4,645,000 commercial buildings in the U.S. (2003)\*
- National average of toilets in building rest rooms is based on the number of employees and egress. (2006 IBC, IPC, CAPC)
- Minimum average of six (6) toilets per commercial building based upon the national requirements being 1 toilet per 25 persons up to the first 50 persons and 1 per 50 for the remainder exceeding 50 and 1 ADA toilet (Americans With Disabilities Act) per sex. (2006 IBC, IPC, CAPC)
- Average commercial building active usage per week is sixty-one (61) hrs. That equates to 3,172 hours per year.
- Minimum yearly CFM reduction per building using OST systems is 308,313,000 CFM
- Minimum yearly cost savings per commercial building (6 toilets) is \$174.41 per year at the national average electrical cost of \$0.116 per KWh (Kilowatt hours) (2006)\*
- Electricity savings using OST vs. overhead fans at the national average is 94.3% (OST would be 21.9 KWh per year vs. 383.25 Kilowatts per year 50 CFM overhead fan = 94.3% savings)

### **Yearly minimum Commercial Building savings at 10% of average US commercial buildings:**

- **CFM Savings:** 24,122,894,400,000 CFM
- **Electricity Savings:** 710.4 GWh = \$82,410,000.00 per year +
- **Water Savings:** 1,627,608,000 gallons of water per year (4,995 acre feet) #

## Assisted Living/Nursing Homes

- Patients and Staff: 3,415,568 (2005)\*
- Number of Facilities US: 15,898 (2005)\*
- Number of beds/units: 1,743,000 (2005)\*
- Toilets in these facilities are 1 per 10 persons, including staff (2007 IPC, IBC, CAPC)
- Total population that were 65 and older in 2005 was 37 million and the 2025 projection is 64 million (2003)\*

### **Yearly minimum Assisted Living/Nursing Care Facility savings at 10% of US Assisted Living/Nursing Care Facilities:**

- **CFM Savings:** 3,127,295,892,000 CFM
- **Electricity Savings:** 88.3 GWh = \$10,240,000.00 per year +
- **Water Savings:** 797,877,152 gallons of water per year (2,449) acre feet) #

**Hospitals**

- 5,764 hospitals in the U.S. (2003)\*
- In 1996, 18 million people had digestive tract injuries\*
- Approximate total number of rooms was 695,000 equals an average of 167.5 rooms per hospital (2003)\*
- Toilets per room in a hospital are at a scale of 1 toilet per room and toilets per staff are at 1 toilet per 25 staff members. Federal law mandates a minimum of a 1.5:1 nursing staff ratio per patient. (2007 IBC, IPC, CAPC)
- Total staff with rooms equals to 2,412,500 toilets.
- These figures **do not** include medical offices.

**Yearly minimum Hospital savings at ten percent (10%) of US hospitals:**

- **CFM Savings:** 2,208,885,000,000 CFM
- **Electricity Savings:** 62.8 GWh = \$7,289,000.00 per year +
- **Water Savings:** 563,560,000 gallons of water per year (1,729 acre feet) #

**Residential**

- Total households in the U.S. in 2005 = 126,316,131 with 2.59 toilets per household.\*

**Bathroom Ventilation**

The following are guidelines for ventilating both large and smaller bathrooms using intermittent or continuous ventilation.

Small rooms:

For bathrooms up to 100 square feet in size, HVI recommends that an exhaust fan provide 1 CFM per square foot (approximately eight air changes per hour) to properly ventilate the bathroom.

Larger rooms:

For bathrooms above 100 square feet in size, HVI recommends a ventilation rate based on the number and type of fixtures present, according to the following table:

Toilet	50 CFM
Shower	50 CFM
Bath Tub	50 CFM
Jetted Tub	100 CFM

<b>US Statistics – Residential</b>		
Households	126,316,131	(2005)*
Avg. # of Toilets Per Household	2.59	(2003)*
Housing Occupied Units	120,777,000	(2003)



<b>Bathrooms – Residential Occupied Units</b>		
1 Bathroom	48,264,000	Single Toilet
1 1/2 Bathrooms	17,626,000	2 Toilets
2 or more	52, 625, 000	2 Toilets or More

^ Average residential electrical savings based on two (2) hours per day using OST Product vs. 50 CFM ceiling exhaust fan at three point five (3.5) hours per day @ 30,000,000 toilets (ten percent (10%) of toilet data above, rounded to 10 millions).

# Water reduction of unnecessary flushing (based on 4 flushes per day @ 1.6 GPF [gallons per flush]) per toilet.

**Yearly minimum Residential savings at ten (10%) of US population:**

- **CFM Savings:** 108,405,000,000.000 CFM
- **Electricity Savings:** 3,109.8 GWh = \$360,736,800.00 per year ^
- **Water Savings:** 233,792,000,000 gallons of water per year ( 717,500 acre feet) #

**Grand Totals of 10% of US residential and commercial population yearly minimum savings from:**

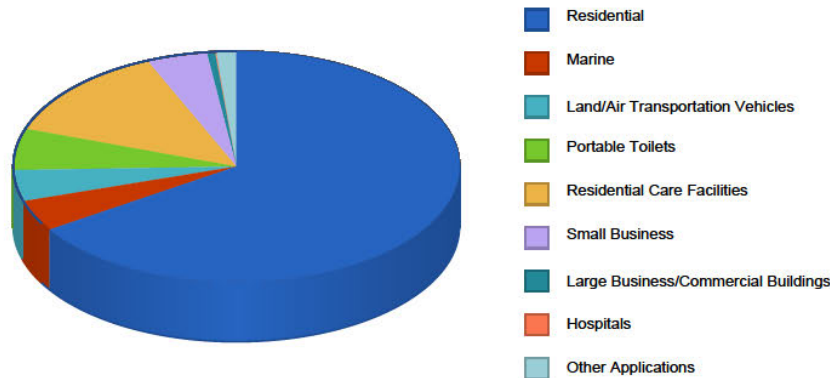
**Commercial Buildings, Assisted Living/Nursing Homes, Hospitals, and Residential**

- CFM Savings:** 137,864,075,292,000 CFM
- Electricity:** 3,971.3 GWh per year = \$460,672,000.00 per year + ^
- Water:** 236,781,045,000 gallons per year (726,700 acre feet) #

Table: **Market Analysis**

<b>Potential Customers</b>	<b>Growth</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>CAGR</b>
Residential	225%	45,000	146,250	475,313	1,544,767	225.00%
Marine	25%	3,000	3,750	4,688	5,860	25.00%
Land/Air Transportation Vehicles	50%	3,000	4,500	6,750	10,125	50.00%
Portable Toilets	100%	4,000	8,000	16,000	32,000	100.00%
Residential Care Facilities	400%	9,000	45,000	225,000	1,125,000	400.00%
Small Business	200%	3,000	9,000	27,000	81,000	200.00%
Large Business/Commercial Buildings	150%	400	1,000	2,500	6,250	150.00%
Hospitals	350%	50	225	1,013	4,559	350.07%
Other Applications	200%	1,000	3,000	9,000	27,000	200.00%
<b>Total</b>	<b>256.79%</b>	<b>68,450</b>	<b>220,725</b>	<b>767,264</b>	<b>2,836,561</b>	<b>256.79%</b>

Market Analysis (Pie)



**Data Compiled From:**

- \* [United States Census Bureau](#)
- [IBC - International Building Code](#)
- [IPC - International Plumbing Code](#)
- [IMC - International Mechanical Code](#)
- [IECC - International Energy Conservation Code](#)
- [CAPC - California Plumbing Code](#)
- [HVI - Home Ventilation Institute](#)

**4.0 Concept of the Commercial Project**

OST came into being due to the lack of ventilation systems that completely eliminate restroom usage odors. Our product is much more energy efficient (compared to ceiling exhaust fans); increases water conservation (reduction in unnecessary flushing); drastically reduces airborne pathogens exposure; increases cost savings (eliminates need for air fresheners and deodorizers); and elimination of exposure to chemicals from use of air fresheners and deodorizers.

OST systems require a profit generating consumable filter. The engineering and manufacturing of our systems will be provided by Compass Product Design in Pleasanton, California. The manufacture of OST filters will be through Custom Filters in Aurora, Illinois. OST will develop the supporting software and systems internally. Our systems can be customized by the manufacturer for different applications.

Manufacturing and Sales benefits:

- Extremely low manufacturing costs – consists only of plastics, pump/fan/filters, and very low level electronic circuitry.
- Very homogeneous design thus minimal R&D and manufacturing costs for new models/upgrades/innovations.
- Requires consumables of very low cost (filters) which vastly increase profit potential.
- Extremely simple to install and maintain.
- Requires no modifications to toilet fixtures or plumbing.
- Requires no external air source/exhaust.
- Completely automatic.
- Completely electrically safe and certified (will be UL listed and FCC, LEED, EnergyStar and WaterSense certified).

- Most of all, OST products will eliminate the discomfort and embarrassment that can accompany the use of a restroom.

### **Target Market**

We predict our systems will appeal strongly to families concerned with the safety of their loved ones and the conservation of the environment.

Our primary target markets include, but are not limited to, high rise commercial and residential buildings, sports stadiums, family consumers, channel sales to original equipment manufacturers (OEM's), boat manufacturers and the governmental arena, among others.

The combined number of "potential" customers for our products is well over 500,000,000 globally. However, we will focus on a more realistic and attainable four-year sales goal of roughly 624,000 units capturing approximately **0.5% of the U.S. consumer market.**

The commercial market will be key as we promote our products as energy conserving, odor eliminating, and airborne pathogen inhibitive.

OST'S initial target market for the first year sales will be focused toward U.S. residents and businesses with a gross annual income of approximately \$100,000 or more for the single unit version only. This figure is based on the current state of the U.S. financial market's volatility and tight consumer credit.

Due to market demand we will establish a luxury based branding on our product's innovation, future incremental innovations, reliability, customer satisfaction, and numerous government certifications such as Underwriter's Laboratory (UL), LEED, WaterSense, FCC, and EnergyStar. Also, as our marketing campaign will include web-based marketing, our customers will be targeted and directed to our direct purchasing website, thereby increasing domestic and international branding recognition.

The target market for the commercial versions will be the commercial hospitality arena, large restaurants, entertainment venue establishments, hospitals and various health care field facilities, business and industry establishments, commercial transportation hubs, etc.

This product makes the total restroom experience more comfortable and tolerable while conserving precious natural energy resources and enhancing safety from airborne pathogens and direct contact to chemical contamination and ingestion. This product crosses all known boundaries of humanity... religious, cultural, ethnic, nationality, sexual orientation, or any other divisional boundary that people may have. Therefore, the eventual target market for this product is anyone who can afford to spend the purchase price of this product, has a toilet, and a power source.

### **Products**

OST will develop, market and sell automatic toilet ventilation systems that eliminate odors and reduce airborne pathogen exposure associated with bathroom use.

The toilet ventilation system is an all inclusive unit for function, control and air filtration.

Sensors are integrated into the units, including a capacitance sensor that activates the pump motor when a person is seated on the toilet seat and a water sensor that disables the unit in the event of a toilet overflow, among other safety circuits. OST products feature microcontroller operation and require disposable active carbon/laboratory grade HEPA filtering for removing odors and airborne pathogens from the air pumped away from the mouth of the toilet bowl. OST products filter and recycle ambient air, therefore, no exterior ventilation is required for its use. It is powered either by a wall transformer with built-in Class A GFCI protection or by rechargeable batteries.

Furthermore, OST products consist of two platforms: a single-toilet residential version and a multi-toilet commercial version. Both platforms are aesthetically, conceptually, and operationally similar. The differences being that the

commercial version incorporates centralized control and programmability of the multiple units. The commercial version is designed to be used in commercial establishments utilizing multiple toilets and incorporates a higher degree of durability along with tamper and theft resistance. OST commercial products are designed to function in conjunction with, or independent of, Variable Air Volume (VAV) and Demand Controlled Ventilation (DCV) HVAC control systems.

**OST System Applications**

There are currently three (3) OST Application Configurations, as follows:

**Single Seat** application is a single toilet seat odor and pathogen extraction ventilation configuration that can be used in many different environments. These environments include, but are not limited to, the following:

- Residential homes with single or multiple toilets
- Restaurants with single toilet restrooms
- Hospitals utilizing single toilet restrooms
- Commercial buildings with single toilet restrooms
- Maritime applications including boats, commercial cruise liners and ships that have single toilet restrooms
- RV's, commercial & tour buses, rail and airplanes that have single toilet restrooms

**Small Business** configuration would be any application where ten (10) toilets or less would be tied into a single ten (10) channel odor and pathogen extraction ventilation system. This configuration can be used in many different environments. These environments include, but are not limited to, the following:

- Small businesses that would have ten (10) toilets or less
- Large residential homes that utilize several toilets
- Restaurants with multiple toilet restrooms with two (2) or more stalls
- Residential care facilities and hospitals that have multiple toilet restrooms
- Commercial buildings that have a campus environment
- Schools and universities that have multiple restrooms

**Large Business/Commercial** application is a commercial grade odor and pathogen extraction ventilation system that is used in many different large multiple toilet environments utilizing at least eleven (11) toilets. These environments include, but are not limited to, the following:

- Multiple floor commercial buildings that have numerous restrooms with multiple toilets.
- Large hospitals with multiple floors and numerous restrooms with multiple toilets.
- Sports stadiums with multiple floors and numerous restrooms with multiple toilets.
- High rise buildings that have numerous floors and numerous restrooms with multiple toilets.

**Product Comparison:**

	<b>Optimal Solutions Technologies</b>	<b>Brondell Breeza</b>	<b>Toto S300</b>
<b>Target Type:</b>	Odor/Pathogen Removal	Odor Removal	Bidet with Odor Removal
<b>Power Source:</b>	6 VDC Rechargeable NiMH or Li-Ion	3 VDC Non-rechargeable	120 VAC
<b>CFM Rating:</b>	5.0	0.5	UNK

<b>Universal Seat Configuration:</b>	Yes	No	No
<b>Microprocessor Controlled:</b>	Yes	No	Yes
<b>Commercial Equivalent:</b>	Yes	No	No
<b>Automatic Operation:</b>	Yes	Yes	No
<b>Multi-Seat Systems:</b>	Yes	No	No
<b>Ultra Quiet Fan</b>	Yes	Yes	UNK
<b>Anti-Microbial Surface:</b>	Yes	Yes	No
<b>Filter Type:</b>	Acid Gas Active Carbon / Laboratory Grade HEPA	Active Carbon	UNK
<b>MSRP:</b>	\$99.99	\$129.00 to \$199.00	\$1248.00 to \$1435.00

### **Patent Status**

OST currently has no patents pending at this time. Although a patent was originally filed with the United States Patent & Trademark Office (USPTO), that particular model has been drastically improved upon and reduced in size by over eighty percent (80%). As such, a new patent application will be submitted to the USPTO upon completion of the prototype of our initial market product and investment funds made available to incur the legal costs and filing fees.

As with the previous filing, OST products are extremely unique and fulfill a purpose that has not been able to be effectively accomplished to date, outside of OST. The current line of OST products should have no difficulty in attaining patents with the USPTO.

### **5.0 Feasibility Study**

OST systems eliminate offensive odors and airborne pathogens at the source, thus eliminating the need to have to ventilate an entire restroom to achieve the same results.

By using OST products the United States alone will realize significant reduction of our carbon footprint which would potentially reduce the overall wasted electricity to a fraction of what is being utilized today.

Actually, due to the high net profit margin and prospective earnings growth potential, we do not believe that there is any other product in any consumer electronics or bathroom products market comparable to our product.

We are not expecting to commence with sales of the commercial platform units until approximately four to eight (4-8) months of initial residential platform unit sales due to continued development, financial reinvestment required from initial sales, and other minor concerns the commercial platform units will require.

Having conducted internet searches through several basic and technical search engines and USPTO search, there is only one real competitor to this product, albeit, our product is exceptionally superior by comparison. The Brondell Breeza's comparison characteristics were viewed on page 13.

There are other products that remove toilet odors from the toilet seat area; however, all of those products require an exhaust outlet to the exterior of the building making the installation cost alone extremely high (Jon-Air, Odourvac, etc.). Also, some require complete replacement of the toilet with costs of some toilets exceeding \$2000 and some even requiring reconfiguration of sewer piping (Toto).

The following is a list of all the known benefits of this invention over competitors and/or toilet user's desires:

- 1. Positive Toilet Use Experience:** OST systems will completely eliminate the odors experienced with normal toilet use.
- 2. Eliminates and Traps Airborne Bacteria and Viruses:** The disposable (multi-stage) acid gas active carbon/laboratory grade HEPA filter used for OST systems eliminates and traps unhealthy airborne bacteria and viruses associated with normal toilet use. This fact could decrease the likelihood of the user acquiring an airborne infectious disease when using the toilet shortly after an infected individual.
- 3. Health Conscious:** OST systems eliminate the need for aerosol air fresheners and/or deodorizers, therefore, eliminating the adverse health risks associated with direct skin contact and airborne ingestion of the multitude of chemicals used in aerosol air fresheners and/or deodorizers.
- 4. Cost Effective and Energy Efficient:** In comparison to overhead ceiling fans, OST systems operate at approximately 1/17 the power requirement. Also, unlike the ceiling fan which is usually kept on for usually several minutes after toilet use, OST systems is only on for several seconds after toilet use, also, decreasing energy consumption. Therefore, the decreased overall energy consumption makes OST systems extremely energy efficient and cost effective in comparison to any other powered bathroom exhaust system.
- 5. Environmentally Friendly:** OST systems eliminates the need for aerosol air fresheners and/or deodorizers, thus, decreasing the amount of chemicals, including volatile hydrocarbons, introduced into the atmosphere from aerosol products.
- 6. Water Conservation:** Most people flush the toilet multiple times in an attempt to reduce the odor with the slight vacuum created by the flush of the toilet. OST systems eliminate that instinctive desire, therefore, significantly reducing the amount of water used. Water conservation has become an increasingly important natural resource issue.
- 7. Cost Savings:** In 2007 nearly \$4.7 billion was spent worldwide on air fresheners and air deodorizers, over \$700 million in Japan alone. OST systems eliminate the need for bathroom air fresheners and deodorizers and seeks to capitalize on that market's capital potential difference, among others. Furthermore, the average energy consumption savings by using the OST system is significantly higher than conventional 50 CFM overhead ceiling fans.

**8. User friendly:** OST's initial system requires no assembly and installs within one minute requiring no tools or complicated instructions to operate. It is fully automatic. Once the charge indicator starts blinking or you hear the audio indicator, indicating its need for recharging, just plug in the supplied AC/DC charger until fully charged. Replacing the consumables (filter cartridge) is accomplished by simply pulling the spent cartridge out and pushing the new one into proper position. That's it! All other functions of normal toilet use are customarily normal.

**9. Aesthetically Appealing:** OST systems will require no modifications or replacements of any toilet components. With that in mind, there will be no uncharacteristic differences.

**10. Easy Installation:** Installation of OST systems are accomplished by simply hanging and securing the unit over the toilet bowl; and charging the system until fully charged. You can unplug the charging unit from the main unit once it is fully charged. Absolutely no tools are required and it should take less than two minutes from box to functional operation.

**Commercial Buildings** - US Census 2003 and US Energy Information Administration 2003

- Total U.S. buildings: 4,645,000
- Means Sq Ft per building: 13,900
- Mean operating hrs per week: 61
- Electricity powered buildings: 4,404,000

**Housing** - US Census (year)

- Total Housing Units (2006): 126,316,181
- U.S. Population (current) 305,000,000

**Lodging** - US Census 1999

- Total Establishments: 52,000
- Total Rooms: 3,900,000

**Government Buildings** - US Census 1995

- Total Buildings: 553,000
- Total Floor Space: 12,076,000 sq ft

**Home Remodeling** - US Census 2003

- Total Bathrooms Remodeled: 6,302,000
- Households Spent Under \$1,000: 3,249,000
- Households Spent \$1,000 to \$2,999: 1,352,000
- Households spent over \$3,000: 596,000

**Miscellaneous Data**

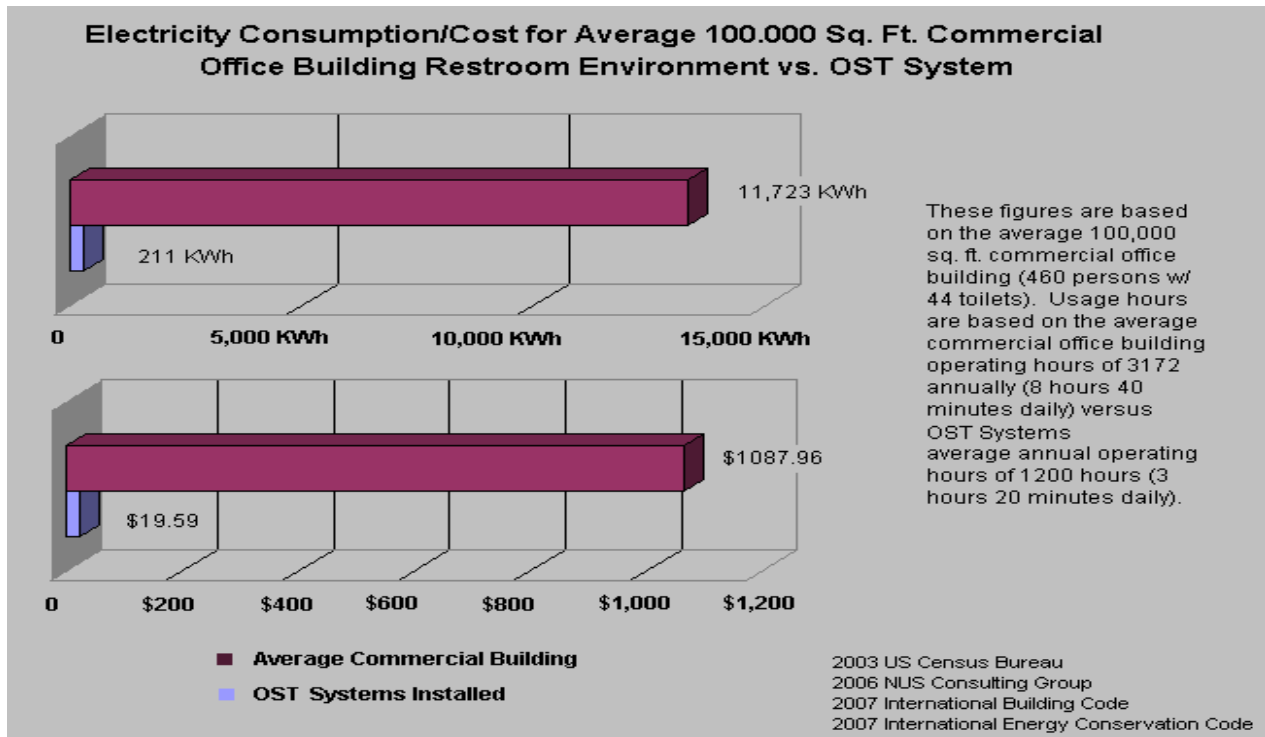
- Minimum Residential toilets in use in 2005: 176,712,000

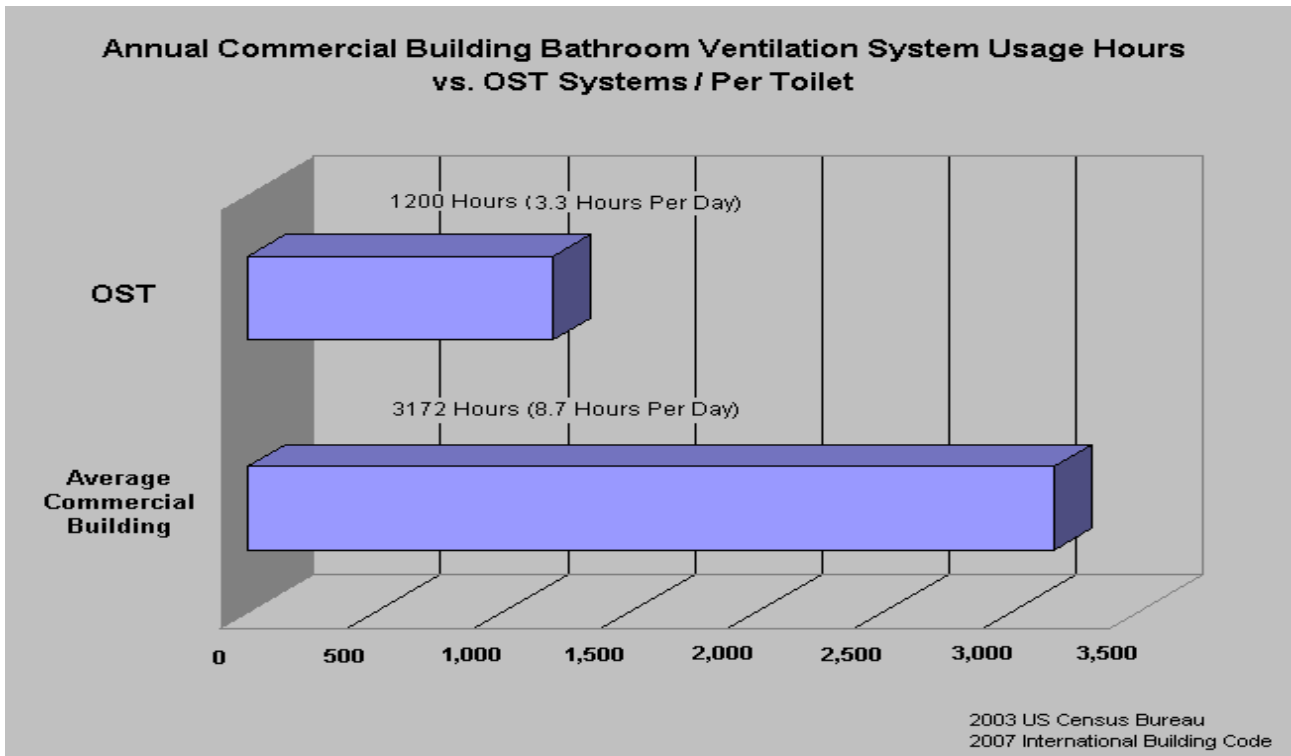
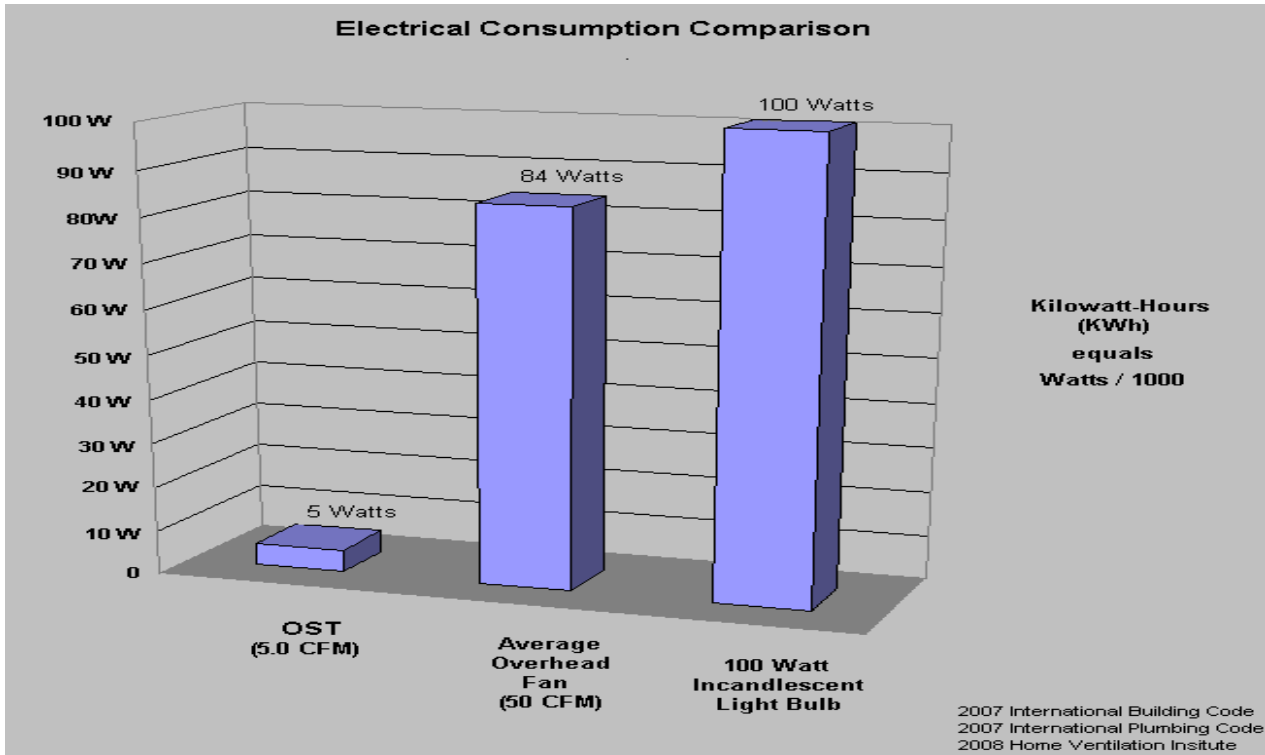


- Total US sales in bathroom air fresheners \$6,000,000,000

**Major competitors**

- SC Johnson
- Proctor and Gamble
- Dial Corp.
- Brondell
- 3M Corp.





## 6.0 Marketing Plan

### Objectives

Convincing consumers of the dangers of currently available air fresheners and the negative health effects their chemicals cause to human health – especially in children, is one of the tangible benefits of OST Systems:

This is critical to the sales strategy for direct sales calls on all market segments targeted in this plan. Any press, print or broadcast third party endorsements will be included in future sales and marketing plans.

Selling our service and support:

OST devices, while very easy to install and facilitate, will provide (fee based) training services for our larger commercial clients, such as our channel sales licensees and large corporate accounts. Simplifying the understanding and implementation of our commercial systems will help encourage the daily use and sales efforts of our products, while generating additional revenues for OST, our channel market resellers and increased ROI for our investors.

Build a relationship-oriented business:

For potential clients such as our channel market resellers and institutional consumers like Home Depot, Kaiser Permanente, and Costco, relationships will be important. We will become a revenue-generating producer for them, not just a vendor, making these market segments increasingly receptive to our offerings. We must effectively convey the potential monetary value of the relationship, as well as the intrinsic value in being able to offer green technology, energy conservation and user-friendly devices to their end-users and members.

Focus on target markets:

We will focus our sales and marketing efforts strategically in order to aggressively penetrate our target markets. As a start-up company, we believe direct sales (via website), the consumer market and channel sales will give us the quickest launch and penetration while immediately generating revenues to sustain our company's growth and expansion into other markets. The commercial market will be significant as we promote our commercial version products as also energy conserving, odor eliminating, and inhibiting airborne pathogens.

Fulfilling the promise:

We cannot just market and sell our products, service and support; we must actually deliver as well. We will make sure we have the technological knowledge we claim, while keeping up with evolving technologies to advance the capabilities of our newest products and services.

The entire theory behind OST products are the fact that they are quite inexpensive to manufacture and its purpose has the potential to be served by everyone in their residences, as well as in commercial establishments (restaurants, movie theaters, office buildings, hotels, hospitals, etc.). Therefore, the lower the retail price to the public, the more money that will actually be generated because more units will be sold at nearly all income levels, thus requiring increased consumable filter purchasing. It is our belief that initial gross production cost will not surpass \$35 per unit. Once these units are manufactured at a 10,000 per day or higher rate, the production costs will most likely fall to approximately \$15 - \$20 per unit.

The fact that our product will appeal to most people worldwide, not even considering commercial sales, domestic sales could easily generate billions of dollars in profits within a five to ten (5-10) year period. Of course, these figures do not include the consumables, which will eventually generate more profit than the main product itself.

OST strives to become the market leader in the new and emerging Automatic Toilet Ventilation Systems (ATVS) global arena.

OST will develop multiple profit generating departments such as retail outlets, product licensing, incremental innovations and eventually expand into other consumer solution product markets.

Some of our intended sales and marketing targets are:

- a. **Direct Sales** – website and future franchising
- b. **Diversified Sales Markets** – eBay, HSN, Bed, Bath & Beyond, etc.
- c. **Big Box Chains** – Home Depot, Costco, Lowe's, Target, etc.
- d. **Plumbing, Toilet, Janitorial and Maid Industry** – due to the ideal products we manufacture which require "installation" and the maintenance required in replacing filters, these would be the forefront service providers.
- e. **Institutional** – hospitals, inpatient care facilities, doctor offices, etc.
- f. **Real Estate Development and Building Maintenance Firms** – luxury home development industry, high-rise and commercial building maintenance firms, etc.
- g. **Hospitality and Restaurant industry** – hotel/motel chains, restaurant chains, etc.
- h. **Specialty Markets** – RV, oceanic cruise and other maritime, transportation (airline, rail and bus) and portable toilet industries, etc.
- i. **Non-Advertisement Endorsements** – CNET, Consumer Reports (other raters), talk shows (The View, Good Morning America), Facebook, website blogs, YouTube demonstration videos, etc.
- j. **Licensing** - with corporate manufacturers like SC Johnson, American Standard, Toto, Bemis, etc.
- k. **Government** – federal, state, local & military
- l. **Distributors**

### Initial Market Penetration

#### **Starwood Hotels**

- There are 566 hotels within the Starwood chain in the United States
- The average room count per hotel is approximately 600
- Approximate room count for Starwood is 339,600
- 339,600 units needed for 100% distribution

Approach – Present our product for test usage for the decision maker (General Manager) and for employees. After a predetermined time for testing and confirming that our product performs and satisfies them, we will attain a commitment on our offer...supply the *Westin San Francisco* with an agreed upon percentage of our units for their toilet count at no charge with the goal of obtaining a "letter of intent" from *Starwood Corporate* stating they will convert all of their hotels in the United States (over a predetermined period of time) with our product at cost...complete distribution. This will not include the cost of replacement filters.

#### **Commonwealth Hotel Chain**

- There are thirty-nine (39) hotels within the Commonwealth chain in the United States

- The average room count per hotel is approximately 350
- Approximate room count for Commonwealth is 13,650
- 13,650 units needed for 100% distribution

*Same as above...*

Approach – Present our product for test usage for the decision maker (General Manager) and for employees. After predetermined time for testing and confirming our product performs and satisfies them we will attain a commitment on our offer...supply the *Courtyard Marriott* in Vallejo, CA with an agreed upon percentage of our units for their toilet count at no charge with the goal of obtaining a "letter of intent" from *Commonwealth Corporate* stating they will convert all of their hotels in the U.S. (over a predetermined period of time) with our product at cost...complete distribution. This will not include the cost of replacement filters.

## 7.0 Assumptions and Bases

### Business Development

The overall revenue assumptions of this plan are based on OST's initial target market of approximately 0.5% of the US household population. This is based on the target market of 1% of the US household population that has an income of \$100,000 or more (52.28%).

The financial plan depends on important assumptions. The key underlying assumptions are:

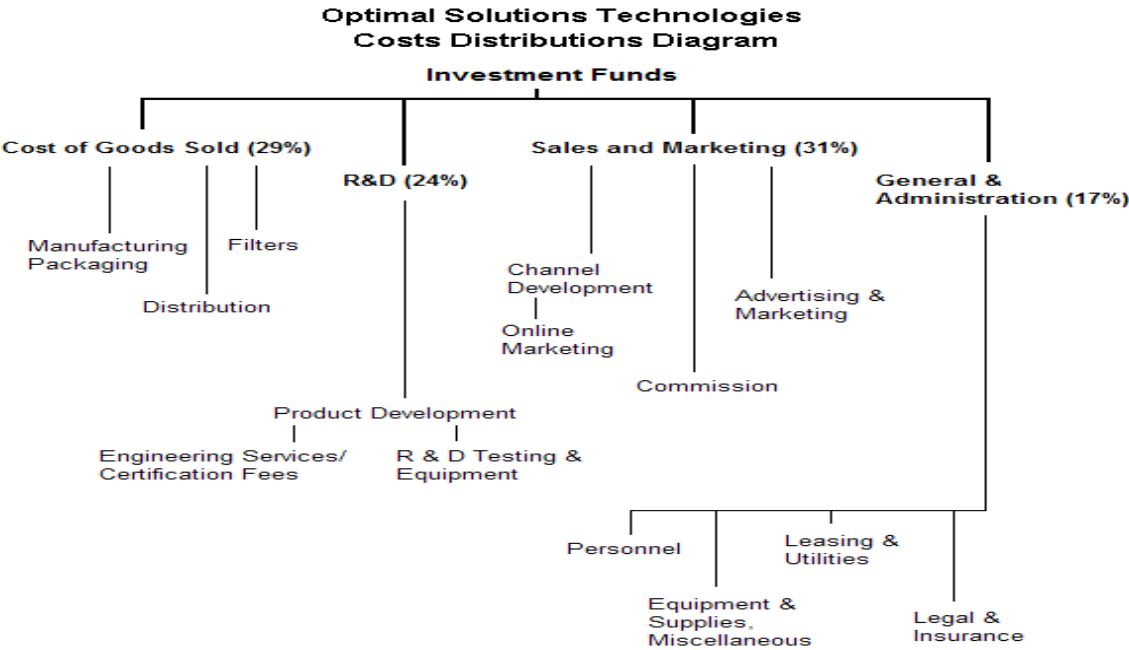
- A slow start as we educate potential customers about this new technology
- In contrast, we assume steady growth once the efficiency of our product and services are demonstrated
- There are no unforeseen changes in technology which could make products immediately obsolete, while newer technologies and in-house innovations will only advance the scope of our product line and target markets
- Access to financing sufficient to maintain our financial plan as shown in the tables
- Ability to self-fund and acquire loans for further growth after start-up financing is secured
- Maintaining or improving profit margins based on lower costs per unit for higher quantity production runs

There are 300 to 350 million toilets in use in the U.S. If OST can reach 10% of this toilet population, 30 million, at a \$30.00 profit the potential profit is \$900,000,000, not including consumables or accessories.

