PROPOSAL: Release RFP, Issue RFQs and Execute Purchase Orders and Contracts to Purchase and Deploy Portable Air Cleaners at Wildfire Smoke Clean Air Centers

SYNOPSIS: AB 836 provided $5 million in statewide funding to create Wildfire Smoke Clean Air Centers for Vulnerable Populations Incentive Pilot Program to upgrade ventilation systems and deploy portable air cleaners for residents displaced by wildfires and other smoke events. In September 2021, the Board approved release of an RFP and execution of contracts. No applications were received and staff received feedback from an interested organization that they do not have the administrative capability to purchase portable air cleaners and then seek reimbursement under a contract. These actions are to: 1) release RFP #P2022-10 to solicit organizations to deploy portable air cleaners at Wildfire Smoke Clean Air Centers; 2) issue RFQs to solicit quotations and subsequently execute purchase orders for portable air cleaners along with replacement filters in an amount up to $231,250 from the Air Filtration Fund (75); and 3) execute contract(s) with organizations to deploy portable air cleaners at Wildfire Smoke Clean Air Centers.

COMMITTEE: Technology, April 15, 2022; Recommended for Approval

RECOMMENDED ACTIONS:
1. Release RFP #P2022-10 to solicit organizations to receive portable air cleaners and replacement filters purchased by the South Coast AQMD to deploy at their Wildfire Smoke Clean Air Centers;
2. Authorize the Executive Officer to issue RFQs and subsequent to receiving responsive quotations execute purchase orders, in accordance with the South Coast AQMD Procurement Policy & Procedures, for eligible CARB-certified portable air cleaners and replacement filters for Wildfire Smoke Clean Air Centers in an amount up to $231,250 from the Air Filtration Fund (75); and
3. Authorize the Chair (or by the Chair’s designation, the Executive Officer) to execute contract(s) with organizations to deploy portable air cleaners and replacement filters at Wildfire Smoke Clean Air Centers from the Air Filtration Fund (75).

Wayne Nastri
Executive Officer

Background
AB 836 provided $5 million in statewide funding to create a Wildfire Smoke Clean Air Centers for Vulnerable Populations Incentive Pilot Program to upgrade ventilation systems and provide portable air cleaners to create a network of Wildfire Smoke Clean Air Centers (Centers) for residents displaced by wildfires and other smoke events. In 2020 California had one of the most devasting wildfire seasons on record with over 4 million acres burned and 10,000 structures damaged or destroyed. In June 2021, CARB hosted two workshops to present draft guidelines developed pursuant to AB 836 to allow air districts in California to begin implementing their own incentive pilot programs. CARB finalized AB 836 guidelines and grant agreements for air districts in July 2021. In September 2021, the Board approved release of an RFP and execution of contracts. No applications were received, and staff received feedback from an interested organization that they do not have the administrative capability to purchase portable air cleaners and then seek reimbursement under a contract.

Proposal
Staff proposes to issue a revised RFP #P2022-10 to identify organizations to deploy portable air cleaners and replacement filters at Wildfire Smoke Clean Air Centers in the South Coast Air Basin. South Coast AQMD will work with organizations selected through the RFP process to issue RFQs to solicit quotations and subsequently execute purchase orders with manufacturers or dealers to procure portable air cleaners and replacement filters for the selected organizations. These organizations will determine which portable air cleaners and replacement filters are needed depending on the room specifications of the facilities where they will be deployed. This will allow organizations to use portable air cleaners and replacement filters in their deployment plans for the 2022 fire season. A listing of eligible CARB-certified portable air cleaners and their specifications (including weight, dimensions, cubic feet per minute, area covered per cleaner, noise level, required filters) is included in RFP #P2022-10 and posted on South Coast AQMD’s AB 836 Wildfire Smoke Clean Air Centers webpage to assist Centers in developing their deployment plans. South Coast AQMD’s AB 836 webpage will include information for organizations on submitting an online grant
application and online reporting required by CARB for the AB 836 program. The proposed schedule is as follows:

<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>May 6, 2022</td>
<td>RFP Released</td>
</tr>
<tr>
<td>June 7, 2022</td>
<td>Online Applications Due (1:00pm)</td>
</tr>
<tr>
<td>June 8 - 14, 2022</td>
<td>Evaluation of Applications</td>
</tr>
<tr>
<td>June 17, 2022</td>
<td>Post Selected Organizations on South Coast AQMD AB 836 Website</td>
</tr>
<tr>
<td>July 1, 2022</td>
<td>Execute Contracts with Selected Organizations</td>
</tr>
<tr>
<td>July - August 2022</td>
<td>Issue RFQs to Solicit Quotes, Execute Purchase Orders for Portable Air Cleaners</td>
</tr>
<tr>
<td>September - November 2022</td>
<td>Deploy Portable Air Cleaners at Centers</td>
</tr>
<tr>
<td>July 2022 – 2025</td>
<td>Annual Reports</td>
</tr>
<tr>
<td>July 2026</td>
<td>Final Report</td>
</tr>
</tbody>
</table>

These actions are to: 1) release RFP #P2022-10 to solicit organizations to deploy portable air cleaners and replacement filters at Wildfire Smoke Clean Air Centers; 2) authorize Executive Officer issue RFQs and subsequent to receipt of responsive quotations, execute purchase orders, in accordance with the South Coast AQMD Procurement Policy and Procedure, for eligible CARB-certified portable air cleaners and replacement filters for Wildfire Smoke Clean Air Centers in an amount up to $231,250 from the Air Filtration Fund (75); and 3) authorize Chair to execute contract(s) with organizations to deploy portable air cleaners and replacement filters at Wildfire Smoke Clean Air Centers from the Air Filtration Fund (75).

**Bid Evaluation**

Organizations will be selected based on the criteria in the RFP, primarily their ability to deploy portable air cleaners and set up a network of Wildfire Smoke Clean Air Centers throughout the South Coast AQMD jurisdiction. Multiple organizations may be selected. The panel will make recommendations to the Executive Officer for final selection of organizations. Applications will be evaluated by a panel of three South Coast AQMD staff members familiar with the subject matter of the project. The applications will be evaluated and scored by the panel in accordance with established South Coast AQMD guidelines.

