

REVISED



# South Coast Air Quality Management District

South Coast  
AQMD

21865 Copley Drive, Diamond Bar, CA 91765-4178  
(909) 396-2000 • www.aqmd.gov

## ADMINISTRATIVE COMMITTEE MEETING

### Committee Members

Dr. William A. Burke, Chair  
Mayor Ben Benoit, Vice Chair  
Mayor Pro Tem Judith Mitchell  
Dr. Clark E. Parker, Sr.

**October 12, 2018 ♦ 10:00 a.m. ♦ Conference Room CC-8  
21865 Copley Drive, Diamond Bar, CA 91765**

### Teleconference Locations

11461 West Sunset Boulevard  
The Brentwood Room 1  
Los Angeles, CA 90049

Rolling Hills Estates City Hall  
4045 Palos Verdes Drive North  
Rolling Hills Estates, CA 90274

Wildomar City Hall  
City Council Chambers  
23873 Clinton Keith Rd.  
Wildomar, CA 92595

(The public may attend at any location listed above.)

*Call-in for listening purposes only is available by dialing:*

*Toll Free: 866-244-8528*

*Listen Only Passcode: 5821432*

*In addition, a webcast is available for viewing and listening at:*

<http://www.aqmd.gov/home/library/webcasts>

## AGENDA

*Members of the public may address this body concerning any agenda item before or during consideration of that item (Gov't. Code Section 54854.3(a)). Please provide a Request to Address the Committee card to the Committee Secretary if you wish to address the Committee on an agenda item. If no cards are available, please notify SCAQMD staff or a Board Member of your desire to speak. All agendas for regular meetings are posted at District Headquarters, 21865 Copley Drive, Diamond Bar, California, at least 72 hours in advance of the regular meeting. Speakers may be limited to three (3) minutes each.*

## CALL TO ORDER

### **DISCUSSION ITEMS – Items 1 through 6:**

1. Board Members' Concerns (***No Motion Required***)

*Any member of the Governing Board, on his or her own initiative may*

Dr. William A. Burke  
Committee Chair

*raise a concern to the Administrative Committee regarding any SCAQMD items or activities.*

2. Chairman's Report of Approved Travel (***No Motion Required***) Dr. Burke
3. Report of Approved Out-of-Country Travel (***No Motion Required***) Wayne Nastri  
Executive Officer
4. Review November 2, 2018 Governing Board Agenda Wayne Nastri
5. Approval of Compensation for Board Member Assistant(s)/ Consultant(s) (Any material, if submitted, will be distributed at the meeting.) (***Motion Requested if Proposal Made***) Dr. Burke
6. Status Report on Major Ongoing and Upcoming Projects for Information Management (***No Motion Required***) Ron Moskowitz  
ADEO, Information Management  
*Information Management is responsible for data systems management services in support of all SCAQMD operations. This action is to provide the monthly status report on major automation contracts and planned projects.*

**ACTION ITEMS - Items 7 through 10:**

**NOVEMBER AGENDA ITEMS**

7. Establish Board Meeting Schedule for Calendar Year 2019 (***Motion Requested***) Wayne Nastri  
*The proposed Board Meeting Schedule for Calendar Year 2019 is submitted for Board consideration. The meeting schedule for the Administrative Committee meeting (second Friday of the month), as well as for the other standing committees, is included for information only.*
8. Issue RFP for Engineering Consultant to Assess BARCT for Proposed Rule 1109.1 – NOx Emission Reductions for Refinery Equipment (***Motion Requested***) Susan Nakamura  
ADEO, Planning, Rule Development & Area Sources  
*Staff is seeking an independent third party consultant with technical expertise and experience with NOx control equipment and emissions control technologies preferably in the refinery field. This action is to issue an RFP to solicit proposals for review of staff's BARCT technology assessment, estimated emission reductions, and cost-effectiveness for NOx emitting equipment at petroleum refineries to support Proposed Rule 1109.1, in an amount not to exceed \$100,000. Sufficient funding is available in the General Fund (AB 617).*
9. Issue RFP for Health Study of Impacts of Well Rupture at Aliso Canyon (***Motion Requested***) Jo Kay Ghosh  
Health Effects Officer  
*In 2017, the settlement agreement between SCAQMD and SoCalGas allocated \$1 million toward a health study of the impacts associated with the gas leak at the Aliso Canyon storage facility. This action is to release an RFP to solicit bids for potential projects to conduct data integration and exposure modeling, in an amount not to exceed \$1,000,000. Results of this work will include information about the*

*concentrations, timing of exposures and spatial patterns of pollutants from the Aliso Canyon gas leak in the community before, during and after the incident. The RFP was developed in close coordination with SCAQMD's Health Study Technical Advisory Group. This work will provide essential information on exposures and health data that will help inform the health study to be conducted by the Los Angeles County Department of Public Health.*

10. Amend Contracts for Legislative Representation in Sacramento, California (***Motion Requested***)  
*The current contracts for legislative representation in Sacramento expire on December 31, 2018 for The Quintana Cruz Company, Joe A. Gonsalves & Son, and California Advisors, LLC. Based upon the firms' effective performance during the first year of their current contracts, this action is to approve the first one-year extension of the contract with The Quintana Cruz Company in the amount of \$103,500; Joe A. Gonsalves & Son in the amount of \$143,000; and California Advisors, LLC in the amount of \$103,500 for legislative lobbying services in Sacramento for Calendar Year 2019. Sufficient funding is available in the Legislative, Public Affairs & Media FY 2018-19 Budget.*

Derrick J. Alatorre  
DEO, Legislative,  
Public Affairs &  
Media

**WRITTEN REPORT:**

11. Local Government & Small Business Assistance Advisory Group Minutes for the July 13, 2018 Meeting (***No Motion Required***)  
*Attached for information only are the Local Government & Small Business Assistance Advisory Group minutes for the July 13, 2018 meeting.*

Derrick J. Alatorre

**OTHER MATTERS:**

12. Other Business  
*Any member of the Committee, or its staff, on his or her own initiative or in response to questions posed by the public, may ask a question for clarification, may make a brief announcement or report on his or her own activities, provide a reference to staff regarding factual information, request staff to report back at a subsequent meeting concerning any matter, or may take action to direct staff to place a matter of business on a future agenda. (Govt Code Section 54954.2)*
13. Public Comment  
*At the end of the regular meeting agenda, an opportunity is provided for the public to speak on any subject within the Committee's authority that is not on the agenda. Speakers may be limited to three (3) minutes each.*
14. **Next Meeting Date:** November 9, 2018 at 10:00 a.m.

Dr. Burke

**ADJOURNMENT**

### Document Availability

*All documents (i) constituting non-exempt public records, (ii) relating to an item on an agenda for a regular meeting, and (iii) having been distributed to at least a majority of the Committee after the agenda is posted, are available prior to the meeting for public review at the South Coast Air Quality Management District, Public Information Center, 21865 Copley Drive, Diamond Bar, CA 91765.*

### Americans with Disabilities Act

*The agenda and documents in the agenda packet will be made available, upon request, in appropriate alternative formats to assist persons with a disability (Govt. Code Section 54954.2(a)). Disability-related accommodations will also be made available to allow participation in the Administrative Committee meeting. Any accommodations must be requested as soon as practicable. Requests will be accommodated to the extent feasible. Please contact Nancy Velasquez at 909-396-2557 from 7 a.m. to 5:30 p.m. Tuesday through Friday, or send the request to [nvelasquez@aqmd.gov](mailto:nvelasquez@aqmd.gov).*



# South Coast Air Quality Management District

21865 Copley Drive, Diamond Bar, CA 91765-4178  
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BOARD MEETING DATE: November 2, 2018

REPORT: Administrative Committee

SYNOPSIS: The Administrative Committee met October 12, 2018 and reviewed the proposed agenda for the November 2, 2018 Board meeting. The Committee also discussed various issues detailed in the Committee report. The next Administrative Committee meeting is November 9, 2018, at 10:00 a.m., in CC-8.

RECOMMENDED ACTION:  
Approve this report.

Dr. William A. Burke, Chair  
Administrative Committee

NV

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**Attendance:**

[Will be inserted subsequent to the October 12, 2018 Administrative Committee meeting.]

**Administrative Committee Discussion Items:**

[Will be inserted subsequent to the October 12, 2018 Administrative Committee meeting.]

**Report on Board Member Travel Authorized by the Chairman at the October 12, 2018 Administrative Committee meeting:**

DATE	TRAVELER	DESTINATION	PURPOSE
October 17, 2018	Dr. Clark E. Parker, Sr.	Sacramento, CA	Dr. Parker will attend the California Fuel Cell Partnership (CaFCP) Executive Board Meeting regarding air quality issues on behalf of SCAQMD.
October 25-26, 2018	Mayor Pro Tem Judith Mitchell	Sacramento, CA	Mayor Pro Tem Mitchell will attend the monthly CARB Board Meeting as the SCAQMD Board Representative.



# South Coast Air Quality Management District

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Item 2

BOARD MEETING DATE: November 2, 2018

REPORT: Administrative Committee

SYNOPSIS: The Administrative Committee met October 12, 2018 and reviewed the proposed agenda for the November 2, 2018 Board meeting. The Committee also discussed various issues detailed in the Committee report. The next Administrative Committee meeting is November 9, 2018, at 10:00 a.m., in CC-8.

RECOMMENDED ACTION:  
Approve this report.

Dr. William A. Burke, Chair  
Administrative Committee

NV

**Attendance:**

[Will be inserted subsequent to the October 12, 2018 Administrative Committee meeting.]

**Administrative Committee Discussion Items:**

[Will be inserted subsequent to the October 12, 2018 Administrative Committee meeting.]

**Report on Board Member Travel Authorized by the Chairman at the October 12, 2018 Administrative Committee meeting:**

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October 25-26, 2018	Mayor Pro Tem Judith Mitchell	Sacramento, CA	Mayor Pro Tem Mitchell will attend the monthly CARB Board Meeting as the SCAQMD Board Representative.

10/5/18 4:46 PM

Item 4

# DRAFT

## MEETING, NOVEMBER 2, 2018

A meeting of the South Coast Air Quality Management District Board will be held at 9:00 a.m., in the Auditorium at SCAQMD Headquarters, 21865 Copley Drive, Diamond Bar, California.

The agenda and documents in the agenda packet will be made available upon request in appropriate alternative formats to assist persons with a disability. Disability-related accommodations will also be made available to allow participation in the Board meeting. Any accommodations must be requested as soon as practicable. Requests will be accommodated to the extent feasible. Please telephone the Clerk of the Boards Office at (909) 396-2500 from 7:00 a.m. to 5:30 p.m. Tuesday through Friday.

All documents (i) constituting non-exempt public records, (ii) relating to an item on the agenda, and (iii) having been distributed to at least a majority of the Governing Board after the agenda is posted, are available prior to the meeting for public review at the South Coast Air Quality Management District Clerk of the Boards Office, 21865 Copley Drive, Diamond Bar, CA 91765.

Please note: This is a draft agenda and is subject to change.

**CALL TO ORDER**

- Pledge of Allegiance
- Opening Comments: William A. Burke, Ed.D., Chair  
Other Board Members  
Wayne Nastri, Executive Officer

Staff/Phone (909) 396-

**CONSENT CALENDAR (Items 1 through XX)**

Note: Consent Calendar items held for discussion will be moved to Item No. XX

- |        |   |                      |
|--------|---|----------------------|
| 10301. | Approve Minutes of October 5, 2018 Board Meeting  | <b>Garzaro/2500</b>  |
| 10303. | Set Public Hearings December 7, 2018 to Consider Adoption of and/or Amendments to SCAQMD Rules and Regulations  | <b>Nastri/3131</b>   |
| 10318. | Set Public Hearing December 7, 2018 to Certify the Final Environmental Assessment and Adopt Rule 1118.1 - Control of Emissions from Non-Refinery Flares | <b>Nakamura/3105</b> |

Proposed Rule 1118.1 will implement, in part, the 2016 Air Quality Management Plan Control Measure CMB-03 - Emission Reductions from Non-Refinery Flares and facilitate the transition of the NOx RECLAIM program to a command-and-control regulatory structure. Proposed Rule 1118.1 applies to RECLAIM and non-RECLAIM facilities that operate non-refinery flares located at landfills, wastewater treatment plants, oil and gas production facilities, organic liquid loading stations, and tank farms. PR 1118.1 includes NOx and VOC emission limits that reflect Best Available Retrofit Control Technology standards and a capacity threshold that seeks to identify routine flaring. Additionally, Proposed Rule 1118.1 establishes provisions for source testing, monitoring, reporting, recordkeeping, and provides exemptions for low-use and low-emitting flares. This action is to adopt the Resolution: 1) Certifying the Final Environmental Assessment for Proposed Rule 1118.1 - Control of Emissions from Non-Refinery Flares, and 2) Adopting Proposed Rule 1118.1 - Control of Emissions from Non-Refinery Flares. (Reviewed: Stationary Source Committee, October 19, 2018)



10099. Set Public Hearing December 7, 2018 to Certify Final Subsequent Environmental Assessment and Amend Rules 1146, 1146.1, 1146.2 and Adopt Rule 1100 **Fine/2239**

The adoption Resolution of the Final 2016 AQMP directed staff to achieve additional NOx emission reductions and to transition the RECLAIM program to a command-and-control regulatory structure as soon as practicable. PARs 1146, 1146.1 and 1146.2 updates NOx emission limits for boilers, heaters, and steam generators applicable to these rules. The revised NOx emission limits represent Best Available Retrofit Control Technology and apply to RECLAIM and non-RECLAIM facilities. Proposed Rule 1100 - Implementation Schedule for NOx Facilities establishes the compliance schedule for equipment at RECLAIM facilities that are subject to PARs 1146 and 1146.1. PAR 1146.2 includes the compliance schedule for equipment regulated under this rule. This action is to adopt the Resolution: 1) Certifying the Final Subsequent Environmental Assessment for Proposed Amended Rules 1146 - Emissions of Oxides of Nitrogen from Industrial, Institutional and Commercial Boilers, Steam Generators, and Process Heaters; 1146.1 - Emissions of Oxides of Nitrogen from Small Industrial, Institutional, and Commercial Boilers, Steam Generators, and Process Heaters; 1146.2 - Emissions of Oxides of Nitrogen from Large Water Heaters and Small Boilers and Process Heaters; and Proposed Rule 1100 - Implementation Schedule for NOx Facilities; 2) Amending Rules 1146, 1146.1, and 1146.2; and 3) Adopting Rule 1100. (Reviewed: Stationary Source Committee, April 20 and October 19, 2018)

**Budget/Fiscal Impact**

10290. Execute Contract for Expansion of Hydrogen Fueling Station **Miyasato/3249**

The University of California Irvine (UCI) has requested cofunding for the expansion of its hydrogen refueling station to add additional capacity including more fueling positions to serve the increasing number of fuel cell cars and buses utilizing the station. The MSRC has approved \$1 million in cost-share and the CEC is considering providing \$400,000 in cost-share for this \$1.8 million project. This action is to execute a contract with UCI for expansion of their hydrogen refueling station in an amount not to exceed \$400,000 from the Clean Fuels Program Fund (31). (Reviewed: Technology Committee, October 19, 2018; Recommended for Approval)

10327. **Develop and Demonstrate Zero Emissions Heavy-Duty Trucks, Freight Handling Equipment, EV Infrastructure and Renewable Energy** **Miyasato/3249**

SCAQMD received an award of \$44,839,686 to develop and demonstrate zero emissions heavy-duty trucks, freight handling equipment, EV infrastructure and renewable energy under CARB's Low Carbon Transportation Greenhouse Gas Reduction Fund Investments. Volvo Group North America and its project partners are providing \$41,855,308. These actions are to recognize \$44,839,686, transfer \$14,000,000 (\$4,000,000 for SCAQMD's project cost-share and \$10,000,000 for temporary advance of funds) from the Clean Fuels Program Fund (31) into the GHG Reduction Projects Special Revenue Fund (67), and determine this project is exempt from the requirements of CEQA. This action is to also execute contracts in an amount not to exceed \$46,688,250 to implement this project. Out of the \$2,151,436 allocated in CARB's grant for administrative expenses, these actions are to reimburse the General Fund up to \$1,972,936 from Fund 67 for administrative costs and transfer \$178,500 from Fund 67 to Fund 31 to execute a contract modification for administrative project implementation support. Finally, these actions are to authorize the Executive Officer to execute a contract modification and redistribute administrative funds to augment project funds on an as-needed basis. (Reviewed: Technology Committee, October 19, 2018; Recommended for Approval)

10326. **Approve Awards for Heavy-Duty Diesel Drayage Truck Replacement Projects** **Miyasato/3249**

On November 3, 2017, the Board recognized \$1,050,000 from U.S. EPA's 2017 Diesel Emissions Reduction Act (DERA) and issued a Program Announcement to solicit applications for the replacement of heavy-duty diesel drayage trucks with natural gas trucks as well as the transfer of the replaced diesel trucks to Washington State to replace older dirtier diesel trucks, which would then be scrapped. This action is to approve awards to replace 2012 or newer heavy-duty diesel drayage trucks with near-zero NOx emissions natural gas trucks in an amount not to exceed \$1,000,000 from U.S. EPA's 2017 DERA Grant in the Advanced Technology, Outreach and Education Fund (17). (Reviewed: Technology Committee, October 19, 2018; Recommended for Approval)

10312. **Establish Special Revenue Fund, Recognize Revenue, Execute Agreements for Volkswagen Environmental Mitigation Program and Transfer Funds** **Minassian/2641**

On May 25, 2018, CARB approved the Beneficiary Mitigation Plan for the Volkswagen (VW) Environmental Mitigation Trust. This plan identifies five funding categories for the State's \$423 million allocation of the VW Environmental Mitigation Trust. The funded projects are intended to mitigate the excess NOx emissions caused by the VW vehicles. SCAQMD has been identified by CARB as the administrator of two project funding categories—the Zero Emissions Class 8 Freight and Port Drayage Trucks and the Combustion Freight and Marine Projects. These actions are to establish the VW Mitigation Special Revenue Fund (79), recognize revenue up to \$150 million into this special revenue fund, execute an agreement with CARB to administer and implement the two project funding categories, execute a Memorandum(s) of Agreement with other air districts, as needed, to assist in administering this program, and transfer funds from the VW Mitigation Special Revenue Fund (79) to the General Fund to reimburse administrative costs associated with the program. (Reviewed: Technology Committee, October 19, 2018; Recommended for Approval)