OST plan for success is also based on the following assumptions:

- The acceptance of our systems by the public, the business sector, hospitals and medical care facilities
- The ability to attract strong C-Level management to our team as needed
- Managing growth and production costs so as to maintain projected margins and cash flow
- Staying ahead of technological advances in this field, and reacting to these changes in a timely and efficient manner
- Managing the start-up of OST with minimal personnel until steady growth necessitates hiring additional department management and support staff
- Partnering with strong OEMs quickly in order to penetrate and dominate market share
- Increase product sales to several million dollars annually by the end of the third year
- Bring gross margin up and maintain that high level by the third year
- Improve inventory turnover on an ongoing basis, until "just-in-time" inventory is standard by the third year
- Focus on target marketing to increase market penetration and domination
- Expand target markets with controlled growth
- Establish brand awareness for the OST name and products
- Position ourselves as the leading Automatic Toilet Ventilation Systems company in the world

Our goal at OST is to use the funding we secure for the essential aspects indicated in the diagram below, in order to fulfill orders of working units and the required R&D that will propel the company to its expected potential. With sufficient capital, we are confident that we have the ability to become the market leader in our emerging field.



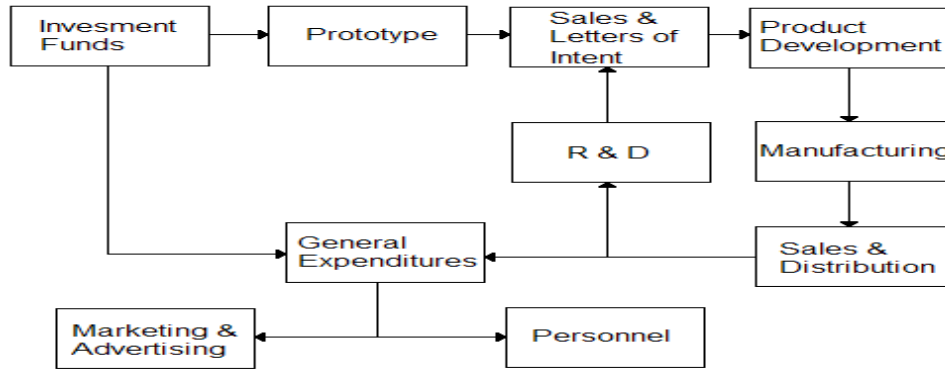
With the interest shown from at least three domestic international airports, the second largest petroleum company in the United States, and one of the largest global hotel management companies, OST will be poised to meet the demand of our initial influx of business. This will initially be accomplished through direct product sales, letters of intent for our commercial applications with moderate down payments when applicable, and a subsequent funding round if the market demand is beyond expected growth.

Our funding will allow us to aggressively market our products to ensure brand awareness through several marketing fields including, but not limited to, infomercials, radio, internet, and print advertisement. Of course, word of mouth and consumer demand will further drive our marketing goals, product interest and consumer purchasing.

One segment and the initial first product markets poised for penetration and branding recognition will be the hospitality and residential markets. Our initial sales targets will be web based sales, distribution of our units and replacement filters at big box chains (Costco, Wal-Mart, Home Depot, etc.). Sales to organizations of imminent need, such as international airports, other major hotel chains, the out-patient medical industry, and other large corporations seeking to take advantage of the benefits OST products will be our second stage market targets.

In order to minimize our start-up costs, we will continue to out source the manufacturing, industrial design and packaging of our devices until the product demand warrants a more profitable method of producing the quantities needed to fulfill sales orders.

**Optimal Solutions Technologies  
Investment Funds Overall Flow Chart**



**Channel Market to OEMs**

We will focus our efforts to license with OEM's like American Standard, Sloan, Bemis, etc. on a nationwide scale. We will emphasize our products' potential as an additional source of revenue for them, both at the front end for product sales, and in the case of bathroom toilet manufacturers, with recurring monthly revenues based on our consumable (Filter/Scent Cartridge). This should make our product very desirable as part of their product lines. By solidifying these licensing agreements, we will also enable cross-marketing back into the consumer market through their sales forces' efforts and their advertising, increasing our sales efforts nationwide without the expense of additional personnel to cover the entire U.S market. We believe that once licensed with these companies, our channel market licensees (resellers) will advertise OST systems as new features in their traditional outlets, primarily print advertising and in-house POS material, in order to increase mutual sales and brand awareness, benefiting both organizations.

**Business Market**

We will be marketing to businesses through traditional sales efforts, such as advertising in trade publications and establishing a presence at select trade shows geared towards businesses in our market segment. For the larger companies we target, we will offer the free use of a limited number of our products for a limited time, to prove their efficiency in controlling costs of electricity, in order to penetrate and gain market share in this segment. We believe once senior management of these businesses feel more in control of their electricity bills they will understand that they can, in essence, manage their expenses more efficiently than through traditional methods.

**Hospital and Care Facility Markets**

Our hospital and medical care facility markets will necessitate a slightly different and more personal approach through specific relationships we have developed with several individuals inside these market segments. We feel these markets are worth pursuing aggressively. We have had several discussions with hospital consultants who feel that hospitals are looking for a device such as what OST will be able to provide.

**Filter Cost & Profits**

Based upon filters costing OST approximately \$1.00 each and selling them for \$4.00 each would generate a 300% profit. Typical usage would be approximately four (4) filters per year / per seat (100 hrs. for a family of 4 in usage).

At ten (10%) of the U.S. consumer market, with the example above, purchases of OST filters per year would be approximately \$117.0 million in profit.

## **8.0 Management Team Profiles**

We believe our employees will be our greatest asset, and therefore, as we increase personnel, we will be looking only for individuals whose experience, skills, contacts and expertise will help foster the development and growth of our company. While there is a temptation to hire inexpensive personnel in order to further control costs, our philosophy is that there is a better rate of return in hiring more experienced personnel with expertise in areas we need, so they can immediately contribute to the company's goals and objectives.

OST'S day-to-day operations will be managed by a team of industry professionals that can effectively establish OST's requirements. OST believes this level of knowledge and experience is critical for its management, in order to fully and competently penetrate its target markets, considering the potential profits and growth. With OST's growth and capital infusion, the company will strive to attain C-level executives with the knowledge, experience and performance backgrounds that ensures OST's expected growth.

OST is a small company with a minimum command hierarchy and a maximum of community spirit and cooperation. Once profitable, we intend on donating a small percentage of proceeds to charitable causes that are within our target market(s), both as a measure of good will and as an added marketing leg. Despite the small size of this company, our business practices are centered on implementing our goals, never losing sight of profitability objectives and ROI for our investors.

### **Personnel Plan**

After the first year, we anticipate the need for additional personnel in the areas of office management, human resources and experienced technical sales professionals. We may hire these additional personnel on a part-time basis, and move into full time positions as warranted by the company's growth.

### **Management Team Profiles**

#### **Pending– Chief Executive Officer**

#### **James S. Sanabria – VP Product Development & Founder**

OST Inventor and Founder James S. Sanabria demonstrated mathematical and creative attributes to develop new inventions from a very young age. As an electrical engineer with San Francisco Municipal Railway (MUNI), James has demonstrated a high degree of safety consciousness with regard to equipment modifications and human interactions with equipment. His ten (16) years of employment responsibilities matched those of twenty (20) year veterans; having been recognized for his ability to learn and adapt and quickly rising in expertise. James Sanabria has also been recognized by MUNI, the City and County of San Francisco and the San Francisco Fire Department for stepping in and utilizing his expertise for literally saving lives while working for MUNI.

James has always been keenly interested in design, research and development. The invention of new and practical products that contribute to the good of society and humankind as a whole is what motivates James. James is a big picture guy who—rather than make a modest impact on the world—would prefer to make huge contributions that will change the world. To that end, he has worked unceasingly to manifest new and exciting ideas into tangible products that will—in a positive way—impact the daily lives of people everywhere.



**Marc-Andrew Aguilera – Chief Financial Officer**

With over twenty years of progressive financial and operational management experience, Marc-Andrew appreciates and thrives with teams committed to delivering their mission through sound and effective business practices, organizations that value and protect their resources, human and otherwise. He employs outstanding skill in leadership and management, communication and team-building. Marc-Andrew is an expert in development of infrastructure, planning and analysis, and business integrations. He is innovative and versatile, an astute planner and negotiator, and has proven success in evaluating and improving systems and procedures.

Marc-Andrew has served as the Chief Financial Officer for the the San Francisco Chamber of Commerce, the leading business advocacy organization in the city, as well a the Mexican Heritage Corporation, the bay area's prominent producer of Mexican cultural and artistic events. Following a degree in law from Boalt Hall, U.C. Berkeley, he built a finance career in various national and international, for-profit, multi-business unit corporations.

**Javan Devore – Chief Sales Director**

Javan brings over twenty three (23) years of experience as a top sales producer and production manager to OST. With a highly successful track record in the beverage and mortgage industries, Javan has consistently provided his clients with service that far exceeds their expectations thereby allowing him to translate business solutions into formidable and lasting relationships.

Through dedication and hard work, Javan has successfully recruited, hired & managed sales executives for the Builder Division at *American Home Mortgage*, while at the same time breaking national sales records and producing "Platinum" status numbers, thus setting the proper example for his sales force.

A stellar sales acumen along with extensive experience successfully managing regional and national accounts, price and proposal structuring and contract negotiation establishes Javan as an invaluable asset to the OST management team.

**Rick Harlow - National Sales Director**

Rick Harlow is a twenty five (25) year veteran of the technology industry and has extensive experience in working with start-up companies. His experience began with GTE Wireless as a telemetry specialist. Today Rick is a Machine to Machine Solutions Engineer in the telecommunications sector. His experience spans from the infancy of the wireless telecommunications industry to today's complex Machine to Machine solutions environment. Over the years he has worked with industry leaders in cross vertical functions to help them achieve their individual and organizational goals. Many of his successes come from being a team player and contributing his expertise to help organizations reduce operational expenses and increase efficiencies through the use of technologies. Rick has an undergraduate degree in business administration and was an honors graduate. In addition Rick is a thought leader in his field that is a trusted consultant to many international companies for their technology needs and consultants in the technology industry.

**Andree Ng – Technology Director**

Prior to joining OST, Andree was a consultant at Accenture. As a management consultant he provided methodologies and built financial models to identify and analyze the financial impact of loss to the clients' organizations. He dramatically scaled the infrastructure for such clients including: Boeing, CalPERS, Chevron, Disney, eBay, Master Card, Symantec, and Walmart, to increase operation efficiency. He created technical and business strategies alongside the client team. As a technology consultant, Andree developed technical roadmaps and led the clients' product development teams, while maintaining a strong culture of innovation.

Andree holds a bachelor's degree in electrical engineering from the University of California, Irvine, and a master's degree in electrical engineering with an emphasis in optoelectronics and photonics from the University of California, Santa Barbara. He also studied Management Science & Engineering with an emphasis in financial mathematics at Stanford University.

**Margaret McDonald – Operations Director**

Margaret has been employed as a litigation secretary for over twenty five (25) years and has worked in several large, well known firms, such as Graham & James, Brobeck, Phleger & Harrison, and Foley & Lardner LLP. Margaret has also worked in small boutique size firms, and was the office administrator at a small firm from 2003 to 2005. While there, she managed the office move from 100 Spear Street to One Market and coordinated the networking of the San Francisco and San Diego offices, among other large projects. While employed as a litigation secretary, Margaret has always supported senior partners, and with those assignments, has come a great deal of administrative duties and responsibilities, as most of those partners were managing partners, and/or chairs of various practice groups and most maintained ADR practices as well. Margaret is well versed in all aspects of civil litigation, and has been fortunate enough to have worked for both plaintiff and defense firms.

Prior to being employed in the legal field, Margaret worked in the insurance industry as an underwriter and claims adjuster, and went on to become the operations manager for a small branch office of an insurance company.

## 9.0 Analysis of Financial Projections

### Project Corvette Cash Basis Analysis

	Year 1	Year 2	Year 3	Year 4	
Unit Sales Price	40,000	94,000	111,000	72,000	= Inventory Surplus (Cumulative)
Filter Sales Price	10,000	90,000	199,000	325,000	= Units Sold (Annual)
Revenue	10,000	30,000	42,000	54,000	= Filter Inventory Surplus (Cumulative)
	20,000	180,000	348,000	348,000	= Filters Sold (Annual)
Unit Sales	1,000,000	9,000,000	19,900,000	32,500,000	
Filter Sales	160,000	1,440,000	2,784,000	2,784,000	
Total Sales	1,160,000	10,440,000	22,684,000	35,284,000	

### Expense

Production Units	50,000	144,000	216,000	286,000	Cost
Fan motors	152,500	439,200	658,800	915,915	\$ 3.05
Batteries	649,500	1,870,560	2,805,840	3,900,897	\$ 12.99
Filters	50,000	144,000	216,000	300,300	\$ 1.00
Electronics	112,500	324,000	486,000	675,675	\$ 2.25
AC Chargers	100,000	288,000	432,000	600,600	\$ 2.00
Injection molding	125,000	360,000	540,000	750,750	\$ 2.50
Packaging	137,500	396,000	594,000	825,825	\$ 2.75
Subtotal	1,327,000	3,503,280	5,732,640	7,969,962	\$ 26.54

Assembly Labor	\$ 3.50	175,000	504,000	756,000	1,051,050
Subtotal Unit Production Expense	\$ 30.04	1,502,000	4,007,280	6,488,640	9,021,012
Filter Units	30,000	30,000	200,000	360,000	360,000
Filters	\$ 1.00	30,000	200,000	360,000	378,000
Subtotal Filter Production Expense	\$ 1.00	30,000	200,000	360,000	378,000

Personnel Tax & EB load = 20%

<i>Product Development</i>					
Personnel		165,000	165,000	165,000	165,000
CTO		-	75,000	75,000	75,000
Prod Engineer		-	85,000	85,000	85,000
CAD Des/Prod Mgr		33,000	65,000	65,000	65,000
Tax & EB		198,000	390,000	390,000	390,000
Subtotal Prod Dev't Personnel		70,000	-	-	-
Engineering Services		20,000	20,000	20,000	20,000
Technical Drawings		15,000	15,000	15,000	15,000
T&E		1,233,333	766,667	300,000	300,000
R&D Expense (Testing Equipment/R&D)		1,536,333	1,191,667	725,000	725,000
Subtotal Product Development					

<i>Fulfillment &amp; Operations</i>					
Personnel		33,750	45,000	90,000	90,000
Fulfillment		6,750	9,000	18,000	18,000
Tax & EB		40,500	54,000	108,000	108,000
Subtotal Sales Personnel		46,500	418,500	925,350	1,511,250
Unit Delivery	Avg cost =	\$ 4.65			
Filter Delivery	Cost =	\$ 2.00	360,000	696,000	696,000

Distributor Fees	151,000	1,044,000	2,268,400	3,528,400
Product Return Allowance	40,000	360,000	796,000	1,300,000
T&E	10,000	10,000	10,000	10,000
<i>Subtotal Fulfillment &amp; Operations</i>	<i>328,000</i>	<i>2,246,500</i>	<i>4,803,750</i>	<i>7,153,650</i>
<i>Sales</i>				
Personnel	125,000	125,000	125,000	125,000
VP Sales	-	80,000	80,000	80,000
Dir Channel	-	60,000	60,000	60,000
Inside Sales Mgr	25,000	53,000	53,000	53,000
Tax & EB	150,000	318,000	318,000	318,000
Subtotal Sales Personnel	130,000	1,170,000	2,587,000	4,225,000
Commission	100,000	200,000	200,000	200,000
Channel Development	20,000	20,000	20,000	20,000
Printing & Production (collateral)	10,000	10,000	10,000	10,000
T&E	410,000	1,718,000	3,135,000	4,773,000
<i>Subtotal Sales</i>				
<i>Marketing</i>				
Personnel	120,000	120,000	120,000	120,000
VP Marketing	-	80,000	80,000	80,000
Marketing PR Manager	75,000	90,000	90,000	90,000
Online Marketing	39,000	58,000	58,000	58,000
Tax & EB	234,000	348,000	348,000	348,000
Subtotal Marketing Personnel	30,000	30,000	70,000	150,000
Advertising	200,000	500,000	500,000	500,000
Marketing	15,000	15,000	15,000	15,000
Dues & Subs (Association Fees)	479,000	893,000	933,000	1,013,000
<i>Subtotal Marketing</i>				
<i>Executive &amp; Administration</i>				
Personnel	180,000	180,000	180,000	180,000
CEO				

4%

13%

CFO/COO	150,000	150,000	150,000	150,000	150,000
Dir Ops	145,000	145,000	145,000	145,000	145,000
Dir Int Ops	-	80,000	80,000	80,000	80,000
IT Manager	-	90,000	90,000	90,000	90,000
Tax & EB	95,000	129,000	129,000	129,000	129,000
Subtotal E&A Personnel	570,000	774,000	774,000	774,000	774,000
Professional Services					
Audit	-	15,000	15,000	15,000	15,000
HR	2,000	2,000	2,000	2,000	2,000
Accounting	15,600	15,600	15,600	15,600	15,600
Payroll	4,800	4,800	4,800	4,800	4,800
Subtotal Prof Servs	22,400	37,400	37,400	37,400	37,400
T&E	30,000	15,000	15,000	15,000	15,000
Occupancy	120,000	120,000	120,000	120,000	120,000
Lease Escalation Costs	12,000	12,000	12,000	12,000	12,000
Utilities	18,000	18,000	18,000	18,000	18,000
Communications (cell phones, etc.)	10,000	10,000	10,000	10,000	10,000
Insurance (Gen'l Liab/D&/content/IP??)	30,000	30,000	30,000	30,000	30,000
Legal Fees	20,000	20,000	20,000	20,000	20,000
Taxes					
Sales/Income	116,000	1,044,000	2,268,400	3,528,400	3,528,400
Municipal/Local	23,200	208,800	453,680	705,680	705,680
Property	-	4,600	1,000	880	880
Subtotal Taxes	139,200	1,257,400	2,723,080	4,234,960	4,234,960
Equipment	50,000	5,000	10,000	10,000	10,000
Software (CRM/HRIS/Sales/Acctg)	50,000	20,000	10,000	10,000	10,000
Data Redundancy	15,000	15,000	15,000	15,000	15,000
Office Furniture	15,000	-	2,000	2,000	2,000
Training & Consultants (Year 1 primarily)	112,000	12,000	12,000	12,000	12,000
CEO Services Rendered	-	-	-	-	-
Internet (website/development/ecomm)	110,000	10,000	10,000	10,000	10,000
Supplies & Printing	10,000	10,000	10,000	10,000	10,000
Patent Fees (3 Product Buildouts)	25,000	10,000	10,000	10,000	10,000

Rate (?) = 10%  
Rate (?) = 2%  
Rate (?) = 4%

<i>Subtotal Executive &amp; Administration</i>	1,358,600	2,375,800	3,838,480	5,350,360
<b>Total Expense</b>	<b>5,643,933</b>	<b>12,632,247</b>	<b>20,283,870</b>	<b>28,414,022</b>
<b>Cash Net</b>	<b>(4,483,933)</b>	<b>(2,192,247)</b>	<b>2,400,130</b>	<b>6,869,978</b>
			11%	19%



**Kimo Casey, CEO**

E: [REDACTED]  
M: [REDACTED]

**Responsibilities:**

Overall strategy of business. Establish primary goals of the Board. Introduce game plan and initiate implementation of action items on this list.  
Formulate short-term & long-term game plan for company, get board approval and communicate plan to key personnel, suppliers, lenders, etc.  
Prioritize top ten action items for the whole company and begin implementation. Identify top goals for the company for the current month, quarter and year.

**James Sanabria, VP Product Development & Company founder**

E: [REDACTED]  
M: [REDACTED]

**Responsibilities:**

All product development, R&D, testing, scientific community relations, technical evangelist. Identify and develop new products and services that profitably serve our target market. Formalize and manage the product development process from end to end, including idea generation, concept development and approval, and launch execution. Develop detailed product description documents that provide clear and thorough requirements for the key support functions in design, production & technology. Serve as the project manager for all phases of the development process, including working closely with Editorial, Design, Technology, Finance and the executive team to bring a product to successful launch on-time and on-budget.

**Marc-Andrew Aguilera, CFO**

[REDACTED]

**Responsibilities:**

Marc-Andrew is the chief financial officer and the corporate officer primarily responsible for managing the financial risks of the business. Marc-Andrew is also responsible for financial planning and record-keeping, as well as financial reporting to higher management, as well as communicating financial performance and forecasts to the board and analyst community.

**Margaret McDonald, Director of Operations**

[REDACTED]

**Responsibilities:**

Margaret is responsible for the implementation, management, supervision and evaluation of all of the organization's programs, including operational assistance in bringing products to market, ensuring accurate order fulfillment, in accordance with the standards and procedures set out by the organization. The Director of Operations participates in strategic planning and budgeting initiatives in addition to problem solving. He/she works within the guidelines, policies and mission of the organization and will be accountable and responsible for specific projects as assigned, including support of senior management.

**Javan Devore, Director of Sales**

[REDACTED]

**Responsibilities:**

Javan will develop and implement strategies for growth that will meet and exceed sales targets. Analyze new and existing customers' needs with or without input from the customer, create a



concept, assist in formulation, conceptualize marketing approach, close customer on total concept and follow project to completion. Will develop and present technical information in an easy to understand manner and secure retail customers (large accounts) contracts for product distribution.

**Thomas Poeschl, Corporate Counsel**



**Responsibilities:**

Although technically not an employee of ATI, Tom will be handling all legal issues for the company on a retainer basis in the beginning. Kimo will also lean on Tom for legal advice prior to the launch or new products, marketing materials and press related items.

**Anne Steinemann PhD, Board Member**

Dr. Steinemann is one of the world's leading scientist in the area of air quality including airborne pathogens and the dangers of air fresheners and their contribution to global warming.

You can learn more about here at:

[http://www.ce.washington.edu/people/faculty/bios/steinemann\\_a.html](http://www.ce.washington.edu/people/faculty/bios/steinemann_a.html)

## Optimal Solutions Technologies

SCHEDULE A  
Class A Interest Members  
As of June 1, 2013

<b>Member</b>	<b>Initial Capital Contribution</b>	<b>Future Capital Commitment</b>	<b>Number of Class A Capital Units</b>	<b>Percentage Interest</b>
<b>James Sanabria</b> and/or assignee  Initial Member	License to U.S. residential market pending Patent Ref Docket No. 28404.00, and Services	\$0.00	<b>395,550</b>	<b>39.555%</b>
<b>Javan Devore</b>	Services	\$0.00	<b>30,000</b>	<b>3%</b>
<b>Margaret McDonald</b>	Services	\$0.00	<b>30,000</b>	<b>3%</b>
<b>Rick Harlow</b> Initial Member	Services	\$0.00	<b>30,000</b>	<b>3%</b>
<b>Marc-Andrew Aguillara</b>	Services	\$0.00	<b>13,000</b>	<b>1.3%</b>
<b>Andree Ng</b>	Services	\$0.00	<b>10,000</b>	<b>1%</b>
<b>Chris Calderon</b> Initial Member.	Services	\$0.00	<b>500</b>	<b>0.05%</b>
<b>Erwin Solarzano</b> Initial Member	Services	\$0.00	<b>500</b>	<b>0.05%</b>
<b>Adam Hassett</b>	\$5,000	\$0.00	<b>500</b>	<b>0.05%</b>
<b>Shannon Cornejo</b>	Services & \$10,000	\$0.00	<b>2,000</b>	<b>0.2%</b>
<b>Mike Ellis</b>	\$1,000	\$0.00	<b>100</b>	<b>0.01%</b>
<b>Mark Mardahl</b>	\$1,000	\$0.00	<b>100</b>	<b>0.01%</b>
<b>Susannah Prescott</b>	\$1,000	\$0.00	<b>100</b>	<b>0.01%</b>
<b>Xina Lyons</b> Initial Member	Services	\$0.00	<b>100</b>	<b>0.01%</b>
Available <b>Unissued Units</b>	N/A	N/A	<b>490,000</b>	<b>49.0%</b>



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(19) **United States**

(12) **Patent Application Publication**  
**Sanabria**

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(54) **TOILET VENTILATION SYSTEM**

**Publication Classification**

(76) **Inventor:** James S. Sanabria, San Francisco, CA (US)

(51) **Int. Cl.**  
*E03D 9/05* (2006.01)

(52) **U.S. Cl.** ..... 4/213; 4/217

(57) **ABSTRACT**

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**P.O. BOX 15035, CRYSTAL CITY STATION**  
**ARLINGTON, VA 22215**

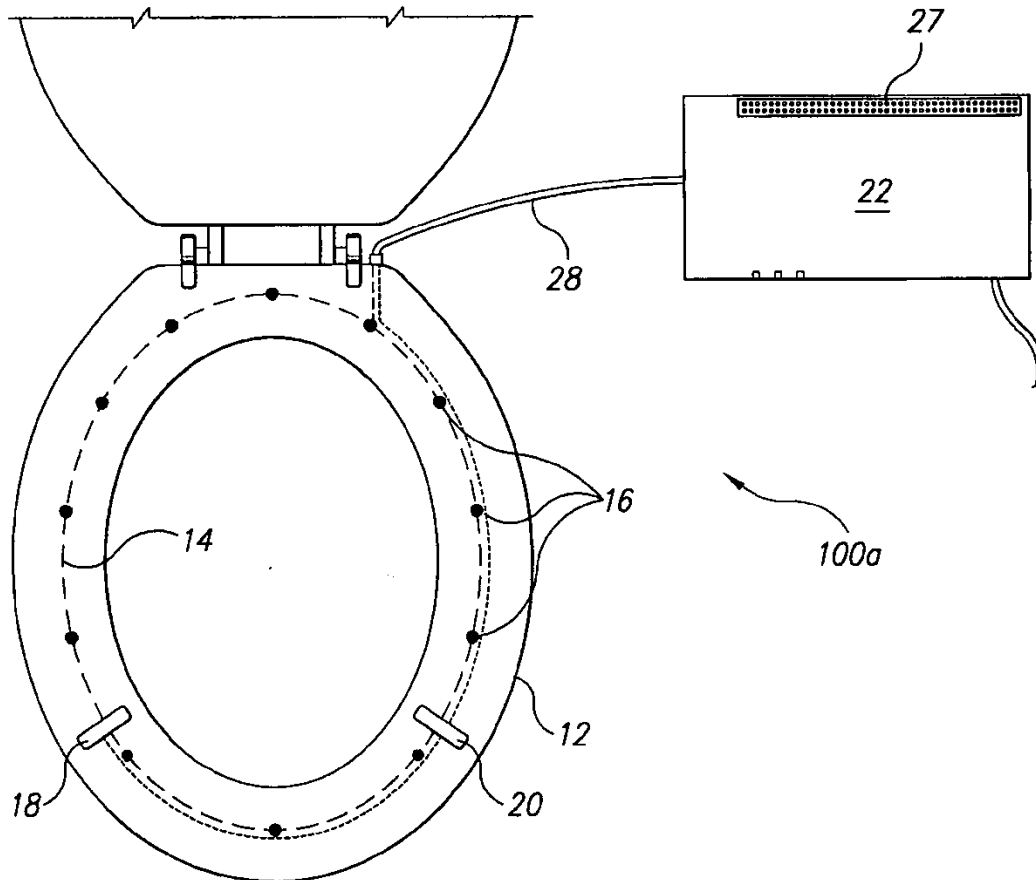
The toilet ventilation system includes at least one toilet seat having an interior air channel disposed through the entire circumference of the seat and a plurality of apertures disposed through the bottom surface communicating with the interior channel. A vacuum pump is connected to the channel by tubing. A plurality of microswitches are attached to the bottom of the toilet seat, including a standby switch that turns the pump on when the seat is lowered onto the bowl, a pressure switch that activates the pump when a person is seated on the toilet, and a water switch that shuts the pump off in the event of a toilet overflow. The pump features microcontroller operation, has an activated charcoal filter for removing odors from air pumped away from the mouth of the toilet bowl, and is powered either by a wall transformer with built-in GFCI protection or by rechargeable batteries.

(21) **Appl. No.:** 11/812,959

(22) **Filed:** Jun. 22, 2007

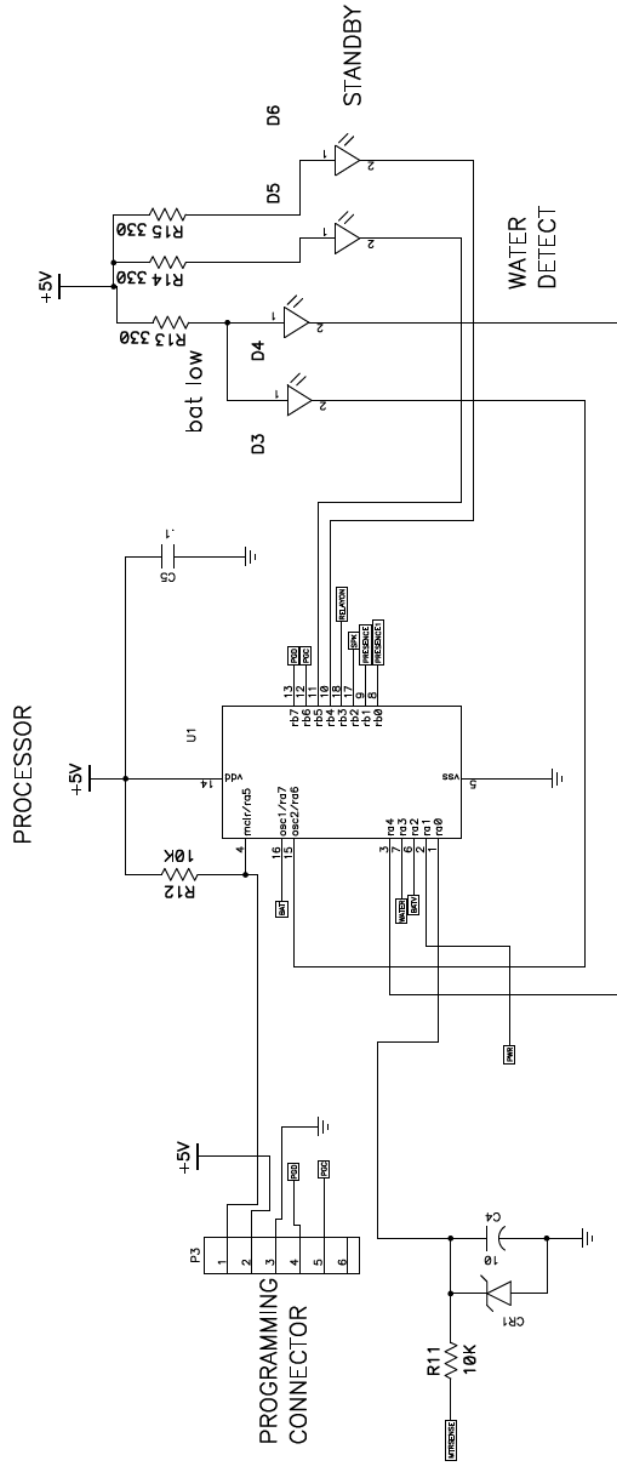
**Related U.S. Application Data**

(60) **Provisional application No. 60/816,636, filed on Jun. 27, 2006.**





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 SaniThrone LLC





# JAMES S. SANABRIA

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## **SUMMARY**

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- ◆ Founder and Inventor | **Astradero Technologies, Inc.**
- ◆ Engineering Support Supervisor | **San Francisco Municipal Railway**
- ◆ Electrical Transit Systems Mechanic | **San Francisco Municipal Railway**
- ◆ Commercial Electrician | **Tandem Electric**
- ◆ Electronic/Mechanical Technician | **Self Employed**

## **EXPERIENCE**

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**Currently VP of Product Development, Astradero Technologies, Inc.**

**Astradero Technologies, Inc. (formerly SaniThrone, LLC) | San Francisco, CA**  
*Startup company focusing on green and clean technologies in air hazard reductions.*

**Founder, Inventor and VP Product Development** **6/06 - Present**

- ◆ Inventor and Technical Designer of odor and disease reducing filter technology.
- ◆ Designed product from concept to prototype including electronic circuitry, motor, design, filter and airflow dynamics.
- ◆ Created a working prototype that eliminates 100% of odor and traps 99.9% of organic and synthetic airborne particles.
- ◆ Formed company.
- ◆ Assembled experienced management team.

**San Francisco Municipal Railway | San Francisco, CA**

*Citywide public transportation agency for the City and County of San Francisco, CA.*

**Supervisor, Engineering Support** **1/04- 1/06**

- ◆ Managed and supervised a staff of 3 engineers and over 20 technicians and mechanics.
- ◆ Lead subordinates in the troubleshooting and repair of Breda LRV (Light Rail Vehicles) that were beyond the ability of repair by maintenance staff.
- ◆ Instructed electrical theory and troubleshooting techniques to employees under my lead.
- ◆ Designed and lead fleet-wide BRED A LRV modifications with the purpose of increased LRV reliability, reduction of emergency situations and improved Automatic Train Control System (ATCS) interface between LRV's and Central Control.
- ◆ Responsible for installation, testing and acceptance of pre-modifications, equipment updates and failure analysis.
- ◆ Responsible for and provided detailed reports and analysis results for Engineering and System Safety Departments.
- ◆ Under my lead, our team was responsible with an overall 34% reduction in failures related to propulsion and braking systems on the Breda LRV fleet.

- ◆ Honored multiple times by the San Francisco Fire Department (SFFD) and San Francisco Municipal Transportation Agency (SFMTA) for providing initial life saving action on 3 different occasions.

**San Francisco Municipal Railway | San Francisco, CA**

*Citywide public transportation agency for the City and County of San Francisco, CA.*

**Electrical Transit System Mechanic**

**1/98- 1/04**

- ◆ Maintained, repaired, calibrated, troubleshot and modified electronic and high voltage electrical systems and sub-systems.
- ◆ Maintained, repaired, calibrated, troubleshot and modified mechanical, pneumatic and hydraulic systems.
- ◆ Founding Member, MRU-Mobile Response Unit, a citywide emergency response team responsible for all aspects of revenue-service LRV emergencies and moderate to major delay situations.
- ◆ Performed detailed system and wiring updates.

**Tandem Electric | South San Francisco, CA**

*Private Commercial electrical contractor company.*

**Commercial Electrician**

**3/97- 12/97**

- ◆ Installation, repair, calibration and maintenance of Vantage Electronic Control Systems.
- ◆ Installation of 120 VAC to 1200 VAC 3  $\phi$  distribution panels, terminations and sub-systems.
- ◆ All duties required of a journeyman-level electrician.

**EDUCATION**

- 
- |  |      |
|--|------|
| <input type="checkbox"/> San Francisco State University, Electrical Engineering      | 1990 |
| <input type="checkbox"/> Creekside Adult Education, Vocational Electronics, Ione, CA | 1994 |

**REFERENCES**

- 
- ◆ Excellent technical references available upon request.

**GENERAL**

- 
- ◆ 40 years old, Married, 3 children







**SANITHRONE**

January 1, 2008

# Employee Handbook



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# WELCOME TO SANITHRONE, LLC

On behalf of myself and your new colleagues, welcome to SaniThrone, LLC. We are happy to have you as a new member of our team!

SaniThrone has earned a reputation as a leader in the industry. We are successful because of the individual contributions made by each of our employees. You were selected to join SaniThrone LLC's team because we feel you have the skills, ability and commitment needed to help us deliver the finest service available to our customers. Since founding SaniThrone, LLC, we have held to a very simple philosophy: exceptional service to our customers in order to keep our customers. We want to ensure that these relationships continue well into the future.

We hope you will find your job challenging and rewarding and will enjoy with us the special feelings of satisfaction that comes with doing a job well.

This handbook will explain many of the benefits you will enjoy as a SaniThrone, LLC employee, and some of the rules and regulations that enable our Company to run smoothly. If you have any questions, or if there is something we can do to help you succeed and grow with us, please contact the Management.

We extend to you our personal best wishes for your success and career development as a member of SaniThrone, LLC.

Sincerely,

A handwritten signature in black ink, appearing to read 'James S. Sanabria', with a long horizontal flourish extending to the right.

**SaniThrone, LLC**

**James S. Sanabria,**

**President and CEO**





# **SANITHRONE, LLC PERSONNEL POLICY MANUAL**

This handbook is designed to be a summary of personnel policies and practices as they apply to all SaniThrone personnel, unless otherwise provided in a valid and enforceable collective bargaining agreement. Although this handbook is not a contract or legal document, it does provide a working guide for use in understanding and applying all policies and practices. It is meant to be helpful to all employees and their supervisors.

Please understand that circumstances may arise requiring changes in the policies, practices and benefits described in this manual. Accordingly, SaniThrone reserves the right to amend the contents as it deems appropriate.

Should any provision in this Employee Handbook be found to be unenforceable or invalid, such finding does not invalidate the entire Employee Handbook, but only that particular provision.

This Employee Handbook replaces and supersedes any and all other SaniThrone Employee Handbooks, or other SaniThrone policies, whether written or verbal, except valid and enforceable collective bargaining agreements or specifically signed and dated SaniThrone policy agreements.

