



# South Coast Air Quality Management District

21865 Copley Drive, Diamond Bar, CA 91765-4178  
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## TECHNOLOGY COMMITTEE MEETING

### Committee Members

Council Member Joe Buscaino, Chair  
Supervisor Lisa Bartlett  
Board Member Gideon Kracov  
Mayor Pro Tem Larry McCallon  
Vice Mayor Rex Richardson  
Mayor Pro Tem Carlos Rodriguez

**August 20, 2021 ♦ 12:00 p.m.**

**Pursuant to Governor Newsom's Executive Orders N-25-20 (March 12, 2020) and N-29-20 (March 17, 2020), the South Coast AQMD Technology Committee meeting will only be conducted via video conferencing and by telephone. Please follow the instructions below to join the meeting remotely.**

### **INSTRUCTIONS FOR ELECTRONIC PARTICIPATION AT BOTTOM OF AGENDA**

*Join Zoom Meeting - from PC or Laptop*  
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**Audience will be allowed to provide public comment through telephone or Zoom connection.**

### **PUBLIC COMMENT WILL STILL BE TAKEN**

### **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 each.*

## CALL TO ORDER

## ROLL CALL

### ACTION ITEMS (1-4):

**1. Amend Awards for Zero-Emission Yard Tractor Replacements and Ocean-Going Vessel Retrofit, and Execute Contract for Capture and Control System for Oil Tankers Project Support (*Motion Requested*)**

Mei Wang  
Program  
Supervisor

In October 2017 and September 2020, the Board approved awards of \$1,260,000 to Total Terminals International (TTI) for yard tractor replacements and \$11,474,000 to MAN Energy Solutions USA, Inc. (MAN) for Ocean-Going Vessel retrofit development, respectively. Both companies are not able to fulfill the original award requirements, so staff is recommending other companies to perform this work. In January 2021, the Board recognized an award from CARB to develop and demonstrate a capture and control system for oil tankers. Coalition for Clean Air will provide education and outreach support for this project. These actions are to: 1) amend award from TTI to SSA Terminals LLC and execute a contract for electric yard tractors replacement; 2) amend award from MAN to Mediterranean Shipping Company USA, Inc. and execute a contract for Ocean-Going Vessel retrofit development; and 3) execute a contract with Coalition for Clean Air to provide education and outreach support for the Capture and Control System for Oil Tankers Project.

**2. Amend Awards under Year 22 Carl Moyer and Surplus Off-Road Opt-In for NOx (SOON) Programs, and Transfer Funds for Development of Carl Moyer Program Grant Management System (*Motion Requested*)**

Walter Shen  
Planning & Rules  
Manager

In January 2021, the Board approved awards for projects received under Program Announcements for the Year 22 Carl Moyer and Surplus Off-Road Opt-In for NOx (SOON) Programs, which includes funding from other sources. Staff has identified projects that require adjustments and is requesting Board approval to amend awards under the Carl Moyer and SOON Programs. Also, this action is to appropriate up to \$120,000 from the administrative portions of both the Community Air Protection Program Fund (77) and the Carl Moyer Program SB 1107 Fund (32) into Information Management's FY 2021-22 Budget, Professional and Special Services and/or Capital Outlays Major Objects and reimburse the General Fund (01) using administrative funds for development of the Carl Moyer Program Grant Management System.

**3. Approve Additional Funding for the Residential Electric Lawn Mower Rebate Program (*Motion Requested*)**

Walter Shen  
Planning & Rules  
Manager

The Residential Electric Lawn Mower Rebate Program provides rebates to help offset the cost of new electric lawn mowers. Participants who purchase a new electric lawn mower receive a rebate after applying online and scrapping their old gasoline-powered lawnmower at a participating licensed dismantler. This action is to approve the use of a total amount not to exceed \$250,000 from the Rule 2202 Air Quality Investment Fund (27) to continue the year-round Residential Electric Lawn Mower Rebate Program.

**4. Execute Agreement to Establish Wildfire Smoke Clean Air Centers Incentive Pilot Program, Recognize Funds, Release RFP, Execute Contracts, and Reimburse General Fund (*Motion Requested*)**

Patricia Kwon  
Program  
Supervisor

AB 836 provided \$5 million in statewide funding to create a Wildfire Smoke Clean Air Centers for Vulnerable Populations Incentive Pilot Program to upgrade ventilation systems and provide portable air cleaners to create a network of Wildfire Smoke Clean Air Centers for residents displaced by wildfires and other smoke events. These actions are to execute an agreement with CARB to establish a Wildfire Smoke Clean Air Centers Incentive Pilot Program, recognize up to \$250,000 from CARB into the Air Filtration Fund (75), release RFP #P2022-04 to solicit organizations to purchase portable air cleaners at Wildfire Smoke Clean Air Centers, execute contracts with organizations to purchase eligible CARB-certified portable air cleaners and replacement filters at Wildfire Smoke Clean Air Centers in an amount up to \$231,250 from the Air Filtration Fund (75), and reimburse the General Fund for administrative costs up to \$18,750.

**OTHER MATTERS:**

**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, October 15, 2021 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.

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: September 3, 2021

AGENDA NO.

**PROPOSAL:** Amend Awards for Zero-Emission Yard Tractor Replacements and for Ocean-Going Vessel Retrofit and Execute Contract for Capture and Control System for Oil Tankers Project Support

**SYNOPSIS:** In October 2017 and September 2020, the Board approved \$1,260,000 awards to Total Terminals International (TTI) for yard tractor replacements and \$11,474,000 to MAN Energy Solutions USA, Inc. (MAN) for Ocean-Going Vessel retrofit development, respectively. Both companies are not able to fulfill the original award requirements, so staff is recommending other companies to perform this work. In January 2021, the Board recognized an award from CARB to develop and demonstrate a capture and control system for oil tankers. Coalition for Clean Air will provide education and outreach support for this project. These actions are to 1) amend award from TTI to SSA Terminals LLC and execute a contract for electric yard tractors replacement; 2) amend award from MAN to Mediterranean Shipping Company USA, Inc. and execute a contract for Ocean-Going Vessel retrofit development; and 3) execute a contract with Coalition for Clean Air to provide education and outreach support for the Capture and Control System for Oil Tankers Project.

**COMMITTEE:** Technology, August 20, 2021; Recommended for Approval

**RECOMMENDED ACTIONS:**

1. Authorize the Chair to execute a contract with SSA Terminals LLC for electric yard tractors replacement;
2. Authorize the Chair to execute a contract with Mediterranean Shipping Company USA, Inc. (MSC USA) for Ocean-Going Vessel retrofits development; and

3. Authorize the Executive Officer to execute a contract from the Clean Shipping Technology Demonstration Special Revenue Fund (83) administrative funds in an amount not to exceed \$10,000 with Coalition for Clean Air to conduct education and outreach support for Capture and Control System for Oil Tankers Project.

Wayne Natri  
Executive Officer

MMM:AK:JI:MW

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### **Background**

The 2016 AQMP identifies the need for NOx reductions in meeting upcoming national ambient air quality standards. Cargo handling equipment (CHE) and ocean-going vessels (OGVs) are major contributors to NOx emissions in the South Coast Air Basin. Significant increases in NOx, PM, and GHG emissions from these sources are expected due to increased demand in goods movement activities. Accelerating the deployment of zero emission CHE to the Ports and freight handling facilities and developing OGV emission control technologies for the vessels calling at the ports will reduce NOx and PM emissions.

The U.S. EPA's Targeted Air Shed Grant Program (TAG) is intended to reduce ozone and PM2.5 air pollution in non-attainment areas. Two TAG grants were awarded to South Coast AQMD in 2017 and 2020 to replace 16 liquefied petroleum gas (LPG) or diesel-fueled yard tractors with electric yard tractors, and develop and demonstrate a retrofit technology for OGVs at the San Pedro Bay Ports. The 16 yard tractors awarded are to be deployed at both Ports of Los Angeles (POLA) and Long Beach (POLB). In 2021 an award was issued to Total Terminals International (TTI) at Port of Long Beach who withdrew their participation due to a lack of eligible yard tractors for replacement. In late 2020, MAN informed staff that they would be unable to support the OGV retrofit development.

In January 2021, the Board recognized an award from CARB to design, develop and demonstrate a barge-based capture and control system for oil tankers. For the outreach and education support related to the implementation of the Capture and Control System for Oil Tankers Project it is proposed that Coalition for Clean Air will undertake these activities.

### **Proposal**

*Targeted Airshed Grant - Electric Yard Tractor Replacements at the Ports*

TTI withdrew from the yard tractor replacements project due to a lack of eligible tractors to be replaced under the EPA grant. POLB requested South Coast AQMD to transfer the award for 6 battery-electric yard tractors to SSA Terminals LLC (SSA) as part of 33 zero-emission yard tractor deployments at SSA under POLB's Zero- and Near Zero-Emission Freight Facilities (ZANZEEF) project awarded by CARB. The total project cost for these replacements of \$2.7M to deploy six battery-electric yard tractors consists of \$1,215,000 from ZANZEEF, \$1,072,500 from EPA and \$421,500 cash cost-share from SSA which includes the \$187,500 cost-share originally committed by POLB. EPA has agreed to the transfer of award from TTI to SSA.