10310. **Adopt Resolution Recognizing Funds for FY 2017-18 Carl Moyer State Reserve Program, Execute Contracts for FY 2017-18 "Year 20" Carl Moyer Program, SOON Provision and Community Air Protection AB 134 Program, Amend Awards and Transfer Funds** **Minassian/2641**

In June 2018, Program Announcements for the "Year 20" Carl Moyer Program and SOON Provision closed. This year, in addition to the traditional sources of Carl Moyer SB 1107 and AB 923 funds, funding from the Community Air Protection AB 134, State Reserve, FARMER and Voluntary NOx Remediation Measure Programs can also be used to fund Carl Moyer and SOON Provision projects. This action is to adopt a Resolution recognizing up to \$3.1 million in Carl Moyer State Reserve funds from CARB with its terms and conditions for FY 2017-18. These actions are to also execute contracts for the "Year 20" Carl Moyer, SOON Provision and Community Air Protection AB 134 Programs totaling \$63,541,435, comprising \$35,559,645 from the Carl Moyer Program Fund (32) and \$27,981,790 from the Community Air Protection AB 134 Fund (77). Finally, these actions are to amend two "Year 19" Carl Moyer awards, adding \$117,754 from the Carl Moyer Program SB 1107 Fund (32), and transfer \$2 million from the Carl Moyer Program AB 923 Fund (80) to the Voucher Incentive Program Fund (59) for truck replacements. (Reviewed: Technology Committee, October 19, 2018; Recommended for Approval)

10320. Issue RFP for Health Study of Impacts of Well Rupture at Aliso Canyon **Ghosh/2582**

In 2017, the settlement with SoCalGas allocated \$1 million toward a health study of the impacts associated with the gas leak at the Aliso Canyon storage facility. This action is to release an RFP to solicit bids for potential projects to conduct data integration and exposure modeling, in an amount not to exceed \$1,000,000. Results of this work will include information about the concentrations, timing of exposures and spatial patterns of pollutants from the Aliso Canyon gas leak in the community before, during and after the incident. The RFP was developed in close coordination with SCAQMD's Health Study Technical Advisory Group. This work will provide essential information on exposures and health data that will inform the health study to be conducted by the Los Angeles County Department of Public Health. (Reviewed: Administrative Committee, October 12, 2018; Recommended for Approval)

10333. Issue RFP for Engineering Consultant to Assess BARCT for Proposed Rule 1109.1 – NOx Emission Reductions for Refinery Equipment **Nakamura/3105**

Staff is seeking an independent third-party consultant with technical expertise and experience with NOx control equipment and emissions control technologies preferably in the refinery field. This action is to issue an RFP to solicit proposals for review of staff's BARCT technology assessment, estimated emission reductions, and cost-effectiveness for NOx emitting equipment at petroleum refineries to support Proposed Rule 1109.1, in an amount not to exceed \$100,000. Sufficient funding is available in the General Fund (AB 617). (Reviewed: Administrative Committee, October 12, 2018; Recommended for Approval)

10334. Issue RFP to Evaluate Meteorological Factors Contributing to Adverse Air Quality in South Coast Air Basin **Pirveysian/2431**

Despite significant air quality improvements achieved over the last several decades, the South Coast Air Basin (Basin) has experienced high ozone levels in recent years. High temperatures and increased air stagnation following the drought years have increased the ozone trend, despite ongoing efforts to reduce emissions. To address the recent trends, staff is proposing to conduct a comprehensive study to evaluate the meteorological effects which can adversely impact air quality in the Basin. The study will assist staff to better understand complex dynamics of air pollution and to develop more effective strategies in improving air quality in the future. This action is to issue an RFP to solicit bids to perform a comprehensive meteorological study to evaluate various factors conducive to adverse air quality in the Basin. Funding for the study in an amount not to exceed \$250,000 is available. (Reviewed: Mobile Source Committee, October 19, 2018; Recommended for Approval)

10181. Amend Contracts for Legislative Representation in Sacramento, California **Alatorre/3122**

The current contracts for legislative representation in Sacramento expire on December 31, 2018 for The Quintana Cruz Company, Joe A. Gonsalves & Son, and California Advisors, LLC. Based upon the firms' effective performance during the first year of their current contracts, this action is to approve the first one-year extension of the contract with The Quintana Cruz Company in the amount of \$103,500; Joe A. Gonsalves & Son in the amount of \$143,000; and California Advisors, LLC in the amount of \$103,500 for legislative lobbying services in Sacramento for Calendar Year 2019. Sufficient funding is available in the Legislative, Public Affairs & Media FY 2018-19 Budget. (Reviewed: Administrative Committee, October 12, 2018; Recommended for Approval)

10329. Recognize Revenue and Execute Agreements for Installation and Maintenance of Air Filtration Systems **Gilchrist/3459**

SCAQMD has executed a settlement agreement with Rainbow Transfer/Recycling, Inc., to install and maintain air filtration systems at schools. This action is to recognize up to \$250,000 into the Air Filtration Fund (75). These actions are to also execute a contract to install and maintain air filtration systems at schools in an amount not to exceed \$250,000 from the Air Filtration Fund (75) and execute an agreement with the local school district in Huntington Beach near the transfer facility. (Reviewed: Technology Committee, October 19, 2018; Recommended for Approval)

10196. Approve Contract Awards and Modifications Approved by MSRC **McCallon**

**Action Item/No Fiscal Impact**

10330. Establish Board Meeting Schedule for Calendar Year 2019 **Nastri/3131**

The proposed Board Meeting Schedule for Calendar Year 2019 is submitted for Board consideration. The Administrative Committee meeting schedule (second Friday of the month), as well as the other standing committee meetings, is included for information only. (Reviewed: Administrative Committee, October 12, 2018; Recommended for Approval)

**Items XX through XX - Information Only/Receive and File**

10170. Legislative, Public Affairs, and Media Report **Alatorre/3122**

This report highlights the September 2018 outreach activities of the Legislative, Public Affairs and Media Office, which includes: Major Events, Community Events/Public Meetings, Environmental Justice Update, Business Assistance, Media Relations and Outreach to Business and Federal, State, and Local Government. (No Committee Review)

10300. **Hearing Board Report** **Prussack/2500**
- This reports the actions taken by the Hearing Board during the period of September 1 through September 30, 2018. (No Committee Review)
10277. **Civil Filings and Civil Penalties Report** **Gilchrist/3459**
- This reports the monthly penalties from September 1, 2018 through September 30, 2018, and legal actions filed by the General Counsel's Office from September 1, 2018 through September 30, 2018. An Index of District Rules is attached with the penalty report. (Reviewed: Stationary Source Committee, October 19, 2018)
10336. **Lead Agency Projects and Environmental Documents Received by SCAQMD** **Nakamura/3105**
- This report provides, for the Board's consideration, a listing of CEQA documents received by the SCAQMD between September 1, 2018 and September 30, 2018, and those projects for which the SCAQMD is acting as lead agency pursuant to CEQA. (Reviewed: Mobile Source Committee, October 19, 2018)
10147. **Rule and Control Measure Forecast** **Fine/2239**
- This report highlights SCAQMD rulemaking activities and public workshops potentially scheduled for 2018 and portions of 2019. (No Committee Review)
10325. **Status Report on Major Ongoing and Upcoming Projects for Information Management** **Moskowitz/3329**
- Information Management is responsible for data systems management services in support of all SCAQMD operations. This action is to provide the monthly status report on major automation contracts and planned projects. (Reviewed: Administrative Committee, October 12, 2018)

## **BOARD CALENDAR**

*Note: The October meeting of the Legislative Committee was canceled. The next meeting of the Legislative Committee is scheduled for November 9, 2018.*

10250. **Administrative Committee (Receive & File)** **Chair: Burke** **Nastri/3131**
10255. **Mobile Source Committee (Receive & File)** **Chair: Parker** **Fine/2239**

10324.	Refinery Committee (Receive & File)	Chair: Parker	Fine/2239
10180.	Stationary Source Committee (Receive & File)	Chair: Benoit	Tisopoulos/3123
10191.	Technology Committee (Receive & File)	Chair: Buscaino	Miyasato/3249
10205.	Mobile Source Air Pollution Reduction Review Committee (Receive & File)	Board Liaison: Benoit	Minassian/2641
10322.	California Air Resources Board Monthly Report (Receive & File)	Board Rep: Mitchell	Garzaro/2500

## **PUBLIC HEARINGS**

10313. Certify Final Mitigated Subsequent Environmental Assessment and Amend Rule 1135 - Emissions of Oxides of Nitrogen from Electricity Generating Facilities **Nakamura/3105**

The Resolution for the Final 2016 AQMP directed staff to achieve additional NOx emission reductions and to transition the RECLAIM program to a command-and-control regulatory structure as soon as practicable. Proposed Amended Rule 1135 applies to RECLAIM and non-RECLAIM electricity generating facilities. Proposed Amended Rule 1135 facilitates the transition of NOx RECLAIM facilities to a command-and-control regulatory structure by establishing NOx and ammonia emission limits, monitoring, recordkeeping, and reporting requirements, and an implementation schedule. Other provisions are incorporated to remove obsolete provisions and provide clarifications. This action is to adopt the Resolution: 1) Certifying the Final Mitigated Subsequent Environmental Assessment for Proposed Amended Rule 1135 – Emissions of Oxides of Nitrogen from Electricity Generating Facilities, and 2) Amending Rule 1135 – Emissions of Oxides of Nitrogen from Electricity Generating Facilities. (Reviewed: Stationary Source Committee, August 17, 2018)

10314. **Determine that Proposed Rule 1407.1 – Control of Emissions of Toxic Air Contaminants from Chromium Alloy Melting Operations Is Exempt from CEQA and Adopt Rule 1407.1** **Nakamura/3105**

PR 1407.1 is an information gathering rule that will require a one-time source test and submittal of information to quantify arsenic, cadmium, chromium, hexavalent chromium and nickel emissions from chromium alloy melting operations. Information obtained will be used to establish emission standards and other provisions. PR 1407.1 also requires submittal of a metals composition testing, recordkeeping, and reporting requirements. This action is to adopt the Resolution: 1) Determining that Proposed Rule 1407.1 – Control of Toxic Air Contaminants from Chromium Alloy Melting Operations is exempt from the requirements of the California Environmental Quality Act; and 2) Adopting Rule 1407.1 – Control of Toxic Air Contaminants from Chromium Alloy Melting Operations. (Reviewed: Stationary Source Committee, September 21, 2018)

10332. **Certify Revised Final Environmental Assessment and Amend Rule 1469 – Hexavalent Chromium Emissions from Chromium Electroplating and Chromic Acid Anodizing Operations** **Nakamura/3105**

Rule 1469 currently establishes requirements to control hexavalent chromium from electroplating and chromic acid anodizing operations. PAR 1469 proposes new requirements to control hexavalent chromium-containing tanks that are currently not regulated. In addition, PAR 1469 establishes requirements for building enclosures, housekeeping and best management practices, periodic source testing, and parameter monitoring of pollution control equipment. PAR 1469 includes provisions for a revised chemical fume suppressant certification process that further considers toxicity and exposure, provisions to encourage the elimination of hexavalent chromium in Rule 1469 processes, and revisions to align Rule 1469 with the U.S. EPA National Emission Standards for Hazardous Air Pollutant for Chromium Electroplating. This action is to adopt the Resolution: 1) Certifying the Revised Final Environmental Assessment for Proposed Amended Rule 1469 – Hexavalent Chromium Emissions from Chromium Electroplating and Chromic Acid Anodizing Operations; and 2) Amending Rule 1469 – Hexavalent Chromium Emissions from Chromium Electroplating and Chromic Acid Anodizing Operations. (Reviewed: Stationary Source Committee, November 17, 2017, February 16, March 16, April 20, July 20, and October 19, 2018)



10319. Determine that Updated 1-Hour Ozone Standard Attainment Demonstration Is Exempt from CEQA and Approve Updated 1-Hour Ozone Standard Attainment Demonstration

Fine/2239

Staff has updated the attainment demonstration of the federal 1979 1-hour ozone standard that was presented in the 2016 AQMP. The attainment demonstration has been updated to reflect a revised emission inventory, revised air quality modeling, and an updated attainment strategy. The emissions inventory in the updated attainment demonstration is now consistent with the final emissions inventory in the 2016 AQMP that was used for the 8-hour ozone and PM2.5 standards attainment demonstrations. The attainment strategy is updated to rely only on SCAQMD's proposed control measures in the 2016 AQMP, and no longer includes emission reductions from CARB's State Implementation Plan strategies (including "black box" measures). This is based on the expectation that progress in emission reductions targeted toward attainment of the 1997 8-hour ozone standard by 2023 will ensure attainment of the 1-hour ozone standard by 2022. This action is to: 1) Determine that the updated 1-hour ozone standard attainment demonstration is exempt from the requirements of the California Environmental Quality Act; and 2) Approve the updated 1-hour ozone standard attainment demonstration. (Reviewed: Mobile Source Committee, October 19, 2018)

**PUBLIC COMMENT PERIOD – (Public Comment on Non-Agenda Items, Pursuant to Government Code Section 54954.3)**

**BOARD MEMBER TRAVEL – (No Written Material)**

Board member travel reports have been filed with the Clerk of the Boards, and copies are available upon request.

**CONFLICT OF INTEREST DISCLOSURES – (No Written Material)**

**CLOSED SESSION - (No Written Material)**

Gilchrist/3460

**ADJOURNMENT**

**\*\*\*PUBLIC COMMENTS\*\*\***

Members of the public are afforded an opportunity to speak on any agenda item before consideration of that item. Please notify the Clerk of the Board, (909) 396-2500, if you wish to do so. All agendas are posted at SCAQMD Headquarters, 21865 Copley Drive, Diamond Bar, California, at least 72 hours in advance of the meeting. At the end of the agenda, an opportunity is also provided for the public to speak on any subject within the SCAQMD's authority. Speakers will be limited to a total of three (3) minutes for the Consent Calendar and Board Calendar and three (3) minutes or less for other agenda items.

Note that on items listed on the Consent Calendar and the balance of the agenda any motion, including action, can be taken (consideration is not limited to listed recommended actions). Additional matters can be added and action taken by two-thirds vote, or in the case of an emergency, by a majority vote. Matters raised under the Public Comment Period may not be acted upon at that meeting other than as provided above.

Written comments will be accepted by the Board and made part of the record, provided 25 copies are presented to the Clerk of the Board. Electronic submittals to [cob@aqmd.gov](mailto:cob@aqmd.gov) of 10 pages or less including attachment, in MS WORD, PDF, plain or HTML format will also be accepted by the Board and made part of the record if received no later than 5:00 p.m., on the Tuesday prior to the Board meeting.

**ACRONYMS**

AQ-SPEC = Air Quality Sensor Performance Evaluation Center

AQIP = Air Quality Investment Program

AQMP = Air Quality Management Plan

AVR = Average Vehicle Ridership

BACT = Best Available Control Technology

BARCT = Best Available Retrofit Control Technology

Cal/EPA = California Environmental Protection Agency

CARB = California Air Resources Board

CEMS = Continuous Emissions Monitoring Systems

CEC = California Energy Commission

CEQA = California Environmental Quality Act

CE-CERT =College of Engineering-Center for Environmental Research and Technology

CNG = Compressed Natural Gas

CO = Carbon Monoxide

DOE = Department of Energy

EV = Electric Vehicle

FY = Fiscal Year

GHG = Greenhouse Gas

HRA = Health Risk Assessment

LEV = Low Emission Vehicle

LNG = Liquefied Natural Gas

MATES = Multiple Air Toxics Exposure Study

MOU = Memorandum of Understanding

MSERCs = Mobile Source Emission Reduction Credits

MSRC = Mobile Source (Air Pollution Reduction) Review Committee

NATTS =National Air Toxics Trends Station

NESHAPS = National Emission Standards for Hazardous Air Pollutants

NGV = Natural Gas Vehicle

NOx = Oxides of Nitrogen

NSPS = New Source Performance Standards

NSR = New Source Review

OEHHA = Office of Environmental Health Hazard Assessment

PAMS = Photochemical Assessment Monitoring Stations

PAR = Proposed Amended Rule

PEV = Plug-In Electric Vehicle

PHEV = Plug-In Hybrid Electric Vehicle

PM10 = Particulate Matter ≤ 10 microns

PM2.5 = Particulate Matter ≤ 2.5 microns

PR = Proposed Rule

RECLAIM=Regional Clean Air Incentives Market

RFP = Request for Proposals

RFQ = Request for Quotations

SCAG = Southern California Association of Governments

SIP = State Implementation Plan

SOx = Oxides of Sulfur

SOON = Surplus Off-Road Opt-In for NOx

SULEV = Super Ultra Low Emission Vehicle

TCM = Transportation Control Measure

ULEV = Ultra Low Emission Vehicle

U.S. EPA = United States Environmental Protection Agency

VOC = Volatile Organic Compound

ZEV = Zero Emission Vehicle

DRAFT

BOARD MEETING DATE: November 2, 2018

AGENDA NO.

REPORT: Status Report on Major Ongoing and Upcoming Projects for Information Management

SYNOPSIS: Information Management is responsible for data systems management services in support of all SCAQMD operations. This action is to provide the monthly status report on major automation contracts and planned projects.

COMMITTEE: Administrative, October 12, 2018; Reviewed

RECOMMENDED ACTION:  
Receive and file.

Wayne Nastri  
Executive Officer

RMM:MAH:OSM:agg

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**Background**

Information Management (IM) provides a wide range of information systems and services in support of all SCAQMD operations. IM's primary goal is to provide automated tools and systems to implement Board-approved rules and regulations, and to improve internal efficiencies. The annual Budget specifies projects planned during the fiscal year to develop, acquire, enhance, or maintain mission-critical information systems.

**Summary of Report**

The attached report identifies each of the major projects/contracts or purchases that are ongoing or expected to be initiated within the next six months. Information provided for each project includes a brief project description and the schedule associated with known major milestones (issue RFP/RFQ, execute contract, etc.).