**This manual does not constitute a contract of employment.**

**All employees of SaniThrone, LLC are employees at-will, unless the terms and conditions of your employment are otherwise provided for in a valid and enforceable collective bargaining agreement.**



## **MISSION STATEMENT**

SaniThrone's commitment is to help all people live healthier lives by making toilet sanitation safer through the state of the art SaniThrone systems that will eliminate offensive bathroom odor and kill airborne bacteria and viruses.

## **COMPANY STATEMENT**

SaniThrone succeeds by delivering outstanding performance.

We believe in service beyond expectation, achieved through a constant desire to anticipate and fulfill evolving customer needs.

The honesty, intelligence and commitment of our people are vital to SaniThrone's mission. We share pride in the Company and respect each individual's contribution at every level.

Exemplary customer relationships drive SaniThrone's growth and prosperity.

SaniThrone is dedicated to pushing the limits of excellence, standing at the forefront to provide the finest and healthiest environments attainable in the industry.

SaniThrone, LLC always strives to exceed its best.



## **WHAT YOU CAN EXPECT FROM SANITHRONE, LLC**

SaniThrone, LLC believes in creating a harmonious working relationship among all employees. In pursuit of this goal, SaniThrone has created the following employee relations objectives:

1. Provide an exciting, challenging and rewarding workplace and experience.
2. Select qualified people on the basis of skill, training, ability, attitude and character regardless of age, sex, color, race, creed, national origin, religion, marital status, citizenship status, ancestry, sexual orientation, affectional preference, physical or mental disability, veteran status, or any other classification protected by law.
3. Review wages, employee benefits and working conditions regularly with the objective of being competitive in these areas consistent with sound business practices.
4. Provide eligible employees with Paid Time Off (PTO) and holidays consistent with the policy contained herein.
5. Provide eligible employees with health and welfare benefits consistent with the policy contained herein.
6. Assure employees, after talking with their manager, an opportunity to discuss any issue or problem with the Management, to the extent practicable.
7. Take prompt and remedial action in response to complaints brought to the attention of supervisory personnel and the Management, to the extent practicable.
8. Respect individual rights and treat all employees with dignity and respect.
9. Maintain mutual respect in our working relationship.
10. Provide a workplace that is comfortable, orderly and safe.
11. Promote employees on the basis of their ability and merit.
12. Keep employees informed of the progress of SaniThrone as well as its overall goals and objectives.
13. Promote an atmosphere in keeping with SaniThrone's vision, mission and goals.

## **WHAT SANITHRONE, LLC EXPECTS FROM YOU**

SaniThrone needs your help in making each working day as satisfying and rewarding as possible. Your first responsibility is to know your own duties and how to do them promptly, correctly and pleasantly. Secondly, you are expected to cooperate with management and your fellow employees which includes maintaining a good team attitude.

How you interact with fellow employees and those whom SaniThrone serves, and how you accept direction can affect the success of your department. In turn, the performance of one department can impact the entire service offered by SaniThrone. Consequently, whatever your position, you have an important assignment: perform every task to the very best of your ability.

You are encouraged to grasp the opportunities for personal development that are offered to you. This Employee Handbook offers insight on how you can perform positively and to the best of your ability to meet and exceed SaniThrone's expectations.

SaniThrone expects all employees to be responsible for their own actions and to maintain standards of performance and behavior that reflects SaniThrone's status in the industry. It is your responsibility to make sure you understand the standard of performance and behavior expected, and to conduct yourself accordingly.

We strongly believe you should have the right to make your own choices in matters that concern and control your life. We believe in direct access to management. We are dedicated to making SaniThrone a company where you can approach your manager, or any member of management, to discuss any problem or question. We expect you to voice your opinions and contribute your suggestions to improve the quality of SaniThrone. We're all human, so please communicate with each other and with management.

Remember, you help create the pleasant and safe working conditions that SaniThrone intends for you. The result will be better performance for SaniThrone overall, and more personal satisfaction for you.

## **EQUAL EMPLOYMENT OPPORTUNITY**

SaniThrone's continuing policy is to afford Equal Employment Opportunity to qualified individuals regardless of their race, color, sex, religion, age, creed, marital status, national origin, ancestry, physical or mental disability, sexual orientation, affectional preference, veteran status or citizenship status, or any other classification protected by law. This policy of equal opportunity encompasses all aspects of the employment relationships, including applications and initial employment, promotion and transfer, selection for training opportunities, wage/salary administration, recruiting, hiring, reassignments, sponsored training, compensation, benefits, layoff and rehires, termination of employment, recreation programs, and the application of services, retirement, seniority, employee benefit plan policies and other terms and conditions of employment as provided by law.

The Management is responsible for administering SaniThrone's Equal Employment Opportunity Program and shall perform the following duties:

- Develop policy statements, Equal Employment programs, internal and external communication techniques and programs;
- Assist in the identification of problem areas;
- Assist management in arriving at a solution to problems;
- Design and implement audit and reporting systems that will:
  - a) measure effectiveness of the policy and implementing programs, including supervisors and management's adherence to the Equal Employment Opportunity policy;
  - b) indicate need for remedial action;
  - c) determine the degree to which the Equal Employment objectives have been met;
- Serve as liaison between SaniThrone and enforcement agencies;
- Serve as liaison between SaniThrone and minority organizations, women's organizations, advocate organizations for other protected groups and community action groups concerned with Equal Employment Opportunity;
- Ensure adherence to this policy by periodically submitting reports to management for supervisory personnel that shall include ratings on their Equal Employment Opportunity Progress according to SaniThrone's corporate principles.

SaniThrone, LLC, as part of its commitment to Equal Employment Opportunity, adheres to all City, State and Federal laws with respect to Equal Employment Opportunity.

However, if anyone feels that they have been treated unfairly in any aspect of their employment, we want to assure you that you have an opportunity to present your concerns. The Management for SaniThrone will make special efforts to ensure that all supervisory personnel understand and effectively implement this policy. Supervisory employees will be evaluated on their adherence and commitment to this policy.

Further, all complaints of discriminatory treatment in violation of this policy must be brought to the attention of the Management so that an internal investigation may be undertaken promptly. At the conclusion of an investigation and/or within a reasonable time thereafter, the Management will contact the employee(s) and communicate their findings, if appropriate. Any employee, including managers, involved in, or condoning, discriminatory practices will be disciplined up to and including termination.

We must all realize that it is the responsibility of each and every employee of SaniThrone to give our policy of Equal Employment Opportunity real meaning through our full support.

All members of management are primarily responsible for seeing that SaniThrone's Equal Employment policies are implemented, but all staff share in the responsibility for assuring that by their personal actions the policies are effective and apply uniformly to everyone.

## **CUSTOMER RELATIONS**

The success of SaniThrone depends upon the quality of the relationships between SaniThrone, our employees, customers, owner's representatives, and the general public. Our customers' impression of SaniThrone and their interest and willingness to stay with us is greatly formed by the people who serve them. In a sense, regardless of your position, you are SaniThrone's ambassador. The more goodwill you promote, the more our clients will respect and appreciate you, SaniThrone, and our services.

Below are several things you can do to help give clients a good impression of SaniThrone. These are the building blocks for our continued success.

1. Act competently and deal with clients in a courteous and respectful manner.
2. Communicate pleasantly and respectfully with other employees at all times.
3. Follow up on orders and questions promptly, provide businesslike replies to inquiries and requests, and perform all duties in an orderly manner.
4. Take great pride in your work and enjoy doing your very best.

These policies apply to all areas of employment, including recruitment, hiring, training and development, promotion, transfer, termination, layoff, compensation benefits, social and recreational programs, and all other conditions and privileges of employment in accordance with applicable federal, state and local laws, unless otherwise provided in a valid and enforceable collective bargaining agreement.



## **ORIENTATION**

Your first few weeks on the job are very important and starting any new job requires a period of adjustment. You will meet many people and learn new procedures, some of which may be detailed and complicated. Therefore, the pace at SaniThrone may be faster than the one to which you may have been accustomed.

To gain a thorough knowledge of the operations of SaniThrone, it is essential that you ask questions. During busy times, make a note of questions you have, and discuss them later with your manager. Please do not relay to others information that you are not certain about. Take the initiative to learn all you can, because those who are successful in this dynamic business never stop learning and adding to their store of knowledge.

SaniThrone provides a brief orientation at the time you begin employment and fill out your paperwork. In addition, a formal group orientation meeting is held periodically. You will be notified as to when you should attend this meeting. However, your department is primarily responsible for ensuring that you have what you need in order to perform your job appropriately.

## **IMMIGRATION LAW COMPLIANCE**

All offers of employment are contingent on verification of your right to work in the United States. On your first day of work you will be asked to provide original documents verifying your right to work and, as required by federal law, to sign a Federal Form I-9, Employment Eligibility Verification Form. If you at any time cannot verify your right to work in the United States, SaniThrone, LLC may be required to terminate your employment and take such other action as required by law.

## **EMPLOYEE RECORDS**

Your employee records are maintained by the local Management. It is important that the following information be kept up-to-date.

- Legal name
- Home address
- Home telephone number

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- Person to contact in case of emergency
- Change of beneficiary
- Social Security number
- Driving record or status of driver's license, if driving privileges are a part of your job responsibilities.

- Exemptions on your W-4 tax form.
- Training certificates or licenses maintained

Please be sure to notify the Management if there are any changes which may affect the above, so your records can be updated accordingly.

## **OPPORTUNITIES FOR ADVANCEMENT**

It is our policy to provide opportunities for promotion to our employees that are within our Equal Employment Opportunity guidelines.

While there is no formal career development policy, the first criterion for any promotion is to consistently do a good job in your current assignment. Secondly, you must let your manager know you are interested in more responsibility and discuss methods for your development. Continuing your education is another positive step. The Management can help you explore other factors affecting your career development.

## **NON-HARASSMENT POLICY**

SaniThrone strives to provide a work environment that is pleasant, professional, and free from intimidation, hostility or other offenses which might interfere with work performance. Harassment of any sort - verbal, physical, visual - will not be tolerated.

### **1. What is Harassment?**

Workplace harassment can take many forms. It may be, but is not limited to, words, signs, offensive jokes, cartoons, pictures, posters, e-mail jokes or statements, pranks, intimidation, physical assaults or contact, or violence. Harassment is not necessarily sexual in nature. It may also take the form of other vocal activity including derogatory statements not directed to the targeted individual but taking the place within their hearing. Other prohibited conduct includes written material such as notes, photographs, cartoons, articles of a harassing or offensive nature, and taking retaliatory action against an employee for discussing or making a harassment complaint.

### **2. Responsibility**

All employees, regardless of their position(s), have a responsibility for keeping our work

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environment free of harassment. Any employee who becomes aware of an incident of harassment, whether by witnessing the incident or being told of it, must report it to their immediate supervisor or the Management. When management becomes aware of the existence of harassment, it is obligated by law to take prompt and appropriate action, whether or not the victim wants SaniThrone to do so.

### **3. Reporting**

Any incidents of harassment must be immediately reported to their immediate supervisor or the Management. Upon receiving a report of harassment, an appropriate investigation and disciplinary action will be taken, if appropriate. All reports will be promptly investigated with due regard for the privacy of everyone involved. However, confidentiality cannot be guaranteed. Any employee found to have harassed a fellow employee or subordinate will be subject to severe disciplinary action up to and including termination. SaniThrone will also take any additional action necessary to appropriately remedy the situation. Retaliation of any sort will not be permitted. No adverse employment action will be taken for any employee making a good faith report of alleged harassment.

## **SEXUAL HARASSMENT POLICY**

### **1. Statement of Purpose and Scope**

SaniThrone is committed to maintaining a work environment free of unlawful discrimination and harassment, and therefore, has zero tolerance for workplace sexual harassment.

Sexual harassment consists of any unwelcome conduct, whether verbal, visual or physical, that is based upon a person's gender. Such conduct is unlawful and prohibited whenever it affects tangible job benefits, unreasonably interferes with an individual's work performance, or creates an intimidating, hostile, or offensive working environment.

Sexual harassment undermines the integrity of the employment relationship. All employees have the right to work in an environment free from unsolicited and unwelcome sexual overtures. SaniThrone will not tolerate any form of gender-based or sex-based discrimination, including any kind of sexual harassment against any employee or applicant for employment. Such discrimination violates federal and state law, and SaniThrone's Sexual Harassment Policy.

### **2. Definition**

Sexual harassment consists of unwelcome sexual advances, requests for sexual favors, and other verbal, visual, and physical conduct of a sexual nature whenever:

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- a. Submission to the conduct is made either in explicit or implicit condition of employment;
- b. Submission to or rejection of the conduct is used as the basis for an employment decision affecting the harassed employee; or
- c. Harassing conduct unreasonably interferes with an employee's work performance or creates an intimidating, hostile, or offensive working environment.

### **3. Examples of Conduct Constituting Sexual Harassment**

Sexual harassment can involve an almost infinite variety of conduct. Such examples include but are not limited to the following:

- a. Unwelcome physical contact with sexual overtones;
- b. Sexually offensive comments such as slurs, jokes, epithets, and innuendo;
- c. Inappropriate, repeated, or unwelcome sexual flirtations, advances, or propositions;
- d. Inappropriate or suggestive comments about another person's physical appearance, characteristics or dress;
- e. Exchanging or offering to exchange any kind of employment benefit for a sexual concession, e.g., promising a promotion or raise in exchange for sexual favors; or
- f. Withdrawing or threatening the withdrawal of any kind of employment benefit for refusing to grant a sexual favor.

#### **4. Applicability of Policy**

The prohibition against sexual harassment applies to everyone – managers, supervisors, salaried and hourly workers, temporary employees, contractors, vendors and visitors. SaniThrone will not tolerate sexual harassment of any kind by anyone.

#### **5. Reporting Sexual Harassment**

Any employees who believe that they have been sexually harassed should report the incident to their immediate supervisor. If you consider a discussion with your immediate supervisor inappropriate, you may bypass your supervisor and report the incident directly to the Management.

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Complaints of sexual harassment will be investigated thoroughly and quickly. Whenever appropriate, disciplinary action will be taken against the harassing party, up to and including termination. SaniThrone will also take appropriate action to deter further sexual harassment. You will be advised of the results of the investigation and of any action taken, if appropriate.

Employees, supervisors, and managers must report any incident of sexual harassment they may observe, even if they are not the target or victim of such harassment. Such reports will be handled in the same fashion as complaints by victims of sexual harassment.

#### **6. Confidentiality**

Any allegation of sexual harassment brought to the attention of their immediate supervisor or the Management will be promptly investigated. Confidentiality will be maintained throughout the investigatory process, to the extent practicable under the circumstances.

## **7. Discipline for Engaging in Sexual Harassment**

Any employee found to have engaged in misconduct constituting sexual harassment will be subject to appropriate discipline, up to and including termination. Additional action may include: referral to counseling, withholding of a promotion, reassignment, temporary suspension without pay or financial penalties.

This policy is designed to protect all employees from sexual harassment in any way associated with the workplace or work environment, regardless of the identity or status of the harasser. Although SaniThrone's ability to discipline a non-employee harasser may be limited by the degree of control, if any, that it has over the alleged harasser, any employee who believes that they have been subjected to sexual harassment should file a complaint and be assured that appropriate action will be taken.

## **8. Protection Against Retaliation**

SaniThrone will not in any way retaliate against any employee who makes a complaint of sexual harassment or against any participant in the investigation, nor will it permit any supervisor or employee to do so. Retaliation is a serious violation of this sexual harassment policy and should be reported immediately. Any employee found to have retaliated against another employee for reporting sexual harassment will be subject to the same disciplinary action described above.

Further, any employee who makes an intentional or reckless false complaint also will be subject to the same disciplinary action as described above.

## **EMPLOYEE ABSENTEEISM POLICY**

Our philosophy at SaniThrone on absenteeism is this: First, absenteeism is controllable; second, there is no reason why all employees cannot be at work, on time, all the time, and last, a few

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employees cause most of the lost time. Therefore, absence control is best achieved through individual treatment aimed at the irresponsible, chronic absentee.

We define an absence as failure to report and remain at work as scheduled; this includes late arrival at work and leaving early as well. Absence then includes all time lost from the job whether excused or unexcused, avoidable or unavoidable. The only exceptions to this definition of absence are holidays, vacations, death in the immediate family, worker's compensation cases, approved leaves of absence, and days for which no work is scheduled.

You are expected to report to work on time, on a regular basis. Unnecessary absenteeism and lateness is expensive, disruptive, and places an unfair burden on other employees and your supervisor. Unsatisfactory attendance will also result in disciplinary action, including suspension and discharge. It will also have an adverse effect on any promotion considerations.

If you are going to be late or absent for any reason, you are required to notify your supervisor as far in advance as possible. Explain why you are going to be absent and when you expect to return to work.

**NOTE: It is your responsibility to insure that proper notification is given. Asking another employee, friend, or relative to give this notification is not considered proper, except under emergency conditions.**

Any employee who fails to give such notification will be charged with an unexcused absence. If an employee is absent for three consecutive days without notifying Sanithrone, he or she is subject to disciplinary action up to and including termination. If notice is given and SaniThrone does not think it justifies the absence, it will be considered unexcused.

If you are absent because of an illness for three (3) or more successive days, your supervisor may request that you submit written documentation from your doctor stating you are able to resume normal work duties before you will be allowed to return to work, unless otherwise provided in a valid and enforceable collective bargaining agreement.

A consistent pattern of questionable absences can be considered excessive, and may be cause for concern. In addition, excessive lateness or leaving early without approval will be considered a "lateness pattern" and may carry the same weight as an absence. Other factors, like the degree and reason for the lateness, will be taken into consideration.

## **SMOKING POLICY**

As you are aware, in a majority of states, employers are required to comply with the Clean Air Act, as well as with other city, state and federal laws governing smoking in the workplace. As such, SaniThrone policy was designed to provide a smoke-free environment for employees who do not smoke.

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Smokers have a responsibility to refrain from smoking in all private, shared and public spaces of any and all SaniThrone property (owned or not), including:

- common work areas not separated by floor to ceiling walls; hallways;
- conference rooms;
- kitchens, pantries and lunchrooms;
- restrooms;
- waiting areas and elevators;
- areas containing copiers, files, printers and other shared equipment.

Any problems regarding this policy should be addressed to the Management. Please remember to observe this policy and respect the rights of your co-workers, both smokers and non-smokers. Retaliatory acts against employees exercising their rights under this Act is strictly prohibited.

## **ALCOHOL & SUBSTANCE ABUSE**

SaniThrone prohibits at all times the unlawful manufacture, sale, distribution, use, dispensation, receipt, transportation or possession of illegal drugs or unauthorized control substances on the Company's premises or while engaged in business for the Company off the premises. SaniThrone also prohibits the unauthorized use of alcoholic beverages on the premises. Further, it is a violation of SaniThrone's policy for anyone to engage in work for the Company or to report to work in any impaired or intoxicated condition or under the influence of alcohol, drugs, or illegal substances.

1. Employees are expected and required to report to work on time and in appropriate mental and physical condition for work. It is our intent and obligation to provide a drug-free, healthful and safe work environment.
2. The unlawful manufacture, distribution, possession or use of a controlled substance on SaniThrone, LLC premises or while conducting SaniThrone, LLC business off its premises is absolutely prohibited. Violations of this policy will result in disciplinary action, up to and including termination, and may have legal consequences.
3. Employees must report any conviction under a criminal drug statute for violations occurring on or off SaniThrone, LLC premises while conducting company business. A report of a conviction must be made within seven (7) days after the conviction.

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4. SaniThrone, LLC recognizes drug dependency as an illness and a major health problem. SaniThrone, LLC also recognizes drug abuse as a potential health, safety and security problem. Employees needing help in dealing with such problems are encouraged to use our employee assistance program and health insurance programs. (Further information about these programs is available from the Personnel Department.) Conscientious efforts to seek such help will not jeopardize any employee's job and will not be noted in any personnel record.
5. SaniThrone, LLC recognizes state medicinal marijuana statutes, in states where applicable. However, due to Federal law conflict, SaniThrone, LLC will only consider medicinal Marijuana as a controlled substance on SaniThrone, LLC property or during official SaniThrone, LLC business.
6. All employees of SaniThrone, LLC will be subject to pre-employment and random drug testing for controlled substances, with the exception of Marijuana. First verified positive

test will result in a 30 day non-paid suspension, 6 month enhanced random testing, and 1 year substance abuse counseling. Second verified positive test will result in the permanent termination from employment from SaniThrone, LLC.

This policy applies to all regular and part-time employees and temporary workers of SaniThrone as well as to all consultants, vendors, and other individuals providing services to the Company at any time on the premises or while engaged in business for the Company.

Once again, employees may be required to submit to random drug and alcohol abuse screenings.



# **HOURS OF WORK & COMPENSATION ISSUES**

## **EMPLOYMENT CLASSIFICATION**

### **Full-Time Employees**

An employee who has successfully completed the Training Period (see below) of employment and who works at least 36.0 hours per week is considered a full-time employee, unless otherwise provided in a valid and enforceable collective bargaining agreement. Full-time employees are eligible to receive the Company's fringe benefits package. Please contact Management for details.

If you were a full-time employee and have been on an approved leave of absence, upon return you will be considered a full-time employee, provided you return to work as agreed in the provisions of your leave.

### **Part-Time Employees**

An employee who works less than a regular 36.0 hour work week is considered a part-time employee, unless otherwise provided in a valid and enforceable collective bargaining agreement. Please contact Management for details.

### **“Non-Exempt” and “Exempt” Employees**

At the time you are hired, all employees are classified as either “exempt” or “non-exempt.” This is necessary because, by law, employees in certain types of jobs are entitled to overtime compensation for hours worked in excess of forty (40) hours per work week, not including vacation, sick, or holiday hours. These employees are referred to as “non-exempt” in this employee handbook.

Exempt employees are supervisors, executives, managers, officers, directors, owners and others whose duties and responsibilities allow them to be “exempt” from overtime pay provisions as provided by the Federal Fair Labor Standards Act (FLSA) and any applicable state laws. If you are an exempt employee, you will be advised that you are in this classification at the time you are hired, transferred or promoted.

## **WORK SCHEDULE**

Work schedules for employees vary throughout the Company. Operational demands may make it necessary for occasional changes in starting and ending times and in the total hours that may be needed each day and week in order to meet the varying demands of our business. Your manager will inform you of your hours, as well as how to complete weekly or daily time sheets, unless otherwise provided in a valid and enforceable collective bargaining agreement.

To maintain efficiency, you are expected to be ready to start work at the established starting time and remain at work for the entire work period, excluding meal periods.

Should an unavoidable circumstance cause you to be late, notify your manager of your anticipated arrival time. If it's necessary for you to leave work because of a personal emergency, you must inform your manager before leaving.

## **TIMEKEEPING PROCEDURES**

All employees are required to record all hours they work. You must record your entry/exit at the beginning and end of every shift and at the beginning and end of every meal period, unless otherwise provided in a valid and enforceable collective bargaining agreement. In addition, if you leave the premises for any other reason, you must record your entry/exit upon your departure and your return.

Please comply with our procedure to ensure that you are paid accurately and on a timely basis.

Employees are prohibited from engaging in any conduct to falsify their own or another employee's hours worked. Tampering, altering or falsifying time records, or recording time on another employee's attendance roster or time record is a serious infraction of policy and may result in disciplinary action, up to and including termination, unless otherwise provided in a valid and enforceable collective bargaining agreement.

If you have any questions about these timekeeping procedures, please contact Management.

## **OVERTIME PAY**

From time to time, it may be necessary for you to perform overtime work in order to complete a job on time, unless otherwise provided in a valid and enforceable collective bargaining agreement. **All overtime must be approved by your supervisor in writing.** When it is necessary to work overtime, you are expected to cooperate as a condition of your employment. There are two types of overtime work:

1. **Scheduled Overtime:** Scheduled overtime work is announced in advance and generally will involve an entire department or operation. This type of overtime becomes part of the required work week of the people who are members of the department or operation. If you need to be excused from performing scheduled overtime, please speak with your supervisor. He/she will consider your situation and the requirements of the department or operation in deciding whether you may be excused from performing the scheduled overtime.
2. **Incidental Overtime:** Incidental overtime is not scheduled, it becomes necessary in response to extenuating circumstances. It is extra time needed to complete work normally completed during regular hours. Incidental overtime may become necessary

when an illness or emergency keeps co-workers from being at work as anticipated. It may require you to return to the workplace for emergency work. The opportunity to perform incidental overtime will be given first to the employee who normally performs the task. If that employee cannot perform the overtime, the supervisor will offer the overtime to a suitably qualified person who is available to perform the overtime work.

## **ANNIVERSARY DATE**

The first day you report to work becomes your “official” anniversary date. In case you were hired on a temporary basis and converted to permanent status, your anniversary date will be the first day that you were paid by SaniThrone as a regular, full-time employee. Your anniversary date is used to compute various conditions of employment and benefits described in this Employee Handbook, unless otherwise provided in a valid and enforceable collective bargaining agreement.

## **PERFORMANCE APPRAISALS**

While you are urged to discuss your performance and goals with your manager informally on a regular basis, your manager will schedule a formal performance appraisal discussion with you at least once a year. Performance also may be reviewed at a time to be determined by your manager if you are being considered for promotion or transfer. All new employees receive a performance appraisal and review of their performance from their immediate supervisor on completion of their first three months of service, unless otherwise provided in a valid and enforceable collective bargaining agreement.

All SaniThrone employees are reviewed annually around the time of their anniversary dates, unless otherwise provided in a valid and enforceable collective bargaining agreement. This annual review is comprised of several factors, including:

- (a) Self-evaluation;
- (b) Evaluation by manager;
- (c) Goal setting;
- (d) Achieving planned goals.

During the formal performance review process, your manager is encouraged to cover the following areas:

- The quality and quantity of your work.
- Strengths and areas for improvement.

- Attitude and willingness to work.

- Initiative and teamwork.
- Attendance.
- Customer service orientation.
- Problem solving.
- Ongoing professional growth and development.

A performance appraisal gives you a chance to discuss your duties and responsibilities with your manager and learn how your manager feels about the quality of your work, your progress in attaining department goals and what will be expected of you during the next appraisal period. It gives you the opportunity to ask questions, learn about the objectives to be achieved, and explore directions for your career.

## **PAY DAY AND YOUR CHECK**

The pay period at SaniThrone is biweekly and starts Monday and ends on the second Sunday. Changes will be made and announced in advance whenever SaniThrone holidays or closings interfere with the normal pay schedule.

Your paycheck will include earnings for all work performed through the end of the previous pay period. Your pay is subject to all deductions required by law, federal tax, social security payment, and state and local income taxes, as applicable. The amount of the deductions will depend on your earnings and on the information you furnish on your W-4 form regarding the number of exemptions you claim. If you wish to modify this number, please request a new W-4 form from the Business Office. Only you may modify your W-4 form. Verbal or written instructions are not sufficient to modify withholding allowances. We advise you to check your pay stub to ensure that it reflects the proper number of withholdings.

The W-2 form you receive annually reflects how much of your earnings were deducted for these purposes. Any other mandatory deductions to be made from your paycheck, such as court ordered garnishments, will be explained whenever SaniThrone is ordered to make such deductions. Questions about your pay and your deductions should be discussed with your manager or the Business Office. Do not discuss your pay with co-workers.

Should there be an underpayment of any kind, we will make every effort to repay you as quickly as possible. In the event that there is an overpayment of any kind, it is your responsibility to bring this to the attention of the Operations Department.

# **TIME OFF & LEAVES OF ABSENCE**

## **TRAINING PERIOD**

Your first ninety (90) days of employment are considered your training period, unless otherwise provided in a valid and enforceable collective bargaining agreement. During this time, your manager and co-workers will make every effort to help you achieve a satisfactory job performance. Should you change positions for any reason during the course of your employment with SaniThrone, you will commence a new ninety (90) day training period, unless otherwise provided in a valid and enforceable collective bargaining agreement. Employees whose performance is not satisfactory may be terminated at any time during the training period. SaniThrone reserves the right to extend the training period at its discretion.

## **HOLIDAYS**

Unless otherwise provided in a valid and enforceable collective bargaining agreement, SaniThrone pays full-time employees for the following holidays.

New Year's Day	January 1 <sup>st</sup>
Martin Luther King Day	January 21 <sup>st</sup>
Presidents Day	Third Monday in February
Caesar Chavez Day	March 30 <sup>th</sup>
Memorial Day	Last Monday in May
Independence Day	July 4 <sup>th</sup>
Labor Day	First Monday in September
Thanksgiving Day	Fourth Thursday in November
Christmas Day	December 25 <sup>th</sup>

To be eligible for holiday pay, you must be employed for ninety days, and must be in regular pay status the day before and after the holiday, unless the employee is on an approved day off, in accordance with standard SaniThrone policy, unless otherwise provided in a valid and enforceable collective bargaining agreement. Employees working less than ninety days are eligible for Holiday Pay only if they work on the scheduled Holiday. (For example, if you are out sick on the day before or after a holiday you will not be paid for the holiday unless you provide a doctor's note or your immediate supervisor approves payment for the day.)

Holidays falling on a Saturday will normally be observed the preceding Friday. Holidays falling on a Sunday will normally be observed on the following Monday.

## **PAID TIME OFF (PTO)**

Unless otherwise provided in a valid and enforceable collective bargaining agreement, paid time off under this policy may be used for instances such as vacation, medical reasons, (i.e., personal, spouse, parent, child) or other personal business.

Unless otherwise provided in a valid and enforceable collective bargaining agreement, the amount of paid time off that any employee can receive in one calendar year increases with the length of employment as shown with the following schedule:

- (1) After one year of service from an employee's anniversary date – 10 working days.
- (2) After five years of service from an employees anniversary date – 15 working days.
- (3) After fifteen years of service from an employees anniversary date – 20 working days.

When you have met the eligibility requirements, submit a vacation request form to your manager to schedule your paid time off. Requests are evaluated based upon various factors, including anticipated operating requirements and staffing consideration. Your paid time off pay is based on your pay rate in effect when your vacation is used and does not include bonuses or other special forms of compensation.

## **MEDICAL LEAVES OF ABSENCE**

### **Unpaid Leave of Absence**

Under emergency circumstances, for medical, personal, or other reasons, you may need to be temporarily released from the duties of your job with SaniThrone. It is the policy of SaniThrone, to allow its eligible employees to apply for and be considered for certain specific leaves of absence.

Unless otherwise provided in a valid and enforceable collective bargaining agreement, time off for any reason during a working day will count first against your allotted paid time off. Thereafter, unless specifically exempted, any time off will be without pay.

Failure to return to work as scheduled from an approved leave of absence or to inform your project executive or department head of an acceptable reason for not returning as scheduled will be considered a voluntary resignation of employment.

All requests for leaves of absence shall be submitted in writing to the Management. Each request shall provide sufficient detail such as the reason for the leave, the expected duration of the leave, and the relationship of family members, if applicable.

Regular full time employees who have completed one year of service are eligible for an unpaid personal leave of absence of thirty calendar days, unless otherwise provided in a valid and

enforceable collective bargaining agreement. During that time, you will remain covered under SaniThrone, LLC medical plans.

A request for a personal leave will be evaluated on a number of factors, including anticipated operational and staffing requirements during the proposed time of absence. Pending approval, you should take available paid time off prior to the effective date of the personal leave of absence.

In the case where the initial 30 calendar days are insufficient, consideration may be given for an extension of 30 more days if your manager is informed in writing. If you are on leave for more than 30 days, you must pay the full costs of your insurance benefits. SaniThrone will resume payments when you return to active employment.

### **Family and Medical Leave of Absence (FMLA)**

SaniThrone, LLC will not discriminate against employees as a result of the approved use of family care or medical leave or a proper request for such leave.

In general, a leave of absence is an official authorization to be absent from work without pay for a specified period of time. Eligible employees may be entitled to job-protected family or medical leave of absence if they are unable to come to work due to pressing family or medical concerns as described within this Leaves of Absence Policy. Unless otherwise provided in a valid and enforceable collective bargaining agreement, any leaves of absence under this policy will be administered in accordance with applicable state and federal laws as follows:

1. Employees are eligible, if they have been actively employed for twelve (12) months, and worked at least 1250 hours (an average of twenty-five (25) hours per week) during those twelve (12) months. This twelve (12) month period "rolls back" from the date of leave to the prior twelve (12) month period.
2. The total amount of leave taken cannot exceed twelve (12) work weeks in any twelve (12) month period.
3. A family leave shall be granted upon the birth or adoption of a child of the employee, or upon the serious health condition of the employee's child, spouse, or parent
4. A medical leave shall be granted upon the employee's own serious health condition.
5. In appropriate circumstances, we may require you to be examined by a SaniThrone, LLC designated physician, at SaniThrone, LLC's expense.
6. In the event of a serious health condition to the employee or his/her child, spouse, or parent, creating a need for unforeseeable family or medical leave, the employee must provide us

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with notice, as soon as practicable, of any needed time off, and a written doctor's certificate. The certification must include the date on which the health condition occurred, the probable duration of the condition, an estimate of the amount of time you need to be off work to care

for the family member or for your own health condition, and confirmation that the nature of the condition warrants you to be away from work to care for yourself or your dependent.

7. Employees shall be required to give thirty (30) days advance notice in the event of foreseeable medical treatment. To assist us in arranging work assignments during your absence, we ask that you give us prior notice, to the extent possible, of an expected birth or adoption, as well as an indication, to the extent known, of your expected return date. To facilitate your return to work, we also ask that you provide us with two (2) weeks advance notification of your intended return date. Failure to do so may delay your return date.
8. Upon completion of a leave granted under this section, you shall be reinstated to your original position, or an equivalent one.
9. You must use any accrued paid time off during your family care or medical leave. If the leave is related to your own serious health condition, you must use any accrued paid time off during your medical leave.
10. While on a leave of absence provided for under this policy, we will continue your group health insurance benefits under the same terms as provided to other employees, for up to a maximum of twelve (12) weeks leave during any one (1) year period. If your leave extends beyond twelve (12) weeks, you shall be offered the opportunity to purchase continuing coverage under state and federal COBRA continuation rules.
11. Other accumulated fringe benefits such as retirement, paid time off, and the like, shall be preserved at the level accrued as of commencement of the leave, but shall not accrue further during any such leave period.
12. During a period of disability, you may be eligible for disability pay benefits. Please Contact SaniThrone's Operations Office for details on eligibility, benefit amounts, and other particulars.
13. If additional family care or medical leave is required you must, prior to expiration of the family care or medical leave, submit additional certification to SaniThrone.
14. Should you seek a leave of absence for reasons other than described above, we will evaluate such a request based on particular circumstances present at that time, including but not limited to your current and anticipated work responsibilities, performance and SaniThrone needs. SaniThrone reserves the right to refuse such a request at its sole discretion.

**Disability Leave of Absence (including leaves of absence due to maternity or pregnancy)**

Unless otherwise provided in a valid and enforceable collective bargaining agreement, SaniThrone may grant an unpaid leave of absence for illness, disability or pregnancy. To request



a disability leave of absence from SaniThrone, you must submit a statement of ill health or disability from your doctor. (Pregnancy is treated, for the purposes of this policy, the same as an illness or disability.) Whenever possible, you are required to give as much notice as possible of your pending need for a disability leave of absence.

In the case of pregnancy, please inform your supervisor or department head as soon as possible of the date you and your doctor anticipate that you will begin your leave. Your job status will be protected in that we will make every effort to hold your position open, or return you to a similar position if one is available, for which you may be qualified.

At the time the disability leave begins, any accrued personal leave or sick leave will be used. Vacation time previously accrued (but not used) at that time will also be paid if the employee so desires. These benefits do not continue to accrue during a leave of more than thirty (30) days. This policy applies to all employees. Your group insurance booklet should be reviewed to determine your insurance coverage during a leave of absence.

Employees who must remain away from work for more than the period of time allowed above will be considered terminated from employment. They are welcome to re-apply subject to SaniThrone's usual hiring policies.

Employees who develop a physical condition which requires medical treatment or restrictions and precautions will be required to submit a physician's statement. This statement must give approval that continued full-time employment in his/her present position will not jeopardize his/her health or the safety of others, in the event she/he continues to work. A similar statement is required upon return from a disability leave.

### **Insurance Premium Payment During Leave of Absence**

SaniThrone will continue to pay its share of insurance premiums for employee coverage and dependent coverage for a maximum of 3 months while you are on a disability leave of absence, unless otherwise provided in a valid and enforceable collective bargaining agreement. While you are on any other type of unpaid leave of absence from SaniThrone, you will be responsible for paying the total premiums for your coverage and that of your dependents. Failure to do so may result in loss of coverage and possible refusal by the insurance carrier to allow your coverage to be reinstated. Please consult with Management to set up a payment schedule.

## **BEREAVEMENT LEAVE**

Recognizing that a time of bereavement is very difficult, every effort will be made to ensure that

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a bereaved employee is able to attend to family matters. Employees should notify their manager of this situation immediately.

Absence due to a death in the immediate family will be paid to full-time employees for up to 10 business days, unless otherwise provided in a valid and enforceable collective bargaining

agreement. The immediate family is the employee's parents, spouse, domestic partner, child, sibling, grandparents, grandchildren, spouse's parents, child(ren) or siblings.

Any available paid time off can be used at this time with the approval of your manager. Additional unpaid time off will be granted to allow for any arrangements associated with the death that must be made.

Funeral leave pay will only be made to employees for actual time spent away from work for the funeral or its arrangements. For example, if the death occurs at a time when work is not scheduled, payment will not be made. If a holiday or part of your vacation occurs on any of the days of absence, you may not receive paid time off in addition to paid funeral leave.

## **JURY DUTY**

We encourage you to fulfill your civic responsibility by serving on a jury when required to do so. You will be granted up to two weeks of paid jury duty leave over any two year period, unless otherwise provided in a valid and enforceable collective bargaining agreement. If you are required to serve beyond that period, you may use any available paid time off due you or you may request an unpaid leave of absence.

