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

TECHNOLOGY COMMITTEE MEETING

Committee Members
Council Member Joe Buscaino, Chair
Supervisor Sheila Kuehl, Vice Chair
Mayor Pro Tem Larry McCallon
Council Member Judith Mitchell
Council Member Dwight Robinson
Supervisor Janice Rutherford

September 15, 2017 ♦ 12:00 p.m. ♦ Conference Room CC8
21865 Copley Dr., Diamond Bar, CA 91765
638 S. Beacon Street, Suite 552
San Pedro, CA 90731

(The public may attend at the locations 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

CALL TO ORDER

ACTION ITEMS – Items 1 through 7

1. **Execute Contracts to Implement Advanced Building Energy Management Projects (Motion Requested)**

   In November 2016, the CEC released two competitive solicitations to fund efficiency projects using pre-commercial technologies and advanced renewable energy coupled with battery storage. During CEC’s open solicitation process, staff was approached by two firms, Willdan Energy Solutions and Advanced Microgrid Solutions, to utilize the SCAQMD building as a site for their proposed energy projects. CEC subsequently awarded Willdan Energy Solutions $3,994,265 for pre-commercial efficiency projects; and Advanced Microgrid Solutions $2,731,862 for advanced renewable energy with a battery storage project. This action is to execute contracts with Willdan Energy Solutions in an amount not to exceed $2,293,645 from the Infrastructure Improvement Fund (02) and Advanced Microgrid Solutions for a 20-year power efficiency agreement.

   Kelly Trainor Gamino
   AQ Specialist
2. **Recognize and Transfer Funds, Execute and Amend Agreements for Installation and Maintenance of Air Filtration Systems, and Reimburse General Fund for Administrative Costs (Motion Requested)**

U.S. EPA Region 9 and Wal-Mart Transportation, LLC, as well as CARB and Murillo’s Trucking are executing Supplemental Environmental Project (SEP) agreements to install and maintain air filtration systems in the South Coast region with SCAQMD to act as the SEP implementer. There are also unspent TraPac project funds that can be utilized towards replacement filters for schools. These actions are to recognize up to $300,000 from Wal-Mart and $27,000 from Murillo’s Trucking into the Air Filtration Fund (75), transfer the same amount as a temporary loan from the Clean Fuels Fund (31) to the Air Filtration Fund (75), and execute agreements with Wal-Mart and Murillo Trucking. These actions are to also execute contracts with IQAir North America for installation of air filtration systems in amounts not to exceed $285,000 and $25,650 respectively, and reimburse the General Fund for administrative costs up to $16,350 from the Air Filtration Fund (75), as well as to amend a contract with IQAir North America to add $468,838 from the TraPac Air Filtration Fund (52).

3. **Amend Award to Develop and Demonstrate Electric School Buses with Vehicle-to-Grid Capability (Motion Requested)**

In March 2017, the Board approved an award to Blue Bird Body Company, Inc., (Blue Bird) to develop, manufacture and demonstrate electric school buses. Blue Bird had proposed to use a specific technology partner (TransPower) as their component supplier and integrator, but subsequent to Board approval, Blue Bird decided to use a different technology partner for the project. Blue Bird’s component supplier and integrators will now be Efficient Drivetrain, Inc., and Adomani, Inc. DOE has approved this change. This action is to amend the award with Blue Bird noting the change in technology partners, for the development, manufacture and demonstration of electric school buses with vehicle-to-grid capability.

4. **Execute Contract to Assess Air Quality and Greenhouse Gas Impacts of Microgrid-Based Electricity System (Motion Requested)**

California has set a goal of installing 12,000 megawatts of distributed generation in the state by 2020 to reduce criteria pollutant and greenhouse gas emissions from the electricity and transportation sectors. Microgrids allow local management of energy resources and loads, which will more easily allow electrification of transportation. The University of California Irvine (UCI) through its Advanced Power and Energy Program proposes to perform three projects to evaluate air quality and greenhouse gas impacts. These projects will focus on potential fuel cell technology applications for industrial operations and petroleum refineries, assess impacts of renewable hydrogen blending in existing natural gas infrastructure and equipment, and compare economic
performance of a fuel cell and battery-electric bus operating in a microgrid. This action is to execute a contract with UCI in an amount not to exceed $660,000 from the Clean Fuels Fund (31).

5. **Issue Program Announcement for School Bus Replacements (Motion Requested)**

Since 2001, the SCAQMD has replaced over 1,600 pre-1994 publicly owned school buses and retrofitted nearly 3,400 school buses. The Carl Moyer AB 923 funds can be utilized for replacement and retrofit of school buses. This action is to issue a Program Announcement to replace pre-1994 school buses owned by public school districts with new alternative fuel buses.

6. **Recognize Revenue, Execute Contracts for Electric Yard Tractor Replacements, Transfer Funds, Reimburse General Fund for Administrative Costs, and Issue Program Announcement for Commercial Lawn and Garden Equipment Exchange Program (Motion Requested)**

In March 2017, SCAQMD was awarded $4,954,500 from U.S. EPA’s 2016 Targeted Air Shed Program for electric yard tractor replacements and a Commercial Electric Lawn and Garden Equipment Exchange Program. This action is to recognize revenue up to $4,954,500 from U.S. EPA for these two projects and issue a Program Announcement to solicit proposals from manufacturers or suppliers for replacement of older commercial lawn and garden equipment with zero emission, battery-electric commercial grade equipment. This action is also to recognize up to $312,500 and $187,500 from the Port of Los Angeles and Port of Long Beach, respectively, into the Advanced Technology, Outreach and Education Fund (17), transfer $500,000 as a temporary loan and $442,750 for SCAQMD’s cost share from the Clean Fuels Program Fund (31) into the Advanced Technology, Outreach and Education Fund (17), and execute contracts for electric yard tractor replacements in an amount not to exceed $3,360,000 from the Advanced Technology, Outreach and Education Fund (17). Finally, this action will also reimburse the General Fund for administrative costs up to $60,000 for the electric yard tractor replacements project.

7. **Issue, and If Necessary Re-Issue, Program Announcement for the Replacement of Heavy-Duty Diesel Trucks and Authorize Execution of Contracts Under Proposition 1B-Goods Movement Program (Motion Requested)**

Under the fifth year and final funding cycle of the Proposition 1B-Goods Movement Program, the SCAQMD has twice issued program announcements for the replacement of heavy-duty diesel trucks and transport refrigeration units with zero and near-zero emission technologies. Although the Program was initially oversubscribed, due to the commercial unavailability of some technologies, various award recipients have decided or may decide not to move forward with their
project based on their evolving business needs. As a result, there are available funds that need to be committed. CARB has agreed that air districts solicit projects for heavy-duty trucks for the undersubscribed amount and execute contracts until funds are exhausted. This action is to issue, and if necessary re-issue, a Program Announcement for the replacement of heavy-duty diesel trucks and authorize the Chairman to execute contracts for eligible projects approved by CARB, until any returned and remaining funds under the “Year 5” grant of the Proposition 1B-Goods Movement Program Fund (81) are exhausted.

OTHER MATTERS
8. 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. (Gov’t. Code Section 54954.2)

9. Public Comment Period
Members of the public may address this body concerning any agenda item before or during consideration of that item (Gov’t. Code Section 54954.3(a)). 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 the Committee’s authority. Speakers may be limited to three (3) minutes each.

10. Next Meeting Date – Friday, October 20, 2017 at 12:00 pm

ADJOURNMENT

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 (Gov’t. Code Section 54954.2(a)). Disability-related accommodations will also be made available to allow participation in the Stationary Source 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 7:30 a.m. to 6:00 p.m., Tuesday through Friday, or send the request to pkrayser@aqmd.gov.

Document Availability
All documents (i) constituting non-exempt public records, (ii) relating to an item on an agenda for a regular meeting, and (iii) having been distributed to at least a majority of the Committee after the agenda is posted, are available prior to the meeting for public review at the South Coast Air
Quality Management District, Public Information Center, 21865 Copley Drive, Diamond Bar, CA 91765.
BOARD MEETING DATE: October 6, 2017

PROPOSAL: Execute Contracts to Implement Advanced Building Energy Management Projects

SYNOPSIS: In November 2016, the CEC released two competitive solicitations to fund efficiency projects using pre-commercial technologies and advanced renewable energy coupled with battery storage. During CEC’s open solicitation process, staff was approached by two firms, Willdan Energy Solutions and Advanced Microgrid Solutions, to utilize the SCAQMD building as a site for their proposed energy projects. CEC subsequently awarded Willdan Energy Solutions $3,994,265 for pre-commercial efficiency projects; and Advanced Microgrid Solutions $2,731,862 for advanced renewable energy with a battery storage project. This action is to execute contracts with Willdan Energy Solutions in an amount not to exceed $2,293,645 using the Infrastructure Improvement Fund (02) and Advanced Microgrid Solutions for a 20-year power efficiency agreement.

COMMITTEE: Technology, September 15, 2017; Recommended for Approval

RECOMMENDED ACTION:
Authorize the Chairman to execute sole source contracts with the following contractors:
1. Willdan Energy Solutions, a subsidiary of Willdan Group, Inc., in an amount not to exceed $2,293,645 using the Infrastructure Improvement Fund (2); and
2. Advanced Microgrid Solutions for a 20-year power efficiency agreement for the implementation of additional solar and battery storage at a cost not to exceed 75 percent of the savings from the annual reduction in utilities expense from District General Fiscal Years 2017-18 through FY 2037-38 Budgets, Services and Supplies Major Object, Utilities Account.

Wayne Nastri
Executive Officer
Background
In November 2016, the CEC released two competitive solicitations. The Emerging Energy Efficient Technology Demonstrations (EEETD) solicitation requires projects to demonstrate at least 20 percent energy efficiency improvement through the use of pre-commercial technologies on existing buildings within four funding categories: Government, Colleges/Schools, Privately Owned Buildings, and Military. The second solicitation entitled “Solar+: Taking the Next Steps to Enable Solar as a Distribution Asset” (Solar+) requires projects to explore pathways to reduce the environmental, public health, and air quality impacts of electricity generation, distribution and storage, as well as improve overall resiliency of the electrical grid infrastructure.

Staff was approached by two firms proposing to use SCAQMD’s headquarters building as the demonstration site for the above-mentioned solicitations.

1) Willdan Energy Solutions proposed to use SCAQMD’s headquarters as a demonstration site for the EEETD solicitation to implement several pre-commercial technologies to reduce energy use over 20 percent and provide capability to participate in utility-driven demand response events. Staff previously worked with Willdan in 2012. They reviewed the building’s systems and energy usage patterns, developed an energy model for the building, and provided recommendations to improve energy efficiency of the building through a Southern California Edison (SCE) funded program.

2) Advanced Microgrid Solutions (AMS) proposes to utilize SCAQMD’s headquarters as a demonstration site for the Solar+ solicitation to expand the current solar generation to include the latest photovoltaics, smart inverters, energy storage technologies, and advanced energy forecasting.

In March 2017, both firms were awarded CEC funding for their proposals. Willdan received an award in the amount of $3,994,265 and AMS received an award in the amount of $2,731,862. In June 2017, the AMS project was also notified by the California Public Utilities Commission’s (CPUC) Self-Generation Incentive Program (SGIP) that SCAQMD will be awarded an additional $600,000 towards the Solar+ project. Once received, the SGIP funds will be paid to AMS to help cover the construction costs of the project. The proposed technologies from Willdan and AMS are shown in Table 1.

SCAQMD’s headquarters was opened in 1993 and has not been updated to incorporate the latest energy-efficient technologies or onsite power management systems that include renewable energy generation, battery storage, and the building’s energy usage profiles. Additionally, when SCAQMD’s headquarters building was designed, the electrical utility rate structures did not include time-of-use demand charges that now constitute the largest portion of SCAQMD’s electrical utility bills. Improving the
SCAQMD’s headquarters building efficiency, adding additional onsite solar generation, and improved energy load shifting through battery storage and energy management will significantly lower SCAQMD’s electricity costs, while also reducing emissions associated with power generation.

**Proposal**

*Willdan Pre-Commercial Efficiency Project*

This project implements pre-commercial technologies for commercial buildings and will demonstrate efficiency solutions for buildings with critical environments, such as laboratories. The projects include: (1) Replacing the SCAQMD building chillers with high-efficiency low global warming potential refrigerant chillers; (2) Improving SCAQMD’s lighting with LED fixtures and innovative controls with off-grid exterior parking lot LED lighting, direct current (DC) LED lighting for the laboratory, and implement advanced zone-level building management system (BMS) controls; (3) replace the laboratory’s constant flow fume hoods with advanced variable flow laboratory exhaust systems; and (4) develop a demand response platform for SCAQMD.

*AMS Advanced Renewable Energy with Battery Storage*

This project will demonstrate an aggregated system composed of a PV smart inverter, a bi-directional storage inverter, behind-the-meter solar and storage, and an aggregator platform. The project will replace many of the older solar panels at the SCAQMD building along with adding new onsite solar panels, install a 750 kW battery storage system, and provide an uninterruptible power supply to protect sensitive equipment in the event of laboratory power outages or spikes.

**Table 1. Advanced Building Energy Management Project Technologies for SCAQMD Headquarters**

<table>
<thead>
<tr>
<th>Company</th>
<th>Project</th>
<th>Technology</th>
</tr>
</thead>
<tbody>
<tr>
<td>Willdan</td>
<td>Pre-Commercial Efficiency</td>
<td>Low GWP Refrigerant Variable Speed Chillers</td>
</tr>
<tr>
<td></td>
<td></td>
<td>LED Interior Lighting with Integrated Controls</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Laboratory DC Lighting</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Low-Pressure-Drop Fume Hood Air Valves and Controls</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Advanced Lighting Controls with Demand Response Capability</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Building Management System with Plug Load Integration</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Off-Grid Exterior Lighting Poles</td>
</tr>
<tr>
<td>AMS</td>
<td>Advanced Renewable Energy with</td>
<td>500 kW High-Efficiency Solar Panels</td>
</tr>
<tr>
<td></td>
<td>Battery Storage</td>
<td>750 kW Lithium Ion Battery Racks</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(3) 250 kW Bi-Directional Inverters</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Energy Storage Controller</td>
</tr>
</tbody>
</table>
Sole Source Justification
Sections VIII.B.2 of the Procurement Policy identifies provisions under which sole source awards may be justified. This request for a sole source award is made under provisions B.2c: (1) The unique experience and capabilities of the proposed contractor and contract team and (2) The contractor has ownership of key assets required for project performance. The EEETD project being implemented by Willdan uses a comprehensive building energy model and proprietary efficiency technologies. Additionally, the Willdan project was competitively awarded by the CEC under GFO-16-304–Emerging Energy Efficient Technology Demonstrations and staff is proposing to cost-share the project with the CEC. The solar, storage and advanced inverter project being implemented by AMS uses energy forecast and control programs that are proprietary to AMS along with bi-directional inverters that enable the solar and storage system to provide power to sensitive equipment to the laboratory along with reducing demand charges. Additionally, the AMS project was competitively awarded by the CEC under GFO-16-309–“Solar +: Taking the Next Steps to Enable Solar as a Distribution Asset” and a subsequent SGIP award by the CPUC.

Benefits to SCAQMD
The project outlined above will update the building with the latest technologies to reduce energy demand, increase renewable energy generation through high-efficiency solar PV, and implement energy peak shaving, serving as a benefit to SCAQMD financially and also reducing reliance on the electricity grid while reducing power plant emissions. The current electricity usage and cost for the building is approximately 6.7 MWh and over $900,000 annually. Energy savings achieved through implementation of these projects should improve the efficiency of the building by over 20 percent with annual electricity cost savings over $350,000 for the building, which does not include the development of demand response capabilities. Cost savings will recover SCAQMD’s out-of-pocket expenditures in less than eight years. Furthermore, the projects will help accelerate commercialization of the various technologies and increase public awareness of opportunities for increased efficiency and air quality benefits in existing buildings.

Resource Impacts
The total project cost for the Willdan Pre-Commercial Efficiency project is $6,376,481 with an SCAQMD cost-share not to exceed $2,293,645 from the Infrastructure Improvement Fund (02). Other leveraged funds include $88,580 toward equipment from technology manufacturers, including Trane US, Inc., and Aris Renewable Energy.

The AMS Advanced Renewable Energy with Battery Storage project is a 20-year power efficiency agreement which is estimated to generate $182,447 annual utility bill savings, of which AMS will receive 75 percent of shared savings with the remaining 25 percent to SCAQMD annually. Other leveraged funds include $600,000 from the CPUC’s Self Generation Incentive Program. Fifty percent of the $600,000 will be received upon
installation of the solar system and the remaining 50 percent will be received over a five-year period upon meeting required performance standards. The SGIP funds will be recognized and budget appropriated (for payment to AMS) as part of the budget process in the appropriate fiscal years.

Details on project costs and funding are below:

**Table 2. Budget Summary Table for Advanced Building Energy Management Projects**

<table>
<thead>
<tr>
<th>Company</th>
<th>Project</th>
<th>CEC Awarded</th>
<th>SCAQMD Cost-Share</th>
<th>Other Leveraged Funds</th>
</tr>
</thead>
<tbody>
<tr>
<td>Willdan</td>
<td>Pre-Commercial Efficiency</td>
<td>$3,994,256</td>
<td>$2,293,645</td>
<td>$88,580</td>
</tr>
<tr>
<td>AMS</td>
<td>Advanced Renewable Energy with Battery Storage</td>
<td>$2,731,862</td>
<td>$137,000 annually*</td>
<td>$600,000</td>
</tr>
</tbody>
</table>

*$182,000 estimated total annual utility savings with approximately $46,000 to SCAQMD
Execute Contracts to Implement Advanced Building Energy Management Projects

Kelly Trainor Gamino

Agenda Item #1
Background

- SCAQMD headquarters in Diamond Bar opened in 1993
- Building has not been updated to include latest energy-efficiency technologies
- Utility demand charges were not in place when building originally opened, which significantly increase electricity costs

[Chart showing 2016 Electricity Cost ($) with bars for each month from Jan to Dec, with Jan and Dec having the lowest costs and Aug having the highest cost of approximately $140,000.]
In November 2016, CEC released two competitive solicitations to fund building energy efficient projects.

Two firms proposed to use SCAQMD’s headquarters as a demonstration site:

- **Willdan Energy Solutions** for Emerging Energy Efficient Technology Demonstrations (EEETD)
- **Advanced Microgrid Solutions (AMS)** for “Solar +: Taking the Next Steps to Enable Solar as a Distribution Asset” (Solar +)
Proposal

The two projects will demonstrate innovative combinations of:

- Pre-commercial energy efficiency technology, and
- Advanced battery storage and solar

<table>
<thead>
<tr>
<th>Company</th>
<th>Project</th>
<th>Technology</th>
</tr>
</thead>
<tbody>
<tr>
<td>Willdan</td>
<td>Pre-Commercial Efficiency</td>
<td>Low GWP Refrigerant Variable Speed Chillers</td>
</tr>
<tr>
<td></td>
<td></td>
<td>LED Interior Lighting with Integrated Controls</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Laboratory Space DC Lighting</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Low-Pressure-Drop Fume Hood Air Valves and Controls</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Advanced Lighting Controls with Demand Response Capability</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Building Management System with Plug Load Integration</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Off-Grid Exterior Lighting Poles</td>
</tr>
<tr>
<td>AMS</td>
<td>Advanced Renewable Energy with Battery Storage</td>
<td>High-efficiency Solar Panels</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Lithium Ion Battery Racks</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(3) 250 kW Bi-Directional Inverters</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Energy Storage Controller</td>
</tr>
</tbody>
</table>
Proposal (cont’d)

- Willdan’s project will provide:
  - Over 20% efficiency improvement including building management system
  - Replacement of many SCAQMD facility systems
  - Cost savings of $290,000 annually with payback in less than 8 years

- AMS’s project will provide:
  - Increased on-site renewable solar energy production
  - Electricity peak shaving and load shifting to avoid demand charges
  - Emergency back up for critical laboratory load
  - Demand response capability
## Proposed Project Budget

<table>
<thead>
<tr>
<th>Company</th>
<th>Project</th>
<th>CEC Grant Funds</th>
<th>SCAQMD Cost-Share</th>
<th>Match Funds</th>
</tr>
</thead>
<tbody>
<tr>
<td>Willdan</td>
<td>Pre-Commercial Efficiency</td>
<td>$3,994,256</td>
<td>$2,293,645</td>
<td>$88,580</td>
</tr>
<tr>
<td>AMS</td>
<td>Advanced Renewable Energy with Battery Storage</td>
<td>$2,731,862</td>
<td>*</td>
<td>$600,000</td>
</tr>
</tbody>
</table>

* 20-year power efficiency agreement, which is estimated to generate $183,000 annual utility bill savings, of which AMS will receive $137,000 or 75% of shared savings with the remaining $46,000 or 25% to SCAQMD annually.
Recommended Action

Authorize the Chairman to execute sole source contracts with the following contractors:

- Willdan in an amount not to exceed $2,293,645 from the Infrastructure Improvement Fund (02); and
- AMS for a 20-year power efficiency agreement at a cost not to exceed 75% of the shared savings from the annual reduction in utilities expense from District General Fund (01).
BOARD MEETING DATE:  October 6, 2017

AGENDA NO.  x

PROPOSAL: Recognize and Transfer Funds, Execute and Amend Agreements for Installation and Maintenance of Air Filtration Systems, and Reimburse General Fund for Administrative Costs

SYNOPSIS: U.S. EPA Region 9 and Wal-Mart Transportation, LLC, as well as CARB and Murillo’s Trucking are executing Supplemental Environmental Project (SEP) agreements to install and maintain air filtration systems in the South Coast region with SCAQMD to act as the SEP implementer. There are also unspent TraPac project funds that can be utilized towards replacement filters for schools. These actions are to recognize up to $300,000 from Wal-Mart and $27,000 from Murillo’s Trucking into the Air Filtration Fund (75), transfer the same amount as a temporary loan from the Clean Fuels Fund (31) to the Air Filtration Fund (75), and execute agreements with Wal-Mart and Murillo Trucking. These actions are to also execute contracts with IQAir North America for installation of air filtration systems in amounts not to exceed $285,000 and $25,650 respectively, and reimburse the General Fund for administrative costs up to $16,350 from the Air Filtration Fund (75), as well as to amend a contract with IQAir North America to add $468,838 from the TraPac Air Filtration Fund (52).

COMMITTEE: Technology, September 15, 2017; Recommended for Approval

RECOMMENDED ACTIONS:
1. Recognize, upon receipt, up to $300,000 from Wal-Mart Transportation, LLC, into the Air Filtration Fund (75).
2. Recognize, upon receipt, up to $27,000 from Murillo’s Trucking into the Air Filtration Fund (75).
3. Transfer up to $327,000 as a temporary loan from the Clean Fuels Fund (31) into the Air Filtration Fund (75).
4. Authorize the Executive Officer to execute agreements with the following:
   a. Wal-Mart Transportation, LLC, for SCAQMD to act as the SEP Implementer for installation and maintenance of air filtration systems; and
b. Murillo’s Trucking for SCAQMD to act as the SEP Implementer for installation and maintenance of air filtration systems.

5. Authorize the Chairman to execute contracts with IQAir North America for installation and maintenance of air filtration systems at one or more schools in an amount not to exceed $285,000 and $25,650, respectively, from the Air Filtration Fund (75).

6. Authorize the Chairman to amend a contract with IQAir North America for installation and maintenance of air filtration systems to add $468,838 for a total contract award of $5,868,838 from the TraPac Air Filtration Fund (52).

7. Reimburse the General Fund from the Air Filtration Fund (75) for administrative costs up to $16,350, as needed, to implement the air filtration project.

Wayne Nasti
Executive Officer

Background
Wal-Mart and Murillo’s Trucking Supplemental Environmental Projects
U.S. EPA Region 9 and Wal-Mart Transportation, LLC, as well as CARB and Murillo’s Trucking are executing Supplemental Environmental Project (SEP) agreements to install and maintain air filtration systems at one or more schools in Environmental Justice communities. All parties have requested SCAQMD act as the SEP Implementer for these projects, which must be completed by September 2019.

IQAir North America was previously selected through two separate competitive bid processes in 2011 and 2013 for air filtration projects, and last year staff performed a technology status check to ensure no new technologies had come on the market. Furthermore, IQAir was the only qualified manufacturer of high performance filters and stand-alone units to meet the performance standards in SCAQMD’s 2009 air filtration pilot study as well as through a national testing opportunity conducted by the University of California Riverside CE-CERT at Sunnyslope Elementary School in 2010. To date, through its contractor IQAir, SCAQMD has installed air filtration systems at 71 schools and community centers. Performance standards from SCAQMD’s air filtration pilot study include an average removal efficiency of at least 85 percent for ultrafine PM and black carbon, no pressure drop for panel filters, no ozone generation and a noise level below 45 decibels for stand-alone units.

TraPac Air Filtration Program
As part of a settlement to mitigate impacts from the TraPac Container Terminal Project, the Port of Los Angeles (City of Los Angeles) set aside $6 million towards the
installation and maintenance of air filtration systems in Wilmington and San Pedro area schools. Based on SCAQMD’s prior experience in conducting a pilot study and implementation program for air filtration systems in schools, the City of Los Angeles and the TraPac Appellants asked SCAQMD to administer an air filtration program. Thirty nine schools in Wilmington and San Pedro have received air filtration systems and replacement filters under this program.

Proposal

*Wal-Mart and Murillo’s Trucking SEPs*

Staff from the U.S. EPA Region 9 and CARB have requested that selected schools receiving air filtration systems be in Environmental Justice communities or other areas disproportionately impacted by diesel PM and project completion must occur by September 2019. Staff will execute new Memorandum of Agreements (MOAs) with the identified school districts and utilize an existing MOA with the Los Angeles Unified School District, providing access to any schools in these communities.