**Attachment**

Information Management Status Report on Major Ongoing and Upcoming Projects During the Next Six Months

**ATTACHMENT**  
**November 2, 2018 Board Meeting**  
**Information Management Status Report on Major Ongoing and**  
**Upcoming Projects During the Next Six Months**

<b>Project</b>	<b>Brief Description</b>	<b>Budget</b>	<b>Completed Actions</b>	<b>Upcoming Milestones</b>
Implementation of Enterprise Geographic Information System (EGIS)	Continue to support accomplishment of the agency's mission through the effective and cost-efficient implementation of EGIS and related technologies		<ul style="list-style-type: none"> <li>• Purchased ESRI extensions for OnBase</li> </ul>	<ul style="list-style-type: none"> <li>• Complete the six prioritized EGIS projects:               <ul style="list-style-type: none"> <li>○ GIS Data Development</li> <li>○ Portal / Mobile Development</li> <li>○ OnBase Expansion and GIS Integration</li> <li>○ CLASS GIS Integration</li> <li>○ One-click Site Report</li> <li>○ System Documentation</li> </ul> </li> </ul>
Telecommunications Services	Select vendor(s) to provide local, long distance, telemetry, internet, cellular services, and phone system maintenance for a three-year period	\$750,000	<ul style="list-style-type: none"> <li>• Released RFP October 5, 2018</li> </ul>	<ul style="list-style-type: none"> <li>• Request Board Approval January 4, 2019</li> <li>• Execute contract(s) January 31, 2019</li> </ul>
CLASS Database Software Licensing and Support	Purchase Actian Ingres database software licensing, support and maintenance for the CLASS system for a one-year period (November 30, 2018 through November 29, 2019)	\$225,341	<ul style="list-style-type: none"> <li>• September 2018 board action approved funding</li> </ul>	<ul style="list-style-type: none"> <li>• Execute contract November 30, 2018</li> </ul>

Project	Brief Description	Budget	Completed Actions	Upcoming Milestones
Office 365 Implementation	Acquire and implement Office 365 for SCAQMD staff	\$350,000	<ul style="list-style-type: none"> <li>• Pre-assessment evaluation and planning completed</li> <li>• October 5, 2018 board action approved funding</li> </ul>	<ul style="list-style-type: none"> <li>• Acquire Office 365 licenses</li> <li>• Develop implementation and migration plan</li> <li>• Implement Office 365 email (Exchange) and migrate all users</li> <li>• Implement Office 365 file storage (OneDrive for Business) and migrate users</li> <li>• Implement Office 365 internal website (SharePoint) and migrate existing content</li> </ul>
Permitting System Automation Phase 1	New Web application to automate the filing of all permit applications with immediate processing and issuance of permits for specific application types: Dry Cleaners, Gas Stations and Automotive Spray Booths	\$694,705	<ul style="list-style-type: none"> <li>• Phase 1 Automated 400A form filing, application processing, and online permit generation for Dry Cleaner module deployed to production</li> <li>• Facility ID Creation Module deployed to production</li> <li>• Phase 1.1 Automated 400A form filing, application processing, and online permit generation for Automotive Spray Booth and Gas Station Modules ready to resume production next week</li> </ul>	<ul style="list-style-type: none"> <li>• Upgraded GIS Map integration work</li> <li>• Phase 1.1 project outreach support</li> </ul>

Project	Brief Description	Budget	Completed Actions	Upcoming Milestones
Permitting System Automation Phase 2	Enhanced Web application to automate filing process of Permit Applications, Rule 222 equipment, registration process for IC Engines; implement electronic permit folder and workflow for internal SCAQMD users	\$525,000	<ul style="list-style-type: none"> <li>• December 2017 board action approved initial Phase 2 funding</li> <li>• May 2018 Phase 2 project startup and detail planning completed</li> <li>• Business process model approved</li> <li>• Development of Negative Air Machines filing process completed</li> <li>• October 2018 board action approved remaining Phase 2 funding</li> </ul>	<ul style="list-style-type: none"> <li>• Wireframe and user stories development for Boilers, Heaters, Ovens, and Baghouses</li> <li>• Code development for IC Engines form filing and Charbroilers, Cooling Towers, Small Boilers, and Oil Wells processing</li> </ul>
Information Technology Review Implementation	Complete Board requested Information Technology review and initiate work on implementation of key recommendations	\$75,000	<ul style="list-style-type: none"> <li>• Initiated Implementation Planning and Resource Requirements for key recommendations</li> <li>• Conducted recruitment process to fill Systems &amp; Programming Supervisor position</li> <li>• Scheduled and completed Microsoft Project Plan training for all IM Managers, Supervisors and Secretaries</li> <li>• Established Information Technology Steering Committee, members and charter</li> <li>• Configured and deployed Project Management software for IM team</li> </ul>	<ul style="list-style-type: none"> <li>• Office 365 deployment planning</li> </ul>

Project	Brief Description	Budget	Completed Actions	Upcoming Milestones
Permit Application Status and Dashboard Statistics	New Web application to allow engineers to update intermediate status of applications; create dashboard display of status summary with link to FIND for external user review	\$100,000	<ul style="list-style-type: none"> <li>• December 2017 Board action approved funding</li> <li>• April 2018 project startup and detail planning completed</li> <li>• June 2018 wireframe and user story approved for Release 1</li> <li>• User story and wireframe approved for application search module</li> </ul>	<ul style="list-style-type: none"> <li>• Code development for Release 1</li> <li>• Code development for application search module</li> <li>• User acceptance testing for data capture module</li> </ul>
Agenda Tracking System Replacement	Replace aging custom agenda tracking system with state-of-the-art, cost-effective Enterprise Content Management (ECM) system, which is fully integrated with OnBase, SCAQMD's agency-wide ECM system	\$86,600	<ul style="list-style-type: none"> <li>• Released RFP December 4, 2015</li> <li>• Awarded contract April 1, 2016</li> <li>• Continued parallel testing</li> <li>• Conducted survey of stakeholder satisfaction</li> <li>• As a result of the survey responses, the decision was made to develop a custom user interface for the application</li> </ul>	<ul style="list-style-type: none"> <li>• Revise project scope to include custom user interface</li> <li>• Develop plan and schedule for revised scope</li> </ul>
Replace Your Ride (RZR)	New Web application to allow residents to apply for incentives to purchase newer, less polluting vehicles	\$301,820	<ul style="list-style-type: none"> <li>• Phase 2 Fund Allocation, Administration and Management Reporting modules deployed and in production</li> <li>• Final Phase 2 user requested enhancements: VIN Number, Case Manager, Auto e-mail and document library updates deployed to production</li> <li>• Phase 3 Data Migration development work completed</li> </ul>	<ul style="list-style-type: none"> <li>• Phase 3 user approval for production</li> <li>• Phase 4 collaboration with air districts for possible statewide RZR implementation</li> <li>• Implementation of Electric Vehicle Service Equipment and alternative mode of transportation in the RZR application</li> </ul>

Project	Brief Description	Budget	Completed Actions	Upcoming Milestones
SCAQMD Mobile Application for Apple and Android phones	New mobile application to provide air quality and SCAQMD notification and event information	\$126,010	<ul style="list-style-type: none"> <li>July Board action approved funding</li> <li>Wireframe approved</li> <li>Detail design and unit test case development completed</li> <li>IM Internal Acceptance Testing completed</li> </ul>	<ul style="list-style-type: none"> <li>General Beta release, October 4</li> </ul>
FIND System Replacement	Update and replace Facility Information Detail (FIND) application	\$148,150	<ul style="list-style-type: none"> <li>Task order issued, evaluated and awarded</li> <li>Detail project planning completed</li> <li>Wireframe approved</li> <li>Development completed</li> <li>Automated Testing completed</li> </ul>	<ul style="list-style-type: none"> <li>Acceptance testing</li> </ul>
Legal Division New System Development	Develop new web-based case management system for Legal Division to replace existing JWorks System	\$500,000	<ul style="list-style-type: none"> <li>Task order issued, evaluated and awarded</li> <li>Project initiated and project charter finalized</li> <li>Business Process Model of current tasks and workflows developed</li> </ul>	<ul style="list-style-type: none"> <li>Business Process Model review and approval</li> <li>Determine requirements for improvements to Business Process</li> </ul>
Document Conversion Services	Document Conversion Services to convert paper documents stored at SCAQMD facilities to electronic storage in OnBase	\$83,000	<ul style="list-style-type: none"> <li>Released RFQ October 5, 2018</li> </ul>	<ul style="list-style-type: none"> <li>Approve qualified vendors January 4, 2019</li> </ul>

Shaded Projects – Projects completed and will be removed from this list on subsequent reports

Completed Projects	
Project	Date Completed
CLASS Database Software Licensing and Support	November 30, 2017
Website & Evaluation Improvements	January 6, 2018
Information Technology Review	January 31, 2018
Prequalify Vendor List for PCs, Network Hardware, etc.	February 3, 2018
Renewal of HP Server Maintenance & Support	April 6, 2018
Implementation of Enterprise Geographic Information System (EGIS)	May 30, 2018
Fiber Cable Network Infrastructure Upgrade	May 30, 2018
Air Quality Index Rewrite and Migration	June 29, 2018





Item 7

DRAFT

BOARD MEETING DATE: November 2, 2018

AGENDA NO.

REPORT: Establish Board Meeting Schedule for Calendar Year 2019

SYNOPSIS: The proposed Board Meeting Schedule for Calendar Year 2019 is submitted for Board consideration. The meeting schedule for the Administrative Committee meeting, (second Friday of the month), as well as the other standing committees, is included for information only.

COMMITTEE: Administrative, October 12, 2018; Recommended for Approval

RECOMMENDED ACTION:

Adopt the attached Resolution establishing the 2019 Board Meeting Schedule.

Dr. William A. Burke, Chair  
Administrative Committee

nv

Calendar Year 2019 Board Meeting Schedule

MONTH	DATE	TIME
January: .....	January 4 .....	9:00 a.m. - end
February: .....	February 1 .....	9:00 a.m. - end
March: .....	March 1 .....	9:00 a.m. - end
April: .....	April 5 .....	9:00 a.m. - end
May: .....	May 3 .....	9:00 a.m. - end
June: .....	June 7 .....	9:00 a.m. - end
July: .....	July 12* .....	9:00 a.m. - end
September: .....	September 6 .....	9:00 a.m. - end
October:.....	October 4.....	9:00 a.m. - end
November:.....	November 1 .....	9:00 a.m. - end
December: .....	December 6 .....	9:00 a.m. - end

\*The July Board meeting has been moved to accommodate the Independence Day holiday, and there is no meeting scheduled in August.

**Attachments**

1. Resolution
2. Proposed 2019 Meeting Schedule for Governing Board and Standing Committees

RESOLUTION NO. 18-\_\_\_\_\_

A Resolution of the South Coast Air Quality Management Governing Board setting the time and place of regular meetings.

WHEREAS, the regular meetings of the South Coast Air Quality Management Governing Board have been established by Resolution in the past, and

WHEREAS, the Governing Board is establishing the regularly scheduled meetings for Calendar Year 2019.

NOW, THEREFORE, BE IT RESOLVED that, effective January 2019, the regular meetings of the Governing Board shall be held at 9:00 a.m. on the first Friday of each month, except for July to accommodate a holiday and August where there is no meeting scheduled, in the Auditorium at SCAQMD Headquarters, 21865 Copley Dr., Diamond Bar, California.

AYES:

NOES:

ABSTAIN:

ABSENT:

Dated:\_\_\_\_\_

\_\_\_\_\_  
Denise Garzaro, Clerk of the Board

## SCAQMD Governing Board & Standing Committees Proposed 2019 Meeting Schedule

<b>GOVERNING BOARD</b>	<b>STANDING COMMITTEES</b>				
Time – 9:00 a.m.	<b>Legislative</b> Time – 9:00 a.m.	<b>Administrative</b> Time – 10:00 a.m.	<b>Mobile Source</b> Time – 9:00 a.m.	<b>Stationary Source</b> Time – 10:30 a.m.	<b>Technology</b> Time – 12:00 p.m.
January 4	January 11	January 11	January 18	January 18	January 18
February 1	February 8	February 8	February 15	February 15	February 15
March 1	March 8	March 8	March 15	March 15	March 15
April 5	April 12	April 12	April 19	April 19	April 19
May 3	May 10	May 10	May 17	May 17	May 17
June 7	June 14	June 14	June 21	June 21	June 21
July 12*	July 19	July 19	July 26	July 26	July 26
August	<b>DARK</b>				
September 6	September 13	September 13	September 20	September 20	September 20
October 4	October 11	October 11	October 18	October 18	October 18
November 1	November 8	November 8	November 15	November 15	November 15
December 6	December 13	December 13	No Meeting	No Meeting	No Meeting

\*Second Friday of the month to accommodate holiday.

DRAFT

Item 9

BOARD MEETING DATE: November 2, 2018

AGENDA NO.

PROPOSAL: Issue RFP for Health Study of Impacts of Well Rupture at Aliso Canyon

SYNOPSIS: In 2017, the settlement agreement between SCAQMD and SoCalGas allocated \$1 million toward a health study of the impacts associated with the gas leak at the Aliso Canyon storage facility. This action is to release an RFP to solicit bids for potential projects to conduct data integration and exposure modeling, in an amount not to exceed \$1,000,000. Results of this work will include information about the concentrations, timing of exposures and spatial patterns of pollutants from the Aliso Canyon gas leak in the community before, during and after the incident. The RFP was developed in close coordination with SCAQMD’s Health Study Technical Advisory Group. This work will provide essential information on exposures and health data that will help inform the health study to be conducted by the Los Angeles County Department of Public Health. (Reviewed: Administrative Committee, October 12, 2018; Recommended for Approval)

COMMITTEE: Administrative, October 12, 2018; Recommended for Approval

RECOMMENDED ACTION:

Issue RFP #2019-06 to solicit research proposals that can provide information to the public about the levels of pollutants from the Aliso Canyon incident in the community through data integration and exposure modeling, in an amount not to exceed \$1,000,000 from the SoCalGas Settlement Special Revenue Fund (76).

Wayne Nastri  
Executive Officer

JG:PP

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**Background**

Southern California Gas Company (SoCalGas) operates the Aliso Canyon natural gas underground storage facility in Northridge. On October 23, 2015 SoCalGas discovered

that Well SS25, used to inject and withdraw natural gas from the underground storage reservoir at their Aliso Canyon facility, was leaking. Nearly four months later on February 18, 2016, the California Department of Conservation, Division of Gas and Geothermal Resources (DOGGR) provided notice to the public confirming that Well SS25 at the Aliso Canyon Gas Storage Facility had been successfully sealed. In late 2017, SCAQMD staff conducted a community meeting to solicit input on the health study, and, in February 2018, provided a summary of the feedback received to the Porter Ranch Neighborhood Council (PRNC). SCAQMD established a Health Study Technical Advisory Group (HSTAG), which includes scientists from local, state and federal agencies, faculty from universities, and two community members selected by the (PRNC). The HSTAG helped to draft the scope of the health study, and assisted in integrating community comments to the draft RFP.

In August 2018, the California Attorney General, the County of Los Angeles, and the City of Los Angeles reached a settlement agreement with SoCalGas that allocated \$25 million toward an extensive health study of the impacts of this incident, to be administered by the LA County Department of Public Health (LAC-DPH). Staff are working closely with LAC-DPH staff to ensure that the two efforts are complementary. Because data integration and exposure modeling is the necessary first step for any health study effort of this type, the \$1 million allocated through SCAQMD's settlement agreement will be used toward developing a more thorough and robust exposure model that would serve as the foundation for the LAC-DPH health study, or any other health study of this incident.

### **Proposal**

Staff is seeking Board approval to release an RFP to solicit research proposals that can provide information to the public about the levels of exposure to pollutants from the Aliso Canyon incident in the community before, during and after the incident. Information about air pollution exposures would include information on concentrations, duration, timing, and spatial patterns.

### **Bid Evaluation**

Proposals received will be evaluated by a panel consisting of staff members and technically qualified outside experts who have appropriate expertise. The panel will make recommendations and the final selection of the Contractors will be subject to approval by the Board.

### **Outreach**

In accordance with SCAQMD's Procurement Policy and Procedure, a public notice advertising the RFPs and inviting bids will be published in the Los Angeles Times, the Orange County Register, the San Bernardino Sun, and Riverside County's Press Enterprise newspapers to leverage the most cost-effective method of outreach within SCAQMD's jurisdiction.

Additionally, potential bidders may be notified utilizing SCAQMD's own electronic listing of certified minority vendors. Notice of the RFP will be emailed to the Black and Latino Legislative Caucuses and various minority chambers of commerce and business associations, and placed on the Internet at SCAQMD's website (<http://www.aqmd.gov>) where it can be viewed by making the selection "Grants & Bids." Staff will also contact potential qualified bidders whose work have been cited in related literature or referred to staff by other subject matter experts.

**Resource Impacts**

Sufficient funds are available in the SoCalGas Settlement Special Revenue Fund (76).

**Attachment**

RFP #2019-06



## SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT

### REQUEST FOR PROPOSALS

## Research Study to Investigate Health Impacts of the Well Rupture at Aliso Canyon

**P2019-06**

The South Coast AQMD requests proposals for the following purpose in accordance with the following terms and conditions. In the preparation of this Request for Proposals (RFP), the words “Proposer”, “Firm”, “Institution”, “Contractor”, “Applicant” and “Consultant” are used interchangeably.

### **INDEX - The following are contained in this RFP:**

Section I	Background
Section II	Purpose
Section III	Contact Person
Section IV	Schedule of Events
Section V	Project Scope
Section VI	Funding and Award Information
Section VII	Applicant Eligibility, Conflict(s) of Interest, and Required Qualifications
Section VIII	Proposal Submittal Requirements
Section IX	Proposal Submission Instructions
Section X	Proposal Evaluation and Selection Criteria

Attachment A - Aliso Health Study Prospective Contractor Information

Attachment B - Certifications and Representations

Attachment C - Human Subjects Information Form

Attachment D - Participation in the Procurement Process

### **Section 1: Background**

Southern California Gas Company (SoCalGas) operates the Aliso Canyon natural gas underground storage facility at 12801 Tampa Avenue in Northridge, CA 91326. On October 23, 2015, SoCalGas discovered that Well SS25, used to inject and withdraw natural gas from the underground storage reservoir at their Aliso Canyon facility, was leaking. After months of leaking and several well-kill attempts, the well was temporarily controlled on February 11, 2016, and on February 18, 2016, the California Division of Oil, Gas and Geothermal Resources (DOGGR) announced that the well had been permanently sealed. Many public agencies and some private entities collected air pollution samples in the nearby community of Porter Ranch (a neighborhood within the City of Los Angeles) during the time that the well was actively leaking, as well as after the well had been sealed. However, the community continued to report health complaints after



re-occupying their homes. Therefore, there continue to be questions about potential long-term health impacts related to emissions from this facility.

