

BOARD MEETING DATE: October 2, 2020

AGENDA NO. 6

PROPOSAL: Issue Program Announcement for Lower Emission School Bus Program

SYNOPSIS: Since 2001, South Coast AQMD has funded the replacement of over 1,800 pre-1994 publicly owned diesel school buses and retrofitted nearly 3,400 diesel school buses as part of the Lower Emission School Bus Program. In February 2020, CARB issued a guideline update for the Lower Emission School Bus Program allowing the replacement of diesel buses that are more than 20 years old. This action is to issue a Program Announcement to replace pre-2001 model year diesel school buses owned by public school districts with new alternative fuel or zero emission buses.

COMMITTEE: Technology, September 18, 2020; Recommended for Approval

RECOMMENDED ACTION:

Issue Program Announcement #PA2021-02 for replacement of pre-2001 diesel school buses owned by public school districts with new alternative fuel or zero emission buses.

Wayne Natri
Executive Officer

MMM:NB:VW:YT

Background

Since the start of the Lower Emission School Bus Program in 2001, South Coast AQMD has awarded nearly \$325 million in local, state and federal funds to replace over 1,800 highly polluting publicly owned diesel school buses with alternative fuel or zero emission buses and to retrofit 3,400 diesel school buses with particulate traps. This program has resulted in helping thousands of school children to commute in some of the cleanest school buses in the country. South Coast AQMD has used a variety of funding sources for the Lower Emission School Bus Program, including U.S. EPA Targeted

Airshed Grant Program, Proposition 1B and Carl Moyer AB 923. During the last funding cycle of South Coast AQMD’s Lower Emission School Bus Program, many school districts were able to leverage the South Coast AQMD grant with funds from CARB’s Hybrid and Zero-Emission Truck and Bus Voucher Incentive Project (HVIP). More recently, funding for battery-electric school buses was made available through the Volkswagen Beneficiary Mitigation Program and the California Energy Commission.

Proposal

This action is to issue Program Announcement #PA2021-02 for replacement of pre-2001 model year diesel school buses owned by public school districts and joint power authorities with new alternative fuel or zero emission buses. The school buses will need to have a Gross Vehicle Weight Rating (GVWR) over 14,000 lbs and have continuous CHP certification for the past three years. The PA will close on January 26, 2021, after a three-month application period. Funding will be provided from the Carl Moyer Program AB 923 Fund (80). Depending on the number of applications received, all the requests may not be funded in their entirety; final funding amounts will be recommended to the Board when they consider the proposed awards. Public school districts and joint power authorities will have the choice to purchase alternative fuel and zero emission school buses, including propane, compressed natural gas (CNG) and battery-electric. Both propane and CNG bus replacements must have engines certified at or below the optional low NOx standard of 0.02 g/bhp-hr. South Coast AQMD staff proposed funding options are highlighted below:

Fuel Type	Bus Type	South Coast AQMD Maximum Award (Up To)	Infrastructure per Replacement School Bus (Up To)
Propane	C	\$155,000	\$5,000
Compressed Natural Gas	C, D	\$205,000	\$15,000
Zero Emission*	A	\$325,000	\$20,000
	C, D	\$370,000	\$20,000

*Combined Award from South Coast AQMD and HVIP cannot exceed \$400,000.

Outreach

In accordance with South Coast AQMD’s Procurement Policy and Procedure, a public notice advertising the PA 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 PA 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."

Bid Evaluation

Proposals will be reviewed and evaluated in accordance with the Lower-Emission School Bus Program Guidelines, including all advisories and mail-outs, and the criteria in the attached PA.

Benefits to South Coast AQMD

The successful implementation of the Lower Emission School Bus Program will ensure less polluting transportation for school children and will reduce public exposure to toxic diesel particulate matter emissions. This program is also expected to reduce criteria and toxic air pollution in disadvantaged and low-income communities in the South Coast AQMD.

Resource Impacts

Funding for the Lower Emission School Bus Program will be provided from the Carl Moyer Program AB 923 Fund (80) and the final funding amounts will be recommended to the Board when they consider the proposed awards. The total amount of funding available for this program is up to \$45,118,730, including 6.25 percent in administrative costs.

Attachment

Program Announcement #PA2021-02 for the Lower Emission School Bus Program.

