

BOARD MEETING DATE: March 6, 2020

AGENDA NO. 3

PROPOSAL: Adopt Resolution Recognizing Funds for FY 2019-20 Carl Moyer Program Award, Issue Program Announcements for Carl Moyer Program and SOON Provision and Transfer Funds for Voucher Incentive Program

SYNOPSIS: These actions are to adopt a Resolution recognizing up to \$37 million in Carl Moyer Program grant funds from CARB with its terms and conditions for FY 2019-20 and issue Program Announcements for “Year 22” of the Carl Moyer Program and SOON Provision to solicit applications for eligible zero and low emitting on- and off-road vehicles and equipment. This action is to also transfer \$3 million from the Carl Moyer Program AB 923 Special Revenue Fund (80) to the Voucher Incentive Program Fund (59) to continue funding truck replacement projects on a first-come, first-served basis.

COMMITTEE: Technology, February 21, 2020; Less than a quorum was present; a concurrence of the staff recommendation will be forwarded to the Board

RECOMMENDED ACTIONS:

1. Adopt the attached Resolution recognizing upon receipt up to \$37 million from CARB into the Carl Moyer Program SB 1107 Fund (32);
2. Issue Program Announcement #PA2020-04 to solicit projects for the FY 2019-20 “Year 22” Carl Moyer Memorial Air Quality Standards Attainment Program;
3. Issue Program Announcement #PA2020-03 to solicit projects for the SOON Provision; and
4. Approve the transfer of \$3 million from the Carl Moyer Program AB 923 Special Revenue Fund (80) to the Voucher Incentive Program Fund (59) to continue funding truck replacement projects on a first-come, first-served basis.

Wayne Nastri
Executive Officer

Background

The Carl Moyer Memorial Air Quality Standards Attainment Program (Carl Moyer Program) and the Surplus Off-Road Opt-in for NOx (SOON) Provision provide funding on an incentive basis for the incremental cost of purchasing cleaner-than-required engines and equipment. The Carl Moyer Program also allows funding for infrastructure projects that enable the deployment of advanced, cleaner technologies, including zero and near-zero emission vehicles, which are needed to support the State's and South Coast AQMD's air quality goals. Both programs are primarily funded with Carl Moyer Program SB 1107 (including additional funds resulting from AB 1274) and AB 923 funds. In previous years, additional funding from the Community Air Protection Program (CAPP) and other grants were used to fund eligible projects submitted through the Carl Moyer Program. This is the 22nd year of the Carl Moyer Program and the 16th year of the SOON Provision with funding from SB 1107 and AB 923. Program Announcements are needed to solicit applications for this year's Carl Moyer Program and SOON Provision.

The Carl Moyer Program On-Road Heavy-Duty Vehicles Voucher Incentive Program (VIP) is a streamlined funding program for small fleets (with 10 or fewer vehicles) to replace older trucks with newer, cleaner models. Since the start of this program in 2009, the South Coast has expended about \$42 million in VIP funds for the replacement of 1,220 older diesel trucks with cleaner, lower-emitting vehicles. Additional funds are needed to transfer to the VIP Fund (59) to continue the successful implementation of this program.

Proposal

These actions are to adopt the attached Resolution recognizing upon receipt up to \$37 million from CARB into the Carl Moyer Program SB 1107 Fund (32) for implementation of the FY 2019-20 "Year 22" Carl Moyer Program. CARB has tentatively allocated \$36,223,063 to the South Coast AQMD for the Carl Moyer Program. Of this amount, \$33,959,122 is designated for project funding and \$2,263,941 for administrative and outreach efforts. In addition, \$5,433,459 is required from the South Coast AQMD as the local match, which will be provided from AB 923 funds.

This action is to also issue Program Announcements #PA2020-04 and #PA2020-03 for the Carl Moyer Program and SOON Provision, respectively. The approximate amounts of available funding for these programs include \$29 million for the Carl Moyer Program and \$5 million for the SOON Provision. In the last three funding cycles of the Carl Moyer Program, the South Coast AQMD received additional funding beyond the Carl Moyer Program allocation of over \$80 million for eligible projects under the Carl Moyer Program. These additional funds were allocated to South Coast AQMD from CAPP Incentives, Carl Moyer Program, State Reserve and the Funding Agricultural Replacement Measures for Emission Reductions (FARMER) Program. At least 87 percent of these funds were awarded to projects that will reduce emissions in

disadvantaged and low-income communities. Staff anticipates receiving additional funds for this year's Carl Moyer Program, which may include funds in support of CAPP projects and the FARMER Program. Staff will provide a detailed account of available and awarded funds for the Carl Moyer Program, including earned interest and returned project funds, AB 923 and any additional sources of funding at the time of awards recommendations.

The Carl Moyer PA will solicit applications from equipment owners for projects that involve the retrofit, repower or replacement of older, in-use on-road vehicles, off-road equipment (including agricultural equipment), locomotives, marine and other heavy-duty vehicles and equipment with cleaner technologies. The Carl Moyer PA will also solicit applications for infrastructure projects that support zero or near-zero emissions vehicles and equipment.

The SOON Provision is designed to achieve additional NOx emission reductions above those that would be obtained from CARB's In-Use Off-Road Diesel-Fueled Fleets Regulation. The SOON Provision PA will solicit projects that involve the retrofit, repower or replacement of off-road vehicles with cleaner technologies. As in previous years, South Coast AQMD will only fund diesel-to-diesel applications when alternative fuel engines/vehicles are not commercially available or certified by CARB, except for emergency vehicles.

The Carl Moyer Program Guidelines approved by CARB on April 27, 2017, and any subsequent updates or changes, will be utilized for the evaluation of projects submitted under the "Year 22" Carl Moyer and SOON Provision PAs. Applicants will be able to submit their applications for both the Carl Moyer Program and SOON Provision online. Proposals for all categories will be due by 1:00 pm on Tuesday, June 2, 2020. Staff expects to finalize the review and evaluation of the proposals and recommend awards for Board consideration at the October 2020 Board meeting. The Carl Moyer Program and SOON Provision PAs are attached.

Finally, this action is to approve the transfer of \$3 million from the Carl Moyer Program AB 923 Special Revenue Fund (80) to the Voucher Incentive Program Fund (59) to continue funding truck replacement projects for small fleets on a first-come, first-served basis.

Funding Distribution

The Carl Moyer Program Guidelines include the requirement that at least 50 percent of the program funds be expended on projects that will reduce emissions in disproportionately impacted areas, with the allowance for air districts to track this on a cumulative basis. At least half of the funding allocated under SB 1107 and collected under AB 923 will be awarded to projects in disproportionately impacted areas. The Carl Moyer Guidelines also require that at least 50 percent of all funding available for

the Carl Moyer Program and the SOON Provision, including roll-over funds from previous years and any returned funds from projects that fall through, be allocated to projects that will reduce emissions in disproportionately impacted areas.

Staff will utilize the latest version of CalEnviroScreen for identification of projects in disadvantaged and/or low-income communities as well as identification of projects that are located within half a mile of a disadvantaged or low-income community, pursuant to the provisions of AB 1550, which in 2016 amended California Climate Investments for disadvantaged communities and established new investment minimums for low-income communities and households. A detailed distribution list of the recommended projects and a description of South Coast AQMD's outreach efforts during the solicitation period will be provided to the Board at the time of the awards recommendations.

Outreach

In accordance with South Coast AQMD's Procurement Policy and Procedure, a public notice advertising the PAs 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 to the South Coast Basin.

Additionally, potential bidders may be notified utilizing South Coast AQMD's own electronic listing of certified minority vendors. Notice of the PAs 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 South Coast AQMD's website (<http://www.aqmd.gov>) where it can be viewed by making menu selection "Grants & Bids."

Program Guidelines

At its July 8, 2005 meeting, the Board approved a long-term Program Guidelines for the implementation of the Carl Moyer Program in the South Coast Air Basin. The proposed funding distribution for different equipment categories in this Board letter is made according to the criteria outlined in that Guideline with emphasis on the following priorities in order to achieve the highest emissions reductions:

- Goods Movement (40 percent allocation);
- Environmental Justice (50 percent allocation);
- Cost-Effectiveness;
- Low Emission Engine/Vehicle Preference;
- Early Commercialization of Advanced Technologies/Fuels;
- Fleet Rules; and
- School Buses.

Benefits to South Coast AQMD

The South Coast AQMD has supported a number of activities directed to the advancement of new technologies that will support progress in meeting air quality goals for the region. The successful implementation of the Carl Moyer Program and the SOON Provision are direct results of these technology advancement activities. The vehicles and equipment funded under these Program Announcements will operate for many years, providing long-term emissions reductions.

Resource Impacts

CARB has tentatively allocated \$36,223,063 to the South Coast AQMD for implementation of the FY 2019-20 “Year 22” Carl Moyer Program. Of this amount, \$33,959,122 is designated for project funding and \$2,263,941 for administrative and outreach efforts. These funds will be recognized into the Carl Moyer Program SB 1107 Fund (32). In addition, \$5,433,459, which will be provided from AB 923 funds, is required as the local match from the South Coast AQMD.

The transfer from the Carl Moyer Program AB 923 Special Revenue Fund (80) to the Voucher Incentive Program Fund (59) will not exceed \$3 million.

Attachments

1. Resolution
2. Carl Moyer Program Announcement #PA2020-04
3. SOON Provision Program Announcement #PA2020-03

RESOLUTION NO. 20-

**A Resolution of the South Coast Air Quality Management District Board
Recognizing Funds and Accepting the Terms and Conditions of the
FY 2019-20 Carl Moyer Grant Award**

WHEREAS, under Health & Safety Code §40400 *et seq.*, the South Coast Air Quality Management District (South Coast AQMD) is the local agency with the primary responsibility for the development, implementation, monitoring and enforcement of air pollution control strategies, clean fuels programs and motor vehicle use reduction measures; and

WHEREAS, the South Coast AQMD is authorized by Health & Safety Code §§40402, 40440, and 40448.5 as well as the Carl Moyer Memorial Air Quality Standards Attainment Program (§44275, *et seq.*) to implement programs to reduce transportation emissions, including programs to encourage the use of alternative fuels and zero and low-emission vehicles; to develop and implement other strategies and measures to reduce air contaminants and achieve the state and federal air quality standards; and

WHEREAS, the Governing Board has adopted several programs to reduce emissions from on-road and off-road vehicles, as well as emissions from other equipment, including the Lower Emission School Bus Program and the Carl Moyer Program; and

WHEREAS, the South Coast AQMD is designated as an extreme non-attainment area for ozone and as such is required to utilize all feasible means to meet national ambient air quality standards.

THEREFORE, BE IT RESOLVED that the Governing Board, in regular session assembled on March 6, 2020, does hereby authorize the Executive Officer to accept the terms and conditions of the FY 2019-20 (Year 22) Carl Moyer Program grant award and recognizes up to \$37 million from CARB to administer and implement the Year 22 Carl Moyer Program.

BE IT FURTHER RESOLVED that the Executive Officer is authorized and directed to take all steps necessary to carry out this Resolution.

Date

Faye Thomas, Clerk of the Boards



2020
CARL MOYER MEMORIAL
AIR QUALITY STANDARDS ATTAINMENT PROGRAM
PROGRAM ANNOUNCEMENT
“Year 22”

SOUTH COAST AQMD PROGRAM ANNOUNCEMENT
PA2020-04

The South Coast Air Quality Management District (South Coast AQMD) is pleased to announce the availability of funds for the Carl Moyer Memorial Air Quality Standards Attainment Program (hereafter “CMP”). The CMP has played a significant role in incentivizing equipment owners to purchase cleaner-than-required engines, vehicles and equipment. This year marks South Coast AQMD’s 22nd year of CMP implementation.

The CMP is intended to obtain “surplus” emission reductions of Nitrogen Oxides (NO_x), Particulate Matter (PM₁₀) and Reactive Organic Gases (ROG) from heavy-duty vehicles and other equipment operating in California as early and as cost-effectively as possible. The CMP provides financial incentives to equipment owners to repower, retrofit or replace in-use heavy-duty vehicles and equipment with cleaner-than-required engine and equipment technologies that will achieve emission reductions that are real, surplus, quantifiable and enforceable.

COMPLIANCE WITH LABOR LAWS

If an application is deemed eligible, the applicant will be required to provide any labor violations that have occurred within the last three years to be further considered for an award. If awarded, the contractor will be required to notify South Coast AQMD in writing if they have been found by a court or federal or state agency to have violated labor laws. The contractor will complete a yearly certification in which they will either state that they have not been found by a court or federal or state agency to have violated labor laws or, if such violations have been found, the contractor will give South Coast AQMD details about those violations in the certification. If the contractor has previously provided that information to the South Coast AQMD, they will be required to reattach that previous notification to the certification and provide any additional details about those violations that have not previously been provided. The contractor’s yearly certification will be due at the same time as the annual progress reports. South Coast AQMD reserves the right to terminate the contract with a contractor that has been found to have violated labor laws, and the contractor may be required to return any and all contract funds, as determined by South Coast AQMD. The contractor will also ensure that these requirements are included in all subcontracts.

SECTION I – OVERVIEW

PURPOSE

The purpose of this Program Announcement (PA) is to solicit project applications for the 2020 Carl Moyer Memorial Air Quality Standards Attainment Program (CMP). **The budget for this PA will be approximately \$34 million from the CMP and AB 923 Funds. The South Coast AQMD expects to receive additional funds for this year’s CMP, which may include funds in support of AB 617-**



Community Air Protection Program and the Funding Agricultural Replacement Measures for Emission Reductions (FARMER) Program.

All applications will be evaluated based on the criteria set forth in this PA, the CMP Guidelines, and any subsequent updates and modifications/advisories to the Guidelines. This PA was prepared based on the latest version of the CMP Guidelines approved by the California Air Resources Board (CARB) on April 27, 2017, which are available online at: <http://www.arb.ca.gov/msprog/moyer/guidelines/current.htm>.

This PA will identify the equipment categories, project options and eligibility criteria to qualify for grant funding under this year's CMP. Any tax obligation associated with an award is the responsibility of the grantee.

The detailed requirements for projects can be found in the CMP Guidelines. Applicants are encouraged to review the CMP Guidelines to confirm eligibility and understand the funding "caps" that may apply to certain types of projects. The South Coast AQMD will conduct workshops that provide additional opportunity for applicants to ask questions and seek clarification. The schedule of workshops is provided below.

In the preparation of this PA, the words "Applicant" and "Contractor" are used interchangeably. South Coast AQMD staff will evaluate all qualified applications and make recommendations to the Governing Board for final selection of project(s) to be funded. All eligible projects will be ranked based on the cost effectiveness of NO_x, PM₁₀ and ROG emissions reduced. Please note that depending upon the number of applications received in response to this PA, South Coast AQMD may prioritize the selection of projects to reduce emissions in and around DAC and low-income communities. While South Coast AQMD encourages all eligible applications, this means that some projects may not be selected based on their domicile address, regardless of their cost-effectiveness ranking.

At least 50 percent of South Coast AQMD's CMP funds will be targeted for projects that meet the criteria of a disadvantaged or low-income community projects. Other non-CMP funding sources may have DAC and/or low-income status requirements that may limit South Coast AQMD's ability to award such funding to projects that do not meet applicable geographic or income requirements. The Office of Environmental Health Hazard Assessment (OEHHA) in the California Environmental Protection Agency (CalEPA) has developed the California Communities Environmental Health Screening Tool: CalEnviroScreen Version 3.0 (CalEnviroScreen 3.0). The CalEnviroScreen 3.0 tool will be used by South Coast AQMD to identify projects that qualify as a DAC, which is defined as scoring in the top 25th percentile, and will strive to maximize the benefits to these communities from this PA. All applications will be assessed with the CalEnviroScreen tool to identify and verify if the project will benefit a DAC. This tool is available at: <https://oehha.ca.gov/calenviroscreen/report/calenviroscreen-30>

Be aware that there is a possibility that due to program priorities, cost effectiveness or funding category limitations (i.e., caps), project applicants may be offered only partial funding, and not all applications that meet the cost-effectiveness criteria may be funded.



FUNDING CATEGORIES

Below are the specific project categories identified for funding under this PA:

- On-Road Heavy-Duty Vehicles, including transit fleet vehicles, drayage trucks, solid waste vehicles, public agency/utility vehicles and emergency vehicles (fire apparatus)
- Off-Road Equipment, including:
 - Marine Engine Repower
 - Shore Power (if project is not subject to CARB's At-Berth Regulation)
 - Construction Equipment
 - Agricultural Mobile Equipment (loaders, tractors, water pulls, etc.)
 - Locomotives
 - Cargo Handling Equipment
- Infrastructure to fuel or power a zero or near zero emission, heavy-duty vehicle or equipment, including but not limited to: on-road heavy-duty vehicles, cargo handling equipment, and marine vessels (shore power).

On-Road Heavy-Duty Vehicles

Below are the key requirements for on-road, heavy-duty vehicle projects:

- Fleets must be fully compliant with all applicable fleet regulations.
- Eligible project types include vehicle replacement and repower/conversion projects; on-road retrofit projects will be considered on a case-by-case basis.
- For on-road vehicles, a project's new engines may not be diesel-fueled (with the exception of Emergency Apparatus).
- Eligible engine model years are from 2007 to 2010 for vehicles subject to the Statewide Truck & Bus Regulation, Drayage Truck Regulation, and Fleet Rule for Public Agencies and Utilities. Only vehicles with a compliance deadline of January 1, 2023 or later are eligible for funding.
- Eligible vehicle types include heavy-duty trucks and buses, transit buses, solid waste collection vehicles, public agency and utility fleet vehicles and emergency vehicles (however, emergency vehicles are only eligible under the replacement project type).
- In addition to the cost-effectiveness limit(s) prescribed by the CMP Guidelines, each vehicle/engine is also subject to a funding cap¹ based on various factors including weight class (i.e., gross vehicle weight rating (GVWR)), vehicle type, and the proposed technology. The maximum grant award will be based on the allowable cost effectiveness and the applicable funding cap(s), whichever is less.
- Projects must include commercially available technologies that are certified or verified by CARB.

Off-Road Heavy-Duty Equipment/Engines

Below are the key requirements for the off-road equipment category:

- Fleets must be fully compliant with all applicable regulations.
- Eligible project types include equipment replacement, engine repower and retrofit devices.
- Eligible equipment types include, but are not limited to, construction equipment, marine engines, shore power, locomotives, agricultural tractors, zero-emission rubber-tired gantry (RTG) cranes and other cargo handling equipment.

¹ Funding caps are provided in Tables 4-2 through 4-7 in the CMP Guidelines.



- Large fleets are no longer eligible for CMP funding after December 31, 2019. However, large fleets that have received prior Carl Moyer Program funding after January 1, 2017, are only eligible for zero-emission project funding.

Infrastructure

Infrastructure projects that enable the deployment of alternative, advanced, and cleaner technologies to support the State's air quality goals are also eligible for CMP funding. Depending upon the number of applications received, the South Coast AQMD may have to limit the available CMP funding that will be allocated to infrastructure projects. Specifically, projects in this category involve the installation of fueling or energy infrastructure that will be used to fuel or power zero or near-zero emission, heavy-duty vehicles or equipment. Infrastructure designed to exclusively fuel or charge light-duty vehicles is not eligible for CMP funding.

Infrastructure projects will be selected on a competitive basis with consideration for location within a disadvantaged or low-income community, renewable fuel source, public access, site availability for the life of the project, fleet commitments to utilize the infrastructure, cost-share and other factors that will determine the level of utilization of the infrastructure. The priority for project selection may change based on technology development/commercialization and requirements of any additional funds that may become available. Infrastructure projects are not subject to a cost-effectiveness limit. Applicants must provide a minimum of two bids from qualified installers for the infrastructure project as part of the application, and if applicable, justification for selection of the higher of the two bids. Applicants shall describe the process used or that will be used to solicit and select the final bid. Infrastructure projects may also require a case by case review by CARB. Applicants must demonstrate that they either own the land on which the project will be located, or control it through a long-term lease, easement or other legal arrangement, for the duration of the project life.

Eligible infrastructure projects include, but are not limited to:

- Battery charging stations: New, conversion of existing, and expansion to existing battery charging stations for heavy-duty vehicles and equipment (not for light-duty vehicles)
- Alternative Fueling Station: New, conversion of existing, or expansion of existing hydrogen or natural gas fueling station for heavy duty vehicles and equipment
- Stationary Agricultural Station: Pump electrification
- Shore Power: Shore-side electrification for projects not subject to CARB's shore power regulation. Only a port authority, terminal operator, or marine vessel owner is eligible for this type of infrastructure project.

A vehicle or equipment project is not required to be submitted as a condition of eligibility for infrastructure funding, however, priority will be given to such projects.

Purchase orders or other purchase commitments to design and install the proposed infrastructure shall not be placed until after the date of award approval by the South Coast AQMD Governing Board. Further, any purchase commitments placed after South Coast AQMD Governing Board approval but in advance of a fully executed contract are placed at the applicant's own risk.



Regulatory Compliance

All applicants must be fully compliant with all applicable regulations in order to be eligible for consideration for CMP funding. Refer to CARB's fleet rule Web pages that provide detailed information on compliance with these regulations. These web links are listed below in Section VI.

GENERAL PROGRAM INFORMATION

The CMP award amount shall not exceed the project's incremental cost, applicable funding caps and/or cost-effectiveness limit(s). The "Step 1" cost-effectiveness limit, \$30,000 per weighted ton of emissions reduced, applies to projects that bring vehicles and equipment up to current standards. The "Step 2" cost-effectiveness limit, \$100,000 per weighted ton of emissions reduced, applies to projects that are zero-emission or meet the cleanest certified optional standard applicable (by source category).

All projects must meet the criteria stated in this PA and the CMP Guidelines in effect at the time of contract execution. A project's cost effectiveness is determined based on the annualized cost of the project and the amount of NOx, ROG and PM10 emission reductions that will be achieved by the project. Project cost effectiveness is currently calculated according to the following formula:

$$\frac{\text{Annualized Cost (\$/year)}}{[\text{NOx reduction} + 20 (\text{combustion PM10 reduction}) + \text{ROG reduction}] (\text{tons/year})}$$

For projects that involve advanced technologies, the cost effectiveness will be calculated using the CMP's two-step calculation approach.²

All projects are expected to be operational within eighteen (18) months of contract execution or by May 20, 2022, whichever is earlier. Some projects may have earlier in-service operational date requirements, if they are subject to CARB regulations.

It is the applicant's responsibility to ensure that the most current information and requirements are reflected in a submitted project application. Applicants should check the CARB website for updates and advisories to the guidelines (www.arb.ca.gov/msprog/moyer/moyer.htm).

In cases of conflict between CARB guidelines and South Coast AQMD criteria, the more stringent criteria will prevail. South Coast AQMD will post any new information and requirements on its CMP Web page at www.aqmd.gov/moyer.

Projects subject to CARB regulations must submit a copy of the most recent CARB compliance report(s) or other documentation that provides South Coast AQMD with clear understanding of the fleet's compliance status.

All emission reductions resulting from funded projects will be credited to the Carl Moyer Program. A grant shall not be made that provides the applicant with funds in excess of the maximum eligible amount, in accordance with CMP guidelines.

² Detailed guidance for the new two-step calculation approach, as well as all CMP emissions reduction and cost effectiveness calculations is available at:

https://www.arb.ca.gov/msprog/moyer/guidelines/2017gl/2017_gl_appendix_c.pdf



A project may be leveraged with other funding sources. The applicant must disclose all funding sources at the time of application and will be required to report all funding sources prior to invoice payment. Other funding sources may include but are not limited to: federal funding programs that reduce greenhouse gas (GHG) emissions, funding provided by the Alternative and Renewable Fuel and Vehicle Technology Program, Air Quality Improvement Program, or CARB's Low Carbon Transportation Investment funds to reduce GHG emissions. The sum of all grants and other funds applied toward the project shall (1) not exceed the total project cost for public agency applicants and (2) not exceed 85% of the total project cost for non-public agency applicants. In other words, the grantee³ must pay at least 15 percent of the project cost from non-public sources.

The emission reductions paid for by the CMP shall not be claimed by the other funding sources.

ELIGIBILITY INFORMATION

Emission reductions obtained through CMP projects must be real, surplus, quantifiable and enforceable. The emission reductions must not be required by any federal, state or local regulation, memorandum of agreement/understanding, settlement agreement, mitigation requirement or other legal mandate.

Engines operating under a regulatory compliance extension granted by CARB, an air district or the United States Environmental Protection Agency (U.S. EPA) are not eligible for funding.

Key program requirements for on- and off-road equipment categories are highlighted below; however, applicants are responsible for consulting the CMP guidelines for additional program limitations/requirements. For repower and replacement projects, the replacement engine must result in a minimum of 15 percent NOx reduction.

ON-ROAD VEHICLES

For purposes of the CMP, the following on-road vehicle classifications are used:

Vehicle Classification	GVWR
Light Heavy-Duty (LHD)	14,001 to 19,500 pounds
Medium Heavy-Duty (MHD)	19,501 to 33,000 pounds
Heavy Heavy-Duty (HHD)	Over 33,000 pounds

The proposed vehicle must be in the same weight class as the existing vehicle (LHD, MHD or HHD). The engine must be certified to the applicable heavy-duty intended service class as shown on the engine certification Executive Order. However, the following cases may be allowed: 1) MHD engines may be installed in HHD vehicles with GVWR up to 36,300 lbs. (10 percent higher than 33,000 lbs. GVWR) with written warranty verification by engine and chassis manufacturer, or 2) HHD engines may be installed in MHD vehicles if necessary for vocational purposes but only if the GVWR are within 10 percent of the HHD intended service class (i.e., GVWR of 29,701 lbs. or greater).

³ Public agencies are exempt from this requirement.



Executive Orders for on-road vehicles may be downloaded at: <http://www.arb.ca.gov/msprog/onroad/cert/cert.php>.

Project emission reductions will be based on the lower of two 12-month periods of California usage during the previous twenty-four months. Fleet averages cannot be used.