**Outreach**

In accordance with South Coast AQMD’s Procurement Policy and Procedure, a public notice advertising the RFP 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 Air Basin.

Additionally, potential bidders may be notified utilizing South Coast AQMD’s own electronic listing of certified minority vendors. Notice of the RFQ will be emailed to the Black and Latino Legislative Caucuses and various minority chambers of commerce and business associations and placed on South Coast AQMD’s website (http://www.aqmd.gov) where it can be viewed by making the selection “Grants & Bids.”

**Benefits to South Coast AQMD**

This project will reduce exposure to criteria and toxic pollutants, ultrafine PM and VOCs for vulnerable populations exposed to wildfire and smoke events. Health studies have determined that fine and ultrafine PM, including diesel PM, present the greatest air pollution health risk to vulnerable populations in Southern California.

**Resource Impacts**

In September 2021, the Board approved receipt of CARB funding of $250,000 into the Air Filtration Fund (75) to create a South Coast AQMD Wildfire Smoke Clean Air Centers for Vulnerable Populations Incentive Pilot Program. Purchase orders for portable air cleaners and replacement filters will not exceed $231,500 from the Air Filtration Fund (75). Contract(s) with organizations to deploy purchased portable air cleaners and replacement filters at Centers will not have funding attached. Administrative costs to implement this program will not exceed $18,750 and will be provided by CARB.

**Attachment**

RFP #P2022-10 - Deployment of Portable Air Cleaners in Wildfire Smoke Clean Air Centers
South Coast Air Quality Management District (South Coast AQMD) requests proposals for the following purpose according to terms and conditions attached. In the preparation of this Request for Proposals (RFP) the words "Proposer," "Contractor," "Consultant," “Bidder” and “Firm” are used interchangeably.

**PURPOSE**

The purpose of this Request for Proposals (RFP) is to obtain proposals from qualified organizations to deploy portable air cleaners and replacement filters at Wildfire Smoke Clean Air Centers (Centers) to create a Wildfire Smoke Clean Air Centers for Vulnerable Populations Incentive Pilot Program. Funding to establish Centers is through Assembly Bill 836, which provided funding statewide to air districts to upgrade ventilation systems or provide portable air cleaners to create a network of Centers. Under this program South Coast AQMD will purchase portable air cleaners and replacement filters from manufacturers or dealers utilizing AB 836 funding of $231,250 and provide portable air cleaners and replacement filters to organizations that have the capability to deploy at Centers in the South Coast Air Basin. If an organization covers multiple areas provide the geographical area where Centers may be deployed. Selected organizations will determine which portable air cleaners and replacement filters are needed depending on the room specifications of the facilities where they will be deployed.

Centers will provide vulnerable populations a respite from wildfires and other smoke events. Based on past historical wildfire and smoke events, there could be up to 5-8 active Centers in the South Coast Air Basin during the active wildfire season, typically between July – November each year.

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

Section I    Background/Information
Section II   Contact Person
Section III  Schedule of Events
Section IV   Participation in the Procurement Process
Section V    Statement of Work/Schedule of Deliverables
Section VI   Required Qualifications
Section VII  Proposal Submittal Requirements
Section VIII Proposal Submission
Section IX   Proposal Evaluation/Contractor Selection Criteria
Section X    Sample Contract

Attachment A - Participation in the Procurement Process
Attachment B - Certifications and Representations
SECTION I: BACKGROUND/INFORMATION

Due to the temporary nature of Centers deployed to serve vulnerable populations for wildfire and smoke events, South Coast AQMD staff have determined that the deployment of portable air cleaners represents the best use of available funding and will best serve the needs of vulnerable populations and intended purpose of AB 836. South Coast AQMD will also utilize its experience in deploying air filtration systems in schools and community centers since completion of its air filtration pilot study in 2008. To date, South Coast AQMD has installed air filtration systems in 119 schools and community centers in the South Coast Air Basin.

SECTION II: CONTACT PERSON:

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

Patricia Kwon, Program Supervisor
Science and Technology Advancement
South Coast AQMD
21865 Copley Drive
Diamond Bar, CA 91765-4178
pkwon@aqmd.gov

SECTION III: SCHEDULE OF EVENTS

<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
</tr>
</thead>
<tbody>
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</tr>
<tr>
<td>July 2026</td>
<td>Final Report</td>
</tr>
</tbody>
</table>

SECTION IV: PARTICIPATION IN THE PROCUREMENT PROCESS

It is the policy of South Coast AQMD to ensure that all businesses including minority business enterprises, women business enterprises, disabled veteran business enterprises and small businesses have a fair and equitable opportunity to compete for and participate in South Coast AQMD contracts. Attachment A to this RFP contains definitions and further information.
SECTION V: STATEMENT OF WORK/SCHEDULE OF DELIVERABLES

Objective

The objective of this RFP is to solicit potential contractors with strong expertise and experience to successfully deploy portable air cleaners and replacement filters at Centers during wildfire and smoke events to meet the needs of vulnerable populations. Organizations with the capability to deploy portable air cleaners and replacement filters at Centers which provide easy public access to clean air shelters during wildfire and smoke events will be prioritized for funding.

Information and guidelines on the statewide AB 836 program are located here: https://ww2.arb.ca.gov/our-work/programs/wildfire-smoke-clean-air-center-grant

Centers shall deploy portable air cleaners which are certified by CARB for sale and use in California and are equipped with a High Efficiency Particulate Air Filter (HEPA) filter and with ultrafine PM and VOC/odor carbon filtration to handle wildfire smoke. A list of CARB certified air cleaning devices can be found here: https://ww2.arb.ca.gov/list-carb-certified-air-cleaning-devices

Performance specifications of typical CARB certified portable air cleaners are in Table 1 below for Center planning purposes. Additional eligible portable air cleaners will be posted on the South Coast AQMD website below as eligible portable air cleaners are evaluated by staff.

