



# South Coast Air Quality Management District

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

## HYBRID ADMINISTRATIVE COMMITTEE MEETING

### Committee Members

Chair Vanessa Delgado, Committee Chair  
Vice Chair Michael Cacciotti, Committee Vice Chair  
Mayor Pro Tem Larry McCallon  
Supervisor V. Manuel Perez

**October 10, 2025 ♦ 10:00 a.m.**

### TELECONFERENCE LOCATIONS

Office of Senator Vanessa Delgado  
944 South Greenwood Ave.  
Montebello, CA 90640

**A meeting of the South Coast Air Quality Management District Administrative Committee will be held at 10:00 a.m. on Friday, October 10, 2025 through a hybrid format of in-person attendance in the Dr. William A. Burke Auditorium at the South Coast AQMD Headquarters, 21865 Copley Drive, Diamond Bar, California, and remote attendance via videoconferencing and by telephone. Please follow the instructions below to join the meeting remotely.**

**Please refer to South Coast AQMD's website for information regarding the format of the meeting, updates if the meeting is changed to a full remote via webcast format, and details on how to participate:**

<http://www.aqmd.gov/home/news-events/meeting-agendas-minutes>

## INSTRUCTIONS FOR ELECTRONIC PARTICIPATION AT BOTTOM OF AGENDA

**Join Zoom Webinar Meeting - from PC or Laptop**  
<https://scaqmd.zoom.us/j/93760468442>

**Zoom Webinar ID: 937 6046 8442 (applies to all)**

**Teleconference Dial In**  
+1 669 900 6833

**One tap mobile**  
+16699006833,93760468442#

**Audience will be able to provide public comment through telephone or Zoom connection during public comment periods.**

**PUBLIC COMMENT WILL STILL BE TAKEN**

## AGENDA

*Members of the public may address this body concerning any agenda item before or during consideration of that item (Gov't. Code Section 54954.3(a)). If you wish to speak, raise your hand on Zoom or press Star 9 if participating by telephone. All agendas for regular meetings are posted at South Coast AQMD Headquarters, 21865 Copley Drive, Diamond Bar, California, at least 72 hours in advance of the regular meeting. Speakers may be limited to three (3) minutes total for all items on the agenda.*

*Please note that under the California Public Records Act (Gov't. Code § 7920.000 et seq.) your written and oral comments, attachments, and associated contact information (e.g., your address, phone, email) become part of the public record and can be released to the public on request or posted on the South Coast AQMD website.*

### **CALL TO ORDER**

#### **- Roll Call**

### **DISCUSSION ITEMS – Items 1 through 10:**

1. Board Members' Concerns (***No Motion Required***)  
*Any member of the Governing Board, on their own initiative may raise a concern to the Administrative Committee regarding any South Coast AQMD items or activities.* Chair Vanessa Delgado
2. Chair's Report of Approved Travel (***No Motion Required***) Chair Delgado pgs. 8-9
3. Report of Approved Out-of-Country Travel (***No Motion Required***) Wayne Nastri pgs. 8-9  
Executive Officer
4. Review November 7, 2025 Governing Board Agenda Wayne Nastri pgs. 10-21
5. Approval of Compensation for Board Member Assistant(s)/ Consultant(s) (Any material, if submitted, will be distributed at the meeting.) (***Motion Requested if Proposal Made***) Chair Delgado
6. Update on South Coast AQMD's Internal Engagement Activities (***No Motion Required***)  
*Staff will provide an update on current and future efforts for our internal community engagement activities.* Anissa Heard-Johnson, PhD  
Deputy Executive Officer,  
Community Engagement and  
Air Programs pgs. 22-28
7. Review Recommended Appointments of Replacement OC Seats to South Coast AQMD's Young Leader's Advisory Council (YLAC) for 2025 (***No Motion Required***)  
*Governing Board Chair Delgado (Ret.) requests Committee review before the Chair appoints two members to serve on the Young Leader's Advisory Council for 2025.* Anissa Heard-Johnson, PhD  
pgs. 29-30
8. Receive and File Annual Report on South Coast AQMD's Deferred Compensation Plans (***No Motion Required***)  
*South Coast AQMD sponsors IRS-approved 457(b), 401(a) and Omnibus Budget Reconciliation Act of 1990 (OBRA) Deferred Compensation Plans for its employees. The Board is responsible for monitoring the activities of the Deferred Compensation Plan* John Olvera pgs. 31-65  
Deputy Executive Officer,  
Administrative & Human  
Resources

*Committee and for ensuring the Committee carries out its fiduciary duties under the Committee Charter. In accordance with the Board's responsibilities, this action is to receive and file the Deferred Compensation Plan Annual Report for Plan Year Ending June 2025.*

9. Report of RFQs/RFPs Scheduled for Release in November  
**(No Motion Required)**  
*This report summarizes the RFQs/RFPs for budgeted services over \$100,000 scheduled to be released for advertisement for the month of November.*
- Sujata Jain pgs. 66-68  
Chief Financial Officer
10. Status Report on Major Ongoing and Upcoming Projects for Information Management **(No Motion Required)**  
*Information Management is responsible for data systems management services in support of all South Coast AQMD operations. This action is to provide the monthly status report on major automation contracts and planned projects.*
- Ron Moskowitz pgs. 69-77  
Chief Information Officer,  
Information Management

**ACTION ITEMS – Items 11 through 18:**

11. Issue Purchase Order for Ingres Relational Database Management System Software Support and Appropriate Funds for Information Management **(Motion Requested)**  
*The Ingres Relational Database Management System is used for the implementation of the Central Information Repository database. This database is used by most enterprise-level software applications at South Coast AQMD and currently supports a suite of client/server and web-based applications known collectively as the Clean Air Support System (CLASS). CLASS applications which are used to support South Coast AQMD's core activities. Licensing, maintenance, and support for this software expires on November 29, 2025. This action is to obtain approval for either a one or three year Purchase Order with Actian Corporation to renew Ingres licensing, maintenance and support. The final purchase cost will be determined through negotiations. In addition, this action is to appropriate funds to Information Management's FY 2025-26 budget to cover any necessary purchase shortage.*
- Ron Moskowitz pgs. 78-80
12. Authorize Purchases of CrowdStrike Protection Services **(Motion Requested)**  
*South Coast AQMD currently utilizes CrowdStrike Protection Services to safeguard agency systems against viruses, malware, identity threats, and other modern cyber threats, thereby reducing the likelihood of costly data breaches. This action is to obtain approval for a one-year period with CrowdStrike for a total amount not to exceed \$108,000. Funding for this purchase is included in the FY 2025-26 Budget for Information Management.*
- Ron Moskowitz pgs. 81-82

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13. Appropriate Funding for Permitting Enhancement Program Legacy System Replacement (**Motion Requested**)  
*In April 2023, Chair Delgado introduced the Permitting Enhancement Program (PEP) with the goal of reducing the permit inventory and modernizing the permitting process platform to improve application processing and issuance timelines. The current legacy permitting software systems, which are more than 25 years old, requires replacement. The initial phase of this effort, focused on developing a modern workflow framework, is near completion and was presented to the Board as part of the PEP update on October 3, 2025. As outlined in that presentation, additional funding is needed to move into the next phase to replace and integrate three legacy applications into the computer infrastructure. This action is to transfer and appropriate up to \$750,000 from the General Fund Undesignated (Unassigned) to Information Management's FY 2025-26 and/or FY 2026-27 Budgets.*
- Ron Moskowitz pgs. 83-85
14. Transfer and Appropriate Funds and Issue Solicitation and Purchase Orders for Community Air Monitoring Near Refineries and Related Facilities (**Motion Requested**)  
*In January 2024, the Board amended Rule 1180 and adopted Rule 1180.1, which requires petroleum refineries, other refineries, and related facilities to fund the installation and operation of fence-line and community air monitoring systems. For this purpose, in October 2024, the Board recognized revenue of up to \$5,227,692 and up to \$2,309,469 for Rules 1180 and 1180.1, respectively, into the Rule 1180 Special Revenue Fund (78). These actions are to transfer and appropriate up to \$2,900,800, subject to the availability of funds, from the Rule 1180 Special Revenue Fund (78) and appropriate up to \$471,000 from the General Fund Undesignated (Unassigned) to the Monitoring and Analysis FY 2025-26 and/or FY 2026-27 Budgets, and also to issue a solicitation and purchase orders for air monitoring equipment to meet the operational needs of the community air monitoring systems.*
- Jason Low, PhD pgs. 86-93  
Deputy Executive Officer,  
Monitoring & Analysis
15. Issue Purchase Orders for Air Monitoring Equipment (**Motion Requested**)  
*South Coast AQMD received \$676,000 from U.S. EPA for the PM2.5 Monitoring Program to meet federal monitoring requirements. This ongoing program provides for the operation of the PM2.5 monitoring network within the boundaries of South Coast AQMD. The amount provided by U.S. EPA is less than what was previously anticipated and recognized by the Board. This action supersedes that earlier recognition and adjusts how the funds are spent by authorizing purchase orders for air monitoring equipment based on the final award amount.*
- Jason Low, PhD pgs. 94-96
16. Authorize Executive Officer to Enter Into Grant Services Agreement With Placer County Air Pollution Control District and Recognize Revenue (**Motion Requested**)
- Michael Krause pgs. 97-98  
Assistant Deputy Executive  
Officer, Planning, Rule

*Under AB 102, CARB was allocated \$10,000,000 to provide incentive funds to assist with the transition from the use of hexavalent chromium in plating operations to non-toxic alternatives. CARB has subsequently contracted with Placer County Air Pollution Control District (APCD) to assist with implementing a Statewide incentive program for this transition. Under the CARB grant, Placer County APCD can contract with local air districts for local outreach and support services. Based on the number of South Coast AQMD eligible facilities, the contract amount can be up to \$198,113 for South Coast AQMD staff to outreach and support services.*

Development &  
Implementation

17. Issue RFP for Office Data Cable Infrastructure and RFQ for Modular Furniture Systems Moving Services (**Motion Requested**)  
*South Coast AQMD's headquarters requires a significant upgrade to the third floor-South section of the building to implement the modernization and reorganization of the Engineering and Permitting office space. The third floor upgrade includes: replacing carpeting for the floor, restructuring the cubicle layout, and upgrading office data and network infrastructure. This action is to also issue an RFP to solicit proposals for the upgrade and installation of the office data cable infrastructure, and to issue an RFQ to solicit quotations for modular furniture systems moving services. The total cost will be based on the proposals submitted. Board approval of proposed vendors and funding will be requested upon conclusion of the RFP and RFQ processes.*
- John Olvera pgs. 99-182
18. Establish Board Meeting Schedule for Calendar Year 2026 (**Motion Requested**)  
*The proposed Board Meeting Schedule for Calendar Year 2026 is submitted for Board consideration. The meeting schedule for the Administrative Committee meeting, (second Friday of the month), as well as the other standing committees is included for information only.*
- Wayne Nastri pgs. 183-185
- WRITTEN REPORT:**
19. Young Leaders Advisory Council Minutes for the May 21, 2025 Meeting (**No Motion Required**)  
*Attached for information only are the Young Leaders Advisory Council minutes for the May 21, 2025 meeting.*
- Anissa-Heard Johnson, PhD  
pgs. 186-189
20. Local Government & Small Business Assistance Advisory Council Minutes for the January 17, 2025 Meeting (**No Motion Required**)  
*Attached for information only are the Local Government & Small Business Assistance Advisory Council minutes for the January 17, 2025 meeting.*
- Lisa Tanaka pgs. 190-195  
Deputy Executive Officer,  
Legislative, Public Affairs &  
Media
21. Local Government & Small Business Assistance Advisory Council Minutes for the March 21, 2025 Meeting (**No Motion Required**)  
*Attached for information only are the Local Government & Small*
- Lisa Tanaka pgs. 196-200

*Business Assistance Advisory Council minutes for the March 21, 2025 meeting.*

22. Local Government & Small Business Assistance Advisory Council Minutes for the June 27, 2025 Meeting (**No Motion Required**) Attached for information only are the Local Government & Small Business Assistance Advisory Council minutes for the June 27, 2025 meeting. Lisa Tanaka pgs. 201-205

**OTHER MATTERS:**

23. Other Business Chair Delgado  
*Any member of the Committee, or its staff, on his or her own initiative or in response to questions posed by the public, may ask a question for clarification, may make a brief announcement or report on his or her own activities, provide a reference to staff regarding factual information, request staff to report back at a subsequent meeting concerning any matter, or may take action to direct staff to place a matter of business on a future agenda. (Govt Code Section 54954.2)*
24. Public Comment  
*At the end of the regular meeting agenda, an opportunity is provided for the public to speak on any subject within the Committee's authority that is not on the agenda. Speakers may be limited to three (3) minutes or less.*
25. **Next Meeting Date:** Friday, November 14, 2025 at 10:00 a.m.

**ADJOURNMENT**

Americans with Disabilities Act and Language Accessibility

*Disabilities and language-related accommodations can be requested to allow participation in the Administrative Committee meeting. The agenda will be made available, upon request, in appropriate alternative formats to assist persons with a disability (Gov't Code Section 54954.2(a)). In addition, other documents may be requested in alternative formats and languages. Any disability or language-related accommodation must be requested as soon as practicable. Requests will be accommodated unless providing the accommodation would result in a fundamental alteration or undue burden to the South Coast AQMD. Please contact Cindy Bustillos at (909) 396-2377 from 7:00 a.m. to 5:30 p.m., Tuesday through Friday, or send the request to [cbustillos@aqmd.gov](mailto:cbustillos@aqmd.gov).*

Document Availability

*All documents (i) constituting non-exempt public records, (ii) relating to an item on an agenda for a regular meeting, and (iii) having been distributed to at least a majority of the Committee after the agenda is posted, are available by contacting Cindy Bustillos at (909) 396-2377, or send the request to [cbustillos@aqmd.gov](mailto:cbustillos@aqmd.gov).*

### **INSTRUCTIONS FOR ELECTRONIC PARTICIPATION**

#### **Instructions for Participating in a Virtual Meeting as an Attendee**

As an attendee, you will have the opportunity to virtually raise your hand and provide public comment. Before joining the call, please silence your other communication devices such as your cell or desk phone. This will prevent any feedback or interruptions during the meeting.

**Please note:** During the meeting, all participants will be placed on Mute by the host. You will not be able to mute or unmute your lines manually. After each agenda item, the Chair will announce public comment. A countdown timer will be displayed on the screen for each public comment. If interpretation is needed, more time will be allotted.

**Once you raise your hand to provide public comment, your name will be added to the speaker list. Your name will be called when it is your turn to comment. The host will then unmute your line.**

#### **Directions for Video ZOOM on a DESKTOP/LAPTOP:**

- If you would like to make a public comment, please click on the “**Raise Hand**” button on the bottom of the screen. This will signal to the host that you would like to provide a public comment and you will be added to the list.

#### **Directions for Video Zoom on a SMARTPHONE:**

- If you would like to make a public comment, please click on the “**Raise Hand**” button on the bottom of your screen. This will signal to the host that you would like to provide a public comment and you will be added to the list.

#### **Directions for TELEPHONE line only:**

- If you would like to make public comment, please **dial \*9** on your keypad to signal that you would like to comment.

**SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT****EXECUTIVE OFFICE****MEMORANDUM**

**DATE:** October 3, 2025

**TO:** Administrative Committee

**FROM:** Wayne Natri, Executive Officer

**SUBJECT:** Report of Travel

There is no Board Member travel that has been approved by the Chair to be reported.

The following is a report of out-country travel:

DATE	TRAVELER	DESTINATION	PURPOSE
October 19-24, 2025	<ul style="list-style-type: none"> <li>• Executive Officer Wayne Natri</li> <li>• Dr. Aaron Katzenstein, Deputy Executive Officer, Technology Advancement Office</li> <li>• Dr. Elaine Shen, Planning and Rules Manager, Planning, Rule Development and Implementation</li> </ul>	Antwerp, Copenhagen, Malmo, and Rotterdam	<p>Wayne Natri was invited to participate in the 2025 Global Maritime Forum Annual Summit, to be held in Antwerp, Belgium. The Summit includes more than 200 senior decision-makers from across the maritime sector and provides a venue for decision makers to work together to find common ground and actionable solutions on a wide range of policy issues including energy, ports, and decarbonization.</p> <p>While Mr. Natri attends the Summit, Drs. Katzenstein and Shen will visit the United Nation's World Maritime University in Malmo, Sweden, and Everllence, a leading marine engine designer headquartered in Copenhagen, Denmark.</p>

DATE	TRAVELER	DESTINATION	PURPOSE
October 19-24, 2025 <i>(Continued)</i>			Mr. Nastri, together with Drs. Katzenstein and Shen, will then meet with officials from the Dutch Ministry of Infrastructure and Water Management at the Port of Rotterdam to discuss respective policies and strategies to reduce NOx emissions from the maritime industry and explore opportunities for potential collaboration.