#### Targeted Airshed Grant - OGV Retrofit

MAN recently informed South Coast AQMD that they could not support the OGV retrofit project due to resource limitations and economic reasons. MSC USA and Wartsila agreed to partner with South Coast AQMD to design, develop and demonstrate two OGV retrofit technologies under the EPA grant and provide up to \$8M to cost-share the project. Two OGVs will be retrofitted, one with the Low-Pressure Exhaust Gas Recirculation (LPEGR) and particulate filter, and the other with a multiple fuel flexible injection system. Both retrofits are expected to achieve at least 70 percent NOx and PM reductions. The OGV with a multiple fuel flexible injection system is expected to also achieve 25 percent reduction of CO<sub>2</sub> emissions. EPA has agreed to this change in project scope.

#### Capture and Control System for Oil Tankers Project

Coalition for Clean Air (CCA) will support the implementation of the Capture and Control System for Oil Tankers Project and assist South Coast AQMD with public education and outreach. In January 2021, the Board recognized \$10 million from CARB into Fund 83 and will reimburse the General Fund up to \$500,000 from Fund 83 for the administrative cost necessary to implement the project. CCA's contract will use the funds reserved for the education and outreach support under the CARB Grant Agreement.

These actions are to: 1) amend an award with no additional cost from the Outreach and Education Fund (17) with TTI to SSA for the deployment of six electric yard tractors in an amount not to exceed \$1,260,000; 2) amend an award with no additional cost from the Clean Shipping Technology Demonstration Special Revenue Fund (83) with MAN to MSC USA for retrofitting two OGVs in an amount not to exceed \$11,474,000; and 3) authorize the Executive Officer to execute a contract in an amount not to exceed \$10,000 with CCA from Fund 83 administrative cost.

#### **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 when project funding does not come from federal monies. For the CCA, a sole source recommendation is made



under provisions B.2.c(1) the unique experience and capabilities of the proposed contractor or contractor team; and B.2.d.(8) research and development efforts with educational institutions or nonprofit organizations. CCA was part of the proposal team to CARB.

For MSC USA, the award is made under provision B.2.c.(2) the project involves the use of proprietary technology and B.2.c.(3) the contractor has ownership of key asset required for project performance. The technology being developed between MSC USA and Wartsila is proprietary. MSC is the second largest ocean-going vessel operator in the world and owns the two vessels for this demonstration. For SSA, this award is justified under provision B.2.d(1): other circumstances exist which in the determination of the Executive Officer require such waiver in the best interests of the South Coast AQMD. Specifically, these circumstances include that the project involves cost sharing by multiple sponsors. SSA and CARB are providing funds for this project.

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

The proposed yard tractor replacements project replaces in-use, higher-polluting equipment with zero-emission equipment, reducing ozone and PM2.5 air pollution in our Basin. The project supports the *Technology Advancement Office Clean Fuel Program 2021 Plan Update* under the categories of “Electric/Hybrid Technologies and Infrastructure.”

Projects to support the development and demonstration of OGVs are included in *Technology Advancement Office Clean Fuel Program 2021 Plan Update* under the categories of “Engine System/Technologies.” This project is to retrofit an International Maritime Organization (IMO) Tier II OGV with LPEGR and a multiple fuel flexible injection system capable of reducing NOx emissions by at least 70 percent from Tier II OGV emissions.

### **Resource Impacts**

There is no fiscal impact associated with amending awards and executing contracts under the two EPA TAG projects. The contract with CCA will not exceed \$10,000 and the funds are available from the administrative portion of the CARB Capture and Control System for Oil Tanker Project award in Fund 83.

# Agenda Item #1

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Mei Wang

Amend Awards for Zero-Emission Yard Tractor Replacements and for Ocean-Going Vessel Retrofit; and Execute Contract for Capture and Control System for Oil Tankers Project Support

# Background

## Electric Yard Tractors:

- 2017 EPA TAG to replace 16 liquefied petroleum gas or diesel-fuel yard tractors with electric yard tractors at Port of Los Angeles (POLA) and Long Beach (POLB)
- Cost-shared by Near Zero and Zero Emission Freight Facilities (ZANZEFF) Project awarded by CARB

## Ocean-Going Vessel (OGV):

- 2020 EPA TAG to develop, demonstrate and retrofit an ocean-going vessel with Selective Catalytic Reduction (SCR)

## Capture and Control System for Oil Tankers:

- In 2020 CARB awarded a contract to SCAQMD to design, develop and demonstrate a barge-based capture and control system for oil tankers



# Proposal

## Yard Tractor Replacements Project:

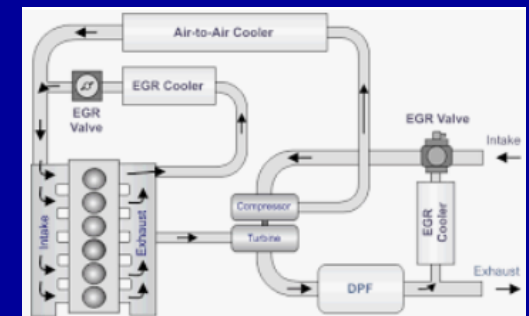
- Transfer the awards for 6 battery-electric yard tractors Total Terminals International (TTI) to SSA Terminals LLC (SSA)
  - TTI withdrew from the yard tractors replacement project at POLB
  - Transfer approved by EPA and CARB



# Proposal

## OGV Retrofit

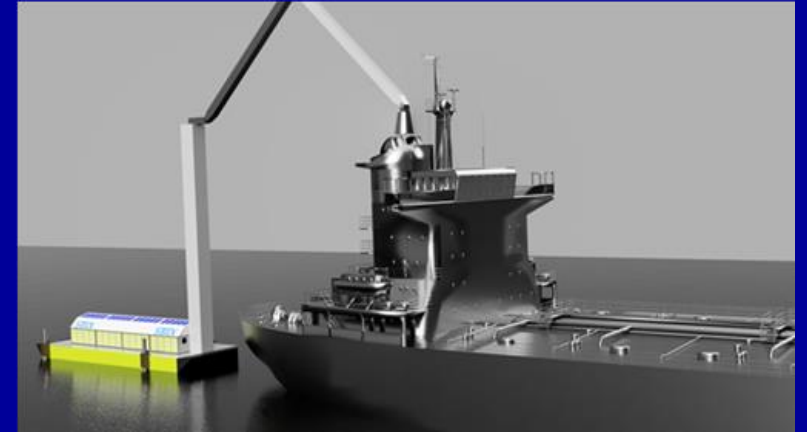
- MAN Energy Solutions USA INC.(MAN) unable to support the project
- Transfer the funding to Mediterranean Shipping Company USA Inc. (MSC USA) to retrofit 2 OGVs
  - Low-pressure exhaust gas recirculation (LP-EGR)
  - Multiple fuel flexible injection system
- MSC and Wartsila will provide up to \$8M cost-share



# Proposal

## Capture and Control System for Oil Tankers Project Support

- Coalition for Clean Air (CCA) committed will support and assist South Coast AQMD with public education and outreach



# Recommended Actions

- Amend award and execute contract with SSA for electric yard tractors replacement
- Amend award and execute contract with MSC USA for OGV retrofits development
- Authorize the Executive Officer to execute a contract with CCA in an amount not to exceed \$10,000 using administrative funds for Capture and Control System for Oil Tankers Project in Clean Shipping Technology Demonstration Special Revenue Fund (83) for education and outreach support

**Technology Committee Agenda #2**

BOARD MEETING DATE: September 3, 2021

AGENDA NO.

**PROPOSAL:** Amend Awards under Year 22 Carl Moyer and Surplus Off-Road Opt-In for NOx (SOON) Programs, and Transfer Funds for Development of Carl Moyer Program Grant Management System

**SYNOPSIS:** In January 2021, the Board approved awards for projects received under Program Announcements for the Year 22 Carl Moyer and Surplus Off-Road Opt-In for NOx (SOON) Programs, which includes funding from other sources. Staff has identified projects that require adjustments and is requesting Board approval to amend awards under the Carl Moyer and SOON Programs. Also, this action is to appropriate up to \$120,000 from the administrative portions of both the Community Air Protection Program Fund (77) and the Carl Moyer Program SB 1107 Fund (32) into Information Management's FY 2021-22 Budget, Professional and Special Services and/or Capital Outlays Major Objects and reimburse the General Fund (01) using administrative funds for development of the Carl Moyer Program Grant Management System.

**COMMITTEE:** Technology, August 20, 2021; Recommended for Approval

**RECOMMENDED ACTIONS:**

1. Amend awards, approved in January 2021 and authorize the Chair to execute contracts to Thunderbird Sportfishing Co., Inc., Onboard Dynamics, Inc., Waste Management Collection & Recycling, Inc., American Natural Gas, and ECCO Equipment Company as shown in Table 1; and
2. Appropriate up to \$60,000 from the administrative portion of the Community Air Protection Program (Grant #G18-MCAP-06) Fund (77) and up to \$60,000 from the administrative portion of the Carl Moyer Program SB 1107 (Grant #G19-MO28) Fund (32), for a total amount not to exceed \$120,000, into Information Management's FY 2021-22 Budget, Professional and Special Services and/or Capital Outlays Major Objects and reimburse the General Fund (01) using administrative funds for the development of the Carl Moyer Program Grant Management System (GMS).

Wayne Nastri  
Executive Officer



**Background**

In March 2020, South Coast AQMD released Program Announcements (PAs) to solicit projects for the Carl Moyer and SOON Provision Programs. The PAs were heavily oversubscribed with funding requests from applicants far exceeding the amount of available funds. Since mobile source projects eligible under the Carl Moyer Program may be considered for funding through the Community Air Protection, Funding Agricultural Replacement Measures for Emission Reductions and Rule 2202 AQIP Programs, the projects submitted in response to the PAs were also evaluated with respect to the terms and conditions of these other funding sources.