### Table 1: Eligible CARB-Certified Portable Air Cleaners

<table>
<thead>
<tr>
<th>Portable Air Cleaner</th>
<th>CFM</th>
<th>Area Covered (sq ft)</th>
<th>Dimensions (inches)</th>
<th>Weight (lbs)</th>
<th>Noise (dBA)</th>
<th>Required Filters</th>
</tr>
</thead>
<tbody>
<tr>
<td>AeraMax Pro AM IV</td>
<td>440</td>
<td>1400</td>
<td>34.7Wx19.6Hx9L</td>
<td>33</td>
<td>42 - 68</td>
<td>Prefilter, 1 HEPA, 8.8 lbs activated alumina with activated carbon and virgin activated carbon</td>
</tr>
<tr>
<td>AeraMax Pro AM III</td>
<td>220</td>
<td>700</td>
<td>21Wx20Hx9L</td>
<td>20</td>
<td>38 - 67</td>
<td>Prefilter, 1 HEPA, 4.4 lbs activated alumina with activated carbon and virgin activated carbon</td>
</tr>
<tr>
<td>Airpura R600</td>
<td>560</td>
<td>2,500</td>
<td>15Wx23Hx9L</td>
<td>45</td>
<td>28 - 62</td>
<td>Prefilter, 1 Super HEPA, 18 lbs anthracite impregnated carbon</td>
</tr>
<tr>
<td>Alen BreatheSmart 75i (with Copper Oxide/Carbon filter)</td>
<td>350</td>
<td>1,300</td>
<td>27Wx18.5Hx11.5L</td>
<td>27</td>
<td>25 - 49</td>
<td>Prefilter, 1 HEPA, 1.5 lbs activated carbon/1.5 lbs activated carbon with copper oxide</td>
</tr>
<tr>
<td>Amaircare Airwash HEPA MultiPro Air Scrubber</td>
<td>800</td>
<td>2,600</td>
<td>19Wx20Hx32L</td>
<td>42</td>
<td>66 - 86</td>
<td>2 prefilters, 1 HEPA, 5 lb carbon canister</td>
</tr>
<tr>
<td>Amaircare Airwash MultiPro BOSS HD HEPA Portable Air Scrubber</td>
<td>1,800</td>
<td>6,750</td>
<td>19Wx34Hx31L</td>
<td>70</td>
<td>66 - 86</td>
<td>2 prefilters, 1 HEPA, 2-7 lb carbon canister</td>
</tr>
<tr>
<td>Austin Air HealthMate Plus (HM 450)</td>
<td>400</td>
<td>1500</td>
<td>14.5Wx23Hx14.5L</td>
<td>47</td>
<td>50 - 66</td>
<td>Prefilter, combined HEPA +15 lb granular carbon/zeolite with potassium iodide cartridge</td>
</tr>
<tr>
<td>Austin Air HealthMate Plus Jr. (HM 250)</td>
<td>200</td>
<td>700</td>
<td>11Wx16.5Hx11L</td>
<td>24</td>
<td>49 - 65</td>
<td>Prefilter, combined HEPA + 7 lb granular carbon/zeolite with potassium iodide cartridge</td>
</tr>
<tr>
<td>Blueair Pro L</td>
<td>450</td>
<td>780</td>
<td>20Wx31Hx10L</td>
<td>46</td>
<td>32 - 55</td>
<td>Prefilter, 1 HEPA, 2 lb activated carbon pellets</td>
</tr>
<tr>
<td>Blueair Pro XL</td>
<td>450</td>
<td>1,180</td>
<td>20Wx44Hx11L</td>
<td>71</td>
<td>32 - 58</td>
<td>Prefilter, 1 HEPA, 2 lb activated carbon pellets</td>
</tr>
<tr>
<td>IQAir HealthPro Plus</td>
<td>300</td>
<td>1,125</td>
<td>15Wx28Hx16L</td>
<td>35</td>
<td>25 - 69</td>
<td>PreMax, 5 lb activated carbon/alumina with potassium permanganate, HyperHEPA</td>
</tr>
<tr>
<td>IQAir CleanZone SL</td>
<td>500</td>
<td>2,400</td>
<td>28.5Wx44.5Hx9.75L</td>
<td>71</td>
<td>45</td>
<td>HEPA, No VOC filtration.</td>
</tr>
<tr>
<td>IQAir GC Multi-Gas</td>
<td>300</td>
<td>1,240</td>
<td>15Wx28Hx16L</td>
<td>44</td>
<td>25 - 69</td>
<td>GC HyperHEPA prefiter,12 lb activated carbon/alumina with potassium permanganate, GC post filter</td>
</tr>
<tr>
<td>Oransi Erik (OV190) with activated carbon (Pre-Erik) filter</td>
<td>430</td>
<td>1,560</td>
<td>25.5Wx26Hx12.75L</td>
<td>63</td>
<td>63</td>
<td>Prefilter, MERV 18, 14 lbs activated carbon with potassium permanganate</td>
</tr>
<tr>
<td>Honeywell HPA 300</td>
<td>320</td>
<td>465</td>
<td>10.8Wx22.3Hx20L</td>
<td>17.3</td>
<td>58.5</td>
<td>HEPA, carbon filter</td>
</tr>
</tbody>
</table>

#### Statement of Work

A plan for operation, management, and maintenance of portable air cleaners is required and must include: logistics of deployment of portable air cleaners during wildfire and smoke events, management of inventory of portable air cleaners, routine maintenance including filter replacement, staff training on maintaining portable air cleaners, submission of incident reports and annual reports, and list of partner
organizations and their roles. Deployment plans for facility improvements in a limited number of locations will need to discuss how benefits to vulnerable populations displaced by wildfires and other smoke events can be provided in multiple communities.

Task 1: Develop logistics plan for operation, management and maintenance of portable air cleaners for Centers in the South Coast Air Basin including list of portable air cleaner manufacturer(s)/model number(s) by portable air cleaner identification number (updated as needed). If an organization covers multiple areas provide the geographical area where Centers may be deployed.

