



South Coast Air Quality Management District

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

TO: SCAQMD Technology Committee
John Benoit, Chair
Joe Buscaino, Larry McCallon, Judith Mitchell, Dwight Robinson, Janice Rutherford

FROM: Matt Miyasato, DEO, Science & Technology Advancement

TECHNOLOGY COMMITTEE

21865 Copley Drive, Diamond Bar, CA 91765
May 20, 2016 ♦ 12:00 p.m. ♦ Conference Room – CC-8

TELECONFERENCE LOCATIONS

Riverside County Board of Supervisors
4080 Lemon Street, 5th Floor
Riverside, CA 92501

Los Angeles City Hall
200 N. Spring Street
Room 410
Los Angeles, CA 90012

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

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

Toll Free: 866-244-8528

Listen Only Passcode: 5821432

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

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

AGENDA

JUNE BOARD AGENDA ITEMS FOR ACTION/DISCUSSION

- 1. Issue Program Announcement for Heavy-Duty Diesel Trucks and Transport Refrigeration Units Under Proposition 1B-Goods Movement Program** 

In June 2015, CARB approved updates to the Proposition 1B–Goods Movement Emission Reduction Program Guidelines identifying new specifications and funding levels for eligible heavy-duty truck projects. The updates include funding for near-zero and zero emission truck projects for large fleets. This action is to issue, and if undersubscribed re-issue, a Program Announcement for heavy-duty diesel trucks and transport refrigeration units under the Proposition 1B-Goods Movement Program.

Vicki White
Program
Supervisor

2. Execute Contracts for Technical Assistance for Advanced, Low and Zero Emission Mobile and Stationary Source Control Technologies and Implementation of Incentive Programs

Fred Minassian
Assistant Deputy
Executive Officer

On February 5, 2016, the Board approved the release of an RFP to solicit proposals to provide technical assistance, implementation and outreach support for advanced, low and zero emission control technologies for the Clean Fuels Program and various incentive programs. Ten proposals were received in response to the solicitation. These actions are to execute contracts with four technical experts to provide technical assistance and outreach support at a total cost not to exceed \$760,000, comprised of \$250,000 from the Clean Fuels Fund (31); \$175,000 from the Carl Moyer Program AB 923 Fund (80); \$285,000 from the Proposition 1B-Goods Movement Program Fund (81); and \$50,000 from the AB 1318 Mitigation Fees Fund (58). Funding from the Carl Moyer, Proposition 1B and AB 1318 funds will be from the administrative portion of those funds.

3. Recognize Revenue and Execute Contract for Development and Demonstration of Ultra-Low Emission Natural Gas Switcher Locomotive 

Adewale Oshinuga
Program
Supervisor

Emissions from locomotives are projected to increase over the next decade, and development and early commercialization of ultra-low NOx emission locomotive technologies is a critical component for achieving the federal ambient air quality standards. VeRail Technologies, Inc. (VeRail) is currently developing ultra-low emission natural gas locomotives that are 90% cleaner than the current Tier 4 NOx emissions standard. The Ports of Long Beach and Los Angeles, as well as U.S. EPA and Southern California Gas Company, have partnered to fund the development and demonstration of the ultra-low NOx natural gas locomotive with Pacific Harbor Line. This action is to recognize revenues of up to \$1 million from U.S. EPA and Southern California Gas Company and execute a contract with VeRail for the development and demonstration of an ultra-low NOx emission natural gas switcher locomotive in an amount not to exceed \$1 million from the Clean Fuels Fund (31).

4. Other Business

Any member of the committee, or its staff, on his or her own initiative or in response to questions posed by the public, may ask a question for clarification; may make a brief announcement or report on his or her own activities, provide a reference to staff regarding factual information, request staff to report back at a subsequent meeting concerning any matter, or may take action to direct staff to place a matter of business on a future agenda. (Govt Code Section 54954.2)

5. Public Comment Period

Members of the public may address this body concerning any agenda item before or during consideration of that item (Govt. Code Section 54954.3). All agendas for regular meetings are posted at District Headquarters, 21865 Copley Drive, Diamond Bar, California, at least 72 hours in advance of a regular meeting. At the end of the regular meeting agenda, an opportunity is also provided for the public to speak on any subject within this body's authority. Speakers may be limited to three (3) minutes each.

Next Meeting: June 17, 2016 at SCAQMD Headquarters in CC-8

Document Availability

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

Americans with Disabilities Act

The agenda and documents in the agenda packet will be made available, upon request, in appropriate alternative formats to assist persons with a disability. Disability-related accommodations will also be made available to allow participation in the Technology Committee meeting. Any accommodations must be requested as soon as practicable. Requests will be accommodated to the extent feasible. Please contact Pat Krayser at 909-396-3248 from 7:00 a.m. to 5:30 p.m., Tuesday through Friday, or send the request to pkrayser@aqmd.gov.

[Go to SLIDES](#)

DRAFT
Technology Committee Agenda #1

BOARD MEETING DATE: June 3, 2016

AGENDA NO.

PROPOSAL: Issue Program Announcement for Heavy-Duty Diesel Trucks and Transport Refrigeration Units Under Proposition 1B-Goods Movement Program 

SYNOPSIS: In June 2015, CARB approved updates to the Proposition 1B–Goods Movement Emission Reduction Program Guidelines identifying new specifications and funding levels for eligible heavy-duty truck projects. The updates include funding for near-zero and zero emission truck projects for large fleets. This action is to issue, and if undersubscribed re-issue, a Program Announcement for heavy-duty diesel trucks and transport refrigeration units under the Proposition 1B-Goods Movement Program.

COMMITTEE: Technology, May 20, 2016; Recommended for Approval

RECOMMENDED ACTION:

Approve issuance, and if undersubscribed re-issuance, of a Program Announcement for the heavy-duty diesel trucks and transport refrigeration units under the Proposition 1B-Goods Movement Program.

Wayne Nastri
Acting Executive Officer

MMM:FM

Background

Proposition 1B authorizes \$1 billion to CARB for the Goods Movement Emission Reduction Program (Program). Projects funded by this Program must achieve early or extra emission reductions not otherwise required by law or regulations in four priority trade corridors of Los Angeles/Inland Empire, Central Valley, Bay Area and San Diego/Border. To date, CARB has granted close to \$740 million to local agencies for various goods movement projects. SCAQMD has received about \$400 million of these funds for projects involving heavy-duty diesel trucks, locomotives and ships at berth. The vast majority of these projects are currently operational providing significant emission reduction benefits to the region.

In September 2015, CARB approved new funding awards for the Program, including \$137.9 million for the Los Angeles/Inland Empire trade corridor. About \$100.9 million of these funds are set aside for heavy-duty diesel truck projects, zero emission transportation refrigeration units (TRUs) and supporting infrastructure. For heavy-duty trucks, this includes funding for near-zero and zero emission technologies and electric truck refrigeration units. The remaining \$37 million is allocated for locomotives and ships at berth and cargo handling equipment projects.

A Program Announcement for heavy-duty trucks and TRUs closed on November 20, 2015. Staff completed the evaluation of the eligible projects, and on May 6, 2016, the Board approved the recommended projects in the amount of \$52 million. A new Program Announcement is necessary to solicit additional project applications for the remaining balance of the funds.

Proposal

This action is to issue, and if undersubscribed re-issue, a Program Announcement for heavy-duty trucks and TRUs under the Proposition 1B-Goods Movement Program. Following the solicitation and evaluation of the applications, staff will return to the Board for approval of the ranked list and specific awards for each project.

Outreach

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

Additionally, potential bidders may be notified utilizing SCAQMD's own electronic listing of certified minority vendors. Notice of the PA will be emailed to the Black and Latino Legislative Caucuses and various minority chambers of commerce and business associations, and placed on the Internet at SCAQMD's website (<http://www.aqmd.gov>) where it can be viewed by making the selection "Grants & Bids".

Benefits to SCAQMD

The successful implementation of the proposed projects will reduce NO_x and PM emissions in a cost-effective and expeditious manner to meet the goals of the AQMP. The proposed vehicles and equipment to be funded by the Proposition 1B Program will operate for many years in the South Coast region and provide long-term emission reductions.

Resource Impacts

Staff will seek the Board's approval of awards after completion of the evaluations and ranking of all the truck project applications received in response to this solicitation.

Attachment

Program Announcement #PA2016-10 for Heavy-Duty Diesel Trucks and TRUs



SCAQMD Program Announcement For Heavy-Duty Diesel Trucks and Transport Refrigeration Units Proposition 1B - Goods Movement Emission Reduction Program PA #2016-10

The South Coast Air Quality Management District (SCAQMD) is pleased to announce the availability of funds from the Proposition 1B - Goods Movement Emission Reduction Program (hereafter “Program”). The Program is administered by a partnership between the California Air Resources Board (CARB) and local agencies to quickly reduce air pollution emissions and health risk from freight movement along California’s trade corridors. Projects funded under this Program must achieve early or extra emission reductions not otherwise required by law or regulation. Approximately \$50 million in Program funding is expected to be available to SCAQMD for owners of heavy-duty diesel trucks and Transport Refrigeration Units (TRUs) used in freight movement to upgrade to cleaner technologies. Funding is also available for truck stop electrification infrastructure, electric charging stations, hydrogen fueling units, and infrastructure needed for zero-emission TRUs.

WHO: The following may apply for funding through this solicitation:

1. Owner of an on-road, heavy-duty diesel truck with a manufacturer’s gross vehicle weight rating (GVWR) of 19,501 lbs or greater (Class 6, 7 or 8 truck) used to move goods as part of a sales transaction for a majority of the time,
2. Any entity who plans to own and operate the Program-funded electrification infrastructure at a truck stop, rail yard or other freight facility, with agreement from the site owner, and
3. Owner of one or more TRUs.

WHAT: There are eight project options available as part of this solicitation.

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| 1. Truck Replacement | 6. Transport Refrigeration Unit (TRU) Replacement |
| 2. Three-Way Truck Transaction | 7. TRU Power Plug Installation |
| 3. Two-for-One Truck Replacement | 8. Cryogenic Refrigeration Fueling Infrastructure at Distribution Center |
| 4. Electrification Infrastructure at a Truck Stop, Rail Yard or Other Facility | |
| 5. Electric Charging Stations or Hydrogen Fueling Units | |

Equipment specifications for each of these project options can be found in Appendix A and F of the 2015 Program Guidelines at: www.arb.ca.gov/gmbond

HOW: The application forms with instructions are attached to this Program Announcement (PA). For guidance on which application forms are required for your project type, please see Section VII of this PA. A copy of the application forms can be found at: <http://www.aqmd.gov/Prop1B>

WHERE: Three (3) copies of a **completed application (with all required supporting documents and signatures)** must be submitted via mail delivery, or in person to:

**South Coast Air Quality Management District
21865 Copley Dr., Diamond Bar, CA 91765
Attn: Procurement**

NOTE: Facsimile or email submittals **will not be accepted.**



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WHEN: Applications must be received by no later than **4:00 PM on August 4, 2016** to be considered for funding. If you submit an application in person to the SCAQMD, you must obtain a receipt from SCAQMD's Public Information Center located in the lobby that verifies the date and time of your submittal.

Schedule:

Solicitation Opens	June 3, 2016
Application Deadline	August 4, 2016 (no later than 4 pm)
Anticipated:	
SCAQMD Evaluation Period	August – November 2016
CARB's Approval of Ranked List	December 2016
SCAQMD Board Approval of Awards	December 2016
SCAQMD to Issue Contracts	January – February 2017
Operational Deadline	18 months after contract execution if equipment is commercially available, or 3 years after contract execution if equipment is not commercially available. 3 years to verify project completion, obtain at least 1 year of data on actual use for the truck stop electrification infrastructure projects.

For general information or questions about the SCAQMD Proposition 1B – Goods Movement Emission Reduction Program, please contact:

Mei Wang, Air Quality Specialist • (909) 396-3257 • mwang@aqmd.gov



SCAQMD Program Announcement
For
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I. SUMMARY

The purpose of this Program Announcement (PA) is to provide funding for projects under the State's Proposition 1B – Goods Movement Emission Reduction Program. This PA will include projects of the following equipment types:

- Heavy-duty trucks(advance technology only)
- Truck stop electrification infrastructure
- Electric charging stations in conjunction with truck replacement
- Hydrogen fueling infrastructure in conjunction with truck replacement
- Transport Refrigeration Units (TRUs)
- TRU electric charging stations
- TRU cryogenic refrigeration fueling stations in conjunction with TRU replacement

II. BACKGROUND

The diesel engines in trucks, locomotives, ships, harbor craft, and cargo handling equipment are major contributors to the State's pollution challenges. These sources account for nearly half of the statewide particulate matter (PM) emissions. Diesel PM is both a toxic air contaminant and a contributor to black carbon, a powerful short-lived climate pollutant. Near-source exposure to emissions of this particulate matter is associated with health risks, especially near distribution centers, railyards, and seaports, many of which impact disadvantaged communities. Emissions from freight transport also account for over one third of the statewide nitrogen oxides (NOx) that forms fine particles.

Proposition 1B (Prop. 1B), approved by voters in 2006, authorizes \$1 billion in bond funding to CARB to cut freight emissions in four priority trade corridors, including the Los Angeles/Inland Empire trade corridor in the South Coast Air Basin. To date, CARB has expended approximately \$760 million for the Program in the first four funding cycles (2008, 2010, 2011 and 2013). The project categories for the current cycle (Year 5) include heavy-duty diesel trucks, freight locomotives, ships at berth, commercial harbor craft, cargo handling equipment, transport refrigeration units (TRU), and infrastructure for electrification of truck stops, distribution centers and other places where trucks congregate.

The Program supplements existing regulations and may be combined with other funding programs to cut diesel emissions by funding projects “not otherwise required by law or regulation.” The Program funds provide an incentive to equipment owners to upgrade to cleaner equipment and achieve early or extra emission reductions beyond those required by applicable rules, regulations or enforceable agreements.

III. DEFINITIONS

a) Air Quality Improvement Program (AQIP)

AQIP is a voluntary incentive program administered by CARB to fund clean vehicle and equipment projects, research of biofuels production and the air quality impacts of alternative fuels, and workforce training. AQIP was created in 2007 by AB 118, the California Alternative and Renewable Fuel, Vehicle Technology, Clean Air, and Carbon Reduction Act of 2007 (Núñez,



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Chapter 750, Statutes of 2007). AB 8 (Perea, Chapter 401, Statutes of 2013) reauthorized the fees that support AQIP through 2023.

CARB has focused AQIP investments on technology advancing projects that support California's long-term air quality and climate change goals in addition to providing immediate emission benefits. AQIP investments have concentrated on three main categories: commercial deployment of clean vehicles, pre-commercial advanced technology demonstrations, and finance assistance to small trucking fleets. For the latest information on the AQIP, please visit:

<http://www.arb.ca.gov/msprog/aqip/aqip.htm>

b) Class 6 Truck (Weight Classification)

A heavy duty truck with a Gross Vehicle Weight Rating of 19,501 to 26,000 pounds, equipped with a medium-heavy duty engine.

c) Class 7 Truck (Weight Classification)

A heavy duty truck with a Gross Vehicle Weight Rating of 26,001 to 33,000 pounds, equipped with either a medium-heavy duty engine or a heavy-heavy duty engine.

d) Class 8 Truck (Weight Classification)

A heavy duty truck with a Gross Vehicle Weight Rating of 33,001 pounds or greater, equipped with a heavy-heavy duty engine.

e) Conversion

ARB-approved aftermarket replacement of the fueling system in a diesel powered truck to a natural gas, hybrid technology, or zero-emission fueling system. Engines must have CARB approval as an aftermarket conversion to be sold in California. The proposed engine in conversion projects are not fueled by diesel.

f) Cryogenic Refrigeration

An "alternative technology" that eliminates TRU diesel engine operation (and emissions) while at a facility. These systems commonly utilize either liquid nitrogen or CO₂.

g) Drayage or "Dray-off" truck

Drayage and "Dray-off" trucks are defined by Section C.15 of the Drayage Truck Regulation (13 CCR §2027) which states that any in-use on-road vehicle with a gross vehicle weight rating (GVWR) greater than 26,000 pounds that is used for transporting cargo, such as containerized, bulk, or break-bulk goods, that operates:

- A. On or transgresses through port or intermodal rail yard property for the purpose of loading, unloading or transporting cargo, including transporting empty containers and chassis; or
- B. Off port or intermodal rail yard property transporting cargo or empty containers or chassis that originated from or is destined to a port or intermodal rail yard property.



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h) Freight Facility

Distribution centers, warehouses, retail and wholesale outlets, and agricultural processing centers, and other places where trucks congregate (other than truck stops.)

i) “Goods”

Defined as having the same meaning in Commercial Code section 2105, which essentially requires that:

- A. The goods must be movable.
- B. The goods being moved must be part of a transaction that involves a contract for the sale of the goods.
- C. Rental equipment does not qualify as “Goods”.

j) Hybrid Truck

Vehicle with an electric drive system powered by an on-board generator and approved for funding by CARB’s AQIP.

k) Hybrid Zero Emission Mile Truck

Hybrid vehicle capable of zero emission miles.

l) Lease-to-Own

Truck project where the replacement truck is initially leased by the operator (owner of the existing truck). At the end of the lease, the operator will be able to take ownership of the truck with an amount listed in the lease agreement.

m) Middle-Aged Truck

A truck with a MY2007-2009 engine and an original equipment manufacturer (OEM) filter or a PM filter.

This is commonly referred to as “Truck A” in a Three-Way Truck Transaction. In this type of transaction, this middle-aged truck is replaced with a new truck. The middle-aged truck can then be reused by another truck fleet that has a truck with a 2006 MY or older engine that will be scrapped.

