South Coast Air Quality Management District

REQUEST FOR PROPOSALS

Audit and Verification of Rule 1180 Fenceline Air Monitoring Network

P2022-13

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 solicit qualified firms, vendors, research or educational institutions to develop an auditing procedure and conduct system and performance audits of fenceline air monitoring systems operating at seven petroleum refineries in the South Coast Air Basin, subject to South Coast AQMD Rule 1180 - Refinery and Community Air Monitoring. These refineries are:

- Tesoro Refining & Marketing Company, LLC, Carson;
- Tesoro Refining & Marketing Company, LLC, Wilmington;
- PBF Energy, Torrance Refining Company, Torrance;
- Chevron Products Company, Chevron El Segundo Refinery, El Segundo;
- Phillips 66 Company, Carson;
- Phillips 66 Company, Wilmington; and
- Valero Energy Corporation, Valero Wilmington Refinery, Wilmington.

Contractor(s) will be required to work closely with South Coast AQMD staff and each refinery staff and their contractors. Close collaboration and coordination between Contractor(s), South Coast AQMD staff and the refineries will be essential for timely and efficient implementation of this project which will involve documentation, information exchange between the aforementioned entities, meetings, and on-site refinery visits. Qualified Contractor shall demonstrate knowledge and experience in ambient air quality monitoring using a variety of traditional and advanced air monitoring technologies such as open-path optical remote sensing (ORS); have experience in developing air monitoring plans and quality assurance project plans (QAPPs); have experience in developing and reviewing guidance and procedures for complex novel air monitoring equipment and/or methodologies; familiarity with South Coast AQMD or other air regulatory agencies; have experience in setting-up, implementing and/or evaluating the performance of fenceline and/or community air monitoring networks; experience in conducting technical and/or procedural audits of air monitoring networks is also highly desirable.

This is envisioned to be a two-year project and the intent of this RFP is to select qualified contractor(s) to develop and implement a rigorous refinery fenceline performance auditing program. Contractor(s) will be reimbursed on a Fixed Price basis for work performed on this project.
INDEX - The following are contained in this RFP:

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

Attachment A - Participation in the Procurement Process  
Attachment B - Certifications and Representations  

SECTION I:  BACKGROUND/INFORMATION

The Rule 1180 refinery fenceline air monitoring network consists of dozens of novel ORS and traditional analyzers deployed at the fencelines of seven major refineries in the region. While similar technologies are deployed at all sites, different contractors are using different instrument makes/models for conducting fenceline air monitoring at different refineries. South Coast AQMD staff have been working with the refineries to assure that all fenceline instruments, independent of their vendors, standardize their data acquisition and reporting, and maintain data of the appropriate quality through common calibration, verification, maintenance and other quality assurance procedures and criteria. However, due to the innovative nature of the Rule 1180 program and ORS equipment, there is a pressing need to establish a robust quality assurance program and for a qualified independent entity to conduct a systematic review of the entire Rule 1180 network to ensure that the collected data meets the stringent quality assurance criteria of the program.

SECTION II:  CONTACT PERSON:

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

Dr. Olga Pikelnaya, Program Supervisor  
Advanced Monitoring Technologies Unit  
Monitoring and Analysis Division  
South Coast AQMD  
21865 Copley Drive  
Diamond Bar, CA 91765-4178  
(909) 396-3157
SECTION III: SCHEDULE OF EVENTS

<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>May 06, 2022</td>
<td>RFP Released</td>
</tr>
<tr>
<td>July 05, 2022</td>
<td>Proposals Due to South Coast AQMD - No Later Than 5:00 pm</td>
</tr>
<tr>
<td>July 06, 2022 – July 29, 2022</td>
<td>Proposal Evaluations</td>
</tr>
<tr>
<td>August 02, 2022</td>
<td>Selection notifications</td>
</tr>
<tr>
<td>September 02, 2022</td>
<td>Anticipated Contract Execution</td>
</tr>
</tbody>
</table>

SECTION IV: PARTICIPATION IN THE PROCUREMENT PROCESS

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

SECTION V: STATEMENT OF WORK/SCHEDULE OF DELIVERABLES

Statement of Work

Starting January 2020, pursuant South Coast AQMD Rule 1180, the major refineries in the South Coast Air Basin, Listed in Table 1, begun operation of their fenceline air monitoring systems.

Table 1. List of the Refineries subject to Rule 1180 and their fenceline air monitoring plans

<table>
<thead>
<tr>
<th>Refinery</th>
<th>Link to the refinery fenceline air monitoring plan</th>
</tr>
</thead>
</table>
Highly sophisticated state-of-the-art open path Fourier Transform Infrared spectroscopy (FTIR) and Differential Optical Absorption Spectroscopy (DOAS) multi-pollutant analyzers are used for monitoring VOCs, air toxics and other air pollutants of concern at the refinery fenceline. In addition, point analyzers are being used for H2S and BC measurements. Meteorological stations are also installed to measure wind speed and wind direction and visibility at one or two locations of each refinery. Table 2 summarizes the technology used for fenceline air monitoring of Rule 1180 required pollutants and other environmental parameters.