The proposed schedule for installation and maintenance of air filtration systems in one or more schools in Environmental Justice communities is as follows:

<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>October 2017</td>
<td>Board Approval</td>
</tr>
<tr>
<td>October 2017</td>
<td>Anticipated Contract Award</td>
</tr>
<tr>
<td>October - November 2017</td>
<td>Selection of School(s), Site Assessments</td>
</tr>
<tr>
<td>November 2017 – February 2018</td>
<td>Installation</td>
</tr>
<tr>
<td>February 2018</td>
<td>Final Report</td>
</tr>
</tbody>
</table>

These actions are to recognize up to $300,000 from Wal-Mart and $27,000 from Murillo’s Trucking into the Air Filtration Fund (75), transfer the same amount as a temporary loan from the Clean Fuels Fund (31) to the Air Filtration Fund (75), and execute agreements with Wal-Mart and Murillo’s Trucking for SCAQMD to act as the SEP Implementer for installation and maintenance of air filtration systems.

Finally, these actions are to also execute contracts with IQAir North America for installation and maintenance of air filtration systems in an amount not to exceed $285,000 and $25,650, respectively, and reimburse the General Fund for administrative costs up to $16,350 from the Air Filtration Fund (75).

*TraPac Air Filtration Program*

Staff recommends utilizing $468,838 of available TraPac administrative funds for additional filter replacement and maintenance beyond May 2020. This includes approximately $468,838 in unspent administrative fees allocated towards staff time to administer the TraPac air filtration program. An additional recommended action is to amend the contract with IQAir North America for air filtration systems in schools to add
$468,838 for a total contract amount not to exceed $5,868,838 from the TraPac Air Filtration Fund (52).

**Sole Source Justification**
Section VIII. B. 2 of the Procurement Policy and Procedure identifies four major provisions under which a sole source award may be justified. This request for a sole source award is made under provision B.2.c(1): The desired services are available from only the sole-source based upon the unique experience and capabilities of the proposed contractor or contractor team. IQAir is the only manufacturer of high performance panel filters and stand-alone units identified by SCAQMD and CARB Research Division staff that meet the performance standards in SCAQMD’s 2009 air filtration pilot study. Staff has also consulted with CARB Research Division staff to confirm that no new manufacturers of air filtration technologies that meet or exceed the performance standards in the pilot study have been identified since the last RFP process in 2013.

**Benefits to SCAQMD**
This project will reduce children’s exposure to criteria and toxic pollutants and ultrafine PM. Health studies have determined that fine and ultrafine PM, including diesel PM, present the greatest air pollution health risk to sensitive receptors in Environmental Justice communities in Southern California.

**Resource Impacts**
Upon receipt, up to $327,000 from SEP revenue will be recognized into the Air Filtration Fund (75). Until receipt, up to $327,000 from the Clean Fuels Fund (31) will be used as a temporary loan. Of the $327,000 SEP revenue, the contracts with IQAir North America to install and maintain air filtration systems will not exceed $285,000 and $25,650, respectively, and reimbursement of administrative costs will not exceed $16,350 for the Wal-Mart and Murillo’s Trucking SEPs.

Six million dollars in revenue from the City of Los Angeles was previously recognized into the TraPac Air Filtration Fund (52) through a December 2009 Board action. The contract amendment with IQAir North America to install and maintain air filtration systems will not exceed $5,868,838 million.
Agenda Item #2

Patricia Kwon

Recognize and Transfer Funds, Execute and Amend Agreements for Installation and Maintenance of Air Filtration Systems, and Reimburse General Fund for Administrative Costs
Background - SEPs

- U.S. EPA Region 9 and Wal-Mart Transportation, LLC, are executing Supplemental Environmental Project (SEP) to install air filtration systems at schools - $300,000
- CARB and Murillo’s Trucking also executing SEP - $27,000
- SCAQMD as SEP implementer
  - Previous project experience
TraPac Container Terminal settlement agreement

- Installed air filtration systems, provided replacement filters at 39 schools
- Installations completed 2012-2015
- Project provided filters until May 2020
- Of $6 million settlement funds, $468,838 remains available
Background

- SCAQMD selected IQAir as air filtration contractor
  - Two prior competitive bid processes
  - National testing opportunity
  - Worked with CARB to conduct recent technology review

- SCAQMD/CARB staff not aware of another technology meeting performance standards of pilot study
Air Filtration Technologies

- High performance panel filters + stand alone units
- 90% average removal efficiency ultrafine PM, black carbon
- Noise level below 45 dB(A) for stand-alone units (no interference with classroom learning)
Proposal - SEPs

- SCAQMD as SEP implementer – MOAs with
  - Wal-Mart Transportation, LLC
  - Murillo’s Trucking
- Identify school(s) – in EJ or other disproportionately impacted areas
- Work with contractor
  - Installation
  - Operational/maintenance needs, including replacement filters
Proposal - TraPac

- Utilize unspent project funds allocated for administrative costs for additional filter replacements
- Replacement filters to be provided until May 2022
- IQAir will continue to monitor air filtration systems
<table>
<thead>
<tr>
<th>Date</th>
<th>Task</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sept 2017</td>
<td>Board approval</td>
</tr>
<tr>
<td>Sept 2017</td>
<td>Anticipated contract awards</td>
</tr>
<tr>
<td>Sept–Oct 2017</td>
<td>School selection, site assessments</td>
</tr>
<tr>
<td>Oct 2017–Feb 2018</td>
<td>Installation</td>
</tr>
<tr>
<td>Feb 2018</td>
<td>Final report</td>
</tr>
</tbody>
</table>
Recommended Actions

• Recognize, upon receipt, up to $300,000 from Wal-Mart and up to $27,000 from Murillo’s Trucking into Air Filtration Fund (75)

• Transfer up to $327,000 as temporary loan from Clean Fuels Fund (31) into Air Filtration Fund (75)

• Authorize Executive Officer to execute agreements with Wal-Mart and Murillo’s Trucking for SCAQMD to act as SEP implementer to install and maintain air filtration systems
Recommended Actions (cont’d)

- Execute contracts with IQAir for installation and maintenance of air filtration systems in amounts not to exceed $285,000 and $25,650, respectively, from Air Filtration Fund (75)

- Amend contract with IQAir to add $468,838 for a total contract award of $5,868,838 from TraPac Air Filtration Fund (52)

- Reimburse the General Fund from the Air Filtration Fund (75) for administrative costs up to $16,350, as needed, to implement the air filtration project
PROPOSAL: Amend Award to Develop and Demonstrate Electric School Buses with Vehicle-to-Grid Capability

SYNOPSIS: In March 2017, the Board approved an award to Blue Bird Body Company, Inc., (Blue Bird) to develop, manufacture and demonstrate electric school buses. Blue Bird had proposed to use a specific technology partner (TransPower) as their component supplier and integrator, but subsequent to Board approval, Blue Bird decided to use a different technology partner for the project. Blue Bird’s component supplier and integrators will now be Efficient Drivetrain, Inc., and Adomani, Inc. DOE has approved this change. This action is to amend the award with Blue Bird noting the change in technology partners, for the development, manufacture and demonstration of electric school buses with vehicle-to-grid capability.

COMMITTEE: Technology, September 15, 2017; Recommended for Approval

RECOMMENDED ACTION:
Amend award to Blue Bird Body Company, Inc., noting the change in technology partners, for the development, manufacture and demonstration of electric school buses with vehicle-to-grid capability.

Wayne Nastri
Executive Officer

Background
On March 3, 2017, the Board approved awarding a contract to Blue Bird Body Company, Inc., (Blue Bird) for the development, manufacture and demonstration of electric school buses. The Board letter identified TransPower as Blue Bird’s component supplier and vehicle integrator. Subsequently, in July 2017, Blue Bird notified SCAQMD that they had decided to change their component supplier and vehicle integrator. The DOE, which had awarded Blue Bird $4,902,237 to develop,
manufacture and demonstrate eight electric school buses with vehicle-to-grid (V2G) capabilities within the Rialto Unified School District (Rialto USD), has approved Blue Bird’s change for new partners.

Proposal
For this project, Blue Bird proposes to change its component supplier and vehicle integrator to Efficient Drivetrain, Inc., (EDI) and Adomani, Inc. The change in technology partners will not affect the scope of the project. Eight production buses manufactured by Blue Bird, upon receipt of certification from the California Highway Patrol, will be placed into service with Rialto USD. The final task will be development of a Market Transformation Plan describing how Blue Bird, with the assistance of its team members, will commercialize electric school buses using the demonstrated drive system.

Sole Source Justification
Section VIII.B.2. of the Procurement Policy and Procedure identifies provisions under which a sole source award may be justified when funded in whole or in part with federal funds. The request for a sole source award for this project is made under the provision B.3.c: The awarding federal agency authorizes noncompetitive proposals. Blue Bird and their partners have been approved by DOE for this electric school bus with V2G capability demonstration project and have extensive knowledge and experience in advanced electric vehicle technologies that are needed to successfully complete this project. This demonstration project will be cost-shared by BAAQMD, Rialto USD, Blue Bird and partners as outlined in the Resource Impacts section.

Resource Impacts
The total cost for this proposed project remains $9,804,529, with cash contributions comprised of $4,902,238 from DOE, $320,000 from Rialto USD and up to $1,900,000 from SCAQMD’s Lower-Emission School Bus Fund (33). Cost-share anticipated from TransPower will now be provided by Blue Bird and other partners.
Agenda Item #3

Joseph Impullitti

Amend Award to Develop and Demonstrate Electric School Buses with Vehicle-to-Grid Capability
Background

- DOE awarded Blue Bird Body Company (Blue Bird) $4.9M for development of electric school buses with vehicle-to-grid (V2G) capability and demonstration of eight electric school buses in Rialto USD
- In March 2017 the Board approved $1.9M to cost-share the Blue Bird project
- The Board letter identified TransPower as Blue Bird’s component supplier and vehicle integrator
- In July 2017, Blue Bird notified SCAQMD that they had decided to change their component supplier and vehicle integrator
Proposal

- New component supplier and vehicle integrators will be Efficient Drivetrain, Inc., (EDI) and Adomani, Inc
- Change in partners will not affect the scope of the project
- Eight production buses manufactured by Blue Bird will be placed into service with Rialto USD
Resource Impacts

- Cost-share anticipated from TransPower will now be provided by Blue Bird, BAAQMD, Rialto USD and other partners.
- SCAQMD’s funding of $1,900,000 from Lower-Emission School Bus Fund (33), as well as project schedule, remain the same.
Recommended Action

Amend award to Blue Bird Body Company, Inc., noting the change in technology partners, for the development, manufacture and demonstration of electric school buses with vehicle-to-grid capability.
PROPOSAL: Execute Contract to Assess Air Quality and Greenhouse Gas Impacts of Microgrid-Based Electricity System

SYNOPSIS: California has set a goal of installing 12,000 megawatts of distributed generation in the state by 2020 to reduce criteria pollutant and greenhouse gas emissions from the electricity and transportation sectors. Microgrids allow local management of energy resources and loads, which will more easily allow electrification of transportation. The University of California Irvine (UCI) through its Advanced Power and Energy Program proposes to perform three projects to evaluate air quality and greenhouse gas impacts. These projects will focus on potential fuel cell technology applications for industrial operations and petroleum refineries, assess impacts of renewable hydrogen blending in existing natural gas infrastructure and equipment, and compare economic performance of a fuel cell and battery-electric bus operating in a microgrid. This action is to execute a contract with UCI in an amount not to exceed $660,000 from the Clean Fuels Fund (31).

COMMITTEE: Technology, September 15, 2017; Recommended for Approval

RECOMMENDED ACTION:
Authorize the Chairman to execute a contract with UCI for the assessment of air quality and greenhouse gas impacts of a microgrid-based electricity system in an amount not to exceed $660,000 from the Clean Fuels Fund (31).

Wayne Nastri
Executive Officer

Background
The development of microgrids is gaining attention as a means of increasing the resilience and reliability of the electricity system, reducing criteria pollutant and greenhouse gas (GHG) emissions from the electricity and transportation sectors, and
increasing the deployment of renewable power generation resources in serving electric load demand. The provision of electric service through microgrids has a number of potential advantages, including but not limited to:

- Reducing transmission losses and the need for transmission capacity and additional transmission lines to connect external generation;
- Taking advantage of co-/poly-generation methods such as combined heat and power or distributed heating and cooling;
- Allowing usage of otherwise stranded assets such as biogas and biomass; and
- Maintaining electric service in the event of an external grid outage.

As microgrids become more prevalent, capacity for electricity generation which was previously outside the South Coast Air Basin (Basin) will be retired and replaced with new capacity inside of the Basin. The potential of microgrids to substantially reduce criteria pollutant emissions depends entirely on their design.

The University of California Irvine (UCI) Advanced Power and Energy Program (APEP) has developed expertise in research involving electric grid modeling at the macro- and micro-grid scales and characterizing the technical, economic, and environmental performance sensitivities of these systems. This expertise was developed through several major research projects funded by DOE, California Energy Commission (CEC), and Southern California Gas (SoCalGas). UCI APEP has a Generic Microgrid Controller (GMC) to manage efficient, reliable, and resilient operation of the microgrid. APEP is also applying the GMC to a Southern California Edison state-of-the-art substation in order to explore the applicability of microgrid control to primary circuits of the utility. The proposed project will be linked with those related programs to explore microgrid design features that facilitate zero emissions of both criteria pollutants and GHGs in stationary and mobile uses.

**Proposal**

This action is to execute a contract with UCI to assess criteria pollutant and GHG impacts of a microgrid-based electricity system by evaluating, respectively: fuel cell technology for industrial applications, emission impacts of renewable fuel blending in the natural gas system, and environmental and economic advantages of a fuel cell and battery-electric bus operating under a microgrid. Matching funding will be provided by UCI, DOE, CEC, SoCalGas, UCI, and National Science Foundation (NSF).

**Fuel Cell Technology for Industrial and Petroleum Refinery Microgrids**

This project proposes an assessment of emission reductions achievable from fuel cell technology deployment at industrial sites in the Basin, with a focus on petroleum refining activities. Additionally, fuel cells within commercial microgrids will be considered with a focus on the ability of fuel cells to offset emissions from traditional backup generation. This study will address these needs by: 1) thoroughly assessing...
sources of emissions within the industry to better understand associated needs and constraints; 2) identifying and characterizing optimal pathways for fuel cell deployment in various industrial activities; and 3) quantifying the potential associated emission reductions in the Basin – including consideration of those in underserved communities. Based on the evaluation results, UCI will provide overall assessment of the criteria pollutant and GHG advantages of increased deployment of fuel cells in industrial and commercial applications, including petroleum refineries. This will assist the SCAQMD in developing strategies to transform stationary industrial equipment to zero- and near-zero technologies, e.g., providing insight into how incentive programs should be structured to encourage fuel cell adoption.

Assess the Emission Impacts of Renewable Fuel Blending in the Natural Gas System

Current research on renewable fuel injection into the natural gas system has focused primarily on the feasibility and safety of injection and blending of fuels, and little is known regarding the potential emissions impacts. Therefore, research is needed to support the development of holistic combustion device and burner deployment strategies targeting minimal emissions of criteria pollutants and maximum criteria pollutant, GHG, and human health benefits. This project aims to address these needs by performing the following: 1) leverage existing and currently available tools for modeling combustion burner performance and emissions available at the UCI in conjunction with developing additional tools as necessary; 2) identify and characterize emission impacts for a range of gas-consuming end-use devices to create economy-wide scenarios representative of renewable gaseous fuel blending; and 3) spatially and temporally characterize resulting criteria pollutant, air toxic emissions, and GHG impacts in the Basin. The results will evaluate advantages and disadvantages of increased renewable fuel integration into the natural gas system, as well as guidance for the design of burner-type deployment strategies in different economic sectors to maximize air quality benefits of renewable fuel utilization.

Comparative Study on Environmental-Economic Impacts of Fuel Cell and Battery-Electric Buses within a Microgrid

The improvement of air quality in urban areas requires the reduction of criteria pollutant emissions across several sectors. The public transport sector is of particular interest, in part due to the localized emissions in disadvantaged communities. Transit authorities looking to renew their fleets are faced with decisions between multiple bus technologies, each with different strengths and weaknesses, as well as infrastructure requirements. These decisions are made more difficult by the rapid rate of improvement and less-well-known costs of advanced technologies such as battery-electric buses (BEBs) and fuel cell buses (FCBs). Both zero-emission bus (ZEB) technologies have been individually tested in several demonstration projects. UCI has been operating one FCB with Anteater Express since November 2015. Anteater Express will acquire 20 plug-in BEBs in the fall of 2017, making UCI’s bus fleet the first fully zero-emissions fleet in California; and the first transit agency in the country to have an exclusive mix of
BEBs and a FCB in operation. The simultaneous operation of BEB and FCB provides a unique opportunity to develop an evaluation framework under consistent conditions. The project will utilize the unique technology-mix fleet operating at UCI to produce the first comprehensive and consistent analysis of the BEB and FCB in practical operation, by leveraging tools developed by APEP to model the infrastructure requirements for the adoption of ZEBs and comparing the operational and economic performance of BEBs and FCBS in regular service.

**Sole Source Justification**
Section VIII.B.2 of the Procurement Policy and Procedure identifies four major provisions under which a sole source award may be justified. This request for a sole source award is made under provision B.2.d.(8): Other circumstances exist which in the determination of the Executive Officer require such waiver in the best interest of the SCAQMD. Such circumstances may include but are not limited to projects involving research and development efforts with educational institutions or nonprofit organizations.

UCI is an educational institution and the APEP is an umbrella organization that addresses the broad utilization of energy resources and the emerging nexus of electric power generation, infrastructure, transportation, water resources, and the environment. Built on a foundation established in 1970 with the creation of the UCI Combustion Laboratory and the 1998 dedication of the National Fuel Cell Research Center, APEP focuses on education and research on clean and efficient distributed power generation and integration.

**Benefits to SCAQMD**
The proposed project supports the implementation of advanced technologies that could be used to further reduce NOx emissions from microgrid-based electricity systems. Microgrids offer many opportunities for reducing criteria pollutant emissions from many existing sources within the Basin. Specifically, fuel cell systems can be utilized to reduce emissions from commercial and industrial sources. Fuel cells can replace internal combustion engines in primary, back-up, and emergency generation to achieve emission reductions. Furthermore the injection of gaseous renewable fuels into the existing natural gas system represents a key pathway towards reducing GHG emissions by displacing the corresponding volume of fossil-derived natural gas. For mobile sources, microgrids allow local management of energy resources and loads which will more easily allow electrification of transportation within the Basin.

The proposed project is included in the *Technology Advancement Office Clean Fuels Program 2017 Plan Update* under the categories “Electric/Hybrid Technologies & Infrastructure” and “Hydrogen and Fuel Cell Technologies and Infrastructure.”
**Resource Impacts**
The total cost for the proposed projects is $1,300,000, of which SCAQMD’s proposed contribution will not exceed $660,000 from the Clean Fuels Fund (31), as summarized below.

<table>
<thead>
<tr>
<th>Proposed Projects</th>
<th>SCAQMD Funding Amount</th>
<th>Match Funding Amount</th>
<th>Project cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fuel Cell for Industrial Applications</td>
<td>$180,000</td>
<td>$120,000 (SoCalGas, DOE, UCI)</td>
<td>$300,000</td>
</tr>
<tr>
<td>Renewable Fuel Blending in Natural Gas System</td>
<td>$230,000</td>
<td>$320,000 (CEC, SoCalGas, UCI)</td>
<td>$550,000</td>
</tr>
<tr>
<td>Performance Comparison of Battery-electric and Fuel Cell Bus</td>
<td>$250,000</td>
<td>$200,000 (NSF, SoCalGas, UCI)</td>
<td>$450,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$660,000</strong></td>
<td><strong>$640,000</strong></td>
<td><strong>$1,300,000</strong></td>
</tr>
</tbody>
</table>

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.
Execute Contract to Assess Air Quality and Greenhouse Gas Impacts of a Microgrid-Based Electricity System
Background

- Microgrids have potential advantages
  - Criteria pollutants and greenhouse gas reduction
  - Renewable utilization
- Diversity of microgrids’ energy needs, location and technology portfolios may have air quality impacts
Proposal

UC Irvine’s (UCI) Advanced Power and Energy Program to simulate and test different microgrid interactions

- Fuel cells in industrial sites
- Renewable fuel blending
- Transit bus infrastructure
Stationary Fuel Cells

Fuel cell technology for industrial and commercial sites

- Assess fuel cell deployment opportunity
  - Tri-generation system in petroleum refinery
- Assess the emissions impact
- Simulate the air quality impact
NG Fuel Blending

Emission impacts of renewable fuel blending in the natural gas system

- Injection of renewable fuels into natural gas system
- Feasibility and safety of blended fuel injection
- Emission analysis of renewable fuels injection
Transit Bus Infrastructure

Comparative study of fuel cell and battery-electric buses within a microgrid

- UCI – first fully zero emissions fleet in California with an exclusive mix of battery-electric and fuel cell buses
- Direct comparative analysis of the battery-electric buses and fuel cell buses
## Proposed Project Cost

<table>
<thead>
<tr>
<th>Project Partners</th>
<th>Funding amount</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Southern California Gas</td>
<td>$250,000</td>
<td>19</td>
</tr>
<tr>
<td>California Energy Commission</td>
<td>$200,000</td>
<td>15</td>
</tr>
<tr>
<td>National Science Foundation</td>
<td>$80,000</td>
<td>6</td>
</tr>
<tr>
<td>DOE contract</td>
<td>$50,000</td>
<td>4</td>
</tr>
<tr>
<td>UCI</td>
<td>$600,000</td>
<td>5</td>
</tr>
<tr>
<td>SCAQMD (<em>requested</em>)</td>
<td>$660,000</td>
<td>51</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$1,300,000</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>
Execute a contract with UCI for the assessment of air quality and greenhouse gas impacts of a microgrid-based electricity system in an amount not to exceed $660,000 from the Clean Fuels Fund (31)
PROPOSAL: Issue Program Announcement for School Bus Replacements

SYNOPSIS: Since 2001, the SCAQMD has replaced over 1,600 pre-1994 publicly owned school buses and retrofitted nearly 3,400 school buses. The Carl Moyer AB 923 funds can be utilized for replacement and retrofit of school buses. This action is to issue a Program Announcement to replace pre-1994 school buses owned by public school districts with new alternative fuel buses.

COMMITTEE: Technology, September 15, 2017; Recommended for Approval

RECOMMENDED ACTION:
Issue Program Announcement #PA2018-02 for replacement of pre-1994 school buses owned by public school districts with new alternative fuel buses.

Wayne Nastri
Executive Officer

Background
Since the commencement of the Lower-Emission School Bus Program in 2001, SCAQMD has awarded nearly $280 million in state and local funds to replace over 1,600 highly polluting publicly owned school buses with alternative fuel buses and to retrofit 3,400 newer diesel school buses with particulate traps. This program has resulted in helping thousands of school kids to commute in some of the cleanest school buses in the country. The Carl Moyer AB 923 funds can be utilized for replacement and retrofit of school buses.

Proposal
This action is to issue Program Announcement #PA2018-02 for replacement of pre-1994 school buses owned by public school districts and joint power authorities with new alternative fuel buses. The PA will close on January 4, 2018, after a three-month application period. Funding will be provided from the Carl Moyer Program AB 923 Fund (80). Depending on the number of applications received, all the requests may not
be funded in their entirety; final funding amounts will be recommended to the Board when they consider the proposed awards.

For replacement of pre-1994 school buses with alternative fuel buses owned by public school districts and joint power authorities, the SCAQMD will award up to $165,000 for Type D CNG buses and up to $129,500 for Type C propane buses toward the base price of the bus, including sales tax and the fire suppressant system. School districts will have to pay for any additional discretionary options that they may choose to include on the bus. In the case of commercial availability at the time of the awards, schools willing to purchase alternative fuel school buses certified below the 0.2 gram NOx standard will be prioritized. Schools may also apply for CARB’s Hybrid and Zero Emission Truck and Bus Voucher Incentive Project (HVIP) funds to help leverage and reduce their portion of match funding. Furthermore, up to $14,000 per CNG and $5,000 per propane bus will be provided for fueling infrastructure. School districts cannot opt to use the funding provided for infrastructure to reduce their local match.

**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. Electronic notification of this funding opportunity will also be sent to all public school districts in the SCAQMD’s jurisdiction.

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.”

**Bid Evaluation**

Proposals will be reviewed and evaluated by a diverse, technically qualified panel in accordance with criteria in the attached PA.

**Benefits to SCAQMD**

The successful implementation of the Lower-Emission School Bus Replacement Program will ensure less polluting and safer school transportation for school children and will reduce public exposure to toxic diesel particulate matter emissions.
Resource Impacts
Funding for the Lower-Emission School Bus Replacement Program will be provided from the Carl Moyer Program AB 923 Fund (80) and the final funding amounts will be recommended to the Board when they consider the proposed awards.

Attachment
Program Announcement #PA2018-02 for Alternative Fuel School Bus Replacements
Announcing South Coast Air Quality Management District’s Alternative Fuel School Bus Replacement Program
(Eligibility restricted to public school districts and joint power authorities)

Program Announcement & Application
PA2018-02

October 6, 2017

Depending upon the number of applications received and availability of funding, the SCAQMD Board retains discretion to make full awards, partial awards, or no awards at all under this Program Announcement. If the choice to make a partial award causes any bidder to withdraw, the funds that would have been awarded to that bidder will be re-allocated to the other bidders or allocated pursuant to a new program announcement. SCAQMD also reserves the right to change any criteria such as the schedule, qualifications, grant provisions and selection criteria outlined in this Program Announcement & Application.
October 6, 2017

The South Coast Air Quality Management District (SCAQMD) is pleased to announce another round of funding opportunity for the implementation of the “Lower-Emission School Bus Program (LESB)” in the South Coast Air Basin. This program, which supplements earlier programs, is designed to assist school districts to purchase new Type C or Type D alternative fuel school buses. Only public school districts, and those participating under a joint powers authority agreement (JPA), are eligible for these funds.

