



# SOUTH COAST AIR QUALITY MANAGEMENT

## DISTRICT REQUEST FOR PROPOSALS

### AUDIT AND TECHNICAL SUPPORT FOR THE

### METEOROLOGICAL MONITORING NETWORK

P2024-06

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 proposals for providing auditing of the meteorological monitoring network in the South Coast Air Basin as well as technical support for the operation and maintenance of South Coast AQMD ceilometers. The meteorological network presently consists of 43 monitoring sites with remote sensing and in-situ meteorological measurements that measure surface wind speed/direction, temperature, pressure, relative humidity, solar radiation, ultraviolet radiation, and internal station temperature. The meteorological network employs tower mounted meteorological sensors and temperature sensors located inside air monitoring stations. The work may expand over the course of the contract to provide audit checks for mobile platform mounted, portable meteorological equipment and sensors, or new air monitoring stations. The ceilometer network measures the mixing layer heights at two locations within the South Coast AQMD jurisdiction. The technical support required for the ceilometer network includes operation, maintenance, data management and analysis tasks, including data processing, archiving, public accessibility, validation, summary and trend reports, event analysis, and streaming of data to the Unified Ceilometer Network (UCN) ceilometer network. The Contractor will be required to coordinate with South Coast AQMD Monitoring and Analysis Division staff. The successful Contractor must demonstrate extensive knowledge of and experience with instruments and networks of ceilometers and surface meteorological measurements systems and associated data management.

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Attachment A - Participation in the Procurement Process

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## **SECTION I: BACKGROUND/INFORMATION**

South Coast AQMD currently operates a network of meteorological stations in support of air quality analyses, forecasting, and regional photochemical modeling and to meet the meteorological measurement requirements of the U.S. Environmental Protection Agency's (U.S. EPA) Photochemical Assessment Monitoring Stations (PAMS), National Core Stations, and Criteria pollutant programs. High quality wind and temperature data are required to provide critical data for research and planning needs which includes daily air quality forecasts, pollution transport assessment, operational forecasts for focused field studies, case study analyses, air toxics analysis, and as inputs to and evaluation of meteorological models used to describe air flows and atmospheric mixing and to drive regional air quality models.

To ensure the meteorological data for South Coast AQMD meets the quality objectives, as well as for the overall objectives of impacted federal programs, South Coast AQMD is seeking a qualified and experienced contractor to perform auditing of meteorological sensors, instruments, and equipment for its current and potential new meteorological monitoring stations. South Coast AQMD is also seeking a qualified and experienced contractor to provide technical assistance in the operation, maintenance, data management and analysis tasks for its ceilometer network, including data processing, archiving, public accessibility, validation, summary and trend reports, event analysis, and streaming of data to the Unified Ceilometer Network (UCN).

The contract will cover the following elements:

### **MET Network**

- Auditing of meteorological sensors, instruments, and equipment including meteorological tower siting and overall condition;
- Routine data quality audit and data evaluation and oversight to ensure operational status;
- Development, implementation, and documentation of auditing standard operating procedures (SOPs) consistent with South Coast AQMD procedures and submitted for review and approval to South Coast AQMD
- Non-routine troubleshooting, field repairs, removal and installation of components, testing, coordinating with utilities and other service or repair vendors;
- Support for instrument demonstrations and special monitoring studies, as needed.
- Additional instrumentation requiring auditing service may be included as funding and needs allow.
- Data analysis support, including episodic or issue analyses, climatological and operational summaries and trends, as funding and needs allow;
- Additional special monitoring data analysis support, including episodic or issue analyses, climatological and operational summaries and trends may be included as funding and needs allow.

### **Ceilometer Network**

- Contractor will provide field support for ceilometers.
- Data management, including collection, archiving, validation, access to and reporting of the data;
- Data communications will be the responsibility of Contractor, with costs reimbursed through the Contract.

### **Administrative**

- Preparation of project and data management documentation.

**SECTION II: CONTACT PERSON:**

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

**Brandon Feenstra, Quality Assurance Manager**  
 South Coast AQMD  
 21865 Copley Drive  
 Diamond Bar, CA 91765-4178  
 (909) 396-2193

**SECTION III: SCHEDULE OF EVENTS**

Date	Event
February 2, 2024	RFP Released
February 21, 2024	Bidder's Conference*
March 8, 2024	Proposals Due to South Coast AQMD - <b>No Later Than 1:00 pm</b>
March 13-20, 2024	Proposal Evaluations
March 23, 2024	Interviews, if required
April 5, 2024	Anticipated Contract Execution

\*Participation in the Bidder's Conference is optional. Such participation would assist in notifying potential Bidders of any updates or amendments. The Bidder's Conference will be held virtually on Zoom at 10:00 am on Wednesday, February 21, 2024. Please contact **Brandon Feenstra** at (909) 396-2193 or [bfeenstra@aqmd.gov](mailto:bfeenstra@aqmd.gov) by close of business on Friday, February 16, 2024 if you plan to attend.

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

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

**SECTION V: STATEMENT OF WORK/SCHEDULE OF DELIVERABLES****Statement of Work**

CONTRACTOR shall provide auditing of the meteorological monitoring network which includes remote sensing and in-situ meteorological measurements and technical support for the Ceilometer network. Auditing and task specific field work will be performed by the CONTRACTOR, both with and without South Coast AQMD staff assistance. The Contract effort will be on a time and materials basis as assigned by the South Coast AQMD PROJECT MANAGER for the Contract, who will be Brandon Feenstra, QA Manager, or other designated staff.

The primary objective is to perform auditing of the South Coast AQMD Meteorological Monitoring Network. The secondary objective is to provide technical support and data management support with operating and maintaining the ceilometer network. There are uncertainties that will influence the actual scope of work for this Contract, including the actual time and costs of implementing changes or corrective actions resulting from the auditing results which may require verification of a corrective action post audit, additions to the meteorological network, and the availability of separate funding for additional equipment, repairs, and other costs. Specific tasks will be defined by the South Coast AQMD PROJECT MANAGER in written communication with CONTRACTOR's point of contact on a routine basis. Required under this contract is the summarization of the collected data, providing data and trend statistics as well as supporting documentation. The contractor will provide data and reports to the project manager in electronic form.

The Contract may include technical advice and research on routine field maintenance and data management tasks, as well as troubleshooting, repair, and performance of auditing. As funding permits, some concentrated short-term efforts may also be undertaken under this Contract, for example, to assist with locating and installing a new or relocated site, decommissioning a site, and developing or augmenting meteorological procedures and providing documentation as necessary.

