



# South Coast Air Quality Management District



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

**REVISED**

## TECHNOLOGY COMMITTEE MEETING

### Committee Members

Vice Mayor Rex Richardson, Chair  
Supervisor Andrew Do  
Board Member Gideon Kracov  
Mayor Larry McCallon  
Board Member Veronica Padilla-Campos  
Mayor Carlos Rodriguez

**May 20, 2022 ♦ 12:00 p.m.**

**Pursuant to Assembly Bill 361, a meeting of the South Coast Air Quality Management District Technology Committee will only be conducted via videoconferencing and by telephone. Please follow the instructions below to join the meeting remotely.**

### **ELECTRONIC PARTICIPATION INFORMATION (Instructions provided at bottom of the agenda)**

*Join Zoom Meeting - from PC or Laptop*

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**Audience will be able to provide public comment through telephone or Zoom connection during public comment periods.**

**PUBLIC COMMENT WILL STILL BE TAKEN**

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- \*6 - Toggle mute/unmute
- \*9 - Raise hand

*Cleaning the air we breathe...*

**AGENDA**

*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)). If you wish to speak, raise your hand on Zoom or press Star 9 if participating by telephone. All agendas for regular meetings are posted at South Coast AQMD Headquarters, 21865 Copley Drive, Diamond Bar, California, at least 72 hours in advance of the regular meeting. Speakers may be limited to three (3) minutes total for all items on the agenda.*

**CALL TO ORDER**

**ROLL CALL**

**ACTION ITEMS (1-4):**

- 1. Execute Contract to Study Emissions and Air Quality Impacts from Goods Movement Operations for Inland Southern California Communities (*Motion Requested*)** Sam Cao  
Program Supervisor

In 2019, the Board approved a project to have the University of California, Riverside College of Engineering - Center for Environmental Research & Technology (UCR/CE-CERT) to demonstrate feasibility of estimating emissions impact from heavy-duty vehicles to local communities using low-cost onboard emission sensors. In 2021, UCR/CE-CERT proposed a more comprehensive program to better characterize the emissions and air quality impacts from goods movement operations to communities in the Inland Empire. This action is to execute a contract with UCR/CE-CERT to conduct a comprehensive study of the operations and impacts of goods movement in Inland Southern California in an amount not to exceed \$500,000 from the Clean Fuels Program Fund (31).
  
- 2. Adopt Resolution Recognizing Funds and Accepting Terms and Conditions for FY 2021-22 Carl Moyer State Reserve Program, Reimburse General Fund for Administrative Costs, and Amend Carl Moyer Program Award (*Motion Requested*)** Yuh Jiun Tan  
Program Supervisor

In March 2022, CARB approved allocations for the FY 2021-22 Carl Moyer "Year 24" State Reserve Program to include \$5,000,000 to South Coast AQMD for commercial lawn and garden equipment projects eligible under the Carl Moyer Program. This action is to: 1) Adopt a resolution recognizing \$5,000,000 in FY 2021-22 Carl Moyer State Reserve funds from CARB into the Carl Moyer Program Fund (32) and accept terms and conditions of the grant award for the implementation of commercial lawn and garden equipment projects within South Coast AQMD, and to reimburse the General Fund for administrative costs up to \$312,500 from the Carl Moyer Program Fund (32); and 2) Amend a Year 23 Carl Moyer award approved in January 2022 to ToursX, LLC for the repower of a marine vessel..

**3. Recognize Revenue, Transfer Funds, Release RFP to Continue Implementation of Enhanced Fleet Modernization Program, Execute Contracts and Reimburse General Fund for Administrative Costs**  
*(Motion Requested)*

Justin Joe  
Air Quality  
Specialist

Since 2015, South Coast AQMD has been implementing an Enhanced Fleet Modernization Program (EFMP), branded as Replace Your Ride. In April 2022, CARB allocated an additional \$21.1 million for FY21-22 to South Coast AQMD for EFMP. These actions are to: 1) recognize up to \$21.1 million for EFMP and accept terms and conditions of the grant awards; 2) authorize the Executive Officer to approve vouchers and other alternative mobility options for qualified participants; 3) release RFP to solicit proposals for contractor(s) to assist applicants with the application process, screen applications, and other program support; 4) transfer \$250,000 from AB923 Special Revenue Fund (80) into HEROS II Special Revenue Fund (56) to cover administrative costs as needed, and 5) execute contracts with contractor(s) for EFMP implementation support and reimburse the General Fund up to \$3.16 million.

**4. Amend Contract for Kore Infrastructure Project** *(Motion Requested)*

Joseph Lopat  
Program Supervisor

In November 2021, the Board approved a contract amendment for Kore Infrastructure LLC (Kore) for a Renewable Natural Gas Commercial Field Test project, including construction of a pyrolysis system on Southern California Gas Company property in Los Angeles. The project is to test various biomass feedstocks for commercial production of renewable natural gas. This action is to amend the contract with Kore to extend the term of the contract to May 31, 2023, to complete testing and reporting.

**5. 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)

**6. Public Comment Period**

At the end of the regular meeting agenda, an opportunity is provided for the public to speak on any subject within the Committee's authority that is not on the agenda. Speakers may be limited to three (3) minutes each.

**7. Next Meeting Date**

Friday, June 17, 2022 at 12:00 p.m.

**ADJOURNMENT**

### **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 by contacting Penny Shaw Cedillo at 909.396.3179, or send the request to [pcedillo@aqmd.gov](mailto:pcedillo@aqmd.gov).*

### **Americans with Disabilities Act and Language Accessibility**

*Disability and language-related accommodations can be requested to allow participation in the Technology Committee meeting. The agenda will be made available, upon request, in appropriate alternative formats to assist persons with a disability (Gov't Code Section 54954.2(a)). In addition, other documents may be requested in alternative formats and languages. Any disability or language-related accommodation must be requested as soon as practicable. Requests will be accommodated unless providing the accommodation would result in a fundamental alteration or undue burden to South Coast AQMD. Please contact Penny Shaw Cedillo at 909.396.3179 from 7:00 a.m. to 5:30 p.m., Tuesday through Friday, or send the request to [pcedillo@aqmd.gov](mailto:pcedillo@aqmd.gov).*

## **INSTRUCTIONS FOR ELECTRONIC PARTICIPATION**

### **Instructions for Participating in a Virtual Meeting as an Attendee**

As an attendee, you will have the opportunity to virtually raise your hand and provide public comment.

Before joining the call, please silence your other communication devices such as your cell or desk phone. This will prevent any feedback or interruptions during the meeting.

**Please note:** During the meeting, all participants will be placed on Mute by the host. You will not be able to mute or unmute your lines manually.

After each agenda item, the Chairman will announce public comment.

Speakers may be limited to a total of 3 minutes for the entirety of the consent calendar plus board calendar, and three minutes or less for each of the other agenda items.

A countdown timer will be displayed on the screen for each public comment.

If interpretation is needed, more time will be allotted.

**Once you raise your hand to provide public comment, your name will be added to the speaker list. Your name will be called when it is your turn to comment. The host will then unmute your line.**

### **Directions for Video ZOOM on a DESKTOP/LAPTOP:**

- If you would like to make a public comment, please click on the “**Raise Hand**” button on the bottom of the screen.
- This will signal to the host that you would like to provide a public comment and you will be added to the list.

### **Directions for Video Zoom on a SMARTPHONE:**

- If you would like to make a public comment, please click on the “**Raise Hand**” button on the bottom of your screen.
- This will signal to the host that you would like to provide a public comment and you will be added to the list.

### **Directions for TELEPHONE line only:**

- If you would like to make public comment, please **dial \*9** on your keypad to signal that you would like to comment.

**Technology Committee Agenda #1**

BOARD MEETING DATE: June 3, 2022

AGENDA NO.

**PROPOSAL:** Execute Contract to Study Emissions and Air Quality Impacts from Goods Movement Operations to Inland Southern California Communities

**SYNOPSIS:** In 2019, the Board approved a project to have the University of California, Riverside College of Engineering - Center for Environmental Research & Technology (UCR/CE-CERT) to demonstrate feasibility of estimating emissions impact from heavy-duty vehicles to local communities using low-cost onboard emission sensors. In 2021, UCR/CE-CERT proposed a more comprehensive program to better characterize the emissions and air quality impacts from goods movement operations to communities in the Inland Empire. This action is to execute a contract with UCR/CE-CERT to conduct a comprehensive study of the operations and impacts of goods movement in Inland Southern California in an amount not to exceed \$500,000 from the Clean Fuels Program Fund (31).

**COMMITTEE:** Technology, May 20, 2022; Recommended for Approval

**RECOMMENDED ACTION:**

Authorize the Executive Officer to execute a contract with UCR/CE-CERT to conduct a comprehensive study of the operations and impacts of goods movement in Inland Southern California heavy-duty vehicles in an amount not to exceed \$500,000 from the Clean Fuels Program Fund (31).

Wayne Nastri  
Executive Officer

AK:SC

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**Background**

The Inland Empire in Southern California is among the areas with the worst air quality in California. Diesel emissions from freight-related sources, especially from heavy-duty

diesel trucks, account for 28 percent of NO<sub>x</sub> and 8 percent of fine PM<sub>2.5</sub> emissions. These freight-related sources with diesel emissions tend to be concentrated in and around environmental justice (EJ) communities near freight hubs such as ports, railyards, and warehouses. With the proliferation of freight facilities such as warehouses and the growing logistics industry in the region, there is growing interest in better understanding the associated air quality and health impacts from freight movement.

To better characterize the emissions impacts of goods movement activities upon local communities, the Board previously approved a pilot project with UCR/CE-CERT to estimate emissions impact from heavy-duty vehicles to local communities using low-cost onboard emission sensors. The pilot study showed success in identifying truck emission trends at a wide variety of locations over extended periods. In 2021, UCR/CE-CERT initiated a new comprehensive program to further study emissions and air quality impacts of goods movement operations in EJ communities in the Inland Empire entitled Objective Measurement/Monitoring/Mitigation of Emissions from Goods Movement and Impacts on Air Quality (OMEGA). The OMEGA program was recently awarded \$2 million in funding from the California Attorney General's Office (AG) as part of the Automobile Emissions Research and Technology Fund grant as well as another research grant totaling \$950,000 from CARB to further develop and deploy larger amounts of onboard sensors to both on-road and off-road mobile sources. UCR/CE-CERT has also received support from Center for Advancing Research in Transportation Emissions, Energy, and Health (CARTEEH) to perform the air quality modeling for the OMEGA project.

### **Proposal**

As part of the OMEGA project, UCR/CE-CERT will conduct a comprehensive evaluation of the operations and impacts of goods movement in the Inland Empire. An extensive study will be conducted that includes emissions monitoring on up to 40 heavy-duty trucks from major truck fleets, monitoring air quality in disadvantaged communities surrounding truck routes, modeling the air quality impacts of truck activities, and developing strategies such as innovative truck routing to reduce truck emissions within these communities. UCR/CE-CERT proposes to establish a data management center that will be publicly accessible and incorporates the real time data collected during the OMEGA project. In addition to UCR/CE-CERT, the project team also consists of the University of California, Berkeley, the Coalition for Clean Air, and several emissions measurement technology providers. The OMEGA project supports the goals of the Clean Fuels Program Fund, in part, through measurements of diesel truck emissions with newly developed sensors, evaluating community level emissions resulting from truck emissions, and reviewing cost assessments for clean alternative fuel trucks. To complete the tasks in this proposal, South Coast AQMD will need to contract with UCR/CE-CERT in an amount not to exceed \$500,000 from the Clean Fuels Program Fund (31).

**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 sole source award is made under provision B.2.d.: Other circumstances exist which in the determination of the Executive Officer require such waiver in the best interest of the South Coast AQMD. Specifically, these circumstances are B.2.d.(1): Project involving cost-sharing by multiple sponsors. The proposed projects will include in-kind contributions and cost-share by CARB, AG, and CARTEEH.

