

No. S166350

IN THE SUPREME COURT
OF THE STATE OF CALIFORNIA

BRINKER RESTAURANT CORPORATION, BRINKER INTERNATIONAL,
INC., and BRINKER INTERNATIONAL PAYROLL COMPANY, L.P.

Petitioners,

vs.

SUPERIOR COURT OF THE STATE OF CALIFORNIA
FOR THE COUNTY OF SAN DIEGO,
Respondent.

SUPREME COURT
FILED

OCT 19 2011

ADAM HOHNBAUM, ILLYA HAASE, ROMEO OSORIO, Frederick K. Ohlrich Clerk
AMANDA JUNE RADER and SANTANA ALVARADO, Deputy
Real Parties in Interest.

Petition for Review of a Decision of the Court of Appeal, Fourth Appellate
District, Division One, Case No. D049331, Granting a Writ of Mandate to the
Superior Court for the County of San Diego, Case No. GIC834348
Honorable Patricia A.Y. Cowett, Judge

**SUPPLEMENTAL BRIEF RE *WAL-MART STORES, INC. v. DUKES*,
131 S.Ct. 2541 (2011) [CAL. RULES OF COURT, RULE 8.520(d)(1)]**

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I. INTRODUCTION

Pursuant to Rule of Court 8.520(d)(1), Real Parties respectfully respond to Brinker's supplemental brief addressing *Wal-Mart Stores, Inc. v. Dukes*, 131 S.Ct. 2541 (2011) ("Dukes Br.").

Dukes is neither binding nor relevant. Nothing in the U.S. Supreme Court's case-specific application of Federal Rule of Civil Procedure 23(b)(2) and (b)(3) ("Rule 23") in *Dukes* provides any justification for upending decades of settled jurisprudence under Code of Civil Procedure section 382 ("§382"), or the well-established principles governing California appellate review of class certification orders, as set forth in *Sav-on Drug Stores, Inc. v. Superior Court*, 34 Cal.4th 319 (2004).¹

II. DISCUSSION

A. The Legal and Factual Issues in this Case Are Entirely Distinguishable From Those in *Dukes*

Dukes was a Title VII case, in which plaintiffs alleged that thousands of individual managers' subjective, multi-variable promotion decisions had a discriminatory impact on more than 1.5 million female employees. 131 S.Ct. 2541, *passim*. This case, by contrast, involves a series of meal-and-rest-break claims, each of which arises from a common

¹ See also, e.g., *Fireside Bank v. Superior Court*, 40 Cal.4th 1069 (2007); *Lockheed Martin Corp. v. Superior Court*, 29 Cal.4th 1096 (2003); *Washington Mutual Bank v. Superior Court*, 24 Cal.4th 906 (2001); *Linder v. Thrifty Oil Co.*, 23 Cal.4th 429 (2000); *Richmond v. Dart Industries, Inc.*, 29 Cal.3d 462 (1981); *Green v. Obledo*, 29 Cal.3d 126 (1981); *Blue Chip Stamps v. Superior Court*, 18 Cal.3d 381 (1976); *Occidental Land, Inc. v. Superior Court*, 18 Cal.3d 355 (1976); *City of San Jose v. Superior Court*, 12 Cal.3d 447 (1974); *Southern California Edison Co. v. Superior Court*, 7 Cal.3d 832 (1972); *Collins v. Rocha*, 7 Cal.3d 232 (1972); *La Sala v. American Sav. & Loan Assn.*, 5 Cal.3d 864 (1971); *Vasquez v. Superior Court*, 4 Cal.3d 800 (1971); *Daar v. Yellow Cab Co.*, 67 Cal.2d 695 (1967).

policy or practice provable through classwide evidence, and each of which must be *separately* analyzed under *Sav-on*, 34 Cal.4th at 327, 329-30.

1.

First, this case raises several legal challenges to policies and practices that Brinker concedes are classwide. Brinker's brief sidesteps those claims, to which *Dukes* plainly has no application. The claims raise common legal challenges to concededly classwide policies. They were correctly certified for class treatment:

- Meal Period Compliance. Plaintiffs contend that California employers have an affirmative obligation to relieve workers of all duty for 30-minute unpaid meal periods. OBM33-78; RBM4-19.² If plaintiffs are correct that employers may not “suffer or permit” employees to work through their meal periods (except in those specific circumstances where “waiver” is expressly permitted by statute), plaintiffs will easily be able to identify and quantify all meal period violations from Brinker's daily time records. OBM114-15; RBM42. Brinker has never disputed that common questions predominate under this legal standard. *See* ABM99-118.

- Meal Period Timing. The record contains substantial evidence (as Brinker concedes in its Answer to the Amicus Curiae Brief of Rogelio Hernandez, filed 03/30/11 (“Hernandez Answer”) at 10) that Brinker has adopted a common, classwide “early lunching” policy, requiring its workers to take “lunch” within an hour of arriving at work and to continue working for up to 9½ more hours without receiving premium pay mandated by Labor Code §226.7. OBM9-10, 78-82; RBM43.

² *See also* Real Parties' Supp. Br. Submitting New Authority: *Martinez v. Combs*, 49 Cal.4th 35 (2010), filed 07/22/11; Amici Curiae Br. of Former DLSE Chief Counsel Miles Locker and Former IWC Comm'r Barry Broad, filed 08/26/09, at 2-12.

Whether this classwide policy is unlawful raises a common question; and the extent of Brinker's liability for these violations can be calculated from the company's own payroll records, which document each "early" lunch and each subsequent overlength work period. OBM78-80; RBM19-20.