Task 2: Provide list of partner organizations, key staff contacts, and their roles

Task 3: Routine maintenance and staff training on maintenance of portable air cleaners

Task 4: Training of staff on required incident reports and annual reports

Task 5: Deploy portable air cleaners and replacement filters at Centers during wildfire and smoke events for vulnerable populations

Task 6: Submission of online incident reports through a web-based report system or online app to be developed by South Coast AQMD. Incident reports shall include the following:

- Portable air cleaner identification number
- Number of portable air cleaners deployed per Center
- Dates of deployment
- Facility and address of deployment
- Estimated total number of people served while Center in operation

Task 7: Submission of online annual reports through a web-based report system or online app to be developed by South Coast AQMD. Annual reports shall include the following:

- Summary of all deployments (compilation of incident reports)
- Overall description of each Center and how portable air cleaners were an enhancement and/or improvements needed
- Feedback from Center staff on perceptions of this pilot program
- Recommendations on facility selection for Centers and if suited to portable air cleaner technology
- Recommendations on facility operation for Centers and if suited to portable air cleaner technology
- Recommendations on public outreach for vulnerable populations utilizing Centers
Schedule of Deliverables

Deliverable 1: Plan for operation, management and maintenance of portable air cleaners
Deliverable 2: List of partner organizations and key staff contacts and roles
Deliverable 3: Confirmation of routine maintenance and staff training on maintenance
Deliverable 4: Confirmation of staff training on required incident and annual reports
Deliverable 5: Online submission of incident reports
Deliverable 6: Online submission of annual reports

SECTION VI: REQUIRED QUALIFICATIONS

A. Persons or firms proposing to bid on this proposal must be qualified and experienced in deploying Centers during wildfire and smoke events for vulnerable populations, and must be willing to deploy portable air cleaners in Centers and carry out the requirements of this pilot program.

B. Proposer must submit the following:

1. Resumes or similar statement of qualifications in serving vulnerable populations during wildfire and smoke events.

2. Previous experience in deploying Centers for wildfire and smoke events and training staff.

3. Summary of proposer’s general qualifications to meet required qualifications and fulfill statement of work, including personnel and resources.

SECTION VII: PROPOSAL SUBMITTAL REQUIREMENTS

Proposals must be submitted online. Failure to submit proposals in the required format will result in elimination from proposal evaluation.

Online applications must include the following:

- Application Details (Applicant name, type of entity, contact information)
- Portable Air Cleaners and Replacement Filters Required (specify total number of portable air cleaners required per room, per Center, and for all Centers active during fire season)
- If an organization covers multiple areas provide the geographic area the Centers may be deployed
- Portable Air Cleaner Information (Make, Model Number, Performance Specifications)
- Statement of Work/Schedule of Deliverables including a Deployment Plan for operation, management and maintenance of portable air cleaners at Centers during wildfire and smoke events
• Resumes or similar statement of qualifications
• Previous experience
• Summary of general qualifications to meet requirements
• Certifications and Attestations for Application Accuracy and Completeness

SECTION VIII: PROPOSAL SUBMISSION

All proposals must be submitted online according to specifications set forth in the section above, and this section. Failure to adhere to these specifications may be cause for rejection of the proposal. South Coast AQMD is providing an online application submittal system and information on how to apply on their website:


Signature - All proposals must be submitted by an authorized representative of the Proposer.

Due Date - All proposals are due no later than 1:00 p.m., June 7, 2022.

Late bids/proposals will not be accepted under any circumstances.

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

□ It is not prepared or submitted in the format described, or
□ It is signed by an individual not authorized to represent the Firm.

Modification or Withdrawal - Once submitted, proposals cannot be altered without the prior written consent of South Coast AQMD. All proposals shall constitute firm offers and may not be withdrawn for a period of ninety (90) days following the last day to accept proposals.

SECTION IX: PROPOSAL EVALUATION/CONTRACTOR SELECTION CRITERIA

A. Proposals will be evaluated by a panel of three South Coast AQMD staff members familiar with the subject matter of the project. The panel shall be appointed by the Executive Officer or his designee. In addition, the evaluation panel may include such outside public sector or academic community expertise as deemed desirable by the Executive Officer. The panel will make a recommendation to the Executive Officer and/or the Governing Board of South Coast AQMD for final selection of a contractor and negotiation of a contract.
B. Each member of the evaluation panel shall be accorded equal weight in his or her rating of proposals. The evaluation panel members shall evaluate the proposals according to the specified criteria and numerical weightings set forth below.

1. **Proposal Evaluation Criteria**

   **Technical Criteria**

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Weight</th>
</tr>
</thead>
<tbody>
<tr>
<td>Understanding the Problem</td>
<td>20</td>
</tr>
<tr>
<td>Technical/Management Approach</td>
<td>20</td>
</tr>
<tr>
<td>Contractor Qualifications</td>
<td>20</td>
</tr>
<tr>
<td>Previous Experience on Similar Projects</td>
<td>10</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>70</strong></td>
</tr>
</tbody>
</table>

   **Additional Points**

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Weight</th>
</tr>
</thead>
<tbody>
<tr>
<td>Small Business or Small Business Joint Venture</td>
<td>10</td>
</tr>
<tr>
<td>DVBE or DVBE Joint Venture</td>
<td>10</td>
</tr>
<tr>
<td>Use of DVBE or Small Business Subcontractors</td>
<td>7</td>
</tr>
<tr>
<td>Zero or Near-Zero Emission Vehicle Business</td>
<td>5</td>
</tr>
<tr>
<td>Local Business (Non-Federally Funded Projects Only)</td>
<td>5</td>
</tr>
<tr>
<td>Off-Peak Hours Delivery Business</td>
<td>2</td>
</tr>
<tr>
<td>Most Favored Customer</td>
<td>2</td>
</tr>
</tbody>
</table>

   The cumulative points awarded for small business, DVBE, use of small business or DVBE subcontractors, Zero or Near-Zero emission vehicle business, local business, and off-peak hours delivery business shall not exceed 15 points. Most Favored Customer status incentive points shall be added, as applicable for a total of 17 points.