In 2017, the South Coast AQMD reached a settlement agreement with SoCalGas that allocated \$1 million toward a health study of the impacts of the well rupture at Aliso Canyon and the resulting emissions. For these research projects, the South Coast AQMD has established a Health Study Technical Advisory Group (HSTAG), which consists of staff from local, state, and federal agencies, faculty from academic institutions, and two community representatives selected by the Porter Ranch Neighborhood Council. The purpose of the HSTAG is to provide technical scientific advice and feedback on the study scope, progress and findings, to integrate community input into the final study scope, and to provide updates to the community and researchers, as study results become available. The membership of the HSTAG is available at this link:

<http://www.aqmd.gov/docs/default-source/compliance/aliso-cyn/report/technical-advisory-group-roster.pdf?sfvrsn=8>). The contents of this RFP reflect the input of the HSTAG and community. Awardees funded through this RFP will be required to provide periodic updates to the HSTAG, and work with the HSTAG to maintain communication with the community.

In August 2018, the California Attorney General, the County of Los Angeles, and the City of Los Angeles reached a settlement agreement with SoCalGas that allocated \$25 million toward an extensive health study of the impacts of this incident, to be administered by the LA County Department of Public Health (LAC-DPH). South Coast AQMD staff are working closely with LAC-DPH staff to ensure that efforts are complementary. Because data integration and exposure modeling is the necessary first step for any health study effort of this type, the \$1 million allocated through South Coast AQMD's settlement agreement will be used toward developing a more thorough and robust exposure model that would serve as the foundation for the LAC-DPH health study, or any other health study of this incident.

### **Section 2: Purpose**

The purpose of this Request for Proposals (RFP) is to solicit research proposals that can provide information to the public about the levels of pollutants from the Aliso Canyon incident in the community before, during and after the incident. Information about air pollution exposures would include information on concentrations, duration, timing, and spatial patterns.

### **Section 3: Contact Person**

Questions regarding the content or intent of this RFP or on procedural matters should be addressed to:

Dr. Jo Kay Ghosh, Health Effects Officer  
SCAQMD  
21865 Copley Drive  
Diamond Bar, CA 91765  
Telephone: (909) 396-2582  
Email: [jghosh@aqmd.gov](mailto:jghosh@aqmd.gov)

#### **Section 4: Schedule of Events**

<b>Date</b>	<b>Event</b>
November 2, 2018	RFP Released
Jan 31, 2019 (no later than 5:00pm PST)	Proposals Due
February-March 2019	Proposal Evaluations
April 2019	Committee Consideration
May 2019	Governing Board Consideration
June 2019	Earliest Anticipated Contract Execution

#### **Section 5: Project Scope**

Proposals in response to this RFP are required to address the following area:

**Data integration and exposure modeling** of airborne emissions from the Aliso Canyon incident and from facility emissions prior to and after the incident. Consider all available information, including air sampling data from public agencies, meteorological and topographical data, and information on emissions from the natural gas leak along with well-kill activities (e.g. truck emissions, aerosolized oil residue emissions from well-kill attempts, other well-kill emissions). Additional exposure modeling of post-well-kill facility emissions would enhance the application. Proposals may include additional environmental sampling, such as air pollution sampling or meteorological sampling to enhance the exposure model.

The data integration should also include an evaluation of the data from the LAC-DPH symptom log, complaints data, and the CASPER study.

The final exposure model(s) must be made public, by providing all final electronic files to the SCAQMD Project Officer at the conclusion of the research contract. The exposure model will then be made available to any researchers or members of the public. The awardee(s) may also be asked to collaborate with other parties doing related research.

## **Section 6: Funding and Award Information**

Funds available: A total of \$1,000,000 is available through this RFP.

Award budget: Applications must not exceed \$1,000,000 in total costs (including indirect costs).

## **Section 7: Applicant Eligibility, Conflict(s) of Interest, and Required Qualifications**

**The following is the list of Eligible Applicants:**

Higher Education Institutions

- Public/State Controlled Institutions of Higher Education
- Private Institutions of Higher Education

Nonprofits Other Than Institutions of Higher Education

- Nonprofits with 501(c)(3) IRS Status (Other than Institutions of Higher Education)
- Nonprofits without 501(c)(3) IRS Status (Other than Institutions of Higher Education)

For-Profit Organizations

- Small Businesses
- For-Profit Organizations (Other than Small Businesses)

Governments

- State Governments
- County Governments
- City or Township Governments
- Special District Governments
- Indian/Native American Tribal Governments (Federally Recognized)
- Indian/Native American Tribal Governments (Other than Federally Recognized)
- Eligible Agencies of the Federal Government
- U.S. Territory or Possession

Other

- Independent School Districts
- Public Housing Authorities/Indian Housing Authorities
- Native American Tribal Organizations (other than Federally recognized tribal governments)
- Faith-based or Community-based Organizations
- Regional Organizations
- Non-domestic (non-U.S.) Entities (Foreign Institutions)

### **Notes on Foreign Institutions**

Non-domestic (non-U.S.) Entities (Foreign Institutions) **are** eligible to apply.

Non-domestic (non-U.S.) components of U.S. Organizations **are** eligible to

apply.

Foreign components, as [defined in the NIH Grants Policy Statement](#), are allowed.

### **Conflict(s) of Interest**

All applications must include a completed Aliso Health Study Prospective Contractor Information Form (see Technical Proposal, Section G, and Attachment A). This form must be completed by the Principal Investigator(s), Co-Investigator(s), all other named staff on the proposal, and all proposed subcontractors. Specific considerations are described in the Technical Proposal requirements, Section G.

Please note that current or former members of the Health Study Technical Advisory Group are not eligible to receive funding from this RFP.

### **Required Qualifications**

Organization, firms, or persons proposing to bid on this RFP must be qualified and experienced in the field of work proposed, specifically, experience conducting research in environmental science, air quality, and exposure modeling to support population health studies, as well as experience working with communities. Applicants shall demonstrate a wide range of knowledge and experience implementing similar projects.

Applicant must submit the following:

1. Resumes, CV's, or similar statement of qualifications of project's Principal Investigator, Co-Investigators, and Sub-contractors. Substitution of the Principal Investigator will not be permitted without prior written approval by SCAQMD.
2. List of key personnel assigned to the project by level, and name, and qualifications. Specify the estimated time to be spent by the lead person and key persons assigned to the project.
3. List specific portion of the project to be subcontracted. Include all subcontractors and their statement of qualification.
4. Summary of major similar projects during the last five years demonstrating experience in the project areas with references.
5. Summary of applicant's general qualifications to meet required qualifications and fulfill statement of work, including additional personnel and resources beyond those of the project's lead person or persons.

### **Section 8: Proposal Submittal Requirements**

Submitted proposals must follow the format outlined below, and all requested information must be supplied. Failure to submit proposals in the required format will result in elimination from proposal evaluation. The cost for developing the

proposal is the responsibility of the Contractor, and shall not be chargeable to the South Coast AQMD.

Proposals should address concisely the information requested below in their statement of work in the format specified in this section. Applicants are encouraged to pay close attention to Section 10: **Proposal Evaluation and Selection Criteria** to assess how their bids will be evaluated. Each bid will be evaluated separately. Information provided should be specific sufficient for evaluation and scoring purposes, and for inclusion into a contract.

In the Statement of Work, the applicant must demonstrate that the project will result in scientific information that informs the public on air pollution exposures and/or public health impacts related to the Project Scope described above.

Each proposal must be submitted in three separate parts:

- Part I - Technical Proposal
- Part II - Cost Proposal
- Part III - Certifications and Representations included in Attachment B to this RFP must be completed and executed by an authorized official of the Contractor.

A separate cover letter including the name, address, and telephone number of the contractor, signed by the person or persons authorized to represent the Firm, should accompany the proposal submission. Firm contact information as follows should also be included in the cover letter:

1. Address and telephone number of office in, or nearest to, Diamond Bar, California.
2. Name and title of Firm's representative designated as contact (include address, phone number and e-mail address).

The cover letter should also include the following information:

- RFP No.
- Principal Investigator
- Type of Request
- Title of Project or Study
- Amount Requested
- Period of Support

## **PART I - TECHNICAL PROPOSAL**

Summary (Section A) - State overall approach to meeting the objectives and satisfying the scope of work to be performed, the sequence of activities, and a description of methodology or techniques to be used.

Program Schedule (Section B) - Provide projected milestones or benchmarks for each 6 month period of the project within the total timeframe of the project.

Project Organization (Section C) - Describe the proposed management structure, program monitoring procedures, and organization of the proposed team.

Qualifications (Section D) - Describe the technical capabilities of the team. Provide references of other similar activities performed during the last five years demonstrating ability to successfully complete the project. Include contact name, title, and telephone number for any references listed. Provide a statement of your firm's background and experience in performing similar projects for other governmental organizations. Indicate whether your firm is a charitable organization under section 170(c) of the Internal Revenue Code and, if so, describe how the proposed project will further your charitable purposes. Specific areas of expertise to highlight include environmental science, air quality, and exposure modeling to support population health studies, as well as experience working with communities.

Assigned Personnel (Section E) - Provide the following information on the staff to be assigned to this project:

1. List all key personnel assigned to the project by level and name. Provide a resume or similar statement of the qualifications of the lead person and all persons assigned to the project. Substitution of project manager or lead personnel will not be permitted without prior written approval from the Foundation.
2. Provide a spreadsheet of the labor hours proposed for each labor category at the task level.
3. Provide a statement of the education and training program provided by, or required of, the staff identified for participation in the project, particularly with reference to management consulting, governmental practices and procedures, and technical matters.
4. Provide a summary of your firm's general qualifications to meet required qualifications and fulfill statement of work, including additional firm personnel and resources beyond those who may be assigned to the project.

Subcontractors (Section F) - This project may require expertise in multiple technical areas. List any subcontractors that may be used and the work to be performed by them.

Aliso Canyon Health Study Prospective Contractor Information Form (Section G)  
– Address possible conflicts of interest with other clients affected by actions performed by the applicant on behalf of SCAQMD. SCAQMD recognizes that prospective Contractors may be performing similar projects for other clients or may have involvement with Sempra Energy, Southern California Gas Company, or other parties involved in lawsuits against these entities regarding the Aliso Canyon incident. Please include a complete list of such clients for the past five (5) years with the type of work performed and the total number of years performing such tasks for each client. Please note that the SCAQMD will include in its assessment of all bids the degree of involvement by any applicants (including subcontractors) that have received payment from Southern California Gas Company, Sempra Energy, or other parties involved in lawsuits against Sempra Energy or Southern California Gas Company for work regarding the Aliso Canyon incident or related claims. SCAQMD will consider the nature and extent of such work in evaluating the proposal and reserves the right to disqualify applicants by reason of work performed for such clients that may create a potential conflict of interest. Specifically, the amount, timing, and degree of funding from or involvement with these entities will be considered in the panel's assessment. Please return the attached Aliso Health Study Prospective Contractor Information Form (Attachment A) to aide in assessment of your proposal.

Outreach Plan (Section H) - All applications must include a plan for public outreach and engagement, including outreach for the purpose of prioritizing study elements. Applicants who receive funding will be required to work with the HSTAG in reporting study progress and findings to the public twice a year.

Human Subjects Plan (Section I) - For proposals that involve NIH-defined human subjects research, a plan to protect human subjects in research is required as part of this application. Include a completed Human Subjects Information Form (Attachment C). If the project does not qualify as exempt human subjects research per NIH definitions, then the application must include a Protection of Human Subjects Plan, following NIH requirements, as defined in Section 3.1 of this website: <https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/general/g.500-phs-human-subjects-and-clinical-trials-information.htm#1.2>

Information on the most commonly used exemption categories for human subjects research is available here:

[https://humansubjects.nih.gov/sites/hs/public\\_files/exemption\\_infographic\\_v6\\_hs\\_internet.pdf](https://humansubjects.nih.gov/sites/hs/public_files/exemption_infographic_v6_hs_internet.pdf)

Institutional Review Board waiver or approval is required for all funded proposals prior to the start of research activity.

Additional Data (Section J) - Provide other essential data that may assist in the evaluation of this proposal.

## **PART II - COST PROPOSAL**

Cost information must be provided in detail, along with a justification of these costs, as listed below in order to assist in the evaluation of this proposal:

- A. Labor - List the total number of hours and the hourly billing rate for each level of professional staff. A breakdown of the proposed billing rates must identify the direct labor rate, overhead rate and amount, fringe benefit rate and amount, General and Administrative rate and amount, and proposed profit or fee. Provide a basis of estimate justifying the proposed labor hours and proposed labor mix.
- B. Subcontractor Costs - List subcontractor costs and identify subcontractors by name. Itemize subcontractor charges per hour or per day.
- C. Travel Costs - Indicate amount of travel cost and basis of estimate to include trip destination, purpose of trip, length of trip, airline fare or mileage expense, per diem costs, lodging and car rental.
- D. Other Direct Costs - This category may include such items as postage and mailing expense, printing and reproduction costs, etc. Provide a basis of estimate for these costs.

## **PART III – CERTIFICATIONS AND REPRESENTATIONS**

Applicants must complete the Certifications and Representations provided as Attachment B, which requires disclosure of any possible conflict of interest or other matters that may affect the awarding of a grant to Proposer.



## **Section 9: Proposal Submission Instructions**

All proposals must be submitted according to specifications set forth in the section above. Failure to adhere to these specifications may be cause for rejection of proposal.

Signature - All proposals should be signed by an authorized representative of the Applicant.

Due Date - The Applicant shall submit one original and four (4) complete copies of the proposal, and an electronic copy on a CD, in a sealed envelope, plainly marked in the upper left-hand corner with the name and address of the Applicant and the words "Request for Proposals – P2019-06." All proposals are due no later than 5:00 p.m. on January 31, 2019, and should be directed to:

Jo Kay Ghosh, Health Effects Officer  
South Coast Air Quality Management District  
21865 Copley Drive  
Diamond Bar, CA 91765-4178

Late bids/proposals will not be accepted. Any correction or resubmission done by the Applicant will not extend the submittal due date.

Grounds for Rejection - A proposal may be immediately rejected if:

- It is received at any time after the exact date and time set for receipt of proposals;
- It is not prepared in the format described; or
- It is signed by an individual not authorized to represent the applicant.

Bid Protest Procedure - The Bid Protest Procedure provides a process for a Bidder or prospective Bidder to submit a written protest in recognition of two types of protests: Protest Regarding Solicitation and Protest Regarding Award of a Contract. Copies of the Bid Protest Policy can be secured through a request to SCAQMD Procurement Department.

Disposition of Proposals – The South Coast AQMD reserves the right to reject any or all proposals. All proposals become the property of the South Coast AQMD and are subject to the California Public Records Act.

Modification - Once submitted, proposals cannot be altered without the prior written consent of the South Coast AQMD.

## Section 10: Proposal Evaluation and Selection Criteria

Applications will be scored as follows:

Category	Maximum Points
Understanding the Problem (Significance)	25
Contractor Qualifications (Investigators and Environment)	25
Technical Approach	35
Community/Government Support Letters	5
Effective Use of Funds	10
<b>TOTAL</b>	<b>100</b>

The **Technical Score** is the sum of the scores for all categories above other than **Effective Use of Funds**. Applications must have a minimum of 72 out of 90 points for the **Technical Score** to be considered for funding.

The Evaluation Criteria for these score elements are provided below:

- **Understanding the Problem (Significance):** Does the project demonstrate a thorough understanding of the problem? Does the proposed work address one or more significant questions related to public health or environmental exposures in the communities most affected by this environmental incident? Is there a strong scientific premise for the project? Does the project address some of the highest priority groups and health concerns?
- **Contractor Qualifications (Investigators and Environment):** Are the PD(s)/PI(s), collaborators, and other researchers well suited to the project? Have they demonstrated an ongoing record of accomplishments that have advanced their field(s)? If the project is collaborative or multi-PD/PI, do the investigators have complementary and integrated expertise; are their leadership approach, governance and organizational structure appropriate for the project? Will the scientific environment in which the work will be done contribute to the probability of success? Are the institutional support, equipment and other physical resources available to the investigators adequate for the project proposed? Will the project benefit from unique features of the scientific environment, subject populations, or collaborative arrangements?
- **Technical Approach:** Are the overall strategy, methodology, and analyses well-reasoned and appropriate to accomplish the specific aims of the project? Have the investigators presented strategies to ensure a robust and unbiased approach, as appropriate for the work proposed? Are potential problems, alternative strategies, and benchmarks for success

presented? If the project is in the early stages of development, will the strategy establish feasibility and will particularly risky aspects be managed? Have the investigators presented adequate plans to address relevant biological variables, such as sex, for studies in vertebrate animals or human subjects? If the project involves human subjects and/or NIH-defined clinical research, are the plans to address 1) the protection of human subjects from research risks, and 2) inclusion (or exclusion) of individuals on the basis of sex/gender, race, and ethnicity, as well as the inclusion or exclusion of children, justified in terms of the scientific goals and research strategy proposed? Is the Outreach Plan adequate and appropriate?

- **Community/Government Support Letters:** Does the application demonstrate substantial broad-based community support for the proposal, e.g. through letters of support from community members, community leaders, or government officials?
- **Effective Use of Funds:** Is the proposed budget appropriate for the scope of the project? Does the project use funds effectively, and is the impact of the project proportional to the proposed budget?

#### Additional Points

Small Business or Small Business Joint Venture	10
DVBE or DVBE Joint Venture	10
Use of DVBE or Small Business subcontractors	7
Local Business	5
Most Favored Customer	2

Per SCAQMD policy, the cumulative points awarded for small business, DVBE, use of small business or DVBE subcontractors, and local business shall not exceed 15 points. Additional information is provided in Attachment D – Participation in the Procurement Process.

