

BOARD MEETING DATE: February 3, 2017

AGENDA NO. 7

PROPOSAL: Issue Program Announcement for Ships at Berth and Cargo Handling Equipment Projects Under Proposition 1B-Goods Movement Program 

SYNOPSIS: In September 2015, CARB approved Proposition 1B-Goods Movement Program funding awards to local agencies for projects that will reduce emissions from freight transportation. The award for the Los Angeles/Inland Empire trade corridor included \$14.1 million for ships at berth and cargo handling equipment projects. Following an earlier solicitation issued on February 5, 2016, and subsequent awards, there are still funds available for projects in this category. This action is to issue a Program Announcement for ships at berth and cargo handling equipment projects under the Proposition 1B-Goods Movement Program.

COMMITTEE: Technology, January 20, 2017; Recommended for Approval

RECOMMENDED ACTION:

Issue Program Announcement #PA2017-03 for ships at berth and cargo handling equipment projects under the Proposition 1B-Goods Movement Program.

Wayne Nasti
Executive Officer

MMM:FM:VW:MW

Background

Proposition 1B authorizes \$1 billion to CARB for the Goods Movement Emission Reduction Program. Projects funded by this Program must achieve early or extra emission reductions not otherwise required by law or regulations. To date, CARB has granted close to \$740 million to local agencies for various goods movement projects. SCAQMD has received about \$400 million of these funds for projects involving heavy-duty diesel trucks, locomotives and ships at berth. The vast majority of these projects are currently operational, providing significant emission reduction benefits to the

region. In September 2015, CARB approved new funding awards for the Program including \$14.5 million for ships at berth and cargo handling equipment projects. In July 2016, the Board approved awards for ships at berth and cargo handling equipment projects amounting to \$12,484,968. However, one project was subsequently deemed ineligible by CARB because the proposed technology was not verified, and therefore it cannot be funded under this program. A new Program Announcement is necessary to solicit additional projects for the remaining balance of funds.

Proposal

This action is to issue Program Announcement #PA2017-03 for ships at berth and cargo handling equipment projects under the Proposition 1B-Goods Movement Program. Approximately \$6.1 million in funds are remaining for eligible projects under this solicitation. Only cargo berths or terminals that receive visits from vessels not subject to CARB's Ships-at-Berth Rule will be eligible for the shore power funding. Ship capture-and-control emission systems may also qualify for funding if the system is verified by CARB and achieves an overall capture efficiency rate of at least 80% for NOx and PM emissions. The cargo handling equipment category includes rubber-tired gantry cranes, yard trucks and/or lifts operating at a seaport, intermodal rail yard or freight facility. Funding is available for the replacement or conversion of cargo handling equipment with zero emission technologies as well as battery charging units for the zero emission yard trucks and lifts.

Following the evaluation of the applications, staff will return to the Board for approval of the ranked list and specific awards for each project.

Outreach

In accordance with SCAQMD's Procurement Policy and Procedure, a public notice advertising the PA 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 PA 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."

Benefits to SCAQMD

The successful implementation of the projects approved under the Proposition 1B-Goods Movement Program will reduce NOx and PM emissions in a cost-effective and expeditious manner to meet the goals of the AQMP. The vehicles and equipment to be funded by the Proposition 1B Program will operate for the life of the contracts awarded and beyond in the South Coast region, thus providing long-term emission reductions.

Resource Impacts

Following the evaluation of applications, staff will return to seek the Board's approval of the recommended project awards.

Attachment

Program Announcement #PA2017-03 for Ships at Berth and Cargo Handling Equipment Projects



**SCAQMD Program Announcement
For
Ships at Berth and Cargo Handling Equipment
Proposition 1B - Goods Movement Emission Reduction Program
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The South Coast Air Quality Management District (SCAQMD) is pleased to announce the availability of funds from the Proposition 1B - Goods Movement Emission Reduction Program (hereafter “Program”). The Program is administered by a partnership between the California Air Resources Board (CARB) and local agencies to quickly reduce air pollution emissions and health risk from freight movement along California’s trade corridors. Projects funded under this Program must achieve early or extra emission reductions not otherwise required by law or regulation. Approximately \$6.1 million in Program funding is available to install shore power systems (grid-based and non-grid-based power) or ship emissions capture and control systems for vessels that are not subject to CARB’s Shore Power regulation. This funding is also for equipment owners to replace or convert cargo handling equipment (CHE) with zero-emission technology.

WHO: Owners/operators of the following, located within the four California trade corridors, may apply for funding through this solicitation:

1. Existing cargo ship berth or terminal,
2. Existing diesel-powered rubber-tired gantry (RTG) crane,
3. Existing diesel yard truck,
4. Existing diesel powered lift (forklift, side handler, top pick, or reach stacker)
5. If there is no existing equipment, the owner of the future Program-funded equipment shall sign and submit the project application.

WHAT: There are nine project options available as part of this solicitation.

- | | |
|--|---|
| 1. Grid Based Power | 6. Yard Truck Replacement – Electric or Fuel Cell |
| 2. Non-Grid Based Power | 7. Multi-Unit Battery Charger |
| 3. Ship Emissions Capture and Control System | 8. Forklift Replacement – Electric or Fuel Cell |
| 4. RTG Crane Conversion/Replacement | 9. Lift Replacement – Electric or Fuel Cell |
| 5. Yard Truck Conversion to Electric | |

Equipment specifications for each of these project options can be found in Appendix C and E of the 2015 Program Guidelines at: www.arb.ca.gov/gmbond

HOW: The application forms with instructions are attached to this Program Announcement (PA). For guidance on which application forms are required for your project type, please see Section VII of this PA. A copy of the application forms can be found at: <http://www.aqmd.gov/Prop1B>

WHERE: Three (3) copies of a **completed application (with all required supporting documents and signatures)** must be submitted via mail delivery, or in person to:

**South Coast Air Quality Management District
21865 Copley Dr., Diamond Bar, CA 91765
Attn: Procurement**

NOTE: Facsimile or email submittals **will not be accepted.**



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WHEN: Applications must be received by no later than **4:00 PM** on **March 31, 2017** to be considered for funding. If you submit an application in person to the SCAQMD, you must obtain a receipt from SCAQMD's Public Information Center located in the lobby that verifies the date and time of your submittal.

Schedule:

Solicitation Opens	February 3, 2017
Application Deadline	March 31, 2017 (no later than 4 pm)

Anticipated:

SCAQMD Evaluation Period	April 2017 – May 2017
CARB's Approval of Ranked List	June 2017
SCAQMD Board Approval of Awards	July 2017
SCAQMD to Issue Contracts	July-August 2017
Expenditure Deadline*	<ul style="list-style-type: none">➤ Ships At-Berth (non-grid based power/ship emissions capture and control) – 24 months after contract execution.➤ Ships At-Berth (grid based power) – 48 months after contract execution.➤ Cargo Handling Equipment (if commercially available) – 18 months after contract execution.➤ Cargo Handling Equipment (if not commercially available) – 36 months after contract execution.

* Note that the close out payment must be completed by the applicable deadline. SCAQMD may take 30 business days to process the close out payment upon receipt of an approved invoice package. Payment processing should be included in any project scheduling.

For general information or questions about the SCAQMD Proposition 1B – Goods Movement Emission Reduction Program, please contact:

Gregory Ushijima, Air Quality Specialist • (909) 396-3301 • gushijima@aqmd.gov



SCAQMD Program Announcement For Ships at Berth and Cargo Handling Equipment Proposition 1B - Goods Movement Emission Reduction Program PA2017-03

SUMMARY

The purpose of this Program Announcement (PA) is to provide funding for projects under the State's Proposition 1B – Goods Movement Emission Reduction Program to reduce diesel emissions from freight transportation. This PA will include projects of the following equipment types:

- Shore power for ships at berth
- Emissions capture and control systems for ships at berth
- RTG cranes
- Yard trucks
- Lifts (forklifts, side handler, top pick, or reach stacker)
- Multi-unit battery chargers (with the replacement or conversion of 3 yard trucks with Program funds)
- Battery charger (with the replacement or conversion of a yard truck with Program funds)
 - Availability of this funding option must be approved by CARB. If approved, CARB will issue an Executive Order (EO) that details additional Program flexibilities.

