

BOARD MEETING DATE: April 7, 2017

AGENDA NO. 6

PROPOSAL: Adopt Resolution Recognizing Funds and Accepting Terms and Conditions for FY 2016-17 Carl Moyer Program Award and Issue Program Announcements for Carl Moyer Program and SOON Provision

SYNOPSIS: These actions are to adopt a resolution recognizing up to \$26 million in Carl Moyer Program grant awards from CARB under SB 1107 with its terms and conditions for FY 2016-17 and to approve the release of Program Announcements for the FY 2016-17 “Year 19” Carl Moyer Program and SOON Provision to provide incentive funding for low emitting on- and off-road vehicles and equipment. This action is to also approve a name correction for an award recipient under the Carl Moyer Program.

COMMITTEE: Technology, March 17, 2017; Recommended for Approval

RECOMMENDED ACTIONS:

1. Adopt the attached resolution recognizing upon receipt up to \$26 million from CARB into the Carl Moyer Program SB 1107 Fund (32) and accepting terms and conditions of the FY 2016-17 Carl Moyer grant award.
2. Issue Program Announcement #PA2017-04 to solicit projects for the FY 2016-17 “Year 19” Carl Moyer Memorial Air Quality Standards Attainment Program.
3. Issue Program Announcement #PA2017-06 to solicit projects for the SOON Provision.
4. Approve a name correction for a FY 2015-16 “Year 18” Carl Moyer Program award recipient from Dilman’s Crystal Pacific to Crystal Pacific, LLC.

Wayne Nastri
Executive Officer

Background

The Carl Moyer Memorial Air Quality Standards Attainment Program (CMP) and the Surplus Off-Road Opt-in for NO_x (SOON) Provision provide incentive funding for the incremental cost of purchasing cleaner than required engines and equipment. Both programs are funded with the Carl Moyer Program SB 1107 and AB 923 funds. This is the 19th year of the CMP and the 13th year of the SOON program with funding from SB 1107 and AB 923.

Proposal

This action is to adopt the attached resolution recognizing upon receipt up to \$26 million from CARB into the Carl Moyer Program SB 1107 Fund (32) for implementation of the FY 2016-17 “Year 19” CMP and accepting the terms and conditions of the FY 2016-17 Carl Moyer Grant award. CARB has tentatively allocated \$25,444,077 to the SCAQMD. Of this amount, \$23,853,822 is designated for projects funding and \$1,590,255 for administrative and outreach efforts. In addition, \$3,816,612 is required from the SCAQMD as the local match, which will be provided from AB 923 funds.

This action is to also issue Program Announcements (PA) #PA2017-04 and #PA2017-06 for the Carl Moyer Program and the SOON Provision, respectively. The approximate amounts of available funding are \$24 million for the Carl Moyer Program and \$4 million for the SOON Provision. Additional funds may become available by the time of award approval, upon which more projects will be awarded up to the total amount of funds available. A detailed account of available funds from the Carl Moyer Program Fund, including earned interest and the split between the SB 1107 and the AB 923 funds, will be outlined at the time of award recommendations.

The Carl Moyer PA solicits projects for on-road vehicles, off-road vehicles of small and medium-sized fleets, locomotives, marine and port applications and other vehicles and equipment. The SOON Provision PA solicits projects for off-road vehicles in large fleets. As in previous years, SCAQMD will only fund diesel-to-diesel applications when alternative fuel engines/vehicles are not commercially available or certified by CARB, except for emergency vehicles.

Based on the provisions of SB 513 approved by the Governor on October 8, 2015, the newly drafted Carl Moyer Program guidelines by CARB will be used for evaluation of the applications, contingent upon their final approval by the CARB Board on April 27, 2017. This will also be the first time that applications for both the Carl Moyer Program and the SOON Provision will be accepted online. Proposals for all categories will be due by 1:00 pm on Tuesday, July 11, 2017. Staff expects to finalize the review and evaluation of the proposals and recommend awards for Board approval at the October 2017 Board meeting. The Carl Moyer Program and the SOON Provision PAs are attached.

Finally, this action is to approve a name correction for a recipient under the FY 2015-16 “Year 18” Carl Moyer Program awards approved by the Board on October 7, 2016, from Dilman’s Crystal Pacific to Crystal Pacific, LLC.

Outreach

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

Additionally, potential bidders may be notified utilizing SCAQMD’s own electronic listing of certified minority vendors. Notice of the PAs will be emailed to the Black and Latino Legislative Caucuses and various minority chambers of commerce and business associations, and placed on the Internet at SCAQMD’s website (<http://www.aqmd.gov>) where it can be viewed by making menu selection “Grants & Bids.”

Program Guideline

At its July 8, 2005 meeting, the SCAQMD Board approved a long-term Program Guideline for the implementation of the Carl Moyer Program in the South Coast Air Basin. The proposed funding distribution for different equipment categories is made in this Board letter according to the criteria outlined in that Guideline with emphasis on the following priorities in order to achieve the highest emission reductions:

- Goods Movement (40 percent allocation)
- Environmental Justice (50 percent allocation)
- Cost-Effectiveness
- Low Emission Engine / Vehicle Preference
- Early Commercialization of Advanced Technologies/Fuels
- Fleet Rules
- School Buses

Funding Distribution

The CMP Guideline includes the requirement that at least 50 percent of the program funds must be spent in disproportionately impacted areas. At least half the funding allocated under SB 1107 and collected under AB 923 will be awarded to projects located in disproportionately impacted areas. It has been the policy of the SCAQMD to allocate at least 50 percent of all funding available in the CMP and the SOON Provision, including roll-over funding from previous years and turn back funds, to disproportionately impacted areas.

Disproportionately Impacted Areas Point Ranking

The requirements of the CMP and the SOON Provision will be implemented according to the following criteria.

- 1) All projects must qualify by meeting the cost-effectiveness limits established in the Program Announcement.
- 2) All projects will be evaluated according to the following criteria to qualify for funding as a disproportionately impacted area:
 - a) **Poverty Level:** Detailed socioeconomic information is not included in the 2010 Census. Such data is collected yearly from a small percentage of the population on a rotating basis by the American Community Survey (ACS). All projects in areas where at least 10 percent of the population falls below the federal poverty level based on the 2008-2012 ACS data are eligible to be included in this category, and
 - b) **PM2.5 Exposure:** All projects in areas with the highest 15 percent of PM2.5 concentration measured within a 2 km grid will be eligible to be ranked in this category. The highest 15 percent of PM2.5 concentration is 11.1 micrograms per cubic meter and above, on an annual average, or
 - c) **Air Toxics Exposure:** All projects in areas with a cancer risk of 894 in a million and above (based on MATES IV estimates) will be eligible to be ranked in this category.

The maximum score will be comprised of 40 percent for poverty level and 30 percent each for PM and toxic exposures. Special circumstances exist in some areas, such as the Ports of Long Beach and Los Angeles. Since there are no residents within the ports, poverty ranking could not be established. In this case, the poverty ranking from the adjacent on-shore areas was extended to the ports since these populated areas are directly impacted by port activities.

Benefits to SCAQMD

The SCAQMD has supported a number of activities directed to the advancement of new technologies and commercialization of low-emission alternative fuel technologies. The successful implementation of the Carl Moyer Program and the SOON Provision are direct results of these technology advancement activities. The vehicles and equipment funded under these Program Announcements will operate many years, providing long-term emission reductions.

Resource Impacts

CARB has tentatively allocated \$25,444,077 to the SCAQMD under SB 1107 for implementation of the FY 2016-17 “Year 19” CMP. Of this amount, \$23,853,822 is designated for project funding and \$1,590,255 for administrative and outreach efforts. These funds shall be recognized into the Carl Moyer Program SB 1107 Fund (32). In addition, \$3,816,612 is required as the local match from the SCAQMD, which will be provided from AB 923 funds.

Attachments

1. Resolution
2. Carl Moyer Program Announcement #PA2017-04
3. SOON Provision Program Announcement #PA2017-06

RESOLUTION NO. 17-

**A Resolution of the South Coast Air Quality Management District Board
Recognizing Funds and Accepting the Terms and Conditions of the
FY 2016-17 Carl Moyer Grant Award**

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

WHEREAS, the SCAQMD is authorized by Health & Safety Code §§40402, 40440, and 40448.5 to implement programs to reduce transportation emissions, including programs to encourage the use of alternative fuels and low-emission vehicles; to develop and implement other strategies and measures to reduce air contaminants and achieve the state and federal air quality standards; and

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

WHEREAS, the SCAQMD is designated as an extreme non-attainment area for ozone and as such is required to utilize all feasible means to meet national ambient air quality standards.

THEREFORE, BE IT RESOLVED that the Board of the SCAQMD, in regular session assembled on April 7, 2017, does hereby accept the terms and conditions of the FY 2016-17 (Year 19) Carl Moyer Program grant award and recognizes up to \$26 million in SB 1107 funds.

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

Date

Clerk of the Boards



**2017
CARL MOYER MEMORIAL
AIR QUALITY STANDARDS ATTAINMENT PROGRAM
PROGRAM ANNOUNCEMENT
“Year 19”**

**SCAQMD PROGRAM ANNOUNCEMENT
#PA2017-04**

The South Coast Air Quality Management District (SCAQMD) is pleased to announce the availability of funds from the Carl Moyer Memorial Air Quality Standards Attainment Program (hereafter “CMP”). Although air pollution regulations have significantly reduced emissions and improved air quality in California, many areas continue to experience unhealthy air. The CMP has been very successful over the past 18 years in incentivizing equipment owners to take early action and obtain additional emission reductions by the deployment of cleaner-than-required engines, vehicles and equipment. This year marks the 19th year of implementation of the CMP by the SCAQMD. This Program Announcement (PA) will identify the project types and eligibility criteria to qualify for the Year 19 CMP. In the preparation of this PA, the words “Applicant,” “Contractor,” and “Consultant” are used interchangeably.

SECTION I – OVERVIEW

PURPOSE

The purpose of this PA is to solicit project applications for the 2017 Carl Moyer Memorial Air Quality Standards Attainment Program (CMP).

The budget for this PA will be approximately \$24 million from the CMP Fund.

The purpose of the CMP is to obtain emission reductions of Nitrogen Oxides (NOx), Particulate Matter (PM10) and Reactive Organic Gases (ROG) from heavy-duty vehicles and other equipment operating in California as early and as cost-effectively as possible. The CMP provides financial incentives to assist in the purchase of cleaner-than-required engine and equipment technologies to achieve emission reductions that are real, surplus, quantifiable and enforceable.

All applications will be evaluated based on the criteria set forth in this PA, the CMP Guidelines, and all subsequent updates and modifications/advisories to the Guidelines. This PA was prepared based on the Carl Moyer Program Guidelines revised as of December 18, 2015, which are available online at <http://www.arb.ca.gov/msprog/moyer/guidelines/current.htm>, as well as the CMP Advisories, including but not limited to Mail-Out #MSC 15-25 and 15-30, which are available online at: https://www.arb.ca.gov/msprog/moyer/advisories_005/advisories_005.htm.

WHAT’S NEW?

Senate Bill (SB) 513 (Beall), signed by the Governor in October 2015, made multiple changes to the CMP. The bill mandates the California Air Resources Board (CARB) to establish or update the grant criteria and guidelines by no later than July 1, 2017, to incorporate changes introduced by the bill. Some of the key changes to the CMP include establishing new cost-effectiveness limits based on factors including, but not limited to: the cost of emission control technologies and the cost-



effectiveness of adopted rules or control measures in either an approved State Implementation Plan or rules adopted by CARB. Another key change to the CMP was the removal of limitations concerning leveraged funds from federal, state and local programs, and other public funding sources. A project may now be co-funded with other public funds, including but not limited to: the Greenhouse Gas Reduction Fund, energy diversity programs, and programs that are intended to provide emission reductions that are not credited to the State Implementation Plan, without these additional public funds being factored into the cost-effectiveness calculation.

SCAQMD anticipates that applications submitted in response to this PA will be evaluated according to the 2017 CMP Guidelines update if the revisions are finalized by CARB in time for the evaluation period. These revisions would provide significant improvements to the CMP and provide higher incentive amounts for projects that deploy the cleanest technologies. While this PA is structured under the current CMP Guidelines (dated December 18, 2015), SCAQMD will utilize the new 2017 Guidelines as soon as they are available. We encourage applicants to review the progress of the 2017 CMP Guidelines update to see how the proposed revisions may impact their applications.

For information on the CMP 2017 Guidelines update, please visit the following website:

<https://www.arb.ca.gov/msprog/moyer/2017guideline.htm>

INTRODUCTION

CMP funding is provided via two legislative bills, SB 1107 and AB 923. SB 1107 provides approximately \$61 million per year in statewide funding, and AB 923 permits air districts in designated non-attainment areas to collect an additional two dollars in vehicle registration fees to expend on programs to reduce emissions from vehicular sources and off-road equipment. A resolution approving such fees was adopted by the SCAQMD Board on December 3, 2004.

FUNDING CATEGORIES

Below are the specific project categories identified for funding under the SCAQMD 2017 CMP solicitation:

- On-Road Heavy-Duty Vehicles, including Emergency Vehicles (Fire Apparatus)
- Off-Road Equipment, including:
 - Marine Engine Repower
 - Shore Power (if project is not subject to CARB's At-Berth Regulation)
 - Construction Equipment (Note: Current CMP Guidelines limit funding opportunities to small and medium fleets; however, the SCAQMD encourages large fleets to apply under this PA since the 2017 CMP Guidelines update may include funding opportunities for large fleets.)
 - Agricultural Mobile Equipment (loaders, tractors, water pulls, etc.)
 - Locomotives
 - Cargo Handling Equipment (zero emission projects only)

On-Road Heavy-Duty Vehicles

- On-Road Heavy-Duty Vehicle projects must generate surplus emission reductions. Projects in this category must deploy cleaner-than-required engines to be eligible for CMP funding. CMP



funding opportunities for vehicles subject to CARB's Fleet Rules, including but not limited to the Statewide Truck & Bus Regulation, Solid Waste Collection Vehicle Rule, Public Agencies & Utilities Fleet Rule, and the Drayage Truck Regulation, may be significantly reduced if not eliminated due to compliance requirements. Emergency vehicles, including but not limited to prisoner transport buses and fire apparatus, are exempt from CARB regulations and therefore are eligible for CMP funding.

- Project options for on-road heavy-duty vehicle projects include retrofit, vehicle replacement or engine repower, except emergency vehicles which are limited to a replacement option due to the specialized nature of this equipment. Please note funding opportunities for retrofit devices are very limited since diesel particulate filters are required for most on-road heavy-duty diesel vehicles in California, either as original equipment manufacturer (OEM) equipment in new trucks or through phased compliance schedules for older trucks complying with CARB rules and regulations.
- Compliant fleets may be eligible for a small percentage of CMP funding based on the amount of surplus emission reductions and eligible project life.
- Projects must include commercially available technologies that are certified or verified by CARB.
- The proposed 2017 Guidelines update is expected to provide funding for new technologies such as the optional low NOx engines, hybrids and zero emission vehicles. The SCAQMD encourages equipment owners to submit applications for these new technologies in response to this PA and in anticipation of CARB's approval of the 2017 Guidelines update by July 1, 2017.

Off-Road Heavy-Duty Equipment/Engines

- Off-Road Heavy-Duty Equipment/Engines, including but not limited to construction equipment, marine engines, shore power, locomotives, agricultural tractors, zero emission rubber-tired gantry (RTG) cranes and other cargo handling equipment.
- Large fleets subject to CARB's In-Use Off-Road Equipment regulation¹ are not eligible under the current CMP Guidelines. However, it is anticipated that large fleets will be eligible under the 2017 CMP Guidelines update that is scheduled for CARB approval by July 1, 2017. Therefore, SCAQMD encourages large fleets to apply for CMP funding under this PA.

Refer to CARB's fleet rule Web pages that provide detailed information on compliance with these regulations. These are listed below in Section VI.

GENERAL PROGRAM INFORMATION

All project awards shall not exceed the project's incremental cost or the maximum cost-effectiveness limit of \$18,260 per ton of weighted emissions reduced, unless revised by CARB prior to the SCAQMD awards. Please note the proposed 2017 CMP Guidelines update includes a higher cost-effectiveness limit for all project categories. If the guideline revisions become finalized by CARB in

¹ <http://www.arb.ca.gov/msprog/ordiesel/ordiesel.htm>



time for the evaluation period, the SCAQMD will use the new cost-effectiveness limit when evaluating projects submitted under this PA. All projects must meet the criteria stated in this PA, Appendix A and the CMP Guidelines in effect at the time of contract execution. Cost-effectiveness is based on NO_x, ROG and PM₁₀ reductions. Project cost-effectiveness is currently calculated according to the following formula:

$$\frac{\text{Annualized Cost (\$/year)}}{[\text{NO}_x \text{ reduction} + 20(\text{combustion PM}_{10} \text{ reduction}) + \text{ROG reduction}] \text{ (Tons/year)}}$$

NOTE: The anticipated 2017 Guidelines update may increase the cost-effectiveness limit to \$30,000 per weighted ton of emissions reduced, with allowances for higher limits for school buses and advanced technologies. Please consult the CARB 2017 CMP Guidelines Update Web page for detailed information and to review proposed revisions².

All projects must be operational within eighteen (18) months of contract execution or by May 24, 2019, whichever is earlier. Some projects may have earlier in-service operational date requirements, if they are subject to CARB regulations.

It is the applicant's responsibility to ensure that the most current information and requirements are reflected in a submitted project application. Applicants should check the CARB website for updates and advisories to the guidelines (www.arb.ca.gov/msprog/moyer/moyer.htm).

In cases of conflict between CARB guidelines and SCAQMD criteria, the more stringent criteria will prevail. SCAQMD will post any new information and requirements on its CMP Web page at www.aqmd.gov/Moyer.

Projects subject to CARB regulations must submit a copy of the most recent CARB compliance report(s) or other documentation that provides SCAQMD with clear understanding of the applicant's compliance status.

All emission reductions resulting from funded projects will be retired by the SCAQMD. A grant shall not be made that, net of taxes, provides the applicant with funds in excess of the incremental cost of the project.

In accordance with Mail Out #MSC 15-25³, public agency funds contributed toward a project will not be factored into the cost-effectiveness calculation if the project is eligible and meets all criteria under the public agency program. Projects may be leveraged with other funding sources, including but not limited to: federal funding for programs to reduce greenhouse gas (GHG) emissions, funding provided by the Alternative and Renewable Fuel and Vehicle Technology Program, Air Quality Improvement Program, or CARB's Low Carbon Transportation Investment funds to reduce GHG emissions provided the grantee pays at least 15 percent of the project cost from non-public sources.

The applicant must disclose all funding sources at the time of application and will be required to report all funding sources prior to invoice payment. The sum of all grants and other funds applied toward the

² <https://www.arb.ca.gov/msprog/moyer/2017guideline.htm>

³ <https://www.arb.ca.gov/msprog/mailouts/msc1525/msc1525.pdf>



project shall not exceed the total project cost. The emission reductions paid for by the CMP shall not be claimed by the other funding sources.

ELIGIBILITY INFORMATION

Emission reductions obtained through CMP projects must be real, surplus, quantifiable and enforceable. The emission reductions must not be required by any federal, state or local regulation, memorandum of agreement/understanding, settlement agreement, mitigation requirement or other legal mandate.

Engines operating under a regulatory compliance extension granted by CARB, an air district or the United States Environmental Protection Agency (U.S. EPA) are not eligible for funding.

A grant recipient subject to an in-use regulation may be eligible to receive CMP funding if the applicant has met all compliance requirements of applicable regulations. Documentation of regulatory compliance must be provided by applicants to air districts at the time of application.

Key program requirements for on- and off-road equipment categories are highlighted below; however, applicants are responsible for consulting the CMP guidelines for additional program limitations/requirements.

ON-ROAD VEHICLES

All on-road projects must generate surplus emission reductions. Therefore, all vehicles subject to CARB's Fleet Rules, including but not limited to the Statewide Truck & Bus Regulation, Solid Waste Collection Vehicle Rule, Public Agencies & Utilities Fleet Rule and Drayage Truck Regulation, have limited or no CMP funding opportunities under the current Guidelines. However, the proposed 2017 Guidelines update will provide new funding opportunities for projects that involve cleaner-than-required engines and advanced technologies in on-road heavy-duty vehicles. In anticipation of the new guidelines becoming finalized by CARB by July 1, 2017, the SCAQMD encourages fleets to submit applications for such on-road projects in response to this PA.

The proposed engine for each on-road project must be consistent with the "Intended Service Class" per the CARB Executive Order [medium-heavy duty (MHD) Intended Service Class engines cannot be used for projects which have the heavy-heavy duty (HHD) vehicle classifications]. Executive Orders for on-road vehicles may be downloaded at: <http://www.arb.ca.gov/msprog/onroad/cert/cert.php>.

Emergency Vehicles

Emergency vehicles, including but not limited to prisoner transport buses and fire apparatus, are exempt from CARB regulations and therefore are eligible for CMP funding. Eligible emergency vehicle projects are those in which an older, more polluting emergency vehicle is replaced with a new or used replacement vehicle with an engine meeting the current model year California emission standards. The older, replaced vehicle must be destroyed.

A fire truck reuse option is also available on a case-by-case basis. The fire truck reuse option allows fire departments to give away the existing old vehicle and destroy another older vehicle in its place. Additional requirements for emergency vehicle projects can be found at:

http://www.arb.ca.gov/msprog/moyer/guidelines/2011gl/2011cmp_ch6_07_11_14.pdf



New Purchase

On-road new purchase project opportunities are currently very limited and include, (1) engines that are at least 30% cleaner than current standards for NO_x (0.14 g/bhp-hr or less) or (2) zero emission technologies. Both opportunities would generate minimal surplus emission reductions, resulting in very nominal funding amounts. Under the 2017 CMP Guidelines update, CARB is proposing to remove the New Purchase option as an eligible funding category for On-Road projects. Any applications received under this option may be subject to a case-by-case review by CARB and may not be deemed eligible pending finalization of the 2017 CMP Guidelines update.

Repowers

A replacement engine for a repower project must be a CARB-certified engine meeting emissions levels of 0.50 g/bhp-hr NO_x and 0.01 g/bhp-hr PM₁₀ or lower. Repowers with replacement family emission limit (FEL) engines that meet these emissions levels must be based on emission factors for model year 2007-2009 engines.

Due to technological constraints presented with the limited feasibility of newer engines with advanced emissions control equipment fitting into an older vehicle chassis, **single vehicle repower projects are not eligible for Moyer funding**. However, the economics of repower projects involving a large quantity of the same chassis and engine combination may allow compliance with the engine manufacturer quality assurance process that is equivalent to an Original Equipment Manufacturer (OEM) package. In these cases, a prototype vehicle is thoroughly reviewed and tested to ensure that the installation meets OEM requirements, and the successful prototype installation is then replicated in other vehicles with the same chassis and engine combination. While the prototype evaluation (with documented OEM approval) is not eligible for CMP funding, projects to replicate the identical chassis and engine combination will be considered on a case-by-case basis.

Retrofit/Replacement

Under the current CMP Guidelines, funding opportunities for on-road projects involving retrofits and replacements are very limited due to the applicability of CARB regulations. However, the 2017 Guidelines update is expected to provide new funding opportunities for projects that will deploy cleaner-than-required vehicles, including optional low NO_x, hybrid and zero emission vehicles. In order to qualify for CMP funding, the proposed technology must be certified, verified or approved by CARB. The SCAQMD is encouraging fleets to submit applications for these advanced technologies under this PA in anticipation of CARB finalizing the 2017 Guidelines update by July 1, 2017.

Please note that if you are an owner of a fleet with 10 or fewer vehicles (greater than 14,000 lbs. GVWR), you may be eligible for funding through the On-Road Voucher Incentive Program (VIP). Please refer to the SCAQMD's VIP Web page to explore funding opportunities for replacement and retrofit funding at: www.aqmd.gov/VIP.

OFF-ROAD COMPRESSION-IGNITION EQUIPMENT

Propulsion engines greater than 25 horsepower on mobile off-road equipment are eligible for CMP funding, with limitations. Off-road heavy-duty equipment/engines include, but are not limited to, construction equipment, agricultural tractors, marine engines, shore power and locomotive equipment. Portable equipment is not eligible for CMP funding.



Construction

Fleets must be in compliance with CARB's In-Use Off-Road Diesel Vehicle Regulation (Off-Road Regulation) in order to be eligible for funding. Large fleets subject to CARB's In-Use Off-Road Equipment regulation⁴ are no longer eligible for funding under the current CMP Guidelines. However, it is anticipated that large fleets will be eligible under the 2017 CMP Guidelines update that is expected to be finalized by CARB by July 1, 2017. Therefore, the SCAQMD encourages large fleets to apply for CMP funding under this PA.

Applicants must submit information regarding fleet size and compliance status. **This must include the Diesel Off-Road On-line Reporting System (DOORS) ID of the fleet, the DOORS Compliance Snapshot, the DOORS equipment list, and the DOORS Equipment Identification Number (EIN) of the funded equipment.** All documentation submitted must be signed and dated by the applicant and include language certifying that the fleet list provided is accurate and complete. Off-road projects fall into three distinct categories: 1) repower with an emission-certified engine, 2) retrofit with a verified-diesel emission control strategy (VDECS), and 3) replacement by a vehicle with an engine certified as meeting the current off-road emission standards.

Engine Repower

Engine repowers are commonly diesel-to-diesel repowers and significant NO_x and PM benefits are achieved due to the higher emission levels of the engine being replaced. Funding is not available for projects where a spark-ignition engine (i.e., natural gas, gasoline, etc.) is replaced with a diesel engine. Off-road repower projects must install CARB-verified retrofit equipment subject to the "Retrofit Purchase" discussion below.

Retrofit Purchase

Retrofit is the installation of a CARB-verified diesel emission control device on an existing engine. Examples include, but are not limited to, particulate filters and diesel oxidation catalysts. Retrofit projects that control PM₁₀ must use the highest level, technically feasible technology available for the equipment being retrofitted, which is defined as a device that achieves the highest level of PM₁₀ reductions (Level 3 - 85 percent) and the highest level of NO_x reductions.

Replacement

Fleets may apply for replacement in lieu of repowering their vehicle, where new or used replacement equipment with an engine certified to the current emission standard or Tier is purchased to replace the existing equipment (which must be scrapped).

Cargo Handling Equipment (CHE) Electrification

Cargo handling equipment fleets must be fully compliant with CARB's Regulation for Cargo Handling Equipment at Ports and Intermodal Rail Yards in order to be eligible for CMP funding. Applicants must provide a copy of their most recent CARB Compliance Plan to document compliance with the regulation.

Existing diesel-powered RTG cranes or diesel-powered CHE (i.e., yard trucks, etc.) operating at a seaport or intermodal rail yard in a trade corridor are eligible for CMP funding to offset costs to electrify this equipment. Projects utilizing regulatory extensions are not eligible for funding.

⁴ <http://www.arb.ca.gov/msprog/ordiesel/ordiesel.htm>



CHE Electrification – RTG Cranes

The CMP allows funding to convert existing diesel-powered RTG cranes with a zero emission power system. Eligible costs may include the purchase of a new crane or installation of a zero emission engine, necessary parts for an existing RTG crane including directly related vehicle modifications, and infrastructure to supply electrical power, utility construction, and costs associated with increasing the capacity of electrical power to the crane. Ineligible costs include design, engineering, consulting, environmental review, legal fees, permits, licenses and associated fees, taxes, metered costs, insurance, operation, maintenance and repair. Projects are evaluated on a case-by-case basis.

CHE Electrification – Other

The CMP allows partial funding of up to 50 percent of the eligible cost or \$50,000/unit, whichever is less, to replace an existing CHE with a zero emission propulsion system. Eligible costs may include the purchase of a zero emission yard truck. Ineligible costs include license, registration, taxes (other than federal excise and sales tax), insurance, operation, maintenance and repair. Projects are evaluated on a case-by-case basis.

MARINE VESSEL PROJECTS

Marine vessel project types include engine repower and shore power. Each category is summarized below.

Marine Engine Repower

Vessels not subject to the in-use compliance requirements of CARB's Commercial Harbor Craft Regulation such as fishing vessels, pilot boats and work boats are eligible. Since the repower must be completed at least three (3) years prior to the vessel's regulatory in-use compliance date, limited CMP funding opportunities remain for vessel engines subject to the in-use compliance requirements of CARB's Commercial Harbor Craft (CHC) regulation (i.e., barge, crew/supply, dredge, excursion, ferry, towboat and tugboats). Based on the vessel's operation, the newer engine's emissions must be surplus to the currently required U.S. EPA marine engine emission standard (i.e., Tier 3, Tier 4, etc.). Remanufacture kits, which are comprised of engine component parts that, when installed, reduce the engine's emissions, are subject to the same requirements as engine repower projects.

Shore Power Projects

Limited CMP funding opportunities remain for shore power projects due to the applicability of CARB's At-Berth Regulation. Applicants must submit their CARB-approved Initial Terminal Plan to document compliance with CARB's Shore Power regulation. The proposed project must provide emission reductions that are surplus to regulatory requirements. Projects not subject to CARB's regulation are eligible.

All subsequent project reports to air districts must include any new or updated Terminal Plans in order to evaluate compliance with the project contract.