In January 2021, the Board approved awards received in response to PAs for “Year 22” Carl Moyer and SOON Provision Programs. Subsequent to the awards, staff identified the need to correct the project name, project types and funding source as highlighted in Table 1 below.

**Table 1  
Updates to Project Name, Project Type and Funding Source**

<b>Applicant Name (January 2021)</b>	<b>Updated Applicant Name</b>	<b>Original Project Type (January 2021)</b>	<b>Updated Project Type</b>	<b>Original Funding Source</b>	<b>Updated Funding Source</b>	<b>Recommended Award</b>
Thunderbird Sportfishing Co., Inc.	Thunderbird Fishing Company, Inc.	--	--	--	--	\$345,600
Onboard Dynamics, Inc.	--	Fast-fill, 3 dual-hose dispensers	Time-fill, 3 dual-hose dispensers	--	--	\$178,116
American Natural Gas	--	Fast-fill, 3 dual-hose dispensers	Fast-fill, 1 dual-hose dispenser	--	--	\$765,423
Waste Management Collection & Recycling, Inc.	--	Replacement of 1 heavy-duty truck	Replacement of 2 heavy-duty trucks	--	--	\$100,000
ECCO Equipment Company	--	--	--	Rule 2202 AQIP Fund (27)	AB 923 Fund (80) Match Funds	\$375,000

An applicant inadvertently submitted an incorrect business name as Thunderbird Sportfishing Co., Inc. and has requested to update the business name to Thunderbird Fishing Company, Inc. In addition, due to data entry errors, additional updates to revise the fill type from fast-fill to time-fill for Onboard Dynamics Inc., the number of dual-hose dispensers from three to one for American Natural Gas, and the number of trucks from one to two for Waste Management Collection & Recycling, Inc. are

recommended.. Staff is also recommending changing the funding source for ECCO Equipment Company to AB 923 Fund (80) Match Funds to allow for the Rule 2202 AQIP funds to be applied towards the Residential Electric Lawn Mower Rebate Program.

Since April 2017, staff has been utilizing the Carl Moyer Program Online Application System to effectively facilitate the online application submittal process for participants, as well as expedite the application evaluation process. For the past four years, staff has been working with contractors to develop and enhance the online application system to better fit the business and evaluation process for applications received under the Carl Moyer Program. In addition, the Carl Moyer Online Application System is also utilized to receive and process applications submitted under the Community Air Protection Program. The recently developed Grant Management Systems (GMS) for the Proposition 1B – Goods Movement and the Lower-Emission School Bus Programs offers an updated and seamless integration with our internal OnBase system; particularly with the invoicing and contracting modules. A centralized in-house database to manage all incentive programs, including the Carl Moyer Program, would better suit the business and programmatic needs of South Coast AQMD. As such, the shift from the current Carl Moyer Program Online Application System as a standalone database to an all-inclusive in-house system is needed to help maximize efficiencies with the application processes, internal review, and approvals.

### **Proposal**

Staff is recommending to amend awards approved under the Year 22 Carl Moyer and SOON Provision Programs with the applicants to adjust the project name, project types and funding source as specified in Table 1.

Also, this action is to appropriate up to \$60,000 from the administrative portion of the Community Air Protection Program (Grant #G18-MCAP-06) Fund (77) and up to \$60,000 from the administrative portion of the Carl Moyer Program SB 1107 (Grant #G19-MO28) Fund (32), for a total amount not to exceed \$120,000, into Information Management's FY 2021-22 Budget, Professional and Special Services and/or Capital Outlays Major Objects and reimburse the General Fund (01) using administrative funds for the development of the Carl Moyer Program GMS. This appropriation will support to further enhancements to the user interface, program dashboard, staff review and approval processes for release in early 2022.

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

The Carl Moyer and SOON Programs are important and successful programs that provide incentive funding to owners of diesel vehicles and equipment to reduce emissions beyond regulatory requirements by replacing, repowering or retrofitting their older engines. The Carl Moyer and SOON Programs provide significant reductions of NOx and PM emissions for the life of the projects, resulting in long-term emission

reduction and public health benefits. The transition to a centralized in-house GMS and database to manage the Carl Moyer Program projects and other incentive programs would better suit the business and programmatic needs of South Coast AQMD and will further enhance the submittal process for participants, and the evaluation and approval processes for staff.

**Resource Impacts**

Sufficient funding is available from the administrative portions of both the Community Air Protection Program (Grant #G18-MCAP-06) Fund (77) and the Carl Moyer Program SB 1107 (Grant #G19-MO28) in the amount up to \$120,000 for the development of the Carl Moyer Program GMS.

Sufficient funding is available in the AB 923 Fund (80) to change the funding source for the award to ECCO Equipment Company.

# Agenda Item #2

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Walter Shen

Amend Awards under Year 22 Carl Moyer and Surplus Off-Road Opt-In for NOx (SOON) Programs, and Transfer Funds for Development of Carl Moyer Program Grant Management System

# Background

- March 2020, Board approved Program Announcements for Carl Moyer and Surplus Off-Road Opt-In NOx (SOON) Provision
  - Heavily oversubscribed
  - Other funding sources considered including Rule 2202 Air Quality Investment Program
- January 2021, Board approved awards under Year 22 Carl Moyer Program and Community Air Protection Program

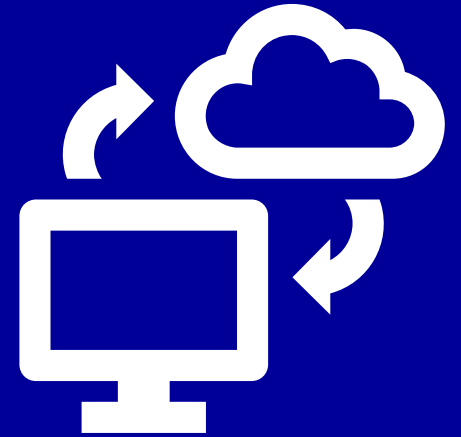
# Background (cont'd)

- Staff identified the following projects to amend awards:

Applicant	Proposed Amendment	Description
Thunderbird Sportfishing Co. Inc.	Company Name Change	Thunderbird Fishing Company Inc.
Onboard Dynamics Inc.	Project Description	Fast-fill to Time-Fill
American Natural Gas		3 dispensers to 1 dispenser
Waste Management Collection & Recycling Inc.		1 heavy-duty truck to 2 heavy-duty truck
ECCO Equipment Company	Funding Source	Rule 2202 to AB 923

# Background (cont'd)

- Carl Moyer Grant Management System (GMS)
  - Facilitate online application submittal process since April 2017
  - Proposition 1B and Lower-Emission School Bus GMS developed by IM
  - Need for centralized in-house database for Carl Moyer Program



# Proposal

- Amend awards approved under the Carl Moyer and SOON Provision Programs
- Appropriate up to \$60,000 from the administrative portion of the Community Air Protection Program Fund (77) and up to \$60,000 from the administrative portion of the Carl Moyer Program SB 1107 Fund (32), for a total amount not to exceed \$120,000, into Information Management FY 21-22 Budget, Professional and Special Services
  - Reimburse expenses incurred for the initial development of the Carl Moyer Program GMS including dashboard, user interface, workflow and approvals





# Benefits to South Coast AQMD

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- Carl Moyer Program provides significant NOx and PM emission reductions resulting in long-term public health benefits
- Carl Moyer Program GMS will better suit business process and programmatic needs of South Coast AQMD

# Recommended Actions

- Amend awards for projects approved under the Carl Moyer and Community Air Protection Programs
- Appropriate up to \$120,000 from administrative portions of both the Community Air Protection Program Fund (77) and the Carl Moyer Program SB 1107 Fund (32) into Information Management FY 21-22 Budget, Professional and Special Services and/or Capital Outlays Major Objects and reimburse the General Fund (01) using administrative funds for the development of the Carl Moyer GMS

**Technology Committee Agenda #3**

BOARD MEETING DATE: September 3, 2021

AGENDA NO.

**PROPOSAL:** Approve Additional Funding for the Residential Electric Lawn Mower Rebate Program

**SYNOPSIS:** The Residential Electric Lawn Mower Rebate Program provides rebates to help offset the purchase cost of new electric lawn mowers. Participants who purchase a new electric lawn mower receive their rebate after applying online and scrapping their old gasoline-powered lawnmower at a participating licensed dismantler. This action is to approve the use of a total amount not to exceed \$250,000 from the Rule 2202 Air Quality Investment Fund (27) to continue the year-round Residential Electric Lawn Mower Rebate Program.

**COMMITTEE:** Technology, August 20, 2021; Recommended for Approval

**RECOMMENDED ACTION:**

Approve the use of a total amount not to exceed \$250,000 from the Rule 2202 Air Quality Investment Fund (27) to continue the Residential Electric Lawn Mower Rebate Program.

Wayne Natri  
Executive Officer

MMM:AK:WS

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**Background**

In April 2017, the year-round Residential Electric Lawn Mower Rebate Program was launched on a first-come, first-served basis. Residents living within the South Coast AQMD jurisdiction can receive a rebate check based on the purchase price of a new, cordless battery-operated electric lawn mower. Residents are required to turn in their fully functional old gasoline-powered lawn mower to a participating dismantler for permanent destruction. The public has the flexibility of purchasing their electric mower

from an extensive list of manufacturer-authorized retailers or dealers, including hardware and home improvement stores, and purchases can be made both online and in-store.