**Benefits to South Coast AQMD**

This project will improve the understanding of the operations and emission impacts of goods movement in the Inland Empire to better quantify impacts in disadvantaged communities and identify mitigation strategies. Further, this project will also evaluate community level emissions and cost benefits of different types of alternative fuels, supporting the overall goals of the Clean Fuels Program. Reduction of NOx emissions from mobile sources is needed to achieve state and federal ambient air quality standards and protect public health. In addition, reduction in diesel particulate which is a carcinogen will further reduce public health impacts in communities near goods movement areas. Projects to support development of a methodology to evaluate and demonstrate onboard sensors for on-road heavy-duty vehicles are included in the *Technology Advancement Office Clean Fuels Program 2022 Plan Update* under the category of “Emissions Control Technologies”.

**Resource Impacts**

The total cost for the proposed projects is estimated at \$3,610,000. South Coast AQMD’s requested cost-share will not exceed \$500,000 from the Clean Fuels Program Fund (31). Funding partners anticipated include AG, CARB, and CARTEEH with an aggregated cash and in-kind cost-share of \$3,110,000.

<b>Funding Source</b>	<b>OSAR Phase 1</b>	<b>Percent</b>
California Attorney General’s Office	\$2,000,000	56%
CARB	\$950,000	26%
CARTEEH	\$160,000	4%
South Coast AQMD ( <i>requested</i> )	\$500,000	14%
<b>Total</b>	<b>\$3,610,000</b>	<b>100%</b>

Sufficient funds are available in the Clean Fuels Program Fund (31) for this proposed project. The Clean Fuels Program Fund (31) is established as a special revenue fund resulting from the state-mandated Cleans Fuels Program. The Clean Fuels Program, under Health and Safety Code Sections 40448.5 and 40512 and Vehicle Code Section

9250.11, establishes mechanisms to collect revenues from mobile sources to support projects to increase the utilization of clean fuels, including the development of the necessary advanced enabling technologies. Funds collected from motor vehicles are restricted, by statute, to be used for projects and program activities related to mobile sources that support the objectives of the Clean Fuels Program.



# Agenda Item #1

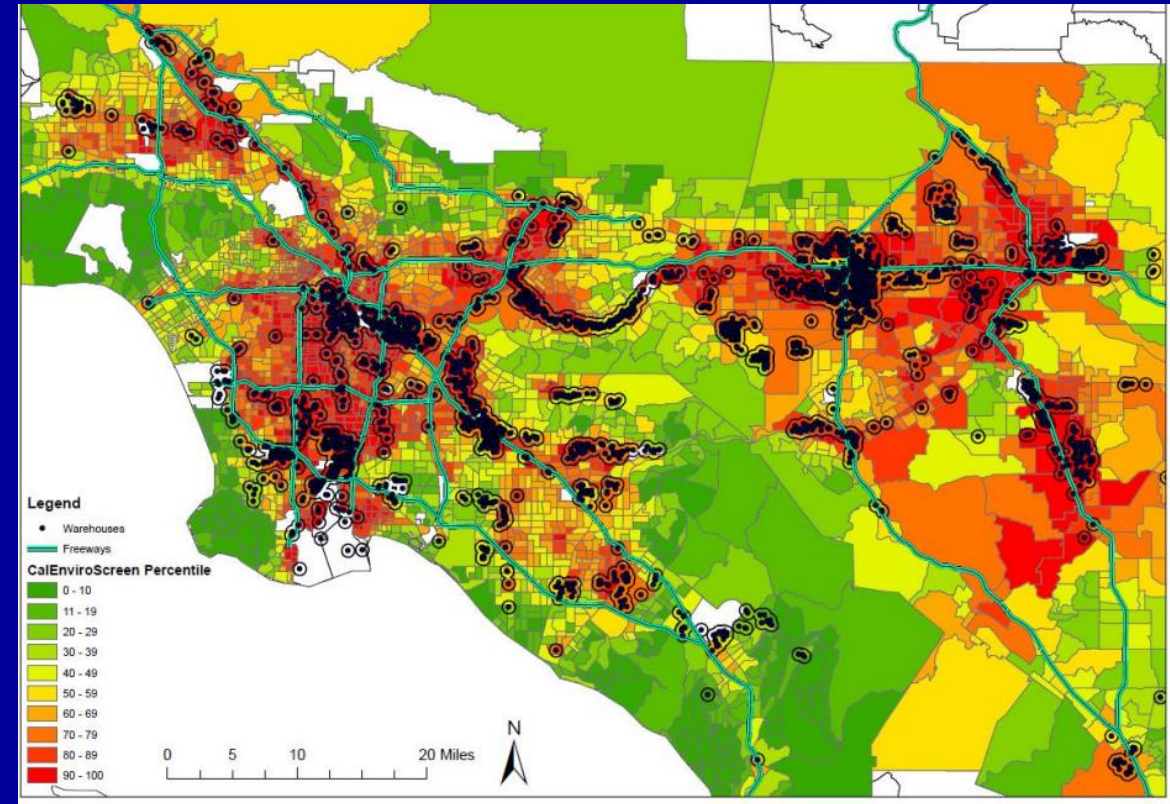
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Execute a Contract to Study Emissions  
and Air Quality Impacts from Goods  
Movement Operations for Inland  
Southern California Communities

Sam Cao

# Background

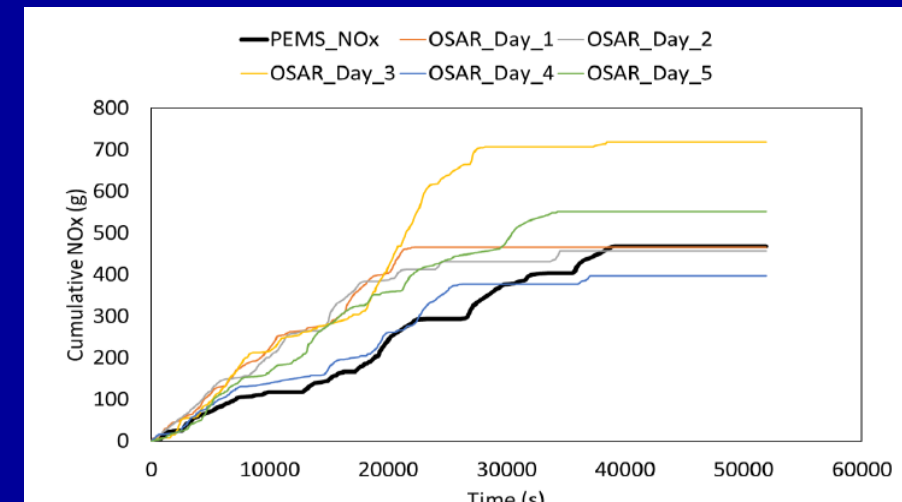
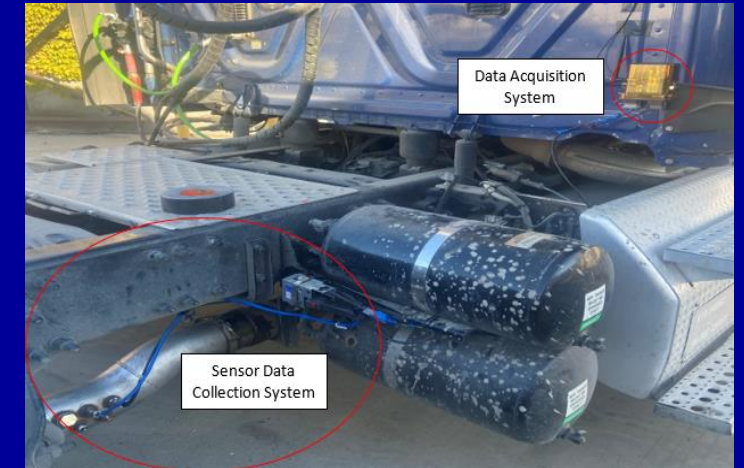
- Goods movement activities contribute nearly 30% of NOx emissions
- Quantifying air quality impacts from truck emissions to communities is challenging
- In 2021, UCR/CE-CERT was awarded two research grants from California Attorney General's Office (AG) and CARB to study air quality impacts of freight movement to local communities using onboard sensors



Source: SCAQMD (2021), PROPOSED RULES 2305 AND 316 WAREHOUSE INDIRECT SOURCE RULE PUBLIC WORKSHOP

# Background: Continued

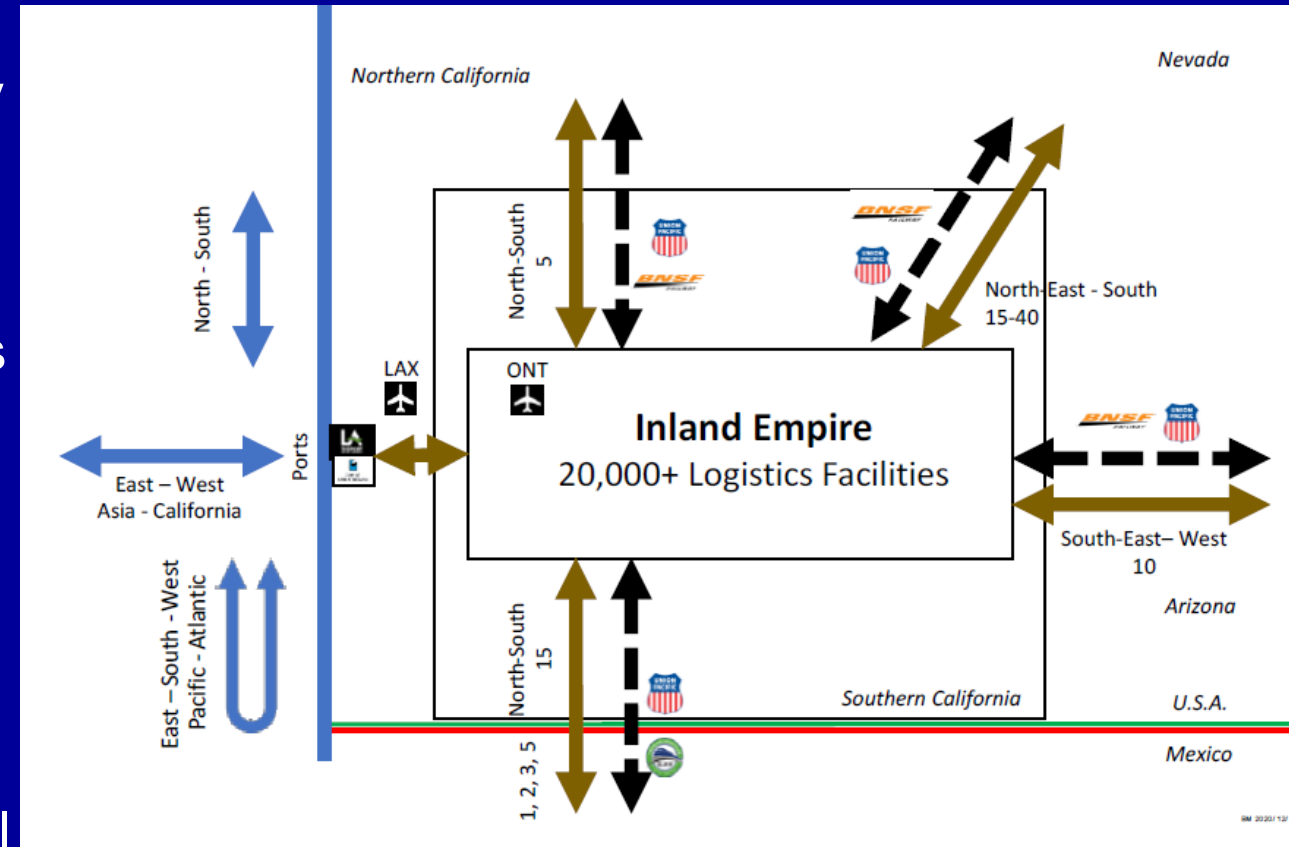
- In 2019, Board approved a pilot project with UCR/CE-CERT to demonstrate feasibility of assessing emission impacts to local communities using sensors onboard trucks
- UCR Onboard Sensing, Analysis, and Reporting (OSAR)
  - 7 Class 8 diesel trucks, 1 Class 6 diesel box truck
  - Preliminary data suggest emissions can vary significantly between days on the same vehicle
  - Next steps: estimating impact to communities



# Proposal

UCR/CE-CERT proposes a next phase comprehensive project to study air quality impacts from goods movement on local communities

- Deploy onboard sensors on up to 40 HD trucks (diesel baseline and alternative fuel)
- Monitor air quality within surrounding communities
- Model emissions impact & propose mitigation strategies
- CARB onboard sensor study will add additional data from up to 100 HD trucks and 20 off-road equipment



Source: UCR (2022), "OMEGA Proposal to SCAQMD"

# Proposed Project Costs

Funding Source	Funding Amount	Percent
California Attorney General's Office	\$2,000,000	56%
CARB	\$950,000	26%
Center for Advancing Research in Transportation Emissions	\$160,000	4%
South Coast AQMD ( <i>requested</i> )	\$500,000	14%
<b>Total</b>	<b>\$3,610,000</b>	<b>100%</b>

# Recommended Actions

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Execute a contract with UCR/CE-CERT to conduct a comprehensive study of the operations and impacts of goods movement in an amount not to exceed \$500,000 from the Clean Fuels Program Fund (31)

**Technology Committee Agenda #2**

BOARD MEETING DATE: June 3, 2022

AGENDA NO.