- Rest Break Compliance and Timing. The depositions of Brinker's own executives provide substantial evidence that the company has common, classwide policies of: (a) not authorizing a rest break until after a full four hours' work, rather than a "major fraction thereof" as the Wage Orders require (OBM103; RBM32);³ and (b) not authorizing a rest break until after the first meal period for workers subject to "early lunching" (OBM110; RBM35). Whether these classwide policies are unlawful presents another issue that should be litigated once, in a single lawsuit.

As to each of these threshold issues, the trial court correctly certified a class. Where an employer's policies are concededly classwide and the parties dispute whether those policies are lawful, class adjudication has always been available in California, and *Dukes* says nothing to the contrary.

2.

Brinker's briefing targets the second set of issues in this case, involving plaintiffs' assertion that substantial evidence supports the trial court's discretionary decision to certify plaintiffs' off-the-clock claims (for work performed while clocked out for meal periods) and plaintiffs' claims that Brinker failed to "authorize or permit" them to take paid rest breaks or to take unpaid meal periods under Brinker's proposed "make available" standard (which it has never distinguished from "authorize and permit").

³ Brinker's corporate designee, Ginger Hukill, testified that Brinker's actual practice is not to "authorize or permit" workers to take "their first rest break" until "*after* their fourth hour" of work. 21PE5913:8 (emphasis added).

Brinker tries to force those claims into the *Dukes* subjective decisionmaking Title VII framework by asserting that it “gave its managers the discretion to determine the best way of providing meal and rest periods at their particular restaurants.” Dukes Brief 7. There are several flaws in Brinker’s approach.

First, the trial court credited plaintiffs’ contrary evidence. Under *Sav-on*, 34 Cal.4th at 331, that should have been binding on the Court of Appeal. Second, California law plainly does not permit employers to let their managers independently decide not to authorize or permit timely breaks. Finally, for purposes of evaluating the appropriateness of classwide proof, there is no comparison between the complex interplay of factors that may affect individual managers’ conscious and unconscious promotion decisions, as in *Dukes*, and the far more straightforward inquiry into whether plaintiff low-wage restaurant workers were in fact authorized or permitted to take certain breaks.

The trial court had ample discretion to conclude, based on substantial evidence, that Brinker’s liability for these alleged violations could be established through classwide proof at trial. This evidence will establish why meal period, rest break, and off-the-clock violations are so prevalent in Brinker’s restaurants (including because of chronic understaffing, payroll reduction bonus incentives for managers, and the absence of any compliance program despite Brinker’s knowledge of thousands of violations and its own DLSE settlement), and will include representative witness testimony coupled with survey evidence and statistical analysis to establish the frequency and extent of the resulting violations under the governing standards. OBM 8-15, 81; RBM43-48;

24PE6502:16-24;⁴ 2PE451:2-12; 1PE213:11-17; 21PE5770-5910; *see also* R. Hernandez Amicus Curiae Br., filed 02/24/11, 12-13, 21-34. That is precisely how plaintiffs presented their cases in several of the recent decisions that Brinker tries to distinguish factually. Hernandez Answer 12-14 (citing *Jaimez v. DAIOHS USA, Inc.*, 181 Cal.App.4th 1286 (2010); *Dilts v. Penske Logistics, LLC*, 267 F.R.D. 625 (S.D. Cal. 2010)).⁵

Addressing similar evidence in *Sav-on*, this Court explained that the existence of such common practices supported class certification under a theory that those practices resulted in “widespread de facto” violations. 34 Cal.4th at 329; *see also Delagarza v. Tesoro Refining and Marketing Co.*, 2011 WL 4017967, *5-*8 (N.D. Cal. Sept. 8, 2011) (distinguishing *Dukes* and certifying meal period claims based on common “core of salient facts,” including “general policies,” notwithstanding “evidence of some day-to-day variations”); *id.* at *12 (“common questions predominated even though certain class members’ circumstances varied and some ... practices would have to be proven by anecdotal testimony” (citing *Dilts*, 267 F.R.D. at 636-38)). So, too, did *Sav-on* explain that where a defendant has no legal compliance program in operation, as here, that likewise supports a finding that classwide issues are common:

The predominance of the defendant’s class-wide [conduct] is evidenced by the fact that there is no compliance program that’s ever existed The class-wide policy [of doing nothing to meet its duty of compliance] does not vary from store to store, or from employee to employee.

⁴ “Manager’s bonuses are based on four (4) items [including] ... lowering payroll costs [K]eeping labor costs down ... is probably the most pressure intense part of being a Brinker manager.” 24PE6502:16-24.

⁵ While not a class certification decision, *Cicairos v. Summit Logistics*, 133 Cal.App.4th 949 (2005), which Brinker cannot meaningfully distinguish, illustrates the kinds of common evidence that can be presented to establish liability classwide.

Id. at 332. Brinker’s own witnesses confirmed that Brinker did *nothing* to comply with California break laws—other than adopt a paper policy—and that it did *nothing* to audit compliance with the court-ordered injunction resulting from the DLSE settlement. *E.g.*, 2PE451:2-12, 21PE5936:9-16 (testimony of Brinker designee Joseph Taylor); 18PE4840-44 (DLSE settlement).

Brinker contends that the only common evidence in this case is a paper policy that Brinker claims complies with the law. *Dukes* Br. 7; *Hernandez* Answer 3-4, 20. However, *Sav-on* already rejected the argument that an employer can avoid classwide liability simply by having a written policy pledging fealty to its legal obligations, without regard to its actual practices. 34 Cal.4th at 337. Here, too, Brinker’s “idealized” but unenforced written breaks policy has “little basis in reality.” *Id.* An employer’s duty to comply with the law “[does] not end with the mere promulgation of a rule. There [is] some duty of enforcement.” *People v. Sheffield Farms-Slawson-Decker Co.*, 121 N.E. 474, 475 (N.Y. 1918), cited in *Martinez*, 49 Cal.4th at 69.