Table 2. Technologies deployed at Rule 1180 Fenceline Air Monitoring Sites

<table>
<thead>
<tr>
<th>Air Pollutant / Parameter</th>
<th>Instrumentation / Technology</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Criterial Pollutants</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sulfur Dioxide</td>
<td>Open Path DOAS</td>
<td></td>
</tr>
<tr>
<td>Nitrogen Dioxide</td>
<td>Open Path FTIR</td>
<td></td>
</tr>
<tr>
<td><strong>Volatile Organic Compounds</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total VOC (Non-Methane Hydrocarbons)</td>
<td>Open Path FTIR</td>
<td></td>
</tr>
<tr>
<td>Formaldehyde</td>
<td>Open path FTIR</td>
<td></td>
</tr>
<tr>
<td>Acetaldehyde</td>
<td>Open Path FTIR</td>
<td></td>
</tr>
<tr>
<td>Acroelin</td>
<td>Open Path FTIR</td>
<td></td>
</tr>
<tr>
<td>1,3-Butadiene</td>
<td>Open Path FTIR</td>
<td></td>
</tr>
<tr>
<td>Styrene</td>
<td>Open Path DOAS</td>
<td></td>
</tr>
<tr>
<td>BTEX (Benzene, Toluene, Ethylbenzene, Xylenes)</td>
<td>Open Path DOAS</td>
<td></td>
</tr>
<tr>
<td><strong>Other Compounds</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hydrogen Sulfide</td>
<td>Point Monitors</td>
<td>Technologies vary by refinery, and include cavity ring-down, UV fluorescence, or galvanic</td>
</tr>
<tr>
<td>Carbonyl Sulfide</td>
<td>Open Path FTIR</td>
<td></td>
</tr>
<tr>
<td>Ammonia</td>
<td>Open Path FTIR</td>
<td></td>
</tr>
<tr>
<td>Black Carbon</td>
<td>Point Monitor</td>
<td>Optical absorption</td>
</tr>
<tr>
<td>Hydrogen Cyanide</td>
<td>Open Path FTIR</td>
<td></td>
</tr>
<tr>
<td>Hydrogen Fluoride</td>
<td>Open Path FTIR</td>
<td>Required for Torrance and Valero refineries only</td>
</tr>
<tr>
<td>Wind Speed and Direction and Visibility</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

While similar technologies are deployed at all sites, different contractors are using different instrument makes/models for conducting fenceline air monitoring at different refineries. South Coast AQMD staff have been working with the refineries towards the goal that all fenceline instruments, independent of their vendors, standardize their data acquisition and reporting, and maintain data of the appropriate quality through common calibration, verification, maintenance and other quality assurance procedures and criteria. The same stringent data quality requirements are in effect for all community air monitoring sites. However, due to the innovative nature of the Rule 1180 program and ORS equipment, there is a pressing need to establish a robust quality assurance program and for a qualified independent entity to conduct a systematic audit and review of the entire Rule 1180 fenceline air monitoring network to ensure that the collected data meets the stringent quality assurance criteria of the program.

Contractor will conduct the following activities for the purposes of an Independent Audit of the Rule 1180 Fenceline Air Monitoring Network

1. Contractor(s) will review Refinery Fenceline Air Monitoring Plans (FAMPs) and Quality Assurance Project Plans (QAPPs) submitted by all refineries subject to Rule 1180. These are publicly available documents that can be found on South Coast AQMD’s Rule 1180 web pages (www.aqmd.gov/Rule1180);
2. Contractor(s) will also review any additional Standard Operation Procedures (SOPs) and other technical documents (e.g., methodology for Minimum Detection Limits (MDLs) and Minimum Quantification Limits (MQLs) determination, spectral retrieval methodology, etc.), and other technical documents required to access the quality of the air monitoring data developed by the refineries and their contractors as part of their Rule 1180 fenceline air monitoring implementation, including the materials which refinery determine to be business confidential. Except for South Coast AQMD staff, Contractor(s) shall not disclose or distribute business confidential materials provided by the refinery, however, Contractor(s) will consider this information in preparation of the audit report and recommendations to South Coast AQMD.

3. Contractor(s) will be able to request additional technical information from the refineries and their contractors, as deemed necessary, during the auditing process. Such information requests will be facilitated by South Coast AQMD staff;

4. Contractor(s) shall maintain any business confidentiality claimed by the refineries and/or their contractors. However, Contractor(s) can use this information for development of audit findings and recommendations to South Coast AQMD on future improvements on Rule 1180 fenceline air monitoring and QAPPs;

5. Contractor(s) will develop auditing methodology for open-path ORS and other equipment deployed at the refinery fencelines;

6. Contractor(s), with assistance from South Coast AQMD staff, will collect the public and industry stakeholder's feedback on the open-path auditing methodology and will consider this input in the final auditing procedure and methodology;

7. Contractor(s) will conduct a technical and performance audit and performance evaluation/verification of open-path ORS and point monitors fenceline air monitoring systems for all refineries subject to Rule 1180 in accordance with the procedure developed in this project; This will include documentation and records review, interviews with relevant refinery operations and support staff and their contractors, observation of fenceline air monitoring equipment and its operation, conducting independent data analysis and/or additional air monitoring equipment deployment, etc.