#### Self-Certification for Additional Points

**The award of these additional points shall be contingent upon Applicant completing the Self-Certification section of Attachment B – Certifications and Representations and/or inclusion of a statement in the proposal self-certifying that Applicant qualifies for additional points as detailed above.**

To receive additional points in the evaluation process for the categories of Small Business or Small Business Joint Venture, DVBE or DVBE Joint Venture or Local Business (for non-federally funded projects), the applicant must submit a self-

certification or certification from the State of California Office of Small Business Certification and Resources at the time of proposal submission certifying that the applicant meets the requirements set forth in Section III. To receive points for the use of DVBE and/or Small Business subcontractors, at least 25 percent of the total contract value must be subcontracted to DVBEs and/or Small Businesses. To receive points for Most Favored Customer status, the applicant must submit, at proposal submission, certification of its commitment to provide most favored customer status to the SCAQMD.

### **Information on Selection Process**

During the selection process the evaluation panel may wish to ask questions of some applicants for clarification purposes only. No new material will be permitted at this time. Additional information provided during the bid review process is limited to clarification by the applicant of information presented in his/her proposal, upon request by SCAQMD.

The Executive Officer or Governing Board may award the contract to an applicant other than the applicant receiving the highest rating in the event the Governing Board determines that another applicant from among those technically qualified would provide the best value to SCAQMD considering cost and technical factors. The determination shall be based solely on the Evaluation Criteria contained in the Request for Proposal (RFP), on evidence provided in the proposal and on any other evidence provided during the bid review process.

Selection will be made based on the above-described criteria and rating factors. Please note that the Conflicts of Interest section, above (Part I, Section G), makes clear that the SCAQMD reserves the right to disqualify applicants based on a number of factors, including the amount, timing, and degree of funding from or involvement with Southern California Gas Company, Sempra Energy, or other parties involved in lawsuits against Sempra Energy or Southern California Gas Company for work regarding the Aliso Canyon incident or related claims. Your proposal will not be considered complete unless it includes a completed Aliso Health Study Prospective Contractor Information Form (Attachment A) to allow for this assessment. The selection will be made by and is subject to Executive Officer or Governing Board approval. Applicants may be notified of the results by email.

The Governing Board has approved a Bid Protest Procedure which provides a process for a Bidder or prospective Bidder to submit a written protest to SCAQMD Procurement Manager in recognition of two types of protests: Protest Regarding Solicitation and Protest Regarding Award of a Contract. Copies of the Bid Protest Policy can be secured through a request to SCAQMD Procurement Department.

The Executive Officer or Governing Board may award contracts to more than one applicant if in (his or their) sole judgment the purposes of the (contract or award) would best be served by selecting multiple applicants.

If additional funds become available, the Executive Officer or Governing Board may increase the amount awarded. The Executive Officer or Governing Board may also select additional applicants for a grant or contract if additional funds become available.

Disposition of Proposals – Pursuant to SCAQMD’s Procurement Policy and Procedure, SCAQMD reserves the right to reject any or all proposals. All proposals become the property of SCAQMD, and are subject to the California Public Records Act. One copy of the proposal shall be retained for SCAQMD files. Additional copies and materials will be returned only if requested and at the applicant’s expense.

If proposal submittal is for a Public Works project as defined by State of California Labor Code Section 1720, Applicant is required to include Contractor Registration No. in Attachment B. Proposal submittal will be deemed as non-responsive and Bidder may be disqualified if Contractor Registration No. is not included in Attachment B Applicant is alerted to changes to California Prevailing Wage compliance requirements as defined in Senate Bill 854 (Stat. 2014, Chapter 28), and California Labor Code Sections 1770, 1771 and 1725.

## **Attachments**

### ATTACHMENT A

Aliso Health Study Prospective Contractor Information Form

### ATTACHMENT B

Certifications and Representations

### ATTACHMENT C

Human Subjects Information Form

### ATTACHMENT D

Participation in the Procurement Process

# ATTACHMENT A

## Aliso Canyon Health Study Prospective Contractor Information Form

Name: \_\_\_\_\_

Role on project:  Principal Investigator (PI)  Co-Investigator (Co-I)  Staff  
If Subcontractor, check here:

Title of proposal: \_\_\_\_\_

1. In the past five (5) years, did you receive payment for work done for Sempra Energy or Southern California Gas Company?

Yes  No

2. In the past five (5) years, did you receive payment for work done from any party involved in lawsuits against Sempra Energy or Southern California Gas Company regarding the Aliso Canyon gas leak incident, or related claims?

Yes  No

If you answered Yes to either Question 1 or Question 2, complete the following information (you may add additional pages, if necessary):

### Project 1

a. Who the work was completed for: \_\_\_\_\_

b. Dates of work completed (range):

From: \_\_\_\_\_ To: \_\_\_\_\_

c. Amount of payment received by you: [Click here to enter text.](#)

d. Brief description of project: [Click here to enter text.](#)

### Project 2

a. Who the work was completed for: \_\_\_\_\_

b. Dates of work completed (range):

From: \_\_\_\_\_ To: \_\_\_\_\_

c. Amount of payment received by you: \$ \_\_\_\_\_

d. Brief description of project: \_\_\_\_\_

### Project 3

a. Who the work was completed for: \_\_\_\_\_

b. Dates of work completed (range):

From: \_\_\_\_\_ To: \_\_\_\_\_

c. Amount of payment received by you: \$ \_\_\_\_\_

d. Brief description of project: \_\_\_\_\_

**Project 4**

- a. Who the work was completed for: \_\_\_\_\_.
- b. Dates of work completed (range):  
From: \_\_\_\_\_ . To: \_\_\_\_\_ .
- c. Amount of payment received by you: \$ \_\_\_\_\_ .
- d. Brief description of project: \_\_\_\_\_ .

**I declare the foregoing disclosure to be true and correct.**

Name (print): \_\_\_\_\_

Signature: \_\_\_\_\_

Title: \_\_\_\_\_

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

## ATTACHMENT B



# South Coast Air Quality Management District

21865 Copley Drive, Diamond Bar, CA 91765-4178  
(909) 396-2000 • [www.aqmd.gov](http://www.aqmd.gov)

### Business Information Request

Dear SCAQMD Contractor/Supplier:

South Coast Air Quality Management District (SCAQMD) is committed to ensuring that our contractor/supplier records are current and accurate. If your firm is selected for award of a purchase order or contract, it is imperative that the information requested herein be supplied in a timely manner to facilitate payment of invoices. In order to process your payments, we need the enclosed information regarding your account. **Please review and complete the information identified on the following pages, remember to sign all documents for our files, and return them as soon as possible to the address below:**

**Attention: Accounts Payable, Accounting Department  
South Coast Air Quality Management District  
21865 Copley Drive  
Diamond Bar, CA 91765-4178**

If you do not return this information, we will not be able to establish you as a vendor. This will delay any payments and would still necessitate your submittal of the enclosed information to our Accounting department before payment could be initiated. Completion of this document and enclosed forms would ensure that your payments are processed timely and accurately.

If you have any questions or need assistance in completing this information, please contact Accounting at (909) 396-3777. We appreciate your cooperation in completing this necessary information.

Sincerely,

Sujata Jain  
Asst. Deputy Executive Officer  
Finance

DH:tm

Enclosures: Business Information Request  
Disadvantaged Business Certification  
W-9  
Form 590 Withholding Exemption Certificate  
Federal Contract Debarment Certification  
Campaign Contributions Disclosure  
Direct Deposit Authorization





# South Coast Air Quality Management District

21865 Copley Drive, Diamond Bar, CA 91765-4178  
(909) 396-2000 • [www.aqmd.gov](http://www.aqmd.gov)

## BUSINESS INFORMATION REQUEST

Business Name	
Division of	
Subsidiary of	
Website Address	
Type of Business <i>Check One:</i>	<input type="checkbox"/> Individual <input type="checkbox"/> DBA, Name _____, County Filed in _____ <input type="checkbox"/> Corporation, ID No. _____ <input type="checkbox"/> LLC/LLP, ID No. _____ <input type="checkbox"/> Other _____

## REMITTING ADDRESS INFORMATION

Address			
City/Town			
State/Province		Zip	
Phone	(    )    -    Ext	Fax	(    )    -
Contact		Title	
E-mail Address			
Payment Name if Different			

All invoices must reference the corresponding Purchase Order Number(s)/Contract Number(s) if applicable and mailed to:

**Attention: Accounts Payable, Accounting Department**  
**South Coast Air Quality Management District**  
**21865 Copley Drive**  
**Diamond Bar, CA 91765-4178**

## BUSINESS STATUS CERTIFICATIONS

Federal guidance for utilization of disadvantaged business enterprises allows a vendor to be deemed a small business enterprise (SBE), minority business enterprise (MBE) or women business enterprise (WBE) if it meets the criteria below.

- is certified by the Small Business Administration or
- is certified by a state or federal agency or
- is an independent MBE(s) or WBE(s) business concern which is at least 51 percent owned and controlled by minority group member(s) who are citizens of the United States.

### Statements of certification:

As a prime contractor to SCAQMD, (name of business) will engage in good faith efforts to achieve the fair share in accordance with 40 CFR Section 33.301, and will follow the six affirmative steps listed below **for contracts or purchase orders funded in whole or in part by federal grants and contracts.**

1. Place qualified SBEs, MBEs, and WBEs on solicitation lists.
2. Assure that SBEs, MBEs, and WBEs are solicited whenever possible.
3. When economically feasible, divide total requirements into small tasks or quantities to permit greater participation by SBEs, MBEs, and WBEs.
4. Establish delivery schedules, if possible, to encourage participation by SBEs, MBEs, and WBEs.
5. Use services of Small Business Administration, Minority Business Development Agency of the Department of Commerce, and/or any agency authorized as a clearinghouse for SBEs, MBEs, and WBEs.
6. If subcontracts are to be let, take the above affirmative steps.

### **Self-Certification Verification: Also for use in awarding additional points, as applicable, in accordance with SCAQMD Procurement Policy and Procedure:**

Check all that apply:

- |   |  |
|---|--|
| <input type="checkbox"/> Small Business Enterprise/Small Business Joint Venture | <input type="checkbox"/> Women-owned Business Enterprise                               |
| <input type="checkbox"/> Local business Venture                                 | <input type="checkbox"/> Disabled Veteran-owned Business Enterprise/DVBE Joint Venture |
| <input type="checkbox"/> Minority-owned Business Enterprise                     | <input type="checkbox"/> Most Favored Customer Pricing Certification                   |

Percent of ownership: \_\_\_\_\_ %

Name of Qualifying Owner(s): \_\_\_\_\_

**State of California Public Works Contractor Registration No. \_\_\_\_\_ . MUST BE INCLUDED IF BID PROPOSAL IS FOR PUBLIC WORKS PROJECT.**

I, the undersigned, hereby declare that to the best of my knowledge the above information is accurate. Upon penalty of perjury, I certify information submitted is factual.

\_\_\_\_\_  
NAME

\_\_\_\_\_  
TITLE

\_\_\_\_\_  
TELEPHONE NUMBER

\_\_\_\_\_  
DATE

## Definitions

**Disabled Veteran-Owned Business Enterprise** means a business that meets all of the following criteria:

- is a sole proprietorship or partnership of which is at least 51 percent owned by one or more disabled veterans, or in the case of any business whose stock is publicly held, at least 51 percent of the stock is owned by one or more disabled veterans; a subsidiary which is wholly owned by a parent corporation but only if at least 51 percent of the voting stock of the parent corporation is owned by one or more disabled veterans; or a joint venture in which at least 51 percent of the joint venture's management and control and earnings are held by one or more disabled veterans.
- the management and control of the daily business operations are by one or more disabled veterans. The disabled veterans who exercise management and control are not required to be the same disabled veterans as the owners of the business.
- is a sole proprietorship, corporation, partnership, or joint venture with its primary headquarters office located in the United States and which is not a branch or subsidiary of a foreign corporation, firm, or other foreign-based business.

**Joint Venture** means that one party to the joint venture is a DVBE and owns at least 51 percent of the joint venture. In the case of a joint venture formed for a single project this means that DVBE will receive at least 51 percent of the project dollars.

**Local Business** means a business that meets all of the following criteria:

- has an ongoing business within the boundary of SCAQMD at the time of bid application.
- performs 90 percent of the work within SCAQMD's jurisdiction.

**Minority-Owned Business Enterprise** means a business that meets all of the following criteria:

- is at least 51 percent owned by one or more minority persons or in the case of any business whose stock is publicly held, at least 51 percent of the stock is owned by one or more minority persons.
- is a business whose management and daily business operations are controlled or owned by one or more minority person.
- is a business which is a sole proprietorship, corporation, partnership, joint venture, an association, or a cooperative with its primary headquarters office located in the United States, which is not a branch or subsidiary of a foreign corporation, foreign firm, or other foreign business.

"Minority" person means a Black American, Hispanic American, Native American (including American Indian, Eskimo, Aleut, and Native Hawaiian), Asian-Indian American (including a person whose origins are from India, Pakistan, or Bangladesh), Asian-Pacific American (including a person whose origins are from Japan, China, the Philippines, Vietnam, Korea, Samoa, Guam, the United States Trust Territories of the Pacific, Northern Marianas, Laos, Cambodia, or Taiwan).

**Small Business Enterprise** means a business that meets the following criteria:

- a. 1) an independently owned and operated business; 2) not dominant in its field of operation; 3) together with affiliates is either:
  - **A service, construction, or non-manufacturer with 100 or fewer employees, and average annual gross receipts of ten million dollars (\$10,000,000) or less over the previous three years, or**
  - A manufacturer with 100 or fewer employees.
- b. Manufacturer means a business that is both of the following:
  - 1) Primarily engaged in the chemical or mechanical transformation of raw materials or processed substances into new products.
  - 2) Classified between Codes 311000 to 339000, inclusive, of the North American Industrial Classification System (NAICS) Manual published by the United States Office of Management and Budget, 2007 edition.

**Small Business Joint Venture** means that one party to the joint venture is a Small Business and owns at least 51 percent of the joint venture. In the case of a joint venture formed for a single project this means that the Small Business will receive at least 51 percent of the project dollars.

**Women-Owned Business Enterprise** means a business that meets all of the following criteria:

- is at least 51 percent owned by one or more women or in the case of any business whose stock is publicly held, at least 51 percent of the stock is owned by one or more women.
- is a business whose management and daily business operations are controlled or owned by one or more women.
- is a business which is a sole proprietorship, corporation, partnership, or a joint venture, with its primary headquarters office located in the United States, which is not a branch or subsidiary of a foreign corporation, foreign firm, or other foreign business.

**Most Favored Customer** as used in this policy means that the SCAQMD will receive at least as favorable pricing, warranties, conditions, benefits and terms as other customers or clients making similar purchases or receiving similar services.

## Request for Taxpayer Identification Number and Certification

▶ Go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9) for instructions and the latest information.

Give Form to the  
requester. Do not  
send to the IRS.

Print or type. See Specific Instructions on page 3.	<p><b>1</b> Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.</p> <hr/> <p><b>2</b> Business name/disregarded entity name, if different from above</p> <hr/> <p><b>3</b> Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only <b>one</b> of the following seven boxes.</p> <p> <input type="checkbox"/> Individual/sole proprietor or single-member LLC                 <input type="checkbox"/> C Corporation                 <input type="checkbox"/> S Corporation                 <input type="checkbox"/> Partnership                 <input type="checkbox"/> Trust/estate  <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ▶ _____  <b>Note:</b> Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is <b>not</b> disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.  <input type="checkbox"/> Other (see instructions) ▶ _____         </p>	<p><b>4</b> Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):</p> <p>Exempt payee code (if any) _____</p> <p>Exemption from FATCA reporting code (if any) _____</p> <p><small>(Applies to accounts maintained outside the U.S.)</small></p>
	<p><b>5</b> Address (number, street, and apt. or suite no.) See instructions.</p> <hr/> <p><b>6</b> City, state, and ZIP code</p> <hr/> <p><b>7</b> List account number(s) here (optional)</p>	<p>Requester's name and address (optional)</p>

### Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

<b>Social security number</b>					
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; border: 1px solid black; height: 20px;"></td> <td style="width: 5%; text-align: center;">-</td> <td style="width: 25%; border: 1px solid black; height: 20px;"></td> <td style="width: 5%; text-align: center;">-</td> <td style="width: 40%; border: 1px solid black; height: 20px;"></td> </tr> </table>		-		-	
	-		-		

OR

<b>Employer identification number</b>			
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; border: 1px solid black; height: 20px;"></td> <td style="width: 5%; text-align: center;">-</td> <td style="width: 70%; border: 1px solid black; height: 20px;"></td> </tr> </table>		-	
	-		

**Note:** If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

### Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
3. I am a U.S. citizen or other U.S. person (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

<b>Sign Here</b>	Signature of U.S. person ▶	Date ▶
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### General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

**Future developments.** For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9).

### Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

- Form 1099-INT (interest earned or paid)

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

*If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.*

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting*, later, for further information.

**Note:** If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

**Definition of a U.S. person.** For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

**Special rules for partnerships.** Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States.

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the entity;
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the trust; and
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

**Foreign person.** If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Pub. 515, *Withholding of Tax on Nonresident Aliens and Foreign Entities*).

**Nonresident alien who becomes a resident alien.** Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items.

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

**Example.** Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

## Backup Withholding

**What is backup withholding?** Persons making certain payments to you must under certain conditions withhold and pay to the IRS 28% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

**Payments you receive will be subject to backup withholding if:**

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the instructions for Part II for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code*, later, and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships*, earlier.

## What is FATCA Reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code*, later, and the Instructions for the Requester of Form W-9 for more information.

## Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account; for example, if the grantor of a grantor trust dies.