In short, substantial evidence supports the order certifying each of plaintiffs’ claims. That order was well within the trial court’s discretion.

B. Nothing in *Dukes* Precludes the Use of Statistical and Survey Evidence in an Appropriate Case

This Court has explicitly approved the use of representative and statistical evidence as a method of establishing classwide liability. As explained in *Sav-on*:

California courts and others have in a wide variety of contexts considered pattern and practice evidence, statistical evidence, sampling evidence, expert testimony, and other indicators of a defendant’s centralized practices in order to evaluate whether common behavior towards similarly situated plaintiffs makes class certification appropriate.

34 Cal.4th at 333. This holding is well-grounded in California law, having been recognized in *Lockheed*, 20 Cal.4th at 1096; *Bell v. Farmers Ins. Exchange*, 115 Cal.App.4th 715, 750 (2004); *Reyes v. Board of Supervisors*, 196 Cal.App.3d 1263, 1279 (1987); and *Stephens v. Montgomery Ward & Co.*, 193 Cal.App.3d 411, 421 (1987); and confirmed in many post-*Sav-on* decisions such as *Alch v. Superior Court*, 165 Cal.App.4th 1412, 1428 (2008); *Capitol People First v. Department of Developmental Services*, 155 Cal.App.4th 676, 692-96 (2007); and *Estrada v. FedEx Ground Package System, Inc.*, 154 Cal.App.4th 1, 13-14 (2007).

For several reasons, *Dukes* does not compel a different result—especially in this case, where the proffered expert survey and statistical evidence was only a *part* of plaintiffs’ showing that common questions predominate. *See* Part II.A.2, *supra*.

First, nothing in *Dukes* supports Brinker’s assertion that expert survey and statistical proof is now categorically precluded in federal court class actions. *See Dukes* Br. 8. Although the U.S. Supreme Court found inadequate the particular statistical evidence presented (regression analyses designed to identify the gender impacts of subjective promotion decisions), it cited approvingly the use of statistical and anecdotal evidence to establish liability and fix damages in *International Brotherhood of Teamsters v. United States*, 431 U.S. 324 (1977), thus confirming that statistical and representative testimony may still be used in an appropriate case under Rule 23. 131 S.Ct. at 2552-56.⁶

Second, the *Dukes* “trial by formula” dicta was limited to the narrow question of whether back pay was “incidental” to injunctive relief under

⁶ Courts accept such evidence because, when properly crafted by a qualified expert, surveys can capture reliable answers to any relevant question, including whether breaks were “waived.” RBM46-47.

Rule 23(b)(2)—a subsection with no precise counterpart in §382. *Id.* at 2557. That discussion in *Dukes* arose in the unique context of a Title VII defendant's efforts to challenge individual class member claims in a special procedure that Title VII permits in pattern-and-practice discrimination cases. *Id.* at 2560-61 (citing 42 U.S.C. §2000e-5(g)(2)(A); *Teamsters*, 431 U.S. at 361). That discussion therefore has no bearing on this case.

In arguing otherwise, Brinker simply misreads *Dukes*, just as the district court misread *Dukes* in the unpublished decision, *Cruz v. Dollar Tree Stores, Inc.*, 2011 WL 2682967 (N.D. Cal. Jul. 8, 2011), which Brinker also cites. Many other courts, correctly reading *Dukes*, have had little difficulty granting class certification of wage and hour claims similar to those presented here. *See, e.g., Delagarza*, 2011 WL 4017967; *Nguyen v. Baxter Healthcare Corp.*, No. 8:10-cv-01463-CJC-SS (N.D. Cal. filed Aug. 26, 2011) (copy attached); *Ugas v. H&R Block Enterprises, LLC*, 2011 WL 3439219 (C.D. Cal. Aug. 4, 2011); *Smith v. Ceva Logistics U.S., Inc.*, 2011 WL 3204682 (C.D. Cal. Jul. 25, 2011); *Ramos v. SimplexGrinnell LP*, ___ F.Supp.2d ___, 2011 WL 2471584 (E.D. N.Y. Jun. 21, 2011).

C. California Class Action Law is Governed by Code of Civil Procedure Section 382, Not Rule 23.

Even if *Dukes* were not readily distinguishable, it would still not be controlling. Whatever new standards *Dukes* may have announced for federal courts under Rule 23, this case involves California claims, in a California court, that were certified under the well-settled standards of §382. Rule 23 is a detailed, multi-part rule that requires specific procedures having no counterpart in §382, and the California Legislature has not amended §382 in response to Rule 23 or its revisions.

This Court is not bound by new U.S. Supreme Court cases construing Rule 23 any more than it is bound by cases construing other

federal rules or regulations that are not controlling under the Supremacy Clause. Historically, this Court has never hesitated to reject federal case law in favor of providing greater protections to California workers and consumers when appropriate to further the Legislature's intent.⁷ Because state class certification procedures can and do differ widely from federal procedures, as the U.S. Supreme Court recognized in *Smith v. Bayer Corp.*, 131 S.Ct. 2368, 2377-78 (2011), decided just six days before *Dukes*, federal class certification cases are considered only "in the absence of controlling California authority," and then as "constructional aids" at best, *Southern California Edison*, 7 Cal.3d at 839.⁸

California class action jurisprudence has always been especially solicitous of the class action process. Unlike federal law, California has a