   **Self-Certification for Additional Points**

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

2. To receive additional points in the evaluation process for the categories of Small Business or Small Business Joint Venture, DVBE or DVBE Joint Venture or Local Business (for non-federally funded projects), the proposer must submit a self-certification at the time of proposal submission certifying that the proposer meets the requirements set forth in Attachments A and B. To receive points for the use of DVBE and/or Small Business subcontractors, at least 25 percent of the total contract
value must be subcontracted to DVBEs and/or Small Businesses. To receive points as a Zero or Near-Zero Emission Vehicle Business, the proposer must demonstrate to the Executive Officer, or designee, that supplies and materials delivered to South Coast AQMD are delivered in vehicles that operate on clean-fuels. To receive points as a Local Business, the proposer must affirm that it has an ongoing business within the South Coast AQMD at the time of bid/proposal submittal and that 90 percent of the work related to the contract will be performed within the South Coast AQMD. Proposals for legislative representation, such as in Sacramento, California or Washington D.C. are not eligible for local business incentive points. Federally funded projects are not eligible for local business incentive points. To receive points as an Off-Peak Hours Delivery Business, the proposer must submit, at proposal submission, certification of its commitment to delivering supplies and materials to South Coast AQMD between the hours of 10:00 a.m. and 3:00 p.m. To receive points for Most Favored Customer status, the proposer must submit, at proposal submission, certification of its commitment to provide most favored customer status to South Coast AQMD. The cumulative points awarded for Small Business, DVBE, use of Small Business or DVBE Subcontractors, Local Business, Zero or Near-Zero Emission Vehicle Business, Off-Peak Hour Delivery Business and Most Favored Customer shall not exceed 17 points.

3. For procurement of Research and Development (R & D) projects or projects requiring technical or scientific expertise or special projects requiring unique knowledge and abilities, technical factors including past experience shall be weighted at 70 points. A proposal must receive at least 56 out of 70 points on R & D projects and projects requiring technical or scientific expertise or special projects requiring unique knowledge and abilities, in order to be deemed qualified for award.

4. Purchase of CARB certified portable air cleaners with HEPA filters and ultrafine PM and VOC/odor carbon filtration to handle wildfire smoke will be made by South Coast AQMD from the list of eligible CARB-certified portable air cleaners in this RFP and on South Coast AQMD AB 836 program website. The number and types of eligible portable air cleaners will be based on the organization’s deployment plan and the most suitable portable air cleaners to meet Center needs based on sizes and numbers of rooms and Centers to be provided with air filtration. Any eligible portable air cleaners meeting these criteria may be selected as long as the number of portable air cleaners and replacement filters meets the requirements of the deployment plan and is within the budget of $231,250 allocated for the purchase of portable air cleaners and replacement filters.

C. During the selection process the evaluation panel may wish to interview some proposers for clarification purposes only. No new material will be permitted at this time. Additional information provided during the bid review process is limited
to clarification by the Proposer of information presented in his/her proposal, upon request by South Coast AQMD.

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

E. Selection will be made based on the above-described criteria and rating factors. The selection will be made by and is subject to Executive Officer or Governing Board approval. Proposers may be notified of the results by letter.

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

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

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

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

SECTION X: SAMPLE CONTRACT

A sample contract to carry out the work described in this RFP is available on South Coast AQMD’s website at http://www.aqmd.gov/grants-bids or upon request from the RFP Contact Person (Section II).
ATTACHMENT A

PARTICIPATION IN THE PROCUREMENT PROCESS

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

B. Definitions:

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

1. "Women business enterprise" (WBE) as used in this policy means a business enterprise that meets all of the following criteria:

   a. a business that is at least 51 percent owned by one or more women, or in the case of any business whose stock is publicly held, at least 51 percent of the stock is owned by one or more women.

   b. a business whose management and daily business operations are controlled by one or more women.

   c. a business which is a sole proprietorship, corporation, or partnership with its primary headquarters office located in the United States, which is not a branch or subsidiary of a foreign corporation, foreign firm, or other foreign-based business.

2. "Disabled veteran" as used in this policy is a United States military, naval, or air service veteran with at least 10 percent service-connected disability who is a resident of California.

3. "Disabled veteran business enterprise" (DVBE) as used in this policy means a business enterprise that meets all of the following criteria:

   a. is a sole proprietorship or partnership of which at least 51 percent is owned by one or more disabled veterans or, in the case of a publicly owned business, at least 51 percent of its stock is owned by one or more disabled veterans; a subsidiary which is wholly owned by a parent corporation but only if at least 51 percent of the voting stock of the parent corporation is owned by one or more disabled veterans; or a joint venture in which at least 51 percent of the joint
venture's management and control and earnings are held by one or more
disabled veterans.

b. the management and control of the daily business operations are by one or
more disabled veterans. The disabled veterans who exercise management
and control are not required to be the same disabled veterans as the owners
of the business.

c. is a sole proprietorship, corporation, or partnership with its primary
headquarters office located in the United States, which is not a branch or
subsidiary of a foreign corporation, firm, or other foreign-based business.

4. "Local business" as used in this policy means a company that has an ongoing
business within geographical boundaries of South Coast AQMD at the time of bid
or proposal submittal and performs 90 percent of the work related to the contract
within the geographical boundaries of South Coast AQMD and satisfies the
requirements of subparagraph H below. Proposals for legislative representation,
such as in Sacramento, California or Washington D.C. are not eligible for local
business incentive points.

5. "Small business" as used in this policy means a business that meets the following
criteria:

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 and 339000, inclusive, of the North
   American Industrial Classification System (NAICS) Manual published by the

6. "Joint ventures" as defined in this policy pertaining to certification means that one
party to the joint venture is a DVBE or small business and owns at least 51 percent
of the joint venture.

7. "Zero or Near-Zero Emission Vehicle Business" as used in this policy means a
company or contractor that uses Zero or Near-Zero emission vehicles in
conducting deliveries to South Coast AQMD. Zero or Near-Zero emission vehicles
include vehicles powered by electric, compressed natural gas (CNG), liquefied natural gas (LNG), liquefied petroleum gas (LPG), ethanol, methanol and hydrogen and are certified to 90 percent or lower of the existing standard.

8. “Off-Peak Hours Delivery Business” as used in this policy means a company or contractor that commits to conducting deliveries to South Coast AQMD during off-peak traffic hours defined as between 10:00 a.m. and 3:00 p.m.

9. “Benefits Incentive Business” as used in this policy means a company or contractor that provides janitorial, security guard or landscaping services to South Coast AQMD and commits to providing employee health benefits (as defined below in Section VIII.D.2.d) for full time workers with affordable deductible and co-payment terms.

10. “Minority Business Enterprise” as used in this policy means a business that is at least 51 percent owned by one or more minority person(s), or in the case of any business whose stock is publicly held, at least 51 percent of the stock is owned by one or more minority persons.

a. a business whose management and daily business operations are controlled by one or more minority persons.

b. a business which is a sole proprietorship, corporation, or partnership with its primary headquarters office located in the United States, which is not a branch or subsidiary of a foreign corporation, foreign firm, or other foreign-based business.