# South Coast Air Quality Management District

South Coast  
AQMD

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

10/3/25 –6:00 p.m.

## DRAFT A G E N D A

### HYBRID GOVERNING BOARD MEETING NOVEMBER 7, 2025

A meeting of the South Coast Air Quality Management District Board will be held at 9:00 a.m. on Friday, November 7, 2025 through a hybrid format of in-person attendance in the Dr. William A. Burke Auditorium at the South Coast AQMD Headquarters, 21865 Copley Drive, Diamond Bar, California 91765 and/or virtual attendance via videoconferencing and by telephone. Please follow the instructions below to join the meeting remotely.

Please refer to South Coast AQMD's website for information regarding the format of the meeting, updates, and details on how to participate at: <http://www.aqmd.gov/home/news-events/meeting-agendas-minutes>.

<p>Electronic Participation Information (Instructions provided at the bottom of the agenda)</p>	<p><b>Join Zoom Meeting - from PC, Laptop or Phone</b> <a href="https://scaqmd.zoom.us/j/93128605044">https://scaqmd.zoom.us/j/93128605044</a> Meeting ID: <b>931 2860 5044</b> (applies to all) Teleconference Dial In +1 669 900 6833 or +1 253 215 8782 One tap mobile +16699006833,,93128605044# or +12532158782,,93128605044#</p> <p><b>Spanish Language Only Audience (telephone)</b> Número Telefónico para la Audiencia que Habla Español Teleconference Dial In/Numero para llamar: +1 669 900 6833 Meeting ID/Identificación de la reunión: <b>932 0955 9643</b> One tap mobile: +16699006833,,93209559643</p>
<p>Public Comment Will Still Be Taken</p>	<p><b>Audience will be allowed to provide public comment in person and through Zoom connection or telephone.</b> Comments are limited to three (3) minutes per person for all items on the Consent and Board Calendars and may be further limited by the Chair to ensure all can be heard.</p> <p>Phone controls for participants: The following commands can be used on your phone's dial pad while in meeting: *6 (Toggle mute/unmute); *9 - Raise hand</p>
<p>Questions About an Agenda Item</p>	<ul style="list-style-type: none"> <li>▪ The name and telephone number of the appropriate staff person to call for additional information or to resolve concerns is listed for each agenda item.</li> <li>▪ In preparation for the meeting, you are encouraged to obtain whatever clarifying information may be needed to allow the Board to move expeditiously in its deliberations.</li> </ul>

## Meeting Procedures

- The public meeting of the South Coast AQMD Governing Board begins at 9:00 a.m. The Governing Board generally will consider items in the order listed on the agenda. However, any item may be considered in any order.
- After taking action on any agenda item not requiring a public hearing, the Board may reconsider or amend the item at any time during the meeting.

All documents (i) constituting non-exempt public records, (ii) relating to an item on the agenda, and (iii) having been distributed to at least a majority of the Governing Board after the agenda is posted, are available prior to the meeting for public review at South Coast AQMD's Clerk of the Boards Office, 21865 Copley Drive, Diamond Bar, CA 91765 or web page at [www.aqmd.gov](http://www.aqmd.gov)

### **Americans with Disabilities Act and Language Accessibility**

Disability and language-related accommodations can be requested to allow participation in the Governing Board meeting. The agenda will be made available, upon request, in appropriate alternative formats to assist persons with a disability (Gov. Code Section 54954.2(a)). In addition, other documents may be requested in alternative formats and languages. Any disability or language-related accommodation must be requested as soon as practicable. Requests will be accommodated unless providing the accommodation would result in a fundamental alteration or undue burden to the South Coast AQMD. Please contact the Clerk of the Boards Office at (909) 396-2500 from 7:00 a.m. to 5:30 p.m., Tuesday through Friday, or send the request to [cob@aqmd.gov](mailto:cob@aqmd.gov).

### **A webcast of the meeting is available for viewing at:**

<http://www.aqmd.gov/home/news-events/webcast>

**CALL TO ORDER**

- Pledge of Allegiance
- Roll Call
- Opening Comments: Vanessa Delgado, Chair  
Other Board Members  
Wayne Nastri, Executive Officer

Staff/Phone (909) 396-

**PUBLIC COMMENT PERIOD – (Public Comment on Non-Agenda Items, Pursuant to Government Code Section 54954.3) The public may comment on any subject within the South Coast AQMD’s authority that does not appear on the agenda, during the Public Comment Period. Each speaker addressing non-agenda items may be limited to a total of (3) minutes.**

**CONSENT AND BOARD CALENDAR (Items 1 through XX)**

Note: Consent and Board Calendar items held for discussion will be moved to Item No. XX.

**Items 1 through 3 – Action Items/No Fiscal Impact**

12811. Approve Minutes of October 3, 2025 **Thomas/3268**

12853. Establish Board Meeting Schedule for Calendar Year 2026 **Nastri/3131**

The proposed Board Meeting Schedule for Calendar Year 2026 is submitted for Board consideration. The meeting schedule for the Administrative Committee meeting, (second Friday of the month), as well as the other standing committees is included for information only. (Reviewed: Administrative Committee, October 10, 2025; Recommended for Approval)

*Note: There are no set hearing items scheduled for this meeting.<sup>1</sup>*

**Items 4 through XX – Budget/Fiscal Impact**

12863. Execute Contract to Develop and Demonstrate Zero-Emission Fuel Cell Electric Heavy-Duty Refuse Truck **Katzenstein/2219**

CARB’s California Advanced Clean Fleet regulation requires State and Local Government Agency Fleets to transition to zero-emission technologies for medium- and heavy-duty trucks, including refuse trucks. Although there are some options for battery-electric refuse trucks, development and demonstration are needed for fuel cell electric refuse trucks to accommodate longer range operation and faster refueling. This action is to authorize the Executive Officer to execute a contract with Symbio North America Corporation in an amount not to exceed \$800,000

<sup>1</sup> At its October 3, 2025 meeting, the Board set a public hearing for December 4, 2025 to determine that Proposed Amended Rule 1107 – Coating of Metal Parts and Products, is exempt from CEQA and amend Rule 1107; and to determine that Proposed Amended Rule 1469 - Hexavalent Chromium Emissions from Chromium Electroplating and Chromic Acid Anodizing Operations, is exempt from CEQA and amend Rule 1469

to develop and demonstrate a Class 8 heavy-duty fuel cell electric refuse truck. (Reviewed: Technology Committee, October 17, 2025; Recommended for Approval)

12864. Approve School Bus Awards and Execute Contracts for Lower-Emission School Bus, CARE4Kids, and Carl Moyer Programs

**Katzenstein/2219**

In January 2025, the Board recognized up to \$22,180,000 from the U.S. EPA 2024 Clean Heavy-Duty Vehicles Grant to fund projects under the CARE4Kids program to replace combustion school buses with zero-emission buses. In February 2025, Program Announcement #PA2025-02 was released to solicit applications for the replacement of combustion school buses with zero-emission buses under the Lower-Emission School Bus and CARE4Kids programs. The solicitation closed in April 2025, and 33 school districts from all four counties of the South Coast Air Basin applied. Subsequently, in March 2025, a Program Announcement #PA2025-03 was released to solicit applications for “Year 27” of the Carl Moyer Program and closed in July 2025. Two school districts submitted applications under the Carl Moyer Program, requesting to replace a total of 54 combustion school buses with zero-emission buses. Both solicitations were oversubscribed, and funds from other programs were reallocated to help support the projects. These actions are to authorize the Executive Officer to: 1) execute and amend contracts to replace school buses and install infrastructure under the Lower Emission School Bus, CARE4Kids, and the Carl Moyer Programs for a total amount not to exceed \$78,187,054 comprised of \$34,570,116 from the Carl Moyer Program AB 923 Special Revenue Fund (80), \$22,180,000 from the CARE4Kids Program Advanced Technology, Outreach and Education Fund (17), \$3,510,006 from CARB SEP Special Revenue Fund (87), and \$17,926,932 from the Community Air Protection AB 134 Fund (77); 2) redistribute the source of funds as needed from SB1107, SB 129, State Reserve, and associated interest funds in Fund (32), Carl Moyer AB 923 Fund (80), CARE4Kids Program Advanced Technology, Outreach and Education Fund (17), CARB SEP Special Revenue Fund (87), and the Community Air Protection AB 134 Fund (77) to ensure program liquidation targets are met; and 3) reassign projects between funding years, as needed, in order to expeditiously meet program funding liquidation requirements. (Reviewed: Technology Committee, October 17, 2024; Recommended for Approval)

12842. Transfer and Appropriate Funds and Issue Solicitation and Purchase Orders for Community Air Monitoring Near Refineries and Related Facilities

**Low/2269**

In January 2024, the Board amended Rule 1180 and adopted Rule 1180.1, which requires petroleum refineries, other refineries, and related facilities to fund the installation and

operation of fenceline and community air monitoring systems. For this purpose, in October 2024, the Board recognized revenue of up to \$5,227,692 and up to \$2,309,469 for Rules 1180 and 1180.1, respectively, into the Rule 1180 Special Revenue Fund (78). These actions are to transfer and appropriate up to \$2,900,800, subject to the availability of funds, from the Rule 1180 Special Revenue Fund (78) and appropriate up to \$471,000 from the General Fund Undesignated (Unassigned) to the Monitoring and Analysis FY 2025-26 and/or FY 2026-27 Budgets, and also to issue a solicitation and purchase orders for air monitoring equipment to meet the operational needs of the community air monitoring systems. (Reviewed: Administrative Committee, October 10, 2025; Recommended for Approval)

12857. Issue Purchase Orders for Air Monitoring Equipment **Low/2269**

South Coast AQMD received \$676,000 from U.S. EPA for the PM2.5 Monitoring Program to meet federal monitoring requirements. This ongoing program provides for the operation of the PM2.5 monitoring network within the boundaries of South Coast AQMD. The amount provided by U.S. EPA is less than what was previously anticipated and recognized by the Board. This action supersedes that earlier recognition and adjusts how the funds are spent by authorizing purchase orders for air monitoring equipment based on the final award amount. (Reviewed: Administrative Committee, October 10, 2025; Recommended for Approval)

12859. Authorize Executive Officer to Enter Into Grant Services Agreement With Placer County APCD and Recognize Revenue **Krause/2706**

Under AB 102, CARB was allocated \$10,000,000 to provide incentive funds to assist with the transition from the use of hexavalent chromium in plating operations to non-toxic alternatives. CARB has subsequently contracted with Placer County Air Pollution Control District (APCD) to assist with implementing a Statewide incentive program for this transition. Under the CARB grant, Placer County APCD can contract with local air districts for local outreach and support services. Based on the number of South Coast AQMD eligible facilities, the contract amount can be up to \$198,113 for South Coast AQMD staff to provide outreach and support services. (Reviewed: Administrative Committee, October 10, 2025; Recommended for Approval)

12828. Issue Purchase Order for Ingres Relational Database Management System Software Support and Appropriate Funds for Information Management **Moskowitz/3329**

The Ingres Relational Database Management System is used for the implementation of the Central Information Repository database. This database is used by most enterprise-level software applications at South Coast AQMD and currently

supports a suite of client/server and web-based applications known collectively as the Clean Air Support System (CLASS). CLASS applications which are used to support South Coast AQMD's core activities. Licensing, maintenance, and support for this software expires on November 29, 2025. This action is to obtain approval for either a one or three year Purchase Order with Actian Corporation to renew Ingres licensing, maintenance and support. The final purchase cost will be determined through negotiations. In addition, this action is to appropriate funds to Information Management's FY 2025-26 budget to cover any necessary purchase shortage. (Reviewed: Administrative Committee, October 10, 2025; Recommended for Approval)

**12850. Authorize Purchase of CrowdStrike Protection Services**

**Moskowitz/3329**

South Coast AQMD currently utilizes CrowdStrike Protection Services to safeguard agency systems against viruses, malware, identity threats, and other modern cyber threats, thereby reducing the likelihood of costly data breaches. This action is to obtain approval for a one-year period with CrowdStrike for a total amount not to exceed \$108,000. Funding for this purchase is included in the FY 2025-26 Budget for Information Management. (Reviewed: Administrative Committee, October 10, 2025; Recommended for Approval)

**12866. Appropriate Funding for Permitting Enhancement Program Legacy System Replacement**

**Moskowitz/3329**

In April 2023, Chair Delgado introduced the Permitting Enhancement Program (PEP) with the goal of reducing the permit inventory and modernizing the permitting process platform to improve application processing and issuance timelines. The current legacy permitting software systems, which are more than 25 years old, require replacement. The initial phase of this effort, focused on developing a modern workflow framework, is near completion and was presented to the Board as part of the PEP update on October 3, 2025. As outlined in that presentation, additional funding is needed to move into the next phase to replace and integrate three legacy applications into the computer infrastructure. This action is to transfer and appropriate up to \$750,000 from the General Fund Undesignated (Unassigned) to Information Management's FY 2025-26 and/or FY 2026-27 Budgets for the replacement of legacy applications. (Reviewed: Administrative Committee, October 10, 2025; Recommended for Approval)

**12860. Issue RFP for Office Data Cable Infrastructure and RFQ for Modular Furniture Systems Moving Services**

**Olvera/2309**

South Coast AQMD's headquarters requires a significant upgrade to the third floor-South section of the building to implement the modernization and reorganization of the Engineering and Permitting office space. The third floor upgrade includes: replacing carpeting for the floor, restructuring the cubicle layout, and upgrading office data and network

infrastructure. This action is to also issue an RFP to solicit proposals for the upgrade and installation of the office data cable infrastructure, and to issue an RFQ to solicit quotations for modular furniture systems moving services. The total cost will be based on the proposals submitted. Board approval of proposed vendors and funding will be requested upon conclusion of the RFP and RFQ processes. (Reviewed: Administrative Committee, October 10, 2025; Recommended for Approval)

12670. Approve Contract Modification as Approved by MSRC **McCallon**

**Items XX through XX – Information Only/Receive and File**

12601. Legislative, Public Affairs and Media Report **Tanaka/3327**

This report highlights the September 2025 outreach activities of the Legislative, Public Affairs and Media Office, which includes: Major Events, Community Events/Public Meetings, Environmental Justice Update, Speakers Bureau/Visitor Services, Communications Center, Public Information Center, Small Business Assistance, Media Relations, and Outreach to Community Groups and Governments. (No Committee Review)

12809. Hearing Board Report **Ali**

This reports the actions taken by the Hearing Board during the period of September 1 through September 30, 2025. (No Committee Review)

12594. Civil Filings and Civil Penalties Report **Gilchrist/3459**

This report summarizes monthly penalties and legal actions filed by the General Counsel's Office from September 1, 2025 through September 30, 2025. An Index of South Coast AQMD Rules is attached with the penalty report. (Reviewed: Stationary Source Committee, October 17, 2025)

12856. Intergovernmental Review of Environmental Documents and CEQA Lead Agency Projects **Krause/2706**

This report provides a listing of environmental documents prepared by other public agencies seeking review by South Coast AQMD between September 1, 2025 and September 30, 2025, and proposed projects for which South Coast AQMD is acting as lead agency pursuant to CEQA. (Reviewed: Mobile Source Committee, October 17, 2025)

12549. Rule and Control Measure Forecast **Rees/2856**

This report highlights South Coast AQMD rulemaking activities and public hearings scheduled for 2025 and a tentative calendar for portions of 2026. (No Committee Review)