The CONTRACTOR shall be responsible for coordinating with South Coast AQMD staff, and, as required, other entities, such as property owners/managers and other government agencies for access, permits, frequency allocations, etc. CONTRACTOR shall provide proof of insurance to South Coast AQMD, as delineated in the Insurance Clause of the Contract, prior to commencing work and CONTRACTOR shall comply with any additional insurance requirements imposed by the property owner/manager while working on that property. CONTRACTOR shall follow all security and access requirements mandated by the station property owner/manager and South Coast AQMD staff. CONTRACTOR's staff may need to undergo airfield clearance and driver's training, background checks, testing, fingerprinting and the badging process required by the Department of Homeland Security or the Transportation Security Administration and the airport. Reasonable costs to meet the access requirements will be reimbursable under this Contract with advance written approval by the South Coast AQMD PROJECT MANAGER.

The meteorological instrumentation for this project has been or will be purchased separately by South Coast AQMD, so equipment purchases will generally not be part of this Contract. CONTRACTOR shall provide the appropriate instruments, tools and equipment needed and training of personnel to perform audits and provide data management support, except where the South Coast AQMD may have some specialized tools and expertise that may be used, as

available. Reasonable telephone, cellular or internet provider costs to poll the stations routinely by the CONTRACTOR will be reimbursable through the Contract. Audits will be performed by the CONTRACTOR, with some South Coast AQMD staff assistance available, when needed and pre-arranged.

For all instrumentation, the CONTRACTOR shall keep electronic records for all sensors and include information on calibration dates, audit dates, audit findings, recommendations, serial numbers, South Coast AQMD tag numbers and the current disposition of sensors including the next scheduled audit dates. Such records shall be maintained and provided to the South Coast AQMD PROJECT MANAGER or their designee for review and planning purposes.

### **Task 1: Audit Support for Meteorological Network**

CONTRACTOR shall perform technical systems and/or performance audits of South Coast AQMD surface or tower-mounted meteorological monitoring systems for fixed, temporary, special purpose, AB 617, Rule 1180, and ad hoc sites at the discretion of the South Coast AQMD PROJECT MANAGER and Quality Assurance Manager, on a schedule agreed upon by the South Coast AQMD and CONTRACTOR. Audits shall be conducted using within certification NIST-traceable standards with tolerance limits as established in applicable U.S. EPA program guidelines and/or as established in the U.S. EPA Quality Assurance Handbook for Air Pollution Measurement Systems, Volume IV: Meteorological Measurements and/or the PAMS Technical Assistance Document (TAD). Where guidance is unavailable, criteria documented in other reputable sources may be used with approval of the South Coast AQMD PROJECT MANAGER and Quality Assurance Manager. Air monitoring station visits will be coordinated with the relevant South Coast AQMD station operations staff with disruption of air monitoring station routine operations and data capture minimized. The meteorological audits shall be conducted in accordance to written Standard Operating Procedures (SOPs), developed by the CONTRACTOR, and approved in writing by the South Coast AQMD Quality Assurance Manager. Alternatively, a CONTRACTOR may use a current (within 5 years of last review) approved South Coast AQMD SOP as agreed upon in writing by the CONTRACTOR and the South Coast AQMD Quality Assurance Manager. Complete audit reports shall be submitted to the South Coast AQMD PROJECT MANAGER within 5 business days of audit performance. A complete list of sites and equipment is shown in Table 5.1 and summarized in Table 5.2. The Project Manager will notify the CONTRACTOR in writing of any changes to the MET monitoring network.

Meteorological equipment to be audited includes:

- Winds, currently using conventional anemometers
  - RM Young Model 05305 Wind Monitor AQ propeller aerovane anemometers,
- Pressure
  - Met One Instruments Model 090D ,091 or 092 Barometric and Vaisala PTB110 Pressure Sensors;
- Ambient Temperature (naturally or fan-aspirated radiation shields)
  - Rotronic HC2-S3 or HC2A-S3, Vaisala HMP60, and RM Young 41382VF,
  - Inside shelter:
- Inside Shelter Temperature
  - Vaisala HMP-60, Met One Instruments Model 060A, 060A-2, 064-2, 083C and 592-1 and RM Young 41382VF sensors;
- Relative Humidity
  - Rotronic HC2-S3 or HC2A-S3, Vaisala HMP-60, or RM Young 41382VF sensors;
- Solar Radiation
  - Kipp & Zonen Model CM6B or CMP6 First Class Pyranometer;
  - Licor Model LI-200 Pyranometer

- Ultraviolet Radiation
  - Eppley Laboratory Inc. Model TUVR Total Ultraviolet Radiometer;
- Meteorological Towers
  - (typically at 10 meters above ground level or less);
- Dataloggers
  - Campbell Scientific CR1000 Dataloggers.

CONTRACTOR shall assist South Coast AQMD staff with the preparation or compilation of project support documentation for the South Coast AQMD meteorological stations and associated equipment, upon written approval of the South Coast AQMD Project Manager and as funding allows. Examples of the project support documentation include, but are not limited to:

- Standard operating procedures (SOPs) for auditing and related activity;
- An electronic compilation of field instruments, calibration dates, audit dates, schedules for calibration and audits, and available spare parts, with serial numbers, South Coast AQMD tag numbers, location and repair status;
- A compilation of ceilometer and supporting equipment manuals and training materials;
- Site summaries and metadata for existing stations (including site photographs, location information and maps, obstruction analyses, suitability for the purpose, etc.);
- A compilation of site logs and access to the electronic logbook;
- An overall program project plan that includes auditing activity, site maintenance and data management and integrates quality assurance procedures.

CONTRACTOR shall provide routine assessments of the operation of the meteorological network, including statistical metrics of data capture and climatological and trend summaries.