The rebates are based on retail purchase prices and do not include taxes, fees, accessories or delivery charges. The rebates are as follows:

- \$150 for a purchase price of \$250 or less;
- \$200 for a purchase price of \$251 to \$400; and
- \$250 for a purchase price of more than \$400.

Prior to the year-round Residential Electric Lawn Mower Rebate Program, South Coast AQMD implemented the Electric Lawn Mower Exchange Program for 14 years, where residents within the four-county region would pre-register and attend events to exchange an operable gasoline-powered lawn mower for the new battery-electric model at a discounted price. To better meet public demand, the Residential Electric Lawn Mower Rebate Program was started as a year-round rebate program in April 2017 with Board approval of an initial funding allocation of \$250,000 from the Rule 2202 Air Quality Investment Fund (27). Due to the popularity of the program, two years later in July 2019, the Board approved an additional \$250,000 from the Rule 2202 Air Quality Investment Fund (27) to continue the year-round program.

After four years of implementation, the Residential Electric Lawn Mower Rebate Program continues to be a highly popular rebate program with over 30 manufacturers reflecting an ever-growing demand and market competition for cleaner technologies and an increasing public awareness of the availability of these cleaner technologies. To date, nearly 2,200 rebates have been provided with the majority of the applicants purchasing equipment in-store versus online.

### **Proposal**

This action is to approve the use of a total amount not to exceed \$250,000 from the Rule 2202 Air Quality Investment Fund (27) to continue the year-round Electric Lawn Mower Rebate Program. This year-round rebate program will continue to provide convenience and flexibility for residents in the South Coast Air Basin, saving on a broad selection of mower brands and price ranges. This rebate program will continue until all funds are expended. Staff may return to the Board to seek approval for additional funds in the future.

### **Outreach**

When the program launched in April 2017, a number of outreach mechanisms were employed. Information was distributed through South Coast AQMD's website, including emails to over 10,000 lawn mower exchange newsletter subscribers. Fliers were printed in English, Chinese, Korean and Spanish highlighting the new rebate program and online application form, and information was distributed at events

throughout the four-county region. Also, a short video on the new online application process was highlighted on South Coast AQMD's webpage. Currently, staff is collaborating with retailers including ACE Hardware and Lowe's, and utility companies such as Southern California Edison, to showcase the benefits of the program and to expand messaging. Lists of both eligible electric lawn mower manufacturers and participating dismantlers are provided on South Coast AQMD's website for easy reference by interested residents.

**Benefits to South Coast AQMD**

The Residential Electric Lawn Mower Rebate Program scraps older gas-powered lawn mowers and replaces them with zero-emission lawn mowers. Since inception in April 2017, the Residential Electric Lawn Mower Rebate Program has provided emission reductions in the South Coast Air Basin of approximately 1.2 tons/year VOCs, 0.08 tons/year NOx and 0.05 tons/year PM10. Zero-emission lawn mowers are not required under CARB's small off-road engines regulation, so these are surplus emission reductions for the region.

**Resource Impacts**

There are sufficient funds in the Rule 2202 Air Quality Investment Fund (27).

# Agenda Item #3

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Walter Shen

Approve Additional Funding for the Residential  
Electric Lawn Mower Rebate Program

# Background

- The Residential Electric Lawn Mower Rebate Program
  - Based upon purchase of new, cordless battery-powered electric lawn mower
  - Scrapping required
- Rebates based on retail purchase price:

Purchase Price	Rebate Amount
\$250 or less	\$150
\$251 to \$400	\$200
More than \$400	\$250



# Proposal

- Approve the use of \$250,000 from the Rule 2202 Air Quality Investment Fund (27) to continue the year-round program
- Will continue until all funds are expended, or staff may return to seek additional funds



South Coast  
Air Quality  
Management District

Residential  
*Electric*



Up To  
**\$250**  
Rebate



# Outreach

- Fliers printed in English, Chinese, Korean and Spanish
- Short video on South Coast AQMD webpage
- Partnerships with SCE Marketplace, ACE Hardware and Lowe's

Programa de reembolso para la cortacésped eléctrica



La Administración de la calidad del aire de la Costa Sur, (SCAQMD) ofrece ahora el programa todo el año que permitirá a consumidores comprar cortacéspedes eléctricas inalámbricas nuevas en cualquier tienda por Internet. Hay muchos modelos de cortacésped eléctricas para escoger de diferentes fabricantes.



電動割草機回扣計劃

南海岸空氣品質管理局 (SCAQMD) 很高興能夠推出一項年度計劃，鼓勵消費者在任何零售中心或在線購買新的無繩電動割草機。有許多電動割草機型號適用。南海岸空氣品質管理局轄區（橙縣全部地區，洛杉磯縣、河濱縣和聖伯納汀諾縣的多數地區）的居民均符合資格。

回扣計劃領取步驟



Electric Lawn Mower Rebate Program

Watch later Share

ELIGIBLE PURCHASE PRICE \$251-\$400  
ELIGIBLE REBATE AMOUNT \$200

ELIGIBLE PURCHASE PRICE \$201-\$250  
ELIGIBLE REBATE AMOUNT \$150

ELIGIBLE PURCHASE PRICE \$401-\$499  
ELIGIBLE REBATE AMOUNT \$250

Watch on YouTube

# Recommended Actions

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Approve the use of \$250,000 from the Rule 2202 AQIP to continue the year-round program

# (Backup) Background

- For 14 years, South Coast AQMD implemented the Lawn Mower Exchange Program
  - Replaced by current Residential Electric Lawn Mower Rebate due to drought conditions and low attendance
- Funding history:

Board Approval Date	Approved Amount	Funding Source
April 2017	\$250,000	Rule 2202 Air Quality Investment Fund (27)
July 2019	\$250,000	

- Highly popular with over 2,200 rebates issued with majority of participants from Los Angeles and Orange Counties

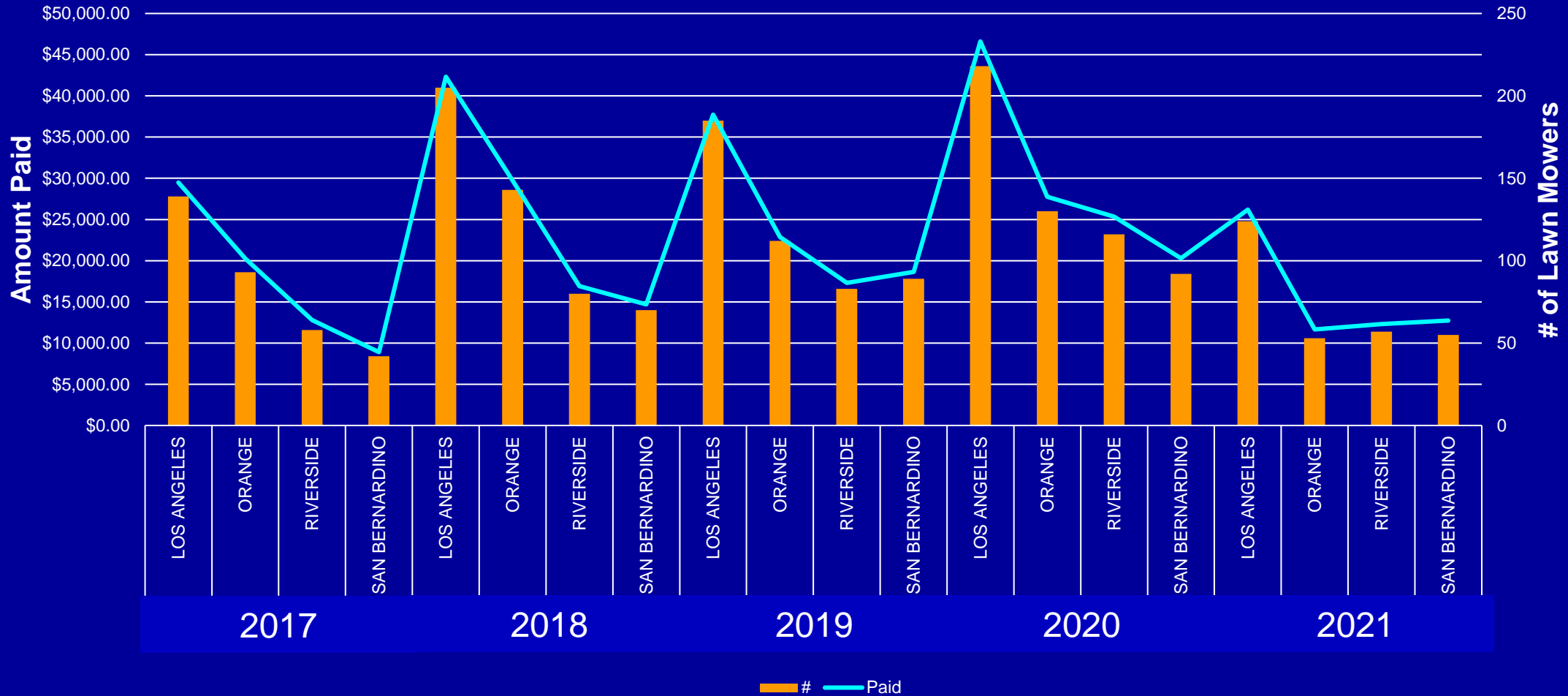
# (Backup) Background

- Funded Lawn Mowers by County (since inception):