***Announcing South Coast Air Quality Management District's
Funding for Alternative Fuel School Bus Replacement Program
(Eligibility restricted to public school districts and joint power authorities)***

South Coast AQMD's Lower-Emission School Bus Program

Program Announcement & Application

PA 2021-02

October 2, 2020

Depending upon the number of applications received and availability of funding, the South Coast AQMD Board retains discretion to make full awards, partial awards, or no awards at all under this Program Announcement. If the choice to make a partial award causes any bidder to withdraw, the funds that would have been awarded to that bidder will be re-allocated to the other bidders or allocated pursuant to a new program announcement. South Coast AQMD also reserves the right to change any criteria such as the schedule, qualifications, grant provisions and selection criteria outlined in this Program Announcement & Application.

INTRODUCTION

The South Coast Air Quality Management District (South Coast AQMD) is pleased to announce this funding opportunity for public school districts to replace older diesel school buses with cleaner bus technologies, including near-zero emission and zero emission bus technologies. The Lower-Emission School Bus Program (LESBP) is designed to reduce diesel air pollution and children's exposure to the harmful emissions from diesel school buses. This Program Announcement applies to all public school districts, including those participating under a Joint Powers Authority agreement (JPA) in the South Coast Air Basin.

BACKGROUND

Since 2001, South Coast AQMD has expended a total of \$325 million in state, local and federal funds and replaced over 1,800 highly polluting diesel school buses with new alternative fuel or zero emission buses and retrofitted nearly 3,400 diesel buses with particulate traps. Over 50 percent of these funds have focused on reducing diesel air pollution in disadvantaged and/or low-income communities. This program has enabled thousands of school children to commute in some of the cleanest and safest school buses in the South Coast AQMD jurisdictional area.

PROGRAM ELIGIBILITY CRITERIA

Applicant Eligibility

Only public school districts and Joint Power Authorities (JPAs) within the geographical boundaries of the South Coast AQMD are eligible to apply.

School Bus Eligibility

Existing School Bus Requirements:

South Coast AQMD is seeking applications from public school districts to replace older diesel school buses (Type A, C, or D) that are a minimum of 20 years old (including MY2000 or older), and with a Gross Vehicle Weight Rating (GVWR) of over 14,000 lbs. At a minimum, applicants will need to provide information identifying each of the school buses proposed for replacement, as well as documentation demonstrating current DMV registration and continuous CHP certification for the past three years. The school buses proposed for replacement must be crushed/dismantled as required by the LESBP Guidelines.

Given that funds may be limited, the program will prioritize funding awards to each school district with consideration for the older school buses and/or school buses with the highest accumulated mileages first. Applicants are encouraged to list their oldest diesel school buses first and/or buses with the highest cumulative mileages. Depending upon the number of applications received and availability of funding, all the requests may not be funded in their entirety. Be aware that there is a possibility that due to program priorities, cost effectiveness or funding limitations (i.e., caps), applicants may be offered only partial funding, and not all applications meeting the eligibility criteria may be funded. South Coast AQMD retains discretion to make full awards, partial awards, or no awards.

Table 1, below, provides a summary of the key eligibility requirements for the existing school buses proposed for replacement.

Table 1: Existing School Bus Requirements
1) Diesel Fueled
2) Type A, C, or D
3) Model Year that is a minimum of 20 years old (Pre-2001)
4) GVWR > 14,000 lbs
5) Currently registered with the DMV
5) Maintained continuous CHP Certificates for at least the past 3 years
6) Must be willing to crush/dismantle existing school bus once replaced

Replacement School Bus Requirements:

For replacement of Pre-2001 diesel school buses, applicants will have the option to purchase near-zero and zero emission school buses, including propane, compressed natural gas (CNG), and/or battery-electric school bus technologies. If applicants choose to purchase a new CNG or propane fueled replacement bus, then the replacement engine must be CARB-certified to the Optional Low NOx Standard of 0.02 g/bhp-hr or cleaner. As another option, applicants may choose to purchase a zero-emission school bus that is certified or approved by CARB, including zero emission school buses that are eligible through the state’s Hybrid and Zero-Emission Truck and Bus Voucher Incentive Project (HVIP). Documentation verifying CARB certification/approval is not required if the zero emission school bus technology is listed by HVIP. Table 2, below, provides an itemized summary of the key eligibility requirements for the replacement school buses.