Monitoring Network (28)														
Site	Wind System	Model	Temp	Model	RH	Model	Indoor Temp	Model	Press	Model	UV	Model	SR	Model
60 NR 60 Near Road	RM Young	5305VP	Rotronic	HC2A-S3	Rotronic	HC2A-S3	Met One	592-1	Met One	090D	N/A		N/A	
ANAH Anaheim	RM Young	5305VP	Rotronic	HC2A-S3	Rotronic	HC2A-S3	Met One	064-2	Met One	091	N/A		N/A	
AHNR Anaheim Near Road	RM Young	5305VP	Rotronic	HC2-S3	Rotronic	HC2-S3	Lab Comp	ATX	N/A		N/A		N/A	
BNAP Banning	RM Young	5305VP	Rotronic	HC2-S3	Rotronic	HC2-S3	Met One	064-2	Vaisala	PTB110	N/A		N/A	
CELA Central LA	RM Young	5305VP	Rotronic	HC2A-S3	Rotronic	HC2A-S3	Met One	083C	Vaisala	PTB110	Eppley Labs	TUVR	Kipp & Zoen	CMP 6
CMPT Compton	RM Young	5305VP	Rotronic	HC2-S3	Rotronic	HC2-S3	Labcomp	ATX	Met One	091	N/A		N/A	
CRES Crestline	RM Young	5305VP	Rotronic	HC2-S3	Rotronic	HC2-S3	Met One	064-2	N/A		N/A		N/A	
ELSI Elsinore	RM Young	5305VP	Rotronic	HC2-S3	Rotronic	HC2-S3	Met One	060A-2	N/A		N/A		N/A	
FONT Fontana	RM Young	5305VP	Rotronic	HC2A-S3	Rotronic	HC2A-S3	Met One	060-A	Met One	090D	N/A		N/A	
GLEN Glendora	RM Young	5305VP	Rotronic	HC2-S3	Rotronic	HC2-S3	Lab Comp	ATX	N/A		N/A		N/A	
INDI Indio	RM Young	5305VP	Rotronic	HC2A-S3	Rotronic	HC2A-S3	RM Young	41342VF	Met One	092	N/A		N/A	
LAHB La Habra	RM Young	5305VP	Rotronic	HC2A-S3	Rotronic	HC2A-S3	Lab Comp	ATX	N/A		N/A		N/A	
LBSH Long Beach Signal Hill	RM Young	5305VP	Rotronic	HC2-S3	Rotronic	HC2-S3	RM Young	na	Met One	092	N/A		N/A	
MLVB Mira-Loma VB	RM Young	5305VP	Rotronic	HC2-S3	Rotronic	HC2-S3	Lab Comp	ATX	Met One	091	N/A		N/A	
NOHO North Hollywood	RM Young	5305VP	Rotronic	HC2-S3	Rotronic	HC2-S3	RM Young	41342VF	N/A		N/A		N/A	
ONNR Ontario Near Road	RM Young	5305VP	Rotronic	HC2-S3	Rotronic	HC2-S3	Met One	592-1	Met One	091	N/A		N/A	
PASA Pasadena	RM Young	5305VP	Rotronic	HC2A-S3	Rotronic	HC2A-S3	Lab Comp	ATX	N/A		N/A		N/A	
PLSP Palm Springs	RM Young	5305VP	Rotronic	HC2-S3	Rotronic	HC2-S3	Met One	060A-2	Met One	091	N/A		N/A	
PICO Pico	RM Young	5305VP	Rotronic	HC2-S3	Rotronic	HC2-S3	Met One	064-2	Met One	091	N/A		N/A	
POMA Pomona	RM Young	5305VP	N/A		N/A		Rotronic	HC2-S3	N/A		N/A		N/A	
RDL D Redlands	RM Young	5305VP	Rotronic	HC2-S3	Rotronic	HC2-S3	Lab Comp	ATX	N/A		N/A		N/A	
RESE Reseda	RM Young	5305VP	Rotronic	HC2-S3	Rotronic	HC2-S3	Met One	060A-2	N/A		N/A		N/A	
RIVR Rubidoux	RM Young	5305VP	Rotronic	HC2-S3	Rotronic	HC2-S3	Lab Comp Met One	ATX 064-2	Met One	091	Eppley Labs	TUVR	Kipp & Zoen	CMP 6
SCLR Santa Clarita	RM Young	5305VP	Rotronic	HC2A-S3	Rotronic	HC2A-S3	RM Young	41382VC	Met One	091	N/A		N/A	
SNBO San Bernardino	RM Young	5305VP	Vasaila	HMP60	Vasaila	HMP60	RM Young	41342VF	N/A		N/A		N/A	
TMCA Temecula	RM Young	5305VP	Rotronic	HC2-S3	Rotronic	HC2-S3	Lab Comp	ATX	N/A		N/A		N/A	
W710 W710	RM Young	5305VP	Rotronic	HC2-S3	Rotronic	HC2-S3	Met One	592-1	N/A		N/A		N/A	
WSLA West LA	RM Young	5305VP	RM Young	41382VF	RM Young	41382VF	Lab Comp	ATX	Met One	091	N/A		N/A	

Rule 1180 (11)														
Site	Wind System	Model	Temp	Model	RH	Model	Indoor Temp	Model	Press	Model	UV	Model	SR	Model
ANTH St. Anthony	N/A		RM Young	41382VF	RM Young	41382VF	RM Young	41342VF	N/A		N/A		N/A	
ELMA Elm Avenue	RM Young	5305VP	RM Young	41382VF	RM Young	41382VF	RM Young	41342VF	N/A		N/A		N/A	
GUEN Guenser Park	RM Young	5305VP	RM Young	41382VF	RM Young	41382VF	RM Young	41342VF	Met One	092	N/A		N/A	
HDSN Hudson	RM Young	5305VP	Rotronic	HC2-S3	Rotronic	HC2-S3	Lab Comp	ATX	N/A		N/A		N/A	
IPRT Inner Port	RM Young	5305VP	RM Young	41382VF	RM Young	41382VF	RM Young	41342VF	Met One	092	N/A		N/A	
JUDS Judson	RM Young	5305VP	Rotronic	HC2-S3	Rotronic	HC2-S3	RM Young	41342VF	N/A		N/A		N/A	
LEEW Leeward Bay	RM Young	5305VP	RM Young	41382VF	RM Young	41382VF	Lab Comp	ATX	N/A		N/A		N/A	
MHAN Manhattan Beach	RM Young	5305VP	RM Young	41382VF	RM Young	41382VF	RM Young	41342VF	Met One	092	N/A		N/A	
SLKE St. Luke	RM Young	5305VP	RM Young	41382VF	RM Young	41382VF	RM Young	41342VF	N/A		N/A		N/A	
UMCW First Methodist	RM Young	5305VP	RM Young	41382VF	RM Young	41382VF	RM Young	41342VF	N/A		N/A		N/A	
WILH Harbor Park	RM Young	5305VP	RM Young	41382VF	RM Young	41382VF	RM Young	41342VF	N/A		N/A		N/A	