If you are called for jury duty, you must notify your immediate supervisor within forty-eight (48) hours of receipt of the jury summons so that arrangements can be made to accommodate your absence. The Business Office must receive a copy of the summons to arrange for your pay. Of course, you are expected to report to work whenever the court schedule permits. Managers may also request that employees in jury duty telephone them daily to discuss work issues.

Employees called for jury duty are expected to take all action necessary – up to and including requesting a deferral – to ensure that their absence does not impede the Company's ability to perform on a business as usual basis.

Unless otherwise provided in a valid and enforceable collective bargaining agreement, your insurance benefits will remain in effect and unchanged and paid time off will continue to be earned as per SaniThrone policy during the full term of your jury duty.

## **NATIONAL GUARD OR MILITARY LEAVE**

If you are a member of a National Guard or Reserve Unit, you may take the time required for training. Leave is normally for two weeks, but in exceptional cases may be as long as seventeen calendar days. Leave of this nature is unpaid. However, you may elect to use your paid time off, if you wish.

You may also take military leave in accordance with applicable law if you are inducted into or enlisted in the Armed Forces of the United States or are called to active duty as a member of a Reserve Unit.

Please be sure to inform your manager of your absence for National Guard or Military Reserve Leave, as far in advance as possible.

According to this policy, and consistent with state and federal law, time spent on military leave will be counted as continuous service for the purpose of computing service awards and determining your eligibility for various benefits plans. However, unless otherwise provided in a valid and enforceable collective bargaining agreement, some of your benefits may be affected by your leave, as follows:

### **Job Reinstatement**

Following a military leave and application for reinstatement, every effort will be made to reinstate you to the same job or job level you would have reached had military leave not occurred. This is in accordance with applicable federal and state laws. If no such position is available, the Management will attempt to place you in a similar assignment with another department. If this is impossible, your original division must re-employ you on an overstaff basis until an appropriate position is available with the division or elsewhere in the Company.

### **Medical Examination**

After reinstatement, you may be required to have an evaluation to update your medical history.

Following National Guard or Military Leave, present verification of your military pay to your Manager, and SaniThrone will pay any difference between your salary and your National Guard or Military pay, excluding pay for expenses.

# **YOUR BENEFIT PACKAGE**

## **MEDICAL INSURANCE**

SaniThrone is committed to sponsoring a comprehensive benefits program for all eligible employees. In addition to receiving a competitive salary and having an equal opportunity for professional development and advancement, you may be eligible to enjoy other benefits which will enhance your job satisfaction.

A good benefits program is a solid investment in SaniThrone's employees. SaniThrone will periodically review the benefits program and will make modifications as appropriate based on maintaining a competitive level of benefits as well as SaniThrone's ability to pay for them. SaniThrone reserves the right to modify, add or delete the benefits it offers, unless otherwise provided in a valid and enforceable collective bargaining agreement.

Management will provide eligible employees with booklets which describe your coverage under the Plan in detail and can answer questions you may have.

**Please note that all medical insurance benefits are subject to change at any time at SaniThrone's discretion, unless otherwise provided in a valid and enforceable collective bargaining agreement.**

## **DISABILITY INSURANCE**

If you are a full-time, salaried employee, you will be eligible to participate in SaniThrone's disability plans, unless otherwise provided in a valid and enforceable collective bargaining agreement, as set forth more fully below.

Short Term Disability Income Plan: Short-term disability income, if applicable, provides partial protection for wages lost because of illness or injury that are not work-related. It may pay up to 180 days if you are disabled. Benefits may not be paid for the first seven days of disability, unless the disability extends beyond 14 days.

Long Term Disability Insurance: Long-term disability insurance payments are offered to employees that are totally disabled after 180 consecutive days. SaniThrone policy pays a maximum of 60% of your basic monthly earnings to a maximum benefit of \$10,000 per month.

Please direct all questions concerning these plans to the Operations Department.

## **Workers' Compensation**

All employees are entitled to workers' compensation benefits. This coverage is automatic and immediate and protects you following an on-the-job injury. An on-the-job injury is defined as an accidental injury suffered in the course of your work, or an illness which is directly related to performing your assigned job duties. This job-injury insurance is paid for by SaniThrone. If you cannot work due to a job-related injury or illness, workers' compensation insurance pays your medical bills and provides a portion of your income until you can return to work.

All injuries or illnesses arising out of the scope of your employment must be reported to your job site superintendent or supervisor immediately. Prompt reporting is the key to prompt benefits. Benefits are automatic, but nothing can happen until SaniThrone knows about the injury. Please have your job site superintendent or supervisor inform the accounting department so they can report the incident to our insurance company.

## **Unemployment Compensation**

Depending upon the circumstances, employees may be eligible for unemployment compensation upon termination of employment with SaniThrone, LLC. Eligibility for unemployment compensation is determined by the Division of Unemployment Insurance of the State Department of Labor.

Unemployment compensation is designed to provide you with a temporary income when you are out of work through no fault of your own. For your claim to be valid, you must have a minimum amount of earnings determined by the State, and you must be willing and able to work. You should apply for benefits through the local State Unemployment Office as soon as you become unemployed.

## **Social Security**

The United States Government operates a system of mandated insurance known as Social Security. As a wage earner, you are required by law to contribute a set amount of your weekly wages to the trust fund from which benefits are paid. As your employer, SaniThrone is required to deduct this amount from each paycheck you receive. In addition SaniThrone matches your contribution dollar for dollar, thereby paying one-half of the cost of your Social Security benefits.

Your Social Security number is used to record your earnings. You are encouraged to protect your Social Security record by ensuring your name and Social Security number on your pay stub and W-2 form are correct. You may also want to make sure your earnings statement is accurate each year by requesting a Personal Earnings and Benefit Estimate Statement from the U.S. Social Security Administration by calling 1-800-772-1213 or you may even access them on-line at [www.ssa.gov](http://www.ssa.gov).

Under federal law, SaniThrone is required to offer covered employees and covered family members the opportunity for a temporary extension of health coverage (called COBRA) at group rates when coverage under the plan would otherwise end, due to certain qualifying events. This notice is simply intended to inform you (and your covered dependent(s) if any), in a summary fashion of your potential future options and obligations under the continued coverage provisions of the law. Should an actual qualifying event occur in the future, the plan administrator will send you the appropriate notification. Please take special note, however, of your notification obligations (See item L for details).

**A. Qualified Person. Persons who qualify for Continuation:**

- (1) An employee (and any covered dependents) whose coverage ends due to:
  - (a) termination of employment for a reason other than gross misconduct, or
  - (b) a reduction in work hours; and
- (2) An employee's spouse (and any children) whose coverage ends due to divorce or legal separation; and
- (3) An employee's surviving spouse and/or children, whose coverage ends due to the employee's death; and
- (4) An employee's spouse and/or children whose coverage ends due to the employee's entitlement to Medicare; and
- (5) An employee's child whose coverage ends due to ceasing to be a dependent child under the terms of the plan; and
- (6) Under certain circumstances, an employee whose coverage ends due to the sale or business reorganization of the employer.

Exception: Continuation is not available to any employee or dependent who after the qualifying event becomes covered under another group health plan which does not contain any exclusion or limitation with respect to a preexisting condition. Persons covered by Medicare are not eligible for COBRA Continuation.

**B. Continuation Period. Health coverage can continue up to the maximum continuation period. The following are the maximum continuation periods.**

- (1) 18 months following a termination of employment or reduction in work hours for all qualified persons (qualified employees and their qualified dependents).

Exception: Qualified persons who are determined to have been disabled by the Social Security Administration at any time during the first 60 days of COBRA continuation coverage may request an 11 month extension of continuation for a maximum continuation period for 29 months. (See item H. for details)

- (2) 36 months from the qualifying event for dependents following the death of the member, a loss of dependent status under the plan, and a divorce or legal separation.
- (3) 36 months for qualified spouses and children following the date of a member entitlement to Medicare.
- (4) Second qualifying events. If any of the qualifying events described in A(2) through A(5) above occur during the 18 month continuation period, described in B(1) above, such period will be extended for the affected dependents to 36 months dating from the beginning of the original 18 month period.

Exception: The maximum COBRA period for dependents following an employee's entitlement to Medicare is 36 months regardless of time period already satisfied under COBRA. Requests for such extended continuation must be sent to SaniThrone within 60 days after the occurrence of any qualifying event.

You will be notified of applicable continuation periods in the event of loss of coverage due to employer bankruptcy or sale or reorganization of the employer's business.

**C. Termination of Continued Coverage. Continuation ends the earliest of the following:**

- (1) The date maximum continuation period expires; or
- (2) The date the qualified person becomes covered by Medicare, or
- (3) The date the qualified person becomes covered by another group health plan, which does not contain any limitation or exclusions with respect to any preexisting condition; or

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- (4) If the required amount is not paid on a timely basis, the end of the last coverage period for which timely payment was made (see grace period below.); or

- (5) The date the employer's group health plan is terminated. (The continuation period may be completed under the replacement plan, if any); or
- (6) A qualified beneficiary extended continuation coverage to 29 months due to a Social Security disability and a final determination has been made that the qualified beneficiary is no longer disabled; or
- (7) A qualified beneficiary notifies the Management that they wish to cancel continuation of coverage.

**D. Monthly Cost.**

If you elect COBRA Continuation, you can be required to pay all of the applicable premium plus a 2% administrative fee. If you qualify for the 11 month extension due to disability, SaniThrone can charge up to 150% of the applicable premium, during the extended coverage period.

**E. Election Requirement.**

You or your qualified dependents must make written election within 60 days after the later of, (1) date coverage would otherwise end, or (2) the date of the employer's notice. The election form must be returned to SaniThrone within the 60-day period; otherwise, the continuation option expires. COBRA continuers must have 45 days after the initial election of COBRA to remit the first payment. All other payments must be received no later than 30 days following the first day of each month of continued coverage or within the SaniThrone, LLC's Grace Period.

**F. Grace Period.**

The payment of the required plan contribution (with exception of any re-election charges, which have been deferred, see item E) will be considered to be timely if it is made within 30 days of the due date (date of Statement) or within the grace Period of the plan, if it is longer than 30 days. Benefits will still be paid during the grace period, provided payment is made prior to the end of the grace period.

**G. Plan Changes.**

Your continued coverage(s) will be subject to the same benefit and rate changes as the Group Plan.

**H. Disabled Continuee Extension.**

Qualified persons who are determined by the Social Security Administration to have been disabled at any time during the first 60 days of COBRA continuation coverage or a



reduction in work hours can request an extension of continuation coverage from 18 months to 29 months. The disabled person must provide a copy of the Social Security determination to SaniThrone within 60 days after receiving the determination. If the determination is not received before the 18 month continuation ends, the right to extension ends. The continuer must be continuously disabled. The extension of continuation will end 30 days after the person is no longer determined to be disabled.

**I. Acquired Dependents.**

Any qualified person may elect coverage for a dependent, spouse, new born child, adopted child, etc. acquired during a continuation period. The acquired dependent must be a person who would have been an eligible dependent had she or he been acquired by an active employee under the normal terms of the plan. A qualified person must apply for the coverage of acquired dependents within the same time limits that pertain to enrollment of like dependents acquired by active employees. Applications that are not made on a timely basis may be subject to medical evidence depending upon plan provisions. Coverage, provided an acquired dependent will end on the same date as described for qualified person in C above, except that, in no event, will coverage be provided beyond the end of the continuation period in effect for the qualified person on the date the dependent is acquired. That is, if continuation is extended for a qualified person as described in B(4) above, such extension will not apply to acquired dependents.

**J. Other Group Health Coverage or Medicare.**

If during the continuation period you become covered by Medicare or another group health plan which does not contain any provision which excludes or limits preexisting conditions, your continuation coverage will terminate. Any payment of benefits after your coverage should have otherwise been terminated due to other coverage through another group plan or coverage through Medicare, will be considered to be benefits overpayment. You are required to repay any benefit overpayment.

**K. Other Purchase (Conversion).**

When the maximum continued group coverage period ends, you and/or your dependents) may apply for individual coverage, provided you/they are not then eligible for similar benefits, which would result in over-insurance. Application for individual coverage and payment of the required premium, must be made within 31 days after the continued group coverage ends. Dental and Prescription Drug coverages are not included with the individual coverage conversion option.

**L. Employee, Spouse and Dependent Notifications.**

Under the law, the employee, spouse or other family member has the responsibility to notify Management of a divorce, legal separation, or child(ren) losing dependent status

under SaniThrone, LLC's Health Plan. This notification must be made within 60 days from whichever date is later, (1) the date of the event, or (2) the date on which coverage would be lost under the terms of the insurance contract because of the event. Carefully read the dependent eligibility rules contained in the (summary plan description) so you are familiar with when a dependent ceases to be a dependent under terms of the plan.

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## **RULES & REGULATIONS**

### **TEAMWORK AND SERVICE TO THE CUSTOMER**

As you learned from our Mission Statement, excellent service to our customers is a primary goal. Our success is a result of consistently performing beyond our clients expectations.

To perform at this level, it is essential that all SaniThrone employees/departments operate as a team. Whatever your job function, you are a member of the team that services clients because all of our jobs are related to and dedicated to that end.

As a member of a team you do not work in a vacuum because the quantity and quality of the work you do affects your co-workers and, ultimately, the client. We expect you to set high standards for yourself, in the job you do, the way you communicate and the manner in which you interact with others.

## **ETHICAL STANDARDS**

SaniThrone strives to maintain the highest standards of personal and business ethics and corporate conduct. As an employee, you are required to do the same. Your daily activities on behalf of SaniThrone should always be carried out in an ethical and legal manner, and conflicts of interest should be avoided.

## **GUIDELINES FOR CONDUCT**

Every organization requires a set of rules so that the group as a whole may operate smoothly and safely to accomplish its goals. This is particularly so at SaniThrone, where any failure to adhere to high standards of conduct may affect the well being of residents and customers. Because the safety and comfort of everyone depends on these rules, violators may be subject to discipline up to and including discharge, unless otherwise provided in a valid and enforceable collective bargaining agreement. We ask the cooperation of all employees of SaniThrone in the observance of these policies.

Additional standards of conduct are contained elsewhere in this Employee Handbook. Obviously, it is not possible to list every type of conduct which may result in disciplinary action. You should, therefore, talk to your supervisor if you are unsure of what to do in a given situation. The following kinds of conduct are absolutely prohibited:

1. Abuse, mistreatment, or threatening of a customer or another employee, either physical, verbal, or psychological.
2. Falsification of employment application or other employee records.
3. Insubordination.
4. Using foul and/or abusive language.
5. Gambling on SaniThrone's premises.
6. Smoking on SaniThrone's premises.

7. Loafing or sleeping on the job during the employee's working hours.
8. Soliciting tips or gratuities from patients or visitors.
9. Unauthorized posting or removal of bulletins or notices.
10. Disregard of one's appearance, uniform, dress or personal hygiene.
11. Dishonesty.
12. Commission of a crime.
13. Violation of any and all safety rules.
14. Swiping another employee's magnetic time card, signing in or reporting time of arrival or time of departure for another employee, or requesting another employee to register time on a time card or sheet other than your own.
15. Tardiness or absenteeism or unauthorized absence by an employee from his or her work station during an employee's working time.
16. Failing to be in uniform ready to work prior to swiping in at the start of your shift and remaining in uniform at work until after you have swiped out after the completion of your shift.
17. Leaving one's work area without authorization or interfering with the work of other employees.
18. Entering or remaining inside SaniThrone's property outside of your scheduled working hours, except for seven (7) minutes before and after those hours.
19. Immoral, indecent or disorderly conduct of any nature, or lending money for interest on SaniThrone's premises.
20. Unauthorized use and/or possession of narcotics, dangerous drugs, intoxicating beverages

21. or substances, or being under the influence of intoxicants or drugs on premises or during working hours.
22. Threatening, intimidating, coercing or fighting with another employee or a customer by word or deed, whether on or off SaniThrone's premises.

23. Any discourtesy, unkindness or impatience with customers or with any member of the public visiting SaniThrone.
24. Possession of firearms or any other type of weapon while on SaniThrone's property.
25. Creating or contributing to unsafe or unsanitary condition by act or omission or engaging in "horseplay" while on SaniThrone property.
26. Unauthorized possession of property belonging to SaniThrone, of another employee or of a customer or visitor to SaniThrone.
27. Negligent or deliberate destruction of or misuse of property belonging to SaniThrone or to a customer or visitor to SaniThrone.
28. Failure to follow the rules concerning solicitation and/or distribution of literature.
29. Unauthorized possession, use, copying or reading of SaniThrone's records, or disclosure of information contained in such records to unauthorized persons.
30. Poor attitude or disrespect to management, your supervisor, you co-workers, the customers or visitors to SaniThrone.
31. And any act of misconduct, incompetence, or any violation of this Employee Handbook which may, in management's sole discretion, be grounds for disciplinary action and/or termination of employment.

## **ATTENDANCE AND PUNCTUALITY**

Since working as a team is an effective way to conduct our business, we feel that absenteeism and tardiness adversely effect our collective performance and place a burden on co-workers.

You will be at work promptly every workday. If you cannot avoid being late to work or are unable to work as scheduled, you must notify your manager within two hours of your starting time or as soon as possible if you are not near a phone (e.g., delayed on public transportation). If you are unable to speak to your manager directly, contact the Business Office. Excessive absenteeism and/or tardiness may be grounds for disciplinary action, up to and including

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termination, unless otherwise provided in a valid and enforceable collective bargaining agreement. See Employee Absenteeism Policy for details.

## **NON-DISCLOSURE OF CONFIDENTIAL INFORMATION**

In the course of your employment with SaniThrone, LLC, you may see confidential information such as customer lists and proposals, and/or other financial information. It is against SaniThrone, LLC's policy to disclose to anyone confidential information regarding the operations of SaniThrone, LLC.

Because it is vital to the interest and success of the Company that business information and trade secrets be protected, certain individuals may be asked to sign a non-disclosure agreement as a condition of their employment.

Disclosure of confidential information concerning the operations of SaniThrone, LLC is strictly prohibited.

## **SOLICITATION OR DISTRIBUTION OF LITERATURE**

SaniThrone strictly prohibits both employees and others from soliciting and/or distributing literature on SaniThrone premises during business hours, unless otherwise provided in a valid and enforceable collective bargaining agreement. SaniThrone has established specific policies on solicitation for employees and for non-employees.

### **EMPLOYEES:**

- May neither engage in solicitation of any kind, nor allow themselves to be solicited during their work time;
- May not distribute or post any kind of literature in work areas or on bulletin boards; and
- May be subject to immediate dismissal or corrective action if they violate the policies.

### **NON-EMPLOYEES:**

- May not solicit and/or distribute literature of any kind anywhere on SaniThrone premises including bulletin boards; and
- Are subject to the strict enforcement of this policy by managers and others in authority at SaniThrone.

## **CREDIT AND INVESTIGATIVE REPORTS**

SaniThrone may, at the time you begin your employment, or at any time during your

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employment, wish to obtain a consumer credit report and/or investigative report concerning your creditworthiness for employment purposes, unless otherwise provided in a valid and enforceable collective bargaining agreement. In order to procure these reports, SaniThrone will require you to complete its Authorization and Disclosure Forms. Please read these Forms very carefully before you sign them, and make sure to retain copies of them for your own records after you sign them.

SaniThrone may take adverse action against you in connection with the information in the consumer report and/or investigative report, which may include a denial of employment or any other employment decision that adversely affects you, unless otherwise provided in a valid and enforceable collective bargaining agreement.

However, SaniThrone will not take any adverse action against you on the basis of the consumer report and/or investigative report without first providing you with both a copy of the report which is the basis for the adverse action and also a copy of A Summary of Your Rights Under the Fair Credit Reporting Act.

In the event that SaniThrone does take adverse action against you based upon a consumer report or investigative report, SaniThrone will, either orally, electronically, or in writing, within thirty (30) days: (1) notify you of the action taken; (2) provide you with the name, address, and telephone number, including a toll-free number, if any, of the consumer reporting agency which provided the report to SaniThrone; and (3) notify you of your rights to (i) obtain a free copy of the report from the consumer reporting agency within the applicable sixty (60) day period, and (ii) dispute the accuracy and completeness of the report with the consumer reporting agency; and (4) inform you of the reason for the adverse action and the nature of the information upon which the adverse action was based.

Please review carefully, sign, and immediately return to Management the accompanying Consumer Report Authorization and Disclosure Form, if you have not done so already.

Please feel free to contact Management if you have any questions.

## **CRIMINAL BACKGROUND CHECKS**

Every employee of SaniThrone, whether full-time, part-time, volunteer or consultant, will be subject to a criminal background check, unless otherwise provided in a valid and enforceable collective bargaining agreement.

As part of this background check, SaniThrone may request the disclosure of criminal convictions which are related to a person's job, except those which have not been expunged or sealed. However, a conviction or convictions may not necessarily be an absolute bar to employment. will not request the disclosure of a person's criminal arrest record.

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Please review carefully, sign, and immediately return to Management the accompanying Background Investigation Authorization, if you have not done so already.

Please feel free to contact Management if you have any questions.

## **DRESS CODE**

Please understand that you are expected to dress and groom in accordance with accepted social and business standards, particularly if your job involves dealing with customers or visitors in person.

A neat, tasteful appearance contributes to the positive impression you make on our clients. You are expected to be suitably attired and well-groomed during working hours or when representing SaniThrone, LLC. A clean and neat personal appearance bolsters your own poise and self-confidence and enhances SaniThrone's image.

## **USE OF PHONE AND MAIL SYSTEMS**

When you answer the telephone, you represent SaniThrone to the caller. We expect you to speak to the caller in a courteous and professional manner.

- When answering the telephone, give the name of the department and your name;
- If the person with whom the caller wishes to speak is on another line, ask the caller if he/she desires to be placed on hold;
- If caller has been placed on hold, offer to have the call returned if the person with whom he/she wishes to speak is not available within a reasonable amount of time;
- When a caller leaves a name, number, or message, make sure it is recorded correctly and given to the appropriate party;
- If you do not understand what the caller is saying, ask him/her to repeat the message, keeping in mind your telephone manners;
- Regardless of whether you are responding to an internal or external call, we want to be as service-oriented as possible. Therefore, please make every effort to assist the caller or refer the caller to the appropriate individual for assistance.

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Personal use of the phone for outgoing calls should be limited to emergencies. The use of employer paid postage for personal correspondence is prohibited.

## **TELEPHONE USAGE POLICY**

Personal calls of short duration, i.e., 2 to 3 minutes, may be received and made at an employee's desk or work station. No long distance personal calls will be tolerated unless prior permission to make such a call is received from a supervisor, and the necessity is apparent. Personal telephone



call privileges are subject to change or termination at any time. For instance if you are found spending more than just limited time on personal calls, this privilege may be withdrawn.

## **USE OF SANITHRONE, LLC EQUIPMENT**

The equipment used in accomplishing your work is expensive and may be difficult to replace. Exercise care when using tools and equipment and follow all operating instructions, maintenance requirements and safety guidelines. Report damages or deterioration of equipment immediately to the Business Office and the Management.

You are responsible for all property, materials or equipment issued to you or in your control during your employment with SaniThrone, unless otherwise provided in a valid and enforceable collective bargaining agreement. Should you leave SaniThrone for any reason, you are required to return it to your manager before your last day of work.

## **SAFETY**

### **General Employee Safety**

SaniThrone is committed to the safety and health of all employees and recognizes the need to comply with regulations governing Injury and accident prevention and employee safety. Maintaining a safe work environment, however, requires the continuous cooperation of all employees.

SaniThrone will maintain safety and health practices consistent with the needs of our industry. If you are ever in doubt about how to safely perform a job, it is your responsibility to ask your supervisor for assistance. Any suspected unsafe conditions and all injuries that occur on the job must be reported immediately. Compliance with these safety rules is considered a condition of employment. Therefore, it is a requirement that each supervisor make the safety of employees an integral part of her/his regular management functions. It is the responsibility of each employee to accept and follow established safety regulations and procedures.

### **Reporting Safety Issues**

All accidents, injuries, potential safety hazards, safety suggestions and health and safety related

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issues must be reported immediately to your supervisor. If you or another employee is injured, you should contact outside emergency response agencies, if needed. If an injury does not require medical attention, a Supervisor and Employee Report of Accident Form must still be completed in case medical treatment is later needed and to insure that any existing safety hazards are corrected. The Employee's Claim for Worker's Compensation Benefits Form must be completed in all cases in which an injury requiring medical attention has occurred.

Federal law (Occupational Safety and Health Administration) requires that we keep records of all illnesses and accidents which occur during the workday. The State Workers' Compensation Act

may also require that you report any workplace illness or injury, no matter how slight. If you fail to report an injury, you may jeopardize your right to collect workers' compensation payments as well as health benefits. OSHA also provides for your right to know about any health hazards which might be present on the job. Should you have any questions or concerns, contact your supervisor for more information.

## **GENERAL HOUSEKEEPING**

SaniThrone provides safe and suitable working conditions for all employees. You are urged to cooperate in every way to maintain this environment. Work stations and desks should be left in an orderly condition at the close of the day; windows, equipment and lights, i.e., coffee urns, copy machines, computers, air exhaust system in the smoking areas should be turned off. All areas of SaniThrone should be free of litter. We should treat our facility as though it were our home.

## **SEPARATION OF EMPLOYMENT**

### **Termination of Employment**

Unless otherwise provided in a valid and enforceable collective bargaining agreement, SaniThrone operates under the principle of employment at-will. This means that neither you nor SaniThrone, LLC has entered into a contract regarding the duration of your employment. You are free to terminate your employment at any time, with or without reason. Likewise, SaniThrone, LLC has the right to terminate your employment, or otherwise discipline, transfer, or change your position at any time, with or without reason, consistent with applicable state and federal law.

SaniThrone expects that you will give at least two (2) weeks notice in the event of your resignation. No paid time off will be paid out at the time of employment termination, unless otherwise provided in a valid and enforceable collective bargaining agreement.

### **Insurance Conversion Privileges**

According to the federal Consolidated Omnibus Budget Reconciliation Act (COBRA) of 1985,

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described above, in the event of termination of employment, or loss of eligibility to remain covered under SaniThrone, LLC's group health insurance program, you and your eligible dependents may have the right to continued coverage under or health insurance program for a limited period of time at your own expense. Please refer to the section above on your Group Health Insurance Benefits or contact the Management for more details.

### **Exit Interviews**

At termination, SaniThrone's management may request an exit interview to discuss your reasons for leaving and any other impressions that you may have. Your insights would be helpful. Every attempt will be made to keep all information confidential.

### **Return of SaniThrone, LLC Property**

Any property issued to you, such as computer equipment, keys, SaniThrone, LLC credit cards or SaniThrone petty cash accounts is the property of SaniThrone, LLC and must be returned at the time of your termination. You will be responsible for any lost or damaged items.

# **CLOSING STATEMENT**

The Management of SaniThrone, LLC thanks you for taking the time to thoroughly read our Employee Handbook.

The Management expects everyone to abide and follow the policies as set forth and described. However all employees are encourage to bring forward their suggestions and good ideas about how SaniThrone can be made a better place to work, our jobs improved, and our services to our clients enhanced. When you see an opportunity for improvement, please talk in over with your supervisor. They can help you bring your idea to the attention of the people in SaniThrone, LLC who will be responsible for possibly implementing it. All suggestions are valued and will be listened to.

Sincerely,

**James Sanabria      President and CEO**

**Rick Harlow          CIO**

**SaniThrone, LLC**

# **RECEIPT AND ACKNOWLEDGMENT OF SANITHRONE, LLC'S EMPLOYEE HANDBOOK**

Please read the following statements, sign below and return to Management.

## **Acknowledgment and Receipt of Employee Handbook**

I have received and read a copy of SaniThrone, LLC's Employee Handbook. I understand that the policies and benefits described in it are subject to change at the sole discretion of SaniThrone, LLC at any time, unless otherwise provided in a valid and enforceable collective bargaining agreement.

## **At-Will Employment**

I further understand that, unless otherwise provided in a valid and enforceable collective bargaining agreement, my employment is at will, and neither myself nor SaniThrone, LLC has entered into a contract regarding the duration of my employment. I am free to terminate my employment with SaniThrone, LLC at any time, with or without reason. Likewise, SaniThrone, LLC has the right to terminate my employment, or otherwise discipline, transfer, or demote me at any time, with or without reason, at the discretion of SaniThrone, LLC. No employee of SaniThrone, LLC can enter into an employment contract for a specified period of time, or make any agreement contrary to this policy without the written approval from Management.

\_\_\_\_\_  
Employee's Printed Name

\_\_\_\_\_  
Position

\_\_\_\_\_  
Employee's Signature

\_\_\_\_\_  
Dated

**State of California**  
Secretary of State



I, DEBRA BOWEN, Secretary of State of the State of California, hereby certify:

That the attached transcript of 1 page(s) has been compared with the record on file in this office, of which it purports to be a copy, and that it is full, true and correct.



**IN WITNESS WHEREOF**, I execute this certificate and affix the Great Seal of the State of California this day of

FEB 01 2007

A handwritten signature in black ink that reads "Debra Bowen".

DEBRA BOWEN  
Secretary of State



State of California Secretary of State

File # 200703210200

LIMITED LIABILITY COMPANY ARTICLES OF ORGANIZATION

ENDORSED - FILED in the office of the Secretary of State of the State of California

FEB 01 2007

A \$70.00 filing fee must accompany this form.

IMPORTANT - Read instructions before completing this form.

This Space For Filing Use Only

ENTITY NAME (End the name with the words "Limited Liability Company," "Ltd. Liability Co.," or the abbreviations "LLC" or "L.L.C.")

1. NAME OF LIMITED LIABILITY COMPANY

SaniThrone, LLC

PURPOSE (The following statement is required by statute and may not be altered.)

2. THE PURPOSE OF THE LIMITED LIABILITY COMPANY IS TO ENGAGE IN ANY LAWFUL ACT OR ACTIVITY FOR WHICH A LIMITED LIABILITY COMPANY MAY BE ORGANIZED UNDER THE BEVERLY-KILLEA LIMITED LIABILITY COMPANY ACT.

INITIAL AGENT FOR SERVICE OF PROCESS (If the agent is an individual, the agent must reside in California and both Items 3 and 4 must be completed. If the agent is a corporation, the agent must have on file with the California Secretary of State a certificate pursuant to Corporations Code section 1505 and Item 3 must be completed (leave Item 4 blank).

3. NAME OF INITIAL AGENT FOR SERVICE OF PROCESS

James Sanabria

4. IF AN INDIVIDUAL, ADDRESS OF INITIAL AGENT FOR SERVICE OF PROCESS IN CALIFORNIA CITY STATE ZIP CODE

MANAGEMENT (Check only one)

5. THE LIMITED LIABILITY COMPANY WILL BE MANAGED BY:

- ONE MANAGER (checked)
MORE THAN ONE MANAGER
ALL LIMITED LIABILITY COMPANY MEMBER(S)

ADDITIONAL INFORMATION

6. ADDITIONAL INFORMATION SET FORTH ON THE ATTACHED PAGES, IF ANY, IS INCORPORATED HEREIN BY THIS REFERENCE AND MADE A PART OF THIS CERTIFICATE.

EXECUTION

7. I DECLARE I AM THE PERSON WHO EXECUTED THIS INSTRUMENT, WHICH EXECUTION IS MY ACT AND DEED.

SIGNATURE OF ORGANIZER (handwritten signature)

DATE Jan. 26, 2007

Robert Schmidt, Attorney-in-fact for James Sanabria

TYPE OR PRINT NAME OF ORGANIZER

RETURN TO (Enter the name and the address of the person or firm to whom a copy of the filed document should be returned)

8. NAME Robert C. Schmidt
FIRM Law Offices of Robert Schmidt
ADDRESS 20 California Street, 7th Floor
CITY/STATE/ZIP San Francisco, CA 94111



# Instructions for Form FTB 3522

## LLC Tax Voucher

### General Information

Form FTB 3522 is used to pay the annual limited liability company (LLC) tax of \$800 for taxable year 2006. An LLC should use this form if it:

- Has articles of organization accepted by the California Secretary of State (SOS);
- Has a certificate of registration issued by the SOS; or
- Is doing business in California.

You can download, view, and print California tax forms and publications from our Website at [www.ftb.ca.gov](http://www.ftb.ca.gov).

Access other state agencies' Websites through the State Agency Index on California's Website at [www.ca.gov](http://www.ca.gov).

### Who Must Pay the Annual LLC Tax

**Every LLC** that is doing business in California or that has articles of organization accepted or a certificate of registration issued by the SOS is **subject to the annual LLC tax of \$800**. The tax must be paid for each taxable year until a certificate of cancellation of registration or of articles of organization is filed with the SOS.

**Note:** For taxable years beginning on or after January 1, 2003, an LLC as described in Internal Revenue Code Section 501(c)(2) and 501(c)(25) and Revenue and Taxation Code Sections 17941, 23701h and 23701X is exempt from the annual LLC tax.

### How to Complete Form FTB 3522

Enter all the information requested on this form. To ensure the timely and proper application of the payment to the LLC's account, enter the SOS file number (assigned upon registration with the SOS), and the federal employer identification number (FEIN).

**Note:** If the LLC leases a private mailbox (PMB) from a private business rather than a PO box from the United States Postal Service, include the box number in the field labeled "PMB no." in the address area.

### Where to Mail

Make a check or money order payable to "Franchise Tax Board." Write the SOS file number, FEIN, and "2006 FTB 3522" on the check or money order. Detach the payment voucher from the bottom of the

page. Enclose but **do not** staple your payment to the voucher and mail to:

FRANCHISE TAX BOARD  
PO BOX 942857  
SACRAMENTO CA 94257-0631

**Note:** All checks or money orders must be payable in US dollars and drawn against a US financial institution.

### When to Pay the Annual LLC Tax

The annual LLC tax is due and payable **on or before the 15th day of the 4th month** after the **beginning** of the LLC's taxable year (fiscal year) or April 17, 2006 (calendar year).

**Note:** The first taxable year of an LLC that was not previously in existence begins when the LLC is organized.

If the 15th day of the 4th month of an existing foreign LLC's taxable year has passed before the foreign LLC commences business in California or registers with the SOS, the annual LLC tax should be paid immediately after commencing business or registering with the SOS.

**Example:** LLC1, a newly-formed calendar year taxpayer, organizes as an LLC in Delaware on June 1, 2006. LLC1 registers with the SOS on August 16, 2006, and begins doing business in California on August 17, 2006. Because LLC1's initial taxable year began on June 1, 2006, the annual LLC tax is due September 15, 2006 (the 15th day of the 4th month of the short period taxable year). LLC1's short period (June 1, 2006-December 31, 2006) tax return is due April 16, 2007. The annual tax payment for tax year 2007, with form FTB 3522 also is due April 16, 2007.

### Penalties and Interest

If the LLC fails to pay its annual tax by the 15th day of the 4th month after the beginning of the taxable year, a late payment penalty plus interest will be assessed for failure to pay the annual LLC tax by the due date. The penalty and interest will be computed from the due date of the tax to the date of payment.

### Late Payment of Prior Year Annual LLC Tax

If a prior year LLC tax of \$800 was not paid on or before the 15th day of the 4th month after the beginning of the taxable year, the tax should be paid as soon as possible, using the appropriate taxable year form FTB 3522. **Do not** use any other form for payment of the tax. This will assure proper application of the payment to the LLC's account.

✂ DETACH HERE \_\_\_\_\_ IF NO PAYMENT IS DUE, DO NOT MAIL THIS FORM \_\_\_\_\_ DETACH HERE ✂

**DUE 15TH DAY OF 4TH MONTH OF TAXABLE YEAR (fiscal year) OR APRIL 17, 2006 (calendar year).**

TAXABLE YEAR

CALIFORNIA FORM

**2006 LLC Tax Voucher**

**3522**

For calendar year 2006 or fiscal year beginning month _____ day _____ year 2006, and ending month _____ day _____ year _____		Secretary of State (SOS) file number _____	
Limited liability company name _____		FEIN _____	
DBA _____		PMB no. _____	
Address _____		STE. no. _____	PMB no. _____
City _____		State _____	ZIP Code _____
Contact Telephone no. _____	Amount of payment _____		
( ) _____	If amount of payment is zero, do not mail form } ▶		

352206103

FTB 3522 2005



### **Kimo**

Working on new model for \$10 Mil Biz Plan for submission to Sarah (Collateral Loan Program) at Bentley Capital. Will be ready by Tuesday - should have answer this week. Will circulate Biz Plan when completed. This process could take anywhere from 90 days up to a year. Margaret to proof Biz Plan when completed.

### **Tom**

PPM just about ready to submit. Will schedule first Shareholders' Meeting with a 2-week notice/invitation; with a document to present to Shareholders with potential information in an effort to minimize questions. We only need a quorum (51%) to hold Shareholders' meeting. Will determine later if meeting will be an 'in person' meeting or by conference call.

Immediately after first Shareholders' meeting, will conduct first Board Meeting.

### **James**

Working on Biz Plan. Updating all figures, i.e., new CFM, current energy prices, etc.

### **Javan**

Had conversation with Stuart Eckmann. Mr. Eckmann is with the Keiretsu Forum and another forum. He is located in the Bay Area and he has a background with filters (HEPA), etc. He is very interested and excited about working with ATI. He could be a bridge for funding until the collateral loan comes through. Javan is to have another conversation with him this week and then turn him over to Kimo.