Table 2: Replacement School Bus Requirements
1) Near-Zero or Zero Emission (Propane, Natural Gas, or Electric)
2) Type A, C, or D
3) Model Year 2020 and newer
4) GVWR > 14,000 lbs*
5) Maintain CHP Certificates during the term of contract
6) CNG/Propane School Bus: Replacement engine must be CARB certified at 0.02 g/bhp-hr NOx or cleaner
7) Zero Emission: Must be a zero emission school bus technology certified or approved by CARB including HVIP-listed zero emission school bus technologies.

MAXIMUM FUNDING AMOUNTS

Depending upon the number of applications received and availability of funding, all the requests may not be funded in their entirety. Be aware that there is a possibility that due to program priorities, cost effectiveness or funding limitations (i.e., caps), applicants may be offered only partial funding, and not all applications meeting the eligibility criteria may be funded. South Coast AQMD retains discretion to make full awards, partial awards, or no awards.

The maximum funding amounts are shown in Table 3. If a school district is approved to receive funding through HVIP for the same project, the maximum funding amount will be reduced by the HVIP voucher amount, except for zero emission school bus projects which may receive up to \$400,000 in total funding from the South Coast AQMD and HVIP.

Funding awards will be made based on several factors, including an equitable distribution of the program funds based on county population, benefits to disadvantaged and/or low-income communities, and project cost effectiveness. A school bus project will be considered as benefitting a disadvantaged or low-income community if it meets any one of the following: 1) it is domiciled within a disadvantaged or low-income community, 2) it will operate a majority of time in a disadvantaged or low-income community, or 3) makes at least one stop in a disadvantaged or low-income community census tract. The project's cost effectiveness will be determined using the methodology in the Carl Moyer Program and may be used to rank projects for the awards selection.

South Coast AQMD will be providing funds for this solicitation from the Carl Moyer Program AB 923 Program. Of the total Program funds available, the South Coast AQMD expects to allocate about 70 percent of the funds for near-zero emission bus technologies and 30 percent for zero emission school buses. The final allocation of Program funds will also be determined based on the funding requests submitted by the school districts, and subject to change at the time of the awards recommendation and upon consideration by the South Coast AQMD Governing Board.

South Coast AQMD will fund up to the maximum funding amounts shown in Table 3 for each school bus technology. To help offset the cost of zero emission school buses, schools may also apply for funding through the state's Hybrid and Zero-Emission Truck and Bus Voucher Incentive Project (HVIP), if available. The combined award amount from South Coast AQMD and HVIP cannot exceed \$400,000 for zero emission school buses.

Any match funding required by the Lower Emission School Bus Program Guidelines will be provided by the South Coast AQMD on behalf of the participant up to the maximum funding amounts shown in Table 3.

The maximum funding amounts shown in Table 3 include sales tax and the cost of fire suppression and gas detection systems, however school districts will have to pay for any additional discretionary options that they may choose to include on the school bus. Funding for fueling/charging infrastructure will also be available to school districts. Table 3, below, provides a summary of the potential funding amounts for each type of school bus technology and infrastructure options. Depending on the number of applications received, all the requests may not be funded in their entirety. Final funding amounts will be determined upon South Coast AQMD's Governing Board approval of the awards.

Table 3: Lower Emission School Bus Program Funding Amounts¹				
School Bus Type	Fuel Type	NOX Certification Level (g/bhp-hr)	South Coast AQMD Maximum Award	Infrastructure per School Bus
Type C	Propane	0.02 or lower	\$155,000	\$5,000
Type C or D	CNG	0.02 or lower	\$205,000	\$15,000
Type A	Zero Emission	0.00	\$325,000 ^{1,2}	\$20,000
Type C or D	Zero Emission	0.00	\$370,000 ^{1,2}	\$20,000

¹ The funding amounts shown in this table may be reduced if the project also receives HVIP funding.

² South Coast AQMD + HVIP = \$400,000 Maximum Award for zero emission buses

PROGRAM SCHEDULE

A tentative implementation schedule for the LESBP Program Announcement PA2021-02 is outlined below.

Tentative Schedule for School Bus Replacement Program

October 2, 2020	Issue the Program Announcement & Application PA2021-02
January 26, 2021	Applications due by 3 p.m. Applicants are encouraged to apply well before this deadline
April 2, 2021	South Coast AQMD Board to consider approval of the awards
July 1, 2021	All school bus orders must be placed with vendors by school districts. Copies of vendor quotes and purchase orders emailed to South Coast AQMD staff, Ms. Lily Garcia, lgarcia1@aqmd.gov
October 4, 2022	New buses delivered, and infrastructure completed by no later than this date
November 4, 2022	All requests for reimbursement submitted by school districts, along with evidence of buses crushed/dismantled.