AB 617 (4)														
Site	Wind System	Model	Temp	Model	RH	Model	Indoor Temp	Model	Press	Model	UV	Model	SR	Model
GSTR G Street	RM Young	5305VP	Rotronic	HC2-S3	Rotronic	HC2-S3	RM Young	41342VF	Met One	092	N/A		N/A	
HNTF Huntington Park	RM Young	5305VP	RM Young	41382VF	RM Young	41382VF	RM Young	41342VF	N/A		N/A		N/A	
RSCH Resurrection Church	RM Young	5305VP	RM Young	41382VF	RM Young	41382VF	RM Young	41342VF	Met One	090D	N/A		N/A	
SLMZ Saul Martinez	RM Young	5305VP	Rotronic	HC2A-S3	Rotronic	HC2A-S3	Met One	060A-2	N/A		N/A		N/A	

Table 5.1 List of Met Equipment by program and site

Network	Number of Sites	Wind Systems	Temp / RH	Indoor Temp	Pressure	Ultraviolet	Solar Radiation	Ceillometer
<b>Monitoring</b>	28	28	27	28	15	2	2	2
<b>Rule 1180</b>	11	10	11	11	3	0	0	0
<b>AB 617</b>	4	4	4	4	2	0	0	0
<b>Totals</b>	43	42	42	43	20	2	2	2

Table 5.2 Site list summary by type

## **Task 2: Technical Support for Ceilometer Network**

CONTRACTOR shall provide field support including assistance with operating and maintaining the ceilometer network which is currently comprised of two ceilometers located at the Rubidoux and North Hollywood air monitoring stations. Support for Ceilometers under this contract is primarily for ensuring data is collected and reported in adherence to EPA requirements. The two ceilometers to be maintained and supported are Vaisala CL-51 instruments used in the determination of mixing layer height (MLH) also known as the Planetary Boundary Layer (PBL). Established and documented practices and procedures shall be employed, including adherence to, as appropriate, U.S. Environmental Protection Agency meteorological monitoring and quality assurance guidance (e.g., U.S. EPA Quality Assurance Handbook for Air Pollution Measurement Systems, Volume IV: Meteorological Measurements) and the meteorological guidance specified in the PAMS TAD. Examples of the support efforts include, but are not limited to:

- Assistance with new site research, planning, permitting, procurement and preparations, if changes to the existing network are needed;
- Installation of new, upgraded or repaired instrumentation;
- Manage ceilometer data upload to the US EPA designated repository;
- Instrument testing;
- Ceilometer calibration checks and instrument alignment;
- Ceilometer troubleshooting and repairs;
- Data archiving;
- Establishment of ceilometer data reporting to the US EPA ceilometer data repository;
- Data reporting to the South Coast AQMD meteorological data site

## **Task 3: Enhanced Support and Analysis for Special Project Assignments**

South Coast AQMD may request that the CONTRACTOR assist with more complex data validation efforts, as needed and as funding allows. Upon written approval of the South Coast AQMD PROJECT MANAGER and as funding permits, CONTRACTOR shall assist South Coast AQMD with development and implementation of enhanced routine data validation for the meteorological network. This effort will use graphical data displays and editing software to view and flag data. Software and procedures developed by the CONTRACTOR under this effort shall be documented and provided to South Coast AQMD. The enhanced data review and validation effort will include the following data validation procedures to the level requested by South Coast AQMD:

- *Level 0 Data Validation* – Automated screening of the collected surface/meteorological and ceilometer data, flagging for possible out-of-range, sticking or unusual rate-of-change conditions;
- *Level 1.0 Data Validation* – Data reviews for internal consistency and data that appears out of place as compared with the entire data set and the reviewer's knowledge of the local meteorological patterns;
- *Level 2.0 Data Validation* – External consistency comparisons of the data with similar data collected from instrumentation from collocated and nearby sites (Level 2.0 data validation); comparisons of the meteorological data with historical data by an experienced meteorologist, verifying consistency over time;

Other potential enhanced data management tasks may include the development of project databases for specific studies such as those supporting AB 617 or Rule 1180 monitoring, data requests, or the tracking of instrument calibration factors and calibration results. As funding allows and upon written approval of the South Coast AQMD PROJECT MANAGER,

CONTRACTOR shall also provide non-routine analyses of meteorological data used in support of South Coast AQMD air quality data analyses, forecasting efforts, and special studies.

## Schedule of Deliverables

- **Maintenance and Repair Reports**  
 CONTRACTOR shall document and maintain, as part of auditing activity, routine station maintenance, upgrade, and repair reports, as well as on-site or remote site checks/audits through the electronic site log. Contractor shall document each station visit and summarize the purpose of each visit in the bound station visit logbook located at each site.
- **Progress Reports**  
 CONTRACTOR shall provide written progress reports of the auditing and data management efforts by email quarterly, or other period as agreed upon by the South Coast AQMD PROJECT MANAGER in writing. This shall briefly summarize the efforts and accomplishments over the time period since the last report, including station and instrument status, maintenance issues, corrective actions, comments and recommendations. These progress reports shall quarterly summarize overall Contract effort and funding status, including network auditing and data management tasks.
- **Data Analysis Reports**  
 CONTRACTOR shall provide audited data analysis reports during the term of the Contract, with the schedule and content approved by the South Coast AQMD PROJECT MANAGER in writing and as funding allows. The audit data analysis report shall include operational summary information such as: data capture statistics; site checks, maintenance, and repair frequencies; comments and recommendations. As funding allows and upon written approval of the South Coast AQMD PROJECT MANAGER, the data analysis reports may also include meteorological data summaries and statistics to provide monthly, seasonal, or annual information on the parameters measured. Examples of these data statistics and summaries include but are not limited to: wind roses for various levels from tower-mounted anemometers and other wind measurement systems; mixing layer height analyses, transport statistics; and diurnal averages.
- **Database Updates**  
 CONTRACTOR shall provide periodic updates to the historic meteorological databases, to including any audited, reviewed, and validated meteorological data if enhanced data management procedures are implemented. The update shall be provided in an electronic media, preferably in a relational database. CONTRACTOR shall provide database updates on a schedule approved in writing by the South Coast AQMD PROJECT MANAGER.
- **Web Data and Electronic Station Log Access**  
 CONTRACTOR shall provide and maintain continual web-based access to current and historical data, including graphic displays and access to downloadable files. Electronic site log shall be maintained and made accessible to the South Coast AQMD staff.
- **Audit Documentation**  
 CONTRACTOR shall provide electronic audit documentation, as approved, and developed under Task 1.