Background

Since 2001, when the Lower-Emission School Bus Program began, SCAQMD has awarded nearly $280 million in state and local funds to: replace 1,600 highly polluting older diesel school buses with clean alternative fuel buses and retrofit 3,400 diesel school buses with PM traps. As a result of the LESB Program, thousands of school children travel in some of the cleanest and safest buses in the South Coast region.

Highlights of the Alternative Fuel School Bus Replacement Program

Eligibility

Only public school districts and joint power authorities (JPAs) in the South Coast Air Quality Basin are eligible to apply.

Funding

Funds for the new Alternative Fuel School Bus Replacement Program will be provided from the Carl Moyer Program AB923 Fund. The final funding amount will be recommended at the time of SCAQMD Board approval for the proposed awards. Depending on the number of applications received, all the requests may not be funded in their entirety.

SCAQMD is seeking applications from public school districts to replace pre-1994 school buses that weigh over 14,000 lbs. Gross Vehicle Weight (GVW). SCAQMD will first replace any remaining pre-1987 buses in the fleets. In the application, school districts are requested to list their pre-1994 buses in their preferred priority order for replacement, either by accumulated mileage, age or maintenance track record. Given that funds may be limited, pre-1994 buses may be replaced in phases. Applicants are encouraged to list their oldest buses first and/or buses with the highest cumulative mileages.

For replacement of pre-1994 school buses with alternative fuel buses, the SCAQMD will fund up to $165,000 for Type D CNG buses and up to $129,500 for Type C propane buses, including sales tax and the fire suppressant system. School districts will also have to pay for any additional discretionary options that they may choose to include on the bus. In case of commercial availability at the time of the awards, schools willing to
purchase alternative fuel school buses certified below the 0.2 gram NOx standard will be prioritized. Schools may also apply for state’s Hybrid and Zero-Emission Truck and Bus Voucher Incentive Project (HVIP) funds to help leverage and reduce their portion of match funding. Furthermore, up to $14,000 per CNG and $5,000 per propane bus will be provided for fueling infrastructure. However, funding provided for infrastructure cannot be used to reduce a school district’s local match in instances where the infrastructure funds are not needed.

For each bus being requested for replacement, school districts must provide the annual CHP292 from year 2014 to present. Applicants have to agree to crush a pre-1994 school bus weighing over 14,000 GVWR.

The original application and three hard copies with Superintendent’s signature and digitized version must be received by SCAQMD no later than 4:00 p.m. Thursday, January 4, 2018.

Also applicants must submit to SCAQMD’s School Bus Program Supervisor the following:

1. two Excel sheets with details of the school buses in the fleet – one hard copy that accompanies the application, and the other sent electronically to Vasken Yardemian at vyardemian@aqmd.gov

2. a digitized version of the whole application

Schools need to include the latest CARB Executive Order (1 page) for the bus engine being ordered, and specify which piggy-back bid was used to order the new bus (Waterford, Hemet or equivalent). Schools need to operate these new school buses for a minimum of fifteen (15) years from the date of CHP certification.

Please see below for further details of the Program, procedures to apply and the application form.

Should you have any questions regarding this Program Announcement, please contact:

- Vasken Yardemian, Program Supervisor, at (909) 396-3296
  Email: vyardemian@aqmd.gov, or
- Lily Garcia, Contract Assistant, at (909) 396-2832, lgarcia1@aqmd.gov
- Please note: SCAQMD is closed on Mondays.

The program announcement and application document PA2018-02 can also be accessed via the Internet by visiting SCAQMD’s website at www.aqmd.gov/grants-bids.

Our main objective is to reduce children’s exposure to harmful emissions from diesel school buses. We look forward to receiving your application.
ATTACHMENTS

Application Form and Procedures to Apply for Funding to Purchase New Alternative Fuel School Bus

CERTIFICATIONS AND REPRESENTATIONS:
- All Applicants need to provide updated Business Contact Information
- New Applicants need to fill in the Taxpayer ID information
Funding for New Alternative Fuel School Buses

(Only Public School Districts and Joint Power Authorities are eligible to apply)

PA2018-02

October 6, 2017

SCAQMD’s Lower-Emission School Bus Program
# TABLE OF CONTENTS

### Section I: Program Introduction

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>I.A.</td>
<td>Program Introduction</td>
<td>1</td>
</tr>
<tr>
<td>I.B.</td>
<td>Program Schedule</td>
<td>1</td>
</tr>
<tr>
<td>I.C.</td>
<td>Application Submittal</td>
<td>2</td>
</tr>
<tr>
<td>I.D.</td>
<td>Participation Guidelines, Requirements, &amp; Conditions</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>A. School Bus Replacement Criteria Overview</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>B. Infrastructure Criteria Overview</td>
<td>4</td>
</tr>
<tr>
<td></td>
<td>Funding Allocations</td>
<td></td>
</tr>
<tr>
<td></td>
<td>A. Amounts of Funding</td>
<td>4</td>
</tr>
<tr>
<td></td>
<td>B. Match Funding Requirement</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td>C. Authorizing Signature</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td>D. Disbursement of Funds</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td>Project Implementation</td>
<td></td>
</tr>
<tr>
<td></td>
<td>A. Preferred List of School Bus Replacement</td>
<td>6</td>
</tr>
<tr>
<td></td>
<td>B. Project Completion Deadlines and Penalties</td>
<td>6</td>
</tr>
<tr>
<td></td>
<td>C. Monitoring and Reporting</td>
<td>6</td>
</tr>
<tr>
<td>I.E.</td>
<td>If You Need Help</td>
<td>7</td>
</tr>
</tbody>
</table>

### Section II: Grant Application Forms

<table>
<thead>
<tr>
<th>Appendix</th>
<th>Description</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.</td>
<td><strong>Grant Application</strong> for Lower-Emission School Bus Replacement and Infrastructure</td>
<td>A-1</td>
</tr>
<tr>
<td></td>
<td><a href="#">Sample Grant Template</a> (for Replacement)</td>
<td>A-6</td>
</tr>
</tbody>
</table>

Certifications and Representations forms at the end of the Program Announcement must be submitted by all applicants.
I.A. PROGRAM INTRODUCTION

In earlier rounds of funding, using a combination of state and its own funds totaling nearly $280 million, SCAQMD has replaced over 1,600 older diesel buses with new alternative fuel bus, primarily CNG, and has retrofitted nearly 3,400 diesel buses with PM traps. Over 50 percent of these funds have been awarded to school districts located in disproportionately impacted areas. Thousands of students travel daily in these SCAQMD-funded school buses that are among the cleanest and safest in the South Coast Air Basin.

Funding Available for New School Bus Replacement

Background

Under this Program Announcement, SCAQMD will be providing its own AB 923 funds for the replacement of pre-1994 school buses with alternative fuel new school buses. Only public school districts and joint power authorities are eligible to apply under this program.

For replacement of pre-1994 school buses with alternative fuel buses, the SCAQMD will fund up to $165,000 for Type D CNG buses and up to $129,500 for Type C propane buses, including sales tax and the fire suppressant system. School districts will also have to pay for any additional discretionary options that they may choose to include on the bus. In case of commercial availability at the time of the awards, schools willing to purchase alternative fuel school buses certified below the 0.2 gram NOx standard will be prioritized. Schools may also apply for state’s HVIP funds to help leverage and reduce their portion of match funding.

Furthermore, up to $14,000 per CNG and $5,000 per propane bus will be provided for fueling infrastructure. Funding provided for infrastructure cannot be used to reduce a school district’s local match in cases where the infrastructure funds are not needed.

Emission Limits

- The new alternative fuel school bus must be certified to at least an emission limit of: 0.2 g/bhp-hr (NMHC and NOx) and 0.01 g/bhp-hr for PM, but school buses certified at lower optional NOx standard will be prioritized.

I.B. PROGRAM SCHEDULE

The implementation schedule is outlined below.

Tentative Schedule for School Bus Replacement Program

October 6, 2017 (Friday) Issue the Program Announcement & Application PA2018-02.

January 4, 2018 (Thursday) Applications due by 4 p.m. for school bus replacements. Applicants are encouraged to apply well before this deadline.
April 6, 2018 (Friday)  SCAQMD Board to consider approval of the school bus replacement awards.

July 6, 2018 All school bus orders must be placed with vendors by school districts. Copies of vendor quotes and purchase orders faxed to SCAQMD (attn. Ms. Lily Garcia, fax (909-396-3774).

March 15, 2019 New buses delivered and CNG infrastructure completed.

April 12, 2019 All requests for reimbursement submitted by school districts, along with evidence of bus crushed.

I.C. APPLICATION SUBMITTAL

The applicant shall submit four copies (1 original and 3 copies) of the application, each marked “Program Application PA2018-02” These four copies should be placed together in a sealed envelope, plainly marked in the upper left-hand corner with the name and address of the applicant, no later than 4:00 p.m., Thursday, January 4, 2018.

The application package must be addressed to:

   Mr. Dean D. Hughbanks, Procurement Manager
   Re: Program Application PA2018-02
   Alternative Fuel School Bus Replacement
   South Coast Air Quality Management District
   21865 Copley Drive
   Diamond Bar, CA 91765

All the school bus replacement applications must be signed by the school’s superintendent. (School superintendents shall not delegate this responsibility for signature to his or her deputy.) In addition, a digitized copy of the entire application and Excel sheet of fleet inventory should be e-mailed to the school bus program supervisor at vyardemian@aqmd.gov.

I.D. PARTICIPATION GUIDELINES, REQUIREMENTS, & CONDITIONS

GRANT PROVISIONS FOR SCHOOL BUS REPLACEMENT & INFRASTRUCTURE

A. School Bus Replacement Criteria Overview

1. Only public school districts within the jurisdiction of the SCAQMD that own and operate school buses, including under provisions of a joint powers authority, can apply for funding. The program is for replacement of:
• pre-1994 school buses with new alternative fuel buses; and
• pre-1994 school buses to be replaced must have continuous CHP certification from 2014 onwards.

All the replaced and the new replacement buses must have a manufacturer gross vehicular weight rating (GVWR) of greater than 14,000 pounds and be powered by a heavy-duty engine (CARB classification).

2. Only replacement buses will be funded. Fleet expansion buses (that fail to crush an existing school bus) will not be eligible for funding.

3. Only alternative fuel engines that meet the following emission criteria will be eligible for funding
   • At least 0.2 g/bhp-hr NMHC + NOx or lower, and 0.01 g/bhp-hr PM or lower. If available, school buses certified at lower optional standard will be prioritized.

4. Availability of alternative fuels to refuel the newly acquired buses shall be documented. The school district can apply for fueling infrastructure funds. If awarded, school districts are eligible up to an additional ten percent of the bus award, and in the case of CNG buses, not exceeding $14,000 per CNG bus, or $5,000 per new propane bus awarded from AB923 funds. These infrastructure funds cannot be used to reduce the school district’s local match requirement.

5. Priority shall be given to replacement of the oldest buses from the group of buses applied for the Program. Pre-1987 buses will be replaced first.

6. Only pre-1994 school buses with continuously certified CHP certificates since 2014 are eligible for replacement.

7. All pre-1994 school buses proposed for replacement must be in current use. These buses must have a CHP certificate valid as of December 31, 2014, and continuously thereafter, and a valid, verifiable DMV license. The application form calls for specific information related to the replaced bus. Additional information may be required as evidence that these buses are in operation. If there is a break in documentation, please inform the SCAQMD’s Program Supervisor Vasken Yardemian at vyardemian@aqmd.gov.

8. Complete documents pertaining to the replaced bus, new bus purchase, vendor quotes, and proof of crushing must be kept in files for a period of seven (7) years after the date of removal of the existing bus. Access to these files, and personnel involved in the transactions, should be allowed in the event of an audit from either state or local authorities.

9. Schools need to include the latest CARB Executive Order (1 page) for the bus engine being ordered and specify which piggy-back bid was used to order the new bus (Waterford, Hemet or equivalent).
10. With the application, applicants must include a print-out of the current fleet composition with details of every bus and its engine currently operating in its fleet (make, model year, fuel type, VIN#, license plate #, engine make, model year, accumulated mileage, average annual mileage etc.) For fleet inventory purposes, diesel buses, within 1994 to 2006 model years (inclusive), that have PM traps and that lack PM traps, need to be identified as well. Additionally, an Excel version of the fleet composition should be sent directly to Vasken Yardemian at vyardemian@aqmd.gov.

B. Infrastructure Criteria Overview

1. If funds for CNG infrastructure are required, the applicant must make such request, and provide justification for the funds requested.

2. Requested funds should offset the cost of procuring new slow-fill alternative-fuel refueling equipment or expanding the capacity of an existing refueling station.

3. New capacity requested will be directly related to the capacity needed by the new CNG buses awarded through this program.

4. Upon approval, funding may be used to purchase slow-fill equipment or used to buy down the cost of a public access fast-fill facility based on estimated cost of slow-fill capacity needed for the new buses.

FUNDING ALLOCATIONS

A. Amounts of Funding

1. Public school districts can use any legally valid piggy-back bid in the State of California to purchase new CNG buses. Examples include, but are not restricted to, the Waterford and Hemet bids. Funding requested for purchase of a bus shall be consistent with the prices on the legally valid piggy-back bid. With the exception of the alternative fuel option, and onboard fire-suppressant system or gas detector system, the applicant is responsible for the cost of any options not included in the prices on the list.

2. SCAQMD will pay up to $165,000 for Type D CNG buses and up to $129,500 for Type C propane buses, including sales tax and the fire suppressant system. School districts will also have to pay for any additional discretionary options that they may choose to include on the bus.

3. The cost of the optional fire suppression system and/or gas methane detector included in the amounts described above is up to $4,500 per bus.
4. The basis for the amount of funding requested for purchase of alternative-fuel refueling infrastructure shall be documented in the application. Amounts requested for funding shall be based on the cost of slow-fill stations. Awards shall not exceed $14,000 per new CNG bus awarded, or $5,000 per new propane bus awarded. These amounts will be paid through AB 923 funds.

B. Matching Fund Requirement

1. For replacement of 1993 and older model year in-use school buses, applicants shall pay the amount above $165,000 for CNG Type D bus, and above $129,500 for propane Type C bus.

2. The applicant shall have its fueling infrastructure funds for the purchase, upgrade, installation and operation of the alternative-fuel refueling infrastructure.

3. The source of match funding for bus purchases and infrastructure shall be documented and attached to this application. If other grant funds are being used as match funding, detailed information on required use of those funds shall be included.

4. Carl Moyer Program funds may not be used as match funding to purchase new buses.

5. Schools may apply for state’s HVIP funds to help leverage and reduce their portion of match funding.

C. Authorizing Signature

The submitted school bus replacement application, and its 3 copies, shall have the school district’s superintendent’s signature. Applications without authorizing signatures will not be accepted.

D. Disbursement of Funds

1. Following receipt of the grant award from SCAQMD, the school district must provide a copy of the grant agreement and key attachments to the selected vendor(s). Per the provisions of the grant, a purchase order shall be placed without delay to allow for the prompt delivery of the buses.

2. Funds will be paid on a reimbursement basis to the vendor, following the delivery of the new school bus(es) to the applicant.

3. Vendors should be encouraged to directly invoice SCAQMD for SCAQMD’s share of funds. Applicants shall cooperate fully with the vendor to provide the vendor the various
documents SCAQMD would need before reimbursing the vendor. These documents are listed in the grant agreement.

4. All buses must be physically delivered to the customer by March 15, 2019.

5. Proof of vehicle delivery and supporting documents, as required in the grant, must accompany any request for reimbursement of approved funds. School district must identify any options purchased over and above those included in the base price, and alternative fuel option. Besides the fire suppression and/or gas detection systems, for which SCAQMD will pay up to $4,500, other discretionary options must be paid by the school district. The receipt of vehicle should be signed by the Director of Transportation before submission to SCAQMD.

6. All requests for reimbursement along with proof of crushing must be received by April 12, 2019. Monies owed will be paid directly to the bus vendor.

7. Funds will be paid on a reimbursement basis at the time of completion of the alternative-fuel refueling facility. CNG infrastructure must be completed by March 15, 2019. Proof of completion shall accompany any request for reimbursement of approved funds. All requests for reimbursement must be signed by the transportation director and received by SCAQMD on or before April 12, 2019. Monies owed will be paid directly to the infrastructure provider.

**PROJECT IMPLEMENTATION**

**A. Preferred List of School Bus Replacement**

Applicants are encouraged to list their pre-1994 buses in order of applicant preference. If a priority list is not indicated, from the pool of buses requested for replacement by an applicant, either the oldest buses or the buses with highest cumulative mileage will be replaced first.

**B. Project Completion Deadlines and Penalties**

1. School bus purchase orders must be placed no later than July 6, 2018.

2. New buses must be delivered no later than March 15, 2019. The business entity responsible for delaying the delivering of the buses may be subject to $100 per day per bus penalty for buses delivered after March 15, 2019.

3. All requests for reimbursement for purchases submitted by school districts, along with evidence of bus crushed, and other documentation, should be submitted to SCAQMD by April 12, 2019.
C. Monitoring and Reporting

1. School districts must notify the SCAQMD’s program supervisor by email to vyardemian@aqmd.gov when the funded buses are ordered and again when the buses arrive on site. Prior to reimbursement, an inspection by SCAQMD may be required.

2. School districts must notify the SCAQMD’s program supervisor by email to vyardemian@aqmd.gov when any equipment is ordered for the refueling station, and when the equipment is operating. Prior to, or following reimbursement, an inspection by SCAQMD may be required.

I.E. IF YOU NEED HELP

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

- For General, Administrative, or Technical Assistance, please contact:
  
  **Vasken Yardemian**  
  Program Supervisor  
  Technology Advancement Office  
  Phone 909-396-3296  
  Fax: 909-396-3632  
  vyardemian@aqmd.gov

- For Questions on Invoices and Contracts, please contact:
  
  **Lily Garcia**  
  Contract Assistant  
  Technology Advancement Office  
  Phone: 909-396-2832  
  Fax: 909-396-3252  
  lgarcia1@aqmd.gov
SCAQMD Alternative Fuel School Bus Replacement Program

APPLICATION FOR GRANT TO PURCHASE ALTERNATIVE FUEL SCHOOL BUS AND INFRASTRUCTURE

Fiscal Year 2017-2018

PA2018-02
TABLE OF CONTENTS

GRANT APPLICATION FOR ALTERNATIVE FUEL BUS REPLACEMENT    A-1

ALTERNATIVE FUEL INFRASTRUCTURE GRANT APPLICATION    A-5

SAMPLE GRANT AWARD AND AUTHORIZATION FORM    A-6
GRANT APPLICATION FORM FOR THE
ALTERNATIVE FUEL SCHOOL BUS REPLACEMENT PROGRAM
Program Announcement PA2018-02
(Please return signed application with next 4 pages filled out)

School District: __________________________________________________________

Street Address:_________________________________________________________________

City: __________________ County:________________ State: CA. Zip Code: _________

School District Primary Contact Person: ____________________________________________

Name/Title:_____________________________________________________________________

Phone No.: ___________ Ext: _____ Fax: No.:_____________

Email (please print): __________________________

Alternative Contact (name, title, phone, email address – please print)
_____________________________________________________________________________

# of Alternative Fuel School Buses Requested____________

Alternative Fuel School Bus Replacement Funds Amount Requested_______________________

Matching Funds Amount: __________________________

Sources of School District Matching Funds (please list by amount):
________________________

______________________________________________________________________________

Documentation must be attached to this application explaining the source of match funds, and
the need for CNG infrastructure funds. An authorizing resolution from the school board
approving the match funds must be attached. If the resolution is not available at the time of the
application submission, it should be sent to the program supervisor within 2 months the
application submittal.

Fueling Infrastructure Funds Amount Requested: ______________________

# of CNG or PROPANE buses owned and currently operated by School District: __________

If not on premise, identify the nearest refueling facility and one-way distance to the
city:___________________________________________________________________________

Superintendent’s Signature:________________________________________________________

Name of School Official (please print):________________________ Date Signed ___________
**INFORMATION ON EXISTING BUSES TO BE REPLACED**

- List only pre-1994 Buses (1993 or older) with GVWR above 14,000 lbs.
- For each bus, please include CHP 292 from 2014 onwards to present (or alternatively, CHP 343As).
- Please list these pre1994 buses in your preferred order of priority for replacement: the least desirable buses first (either by accumulated mileage, or age or maintenance issues)

<table>
<thead>
<tr>
<th>Bus ID No.</th>
<th>Make, Model, Year of pre-1994 bus</th>
<th>VIN No.</th>
<th>GVWR (must be at least 14,000 lbs.)</th>
<th>Odometer Mileage</th>
<th>Engine Make &amp; Model, Year</th>
<th>DMV License Plate</th>
<th>CHP 292/343 from 2010 onwards? (Yes/No)*</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Attach CHP 292 certificates for each bus listed above. CHP certificate for each bus must be continuously valid since 2014 onwards to present (Attach a note, if there is any problem or an issue we need to address.). Without CHP certificates, application will not be processed.
With the application, a copy of the school board resolution authorizing submittal of the application and identifying the individual authorized to implement the school bus replacement project.

For each pre-1994 bus listed above, please include the following in the application package:

- DMV Registration
- DMV Title
- CHP292s for year 2014 to present.
- (Alternatively, CHP 343A that confirms that the bus passed CHP inspection for that year)
- Clear photo of the data label tag of the bus confirming VIN# and GVWR of the bus
- Clear photo of the Engine Label

If we replace the above pre-1994 buses, are there any remaining pre-1994 buses in the fleet (with over 14,000 pounds GVWR)? _Yes/No

If yes, how many pre-1994 buses left?_______

Total number of 1994 and newer diesel buses in the fleet___________

- # of buses with Level 3 PM traps (1994 and newer)_______
- # of buses without Level 3 PM traps (1994 and newer)_______

Total number of CNG or PROPANE buses in the fleet___________________

Do you have CNG or PROPANE refueling site at your facility? _______Yes/No

Fleet Inventory:

- Please provide details of each school bus that remain in School District fleet in an Excel worksheet. Please include details of each bus (make, model, manufacturer, passenger capacity, engine make, model, year, fuel type, VIN#, license plate, accumulate mileage).

  **For 1994 and newer models, please identify which diesel buses have Level 3 PM traps and which do not.**

- Please print this Excel worksheet and attach to application, and send an electronic version to Vasken Yardemian at vyardemian@aqmd.gov.
INFORMATION ON NEW BUSES PROPOSED TO BE PURCHASED
(Please include CARB Executive Order of the Bus Engine being purchased)

(Purchase and sales information of the new buses must be from a legally valid piggy-back bid)

<table>
<thead>
<tr>
<th>Name of Vendor</th>
<th>Final Price quoted by Vendor (inclusive of sales tax)*</th>
<th>Make</th>
<th>Model</th>
<th>Year</th>
<th>GVWR</th>
<th># of Passengers</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Please identify the piggy-back bid used to order the above. Also, identify any discretionary options being purchased by the school district. Besides the fire suppressant or gas detector, and the CNG package, SCAQMD will not pay for any discretionary option above those included as standard in the base bid.

Please document availability of CNG or PROPANE refueling station for the new bus purchases:

______________________________________________________________________________
______________________________________________________________________________
______________________________________________________________________________

.
ALTERNATIVE FUEL INFRASTRUCTURE GRANT APPLICATION (PA2018-02)

Please answer all questions below. If non-applicable, write N/A.

Amount of funds requested: __________________________

Number of new CNG or PROPANE school buses applied for: _______________

Number of CNG or PROPANE buses presently on site: _______________

The requested funds will be used for (please circle one):

   New Facility   /  Upgrade Existing Facility

Local Gas Utility Company

_________________________________________________

Distance (miles) to nearest off-site CNG or PROPANE Fueling Station: _______________

Please attach a statement of reasons why it is not feasible to refuel at an off-site fueling station.

Existing fueling station:

   Actual size of on-site CNG or PROPANE compressor, if any (In CFM) ___________

   CNG or PROPANE Fuel Storage Capacity if any: _______________

Actual number of CNG Fueling Posts (two hoses/post) or PROPANE Fuel Dispensers: ___________

Natural Gas Pressure at Main (PSIG): _________________________________

Is this station accessible to the public?     YES   /   NO

New fueling station:

   CFM capacity needed for additional buses: _______________

   Number of CNG Fueling Posts (two hoses/post) or PROPANE Fuel Dispenser needed: ___________

   Will this station be accessible to the public?     YES   /   NO
South Coast
Air Quality Management District

SAMPLE GRANT FOR NEW BUS AWARD (not to be returned with application)

Sample Provisions. SCAQMD reserves the right to amend these provisions.

GRANT AWARD & AUTHORIZATION FORM
Alternative Fuel School Bus Replacement Funding Program
Pursuant to Program Announcement PA2018-02

Your grant application, to replace pre-1994 buses with new buses, has been approved for funding by the South Coast Air Quality Management District (“SCAQMD”) Governing Board. A summary of the grant provisions are listed below:

<table>
<thead>
<tr>
<th>GRANTEE</th>
<th>Grant Number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>G</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Number of CNG or Propane School Buses Awarded</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Required School Match for Above Buses (pre-1994 bus replaced at $15,000 for CNG and $10,000 for a Propane bus replaced)*</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Total School Bus Replacement Grant Award</td>
</tr>
<tr>
<td>b. Total Award for Installing Fire- Suppression Systems and/or Methane Detection System (with a maximum of $4,500 per bus)</td>
</tr>
<tr>
<td>c. Total Infrastructure Grant Award</td>
</tr>
<tr>
<td>Maximum SCAQMD Award (a+b+c+d)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Source of Funding</th>
<th>Fund 80/AB 923</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Deadline for Physical Delivery of All Buses</th>
<th>Not later than March 15, 2019</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Deadline for the Installation of the Alternative Fuel Station</th>
<th>Not later than March 15, 2019</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Agreement Term with SCAQMD</th>
<th>May 15, 2024</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Date to which School District must own and operate the new bus received under this Program</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Date to Which All Records (relating to this Grant) Need to be Retained</th>
</tr>
</thead>
</table>

1. PARTIES - The parties to this Grant Award Agreement (“Agreement”) are the South Coast Air Quality Management District (“SCAQMD”) whose address is 21865 Copley Drive, Diamond Bar, California 91765-4178, and School District (“GRANTEE”) whose address ______________
2. **AGREEMENT TERM** – The term of this Agreement is from the date of execution by both parties through May 15, 2034, unless further extended by amendment of this Agreement in writing. No work shall commence until this Agreement is fully executed by all parties.