I. BACKGROUND

The diesel engines in trucks, locomotives, ships, harbor craft, and cargo handling equipment are major contributors to the State's air pollution challenges. These sources account for nearly half of the statewide particulate matter (PM) emissions. Diesel PM is both a toxic air contaminant and a contributor to black carbon, a powerful short-lived climate pollutant. Near-source exposure to emissions of this particulate matter is associated with health risks, especially near distribution centers, railyards, and seaports, many of which impact disadvantaged communities. Emissions from freight transport also account for over one third of the statewide nitrogen oxides (NO_x) that form fine particles.

Proposition 1B (Prop. 1B), approved by voters in 2006, authorizes \$1 billion in bond funding to CARB to cut freight emissions in four priority trade corridors, including the Los Angeles/Inland Empire trade corridor in the South Coast Air Basin. The project categories include heavy-duty diesel trucks, freight locomotives, ships at berth, commercial harbor craft, cargo handling equipment, transport refrigeration units (TRU), and infrastructure for electrification of truck stops, distribution centers and other places where trucks congregate. In February 2016, SCAQMD released a solicitation for projects in the equipment categories of ships at berth and cargo handling equipment. Total project funds available were about \$14.1 million. In July 2016, SCAQMD approved projects from this solicitation totaling about \$12.48 million, however one project was subsequently deemed ineligible by CARB. A new Program Announcement is necessary to solicit additional projects for the remaining balance of funds.



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The Program supplements existing regulations and may be combined with other funding programs to cut diesel emissions. The Program funds provide an incentive to equipment owners to upgrade to cleaner equipment and achieve early or extra emission reductions beyond those required by applicable rules, regulations or enforceable agreements.

II. DEFINITIONS

a) Air Quality Improvement Program (AQIP)

AQIP is a voluntary incentive program administered by CARB to fund clean vehicle and equipment projects, research of biofuels production and the air quality impacts of alternative fuels, and workforce training. AQIP was created in 2007 by AB 118, the California Alternative and Renewable Fuel, Vehicle Technology, Clean Air, and Carbon Reduction Act of 2007 (Núñez, Chapter 750, Statutes of 2007). AB 8 (Perea, Chapter 401, Statutes of 2013) reauthorized the fees that support AQIP through 2023.

CARB has focused AQIP investments on technology advancing projects that support California's long-term air quality and climate change goals in addition to providing immediate emission benefits. AQIP investments have concentrated on three main categories: commercial deployment of clean vehicles, pre-commercial advanced technology demonstrations, and finance assistance to small trucking fleets. For the latest information on the AQIP, please visit:

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

b) Conversion

ARB-approved aftermarket replacement of the fueling system in a diesel powered equipment to a natural gas, hybrid technology, or zero-emission fueling system. Engines must have CARB approval as an aftermarket conversion to be sold in California. The proposed engine in conversion projects are not fueled by diesel.

c) Forklift

An off-road industrial truck used to hoist and transport materials by means of steel fork(s) under the load.

d) Freight Facility

Distribution centers, warehouses, retail and wholesale outlets, and agricultural processing centers, and other places where trucks congregate (other than truck stops.)

e) Goods

Defined as having the same meaning in Commercial Code section 2105, which essentially requires that:

A. The goods must be movable.



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- B. The goods being moved must be part of a transaction that involves a contract for the sale of the goods.
- C. Rental equipment does not qualify as “Goods”.

f) Lift

Includes side pick, side handler, reach stacker, or forklift

g) Port

A publically or privately owned property located at a harbor or along a waterway where marine and port terminals typically load and unload water-borne commerce onto and from ocean-going vessels; a port includes all property within the physical boundaries of the port or demarcated as the port on city or county land maps as well as other contiguous or adjacent properties owned or operated by the port. A port includes military terminals that operate cargo handling equipment when located as part of, or on contiguous properties with, non-military terminals.

h) Reach Stacker

An off-road truck-like cargo container handler that uses an overhead telescopic boom that can reach across two or more stacks of cargo containers and lift the containers from the top.

i) Replacement

To replace a higher-emitting diesel vehicle or piece of diesel equipment, with a lower-emitting vehicle or piece of equipment (e.g., replacement of one or two old trucks with a new one).

j) Rubber-Tired Gantry Crane or RTG Crane

An off-road overhead cargo container crane with the lifting mechanism mounted on a cross-beam supported on vertical legs which run on rubber tires. RTG cranes do not include gantry cranes that operate on steel wheels and rails.

k) Side Handler or Side Pick

An off-road truck-like cargo container handler that uses an overhead telescopic boom to lift empty or loaded cargo containers by grabbing either two top corners on the longest side of a container, both arms of one side of a container, or both top and bottom sides of a container.

l) Terminal

A facility, including one owned or operated by the Department of Defense or the U.S. military services, that operates cargo handling equipment at a port or intermodal rail yard.



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m) Top Handler or Top Pick

An off-road truck-like cargo container handler that uses an overhead telescopic boom to lift empty or loaded cargo containers by grabbing the top of the containers.

n) Yard Truck

An off-road mobile utility vehicle used to carry cargo containers with or without chassis; also known as utility tractor rig (UTR), yard tractor, yard goat, yard hostler, yard hustler, or prime mover.

III. OWNERSHIP REQUIREMENTS

Applications shall be signed and submitted by the current legal owner of the existing equipment that will be upgraded or replaced. For infrastructure projects, if there is no existing equipment, the application must be signed and submitted by the future owner of the Program-funded equipment.

Applications for Ships at Berth projects may be the port or terminal operators. Notwithstanding, non-owner applications are not eligible for funding.

Individuals or companies that operate the existing equipment under a lease agreement with the equipment owner are prohibited from applying for bond funding.

Third party applications are not allowed.

IV. FUNDING TABLES

For the funding tables below, please also reference the Definitions in Section III above for descriptions of equipment.

Table 1: Ships at Berth

Eligible Equipment		Equipment Upgrade	Proposed Program Funding	Project Life	Other Conditions (partial description)
A	Existing cargo ship berth that receives visits solely by ships not subject to the control requirements of the Ships At Berth Rule in effect as of 2015.	Install grid-based shore power (landside infrastructure to berth).	Lower of: 50 percent of eligible cost or \$2.50M/per berth.	10 years	Ship visits must result in a cost effectiveness of 0.10 lbs/State \$ or higher.
			Lower of: 60 percent of eligible cost or \$3.50M/per berth.	10 years	Ship visits must result in a cost effectiveness of 0.20 lbs/State \$ or higher.



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C	Existing cargo ship berth or terminal that receives visits solely by ships not subject to the control requirements of the Ships At Berth Rule in effect as of 2015.	Install non-grid-based shore power (zero emission system or natural gas engine with selective catalytic reduction to control NOx emissions).	\$200,000 per megawatt of eligible costs.	5 years	Ports of Los Angeles and Long Beach: 1,500 hrs/yr (2015 onwards). Other ports: 1,000 hrs/yr (2015 onwards).
D	Existing cargo ship berth or terminal.	Install an emissions capture and control system (a.k.a. hood or bonnet) that achieves a minimum control effectiveness of 80 percent for NOx and PM. ¹	Lower of 50 percent of eligible cost or a level with a cost-effectiveness of 0.10 lbs/State \$ or higher.	10 years	Ports of Los Angeles and Long Beach: 1,500 hrs/yr (2015 onwards). Other ports: 1,000 hrs/yr (2015 onwards).