# ATTACHMENT H

**From:** [Pierre Aguirre from City and County of San Francisco](#)  
**To:** [REDACTED]  
**Subject:** Re: Supervising Electronic Maintenance Technician - City and County of San Francisco - Multiple Departments Citywide (7287) - Application Review  
**Date:** Friday, June 16, 2023 11:15:01 AM

EXT

Hello James,

Per our conversation this morning, we understand the frustration of the back and forth and that not having access to your laptop may have hindered your access to review and provide additional documents. As a good faith effort, we would like to provide you with an additional extension until **Thursday June 22, 2023**, to provide any additional documents. Per our last email, we are requesting the **specific document (s) / File Name(s)**, for the documents you want further reviewed.

On 6/8/23 and 5/24/23 you provided two large sets of documents; a thumb drive (5/24) and emailed attachments (6/8). On 6/2 you emailed and advised “...one of the letters from Mike Motta (reachable as still in Fleet Engineering for verbal confirmation if needed), that clearly states “personnel supervision” (Paragraph 3, sentence 3) that was dated 7/13/21. Why does that not suffice?”

Unfortunately, this same letter from Mr. Motta was reviewed last year and was not certified as proof of supervision experience by our Human Resources Director. Therefore, the letter cannot be used for this recruitment. Per our conversation today, you mentioned that you would reach out to Mr. Motta for further clarification of duties performed and how they relate to supervisory duties vs. lead duties.

Again, when responding back please identify which **specific document (s) / File Name(s)**, you feel show your years of supervision experience of personnel working in electronics at the component level. Please submit the request by close of business **Thursday June 22, 2023**. Thank you for your time and consideration.

Regards,

**Pierre Aguirre**

Exams and Classifications Unit

Recruitment: *CBT-7287-T00044*

This message is from outside of the SFMTA email system. Please review the email carefully before responding, clicking links, or opening attachments.



# ATTACHMENT I

London Breed, Mayor

Gwyneth Borden, Chair  
Amanda Eaken, Vice Chair  
Stephanie Cajina, Director

Steve Heminger, Director  
Fiona Hinze, Director  
Manny Yekutieli, Director

Jeffrey Tumlin, Director of Transportation

June 19, 2023

This letter is to verify Mr. James Sanabria's employment and responsibilities with the San Francisco Municipal Railway for the time period between 2002 and 2006, and again between 2012 to 2023.

James supports LRV fleet engineering on several major capital and procurement projects including the Harris radio and CAD/AVL design and installation project, the Breda LRV2/3 mid-life overhaul, the Breda LRV2/3 master controller rehab project, the Breda LRV2/3 propulsion system maintenance campaign, and the Genfare farebox project. In addition to supporting the routine maintenance and troubleshooting of rail vehicle systems, James is also responsible for supervising other technicians and maintenance personnel working on these projects daily.

For the above referenced projects, James was responsible for supervision of other technicians and maintenance personnel directly involved on a regular basis. His supervisory duties included the enforcement of safety requirements, work planning, maintenance record keeping, quality assurance, assisting others with payroll and timekeeping accounting, and documentation supporting administrative actions.

James has a great deal of hands-on expertise with the Muni vehicles, operations, maintenance, and facilities, and uses this experience to instruct and advise personnel on the relevant Agency rules and regulations. James leverages his supervisory skills to ensure the personnel working for him comply with Agency rules and regulations, workmanship and quality standards, and record keeping.

Sincerely,

Michael Motta, P.E.  
San Francisco Municipal Transportation Agency  
Fleet Engineering, Maintenance  
michael.motta@sfmta.com  
(415) 646-2209

# ATTACHMENT J

**Pierre Aguirre**

Re: Supervising Electronic Maintenance Technician - City and County of San Francisco - Multiple Departments Citywide (7287) - Application Review

Jul 7, 2023

James.Sanabria@sfmta.com

Dear James Sanabria,

Thank you for your application for the 7287 Supervising Electronic Maintenance Technician (CBT-7287-T00044). A second review of your application along with the additional information you submitted has been conducted.

The minimum qualifications for class 7287 Supervising Electronic Maintenance Technician Examination are as follows:

1. Completion of a two (2) year course or equivalent program in electronics from a recognized academic, trade, or a technical institution; OR completion of a military training program in electronics; AND
2. Five (5) years of full-time verifiable journey-level industrial or institutional electronics experience performing installation, instrumentation calibration, maintenance, troubleshooting, repair and modification of electronic control systems and related electrical components and electronic sub-systems to the electronic component level; three (3) years of which must have been at the supervisory level AND

License: Possession of a valid Class C driver license.

You provided a copy of the following documents:

1. Certificate of Completion – Vocational Electronics
2. Electronic Technician Certification Curriculum Framework - 301
3. Electronic Technician Certification Curriculum Framework - 302
4. Verification/Recommendation Letter from Michael Motta dated 5/27/14.
5. Verification/Recommendation Letter from Michael Motta dated 6/13/21.
6. Verification/Recommendation Letter from Michael Motta dated 6/19/23.

7. Verification/Recommendation Letter from John Catanach – No date.
8. 7287 Supervising Electronic Maintenance Technician – 10/31/14 eligible list
9. Acting Assignment Memorandum for Class 7329 Electric Maintenance Technician Assistant Supervisor, from: March 5th, 2022 – June 30th, 2023
10. Thumb-drive containing various logs and relevant letters mentioned, per email instructions in line item 1- 9.

Items 1-3 above show a certification of completion and the curriculum certifications. None of these items demonstrated supervisory duties required to meet the minimum qualifications for the 7287 Supervising Electronic Maintenance Technician recruitment.

Items 4-7 show that you were overseeing various SFMTA staff and contractors over several key projects spanning from 2015 to 2021. Overseeing projects and supervising staff are not synonymous. There are no tasks listed that show the full scope of supervisory responsibilities of staff who perform installation, instrumentation calibration, maintenance, troubleshooting, repair and modification of electronic control systems and related electrical components and electronic sub-systems to the electronic component level. In the undated letter by John Catanach, it is stated that you supervised other electronic technicians and contractors. However, there were no org charts, performance appraisals, acting assignments or other documents found to corroborate that actual supervision duties were being performed during this time period. Such job duties would be out of scope for the assigned 7318 Electronic Maintenance Technician classification.

Item 8 shows that you were qualified and successfully placed on the 7287 Supervising Electronic Maintenance Technician list. Placement on one eligible list does not provide evidence that one should be qualified for another list. Although it is the same classification, each recruitment is stand alone and minimum qualifications are verified each recruitment. Application materials must clearly show possession of the stated minimum qualifications stated on the announcement for which the application was submitted.

Item 9 shows you are currently in an acting assignment as a 7329 Electric Maintenance Technician Assistant Supervisor. Incumbents in Service-Critical classes receive credit for duties assigned per their classification specification and for duties properly documented at the time they were assigned and performed. You have been credited with the one (1) year of supervisory duties experience gained while in the 7329 classification, from 3/5/2022 (the date you were placed in the acting assignment) to 4/21/23 (the date that the examination announcement closed).

As such, a not qualified notice was sent to you on Friday, May 19, 2023, notifying you to submit any additional information by Friday, May 26, 2023, if you wished for your application to be re-considered.

On Monday, May 22, 2023, a phone conversation occurred to discuss the initial not qualified notice received. During the discussion, you indicated that you would prefer to provide additional documentation in person.

On Wednesday, May 24, 2023, you provided a thumb drive in person. Per our conversation and email from that day, you would advise what specific document(s), *Folder name(s)*, and *file name(s)* that needed additional review by the deadline of 5/26/23.

On Friday, May 26, 2023, a follow-up email was sent to request an extension to provide more time to provide additional documentation as well as the instructions for the name(s) of the document(s), that needed additional review. An extension was granted until June 7, 2023.

On Friday, June 2, 2023, per your email, you stated a letter in the thumb drive provided (item 5) *"...that clearly states "personnel supervision" (Paragraph 3, sentence 3) that was dated 7/13/21."* Item 5, was mentioned as the proof of supervisory experience.

On Thursday, June 8, 2023, an email was received from you requesting an additional extension, along with the following documents:

- A. Sanithrone/Astredero Technologies, LLC fillings from 2007
- B. Sanithrone: Agenda Notes 5/3/2019
- C. Sanithrone: Employee Handbook
- D. Sanithrone: Roles and Responsibility Document
- E. Pump Schematic
- F. 2013 Schedule A. Document
- G. OPT: Optimal Solutions Technologies: Business Plan
- H. 2/13/2008 Patent Application: Toilet Ventilation System
- I. Toilet Ventilation System: Attorney Docket No. 28404.00
- J. Resume

The June 8, 2023 email attachments listed above do not show that you performed the full scope of supervisory responsibilities of staff perform installation, instrumentation calibration, maintenance, troubleshooting, repair and modification of electronic control systems and related electrical components and electronic sub-systems to the electronic component level.

Furthermore, the information provided was not a part of the original application. Per the initial not qualified email sent 5/19/23, advises - *"Any new information concerning work experience, education, training and other information that is submitted after the filing deadline may not be used for scoring or considered to determine whether you meet the minimum qualifications."* As such the information provided cannot be considered as it does not appear on your original application and no more extension were to be granted. Of the provided documents, none show the full scope of supervisory responsibilities of staff who perform installation, instrumentation calibration, maintenance, troubleshooting, repair and modification of electronic control

systems and related electrical components and electronic sub-systems to the electronic component level.

On Tuesday, June 20, 2023 you provided item 6, which is a similar letter to item 5. There is a mention of "personnel supervision" in the July 13, 2021 letter and the June 19, 2023 letter adds the additional verbiage; *"His supervisory duties included the enforcement of safety requirements, work planning, maintenance record keeping, quality assurance, assisting others with payroll and timekeeping accounting, and documentation supporting administrative actions"* Unfortunately, the letters do not list tasks that show the full scope of supervisory responsibilities of staff who perform installation, instrumentation calibration, maintenance, troubleshooting, repair and modification of electronic control systems and related electrical components and electronic sub-systems to the electronic component level, thus is not able to verify the additional supervisory experience needed, discussed over the phone.

We find that of all the documents provided after the deadline, and the duties listed in items 1-10, would be consistent with one who is responsible for oversight of a project or coordination of activities, but do not demonstrate the required experience to meet the minimum qualification #2 above:

*Five (5) years of full-time verifiable journey-level industrial or institutional electronics experience performing installation, instrumentation calibration, maintenance, troubleshooting, repair and modification of electronic control systems and related electrical components and electronic sub-systems to the electronic component level; three (3) years of which must have been at the supervisory level.*

The documents provided could be more closely defined as lead work, not supervision. A Lead Worker is someone who may assign work and ensure it is completed for a specific work group. A lead worker may train employees and may provide input on performance discrepancies.

However, a supervisor has overall responsibility for recommending hiring and disciplinary actions to a higher authority; establishing and enforcing work rules and procedures; approving staff overtime, travel and time off requests; setting organizations and unit goals; issuing formal performance evaluations and applying corrective actions to fix areas of deficiency; resolving grievances; and recommending appropriate levels of discipline as needed.

Incumbents in Service-Critical classes receive credit for duties assigned per their classification specification and for duties properly documented at the time they were assigned and performed. Any documents not issued at the time of assignment or performance, and which retrospectively state job duties performed are considered non-contemporaneous.

"Credit for duties in Service-Critical classes at the Municipal Transportation Agency not usually performed by incumbents in a Service-Critical class based on non-contemporaneous documentation shall require the certification of the Municipal Transportation Agency Deputy Director, Labor Relations and Human Resources, and the approval of the Director of Transportation." *Civil Service Commission (CSC) Rule 410.9.1*



In accordance with CSC 410.9.1, the Deputy Director, Labor Relations and Human Resources (now renamed as the Chief People Officer) previously conducted a thorough review of items #1-9 which in addition to being submitted for this recruitment were previously submitted in March of 2022 for recruitment: 7216 Electrical Transit Shop Supervisor I (CBT-7216-T00002). Based on the findings, the Chief People Officer did not certify the letters written and we are therefore unable to accept them for this recruitment. Due to the similar nature of the letters previously used for an application rejection, and based on the analysis detailed above, items A-J also do not demonstrate experience meeting the minimum qualifications.

Therefore, the information provided cannot be applied toward the experience required to qualify for 7287 Supervising Electronic Maintenance Technician and your application for this recruitment will not continue to the next step in the exam process.

Civil Service Commission Rules for the City and County of San Francisco specify announcement, application and examination policies and procedures, including applicant appeal rights. They can be found on the Civil Service Commission website at <https://sfgov.org/civilservice/rules>.

We appreciate your interest in employment with this department and wish you success in your career pursuits. Thank you for your time and interest in this recruitment. Employment information for the City and County of San Francisco may be found at [Careers with Purpose | City and County of San Francisco \(sf.gov\)](#).

San Francisco Transportation Agency

Pierre Aguirre  
Human Resources  
[pierre.aguirre@sfmta.com](mailto:pierre.aguirre@sfmta.com)

Madeleine Chanbanchong  
Human Resources  
Madeleine.Chanbanchong@sfmta.com

RECRUITMENT: CBT-7287-T00044





CIVIL SERVICE COMMISSION  
CITY AND COUNTY OF SAN FRANCISCO

# ATTACHMENT K

LONDON N. BREED  
MAYOR

## NOTICE OF RECEIPT OF APPEAL

DATE: July 21, 2023  
REGISTER NO.: 0145-23-4  
APPELLANT: JAMES S. SANABRIA

Jeffrey Tumlin  
Director of Transportation  
Municipal Transportation Agency  
1 South Van Ness Avenue, 7<sup>th</sup> Floor  
San Francisco, CA 94103

Dear Jeffrey Tumlin:

The Civil Service Commission has received the attached letter from James S. Sanabria appealing the disqualification of their application for Class 7287 Supervising Electronic Technician with the Municipal Transportation Agency. Your review and action are required.

If this matter is not timely or appropriate, please submit CSC Form 13 "Action Request on Pending Appeal/Request," with supporting information and documentation to my attention by email at [civilservice@sfgov.org](mailto:civilservice@sfgov.org). CSC Form 13 is available on the Civil Service Commission's website at [www.sf.gov.org/CivilService](http://www.sf.gov.org/CivilService) on the "File an action request for a Civil Service Commission hearing" page.

In the event that James S. Sanabria's appeal is timely and appropriate, the department is required to submit a staff report in response to the appeal within sixty (60) days so that the matter may be resolved in a timely manner. Accordingly, **the staff report is due no later than 11 a.m. on September 21, 2023**, so that it may be heard by the Civil Service Commission at its meeting on October 2, 2023. If you will be unable to transmit the staff report by the September 21<sup>st</sup> deadline, or if required departmental representatives will not be available to attend the October 2<sup>nd</sup> meeting, please notify me by use of CSC Form 13 as soon as possible, with information regarding the reason for the postponement and a proposed alternate submission and/or hearing date.

Appellant: James S. Sanabria  
July 21, 2023  
Page 2

You may contact me at [Lavena.Holmes@sfgov.org](mailto:Lavena.Holmes@sfgov.org) or (628) 652-1100 if you have any questions. For more information regarding staff report requirements, meeting procedures or future meeting dates, please visit the Commission's website at [www.sf.gov.org/CivilService](http://www.sf.gov.org/CivilService).

Sincerely,

CIVIL SERVICE COMMISSION

/s/

LAVENA HOLMES  
Deputy Director

#### Attachment

Cc: Kimberly Ackerman, Municipal Transportation  
William Miles, Municipal Transportation Agency  
Shivani Nath, Municipal Transportation Agency  
Romika Williams, Municipal Transportation Agency  
Pierre Aguirre, Municipal Transportation Agency



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

**LONDON N. BREED  
MAYOR**

*Sent via Email*

July 21, 2023

James S. Sanabria  
[REDACTED]

Subject: **Register No. 0145-23-4: Appealing the Disqualification of their Application for Class 7287 Supervising Electronic Technician with the Municipal Transportation Agency.**

Dear James S. Sanabria:

This is in response to your appeal submitted to the Civil Service Commission on July 18, 2023, appealing the disqualification of your application for Class 7287 Supervising Electronic Technician with the Municipal Transportation Agency. Your appeal has been forwarded to the Municipal Transportation Agency for investigation and response to the Civil Service Commission.

If your appeal is timely and appropriate, the department will submit its staff report on this matter to the Civil Service Commission in the near future to request that it be scheduled for a hearing. The Civil Service Commission generally meets on the 1st and 3rd Mondays of each month. You will receive notice of the meeting and the department's staff report on your appeal two Fridays before the hearing date via email, as you have requested on your appeal form.

In the meantime, you may wish to compile any additional information you would like to submit to the Commission in support of your position. The deadline for receipt in the Commission office of any additional information you may wish to submit is 5:00 p.m. on the Tuesday preceding the meeting date by email to [civilservice@sfgov.org](mailto:civilservice@sfgov.org). Please be sure to redact your submission for any confidential or sensitive information (e.g., home addresses, home or cellular phone numbers, social security numbers, dates of birth, etc.), as it will be considered a public document.

You may contact me by email [Lavena.Holmes@sfgov.org](mailto:Lavena.Holmes@sfgov.org) or by phone at (628) 652-1100 if you have any questions. You may also access the Civil Service Commission's meeting calendar, and information regarding staff reports and meeting procedures, on the Commission's website at [www.sf.gov.org/CivilService](http://www.sf.gov.org/CivilService).

Sincerely,

CIVIL SERVICE COMMISSION

/s/


LAVENA HOLMES  
Deputy Director

**Appeal - 7287 Sanabria\_2030717**

Sanabria, James &lt;James.Sanabria@sfmta.com&gt;

Mon 7/17/2023 6:10 AM

To:CivilService, Civil (CSC) &lt;civilservice@sfgov.org&gt;

 11 attachments (5 MB)

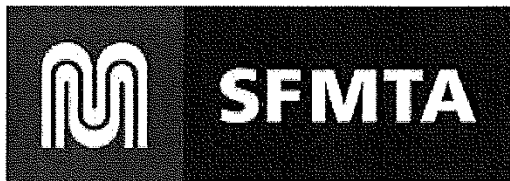
CivSerCOMM\_20230715.pdf; A2022.07.01\_AP 7318 James Sanabria\_updated PCN\_signed.pdf; CCSF 7287 Application Work Experience Issue; 2022.03.14\_AAP\_packet\_7318\_James Sanabria\_signed.pdf; 7287 List\_Sanabria\_10.27.14.pdf; Sanabria\_Motta\_RECOMM.pdf; Sanabria\_Motta\_WRKEXP.PDF; Sanabria\_Motta\_WRKEXP\_Detailed.pdf; Fw: Supervising Electronic Maintenance Technician - City and County of San Francisco - Multiple Departments Citywide (7287) - Application Review; RE: Acting Verification 7287 (acting); Sanabria\_Catanach\_WRKEXP.pdf;

Attached is the appeal application and initial supporting documentation.

Thank you.

Best Regards,

**James Sanabria** (He/Him)



San Francisco Municipal Railway  
Fleet Maintenance


LRV Technical Projects & Engineering Support / ERU /  
Supervising Electronic Maint. Tech.  
(Farebox, Radio & Video Shops)

425 Geneva Avenue  
Metro Annex - 2nd Floor  
San Francisco, CA 94127

Tel: 415-337-2219

Cell: 415-265-3979

[James.Sanabria@sfmta.com](mailto:James.Sanabria@sfmta.com)

 SFMTA.com

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**CIVIL SERVICE COMMISSION**  
**City and County of San Francisco**  
 25 Van Ness Avenue, Suite 720  
 San Francisco, California 94102-6033  
 Executive Officer  
 (628) 652-1100

CSC Register No.
_____
To:
_____
CC:
_____

**APPEAL TO THE CIVIL SERVICE COMMISSION**

<p><b>INSTRUCTIONS:</b>          Submit an original copy of this form to the Executive Officer of the Civil Service Commission at the address above <b>within the designated number of days</b> following the postmarked mailing date or email date (whichever is applicable) of the Department of Human Resources' or Municipal Transportation Agency's notification to the appellant. The appellant's/authorized representative's original signature is required. (E-mail is not accepted.) It is recommended that you include all relevant information and documentation in support of your appeal.</p>	<p><b>TYPE OF APPEAL:</b> (Check One)  <input type="checkbox"/> Examination Matters (by close of business on 5<sup>th</sup> working day)  <input type="checkbox"/> Employee Compensation Matters (by close of business on 7<sup>th</sup> working day) - Limited application  <input type="checkbox"/> Personal Service Contracts (Posting Period)  <input checked="" type="checkbox"/> Other Matters (i.e., Human Resources Director/Executive Officer Action) (30 Calendar days)  <input type="checkbox"/> Future Employability Recommendations (See Notice to Employee)</p>
--	---

"During the Shelter Order dated March 17, 2020, we are accepting appeals by email at [chsilservice@sf.gov](mailto:chsilservice@sf.gov)"

James S. Sanabria

Full Name of Appellant	Work Address	Work Telephone		
7287 Supervising Electronic Technician (acting)	Municipal Railway			
Job Code	Title	Department		
Residence Address	City	State	Zip	Home Telephone
N/A	N/A			
Full Name of Authorized Representative (if any)	Telephone Number of Representative (including Area Code)			

**NOTE:** If this is deemed to be a timely and appealable matter, the department will submit a staff report to the Civil Service Commission to request that it be scheduled for hearing. You will be notified approximately one week in advance of the hearing date, at which time you will be able to pick up a copy of the department's staff report at the Commission's offices. If you would instead prefer Commission staff to email you a copy of the meeting notice and staff report, please provide your email address below.

**Email:** \_\_\_\_\_

**COMPLETE THE BASIS OF THIS APPEAL ON THE REVERSE SIDE. (Use additional page(s) if necessary)**

Does the basis of this appeal include new information not previously presented in the appeal to the Human Resources Director? If so, please specify.	Check One:                      Yes                      No
--	---

Original Signature of Appellant or Authorized Representative \_\_\_\_\_ Date 7/15/23

CSC-12 (5/2021)

Date Received by Civil Service Commission: \_\_\_\_\_

**State the basis of this appeal in detail.** For more information about appeal rights and deadlines, please review the Civil Service Rules located on the Civil Service Commission's website at [www.sf.gov.org/CivilService](http://www.sf.gov.org/CivilService).

There seems to be delay and a potential confusion with the reviewing personnel at SFMTA regarding my previous work experience/history that qualifies me for the position I have applied for (7287 – Supervising Electronic Technician). I would like to know what path forward is available to get this addressed, as it has now become a time sensitive situation. I have attached the current email communication between HR and myself, and also, some of the items I have submitted to SFMTA HR as proof of my work experience/history.

Furthermore, I was previously vetted, approved and ranked #2 for the exact same position I am currently applying for now, back in 2014 (see attached – I chose not to take the position at that time). Therefore, am quite vexed with all this and I feel that the potential exists that my rights are under violation, CCSF rules and regulations are being ignored, and my union (IBEW – Local 6) protections are being violated.

At this point, I feel that I am strictly being manipulated and I feel this all in retaliation for my current award from a lawsuit to the city for \$575K. In reviewing the email communications attached, you can see the asks are shifted multiple times. Every time I provide what they request, there is something else they need, to finally, the ask has already been previously provided, yet is now indicated that it was not provided and the review is now closed.

This all beyond frustrating and all while dealing with a severe illness, the potential impending death of my father and having, last week, acquired 17 more personnel to supervise.

CSC-12 (5/2021)

(Use additional sheets if needed)



MEMORANDUM

Date: March 14, 2022  
To: Michael Keohane, Payroll Manager  
From: Kimberly W. Ackerman, Chief People Officer *kimberly ackerman*  
Re: Acting Assignment Pay Request for James Sanabria  
Electronic Maintenance Technician, Job Code 7318

James Sanabria, Electronic Maintenance Technician, Job Code 7318 has been assigned to perform the full range of duties and responsibilities of the Supervising Electronic Maintenance Technician, Job Code 7287. This acting assignment pay is in accordance with the current Memorandum of Understanding between the SFMTA and IBEW, Local 6, Acting Assignment Pay.

Please adjust employee's salary rate as shown below for a period from March 5, 2022, through June 30, 2022:

Job Code 7318 Compensation Schedule No. 7318V, \$5221 BW (Step 5);  
New Job Code 7287 Adjusted Compensation Schedule No. 7287 \$5758 BW (Step 4)

Your cooperation in expediting the necessary payroll adjustments is appreciated. Should you have any questions, please contact Sabrina Blanco, HR Analyst, at 415.646.4566.

Thank you for your assistance in this process.

Attachments: Acting Assignment Pay Form

Cc: Julie Kirschbaum, Director of Transit, Transit Division  
Charles Drane, Chief Maintenance Officer, Transit Division  
Louis Guzzo, Director of Director of Transit Maintenance, Transit Division  
James Sanabria, Supervising Electronic Maintenance Technician, Transit Division  
Emily Williams, Transit Administration, Transit Division  
Walter Montes, Transit Administration, Transit Division  
William Doan, Transit Administration, Transit Division  
Marilou Perez, Transit Administration, Transit Division  
Aaron Beckwith, ELR, HR Division  
Susan Vang-Chan, ELR, HR Division  
Nicolle Lewis, Payroll  
Qihong Feng, Payroll  
Mimi Tran, Payroll  
Acting Assignment Pay File  
Employee's Personnel File Chron File







London Breed, Mayor

Gwyneth Borden, Chair  
Amanda Eaken, Vice Chair  
Cheryl Brinkman, Director  
Steve Heminger, Director

Fiona Hinze, Director  
Sharon Lai, Director  
Manny Yekutieli, Director

Jeffrey Tumlin, Director of Transportation

MEMORANDUM

Date: March 8, 2022

To: Kimberly W. Ackerman  
Director, Human Resources

Through: Emily Williams *Emily Williams*  
Business and Administration Manager, Transit Division

From: Louis Guzzo *Guzzo, Louis*  
Director of Transit Maintenance

Re: Request for Acting Assignment Pay – James Sanabria  
7287 – Supervising Electronic Maintenance Technician – New

James Sanabria, 7318 Electronic Maintenance Technician, has been assigned to perform the full range of duties and responsibilities of the 7287 Supervising Electronic Maintenance Technician position of the Electrical Support Shops due to the operational need to supervise the Radio, Farebox and Video Support Shops. Therefore, it is requested that James Sanabria be granted acting assignment pay effective March 5, 2022, in classification 7287 Supervising Electronic Maintenance Technician. It is anticipated that the acting assignment will end on or before June 30, 2022.

This request is made pursuant to the current Memorandum of Understanding (MOU) in place between the SAN FRANCISCO MUNICIPAL TRANSPORTATION AGENCY / CITY & COUNTY OF SAN FRANCISCO and THE INTERNATIONAL BROTHERHOOD OF ELECTRICAL WORKERS LOCAL 6. All pertinent supporting documents are enclosed.

If you have further questions regarding this request, please contact me at (415) 646-2805.

Attachments:

1. Acting Assignment Notification Memo
2. Current Dated Organizational Chart
3. Acting Assignment Pay Request Form

CC: Julie Kirschbaum, Director of Transit, Transit Division  
Charles Drane, Chief Maintenance Officer, Transit Division  
Louis Guzzo, Director of Director of Transit Maintenance, Transit Division  
James Sanabria, Supervising Electronic Maintenance Technician, Transit Division

San Francisco Municipal Transportation Agency 1 South Van Ness Avenue, 7<sup>th</sup> Floor San Francisco, CA 94103 SFMTA.com

311 Free language assistance / 免費語言協助 / Ayuda gratis con el idioma / Бесплатная помощь переводчиков / Trợ giúp Thông dịch Miễn phí / Assistance linguistique gratuite / 無料の言語支援 / Librang tulong para sa wikang Filipino / 무료 언어 지원 / การช่วยเหลือทางภาษาโดยไม่เสียค่าใช้จ่าย / خط المساعدة المجاني على الرقم



Aaron Beckwith, ELR, HR Division  
Susan Chan-Vang, ELR, HR Division  
Emily Williams, Transit Administration, Transit Division  
Walter Montes, Transit Administration, Transit Division  
William Doan, Transit Administration, Transit Division  
[EE's PERSONNEL FILE]  
[CHRON FILE]



London Breed, Mayor

Gwyneth Borden, Chair  
Amanda Eaken, Vice Chair  
Cheryl Brinkman, Director  
Steve Heminger, Director

Fiona Hinze, Director  
Sharon Lai, Director  
Manny Yekutieli, Director

Jeffrey Tumlin, Director of Transportation

## MEMORANDUM

Date: March 8, 2022

To: James Sanabria  
7318 – Electronic Maintenance Technician

From: Louis Guzzo *Guzzo, Louis*  
Director of Transit Maintenance

Re: Acting Assignment Appointment – New

Thank you for your effort and dedication while serving as the 7287 Supervising Electronic Maintenance Technician position within the Green division. Your acting assignment as the 7287 Supervising Electronic Maintenance Technician of the Electrical Support Shops will be granted as of March 5, 2022. You will perform the full range of essential functions of the 7287 Supervising Electronic Maintenance Technician.

Your effective date will be March 5, 2022 and it is anticipated that the acting assignment will end before or on June 30, 2022.

Please be aware that the acting assignment pay is subject to the approval of the Director of Human Resources, SFMTA Appointing Officer's designee and Finance.

Cc: Julie Kirschbaum, Director of Transit, Transit Division  
Charles Drane, Chief Maintenance Officer, Transit Division  
Louis Guzzo, Director of Director of Transit Maintenance, Transit Division  
James Sanabria, Supervising Electronic Maintenance Technician, Transit Division  
Aaron Beckwith, ELR, HR Division  
Susan Chan-Vang, ELR, HR Division  
Emily Williams, Transit Administration, Transit Division  
Walter Montes, Transit Administration, Transit Division  
William Doan, Transit Administration, Transit Division  
[EE's PERSONNEL FILE]  
[CHRON FILE]

San Francisco Municipal Transportation Agency 1 South Van Ness Avenue, 7<sup>th</sup> Floor San Francisco, CA 94103 SFMTA.com

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## ACTING ASSIGNMENT PAY REQUEST FORM

### I. EMPLOYEE INFORMATION

Please **DO NOT** fill in **Highlighted** fields

Name of Employee Assigned James Sanabria				Salary (for period of assignment) Bi-weekly		(Rate Change & eff. Date)	(Rate Change & eff. Date)
Employee ID (DSW ID#) [REDACTED]		Employee Organization IBEW Local 6		Hourly			
Current Job Code/Title 7318 – Electronic Maintenance Technician				Step			
				Salary Grade #			
Current Funding Job Code 7318	Pos. No. 73180075	Dept 68	Budget Combo Code 8535205	Project & Activity ID 10001724 & 14	Project	Grant	Other

### II. ASSIGNMENT INFORMATION (Position to which employee will be assigned)

IS THIS AN EXTENSION? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		Explain:		Date Extension Begins		Date Extension Ends	
Job Code/Title of Temporary Assignment 7287 – Supervising Electronic Maintenance Technician		Date Assignment Begins 3/5/2022		Adjusted Salary Bi-weekly		(Rate Change & eff. Date)	(Rate Change & eff. Date)
Vice Name Louis Guzzo III		Date Assignment Ends 6/30/2022		Hourly			
Reason for Assignment Vice Louis Guzzo III promoted to PCN #91820022		Eff. Date Acting Pay 3/5/2022		Step			
				Salary Grade #			
Description of Duties: (DO NOT ATTACH JOB CLASS SPECIFICATION) Janes will Assign, supervise and inspects the troubleshooting, maintenance, repair, calibration, fabrication, installation, design modification and development of electronic systems and components, which may include, but not limited to, electronic systems on electric transit vehicles, wayside and central control equipment, remote terminal units (RTU), servers, network and fiber optics communication systems, supervisory control, instrumentation and control systems, radio, fire alarm and security systems, video equipment, digital electronic equipment, telemetering, communication, protective relays, meters, and other electronic and auxiliary apparatus. Directs, monitors, analyzes and prepares written reports on various tasks such as maintenance progress, recommendations relating to improvement of equipment reliability, personnel effectiveness, operating policies and procedures, etc.							
FUNDING IDENTIFICATION <input checked="" type="checkbox"/> Budgeted <input type="checkbox"/> Non-Budgeted* PCN: 72280008      Combo Code: 9760962		Dept 68	Program	Acting Project ID 10001724		Grant	Other
*Explain							

### III. APPROVALS

Certifies Assignment meets conditions of applicable MOU provisions And validates description of duties statement.  Signature of Appointing Officer or Designee  Kimberly W. Ackerman Director of Human Resources  Date	Certification of availability of funds SFMTA Finance  Signature  Auggie Mense Budget  Date
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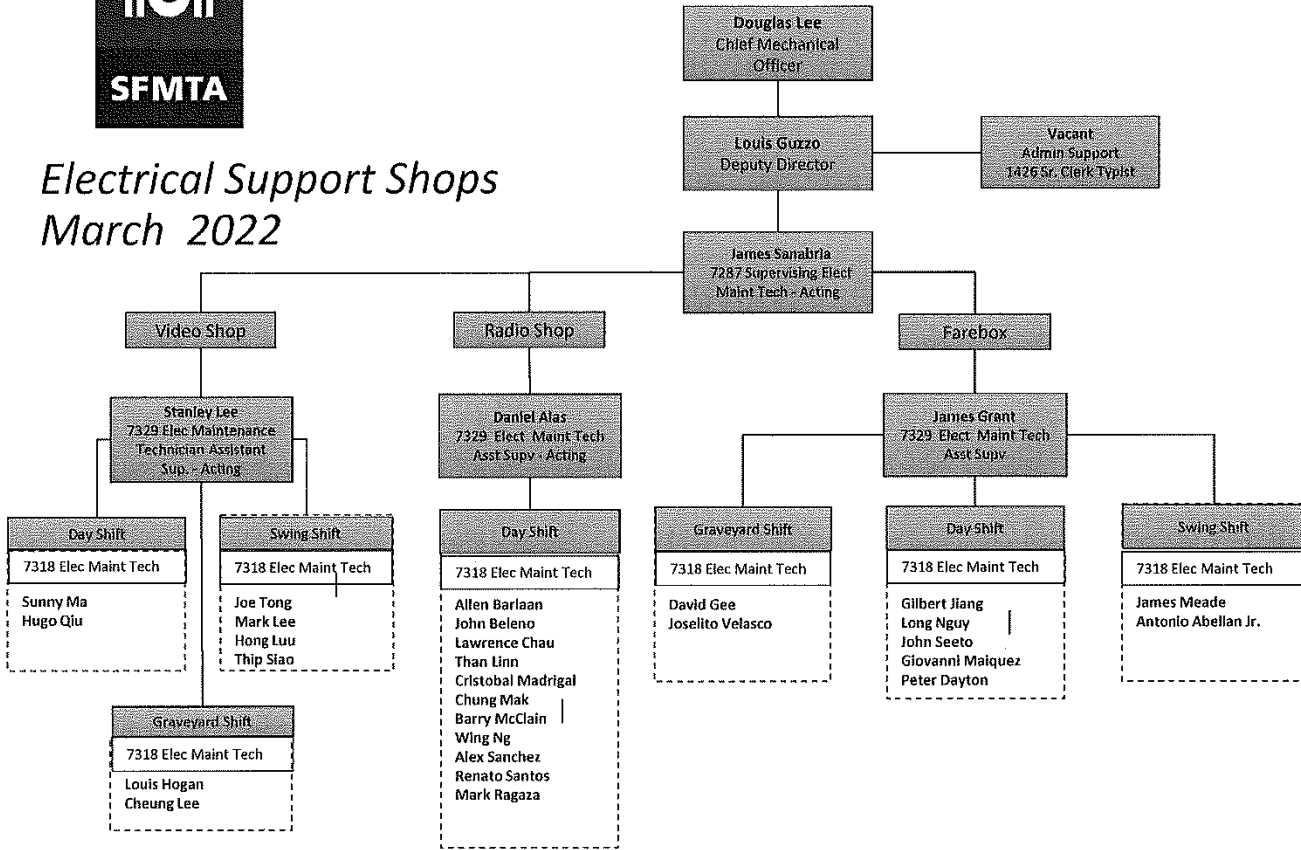
DEPARTMENT: Retain copy of this form. It may be submitted to support claims of qualifying experience for DHR examinations.

To Division Date		To Payroll Date		Log Date	
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Corrections to Form By: 0 SFMTA Finance      Date: \_\_\_\_\_



*Electrical Support Shops  
March 2022*





City and County of San Francisco Department of Human Resources  
Eligible List

**List ID:** 900313 CBT Discrete **List Type:** CPE  
**Class:** 7287 Sprv Electronic Main Tech **Scope:** Citywide  
**Working Title:**  
**Post:** 10/30/2014 **Cert Rule:** Rule of Three Scores **Duration:** 12 Months  
**Inspection Start:** 10/31/2014 **Inspection End:** 11/4/2014 **Adoption:** Tentative

Rank	Score	Last Name	First Name	Middle
1	974	DRANE	CHARLES	W
1	974	MCINTYRE	SHAWN	T
1	974	SHERIDAN	THOMAS	M
2	931	HARBIN	DAVID	W
2	931	LEW	JONATHAN	D
2	931	OUTLIQUA	KHALID	
2	931	SANABRIA	JAMES	S
3	889	CHEN	RICKY	H
4	846	PANGELINAN	CHARLES	C
4	846	YEE	SAMMY	K
5	803	DOON	NELSON	
6	786	KOLEDIN	DANIEL	J
7	760	NGUYEN	PHONG	T
7	760	TSURKAN	VASILYIY	

10/30/2014 1:34:53 PM



MEMORANDUM

Date: December 13, 2022  
To: Nicolle Lewis, Acting Payroll Manager  
From: Kimberly W. Ackerman, Chief People Officer *Kimberly Ackerman*  
Re: Acting Assignment Pay Request for James Sanabria  
Electronic Maintenance Technician, Job Code 7318 – Updated Acting PCN

James Sanabria, Electronic Maintenance Technician, Job Code 7318 has been assigned to perform the full range of duties and responsibilities of the Supervising Electronic Maintenance Technician, Job Code 7287. This acting assignment pay is in accordance with the current Memorandum of Understanding between the SFMTA and IBEW, Local 6, Acting Assignment Pay.