**Sample Work Plan Guidance for RFP #P2024-06**

The exact scope of work for this contract cannot be completely determined in advance, since this effort is to provide auditing of the MET network, support for the ceilometer network, and meteorological data analysis as needed. Additionally, ongoing efforts involving field stations and MET Network may result in additions, reductions, and changes in operational priorities. The main objective is to provide auditing of the South Coast AQMD Meteorological Monitoring Network and then to also provide ceilometer technical support, data reporting, and data reviews. The scope of potential activity includes established fixed ambient air monitoring sites, AB 617, Rule 1180, temporary, special purpose, and ad hoc meteorological monitoring sites with limited South Coast AQMD staff availability. The following sample work plan, in conjunction with the above statement of work, is designed to provide a mechanism for a Bidder to meet the RFP technical and cost proposal requirements and to provide a consistent method of bid comparison. The actual contract effort and time may differ, but these tasks are very likely to be involved in the performance of this contract. Please use these assumptions to provide project management, staff allocation and cost detail by task for your response to this RFP, as outlined in SECTION VII: Proposal Submittal Requirements. For a one-year period starting at contract execution (tentatively starting February 2024), please provide a basis of estimates and cost detail, including estimated travel time, anticipated mileage rates, travel-related expenses and other expenses. Also, please provide the maximum percentage increases to the rate schedule for the following three years (2025, 2026, and 2027). Table 1 summarizes some of the resources estimated by the South Coast AQMD for the sample work plan. Please explain any proposed deviations, variances, or alternatives deviating from the sample work plan.

For the purpose of this bid cost response, the Bidder should assume five days of staff time will be needed for each person requiring unescorted access to Banning airport. This includes training, fingerprinting, background checks, study time, testing and badging at this airport. Assume that the routine efforts continue for a one-year period and account for any anticipated rate increases during that period. Also, assume that each station will have a full complement of tower-mounted meteorological sensors.

**Sample Work Plan Task S1: Audit Support for Meteorological Network****S1. Audit Support for Meteorological Network**

CONTRACTOR agrees to perform technical systems and/or performance audits of South Coast AQMD surface or tower-mounted meteorological monitoring systems for fixed, temporary, special purpose, AB 617, Rule 1180, and ad hoc sites at the discretion of the South Coast AQMD PROJECT MANAGER and Quality Assurance Manager, on a schedule agreed upon by the South Coast AQMD and CONTRACTOR. CONTRACTOR agrees that audits shall be conducted using within certification NIST-traceable standards with tolerance limits as established in applicable U.S. EPA program guidelines as established in the U.S. EPA Quality Assurance Handbook for Air Pollution Measurement Systems, Volume IV: Meteorological Measurements and/or the PAMS TAD. Where guidance is unavailable criteria documented from other sources may be used with approval of the South Coast AQMD PROJECT MANAGER and Quality Assurance Manager. CONTRACTOR agrees that air monitoring station visits will be coordinated with the relevant South Coast AQMD station operations staff with disruption of air monitoring station routine operations and data capture minimized. These meteorological audits shall be conducted according to written Standard Operating Procedures (SOPs), developed by the CONTRACTOR, and approved in writing by the South Coast AQMD Quality Assurance Manager. Alternatively, CONTRACTOR agrees to use a current (within 5 years of last review) approved South Coast AQMD SOP as agreed upon in writing by the CONTRACTOR and the South Coast AQMD Quality Assurance Manager. CONTRACTOR agrees that complete audit reports shall be submitted to the South Coast AQMD PROJECT MANAGER and the Quality Assurance Manager within 5 business days

of audit performance.

CONTRACTOR shall visit each Monitoring Network site at least twice annually approximately  $6 \pm 1$  months apart to audit each station over the duration of the Contract. Contractor shall visit each AB 617 and Rule 1180 monitoring station at least once annually to audit each station over the duration of the Contract. *<Please include estimated cost detail and staffing needs, including travel expenses and time from Contractor's base of operations. This effort should include data backups, checking of all electronics and operations, station housekeeping, and logging of station visits in an electronic station log. This task requires visiting approximately 28 sites twice a year and 14 sites once a year. The typical on-site audit takes approximately 2-3-hrs on-site for the appropriate personnel, plus preparation time and travel time and cost, taking into consideration Contractor's base of operations.>*

CONTRACTOR agrees to review documentation of any system or performance audits of the South Coast AQMD meteorological stations and recommend remedies for noted deficiencies. CONTRACTOR agrees to periodically consolidate and provide all historical data to South Coast AQMD. This shall be the most complete database, including both raw form and processed data, with capacity for future validation efforts. During the contract period, CONTRACTOR shall assist with public data requests for the historic data or real-time data access, as approved by the South Coast AQMD PROJECT MANAGER.

## **Sample Work Plan Task S2: Technical Support for Ceilometer Network**

### **S2. Technical Support for Ceilometer Network**

CONTRACTOR agrees to provide technical support including assistance with operating and maintaining the ceilometer network which includes ceilometers located at the Rubidoux and North Hollywood air monitoring stations. CONTRACTOR will strive to ensure data is collected and reported in adherence to EPA requirements. CONTRACTOR agrees to use established and documented practices and procedures which adhere to, as appropriate, U.S. Environmental Protection Agency meteorological monitoring and quality assurance guidance (e.g., U.S. EPA Quality Assurance Handbook for Air Pollution Measurement Systems, Volume IV: Meteorological Measurements) and the meteorological guidance specified in the PAMS Technical Assistance Document (TAD).

CONTRACTOR agrees to assist South Coast AQMD staff with the preparation or compilation of project support documentation for the South Coast AQMD ceilometer network.

CONTRACTOR shall provide routine assessments of the operation of the ceilometer network, including statistical metrics of data capture and trend summaries. As funding allows and upon written approval of the South Coast AQMD PROJECT MANAGER, CONTRACTOR shall also provide non-routine analyses of ceilometer data used in support of South Coast AQMD air quality data analyses, forecasting efforts, and special studies.

CONTRACTOR agrees to make current and historical data from the ceilometer network available on the Unified Ceilometer Network (UCN) after being approved by South Coast AQMD. Contractor shall provide data to South Coast AQMD available on a website. This shall include both graphic displays of the data and access to downloadable files.