⁷ See *Ramirez v. Yosemite Water Co.*, 20 Cal.4th 785, 798 (1999) ("where the language or intent of state and federal labor laws substantially differ, reliance on federal regulations or interpretations to construe state regulations is misplaced"); see also *Martinez*, 49 Cal.4th at 66 (rejecting federal definitions of "employ" and "employer" in favor of IWC definitions in effect since 1916 and 1947); *Yanowitz v. L'Oreal USA, Inc.*, 36 Cal.4th 1028, 1057-59 (2005) (rejecting limitation on continuing violation doctrine for retaliation claims announced in *National R.R. Passenger Corp. v. Morgan*, 536 U.S. 101, 105 (2002) because adopting the federal rule "would mark a significant departure from the reasoning and underlying policy rationale of our previous cases"); *Graham v. DaimlerChrysler Corp.*, 34 Cal.4th 553, 568, 570 (2004) (rejecting "catalyst" fee-shifting restriction of *Buckhannon Bd. & Care Home, Inc. v. West Virginia Dept. of Health & Human Res.*, 532 U.S. 598 (2001), noting that "United States Supreme Court interpretation of federal statutes does not bind us to similarly interpret similar state statutes"); *Ketchum v. Moses*, 24 Cal.4th 1122, 1131, 1137 (2001) (rejecting limitation on fees multipliers in *City of Burlington v. Dague*, 505 U.S. 557, 567 (1992)); *Morillion v. Royal Packing Co.*, 22 Cal.4th 575, 592 (2000) (rejecting less protective federal "travel time" standard: "we decline to import any federal standard, which expressly eliminates substantial protections to employees, by implication").

⁸ *Accord Green*, 29 Cal.3d at 145; *La Sala*, 5 Cal.3d at 872; *Vasquez*, 4 Cal.3d at 822; *Daar*, 67 Cal.2d at 709.

““public policy which encourages the use of the class action device.”” *Savon*, 34 Cal.4th at 340 (quoting *Richmond*, 29 Cal.3d at 473). That policy “rests on considerations of necessity and convenience, adopted to prevent a failure of justice.” *Daar*, 67 Cal.2d at 704. Consistent with that policy, this Court has been vigilant to protect against the exculpatory consequences of depriving employees of their right to prosecute their commonly held wage-and-hour claims on a class action basis. *See, e.g., Gentry v. Superior Court*, 42 Cal.4th 443, 457 (2007).

III. CONCLUSION

For the reasons discussed above and in plaintiffs' prior briefing, substantial evidence supports the trial court's finding that common questions predominated with respect to each of plaintiffs' claims (including their injunctive relief claim, which Brinker has largely ignored). Consequently, the Court of Appeal's judgment should be reversed and the trial court's class certification order affirmed.

Dated: October 19, 2011

Respectfully submitted,

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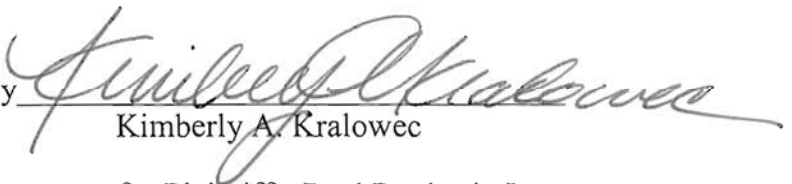
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**CERTIFICATE OF COMPLIANCE
WITH WORD COUNT REQUIREMENT**

Pursuant to Rule of Court 8.520(d)(2), the undersigned hereby certifies that the computer program used to generate this brief indicates that the brief does not exceed 2,800 words, including footnotes.

Dated: October 19, 2011


Kimberly A. Kralowec

**UNITED STATES DISTRICT COURT
CENTRAL DISTRICT OF CALIFORNIA
SOUTHERN DIVISION**

**ANNA NGUYEN, an individual, on
behalf of herself and all others similarly
situated,**

Plaintiff,

vs.

**BAXTER HEALTHCARE
CORPORATION, a Delaware
Corporation; and DOES 1 through 50,
inclusive,**

Defendants.

Case No.: SACV 10-01436-CJC(SSx)

**ORDER GRANTING PLAINTIFF'S
MOTION FOR CLASS
CERTIFICATION**

I. INTRODUCTION AND BACKGROUND

Plaintiff Anna Nguyen brought this action on behalf of herself other non-exempt manufacturing employees against her former employer, Defendant Baxter Healthcare Corporation (“Baxter”) and its subsidiaries or affiliated companies (“Does 1 through 50”) (collectively “Defendants”), alleging that Baxter violated California wage and hour and

1 unfair competition laws during a period beginning August 24, 2006 and continuing to the
2 present.

3
4 First, she claims that Defendants violated California Labor Code Sections 226.7
5 and 512, as well as IWC Wage Order 1 by failing to provide a first meal period within the
6 first five hours of an eight hour shift, or to provide compensation in lieu thereof. *See*
7 Pl.'s 2d. Am. Comp. at 11. She claims that Defendants violated the same provisions by
8 failing to provide a second meal period when employees worked for ten hours and by
9 failing to provide compensation in lieu thereof. *See id.* As part of that claim she asserts
10 that up until 2008, Defendants failed to accurately record when employees were given
11 meal periods. *See id.*

12
13 Ms. Nguyen also claims that Defendants violated Labor Code Sections 226, 1174,
14 and 1175 by failing to include information required by Section 226(a) on employee wage
15 statements.¹ *See id.* at 14. Last, Ms. Nguyen claims that Baxter's Labor Code violations
16 amount to a violation of the Unfair Competition Law ("UCL"), Cal. Bus. & Prof. Code §
17 17200, et seq. *See* Pl.'s 2d Am. Compl. at 15. Ms. Nguyen, a former employee at
18 Baxter's production facility in Irvine, California, seeks to represent a class of persons
19 employed as non-exempt manufacturing employees at the same facility. Before the Court
20 is Ms. Nguyen's Motion for Class Certification. For the reasons explained below, Ms.
21 Nguyen's motion is GRANTED.²

22
23
24 ¹ The wage statements provided to Baxter's non-exempt manufacturing employees failed "to include the
25 shift differential hourly rate of pay, the total hours worked at the shift differential rate, compensation in
26 lieu of untimely meal periods or non-provided second meal periods, the employer's address or the pay
period start date on the wage statements provided to its non-exempt manufacturing employees." Pl.'s
Mem. Supp. Mot. Class Certification at 6.