8. Contractor(s) may also propose to provide or develop a specialized software and/or auditing equipment for verification/validation of open-path ORS analyzers performance;

9. Following the audit, Contractor(s) will develop a detailed report outlining the audit findings and best practice recommendations. This shall include specific recommendations for each refinery’s improvements of their quality assurance procedures, and recommendations for South Coast AQMD on other required and/or desirable modifications in QA/QC procedures for the Rule 1180 air monitoring network. A draft report shall be sent to South Coast AQMD staff and to the audited refinery for initial feedback, then finalized after considering that input. The final audit report shall include a Correction Action Plan (CAP) recommendations for each audit finding for the refinery to use to outline a plan to resolve the finding, including a proposed timeline for the resolution;

10. Contractor(s) will be expected to adhere to and abide by all safety precautions in place to protect against the spread of COVID-19 implemented/enforced by each refinery, South Coast AQMD and state and local officials;

11. Contractor(s) will be expected to have all Personal Protective Equipment (PPE) required to enter and work at each refinery; and to abide by all refinery entry requirements; and obtain all training required by each refinery.

The contractor’s technical proposal shall include, at a minimum, the following:

a. A detailed plan for the initial review of the refinery FAMPs and QAPPs, coordination with South Coast AQMD, refinery representatives and other stakeholders (e.g., interested public). The plan shall clearly describe the activities for this portion of the project and estimated amount of effort/time for each activity. Below is the list of potential activities pertaining to review of FAMPs and QAPPs and initial information gathering:

- Review of publicly available FAMPs and QAPPs for each refinery
Review of any additional documentation on fenceline open-path ORS methodology and procedures provided by the refineries and South Coast AQMD staff
Review of the relevant scientific literature and publications
Frequency of meetings and status updates with South Coast AQMD staff during this phase of the project (e.g., weekly or bi-weekly (twice per month) virtual meetings or email status updates, as deemed necessary by the South Coast AQMD Project Coordinator)
Approach to requesting additional documentation/information/clarification from the refineries, if needed.

b. A detailed plan for development of auditing methodology. The highest priority of such auditing methodology is to ascertain the validity and effectiveness of open-path ORS fenceline monitors. However, a review of procedure for point-analyzers measuring H2S and BC, meteorological equipment and visibility sensors are also desired. At the minimum the auditing methodology should evaluate the following QA/QC criteria:
• Verify and confirm that the fenceline system installation (e.g., siting of the instruments, deployment height, optical light paths lengths, etc.) was performed in accordance with each facility FAMP.
• Review and verify the open-path ORS air monitoring readings collected and reported by each refinery. This can be achieved either by a co-location of reference equipment, verification of spectral retrieval evaluation using a specialized software/algorith, of other method(s) approved by South Coast AQMD staff, or combination of thereof. If Contractor(s) are proposing to utilize spectral retrieval software/algorith, it should be either open-source, or widely-used commercial or scientific software that is well-documented in the open literature;
• Verify that each facility data management system is operating in accordance with their FAMPs and QAPPs, appropriate data averaging as required by Rule 1180 is applied.
• Verify reasonable data completeness and proper and timely data delivery to the public data portals and public notification system for exceedances, as required by Rule 1180.
• Review procedures for determination of the Minimum Detection Limit (MDL) and Minimum Quantification Limit (MQL) employed by each refinery, and provide recommendations for standardizing methodology for open-path MDL/MQL across all refinery fenceline air monitoring systems;
• Evaluate the selection of the main Data Quality Indicators (DQI) and the respective acceptance criteria;
• Quantitatively assess the performance of the ORS and other point-monitor analyzers with respect to the major DQIs as outlined in each refinery QAPP;
• Evaluate the procedure(s) for assigning the data flags and qualifier codes;
• Verify that procedure and methodology of the refinery fenceline public notification system is consistent with the guidance provided by South Coast AQMD;
• Verify that recordkeeping and data retention are consistent with QAPPs and South Coast AQMD guidance;
• Evaluate the efficacy of the backup monitoring approaches, operators training and corrective actions processes outlined in each refinery FAMPs and QAPPs, and to assess if these procedures satisfy the goals and objectives of Rule 1180 monitoring.

Contractor(s) will follow the auditing methodology and procedure developed in this project to conduct independent audit of fenceline air monitoring systems at seven major refineries subject to Rule 1180. Optical Tent technology demonstration project currently in progress at Phillis 66 Wilmington refinery will be excluded from this audit.