The project must comply with the 2008 California Air Resources Board’s (CARB) Lower-Emission School Bus Program Guidelines, dated April 15, 2008, including associated Advisories/Mail-outs (subsequent revisions to the Guidelines), and must meet all program requirements for the full term of this Agreement. Inclusive of the Agreement term, there are two timeframes: A) **Project Completion**, which is from the date of grant execution to the date the last new school bus has been ordered, delivered and placed into operation; and B) **Project Implementation**, which is from the date the final invoice has been paid until the end date of this Agreement.

3. **ADDITIONAL TERMS** – To receive funds pursuant to this Grant, GRANTEE must comply with all of the following terms and conditions including those set forth in the following documents, which are attached and incorporated as part of this Grant.
   a. Information on the CNG or Propane bus(es) to be purchased (Attachment A-1);
   b. List of pre-1994 school buses that must be crushed and permanently removed (Attachment B-1);
   c. Reporting Data on Old and New School Buses, replaced and purchased under this Funding Program (Excel format) (Attachment C-1);
   d. Lower-Emission School Bus Replacement Funding Program Announcement and Application PA2018-02 dated October 6, 2017 (Attachment D); and
   e. 2006 CARB Lower-Emission School Bus Guidelines, dated April 15, 2008, and associated Advisories/Mail-outs, which are available at the following CARB web link: 

In addition to the terms and agreements in this Grant and above, if a document was required as part of the application as specified by the Program Announcement, and has not yet been provided by GRANTEE to the SCAQMD, GRANTEE must provide such prior to grant execution.

4. **PROVIDE VENDOR COPY OF GRANT** - Copies of this Agreement must be provided to the vendor(s) selected to provide new CNG or Propane bus(es) and to vendor(s) selected to provide and/or install alternative fuel infrastructure. This will, among other elements, enable the vendor to assist GRANTEE in complying with the terms and conditions of this Grant.

5. **VENDOR TO DIRECTLY BILL SCAQMD** - SCAQMD prefers that each vendor bill SCAQMD directly for alternative fuel bus(es) delivered and alternative fuel station installed pursuant to this Agreement. GRANTEE is discouraged from paying the vendor directly, but if it does the GRANTEE must submit copies of the front and back of all cancelled check(s) paid to vendor along with all the required documentation listed in Clause 11 below for (buses) and/or Clause 16 (for alternative fuel infrastructure).

6. **PROJECT MILESTONES** – GRANTEE must achieve the following milestones under this Agreement:
   a. Issue purchase order (PO) to purchase new bus(es) by July 6, 2018;
   b. Have all new buses delivered by vendor to GRANTEE no later than March 15, 2019;
   c. Ensure that the new CNG or Propane bus(es) comply with the NOx and PM certification standards listed in the 2008 CARB Lower-Emission School Bus Guidelines and/or Advisories/Mail-outs (see Attachment A-1);
   d. Crush and permanently remove one pre-1994 school bus listed in Attachment B-1 for every new bus purchased, within three weeks of receiving the new CNG and propane bus(es);
   e. For reimbursement for new buses, vendor to submit invoice, along with required documentation from GRANTEE, to SCAQMD no later than April 12, 2019 (see Clause 11 below for required documents to accompany new school bus invoice);
f. Install Alternative Fuel Station or complete upgrades to existing station no later than **March 15, 2019**, if applicable;
g. For reimbursement for alternative fuel infrastructure, vendor to submit invoice along with required documentation to SCAQMD no later than **April 12, 2019** (see Clause 16 below for required documents to accompany infrastructure invoice);

7. **PURCHASE ORDER & PENALTIES** - GRANTEE must place purchase orders for the new bus(es) no later than **July 6, 2018**. Prior to its issuance, a copy of the purchase order from GRANTEE to the school bus vendor (and if applicable to the alternative fuel station installer) must be faxed to Ms. Lily Garcia at fax number (909) 396-3774 (or sent via email to lgarcia1@aqmd.gov) no later than **July 6, 2018**. Per CARB guidelines, a provision shall be explicitly included in the purchase order stating: “A withhold of $100 per bus per day will be imposed on the vendor by the SCAQMD for each day and each bus that is delivered after **March 15, 2019** to the GRANTEE.” In addition, the purchase order shall include the following clause: “Bus vendor shall invoice SCAQMD directly for GRANTEE’s award.”

8. **CRUSHING CERTIFICATE AND REQUIREMENTS** - Within three (3) weeks of physically receiving the new bus(es), GRANTEE shall select a crushing company, pre-approved by SCAQMD in writing, to permanently remove its pre-1994 school bus(es), as listed in Attachment B. The terms “crush” and “dismantle” are interchangeable and are defined as “to punch, crush, stamp, hammer, shred, or otherwise render permanently and irreversibly incapable of functioning as originally intended, any vehicle or vehicle part”. The crushing company must issue a **crush certificate**, signed and dated by the company, which includes the following: a) confirmation that the pre-1994 bus(es) has been permanently destroyed; b) statement that the method used to dismantle the non-engine portion of the bus, the engine and power-train complies with the definition of dismantle as defined in this clause, including affirmation that the crushed buses had a 4-inch hole cut into the engine block, and date dismantled; and c) the **Engine Serial Number** and **VIN** of the bus(es). For the crushed buses, GRANTEE must also provide clear photographs of each destroyed engine and vehicle.

9. **PAYMENT TERMS** - Up to the amounts specified in the above table, SCAQMD will pay for new alternative-fueled school buses acquired through a legally valid competitive bid in California, in an amount not exceeding the base price (covering listed base options), the cost of the CNG/ propane option and sales tax, less GRANTEE’s required match amount. To prevent delays in payment, **within three weeks** of physically receiving the new bus(es) from the vendor, GRANTEE agrees to permanently remove its pre-1994 buses, as listed in Attachment B, and as listed in **Clause 11 below** provide all the required documentation to the bus vendor for invoice processing.

10. **ADDITIONAL SAFETY OPTION PAID**. SCAQMD requires installation of safety system, i.e. either a methane detection system and/or a fire-suppression system on each alternatively fueled bus. If installed at time of purchase, SCAQMD will pay an additional $4,500 per bus maximum for this option.

11. **DOCUMENTATION NEEDED FOR PAYMENT OF NEW BUS(ES)**
   GRANTEE shall coordinate with bus vendor to provide SCAQMD with the following documentation:
   a. **Original invoice** for each bus identifying:
      i. Details of each bus delivered including, but not limited to, the make, model year of the engine; bus make, model, year, vehicle identification number (VIN), passenger capacity, gross vehicle weight and wheelchair capacity, if any;
      ii. Whether or not each bus has a fire-suppression and/or methane detection system;
      iii. Special options ordered by the school district over the base;
      iv. Alternative fuel package, sales tax and school district’s contribution;
      v. SCAQMD’s contribution; and
vi. Engine and bus details for each crushed bus. These must include engine serial number, engine family, make, model year of the engine; and bus make, model, year, vehicle identification number (VIN), passenger capacity, gross vehicle weight, and wheel-chair capacity, if any.

b. **Cover letter** (an original) signed and dated by GRANTEE’s Director of Transportation, or his/her equivalent, confirming, under penalty of perjury, the following:
   i. Details of the new buses delivered as listed in Clause (11)(a)(i) above;
   ii. Grant number to which the invoice should be charged;
   iii. Date when the bus was physically delivered to the school district;
   iv. Whether or not a methane detection and/or fire-suppression system was installed;
   v. Approval of the invoice and its contents;
   vi. Whether CNG station funds will be used to reduce Grantee match requirements
   vii. That SCAQMD should pay SCAQMD’s contribution to the bus vendor directly; and
   viii. That the school district will pay its contribution directly to the bus vendor.

c. **The latest CHP certificate(s)** for the permanently removed bus(es) indicating that these pre-1994 buses were operating since 2014 onwards to present.

d. **Certification from the crushing company** that the pre-1994 bus listed in Attachment B has been permanently removed. GRANTEE must ensure that the engine and power-train are irreversibly destroyed. **Engine Serial Number and VIN(s)** of the permanently removed bus(es) must be listed on the certificate. Prior to sending the bus for crushing, a clear picture of both the bus ID label and engine ID label must be taken and submitted to SCAQMD with invoice package.

e. A copy of the **first page** of this Grant Award (that contains the Summary Table) and a copy of **Attachment B** attached to this Grant Award (that lists the pre-1994 buses to be crushed) Identify and highlight the bus(es) listed in Attachment B that were permanently removed. VIN(s) and details of the permanently removed bus(es) submitted with the invoice and cover letter must match Attachment B.

f. The above documentation must be received by SCAQMD on or before **April 12, 2019**. Please submit these documents to the attention of Ms. Lily Garcia, TAO, SCAQMD, 21865 Copley Drive, Diamond Bar, CA 91765.

g. Three electronic files to be sent to Mr. Vasken Yardemian that includes (a) an Excel File listing grant and old and new bus information required in Attachment C (Reporting Data on School Bus Replacements), (b) Electronic print-out of the Grantee’s current fleet inventory, with details of each school bus in the fleet (see application in program announcement on required details) and (c) PDF scan of the whole invoice package,

12. **TERM OF OWNERSHIP** - GRANTEE (school district) is required to own and operate the newly acquired CNG/Propane buses within the South Coast Air Quality Management District for **at least fifteen years** from the date of physical delivery.

13. **RIGHT OF INSPECTION** – Before payment of invoice, SCAQMD and CARB reserve the right to inspect all school buses and alternative fuel infrastructure purchased and/or installed pursuant to this Agreement.

14. **ALTERNATIVE FUEL INFRASTRUCTURE** – SCAQMD requires the following:
   a. That alternative fuel infrastructure be installed by a licensed contractor;
   b. That the installing contractor have substantial direct experience in installing alternative fuel infrastructure;
   c. That the alternative fuel infrastructure funded under this Agreement comply with all applicable laws, regulations and codes including, but not limited to, those pertaining to building, safety, fire, health, public contracting and public works, and with any local codes that may provide additional safety;
   d. That a fire permit or equivalent certification be issued by a licensed engineer, a copy of which must be enclosed with the invoice for infrastructure;
   e. That the alternative fuel infrastructure construction must be completed by **March 15, 2019**, unless SCAQMD grants a written extension due to exceptional circumstances; and
f. That Grantee place an SCAQMD logo, as a permanent fixture, in a prominent location at their fueling station; the design and format of the SCAQMD logo will be provided by SCAQMD’s program supervisor.

15. PREVAILING WAGES FOR INFRASTRUCTURE CONSTRUCTION.
(a) GRANTEE is alerted to the prevailing wage requirements of California Labor Code section 1770 et seq., and the compliance monitoring and enforcement of such requirements by the Department of Industrial Relations (“DIR”). GRANTEE and all of GRANTEE’s subcontractors must comply with the California Public Works Contractor Registration Program and must be registered with the DIR to participate in public works projects. GRANTEE shall be responsible for determining the applicability of the provisions of California Labor Code and complying with the same, including, without limitation, obtaining from the Director of the Department of Industrial Relations the general prevailing rate of per diem wages and the general prevailing rate for holiday and overtime work, making the same available to any interested party upon request, paying any applicable prevailing rates, posting copies thereof at the job site and flowing all applicable prevailing wage rate requirements
(b) to its subcontractors. Proof of compliance with these requirements must be provided to SCAQMD upon request. GRANTEE and GRANTEE’s subcontractors shall indemnify, defend and hold harmless the South Coast Air Quality Management District against any and all claims, demands, damages, defense costs or liabilities based on failure to adhere to the above referenced statutes.
(c) Additional information is provided at http://www.dir.ca.gov/public-works/SB854.html.

16. DOCUMENTATION NEEDED FOR PAYMENT FOR ALTERNATIVE FUEL INFRASTRUCTURE
GRANTEE shall coordinate with all infrastructure contractors to provide SCAQMD with the following documentation:
   a. **An itemized invoice** (an original) must be submitted from the infrastructure contractor verifying installation, acceptance and operation of the alternative fuel refueling station. The invoice should include applicable details of the equipment installed (make, model, flow rate, horsepower capacity, inlet and outlet pressure, number of dispensing hoses, etc.), the cost of materials and labor, sales tax, warranties, and, if applicable, maintenance agreement.
   b. **Evidence that a fire permit** or equivalent certification by a licensed engineer was issued for installation of the alternative fuel refueling station.
   c. **Cover letter** (an original) signed and dated by GRANTEE’s Director of Transportation, or his/her equivalent, confirming, under penalty of perjury, the following:
      i. the invoice contents
      ii. the grant number to which the invoice needs to be charged
      iii. specific details of the work done
      iv. date of completion of infrastructure construction
      v. acceptance of the infrastructure construction
      vi. that SCAQMD should pay SCAQMD’s contribution to the vendor directly,
      vii. that the school district will pay its contribution to the vendor directly; and
      viii. that the SCAQMD logo has been permanently installed at the station.
   d. **Copies of the bid documents**, if any, issued by GRANTEE (school district), responses to the bid, engineering drawings in 8.5 by 11 size, and photos of the final installation.

17. DEADLINE FOR ALTERNATIVE FUEL STATION DOCUMENTATION – Above documentation for CNG/propane station upgrades must be provided to SCAQMD no later than March 15, 2019. Please submit these documents to Ms. Lily Garcia, TAO, SCAQMD, 21865 Copley Drive, Diamond Bar, CA 91765.

18. NON-COMPLIANCE – SCAQMD reserves the right to cancel this Agreement or withhold payment for GRANTEE’s non-compliance with the Agreement. Further, SCAQMD reserves the right to cancel the Agreement if it is not executed by GRANTEE in a timely manner.
19. **ENFORCEMENT** – SCAQMD and CARB have the authority to enforce the terms of this Agreement at any time during the Agreement term plus two years. SCAQMD and CARB will seek whatever legal, equitable and other remedies are available for the GRANTEE’s failure to comply with the terms of this Agreement or with the Lower-Emission School Bus Program requirements incorporated herein.

20. **AUDIT RIGHTS** – SCAQMD, CARB, and the California Department of Finance, or their designee(s), shall have the right to inspect the buses purchased under this Grant, alternative fuel station installed, and review and copy any records and supporting documentation pertaining to the performance of this Agreement. GRANTEE agrees to allow the auditor(s) access to these new buses, and records during normal business hours and to allow interviews of any employees who might reasonably have information related to such these buses and records.

21. **AUDIT OF SUBCONTRACTORS** - GRANTEE must include a similar right, as Clause 20 above, for the State and SCAQMD, or their designee(s), to audit records and interview staff in any subcontract related to the performance of this Agreement.

22. **REPORTING REQUIREMENTS** - During the term of this Agreement, GRANTEE agrees to provide periodic reports to SCAQMD on the implementation of this award, including but not limited to, entering detailed information in SCAQMD and/or CARB's School Bus database on each bus that is replaced and purchased under this Award, and on the alternative fueling station upgrades. GRANTEE will require its Vendor to cooperate in providing these reports. SCAQMD will specify the frequency and format of these reports.

23. **RECORDS AND RECORDS RETENTION** – GRANTEE shall maintain and retain records related to this Agreement for the Agreement term plus two years, or until **March 15, 2036**, whichever is later. These records shall be maintained in print form for the first seven (7) years of this Agreement but may be maintained electronically thereafter. These records include but are not limited to the following:
   A. Application and all documents provided with and subsequent to the application submittal;
   B. Clear, legible copy of a photograph of the data tag of the old bus to be replaced/crushed;
   C. CHP certificates (292 or 343A) of the buses being crushed since year 2008 to the date of crushing;
   D. A copy of the DMV registration and DMV Title of ownership of each new bus and old bus being crushed;
   E. Vendor quotes for the new buses and station upgrades;
   F. A copy of the CARB engine certification for the bus engines purchased under this Agreement;
   G. Purchase orders for the buses and alternative fuel station upgrades;
   H. Executed contracts;
   I. Proof of crushing of the pre-1994 school buses including Form 42 and crushing certificate (refer to Clause 8);
   J. Proof of delivery of the new replacement bus(es) and special options purchased and installed on the bus(es);
   K. All invoice(s) related to the project including documents required for payment (refer to Clause 11);
   L. If GRANTEE paid its vendor directly, GRANTEE must retain proof of payment; and
   M. Maintenance records.

24. **NOTICES** – Any notices from either party to the other shall be given in writing to the attention of the persons listed below, or to other such addresses or addressees as may hereafter be designated in writing for notices by either party to the other. Notice shall be given by certified, express or registered mail, return receipt requested, and shall be effective as of the date of receipt indicated on the return receipt card.

SCAQMD: South Coast Air Quality Management District
21865 Copley Drive
Diamond Bar, CA 91765-4178
GRANTEE:

25. **INDEMNIFICATION** - GRANTEE agrees to hold harmless, defend and indemnify SCAQMD, its officers, employees, agents, representatives, and successors-in-interest against any and all loss, damage, costs, lawsuits, demands, judgments, legal fees, or any other expenses incurred or required to be paid by SCAQMD, its officers, employees, agents, representatives, or successors-in-interest arising from or related to any injury to persons or damage to property caused directly or indirectly, in whole or in part, by any willful or negligent act or omission of GRANTEE, its employees, subcontractors, agents or representatives in the performance of this Grant. This Indemnification clause shall survive the expiration or termination (for any reason) of the Grant and shall remain in full force and effect.

26. **ASSIGNMENT** - The rights granted hereby may not be assigned, sold, licensed, or otherwise transferred by either party without the prior written consent of the other, and any attempt by either party to do so shall be void upon inception.

27. **NON-EFFECT OF WAIVER** - The failure of GRANTEE or SCAQMD to insist upon the performance of any or all of the terms, covenants, or conditions of this Grant, or failure to exercise any rights or remedies hereunder, shall not be construed as a waiver or relinquishment of the future performance of any such terms, covenants, or conditions, or of the future exercise of such rights or remedies, unless otherwise provided for herein.

28. **ATTORNEYS' FEES** - In the event any action is filed in connection with the enforcement or interpretation of this Grant, each party shall bear its own attorneys’ fees and costs.

29. **FORCE MAJEURE** - Neither SCAQMD nor GRANTEE shall be liable or deemed to be in default for any delay or failure in performance under this Grant or interruption of services resulting, directly or indirectly, from acts of God, civil or military authority, acts of public enemy, war, strikes, labor disputes, shortages of suitable parts, materials, labor or transportation, or any similar cause beyond the reasonable control of SCAQMD or GRANTEE.

30. **DE-OBLIGATION OF UNSPENT BALANCES** - Upon thirty (30) days' written notice to GRANTEE, SCAQMD may de-obligate from the Grant funds that remain unexpended by the installation deadlines listed unless extended in writing. GRANTEE to initial here acknowledging consent to de-obligation of non-expended funding.

31. **SUPERINTENDENT CERTIFICATION** – By initialing here, Superintendent certifies that he/she had the authority to submit the application applying for the funds under this grant award and that the individual identified in Clause 26 (Notices) is the individual authorized to implement the project.

32. **GOVERNING LAW** - This Grant shall be construed and interpreted and the legal relations created thereby shall be determined in accordance with the laws of the State of California. Venue for resolution of any disputes under this Grant shall be Los Angeles County, California.

33. **ENTIRE GRANT** - This Contract represents the entire agreement between the parties hereto related to GRANTEE providing services to SCAQMD and there are no understandings, representations, or warranties of any kind except as expressly set forth herein. No waiver, alteration, or modification of any
of the provisions herein shall be binding on any party unless in writing and signed by the party against whom enforcement of such waiver, alteration, or modification is sought.

The undersigned parties agree to the terms and conditions as set forth in this Grant. The undersigned parties certify under penalty of perjury that they are duly authorized to bind the parties to this Grant.

GRANTOR:  
South Coast Air Quality Management District

GRANTEE:  
( )Unified School District

__________________________  ____________________________
Name:  Dr. William A. Burke  Name:  ____________________________
Title:  Chairman, Governing Board  Title:  ____________________________
Date  ____________________________  Date  ____________________________

ATTEST:
Denis Garzano, Clerk of the Board

By:  ____________________________

APPROVED AS TO FORM:
Kurt R. Weise, General Counsel

By:  ____________________________
CERTIFICATIONS AND REPRESENTATIONS

1. Business Contact Information
2. W9- with EIN Taxpayer ID#
3. Campaign Contribution Disclosure Form (for private companies only)
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 Administrative Officer

DH:tm

Enclosures: Business Information Request
Disadvantaged Business Certification
W-9
Form 590 Withholding Exemption Certificate
Federal Contract Debarment Certification
Campaign Contributions Disclosure
Direct Deposit Authorization
South Coast
Air Quality Management District
21865 Copley Drive, Diamond Bar, CA 91765-4178
(909) 396-2000 • www.aqmd.gov

**BUSINESS INFORMATION REQUEST**

<table>
<thead>
<tr>
<th><strong>Business Name</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Division of</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Subsidiary of</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Website Address</strong></td>
<td></td>
</tr>
</tbody>
</table>

**Type of Business**  
*Check One:*  
- Individual  
- DBA, Name _______________, County Filed in _______________  
- Corporation, ID No. _______________  
- LLC/LLP, ID No. _______________  
- Other _______________

**REMITTING ADDRESS INFORMATION**

<table>
<thead>
<tr>
<th><strong>Address</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>City/Town</strong></td>
<td></td>
</tr>
<tr>
<td><strong>State/Province</strong></td>
<td><strong>Zip</strong></td>
</tr>
<tr>
<td><strong>Phone</strong></td>
<td><em>( )</em></td>
</tr>
<tr>
<td><strong>Contact</strong></td>
<td><strong>Title</strong></td>
</tr>
<tr>
<td><strong>E-mail Address</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Payment Name if Different</strong></td>
<td></td>
</tr>
</tbody>
</table>

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

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

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

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

Statements of certification:

As a prime contractor to 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:

- Small Business Enterprise/Small Business Joint Venture
- Women-owned Business Enterprise
- Local business
- Disabled Veteran-owned Business Enterprise/DVBE Joint Venture
- Minority-owned Business Enterprise
- Most Favored Customer Pricing Certification

Percent of ownership: _______ %

Name of Qualifying Owner(s): ________________________________

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

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

_____________________________  ________________________________
NAME                                    TITLE

_____________________________  ________________________________
TELEPHONE NUMBER                                      DATE
Definitions

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

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

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

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

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

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

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

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

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

a. 1) an independently owned and operated business; 2) not dominant in its field of operation; 3) together with affiliates is either:

- A service, construction, or non-manufacturer with 100 or fewer employees, and average annual gross receipts of ten million dollars ($10,000,000) or less over the previous three years, or
- A manufacturer with 100 or fewer employees.

b. Manufacturer means a business that is both of the following:

1) Primarily engaged in the chemical or mechanical transformation of raw materials or processed substances into new products.

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.
Grant # 

5 Pages

W-9
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, or 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
   - Corporation (C or S) or Partnership
   - Trust/estate or limited liability company
   - Other (see instructions)

4. Exemptions (codes apply only to certain entities, not individuals; see instructions on page 4)
   - Exempt payee code (if any)
   - Exemption from FATCA reporting code (if any)

5. Address (number, street, and apt. or suite no.)

6. City, state, and ZIP code

7. List account numbers (if any)

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.

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.

Social security number

or Employer identification number

Part II  Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and

2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and

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

4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

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

Sign

Here

Signature of authorized 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/fw

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 (miscellaneous income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-K (proceeds from real estate transactions)
- Form 1099-N (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:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),

2. Certify that you are not subject to backup withholding,

3. Claim exemption from backup withholding if you are a U.S. exempt payee, if applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and

4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See What Is FATCA reporting? on page 2 for further information.
Grant #________

Page 2

Form W-9 (Rev. 12-2014)

Note. If you are a U.S. person and a requestor gives you a form other than Form W-9 to request one, you must use the requestor’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 a 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’ shares 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, your 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 BE-3 (see Publication 515, Withholding 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 person 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 text.
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 school 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 he or she stays in the United States exceeds 5 calendar years. However, paragraph 2 of Article 20 of the U.S.-China Treaty (dated April 30, 1986) allows the provisions of Article 20 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 requestor the appropriate completed Form W-8 or Form RSC.

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, 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 foreign accounts. 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 requestor the 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 requestor;
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 above 4 (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 Requestor 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 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 Requestor 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 are required to report 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 a 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 failure unless you are not a reasonable cause and not 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 $50 penalty.

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

Failure 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 must match the name on your tax return.

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

a. Individual. Generally, enter the name shown on your tax return. If you are a foreign person, enter your last name with the first name added (see Note).

b. Sole proprietor or single-member LLC. Enter your individual name as shown on your 1040/1040A/1040EZ with your applicable Schedule C, Schedule E, or Schedule F.