For shore power projects that demonstrate eligibility, up to 50 percent of the total cost of a shore-side transformer and other equipment between the vessel and shore-side transformer at the port or terminal is eligible for CMP funding. Any costs directly related and necessary to the installation of the eligible equipment may reasonably be included in the total cost, such as labor for installation and costs of site preparation. Design and engineering costs associated with the transformer and other eligible equipment



between the vessel and transformer are considered professional labor costs required to complete the installation and are eligible for funding.

Up to 100 percent of necessary vessel (non-transformer) retrofit costs, specifically required to allow the vessel to plug into shore-side power, are eligible for CMP funding. Up to 50 percent of any necessary transformer costs on board the vessel are eligible for CMP funding.

Ineligible costs include modifications or enhancements made to the shore-side electrical infrastructure needed to bring power to the terminal. Other ineligible shore power costs consist of barge or other acquisitions and modification for a portable system, design, construction or metered costs, insurance, operation, maintenance and repair.

LOCOMOTIVES

In the SCAQMD, all new locomotives and replacement engines must be certified to Tier 4 standards to be eligible for CMP funding.

There are very limited CMP funding opportunities for Class 1 freight railroads. Such a project will be subject to a case-by-case approval by CARB. Class 3 freight railroads and passenger railroads are not subject to any CARB fleet regulations and are therefore eligible for CMP funding. There are five types of locomotive projects that are eligible for CMP funding:

1. Locomotive replacement
2. Idle limiting device (ILD)
3. U.S. EPA-certified engine remanufacture kit or repower/refurbishment
4. CARB-verified retrofit
5. Head-end power (HEP) unit (apply as an off-road engine project)

Locomotive project activity must be based upon fuel consumption.

All locomotive projects receiving more than \$50,000 per locomotive in CMP funds must include the purchase and installation of an ILD if the locomotive is not already equipped with such a device and installation is technically feasible.

Refer to the CMP guidelines for additional information regarding these project types:
http://www.arb.ca.gov/msprog/moyer/guidelines/2011gl/2011cmp_ch11_07_11_14.pdf

DEFINITIONS

Alternative Fuel

Alternative fuels include compressed natural gas (CNG), liquefied natural gas (LNG), hydrogen (H₂), methanol, ethanol, propane (LPG) and electric technologies. Experimental technologies and fuels will be referred to CARB for evaluation and possible eligibility in the Program.



Equipment Replacement

Equipment replacement means the replacement of an older vehicle or piece of equipment that still has remaining useful life with a newer, cleaner vehicle or piece of equipment. For this project type, applicant must have owned and operated the old equipment in California for the previous two years.

Repower

Vehicle repower means the replacement of an in-use engine with another, cleaner engine (more than 15 percent cleaner).

Retrofit

An emission control system employed exclusively with an in-use engine, vehicle or piece of equipment. **CARB guidance requires the applicant to select the highest level technology certified for that engine that provides the most emission reductions.** For many projects, this includes a diesel emission control device that reduces both PM and NOx emissions. In order to be eligible for CMP funding, the retrofit device must be verified for the specific engine family found on the equipment and achieve the highest level emission reductions when compared to other verified retrofit devices. If a specific device reduces both NOx and PM but the PM reduction from a retrofit is required by a regulation, only the NOx reduction may be eligible for funding.

SCAQMD Jurisdiction

The SCAQMD is the air pollution control agency for all of Orange County and the urban portions of Los Angeles, Riverside and San Bernardino counties. This area of 10,743 square miles is home to approximately 17 million people—about half the population of the whole state of California. It is the second most populated urban area in the United States and one of the smoggiest. Visit www.aqmd.gov/home/about/jurisdiction for more information.

IMPORTANT PROGRAM INFORMATION

- Applicants **must** provide vendor quotes with their application to document the cost of the low emission or zero emission vehicle/equipment project. Applicants may be awarded up to the designated percentage of total cost for the specified type of project (new purchase, repower replacement and/or retrofit). Eligible costs include installation labor and sales tax; however, the total award may not exceed the maximum cost-effectiveness for the equipment/vehicle category. **All quotes must have been obtained within 90 days prior to the closing date of the Program Announcement.**
- A number of the CARB fleet rules and air quality regulations impact CMP eligibility. Compliance with existing CARB regulations is a pre-requisite for CMP funding. Only emissions reductions in excess of regulatory requirements can be considered for CMP funding. If applicants are applying for CMP funds to reduce emissions before the required compliance date (i.e., early reductions), the equipment must demonstrate sufficient years of operation before the regulatory compliance deadline. Applicants are responsible for ensuring that they are in full compliance with all applicable regulations and that vehicles/equipment requests under the CMP provide surplus emissions reductions. As noted earlier, applicants must provide documentation of their regulatory compliance status.



- Any tax obligation associated with the award is the responsibility of the grantee.
- All projects must be operational within eighteen (18) months of contract execution or May 24, 2019, whichever is earlier
- All project invoices must be submitted for payment no later than May 24, 2019. Projects which have not invoiced by the applicable date may forfeit their funding.
- The highest level verified diesel emissions control system (VDECS) available is required.
- Repower projects must also include a VDECS, if available for the project engine. The cost of the VDECS equipment and installation may be included in the CMP grant request. It is the responsibility of the applicant to determine the applicability of this requirement, and, if required, to include quotes for this equipment in their application. Projects that require the additional VDECS that do not have cost and system specification information may not be evaluated by SCAQMD staff. Also, if documentation can be provided that the retrofit is not technically feasible, available or safe, then the retrofit is not required⁵.
- No third-party contracts will be executed.
- Pre- and post-inspection of all vehicles/engines/equipment approved for funding will be conducted, as required. Applicants must make all equipment available **locally (i.e. within the SCAQMD boundaries)** for inspections unless specified during contract preparation. Documentation of compliance with existing regulatory requirements is required at the time of pre-inspection.
- **Local** destruction of the engine and/or equipment being replaced is required for repower or replacement projects.
- Emissions reduction calculation will be based on the historical usage of the existing equipment (i.e., the average annual usage of the equipment over the past two (2) years). The usage for off-road equipment projects will be based on hours, and the usage for on-road vehicle projects will be based on mileage. The applicant must provide the historical usage records for the equipment at the time of application. If historical usage documentation is not available, the proposed annual usage provided by the applicant will be used to determine the project cost-effectiveness and shall be included in the project contract.
- For projects that involve extended idling, including but not limited to street sweepers and solid waste collection vehicles, annual fuel consumption may be used as the basis for the emissions reduction evaluation. For projects based on fuel consumption, usage must be based on two years of historical fuel consumption documentation submitted with the application and specific to the equipment for which funding is requested. Documentation may include fuel logs, purchase receipts, business logs, ledger entries, etc. Annual fuel consumption may be used for the emissions reduction evaluation if documentation of previous fuel usage and mileage records

⁵ https://www.arb.ca.gov/msprog/moyer/guidelines/2011gl/2011cmp_ch7_07_11_14.pdf



demonstrates at least 30% better cost-effectiveness⁶, as compared to using hours (for off-road) or mileage (for on-road). Note that for the 2017 CMP Guidelines update, CARB is proposing to remove the option to use fuel consumption as the basis for the emission reduction calculation. Therefore, it is strongly recommended that historical mileage records be provided by the applicant.

PROGRAM ADMINISTRATION

The CMP will be administered locally by the SCAQMD through its Science and Technology Advancement Office. The SCAQMD reserves the right to allocate the CMP funds among the program categories in accordance with SCAQMD priorities. Additionally, the SCAQMD reserves the right to partially fund a project.

All qualified applications submitted for each category will be evaluated for disproportional impacts (discussed in Section IV) and ranked by emission reduction cost-effectiveness. Funding category allocations will be determined based on the evaluation and selection criteria in Section IV and approval by the SCAQMD Governing Board.

Applications for fuel and engine technologies that are not certified, verified or approved by CARB, or falling outside the categories specifically discussed in this PA, will be referred to CARB for determination of CMP eligibility on a case-by-case basis. Please discuss these projects with SCAQMD staff prior to application submittal.

SCHEDULE OF EVENTS

Issue #PA2017-04	April 7, 2017
Workshops	April – June 2017
All Applications Due by 1:00 pm	Tuesday, July 11, 2017
Awards Consideration by the Board	October - November 2017
Contract Execution	January 2018

ALL APPLICATIONS MUST BE RECEIVED ELECTRONICALLY OR ON PAPER AT THE SCAQMD HEADQUARTERS NO LATER THAN 1:00 P.M. ON TUESDAY, JULY 11, 2017

Electronic submission using SCAQMD’s new CMP Online Application Program (OAP) is preferred and is available at: www.aqmd.gov/mover.

⁶ This requirement does not apply to projects in the Emergency Vehicle category.
Page 12 of 22



If a paper copy application is being submitted, postmarks will not be accepted; the paper copy application must be received at the SCAQMD Headquarters reception desk by the above deadline. Fax or email applications will not be accepted. Applicants may hand deliver applications to the SCAQMD by submitting the application to the SCAQMD reception desk. The application will be date and time-stamped and the person delivering the application will be given a receipt.

SCHEDULE OF CMP GENERAL WORKSHOPS:

- **Wednesday, May 24, 2017 - 9 a.m. to Noon**
SCAQMD Headquarters, Conference Room CC6
21865 Copley Drive
Diamond Bar, CA 91765
- **Wednesday, May 31, 2017 - 9 a.m. to Noon**
SCAQMD Headquarters, Conference Room CC6
21865 Copley Drive
Diamond Bar, CA 91765
- **Wednesday, June 7, 2017 – 9 a.m. to Noon**
SCAQMD Headquarters, Conference Room CC6
21865 Copley Drive
Diamond Bar, CA 91765

MARINE VESSEL/SHORE POWER /CHE ELECTRIFICATION WORKSHOP

- **Wednesday, May 17, 2017 – 10 a.m. to Noon**
Port of Los Angeles Board Room
425 South Palos Verdes Street
San Pedro, CA 90731

Training for the new online application system will be included in these workshops.

STATEMENT OF COMPLIANCE

Government Code Section 12990 and California Administrative Code, Title II, Division 4, Chapter 5, require employers to agree not to unlawfully discriminate against any employee or applicant because of race, religion, color, national origin, ancestry, physical handicap, medical condition, marital status, sex, or age. A statement of compliance with this clause is included in all SCAQMD contracts.

CONTACT FOR ADDITIONAL INFORMATION

Questions regarding the content or intent of this PA, procedural matters or locations of workshops should be addressed to:

Walter Shen
Science and Technology Advancement
South Coast Air Quality Management District
21865 Copley Drive, Diamond Bar, CA 91765
Phone (909) 396-2487/FAX (909) 396-3252
wshen@aqmd.gov



SECTION II - WORK STATEMENT/SCHEDULE OF DELIVERABLES

Applicants must sign the Application form indicating their understanding of the requirements for submittal of additional project information to finalize a contract and that all vehicles, engines or equipment must be in operation within eighteen (18) months of contract execution or by May 24, 2019, whichever is earlier. **Unsigned applications may be deemed ineligible and may NOT be considered for funding.**

WORK STATEMENT

The scope of work involves a series of tasks and deliverables that demonstrate compliance with the requirements of the CMP as administered by CARB and the SCAQMD. The project applicant is responsible for developing detailed project plans and ordering equipment that complies with the program criteria and guideline requirements. In addition, alternative fuel project applicants must discuss their plan for refueling the proposed vehicles/equipment, and if appropriate, should provide a letter of agreement from their fuel provider (see Application forms).

At a minimum, any contract for funding the proposed project must meet the following criteria:

- Provide emission reductions that are real, surplus, quantifiable and enforceable in accordance with CMP guideline requirements.
- Meet the cost-effectiveness limit, as described in this PA under General Program Information.
- Provide at least 30 percent NO_x emission reduction for new engine/vehicle purchases and 15 percent for repowers and retrofits, compared to baseline NO_x emissions, if NO_x emission reductions are to be considered in the cost-effectiveness calculations.
- Commit that project engines or equipment operate in-service for the full project life, a minimum of three years, and at least 75 percent of annual operation must occur within the SCAQMD. Project life is the number of years used to determine the cost-effectiveness and is equal to the contract term.
- Commit that all vehicles/engines/equipment are in operation within 18 months of contract execution or by May 24, 2019, whichever is earlier.
- Provide for appropriate record-keeping during the project life (i.e., annual mileage, fuel consumption and/or hours of operation).
- Ensure that the project complies with all applicable rules and regulations, and the resulting emission reductions from the project are not required as a mitigation measure to reduce adverse environmental impacts that are identified in an environmental document prepared in accordance with the California Environmental Quality Act or the National Environmental Policy Act.
- If requested, contractor must provide a financial statement and bank reference, or other evidence of financial ability to fulfill contract requirements.
- If requested, contractor must make all equipment and records available to the SCAQMD or CARB for audit and inspections.

DELIVERABLES

The contract will describe how the project will be monitored and what type of information must be submitted as part of the reporting requirements. At a minimum, the SCAQMD expects to receive the following reports:



1. Quarterly progress reports until the vehicle, engine or equipment has been purchased and is placed into operation. These reports shall include a discussion of any problems encountered and how they were resolved, any changes in the schedule, and recommendations for completion of the project. These progress reports are required before payment for the purchase, repower or retrofit will be made.
2. An annual report for each year during the full contract term, or project life, which provides the annual miles or hours of operation, where the vehicle or equipment was operated (75 percent required in-Basin), annual fuel consumption, and operational and maintenance issues encountered and how they were resolved. SCAQMD reserves the right to verify the information provided.

Reporting forms are available online at: www.aqmd.gov/moyer

SECTION III - APPLICATION SUBMITTAL REQUIREMENTS

Applicants are encouraged to apply for CMP funding using the SCAQMD's new CMP Online Application Program at: www.aqmd.gov/moyer. Applicants may also complete and submit a paper copy application with the appropriate application forms, which are listed in Appendix A. In addition, Conflict of Interest and Project Cost information, as described below, must also be submitted with the application. It is the responsibility of the applicant to ensure that all information submitted is accurate and complete.

CONFLICT OF INTEREST

Applicant must address any potential conflicts of interest with other clients affected by actions performed by the firm on behalf of the SCAQMD. Although the applicant will not be automatically disqualified by reason of work performed for such firms, the SCAQMD reserves the right to consider the nature and extent of such work in evaluating the application. Conflicts of interest will be screened on a case-by-case basis by the SCAQMD General Counsel's Office. Conflict of interest provisions of the state law, including the Political Reform Act, may apply to work performed pursuant to this contract. Please discuss potential conflicts of interest on the Application Statement Form.

PROJECT COST

Applicants must provide cost information that specifies the amount of funding requested and the basis for that request by attaching vendor quotes to the application. The vendor quotes must be dated within 90 days of the application submittal date. Applicants need to inform vendors of the time frame of the award process so that they can estimate prices based on the future/projected order/purchase date.

Purchase orders shall not be placed until after the date of award approval by the SCAQMD Governing Board. Purchase orders may be placed after SCAQMD Governing Board approval and in advance of a fully executed contract, but these orders are placed at the applicant's own risk⁷.

⁷ Any purchase order placed prior to the SCAQMD Governing Board approval of the project are prohibited by the CMP. However, orders placed after SCAQMD Governing Board approval but in advance of a fully executed contract are at the purchaser's own risk.



The CMP will fund only a percentage of the cost of the low emission or zero emission technology based on the type of project. The proposed low emission or zero emission technology must be certified, verified or approved by CARB in most cases⁸. No fueling infrastructure, administrative or operational costs will be funded.

All project costs must be clearly indicated in the application. In addition, applicants must disclose all sources of co-funding, including the name of the funding source and amount of funding in the application. **Applicants are cautioned that the project life period used in calculating emissions reductions will be used to determine the length of their annual reporting obligation.** In other words, a project applicant using a ten-year life for the emissions reduction calculations will be required to operate, track and report activity for the project vehicle for the full ten years. The contract term will also be ten years.

Applicants are not required to calculate a project's cost-effectiveness, although it is helpful to understand your project's cost-effectiveness in order to anticipate the maximum possible grant award that might be recommended. Methodologies for calculating cost-effectiveness are provided in the CARB Moyer Guidelines at:

http://www.arb.ca.gov/msprog/moyer/guidelines/2011gl/2011cmp_appc_07_11_14.pdf

Note that the anticipated CMP Guidelines revision⁹ referenced above is expected to include key revision to the methodology to determine project cost-effectiveness.

APPLICATION SUBMISSION

All applications must be submitted according to specifications set forth herein. Failure to adhere to these specifications may be cause for rejection of the application without evaluation.

Staff Contact Information: SCAQMD staff contacts for each program category are listed in Table 2 below. Applicants are strongly encouraged to contact SCAQMD staff experts to discuss their project prior to submitting an application to ensure program eligibility.

For Paper Copy Applications - Application Forms: *(This section does not pertain to applicants using the SCAQMD's CMP Online Application System.)* Program application forms are listed in Appendix A. These must be completed and submitted with other required documents (i.e. Business Information Forms, activity documentation, project quotes, etc.) discussed in the application and below.

A separate Form A-1 is required for each category (i.e., marine, off-road, locomotive, etc.). For example, if an applicant is requesting funding for marine engine repowers and off-road construction equipment, then two (2) separate Form A-1's must be submitted – one for each category. In addition to each Form A-1, the applicable category Form is required for each piece of equipment for which grant funding is requested (i.e., B-1, C-1, etc.). For example:

Example Application Package:

⁸ Note that an experimental permit from CARB may be considered, but the project will require special CARB approval.

⁹ <https://www.arb.ca.gov/msprog/moyer/2017guideline.htm>



Applicant X plans to submit a request for CMP funding to repower three marine vessels and two locomotive projects. The forms required are:

- Form A-1 for the **marine vessel** projects, which includes:
 - Application Checklist
 - Application Statement
 - Business Information Forms
 - Form D-1 for the first marine vessel repower
 - Form D-1 for the second marine vessel repower
 - Form D-1 for the third marine vessel repower

- Form A-1 for the **locomotive** projects, which includes:
 - Application Checklist
 - Application Statement
 - Business Information Forms
 - Form D-1 for the first locomotive project
 - Form D-1 for the second locomotive project

Business Information Forms: Consists of business information forms that **must** be completed and submitted with the Application. Please note, if recommended for an award, you will be required to submit an updated Campaign Contribution Disclosure form at a later date.

Methods for Delivery:

1. **Electronic Submittal:** The preferred method of delivery for this solicitation is through SCAQMD’s CMP Online Application Program (OAP), available at: www.aqmd.gov/moyer. This online system allows applicants to submit their application electronically to the SCAQMD prior to the date and time specified below. SCAQMD “Business Information Forms” requiring signatures must be scanned and uploaded to the electronic application in PDF format. The system will not allow applications to be submitted after the due date and time.

First-time users must register as a new user to access the system. Applicants will receive a confirmation email after all required documents have been successfully uploaded. A tutorial of the system will be provided at the pre-application workshops and you may contact the Project Officer listed in Table 2 if you would like additional assistance.

2. **Paper Copy Submittals** – Although not preferred, an applicant may deliver the application in person or via a courier service or U.S. Mail. Applicants **shall submit four (4) complete signed copies of the application, as well as an electronic copy of the application and its supporting documents on a CD or flash drive**, in a sealed envelope, plainly marked in the upper left-hand corner with the name and address of the applicant and the words "**Program Announcement #PA2017-04**". All paper copy applications shall be submitted in an environmentally friendly format: stapled, not bound, black and white print; no three-ring, spiral or plastic binders, and no card stock or colored paper. All application forms may be accessed from the SCAQMD’s Carl Moyer Program homepage at www.aqmd.gov/moyer.



Due Date - All applications must be received, either electronically or on paper, no later than **1:00 p.m., on Tuesday, July 11, 2017.** Postmarks are not accepted as proof of deadline compliance. **Faxed or emailed applications will not be accepted.** Applications must be directed to:

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

Any correction or resubmission done by the applicant will not extend the submittal due date.

Grounds for Rejection - An application may be immediately rejected if:

- It is not prepared in the format described
- It is not signed by an individual authorized to represent the firm
- Does not include current cost quotes, Contractor Statement Forms and other forms required in this PA.

Missing Information – Within thirty (30) business days of the application due date, SCAQMD will send letters to applicants regarding missing information. Applicants will have seven (7) days to provide any missing information requested in this letter. Any additional information requests will also have a seven (7) day response deadline.

Disposition of Applications - The SCAQMD reserves the right to reject any or all applications. All responses become the property of the SCAQMD. One copy of applications not selected for funding shall be retained for one year. Additional copies and materials will be returned only if requested and at the applicant's expense.

SECTION IV - APPLICATION EVALUATION/CONTRACTOR SELECTION CRITERIA

SCAQMD staff will evaluate all submitted applications and make recommendations to the Governing Board for final selection of project(s) to be funded. Applications will be evaluated on the cost-effectiveness of NOx, PM10 and ROG reduced, as well as a project's disproportional impact evaluation (discussed below). Be aware that there is a possibility that due to program priorities, cost-effectiveness and/or funding limitations, project applicants may be offered only partial funding, and not all applications that meet cost-effectiveness criteria may be funded.

At least 50 percent of the SCAQMD's CMP funds must be spent in areas that are disproportionately impacted by air pollution. SCAQMD uses the following method to meet these requirements:

1. All projects must qualify for the CMP by meeting the cost-effectiveness limits established in the Program Announcement.
2. All projects will be evaluated according to the following criteria to qualify for funding as a disproportionately impacted area:
 - a) Poverty Level: Detailed socioeconomic information is not included in the 2010 Census. Such data is collected yearly from a small percentage of the population on a rotating basis by the



American Community Survey (ACS). All projects in areas where at least 10 percent of the population falls below the Federal poverty level based on the 2008-2012 ACS data are eligible to be included in this category, and

- b) PM2.5 Exposure: All projects in areas with the highest 15 percent of PM2.5 concentration measured within a 2 km grid will be eligible to be ranked in this category. The highest 15 percent of PM2.5 concentration is 11.1 micrograms per cubic meter and above, on an annual average, or
- c) Air Toxics Exposure: All projects in areas with a cancer risk of 894 in a million and above (based on MATES IV estimates) will be eligible to be ranked in this category.

The maximum score is comprised of 40 percent for poverty level and 30 percent each for PM and toxic exposures. Special circumstances exist in some areas, such as the Ports of Long Beach and Los Angeles. Since there are no residents within the ports, poverty ranking could not be established. In this case, the poverty ranking from the adjacent on-shore areas was extended to the port since these populated areas are directly impacted by port activities.

SECTION V - PAYMENT TERMS

For all projects, except shore power projects, full payment will be made upon installation and commencement of operation of the funded equipment. For shore power projects, a progress payment schedule may be established that allows payment upon completion of key milestones, as delineated in the contract.

SECTION VI: SCAQMD STAFF CONTACTS AND ADDITIONAL RESOURCES

The SCAQMD staff contacts are listed in Table 2 by project category. Copies of the Program Announcement, Application Forms and a sample SCAQMD CMP contract may be accessed at: www.aqmd.gov/Moyer.

Table 2: CMP Staff Contacts

Project Category	Staff Contact	Phone Number	Email
On-Road Heavy-Duty Vehicles	Ashkaan Nikravan	(909) 396-3260	anikravan@aqmd.gov
Off-Road Equipment	Andrew Yoon	(909) 396-3043	ayoon@aqmd.gov
	Walter Shen	(909) 396-2487	wshen@aqmd.gov
	Krystle Martinez	(909) 396-3021	kmartinez@aqmd.gov
Cargo Handling Equipment Electrification	Greg Ushijima	(909) 396-3301	gushijima@aqmd.gov
Marine Vessels	Mark Coleman	(909) 396-3074	mcoleman@aqmd.gov
	Von Loveland	(909) 396-3063	vloveland@aqmd.gov
Shore Power	Greg Ushijima	(909) 396-3301	gushijima@aqmd.gov
Locomotives	Mei Wang	(909) 396-3257	mwang@aqmd.gov



WEBSITE LINKS TO CARB RULES THAT AFFECT CMP ELIGIBILITY

On-Road Private (truck and bus) @ <http://www.arb.ca.gov/msprog/onrdiesel/onrdiesel.htm>

Public/Utility Fleets @ <http://www.arb.ca.gov/msprog/publicfleets/publicfleets.htm>

In-Use Off-Road @ <http://www.arb.ca.gov/msprog/ordiesel/ordiesel.htm>

Harbor Craft @ <http://www.arb.ca.gov/ports/marinevess/harborcraft.htm>

Cargo Handling Equipment @ <http://www.arb.ca.gov/ports/cargo/cargo.htm>

Shore Power @ <http://www.arb.ca.gov/ports/shorepower/shorepower.htm>



APPENDIX A

Table of Contents

SCAQMD encourages applicants to utilize the new CMP Online Application Program to submit applications to the Year 19 CMP. The CMP Online Application Program is available at www.aqmd.gov/moyer. If you choose to submit a paper application, please utilize the application forms and other documents identified below. Each document listed below is available on SCAQMD's Carl Moyer Program homepage for efficient download.

1. Application Checklist – one per applicant.
2. Form A-1: General Application (includes Checklist, Application Statement and Business Information Forms). Provide a complete set of Form A-1 documents for each equipment category (i.e., locomotive, marine, off-road, etc.).
3. Category Application Form specific to your project category (one per unit, or use excel templates referenced in the form for multiple unit projects)
 - a) Form B-1: On-Road Heavy-Duty Vehicles, New Purchase
 - b) Form B-2: On-Road Heavy-Duty Vehicles, Repower
 - c) Form B-3: Emergency Vehicles (Fire Apparatus)
 - d) Form C-1: Off-Road Equipment Replacement
 - e) Form C-2: Off-Road Equipment (Repower, Repower with Retrofit)
 - f) Form C-3: Off-Road Equipment Retrofit
 - g) Form C-4: Cargo Handling Equipment (CHE) Electrification
 - h) Form D-1: Marine Vessels, Repower
 - i) Form D-2: Marine Vessels, Shore Power
 - j) Form E-1 through E-5: Locomotives
 1. Form E-1: Locomotive Replacement
 2. Form E-2: Locomotive ARB Verified Retrofit
 3. Form E-3: Head-End Power Unit
 4. Form E-4: Idle Limiting Device
 5. Form E-5: Engine Remanufacture Kit or Repower/Refurbishment



APPLICATION CHECKLIST

Use this checklist to organize your paper copy application. Each of the following application sections is required to be submitted if you submit a paper application:

- A cover letter stating your grant request, how many pieces of equipment and/or engines included in the proposed project, and the funding amount being requested (per engine and for the total project). For applications covering more than one category, organize this information into project category (i.e., marine, locomotive, on-road, etc.)
- This Application Checklist (signed below).
- General Application Form A-1. Provide a separate Form A-1 for each category (i.e., marine, locomotive, etc.) for which grant funding is requested. Form A-1 also includes the following documents:
 - Application Statement (signed and initialed as applicable)
 - Completed and **signed** Business Information Forms
- Category Application Form specific to your project category (i.e., locomotive, off-road, marine, etc.), along with the following attachments/enclosures:
 - Optional Excel Worksheet associated with applicable application form/category (you may use this form for multiple unit projects, if desired)
 - Vendor quotes dated no earlier than 90 days prior to the closing date of the Program Announcement
 - CARB Executive Orders for each engine. Download at:
 - On-road: <http://www.arb.ca.gov/msprog/onroad/cert/cert.php>
 - Off-road: <http://www.arb.ca.gov/diesel/cv.htm>
 - Previous two years of historical records documenting equipment usage

Once completed, please submit one electronic and four paper copies of the assembled package, in accordance with the Application Submittal Instructions.

I understand that all documents, as listed above, are required in order to have a complete application package in order to be considered for funding under the Carl Moyer Program.

Signature

Date



Online Carl Moyer and SOON Application
Form A-1
General Application Form (page 1 of 3)

The SCAQMD is accepting applications for projects throughout its jurisdiction. All proposals will be evaluated based on their cost-effectiveness and their disproportionate impact score as discussed in Section IV "Proposal Evaluation/Contract Selection Criteria" contained in Program Announcement. For additional information about SCAQMD's policies and application information, visit: www.aqmd.gov/moyer. In general, this program will follow CARB Carl Moyer Program guidelines, which are available at: <http://www.arb.ca.gov/msprog/moyer/moyer.htm>.

The submittal of an application does not guarantee approval for funding, but will be used to determine the potential emission reductions and eligible grant funding amount for the proposed project. Any equipment purchased prior to project approval by the SCAQMD Governing Board will not be eligible for funding. Applicant may, at their own risk, issue a purchase order for approved equipment prior to contract execution. Other than a purchase order, **no other work shall proceed** until a fully executed contract, i.e. signed by the applicant and SCAQMD Board Chairman and a pre-inspection, is completed.

Organization Information

Legal Name of Organization *

The legal organization name must be that of the legal equipment owner.

Organization Address

Mailing Address *
Street Address/P.O. Box
City *
State *
Zip *
County *

Primary Contact Name and Information

First Name
Last Name
Email Address
(A valid Email address is required. Eg. john@gmail.com)
Phone Number
Fax Number

Person Authorized to Sign Application and Execute Grant Agreement

First Name
Last Name
Email Address
(A valid Email address is required. Eg. john@gmail.com)
Phone Number
Fax Number

Name of Person Who Completed the Application
What is Your Position?
How much are you being paid to complete this application for the owner or to assist in the proposed project?
What is the source of funds being used to pay you?