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

11. “Most Favored Customer” as used in this policy means that the 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.

12. “Disadvantaged Business Enterprise” as used in this policy means a business that is an entity owned and/or controlled by a socially and economically disadvantaged individual(s) as described by Title X of the Clean Air Act Amendments of 1990 (42 U.S.C. 7601 note) (10 percent statute), and Public Law 102-389 (42 U.S.C. 4370d)(8 percent statute), respectively; a Small Business Enterprise (SBE); a Small Business in a Rural Area (SBRA); a Labor Surplus Area Firm (LSAF); or
a Historically Underutilized Business (HUB) Zone Small Business Concern, or a concern under a successor program.

C. Under Request for Quotations (RFQ), DVBEs, DVBE business joint ventures, small businesses, and small business joint ventures shall be granted a preference in an amount equal to 5 percent of the lowest cost responsive bid. Zero or Near-Zero Emission Vehicle Businesses shall be granted a preference in an amount equal to 5 percent of the lowest cost responsive bid. Off-Peak Hours Delivery Businesses shall be granted a preference in an amount equal to 2 percent of the lowest cost responsive bid. Local businesses (if the procurement is not funded in whole or in part by federal grant funds) shall be granted a preference in an amount equal to 2 percent of the lowest cost responsive bid. Businesses offering Most Favored Customer status shall be granted a preference in an amount equal to 2 percent of the lowest cost responsive bid.

D. Under Request for Proposals, DVBEs, DVBE joint ventures, small businesses, and small business joint ventures shall be awarded ten (10) points in the evaluation process. A non-DVBE or large business shall receive seven (7) points for subcontracting at least twenty-five (25 percent) of the total contract value to a DVBE and/or small business. Zero or Near-Zero Emission Vehicle Businesses shall be awarded five (5) points in the evaluation process. On procurements which are not funded in whole or in part by federal grant funds local businesses shall receive five (5) points. Off-Peak Hours Delivery Businesses shall be awarded two (2) points in the evaluation process. Businesses offering Most Favored Customer status shall be awarded two (2) points in the evaluation process.

E. South Coast AQMD will ensure that discrimination in the award and performance of contracts does not occur on the basis of race, color, sex, national origin, marital status, sexual preference, creed, ancestry, medical condition, or retaliation for having filed a discrimination complaint in the performance of South Coast AQMD contractual obligations.

F. South Coast AQMD requires Contractor to be in compliance with all state and federal laws and regulations with respect to its employees throughout the term of any awarded contract, including state minimum wage laws and OSHA requirements.

G. When contracts are funded in whole or in part by federal funds, and if subcontracts are to be let, the Contractor must comply with the following, evidencing a good faith effort to solicit disadvantaged businesses. Contractor shall submit a certification signed by an authorized official affirming its status as a MBE or WBE, as applicable, at the time of contract execution. South Coast AQMD reserves the right to request documentation demonstrating compliance with the following good faith efforts prior to contract execution.

1. Ensure Disadvantaged Business Enterprises (DBEs) are made aware of contracting opportunities to the fullest extent practicable through outreach and recruitment activities. For Indian Tribal, State and Local Government recipients, this will include placing DBEs on solicitation lists and soliciting them whenever they are potential sources.

2. Make information on forthcoming opportunities available to DBEs and arrange time frames for contracts and establish delivery schedules, where the requirements permit, in a way that encourages and facilitates
participation by DBEs in the competitive process. This includes, whenever possible, posting solicitations for bids or proposals for a minimum of 30 calendar days before the bid or proposal closing date.

3. Consider in the contracting process whether firms competing for large contracts could subcontract with DBEs. For Indian Tribal, State and Local Government recipients, this will include dividing total requirements when economically feasible into smaller tasks or quantities to permit maximum participation by DBEs in the competitive process.

4. Encourage contracting with a consortium of DBEs when a contract is too large for one of these firms to handle individually.

5. Using the services and assistance of the Small Business Administration and the Minority Business Development Agency of the Department of Commerce.

6. If the prime contractor awards subcontracts, require the prime contractor to take the above steps.

H. To the extent that any conflict exists between this policy and any requirements imposed by federal and state law relating to participation in a contract by a certified MBE/WBE/DVBE as a condition of receipt of federal or state funds, the federal or state requirements shall prevail.

I. When contracts are not funded in whole or in part by federal grant funds, a local business preference will be awarded. For such contracts that involve the purchase of commercial off-the-shelf products, local business preference will be given to suppliers or distributors of commercial off-the-shelf products who maintain an ongoing business within the geographical boundaries of South Coast AQMD. However, if the subject matter of the RFP or RFQ calls for the fabrication or manufacture of custom products, only companies performing 90 percent of the manufacturing or fabrication effort within the geographical boundaries of South Coast AQMD shall be entitled to the local business preference. Proposals for legislative representation, such as in Sacramento, California or Washington D.C. are not eligible for local business incentive points.

J. In compliance with federal fair share requirements set forth in 40 CFR Part 33, South Coast AQMD shall establish a fair share goal annually for expenditures with federal funds covered by its procurement policy.
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:jn

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

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**BUSINESS INFORMATION REQUEST**

<table>
<thead>
<tr>
<th>Business Name</th>
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<tr>
<td>Division of</td>
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<tr>
<td>Subsidiary of</td>
<td></td>
</tr>
<tr>
<td>Website Address</td>
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</tbody>
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**Type of Business**  
Check One:  
- Individual  
- DBA, Name _______________, County Filed in _______________  
- Corporation, ID No. _______________  
- LLC/LLP, ID No. _______________  
- Other _______________

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**REMITTING ADDRESS INFORMATION**

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<tr>
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<td>State/Province</td>
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<td>Contact</td>
<td>Title</td>
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<td>E-mail Address</td>
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<tr>
<td>Payment Name if Different</td>
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</table>

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:

- Small Business Enterprise/Small Business Joint Venture
- Local business
- Minority-owned Business Enterprise
- Women-owned Business Enterprise
- Disabled Veteran-owned Business Enterprise/DVBE Joint Venture
- 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.