Replacement

This project type involves the replacement of an older, in-use vehicle with a newer, cleaner vehicle. The replacement engine must be 2013 or newer engine model year certified by CARB at or below the optional low NO_x standard of 0.10 g/bhp-hr and PM emission standard of 0.01 g/bhp-hr. In alignment with South Coast AQMD's 2016 AQMP, all on-road projects under the CMP must select the optional low-NO_x, hybrid or zero-emission technologies for fleet sizes of greater than 10 vehicles. Fleet size is determined based on the number of vehicles with a GVWR of 14,001 lbs or greater.

The South Coast AQMD requires that all on-road projects be operated within the South Coast AQMD jurisdiction for at least 75% of the time. Applicants must clearly demonstrate their compliance status with the applicable CARB regulation (i.e., Statewide Truck & Bus Regulation, Drayage Truck Regulation, Fleet Rule for Public Agencies & Utilities, Transit Bus Regulation, TRU ATCM, etc.) at the time of application submittal.

Please note that if you are an owner of a fleet with 10 or fewer vehicles (greater than 14,000 lbs. GVWR), you may be eligible for funding through the On-Road Voucher Incentive Program (VIP). Please refer to the South Coast AQMD's VIP Web page to explore funding opportunities for replacement at: www.aqmd.gov/vip.

In addition, the following on-road projects will be considered on a case-by-case basis:

- On-road vehicles with a GVWR between 8,501 and 14,000 pounds,
- Retrofits that reduce NO_x by at least 15 percent; for engines that are certified above 0.01 g/bhp-hr PM, the retrofit must also reduce PM emissions by 85 percent,
- Zero-emission transport refrigeration units (TRUs). Hybrid TRU projects are not eligible.

Emergency Vehicles

Authorized emergency vehicles, as described in California Vehicle Code 165, including but not limited to fire apparatus, pumpers, ladder trucks, water tenders, and prisoner transport buses, are exempt from CARB regulations and therefore eligible for CMP funding. Eligible emergency vehicle projects are those in which an older, more polluting emergency vehicle is replaced with a new or used replacement vehicle with an engine meeting the current model year California emission standards. The older, replaced vehicle must be destroyed. Emergency vehicles are eligible for up to 80 percent of the eligible costs as outlined in the program guidelines.

A fire truck reuse option is also available on a case-by-case basis. The fire truck reuse option allows fire departments to give away the existing old vehicle and destroy another older vehicle in its place.

Repowers

This project type involves the repower of an existing, in-use engine with a new, cleaner engine. The replacement engine must be CARB-certified at or below the optional low-NO_x emissions level of 0.10



g/bhp-hr NO_x and 0.01 g/bhp-hr PM₁₀. Repowers may be funded in various applications. However, due to technological constraints presented with the limited feasibility of newer engines with advanced emissions control equipment fitting into older chassis and maintaining durability, repowers with diesel engines are not eligible for on-road vehicles.

To ensure durability, certain repower projects may require prototype testing. If the project has been previously completed by the manufacturer, prototype testing is not required. The prototype testing must comply with the engine manufacturer quality assurance process that is equivalent to an Original Equipment Manufacturer (OEM) package. In these cases, a prototype vehicle (or vehicles) is thoroughly reviewed and tested to ensure that the installation meets OEM requirements, and the successful prototype installation is then replicated in other vehicles with the same chassis and engine combination. Per the CMP guidelines, air districts may approve repower projects that meet the OEM quality assurance process described above, subject to the following:

- Moyer Program funding may not be used for any costs associated with the prototype vehicle or vehicles.
- Repower contracts may not be executed until the prototype testing specified by the engine manufacturer is successfully completed.
- Written documentation from the engine manufacturer confirming that the prototype was successful must be maintained in the project file.
- If the proposed repower has been done previously by the manufacturer on the same chassis/engine configuration, prototype testing is not required. The manufacturer must provide written confirmation that the previous work was performed successfully and met OEM requirements.

Conversions

Conversions involve the replacement or modification of the original engine or vehicle to include either a cleaner engine or other system that provides motive power and change of the fuel type used. Hybrid conversion systems using internal combustion engines must be certified according to “California Certification and Installation Procedures for Medium-and Heavy-Duty Vehicle Hybrid Conversion Systems.” The baseline engine model year for hybrid conversions must be 2010 or newer. The conversion system manufacturer must provide written confirmation that the funded vehicle would not exceed the certified allowable limit. All-electric conversion systems must receive an exemption Executive Order per Vehicle Code section 27156.

OFF-ROAD COMPRESSION-IGNITION EQUIPMENT

This category includes off-road, mobile compression ignition equipment with engines greater than 25 horsepower. Off-road heavy-duty equipment/engines include, but are not limited to, construction equipment, agricultural tractors, marine engines, shore power and locomotive equipment. Portable equipment is not eligible for CMP funding. The following off-road equipment projects may be eligible for funding:

- Repower: The replacement of an existing engine with a newer emission-certified engine, or zero-emission system, instead of rebuilding the existing engine to its original specifications.
- Retrofit: The installation of a CARB-verified emission control system on an existing engine. Examples include, but are not limited to, particulate filters and diesel oxidation catalysts.



- **Equipment Replacement:** The purchase of new or used equipment with an engine certified to the current emission standard (Tier 4 Final) or zero-emission technology to replace an older, fully functional piece of equipment that is to be scrapped.

For off-road replacement and repower projects (excluding marine engines), the CMP guidelines specify that the horsepower rating of the new (or replacement) engine must not be greater than 125 percent of the original manufacturer rated horsepower of the old (or existing) engine. If the new engine is greater than 125 percent, then the eligible funding amount will be based on the cost of an engine or equipment with a horsepower rating that is no higher than 125 percent of the existing engine horsepower rating. The applicant must pay the additional costs associated with the higher horsepower engine and obtain a price quote for an engine or equipment that is within the 125 percent range for the funding determination. In addition, verifiable records on the existing engine must be provided with the application to accurately identify the engine manufacture year and horsepower (e.g., photographs of engine labels, statement from engine manufacturers, etc.).

Construction Equipment

Fleets must be in compliance with CARB's In-Use Off-Road Diesel Vehicle Regulation (Off-Road Regulation) in order to be eligible for funding. Large fleets are no longer eligible for new diesel engine funding after December 31, 2019. However, large fleets that have received prior Carl Moyer Program funding after January 1, 2017, are only eligible for zero-emission project funding.

Applicants must submit information regarding fleet size and compliance status. **This must include the Diesel Off-Road On-line Reporting System (DOORS) ID of the fleet, the DOORS Compliance Snapshot, the DOORS equipment list, and the DOORS Equipment Identification Number (EIN) of the funded equipment.** All documentation submitted must be signed and dated by the applicant and include language certifying that the fleet list provided is accurate and complete.

Off-road projects fall into three distinct categories: 1) repower existing equipment with an emission-certified engine, 2) retrofit with a verified-diesel emission control strategy (VDECS), and 3) replacement of an older, fully functional piece of equipment (that is to be scrapped) by equipment with an engine certified as meeting the current off-road emission standards, or cleaner.

Marine Vessel Projects

Marine vessel project types include engine repower and shore power. Only existing engines on a marine vessel with a fully functioning non-resettable hour meter are eligible for CMP funding.

Marine Engine Repower

Vessels not subject to the in-use compliance requirements of CARB's Commercial Harbor Craft (CHC) Regulation such as fishing vessels, pilot boats and work boats are eligible. Vessels subject to the in-use compliance requirements of CARB's Commercial Harbor Craft (CHC) regulation (i.e., barge, crew/supply, dredge, excursion, ferry, towboat and tugboats) are also eligible as long as the vessel is fully compliant with the CHC Regulation (i.e., engines meet Tier 2 standards). Based on the vessel's operation, the newer engine's emissions must be surplus to the currently required U.S. EPA marine engine emission standard (i.e., Tier 3, Tier 4, etc.). Remanufacture kits, which are comprised of engine component parts that, when installed, reduce the engine's emissions, are subject to the same



requirements as engine repower projects. For all marine engine repower projects, the replacement engine must provide at least a 15 percent NOx reduction relative to the baseline engine.

Shore Power Projects

Limited CMP funding opportunities remain for shore power projects due to the applicability of CARB's At-Berth Regulation. Applicants must submit their CARB-approved Initial Terminal Plan to document compliance with CARB's Shore Power regulation. The proposed projects must provide emission reductions that are surplus to regulatory requirements. Projects not subject to CARB's regulation are eligible.

Locomotives

All new locomotives and replacement engines must be certified to Tier 4 standards or cleaner to be eligible for CMP funding. There are very limited CMP funding opportunities for Class 1 freight railroads. Such a project will be subject to a case-by-case approval by CARB. Class 3 freight railroads and passenger railroads are not subject to any CARB fleet regulations and are therefore eligible for CMP funding.

The following project types are eligible for CMP funding:

1. Locomotive replacement (the reuse and/or recycling of the baseline chassis is allowed if the baseline engine is destroyed)
2. U.S. EPA-certified engine remanufacture kit or repower
3. Head-end power (HEP) unit (apply as an off-road engine project).

DEFINITIONS

Alternative Fuel

Alternative fuels include compressed natural gas (CNG), liquefied natural gas (LNG), hydrogen (H2), methanol, ethanol, propane (LPG) and electric technologies. Experimental technologies and fuels will be referred to CARB for evaluation and possible eligibility in the Program.

Equipment Replacement

Equipment replacement means the replacement of an older vehicle or piece of equipment that still has remaining useful life with a newer, cleaner vehicle or piece of equipment. For this project type, applicant must have owned and operated the old equipment in California for the previous two years.

Repower

Vehicle repower means the replacement of an in-use engine with another, cleaner engine (more than 15 percent cleaner).

Retrofit

An emission control system employed exclusively with an in-use engine, vehicle or piece of equipment. CARB guidance requires the applicant to select the highest level technology certified for that engine that provides the most emission reductions. For many projects, this includes a diesel emission control device that reduces both PM and NOx emissions. In order to be eligible for CMP funding, the retrofit device must be verified for the specific engine family found on the equipment and



achieve the highest level emission reductions when compared to other verified retrofit devices. If a specific device reduces both NO_x and PM, but the PM reduction from a retrofit is required by a regulation, only the NO_x reduction may be eligible for funding.

South Coast AQMD Jurisdiction

The South Coast AQMD is the air pollution control agency for all of Orange County and the urban portions of Los Angeles, Riverside and San Bernardino counties. This area of 10,743 square miles is home to approximately 17 million people—about half the population of the whole state of California. It is the second most populated urban area in the United States and one of the smoggiest.

Visit <http://www.aqmd.gov/nav/about/jurisdiction> for more information.

IMPORTANT PROGRAM INFORMATION

- Applicants **must** provide proof of ownership with their application. This may include vehicle/equipment title, bill of sale, or in the case of marine vessel projects, the U.S. Coast Guard registration documentation.
- Project equipment must operate a minimum of 75% of the time within the boundaries of the South Coast Air Basin (SCAB). An exemption is provided to line-haul locomotives, which are allowed an operational minimum of 51% operation within the SCAB.
- Applicants **must** provide vendor quotes with their application to document the cost of the low- or zero-emission vehicle/equipment project. Applicants may be awarded up to the designated percentage of total cost for the specified type of project (new purchase, repower replacement and/or retrofit), subject to funding caps and program cost-effectiveness limits. Eligible costs include installation labor and sales tax. **All quotes must have been obtained within 90 days prior to the application submittal date.**
- Applicants must provide legible engine tag photos of the baseline engine(s) or manufacturer specifications that document the engine serial number, horsepower, model year and engine family number, emissions certification level and CARB Executive Order (if controlled).
- A number of the CARB fleet rules and air quality regulations impact CMP eligibility. Compliance with existing CARB regulations is a pre-requisite for CMP funding. Only emission reductions in excess of regulatory requirements can be considered for CMP funding. If applicants are applying for CMP funds to reduce emissions before the required compliance date (i.e., early reductions), the equipment must demonstrate sufficient years of operation before the regulatory compliance deadline. Applicants are responsible for ensuring that they are in full compliance with all applicable regulations and that vehicle/equipment requests under the CMP provide surplus emission reductions. As noted earlier, applicants must provide documentation of their regulatory compliance status.
- Any **tax obligation** associated with the award is the responsibility of the grantee.
- All projects must be operational within eighteen (18) months of contract execution or May 20, 2022, whichever is earlier.



- All project invoices must be submitted for payment no later than May 20, 2022. Projects which have not invoiced by the applicable date may forfeit their funding.
- No third-party contracts will be executed.
- Pre- and post-inspection of all vehicles/engines/equipment approved for funding will be conducted, as required. Applicants must make all equipment available **locally (i.e., within the South Coast AQMD boundaries)** for inspections unless specified during contract preparation. Documentation of compliance with existing regulatory requirements is required at the time of pre-inspection.
- **Local** destruction of the engine and/or equipment being replaced is required for repower or replacement projects.
- The project's cost effectiveness will be based on the historical usage of the existing equipment for the previous two years. The usage for off-road equipment projects will be based on hours (except for locomotive projects, which require annual fuel consumption), and the usage for on-road vehicle projects will be based on mileage. The applicant must provide the historical usage records for the equipment as part of the application. If historical usage documentation is not available, the proposed annual usage provided by the applicant will be used to determine the project's cost effectiveness and specified as a requirement in the contract. For on-road projects, the emission reductions will be based on the lower of the two 12-month periods of California usage during the previous twenty-four months. Fleet averages cannot be used.

PROGRAM ADMINISTRATION

The CMP will be administered locally by the South Coast AQMD through its Technology Advancement Office. The South Coast AQMD reserves the right to allocate the CMP funds among the program categories or to specific projects in accordance with South Coast AQMD priorities. Additionally, the South Coast AQMD reserves the right to partially fund a project, such as the case where a project is found to exceed the cost effectiveness limit.

All qualified applications submitted in response to this PA will first be evaluated for completeness. South Coast AQMD staff will notify each applicant of an incomplete application and request the additional information within thirty (30) business days of the application submittal due date. South Coast AQMD will send letters to applicants regarding missing information. Applicants will have at least seven (7) business days to provide any missing information requested in the letter. It will be the applicant's responsibility to submit the missing or incomplete information within the time specified by South Coast AQMD staff. Only completed applications can move forward in the evaluation process; applications that remain incomplete after the seven-day response period will be rejected and will not be evaluated or further considered under the CMP.

Each project will be evaluated for its status as a Disadvantaged Community (DAC) or low-income community, as discussed in Section IV below. Each project will also be evaluated for cost effectiveness and ranked accordingly, except for infrastructure projects. Infrastructure projects are not subject to a cost-effectiveness limit, but instead will be evaluated on a competitive basis using metrics



that include, but are not limited to: fleet usage commitments, public access, project type (i.e., public, private, solar, wind, renewable natural gas), expected vehicle usage/throughput and cost share. Funding category allocations will be determined based on the evaluation and selection criteria in Section IV and subject to approval by the South Coast AQMD Governing Board.

Applications for fuel and engine technologies that are not certified, verified or approved by CARB, or falling outside the categories specifically discussed in this PA, may be referred to CARB for determination of CMP eligibility on a case-by-case basis. Please discuss these projects with South Coast AQMD staff prior to application submittal. Projects submitted for CARB case-by-case review will require the applicant to provide additional justification and documentation regarding the project and the applicant's justification for such consideration.

SCHEDULE OF EVENTS

Issue PA2020-04	March 6, 2020
Workshops	April – May 2020
All Applications Due by 1:00 pm	Tuesday, June 2, 2020
Awards Consideration by the Board	November 2020
Contract Execution	February - March 2021

**ALL APPLICATIONS MUST BE RECEIVED ELECTRONICALLY OR ON PAPER AT THE
SOUTH COAST AQMD HEADQUARTERS
NO LATER THAN 1:00 P.M. ON TUESDAY, JUNE 2, 2020**

Electronic submission using South Coast AQMD's new CMP Online Application Program (OAP) is preferred and is available at: www.aqmd.gov/moyer.

If a paper copy application is being submitted, postmarks will not be accepted as compliant with the deadline; the paper copy applications must be received at the South Coast AQMD Headquarters reception desk by the above deadline. Fax or email applications will not be accepted. Applicants may hand deliver applications to the South Coast AQMD by submitting the application to the South Coast AQMD reception desk. The application will be date and time-stamped and the person delivering the application will be given a receipt.

Paper applications must be legible. Illegible applications will be rejected.

South Coast AQMD will hold workshops during the application period to provide background and assistance with program requirements, eligibility and a tutorial for the OAP. These workshops are scheduled as follows:

**ON-ROAD HEAVY-DUTY VEHICLE/INFRASTRUCTURE/MARINE VESSEL/SHORE POWER /CHE
ELECTRIFICATION WORKSHOP**

- **Wednesday, April 8, 2020 – 10 a.m. to Noon**



Port of Los Angeles Board Room
425 South Palos Verdes Street
San Pedro, CA 90731

OFF-ROAD AGRICULTURAL EQUIPMENT/ENGINES WORKSHOP

- **Wednesday, April 15, 2020 – 10 a.m. to 1 p.m.**
Coachella Valley Mosquito & Vector Control District, Board Room
43420 Trader Place
Indio, CA 92201

ON-ROAD HEAVY-DUTY VEHICLE/INFRASTRUCTURE/OFF-ROAD HEAVY-DUTY EQUIPMENT WORKSHOP

- **Wednesday, April 22, 2020 – 10 a.m to 1 p.m.**
Resurrection Church, Parish Hall
3324 E. Opal Street
Los Angeles, CA 90023

ON-ROAD HEAVY-DUTY VEHICLE/INFRASTRUCTURE/OFF-ROAD HEAVY-DUTY EQUIPMENT WORKSHOP

- **Thursday, May 7, 2020 – 9 a.m to Noon**
Salt Lake Park, The Lounge
3401 E. Florence Avenue
Huntington Park, CA 90255

ON-ROAD HEAVY-DUTY VEHICLE/INFRASTRUCTURE/OFF-ROAD HEAVY-DUTY EQUIPMENT WORKSHOP

- **Tuesday, May 12, 2020 – 5:30 p.m. to 8:30 p.m.**
San Bernardino Valley College, Building B100
701 South Mount Vernon Avenue
San Bernardino, CA 92410

SCHEDULE OF CMP GENERAL WORKSHOPS:

- **Wednesday, April 29, 2020 - 9 a.m. to Noon**
South Coast AQMD Headquarters, Conference Room CC6
21865 Copley Drive
Diamond Bar, CA 91765
- **Wednesday, May 6, 2020 – 9 a.m. to Noon**
South Coast AQMD Headquarters, Conference Room CC6
21865 Copley Drive
Diamond Bar, CA 91765

Training and assistance with the online application system will be included in these workshops.



STATEMENT OF COMPLIANCE

Government Code Section 12990 and California Administrative Code, Title II, Division 4, Chapter 5, require employers to agree not to unlawfully discriminate against any employee or applicant because of race, religion, color, national origin, ancestry, physical handicap, medical condition, marital status, sex, or age. A statement of compliance with this clause is included in all South Coast AQMD contracts.

CONTACT FOR ADDITIONAL INFORMATION

Questions regarding the content or intent of this PA, procedural matters or locations of workshops should be addressed to:

Walter Shen
Science and Technology Advancement
South Coast Air Quality Management District
21865 Copley Drive, Diamond Bar, CA 91765
Phone (909) 396-2487/FAX (909) 396-3252
wshen@aqmd.gov

SECTION II - WORK STATEMENT/SCHEDULE OF DELIVERABLES

Applicants must sign the Application form indicating their understanding of the requirements for submittal of additional project information to finalize a contract and that all vehicles, engines or equipment must be in operation within eighteen (18) months of contract execution or by May 20, 2022, whichever is earlier. **Unsigned applications may be deemed ineligible and may NOT be considered for funding.**

WORK STATEMENT

The scope of work involves a series of tasks and deliverables that demonstrate compliance with the requirements of the CMP as administered by CARB and the South Coast AQMD. The project applicant is responsible for developing detailed project plans and ordering equipment that complies with the program criteria and guideline requirements. In addition, alternative fuel project applicants must discuss their plan for refueling the proposed vehicles/equipment, and if appropriate, should provide a letter of agreement from their fuel provider (see Application forms).

At a minimum, any contract for funding the proposed project must meet the following criteria:

- Provide emission reductions that are real, surplus, quantifiable and enforceable in accordance with CMP guideline requirements.
- Meet the cost-effectiveness limit, as described in this PA and the CMP Guidelines, and subsequent CMP Advisories.
- For repower and replacement projects, the replacement engine must achieve an annual NO_x emissions benefit of at least 15 percent to receive any funding for NO_x reductions.
- Commit that project engines or equipment operate in service for the full project life, a minimum of three years⁴, and at least 75 percent of annual operation must occur within the

⁴ On-road projects may have a one-year minimum life, though it is difficult to qualify for meaningful grant funding with



South Coast AQMD except for line-haul locomotives. The line-haul locomotives may be eligible for funding with a minimum of 51% annual operation within the South Coast AQMD.

- The cost-effectiveness calculation is based on the percent operation within the South Coast AQMD boundary. Project life is the number of years used to determine the cost effectiveness and is equal to the contract term. The contract will include the percent operation as a minimum requirement (75% for all projects, except line-haul locomotives, which are allowed a 51% minimum).
- Commit that all vehicles/engines/equipment are in operation within 18 months of contract execution or by May 20, 2022, whichever is earlier.
- Provide for appropriate recordkeeping during the project life (i.e., annual mileage, fuel consumption and/or hours of operation), including submission of annual reports as detailed below.
- Ensure that the project complies with all applicable rules and regulations, and the resulting emission reductions from the project are not required as a mitigation measure to reduce adverse environmental impacts that are identified in an environmental document prepared in accordance with the California Environmental Quality Act or the National Environmental Policy Act.
- If requested, contractor must provide a financial statement and bank reference, or other evidence of financial ability to fulfill contract requirements.
- If requested, contractor must make all equipment and records available to the South Coast AQMD or CARB for audit and inspections.

DELIVERABLES

The contract will describe how the project will be monitored and what type of information must be submitted as part of the reporting requirements. At a minimum, the South Coast AQMD expects to receive an annual report for each year during the full contract term, or project life, which provides the annual miles or hours of operation⁵, where the vehicle or equipment was operated, and operational and maintenance issues encountered and how they were resolved. South Coast AQMD reserves the right to verify the information provided.

Reporting forms are available online at: www.aqmd.gov/moyer.

SECTION III - APPLICATION SUBMITTAL REQUIREMENTS

Applicants are encouraged to apply for CMP funding using the South Coast AQMD's new CMP Online Application Program at: www.aqmd.gov/moyer. Applicants may also complete and submit a paper application with the appropriate application forms, which are listed in Appendix A. In addition, all Business Information Forms⁶, including Conflict of Interest and Project Cost information, as described below, must also be submitted with the application. It is the responsibility of the applicant to ensure that all information submitted is accurate and complete.

such a short project life. In addition, off-road projects for small fleets may have a two-year minimum project life.

⁵ Locomotive projects shall report annual fuel consumption.

⁶ www.aqmd.gov/moyer



Submit the original plus three (3) complete paper copies and one digital copy of the entire application package. Do not include a copy of this PA in your application.

CONFLICT OF INTEREST

Applicant must address any potential conflicts of interest with other clients affected by actions performed by the firm on behalf of the South Coast AQMD. Although the applicant will not be automatically disqualified by reason of work performed for such firms, the South Coast AQMD reserves the right to consider the nature and extent of such work in evaluating the application.

Conflicts of interest will be screened on a case-by-case basis by the South Coast AQMD General Counsel's Office. Conflict of interest provisions of the state law, including the Political Reform Act, may apply to work performed pursuant to this contract. Please discuss potential conflicts of interest on the Application Statement Form in Appendix A.

PROJECT COST

Applicants must provide cost information that specifies the amount of funding requested and the basis for that request by attaching vendor quotes to the application. The vendor quotes must be dated within 90 days of the application submittal date. Applicants need to inform vendors of the time frame of the award process so that they can estimate prices based on the future/projected order/purchase date.

Purchase orders or other purchase commitments shall not be placed until after the date of award approval by the South Coast AQMD Governing Board. Purchase orders may be placed after South Coast AQMD Governing Board approval and in advance of a fully executed contract, but these orders/commitments are placed at the applicant's own risk⁷.

The CMP will fund only a percentage of the cost of the low emission or zero-emission technology based on the type of project. The proposed low-emission or zero-emission technology must be certified, verified or approved by CARB in most cases⁸. No administrative or operational costs will be funded.

All project costs must be clearly indicated in the application. In addition, applicants must disclose all sources of co-funding, including the name of the funding source and amount of funding in the application. **Applicants are cautioned that the project life period used in calculating emissions reductions will be used to determine the length of their annual reporting obligation.** In other words, a project applicant using a ten-year life for the emissions reduction calculations will be required to operate, track and report activity for the project vehicle for the full ten years. The contract term will also be ten years.

Applicants are not required to calculate a project's cost effectiveness. Methodologies for calculating cost effectiveness are provided in the CARB Moyer Guidelines

at: https://www.arb.ca.gov/msprog/moyer/guidelines/2017gl/2017_gl_appendix_c.pdf.

⁷ Any purchase order/purchase commitment placed prior to the South Coast AQMD Governing Board approval of the project are prohibited by the CMP. However, orders/commitments placed after South Coast AQMD Governing Board approval but in advance of a fully executed contract are at the purchaser's own risk.

⁸ Note that an experimental permit from CARB may be considered, but the project will require special CARB approval.



APPLICATION SUBMISSION

All applications must be submitted according to specifications set forth herein. Failure to adhere to these specifications may be cause for rejection of the application without evaluation.

Staff Contact Information: South Coast AQMD staff contacts for each category are listed in Table 1 below. Applicants are strongly encouraged to contact South Coast AQMD staff to discuss their project prior to submitting an application to ensure program eligibility.