Contractor(s) will provide South Coast AQMD with the detailed audit/verification report for each refinery; contractor(s) will also provide a summary recommendations report to South Coast AQMD with recommendations on how to standardize and harmonize ORS measurements and
verify their performance through common instrument challenge and/or verification approach. Contractor(s) may also assist South Coast AQMD staff in evaluating the refinery corrective action plans to address the Contractor(s) findings.

Contractor(s) will work in close collaboration with South Coast AQMD staff throughout the entire duration of this contract. At a minimum bi-weekly phone/virtual meetings shall be held between the contractor(s) and South Coast AQMD staff to discuss and resolve potential issues related to any aspects of the project. In addition to the audit methodology and audit results and recommendations reports, Contractor(s) shall also submit a progress report briefs to the South Coast AQMD on a monthly basis, detailed progress reports on a semi-annual basis.

Contractors’ findings/recommendations on ORS best practices, MDL determination, performance verification, etc. may be considered by South Coast AQMD staff for implementation at Rule 1180 community air monitoring stations and for Optical Tent technology demonstration project, as warranted.

Proposal can be submitted for the entire project or selected portion of the project. Proposal can also be submitted for development of software or instrumentation to verify/validate open-path fenceline ORS instrumentation performance.

Schedule of Deliverables
Contractor(s) should include a detailed project schedule in the proposal. This project is envisioned as a two-year project, during which Contractor(s) would develop auditing methodology, conduct a comprehensive audit of each refinery fenceline air monitoring system and develop audit reports and recommendations for South Coast AQMD. Deliverables may include but not be limited to one or more of the following: written and/or oral technical reports, spreadsheets, databases, software, equipment etc.

SECTION VI: REQUIRED QUALIFICATIONS

A. Organizations, firms, research or academic institutions, or persons proposing to bid on this proposal must be qualified and demonstrate a wide range of knowledge and experience in conducting similar projects, especially the portion related to development and implementation of QA/QC and verification procedures for open-path ORS instrumentation. The proposal should demonstrate the following minimum qualifications:
1. Demonstrated knowledge and experience in designing, building, operating open-path DOAS and/or FTIR ORS equipment
2. Demonstrated experience in conducting quality assurance and/or air monitoring instrumentation assessments
3. Demonstrated experience in conducting fenceline and ambient air measurements related to oil refining or other industry
4. Familiarity with South Coast AQMD’s Rule 1180 program and requirements
5. Familiarity with basic refinery operations

The following qualifications are desired
1. Experience with auditing environmental monitoring networks
2. Extensive experience working in collaboration with government agencies and industry

B. Proposer must submit the following:
1. Resumes, CVs, or similar statement of qualifications of project’s lead person(s) and other individuals that will play a major role in this project;
2. List of key personnel assigned to the project by level, name, and qualifications. Specify the estimated time to be spent by the lead person and key persons assigned to the project;
3. List specific portion of the project to be subcontracted (if any). Include all subcontractors and their statement of qualification;
4. Summary of all similar or related projects handled during the last five years demonstrating experience in the project areas with references; and
5. Summary of proposer's general qualifications to meet required qualifications and fulfill statement of work, including additional personnel and resources beyond those of the project's lead person(s).

SECTION VII: PROPOSAL SUBMITTAL REQUIREMENTS

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

Each proposal must be submitted in three separate volumes:

- Volume I - Technical Proposal
- Volume II - Cost Proposal
- Volume III - Certifications and Representations included in Attachment B to this RFP, must be completed and executed by an authorized official of the Contractor.

A separate cover letter including the name, address, and telephone number of the contractor, and signed by the person or persons authorized to represent the Firm should accompany the proposal submission. Firm contact information as follows should also be included in the cover letter:

1. Address and telephone number of office in, or nearest to, Diamond Bar, California.
2. Name and title of Firm's representative designated as contact.

A separate Table of Contents should be provided for Volumes I and II.

VOLUME I - TECHNICAL PROPOSAL

DO NOT INCLUDE ANY COST INFORMATION IN THE TECHNICAL VOLUME

Summary (Section A) - State overall approach to meeting the objectives and satisfying the scope of work to be performed, the sequence of activities, and a description of methodology or techniques to be used.

Program Schedule (Section B) - Provide projected milestones or benchmarks for completing the project (to include reports) within the total time allowed.
Project Organization (Section C) - Describe the proposed management structure, program monitoring procedures, and organization of the proposed team. Provide a statement detailing your approach to the project, specifically address the Firm’s ability and willingness to commit and maintain staffing to successfully complete the project on the proposed schedule.

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

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

1. List all key personnel assigned to the project by level, name and location. Provide a resume or similar statement describing the background, qualifications and experience of the lead person and all persons assigned to the project. Substitution of project manager or lead personnel will not be permitted without prior written approval of South Coast AQMD.