27
28 ² Having read and considered the papers presented by the parties, the Court finds this matter appropriate
for disposition without a hearing. *See* Fed. R. Civ. P. 78; Local Rule 7-15. Accordingly, the hearing set
for August 29, 2011, at 1:30 p.m. is hereby vacated and off calendar.

II. LEGAL STANDARD

Federal Rule of Civil Procedure 23(a) sets forth four requirements for maintenance of a class action. Under that rule, a class may only be certified if: (1) the class is so numerous that joinder of all members is impracticable, (2) there are questions of law or fact common to the class, (3) the claims or defenses of the representative parties are typical of the claims or defenses of the class, and (4) the representative parties will fairly and adequately protect the interests of the class. Fed. R. Civ. P. 23(a).

In addition, the party seeking certification must show that the action falls within one of the three types of classes outlined in the subsections of Rule 23(b). In this case, Ms. Nguyen seeks certification pursuant to 23(b)(3), Pl.'s Mem. Supp. Mot. Class Certification at 7, which allows certification of cases in which "the court finds that the questions of law or fact common to class members predominate over any questions affecting only individual members, and that a class action is superior to other available methods for fairly and efficiently adjudicating the controversy." Fed. R. Civ. P. 23(b)(3).

On this motion for class certification, Ms. Nguyen bears the burden of demonstrating that she has met the four requirements of Rule 23(a) as well as the predominance and superiority requirements of Rule 23(b)(3). *See Zinser v. Accufix Research Inst., Inc.*, 253 F.3d 1180, 1186 (9th Cir. 2001), *amended by* 273 F.3d 1266 (9th Cir. 2001). And this Court may only certify the class if it is "satisfied, after a rigorous analysis, that" she has. *Wal-Mart Stores, Inc., Wal-Mart Stores, Inc. v. Dukes*, 131 S. Ct. 2541, 2551 (2011) (quoting *General Tel. Co. Sw. v. Falcon*, 457 U.S. 147, 161 (1982)); *see also Hanon v. Dataproducts Corp.*, 976 F.2d 497, 509 (9th Cir. 1992). Ms. Nguyen has not done so unless she has provided the Court with a sufficient basis to form a reasonable judgment on each Rule 23 requirement. *See Blackie v. Barrack*, 524 F.2d 891, 900–01 (9th Cir. 1975).

1
2 Although the district court generally accepts the allegations in a plaintiff's
3 complaint as true, the certification decision "'generally involves considerations that are
4 enmeshed in the factual and legal issues comprising the plaintiff's cause of action.'" *Wal-Mart Stores, Inc.*, 131 S. Ct. at 2552 (quoting *Falcon*, 457 U.S. at 160). Conversely,
5 the district court may not analyze any portion of the merits of a plaintiff's claims that do
6 not overlap with the Rule 23 requirements. *Dukes v. Wal-Mart Stores, Inc.*, 603 F.3d
7 571, 594 (9th Cir. 2010) (en banc) ("[D]istrict courts retain wide discretion in class
8 certification decisions . . ."), *rev'd on other grounds by Wal-Mart Stores, Inc. v. Dukes*,
9 131 S. Ct. 2541). Ultimately, the decision to certify a class is left to the discretion of the
10 district court. *See Desai v. Deutsche Bank Secs. Ltd.*, 573 F.3d 931, 937 (9th Cir. 2009);
11 *Dukes*, 603 F.3d at 594.
12

13 14 **III. DISCUSSION**

15 16 **A. Proposed Class and Sub-Classes**

17 Ms. Nguyen seeks to divide her class into four sub-classes. These sub-classes
18 reflect each of Ms. Nguyen's claims. They are:

19
20 (1) All Non-Exempt Manufacturing Employees at Defendant's Irvine,
21 California facility who received a 30 minute uninterrupted meal period more
22 than five hours after the start of their work shifts and did not receive
23 compensation of one hours pay in lieu thereof during the statutory period.
24 ("Late meal Period Class");

25 (2) All Non-Exempt Manufacturing Employees at Defendant's Irvine
26 California facility who worked shifts of greater than ten hours and did not
27 receive a second 30 minute uninterrupted meal period and did not receive
28 compensation of one hours pay in lieu thereof during the statutory period.
29 ("Second Meal Period Class");

(3) All Non-Exempt Manufacturing Employees at Defendant's Irvine
California facility who were not provided accurate itemized wage statements

1 reflecting the shift differential hourly rate of pay; the total hours worked at
2 the shift differential rate, compensation in lieu of untimely meal periods or
3 non-provided second meal periods, the employer's address, or the pay period
start dates during the statutory period. (Labor Code sec. 226 Class"); and

4 (4) All Non-Exempt Manufacturing Employees at Defendant's Irvine,
5 California facility who were subjected to Defendant's unlawful, unfair or
6 fraudulent business acts or practices in the form of Labor Code violations
7 regarding meal periods, second meal periods, and/or inaccurate itemized
8 wage statements during the statutory period. ("Business and Professions
Code sec. 17200 Class").