**PROPOSAL:** Adopt Resolution Recognizing Funds and Accepting Terms and Conditions for FY 2021-22 Carl Moyer State Reserve Program, Reimburse General Fund for Administrative Costs, and Amend Carl Moyer Program Award

**SYNOPSIS:** In March 2022, CARB approved allocations for the FY 2021-22 Carl Moyer “Year 24” State Reserve Program to include \$5,000,000 to South Coast AQMD for commercial lawn and garden equipment projects eligible under the Carl Moyer Program. This action is to: 1) Adopt a resolution recognizing \$5,000,000 in FY 2021-22 Carl Moyer State Reserve funds from CARB into the Carl Moyer Program Fund (32) and accept terms and conditions of the grant award for the implementation of commercial lawn and garden equipment projects within South Coast AQMD, and to reimburse the General Fund for administrative costs up to \$312,500 from the Carl Moyer Program Fund (32); and 2) Amend a Year 23 Carl Moyer award approved in January 2022 to ToursX, LLC for the repower of a marine vessel.

**COMMITTEE:** Technology, May 20, 2022; Recommended for Approval

**RECOMMENDED ACTIONS:**

1. Adopt the attached Resolution recognizing, upon receipt, \$5,000,000 in FY 2021-22 Carl Moyer State Reserve funds from CARB into the Carl Moyer Program Fund (32) and authorize the Executive Officer to accept terms and conditions of the State Reserve grant award;
2. Reimburse the General Fund from the Carl Moyer Program Fund (32) for administrative costs related to the FY 2021-22 Carl Moyer State Reserve Program in an amount up to \$312,500; and
3. Amend a Carl Moyer award for ToursX, LLC to include the repower of two instead of three marine engines, as originally proposed, at no additional cost.

Wayne Nastri  
Executive Officer

## **Background**

Pursuant to Health and Safety Section 44286(d), CARB may withhold up to ten percent of the available Carl Moyer Program funds for the Carl Moyer State Reserve Program. Each year CARB distributes these funds into a Moyer funding category of its choosing. For FY 2021-22, approximately \$24.7 million in State Reserve funds are available and, in April 2022, CARB approved allocations for the FY 2021-22 (Year 24) Carl Moyer Program State Reserve funds to seven air districts. This year CARB has allocated the State Reserve funds towards offsetting the cost of commercial grade zero-emission lawn and garden equipment. The allocation for the South Coast AQMD is \$5,000,000, which includes 6.25 percent in administrative funds. Currently CARB is working with the Air Districts through California Air Pollution Control Officers Association (CAPCOA) to modify the Carl Moyer Guidelines for zero-emission commercial grade lawn and garden equipment and it is anticipated the updated guidelines will be finalized this summer.

In addition, under the “Year 23” Carl Moyer Program and the Surplus Off-Road Opt-In for NOx (SOON) Provision Program Announcements released in March 2021, ToursX, LLC submitted a proposal for the repower of three marine engines. Staff determined that only two of the three engine repower projects were eligible for funding. In January 2022, the Board approved ToursX, LLC for an award which staff erroneously identified as the repower of three marine engines, instead of two, in the amount of \$115,801.

## **Proposal**

This action is to adopt the attached Resolution recognizing, upon receipt, up to \$5,000,000 in FY 2021-22 Carl Moyer Program State Reserve funds from CARB into the Carl Moyer Program Fund (32), authorize the Executive Officer to accept the terms and conditions of the State Reserve grant award, and reimburse the General Fund for administrative costs in an amount not to exceed \$312,500 from the Carl Moyer Program Fund (32). The State Reserve funds will be used for commercial grade zero-emission lawn and garden equipment projects eligible pursuant to the Carl Moyer Program. Staff anticipates the release of a Program Announcement in the fall of 2022 once the program details have been established by CARB within the Carl Moyer guidelines for zero emission commercial grade lawn and garden equipment.

This action is to also amend a Carl Moyer award approved by the Board in January 2022 with ToursX, LLC to make a correction to reflect the repower of two instead of three marine engines, approved by the Board in January 2022.

## **Benefits to SCAQMD**

The State Reserve funds will be utilized to fund replacement of high polluting gasoline- or diesel powered commercial zero-emission lawn and garden equipment projects. This will reduce VOC, NOx, and PM emissions. In addition, replacement of diesel powered equipment will reduce diesel particulate emissions which is a carcinogen.



Also, the successful implementation of the Carl Moyer Program and SOON Provision Program will provide direct emissions reductions for both NO<sub>x</sub> and PM as required by the programs. Since the vehicles and equipment funded under these programs will operate for the life of the contract and beyond, the emissions reductions will provide long-term benefits.

**Resource Impacts**

There are no resource impacts anticipated from implementation of this program since the program allows for 6.25 percent of the \$5,000,000 to be allocated to for administrative costs. The amendment to the “Year 23” Carl Moyer award to ToursX, LLC is at no additional cost.

**Attachment**

Resolution

**RESOLUTION NO. 21-**

**A Resolution of the South Coast Air Quality Management District Governing Board Recognizing Funds and Accepting Terms and Conditions of the FY 2021-22 (Year 24) Carl Moyer Program State Reserve Program**

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

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

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

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

NOW, THEREFORE, BE IT RESOLVED that the Governing Board, in regular session assembled on June 3, 2022, does hereby authorize the Executive Officer to accept terms and conditions of the FY 2021-22 (Year 24) Carl Moyer Program State Reserve grant award and recognize up to \$5 million in State Reserve funds from the California Air Resources Board for eligible commercial grade lawn and garden equipment projects; and

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

\_\_\_\_\_  
Date

\_\_\_\_\_  
Faye Thomas, Clerk of the Board

## Agenda Item # 2

Adopt Resolution Recognizing Funds and Accepting Terms and Conditions for FY 2021-22 Carl Moyer State Reserve Program, Reimburse General Fund for Administrative Costs, and Amend Carl Moyer Program Award

Yuh Jiun Tan

# Background

- For FY 2021-22, approximately \$24.7 million in the State Reserve funds are available to fund Carl Moyer projects
- CARB allocated \$5,000,000 to South Coast AQMD for zero-emission commercial lawn and garden equipment



# Proposal

- Upon receipt, recognize the FY 2021-22 Carl Moyer State Reserve funds up to \$5,000,000
  - Includes \$312,500 for administrative costs
- Program Announcement anticipated by fall of 2022
- Separately, in January 2022 Board approved ToursX, LLC to repower three marine engines
  - Proposing to correct that there are two marine engine repowering projects



# Recommended Action

- Adopt Resolution recognizing up to \$5 million in FY 2021-22 Carl Moyer State Reserve funds from CARB into Carl Moyer Program Fund (32) and authorize the Executive Officer to accept terms and conditions of the State Reserve grant award
- Reimburse General Fund up to \$312,500 from Fund 32 for FY 2021-22 Carl Moyer State Reserve Program Administration Cost
- Amend Carl Moyer award approved by the Board in January 2022 with ToursX, LLC

**Technology Committee Agenda #3**

BOARD MEETING DATE: June 3, 2022

AGENDA NO.

**PROPOSAL:** Recognize Revenue, Transfer Funds, Release RFP to Continue Implementation of Enhanced Fleet Modernization Program, Execute Contracts and Reimburse General Fund for Administrative Costs

**SYNOPSIS:** Since 2015, South Coast AQMD has been implementing an Enhanced Fleet Modernization Program (EFMP), branded as Replace Your Ride. In April 2022, CARB allocated an additional \$21.1 million for FY21-22 to South Coast AQMD for EFMP. These actions are to: 1) recognize up to \$21.1 million for EFMP and accept terms and conditions of the grant awards; 2) authorize the Executive Officer to approve vouchers and other alternative mobility options for qualified participants; 3) release RFP to solicit proposals for contractor(s) to assist applicants with the application process, screen applications, and other program support; 4) transfer \$250,000 from AB923 Special Revenue Fund (80) into HEROS II Special Revenue Fund (56) to cover administrative costs as needed, and 5) execute contracts with contractor(s) for EFMP implementation support and reimburse the General Fund up to \$3.16 million.

**COMMITTEE:** Technology, May 20, 2022; Recommended for Approval

**RECOMMENDED ACTIONS:**

1. Recognize, upon receipt, up to \$21.1 million from CARB (Amended Grant #21-CC4A-01-01 and #G21-EFMP-01) into HEROS II Special Revenue Fund (56), and authorize the Executive Officer to accept the terms and conditions of the grant awards from CARB;
2. Authorize the Executive Officer to approve vouchers and other alternative mobility options for the continued implementation of the Enhanced Fleet Modernization Pilot Retire and Replace Program and Clean Cars 4 All (CC4A) incentives until all funds are exhausted;
3. Release RFP# P2022-12 to solicit proposals for contractor to assist applicants in the application process, screen applications, and other program support;
4. Transfer \$250,000 from AB923 Special Revenue Fund (80) into HEROS II Special Revenue Fund (56) for EFMP implementation support and/or administrative costs as needed; and

5. Authorize the Executive Officer to execute contracts with contractor(s) for EFMP implementation support and reimburse the General Fund for up to \$3.16 million from HEROS II Special Revenue Fund (56) as authorized by the grant agreements for administrative costs necessary to implement the EFMP.

Wayne Nastri  
Executive Officer

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### **Background**

Since 2015, South Coast AQMD has been implementing an Enhanced Fleet Modernization Program (EFMP), branded as Replace Your Ride. South Coast AQMD's Replace Your Ride Program is a vehicle retirement and replacement program which provides incentives to lower income motorists to scrap and replace their older, high-emitting vehicles with newer, cleaner models or utilize other clean transportation options.

Since its inception, South Coast AQMD has provided over \$68.6 million in EFMP funding and replaced over 8,600 older passenger vehicles with newer fuel-efficient vehicles, providing 26 tons of NOx and 1.4 tons PM emission reduction annually. The replacement vehicles include conventional, hybrid electric, plug-in hybrid electric, and zero emission vehicles. In lieu of a replacement vehicle, participants can select an Alternative Mobility voucher which can be used for public transportation, car sharing, and will now include the purchase of an E-bike. Approximately 93 percent of the vouchers have been issued to participants residing in disadvantaged communities, and 89 percent of the participants have been in the lowest poverty level. The EFMP is achieving the goal of replacing the oldest and dirtiest light-duty passenger vehicles on the road. The old vehicles have an average mileage of 179,860 and are 21 years old on average. Replace Your Ride is currently administered with assistance from three contractors providing case management and remote sensing emission test support. South Coast AQMD periodically releases solicitations to obtain consultants to assist staff with the Program's participants and meet implementation deadlines.