For Paper Copy Applications - Application Forms: *(This section does not pertain to applicants using the South Coast AQMD's CMP Online Application System.)* The application forms are identified in Appendix A. These must be completed and submitted with other required documents (i.e., Business Information Forms, activity documentation, project quotes, ownership records, registration, etc.) discussed in the application and below.

A separate Form A-1 is required for each category (i.e., on-road, marine, off-road, locomotive, etc.). For example, if an applicant is requesting funding for marine engine repowers and off-road construction equipment, then two (2) separate Form A-1 applications must be submitted – one for each category. In addition to each Form A-1, the applicable category Form is required for each piece of equipment for which grant funding is requested (i.e., B-1, C-1, etc.). For example:

Example Application Package:

Applicant X plans to submit a request for CMP funding to replace three vehicles and two locomotives. The forms required are:

- Form A-1 (General Application Form), which includes:
 - Application Checklist
 - Application Statement
 - Business Information Forms (see details below)
- Complete a Form B-1 (On-Road Heavy-Duty Vehicle Replacement), one for each vehicle to be replaced
- Complete a Form E-1 (Locomotive Replacement), one for each locomotive to be replaced

Business Information Forms: Consists of business information forms that **must** be completed and submitted with the Application. Please note, if recommended for an award, you will be required to submit an updated Campaign Contribution Disclosure form at a later date. Download these forms at www.aqmd.gov/moyer.

Submit the original plus three (3) complete paper copies and one digital copy of all the entire application package.

Methods for Delivery:

1. **Electronic Submittal:** The preferred method of delivery for this solicitation is through South Coast AQMD's CMP Online Application Program (OAP), available at: www.aqmd.gov/moyer. This online system allows applicants to submit applications electronically to the South Coast



AQMD prior to the date and time specified below. South Coast AQMD “Business Information Forms” requiring signatures must be scanned and uploaded to the electronic application in PDF format. The system will not allow applications to be submitted after the due date and time.

First-time users must register as a new user to access the system. Applicants will receive a confirmation email after all required documents have been successfully uploaded. A tutorial of the system will be provided at the pre-application workshops and you may contact the Project Officer listed in Table 1 if you would like additional assistance.

2. Paper Copy Submittals – Although not preferred, an applicant may deliver the application in person or via a courier service or U.S. Mail. Applicants **shall submit the original plus three (3) complete signed copies of the application package (all forms and documents), as well as an electronic copy of the application and its supporting documents on a CD or flash drive**, in a sealed envelope, plainly marked in the upper left-hand corner with the name and address of the applicant and the words "**Program Announcement PA2020-04**". All paper copy applications shall be submitted in an environmentally friendly format: stapled, not bound, black and white print; no three-ring, spiral or plastic binders, and no card stock or colored paper. All application forms may be accessed from the South Coast AQMD’s Carl Moyer Program homepage at www.aqmd.gov/moyer.

Due Date - All applications must be received, either via the OAP or on paper, no later than **1:00 p.m., on Tuesday, June 2, 2020**. Postmarks are not accepted as proof of deadline compliance. **Faxed or emailed applications will not be accepted**. Applications must be directed to:

Procurement Unit
South Coast Air Quality Management District
21865 Copley Drive
Diamond Bar, CA 91765

Any correction or resubmission done by the applicant will not extend the submittal due date.

Grounds for Rejection - An application may be immediately rejected if:

- It is not prepared in the format described
- It is not signed by an individual authorized to represent the firm
- Does not include current cost quotes, Contractor Statement Forms and other forms required in this PA.

Missing Information – Within thirty (30) business days of the application submittal due date of June 2, 2020, South Coast AQMD will email letters to applicants regarding the missing or incomplete information. Applicants will have seven (7) business days to provide any missing information requested in the letter. It will be the applicant’s responsibility to submit the missing or incomplete information within the time specified by South Coast AQMD staff. Only complete applications can move forward in the evaluation process.

Disposition of Applications - The South Coast AQMD reserves the right to reject any or all applications. All responses become the property of the South Coast AQMD. One copy of each



application not selected for funding shall be retained for one year. Additional copies and materials will be returned only if requested and at the applicant's expense.

SECTION IV - APPLICATION EVALUATION/CONTRACTOR SELECTION CRITERIA

South Coast AQMD staff will evaluate all qualified applications and make recommendations to the Governing Board for final selection of project(s) to be funded. Each project will be evaluated based on two primary criteria: (1) the cost effectiveness of NOx, PM10 and ROG reduced, and (2) the project’s status with respect to the disadvantaged community and low-income criteria prescribed by CARB.

Note: Infrastructure projects are not subject to a cost-effectiveness limit but instead will be evaluated on a competitive basis using metrics that include, but are not limited to: fleet usage commitments, public access, project type (i.e., public, private, solar, wind, renewable), expected vehicle usage/throughput and cost share.

Be aware that there is a possibility that due to program priorities, cost effectiveness or funding category limitations (i.e., caps), project applicants may be offered only partial funding, and not all applications that meet the cost-effectiveness criteria may be funded.

At least 50 percent of South Coast AQMD’s CMP funds are targeted for projects that meet the criteria of a disadvantaged or low-income community. The Office of Environmental Health Hazard Assessment (OEHHA) in the California Environmental Protection Agency (CalEPA) has developed the California Communities Environmental Health Screening Tool: CalEnviroScreen Version 3.0 (CalEnviroScreen 3.0). The CalEnviroScreen 3.0 tool will be used by South Coast AQMD to identify projects that qualify as a DAC, which is defined as scoring in the top 25th percentile, and will strive to maximize the benefits to these communities from this PA. All applications will be assessed with the CalEnviroScreen tool to identify and verify if the project will benefit a DAC. This tool is available at: <https://oehha.ca.gov/calenviroscreen/report/calenviroscreen-30>

SECTION V - PAYMENT TERMS

For all projects except shore power projects, full payment will be made upon installation and commencement of operation of the funded equipment. For shore power projects, a progress payment schedule may be established that allows payment upon completion of key milestones, as delineated in the contract.

SECTION VI: SOUTH COAST AQMD STAFF CONTACTS AND ADDITIONAL RESOURCES

The South Coast AQMD staff contacts are listed in Table 1 by project category. Copies of the Program Announcement, Application Forms and a sample South Coast AQMD CMP contract may be accessed at: www.aqmd.gov/moyer.

Table 1: CMP Staff Contacts

Project Category	Staff Contact	Phone Number	Email
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On-Road Heavy-Duty Vehicles	Tom Lee	(909) 396-2270	tlee@aqmd.gov
Off-Road Equipment	Walter Shen Greg Ushijima	(909) 396-2487 (909) 396-3301	wshen@aqmd.gov gushijima@aqmd.gov
Cargo Handling Equipment Electrification	Greg Ushijima	(909) 396-3301	gushijima@aqmd.gov
Marine Vessels	Ping Gui	(909) 396-3187	pgui@aqmd.gov
Shore Power	Greg Ushijima	(909) 396-3301	gushijima@aqmd.gov
Locomotives	Greg Ushijima Walter Shen	(909) 396-3301 (909) 396-2487	gushijima@aqmd.gov wshen@aqmd.gov
Infrastructure	Yuh Jiun Tan Tom Lee	(909) 396-2463 (909) 396-2270	ytan@aqmd.gov tlee@aqmd.gov

WEBSITE LINKS TO CARB RULES THAT AFFECT CMP ELIGIBILITY

On-Road Private (truck and bus) @ <http://www.arb.ca.gov/msprog/onrdiesel/onrdiesel.htm>

Drayage Truck Regulatory @ <https://www.arb.ca.gov/msprog/onroad/porttruck/porttruck.htm>

Public/Utility Fleets @ <http://www.arb.ca.gov/msprog/publicfleets/publicfleets.htm>

In-Use Off-Road @ <http://www.arb.ca.gov/msprog/ordiesel/ordiesel.htm>

Harbor Craft @ <http://www.arb.ca.gov/ports/marinevess/harborcraft.htm>

Cargo Handling Equipment @ <http://www.arb.ca.gov/ports/cargo/cargo.htm>

Shore Power @ <http://www.arb.ca.gov/ports/shorepower/shorepower.htm>



APPENDIX A

Table of Contents

South Coast AQMD encourages applicants to utilize the CMP Online Application Program to submit applications to the Year 21 CMP. The CMP Online Application Program is available at the South Coast AQMD Carl Moyer Program website at www.aqmd.gov/moyer. If you choose to submit a paper application, please utilize the application forms and other documents identified below. Each document listed below is available on South Coast AQMD's CMP website for download.

1. Application Checklist – one per applicant.
2. Form A-1: General Application (includes Checklist and Application Statement). Provide a complete set of Form A-1 documents for each equipment category (i.e., locomotive, marine, off-road, etc.). Read the Application Statement carefully – it is a certification of the applicant's understanding for each item listed.
3. Category Application Form specific to your project category (one per unit, or use excel templates referenced in the form for multiple unit projects)
 - a) Form B-1: On-Road Heavy-Duty Vehicles, Replacement
 - b) Form B-2: On-Road Heavy-Duty Vehicles, Repower
 - c) Form B-3: Emergency Vehicles (Fire Apparatus)
 - d) Form C-1: Off-Road Equipment Replacement
 - e) Form C-2: Off-Road Equipment (Repower, Repower with Retrofit)
 - f) Form C-3: Off-Road Equipment Retrofit
 - g) Form C-4: Cargo Handling Equipment (CHE) Electrification
 - h) Form D-1: Marine Vessels, Repower
 - i) Form D-2: Marine Vessels, Shore Power
 - j) Form E-1 through E-3: Locomotives
 - Form E-1: Locomotive Replacement
 - Form E-2: US Engine Remanufacture Kit or Repower/Refurbishment
 - Form E-3: Head-end power (HEP) Unit
 - k) Form F-1: Infrastructure
4. Business Information Forms – complete, sign and submit all of these forms with your application.



APPLICATION CHECKLIST

Applicants are encouraged to submit their application using South Coast AQMD's online system. If you are applying in person, use this checklist to organize your paper copy application. Each of the following application sections is required to be submitted if you submit a paper application:

- A cover letter stating your grant request, how many pieces of equipment and/or engines included in the proposed project, and the funding amount being requested (per engine equipment/vehicle/vessel and for the total overall project). For applications covering more than one category, organize this information by project category (i.e., marine, locomotive, on-road, etc.)
- This Application Checklist (signed below).
- General Application Form A-1. Provide a separate Form A-1 for each category (i.e., marine, locomotive, etc.) for which grant funding is requested. Form A-1 also includes the Application Statement (signed and initialed, as applicable)
- Completed and **signed** Business Information Forms.⁹ Ensure that these forms use consistent business/company name that is aligned with how the applicant files taxes for the project equipment. Contracts awarded under the CMP rely on these forms to establish the contract parties.
- Category Application Form specific to your project category (i.e., locomotive, off-road, marine, etc.), along with the following attachments/enclosures:
 - For multiple unit applications, applicants have the option to provide the information required by the applicable application form/category using an Excel spreadsheet.
 - Vendor quotes that have been obtained within 90 days prior to the application submittal date.
 - CARB Executive Orders for each engine. Download at (for the zero-emission vehicle or equipment, please provide a CARB's Approval Letter):
On-road: <http://www.arb.ca.gov/msprog/onroad/cert/cert.php>
Off-road: <http://www.arb.ca.gov/diesel/cv.htm>
 - Previous two years of historical records documenting equipment usage, retroactive to the date of application.

⁹ These forms may be downloaded at: www.aqmd.gov/moyer.



Once completed, submit the original plus three (3) complete signed copies of the application package (all forms and documents), as well as an electronic copy of the application and its supporting documents on a CD or flash drive, in accordance with the Application Submittal Instructions. I understand that all documents, as listed above, are required in order to have a complete application package in order to be considered for funding under the Carl Moyer Program.

Signature

Date



Carl Moyer and SOON Application
 Form A-1
 General Application Form (page 1 of 3)

The SCAQMD is accepting applications for projects throughout its jurisdiction. All applications will be evaluated based on their cost-effectiveness and their disproportionate impact score as discussed in Section IV "Application Evaluation/ Contractor Selection Criteria" contained in Program Announcement. For additional information about SCAQMD's policies and application information, visit: www.aqmd.gov/moyer. In general, this program will follow CARB Carl Moyer Program guidelines, which are available at: <http://www.arb.ca.gov/msprog/moyer/moyer.htm>.

The submittal of an application does not guarantee approval for funding, but will be used to determine the potential emission reductions and eligible grant funding amount for the proposed project. Any equipment purchased prior to project approval by the SCAQMD Governing Board will not be eligible for funding. Applicant may, at their own risk, issue a purchase order for approved equipment prior to contract execution. Other than a purchase order, **no other work shall proceed** until a fully executed contract, i.e. signed by the applicant and SCAQMD Board Chairman and a pre-inspection, is completed.

Organization Information

Legal Name of Organization *

The legal organization name must be that of the legal equipment owner.

Organization Address

Mailing Address *
 Street Address/P.O. Box
 City *
 State *
 Zip *
 County *

Primary Contact Name and Information

First Name
 Last Name
 Email Address
 (A valid Email address is required. Eg. john@gmail.com)
 Phone Number
 Fax Number

Person Authorized to Sign Application and Execute Grant Agreement

First Name
 Last Name
 Email Address
 (A valid Email address is required. Eg. john@gmail.com)
 Phone Number
 Fax Number

Third Party Information

Name of Person Who Completed the Application
 What is Your Position?
 How much are you being paid to complete this application for the owner or to assist in the proposed project?
 What is the source of funds being used to pay you?
 Signature of Third Party Person Who Completed the Application:

 Date:



Carl Moyer and SOON Application
Form A-1
General Application Form (page 2 of 3)

All information provided in this application will be used by SCAQMD staff to evaluate the eligibility of this application to receive program funds. SCAQMD staff reserves the right to request additional information and can deny the application if such requested information is not provided by the requested deadline. Incomplete or illegible applications will be returned to applicant or vendor, without evaluation. An incomplete application is an application that is missing information critical to the evaluation of the project.

Please read and check each item below to indicate understanding and agreement:

I understand that this application is for evaluation purposes only and does not guarantee project funding. Only a fully executed Grant Agreement between the equipment owner and the District constitutes an obligation to fund a project.

I certify to the best of my knowledge and under penalty of perjury that the information contained in this application is true and accurate.

I understand that all vehicles/equipment, both existing and new, must be made available within the SCAQMD boundaries for inspection, unless otherwise approved by SCAQMD's Project Officer.

The vehicle/engine will be used within the SCAQMD boundaries (with the emission reduction system operating) for at least the projected usage shown in this application, and no less than 75 percent of the time.

I understand that it is my responsibility to ensure that all technologies are either verified or certified by the California Air Resources Board (CARB) to reduce NOx and/or PM pollutants. CARB Verification Letters and/or Executive Orders are attached, as applicable.

I understand that for repower projects, I am required to install the highest level available verified diesel emission control device (VDECS), and that the costs of this device and associated installation are a CMP eligible expense. These costs may be included in the project grant request up to the maximum cost-effectiveness limit.

I understand that there may be conditions placed upon receiving a grant and agree to refund the grant (or pro-rated portion thereof) if it is found that at any time I do not meet those conditions and if directed by the SCAQMD in accordance with the contract agreement.

I understand that, for this equipment, I am required to disclose if I have applied for or received incentive funding from another entity or program. Failure to do so will disqualify me from Carl Moyer Program Funding.

In the event that the vehicle(s)/equipment do not complete the minimum term of any agreement eventually reached from this application, I agree to ensure the equivalent project emissions reductions, or to return grant funds to the SCAQMD as required by the contract.

I understand that all on-road engines in my fleet that are eligible for a low-NOx software upgrade (reflash) must be reflashed within 60 days of receipt of contract execution. I may self-certify that the reflash has been performed by submitting a receipt of the completed reflash or a picture of the "Low NOx Reflash Label" from the reflashed engine to SCAQMD.

I understand that third party contracts are not permitted. A third party may, however complete an application on an owner's behalf. Third parties are required to list how much compensation, if any, they are receiving to prepare the application(s), and to certify that no Carl Moyer Program funds are being used for this compensation.

I understand that off-road equipment applicants subject to CARB's In-Use Off-Road Diesel Vehicle Regulation (Off-Road Regulation) must submit information regarding fleet size and compliance status. This must include the Diesel Off-Road On-line Reporting System (DOORS) ID of the fleet and the DOORS Equipment Identification Number (EIN) of the funded equipment.

I understand that additional project information may be requested during project review and must be submitted prior to final evaluation.

I understand that all vehicles, engines or equipment funded by this program must be operational within eighteen (18) months of contract execution, or by the vehicle in service date as specified in the Statement of Work, whichever is earlier.

All project applicants must submit documentation that supports the activity claimed in the application (i.e., fuel receipts, mileage logs and/or hour-meter readings covering the last two years). This documentation is attached.

The grant contract language cannot be modified without the written consent of all parties. I have reviewed and accept the sample contract language.

I understand that an IRS Form 1099 may be issued to me for incentive funds received under the Moyer Program. I understand that it is my



**Carl Moyer and SOON Application
Form A-1
General Application Form (page 3 of 3)**

responsibility to determine the tax liability associated with participating in the Moyer Program.

I understand that an SCAQMD-funded Global Positioning System (GPS) unit will be installed on vehicles/equipment not operating within SCAQMD boundaries full time. I will submit data as requested and otherwise cooperate with all data reporting requirements. I also understand that the additional cost of the GPS unit will be added to the project cost when calculating cost-effectiveness, though the SCAQMD will pay for this system directly.

I understand that the SCAQMD has the right to conduct unannounced inspections for the full project life to ensure the project equipment is fully operational at the activity level committed to by the contract.

I understand that all emission reductions resulting from Carl Moyer funded projects will be retired and the Carl Moyer Program claims all emission reductions from its funded projects. I also understand that there is no double counting or splitting of emission reductions if I receive additional incentive funding.

I understand that a tamper proof, non-resettable digital hour meter/odometer must be installed on all vehicles/equipment and that the digital hour meter/odometer will record the hours/miles accumulated within the SCAQMD boundaries. This cost is my responsibility.

I understand that any tax credits claimed must be deducted from the CMP request.
Please check one:

- I do not plan to claim a tax credit or deduction for costs funded by the CMP.
- I do plan to claim a tax credit or deduction for costs funded by the CMP.

If so please indicate amount here: \$

- I plan to claim a tax credit or deduction only for the portion of incremental costs not funded by the CMP.

If so please indicate amount here: \$

I have checked this box to indicate that there are no potential conflicts of interest with other clients affected by actions performed by the firm on behalf of SCAQMD. If I have not checked this box, I have attached a description to this application of the potential conflict of interest, which will be screened on a case-by-case basis by the SCAQMD District Counsel's Office.

I understand and certify that I am currently in compliance with all federal, state and local air quality rules and regulations at the time of application submittal, and I am not aware of any outstanding or pending enforcement actions.

Please indicate the Total Funding Requested (for the entire project, including all equipment/vehicle replacements, repowers, etc.): \$ _____

By signing below, I certify under penalty of perjury that the information provided in this application is accurate and true.

Please print the name of the signing authority (first and last name)

Signature of signing authority:

Please enter the application submission date:

APPLICATION CHECKLIST

Applicants are encouraged to submit their application using SCAQMD's online system. If you are applying in person, use this checklist to organize your paper copy application. Each of the following application sections is required to be submitted if you submit a paper application:

- A cover letter stating your grant request, how many pieces of equipment and/or engines included in the proposed project, and the funding amount being requested (per engine and for the total project). For applications covering more than one category, organize this information into project category (i.e., marine, locomotive, on-road, etc.)
- This Application Checklist (signed below).
- General Application Form A-1. Provide a separate Form A-1 for each category (i.e., marine, locomotive, etc.) for which grant funding is requested. Form A-1 also includes the following documents:
 - Application Statement (signed and initialed as applicable)
 - Completed and **signed** Business Information Forms¹
- Category Application Form specific to your project category (i.e., locomotive, off-road, marine, etc.), along with the following attachments/enclosures:
 - Optional Excel Worksheet associated with applicable application form/category (you may use this form for multiple unit projects, if desired)
 - Vendor quotes dated no earlier than 90 days prior to the date of application submittal
 - CARB Executive Orders for each engine. Download at:
 - On-road: <http://www.arb.ca.gov/msprog/onroad/cert/cert.php>
 - Off-road: <http://www.arb.ca.gov/diesel/cv.htm>
 - Previous two years of historical records documenting equipment usage, retroactive to the date of application.

Once completed, please submit one original plus three (3) complete signed copies of the application package (all forms and documents), as well as an electronic copy of the application and its supporting documents on a CD or flash drive.

I understand that all documents, as listed above, are required in order to have a complete application package in order to be considered for funding under the Carl Moyer Program.

Signature

Date

¹ These forms may be downloaded at: www.aqmd.gov/moyer



Carl Moyer Program Application Form B-1 On-Road Heavy-Duty Vehicle Replacement

If you have any questions regarding this program or the application process, please contact Tom Lee at (909) 396-2270, tlee@aqmd.gov.

Existing Vehicle Information

Registered Owner:

Does the vehicle have a clean title (no lienholder on the title)? Yes No

Is this a public vehicle? Yes No

Has this equipment received Carl Moyer Program funds in the past? Yes No

Is the vehicle location the same as the applicant address? Yes No

If not, provide vehicle domiciling address:

Provide the vocation of the vehicle:

Vehicle Identification Number
(VIN)

License Plate #

Vehicle Fleet/Unit Number (If
applicable)

Vehicle Model Year

Vehicle Make

Vehicle Gross Weight Rating
(GVWR)

Vehicle Model

Existing Engine Information

Engine Fuel Type

Engine Model

Engine Make

ARB Engine Family
Number

Engine Model Year

Engine Serial Number

Engine Executive Order
(EO) Number



Carl Moyer Program Application Form B-1 On-Road Heavy-Duty Vehicle Replacement

Project Information

ARB Fleet Regulation this vehicle is subject (Drayage, Truck and Bus Reg
Solid Waste Collection Vehicles, Public Fleet, Transit, etc.)

Provide TRUCRS ID Number or DTR number

Amount requested from SCAQMD for this vehicle (\$)

Total Vehicle/Project Cost (From Quote: must equal)

What is your current fleet size? (Should reflect all diesel fuel vehicles with
a GVWR greater than 14,000 lbs.)

If applicable did you register your fleet through ARB's TRUCRS Database by
January 31, 2019? A Compliance Certificate will be required if the fleet is
subject to Truck and Bus Reg. Yes No

Identify other funding sources to be used for this project

Applicant Co-Funding Amount

Operation Information

Percent operation in California (%)

Percent Operation in District (%)
SCAQMD District Boundaries

<http://www.aqmd.gov/home/about/jurisdiction>

Proposed Project Life (this is the number of years that the equipment must operate as specified in your SCAQMD
contract)

Maximum Project Life for On-Road Projects:

Replacements	7 Years
Transit Bus Replacements	12 Years
Repowers	7 Years
School Bus Replacements	10 Years
Electric Conversions	5 Years
Emergency Vehicles	14 Years
Other on-Road Projects	3 Years



Carl Moyer Program Application Form B-1 On-Road Heavy-Duty Vehicle Replacement

Replacement Vehicle and Vendor Information

Replacement Vehicle Cost (including taxes)	Is this a public fleet vehicle?	<input type="radio"/> Yes	<input type="radio"/> No
Replacement Vehicle Make	Replacement Vehicle Model		
Replacement Vehicle Model Year	Replacement Vehicle GVWR		
Vendor	Vendor Contact Name		
Vendor Address	Vendor Phone Number		
Vendor City	Vendor State		
Vendor Zip			

Replacement Engine Information

Engine Fuel Type	Engine Make
Engine Model	Engine Model Year
Engine Family Number	ARB Certification Executive Order (EO) Number (if zero-emission, attach ARB Approval Letter)

Download the EO at: <http://www.arb.ca.gov/msprog/onroad/cert/cert.php>

The proposed engine for the project must be consistent with the Intended Service Class per the EO (MHD Intended Service Class engines cannot be used for projects which have the HHD vehicle classifications). Applicant must ATTACH a copy of the referenced Executive Order with the application. Download the EO at: <http://www.arb.ca.gov/msprog/onroad/cert/cert.php>



Carl Moyer Program Application Form B-1

On-Road Heavy-Duty Vehicle Replacement Engine Activity Information

Please provide projected annual usage for the new equipment over the proposed life of the project. This projection should be based on actual usage data for the baseline, or existing, equipment. Applicants requesting evaluation based on fuel consumption MUST provide both mileage and fuel records from the past 24 months. Supporting documentation may be in the form of maintenance records, fuel receipts, logs, or other paperwork for each piece of baseline equipment covering at least the past 24 months. No such documentation is required for project evaluations based solely on mileage.

Activity Information

Existing Engine - Annual operation details for the past 24-months

March 2020 Mileage March 2019 Mileage March 2018 Mileage

Odometer Reading

Miles Travelled – List the cities/zip codes the vehicle typically travels:

--



**Carl Moyer Program Application
Form B-1
On-Road Heavy-Duty Vehicle Replacement
Attachments**

The following attachments must be submitted for this proposal:

- Insurance Documentation (showing coverage from March 2017 through March 2019)
- Photo of the vehicle GVWR and VIN
- Photo of the engine model year, engine serial number and the engine family number
- Vehicle California DMV registration (showing continuous coverage from March 2017 through March 2019)
 - *For seasonal drivers: vehicle must have been registered in California for three to six continuous months per 12 month period for the previous 24 months.*
- Engine Executive Order(s) and Retrofit Device Executive Order(s)(For both the current and proposed new equipment)
- Quotes (must be within 90 days of application submittal and include applicable taxes and fees)
- Equipment Usage Documentation (for past 24 – months: must support the readings listed under activity Information)
- ARB Approval Letter (for Zero-Emission projects)
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form Direct
- Deposit Form
- Business Status Certification
- Certification of Debarment, Suspension and Other Responsibility Matters
- ARB's Compliance Certificate or Printout from Drayage Truck Registry with vehicle VIN listed
- Vehicle Title



Carl Moyer Program Application Form B-2 On-Road Heavy-Duty Equipment Repower Only : Vehicle Information

If you have any questions regarding this program or the application process, please contact Tom Lee at (909) 396-2270, tlee@aqmd.gov.