Table 1 Notes:

1. The hood or bonnet technology requires CARB approval and a 10 year warranty.

Table 2: Heavy-Duty Trucks – Cargo Handling Equipment

	Eligible Equipment	Equipment Upgrade ¹	Proposed Program Funding	Project Life ²
A	Existing diesel engine rubber-tired gantry crane.	Convert or replace with a zero emission powered system. ³	Lower of 50 percent of eligible cost or \$500,000/crane.	15 years
B	Existing diesel powered yard truck.	Replace with a zero emission electric yard truck. ³	Lower of 80 percent of eligible cost or \$100,000/yard truck.	5 years
C	Existing diesel powered yard truck.	Convert to a zero emission electric yard truck. ³	Lower of 80 percent of eligible cost or \$80,000/yard truck.	5 years
D	Existing diesel powered yard truck.	Replace with a zero emission fuel cell powered yard truck. ³	Lower of 80 percent of eligible cost or \$200,000/yard truck.	5 years



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E	Multi-unit battery chargers with the conversion or replacement of 3 yard trucks.	Install a multiple-unit battery charger ⁴ with the conversion or replacement of 3 yard trucks with zero emission electric yard trucks.	Lower of 50 percent of eligible cost or \$35,000 for the cost a multi-unit battery charger plus the lower of 80 percent of eligible cost or \$80,000 (conversion) or \$100,000 (replacement) per yard truck.	5 years
F	Battery charger with the conversion or replacement of a yard truck. ⁵	Install a battery charger ⁴ with the conversion or replacement of a yard trucks with a zero emission electric yard trucks.	\$15,000 for the cost a battery charger plus the lower of 80 percent of eligible cost or \$80,000 (conversion) or \$100,000 (replacement) for the yard truck.	5 years

Table 2 Notes:

1. Program funded equipment cannot be used to comply with the regulatory requirement for replacing non-compliant equipment with electric or zero emission equipment associated with obtaining third and/or fourth years of “No VDECS (Verified Diesel Emission Control Systems) Available” compliance extension.
2. Program funded equipment is not eligible to be counted towards compliance for a two year period.
3. Requires a 5 year warranty.
4. Battery charger projects require a 3 year warranty. Associated zero emission yard truck projects still require a 5 year warranty.
5. Availability of this funding option must be approved by CARB. If approved, CARB will issue an Executive Order (EO) that details additional Program flexibilities.

Table 3: Cargo Handling Equipment – Lifts

Eligible Equipment		Equipment Lift Capacity	Equipment Upgrade ¹	Proposed Program Funding	Project Life ²
G	Existing diesel powered forklift. ⁷	3,000 – 8,000 lbs	Replace 3 forklifts with 3 Class I electric powered zero emission forklifts, including batteries, and chargers. ^{8,9}	Lower of 50 percent of eligible cost or \$45,000 for all ³ .	5 years
		8,001 – 12,000 lbs		Lower of 50 percent of eligible cost or \$55,000 for all ³ .	



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H	Existing diesel powered forklift. ^{7,10}	3,000 – 8,000 lbs	Replace a forklift with a Class I electric powered zero emission forklift, including battery, and charger. ^{8,9}	Lower of 50 percent of eligible cost or \$15,000 for each forklift.	5 years
		8,001 – 12,000 lbs		Lower of 50 percent of eligible cost or \$18,000 for each forklift.	
I	Existing diesel powered forklift. ⁷	3,000 – 8,000 lbs	Replace 3 forklifts with 3 Class 1 fuel cell powered forklifts including batteries, and chargers. ^{8,9}	Lower of 50 percent of eligible cost or \$75,000 for all 3. ⁵	5 years
		8,001 – 12,000 lbs		Lower of 50 percent of eligible cost or \$90,000 for all 3. ⁶	
J	Existing diesel powered lift, including: forklift, side handler, top pick, or reach stacker.	Greater than 12,000 lbs	Replace an existing lift with a Class I electric powered zero emission lift. ^{8,9}	Lower of 50 percent of eligible cost or \$50,000.	5 years
K	Existing diesel powered lift, including: forklift, side handler, top pick, or reach stacker.	Greater than 12,000 lbs	Replace an existing lift with a fuel cell powered zero emission lift. ⁸	Lower of 50 percent of eligible cost or \$80,000.	5 years

Table 3 Notes:

1. Program funded equipment cannot be used to comply with the regulatory requirement for replacing non-compliant equipment with electric or zero emission equipment associated with obtaining third and/or fourth years of “No VDECS (Verified Diesel Emission Control Systems) Available” compliance extension.
2. Program funded equipment is not eligible to be counted towards compliance for a two year period.
3. Additional forklifts, battery and charger, may be funded at the lower of 50 percent of eligible cost or \$15,000.
4. Additional forklifts, battery and charger, may be funded at the lower of 50 percent of eligible cost or \$18,000.
5. Additional forklifts, battery and charger, may be funded at the lower of 50 percent of eligible cost or \$25,000.
6. Additional forklifts, battery and charger, may be funded at the lower of 50 percent of eligible cost or \$30,000.
7. Engine must be greater than 25 horsepower.
8. Equipment warranty shall be one year or 1,600 hours, whichever comes first.
9. Electric chargers must be California Energy Commission (CEC) compliant to be eligible for funding.
10. Availability of these funding options must be approved by CARB. If approved, CARB will issue an Executive Order (EO) that details additional Program flexibilities.



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IMPORTANT NOTES:

- Clear all outstanding CARB violations for equipment and/or fleet, and maintain compliance with all applicable CARB regulations.
- Determine the equipment lift capacity as identified on the manufacturer's sticker/label on the piece of equipment. If this tag is missing or cannot be read, please check with your local dealer.
- For replacement projects, keep the equipment in legal operating condition until delivered to a dismantler.
- For replacement projects, old equipment must be scrapped in accordance to the requirements in the Guidelines.
- Applicants may request reduced funding amounts to improve cost-effectiveness and competitiveness of the project.
- Make sure your equipment has a readable/legible serial number tag on the unit and engine tag on the engine prior to any inspection (project pre-inspection and post-inspection).

For complete Program requirements, please refer to the latest 2015 Update to the Program Guidelines and related supplemental materials listed on the CARB Program website at www.arb.ca.gov/gmbond or call Gregory Ushijima at the South Coast Air Quality Management District for guidance at (909) 396-3301.

V. ELIGIBILITY

Project eligibility will be based on the Program Guidelines which can be found at:
www.arb.ca.gov/gmbond.

For grid-based and non-grid-based power projects, eligible projects include existing cargo ship berths or terminals at a seaport located within the four California trade corridors that receives visits solely by vessels not subject to the control requirements of ARB's Ships at-Berth Rule in effect as of 2015.

For ship emissions capture and control system projects, eligible projects include existing cargo ship berths or terminals at a seaport located within the four California trade corridors.

Ineligible Equipment

- Any Cargo Handling Equipment not in compliance with applicable CARB regulations.
- Existing Cargo Handling Equipment that is to be replaced shall in no case be a zero emissions unit.
- Any ships at-berth project that is listed as a mitigation measure as part of a final, certified California Environmental Quality Act (CEQA) or National Environmental Policy Act (NEPA) document is not eligible for funding.

General Requirements for All Ships at Berth Projects

Selected applicants must sign a contract with SCAQMD including project milestone and completion deadlines and commit to the following:

- Certify that there are no outstanding CARB violations or non-compliance with CARB regulations associated with the equipment or the owner.
- Commit to the project life specified with the applicable equipment project option.



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- Have written commitments from the tenant shipping line(s) to:
 - Meet the minimum number of ship visits or hours.
 - Sign the equipment project contract (or other written agreement as approved by CARB).
- Adhere to all Program requirements during the project life.
- Comply with record-keeping, reporting, and Program review or fiscal audit requirements.
- Properly maintain all equipment in good operating condition and according to manufacturer's recommendations.
- Demonstrate proof of equipment warranty and insurance on new equipment.
- Comply with local permitting requirements.
- Comply with the Supplemental Procedures available on the Program website.

Program Requirements for Grid-Based Power Projects:

- Commit to a project life of 10 years.
- Demonstrate operability with a cargo ship fully powered by shore-based electrical power supplied by the grid-based equipment.