For FY 2021-22, CARB allocated an additional \$21.1 million to South Coast AQMD, consisting of \$19.67 million from Clean Cars 4 All (CC4A) through an amended agreement G21-CC4A-01-01 and \$1.4 million from Enhanced Fleet Modernization Pilot Retire and Replace Program through a new grant agreement G21-EFMP-01 to continue the implementation of the EFMP. Both grants allow up to 10 percent of the total grant amount to cover the cost of program administration and up to 5 percent to address issues



associated with the participation of low-income consumers in disadvantaged communities.

Implementation of the EFMP is resource intensive. In the past two years administrative costs incurred to support the program have increased largely due to the program's popularity, delays in CARB's funding to the program, and costs associated with contractors to help implement the program. Last year, there was a one-year moratorium to fund EFMP during which time no administrative funding was received, but staff and contractors continued to process a long list of applications in preparation for future funding.

### **Proposal**

Staff proposes the total funding amount of \$21.1 million from the two CARB grants is recognized into the HEROS II Special Revenue Fund (56) to implement the Enhanced Fleet Modernization Pilot Retire and Replace Program. Also, staff recommends authorizing the Executive Officer to approve vouchers and other alternative mobility options for the program until all available funds are exhausted; and release RFP# P2022-12 to solicit proposals for contractors to assist Replace Your Ride applicants in the application process. Staff anticipates a high volume of Replace Your Ride applications; therefore, to avoid interrupting the processing of these applications (e.g., application evaluations), staff recommends authorizing the Executive Officer to execute contract(s) with the contractor(s) to expedite and streamline implementation of the program.

Further, staff recommends transferring \$250,000 from AB923 Special Revenue Fund (80) into HEROS II Special Revenue Fund (56) to cover additional program implementation and administrative costs along with reimbursing the General Fund up to \$3.16 million from the HEROS II Special Revenue Fund (56) as authorized by the grant agreements for administrative costs necessary to implement the EFMP.

### **Bid Evaluation**

Contractors will be selected based on the criteria in the RFP, primarily their ability to assist applicants in the application process, screen applications, and other program implementation support. Multiple contractors may be selected. Proposals will be evaluated by a panel of three South Coast AQMD staff members familiar with the subject matter of the project. The proposals will be evaluated and scored by the panel in accordance with established South Coast AQMD guidelines. The panel will make recommendations to the Executive Officer for the final selection of contractors. Staff expects a high volume of applications; therefore, allowing the Executive Officer to execute consultant contract(s) could avoid the interruption of program implementation support.

## **Outreach**

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

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

## **Benefits to South Coast AQMD**

Replace Your Ride will continue to provide clean vehicle incentives to qualifying lower income vehicle owners including those residing in disadvantaged communities, thereby providing emissions reduction benefits to these communities and throughout the region.

## **Resource Impacts**

CARB funding (Grant #21-CC4A-01-01 and #G21-EFMP-01) up to \$21.1 million, upon receipt, for FY 2021-22 EFMP implementation will be recognized into the HEROS II Special Revenue Fund (56). The transfer of \$250,000 from AB923 Special Revenue Fund (80) into HEROS II Special Revenue Fund (56) will be used to cover program implementation and administrative costs as needed. Reimbursement from the HEROS II Special Revenue Fund (56) to the General Fund for administrative costs and execution of contracts for program implementation support will not exceed \$3.41 million.

## **Attachment**

RFP# P2022-12



## **SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT**

### **REQUEST FOR PROPOSALS**

#### **RFP for the Implementation of the Enhanced Fleet Modernization Program**

P2022-12

South Coast Air Quality Management District (South Coast AQMD) requests proposals for the following purpose according to terms and conditions attached. In the preparation of this Request for Proposals (RFP) the words "Proposer," "Contractor," "Consultant," "Bidder" and "Firm" are used interchangeably.

#### **PURPOSE**

The South Coast AQMD is pleased to announce a request for proposals to provide administrative, consumer education, and case management support for the implementation of the AB 118 Enhanced Fleet Modernization Program (EFMP) and the Clean Cars 4 All (CC4A) program in the South Coast AQMD. These programs incentivize the early retirement of older passenger vehicles and their replacement with low or zero emission and high fuel efficiency vehicles up to eight model years and newer. This program focuses participation with lower income residents living in disadvantaged communities. To deliver administrative services assistance, contractors will assist South Coast AQMD in reviewing, assessing, and qualifying program applicants. These services will also provide assistance to the applicants through step-by-step guidance in completing their applications and meeting program requirements for monetary incentives to purchase a qualifying replacement vehicle. In addition, the Contractor will provide consumer education on consumer protection rights and understanding of the various advanced technology vehicles and their operation. The Contractor may be asked to provide outreach assistance at various venues, including community events. The number of events and locations will be determined by the South Coast AQMD staff. The Contractor shall provide all equipment, operation, and project management necessary to successfully conduct these events, as well as data analysis and reporting after the event.

A key goal of the application process is to achieve a streamlined and positive consumer experience. To accomplish this goal, the Contractor shall be knowledgeable of program requirements and procedures as set forth in state law, grant agreements, implementation plan, contracts, and other policies and procedures. South Coast AQMD staff will provide all materials and training necessary to obtain this knowledge, and from time to time the materials will be updated to reflect changes in the program. Because the application requirements are complex and would otherwise hinder individuals from participating in these incentive programs, one-to-one assistance to the applicant will be necessary.

In addition to providing assistance and determining eligibility for program applicants, the Contractor may be working with commercial entities that are part of EFMP implementation, including, automotive dealerships, financial institutions, automotive dismantlers, and electric vehicle supply equipment (EVSE) suppliers/installers. Applicants will be interfacing with these entities as part of the process to complete the vehicle retirement and replacement process. As such, contractors must ensure that these entities are authorized to participate in the program, maintain compliance with program requirements, and provide a positive experience for

program participants. Finally, the Contractor may provide program marketing and outreach assistance, such as promoting attendance, coordinating, and providing consumer assistance services at outreach events, as well as other marketing activities to maximize overall program participation by the public.

This RFP is seeking proposals that demonstrate experience and knowledge in consumer assistance services, monetary incentive programs, and public outreach and marketing services. Total funding for this RFP will be up to \$2,000,000 with an expected timeframe of 36 months from contract initiation to completion. During the 36 month period, up to 3,000 clean vehicle replacement vouchers may be processed. The South Coast AQMD may award one or more applicants under this RFP to maximize the efficacy of the program.

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

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

Attachment A - Participation in the Procurement Process

Attachment B - Certifications and Representations

**SECTION I: BACKGROUND/INFORMATION**

The South Coast AQMD is the regional air pollution control agency for the four-county South Coast Air Basin (Basin) (Orange County and the non-desert portions of Los Angeles, Riverside and San Bernardino counties), and the Riverside County portions of the Salton Sea Air Basin (SSAB) and Mojave Desert Air Basin (MDAB), covering an area of approximately 10,743 square miles.

The EFMP is a voluntary vehicle retirement and replacement program authorized by the California Alternative and Renewable Fuel, Vehicle Technology, Clean Air, and Carbon Reduction Act of 2007 (Assembly Bill 118, Statutes of 2007, Chapter 750; Health and Safety Code sections 44125-44126) section 44125(a). The CC4A is a parallel program and is part of California Climate Investments, a statewide initiative that places billions of cap-and-trade dollars to work reducing greenhouse gas emissions, strengthening the economy and improving public health and the environment, particularly in disadvantaged communities. Guidelines for both programs were established by the California Air Resources Board (CARB) in consultation with the Bureau of Automotive Repair in August of 2010. These programs as implemented by the South Coast AQMD provide incentives to eligible owners of light-duty vehicles for the early retirement of older higher-emitting vehicles and their replacement with cleaner, more fuel-efficient ones, or provides for mass transit passes in lieu of replacement vehicles. In the South Coast Air Basin, the EFMP and CC4A programs are implemented jointly as a combined program that has been branded Replace your Ride. For simplicity, this program will be referred to in this RFP as the EFMP.

The EFMP places emphasis on:

- Targeted outreach in low-income and disadvantaged communities;
- Providing assistance to program participants to complete the transactions;
- Ensuring that retired vehicles have sufficient remaining useful lives and functionality;
- Provides for additional tiered incentives for purchases of more environmentally friendly replacement vehicles and alternatively offers vouchers for public transportation, car sharing, electric bicycles (e-bikes), or other alternative mobility options.

Since March 2015, the inception of the EFMP, the program has issued over 8,600 vouchers to the eligible program participants to purchase cleaner and more fuel deficient vehicles or transportation vouchers.

## **SECTION II: CONTACT PERSON:**

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

**Mr. Justin Joe, Technology Advancement Office**  
 South Coast AQMD  
 21865 Copley Drive  
 Diamond Bar, CA 91765-4178  
 (909) 396-2054  
 jjoe@aqmd.gov

## **SECTION III: SCHEDULE OF EVENTS**

<b>Date</b>	<b>Event</b>
June 3, 2022	RFP Released
June 23, 2022	Bidder's Conference*
July 29, 2022	Proposals Due to South Coast AQMD - <b>No Later Than 1:00 pm</b>
4 <sup>th</sup> Quarter of 2022	Anticipated Contract Execution

\*Participation in the Bidder's Conference is optional. Such participation would assist in notifying potential Bidders of any updates or amendments. The Bidder's Conference will be held in a hybrid format, on-line and in Room CC-6 at South Coast AQMD Headquarters in Diamond Bar, California at 10:00 am on Thursday, June 23, 2022. Please contact Justin Joe at (909) 396-2054 by close of business on Wednesday, June 22, 2022, if you plan to attend.

## **SECTION IV: PARTICIPATION IN THE PROCUREMENT PROCESS**

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

## **SECTION V: STATEMENT OF WORK/SCHEDULE OF DELIVERABLES**

The overall objective is to develop and implement the Retire and Replace Program element of the Enhanced Fleet Modernization Program (EFMP). The Program applies to low-income residents to promote cleaner replacement vehicles.

Four tasks have been identified for this project as follows:

1. Initial Meeting(s)/Training with South Coast AQMD Staff
2. Assessing and Processing of Eligible Participants and Vehicles
3. Interface with Participating Commercial Entities
4. Outreach Implementation

Potential bidders should address all tasks based on their background and expertise in their proposal based on the format provided in Section VII – Proposal Submittal Requirements. The five tasks listed below are integral to maximizing program participation and providing a streamlined and positive consumer experience. Proposals submitted may separately address Tasks 1 through 4. In addition, the South Coast AQMD reserves the right to recommend awards to prospective bidders either to conduct all four tasks or only some of the tasks.

### **Statement of Work**

The selected contractor(s) shall perform assignments on an as-needed basis upon receiving written notification from the South Coast AQMD. Each assignment will have specific tasks to be conducted and resources to be utilized. No work can be implemented without South Coast AQMD authorization. Potential tasks include the following:

#### Task 1 – Initial Meeting(s)/Training with South Coast AQMD Staff

All contracting parties shall meet with South Coast AQMD staff to discuss and establish program coordination details including training, chain of command, responsibilities, contacts, timelines, and other logistics prior to working on Tasks 2 through 5. South Coast AQMD staff will provide training to contractor staff including all written materials and procedures necessary to assess prospective program participants and process eligible consumers through the Program.

#### Task 2 – Assessing and Processing of Eligible Participants and Vehicles

This task includes assessing prospective EFMP participants for program eligibility and assisting eligible individuals in completing all program requirements in accordance with the EFMP regulation, grant agreements, EFMP implementation plan, and operations manuals for case managers, automobile dealerships, dismantlers, and financial institutions. This assistance will require the Contractor to provide step-by-step instructions to guide program applicants through program requirements and procedures. In addition, this task requires the Contractor to evaluate information and documentation provided by applicants to determine compliance with program requirements and work with applicants to ensure that all program requirements have been satisfied prior to submission of completed application packages by the Contractor to South Coast AQMD. Contractor should provide multilingual support including but not limited to English, Spanish and Chinese.