Signature of signing authority:

Date:



Online Carl Moyer and SOON Application Form

A-1

General Application Form (page 2 of 3)

All information provided in this application will be used by SCAQMD staff to evaluate the eligibility of this application to receive program funds. SCAQMD staff reserves the right to request additional information and can deny the application if such requested information is not provided by the requested deadline. Incomplete or illegible applications will be returned to applicant or vendor, without evaluation. An incomplete application is an application that is missing information critical to the evaluation of the project.

Please read and check each item below to indicate understanding and agreement:

I understand that this application is for evaluation purposes only and does not guarantee project funding. Only a fully executed Grant Agreement between the equipment owner and the District constitutes an obligation to fund a project.

I certify to the best of my knowledge that the information contained in this application is true and accurate.

I understand that all vehicles/equipment, both existing and new, must be made available within the SCAQMD boundaries for inspection, unless otherwise approved by SCAQMD's Project Officer.

The vehicle/engine will be used within the SCAQMD boundaries (with the emission reduction system operating) for at least the projected usage shown in this application, and no less than 75 percent of the time.

I understand that it is my responsibility to ensure that all technologies are either verified or certified by the California Air Resources Board (CARB) to reduce NOx and/or PM pollutants. CARB Verification Letters and/or Executive Orders are attached, as applicable.

I understand that for repower projects, I am required to install the highest level available verified diesel emission control device (VDECS), and that the costs of this device and associated installation are a CMP eligible expense. These costs may be included in the project grant request up to the maximum cost-effectiveness limit.

I understand that there may be conditions placed upon receiving a grant and agree to refund the grant (or pro-rated portion thereof) if it is found that at any time I do not meet those conditions and if directed by the SCAQMD in accordance with the contract agreement.

I understand that, for this equipment, I will be prohibited from applying for any other form of emission reduction credits for Moyer-funded vehicles/engines.

In the event that the vehicle(s)/equipment do not complete the minimum term of any agreement eventually reached from this application, I agree to ensure the equivalent project emissions reductions, or to return grant funds to the SCAQMD as required by the contract.

I understand that all on-road engines in my fleet that are eligible for a low-NOx software upgrade (reflash) must be reflashed within 60 days of receipt of contract execution. I may self-certify that the reflash has been performed by submitting a receipt of the completed reflash or a picture of the "Low NOx Reflash Label" from the reflashed engine to SCAQMD.

I understand that third party contracts are not permitted. A third party may, however complete an application on an owner's behalf. Third parties are required to list how much compensation, if any, they are receiving to prepare the application(s), and to certify that no CMP funds are being used for this compensation.

I understand that off-road equipment applicants subject to CARB's In-Use Off-Road Diesel Vehicle Regulation (Off-Road Regulation must submit information regarding fleet size and compliance status. This must include the Diesel Off-Road On-line Reporting System (DOORS) ID of the fleet and the DOORS Equipment Identification Number (EIN) of the funded equipment. All documentation submitted must be signed and dated by the applicant and include language certifying that the fleet list provided is accurate and complete.

I understand that additional project information may be requested during project review and must be submitted prior to contract award.

I understand that all vehicles, engines or equipment funded by this program must be operational within eighteen (18) months of contract execution, or by May 20, 2018, whichever is earlier.

All project applicants must submit documentation that supports the activity claimed in the application (i.e., fuel receipts, mileage logs and/or hour-meter readings covering the last two years). This documentation is attached.

The grant contract language cannot be modified without the written consent of all parties. I have reviewed and accepted the sample contact language.

I understand that an IRS Form 1099 may be issued to me for incentive funds received under the Moyer Program. I understand that it is my



Online Carl Moyer and SOON Application
Form A-1
General Application Form (page 3 of 3)

responsibility to determine the tax liability associated with participating in the Moyer Program.

I understand that an SCAQMD-funded Global Positioning System (GPS) unit will be installed on vehicles/equipment not operating within SCAQMD boundaries full time. I will submit data as requested and otherwise cooperate with all data reporting requirements. I also understand that the additional cost of the GPS unit will be added to the project cost when calculating cost-effectiveness, though the SCAQMD will pay for this system directly.

I understand that the SCAQMD has the right to conduct unannounced inspections for the full project life to ensure the project equipment is fully operational at the activity level committed to by the contract.

I understand that all emission reductions resulting from funded projects will be retired. To avoid double counting of emission reductions, project vehicles and/or equipment may not receive funding from any other government grant program that is designed to reduce mobile source emissions.

I understand that a tamper proof, non-resettable digital hour meter/odometer must be installed on all vehicles/equipment and that the digital hour meter/odometer will record the hours/miles accumulated within the SCAQMD boundaries. This cost is my responsibility.

I understand that any tax credits claimed must be deducted from the CMP request.

Please check one:

I do not plan to claim a tax credit or deduction for costs funded by the CMP.

I do plan to claim a tax credit or deduction for costs funded by the CMP.

If so please indicate amount here: \$

I plan to claim a tax credit or deduction only for the portion of incremental costs not funded by the CMP.

If so please indicate amount here: \$

I have attached the required SCAQMD Campaign Contribution Disclosure Form to this application, which will be screened on a case-by-case basis by the SCAQMD General Counsel's Office.

Please print the name of the signing authority (first and last name)

Signature of signing authority:

Please enter the proposal submission date:



Online Carl Moyer and SOON Application Form B-1

On-Road Heavy-Duty Equipment New Purchase : Vehicle Information

If you have any questions regarding this program or the application process, please contact Ashkaan Nikravan by phone at (909) 396-3260 or by email at: anikravan@aqmd.gov

Vehicle Information

Registered Owner Projected Year of Purchase

Has this equipment received Carl Moyer Program funds in the past? Yes No

Is the vehicle location address the same as the applicant address? Yes No

Street address/
PO Box

Street Address
Line 2 City

County State

Zip Vehicle Type

If other, please describe:

New Equipment and Vendor Information

New Vehicle Cost
(Including Tax) New Vehicle Identification
Number (VIN)

California Highway Patrol
CA Number New Unit Number

Is this a public fleet vehicle? Yes No

New Equipment Make New Equipment Model

New Equipment Model Year New Equipment GVWR

Vendor Vendor Contact Name

Vendor Phone Number Vendor Address

Vendor City Vendor State

Vendor Zip



Online Carl Moyer and SOON Application
 Form B-1
 On-Road Heavy-Duty Equipment
 New Purchase : Project Details

Name of California State Fleet Regulation this vehicle is subject to

What is the GVWR for the existing vehicle? On-road heavy-duty diesel vehicles with this GVWR range will be considered for CMP funding on a case-by-case basis.

Amount requested from SCAQMD for the project (includes all vehicles in proposal)

What is your current fleet size? (Should reflect all diesel fuel vehicles with a GVWR greater than 14,000 lbs.)

If applicable did you register your fleet through ARB's TRUCRS Database by January 31, 2016? Yes No

Please provide a copy of the Compliance Certificate on the Attachments page.

Total Funding Requested

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Percent operation in California (%)

Percent Operation in District (%)
 SCAQMD District Boundaries <http://www.aqmd.gov/home/about/jurisdiction>

Proposed Project Life (this is the number of years that the equipment must operate as specified in your SCAQMD contract)

Maximum Project Life for On-Road Projects

- Buses > 60,001 gross combined weight or gross vehicle weight (GVW) – New 12 years
- School buses ≥ 33,001 GVW – New 20 years
- School buses ≤ 33,000 GVW or Other On-Road – New 10 years
- Repower Only (No Retrofit) 7 Years
- School bus Electric Conversions 5 years
- Repowers + Retrofits 5 years
- Retrofits 5 years



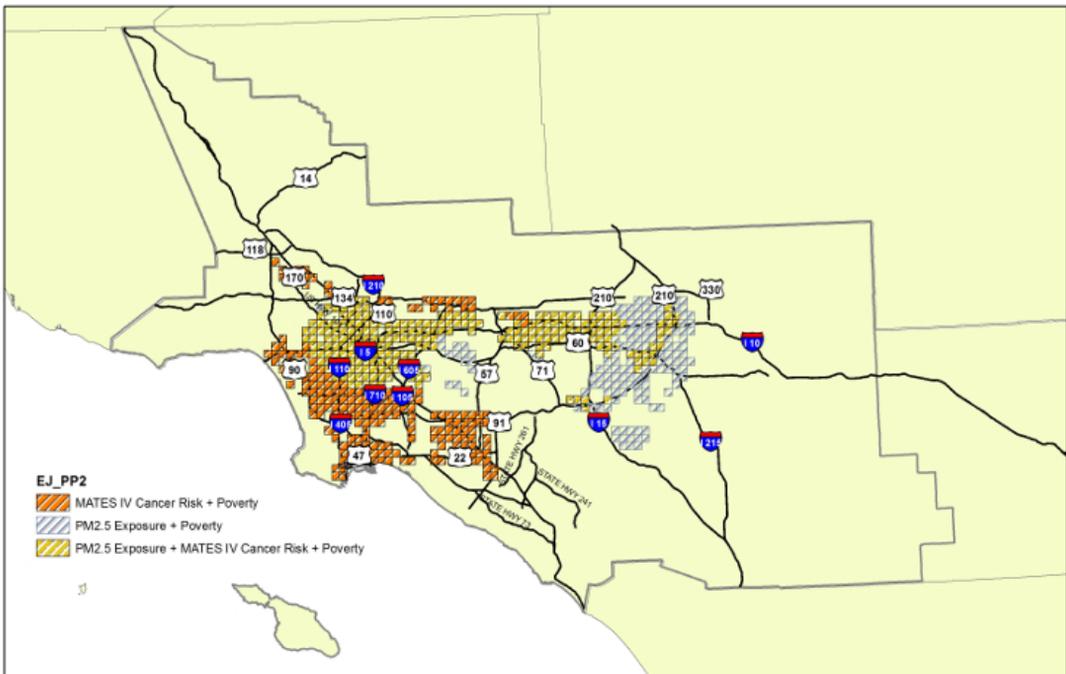
Online Carl Moyer and SOON Application Form B-1

On-Road Heavy-Duty Equipment New Purchase : Disproportionate Impact

At least 50 percent of the SCAQMD's CMP funds must be spent in areas that are most disproportionately impacted by air pollution. SCAQMD uses the following method to meet these requirements:

1. All projects must qualify for the Carl Moyer Program by meeting the cost-effectiveness limits established in the Program Announcement.
2. All projects will be evaluated according to the following criteria to qualify for funding as a disproportionately impacted area:
 - a. Poverty Level: Detailed socioeconomic information is not included in the 2010 Census. Such data is collected yearly from a small percentage of the population on a rotating basis by the American Community Survey (ACS). All projects in areas where at least 10 percent of the population falls below the Federal poverty level based on the 2008-2012 ACS data are eligible to be included in this category, and
 - b. PM_{2.5} Exposure: All projects in areas with the highest 15 percent of PM_{2.5} concentration measured within a 2 km grid will be eligible to be ranked in this category. The highest 15 percent of PM_{2.5} concentration is 11.10 micrograms per cubic meter and above, on an annual average, or
 - c. Air Toxics Exposure: All projects in areas with a cancer risk of 865 in a million and above (based on MATES III estimates) will be eligible to be ranked in this category.

The maximum score is comprised of 40 percent for poverty level and 30 percent each for PM and toxic exposures. Special circumstances exist in some areas, such as the Ports of Long Beach and Los Angeles. Since there are no residents within the ports, poverty ranking could not be established. In this case, the poverty ranking from the adjacent on-shore areas was extended to the port since these populated areas are directly impacted by port activities.





Online Carl Moyer and SOON Application
Form B-1
On-Road Heavy-Duty Equipment
New Purchase : Engine Information

New Engine Information

Engine Fuel Type

Engine Make

Engine Model Year

Engine Model

ARB Nox Certification Level

If other ARB NOx Certification Level, please describe:

ARB Engine Family Number

ARB Certification Executive Order (EO) Number (if zero-emission, attach ARB Approval Letter)

Download the EO at: <http://www.arb.ca.gov/msprog/onroad/cert/cert.php>

The proposed engine for the project must be consistent with the Intended Service Class per the EO (MHD Intended Service Class engines cannot be used for projects which have the HHD vehicle classifications). Applicant must ATTACH a copy of the referenced Executive Order with the application. Download the EO at: <http://www.arb.ca.gov/msprog/onroad/cert/cert.php>



Online Carl Moyer and SOON Application Form B-1

On-Road Heavy-Duty Equipment New Purchase : Engine Activity Information

Please provide projected annual usage for the new equipment over the proposed life of the project. This projection should be based on actual usage data for the baseline, or existing, equipment. Applicants requesting evaluation based on fuel consumption MUST provide both mileage and fuel records from the past 24 months. Supporting documentation may be in the form of maintenance records, fuel receipts, logs, or other paperwork for each piece of baseline equipment covering at least the past 24 months. No such documentation is required for project evaluations based solely on mileage.

Activity Information

Expected annual mileage

Expected annual fuel use



Online Carl Moyer and SOON Application Form B-1

On-Road Heavy-Duty Equipment
New Purchase : Attachments

The following attachments may be submitted for this proposal:

- Insurance Documentation
- Engine Executive Order(s) and Retrofit Device Executive Order(s)
- Quotes
- Equipment Usage Documentation (for past 24 – months)
- Other misc. attachments
- ARB Approval Letter (for Zero-Emission)
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Direct Deposit Form
- Business Status Cert



Online Carl Moyer and SOON Application Form B-2 On-Road Heavy-Duty Equipment Repower Only : Vehicle Information

If you have any questions regarding this program or the application process, please contact Ashkaan Nikravan by phone at (909) 396-3260 or by email at: anikravan@aqmd.gov

Existing Vehicle Information

Registered Owner

Has this equipment received Carl Moyer Program funds in the past? Yes No

Is the vehicle location address the same as the applicant address? Yes No

Street address/
PO Box

Street Address
Line 2 City

County State

Zip Vehicle Type

If other, please describe:

Vehicle Identification
Number (VIN) Vehicle Make

Vehicle Model Vehicle Model Year

Gross Vehicle Weight
Rating (GVWR) California Highway
Patrol CA Number

Unit Number License Plate #



Online Carl Moyer and SOON Application
Form B-2
On-Road Heavy-Duty Equipment
Repower Only : Project Details

Name of California State Fleet Regulation this vehicle is subject to

Amount requested from SCAQMD for the project (includes all vehicles in proposal)

What is your current fleet size? (Should reflect all diesel fuel vehicles with a GVWR greater than 14,000 lbs.)

If applicable did you register your fleet through ARB's TRUCRS Database by January 31, 2016? Yes No

Total Funding Requested

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Percent operation in California (%)

Percent Operation in District (%)
SCAQMD District Boundaries <http://www.aqmd.gov/home/about/jurisdiction>

Proposed Project Life (this is the number of years that the equipment must operate as specified in your SCAQMD contract)

Maximum Project Life for On-Road Projects

Buses > 60,001 gross combined weight or gross vehicle weight (GVW) – New	12 years
School buses ≥ 33,001 GVW – New	20 years
School buses ≤ 33,000 GVW or Other On-Road – New	10 years
Repower Only (No Retrofit)	7 Years
School bus Electric Conversions	5 years
Repowers + Retrofits	5 years
Retrofits	5 years



Online Carl Moyer and SOON Application
Form B-2
On-Road Heavy-Duty Equipment
Repower Only : Engine Information

Baseline Engine Information

Engine Fuel Type	<input type="text"/>		
Engine Make	<input type="text"/>	Engine Model	<input type="text"/>
Engine Model Year	<input type="text"/>	Engine Serial Number	<input type="text"/>
ARB Nox Certification Level	<input type="text"/>	ARB Engine Family Number	<input type="text"/>

If other ARB NOx Certification Level, please describe:

New Engine Information

New Engine Fuel Type	<input type="text"/>		
New Engine Make	<input type="text"/>	New Engine Model	<input type="text"/>
New Engine Model Year	<input type="text"/>	New Engine Serial Number	<input type="text"/>
New Engine ARB Engine Family Number	<input type="text"/>	ARB Nox Certification Level	<input type="text"/>

If other ARB NOx Certification Level, please describe:

ARB Certification Executive Order (EO) Number
(if zero-emission, attach ARB Approval Letter)

Funding Information

New Engine Cost (Including Tax)	<input type="text"/>	New Engine Installation Cost	<input type="text"/>
Grant Request Amount for this Repower	<input type="text"/>		
Vendor	<input type="text"/>	Vendor Contact Name	<input type="text"/>
Vendor Phone Number	<input type="text"/>	Vendor Address	<input type="text"/>
Vendor City	<input type="text"/>	Vendor State	<input type="text"/>
Vendor Zip	<input type="text"/>		

The proposed engine for the project must be consistent with the Intended Service Class per the EO (MHD Intended Service Class engines cannot be used for projects which have the HHD vehicle classifications). Applicant must ATTACH a copy of the referenced Executive Order with the application. Download the EO at: <http://www.arb.ca.gov/msprog/onroad/cert/cert.php>



Online Carl Moyer and SOON Application
Form B-2
On-Road Heavy-Duty Equipment
Repower Only : Engine Activity Information

Please provide projected annual usage for the new equipment over the proposed life of the project. This projection should be based on actual usage data for the baseline, or existing, equipment. Applicants requesting evaluation based on fuel consumption MUST provide both mileage and fuel records from the past 24 months. Supporting documentation may be in the form of maintenance records, fuel receipts, logs, or other paperwork for each piece of baseline equipment covering at least the past 24 months. No such documentation is required for project evaluations based solely on mileage.

Activity Information

Baseline Engine - Annual operation details

	2017	2016	2015	Estimated Annual Future Usage
Miles	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Fuel Use (gallons/year)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>



Online Carl Moyer and SOON Application Form B-2

On-Road Heavy-Duty Equipment
Repower Only : Attachments

The following attachments may be submitted for this proposal:

- Insurance Documentation
- Engine Executive Order(s) and Retrofit Device Executive Order(s)
- Quotes
- Equipment Usage Documentation (for past 24 – months)
- Other misc. attachments
- ARB Approval Letter (for Zero-Emission)
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Direct Deposit Form
- Business Status Cert



Online Carl Moyer and SOON Application
 Form B-3
 On-Road Emergency Equipment (Fire Apparatus)
 New Only : Equipment Information

If you have any questions regarding this program or the application process, please contact Ashkaan Nikravan by phone at (909) 396-3260 or by email at: anikravan@aqmd.gov

Existing Vehicle Information

Registered Owner

Has this equipment received Carl Moyer Program funds in the past? Yes No

Is the vehicle location address the same as the applicant address? Yes No

Street address/
PO Box

Street Address
Line 2 City

County State

Zip Vehicle Type

If other, please describe:

Is the vehicle an Authorized Emergency Vehicle?
 (Authorized emergency vehicles as described in the California Vehicle Code, sections 27156.2 and 165? including, but not limited to pumpers, ladder trucks, and water tenders) Yes No

Proposed Project Life (in years)
 This is the number of years that the equipment must operate as specified in your SCAQMD contract. (The maximum project life available for fire apparatus is 14 years and represents the average remaining useful life of the vehicle.)

Vehicle Identification
Number (VIN) Vehicle Make

Vehicle Model Vehicle Model Year

Gross Vehicle Weight
Rating (GVWR)

License Plate # Unit Number

I have attached proof of California registration for the past 24-months and a copy of the Title, proving ownership (without lien holder) for each project vehicle. Yes No

Is 2 to 1 Replacement Applied? Yes No

New Equipment and Vendor Information

New Equipment Make New Equipment Model

New Equipment Model Year New Equipment Cost

New Equipment GVWR

Vendor Vendor Contact Name

Vendor Phone Number Vendor Address

Vendor City Vendor State



Online Carl Moyer and SOON Application Form B-3 On-Road Emergency Equipment (Fire Apparatus) New Only : Project Details

Are the project vehicle(s) being submitted for funding under this category exempt from ARB Regulations?
Authorized emergency vehicle(s) are described under California Vehicle Code Sections 27156.2 and 165.

Yes No

Is this a public fleet vehicle?

Yes No

Grant Request Amount

Total Funding Requested

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Percent operation in California (%)

Percent Operation in District (%)

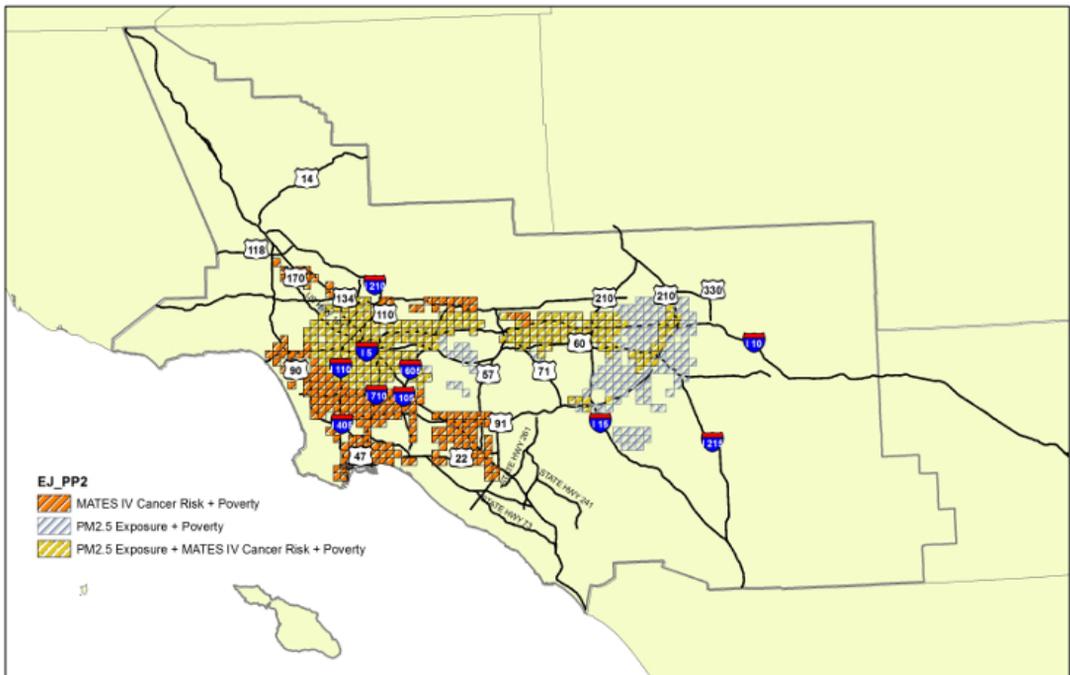


Online Carl Moyer and SOON Application Form B-3 On-Road Emergency Equipment (Fire Apparatus) New Only : Disproportionate Impact

At least 50 percent of the SCAQMD's CMP funds must be spent in areas that are most disproportionately impacted by air pollution. SCAQMD uses the following method to meet these requirements:

1. All projects must qualify for the Carl Moyer Program by meeting the cost-effectiveness limits established in the Program Announcement.
2. All projects will be evaluated according to the following criteria to qualify for funding as a disproportionately impacted area:
 - a. Poverty Level: Detailed socioeconomic information is not included in the 2010 Census. Such data is collected yearly from a small percentage of the population on a rotating basis by the American Community Survey (ACS). All projects in areas where at least 10 percent of the population falls below the Federal poverty level based on the 2008-2012 ACS data are eligible to be included in this category, and
 - b. PM2.5 Exposure: All projects in areas with the highest 15 percent of PM2.5 concentration measured within a 2 km grid will be eligible to be ranked in this category. The highest 15 percent of PM2.5 concentration is 11.10 micrograms per cubic meter and above, on an annual average, or
 - c. Air Toxics Exposure: All projects in areas with a cancer risk of 865 in a million and above (based on MATES III estimates) will be eligible to be ranked in this category.

The maximum score is comprised of 40 percent for poverty level and 30 percent each for PM and toxic exposures. Special circumstances exist in some areas, such as the Ports of Long Beach and Los Angeles. Since there are no residents within the ports, poverty ranking could not be established. In this case, the poverty ranking from the adjacent on-shore areas was extended to the port since these populated areas are directly impacted by port activities.





Online Carl Moyer and SOON Application
Form B-3
On-Road Emergency Equipment (Fire Apparatus)
New Only : Engine Information

Baseline Engine Information

Engine Fuel Type	<input type="text"/>		
Engine Make	<input type="text"/>	Engine Model	<input type="text"/>
Engine Model Year	<input type="text"/>	Engine Serial Number	<input type="text"/>
ARB Nox Certification Level	<input type="text"/>	ARB Engine Family Number	<input type="text"/>

If other ARB NOx Certification Level, please describe:

ARB Certification Executive Order (EO) Number (if zero-emission, attach ARB Approval Letter)

Download the EO at: <http://www.arb.ca.gov/msprog/onroad/cert/cert.php>

New Engine Information

Engine Fuel Type	<input type="text"/>		
Engine Make	<input type="text"/>	Engine Model	<input type="text"/>
Engine Model Year	<input type="text"/>	ARB Nox Certification Level	<input type="text"/>

If other ARB NOx Certification Level, please describe:

ARB Engine Family Number ARB Certification Executive Order (EO) Number (if zero-emission, attach ARB Approval Letter)

The proposed engine for the project must be consistent with the Intended Service Class per the EO (MHD Intended Service Class engines cannot be used for projects which have the HHD vehicle classifications). Applicant must ATTACH a copy of the referenced Executive Order with the application. Download the EO at: <http://www.arb.ca.gov/msprog/onroad/cert/cert.php>



Online Carl Moyer and SOON Application
Form B-3
On-Road Emergency Equipment (Fire Apparatus)
New Only : Engine Activity Information

Please provide projected annual usage for the new equipment over the proposed life of the project. This projection should be based on actual usage data for the baseline, or existing, equipment. Applicants requesting evaluation based on fuel consumption MUST provide both mileage and fuel records from the past 24 months. Supporting documentation may be in the form of maintenance records, fuel receipts, logs, or other paperwork for each piece of baseline equipment covering at least the past 24 months. No such documentation is required for project evaluations based solely on mileage.

Activity Information

Baseline Engine - Annual operation details. If fuel based evaluation you must also provide mileage

	2017	2016	2015	Estimated Annual Future Usage
Miles	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Fuel Use (gallons/year)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>



Online Carl Moyer and SOON Application
Form B-3
On-Road Emergency Equipment (Fire Apparatus)
New Only : Attachments

The following attachments may be submitted for this proposal:

- Vehicle Registration
- ARB Approval Letter (for Zero-Emission)
- Fuel/Mileage Logs
- Engine Executive Order(s) and Retrofit Device Executive Order(s)
- Quotes
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Direct Deposit Form
- Miscellaneous Documents
- Business Status Cert



Online Carl Moyer and SOON Application Form C-1 Off-Road Equipment Replacement Equipment Information (page 1 of 2)

If you have any questions regarding this program or the application process, please contact Andrew Yoon by phone at (909) 396-3043 or by email at: ayoon@aqmd.gov.

Large Off-Road Fleets have limited eligibility for Carl Moyer Program funding, but may apply for SOON Program funding using this application. For more information, please visit www.aqmd.gov/SOON.

Please complete one Form for each piece of equipment.

Existing Equipment Information

Has this equipment received Carl Moyer Program funds in the past? Yes No

What is the primary function of this equipment?

Is the vehicle location address the same as the applicant address? Yes No

Street address/
PO Box

Street Address
Line 2 City

County State

Zip Vehicle Type

If other, please describe:

Equipment Category

Equipment Type

If other equipment type, please describe

Equipment Make Equipment Model

Equipment Model Year Equipment Serial
Number or VIN

Unit Number

Is 2 to 1 Replacement Applied? Yes No

Number of Main Engines Number of Auxiliary
Engines

Is this equipment used in Agricultural operations? Yes No

What percentage of equipment operations are in Agriculture?



Online Carl Moyer and SOON Application Form C-1 Off-Road Equipment Replacement Equipment Information (page 2 of 2)

New Equipment and Vendor Information

Unit Number	<input type="text"/>	Equipment Category	<input type="text"/>
Equipment Type	<input type="text"/>		
If other equipment type, please describe			
<input type="text"/>			
Equipment Make	<input type="text"/>	Equipment Model	<input type="text"/>
Equipment Model Year	<input type="text"/>		
Vendor	<input type="text"/>	Vendor Contact Name	<input type="text"/>
Vendor Phone Number	<input type="text"/>	Vendor Address	<input type="text"/>
Vendor City	<input type="text"/>	State	<input type="text"/>
Vendor Zip	<input type="text"/>		

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.

Number of engines for this New Equipment Unit:

Main (Front) Engine(s)	<input type="text"/>	Auxiliary (Rear) Engine(s)	<input type="text"/>
New Replacement Unit Cost \$	<input type="text"/>	Tax \$	<input type="text"/>
Total Cost \$	<input type="text"/>	Applicant Co-Funding Amount (If Any) \$	<input type="text"/>
Applicant Grant Request (If Any) \$	<input type="text"/>		



Online Carl Moyer and SOON Application Form C-1 Off-Road Equipment Replacement Project Details

Is equipment currently subject to CARB's Off-Road Regulation?

Yes No

What is the total horsepower of all vehicles in the fleet?

Enter DOORS Fleet Number

All Off-Road equipment applicants subject to CARB's In-Use Off-Road Diesel Vehicle Regulation must submit their DOORS fleet compliance snapshot and fleet vehicle list.