Program Requirements for Non-Grid-Based Power Projects:

- Commit to a project life of 5 years of 100% California operation at the following levels or greater:
 - Port of Los Angeles and Port of Long Beach:
 - 1,500 hours per year.
 - All other ports within the four California trade corridors:
 - 1,000 hours per year.
- Demonstrate operability with a cargo ship fully powered by shore-based electrical power supplied by the electricity generating unit.
- Obtain a 5 year manufacturer's warranty which includes labor and materials to repair and/or replace system component(s) as needed to correct any mechanical, electrical or control system equipment or installation problems resulting in significant loss of usability. The manufacturer's warranty may exclude minor items that are subject to normal wear and tear if approved by ARB.
- Perform source testing to measure emissions from the unit every 1,000 hours of operation, according to the source test requirements contained in ARB's Ships at-Berth Rule.

*Additional requirements specific to certain Ships at Berth project options can be found in Appendix C of the Proposition 1B: Goods Movement Emission Reduction Program-Final 2015 Staff Report and Guidelines for Implementation and the September 2015 Supplemental Procedures for Ships at Berth and Cargo Handling Equipment Projects available at: www.arb.ca.gov/gmbond.



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General Requirements for All Cargo Handling Equipment Projects

Selected applicants must sign a contract with SCAQMD including project milestone and completion deadlines and commit to the following:

- Certify that there are no outstanding CARB violations or non-compliance with CARB regulations associated with the equipment or the owner.
- Agree to equipment inspections.
- Comply with record-keeping, reporting, and Program review or fiscal audit requirements.
- Properly maintain upgraded equipment in good operating condition and according to manufacturer's recommendations.
- Demonstrate proof of equipment warranty and insurance on upgraded equipment that covers the replacement of the equipment.

Program Requirements for RTG Crane Projects:

- Commit to 15 years of 100% California operation in a port, or intermodal railyard, or freight facility service in the four trade corridors.
- Be permitted to keep the existing diesel engine installed and operational for a limited number of hours each year and do the following at their own expense: (1) install an hour meter on the existing diesel engine and (2) provide activity reports when requested by the local agency or ARB, in a format defined by ARB staff.
- Commit to a maximum limit of diesel engine usage to 30 hours annually based on a rolling 3 year average.
- Comply with all local permitting requirements.
- Demonstrate proof of equipment warranty for 5 years

Program Requirements for Yard Truck Projects:

- Agree to accept an on-board electronic monitoring unit at any time during the project life.
- Commit to 5 years of 100% California operation in a port, or intermodal railyard, or freight facility service in the four trade corridors.
- Demonstrate proof of equipment warranty for the project life and insurance on upgraded equipment.
- Insurance on upgraded equipment shall cover the replacement of the equipment for fuel cell projects.

Program Requirements for Battery Charger Projects:

- Commit to 5 years of 100% California operation in a port, or intermodal railyard, or freight facility service in the four trade corridors.
- Demonstrate proof of equipment warranty of at least 3 years for the charger and 5 years for the trucks.
- For funding option E in Table 2:



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- Convert a minimum of 3 diesel yard truck to electric powered yard trucks. (Option 2) or replace a minimum of 3 electric powered yard trucks (Option 3).
- Meet all requirements for project Option 2 or 3.
- For funding option F in Table 2:
 - Convert or replace 1 yard truck for each battery charger project.
 - Availability of this funding option must be approved by CARB. If approved, CARB will issue an Executive Order (EO) that details additional Program flexibilities.

Program Requirements for Forklift (Lift Capacities of 3,000 lbs to 12,000 lbs) Projects:

- Not replace existing zero emission equipment with new electric powered equipment (electric projects) or new fuel cell equipment (fuel cell projects).
- Commit to 5 years of 100% California operation in a port, or intermodal railyard, or freight facility service in the four trade corridors.
- Demonstrate proof of equipment warranty for one year or 1,600 hours, whichever comes first.
- The replacement equipment must serve the same function as the existing equipment.
- The equipment engine must be greater than 25 horsepower.

Program Requirements for Lift (Lift Capacities Greater Than 12,000 lbs) Projects:

- Not replace existing zero emission equipment with new electric powered equipment (electric projects) or new fuel cell equipment (fuel cell projects).
- Commit to 5 years of 100% California operation in a port, or intermodal railyard, or freight facility service in the four trade corridors.
- Demonstrate proof of equipment warranty for one year or 1,600 hours, whichever comes first and insurance that covers the replacement of the equipment.
- The replacement equipment must serve the same function as the existing equipment.

Modifying an Application

Equipment owners are limited in what they can change after the application is submitted, as changes will affect a project's competitive ranking. Equipment owners are encouraged to select the option that best suits their company as changes may not be possible at a later date. For program-funded projects, equipment owners are able to select any make/model equipment or engine as long as it meets the required emission levels and is in the same vehicle class as the existing equipment or engine (with limited exceptions). Equipment must meet all other program requirements. Please note that your funding amount may change.

Equipment owners may change the project option after the solicitation period has closed subject to the following requirements:



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- The change must result in a funding amount equal to or less than the amount that was requested in the original application.
- The change must result in calculated project cost-effectiveness equal to or greater than the project listed in the original application.
- The change must result in the project remaining above the funding line on the ranked list.

Equipment owners **cannot** substitute a different equipment or change the ownership of the existing equipment identified on the application after the solicitation period has closed.

If a piece of equipment identified as a certain weight capacity in the application is later determined to be in a different weight capacity, the SCAQMD may reduce the amount of funding requested to the amount associated with the appropriate weight capacity or as specified above in Table 3.

VI. APPLICATION SUBMITTAL REQUIREMENTS

An equipment owner **is not allowed to** submit a Proposition 1B application for the same equipment to multiple local agencies. Equipment owners must disclose all funding sources and amounts planned for the project at time of application.

The following documentation must be completed, signed and submitted to SCAQMD by the due date:

Project Type	Require application forms, and attachments
Ships at Berth	Form A for each project in the application, including all supplemental information, Form C, and Attachments 1 through 5.
Cargo Handling Equipment	Form B for each project in the application, including all supplemental information, Form C, and Attachments 1 through 5.



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Below is a list of all application forms and attachments for this Program Announcement. Please refer to the above table for the specific application forms required for your project type.

- Form A – Ships at Berth
- Form B – Cargo Handling Equipment
- Form C – Application Statement

- Attachment 1 – Business Information Request
- Attachment 2 – Disadvantaged Business Certification
- Attachment 3 – W-9 - Request for Taxpayer Identification Number and Certification
- Attachment 4 – Withholding Exemption Certificate (Form 590)
- Attachment 5 – Campaign Contribution Disclosure

Notes: Each attachment (#s 1-5) must be completed and submitted for each individual applicant. If your application is approved, an updated Attachment 5 may be requested by your assigned Project Officer at a later date.

VII. EQUIPMENT PROJECT PURCHASE RESTRICTIONS

An equipment owner **may not** purchase, receive, install, pay for, or place into operation any engines, equipment, or vehicles, nor may work begin on a repower project or a project to install electrical infrastructure, until the project contract is fully executed. For all equipment, an equipment owner may pre-order prior to contract execution at the equipment owner's risk. The SCAQMD **will not** reimburse grantees for orders or any payments on a new engine, piece of equipment, or vehicle that takes place prior to SCAQMD approval of the project through contract execution.

Dealers ordering engines, equipment, or vehicles prior to contract execution assume all financial risk, and are in no way assured grant funds.

Applicant has 24 months from contract execution date to verify project completion/close out payment for ships at-berth (non-grid based power/ship emissions capture and control) projects.

Applicant has 48 months from contract execution date to verify project completion/close out payment for ships at-berth (grid based power) projects.

Applicant has 18 months from contract execution date to verify project completion/close out payment for cargo handling equipment (if commercially available) projects.

Applicant has 36 months from contract execution date to verify project completion/close out payment for cargo handling equipment (if not commercially available) projects.



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Note that SCAQMD may take 30 business days to process the close out payment upon receipt of an approved invoice package. Payment processing should be included in any project scheduling.