Note that this Truck A may not be used to expand another business or entity’s fleet size.

n) New Truck

Truck with a model year 2015 or newer engine that has not been previously owned.

o) Optional Low NOx Truck

Truck that utilizes a new Optional Reduced Emission Standard Heavy-Duty Engine that is certified/verified (as applicable) by CARB. The Optional Reduced Emission Standard is one of five separate but related regulatory actions that together will reduce GHG & NOx air emissions from medium- and heavy-duty vehicles and engines; harmonize State requirements with Federal



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requirements; establish new, optional provisions; and enhance enforcement and implementation of existing regulation.

Specifically, the optional low oxides of nitrogen (NOx) standards for heavy-duty vehicle engines provide a mechanism to allow heavy-duty engine manufacturers to optionally certify engines to standards more stringent than the 2010 standards. Trucks equipped with new engines that are certified by the ARB to the optional low NOx standard of 0.02 g/bhp-hr NOx or lower will be considered for funding through this Program Announcement.

p) Three-Way Truck Transaction

The act of replacing a middle-aged truck with a new truck with an original equipment manufacturer (OEM) filter or a PM retrofit; using the middle-aged truck to replace an old truck; and scrapping the old truck.

q) Transport Refrigeration Unit (TRU)

Refrigeration systems powered by integral internal combustion engines designed to control the environment of temperature sensitive products that are transported in trucks and refrigerated trailers. TRUs may be capable of both cooling and heating.

r) Zero Emission Truck

Vehicle that emits no criteria pollutant, toxic or greenhouse gas emissions at the tailpipe.

IV. OWNERSHIP REQUIREMENTS

Applications shall be signed and submitted by the current legal owner of the existing equipment that will be upgraded or replaced. For infrastructure projects, if there is no existing equipment, the application must be signed and submitted by the future owner of the Program-funded equipment.

Non-owner applications are not eligible for funding.

Individuals or companies that operate the existing equipment under a lease agreement with the equipment owner are prohibited from applying for bond funding.

Individuals or companies that currently own the existing equipment but will operate the replacement equipment under a lease-to-own agreement may participate if a lease-to-own program is offered by the local agency according to the provisions described in Chapter IV of the Program Guidelines.

The owner of existing equipment applying for truck replacement under a lease-to-own program may apply jointly with the proposed lessor or lessee.

Third party applications are not allowed.



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V. FUNDING TABLES

For the funding tables below, please also reference the Definitions in Section III above for descriptions of each project type and/or replacement engine type.

Table 1: Heavy-Duty Trucks

Project Type ¹	Truck Class	Old Truck Engine Model Year	Replacement Engine Model Year	Maximum Funding Amounts
Replacement (2-for-1 also available)	Class 8	2009 or older	New MY2015+ engine zero emission truck ^{2,3}	\$200,000
			New MY2015+ engine hybrid zero emission mile truck ^{2,3}	\$150,000
			New MY2015+ engine optional low-NOx truck (0.02 g/bhp-hr NOx or less) ^{2,3}	\$100,000
			New MY2015+ engine hybrid truck ^{2,3}	\$80,000
			New MY 2015+ engine natural gas truck ^{2,3,4}	\$65,000
	Class 7	2009 or older	New MY2015+ engine zero emission truck ^{2,3}	\$200,000
			New MY2015+ engine hybrid zero emission mile truck ^{2,3}	\$150,000
			New MY2015+ engine optional low-NOx truck (0.02 g/bhp-hr NOx or less) ^{2,3}	\$100,000
			New MY2015+ engine hybrid truck ^{2,3}	\$80,000
			New MY 2015+ engine natural gas truck ^{2,3,4}	\$65,000
	Class 6	1998 – 2009	New MY2015+ engine zero emission truck ^{2,3}	\$100,000
			New MY2015+ engine hybrid zero emission mile truck ^{2,3}	\$65,000
			New MY2015+ engine optional low-NOx truck (0.02 g/bhp-hr NOx or less) ^{2,3}	\$50,000
			New MY2015+ engine hybrid truck ^{2,3}	\$45,000
			New MY 2015+ engine natural gas truck ^{2,3,4}	\$40,000
Three-way Truck Transaction	Class 6/7/8	<i>Truck A:</i> MY2007-2009 engine truck ^{5,6,7} <i>Truck B:</i> Truck with MY2006 or older engine <i>Truck C:</i> New MY 2015+ engine truck as described above	<ul style="list-style-type: none"> • Replace Truck A with Truck C^{2,3} • Scrap Truck B and replace with Truck A (reuse) • Truck A and B may be owned/operated by a different owner. 	<i>Contact SCAQMD</i>

Table 1 Notes:

1. Project life for replacement truck is 5 years.
2. Projects may be co-funded with CARB’s Air Quality Improvement Program, Low Carbon Transportation Program, or the California Energy Commission’s (CEC’s) Alternative Renewable Fuel Vehicle Technology Program funds as applicable.
3. Co-funded projects can only utilize one additional source of State funding and the combined funding may not exceed 90% of the total eligible project cost or any other funding restrictions of each respective program. Projects must meet the requirements of each program providing funding.
4. Engines must meet the 2010 emission level of 0.20 g/bhp-hr or less NOx (FEL and CERT values) and 0.01 g/bhp-hr or less PM (CERT value). All engines must be approved by CARB to be sold in California.
5. Truck A must have an original equipment manufacturer (OEM) filter or Level 3 PM retrofit.



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6. Owner of Truck A does not need to specify the business or entity that will accept this truck in the Three-Way Transaction at the time of application.
7. Truck A may not be used to expand another business or entity's fleet size.

Table 2: Truck Stop Electrification Infrastructure

Project Type	Project Description	Maximum Funding Amounts	Project Life (years)
Truck Stop Electrification	Landside electrification infrastructure at a truck stop, rail yard, or other freight facility.	<i>50% of eligible costs or the calculated funding amount at 0.10 lbs/State \$, whichever is lower</i>	10
Electric Charging Stations or Hydrogen Fueling Units	Infrastructure for an electric charging stations or hydrogen fueling units for 3 heavy duty trucks. Funding in addition to the funding for the replacement of a minimum of 3 trucks.	<i>50% of eligible costs or \$90,000, whichever is lower</i>	5

Table 3: Transport Refrigeration Units (TRUs)

Project Type	Project Description	Maximum Funding Amounts	Project Life (years)
TRU Replacement ¹	Replace existing diesel TRU with zero emission TRU (e.g. all-electric or fuel cell). Eligible costs include the transport refrigerator and an electric power plug.	<i>80% of eligible costs or \$50,000, whichever is lower</i>	<i>5 years or 10,000 hours, whichever comes first</i>
	Replace 5 existing TRUs with 5 zero emission cryogenic transport refrigerators. ²	<i>80% of eligible costs or \$100,000 for 5 units, whichever is lower</i>	<i>5 years or 10,000 hours, whichever comes first</i>
TRU Power Plug Installation ¹	Install 10 electric power plugs that are compatible with electrically powered TRUs (e.g. all-electric, hybrid electric, or electric standby-equipped TRUs) at a freight facility. ³	<i>50% of eligible costs or \$30,000 for 10 plugs, whichever is lower</i>	5
Cryogenic Refrigeration Fueling Infrastructure at Freight Facilities	Install infrastructure and equipment for cryogenic refrigeration fueling station at a freight facility.	<i>50% of eligible costs or \$100,000, whichever is lower</i>	5

Table 4 Notes:

1. TRU projects will be ranked separately from heavy-duty diesel truck projects.
2. Additional cryogenic transport refrigerators may be funded at 80% of eligible costs or \$20,000 per transport refrigerator, whichever is lower.
3. Additional single plugs may be funded at 50 percent of eligible costs or \$3,000 per plug, whichever is lower.



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IMPORTANT NOTES:

- Clear all outstanding CARB violations for vehicle and/or fleet, and maintain compliance with CARB's Truck and Bus Regulation and all other CARB regulations.
- If you do not have copies of registration records, visit your local DMV office and request a Vehicle Registration Information Record (INF 1125) for each truck in your application. To find your local DMV office, please visit <http://www.dmv.ca.gov>. You may also obtain and pay for the DMV printout online at: <http://www.dmv.ca.gov/online/vrr.htm>.
- Gather at least 2 records showing valid odometer readings at least 6 months apart for each truck in your application.
- Determine the manufacturer's Gross Vehicle Weight Rating (GVWR) as identified on a sticker/label most commonly found on the truck door jamb or on the inside of the door. If this tag is missing or cannot be read, please check with your local dealer.
- Maintain current registration for the old truck; keep it in legal operating condition until delivered to dismantler. Truck must continue to move goods for sale a majority of the time. Planned Non-Operation (PNO) is not allowed at any time.
- Applicants may request reduced funding amounts to improve cost-effectiveness and competitiveness of the project.
- Projects committing to 90% operation in California may be less competitive due to decreased emission reductions achieved within California
- Clear all old truck titles of any lien holders. A copy of the clean title for each old truck will be required for replacement projects before the grant payment can be made.
- Make sure your truck has a readable/legible VIN tag on the truck and engine tag on the engine prior to any inspection (project pre-inspection and post-inspection).

For complete Program requirements, please refer to the latest 2015 Update to the Program Guidelines and related supplemental materials listed on the CARB Program website at www.arb.ca.gov/gmbond or call Mei Wang at the South Coast Air Quality Management District for guidance at (909) 396-3257.

VI. ELIGIBILITY

Project eligibility will be based on the Program Guidelines which can be found at: www.arb.ca.gov/gmbond. Class 6, 7, and 8 are the only truck classifications that can be funded under this solicitation.

In order to be eligible for funding, the equipment owner must demonstrate:

- Existing truck used to move goods a majority of time for the past 2 years
- Fleet compliance with the Statewide Truck and Bus Rule
- California Operation:
 - At least 75% operation within California for the past 24 months.
 - Annual vehicle miles traveled (VMT) in California each year for the past 2 years:
 - At least 20,000 miles for each Class 7 or 8 truck.
 - At least 10,000 miles for each Class 6 truck.
- California Registration:
 - Current registration in California (California base-plated or California International Registration Plan (IRP), or Dual-plated registration (California based-plated/California IRP and Mexico only) for trucks carrying goods across the California-Mexico border, as they are required to be dual-plated, AND
 - Registration for the past 2 years:
 - California DMV registration cards verifying registration for the past 2 years, or
 - California DMV Vehicle Registration Information Record (DMV printout) showing:



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- 1) Registration in both the current and prior year with a minimum of 6 months of total registration, or
- 2) If the DMV printout only shows registration of 8 months in the current year and no registration in the prior year, then alternative documentation (insurance certificate or BIT inspection) will be required to verify registration in the prior year.

Ineligible Equipment

- Vehicles subject to CARB's Public and Utility Fleet Rule.
- Vehicles subject to CARB's Solid Waste Collection Vehicle Rule.
- Vehicles subject to CARB's Diesel Cargo Handling Equipment Rule.
- Trucks not in compliance with the Statewide Truck and Bus Rule and the Drayage Truck Regulation including Dray-Off.
- Trucks registered outside the State of California, including dual-plated registration, except for trucks that carry goods across the California-Mexico border, as they are required to be dual-plated, as described above.
- Trucks which are a salvage vehicle (see Chapter I, Table I.4) for which a minimum of 24 months of ownership and operation cannot be verified.
- Trucks constructed from a glider kit, unless allowed by the local agency for an old, existing truck to be replaced. Glider kit trucks may not be repowered or utilized as a replacement truck.
- Repowered trucks when used as a replacement truck.

General Requirements for Equipment Owners (applicable to all project options)

Selected applicants must sign a contract with SCAQMD including project milestone and completion deadlines and commit to the following:

- Certify that there are no outstanding CARB violations or non-compliance with CARB regulations associated with the equipment or the owner and provide a copy of the CARB compliance certificate from TRUCRs.
- Maintain fleet compliance with the Statewide Truck and Bus Rule without utilizing Program-funded equipment until the specified timeframe. CARB will post and update information on the Program website describing operational deadlines and when the Program-funded vehicle will become eligible to be included in the equipment owner's fleet compliance strategy for the applicable project option.
- Vehicle inspections by the SCAQMD at designated time & location.
- Destruction of the old truck (replacements) at an SCAQMD-approved Prop. 1B Program dismantling facility (the old truck must be kept in operating condition and registered as operational until it is delivered to the dismantler and must be able to be driven to the dismantler under its own power).
- Maintaining old truck eligibility for Program funds. This includes maintaining registration, keeping equipment in legal operating condition, correcting any air pollution citations, and reporting, repairing, or replacing equipment that has been damaged, destroyed, or stolen.
- Commit to the project life (contract term) specified with the applicable program-funded equipment project option.



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- Adhere to all Program requirements during the project life.
- Commit to move goods a majority of the time.
- Commit program-funded equipment to 100% California operation (or 90% California operation as selected by the equipment owner) and California base-plated registration or California IRP. **Out-of-state registrations, including out-of-state IRP, are prohibited.** Dual plates are only allowed for trucks that carry goods across the California/Mexico border and are required to be dual plated (California/Mexico - only for 90% California operation projects).
- Commit program-funded equipment to at least 50% travel within the four trade corridors for the duration of the project life.
- Maintain current California DMV registration for program-funded equipment at all times during the project life.
- Ownership of the old truck shall not change from the time an equipment project application is submitted to invoice payment.
- Agree to accept an on-board electronic monitoring unit on program-funded equipment at any time during the project life.
- Comply with record-keeping, reporting, and audit requirements.
- Properly maintain program-funded equipment in good operating condition and according to manufacturer's recommendations.
- Maintain collision/comprehensive insurance on the program-funded truck for replacement projects.
- Demonstrate proof of equipment warranty (a minimum of 1 year or 100,000 mile major component engine warranty for the program-funded equipment) that covers parts and labor to include the diesel particulate filter (if the equipment is no longer under warranty or has less than 1 year of warranty).
- Correct outstanding CARB equipment violations associated with the owner's **entire fleet of vehicles.**
- Program-funded projects must be purchased and operational prior to the CARB's Truck and Bus Regulation applicable compliance deadlines.
- Agree and acknowledge that the SCAQMD may release the information the application contains to third parties if required by state and federal public records laws;
- Program funding shall only be used to pay down the capital cost of the new equipment.
- Any tax obligation associated with the funding award is the responsibility of the equipment owner (grantee). Equipment owners receiving funding may be issued a 1099-G form by the SCAQMD for the awarded amount if required.
- Any other program provisions described in the Program Guidelines.
- Lease-to-own (LTO) projects must comply with all requirements listed in the Program Guidelines, Chapter IV.A.13. LTO applications must be signed and submitted by the owner of the old truck.
- The applicant must be the legal owner of the old truck at the time of application and must participate in the LTO program as either the lessor or lessee.



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Program Requirements for Engines for Replacement Projects:

- Engines eligible for funding must be certified/verified (as applicable) by a CARB Executive Order for on-road use with the following:
 - Alternative fuel engines must meet the 2010 emissions level of 0.20 grams per brake-horsepower hour (g/bhp-hr) or less NO_x (FEL and CERT values) and 0.01 g/bhp-hr or less PM (CERT value).
 - Hybrid and zero emission engines must be 2015 or newer and certified/verified (as applicable) by CARB.
 - Low NO_x engines must meet the optional low NO_x standard of 0.02 g/bhp-hr or less NO_x and be certified/verified (as applicable) by CARB.
 - Class 8 truck - intended service of Heavy Heavy Duty (HHD) for low-NO_x and hybrid engines or Heavy Duty Otto (HDO) for applicable alternative fuel vehicles.
 - Class 7 truck - intended service of Medium Heavy Duty (MHD) or HHD for low-NO_x and hybrid engines or HDO for applicable alternative fuel vehicles.
 - Class 6 truck - intended service of MHD for low-NO_x and hybrid engines or HDO for applicable alternative fuel vehicles.
 - Class 6-8 trucks - all heavy duty hybrid or electric vehicles shall follow CARB's Heavy Duty Hybrid Electric Vehicle Certification Procedure.

Program Requirements for Trucks Purchased for Replacement Projects:

- All replacement trucks must have a manufacturer's GVWR of:
 - 19,501 lbs – 26,000 lbs (Class 6)
 - 26,001 – 33,000 lbs (Class 7)
 - 33,001 lbs or greater (Class 8)
- The existing truck must have a MHD or HHD engine (service class).
- The replacement truck must have the same weight classification range (Class 6, 7, or 8) and service class (HHD or MHD) as the existing truck, except for the following conditions (funding levels for trucks in different weight classification ranges are specified in Table 5 below):
 - The equipment owner chooses to replace 2 eligible trucks for 1 replacement truck (Two-for-One option). For 2 for 1 replacement projects, the funding amount is based on the highest weight classification of the two existing trucks, or the weight classification of the replacement truck, whichever is less.
 - Replacement required by the equipment owner in order to meet a vocational need, as approved by the SCAQMD.
 - Replacement of a Class 7 truck with a Class 8 truck or Class 8 with a Class 7 truck, as long as both trucks have a HHD engine. Please note that the funding amount would be at a Class 7 level for both scenarios.
- Original equipment manufacturer engine installed in a chassis of the same model year, make, and configuration as was originally provided from the truck manufacturer when the chassis and engine were both new.



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**Table 4: Heavy-Duty Trucks – Funding Examples for Weight Class Modifications
(Based on GVWR)**

Project Type	Old Truck	Replacement Truck	Funding Level
Replacement (1 for 1)	Class 7	Class 8	Class 7
Replacement (1 for 1)	Class 8	Class 7	Class 7
Replacement (2 for 1)	Class 7 and Class 8	Class 8	Class 8
Replacement (2 for 1)	Class 8 and Class 8	Class 7	Class 7
Replacement (2 for 1)	Class 6 and Class 6	Class 7	Class 6
Replacement (2 for 1)	Class 6 and Class 8	Class 7	Class 7

- Additional requirements specific to certain truck project options can be found in Appendix A of the Proposition 1B: Goods Movement Emission Reduction Program-Final 2015 Staff Report and Guidelines for Implementation available at: www.arb.ca.gov/gmbond.