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.
### W-9 Request for Taxpayer Identification Number and Certification

**Go to www.irs.gov/FormW9 for instructions and the latest information.**

1. **Name as shown on your income tax return. Name is required on this line; do not leave this line blank.**
   - [ ] Line 1

2. **Business name/disregarded entity name, if different from above.**
   - [ ] Line 2

3. **Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only one of the following seven boxes.**
   - [ ] Individual/sole proprietor or single-member LLC
   - [ ] Corporation (C Corporation, S Corporation, or Partnership) (CP)
   - [ ] Trustee (TIN)
   - [ ] Limited liability company (LLC) check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the entity unless the owner of the LLC is another LLC that is not disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.
   - [ ] Other (see instructions)
   - [ ] Name and address (optional)

4. **Exempt payee codes (if any)**
   - [ ] Exemption from FATCA reporting code (if any)

5. **Address (number, street, and apt. or suite no.) See instructions.**
   - [ ] Line 5

6. **City, state, and ZIP code**
   - [ ] Line 6

7. **Tax account number(s) here (optional)**
   - [ ] Line 7

### Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, step 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see how to get a TIN, later.

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

#### Social security number

- [ ] Line 8

#### Employer identification number

- [ ] Line 9

### Part II Certification

Under penalties of perjury, I certify that:

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

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

### General Instructions

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

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

### Purpose of Form

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

- Form 1099-INT (Interest earned or paid)
- Form 1099-DIV (Dividends, Including those from stocks or mutual funds)
- Form 1099-MISC (Various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (Stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S proceeds from real estate transactions
- Form 1098 (Home mortgage interest, 1098-E Student loan interest, 1098-T tuition)
- Form 1099-C (Canceled debt)
- Form 1099-A (Acquisition or abandonment of secured property)

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

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

Cat. No. 10291X

Form W-9 (Rev. 10-2018)
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 (signed April 30, 1984) allows the parties to exclude private or non-commercial gifts and grants of income from the tax bases of the resident alien, if the income is received for the purpose of furthering education in 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 income received while studying in the United States will attach a statement to Form 8949 or to an income tax return filed by the sponsor, the Chinese student, or the Chinese student’s employer.

Backup Withholding

What is backup withholding? Persons making certain payments to you must withhold 21% of such payments to you. Payments 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 tobacco operations. Real estate transactions are not subject to backup withholding. However, you may still be required to file a W-9 for backup withholding purposes.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the payer.
2. You do not certify your TIN when required (see the instructions for Part II of this form).
3. The IRS tells the payer that the TIN you furnished is incorrect.
4. The IRS tells the payer you are subject to backup withholding because you did not report all your income and dividends on your tax return (for reportable interest and dividend accounts opened after 1998 only).
5. You do not certify to the payer that you are not subject to backup withholding under 4 above for reportable interest and dividend accounts opened after 1998 only.

Certain payments and payments made from backup withholding. See Exempt payee code, later, and the separate instructions for the Requestor of Form W-9 for more information.

Also see Special rules for partnerships, later.

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 Requestor of Form W-9 for more information.

Updating Your Information

You must provide updated information to any person to whom you are subject to a penalty because you did not 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. You may be subject to a penalty of $50 for each failure to provide updated information. See Exemption from FATCA reporting code, later, and the instructions for the Requestor of Form W-9 for more information.

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.
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 rather 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.

- **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 1040 or 1040A/1040EZ you filed with your application.

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

- **Partnership, LLC that is not a single-member LLC, or 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.

Line 4, Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter the appropriate space on line 4 any codes(1) that may apply to you.

**Exempt payee codes**:
- 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(c), any IRA, or a custodial account under section 403(b) if the account satisfies the requirements of section 401(3)(B).
2. The United States or any of its agencies or instrumentailies.
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 564A.
11. A financial institution.
12. A RIghtor known in the investment community as a nominee or custodian.
13. A trust exempt from tax under section 664 or described in section 4947.
### Part I. Taxpayer Identification Number (TIN)

**Note:** If you are a sole proprietor and 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.

#### How to get a TIN

If you do not have a TIN, apply for one immediately. To apply for an SSN, go to 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 TIN, 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.

#### 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 required to sign by the withholding agent even if 1, 4, or 6 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 barrier exchange accounts opened before 1964 and broker accounts considered active during 1963.
You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barrier exchange accounts opened after 1963 and broker accounts considered inactive during 1963. 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 rent, royalties, gross (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 cards 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

<table>
<thead>
<tr>
<th>For this type of account</th>
<th>Give name and SSN or:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual</td>
<td>The individual</td>
</tr>
</tbody>
</table>
| 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:
Each holder of the account |
| Two or more U.S. persons (joint account maintained by an FFI) | The minor |
| Custodial account of a minor (Uniform Gift to Minors Act) | The grantor trustee |
| The trustor | The actual owner |
| The beneficiary | The owner |
| The grantor | The grantor |

For this type of account:

<table>
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<tr>
<th>Give name and EIN or:</th>
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<tr>
<td>The owner</td>
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<tr>
<td>Legal entity</td>
</tr>
<tr>
<td>The corporation</td>
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<tr>
<td>The organization</td>
</tr>
<tr>
<td>The partnership</td>
</tr>
<tr>
<td>The broker or nominee</td>
</tr>
</tbody>
</table>

1. List first and circule 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 EIN name on the business name/dissolved 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 person for whom the TIN is on the person’s representative or trustee unless the legal entity itself is not designated in the account title. Also see Special rules for partnerships, estates.

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

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 1-800-909-4406 or submit Form 14039.

*For more information, see Pub. 5827, 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 1-800-877-8339.

Protect yourself from suspicious emails or phishing schemes. Phishing is the creation and use of false 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 trick 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 spanning@ups.com or report them at www.ftc.gov/complaint. You can contact the FTC at www.ftc.gov/idtheft or 877-IDTHEFT (877-433-7233), if you have been the victim of identity theft, see www.identifytheft.gov and Pub. 5627.

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, payees 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.
# Withholding Exemption Certificate

**TAXABLE YEAR:** 2021

**CALIFORNIA FORM 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:** 
- **FQIN:** 
- **CA Corp no.:** 
- **CA SOS file no.:** 

- **Address (apt. no., city, P.O. box, or F&F no.):** 

- **City (if you have a foreign address, see instructions):**  
- **State:** 
- **ZIP code:** 

## Exemption Reason

Check only one box.