APPLICATION SUBMITTAL

The applicant shall submit **three copies** (1 original and 2 copies) of the application, each marked “**Program Application PA2021-02.**” These three copies should be placed together in a sealed envelope, plainly marked in the upper left-hand corner with the name and address of the applicant, **no later than 3:00 p.m., Tuesday, January 26, 2021.**

The program announcement and application document PA2021-02 can also be accessed via the internet by visiting South Coast AQMD’s website at: <http://www.aqmd.gov/nav/grants-bids>

The application package must be addressed to:

Mr. Dean D. Hughbanks, Procurement Manager
Re: Program Application PA2021-02
Lower Emission School Bus Program
South Coast Air Quality Management District
21865 Copley Drive
Diamond Bar, CA 91765

All applications must be **signed by the school’s superintendent.** (School superintendents shall not delegate this responsibility for signature to his or her deputy.)

The main objective of this program is to reduce diesel air pollution and children’s exposure to harmful emissions from diesel school buses. We look forward to receiving your application.

ADDITIONAL INFORMATION & ASSISTANCE

This Program Announcement and Application can be obtained by accessing the South Coast AQMD website at <http://www.aqmd.gov/nav/grants-bids>. South Coast AQMD staff members are available to answer questions during the application acceptance period. In order to help expedite assistance, please direct your inquiries to the applicable staff person, as follows:

- For **General, Administrative, or Technical Assistance**, please contact:

Yuh Jiun Tan
Air Quality Specialist
Technology Advancement Office
Phone 909-396-2463
Fax: 909-396-3252
ytan@aqmd.gov

- For **Questions on Invoices and Contracts**, please contact:

Lily Garcia
Contract Assistant
Technology Advancement Office
Phone: 909-396-2832
Fax: 909-396-3252
lgarcia1@aqmd.gov

PARTICIPATION GUIDELINES, REQUIREMENTS, & CONDITIONS:

GRANT PROVISIONS FOR SCHOOL BUS REPLACEMENT & INFRASTRUCTURE

Depending upon the number of applications received and availability of funding, all the requests may not be funded in their entirety. Be aware that there is a possibility that due to program priorities, cost effectiveness or funding limitations (i.e., caps), applicants may be offered only partial funding, and not all applications meeting the eligibility criteria may be funded.

Funding awards will be made based on several factors, including an equitable distribution of the program funds based on county population, benefits to disadvantaged and/or low-income communities, and project cost effectiveness. A school bus project will be considered as benefitting a disadvantaged or low-income community if it meets any one of the following: 1) it is domiciled within a disadvantaged or low-income community, 2) it will operate a majority of time in a disadvantaged or low-income community, or 3) makes at least one stop in a disadvantaged or low-income community census tract. The project's cost effectiveness will be determined using the methodology in the Carl Moyer Program and may be used to rank projects for the awards selection.

A. School Bus Replacement Criteria

Only public school districts within the jurisdiction of the South Coast AQMD that own and operate school buses, including under the provisions of a Joint Powers Authority, can apply for funding. The program is for the replacement of pre-2001 diesel school buses with new, low NOx alternative fuel or zero emission buses. The following criteria will apply:

1. Each pre-2001 diesel school bus must have continuous CHP certification for the previous 3 years, including 2018 to 2020.
2. The existing school bus must be currently registered with the Department of Motor Vehicles.
3. The existing and new replacement school buses must have a manufacturer gross vehicle weight rating (GVWR) of greater than 14,000 pounds. The existing bus must be diesel fueled and the proposed replacement bus must be equipped with a near-zero, alternative fuel engine or zero emission drivetrain.
4. The replacement school bus must be in the same weight class as the existing school bus, unless otherwise approved by the South Coast AQMD.
5. Only replacement buses will be funded. Fleet expansion buses (that fail to crush an existing school bus) will not be eligible for funding.
6. Only CARB certified near-zero engines and zero emission drivetrains that meet the following criteria will be eligible for funding:
 - Near-Zero (Low NOx): At least 0.02 g/bhp-hr NOx or lower, and 0.01 g/bhp-hr PM or lower for propane and CNG engines