12852. Status Report on Major Ongoing and Upcoming Projects for Information Management **Moskowitz/3329**  
Information Management is responsible for data systems management services in support of all South Coast AQMD operations. This action is to provide the monthly status report on major automation contracts and planned projects. (Reviewed: Administrative Committee, October 10, 2025)
12830. 2025 Annual Progress Report for Assembly Bill 617 Community Emission Reductions Plans **Heard-Johnson/3428**  
The 2025 Annual Progress Report for Assembly Bill 617 Community Emission Reductions Plans summarizes the progress of Community Emission Reductions Plans and Community Air Monitoring Plans implemented from September 2019 to June 2025 and outlines post-year five governance and community engagement for South Coast AQMD Assembly Bill 617-designated communities. (Reviewed: Stationary Source Committee, October 17, 2025)
12861. Receive and File Annual Report on South Coast AQMD's Deferred Compensation Plans **Olvera/2309**  
South Coast AQMD sponsors IRS-approved 457(b), 401(a) and Omnibus Budget Reconciliation Act of 1990 (OBRA) Deferred Compensation Plans for its employees. The Board is responsible for monitoring the activities of the Deferred Compensation Plan Committee and for ensuring the Committee carries out its fiduciary duties under the Committee Charter. In accordance with the Board's responsibilities, this action is to receive and file the Deferred Compensation Plan Annual Report for Plan Year Ending June 2025. (Reviewed: Administrative Committee, October 10, 2025)
12869. Report of RFQs/RFPs Scheduled for Release in November **Jain/2804**  
This report summarizes the RFQs/RFPs for budgeted services over \$100,000 scheduled to be released for advertisement for the month of November. (Reviewed: Administrative Committee, October 10, 2025)

**Items XX through XX – Reports for Committees, MSRC, and CARB**

- |        |  |                  |                         |
|--------|--|------------------|-------------------------|
| 12634. | Administrative Committee (Receive & File)    | Chair: Delgado   | <b>Nastri/3131</b>      |
| 12649. | Legislative Committee (Receive & File)       | Chair: Cacciotti | <b>Tanaka/3327</b>      |
| 12559. | Mobile Source Committee (Receive & File)     | Chair: Delgado   | <b>Rees/2856</b>        |
| 12581. | Stationary Source Committee (Receive & File) | Chair: McCallon  | <b>Aspell/2491</b>      |
| 12653. | Technology Committee (Receive & File)        | Chair: Rodriguez | <b>Katzenstein/2219</b> |

- |        |   |                         |                         |
|--------|---|-------------------------|-------------------------|
| 12693. | Mobile Source Air Pollution Reduction Review committee (Receive & File) | Board Rep.: Hagman      | <b>Katzenstein/2219</b> |
| 12808. | California Air Resources Board Monthly Report (Receive & File)          | Board Rep.: Lock Dawson | <b>Thomas/3268</b>      |

XXXXX. Items Deferred from Consent and Board Calendar

**PUBLIC HEARINGS**

12875. Make CEQA Determination for Proposed Cooperative Agreement Between South Coast AQMD and Ports of Long Beach and Los Angeles; Execute Cooperative Agreement Between South Coast AQMD and Ports of Long Beach and Los Angeles; and Direct Staff to Continue Negotiations With Ports of Long Beach and Los Angeles for Additional Measures **MacMillan/3244**
- South Coast AQMD, together with the Port of Long Beach and the Port of Los Angeles, have jointly developed a proposed agreement that would require the Ports to develop charging and fueling infrastructure plans and subsequently implement these plans. The proposed agreement also includes enforcement provisions, annual reporting requirements, flexibility options to address factors outside of the Ports' control, provisions for South Coast AQMD to recover reasonable costs for staff expenses, and establishes a Clean Air Mitigation Fund if a Port fails to complete actions within their control. This action is to adopt the Resolution: 1) Determining that the development and implementation of the charging and fueling infrastructure plans in accordance with the proposed agreement are later activities within the scope of the Final Program Environmental Impact Report (EIR) for the 2022 AQMP and the Final Program EIR for the 2016 AQMP such that no new environmental document prepared pursuant to the California Environmental Quality Act (CEQA) is required; 2) Determining that the cost recovery provisions in the proposed agreement are exempt from CEQA; 3) Determining that the creation of the Clean Air Mitigation Fund in the proposed agreement is not a project under CEQA; 4) Authorizing the Executive Officer to execute the Cooperative Agreement between South Coast AQMD and the Ports of Long Beach and Los Angeles; and 5) Directing staff to continue negotiations with the Ports of Long Beach and Los Angeles for additional measures for potential incorporation into the Cooperative Agreement by Spring 2026. (Reviewed: Mobile Source Committee, August 15 and September 19, 2025)

12858. Receive and File 2024 Annual Report on AB 2588 Program and Approve Updates to Facility Prioritization Procedure for the AB 2588 Program, Public Notification Procedures, and AB 2588 and Rule 1402 Supplemental Guidelines

Rees/2856

The Air Toxics "Hot Spots" Information and Assessment Act of 1987 (AB 2588) requires local air pollution control districts to prepare an annual report and present it at a public hearing. This report provides information regarding South Coast AQMD's implementation of AB 2588 through Rule 1402 – Control of Toxic Air Contaminants from Existing Sources. This annual update describes the various activities including quadrennial emissions reporting and prioritization, preparation and review of Air Toxics Inventory Reports, Health Risk Assessments, Voluntary Risk Reduction Plans, Risk Reduction Plans, and additional South Coast AQMD activities related to air toxics. Staff is also seeking approval of updates to the Facility Prioritization Procedure for the AB 2588 Program, Public Notification Procedures, and the AB 2588 and Rule 1402 Supplemental Guidelines to provide additional information and clarification. These actions are to receive and file the 2024 Annual Report on the AB 2588 Air Toxics "Hot Spots" Program and approve revisions to the Facility Prioritization Procedure for the AB 2588 Program, Public Notification Procedures, and AB 2588 and Rule 1402 Supplemental Guidelines. (Reviewed: Stationary Source Committee, October 17, 2025)

**BOARD MEMBER TRAVEL – (No Written Material)**

Board member travel reports have been filed with the Clerk of the Boards, and copies are available upon request.

**CONFLICT OF INTEREST DISCLOSURE – (No Written Material)**

**CLOSED SESSION -- (No Written Material)**

Gilchrist/3459

**ADJOURNMENT**

**\*\*\*PUBLIC COMMENTS\*\*\***

Members of the public are afforded an opportunity to speak on any agenda item before consideration of that item. Persons wishing to speak may do so in person or remotely via Zoom or telephone. To provide public comments via a Desktop/Laptop or Smartphone, click on the "Raise Hand" at the bottom of the screen, or if participating via Dial-in/Telephone Press \*9. This will signal to the host that you would like to provide a public comment and you will be added to the list.

All agendas are posted at South Coast AQMD Headquarters, 21865 Copley Drive, Diamond Bar, California, and website, <http://www.aqmd.gov/home/news-events/meeting-agendas-minutes>, at least 72 hours in advance of the meeting. At the beginning of the agenda, an opportunity is also provided for the public to speak on any subject within the South Coast AQMD's authority. Speakers may be limited to a total of three (3) minutes for the entirety of the Consent Calendar plus Board Calendar, and three (3) minutes or less for each of the other agenda items.

Note that on items listed on the Consent Calendar and the balance of the agenda any motion, including action, can be taken (consideration is not limited to listed recommended actions). Additional matters can be added and action taken by two-thirds vote, or in the case of an emergency, by a majority vote. Matters raised under the Public Comment Period may not be acted upon at that meeting other than as provided above.

Written comments will be accepted by the Board and made part of the record. Individuals who wish to submit written or electronic comments must submit such comments to the Clerk of the Board, South Coast AQMD, 21865 Copley Drive, Diamond Bar, CA 91765-4178, (909) 396-2500, or to [cob@aqmd.gov](mailto:cob@aqmd.gov), on or before 5:00 p.m. on the Tuesday prior to the Board meeting.

**ACRONYMS**

AQ-SPEC = Air Quality Sensor Performance Evaluation Center	NAAQS = National Ambient Air Quality Standards
AQIP = Air Quality Investment Program	NATTS =National Air Toxics Trends Station
AQMP = Air Quality Management Plan	NESHAPS = National Emission Standards for Hazardous Air Pollutants
AVR = Average Vehicle Ridership	NGV = Natural Gas Vehicle
BACT = Best Available Control Technology	NOx = Oxides of Nitrogen
BARCT = Best Available Retrofit Control Technology	NSPS = New Source Performance Standards
Cal/EPA = California Environmental Protection Agency	NSR = New Source Review
CARB = California Air Resources Board	OEHHA = Office of Environmental Health Hazard Assessment
CEMS = Continuous Emissions Monitoring Systems	PAMS = Photochemical Assessment Monitoring Stations
CEC = California Energy Commission	PEV = Plug-In Electric Vehicle
CEQA = California Environmental Quality Act	PHEV = Plug-In Hybrid Electric Vehicle
CE-CERT =College of Engineering-Center for Environmental Research and Technology	PM10 = Particulate Matter ≤ 10 microns
CNG = Compressed Natural Gas	PM2.5 = Particulate Matter ≤ 2.5 microns
CO = Carbon Monoxide	RECLAIM=Regional Clean Air Incentives Market
DOE = Department of Energy	RFP = Request for Proposals
EV = Electric Vehicle	RFQ = Request for Quotations
EV/BEV = Electric Vehicle/Battery Electric Vehicle	RFQQ=Request for Qualifications and Quotations
FY = Fiscal Year	SCAG = Southern California Association of Governments
GHG = Greenhouse Gas	SIP = State Implementation Plan
HRA = Health Risk Assessment	SOx = Oxides of Sulfur
LEV = Low Emission Vehicle	SOON = Surplus Off-Road Opt-In for NOx
LNG = Liquefied Natural Gas	SULEV = Super Ultra Low Emission Vehicle
MATES = Multiple Air Toxics Exposure Study	TCM = Transportation Control Measure
MOU = Memorandum of Understanding	ULEV = Ultra Low Emission Vehicle
MSERCs = Mobile Source Emission Reduction Credits	U.S. EPA = United States Environmental Protection Agency
MSRC = Mobile Source (Air Pollution Reduction) Review Committee	VOC = Volatile Organic Compound
	ZEV = Zero Emission Vehicle

## **INSTRUCTIONS FOR ELECTRONIC PARTICIPATION**

### **Instructions for Participating in a Virtual Meeting as an Attendee**

As an attendee, you will have the opportunity to virtually raise your hand and provide public comment.

Before joining the call, please silence your other communication devices such as your cell or desk phone. This will prevent any feedback or interruptions during the meeting.

#### **For language interpretation:**

Click the interpretation Globe icon at the bottom of the screen

Select the language you want to hear (either English or Spanish)

Click "Mute Original Audio" if you hear both languages at the same time.

#### **Para interpretación de idiomas:**

Haga clic en el icono de interpretación el globo terráqueo en la parte inferior de la pantalla

Seleccione el idioma que desea escuchar (inglés o español)

Haga clic en "Silenciar audio original" si escucha ambos idiomas al mismo tiempo.

**Please note:** During the meeting, all participants will be placed on Mute by the host. You will not be able to mute or unmute your lines manually.

After each agenda item, the Chair will announce public comment.

Speakers may be limited to a total of 3 minutes for the entirety of the consent calendar plus board calendar, and three minutes or less for each of the other agenda items.

A countdown timer will be displayed on the screen for each public comment.

If interpretation is needed, more time will be allotted.

#### **Directions to provide public comment on ZOOM from a DESKTOP/LAPTOP or SMARTPHONE:**

Click on the "Raise Hand" feature at the bottom of the screen.

This will signal to the host that you would like to provide a public comment and you will be added to the list.

#### **Directions to provide public comment via TELEPHONE:**

Dial \*9 on your keypad to signal that you would like to comment.

#### **Directions for Spanish Language TELEPHONE line only:**

- The call in number is the same (+1 669 900 6833)
- The meeting ID number is 928-3000-3925
- If you would like to make public comment, please dial \*9 on your keypad to signal that you would like to comment.

#### **Instrucciones para la línea de TELÉFONO en español únicamente:**

- El número de llamada es el mismo (+1 669900 6833 o +1 93209559643)
- El número de identificación de la reunión es 928-3000-3925
- Si desea hacer un comentario público, marque \*9 en su teclado para indicar que desea comentar.

# Administrative Committee

## October 10, 2025

*Dr. Cessa Heard-Johnson  
Deputy Executive Officer  
Community Engagement and Air Programs*



# FABULOUS FEMALE FRIDAY

## Hazel M. Johnson

### Environmental Justice Advocate

- Dubbed the “Mother of Environmental Justice” for organizing in Chicago’s Altgeld Gardens (“Toxic Doughnut”) to link pollution to health harms
- Founded People for Community Recovery (1979) to fight air, water, and soil contamination around public housing
- Instrumental in shaping the 17 Principles of Environmental Justice and witnessed the signing of U.S. Executive Order 12898 on Environmental Justice
- Acted as mentor to young organizers—including Barack Obama—on community health and environmental hazards



# Employee Resource Group Updates



Community Engagement and Air Programs

## HISPANIC HERITAGE MONTH CELEBRATION

WEDNESDAY, OCT. 8

FROM  
12 - 1:30 P.M.

GB

CONFERENCE  
ROOM

JOIN CEAP AND HALOS FOR A FUN-FILLED CELEBRATION WITH FOOD, MUSIC, AND A HISTORICAL OVERVIEW ABOUT THE RICH HISTORY OF HISPANIC HERITAGE MONTH FROM ONE OF OUR COMMUNITY STEERING COMMITTEE MEMBERS



### Black Employees Resource of Change (BEROC)

- Focused on recruitment and creating a repository of resources for staff and members through South Coast AQMD's intranet

### Hispanic and Latinx Organization for Success

- Coordinating an in-person Hispanic Heritage Month Commemoration for Wednesday, October 8, 2025
- Invited community member to speak to the significance of Hispanic Heritage Month at the event

### Persian

- Incorporating takeaways from last month's All-ERG, the ERG is formalizing staff acknowledgements and birthday recognitions



## Statewide Meeting Tuesday, September 26, 2025

### Attendees:

- California Air Resources Board
- Sacramento Metropolitan Air Quality Management District
- San Diego Air Pollution Control District
- San Joaquin Valley Air Pollution Control District
- Santa Barbara Air Pollution Control District
- South Coast Air Quality Management District

# Statewide Air District CEAP Practitioners Meeting

## California Air Resources Board


- Working on updating Civil Rights Policy
- Limited information on the DOJ/EPA Title VII review
- Paused equity training
- Continuing acknowledgements such as Hispanic Heritage Month and Native American Heritage Month

## Statewide In-Person Events

- Targeting the week of February 24th

# J.E.D.I. Infographics

## COMMUNITY ENGAGEMENT AND AIR PROGRAMS



### HISPANIC HERITAGE MONTH

## CELEBRATING CULTURE AND CONTRIBUTIONS

SEPTEMBER 15 - OCTOBER 15, 2025

HISPANIC HERITAGE MONTH HONORS THE RICH HISTORIES, CULTURES, AND CONTRIBUTIONS OF HISPANIC AND LATINO AMERICANS. THIS CELEBRATION SPANS FROM SEPTEMBER 15 TO OCTOBER 15, ENCOMPASSING THE INDEPENDENCE ANNIVERSARIES OF SEVERAL LATIN AMERICAN COUNTRIES.

**DID YOU KNOW?**

THE TERM "HISPANIC" REFERS TO PEOPLE FROM SPANISH-SPEAKING COUNTRIES, WHILE "LATINO" REFERS TO PEOPLE FROM LATIN AMERICA, INCLUDING BRAZIL.

HISPANIC HERITAGE MONTH BEGINS ON SEPTEMBER 15, THE ANNIVERSARY OF INDEPENDENCE FOR COSTA RICA, EL SALVADOR, GUATEMALA, HONDURAS, AND NICARAGUA.

[Click Here](#)

## NOTABLE FIGURES

### VANESSA DELGADO, SOUTH COAST AQMD CHAIR



VANESSA DELGADO, FORMER CALIFORNIA STATE SENATOR, IS THE CHAIR OF THE SOUTH COAST AQMD GOVERNING BOARD —THE FIRST LATINA TO HOLD THE ROLE. A LOS ANGELES NATIVE AND DAUGHTER OF MEXICAN IMMIGRANTS, SHE EARNED HONORS DEGREES FROM STANFORD AND USC. DELGADO NOW LEADS AZURE DEVELOPMENT, WHICH BUILDS AFFORDABLE HOUSING IN BOYLE HEIGHTS, EAST LA, AND BELL GARDENS, ALONG WITH A COMMERCIAL CENTER IN BELLFLOWER.