9 Pl.'s Mem. Supp. Mot. Class Certification at 2.

10 **B. Rule 23(a) Requirements**

11
12 Rule 23(a) has four requirements: numerosity, commonality, typicality, and
13 adequacy. Each requirement is addressed below. Because the evidence and discussion
14 for the two meal break sub-classes is the same, the Court will address the two sub-classes
15 together.
16

17 **1. Numerosity**

18
19 Numerosity is satisfied where "the class is so numerous that joinder of all members
20 is impracticable." Fed. R. Civ. P. 23(a)(1). Ms. Nguyen seeks to certify a class
21 consisting of 270–280 employees at Baxter's Irvine facility. Although Baxter contests
22 other Rule 23 requirements, it does not genuinely dispute that Ms. Nguyen's proposed
23 class satisfies the numerosity requirement. The numerosity requirement is met here,
24 because it would be impracticable to join all of the members of the class.
25
26
27
28

2. Commonality

To satisfy the commonality requirement, the plaintiff must establish that “there are questions of law or fact common to the class.” Fed. R. Civ. P. 23(a)(2). “Commonality requires the plaintiff to demonstrate that the class members ‘have suffered the same injury,’” which “does not mean merely that they have all suffered a violation of the same provision of law.” *Wal-Mart Stores, Inc.* 131 S. Ct. at 2551. The “claims must depend on a common contention” and “[t]hat common contention . . . must be of such a nature that it is capable of classwide resolution—which means that determination of its truth or falsity will resolve an issue that is central to the validity of each one of the claims in one stroke.” *Id.* “The existence of shared legal issues with divergent factual predicates is sufficient, as is a common core of salient facts coupled with disparate legal remedies within the class.” *Hanlon v. Chrysler Corp.*, 150 F.3d 1011, 1019 (9th Cir. 1998). The commonality requirement overlaps with, but, is less rigorous than Rule 23(b)(3)’s predominance requirement. *Id.*

Ms. Nguyen’s complaint and the putative class member’s claims depend on a common contention, namely that Baxter employed uniform policies with respect to the meal breaks and wages of their non-exempt manufacturing employees at their Irvine facility. Specifically, with respect to the class’s claims regarding meal breaks, Ms. Nguyen has shown that Baxter treated these workers uniformly. Employees on a production line went to lunch at the same time, as determined by the lead or supervisor. (Bosalet Dep. at 41.) Baxter used software which automatically deducted one 30 minute meal break per shift from all employees’ time, without regard to whether a first meal break was late or missed, or whether a second meal break was required on a shift of more than 10 hours. (*Id.* at 40). Baxter has never paid out extra pay for a late or missed meal during the class period. (*Id.*) The written policy provided to the class members regarding meal breaks, which Ms. Nguyen asserts lacks required information until April 3, 2010,

1 was identical for all of the class members. (*Id.* at 45–53, 63–69; Pl. Ex. 4 at
2 BAX000446–447; Pl. Ex. 5 at BAX000448.) This policy was uniform, was provided to
3 new hires, and provided in online format to employees via an on-site learning center.
4 (Bosalet Dep. at 64-69.) Unlike *Wal-Mart*, there appears no basis for finding that any of
5 these actions were taken on an individual case-by-case basis, nor is the putative class so
6 large and disparate that it was subject to a wide variety of supervisory practices which
7 would require separate analysis. The record shows that Baxter employees at this facility
8 were treated with sufficient uniformity to satisfy the commonality requirement for the
9 meal break sub-classes.

10
11 With respect to wage statement subclass’s claim, the Court finds that the
12 commonality requirement is satisfied because the wage statements were identical for the
13 class. (Bosalet Dep. 149.) If Ms. Nguyen’s wage statement lacked required information
14 and caused her to have to look to outside information and perform calculations to see if
15 she was paid correctly, *see* Pl.’s Rep. Supp. Mot. Class Certification at 12 (showing that
16 because the wage statements lacked the shift differential pay rate and the pay period
17 beginning date, employees could not determine if they had been paid accurately based on
18 the wage statement alone), every other class member’s did as well. While it is true that to
19 bring a suit under 226(e), an injury is required to recover damages, “a very modest
20 showing will suffice”. *Jaimez v. DAIOHS USA, Inc.*, 181 Cal. App. 4th 1286, 1306–07
21 (Cal. Ct. App. 2010) (citing *Wang v. Chinese Daily News, Inc.*, 435 F. Supp. 2d 1042
22 (C.D. Cal. 2006); *Elliot v. Spherion P. Work., LLC*, 572 F. Supp. 2d 1169 (C.D. Cal
23 2008)). In fact, in *Jaimez*, the court found that there was a sufficient showing to satisfy
24 commonality and predominance even when “there [did] not appear to be any evidence in
25 the record of [the plaintiff’s] injury resulting from inaccurate paystubs.” *Id.* While Ms.
26 Nguyen will have to show an actual injury resulting from the noncompliant wage
27 statments to prevail on the merits, her showing that any injury or injuries, if they
28 occurred, were common to all class members will suffice. Ms. Nguyen asserts an injury

1 sufficient to satisfy the 226(e) showing, and that, because of the uniform wage
2 statements, any injury is common. She satisfies the commonality requirement for this
3 sub-class.

4
5 Finally, because the class's UCL claims derive from the conduct alleged in the
6 other three sub-classes' claims, the commonality requirement is similarly satisfied for this
7 sub-class as well. Ms. Nguyen, thus, satisfies the requirements for commonality for all
8 four sub-classes.

9 10 **3. Typicality**

11
12 Ms. Nguyen's claims are sufficiently typical to satisfy Rule 23(a)(3). Under the
13 requirement's "permissive standards," claims are typical if they are "reasonably co-
14 extensive with those of absent class members; they need not be substantially identical."
15 *Hanlon*, 150 F.3d at 1020. Ms. Nguyen is a non-exempt manufacturing employees at
16 Baxter's Irvine facility, as are all the other members of the putative class. As discussed
17 in the commonality section, she was subject to all of the same policies, and suffered the
18 same injuries of each sub-class.