2. Provide a spreadsheet of the labor hours proposed for each labor category at the task level.

3. Provide a statement indicating whether or not 90% of the work will be performed within the geographical boundaries of South Coast AQMD.

4. Provide a statement of education and training programs provided to, or required of, the staff identified for participation in the project, particularly with reference to management consulting, governmental practices and procedures, and technical matters.

5. Provide a summary of your Firm’s general qualifications to meet required qualifications and fulfill statement of work, including additional Firm personnel and resources beyond those who may be assigned to the project.

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

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

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

VOLUME II - COST PROPOSAL

Name and Address - The Cost Proposal must list the name and complete address of the Proposer in the upper left-hand corner.
Cost Proposal – South Coast AQMD anticipates awarding a fixed price contract. Cost information must be provided as listed below:

1. Detail must be provided by the following categories:
   
   A. **Labor** – The Cost Proposal must list the fully-burdened hourly rates and the total number of hours estimated for each level of professional and administrative staff to be used to perform the tasks required by this RFP. Costs should be estimated for each of the components of the work plan.
   
   B. **Subcontractor Costs** - List subcontractor costs and identify subcontractors by name. Itemize subcontractor charges per hour or per day.
   
   C. **Travel Costs** - Indicate amount of travel cost and basis of estimate to include trip destination, purpose of trip, length of trip, airline fare or mileage expense, per diem costs, lodging and car rental.
   
   D. **Other Direct Costs** - This category may include such items as postage and mailing expense, printing and reproduction costs, etc. Provide a basis of estimate for these costs.

2. It is the policy of the South Coast AQMD to receive at least as favorable pricing, warranties, conditions, benefits and terms as other customers or clients making similar purchases or receiving similar services. South Coast AQMD will give preference, where appropriate, to vendors who certify that they will provide "most favored customer" status to the South Coast AQMD. To receive preference points, Proposer shall certify that South Coast AQMD is receiving "most favored customer" pricing in the Business Status Certifications page of Volume III, Attachment B – Certifications and Representations.

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

**SECTION VIII: PROPOSAL SUBMISSION**

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

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

**Due Date** - All proposals are due no later than 5:00 p.m., July 05, 2022, and should be directed to:

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

**Submittal** - Submit four (4) complete copies of the proposal in a sealed envelope, plainly marked in the upper left-hand corner with the name and address of the Proposer and the words "Request for Proposals P2022-13." Please also include one electronic version of the proposal.

**Late bids/proposals will not be accepted under any circumstances.**
Grounds for Rejection - A proposal may be immediately rejected if:

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

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

SECTION IX: PROPOSAL EVALUATION/CONTRACTOR SELECTION CRITERIA

A. Proposals will be evaluated by a panel of three to five South Coast AQMD staff members familiar with the subject matter of the project. The panel shall be appointed by the Executive Officer or his designee. In addition, the evaluation panel may include such outside public sector or academic community expertise as deemed desirable by the Executive Officer. The panel will make a recommendation to the Executive Officer and/or the Governing Board of South Coast AQMD for final selection of a contractor and negotiation of a contract.

B. Each member of the evaluation panel shall be accorded equal weight in his or her rating of proposals. The evaluation panel members shall evaluate the proposals according to the specified criteria and numerical weightings set forth below.

1. Proposal Evaluation Criteria

   a) R&D Projects Requiring Technical or Scientific Expertise, or Special Projects Requiring Unique Knowledge or Abilities

      Understanding the Problem  25
      Technical/Management Approach  25
      Contractor Qualifications  20
      Previous Experience on Similar Projects  20
      Cost  10

      TOTAL  100

   (b) 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 90 points and cost shall be weighted at 10 points. A proposal must receive at least 72 out of 90 points on R & D projects and projects requiring technical or scientific expertise or special projects requiring unique knowledge and abilities, in order to be deemed qualified for award.
4. The lowest cost proposal will be awarded the maximum cost points available and all other cost proposals will receive points on a prorated basis. For example if the lowest cost proposal is $1,000 and the maximum points available are 10 points, this proposal would receive the full 10 points. If the next lowest cost proposal is $1,100 it would receive 9 points reflecting the fact that it is 10% higher than the lowest cost (90% of 10 points = 9 points).

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

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

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

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

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

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

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

J. If proposal submittal is for a Public Works project as defined by State of California Labor Code Section 1720, Proposer is required to include Contractor Registration No. in Attachment B. Proposal submittal will be deemed as non-responsive and Bidder may be disqualified if Contractor Registration No. is not included in Attachment B. Proposer is alerted to changes to California Prevailing Wage compliance requirements as defined in Senate Bill 854 (Stat. 2014, Chapter 28), and California Labor Code Sections 1770, 1771, 1725, 1777, 1813 and 1815.
SECTION X:  FUNDING

The total funding for the work contemplated by this RFP will be a maximum $1,200,000. One or multiple awards may be made, depending on the nature of proposals received and review committee findings. Applicants are encouraged to provide a detailed budget for the cost of the entire project and/or selected portions of the project.