### SONIA SOTOMAYOR, SUPREME COURT JUSTICE



JUSTICE SONIA SOTOMAYOR IS THE FIRST HISPANIC AND LATINA SUPREME COURT JUSTICE IN THE UNITED STATES. BORN IN THE BRONX, NEW YORK CITY, TO PUERTO RICAN-BORN PARENTS, JUSTICE SOTOMAYOR GRADUATED SUMMA CUM LAUDE FROM PRINCETON UNIVERSITY IN 1976 AND RECEIVED HER JURIS DOCTOR IN 1979 FROM YALE LAW SCHOOL. PRESIDENT GEORGE H. W. BUSH NOMINATED SOTOMAYOR TO THE U.S. DISTRICT COURT FOR THE SOUTHERN DISTRICT OF NEW YORK IN 1991; SHE WAS CONFIRMED IN 1992. IN MAY 2009, PRESIDENT BARACK OBAMA NOMINATED SOTOMAYOR TO THE SUPREME COURT. HER NOMINATION WAS CONFIRMED BY THE SENATE IN AUGUST 2009.

### MARK MAGAÑA, FOUNDER AND CEO FOR GREENLATINOS



MARK MAGAÑA'S COMPANY, GREENLATINOS, IS A NATIONAL NETWORK UNITING LATINO ENVIRONMENTAL AND CONSERVATION ADVOCATES. LEADING A COMMUNITY OF LATINO ENVIRONMENTAL CHAMPIONS, HE EMPHASIZES THE CULTURAL CONNECTIONS, SHARED RESOURCES, AND COLLECTIVE POWER THAT CAN ADVANCE ENVIRONMENTAL JUSTICE AND LIBERATION. MAGAÑA'S LEADERSHIP UNDERSCORES THE INTERCONNECTEDNESS OF CLIMATE CHANGE AND SYSTEMIC SOCIAL, HEALTH, AND ECONOMIC INJUSTICES.

### LAUREN SANCHEZ, CA SENIOR CLIMATE ADVISER



AS THE CALIFORNIA GOVERNOR'S SENIOR CLIMATE ADVISER, LAUREN SANCHEZ PLAYS A PIVOTAL ROLE IN ADDRESSING THE ONGOING CLIMATE CRISIS IN CALIFORNIA. IN THIS ROLE, SHE HELPED PASS LEGISLATION THAT WILL CREATE A 3,200-FOOT BUFFER ZONE BETWEEN HOMES, DAYCARES, SCHOOLS AND NEW OIL WELLS IN SOUTHEAST LOS ANGELES. PRIOR TO THIS ROLE, SANCHEZ WORKED IN THE FEDERAL GOVERNMENT IN VARIOUS CLIMATE-RELATED ROLES, INCLUDING SERVING AS A CLIMATE ADVISER FOR THE BIDEN-HARRIS ADMINISTRATION AND SERVING AS A MEMBER OF PRESIDENT BARACK OBAMA'S CLIMATE NEGOTIATION TEAM FOR THE 2016 PARIS AGREEMENT.

[Click Here](#)

## COMMUNITY ENGAGEMENT AND AIR PROGRAMS

### INTERNATIONAL DAY OF CLEAN AIR FOR BLUE SKIES

SEPTEMBER 7, 2025

#### A BREATH OF FRESH AWARENESS

### OVERVIEW

In response to growing global momentum for clean air and the need to protect both human and environmental health, the UN General Assembly designated September 7 as the International Day of Clean Air for Blue Skies—a day to reflect, act, and advocate for clearer skies and a healthier future. This directly aligns with South Coast AQMD's mission to clean the air and protect the health of all residents through practical and innovative strategies.



42% OF CALIFORNIA'S POPULATION LIVES IN AREAS WITH POOR AIR QUALITY IN THE WEST.

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42% OF CALIFORNIA'S POPULATION LIVES IN AREAS WITH POOR AIR QUALITY IN THE WEST.

### What's Being Done

To address these concerns, our work includes implementing rules and regulations to control emissions from various sources, conduct monitoring and evaluation studies (e.g. Multiple Air Toxics Exposure V Study), focus on cancer risk exposure, promote cleaner and zero-emission technologies, and engage the community through educational programs and outreach initiatives.



### Global Efforts

Global efforts acknowledge that improving air quality and addressing climate change go hand in hand. The United Nations has recognized the urgent need to reduce greenhouse gas emissions to meet the Sustainable Development Goals in our air, water, and soil by 2050. A special focus is being placed on improving air quality and enhancing waste management systems to lessen the environmental impact of urban life.



[Click Here](#)

## Rosh Hashanah

Monday, September 22 - Wednesday, September 24, 2025



### OVERVIEW

Rosh Hashanah, meaning "head of the year" or "first of the year," marks the beginning of the Jewish New Year and is observed on the first day of Tishrei, the seventh month of the Hebrew calendar. It is a time both to commemorate the creation of the world and to embark on a ten-day period of introspection and repentance, culminating in Yom Kippur, the "Day of Atonement." The practice of Ashkenazi Jews profoundly complements Jewish heritage by maintaining ancient traditions, nurturing community bonds, and shaping the cultural identity of Jewish people worldwide. Observance lengths vary, with some celebrating Rosh Hashanah for one day and others for two; work is prohibited throughout the holiday.

### WORKPLACE CONSIDERATIONS

#### Scheduling:

Avoid major meetings and deadlines from the evening of Sept 22<sup>nd</sup> through Sept 26<sup>th</sup>; expect Out of Office responses.

#### Food/Events:

If hosting, note that Rosh Hashanah is festive (not a fast), simple, clearly labeled options are considered.

#### Inclusive Language and Greetings:

- Use "observed" by many Jewish employees, "High Holy Days," and "holiday begins at sundown."
- Greeting: Shana Tova (She-NAH-to-VAH) — "A good year."

### ORIGINS AND OBSERVANCES

Rosh Hashanah has its roots in biblical times and was initially marked as a sacred occasion on the first day of the seventh month. This celebration predates the Mishnah, the first written collection of Jewish oral traditions, signifying its deep historical significance. By 200 A.D., when the Mishnah was compiled, Rosh Hashanah was already recognized as a major Jewish holiday. Traditions of Rosh Hashanah include prayer, reflection, and the sounding of the shofar—a ram's horn that calls followers to repentance. Synagogue services feature special shofar and are marked by solemnity. The holiday also involves a festive meal beginning with the lighting of two candles and including foods like apples dipped in honey to symbolize a sweet new year, and round challah to represent the cycle of life, and cornucopia as a representation of abundance. Another practice, Tashlich, involves casting pieces of challah into flowing water, symbolizing the cleansing and a release of negativity, underscoring the holiday as a time for community, faith reaffirmation, and personal renewal.

### EMPLOYEE RESOURCE GROUPS

Our Employee Resource Groups (ERGs) contribute to fostering a more inclusive and supportive workplace environment. ERGs provide a platform for staff to connect, collaborate, and advocate for diverse communities within our organization. We invite you to explore the wide range of ERGs available. Your involvement in these ERGs is crucial as we work together to foster an educational and supportive work environment for everyone. We encourage you to join us in building a stronger and more vibrant community at South Coast AQMD.

[CLICK HERE TO JOIN AN EMPLOYEE RESOURCE GROUP](#)

[Click Here](#)

## California NATIVE AMERICAN DAY

Friday, September 26, 2025

Native American Day celebrates the diverse people indigenous to California and recognizes their histories, contemporary leadership, and sovereign nations. Distinct from Indigenous Peoples' Day, this observance is California-focused.

### A HISTORY OF THIS OBSERVANCE

1930: Governor Culbert Olson proclaims October 1 "Indian Day."

1968: Tribal leaders with Governor Ronald Reagan designated the fourth Friday in September as "California Indian Day."

1993: AB 1959 establishes California Native American Day, reaffirmed by a Governor's Proclamation (2011).

Present: Now a time-honored, statewide observance centered on education and respect.

### WAYS TO CELEBRATE

#### Virtual programs (Yuhavatiatam of San Manuel Nation)

Welcome to Storytelling:	Music — Bird Songs:	Language — Seravno:
A day-in-the-village look at plants, music, crafts, and language in California Indian life.	Southern California songs with gourd rattles, narratives of creation and migration.	Intro to the language of the Yuhavatiatam of San Manuel Nation.
<a href="#">Link</a>	<a href="#">Link</a>	<a href="#">Link</a>

Explore the full virtual series: [www.nativeamericanday.org/virtual-programs](https://www.nativeamericanday.org/virtual-programs)

#### Attend an Event



Celebrate California Native American Day with Art & Culture  
Antelope Valley Indian Museum SHP (Lancaster)

# J.E.D.I. Displays



Hispanic Heritage Month



South Coast  
AQMD

Any  
Questions?

**DATE:** October 3, 2025

**TO:** Administrative Committee

**FROM:** Dr. Anissa “Cessa” Heard-Johnson, Deputy Executive Officer

**SUBJECT:** Young Leaders Advisory Council – **Updated Membership Request for CY 2025**

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South Coast AQMD’s Young Leaders Advisory Council (YLAC) is comprised of up to 20 members representing the four counties within South Coast AQMD’s jurisdiction. It consists of at least three members from each county. Before the Governing Board Chair appoints, YLAC Chair, Dr. Anissa “Cessa” Heard-Johnson, recommends the review of the Governing Board Chair’s appointments to add the members listed below to full membership for the 2025 term as the previous two members are ineligible to continue under the terms of the Charter due to lack of attendance.

<b>Candidate</b>	<b>Affiliation (If Any)</b>	<b>Representing</b>	<b>Recommended Action</b>
Anjela Lu Arellano	No Affiliation	Orange County	Appoint as a full YLAC member
Roberto G Mendoza Horta	No Affiliation	Orange County	Appoint as a full YLAC member

The above members will serve the remainder of the term for 2025, meeting in November.

AHJ:hlp

ATTACHMENT: Objectives of Proposed New Members

**ATTACHMENT:**

Objectives of Proposed New Member (as per the application).

**Orange County**

**Angela Lu Arellano**

“I am a keyboard warrior for climate justice, but I am eager to make a real difference to my community and advocate for human and environmental health as I finish my MS in Environmental studies.

**Roberto G Mendoza Horta**

“I’m currently enrolled in a geography class, and we’ve been learning about the impact humans have on air quality. This has sparked my interest in how our activities affect the air and the environment. I’m eager to learn more about how air pollution is influenced by things like urbanization, transportation, and industry, and how geography plays a role in understanding and addressing these issues.”

BOARD MEETING DATE: November 7, 2025

AGENDA NO.

**PROPOSAL:** Receive and File Annual Report on South Coast AQMD’s Deferred Compensation Plans

**SYNOPSIS:** South Coast AQMD sponsors IRS-approved 457(b), 401(a) and Omnibus Budget Reconciliation Act of 1990 (OBRA) Deferred Compensation Plans for its employees. The Board is responsible for monitoring the activities of the Deferred Compensation Plan Committee and for ensuring the Committee carries out its fiduciary duties under the Committee Charter. In accordance with the Board’s responsibilities, this action is to receive and file the Deferred Compensation Plan Annual Report for Plan Year Ending June 2025.

**COMMITTEE:** Administrative, October 10, 2025; Recommended for Approval

**RECOMMENDED ACTION:**

Receive and file Deferred Compensation Plan Annual Report for Plan Year Ending June 2025.

Wayne Natri  
Executive Officer

AJO:mm

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**Background**

South Coast AQMD sponsors and administers 457(b), 401(a) and OBRA Deferred Compensation Plans for its employees. The Deferred Compensation Plans, which include the 457(b), 401(a) and OBRA plans (Plans), are administered by Empower Retirement, LLC (Empower), one of the largest workplace retirement savings plan providers in the United States. State law governs the fiduciary requirements for the operation and investment of deferred compensation plans sponsored by governmental entities. South Coast AQMD’s Governing Board serves a fiduciary role, subject to the duties and obligations under Article XVI, Section 17 of the California Constitution.

To meet its fiduciary responsibilities, the Board has established a Deferred Compensation Plan Committee (Committee) to oversee the administration of the Plans. In May 2008, the Board approved the Deferred Compensation Plan Committee Charter, formalizing the fiduciary duties and responsibilities of the Committee. The four members of the Deferred Compensation Plan Committee are the Chief Financial Officer, Deputy Executive Officer of Administrative and Human Resources, Human Resources Manager over employee benefits, and General Counsel.

Pursuant to a 5-year contract, which began January 1, 2022, Empower provides record-keeping and administrative services for the Plans. In addition, South Coast AQMD utilizes the services of an independent, third-party consulting firm, Benefit Financial Services Group (BFSG), to provide services to the Plans as a fiduciary under a Registered Investment Advisor agreement.

### **Summary of Report**

The Committee meets on a quarterly basis to review the design, investment options, asset allocation, and demographics of the Plans, and to make changes as necessary. During the 2024-25 fiscal year period, the Committee added a new managed account service from Empower, removed two funds on the Watch List due to improved performance, and made several changes to remove and/or replace funds in the Plans. In addition, the Committee adopted the following Plan changes: Qualified Disaster Relief Distributions, Domestic Abuse Distributions, and higher catch-up contribution limits for individuals ages 60-63.

As of June 30, 2025, the Plans have:

- 1,184 participants (employees and retirees)
  - Approximately \$271 million in assets
  - Outperformed the 1-, 3-, 5- and 10-year Custom Category benchmark
  - Outperformed the 3- and 10-year Custom Index\* benchmark
- \* The Index benchmark does not account for costs for investment management expenses.

The Annual Report provides detailed information regarding Plan Assets/Demographics, Committee Actions, and Plan Performance.

### **Proposal**

Staff recommends the Board receive and file the Deferred Compensation Plan Annual Report to the Board for Plan Year Ending June 2025.

### **Attachment**

Deferred Compensation Plan Annual Report for Plan Year Ending June 2025



# Report To The Board

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Plan Year Ending: June 2025

Prepared for: South Coast Air  
Quality Management District  
457(b) Deferred Compensation &  
401(a) Defined Contribution Plans



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# Plan Background

Section 1

# South Coast Air Quality Management District Plan

## South Coast Air Quality Management District Plan Overview

Plan Name	South Coast Air Quality Management District 457 Deferred Compensation & 401(a) Defined Contribution Plans
Inception Date (457 Plan)	January 1, 1987
Inception Date (401 Plan)	January 1, 2017

## Plan Features (457b Plan)

Plan Year End	June 30 <sup>th</sup>
Entry Date	Immediate
Employee Deferrals	Pre-tax & Roth
Catch-up	Age 50 & Special 457 Catch-up Contributions
Employer Contributions	Yes - determined in accordance with the terms of the employment contract

## Default Investment Alternative

Default Fund	T. Rowe Price Retirement Series
--------------	---------------------------------

## Service Providers

Recordkeeper	Empower
Directed Trustee	Reliance Trust Company
Plan Advisor	Benefit Financial Services Group (“BFSG”)

## Committee Oversight

Membership	John Olvera (Chair), Bayron Gilchrist, Sujata Jain, and Raquel Arciniega
Duties	Settlor and Fiduciary
California Government Code 53213.5 Compliance	The Committee intends for the Plan to comply with the provisions of California Government Code 53213.5 providing Plan fiduciaries with relief from liability for the investment decisions made by participants.



# Committee Meeting Summary & Plan Updates

## Section 2

CALENDAR

SUN	MON	TUE	WED	THU	FRI	SAT
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31			

# Fiduciary Updates

Meeting Date	Item	Update
September 19, 2024	Watch List	Removed MFS International New Discovery from the Watch List due to improved performance.
	Fiduciary Education	BFSG conducted fiduciary training on the DOL's new fiduciary rule.
December 3, 2024	Fund Change	Replaced TCW Metropolitan West Total Return Bond with Dodge & Cox Income.  This change was effective February 12, 2025.
	Empower's Managed Account Service Addition	Added Empower's managed accounts service.  This change was effective March 1, 2025.
March 18, 2025	Watch List	Removed Hartford International Opportunities due to strong performance under new manager.
May 27, 2025	Plan Level Accounts – Fund Change	Agreed to utilize Vanguard Federal Money Market for Plan-level accounts.