Modifying an Application

Equipment owners are limited in what they can change after the application is submitted, as changes will affect a project's competitive ranking. Equipment owners are encouraged to select the option that best suits their company as changes may not be possible at a later date. For program-funded projects, equipment owners are able to select any make/model vehicle or engine as long as it meets the required emission levels and is in the same vehicle class as the existing truck (with limited exceptions).

Equipment must meet all other program requirements, including, but not limited to, the maximum truck mileage limit as determined with odometer verification at the time of post-inspection. Please note that your funding amount may change. **Under no circumstances will an engine that is dirtier than the 2010 emission levels (0.20 grams/bhp-hr NO_x and 0.01 grams/bhp-hr PM) be eligible for funding.**

Equipment owners may change the project option after the solicitation period has closed subject to the following requirements:

- The change must result in a funding amount equal to or less than the amount that was requested in the original application.
- The change must result in calculated project cost-effectiveness equal to or greater than the project listed in the original application.
- The change must result in the project remaining above the funding line on the ranked list.

Equipment owners **cannot** substitute a different vehicle or change the ownership of the existing truck identified on the application after the solicitation period has closed.

If a truck identified as a certain weight class in the application is later determined to be in a different weight class, the SCAQMD will reduce the amount of funding requested to the amount associated with the appropriate weight class or as specified above in Table 1.



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VII. APPLICATION SUBMITTAL REQUIREMENTS

An equipment owner **is not allowed to** submit a Proposition 1B application for the same vehicle to multiple local agencies. However, equipment owners may apply for co-funds from other funding programs up to 90% of the total project cost with the limitation that no more than one additional source of State funding is used. Co-funded projects may involve funds from CARB’s Air Quality Improvement Program (AQIP), including the Hybrid Voucher Incentive Program (HVIP), CARB’s Low Carbon Transportation Program, or CEC’s Alternative Renewable Fuel Vehicle Technology Program. Equipment owners who are found to have submitted multiple Prop. 1B applications for the same equipment project and not disclosed any other requested, or received financial incentive may be disqualified from funding for that engine or piece of equipment under this Program.

The following documentation must be completed, signed and submitted to SCAQMD by the due date:

Project Type	Require application forms, and attachments
Truck Replacement	Form A1, Form B1 for each truck included in the application, including all supplemental information, and Attachments 1 through 5.
Two-for-One Truck Replacement	Form A1, Form B1, and Form B2 for each two-for-one truck transaction, included in the application, including all supplemental information, and Attachments 1 through 5.
Three-Way Truck Transaction	Form A1, Form B3 for each 3-way truck transaction in the application, including all supplemental information, and Attachments 1 through 5.
Electrification Infrastructure at a Truck Stop, Rail Yard or Other Freight Facility	Form C1 for each project in the application, including all supplemental information, and Attachments 1 through 5.
Electric Charging Stations or Hydrogen Fueling Units	Form C2 for each project in the application, including all supplemental information, and Attachments 1 through 5.
TRU Replacement	Form D1 for each project in the application, including all supplemental information, and Attachments 1 through 5.
TRU Power Plug Installation	Form D2 for each project in the application, including all supplemental information, and Attachments 1 through 5.
Cryogenic Refrigeration Fueling Infrastructure at Distribution Center	Form E1 for each project in the application, including all supplemental information, and Attachments 1 through 5.

Below is a list of all application forms and attachments for the Prop 1B Program. Please refer to the above table for the specific application forms required for your project type.

- Form A1 – Application Information (this form is required for all applicants)
- Form B1 – Heavy-Duty Diesel Truck Replacement
- Form B2 – Second Truck in Two-for-One Truck Replacement
- Form B3 – Three-Way Truck Transaction
- Form C1 – Truck Stop Electrification Infrastructure



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- Form C2 – Electric Charging Stations or Hydrogen Fueling Units
- Form D1 – TRU Replacement
- Form D2 – TRU Power Plug Installation
- Form E1 – Cryogenic Refrigeration Fueling Infrastructure at Distribution Center

- Attachment 1 – Business Information Request
- Attachment 2 – Disadvantaged Business Certification
- Attachment 3 – W-9 - Request for Taxpayer Identification Number and Certification
- Attachment 4 – Withholding Exemption Certificate
- Attachment 5 – Campaign Contribution Disclosure

Note: Each Attachment (#s 1-5) should be completed and submitted with each set of projects. If your application is approved, an updated Attachment 5 may be requested by your assigned Project Officer at a later date.

VIII. EQUIPMENT PROJECT PURCHASE RESTRICTIONS

An equipment owner **may not** purchase, receive, install, pay for, or place into operation any engines, equipment, or vehicles, nor may work begin on a repower project or a project to install electrical infrastructure, until the project contract is fully executed. For all equipment except for TRUs, an equipment owner may pre-order prior to contract execution at the equipment owner's risk. For TRUs, the equipment funded by this Program can only be purchased or ordered once the existing equipment has been pre-inspected and the contract is signed between the equipment owner and SCAQMD. The SCAQMD **will not** reimburse grantees for orders or any payments on a new engine, piece of equipment, or vehicle that takes place prior to SCAQMD approval of the project through contract execution.

Dealers ordering engines, equipment, or vehicles prior to contract execution assume all financial risk, and are in no way assured grant funds.

Applicant has 18 months to verify project completion/close out payment for truck retrofit, repower, replacement, and three-way transaction projects, where the equipment is commercially available including CARB certification/verification as applicable.

Applicant has 3 years to verify project completion/close out payment for heavy duty truck and transportation refrigeration unit projects where engines or equipment are not commercially available including certification/verification as applicable.

Applicant has 3 years to verify project completion, obtain at least 1 year of data on actual use, and close out payment for truck stop electrification infrastructure projects.

IX. PAYMENT PROCESS

The SCAQMD shall expend Program funds through invoice payments after the satisfactory completion of a post-inspection by SCAQMD. Invoice payments provide Program funding to equipment owners on a reimbursement basis or to the vendor (or dealership) through a direct



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payment option provided the SCAQMD receives written instructions and approval from the grantee. For the direct payment option, an authorized representative of the dealership must have signed a Memorandum of Understanding agreement with the SCAQMD certifying their understanding of the program requirements. Grant funds shall only be used toward the capital cost of the equipment. In the case of a LTO project, the grant funds shall only be used to reduce the principal owed by the lessee to purchase the truck. For more information on the requirements affecting LTO projects, see Chapter IV of the Program Guidelines.

Note: Applicants must maintain compliance with all applicable CARB regulations throughout the Proposition 1B Program process and the life of the contract. Program-funded equipment may not be used by the equipment owner to comply with any applicable CARB regulations.

Invoice Payments

Payment of the grant funds will only be made after the replacement truck has passed a post-inspection by the SCAQMD and the SCAQMD has received a valid invoice package for the new engine, vehicle, or piece of equipment. The SCAQMD may issue the grant payment to the equipment owner upon submission of a valid invoice once the following requirements have been met:

- Equipment owner or dealer must deliver the old truck to an SCAQMD-approved, DMV-licensed dismantler within 30 calendar days after the replacement truck is placed into operation.
- The equipment owner shall submit proof of a minimum 1-year or 100,000 mile major component engine warranty covering parts and labor for the new or used replacement vehicle or repowered engine (if the truck is no longer under warranty or has less than 1 year of warranty). Warranty shall include the diesel particulate filter (if the truck is no longer under warranty or has less than 1 year of warranty).
- Equipment owner must submit proof of insurance on the replacement truck.
- Equipment owner must demonstrate compliance with the requirements of CARB's Truck and Bus Regulation with a valid compliance certificate for the current year with the Truck Regulation Upload, Compliance, and Reporting System (TRUCRS)¹ ID that matches the information on the application. **Equipment owners cannot use the replacement truck for demonstrating compliance with the regulation.**
- For the reimbursement option, the equipment owner must submit proof of payment and a copy of the original invoice from the vendor or dealership. Additional information may be required by the SCAQMD.
- For the reimbursement option, the SCAQMD will require verification from the dismantler that the old equipment has been delivered to the dismantling site and is in custody of the dismantler.
- The payment of grant funds will not exceed the amount directly paid by the equipment owner.

¹ CARB online reporting system for heavy-duty diesel trucks. https://ssl.arb.ca.gov/ssltrucr/stb/trucrs_reporting/reporting.php



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X. PROJECT EVALUATION AND COMPETITIVE RANKING

Complete applications will be evaluated by the SCAQMD and all eligible projects will be competitively ranked according to the procedures specified in the Program guidelines. The ranked list, once approved by CARB, will be posted on the SCAQMD website. SCAQMD will award grant funds to the top project on the ranked list and continue down the list until the Program funds are exhausted. If the Program funds are not exhausted, SCAQMD will seek CARB's approval to start funding the backup projects in the order they appear on the backup ranked list. For complete information regarding project evaluation and the competitive ranking process, please refer to Chapter IV of the Final 2015 Staff Report and Guidelines for Implementation found on the CARB Program website at: www.arb.ca.gov/gmbond.

Eligible zero emission truck projects, as well as any low-NOx or zero-mile trucks shall automatically be ranked above other competing equipment project options.

Note that TRUs will be competitively ranked separately from all other application types covered in this Program Announcement.

XI. ANNUAL REPORTING REQUIREMENTS

Heavy-Duty Diesel Truck Projects

Equipment owners that are awarded funding will be responsible for annual reporting to the SCAQMD. The equipment owner shall submit annual reports for the project life. The equipment owner's annual reports shall include, but is not limited to:

- Contact information (owner name, address, phone number, etc.).
- Proof of California DMV registration.
- Fleet size.
- Current odometer reading, including the date read (estimate total vehicle mileage if odometer is missing or broken).
- Annual VMT in California since last report.
- Certification of the required 90% or 100% California-only operation.
- Certification of at least 50% of travel within the four trade corridors as well as provide the percentage of annual vehicle miles of travel in:
 - Bay Area Trade Corridor
 - Central Valley Trade Corridor
 - Los Angeles/Inland Empire Trade Corridor
 - San Diego/Border Trade Corridor
- Proof of insurance coverage.
- Certification that the bond-funded project was operated in accordance with the signed contract, and that all information submitted to the SCAQMD is true and accurate.
- Other information as requested by the SCAQMD.

Truck Stop Electrification



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Equipment owners that are awarded funding will be responsible for annual reporting to the SCAQMD for the project life. The equipment owner annual reports shall include, but is not limited to:

- Contact information (owner name, company, address, phone number).
- Project completion date.
- Actual number of truck connections to equipment per unit (parking space) each month in the reporting period.
- Actual number of hours the equipment was used per unit (parking space) each month in the reporting period. Include only equipment hours that enabled usage of heating and cooling to the cab or electrical power to TRUs or auxiliary power systems.
- Actual electrical usage by trucks or equipment documented by electric utility billing statements, electric meter readings, equipment monitoring data or other approved method in the reporting period. Include only electrical power that enabled usage of heating and cooling to the cab or electrical power to TRUs or auxiliary power systems.
- Date, duration, and general description of any equipment failure or other event that prevented trucks from using the system for more than 1 week.
- Certification of insurance.
- Signed certification statement that the bond-funded project was installed and is operating as it was approved in the post-inspection and that all information submitted to the local agency is true and accurate.
- Other information as requested by the SCAQMD.

Electric Charging Stations/Hydrogen Fueling Units

Equipment owners that are awarded funding will be responsible for annual reporting to the SCAQMD for the project life. The equipment owner annual reports shall include, but is not limited to:

- Contact information (owner name, address, phone number, etc.).
- Actual number of truck connections to equipment per charging station/fueling unit each month in the reporting period.
- Actual number of hours the equipment was used per charging station/fueling unit each month in the reporting period.
- For electrical charging stations, actual electrical usage per charging station documented by electric utility billing statements, electric meter readings, equipment monitoring data or other approved method in the reporting period.
- For hydrogen fueling units, actual usage per unit documented by billing statements, meter readings, equipment monitoring data or other approved method in the reporting period.
- Description of any equipment failure or other event that prevented trucks from using the charging/fueling units more than one week.
- Proof of equipment warranty coverage.
- Certification that the bond-funded project was operated in accordance with the signed contract, and that all information submitted to the SCAQMD is true and accurate.
- Other information as requested by the SCAQMD.



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Zero Emission TRUs or Cryogenic Transport Refrigerator

Equipment owners that are awarded funding will be responsible for annual reporting to the SCAQMD for the project life. The equipment owner annual reports shall include, but is not limited to:

- Contact information (owner name, company, address, phone number).
- Project completion date.
- Equipment type.
- Infrastructure and or equipment utilization.
- Annual hours of operation.
- Description of any equipment failure or other event that prevented TRs from operating for more than one week.
- Certification of insurance.
- Signed certification statement that the bond-funded technology was installed on the equipment for which it was approved, and that all information submitted to the local agency is true and accurate.
- Other information as requested by the SCAQMD.

Electric or Cryogenic Infrastructure and Equipment

Equipment owners that are awarded funding will be responsible for annual reporting to the SCAQMD for the project life. The equipment owner annual reports shall include, but is not limited to:

- Contact information (owner name, company, address, phone number).
- Facility location.
- Project completion date.
- Actual number and duration of TRU/TR connections to equipment per unit in the reporting period.
- Electricity/fuel annual usage documentation.
- Summary of maintenance and inspections conducted.
- Description of any equipment failure or other event that prevented TRU/TRs from using the system for more than one week.
- Certification of insurance.
- Signed certification statement that the bond-funded project was installed and is operating as it was approved in the post-inspection and that all information submitted to the SCAQMD is true and accurate.
- Other information as requested by the SCAQMD.

XII. INFORMATION ON TRUCK EFFICIENCY UPGRADES

The Program does not provide funding for technologies that improve fuel efficiency for trucks, which may include devices that reduce aerodynamic drag and rolling resistance. Aerodynamic drag may be reduced by using devices such as cab roof fairings, cab side gap fairings, and cab side skirts. On the trailer side, aerodynamic drag may be reduced by using trailer side skirts, gap



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fairings, and trailer tails. Rolling resistance may be reduced by using single wide tires or low-rolling resistance tires and automatic tire inflation systems on both the tractor and the trailer. These upgrades offer the potential to cut emissions of greenhouse gases and criteria pollutants, with a two to three year payback period through lower fuel costs. The benefits are variable based on the type of truck operations.

On December 11, 2008, CARB adopted a *Regulation to Reduce Greenhouse Gas Emissions from Heavy-Duty Vehicles (CCR, title 17, section 95300)*. This regulation applies primarily to owners of 53-foot or longer box-type trailers requiring their trucks and trailers to become more fuel efficient. Truck owners may be responsible for replacing or retrofitting their affected vehicles with efficiency upgrades that fit their operating profile. While the Program does not provide funding for the efficiency upgrades, other incentive programs may help offset the purchase cost or help finance the purchase of the upgrades, including CARB's Providing Loan Assistance for California Equipment (PLACE) Program (<http://www.arb.ca.gov/ba/loan/on-road/on-road.htm>).

XIII. USEFUL RESOURCES

- CARB Goods Movement Emission Reduction Program:
<http://www.arb.ca.gov/bonds/gmbond/gmbond.htm>
- CARB Truck Stop website: <http://www.arb.ca.gov/msprog/truckstop/truckstop.htm>
- CARB TRUCRS: https://ssl.arb.ca.gov/ssltrucrsto/trucrs_reporting/reporting.php
- SCAQMD Prop. 1B Website (where a copy of the solicitation and application forms can be found)
<http://www.aqmd.gov/home/programs/business/goods-movement-heavy-duty-truck-projects>
- Transport Refrigeration Unit (TRU or Reefer) Air Toxics Control Measure (ATCM):
<http://www.arb.ca.gov/diesel/tru/tru.htm>



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MAP OF THE TRADE CORRIDORS



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PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION

FORM A1: Applicant Information *(Complete one form per company)*

I. APPLICANT INFORMATION(Required Information)

Applicant Name/Registered Owner (Equipment Owner):		
Business Name (if any):	TRUCRS ID #:	
Primary Contact Full Name:	Email:	
Mailing Address:	Phone Number:	
City:	State:	Zip Code:
Fleet Size: _____	<i>"Fleet Size" means the number of diesel-fueled vehicles traveling in California that are registered to be driven on public highways and have a manufacturer's gross vehicle weight rating of 14,001 pounds or greater that are under common ownership or control [as defined in CCR section 2025 in title 13, article 4.5, Chapter 1] by a person, business, or government agency.</i>	

II. PROJECT INFORMATION

What type of project are you applying for?		
Project Type	Total Number of trucks included	Additional forms to complete
Truck Replacement	Number of trucks being replaced: _____	Form B1 for each truck included in the application
Two-for-One Truck Replacement	Number of trucks being replaced: _____	Form B1 and B2 for each two-for-one truck replacement included in the application
Three-Way Truck Transaction	Total trucks included: _____	Form B3 for each 3-way truck transaction in the application
Truck Stop Electrification Infrastructure	Not Applicable	Form C1
Electric Charging Stations or Hydrogen Fueling Units	Not Applicable	Form C2
Transport Refrigeration Unit (TRU) Replacement	Number of units being replaced: _____	Form D1 for each set of units in the application
TRU Power Plug Installation	Number of plugs being installed: _____	Form D2
Cryogenic Refrigeration Fueling Infrastructure	Not Applicable	Form E1

III. SUPPLEMENTAL INFORMATION- PLEASE ATTACH THE FOLLOWING DOCUMENTS TO COMPLETE YOUR APPLICATION

<input type="checkbox"/>	Attach one or more of the following forms to Form A1 , as required:	
<input type="checkbox"/>	Form B1- Truck Replacement Form B2- Two-for-One Truck Replacement Form B3- Three-Way Truck Transaction Form C1- Truck Stop Electrification Infrastructure	Form C2- Electric Charging Stations or Hydrogen Fueling Units Form D1- Transportation Refrigeration Unit (TRU) Replacement Form D2- TRU Power Plug Installation Form E1- Cryogenic Refrigeration Fueling Infrastructure
<input type="checkbox"/>	Attach a copy of the "Certificate of Compliance" from CARB's TRUCRS database, this certificate must show that your fleet is in compliance with CARB Truck and Bus Regulation at the time of application submittal. The TRUCRS website can be accessed at: https://ssl.arb.ca.gov/ssltru-crstb/trucrs_reporting/reporting.php . For the applicants applying for Transport Refrigeration Units (TRUs), please provide 100% Compliant Carrier status from ARB's Equipment Registration (ARBER) system.	