*Bidder shall recommend the schedule and level of effort for this task and provide a basis for the staffing and cost estimates.*

### **S3. Enhanced Data Management**

CONTRACTOR agrees to provide routine assessments of the operation of the meteorological network including statistical metrics of data capture and climatological and

trend summaries, at least annually and as requested. For purposes of this proposal, Bidder shall include cost estimates for this effort.

Contractor acknowledges the South Coast AQMD may request that the CONTRACTOR assist with more complex data validation efforts, as needed and as funding allows. CONTRACTOR agrees that upon written approval of the South Coast AQMD PROJECT MANAGER and as funding permits, CONTRACTOR shall assist South Coast AQMD with development and implementation of enhanced routine data validation for the meteorological network. *<Based on Section 3. above, the Bidder should recommend a level of routine data validation and the associated cost breakdown for South Coast AQMD consideration.>*

**Table S-1: Summary of Estimated Resources Specified for the 1-Year Sample Work Plan**

Task		Minimum Number of Personnel*	Estimated Minimum Number of Field Station Visits and (Minimum Hours Onsite per Visit)*
S1	Routine Auditing	1	70 site visits (3 hour/visit)
	Non-Routine Site Visits	1	10 (3 hours)
	Routine Data Management	1+	(as bid)
	Field Project Documentation	1+	(as bid)
S2	Ceilometer Support	1	4 (3 hours)
	Data Management/telemetry services	1	(as bid)
S3	Enhanced Data Management	1+	(as bid)
	Data Analysis	1+	(as bid)
Total			

\* Estimated minimum number of personnel needed and the number of field visits over a one-year period are provided as guidance for preparing the cost proposal and may not represent the actual or Bidder's proposed effort under this contract (differences should be justified). Please estimate fully burdened costs for appropriate preparation, travel, and task labor hours with rates for appropriate staff needed for various project personnel in the cost proposal, including administrative and management costs, related travel expenses, training, and any other expected expenses.

## **SECTION VI: REQUIRED QUALIFICATIONS**

- A. Persons or firms proposing to bid on this request for proposals must be qualified and experienced in the implementation and management of meteorological measurement instrumentation, air monitoring stations, meteorological networks and data. Bidders must submit qualifications demonstrating this ability in cases involving the following areas:
  1. Management, validation and dissemination of data from meteorological and air quality instrumentation and networks;
  2. Installation, operation, maintenance, auditing, and calibration of various surface, tower-mounted and remote-sensing meteorological instruments, including: temperature,

pressure, relative humidity, wind, precipitation, ultraviolet radiation and solar radiation sensors and ceilometers;

3. Surface meteorological data analysis and statistical evaluation;
4. Technical evaluation, troubleshooting programming and operation of electronic systems, computer hardware, software, data communications systems, and data loggers;
5. Programming support including web page development for historical data access and graphic display of air quality meteorological parameters.

Generally, contractor shall provide their own vehicles and the appropriate instruments, tools and equipment needed to perform the field and data management support.

B. Proposer must submit the following:

1. A summary of the project objectives.
2. A Technical Proposal outlining a plan for performing the efforts described in the Statement of Work and Sample Work Plan (Section V).
3. A summary of the project's organization, management, and staffing.
4. Summary of proposer's general qualifications to meet required qualifications and fulfill the statement of work, including additional Firm personnel and resources beyond those of the designated lead personnel.
5. Resumes or similar statement of qualifications of person or persons who may be designated as project managers and lead or key personnel for the various efforts of this project, including any subcontractors.
6. Summary of related experience during the last five years demonstrating ability to advise South Coast AQMD staff and provide the type of field and data management support that are needed for this effort.
7. List of representative clients, along with project contact references.
8. A list of the facilities and equipment available to Bidder to perform the work, including any specialized tools or calibration equipment deemed significant to the effort.

A Cost Proposal following the requirement in Section VII that outline the hourly rates for each person or staffing level that will be use over this project. The rate schedule shall include rates for a one-year contract period commencing April 2024. The bidder shall also include an annual rate schedule increase percentage, not to be exceeded, for each of the three future-year (2025, 2026, and 2027) annual contract renewals that may be approved for this contract. (Note that this is typically no more that 4% per year, compounded, for existing similar South Coast AQMD contracts

## **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 time and materials 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)

COMPLETE CERTIFICATIONS AND REPRESENTATIONS MUST BE INCLUDED IN YOUR PROPOSAL (per Attachment B)

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

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

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

Due Date - **All proposals are due no later than 1:00 p.m., March 8, 2024 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 P2024-06."

**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 SCAQMD 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 Work to be Performed	10
Technical/Management Approach	20
Contractor Qualifications	20
Previous Experience on Similar Projects	20
Cost	<u>30</u>
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. 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 30 points, this proposal would receive the full 30 points. If the next lowest cost

proposal is \$1,100 it would receive 27 points reflecting the fact that it is 10% higher than the lowest cost (90% of 30 points = 27 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),**

Before execution of the Contract, the Contractor shall file surety bonds in the amounts and for the purpose specified in the Request for Proposal (RFP). Bonds shall be issued by a surety who is listed in the latest version of U.S. Department of Treasury Circular 570, who is authorized to issue bonds in California, and whose bonding limitation shown in said circular is sufficient to provide bonds in the amount required by the Contract shall be approved by South Coast AQMD. Bonds from all other sureties shall be accompanied by all of the documents enumerated in the Code of Civil Procedure, Section 995.660a).

Each bond shall incorporate, by reference, the Contract and be signed by both the Bidder and Surety. The signature of the authorized agent of the Surety shall be notarized. The Contractor shall provide 2 good and sufficient surety bonds.

#### PERFORMANCE BOND

The Performance Bond shall be for 100 percent of the Contract Price to guaranty faithful performance of all work, within the time prescribed, in a manner satisfactory to South Coast AQMD, and that all materials and workmanship will be free from original or developed defects. The bond must remain in effect until the end of all warranty periods as set forth in the Contract Documents

The selected Contractor shall be required to furnish and pay all bond premiums, costs and incidentals listed below.

Should any bond become insufficient, the Contractor shall renew the bond within 10 Days after receiving notice from South Coast AQMD.

Should any surety at any time be unsatisfactory to South Coast AQMD, notice to the effect will be given to the Contractor. No further payments shall be deemed due or will be made under the Contract until a new surety qualifies and is accepted by South Coast AQMD.

Changes in the Project or extension of time, made pursuant to the Contract, shall in no way release the Contractor or Surety from the obligation. Notice of such changes or extensions shall be waived by the Surety.