# Settlor Updates

Meeting Date	Item	Update
September 19, 2024	SECURE 2.0 Provision Adoption	Adopted Qualified Disaster Relief Distributions.
December 3, 2024	SECURE 2.0 Provision Adoption	Adopted the following provisions: <ul style="list-style-type: none"> <li>• Domestic Abuse Distributions</li> <li>• Increased cash-out limit for small balances (from \$5,000 to \$7,000)</li> <li>• Higher catch-up contribution limits for individuals aged 60–63.</li> <li>• Empower’s Auto-portability service.</li> </ul>



# Plan Assets / Demographics

## Section 3

# Range of Investments

Lower risk/lower potential reward

Higher risk/higher potential reward

FIXED INCOME		BALANCED	EQUITY		
CAPITAL PRESERVATION	INCOME	HYBRID	VALUE	BLEND	GROWTH
<b>DOMESTIC</b>					
<b>STABLE VALUE</b>	<b>INTERMEDIATE CORE BOND</b>	<b>MODERATE ALLOCATION</b>	<b>LARGE VALUE</b>	<b>LARGE BLEND</b>	<b>LARGE GROWTH</b>
Guaranteed Interest Account	Vanguard Total Bond Market Index Adm	American Funds American Balanced R6	DFA US Large Cap Value I Hartford Dividend and Growth R5	Vanguard FTSE Social Index Admiral Vanguard Institutional Index I	T. Rowe Price Blue Chip Growth I
	<b>INTERMEDIATE CORE-PLUS BOND</b>		<b>MID VALUE</b>	<b>MID BLEND</b>	<b>MID GROWTH</b>
	Dodge & Cox Income X		Vanguard Selected Value Inv	Vanguard Mid Cap Index Admiral	Carillon Eagle Mid Cap Growth A
			<b>SMALL VALUE</b>	<b>SMALL BLEND</b>	<b>SMALL GROWTH</b>
			American Beacon Small Cap Value R6 Vanguard Small Cap Value Index Admiral	Vanguard Small Cap Index Admiral Shares	Fidelity Small Cap Growth K6
<b>FOREIGN</b>					
				<b>FOREIGN LARGE BLEND</b>	
				Hartford International Opportunities R5 Vanguard Developed Markets Index Admiral	
					<b>FOREIGN SMALL/MID GROWTH</b>
					MFS International New Discovery A
				<b>DIVERSIFIED EMERGING MKTS</b>	
				Vanguard Emerging Mkts Stock Idx Adm	
<b>SPECIALTY</b>					
			<b>UTILITIES</b>	<b>REAL ESTATE</b>	<b>HEALTH</b>
			Vanguard Utilities Index Adm	Vanguard Real Estate Index Admiral	Vanguard Health Care Index Admiral
<b>ALLOCATION</b>					
		<b>TARGET DATE SERIES</b>			
		T. Rowe Price Retirement I Series			

Funds listed in Red are scheduled to be removed.  
 Funds listed in Green are scheduled to be added.  
 Funds listed in Blue are frozen to contributions.  
 Funds listed in Purple represent Default Fund.

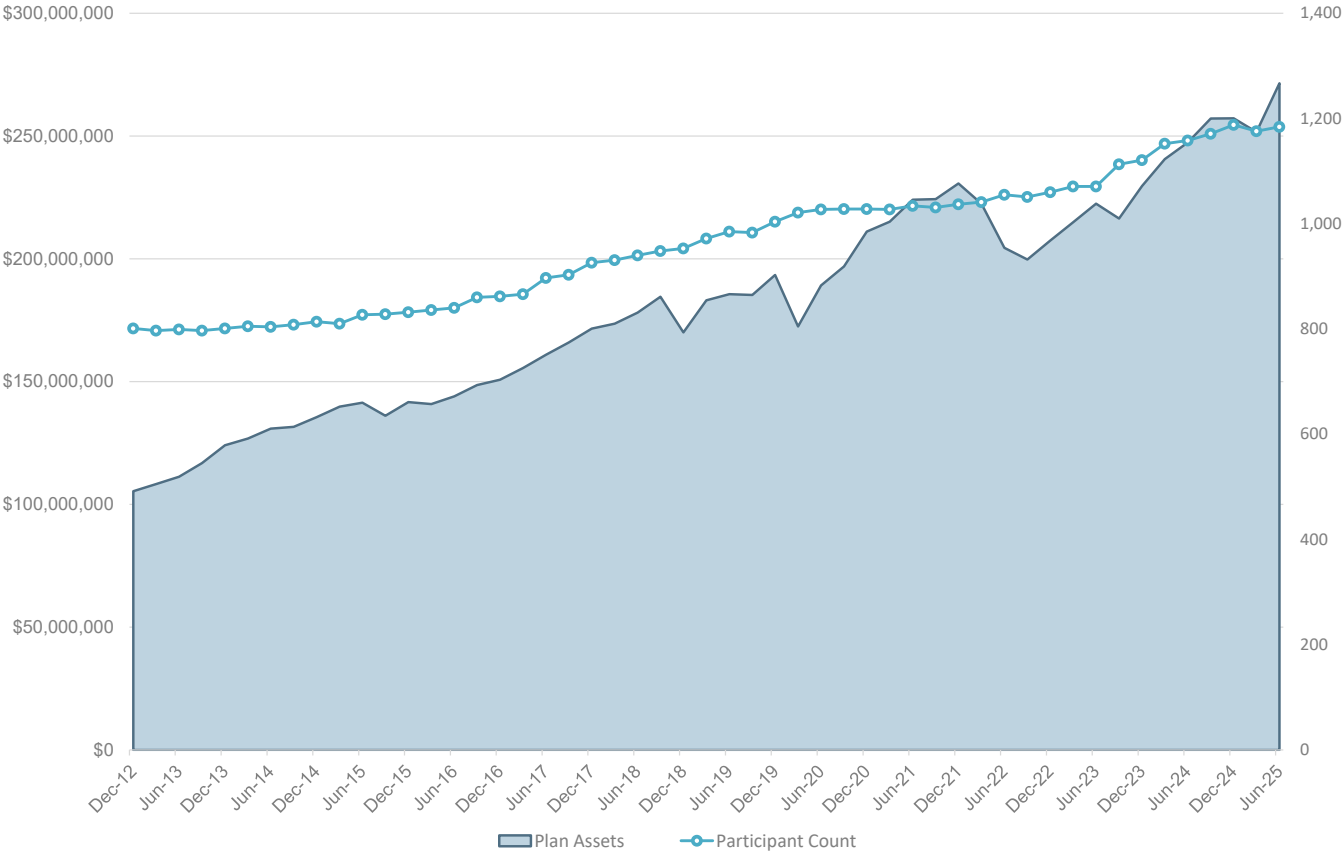
# Asset Allocation by Fund

Investment Option	2Q 2025	% of Assets	# of Balances
<b>Guaranteed Interest Account</b>	\$77,135,883	28.65%	604
<b>Vanguard Institutional Index I</b>	\$46,270,309	17.18%	498
<b>T. Rowe Price Blue Chip Growth I</b>	\$39,002,237	14.49%	514
<b>Hartford Dividend and Growth R5</b>	\$11,920,493	4.43%	437
T. Rowe Price Retirement 2045 I	\$8,074,669	3.00%	87
<b>Hartford International Opportunities R5</b>	\$7,652,782	2.84%	418
<b>Carillon Eagle Mid Cap Growth A</b>	\$6,814,956	2.53%	383
T. Rowe Price Retirement 2035 I	\$6,451,903	2.40%	51
<b>Vanguard Total Bond Market Index Adm</b>	\$5,846,964	2.17%	307
American Funds American Balanced R6	\$5,088,061	1.89%	111
<b>Vanguard Mid Cap Index Admiral</b>	\$4,870,070	1.81%	296
Vanguard FTSE Social Index Admiral	\$4,387,662	1.63%	114
<b>Dodge &amp; Cox Income X</b>	\$4,049,773	1.50%	293
<b>Vanguard Selected Value Inv</b>	\$3,967,797	1.47%	340
<b>Vanguard Developed Markets Index Admiral</b>	\$3,847,621	1.43%	234
<b>Fidelity Small Cap Growth K6</b>	\$3,651,990	1.36%	347
T. Rowe Price Retirement 2040 I	\$2,987,149	1.11%	37
Vanguard Health Care Index Admiral	\$2,883,437	1.07%	100
<b>Vanguard Small Cap Index Admiral Shares</b>	\$2,863,428	1.06%	264
T. Rowe Price Retirement 2050 I	\$2,711,221	1.01%	50
T. Rowe Price Retirement 2055 I	\$2,440,834	0.91%	62
<b>American Beacon Small Cap Value R6</b>	\$2,265,010	0.84%	326
<b>MFS International New Discovery A</b>	\$2,079,799	0.77%	194
T. Rowe Price Retirement 2060 I	\$2,057,740	0.76%	75
Vanguard Utilities Index Adm	\$1,713,429	0.64%	87
Vanguard Small Cap Value Index Admiral	\$1,630,129	0.61%	70
<b>Vanguard Emerging Mkts Stock Idx Adm</b>	\$1,457,234	0.54%	189
T. Rowe Price Retirement 2025 I	\$1,323,426	0.49%	20
T. Rowe Price Retirement 2030 I	\$1,156,829	0.43%	18
<b>DFA US Large Cap Value I</b>	\$1,150,265	0.43%	160
Vanguard Real Estate Index Admiral	\$843,036	0.31%	87
T. Rowe Price Retirement 2020 I	\$270,101	0.10%	7
T. Rowe Price Retirement 2065 I	\$249,547	0.09%	30
T. Rowe Price Retirement 2015 I	\$122,074	0.05%	4
T. Rowe Price Retirement 2005 I	\$12,102	0.00%	5
T. Rowe Price Retirement 2010 I	\$9,072	0.00%	3
<b>Subtotal</b>	<b>\$269,259,032</b>	<b>100.00%</b>	<b>1,184</b>
Self-Directed Brokerage Account	\$1,783,388		
<b>Total</b>	<b>\$271,042,419</b>		
<b>Total # of Participants</b>	<b>1,184</b>		
<b>Average Account Balance</b>	<b>\$228,921</b>		

Note: Funds listed in **Bold** are included in the Target Date Models.

Note: Personal Choice Retirement Account had 23 balances as of quarter end.

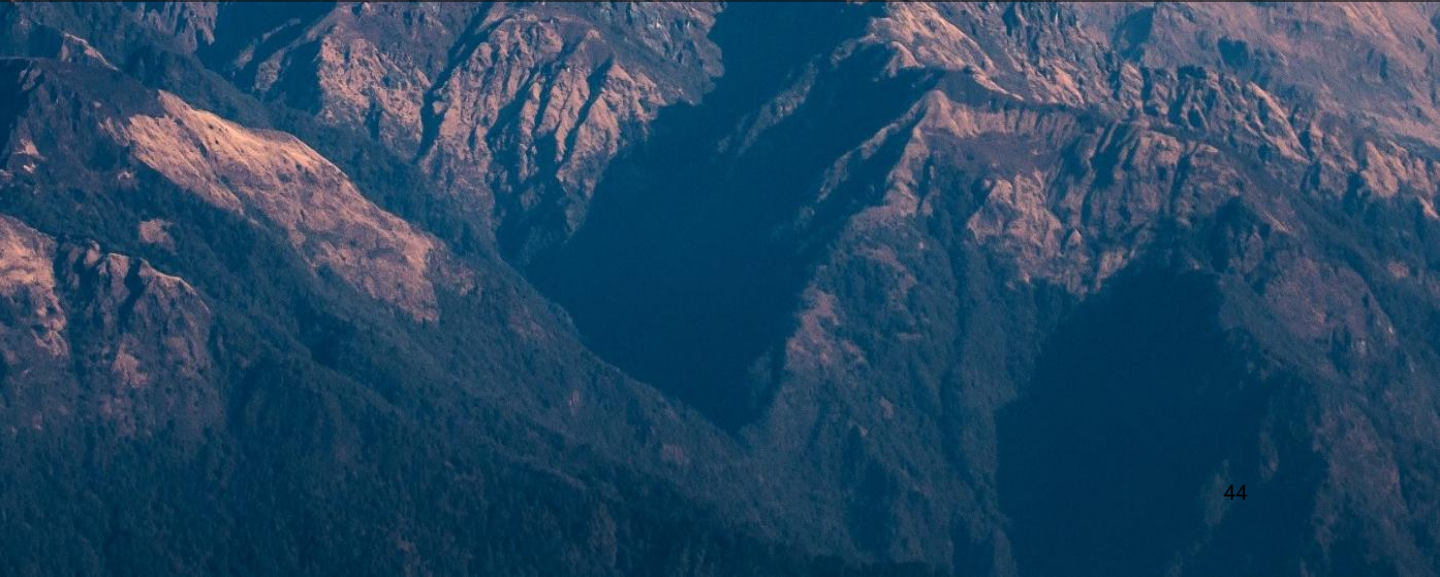
# Growth of Plan Assets





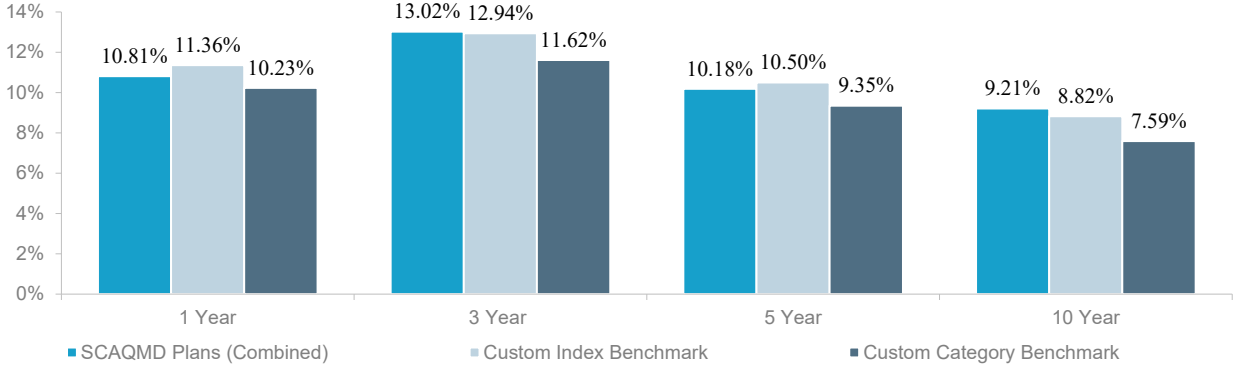
# Plan Performance / Cost

Section 4

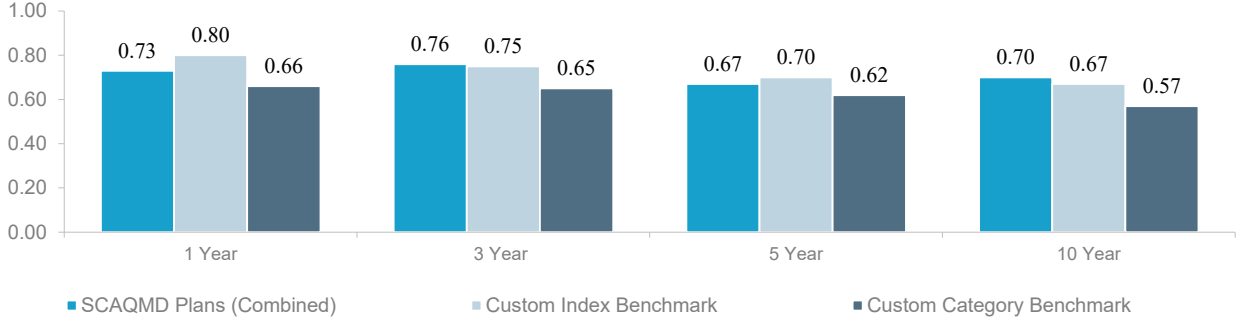


# Portfolio Return vs. Custom Benchmark

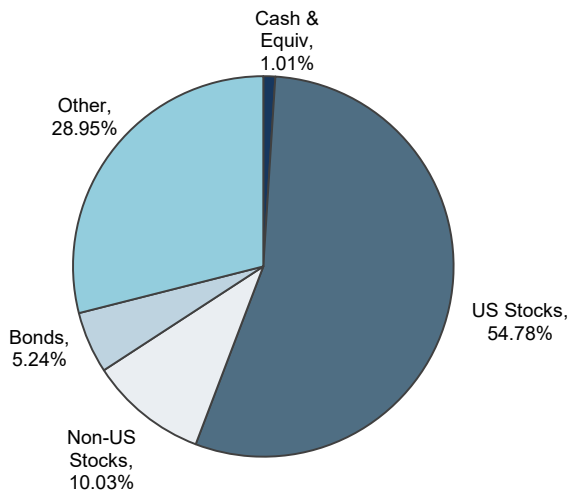
## Annualized Returns



## Sharpe Ratio



## Current Quarter



## Benchmark Weightings

Index	Category	Weight
BFSG Custom Stable Value	Stable Value	28.65%
Bloomberg US Agg Float Adj TR USD	Intermediate Core Bond	2.17%
40% BC Agg - 60% S&P 500	Moderate Allocation	1.89%
Russell 1000 Value TR USD	Large Value	0.43%
Russell 1000 Value TR USD	Large Value	4.43%
S&P 500 TR USD	Large Blend	1.63%
S&P 500 TR USD	Large Blend	17.18%
Russell 1000 Growth TR USD	Large Growth	14.49%
Russell Mid Cap Value TR USD	Mid Value	1.47%
CRSP US Mid Cap TR USD	Mid Blend	1.81%
Russell Mid Cap Growth TR USD	Mid Growth	2.53%
Russell 2000 Value TR USD	Small Value	0.84%
CRSP US Small Cap Value TR USD	Small Value	0.61%
CRSP US Small Cap TR USD	Small Blend	1.06%
Russell 2000 Growth TR USD	Small Growth	1.36%
MSCI ACWI Ex USA NR USD	Foreign Large Blend	2.84%
FTSE Dvlp ex US All Cap(US RIC)NR USD	Foreign Large Blend	1.43%
MSCI ACWI Ex USA Small Growth NR USD	Foreign Small/Mid Growth	0.77%
FTSE Global All Cap ex US TR USD	Diversified Emerging Mkts	0.54%
MSCI US IMI/Health Care 25-50 GR USD	Health	1.07%
Real Estate Spliced Index	Real Estate	0.31%
MSCI US IMI/Utilities 25-50 GR USD	Utilities	0.64%
S&P Target Date Series	Target Date Series	10.35%