Contractor will specifically provide information and assistance as needed to individual program participants on:

1. program qualification requirements and incentive levels applicable to the individual consumer,
2. completion of program application form,
3. procurement of all supporting documentation relating to but limited to proof of residency in South Coast AQMD jurisdictional area and disadvantaged community (if applicable), household income, vehicle proposed for retirement, and replacement vehicle,
4. procedures regarding the determination of useful remaining life of the existing vehicle, and the disposition of the vehicle upon receipt of replacement, and
5. purchase of qualified replacement vehicle.

Contractor will also be required to track program progress as necessary and provide weekly (or upon South Coast AQMD request) summary activity reports.

### Task 3 – Interface with Participating Commercial Entities

This task will require the Contractor to evaluate, coordinate, and provide support services as necessary between participating commercial entities (which include for example participating automobile dealerships, financial institutions, automobile dismantlers, electric vehicle supply equipment suppliers and installers, and vehicle emission testing firms) individual program participants, and South Coast AQMD to ensure that commercial entities: (1) provide a positive customer service experience to program participants, including multilingual support in languages that include but not limited to English, Spanish and Chinese; (2) comply with program requirements; and (3) submit required documentation to South Coast AQMD and other government agencies. To support these activities, the Contractor will: (1) provide information on program requirements to these commercial entities and update these requirements as necessary; (2) evaluate and track documentation submitted by these entities on behalf of individual program participants for program compliance; and (3) troubleshoot program compliance issues, including but not limited to, incorrect and/or incomplete documentation that is submitted by these entities and/or inaccurate information that is disseminated directly by these entities to program participants. Examples of documentation to be evaluated for program compliance include vehicle sales contracts (buyers orders), loan documents, California DMV vehicle certificate of title forms and Reg. 42 forms, and electric vehicle supply equipment installation receipts.

### Task 4 – Outreach Implementation

The purpose of this task is to generate public awareness and interest to attract a large number of consumers to potentially participate in the EFMP. This may involve various activities such as taking telephone calls from prospective program participants and providing information on program requirements, incentive levels, and resources available in both English and Spanish (e.g., program brochures, web site), as well as developing and maintaining lists consisting of contact information for prospective program participants. In addition, Contractor may be requested to attend outreach events to help disseminate program information to prospective program participants as well as process existing program participants for completion of program requirements. As part of this task, prospective bidders shall identify non-governmental organizations that can help promote the EFMP and serve as a resource in community outreach.

### **Schedule of Deliverables**

Specific deliverables and time schedules for task completion will be established by the South Coast AQMD, in writing, when each task is authorized. Specific deliverables will include, but not be limited to, preparation of participant application packages, reports, and attendance at meetings and outreach events.

**SECTION VI: REQUIRED QUALIFICATIONS**

Desired qualifications include understanding of the EFMP and the various complexities of the program, prior experience in implementing the EFMP and other voucher/vehicle scrapping programs, and experience in working with the general public, business entities and the ability to provide multilingual support including but not limited to English, Spanish and Chinese. In addition, prospective bidders shall provide information on conducting technical analysis of the program performance and provide accurate data entry and have the resources necessary to communicate with consumers in a second language, such as Spanish, Chinese, or other major second language.

**SECTION VII: PROPOSAL SUBMITTAL REQUIREMENTS**

Submitted proposals must follow the format outlined below and all requested information must be supplied. Failure to submit proposals in the required format will result in elimination from proposal evaluation. South Coast AQMD may modify the RFP or issue supplementary information or guidelines during the proposal preparation period prior to the due date. Please check our website for updates (<http://www.aqmd.gov/grants-bids>). The cost for developing the proposal is the responsibility of the Contractor, and shall not be chargeable to South Coast AQMD.

Each proposal must be submitted in three separate volumes:



your approach to the project, specifically address the Firm's ability and willingness to commit and maintain staffing to successfully complete the project on the proposed schedule.

Qualifications (Section D) - Describe the technical capabilities of the Firm. Provide references of other similar studies or projects performed during the last five years demonstrating ability to successfully complete the work. Include contact name, title, and telephone number for any references listed. Provide a statement of your Firm's background and related experience in performing similar services for other governmental organizations.

Assigned Personnel (Section E) - Provide the following information about the staff to be assigned to this project:

1. List all key personnel assigned to the project by level, name and location. Provide a resume or similar statement describing the background, qualifications and experience of the lead person and all persons assigned to the project. Substitution of project manager or lead personnel will not be permitted without prior written approval of South Coast AQMD.
2. Provide a spreadsheet of the labor hours proposed for each labor category at the task level.
3. Provide a statement indicating whether or not 90% of the work will be performed within the geographical boundaries of South Coast AQMD.
4. Provide a statement of education and training programs provided to, or required of, the staff identified for participation in the project, particularly with reference to management consulting, governmental practices and procedures, and technical matters.
5. Provide a summary of your Firm's general qualifications to meet required qualifications and fulfill statement of work, including additional Firm personnel and resources beyond those who may be assigned to the project.

Subcontractors (Section F) - This project may require expertise in multiple technical areas. List any subcontractors that will be used, identifying functions to be performed by them, their related qualifications and experience and the total number of hours or percentage of time they will spend on the project.

Conflict of Interest (Section G) - Address possible conflicts of interest with other clients affected by actions performed by the Firm on behalf of South Coast AQMD. South Coast AQMD recognizes that prospective Contractors may be performing similar projects for other clients. Include a complete list of such clients for the past three (3) years with the type of work performed and the total number of years performing such tasks for each client. Although the Proposer will not be automatically disqualified by reason of work performed for such clients, South Coast AQMD reserves the right to consider the nature and extent of such work in evaluating the proposal.

Additional Data (Section H) - Provide other essential data that may assist in the evaluation of this proposal.

## **VOLUME II - COST PROPOSAL**

Name and Address - The Cost Proposal must list the name and complete address of the Proposer in the upper left-hand corner.

Cost Proposal - South Coast AQMD anticipates awarding a fixed price contract. Cost information must be provided as listed below:

1. Detail must be provided by the following categories:
  - A. Labor – The Cost Proposal must list the fully-burdened hourly rates and the total number of hours estimated for each level of professional and administrative staff to be used to perform the tasks required by this RFP. Costs should be estimated for each of the components of the work plan.
  - B. Subcontractor Costs - List subcontractor costs and identify subcontractors by name. Itemize subcontractor charges per hour or per day.
  - C. Travel Costs - Indicate amount of travel cost and basis of estimate to include trip destination, purpose of trip, length of trip, airline fare or mileage expense, per diem costs, lodging and car rental.
  - D. Other Direct Costs -This category may include such items as postage and mailing expense, printing and reproduction costs, etc. Provide a basis of estimate for these costs.
2. It is the policy of the South Coast AQMD to receive at least as favorable pricing, warranties, conditions, benefits and terms as other customers or clients making similar purchases or receiving similar services. South Coast AQMD will give preference, where appropriate, to vendors who certify that they will provide “most favored customer” status to the South Coast AQMD. To receive preference points, Proposer shall certify that South Coast AQMD is receiving “most favored customer” pricing in the Business Status Certifications page of Volume III, Attachment B – Certifications and Representations.

### **VOLUME III - CERTIFICATIONS AND REPRESENTATIONS** (see Attachment B to this RFP)

#### **SECTION VIII: PROPOSAL SUBMISSION**

All proposals must be submitted according to specifications set forth in the section above, and this section. Failure to adhere to these specifications may be cause for rejection of the proposal.

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

Due Date - **All proposals are due no later than 1:00 p.m., July 29, 2022, and should be directed to:**

Procurement Unit  
 South Coast Air Quality Management District  
 21865 Copley Drive  
 Diamond Bar, CA 91765-4178  
 (909) 396-3520

Submittal - Submit 1 electronic copy (memory stick) and four (4) complete copies of the proposal in a sealed envelope, plainly marked in the upper left-hand corner with the name and address of the Proposer and the words "Request for Proposals P2022-12."

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

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

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

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

**SECTION IX: PROPOSAL EVALUATION/CONTRACTOR SELECTION CRITERIA**

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

1. Proposal Evaluation Criteria

(a) Special Projects Requiring Unique Knowledge or Abilities

Understanding the Problem	20
Contractor Qualifications	30
Previous Experience on Similar Projects	10
Cost	<u>40</u>
TOTAL	100

(b) Additional Points

Small Business or Small Business Joint Venture	5
DVBE or DVBE Joint Venture	5
Use of DVBE or Small Business Subcontractors	5
Local Business (Non-Federally Funded Projects Only)	5
Most Favored Customer	2

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

**Self-Certification for Additional Points**

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

2. To receive additional points in the evaluation process for the categories of Small Business or Small Business Joint Venture, DVBE or DVBE Joint Venture or Local Business (for non-federally funded projects), the proposer must submit a self-certification at the time of proposal submission certifying that the proposer meets the requirements set forth in Attachments A and B. To receive points for the use of DVBE and/or Small Business subcontractors, at least 25 percent of the total contract value must be subcontracted to DVBEs and/or Small Businesses. To receive points as a Local Business, the proposer must affirm that it has an ongoing business within the South Coast AQMD at the time of bid/proposal submittal and that 90% of the work related to the contract will be performed within the South Coast AQMD. Proposals for legislative representation, such as in Sacramento, California or Washington D.C. are not eligible for local business incentive points. Federally funded projects are not eligible for local business incentive points. To receive points for Most Favored Customer status, the proposer must submit, at proposal submission, certification of its commitment to provide most favored customer status to the South Coast AQMD. The cumulative points awarded for Small Business, DVBE, use of Small Business or DVBE Subcontractors, Local Business, Zero or Near-Zero Emission Vehicle Business, Off-Peak Hour Delivery Business and Most Favored Customer shall not exceed 17 points.
  3. For procurement of Research and Development (R & D) projects or projects requiring technical or scientific expertise or special projects requiring unique knowledge and abilities, technical factors including past experience shall be weighted at 70 points and cost shall be weighted at 30 points. A proposal must receive at least 56 out of 70 points on R & D projects and projects requiring technical or scientific expertise or special projects requiring unique knowledge and abilities, in order to be deemed qualified for award.
  4. The lowest cost proposal will be awarded the maximum cost points available and all other cost proposals will receive points on a prorated basis. For example if the lowest cost proposal is \$1,000 and the maximum points available are 50 points, this proposal would receive the full 50 points. If the next lowest cost proposal is \$1,100 it would receive 45 points reflecting the fact that it is 10% higher than the lowest cost (90% of 50 points = 45 points).
- C. During the selection process the evaluation panel may wish to interview some proposers for clarification purposes only. No new material will be permitted at this time. Additional information provided during the bid review process is limited to clarification by the Proposer of information presented in his/her proposal, upon request by South Coast AQMD.
- D. The Executive Officer or Governing Board may award the contract to a Proposer other than the Proposer receiving the highest rating in the event the Governing Board

determines that another Proposer from among those technically qualified would provide the best value to South Coast AQMD considering cost and technical factors. The determination shall be based solely on the Evaluation Criteria contained in the Request for Proposal (RFP), on evidence provided in the proposal and on any other evidence provided during the bid review process.