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 must match the name shown on the chart or other legal document creating this 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 301.7701-3(c)(2)(ii). Enter the owner’s name on line 1. If 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.
Grant #________

Line 2

If you have a business name, trade name, DGA 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 “LLP” in the space provided. If the LLC has filed Form 8824 or 8826 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 codes 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) if the account satisfies the requirements of section 401(6)(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 its 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 564(a)

11 — A financial institution

12 — A Medicare-certified home health agency or hospice

13 — A trust exempt from tax under section 501(c)(12) if the trust is a private foundation

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

<table>
<thead>
<tr>
<th>IF the payment is for . . .</th>
<th>THEN the payment is exempt for . . .</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interest and dividends payments</td>
<td>All exempt payees except for 7</td>
</tr>
<tr>
<td>Broker transactions</td>
<td>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 publicly traded securities acquired prior to 2012.</td>
</tr>
<tr>
<td>Brokerage transactions and patronage dividends</td>
<td>Exempt payees 1 through 4</td>
</tr>
<tr>
<td>Payments over $600 required to be reported and direct sales over $5,000</td>
<td>Generally, exempt payees 1 through 5</td>
</tr>
<tr>
<td>Payments made in settlement of payment card or third party network transactions</td>
<td>Exempt payees 1 through 4</td>
</tr>
</tbody>
</table>

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

However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding or health care payments, attorneys' fees, gross proceeds paid to an attorney, 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)(47)

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

C — A state, the District of Columbia, or a U.S. commonwealth or possession, or any of its 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 1.1473-1(e)(1)

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

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 564(a)

J — A bank as defined in section 581

K — A broker

L — A trust exempt from tax under section 564 or described in section 564(a)(1)

M — A tax-exempt trust under 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 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 SSN, you may enter either your SSN or EIN. However, the IRS prefers that you use your EIN.

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 none, do not enter the disregarded entity’s EIN. If the LLC is classified as a corporation of 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 S-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-4 but do not have a TIN, apply for a TIN and write “Applied For” in the space for the TIN. The line and date, and form, and give it to the requested person for interest and dividend payments, and certain payments made with respect to real property interests. 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 forms 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 indicates otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Except 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 sign the correct TIN, but you do not have to sign the certification.

2. Interest, dividend, and broker 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 were notified that you have received the penalty TIN. Other payments include payments made in the course of the payor's trade or business for rentals, 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 or services for all 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.

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

3. Custodian account of a minor (Uniform Gift to Minors Act)
   The minor

4. The usual revocable savings trust (grantor is also trustor)
   The grantor-trustor

5. The usual revocable savings trust (grantor is not the trustor)
   The actual owner

6. Sole proprietorship or disregarded entity owned by an individual
   The owner

7. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(a))
   The grantor

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 partnership
   Legal entity

9. Corporation or LLC elected corporate status on Form 2553 or Form 8222
   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 trust

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)(ii))
   The trust

1. You must show your individual name and you may also enter your business or other name on the “business name/described entity” name line. You may use either your SSN or EIN if you have one, but the IRS encourages you to use your SSN.

   List first and circle the name of the trust, estate, or partnership. If you have more than one, the IRS encourages you to enter your SSN.

   List first and circle the name of the trust, estate, or partnership. Do not list the TIN of the personal, representative or trustee unless the legal entity itself is not designated in the account title. See “Special rules for partnerships” on page 2.

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

   Note. If a 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 get a refund.

To reduce your risk:

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

2. 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 455, Identity Theft Prevention and Victim Assistance.

   Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in reporting 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 1-877-777-4777 or TTY/TEDD 1-800-959-9833.

   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 scam 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 contact with taxpayers via email. Also, the IRS does not request personal detailed information through email or text messages 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/scams or 1-877-IDTHEFT (1-877-438-4378).

   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 considered active 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 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 6109, payors must generally withhold a percentage of taxable interest, dividends, 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.
2017 Withholding Exemption Certificate

TAXABLE YEAR

Withholding Agent Information

Payee Information

Exemption Reason

Check only one box.

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

- **Individuals — Certification of Residency:**
  I am a resident of California and I reside at the address shown above. If I become a nonresident at any time, I will promptly notify the withholding agent. See Instructions for General Information D, Definitions.

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

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

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

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

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

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

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

CERTIFICATE OF PAYEE: Payee must complete and sign below.

To learn about your privacy rights, how we may use your information, and the consequences for not providing the requested information go to ftt.ca.gov and search for privacy notice. To request this notice by mail, call 800.852.5711.

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

Type or print payee’s name and title ________________________________ Telephone (____) __________

Payee’s signature ➤ ________________________________ Date __________
2017 Instructions for Form 590
Withholding Exemption Certificate

General Information

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

A Purpose

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

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

Form 590 does not apply to payments for wages to employees. Wage withholding is administered by the California Employment Development Department (EDD). For more information, go to edd.ca.gov or call 888.745.3885.

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

The following are excluded from withholding and completing this form:

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

B Income Subject to Withholding

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

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

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

D Definitions

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

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

Foreign refers to non-U.S. For more information about determining resident status, get FTB Pub. 1031, Guidelines for Determining Resident Status.

Military servicemembers have special rules for residency. For more information, get FTB Pub. 1032, Tax Information for Military Personnel.

Permanent Place of Business:

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

E Military Spouse Residency Relief Act (MSRRA)

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

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

Domicile is defined as the one place:

- Where you maintain a true, fixed, and permanent home.
- To which you intend to return whenever you are absent.
A military servicemember’s nonmilitary spouse is considered a nonresident for tax purposes if the servicemember and spouse have the same domicile outside of California and the spouse is in California solely to be with the servicemember who is serving in compliance with Permanent Change of Station orders. California may require nonmilitary spouses of military servicemembers to provide proof that they meet the criteria for California personal income tax exemption as set forth in the MSRPA.

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 MSRPA requirements, get FTB Pub. 1032.

### Specific Instructions

#### Payee Instructions

Enter the withholding agent’s name. Enter the payee’s information, including the TIN and check the appropriate TIN box. You must provide a valid TIN as requested on this form. The following are acceptable TINs: social security number (SSN); individual taxpayer identification number (ITIN); federal employer identification number (FEIN); California corporation number (CA Corp no.); or CA SOS file number.

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

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

#### Exemption Reason

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

### Withholding Agent Instructions

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

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

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

### Additional Information

**Website:** For more information go to ftb.ca.gov and search for nonwage. MyFTB offers secure online tax account information and services. For more information and to register, go to ftb.ca.gov and search for myftb.

**Telephone:** 888.92.4900 or 916.845.4900, Withholding Services and Compliance phone service.

**Fax:** 916.845.9612

**Mail:** WITHHOLDING SERVICES AND COMPLIANCE MS F102 FRANCHISE TAX BOARD PO BOX 942657 SACRAMENTO CA 94267-0651

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

**Internet and Telephone Assistance**

**Website:** ftb.ca.gov

**Telephone:** 800.852.5711 from within the United States 916.845.6000 from outside the United States

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

**Asistencia Para Internet y Telefonos**

**Sitio web:** ftb.ca.gov

**Teléfono:** 800.852.5711 dentro de los Estados Unidos 916.845.6000 fuera de los Estados Unidos

**TTY/TDD:** 800.822.6268 para personas con discapacidades auditivas o de habla
Certification Regarding Debarment, Suspension, and Other Responsibility Matters

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

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three year period preceding this proposal been convicted of or had a civil judgement rendered against them or commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction: violation of Federal or State antitrust statute or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property:

(c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

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

___________________________________________________________
Typed Name & Title of Authorized Representative

________________________________________________________________________
Signature of Authorized Representative Date

☐ I am unable to certify to the above statements. My explanation is attached.
CAMPAIGN CONTRIBUTIONS DISCLOSURE

In accordance with California law, bidders and contracting parties are required to disclose, at the time the application is filed, information relating to any campaign contributions made to South Coast Air Quality Management District (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.

Campaign Contributions Disclosure, continued:
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.
Direct Deposit Authorization

**STEP 1: Please check all the appropriate boxes**
- [ ] Individual (Employee, Governing Board Member)
- [ ] Vendor/Contractor
- [ ] Cancel Direct Deposit
- [ ] New Request
- [ ] Changed Information

**STEP 2: Payee Information**

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

Vendor/Contractor Business Name (if applicable)

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

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

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

**Authorization**

1. I authorize South Coast Air Quality Management District (SCAQMD) to direct deposit funds to my account in the financial institution as indicated below. I understand that the authorization may be rejected or discontinued by SCAQMD at any time. If any of the above information changes, I will promptly complete a new authorization agreement. If the direct deposit is not stopped before closing an account, funds payable to me will be returned to SCAQMD for distribution. This will delay my payment.

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

3. I hereby release and hold harmless SCAQMD for any claims or liability to pay for any losses or costs related to insufficient fund transactions that result from failure within the Automated Clearing House network to correctly and timely deposit monies into my account.

**STEP 3:**

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

**To be Completed by your Bank**

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

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

| □ Saving □ Checking Account Number Routing Number |
|------------------------|-----------------|
|                        |                 |

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

**ACCOUNT HOLDER SIGNATURE:**

<table>
<thead>
<tr>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

For SCAQMD Use Only

Input By __________________________ Date __________
Agenda Item #5

Vasken Yardemian

Issue Program Announcement for School Bus Replacements
Since 2001, SCAQMD has awarded $280 million to:

- Replace over 1,600 polluting pre-1994 diesel school buses; and
- Retrofit 3,400 diesel school buses with PM traps
Proposal

- Issue Program Announcement #PA2018-02 to replace pre-1994 school buses with new alternative fuel buses owned by public school districts & joint power authorities

- Closing date for applications - January 4, 2018
Proposal (cont’d)

- SCAQMD will pay:
  - $165,000 for Type D CNG bus or $129,500 for Type C propane bus
  - $14,000 per CNG bus or $5,000 per propane bus fueling infrastructure
  - Schools may also apply for funding through the Hybrid and Zero Emission Truck and Bus Voucher Incentive Program (HVIP)
  - Staff will return to the Board to seek approval for consideration of proposed awards
Recommended Action

Issue #PA2018-02 for school bus replacements from the Carl Moyer Program AB 923 Fund (80)
PROPOSAL: Recognize Revenue, Execute Contracts for Electric Yard Tractor Replacements, Transfer Funds, Reimburse General Fund for Administrative Costs, and Issue Program Announcement for Commercial Lawn and Garden Equipment Exchange Program

SYNOPSIS: In March 2017, SCAQMD was awarded $4,954,500 from U.S. EPA’s 2016 Targeted Air Shed Program for electric yard tractor replacements and a Commercial Electric Lawn and Garden Equipment Exchange Program. This action is to recognize revenue up to $4,954,500 from U.S. EPA for these two projects and issue a Program Announcement to solicit proposals from manufacturers or suppliers for replacement of older commercial lawn and garden equipment with zero emission, battery-electric commercial grade equipment. This action is also to recognize up to $312,500 and $187,500 from the Port of Los Angeles and Port of Long Beach, respectively, into the Advanced Technology, Outreach and Education Fund (17), transfer $500,000 as a temporary loan and $442,750 for SCAQMD’s cost share from the Clean Fuels Program Fund (31) into the Advanced Technology, Outreach and Education Fund (17), and execute contracts for electric yard tractor replacements in an amount not to exceed $3,360,000 from the Advanced Technology, Outreach and Education Fund (17). Finally, this action will also reimburse the General Fund for administrative costs up to $60,000 for the electric yard tractor replacements project.

COMMITTEE: Technology, September 15, 2017, Recommended for Approval

RECOMMENDED ACTIONS:

1. Recognize, upon receipt, up to $4,954,500 from U.S. EPA’s 2016 Targeted Air Shed Grant Program into the Advanced Technology, Outreach and Education Fund (17), comprised of $2,477,250 for electric yard tractor replacements at the San Pedro Bay Ports, as well as $2,477,250 for a Commercial Electric Lawn and Garden Equipment Exchange Program.

3. Recognize, upon receipt, up to $500,000 comprised of $312,500 from the Port of Los Angeles and $187,500 from the Port of Long Beach, as cost-share funds for the electric yard tractor replacements into the Advanced Technology, Outreach and Education Fund (17).

4. Transfer $500,000 as a temporary loan and $442,750 for SCAQMD’s cost share from the Clean Fuels Program Fund (31) into the Advanced Technology, Outreach and Education Fund (17).

5. Authorize the Chairman to execute contracts with the following entities to replace diesel- or liquefied petroleum gas-fueled yard tractors with battery-electric yard tractors:
   a. West Basin Container Terminal, LLC for 10 yard tractors in an amount not to exceed $2,100,000 from the Advanced Technology, Outreach and Education Fund (17); and
   b. Total Terminals International for six yard tractors in an amount not to exceed $1,260,000 from the Advanced Technology, Outreach and Education Fund (17).

6. Reimburse the SCAQMD General Fund up to $60,000 from the Advanced Technology, Outreach and Education Fund (17) for administrative costs necessary to implement the electric yard tractor replacements project.

Wayne Nastri
Executive Officer

MMM:FM:VAW:BC

Background
The U.S. EPA’s 2016 Targeted Air Shed Grant Program is intended to reduce ozone and PM2.5 air pollution in non-attainment areas with the highest levels of exposure. In late 2016, SCAQMD applied for two grants under U.S. EPA’s 2016 Targeted Air Shed Grant Program; in March 2017, the SCAQMD was awarded both grants. These grant awards are for an electric lawn and garden equipment incentive and exchange program as well as the replacement of liquefied petroleum gas (LPG)- or diesel-fueled yard tractors with electric yard tractors for demonstration at the San Pedro Bay Ports.

Proposal
This action is to recognize up to $4,954,500 from U.S. EPA’s 2016 Targeted Air Shed Grant Program into the Advanced Technology, Outreach and Education Fund (17), comprised of $2,477,250 for a commercial electric lawn and garden equipment incentive and exchange program as well as $2,477,250 for electric yard tractor replacements at the San Pedro Bay Ports. These actions are to also recognize revenue up to $312,500 from the Port of Los Angeles and up to $187,500 from the Port of Long Beach into the Advanced Technology, Outreach and Education Fund, transfer $500,000 as a temporary loan and $442,750 for SCAQMD’s cost share from the Clean Fuels
Program Fund (31) into the Advanced Technology, Outreach and Education Fund, execute contracts, and reimburse the General Fund for up to $60,000 for administrative costs to implement the electric yard tractor replacements project.

**Electric Lawn and Garden Equipment Incentive and Exchange Program**

This program will incentivize and accelerate the replacement of older commercial lawn and garden equipment with the latest zero emission, battery-electric commercial grade equipment for use in environmental justice areas. The Program will target the replacement of the most polluting commercial lawn and garden equipment, including chain saws, leaf blowers, lawn mowers and trimmers. In order to qualify for the funding, an equivalent operable gasoline or diesel lawn and garden equipment must be scrapped along with at least one fuel storage container. The Program will be made available to local governmental agencies, school districts, commercial gardeners and non-profits, and is expected to begin in the fourth quarter of this year following the conclusion of SCAQMD’s Leaf Blower Exchange Program.

The SCAQMD has been working with CARB through a partnership to share information from SCAQMD’s electric lawn and garden equipment incentive and exchange program. CARB plans to issue a $200,000 contract with California State University Fullerton (CSUF) to collect information from participants in SCAQMD’s exchange program through a series of questionnaires for a period of one year following participants’ receipt of equipment. CARB may allocate a portion of their funding to incentivize program participants to complete the questionnaires in order to increase the survey response rate. Survey data collected through this program will provide information on equipment usage, performance of the zero emission equipment, specifications on the gasoline or diesel equipment traded in, and information about other commercial lawn and garden equipment currently in use. This collaboration will provide an opportunity to evaluate the feasibility of implementing programs of this scope statewide and determining readiness of this technology for marketplace deployment on a commercial level. Information collected will contribute to assessing assumptions currently used to determine the cost-effectiveness of commercial electric lawn and garden equipment and updating emissions estimates to support CARB’s future rulemaking efforts.

This action is to issue a Program Announcement to solicit proposals from manufacturers and/or suppliers of zero emission, battery-electric commercial grade lawn and garden equipment, including but not limited to: chain saws, leaf blowers, lawn mowers and trimmers. The solicitation will require competitive pricing information including any volume discounts for commercial-grade electric lawn and garden equipment models that are currently available for sale.
**Electric Yard Tractor Replacements at the Ports**

This program will incentivize the replacement of up to 16 diesel- or LPG-fueled yard tractors with battery-electric yard tractors to demonstrate the technology’s capability and durability to support demanding duty cycles of cargo handling operations at port terminals. Successful demonstration will help promote market acceptance and accelerate wider-scale deployment of zero emission cargo transport technologies at the San Pedro Bay Ports and in our Basin. In collaboration with the Ports of Los Angeles and Long Beach, two terminal operators, West Basin Container Terminal (WBCT) and Total Terminals International (TTI), have been selected as cost-share partners to replace their yard tractors with electric yard tractors. The replaced yard tractors will be destroyed by a licensed dismantler to ensure permanent and enforceable emission reductions.

Total funding for the proposed electric yard tractor replacements project is $5,340,000, including $60,000 for administrative costs, as outlined in the table below:

<table>
<thead>
<tr>
<th>Funding Source</th>
<th>WBCT</th>
<th>TTI</th>
<th>Admin. Costs</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>U.S. EPA</td>
<td>$1,344,750</td>
<td>$1,072,500</td>
<td>$60,000</td>
<td>$2,477,250</td>
</tr>
<tr>
<td>POLA</td>
<td>$312,500</td>
<td></td>
<td></td>
<td>$312,500</td>
</tr>
<tr>
<td>POLB</td>
<td></td>
<td>$187,500</td>
<td></td>
<td>$187,500</td>
</tr>
<tr>
<td>Proponents</td>
<td>$1,200,000</td>
<td>$720,000</td>
<td></td>
<td>$1,920,000</td>
</tr>
<tr>
<td>SCAQMD (requested)</td>
<td>$442,750</td>
<td></td>
<td></td>
<td>$442,750</td>
</tr>
<tr>
<td>Total</td>
<td>$3,300,000</td>
<td>$1,980,000</td>
<td>$60,000</td>
<td>$5,340,000</td>
</tr>
</tbody>
</table>

**Sole Source Justification**

Section VIII.B.3 of the Procurement Policy and Procedure identifies provisions under which a sole source award may be justified when funded in whole or in part with federal funds. The request for a sole source award for the electric yard tractor replacements project is made under the provision B.3.c: the awarding federal agency authorizes noncompetitive proposals.

**Benefits to SCAQMD**

The proposed projects will reduce ozone and PM2.5 air pollution in areas that have been identified by the U.S. EPA to be within the top five of the most polluted areas in the U.S. relative to annual ozone or PM2.5 standards. The proposed projects will require the replacement of in-use, higher-polluting equipment with zero emission equipment resulting in emission reductions that are needed to achieve the national ambient air quality standards. Both projects will also promote the market acceptance of zero emission battery-electric technologies. The successful integration of the proposed battery-electric equipment will help accelerate market acceptance and broader commercialization, while providing significant benefits in emission reductions and public health, as well as GHG reductions as co-benefits, for the Environmental Justice
communities around the Ports and in other areas throughout the South Coast region.

**Resource Impacts**
The $4,954,500 from U.S. EPA’s 2016 Targeted Air Shed Grant Program will be recognized into the Advanced Technology, Outreach and Education Fund (17) for the two proposed projects: up to $2,477,250 for the Electric Lawn and Garden Equipment Incentive and Exchange Program, and up to $2,477,250 for the electric yard tractor replacements project.

Cost-share funds for the yard tractor replacements project comprised of $312,500 from the Port of Los Angeles and $187,500 from the Port of Long Beach will be recognized into the Advanced Technology, Outreach and Education Fund (17).

Additional funding of up to $442,750 from the SCAQMD Clean Fuels Program will be used to fund the yard tractor replacements project. Sufficient funds are available from the Clean Fuels Fund (31), 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.

**Attachment**
Program Announcement #PA2018-03 Commercial Electric Lawn and Garden Equipment Incentive and Exchange Program in Environmental Justice Areas
Announcing the

South Coast Air Quality Management District’s

Commercial Electric Lawn and Garden Equipment Incentive and Exchange Program in Environmental Justice Areas

Program Announcement

PA2018-03

October 6, 2017
DATE: October 6, 2017

TO: All Interested Parties

FROM: Wayne Nastri, Executive Officer, SCAQMD

SUBJECT: SCAQMD Commercial Electric Lawn and Garden Equipment Incentive and Exchange Program Announcement

The South Coast Air Quality Management District (SCAQMD) is pleased to announce this opportunity for manufacturers and/or suppliers of commercial-grade, electric lawn and garden equipment, including but not limited to: chain saws, leaf blowers, lawn mowers and trimmers. This program announcement will solicit competitive pricing information from manufacturers and/or suppliers of commercial-grade, electric lawn and garden equipment that are currently available for sale, including volume discounts that can be applied to the SCAQMD program. The SCAQMD Commercial Electric Lawn and Garden Equipment Incentive and Exchange Program is expected to start in the spring of 2018 and continue through the spring of 2020. This Program will provide a financial incentive to local governments, school districts, nonprofit organizations, and commercial gardeners that are located in environmental justice communities to turn in their old, polluting lawn and garden equipment and purchase commercial zero-emission, battery-electric lawn and garden equipment.

This program is expected to replace over 4,500 pieces of equipment with zero emission, electric lawn and garden equipment in environmental justice areas of the South Coast Air Basin. Contracts may be awarded to multiple manufacturers/suppliers. All interested parties are encouraged to apply.

The SCAQMD staff is available to assist applicants during the preparation of their applications for this program. Points of contact for administrative and technical assistance are included in the attached Program Announcement in Section F.

Should you have any questions regarding this Program Announcement, please contact:

Mr. Vasken Yardemian, Program Supervisor, at (909) 396-3296.

The Program Announcement can also be accessed via the Internet by visiting SCAQMD’s website at http://www.aqmd.gov where it can be viewed by making the selection “Grants & Bids.”

The program’s main objective is to reduce emissions of harmful air pollutants from the use of gasoline or diesel powered lawn and garden equipment through their replacement with zero-emission equipment in areas of the SCAQMD jurisdiction that have been identified as environmental justice areas, and we look forward to receiving your application.
# TABLE OF CONTENTS

A. COMMERCIAL ELECTRIC LAWN AND GARDEN EQUIPMENT INCENTIVE AND EXCHANGE PROGRAM OVERVIEW .................................................. 1  

B. PROGRAM SCHEDULE ............................................................................. 1  

C. PROPOSAL SUBMITTAL ............................................................................ 2  

D. PARTICIPATION GUIDELINES, REQUIREMENTS, & CONDITIONS ........ 2  
   Amounts of Funding ............................................................................... 2  
   Proposal Requirements ......................................................................... 2  
   Company Contact .................................................................................. 6  

E. PROJECT IMPLEMENTATION .................................................................... 6  
   Project Selection ................................................................................... 6  

F. IF YOU NEED HELP ................................................................................... 6  

ATTACHMENT A ........................................................................................... 7
A. COMMERCIAL ELECTRIC LAWN AND GARDEN EQUIPMENT INCENTIVE AND EXCHANGE PROGRAM OVERVIEW

The purpose of this Program Announcement is to solicit competitive proposals with pricing information from qualified manufacturers or suppliers of commercial grade, battery-electric lawn and garden equipment to be used in a lawn and garden equipment exchange program in the South Coast Air Basin. The Program will provide a financial incentive to local governments, school districts, nonprofit organizations, and commercial gardeners located in environmental justice communities to replace old, polluting commercial lawn and garden equipment with new zero-emission, electric lawn and garden equipment.

This Program Announcement will identify one or more manufacturers or suppliers of commercial electric lawn and garden equipment who will provide the best value including price and other project criteria for participation in the SCAQMD’s program. The successful bidder(s) should be knowledgeable and experienced in the manufacture, and commercial distribution of reliable commercial grade electric lawn and garden equipment. They should have an established network of customer service and distribution centers.

Total SCAQMD funding to be allocated will depend upon the availability of funds and the amount of discount per unit offered by the manufacturers and/or suppliers.

B. PROGRAM SCHEDULE

The implementation schedule of this program is illustrated below:

October 6, 2017          Issue Program Announcement PA2018-03
December 15, 2017        Applications due no later than 1:00 PM
March 16, 2018           Mobile Source Committee Approval
April 6, 2018            Governing Board Approval
May 2018                 Contract Execution
May 2020                 Completion of Program
C. **PROPOSAL SUBMITTAL**

There is no application form for this Program Announcement, however applicants must submit a proposal that includes all of the items listed in Section D of this Program Announcement.

The applicant shall submit **four copies** of the project proposal in a sealed envelope, plainly marked in the upper left-hand corner with the name and address of the applicant and the words “Program Application PA2018-03. All proposals for the SCAQMD Commercial Electric Lawn and Garden Equipment Exchange Program are due no later than 1:00 p.m., Friday December 15, 2017.

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

The written proposals must be received by SCAQMD by the specified date and time regardless of when they are postmarked for delivery. Email and faxed copies will not be accepted. Be sure to obtain a receipt upon submittal of your proposal that identifies the date and time of the submittal.

D. **PARTICIPATION GUIDELINES, REQUIREMENTS, & CONDITIONS**

**Amounts of Funding**

SCAQMD received a grant in the amount of $2,477,250 from the U.S. EPA’s 2016 Targeted Air Shed Program to implement this electric lawn and garden equipment incentive and exchange program in environmental justice areas of the South Coast Air Basin. This funding is intended to reduce emissions, including ozone and PM2.5 air pollution, in non-attainment areas of the South Coast Air Basin through the accelerated retirement of older commercial lawn and garden equipment and replacement with the latest zero-emission, battery-electric commercial grade equipment. The areas that will be targeted for this funding will be those areas within the South Coast Air Basin that are disproportionately impacted by air pollution and identified as environmental justice areas.

In addition to the EPA grant funds, the SCAQMD anticipates cost share funds up to $2,312,458 from other sources, including the participants in the program. The combined total funding for this SCAQMD commercial electric lawn and garden equipment exchange program is estimated at $5,393,931.

**Proposal Requirements**

The South Coast Air Quality Management District (SCAQMD) is pleased to announce this opportunity for manufacturers and/or suppliers of commercial grade, electric lawn and garden equipment to partner with the SCAQMD in the implementation of the SCAQMD’s Commercial Electric Lawn and Garden Equipment Incentive and Exchange
Program, which is expected to begin in the spring of 2018. Following this solicitation, SCAQMD will identify those manufacturers and/or suppliers who have provided competitive pricing and have been selected to partner with SCAQMD to implement this program.