# Evaluation Methodology

Per Investment Policy Statement

## Returns (40%)

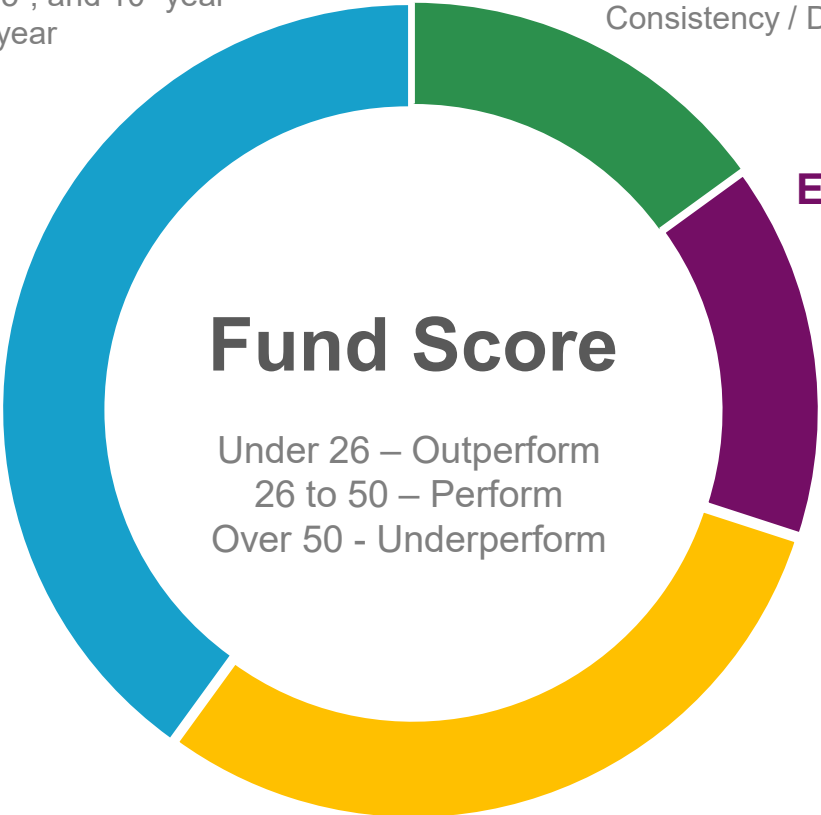
Trailing 3-, 5-, and 10- year  
Rolling 10-year

## Style (15%)

R<sup>2</sup>  
Credit Quality  
Consistency / Dispersion

## Expense (15%)

Net Expense Ratio



## Fund Score

Under 26 – Outperform  
26 to 50 – Perform  
Over 50 - Underperform

## Risk (30%)

Sharpe Ratio  
Up-Capture Ratio  
Down-Capture Ratio



All data points are percentile ranking relative to the Custom Peer Group. The Custom Peer Group is the fund's Morningstar Category excluding Index Funds, fund-of-funds, and funds with less than 3 Years of Returns. Only the lowest expense share class is evaluated.

# Evaluation Methodology Summary

Investment Name	Quarterly Ranking			
	2Q25	1Q25	4Q24	3Q24
<b>Intermediate Core-Plus Bond</b> Dodge & Cox Income Fund	0	0	0	0
<b>Moderate Allocation</b> American Funds American Balanced Fund	8	9	10	14
<b>Large Value</b> DFA US Large Cap Value Portfolio	44	40	45	41
Hartford Dividend and Growth Fund	21	22	14	10
<b>Large Blend</b> Vanguard FTSE Social Index Fund	4	6	7	6
<b>Large Growth</b> T. Rowe Price Blue Chip Growth Fund	22	31	29	30
<b>Mid Value</b> Vanguard Selected Value Fund	8	5	7	7
<b>Mid Growth</b> Carillon Eagle Mid Cap Growth Fund	17	20	12	21
<b>Small Value</b> American Beacon Sm Cap Val Fd	50	41	35	25
<b>Small Growth</b> Fidelity Small Cap Growth Fund	1	1	2	3
<b>Foreign Large Blend</b> Hartford International Opportunities Fd	49	53	48	55
<b>Foreign Small/Mid Growth</b> MFS International New Discovery Fund	33	30	40	32
<b>Target Date Series</b> T. Rowe Price Retirement Series	38	28	34	40
<b>Average Rank</b>	23	22	27	26
<b>Plan Weighted Rank (Reweighted)</b>	25	26	27	29



Note: Average and Plan-Weighted Average rankings shown above reflect the actual funds offered in the Plan (and their respective weightings) during the applicable quarter.

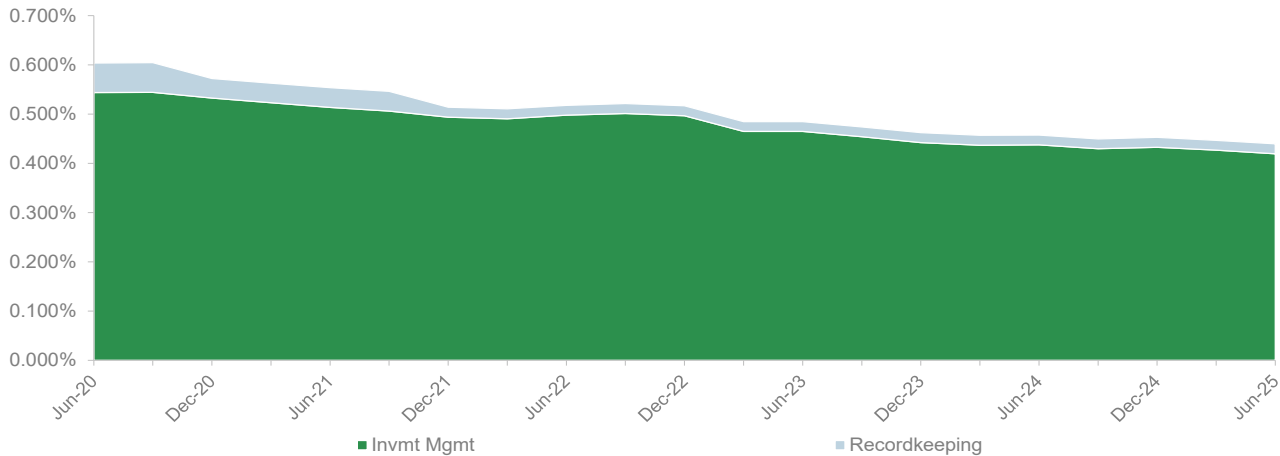
# Fee Breakdown & Recordkeeping Costs

	Plan Assets 06/30/2025	Total Plan Expense (%) <sup>2</sup>	Total Plan Expense (\$)	Revenue to Invmt. Mgmt. (\$)	Revenue to RK / Admin. (Vendor)
<b>South Coast Air Quality Management District Retirement Savings Plan</b>	\$269,259,032	0.440%	\$1,183,584	\$1,129,732	\$53,852
				0.420%	0.020%
<i>Industry Average<sup>1</sup></i>		0.519%	\$1,398,627		

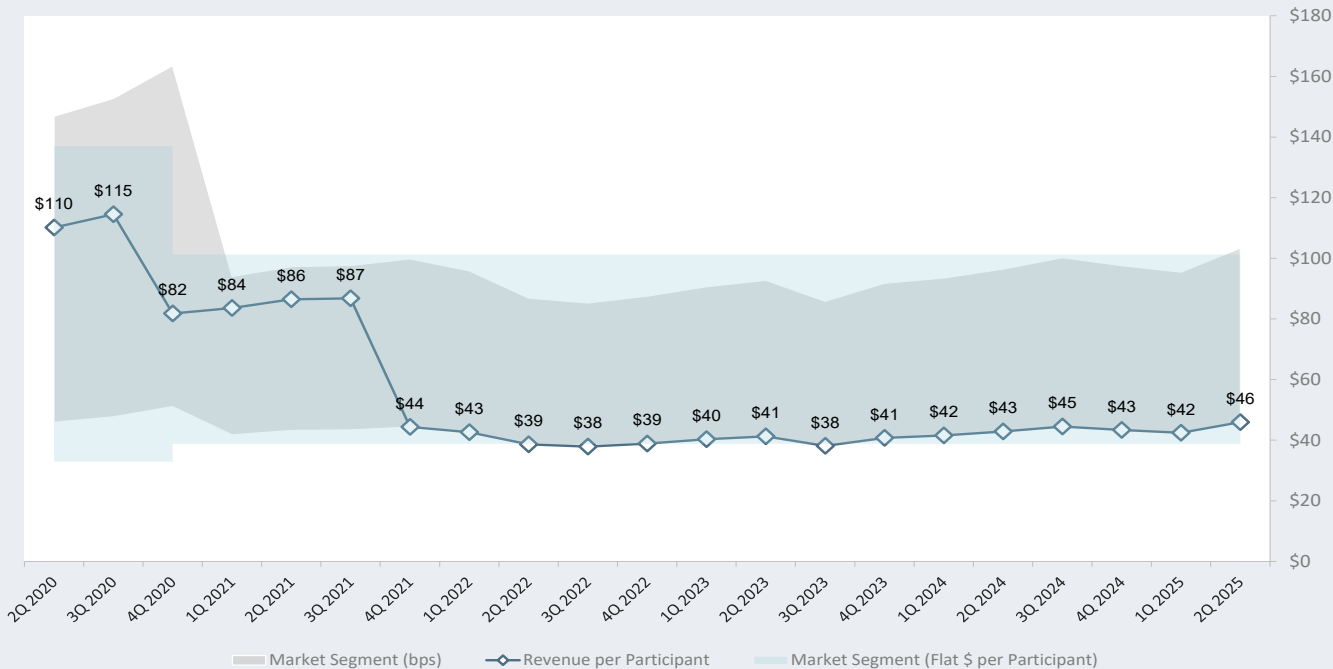
<sup>1</sup>The Industry Average represents the weighted expense (based upon current allocation) of lowest cost Institutional and Retirement share classes in each asset category from Morningstar, plus the benchmark revenue requirement.

<sup>2</sup>Total Plan Expense does not include additional qualified Plan expenses or transaction costs.

## Investment Management and Recordkeeping Costs



## Recordkeeping Fee on a Per Participant Basis





# Appendix

## Section 5



South Coast  
AQMD

# South Coast Air Quality Management District

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

MEETING DATE: September 19, 2024

REPORT: Deferred Compensation Plan Committee

SYNOPSIS: The Deferred Compensation Plan Committee met on September 19, 2024, at 1:30 p.m.  
The following is a summary of that meeting.

RECOMMENDED ACTION:  
Receive and file.

A. John Olvera, Chair  
Deferred Compensation Plan

AJO:RH:tc

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**Committee Members Present**

John Olvera – Deputy Executive Officer / Admin and Human Resources  
Sujata Jain - Chief Financial Officer  
Raquel Arciniega - Human Resources Manager

**Committee Members Absent**

Bayron Gilchrist – General Counsel

**Guests**

Darren Stewart, Benefit Financial Services Group (“BFSG”)  
Aksana Muñoz, BFSG  
Lisa Braun-Ward, Empower Retirement (“Empower”)

**Call to Order:** Chair Olvera called the meeting to order at 1:35 pm.

**Approval of Prior Meeting Minutes:** The Committee members in attendance approved the minutes of the meeting held on June 14, 2024, as written.

**Revisit Decision to Add Roth to 401(a) Plan:** The Committee members in attendance voted unanimously to reverse its June 21, 2024, decision to add a Roth in-Plan conversion feature to the 401(a) Plan. As the Plan consists solely of employer contributions, this feature is not applicable and cannot be implemented.

**FIDUCIARY AGENDA**

**457 and 401(a) Plans Quarterly Investment Review – 2<sup>nd</sup> Quarter 2024:** The Committee members in attendance received and approved the Retirement Plan Quarterly Investment Review (the “Report”) for the 457 Deferred Compensation Plan and the 401(a) Defined Contribution Plan (collectively the “Plan”) for the quarter ending June 30, 2024.

Assets in the Plan increased quarter-over-quarter, rising from \$239 million to \$246 million. The number of participants with a balance also grew, from 1,152 to 1,158 during the quarter. The largest individual holding remained the Guaranteed Interest Account, which represents over 32% of total assets, amounting to more than \$80 million. Additionally, the T. Rowe Retirement series, which serves as the default fund for participants who do not provide an investment selection, collectively accounted for 9% of total assets.

The Committee reviewed fees paid to Empower for recordkeeping and administration of the District’s Plan. The Plan operates under a level fee arrangement where fund revenue sharing payments are credited directly to the participants invested in the fund. The Committee reviewed the share classes used in the Plan and noted that after adjusting for credited revenue sharing, using the optimal share class for each fund provided annualized savings of over \$24,000.

To provide context to the performance of the investment options in the Plans, BFSG provided a brief overview of the economy and capital markets during the reporting period. The presentation was followed by a quantitative and qualitative review of the funds offered in the Plans, in accordance with the Evaluation Methodology criteria set forth in the Plan’ Investment Policy Statement (the “IPS”).

*Metropolitan West Total Return Bond has been on the Watch List since September 2023.* The fund’s Evaluation Methodology rank improved slightly from 64 (“underperform”) to 63 (“underperform”) during the quarter. Though, the fund still underperformed its index and peers during the second quarter and on a year-to-date basis. The portfolio’s overweight duration position has been the main detractor from performance. Consistent with its view that the economy will begin to weaken, fund management has maintained an underweight to credit, which wasn’t meaningful for the quarter but has been a detractor over the last year. As agreed in the previous meeting, BFSG brought a Fund Search that included the current option, Metropolitan West Total Bond, along with available alternatives in the Intermediate Core-Plus category. However, due to Mr. Gilchrist's absence, the Committee members in attendance voted unanimously to table the review of the Fund Search until the next meeting and keep the fund on the Watch List.

*Hartford International Opportunities* was placed on the Watch List in December 2023 due to underperformance and a manager change. Since the new manager took over in December 2023, the fund has shown strong performance, demonstrating competitive results over both the quarterly and year-to-date periods. After discussion, the Committee members in attendance agreed to keep the fund on the Watch List to continue monitoring its performance under the new management.

MFS International New Discovery has been on the Watch List since September 2021 due to management changes. During the quarter, an overweight position in technology positively impacted performance, although this was partially offset by an overweight in Japan. Known for its defensively structured portfolio, the fund has consistently exhibited significantly lower volatility compared to its peers and has performed competitively in recent down markets, as evidenced by its outperformance of the index benchmark and peers over the 3-year period. With the new manager having been in place for over three years, the fund has demonstrated strong performance under their leadership. Consequently, the Committee members in attendance unanimously agreed to remove the fund from the Watch List.

Other areas reviewed included the performance of the T. Rowe Price Retirement series, the Plan's Target Date Models, and point-in-time Plan-level performance. It was noted that the Target Date Models were successfully integrated into the District's 401(a) Plan, effective August 28, 2024.