- Zero-Emission: CARB certified zero emission technology, including HVIP-listed zero emission school bus technologies
7. Availability of fueling or charging infrastructure for the school bus replacement project must be documented. The school district can apply for fueling or charging infrastructure funds, as shown in Table 3.
 8. Priority may be given to replacement of the oldest school buses (or buses with the highest cumulative mileages) identified in a single application from a school district.
 9. Only Pre-2001 diesel school buses with current DMV registration and continuous CHP certificates for previous 3 years (2018-2020) are eligible for replacement.
 10. All Pre-2001 diesel school buses proposed for replacement must be in current use. These buses must have a current, valid CHP certificate at the time of application, and continuous CHP certification for the previous 3 years. The application form calls for specific information related to the existing school bus to be replaced. Additional information may be required as evidence that the existing school bus is in operation. If there is a break in documentation, please inform the South Coast AQMD staff Yuh Jiun Tan at ytan@aqmd.gov.
 11. Complete documents pertaining to the existing school bus to be replaced, proposed new school bus, vendor quotes, and proof of crushing must be kept in files for a period of seven (7) years after the date of removal of the existing school bus. Access to these files, and personnel involved in the transactions, shall be allowed in the event of an audit from either state or local authorities.
 12. Schools will need to provide the CARB Executive Order for the proposed school bus engine that will be ordered and specify which bid will be used to order the new school bus.
 13. Schools need to operate the new school buses for a minimum of fifteen (15) years from the date of the initial CHP certification.
 14. With the application, attach a copy of the TRUCRS Fleet List located on the Vehicle Info tab showing the compliance option each vehicle in the fleet is using and a copy of the TRUCRS General Fleet and Compliance Information Summary showing compliance located on the Compliance Status tab (“Meets Small Fleet Option” will specify “yes” if the fleet is using the Small Fleet option). The TRUCRS website can be accessed at: https://ssl.arb.ca.gov/ssltrucrsto/trucrs_reporting/login.php.

B. Infrastructure Criteria

1. Funding for fueling or charging infrastructure will also be available to school districts. The basis for the amount of funding requested for purchase and installation of alternative-fuel or electric charging infrastructure shall be documented in the application.
2. Depending on the fueling/charging infrastructure requested, school districts can get up to

\$5,000 per propane school bus, up to \$15,000 per CNG school bus, and up to \$20,000 per zero emission school bus.

3. If funds for infrastructure are needed, the applicant must make such request, and provide justification for the funds requested, including a disclosure of all funding sources that will be used for the purchase/installation of the infrastructure.
4. Requested funds may be used to offset the cost of procuring/installing new infrastructure equipment or expanding the capacity of an existing refueling/charging station.
5. Funding for expansion of an existing station must be related to the capacity needed by the new CNG, propane, or zero emission buses awarded through this program.
6. Applicants who apply for Electric Vehicle Supply Equipment (EVSE) infrastructure must indicate if co-funding from other sources, such as the local utility company, will be used.

FUNDING ALLOCATIONS

A. Amounts of Funding

There is a possibility that due to program priorities, cost effectiveness or funding limitations (i.e., caps), applicants may be offered only partial funding, and not all applications meeting the eligibility criteria may be funded.

Public school districts may rely on any legally valid piggy-back bid in the State of California to purchase the new replacement school buses. Examples include, but are not restricted to, the Waterford and Hemet bids. Funding requested for purchase of a bus shall be consistent with the prices on the legally valid piggy-back bid.

Depending on the replacement school bus technology chosen by the school district, South Coast AQMD will fund up to the maximum funding amounts in Table 3. To help offset the cost of zero emission school buses, schools may apply for the state's Hybrid and Zero-Emission Truck and Bus Voucher Incentive Project (HVIP) funds if available. The combined award amount from South Coast AQMD and HVIP cannot exceed \$400,000. The maximum funding amounts in Table 3 include sales tax and the cost of a fire suppression system, however school districts will have to pay for any additional discretionary options that they may choose to include on the school bus.

B. Matching Fund Requirement

For the replacement of 2000 and older model year school buses, applicants will be required to pay the amount above South Coast AQMD's maximum funding amounts in Table 3, if applicable.

1. Any school district match funding required by the Lower Emission School Bus Program Guidelines will be provided by the South Coast AQMD on behalf of the school districts up to the maximum funding amount shown in Table 3.
2. If other grant funds will be used, all funding sources must be disclosed at the time of application and prior to invoice payment. The sum of all grants and other funds applied

toward the project shall not exceed the total project cost.