The program is designed to provide the incentive funds to local governments, school districts, nonprofit organizations, and commercial gardeners to replace their older, polluting lawn and garden equipment with the latest models of zero-emission, battery-electric equipment. The SCAQMD would like the participants to have the opportunity to select from a choice of makes and models of commercial grade electric lawn and garden equipment including handheld trimmers, chainsaws, pruners, backpack and handheld blowers, and lawnmowers including ride-on and walk-behind mowers with a cutting width greater than 30 inches.

Bidders to this Program Announcement must provide the following specification details for each proposed commercial grade equipment type and model (per unit) using Table A – Equipment Specifications. Please copy this table and complete for additional equipment, as needed.
Table A – Equipment Information/Specifications

*Please complete the required information below, as applicable, for each make/model of electric lawn and garden equipment you propose. Please copy this table for additional equipment, as needed.*

<table>
<thead>
<tr>
<th>Equipment Type</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Equipment Model Number</td>
<td></td>
</tr>
<tr>
<td>Cordless/Rechargeable</td>
<td>Yes/No</td>
</tr>
<tr>
<td>Clipping Bag Included (if applicable)</td>
<td>Yes/No</td>
</tr>
<tr>
<td>Cutting Width</td>
<td></td>
</tr>
<tr>
<td>Ride-on or walk-behind</td>
<td></td>
</tr>
<tr>
<td>Height Adjustability (Range)</td>
<td></td>
</tr>
<tr>
<td>Mulching Capability</td>
<td>Yes/No</td>
</tr>
<tr>
<td>If yes, is it included in the price?</td>
<td>Yes/No</td>
</tr>
<tr>
<td>Self-propelled (if applicable)?</td>
<td>Yes/No</td>
</tr>
<tr>
<td>Noise Rating in dB(A)</td>
<td></td>
</tr>
<tr>
<td>Air Velocity (mph)</td>
<td></td>
</tr>
<tr>
<td>Air Volume with tubes (cfm)</td>
<td></td>
</tr>
<tr>
<td>Air Volume without tubes (cfm)</td>
<td></td>
</tr>
</tbody>
</table>

**Battery:**

| Charging Time (From zero charge) |                      |
| Lift-out Replaceable Battery    | Yes/No               |
| Run Time per charge             |                      |
| Battery – Voltage               |                      |
| Battery – Amp Hour Capacity     |                      |

**Warranty:**

| Warranty Exchange           |                      |
| Warranty Period for the Mower|                      |
| Warranty Period for the Battery |                |
| Weight (Including Battery)  |                      |
| Toll-free Service Number    |                      |

**Cost and Promotional Information:**

| Manufacturer’s Suggested Retail Price (MSRP) |                      |
| Best Unit Price for SCAQMD’s Program*        |                      |
| Volume Discount Offered **                   |                      |

**One Response per Bidder:**

| List of service locations local to SCAQMD |                      |
| Promotional Equipment Provided | Yes/No; How many? |

*Please provide the best pricing per unit for SCAQMD’s program.

**Please include any volume discounts that can be offered for the SCAQMD program.
This SCAQMD Program is anticipated to replace more than 4,640 pieces of lawn and garden equipment, however the number of each type of lawn and garden equipment is unknown at this time. The number of each type of lawn and garden equipment purchased through this program will depend upon the participation level, demand from participants, and the availability of co-funding that can be applied to this program. If additional funds become available, larger quantities may be needed. This program provides incentive funding for commercial-grade, electric lawn and garden equipment only. Residential grade equipment is not allowed under this program.

The SCAQMD incentive funding will be used to reduce the unit price of each commercial electric lawn and garden equipment. The consumers will be able to purchase the equipment at a reduced price in exchange for an equivalent operable gasoline or diesel powered equipment with at least one fuel container. As the participants are given the choice of type of equipment and make/model, the actual numbers of different lawn and garden equipment purchased through this program will not be known until the program is completed.

Each proposal must also include verification of the commercial availability of the commercial-grade electric lawn and garden equipment (with any brochures or other equipment information that may be available), a commitment to supply the minimum quantities identified below, and identification of an adequate number of service centers as specified below. Each proposal shall address each of the following criteria:

- Detailed product specifications
- Product Availability
- Supply commitment (see minimum quantities below)
- Lead time between order date and product delivery date (if applicable)
- Product warranty information to be provided to the consumer
- Service Centers: Minimum of 5 locations required with at least one center located in each of the four counties served by SCAQMD. Preference will be given to manufacturers/suppliers with service centers in EJ areas.
- MSRP and price offered to SCAQMD:
  Each manufacturer must provide their best price for each model they plan to offer. Although the SCAQMD plans to exchange more than 4,500 commercial grade electric lawn and garden equipment, there is no way to predict how many of each make or model will be sold.

Each proposal shall include a commitment to supply the following minimum quantities of each type of equipment:

- Lawn Mowers (walk behind) 1,500
- Lawn Mowers (larger size, >30-inches cutting size) 100
- Leaf Blowers 1,500
- Chain Saws 300
- Trimmers 400
- Other Lawn and Garden Equipment 200

The above minimum quantities of lawn and garden equipment are expected to be needed.
for this SCAQMD Program. If your company cannot supply the minimum quantity above, please propose a lower quantity that your company will be able to provide.

In the selection process, preference in the evaluation may be given to models with the best specifications and or cost-effectiveness.

Company Contact

Proposers shall provide the company’s contact person’s name, address, phone numbers and email address.

E. PROJECT IMPLEMENTATION

Project Selection

Contractor(s) will be selected based on, but not limited to, the following criteria:

- Product Specifications
- Product Availability
- Pricing (including discounts offered for this SCAQMD Program)
- Supply Commitment
- Lead time between order date and product delivery date (if applicable)
- Product Warranty Information
- Service Centers: Minimum of 5 locations required with at least one center located in each of the four counties served by SCAQMD. Preference will be given to manufacturers/suppliers with service centers in EJ areas.

Product shall be available no later than January 2018.

F. IF YOU NEED HELP

This Program Announcement can be obtained by accessing the SCAQMD website at http://www.aqmd.gov. SCAQMD staff members are available to answer questions during the application acceptance period. In order to help expedite assistance, please direct your inquiries to the applicable staff person, as follows:

- For General, Administrative, or Technical Assistance, please

  Contact: Vasken Yardemian
  Program Supervisor
  Phone: 909-396-3296
  Fax: 909-396-3632
  vyardemian@aqmd.gov
ATTACHMENT A

CERTIFICATIONS AND REPRESENTATIONS
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 Administrative Officer

DH:tm

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

REV 2/17
## Business Information Request

<table>
<thead>
<tr>
<th>Business Name</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Division of</td>
<td></td>
</tr>
<tr>
<td>Subsidiary of</td>
<td></td>
</tr>
<tr>
<td>Website Address</td>
<td></td>
</tr>
<tr>
<td>Type of Business</td>
<td>Check One:</td>
</tr>
<tr>
<td>INDIVIDUAL</td>
<td></td>
</tr>
<tr>
<td>DBA, Name ___________, County Filed in ___________</td>
<td></td>
</tr>
<tr>
<td>CORPORATION, ID NO. ___________</td>
<td></td>
</tr>
<tr>
<td>LLC/LLP, ID NO. ___________</td>
<td></td>
</tr>
<tr>
<td>OTHER ___________</td>
<td></td>
</tr>
</tbody>
</table>

## Remitting Address Information

<table>
<thead>
<tr>
<th>Address</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>City/Town</td>
<td></td>
</tr>
<tr>
<td>State/Province</td>
<td>Zip</td>
</tr>
<tr>
<td>Phone</td>
<td>( ) - Ext</td>
</tr>
<tr>
<td>Contact</td>
<td>Title</td>
</tr>
<tr>
<td>E-mail Address</td>
<td></td>
</tr>
<tr>
<td>Payment Name if Different</td>
<td></td>
</tr>
</tbody>
</table>

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

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

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

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

Statements of certification:

As a prime contractor to 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:
- Small Business Enterprise/Small Business Joint Venture
- Local business
- Minority-owned Business Enterprise
- Women-owned Business Enterprise
- Disabled Veteran-owned Business Enterprise/DVBE Joint Venture
- Most Favored Customer Pricing Certification

Percent of ownership: ________%

Name of Qualifying Owner(s): ____________________________________________

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

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

__________________________________________  __________________________
NAME                                           TITLE

__________________________________________  __________________________
TELEPHONE NUMBER                               DATE
Definitions

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

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

**Local Business** means a business that meets all of the following criteria:
- has an ongoing business within the boundary of 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.

**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.
W-9
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 [ ] Corporation [ ] S Corporation [ ] Partnership [ ] Trust/estate
   single-member LLC
   [ ] 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 individually; see instructions on page 3):
   [ ] Exempt status 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.)

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.

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.

Social security number

OR

Employer Identification number

Part II Certification

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

Certification Instructions: You must cross out item 2 above if you have been notified by the IRS that you are 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 of 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/W9.

Purpose of Form

An individual or entity (Form W-9 requestor) 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 1098-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:
1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding,
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If so, you are also certifying that as a U.S. person, your allocable share of
   any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See What Is FATCA reporting?
on page 2 for further information.

Cat. No. 10231X

Form W-9 (Rev. 12-2014)
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 provide a TIN that is not a foreign partnership, 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 his U.S. status and avoiding withholding on his 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, 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 the beneficiaries of the trust.

Foreign person. If you are a foreign person or the U.S. branches 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 8833 (see Publication 515, Withholding of Tax on Certain Foreign Financial Accounts). Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the form of a tax treaty to reduce or eliminate U.S. tax on certain types of income. Under certain tax treaties, the United States may provide a tax exemption to a nonresident alien for purposes of Form W-9.

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:

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 on tax-exempt 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 he or she stays in the United States for 5 calendar years. However, paragraph 3 of Article 20 of 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 section (paragraph 2 of the first protocol) and is relying on this exemption 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 8833.

Backup Withholding What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS 26% 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 time charter 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 and report all your taxable interest and dividends on your tax return (for reportable interest and dividends only), or
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 1995 only).

Certain payees and payments are exempt from backup withholding. See exempt payee code on page 3 and the separate instructions for the Requestor 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 accounted United States persons. Certain payees are exempt from FATCA reporting. See Exemption from FATCA reporting code on page 3 and the instructions for the Requestor of Form W-9 for more information.

Updating Your Information
You must provide updated information to any person to whom you 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 are no longer a 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 failure unless your failure is due to reasonable cause and not willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable cause that results in no backup withholding, you are subject to a $50 penalty.

Criminal penalty for failing to comply. Wilfully failing to comply or 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.

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 change, enter your name as shown on your social security card, and your last name as shown in your name, last name as shown on your social security card, and your last name as shown in your name.

b. Sole proprietor or single-member LLC. Enter your individual name as shown on your tax return line 1 and any business, trade, or “doing business as” (DBA) name on line 2.

c. Partnership, LLC that is not a single-member LLC, or Corporation, or S Corporation. Enter the entity’s name on the entity’s tax return 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 this entity. You may enter any business, trade, or DBA name on line 2.

a. 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 301.7701-3(c)(3)(ii). 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 line 1 and any business, trade, or DBA name on line 2.

b. Business name/disregarded entity name. If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.
Line 2
If you have a business name, trade name, DGA 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 “RP” in the space provided. If the LLC has filed Form 8282 or 9563 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 the LLC is a single-member LLC that is disregarded for federal income tax purposes, 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 codes that may apply to you.

Exclude 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 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, a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(k)(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 registered to trade 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 fiduciary known in the investment community as a nominee or custodian.
13. A trust exempt from tax under section 504 or described in section 512(a).

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exemption payee code 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 8 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.

Borrower exchange transactions and patronage dividends
Exempt payee 1 through 4.

Payments over $600 required to be reported and direct assets over $5,000
Generally, exempt payee 1 through 5.

Payments made in settlement of payment card or third party network transactions
Exempt payee 1 through 4.

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

However, the following payments made to a corporation and reportable on Form 1096-MISC are not exempt from backup withholding and/or FATCA payments, attorneys’ fees, gross proceeds paid to an attorney reportable under section 6046(a), 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 other 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(b)(7).
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(f)(1).
E. A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(f)(1).
F. A dealer in securities, commodities, or derivative financial instruments, including (non-qualifying) principal contracts, futures, forwards, and options that are 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 581 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 504 or described in section 547(a)(1).
M. A tax exempt trust under 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 a SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box if you do not have a SSN. See How to get a TIN below.

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

If you are a single-member LLC that is disregarded for federal income tax purposes (see Limited Liability Company (LLC) on this page), enter your owner’s SSN or ITIN. If the owner has one. Do not enter the disregarded entity’s SSN. 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 the 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 traceable 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. Except payees, see exempt payee code carrier.

**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 inactive 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 recipient’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 programs 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

<table>
<thead>
<tr>
<th>For this type of account:</th>
<th>Give name and SSN of:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Individual</td>
<td>The Individual</td>
</tr>
<tr>
<td>2. Two or more individuals (joint account)</td>
<td>The individual owner of the account or, if combined funds, the first individual on the account</td>
</tr>
<tr>
<td>3. Custodial account of a minor (Uniform Gift to Minor Act)</td>
<td>The minor</td>
</tr>
<tr>
<td>4. The usual revocable savings trust (grantor is also trustee)</td>
<td>The granter-trustee</td>
</tr>
<tr>
<td>5. Sole proprietorship or disregarded entity owned by an individual</td>
<td>The owner</td>
</tr>
<tr>
<td>6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-1(b)(3)) (A)</td>
<td>The grantor</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>For this type of account:</th>
<th>Give name and EIN of:</th>
</tr>
</thead>
<tbody>
<tr>
<td>7. Disregarded entity not owned by an individual</td>
<td>The owner</td>
</tr>
<tr>
<td>8. A valid trust, estate, or pension trust</td>
<td>Legal entity</td>
</tr>
<tr>
<td>9. Corporation or LLC electing corporate status on Form 8822 or Form 2553</td>
<td>The corporation</td>
</tr>
<tr>
<td>10. Association, club, religious, charitable, educational, or other tax exempt organization</td>
<td>The organization</td>
</tr>
<tr>
<td>11. Partnership or multi-member LLC</td>
<td>The partnership</td>
</tr>
<tr>
<td>12. A broker or registered nominee</td>
<td>The broker or nominee</td>
</tr>
<tr>
<td>13. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or person that receives agricultural program payments</td>
<td>The public entity</td>
</tr>
<tr>
<td>14. Grantor trust filing under the Form 1041 Filing Method or Optional Form 1099 Filing Method 2 (see Regulations section 1.671-1(b)(3)) (B)</td>
<td>The trust</td>
</tr>
</tbody>
</table>

---

1. List first and circled 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. Name the minor’s name and furnish the minor’s SSN.
### Withholding Exemption Certificate

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

#### Withholding Agent Information

<table>
<thead>
<tr>
<th>Name</th>
</tr>
</thead>
</table>

#### Payee Information

<table>
<thead>
<tr>
<th>Name</th>
<th>ISIN or ITIN</th>
<th>FEIN</th>
<th>CA Corp no.</th>
<th>CA SOS file</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Address (apt./sla., room, PO box, or PMB no.)</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>City (If you have a foreign address, see instructions.)</th>
<th>State</th>
<th>ZIP code</th>
</tr>
</thead>
</table>

#### Exemption Reason

Check only one box.

- **Individuals — Certification of Residency:**
  - I am a resident of California and I reside at the address shown above. If I become a nonresident at any time, I will promptly notify the withholding agent. See Instructions for General Information D, Definitions.

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

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

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

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

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

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

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

#### CERTIFICATE OF PAYEE:

Payee must complete and sign below.

To learn about your privacy rights, how we may use your information, and the consequences for not providing the requested information, go to [FTB.ca.gov](http://ftb.ca.gov) and search for privacy notice. To request this notice by mail, call 800.652.5711.

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

<table>
<thead>
<tr>
<th>Type or print payee’s name and title</th>
<th>Telephone</th>
<th>Payee’s signature</th>
<th>Date</th>
</tr>
</thead>
</table>

**Form 590 C2 2016**
2017 Instructions for Form 590
Withholding Exemption Certificate

General Information

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

A Purpose

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

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

Form 590 does not apply to payments for wages to employees. Wage withholding is administered by the California Employment Development Department (EDD). For more information, go to edd.ca.gov or call 888.745.3885.

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

The following are excluded from withholding and completing this form:

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

B Income Subject to Withholding

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

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

- Payments to nonresidents for services rendered in California.
- Distributions of California source income made to domestic nonresident partners, members, and S corporation shareholders and allocations of California source income made to foreign partners and members.
- Payments to nonresidents for rents if the payments are made in the course of the withholding agent’s business.
- Payments to nonresidents for royalties from activities sourced in 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 from the withholding requirement should complete Form 590 and submit it to the withholding agent before payment is made. The withholding agent is then relieved of the withholding requirements if the agent relies in good faith on a completed and signed Form 590 unless notified by the Franchise Tax Board (FTB) that the form should not be relied upon.

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

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

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

D Definitions

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

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

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

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

E Military Spouse Residency Relief Act (MSRRA)

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

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

Domicile is defined as the one place:

- Where you maintain a true, fixed, and permanent home.
- To which you intend to return whenever you are absent.
A military servicemember's nonmilitary spouse is considered a nonresident for tax purposes if the servicemember and spouse have the same domicile outside of California and the spouse is in California solely to be with the servicemember who is serving in compliance with Permanent Change of Station orders. California may require nonmilitary spouses of military servicemembers to provide proof that they meet the criteria for California personal income tax exemption as set forth in the MSRPA. 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 MSRPA requirements, get FTB Pub. 1032.

Specific Instructions

Payee Instructions
Enter the withholding agent's name.
Enter the payee's information, including the TIN and check the appropriate TIN box.
You must provide a valid TIN as requested on this form. The following are acceptable TINs: social security number (SSN); individual taxpayer identification number (ITIN); federal employer identification number (FEIN); California Employer Identification number (CA Corp no.); or CA SOS file number.
Private Mail Box (PMB) — include the PMB in the address field. Write “PMB” first, then the box number. Example: 111 Main Street PMB 123.
Foreign Address — follow the country’s practice for entering the city, county, province, state, country, and postal code, as applicable, in the appropriate boxes. Do not abbreviate the country name.
Exemption Reason — Check the box that reflects the reason why the payee is exempt from the California income tax withholding requirement.

Withholding Agent Instructions
Do not send this form to the FTB. The withholding agent retains this form for a minimum of five years or until the payee's status changes, and must provide this form to the FTB upon request.
The payee must notify the withholding agent if any of the following situations occur:
- The individual payee becomes a nonresident.
- The corporation ceases to have a permanent place of business in California or ceases to be qualified to do business in California.

Additional Information

Website: For more information go to ftb.ca.gov and search for nonwage.
MyFTB offers secure online tax account information and services. For more information and to register, go to ftb.ca.gov and search for myftb.
Telephone: 888.792.4900 or 916.845.4900, Withholding Services and Compliance phone service
Fax: 916.845.9612
Mail: WITHHOLDING SERVICES AND COMPLIANCE MS 4162 FRANCHISE TAX BOARD PO BOX 942867 SACRAMENTO CA 94267-0617

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

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

Asistencia Para Internet y Telefonos
Sitio web: ftb.ca.gov
Telefonos: 800.852.5711 dentro de los Estados Unidos
916.845.6500 fuera de los Estados Unidos
TTY/TDD: 800.822.6268 para personas con discapacidades auditivas o de habla
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?
If YES, complete Section II below and then sign and date the form. If NO, sign and date below. Include this form with your submittal.

**Campaign Contributions Disclosure, continued:**

Name of Contributor

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

Name of Contributor

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

Name of Contributor

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

Name of Contributor

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

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.
Direct Deposit Authorization

STEP 1: Please check all the appropriate boxes
- Individual (Employee, Governing Board Member)
- Vendor/Contractor
- Changed Information
- New Request
- Cancel Direct Deposit

STEP 2: Payee Information

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

Vendor/Contractor Business Name (if applicable)

Address

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

City

State

Zip

Country

Taxpayer ID Number

Telephone Number

Email Address

Authorization
1. I authorize South Coast Air Quality Management District (SCAQMD) to direct deposit funds to my account in the financial institution as indicated below. I understand that the authorization may be rejected or discontinued by SCAQMD at any time. If any of the above information changes, I will promptly complete a new authorization agreement. If the direct deposit is not stopped before closing an account, funds payable to me will be returned to SCAQMD for distribution. This will delay my payment.

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

3. I hereby release and hold harmless SCAQMD for any claims or liability to pay for any losses or costs related to insufficient fund transactions that result from failure within the Automated Clearing House network to correctly and timely deposit monies into my account.

STEP 3:
You must verify that your bank is a member of an Automated Clearing House (ACH). Failure to do so could delay the processing of your payment. You must attach a voided check or have your bank complete the bank information and the account holder must sign below.

To be Completed by your Bank

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

Account Holder Name(s)

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

Bank Representative Printed Name

Bank Representative Signature

Date

ACCOUNT HOLDER SIGNATURE:

For SCAQMD Use Only

Input By ____________________  Date ______________
Recognize Revenue, Execute Contracts for Electric Yard Tractor Replacements, Transfer Funds, Reimburse General Fund for Administrative Costs, and Issue Program Announcement for Commercial Electric Lawn and Garden Equipment Exchange Program
In March 2017, SCAQMD was awarded two grants from EPA’s 2016 Targeted Air Shed Program:
  - Commercial Electric Lawn & Garden Equipment Incentive and Exchange Program
  - Electric Yard Tractor Replacements at the San Pedro Bay Ports

EPA’s Targeted Air Shed Grant Program is intended to reduce ozone and PM2.5 air pollution in non-attainment areas with the highest levels of exposure
Commercial Electric Lawn & Garden Equipment Exchange Program

- EPA awarded up to $2,477,250 (incl. 6% administrative costs)
- Additional funding from other sources, including the participants, up to $2,312,458 for total program funding of over $5.3 million
- Accelerate turnover of old, high polluting lawn and garden equipment through replacement with electric equipment (chain saws, leaf blowers, lawn mowers and trimmers)
- Funding for projects in EJ areas
- Local governments, school districts, commercial gardeners and non-profits
**Partnership with CARB**

- SCAQMD will partner with CARB to share information on the electric lawn and garden equipment purchased and participant information.
- CARB contracted with Cal State University Fullerton to survey participants on zero emission lawn and garden equipment usage, performance and other information.
- CARB interested in implementing a program of this type statewide and collecting data to support future rulemaking efforts.
Program Announcement

- To solicit pricing information from manufacturers and/or suppliers
- Proposals must include: equipment specifications, per unit pricing, volume discounts, product availability, commitment to supply the quantities needed, and warranty information
- A minimum of five service centers, with at least one center in each of the four counties served by SCAQMD
- Preference for service centers located in EJ areas
- Proposal deadline: no later than 1 pm, December 15, 2017
Battery Electric Yard Tractor Replacement Project

- Replace 16 diesel- or LPG-fueled yard tractors with battery electric yard tractors:
  - West Basin Container Terminal for 10 yard tractors (Port of Los Angeles)
  - Total Terminal International for 6 yard tractors (Port of Long Beach)
- Promote and accelerate market acceptance of zero emission cargo transport technologies
- Replaced tractors will be dismantled for permanent and enforceable emission reductions
## Proposed Funding

<table>
<thead>
<tr>
<th>Funding Source</th>
<th>WBCT</th>
<th>TTI</th>
<th>Administrative Cost</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>U.S. EPA</td>
<td>$1,344,750</td>
<td>$1,072,500</td>
<td>$60,000</td>
<td>$2,477,250</td>
</tr>
<tr>
<td>POLA</td>
<td>$312,500</td>
<td></td>
<td></td>
<td>$312,500</td>
</tr>
<tr>
<td>POLB</td>
<td></td>
<td>$187,500</td>
<td></td>
<td>$187,500</td>
</tr>
<tr>
<td>Proponents</td>
<td>$1,200,000</td>
<td>$720,000</td>
<td></td>
<td>$1,920,000</td>
</tr>
<tr>
<td>SCAQMD (requested)</td>
<td>$442,750</td>
<td></td>
<td></td>
<td>$442,750</td>
</tr>
<tr>
<td>Total</td>
<td>$3,300,000</td>
<td>$1,980,000</td>
<td>$60,000</td>
<td>$5,340,000</td>
</tr>
</tbody>
</table>
Recommended Actions

- Recognize up to $4,954,500 from U.S. EPA’s 2016 Targeted Air Shed Grant Program comprised of:
  - $2,477,250 for a commercial electric lawn and garden equipment exchange program, and
  - $2,477,250 for yard tractor replacements with electric yard tractors for demonstration at the San Pedro Bay Ports

- Issue Program Announcement #PA2018-03 for the Commercial Electric Lawn and Garden Equipment Exchange Program
Recommended Actions (cont’d)

- Recognize up to $500,000 from the Ports of Los Angeles and Long Beach into the Advanced Technology, Outreach and Education Fund (17)
- Transfer $500,000 as a temporary loan and $442,750 for SCAQMD’s cost-share from Clean Fuels (Fund 31) into Fund (17)
- Execute contracts with the following entities:
  - West Basin Container Terminal, LLC, for 10 electric yard tractors, not to exceed $2,100,000
  - Total Terminals International for 6 electric yard tractors, not to exceed $1,260,000
- Reimburse the General Fund up to $60,000 for administrative costs to implement the yard tractor replacement projects
BOARD MEETING DATE: October 6, 2017          AGENDA NO.