- E. Selection will be made based on the above-described criteria and rating factors. The selection will be made by and is subject to Executive Officer or Governing Board approval. Proposers may be notified of the results by letter.
- F. The Governing Board has approved a Bid Protest Procedure which provides a process for a Bidder or prospective Bidder to submit a written protest to South Coast AQMD Procurement Manager in recognition of two types of protests: Protest Regarding Solicitation and Protest Regarding Award of a Contract. Copies of the Bid Protest Policy can be secured through a request to South Coast AQMD Procurement Department.
- G. The Executive Officer or Governing Board may award contracts to more than one proposer if in (his or their) sole judgment the purposes of the (contract or award) would best be served by selecting multiple proposers.
- H. If additional funds become available, the Executive Officer or Governing Board may increase the amount awarded. The Executive Officer or Governing Board may also select additional proposers for a grant or contract if additional funds become available.
- I. Disposition of Proposals – Pursuant to South Coast AQMD’s Procurement Policy and Procedure, South Coast AQMD reserves the right to reject any or all proposals. All proposals become the property of South Coast AQMD, and are subject to the California Public Records Act. One copy of the proposal shall be retained for South Coast AQMD files. Additional copies and materials will be returned only if requested and at the proposer's expense.
- J. If proposal submittal is for a Public Works project as defined by State of California Labor Code Section 1720, Proposer is required to include Contractor Registration No. in Attachment B. Proposal submittal will be deemed as non-responsive and Bidder may be disqualified if Contractor Registration No. is not included in Attachment B. Proposer is alerted to changes to California Prevailing Wage compliance requirements as defined in Senate Bill 854 (Stat. 2014, Chapter 28), and California Labor Code Sections 1770, 1771, 1725, 1777, 1813 and 1815.

## **SECTION X: FUNDING**

South Coast AQMD anticipates awarding one or more contracts. The total funding for the work contemplated by this RFP will be a maximum of \$2,000,000 for the full term of the contract(s).

## **SECTION XI: SAMPLE CONTRACT**

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

## ATTACHMENT A

### PARTICIPATION IN THE PROCUREMENT PROCESS

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

B. Definitions:

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

1. "Women business enterprise" (WBE) as used in this policy means a business enterprise that meets all of the following criteria:
  - a. a business that is at least 51 percent owned by one or more women, or in the case of any business whose stock is publicly held, at least 51 percent of the stock is owned by one or more or women.
  - b. a business whose management and daily business operations are controlled by one or more women.
  - c. a business which is a sole proprietorship, corporation, or partnership with its primary headquarters office located in the United States, which is not a branch or subsidiary of a foreign corporation, foreign firm, or other foreign-based business.
2. "Disabled veteran" as used in this policy is a United States military, naval, or air service veteran with at least 10 percent service-connected disability who is a resident of California.
3. "Disabled veteran business enterprise" (DVBE) as used in this policy means a business enterprise that meets all of the following criteria:
  - a. is a sole proprietorship or partnership of which at least 51 percent is owned by one or more disabled veterans or, in the case of a publicly owned business, at least 51 percent of its stock is owned by one or more disabled veterans; a subsidiary which is wholly owned by a parent corporation but only if at least 51 percent of the voting stock of the parent corporation is owned by one or more disabled veterans; or a joint venture in which at least 51 percent of the joint

- venture's management and control and earnings are held by one or more disabled veterans.
- b. the management and control of the daily business operations are by one or more disabled veterans. The disabled veterans who exercise management and control are not required to be the same disabled veterans as the owners of the business.
  - c. is a sole proprietorship, corporation, or partnership with its primary headquarters office located in the United States, which is not a branch or subsidiary of a foreign corporation, firm, or other foreign-based business.
4. "Local business" as used in this policy means a company that has an ongoing business within geographical boundaries of South Coast AQMD at the time of bid or proposal submittal and performs 90% of the work related to the contract within the geographical boundaries of South Coast AQMD and satisfies the requirements of subparagraph H below. Proposals for legislative representation, such as in Sacramento, California or Washington D.C. are not eligible for local business incentive points.
  5. "Small business" as used in this policy means a business that meets the following criteria:
    - a. 1) an independently owned and operated business; 2) not dominant in its field of operation; 3) together with affiliates is either:
      - A service, construction, or non-manufacturer with 100 or fewer employees, and average annual gross receipts of ten million dollars (\$10,000,000) or less over the previous three years, or
      - A manufacturer with 100 or fewer employees.
    - b. Manufacturer means a business that is both of the following:
      - 1) Primarily engaged in the chemical or mechanical transformation of raw materials or processed substances into new products.
      - 2) Classified between Codes 311000 and 339000, inclusive, of the North American Industrial Classification System (NAICS) Manual published by the United States Office of Management and Budget, 2007 edition.
  6. "Joint ventures" as defined in this policy pertaining to certification means that one party to the joint venture is a DVBE or small business and owns at least 51 percent of the joint venture.
  7. "Zero or Near-Zero Emission Vehicle Business" as used in this policy means a company or contractor that uses Zero or Near-Zero emission vehicles in

conducting deliveries to South Coast AQMD. Zero or Near-Zero emission vehicles include vehicles powered by electric, compressed natural gas (CNG), liquefied natural gas (LNG), liquefied petroleum gas (LPG), ethanol, methanol and hydrogen and are certified to 90% or lower of the existing standard.

8. "Off-Peak Hours Delivery Business" as used in this policy means a company or contractor that commits to conducting deliveries to South Coast AQMD during off-peak traffic hours defined as between 10:00 a.m. and 3:00 p.m.
9. "Benefits Incentive Business" as used in this policy means a company or contractor that provides janitorial, security guard or landscaping services to South Coast AQMD and commits to providing employee health benefits (as defined below in Section VIII.D.2.d) for full time workers with affordable deductible and co-payment terms.
10. "Minority Business Enterprise" as used in this policy means a business that is at least 51 percent owned by one or more minority person(s), or in the case of any business whose stock is publicly held, at least 51 percent of the stock is owned by one or more or minority persons.
  - a. a business whose management and daily business operations are controlled by one or more minority persons.
  - b. a business which is a sole proprietorship, corporation, or partnership with its primary headquarters office located in the United States, which is not a branch or subsidiary of a foreign corporation, foreign firm, or other foreign-based business.
  - c. "Minority person" for purposes of this policy, means a Black American, Hispanic American, Native-American (including American Indian, Eskimo, Aleut, and Native Hawaiian), Asian-Indian (including a person whose origins are from India, Pakistan, and Bangladesh), Asian-Pacific-American (including a person whose origins are from Japan, China, the Philippines, Vietnam, Korea, Samoa, Guam, the United States Trust Territories of the Pacific, Northern Marianas, Laos, Cambodia, and Taiwan).
11. "Most Favored Customer" as used in this policy means that the South Coast AQMD will receive at least as favorable pricing, warranties, conditions, benefits and terms as other customers or clients making similar purchases or receiving similar services.
12. "Disadvantaged Business Enterprise" as used in this policy means a business that is an entity owned and/or controlled by a socially and economically disadvantaged individual(s) as described by Title X of the Clean Air Act Amendments of 1990 (42 U.S.C. 7601 note) (10% statute), and Public Law 102-389 (42 U.S.C. 4370d)(8% statute), respectively;
  - a Small Business Enterprise (SBE);
  - a Small Business in a Rural Area (SBRA);



a Labor Surplus Area Firm (LSAF); or  
a Historically Underutilized Business (HUB) Zone Small Business Concern, or a concern under a successor program.

- C. Under Request for Quotations (RFQ), DVBEs, DVBE business joint ventures, small businesses, and small business joint ventures shall be granted a preference in an amount equal to 5% of the lowest cost responsive bid. Zero or Near-Zero Emission Vehicle Businesses shall be granted a preference in an amount equal to 5 percent of the lowest cost responsive bid. Off-Peak Hours Delivery Businesses shall be granted a preference in an amount equal to 2 percent of the lowest cost responsive bid. Local businesses (if the procurement is not funded in whole or in part by federal grant funds) shall be granted a preference in an amount equal to 2% of the lowest cost responsive bid. Businesses offering Most Favored Customer status shall be granted a preference in an amount equal to 2 percent of the lowest cost responsive bid.
- D. Under Request for Proposals, DVBEs, DVBE joint ventures, small businesses, and small business joint ventures shall be awarded ten (10) points in the evaluation process. A non-DVBE or large business shall receive seven (7) points for subcontracting at least twenty-five (25%) of the total contract value to a DVBE and/or small business. Zero or Near-Zero Emission Vehicle Businesses shall be awarded five (5) points in the evaluation process. On procurements which are not funded in whole or in part by federal grant funds local businesses shall receive five (5) points. Off-Peak Hours Delivery Businesses shall be awarded two (2) points in the evaluation process. Businesses offering Most Favored Customer status shall be awarded two (2) points in the evaluation process.
- E. South Coast AQMD will ensure that discrimination in the award and performance of contracts does not occur on the basis of race, color, sex, national origin, marital status, sexual preference, creed, ancestry, medical condition, or retaliation for having filed a discrimination complaint in the performance of South Coast AQMD contractual obligations.
- F. South Coast AQMD requires Contractor to be in compliance with all state and federal laws and regulations with respect to its employees throughout the term of any awarded contract, including state minimum wage laws and OSHA requirements.
- G. When contracts are funded in whole or in part by federal funds, and if subcontracts are to be let, the Contractor must comply with the following, evidencing a good faith effort to solicit disadvantaged businesses. Contractor shall submit a certification signed by an authorized official affirming its status as a MBE or WBE, as applicable, at the time of contract execution. South Coast AQMD reserves the right to request documentation demonstrating compliance with the following good faith efforts prior to contract execution.
1. Ensure Disadvantaged Business Enterprises (DBEs) are made aware of contracting opportunities to the fullest extent practicable through outreach and recruitment activities. For Indian Tribal, State and Local Government recipients, this will include placing DBEs on solicitation lists and soliciting them whenever they are potential sources.
  2. Make information on forthcoming opportunities available to DBEs and arrange time frames for contracts and establish delivery schedules, where

the requirements permit, in a way that encourages and facilitates participation by DBEs in the competitive process. This includes, whenever possible, posting solicitations for bids or proposals for a minimum of 30 calendar days before the bid or proposal closing date.

3. Consider in the contracting process whether firms competing for large contracts could subcontract with DBEs. For Indian Tribal, State and Local Government recipients, this will include dividing total requirements when economically feasible into smaller tasks or quantities to permit maximum participation by DBEs in the competitive process.
  4. Encourage contracting with a consortium of DBEs when a contract is too large for one of these firms to handle individually.
  5. Using the services and assistance of the Small Business Administration and the Minority Business Development Agency of the Department of Commerce.
  6. If the prime contractor awards subcontracts, require the prime contractor to take the above steps.
- H. To the extent that any conflict exists between this policy and any requirements imposed by federal and state law relating to participation in a contract by a certified MBE/WBE/DVBE as a condition of receipt of federal or state funds, the federal or state requirements shall prevail.
- I. When contracts are not funded in whole or in part by federal grant funds, a local business preference will be awarded. For such contracts that involve the purchase of commercial off-the-shelf products, local business preference will be given to suppliers or distributors of commercial off-the-shelf products who maintain an ongoing business within the geographical boundaries of South Coast AQMD. However, if the subject matter of the RFP or RFQ calls for the fabrication or manufacture of custom products, only companies performing 90% of the manufacturing or fabrication effort within the geographical boundaries of South Coast AQMD shall be entitled to the local business preference. Proposals for legislative representation, such as in Sacramento, California or Washington D.C. are not eligible for local business incentive points.
- J. In compliance with federal fair share requirements set forth in 40 CFR Part 33, South Coast AQMD shall establish a fair share goal annually for expenditures with federal funds covered by its procurement policy.

**ATTACHMENT B**  
**CERTIFICATIONS AND REPRESENTATIONS**

P2022-12



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**Business Information Request**

Dear South Coast AQMD Contractor/Supplier:

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

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

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

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

Sincerely,

Sujata Jain  
Chief Financial Officer

DH;jn

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



**BUSINESS INFORMATION REQUEST**

Business Name	
Division of	
Subsidiary of	
Website Address	
Type of Business	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 South Coast AQMD, \_\_\_\_\_ (name of business) will engage in good faith efforts to achieve the fair share in accordance with 40 CFR Section 33.301, and will follow the six affirmative steps listed below **for contracts or purchase orders funded in whole or in part by federal grants and contracts.**

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

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

Check all that apply:

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

Percent of ownership: \_\_\_\_\_ %

Name of Qualifying Owner(s): \_\_\_\_\_

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

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

\_\_\_\_\_

\_\_\_\_\_

## Definitions

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Form **W-9**  
(Rev. October 2018)  
Department of the Treasury  
Internal Revenue Service

# Request for Taxpayer Identification Number and Certification

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

Go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9) for instructions and the latest information.