C. Authorizing Signature

The submitted application, including the copies, shall have the school district's superintendent's signature. Applications without authorizing signatures will not be accepted.

D. Disbursement of Funds

1. Following receipt of the fully executed grant from South Coast AQMD, the school district must provide a copy of the grant agreement and key attachments to the selected vendor(s). Per the provisions of the grant, a purchase order shall be placed without delay to allow for the prompt delivery of the buses.
2. Funds will be paid on a reimbursement basis to the vendor, following the delivery of the new school bus(es) to the applicant (and all supporting documents required by the grant have been submitted satisfactorily).
3. Vendors should be encouraged to directly invoice South Coast AQMD for South Coast AQMD's share of funds. Applicants shall cooperate fully with the vendor to provide the vendor with the various documents South Coast AQMD would need before reimbursing the vendor. These documents are listed in the grant agreement.
4. All buses must be physically delivered to the school district by no later than **October 4, 2022**.
5. Proof of vehicle delivery and supporting documents, as required in the grant, must accompany any request for reimbursement of approved funds. School district must identify any options purchased over and above those included in the base price. Besides the fire suppression and/or gas detection systems, other discretionary options must be paid by the school district. The receipt of vehicle should be signed by the Director of Transportation before submission to South Coast AQMD.
6. All requests for reimbursement along with proof of crushing must be received by **November 4, 2022**. Monies owed will be paid directly to the bus vendor.
7. Funds will be paid on a reimbursement basis at the time of completion of the infrastructure (i.e., the fueling or charging station). All infrastructure must be completed by **October 4, 2022**. Proof of completion shall accompany any request for reimbursement of approved funds. All requests for reimbursement must be signed by the transportation director and received by South Coast AQMD on or before **November 4, 2022**. Monies owed will be paid directly to the infrastructure provider.

PROJECT IMPLEMENTATION

A. Preferred List of School Bus Replacement

Applicants are encouraged to list their Pre-2001 (2000 and older) school buses in order of applicant preference. If a priority list is not provided by the applicant, South Coast AQMD will consider the oldest school buses or the school buses with highest cumulative mileage first.

B. Project Completion Deadlines and Penalties

1. School bus purchase orders must be placed no later than July 1, 2021.
2. New buses must be delivered **no later than October 4, 2022**. The business entity responsible for delaying the delivery of the buses may be subject to \$100 per day per bus penalty for buses delivered after October 4, 2022.
3. All requests for reimbursement for purchases submitted by school districts, along with evidence of school bus dismantling, and other documentation, should be submitted to South Coast AQMD by November 4, 2022.

C. Monitoring and Reporting

1. School districts must notify South Coast AQMD staff by email to ytan@aqmd.gov, when the school buses are ordered and again when the school buses arrive on site. Prior to reimbursement, an inspection by South Coast AQMD may be required.
2. School districts must notify South Coast AQMD staff by email to ytan@aqmd.gov when any equipment is ordered for the refueling or charging station, and when the equipment is operating. Prior to, or following reimbursement, an inspection by South Coast AQMD may be required.

ADDITIONAL GUIDANCE

If you need additional guidance or assistance on any of the information in this program announcement, South Coast AQMD staff members are available to answer questions during the application acceptance period. In order to help expedite assistance, please direct your inquiries to the applicable staff person, as follows:

- For **General, Administrative, or Technical Assistance**, please contact:
Yuh Jiun Tan, Air Quality Specialist
Phone 909-396-2463
ytan@aqmd.gov
- For **Questions on Invoices and Contracts**, please contact:
Lily Garcia, Contract Assistant
Phone: 909-396-2832
lgarcia1@aqmd.gov

Appendix A

South Coast Air Quality Management District

**GRANT APPLICATION FOR THE LOWER EMISSION SCHOOL BUS
PROGRAM**

Fiscal Year 2020-2021

PA2021-02



Depending upon the number of applications received and availability of funding, the South Coast AQMD Board retains discretion to approve awards, partial awards, or no awards at all under this Program Announcement. If the choice to make a partial award causes any bidder to withdraw, the funds that would have been awarded to that bidder will be re-allocated to the other bidders or allocated pursuant to a new program announcement. South Coast AQMD also reserves the right to change any criteria such as the schedule, qualifications, grant provisions and selection criteria outlined in this Program Announcement & Application.