You may contact the DOORS hotline at (877) 593-6677 for assistance.

SOON applications must also submit the fleet average calculation. Please visit <https://arb.ca.gov/msprog/ordiesel/fac.htm> for more information.

Total Funding Requested

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Is existing equipment in operable condition?

Yes No

How many years has the applicant owned the existing equipment?

Does this vehicle have a functioning, non-resettable hour meter?

Yes No

Percent Operation in California

Percent Operation in District

Note: See <http://www.aqmd.gov/home/about/jurisdiction> for a jurisdiction map.

Proposed Project Life (this is the number of years that the equipment must operate as specified in your SCAQMD contract)



Online Carl Moyer and SOON Application
Form C-1
Off-Road Equipment Replacement
Engine Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Existing/Baseline Engine Information

Baseline Engine Type Main Auxiliary

Baseline Engine Fuel Type

Baseline Engine Make

Baseline Engine Model

Baseline Engine Model Year

Baseline Engine Serial Number

Baseline Engine Horsepower

Baseline Engine Family Number

Old Engine (Baseline) Emissions Tier

New Engine Information

New Engine Fuel Type

New Engine Make

New Engine Model

New Engine Model Year

New Engine Serial Number

New Engine Horsepower

New Engine Family Number

New Engine (Reduced) Emissions Tier



Online Carl Moyer and SOON Application
Form C-1
Off-Road Equipment Replacement
Engine Activity Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Project application must include documentation of existing equipment usage for the previous 24 months prior to the application date.

Baseline Engine - Annual operation details

	2017	2016	2015	Estimated Annual Future Usage
Hours	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>



Online Carl Moyer and SOON Application
Form C-1
Off-Road Equipment Replacement
Attachments

The following attachments may be submitted for this proposal:

- Insurance Documentation
- Engine Executive Order(s) and Retrofit Device Executive Order(s)
- Quotes
- Equipment Usage Documentation (for past 24 – months)
- Other misc. attachments
- Equipment Ownership
- Equipment Operability
- DOORS Vehicle List
- SOON Fleet Average Calculation (please go to <https://arb.ca.gov/msprog/ordiesel/fac.htm>)
- DOORS Fleet Compliance Snapshot
- Business Information Request Form
- Campaign Contribution Disclosure
- Business Status Cert
- W-9 Form
- Direct Deposit Form



Online Carl Moyer and SOON Application

Form C-2

Off-Road Equipment Repower Equipment Information

All off-road repower projects must include installation of the highest level CARB-verified retrofit device if one is available. However, if the additional cost of the retrofit device causes the cost-effectiveness to exceed the limit, then the retrofit is not required. Or, if the installation of a retrofit device is infeasible or unsafe, you MUST attach documentation in accordance with CARB requirements, as summarized at: <http://www.arb.ca.gov/msprog/ordiesel/vdecssafety.htm>. If you have any questions regarding this program or the application process, please contact Andrew Yoon by phone at (909) 396-3043 or by email at: ayoon@aqmd.gov.

Large Off-Road Fleets have limited eligibility for Carl Moyer Program funding, but may apply for SOON Program funding using this application. For more information, please visit www.aqmd.gov/SOON.

Please complete ONE form for each piece of equipment.

Existing Equipment Information

Has this equipment received Carl Moyer Program funds in the past? Yes No

What is the primary function of this equipment?

Is the vehicle location address the same as the applicant address? Yes No

Street address/
PO Box

Street Address
Line 2 City

County State

Zip Vehicle Type

If other, please describe:

Equipment Category

Equipment Type

If other equipment type, please describe

Equipment Make Equipment Model

Equipment Model Year Equipment Serial
Number or VIN

Unit Number

Is 2 to 1 Replacement Applied? Yes No

Number of Main
Engines Number of Auxiliary
Engines

Is this equipment
used in Agricultural operations? Yes No



Online Carl Moyer and SOON Application Form C-2 Off-Road Equipment Repower Project Details

Is equipment currently subject to CARB's Off-Road Regulation?

Yes No

What is the total horsepower of all vehicles in the fleet?

Enter DOORS Fleet Number

All Off-Road equipment applicants subject to CARB's In-Use Off-Road Diesel Vehicle Regulation must submit their DOORS fleet compliance snapshot and fleet vehicle list.

You may contact the DOORS hotline at (877) 593-6677 for assistance.

SOON applications must also submit the fleet average calculation. Please visit <https://arb.ca.gov/msprog/ordiesel/fac.htm> for more information.

Total Funding Requested

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Is existing equipment in operable condition?

Yes No

How many years has the applicant owned the existing equipment?

Does this vehicle have a functioning, non-resettable hour meter?

Yes No

Percent Operation in California

Percent Operation in District

Proposed Project Life (this is the number of years that the equipment must operate as specified in your SCAQMD contract)



Online Carl Moyer and SOON Application
 Form C-2
 Off-Road Equipment Repower
 Engine Information (page 1 of 2)

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Existing/Baseline Engine Information

Baseline Engine Type Main Auxiliary

Baseline Engine Fuel Type

Baseline Engine Make Baseline Engine Model

Baseline Engine Model Year Baseline Engine Serial Number

Baseline Engine Horsepower Baseline Engine Family Number

Old Engine (Baseline) Emissions Tier

Method proposed for rendering the baseline engine(s) inoperable

New Engine Information

New Engine Fuel Type

New Engine Make New Engine Model

New Engine Model Year New Engine Serial Number

New Engine Horsepower New Engine Family Number

New Engine (Reduced) Emissions Tier

Is the New Engine a Family Emissions Limit (FEL) engine? Yes No

New Engine Cost Information

New Engine Unit Cost Cost of Installation/Labor

Cost of New Engine Tax Total Cost of Repower

Applicant Co-Funding Amount (if any) Grant Request Amount for this Repower

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.

New Engine Vendor Information

Vendor Vendor Contact Name

Vendor Phone Number Vendor Address

Vendor City Vendor State

Vendor Zip



Online Carl Moyer and SOON Application
Form C-2
Off-Road Equipment Repower
Engine Information (page 2 of 2)

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Engine Retrofit Information

Will a retrofit device be added to this engine as part of this project?

Yes No

Retrofit Device Make

Retrofit Device Model

% PM Reduction

% NOX Reduction

% ROG Reduction

Retrofit Device ARB Executive
Order Number

Project Life

Retrofit Cost Information

Retrofit Device System Cost

Retrofit Device Installation
Cost

Total Cost of Retrofit

Amount requested for this
retrofit \$



Online Carl Moyer and SOON Application
Form C-2
Off-Road Equipment Repower
Engine Activity Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Project application must include documentation of existing equipment usage for the previous 24 months prior to the application date.

Baseline Engine - Annual operation details

	2017	2016	2015	Estimated Annual Future Usage
Hours	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>



Online Carl Moyer and SOON Application
Form C-2
Off-Road Equipment Repower
Attachment

The following attachments may be submitted for this proposal:

- Insurance Documentation
- Engine Executive Order(s) and Retrofit Device Executive Order(s)
- Quotes
- Equipment Usage Documentation (for past 24 – months)
- Other misc. attachments
- DOORS Vehicle List
- SOON Fleet Average Calculation (please go to <https://arb.ca.gov/msprog/ordiesel/fac.htm>)
- DOORS Fleet Compliance Snapshot
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Direct Deposit Form
- Business Status Cert



Online Carl Moyer and SOON Application Form C-3 Off-Road Equipment Retrofit Equipment Information

If you have questions regarding this program or the application process, please contact Andrew Yoon by phone at (909) 396-3043 or by email at: ayoon@aqmd.gov.

Existing Equipment Information

Has this equipment received Carl Moyer Program funds in the past? Yes No

What is the primary function of this equipment?

Is the vehicle location address the same as the applicant address? Yes No

Street address/
PO Box

Street Address
Line 2 City

County State

Zip Vehicle Type

If other, please describe:

Equipment Category

Equipment Type

If other equipment type, please describe

Equipment Make Equipment Model

Equipment Model Year Equipment Serial
Number or VIN

Unit Number

Is 2 to 1 Replacement Applied? Yes No

Number of Main Engines Number of Auxiliary
Engines

Is this equipment used in Agricultural operations? Yes No



Online Carl Moyer and SOON Application Form C-3 Off-Road Equipment Retrofit Project Details

Is equipment currently subject to CARB's Off-Road Regulation?

Yes No

What is the total horsepower of all vehicles in the fleet?

Enter DOORS Fleet Number

All Off-Road equipment applicants subject to CARB's In-Use Off-Road Diesel Vehicle Regulation must submit their DOORS fleet compliance snapshot and fleet vehicle list.

You may contact the DOORS hotline at (877) 593-6677 for assistance.

SOON applications must also submit the fleet average calculation. Please visit <https://arb.ca.gov/msprog/ordiesel/fac.htm> for more information.

Total Funding Requested

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Is existing equipment in operable condition?

Yes No

How many years has the applicant owned the existing equipment?

Does this vehicle have a functioning, non-resettable hour meter?

Yes No

Percent Operation in California

Percent Operation in District

See <http://www.aqmd.gov/home/about/jurisdiction> for a jurisdiction map.

Proposed Project Life (this is the number of years that the equipment must operate as specified in your SCAQMD contract)

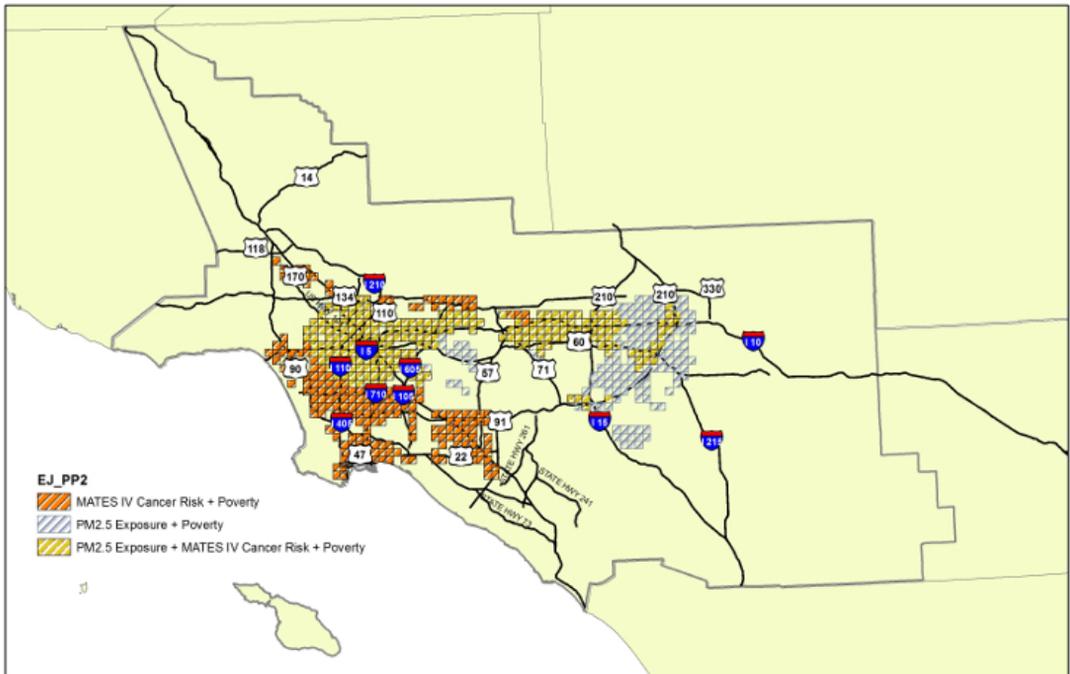


Online Carl Moyer and SOON Application Form C-3 Off-Road Equipment Retrofit Disproportionate Impact

At least 50 percent of the SCAQMD's CMP funds must be spent in areas that are most disproportionately impacted by air pollution. SCAQMD uses the following method to meet these requirements:

1. All projects must qualify for the Carl Moyer Program by meeting the cost-effectiveness limits established in the Program Announcement.
2. All projects will be evaluated according to the following criteria to qualify for funding as a disproportionately impacted area:
 - a. Poverty Level: Detailed socioeconomic information is not included in the 2010 Census. Such data is collected yearly from a small percentage of the population on a rotating basis by the American Community Survey (ACS). All projects in areas where at least 10 percent of the population falls below the Federal poverty level based on the 2008-2012 ACS data are eligible to be included in this category, and
 - b. PM_{2.5} Exposure: All projects in areas with the highest 15 percent of PM_{2.5} concentration measured within a 2 km grid will be eligible to be ranked in this category. The highest 15 percent of PM_{2.5} concentration is 11.10 micrograms per cubic meter and above, on an annual average, or
 - c. Air Toxics Exposure: All projects in areas with a cancer risk of 865 in a million and above (based on MATES III estimates) will be eligible to be ranked in this category.

The maximum score is comprised of 40 percent for poverty level and 30 percent each for PM and toxic exposures. Special circumstances exist in some areas, such as the Ports of Long Beach and Los Angeles. Since there are no residents within the ports, poverty ranking could not be established. In this case, the poverty ranking from the adjacent on-shore areas was extended to the port since these populated areas are directly impacted by port activities.





Online Carl Moyer and SOON Application
Form C-3
Off-Road Equipment Retrofit
Engine & Retrofit Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Existing/Baseline Engine Information

Baseline Engine Type	<input type="radio"/> Main	<input type="radio"/> Auxiliary		
Baseline Engine Fuel Type	<input type="text"/>			
Baseline Engine Make	<input type="text"/>	Baseline Engine Model	<input type="text"/>	
Baseline Engine Model Year	<input type="text"/>	Baseline Engine Serial Number	<input type="text"/>	
Baseline Engine Horsepower	<input type="text"/>	Baseline Engine Family Number	<input type="text"/>	
Old Engine (Baseline) Emissions Tier	<input type="text"/>			

Engine Retrofit Information

Retrofit Device Make	<input type="text"/>	Retrofit Device Model	<input type="text"/>
Verification Level	<input type="text"/>	Project Life	<input type="text"/>
Verified % PM Reduction	<input type="text"/>	Verified % NOX Reduction	<input type="text"/>
Verified % ROG Reduction	<input type="text"/>	Retrofit Device ARB Executive Order Number	<input type="text"/>
Retrofit Device Serial Number	<input type="text"/>		

Retrofit Cost Information

Retrofit Device System Cost	<input type="text"/>	Retrofit Device Installation Cost	<input type="text"/>
Tax Amount for Retrofit	<input type="text"/>	Total Cost of Retrofit	<input type="text"/>
Maintenance Cost	<input type="text"/>	Amount requested for this retrofit	<input type="text"/>
Retrofit Dealer Vendor	<input type="text"/>		

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application. The data-logging cost of a retrofit project cannot be included in the eligible project cost.



Online Carl Moyer and SOON Application
Form C-3
Off-Road Equipment Retrofit
Engine Activity Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Project application must include documentation of existing equipment usage for the previous 24 months prior to the application date.

Baseline Engine - Annual operation details

	2017	2016	2015	Estimated Annual Future Usage
Hours	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>



Online Carl Moyer and SOON Application
Form C-3
Off-Road Equipment Retrofit
Attachments

The following attachments may be submitted for this proposal:

- Insurance Documentation
- Engine Executive Order(s) and Retrofit Device Executive Order(s)
- Quotes
- Equipment Usage Documentation (for past 24 – months)
- Other misc. attachments
- DOORS Vehicle List
- SOON Fleet Average Calculation (please go to <https://arb.ca.gov/msprog/ordiesel/fac.htm>)
- DOORS Fleet Compliance Snapshot
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Business Status Cert
- Direct Deposit Form



Online Carl Moyer and SOON Application Form C-4 Off-Road Cargo Handling Equipment Electrification : Equipment Information

If you have any questions regarding this program or the application process, please contact Greg Ushijima by phone at (909) 396-3301 or by email at: gushijima@aqmd.gov.

Please complete ONE form for each piece of equipment.

Existing Equipment Information

Has this equipment received Carl Moyer Program funds in the past? Yes No

Is equipment currently subject to CARB's Cargo Handling Equipment regulation?

Note: If you are unable to document that project equipment is not subject to the CARB regulation, then the project is ineligible. Yes No

What is the primary function of this equipment?

Is the vehicle location address the same as the applicant address? Yes No

Street address/
PO Box

Street Address
Line 2

City

County

State

Zip

Vehicle Type

If other, please describe:

Project Type

Equipment Category

Equipment Type

If other equipment type, please describe

Equipment Make

Equipment Model

Equipment Model Year

Equipment Serial
Number or VIN

Unit Number



Online Carl Moyer and SOON Application
Form C-4
Off-Road Cargo Handling Equipment Electrification :
Project Details

Total Funding Requested

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Is existing equipment in operable condition?

Yes No

How many years has the applicant owned the existing equipment?

Does the existing equipment have a functioning, non-resettable hour meter?

Yes No

Proposed Project Life (this is the number of years that the equipment must operate as specified in your SCAQMD contract)

Please provide a full description of the proposed project. Include specifications for the equipment electrification and associated infrastructure. *SEE ATTACHMENTS*



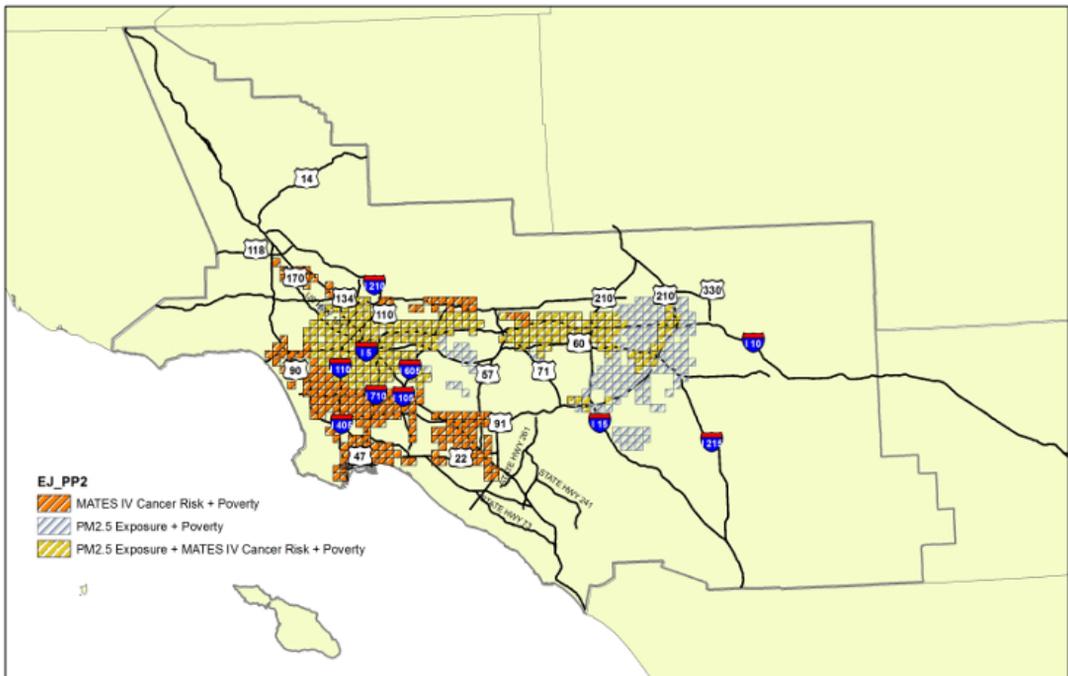
Online Carl Moyer and SOON Application Form C-4

Off-Road Cargo Handling Equipment Electrification : Disproportionate Impact

At least 50 percent of the SCAQMD's CMP funds must be spent in areas that are most disproportionately impacted by air pollution. SCAQMD uses the following method to meet these requirements:

1. All projects must qualify for the Carl Moyer Program by meeting the cost-effectiveness limits established in the Program Announcement.
2. All projects will be evaluated according to the following criteria to qualify for funding as a disproportionately impacted area:
 - a. Poverty Level: Detailed socioeconomic information is not included in the 2010 Census. Such data is collected yearly from a small percentage of the population on a rotating basis by the American Community Survey (ACS). All projects in areas where at least 10 percent of the population falls below the Federal poverty level based on the 2008-2012 ACS data are eligible to be included in this category, and
 - b. PM2.5 Exposure: All projects in areas with the highest 15 percent of PM2.5 concentration measured within a 2 km grid will be eligible to be ranked in this category. The highest 15 percent of PM2.5 concentration is 11.10 micrograms per cubic meter and above, on an annual average, or
 - c. Air Toxics Exposure: All projects in areas with a cancer risk of 865 in a million and above (based on MATES III estimates) will be eligible to be ranked in this category.

The maximum score is comprised of 40 percent for poverty level and 30 percent each for PM and toxic exposures. Special circumstances exist in some areas, such as the Ports of Long Beach and Los Angeles. Since there are no residents within the ports, poverty ranking could not be established. In this case, the poverty ranking from the adjacent on-shore areas was extended to the port since these populated areas are directly impacted by port activities.





Online Carl Moyer and SOON Application
 Form C-4
 Off-Road Cargo Handling Equipment Electrification :
 Engine & Retrofit Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Existing/Baseline Engine Information

Baseline Engine Type Main Auxiliary

Baseline Engine Fuel Type

Baseline Engine Make Baseline Engine Model

Baseline Engine Model Year Baseline Engine Serial Number

Baseline Engine Horsepower Baseline Engine Family Number

Old Engine (Baseline) Emissions Tier

Please provide a full description of the proposed project. Include specifications for the equipment electrification and associated infrastructure. *SEE ATTACHMENTS*

Electrification Vendor /Contractor Information

Vendor Vendor Contact Name

Vendor Phone Number Vendor Address

Vendor City Vendor State

Vendor Zip

Retrofit Cost Information

Total Project Materials Cost Total Project Labor Cost

Total Project Cost

Applicant Co-Funding Amount (if any) Grant Request Amount

Funding/Cost Information for this Electrification Project - You MUST attach a written estimate from the equipment vendor/contractor documenting the cost of the device; this quote must be obtained within 90 days prior to the closing date of the Program Announcement. Quote must itemize material costs and labor costs separately and must provide explanatory details on each line item. *SEE ATTACHMENTS*



Online Carl Moyer and SOON Application Form C-4

Off-Road Cargo Handling Equipment Electrification : Engine Activity Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Project application must include documentation of existing equipment usage for the previous 24 months prior to the application date.

Baseline Engine - Annual operation details

	2017	2016	2015	Estimated Annual Future Usage
Hours	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>



Online Carl Moyer and SOON Application
Form C-4
Off-Road Cargo Handling Equipment Electrification :
Attachments

The following attachments may be submitted for this proposal:

- CARB's Cargo Handling Equipment Regulation
- DOORS Vehicle List
- SOON Fleet Average Calculation (please go to <https://arb.ca.gov/msprog/ordiesel/fac.htm>)
- Project Description
- Written Estimate for Project
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Direct Deposit Form
- Business Status Cert



**Online Carl Moyer and SOON Application
Form D-1
Marine Vessels
Repower : Equipment Information**

If you have any questions regarding this program or the application process, please contact: • Mark Coleman at (909) 396-3074 or mcoleman@aqmd.gov • Von Loveland at (909) 396-3063 or vloveland@aqmd.gov

All Commercial Harbor Craft are currently subject to CARB's Commercial Harbor Craft regulation. Attach a copy of your most recent CARB Commercial Harbor Craft Initial Report, and all updates.

Existing Equipment Information

Has this equipment received Carl Moyer Program funds in the past? Yes No

Contract #	<input type="text"/>	Amount Received	<input type="text"/>
Vessel Name	<input type="text"/>	Port/Harbor	<input type="text"/>
Terminal	<input type="text"/>	Pier	<input type="text"/>
Vessel berth/slip number	<input type="text"/>	Primary Vessel Use	<input type="text"/>

If other vessel type, please describe

Secondary Vessel Use

If other secondary vessel type, please describe

Primary Vessel Hours per Year	<input type="text"/>	Secondary Vessel Hours per Year	<input type="text"/>
Vessel Make	<input type="text"/>	Vessel Model	<input type="text"/>
Vessel Model Year	<input type="text"/>		
Total number of main engines on the vessel	<input type="text"/>	Total number of aux engines on the vessel	<input type="text"/>

U.S. Coast Guard Documentation Number (IMO Lloyd's Number if oceangoing vessel, or CF# AND CA Department of Fish & Game license for fishing vessels manufactured out of the United States or less than five net tons displacement)

Does the project vessel utilize a wet exhaust system? Yes No



Online Carl Moyer and SOON Application
Form D-1
Marine Vessels
Repower : Project Details

Total Funding Requested

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Percent Operation in California

Percent Operation in District

Note: For SCAQMD Marine Jurisdiction Map, please see next page.

Purchasing new transmission (if applicable) Yes No

Justification For Purchasing New Transmission Cost

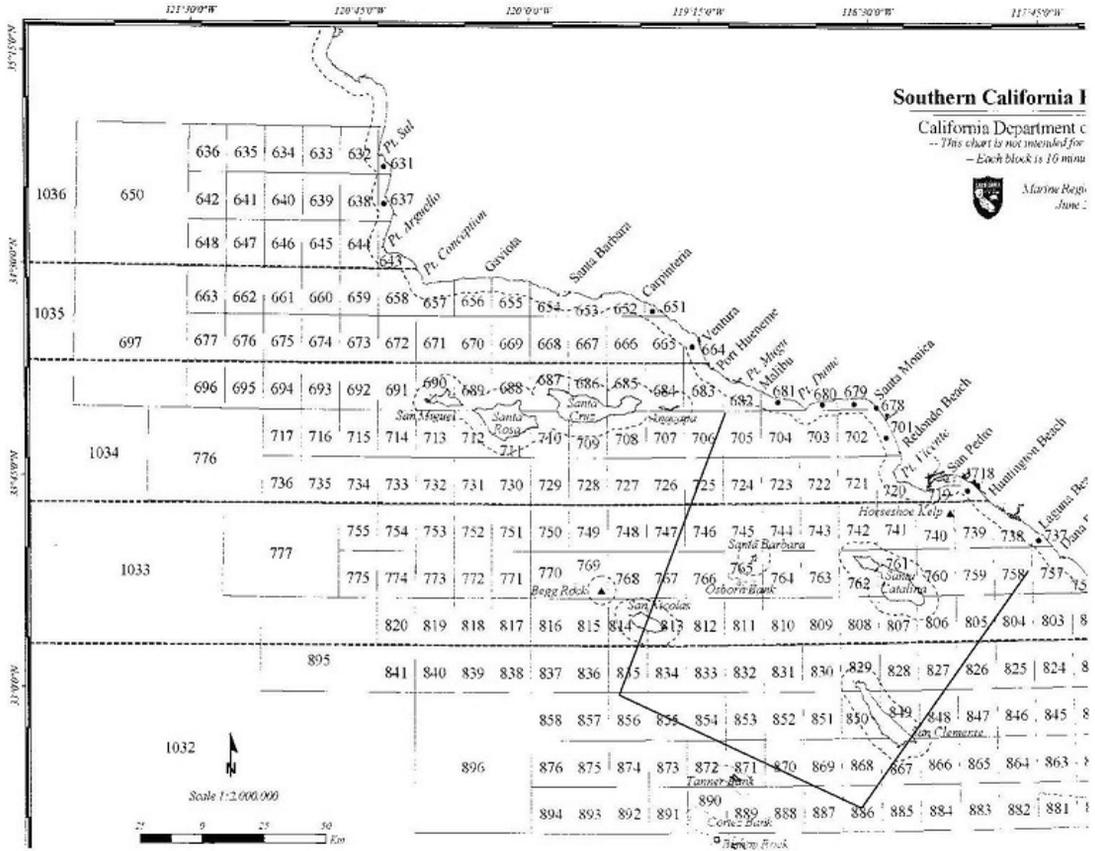
Electronic Monitoring Unit: I understand that a new Electronic Monitoring Unit (EMU) will be installed as part of this Project. (This is a program requirement.) Yes No

The vessel is required to have a functioning non-resettable hour meter for the full project life. Select YES to indicate understanding and compliance: Yes No

If funded, how many years will you operate the new vessel?



Online Carl Moyer and SOON Application
 Form D-1
 Marine Vessels
 Repeater : SCAQMD Boundary Lines



Boundary points for the Box:

Southern Coastal Boundary - San Diego - Orange County Border
 Northern Coastal Boundary - Ventura - Los Angeles County Border

Northern Tip: 33° N and 119° 30' W
 Southern Tip: 32° 30' N and 118° 30' W

Distance between northern coastal point and northern tip: 80 miles approx.
 Distance between southern coastal point and southern tip: 74 miles approx.



Online Carl Moyer and SOON Application
 Form D-1
 Marine Vessels
 Repower : Engine Information

If you have more than one engine for your marine vessel, please make copies of this page and use one form for each engine.