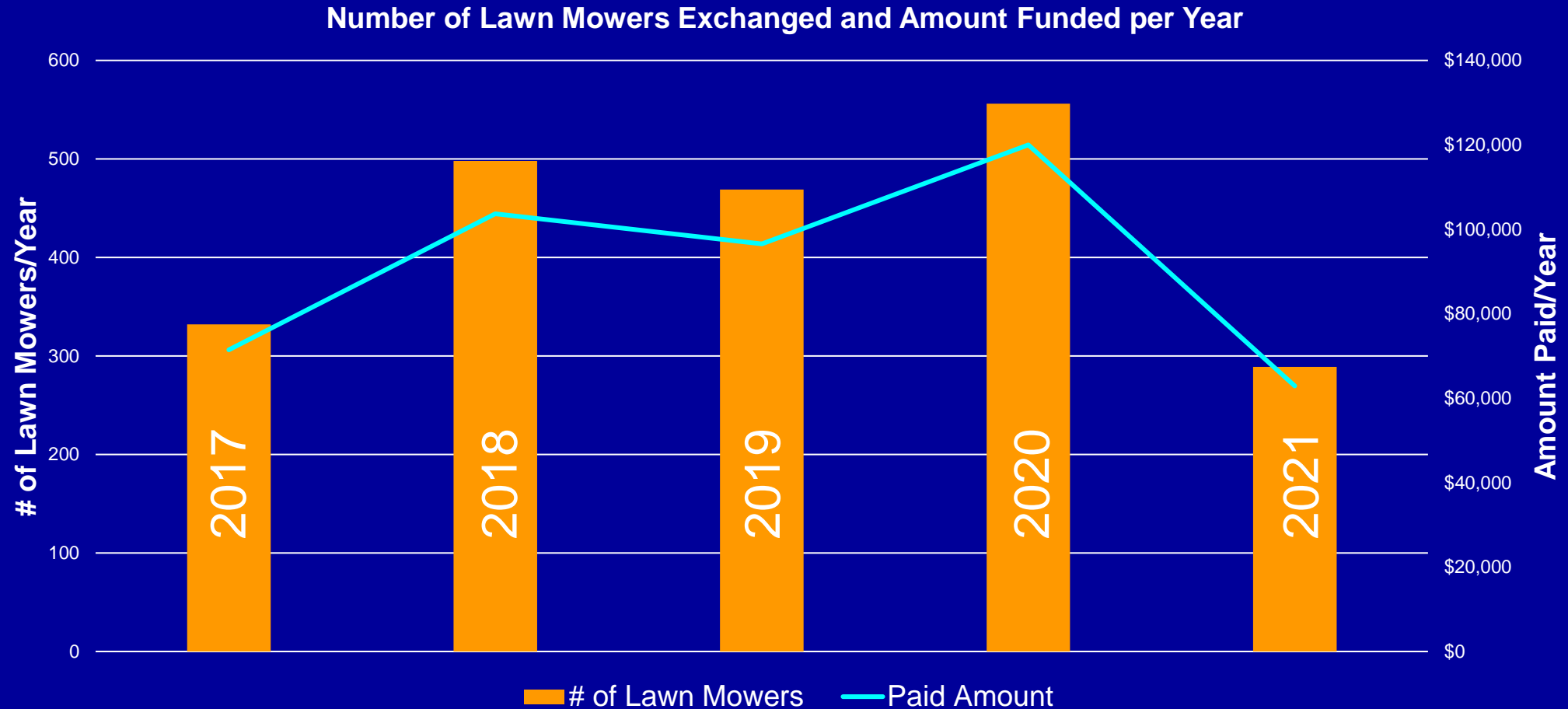
<b>County</b>	<b># of Funded Lawn Mowers</b>	<b>Total Amount</b>	<b>% of Total Funds</b>	<b>% Population in SCAB</b>
Los Angeles	871	\$182,324	41%	56.2
Orange	531	\$112,259	25%	17.8
Riverside	394	\$84,683	18%	13.8
San Bernardino	348	\$75,287	16%	12.2
Totals	2144	\$454,553	100%	100%

# (Backup) Background

Number of Lawn Mowers Exchanged and Amount by Year (and County)

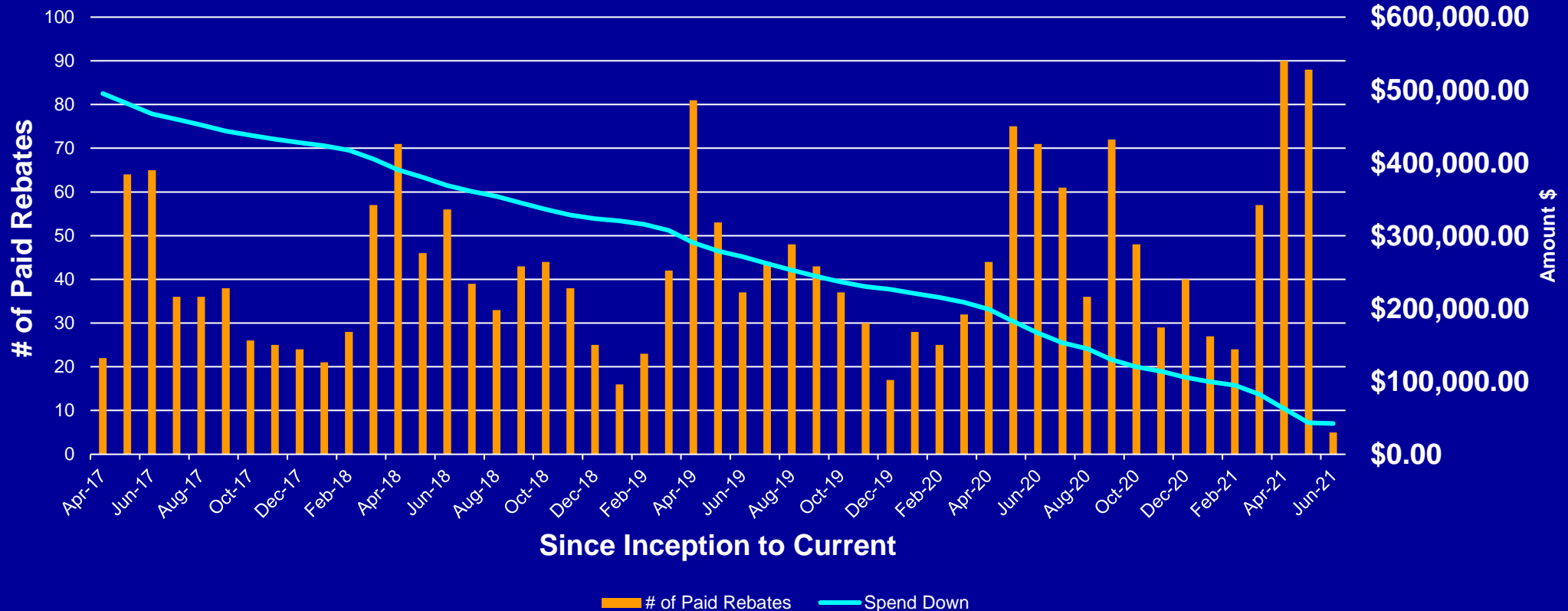


# (Backup) Background



# (Backup) Background

Residential ELM - Spend Down Data and Approved Rebates Since Inception (April 2017)



# (Backup) Background

- Prior ELM Exchange – in-person exchange is ~\$12K/event:

Staff/Resources	Hourly Cost	OT (weekends)	Est. Time 5 hours	# of Staff	Total Cost/Event (est)
Admin Staff (Sr. OA and CAs)	\$26.88 (average)	\$40.32/hour	\$201.60	10	\$2,016*
Program Supervisor	\$63.28	\$94.92/hour	\$474.60	1	\$474.60*
Overhead Cost (Dismantler, Venue, Traffic Organizer)	--	--	--	--	\$9,185
<b>Total</b>					<b>\$11,675.60</b>

\*does not include mileage reimbursement



**Technology Committee Agenda #4**

BOARD MEETING DATE: September 3, 2021

AGENDA NO.

**PROPOSAL:** Execute Agreement to Establish Wildfire Smoke Clean Air Centers Incentive Pilot Program, Recognize Funds, Release RFP, Execute Contracts, and Reimburse General Fund

**SYNOPSIS:** AB 836 provided \$5 million in statewide funding to create a Wildfire Smoke Clean Air Centers for Vulnerable Populations Incentive Pilot Program to upgrade ventilation systems and provide portable air cleaners to create a network of Wildfire Smoke Clean Air Centers for residents displaced by wildfires and other smoke events. These actions are to execute an agreement with CARB to establish a Wildfire Smoke Clean Air Centers Incentive Pilot Program, recognize up to \$250,000 from CARB into the Air Filtration Fund (75), release RFP #P2022-04 to solicit organizations to purchase portable air cleaners at Wildfire Smoke Clean Air Centers, execute contracts with organizations to purchase eligible CARB-certified portable air cleaners and replacement filters at Wildfire Smoke Clean Air Centers in an amount up to \$231,250 from the Air Filtration Fund (75), and reimburse the General Fund for administrative costs up to \$18,750.