**Fund Search Analysis:** Tabled to the Committee's next meeting.

**Fiduciary Education – New Fiduciary Rule:** The Department of Labor (the "DOL") released its new fiduciary rule on April 23, 2024, amending the definition of an investment advice fiduciary under the Employee Retirement Income Security Act of 1974 ("ERISA") and the Internal Revenue Code. Although ERISA does not apply to governmental plans, the best practice is to attempt to follow the guidelines and regulations established for qualified plans.

The final rule broadens the scope of who may be considered a fiduciary and introduces new requirements for investment firms and professionals. It replaces the old five-part test and now includes one-time and online advice. Although the rule was scheduled to take effect on September 23, 2024, it was placed on hold. BFSG will continue to monitor this development.

BFSG already serves as a fiduciary for the Plan and Plan participants and acknowledges its fiduciary status in their Consulting Agreement.

**BFSG Participant Education Update:** On August 22, 2024, BFSG hosted a webinar for District employees titled "Expense & Debt Management," which had 43 attendees. The next webinar, "Charitable Gift Giving Strategies," is scheduled for November 21, 2024. To date, BFSG's Certified Financial Planner, Keith Johnson, has conducted 20 one-on-one consultations and delivered 9 comprehensive financial plans.

**Quarterly Review 457 and 401(a) Plans:** Ms. Braun-Ward briefly reviewed the 457(b) Plan Review report for the quarter ending June 30, 2024. The review covered various aspects, including Plan assets, demographics, cash flow, asset allocation, savings and deferral rates, participation, loan utilization, and the utilization of Empower's Lifetime Income Score tool. Empower's 401(a) Plan Review report was also presented to the Committee.

**National Retirement Security Month Campaign:** Ms. Braun-Ward provided an update on the upcoming National Retirement Security Month campaign, set for October 2024. The campaign will highlight the resources available to Empower employees to support their retirement planning, while also emphasizing key steps employees can take to enhance the security of their accounts.

**Expense Budget Account Quarterly Activity Review:** The Committee reviewed the accounting activity report for the Plan Expense Budget account. Any unused balance in the account will be reallocated to participants by the end of the year.

## **SETTLOR AGENDA**

**Annual Report:** The Committee reviewed and discussed the Annual Report prepared by BFGS for the fiscal year ending June 30, 2024. The report was designed to assist the Governing Board in fulfilling its oversight role, as fiduciary responsibility has been delegated to the Committee. The Committee members in attendance reviewed the key decisions made during the previous Plan year and unanimously approved the Annual Report as presented.

**SECURE Act 2.0. Provision Addition:** Ms. Braun-Ward provided an overview of the optional provisions available at Empower, designed to align with SECURE Act 2.0. The key provisions discussed included:

- *Domestic Abuse Distributions and Qualified Disaster Recovery Distributions:* Participants will need to self-certify with Empower to confirm their eligibility for these withdrawals.
- *Increased Catch-up Limits:* Effective January 1, 2025, employees aged 60 to 63 will be eligible to contribute more than \$10,000 (indexed) or 150% of the regular catch-up contribution. If adopted, the District will need to coordinate with its payroll provider to ensure proper integration of the new contribution limits with the higher catch-up thresholds.
- *Mandatory Cash-out Limit Increase:* The limit for mandatory distribution of small balances for terminated employees can be increased from \$5,000 to \$7,000, should the District choose to adopt this option.

Following the discussion, the Committee members in attendance voted unanimously to permit Qualified Disaster Recovery Distributions in the 457(b) and 401(a) Plans. They will revisit the topics of Domestic Abuse Distributions, Increased Catch-up Limits, and Mandatory Cash-out Limit Increases at the next meeting.

**OTHER MATTERS:**

**Public Comments** – There were no public comments.

**Other Business** – There was no other business.

**Adjournment** - The meeting adjourned at 2:53 p.m.



South Coast  
AQMD

# South Coast Air Quality Management District

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

MEETING DATE: December 3, 2024

REPORT: Deferred Compensation Plan Committee

SYNOPSIS: The Deferred Compensation Plan Committee met on December 3, 2024, at 1:00 p.m. The following is a summary of that meeting.

RECOMMENDED ACTION:  
Receive and file.

A. John Olvera, Chair  
Deferred Compensation Plan

AJO:RH:tc

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### **Committee Members Present**

John Olvera – Deputy Executive Officer / Admin and Human Resources  
Sujata Jain - Chief Financial Officer  
Bayron Gilchrist – General Counsel

### **Committee Members Absent**

Raquel Arciniega - Human Resources Manager

### **Guests**

Darren Stewart, Benefit Financial Services Group (“BFSG”)  
Aksana Muñoz, BFSG  
Lisa Braun-Ward, Empower Retirement (“Empower”)

**Call to Order:** Chair Olvera called the meeting to order at 1:10 pm.

**Approval of Prior Meeting Minutes:** Since Mr. Gilchrist was absent from the previous meeting and is unable to approve the prior meeting minutes, and Ms. Arciniega is absent today, the Committee deferred the approval of the minutes to their next meeting.

### **FIDUCIARY AGENDA**

**457 and 401(a) Plans Quarterly Investment Review – 3<sup>rd</sup> Quarter 2024:** The Committee members in attendance received and voted unanimously to approve the Retirement Plan Quarterly Investment Review (the “Report”) for the 457 Deferred Compensation Plan and the 401(a) Defined Contribution Plan (collectively the “Plan”) for the quarter ending September 30, 2024.

Assets in the Plan increased quarter-over-quarter, rising from \$246 million to \$256 million. The number of participants with a balance also grew, from 1,158 to 1,171 during the quarter. The largest individual holding remained the Guaranteed Interest Account, which represents over 30% of total assets, amounting to roughly \$79 million. Additionally, the T. Rowe Retirement series, which serves as the default fund for participants who do not provide an investment selection, collectively accounted for 9% of total assets.

The Committee reviewed fees paid to Empower for recordkeeping and administration of the District’s Plan. The Plan operates under a level fee arrangement where fund revenue sharing payments are credited directly to the participants invested in the fund. During the Committee’s review of the share classes utilized in the Plan, it was observed that, after accounting for credited revenue sharing, all funds offer participants savings compared to using the lowest cost share class. The annualized savings from share classes amounted to over \$25,000.

To provide context for the performance of the investment options in the Plans, BFSG provided a brief overview of the economy and capital markets during the reporting period. The presentation was followed by a quantitative and qualitative review of the funds offered in the Plans, in accordance with the Evaluation Methodology criteria set forth in the Plan’s Investment Policy Statement (the “IPS”).

*TCW Metropolitan West Total Return Bond* has been on the Watch List since September 2023. During the most recent quarter, the fund outperformed both its benchmark index and category peers. The fund’s longer duration relative to peers contributed positively to performance this quarter, though it had been a significant detractor over the prior two years during rising interest rates. Despite recent outperformance, the fund’s overweight to Treasuries and an underweight to corporate securities continued to weigh on results. Additionally, there have been several notable changes at both the corporate and fund levels. The Committee members in attendance unanimously agreed to keep the fund on the Watch List, pending a review of the Fund Search later in the meeting.

*Carillon Eagle Mid Cap Growth* underperformed for the quarter and over the 1- and 3-year periods, primarily due to poor stock selection in healthcare and technology. Despite this, the fund’s overall Evaluation Methodology rank of 21 (“outperform”) remains strong. Since the end of the reporting quarter, the fund has outperformed its category peers by over 2%. No action was taken at this time.

*Hartford International Opportunities* was placed on the Watch List in December 2023 due to underperformance and a manager change. Since the new manager assumed leadership in December 2023, the fund has delivered strong performance, with competitive results in the first two quarters of the year. Key contributors to its performance included strong stock selection and an underweight to China during this period. After discussion, the Committee members in attendance unanimously agreed to keep the fund on the Watch List to continue monitoring its performance under the new manager.

Other areas reviewed included the performance of the T. Rowe Price Retirement series, the Plan's Target Date Models, and point-in-time Plan-level performance.

**Fund Search Analysis:** For the Committee's consideration, BFGS brought an updated Fund Search consisting of current options and available alternatives in the Intermediate Core-Plus category, including the current option, TCW Metropolitan West Total Return Bond. Each investment option was reviewed in accordance with the Plan's Investment Policy Statement criteria, which encompasses performance, risk-adjusted performance, style consistency, expense, and qualitative factors.

DECISION: After discussion, the Committee members in attendance voted unanimously to remove TCW Metropolitan West Total Return Bond from the Plan and replace it with Dodge & Cox Income. The Dodge & Cox fund was selected for its strong historical performance, strong risk-adjusted performance, and deep and experienced management team.

**Consideration to Add Empower's Advice and Managed Accounts Service:** The Committee revisited prior discussions regarding the potential inclusion of Empower's point-in-time fiduciary advice and managed accounts service in the Plan. Ms. Braun-Ward recapped the benefits of adding these services.

Ms. Braun-Ward confirmed that point-in-time fiduciary advice has been turned on for the District. There is no cost for this service, but it currently can only be provided online. Managed accounts would need to be added for Empower representatives to provide point-in-time advice during participant meetings.

DECISION After discussion, the Committee members in attendance voted unanimously to add Empower's managed accounts.

**OBRA Plan Discussion:** This topic was part of the SECURE Act 2.0. Provision Addition section.

**Participant Education Update:** BFGS provided the following updates on employee education initiatives:

- **Benefit Fair Participation:** BFGS attended the Benefit Fair on October 10, 2024. Employees shared positive feedback on the regular webinars, noting the informative and easy-to-follow content, as well as helpful ongoing assistance provided by BFGS's Certified Financial Planner (CFP), Keith Johnson.
- **November Webinar:** The District cancelled the previously scheduled November webinar, "*Charitable Gift Giving Strategies.*"
- **CFP Update:** To date, CFP Keith Johnson has conducted 24 one-on-one consultations and delivered 9 comprehensive financial plans.
- **National Fall Webinar Series:** The BFGS National Fall Webinar Series ran from October 30 to November 20, 2024. Sessions included "*Navigating Volatile Markets,*" "*Navigating Your Tax Strategy,*" "*Navigating the Financial Seas: A Roundtable Discussion,*" and "*Navigating Your Retirement Plan.*" Recordings of these sessions will soon be available for the District to distribute to employees.

**Quarterly Review 457 and 401(a) Plans:** Ms. Braun-Ward briefly reviewed the 457(b) Plan Review report for the quarter ending September 30, 2024. The review covered various aspects, including Plan assets, demographics, cash flow, asset allocation, savings and deferral rates, participation, loan utilization, and the utilization of Empower's Lifetime Income Score tool. Empower's 401(a) Plan Review report was also presented to the Committee.

**Expense Budget Account Quarterly Activity Review:** The Committee reviewed the accounting activity report for the Plan Expense Budget account. Any unused balance in the account will be reallocated to participants by the end of the year.

## SETTLOR AGENDA

**SECURE Act 2.0. Provision Addition:** Ms. Braun-Ward revisited the Committee's previous discussion on optional SECURE Act 2.0 provisions available through Empower. She provided a recap of key points regarding Domestic Abuse Distributions, Higher Catch-up Limits, and the increase in Mandatory Cash-Out Limits.

After discussion, the Committee members in attendance unanimously voted to approve the following actions:

- **Domestic Abuse Distributions:** Add this provision to both the 401(a) and 457(b) Plans.
- **Increase in Cash-Out Limit for Small Balances:** Raise the limit from \$5,000 to \$7,000 for both the 401(a) and 457(b) Plan, including the OBRA Plan, and utilize Empower's automated service for these balances.
- **Qualified Disaster Recovery Distributions:** Reaffirm the decision from the prior meeting to include this provision in both the 401(a) and 457(b) Plans.
- **Higher Catch-Up Limits for Ages 60-63:** Permit higher catch-up contribution limits starting January 1, 2025, in the 457(b) Plan.
- **Empower's Auto-Portability Service:** Adopt Empower's auto-portability service to automatically transfer small balances of terminated employees in default IRAs to a new employer's plan, unless participants opt out.

Ms. Braun-Ward also reminded the Committee that effective January 1, 2026, employees participating in plans permitting catch-up contributions who earned more than \$145,000 in the prior year must make all catch-up contributions as Roth contributions.

## OTHER MATTERS:

**Public Comments** – There were no public comments.

**Other Business** – There was no other business.

**Adjournment** - The meeting adjourned at 3:00 p.m.



South Coast  
AQMD

# South Coast Air Quality Management District

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

MEETING DATE: March 18, 2025

REPORT: Deferred Compensation Plan Committee

SYNOPSIS: The Deferred Compensation Plan Committee met on March 18, 2025, at 1:30 p.m. The following is a summary of that meeting.

RECOMMENDED ACTION:  
Receive and file.

A. John Olvera, Chair  
Deferred Compensation Plan

AJO:RH:tc

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### **Committee Members Present**

John Olvera – Deputy Executive Officer / Admin and Human Resources  
Sujata Jain - Chief Financial Officer  
Raquel Arciniega - Human Resources Manager

### **Committee Members Absent**

Bayron Gilchrist – General Counsel

### **Guests**

Darren Stewart, Benefit Financial Services Group (“BFSG”)  
Aksana Muñoz, BFSG  
Lisa Braun-Ward, Empower Retirement (“Empower”)

**Call to Order:** Chair Olvera called the meeting to order at 1:30 pm.

### **Approval of Prior Meeting Minutes**

Due to Mr. Gilchrist's absence from today's meeting, the Committee deferred approval of the September 2024 and December 2024 meeting minutes to the next meeting.

### **FIDUCIARY AGENDA**

#### **457 and 401(a) Plans Quarterly Investment Review – 4<sup>th</sup> Quarter 2024**

The Committee members in attendance received and voted unanimously to approve the Retirement Plan Quarterly Investment Review (the “Report”) for the 457 Deferred Compensation Plan and the 401(a) Defined Contribution Plan (collectively the “Plan”) for the quarter ending December 31, 2024.

Plan assets experienced a slight quarter-over-quarter increase and remained at \$257 million. The number of participants with a balance increased from 1,171 to 1,188 during the quarter. The Guaranteed Interest Account remained the largest individual holding, representing over 30% of total assets, approximately \$79 million. Additionally, the T. Rowe Retirement series, which serves as the default fund for participants who do not provide an investment selection, collectively accounted for 10% of total assets.

The Committee reviewed fees paid to Empower for recordkeeping and administration of the District's Plan. The Plan operates under a level fee arrangement where fund revenue sharing payments are credited directly to the participants invested in the fund. During the Committee's review of the share classes utilized in the Plan, it was observed that, after accounting for credited revenue sharing, all funds offer participants savings compared to using the lowest cost share class. The annualized savings from share classes amounted to over \$24,000.

To provide context for the performance of the investment options in the Plans, BFSG provided a brief overview of the economy and capital markets during the reporting period. The presentation was followed by a quantitative and qualitative review of the funds offered in the Plans, in accordance with the Evaluation Methodology criteria set forth in the Plan's Investment Policy Statement (the “IPS”).

On February 12, 2025, *Dodge & Cox Income* replaced TCW Metropolitan West Total Return Bond. The chief executive officer (“CEO”), Dana Emery, is scheduled to retire on December 31, 2025. Both Roger Kuo and David Hoelt will succeed Dana Emery as CEO and Chair of the Dodge & Cox Funds Board. Additionally, a member of the Dodge & Cox's global fixed income committee joined the fund's committee, effective January 15, 2025. It was noted there were no material concerns with these management changes.

*Vanguard FTSE Social Index* - BFSG provided an update on the recent lawsuit against American Airlines' retirement plan in a Texas district court. The case initially challenged the inclusion of ESG-related funds but was later revised to allege that American Airlines breached its fiduciary duty by selecting BlackRock index funds, citing concerns over BlackRock's proxy voting policies and consideration of ESG and ESG-adjacent factors. As of the end of the reporting period, the Vanguard FTSE Social Index fund held \$4 million in assets, representing 1.5% of total Plan assets. The fund's performance remained strong across all measured time periods in the Report. The Committee members in attendance discussed the update and agreed to revisit the topic in more detail at the next scheduled meeting.

*Hartford International Opportunities* was placed on the Watch List in December 2023 due to underperformance and a manager change. During the reporting quarter, the fund's Evaluation Methodology ranking improved from 55 ("underperform") to 48 ("perform"), reflecting improved performance. Since the new manager took over in December 2023, the fund has demonstrated strong performance, delivering competitive results over the past four quarters and outperforming both benchmarks over the one-year period. Key contributors to the performance included strong stock selection in the industrials and materials sectors. After discussion, the Committee members in attendance unanimously agreed to remove the fund from the Watch List due to its sustained performance under the new manager.