Existing/Baseline Engine Information

Engine Fuel Type	<input type="text"/>	Old Engine (Baseline) Emissions Tier	<input type="text"/>
Engine Make	<input type="text"/>	Engine Model	<input type="text"/>
Engine Model Year	<input type="text"/>	Engine Horsepower	<input type="text"/>
Engine Type	<input type="radio"/> Main <input type="radio"/> Auxiliary	Engine Serial Number	<input type="text"/>
EPA Engine Family Number	<input type="text"/>	Method proposed for rendering the replaced engine inoperable:	<input type="text"/>
Number of Cylinders	<input type="text"/>	Liters	<input type="text"/>
Does the existing engine have a functioning hour meter?		<input type="radio"/> Yes <input type="radio"/> No	

New Reduced-Emission Engine Information

Engine Fuel Type	<input type="text"/>	Engine Model	<input type="text"/>
Engine Make	<input type="text"/>	Engine Horsepower	<input type="text"/>
Engine Model Year	<input type="text"/>	Engine Serial Number	<input type="text"/>
Engine Function	<input type="radio"/> Main <input type="radio"/> Auxiliary		
EPA Engine Family Number	<input type="text"/>		
Emissions Tier Type	<input type="radio"/> Off Road <input type="radio"/> Marine		
New Engine (Reduced) Emissions Tier	<input type="text"/>	Liters	<input type="text"/>
Number of Cylinders	<input type="text"/>	New Engine Installation/Labor Cost	<input type="text"/>
New Engine Cost (Including Tax)	<input type="text"/>		

NOTE: You MUST attach a written estimate or quotation from the equipment vendor documenting the cost of the new equipment. This quote must be obtained within 90 days prior to the closing date of the Program Announcement. The quote must indicate the certification level of the new, replacement engine (i.e., Tier 3 or cleaner).

Vendor	<input type="text"/>	Vendor Contact Name	<input type="text"/>
Vendor Address	<input type="text"/>	Vendor City	<input type="text"/>
Vendor Zip	<input type="text"/>	Vendor State	<input type="text"/>
Vendor Phone Number	<input type="text"/>		



Online Carl Moyer and SOON Application
Form D-1
Marine Vessels
Repower : Engine Activity Information

If you have more than one engine for your marine vessel, please make copies of this page and use one form for each engine.

Project application must include documentation of existing equipment usage for the previous 24 months prior to the application date.

Activity Information

Engine Specific Usage - Annual Operation Details

	2017	2016	2015	Estimated Annual Future Usage
Hours	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>



Online Carl Moyer and SOON Application Form D-1

Marine Vessels
Repower : Attachments

The following attachments may be submitted for this proposal:

- Insurance Documentation
- Harbor Craft Regulation Initial Report
- Quotes
- Equipment Usage Documentation (for past 24 – months)
- Other misc. attachments
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Direct Deposit Form
- Business Status Cert



Online Carl Moyer and SOON Application
 Form D-2
 Marine Vessels
 Shore Power : Equipment Information

If you have any questions regarding this program or the application process, please contact Greg Ushijima by phone at (909) 396-3301 or by email at: gushijima@aqmd.gov. Please complete one form for each Shore Power project.

Type of Project

Select all that apply.

Vessel Retrofit to Accept Electrical Power ("Ship-Side")

Purchase of Transformer and Associated Infrastructure ("Shore-Side")

Type Of Applicant

Existing Equipment Information

Complete one equipment section for each vessel to be retrofitted. For transformer only projects please provide a detailed description of the vessels that typically use this terminal.

If your vessel type is a refrigerated cargo ship, container-ship or passenger ship, please attach your Vessel Plan as required by the ARB shore power regulation: <http://www.arb.ca.gov/ports/shorepower/shorepower.htm>

Vessel Name	<input type="text"/>	Port/Harbor	<input type="text"/>
Terminal	<input type="text"/>	Pier	<input type="text"/>
Vessel berth/slip number	<input type="text"/>	Primary Vessel Function	<input type="text"/>

If other vessel type, please describe

Vessel Make	<input type="text"/>	Vessel Model	<input type="text"/>
Vessel Model Year	<input type="text"/>		
Total number of main engines on the vessel	<input type="text"/>	Total number of aux engines on the vessel	<input type="text"/>
Lloyds Register or IMO Ship ID	<input type="text"/>	US Coast Guard Documentation Number	<input type="text"/>

If you are leasing the terminal, what is the time left on the current lease?

Average berthing time (hours) of the vessel, per visit (include time needed to connect and disconnect the vessel to shore power)

Vessel power (kW) requirements while at berth Average Power Requirement

Vessel power (kW) requirements while at berth Maximum Power Requirement



Online Carl Moyer and SOON Application
 Form D-2
 Marine Vessels
 Shore Power : Project Details

Total Funding Requested

Total number of vessels in the fleet

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Identify other potential project partners (ex. Port)

Power supplier (ex. PG&E)

Where does the electrical power infrastructure begin, and end? *

Operation Information

Total number of annual vessel visits expected to use shore power

Total number of annual visits to the terminal

Total number of annual hours of usage for vessels expecting to use shorepower

Project Funding Information

You **MUST** attach a written estimate from the equipment vendor documenting the cost of the device; this quote must be obtained within 90 days prior to the closing date of the Program Announcement. **See Attachments Section.**

Transformer Project Cost	<input type="text"/>	Associated Infrastructure Cost	<input type="text"/>
--------------------------	----------------------	--------------------------------	----------------------

Retrofit Equip. Cost (incl. tax)	<input type="text"/>	Retrofit Equip. Installation Cost	<input type="text"/>
----------------------------------	----------------------	-----------------------------------	----------------------

Total Project Costs

You **MUST** attach a detailed written estimate/quote from the equipment vendor for the cost of the equipment and labor.

REQUEST : MAXIMUM ALLOWABLE

- Shore Power Transformer ("shore-side"): 50% of transformer & other equipment between the vessel and transformer.
 Shore Power Vessel Retrofit ("ship-side"): 100% of retrofit cost & 50% of transformer cost.

REQUEST : OTHER

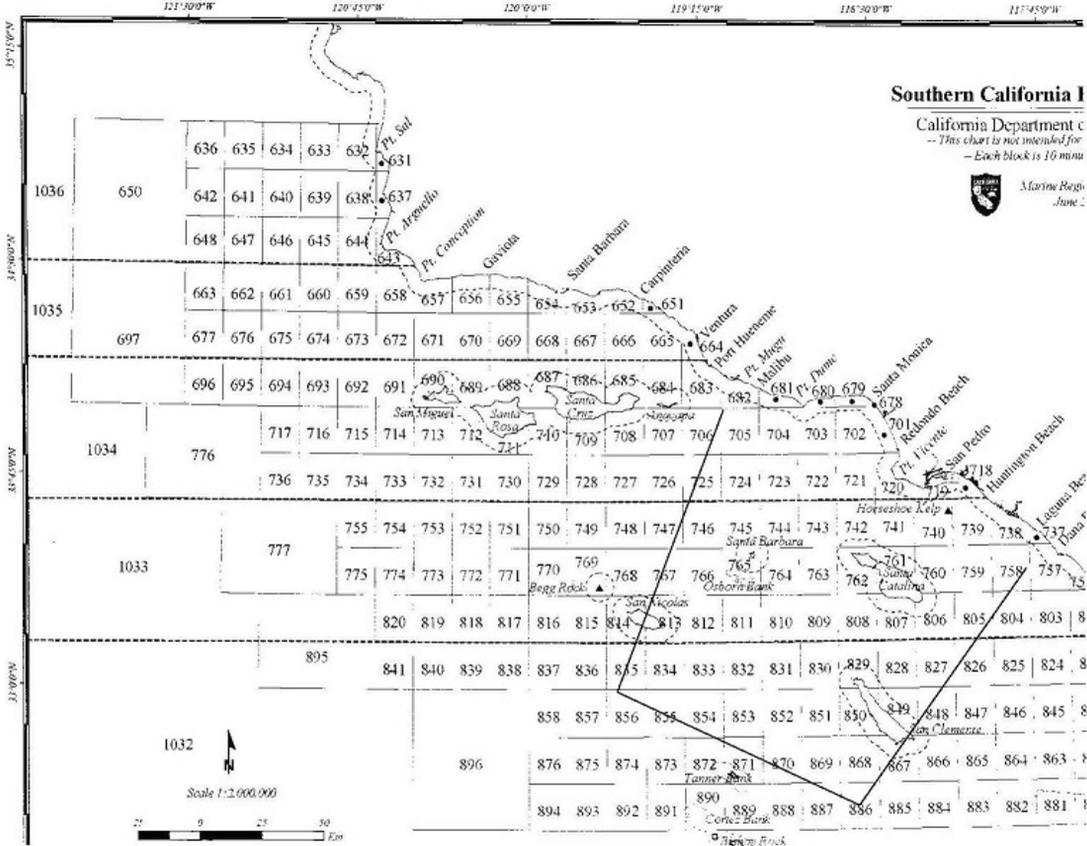
(You may request less than the maximum allowable funding amount to improve cost-effectiveness of your project.)

Anticipated Project Completion Date

Please attach a detailed project schedule. **SEE ATTACHMENTS PAGE**



Online Carl Moyer and SOON Application
 Form D-2
 Marine Vessels
 Shore Power : SCAQMD Boundary Lines



Southern California I
 California Department of Transportation
 -- This chart is not intended for --
 -- Each block is 16 miles --

 Marine Board
 June 2

Boundary points for the Box:

Southern Coastal Boundary - San Diego - Orange County Border
 Northern Coastal Boundary - Ventura - Los Angeles County Border

Northern Tip: 33° N and 119° 30' W
 Southern Tip: 32° 30' N and 118° 30' W

Distance between northern coastal point and northern tip: 80 miles approx.
 Distance between southern coastal point and southern tip: 74 miles approx.



Online Carl Moyer and SOON Application
Form D-2
Marine Vessels
Shore Power : Engine Information

Existing/Baseline Engine Information

Please attach a detailed description of the vessels that will be using the shore power equipment. This description should include:

- Vessel type
- Ship size (in 20-foot equivalent units (TEU) capacity)
- Number and type of engines
- Power demand (total auxiliary power (kW) – not hotelling load)
- The number of auxiliary engines typically operating while at berth per vessel
- Number of annual visits
- Average berthing time (hours) of the vessel, per visit (include time needed to connect and disconnect the vessel to shore power). Be sure to consider the maximum time the auxiliary engines are in use.



Online Carl Moyer and SOON Application
Form D-2
Marine Vessels
Shore Power : Engine Activity Information

If you have more than one engine for your project, please make copies of this page and use one form for each engine.

Project application must include documentation of existing equipment usage for the previous 24 months prior to the application date.

Activity Information

Expected annual hours

Expected annual fuel use

"Current Berth Activity" Number of annual ship visits to the berth (attach the log of vessel visits for each of the specified years): For last 3 years

Last Year Vessel Visits

Prior Year Vessel Visits

2 Years Prior Year Vessel Visits

Predicted (Future) Berth Activity:

Estimated annual ship visits using shore power:

2017-2019

2020 and beyond

Estimated monthly hours of operation:

2017-2019

2020 and beyond

Estimated monthly megawatt (MW) usage:

2017-2019

2020 and beyond



Online Carl Moyer and SOON Application
Form D-2
Marine Vessels
Shore Power : Attachments

The following attachments may be submitted for this proposal:

- Detailed Project Proposal
- Other misc. attachments
- ARB Shore Power Vessel Plan
- Vessel Logs
- Vessel Activity Information
- Written Estimate Or Quote
- Proposed Project Schedule
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Direct Deposit Form
- Business Status Cert



Online Carl Moyer and SOON Application Form E-1 Locomotive Replacement Equipment Information

For project criteria please refer to the locomotive chapter in the Carl Moyer Program Guidelines.

If you have any questions regarding this program or the application process, please contact Mei Wang by phone at (909) 396-3257 or by email at: mwang@aqmd.gov.

If you have more than one equipment for your project, please make copies of this form and use one form for each equipment.

Existing Locomotive Information

Has this locomotive received Carl Moyer Program funds in the past? Yes No

Equipment Location Address

Is the equipment location address the same as the applicant address? Yes No

Street address/
PO Box

Street Address
Line 2

City

County

State

Zip

Vehicle Type

If other, please describe:

Locomotive type

Locomotive Make

Locomotive Model

Locomotive Model Year

Locomotive Serial
Number

Unit number or
other identifier

Does the locomotive already have a functioning idle limiting device (ILD) installed?

Yes No

New Locomotive Information

Locomotive Make

Locomotive Model

Locomotive Model Year

Equipment Type

Locomotive Serial Number (If Available)

Will the locomotive have a functioning idle limit device (ILD) installed?

Yes No

If other equipment type, please describe

of Main Engines

of Auxiliary Engines

New Locomotive Cost (\$)

Locomotive Vendor Name

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.



Online Carl Moyer and SOON Application Form E-1 Locomotive Replacement Project Details

Railroad Class

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.

Total Funding Requested (California 75E A 8)

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Future/Projected Locomotive Activity Annual Fuel Usage (gallons per year)

If fuel usage is not available, please provide the future/projected locomotive activity in Megawatt Hour (MWh) per year.

Percent Operation in California

Percent Operation in District

Proposed Project Life (this is the number of years that the equipment must operate as specified in your SCAQMD contract)

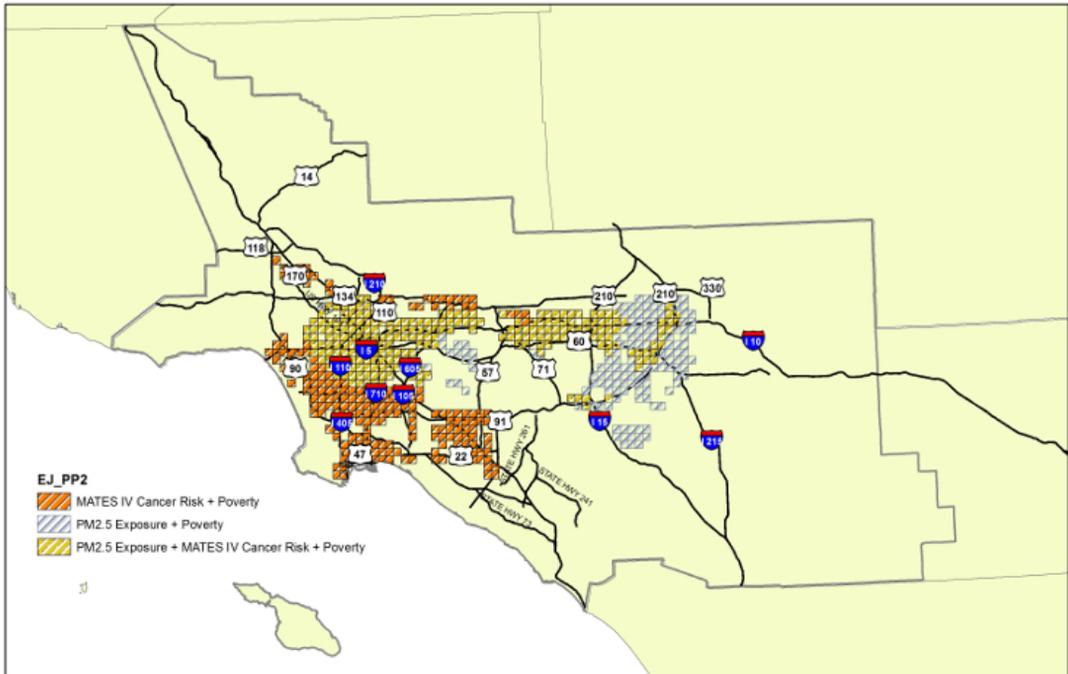


Online Carl Moyer and SOON Application Form E-1 Locomotive Replacement Disproportional Impact

At least 50 percent of the SCAQMD's CMP funds must be spent in areas that are most disproportionately impacted by air pollution. SCAQMD uses the following method to meet these requirements:

1. All projects must qualify for the Carl Moyer Program by meeting the cost-effectiveness limits established in the Program Announcement.
2. All projects will be evaluated according to the following criteria to qualify for funding as a disproportionately impacted area:
 - a. Poverty Level: Detailed socioeconomic information is not included in the 2010 Census. Such data is collected yearly from a small percentage of the population on a rotating basis by the American Community Survey (ACS). All projects in areas where at least 10 percent of the population falls below the Federal poverty level based on the 2008-2012 ACS data are eligible to be included in this category, and
 - b. PM2.5 Exposure: All projects in areas with the highest 15 percent of PM2.5 concentration measured within a 2 km grid will be eligible to be ranked in this category. The highest 15 percent of PM2.5 concentration is 11.10 micrograms per cubic meter and above, on an annual average, or
 - c. Air Toxics Exposure: All projects in areas with a cancer risk of 865 in a million and above (based on MATES III estimates) will be eligible to be ranked in this category.

The maximum score is comprised of 40 percent for poverty level and 30 percent each for PM and toxic exposures. Special circumstances exist in some areas, such as the Ports of Long Beach and Los Angeles. Since there are no residents within the ports, poverty ranking could not be established. In this case, the poverty ranking from the adjacent on-shore areas was extended to the port since these populated areas are directly impacted by port activities.





Online Carl Moyer and SOON Application
 Form E-1
 Locomotive Replacement
 Engine Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Existing/Baseline Engine Information

Engine Fuel Type	<input type="text"/>		
Engine Make	<input type="text"/>	Engine Model	<input type="text"/>
Engine Model Year	<input type="text"/>	Engine Serial Number	<input type="text"/>
Engine Type	<input type="radio"/> Main <input type="radio"/> Auxiliary	Engine Horsepower	<input type="text"/>
Existing Engine (Baseline) Emissions Tier	<input type="text"/>		
Baseline Engine Family	<input type="text"/>	US EPA Certificate of Conformity No	<input type="text"/>
CARB Executive Order No	<input type="text"/>		

US EPA Certificate of Conformity MUST BE ATTACHED – SEE ATTACHMENTS SECTION

CARB Executive Order MUST BE ATTACHED – SEE ATTACHMENTS SECTION

Reduced Emission Replacement Engine Information

Engine Fuel Type	<input type="text"/>		
Engine Make	<input type="text"/>	Engine Model	<input type="text"/>
Engine Model Year	<input type="text"/>		
Engine Serial Number	<input type="text"/>	Engine Horsepower	<input type="text"/>
EPA Engine Family Name	<input type="text"/>	New Engine (Reduced) Emissions Tier	<input type="text"/>
Engine Cost	<input type="text"/>	Installation Cost	<input type="text"/>
Has this engine been certified by U.S. EPA?	<input type="radio"/> Yes <input type="radio"/> No	U.S. EPA certified locomotive NOx emission rate (g/bhp-hr)	<input type="text"/>
U.S. EPA certified locomotive HC emission rate (g/bhp-hr)	<input type="text"/>	U.S. EPA certified locomotive PM emission rate (g/bhp-hr)	<input type="text"/>

Idle Limiting Device (ILD) Details

Will a new eligible ILD be installed as part of this project? Yes No

ILD Type (AESS, FOH, APU, etc.)	<input type="text"/>		
Make	<input type="text"/>	Model	<input type="text"/>
Model Year	<input type="text"/>	ID Number	<input type="text"/>
Capital Cost	<input type="text"/>	Installation Cost	<input type="text"/>

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.



Online Carl Moyer and SOON Application
Form E-1
Locomotive Replacement
Engine Activity Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Project application must include documentation of existing equipment usage for the previous 24 months prior to the application date.

Please attach documentation to support the reported usage per year.

Annual Fuel Usage

	2017	2016	2015	Estimated Annual Future Usage
Fuel Use (gallons/year)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

If fuel usage is not available, please attach documentation of the megawatt hours used during the previous 24 months.



Online Carl Moyer and SOON Application
Form E-1
Locomotive Replacement
Attachments

The following attachments may be submitted for this proposal:

- Insurance Documentation
- Emissions certification documentation
- Quotes
- Equipment Usage Documentation (for past 24 – months)
- Other misc. attachments
- Engine Executive Order(s) and Retrofit Device Executive Order(s)
- Fuel Documentation
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Direct Deposit Form
- Business Status Cert



Online Carl Moyer and SOON Application Form E-2 Locomotive ARB Verified Retrofit Equipment Information

For project criteria please refer to the locomotive chapter in the Carl Moyer Program Guidelines.

If you have any questions regarding this program or the application process, please contact Mei Wang by phone at (909) 396-3257 or by email at: mwang@aqmd.gov.

If you have more than one equipment for your project, please make copies of this form and use one form for each equipment.

Existing Locomotive Information

Has this locomotive received Carl Moyer Program funds in the past? Yes No

Equipment Location Address

Is the equipment location address the same as the applicant address? Yes No

Street address/
PO Box

Street Address
Line 2 City

County State

Zip Vehicle Type

If other, please describe:

Locomotive Type

If other locomotive type, please describe

Locomotive Make

Locomotive Model

Locomotive Model Year

Locomotive Serial
Number

Unit number or
other identifier

Does the locomotive already have a functioning idle limiting device (ILD) installed? Yes No



Online Carl Moyer and SOON Application
Form E-2
Locomotive ARB Verified Retrofit
Project Details

Railroad Class

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.

Total Funding Requested (California Title 17)

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Percent Operation in California

Percent Operation in District

Proposed Project Life (this is the number of years that the equipment must operate as specified in your SCAQMD contract)



Online Carl Moyer and SOON Application

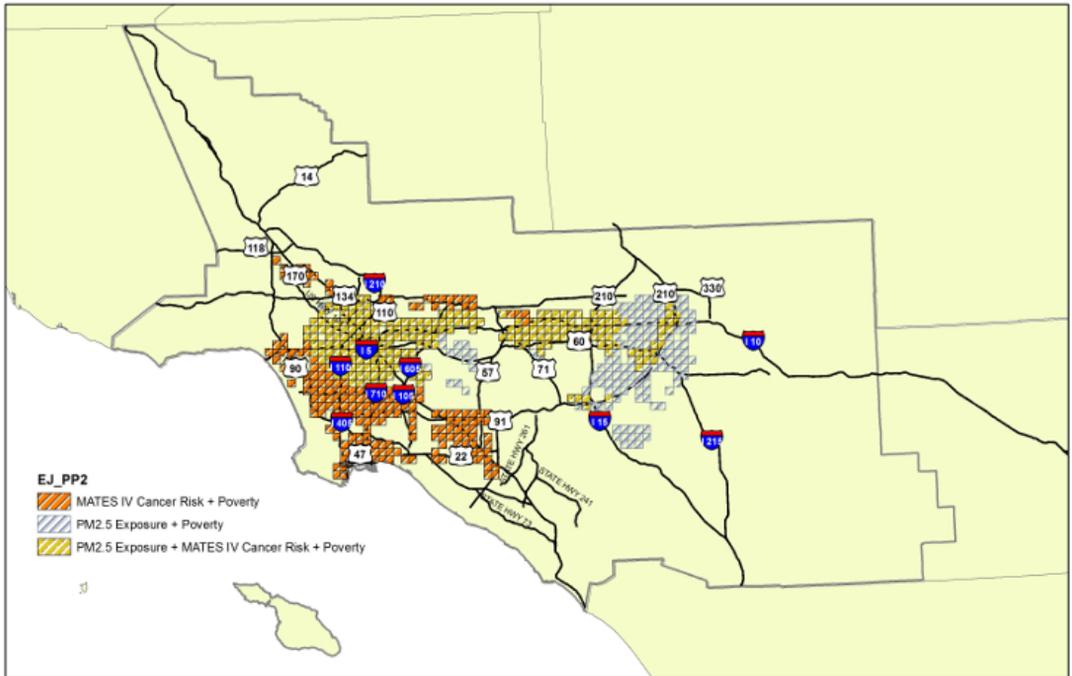
Form E-2

Locomotive ARB Verified Retrofit Disproportionate Impact

At least 50 percent of the SCAQMD's CMP funds must be spent in areas that are most disproportionately impacted by air pollution. SCAQMD uses the following method to meet these requirements:

1. All projects must qualify for the Carl Moyer Program by meeting the cost-effectiveness limits established in the Program Announcement.
2. All projects will be evaluated according to the following criteria to qualify for funding as a disproportionately impacted area:
 - a. Poverty Level: Detailed socioeconomic information is not included in the 2010 Census. Such data is collected yearly from a small percentage of the population on a rotating basis by the American Community Survey (ACS). All projects in areas where at least 10 percent of the population falls below the Federal poverty level based on the 2008-2012 ACS data are eligible to be included in this category, and
 - b. PM2.5 Exposure: All projects in areas with the highest 15 percent of PM2.5 concentration measured within a 2 km grid will be eligible to be ranked in this category. The highest 15 percent of PM2.5 concentration is 11.10 micrograms per cubic meter and above, on an annual average, or
 - c. Air Toxics Exposure: All projects in areas with a cancer risk of 865 in a million and above (based on MATES III estimates) will be eligible to be ranked in this category.

The maximum score is comprised of 40 percent for poverty level and 30 percent each for PM and toxic exposures. Special circumstances exist in some areas, such as the Ports of Long Beach and Los Angeles. Since there are no residents within the ports, poverty ranking could not be established. In this case, the poverty ranking from the adjacent on-shore areas was extended to the port since these populated areas are directly impacted by port activities.





Online Carl Moyer and SOON Application Form E-2 Locomotive ARB Verified Retrofit Engine & Retrofit Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Existing/Baseline Engine Information

Engine Fuel Type	<input type="text"/>		
Engine Make	<input type="text"/>	Engine Model	<input type="text"/>
Engine Model Year	<input type="text"/>	Engine Serial Number	<input type="text"/>
Engine Type	<input type="radio"/> Main <input type="radio"/> Auxiliary	Engine Horsepower	<input type="text"/>
Existing Engine (Baseline) Emissions Tier	<input type="text"/>		
Baseline Engine Family	<input type="text"/>	US EPA Certificate of Conformity No	<input type="text"/>
CARB Executive Order No	<input type="text"/>		
Is the engine certified to off road or locomotive standards?	<input type="radio"/> Off Road <input type="radio"/> Locomotive		

CARB Executive Order MUST BE ATTACHED – SEE ATTACHMENTS SECTION

US EPA Certificate of Conformity MUST BE ATTACHED – SEE ATTACHMENTS SECTION

Retrofit Device Information

Device Cost	<input type="text"/>	Installation Cost	<input type="text"/>
Technology Type	<input type="text"/>	CARB Verified Retrofit Executive Order Number	<input type="text"/>

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.

Idle Limiting Device (ILD) Details

Will a new eligible ILD be installed as part of this project? Yes No

ILD Type (AESS, FOH, APU, etc.)	<input type="text"/>		
Make	<input type="text"/>	Model	<input type="text"/>
Model Year	<input type="text"/>	ID Number	<input type="text"/>
Capital Cost	<input type="text"/>	Installation Cost	<input type="text"/>

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.

Electronic Monitoring Unit (EMU) Details

Will a new eligible EMU be installed as part of this project? Yes No

EMU Make	<input type="text"/>	EMU Model	<input type="text"/>
EMU Model Year	<input type="text"/>	EMU ID Number	<input type="text"/>
EMU Cost	<input type="text"/>		



Online Carl Moyer and SOON Application Form E-2

Locomotive ARB Verified Retrofit
Engine Activity Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Project application must include documentation of existing equipment usage for the previous 24 months prior to the application date.

Please attach documentation to support the reported usage per year.

Annual Fuel Usage

	2017	2016	2015	Estimated Annual Future Usage
Fuel Use (gallons/year)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

If fuel usage is not available, please attach documentation of the megawatt hours used during the previous 24 months.



Online Carl Moyer and SOON Application
Form E-2
Locomotive ARB Verified Retrofit
Attachments

The following attachments may be submitted for this proposal:

- Insurance Documentation
- Emissions certification documentation
- Quotes
- Equipment Usage Documentation (for past 24 – months)
- Other misc. attachments
- Engine Executive Order(s) and Retrofit Device Executive Order(s)
- Fuel Documentation
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Business Status Cert
- Direct Deposit Form



Online Carl Moyer and SOON Application Form E-3 Locomotive - Head End Power Unit Equipment Information

For project criteria please refer to the locomotive chapter in the Carl Moyer Program Guidelines.

If you have any questions regarding this program or the application process, please contact Mei Wang by phone at (909) 396-3257 or by email at: mwang@aqmd.gov.

If you have more than one equipment for your project, please make copies of this form and use one form for each equipment.

Existing Locomotive Information

Has this locomotive received Carl Moyer Program funds in the past? Yes No

Equipment Location Address

Is the equipment location address the same as the applicant address? Yes No

Street address/ PO Box	<input type="text"/>		
Street Address Line 2	<input type="text"/>	City	<input type="text"/>
County	<input type="text"/>	State	<input type="text"/>
Zip	<input type="text"/>	Vehicle Type	<input type="text"/>

If other, please describe:

Locomotive Make	<input type="text"/>	Locomotive Model	<input type="text"/>
Locomotive Model Year	<input type="text"/>	Locomotive Serial Number	<input type="text"/>
Unit number or other identifier	<input type="text"/>		

Does the locomotive already have a functioning idle limiting device (ILD) installed? Yes No



Online Carl Moyer and SOON Application Form E-3 Locomotive - Head End Power Unit Project Details

Railroad Class

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.

Total Funding Requested from the SCAQMD

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Percent Operation in California

Percent Operation in District

Proposed Project Life (this is the number of years that the equipment must operate as specified in your SCAQMD contract)



Online Carl Moyer and SOON Application
Form E-3
Locomotive - Head End Power Unit
Engine Activity Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Project application must include documentation of existing equipment usage for the previous 24 months prior to the application date.

Please attach documentation to support the reported gallons per year.

Annual Fuel Usage

Contact the SCAQMD Staff Lead to discuss your project and appropriate assumptions for this projection:

	2017	2016	2015	Annual Fuel Usage (gallons per year)
Fuel Use (gallons/year)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

If fuel usage is not available, please attach documentation of the megawatt hours used during the previous 24 months.