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

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

**3** Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only **one** of the following seven boxes.

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

Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ▶ \_\_\_\_\_

**Note:** Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is **not** disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.

Other (see instructions) ▶ \_\_\_\_\_

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

Exempt payee code (if any) \_\_\_\_\_

Exemption from FATCA reporting code (if any) \_\_\_\_\_

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

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

**6** City, state, and ZIP code

**7** List account number(s) here (optional)

**Part I Taxpayer Identification Number (TIN)**

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

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

<b>Social security number</b>	
-	
<b>or</b>	
<b>Employer identification number</b>	
-	

**Part II Certification**

Under penalties of perjury, I certify that:

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

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

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

**General Instructions**

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

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

**Purpose of Form**

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

- Form 1099-INT (Interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

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

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



By signing the filled-out form, you:

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

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

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

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

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

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

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

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

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

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

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

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

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

## Backup Withholding

**What is backup withholding?** Persons making certain payments to you must under certain conditions withhold and pay to the IRS 24% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

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

**Payments you receive will be subject to backup withholding if:**

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the instructions for Part II for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code*, later, and the separate instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships*, earlier.

## What is FATCA Reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code*, later, and the instructions for the Requester of Form W-9 for more information.

## Updating Your Information

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

## Penalties

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

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

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

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

## Specific Instructions

### Line 1

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

If this Form W-9 is for a joint account (other than an account maintained by a foreign financial institution (FFI)), list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9. If you are providing Form W-9 to an FFI to document a joint account, each holder of the account that is a U.S. person must provide a Form W-9.

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

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

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

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

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

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

### Line 2

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

### Line 3

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

IF the entity/person on line 1 is a(n) . . .	THEN check the box for . . .
• Corporation	Corporation
• Individual • Sole proprietorship, or • Single-member limited liability company (LLC) owned by an individual and disregarded for U.S. federal tax purposes.	Individual/sole proprietor or single-member LLC
• LLC treated as a partnership for U.S. federal tax purposes, • LLC that has filed Form 8832 or 2553 to be taxed as a corporation, or • LLC that is disregarded as an entity separate from its owner but the owner is another LLC that is not disregarded for U.S. federal tax purposes.	Limited liability company and enter the appropriate tax classification. (P= Partnership; C= C corporation; or S= S corporation)
• Partnership	Partnership
• Trust/estate	Trust/estate

### Line 4, Exemptions

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

#### Exempt payee code.

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

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

1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)

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

3—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities

4—A foreign government or any of its political subdivisions, agencies, or instrumentalities

5—A corporation

6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or possession

7—A futures commission merchant registered with the Commodity Futures Trading Commission

8—A real estate investment trust

9—An entity registered at all times during the tax year under the Investment Company Act of 1940

10—A common trust fund operated by a bank under section 584(a)

11—A financial institution

12—A middleman known in the investment community as a nominee or custodian

13—A trust exempt from tax under section 664 or described in section 4947

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

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

<sup>1</sup> See Form 1099-MISC, Miscellaneous Income, and its Instructions.

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

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

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

M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

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

**Line 5**

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns. If this address differs from the one the requester already has on file, write NEW at the top. If a new address is provided, there is still a chance the old address will be used until the payor changes your address in their records.

**Line 6**

Enter your city, state, and ZIP code.

**Part I. Taxpayer Identification Number (TIN)**

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

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN.

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

**Note:** See *What Name and Number To Give the Requester*, later, for further clarification of name and TIN combinations.

**How to get a TIN.** If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at [www.SSA.gov](http://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](http://www.irs.gov/Businesses) and clicking on Employer Identification Number (EIN) under Starting a Business. Go to [www.irs.gov/Forms](http://www.irs.gov/Forms) to view, download, or print Form W-7 and/or Form SS-4. Or, you can go to [www.irs.gov/OrderForms](http://www.irs.gov/OrderForms) to place an order and have Form W-7 and/or SS-4 mailed to you within 10 business days.

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

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

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

**Part II. Certification**

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

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

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

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

**What Name and Number To Give the Requester**

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account) other than an account maintained by an FFI	The actual owner of the account or, if combined funds, the first individual on the account <sup>1</sup>
3. Two or more U.S. persons (joint account maintained by an FFI)	Each holder of the account
4. Custodial account of a minor (Uniform Gift to Minors Act)	The minor <sup>2</sup>
5. a. The usual revocable savings trust (grantor is also trustee) b. So-called trust account that is not a legal or valid trust under state law	The grantor-trustee <sup>1</sup> The actual owner <sup>1</sup>
6. Sole proprietorship or disregarded entity owned by an individual	The owner <sup>3</sup>
7. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))	The grantor <sup>4</sup>
For this type of account:	Give name and EIN of:
8. Disregarded entity not owned by an individual	The owner
9. A valid trust, estate, or pension trust	Legal entity <sup>4</sup>
10. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
11. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
12. Partnership or multi-member LLC	The partnership
13. A broker or registered nominee	The broker or nominee

For this type of account:	Give name and EIN of:
14. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
15. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B))	The trust

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

<sup>2</sup> Circle the minor's name and furnish the minor's SSN.

<sup>3</sup> 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.

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

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

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

**Secure Your Tax Records From Identity Theft**

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

To reduce your risk:

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

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

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

For more information, see Pub. 5027, Identity Theft Information for Taxpayers.

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

**Protect yourself from suspicious emails or phishing schemes.**

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

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

If you receive an unsolicited email claiming to be from the IRS, forward this message to [phishing@irs.gov](mailto: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](mailto:spam@uce.gov) or report them at [www.ftc.gov/complaint](http://www.ftc.gov/complaint). You can contact the FTC at [www.ftc.gov/idtheft](http://www.ftc.gov/idtheft) or 877-IDTHEFT (877-438-4338). If you have been the victim of identity theft, see [www.IdentityTheft.gov](http://www.IdentityTheft.gov) and Pub. 5027.

Visit [www.irs.gov/IdentityTheft](http://www.irs.gov/IdentityTheft) to learn more about identity theft and how to reduce your risk.

## Privacy Act Notice

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

TAXABLE YEAR

CALIFORNIA FORM

# 2021 Withholding Exemption Certificate

# 590

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

### Withholding Agent Information

Name

### Payee Information

Name

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

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

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

State ZIP code

### Exemption Reason

Check only one box.

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

**Individuals — Certification of Residency:**

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

**Corporations:**

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

**Partnerships or Limited Liability Companies (LLCs):**

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

**Tax-Exempt Entities:**

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

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

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

**California Trusts:**

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

**Estates — Certification of Residency of Deceased Person:**

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

**Nonmilitary Spouse of a Military Servicemember:**

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

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

To learn about your privacy rights, how we may use your information, and the consequences for not providing the requested information, go to [ftb.ca.gov/forms](http://ftb.ca.gov/forms) and search for **1131**. To request this notice by mail, call 800.852.5711.

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

Type or print payee's name and title \_\_\_\_\_ Telephone \_\_\_\_\_

Payee's signature ► \_\_\_\_\_ Date \_\_\_\_\_

## 2021 Instructions for Form 590

### Withholding Exemption Certificate

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

#### General Information

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. For more information, See General Information B, Income Subject to Withholding.

**Registered Domestic Partners (RDPs)** – For purposes of California income tax, references to a spouse, husband, or wife also refer to a California 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](http://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](http://edd.ca.gov) or call 888.745.3886.

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

**The following are excluded from withholding and completing this form:**

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

#### B Income Subject to Withholding

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

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

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

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

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

#### C Who Certifies this Form

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

An incomplete certificate is invalid and the withholding agent should not accept it. If the withholding agent receives an incomplete certificate, the withholding agent is required to withhold tax on payments made to the payee until a valid certificate is received. In 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 certification does not need to be renewed annually. The certification on Form 590 remains valid until the payee's status changes. The withholding agent must retain a copy of the certification or substitute for at least five years after the last payment to which the certification applies. The agent must provide it to the FTB upon request.

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 see General Information E, Military Spouse Residency Relief Act (MSRRA), and FTB Pub. 1032, Tax Information for Military Personnel.

#### Permanent Place of Business:

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

#### E Military Spouse Residency Relief Act (MSRRA)

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

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

**Domicile** is defined as the one place:

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

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

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

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

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

### Specific Instructions

#### Payee Instructions

Enter the withholding agent's name.

Enter the payee's information, including the TIN and check the appropriate TIN box.

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

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

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

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

#### Withholding Agent Instructions

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

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

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

If any of these situations occur, then withholding may be required. For more information, get Form 592, Resident and Nonresident Withholding Statement, Form 592-B, Resident and Nonresident Withholding Tax Statement, [Form 592-PTE](#), Pass-Through Entity Annual Withholding Return, Form 592-Q, Payment Voucher for Pass-Through Entity Withholding, and Form 592-V, Payment Voucher for Resident or Nonresident Withholding.

### Additional Information

**Website:** For more information, go to [ftb.ca.gov](http://ftb.ca.gov) and search for **nonwage**.

**MyFTB** offers secure online tax account information and services. For more information, go to [ftb.ca.gov](http://ftb.ca.gov) and login or register for **MyFTB**.

**Telephone:** 888.792.4900 or 916.845.4900, Withholding Services and Compliance phone service

**Fax:** 916.845.9512

**Mail:** WITHHOLDING SERVICES AND COMPLIANCE MS F182  
FRANCHISE TAXBOARD  
PO BOX 942867  
SACRAMENTO CA 94267-0651

For questions unrelated to withholding, or to download, view, and print California tax forms and publications, or to access the TTY/TDD numbers, see the Internet and Telephone Assistance section.

#### Internet and Telephone Assistance

**Website:** [ftb.ca.gov](http://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 disability  
711 or 800.735.2929 California relay service

#### Asistencia Por Internet y Teléfono

**Sitio web:** [ftb.ca.gov](http://ftb.ca.gov)

**Teléfono:** 800.852.5711 dentro de los Estados Unidos  
916.845.6500 fuera de los Estados Unidos

**TTY/TDD:** 800.822.6268 para personas con discapacidades auditivas o del habla  
711 ó 800.735.2929 servicio de relevo de California



## **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.

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Typed Name & Title of Authorized Representative

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Signature of Authorized Representative Date

I am unable to certify to the above statements. My explanation is attached.

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## 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). Where a proposed rule or proposed amended rule impacts three or fewer facilities, those facilities will be treated in much the same manner as contracting parties and so must also complete this form, disclosing information relating to any campaign contributions made to any SCAQMD Board Members. See Quadri Advice Letter (2002) A-02.096.1 In the event that a qualifying campaign contribution is made, the Board Member to whom it was made may be disqualified from participating in the actions involving that donor.

California law prohibits a party, or an agent, from making campaign contributions to 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 the 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 the SCAQMD website ([www.aqmd.gov](http://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:**

\_\_\_\_\_

\_\_\_\_\_

### **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?

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

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, c**

Name of Contributor \_\_\_\_\_

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

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

Name of Contributor \_\_\_\_\_

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

Name of Contributor \_\_\_\_\_

Governing Board Member or MSRC Member/Alternate	Amount of Contribution	Date of Contribution
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**I declare the foregoing disclosures to be true and correct.**

By: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

**DEFINITIONS**

Parent, Subsidiary, or Otherwise Related Business Entity (2 Cal. Code of Regs., §18703.1(d).)

(1) Parent subsidiary. A parent subsidiary relationship exists when one corporation directly or indirectly owns shares possessing more than 50 percent of the voting power of another corporation.