#### PAYMENT BOND

Within fourteen days after execution of the Contract by South Coast AQMD and prior to performing any work under the Contract, the CONTRACTOR shall file with South Coast AQMD, a Payment Bond (material and labor bond) in an amount equal to one hundred (100) percent of the contract price, to satisfy claims of material suppliers and of mechanics and laborers employed by the Contractor to perform the work.

The Payment Bond shall be not for less than 100 percent of the Contract price, to satisfy claims of material suppliers and mechanics and laborers employed on the Project. The Bond shall be maintained by the Contractor in full force and effect until the performance of the Contract is accepted by South Coast AQMD and until all claims for materials and labor are paid, and otherwise comply with the Civil Code. Contractor shall provide South Coast AQMD with Conditional Lien Releases with each payment request and Unconditional Lien Releases for the final payment for all material suppliers, mechanics and laborers employed on the Project.

1. UNSATISFACTORY SURETIES - Should any Surety, at any time, be deemed unsatisfactory by South Coast AQMD, notice will be given to the Contractor to that effect. No further payments shall be deemed due, or will be made under the Contract until a new Surety shall qualify and be accepted by South Coast AQMD.
2. EFFECT OF CHANGES IN THE WORK/EXTENSIONS OF TIME ON THE SURETY Changes in the work, or extensions of time, made pursuant to the Contract, shall in no way release the Contractor or the Surety from their obligations under the bond. Notice of such changes or extensions shall be waived by the Surety.

## **SECTION X: FUNDING**

The total funding for the work contemplated by this RFP will be a maximum of \$60,000 for the base year with an option to renew the contract for three subsequent years for an estimated amount of up to \$60,000 per year, depending upon available funding and contractor performance. Work will be defined on a time and materials basis or by individual task orders for specific efforts, as determined through communications with the South Coast AQMD project coordinator for this contract.

## **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.
    - 2) Classified between Codes 311000 and 339000, inclusive, of the North American Industrial Classification System (NAICS) Manual published by the United States Office of Management and Budget, 2007 edition.
6. "Joint ventures" as defined in this policy pertaining to certification means that one party to the joint venture is a DVBE or small business and owns at least 51 percent of the joint venture.
7. "Zero or Near-Zero Emission Vehicle Business" as used in this policy means a company or contractor that uses Zero or Near-Zero emission vehicles in conducting deliveries to South Coast AQMD. Zero or Near-Zero emission vehicles

include vehicles powered by electric, compressed natural gas (CNG), liquefied natural gas (LNG), liquefied petroleum gas (LPG), ethanol, methanol and hydrogen and are certified to 90% or lower of the existing standard.

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

a Historically Underutilized Business (HUB) Zone Small Business Concern, or a concern under a successor program.

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

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

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

**ATTACHMENT B  
CERTIFICATIONS & REPRESENTATIONS**



## **South Coast Air Quality Management District**

21865 Copley Drive, Diamond Bar, CA 91765-4178

(909) 396-2000 • [www.aqmd.gov](http://www.aqmd.gov)

### **Business Information Request**

Dear South Coast AQMD Contractor/Supplier:

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

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

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

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

Sincerely,

Sujata Jain  
Chief Financial Officer

DH:jn

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



# South Coast Air Quality Management District

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

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

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

**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  
Local business  
Minority-owned Business Enterprise

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

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

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

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

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

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

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

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

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

## **Definitions**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Form <b>W-9</b> (Rev. October 2018) Department of the Treasury Internal Revenue Service	<b>Request for Taxpayer Identification Number and Certification</b> ▶ Go to <a href="http://www.irs.gov/FormW9">www.irs.gov/FormW9</a> for instructions and the latest information.	Give Form to the requester. Do not send to the IRS.
<b>1</b> Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.		
<b>2</b> Business name/disregarded entity name, if different from above		
<b>3</b> Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only <b>one</b> of the following seven boxes.	<b>4</b> Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):	
<input type="checkbox"/> Individual/sole proprietor or single-member LLC	Exempt payee code (if any)	
<input type="checkbox"/> C Corporation	Exemption from FATCA reporting code (if any)	
<input type="checkbox"/> S Corporation	(Applies to accounts maintained outside the U.S.)	
<input type="checkbox"/> Partnership	Requester's name and address (optional)	
<input type="checkbox"/> Trust/estate	City, state, and ZIP code	
<input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ▶	List account number(s) here (optional)	
<b>Note:</b> Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is <b>not</b> disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.		
<input type="checkbox"/> Other (see instructions) ▶		

### 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.

Social security number	
<div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 2px;"></div> <div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 2px;"></div> <div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 2px;"></div>	<div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 2px;"></div> <div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 2px;"></div> <div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 2px;"></div>
or	
Employer identification number	
<div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 2px;"></div> <div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 2px;"></div> <div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 2px;"></div>	<div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 2px;"></div> <div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 2px;"></div> <div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 2px;"></div>

### Part II Certification

Under penalties of perjury, I certify that:

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

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

<b>Sign Here</b>	Signature of U.S. person ▶	Date ▶
------------------	----------------------------	--------

### General Instructions

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

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

### Purpose of Form

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

- Form 1099-INT (Interest earned or paid)

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
  - Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
  - Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
  - Form 1099-S (proceeds from real estate transactions)
  - Form 1099-K (merchant card and third party network transactions)
  - Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
  - Form 1099-C (canceled debt)
  - Form 1099-A (acquisition or abandonment of secured property)
- Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.
- If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See *What is backup withholding*, later.

By signing the filled-out form, you:

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

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

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

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

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

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

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

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

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

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

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

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

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

## Backup Withholding

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

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

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

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

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

Also see *Special rules for partnerships*, earlier.

## What is FATCA Reporting?

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

## Updating Your Information

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

## Penalties

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

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

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

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

## Specific Instructions

### Line 1

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

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

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

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

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

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

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

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

### Line 2

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

### Line 3

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

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

### Line 4, Exemptions

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

#### Exempt payee code.

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

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

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

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

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

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

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

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

A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)

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

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

D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i)

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

F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state

G—A real estate investment trust

H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940

I—A common trust fund as defined in section 584(a)

J—A bank as defined in section 581

K—A broker

L—A trust exempt from tax under section 664 or described in section 4947(a)(1)

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

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

## Line 5

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

## Line 6

Enter your city, state, and ZIP code.