## Penalties

**Failure to furnish TIN.** If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

**Civil penalty for false information with respect to withholding.** If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

**Criminal penalty for falsifying information.** Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

**Misuse of TINs.** If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

## Specific Instructions

### Line 1

You must enter one of the following on this line; **do not** leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account (other than an account maintained by a foreign financial institution (FFI)), list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9. If you are providing Form W-9 to an FFI to document a joint account, each holder of the account that is a U.S. person must provide a Form W-9.

a. **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

**Note: ITIN applicant:** Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040/1040A/1040EZ you filed with your application.

b. **Sole proprietor or single-member LLC.** Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or "doing business as" (DBA) name on line 2.

c. **Partnership, LLC that is not a single-member LLC, C corporation, or S corporation.** Enter the entity's name as shown on the entity's tax return on line 1 and any business, trade, or DBA name on line 2.

d. **Other entities.** Enter your name as shown on required U.S. federal tax documents on line 1. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on line 2.

e. **Disregarded entity.** For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a "disregarded entity." See Regulations section 301.7701-2(c)(2)(iii). Enter the owner's name on line 1. The name of the entity entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner's name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on line 2, "Business name/disregarded entity name." If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

### Line 2

If you have a business name, trade name, DBA name, or disregarded entity name, you may enter it on line 2.

### Line 3

Check the appropriate box on line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box on line 3.

IF the entity/person on line 1 is a(n) . . .	THEN check the box for . . .
• Corporation	Corporation
• Individual • Sole proprietorship, or • Single-member limited liability company (LLC) owned by an individual and disregarded for U.S. federal tax purposes.	Individual/sole proprietor or single-member LLC
• LLC treated as a partnership for U.S. federal tax purposes, • LLC that has filed Form 8832 or 2553 to be taxed as a corporation, or • LLC that is disregarded as an entity separate from its owner but the owner is another LLC that is not disregarded for U.S. federal tax purposes.	Limited liability company and enter the appropriate tax classification. (P= Partnership; C= C corporation; or S= S corporation)
• Partnership	Partnership
• Trust/estate	Trust/estate

### Line 4, Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space on line 4 any code(s) that may apply to you.

#### Exempt payee code.

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.
- Corporations are not exempt from backup withholding with respect to attorneys' fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space in line 4.

1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)

2—The United States or any of its agencies or instrumentalities

3—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities

4—A foreign government or any of its political subdivisions, agencies, or instrumentalities

5—A corporation

6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or possession

7—A futures commission merchant registered with the Commodity Futures Trading Commission

8—A real estate investment trust

9—An entity registered at all times during the tax year under the Investment Company Act of 1940

10—A common trust fund operated by a bank under section 584(a)

11—A financial institution

12—A middleman known in the investment community as a nominee or custodian

13—A trust exempt from tax under section 664 or described in section 4947

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 7
Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over \$600 required to be reported and direct sales over \$5,000 <sup>1</sup>	Generally, exempt payees 1 through 5 <sup>2</sup>
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

<sup>1</sup> See Form 1099-MISC, Miscellaneous Income, and its instructions.

<sup>2</sup> However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f), and payments for services paid by a federal executive agency.

**Exemption from FATCA reporting code.** The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) written or printed on the line for a FATCA exemption code.

A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)

B—The United States or any of its agencies or instrumentalities

C—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities

D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i)

E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i)

F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state

G—A real estate investment trust

H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940

I—A common trust fund as defined in section 584(a)

J—A bank as defined in section 581

K—A broker

L—A trust exempt from tax under section 664 or described in section 4947(a)(1)

M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

**Note:** You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

## Line 5

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns. If this address differs from the one the requester already has on file, write NEW at the top. If a new address is provided, there is still a chance the old address will be used until the payor changes your address in their records.

## Line 6

Enter your city, state, and ZIP code.

## Part I. Taxpayer Identification Number (TIN)

**Enter your TIN in the appropriate box.** If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN.

If you are a single-member LLC that is disregarded as an entity separate from its owner, enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

**Note:** See *What Name and Number To Give the Requester*, later, for further clarification of name and TIN combinations.

**How to get a TIN.** If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at [www.SSA.gov](http://www.SSA.gov). You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at [www.irs.gov/Businesses](http://www.irs.gov/Businesses) and clicking on Employer Identification Number (EIN) under Starting a Business. Go to [www.irs.gov/Forms](http://www.irs.gov/Forms) to view, download, or print Form W-7 and/or Form SS-4. Or, you can go to [www.irs.gov/OrderForms](http://www.irs.gov/OrderForms) to place an order and have Form W-7 and/or SS-4 mailed to you within 10 business days.

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

**Note:** Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

**Caution:** A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

## Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if item 1, 4, or 5 below indicates otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Exempt payees, see *Exempt payee code*, earlier.

**Signature requirements.** Complete the certification as indicated in items 1 through 5 below.



**1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.** You must give your correct TIN, but you do not have to sign the certification.

**2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.** You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

**3. Real estate transactions.** You must sign the certification. You may cross out item 2 of the certification.

**4. Other payments.** You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

**5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), ABLE accounts (under section 529A), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions.** You must give your correct TIN, but you do not have to sign the certification.

### What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account) other than an account maintained by an FFI	The actual owner of the account or, if combined funds, the first individual on the account <sup>1</sup>
3. Two or more U.S. persons (joint account maintained by an FFI)	Each holder of the account
4. Custodial account of a minor (Uniform Gift to Minors Act)	The minor <sup>2</sup>
5. a. The usual revocable savings trust (grantor is also trustee) b. So-called trust account that is not a legal or valid trust under state law	The grantor-trustee <sup>1</sup> The actual owner <sup>1</sup>
6. Sole proprietorship or disregarded entity owned by an individual	The owner <sup>3</sup>
7. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))	The grantor <sup>*</sup>
For this type of account:	Give name and EIN of:
8. Disregarded entity not owned by an individual	The owner
9. A valid trust, estate, or pension trust	Legal entity <sup>4</sup>
10. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
11. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
12. Partnership or multi-member LLC	The partnership
13. A broker or registered nominee	The broker or nominee

For this type of account:	Give name and EIN of:
14. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
15. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B))	The trust

<sup>1</sup> List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

<sup>2</sup> Circle the minor's name and furnish the minor's SSN.

<sup>3</sup> You must show your individual name and you may also enter your business or DBA name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

<sup>4</sup> List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships*, earlier.

**\*Note:** The grantor also must provide a Form W-9 to trustee of trust.

**Note:** If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

### Secure Your Tax Records From Identity Theft

Identity theft occurs when someone uses your personal information such as your name, SSN, or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Pub. 5027, Identity Theft Information for Taxpayers.

Victims of identity theft who are experiencing economic harm or a systemic problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

**Protect yourself from suspicious emails or phishing schemes.** Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to [phishing@irs.gov](mailto:phishing@irs.gov). You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at [spam@uce.gov](mailto:spam@uce.gov) or report them at [www.ftc.gov/complaint](http://www.ftc.gov/complaint). You can contact the FTC at [www.ftc.gov/idtheft](http://www.ftc.gov/idtheft) or 877-IDTHEFT (877-438-4338). If you have been the victim of identity theft, see [www.IdentityTheft.gov](http://www.IdentityTheft.gov) and Pub. 5027.

Visit [www.irs.gov/IdentityTheft](http://www.irs.gov/IdentityTheft) to learn more about identity theft and how to reduce your risk.

## Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.

# 2018 Withholding Exemption Certificate

# 590

The payee completes this form and submits it to the withholding agent. The withholding agent keeps this form with their records.

### Withholding Agent Information

Name \_\_\_\_\_

### Payee Information

Name \_\_\_\_\_

SSN or ITIN  FEIN  CA Corp no.  CA SOS file no.

Address (apt./sta., room, PO box, or PMB no.) \_\_\_\_\_

City (if you have a foreign address, see instructions.) \_\_\_\_\_

State \_\_\_\_\_ ZIP code \_\_\_\_\_

### Exemption Reason

#### Check only one box.

By checking the appropriate box below, the payee certifies the reason for the exemption from the California income tax withholding requirements on payment(s) made to the entity or individual.

- Individuals — Certification of Residency:**  
I am a resident of California and I reside at the address shown above. If I become a nonresident at any time, I will promptly notify the withholding agent. See instructions for General Information D, Definitions.
- Corporations:**  
The corporation has a permanent place of business in California at the address shown above or is qualified through the California Secretary of State (SOS) to do business in California. The corporation will file a California tax return. If this corporation ceases to have a permanent place of business in California or ceases to do any of the above, I will promptly notify the withholding agent. See instructions for General Information D, Definitions.
- Partnerships or Limited Liability Companies (LLCs):**  
The partnership or LLC has a permanent place of business in California at the address shown above or is registered with the California SOS, and is subject to the laws of California. The partnership or LLC will file a California tax return. If the partnership or LLC ceases to do any of the above, I will promptly inform the withholding agent. For withholding purposes, a limited liability partnership (LLP) is treated like any other partnership.
- Tax-Exempt Entities:**  
The entity is exempt from tax under California Revenue and Taxation Code (R&TC) Section 23701 \_\_\_\_\_ (insert letter) or Internal Revenue Code Section 501(c) \_\_\_\_\_ (insert number). If this entity ceases to be exempt from tax, I will promptly notify the withholding agent. Individuals cannot be tax-exempt entities.
- Insurance Companies, Individual Retirement Arrangements (IRAs), or Qualified Pension/Profit-Sharing Plans:**  
The entity is an insurance company, IRA, or a federally qualified pension or profit-sharing plan.
- California Trusts:**  
At least one trustee and one noncontingent beneficiary of the above-named trust is a California resident. The trust will file a California fiduciary tax return. If the trustee or noncontingent beneficiary becomes a nonresident at any time, I will promptly notify the withholding agent.
- Estates — Certification of Residency of Deceased Person:**  
I am the executor of the above-named person's estate or trust. The decedent was a California resident at the time of death. The estate will file a California fiduciary tax return.
- Nonmilitary Spouse of a Military Servicemember:**  
I am a nonmilitary spouse of a military servicemember and I meet the Military Spouse Residency Relief Act (MSRRA) requirements. See instructions for General Information E, MSRRA.

### CERTIFICATE OF PAYEE: Payee must complete and sign below.

To learn about your privacy rights, how we may use your information, and the consequences for not providing the requested information, go to [ftb.ca.gov/forms](http://ftb.ca.gov/forms) and search for 1131. To request this notice by mail, call 800.852.5711.

Under penalties of perjury, I declare that I have examined the information on this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. I further declare under penalties of perjury that if the facts upon which this form are based change, I will promptly notify the withholding agent.

Type or print payee's name and title \_\_\_\_\_ Telephone (\_\_\_\_) \_\_\_\_\_

Payee's signature ► \_\_\_\_\_ Date \_\_\_\_\_

# 2017 Instructions for Form 590

## Withholding Exemption Certificate

References in these instructions are to the California Revenue and Taxation Code (R&TC).

### General Information

**Registered Domestic Partners (RDP)** – For purposes of California income tax, references to a spouse, husband, or wife also refer to a Registered Domestic Partner (RDP) unless otherwise specified. For more information on RDPs, get FTB Pub. 737, Tax Information for Registered Domestic Partners.

### A Purpose

Use Form 590, Withholding Exemption Certificate, to certify an exemption from nonresident withholding.

Form 590 does not apply to payments of backup withholding. For more information, go to [ftb.ca.gov](http://ftb.ca.gov) and search for **backup withholding**.

Form 590 does not apply to payments for wages to employees. Wage withholding is administered by the California Employment Development Department (EDD). For more information, go to [edd.ca.gov](http://edd.ca.gov) or call 888.745.3886.

**Do not** use Form 590 to certify an exemption from withholding if you are a **Seller of California real estate**. Sellers of California real estate use Form 593-C, Real Estate Withholding Certificate, to claim an exemption from the real estate withholding requirement.

**The following are excluded from withholding and completing this form:**

- The United States and any of its agencies or instrumentalities.
- A state, a possession of the United States, the District of Columbia, or any of its political subdivisions or instrumentalities.
- A foreign government or any of its political subdivisions, agencies, or instrumentalities.

### B Income Subject to Withholding

California Revenue and Taxation Code (R&TC) Section 18662 requires withholding of income or franchise tax on payments of California source income made to nonresidents of California.

Withholding is required on the following, but is not limited to:

- Payments to nonresidents for services rendered in California.
- Distributions of California source income made to domestic nonresident partners, members, and S corporation shareholders and allocations of California source income made to foreign partners and members.
- Payments to nonresidents for rents if the payments are made in the course of the withholding agent's business.
- Payments to nonresidents for royalties from activities sourced to California.

- Distributions of California source income to nonresident beneficiaries from an estate or trust.
- Endorsement payments received for services performed in California.
- Prizes and winnings received by nonresidents for contests in California.

However, withholding is optional if the total payments of California source income are \$1,500 or less during the calendar year.

For more information on withholding get FTB Pub. 1017, Resident and Nonresident Withholding Guidelines. To get a withholding publication, see Additional Information.

### C Who Certifies this Form

Form 590 is certified by the payee. California residents or entities exempt from the withholding requirement should complete Form 590 and submit it to the withholding agent before payment is made. The withholding agent is then relieved of the withholding requirements if the agent relies in good faith on a completed and signed Form 590 unless notified by the Franchise Tax Board (FTB) that the form should not be relied upon.

An incomplete certificate is invalid and the withholding agent should not accept it. If the withholding agent receives an incomplete certificate, the withholding agent is required to withhold tax on payments made to the payee until a valid certificate is received. In lieu of a completed exemption certificate, the withholding agent may accept a letter from the payee as a substitute explaining why they are not subject to withholding. The letter must contain all the information required on the certificate in similar language, including the under penalty of perjury statement and the payee's taxpayer identification number (TIN). The withholding agent must retain a copy of the certificate or substitute for at least five years after the last payment to which the certificate applies, and provide it upon request to the FTB.

If an entertainer (or the entertainer's business entity) is paid for a performance, the entertainer's information must be provided. **Do not** submit the entertainer's agent or promoter information.

The grantor of a grantor trust shall be treated as the payee for withholding purposes. Therefore, if the payee is a grantor trust and one or more of the grantors is a nonresident, withholding is required. If all of the grantors on the trust are residents, no withholding is required. Resident grantors can check the box on Form 590 labeled "Individuals — Certification of Residency."

### D Definitions

For California nonwage withholding purposes, **nonresident** includes all of the following:

- Individuals who are not residents of California.
- Corporations not qualified through the California Secretary of State (CA SOS) to do business in California or having no permanent place of business in California.
- Partnerships or limited liability companies (LLCs) with no permanent place of business in California.
- Any trust without a resident grantor, beneficiary, or trustee, or estates where the decedent was not a California resident.

Foreign refers to non-U.S.

For more information about determining resident status, get FTB Pub. 1031, Guidelines for Determining Resident Status. Military servicemembers have special rules for residency. For more information, get FTB Pub. 1032, Tax Information for Military Personnel.

#### Permanent Place of Business:

A corporation has a permanent place of business in California if it is organized and existing under the laws of California or it has qualified through the CA SOS to transact intrastate business. A corporation that has not qualified to transact intrastate business (e.g., a corporation engaged exclusively in interstate commerce) will be considered as having a permanent place of business in California only if it maintains a permanent office in California that is permanently staffed by its employees.

### E Military Spouse Residency Relief Act (MSRRA)

Generally, for tax purposes you are considered to maintain your existing residence or domicile. If a military servicemember and nonmilitary spouse have the same state of domicile, the MSRRA provides:

- A spouse shall not be deemed to have lost a residence or domicile in any state solely by reason of being absent to be with the servicemember serving in compliance with military orders.
- A spouse shall not be deemed to have acquired a residence or domicile in any other state solely by reason of being there to be with the servicemember serving in compliance with military orders.

**Domicile** is defined as the one place:

- Where you maintain a true, fixed, and permanent home.
- To which you intend to return whenever you are absent.

A military servicemember's nonmilitary spouse is considered a nonresident for tax purposes if the servicemember and spouse have the same domicile outside of California and the spouse is in California solely to be with the servicemember who is serving in compliance with Permanent Change of Station orders.

California may require nonmilitary spouses of military servicemembers to provide proof that they meet the criteria for California personal income tax exemption as set forth in the MSRRA.

Income of a military servicemember's nonmilitary spouse for services performed in California is not California source income subject to state tax if the spouse is in California to be with the servicemember serving in compliance with military orders, and the servicemember and spouse have the same domicile in a state other than California.

For additional information or assistance in determining whether the applicant meets the MSRRA requirements, get FTB Pub. 1032.

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## Specific Instructions

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### Payee Instructions

Enter the withholding agent's name.

Enter the payee's information, including the TIN and check the appropriate TIN box.

You must provide a valid TIN as requested on this form. The following are acceptable TINs: social security number (SSN); individual taxpayer identification number (ITIN); federal employer identification number (FEIN); California corporation number (CA Corp no.); or CA SOS file number.

**Private Mail Box (PMB)** – Include the PMB in the address field. Write "PMB" first, then the box number. Example: 111 Main Street PMB 123.

**Foreign Address** – Follow the country's practice for entering the city, county, province, state, country, and postal code, as applicable, in the appropriate boxes. **Do not** abbreviate the country name.

**Exemption Reason** – Check the box that reflects the reason why the payee is exempt from the California income tax withholding requirement.

### Withholding Agent Instructions

**Do not** send this form to the FTB. The withholding agent retains this form for a minimum of five years or until the payee's status changes, and must provide this form to the FTB upon request.

The payee must notify the withholding agent if any of the following situations occur:

- The individual payee becomes a nonresident.
- The corporation ceases to have a permanent place of business in California or ceases to be qualified to do business in California.

- The partnership ceases to have a permanent place of business in California.
- The LLC ceases to have a permanent place of business in California.
- The tax-exempt entity loses its tax-exempt status.

If any of these situations occur, then withholding may be required. For more information, get Form 592, Resident and Nonresident Withholding Statement, Form 592-B, Resident and Nonresident Withholding Tax Statement, and Form 592-V, Payment Voucher for Resident and Nonresident Withholding.

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## Additional Information

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**Website:** For more information go to [ftb.ca.gov](http://ftb.ca.gov) and search for **nonwage**.

**MyFTB** offers secure online tax account information and services. For more information and to register, go to [ftb.ca.gov](http://ftb.ca.gov) and search for **myftb**.

**Telephone:** 888.792.4900 or 916.845.4900, Withholding Services and Compliance phone service

**Fax:** 916.845.9512

**Mail:** WITHHOLDING SERVICES AND COMPLIANCE MS F182  
FRANCHISE TAX BOARD  
PO BOX 942867  
SACRAMENTO CA 94267-0651

For questions unrelated to withholding, or to download, view, and print California tax forms and publications, or to access the TTY/TDD numbers, see the information below.