SECTION XI:  SAMPLE CONTRACT

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

PARTICIPATION IN THE PROCUREMENT PROCESS

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

B. Definitions:

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

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

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


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 of 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 Favorable 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 Favorable 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.
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

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

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<td>Division of</td>
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<tr>
<td>Subsidiary of</td>
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<td>Website Address</td>
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</tbody>
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**Type of Business**

- Individual
- DBA, Name____________, County Filed in __________
- Corporation, ID No. __________
- LLC/LLP, ID No. __________
- Other __________

### REMITTING ADDRESS INFORMATION

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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:

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

Percent of ownership: _______%

Name of Qualifying Owner(s): ____________________________________________________________

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

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

______________________________             ________________________________
NAME                                      TITLE

______________________________             ________________________________
TELEPHONE NUMBER                      DATE
Definitions

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

3. Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only one of the following seven boxes.
   - Individual/sole proprietor or single-member LLC
   - Corporation
   - Partnership
   - Trust/estate
   - Limited liability company. Enter the tax classification (e.g., corporation, S corporation, partnership).
   - Other (see instructions)

4. Exemptions (codes apply only to certain entities, not individuals; see instructions on page 2):
   - Exempt payee code (if any)
   - Exemption from FATCA reporting code (if any)

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

6. City, state, and ZIP code.

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

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

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

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

**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 I, later.

**Sign Here**

**Signature of U.S. person**

**Date**

**General Instructions**

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

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

**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 1096-DIV (dividends, including those from stocks or mutual funds)
- Form 1096-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1096-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1096-S (proceeds from real estate transactions)
- Form 1096-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1098-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 filed-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 codes entered on this form (if any) indicating that you are exempt from 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 1441 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 and the partner 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. 516, Withholding of Tax on Nonresident Aliens and Foreign Entities).

Nonresident Alien Who Becomes a Resident Alien. Generally, 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 as from 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.
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 he or she stays in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first Protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship 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, dividends, and proceeds from the sale or redemption of any financial interest or ownership interest (stock, partnership or LLC interest, etc.) except for payments made to certain U.S. persons and certain non-U.S. corporations. Backup withholding applies to payments made to foreign persons (other than U.S. citizens or U.S. resident aliens) and foreign entities.

If you are a recipient of a payment that is subject to backup withholding, you will receive an information statement (Form 1099-INT, Form 1099-DIV, Form 1099-B, or Form 1099-ES) from the payer. The payer must withhold 24% of the amount paid to you and give you Form W-2i, Information Return for Foreign Individuals and Entities, showing that backup withholding was withheld. The payer must also give the IRS the information shown on Form W-2i.

Payments you will receive subject to backup withholding:
1. Distributions of interest from a savings or checking account.
2. Distributions of interest from a certificate of deposit.
3. Distributions of interest from bonds or other securities.
4. Distributions of interest from a financial account, such as a certificate of deposit, individual retirement account, or a bank account.
5. Distributions of interest from any other financial interest.
6. Distributions of dividends from a domestic corporation or a foreign corporation that has some U.S. connection.
7. Distributions of royalties from a domestic corporation or a foreign corporation that has some U.S. connection.
8. Distributions of the proceeds from the sale or exchange of any property.
9. Distributions of the proceeds from the sale or exchange of any property.
10. Distributions of any other income.

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 identified as United States persons. Certain payments are exempt from FATCA reporting. See Exemption from FATCA Reporting, later, for 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 are claiming 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 corporation that喪亡 the status of nonresident alien, 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 the reasonable basis that results in no backup withholding, you are subject to a $500 penalty.
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 choice, the name of the person or entity whose name 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 legal 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.

b. Trust or estate. 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 and 1040S you filled with your application.

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

d. 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.

e. Other entities. Enter any name of the entity 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.

f. 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(b)(i)(A). 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. 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.
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.

<table>
<thead>
<tr>
<th>IF the payment is for...</th>
<th>THEN the payment is exempt for...</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interest and dividend payments</td>
<td>All exempt payees except 7</td>
</tr>
<tr>
<td>Broker transactions</td>
<td>Exempt payees 1 through 4 and 6</td>
</tr>
<tr>
<td></td>
<td>through 11 and all C corporations.</td>
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<td></td>
<td>S corporations must not enter an</td>
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<td></td>
<td>exempt payee code because they</td>
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<tr>
<td></td>
<td>are exempt only for sales of</td>
</tr>
<tr>
<td></td>
<td>not invoiced securities acquired</td>
</tr>
<tr>
<td></td>
<td>prior to 1992.</td>
</tr>
<tr>
<td>Bartor exchange transactions and patronage dividends</td>
<td>Exempt payees 1 through 4</td>
</tr>
<tr>
<td>Payments over $1000 required to be reported and direct sales over $5,000</td>
<td>Generally, exempt payees 1 through 5</td>
</tr>
<tr>
<td>Payments made in settlement of payment card or third party network transactions</td>
<td>Exempt payees 1 through 4</td>
</tr>
</tbody>
</table>

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

2 However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorney’s fees, gross proceeds paid to an attorney reportable under section 6056(e), 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 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 unsure if the financial institution is subject to these requirements. A requestor 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 4947A(a)(1)

M—A tax exempt trust under a section 403(b) plan or section 407(p) 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 return. 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 payer 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 a SSN, your TIN is your IRS Individual Taxpayer Identification Number (ITIN). Enter it in the social security number box. If you do not have 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 a 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. You may also get this form by calling 1-800-772-1213.

Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/Businesses and clicking on Employer Identification Number (EIN) under starting a Business. Go to www.irs.gov/forms to view, download, or print Form W-7 and/or Form SS-4. Or, you can go to www.irs.gov/OrderForms to place an order and have Form W-7 and/or SS-4 mailed to you within 10 business days.

If you are asked to complete Form W-9 but do not have a TIN, apply for one immediately. To apply for an ITIN 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.

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

Part II. Certification

To establish the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be required to sign by the withholding agent even if item 1, 4, or 5 below applies 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 requirement. Complete the certification as indicated in Items 1 through 5 below.
1. Interest, dividend, and barter exchange accounts opened before 1964 and broker accounts considered active during 1963. You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1963 and broker accounts considered inactive during 1963. You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to nontaxable services, payments made in settlment of payment card and third party network transactions, payments to certain farming, fishing, and forest proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured debt, qualification for debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Anchor MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

### What Name and Number To Give the Requester

<table>
<thead>
<tr>
<th>For this type of account:</th>
<th>Give name and SSN of:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Individual</td>
<td>The individual</td>
</tr>
<tr>
<td>2. Two or more individuals (joint account other than an account maintained by an FFI)</td>
<td>The actual owner of the account or, if combined funds, the first individual on the account</td>
</tr>
<tr>
<td>3. Two or more U.S. persons (joint account maintained by an FFI)</td>
<td>Each holder of the account</td>
</tr>
<tr>
<td>4. Custodial account of a minor (Uniform Gift to Minors Act)</td>
<td>The minor</td>
</tr>
<tr>
<td>5. a. The usual revocable savings trust (grantor is also trustee)</td>
<td>The grantor-trustee</td>
</tr>
<tr>
<td>6. So-called trust account that is not a legal or valid trust under state law</td>
<td>The actual owner</td>
</tr>
<tr>
<td>7. Sole proprietorship or disregarded entity owned by an individual</td>
<td>The owner</td>
</tr>
<tr>
<td>8. Grantor trust filing under Optional Form 1099-Filing Method 1 (see Regulations section 1.671-4(b)(2)(ii))</td>
<td>The grantor</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>For this type of account:</th>
<th>Give name and EIN of:</th>
</tr>
</thead>
<tbody>
<tr>
<td>9. Disregarded entity not owned by an individual</td>
<td>The owner</td>
</tr>
<tr>
<td>10. A valid trust, estate, or pension trust</td>
<td>Legal entity</td>
</tr>
<tr>
<td>11. Corporation or LLC electing corporate status on Form 8832 or Form 2553</td>
<td>The corporation</td>
</tr>
<tr>
<td>12. Association, club, religious, charitable, educational, or other tax-exempt organization</td>
<td>The organization</td>
</tr>
<tr>
<td>13. Partnership or multi-member LLC</td>
<td>The partnership</td>
</tr>
<tr>
<td>14. A broker or registered nominee</td>
<td>The broker or nominee</td>
</tr>
</tbody>
</table>

### For this type of account: Give name and EIN of:

1. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or daycare that receives agricultural program payments)

2. The public entity

3. Grantor trust filing under Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(ii))

4. The trust

5. 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.

6. Circle the minor’s name and furnish the minor’s SSN.

7. You must show your individual name and you may also enter your business or class name on the “business names/individuals” line. You may use either your SSN or EIN (if you have none), but the IRS encourages you to use your SSN.

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

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

### Secure Your Tax Records From Identity Theft

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

To reduce your risk:

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

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

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-909-4411 or submit Form 1-4309.

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 1-877-777-4776 or TTY/TDD 1-800-829-4059.

Protect yourself from suspicious emails or phishing schemes. Phishing is the creation and use of emails 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 FIN 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 the email to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at spam@uce.gov or report them at www.ftc.gov/complaint. You can contact the FTC at www.ftc.gov/idtheft or 877-IDTHEFT (877-438-4338). If you have been the victim of identity theft, see www.IdentityTheft.gov and Pub. 5047.

Visit www.irs.gov/identityTheft to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you pay; 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 the tax 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 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 6066, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.
# Withholding Exemption Certificate

**2021**

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

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

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

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

State

ZIP code

## Exemption Reason

Check only one box.