Submit the original completed application (with all required supporting documents and signatures) along with **two (2) copies** of **the entire application package** via mail delivery, or in person to:

South Coast Air Quality Management District
21865 Copley Dr., Diamond Bar, CA 91765
 Attn: **Procurement**

Application Deadline: August 4, 2016

NOTE: Facsimile or email submittals **will not be accepted**. You must submit total of 3 copies including the original application.



I am the owner of the existing vehicle(s), have the legal authority to apply for incentive funding for the entity described in this application, and agree to the following statement by signing below:

- I (equipment owner) have reviewed the information provided in this application, including all supporting documentation, and certify the application information is true and correct, and meet the minimum requirement of the proposition 1B –Good Movement Emission Reduction Program;
I agree to follow all requirements of the Proposition 1B - Goods Movement Emission Reduction Program- Final 2015 Staff Report and Guidelines for Implementation;
The program-funded equipment shall be placed into operation and post-inspected prior to the applicable operational deadline to remain eligible for funding;
I understand that the Program-funded equipment may not be used by the equipment owner to comply with any applicable CARB regulations,
Neither the owner nor equipment identified in the application has any outstanding violations or non-compliance with CARB regulations;
The purchase of this low-emission vehicle is NOT required by any local, state, and/or federal rule or regulation, including, but not limited to, the Drayage Truck Regulation (13 CCR §2027), Truck and Bus Regulation (13 CCR §2025), and/or Solid Waste Collection Vehicle Regulation (13 CCR §2021);
I have not and will not apply for additional grant funds from any other agency or program for the vehicle(s) included in this application, except the funding programs allowed by the Guideline.
I will disclose any other source(s) of funding that has been applied for and will be used for the same project, including the source of funds, amount, and the purpose for funding;
I will disclose the value of any existing financial incentive that directly reduces the project cost, including tax credits or deductions, grants, or other public financial assistance for the same equipment;
Grant funds shall only be used to offset the capital cost of the equipment and/or shall reduce the principal owed to purchase the equipment;
New equipment must not be purchased, received, installed, paid for, or placed into operation prior to contract execution unless specified by the Program Guidelines, and if allowed, equipment owner shall assume all financial risk and is in no way assured program funds;
New equipment purchased outside of California may be subject to California sales and/or use tax;
I have all the information needed to understand what must be done to maintain eligibility for Program funds. This includes maintaining registration and ownership; keeping equipment in legal operating condition within California; correcting any air pollution citations; complying with all CARB regulations; and reporting, repairing, or replacing equipment that has been damaged, destroyed, or stolen;
I understand that an incomplete or illegible application, including applications that are missing required documentation, may be rejected by the SCAQMD at their discretion;
I acknowledge that the SCAQMD may release the information the application contains to third parties if required by state and federal public records laws;
I understand that the Program-funded equipment will be required to operate at least 90% or 100% of its operating time within California for the project life;
Program funds were not used to previously upgrade the equipment identified in the equipment project application (except for funds that may have been received to retrofit a truck with a diesel PM filter);
Any additional non-Program funding needed to complete the equipment project according to the proposed timeframe is reasonably available; and
I understand as an applicant that incentive programs have limited funds and shall terminate upon depletion of program funding.

Printed Name of Owner: _____

Title: _____

Signature of Owner: _____

Date: _____



PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION

FORM B1: Equipment Information – Heavy-Duty Diesel Truck Replacement

(Complete one form per truck)

I. Required Truck Information

Equipment Registered Owner:		Equipment Fuel Type:
Vehicle Identification Number (VIN):		License Plate Number:
Truck Model Year:	Engine Model Year:	Engine Serial No.:
Annual Vehicle Miles Traveled in California:	Current Odometer Reading:	Date Recorded:
Power Take-off (PTO) Usage (if applicable):		Current PTO hour meter reading: _____ Date Recorded:
Does PTO operate while the main truck engine is operating? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Manufacturer Gross Vehicle Weight Rating (GVWR): _____ lbs <i>(Refer to the label found in the door jamb of your truck for the correct GVWR. Please attach a photograph of this label. NOTE: This is NOT the number registered with the DMV.)</i>		
Port Trucks? <input type="checkbox"/> Yes <input type="checkbox"/> No	DPF installed? <input type="checkbox"/> Yes <input type="checkbox"/> No, if yes	
Vocation (Types of goods typically transported – Choose 1 box only) “Goods” are defined as having the same meaning in Commercial Code section 2105, which essentially requires that: 1) The goods must be movable, and 2) the goods being moved must be part of a transaction that involves a contract for the sale of the goods. <input type="checkbox"/> Agricultural <input type="checkbox"/> Concrete Mixer <input type="checkbox"/> Dry Bulk Blower <input type="checkbox"/> Vacuum Pneumatic <input type="checkbox"/> Trailer Aggregates <input type="checkbox"/> Container <input type="checkbox"/> Hazardous Materials <input type="checkbox"/> Wood/Paper Products <input type="checkbox"/> Bulk or Break Bulk <input type="checkbox"/> Dairy <input type="checkbox"/> Heavy Equipment/Metals <input type="checkbox"/> Restaurant/Grocery <input type="checkbox"/> Building/Construction <input type="checkbox"/> Dump Truck <input type="checkbox"/> Poultry <input type="checkbox"/> Other _____		
Estimated Percentage of Annual Vehicle Miles Traveled (VMT) in CA Trade Corridors (Total percentage cannot be over 100%) _____% Bay Area _____% Central Valley _____% LA/Inland Empire _____% San Diego/Border _____% Other in CA _____% Outside CA		

Proposed New Equipment and Funding Requested:

Existing Truck	Replacement Engine Emission Level (Please check only 1 Box Below)				
	New MY2015+ engine natural gas truck ^{1,2,3}	New MY2015+ engine Hybrid truck ^{1,2,4}	New MY2015+ Engine optional Low-NOx truck (0.02 only) ^{1,2}	New MY2015+ engine hybrid zero emission mile truck ^{1,2,5}	New MY2015+ engine zero emission truck ^{1,2,6}
Class 8 <i>(33,001 lbs or greater GVWR, HHD engine)</i>	<input type="checkbox"/> \$65,000	<input type="checkbox"/> \$80,000	<input type="checkbox"/> \$100,000	<input type="checkbox"/> \$150,000	<input type="checkbox"/> \$200,000
Class 7 <i>(26,001 – 33,000 lbs GVWR, MHD or HHD engine)</i>	<input type="checkbox"/> \$65,000	<input type="checkbox"/> \$80,000	<input type="checkbox"/> \$100,000	<input type="checkbox"/> \$150,000	<input type="checkbox"/> \$200,000
Class 6 <i>(19,501 – 26,000 lbs GVWR, MHD engine)</i>	<input type="checkbox"/> \$40,000	<input type="checkbox"/> \$45,000	<input type="checkbox"/> \$50,000	<input type="checkbox"/> \$65,000	<input type="checkbox"/> \$100,000

1. Projects may be co-funded with CARB’s Air Quality Improvement Program, Low Carbon Transportation Program, or the California Energy Commission’s (CEC’s) Alternative Renewable Fuel Vehicle Technology Program funds as applicable.
2. Co-funded projects can only utilize one additional source of State funding and the combined funding may not exceed 90% of the total eligible project cost or any other funding restrictions of each respective program. Projects must meet the requirements of each program providing funding.
3. Engines must meet the 2010 emission level of 0.20 g/bhp-hr or less NOx (FEL and CERT values) and 0.01 g/bhp-hr or less PM (CERT value). All engines must be approved by CARB to be sold in California.



PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION

FORM B1: Equipment Information – Heavy-Duty Diesel Truck Replacement

(Complete one form per truck)

- 4. Hybrid truck is defined as a vehicle with an electric drive system powered by an on-board generator and approved for funding by AQIP.
- 5. Hybrid zero emission mile truck is defined as a hybrid vehicle capable of zero emission miles.
- 6. Zero emission truck is defined as a vehicle that emits no criteria pollutant, toxic or greenhouse gas emissions at the tailpipe.

II. Additional Information

Purchasing Vehicle with a Lease-To-Own Program (LTO)? No Yes **If yes, complete the lessor information below.**

(LTO projects must comply with requirements listed in the Program Guidelines, Chapter IV.A.13. LTO application must be signed and submitted by the owner of the old truck. Applicant must be the legal owner of the old truck at the time of application and must participated in the LTO program as either the lessor or lessee)

Name of Lessor:

Contact Name and Phone Number of Lessor:

Lessot Address:

III. Supplemental Information- Please Attach the following Documents to Complete Your Application

Proof of Current and Prior Year Registration in CA:
 Acceptable records may include: CA based-plated registration, CA International Registration Plan (IRP), or dual-plated registration (CA based-plated/CA IRP and Mexico only) for trucks carrying goods across the CA-Mexico border.

Please provide registration documents to verify the following:

- 1) Current registration, AND
- 2) Registration for the past 2 years: Must show proof of registration in the current year (1-12 months prior to application date) and prior year (13-24 months prior to application date).

Two options:

- 1) CA DMV registration cards for the past 2 years, OR
- 2) CA DMV Vehicle Registration Information Record (DMV printout)
 - o The DMV printout must show registration in both the current year and prior year with a mini- mum of 6 months of total registration.
 - o If the DMV printout shows no registration in the prior year, then alternative documentation (insurance certificate or BIT inspection) must be used to verify operation in the prior year.

Note: The DMV printout may be obtained by submitting a Request for Driver Record Information form (INF 1125) to the DMV. To find your local DMV office, please visit <http://www.dmv.ca.gov>. You may also obtain and pay for the DMV printout online at:

<http://www.dmv.ca.gov/online/vrr.htm>

Copy of Existing Vehicle Title

(Note: Title may show a lienholder at the time of application however the title must be cleared of all liens prior to payment of any grant funds by SCAQMD.)

Vehicle Miles Traveled (VMT) in CA for the past 24 Months:

Acceptable documentation includes, but is not limited to: maintenance records, Biennial Inspection of Terminals (BIT inspection), International Fuel Tax Agreement (IFTA) records, daily logs, etc.) Documentation must clearly identify the truck by ID number, license plate, or VIN.

Two (2) mileage records showing odometer readings



If applicable, provide Power Take Off (PTO) activity for the past 24 months:

Acceptable documentation is subject to approval by the SCAQMD, but must clearly identify the truck by ID number, license plate, or VIN.

Two (2) PTO records showing hour meter

Proof of insurance for the past 24 months

Copy of 2016 Certificate of Compliance from CARB’s TRUCRS database

Photograph of the manufacturer’s labels found in the door jamb of the truck showing VIN and GVWR
(Legibly printed photos only)

I. IMPORTANT NOTES

- **SUBMIT** completed Forms A1, B1, and all required supplemental Information listed above to the SCAQMD by the requested due date.
- **DO NOT PURCHASE NEW EQUIPMENT!** New equipment funded by this program can only be purchased once the contract is signed between the equipment owner and the SCAQMD. An equipment owner may pre-order new equipment prior to contract execution and after posting of CARB’s approved rank list at the equipment owner’s risk.
- **KEEP EXISTING OLD TRUCK REGISTERED AND IN OPERATION!** Existing equipment must maintain continuous DMV registration and be in operation moving goods at a similar activity level to that listed in the application until the equipment has been relinquished to a SCAQMD-approved dismantler.
- **STAY COMPLIANT!** Applicants must maintain compliance with all applicable CARB regulations throughout the Proposition 1B Program process and the life of the contract. The Program-funded equipment may not be used by the equipment owner to comply with any applicable CARB regulations.



PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION

FORM B2: Two-for-One Truck Replacement – For Second Truck Only

(Complete one form per truck)

I. Second Truck Information

Equipment Registered Owner: Equipment Fuel Type:
Vehicle Identification Number (VIN): License Plate Number:
Truck Model Year: Engine Model Year: Engine Serial No.:
Annual Vehicle Miles Traveled in California: Current Odometer Reading: Date Recorded:
Power Take-off (PTO) Usage (if applicable): Current PTO hour meter reading: Date Recorded:
Does PTO operate while the main truck engine is operating? Yes No
Manufacturer Gross Vehicle Weight Rating (GVWR): lbs
(Refer to the label found in the door jamb of your truck for the correct GVWR. Please attach a photograph of this label. NOTE: This is NOT the number registered with the DMV)
Port Truck? Yes No DPF Installed? Yes No
Vocation (Types of goods typically transported – Choose 1 box only)
“Goods” are defined as having the same meaning in Commercial Code section 2105, which essentially requires that:
1) The goods must be movable, and 2) the goods being moved must be part of a transaction that involves a contract for the sale of the goods.
Agricultural Concrete Mixer Dry Bulk Blower Vacuum Pneumatic Trailer Ag-
gregates Container Hazardous Materials Wood/Paper Products
Bulk or Break Bulk Dairy Heavy Equipment/Metals Restaurant/Grocery
Building/Construction Dump Truck Poultry Other
Estimated Percentage of Annual Vehicle Miles Traveled (VMT) in CA Trade Corridors (Total percentage cannot be over 100%)
% Bay Area % Central Valley % LA/Inland Empire % San Diego/Border % Other in CA % Outside CA
Proposed future operation within CA during the contract term (choose one): At least 90% 100%

II. Supplemental Information – Please Attach the Following Documents to Complete Your Application

Proof of Current and Prior Year Registration in CA:
Acceptable records may include: CA based-plated registration, CA International Registration Plan (IRP), or dual-plated registration (CA based-plated/CA IRP and Mexico only) for trucks carrying goods across the CA-Mexico border.
Please provide registration documents to verify the following:
1) Current registration, AND
2) Registration for the past 2 years: Must show proof of registration in the current year (1-12 months prior to application date) and prior year (13-24 months prior to application date).
Two options:
1) CA DMV registration cards for the past 2 years, OR
2) CA DMV Vehicle Registration Information Record (DMV printout)
o The DMV printout must show registration in both the current year and prior year with a minimum of 6 months of total registration.
o If the DMV printout shows no registration in the prior year, then alternative documentation (insurance certificate or BIT inspection) must be used to verify operation in the prior year.
Note: The DMV printout may be obtained by submitting a Request for Driver Record Information form (INF 1125) to the DMV. To find your local DMV office, please visit http://www.dmv.ca.gov. You may also obtain and pay for the DMV printout online at: http://www.dmv.ca.gov/online/vrr.htm



- Copy of Existing Vehicle Title**
(Note: Title may show a lienholder at the time of application however the title must be cleared of all liens prior to the payment of any grant funds by SCAQMD.)

- Vehicle miles traveled (VMT) in California for the past 24 Months:**
Acceptable documentation includes, but is not limited to: maintenance records, Biennial Inspection of Terminals (BIT inspection), International Fuel Tax Agreement (IFTA) records, daily logs, etc.) Documentation
Two (2) mileage records that show odometer readings.

- If applicable, provide Power Take Off (PTO) activity for the past 24 months:**
Acceptable documentation is subject to approval by the SCAQMD, but must clearly identify the truck by ID number, license plate, or VIN.
Two (2) PTO records showing hour meter readings.

- Proof of insurance for the past 24 months**

- Copy of 2016 Certificate of Compliance from CARB’s TRUCRS database**

- Photograph of the manufacturer’s label found in the door jamb of the truck showing VIN and GVWR**
(Legibly printed photos only)

III. IMPORTANT NOTES

- **SUBMIT** completed Forms A1, B1, B2 and all required supplemental Information listed above to the SCAQMD by the requested due date.
- **DO NOT PURCHASE NEW EQUIPMENT!** New equipment funded by this program can only be purchased once the contract is signed between the equipment owner and the SCAQMD. An equipment owner may pre-order new equipment prior to contract execution and after posting of CARB’s approved rank list at the equipment owner’s risk.
- **KEEP EXISTING OLD TRUCK REGISTERED AND IN OPERATION!** Existing equipment must maintain continuous DMV registration and be in operation moving goods at a similar activity level to that listed in the application until the equipment has been relinquished to a SCAQMD-approved dismantler.
- **STAY COMPLIANT!** Applicants must maintain compliance with all applicable CARB regulations throughout the Proposition 1B Program process and the life of the contract. The Program-funded equipment may not be used by the equipment owner to comply with any applicable CARB regulations.



PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION

FORM B3: Three-Way Truck Transaction

(Complete one form per truck)

I. Truck A Information (Engine Model Year 2007-2009 with an OEM or Level 3 PM Filter Installed)

Equipment Registered Owner:		Equipment Fuel Type:
Vehicle Identification Number (VIN):		License Plate Number:
Truck Model Year:	Engine Model Year:	Engine Serial No.:
Annual Vehicle Miles Traveled:	Current Odometer Reading:	Date Recorded:
Power Take-off (PTO) Usage <i>(if applicable)</i> :		Current PTO hour meter reading: _____ Date Recorded: _____
Does PTO operate while the main truck engine is operating?		Yes No
Manufacturer Gross Vehicle Weight Rating (GVWR): _____ lbs		
<i>(Refer to the label found in the door jamb of your truck for the correct GVWR. Please attach a photograph of this label. NOTE: This is NOT the number registered with the DMV)</i>		
Vocation <i>(Types of goods typically transported – Choose 1 box only)</i>		
"Goods" are defined as having the same meaning in Commercial Code section 2105, which essentially requires that:		
1) The goods must be movable, and 2) the goods being moved must be part of a transaction that involves a contract for the sale of the goods.		
<input type="checkbox"/> Agricultural	<input type="checkbox"/> Concrete Mixer	<input type="checkbox"/> Dry Bulk Blower
<input type="checkbox"/> gates	<input type="checkbox"/> Container	<input type="checkbox"/> Hazardous Materials
<input type="checkbox"/> Bulk or Break Bulk	<input type="checkbox"/> Dairy	<input type="checkbox"/> Heavy Equipment/Metals
<input type="checkbox"/> Building/Construction	<input type="checkbox"/> Dump Truck	<input type="checkbox"/> Poultry
<input type="checkbox"/> Vacuum Pneumatic Trailer	Aggre-	
<input type="checkbox"/> Wood/Paper Products		
<input type="checkbox"/> Restaurant/Grocery		
<input type="checkbox"/> Other _____		
Estimated Percentage of Annual Vehicle Miles Traveled (VMT) in CA Trade Corridors <i>(Total percentage cannot be over 100%)</i>		
_____ % Bay Area _____ % Central Valley _____ % LA/Inland Empire _____ % San Diego/Border _____ % Other in CA _____ % Outside CA		
Proposed future operation within CA during the contract term <i>(choose one)</i> : <input type="checkbox"/> At least 90% <input type="checkbox"/> 100%		

II. Truck B Information (Engine Model Year 2006 or Older that has demonstrated compliance with the Statewide Truck and Bus Rule)

Equipment Registered Owner:		Equipment Fuel Type:
Vehicle Identification Number (VIN):		License Plate Number:
Truck Model Year:	Engine Model Year:	Engine Serial No.:
Annual Vehicle Miles Traveled:	Current Odometer Reading:	Date Recorded:
Power Take-off (PTO) Usage <i>(if applicable)</i> :		Current PTO hour meter reading: _____ Date Recorded: _____
Does PTO operate while the main truck engine is operating?		Yes No
Manufacturer Gross Vehicle Weight Rating (GVWR): _____ lbs		
<i>(Refer to the label found in the door jamb of your truck for the correct GVWR. Please attach a photograph of this label. NOTE: This is NOT the number registered with the DMV)</i>		
Vocation <i>(Types of goods typically transported – Choose 1 box only)</i>		
"Goods" are defined as having the same meaning in Commercial Code section 2105, which essentially requires that:		
1) The goods must be movable, and 2) the goods being moved must be part of a transaction that involves a contract for the sale of the goods.		
<input type="checkbox"/> Agricultural	<input type="checkbox"/> Concrete Mixer	<input type="checkbox"/> Dry Bulk Blower
<input type="checkbox"/> gates	<input type="checkbox"/> Container	<input type="checkbox"/> Hazardous Materials
<input type="checkbox"/> Bulk or Break Bulk	<input type="checkbox"/> Dairy	<input type="checkbox"/> Heavy Equipment/Metals
<input type="checkbox"/> Building/Construction	<input type="checkbox"/> Dump Truck	<input type="checkbox"/> Poultry
<input type="checkbox"/> Vacuum Pneumatic Trailer	Aggre-	
<input type="checkbox"/> Wood/Paper Products		
<input type="checkbox"/> Restaurant/Grocery		
<input type="checkbox"/> Other _____		
Estimated Percentage of Annual Vehicle Miles Traveled (VMT) in CA Trade Corridors <i>(Total percentage cannot be over 100%)</i>		
_____ % Bay Area _____ % Central Valley _____ % LA/Inland Empire _____ % San Diego/Border _____ % Other in CA _____ % Outside CA		
Proposed future operation within CA during the contract term <i>(choose one)</i> : <input type="checkbox"/> At least 90% <input type="checkbox"/> 100%		

Note: If owner of Truck B is different than owner of Truck A and has not yet been identified, Table II may be left blank. Ranking may be increased if Truck B information is provided at the time of application submittal.



PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION

FORM B3: Three-Way Truck Transaction

(Complete one form per truck)

III. Truck C Information – New Equipment And Funding Request (Must be the same vehicle class as Truck A)

Existing Truck	Replacement Engine Emission Level (Please check only 1 Box Below)				
	New MY2015+ engine natural gas truck ^{1,2,3}	New MY2015+ engine Hybrid truck ^{1,2,4}	New MY2015+ Engine optional Low-NOx truck (0.02 only) ^{1,2}	New MY2015+ engine hybrid zero emission mile truck ^{1,2,5}	New MY2015+ engine zero emission truck ^{1,2,6}
Class 8 <i>(33,001 lbs or greater GVWR, HHD engine)</i>	<input type="checkbox"/> \$65,000	<input type="checkbox"/> \$80,000	<input type="checkbox"/> \$100,000	<input type="checkbox"/> \$150,000	<input type="checkbox"/> \$200,000
Class 7 <i>(26,001 – 33,000 lbs GVWR, MHD or HHD engine)</i>	<input type="checkbox"/> \$65,000	<input type="checkbox"/> \$80,000	<input type="checkbox"/> \$100,000	<input type="checkbox"/> \$150,000	<input type="checkbox"/> \$200,000
Class 6 <i>(19,501 – 26,000 lbs GVWR, MHD engine)</i>	<input type="checkbox"/> \$40,000	<input type="checkbox"/> \$45,000	<input type="checkbox"/> \$50,000	<input type="checkbox"/> \$65,000	<input type="checkbox"/> \$100,000

1. Projects may be co-funded with CARB’s Air Quality Improvement Program, Low Carbon Transportation Program, or the California Energy Commission’s (CEC’s) Alternative Renewable Fuel Vehicle Technology Program funds as applicable.
2. Co-funded projects can only utilize one additional source of State funding and the combined funding may not exceed 90% of the total eligible project cost or any other funding restrictions of each respective program. Projects must meet the requirements of each program providing funding.
3. Engines must meet the 2010 emission level of 0.20 g/bhp-hr or less NOx (FEL and CERT values) and 0.01 g/bhp-hr or less PM (CERT value). All engines must be approved by CARB to be sold in California.
4. Hybrid truck is defined as a vehicle with an electric drive system powered by an on-board generator and approved for funding by AQIP.
5. Hybrid zero emission mile truck is defined as a hybrid vehicle capable of zero emission miles.
6. Zero emission truck is defined as a vehicle that emits no criteria pollutant, toxic or greenhouse gas emissions at the tailpipe.



I. Supplemental Information – Please Attach the Following Documents to Complete Your Application

Proof of Current and Prior Year Registration in CA:

Acceptable records may include: CA based-plated registration, CA International Registration Plan (IRP), or dual-plated registration (CA based-plated/CA IRP and Mexico only) for trucks carrying goods across the CA-Mexico border.

Please provide registration documents to verify the following:

Current registration, AND

Registration for the past 2 years: Must show proof of registration in the current year (1-12 months prior to application date) and prior year (13-24 months prior to application date).

Two options:

CA DMV registration cards for the past 2 years, OR

CA DMV Vehicle Registration Information Record (DMV printout)

The DMV printout must show registration in both the current year and prior year with a minimum of 6 months of total registration.

If the DMV printout shows no registration in the prior year, then alternative documentation (insurance certificate or BIT inspection) must be used to verify operation in the prior year.

Note: The DMV printout may be obtained by submitting a Request for Driver Record Information form (INF 1125) to the DMV. To find your local DMV office, please visit <http://www.dmv.ca.gov>. You may also obtain and pay for the DMV printout online at: <http://www.dmv.ca.gov/online/vrr.htm>

Copy of Existing Vehicle Title

(Note: Title may show a lienholder at the time of application however the title must be cleared of all liens prior to payment of any grant funds by SCAQMD.)

Vehicle Miles Traveled (VMT) in CA for the past 24 Months:

Acceptable documentation includes, but is not limited to: maintenance records, Biennial Inspection of Terminals (BIT inspection), International Fuel Tax Agreement (IFTA) records, daily logs, etc.) Documentation must clearly identify the truck by ID number, license plate, or VIN.

Two (2) mileage records that show odometer readings.

If applicable, provide Power Take Off (PTO) activity for the past 24 months:

Acceptable documentation is subject to approval by the SCAQMD, but must clearly identify the truck by ID number, license plate, or VIN.

Two (2) PTO records showing hour meter

Proof of insurance for the past 24 months

Copy of 2016 Certificate of Compliance from CARB's TRUCRS database

Photograph of the manufacturer's labels found in the door jamb of the truck showing VIN and GVWR (Legibly printed photos only)



III. IMPORTANT NOTES

- **SUBMIT** completed Forms A1, B1, and all required supplemental Information listed above to the SCAQMD by the requested due date.
- **DO NOT PURCHASE NEW EQUIPMENT!** New equipment funded by this program can only be purchased once the contract is signed between the equipment owner and the SCAQMD. An equipment owner may pre-order new equipment prior to contract execution and after posting of CARB's approved rank list at the equipment owner's risk.
- **KEEP EXISTING OLD TRUCK REGISTERED AND IN OPERATION!** Existing equipment must maintain continuous DMV registration and be in operation moving goods at a similar activity level to that listed in the application until the equipment has been relinquished to a SCAQMD-approved dismantler.
- **STAY COMPLIANT!** Applicants must maintain compliance with all applicable CARB regulations throughout the Proposition 1B Program process and the life of the contract. The Program-funded equipment may not be used by the equipment owner to comply with any applicable CARB regulations.



PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION

FORM C1: Truck Stop Electrification Infrastructure

I. APPLICANT INFORMATION

Name :		
Business Name (if any):		Fleet Size:
Primary Contact Name:		Email: Phone Number:
Mailing Address:		
City:	State:	Zip Code:
Person with contract signing authority (if different than above):		Title:
Have you applied for any other grant programs for this project? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, specify the grant program(s) that you applied to: _____		

II. LOCATION INFORMATION

Facility Name:	First Year of Operation?
Location/Project Site Address:	
Number of trucks that visit the freight facility and are capable of utilizing the infrastructure and equipment?	
Type of Project: <input type="checkbox"/> Truck Stop - Number of Existing Parking Spaces : _____ <input type="checkbox"/> Intermodal Facility – Number of Existing Spaces: _____ <input type="checkbox"/> Distribution Center - Number of Existing Docks: _____ <input type="checkbox"/> Other (please specify): _____	
Number of Spaces to be Electrified?	
Average daily time a parking space is used: _____ hr.	
How many heavy-duty diesel trucks are currently operated at this facility annually? _____	
Average daily time a refrigeration units (TRUs) operates while parked? _____ hr.	
Estimated Annual Usage by TRU that can connect to Grid for 10 Years (Annual Percent Occu- pancy per year)?	

III. PROJECT INFORMATION – PROJECTED ACTIVITIES WITH NEW EQUIPMENT AND EMISSIONS BENEFITS DATA*

Brief Description of Project (please include the detailed design plan with application):		
Number of electrification units to be installed: _____	Individual power required: _____	Total power required: _____



PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION

FORM C1: Truck Stop Electrification Infrastructure

Annual estimated of number of trucks connect to electric power : _____	Average connection time per truck: _____ hrs.
Annual estimated of number of TRU connect to electric power : _____	Average connection time per TRU: _____ hrs.
Projected annual usage in hours (expected percent occupancy):	
Year 1 : _____ % Year 2 : _____ % Year 3 : _____ % Year 4 : _____ % Year 5 : _____ %	
Year 6 : _____ % Year 7 : _____ % Year 8 : _____ % Year 9 : _____ % Year 10 : _____ %	
Projected power usage for TRU (expected percent occupancy):	
Year 1 : _____ % Year 2 : _____ % Year 3 : _____ % Year 4 : _____ % Year 5 : _____ %	
Year 6 : _____ % Year 7 : _____ % Year 8 : _____ % Year 9 : _____ % Year 10 : _____ %	
Baseline emission (without project) for the first 10-year of operation: NOx _____ lb. and PM _____ lb.	
Emission from the project during the first 10-year of operation: NOx _____ lb. and PM _____ lb.	
Emission reduction for the first 10-year of project operation: NOx _____ lb. and PM _____ lb.	
Cost Effectiveness : _____ lb./State dollars	
Note: Cost-effectiveness should be equal to or greater than 0.10 lb./State dollars invested	

* Applicant must use CARB's 2015 Emissions Benefits Calculator to estimate the baseline and future emissions, the amount of emissions reduced, and the cost-effectiveness of the project together with the annual usage in hours. The calculator will be posted on CARB's website. Applicant must provide an electronic copy and a hardcopy of the completed calculator with the application.

IV. EQUIPMENT VENDOR INFORMATION

Vendor Name:	
Contact person:	Email:
	Phone Number:

V. EQUIPMENT PROJECT FUNDING REQUEST

Total project cost (\$):
Program dollar requested (\$):
Source of funds to pay for the balance of the project: <input type="checkbox"/> Private (cash/loan) <input type="checkbox"/> Local <input type="checkbox"/> Other state <input type="checkbox"/> Federal <input type="checkbox"/> Other (please specify): _____



VI. ATTACHMENTS-PLEASE ATTACH THE FOLLOWING DOCUMENTS TO COMPLETE YOUR APPLICATION

- Completed Form C1.
- Complete ARB's 2015 Emission Benefit Calculator. The calculator can be accessed at: <http://www.arb.ca.gov/bonds/gmbond/gmbond.htm>
- Truck electrification infrastructure detailed design plan.
- Itemized cost information by phase (design, environmental, construction).
- Written project acknowledgement form the site owner (if applicant does not own the site where the equipment will be installed) which acknowledge/agrees to the following, at a minimum, for the duration of the project life:
 - The equipment owner will be allowed to install and operate the Program-funded equipment at the site address.
 - Program-funded equipment will be the property of the applicant listed in the equipment project application.
 - The local agency, ARB, or their designees will be allowed to access the site, equipment, and associated records for inspection, Program reviews, or fiscal audits.



VII. Applicant Statement

I have the legal authority to apply for incentive funding for the entity described in this application, and agree to the following statements by signing below:

- I (applicant) have reviewed the information provided in this application, including all supporting documentation, and certify the application information is true and correct, and meets the minimum requirements of the Proposition 1B - Goods Movement Emission Reduction Program;
- I agree to follow all requirements of the 2015 Proposition 1B - Goods Movement Emission Reduction Program Guidelines;
- The program-funded equipment shall be placed into operation and post-inspected prior to the applicable operational deadline to remain eligible for funding;
- I understand that the Program-funded equipment may not be used by the equipment owner to comply with any applicable CARB regulations
- I have not and will not apply for additional grant funds from any other agency or program for this proposed project, except the funding programs allowed by the Guideline.
- I will disclose any other source(s) of funding that has been applied for and will be used for the same project, including the source of funds, amount, and the purpose for funding;
- I will disclose the value of any existing financial incentive that directly reduces the project cost, including tax credits or deductions, grants, or other public financial assistance for the same equipment;
- Grant funds shall only be used to offset the capital cost of the equipment and/or shall reduce the principal owed to purchase the equipment;
- New equipment must **not** be purchased, received, installed, paid for, or placed into operation prior to contract execution;
- New equipment purchased outside of California may be subject to California sales and/or use tax;
- I agree to properly maintain Program-funded equipment in good operating condition and according to manufacturer’s recommendation during the project life;
- I understand that an incomplete or illegible application, including applications that are missing required documentation, may be rejected by the SCAQMD at their discretion;
- I acknowledge that the SCAQMD may release the information the application contains to third parties if required by state and federal public records laws; and
- I understand that landside electrification infrastructure to reduce diesel engine idling and use of diesel-fueled internal combustion auxiliary power systems may be funded at the lower of 50% of eligible project costs or a level commensurate with a cost-effectiveness of 0.10 pounds of weighted emissions reduced per State dollars invested.
- I understand that truck stop/distribution center electrification infrastructure projects shall be eligible to compete for funding only if the cost-effectiveness is equal to or greater than 0.10 pounds of weighted emissions reduced per State dollars invested.
- I understand that eligible costs for the project include purchase and installation of electrical infrastructure to: enable heating, cooling, and the use of cab power for parked trucks at truck stops; and enable the use of power for transport refrigeration units and auxiliary power systems at distribution centers, intermodal facilities, and other places where trucks congregate. Reimbursement for the eligible costs shall be based on demonstrated use over the first year of operation. Ineligible costs include on-board auxiliary power units and other equipment installed on trucks, transport refrigeration units, electricity costs, and operation and maintenance costs.
- I understand that the reimbursement for the eligible cost will be based on demonstrated use over the first year of operation.
- Equipment project match funding is reasonably available to complete the equipment project according to the proposed timeframe.

Printed Name of Owner: _____ **Title:** _____

Signature of Owner: _____ **Date:** _____



PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION

FORM C2: Electric Charging Stations or Hydrogen Fueling Units

This funding option is only available if the equipment owner replaces a minimum of three vehicles through the Program (Form B1)

I. APPLICANT INFORMATION

Name :		
Business Name (if any):		Fleet Size:
Primary Contact Name:		Email: Phone Number:
Mailing Address:		
City:	State:	Zip Code:
Person with contract signing authority (if different than above):		Title:
Have you applied for any other grant programs for this project? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, specify the grant program(s) that you applied to:		

II. CHARGING/FUELING EQUIPMENT INFORMATION

Equipment/ Construction Location:	First Year of Operation:
Project type? <input type="checkbox"/> Electric charging station <input type="checkbox"/> Hydrogen Fueling Unit	
Number of trucks that visit the freight facility and are capable of utilizing the infrastructure and equipment?	
Equipment Manufacturer:	
Equipment Power Rating for Electric Charger Only (Voltage, Amperage, Wattage, Efficiency):	
Equipment Serial Number:	
Equipment Recharge Rate (Electric Charger Only):	
Anticipated Cost of Eligible Equipment:	
Description of Usage Monitoring System	
Estimated Annual Truck connections: _____ Trucks. Estimated connection time/Truck: _____ hours.	