Please adjust employee's salary rate as shown below for a period from July 1, 2022, through June 30, 2023:

Job Code 7318 Compensation Schedule No. 7318W, \$5495 BW (Step 5);  
New Job Code 7287 Adjusted Compensation Schedule No. 7287W \$6060 BW (Step 4)

Your cooperation in expediting the necessary payroll adjustments is appreciated. Should you have any questions, please contact Sabrina Blanco, HR Analyst, at 415.646.4566.

Thank you for your assistance in this process.

Attachments: Acting Assignment Pay Form

Cc: Julie Kirschbaum, Director of Transit, Transit Division  
Charles Drane, Chief Maintenance Officer, Transit Division  
Louis Guzzo, Director of Director of Transit Maintenance, Transit Division  
James Sanabria, Supervising Electronic Maintenance Technician, Transit Division  
Emily Williams, Transit Administration, Transit Division  
Sammy Ye, Transit Administration, Transit Division  
William Doan, Transit Administration, Transit Division  
Marilou Perez, Transit Administration, Transit Division  
Aaron Beckwith, ELR, HR Division  
Susan Vang-Chan, ELR, HR Division  
Nicolle Lewis, Payroll  
Mimi Tran, Payroll  
Acting Assignment Pay File  
Employee's Personnel File Chron File



# ACTING ASSIGNMENT PAY REQUEST FORM

## I. EMPLOYEE INFORMATION

Please **DO NOT** fill in **Highlighted** fields

Name of Employee Assigned James Sanabria				Salary (for period of assignment)		(Rate Change & eff. Date)	(Rate Change & eff. Date)
Employee ID (DSW ID#)		Employee Organization		Bi-weekly	\$5495		
		IBEW Local 6		Hourly	\$68.6875		
Current Job Code/Title 7318 – Electronic Maintenance Technician				Step	5		
				Salary Grade #	7318W		
				Eff Date	7/1/2022		
Current Funding Job Code 7318	Pos. No. 73180075	Dept 68	Budget Combo Code 8535205	Project & Activity ID 10001724 & 14	Project	Grant	Other

## II. ASSIGNMENT INFORMATION (Position to which employee will be assigned)

IS THIS AN EXTENSION? Yes	Explain: Position is still vacant	Date Extension Begins 7/1/22	Date Extension Ends 6/30/23
Job Code/Title of Temporary Assignment 7287 – Supervising Electronic Maintenance Technician	Date Assignment Begins 7/1/2022	Adjusted Salary Bi-weekly \$6060	(Rate Change & eff. Date)
Vice Name Emmanuel Enriquez	Date Assignment Ends 6/30/2023	Hourly \$75.7500	(Rate Change & eff. Date)
Reason for Assignment Vice on acting assignment for PCN# 91800043	Eff. Date Acting Pay 3/5/2022	Step 4	(Rate Change & eff. Date)
		Salary Grade # 7287W	(Rate Change & eff. Date)
		Eff Date 7/1/2022	(Rate Change & eff. Date)
Description of Duties: (DO NOT ATTACH JOB CLASS SPECIFICATION)			
<p>Janes will Assign, supervise and inspects the troubleshooting, maintenance, repair, calibration, fabrication, installation, design modification and development of electronic systems and components, which may include, but not limited to, electronic systems on electric transit vehicles, wayside and central control equipment, remote terminal units (RTU), servers, network and fiber optics communication systems, supervisory control, instrumentation and control systems, radio, fire alarm and security systems, video equipment, digital electronic equipment, telemetering, communication, protective relays, meters, and other electronic and auxiliary apparatus. Directs, monitors, analyzes and prepares written reports on various tasks such as maintenance progress, recommendations relating to improvement of equipment reliability, personnel effectiveness, operating policies and procedures, etc.</p>			
FUNDING IDENTIFICATION		Dept 68	Program
<input checked="" type="checkbox"/> Budgeted <input type="checkbox"/> Non-Budgeted* PCN: 72280007   Combo Code: 8588637		Acting Project ID 10001724	Grant
			Other
*Explain			

## III. APPROVALS

Certifies Assignment meets conditions of applicable MOU provisions And validates description of duties statement.  <i>Kimberly Ackerman</i> Signature of Appointing Officer or Designee  Kimberly W. Ackerman Director of Human Resources	Certification of availability of funds SFMTA Finance  <i>Auggie Mense</i> Signature  Auggie Mense Budget
December 13, 2022 Date	December 16, 2022 Date

DEPARTMENT: Retain copy of this form. It may be submitted to support claims of qualifying experience for DHR examinations.

To Division Date	To Payroll Date	Log Date
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Corrections to Form By: 0 SFMTA Finance   Date: \_\_\_\_\_





London Breed, Mayor

Gwyneth Borden, Chair  
Amanda Eaken, Vice Chair  
Cheryl Brinkman, Director  
Steve Heminger, Director

Fiona Hinze, Director  
Sharon Lai, Director  
Manny Yekutieli, Director

Jeffrey Tumlin, Director of Transportation

## MEMORANDUM

Date: May 25, 2022

To: Kimberly W. Ackerman  
Director, Human Resources

Through: Emily Williams *Emily Williams*  
Chief Transit Administration Officer, Transit Division

From: Louis Guzzo *Guzzo, Louis*  
Director of Transit Maintenance

Re: Request for Acting Assignment Pay – James Sanabria  
7287 – Supervising Electronic Maintenance Technician – Extension  
Update PCN# to 72280007

James Sanabria, 7318 Electronic Maintenance Technician, has been assigned to perform the full range of duties and responsibilities of the 7287 Supervising Electronic Maintenance Technician position of the Electrical Support Shops due to the operational need to supervise the Radio, Farebox and Video Support Shops. Therefore, it is requested that James Sanabria be granted acting assignment pay effective July 1, 2022, in classification 7287 Supervising Electronic Maintenance Technician. It is anticipated that the acting assignment will end on or before June 30, 2023.

This request is made pursuant to the current Memorandum of Understanding (MOU) in place between the SAN FRANCISCO MUNICIPAL TRANSPORTATION AGENCY / CITY & COUNTY OF SAN FRANCISCO and THE INTERNATIONAL BROTHERHOOD OF ELECTRICAL WORKERS LOCAL 6. All pertinent supporting documents are enclosed.

If you have further questions regarding this request, please contact me at (415) 646-2805.

### Attachments:

1. Acting Assignment Notification Memo
2. Current Dated Organizational Chart
3. Acting Assignment Pay Request Form

CC: Julie Kirschbaum, Director of Transit, Transit Division  
Charles Drane, Chief Maintenance Officer, Transit Division  
Louis Guzzo, Director of Director of Transit Maintenance, Transit Division  
James Sanabria, Supervising Electronic Maintenance Technician, Transit Division

San Francisco Municipal Transportation Agency 1 South Van Ness Avenue, 7<sup>th</sup> Floor San Francisco, CA 94103 SFMTA.com

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Aaron Beckwith, ELR, HR Division  
Susan Vang-Chan, ELR, HR Division  
Sabrina Blanco, ELR, HR Division  
Emily Williams, Transit Administration, Transit Division  
Sammy Ye, Transit Administration, Transit Division  
William Doan, Transit Administration, Transit Division  
Marilou Perez, Transit Administration, Transit Division  
[EE's PERSONNEL FILE]  
[CHRON FILE]



London Breed, Mayor

Gwyneth Borden, Chair  
Amanda Eaken, Vice Chair  
Cheryl Brinkman, Director  
Steve Heminger, Director

Fiona Hinze, Director  
Sharon Lai, Director  
Manny Yekutieli, Director

Jeffrey Tumlin, Director of Transportation

MEMORANDUM

Date: May 25, 2022  
To: James Sanabria  
7318 – Electronic Maintenance Technician  
From: Louis Guzzo *Guzzo, Louis*  
Director of Transit Maintenance  
Re: Acting Assignment Appointment – Extension

Thank you for your effort and dedication while serving as the 7287 Supervising Electronic Maintenance Technician position within the Green division. Your acting assignment as the 7287 Supervising Electronic Maintenance Technician of the Electrical Support Shops will be granted as of July 1, 2022. You will perform the full range of essential functions of the 7287 Supervising Electronic Maintenance Technician.

Your effective date will be July 1, 2022 and it is anticipated that the acting assignment will end before or on June 30, 2023.

Please be aware that the acting assignment pay is subject to the approval of the Director of Human Resources, SFMTA Appointing Officer’s designee and Finance.

Cc: Julie Kirschbaum, Director of Transit, Transit Division  
Charles Drane, Chief Maintenance Officer, Transit Division  
Louis Guzzo, Director of Director of Transit Maintenance, Transit Division  
James Sanabria, Supervising Electronic Maintenance Technician, Transit Division  
Aaron Beckwith, ELR, HR Division  
Susan Vang-Chan, ELR, HR Division  
Sabrina Blanco, ELR, HR Division  
Emily Williams, Transit Administration, Transit Division  
Sammy Ye, Transit Administration, Transit Division  
William Doan, Transit Administration, Transit Division  
Marilou Perez, Transit Administration, Transit Division  
[EE’s PERSONNEL FILE]  
[CHRON FILE]



# ACTING ASSIGNMENT PAY REQUEST FORM

## I. EMPLOYEE INFORMATION

Please **DO NOT** fill in Highlighted fields

Name of Employee Assigned James Sanabria				Salary (for period of assignment) Bi-weekly		(Rate Change & eff. Date)	(Rate Change & eff. Date)
Employee ID (DSW ID#) [REDACTED]		Employee Organization IBEW Local 6		Hourly			
Current Job Code/Title 7318 – Electronic Maintenance Technician				Step			
				Salary Grade #			
Current Funding Job Code 7318	Pos. No. 73180075	Dept 68	Budget Combo Code 8535205	Project & Activity ID 10001724 & 14	Project	Grant	Other

## II. ASSIGNMENT INFORMATION (Position to which employee will be assigned)

IS THIS AN EXTENSION? Yes	Explain: Position is still vacant	Date Extension Begins 7/1/22	Date Extension Ends 6/30/23
Job Code/Title of Temporary Assignment 7287 – Supervising Electronic Maintenance Technician	Date Assignment Begins 7/1/2022	Adjusted Salary Bi-weekly	(Rate Change & eff. Date)
Vice Name Emmanuel Enriquez	Date Assignment Ends 6/30/2023	Hourly	(Rate Change & eff. Date)
Reason for Assignment Vice on acting assignment for PCN# 91800043	Eff. Date Acting Pay 3/5/2022	Step	
Salary Grade #			
Description of Duties: (DO NOT ATTACH JOB CLASS SPECIFICATION) Janes will Assign, supervise and inspects the troubleshooting, maintenance, repair, calibration, fabrication, installation, design modification and development of electronic systems and components, which may include, but not limited to, electronic systems on electric transit vehicles, wayside and central control equipment, remote terminal units (RTU), servers, network and fiber optics communication systems, supervisory control, instrumentation and control systems, radio, fire alarm and security systems, video equipment, digital electronic equipment, telemetering, communication, protective relays, meters, and other electronic and auxiliary apparatus. Directs, monitors, analyzes and prepares written reports on various tasks such as maintenance progress, recommendations relating to improvement of equipment reliability, personnel effectiveness, operating policies and procedures, etc.			
FUNDING IDENTIFICATION		Dept 68	Program
<input checked="" type="checkbox"/> Budgeted <input type="checkbox"/> Non-Budgeted* PCN:                      Combo Code: 72280007            8588637		Acting Project ID 10001724	Grant
Other			
*Explain			

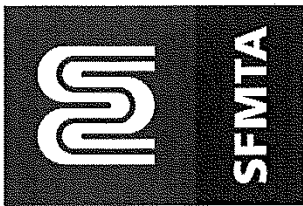
## III. APPROVALS

Certifies Assignment meets conditions of applicable MOU provisions And validates description of duties statement.  Signature of Appointing Officer or Designee  Kimberly W. Ackerman Director of Human Resources  <div style="text-align: right;">Date</div>	Certification of availability of funds SFMTA Finance  Signature  Auggie Mense Budget  <div style="text-align: right;">Date</div>
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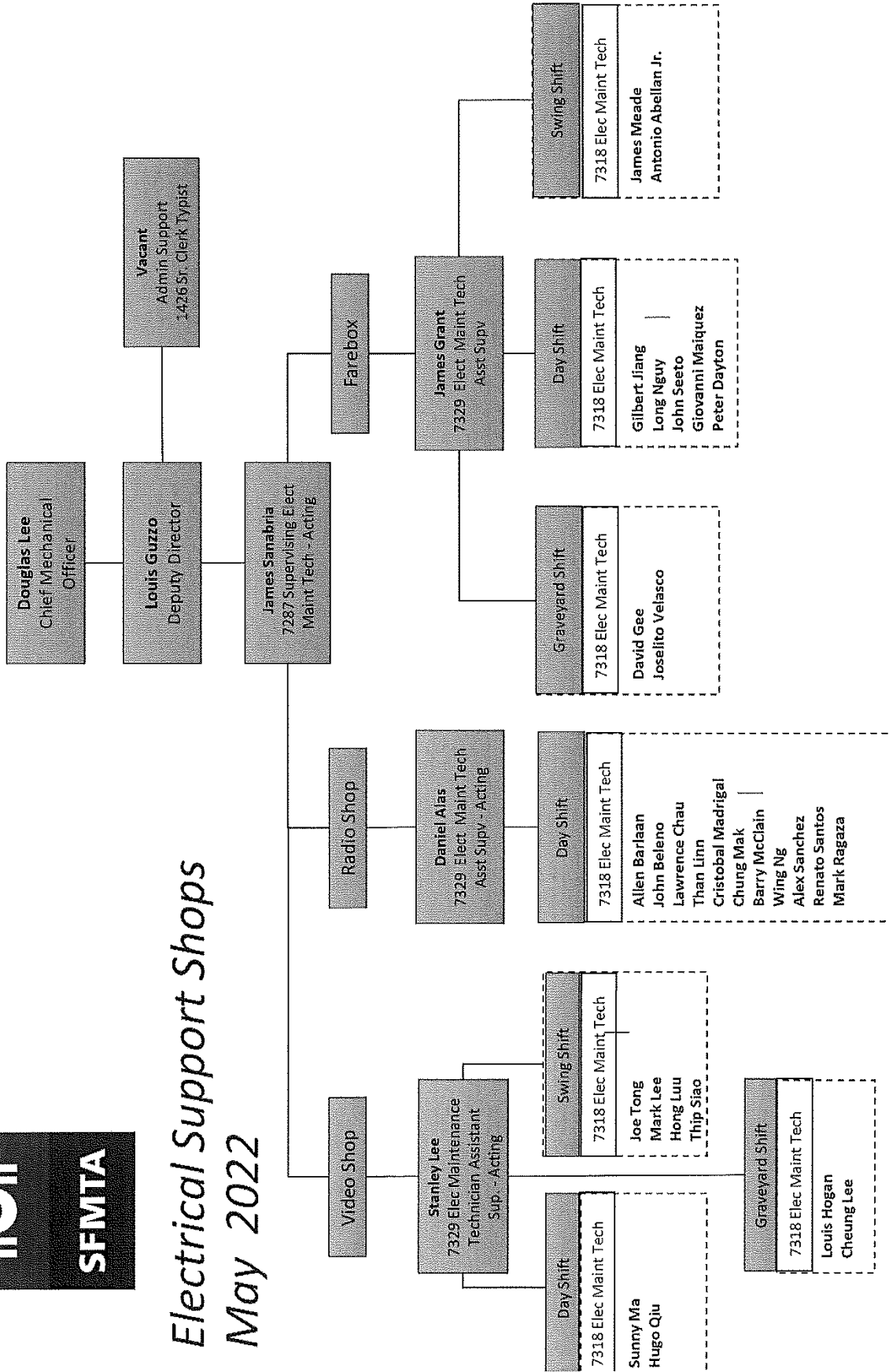
DEPARTMENT: Retain copy of this form. It may be submitted to support claims of qualifying experience for DHR examinations.

To Division Date		To Payroll Date		Log Date	
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Corrections to Form By: 0 SFMTA Finance    Date: \_\_\_\_\_



# Electrical Support Shops May 2022





**CIVIL SERVICE COMMISSION**  
**City and County of San Francisco**  
 25 Van Ness Avenue, Suite 720  
 San Francisco, California 94102-6033  
 Executive Officer  
 (628) 652-1100

CSC Register No.  
 \_\_\_\_\_  
 To: \_\_\_\_\_  
 CC: \_\_\_\_\_

**APPEAL TO THE CIVIL SERVICE COMMISSION**

<p><b>INSTRUCTIONS:</b>          Submit an original copy of this form to the Executive Officer of the Civil Service Commission at the address above within the designated number of days following the postmarked mailing date or email date (whichever is applicable) of the Department of Human Resources' or Municipal Transportation Agency's notification to the appellant. The appellant's/authorized representative's original signature is required. (E-mail is not accepted.) It is recommended that you include all relevant information and documentation in support of your appeal.</p>	<p><b>TYPE OF APPEAL:</b> (Check One)  <input checked="" type="checkbox"/> Examination Matters (by close of business on 5<sup>th</sup> working day)  <input type="checkbox"/> Employee Compensation Matters (by close of business on 7<sup>th</sup> working day) - Limited application  <input type="checkbox"/> Personal Service Contracts (Posting Period)  <input type="checkbox"/> Other Matters (i.e., Human Resources Director/Executive Officer Action) (30 Calendar days)  <input type="checkbox"/> Future Employability Recommendations (See Notice to Employee)</p>
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\*During the Shelter Order dated March 17, 2020, we are accepting appeals by email at civilservice@sf.gov\*

James Seven Sambria \_\_\_\_\_

Full Name of Appellant	Work Address	Work Telephone		
	SFMTA – Municipal Railways			
	Department			
	_____			
Residence Address	City	State	Zip	Home Telephone
Full Name of Authorized Representative (if any)	Telephone Number of Representative (including Area Code)			

**NOTE:** If this is deemed to be a timely and appealable matter, the department will submit a staff report to the Civil Service Commission to request that it be scheduled for hearing. You will be notified approximately one week in advance of the hearing date, at which time you will be able to pick up a copy of the department's staff report at the Commission's offices. If you would instead prefer Commission staff to email you a copy of the meeting notice and staff report, please provide your email address below.

**Email:** \_\_\_\_\_

**COMPLETE THE BASIS OF THIS APPEAL ON THE REVERSE SIDE. (Use additional page(s) if necessary)**

<p>Does the basis of this appeal include new information not previously presented in the appeal to the Human Resources Director? If so, please specify.</p>	<p>Check One:  <input checked="" type="checkbox"/> Yes      <input type="checkbox"/> No</p>
---	---

Original Signature of Appellant or Authorized Representative \_\_\_\_\_ Date 6/1/23

CSC-12 (5/2021) Date Received by Civil Service Commission: \_\_\_\_\_

**State the basis of this appeal in detail.** For more information about appeal rights and deadlines, please review the Civil Service Rules located on the Civil Service Commission's website at [www.sfgov.org/CivilService](http://www.sfgov.org/CivilService).

To whom it may concern,

There seems to be delay and a potential confusion with the reviewing personnel at SFMTA regarding my previous work experience/history that qualifies me for the position I have applied for (7287 – Supervising Electronic Technician). I would like to know what path forward is available to get this addressed, as it has now become a time sensitive situation. I have attached the current email communication between HR and myself, and also, some of the items I have submitted to SFMTA HR as proof of my work experience/history.

Furthermore, I was previously vetted, approved and ranked #2 for the exact same position I am currently applying for now. back in 2014 (see attached – I chose not to take the position at that time). Therefore, am quite vexed with all this and I feel that the potential exists that my rights are under violation, CCSF rules and regulations are being ignored, and my union (IBEW – Local 6) protections are being violated.

Please contact me as soon as possible.

**CSC-12 (5/2021)**

**(Use additional sheets if needed)**



London Breed, Mayor

Gwyneth Borden, Chair  
Amanda Eaken, Vice Chair  
Cheryl Brinkman, Director  
Steve Heminger, Director

Fiona Hinze, Director  
Sharon Lal, Director  
Manny Yekutieli, Director

Jeffrey Tumlin, Director of Transportation

To whom it may concern:

Acting as Deputy Director of Rails at SFMTA, I am aware of James Sanabria's work on various special projects either by being updated on the projects by James Sanabria as a manager in the Rail Department, or by direct supervision of James Sanabria's activities. The special projects that James Sanabria worked on, but not an exhaustive list of all projects he participated in, are: the Breda Mid-Life Overhaul, the Breda Propulsion Campaign, the Harris Radio Installation, and the Genfare Farebox installation. For each project, James Sanabria was required to utilize his extensive technical knowledge and management skills to ensure that all work was technically proficient, as well as addressing any safety or personnel issues that arose during his time on the project.

The Breda Mid-life Overhaul Campaign was an overhaul of the Breda rail vehicles' most problematic systems. The systems targeted by the campaign were: Doors, Steps, Air Supply Unit (ASU), Couplers, Articulated-Roof Electrical Connector, Center Truck Electrical Connector, Traction Motors, Center-Truck Resilient Pin, Relays (propulsion, braking and auxiliary) and any other components required to pass final testing. The work performed on this project in overhauling these systems ranged from replacement of wearable parts (e.g. seals, gaskets, and hardware) up to replacement of larger components (e.g. Emergency Release Cables on the Door System, Main Cylinder for the Moveable-Step System, etc.). This work began in May 2012 and continued through November 2018. During this period, James Sanabria supervised another SFMTA person, as well as to oversee the work noted above and performed by over forty of Breda's personnel. James Sanabria would generate and submit reports to the Deputy-Director of Rail Maintenance in regard to any technical issues, proposed solutions, as well as to provide his own technical input.

Subsequent to the Breda overhaul, specific components, primarily in the Propulsion System and Automatic Train Control Systems (ATCS), continued to be problematic. As such, The Breda Propulsion Campaign was initiated to address these components. The project began in February 2015 and continued through June 2017. During this period, James Sanabria supervised the work performed by fifteen SFMTA personnel and the work they performed. The work performed could only be performed by an electrical technician, and all supporting electrical technicians were supervised by James Sanabria. For the ATCS system, work performed ranged from: replacement of the antennas used for communication with the wayside and the vehicle; replacement of the relays displaying information to the train operator (a.k.a. driver); replacement of VOBIC IRU (Integrated Relay Unit – which provided automatic train control commands, logic and monitoring), as well as the equipment used by the operator to interface with the system. For the Propulsion System, the work performed ranged from an entire cleaning of the propulsion container through replacing critical communication and power transmission cables, and up to replacing the line-contactor (which provides the power coming from the

San Francisco Municipal Transportation Agency 1 South Van Ness Avenue, 7<sup>th</sup> Floor San Francisco, CA 94103 SFMTA.com

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overhead lines to the motors that drive the train) and replacement of capacitor banks. All components required adherence to exacting tolerances, and to perform the work in strict compliance to all relevant safety and technical instruction. Initially, James Sanabria performed this work exclusively himself, and eventually proceeded to train other SFMTA technicians to perform this work as well. However, as the project was assigned to James Sanabria, he was responsible for signing off the work and ensured appropriate time management and reporting for all activities involved.

The Harris Radio Installation Project was a result of the city-wide upgrade to SFMTA's radio communication system. This required removal of the previous radio system and replacement with a new system, as well as to ensure that technology, separated by over a decade, would work together. This project began in February 2017 and continued through January 2020. During this period, James Sanabria supervised the work performed by thirty-one contractors, as well as twelve SFMTA personnel. During this project, James Sanabria worked to develop Quality Control Plans, Inspection Documentation, and reviewed various technical documents and provided comments back to the contractor. He trained both SFMTA and Contractor personnel on safety and technical procedures for the equipment installation. James Sanabria would generate and submit reports to track installation progress and report work times. Additionally, James Sanabria was responsible for managing SFMTA staff and addressing any personnel issues as they arose.

In continuing with equipment modernization, the Genfare Farebox Installation Project began in April 2018 and continued through August 2018. This required removal of the previous farebox and replacement with a new farebox. Additionally, the new farebox needed to integrate into the recently installed radio system. During this period, James Sanabria supervised the work performed by eleven contractors, as well as six SFMTA personnel. During this time, James Sanabria supported the installation layout and integration within the rail vehicle. James Sanabria generated regular reports and managed the installation across three working-shifts. Additionally, James Sanabria was responsible for managing SFMTA staff and addressing any personnel issues as they arose.

Sincerely,

A handwritten signature in black ink, appearing to read 'John Catanach', written over a large, light-colored scribble.

John "Randy" Catanach, Deputy Director of Rail Maintenance (Acting)



London Breed, Mayor

Gwyneth Borden, Chair  
Amanda Eaken, Vice Chair  
Cheryl Brinkman, Director  
Steve Heminger, Director

Fiona Hinze, Director  
Sharon Lai, Director  
Manny Yekutiel, Director

Jeffrey Tumlin, Director of Transportation

July 13, 2021

This letter is to verify Mr. James Sanabria's employment and responsibilities with the San Francisco Municipal Railway for the time period between 2002 and 2006, and again between 2012 to 2021.

James spent a majority of his time on light rail vehicle (LRV) projects including the Breda LRV2/3 mid-life overhaul, LRV2/3 propulsion system maintenance campaigns, Genfare farebox upgrade project, and the Harris radio installation project. James utilized his exceptional organizational and supervisory skills to help ensure that all of these projects were run efficiently and effectively. James' contributions to these projects covered all areas of the field work, and went above and beyond into the supervision of other employees and general management of day to day tasks.

James is always willing to take on extra responsibilities and can be counted on to ensure nothing is left unresolved during times of need or when other team members are unavailable to make decisions. James utilizes these skills in addition to contributing his support and knowledge to advance vehicle troubleshooting and repair, vehicle testing, safety requirements, and rescue operations. James' experience is broad in all these areas of vehicle work, operational needs, personnel supervision, and organizational skills, and his contributions are greatly welcome whenever there is a large scale engineering project or maintenance campaign.

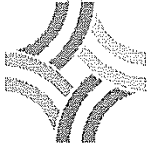
Sincerely,

A handwritten signature in black ink that reads "Michael Motta".

Michael Motta, P.E.  
San Francisco Municipal Transportation Agency  
Fleet Engineering, Maintenance  
michael.motta@sfmta.com  
(415) 646-2209

San Francisco Municipal Transportation Agency 1 South Van Ness Avenue, 7<sup>th</sup> Floor San Francisco, CA 94103 SFMTA.com

311 Free language assistance / 免費語言協助 / Ayuda gratis con el idioma / Бесплатная помощь переводчиков / Tờ giúp Thông dịch Miễn phí / Assistance linguistique gratuite / 無料の言語支援 / Libreng tulong para sa wikang Filipino / 무료 언어 지원 / การช่วยเหลือทางภาษาโดยไม่เสียค่าใช้จ่าย / خط المساعدة المجاني على الرقم



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Agency

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Cheryl Bankman, *Vice Chairman*

Jerry Lee, *Director*

Christa Ruble, *Director*

May 27, 2014

This letter is to verify Mr. James Sanabria's employment with the San Francisco Municipal Railway for the time period between 2002 and 2006, and again between January 2012 and January 2014.

Mr. Sanabria worked with the light rail vehicle (LRV) engineering staff to support procurement and overhaul projects on the Breda LRV fleet. Mr. Sanabria's key duties included the installation, testing, and troubleshooting of LRV electronic systems including propulsion, power distribution, automatic train control system (ATCS), and solid-state and relay based control systems.

Mr. Sanabria's experience was leveraged to support troubleshooting and repair of LRV electronic systems to the component level; some examples include propulsion and power controls, ATCS control boards, destination sign controls, and door/step control circuits. Additionally, Mr. Sanabria was responsible for coordination of vehicle testing, safety procedures, and engaged with contractors to ensure specification compliance and warranty support.

Sincerely,

Michael Motta, P.E.  
San Francisco Municipal Transportation Agency  
Fleet Engineering, Maintenance  
425 Geneva Ave.  
San Francisco, CA 94112  
michael.motta@sfmta.com  
(415) 337-2229 office



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Stephanie Cajina, Director

Steve Heminger, Director  
Fiona Hinze, Director  
Manny Yekutieli, Director

Jeffrey Tumlin, Director of Transportation

June 19, 2023

This letter is to verify Mr. James Sanabria's employment and responsibilities with the San Francisco Municipal Railway for the time period between 2002 and 2006, and again between 2012 to 2023.

James supports LRV fleet engineering on several major capital and procurement projects including the Harris radio and CAD/AVL design and installation project, the Breda LRV2/3 mid-life overhaul, the Breda LRV2/3 master controller rehab project, the Breda LRV2/3 propulsion system maintenance campaign, and the Genfare farebox project. In addition to supporting the routine maintenance and troubleshooting of rail vehicle systems, James is also responsible for supervising other technicians and maintenance personnel working on these projects daily.

For the above referenced projects, James was responsible for supervision of other technicians and maintenance personnel directly involved on a regular basis. His supervisory duties included the enforcement of safety requirements, work planning, maintenance record keeping, quality assurance, assisting others with payroll and timekeeping accounting, and documentation supporting administrative actions.

James has a great deal of hands-on expertise with the Muni vehicles, operations, maintenance, and facilities, and uses this experience to instruct and advise personnel on the relevant Agency rules and regulations. James leverages his supervisory skills to ensure the personnel working for him comply with Agency rules and regulations, workmanship and quality standards, and record keeping.

Sincerely,

Michael Motta, P.E.  
San Francisco Municipal Transportation Agency  
Fleet Engineering, Maintenance  
michael.motta@sfmta.com  
(415) 646-2209



## 7318-Electronic Maintenance Tech

SF | Careers > 7318-Electronic Maintenance Tech

### Know the class code?

Class codes are four characters long.

7318

Search

### Search by keyword:

Use a keyword to search for a class.

Search within title  Search within job descriptions

Search

Search

Compensation set id:

Citywide

## Electronic Maintenance Tech

### Job classification

<b>Class</b>	<a href="#">7318</a>
<b>Title</b>	Electronic Maintenance Tech
<b>Overtime eligibility</b>	Covered (Non-Z) - Nonexempt
<b>Labor agreement</b>	<a href="#">Electrical Workers Local 6</a>
<b>Effective date</b>	January 26, 2015

### Current compensation plan

Effective: Jul 01, 2023

See [Historic and future compensation information](#) for this class

Step:	Step 1	Step 2	Step 3	Step 4	Step 5
<b>Rate /hr:</b>	\$58.8500	\$61.7750	\$64.8500	\$68.1000	\$71.5000
<b>Rate /biweekly:</b>	\$4,708.00	\$4,942.00	\$5,188.00	\$5,448.00	\$5,720.00
<b>Rate /year:</b>	\$122,408	\$128,492	\$134,888	\$141,648	\$148,720

**Additional notes:** Appointments to this job class may enter at Step 3 or higher.

# Job description

CITY AND COUNTY OF SAN FRANCISCO

DEPARTMENT OF HUMAN RESOURCES

Title: ELECTRONIC MAINTENANCE TECHNICIAN

Job Code: 7318

## INTRODUCTION

Under general supervision, the Electronic Maintenance Technician performs a wide variety of highly skilled technical work including, but not limited to, the trouble-shooting, maintenance, testing, repair, calibration, fabrication, installation and modification of transit electronic equipment and a wide variety of other types of electronic equipment and related control system components; and performs other duties as required.

## DISTINGUISHING FEATURES

This journey-level job class is characterized by its responsibility for maintenance and repair work on various types of electronic equipment. Assignments may involve responsibility for the circuits, components, and related equipment used in connection with the operation of electronically controlled light rail and trolley vehicles. Other assignments may involve responsibility for maintaining electronic communication systems, telemetering, remote control equipment and power house equipment. It is distinguished from 7336 Electronic Instrumentation Technician, Water Pollution Control, in that the latter is responsible for the maintenance and repair of electronic systems, instruments and equipment at the City's sewage treatment plant and pumping stations. This class is distinguished from the 7329 Electronic Maintenance Technician Assistant Supervisor, which is the advanced journey level in this series, and the latter is assigned to perform the more difficult and complex work and will supervise staff.

## SUPERVISION EXERCISED

## MAJOR, IMPORTANT, AND ESSENTIAL DUTIES

According to Civil Service Commission Rule 109, the duties specified below are representative of the range of duties assigned to this job code/class and are not intended to be an inclusive list.

1. Performs corrective and preventive maintenance, non-routine repair, modification, and troubleshooting, calibration, removal and installation of complex electronic systems, equipment and transit vehicles.
2. Tests and calibrates electronic equipment using established test procedures; operates Diagnostic Test Equipment, function generators, oscilloscopes, transmission measuring test sets, meters, and other devices required to maintain electronic systems and equipment; utilizes various schematics, blueprints, wire lists, equipment manuals, and other resources.
3. Inspects newly installed equipment including circuits and systems to evaluate performance under operating conditions; may assist in the design fabrication, testing, and evaluation of prototypes.
4. Maintains records of work performed; develops documentation for the maintenance installation, removal and modification of electronic systems and equipment.
5. Instructs other personnel in system maintenance procedures and operations; may advise and assist management personnel and others on operating problems involving electronic transit equipment.
6. Operates special hand and power tools, such as soldering equipment, drill press grinder, crimper, saws, wire-rap tools, and other related equipment.
7. Inspects, maintains and repairs network communication systems, supervisory control, remote signal and remote control equipment, instrumentation and control systems, and flow, pressure and level sensor calibrations.

8. Inspects, maintains and repairs radio, fire alarm and security systems, video equipment, digital electronic equipment, telemetering, communication, protective relays, meters and other electronic and auxiliary apparatus.

9. Inspects, maintains and repair various miscellaneous electrical equipment in powerhouse, switch yard and sub-station; may act as an emergency operator at an unattended powerhouse station.

10. Operates a motor vehicle to respond to service requests at various locations

#### IMPORTANT AND ESSENTIAL KNOWLEDGES, SKILLS, AND ABILITIES

Knowledge of: electronics and electrical principles and theory, including digital and analog circuits

Ability to: evaluate electronic systems, circuits and components; troubleshoot signal, data and radio communications, power and signal equipment; work from schematics, drawings and blueprints; operate a motor vehicle and maintain insurability standards; use a computer and software applications.

Skill to: Instruct and advise other personnel on maintenance procedures; compose work records, documentation for maintenance; apply safety procedures in the course of work

#### MINIMUM QUALIFICATIONS

These minimum qualifications establish the education, training, experience, special skills and/or license(s) which are required for employment in the classification. Please note, additional qualifications (i.e., special conditions) may apply to a particular position and will be stated on the exam/job announcement.

1. Completion of a two (2) year or equivalent program in electronics from a recognized academic, trade or technical institution; or completion of a military training program in electronics

AND

2. Three (3) years of verifiable journey-level industrial or institutional electronic experience performing installation, instrumentation calibration, maintenance, troubleshooting, repair and modification of electronic systems and related electrical components and electronic sub-systems to the electronic component level; ; AND

3. Possession of a valid California driver's license

#### LICENSE AND CERTIFICATION

#### PROMOTIVE LINES

TO: 7329 Electronic Maintenance Technician Assistant Supervisor

FROM: 7430 Assistant Electronic Maintenance Technician

ORIGINATION DATE: May 17, 1977

AMENDED DATE: April 28, 2000, March 3, 2014

REASON FOR AMENDMENT To accurately reflect the current tasks, knowledge, skills and abilities defined in the most recent job analysis conducted for this job code.

BUSINESS UNIT(S): COMM SFMTA

## Standard information

### Disaster service work

All City and County of San Francisco employees are designated Disaster Service Workers through state and local law (California Government Code Section 3100-3109). Employment with the City requires the affirmation of a loyalty oath to this effect. Employees are required to

**SAN-214**

complete all Disaster Service Worker-related training as assigned, and to return to work as ordered in the event of an emergency.

### Historic and future compensation

Effective (Sched)	Step 1	Step 2	Step 3	Step 4	Step 5
<b>Jul 01, 2023 (X)</b>	\$58.8500	\$61.7750	\$64.8500	\$68.1000	\$71.5000
<b>Jul 01, 2022 (W)</b>	\$56.3125	\$59.1125	\$62.0625	\$65.1625	\$68.4250
<b>Jan 08, 2022 (V)</b>	\$53.5000	\$56.1625	\$58.9625	\$61.9125	\$65.0125
<b>Jul 01, 2021 (U)</b>	\$53.2375	\$55.8875	\$58.6750	\$61.6000	\$64.6875
<b>Dec 26, 2020 (T)</b>	\$51.4250	\$53.9875	\$56.6875	\$59.5125	\$62.4875

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# ATTACHMENT M



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# 7329-Electr Maint Tech Asst Sprv

SF | Careers > 7329-Electr Maint Tech Asst Sprv

## Know the class code?

Class codes are four characters long.

Search

## Search by keyword:

Use a keyword to search for a class.