ADDITIONAL PROJECT INFORMATION: Please provide a full description of the proposed project. Include an explanation of any project elements that are not adequately covered in the Application. SEE ATTACHMENTS PAGE.



Online Carl Moyer and SOON Application
 Form E-3
 Locomotive - Head End Power Unit
 Engine Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Existing/Baseline Engine Information

Engine Fuel Type	<input type="text"/>		
Engine Make	<input type="text"/>	Engine Model	<input type="text"/>
Engine Model Year	<input type="text"/>	Engine Serial Number	<input type="text"/>
Engine Type	<input type="radio"/> Main <input type="radio"/> Auxiliary	Engine Horsepower	<input type="text"/>
Existing Engine (Baseline) Emissions Tier	<input type="text"/>		
Baseline Engine Family	<input type="text"/>	US EPA Certificate of Conformity No	<input type="text"/>
CARB Executive Order No	<input type="text"/>		
Is the engine certified to off road or locomotive standards?	<input type="radio"/> Off Road <input type="radio"/> Locomotive		

CARB Executive Order MUST BE ATTACHED – SEE ATTACHMENTS SECTION

US EPA Certificate of Conformity MUST BE ATTACHED – SEE ATTACHMENTS SECTION

Reduced Emission Replacement Engine Information

Engine Fuel Type	<input type="text"/>	Engine Type	<input type="radio"/> Main <input type="radio"/> Auxiliary	
Engine Make	<input type="text"/>	Engine Model	<input type="text"/>	
Engine Model Year	<input type="text"/>			
Engine Serial Number	<input type="text"/>	Engine Horsepower	<input type="text"/>	
EPA Engine Family Name	<input type="text"/>	New Engine (Reduced) Emissions Tier	<input type="text"/>	
Engine Cost	<input type="text"/>			
Does this Engine Have a US EPA Certificate of Conformity (PLEASE ATTACH THE CERTIFICATE IN THE ATTACHMENTS SECTION)	<input type="radio"/> Yes <input type="radio"/> No		U.S. EPA certified locomotive NOx emission rate (g/bhp-hr)	<input type="text"/>
U.S. EPA certified locomotive HC emission rate (g/bhp-hr)	<input type="text"/>	U.S. EPA certified locomotive PM emission rate (g/bhp-hr)	<input type="text"/>	
Does this engine have a CARB Executive Order?	<input type="radio"/> Yes <input type="radio"/> No		CARB Executive Order Number	<input type="text"/>

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.



Online Carl Moyer and SOON Application Form E-3

Locomotive - Head End Power Unit
Attachments

The following attachments may be submitted for this proposal:

- Additional Project Information
- US EPA Certificate of Conformity
- Insurance Documentation
- Emissions certification documentation
- Quotes
- Equipment Usage Documentation (for past 24 – months)
- Other misc. attachments
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Business Status Cert
- Direct Deposit Form



Online Carl Moyer and SOON Application Form E-4 Locomotive - Idle Limiting Device Information

For project criteria please refer to the locomotive chapter in the Carl Moyer Program Guidelines.

If you have any questions regarding this program or the application process, please contact Mei Wang by phone at (909) 396-3257 or by email at: mwang@aqmd.gov.

If you have more than one equipment for your project, please make copies of this form and use one form for each equipment.

Existing Locomotive Information

Has this locomotive received Carl Moyer Program funds in the past? Yes No

Equipment Location Address

Is the equipment location address the same as the applicant address? Yes No

Street address/
PO Box

Street Address
Line 2 City

County State

Zip Vehicle Type

If other, please describe:

Locomotive type

If other locomotive type, please describe:

Locomotive Make Locomotive Model

Locomotive Model Year Locomotive Serial Number

Unit number or
other identifier

Does the locomotive already have a functioning idle limiting device (ILD) installed? Yes No



Online Carl Moyer and SOON Application
Form E-4
Locomotive - Idle Limiting Device
Project Details

Railroad Class

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.

Total Funding Requested from SCAQMD

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Percent Operation in California

Percent Operation in District

Proposed Project Life (this is the number of years that the equipment must operate as specified in your SCAQMD contract)



Online Carl Moyer and SOON Application

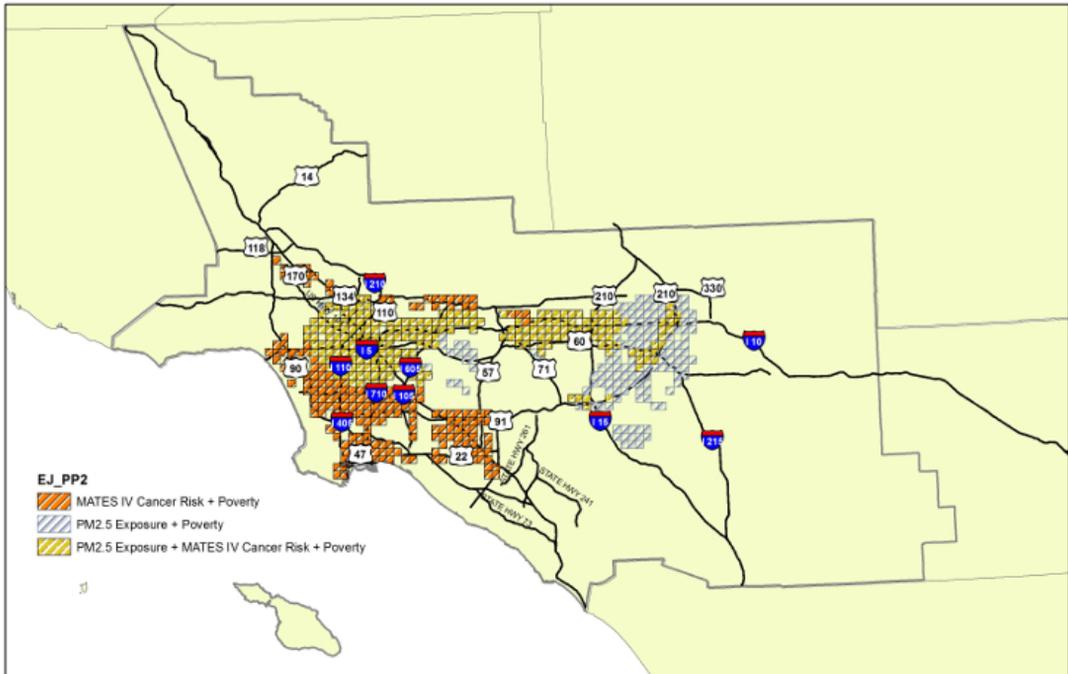
Form E-4

Locomotive - Idle Limiting Device Disproportional Impact

At least 50 percent of the SCAQMD's CMP funds must be spent in areas that are most disproportionately impacted by air pollution. SCAQMD uses the following method to meet these requirements:

1. All projects must qualify for the Carl Moyer Program by meeting the cost-effectiveness limits established in the Program Announcement.
2. All projects will be evaluated according to the following criteria to qualify for funding as a disproportionately impacted area:
 - a. Poverty Level: Detailed socioeconomic information is not included in the 2010 Census. Such data is collected yearly from a small percentage of the population on a rotating basis by the American Community Survey (ACS). All projects in areas where at least 10 percent of the population falls below the Federal poverty level based on the 2008-2012 ACS data are eligible to be included in this category, and
 - b. PM2.5 Exposure: All projects in areas with the highest 15 percent of PM2.5 concentration measured within a 2 km grid will be eligible to be ranked in this category. The highest 15 percent of PM2.5 concentration is 11.10 micrograms per cubic meter and above, on an annual average, or
 - c. Air Toxics Exposure: All projects in areas with a cancer risk of 865 in a million and above (based on MATES III estimates) will be eligible to be ranked in this category.

The maximum score is comprised of 40 percent for poverty level and 30 percent each for PM and toxic exposures. Special circumstances exist in some areas, such as the Ports of Long Beach and Los Angeles. Since there are no residents within the ports, poverty ranking could not be established. In this case, the poverty ranking from the adjacent on-shore areas was extended to the port since these populated areas are directly impacted by port activities.





Online Carl Moyer and SOON Application
 Form E-4
 Locomotive - Idle Limiting Device
 Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Existing/Baseline Engine Information

Engine Fuel Type	<input type="text"/>		
Engine Make	<input type="text"/>	Engine Model	<input type="text"/>
Engine Model Year	<input type="text"/>	Engine Serial Number	<input type="text"/>
Engine Type	<input type="radio"/> Main <input type="radio"/> Auxiliary	Engine Horsepower	<input type="text"/>
Existing Engine (Baseline) Emissions Tier	<input type="text"/>		
Baseline Engine Family	<input type="text"/>	US EPA Certificate of Conformity No	<input type="text"/>
CARB Executive Order No	<input type="text"/>		
Is the engine certified to off road or locomotive standards?		<input type="radio"/> Off Road	<input type="radio"/> Locomotive

CARB Executive Order MUST BE ATTACHED – SEE ATTACHMENTS SECTION

US EPA Certificate of Conformity MUST BE ATTACHED – SEE ATTACHMENTS SECTION

Idle Limiting Device (ILD) Details

Make	<input type="text"/>	Model	<input type="text"/>
Model Year	<input type="text"/>	ID Number	<input type="text"/>
Capital Cost	<input type="text"/>	Installation Cost	<input type="text"/>

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.



Online Carl Moyer and SOON Application
Form E-4
Locomotive - Idle Limiting Device
Engine Activity Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Project application must include documentation of existing equipment usage for the previous 24 months prior to the application date.

Please attach documentation to support the reported gallons per year

Annual Fuel Usage

	2017	2016	2015	Estimated Annual Future Usage
Fuel Use (gallons/year)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>



Online Carl Moyer and SOON Application Form E-4

Locomotive - Idle Limiting Device
Attachments

The following attachments may be submitted for this proposal:

- Insurance Documentation
- Emissions certification documentation
- Quotes
- Equipment Usage Documentation (for past 24 – months)
- Other misc. attachments
- Engine Executive Order(s) and Retrofit Device Executive Order(s)
- Fuel Documentation
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Business Status Cert
- Direct Deposit Form



Online Carl Moyer and SOON Application Form E-5

Locomotive Engine Remanufacture Kit or Repower/Refurbishment Equipment Information

For project criteria please refer to the locomotive chapter in the Carl Moyer Program Guidelines.

If you have any questions regarding this program or the application process, please contact Mei Wang by phone at (909) 396-3257 or by email at: mwang@aqmd.gov.

If you have more than one equipment for your project, please make copies of this form and use one form for each equipment.

Existing Locomotive Information

Has this locomotive received Carl Moyer Program funds in the past? Yes No

Equipment Location Address

Is the equipment location address the same as the applicant address? Yes No

Street address/
PO Box

Street Address
Line 2

City

County

State

Zip

Vehicle Type

If other, please describe:

Locomotive type

If other locomotive type, please describe

Locomotive Make

Locomotive Model

Locomotive Model Year

Locomotive Serial
Number

Unit number or
other identifier

Does the locomotive already have a functioning idle limiting device (ILD) installed? Yes No



Online Carl Moyer and SOON Application Form E-5

Locomotive Engine Remanufacture Kit or Repower/Refurbishment Project Details

Railroad Class

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.

Total Funding Requested from SCAQMD

Identify other funding sources to be used for this project

Total Project Cost (From Quote: MUST EQUAL QUOTE)

Applicant Co-Funding Amount

Operation Information

Percent Operation in California

Percent Operation in District

Proposed Project Life (this is the number of years that the equipment must operate as specified in your SCAQMD contract):



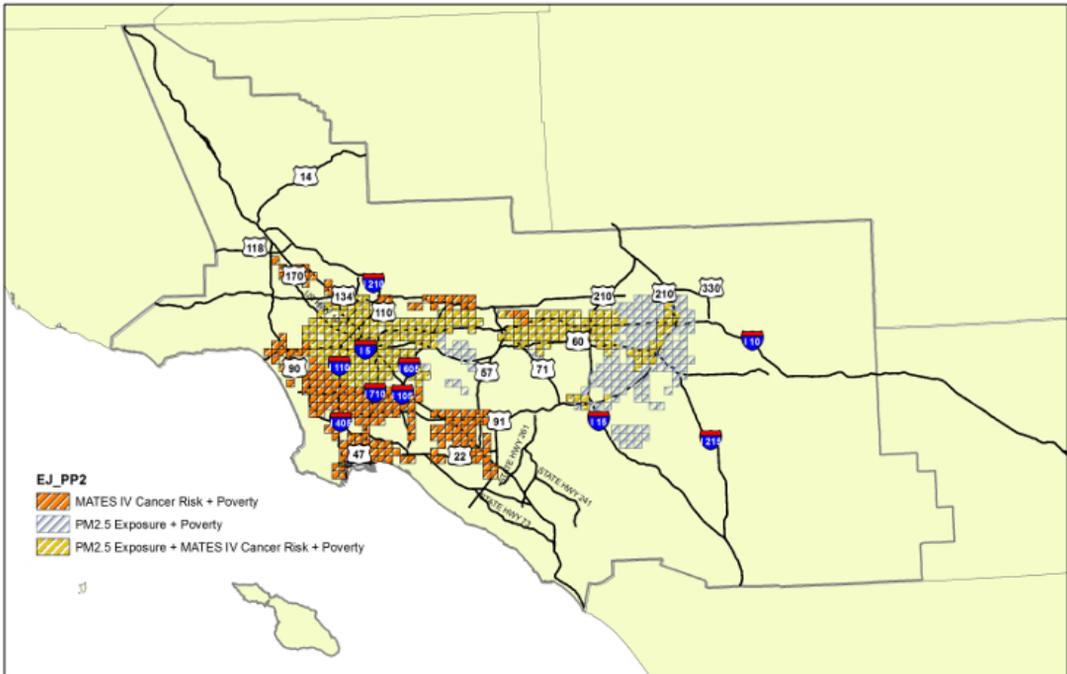
Online Carl Moyer and SOON Application Form E-5

Locomotive Engine Remanufacture Kit or Repower/Refurbishment Disproportionate Impact

At least 50 percent of the SCAQMD's CMP funds must be spent in areas that are most disproportionately impacted by air pollution. SCAQMD uses the following method to meet these requirements:

1. All projects must qualify for the Carl Moyer Program by meeting the cost-effectiveness limits established in the Program Announcement.
2. All projects will be evaluated according to the following criteria to qualify for funding as a disproportionately impacted area:
 - a. Poverty Level: Detailed socioeconomic information is not included in the 2010 Census. Such data is collected yearly from a small percentage of the population on a rotating basis by the American Community Survey (ACS). All projects in areas where at least 10 percent of the population falls below the Federal poverty level based on the 2008-2012 ACS data are eligible to be included in this category, and
 - b. PM_{2.5} Exposure: All projects in areas with the highest 15 percent of PM_{2.5} concentration measured within a 2 km grid will be eligible to be ranked in this category. The highest 15 percent of PM_{2.5} concentration is 11.10 micrograms per cubic meter and above, on an annual average, or
 - c. Air Toxics Exposure: All projects in areas with a cancer risk of 865 in a million and above (based on MATES III estimates) will be eligible to be ranked in this category.

The maximum score is comprised of 40 percent for poverty level and 30 percent each for PM and toxic exposures. Special circumstances exist in some areas, such as the Ports of Long Beach and Los Angeles. Since there are no residents within the ports, poverty ranking could not be established. In this case, the poverty ranking from the adjacent on-shore areas was extended to the port since these populated areas are directly impacted by port activities.





Online Carl Moyer and SOON Application Form E-5

Locomotive Engine Remanufacture Kit or Repower/Refurbishment Engine Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Existing/Baseline Engine Information

Engine Fuel Type	<input type="text"/>		
Engine Make	<input type="text"/>	Engine Model	<input type="text"/>
Engine Model Year	<input type="text"/>	Engine Serial Number	<input type="text"/>
Engine Type	<input type="radio"/> Main <input type="radio"/> Auxiliary	Engine Horsepower	<input type="text"/>
Existing Engine (Baseline) Emissions Tier	<input type="text"/>		
Baseline Engine Family	<input type="text"/>	US EPA Certificate of Conformity No	<input type="text"/>
CARB Executive Order No	<input type="text"/>		

US EPA Certificate of Conformity MUST BE ATTACHED – SEE ATTACHMENTS SECTION

CARB Executive Order MUST BE ATTACHED – SEE ATTACHMENTS SECTION

Remanufacture Kit

Engine Fuel Type	<input type="text"/>		
Engine Make	<input type="text"/>	Engine Model	<input type="text"/>
Engine Model Year	<input type="text"/>		
Engine Serial Number	<input type="text"/>	Engine Horsepower	<input type="text"/>
EPA Engine Family Name	<input type="text"/>	U.S. EPA Certified Locomotive Emission Level	<input type="text"/>
Engine Cost	<input type="text"/>	Installation Cost	<input type="text"/>

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.

Idle Limiting Device (ILD) Details

Will a new eligible ILD be installed as part of this project? Yes No

ILD Type (AESS, FOH, APU, etc.)	<input type="text"/>		
Make	<input type="text"/>	Model	<input type="text"/>
Model Year	<input type="text"/>	ID Number	<input type="text"/>
Capital Cost	<input type="text"/>	Installation Cost	<input type="text"/>

All cost estimates must be based on quotes that have been obtained within 90 days prior to the closing date of the Program Announcement. Attach all quotes to the application.

Electronic Monitoring Unit (EMU) Details

Will a new eligible EMU be installed as part of this project? Yes No

EMU Make	<input type="text"/>	EMU Model	<input type="text"/>
EMU Model Year	<input type="text"/>	EMU ID Number	<input type="text"/>
EMU Cost	<input type="text"/>		



Online Carl Moyer and SOON Application Form E-5

Locomotive Engine Remanufacture Kit or Repower/Refurbishment Engine Activity Information

If you have more than one engine for your project, please make copies of this form and use one form for each engine.

Project application must include documentation of existing equipment usage for the previous 24 months prior to the application date

Please attach documentation to support the reported gallons per year

Annual Fuel Usage

	2017	2016	2015	Estimated Annual Future Usage
Fuel Use (gallons/year)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>



Online Carl Moyer and SOON Application Form E-5

Locomotive Engine Remanufacture Kit or Repower/Refurbishment
Attachments

The following attachments may be submitted for this proposal:

- Insurance Documentation
- Emissions certification documentation
- Quotes
- Equipment Usage Documentation (for past 24 – months)
- Other misc. attachments
- Engine Executive Order(s) and Retrofit Device Executive Order(s)
- Fuel Documentation
- Business Information Request Form
- Campaign Contribution Disclosure
- W-9 Form
- Business Status Cert
- Direct Deposit Form



South Coast Air Quality Management District

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

Business Information Request

Dear SCAQMD Contractor/Supplier:

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

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

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

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

Sincerely,

Michael B. O'Kelly
Chief Administrative Officer

DH:tm

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



South Coast Air Quality Management District

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

BUSINESS INFORMATION REQUEST

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

REMITTING ADDRESS INFORMATION

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

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

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

BUSINESS STATUS CERTIFICATIONS

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

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

Statements of certification:

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

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

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

Check all that apply:

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

Percent of ownership: _____ %

Name of Qualifying Owner(s): _____

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

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

NAME

TITLE

TELEPHONE NUMBER

DATE

Attachment 2

Definitions

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

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

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

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

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

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

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

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

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

- a. 1) an independently owned and operated business; 2) not dominant in its field of operation; 3) together with affiliates is either:
 - A service, construction, or non-manufacturer with 100 or fewer employees, and average annual gross receipts of ten million dollars (\$10,000,000) or less over the previous three years, or
 - A manufacturer with 100 or fewer employees.
- b. Manufacturer means a business that is both of the following:
 - 1) Primarily engaged in the chemical or mechanical transformation of raw materials or processed substances into new products.
 - 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.

Attachment 2

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

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

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

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

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 Publication 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 28% 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 Part II instructions on page 3 for details),

3. The IRS tells the requester that you furnished an incorrect TIN,

4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or

5. You do not certify to the requester that you are not subject to backup withholding under 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* on page 3 and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships* above.

What is FATCA reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code* on page 3 and the instructions for the 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, list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9.

a. **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) 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 in line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box in line 3.

Limited Liability Company (LLC). If the name on line 1 is an LLC treated as a partnership for U.S. federal tax purposes, check the "Limited Liability Company" box and enter "P" in the space provided. If the LLC has filed Form 8832 or 2553 to be taxed as a corporation, check the "Limited Liability Company" box and in the space provided enter "C" for C corporation or "S" for S corporation. If it is a single-member LLC that is a disregarded entity, do not check the "Limited Liability Company" box; instead check the first box in line 3 "Individual/sole proprietor or single-member LLC."

Line 4, Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space in line 4 any 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 ¹	Generally, exempt payees 1 through 5 ²
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

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

² However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, 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.

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. However, the IRS prefers that you use your SSN.

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

Note. See the chart on page 4 for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at www.ssa.gov. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/businesses and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting IRS.gov or by calling 1-800-TAX-FORM (1-800-829-3676).

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

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

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

Part II. Certification

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

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. 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), 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)	The actual owner of the account or, if combined funds, the first individual on the account ¹
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor ²
4. a. The usual revocable savings trust (grantor is also trustee) b. So-called trust account that is not a legal or valid trust under state law	The grantor-trustee ¹ The actual owner ¹
5. Sole proprietorship or disregarded entity owned by an individual	The owner ³
6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))	The grantor ⁴
For this type of account:	Give name and EIN of:
7. Disregarded entity not owned by an individual	The owner
8. A valid trust, estate, or pension trust	Legal entity ⁴
9. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
10. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
11. Partnership or multi-member LLC	The partnership
12. A broker or registered nominee	The broker or nominee
13. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
14. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B))	The trust

¹ 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.
² Circle the minor's name and furnish the minor's SSN.

³ 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.

⁴ 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* on page 2.

***Note.** 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 Publication 4535, *Identity Theft Prevention and Victim Assistance*.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be 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. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: spam@uce.gov or contact them at www.ftc.gov/idtheft or 1-877-IDTHEFT (1-877-438-4338).

Visit IRS.gov to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on 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.

2016 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

Name

Payee

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 reason box below that applies to the payee.

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

Individuals — Certification of Residency:

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

Corporations:

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

Partnerships or Limited Liability Companies (LLCs):

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

Tax-Exempt Entities:

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

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

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

California Trusts:

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

Estates — Certification of Residency of Deceased Person:

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

Nonmilitary Spouse of a Military Servicemember:

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

CERTIFICATE OF PAYEE: Payee must complete and sign below.

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

Under penalties of perjury, I hereby certify that the information provided in this document is, to the best of my knowledge, true and correct. If conditions change, I will promptly notify the withholding agent.

Type or print payee's name and title Telephone

Payee's signature Date

2016 Instructions for Form 590

Withholding Exemption Certificate

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

General Information

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

A Purpose

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

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

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

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-C, Real Estate Withholding Certificate, to claim an exemption from the real estate withholding requirement.

The following are excluded from withholding and completing this form:

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

B Income Subject to Withholding

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

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

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

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

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

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

C Who Certifies this Form

Form 590 is certified by the payee. California residents or entities 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. The withholding agent must retain a copy of the certificate or substitute for at least four years after the last payment to which the certificate applies, and provide it upon request to the FTB.

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

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

D Definitions

For California non-wage withholding purposes, **nonresident** includes all of the following:

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

Foreign refers to non-U.S.

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

Permanent Place of Business:

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

E Military Spouse Residency Relief Act (MSRRA)

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

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

Domicile is defined as the one place:

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

Attachment 4

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

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

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

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

Specific Instructions

Payee Instructions

Enter the withholding agent's name.

Enter the payee's information, including the taxpayer identification number (TIN) and check the appropriate TIN box.

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

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

Foreign Address – 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

Keep Form 590 for your records. The certification remains valid for 5 years or until the payee's status changes. **Do not** send this form to the FTB unless it has been specifically requested.

For more information, contact Withholding Services and Compliance, see Additional Information.

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

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

If any of these situations occur, then withholding may be required. For more information, get Form 592, Resident and Nonresident Withholding Statement, Form 592-B, Resident and Nonresident Withholding Tax Statement, and Form 592-V, Payment Voucher for Resident and Nonresident Withholding.

Additional Information

For additional information or to speak to a representative regarding this form, call the Withholding Services and Compliance telephone service at:

Telephone: **888.792.4900**

916.845.4900

Fax: 916.845.9512

OR write to:

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

You can download, view, and print California tax forms and publications at **ftb.ca.gov**.

OR to get forms by mail write to:

TAX FORMS REQUEST UNIT
FRANCHISE TAX BOARD
PO BOX 307
RANCHO CORDOVA CA 95741-0307

For all other questions unrelated to withholding or to access the TTY/TDD numbers, see the information below.

Internet and Telephone Assistance

Website: **ftb.ca.gov**

Telephone: 800.852.5711 from within the

United States

916.845.6500 from outside the

United States

TTY/TDD: 800.822.6268 for persons with

hearing or speech impairments

Asistencia Por Internet y Teléfono

Sitio web: **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



CAMPAIGN CONTRIBUTIONS DISCLOSURE

In accordance with California law, bidders and contracting parties are required to disclose, at the time the application is filed, information relating to any campaign contributions made to South Coast Air Quality Management District (SCAQMD) Board Members or members/alternates of the MSRC, including: the name of the party making the contribution (which includes any parent, subsidiary or otherwise related business entity, as defined below), the amount of the contribution, and the date the contribution was made. 2 C.C.R. §18438.8(b).

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

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

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

SECTION I.

Contractor (Legal Name): _____

DBA, Name _____, County Filed in _____ Corporation, ID No. _____ LLC/LLP, ID No. _____

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

(See definition below).

SECTION II.

Attachment 5

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

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

Campaign Contributions Disclosure, *continued*:

Name of Contributor _____

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

Name of Contributor _____

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

Name of Contributor _____

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

Name of Contributor _____

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

I declare the foregoing disclosures to be true and correct.

By: _____

Title: _____

Date: _____

Attachment 5

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.**



Surplus Off-Road Opt-In for NOx (SOON)

SCAQMD PROGRAM ANNOUNCEMENT #PA2017-06

The South Coast Air Quality Management District (SCAQMD) is soliciting project proposals for the following purpose according to terms and conditions attached. In this Program Announcement (PA) the words “Proposer,” “Applicant,” “Contractor,” and “Consultant” are used interchangeably.

SECTION I – OVERVIEW

PURPOSE

The SCAQMD is seeking proposals for the Surplus Off-Road Opt-In for NOx (SOON) Provision of the California Air Resources Board’s (CARB’s) In-Use Off-Road Diesel Vehicle Regulation. The primary purpose of this Program is to provide financial incentives to assist in the purchase of low-emission heavy-duty engine technologies to achieve near-term nitrogen oxides (NOx) emission reductions from in-use off-road equipment. Since funding for the SOON Program is from the Carl Moyer Program (CMP), all CMP requirements apply to this Program, except where specifically noted, or where the SCAQMD implements more stringent program criteria as described in the Rule 2449 SOON Implementation Guidelines.

INTRODUCTION

The SOON Program is designed to achieve additional NOx reductions above those that would be obtained from the State In-Use Off-Road Vehicle Regulation. These reductions are critical to meeting the PM2.5 and ozone ambient air quality standards in the South Coast Air Basin.

Funding for Program Announcement #PA2017-06 is from state SB 1107 and AB 923 funds. Project awards are contingent upon receiving these funds from CARB. Additional sources of funding may become available and added to this Program.

Desirable projects must strive to meet a maximum cost-effectiveness limit of \$18,260 per ton of emissions reduced and any additional SCAQMD criteria as stated in this PA (the cost-effectiveness limit may be changed depending on the demand for program funds). Projects exceeding the cost-effectiveness limit may receive partial funding. Except where otherwise stated, projects must meet the requirements of the CMP program guidelines.

The current Program Announcement was prepared using the Approved Revision of the CMP Guidelines released on December 18, 2015. CARB is currently considering revisions to the CMP Guidelines, and if they become available in time for the evaluation period, applications submitted in response to this PA will be evaluated according to the approved 2017 revision of the CMP Guidelines. It is the applicant’s responsibility to ensure that the most current information and requirements are reflected in a submitted application.

Applicants should check the CARB website for updates and advisories to the guidelines (www.arb.ca.gov/msprog/moyer/moyer.htm).

SCAQMD SOON requirements may sometimes be more stringent than CARB guidelines. For example, SCAQMD may have a lower cost-effectiveness ceiling for a particular category. In case there are any conflicts between CARB guidelines and SCAQMD criteria, the more stringent criteria will prevail. SCAQMD will post any new information and requirements on its SOON Web page at www.aqmd.gov/soon. It is the responsibility of the applicant to ensure that the most current information and requirements are reflected in a submitted application.

DEFINITIONS

1. Alternative Fuel

Alternative fuels include compressed natural gas (CNG), liquefied natural gas (LNG), methanol, ethanol, propane (LPG) and electric technologies.

2. Base Rule

Base rule is defined as CARB's In-Use Off-Road Diesel regulation without the SOON provisions. Compliance with the Base Rule is required and is demonstrated by the DOORS Compliance Snapshot.

3. Compliance Plan

Compliance plan is the future forecast of fleet average emissions using current fleet information and planned future repower, replacement, retirement and retrofit projects. An Excel spreadsheet template is available on the SCAQMD SOON webpage.