III. EQUIPMENT PROJECT FUNDING REQUEST

Estimated Cost of Charging Stations/Fueling Units :\$_____
Program Dollars Requested:\$_____ (Partial funding of up to the lower of 50% or \$90,000 for 3 charging or fueling units)
Source of funds to pay for the balance of the project: <input type="checkbox"/> Private (cash/loan) <input type="checkbox"/> Local <input type="checkbox"/> Other state <input type="checkbox"/> Federal <input type="checkbox"/> Other(please specify): _____



PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION

FORM D1: Transport Refrigeration Unit (TRU) Replacement

I. APPLICANT INFORMATION

Name :		
Business Name (if any):		Fleet Size:
Primary Contact Name:	Email: Phone Number:	
Mailing Address:		
City:	State:	Zip Code:
Person with contract signing authority (if different than above):		Title:
Have you applied for any other grant programs for this project? <input type="checkbox"/> Yes <input type="checkbox"/> No		
If yes, specify the grant program(s) that you applied to: _____		
Are you applying for Prop1B infrastructure funding? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Are you installing an electric plug with the TRU replacement? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Vocation (Types of goods typically transported – Choose 1 box only) “Goods” are defined as having the same meaning in Commercial Code section 2105, which essentially requires that: 1) The goods must be movable, and 2) the goods being moved must be part of a transaction that involves a contract for the sale of the goods.		
<input type="checkbox"/> Agricultural	<input type="checkbox"/> Concrete Mixer	<input type="checkbox"/> Dry Bulk Blower
<input type="checkbox"/> Trailer Aggregates	<input type="checkbox"/> Container	<input type="checkbox"/> Hazardous Materials
<input type="checkbox"/> Bulk or Break Bulk	<input type="checkbox"/> Dairy	<input type="checkbox"/> Heavy Equipment/Metals
<input type="checkbox"/> Building/Construction	<input type="checkbox"/> Dump Truck	<input type="checkbox"/> Poultry
		<input type="checkbox"/> Vacuum Pneumatic
		<input type="checkbox"/> Wood/Paper Products
		<input type="checkbox"/> Restaurant/Grocery
		<input type="checkbox"/> Other _____

II. EXISTING TRU INFORMATION

a) For zero emission transport refrigerator replacement, eligible cost include the transport refrigerator unit and an electric power plug (minimum 1 replacement)

b) For cryogenic TRU replacement, a minimum of 5 replacement is required.

1 st Unit No:		
Make:	Model Year:	Horsepower:
Model:	ARBER identification number:	Engine Serial Number:
Existing TRU annual hours of operation (average over past 2 years) while on road:		
Estimated daily average number of operation hours while per TRU while parked at freight facility loading dock (average over past 2 years):		
Estimated daily average number of operation hours per TRU while parked at freight facility parking spot (average over past 2 years):		



PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION

FORM D1: Transport Refrigeration Unit (TRU) Replacement

The following information is only required for cryogenic TRU replacement or replacing with more than one zero emission TRU

2nd Unit No:		
Make:	Model Year:	Horsepower:
Model:	ARBER identification number:	Engine Serial Number:
Existing TRU annual hours of operation (average over past 2 years) while on road:		
Estimated daily average number of operation hours while per TRU while parked at freight facility loading dock (average over past 2 years):		
Estimated daily average number of operation hours per TRU while parked at freight facility parking spot (average over past 2 years):		
3rd Unit No:		
Make:	Model Year:	Horsepower:
Model:	ARBER identification number:	Engine Serial Number:
Existing TRU annual hours of operation (average over past 2 years) while on road:		
Estimated daily average number of operation hours while per TRU while parked at freight facility loading dock (average over past 2 years):		
Estimated daily average number of operation hours per TRU while parked at freight facility parking spot (average over past 2 years):		
4th Unit No:		
Make:	Model Year:	Horsepower:
Model:	ARBER identification number:	Engine Serial Number:
Existing TRU annual hours of operation (average over past 2 years) while on road:		
Estimated daily average number of operation hours while per TRU while parked at freight facility loading dock (average over past 2 years):		
Estimated daily average number of operation hours per TRU while parked at freight facility parking spot (average over past 2 years):		
5th Unit No:		
Make:	Model Year:	Horsepower:
Model:	ARBER identification number:	Engine Serial Number:
Existing TRU annual hours of operation (average over past 2 years) while on road:		
Estimated daily average number of operation hours while per TRU while parked at freight facility loading dock (average over past 2 years):		



PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION

FORM D1: Transport Refrigeration Unit (TRU) Replacement

Estimated daily average number of operation hours per TRU while parked at freight facility parking spot (average over past 2 years):

**Additional pages may be attached for additional units.*

III. REPLACEMENT EQUIPMENT INFORMATION AND PROJECT FUNDING REQUEST

Make:	Model Year:
Horsepower:	Fuel type:
Estimated future annual hours of TRU operation while on road:	
Estimated annual future number of operation hours per TRU while parked at freight facility loading dock:	
Estimated annual future number of operation while park at freight facility parking spot	
Estimated Project completion date:	
Total project cost (\$):	
Number of TRU to be replaced: _____ <input type="checkbox"/> Electric/Fuel Cell, Number of unit(s): _____ <input type="checkbox"/> Cryogenic, Number of Unit(s): _____	
Program dollar requested (\$):	
<ul style="list-style-type: none"> • Zero Emission Transport Refrigerator Units <input type="checkbox"/> Lower of 80% or \$50,000 per TRU replacement <input type="checkbox"/> Other: _____ (Replacement TRU must be CARB certified zero emissions, eligible cost include an electric power plug) • Cryogenic Transport Refrigerator Units <input type="checkbox"/> Lower of 50% of eligible cost or \$100,000 (\$20,000/TRU) <input type="checkbox"/> Other: _____ (Replacement TRU must be CARB certified zero emissions) 	
Source of funds to pay for the balance of the project: <input type="checkbox"/> Private (cash/loan) <input type="checkbox"/> Local <input type="checkbox"/> Other state <input type="checkbox"/> Federal <input type="checkbox"/> Other(please specify): _____ <u>Amount of Non-Bond Funding: \$ _____</u>	

*** New equipment shall not be ordered until the existing equipment has been pre-inspected and contract is signed between the equipment owner and SCAQMD.**



PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION

FORM D2: Transport Refrigeration Unit (TRU) Power Plug Installation

I. APPLICANT INFORMATION

Name :		Fleet Size:
Business Name (if any):		
Primary Contact Name:	Email:	Phone Number:
Mailing Address:		
City:	State:	Zip Code:
Person with contract signing authority (if different than above):		Title:
Have you applied for any other grant programs for this project? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, specify the grant program(s) that you applied to: _____		

II. LOCATION AND CHARGE EQUIPMENT INFORMATION

Facility Name:
Location/Project Site Address:
Number of truck and trailer equipped with TRU that visit the freight facility and are capable of utilizing the infrastructure and equipment:
Equipment power rating(voltage, amperage, wattage, efficiency):
Equipment serial number:
Equipment recharge rate:
Anticipated cost of eligible equipment:
Description of usage monitoring system:
Number of existing loading docks:
Number of existing parking spots:
Estimated daily number of truck equipped with TRUs operating at freight facility:
Estimated daily average number of operating hours per TRU while parked at facility loading dock:
Estimated daily average number of operating hours per TRU while parked at facility parking spot:

III. PROJECT FUNDING REQUEST

Total project cost (\$):
First Year of Operation:



Number of electric power plugs will be installed at loading docks: _____

Number of electric power plugs will be installed at parking spots: _____

*Install at least **10** or more electric power plugs that are compatible with electrically powered TRUs (e.g. all-electric, hybrid electric, or electric standby-equipped TRUs) at loading docks or parking area of freight facilities.*

Program dollar requested (\$): Lower of 50% or \$30,000 to install 10 electric power plugs. Other: _____

Additional electric power plugs may be funded at the lower of 50% or \$3,000 per additional plug.

Source of funds to pay for the balance of the project:

Private (cash/loan) Local Other state Federal Other (please specify): _____



IV. Applicant Statement

I have the legal authority to apply for incentive funding for the entity described in this application, and agree to the following statements by signing below:

- I (applicant) have reviewed the information provided in this application, including all supporting documentation, and certify the application information is true and correct, and meets the minimum requirements of the Proposition 1B - Goods Movement Emission Reduction Program;
I agree to follow all requirements of the 2015 Proposition 1B - Goods Movement Emission Reduction Program Guidelines;
The program-funded equipment shall be placed into operation and post-inspected prior to the applicable operational deadline to remain eligible for funding;
I understand that the Program-funded equipment may not be used by the equipment owner to comply with any applicable CARB regulations;
I have not and will not apply for additional grant funds from any other agency or program for this proposed project, except the funding programs allowed by the Guideline;
I will disclose any other source(s) of funding that has been applied for and will be used for the same project, including the source of funds, amount, and the purpose for funding;
I will disclose the value of any existing financial incentive that directly reduces the project cost, including tax credits or deductions, grants, or other public financial assistance for the same equipment;
Grant funds shall only be used to offset the capital cost of the equipment and/or shall reduce the principal owed to purchase the equipment;
New equipment must not be purchased, received, installed, paid for, or placed into operation prior to contract execution;
New equipment purchased outside of California may be subject to California sales and/or use tax;
I agree to properly maintain Program-funded equipment in good operating condition and according to manufacturer's recommendation during the project life;
I understand that an incomplete or illegible application, including applications that are missing required documentation, may be rejected by the SCAQMD at their discretion;
I acknowledge that the SCAQMD may release the information the application contains to third parties if required by state and federal public records laws;

Print Name of Owner: _____ Title: _____
Signature of Owner: _____ Date: _____

V. If the applicant does not own the site where the equipment will be installed, the applicant must obtain written project acknowledgement from the site owner which acknowledges/agrees to the following, at a minimum, for the duration of the project life:

- The equipment owner will be allowed to install and operate the Program-funded equipment at the site address.
Program-funded equipment will be the property of the applicant listed in the equipment project application.
The local agency, ARB, or their designees will be allowed to access the site, equipment, and associated records for inspections, Program reviews, or fiscal audits.



PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION

FORM E1: Cryogenic Refrigeration Fueling Infrastructure at Distribution Center

I. APPLICANT INFORMATION

Name :		
Business Name (if any):		Fleet Size:
Primary Contact Name:	Email:	Phone Number:
Mailing Address:		
City:	State:	Zip Code:
Person with contract signing authority (if different than above):		Title:
Have you applied for any other grant programs for this project? <input type="checkbox"/> Yes <input type="checkbox"/> No		
If yes, specify the grant program(s) that you applied to: _____		

II. LOCATION INFORMATION

Facility Name:
Location/Project Site Address:
Number of trucks and trailers equipped with TRU that visit the freight facility and are capable of utilizing the infrastructure and equipment:
Number of existing loading docks:
Number of existing parking spots:
Estimated daily number of truck equipped with TRUs operating at freight facility:
Estimated daily average number of operating hours per TRU while parked at facility loading dock:
Estimated daily average number of operating hours per TRU while parked at facility parking spot:

III. PROJECT FUNDING REQUEST

Total project cost (\$):
First Year of Operation:
Number of diesel TRUS to be replaced with cryogenic system at loading docks: _____
Number of diesel TRUS to be replaced with cryogenic system at parking spots: _____
Program dollar requested (\$): <input type="checkbox"/> lower of 50% or \$100,000 per freight facility <input type="checkbox"/> Other: _____
<i>Eligible costs include purchase and installation of cryogenic infrastructure or equipment.</i>
<i>Ineligible costs include design, engineering consulting, environmental review, legal fees, permits, licenses and associated fees, taxes, metered cost, insurance, operation, maintenance, and repair.</i>
Source of funds to pay for the balance of the project: <input type="checkbox"/> Private (cash/loan) <input type="checkbox"/> Local <input type="checkbox"/> Other state <input type="checkbox"/> Federal <input type="checkbox"/> Other(please specify): _____



IV. Applicant Statement

I have the legal authority to apply for incentive funding for the entity described in this application, and agree to the following statements by signing below:

- I (applicant) have reviewed the information provided in this application, including all supporting documentation, and certify the application information is true and correct, and meets the minimum requirements of the Proposition 1B - Goods Movement Emission Reduction Program;
- I agree to follow all requirements of the 2015 Proposition 1B - Goods Movement Emission Reduction Program Guidelines;
- The program-funded equipment shall be placed into operation and post-inspected prior to the applicable operational deadline to remain eligible for funding;
- I understand that the Program-funded equipment may not be used by the equipment owner to comply with any applicable CARB regulations;
- I have not and will not apply for additional grant funds from any other agency or program for this proposed project, except the funding programs allowed by the Guideline;
- I will disclose any other source(s) of funding that has been applied for and will be used for the same project, including the source of funds, amount, and the purpose for funding;
- I will disclose the value of any existing financial incentive that directly reduces the project cost, including tax credits or deductions, grants, or other public financial assistance for the same equipment;
- Grant funds shall only be used to offset the capital cost of the equipment and/or shall reduce the principal owed to purchase the equipment;
- New equipment must **not** be purchased, received, installed, paid for, or placed into operation prior to contract execution;
- New equipment purchased outside of California may be subject to California sales and/or use tax;
- I agree to properly maintain Program-funded equipment in good operating condition and according to manufacturer’s recommendation during the project life;
- I understand that an incomplete or illegible application, including applications that are missing required documentation, may be rejected by the SCAQMD at their discretion;
- I acknowledge that the SCAQMD may release the information the application contains to third parties if required by state and federal public records laws;

Print Name of Owner: _____ Title: _____

Signature of Owner: _____ Date: _____

V. If the applicant does not own the site where the equipment will be installed, the applicant must obtain written project acknowledgement from the site owner which acknowledges/agrees to the following, at a minimum, for the duration of the project life:

- The equipment owner will be allowed to install and operate the Program-funded equipment at the site address.
- Program-funded equipment will be the property of the applicant listed in the equipment project application.
- The local agency, ARB, or their designees will be allowed to access the site, equipment, and associated records for inspections, Program reviews, or fiscal audits.



South Coast Air Quality Management District

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

Business Information Request

Dear SCAQMD Contractor/Supplier:

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

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

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

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

Sincerely,

Michael B. O'Kelly
Chief Financial Officer

DH:tm

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

REV 9/15



South Coast Air Quality Management District

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

BUSINESS INFORMATION REQUEST

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

REMITTING ADDRESS INFORMATION

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

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

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

Attachment 2

BUSINESS STATUS CERTIFICATIONS

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

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

Statements of certification:

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

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

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

Check all that apply:

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

Percent of ownership: _____ %

Name of Qualifying Owner(s): _____

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

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

NAME

TITLE

TELEPHONE NUMBER

DATE

Attachment 2

Definitions

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

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

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

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

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

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

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

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

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

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

Attachment 2

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

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

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

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

Attachment 3

Form **W-9**
(Rev. December 2014)
Department of the Treasury
Internal Revenue Service

**Request for Taxpayer
Identification Number and Certification**

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

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.

2 Business name/disregarded entity name, if different from above

3 Check appropriate box for federal tax classification; check only **one** of the following seven boxes:

Individual/sole proprietor or single-member LLC C Corporation S Corporation Partnership Trust/estate

Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____

Note. For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner.

Other (see instructions) ▶ _____

4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):

Exempt payee code (if any) _____

Exemption from FATCA reporting code (if any) _____

(Applies to accounts maintained outside the U.S.)

5 Address (number, street, and apt. or suite no.) Requester's name and address (optional)

6 City, state, and ZIP code

7 List account number(s) here (optional)

Part I Taxpayer Identification Number (TIN)

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

Social security number									
				-					

or

Employer identification number									
				-					

Note. If the account is in more than one name, see the instructions for line 1 and the chart on page 4 for guidelines on whose number to enter.

Part II Certification

Under penalties of perjury, I certify that:

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

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

Sign Here	Signature of U.S. person ▶	Date ▶
------------------	-----------------------------------	---------------

General Instructions

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

Future developments. Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at www.irs.gov/fw9.

Purpose of Form

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

- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)

- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

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

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding? on page 2.

By signing the filled-out form, you:

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

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

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

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

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

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

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

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

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

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

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

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

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

Backup Withholding

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

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

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the Part II instructions on page 3 for details),

3. The IRS tells the requester that you furnished an incorrect TIN,

4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or

5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code* on page 3 and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships* above.

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* on page 3 and the Instructions for the Requester of Form W-9 for more information.

Updating Your Information

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

Penalties

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

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

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

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

Specific Instructions

Line 1

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

If this Form W-9 is for a joint account, list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9.

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

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

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

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

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

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

Attachment 3

Line 2

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

Line 3

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

Limited Liability Company (LLC). If the name on line 1 is an LLC treated as a partnership for U.S. federal tax purposes, check the "Limited Liability Company" box and enter "P" in the space provided. If the LLC has filed Form 8832 or 2553 to be taxed as a corporation, check the "Limited Liability Company" box and in the space provided enter "C" for C corporation or "S" for S corporation. If it is a single-member LLC that is a disregarded entity, do not check the "Limited Liability Company" box; instead check the first box in line 3 "Individual/sole proprietor or single-member LLC."

Line 4, Exemptions

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

Exempt payee code.

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

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

- 1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)
- 2—The United States or any of its agencies or instrumentalities
- 3—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities
- 4—A foreign government or any of its political subdivisions, agencies, or instrumentalities
- 5—A corporation
- 6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or possession
- 7—A futures commission merchant registered with the Commodity Futures Trading Commission
- 8—A real estate investment trust
- 9—An entity registered at all times during the tax year under the Investment Company Act of 1940
- 10—A common trust fund operated by a bank under section 584(a)
- 11—A financial institution
- 12—A middleman known in the investment community as a nominee or custodian
- 13—A trust exempt from tax under section 664 or described in section 4947

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

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

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

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

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

- A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
- B—The United States or any of its agencies or instrumentalities
- C—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities
- D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i)
- E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i)
- F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
- G—A real estate investment trust
- H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
- I—A common trust fund as defined in section 584(a)
- J—A bank as defined in section 581
- K—A broker
- L—A trust exempt from tax under section 664 or described in section 4947(a)(1)
- M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

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

Line 5

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns.

Line 6

Enter your city, state, and ZIP code.

Part I. Taxpayer Identification Number (TIN)

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

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

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

Note. See the chart on page 4 for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at www.ssa.gov. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/businesses and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting irs.gov or by calling 1-800-TAX-FORM (1-800-829-3676).