Eligible and Ineligible Equipment Costs:

Project Type	Eligible Costs	Ineligible Costs
Grid-Based Power	May include design, engineering, equipment necessary to purchase and install infrastructure to supply electrical power, utility construction, and costs associated with increasing the capacity of electrical power to the port.	Shipside modifications to accept shore-based electrical power, consulting, environmental review, legal fees, permits, licenses and associated fees, taxes, metered costs, insurance, operation, maintenance, and repair.
Non-Grid-Based Power	May include equipment necessary to generate electrical power and connect the equipment to cargo ships at berth.	Construction and protection of infrastructure (e.g., natural gas lines) used to supply fuel for non-grid-based electrical generation, shipside modifications to accept electrical power, barge or other acquisition and modification for a portable system, design, engineering, consulting, environmental review, legal fees, permits, licenses and associated fees, taxes, utility construction or metered costs, insurance, operation, maintenance, and repair.
Ship Emissions Capture and Control System	May include purchase and installation of the emission treatment system and ducting, and hoods or bonnets necessary to connect to cargo ships at berth.	Shipside modifications to accept capture and control system, barge or other acquisition and modification for a portable system, design, engineering, consulting, environmental review, legal fees, permits, licenses and associated fees, taxes, utility construction or metered costs, insurance, operation, maintenance, and repair.
RTG Crane	May include 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.	Design, engineering, consulting, environmental review, legal fees, permits, licenses and associated fees, taxes, metered costs, insurance, operation, maintenance, and repair.
Yard Truck Conversion	May include purchase of the vehicle drive train and control system.	License, registration, taxes (other than federal excise and sales tax), insurance, operation, maintenance, and repair.
Yard Truck Replacement	May include purchase of the replacement truck	



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Forklift Replacement (Lift capacities of 3,000 lbs to 12,000 lbs)	Partial funding of the replacement forklift including any batteries and California Energy Commission (CEC) compliant chargers (for electric units).	
Lift (Lift capacities greater than 12,000 lbs)		

VIII. PAYMENT PROCESS

The SCAQMD shall expend Program funds through invoice payments after the satisfactory completion of a post-inspection by SCAQMD. Invoice payments provide Program funding to equipment owners on a reimbursement basis or to the vendor (or dealership) through a direct payment option provided the SCAQMD receives written instructions and approval from the grantee. For the direct payment option, an authorized representative of the dealership must have signed a Memorandum of Understanding agreement with the SCAQMD certifying their understanding of the program requirements. Grant funds shall only be used toward the capital cost of the equipment.

For ships at berth, grid-based power projects only, up to 80% of eligible project costs are authorized for early reimbursement provided that the equipment owner has expended all non-Program match funding and remains in compliance with the equipment project contract (Chapter IV.B.2.e of Proposition 1B Guidelines). Final payment of funds held in retention shall be paid upon completion of a satisfactory post-inspection

Invoice Payments

Payment of the grant funds will only be made after the new equipment, converted equipment, and/or replacement equipment has passed a post-inspection by the SCAQMD and the SCAQMD has received a valid invoice package for the new engine or piece of equipment. The SCAQMD may issue the grant payment to the equipment owner upon submission of a valid invoice once the following requirements have been met:

- For ships at berth projects:
 - Equipment owner must successfully complete a post-inspection with a ship plugged in to the power system or ship being controlled by the emissions capture and control system.
- For ships at berth, non-grid-based power projects, equipment owner shall submit proof of a 5 year manufacturer's warranty which includes labor and materials to repair and/or replace system component(s) as needed to correct any mechanical, electrical or control system equipment or installation problems resulting in significant loss of usability.
- For ships at berth, ship emissions capture and control systems, equipment owner shall submit proof of a 10-year manufacturer's warranty (including labor and materials) to repair and/or replace system component(s) as needed to correct any mechanical,



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electrical or control system equipment or installation problems which may cause significant loss of capture, treatment efficiency or usability.

- For cargo handling equipment projects:
 - Equipment owner must impound and transport the old engine or equipment to a licensed dismantler (yard truck) or dismantler (all other equipment) up to 30 days after the new power system or equipment is placed into operation.
- For RTG crane projects, equipment owner shall demonstrate proof of equipment warranty for 5 years.
- For yard truck conversion and yard truck electric replacement projects, equipment owner shall demonstrate proof of equipment warranty for the project life and insurance on upgraded equipment.
- For yard truck fuel cell replacement projects, equipment owner shall demonstrate proof of equipment warranty for the project life and insurance on upgraded equipment that covers the replacement of the equipment.
- For yard truck battery charger projects, equipment owner shall demonstrate proof of equipment warranty of at least 3 years for the charger and 5 years for the trucks that would connect to the chargers.
- For forklift electric replacement projects, equipment owner shall demonstrate proof of equipment warranty for one year or 1,600 hours, whichever comes first.
- For all other forklift and lift projects, equipment owners shall demonstrate proof of equipment warranty for one year or 1,600 hours, whichever comes first, and insurance that covers the replacement of the equipment.
- For all reimbursements, the equipment owner must submit proof of payment and a copies of all invoices from the vendors with all ineligible costs deducted. Additional information may be required by the SCAQMD.
- For reimbursements, the SCAQMD will require verification from the dismantler that the old equipment has been delivered to the dismantling site and is in custody of the dismantler.
- The payment of grant funds will not exceed the amount directly paid by the equipment owner.



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IX. PROJECT EVALUATION AND COMPETITIVE RANKING

Only those applications that contain all required information will be evaluated by the SCAQMD and all eligible projects will be competitively ranked according to the procedures specified in the Program Guidelines. The ranked list, once approved by CARB, will be posted on the SCAQMD website. SCAQMD will award grant funds to the top project on the ranked list and continue down the list until the Program funds are exhausted. If the Program funds are not exhausted, SCAQMD will seek CARB's approval to start funding any backup projects in the order they appear on the ranked list. For complete information regarding project evaluation and the competitive ranking process, please refer to Chapter IV of the Final 2015 Staff Report and Guidelines for Implementation found on the CARB Program website at: www.arb.ca.gov/gmbond.

X. ANNUAL REPORTING REQUIREMENTS

Shore Power (Grid- and Non-Grid-Based Power)

Equipment owners that are awarded funding will be responsible for annual reporting to the SCAQMD for the project life. The equipment owner annual reports shall include, but is not limited to:

- Contact information (owner name, company, address, phone).
- Equipment description and type providing electrical power.
- Port and berth name(s)/identifier(s).
- Date of installation of equipment.
- Vessel type, name, and Lloyd's number utilizing berth.
- Total ship visits utilizing berth.
- Ship visits utilizing Program-funded equipment.
- Documentation of Program-funded equipment's electricity usage at berth (for grid-based power).
- Power, in megawatts, supplied to the vessels (for non-grid-based power).
- Episodes of electrical service interruption by local utility company (for grid-based power).
- Date and description of any equipment failure that prevented a ship from using the shore-based power (for non-grid-based power).
- Summary of maintenance and inspections conducted.
- Signed certification statement that the bond-funded project was operated in accordance with the signed contract and that all information submitted is true and accurate.
- Project records must be retained for at least 2 years after contract expiration or 3 years after final project payment, whichever is later.
- Summary of source testing (for non-grid-based power).
- Other information as requested by the SCAQMD.

South Coast Air Quality Management District
21865 Copley Dr.

Diamond Bar, CA 91765



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Ship Emissions Capture and Control Systems

Equipment owners that are awarded funding will be responsible for annual reporting to the SCAQMD for the project life. The equipment owner annual reports shall include, but is not limited to:

- Contact information (owner name, company, address, phone).
- Description of ship emissions capture and control system.
- Port and berth name(s)/identifier(s).
- Date and location of equipment installation.
- Vessel type, name, and Lloyd's number of vessels utilizing the system.
- Total ship visits utilizing the system by berth.
- Power usage (kW-hr) to run the hood and source of power (grid- vs. non-grid-based).
- Natural gas usage (if any) for heating selective catalytic reduction duct burner.
- Date and description of any equipment failure that prevented a ship from using the system to reduce emissions.
- Summary of maintenance, source testing and inspections conducted.
- Signed certification statement that the bond-funded project was operated in accordance with signed contract and that all information submitted is true and accurate.
- Other information as requested by the SCAQMD.