Existing Vehicle Information

Registered Owner

Has this equipment received Carl Moyer Program funds in the past? Yes No

Is the vehicle location address the same as the applicant address? If not, please complete below. Yes No

Street Address (if no address, please provide intersection) City

County State

Zip Vehicle Type

If other, please describe:

Vehicle Identification Number (VIN) Vehicle Make

Vehicle Model Vehicle Model Year

Gross Vehicle Weight Rating (GVWR) License Plate #

Unit Number



Carl Moyer Program Application Form B-2 On-Road Heavy-Duty Equipment Repower Only : Project Details

Name of California State Fleet Regulation this vehicle is subject to

Provide TRUCRS ID or DTR Number

Amount requested from SCAQMD for the project (includes all vehicles in proposal)

What is your current fleet size? (Should reflect all diesel fuel vehicles with a GVWR greater than 14,000 lbs.)

If applicable did you register your fleet through ARB's TRUCRS Database by January 31, 2019? Yes No

Total Funding Requested

Identify other funding sources to be used for this project:

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Percent operation in California (%)

Percent Operation in District (%)
SCAQMD District Boundaries <http://www.aqmd.gov/home/about/jurisdiction>

Proposed Project Life (this is the number of years that the equipment must operate as specified in your SCAQMD contract)

Maximum Project Life for On-Road Projects

Replacements	7 years
Transit Bus Replacements	12 years
Repowers	7 Years
School Bus Replacements	10 years
Electric Conversions	5 years
Emergency Vehicles	14 years
Other On-Road Projects	3 years



Carl Moyer Program Application Form B-2 On-Road Heavy-Duty Equipment Repower Only : Engine Information

Baseline Engine Information

Engine Fuel Type	<input type="text"/>	Engine Model	<input type="text"/>
Engine Make	<input type="text"/>	Engine Serial Number	<input type="text"/>
Engine Model Year	<input type="text"/>	ARB Engine Family Number	<input type="text"/>

New Engine Information

New Engine Fuel Type	<input type="text"/>		
New Engine Make	<input type="text"/>	New Engine Model	<input type="text"/>
New Engine Model Year	<input type="text"/>		<input type="text"/>
New Engine ARB Engine Family Number	<input type="text"/>		

ARB Certification Executive Order (EO) Number
(if zero-emission, attach ARB Approval Letter)

Funding Information

New Engine Cost (Including Tax)	<input type="text"/>	New Engine Installation Cost	<input type="text"/>
Grant Request Amount for this Repower	<input type="text"/>		
Vendor	<input type="text"/>	Vendor Contact Name	<input type="text"/>
Vendor Phone Number	<input type="text"/>	Vendor Address	<input type="text"/>
Vendor City	<input type="text"/>	Vendor State	<input type="text"/>
Vendor Zip	<input type="text"/>		

The proposed engine for the project must be consistent with the Intended Service Class per the EO (MHD Intended Service Class engines cannot be used for projects which have the HHD vehicle classifications). Applicant must ATTACH a copy of the referenced Executive Order with the application. Download the EO at: <http://www.arb.ca.gov/msprog/onroad/cert/cert.php>



Carl Moyer Program Application
Form B-2
On-Road Heavy-Duty Equipment
Repower Only : Engine Activity Information

Please provide projected annual usage for the new equipment over the proposed life of the project. This projection should be based on actual usage data for the baseline, or existing, equipment. Applicants requesting evaluation based on fuel consumption MUST provide both mileage and fuel records from the past 24 months. Supporting documentation may be in the form of maintenance records, fuel receipts, logs, or other paperwork for each piece of baseline equipment covering at least the past 24 months. No such documentation is required for project evaluations based solely on mileage.

Activity Information

Baseline Engine - Annual operation details for the past 24-months

	March 2020	March 2019	March 2018
Odometer Reading	<input type="text"/>	<input type="text"/>	<input type="text"/>
Fuel Use (gallons/year)	<input type="text"/>	<input type="text"/>	<input type="text"/>

Mile Traveled - List the cities/ zip codes the vehicle typically travels:



Carl Moyer Program Application Form B-2

On-Road Heavy-Duty Equipment
Repower Only : Attachments

The following attachments must be submitted for this proposal:

- Insurance Documentation (showing coverage from March 2017 through March 2019)
- Photo of the vehicle GVWR and VIN
- Photo of the engine model year, engine serial number and the engine family number
- Vehicle California DMV registration (showing continuous coverage from March 2017 through March 2019)
 - *For seasonal drivers: vehicle must have been registered in California for three to six continuous months per 12 month period for the previous 24 months.*
- Engine Executive Order(s) and Retrofit Device Executive Order(s)(For both the current and proposed new equipment)
- Quotes (must be within 90 days of application submittal and include applicable taxes and fees)
- Equipment Usage Documentation (for past 24 – months: must support the readings listed under activity Information)
- ARB Approval Letter (for Zero-Emission projects)
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form Direct
- Deposit Form
- Business Status Certification Certification of Debarment, Suspension and
- Other Responsibility Matters
- ARB's Compliance Certificate or Printout from Drayage Truck Registry with vehicle VIN listed



Carl Moyer Program Application
 Form B-3
 On-Road Emergency Equipment (Fire Apparatus)
 New Only : Equipment Information

If you have any questions regarding this program or the application process, please contact Tom Lee at (909) 396-2270, tlee@aqmd.gov.

Existing Vehicle Information

Registered Owner

Has this equipment received Carl Moyer Program funds in the past? Yes No

Is the vehicle location address the same as the applicant address? If not, please complete below. Yes No

Street Address (if no address, please provide intersection) City

County State

Zip Vehicle Type

If other, please describe:

Is the vehicle an Authorized Emergency Vehicle?
 (Authorized emergency vehicles as described in the California Vehicle Code, sections 27156.2 and 165? including, but not limited to pumpers, ladder trucks, and water tenders) Yes No

Proposed Project Life (in years)
 This is the number of years that the equipment must operate as specified in your SCAQMD contract. (The maximum project life available for fire apparatus is 14 years and represents the average remaining useful life of the vehicle.)

Vehicle Identification Number (VIN) Vehicle Make

Vehicle Model Vehicle Model Year

Gross Vehicle Weight Rating (GVWR)

License Plate # Unit Number

I have attached proof of California registration for the past 24-months and a copy of the Title, proving ownership (without lien holder) for each project vehicle. Yes No

Is 2 to 1 Replacement Applied? Yes No

Replacement Vehicle and Vendor Information

New Vehicle Make New Vehicle Model

New Vehicle Model Year New Vehicle Cost

New Vehicle GVWR

Vendor Vendor Contact Name

Vendor Phone Number Vendor Address

Vendor City Vendor State



Carl Moyer Program Application
Form B-3
On-Road Emergency Equipment (Fire Apparatus)
New Only : Project Details

Describe type of apparatus:

Are the project vehicle(s) being submitted for funding under this category exempt from ARB Regulations?
Authorized emergency vehicle(s) are described under California Vehicle Code Sections 27156.2 and 165.

Yes No

Is this a public fleet vehicle?

Yes No

Grant Request Amount

Total Funding Requested

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Percent operation in California (%)

Percent Operation in District (%)



Carl Moyer Program Application
Form B-3
On-Road Emergency Equipment (Fire Apparatus)
New Only : Engine Information

Baseline Engine Information

Engine Fuel Type	<input type="text"/>	Engine Model	<input type="text"/>
Engine Make	<input type="text"/>	Engine Serial Number	<input type="text"/>
Engine Model Year	<input type="text"/>	ARB Engine Family Number	<input type="text"/>

ARB Certification Executive Order (EO) Number
(if zero-emission, attach ARB Approval Letter)

Download the EO at: <http://www.arb.ca.gov/msprog/onroad/cert/cert.php>

New Engine Information

Engine Fuel Type	<input type="text"/>	Engine Model	<input type="text"/>
Engine Make	<input type="text"/>		
Engine Model Year	<input type="text"/>		
ARB Engine Family Number	<input type="text"/>	ARB Certification Executive Order (EO) Number (if zero-emission, attach ARB Approval Letter)	<input type="text"/>

The proposed engine for the project must be consistent with the Intended Service Class per the EO (MHD Intended Service Class engines cannot be used for projects which have the HHD vehicle classifications). Applicant must ATTACH a copy of the referenced Executive Order with the application. Download the EO at: <http://www.arb.ca.gov/msprog/onroad/cert/cert.php>



Carl Moyer Program Application Form B-3

On-Road Emergency Equipment (Fire Apparatus) New Only : Engine Activity Information

Please provide projected annual usage for the new equipment over the proposed life of the project. This projection should be based on actual usage data for the baseline, or existing, equipment. Applicants requesting evaluation based on fuel consumption MUST provide both mileage and fuel records from the past 24 months. Supporting documentation may be in the form of maintenance records, fuel receipts, logs, or other paperwork for each piece of baseline equipment covering at least the past 24 months. No such documentation is required for project evaluations based solely on mileage.

Activity Information

Baseline Engine - Annual operation details for the past 24-months. If fuel based evaluation you must also provide mileage.

	March 2020	March 2019	March 2018	Estimated Annual Future Usage
Odometer Reading	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Fuel Use (gallons/year)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>



Carl Moyer Program Application Form B-3

On-Road Emergency Equipment (Fire Apparatus)
New Only : Attachments

The following attachments may be submitted for this proposal:

- Vehicle Registration
- Vehicle Title
- Equipment Usage Documentation (for past 24 – months: must support the readings listed under activity Information)
- ARB Approval Letter (for Zero-Emission)
- Fuel/Mileage Logs
- Engine Executive Order(s) and Retrofit Device Executive Order(s)
- Quotes (must be within 90 days of application submittal)
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Direct Deposit Form
- Miscellaneous Documents
- Business Status Certification
- Certification of Debarment, Suspension and Other Responsibility Matters



**Carl Moyer and SOON Application
Form C-1
Off-Road Equipment Replacement
Equipment Information (page 1 of 2)**

If you have any questions regarding this program or the application process, please contact Walter Shen by phone at (909) 396-2487 or by email at wshen@aqmd.gov.

Large Off-Road Fleets have limited eligibility for Carl Moyer Program funding, but may apply for SOON Program funding using this application. For more information, please visit www.aqmd.gov/SOON.

Please complete ONE (1) Form for each piece of equipment.

Existing Equipment Information

Are you applying under Carl Moyer Program OR the Surplus Off-Road NOx Program?

Has this equipment received Carl Moyer Program funds in the past? Yes No

For Large Fleets Only - have you received Carl Moyer funding after January 1, 2017? Yes No

What is the primary function of this equipment?

Is the vehicle location address the same as the applicant address? If not, please complete below. Yes No

Street Address (if no address, provide intersection) City

County State

Zip Vehicle Type

If other, please describe:

Equipment Category

Equipment Type

If other equipment type, please describe

Equipment Make Equipment Model

Equipment Model Year Equipment Serial Number or VIN

Unit Number or EIN#(for non-Ag Operations)

Is 2 to 1 Replacement Applied? Yes No

Number of Main Engines Number of Auxiliary Engines

Is this equipment used in Agricultural operations? Yes No

What percentage of equipment operations are in Agriculture?



Carl Moyer and SOON Application Form C-1

Off-Road Equipment Replacement Equipment Information (page 2 of 2)

New Equipment and Vendor Information

Unit Number	<input type="text"/>	Equipment Category	<input type="text"/>
Equipment Type	<input type="text"/>		
If other equipment type, please describe	<input type="text"/>		
Equipment Make	<input type="text"/>	Equipment Model	<input type="text"/>
Equipment Model Year	<input type="text"/>		
Vendor	<input type="text"/>	Vendor Contact Name	<input type="text"/>
Vendor Phone Number	<input type="text"/>	Vendor Address	<input type="text"/>
Vendor City	<input type="text"/>	State	<input type="text"/>
Vendor Zip	<input type="text"/>		

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.

Number of engines for this New Equipment Unit:

Main (Front) Engine(s)	<input type="text"/>	Auxiliary (Rear) Engine(s)	<input type="text"/>
New Replacement Unit Cost \$	<input type="text"/>	Tax \$	<input type="text"/>
Total Cost for this Replacement \$	<input type="text"/>	Applicant Co-Funding Amount (If Any) \$	<input type="text"/>
Applicant Grant Request (If Any) \$	<input type="text"/>		



Carl Moyer and SOON Application Form C-1 Off-Road Equipment Replacement Project Details

Is equipment currently subject to CARB's Off-Road Regulation?

Yes No

What is the total horsepower of all vehicles in the fleet?

Enter DOORS Fleet Number

All Off-Road equipment applicants subject to CARB's In-Use Off-Road Diesel Vehicle Regulation must submit their DOORS fleet compliance snapshot and fleet vehicle list.

You may contact the DOORS hotline at (877) 593-6677 for assistance.

SOON applications must also submit the fleet average calculation. Please visit <https://arb.ca.gov/msprog/ordiesel/fac.htm> for more information.

Total Funding Requested (for this Replacement ONLY)

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Is existing equipment in operable condition?

Yes No

How many years has the applicant owned the existing equipment?

Does this vehicle have a functioning, non-resettable hour meter?

Yes No

Percent Operation in California

Percent Operation in District

Note: See <http://www.aqmd.gov/home/about/jurisdiction> for a jurisdiction map.

Proposed Project Life (this is the number of years that the equipment must operate as specified in your SCAQMD contract)



Carl Moyer and SOON Application
Form C-1
Off-Road Equipment Replacement
Engine Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Existing/Baseline Engine Information

Baseline Engine Type Main Auxiliary

Baseline Engine Fuel Type

Baseline Engine Make

Baseline Engine Model

Baseline Engine Model Year

Baseline Engine Serial Number

Baseline Engine Horsepower

Baseline Engine Family Number

Old Engine (Baseline) Emissions Tier

New Engine Information

New Engine Fuel Type

New Engine Make

New Engine Model

New Engine Model Year

New Engine Serial Number

New Engine Horsepower

New Engine Family Number

New Engine (Reduced) Emissions Tier



Carl Moyer and SOON Application
Form C-1
Off-Road Equipment Replacement
Engine Activity Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Project application must include documentation of existing equipment usage for the previous 24 months prior to the application date.

Baseline Engine - Annual operation details for the past 24-months

	Jan - Date of Application Submittal 2020	Jan - Dec 2019	Mar - Dec 2018	Estimated Annual Future Usage
Hours	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>



Carl Moyer and SOON Application
Form C-1
Off-Road Equipment Replacement
Attachments

The following attachments must be submitted for this application:

- Insurance Documentation
- Engine Executive Order(s) and Retrofit Device Executive Order(s)
- Quotes (must be within 90 days of application submittal)
- Equipment Usage Documentation (for past 24 – months including, but not limited to, maintenance records, hour meter readings)
- Photo showing the baseline engine (old) engine model year, engine serial #, HP, engine family # (if available)
- Equipment Ownership (Bill of Sale)
- SOON Fleet Average Calculation (please go to <https://arb.ca.gov/msprog/ordiesel/fac.htm>)
- only for applicants applying for SOON funding (only if applying under SOON Program)
- DOORS Fleet Compliance Snapshot including vehicle list
- Business Information Request Form
- Campaign Contribution Disclosure
- Business Status Cert
- W-9 Form
- Direct Deposit Form
- Certification of Debarment, Suspension and Other Responsibility Matters



Carl Moyer and SOON Application

Form C-2

Off-Road Equipment Repower Equipment Information

If you have any questions regarding this program or the application process, please contact Walter Shen by phone at (909) 396-2487 or by email at: wshen@aqmd.gov

Large Off-Road Fleets have limited eligibility for Carl Moyer Program funding, but may apply for SOON Program funding using this application. For more information, please visit www.aqmd.gov/SOON.

Please complete ONE (1) form for each piece of equipment.

Existing Equipment Information

Are you applying under Carl Moyer Program OR the Surplus Off-Road NOx Program?

Has this equipment received Carl Moyer Program funds in the past? Yes No

For Large Fleets Only - have you received Carl Moyer funding after January 1, 2017? Yes No

What is the primary function of this equipment?

Is the vehicle location address the same as the applicant address? If not, please complete below. Yes No

Street Address (if no address, provide intersection) City

County State

Zip Vehicle Type

If other, please describe:

Equipment Category

Equipment Type

If other equipment type, please describe

Equipment Make Equipment Model

Equipment Model Year Equipment Serial Number or VIN

Unit Number or EIN# (for non-Ag Operations)

Number of Main Engines Number of Auxiliary Engines

Is this equipment used in Agricultural operations? Yes No



Carl Moyer and SOON Application Form C-2 Off-Road Equipment Repower Project Details

Is equipment currently subject to CARB's Off-Road Regulation?

Yes No

What is the total horsepower of all vehicles in the fleet?

Enter DOORS Fleet Number

All Off-Road equipment applicants subject to CARB's In-Use Off-Road Diesel Vehicle Regulation must submit their DOORS fleet compliance snapshot and fleet vehicle list.

You may contact the DOORS hotline at (877) 593-6677 for assistance.

SOON applications must also submit the fleet average calculation. Please visit <https://arb.ca.gov/msprog/ordiesel/fac.htm> for more information.

Total Funding Requested (including Retrofit cost, if applicable)

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE - incl. Retrofit if applicable)

Applicant Co-Funding Amount

Operation Information

Is existing equipment in operable condition?

Yes No

How many years has the applicant owned the existing equipment?

Does this vehicle have a functioning, non-resettable hour meter?

Yes No

Percent Operation in California

Percent Operation in District

Proposed Project Life (this is the number of years that the equipment must operate as specified in your SCAQMD contract)



**Carl Moyer and SOON Application
Form C-2
Off-Road Equipment Repower
Engine Information (page 1 of 2)**

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Existing/Baseline Engine Information

Baseline Engine Type Main Auxiliary

Baseline Engine Fuel Type

Baseline Engine Make Baseline Engine Model

Baseline Engine Model Year Baseline Engine Serial Number

Baseline Engine Horsepower Baseline Engine Family Number

Old Engine (Baseline) Emissions Tier

Method proposed for rendering the baseline engine(s) inoperable

New Engine Information

New Engine Fuel Type

New Engine Make New Engine Model

New Engine Model Year New Engine Serial Number

New Engine Horsepower New Engine Family Number

New Engine (Reduced) Emissions Tier

Is the New Engine a Family Emissions Limit (FEL) engine? Yes No

New Engine Cost Information

New Engine Unit Cost Cost of Installation/Labor

Cost of New Engine Tax Total Cost of Repower

Applicant Co-Funding Amount (if any) Grant Request Amount for this Repower

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.

New Engine Vendor Information

Vendor Vendor Contact Name

Vendor Phone Number Vendor Address

Vendor City Vendor State

Vendor Zip



Carl Moyer and SOON Application
Form C-2
Off-Road Equipment Repower
Engine Information (page 2 of 2)

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Engine Retrofit Information

Will a retrofit device be added to this engine as part of this project?

Yes No

Retrofit Device Make

Retrofit Device Model

% PM Reduction

% NOX Reduction

% ROG Reduction

Retrofit Device ARB Executive
Order Number

Project Life

Retrofit Cost Information

Retrofit Device System Cost

Retrofit Device Installation
Cost

Total Cost of Retrofit

Amount requested for this
retrofit \$



Carl Moyer and SOON Application
Form C-2
Off-Road Equipment Repower
Engine Activity Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Project application must include documentation of existing equipment usage for the previous 24 months prior to the application date.

Baseline Engine - Annual operation details for the past 24-months

	Jan - Date of Application Submittal 2020	Jan - Dec 2019	Mar - Dec 2018	Estimated Annual Future Usage
Hours	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>



Carl Moyer and SOON Application
Form C-2
Off-Road Equipment Repower
Attachment

The following attachments must be submitted for this application:

- Insurance Documentation
- Engine Executive Order(s) and Retrofit Device Executive Order(s)
- Quotes (must be within 90 day of application submittal)
- Equipment Usage Documentation (for past 24 – months including, but not limited to, maintenance records, hour meter readings)
- Photo showing the baseline (old) engine model year, engine serial #, horsepower, engine family # (if available)
- SOON Fleet Average Calculation (please go to <https://arb.ca.gov/msprog/ordiesel/fac.htm>)
- only for applicants applying for SOON funding (only if applying under SOON Program)
- DOORS Fleet Compliance Snapshot - including vehicle list
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Direct Deposit Form
- Business Status Certification
- Certification of Debarment, Suspension and Other Responsibility Matters



Carl Moyer and SOON Application Form C-3 Off-Road Equipment Retrofit Equipment Information

If you have questions regarding this program or the application process, please contact Walter Shen by phone at (909) 396-2487 or by email at: wshen@aqmd.gov.

Existing Equipment Information

Are you applying under Carl Moyer Program OR the Surplus Off-Road NOx Program?

Has this equipment received Carl Moyer Program funds in the past? Yes No

What is the primary function of this equipment?

Is the vehicle location address the same as the applicant address? If not, please complete below. Yes No

Street Address (if no address, provide intersection) City

County State

Zip Vehicle Type

If other, please describe:

Equipment Category

Equipment Type

If other equipment type, please describe

Equipment Make Equipment Model

Equipment Model Year Equipment Serial Number or VIN

Unit Number

Number of Main Engines Number of Auxiliary Engines

Is this equipment used in Agricultural operations? Yes No



**Carl Moyer and SOON Application
Form C-3
Off-Road Equipment Retrofit
Project Details**

Is equipment currently subject to CARB's Off-Road Regulation?

Yes No

What is the total horsepower of all vehicles in the fleet?

Enter DOORS Fleet Number

All Off-Road equipment applicants subject to CARB's In-Use Off-Road Diesel Vehicle Regulation must submit their DOORS fleet compliance snapshot and fleet vehicle list.

You may contact the DOORS hotline at (877) 593-6677 for assistance.

SOON applications must also submit the fleet average calculation. Please visit <https://arb.ca.gov/msprog/ordiesel/fac.htm> for more information.

Total Funding Requested

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Is existing equipment in operable condition?

Yes No

How many years has the applicant owned the existing equipment?

Does this vehicle have a functioning, non-resettable hour meter?

Yes No

Percent Operation in California

Percent Operation in District

See <http://www.aqmd.gov/home/about/jurisdiction> for a jurisdiction map.

Proposed Project Life (this is the number of years that the equipment must operate as specified in your SCAQMD contract)



**Carl Moyer and SOON Application
Form C-3
Off-Road Equipment Retrofit
Engine & Retrofit Information**

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Existing/Baseline Engine Information

Baseline Engine Type	<input type="radio"/> Main	<input type="radio"/> Auxiliary		
Baseline Engine Fuel Type	<input type="text"/>			
Baseline Engine Make	<input type="text"/>	Baseline Engine Model	<input type="text"/>	
Baseline Engine Model Year	<input type="text"/>	Baseline Engine Serial Number	<input type="text"/>	
Baseline Engine Horsepower	<input type="text"/>	Baseline Engine Family Number	<input type="text"/>	
Old Engine (Baseline) Emissions Tier	<input type="text"/>			

Engine Retrofit Information

Retrofit Device Make	<input type="text"/>	Retrofit Device Model	<input type="text"/>	
Verification Level	<input type="text"/>	Project Life	<input type="text"/>	
Verified % PM Reduction	<input type="text"/>	Verified % NOX Reduction	<input type="text"/>	
Verified % ROG Reduction	<input type="text"/>	Retrofit Device ARB Executive Order Number	<input type="text"/>	
Retrofit Device Serial Number	<input type="text"/>			

Retrofit Cost Information

Retrofit Device System Cost	<input type="text"/>	Retrofit Device Installation Cost	<input type="text"/>	
Tax Amount for Retrofit	<input type="text"/>	Total Cost of Retrofit	<input type="text"/>	
Maintenance Cost	<input type="text"/>	Amount requested for this retrofit	<input type="text"/>	
Retrofit Dealer Vendor	<input type="text"/>			

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application. The data-logging cost of a retrofit project cannot be included in the eligible project cost.



Carl Moyer and SOON Application
Form C-3
Off-Road Equipment Retrofit
Engine Activity Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Project application must include documentation of existing equipment usage for the previous 24 months prior to the application date.

Baseline Engine - Annual operation details for past 24 months

	Jan - Date of Application Submittal 2020	Jan - Dec 2019	Mar - Dec 2018	Estimated Annual Future Usage
Hours	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>



Carl Moyer and SOON Application
Form C-3
Off-Road Equipment Retrofit
Attachments

The following attachments must be submitted for this application:

- Insurance Documentation
- Engine Executive Order(s) and Retrofit Device Executive Order(s)
- Quotes (must be within 90 days of application submittal)
- Equipment Usage Documentation (for past 24 – months)
- Other misc. attachments
- DOORS Vehicle List
- SOON Fleet Average Calculation (please go to <https://arb.ca.gov/msprog/ordiesel/fac.htm>) (only if applying under SOON Program)
- DOORS Fleet Compliance Snapshot
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Business Status Certification
- Direct Deposit Form
- Certification of Debarment, Suspension and Other Responsibility Matters



Carl Moyer Program Application

Form C-4

Off-Road Cargo Handling Equipment Electrification : Equipment Information

If you have any questions regarding this program or the application process, please contact Greg Ushijima by phone at (909) 396-3301 or by email at: gushijima@aqmd.gov.

Please complete ONE form for each piece of equipment.

Existing Equipment Information

Has this equipment received Carl Moyer Program funds in the past? Yes No

Is equipment currently subject to CARB's Cargo Handling Equipment regulation?

Note: If you are unable to document that project equipment is not subject to the CARB regulation, then the project is ineligible. Yes No

What is the primary function of this equipment?