### Internet and Telephone Assistance

**Website:** [ftb.ca.gov](http://ftb.ca.gov)

**Telephone:** 800.852.5711 from within the United States  
916.845.6500 from outside the United States

**TTY/TDD:** 800.822.6268 for persons with hearing or speech impairments

### Asistencia Por Internet y Teléfono

**Sitio web:** [ftb.ca.gov](http://ftb.ca.gov)

**Teléfono:** 800.852.5711 dentro de los Estados Unidos  
916.845.6500 fuera de los Estados Unidos

**TTY/TDD:** 800.822.6268 para personas con discapacidades auditivas o de habla

## **Certification Regarding Debarment, Suspension, and Other Responsibility Matters**

The prospective participant certifies to the best of its knowledge and belief that it and the principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three year period preceding this proposal been convicted of or had a civil judgement rendered against them or commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction: violation of Federal or State antitrust statute or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

I understand that a false statement on this certification may be grounds for rejection of this proposal or termination of the award. In addition, under 18 USC Sec. 1001, a false statement may result in a fine of up to \$10,000 or imprisonment for up to 5 years, or both.

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Typed Name & Title of Authorized Representative

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Signature of Authorized Representative Date

I am unable to certify to the above statements. My explanation is attached.



## CAMPAIGN CONTRIBUTIONS DISCLOSURE

In accordance with California law, bidders and contracting parties are required to disclose, at the time the application is filed, information relating to any campaign contributions made to South Coast Air Quality Management District (SCAQMD) Board Members or members/alternates of the MSRC, including: the name of the party making the contribution (which includes any parent, subsidiary or otherwise related business entity, as defined below), the amount of the contribution, and the date the contribution was made. 2 C.C.R. §18438.8(b).

California law prohibits a party, or an agent, from making campaign contributions to SCAQMD Governing Board Members or members/alternates of the Mobile Source Air Pollution Reduction Review Committee (MSRC) of more than \$250 while their contract or permit is pending before SCAQMD; and further prohibits a campaign contribution from being made for three (3) months following the date of the final decision by the Governing Board or the MSRC on a donor’s contract or permit. Gov’t Code §84308(d). For purposes of reaching the \$250 limit, the campaign contributions of the bidder or contractor plus contributions by its parents, affiliates, and related companies of the contractor or bidder are added together. 2 C.C.R. §18438.5.

In addition, SCAQMD Board Members or members/alternates of the MSRC must abstain from voting on a contract or permit if they have received a campaign contribution from a party or participant to the proceeding, or agent, totaling more than \$250 in the 12-month period prior to the consideration of the item by the Governing Board or the MSRC. Gov’t Code §84308(c).

The list of current SCAQMD Governing Board Members can be found at SCAQMD website ([www.aqmd.gov](http://www.aqmd.gov)). The list of current MSRC members/alternates can be found at the MSRC website (<http://www.cleantransportationfunding.org>).

### **SECTION I.**

**Contractor (Legal Name):** \_\_\_\_\_

DBA, Name _____, County Filed in _____ _____ Corporation, ID No. _____ LLC/LLP, ID No. _____
---

**List any parent, subsidiaries, or otherwise affiliated business entities of Contractor:**  
*(See definition below).*

\_\_\_\_\_  
\_\_\_\_\_

### **SECTION II.**

Has Contractor and/or any parent, subsidiary, or affiliated company, or agent thereof, made a campaign contribution(s) totaling \$250 or more in the aggregate to a current member of the South Coast Air Quality Management Governing Board or member/alternate of the MSRC in the 12 months preceding the date of execution of this disclosure?

Yes     No    **If YES, complete Section II below and then sign and date the form. If NO, sign and date below. Include this form with your submittal.**

**Campaign Contributions Disclosure, *continued*:**

Name of Contributor \_\_\_\_\_

_____	_____	_____
Governing Board Member or MSRC Member/Alternate	Amount of Contribution	Date of Contribution

Name of Contributor \_\_\_\_\_

_____	_____	_____
Governing Board Member or MSRC Member/Alternate	Amount of Contribution	Date of Contribution

Name of Contributor \_\_\_\_\_

_____	_____	_____
Governing Board Member or MSRC Member/Alternate	Amount of Contribution	Date of Contribution

Name of Contributor \_\_\_\_\_

_____	_____	_____
Governing Board Member or MSRC Member/Alternate	Amount of Contribution	Date of Contribution

**I declare the foregoing disclosures to be true and correct.**

By: \_\_\_\_\_

Title: \_\_\_\_\_

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



## DEFINITIONS

### Parent, Subsidiary, or Otherwise Related Business Entity (2 Cal. Code of Regs., §18703.1(d).)

- (1) Parent subsidiary. A parent subsidiary relationship exists when one corporation directly or indirectly owns shares possessing more than 50 percent of the voting power of another corporation.
- (2) Otherwise related business entity. Business entities, including corporations, partnerships, joint ventures and any other organizations and enterprises operated for profit, which do not have a parent subsidiary relationship are otherwise related if any one of the following three tests is met:
  - (A) One business entity has a controlling ownership interest in the other business entity.
  - (B) There is shared management and control between the entities. In determining whether there is shared management and control, consideration should be given to the following factors:
    - (i) The same person or substantially the same person owns and manages the two entities;
    - (ii) There are common or commingled funds or assets;
    - (iii) The business entities share the use of the same offices or employees, or otherwise share activities, resources or personnel on a regular basis;
    - (iv) There is otherwise a regular and close working relationship between the entities; or
  - (C) A controlling owner (50% or greater interest as a shareholder or as a general partner) in one entity also is a controlling owner in the other entity.



# South Coast Air Quality Management District

21865 Copley Drive, Diamond Bar, CA 91765-4178  
(909) 396-2000 • [www.aqmd.gov](http://www.aqmd.gov)

**STEP 1: Please check all the appropriate boxes**

- |  |  |
|--|--|
| <input type="checkbox"/> Individual (Employee, Governing Board Member) | <input type="checkbox"/> New Request           |
| <input type="checkbox"/> Vendor/Contractor                             | <input type="checkbox"/> Cancel Direct Deposit |
| <input type="checkbox"/> Changed Information                           |  |

**STEP 2: Payee Information**

Last Name		First Name		Middle Initial	Title
Vendor/Contractor Business Name (if applicable)					
Address				Apartment or P.O. Box Number	
City		State	Zip	Country	
Taxpayer ID Number		Telephone Number		Email Address	

**Authorization**

- I authorize South Coast Air Quality Management District (SCAQMD) to direct deposit funds to my account in the financial institution as indicated below. I understand that the authorization may be rejected or discontinued by SCAQMD at any time. If any of the above information changes, I will promptly complete a new authorization agreement. If the direct deposit is not stopped before closing an account, funds payable to me will be returned to SCAQMD for distribution. This will delay my payment.
- This authorization remains in effect until SCAQMD receives written notification of changes or cancellation from you.
- I hereby release and hold harmless SCAQMD for any claims or liability to pay for any losses or costs related to insufficient fund transactions that result from failure within the Automated Clearing House network to correctly and timely deposit monies into my account.

**STEP 3:**

You must verify that your bank is a member of an Automated Clearing House (ACH). Failure to do so could delay the processing of your payment. You must attach a voided check or have your bank complete the bank information and the account holder must sign below.

**To be Completed by your Bank**

<b>Staple Voided Check Here</b>	Name of Bank/Institution				
	Account Holder Name(s)				
	<input type="checkbox"/> Saving <input type="checkbox"/> Checking	Account Number		Routing Number	
	Bank Representative Printed Name		Bank Representative Signature		Date
	ACCOUNT HOLDER SIGNATURE:				Date

For SCAQMD Use Only

Input By \_\_\_\_\_

Date \_\_\_\_\_

# ATTACHMENT C

## Human Subjects Information Form

### Basic Information

1. Principal Investigator(s):  
\_\_\_\_\_
2. Study Title: \_\_\_\_\_
3. Does this study qualify under any of the Federal exemptions for human subjects research? Yes No
  - a. If **Yes**, Select the Exemption Number:  
1 2 3 4 5 6 7  
More information on Federal Exemptions can be found here:  
<https://humansubjects.nih.gov/sites/hs/pdf/HS-Scenarios-for-Forms-E.pdf>

### Study Population Characteristics

4. Conditions or Focus of Study:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
5. Eligibility Criteria (describe):  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
6. Age Minimum: \_\_\_\_\_ and Maximum: \_\_\_\_\_

### Protection Plan

7. Protection of Human Subjects (**Attach Plan, per instructions in Section 3.1 here:**  
<https://grants.nih.gov/grants/how-to-apply-application-guide/forms-general/g.500-phs-human-subjects-and-clinical-trials-information.htm#3.1>)

### Protocol Synopsis

8. Brief summary of study protocol:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

---

---

9. Study design:

---

---

---

---

---

---

10. Primary purpose of study (Check one)

Treatment

Prevention

Diagnostics

Supportive Care

Screening

Health Services Research

Basic Science

Device Feasibility

Other, Specify: [Click here to enter text.](#)

## ATTACHMENT D

### PARTICIPATION IN THE PROCUREMENT PROCESS

A. It is the policy of South Coast Air Quality Management District (SCAQMD) to ensure that all businesses including minority business enterprises, women business enterprises, disabled veteran business enterprises and small businesses have a fair and equitable opportunity to compete for and participate in SCAQMD contracts.

B. Definitions:

The definition of minority, women or disadvantaged business enterprises set forth below is included for purposes of determining compliance with the affirmative steps requirement described in Paragraph G below on procurements funded in whole or in part with federal grant funds which involve the use of subcontractors. The definition provided for disabled veteran business enterprise, local business, small business enterprise, low-emission vehicle business and off-peak hours delivery business are provided for purposes of determining eligibility for point or cost considerations in the evaluation process.

1. "Women business enterprise" (WBE) as used in this policy means a business enterprise that meets all of the following criteria:
  - a. a business that is at least 51 percent owned by one or more women, or in the case of any business whose stock is publicly held, at least 51 percent of the stock is owned by one or more women.
  - b. a business whose management and daily business operations are controlled by one or more women.
  - c. a business which is a sole proprietorship, corporation, or partnership with its primary headquarters office located in the United States, which is not a branch or subsidiary of a foreign corporation, foreign firm, or other foreign-based business.
2. "Disabled veteran" as used in this policy is a United States military, naval, or air service veteran with at least 10 percent service-connected disability who is a resident of California.
3. "Disabled veteran business enterprise" (DVBE) as used in this policy means a business enterprise that meets all of the following criteria:
  - a. is a sole proprietorship or partnership of which at least 51 percent is owned by one or more disabled veterans or, in the case of a publicly owned business, at least 51 percent of its stock is owned by one or more disabled veterans; a subsidiary which is wholly owned by a parent corporation but only if at least 51 percent of the voting stock of the parent corporation is

- owned by one or more disabled veterans; or a joint venture in which at least 51 percent of the joint venture's management and control and earnings are held by one or more disabled veterans.
- b. the management and control of the daily business operations are by one or more disabled veterans. The disabled veterans who exercise management and control are not required to be the same disabled veterans as the owners of the business.
  - c. is a sole proprietorship, corporation, or partnership with its primary headquarters office located in the United States, which is not a branch or subsidiary of a foreign corporation, firm, or other foreign-based business.
4. "Local business" as used in this policy means a company that has an ongoing business within geographical boundaries of SCAQMD at the time of bid or proposal submittal and performs 90% of the work related to the contract within the geographical boundaries of SCAQMD and satisfies the requirements of subparagraph H below. Proposals for legislative representation, such as in Sacramento, California or Washington D.C. are not eligible for local business incentive points.
5. "Small business" as used in this policy means a business that meets the following criteria:
- b. 1) an independently owned and operated business; 2) not dominant in its field of operation; 3) together with affiliates is either:
    - A service, construction, or non-manufacturer with 100 or fewer employees, and average annual gross receipts of ten million dollars (\$10,000,000) or less over the previous three years, or
    - A manufacturer with 100 or fewer employees.
  - c. Manufacturer means a business that is both of the following:
    - 3) Primarily engaged in the chemical or mechanical transformation of raw materials or processed substances into new products.
    - 4) Classified between Codes 311000 and 339000, inclusive, of the North American Industrial Classification System (NAICS) Manual published by the United States Office of Management and Budget, 2007 edition.
6. "Joint ventures" as defined in this policy pertaining to certification means that one party to the joint venture is a DVBE or small business and owns at least 51 percent of the joint venture.

7. "Low-Emission Vehicle Business" as used in this policy means a company or contractor that uses low-emission vehicles in conducting deliveries to SCAQMD. Low-emission vehicles include vehicles powered by electric, compressed natural gas (CNG), liquefied natural gas (LNG), liquefied petroleum gas (LPG), ethanol, methanol, hydrogen and diesel retrofitted with particulate matter (PM) traps.
8. "Off-Peak Hours Delivery Business" as used in this policy means a company or contractor that commits to conducting deliveries to SCAQMD during off-peak traffic hours defined as between 10:00 a.m. and 3:00 p.m.
9. "Benefits Incentive Business" as used in this policy means a company or contractor that provides janitorial, security guard or landscaping services to SCAQMD and commits to providing employee health benefits (as defined below in Section VIII.D.2.d) for full time workers with affordable deductible and co-payment terms.
10. "Minority Business Enterprise" as used in this policy means a business that is at least 51 percent owned by one or more minority person(s), or in the case of any business whose stock is publicly held, at least 51 percent of the stock is owned by one or more or minority persons.
  - a. a business whose management and daily business operations are controlled by one or more minority persons.
  - b. a business which is a sole proprietorship, corporation, or partnership with its primary headquarters office located in the United States, which is not a branch or subsidiary of a foreign corporation, foreign firm, or other foreign-based business.
  - d. "Minority person" for purposes of this policy, means a Black American, Hispanic American, Native-American (including American Indian, Eskimo, Aleut, and Native Hawaiian), Asian-Indian (including a person whose origins are from India, Pakistan, and Bangladesh), Asian-Pacific-American (including a person whose origins are from Japan, China, the Philippines, Vietnam, Korea, Samoa, Guam, the United States Trust Territories of the Pacific, Northern Marianas, Laos, Cambodia, and Taiwan).
11. "Most Favored Customer" as used in this policy means that the SCAQMD will receive at least as favorable pricing, warranties, conditions, benefits and terms as other customers or clients making similar purchases or receiving similar services.
12. "Disadvantaged Business Enterprise" as used in this policy means a business that is an entity owned and/or controlled by a socially and economically disadvantaged individual(s) as described by Title X of the Clean Air Act

Amendments of 1990 (42 U.S.C. 7601 note) (10% statute), and Public Law 102-389 (42 U.S.C. 4370d)(8% statute), respectively;  
a Small Business Enterprise (SBE);  
a Small Business in a Rural Area (SBRA);  
a Labor Surplus Area Firm (LSAF); or  
a Historically Underutilized Business (HUB) Zone Small Business Concern, or a concern under a successor program.

- C. Under Request for Quotations (RFQ), DVBEs, DVBE business joint ventures, small businesses, and small business joint ventures shall be granted a preference in an amount equal to 5% of the lowest cost responsive bid. Low-Emission Vehicle Businesses shall be granted a preference in an amount equal to 5 percent of the lowest cost responsive bid. Off-Peak Hours Delivery Businesses shall be granted a preference in an amount equal to 2 percent of the lowest cost responsive bid. Local businesses (if the procurement is not funded in whole or in part by federal grant funds) shall be granted a preference in an amount equal to 2% of the lowest cost responsive bid. Businesses offering Most Favored Customer status shall be granted a preference in an amount equal to 2 percent of the lowest cost responsive bid.
- D. Under Request for Proposals, DVBEs, DVBE joint ventures, small businesses, and small business joint ventures shall be awarded ten (10) points in the evaluation process. A non-DVBE or large business shall receive seven (7) points for subcontracting at least twenty-five (25%) of the total contract value to a DVBE and/or small business. Low-Emission Vehicle Businesses shall be awarded five (5) points in the evaluation process. On procurements which are not funded in whole or in part by federal grant funds local businesses shall receive five (5) points. Off-Peak Hours Delivery Businesses shall be awarded two (2) points in the evaluation process. Businesses offering Most Favored Customer status shall be awarded two (2) points in the evaluation process.
- E. SCAQMD will ensure that discrimination in the award and performance of contracts does not occur on the basis of race, color, sex, national origin, marital status, sexual preference, creed, ancestry, medical condition, or retaliation for having filed a discrimination complaint in the performance of SCAQMD contractual obligations.
- F. SCAQMD requires Contractor to be in compliance with all state and federal laws and regulations with respect to its employees throughout the term of any awarded contract, including state minimum wage laws and OSHA requirements.
- G. When contracts are funded in whole or in part by federal funds, and if subcontracts are to be let, the Contractor must comply with the following, evidencing a good faith effort to solicit disadvantaged businesses. Contractor shall submit a certification signed by an authorized official affirming its status as a MBE or WBE, as applicable, at the time of contract execution. SCAQMD reserves the right to request documentation demonstrating compliance with the following good faith efforts prior to contract execution.
  - 1. Ensure Disadvantaged Business Enterprises (DBEs) are made aware of contracting opportunities to the fullest extent practicable through outreach and recruitment activities. For Indian Tribal, State and Local



Government recipients, this will include placing DBEs on solicitation lists and soliciting them whenever they are potential sources.

2. Make information on forthcoming opportunities available to DBEs and arrange time frames for contracts and establish delivery schedules, where the requirements permit, in a way that encourages and facilitates participation by DBEs in the competitive process. This includes, whenever possible, posting solicitations for bids or proposals for a minimum of 30 calendar days before the bid or proposal closing date.
  3. Consider in the contracting process whether firms competing for large contracts could subcontract with DBEs. For Indian Tribal, State and Local Government recipients, this will include dividing total requirements when economically feasible into smaller tasks or quantities to permit maximum participation by DBEs in the competitive process.
  4. Encourage contracting with a consortium of DBEs when a contract is too large for one of these firms to handle individually.
  5. Using the services and assistance of the Small Business Administration and the Minority Business Development Agency of the Department of Commerce.
  6. If the prime contractor awards subcontracts, require the prime contractor to take the above steps.
- H. To the extent that any conflict exists between this policy and any requirements imposed by federal and state law relating to participation in a contract by a certified MBE/WBE/DVBE as a condition of receipt of federal or state funds, the federal or state requirements shall prevail.
- I. When contracts are not funded in whole or in part by federal grant funds, a local business preference will be awarded. For such contracts that involve the purchase of commercial off-the-shelf products, local business preference will be given to suppliers or distributors of commercial off-the-shelf products who maintain an ongoing business within the geographical boundaries of SCAQMD. However, if the subject matter of the RFP or RFQ calls for the fabrication or manufacture of custom products, only companies performing 90% of the manufacturing or fabrication effort within the geographical boundaries of SCAQMD shall be entitled to the local business preference. Proposals for legislative representation, such as in Sacramento, California or Washington D.C. are not eligible for local business incentive points.
- J. In compliance with federal fair share requirements set forth in 40 CFR Part 33, SCAQMD shall establish a fair share goal annually for expenditures with federal funds covered by its procurement policy.