Cargo Handling Equipment

Equipment owners that are awarded funding will be responsible for annual reporting to the SCAQMD for the project life. The equipment owner annual reports shall include, but is not limited to:

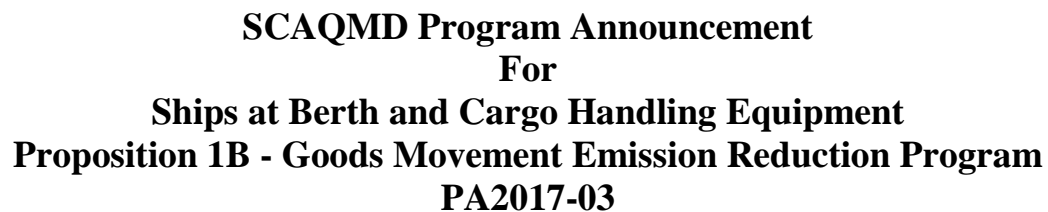
- Contact information (owner name, company, address, phone).
- Date and location of installation of equipment.
- Equipment type and name of home port, railyard or freight facility.
- RTG crane, side pick, top pick, reach stacker and yard truck or yard truck and battery charging station, make, model, year, serial number, and power rating.
- Annual hours of operation.
- Summary of maintenance and inspections conducted.
- Signed certification statement that the bond-funded technology was installed on the equipment for which it was approved, and that all information submitted to the local agency is true and accurate.
- Other information as requested by the SCAQMD.



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XI. USEFUL RESOURCES

- CARB Goods Movement Emission Reduction Program:
<http://www.arb.ca.gov/bonds/gmbond/gmbond.htm>
- Supplemental Procedures for Ships at Berth and Cargo Handling Equipment Projects (September 2015)
http://www.arb.ca.gov/bonds/gmbond/docs/prop_1b_goods_movement_ships_at_berth_supplemental_procedures_year_5.pdf
- CARB Cargo Handling Equipment Website:
<http://www.arb.ca.gov/ports/cargo/cargo.htm>
- CARB Shore Power for Ocean-going Vessels Website:
<http://www.arb.ca.gov/ports/shorepower/shorepower.htm>
- CARB In-Use Off-Road Diesel Vehicle Regulation
<http://www.arb.ca.gov/msprog/ordiesel/ordiesel.htm>
- CARB Diesel Off-road On-line Reporting System (DOORS)
https://ssl.arb.ca.gov/ssldoors/doors_reporting/doors_login.html
- DOORS Compliance Validation
http://www.arb.ca.gov/doors/compliance_cert1.html
- CARB Off-Road Compliance Flow Chart
http://www.arb.ca.gov/msprog/ordiesel/faq/applicability_flow_chart.pdf
- SCAQMD Prop. 1B Website (where a copy of the solicitation and application forms can be found)
<http://www.aqmd.gov/home/programs/business/goods-movement-ships-at-berth>





PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION

FORM A: Ships At-Berth

SECTION 1 – APPLICANT INFORMATION (PLEASE PRINT OR TYPE)

A. ORGANIZATION INFORMATION		
Organization, Company or Proprietor's Name (as it appears on Form W-9):		
Address:		
City:	State:	Zip Code:
Mailing Address (if different from above):		
City:	State:	Zip Code:
Brief Project Overview (e.g., the number of berths or vessels proposed for this project):		
B. PRIMARY CONTACT INFORMATION		
First and Last Name:		Contact Title:
Phone Number:	Fax Number:	
Alternate Contact Number:	Email:	
C. CONTRACT SIGNING AUTHORITY INFORMATION (e.g., Equipment Owner)		
First and Last Name:		
Title:	Phone Number:	
If the above person is not the owner of the proposed project equipment, please specify the owner's name here:		
D. PROJECT BUDGET AND FUNDING REQUEST		
Total Project Cost:	Funding Request:	Number of Units Proposed:
Other Funding/Source of other funding (private, local, other State, federal):		

Submit the original completed application (with all required supporting documents and signatures) along with **two (2) copies** of **the entire application package** (a total of 3 copies including the original application) via mail delivery, or in person to:

South Coast Air Quality Management District
21865 Copley Dr., Diamond Bar, CA 91765
Attn: Procurement / PA2017-03

Application Deadline: March 31, 2017 by no later than 4pm

NOTE: Facsimile or email submittals **will not be accepted**.



PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION

FORM A: Ships At-Berth

(THE INFORMATION BELOW IS REQUIRED FOR **EACH** BERTH. FOR MULTIPLE BERTHS, YOU MAY PROVIDE AN EXCEL SPREADSHEET CONTAINING THE REQUIRED INFORMATION)

SECTION 2 – PROJECT INFORMATION

- Project Type (Check One):**
- ☐ Grid-Based Shore Power
 - ☐ Non-Grid-Based Shore Power
 - ☐ Ship Emissions Capture and Control System

Applicant Type: (Check one):

- ☐ Terminal Owner
- ☐ Terminal Lessee
- ☐ Port Authority
- ☐ Other, please specify: _____

List project partners and match funding sources (include documentation of match funding availability):

Port where the project berth/equipment is located:

Berth name/identifier and location within the Port:

Name of Owner and Operator of the Berth:

Project Description: Attach a project description, including but not limited to: the type of equipment to be installed, the need to bring additional power to the project site, design information including the maximum power demand (kWh-hr), utility provider, etc. For Ship Emissions Capture and Control system projects, be sure to include the number of emissions capture subsystems (bonnets) per unit, number of emissions treatment subsystems, a description of the support structure and other key components. **Title this attachment “Project Description”.**

Project Acknowledgement:

If the applicant does not own the site where the equipment will be installed, the applicant shall obtain and include a written project acknowledgement from the site owner with the application submittal or thereafter if allowed by the local agency. The project acknowledgement shall acknowledge/agree in writing, at a minimum:

- The equipment owner will be allowed to install and operate the Program-funded equipment at the site address.
- Program-funded equipment will be the property of the applicant listed in the equipment project application.
- The SCAQMD, ARB, or their designees will be allowed to access the site, equipment, and associated records for inspections, Program reviews, or fiscal audits.

The project acknowledgement is valid over the entire project life.



Project Cost Information: Attach an overall project budget and a cost breakdown summary. The cost breakdown summary should include cost estimates for all phases of the project (e.g., design, environmental, construction, etc.). The cost information should be itemized for each eligible expense by phase of the project. Provide vendor quotes when available. Note that verifiable vendor quotes are required to be submitted with the application for all non-grid based projects. **Title this attachment "Project Cost Information".**

A representative example of a cost breakdown summary for a grid-based shore power project includes the following items:

- Design
- Engineering
- Electrical service connection
- Power upgrade project (prorated by berth if applicable)
- Breakers and secondary breakers
- High-voltage cables
- Step down transformer
- Switchgear
- Power control equipment
- Power connection vaults
- Cable reels, cables, and connectors to connect at the vessel
- Control cable and equipment
- Other costs (as applicable)

Emission Control Equipment Data: For Ship Emission Capture and Control System projects only, provide the name of the equipment vendor(s), specific emission control technology and attach documentation of the CARB approval letter specifying the percentage of PM and NOx reductions.