Is the vehicle location address the same as the applicant address? If not, please complete below. Yes No

Street Address (if no address, provide intersection)

City

County

State

Zip

Vehicle Type

If other, please describe:

Project Type

Equipment Category

Equipment Type

If other equipment type, please describe

Equipment Make

Equipment Model

Equipment Model Year

Equipment Serial Number or VIN

Unit Number



Carl Moyer and SOON Application Form C-4

Off-Road Cargo Handling Equipment Electrification : Project Details

Total Funding Requested

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Is existing equipment in operable condition?

Yes No

How many years has the applicant owned the existing equipment (must be greater than 2 years)?

Does the existing equipment have a functioning, non-resettable hour meter?

Yes No

Proposed Project Life (this is the number of years that the equipment must operate as specified in your SCAQMD contract)

Please provide a full description of the proposed project. Include specifications for the equipment electrification and associated infrastructure. *SEE ATTACHMENTS*



Carl Moyer and SOON Application Form C-4

Off-Road Cargo Handling Equipment Electrification : Engine & Retrofit Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Existing/Baseline Engine Information

Baseline Engine Type	<input type="radio"/> Main	<input type="radio"/> Auxiliary		
Baseline Engine Fuel Type	<input type="text"/>			
Baseline Engine Make	<input type="text"/>		Baseline Engine Model	<input type="text"/>
Baseline Engine Model Year	<input type="text"/>		Baseline Engine Serial Number	<input type="text"/>
Baseline Engine Horsepower	<input type="text"/>		Baseline Engine Family Number	<input type="text"/>
Old Engine (Baseline) Emissions Tier	<input type="text"/>			

Please provide a full description of the proposed project. Include specifications for the equipment electrification and associated infrastructure. *SEE ATTACHMENTS*

Electrification Vendor /Contractor Information

Vendor	<input type="text"/>	Vendor Contact Name	<input type="text"/>
Vendor Phone Number	<input type="text"/>	Vendor Address	<input type="text"/>
Vendor City	<input type="text"/>	Vendor State	<input type="text"/>
Vendor Zip	<input type="text"/>		

Retrofit Cost Information

Total Project Materials Cost	<input type="text"/>	Total Project Labor Cost	<input type="text"/>
Total Project Cost	<input type="text"/>		
Applicant Co-Funding Amount (if any)	<input type="text"/>	Grant Request Amount	<input type="text"/>

Funding/Cost Information for this Electrification Project - You MUST attach a written estimate from the equipment vendor/contractor documenting the cost of the device; this quote must be obtained within 90 days prior to the closing date of the Program Announcement. Quote must itemize material costs and labor costs separately and must provide explanatory details on each line item. *SEE ATTACHMENTS*



Carl Moyer and SOON Application Form C-4

Off-Road Cargo Handling Equipment Electrification : Engine Activity Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Project application must include documentation of existing equipment usage for the previous 24 months prior to the application date.

Baseline Engine - Annual operation details for the past 24 months

	Jan - Date of Application Submittal 2020	Jan - Dec 2019	Mar - Dec 2018	Estimated Annual Future Usage*
Hours	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

*Please note: Estimated annual usage is only necessary if actual usage is not known. Approved projects will require the applicant to meet the estimated annual usage for the duration of the contract.



Carl Moyer and SOON Application Form C-4

Off-Road Cargo Handling Equipment Electrification :
Attachments

The following attachments must be submitted for this proposal:

- CARB's Cargo Handling Equipment Regulation
- DOORS Vehicle List
- SOON Fleet Average Calculation (please go to <https://arb.ca.gov/msprog/ordiesel/fac.htm>)
- Project Description
- Written Estimate for Project
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Direct Deposit Form
- Business Status Certification
- Certification of Debarment, Suspension and Other Responsibility Matters
- Photo of Equipment, Equipment Tag, Current Hour Meter and Engine Tag



Carl Moyer Program Application Form D-1 Marine Vessels Repower : Equipment Information

If you have any questions regarding this program or the application process, please contact Ping Gui at (909) 396-3187 or pgui@aqmd.gov.

All Commercial Harbor Craft are currently subject to CARB's Commercial Harbor Craft regulation. Attach a copy of your most recent CARB Commercial Harbor Craft Initial Report, and all updates.

Existing Equipment Information

Has this equipment received Carl Moyer Program funds in the past? Yes No

Contract #	<input type="text"/>	Amount Received	<input type="text"/>
Vessel Name	<input type="text"/>	Port/Harbor	<input type="text"/>
Terminal	<input type="text"/>	Pier	<input type="text"/>

Physical Address of the Vessel (including City, State, Zip)

Vessel berth/slip number	<input type="text"/>	Primary Vessel Use	<input type="text"/>
--------------------------	----------------------	--------------------	----------------------

If other vessel type, please describe

Secondary Vessel Use

If other secondary vessel type, please describe

Primary Vessel Hours per Year	<input type="text"/>	Secondary Vessel Hours per Year	<input type="text"/>
Vessel Make	<input type="text"/>	Vessel Model	<input type="text"/>
Vessel Model Year	<input type="text"/>		
Total number of main engines on the vessel	<input type="text"/>	Total number of aux engines on the vessel	<input type="text"/>

U.S. Coast Guard Documentation Number (IMO Lloyd's Number if oceangoing vessel, or CF# AND CA Department of Fish & Game license for fishing vessels manufactured out of the United States or less than five net tons displacement)

Does the project vessel utilize a wet exhaust system? Yes No



Carl Moyer Program Application
Form D-1
Marine Vessels
Repower : Project Details

Total Funding Requested (for Engine Repower(s) on This Marine Vessel)

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Percent Operation in California

Percent Operation in District

Note: For SCAQMD Marine Jurisdiction Map, please see next page.

Purchasing new transmission (if applicable)

Yes No

Justification For Purchasing
New Transmission

New Transmission Cost

Electronic Monitoring Unit: I understand that a new Electronic Monitoring Unit (EMU) will be installed as part of this Project. (This is a program requirement.)

Yes No

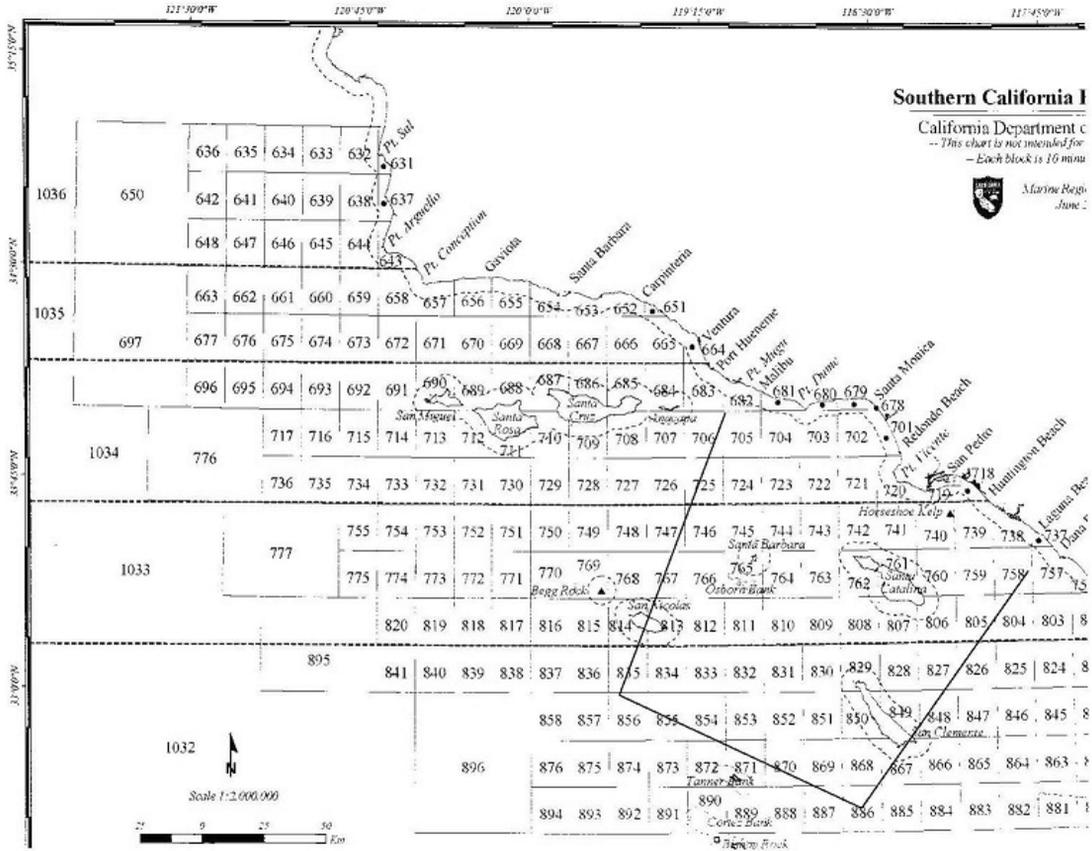
The vessel is required to have a functioning non-resettable hour meter for the full project life. Select YES to indicate understanding and compliance:

Yes No

Proposed Project Life (this is the number of years that the vessel must operate as specified in your SCAQMD contract)



Carl Moyer Program Application
 Form D-1
 Marine Vessels
 Repeater : SCAQMD Boundary Lines



Boundary points for the Box:

Southern Coastal Boundary - San Diego - Orange County Border
 Northern Coastal Boundary - Ventura - Los Angeles County Border

Northern Tip: 33° N and 119° 30' W
 Southern Tip: 32° 30' N and 118° 30' W

Distance between northern coastal point and northern tip: 80 miles approx.
 Distance between southern coastal point and southern tip: 74 miles approx.



Carl Moyer Program Application
Form D-1
 Marine Vessels
 Repower : Engine Information

If you have more than one engine for your marine vessel, please make copies of this page and use one form for each engine.

Existing/Baseline Engine Information

Engine Fuel Type	<input type="text"/>	Old Engine (Baseline) Emissions Tier	<input type="text"/>
Engine Make	<input type="text"/>	Engine Model	<input type="text"/>
Engine Model Year	<input type="text"/>	Engine Horsepower	<input type="text"/>
Engine Type	<input type="radio"/> Main <input type="radio"/> Auxiliary	Engine Serial Number	<input type="text"/>
EPA Engine Family Number	<input type="text"/>	Method proposed for rendering the replaced engine inoperable:	<input type="text"/>
Number of Cylinders	<input type="text"/>	Liters	<input type="text"/>
Does the existing engine have a functioning hour meter?		<input type="radio"/> Yes <input type="radio"/> No	

New Reduced-Emission Engine Information

Engine Fuel Type	<input type="text"/>	Engine Model	<input type="text"/>
Engine Make	<input type="text"/>	Engine Horsepower	<input type="text"/>
Engine Model Year	<input type="text"/>	Engine Serial Number	<input type="text"/>
Engine Type	<input type="radio"/> Main <input type="radio"/> Auxiliary		
EPA Engine Family Number	<input type="text"/>		
Emissions Tier Type	<input type="radio"/> Off Road <input type="radio"/> Marine		
New Engine (Reduced) Emissions Tier	<input type="text"/>	Liters	<input type="text"/>
Number of Cylinders	<input type="text"/>	New Engine Installation/Labor Cost	<input type="text"/>
New Engine Cost (Including Tax)	<input type="text"/>		

NOTE: You MUST attach a written estimate or quotation from the equipment vendor documenting the cost of the new equipment. This quote must be obtained within 90 days prior to the closing date of the Program Announcement. The quote must indicate the certification level of the new, replacement engine (i.e., Tier 3 or cleaner).

Vendor	<input type="text"/>	Vendor Contact Name	<input type="text"/>
Vendor Address	<input type="text"/>	Vendor City	<input type="text"/>
Vendor Zip	<input type="text"/>	Vendor State	<input type="text"/>
Vendor Phone Number	<input type="text"/>		



Carl Moyer Program Application
Form D-1
Marine Vessels
Repower : Engine Activity Information

If you have more than one engine for your marine vessel, please make copies of this page and use one form for each engine.

Project application must include documentation of existing equipment usage for the previous 24 months prior to the application date.

Activity Information

Engine Specific Usage - Annual Operation Details for the Past 24-months

	Jan - Date of Application Submittal in 2020	Jan - Dec 2019	Mar - Dec 2018	Estimated Annual Future Usage
Hours	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>



Carl Moyer Program Application

Form D-1

Marine Vessels

Repower : Attachments

The following attachments must be submitted for this application:

- Insurance Documentation
- Harbor Craft Regulation Initial Report
- Quotes (must be within 90 days of application submittal) Equipment Usage
- Documentation (for past 24 – months)
- Other Miscellaneous Attachments (optional and as required by the project officer)
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Direct Deposit Form
- Business Status Cert
- Certification of Debarment, Suspension and Other Responsibility Matters



**Carl Moyer Program Application
Form D-2
Marine Vessels
Shore Power : Equipment Information**

If you have any questions regarding this program or the application process, please contact Greg Ushijima by phone at (909) 396-3301 or by email at: gushijima@aqmd.gov. Please complete one form for each Shore Power project.

Type of Project

Please note that if you are applying for the Purchase of Transformer and Associated Infrastructure ("Shore Side"), please use the Infrastructure application.

Vessel Retrofit to
Accept Electrical
Power
("Ship-Side")

Type Of Applicant

Existing Equipment Information

Complete one equipment section for each vessel to be retrofitted. For transformer only projects please provide a detailed description of the vessels that typically use this terminal.

If your vessel type is a refrigerated cargo ship, container-ship or passenger ship, please attach your Vessel Plan as required by the ARB shore power regulation: <http://www.arb.ca.gov/ports/shorepower/shorepower.htm>

Vessel Name	<input type="text"/>	Port/Harbor	<input type="text"/>
Terminal	<input type="text"/>	Pier	<input type="text"/>
Vessel berth/slip number	<input type="text"/>	Primary Vessel Function	<input type="text"/>

If other vessel type, please describe

Vessel Make	<input type="text"/>	Vessel Model	<input type="text"/>
Vessel Model Year	<input type="text"/>		
Total number of main engines on the vessel	<input type="text"/>	Total number of aux engines on the vessel	<input type="text"/>
Lloyds Register or IMO Ship ID	<input type="text"/>	US Coast Guard Documentation Number	<input type="text"/>

If you are leasing the terminal, what is the time left on the current lease?

Average berthing time (hours) of the vessel, per visit (include time needed to connect and disconnect the vessel to shore power)

Vessel power (kW) requirements while at berth Average Power Requirement

Vessel power (kW) requirements while at berth Maximum Power Requirement



Carl Moyer Program Application
 Form D-2
 Marine Vessels
 Shore Power : Project Details

Total Funding Requested

Total number of vessels in the fleet

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Identify other potential project partners (ex. Port)

Power supplier (ex. PG&E)

Where does the electrical power infrastructure begin, and end? *

Operation Information

Total number of annual vessel visits expected to use shore power

Total number of annual visits to the terminal

Total number of annual hours of usage for vessels expecting to use shorepower

Project Funding Information

You **MUST** attach a written estimate from the equipment vendor documenting the cost of the device; this quote must be obtained within 90 days prior to the closing date of the Program Announcement. **See Attachments Section.**

Transformer Project Cost	<input type="text"/>	Associated Infrastructure Cost	<input type="text"/>
--------------------------	----------------------	--------------------------------	----------------------

Retrofit Equip. Cost (incl. tax)	<input type="text"/>	Retrofit Equip. Installation Cost	<input type="text"/>
----------------------------------	----------------------	-----------------------------------	----------------------

Total Project Costs

You **MUST** attach a detailed written estimate/quote from the equipment vendor for the cost of the equipment and labor.

REQUEST : MAXIMUM ALLOWABLE

Shore Power Vessel Retrofit ("ship-side"): 100% of retrofit cost & 50% of transformer cost.

REQUEST : OTHER

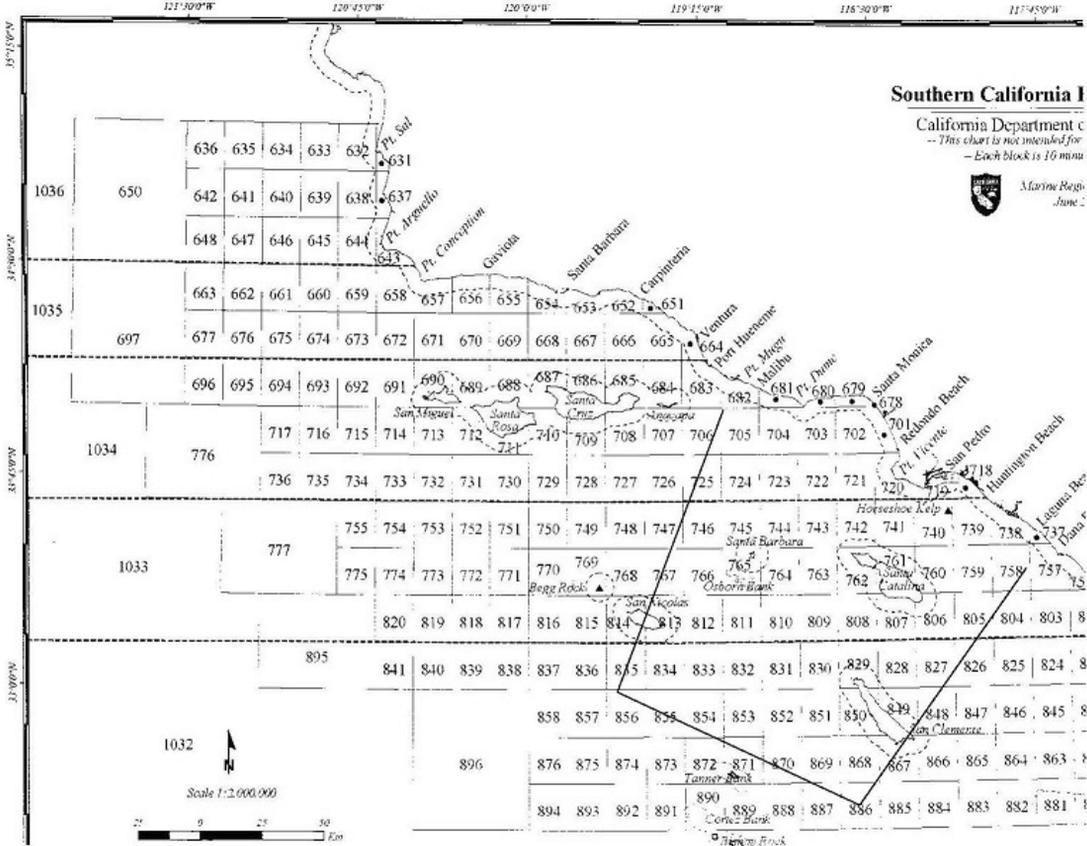
(You may request less than the maximum allowable funding amount to improve cost-effectiveness of your project.)

Anticipated Project Completion Date

Please attach a detailed project schedule. **SEE ATTACHMENTS PAGE**

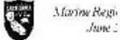


Carl Moyer Program Application
 Form D-2
 Marine Vessels
 Shore Power : SCAQMD Boundary Lines



Southern California I

California Department of Transportation
 -- This chart is not intended for
 -- Each block is 16 miles



Marine Boats
 June 2

Boundary points for the Box:

Southern Coastal Boundary - San Diego - Orange County Border
 Northern Coastal Boundary - Ventura - Los Angeles County Border

Northern Tip: 33° N and 119° 30' W
 Southern Tip: 32° 30' N and 118° 30' W

Distance between northern coastal point and northern tip: 80 miles approx.
 Distance between southern coastal point and southern tip: 74 miles approx.



Carl Moyer Program Application
Form D-2
Marine Vessels
Shore Power : Engine Information

Existing/Baseline Engine Information

Please attach a detailed description of the vessels that will be using the shore power equipment. This description should include:

- Vessel type
- Ship size (in 20-foot equivalent units (TEU) capacity)
- Number and type of engines
- Power demand (total auxiliary power (kW) – not hotelling load)
- The number of auxiliary engines typically operating while at berth per vessel
- Number of annual visits
- Average berthing time (hours) of the vessel, per visit (include time needed to connect and disconnect the vessel to shore power). Be sure to consider the maximum time the auxiliary engines are in use.



Carl Moyer Program Application
Form D-2
Marine Vessels
Shore Power : Engine Activity Information

If you have more than one engine for your project, please make copies of this page and use one form for each engine.

Project application must include documentation of existing equipment usage for the previous 24 months prior to the application date.

Activity Information

Expected annual hours

Expected annual fuel use

"Current Berth Activity" Number of annual ship visits to the berth (attach the log of vessel visits for each of the specified years): For last 3 years

Last Year Vessel Visits

Prior Year Vessel Visits

2 Years Prior Year Vessel Visits

Predicted (Future) Berth Activity:

Estimated annual ship visits using shore power:

2020

2021 and beyond

Estimated monthly hours of operation:

2020

2021 and beyond

Estimated monthly megawatt (MW) usage:

2020

2021 and beyond



Carl Moyer Program Application
Form D-2
Marine Vessels
Shore Power : Attachments

The following attachments must be submitted for this application:

- Detailed Project Proposal
- Other Miscellaneous Attachments (optional and as required by the project officer)
- ARB Shore Power Vessel Plan
- Vessel Logs
- Vessel Activity Information
- Written Estimate Or Quote
- Proposed Project Schedule
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Direct Deposit Form
- Business Status Certification Form
- Certification of Debarment, Suspension and Other Responsibility Matters



Carl Moyer Program Application Form E-1 Locomotive Replacement Equipment Information

For project criteria please refer to the locomotive chapter in the Carl Moyer Program Guidelines. If you have any questions regarding this program or the application process, please contact Greg Ushijima by phone at (909) 396-3301 or by email at: gushijima@aqmd.gov.

If you have more than one equipment for your project, please make copies of this form and use one form for each equipment.

Existing Locomotive Information

Has this locomotive received Carl Moyer Program funds in the past? Yes No

Equipment Location Address

Is the equipment location address the same as the applicant address? If not, please complete section below Yes No

Street Address

If no address, provide intersection

City

County

State

Zip

Vehicle Type

If other, please describe:

Locomotive type

Locomotive Make

Locomotive Model

Locomotive Model Year

Locomotive Serial Number

Unit number or other identifier

New Locomotive Information

Locomotive Make

Locomotive Model

Locomotive Model Year

Equipment Type

Locomotive Serial Number (If Available)

Will the locomotive have a functioning idle limit device (ILD) installed?

Yes No

If other equipment type, please describe

of Main Engines

of Auxiliary Engines

New Locomotive Cost (\$)

Locomotive Vendor Name

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.



Carl Moyer Program Application
Form E-1
Locomotive Replacement
Project Details

Railroad Class

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.

Total Funding Requested (California 675E A 8)

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Future/Projected Locomotive Activity Annual Fuel Usage (gallons per year)

If fuel usage is not available, please provide the future/projected locomotive activity in Megawatt Hour (MWh) per year.

Percent Operation in California

Percent Operation in District

Proposed Project Life (this is the number of years that the equipment must operate as specified in your SCAQMD contract)



Carl Moyer Program Application Form E-1 Locomotive Replacement Engine Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Existing/Baseline Engine Information

Engine Fuel Type	<input type="text"/>		
Engine Make	<input type="text"/>	Engine Model	<input type="text"/>
Engine Model Year	<input type="text"/>	Engine Serial Number	<input type="text"/>
Engine Type	<input type="radio"/> Main <input type="radio"/> Auxiliary	Engine Horsepower	<input type="text"/>
Existing Engine (Baseline) Emissions Tier	<input type="text"/>		
Baseline Engine Family	<input type="text"/>	US EPA Certificate of Conformity No	<input type="text"/>
CARB Executive Order No	<input type="text"/>		

US EPA Certificate of Conformity MUST BE ATTACHED – SEE ATTACHMENTS SECTION

CARB Executive Order MUST BE ATTACHED – SEE ATTACHMENTS SECTION

Reduced Emission Replacement Engine Information

Engine Fuel Type	<input type="text"/>		
Engine Make	<input type="text"/>	Engine Model	<input type="text"/>
Engine Model Year	<input type="text"/>		
Engine Serial Number	<input type="text"/>	Engine Horsepower	<input type="text"/>
EPA Engine Family Name	<input type="text"/>	New Engine (Reduced) Emissions Tier	<input type="text"/>
Engine Cost	<input type="text"/>	Installation Cost	<input type="text"/>
Has this engine been certified by U.S. EPA?	<input type="radio"/> Yes <input type="radio"/> No	U.S. EPA certified locomotive NOx emission rate (g/bhp-hr)	<input type="text"/>
U.S. EPA certified locomotive HC emission rate (g/bhp-hr)	<input type="text"/>	U.S. EPA certified locomotive PM emission rate (g/bhp-hr)	<input type="text"/>



Carl Moyer Program Application
Form E-1
Locomotive Replacement
Engine Activity Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Project application must include documentation of existing equipment usage for the previous 24 months prior to the application date.

Please attach documentation to support the reported usage per year.

Annual Fuel Usage - Annual Operation Details for the Past 24-months

	Jan - Date of Application Submittal in 2020	Jan - Dec 2019	Mar - Dec 2018	Estimated Annual Future Usage
Fuel Use (gallons/year)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

If fuel usage is not available, please attach documentation of the megawatt hours used during the previous 24 months.



**Carl Moyer Program Application
Form E-1
Locomotive Replacement
Attachments**

The following attachments must be submitted for this application:

- Insurance Documentation
- Emissions certification documentation
- Quotes (must be within 90 days of application submittal)
- Equipment Usage Documentation (for past 24-months)
- Other Miscellaneous Attachments (optional and as required by the project officer)
- Engine Executive Order(s) and Retrofit Device Executive Order(s)
- Fuel Documentation
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Direct Deposit Form
- Business Status Cert
- Certification of Debarment, Suspension and Other Responsibility Matters



Carl Moyer Program Application
Form E-2
Locomotive Engine Repower
Equipment Information

For project criteria please refer to the locomotive chapter in the Carl Moyer Program Guidelines.

If you have any questions regarding this program or the application process, please contact Greg Ushijima by phone at (909) 396-3301 or by email at gushijima@aqmd.gov.