Search within title  Search within job descriptions

Search

Compensation set id:



## Electr Maint Tech Asst Sprv

### Job classification

<b>Class</b>	<b><u>7329</u></b>
<b>Title</b>	Electr Maint Tech Asst Sprv
<b>Overtime eligibility</b>	Covered (Non-Z) - Nonexempt
<b>Labor agreement</b>	<u>Electrical Workers, Local 6</u>
<b>Effective date</b>	March 03, 2014

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## Current compensation plan

**Effective:** Jul 01, 2023

See [Historic and future compensation information](#) for this class

<b>Step:</b>	<b>Step 1</b>	<b>Step 2</b>	<b>Step 3</b>	<b>Step 4</b>	<b>Step 5</b>
<b>Rate /hr:</b>	\$63.9000	\$67.1125	\$70.4500	\$74.0250	\$77.7000
<b>Rate /biweekly:</b>	\$5,112.00	\$5,369.00	\$5,636.00	\$5,922.00	\$6,216.00
<b>Rate /year:</b>	\$132,912	\$139,594	\$146,536	\$153,972	\$161,616

**Additional notes:** Appointments to this job class enter at Step 5.

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## Job description

CITY AND COUNTY OF SAN FRANCISCO

DEPARTMENT OF HUMAN RESOURCES

Title: 7329

Job Code: ELECTRONIC MAINTENANCE TECHNICIAN ASSISTANT SUPERVISOR

### INTRODUCTION

Under general supervision, the Electronic Maintenance Technician Assistant Supervisor performs a wide variety of highly skilled electronic system trouble shooting, maintenance, testing, and repairs; exercises work direction over a small group of subordinate skilled and semi-skilled staff engaged in such work; and performs related duties as required.

### DISTINGUISHING FEATURES

This class is the lead worker or working supervisor in the Electronic Maintenance Technician series. It is distinguished from the higher level Supervising Electronic Maintenance Technician by the smaller size of crew and more limited scope of activities supervised. It is distinguished from the lower level 7318 Electronic Maintenance Technician by the complexity of work assigned and responsibility for exercising work direction over other technical personnel.

## SUPERVISION EXERCISED

### MAJOR, IMPORTANT, AND ESSENTIAL DUTIES

According to Civil Service Commission Rule 109, the duties specified below are representative of the range of duties assigned to this job code/class and are not intended to be an inclusive list.

1. Supervises by planning, assigning and reviewing the work of a small group of skilled, semi-skilled and support staff performing trouble-shooting, maintenance, repair, calibration, fabrication, installation, design, modification and development of a wide variety of electronic systems.
2. Performs quality assurance tests; assists in developing and modifying maintenance and repair policies and procedures.
3. Performs a variety of complex, non-routine electronic maintenance tasks including corrective and preventive maintenance, repair, trouble shooting, calibration, removal, installation, and system design and modification.
4. Advises staff in solving difficult problems, assists in training and interpreting policy; enforces safety procedures; analyzes equipment failures, personnel or operational problems and reports to supervisor.
5. Maintains records of maintenance activities including vehicle work orders, time and materials usage, equipment test results, vehicle modifications, and others as directed.
6. Analyzes chronic equipment failure, design system improvements, estimate project time and costs, or prepare specialized reports of program activities.
7. Tests and calibrates electronic equipment using established test procedures; operates Diagnostic Test Equipment , function generators, oscilloscopes, transmission measuring test sets, meters, locators, and other devices required to maintain electric/electronic systems and equipment; utilizes various schematics, blueprints, wire lists, equipment manuals, and other resources.
8. Performs corrective and preventive maintenance, non-routine repair, modification, troubleshooting, calibration, removal and installation of complex electronic systems, equipment and transit vehicles
9. Inspects existing and newly installed equipment including motor/generator control circuits and systems to evaluate performance under operating conditions; may assist in the design fabrication, testing, and evaluation of prototypes.
10. Instructs other personnel in system maintenance procedures and operations; may advise and assist management personnel and others on operating problems involving electronic transit equipment.

11. Operate special hand and power tools, such as soldering equipment, drill press grinder, crimper, saws, wire-rap tools, and other related equipment.
12. Inspects, maintains and repairs network communication systems, supervisory control, remote signal and remote control equipment, instrumentation and control systems, and flow, pressure and level sensor calibrations.
13. Inspects, maintains and repairs radio, fire alarm and security systems, video equipment, digital electronic equipment, telemetering, communication, protective relays, meters and other electronic and auxiliary apparatus.
14. Inspects, maintains and repairs various miscellaneous electrical equipment in powerhouse, switch yard and sub-station; may act as an emergency operator at an unattended powerhouse station.
15. Maintains detailed files and record-keeping system to assure accurate and complete documentation of payroll/personnel
16. Operates a motor vehicle to respond to service requests at various locations

#### IMPORTANT AND ESSENTIAL KNOWLEDGES, SKILLS, AND ABILITIES

Knowledge of: electronics and electrical principles and theory, including digital and analog circuits; functional use of complex electronic test equipment; relay logic and electronic power, data processing and communications equipment; principles and methods of electronics systems maintenance and repair; and safety procedures.

Ability to: Trouble-shoot signal, data and radio communications, power and signal equipment; work from drawings and blueprints; plan, assign, and supervise subordinate staff;; Operate a motor vehicle and maintain insurability standards; use a computer and software applications

Skill to: Instruct and advise other personnel on maintenance procedures; compose work records, documentation for maintenance; apply safety procedures in the course of work

#### MINIMUM QUALIFICATIONS

These minimum qualifications establish the education, training, experience, special skills and/or license(s) which are required for employment in the classification. Please note, additional qualifications (i.e., special conditions) may apply to a particular position and will be stated on the exam/job announcement.

1. Completion of a two (2) year course or equivalent program in electronics from a recognized academic, trade, or technical institution; or completion of a military training program in electronics;  
AND

2. Five (5) years of industrial or institutional electronics experience performing installation, instrumentation calibration, maintenance, trouble-shooting, repair and modification of electronic control systems and related electrical components and electronic sub-systems to the electronic component level; AND

3. Possession of a valid California driver's license

LICENSE AND CERTIFICATION

PROMOTIVE LINES

TO: 7287 Supervising Electronic Maintenance Technician

FROM: 7318 Electronic Maintenance Technician

ORIGINATION DATE: October 2, 1979

AMENDED DATE: March 3, 2014

REASON FOR AMENDMENT To accurately reflect the current tasks, knowledge, skills and abilities defined in the most recent job analysis conducted for this job code.

BUSINESS UNIT(S): COMMN SFMTA

## Standard information

### Disaster service work

All City and County of San Francisco employees are designated Disaster Service Workers through state and local law (California Government Code Section 3100-3109). Employment with the City requires the affirmation of a loyalty oath to this effect. Employees are required to complete all Disaster Service Worker-related training as assigned, and to return to work as ordered in the event of an emergency.

### Historic and future compensation

Effective (Sched)	Step 1	Step 2	Step 3	Step 4	Step 5
Jul 01, 2023 (X)	\$63.9000	\$67.1125	\$70.4500	\$74.0250	\$77.7000
Jul 01, 2022 (W)	\$61.1500	\$64.2250	\$67.4125	\$70.8375	\$74.3500
Jan 08, 2022 (V)	\$58.1000	\$61.0250	\$64.0500	\$67.3000	\$70.6375
Jul 01, 2021 (U)	\$57.8125	\$60.7250	\$63.7375	\$66.9625	\$70.2875
Dec 26, 2020 (T)	\$55.8500	\$58.6625	\$61.5750	\$64.6875	\$67.9000

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# ATTACHMENT N



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# 7287-Sprv Electronic Main Tech

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## Know the class code?

Class codes are four characters long.

Search

## Search by keyword:

Use a keyword to search for a class.

Search within title  Search within job descriptions

Search

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Compensation set id:

 ▾

## Sprv Electronic Main Tech

### Job classification

<b>Class</b>	<b><u>7287</u></b>
<b>Title</b>	Sprv Electronic Main Tech
<b>Overtime eligibility</b>	Covered (Non-Z) - Nonexempt
<b>Labor agreement</b>	<u>Electrical Workers, Local 6</u>
<b>Effective date</b>	March 27, 2014

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## Current compensation plan

**Effective:** Jul 01, 2023

See [Historic and future compensation information](#) for this class

<b>Step:</b>	<b>Step 1</b>	<b>Step 2</b>	<b>Step 3</b>	<b>Step 4</b>	<b>Step 5</b>
<b>Rate /hr:</b>	\$68.1000	\$71.5000	\$75.0875	\$78.8375	\$82.7625
<b>Rate /biweekly:</b>	\$5,448.00	\$5,720.00	\$6,007.00	\$6,307.00	\$6,621.00
<b>Rate /year:</b>	\$141,648	\$148,720	\$156,182	\$163,982	\$172,146

**Additional notes:** Appointments to this job class enter at Step 5.

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## Job description

CITY AND COUNTY OF SAN FRANCISCO

DEPARTMENT OF HUMAN RESOURCES

Title: Supervising Electronic Maintenance Technician

Job Code: 7287

### INTRODUCTION

Under direction, supervises subordinate supervisory electronics personnel engaged in a wide variety of highly skilled technical functions.

### DISTINGUISHING FEATURES

The 7287 Supervising Electronic Maintenance Technician is the second-level supervisor in the electronic maintenance series, and is responsible for the supervision through subordinate supervisory personnel of electronic maintenance technicians who are engaged in a wide variety of highly skilled technical functions. The 7287 is distinguished from Class 7329 in that the latter supervises and trains the work of electronic maintenance technicians.

SUPERVISION EXERCISED



Supervises the subordinate first-level electronic maintenance supervisor directing and coordinating the activities of the subordinate journey-level Electronic Maintenance Technicians.

#### MAJOR, IMPORTANT, AND ESSENTIAL DUTIES

According to Civil Service Commission Rule 109, the duties specified below are representative of the range of duties assigned to this job code/class and are not intended to be an inclusive list.

1. Assigns, supervises and inspects the troubleshooting, maintenance, repair, calibration, fabrication, installation, design modification and development of electronic systems and components, which may include, but not limited to, electronic systems on electric transit vehicles, wayside and central control equipment, remote terminal units (RTU), servers, network and fiber optics communication systems, supervisory control, remote signal and remote control equipment, instrumentation and control systems, radio, fire alarm and security systems, video equipment, digital electronic equipment, telemetering, communication, protective relays, meters, and other electronic and auxiliary apparatus.
2. Establishes maintenance and repair policies and procedures which may include, but not limited to, electronic systems on electric transit vehicles, wayside and central control equipment, remote terminal units (RTU), servers, network and fiber optics communication systems, supervisory control, remote signal and remote control equipment, instrumentation and control systems, radio, fire alarm and security systems, video equipment, digital electronic equipment, telemetering, communication, protective relays, meters, and other electronic and auxiliary apparatus.
3. Advises, instructs and assists subordinate personnel in solving complex non-routine electronic problems/emergency work situations; and advises management personnel and others on the functions of electronic systems and components. May personally carry out difficult troubleshooting on equipment at various work sites.
4. Directs, monitors, analyzes and prepares written reports on various tasks such as maintenance progress, recommendations relating to improvement of equipment reliability, personnel effectiveness, operating policies and procedures, etc.
5. Assists in the preparation of budget and allocation of resources.
6. Participates in the review of new projects which includes reading of blueprints, schematics, and diagrams of electronic equipment and electromechanical systems.
7. Establishes and maintains contact with other Departmental personnel, representatives of other division/departments, contractors, and general public, keeping them advised and informed of the department's activities and representing the department at various meetings.
8. Performs other duties as required.

## IMPORTANT AND ESSENTIAL KNOWLEDGES, SKILLS, AND ABILITIES

Knowledge of: the principles, theories, practices and procedures involved in the operation, maintenance and repair requirements of electronic systems and equipment such as communications, power, signal and process control equipment, and circuits; electronic and electrical theory and practices in integrated circuits; solid state, digital and analog circuits; and electronic and relay logic; safety methods and procedures related to operating, maintaining, repairing, trouble-shooting, testing, modifying and/or installing various electronic and electromechanical systems and equipment, and hazardous materials handling procedures and industrial safety principles; local area networks, personal computers including e-mail, spreadsheet and word processing programs; supervisory control and data acquisition systems (SCADA) and programmable logic controllers.

Skill to: troubleshoot and test various electronic and electromechanical systems and equipment, and interpret schematics, procedures and other diagrams.

Ability to: speak effectively and clearly, listen and elicit work-related information to others, communicate thoughts and ideas to subordinate personnel, peers, and management; prepare and/or review detailed job-related documentation in a clear, concise and understandable manner; interact tactfully, effectively and courteously with other departmental personnel, representatives of other divisions/departments, subordinates and the general public, sometimes under difficult circumstances; effectively plan, organize, direct, train and evaluate the activities of technicians and other staff engaged in a variety of technical work; schedule and coordinate tasks or events to maximize staff and material resources and increase efficiency; assist in the professional development of staff through training, coaching, disciplinary action and performance evaluation; use electronic test (diagnostic) equipment and maintain software; and drive to various work sites.

## MINIMUM QUALIFICATIONS

These minimum qualifications establish the education, training, experience, special skills and/or license(s) which are required for employment in the classification. Please note, additional qualifications (i.e., special conditions) may apply to a particular position and will be stated on the exam/job announcement.

1. Completion of a two (2) year course or equivalent program in electronics from a recognized academic, trade, or a technical institution; OR completion of a military training program in electronics; AND
2. Five (5) years of full-time verifiable journey-level industrial or institutional electronics experience performing installation, instrumentation calibration, maintenance, troubleshooting, repair and modification of electronic control systems and related electrical components and electronic sub-systems to the electronic component level; three (3) years of which must have been at the supervisory level.

3. Possession of a valid California driver's license.

LICENSE AND CERTIFICATION

PROMOTIVE LINES

To: No normal lines of promotion

From: 7329 Electronic Maintenance Technician Assistant Supervisor

ORIGINATION DATE: 3/16/1977

AMENDED DATE: 12/26/2008, 3/27/14

REASON FOR AMENDMENT To accurately reflect the current tasks, knowledge, skills and abilities defined in the most recent job analysis conducted for this job code.

BUSINESS UNIT(S): COMMN SFCCD SFMTA SFUSD

## Standard information

### Disaster service work

All City and County of San Francisco employees are designated Disaster Service Workers through state and local law (California Government Code Section 3100-3109). Employment with the City requires the affirmation of a loyalty oath to this effect. Employees are required to complete all Disaster Service Worker-related training as assigned, and to return to work as ordered in the event of an emergency.

### Historic and future compensation

Effective (Sched)	Step 1	Step 2	Step 3	Step 4	Step 5
<b>Jul 01, 2023 (X)</b>	\$68.1000	\$71.5000	\$75.0875	\$78.8375	\$82.7625
<b>Jul 01, 2022 (W)</b>	\$65.1625	\$68.4250	\$71.8500	\$75.4375	\$79.2000
<b>Jan 08, 2022 (V)</b>	\$61.9125	\$65.0125	\$68.2625	\$71.6750	\$75.2500
<b>Jul 01, 2021 (U)</b>	\$61.6000	\$64.6875	\$67.9250	\$71.3125	\$74.8750
<b>Dec 26, 2020 (T)</b>	\$59.5125	\$62.4875	\$65.6125	\$68.8875	\$72.3375

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# ATTACHMENT O

## MEMORANDUM

**DATE:** April 15, 2022

**TO:** Jeffrey Tumlin  
Director of Transportation, SFMTA

Kimberly Ackerman  
Director of Human Resources, SFMTA

**FROM:** *Shivani Nath*  
Shivani Nath  
Examinations and Classification Manager, SFMTA

**SUBJECT:** Non-Contemporaneous Verification for James Sanabria

James Sanabria applied to the 7216 Electrical Transit Shop Supervisor I examination (CBT-7216-T00002) on December 20, 2021, which requires the following experience:

1. Two (2) years of full-time verifiable second-level supervisory experience in the electrical and mechanical maintenance and repair of transit equipment; OR
2. Five (5) years of full-time verifiable experience supervising the electrical and mechanical maintenance and repair of transit equipment; AND
3. Possession of a valid Class C driver license.

James has been employed with the SFMTA since January 1998. James was originally hired as a 7409 Electrical Transit Service Worker. James was subsequently appointed to a 7371 Electrical Transit System Mechanic on July 1, 1999, and subsequently to a 7318 Electronic Maintenance Technician and has remained in this classification since June 21, 2014.

These classifications maintain and repair various types of electronic or electrical equipment. Assignments may involve responsibility for the circuits, components, and related equipment used in connection with the operation of electronically controlled light rail and trolley vehicles or electrical equipment, but do not have any supervisory responsibilities. Therefore, these classes do not provide incumbents with supervisory experience required as a part of the 7216 minimum qualifications.

The following documents/information were also reviewed as a part of this application:

1. Certificate of Completion – Vocational Electronics
2. Electronic Technician Certification Curriculum Framework - 301
3. Electronic Technician Certification Curriculum Framework - 302
4. Verification/Recommendation Letter from Michael Motta dated 5/27/14.
5. Verification/Recommendation Letter from Michael Motta dated 6/13/21.

San Francisco Municipal Transportation Agency 1 South Van Ness Avenue, 7<sup>th</sup> Floor San Francisco, CA 94103 SFMTA.com

☎ 311 Free language assistance / 免費語言協助 / Ayuda gratis con el idioma / Бесплатная помощь переводчиков / Trợ giúp thông dịch miễn phí / Assistance linguistique gratuite / 無料の言語支援 / Libreng tulong para sa wikang Filipino / 무료 언어 지원 / การช่วยเหลือทางคำพูดโดยไม่เสียค่าใช้จ่าย / خط المساعدة المجاني على الرقم



6. Verification/Recommendation Letter from John Catanach – No date.
7. 7287 Supervising Electronic Maintenance Technician – 10/31/14 eligible list

Items 1-3 above show a certification of completion obtained by James and the curriculum that he accomplished. None of these letters demonstrated supervisory duties required to meet the minimum qualifications for the 7216 recruitment.

Items 4-6 show that James was overseeing various SFMTA staff and contractors over several key projects spanning from 2015 to 2021. Overseeing projects and supervising staff are not synonymous. There is a mention of "personnel supervision" in the July 13, 2021 letter, but none of the tasks listed show the full scope of supervisory responsibilities of staff who maintain and repair electrical and mechanical maintenance transit equipment. In the undated letter by John Catanach, it is stated that James supervised other electronic technicians and contractors. However, there were no org charts, acting assignments or other documents found to corroborate that actual supervision duties were being performed during this time period. Such job duties would be out of scope for the assigned 7318 classification.

Item 7 shows that James was qualified and successfully placed on the 7287 Supervising Electronic Maintenance Technician list. This recruitment was conducted in 2014. Due to the transition to SmartRecruiters, and the limited information that E&C has available it is difficult to determine what experience was applied toward the required supervisory experience in 2014 for the 7287 recruitment. More importantly, based on the information available it is not evident that he performed the full scope of supervisory responsibilities of staff assigned to the electrical and mechanical maintenance and repair of transit equipment. Placement on one eligible list does not provide evidence that one should be qualified for another list, especially a different classification. Application materials must clearly show possession of the stated minimum qualifications stated on the announcement for which the application was submitted.

As such a not qualified notice was sent to Mr. Sanabria on January 7, 2022, notifying him to submit any additional information by January 14, 2022 if he wished for his application to be re-considered.. Soon thereafter, I was contacted by Emily Williams requesting clarification of why James did not meet the MQs, and a request was made to allow for the submission of additional information and it was granted.

On February 16, 2022, a verification letter was written for James Sanabria by Emily Williams, Chief Transit Administration Officer. Emily indicated that James was a 7318 Electronic Maintenance Technician who provided oversight on major projects such as Breda Mid-Life Overhaul (May 2012 – November 2018); ATCS and Propulsion Campaign (January 2015 – June 2017); Harris Radio Installation (radio installation on all revenue fleet, February 2017 – January 2020); and Genfare Farebox Installation (farebox installation on all revenue fleet, April 2018 – August 2018). Emily indicated that James supervised the electrical and mechanical maintenance and repair of transit equipment, and subordinate staff of Electrical Transit System Mechanics,



7371s, and Electronic Maintenance Technicians, 7318s. Emily also included logs as evidence to support the supervisory responsibilities. The letter submitted by Emily has been reviewed along with the logs to support the supervisory role that he performed during the time. The logs appear to be sign-off documents on project categories that were worked on specific dates and do not demonstrate whether Mr. Sanabria exercised the full scope of supervisory duties. We find that the documents provided would be consistent with one who is responsible for oversight of a project or coordination of activities, but do not demonstrate the full responsibilities of a supervisor.

The documents provided could be more closely defined as lead work, not supervision. A Lead Worker is someone who may assign work and ensure its completed for a specific work group. A lead worker may train employees and may provide input on performance discrepancies.

However, a supervisor has overall responsibility for recommending hiring and disciplinary actions to a higher authority; establishing and enforcing work rules and procedures; approving staff overtime, travel and time off requests; setting organizations and unit goals; issuing formal evaluations and applying corrective actions to fix areas of deficiency; resolving grievances; and recommending appropriate levels of discipline as needed.

The SFMTA exams team does not find sufficient evidence within the documentation provided of supervisory responsibilities being performed by James Sanabria while in the classification of 7318 Electronic Maintenance Technician.

Since the letter submitted was written after duties were performed instead of being documented at the time of assignment, such as through a performance appraisal or acting assignment, this document is considered non-contemporaneous.

Under Civil Service rules, any non-contemporaneous verification must be certified by the SFMTA Human Resources Director and approved by the Director of Transportation.

If certified and approved, this letter can be used towards meeting the minimum qualifications for the 7216, Electrical Transit Shop Supervisor I examination. If not certified and approved, the decision will be final, and the candidate will not be able to move forward in the examination process.

The documentation submitted to date has been provided below for your review. Please mark one of the options below in the appropriate section to indicate your determination.

I can be reached at [Shivani.nath@sfmta.com](mailto:Shivani.nath@sfmta.com) if you have any questions.

Attachments:

Certificate of Completion – Vocational Electronics



Electronic Technician Certification Curriculum Framework - 301  
Electronic Technician Certification Curriculum Framework - 302  
Verification/Recommendation Letter from Michael Motta dated 5/27/14.  
Verification/Recommendation Letter from Michael Motta dated 6/13/21.  
Verification/Recommendation Letter from John Catanach – No date.  
7287 Supervising Electronic Maintenance Technician – 10/31/14 eligible list  
Verification Letter from Emily Williams dated 2/16/22 w attachments (logs)

**SFMTA Human Resources Director**

- After review, I certify the non-contemporaneous verification provided.
- After review, I do not certify the non-contemporaneous verification provided.

Signature: Kimberly Ackerman Date: Apr 21, 2022

**Director of Transportation**

- After review, I approve the certification of the non-contemporaneous verification provided.
- After review, I do not approve the certification of the non-contemporaneous verification provided.

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

Signature: Kimberly Ackerman  
Kimberly Ackerman (Apr 21, 2022 08:14 PDT)

Email: [kimberly.ackerman@sfmta.com](mailto:kimberly.ackerman@sfmta.com)








# Sanabria, James\_NCV Approval\_Director\_Final

Final Audit Report

2022-04-21

Created:	2022-04-21
By:	Shivani Nath (shivani.nath@sfmta.com)
Status:	Signed
Transaction ID:	CBJCHBCAABAA1FKHI5Ded1kB6Nju9Er9zSaep1k8cdiU

## "Sanabria, James\_NCV Approval\_Director\_Final" History

-  Document created by Shivani Nath (shivani.nath@sfmta.com)  
2022-04-21 - 6:01:28 AM GMT
-  Document emailed to Kimberly Ackerman (kimberly.ackerman@sfmta.com) for signature  
2022-04-21 - 6:03:00 AM GMT
-  Email viewed by Kimberly Ackerman (kimberly.ackerman@sfmta.com)  
2022-04-21 - 3:14:00 PM GMT
-  Document e-signed by Kimberly Ackerman (kimberly.ackerman@sfmta.com)  
Signature Date: 2022-04-21 - 3:14:38 PM GMT - Time Source: server
-  Agreement completed.  
2022-04-21 - 3:14:38 PM GMT

# ATTACHMENT P

CCSF Job Appointment Summary

Michael B Motta (Michael) Emp ID [REDACTED] Emp Record 0

Personalize | Find | View All | [Grid Icon] | Company Seniority Date 10/11/2005 | First 1-5 of 6 | Sick Anniversary Date 10/11/2005

Eff Date	Appt Date	Action	Description	Payroll Status	Job Code	Union Code	Empl Class	Exmpt Cat	Full/Part Time	Elig List #	Rank	POS #	Dept Sen Date	Dept	Location	Cert Date	Ctywd Srfty Date	Company Seniority Date	Vacation Anniversary Date	Sick Anniversary Date
07/01/2017	06/21/2014	POS	Position Data Update	Active	9195	021	PCS	NA	F	M00070	1.00	01126723	05/14/2014	MTA	MTA001	05/14/2014	05/14/2014	10/11/2005	10/11/2005	10/11/2005
06/21/2014	06/21/2014	DTA	Job Code Change	Active	9195	021	PCS	NA	F	M00070	1.00	01126723	05/14/2014	MTA	MTA001	05/14/2014	05/14/2014	10/11/2005	10/11/2005	10/11/2005
08/17/2012	09/17/2011	DTA	Data Conversion	Active	5207	021	PCS	NA	F	056809	1.00	01114768	08/08/2011	MTA	MTA001	08/08/2011	08/08/2011	10/11/2005	10/11/2005	10/11/2005
09/17/2011	09/17/2011	PRO	Prom - Permanent Civil Service	Active	5207	021	PCS		F	056809	1.00		08/08/2011	MTA	MTA001	08/08/2011	08/08/2011	10/11/2005	10/11/2005	10/11/2005
07/02/2010		DTA	Redesignation	Active	5203	021	PCS		F	051137	5.00		08/11/2005	MTA	MTA001	08/11/2005	08/11/2005	10/11/2005	10/11/2005	10/11/2005
10/11/2005		HIR	New - Permanent Civil Service	Active	5203	021	PCS		F	051137	5.00		08/11/2005	DPT	DPT001	08/11/2005	08/11/2005	10/11/2005	10/11/2005	10/11/2005

# ATTACHMENT

## MUNICIPAL TRANSPORTATION AGENCY EMPLOYEE INFORMATION SYSTEM

# Q

### Divisional Action Request

This form is to be used to assign employees to the correct timesheet and to provide information necessary to ensure employees are paid correctly and on a timely basis.

**HR or PAYROLL WILL NOT PROCESS THIS DAR WITHOUT FINANCE SECTION'S APPROVAL**

Sections must be completed as indicated and forward this form to  
Finance Section 425 Mason St 3rd fl ATTN: Eric Gatchalian or fax it to (415) 923-2639.

James S. Sanabria					N/A
First Name	MI	Last Name	Social Security Number		Platform ID
Effective Date:	2/17/2001		Class/Title	7371 Electrical Transic System Mechanic	
<del>35 08 0801 ea</del>					
35	08	0801	ea	Sub-Object	0010
Division		Section	Unit	Temp = 0200	Platform = 0040 All Others = 0010
Action Type:					
<input checked="" type="checkbox"/> New Employee, Promotion, Transfer from other Dept., Reinstatement, or Reappointment <b>COMPLETE ALL SECTIONS BELOW EXCEPT SECTION 1</b>					
<input type="checkbox"/> Change of Timesheet, Shift, Work Schedule, Work Location or Primary Labor Account <b>COMPLETE ALL SECTIONS BELOW EXCEPT SECTION 1</b>					
Section 1. Current Work Assignment					
Timesheet Code	Roster Code	Run/Shift	Block/Hours		
35325-11	52200	5 am - 1 pm	40		
Timesheet Code	Roster Code	Run/Shift	Block/Hours		
Days Off:	<input checked="" type="checkbox"/> Sun <input type="checkbox"/> Mon <input type="checkbox"/> Tues <input type="checkbox"/> Wed <input type="checkbox"/> Thu <input type="checkbox"/> Fri <input checked="" type="checkbox"/> Sat (Mark "X")				
Charge Index Code:	358101		Budget Index Code:	358101	
(Primary Labor Account)			Budget Class:	7371	
Section 3. Report Data					
Kathleen Forrester		937-2259	425 Geneva Ave.		
Report to Supervisor/Manager		337-2382	Metro Rail Operations		
		2/17/2001	5:00 am		
		Month/Day/Year	Time		
Section 4.					
Prepared By		Signature		Date	
Section 5.				FOR FINANCE USE ONLY	
HR Contact Person:		S. Burgers		REVIEWED & APPROVED BY	
HR Requisition #:		104197 (DP90325)		2/20/01	
New Position-Current Year:		YES _____ NO <input checked="" type="checkbox"/>		DATE	
Vacant Position - Vice:					
FOR Current MUNI Employee Only (Complete Below)					
Promotion from Class/Title:		7371 Provisional			

(Please disregard 1st Dar)

710 337 2369 F.02/03

# Division Action Request (DAR) Form

Division Sequence No. *JR*

Submit this form to:

Muni Payroll, 875 Stevenson St., Room 224, or fax it to (415) 554-4966

*MARIA TON*

<b>Employee Information</b>						
<u>James</u>	<u>Sanabria</u>	[Redacted]		----		
First Name	MI	Last Name	Social Security Number		Operator ID (Cap No.)	
Class/Title: <u>7371 Electrical Transit System Mechanic</u>						
Div/Sec/Unit Information must be based on the Charge Index Code.*						
<u>35</u>	<u>13</u>	<u>06</u>	<u>02</u>	Sub-Object: <input type="checkbox"/> Temp 0200 <input type="checkbox"/> Platform 0040 <input type="checkbox"/> All others 0010		
Dept.	Division	Section	Unit			
<i>(was 12)</i>						
<b>Action Type</b> Check the appropriate box(es).						
<input type="checkbox"/> New Employee <input type="checkbox"/> Promotion <input type="checkbox"/> Transfer from other Dept <input type="checkbox"/> Reinstatement <input type="checkbox"/> Reappointment <input type="checkbox"/> Loan <input checked="" type="checkbox"/> Reassignment <input type="checkbox"/> Work Location Change (from one Division to another Division) <input type="checkbox"/> Charge Index Code Change* <input checked="" type="checkbox"/> Changed or New TESS Roster <input checked="" type="checkbox"/> Shift Change <input checked="" type="checkbox"/> Work Schedule Change						
<b>New Work Assignment</b>						
<u>10/13/03</u>	<u>A9203</u>	<u>Day</u>	or	<u>358185</u>	<u>7371</u>	
Effective Date	TESS Roster Code	Run/Shift	Block #	Budget Index Code	Budget Class Code	
Days Off:	<input checked="" type="checkbox"/> Sat	<input checked="" type="checkbox"/> Sun	<input type="checkbox"/> Mon	<input type="checkbox"/> Tue	<input type="checkbox"/> Wed	<input type="checkbox"/> Thu
	<input type="checkbox"/> Fri	From Position Control #		To Position Control #	Requisition #	Charge Index Code* (Primary Labor Account)
<i>LRV Running Repair</i>						
<b>Report Data</b>						
PRINT NAME: <u>Robert Alonzo</u>		<u>7380 Asst. Supervisor</u>		<u>337-2279</u>		
Report to: <input checked="" type="checkbox"/> Supervisor/Manager <input type="checkbox"/> Dispatcher		Class Title		Phone Number		
<u>425 Geneva</u>		<u>10/13/03</u>		<u>8:00am-4:30pm</u>		
Report to Location		Report Date		Report Time		
<b>Authorization</b>						
<u>Mike Ellis</u>		<i>[Signature]</i>	<u>10/10/03</u>	<u>337-2200</u>	<u>337-2369</u>	
Approved by (Print Name)		Signature	Date Form Submitted	Phone Number	Fax Number	
<b>Loan Agreements Over 30 Days</b> (Complete this section if you checked "Loan" in Action Type above.)				<b>For Payroll Use ONLY</b>		
Start Date	Sending Manager	Date	Reviewed and Approved by			
End Date	Receiving Manager	Date	Date			
New Work Location	Sending Deputy GM	Date	<input type="checkbox"/> Fax to HR & Div. (Date)			
	Receiving Deputy GM	Date	<input checked="" type="checkbox"/> LDS Updated (Date)			
			<input type="checkbox"/> Submit PAR (Date)			
			<input type="checkbox"/> Verify PAR chg (Date)			
			<input type="checkbox"/> Other (Date)			

\*The index code of the position the employee will be working in.

*OK SN 10/15/03*

Revised 12/1/02

**Harjanto, Tani**

---

**Subject:** FW: New information for 7318 \*\* James Sanabria - To Initiate Job Offer \*\*

**From:** "Wu, Vivian" <[Vivian.Wu@sfmta.com](mailto:Vivian.Wu@sfmta.com)>  
**Date:** June 11, 2014, 3:10:49 PM PDT  
**To:** "Rozier, Leda" <[Leda.Rozier@sfmta.com](mailto:Leda.Rozier@sfmta.com)>  
**Cc:** "Ye, Sammy" <[Sammy.Ye@sfmta.com](mailto:Sammy.Ye@sfmta.com)>, "Wong, Kitty (SFMTA)" <[Kitty.Wong@sfmta.com](mailto:Kitty.Wong@sfmta.com)>, "Harjanto, Tani" <[Tani.Harjanto@sfmta.com](mailto:Tani.Harjanto@sfmta.com)>  
**Subject:** RE: 7318 \*\* James Sanabria - To Initiate Job Offer \*\*

1. Roster Code: MTATU
2. Check Distribution Code: 35252
3. Supervisor Name: Steve Lin
4. Supervisor Phone Number: 415-337-2399
5. Work Location: 425 Geneva Ave
6. Work Hours: 7 am to 3:30 p.m.
7. Days Off: Sat/Sun
8. DAR Approver: Carol Wolther



**Request for Leave**

**NEW**     **RENEWAL (Extension)**

**SECTION I – EMPLOYEE MUST COMPLETE**

Name JAMES S. SANABRIA Social Security No. [REDACTED]  
 Address [REDACTED] City, State, Zip Code SAN FRANCISCO, CA 94127  
 Telephone No. [REDACTED] Employment Status:  Permanent    Probationary    Provisional    Temporary    Exempt  
 Classification No and Title 7371 ELEC. TR. SYS. MECHANIC Work Location \_\_\_\_\_

Type of Leave Requested: (Check one box below)

- Sick Leave with Pay (9163 Transit Operators must check this box for all Sick Leave Requests, unless all types of paid leave credit balances are zero)
- Sick Leave without Pay
- Military Leave (Attach copy of orders)
- Family Care Leave (for Permanent employees only)
- Personal Leave (Specify) \_\_\_\_\_
- PENDING Workers' Compensation Disability Leave
- To Accept Other City & County Employment
- Other (Specify) \_\_\_\_\_

To request FMLA for Sick or Family Care Leave, please check the appropriate reason: (Check one box below)

- Birth of the employee's child and to care for such child. Date of birth: \_\_\_\_\_
- Placement with the employee of a child for adoption or foster care and to care for such child. (Attach documentation).
- In order to care for an immediate family member because such family member has a serious health condition. (Submit form FMLA 2 within 15 calendar days)
- Employee's serious health condition that makes the employee unable to perform the functions of his/her job. (Submit form FMLA 2 within 15 calendar days)

If you will be receiving Disability or Paid Family Leave Insurance from the State of California, please check one of the boxes below:

- I wish to supplement SDI or PFL with Sick, Vacation or other Time Off credits
- I DO NOT wish to supplement SDI or PFL with paid leave credits (not applicable to 9163 Transit Operators)

Note: All Sick Leaves and Family Care Leaves will automatically be designated as FMLA leaves, if the employee qualifies for FMLA, regardless of whether or not the employee requests such designation.

Dates of Leave Requested: From: 6/21/2014 Through: DURATION OF EMPLOYMENT

Signature of Employee: X [Signature] Date: X 6/17/14  
 Read the reverse side for important information on leaves prior to signing this form

**SECTION II – HEALTH CARE PROVIDER MUST COMPLETE**

(For FMLA, use Form FMLA 2).

I, the undersigned health care provider, do hereby certify that the above named employee is completely incapacitated for the performance of essential functions for the time period indicated below. In signing this form, I understand and agree to answer in a timely fashion the employer's reasonable questions as to the basis of statements made on this form. I understand that my cooperation is necessary to secure the employer's approval of sick leave.