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

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

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

Part II. Certification

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

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

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

1. **Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.** You must give your correct TIN, but you do not have to sign the certification.
2. **Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.** You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.
3. **Real estate transactions.** You must sign the certification. You may cross out item 2 of the certification.
4. **Other payments.** You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).
5. **Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions.** You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account ¹
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor ²
4. a. The usual revocable savings trust (grantor is also trustee) b. So-called trust account that is not a legal or valid trust under state law	The grantor-trustee ¹ The actual owner ¹
5. Sole proprietorship or disregarded entity owned by an individual	The owner ³
6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i) (A))	The grantor ³
For this type of account:	Give name and EIN of:
7. Disregarded entity not owned by an individual	The owner
8. A valid trust, estate, or pension trust	Legal entity ⁴
9. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
10. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
11. Partnership or multi-member LLC	The partnership
12. A broker or registered nominee	The broker or nominee
13. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
14. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i) (B))	The trust

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

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

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

⁴ List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships* on page 2.

***Note.** Grantor also must provide a Form W-9 to trustee of trust.

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

Secure Your Tax Records from Identity Theft

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

To reduce your risk:

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

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

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

For more information, see Publication 4535, *Identity Theft Prevention and Victim Assistance*.

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

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

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

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

Visit IRS.gov to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

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

YEAR _____

CALIFORNIA FORM

2015 Withholding Exemption Certificate

590

The payee completes this form and submits it to the withholding agent.

Withholding Agent (Type or print)

Name _____

Payee

Name _____

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

Address (apt./ste., room, PO Box, or PMB no.) _____

City (If you have a foreign address, see instructions.) _____

State _____

ZIP Code _____

Exemption Reason

Check only one reason box below that applies to the payee.

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

Individuals — Certification of Residency:

I am a resident of California and I reside at the address shown above. If I become a nonresident at any time, I will promptly notify the withholding agent. See instructions for General Information D, Definitions.

Corporations:

The corporation has a permanent place of business in California at the address shown above or is qualified through the California Secretary of State (SOS) to do business in California. The corporation will file a California tax return. If this corporation ceases to have a permanent place of business in California or ceases to do any of the above, I will promptly notify the withholding agent. See instructions for General Information D, Definitions.

Partnerships or Limited Liability Companies (LLCs):

The partnership or LLC has a permanent place of business in California at the address shown above or is registered with the California SOS, and is subject to the laws of California. The partnership or LLC will file a California tax return. If the partnership or LLC ceases to do any of the above, I will promptly inform the withholding agent. For withholding purposes, a limited liability partnership (LLP) is treated like any other partnership.

Tax-Exempt Entities:

The entity is exempt from tax under California Revenue and Taxation Code (R&TC) Section 23701 _____ (insert letter) or Internal Revenue Code Section 501(c) _____ (insert number). If this entity ceases to be exempt from tax, I will promptly notify the withholding agent. Individuals cannot be tax-exempt entities.

Insurance Companies, Individual Retirement Arrangements (IRAs), or Qualified Pension/Profit Sharing Plans:

The entity is an insurance company, IRA, or a federally qualified pension or profit-sharing plan.

California Trusts:

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

Estates — Certification of Residency of Deceased Person:

I am the executor of the above-named person's estate or trust. The decedent was a California resident at the time of death. The estate will file a California fiduciary tax return.

Nonmilitary Spouse of a Military Servicemember:

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

CERTIFICATE OF PAYEE: Payee must complete and sign below.

Under penalties of perjury, I hereby certify that the information provided in this document is, to the best of my knowledge, true and correct. If conditions change, I will promptly notify the withholding agent.

Payee's name and title (type or print) _____ Telephone (____) _____

Payee's signature ► _____ Date _____

2015 Instructions for Form 590

Withholding Exemption Certificate

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

General Information

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

A Purpose

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

Form 590 does not apply to payments of backup withholding. For information on California backup withholding, go to ftb.ca.gov and search for **backup withholding**.

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

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

The following are excluded from withholding and completing this form:

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

B Income Subject to Withholding

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

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

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

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

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

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

C Who Certifies this Form

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

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

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

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

D Definitions

For California non-wage withholding purposes, **nonresident** includes all of the following:

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

Foreign refers to non-U.S.

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

Permanent Place of Business:

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

E Military Spouse Residency Relief Act (MSRRA)

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

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

Domicile is defined as the one place:

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

Attachment 4

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

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

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

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

Specific Instructions

Payee Instructions

Enter the withholding agent's name.

Enter the payee's information, including the taxpayer identification number (TIN) and check the appropriate TIN box.

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

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

Foreign Address – Enter the information in the following order: City, Country, Province/Region, and Postal Code. Follow the country's practice for entering the postal code. **Do not** abbreviate the country's name.

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

Withholding Agent Instructions

Keep Form 590 for your records. **Do not** send this form to the FTB unless it has been specifically requested.

For more information, contact Withholding Services and Compliance, see Additional Information.

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

- The individual payee becomes a nonresident.
- The corporation ceases to have a permanent place of business in California or ceases to be qualified to do business in California.
- The partnership ceases to have a permanent place of business in California.
- The LLC ceases to have a permanent place of business in California.
- The tax-exempt entity loses its tax-exempt status.

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

Additional Information

For additional information or to speak to a representative regarding this form, call the Withholding Services and Compliance telephone service at:

Telephone: 888.792.4900
916.845.4900
Fax: 916.845.9512

OR write to:

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

You can download, view, and print California tax forms and publications at ftb.ca.gov.

OR to get forms by mail write to:

TAX FORMS REQUEST UNIT
FRANCHISE TAX BOARD
PO BOX 307
RANCHO CORDOVA CA 95741-0307

For all other questions unrelated to withholding or to access the TTY/TDD numbers, see the information below.

Internet and Telephone Assistance

Website: ftb.ca.gov
Telephone: 800.852.5711 from within the United States
916.845.6500 from outside the United States
TTY/TDD: 800.822.6268 for persons with hearing or speech impairments

Asistencia Por Internet y Teléfono

Sitio web: ftb.ca.gov
Teléfono: 800.852.5711 dentro de los Estados Unidos
916.845.6500 fuera de los Estados Unidos
TTY/TDD: 800.822.6268 para personas con discapacidades auditivas o del habla



CAMPAIGN CONTRIBUTIONS DISCLOSURE

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

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

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

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

SECTION I.

Contractor (Legal Name): _____

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

List any parent, subsidiaries, or otherwise affiliated business entities of Contractor:

(See definition below).

SECTION II.

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

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

Attachment 5

Campaign Contributions Disclosure, *continued*:

Name of Contributor _____

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

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

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

Name of Contributor _____

Governing Board Member or MSRC Member/Alternate	Amount of Contribution	Date of Contribution
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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; or
 - (C) A controlling owner (50% or greater interest as a shareholder or as a general partner) in one entity also is a controlling owner in the other entity.

Agenda Item #1

Vicki White

Issue Program Announcement
for Heavy-Duty Diesel Trucks and
Transport Refrigeration Units
Under Proposition 1B-
Goods Movement Program 

Background

- In June 2015, CARB approved updates to the Proposition 1B-Goods Movement Program
- New options: zero emission, hybrid, optional low-NOx and natural gas
- Higher funding amounts for advanced technologies
- Extended timeline to deploy advanced technologies (3 years)



Background (Continued)

- New funding awards approved by CARB in September 2015
 - About \$100 million for trucks, TRUs and supporting infrastructure
- PA previously issued and closed on November 20, 2015
 - Board approved projects on May 6, 2016 totaling about \$52 million
 - A new PA is needed to solicit additional project applications for the remaining balance of funds
 - Enhanced outreach will be conducted

Proposal

Issue Program Announcement:

- Heavy-Duty Diesel Trucks
 - Replace with natural gas, hybrid, optional low-NOx, or zero emission
 - GVWR > 19,500 lbs (Class 6-8)
 - Engine model year must be 2009 or older
 - Move goods as part of a sales transaction
- Transport Refrigeration Units
 - Replace with zero emission technology
- Infrastructure to support zero emission technologies

Schedule

- Release PA Jun 3, 2016
- Application Deadline Aug 4, 2016
- Evaluation Period Aug-Nov 2016
- SCAQMD Board Approval Dec 2, 2016
- Issue Contracts Jan-Feb 2017

Recommended Action

Approve issuance, and if undersubscribed re-issuance, of a Program Announcement for heavy-duty diesel trucks and transport refrigeration units under the Proposition 1B-Goods Movement Program

DRAFT
Technology Committee Agenda #2

BOARD MEETING DATE: June 3, 2016

AGENDA NO.

PROPOSAL: Execute Contracts for Technical Assistance for Advanced, Low and Zero Emission Mobile and Stationary Source Control Technologies and Implementation of Incentive Programs

SYNOPSIS: On February 5, 2016, the Board approved the release of an RFP to solicit proposals to provide technical assistance, implementation and outreach support for advanced, low and zero emission control technologies for the Clean Fuels Program and various incentive programs. Ten proposals were received in response to the solicitation. These actions are to execute contracts with four technical experts to provide technical assistance and outreach support at a total cost not to exceed \$760,000, comprised of \$250,000 from the Clean Fuels Fund (31); \$175,000 from the Carl Moyer Program AB 923 Fund (80); \$285,000 from the Proposition 1B-Goods Movement Program Fund (81); and \$50,000 from the AB 1318 Mitigation Fees Fund (58). Funding from the Carl Moyer, Proposition 1B and AB 1318 funds will be from the administrative portion of those funds.

COMMITTEE: Technology, May 20, 2016; Recommended for Approval

RECOMMENDED ACTIONS:

1. Authorize the Chairman to execute the following contracts for a total of \$250,000 from the Clean Fuels Program Fund (31):
 - a) AEE Solutions for technical assistance with heavy-duty vehicle emissions testing, analyses and engines development and applications in an amount not to exceed \$50,000;
 - b) Clean Fuel Connection, Inc. (CFCI) for technical assistance with alternative fuels, electric vehicles, charging and fueling infrastructure and renewable energy in an amount not to exceed \$50,000;
 - c) Gladstein, Neandross & Associates (GNA) for technical assistance with alternative fuels and fueling infrastructure, emissions analysis and on-road sources in an amount not to exceed \$100,000; and
 - d) Ricardo Solutions for technical assistance with heavy-duty vehicle emissions testing, analyses and engines development and applications in an amount not to exceed \$50,000.

2. Authorize the Chairman to execute a contract with CFCI for technical assistance, implementation and outreach support for the Carl Moyer Program (including the School Bus and the Voucher Incentive Programs) in an amount not to exceed \$175,000 from the administrative portion of the Carl Moyer Program AB 923 Fund (80).
3. Authorize the Chairman to execute the following contracts for technical assistance, implementation and outreach support of the Proposition 1B-Goods Movement Program for a total of \$285,000 from the administrative portion of the Proposition 1B-Goods Movement Program Fund (81):
 - a) CFCI in an amount not to exceed \$235,000; and
 - b) GNA in an amount not to exceed \$50,000.
4. Authorize the Chairman to execute a contract with CFCI for implementation and outreach support for the Coachella Valley CPV Sentinel Project in an amount not to exceed \$50,000 from the administrative portion of the AB 1318 Mitigation Fees Fund (58).

Wayne Natri
Acting Executive Officer

MMM:FM

Background

The AQMP is the comprehensive regional plan for attaining federal air quality standards in the South Coast Air Basin. In addition to full implementation of current technologies and control methods, there is a need to further develop and promote technological breakthroughs. Air quality projections indicate that the federal standards for PM_{2.5} and ozone are not expected to be met without aggressive implementation of commercial technologies and accelerated development of new technologies.

The Technology Advancement Office (TAO) administers two programs to accomplish these goals. The Clean Fuels Program supports projects to research, develop, demonstrate and deploy technologies to accelerate commercialization of clean, new technologies. The Carl Moyer, Proposition 1B-Goods Movement and School Bus Programs and other similar programs provide incentive funding to end-users to implement the cleanest available technologies for various heavy-duty on- and off-road applications. Due to constant and rapid changes in technologies and the sheer breadth of the potential projects, staff occasionally requires input from experts and in-the-field practitioners to aid in selecting and establishing projects for the Clean Fuels Program and to implement various incentive programs.

At its February 5, 2016 meeting, the Board approved RFP #P2016-15 to solicit proposals for technical assistance for the Clean Fuels Program and implementation of

various incentive funding programs. The RFP solicited statements of qualifications from individuals and organizations potentially capable of providing technical assistance in a variety of areas to support staff activities. The RFP sought companies or individuals to provide assistance in assessment of zero emission and goods movement technologies; technical assistance for feasibility studies of stationary and mobile emission control technologies; emissions assessment of new alternative fuel technologies; evaluation of innovative emissions control systems; assessment of economic, regulatory and technical barriers to the commercialization of clean fuels and advanced technologies; and to implement various incentive programs.

Outreach

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

Additionally, potential bidders may have been notified utilizing SCAQMD's own electronic listing of certified minority vendors. Notice of the PA was emailed to the Black and Latino Legislative Caucuses and various minority chambers of commerce and business associations, and placed on the Internet at SCAQMD's website (<http://www.aqmd.gov>).

Proposal Evaluation

Ten proposals were received in response to RFP #P2016-15. The proposals were evaluated and scored by a three-member panel in accordance with established SCAQMD guidelines using the technical criteria outlined in the RFP. The panel consisted of one Assistant Deputy Executive Officer, one Technology Demonstration Manager and one Program Supervisor. The panel breakdown was as follows: two males and one female; two Caucasians and one Asian. The panel scores are shown in Table 1 of the attachment. The technical scores are based on the proponent's expertise and experience. Per the requirements of the RFP, proposals are required to receive a minimum of 56 points out of 70 technical points to qualify for an award.

For all of the proposals that qualified, staff added the cost effectiveness and additional points (a maximum of 15 points for small business or small business joint venture, disadvantaged veterans' business or DVBE joint venture, use of DVBE or small business subcontractors, use of low emission vehicles, local business and use of off-peak hours for delivery business). Based on these scores and current needs, staff is recommending funding levels for each of the proposers as shown in Table 2 of the attachment.

Proposal

Staff is recommending that level-of-effort contracts be executed as follows:

AEE Solutions will provide technical assistance with heavy-duty vehicles emissions testing, analyses and engine development and applications in an amount not to exceed \$50,000 from the Clean Fuels Fund (31). The team at AEE Solutions Institute has professional experience and proven expertise in the areas of alternative fuels, low and zero emission technologies, emission controls, federal policies and state regulations.

CFCI will provide technical assistance with alternative fuels, electric vehicles, charging and fueling infrastructure and renewable energy as well as technical assistance on continued implementation and reporting for the Carl Moyer Program, the Proposition 1B-Goods Movement Program and the Coachella Valley CPV Sentinel Project in an amount not to exceed \$510,000, comprised of \$50,000 from the Clean Fuels Fund (31), \$175,000 from the Carl Moyer Program AB 923 Fund (80), \$235,000 from the Proposition 1B-Goods Movement Program Fund (81) and \$50,000 from the AB 1318 Mitigation Fees Fund (58). Ms. Enid Joffe (principal) has more than 15 years of experience with low and zero emission technologies, electric vehicles and charging infrastructure and renewable energy.

GNA will provide technical expertise with alternative fuels and fueling infrastructure, emission analysis, on-road sources and outreach activities in an amount not to exceed \$150,000, comprised of \$100,000 from the Clean Fuels Fund (31) and \$50,000 from the Proposition 1B-Goods Movement Program Fund (81). GNA has partnered with energy, transit, waste management and goods movement companies to develop projects such as the use of LNG in cargo handling equipment at the Ports of Los Angeles and Long Beach, evaluation of the feasibility of utilizing LNG in the Ports' yard equipment and the development of strategies to reduce emissions from construction and operations of the proposed LNG import terminal.

Ricardo Solutions will provide technical assistance with heavy-duty vehicle emissions testing, analyses and engine development and applications in an amount not to exceed \$50,000 from the Clean Fuels Fund (31). The team at Ricardo has professional experience and proven expertise in the areas of alternative fuels, low and zero emission technologies, emission controls, federal policies and state regulations.

ICF Incorporated, Integra Environmental Consulting, Hydrogen Ventures, Tech Compass, Tetra Tech

These four entities are technically qualified and have provided technical assistance previously, but due to adequate funding balances in their respective contracts, they are not recommended for awards at this time.

ALTA Environmental has expertise that is outside of the targeted needs of the outlined programs. Thus, it did not reach the qualification threshold of 56 points for the outlined programs.

Benefits to SCAQMD

The proposed awards will support the implementation of TAO’s Clean Fuels, Carl Moyer and Proposition 1B Programs. In addition, outside expertise will provide an effective means of evaluating new technologies and assessing emission reductions.

Resource Impacts

Total amount of awards shall not exceed \$760,000, comprised of \$250,000 from the Clean Fuels Fund (31); \$175,000 from the Carl Moyer Program AB 923 Fund (80); \$285,000 from the Proposition 1B-Goods Movement Program Fund (81); and \$50,000 from the AB 1318 Mitigation Fees Fund (58).

Sufficient funds are available from the Clean Fuels Program Fund, established as a special revenue fund resulting from the state-mandated Clean Fuels Program to cover the proposed \$540,000 for outside technical assistance. The Clean Fuels Program, under Health and Safety Code Sections 40448.5 and 40512 and Vehicle Code Section 9250.11, establishes mechanisms to collect revenues from mobile sources to support projects to increase the utilization of clean fuels, including the development of the necessary advanced enabling technologies. Funds collected from motor vehicles are restricted, by statute, to be used for projects and program activities related to mobile sources that support the objectives of the Clean Fuels Program.

Funding from the Carl Moyer, the Proposition 1B and the AB 1318 Mitigation Fees funds will be from the administrative portion of those funds. Sufficient funds are available in the administrative portions of the Carl Moyer, the Proposition 1B and the AB 1318 Mitigation Fees funds.