If you have more than one equipment for your project, please make copies of this form and use one form for each equipment.

Existing Locomotive Information

Has this locomotive received Carl Moyer Program funds in the past? Yes No

Equipment Location Address

Is the equipment location address the same as the applicant address? If not, complete below: Yes No

Street Address (if no address, provide intersection)	<input type="text"/>	City	<input type="text"/>
County	<input type="text"/>	State	<input type="text"/>
Zip	<input type="text"/>	Vehicle Type	<input type="text"/>

If other, please describe:

Locomotive type

If other locomotive type, please describe

Locomotive Make	<input type="text"/>	Locomotive Model	<input type="text"/>
Locomotive Model Year	<input type="text"/>	Locomotive Serial Number	<input type="text"/>
Unit number or other identifier	<input type="text"/>		



Carl Moyer Program Application
Form E-2
Locomotive Engine Repower
Project Details

Railroad Class

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.

Total Funding Requested from SCAQMD

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Percent Operation in California

Percent Operation in District

Proposed Project Life (this is the number of years that the equipment must operate as specified in your SCAQMD contract):



Carl Moyer Program Application
Form E-2
Locomotive Engine Repower
Engine Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Existing/Baseline Engine Information

Engine Fuel Type	<input type="text"/>		
Engine Make	<input type="text"/>	Engine Model	<input type="text"/>
Engine Model Year	<input type="text"/>	Engine Serial Number	<input type="text"/>
Engine Type	<input type="radio"/> Main <input type="radio"/> Auxiliary	Engine Horsepower	<input type="text"/>
Existing Engine (Baseline) Emissions Tier	<input type="text"/>		
Baseline Engine Family	<input type="text"/>	US EPA Certificate of Conformity No	<input type="text"/>
CARB Executive Order No	<input type="text"/>		

US EPA Certificate of Conformity MUST BE ATTACHED – SEE ATTACHMENTS SECTION

CARB Executive Order MUST BE ATTACHED – SEE ATTACHMENTS SECTION

New Engine Information

Engine Fuel Type	<input type="text"/>		
Engine Make	<input type="text"/>	Engine Model	<input type="text"/>
Engine Model Year	<input type="text"/>		
Engine Serial Number	<input type="text"/>	Engine Horsepower	<input type="text"/>
EPA Engine Family Name	<input type="text"/>	U.S. EPA Certified Locomotive Emission Level	<input type="text"/>
Engine Cost	<input type="text"/>	Installation Cost	<input type="text"/>

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.

Vendor Information

Vendor	<input type="text"/>	Vendor Contact Name	<input type="text"/>
Vendor Address	<input type="text"/>	Vendor City	<input type="text"/>
Vendor Zip	<input type="text"/>	Vendor State	<input type="text"/>
Vendor Phone Number	<input type="text"/>		



Carl Moyer Program Application
Form E-2
Locomotive Engine Repower
Engine Activity Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Project application must include documentation of existing equipment usage for the previous 24 months prior to the application date

Please attach documentation to support the reported gallons per year

Annual Fuel Usage - Annual Operational Details for the Past 24-months

	Jan - Date of Application Submittal in 2020	Jan - Dec 2019	Mar - Dec 2018	Estimated Annual Future Usage
Fuel Use (gallons/year)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>



Carl Moyer Program Application
Form E-2
Locomotive Engine Repower
Attachments

The following attachments must be submitted for this application:

- Insurance Documentation
- Emissions certification documentation
- Quotes (must be within 90 days of application submittal)
- Equipment Usage Documentation (for past 24-months)
- Other Miscellaneous Attachments (optional and as required by project officer)
- Engine Executive Order(s) and Retrofit Device Executive Order(s)
- Fuel Documentation
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Business Status Cert
- Direct Deposit Form
- Certification of Debarment, Suspension and Other Responsibility Matters



**Carl Moyer Program Application
Form E-3
Locomotive - Head End Power Unit
Equipment Information**

For project criteria please refer to the locomotive chapter in the Carl Moyer Program Guidelines.

If you have any questions regarding this program or the application process, please contact Greg Ushijima by phone at (909) 396-3301 or by email at: gushijima@aqmd.gov.

If you have more than one equipment for your project, please make copies of this form and use one form for each equipment.

Existing Locomotive Information

Has this locomotive received Carl Moyer Program funds in the past? Yes No

Equipment Location Address

Is the equipment location address the same as the applicant address? Yes No

Street Address (if no address, provide intersection) City

County State

Zip Vehicle Type

If other, please describe:

Locomotive Make

Locomotive Model

Locomotive Model Year

Locomotive Serial Number

Unit number or other identifier



Carl Moyer Program Application
Form E-3
Locomotive - Head End Power Unit
Project Details

Railroad Class

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.

Total Funding Requested from the SCAQMD

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Percent Operation in California

Percent Operation in District

Proposed Project Life (this is the number of years that the equipment must operate as specified in your SCAQMD contract)



Carl Moyer Program Application
Form E-3
Locomotive - Head End Power Unit
Engine Activity Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Project application must include documentation of existing equipment usage for the previous 24 months prior to the application date.

Please attach documentation to support the reported gallons per year.

Annual Fuel Usage

Contact the SCAQMD Staff Lead to discuss your project and appropriate assumptions for this projection:

	Jan - Date of Application Submittal in 2020	Jan - Dec 2019	Mar - Dec 2018	Annual Fuel Usage (gallons per year)
Fuel Use (gallons/year)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

If fuel usage is not available, please attach documentation of the megawatt hours used during the previous 24 months.

ADDITIONAL PROJECT INFORMATION: Please provide a full description of the proposed project. Include an explanation of any project elements that are not adequately covered in the Application. SEE ATTACHMENTS PAGE.



**Carl Moyer Program Application
Form E-3
Locomotive - Head End Power Unit
Engine Information**

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Existing/Baseline Engine Information

Engine Fuel Type	<input type="text"/>			
Engine Make	<input type="text"/>	Engine Model	<input type="text"/>	
Engine Model Year	<input type="text"/>	Engine Serial Number	<input type="text"/>	
Engine Type	<input type="radio"/> Main <input type="radio"/> Auxiliary		Engine Horsepower	<input type="text"/>
Existing Engine (Baseline) Emissions Tier	<input type="text"/>			
Baseline Engine Family	<input type="text"/>	US EPA Certificate of Conformity No	<input type="text"/>	
CARB Executive Order No	<input type="text"/>			
Is the engine certified to off road or locomotive standards?		<input type="radio"/> Off Road <input type="radio"/> Locomotive		

CARB Executive Order MUST BE ATTACHED – SEE ATTACHMENTS SECTION

US EPA Certificate of Conformity MUST BE ATTACHED – SEE ATTACHMENTS SECTION

Reduced Emission Replacement Engine Information

Engine Fuel Type	<input type="text"/>	Engine Type	<input type="radio"/> Main <input type="radio"/> Auxiliary	
Engine Make	<input type="text"/>	Engine Model	<input type="text"/>	
Engine Model Year	<input type="text"/>			
Engine Serial Number	<input type="text"/>	Engine Horsepower	<input type="text"/>	
EPA Engine Family Name	<input type="text"/>	New Engine (Reduced) Emissions Tier	<input type="text"/>	
Engine Cost	<input type="text"/>			
Does this Engine Have a US EPA Certificate of Conformity (PLEASE ATTACH THE CERTIFICATE IN THE ATTACHMENTS SECTION)	<input type="radio"/> Yes <input type="radio"/> No		U.S. EPA certified locomotive NOx emission rate (g/bhp-hr)	<input type="text"/>
U.S. EPA certified locomotive HC emission rate (g/bhp-hr)	<input type="text"/>	U.S. EPA certified locomotive PM emission rate (g/bhp-hr)	<input type="text"/>	
Does this engine have a CARB Executive Order?	<input type="radio"/> Yes <input type="radio"/> No		CARB Executive Order Number	<input type="text"/>

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.



**Carl Moyer Program Application
Form E-3
Locomotive - Head End Power Unit
Attachments**

The following attachments must be submitted for this application:

- Additional Project Information (optional and as required by the project officer)
- US EPA Certificate of Conformity
- Insurance Documentation
- Emissions certification documentation
- Quotes (must be within 90 days of application submittal)
- Equipment Usage Documentation (for past 24-months)
- Other Miscellaneous Attachments (optional and as required by the project officer)
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Business Status Cert
- Direct Deposit Form
- Certification Regarding Debarment, Suspension, and other Responsibility Matters



Carl Moyer Program – Application for Infrastructure

If you have any questions regarding this program or the application process, please contact Tom Lee by phone at (909) 396-2270 or by email at: tlee@aqmd.gov. Information on the eligible projects and cost for the program can be obtained from Carl Moyer Program Guidelines, Volume 1 Chapter 10¹.

Part 1: Applicant Information

Applicant Name:	Business Name:
Phone Number:	Email:
Address:	
City:	Zip Code:
Is the project location the same as the applicant address? <input type="checkbox"/> Yes <input type="checkbox"/> No (If not, please provide project location address below): Street Address: _____ City: _____ Zip Code: _____	

Part 2: Infrastructure Project Information

Eligible infrastructure projects are those that provide fuel or power to Carl Moyer Program (CMP) eligible vehicles and equipment (i.e., no light-duty vehicle charging stations). Note that a vehicle or equipment application is not required in order to be considered for infrastructure funding. Eligible projects include, but are not limited to, battery charging stations, alternative fuel stations, stationary agricultural stations and shore-side shore power projects.

Eligible costs are limited to the purchase and installation of the equipment for power delivery or fueling directly related to the infrastructure project and must utilize commercially available technologies. Eligible project costs include:

- Cost of design and engineering (i.e., labor, site preparation, Americans with Disabilities Act accessibility, signage).
- Cost of equipment (e.g., charging/fueling units, parts for electrical upgrade, energy storage equipment, materials).
- Cost of insulation directly related to the construction of the station.
- Meter/data loggers.
- On-site power generation system that fuels or powers covered sources (i.e., solar and wind power generation equipment).

Table 1. Maximum Percentage of Eligible Cost for Moyer Program Infrastructure Projects

Maximum Percentage of Eligible Cost	Infrastructure Projects
50%	All Projects
60%	Publicly Accessible Projects
65%	Projects with Solar/Wind Power Systems ²
75%	Publicly Accessible Projects with Solar/Wind Power Systems ²
100%	Public School Buses- Battery Charging and Alternative Fueling



¹ https://www.arb.ca.gov/msprog/moyer/guidelines/2017gl/2017_gl_chapter_10.pdf

² At least 50 percent of the energy provided to covered sources by the project must be generated from solar or wind.

Project Type:

Battery Charging Station (e.g. airport, distribution centers, warehouses, ports)

Number of charging units _____

New Station

Expansion of existing non-residential charging stations to add capacity Other

Alternative Fuel Station

Number of dispensers _____ dual hose Yes No

Hydrogen / Natural Gas / Renewable Natural Gas

New Station

Expansion of existing fueling stations

Other

Stationary Agricultural Pump (Pump Electrification)

Shore Power (Shore-Side Electrification)

Shore-side electrification for projects not subject to CARB's Shore Power Regulation. Only a port authority, terminal operator, or marine vessel owner may apply.

Infrastructure for Transport Refrigeration Unit

Number of plugs _____

Truck Stop Electrification

Please select the following if applicable:

Publicly Accessible Project Yes No

Solar/Wind Power System Yes No

Public School Buses -Battery Charger or Alternative Fuel



Project Description

Please fully describe your project below including, but not limited to:

- A. Annual usage projection such as expected usage- in kWhr per month, standard cubic feet natural gas per month, kg Hydrogen per month.
- B. Technical specification, including a complete listing of all infrastructure equipment, hardware, and components, including (as applicable) component manufacturer and model number if known. In addition, the specification must provide minimum fuel storage capacities, compression and dispenser ratings, as well as number, make, and model of dispensers, hoses and card readers, etc. if known.
- C. Chargers must be certified by a nationally recognized testing laboratory (i.e., Underwriter’s Laboratories, Intertek) and provide design specifications including voltage, amperage, wattage, efficiency, compressor size, number of dispensers,, number of fuel nozzles or charge connections, dispensing rate, storage capacity, etc. D. An estimate of the annual connections to the chargers and average connection time.
- E. For stations expanding to accommodate new load, provide information on the base load and justify the need for and amount of the new load that is needed to accommodate the growth in vehicles or equipment using the infrastructure.
- F. Fleet commitment information, including number of vehicles/equipment planning to fuel or power at the new infrastructure, including the engine model year and certification level of each vehicle.
- G. A site plan depicting the infrastructure location, including at a minimum the adjacent streets, entrance and exit locations, locations of dispenser islands or chargers, canopies, fuel storage tanks, compressors, walls and/or spill containment areas as appropriate.
- H. A description of other project elements, including site amenities such as private access/public access islands, card reader payment options, overhead canopies, signage, traffic circulation plan, landscaping, fencing, security lighting, etc.

Project Description (Attach extra pages as necessary):



Part 3: Project Installer and Vendor Information

In the section below, please provide information for each installer and vendor that will be involved with the infrastructure project:

Name of the Vendor:	Vendor Contact Name:
Phone Number:	Email:
Address:	City:
State:	Zip Code:
What is the scope of work for this installer/vendor?	
Name of the Vendor:	Vendor Contact Name:
Phone Number:	Email:
Address:	City:
State:	Zip Code:
What is the scope of work for this installer/vendor?	
Name of the Vendor:	Vendor Contact Name:
Phone Number:	Email:
Address:	City:
State:	Zip Code:
What is the scope of work for this installer/vendor?	
Is there another installer/vendor for your infrastructure project? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Is yes, please attach vendor information as an Attachment to this page.	



Part 4: Project Cost and Funding Request

All cost estimates must be based on quotes/bids. A minimum of two quotes/bids from licensed installers for the project is required. In addition, the applicant should summarize their solicitation and selection process (i.e., how will the winning bidder be selected by the applicant) in an attachment.

Attach all quotes/bids to the application. Provide the name of the vendor for the costs listed below.

Design and Engineering Cost \$ _____ Vendor _____

Total Equipment Cost \$ _____ Vendor _____

Installation Cost \$ _____ Vendor _____

Other Cost \$ _____ Vendor _____

For other costs, please describe and provide the cost for each item:

Total Cost \$ _____ (From Quote: MUST EQUAL QUOTE)

Applicant Grant Request (total grant funds requested for the project): \$ _____

Proposed Project Life: _____

This is the number of years that the equipment must operate as specified in your SCAQMD contract (must be at least 3 years and no longer than 15 years, subject to CMP Guidelines).

Part 5: Disclosure of Amounts of Other Funding

Applicant must disclose all sources of funding (private, local, other State, Federal funding sources, etc.) for the project at the time of application.

Name of Funding Entity:	Program Description:	Funding Amount:	Status (Planned, Application Submitted or Application Granted):
<i>(Example: EPA)</i>	<i>(DERA)</i>	<i>(\$25,000)</i>	<i>(Application Submitted)</i>

Supporting documentation:

Please identify and label all attached documents on the top of the page.

- Quotes/bids (At least two quotes/bids from licensed installers)
- Local Permits Obtained for the Project (if not yet obtained, please submit a plan)
- Land Ownership/Lease agreement (applicants must document that they either own the land on which the project will be located, or control it through a long-term lease for the duration of the project life)
- Documentation that sufficient power or fuel is being provided to the site (e.g. application, payment to the local utility company for power installation, or contract)
- Project Timeline/Schedule/Plan



- If public access, provide aerial map (i.e. Satellite view from an internet based map or city/county map)
- For Shorepower projects, provide the “Initial Terminal Plan”



South Coast Air Quality Management District

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

Business Information Request

Dear South Coast AQMD Contractor/Supplier:

South Coast Air Quality Management District (South Coast AQMD) 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
Chief Financial Officer

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

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 South Coast AQMD, _____ (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 South Coast AQMD 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 | <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 South Coast AQMD at the time of bid application.
- performs 90 percent of the work within South Coast AQMD'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 South Coast AQMD 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 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.	1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.	
	2 Business name/disregarded entity name, if different from above	
	3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only one of the following seven boxes.	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):
	<input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ▶ _____ <small>Note: 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 not 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.</small> <input type="checkbox"/> Other (see instructions) ▶ _____	<input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____ <small>(Applies to accounts maintained outside the U.S.)</small>
	5 Address (number, street, and apt. or suite no.) See instructions.	Requester's name and address (optional)
	6 City, state, and ZIP code	
	7 List account number(s) here (optional)	

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.

Social security number

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or

Employer identification number

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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:

- 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
- 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
- I am a U.S. citizen or other U.S. person (defined below); and
- 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.

Sign Here	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.

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-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 24% 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 ¹	Generally, exempt payees 1 through 5 ²
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

¹ See Form 1099-MISC, Miscellaneous Income, and its instructions.

² 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. 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 and clicking on Employer Identification Number (EIN) under Starting a Business. Go to 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 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 ¹
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 ²
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 ¹ The actual owner ¹
6. Sole proprietorship or disregarded entity owned by an individual	The owner ³
7. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(e)(2)(i)(A))	The grantor ⁴
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 ⁴
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

¹ 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.

² Circle the minor's name and furnish the minor's SSN.

³ 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.

⁴ 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. 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 or report them at www.ftc.gov/complaint. You can contact the FTC at www.ftc.gov/idtheft or 877-IDTHEFT (877-438-4338). If you have been the victim of identity theft, see www.IdentityTheft.gov and Pub. 5027.

Visit 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.

2019 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 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 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 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.

Specific Instructions

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.

Additional Information

Website: For more information go to 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 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

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

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.

Typed Name & Title of Authorized Representative

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 (South Coast AQMD) 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 South Coast AQMD 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 South Coast AQMD; 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, South Coast AQMD 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 South Coast AQMD Governing Board Members can be found at South Coast AQMD website (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

Direct Deposit Authorization

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 (South Coast AQMD) 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 South Coast AQMD 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 South Coast AQMD for distribution. This will delay my payment.
- This authorization remains in effect until South Coast AQMD receives written notification of changes or cancellation from you.
- I hereby release and hold harmless South Coast AQMD 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

Staple Voided Check Here	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 South Coast AQMD Use Only

Input By _____

Date _____



Surplus Off-Road Opt-In for NOx (SOON)

SOUTH COAST AQMD PROGRAM ANNOUNCEMENT PA2020-03

The South Coast Air Quality Management District (South Coast AQMD) is soliciting project proposals for the following purpose according to terms and conditions attached. In this Program Announcement (PA) the words “Proposer,” “Applicant,” “Contractor,” and “Consultant” are used interchangeably.

SECTION I – OVERVIEW

PURPOSE

The South Coast AQMD is seeking proposals for the Surplus Off-Road Opt-In for NOx (SOON) Provision of the California Air Resources Board’s (CARB’s) In-Use Off-Road Diesel-Fueled Fleets Regulation. The primary purpose of this Program is to provide financial incentives to assist in the purchase of zero or lower-emissions heavy-duty engine technologies to achieve near-term nitrogen oxides (NOx) emissions reductions from in-use off-road equipment. Since funding for the SOON Program is from the Carl Moyer Program (CMP), all CMP requirements apply to this Program, except where specifically noted, or where the South Coast AQMD implements more stringent program criteria as described in the Rule 2449 SOON Implementation Guidelines.

INTRODUCTION

The SOON Program is designed to achieve additional NOx reductions above those that would be obtained from the state off-road regulation. These reductions are critical to meeting the PM2.5 and ozone ambient air quality standards in the South Coast Air Basin.

Funding for Program Announcement PA2020-03 is from the CMP. Project awards are contingent upon receiving the CMP funds from CARB. Additional sources of funding, such as AB 923, may be available and added to this Program.

Eligible projects qualified for the SOON Program must meet a maximum cost-effectiveness limit of \$30,000 per ton of NOx emissions reduced and any additional South Coast AQMD criteria as stated in this PA. For advanced technology projects that are zero-emission, or alternatively meet the cleanest certified optional NOx standard applicable, South Coast AQMD may apply a cost-effectiveness limit of up to \$100,000 per weighted ton of NOx emissions reduced, for the incremental emission reductions that go beyond current emission standards, as allowed by the CMP 2017 Guidelines. Projects exceeding the cost-effectiveness limit may receive partial funding up to the cost-effectiveness limit or will be deemed ineligible. Except where otherwise stated, projects must meet the requirements of the CMP 2017 Guidelines.

Applications submitted in response to this PA will be evaluated according to the approved 2017 CMP Guidelines. It is the applicant’s responsibility to ensure that the most current information and requirements are reflected in a submitted application. Applicants should check the CARB website for any updates and/or advisories to the guidelines <http://www.arb.ca.gov/msprog/moyer/guidelines/current.htm>.

South Coast AQMD staff will evaluate all qualified SOON Program applications and make recommendations to the Governing Board for final selection of project(s) to be funded. All eligible

projects will be ranked based on cost-effectiveness of NOx emissions reduced. Please note that depending upon the number of applications received in response to this PA, South Coast AQMD may prioritize the selection of projects to reduce emissions in and around DAC and low-income communities. While South Coast AQMD encourages all eligible applications, this means that some projects may not be selected based on their domicile address, regardless of their cost-effectiveness ranking.

At least 50 percent of South Coast AQMD's CMP funds will be targeted for projects that meet the criteria of a disadvantaged or low-income community project. Other non-CMP funding sources may have DAC and/or low-income status requirements that may limit South Coast AQMD's ability to award such funding to projects that do not meet applicable geographic or income requirements. The Office of Environmental Health Hazard Assessment (OEHHA) in the California Environmental Protection Agency (CalEPA) has developed the California Communities Environmental Health Screening Tool: CalEnviroScreen Version 3.0 (CalEnviroScreen 3.0). The CalEnviroScreen 3.0 tool will be used by South Coast AQMD to identify projects that qualify as a DAC, which is defined as scoring in the top 25th percentile, and will strive to maximize the benefits to these communities from this PA. All applications will be assessed with the CalEnviroScreen tool to identify and verify if the project will benefit a DAC. This tool is available at: <https://oehha.ca.gov/calenviroscreen/report/calenviroscreen-30>

South Coast AQMD SOON Program requirements may be more stringent than CARB's requirements and/or guidelines. For example, South Coast AQMD may have a lower cost-effectiveness ceiling for a particular project type. In case there is any conflict between CARB and South Coast AQMD criteria, the more stringent criteria will prevail. South Coast AQMD will post any new information and requirements on its SOON Web page at www.aqmd.gov/soon. It is the responsibility of the applicant to ensure that the most current information and requirements are reflected in a submitted application. Be aware that there is a possibility that due to program priorities, cost-effectiveness or funding category limitations (i.e., caps), project applications may be offered only partial funding, and not all applications that meet the cost-effectiveness criteria may be funded.

DEFINITIONS

1. Alternative Fuel
Alternative fuels include compressed natural gas (CNG), liquefied natural gas (LNG), methanol, ethanol, propane (LPG) and electric technologies.
2. Base Rule
Base rule is defined as the CARB In-Use Off-Road Diesel-Fueled Fleets Regulation without the SOON provisions (Title 13, Division 3, Chapter 9, Article 4.8, Section 2449 and 2449.1). Compliance with the Base Rule is required and is demonstrated by the DOORS Compliance Snapshot.
3. Compliance Plan
Compliance plan is the future forecast of fleet average emissions using current fleet information and planned future repower, replacement, retirement and retrofit projects. An Excel spreadsheet template is available on the South Coast AQMD SOON webpage.
4. Contract Term
Contract term is the duration for which the contract is valid. It encompasses both the project

completion and project implementation periods.

- i. Project completion period is the first part of the Contract term starting from the date of Contract execution by both parties to the date the project post-inspection confirms that the project has become operational.
- ii. Project implementation period is the second part of the Contract term and equals the project life.

5. Cost-Effectiveness Limit

The cost-effectiveness limit determines the maximum funding that can be provided to an individual vehicle repower, replacement or retrofit project for each ton of emissions reduced. Under the SOON Program the cost-effective is calculated based on tons of NOx reduced per year.

6. Current NOx Standard

For all engine horsepower categories, the current NOx standard in 2020 is Tier 4 Final.

7. Dual-Fuel Technology

Dual-fuel technology includes electric hybrids and technologies that utilize a combination of either CNG and diesel fuel or LNG and diesel fuel, provided they are certified by CARB. Experimental technologies and fuels will be referred to CARB for evaluation and possible eligibility in the program.

8. Incremental Cost

Incremental cost is the percent of actual cost that is eligible for SOON funding. For repower projects, it is 85%; for replacement projects, it is 80%; and for NOx retrofit projects, it is 100%.

9. Project Life

Project life is the period of the contract term during which the repowered, replacement or retrofitted vehicle is operated. The contractor must report the annual usage throughout the project life. In addition, project life is used to calculate the cost-effectiveness and funding amount for a project.

10. Replacement Project

Replacement project is the purchase of a new or used vehicle to replace an existing vehicle. Only new vehicles meeting Tier 4 Final emissions standards are eligible for funding.

11. Repower Project

Repower project is the replacement of an old engine of an existing vehicle with a newer engine certified to lower emission standards.

12. Retrofit Project

Retrofit project is a modification made to an engine exhaust and/or fuel system such that the specifications of the retrofitted engine are different from the original engine.

GENERAL PROGRAM INFORMATION

The primary focus of the SOON Program is to achieve emission reductions from heavy-duty off-road vehicles and equipment operating in California as early and as cost-effectively as possible. The SOON Program is intended to achieve additional NOx reductions which are needed to meet the PM2.5 and ozone ambient air quality standards in the South Coast Air Basin. The emission reductions expected

through the deployment of zero or low-emissions engine or retrofit technologies under this Program must be real, surplus and quantifiable. Senate Bill 513 (Beall) removed many of the limitations associated with co-funding from other sources. The air district must verify the sum of all other incentive funds to ensure the Moyer funds will not exceed the total project cost. Applicants from non-public entities must provide at least 15 percent of the Moyer eligible project costs from non-public sources.