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GRANT APPLICATION

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CERTIFICATIONS AND REPRESENTATIONS

A-9 to A-8

GRANT APPLICATION
LOWER EMISSION SCHOOL BUS PROGRAM
Program Announcement PA2021-02

(Please return signed application with all 8 pages filled out)

School District:			
Street Address:			
City:		Zip Code:	
County:		State:	

School District Primary Contact Name:			
Title:			
Phone Number:		Ext:	
Email:		Fax Number:	

Alternative Contact Name:			
Title:			
Phone Number:		Ext:	
Email:		Fax Number:	

Submit the original completed application (with all required supporting documents and signatures) along with two (2) copies of the entire application package, each marked **“Program Application PA2021-02”**. These three copies should be placed together in a sealed envelope, plainly marked in the upper left-hand corner with the name and address of the application, **no later than 3:00 p.m., Tuesday, January 26, 2021**.

The application package **must be addressed** to:
 Mr. Dean D. Hughbanks, Procurement Manager
Re: Program Application PA2021-02
Lower Emission School Bus Program
 South Coast Air Quality Management District
 21865 Copley Drive
 Diamond Bar, CA 91765

All applications must be **signed by the school’s superintendent**. (School superintendents shall not delegate this responsibility for signature to his or her deputy).

GRANT APPLICATION
LOWER EMISSION SCHOOL BUS PROGRAM

The following table shows the maximum funding amount for each school bus.

Maximum Funding Amounts ¹				
School Bus Type	Fuel Type	NOx Certification Level (g/bhp-hr)	Maximum Award per School Bus	Maximum Award for Infrastructure per School Bus
Type C	Propane	0.02 or lower	\$155,000	\$5,000
Type C or D	CNG	0.02 or lower	\$205,000	\$15,000
Type A	Zero Emission	0.00	\$325,000 ²	\$20,000
Type C or D	Zero Emission	0.00	\$370,000 ²	\$20,000

¹ The funding amounts shown in this table may be reduced if the project also receives HVIP funding.

² South Coast AQMD + HVIP = \$400,000 Maximum Award

A. Funding Request			
Total number of school buses proposed for replacement	# of CNG:		
	# of Propane:		
	# of Electric:		
Total Funding Request for School Bus Replacement:		\$	
Will you be requesting Infrastructure funding?		<input type="checkbox"/> No	<input type="checkbox"/> Yes
Total Funding Request for Infrastructure:		\$	
Total Program funds requested		\$	

GRANT APPLICATION
LOWER EMISSION SCHOOL BUS PROGRAM

B. Other Sources of Funding	
<i>All funding sources must be disclosed at the time of application and prior to invoice payment. The sum of all grants and other funds applied toward the project shall not exceed the total project cost.</i>	
Are there other sources of funding for this project?	<input type="checkbox"/> No <input type="checkbox"/> Yes
If there are other source(s) of funding that will be utilized for this project, fill out the following information.	
Source(s) of Funding:	
Funding Amount from each Source:	\$

A copy of the school board resolution authorizing submittal of the application and identifying the individual authorized to implement the school bus replacement project will need to be submitted with the application.

C. AUTHORIZATION	
I understand that this application is for evaluation purposes only and does not guarantee project funding. I certify that to the best of my knowledge, the information contained in this application and in any documentation accompanying this application or submitted in furtherance of this application is true and accurate. I certify that I have the legal authority to apply for funding on behalf of the applicant entity and that I am authorized to sign this application on behalf of applicant.	
Superintendent's Signature:	
Date Signed:	
Name of Superintendent (Print):	

GRANT APPLICATION
LOWER EMISSION SCHOOL BUS PROGRAM

D. Current Infrastructure Information	
Do you have <u>CNG</u> refueling Infrastructure at your facility?	
<input type="checkbox"/> No <input type="checkbox"/> Yes	
Do you have <u>propane</u> refueling infrastructure at your facility?	
<input type="checkbox"/> No <input type="checkbox"/> Yes	
Do you have <u>electric</u> charging infrastructure at your facility?	
<input type="checkbox"/> No <input type="checkbox"/> Yes	
Where do you currently refuel or charge?	<input type="checkbox"/> Onsite <input type="checkbox"/> Offsite