19
20 Baxter asserts that Ms. Nguyen is not typical because she never had a late first
21 meal break, and that she only worked two shifts of more than 10 hours. *See* Def.'s Opp'n
22 Mot. Class Certification at 16–17. Baxter's first contention is not supported by the
23 evidence. To support its assertion they cite to a portion of Ms. Nguyen's deposition
24 where she provided the times when her shifts "normally" began, ended, and broke for
25 meals and rest. (Nguyen Dep. at 31–36.) Ms. Nguyen's testimony gave a general
26 description of her work routine. It does not establish that she received a meal break at the
27 same time every day without exception or that she never received a late meal break.

1 Baxter next asserts that Ms. Nguyen is atypical because she only worked two ten-
 2 hour shifts. Def.'s Opp. Mot. Class Certification at 17. Missing from this assertion is a
 3 claim that Ms. Nguyen was given the appropriate meal breaks, or compensation on these
 4 shifts. Without such a showing, Baxter does not prove that Ms. Nguyen did not suffer the
 5 injury she asserts on behalf of this sub-class. Because Ms. Nguyen has shown that she
 6 was the same type of employee, was subject to the same policies, and suffered the same
 7 types of injuries as the members of each sub-class, she has satisfied the typicality
 8 requirement.

9 10 **4. Adequacy**

11
 12 Under Rule 23(a)(4)'s adequacy requirement, Ms. Nguyen must establish that she
 13 "will fairly and adequately protect the interests of the class." Fed. R. Civ. P. 23(a)(4). In
 14 determining whether a proposed class representative will fairly and adequately protect the
 15 interests of the class, the Court asks two questions. First, do the proposed class
 16 representative and her counsel "have any conflicts of interest with other class members"?
 17 *Staton v. Boeing Co.*, 327 F.3d 938, 957 (9th Cir. 2003) (citing *Hanlon*, 150 F.3d at
 18 1020). Second, will the proposed class representative and her counsel "prosecute the
 19 action vigorously on behalf of the class?" *Id.* The competency of counsel is relevant to
 20 whether the class representative and her counsel will vigorously prosecute the action.
 21 *Hanlon*, 150 F.3d at 1021.

22
 23 Ms. Nguyen satisfies the first prong of the adequacy inquiry because there is no
 24 evidence of conflicts of interest, and the parties do not dispute that there are conflicts.
 25 Ms. Nguyen satisfies the second prong because she has shown that she is an adequate
 26 plaintiff and she is represented by competent counsel. Ms. Nguyen is an adequate
 27 plaintiff because she has demonstrated a desire and willingness to pursue this action
 28 through participation in this suit, submission of a declaration and sitting through

1 deposition. Ms. Nguyen's counsel, James R. Hawkins, is an experienced wage an hour
2 class action attorney, having participated in at least 23 wage and hour class actions suits
3 as lead or co-lead counsel since 2002. (Hawkins Decl. at 2–8.)
4

5 Baxter challenges Ms. Nguyen's adequacy as a plaintiff for two reasons: that she
6 does not want to be a class representative, and that she does not have sufficient
7 knowledge to make her a competent class representative. Baxter asserts that Ms. Nguyen
8 has shown that she does not want to be the class representative, because when asked,
9 "You don't want to be representing all of the other current and former employees?," she
10 answered, "That's correct, I don't." (Nguyen Dep. at 103.) However, later in the same
11 deposition, Ms. Nguyen repeatedly affirms, and articulates on her own a desire to
12 represent those similarly situated to her who want her to represent them. (*Id.* at 114–20.)
13 She describes wanting to stand for those similar to her who are afraid to act themselves.
14 (*Id.*) One answer in her deposition testimony notwithstanding, the evidence shows that
15 Ms. Nguyen is willing and able to represent the class. She has participated in the suit up
16 to this point, and provided both declarations and deposition testimony that show her
17 desire to represent others similarly situated.
18

19 Baxter claims that, because Ms. Nguyen, in her deposition, indicated that she was
20 unaware of activity outside of her production line and did not know whether others had
21 problems with their wage statements, Ms. Nguyen has insufficient knowledge to make
22 her an adequate representative. Def. Opp'n Mot. Class Certification at 17–18. To satisfy
23 the adequacy requirement, no such knowledge is required of the class representative. To
24 be sufficiently knowledgeable, a plaintiff must "understand[her] duties and [be] currently
25 willing and able to perform them. The Rule does not require more." *Local Joint*
26 *Executive Bd. of Culinary/Bartender Trust Fund v. Las Vegas Sands, Inc.*, 244 F.3d 1152,
27 1162 (9th Cir. 2001). Ms. Nguyen's testimony cited above indicates that she understands
28

1 the nature of a class action suit, and her responsibilities as representative. Ms. Nguyen is,
2 therefore, an adequate plaintiff.

3
4 Baxter finally claims that Ms. Nguyen's counsel is inadequate because of an
5 alleged ethical violation. Baxter asserts that Ms. Nguyen's counsel contacted a
6 prospective class member on the telephone and pretended to represent Baxter. Def. Opp.
7 Mot. Class Certification at 18–19. However, the testimony offered to support the claim
8 of unethical conduct does not establish that this occurred. Ha Tran testified that she does
9 not remember who called her with enough certainty to establish it was Ms. Nguyen's
10 counsel, (*See* Tran Dep. at 12, 44–48), and Ms. Nguyen's counsel denies ever making
11 any such representations, *see* Pl.'s Reply Supp. Mot. Class Certification at 19. Ms.
12 Nguyen and her counsel are adequate, and this requirement is satisfied.

13 14 **C. Rule 23(b)(3) Requirements**

15
16 Ms. Nguyen also seeks class certification on the basis that she satisfies the
17 requirements of Rule 23(b)(3). Accordingly, she must satisfy the predominance and
18 superiority requirements of that subsection.