Attachments

- Table 1 – Average Scores for Proposers
- Table 2 – Areas of Expertise and Awards

Table 1. Average Scores for Proposers

Proposer**	Technical Points*	Additional Points	Cost Points	Total Points
AEE Solutions	62	2	30	94
Alta Environmental	54	N/A	N/A	
Clean Fuel Connection Inc.	65	10	18	93
Gladstein, Neandross and Associates	69	15	10	94
Ricardo Solutions	64	0	9	73
ICF Incorporated	not rated			
Integra Environmental Consulting	not rated			
Hydrogen Ventures	not rated			
Tech Compass	not rated			
Tetra Tech	not rated			

* minimum of 56 out of 70 Technical Points is required to qualify for an award.

**All the not rated entities were technically qualified and have provided technical assistance throughout the years, but due to adequate funding balances in their respective contracts they have not been recommended for awards this time around.

Table 2. Areas of Expertise and Awards

Proposer	Clean Fuels Fund (31)	Carl Moyer (incl. School Bus & VIP) AB 923 Fund (80)	Prop 1B-Goods Movement Fund (81)	AB 1318 Fund (58)	Total
AEE Solutions	\$50,000				\$50,000
Clean Fuel Connection Inc.	\$50,000	\$175,000	\$235,000	\$50,000	\$510,000
Gladstein, Neandross and Associates	\$100,000		\$50,000		\$150,000
Ricardo Solutions	\$50,000				\$50,000
Total	\$250,000	\$175,000	\$285,000	\$50,000	\$760,000

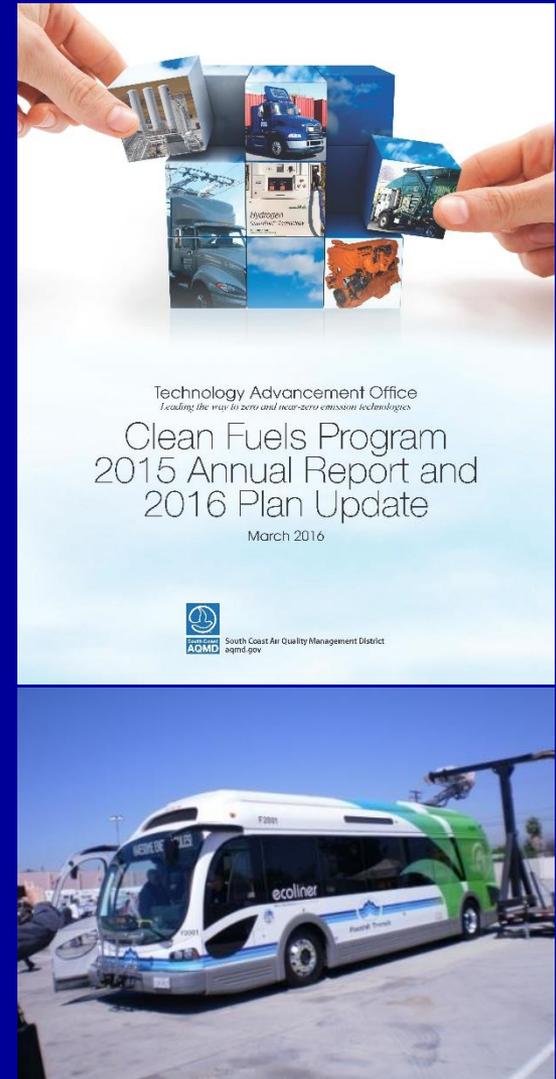
Agenda Item #2

Fred Minassian

Execute Contracts for Technical Assistance for Advanced, Low and Zero Emission Mobile and Stationary Source Control Technologies and Implementation of Incentive Programs

Background

- Technical expertise is required for Clean Fuels Program and Incentive Programs
- RFP # P2016-15 released on February 5, 2016
- 10 proposals received
- Review Panel :
One Designated Deputy, One Senior Manager and one Program Supervisor from Science & Technology Advancement



Clean Fuels Program

- Review and assess technologies
- Interface and engage OEMs
- EVs and charging station expertise
- Fuels and life-cycle analyses
- Emissions testing
- Stationary technology analysis



Carl Moyer and Proposition 1B Programs

Carl Moyer Program including SOON, VIP and School Bus

- Develop and evaluate program guidelines
- Review of applications
- Fleet outreach and assistance
- Reporting

Proposition 1B

- Proposal evaluation and ranking
- Program implementation
- Reporting



Proposal Scores

Proposer**	Technical Points*	Additional Points	Cost Points	Total Points
AEE Solutions	62	2	30	94
Alta Environmental	54	N/A	N/A	
Clean Fuel Connection, Inc.	65	10	18	93
Gladstein, Neandross & Associates	69	15	10	94
Ricardo Solutions	64	0	9	73
ICF Incorporated	not rated			
Integra Environmental Consulting	not rated			
Hydrogen Ventures	not rated			
Tech Compass	not rated			
Tetra Tech	not rated			

* Minimum of 56 out of 70 Technical Points is required to qualify

** Not rated entities were qualified but due to adequate balances in their respective contracts they are not recommended for awards at this time

Proposed Awards

Proposer	Clean Fuels Fund (31)	Carl Moyer (incl. School Bus & VIP) AB 923 Fund (80)	Prop 1B – Goods Movement Fund (81)	AB 1318 Fund (58)	Total
AEE Solutions	\$ 50,000				\$ 50,000
Clean Fuel Connection, Inc.	\$ 50,000	\$175,000	\$235,000	\$50,000	\$510,000
Gladstein, Neandross & Associates	\$100,000		\$ 50,000		\$150,000
Ricardo Solutions	\$ 50,000				\$ 50,000
Total	\$250,000	\$175,000	\$285,000	\$50,000	\$760,000

Recommended Actions

- Four contracts in an amount not to exceed \$250,000 from the Clean Fuels Fund (31):
 - AEE Solutions: \$50,000
 - Clean Fuels Connection, Inc.: \$50,000
 - Gladstein, Neandross & Associates: \$100,000
 - Ricardo Solutions: \$50,000
- Contract with Clean Fuel Connection, Inc. in an amount not to exceed \$175,000 from the Carl Moyer AB 923 Fund (80)

Recommended Actions

- Two contracts in an amount not to exceed \$285,000 from the Prop 1B-Goods Movement Program Fund (81):
 - Clean Fuels Connection, Inc.: \$235,000
 - Gladstein, Neandross & Associates: \$50,000
- Contract with Clean Fuels Connection, Inc. in an amount not to exceed \$50,000 from the AB 1318 Fund (58)

[Go to SLIDES](#)

DRAFT
Technology Committee Agenda #3

BOARD MEETING DATE: June 3, 2016

AGENDA NO.

PROPOSAL: Recognize Revenue and Execute Contract for Development and Demonstration of Ultra-Low Emission Natural Gas Switcher Locomotive 

SYNOPSIS: Emissions from locomotives are projected to increase over the next decade, and development and early commercialization of ultra-low NOx emission locomotive technologies is a critical component for achieving the federal ambient air quality standards. VeRail Technologies, Inc. (VeRail) is currently developing ultra-low emission natural gas locomotives that are 90% cleaner than the current Tier 4 NOx emissions standard. The Ports of Long Beach and Los Angeles, as well as U.S. EPA and Southern California Gas Company, have partnered to fund the development and demonstration of the ultra-low NOx natural gas locomotive with Pacific Harbor Line. This action is to recognize revenues of up to \$1 million from U.S. EPA and Southern California Gas Company and execute a contract with VeRail for the development and demonstration of an ultra-low NOx emission natural gas switcher locomotive in an amount not to exceed \$1 million from the Clean Fuels Fund (31).

COMMITTEE: Technology, May 20, 2016; Recommended for Approval

RECOMMENDED ACTIONS:

1. Recognize, upon receipt, up to \$500,000 each from U.S. EPA and Southern California Gas Company into the Clean Fuels Fund (31) for development and demonstration of an ultra-low emission natural gas switcher locomotive; and
2. Authorize the Chairman to execute a contract with VeRail for development and demonstration of an ultra-low emission natural gas switcher locomotive in an amount not to exceed \$1,000,000 from the Clean Fuels Fund (31).

Wayne Natri
Acting Executive Officer

Background

Despite the last two decades of aggressive efforts to reduce air pollution, the region continues to have some of the worst air quality in the U.S. based on the number of days the National Ambient Air Quality Standards for ozone are exceeded. The region is also designated nonattainment for PM_{2.5} and extreme nonattainment for 8-hr ozone. Diesel locomotives are a significant source of diesel PM and NO_x emissions that contribute to the South Coast Air Basin's air quality problem and adversely impact sensitive receptors near railways and rail yards. This source category is projected to be one of the five largest contributors to NO_x emissions, even as the legacy fleet of older and higher polluting locomotives are retired and replaced with locomotives meeting the most stringent current standard (Tier 4). Significant emission reductions beyond those achieved from the cleanest diesel locomotive technologies are still needed to meet the federal ozone air quality standards. Natural gas-powered locomotive technologies show promise as a cleaner alternative with the added benefit of lower operational (fuel) costs.

VeRail Technologies, Inc., (VeRail) is developing a new generation of railroad locomotives that combine ultra-low NO_x emission natural gas engines with on-board high-storage capacity (5,000 psi) CNG fuel storage tanks. Switcher locomotives using these technologies are comparable to new Tier 4 diesel switcher locomotives in cost, horsepower and refueling interval while achieving 90% lower NO_x and PM emissions. VeRail locomotives use a modular design consisting of three engines that can be upgraded with batteries and fuel cells to achieve future zero emission technologies.

The Ports of Long Beach and Los Angeles (Ports) recently approved funding for VeRail to demonstrate the emissions, reliability, durability, safety, fuel efficiency and operating performance of one ultra-low emission natural gas switcher locomotive at Pacific Harbor Line (PHL). However, additional funding is needed to expedite production of the switcher locomotive, provide CNG refueling infrastructure, and support a two-year development and demonstration program. U.S. EPA and Southern California Gas Company (SoCalGas), both local ports and VeRail are partnering to cosponsor the development and demonstration of the ultra-low NO_x switcher locomotive. The U.S. EPA funding is from the Section 105 Clean Air Technology Initiative (CATI). CATI was established by the U.S. EPA, CARB, San Joaquin Valley Air Pollution Control District and SCAQMD to identify and implement emission reduction projects in San Bernardino and Boyle Heights where residents are disproportionately affected by emissions of diesel exhaust from the goods movement corridors and from diesel activities at the Ports, warehouses and rail yards.

Proposal

The project is intended to advance locomotive engine technologies to achieve NO_x emission levels that are at least 90% lower than current Tier 4 NO_x locomotive emission standard. VeRail will be required to conduct engine and aftertreatment development activities to achieve the ultra-low emissions target and perform substantial

validation and durability testing to confirm the robustness of their design. Once developed, the engine will be tested on an engine dynamometer under the Federal Locomotive Test Procedure for emissions certification. The engine will then be integrated into a locomotive chassis configuration and tested to further support CARB locomotive emissions certification procedure. The program will ultimately conclude after the locomotive has been placed in a typical switcher locomotive operation at the Ports to fully validate its performance, durability and reliability.

The action is to recognize, upon receipt, up to \$500,000 each from U.S. EPA and SoCalGas for a total of up to \$1 million and also authorize the Chairman to execute a contract with VeRail for development and demonstration of an ultra-low emission natural gas switcher locomotive in an amount not to exceed \$1 million.

Sole Source Justification

Section VII.B.2 of the Procurement Policy and Procedure identifies provisions by which sole source awards may be justified. This request for a sole source award is made under provision B.2.d: Other circumstances exist which in the determination of the Executive Officer requires such waiver in the best interest of the SCAQMD. This request for sole source award is made under provision B.2.d(1): Projects involving cost sharing by multiple sponsors, and provision B.2.d(3): Projects involving commitment to multiple project phases. Project partners include SoCalGas, U.S. EPA, Ports of Long Beach and Los Angeles, VeRail and PHL.

Section VIII.B.3 of the Procurement Policy and Procedure identifies four provisions by which sole source awards may be justified when contracts are funded in whole or in part by federal funds. This award is justified under the provision B.3.a: The item is available only from a single source. The VeRail locomotive is designed with multiple natural gas engines using a unique engine control system and three-way catalyst aftertreatment. This locomotive configuration is available only from VeRail Technologies.

Benefits to SCAQMD

The proposed project supports the implementation of advanced alternative fuel technology that could potentially be used to further reduce NOx emissions from locomotives. In addition, the development and successful deployment of these ultra-low emission switcher locomotives will promote their acceptance by railroads and facilitate their deployment at rail yards in the South Coast Air Basin and assist the SCAQMD to attain its clean air goals.

Resource Impacts

The proposed project budget is approximately \$5.1 million, with funding anticipated from the U.S. EPA, SoCalGas, the Ports of Long Beach and Los Angeles, PHL and VeRail. SCAQMD will execute the contract with VeRail upon receipt of funds, up to the amount of the funding received, and will add money to the contract as it becomes

available. Of this \$5.1 million, SCAQMD’s cost-share shall not exceed \$1 million from the Clean Fuels Fund (31), which will be pass-through funds received from the U.S EPA and SoCalGas. The proposed budget for the project is summarized below:

Proposed Project Budget

Funding Source	Funding Amount	% of Project
SoCalGas*	\$500,000	10%
U.S. EPA*	\$500,000	10%
Port of Long Beach	\$300,000	6%
Port of Los Angeles	\$300,000	6%
VeRail	\$3,100,000	60%
PHL (<i>in-kind support</i>)	\$400,000	8%
Total	\$5,100,000	100%

*Funds to be recognized into the Clean Fuels Fund (31)

Sufficient funds are available from the Clean Fuels Program Fund, established as a special revenue fund resulting from the state-mandated Clean Fuels Program. The Clean Fuels Program, under Health and Safety Code Sections 40448.5 and 40512 and Vehicle Code Section 9250.11, establishes mechanisms to collect revenues from mobile sources to support projects to increase the utilization of clean fuels, including the development of the necessary advanced enabling technologies. Funds collected from motor vehicles are restricted, by statute, to be used for projects and program activities related to mobile sources that support the objectives of the Clean Fuels Program

Agenda Item #3

Richard Carlson

Recognize Revenue and Execute Contract
for Development and Demonstration
of Ultra-Low Emission
Natural Gas Switcher Locomotive 

Background

- Locomotives are a significant source of diesel emissions
- Tier 4 locomotive standards are much less stringent than other off-road engine standards
- Switcher locomotive emissions adversely affect nearby sensitive receptors
- Cleaner locomotives are needed to help meet EPA ozone standards
- Aftertreatment technologies needed to attain 90% emission reduction from diesel switcher locomotives are challenging

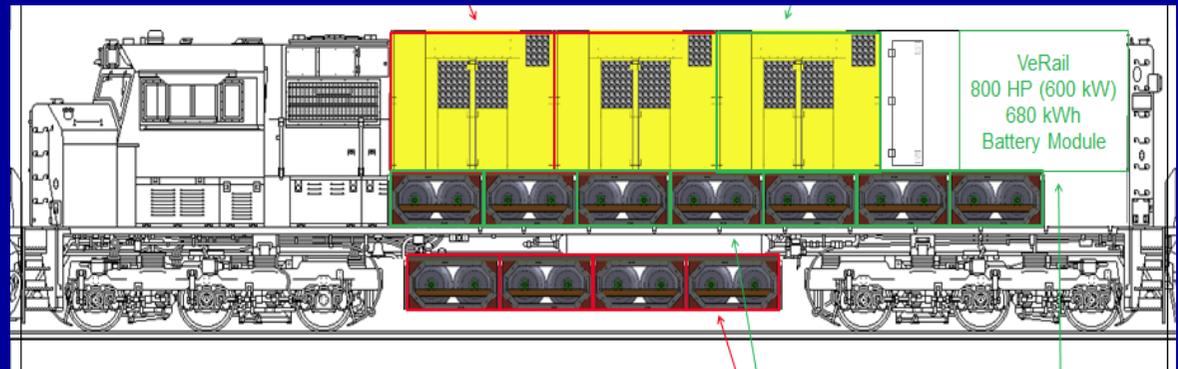


Background

- Natural gas engines can be 90% cleaner than diesel engines
- Line-haul freight and passenger locomotives need more range and power than available with current natural gas technology
- Switcher engines are better suited to natural gas technologies because they have lower power requirements and operate in or from a rail yard with refueling infrastructure
- VeRail Technologies, Inc. (VeRail) is developing a natural gas switcher up to 90% cleaner than Tier 4
- The Ports have selected VeRail for a demonstration at Pacific Harbor Lines, Inc. (PHL)

Technology

- 4 600-hp dedicated Natural Gas engines
- Spark ignition
- Stoichiometric fuel control
- Three-way catalyst
- Multi-engine power controls
- High Pressure CNG tanks (similar range as diesel fuel)
- 2 600 hp Tier 4 Diesel engines for backup and dual fuel testing



Proposal

- Develop natural gas switcher locomotive
- Conduct EPA/CARB emissions certification tests
- Install track-side CNG fueling infrastructure
- Conduct one-year demonstration at the Ports
- Evaluate locomotive in real-world operation
 - Performance
 - Operating cost
 - Reliability
 - Durability

Proposed Project Budget

Funding Source	Amount	% of Project
SoCalGas	\$500,000	10%
U.S. EPA	\$500,000	10%
Port of Long Beach*	\$300,000	6%
Port of Los Angeles*	\$300,000	6%
VeRail	\$3,100,000	60%
PHL (<i>in-kind support</i>)	\$400,000	8%
Total	\$5,100,000	100%

*Funded by the Ports' Technical Advancement Program

Recommended Actions

- Recognize, upon receipt, up to \$500,000 each from the U.S. EPA and Southern California Gas Company into the Clean Fuels Fund (31)
- Execute a contract with VeRail Technologies, Inc. to develop and demonstrate an ultra-low emission natural gas locomotive in an amount not to exceed \$1,000,000 from the Clean Fuels Fund (31)