**Sourcing Event 0000006788**

**Attachment 3**

**Institutional Capability and Commitment to Financial Access**

1. **BACKGROUND INFORMATION**

The City and County is striving to partner with an institution that has a commitment and dedication to the communities we serve. The Office has a responsibility to ensure that public funds are secured with a fiscally sound and healthy institution, as well as with one that is committed to community reinvestment and socially responsible practices.

Respondents to this RFP are required to articulate how their respective institutions have encouraged equitable economic opportunities for local businesses and citizens, especially low-income communities and communities of color.

The City’s goal is to identify a business partner which seeks to make a positive impact on society through its activities and is committed to improving communities. Where information is available, the Treasurer’s Office may also utilize Environmental, Social, and Governance (ESG) data from third-party sources in evaluating corporate citizenship.

1. **REQUESTED INFORMATION**
2. **Narrative Response** (Up to 2 pages)

Provide a narrative that demonstrates the Respondent’s commitment and relevant experience toward social responsibility and financial inclusion for historically disadvantaged and unbanked populations, including but not limited to the following:

* 1. How will your firm support and uplift the K2C program through this commitment and experience?
  2. How has your firm sought to create greater financial access and engagement with historically disadvantaged and unbanked populations?
  3. How would the K2C program align with, expand, and shape the work that your firm is doing?

1. **Institutional Capability and Commitment to Financial Access Responses**

Provide information about your firm’s institutional capability and commitment to financial access by responding to the following requests and questions. Where requested, provide attachments with clear labeling, appended to this form, Attachment 3.

If responding N/A to items (2), (4), (5), (6), (7), (8), and/or (9) provide an explanatory note within the N/A box of this form to explain why the item is not applicable to your firm. Limit explanation to 5 sentences maximum.

*Proposers who do not provide an explanation for a “Not Applicable” response will lose points.*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Description** | **Yes** | **No** | **N/A**  (If selecting N/A, provide explanation in the space provided. Up to 5 sentences.) | **Provided as**  **Attachment** |
| **INSTITUTIONAL CAPACITY** | | | | |
| 1. Audited financial statements   *Provide as attachment.* | n/a | n/a |  |  |
| 1. Please state whether the firm has the following policies or agreements in place.   *If applicable, provide as attachments.* | | | | |
| * 1. Diversity and/or Racial Equity Policy |  |  |  |  |
| * 1. Union Agreement(s) |  |  |  |  |
| * 1. Sustainable Supply Chain Management Policy |  |  |  |  |
| 1. Details on (1) Board, (2) Executives, (3) Management, and (4) Firm’s overall composition including but not limited to:    1. % Women    2. Racial and ethnicity break down   *Provide as attachment* | n/a | n/a |  |  |
| 1. Whether the Proposer is a United States-based federally or state-chartered bank, or federally- or state-incorporated credit union. |  |  |  |  |
| 1. Does the firm provide support (financial or in-kind) for philanthropic endeavors?   *If yes, provide up to 1 page narrative attachment describing activities and contributions. What percent of overall revenue is contributed to philanthropic endeavors?* |  |  |  |  |
| **COMMITMENT TO FINANCIAL ACCESS** | | | | |
| 1. Whether the Proposer has a current “Satisfactory” or higher overall CRA rating, both nationally and in the State of California, if applicable. Respondents are required to provide a statement indicating the CRA rating and performance evaluation published by the respective Federal financial supervisory agency, including overall CRA rating as well as CRA rating for primary rating area that encompasses the City and County of San Francisco. |  |  |  |  |
| 1. Whether the Proposer currently has or plans to introduce a non-custodial account to youth starting at age 14. |  |  |  |  |
| 1. Whether the Institution currently has or plans to introduce a Bank On certified account (see: <https://joinbankon.org/wp-content/uploads/2018/12/BankOn_Standards_2019-2020.pdf>) |  |  |  |  |
| 1. Whether the Institution currently accepts alternative ID, such as Matricula Consular (Consular Identification Card) and Individual Taxpayer Identification Number (ITIN) for all banking clients. |  |  |  |  |
| **ENFORCEMENT ACTION(S)** | | | | |
| 1. Pending Enforcement Action: To the extent allowable by law, respondent must provide a statement disclosing any pending investigation and enforcement action undertaken by federal, state, or local agencies against respondent.   *If applicable, provide as attachment(s).* | n/a | n/a |  |  |
| 1. Recent Enforcement Action: To the extent allowable by law, respondent must provide a statement disclosing any investigation and enforcement action undertaken by federal, state, or local agencies against respondent in the past five (5) years.   *If applicable, provide as attachment(s).* | n/a | n/a |  |  |
| 1. Recent Fines or Penalties: To the extent permitted by law, respondents must provide a statement disclosing any fines or penalties assessed by federal, state or local agencies against the Respondent in the past five (5) years.   *If applicable, provide as attachment(s).* | n/a | n/a |  |  |