19 20 **1. Predominance**

21
22 “The Rule 23(b)(3) predominance inquiry tests whether proposed classes are
23 sufficiently cohesive to warrant adjudication by representation.” *Amchem Products, Inc.*
24 *v. Windsor*, 521 U.S. 591, 623 (1997). It is similar to the commonality requirement of
25 Rule 23(a)(3). *Id.* at 623 n.18. But predominance is a more rigorous requirement than
26 the Rule 23(a)(3) commonality prerequisite. *Hanlon*, 150 F.3d at 1019. The “main
27 concern in the predominance inquiry . . . [is] the balance between individual and common
28

1 issues.” *In re Wells Fargo Home Mortg. Overtime Pay Litig.*, 571 F.3d 953, 959 (9th Cir.
2 2009).

3
4 In this case, common issues underlying Ms. Nguyen’s claims predominate. As
5 discussed previously, the central issues raised concern policies and practices at a single
6 facility applied with uniformly to all employees in the putative class. The evidence set
7 forth in the commonality requirement section also sufficiently demonstrates that these
8 common issues predominate. The only individualized determination apparent to the
9 Court is, if Ms. Nguyen is able to prove that the claims are valid, on what occasions, if
10 any, these injuries occurred to the class members, which is an issue of damages.
11 However, “[t]he amount of damages is invariably an individual question and does not
12 defeat class action treatment.” *Blackie v. Barrack*, 524 F.2d 891, 905 (9th Cir. 1975).

13
14 Baxter, asserts that individual issues predominate with respect to the 226 Class,
15 because only Ms. Nguyen asserts an injury from the noncompliant wage statements.
16 Baxter’s argument regarding this class fails for the same reason that it failed for the
17 commonality requirement. Ms. Nguyen has sufficiently shown that common issues
18 predominate for this class because, by Baxter’s own admission, all of the class members’
19 wage statements were identical. Patti Ann Bosalet, Baxter’s “Person Most
20 Knowledgeable” had to perform fairly complicated calculations to properly analyze Ms.
21 Nguyen’s wage statement. (See Bosalet Dep. at 149–58.) The only individualized
22 determination required would be the extent of the injury suffered by each class member.
23 That would be an issue of damages, which, again, does not defeat class action treatment.
24 See *Blackie*, 525 F.2d at 905.

2. Superiority

Ms. Nguyen must also demonstrate that a class action would be a superior method of resolving this controversy. A class action may be superior “[w]here classwide litigation of common issues will reduce litigation costs and promote grater efficiency.” *Valentino v. Carter-Wallace, Inc.*, 97 F.3d 1227, 1234 (9th Cir. 1996). It is also superior when “no realistic alternative” to a class action “exists.” *Id.* at 1234–35. In deciding whether a class action would be a superior method for resolving the controversy, the Court considers factors including: (1) the class members’ interest in individually controlling the prosecution or defense of separate actions, (2) the extent and nature of any litigation concerning the controversy already begun by or against class members, (3) the desirability or undesirability of concentrating the litigation and of the claims in the particular forum, and (4) the likely difficulties in managing a class action. Fed. R. Civ. P. 23(b)(3)(A)–(D).

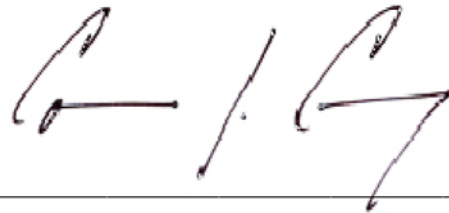
These factors favor classwide resolution of Ms. Nguyen claims. Class action litigation is certainly more efficient than litigating hundreds of nearly-identical claims. More important, given the nature of the class members’ employment and the damages at issue for each plaintiff, individual litigation is not a realistic alternative, nor is there an alternative means of resolution outside the court. The class members in this instance would likely not have means to pursue individual, nearly identical claims given the amount of damages at stake for each plaintiff. There does not appear to be any other litigation related to this suit. The claims all allegedly occurred within the district and venue of this forum. Finally, because of the uniformity discussed previously, and the lack of individualized analysis required, it appears that the majority of the evidence in this case, other than proof of damages for each class member, will be common to all class members, and can largely occur from an examination of Baxter’s records. Therefore,

1 there are not significant suit management difficulties. Ms. Nguyen has shown that class
2 action is a superior method for resolving this controversy.

3
4 **CONCLUSION**

5
6 For the foregoing reasons, Ms. Nguyen's motion for class certification is
7 GRANTED.

8
9
10 DATED: August 26, 2011

A handwritten signature in dark ink, appearing to read 'C. J. Carney', is written above a horizontal line.

11
12 CORMAC J. CARNEY
13 UNITED STATES DISTRICT JUDGE
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PROOF OF SERVICE

I, the undersigned, hereby declare under penalty of perjury that the following is true and correct:

I am a citizen of the United States; am over the age of 18 years; am employed by THE KRALOWEC LAW GROUP, located at 188 The Embarcadero, Suite 800, San Francisco, California 94105, whose principal attorney is a member of the State Bar of California and of the Bar of each Federal District Court within California; am not a party to the within action; and that I caused to be served a true and correct copy of the following documents in the manner indicated below:

1. SUPPLEMENTAL BRIEF RE *WAL-MART STORES, INC. V. DUKES*, 121 S.Ct. 2541 (2011); and
2. PROOF OF SERVICE.

☒ **By Mail:** I placed a true copy of each document listed above in a sealed envelope addressed to each person listed below on this date. I then deposited that same envelope with the U.S. Postal Service on the same day with postage thereon fully prepaid in the ordinary course of business. I am aware that upon motion of a party served, service is presumed invalid if the postal cancellation date or postage meter date is more than one day after date of deposit for mailing in the affidavit.

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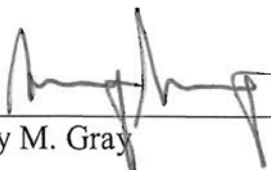
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