**COMMITTEE:** Technology, August 20, 2021; Recommended for Approval

**RECOMMENDED ACTIONS:**

1. Authorize the Executive Officer to execute an agreement with CARB to establish the Wildfire Smoke Clean Air Centers Incentive Pilot Program;
2. Recognize, upon receipt, up to \$250,000 into the Air Filtration Fund (75);
3. Release RFP #P2022-04 to solicit organizations to purchase portable air cleaners for deployment at Wildfire Smoke Clean Air Centers;
4. Authorize the Chairman to execute contracts with organizations for purchase of eligible CARB-certified portable air cleaners and replacement filters at Wildfire Smoke Clean Air Centers in an amount up to \$231,250; and

5. Reimburse the General Fund from the Air Filtration Fund (75) for administrative costs up to \$18,750 to implement the project.

Wayne Natri  
Executive Officer

MMM:AK:JI:PSK

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### **Background**

AB 836 provided \$5 million in statewide funding to create a Wildfire Smoke Clean Air Centers for Vulnerable Populations Incentive Pilot Program to upgrade ventilation systems and provide portable air cleaners to create a network of Wildfire Smoke Clean Air Centers (Centers) for residents displaced by wildfires and other smoke events. 2020 was one of the most devastating wildfire seasons on record with over 4 million acres burned and 10,000 structures damaged or destroyed. In June 2021, CARB hosted two workshops to present draft guidelines developed pursuant to AB 836 to allow air districts in California to begin implementing their own incentive pilot programs. CARB finalized AB 836 guidelines and grant agreements for air districts in July 2021.

### **Proposal**

South Coast AQMD was allocated \$250,000 to implement its incentive pilot program and staff proposes to use these funds for purchase of portable air cleaners in Centers. In order to enable Centers to be equipped with CARB-certified portable air cleaners prior to the start of the 2022 wildfire season, staff proposes to issue RFP #P2022-04 in September 2021 to identify organizations to deploy Centers and purchase portable air cleaners and replacement filters. This will allow time for the execution of agreements and contracts, and purchase of appropriately sized CARB-certified portable air cleaners with HEPA filters with ultrafine PM and VOC/odor carbon filtration to handle wildfire smoke which meet Center requirements.

CARB has certified a list of portable air cleaners. Organizations selected to deploy Centers through the RFP will purchase portable air cleaners and replacement filters, which are typically replaced annually. A list of eligible CARB-certified portable air cleaners and their specifications (including weight, dimensions, cubic feet per minute, area covered per cleaner, noise level, required filters) will be included in RFP #P2022-04 and posted on South Coast AQMD's AB 836 Wildfire Smoke Clean Air Centers webpage to assist Centers in developing deployment plans. South Coast AQMD's AB 836 webpage will include information for organizations on submitting an online grant application and online reporting required by CARB for the AB 836 program.

The proposed schedule for Readiness to Deploy Portable Air Cleaners at Centers is as follows:

<b>Date</b>	<b>Event</b>
September 3, 2021	RFP Released
September 17, 2021	Online Bidder's Conference (Mandatory)
September 2021	Execution of Agreement with CARB
October 8, 2021	Online Proposals Due (1:00pm)
October 15, 2021	Proposal Evaluations
December 1, 2021	Execute Contracts with Organizations to Deploy Centers
March 2022	Purchase of Portable Air Cleaners by Organizations to Deploy Centers
June 2022	Deploy Portable Air Cleaners at Centers
March 2022 – 2025	Annual Reports
July 2026	Final Report

These actions are to: 1) authorize the Executive Officer to execute an agreement with CARB to establish a Wildfire Smoke Clean Air Centers Incentive Pilot Program; 2) recognize up to \$250,000 from CARB into the Air Filtration Fund (75); 3) release RFP P2022-04 to solicit organizations to purchase portable air cleaners for deployment at Wildfire Smoke Clean Air Centers; 4) authorize the Chairman to execute sole source contracts with organizations for purchase of eligible CARB-certified portable air cleaners and replacement filters at Wildfire Smoke Clean Air Centers in an amount up to \$231,250 from the Air Filtration Fund (75); and 5) reimburse the General Fund for administrative costs up to \$18,750.

**Sole Source Justification**

Sole source is justified for the purchase of portable air cleaners for deployment at Wildfire Smoke Clean Air Centers. CARB's Indoor Exposure Assessment Section of the Research Division has certified portable air cleaners under its Air Cleaner Regulation and has provided a list of certified portable air cleaners to staff. Due to the rigor of CARB's certification process for air cleaning devices and CARB guidelines which require that only certified portable air cleaners be used, it is not deemed necessary to issue a competitive bid process. Section VIII. B. 2 of the Procurement Policy and Procedure identifies four major provisions under which a sole source award may be justified. This request for a sole source award is made under provision B.2.c.(1): The unique experience and capabilities of the proposed contractor or contractor team.

**Benefits to SCAQMD**

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

**Resource Impacts**

South Coast AQMD will receive up to \$250,000 from CARB to create a Wildfire Smoke Clean Air Centers for Vulnerable Populations Incentive Pilot Program, which will be recognized into the Air Filtration Fund (75). Contracts with organizations to deploy purchase portable air cleaners and replacement filters at Centers will not exceed \$231,250 from the Air Filtration Fund (75). Administrative costs to implement this program will not exceed \$18,750 and will be provided by CARB.

**Attachment**

P2022-04 - Deployment of Portable Air Cleaners in Wildfire Smoke Clean Air Centers



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

### **REQUEST FOR PROPOSALS**

#### **Deployment of Portable Air Cleaners in Wildfire Smoke Clean Air Centers**

#P2022-04

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

#### **PURPOSE**

The purpose of this Request for Proposals (RFP) is to obtain proposals from potential qualified organizations to purchase portable air cleaners at Wildfire Smoke Clean Air Centers (Centers) as part of a Wildfire Smoke Clean Air Centers for Vulnerable Populations Incentive Pilot Program, established through Assembly Bill 836, which provides funding for a statewide grant program to upgrade ventilation systems and provide portable air cleaners to create a network of Centers. Funding of up to \$231,250 will be provided to organizations to purchase portable air cleaners and replacement filters at Centers in the South Coast Air Basin.

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

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

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

Attachment A - Participation in the Procurement Process

Attachment B - Certifications and Representations

**SECTION I: BACKGROUND/INFORMATION**

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

**SECTION II: CONTACT PERSON:**

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

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

**SECTION III: SCHEDULE OF EVENTS**

Date	Event
September 3, 2021	RFP Released
September 17, 2021	Online Bidder's Conference*
October 8, 2021	Online Proposals Due - <b>1:00 pm</b>
October 15, 2021	Proposal Evaluations
December 1, 2021	Execution of Agreements

\*Participation in the Online Bidder's Conference is mandatory. Such participation would assist in notifying potential Bidders of any updates or amendments. The Bidder's Conference will be hosted on Zoom at 10:00 am on Friday, September 17, 2021. Please contact Patricia Kwon at pkwon@aqmd.gov by close of business on Tuesday, September 14, 2021 if you plan to attend.

**TELECONFERENCE LOCATION**

Per Governor Newsom's Executive Order N-25-20, (March 12, 2020) and N-29-20 (March 17, 2020),

**Online Bidders Conference** will only be conducted via video conferencing and by telephone.

Please follow the instructions below to join the webinar meeting remotely, teleconference locations do not need to be disclosed nor open to the public.

**INSTRUCTIONS FOR ELECTRONIC PARTICIPATION**

Join Zoom Webinar Meeting - from PC or Laptop

<https://scaqmd.zoom.us/j/94486600161>

**Zoom Webinar ID: 944 8660 0161** (applies to all)

Teleconference Dial In +1 669 900 6833

One tap mobile +16699006833,,94486600161#

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

It is the policy of South Coast AQMD to ensure that all businesses including minority business enterprises, women business enterprises, disabled veteran business enterprises and small

businesses have a fair and equitable opportunity to compete for and participate in South Coast AQMD contracts. Attachment A to this RFP contains definitions and further information.

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

Objective

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

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

<https://ww2.arb.ca.gov/list-carb-certified-air-cleaning-devices>

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

<https://www.aqmd.gov/home/programs/community>

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

Portable Air Cleaner	CFM	Area Covered (sq ft)	Dimensions (inches)	Weight (lbs)	Noise (dBA)	Required Filters
AeraMax Pro AM IV	440	1400	34.7Wx19.6Hx9L	33	42 - 68	Prefilter, 1 HEPA, 8.8 lbs activated alumina with activated carbon and virgin activated carbon
AeraMax Pro AM III	220	700	21Wx20Hx9L	20	38 - 67	Prefilter, 1 HEPA, 4.4 lbs activated alumina with activated carbon and virgin activated carbon
Airpura R600	560	2,500	15Wx23Hx9L	45	28 - 62	Prefilter, 1 Super HEPA, 18 lbs anthracite impregnated carbon
Alen BreatheSmart 75i (with Copper Oxide/Carbon filter)	350	1,300	27Wx18.5Hx11.5L	27	25 - 49	Prefilter, 1 HEPA, 1.5 lbs activated carbon/1.5 lbs activated carbon with copper oxide
Amaircare Airwash HEPA MultiPro Air Scrubber	800	2,600	19Wx20Hx32L	42	66 - 86	2 prefilters, 1 HEPA, 5 lb carbon canister
Amaircare Airwash MultiPro BOSS HD HEPA Portable Air Scrubber	1,800	6,750	19Wx34Hx31L	70	66 - 86	2 prefilters, 1 HEPA, 2-7 lb carbon canister
Austin Air HealthMate Plus (HM 450)	400	1500	14.5Wx23Hx14.5L	47	50 - 66	Prefilter, combined HEPA +15 lb granular carbon/zeolite with potassium iodide cartridge
Austin Air HealthMate Plus Jr. (HM 250)	200	700	11Wx16.5Hx11L	24	49 - 65	Prefilter, combined HEPA + 7 lb granular carbon/zeolite

						with potassium iodide cartridge
Blueair Pro L	450	780	20Wx31Hx10L	46	32 - 55	Prefilter, 1 HEPA, 2 lb activated carbon pellets
Blueair Pro XL	450	1,180	20Wx44Hx11L	71	32 - 58	Prefilter, 1 HEPA, 2 lb activated carbon pellets
IQAir HealthPro Plus	300	1,125	15Wx28Hx16L	35	25 - 69	PreMax, 5 lb activated carbon/alumina with potassium permanganate, HyperHEPA
IQAir CleanZone SL	500	2,400	28.5Wx44.5Hx9.75L	71	45	HEPA. No VOC filtration.
IQAir GC Multi-Gas	300	1,240	15Wx28Hx16L	44	25 - 69	GC HyperHEPA prefilter, 12 lb activated carbon/alumina with potassium permanganate, GC post filter
Oransi Erik (OV190) with activated carbon (Pre-Erik) filter	430	1,560	25.5Wx26Hx12.75L	63	63	Prefilter, MERV 18, 14 lbs activated carbon with potassium permanganate