Date of Leave: From: \_\_\_\_\_ Through: \_\_\_\_\_ Inclusive  
 Duration may be for up to 12 weeks (16 weeks for Pregnancy Disability) maximum for each leave request form

Print, type, or stamp provider information below:

Health Care Provider \_\_\_\_\_ Telephone No. \_\_\_\_\_ License No. \_\_\_\_\_

Address \_\_\_\_\_ City, State, Zip Code \_\_\_\_\_

Signature of Health Care Provider: \_\_\_\_\_ Date: \_\_\_\_\_

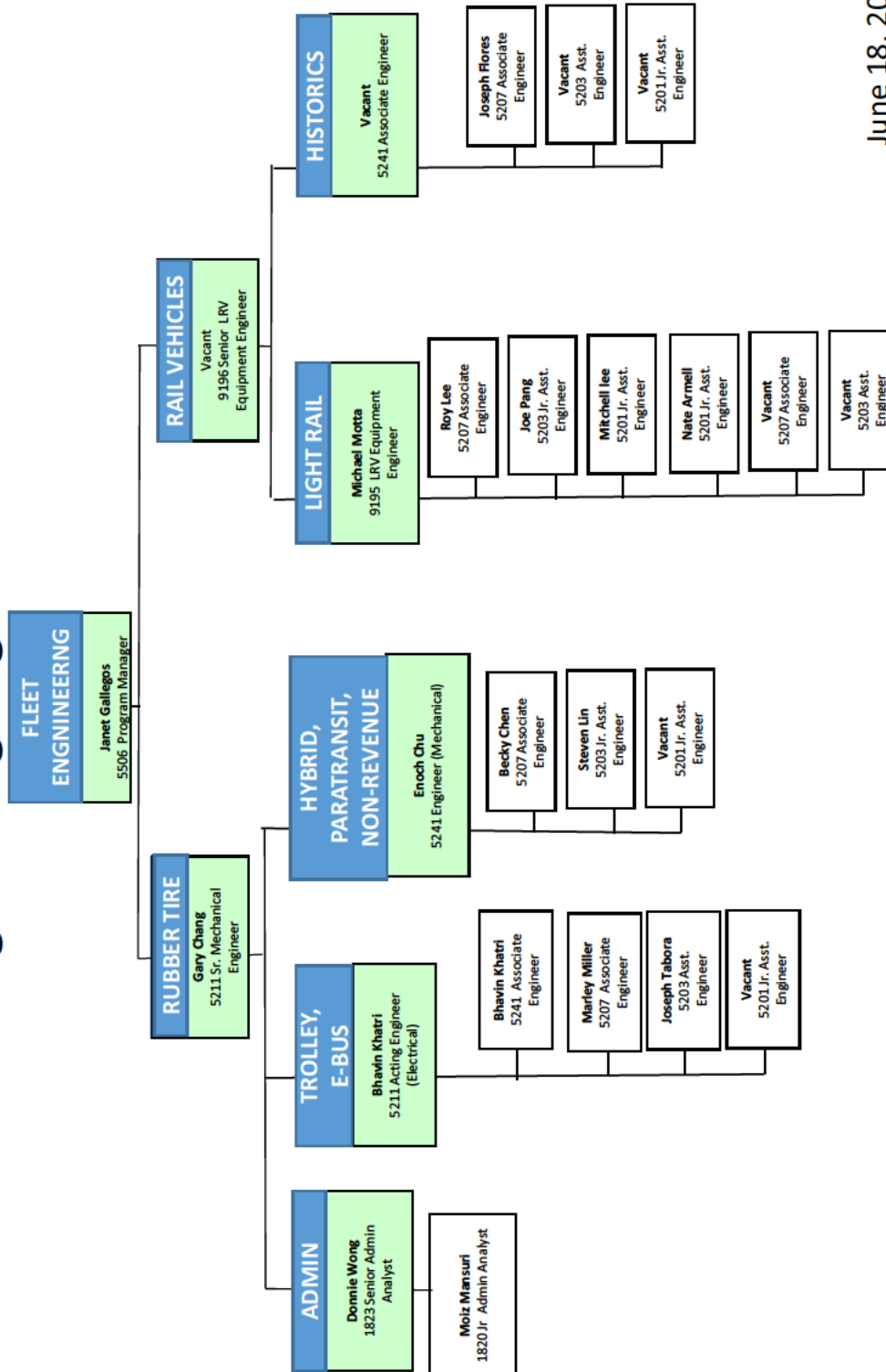
**RETURN TO PATIENT WHO IS RESPONSIBLE FOR FORWARDING TO THE EMPLOYER**

**SECTION III – APPROVALS – EMPLOYEE'S SUPERVISOR MUST COMPLETE**

PRINT NAME/TITLE	SIGNATURE	DATE	APPROVE	DISAPPROVE (REASON)
<u>Broderick Torres</u> (Employee's Supervisor)	<u>X [Signature]</u>	<u>6-17-14</u>	<u>X ✓</u>	
<u>James Chan</u> (Personnel Officer/Designee)	<u>[Signature]</u>	<u>6/25/14</u>	<u>✓</u>	
(Appointing Officer/Designee)				

# ATTACHMENT R

## Fleet Engineering Organization Chart



June 18, 2020



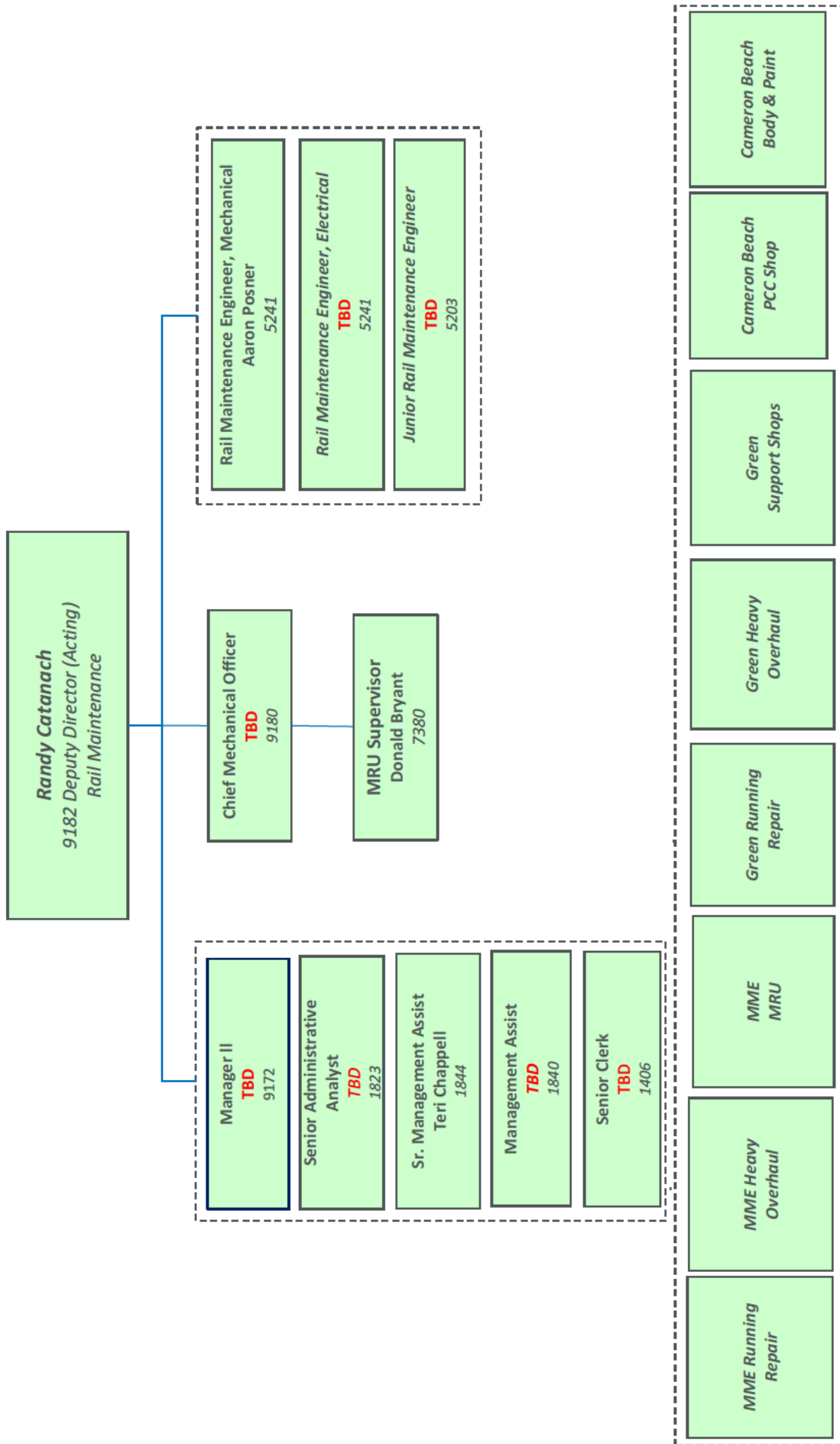
# ATTACHMENT S

## RAIL MAINTENANCE DIVISION

Organization Chart – February 2020



# Rail Maintenance Division - Overview



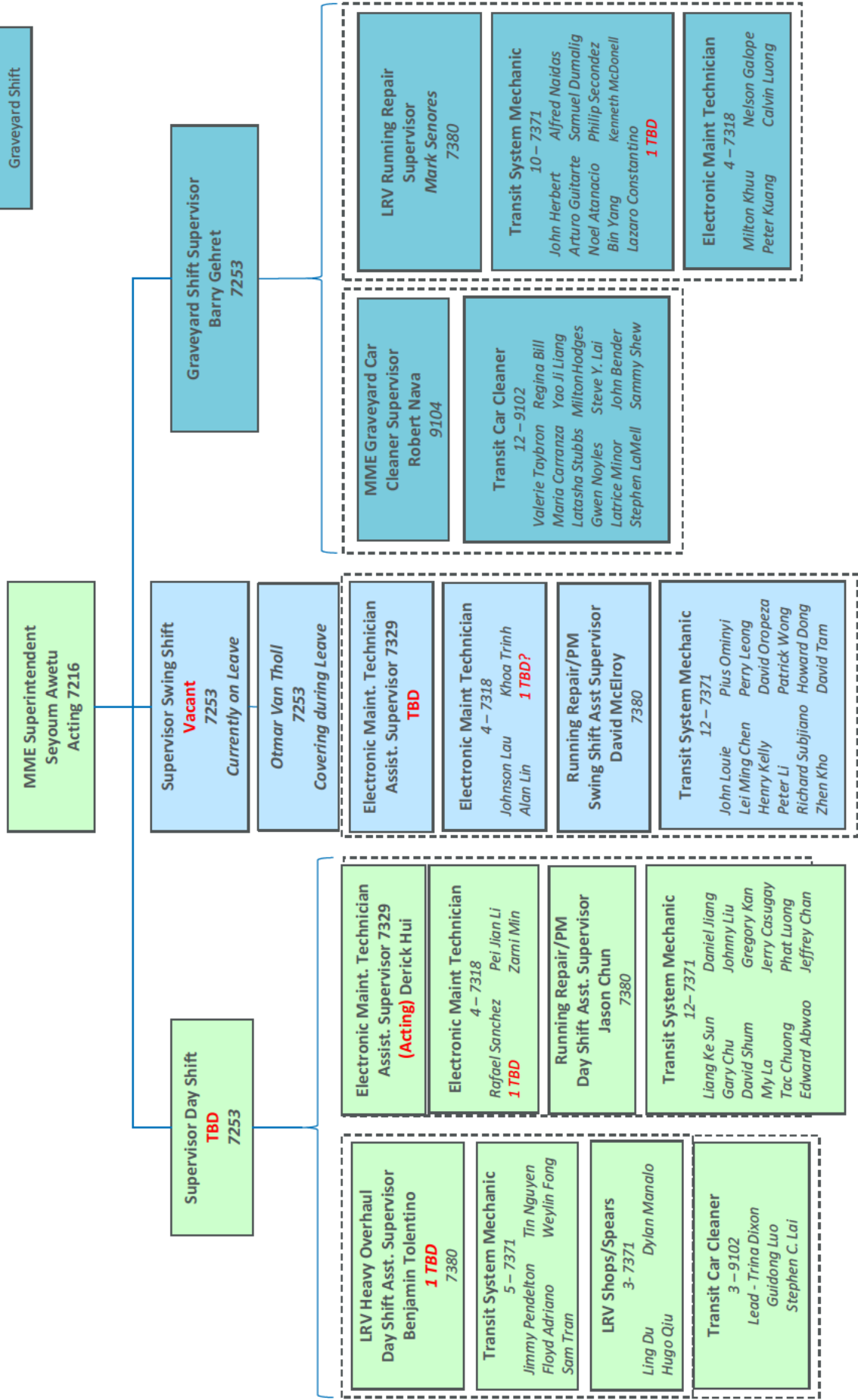
SAN-240

# Rail Maintenance

## Muni Metro East (MME)

Running Repair / Heavy Overhaul

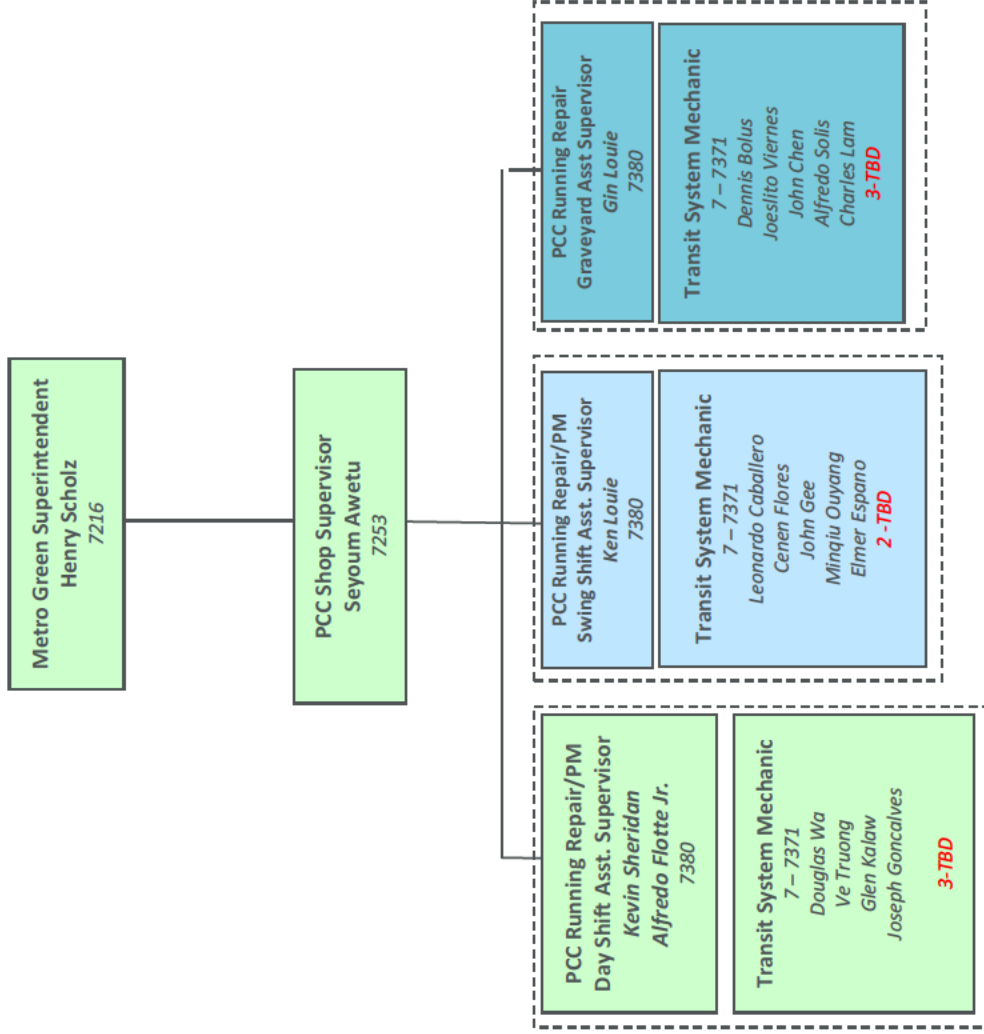
LEGEND
Day Shift
Swing Shift
Graveyard Shift



# Rail Maintenance

## PCC Historic Fleets Shop

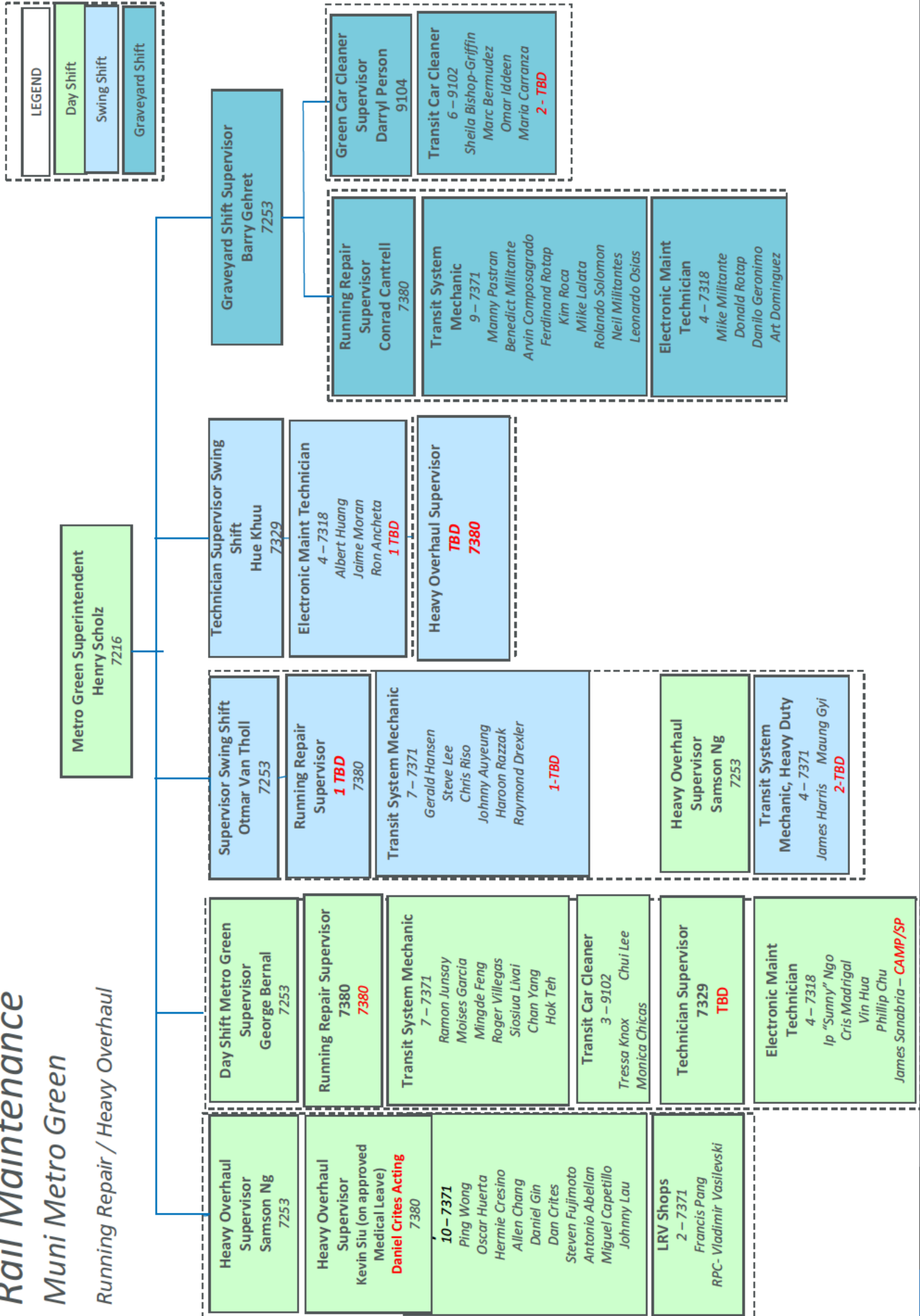
LEGEND	
	Day Shift
	Swing Shift
	Graveyard Shift



# Rail Maintenance

## Muni Metro Green

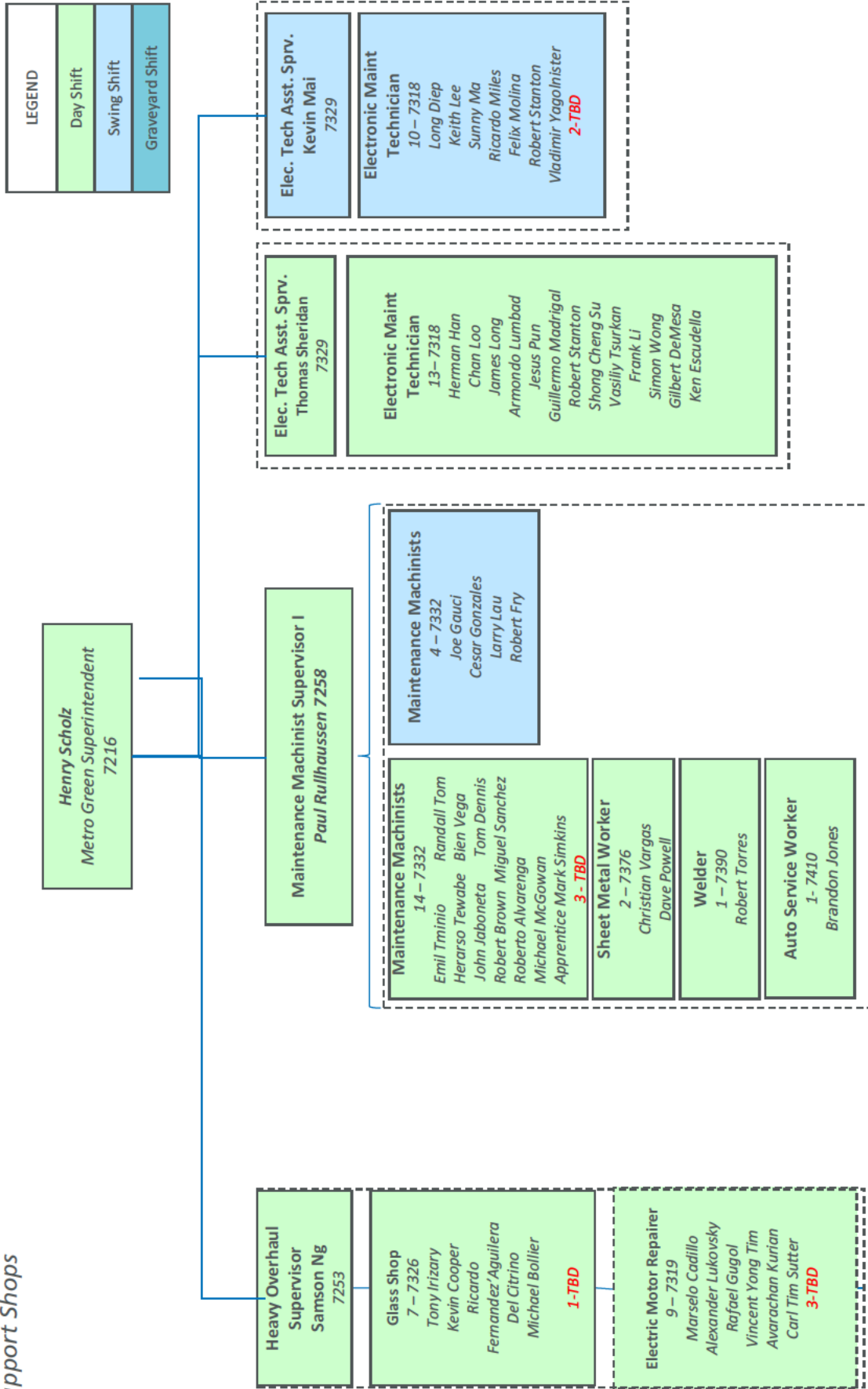
Running Repair / Heavy Overhaul



# Rail Maintenance

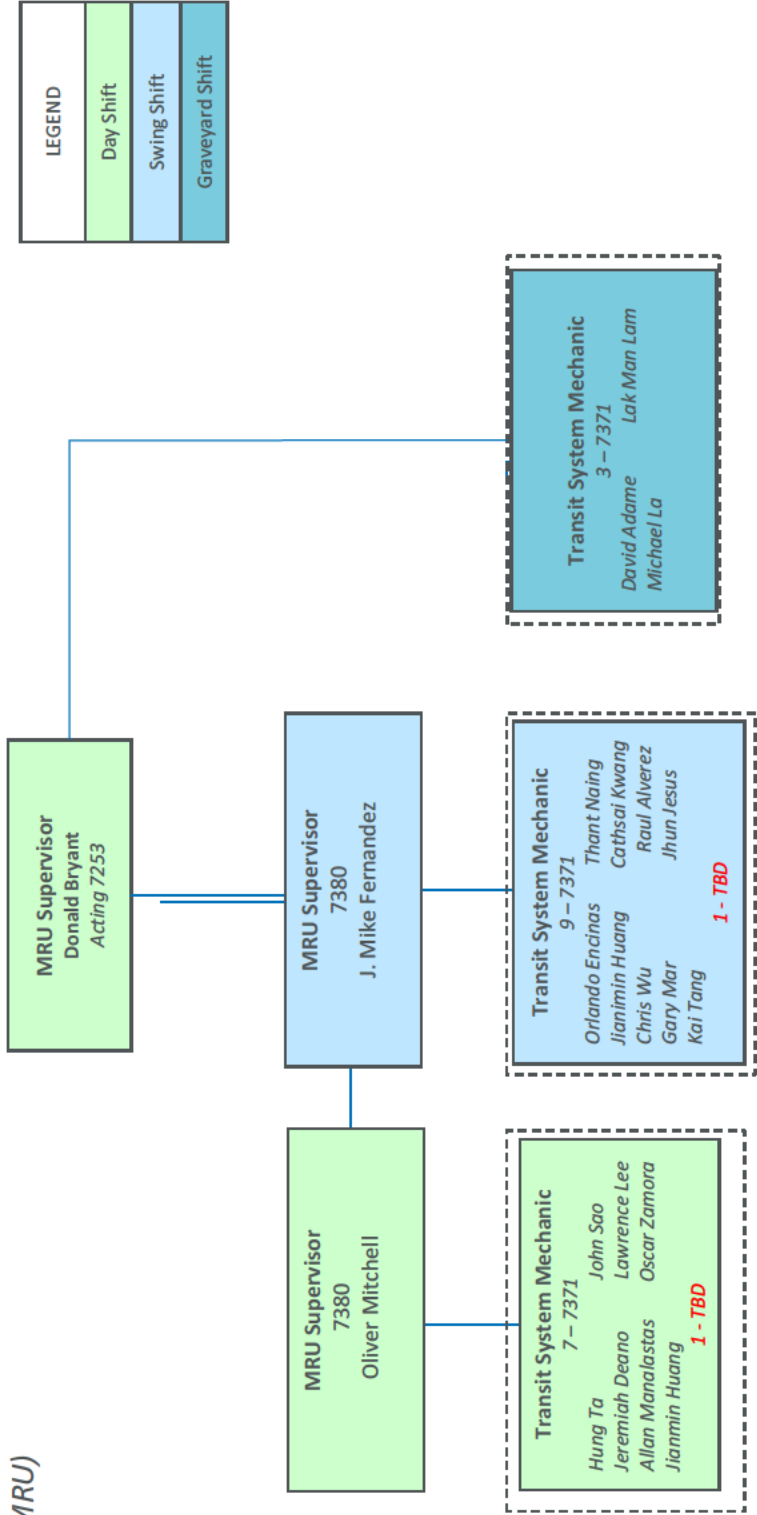
## Muni Metro Green

### Rail Support Shops



# Rail Maintenance

## Mobile Response Unit (MRU)

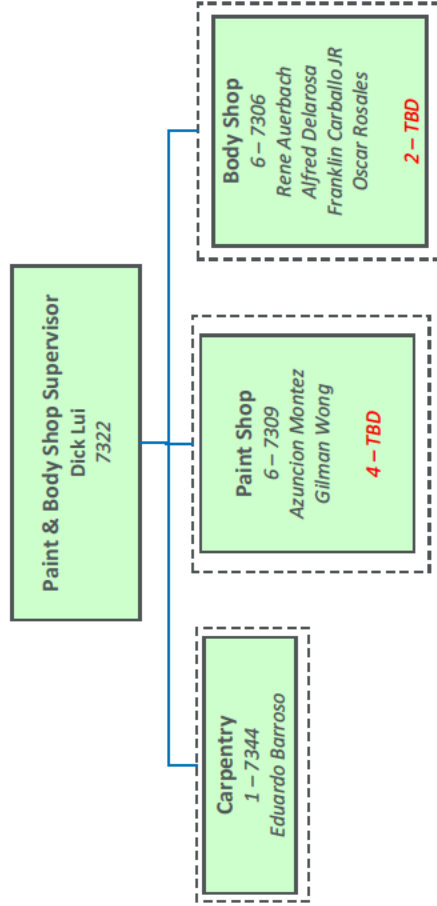


LEGEND
Day Shift
Swing Shift
Graveyard Shift

# Rail Maintenance

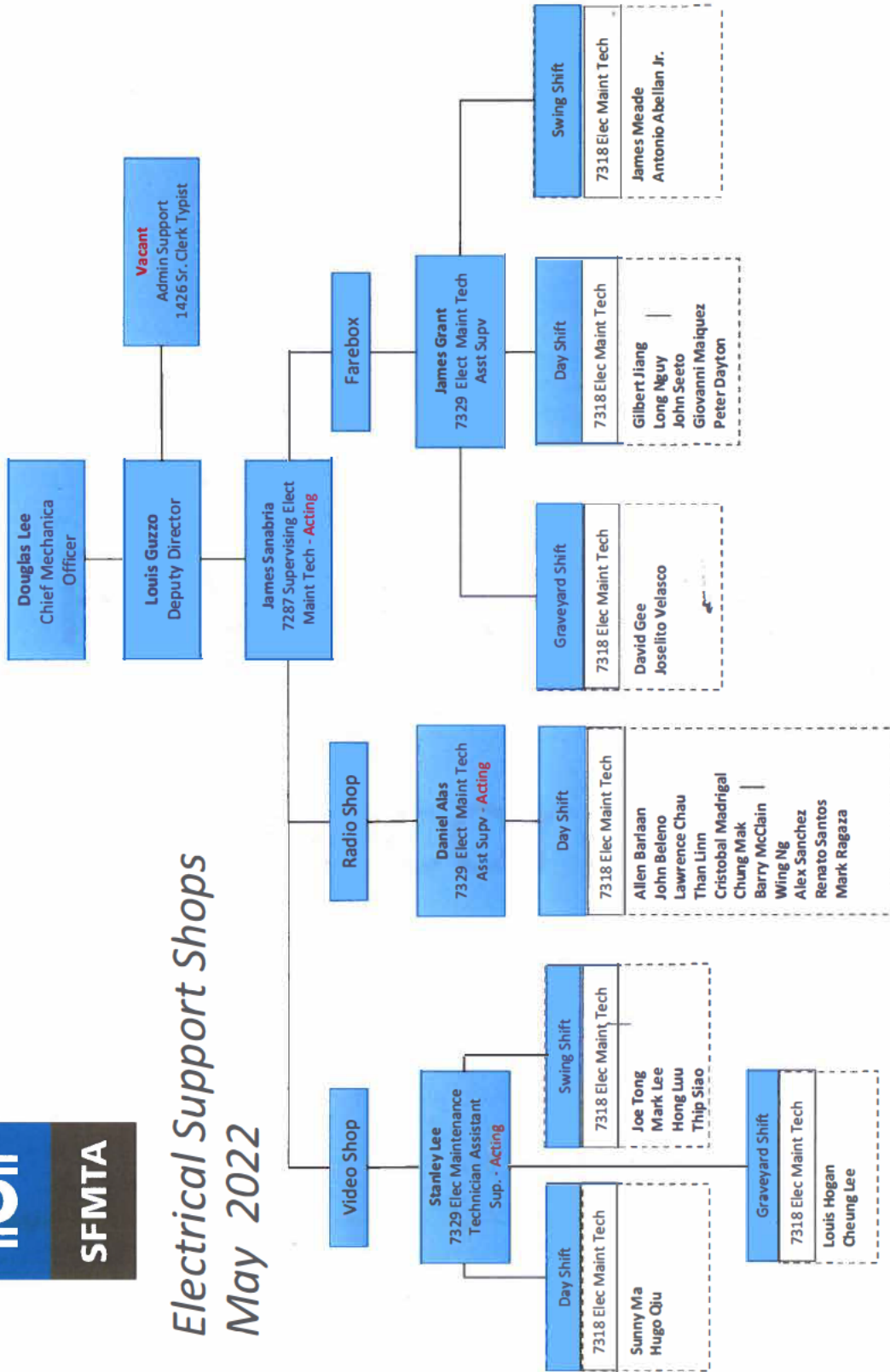
## Body & Paint

LEGEND
Day Shift
Swing Shift
Graveyard Shift





# Electrical Support Shops May 2022





# ATTACHMENT U

**Miles II, William**

---

**From:** Boparai, Parveen  
**Sent:** Friday, September 1, 2023 12:35 PM  
**To:** Miles II, William; Dines, Shana  
**Cc:** Nath, Shivani  
**Subject:** RE: Michael Motta Acting Assignments

Bill:

I have reviewed all the AAPs from before and after 2012 and did not find any record of Michael Motta receiving AAP. Thanks

Parveen  
HR, Employee & Labor Relations  
Parveen.boparai@sfmta.com

---

**From:** Miles II, William <William.MilesII@sfmta.com>  
**Sent:** Thursday, August 31, 2023 8:50 PM  
**To:** Dines, Shana <Shana.Dines@sfmta.com>; Boparai, Parveen <Parveen.Boparai@sfmta.com>  
**Cc:** Nath, Shivani <Shivani.Nath@sfmta.com>  
**Subject:** Michael Motta Acting Assignments

Hi Shana and Parveen,

Can you let me know if you have any documented records of acting assignments for Michael Motta? I'm actually looking for awhile back – anything since 2012. Motta has written verification documents for an individual for which at the time it doesn't seem he would have had any relationship in supervising or managing. Before I make such a claim in our CSC report though, I do want to check if he maybe had some acting assignment at that time that might have made sense for what was written.

Thanks.

William (Bill) Miles II  
Talent Acquisition Senior Manager, SFMTA  
415.646.2863

# ATTACHMENT V

**Miles II, William**

---

**From:** Ye, Sammy  
**Sent:** Wednesday, September 13, 2023 7:34 AM  
**To:** Miles II, William; Nath, Shivani  
**Cc:** Williams, Emily; Ackerman, Kimberly  
**Subject:** RE: Request for Info - Confidential

Morning Bill,

Apologize for the delay, this is also before my time with Transit. We will be discussing this tomorrow and get back to you as soon as possible. Thank you.

Sammy

---

**From:** Miles II, William <William.MilesII@sfmta.com>  
**Sent:** Tuesday, September 12, 2023 4:37 PM  
**To:** Nath, Shivani <Shivani.Nath@sfmta.com>; Ye, Sammy <Sammy.Ye@sfmta.com>  
**Cc:** Williams, Emily <Emily.Williams@sfmta.com>; Ackerman, Kimberly <Kimberly.Ackerman@sfmta.com>  
**Subject:** RE: Request for Info - Confidential  
**Importance:** High

Hi all,

Shivani and I are trying to wrap up a report regarding candidate James Sanabria applying to one of our exams. Sanabria has appealed their rejection. Upon review of the draft report, I noted that there did not seem to be any actual reporting line between Sanabria and the individual writing the letters on his behalf, for this and other jobs for which Sanabria has been applying. Turns out that Shivani made the same determination and hence our separate inquiries on this matter.

The individual who has written the letters is Michael Motta, who appears to be in a completely separate unit of the Transit Division. Back in 2014 when they wrote the first letter, they were in Fleet Engineering, which at least from what we can see from current org charts seems to have no relation to the mechanics as far as supervisory or management responsibilities. Thus, if true, the writing of such letters by Michael Motta is inappropriate to be providing for someone that they do not have any such authority to state the responsibilities of their role or work performed. In fact, Motta has extended their current letters to try to verify Sanabria's experience from "2012 to 2023" and current org charts show no reporting relationship between the two.

I have reviewed Sanabria's personnel file and outside of this letter from Motta find no documents or org charts that show a reporting relationship at any point between these two individuals. However, as Shivani and I were not employed during the entirety of the time periods being stated, please advise as soon as possible on any knowledge the division may have regarding Michael Motta having supervisory or management responsibilities over James Sanabria.

Thanks.

William (Bill) Miles II  
Talent Acquisition Senior Manager, SFMTA  
415.646.2863

---

**From:** Nath, Shivani <[Shivani.Nath@sfmta.com](mailto:Shivani.Nath@sfmta.com)>  
**Sent:** Thursday, September 7, 2023 3:44 PM

**To:** Ye, Sammy <[Sammy.Ye@sfmta.com](mailto:Sammy.Ye@sfmta.com)>

**Cc:** Miles II, William <[William.MilesII@sfmta.com](mailto:William.MilesII@sfmta.com)>; Williams, Emily <[Emily.Williams@sfmta.com](mailto:Emily.Williams@sfmta.com)>

**Subject:** RE: Request for Info - Confidential

Hi Sammy, any updates on this.

+bill, and Emily as I know their was a separate email chain on this.

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**From:** Ye, Sammy <[Sammy.Ye@sfmta.com](mailto:Sammy.Ye@sfmta.com)>

**Sent:** Friday, September 1, 2023 2:19 PM

**To:** Nath, Shivani <[Shivani.Nath@sfmta.com](mailto:Shivani.Nath@sfmta.com)>

**Subject:** RE: Request for Info - Confidential

Hi Shivani,

Sorry for the delay response, I checked all my files and reached out to Cecilia who has been with Transit longer than I am and unfortunately, I wasn't able to find any org chart that shows the working relationship between James Sanabria and Michael Motta. Their working relationship was before my time, Emily may know more. Is it appropriate for me to forward this email to her or if you can reach out to her directly? Since the email is confidential, I wanted to double check before doing so. Thank you.

Sammy

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**From:** Nath, Shivani <[Shivani.Nath@sfmta.com](mailto:Shivani.Nath@sfmta.com)>

**Sent:** Friday, August 25, 2023 12:08 PM

**To:** Ye, Sammy <[Sammy.Ye@sfmta.com](mailto:Sammy.Ye@sfmta.com)>

**Subject:** Request for Info - Confidential

Hi Sammy,

I am working on a report for the civil service commission in response to an appeal. I have a letter that Michael Motta, Light Rail Vehicle Equipment Engineer wrote a letter for one of Transit's staff. I want to understand if the person is even a direct report to Michael. His name in James Sanabria. Will you please submit an org chart, and shed any light if these two do have any working relationships if not apparent on the org chart.

Thanks,

Shivani