- **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 501C (insert number). If this entity ceases to be exempt from tax, I will promptly notify the withholding agent. Individuals cannot be tax-exempt entities.

- **Insurance Companies, Individual Retirement Arrangements (IRAs), or Qualified Pension/Profit-Sharing Plans:**  
  The entity is an insurance company, IRA, or a federally qualified pension or profit-sharing plan.

- **California Trusts:**  
  At least one trustee and one noncontingent beneficiary of the above-named trust is a California resident. The trust will file a California fiduciary tax return. If the trustee or noncontingent beneficiary becomes a nonresident at any time, I will promptly notify the withholding agent.

- **Estates — Certification of Residency of Deceased Person:**  
  I am the executor of the above-named person’s estate or trust. The decedent was a California resident at the time of death. The estate will file a California fiduciary tax return.

- **Nonmilitary Spouse of a Military Servicemember:**  
  I am a nonmilitary spouse of a military servicemember and I meet the Military Spouse Residency Relief Act (MSRRA) requirements. See instructions for General Information E, MSRRA.

## CERTIFICATE OF PAYEE

Payee must complete and sign below.

To learn about your privacy rights, how we may use your information, and the consequences for not providing the requested information, go to [ftb.ca.gov/forms](http://ftb.ca.gov/forms) and search for 1131. To request this notice by mail, call 800.662.5711.

Under penalty 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:**
2021 Instructions for Form 590
Withholding Exemption Certificate

General Information
California Revenue and Taxation Code (R&T) Section 18662 requires withholding of income or franchise tax on payments of California source income made to nonresident of California. For more information, see General Information B, Income Subject to Withholding.

Registered Domestic Partners (RDPs) – For purposes of California income tax, reference to a spouse, husband, or wife also refer to a California RDP unless otherwise specified. For more information on RDPs, visit 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 employers. Wage withholding is administered by the California Employment Development Department (EDD). For more information, go to edd.ca.gov or call 888.743.3886.

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, Real Estate Withholding Statement, 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
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 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, visit FTB Pub. 1017, Resident and Nonresident Withholding Guidelines. To get a withholding publication, go to Additional Information.

C Who Certifies this Form
Form 590 is certified (completed and signed) 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 the case 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.

The certification does not need to be renewed annually. The certification on Form 590 remains valid until the payee's status changes. The withholding agent must retain a copy of the certification or substitute for at least five years after the last payment to which the certification applies. The agent must provide it to the FTB upon request.

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, visit FTB Pub. 1031, Guidelines for Determining Resident Status. Military servicemembers have special rules for residency. For more information see General Information E, Military Spouse Residency Relief Act (MSRRA), and FTB Pub. 1032, Tax Information for Military Personnel.

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 not in 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 as a state other than California.

For additional information or assistance in determining whether the applicant meets the MSRRA requirements, get FTE 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 the 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.), or CA SSN (the 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 practices 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 certification on Form 592 remains valid until the payee's status changes. 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. The agent must provide it to the FTB on 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, Form 592-PTE, Pass-Through Entity Annual Withholding Return, Form 592-Q, Payment Voucher for Pass-Through Entity Withholding, and Form 592-V, Payment Voucher for Resident or Nonresident Withholding.

**Additional Information**

Visit the FTB website for more information, go to ftb.ca.gov and search for nonwage.

FTCA offers secure online tax account information and services. For more information, go to ftb.ca.gov and login or register for FTCA.

Contact FTB:

**Telephone:** 888.452.4900 or 916.445.4900, Withholding Services and Compliance phone service

**Fax:** 916.445.9512

**Mail:** WITHHOLDING SERVICES AND COMPLIANCE MS F162 FRANCHISE TAX BOARD PO BOX 442687 SACRAMENTO CA 95827-4651

For questions unrelated to withholding, or to download, view, and print California tax forms and publications, contact access the TTY/TDD numbers, see the Internet and Telephone Assistance section.
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). Where a proposed rule or proposed amended rule impacts three or fewer facilities, those facilities will be treated in much the same manner as contracting parties and so must also complete this form, disclosing information relating to any campaign contributions made to any South Coast AQMD Board Members. See Quadri Advice Letter (2002) A-02.096.1 In the event that a qualifying campaign contribution is made, the Board Member to whom it was made may be disqualified from participating in the actions involving that donor.

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 the 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 Board Members can be found at the 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

1 The information provided on this form does not, and is not intended to, constitute legal advice. To the extent that you may have questions regarding any case law, citations, or legal interpretations provided above please seek the guidance of your own independent counsel.
South Coast AQMD 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 ____________________________________________________________

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<thead>
<tr>
<th>Governing Board Member or MSRC Member/Alternate</th>
<th>Amount of Contribution</th>
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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;

(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.
Direct Deposit Authorization

STEP 1: Please check all the appropriate boxes

☐ Individual (Employee, Governing Board Member)  ☐ New Request
☐ Vendor/Contractor  ☐ Cancel Direct Deposit
☐ Changed Information

STEP 2: Payee Information

<table>
<thead>
<tr>
<th>Last Name</th>
<th>First Name</th>
<th>Middle Initial</th>
<th>Title</th>
</tr>
</thead>
</table>

Vendor/Contractor Business Name (if applicable)

<table>
<thead>
<tr>
<th>Address</th>
<th>Apartment or P.O. Box Number</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>City</th>
<th>State</th>
<th>Zip</th>
<th>Country</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Taxpayer ID Number</th>
<th>Telephone Number</th>
<th>Email Address</th>
</tr>
</thead>
</table>

Authorization

1. 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.

2. This authorization remains in effect until South Coast AQMD receives written notification of changes or cancellation from you.

3. 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

<table>
<thead>
<tr>
<th>Name of Bank/Institution</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Account Holder Name(s)</th>
</tr>
</thead>
</table>

☐ Saving  ☐ Checking

<table>
<thead>
<tr>
<th>Account Number</th>
<th>Routing Number</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Bank Representative Printed Name</th>
<th>Bank Representative Signature</th>
<th>Date</th>
</tr>
</thead>
</table>

ACCOUNT HOLDER SIGNATURE:

For South Coast AQMD Use Only

Input By ____________________  Date ________________