**SECTION 3 – BERTH ACTIVITY DATA FOR THE PAST TWO YEARS
(FOR GRID- AND NON-GRID-BASED SHORE POWER PROJECTS ONLY)**

Total Number of Ship Visits to the Berth: _____(2014) _____(2015)
Please specify below if this number represents the total visits by vessels regulated under CCR Section 93118.3 OR all vessels that visited the berth:
Number of Visits (per ship) per year:
Average hoteling time per visit (hours/visit):
Ship Type and Size (e.g., twenty-foot equivalent unit, TEU, capacity) for each Ship that Visits the Berth:
Ship Description (including number of engines, fuel type, power demand, including both total auxiliary power (kW) and net hoteling load (kW)):

**SECTION 4 – PREDICTED BERTH ACTIVITY WITH NEW EQUIPMENT
(FOR GRID- AND NON-GRID-BASED SHORE POWER PROJECTS ONLY)**

Total estimated annual ship visits:
Estimated annual ship visits using electrical power:
Estimated ship types, description of each ship and associated power demands:
Estimated annual hoteling hours:
Estimated annual MW usage:



Information demonstrating future visits by vessels will **not** be subject to ARB's Ships at Berth Rule:

SECTION 5 – PREDICTED SHIP ACTIVITY WITH NEW SYSTEM AND PROJECTED EMISSIONS BENEFITS (FOR SHIP EMISSION CAPTURE AND CONTROL SYSTEM PROJECTS ONLY)

Number and type of ships (both subject to and not subject to the control requirements of the Ships at-Berth Rule) that will be under the hood:

Average time ships (by type of ship) will spend under the hood (hours per visit; visits per month/year):

Power usage (kWh) to run the system and source of power (grid- versus non-grid-based):

Natural gas usage (if any) for heating the selective catalytic reduction (SCR) duct burner:

Provide a detailed projection of the emissions reduction benefits of the ship emissions capture and control project. Include an estimate (showing all calculations and assumptions) of PM and NO_x emissions with and without the project over ten (10) years of operation. Also discuss the emission reductions attributable to the project that are surplus to any laws or regulations for 10 years. Demonstrate that the weighted emission reductions are equal to or higher/better than 0.1 pound of weighted emissions per State dollar invested. For more information on the application requirements for Ship Emission Capture and Control projects, please see Appendix C of the program guidelines. **Title this attachment "Emission Reduction Benefits".**



SECTION 6 –PROJECT SCHEDULE

Attach a project schedule that includes project milestone completion dates. For grid-based shore power projects, the project schedule should include milestone dates for the following activities:

- Preliminary Design.
- Environmental Clearance (if applicable).*
- Final Design.
- Equipment ordering (with delivery dates consistent with timely completion of project milestones).
- Receipt of delivery date confirmations from manufacturers (with dates consistent with timely completion of project milestones).
- Equipment delivery (for all equipment with lead times over 1 month). *
- Power upgrade project (if applicable).
- Execution of construction contract(s) for installation services. *
- Permits.
- Start construction (material and equipment installation). *
- Finish construction (material and equipment installation).
- Commissioning/testing.
- Demonstration of a fully operational system (with ship plugged-in).

* Key milestone dates specified by CARB.

Notes:

- 1) If more than one milestone completion date applies to separate activities within a particular category, applicants should provide additional breakdowns. For example, if a transformer and cable reel are both identified to have a procurement lead time of over 1 month, they must be itemized separately in the project schedule.
- 2) The equipment owner may update the milestone dates after the application is submitted, but prior to the execution of the contract. The updated schedule will then be agreed to by the local agency and incorporated into the equipment project contract. The contract will require the equipment owner to provide updates to the project schedule at least quarterly. A schedule recovery plan will be required by the equipment owner if one of the following occurs: 1) one or more berths fail to meet a key milestone date listed in the contract, or 2) the equipment owner or AQMD becomes aware of a change that will cause one or more berths to miss the original project completion date listed in the contract. If the equipment owner fails to meet the commitments in the approved schedule recovery plan, the AQMD may terminate the contract.
- 3) For shore power projects, existing cargo ship berths or existing cargo ship terminals should be at a seaport located within the four California trade corridors that receives visits solely by vessels not subject to the control requirements of ARB's Ships at-Berth Rule in effect as of 2015.
- 4) For ship emissions capture and control systems, existing cargo ship berth or existing cargo ship terminal shall be located at a seaport located within the four California trade corridors.

Title this attachment "Project Schedule".



PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION

FORM B: Cargo Handling Equipment

SECTION 1 – APPLICANT INFORMATION (PLEASE PRINT OR TYPE)

A. ORGANIZATION INFORMATION		
Organization, Company or Proprietor's Name (as it appears on Form W-9):		
Address:		
City:	State:	Zip Code:
Mailing Address (if different from above):		
City:	State:	Zip Code:
No. of employees:	Number of Diesel Cargo Handling Units:	
Fleet Size:	Total HP of Fleet:	
<i>*Attach documentation showing compliance with the appropriate CARB regulations. Freight facilities applying for CHE funding should provide certification of compliance with Diesel Off-road Online Reporting System (DOORS).</i>		
B. PRIMARY CONTACT INFORMATION		
First and Last Name:		Contact Title:
Phone Number:	Fax Number:	
Alternate Contact Number:	Email:	
C. CONTRACT SIGNING AUTHORITY INFORMATION (e.g., Equipment Owner)		
First and Last Name:		
Title:	Phone Number:	
If the above person is not the owner of the proposed project equipment, please specify the owner's name here:		
D. PROJECT BUDGET AND FUNDING REQUEST		
Total Project Cost:	Total Funding Request:	Funding request per unit:

Submit the original completed application (with all required supporting documents and signatures) along with **two (2) copies of the entire application package** (a total of 3 copies including the original application) via mail delivery, or in person to:

South Coast Air Quality Management District
21865 Copley Dr., Diamond Bar, CA 91765
Attn: Procurement / PA2017-03

Application Deadline: March 31, 2017 by no later than 4pm

NOTE: Facsimile or email submittals **will not be accepted**.



PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION

FORM B: Cargo Handling Equipment

(THE INFORMATION BELOW IS REQUIRED FOR **EACH** PIECE OF EQUIPMENT.
FOR MULTIPLE UNITS YOU MAY PROVIDE AN EXCEL SPREADSHEET CONTAINING THE REQUIRED INFORMATION)

SECTION 2 – PROJECT INFORMATION

Project Type (Check One):

- ☐ RTG Crane Conversion/Replacement with Zero-Emission Power System
- ☐ Yard Truck Conversion to Electric Power
- ☐ Yard Truck Replacement (Electric or Fuel Cell)
- ☐ Forklift Replacement (Electric or Fuel Cell), capacity of 3,000-12,000 lbs.
- ☐ Lift Replacement (Electric or Fuel Cell), capacity of greater than 12,000 lbs.
- ☐ Multi-Unit Battery Charger (Requires purchase of 3 eligible yard trucks)

Applicant Type: (Check one):

- ☐ Terminal Owner
- ☐ Terminal Lessee
- ☐ Port Authority
- ☐ Rail Yard
- ☐ Freight Facility
- ☐ Other, please specify: _____

List project partners and match funding sources (include documentation of match funding availability):

Port, Rail Yard, or Freight Facility where the project equipment is located:

Terminal name/identifier and/or location within the facility (RTG cranes only):

Identify the trade corridors in which the equipment is routinely operated:

Equipment Registered Owner and Operator, if different from applicant:

Specify Diesel Off-road Online Reporting System (DOORS) id, if applicable:

Equipment (RTG, yard truck, or lift) identification number, VIN, or serial number (for each unit):

Equipment (RTG, yard truck, or lift) make, model and model year (for each unit):

Annual hours of operation (per unit): _____

Attach documentation that supports this operation covering the most recent two-year period.

Title this attachment “Section 2 – CHE Activity Documentation”.

**PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION****FORM B: Cargo Handling Equipment****FOR EACH EXISTING UNIT/EQUIPMENT:**

Engine Make:	Engine Model:
Engine Model Year:	Horsepower Rating:
Engine Serial Number:	Fuel Type:
Engine Type (Yard Trucks/RTG Cranes): <input type="checkbox"/> Off-Road <input type="checkbox"/> On-Road	Engine Family Name (All Lifts):
Engine Emission Certification Standard or Retrofit Verification Level (include Emission Control Group name) (All Lifts):	
Do you request a direct payment to the vendor? (check one) <input type="checkbox"/> YES <input type="checkbox"/> NO	

SECTION 3 – PROPOSED EQUIPMENT PROJECT INFORMATION

Describe the RTG electrification technology (if applicable):

For Each Proposed Zero Emission RTG or Yard Truck:

Equipment Make:	Equipment Model:
Equipment Model Year:	Horsepower/Power Rating:
Estimated Annual Hours of Operation:	
Estimated Eligible Costs:	

For Each Proposed Battery Charger:

Equipment Manufacturer:	Equipment Power Rating (voltage, amperage, wattage, efficiency):
Equipment Serial Number:	Number of Charging Ports:
Equipment Recharge Rate:	
Estimated Annual Truck Connections to Charger:	Estimated Average Connection Time to Charger:
Anticipated Cost of Eligible Equipment:	



PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION

FORM B: Cargo Handling Equipment

For Each Lift Project:

FORKLIFT, TOP PICK, SIDE HANDLER, OR REACH STACKER INFORMATION	
Equipment Make:	Equipment Model:
Equipment Model Year:	Equipment Lift Capacity:
Identification Number or Vehicle Identification Number (VIN):	
Diesel Engine Make:	Diesel Engine Model:
Diesel Engine Model Year:	Diesel Engine Horsepower:
Diesel Engine Family Name:	Diesel Engine Serial Number:
BATTERY CHARGER INFORMATION	
Equipment Manufacturer:	Equipment Power Rating (voltage, amperage, wattage, efficiency):
Equipment Serial Number:	Number of Charging Ports:
Equipment Location:	
Equipment Recharge Rate:	Predicted Activity:

SECTION 4 – DETAILED PROJECT SCOPE AND ADDITIONAL REQUIRED ATTACHMENTS

Attach a detailed project scope of work and project schedule that covers, at a minimum, the following key project milestones:

- Preliminary Design (if applicable)
- Environmental Clearance (if applicable)
- Final Design (if applicable)
- Equipment Order
- Equipment acquisition/installation
- Commissioning (if applicable)
- Post-Inspection – project completion
- Submittal of invoice(s) to AQMD for reimbursement.

For applicants subject to CARB's Cargo Handling Equipment regulation, attach a copy of the reports required to be submitted to the CARB by January 31st each year in order to comply with the reporting requirements for the Regulation for Mobile Cargo Handling Equipment at Ports and Intermodal Rail Yards.



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 and meets the minimum requirements of the proposition 1B –Good Movement Emission Reduction Program.
- I agree to follow all requirements of the Proposition 1B - Goods Movement Emission Reduction Program- Final 2015 Staff Report and Guidelines for Implementation and September 2015 Supplemental Procedures for Ships at Berth and Cargo Handling Equipment Projects.
- I understand that the Program-funded equipment may not be used by the equipment owner to comply with any applicable CARB regulations for the specified timeframe.
- I understand that, if awarded funding under the, development and submittal of a detailed work statement, with deliverables and schedule is a requirement of the contracting process.
- I understand that there may be conditions placed upon receiving a grant and agree to refund the grant (or a pro-rated portion if applicable) 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 Program-funded equipment, including: Fleet Emission Credits (CARB's Ships at Berth Regulation), 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. However, the project may be co-funded with additional federal or local funds in accordance with the Proposition 1B Guidelines.
- The proposed project has not been funded and is not being considered for incentive funds by another air district, CARB, or any other public agency.
- In the event that the equipment does not complete the minimum term of any agreement eventually reached from this application, I agree to notify SCAQMD and return grant funds to the SCAQMD if required by the contract.
- I have the legal authority to apply for grant funding for the entity described in this application.
- I have disclosed the 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/equipment below as part of this application statement. To avoid double counting of incentives, all tax credits or deductions, grants, or other public financial assistance may be deducted from the funding request.
- A statement verifying that installation or construction activities prohibited prior to contract execution have not started at any of the berths included in the equipment project contract.
- I agree to actively cooperate with the SCAQMD, CARB, or their designees during any ongoing evaluation or audit of the project site, schedule or records. This cooperation includes, but is not limited to, providing contact information and open access (if requested) to communicate directly with key project personnel, contractors, subcontractors, public utilities and material or equipment suppliers.



PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION

FORM C: Application Statement

- 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 Program funds are being used for this compensation. (see below)
- I understand that additional project information may be required by SCAQMD to finalize a contract, and that I will be responsible for providing this information to SCAQMD when requested.
- I understand that an incomplete or illegible application, including applications that are missing required documentation, may be rejected by the SCAQMD at their discretion
- I understand that new equipment must not be purchased, received, installed, paid for, or placed into operation prior to contract execution unless specified by the Program Guidelines, and if allowed, equipment owner shall assume all financial risk and is in no way assured program funds.
- I understand that new equipment purchased outside of California may be subject to California sales and/or use tax
- I understand that all equipment funded by this program must be operational within a prescribed time from the date of contract execution. I confirm that I know the specific time requirement for the type of project and equipment for which I am applying. The required project completion dates for eligible project types are specified in the Program Announcement.
- 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.)**
- I, the equipment owner, disclose that I have applied for the following other source(s) of funding (if any) for the same equipment project:

Source of funds: _____

How much applied for: _____

What the funding will be used for: _____

- I, the equipment owner, disclose the following value of any existing financial incentive that directly reduces the project cost, including tax credits or deductions, grants, or other public financial assistance, for the same equipment project:

Value: _____

- I certify that the equipment owner has reviewed the application and that the application information is correct.
- I certify that neither the owner nor equipment identified in the equipment project application has any outstanding violations of CARB regulations.
- I understand as an applicant that incentive programs have limited funds and shall terminate upon depletion of program funding



PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION

FORM C: Application Statement

Applicant Signature

Date

Applicant Name (please print)

Title

If this application was prepared by an entity other than the applicant, please provide the information requested below.

Applicant Preparer's Signature

Date

Applicant Preparer's Name (please print)

Phone Number/E-mail

Compensation for application preparation: _____

**I certify that no Program funds are
the source for this compensation:** _____

Signature of Preparer



PROPOSITION 1B - GOODS MOVEMENT EMISSION REDUCTION PROGRAM APPLICATION

FORM C: Application Statement

Please initial each section.

The emission reductions that will result from this project are **NOT** required by any local, state, and/or federal rule or regulation.

The types of eligible projects are described in this Program Announcement (PA#2016-03). These definitions have been reviewed and this application is consistent with those definitions.

The equipment will be committed to 100% operation within the four California trade corridors for the duration of contract term.

The grant contract language cannot be modified without the written consent of all parties.

I understand that an IRS Form 1099 may be issued to me for incentive funds received under this Program Announcement. I understand that it is my responsibility to determine the tax liability associated with participating in the Program.

I understand that an AQMD-funded electronic monitoring unit will be installed on vehicles/equipment if deemed necessary by AQMD. I will submit data as requested and otherwise cooperate with all data reporting requirements.

I understand that the AQMD 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 any tax credits claimed must be deducted from the Program request. Please check one:

- ☐ I **do not** plan to claim a tax credit or deduction for costs funded by the Program.
- ☐ Program. I **do** plan to claim a tax credit or deduction for costs funded by the

Program.

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 Program.

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

REV 9/16



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

Attachment 2

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.

Form W-9 (Rev. December 2014) Department of the Treasury Internal Revenue Service	Request for Taxpayer Identification Number and Certification	Give Form to the requester. Do not send to the IRS.
Print or type See Specific Instructions on page 2.	1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.	
	2 Business name/disregarded entity name, if different from above	
	3 Check appropriate box for federal tax classification; check only one of the following seven boxes: <input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____ Note. For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner. <input type="checkbox"/> Other (see instructions) ▶ _____	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____ <i>(Applies to accounts maintained outside the U.S.)</i>
	5 Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
	6 City, state, and ZIP code	
7 List account number(s) here (optional)		

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Note. If the account is in more than one name, see the instructions for line 1 and the chart on page 4 for guidelines on whose number to enter.

Social security number										
				-			-			
or										
Employer identification number										
				-						

Part II Certification

Under penalties of perjury, I certify that:

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

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

Sign Here	Signature of U.S. person ▶	Date ▶
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General Instructions

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

Future developments. Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at www.irs.gov/fw9.

Purpose of Form

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

- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)

- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

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

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding? on page 2.

By signing the filled-out form, you:

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

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

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

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

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

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

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

Foreign person. If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see 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.

TAXABLE YEAR

CALIFORNIA FORM

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.

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. _____
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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: _____

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.**