Item 10

DRAFT

BOARD MEETING DATE: November 9, 2018

AGENDA NO.

PROPOSAL: Amend Contracts for Legislative Representation in Sacramento, California

SYNOPSIS: The current contracts for legislative representation in Sacramento expire on December 31, 2018 for The Quintana Cruz Company, Joe A. Gonsalves & Son, and California Advisors, LLC. Based upon the firms' effective performance during the first year of their current contracts, this action is to approve the first one-year extension of the contract with The Quintana Cruz Company in the amount of \$103,500; Joe A. Gonsalves & Son in the amount of \$143,000; and California Advisors, LLC in the amount of \$103,500 for legislative lobbying services in Sacramento for Calendar Year 2019. Sufficient funding is available in the Legislative, Public Affairs & Media FY 2018-19 Budget.

COMMITTEE: Administrative, October 12, 2018; Recommended for Approval

RECOMMENDED ACTIONS:

1. Approve a one-year extension of the contract with The Quintana Cruz Company at the current contract amount of \$103,500;
2. Approve a one-year extension of the contract with Joe A. Gonsalves & Son at the current contract amount of \$143,000; and
3. Approve a one-year extension of the contract with California Advisors, LLC at the current contract amount of \$103,500.

Wayne Nastri  
Executive Officer

DJA:PC:jns

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**Background**

As a leading air quality agency in California and an innovative leader in developing emission reduction programs, SCAQMD is an important contributor to the policy discussions in Sacramento. It is important to ensure that SCAQMD's input continues to be conveyed in a timely and meaningful manner, and that SCAQMD is involved in the day-to-day policy discussions in Sacramento that promote cleaner air, both through

policy development and adequate funding. Therefore, it is appropriate to continue direct representation in Sacramento to advance Board policy priorities and SCAQMD programs.

In 2018, the lobbying firms of The Quintana Cruz Company, Joe A. Gonsalves & Son, and California Advisors, LLC professionally represented the SCAQMD in Sacramento and performed at a very high level.

SCAQMD has benefited from its continued association with The Quintana Cruz Company. The firm's Principal, David Quintana, has a professional history which spans over 19 years, with extensive expertise in a wide range of issue areas. Mr. Quintana served as a Legislative Director in the State Senate and as a Consultant for the Senate Committee on Public Safety. He has extensive experience in numerous sectors, including environmental, energy, tribal issues, labor, finance, education, and high-tech/social media. He currently specializes in legislative advocacy on transportation, environmental, and energy issues. Mr. Quintana is able to employ effective strategies that fit SCAQMD's needs. Consequently, his firm has special capabilities that will help ensure that SCAQMD's efforts with regard to the California Legislature and others are the most effective to garner support for SCAQMD's funding and policy needs for the 2016 AQMP.

Joe A. Gonsalves & Son is a Sacramento lobbying firm with decades of experience and strong ties to legislators on both sides of the aisle, as well as many cities throughout the state, including several within SCAQMD's jurisdiction. With over 30 years of experience, the firm's principals are well-respected and knowledgeable on many local and statewide issues. They also have proven to work well with both Democratic and Republican Governors and their Administrations. During multiple occasions, while representing the SCAQMD, this consulting team has secured for staff and Board members access to legislators and key staff at critical junctures. They consistently demonstrate creativity in providing solutions and alternatives to legislative challenges, to help facilitate SCAQMD's ability to achieve its clean air mission and support the 2016 AQMP.

Will Gonzalez, principal of California Advisors, LLC, has over 16 years of legislative and political experience. In 2002 he established his own firm, Gonzalez Public Affairs, which specialized in legislative advocacy on transportation, environmental, and energy issues and prides itself on its policy expertise and close bipartisan relationships. The firm achieved significant legislative victories for its clients including securing millions in state transportation funding, helping pass sweeping renewable energy laws, and spearheading efforts to reform state procurement. As Legislative Director, he helped secure over \$180 million in state funding for compressed natural gas transit buses and for innovative air quality programs to help the Sacramento region meet its conformity requirements. Upon leaving the legislature, Mr. Gonzalez joined and lobbied on behalf of

a major motor company and the Alliance of Automobile Manufactures in California and twelve other western states. He is credited with securing state grants and tax incentives for electric and alternative fuel vehicles of over \$140 million. With a comprehensive understanding of both politics and policy and an extensive history of successfully representing SCAQMD's policy interests in Sacramento, Mr. Gonzalez is able to effectively represent SCAQMD's needs and policy priorities in Sacramento with the Legislature, Governor and state agencies, as needed. His firm will help ensure that the SCAQMD is effectively represented in Sacramento in a manner that will best garner support for its funding needs and policy priorities.

Throughout the year, the three firms have closely coordinated with SCAQMD and each other to advance the Board's interests and policies. With great effectiveness and in coordination with SCAQMD staff, they have moved the Board's legislative agenda forward by meeting with legislators and staff, testifying in committees, and keeping SCAQMD's Legislative Committee and staff apprised of the latest developments in Sacramento. They have successfully negotiated language with legislative offices and committee staff and, when necessary, worked to have bills and budgetary proposals held in committee or otherwise not move forward if they were detrimental to the Board's legislative/policy positions.

The three firms also worked closely with staff to ensure that we were strategically aware of the policy and political considerations related to legislative proposals. The constant communication among the firms and staff was also essential in ensuring that the correct message was communicated to Sacramento legislators and their staff in a timely fashion. Their diligent efforts and ability to gather and communicate key information in a highly time-sensitive atmosphere were critical to the SCAQMD's interests.

Cumulatively, during the 2018 state legislative year, the three consultant firms skillfully contributed to efforts that led to the following SCAQMD legislative and budgetary successes, including:

- 1) Securing \$245 million in incentive funding from the Greenhouse Gas Reduction Fund to be awarded to local air districts statewide to facilitate co-benefit criteria pollutant emission reductions. These funds will help accelerate the turnover of older medium- and heavy-duty vehicles to cleaner ones, as well as help secure several hundreds of millions of dollars in various pots of clean air-related funding, which SCAQMD will have the opportunity to seek, largely through the grant application process;
- 2) Securing \$50 million in statewide monies for local air districts to fund implementation of community air monitoring systems and community emission reduction programs, mandated by state law [AB 617(Garcia)] in 2017, with a significant portion of those funds being directed to the SCAQMD;

- 3) Securing the passage into law of SB 1502, sponsored by SCAQMD, which sought to modernize outdated and costly public notice requirements, by allowing the use of electronic mail and internet postings for public notice, rather than only mass paper mailings for public hearings, rulemaking processes, and other functions; and
- 4) Blocking a budgetary proposal to divert about \$26 million in revenue per year statewide from a 75 cents per tire fee away from the Carl Moyer Program to the Department of Fish and Wildlife (DFW).

In summary, the three firms forged together to create an efficient and effective consultant team for SCAQMD. Their policy and political insights inform SCAQMD and strengthen its presence, creditability, and ability to support the Board's policy priorities in Sacramento. At this critical point in time, it is important that the momentum and political and stakeholder partnerships continue in the coming year as we continue to work towards successful outcomes pertaining to air quality related legislation and proposals, consistent with SCAQMD's mission and policy goals.

### **Proposal**

The contracts with the three firms expire on December 31, 2018. Staff is highly satisfied with the performance of the three firms and recommends that the Board retain them for Calendar Year 2019.

The present contracts have options for two one-year extensions that may be exercised at the Board's discretion, pursuant to the original RFP. This proposal is to approve the first one-year extension for each of the contracts.

### **Resource Impacts**

The Legislative & Public Affairs Budget for FY 2018-19 contains sufficient funds for legislative advocacy in Sacramento.



# South Coast Air Quality Management District

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## LOCAL GOVERNMENT & SMALL BUSINESS ASSISTANCE ADVISORY GROUP FRIDAY, JULY 13, 2018 MEETING MINUTES

### MEMBERS PRESENT:

Ben Benoit, Mayor Pro Tem, City of Wildomar and LGSBA Chairman  
Felipe Aguirre  
Paul Avila, P.B.A. & Associates  
Geoffrey Blake, Metal Finishers of Southern California  
LaVaughn Daniel, DancoEN  
Bill LaMarr, California Small Business Alliance  
Rita Loof, RadTech International  
Eddie Marquez, Paramount Petroleum  
David Rothbart, Los Angeles County Sanitation District

### MEMBERS ABSENT:

Dr. Clark E. Parker, Sr., Senate Rules Committee Appointee  
Janice Rutherford, Supervisor, Second District, San Bernardino County  
Rachelle Arizmendi, Mayor Pro Tempore, City of Sierra Madre  
Todd Campbell, Clean Energy  
John DeWitt, JE DeWitt, Inc.  
Cynthia Moran, Council Member, City of Chino Hills

### OTHERS PRESENT:

Andrew Silva, San Bernardino County Administrative Office

### SCAQMD STAFF:

Jill Whynot, Chief Operating Officer  
Derrick Alatorre, Deputy Executive Officer  
Jason Low, Ph.D., Assistant Deputy Executive Officer  
Sujata Jain, Assistant Deputy Executive Officer  
Nancy Feldman, Principal Deputy District Counsel  
Naveen Berry, Planning & Rules Manager  
Philip Crabbe, III, Community Relations Manager  
Jo Kay Ghosh, Ph.D., Health Effects Officer  
Payam Pakbin, Ph.D., Program Supervisor  
Lisa Mirisola, Program Supervisor  
De Groeneveld, Sr. Information Technology Specialist  
Elaine-Joy Hills, AQ Inspector II  
Stacy Garcia, Secretary  
Andre Yeung, Student Intern

### **Agenda Item #1 - Call to Order/Opening Remarks**

Chair Ben Benoit called the meeting to order at 11:32 a.m.

### **Agenda Item #2 – Approval of June 8, 2018 Meeting Minutes/Review of Follow-Up/Action Items**

Chair Benoit called for approval of the June 8, 2018 meeting minutes. The minutes were approved unanimously.

### **Agenda Item #3 - Follow Up/Action Items**

Mr. Derrick Alatorre indicated that one action item arose out of the June 8, 2018 meeting, which was Mr. David Rothbart's question about the remaining Emission Reduction Credits (ERCs) at closed facilities. SCAQMD's Engineering & Permitting will provide a presentation in the future to address Mr. Rothbart's question.

### **Agenda Item #4 - Update on Multiple Air Toxics Exposure Study (MATES V)**

Dr. Payam Pakbin presented an update on MATES V.

Ms. Rita Loof asked if the decline in diesel emissions reflects the new guidelines. Dr. Pakbin responded that the MATES III study was reviewed and the new guidelines were used to recalculate the risk estimates.

Mr. Bill LaMarr requested clarification of the benefits gained and calculations. Dr. Jo Kay Ghosh said that it would not matter if the new or old method was used for calculations, the emissions and risks would still decrease. The biggest difference in the Office of Environmental Health Hazard Assessment (OEHHA) risk assessment guidelines was changing the way the calculations were done by taking into account that children are more sensitive than adults. The change resulted in an increase in risks associated with a certain level of diesel emissions and other air toxics emissions. Mr. LaMarr further inquired if the increase in chromium 6 emissions in the previous MATES study was reversed. Dr. Ghosh stated that the 50% decrease in MATES IV was diesel reductions.

Mr. Paul Avila asked if black carbon is factored into the equation after it is burned. Dr. Pakbin responded that black carbon measurements are used to estimate total diesel particulate matter (PM). Diesel PM cannot be measured directly as it is a combination of pollutants.

Mr. Rothbart asked if carcinogens are periodically broken down to see what they are. Dr. Pakbin stated that they look at the PM composition, how it changes, and how the changes affect cancer risk. This PM data is contained in the MATES report.

Ms. Loof asked if the risk reduction would be greater using the old guidelines instead of the new guidelines, to which Dr. Pakbin said that the same methodology is used.

Mr. Avila inquired if black carbon will diminish in the future since technology is improving. Dr. Pakbin responded that reductions in black carbon measurements have been observed. Another source that can cause spikes in black carbon are wildfires. There is also a downward trend of black carbon, and based on the Air Quality Management Plan (AQMP), most of the black carbon come from diesel trucks that are not registered in California and out of SCAQMD jurisdiction. Mr. Avila further inquired if wildfires and dust storms impact the results of the study. Dr. Pakbin said that wildfires will both impact PM<sub>2.5</sub> and criteria pollutants. When estimating diesel PM, carbon needs to be separated from fires. Mr. Avila

asked if the optical tent system would be able to understand data as far as disseminating if there are actual leaks. Dr. Pakbin said that as an area source, the technology is useful to assess the emissions.

Mr. LaMarr asked if there is a schedule for the mobile laboratory. Dr. Pakbin responded that they try to get data at different times of day, but that it has to be done during the daytime.

Ms. LaVaughn Daniel asked what technology can identify contaminants. Dr. Pakbin indicated that the optical tent is measuring benzene, toluene, ethylbenzene, and xylenes (B-TEX). Ms. Daniel asked if the mobile laboratory analyzes samples. Dr. Pakbin replied that they continuously measure pollutants, but require analysis and interpretation. Ms. Daniel then asked about the time and size of an area and how the data gets analyzed. Dr. Pakbin stated that the mobile laboratory will target an area or a specific facility to take several samples.

Ms. Loof inquired about the process to develop guidelines, which sensor technology would be used, and if public comment would be allowed. Dr. Pakbin responded that the first sensor deployment utilizes purple air and black carbon are commercially available; however, VOC sensors are newer technology and not commercially available. Dr. Jason Low indicated we have the AQ-SPEC program, which performs evaluations for all types of low cost sensors to provide to the public. Through the U.S. EPA Star Grant, staff is working with communities and will provide an educational toolbox that will be on our website. Ms. Loof asked, in regards to sensors, if there will be an internal staff process, engaging of the Governing Board, or if a report will be presented to the Board regarding endorsements of the sensors. Dr. Low replied that staff is working with the State to get guidelines on sensors as part of the AB 617 process.

Mr. LaMarr asked if low cost sensors are more accurate at reading PM than VOCs. Dr. Low stated that PM sensors are more corresponding to reference methods. The VOC portion is challenging because there are different gasses that respond to measurement techniques. Mr. LaMarr asked if there will be established protocol and guidelines for people using portable sensors, and if they are just being used for detection purposes. Dr. Low said that they are just being used for detection and if more monitoring is needed, they will do so.

Ms. Daniel asked if the data will be available to public. Dr. Low responded that the plan is to make the data available to the public.

Ms. Loof asked if we are looking for volunteers for community partnerships and if we envision any other rules for non-refinery sources. Dr. Pakbin indicated that the SCAQMD will reach out to community members and the public for volunteers to install sensors in their homes. The SCAQMD is also seeking partnerships with schools that would be interested in installing sensors. As to new rules, Dr. Ghosh referred to the SCAQMD's rule calendar.

Mr. Rothbart suggested more education for the public regarding health risks and what influences those risks, and things people can and cannot control.

Mr. LaMarr asked how staff plans on conducting a needs assessment. Dr. Ghosh responded that it will be community perspective and what is raised as concerns. Mr. LaMarr suggested working with the medical community. Dr. Ghosh stated that we are already working with the medical community, one is the Long Beach Alliance for Children with Asthma, which is part of a hospital. The SCAQMD has been reaching out to public health agencies and cancer registry agencies for collaboration.



#### **Agenda Item #5 - FY 2018-19 General Fund Budget and Fee Adjustment**

Ms. Sujata Jain presented an overview of the General Fund Budget and Fee Adjustment detailing staffing levels, expenditures, and revenues required to maintain current program commitments.

Mr. Avila inquired about the grant scenario for both Federal and State. Ms. Jain indicated that the main State grants are from AB 617, and the SCAQMD generally gets \$7,000,000 from Federal grants. Mr. LaMarr asked if permit costs would eventually go down because more can be done online. Ms. Jain responded that, similar to implementing the online payments, we need to invest money first.

#### **Agenda Item #6 - Commercial Fuel Cell and Electric Battery Vehicles**

Ms. Lisa Mirisola presented an overview of currently available and anticipated fuel cell and battery electric vehicles and incentives.

Mr. Avila asked if the fuel cell battery industry will make the traditional battery industry more efficient because of competition. Ms. Mirisola responded that competition does drive further innovation and that the price of lithium batteries is dropping.

Ms. Loof requested elaboration on the stationary source fee. Ms. Mirisola indicated the fees are used to support stationary fuel projects. Mr. Naveen Berry said some funds are used for distributor generation, powering, and energy efficiency projects for stationary sources. Ms. Loof asked who is paying the fee. Mr. Berry responded that it comes from the annual emissions reporting fee.

Mr. Avila asked what percentage would be extracted from the cost of battery. Mr. Berry said that \$1.00 comes from the registration fee by each car owner which comes from the annual emissions reporting fee.

Mr. Blake asked if there is a possibility of a shortage of battery building materials. Ms. Mirisola said it is something to keep an eye on, but that there are two sources of lithium.

#### **Agenda Item #7 - Monthly Report on Small Business Assistance Activities**

No comments.

#### **Agenda Item #8 - Other Business**

No other business.

#### **Agenda Item #9 - Public Comment**

No comments.

#### **Agenda Item #10 - Next Meeting Date**

The next regular Local Government & Small Business Assistance Advisory Group meeting is scheduled for Friday, September 14, 2018 at 11:30 a.m.

#### **Adjournment**

The meeting adjourned at 1:08 p.m.