4. Contract Term

Contract term is the duration for which the contract is valid. It encompasses both the project completion and project implementation periods.

- i. Project completion period is the first part of the Contract term starting from the date of Contract execution by both parties to the date the project post-inspection confirms that the project has become operational.
- ii. Project implementation period is the second part of the Contract term and equals the project life.

5. Cost-Effectiveness Limit

The cost-effectiveness limit determines the maximum funding that can be provided to an individual vehicle repower, replacement or retrofit project for each ton of emissions reduced.

6. Current NOx Standard

For all engine horsepower categories, the current NOx standard in 2017 is Tier 4 Final.

7. Dual-Fuel Technology

Dual-fuel technology includes electric hybrids and technologies that utilize a combination of either CNG and diesel fuel or LNG and diesel fuel, provided they are certified by CARB. Experimental technologies and fuels will be referred to CARB for evaluation and possible eligibility in the program.

8. Incremental Cost

Incremental cost is the percent of actual cost that is eligible for SOON funding. For repower projects, it is 85%; for replacement projects, it is 80%; and for NOx retrofit projects, it is 100%.

9. Project Life

Project life is the period of the contract term during which the repowered, replacement or retrofitted vehicle is operated and the contractor must report annual usage. It is used to calculate the cost effectiveness and funding amount for a particular project.

10. Replacement Project

Replacement project is the purchase of a new or used vehicle to replace an existing vehicle. Only new vehicles meeting Tier 4 Final emissions standards are eligible for funding.

11. Repower Project

Repower project is the replacement of an old engine of an existing vehicle with a newer engine certified to lower emission standards.

12. Retrofit Project

Retrofit project is a modification made to an engine exhaust and/or fuel system such that the specifications of the retrofitted engine are different from the original engine.

GENERAL PROGRAM INFORMATION

The primary focus of the SOON Program is to achieve emission reductions from heavy-duty vehicles and equipment operating in California as early and as cost-effectively as possible. The SOON Program is intended to achieve additional NOx reductions which are needed to meet the PM2.5 and ozone ambient air quality standards in the South Coast Air Basin. The emission reductions expected through the deployment of low emission engines or retrofit technologies under this Program must be real, surplus and quantifiable. Senate Bill 513 (Beall) removed the limitations of co-funding with other public funds except that public funds cannot exceed 85% of actual cost.

Replacement and repower projects are **limited to only** those involving diesel-to-alternative fuel, diesel-to-dual fuel technology, and diesel-to-diesel fuel engines or vehicles. **All projects must meet the program's cost-effectiveness limits and be operational no later than May 24, 2019.** No administrative or vehicle operational costs are eligible.

It is expected that multiple awards will be granted under this PA, subject to the approval of the SCAQMD Governing Board.

All proposals will be evaluated based on criteria set forth in this PA. The SCAQMD will evaluate and/or verify information submitted by the applicant. At SCAQMD's discretion, consultants to the SCAQMD may conduct all or part of such evaluation and/or verification. Data verification during the evaluation and contracting process may cause initial cost-effectiveness rankings, and associated awards, to change. Furthermore, the SCAQMD

reserves the right to make adjustments to awards based on the subsequent verification of information as well as changes in cost-effectiveness.

IMPORTANT PROGRAM INFORMATION

- Fleets with a total statewide equipment horsepower over 20,000 hp and with 40 percent or more of their vehicles at Tier 0 and Tier 1 emission levels as of January 1, 2008, are subject to the SOON Program and are required to apply for funding. Fleets not meeting both of the above criteria on January 1, 2008, may voluntarily participate in this Program and apply for funding.
- For this program cycle, all projects will be eligible for a maximum seven-year operational requirement within the South Coast Air District. Shorter project life will be considered on a case-by-case basis and may be required by the CMP Guidelines for specific types of equipment. However, a shorter project life may affect the project's ranking relative to other project applicants and the amount of funding that can be provided.
- The annual hours used to calculate cost-effectiveness will be included in the contract. An extension of the contract or partial payback of funds may be required if the proposed annual hours are not achieved.
- For all repower projects, fleets are **not** required to but may install the highest level verified diesel emission control system (VDECS) at their own cost.
- Retrofit projects which can achieve NOx reductions may be funded on a case-by-case basis.
- Replacement, repower or NOx retrofit projects funded under SOON are ineligible for compliance with the base rule until the end of the contract period and the original engines must be retained in the DOORS equipment list until then.
- Applicants **must** provide vendor quotes with their application to document the cost of implementing the proposed technology. **All quotes must have been obtained within 90 days of application submittal. Applicants may be required to submit quotes from more than one technology provider.**
- Applicants must demonstrate that they are in full compliance with all CARB applicable regulations and that vehicle/equipment funding requests under this Program provide surplus emissions reductions. **Applicants are required to submit a compliance plan showing how they will comply with the targets of CARB's In-Use Off-Road Vehicle regulation throughout the contract term, as well as how the new projects under this PA will meet SOON NOx targets in 2020 and 2023.**
- Applicants must ensure that the vehicle/equipment to be purchased or installed is in compliance with all applicable federal, state and local air quality rules and regulations and that it will maintain compliance for the full contract term.
- Any associated tax obligation with the award is the responsibility of the grantee.
- No third-party contracts will be executed.
- Pre- and post-inspection of all vehicles/engines/equipment approved for funding will be conducted by SCAQMD.
- Destruction of the engine/equipment being replaced is required.

- To avoid double dipping, applicants shall not apply for funding of the same equipment in any other air district.

POTENTIAL PROJECTS

All eligible projects must use certified technology or technology that has been verified by CARB for real and quantifiable emission reductions that go beyond any regulatory requirement. The following projects are eligible for SOON funding:

Repower Project

For a repower project, the new engine must be certified for sale in California to the current NOx emission standard (Tier 4 Final). If an engine meeting the current emission standard is not available or cannot be installed:

- A Tier 3 Replacement Engine rated at 175 hp or higher can be used for the repower project.
- A Tier 3 Replacement rated at 175 horsepower or less can be used for repower projects provided it complies with U.S. Environmental Protection Agency (EPA) requirements related to replacing in-use engines contained in the Code of Federal Regulations, Title 40, Section 1068.240.
- For off-road equipment with similar modes of operation to on-road vehicles, other possible options include the replacement of an older diesel off-road engine with a new on-road engine certified to an emission standard equal to or cleaner than the Tier 4 Final off-road emission standard or a newer emission certified alternative fuel engine.

Retrofit Project

For a retrofit project, the retrofit technology must be:

- Verified by CARB to reduce NOx or NOx plus PM for the specific engine for which funding is requested.
- In compliance with established durability and warranty requirements and cost-effectiveness criteria.

Diesel Particulate Filters (DPFs) and other devices that are not verified to reduce NOx are not eligible for SOON funding. The applicant will find more information on VDECS, including a list of currently verified DECS at <http://www.arb.ca.gov/diesel/verdev/verdev.htm>.

Replacement Project

For replacement projects, the replacement vehicle/equipment must be powered by a Tier 4 Final engine. If a vehicle/equipment with a Tier 4 Final engine will not be available within 6 months of the application submittal, vehicle/equipment with an Interim Tier 4 or Tier 3 engine may be purchased.

PROJECT CRITERIA

The SCAQMD retains the authority to impose more stringent additional requirements in order to address local concerns.

- Off-road CI equipment eligible for SOON Program funding includes equipment 25 hp (19 kilowatt) or greater. The complete definition can be found in CARB's In-Use Off-Road Diesel regulation at <http://www.arb.ca.gov/msprog/ordiesel/ordiesel.htm>.
- SOON Program grants can be no greater than a project's incremental cost (85% of quotation for repower projects, 80% of quotation for replacement projects). The incremental cost shall be reduced by the value of any current financial incentive that reduces the project price, including but not limited to tax credits or deductions, grants or other public financial assistance.
- Applicants must ensure that the vehicle/equipment to be purchased or installed is in compliance with all applicable federal, state and local air quality rules and regulations and that it will maintain compliance for the full contract term.
- The certification emission standard and Tier designation for the engine must be determined from the CARB's Executive Order issued for that engine, not by the engine model year. Executive orders for off-road engines may be found at <http://www.arb.ca.gov/msprog/offroad/cert/cert.php>.
- Reduced emission engines or retrofits must be certified/verified for sale in California and must comply with durability and warranty requirements. These may include new CARB-certified engines and verified diesel emission control strategies.
- New vehicles equipped with Tier 4 family emission limits (FEL) engines certified to Tier 3 or Interim Tier 4 standards are eligible for SOON Program funding. **However, those engines will have their cost-effectiveness calculated as though they were Tier 3 engines.**
- Equipment manufactured under the "Flexibility Provisions for Equipment Manufacturers", as detailed in Title 13, CCR, section 2423(d), are eligible for SOON Program funding provided their engines are certified to Tier 3 or Interim Tier 4 standards.
- Class 7 diesel forklifts are the only diesel forklifts eligible for SOON Program funding and are subject to all off-road project criteria. The SCAQMD must obtain and verify documentation of the classification of the forklift prior to funding.
- If repower with an engine meeting the current applicable standard is technically infeasible, unsafe or cost prohibitive, the replacement engine must meet the most current practicable previously applicable emission standard and cost-effectiveness criteria and, if rated at less than 175 hp, must comply with the requirements related to replacing in-use engines contained in Title 40, Code of Federal Regulations, Section 1068.240.
- Replacement of an uncontrolled diesel off-road engine with a new on-road engine certified to an emission standard equal to or lower than the Tier 4 Final off-road emission standard or a newer emission-certified alternative fuel engine may be eligible for funding as off-road equipment with similar modes of operation as on-road vehicles on a case-by-case basis. Other equipment may be eligible for funding on a case-by-case basis. These repowers must meet all other applicable project criteria.

- Applicants must provide their DOORS Fleet Compliance Snapshot.
- Applicants must provide the DOORS EIN for each vehicle for which funding is requested.
- Applicants must provide proof they have owned each vehicle for which funding is requested for a replacement vehicle for at least two years.
- Applicants must provide a current Compliance Plan using the SCAQMD fleet calculator or the DOORS calculator demonstrating compliance with the Off-Road regulation throughout the anticipated contract period.
- Applicants must provide at least the most recent two (2) years of hour-meter readings.

Potential projects that fall outside of these criteria may be considered on a case-by-case basis if evidence provided to the air district suggests potential surplus, real, quantifiable and enforceable emission reduction benefits.

MAXIMUM ELIGIBLE FUNDING

The maximum eligible funding amount and project life for each SOON project type is summarized below.

Project	Maximum Funding	Maximum Project Life
Replacement	80% of vehicle/equipment cost	Five years, except: <ul style="list-style-type: none"> • Three years for excavators, skid steer loaders, and rough terrain forklifts • Seven years crawler tractors, off-road tractors, rubber tired dozers, and workover rigs. • Ten years for all off-road farm equipment
Repower	85% of engine cost plus parts and labor necessary for installation	Seven years
Retrofit	100% of retrofit device cost plus parts and labor for installation, plus estimated cost for maintenance during project life.	Five years

COST-EFFECTIVENESS EVALUATION DISCUSSION

The SOON Program is required to meet the requirements of the CMP by using the cost-effectiveness calculations methodology found in Appendix C of the CMP Guidelines (see <http://www.arb.ca.gov/msprog/moyer/guidelines/current.htm>).

REPORTING AND MONITORING

All participants in the SOON Program are required to keep appropriate records during the full contract period. Project life is the number of years used to determine the cost-

effectiveness and is equivalent to the contract implementation period. All equipment must operate in the SCAQMD for this full project life. The SCAQMD shall conduct periodic reviews of each project's operating records to ensure that the engine is operated as stated in the program application. Annual records must contain the following, at a minimum:

- Total Hours of Operation
- Total Hours of Operation in the South Coast Air District
- Annual Maintenance and Repair Information

Records must be retained and updated throughout the project life and made available for SCAQMD inspection. The SCAQMD may conduct periodic reviews of each vehicle/equipment project's operating records to ensure that the vehicle is operated as required by the project requirements.

PROGRAM ADMINISTRATION

The SOON Program will be administered locally by the SCAQMD through the Science and Technology Advancement Office.

FUNDING CATEGORIES

Only equipment identified in the CARB In-Use Off-Road Diesel Vehicle regulation is eligible for this Program.

PROJECT EVALUATION/AWARDS

SCAQMD staff will evaluate all submitted proposals and make recommendations to the SCAQMD Governing Board for final selection of project(s) to be funded. Proposals will be evaluated on the cost-effectiveness of emissions reduced on a vehicle/equipment-by-vehicle/equipment basis, as well as a project's disproportional impact evaluation. (This is discussed further in Section IV).

SCHEDULE OF EVENTS

Release of #PA2017-06	April 7, 2017
*3 Workshops - 9 a.m. to Noon in Room CC6 SCAQMD HQs, 21865 Copley Drive Diamond Bar, CA 91765	Wednesday May 24, 2017 Wednesday May 31, 2017 Wednesday June 7, 2017
*Training for the new online application system will be included in these workshops.	
All Applications due by 1:00 p.m.	Tuesday, July 11, 2017
Anticipated Award Consideration by SCAQMD Board	November 3, 2017

**ALL PROPOSALS MUST BE RECEIVED ELECTRONICALLY OR ON PAPER AT THE
SCAQMD HEADQUARTERS
NO LATER THAN 1:00 P.M. ON TUESDAY, JULY 11, 2017**

Electronic submission using SCAQMD's new CMP Online Application Program (OAP) is preferred and is available at www.aqmd.gov/moyer.

Postmarks of paper copy applications will not be accepted. Faxed or email proposals will not be accepted. Proposers may hand-deliver proposals to the SCAQMD by submitting the proposal to the SCAQMD Public Information Center. The proposal will be date and time-stamped and the person delivering the proposal will be given a receipt.

SCAQMD may issue subsequent solicitations if insufficient applications are received in the initial solicitation.

STATEMENT OF COMPLIANCE

Government Code Section 12990 and California Administrative Code, Title II, Division 4, Chapter 5, require employers to agree not to unlawfully discriminate against any employee or applicant because of race, religion, color, national origin, ancestry, physical handicap, medical condition, marital status, sex, or age. A statement of compliance with this clause is included in all SCAQMD contracts.

SECTION II: WORK STATEMENT/SCHEDULE OF DELIVERABLES

All applicants that are selected for funding awards must complete the Work Statement and Schedule of Deliverables described below as part of the contracting process. Development of these materials for the initial application is NOT required; however, applicants must sign the application form indicating their understanding of the requirements for submittal of additional project information to finalize a contract and that all vehicles, engines or equipment must be in operation no later than **May 24, 2019**.

WORK STATEMENT

The scope of work involves a series of tasks and deliverables that demonstrate compliance with the requirements of the SOON Program as administered by CARB and the SCAQMD. The project applicant is responsible for developing detailed project plans that address the program criteria. In addition, alternative fuel project applicants must discuss their plan for refueling the proposed vehicles/equipment, and if appropriate, should provide a letter of agreement from their fuel provider.

At a minimum, any proposed project must meet the following criteria:

- Emission reductions must be real, quantifiable, enforceable and surplus in accordance with CARB and SCAQMD guidelines.
- Cost-effectiveness of the project must meet the minimum requirement of the Carl Moyer guidelines.
- Project engines or equipment must operate in-service for the full project life.
- All vehicles/engines/equipment must be in operation no later than May 24, 2019.

- Appropriate annual usage records must be kept and reported to SCAQMD during the project life (i.e., annual hours of operation).
- A compliance plan that demonstrates compliance with the off-road regulation throughout the contract period must be provided.
- Ensure that the project complies with other local, state and federal programs, and resulting emission reductions from a specific project are not required as a mitigation measure to reduce adverse environmental impacts that are identified in an environmental document prepared in accordance with the California Environmental Quality Act or the National Environmental Policy Act.
- If requested, a contractor must provide a financial statement and bank reference, or other evidence of financial ability to fulfill contract requirements.

DELIVERABLES

The contract will describe how the project will be monitored and what type of information will be included in project progress reports. At a minimum, the SCAQMD expects to receive the following reports:

1. Quarterly status reports until the vehicle(s) or equipment purchase(s), repower(s), or retrofit(s) has been completed and the vehicle(s) is operational. These reports shall include a discussion of any problems encountered and how they were resolved, any changes in the schedule, and recommendations for completion of the project. These progress reports are required before payment for the purchase, repower or retrofit will be made.
2. An annual report, throughout the project life, which provides the annual hours of operation, where the vehicle(s) or equipment(s) was operated, annual fuel consumption, and operational and maintenance issues encountered and how they were resolved. SCAQMD reserves the right to verify the information provided.

SECTION III: PROPOSAL SUBMITTAL REQUIREMENTS

Proposers **must** complete the appropriate application forms committing that the information requested in Section II, Work Statement/Schedule of Deliverables, will be submitted if the Proposer's project is selected for funding.

In addition, Conflict of Interest and Project Cost information, as described below, must also be submitted with the application. It is the responsibility of the proposer to ensure that all information submitted is accurate and complete.

CONFLICT OF INTEREST

Applicant must address any potential conflicts of interest with other clients affected by actions performed by the firm on behalf of the SCAQMD. Although the proposer will not be automatically disqualified by reason of work performed for such firms, the SCAQMD reserves the right to consider the nature and extent of such work in evaluating the proposal. Conflicts of interest will be screened on a case-by-case basis by the SCAQMD District Counsel's Office. Conflict of interest provisions of the state law, including the Political Reform Act, may apply to work performed pursuant to this contract. Please

discuss potential conflicts of interest on the application form entitled “Campaign Contributions Disclosure”.

PROJECT COST

Applicants must provide cost information that specifies the amount of funding requested and the basis for that request by attaching vendor quotes to the application. Applicants need to inform vendors of the time frame of the award process so that they can accurately quote costs based on the anticipated order/purchase date. **Note that no purchase orders may be placed or work performed for projects awarded under this PA until after the date of award approval by the SCAQMD Governing Board. Any orders placed or payments made in advance of an executed contract with the SCAQMD are done at the risk of the applicant. The SCAQMD has no obligation to fund the project until a contract is fully executed by both parties.**

The SOON Program funds only the differential cost between existing technology and low emission technology. The proposed low emission technology must be CARB-certified in most cases.¹ Proposals will be ranked by cost-effectiveness on a vehicle/equipment-by-vehicle/equipment basis. The cost-effectiveness limit has been established at \$18,260/ton of emissions reduced. The cost-effectiveness may be changed depending on the demand for program funds. No fueling infrastructure, administrative or operational costs will be funded.

All project costs must be clearly indicated in the application. In addition, applicants must include any sources of co-funding and the amount of each co-funding source in the application. **Applicants are cautioned that the project life period used in calculating emissions reductions will be used to determine the length of their data reporting obligation and the length of their contract. In other words, a project applicant using a seven year life for the emissions reduction calculations will be required to operate and track activity for the project vehicle for the full seven years.** A seven year life (shorter project life will be considered on a case-by-case basis and may be required for replacement projects) will be used for all projects subject to #PA2017-06.

PROPOSAL SUBMISSION

All proposals must be submitted according to specifications set forth herein.

Application Forms

Program application forms are provided after this document. These must be completed and submitted with other required documents (i.e., Certifications and Representations and vendor quotations) discussed in the application and below.

Certifications and Representations

Contained in Form A-1 of this PA are five forms which must also be completed and submitted with the application.

¹ Note that non-CARB certified engines/devices requiring an experimental permit from CARB may be considered, but the project will require special CARB approval.

Compliance Plan

Projects funded by SOON monies must result in emission reductions that are surplus to those that would be realized by fleets complying with the base rule. Fleets are required to submit a compliance plan in electronic format to demonstrate how they comply with both the base rule as well as the SOON provision of the rule. Fleet owners, at a minimum, must provide the following information for each year, 2010 through 2023 inclusive:

- A vehicle list which includes, but is not limited to, vehicle type, manufacturer, model, model year, and whether the equipment is included in the base or SOON fleet for each piece of equipment in the fleet.
- Information including, but not limited to, calculations, fleet information, etc., showing compliance with the base rule fleet target levels or compliance with the BACT turnover and retrofit requirements. Either the CARB calculator (individual tabs for each future year) or the Excel SOON fleet calculator spreadsheet may be used.
- Information including, but not limited to, calculations, fleet information, etc., showing whether the vehicles funded by the SOON program are in compliance with the SOON NOx fleet average target levels.

SOON Compliance Plan documents and the Microsoft Excel SOON fleet calculator can be downloaded at the SCAQMD SOON website: www.aqmd.gov/soon. CARB's Fleet Average Calculators can be downloaded at the ARB website: <https://www.arb.ca.gov/msprog/ordiesel/ordiesel.htm>.

Methods of Delivery:

The proposer is encouraged to submit the application using the SCAQMD online system, available at www.aqmd.gov/moyer. This online system allows applicants to submit their application electronically to the SCAQMD prior to the date and time specified below. SCAQMD "Business Information Forms" requiring signatures must be scanned and uploaded to the online system in pdf format. First-time users must register as a new user. A tutorial of the system will be provided at the pre-application workshops and you may contact Walter Shen at wshen@aqmd.gov or (909) 396-2487 if you would like additional assistance.

An applicant may also deliver paper copies of the application in person, via a courier service or U.S. Mail. Application shall submit **four (4) complete paper copies of the application and an electronic copy (CD or flash drive) of the compliance plan and completed application** in a sealed envelope, plainly marked in the upper left-hand corner with the name and address of the proposer and the words "**Program Announcement #PA2017-06**". Paper applications shall be submitted in an eco-friendly format: stapled, not bound, black and white print; no three-ring, spiral or plastic binders, and no card stock or colored paper.

Due Date

All proposals must be received no later than **1:00 p.m., on Tuesday, July 11, 2017**. Electronic applications cannot be submitted after the due date and time. Postmarks for paper copies are not accepted as proof of deadline compliance. **Faxed or emailed proposals will not be accepted.** Paper proposals must be directed to:

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

Any correction or resubmission done by the proposer will not extend the submittal due date.

Grounds for Rejection

A proposal may be immediately rejected if:

1. It is not prepared in the format described.
2. It is not signed by an individual authorized to represent the firm.
3. Does not include current cost quotes, Contractor Statement Forms, and other forms required in this PA.

Disposition of Proposals

The SCAQMD reserves the right to reject any or all proposals. All responses become the property of the SCAQMD. One copy of the proposal shall be retained for SCAQMD files. Additional copies and materials will be returned only if requested and at the proposer's expense.

Modification or Withdrawal

Once submitted, proposals cannot be altered without the prior written consent of SCAQMD. 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 IV: PROPOSAL EVALUATION/CONTRACTOR SELECTION CRITERIA

SCAQMD staff will evaluate all submitted proposals and make recommendations to the SCAQMD Governing Board for final selection of project(s) to be funded. Proposals will be evaluated based on the cost-effectiveness of emissions reduced on a vehicle/equipment-by-vehicle/equipment basis. Be aware that there is a possibility that due to program priorities, cost-effectiveness and/or funding limitations, project applicants may be offered only partial funding, and not all proposals that meet minimum cost-effectiveness criteria may be funded.

Funding will be awarded based on the cost-effectiveness of each piece of equipment. In addition, at least 50 percent of the CMP funds must be spent in areas that are most significantly impacted by air pollution and are low income or communities of color, or both (i.e., receive a disproportionate impact from these factors). SCAQMD uses the following method to meet these requirements.

1. All projects must qualify for the CMP by meeting the cost-effectiveness limit of \$18,260 per ton of emissions reduced.
2. All projects will be evaluated according to the following criteria to qualify for disproportionate impact funding:

- a. Poverty Level: All projects in areas where at least 10 percent of the population falls below the Federal poverty level, based on the 2008-2012 ACS data, will be eligible to be included in this category, and
 - b. PM Exposure: All projects in areas with the highest 15 percent of PM_{2.5} concentration measured within a 2 km grid will be eligible to be ranked in this category. The highest 15 percent of PM_{2.5} concentration is 11.1 micrograms per cubic meter and above, on an annual average, or
 - c. Toxic Exposure: All projects in areas with a cancer risk of 894 in a million and above (based on MATES IV estimates) will be eligible to be ranked in this category.
3. Fifty percent of the available funding from this PA will be allocated among proposals located in disproportionately impacted areas. If available funding is not exhausted with the outlined methodology, then staff will return to the SCAQMD Governing Board for direction. If, on the other hand, funding requests exceed the available funding levels, then all qualified projects will be ranked for poverty level, PM and toxic exposures. The maximum score will be comprised of 40 percent for poverty level and 30 percent each for PM and toxic exposures.
 4. All the proposals not awarded under the 50 percent disproportional impact funding will then be ranked according to cost-effectiveness, with the most cost-effective project funded first and then in descending order for each funding category until the remainder of the CMP funds are exhausted.

SECTION V: PAYMENT TERMS

For all projects, payment will be made upon installation and commencement of operation of the funded equipment for 85% of the submitted reposer invoice (80% of the submitted replacement invoice) or the contract maximum amount, whichever is less.

CONTACT FOR ADDITIONAL INFORMATION

Questions regarding the content or intent of this PA, procedural matters, sample contract, and the compliance plan worksheet can be found at the SCAQMD SOON website (<http://www.aqmd.gov/SOON>), or can be addressed to:

Adewale Oshinuga
Science and Technology Advancement
South Coast Air Quality Management District
21865 Copley Drive
Diamond Bar, CA 91765
Phone: (909) 396-2599/Fax: (909) 396-3324
aoshinuga@aqmd.gov

The remainder of this page is left intentionally blank.

Application Forms

FORM A-1 - GENERAL PROJECT INFORMATION APPLICATION

All Sections of Form A-1 must be submitted for an application to be deemed complete. If information does not pertain to your project, please write "NA" on the form and sign it. In addition, supplemental forms are required for each piece of requested equipment.

I. APPLICANT INFORMATION

Company name/ Organization name/ Individual name:		
Business address (Mailing address): Street:		
City:	State:	Zip code:
Contact name and title:		
E-mail:		
Phone: ()		Fax: ()
Person with contract signing authority (if different from above):		

I hereby certify that all information provided in this application and any attachments are true and correct.

Printed Name of Responsible Party:	Title:
Signature of Responsible Party:	Date:

Complete this section if application was prepared by another person

I have completed the application, in whole or in part, on behalf of the applicant.

Printed Name:	Title:
Signature:	Date:
Amount Being Paid for Application Completion in Whole or Part:	Source of funding to 3rd party:

II. FUNDING INFORMATION

Total Number of Equipment Included in Project:	
Total Number of Engines Included in Project:	
Total Amount of Funding Requested: \$	Total Applicant Co-Funding Amount (if any): \$

III. GENERAL PROJECT INFORMATION

There are three types of emission reduction projects:

New Purchase - Purchasing a new vehicle or piece of equipment with an engine that is cleaner than the current year standard.

Repower - Replacing an existing engine with a new reduced-emission engine.

Retrofit – Installing an ARB-verified emission control system on an in-use engine.

IMPORTANT REMINDER: Only projects that are demonstrated to be surplus to California Air Resources Board (ARB) regulations are eligible for CMP (CMP) funding. Please ensure your proposed project is eligible prior to submitting an application.

Check the appropriate box(es) below for each type of project and indicate the total number of equipment/engines included in your project.

B. Off-Road Diesel - SOON

(Please Circle Fleet Size)

Diesel Fleet Size (Total hp): **Small** \leq 2,500 **Medium** 2,501-5,000 **Large** $>$ 5,000

Equipment Replacement – Total pieces of equipment: _____

A supplemental application (Form B-1) must be completed for each piece of new equipment

Repower Only– Total engines to be repowered: _____

A supplemental application (Form B-2) must be completed for each engine repower

Repower with NOx Retrofit – Total engines to be repowered/retrofit: _____

A supplemental application (Form B-2) must be completed for each engine repower

NOx Retrofit Only – Total engines to be retrofit: _____

A supplemental application (Form B-3) must be completed for each retrofit

IV. FUNDING DISCLOSURE

Have any engines or vehicles listed in this application been awarded funding from the Air Resources Board or another public agency or are any being considered for funding?

- Yes
 No

If "yes", complete the following for each engine or vehicle:

Agency applied to:
Date/Number of Agency Solicitation:
Total Funding Amount Requested or Awarded: \$
Amount per Unit Requested or Awarded: \$
Status:
Do you plan to claim a tax credit or deduction for the project vehicle? <input type="checkbox"/> Yes <input type="checkbox"/> No If "yes", please indicate the estimated tax credit amount to be claimed per vehicle: _____.

Application Statement – Please Read and Sign

All information provided in this application will be used by SCAQMD staff to evaluate the eligibility of this application to receive program funds. SCAQMD staff reserves the right to request additional information and can deny the application if such requested information is not provided by the requested deadline. Incomplete or illegible applications will be returned to applicant or vendor, without evaluation. An incomplete application is an application that is missing information critical to the evaluation of the project.