PROPOSAL: Issue, and If Necessary Re-Issue, Program Announcement for the Replacement of Heavy-Duty Diesel Trucks and Authorize Execution of Contracts Under Proposition 1B-Goods Movement Program

SYNOPSIS: Under the fifth year and final funding cycle of the Proposition 1B-Goods Movement Program, the SCAQMD has twice issued program announcements for the replacement of heavy-duty diesel trucks and transport refrigeration units with zero and near-zero emission technologies. Although the Program was initially oversubscribed, due to the commercial unavailability of some technologies, various award recipients have decided or may decide not to move forward with their project based on their evolving business needs. As a result, there are available funds that need to be committed. CARB has agreed that air districts solicit projects for heavy-duty trucks for the undersubscribed amount and execute contracts until funds are exhausted. This action is to issue, and if necessary re-issue, a Program Announcement for the replacement of heavy-duty diesel trucks and authorize the Chairman to execute contracts for eligible projects approved by CARB, until any returned and remaining funds under the “Year 5” grant of the Proposition 1B-Goods Movement Program Fund (81) are exhausted.

COMMITTEE: Technology, September 15, 2017; Recommended for Approval

RECOMMENDED ACTION:
Issue, and if necessary re-issue. Program Announcement #PA2019-01 for the replacement of heavy-duty diesel trucks, and authorize the Executive Officer to execute contracts for eligible projects approved by CARB, until any returned and remaining funds under the “Year 5” grant of the Proposition 1B-Goods Movement Program Fund (81) are exhausted.

Wayne Nastri
Executive Officer
Background
To date, CARB has granted about $458 million to the SCAQMD for various goods movement projects, including heavy-duty diesel trucks, locomotives, and ships at berth under the Proposition 1B-Goods Movement Program. 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 last round of 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 the replacement of heavy-duty diesel trucks with near-zero and zero-emission technologies, and zero-emission transport refrigeration units (TRUs) and supporting infrastructure. The remaining $37 million was allocated for locomotives, ships at berth and cargo handling equipment projects. After previous solicitations, about $7 million of the $37 million remains and as agreed with CARB, will be reallocated to fund heavy-duty trucks projects. Furthermore, though the heavy-duty truck solicitation was initially oversubscribed, due to the commercial unavailability of some technologies, various award recipients have decided not to move forward resulting in availability of about $4 million. Thus, about $11 million from the $137.9 million total grant amount is available for heavy-duty truck projects.

Proposal
This action is to issue, and if necessary re-issue Program Announcement (PA) #PA2018-01 for the replacement of heavy-duty diesel trucks, and authorize the Chairman to execute contracts for eligible projects approved by CARB, until any returned and remaining funds under the “Year 5” grant of the Proposition 1B-Goods Movement Program Fund (81) are exhausted.

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 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 menu selection “Grants & Bids.”)
**Benefits to SCAQMD**
The successful implementation of the projects approved under the Proposition 1B-Goods Movement Program will reduce NOx and PM emissions in a cost-effective and expeditious manner to help meet the goals of the AQMP. The vehicles and equipment to be funded by the Proposition 1B Program will operate for the life of the contracts awarded and beyond in the South Coast region, thus providing long-term emission reductions.

**Resource Impacts**
Any remaining funds that are or may become available from returned projects under the “Year 5” grant of the Proposition 1B-Goods Movement Program, will be awarded to eligible projects with CARB’s approval from the Proposition 1B-Goods Movement Program Fund (81), until all funds are exhausted.

**Attachment**
Program Announcement #PA2018-01 for the Replacement of Heavy-Duty Diesel Trucks Under the Proposition 1B-Goods Movement Program
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. Program funding will be available until a sufficient number of eligible and complete applications have been received, and all Program funds are fully committed through executed contracts. If additional funds become available, the SCAQMD may reissue this Program Announcement for additional heavy-duty diesel truck projects.

This Program Announcement is seeking applications for the replacement of heavy-duty diesel truck projects, including the six project options identified below. Please note funding is also available for electric charging stations, hydrogen fueling units, and truck stop electrification infrastructure. About $11 million in Program funds are available for this solicitation.

**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 16,001 lbs or greater (Class 5, 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.

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

1. **Truck Replacement**
2. **Truck Engine Repower**
3. **Three-Way Truck Transaction**
4. **Two-for-One Truck Replacement**
5. **Electrification Infrastructure at a Truck Stop, Rail Yard or Other Facility**
6. **Electric Charging Stations or Hydrogen Fueling Units**

Equipment specifications for each of these project options can be found in Appendix A of the 2015 Program Guidelines at: [www.arb.ca.gov/gmbond](http://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](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
SCAQMD Program Announcement for the Replacement of Heavy-Duty Diesel Truck Projects Under the Proposition 1B - Goods Movement Emission Reduction Program PA2018-01

21865 Copley Dr., Diamond Bar, CA 91765
Attn: Procurement

NOTE: Facsimile or email submittals will not be accepted.

WHEN: This solicitation will be open until Program funds are fully committed, but no later than January 16, 2018 at 1pm. Applications will be evaluated in the order in which they are received.

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 October 6, 2017 - Until Program funds are fully committed, but no later than January 16, 2018 at 1pm.

Anticipated:
SCAQMD Evaluation Period October 6, 2017 – January 16, 2018
SCAQMD to Issue Contracts October 2017 - March 1, 2018
Operational Deadline June 1, 2019 if equipment is commercially available, or December 1, 2020 if equipment is not commercially available.

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

Mei Wang, Program Supervisor • (909) 396-3257 • mwang@aqmd.gov
I. SUMMARY

The purpose of this Program Announcement (PA) is to solicit applications for the replacement of heavy-duty truck projects under the State’s Proposition 1B – Goods Movement Emission Reduction Program. This PA will include projects of the following equipment types:

- Heavy-duty diesel trucks (replacement or repower with alternative fuel or advanced technologies identified in Tables 1 and 2)
- Truck stop electrification infrastructure
- Electric charging stations
- Hydrogen fueling infrastructure

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 granted close to $929 million to local agencies for various goods movement projects. The project categories 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 air quality impacts of alternative fuels, and workforce training. AQIP was created in 2007 by Assembly Bill (AB) 118, the California Alternative and Renewable Fuel, Vehicle Technology, Clean Air, and Carbon Reduction Act of 2007 (Núñez, 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 5 Truck (Weight Classification)**
A heavy duty truck with a Gross Vehicle Weight Rating of 16,001 to 19,500 pounds, equipped with a medium-heavy duty engine.

c) **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.

d) **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.

e) **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.

f) **Drayage Truck**
Drayage trucks are defined in the California Code of Regulations (CCR) by Section C.15 of the Drayage Truck Regulation (13 CCR §2027) as 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.

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

h) **“Goods”**
Defined as having the same meaning in California Code, 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.”
i) **Hybrid Truck**  
Vehicle with an electric drive system powered by an on-board generator and approved for funding by CARB’s AQIP.

j) **Hybrid Zero Emission Mile Truck**  
Hybrid vehicle capable of zero emission miles.

k) **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.

l) **Middle-Aged Truck**  
A truck with a model year 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.

m) **New Truck**  
Truck with a model year 2016 or newer engine that has not been previously owned.

n) **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 requirements; establish new, optional provisions; and enhance enforcement and implementation of existing regulations.

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 CARB to the optional low-NOx standard of 0.02 g/bhp-hr NOx or lower will be considered for funding through this Program Announcement.

o) **Repower**  
To replace a higher-emitting diesel engine in a truck with a new or remanufactured, diesel engine that meets a more stringent emission standard (pollutes less). In a repower, the truck chassis remains the same. For example, replacing a 2006 engine, in an MY2006 model year truck, with a
2015 engine. The emissions from the new engine are verified with the CARB Executive Order for that engine family.

p) **Small Fleets**
Fleets with one to three on-road, diesel trucks and buses or vehicles with a gross vehicle weight rating (GVWR) greater than 14,000 lbs., as long as the vehicles are under common ownership and or control even if they are part of different companies, subsidiaries, divisions, or other organizational structures of a company or agency, regardless of whether the vehicles operate in California.

q) **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.

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.

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 – All Fleet sizes

<table>
<thead>
<tr>
<th>Project Type(^1)</th>
<th>Truck Class</th>
<th>Old Truck Engine Model Year</th>
<th>Replacement Engine Model Year</th>
<th>Maximum Funding Amounts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Replacement (2-4-1 also available)</td>
<td>Class 8</td>
<td>2009 or older</td>
<td>New MY2016+ engine zero emission truck(^2,3)</td>
<td>$200,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>New MY2016+ engine hybrid zero emission mile truck(^2,3)</td>
<td>$150,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>New MY2016+ engine optional low-NOx truck (0.02 g/bhp-hr NOx or less)(^2,3)</td>
<td>$100,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>New MY2016+ engine hybrid truck(^2,3)</td>
<td>$80,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>New MY 2016+ engine natural gas truck(^2,3,4)</td>
<td>$65,000</td>
</tr>
<tr>
<td>Class 7</td>
<td>2009 or older</td>
<td>New MY2016+ engine zero emission truck(^2,3)</td>
<td>$200,000</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>New MY2016+ engine hybrid zero emission mile truck(^2,3)</td>
<td>$150,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>New MY2016+ engine optional low-NOx truck (0.02 g/bhp-hr NOx or less)(^2,3)</td>
<td>$100,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>New MY2016+ engine hybrid truck(^2,3)</td>
<td>$80,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>New MY 2016+ engine natural gas truck(^2,3,4)</td>
<td>$65,000</td>
</tr>
<tr>
<td>Class 6</td>
<td>1999 – 2009</td>
<td>New MY2016+ engine zero emission truck(^2,3)</td>
<td>$100,000</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>New MY2016+ engine hybrid zero emission mile truck(^2,3)</td>
<td>$65,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>New MY2016+ engine optional low-NOx truck (0.02 g/bhp-hr NOx or less)(^2,3)</td>
<td>$50,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>New MY2016+ engine hybrid truck(^2,3,8)</td>
<td>$45,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>New MY 2016+ engine natural gas truck(^2,3,4,8)</td>
<td>$40,000</td>
</tr>
<tr>
<td>Class 5</td>
<td>2000 - 2009</td>
<td>New MY2016+ engine zero emission truck(^2,3)</td>
<td>$80,000</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>New MY2016+ engine hybrid zero emission mile truck(^2,3)</td>
<td>$50,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>New MY2016+ engine optional low-NOx truck (0.02 g/bhp-hr NOx or less)(^2,3)</td>
<td>$40,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>New MY2016+ engine hybrid truck(^2,3,8)</td>
<td>$35,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>New MY 2016+ engine natural gas truck(^2,3,4,8)</td>
<td>$25,000</td>
</tr>
<tr>
<td>Three-way Truck Transaction</td>
<td>Class 5/6/7/8</td>
<td>Truck A: MY2007-2009 engine truck(^5,6,7)</td>
<td><strong>Replace Truck A with Truck C(^2,3)</strong></td>
<td><strong>Contact SCAQMD</strong></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Truck B: Truck with MY2006 or older engine</td>
<td><strong>Scrap Truck B and replace with Truck A (reuse)</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Truck C: New MY 2016+ engine truck as described above</td>
<td><strong>Truck A and B may be owned/operated by a different owner.</strong></td>
<td></td>
</tr>
</tbody>
</table>

### Table 1 Notes:

1. Project life for replacement and repowered truck is five 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.
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.
8. This option is not available for the existing Class 5 and 6 trucks that have an engine of MY1999.

### Table 2: Heavy-Duty Trucks – Small Fleets Only

<table>
<thead>
<tr>
<th>Project Type</th>
<th>Truck Class</th>
<th>Old Truck Engine Model Year</th>
<th>Replacement Engine Model Year</th>
<th>Maximum Funding Amounts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Repower Class 8</td>
<td>2009 or older</td>
<td>Repower with new MY2016+ engine</td>
<td>$20,000</td>
<td></td>
</tr>
<tr>
<td>Repower Class 7</td>
<td>2009 or older</td>
<td>Repower with new MY2016+ engine</td>
<td>$20,000</td>
<td></td>
</tr>
<tr>
<td>Repower Class 6</td>
<td>1999 – 2009</td>
<td>Repower with new MY2016+ engine</td>
<td>$10,000</td>
<td></td>
</tr>
</tbody>
</table>

Table 2 Notes:
1 The replacement engine must be either zero emission or meeting the option low-NOx standard.

### Table 3: Truck Stop Electrification Infrastructure

<table>
<thead>
<tr>
<th>Project Type</th>
<th>Project Description</th>
<th>Maximum Funding Amounts</th>
<th>Project Life (years)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Truck Stop Electrification</td>
<td>Landside electrification infrastructure at a truck stop, rail yard, or other freight facility.</td>
<td>50% of eligible costs or the calculated funding amount at 0.10 lbs/State $, whichever is lower</td>
<td>10</td>
</tr>
<tr>
<td>Electric Charging Stations or Hydrogen Fueling Units</td>
<td>Infrastructure for an electric charging r hydrogen fueling units for heavy-duty trucks.</td>
<td>50% of eligible costs or $30,000, whichever is lower</td>
<td>5</td>
</tr>
</tbody>
</table>

**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 (form INF 1125) for each truck in your application. To find your local DMV office, please visit [http://www.dmv.ca.gov](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](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 not readable/legible, 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](http://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 5, 6, 7, and 8 trucks are the only projects that can be funded under this solicitation.

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

- Existing truck has been 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 each year 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 5 or 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:
      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 90-day BIT inspection form) 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 The Truck Regulation Upload, Compliance, and Reporting System (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) and/or engine (repowers & 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.
- 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.

Program Requirements for Engines for Repower/Replacement Projects:

- Engines eligible for funding must be certified/verified (as applicable) by a CARB Executive Order for on-road use with the following:
  - Diesel and alternative fuel engines must meet the 2010 emissions level of 0.20 grams per brake-horsepower hour (g/bhp-hr) or less NOx (FEL and CERT values) and 0.01 g/bhp-hr or less PM (CERT value).
  - Hybrid and zero emission engines must be 2016 or newer and certified/verified (as applicable) by CARB.
  - Low NOx engines must meet the optional low NOx standard of 0.02 g/bhp-hr or less NOx and be certified/verified (as applicable) by CARB.
  - Class 8 truck - intended service of Heavy Heavy Duty (HHD) for diesel engines or Heavy Duty Otto (HDO) for applicable alternative fuel vehicles.
  - Class 7 truck - intended service of Medium Heavy Duty (MHD) or HHD for diesel engines or HDO for applicable alternative fuel vehicles.
  - Class 5 and 6 truck - intended service of MHD for diesel engines or HDO for applicable alternative fuel vehicles.
  - Class 5-8 trucks - all heavy duty hybrid or electric vehicles shall follow CARB’s Heavy Duty Hybrid Electric Vehicle Certification Procedure.

Program Requirements for Trucks (New or Used) Purchased for Replacement Projects:

- All replacement trucks must have a manufacturer’s GVWR of:
  - 16,001 lbs – 19,500 lbs (Class 5)
  - 19,501 lbs – 26,000 lbs (Class 6)
SCAQMD Program Announcement for the
Replacement of Heavy-Duty Diesel Truck Projects
Under the Proposition 1B - Goods Movement Emission Reduction Program
PA2018-01

- 26,001 lbs – 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 5, 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.

- Maximum truck VMT for used trucks, with odometer verification during post-inspection:
  - Class 8 (less than 500,000 miles)
  - Class 7 (less than 250,000 miles)

- 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.

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

<table>
<thead>
<tr>
<th>Project Type</th>
<th>Old Truck</th>
<th>Replacement Truck</th>
<th>Funding Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>Replacement (1 for 1)</td>
<td>Class 7</td>
<td>Class 8</td>
<td>Class 7</td>
</tr>
<tr>
<td>Replacement (1 for 1)</td>
<td>Class 8</td>
<td>Class 7</td>
<td>Class 7</td>
</tr>
<tr>
<td>Replacement (1 for 1)</td>
<td>Class 6</td>
<td>Class 6</td>
<td>Class 7</td>
</tr>
<tr>
<td>Replacement (2 for 1)</td>
<td>Class 7 and Class 8</td>
<td>Class 8</td>
<td>Class 8</td>
</tr>
<tr>
<td>Replacement (2 for 1)</td>
<td>Class 8 and Class 8</td>
<td>Class 7</td>
<td>Class 7</td>
</tr>
<tr>
<td>Replacement (2 for 1)</td>
<td>Class 6 and Class 6</td>
<td>Class 7</td>
<td>Class 6</td>
</tr>
<tr>
<td>Replacement (2 for 1)</td>
<td>Class 6 and Class 8</td>
<td>Class 7</td>
<td>Class 7</td>
</tr>
<tr>
<td>Replacement (2 for 1)</td>
<td>Class 6 and Class 5</td>
<td>Class 7</td>
<td>Class 6</td>
</tr>
</tbody>
</table>

- 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](http://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 NOx 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 2.

**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:

<table>
<thead>
<tr>
<th>Project Type</th>
<th>Require application forms, and attachments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Truck Replacement</td>
<td>Form A1, Form B1 for each truck included in the application, including all supplemental information, and Attachments 1 through 5.</td>
</tr>
<tr>
<td>Two-for-One Truck Replacement</td>
<td>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.</td>
</tr>
</tbody>
</table>
SCAQMD Program Announcement for the Replacement of Heavy-Duty Diesel Truck Projects Under the Proposition 1B - Goods Movement Emission Reduction Program PA2018-01

<table>
<thead>
<tr>
<th>Project Description</th>
<th>Application Forms</th>
</tr>
</thead>
<tbody>
<tr>
<td>Truck Engine Repower</td>
<td>Form A1, Form B3 for each truck included in the application, including all supplemental information, and Attachments 1 through 5.</td>
</tr>
<tr>
<td>Three-Way Truck Transaction</td>
<td>Form A1, Form B4 for each 3-way truck transaction in the application, including all supplemental information, and Attachments 1 through 5.</td>
</tr>
<tr>
<td>Electrification Infrastructure at a Truck Stop, Rail Yard or Other Freight Facility</td>
<td>Form C1 for each project in the application, including all supplemental information, and Attachments 1 through 5.</td>
</tr>
<tr>
<td>Electric Charging Stations or Hydrogen Fueling Units</td>
<td>Form C2 for each project in the application, including all supplemental information, and Attachments 1 through 5.</td>
</tr>
</tbody>
</table>

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 – Heavy-Duty Diesel Truck Engine Repower
- Form B4 – Three-Way Truck Transaction
- Form C1 – Truck Stop Electrification Infrastructure
- Form C2 – Electric Charging Stations or Hydrogen Fueling Units
- 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. An equipment owner may pre-order prior to contract execution at the equipment owner’s risk. 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.

If the new equipment is commercially available at the time of contract execution, the applicant must complete the project and submit the required invoice documentation by **June 1, 2019**.
If the new equipment is not commercially available at the contract execution, the applicant must complete the project and submit the required invoice documentation by **December 1, 2020**.

For truck stop electrification infrastructure projects, the applicant must complete the project, obtain at least 1 year of data on actual use, and submit the required invoice documentation by December 1, 2020.

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 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.

**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/engine to an SCAQMD-approved, DMV-licensed dismantler within 30 calendar days after the new equipment 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 replacement vehicle or repowered engine (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 or repowered 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 old truck or the replacement or repowered 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.

---

1 CARB online reporting system for heavy-duty diesel trucks. [https://ssl.arb.ca.gov/ssltrucrstb/trucrs_reporting/reporting.php](https://ssl.arb.ca.gov/ssltrucrstb/trucrs_reporting/reporting.php)
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.

X. PROJECT EVALUATION

Complete applications will be evaluated by the SCAQMD in the order in which they are received. For truck projects, only complete and eligible projects will be posted on the SCAQMD website, once approved by CARB. Award will be made to complete, and eligible projects until Program funds are fully committed. For complete information regarding project evaluation 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](http://www.arb.ca.gov/gmbond).

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**

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.

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 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](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](http://www.arb.ca.gov/bonds/gmbond/gmbond.htm)
- CARB Truck Stop website: [http://www.arb.ca.gov/msprog/truckstop/truckstop.htm](http://www.arb.ca.gov/msprog/truckstop/truckstop.htm)
- CARB TRUCRS: [https://ssl.arb.ca.gov/ssltrucrstb/trucrs_reporting/reporting.php](https://ssl.arb.ca.gov/ssltrucrstb/trucrs_reporting/reporting.php)
SCAQMD Program Announcement for the Replacement of Heavy-Duty Diesel Truck Projects Under the Proposition 1B - Goods Movement Emission Reduction Program
PA2018-01

MAP OF THE TRADE CORRIDORS
I. APPLICANT INFORMATION (Required Information)

<table>
<thead>
<tr>
<th>Applicant Name/Registered Owner (Equipment Owner):</th>
<th>TRUCRS ID #:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business Name (if any):</td>
<td></td>
</tr>
<tr>
<td>Primary Contact Full Name:</td>
<td>Email:</td>
</tr>
<tr>
<td>Mailing Address:</td>
<td>Phone Number:</td>
</tr>
<tr>
<td>City:</td>
<td>State:</td>
</tr>
<tr>
<td>Zip Code:</td>
<td></td>
</tr>
</tbody>
</table>

Fleet Size: ____

"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.

II. PROJECT INFORMATION

<table>
<thead>
<tr>
<th>What type of project are you applying for?</th>
<th>Total Number of trucks included</th>
<th>Additional forms to complete</th>
</tr>
</thead>
<tbody>
<tr>
<td>Truck Replacement</td>
<td>Number of trucks being replaced: ____</td>
<td>Form B1 for each truck included in the application</td>
</tr>
<tr>
<td>Two-for-One Truck Replacement</td>
<td>Number of trucks being replaced: ____</td>
<td>Form B1 and B2 for each two-for-one truck replacement included in the application</td>
</tr>
<tr>
<td>Truck Engine Repower</td>
<td>Number of trucks being repowered: ____</td>
<td>Form B3 for each truck included in the application</td>
</tr>
<tr>
<td>Three-Way Truck Transaction</td>
<td>Total trucks included: ____</td>
<td>Form B4 for each 3-way truck transaction in the application</td>
</tr>
<tr>
<td>Truck Stop Electrification Infrastructure</td>
<td>Not Applicable</td>
<td>Form C1</td>
</tr>
<tr>
<td>Electric Charging Stations or Hydrogen</td>
<td>Not Applicable</td>
<td>Form C2</td>
</tr>
<tr>
<td>Fueling Units</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Attach one or more of the following forms to Form A1, as required:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Form B1-Truck Replacement</td>
</tr>
<tr>
<td>Form B2- Two-for-One Truck Replacement</td>
</tr>
<tr>
<td>Form B3- Truck Engine Repower</td>
</tr>
<tr>
<td>Form B4- Three-Way Truck Transaction</td>
</tr>
<tr>
<td>Form C1- Truck Stop Electrification Infrastructure</td>
</tr>
<tr>
<td>Form C2- Electric Charging Stations or Hydrogen</td>
</tr>
</tbody>
</table>

| 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/ssltrucrs/trucrs_reporting/reporting.php](https://ssl.arb.ca.gov/ssltrucrs/trucrs_reporting/reporting.php). |

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: October 6, 2017 - Until Program funds are fully committed

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 for the specified timeframe;
- 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:** ______________________________

---

**Form A1**

(PA2018-01) Page 2 of 2
## I. Required Truck Information

<table>
<thead>
<tr>
<th>Equipment Registered Owner:</th>
<th>Equipment Fuel Type:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vehicle Identification Number (VIN):</td>
<td>License Plate Number:</td>
</tr>
<tr>
<td>Truck Model Year:</td>
<td>Engine Model Year:</td>
</tr>
<tr>
<td>Annual Vehicle Miles Traveled in California:</td>
<td>Current Odometer Reading:</td>
</tr>
</tbody>
</table>

### Power Take-off (PTO) Usage (if applicable):

- [ ] Yes
- [ ] No

### 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 Trucks?

- [ ] Yes
- [ ] No

### DPF installed?

- [ ] Yes
- [ ] No

### Vocation (Types of goods typically transported – Choose 1 box only)

- [ ] Agricultural
- [ ] Concrete Mixer
- [ ] Dry Bulk Blower
- [ ] Vacuum Pneumatic Trailer
- [ ] Aggre-
- [ ] gates
- [ ] 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%

## Proposed New Equipment and Funding Requested: All Fleets

<table>
<thead>
<tr>
<th>Existing Truck</th>
<th>Replacement Engine Emission Level <em>(Please check only 1 Box Below)</em></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Class 8</strong> (33,001 lbs or greater GVWR, HHD engine)</td>
<td>New MY2016+ engine natural gas truck&lt;sup&gt;1,2,3&lt;/sup&gt; $65,000</td>
</tr>
<tr>
<td><strong>Class 7</strong> (26,001 – 33,000 lbs GVWR, MHD or HHD engine)</td>
<td>$65,000</td>
</tr>
<tr>
<td><strong>Class 6</strong> (19,501 – 26,000 lbs GVWR, MHD engine)</td>
<td>$40,000</td>
</tr>
<tr>
<td><strong>Class 5</strong> (16,001 – 19,500 lbs GVWR, &lt;HHD engine)</td>
<td>$25,000</td>
</tr>
</tbody>
</table>

---

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.
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)

<table>
<thead>
<tr>
<th>Name of Lessor:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contact Name and Phone Number of Lessor:</td>
</tr>
<tr>
<td>Lessor Address:</td>
</tr>
</tbody>
</table>

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 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 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
IV. 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.
### I. Second Truck Information

<table>
<thead>
<tr>
<th>Equipment Registered Owner:</th>
<th>Equipment Fuel Type:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vehicle Identification Number (VIN):</td>
<td>License Plate Number:</td>
</tr>
<tr>
<td>Truck Model Year:</td>
<td>Engine Model Year:</td>
</tr>
<tr>
<td>Annual Vehicle Miles Traveled in California:</td>
<td>Current Odometer Reading:</td>
</tr>
<tr>
<td>Power Take-off (PTO) Usage (if applicable):</td>
<td>Current PTO hour meter reading: Date Recorded:</td>
</tr>
<tr>
<td>Does PTO operate while the main truck engine is operating?</td>
<td>Yes</td>
</tr>
<tr>
<td>Manufacturer Gross Vehicle Weight Rating (GVWR):</td>
<td>lbs</td>
</tr>
<tr>
<td>Port Truck?</td>
<td>Yes</td>
</tr>
<tr>
<td>DPF Installed?</td>
<td>Yes</td>
</tr>
</tbody>
</table>

**Vocation (Types of goods typically transported – Choose 1 box only)**

- 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)
   - 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](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](http://www.dmv.ca.gov/online/vrr.htm)**
PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION

FORM B2: Two-for-One Truck Replacement – For Second Truck Only
(Complete this form for the second truck in the Two-for-One Truck Replacement)

☐ 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 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: Heavy-Duty Diesel Truck Engine Repower (Small Fleet Only)

(Complete one form per truck)

I. Required Truck Information

<table>
<thead>
<tr>
<th>Equipment Registered Owner:</th>
<th>Equipment Fuel Type:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vehicle Identification Number (VIN):</td>
<td>License Plate Number:</td>
</tr>
<tr>
<td>Truck Model Year:</td>
<td>Engine Model Year:</td>
</tr>
<tr>
<td>Annual Vehicle Miles Traveled in California:</td>
<td>Current Odometer Reading:</td>
</tr>
</tbody>
</table>

Power Take-off (PTO) Usage (if applicable): □ Yes □ No

Does PTO operate while the main truck engine is operating?