Statement of Work

A plan for operation, management, and maintenance of portable air cleaners is required and must include: logistics of deployment of portable air cleaners during wildfire and smoke events, management of inventory of portable air cleaners, routine maintenance including filter replacement, staff training on maintaining portable air cleaners, submission of incident reports and annual reports, and list of partner organizations and their roles.

Task 1: Develop logistics plan for operation, management and maintenance of portable air cleaners for Centers including list of portable air cleaner manufacturer(s)/model number(s) by portable air cleaner identification number (updated as needed).

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

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

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

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

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

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

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

- Summary of all deployments (compilation of incident reports)



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

### Schedule of Deliverables

Deliverable 1: Plan for operation, management and maintenance of portable air cleaners

Deliverable 2: List of partner organizations and key staff contacts and roles

Deliverable 3: Purchase of portable air cleaners and replacement filters

Deliverable 4: Confirmation of routine maintenance and staff training on maintenance

Deliverable 5: Confirmation of staff training on required incident and annual reports

Deliverable 6: Online submission of incident reports

Deliverable 7: Online submission of annual reports

### **SECTION VI: REQUIRED QUALIFICATIONS**

- A. Persons or firms proposing to bid on this proposal must be qualified and experienced in deploying Centers during wildfire and smoke events for vulnerable populations, and must be willing to deploy portable air cleaners in Centers and carry out the requirements of this pilot program.
- B. Proposer must submit the following:
1. Resumes or similar statement of qualifications in serving vulnerable populations during wildfire and smoke events.
  2. Previous experience in deploying Centers for wildfire and smoke events and training staff.
  3. Summary of proposer's general qualifications to meet required qualifications and fulfill statement of work, including personnel and resources.

### **SECTION VII: PROPOSAL SUBMITTAL REQUIREMENTS**

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

Online applications must include the following:

- Application Details (Applicant name, type of entity, contact information)

- Project Budget for Portable Air Cleaners and Replacement Filters (specify total number of portable air cleaners required per room, per Center, and for all Centers active during fire season)
- Portable Air Cleaner Information (Make, Model Number, Performance Specifications)
- Statement of Work/Schedule of Deliverables including a Deployment Plan for operation, management and maintenance of portable air cleaners at Centers during wildfire and smoke events
- Resumes or similar statement of qualifications
- Previous experience
- Summary of general qualifications to meet requirements
- Certifications and Attestations for Application Accuracy and Completeness

## **SECTION VIII: PROPOSAL SUBMISSION**

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

<https://www.aqmd.gov/home/programs/community>

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

Due Date - **All proposals are due no later than 1:00 p.m., October 8, 2021.**

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

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

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

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

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

- A. Proposals will be evaluated by a panel of three 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

Technical Criteria

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

Additional Points

Small Business or Small Business Joint Venture	10
DVBE or DVBE Joint Venture	10
Use of DVBE or Small Business Subcontractors	7
Zero or Near-Zero Emission Vehicle Business	5
Local Business (Non-Federally Funded Projects Only)	5
Off-Peak Hours Delivery Business	2
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 Zero or Near-Zero Emission Vehicle Business, the proposer must demonstrate to the Executive Officer, or designee, that supplies and materials delivered to South Coast AQMD are delivered in vehicles that operate on clean-fuels. To receive points as a Local Business, the proposer must affirm that it has an ongoing business within the South Coast AQMD at the time of

bid/proposal submittal and that 90% of the work related to the contract will be performed within the South Coast AQMD. Proposals for legislative representation, such as in Sacramento, California or Washington D.C. are not eligible for local business incentive points. Federally funded projects are not eligible for local business incentive points. To receive points as an Off-Peak Hours Delivery Business, the proposer must submit, at proposal submission, certification of its commitment to delivering supplies and materials to South Coast AQMD between the hours of 10:00 a.m. and 3:00 p.m. To receive points for Most Favored Customer status, the proposer must submit, at proposal submission, certification of its commitment to provide most favored customer status to 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. Purchase of CARB certified portable air cleaners with HEPA filters and ultrafine PM and VOC/odor carbon filtration to handle wildfire smoke will be made by organizations selected to deploy Centers from the list of eligible CARB-certified portable air cleaners in this RFP and on the South Coast AQMD AB 836 program website. The number and types of eligible portable air cleaners will be based on the selected organization's deployment plan and the most suitable portable air cleaners to meet Center needs based on sizes and numbers of rooms and Centers to be provided with air filtration. Any eligible portable air cleaners meeting these criteria may be selected as long as the number of portable air cleaners and replacement filters meets the requirements of the deployment plan and is within the budget of \$231,250 allocated for the purchase of portable air cleaners and replacement filters.
- C. During the selection process the evaluation panel may wish to interview some proposers for clarification purposes only. No new material will be permitted at this time. Additional information provided during the bid review process is limited to clarification by the Proposer of information presented in his/her proposal, upon request by South Coast AQMD.
- D. The Executive Officer or Governing Board may award the contract to a Proposer other than the Proposer receiving the highest rating in the event the Governing Board determines that another Proposer from among those technically qualified would provide the best value to South Coast AQMD considering cost and technical factors. The determination shall be based solely on the Evaluation Criteria contained in the Request for Proposal (RFP), on evidence provided in the proposal and on any other evidence provided during the bid review process.

- E. Selection will be made based on the above-described criteria and rating factors. The selection will be made by and is subject to Executive Officer or Governing Board approval. Proposers may be notified of the results by letter.
- F. The Governing Board has approved a Bid Protest Procedure which provides a process for a Bidder or prospective Bidder to submit a written protest to South Coast AQMD Procurement Manager in recognition of two types of protests: Protest Regarding Solicitation and Protest Regarding Award of a Contract. Copies of the Bid Protest Policy can be secured through a request to South Coast AQMD Procurement Department.
- G. The Executive Officer or Governing Board may award contracts to more than one proposer if in (his or their) sole judgment the purposes of the (contract or award) would best be served by selecting multiple proposers.
- H. If additional funds become available, the Executive Officer or Governing Board may increase the amount awarded. The Executive Officer or Governing Board may also select additional proposers for a grant or contract if additional funds become available.
- I. Disposition of Proposals – Pursuant to South Coast AQMD’s Procurement Policy and Procedure, South Coast AQMD reserves the right to reject any or all proposals. All proposals become the property of South Coast AQMD, and are subject to the California Public Records Act. One copy of the proposal shall be retained for South Coast AQMD files. Additional copies and materials will be returned only if requested and at the proposer's expense.

## **SECTION X: SAMPLE CONTRACT**

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

## ATTACHMENT A

### PARTICIPATION IN THE PROCUREMENT PROCESS

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

B. Definitions:

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

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

- venture's management and control and earnings are held by one or more disabled veterans.
- b. the management and control of the daily business operations are by one or more disabled veterans. The disabled veterans who exercise management and control are not required to be the same disabled veterans as the owners of the business.
  - c. is a sole proprietorship, corporation, or partnership with its primary headquarters office located in the United States, which is not a branch or subsidiary of a foreign corporation, firm, or other foreign-based business.
4. "Local business" as used in this policy means a company that has an ongoing business within geographical boundaries of South Coast AQMD at the time of bid or proposal submittal and performs 90% 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.



# South Coast Air Quality Management District

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

## **Business Information Request**

Dear South Coast AQMD Contractor/Supplier:

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

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

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

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

Sincerely,

Sujata Jain  
Chief Financial Officer

DH:jn

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



# South Coast Air Quality Management District

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

## BUSINESS INFORMATION REQUEST

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

## REMITTING ADDRESS INFORMATION

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

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

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

**BUSINESS STATUS CERTIFICATIONS**

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

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

Statements of certification:

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

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

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

Check all that apply:

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

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

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

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

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

\_\_\_\_\_  
*NAME*

\_\_\_\_\_  
*TITLE*

\_\_\_\_\_  
*TELEPHONE NUMBER*

\_\_\_\_\_  
*DATE*

## Definitions

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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.