## Part I. Taxpayer Identification Number (TIN)

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

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

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

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

**How to get a TIN.** If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at [www.SSA.gov](http://www.SSA.gov). You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at [www.irs.gov/Businesses](http://www.irs.gov/Businesses) and clicking on Employer Identification Number (EIN) under Starting a Business. Go to [www.irs.gov/Forms](http://www.irs.gov/Forms) to view, download, or print Form W-7 and/or Form SS-4. Or, you can go to [www.irs.gov/OrderForms](http://www.irs.gov/OrderForms) to place an order and have Form W-7 and/or SS-4 mailed to you within 10 business days.

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

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

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

## Part II. Certification

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

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

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

**1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.** You must give your correct TIN, but you do not have to sign the certification.

**2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.** You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

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

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

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

## What Name and Number To Give the Requester

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

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

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

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

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

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

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

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

## Secure Your Tax Records From Identity Theft

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

To reduce your risk:

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

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

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

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

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

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

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

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

If you receive an unsolicited email claiming to be from the IRS, forward this message to [phishing@irs.gov](mailto:phishing@irs.gov). You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at [spam@uce.gov](mailto:spam@uce.gov) or report them at [www.ftc.gov/complaint](http://www.ftc.gov/complaint). You can contact the FTC at [www.ftc.gov/idtheft](http://www.ftc.gov/idtheft) or 877-IDTHEFT (877-438-4338). If you have been the victim of identity theft, see [www.IdentityTheft.gov](http://www.IdentityTheft.gov) and Pub. 5027.

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

## Privacy Act Notice

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

TAXABLE YEAR

CALIFORNIA FORM

**2021 Withholding Exemption Certificate****590**

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

**Withholding Agent Information**

Name

**Payee Information**

Name

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

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

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

State ZIP code

**Exemption Reason****Check only one box.**

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

☐ **Individuals — Certification of Residency:**

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

☐ **Corporations:**

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

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

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

☐ **Tax-Exempt Entities:**

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

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

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

☐ **California Trusts:**

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

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

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

☐ **Nonmilitary Spouse of a Military Servicemember:**

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

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

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

Type or print payee's name and title

Telephone

Payee's signature ►

Date

# 2021 Instructions for Form 590

## Withholding Exemption Certificate

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

### General Information

California Revenue and Taxation Code (R&TC) Section 18662 requires withholding of income or franchise tax on payments of California source income made to nonresidents of California. For more information, See General Information B, Income Subject to Withholding.

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

### A Purpose

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

Form 590 does not apply to payments of backup withholding. For more information, go to [ftb.ca.gov](http://ftb.ca.gov) and search for **backup withholding**.

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

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

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

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

### B Income Subject to Withholding

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

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

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

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

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

### C Who Certifies this Form

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

An incomplete certificate is invalid and the withholding agent should not accept it. If the withholding agent receives an incomplete certificate, the withholding agent is required to withhold tax on payments made to the payee until a valid certificate is received. In lieu of a completed exemption certificate, the withholding agent may accept a letter from the payee as a substitute explaining why they are not subject to withholding. The letter must contain all the information required on the certificate in similar language, including the under penalty of perjury statement and the payee's taxpayer identification number (TIN).

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

If an entertainer (or the entertainer's business entity) is paid for a performance, the entertainer's information must be provided.

**Do not** submit the entertainer's agent or promoter information.

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

### D Definitions

For California nonwage withholding purposes:

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

For more information about determining resident status, get FTB Pub. 1031, Guidelines for Determining Resident Status. Military servicemembers have special rules for residency. For more information see General Information E, Military Spouse Residency Relief Act (MSRRA), and FTB Pub. 1032, Tax Information for Military Personnel.

#### Permanent Place of Business:

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

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

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

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

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

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

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

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

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

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

## Specific Instructions

### Payee Instructions

Enter the withholding agent's name.

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

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

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

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

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

### Withholding Agent Instructions

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

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

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

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

## Additional Information

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

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

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

**Fax:** 916.845.9512

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

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

## Internet and Telephone Assistance

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

**Telephone:** 800.852.5711 from within the United States  
916.845.6500 from outside the United States

**TTY/TDD:** 800.822.6268 for persons with hearing or speech disability  
711 or 800.735.2929 California relay service

## Asistencia Por Internet y Teléfono

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

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

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

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

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

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

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

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Typed Name & Title of Authorized Representative

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Signature of Authorized Representative Date

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

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## CAMPAIGN CONTRIBUTIONS DISCLOSURE

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

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

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

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

### **SECTION I.**

**Contractor (Legal Name):** \_\_\_\_\_

DBA, Name \_\_\_\_\_, County Filed in \_\_\_\_\_

Corporation, ID No. \_\_\_\_\_

LLC/LLP, ID No. \_\_\_\_\_

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

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:**

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

\_\_\_\_\_  
Governing Board Member or MSRC Member/Alternate

\_\_\_\_\_  
Amount of Contribution

\_\_\_\_\_  
Date of Contribution

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

\_\_\_\_\_  
Governing Board Member or MSRC Member/Alternate

\_\_\_\_\_  
Amount of Contribution

\_\_\_\_\_  
Date of Contribution

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

\_\_\_\_\_  
Governing Board Member or MSRC Member/Alternate

\_\_\_\_\_  
Amount of Contribution

\_\_\_\_\_  
Date of Contribution

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

\_\_\_\_\_  
Governing Board Member or MSRC Member/Alternate

\_\_\_\_\_  
Amount of Contribution

\_\_\_\_\_  
Date of Contribution

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

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

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

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

#### **DEFINITIONS**

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

- (1) Parent subsidiary. A parent subsidiary relationship exists when one corporation directly or indirectly owns shares possessing more than 50 percent of the voting power of another corporation.
- (2) Otherwise related business entity. Business entities, including corporations, partnerships, joint ventures and any other organizations and enterprises operated for profit, which do not have a parent subsidiary relationship are otherwise related if any one of the following three tests is met:
  - (A) One business entity has a controlling ownership interest in the other business entity.
  - (B) There is shared management and control between the entities. In determining whether there is shared management and control, consideration should be given to the following factors:
    - (i) The same person or substantially the same person owns and manages the two entities;
    - (ii) There are common or commingled funds or assets;
    - (iii) The business entities share the use of the same offices or employees, or otherwise share activities, resources or personnel on a regular basis;
    - (iv) There is otherwise a regular and close working relationship between the entities; or
  - (C) A controlling owner (50% or greater interest as a shareholder or as a general partner) in one entity also is a controlling owner in the other entity.