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

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

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

- **Tax-Exempt Entities:**
  - The entity is exempt from tax under California Revenue and Taxation Code (R&TC) Section 23701 ___ (insert letter) or Internal Revenue Code Section 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 Decedent 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&T).
A military servicemember's nonmilitary spouse is considered a nonresident for tax purposes if the servicemember and spouse have the same domicile outside of California and the spouse is in California solely to be with the servicemember who is serving in compliance with Permanent Change of Station orders.

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

Income of a military servicemember's nonmilitary spouse for services performed in California not otherwise includable in income subject to state tax is taxable to the spouse 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 practices for rendering 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 aliens or nonresidents) after the last payment is made. 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 engaged in a 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-Y, Payment Voucher for Resident or Nonresident Withholding.

Internet and Telephone Assistance

Website: ftb.ca.gov

Telephone: 800.452.7711 from within the United States
916.454.5800 from outside the United States
TTY/TDD: 800.877.8339 for persons with hearing or speech disability
711 or 916.735.2939 California relay service

Assistance Por Internet y Teléfono

Sitio web: ftb.ca.gov

Teléfono: 800.356.7711 dentro de los Estados Unidos
916.454.5800 fuera de los Estados Unidos
TTY/TDD: 800.822.6268 para personas con discapacidades auditivas o de habla
711 o 916.735.2939 servicio de relé de California

Additional Information

Website: For more information, go to ftb.ca.gov and search for nonwage.

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

Telephone: 800.452.4900 or 916.454.4500

Withholding Services and Compliance phone service

Fax: 916.454.5512

Mail: WITHHOLDING SERVICES AND COMPLIANCE M S132 FRANCHISE TAX BOARD PO BOX 64367 SACRAMENTO CA 94247-6450

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

Page 2 Form 590 Instructions 2020
Certification Regarding Debarment, Suspension, and Other Responsibility Matters

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

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

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

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

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

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

Typed Name & Title of Authorized Representative

Signature of Authorized Representative Date

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

In accordance with California law, bidders and contracting parties are required to disclose, at the time the application is filed, information relating to any campaign contributions made to South Coast Air Quality Management District (SCAQMD) Board Members or members/alternates of the MSRC, including: the name of the party making the contribution (which includes any parent, subsidiary or otherwise related business entity, as defined below), the amount of the contribution, and the date the contribution was made. 2 C.C.R. §18438.8(b). Where a proposed rule or proposed amended rule impacts three or fewer facilities, those facilities will be treated in much the same manner as contracting parties and so must also complete this form, disclosing information relating to any campaign contributions made to any SCAQMD Board Members. See Quadri Advice Letter (2002) A-02.096.1 In the event that a qualifying campaign contribution is made, the Board Member to whom it was made may be disqualified from participating in the actions involving that donor.

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

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

The list of current SCAQMD Governing Board Members can be found at the SCAQMD website (www.aqmd.gov). 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?

1 The information provided on this form does not, and is not intended to, constitute legal advice. To the extent that you may have questions regarding any case law, citations, or legal interpretations provided above please seek the guidance of your own independent counsel.
☐ Yes  ☐ No  If YES, complete Section II below and then sign and date the form. If NO, sign and date below. Include this form with your submittal.

Campaign Contributions Disclosure, continued:

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

I declare the foregoing disclosures to be true and correct.

By: ________________________________

Title: ______________________________

Date: ______________________________

DEFINITIONS

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

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

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

(A) One business entity has a controlling ownership interest in the other business entity.

(B) There is shared management and control between the entities. In determining whether there is shared management and control, consideration should be given to the following factors:

(i) The same person or substantially the same person owns and manages the two entities;

(ii) There are common or commingled funds or assets;

(iii) The business entities share the use of the same offices or employees, or otherwise share activities, resources or personnel on a regular basis;

(iv) There is otherwise a regular and close working relationship between the entities; or

(C) A controlling owner (50% or greater interest as a shareholder or as a general partner) in one entity also is a controlling owner in the other entity.
Direct Deposit Authorization

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

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

**STEP 2:** Payee Information

<table>
<thead>
<tr>
<th>Last Name</th>
<th>First Name</th>
<th>Middle Initial</th>
<th>Title</th>
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<tr>
<td>Vendor/Contractor Business Name (if applicable)</td>
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<thead>
<tr>
<th>Address</th>
<th>Apartment or P.O. Box Number</th>
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<th>Taxpayer ID Number</th>
<th>Telephone Number</th>
<th>Email Address</th>
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**Authorization**

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

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

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

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

**To be Completed by your Bank**

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<th>Name of Bank/Institution</th>
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<tr>
<th>Account Holder Name(s)</th>
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<th>Routing Number</th>
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<tr>
<th>Bank Representative Printed Name</th>
<th>Bank Representative Signature</th>
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**ACCOUNT HOLDER SIGNATURE:**

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For South Coast AQMD Use Only

Input By ________________________        Date ________________