Replacement and repower projects are **limited to only** those involving a diesel baseline engine subject to the off-road regulation, and a lower emission or zero emission technology that is certified, verified or approved by CARB. **All projects must meet the program's cost-effectiveness limit(s) and be operational no later than May 20, 2022.** No administrative or vehicle operational costs are eligible.

It is expected that multiple awards will be granted under this PA, subject to the approval of the South Coast AQMD Governing Board.

All proposals will be evaluated based on criteria set forth in this PA. The South Coast AQMD will evaluate and/or verify information submitted by the applicant. At South Coast AQMD's discretion, consultants contracted by South Coast AQMD may conduct all or part of such evaluation and/or verification. Data verification during the evaluation and contracting process may cause initial cost-effectiveness rankings, and associated awards, to change. Furthermore, the South Coast AQMD reserves the right to make adjustments to awards based on the subsequent verification of information as well as changes in cost-effectiveness.

IMPORTANT PROGRAM INFORMATION

- Fleets with a total statewide equipment horsepower over 20,000 hp and with 40 percent or more of their vehicles at Tier 0 and Tier 1 emission levels as of January 1, 2008, are subject to the SOON Program and are required to apply for funding. Fleets not meeting both of the above criteria on January 1, 2008, may voluntarily participate in this Program and apply for funding.
- For this program cycle, all projects will be eligible for a maximum seven-year operational requirement within the jurisdiction of the South Coast Air Quality Management District. A shorter project life will be considered on a case-by-case basis and may be required by the CMP Guidelines for specific types of equipment. However, a shorter project life may affect the project's ranking relative to other projects and the amount of funding that can be provided.
- The annual hours used to calculate cost-effectiveness will be included in the contract. An extension of the contract or partial payback of funds may be required if the proposed annual hours are not achieved.
- For all repower projects, fleets are **not** required to, but may install the highest level verified diesel emission control system (VDECS) at their own cost.
- Retrofit projects which can achieve NOx reductions may be funded on a case-by-case basis.
- Applicants must demonstrate that during the contract period, vehicles equipped with NOx retrofits, repowered with new engines, or that have been replaced using SOON program funding, will not use a lower emission rate to calculate the fleet average index and target rate and BACT credit to meet compliance in the Diesel Off-Road Online Reporting System (DOORS). Actions taken using SOON program funding may be used for determining compliance **after** the completion of the SOON program project contract period for that vehicle. For example, if a Tier 2 vehicle is repowered with a Tier 4 engine with SOON Program funds for purposes of

compliance with the off-road regulation, that vehicle is still treated as if it were a Tier 2 until the end of the contract period for the SOON program project.

- Applicants **must** provide vendor quotes with their application to document the cost of implementing the proposed technology. **All quotes must have been obtained within 90 days of application submittal. Applicants may be required to submit quotes from more than one technology provider.**
- For off-road replacement and repower projects, the CMP guidelines specify that the horsepower rating of the new (or replacement) engine must not be greater than 125 percent of the original manufacturer rated horsepower of the old (or existing) engine. If the new engine is greater than 125 percent, then the eligible funding amount will be based on the cost of an engine or equipment with a horsepower rating that is no higher than 125 percent of the existing engine horsepower rating. The applicant must pay the additional costs associated with the higher horsepower engine and obtain a price quote for an engine or equipment that is within the 125 percent range for the funding determination. In addition, verifiable records on the existing engine must be provided with the application to accurately identify the engine manufacture year and horsepower (e.g., photographs of engine labels, statement from engine manufacturers, etc.).
- Applicants must demonstrate that they are in full compliance with all applicable CARB regulations and that vehicle/equipment funding requests under this Program provide surplus emissions reductions. **Applicants are required to submit a compliance plan showing how they will comply with the targets of CARB's In-Use Off-Road Diesel-Fueled Fleets Regulation throughout the contract term, as well as how the new projects under this PA will meet SOON NOx targets in 2023.**
- Applicants must ensure that the vehicle/equipment to be purchased or installed is in compliance with all applicable federal, state and local air quality rules and regulations and that it will maintain compliance for the full contract term.
- Any associated tax obligation with the award is the responsibility of the grantee.
- No third-party contracts will be executed. The South Coast AQMD contract must be signed by the equipment owner.
- Pre- and post-inspection of all vehicles/engines/equipment approved for funding will be conducted by South Coast AQMD.
- Destruction of the engine/equipment being repowered or replaced is required.
- To avoid double dipping, applicants shall not apply for funding for the same equipment in any other air district.

POTENTIAL PROJECTS

All eligible projects must use CARB-certified technology or technology that has been verified/approved by CARB for real and quantifiable emission reductions that go beyond any regulatory requirement. The following projects are eligible for SOON funding:

Repower Project

For a repower project, the new engine must be certified for sale in California to the current NOx emission standard (Tier 4 Final). If an engine meeting the current emission standard is not available or cannot be installed:

- A Tier 3 Replacement Engine rated at 175 hp or higher can be used for the repower project.

- A Tier 3 Replacement rated at 175 horsepower or less can be used for repower projects provided it complies with U.S. Environmental Protection Agency (EPA) requirements related to replacing in-use engines contained in the Code of Federal Regulations, Title 40, Section 1068.240.
- For off-road equipment with similar modes of operation to on-road vehicles, other possible options include the replacement of an older diesel off-road engine with a new on-road engine certified to an emission standard equal to or cleaner than the Tier 4 Final off-road emission standard or a newer emission certified alternative fuel engine.

Retrofit Project

For a retrofit project, the retrofit technology **must provide a NOx benefit** and must be:

- Verified by CARB to reduce NOx or NOx plus PM for the specific engine for which funding is requested.
- In compliance with established durability and warranty requirements and cost-effectiveness criteria.

Diesel Particulate Filters (DPFs) and other devices that are not verified to reduce NOx are not eligible for SOON funding. The applicant will find more information on VDECS, including a list of currently verified DECS at <http://www.arb.ca.gov/diesel/verdev/verdev.htm>.

Replacement Project

For replacement projects, the replacement vehicle/equipment must be powered by a Tier 4 Final engine. If a vehicle/equipment with a Tier 4 Final engine will not be available within 6 months of the application submittal, vehicle/equipment with an Interim Tier 4 or Tier 3 engine may be purchased.

PROJECT CRITERIA

The South Coast AQMD retains the authority to impose more stringent additional requirements in order to address local concerns.

- Off-road CI equipment eligible for SOON Program funding includes equipment 25 hp (19 kilowatt) or greater. The complete definition can be found in CARB's In-Use Off-Road Diesel-Fueled Fleets Regulation at <http://www.arb.ca.gov/msprog/ordiesel/ordiesel.htm>.
- SOON Program grants can be no greater than a project's incremental cost (85% of quotation for repower projects, 80% of quotation for replacement projects). The incremental cost shall be reduced by the value of any current financial incentive that reduces the project price, including but not limited to tax credits or deductions, grants or other public financial assistance.
- Applicants must ensure that the vehicle/equipment to be purchased or installed is in compliance with all applicable federal, state and local air quality rules and regulations and that it will maintain compliance for the full contract term.
- The certification emission standard and Tier designation for the engine must be determined from the CARB's Executive Order issued for that engine, not by the engine model year. Executive orders for off-road engines may be found at <http://www.arb.ca.gov/msprog/offroad/cert/cert.php>.
- Reduced emission engines or retrofits must be certified/verified for sale in California and must comply with durability and warranty requirements. These may include new CARB-certified engines and verified diesel emission control strategies.

- New vehicles equipped with Tier 4 family emission limits (FEL) engines certified to Tier 3 or Interim Tier 4 standards are eligible for SOON Program funding. **However, those engines will have their cost-effectiveness calculated as though they were Tier 3 engines.**
- New engines manufactured under the “Flexibility Provisions for Equipment Manufacturers”, as detailed in Title 13, CCR, section 2423(d), are ineligible for SOON Program funding to repower equipment.
- For replacement projects, existing equipment with engines manufactured under the flexibility provision, detailed in CCR, title 13, section 2423 (d), the baseline emission rates shall be determined by using the previous applicable Tier emission standard for the existing engine model year and horsepower rating.
- Class 7 diesel forklifts are the only diesel forklifts eligible for SOON Program funding and are subject to all off-road project criteria. The South Coast AQMD must obtain and verify documentation of the classification of the forklift prior to funding.
- If repower with an engine meeting the current applicable standard is technically infeasible, unsafe or cost prohibitive, the replacement engine must meet the most current practicable previously applicable emission standard and cost-effectiveness criteria and, if rated at less than 175 hp, must comply with the requirements related to replacing in-use engines contained in Title 40, Code of Federal Regulations, Section 1068.240.
- Replacement of an uncontrolled diesel off-road engine with a new on-road engine certified to an emission standard equal to or lower than the Tier 4 Final off-road emission standard or a newer emission-certified alternative fuel engine may be eligible for funding as off-road equipment with similar modes of operation as on-road vehicles on a case-by-case basis. Other equipment may be eligible for funding on a case-by-case basis. These repowers must meet all other applicable project criteria.
- Applicants must provide their DOORS Fleet Compliance Snapshot.
- Applicants must provide the DOORS EIN for each vehicle for which funding is requested.
- Applicants must provide proof they have owned each vehicle for which funding is requested for a replacement vehicle for at least two years.
- Applicants must provide a current Compliance Plan using the South Coast AQMD fleet calculator or the DOORS calculator demonstrating compliance with the off-road regulation throughout the anticipated contract period.
- Applicants must provide at least the most recent two (2) years of hour-meter readings.

Potential projects that fall outside of these criteria may be considered on a case-by-case basis if evidence provided to the air district suggests potential surplus, real, quantifiable and enforceable emission reduction benefits.

MAXIMUM ELIGIBLE FUNDING

The maximum eligible funding amount and project life for each SOON project type is summarized below.

Project	Maximum Funding	Maximum Project Life
Replacement	80% of vehicle/equipment cost	Five years, except:

		<ul style="list-style-type: none"> • Three years for excavators, skid steer loaders, and rough terrain forklifts
Repower	85% of engine cost plus parts and labor necessary for installation	Seven years
Retrofit	100% of retrofit device cost plus parts and labor for installation, plus estimated cost for maintenance during project life.	Five years

COST-EFFECTIVENESS EVALUATION DISCUSSION

The SOON Program is required to meet the requirements of the CMP by using the cost-effectiveness calculation methodology found in Appendix C of the CMP Guidelines (see <http://www.arb.ca.gov/msprog/moyer/guidelines/current.htm>). Under the SOON Program, only NOx emission reductions will be taken into consideration to calculate the cost-effectiveness.

REPORTING AND MONITORING

All participants in the SOON Program are required to keep appropriate records during the full contract period. Project life is the number of years used to determine the cost-effectiveness and is equivalent to the contract implementation period. All equipment must operate in the South Coast AQMD for the full project life. The South Coast AQMD shall conduct periodic reviews of each project’s operating records to ensure that the engine is operated as stated in the program application. Annual records must contain the following, at a minimum:

- Total Hours of Operation
- Total Hours of Operation in the South Coast Air District
- Annual Maintenance and Repair Information

Records must be retained and updated throughout the project life and made available for South Coast AQMD inspection. The South Coast AQMD may conduct periodic reviews of each vehicle/equipment project’s operating records to ensure that the vehicle is operated as required by the project requirements.

Equipment owner, if awarded CMP grant funds, will be required to submit annual reports for the life of the project, as described in Section II – Work Statement/Schedule of Deliverables.

PROGRAM ADMINISTRATION

The SOON Program will be administered locally by the South Coast AQMD through the Science and Technology Advancement Office.

FUNDING CATEGORIES

Only equipment identified in the CARB In-Use Off-Road Diesel-Fueled Fleets Regulation is eligible for this Program.

PROJECT EVALUATION/AWARDS

South Coast AQMD staff will evaluate all submitted proposals and make recommendations to the South Coast AQMD Governing Board for final selection of project(s) to be funded. Proposals will be evaluated for cost-effectiveness of NOx emissions reduced on an equipment-by-equipment basis, as well as a project's disproportional impact evaluation. (This is discussed further in Section IV).

SCHEDULE OF EVENTS

Release of PA2020-03	March 6, 2020
Workshop – 10AM to 1PM* Coachella Valley Mosquito and Vector Control Board Room 43420 Trader Place Indio, CA 92201	Wednesday, April 15, 2020 (Carl Moyer and SOON Program will be discussed at the workshop with an emphasis on agricultural projects)
Workshop – 10AM to 1PM* Resurrection Church, Parish Hall 3324 E. Opal Street Los Angeles, CA 90023	Wednesday, April 22, 2020
Workshop – 9AM to 12PM* Salt Lake Park, The Lounge 3401 E. Florence Avenue Huntington Park, CA 90255	Thursday, May 7, 2020
Workshop – 5:30PM to 8:30PM* San Bernardino Valley College, Building B100 701 South Mount Vernon Avenue San Bernardino, CA 92410	Tuesday, May 12, 2020
2 Workshops – 9AM to Noon* South Coast AQMD Headquarters Conference Room CC6 21865 Copley Drive Diamond Bar, CA 91765	Wednesday, April 29, 2020 Wednesday, May 6, 2020
All Applications Due	No later than 1:00 PM, Tuesday, June 2, 2020

Anticipated Award Consideration by South Coast AQMD Board	October-November 2020
*Training for the online application system will be included in these workshops.	

**ALL PROPOSALS MUST BE RECEIVED ELECTRONICALLY OR ON PAPER AT THE
SOUTH COAST AQMD HEADQUARTERS
NO LATER THAN 1:00 P.M. ON TUESDAY, JUNE 2, 2020**

Electronic submission using South Coast AQMD’s new CMP Online Application Program (OAP) is preferred and is available at www.aqmd.gov/moyer.

Postmarks of paper copy applications will not be accepted. Faxed or email proposals will not be accepted. Proposers may hand-deliver proposals to the South Coast AQMD by submitting the proposal to the South Coast AQMD Public Information Center. The proposal will be date and time-stamped and the person delivering the proposal will be given a receipt.

South Coast AQMD may issue subsequent solicitations if insufficient applications are received in the initial solicitation.

STATEMENT OF COMPLIANCE

Government Code Section 12990 and California Administrative Code, Title II, Division 4, Chapter 5, require employers to agree not to unlawfully discriminate against any employee or applicant because of race, religion, color, national origin, ancestry, physical handicap, medical condition, marital status, sex, or age. A statement of compliance with this clause is included in all South Coast AQMD contracts.

SECTION II: WORK STATEMENT/SCHEDULE OF DELIVERABLES

All applicants that are selected for funding awards must complete the Work Statement and Schedule of Deliverables described below as part of the contracting process. Development of these materials for the initial application is NOT required; however, applicants must sign the application form indicating their understanding of the requirements for submittal of additional project information to finalize a contract and that all vehicles, engines or equipment must be in operation no later than **May 20, 2022**.

WORK STATEMENT

The scope of work involves a series of tasks and deliverables that demonstrate compliance with the requirements of the SOON Program as administered by CARB and the South Coast AQMD.

At a minimum, any proposed project must meet the following criteria:

- Emission reductions must be real, quantifiable, enforceable and surplus in accordance with CARB and South Coast AQMD guidelines.
- Cost-effectiveness of the project must meet the minimum requirement of the CMP guidelines.

- Project engines or equipment must operate in-service for the full project life.
- All vehicles/engines/equipment must be in operation no later than May 20, 2022.
- Appropriate annual usage records must be kept and reported to South Coast AQMD during the project life (i.e., annual hours of operation).
- A compliance plan that demonstrates compliance with the off-road regulation throughout the contract period must be provided.
- Ensure that the project complies with other local, state and federal programs, and resulting emission reductions from a specific project are not required as a mitigation measure to reduce adverse environmental impacts that are identified in an environmental document prepared in accordance with the California Environmental Quality Act or the National Environmental Policy Act.
- If requested, a contractor must provide a financial statement and bank reference, or other evidence of financial ability to fulfill contract requirements.

DELIVERABLES

The contract will describe how the project will be monitored and what type of information will be included in project progress reports. At a minimum, the South Coast AQMD expects to receive the following:

- An annual report, throughout the project life, which provides the annual hours of operation, where the vehicle(s) or equipment(s) was operated, annual fuel consumption, and operational and maintenance issues encountered and how they were resolved.
- An annual submission of the applicant’s DOORS Fleet Compliance Snapshot demonstrating compliance with the off-road regulation.

South Coast AQMD reserves the right to verify the information provided.

SECTION III: PROPOSAL SUBMITTAL REQUIREMENTS

Proposers **must** complete the appropriate application forms committing that the information requested in Section II, Work Statement/Schedule of Deliverables, will be submitted if the Proposer’s project is selected for funding.

In addition, Conflict of Interest and Project Cost information, as described below, must also be submitted with the application. It is the responsibility of the proposer to ensure that all information submitted is accurate and complete.

CONFLICT OF INTEREST

Applicant must address any potential conflicts of interest with other clients affected by actions performed by the firm on behalf of the South Coast AQMD. Although the proposer will not be automatically disqualified by reason of work performed for such firms, the South Coast AQMD reserves the right to consider the nature and extent of such work in evaluating the proposal. Conflicts of interest will be screened on a case-by-case basis by the South Coast AQMD District Counsel’s Office. Conflict of interest provisions of the state law, including the Political Reform Act, may apply to work performed pursuant to this contract. Please discuss potential conflicts of interest on the application form entitled “Campaign Contributions Disclosure”.

PROJECT COST

Applicants must provide cost information that specifies the amount of funding requested and the basis for that request by attaching vendor quotes to the application. Applicants need to inform vendors of the time frame of the award process so that they can accurately quote costs based on the anticipated order/purchase date. **Note that no purchase orders may be placed or work performed for projects awarded under this PA until after the date of award approval by the South Coast AQMD Governing Board. Any orders placed or payments made in advance of an executed contract with the South Coast AQMD are done at the risk of the applicant. The South Coast AQMD has no obligation to fund the project until a contract is fully executed by both parties.**

The SOON Program funds only the differential cost between existing technology and zero or lower-emissions technology. The proposed zero or lower-emissions technology must be CARB-certified in most cases.¹ Proposals will be ranked by cost-effectiveness on a vehicle/equipment-by-vehicle/equipment basis. The cost-effectiveness limit has been established at \$30,000/ton of NO_x emissions reduced and \$100,000/ton of NO_x emissions reduced for advanced technology that includes zero-emission or alternatively, meets the cleanest optional NO_x standard certified. The cost-effectiveness level used for the selection of projects may be lower depending on the demand for program funds. No fueling infrastructure, administrative or operational costs will be funded.

All project costs must be clearly indicated in the application. In addition, applicants must include any sources of co-funding and the amount of each co-funding source in the application. **Applicants should be aware that the project life used in calculating the NO_x emissions reductions will be used to determine the length of their annual reporting obligation and the length of their contract. For example, if a 7-year project life is used for the NO_x emissions reduction calculation, then the applicant will be required to operate and track activity for the funded-vehicle/equipment for the full 7 years.**

PROPOSAL SUBMISSION

All proposals must be submitted according to specifications set forth herein.

Application Forms

Program application forms are provided after this document. These must be completed and submitted with other required documents (i.e., Certifications and Representations and vendor quotations) discussed in the application and below.

Certifications and Representations

Contained in this PA are six business forms which must also be completed and submitted with the application.

¹ Note that non-CARB certified engines/devices requiring an experimental permit from CARB may be considered, but the project will require special CARB approval.

Compliance Plan

Projects funded by SOON monies must result in NOx emissions reductions that are surplus to those that would be realized by fleets complying with the base rule. Fleets are required to submit a compliance plan in electronic format to demonstrate how they comply with both the base rule as well as the SOON provision of the rule. Fleet owners, at a minimum, must provide the following information for each year for the anticipated contract period:

- A vehicle list which includes, but is not limited to, vehicle type, manufacturer, model, model year, and whether the equipment is included in the base or SOON fleet for each piece of equipment in the fleet.
- Information including, but not limited to, calculations, fleet information, etc., showing compliance with the base rule fleet target levels or compliance with the BACT turnover and retrofit requirements. Either the CARB calculator (individual tabs for each future year) or the Excel SOON fleet calculator spreadsheet may be used.
- Information including, but not limited to, calculations, fleet information, etc., showing whether the vehicles funded by the SOON program are in compliance with the SOON NOx fleet average target levels.

SOON Compliance Plan documents and the Microsoft Excel SOON fleet calculator can be downloaded at the South Coast AQMD SOON website: www.aqmd.gov/soon. CARB's Fleet Average Calculators can be downloaded at the CARB website: <https://www.arb.ca.gov/msprog/ordiesel/ordiesel.htm>.

Methods of Delivery:

The proposer is encouraged to submit the application using the South Coast AQMD online system, available at www.aqmd.gov/moyer. This online system allows applicants to submit their application electronically to the South Coast AQMD prior to the date and time specified below. South Coast AQMD "Business Information Forms" requiring signatures must be scanned and uploaded to the online system in pdf format. First-time users must register as a new user. A tutorial of the system will be provided at the pre-application workshops and you may contact Walter Shen at wshen@aqmd.gov or (909) 396-2487 if you would like additional assistance.

An applicant may also deliver paper copies of the application in person, or via a courier service or U.S. Mail. The application package shall include **the original application and three (3) complete paper copies of the application, and an electronic copy (CD or flash drive) of the compliance plan and completed application** in a sealed envelope, plainly marked in the upper left-hand corner with the name and address of the proposer and the words "**Program Announcement PA2020-03**". Paper applications shall be submitted in an eco-friendly format: stapled, not bound, black and white print; no three-ring, spiral or plastic binders, and no card stock or colored paper.

Due Date

All proposals submitted by paper or through the online application system must be received no later than **1:00 p.m., on Tuesday, June 2, 2020**. Postmarks for paper copies are not accepted as proof of deadline compliance. **Faxed or emailed proposals will not be accepted**. Paper proposals must be directed to:

Procurement Unit
South Coast Air Quality Management District
21865 Copley Drive
Diamond Bar, CA 91765

Any correction or resubmission done by the proposer will not extend the submittal due date.

Grounds for Rejection

A proposal may be immediately rejected if:

1. It is not prepared in the format described.
2. It is not signed by an individual authorized to represent the firm.
3. Does not include a current cost quote, Contractor Statement Forms, and other forms required in this PA.

Disposition of Proposals

The South Coast AQMD reserves the right to reject any or all proposals. All responses become the property of the South Coast AQMD. One copy of the proposal shall be retained for South Coast AQMD files. Additional copies and materials will be returned only if requested and at the proposer's expense.

Modification or Withdrawal

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

SECTION IV: PROPOSAL EVALUATION/CONTRACTOR SELECTION CRITERIA

South Coast AQMD staff will evaluate all submitted proposals and make recommendations to the South Coast AQMD Governing Board for final selection of project(s) to be funded. Proposals will be evaluated based on the 2017 CMP Guidelines, including verification that the project meets the NOx cost-effectiveness limit(s) for this program. The cost-effectiveness determination will be done on a vehicle/equipment-by-vehicle/equipment basis. Be aware that there is a possibility that due to program priorities, cost-effectiveness and/or funding limitations, a project may be offered only partial funding, and not all proposals that meet the minimum cost-effectiveness criteria may be funded.

The evaluation will determine the ranking for each project based on the cost-effectiveness of NOx emissions reduced. Please note that depending upon the number of applications received in response to this PA, South Coast AQMD may prioritize the selection of projects to reduce emissions in and around DAC and low-income communities. While South Coast AQMD encourages all eligible applications, this means that some projects may not be selected based on their domicile address, regardless of their cost-effectiveness ranking.

At least 50 percent of the CMP funds must be used for projects that are located and operated within a disadvantaged and/or low-income community. South Coast AQMD uses the following method to meet these requirements.

1. All projects must meet the criteria in the 2017 CMP Guidelines and the cost-effectiveness limit of \$30,000 per ton of NOx emissions reduced and \$100,000/ton of NOx emissions reduced for advanced technology that are zero-emission or alternatively, meet the cleanest optional NOx standard certified.

2. Each project's domiciled address will be used to determine if the project is located within a disadvantaged or low-income community. The CalEnviroScreen 3.0 tool will be used by South Coast AQMD to determine if a project is located within a DAC and/or low-income community. This tool is available at: <https://oehha.ca.gov/calenviroscreen/report/calenviroscreen-30>
3. Projects that are not domiciled within a DAC and/or low-income community may still be considered if the application documentation shows that the vehicle/equipment was operated a majority of time in a DAC and/or low-income community.

All other projects will be ranked according to NOx cost-effectiveness, with the most cost-effective projects considered first and then in descending order for each funding category until the remainder of the funds are exhausted.

SECTION V: PAYMENT TERMS

For all projects, payment will be made upon installation and commencement of operation of the funded equipment for 85% of the submitted reposer invoice (80% of the submitted replacement invoice) or the contract maximum amount, whichever is less.

CONTACT FOR ADDITIONAL INFORMATION

Questions regarding the content or intent of this PA, procedural matters, sample contract, and the compliance plan worksheet can be found at the South Coast AQMD SOON website (<http://www.aqmd.gov/SOON>), or can be addressed to:

Alyssa Yan
Science and Technology Advancement
South Coast Air Quality Management District
21865 Copley Drive
Diamond Bar, CA 91765
Phone: (909) 396-2024
ayan@aqmd.gov

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Application Forms



Carl Moyer and SOON Application
 Form A-1
 General Application Form (page 1 of 3)

The SCAQMD is accepting applications for projects throughout its jurisdiction. All applications will be evaluated based on their cost-effectiveness and their disproportionate impact score as discussed in Section IV "Application Evaluation/ Contractor Selection Criteria" contained in Program Announcement. For additional information about SCAQMD's policies and application information, visit: www.aqmd.gov/moyer. In general, this program will follow CARB Carl Moyer Program guidelines, which are available at: <http://www.arb.ca.gov/msprog/moyer/moyer.htm>.