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)

\[\text{“Goods” are defined as having the same meaning in Commercial Code section 2105, which essentially requires that:} \]
\[2) \text{The goods must be movable, and 2) the goods being moved must be part of a transaction that involves a contract for the sale of the goods.} \]

\[\begin{array}{cccc}
\text{Agricultural} & \text{Concrete Mixer} & \text{Dry Bulk Blower} & \text{Vacuum Pneumatic Trailer} \\
\text{Aggregates} & \text{Container} & \text{Hazardous Materials} & \text{Wood/Paper Products} \\
\text{Bulk or Break Bulk} & \text{Dairy} & \text{Heavy Equipment/Metals} & \text{Restaurant/Grocery} \\
\text{Building/Construction} & \text{Dump Truck} & \text{Poultry} & \text{Other} \\
\end{array}\]

Estimating Percentage of Annual Vehicle Miles Traveled (VMT) in CA Trade Corridors (Total percentage cannot be over 100%)

\[\begin{array}{c}
\text{Bay Area:} \_\_\_\_\_\_\% \\
\text{Central Valley:} \_\_\_\_\_\_\% \\
\text{LA/Inland Empire:} \_\_\_\_\_\_\% \\
\text{San Diego/Border:} \_\_\_\_\_\_\% \\
\text{Outside CA:} \_\_\_\_\_\_\% \\
\end{array}\]

Proposed future operation within CA during the contract term (choose one): □ At least 90% □ 100%

Proposed New Equipment and Funding Requested:

<table>
<thead>
<tr>
<th>Existing Truck</th>
<th>Replacement Engine Repower diesel engine with a new MY2015+ engine that meets 2010 emission levels</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class 8 (33,001 lbs or greater, HHD engine) (MY 2009 or older Engine)</td>
<td>□ $20,000</td>
</tr>
<tr>
<td>Class 7 (26,001 – 33,000 lbs, MHD or HHD (MY 2009 or older Engine)</td>
<td>□ $20,000</td>
</tr>
<tr>
<td>Class 6 (19,501 – 26,000 lbs, MHD engine) (MHD engine) (MY 1999-2009 Engine)</td>
<td>□ $10,000</td>
</tr>
</tbody>
</table>
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)
      
      - 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](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](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 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 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, 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.
### I. Truck A Information (Engine Model Year 2007-2009 with a OEM or Level 3 PM Filter Installed)

<table>
<thead>
<tr>
<th>Equipment Registered Owner:</th>
<th>Equipment Fuel Type:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vehicle Identification Number (VIN):</td>
<td>License Plate Number:</td>
</tr>
<tr>
<td>Truck Model Year:</td>
<td>Engine Model Year:</td>
</tr>
<tr>
<td>Annual Vehicle Miles Traveled:</td>
<td>Current Odometer Reading:</td>
</tr>
<tr>
<td>Power Take-off (PTO) Usage (if applicable):</td>
<td>Current PTO hour meter reading:</td>
</tr>
<tr>
<td>Does PTO operate while the main truck engine is operating?</td>
<td>Yes</td>
</tr>
<tr>
<td>Manufacturer Gross Vehicle Weight Rating (GVWR):</td>
<td>lbs</td>
</tr>
</tbody>
</table>

(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)

**Vocation (Types of goods typically transported – Choose 1 box only):**

- Agricultural
- Concrete Mixer
- Dry Bulk Blower
- Vacuum Pneumatic Trailer
- Aggre-
- gates
- 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. Truck B Information (Engine Model Year 2006 or Older that has demonstrated compliance with the Statewide Truck and Bus Rule)

<table>
<thead>
<tr>
<th>Equipment Registered Owner:</th>
<th>Equipment Fuel Type:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vehicle Identification Number (VIN):</td>
<td>License Plate Number:</td>
</tr>
<tr>
<td>Truck Model Year:</td>
<td>Engine Model Year:</td>
</tr>
<tr>
<td>Annual Vehicle Miles Traveled:</td>
<td>Current Odometer Reading:</td>
</tr>
<tr>
<td>Power Take-off (PTO) Usage (if applicable):</td>
<td>Current PTO hour meter reading:</td>
</tr>
<tr>
<td>Does PTO operate while the main truck engine is operating?</td>
<td>Yes</td>
</tr>
<tr>
<td>Manufacturer Gross Vehicle Weight Rating (GVWR):</td>
<td>lbs</td>
</tr>
</tbody>
</table>

(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)

**Vocation (Types of goods typically transported – Choose 1 box only):**

- Agricultural
- Concrete Mixer
- Dry Bulk Blower
- Vacuum Pneumatic Trailer
- Aggre-
- gates
- 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%

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

<table>
<thead>
<tr>
<th>Existing Truck</th>
<th>Replacement Engine Emission Level</th>
<th>(Please check only 1 Box Below)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>New MY2016+ engine natural gas truck¹,²,³</td>
<td>New MY2016+ engine Hybrid truck¹,²,⁴</td>
</tr>
<tr>
<td>Class 8 (33,001 lbs or greater GVWR, HHD engine)</td>
<td>☐ $65,000</td>
<td>☐ $80,000</td>
</tr>
<tr>
<td>Class 7 (26,001 – 33,000 lbs GVWR, MHD or HHD engine)</td>
<td>☐ $65,000</td>
<td>☐ $80,000</td>
</tr>
<tr>
<td>Class 6 (19,501 – 26,000 lbs GVWR, MHD engine)</td>
<td>☐ $40,000</td>
<td>☐ $45,000</td>
</tr>
<tr>
<td>Class 5 (16,001 - 19,501 lbs GVWR, MHD engine)</td>
<td>☐ $25,000</td>
<td>☐ $35,000</td>
</tr>
</tbody>
</table>

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.
IV. 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](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](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 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)
V. 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.
I. APPLICANT INFORMATION

<table>
<thead>
<tr>
<th>Name:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Business Name (if any):</td>
<td></td>
</tr>
<tr>
<td>Primary Contact Name:</td>
<td></td>
</tr>
<tr>
<td>Email:</td>
<td></td>
</tr>
<tr>
<td>Phone Number:</td>
<td></td>
</tr>
<tr>
<td>Mailing Address:</td>
<td></td>
</tr>
<tr>
<td>City:</td>
<td></td>
</tr>
<tr>
<td>State:</td>
<td></td>
</tr>
<tr>
<td>Zip Code:</td>
<td></td>
</tr>
<tr>
<td>Person with contract signing authority (if different than above):</td>
<td></td>
</tr>
<tr>
<td>Title:</td>
<td></td>
</tr>
</tbody>
</table>

Have you applied for any other grant programs for this project?  
Yes  No  
If yes, specify the grant program(s) that you applied to: ____________________________

II. LOCATION INFORMATION

| Facility Name: |  |
| Location/Project Site Address: |  |
| Type of Project: |  |
| □ Truck Stop - Number of Existing Parking Spaces: _____ |  |
| □ Intermodal Facility – Number of Existing Spaces: _____ |  |
| □ Distribution Center - Number of Existing Docks: _____ |  |
| □ Other (please specify): ____________________________ |  |

How many heavy-duty diesel trucks are currently operated at this facility annually? _____  Average daily time a refrigeration units (TRUs) operates while parked? _____ hr.

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: _____ |  |
| 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):

<table>
<thead>
<tr>
<th>Year</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td></td>
</tr>
</tbody>
</table>

Projected power usage for TRU (expected percent occupancy):

<table>
<thead>
<tr>
<th>Year</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td></td>
</tr>
</tbody>
</table>

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:

- [ ] Private (cash/loan)  - [ ] Local  - [ ] Other state  - [ ] Federal  - [ ] 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 for the specified timeframe;
- 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, 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.
- 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: __________________________
This funding option is only available if the equipment owner replaces a minimum of one vehicle through the Program (Form B1)

I. APPLICANT INFORMATION

<table>
<thead>
<tr>
<th>Name:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Business Name (if any):</td>
<td></td>
</tr>
<tr>
<td>Primary Contact Name:</td>
<td>Email:</td>
</tr>
<tr>
<td>Mailing Address:</td>
<td>Phone Number:</td>
</tr>
<tr>
<td>City:</td>
<td>State:</td>
</tr>
<tr>
<td>Person with contract signing authority (if different than above):</td>
<td>Title:</td>
</tr>
</tbody>
</table>

Have you applied for any other grant programs for this project? ☐ Yes ☐ No
If yes, specify the grant program(s) that you applied to:

II. CHARGING/FUELING EQUIPMENT INFORMATION

<table>
<thead>
<tr>
<th>Equipment/Construction Location:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Project type? ☐ Electric charging station ☐ Hydrogen Fueling Unit</td>
<td></td>
</tr>
<tr>
<td>Equipment Manufacturer:</td>
<td></td>
</tr>
<tr>
<td>Equipment Power Rating for Electric Charger Only (Voltage, Amperage, Wattage, Efficiency):</td>
<td></td>
</tr>
<tr>
<td>Equipment Serial Number:</td>
<td></td>
</tr>
<tr>
<td>Equipment Recharge Rate (Electric Charger Only):</td>
<td></td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Estimated Cost of Charging Stations/Fueling Units: $_______________</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Program Dollars Requested: $______________ (Partial funding of up to the lower of 50% or $30,000 for 1 charging or fueling units)</td>
<td></td>
</tr>
<tr>
<td>Equipment Power Rating for Electric Charger Only (Voltage, Amperage, Wattage, Efficiency):</td>
<td></td>
</tr>
<tr>
<td>Equipment Serial Number:</td>
<td></td>
</tr>
<tr>
<td>Equipment Recharge Rate (Electric Charger Only):</td>
<td></td>
</tr>
</tbody>
</table>
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 Administrative 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
| Business Name |  |
| Division of |  |
| Subsidiary of |  |
| Website Address |  |
| **Type of Business**
*Check One:* |  |
| ☐ Individual |  |
| ☐ DBA, Name _______________, County Filed in ________________ |  |
| ☐ Corporation, ID No. ________________ |  |
| ☐ LLC/LLP, ID No. ________________ |  |
| ☐ Other ________________ |  |

**REMITTING ADDRESS INFORMATION**

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

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

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

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

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

Statements of certification:

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

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

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

Check all that apply:

- Small Business Enterprise/Small Business Joint Venture
- Local business
- Minority-owned Business Enterprise
- Women-owned Business Enterprise
- Disabled Veteran-owned Business Enterprise/DVBE Joint Venture
- Most Favored Customer Pricing Certification

Percent of ownership: ________ %

Name of Qualifying Owner(s): ____________________________________________________________

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

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

_________________________________  ______________________________________
NAME  TITLE

_________________________________  ______________________________________
TELEPHONE NUMBER  DATE
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.

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

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

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

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

**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.

**Part II - Certification**

Under penalties of perjury, I certify that:

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

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, constipation 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.

**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/w9.

**Purpose of Form**

An individual or entity (Form W-9 requestor) 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 1096-INT (interest earned or paid)
- Form 1096-DIV (dividends, including those from stocks or mutual funds)
- Form 1096-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-S (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-R (proceeds from real estate transactions)
- Form 1099-K (merchant 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 requestor with a TIN, you might be subject to backup withholding. See What is backup withholding? on page 2.

By signing the fill-in form, you:

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

Form W-9

Page 2

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 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 1441 on any U.S. resident alien’s share of partnership 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, use the appropriate Form W-9 or Form BCG3 (see Publication 515, Withholding of Tax on Nonresident Alien Individuals 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 facts:

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 income received by a Chinese resident temporarily present in the United States. Under U.S. law, the student will become a resident alien for tax purposes if he or she stays 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 exemption 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 BCG3.

Backup Withholding

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS 26% 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 pension and retirement plans, 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 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).
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 payers 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 U.S. accounts held by persons who are U.S. citizens or U.S. residents. Certain payers 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, if you no longer are a tax exempt, in which case you must furnish a new Form W-9 if the 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 failure unless you file a reasonable cause statement. The penalty can be higher in the case of repeated failures or if the failure is due to fraud.

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 $10,000 penalty.

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

Use 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) on your 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-9 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 301.7701-3(c)(3)(ii). 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 is 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 applicable 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

Form W-3 (Rev. 12-2014) Page 3

Line 2
If you have a business name, trade name, DSA 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 “LLC” in the space provided. If the LLC has filed Form 8825 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 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 attorney’s fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt from 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, the 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 the 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 564(a).
11. A financial institution.
12. A middleman issued in the investment community as a nominee or custodian.
13. A trust exempt from tax under section 664 or described in section 4047.

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 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 corporations. Corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Borrower exchanges and mortgage dividends Exempt payees 1 through 4.
Payments over $600 required to be reported and direct sales over $5,0001 Generally, exempt payees 1 through 5.
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.

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, attorney’s fees, gross proceeds paid to an attorney reportable under section 6010(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 payee is not required by providing you with a Form W-9 with “Not Applicable” (or any similar indication) written on the line for a FATCA exemption code.
A. An organization exempt from tax under section 501(c)(6) or any individual retirement plan as defined in section 7701(a)(47).
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 sections 1.1472-1(c)(1)(ii).
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 564(a).
J. A bank as defined in section 589.
K. A broker.
L. A trust exempt from tax under section 664 or described in section 4047(a)(1).
M. A tax exempt trust under 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 recipient of this Form W-3 will mail your information return.

Line 6
Enter your city, state, and ZIP code.

Part 1. 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, go to Form SS-5, Application for a Social Security Card, from your local SSA office or get the form online at www.ssa.gov. You may also get this form by calling 1-800-TSS-225. 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 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 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 become inactive otherwise.

For a joint account, only the person whose TIN is shown on 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 6 below.

1. Interest, dividend, and broker exchange accounts opened before 1994 and broker accounts considered inactive during 1993. You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and broker exchange accounts opened after 1993 and broker accounts considered inactive during 1993. 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 employees for services, payments made in settlement of payment cards and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), 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
   The actual owner of the account or, if combined funds, the first individual on the account
   The minor
   The grantor-trustee
   The actual owner
   The owner
   The grantor

2. Two or more individuals (joint account)
   The individual
   The actual owner of the account or, if combined funds, the first individual on the account
   The minor
   The grantor-trustee
   The actual owner
   The owner
   The grantor

3. Custodian account of a minor (Uniform Gift to Minors Act)
   The individual
   The actual owner of the account or, if combined funds, the first individual on the account
   The minor
   The grantor-trustee
   The actual owner
   The owner
   The grantor

4. a. The usual revocable savings trust (grantor is also trustee)
   The individual
   The actual owner of the account or, if combined funds, the first individual on the account
   The minor
   The grantor-trustee
   The actual owner
   The owner
   The grantor

5. A revocable trust created under California law
   The individual
   The actual owner of the account or, if combined funds, the first individual on the account
   The minor
   The grantor-trustee
   The actual owner
   The owner
   The grantor

6. Estate and ownership of a deceased individual
   The individual
   The actual owner of the account or, if combined funds, the first individual on the account
   The minor
   The grantor-trustee
   The actual owner
   The owner
   The grantor

7. Disregarded entity not owned by an individual
   The owner
   Legal entity
   The corporation
   The organization

8. A valid trust, estate, or pension trust
   The owner
   Legal entity
   The corporation
   The organization

9. Corporation or LLC electing corporate status on Form 8832 or Form 2553
   The owner
   Legal entity
   The corporation
   The organization

10. Association, club, religious, charitable, educational, or other tax-exempt organization
    The owner
    Legal entity
    The corporation
    The organization

11. Partnership or multi-member LLC
    The owner
    Legal entity
    The corporation
    The organization

12. A broker or registered nominee
    The broker or nominee
    The public entity

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 trust

14. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1066 Filing Method 2 (see Regulations section 1.671-16(b)(2)(B)
    The trust

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.

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 in the 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.

For more information, see Publication 4555, 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 able to contact the 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 providing 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: identitytheft.gov or contact them at www.ftc.gov/tip 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 this 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.
### Withholding Exemption Certificate

**TAXABLE YEAR**

**2017**

**CALIFORNIA FORM**

**590**

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

**Withholding Agent Information**

**Name**

**Payee Information**

**Name**

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

**Address (apt./sta., room, PO box, or PMS no.)**

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

**State** ☐ ☐ **ZIP code**

**Exemption Reason**

Check only one box.

- **Individuals — Certification of Residency:**
  
  I am a resident of California and I reside at the address shown above. If I become a nonresident at any time, I will promptly notify the withholding agent. See Instructions for General Information D, Definitions.

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

- **Partnerships or Limited Liability Companies (LLCs):**
  
  The partnership or LLC has a permanent place of business in California at the address shown above or is registered with the California SOS, and is subject to the laws of California. The partnership or LLC will file a California tax return. If the partnership or LLC ceases to do any of the above, the partnership 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 is 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 the nonmilitary spouse of a military servicemember and I meet the Military Spouse Residency Relief Act (MSRRA) requirements. See Instructions for General Information E, MSRRA.

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

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

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

**Type or print payee’s name and title:**

**Telephone:**

**Payee’s signature:**

**Date:**

---

**7061173**

Form 590 C2 2016
2017 Instructions for Form 590
Withholding Exemption Certificate

References in these Instructions are to the California Revenue and Taxation Code (R&T.C.).

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, see FTB Pub. 737, Tax Information for Registered Domestic Partners.

A Purpose

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

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

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

Do not use Form 590 to certify an exemption from withholding if you are a Seller of California real estate. Sellers of California real estate use Form 599-C, Real Estate Withholding Certificate, to claim an exemption from the real estate withholding requirement.

The following are excluded from withholding and completing this form:

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

B Income Subject to Withholding

California Revenue and Taxation Code (R&T.C.) 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:

1. Payments to nonresidents for services rendered in California.
2. 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.
3. Payments to nonresidents for rents if the payments are made in the course of the withholding agent’s business.
4. Payments to nonresidents for royalties from activities sourced to California.

C Who Certifies this Form

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

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

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

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

D Definitions

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

1. Individuals who are not residents of California.
2. 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.
3. Partnerships or limited liability companies (LLCs) with no permanent place of business in California.
4. 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, see FTB Pub. 1031, Guidelines for Determining Resident Status. Military servicemembers have special rules for residency. For more information, see FTB Pub. 1092, Tax Information for Military Personnel.

E Military Spouse Residency Relief Act (MSRRA)

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

1. 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.
2. 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:

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

Form 590 Instructions 2016
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 prove that they meet the criteria for California personal income tax exemption as set forth in the MSRA.

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 MSRA 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:

Phone: 888-792-4900
Fax: 916.845.9512

Or write to:
WITHHOLDING SERVICES AND COMPLIANCE MS F102 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
Phone: 800.892.5711 from within the United States
916.845.8500 from outside the United States
TTY/TDD: 800.822.8268 for persons with hearing or speech impairments

Asistencia Por Internet y Telefono

Sitio web: ftb.ca.gov
Telefono: 800.892.5711 dentro de los Estados Unidos
916.845.8500 fuera de los Estados Unidos
TTY/TDD: 800.822.8268 para personas con discapacidades auditivas o del habla
Certification Regarding  
Debarment, Suspension, and Other Responsibility Matters

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

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three year period preceding this proposal been convicted of or had a civil judgement rendered against them or commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction: violation of Federal or State antitrust statute or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property:

(c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

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

____________________________________________________  
Typed Name & Title of Authorized Representative

____________________________________________________  
Signature of Authorized Representative Date

☐ I am unable to certify to the above statements. My explanation is attached.
CAMPAIGN CONTRIBUTIONS DISCLOSURE

In accordance with California law, bidders and contracting parties are required to disclose, at the time the application is filed, information relating to any campaign contributions made to South Coast Air Quality Management District (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.cleancleantransportationfunding.org).

SECTION I.
Contractor (Legal Name):

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

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

☐ Yes  ☐ No  If YES, complete Section II below and then sign and date the form.

If NO, sign and date below. Include this form with your submittal.

Campaign Contributions Disclosure, continued:

<table>
<thead>
<tr>
<th>Name of Contributor</th>
<th>Governing Board Member or MSRC Member/Alternate</th>
<th>Amount of Contribution</th>
<th>Date of Contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Name of Contributor

<table>
<thead>
<tr>
<th>Governing Board Member or MSRC Member/Alternate</th>
<th>Amount of Contribution</th>
<th>Date of Contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Name of Contributor

<table>
<thead>
<tr>
<th>Governing Board Member or MSRC Member/Alternate</th>
<th>Amount of Contribution</th>
<th>Date of Contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Name of Contributor

<table>
<thead>
<tr>
<th>Governing Board Member or MSRC Member/Alternate</th>
<th>Amount of Contribution</th>
<th>Date of Contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Name of Contributor

<table>
<thead>
<tr>
<th>Governing Board Member or MSRC Member/Alternate</th>
<th>Amount of Contribution</th>
<th>Date of Contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Name of Contributor

<table>
<thead>
<tr>
<th>Governing Board Member or MSRC Member/Alternate</th>
<th>Amount of Contribution</th>
<th>Date of Contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
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.
Direct Deposit Authorization

**STEP 1:** Please check all the appropriate boxes
- Individual (Employee, Governing Board Member)
- Vendor/Contractor
- New Request
- Cancel Direct Deposit
- Changed Information

**STEP 2:** Payee Information

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

Vendor/Contractor Business Name (if applicable)

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

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

Taxpayer ID Number

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

Authorization

1. I authorize South Coast Air Quality Management District (SCAQMD) to direct deposit funds to my account in the financial institution as indicated below. I understand that the authorization may be rejected or discontinued by SCAQMD at any time. If any of the above information changes, I will promptly complete a new authorization agreement. If the direct deposit is not stopped before closing an account, funds payable to me will be returned to SCAQMD for distribution. This will delay my payment.

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

3. I hereby release and hold harmless SCAQMD for any claims or liability to pay for any losses or costs related to insufficient fund transactions that result from failure within the Automated Clearing House network to correctly and timely deposit monies into my account.

**STEP 3:**
You must verify that your bank is a member of an Automated Clearing House (ACH). Failure to do so could delay the processing of your payment. You must attach a voided check or have your bank complete the bank information and the account holder must sign below.

<table>
<thead>
<tr>
<th>Name of Bank/Institution</th>
</tr>
</thead>
<tbody>
<tr>
<td>Account Holder Name(s)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>□ Saving</th>
<th>□ Checking</th>
<th>Account Number</th>
<th>Routing Number</th>
</tr>
</thead>
</table>

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

ACCOUNT HOLDER SIGNATURE:

For SCAQMD Use Only

Input By ___________________________ Date ________________
Issue, and If Necessary Re-Issue, Program Announcement for Replacement of Heavy-Duty Diesel Trucks and Authorize Execution of Contracts Under “Year 5” Proposition 1B-Goods Movement Emission Reduction Program
Background

- Year 5 - final funding cycle
- $137.9 million was allocated to SCAQMD:

<table>
<thead>
<tr>
<th>Funding Allocation</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Trucks</td>
<td>$99,400,000</td>
</tr>
<tr>
<td>Transport Refrigeration Units (TRU)</td>
<td>$1,500,000</td>
</tr>
<tr>
<td>Cargo Handling Equipment/Ship at Berth</td>
<td>$14,500,000</td>
</tr>
<tr>
<td>Locomotives</td>
<td>$22,500,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$137,900,000</strong></td>
</tr>
</tbody>
</table>

*Year 5 Prop 1B allocation includes unused funds from previous years*
Background (cont’d)

- Two PAs for truck projects were issued in 2015 and 2016
- The Board approved over 1,000 trucks replacement projects and supporting infrastructure
- Program was initially oversubscribed but about 200 projects did not go forward because:
  - Commercial unavailability of some technologies
  - Awardees’ evolving business needs
Funds Available

- Contracts for over 800 trucks and supporting infrastructure are in process or executed
  - Funds obligated: $95 million
  - At least $4 million to be committed
- Locomotive, ships at berth and cargo handling equipment categories were undersubscribed
  - $7 million will be reallocated to the truck category
- At least $11 million is available for a new Program Announcement
Proposal

- Proposal: Issue New Program Announcement for heavy-duty diesel trucks
- Close: Only when sufficient applications are received (re-issue the PA if funds are not fully committed)
- CARB has agreed that SCAQMD should re-issue PA, if undersubscribed, until all funds are exhausted
- All funds must be committed through executed contracts by March 1, 2018
Recommended Actions

- Approve the issuance, and if necessary re-issuance of, Program Announcement #PA2018-01 to solicit heavy-duty diesel truck projects and the supporting infrastructure

- Authorize Executive Officer to execute contracts for eligible projects approved by CARB