(2) Otherwise related business entity. Business entities, including corporations, partnerships, joint ventures and any other organizations and enterprises operated for profit, which do not have a parent subsidiary relationship are otherwise related if any one of the following three tests is met:

- (A) One business entity has a controlling ownership interest in the other business entity.
- (B) There is shared management and control between the entities. In determining whether there is shared management and control, consideration should be given to the following factors:
  - (i) The same person or substantially the same person owns and manages the two entities;
  - (ii) There are common or commingled funds or assets;
  - (iii) The business entities share the use of the same offices or employees, or otherwise share activities, resources or personnel on a regular basis;
  - (iv) There is otherwise a regular and close working relationship between the entities; or
- (C) A controlling owner (50% or greater interest as a shareholder or as a general partner) in one entity also is a controlling owner in the other entity.



## Direct Deposit Authorization

**STEP 1: Please check all the appropriate boxes**

- |  |  |
|--|--|
| <input type="checkbox"/> Individual (Employee, Governing Board Member) | <input type="checkbox"/> New Request           |
| <input type="checkbox"/> Vendor/Contractor                             | <input type="checkbox"/> Cancel Direct Deposit |
| <input type="checkbox"/> Changed Information                           |  |

**STEP 2: Payee Information**

Last Name	First Name	Middle Initial	Title
Vendor/Contractor Business Name (if applicable)			
Address		Apartment or P.O. Box Number	
City	State	Zip	Country
Taxpayer ID Number	Telephone Number	Email Address	

**Authorization**

1. I authorize South Coast Air Quality Management District (South Coast AQMD) to direct deposit funds to my account in the financial institution as indicated below. I understand that the authorization may be rejected or discontinued by South Coast AQMD at any time. If any of the above information changes, I will promptly complete a new authorization agreement. If the direct deposit is not stopped before closing an account, funds payable to me will be returned to South Coast AQMD for distribution. This will delay my payment.
2. This authorization remains in effect until South Coast AQMD receives written notification of changes or cancellation from you.
3. I hereby release and hold harmless South Coast AQMD for any claims or liability to pay for any losses or costs related to insufficient fund transactions that result from failure within the Automated Clearing House network to correctly and timely deposit monies into my account.

**STEP 3:**

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

**To be Completed by your Bank**

<b>Staple Voided Check Here</b>	Name of Bank/Institution		
	Account Holder Name(s)		
	<input type="checkbox"/> Saving <input type="checkbox"/> Checking	Account Number	Routing Number
	Bank Representative Printed Name	Bank Representative Signature	Date
	ACCOUNT HOLDER SIGNATURE:		Date

For South Coast AQMD Use Only

Input By \_\_\_\_\_

Date \_\_\_\_\_

## Agenda Item #3

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Recognize Revenue, Transfer Funds, Release RFP to Continue Implementation of Enhanced Fleet Modernization Program, Execute Contracts, and to Reimburse General Fund for Administrative Costs

Justin Joe

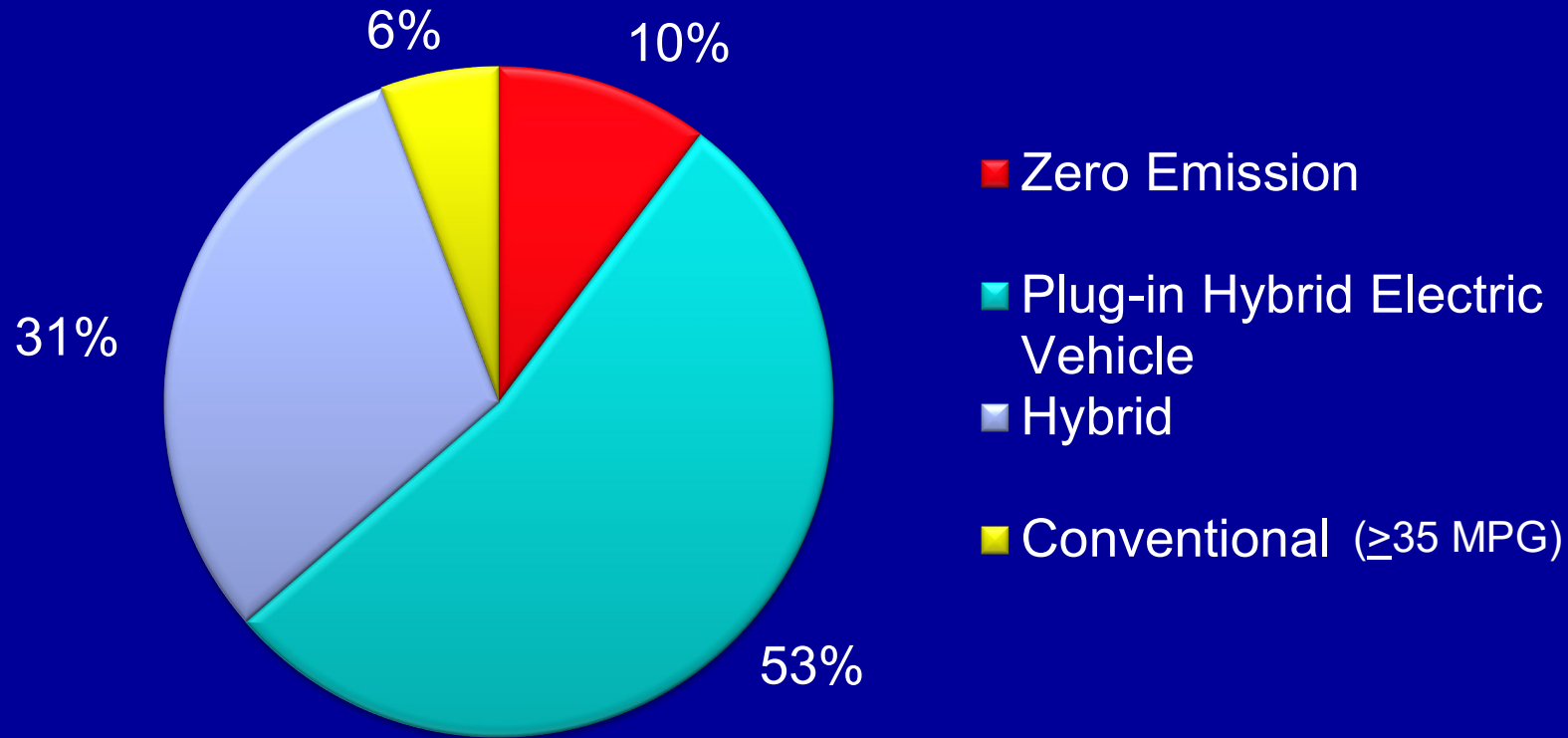
# Background



- Enhanced Fleet Modernization Program (EFMP) started in 2015, branded as Replace Your Ride
- Over 8,600 vouchers issued totaling \$68 million
- 94% in disadvantaged communities (DAC) and 89% in the lowest Federal Poverty Level
- Average retired vehicles: 21 years old and 179,000 miles
- Administered with assistance of three contractors
- Increased EFMP implementation costs due to large volume of applications and a funding delay



# Replacement Vehicles



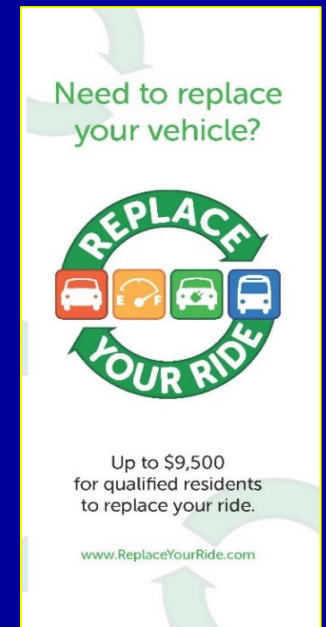
Annual Emission Reductions: 2.6 tons/year of NO<sub>x</sub> and 1.4 tons/year of PM



Replacing a vehicle with an E-bike is now allowed

# Proposal

- Recognize \$21.1 million grant received from CARB
- Authorize Executive Officer to accept terms of the grant and to continue approve vouchers
- Issue Request for Proposal (RFP) to solicit proposals for case management services
- Transfer funds to cover administrative costs
- Execute contracts with contractors and reimburse General Fund





# Recommended Actions

- Recognize \$21.1M from CARB and accept terms and conditions of the grant:
  - \$1.4M from EFMP Pilot Retire and Replace Program
  - \$19.67 from Clean Cars 4 All
- Authorize Executive Officer to approve vouchers and alternative mobility options
- Issue RFP to solicit Proposals for contractors to assist applicants and provide program support

# Recommended Actions

- Transfer \$250,000 from AB923 Special Revenue Fund (80) to HEROS II Special Revenue Fund (56) to cover administrative costs
- Authorize Executive Officer to execute contracts with contractors and reimburse General Fund up to \$3.16M from HEROS II Special Revenue (56)

**Technology Committee Agenda #4**

BOARD MEETING DATE: June 03, 2022

AGENDA NO.

PROPOSAL: Amend Contract for Kore Infrastructure Project

SYNOPSIS: In November 2021, the Board approved a contract amendment for Kore Infrastructure LLC (Kore) for a Renewable Natural Gas Commercial Field Test project, including construction of a pyrolysis system on Southern California Gas Company property in Los Angeles. The project is to test various biomass feedstocks for commercial production of renewable natural gas. This action is to amend the contract with Kore to extend the term of the contract to May 31, 2023, to complete testing and reporting.

COMMITTEE: Technology, May 20, 2022; Recommended for Approval

**RECOMMENDED ACTION:**

Authorize the Chair to amend the contract with Kore Infrastructure LLC to extend contract term to May 31, 2023.

Wayne Natri  
Executive Officer

AK:JL

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**Background**

In November 2021, the Board approved a contract amendment providing Kore a six-month extension to complete a renewable natural gas commercial field test project. The Kore project includes constructing a pyrolysis system and testing the system with various biomass feedstocks to understand the potential of using these biomass feedstocks for the production of commercial scale quantities of renewable natural gas.

The pyrolysis system is now operational, and Kore has begun testing and acquiring data. The system will continue to be tested at various temperatures to identify the most efficient operational parameters to produce renewable natural gas. In addition, a pressure swing absorption system will be added to allow the system to produce

renewable hydrogen. Renewable hydrogen production was not in the original project scope but is being added to the project at no additional cost to South Coast AQMD.

### **Proposal**

The current contract with Kore is scheduled to expire on June 30, 2022. Staff is recommending to amend the contract with Kore Infrastructure LLC to extend the deadline to May 31, 2023, to complete testing of renewable natural gas and hydrogen. SoCalGas has extended land-use agreements with Kore from July 1, 2022, to September 30, 2022. These extensions will allow Kore additional use of the property to complete testing for the production of renewable hydrogen and natural gas along with providing final reports to South Coast AQMD.

Kore is ensuring continued compliance with all permitting authorities having jurisdiction, including the City of Los Angeles and South Coast AQMD at the field test project at the Olympic site. Staff will continue to maintain communications along with biweekly meetings with Kore and SoCalGas staff along with site visits to monitor progress.

### **Benefits to South Coast AQMD**

The South Coast Air Basin is classified as an extreme nonattainment area for ozone. Wide-scale deployment of advanced technologies, including near-zero emission engines and fuel cells, is a critical step toward achieving the air quality standards which will have considerable public health benefits for our region. When combined with renewable fuels, these technologies are expected to provide a near-term, cost-effective option for addressing criteria pollutants. Ensuring greater supply of locally produced renewable fuels will address local, state and federal environmental regulations and goals.

### **Resource Impacts**

There is no fiscal impact associated with this no-cost time extension to an existing contract.

# Agenda Item #4

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Amend Contract for Kore  
Infrastructure Project

Joseph Lopat

# Background

- March 2017, Board approved contract with KORE
- Technology demonstration project
  - Pyrolysis of biomass to syngas and biochar
  - Production of renewable natural gas



March 2021



May 2022

# Background

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- Board Action November, 2021 approving six-month extension to June 30, 2022 to complete testing and data collection
- System is now operational and additional testing needed to optimize gas production
- Addition of a pressure swing absorption system to generate renewable hydrogen

# Recommended Actions

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- Extend contract term and project completion date to May 31, 2023
- Continue site visits and project oversight