Print or type. See Specific Instructions on page 3.	<p><b>1</b> Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.</p> <p><b>2</b> Business name/disregarded entity name, if different from above</p> <p><b>3</b> Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only <b>one</b> of the following seven boxes.</p> <p><input type="checkbox"/> Individual/sole proprietor or single-member LLC    <input type="checkbox"/> C Corporation    <input type="checkbox"/> S Corporation    <input type="checkbox"/> Partnership    <input type="checkbox"/> Trust/estate</p> <p><input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ▶ _____</p> <p><b>Note:</b> 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 <b>not</b> 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.</p> <p><input type="checkbox"/> Other (see instructions) ▶ _____</p>	<p><b>4</b> Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):</p> <p>Exempt payee code (if any) _____</p> <p>Exemption from FATCA reporting code (if any) _____</p> <p><small>(Applies to accounts maintained outside the U.S.)</small></p>
	<p><b>5</b> Address (number, street, and apt. or suite no.) See instructions.</p> <p><b>6</b> City, state, and ZIP code</p> <p><b>7</b> List account number(s) here (optional)</p>	<p>Requester's name and address (optional)</p>

### 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>					
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; border: 1px solid black; height: 20px;"></td> <td style="width: 5%; text-align: center;">-</td> <td style="width: 25%; border: 1px solid black; height: 20px;"></td> <td style="width: 5%; text-align: center;">-</td> <td style="width: 40%; border: 1px solid black; height: 20px;"></td> </tr> </table>		-		-	
	-		-		
<b>or</b>					
<b>Employer identification number</b>					
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 10%; border: 1px solid black; height: 20px;"></td> <td style="width: 5%; text-align: center;">-</td> <td style="width: 90%; border: 1px solid black; height: 20px;"></td> </tr> </table>		-			
	-				

### Part II Certification

Under penalties of perjury, I certify that:

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

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

<b>Sign Here</b>	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), ABLE accounts (under section 529A), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions.** You must give your correct TIN, but you do not have to sign the certification.

### What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account) other than an account maintained by an FFI	The actual owner of the account or, if combined funds, the first individual on the account <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)	The grantor-trustee <sup>1</sup>
b. So-called trust account that is not a legal or valid trust under state law	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 [nb.ca.gov](http://nb.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.

#### 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

### 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 F 182, FRANCHISE TAX BOARD, PO BOX 942867, SACRAMENTO CA 94267-0651

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



## **Certification Regarding Debarment, Suspension, and Other Responsibility Matters**

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

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three year period preceding this proposal been convicted of or had a civil judgement rendered against them or commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction: violation of Federal or State antitrust statute or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property:
- (c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

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

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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 (South Coast AQMD) Board Members or members/alternates of the MSRC, including: the name of the party making the contribution (which includes any parent, subsidiary or otherwise related business entity, as defined below), the amount of the contribution, and the date the contribution was made. 2 C.C.R. §18438.8(b).

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

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

The list of current South Coast AQMD Governing Board Members can be found at South Coast AQMD website ([www.aqmd.gov](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:**  
*(See definition below).*

\_\_\_\_\_

\_\_\_\_\_

### **SECTION II.**

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

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

**Campaign Contributions Disclosure, continued:**

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

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

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

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

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

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

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

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

**I declare the foregoing disclosures to be true and correct.**

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

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

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

**DEFINITIONS**

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

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

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

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



# South Coast Air Quality Management District

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

## Direct Deposit Authorization

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

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

### STEP 2: Payee Information

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

### Authorization

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

### STEP 3:

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

### To be Completed by your Bank

<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 #4

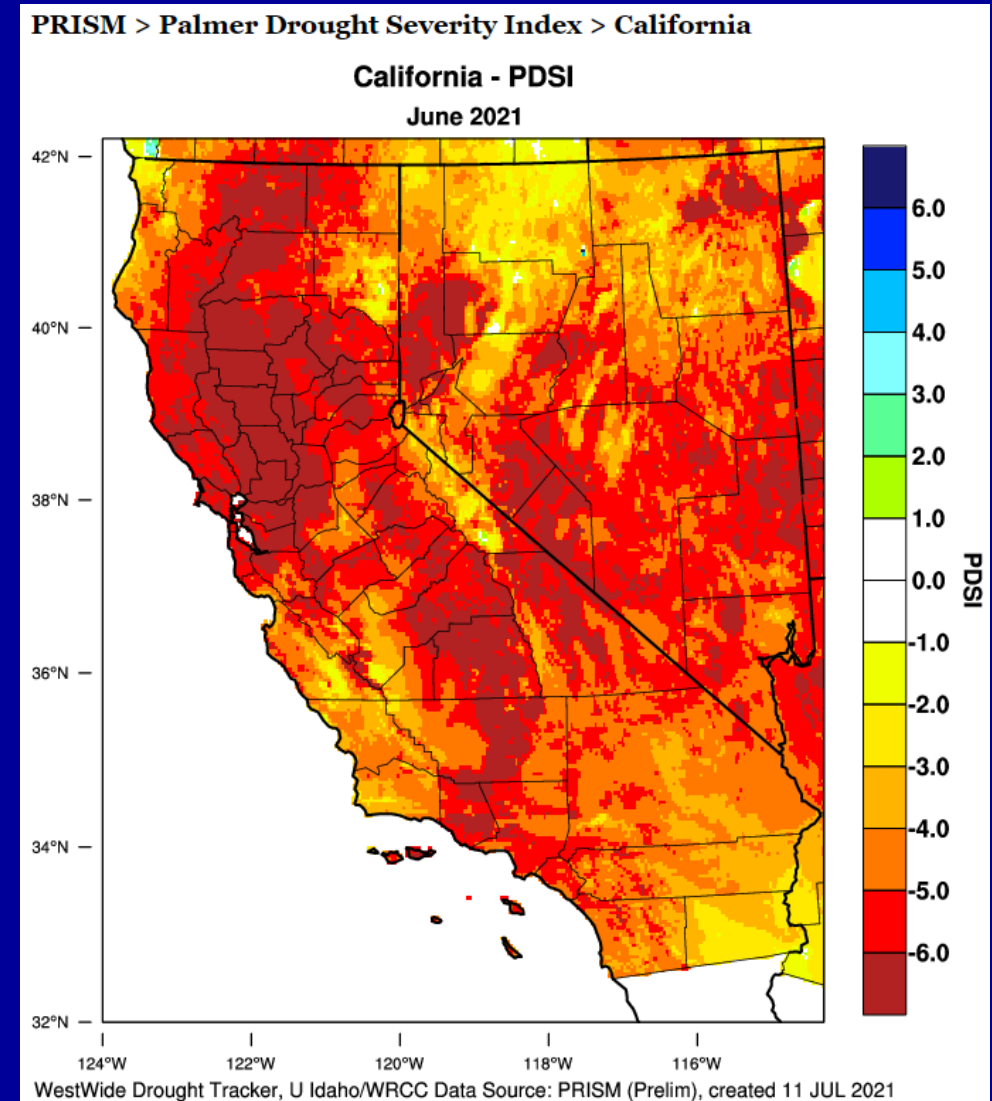
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Patricia Kwon

Execute Agreement to Establish Wildfire Smoke  
Clean Air Centers Incentive Pilot Program,  
Recognize Funds, Release RFP,  
Execute Contracts and Reimburse General Fund

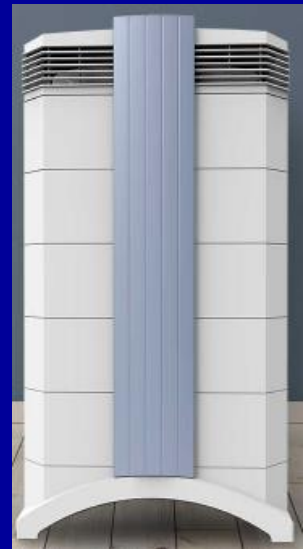
# Background

- AB 836 provided \$5M to create Wildfire Smoke Clean Air Centers for Vulnerable Populations Incentive Pilot Program for the state
- During 2020 one of most devastating wildfire seasons – 4M acres burned
- In June 2021 CARB hosted two workshops to draft AB 836 guidelines and finalized them in July
- Air districts will start their own programs



# Proposal

- South Coast AQMD allocated \$250k to deploy portable air cleaners at Wildfire Smoke Clean Air Centers (Centers)
- Staff requests approval to issue RFP to assess organization's ability to create network of Centers
- Award qualified organizations and utilize funding to purchase appropriately sized CARB certified portable air cleaners with HEPA filters
- Staff proposes to do the following:
  - Set up online grant application and reporting system
  - Execute contracts with qualified organizations to purchase and deploy portable air cleaners at Centers, along with providing training and maintenance



# Proposed Schedule

Date	Event
September 3, 2021	Board Approval RFP Released
September 17, 2021	Online Bidder's Conference (Mandatory)
October 8, 2021	Online Proposals Due (1:00pm)
October 15, 2021	Proposal Evaluations
December 1, 2021	Execute Contracts with Organizations to Deploy Centers
March 2022	Purchase of Portable Air Cleaners by Organizations to Deploy Centers
June 2022	Purchase, Deploy Portable Air Cleaners at Centers
March 2022 – 2025	Annual Reports
July 2026	Final Report



# Recommended Actions

- Authorize Executive Officer to execute agreement with CARB to establish Wildfire Smoke Clean Air Centers Incentive Pilot Program;
- Recognize up to \$250,000 into Air Filtration Fund (75);
- Release RFP #P2022-04 to solicit organizations to purchase portable air cleaners for deployment at Centers;
- Authorize Chairman to execute contracts for purchase of portable air cleaners and replacement filters at Centers in an amount up to \$231,250 from Fund 75; and
- Reimburse General Fund for administrative costs up to \$18,750 from Fund (75) to implement project