The submittal of an application does not guarantee approval for funding, but will be used to determine the potential emission reductions and eligible grant funding amount for the proposed project. Any equipment purchased prior to project approval by the SCAQMD Governing Board will not be eligible for funding. Applicant may, at their own risk, issue a purchase order for approved equipment prior to contract execution. Other than a purchase order, **no other work shall proceed** until a fully executed contract, i.e. signed by the applicant and SCAQMD Board Chairman and a pre-inspection, is completed.

Organization Information

Legal Name of Organization *

The legal organization name must be that of the legal equipment owner.

Organization Address

Mailing Address *
 Street Address/P.O. Box
 City *
 State *
 Zip *
 County *

Primary Contact Name and Information

First Name
 Last Name
 Email Address
 (A valid Email address is required. Eg. john@gmail.com)
 Phone Number
 Fax Number

Person Authorized to Sign Application and Execute Grant Agreement

First Name
 Last Name
 Email Address
 (A valid Email address is required. Eg. john@gmail.com)
 Phone Number
 Fax Number

Third Party Information

Name of Person Who Completed the Application
 What is Your Position?
 How much are you being paid to complete this application for the owner or to assist in the proposed project?
 What is the source of funds being used to pay you?

Signature of Third Party Person Who Completed the Application:

Date:



Carl Moyer and SOON Application
Form A-1
General Application Form (page 2 of 3)

All information provided in this application will be used by SCAQMD staff to evaluate the eligibility of this application to receive program funds. SCAQMD staff reserves the right to request additional information and can deny the application if such requested information is not provided by the requested deadline. Incomplete or illegible applications will be returned to applicant or vendor, without evaluation. An incomplete application is an application that is missing information critical to the evaluation of the project.

Please read and check each item below to indicate understanding and agreement:

I understand that this application is for evaluation purposes only and does not guarantee project funding. Only a fully executed Grant Agreement between the equipment owner and the District constitutes an obligation to fund a project.

I certify to the best of my knowledge and under penalty of perjury that the information contained in this application is true and accurate.

I understand that all vehicles/equipment, both existing and new, must be made available within the SCAQMD boundaries for inspection, unless otherwise approved by SCAQMD's Project Officer.

The vehicle/engine will be used within the SCAQMD boundaries (with the emission reduction system operating) for at least the projected usage shown in this application, and no less than 75 percent of the time.

I understand that it is my responsibility to ensure that all technologies are either verified or certified by the California Air Resources Board (CARB) to reduce NOx and/or PM pollutants. CARB Verification Letters and/or Executive Orders are attached, as applicable.

I understand that for repower projects, I am required to install the highest level available verified diesel emission control device (VDECS), and that the costs of this device and associated installation are a CMP eligible expense. These costs may be included in the project grant request up to the maximum cost-effectiveness limit.

I understand that there may be conditions placed upon receiving a grant and agree to refund the grant (or pro-rated portion thereof) if it is found that at any time I do not meet those conditions and if directed by the SCAQMD in accordance with the contract agreement.

I understand that, for this equipment, I am required to disclose if I have applied for or received incentive funding from another entity or program. Failure to do so will disqualify me from Carl Moyer Program Funding.

In the event that the vehicle(s)/equipment do not complete the minimum term of any agreement eventually reached from this application, I agree to ensure the equivalent project emissions reductions, or to return grant funds to the SCAQMD as required by the contract.

I understand that all on-road engines in my fleet that are eligible for a low-NOx software upgrade (reflash) must be reflashed within 60 days of receipt of contract execution. I may self-certify that the reflash has been performed by submitting a receipt of the completed reflash or a picture of the "Low NOx Reflash Label" from the reflashed engine to SCAQMD.

I understand that third party contracts are not permitted. A third party may, however complete an application on an owner's behalf. Third parties are required to list how much compensation, if any, they are receiving to prepare the application(s), and to certify that no Carl Moyer Program funds are being used for this compensation.

I understand that off-road equipment applicants subject to CARB's In-Use Off-Road Diesel Vehicle Regulation (Off-Road Regulation) must submit information regarding fleet size and compliance status. This must include the Diesel Off-Road On-line Reporting System (DOORS) ID of the fleet and the DOORS Equipment Identification Number (EIN) of the funded equipment.

I understand that additional project information may be requested during project review and must be submitted prior to final evaluation.

I understand that all vehicles, engines or equipment funded by this program must be operational within eighteen (18) months of contract execution, or by the vehicle in service date as specified in the Statement of Work, whichever is earlier.

All project applicants must submit documentation that supports the activity claimed in the application (i.e., fuel receipts, mileage logs and/or hour-meter readings covering the last two years). This documentation is attached.

The grant contract language cannot be modified without the written consent of all parties. I have reviewed and accept the sample contract language.

I understand that an IRS Form 1099 may be issued to me for incentive funds received under the Moyer Program. I understand that it is my



**Carl Moyer and SOON Application
Form A-1
General Application Form (page 3 of 3)**

responsibility to determine the tax liability associated with participating in the Moyer Program.

I understand that an SCAQMD-funded Global Positioning System (GPS) unit will be installed on vehicles/equipment not operating within SCAQMD boundaries full time. I will submit data as requested and otherwise cooperate with all data reporting requirements. I also understand that the additional cost of the GPS unit will be added to the project cost when calculating cost-effectiveness, though the SCAQMD will pay for this system directly.

I understand that the SCAQMD has the right to conduct unannounced inspections for the full project life to ensure the project equipment is fully operational at the activity level committed to by the contract.

I understand that all emission reductions resulting from Carl Moyer funded projects will be retired and the Carl Moyer Program claims all emission reductions from its funded projects. I also understand that there is no double counting or splitting of emission reductions if I receive additional incentive funding.

I understand that a tamper proof, non-resettable digital hour meter/odometer must be installed on all vehicles/equipment and that the digital hour meter/odometer will record the hours/miles accumulated within the SCAQMD boundaries. This cost is my responsibility.

I understand that any tax credits claimed must be deducted from the CMP request.
Please check one:

- I do not plan to claim a tax credit or deduction for costs funded by the CMP.
- I do plan to claim a tax credit or deduction for costs funded by the CMP.

If so please indicate amount here: \$

- I plan to claim a tax credit or deduction only for the portion of incremental costs not funded by the CMP.

If so please indicate amount here: \$

I have checked this box to indicate that there are no potential conflicts of interest with other clients affected by actions performed by the firm on behalf of SCAQMD. If I have not checked this box, I have attached a description to this application of the potential conflict of interest, which will be screened on a case-by-case basis by the SCAQMD District Counsel's Office.

I understand and certify that I am currently in compliance with all federal, state and local air quality rules and regulations at the time of application submittal, and I am not aware of any outstanding or pending enforcement actions.

Please indicate the Total Funding Requested (for the entire project, including all equipment/vehicle replacements, repowers, etc.): \$ _____

By signing below, I certify under penalty of perjury that the information provided in this application is accurate and true.

Please print the name of the signing authority (first and last name)

Signature of signing authority:

Please enter the application submission date:

APPLICATION CHECKLIST

Applicants are encouraged to submit their application using SCAQMD's online system. If you are applying in person, use this checklist to organize your paper copy application. Each of the following application sections is required to be submitted if you submit a paper application:

- A cover letter stating your grant request, how many pieces of equipment and/or engines included in the proposed project, and the funding amount being requested (per engine and for the total project). For applications covering more than one category, organize this information into project category (i.e., marine, locomotive, on-road, etc.)
- This Application Checklist (signed below).
- General Application Form A-1. Provide a separate Form A-1 for each category (i.e., marine, locomotive, etc.) for which grant funding is requested. Form A-1 also includes the following documents:
 - Application Statement (signed and initialed as applicable)
 - Completed and **signed** Business Information Forms¹
- Category Application Form specific to your project category (i.e., locomotive, off-road, marine, etc.), along with the following attachments/enclosures:
 - Optional Excel Worksheet associated with applicable application form/category (you may use this form for multiple unit projects, if desired)
 - Vendor quotes dated no earlier than 90 days prior to the date of application submittal
 - CARB Executive Orders for each engine. Download at:
 - On-road: <http://www.arb.ca.gov/msprog/onroad/cert/cert.php>
 - Off-road: <http://www.arb.ca.gov/diesel/cv.htm>
 - Previous two years of historical records documenting equipment usage, retroactive to the date of application.

Once completed, please submit one original plus three (3) complete signed copies of the application package (all forms and documents), as well as an electronic copy of the application and its supporting documents on a CD or flash drive.

I understand that all documents, as listed above, are required in order to have a complete application package in order to be considered for funding under the Carl Moyer Program.

Signature

Date

¹ These forms may be downloaded at: www.aqmd.gov/moyer



Carl Moyer and SOON Application Form C-1 Off-Road Equipment Replacement Equipment Information (page 1 of 2)

If you have any questions regarding this program or the application process, please contact Walter Shen by phone at (909) 396-2487 or by email at wshen@aqmd.gov.

Large Off-Road Fleets have limited eligibility for Carl Moyer Program funding, but may apply for SOON Program funding using this application. For more information, please visit www.aqmd.gov/SOON.

Please complete **ONE (1) Form** for each piece of equipment.

Existing Equipment Information

Are you applying under Carl Moyer Program OR the Surplus Off-Road NOx Program?

Has this equipment received Carl Moyer Program funds in the past? Yes No

For Large Fleets Only - have you received Carl Moyer funding after January 1, 2017? Yes No

What is the primary function of this equipment?

Is the vehicle location address the same as the applicant address? If not, please complete below. Yes No

Street Address (if no address, provide intersection) City

County State

Zip Vehicle Type

If other, please describe:

Equipment Category

Equipment Type

If other equipment type, please describe

Equipment Make Equipment Model

Equipment Model Year Equipment Serial Number or VIN

Unit Number or EIN#(for non-Ag Operations)

Is 2 to 1 Replacement Applied? Yes No

Number of Main Engines Number of Auxiliary Engines

Is this equipment used in Agricultural operations? Yes No

What percentage of equipment operations are in Agriculture?



Carl Moyer and SOON Application Form C-1 Off-Road Equipment Replacement Equipment Information (page 2 of 2)

New Equipment and Vendor Information

Unit Number	<input type="text"/>	Equipment Category	<input type="text"/>
Equipment Type	<input type="text"/>		
If other equipment type, please describe			
<input type="text"/>			
Equipment Make	<input type="text"/>	Equipment Model	<input type="text"/>
Equipment Model Year	<input type="text"/>		
Vendor	<input type="text"/>	Vendor Contact Name	<input type="text"/>
Vendor Phone Number	<input type="text"/>	Vendor Address	<input type="text"/>
Vendor City	<input type="text"/>	State	<input type="text"/>
Vendor Zip	<input type="text"/>		

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.

Number of engines for this New Equipment Unit:

Main (Front) Engine(s)	<input type="text"/>	Auxiliary (Rear) Engine(s)	<input type="text"/>
New Replacement Unit Cost \$	<input type="text"/>	Tax \$	<input type="text"/>
Total Cost for this Replacement \$	<input type="text"/>	Applicant Co-Funding Amount (If Any) \$	<input type="text"/>
Applicant Grant Request (If Any) \$	<input type="text"/>		



Carl Moyer and SOON Application

Form C-1

Off-Road Equipment Replacement

Project Details

Is equipment currently subject to CARB's Off-Road Regulation?

Yes No

What is the total horsepower of all vehicles in the fleet?

Enter DOORS Fleet Number

All Off-Road equipment applicants subject to CARB's In-Use Off-Road Diesel Vehicle Regulation must submit their DOORS fleet compliance snapshot and fleet vehicle list.

You may contact the DOORS hotline at (877) 593-6677 for assistance.

SOON applications must also submit the fleet average calculation. Please visit <https://arb.ca.gov/msprog/ordiesel/fac.htm> for more information.

Total Funding Requested (for this Replacement ONLY)

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Is existing equipment in operable condition?

Yes No

How many years has the applicant owned the existing equipment?

Does this vehicle have a functioning, non-resettable hour meter?

Yes No

Percent Operation in California

Percent Operation in District

Note: See <http://www.aqmd.gov/home/about/jurisdiction> for a jurisdiction map.

Proposed Project Life (this is the number of years that the equipment must operate as specified in your SCAQMD contract)



Carl Moyer and SOON Application
Form C-1
Off-Road Equipment Replacement
Engine Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Existing/Baseline Engine Information

Baseline Engine Type Main Auxiliary

Baseline Engine Fuel Type

Baseline Engine Make

Baseline Engine Model

Baseline Engine Model Year

Baseline Engine Serial Number

Baseline Engine Horsepower

Baseline Engine Family Number

Old Engine (Baseline) Emissions Tier

New Engine Information

New Engine Fuel Type

New Engine Make

New Engine Model

New Engine Model Year

New Engine Serial Number

New Engine Horsepower

New Engine Family Number

New Engine (Reduced) Emissions Tier



Carl Moyer and SOON Application
Form C-1
Off-Road Equipment Replacement
Engine Activity Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Project application must include documentation of existing equipment usage for the previous 24 months prior to the application date.

Baseline Engine - Annual operation details for the past 24-months

	Jan - Date of Application Submittal 2020	Jan - Dec 2019	Mar - Dec 2018	Estimated Annual Future Usage
Hours	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>



Carl Moyer and SOON Application
Form C-1
Off-Road Equipment Replacement
Attachments

The following attachments must be submitted for this application:

- Insurance Documentation
- Engine Executive Order(s) and Retrofit Device Executive Order(s)
- Quotes (must be within 90 days of application submittal)
- Equipment Usage Documentation (for past 24 – months including, but not limited to, maintenance records, hour meter readings)
- Photo showing the baseline engine (old) engine model year, engine serial #, HP, engine family # (if available)
- Equipment Ownership (Bill of Sale)
- SOON Fleet Average Calculation (please go to <https://arb.ca.gov/msprog/ordiesel/fac.htm>)
- only for applicants applying for SOON funding (only if applying under SOON Program)
- DOORS Fleet Compliance Snapshot including vehicle list
- Business Information Request Form
- Campaign Contribution Disclosure
- Business Status Cert
- W-9 Form
- Direct Deposit Form
- Certification of Debarment, Suspension and Other Responsibility Matters



Carl Moyer and SOON Application

Form C-2

Off-Road Equipment Repower Equipment Information

If you have any questions regarding this program or the application process, please contact Walter Shen by phone at (909) 396-2487 or by email at: wshen@aqmd.gov

Large Off-Road Fleets have limited eligibility for Carl Moyer Program funding, but may apply for SOON Program funding using this application. For more information, please visit www.aqmd.gov/SOON.

Please complete ONE (1) form for each piece of equipment.

Existing Equipment Information

Are you applying under Carl Moyer Program OR the Surplus Off-Road NOx Program?

Has this equipment received Carl Moyer Program funds in the past? Yes No

For Large Fleets Only - have you received Carl Moyer funding after January 1, 2017? Yes No

What is the primary function of this equipment?

Is the vehicle location address the same as the applicant address? If not, please complete below. Yes No

Street Address (if no address, provide intersection) City

County State

Zip Vehicle Type

If other, please describe:

Equipment Category

Equipment Type

If other equipment type, please describe

Equipment Make Equipment Model

Equipment Model Year Equipment Serial Number or VIN

Unit Number or EIN# (for non-Ag Operations)

Number of Main Engines Number of Auxiliary Engines

Is this equipment used in Agricultural operations? Yes No



Carl Moyer and SOON Application Form C-2 Off-Road Equipment Repower Project Details

Is equipment currently subject to CARB's Off-Road Regulation?

Yes No

What is the total horsepower of all vehicles in the fleet?

Enter DOORS Fleet Number

All Off-Road equipment applicants subject to CARB's In-Use Off-Road Diesel Vehicle Regulation must submit their DOORS fleet compliance snapshot and fleet vehicle list.

You may contact the DOORS hotline at (877) 593-6677 for assistance.

SOON applications must also submit the fleet average calculation. Please visit <https://arb.ca.gov/msprog/ordiesel/fac.htm> for more information.

Total Funding Requested (including Retrofit cost, if applicable)

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE - incl. Retrofit if applicable)

Applicant Co-Funding Amount

Operation Information

Is existing equipment in operable condition?

Yes No

How many years has the applicant owned the existing equipment?

Does this vehicle have a functioning, non-resettable hour meter?

Yes No

Percent Operation in California

Percent Operation in District

Proposed Project Life (this is the number of years that the equipment must operate as specified in your SCAQMD contract)



**Carl Moyer and SOON Application
Form C-2
Off-Road Equipment Repower
Engine Information (page 1 of 2)**

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Existing/Baseline Engine Information

Baseline Engine Type Main Auxiliary

Baseline Engine Fuel Type

Baseline Engine Make Baseline Engine Model

Baseline Engine Model Year Baseline Engine Serial Number

Baseline Engine Horsepower Baseline Engine Family Number

Old Engine (Baseline) Emissions Tier

Method proposed for rendering the baseline engine(s) inoperable

New Engine Information

New Engine Fuel Type

New Engine Make New Engine Model

New Engine Model Year New Engine Serial Number

New Engine Horsepower New Engine Family Number

New Engine (Reduced) Emissions Tier

Is the New Engine a Family Emissions Limit (FEL) engine? Yes No

New Engine Cost Information

New Engine Unit Cost Cost of Installation/Labor

Cost of New Engine Tax Total Cost of Repower

Applicant Co-Funding Amount (if any) Grant Request Amount for this Repower

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.

New Engine Vendor Information

Vendor Vendor Contact Name

Vendor Phone Number Vendor Address

Vendor City Vendor State

Vendor Zip



Carl Moyer and SOON Application
Form C-2
Off-Road Equipment Repower
Engine Information (page 2 of 2)

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Engine Retrofit Information

Will a retrofit device be added to this engine as part of this project?

Yes No

Retrofit Device Make

Retrofit Device Model

% PM Reduction

% NOX Reduction

% ROG Reduction

Retrofit Device ARB Executive
Order Number

Project Life

Retrofit Cost Information

Retrofit Device System Cost

Retrofit Device Installation
Cost

Total Cost of Retrofit

Amount requested for this
retrofit \$



Carl Moyer and SOON Application
Form C-2
Off-Road Equipment Repower
Engine Activity Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Project application must include documentation of existing equipment usage for the previous 24 months prior to the application date.

Baseline Engine - Annual operation details for the past 24-months

	Jan - Date of Application Submittal 2020	Jan - Dec 2019	Mar - Dec 2018	Estimated Annual Future Usage
Hours	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>



Carl Moyer and SOON Application
Form C-2
Off-Road Equipment Repower
Attachment

The following attachments must be submitted for this application:

- Insurance Documentation
- Engine Executive Order(s) and Retrofit Device Executive Order(s)
- Quotes (must be within 90 day of application submittal)
- Equipment Usage Documentation (for past 24 – months including, but not limited to, maintenance records, hour meter readings)
- Photo showing the baseline (old) engine model year, engine serial #, horsepower, engine family # (if available)
- SOON Fleet Average Calculation (please go to <https://arb.ca.gov/msprog/ordiesel/fac.htm>)
- only for applicants applying for SOON funding (only if applying under SOON Program)
- DOORS Fleet Compliance Snapshot - including vehicle list
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Direct Deposit Form
- Business Status Certification
- Certification of Debarment, Suspension and Other Responsibility Matters



Carl Moyer and SOON Application Form C-3 Off-Road Equipment Retrofit Equipment Information

If you have questions regarding this program or the application process, please contact Walter Shen by phone at (909) 396-2487 or by email at: wshen@aqmd.gov.

Existing Equipment Information

Are you applying under Carl Moyer Program OR the Surplus Off-Road NOx Program?

Has this equipment received Carl Moyer Program funds in the past? Yes No

What is the primary function of this equipment?

Is the vehicle location address the same as the applicant address? If not, please complete below. Yes No

Street Address (if no address, provide intersection) City

County State

Zip Vehicle Type

If other, please describe:

Equipment Category

Equipment Type

If other equipment type, please describe

Equipment Make Equipment Model

Equipment Model Year Equipment Serial Number or VIN

Unit Number

Number of Main Engines Number of Auxiliary Engines

Is this equipment used in Agricultural operations? Yes No



**Carl Moyer and SOON Application
Form C-3
Off-Road Equipment Retrofit
Project Details**

Is equipment currently subject to CARB's Off-Road Regulation?

Yes No

What is the total horsepower of all vehicles in the fleet?

Enter DOORS Fleet Number

All Off-Road equipment applicants subject to CARB's In-Use Off-Road Diesel Vehicle Regulation must submit their DOORS fleet compliance snapshot and fleet vehicle list.

You may contact the DOORS hotline at (877) 593-6677 for assistance.

SOON applications must also submit the fleet average calculation. Please visit <https://arb.ca.gov/msprog/ordiesel/fac.htm> for more information.

Total Funding Requested

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Is existing equipment in operable condition?

Yes No

How many years has the applicant owned the existing equipment?

Does this vehicle have a functioning, non-resettable hour meter?

Yes No

Percent Operation in California

Percent Operation in District

See <http://www.aqmd.gov/home/about/jurisdiction> for a jurisdiction map.

Proposed Project Life (this is the number of years that the equipment must operate as specified in your SCAQMD contract)



**Carl Moyer and SOON Application
Form C-3
Off-Road Equipment Retrofit
Engine & Retrofit Information**

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Existing/Baseline Engine Information

Baseline Engine Type	<input type="radio"/> Main	<input type="radio"/> Auxiliary		
Baseline Engine Fuel Type	<input type="text"/>			
Baseline Engine Make	<input type="text"/>	Baseline Engine Model	<input type="text"/>	
Baseline Engine Model Year	<input type="text"/>	Baseline Engine Serial Number	<input type="text"/>	
Baseline Engine Horsepower	<input type="text"/>	Baseline Engine Family Number	<input type="text"/>	
Old Engine (Baseline) Emissions Tier	<input type="text"/>			

Engine Retrofit Information

Retrofit Device Make	<input type="text"/>	Retrofit Device Model	<input type="text"/>	
Verification Level	<input type="text"/>	Project Life	<input type="text"/>	
Verified % PM Reduction	<input type="text"/>	Verified % NOX Reduction	<input type="text"/>	
Verified % ROG Reduction	<input type="text"/>	Retrofit Device ARB Executive Order Number	<input type="text"/>	
Retrofit Device Serial Number	<input type="text"/>			

Retrofit Cost Information

Retrofit Device System Cost	<input type="text"/>	Retrofit Device Installation Cost	<input type="text"/>	
Tax Amount for Retrofit	<input type="text"/>	Total Cost of Retrofit	<input type="text"/>	
Maintenance Cost	<input type="text"/>	Amount requested for this retrofit	<input type="text"/>	
Retrofit Dealer Vendor	<input type="text"/>			

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application. The data-logging cost of a retrofit project cannot be included in the eligible project cost.



Carl Moyer and SOON Application
Form C-3
Off-Road Equipment Retrofit
Engine Activity Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Project application must include documentation of existing equipment usage for the previous 24 months prior to the application date.

Baseline Engine - Annual operation details for past 24 months

	Jan - Date of Application Submittal 2020	Jan - Dec 2019	Mar - Dec 2018	Estimated Annual Future Usage
Hours	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>



Carl Moyer and SOON Application
Form C-3
Off-Road Equipment Retrofit
Attachments

The following attachments must be submitted for this application:

- Insurance Documentation
- Engine Executive Order(s) and Retrofit Device Executive Order(s)
- Quotes (must be within 90 days of application submittal)
- Equipment Usage Documentation (for past 24 – months)
- Other misc. attachments
- DOORS Vehicle List
- SOON Fleet Average Calculation (please go to <https://arb.ca.gov/msprog/ordiesel/fac.htm>) (only if applying under SOON Program)
- DOORS Fleet Compliance Snapshot
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Business Status Certification
- Direct Deposit Form
- Certification of Debarment, Suspension and Other Responsibility Matters



South Coast Air Quality Management District

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

Business Information Request

Dear South Coast AQMD Contractor/Supplier:

South Coast Air Quality Management District (South Coast AQMD) 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
Chief Financial Officer

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

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 South Coast AQMD, _____ (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 South Coast AQMD 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 | <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 South Coast AQMD at the time of bid application.
- performs 90 percent of the work within South Coast AQMD'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 South Coast AQMD 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**

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

▶ Go to www.irs.gov/FormW9 for instructions and the latest information.

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

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.

Social security number

				-						
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or

Employer identification number

				-									
--	--	--	--	---	--	--	--	--	--	--	--	--	--

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:

- 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
- 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
- I am a U.S. citizen or other U.S. person (defined below); and
- 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.

Sign Here	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.

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-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 24% 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 ¹	Generally, exempt payees 1 through 5 ²
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

¹ See Form 1099-MISC, Miscellaneous Income, and its instructions.

² 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. 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 and clicking on Employer Identification Number (EIN) under Starting a Business. Go to 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 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 ¹
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 ²
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 ¹ The actual owner ¹
6. Sole proprietorship or disregarded entity owned by an individual	The owner ³
7. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(e)(2)(i)(A))	The grantor ⁴
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 ⁴
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

¹ 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.

² Circle the minor's name and furnish the minor's SSN.

³ 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.

⁴ 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. 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 or report them at www.ftc.gov/complaint. You can contact the FTC at www.ftc.gov/idtheft or 877-IDTHEFT (877-438-4338). If you have been the victim of identity theft, see www.IdentityTheft.gov and Pub. 5027.

Visit 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.

2019 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 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 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 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.

Specific Instructions

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.

Additional Information

Website: For more information go to 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 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

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

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.

Typed Name & Title of Authorized Representative

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 (South Coast AQMD) 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 South Coast AQMD 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 South Coast AQMD; 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, South Coast AQMD 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 South Coast AQMD Governing Board Members can be found at South Coast AQMD website (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

Direct Deposit Authorization

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 (South Coast AQMD) 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 South Coast AQMD 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 South Coast AQMD for distribution. This will delay my payment.
- This authorization remains in effect until South Coast AQMD receives written notification of changes or cancellation from you.
- I hereby release and hold harmless South Coast AQMD 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

Staple Voided Check Here	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 South Coast AQMD Use Only

Input By _____

Date _____