E. If you currently refuel or charge offsite, supply the following information. <i>If not applicable, write N/A.</i>			
Distance to nearest refueling/charging facility (one-way):			
Please provide the address to the nearest refueling/charging facility below.			
Street Address:			
City		Zip Code:	

F. Proposed Infrastructure Information
Where do you plan to fuel or charge the new school buses? Please document availability of refueling or charging infrastructure (if applicable) for the new school buses.
Are you requesting Infrastructure funding?
<input type="checkbox"/> No <input type="checkbox"/> Yes

GRANT APPLICATION
LOWER EMISSION SCHOOL BUS PROGRAM

G. If you are requesting Infrastructure funding, fill out the following:		
What will the requested infrastructure funds be used for?		
<input type="checkbox"/> New Station <input type="checkbox"/> Upgrade Existing Station		
Will the future station be accessible to the public?		<input type="checkbox"/> No <input type="checkbox"/> Yes
CNG	Number of CNG fueling dispensers to be installed:	
	Number of CNG Fuel Nozzles per dispenser to be installed:	
	What is the CFM capacity needed at the CNG station for the additional school buses?	
Propane	Number of propane fueling dispensers to be installed:	
	Number of propane fueling nozzles per dispenser to be installed:	
	What is the CFM capacity need at the propane station for the additional school buses?	
Electric	Number of electric charging post to be installed:	
	Number of electric chargers per post to be installed:	

H. SUPPLEMENTAL INFORMATION: PLEASE ATTACH THE FOLLOWING DOCUMENTS TO COMPLETE YOUR APPLICATION.

<input type="checkbox"/>	A copy of the school board resolution authorizing submittal of the application and identifying the individual authorized to implement the school bus replacement project.
<input type="checkbox"/>	Complete and submit the Business Information Request Packet containing: <ul style="list-style-type: none"> <input type="checkbox"/> Business Information Request Form <input type="checkbox"/> Disadvantaged Business Certification <input type="checkbox"/> W-9 <input type="checkbox"/> Form 590 Withholding Exemption Certificate <input type="checkbox"/> Federal Contract Debarment Certification <input type="checkbox"/> Campaign Contributions Disclosure

GRANT APPLICATION
LOWER EMISSION SCHOOL BUS PROGRAM

SUPPLEMENTAL INFORMATION: PLEASE ATTACH THE FOLLOWING DOCUMENTS TO COMPLETE YOUR APPLICATION. (CONT.)

- Attach a copy of the TRUCRS Fleet List located on the Vehicle Info tab showing the compliance option each vehicle in the fleet is using and a copy of the TRUCRS General Fleet and Compliance Information Summary showing compliance located on the Compliance Status tab ("Meets Small Fleet Option" will specify "yes" if the fleet is using the Small Fleet option). The TRUCRS website can be accessed at: https://ssl.arb.ca.gov/ssltrucrsto/trucrs_reporting/login.php.
- A spreadsheet of all school buses in the fleet, including at a minimum the following information:
 - School Bus Manufacturer, Make, Model, Model Year
 - School Bus VIN #
 - Passenger Capacity
 - School Bus Type (Type A, C, or D)
 - Engine Make, Model, Model Year
 - Fuel Type
 - Accumulated Mileage and Annual Mileage.Be sure to include an electronic version of the spreadsheet with the application on a flash drive.
- For each Pre-2001 school bus listed in Table 1, include the following:
 - Current DMV Registration
 - School Bus Title (Must be clear of any lien holders)
 - A price quote for each school bus.
 - CHP 292 or CHP 343A certificates for the past 3 years. Certificates must show continuous compliance for the last 3 years. Certificates must clearly show inspection date and odometer reading.
 - Clear photo of the GVWR tag of the bus confirming VIN# and GVWR of the school bus.
 - Clear photo of the engine tag showing engine make/model, engine serial number, engine family number and engine model year.
- Include a copy of the CARB Executive Order for the near-zero school buses. If the zero-emission school bus technology is HVIP listed, then documentation verifying CARB approved is not needed.

Submit the original completed application (with all required supporting documents and signature) along with two (2) copies of the entire application package by the application deadline.

Application Deadline: January 26, 2021 at 3 pm

CERTIFICATIONS AND REPRESENTATIONS

1. Business Contact Information
2. W9- with EIN Taxpayer ID#
3. Campaign Contribution Disclosure Form



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.

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(c)(2)(i)(A))	The grantor [*]

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 _____