- ◆ I certify to the best of my knowledge that the information contained in this application is true and accurate.
- ◆ I understand that all vehicles/equipment, both existing and new, must be made available within the SCAQMD boundaries for inspection, unless otherwise approved by SCAQMD's Project Officer.
- ◆ I understand that, if awarded funding under the CMP, development and submittal of a detailed work statement, with deliverables and schedule is a requirement of the contracting process.
- ◆ I understand that it is my responsibility to ensure that all technologies are either verified or certified by the California Air Resources Board (CARB) to reduce NOx and/or PM pollutants. CARB Verification Letters and/or Executive Orders are attached, as applicable.
- ◆ I understand that it is my responsibility to ensure that the vehicle/equipment to be purchased or installed is in compliance with all applicable federal, state, and local air quality rules and regulations and that it will maintain compliance for the full Contract term.
- ◆ I understand that off-road equipment applicants subject to CARB's In-Use Off-Road Diesel Vehicle Regulation (Off-Road Regulation must submit information regarding fleet size and compliance status. This must include the Diesel Off-Road On-line Reporting System (DOORS) ID of the fleet and the DOORS Equipment Identification Number (EIN) of the funded equipment. All documentation submitted must be signed and dated by the applicant and include language certifying that the fleet list provided is accurate and complete.
- ◆ I understand that for SOON repower projects, I am **not** required to install the highest level available verified diesel emission control device (VDECS).
- ◆ I understand that there may be conditions placed upon receiving a grant and agree to refund the grant (or pro-rated portion thereof) if it is found that at any time I do not meet those conditions and if directed by the SCAQMD in accordance with the contract agreement.
- ◆ I understand that, for this equipment, I will be prohibited from applying for any other form of emission reduction credits for Moyer-funded vehicles/engines, including: Emission Reduction Credit (ERC); Mobile Source Emission Reduction Credit (MSERC) and/or Certificate of Advanced Placement (CAP), for all time, from the SCAQMD, CARB or any other Air Quality Management or Air Pollution Control District.
- ◆ The proposed project has not been funded and is not being considered for CMP funds by another air district, CARB, or any other public agency.

- ◆ In the event that the vehicle(s)/equipment do not complete the minimum term of any agreement eventually reached from this application, I agree to ensure the equivalent project emissions reductions, or to return grant funds to the SCAQMD as required by the contract.
- ◆ I have the legal authority to apply for grant funding for the entity described in this application.
- ◆ Disclosure of that value of any current financial incentive that directly reduces the project price, including tax credits or deductions, grants, or other public financial assistance for the same engine is required. To avoid double counting of incentives, all tax credits or deductions, grants, or other public financial assistance must be deducted from the CMP request. I understand that third party contracts are not permitted. A third party may, however complete an application on an owner's behalf. Third parties are required to list how much compensation, if any, they are receiving to prepare the application(s), and to certify that no CMP funds are being used for this compensation. (see below)
- ◆ I understand that additional project information must be submitted to finalize a contract. This information may be found under Section II: Work Statements/Schedule of Deliverables in the PA.
- ◆ I understand that all vehicles, engines or equipment funded by this program must be operational within eighteen (18) months of contract execution, or by May 24, 2019, whichever is earlier.
- ◆ **I have initialed this bullet to indicate** that there are no potential conflicts of interest with other clients affected by actions performed by the firm on behalf of the SCAQMD. **If this bullet is not initialed, I have attached a description to this application of the potential conflict of interest**, which will be screened on a case-by-case basis by the SCAQMD District Counsel's Office. There is no potential conflict of interest: _____ **(Please initial if applicable, otherwise attach separate sheet describing the potential conflict.)**

Applicant's Signature

Date

Applicant's Name (please print)

Title

Please initial each section.

(See details in #PA2017-06 for additional information and requirements.):

The purchase of this low-emission technology is NOT required by any other local, state, and/or federal rule or regulation.

The definitions of qualifying projects are described in this Program Announcement. These definitions have been reviewed and this application is consistent with those definitions.

The vehicle/engine will be used within the SCAQMD boundaries (with the emission reduction system operating) for at least the projected usage shown in this application, and no less than 75 percent of the time.

All project applicants must submit documentation that supports the activity claimed in the application (i.e., fuel receipts, mileage logs and/or hour-meter readings covering the last two years). This documentation is attached.

The grant contract language cannot be modified without the written consent of all parties. I have reviewed and accepted the sample contact language.

I understand that an IRS Form 1099 may be issued to me for incentive funds received under the Moyer Program. I understand that it is my responsibility to determine the tax liability associated with participating in the Moyer Program.

I understand that a SCAQMD-funded Global Positioning System (GPS) unit may be installed on vehicles/equipment not operating within SCAQMD boundaries full time. I will submit data as requested and otherwise cooperate with all data reporting requirements. I also understand that the additional cost of the GPS unit will be added to the project cost when calculating cost-effectiveness, though the SCAQMD will pay for this system directly.

I understand that the SCAQMD has the right to conduct unannounced inspections for the full project life to ensure the project equipment is fully operational at the activity level committed to by the contract.

I understand that all emission reductions resulting from funded projects will be retired. To avoid double counting of emission reductions, project vehicles and/or equipment may not receive funding from any other government grant program that is designed to reduce mobile source emissions.

I understand that a tamper proof, non-resettable digital hour meter/odometer must be installed on all vehicles/equipment and that the digital hour meter/odometer will record the hours/miles accumulated within the SCAQMD boundaries. This cost is my responsibility.

I understand that any tax credits claimed must be deducted from the CMP request. Please check one:

I do not plan to claim a tax credit or deduction for costs funded by the CMP.

I do plan to claim a tax credit or deduction for costs funded by the CMP.
If so, please indicate amount here: \$ _____

I plan to claim a tax credit or deduction only for the portion of incremental costs not funded by the CMP. If so, please indicate amount here: \$ _____



South Coast Air Quality Management District

21865 Copley Drive, Diamond Bar, CA 91765-4178

(909) 396-2000 • www.aqmd.gov

Business Information Request

Dear SCAQMD Contractor/Supplier:

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

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

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

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

Sincerely,

Michael B. O'Kelly
Chief Administrative Officer

DH:tm

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



South Coast Air Quality Management District

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

BUSINESS INFORMATION REQUEST

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

REMITTING ADDRESS INFORMATION

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

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

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

BUSINESS STATUS CERTIFICATIONS

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

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

Statements of certification:

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

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

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

Check all that apply:

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

Percent of ownership: _____ %

Name of Qualifying Owner(s): _____

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

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

NAME	TITLE
TELEPHONE NUMBER	DATE

Definitions

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

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

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

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

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

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

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

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

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

- a. 1) an independently owned and operated business; 2) not dominant in its field of operation; 3) together with affiliates is either:
 - A service, construction, or non-manufacturer with 100 or fewer employees, and average annual gross receipts of ten million dollars (\$10,000,000) or less over the previous three years, or
 - A manufacturer with 100 or fewer employees.
- b. Manufacturer means a business that is both of the following:
 - 1) Primarily engaged in the chemical or mechanical transformation of raw materials or processed substances into new products.

- 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 SCAQMD will receive at least as favorable pricing, warranties, conditions, benefits and terms as other customers or clients making similar purchases or receiving similar services.

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 Publication 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 28% 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 Part II instructions on page 3 for details),

3. The IRS tells the requester that you furnished an incorrect TIN,

4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or

5. You do not certify to the requester that you are not subject to backup withholding under 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* on page 3 and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships* above.

What is FATCA reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code* on page 3 and the Instructions for the 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, list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9.

a. **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) 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 in line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box in line 3.

Limited Liability Company (LLC). If the name on line 1 is an LLC treated as a partnership for U.S. federal tax purposes, check the "Limited Liability Company" box and enter "P" in the space provided. If the LLC has filed Form 8832 or 2553 to be taxed as a corporation, check the "Limited Liability Company" box and in the space provided enter "C" for C corporation or "S" for S corporation. If it is a single-member LLC that is a disregarded entity, do not check the "Limited Liability Company" box; instead check the first box in line 3 "Individual/sole proprietor or single-member LLC."

Line 4, Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space in line 4 any 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 ¹	Generally, exempt payees 1 through 5 ²
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

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

² However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, 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.

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. However, the IRS prefers that you use your SSN.

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

Note. See the chart on page 4 for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at www.ssa.gov. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/businesses and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting IRS.gov or by calling 1-800-TAX-FORM (1-800-829-3676).

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

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

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

Part II. Certification

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

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. 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), 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)	The actual owner of the account or, if combined funds, the first individual on the account ¹
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor ²
4. a. The usual revocable savings trust (grantor is also trustee) b. So-called trust account that is not a legal or valid trust under state law	The grantor-trustee ¹ The actual owner ¹
5. Sole proprietorship or disregarded entity owned by an individual	The owner ²
6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))	The grantor ²
For this type of account:	Give name and EIN of:
7. Disregarded entity not owned by an individual	The owner
8. A valid trust, estate, or pension trust	Legal entity ⁴
9. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
10. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
11. Partnership or multi-member LLC	The partnership
12. A broker or registered nominee	The broker or nominee
13. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
14. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B))	The trust

¹ 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.

² Circle the minor's name and furnish the minor's SSN.

³ 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.

⁴ 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* on page 2.

***Note.** 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 Publication 4535, Identity Theft Prevention and Victim Assistance.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be 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. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: spam@uce.gov or contact them at www.ftc.gov/idtheft or 1-877-IDTHEFT (1-877-438-4338).

Visit IRS.gov to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on 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.

2016 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

Name _____

Payee

Name _____

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

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

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

State _____

ZIP code _____

Exemption Reason

Check only one reason box below that applies to the payee.

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

 Individuals — Certification of Residency:

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

 Corporations:

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

 Partnerships or Limited Liability Companies (LLCs):

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

 Tax-Exempt Entities:

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

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

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

 California Trusts:

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

 Estates — Certification of Residency of Deceased Person:

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

 Nonmilitary Spouse of a Military Servicemember:

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

CERTIFICATE OF PAYEE: Payee must complete and sign below.

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

Under penalties of perjury, I hereby certify that the information provided in this document is, to the best of my knowledge, true and correct. If conditions change, I will promptly notify the withholding agent.

Type or print payee's name and title _____ Telephone (____) _____

Payee's signature ► _____ Date _____

2016 Instructions for Form 590

Withholding Exemption Certificate

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

General Information

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

A Purpose

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

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

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

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-C, Real Estate Withholding Certificate, to claim an exemption from the real estate withholding requirement.

The following are excluded from withholding and completing this form:

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

B Income Subject to Withholding

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

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

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

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

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

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

C Who Certifies this Form

Form 590 is certified by the payee. California residents or entities 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. The withholding agent must retain a copy of the certificate or substitute for at least four years after the last payment to which the certificate applies, and provide it upon request to the FTB. If an entertainer (or the entertainer's business entity) is paid for a performance, the entertainer's information must be provided. **Do not** submit the entertainer's agent or promoter information.

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

D Definitions

For California non-wage withholding purposes, **nonresident** includes all of the following:

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

Foreign refers to non-U.S.

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

Permanent Place of Business:

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

E Military Spouse Residency Relief Act (MSRRA)

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

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

Domicile is defined as the one place:

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

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

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

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

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

Specific Instructions

Payee Instructions

Enter the withholding agent's name.

Enter the payee's information, including the taxpayer identification number (TIN) and check the appropriate TIN box.

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

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

Foreign Address – 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

Keep Form 590 for your records. The certification remains valid for 5 years or until the payee's status changes. **Do not** send this form to the FTB unless it has been specifically requested.

For more information, contact Withholding Services and Compliance, see Additional Information.

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

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

If any of these situations occur, then withholding may be required. For more information, get Form 592, Resident and Nonresident Withholding Statement, Form 592-B, Resident and Nonresident Withholding Tax Statement, and Form 592-V, Payment Voucher for Resident and Nonresident Withholding.

Additional Information

For additional information or to speak to a representative regarding this form, call the Withholding Services and Compliance telephone service at:

Telephone: **888.792.4900**
916.845.4900

Fax: 916.845.9512

OR write to:

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

You can download, view, and print California tax forms and publications at ftb.ca.gov.

OR to get forms by mail write to:

TAX FORMS REQUEST UNIT
FRANCHISE TAX BOARD
PO BOX 307
RANCHO CORDOVA CA 95741-0307

For all other questions unrelated to withholding or to access the TTY/TDD numbers, see the information below.

Internet and Telephone Assistance

Website: ftb.ca.gov
Telephone: 800.852.5711 from within the
United States

916.845.6500 from outside the
United States

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

Asistencia Por Internet y Teléfono

Sitio web: 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

Certification Regarding Debarment, Suspension, and Other Responsibility Matters

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

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

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

Typed Name & Title of Authorized Representative

Signature of Authorized Representative Date

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



CAMPAIGN CONTRIBUTIONS DISCLOSURE

In accordance with California law, bidders and contracting parties are required to disclose, at the time the application is filed, information relating to any campaign contributions made to South Coast Air Quality Management District (SCAQMD) Board Members or members/alternates of the MSRC, including: the name of the party making the contribution (which includes any parent, subsidiary or otherwise related business entity, as defined below), the amount of the contribution, and the date the contribution was made. 2 C.C.R. §18438.8(b).

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

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

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

SECTION I.

Contractor (Legal Name): _____

DBA, Name _____, County Filed in _____ Corporation, ID No. _____ LLC/LLP, ID No. _____

List any parent, subsidiaries, or otherwise affiliated business entities of Contractor:
(See definition below).

SECTION II.

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

Yes No **If YES, complete Section II below and then sign and date the form.**

If NO, sign and date below. Include this form with your submittal.

Campaign Contributions Disclosure, *continued*:

Name of Contributor _____

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

Name of Contributor _____

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

Name of Contributor _____

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

Name of Contributor _____

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

I declare the foregoing disclosures to be true and correct.

By: _____

Title: _____

Date: _____

DEFINITIONS

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

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



South Coast Air Quality Management District

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

Direct Deposit Authorization

STEP 1: Please check all the appropriate boxes

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

STEP 2: Payee Information

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

Authorization

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

STEP 3:

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

To be Completed by your Bank

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

For SCAQMD Use Only

Input By _____

Date _____



RULE 2449 FLEET COMPLIANCE PLAN

1.	COMPANY NAME:
2.	MAILING ADDRESS:
3.	CONTACT PERSON, TITLE, TELEPHONE, EMAIL:
4.	ALTERNATE CONTACT, TITLE, TELEPHONE, EMAIL:
5.	<p>FLEET SUMMARY</p> <p>PLEASE PROVIDE DESCRIPTION OF YOUR FLEET AND TYPE OF BUSINESS IT IS IN.</p> <p>FLEET DESCRIPTION: _____</p> <p># OF VEHICLES: _____ # OF ENGINES: _____ DOORS FLEET # _____</p> <p>TOTAL HORSEPOWER OF FLEET: _____</p>
6.	<p>SIGNATURE OF PERSON RESPONSIBLE FOR RULE 2449 COMPLIANCE</p> <p>I HEREBY CERTIFY, UNDER PENALTY OF PERJURY UNDER THE LAWS OF THE STATE OF CALIFORNIA, THAT ALL INFORMATION CONTAINED HEREIN AND INFORMATION SUBMITTED WITH THIS COMPLIANCE PLAN IS TRUE AND CORRECT. I ALSO ACKNOWLEDGE THAT THIS PLAN IS BEING PROVIDED TO THE SCAQMD EXECUTIVE OFFICER IN COMPLIANCE WITH THE SCAQMD RULE 2449. APPROVAL OF THIS COMPLIANCE PLAN IS SUBJECT TO VERIFICATION OF INFORMATION SUBMITTED. I UNDERSTAND THAT SCAQMD STAFF MAY REQUIRE ADDITIONAL INFORMATION TO PROCESS THIS COMPLIANCE PLAN, AND AGREE TO PROVIDE SUCH INFORMATION.</p> <p>SIGNATURE: _____</p> <p>NAME: _____</p> <p>TITLE: _____</p> <p>SIGNED THIS _____ DAY OF _____</p> <p>IN _____, CALIFORNIA</p>

If you need assistance in preparing the compliance plan,
 please call the Off-Road Mobile Source Section at (909) 396-2599.



SCAQMD Use Only: App. # _____ Project Type: _____

**SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT
SOON PROGRAM (FY 15/16)**

**FORM B-1 - OFF-ROAD HEAVY-DUTY
EQUIPMENT REPLACEMENT**

Please complete one form for each piece of equipment. For multiple unit requests, you may submit a spreadsheet that provides all requested information below, in the order presented below.

Company name/ Organization name/ Individual name:	
Equipment Identifier (Unit # or Company ID):	EIN
Is the vehicle location address the same as the applicant address? <input type="checkbox"/> Yes <input type="checkbox"/> No, (please provide vehicle address below)	
Street Address:	
City:	
Zip Code:	

I. BASELINE (EXISTING) EQUIPMENT INFORMATION

Equipment Type/Function (Diesel): _____ <small>(Backhoe, baler, cargo container handling unit, combine, crane, crawler tractor, crushing/processing, excavator, forklift, grader, ground support equipment, hydro-power unit, loader, mower, off-highway tractor, off-highway truck, paver, paving equipment, roller, rubber-tired dozer, rubber-tired loader, scraper, signal board, skid steer loader, sprayer, surfacing equipment, swather, tractor, tiller, trencher, or other.)</small>

Equipment Make:	Equipment Model:
Equipment Model Year:	Equipment Serial Number or VIN:
Number of Engines on this Equipment: _____ Main (Front) _____ Auxiliary	

II. USAGE/ACTIVITY INFORMATION

Note: Please provide projected annual usage for the new equipment over the proposed life of the project. This projection should be based on actual usage data for the baseline equipment. You MUST attach documentation supporting the projected annual usage and operation within the District and within California. Supporting documentation may be in the form of maintenance records, fuel receipts, hour-meter reports, logs, or other paperwork for each piece of baseline equipment covering at least the past 24 months.	
Total Annual Hours of Operation: _____ or Gallons of Fuel Used: _____	
If Hours, Does the Equipment Have a Functioning Hour Meter? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Percent Operation within CA: _____%	Percent Operation within District: _____%
Project Life: _____ years. Equipment must operate for this full life; this life is equivalent to the contract and the reporting term.	

III. BASELINE (EXISTING) ENGINE INFORMATION (for each engine)

<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Fuel Type:		Baseline Engine Make:	
Baseline Engine Model:		Baseline Engine Year:	
Engine Serial No.:		Baseline Engine Horsepower:	
Baseline Engine Tier:		Baseline Engine Family:	
<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Fuel Type:		Baseline Engine Make:	
Baseline Engine Model:		Baseline Engine Year:	
Engine Serial No.:		Baseline Engine Horsepower:	
Baseline Engine Tier:		Baseline Engine Family:	
Method proposed for rendering the baseline engine(s) inoperable:			

IV. NEW REPLACEMENT EQUIPMENT INFORMATION

Equipment Type/Function:		Equipment Make:	
Equipment Model:		Equipment Model Year:	
Equipment Serial Number or VIN (If available):		Number of Engines on this Equipment: _____ Main (Front) _____ Auxiliary (Rear)	

V. NEW REPLACEMENT EQUIPMENT ENGINE INFORMATION (for each engine)

<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Fuel Type:		New Engine Make:	
New Engine Model:		New Engine Year:	
Engine Serial No:		New Engine Horsepower:	
New Engine Tier:		New Engine Family:	
New Engine ARB Executive Order Number (Attach a copy):			
<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Fuel Type:		New Engine Make:	
New Engine Model:		New Engine Year:	
Engine Serial No:		New Engine Horsepower:	
New Engine Tier:		New Engine Family:	
New Engine ARB Executive Order Number (Attach a copy):			

VI. FUNDING INFORMATION

New Equipment Cost (incl. tax): \$_____
NOTE: You MUST attach a written estimate or quotation from the equipment vendor documenting the cost of the new equipment. This quote must be obtained within 90 days of prior to the closing date of the Program Announcement.
Applicant Co-Funding Amount (if any): \$
Funds Requested: \$
New Equipment Vendor:



SCAQMD Use Only: App. # _____ Project Type: _____

SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT
SOON PROGRAM (FY 15/16)
FORM B-2 - OFF-ROAD HEAVY-DUTY EQUIPMENT
Repower Only or Repower/Retrofit

Please complete one form for each piece of equipment. For multiple unit requests, you may submit a spreadsheet that provides all requested information below, in the order presented below.

Company name/ Organization name/ Individual name:	
Equipment Identifier (Unit # or Company ID):	EIN
Is the vehicle location address the same as the applicant address? <input type="checkbox"/> Yes <input type="checkbox"/> No, (please provide vehicle address below)	
Street Address:	
City:	
Zip Code:	

I. BASELINE (EXISTING) EQUIPMENT INFORMATION

Equipment Type/Function (Diesel): _____ (Backhoe, baler, cargo container handling unit, combine, crane, crawler tractor, crushing/processing, excavator, forklift, grader, ground support equipment, hydro-power unit, loader, mower, off-highway tractor, off-highway truck, paver, paving equipment, roller, rubber-tired dozer, rubber-tired loader, scraper, signal board, skid steer loader, sprayer, surfacing equipment, swather, tractor, tiller, trencher, or other.)

Equipment Make:	Equipment Model:
Equipment Model Year:	Equipment Serial Number or VIN:
Number of Engines on this Equipment: _____ Main (Front) _____ Auxiliary	

II. USAGE/ACTIVITY INFORMATION

Note: Please provide projected annual usage for the new equipment over the proposed life of the project. This projection should be based on actual usage data for the baseline equipment. You MUST attach documentation supporting the projected annual usage and operation within the District and within California. Supporting documentation may be in the form of maintenance records, fuel receipts, hour-meter reports, logs, or other paperwork for each piece of baseline equipment covering at least the past 24 months.	
Total Annual Hours of Operation: _____ or Gallons of Fuel Used: _____	
If Hours, Does the Equipment Have a Functioning Hour Meter? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Percent Operation within CA: _____%	Percent Operation within District: _____%
Project Life: _____ years. Equipment must operate for this full life; this life is equivalent to the contract and the reporting term.	

III. BASELINE (EXISTING) ENGINE INFORMATION (for each engine)

<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Fuel Type:		Baseline Engine Make:	
Baseline Engine Model:		Baseline Engine Year:	
Engine Serial No.:		Baseline Engine Horsepower:	
Baseline Engine Tier:		Baseline Engine Family:	
<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Fuel Type:		Baseline Engine Make:	
Baseline Engine Model:		Baseline Engine Year:	
Engine Serial No.:		Baseline Engine Horsepower:	
Baseline Engine Tier:		Baseline Engine Family:	
Method proposed for rendering the baseline engine(s) inoperable:			

IV. NEW ENGINE INFORMATION (for each engine)

<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Fuel Type:		New Engine Make:	
New Engine Model:		New Engine Year:	
New Engine Tier:		New Engine Horsepower:	
New Engine ARB Executive Order Number (Attach a copy):		New Engine Family:	
<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Fuel Type:		New Engine Make:	
New Engine Model:		New Engine Year:	
New Engine Tier:		New Engine Horsepower:	
New Engine ARB Executive Order Number (Attach a copy):		New Engine Family:	

V. RETROFIT INFORMATION (If Applicable)

NOTE: You **MUST** attach a copy of the ARB Executive Order for the retrofit device and indicate (circle) on the Executive Order Attachment the engine family name for the engine on which the device will be installed.

<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Retrofit Device Make:	Verified NOx Reduction:	%	
Retrofit Device Model:	Verified PM Reduction:	%	
Retrofit Family Name:	Verified ROG Reduction:	%	
Verification Level:			
<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Retrofit Device Make:	Verified NOx Reduction:	%	
Retrofit Device Model:	Verified PM Reduction:	%	
Retrofit Family Name:	Verified ROG Reduction:	%	
Verification Level:			

VI. FUNDING INFORMATION (ENGINE REPOWER)

<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
New Engine Cost (incl. tax): \$		Installation Cost: \$	
<p>NOTE: You MUST attach a written estimate or quotation from the equipment vendor documenting the cost of the new engine. This quote must be obtained within 90 days of prior to the closing date of the Program Announcement.</p>			
Applicant Co-Funding Amount (if any): \$			
Applicant Grant Request Amount: \$			
New Equipment Vendor:			
<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
New Engine Cost (incl. tax): \$		Installation Cost: \$	
<p>NOTE: You MUST attach a written estimate or quotation from the equipment vendor documenting the cost of the new engine. This quote must be obtained within 90 days of prior to the closing date of the Program Announcement.</p>			
Applicant Co-Funding Amount (if any): \$			
Applicant Grant Request Amount: \$			
New Equipment Vendor:			

VII. FUNDING INFORMATION (RETROFIT)

<input type="checkbox"/> Main (Front) Engine _____ <input type="checkbox"/> Auxiliary (Rear) Engine _____
Retrofit Device Cost (including tax): \$
NOTE: You MUST attach a written estimate from the equipment vendor documenting the cost of the device; this quote must be obtained within 90 days prior to the closing date of the Program Announcement.
Retrofit Device Installation Cost:
Retrofit Device Maintenance Cost:
Applicant Grant Request: \$
Retrofit Device Vendor and Installer:
<input type="checkbox"/> Main (Front) Engine <input type="checkbox"/> Auxiliary (Rear) Engine
Retrofit Device Cost (including tax): \$
NOTE: You MUST attach a written estimate from the equipment vendor documenting the cost of the device; this quote must be obtained within 90 days prior to the closing date of the Program Announcement.
Retrofit Device Installation Cost:
Retrofit Device Maintenance Cost:
Applicant Grant Request: \$
Retrofit Device Vendor and Installer:



SCAQMD Use Only: App. # _____ Project Type: _____

SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT
SOON PROGRAM (FY 15/16)
FORM B-3 - OFF-ROAD HEAVY-DUTY EQUIPMENT
NOx Retrofit Only

Please complete one form for each piece of equipment. For multiple unit requests, you may submit a spreadsheet that provides all requested information below, in the order presented below.

Company name/ Organization name/ Individual name:	
Equipment Identifier (Unit # or Company ID):	EIN
Is the vehicle location address the same as the applicant address? <input type="checkbox"/> Yes <input type="checkbox"/> No, (please provide vehicle address below)	
Street Address:	
City:	
Zip Code:	

I. BASELINE (EXISTING) EQUIPMENT INFORMATION

Equipment Type/Function (Diesel): _____
(Backhoe, baler, cargo container handling unit, combine, crane, crawler tractor, crushing/processing, excavator, forklift, grader, ground support equipment, hydro-power unit, loader, mower, off-highway tractor, off-highway truck, paver, paving equipment, roller, rubber-tired dozer, rubber-tired loader, scraper, signal board, skid steer loader, sprayer, surfacing equipment, swather, tractor, tiller, trencher, or other.)

Equipment Make:	Equipment Model:
Equipment Model Year:	Equipment Serial Number or VIN:
Number of Engines on this Equipment: _____ Main (Front) _____ Auxiliary	

II. USAGE/ACTIVITY INFORMATION

Note: Please provide projected annual usage for the new equipment over the proposed life of the project. This projection should be based on actual usage data for the baseline equipment. You MUST attach documentation supporting the projected annual usage and operation within the District and within California. Supporting documentation may be in the form of maintenance records, fuel receipts, hour-meter reports, logs, or other paperwork for each piece of baseline equipment covering at least the past 24 months.	
Total Annual Hours of Operation: _____ or Gallons of Fuel Used: _____	
If Hours, Does the Equipment Have a Functioning Hour Meter? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Percent Operation within CA: _____%	Percent Operation within District: _____%
Project Life: _____ years. Equipment must operate for this full life; this life is equivalent to the contract and the reporting term.	

III. BASELINE (EXISTING) ENGINE INFORMATION (for each engine)

<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Fuel Type:		Baseline Engine Make:	
Baseline Engine Model:		Baseline Engine Year:	
Engine Serial No.:		Baseline Engine Horsepower:	
Baseline Engine Tier:		Baseline Engine Family:	
<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Fuel Type:		Baseline Engine Make:	
Baseline Engine Model:		Baseline Engine Year:	
Engine Serial No.:		Baseline Engine Horsepower:	
Baseline Engine Tier:		Baseline Engine Family:	
Method proposed for rendering the baseline engine(s) inoperable:			

IV. RETROFIT INFORMATION (for each engine)

NOTE: You **MUST** attach a copy of the ARB Executive Order for the retrofit device and indicate (circle) on the Executive Order Attachment the engine family name for the engine on which the device will be installed.

<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Retrofit Device Make:		Verified NOx Reduction: %	
Retrofit Device Model:			
Retrofit Family Name:			
Verification Level:			
Retrofit Device Serial #:			
<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Retrofit Device Make:			
Retrofit Device Model:			
Retrofit Family Name:			
Verification Level:			
Retrofit Device Serial #:			

V. FUNDING INFORMATION

<input type="checkbox"/> Main (Front) Engine	<input type="checkbox"/> Auxiliary (Rear) Engine
Retrofit Device Cost (including tax): \$	
NOTE: You MUST attach a written estimate from the equipment vendor documenting the cost of the device; this quote must be obtained within 90 days prior to the closing date of the Program Announcement.	
Retrofit Device Installation Cost:	
Retrofit Device Maintenance Cost:	
Applicant Grant Request: \$	
Retrofit Device Vendor and Installer:	
<input type="checkbox"/> Main (Front) Engine	<input type="checkbox"/> Auxiliary (Rear) Engine
Retrofit Device Cost (including tax): \$	
NOTE: You MUST attach a written estimate from the equipment vendor documenting the cost of the device; this quote must be obtained within 90 days prior to the closing date of the Program Announcement.	
Retrofit Device Installation Cost:	
Retrofit Device Maintenance Cost:	
Applicant Grant Request: \$	
Retrofit Device Vendor and Installer:	