*MFS International New Discovery* - Effective May 1, 2025, one of the fund's five co-managers will step down from portfolio management responsibilities to focus on another fund within the firm. The remaining four long-tenured co-managers will continue overseeing the fund. No action was recommended.

The Committee reviewed the performance of the T. Rowe Price Retirement series, noting that the funds predominantly outperformed their respective benchmarks across all measured time periods in the Report.

As allocated by participants on December 31, 2024, the Plan outperformed the custom active benchmark over all time periods measured in the Report. Comparisons to the custom index benchmark showed mixed results, as the index benchmark does not account for investment fees.

#### **Participant Education Update**

BFSG presented the finalized 2025 educational calendar, outlining two scheduled webinars:

- March 20, 2025 – *Expense and Debt Management*
- September 11, 2025 – *Retirement Income Needs*

Each session will be recorded and provided to the District's HR for internal distribution. Additionally, BFSG's National Summer and Fall Webinar Series will be made available to District employees later in the year.

BFSG also provided an update on employee engagement with BFSG's CFP. In 2024, Keith Johnson conducted 25 one-on-one sessions and delivered 9 comprehensive financial plans to employees.

**Quarterly Review 457 and 401(a) Plans:** Ms. Braun-Ward provided a brief review of the 457(b) Plan for the quarter ending December 31, 2024, covering key aspects such as Plan assets, demographics, cash flow, asset allocation, savings and deferral rates, participation, loan utilization, and the use of Empower's Lifetime Income Score tool.

The Plan participation rate stood at 74%, exceeding Empower's benchmark of 57%. Additionally, the average contribution rate was 12.3%, significantly higher than Empower's benchmark of 7.3%. The Committee reviewed Plan cash flow and noted elevated distribution amounts throughout 2024, particularly in the last quarter of the year.

Empower's 401(a) Plan Review report was also shared with the Committee.

**Expense Budget Account Quarterly Activity Review:** The Committee reviewed the accounting activity report for the Plan Expense Budget account. By the end of the year, any unused balance in the account was reallocated to participants, leaving a residual balance of \$33.82.

#### **SETTLOR AGENDA**

##### **Roth Catch up Requirement Update**

BFSG provided an update on recent IRS guidance regarding the SECURE Act 2.0 mandate, which requires catch-up contributions for individuals earning \$145,000 or more to be made as Roth contributions. The guidance clarified that FICA wages are determined based on Social Security tax, not Medicare tax. New guidance excludes employees who do not have FICA wages from the Roth mandate.

#### **OTHER MATTERS:**

**Public Comments** – There were two public employees present; however, no public comments were received.

**Other Business** – There was no other business.

**Adjournment** - The meeting adjourned at 2:33 p.m.



South Coast  
AQMD

# South Coast Air Quality Management District

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

MEETING DATE: May 27, 2025

REPORT: Deferred Compensation Plan Committee

SYNOPSIS: The Deferred Compensation Plan Committee met on May 27, 2025, at 1:00 p.m. The following is a summary of that meeting.

RECOMMENDED ACTION:  
Receive and file.

A. John Olvera, Chair  
Deferred Compensation Plan

AJO:RH:tc

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**Committee Members Present**

John Olvera – Deputy Executive Officer / Admin and Human Resources  
Sujata Jain - Chief Financial Officer  
Bayron Gilchrist – General Counsel

**Committee Members Absent**

Raquel Arciniega - Human Resources Manager

**Guests**

Darren Stewart, Benefit Financial Services Group (“BFSG”)  
Aksana Muñoz, BFSG  
Lisa Braun-Ward, Empower Retirement (“Empower”)

**Call to Order:** Chair Olvera called the meeting to order at 1:04 pm.

**Approval of Prior Meeting Minutes**

The Committee members in attendance approved the minutes from the meeting held on December 3, 2024.

In Ms. Arciniega’s absence, the Committee deferred approval of the September 2024 and March 2025 meeting minutes to the next meeting.

**FIDUCIARY AGENDA**

**Replacement for MassMutual US Government Money Market Fund**

Ms. Braun-Ward informed the Committee that MassMutual is scheduled to liquidate the MassMutual U.S. Government Money Market Fund in early September 2025. This fund is currently used for Plan-level accounts, including the Expense Account. She reviewed the quarter-end balances in each Plan’s Expense Account.

Ms. Braun-Ward noted that if no action is taken by SCAQMD, Empower will automatically map the assets from the MassMutual fund to its designated replacement—the Dreyfus Government Securities Cash Management Fund in September 2025. If the Committee prefers to designate an alternative fund, Empower must be notified by July 7, 2025.

For the Committee’s consideration, BFSG prepared a Fund Search analysis comparing the MassMutual U.S. Government Money Market Fund, the Dreyfus Government Securities Cash Management Fund, and the Vanguard Federal Money Market Fund. The Committee reviewed key data on historical performance, fees, portfolio composition, and allocation for each option.

DECISION: After discussion, the Committee members in attendance agreed to utilize the Vanguard Federal Money Market fund for Plan-level accounts.

**457 and 401(a) Plans Quarterly Investment Review – 1st Quarter 2025**

The Committee members in attendance received and voted unanimously to approve the Retirement Plan Quarterly Investment Review (the “Report”) for the 457 Deferred Compensation Plan and the 401(a) Defined Contribution Plan (collectively the “Plan”) for the quarter ending March 31, 2025.

As of the end of the reporting period, Plan assets totaled \$249.5 million (excluding brokerage assets), a decrease from \$255 million in the prior reporting period. The number of participants with an account balance declined from 1,188 to 1,172.

The Guaranteed Interest Account remained the Plan’s largest single holding, representing 31% of total assets (\$78 million). The T. Rowe Price Retirement target date series, the Plan’s default investment option, collectively accounted for just over 10% of total assets.

The Committee reviewed fees paid to Empower for recordkeeping and administration of the District’s Plan. The Plan operates under a level fee arrangement where fund revenue sharing payments are credited directly to the participants invested in the fund. During the Committee's review of the share classes utilized in the Plan, it was observed that, after accounting for credited revenue sharing, all funds offer participants savings compared to

using the lowest cost share class. The annualized savings from share classes amounted to approximately \$24,000.

To provide context for the performance of the investment options in the Plans, BFSG provided a brief overview of the economy and capital markets during the reporting period. The presentation was followed by a quantitative and qualitative review of the funds offered in the Plans, in accordance with the Evaluation Methodology criteria set forth in the Plan's Investment Policy Statement (the "IPS"). There were no funds on the Watch List as of the date of the Report.

*Hartford International Opportunities* - The fund was initially placed on the Watch List in December 2023 due to underperformance and a manager change. At the prior meeting, the Committee removed the fund from the Watch List following improved performance under the new manager, who has been in place since late 2023. Despite an overall Evaluation Methodology score of 53 ("underperform"), the fund outperformed its index benchmark across all time periods measured in the Report and its peers over the 5- and 10-year periods. During the quarter, an overweight to the technology sector detracted from results; however, strong stock selection within the sector helped offset some of the impact. No action was recommended.

*American Beacon Small Cap Value* – The fund's underperformance relative to its peers and benchmark for the quarter resulted in a decline in its Evaluation Methodology rank from 35 to 41 ("perform"). While it is slightly underperforming peers on a three- and ten-year basis, it continues to outperform its benchmark over the three-, five-, and ten-year periods. Underperformance during the quarter was due to sector allocation, as stock selection within the sectors contributed to relative performance. An underweight to real estate and an overweight to technology were the key detractors. During the reporting period, one of the fund's five subadvisors was replaced. BFSG noted no concerns with this change. The fund will continue to maintain an even allocation across all five sub-advisors, each employing a distinct value investing strategy.

The Committee reviewed the performance of the T. Rowe Price Retirement series and point-in-time Plan-level performance.

#### **American Airline Case Update**

The Committee members in attendance agreed to defer discussion of this item to the next meeting.

#### **Participant Education Update**

BFSG provided an update on recent and upcoming initiatives aimed at supporting participant financial wellness:

- **March 20, 2025** – BFSG conducted a live webinar titled "*Expense & Debt Management.*" Of the 53 registered participants, 28 attended. The session was recorded and provided to SCAQMD HR for internal distribution.
- **April 2025** – In recognition of Financial Literacy Month, BFSG launched a short video series focused on foundational financial topics such as budgeting, saving strategies, investing basics, credit management, and debt reduction. The series was designed to be concise and broadly accessible.
- **July 2025** – BFSG will host its annual *National Summer Webinar Series*, offering weekly sessions on key financial and retirement planning topics.
- **September 11, 2025** – BFSG is scheduled to present a session titled "*Retirement Income Needs.*"

During the reporting period, BFSG's CFPs Keith Johnson and Sophia Liu held four one-on-one sessions with SCAQMD employees.

**Quarterly Review 457 and 401(a) Plans:** Ms. Braun-Ward provided a quarterly update on the 457(b) Plan for the period ending March 31, 2025. Key highlights included Plan assets, participant demographics, cash flow, asset allocation, savings and deferral rates, participation trends, loan utilization, and the use of Empower's Lifetime Income Score tool.

- Participation remained strong at 75%, exceeding Empower's benchmark of 57%.
- The average contribution rate was 12.2%, well above the 7.3% benchmark.

- Money type utilization: 55% of participants contributed on a pre-tax basis, 29% to Roth, and 17% to both.
- Loan utilization is low, with only 6.3% of participants having an outstanding loan, compared to the 10.4% benchmark.
- The average account balance was \$211,000, significantly higher than Empower's \$82,000 benchmark.
- Managed accounts were introduced in March 2025, with 5 participants currently enrolled.

Empower's 401(a) Plan Review report was also shared with the Committee.

**Expense Budget Account Quarterly Activity Review:** The Committee reviewed the accounting activity report for the Plan Expense Budget account.

**OTHER MATTERS:**

**Public Comments** – No public comments were received.

**Other Business** – There was no other business.

**Adjournment** - The meeting adjourned at 2:08 p.m.

BOARD MEETING DATE: November 7, 2025

AGENDA NO.

PROPOSAL: Report of RFQs/RFPs Scheduled for Release in November

SYNOPSIS: This report summarizes the RFQs/RFPs for budgeted services over \$100,000 scheduled to be released for advertisement for the month of November.

COMMITTEE: Administrative, October 10, 2025, Reviewed

RECOMMENDED ACTION:

Approve the release of RFQs/RFPs for the month of November.

Wayne Natri  
Executive Officer

SJ:gp

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### **Background**

In January 2020, the Board approved a revised Procurement Policy and Procedure. Under the revised policy, RFQs/RFPs for budgeted items over \$100,000 that follow the Procurement Policy and Procedure are no longer required to obtain individual Board approval. Instead, a monthly report of all RFQs/RFPs over \$100,000 is included as part of the Board agenda package and the Board may, if desired, take individual action on any item. The attached report provides the title and synopsis of the RFQ/RFP, the budgeted funds available, and the name of the Deputy Executive Officer/Assistant Deputy Executive Officer responsible for that item. Further detail including closing dates, contact information, and detailed proposal criteria will be available online at <http://www.aqmd.gov/grants-bids> following Board approval on November 7, 2025.

### **Outreach**

In accordance with South Coast AQMD's Procurement Policy and Procedure, a public notice advertising the RFQs/RFPs 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 South Coast AQMD's own electronic listing of certified minority vendors. Notice of the RFQs/RFPs will also be emailed to the Legislative Caucuses and various minority chambers of commerce and business associations and placed on South Coast AQMD's website (<http://www.aqmd.gov>), where it can be viewed by making the selection "Grants & Bids."

**Proposal Evaluation**

Proposals received will be evaluated by applicable diverse panels of technically qualified individuals familiar with the subject matter of the project or equipment and may include outside public sector or academic community expertise.

**Attachment**

Report of RFQs/RFPs Scheduled for Release in November 2025

**November 7, 2025 Board Meeting  
Report on RFQs/RFPs Scheduled for Release on November 7, 2025**

**(For detailed information visit South Coast AQMD's website at  
<http://www.aqmd.gov/nav/grants-bids>  
following Board approval on November 7, 2025)**

**SPECIAL TECHNICAL EXPERTISE**

RFP #P2026-06      Issue Request for Proposal for Independent      Jain/2804  
Audit Services

A financial audit of the South Coast AQMD is performed annually in compliance with the Government Code and Single Audit Act Amendments of 1996. This audit is performed by independent Certified Public Accountants, and their reports are addressed to the Governing Board. This RFP is for financial audit services for fiscal years 2026, 2027, and 2028. Funds for this contract are included in the FY 2025-26 Budget and will be requested for each of the remaining fiscal years of the contract.

BOARD MEETING DATE: November 7, 2025

AGENDA NO.

REPORT: Status Report on Major Ongoing and Upcoming Projects for Information Management

SYNOPSIS: Information Management is responsible for data systems management services in support of all South Coast AQMD operations. This action is to provide the monthly status report on major automation contracts and planned projects.

COMMITTEE: Administrative, October 10, 2025, Reviewed

RECOMMENDED ACTION:  
Receive and file.

Wayne Natri  
Executive Officer

RMM:XC:DD:HL:dc

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### **Background**

Information Management (IM) provides a wide range of information systems and services in support of all South Coast AQMD operations. IM's primary goal is to provide automated tools and systems to implement rules and regulations, and to improve internal efficiencies. The annual Budget and Board-approved amendments to the Budget specify projects planned during the fiscal year to develop, acquire, enhance, or maintain mission-critical information systems.

### **Summary of Report**

The attached report identifies the major projects/contracts or purchases that are ongoing or expected to be initiated within the next six months. Information provided for each project includes a brief project description and the schedule associated with known major milestones (issue RFP/RFQ, execute contract, etc.).

### **Attachment**

Information Management Status Report on Major Ongoing and Upcoming Projects During the Next Six Months

ATTACHMENT  
November 7, 2025 Board Meeting  
Status Report on Ongoing and Upcoming Projects for  
Information Management

<b>ELECTRIC - Clean Heavy-Duty Vehicles (CHDV) Grant Program Phase 1.1</b>	
Brief description:	Develop Application Intake module and Evaluation module for Clean Heavy-Duty Vehicles (CHDV) Grant Program.
Estimated project cost	\$75,400
Overall project status	Completed
Percentage complete	100%
LAST 30 days	<ul style="list-style-type: none"> <li>• Working on going live</li> </ul>
NEXT 30 days	<ul style="list-style-type: none"> <li>• Post-Production Support</li> </ul>
Original estimated go-live date	10/17/25
Current estimated go-live date	10/17/25
Go-live date	N/A
Notes	

<b>Agenda Tracking System</b>	
Brief description:	Develop new Agenda Tracking System for submittal, review, and approval of Governing Board meeting agenda items.
Estimated project cost	\$250,000
Overall project status	In Progress
Percentage complete	85%
LAST 30 days	<ul style="list-style-type: none"> <li>• User Acceptance Testing and Training</li> </ul>
NEXT 30 days	<ul style="list-style-type: none"> <li>• Conduct Parallel Validation Testing</li> </ul>
Original estimated go-live date	11/15/24
Current estimated go-live date	11/11/25
Go-live date	N/A
Notes	

ATTACHMENT  
November 7, 2025 Board Meeting  
Status Report on Ongoing and Upcoming Projects for  
Information Management

<b>Permit Workflow Automation</b>	
Brief description:	Automate application acceptance and engineering evaluation processes into paperless workflows. This phase includes an electronic workflow that encompasses major functions of the Permit Application process.
Estimated project cost	\$250,000
Overall project status	In Progress
Percentage complete	60%
LAST 30 days	<ul style="list-style-type: none"> <li>• System Development in Progress</li> </ul>
NEXT 30 days	<ul style="list-style-type: none"> <li>• System Development in Progress</li> </ul>
Original estimated go-live date	3/14/25
Current estimated go-live date	12/26/25
Go-live date	N/A
Notes	

<b>Compliance System</b>	
Brief description:	Develop a new Compliance System to help streamline the compliance business process. The new system will provide full integration of incident management, inspection process, field operations and operations dashboard.
Estimated project cost	\$450,000
Overall project status	In Progress
Percentage complete	80%
LAST 30 days	<ul style="list-style-type: none"> <li>• System Development in Progress</li> </ul>
NEXT 30 days	<ul style="list-style-type: none"> <li>• End-User Adoption and Training</li> </ul>
Original estimated go-live date	2/28/25
Current estimated go-live date	1/6/26
Go-live date	N/A
Notes	

ATTACHMENT  
November 7, 2025 Board Meeting  
Status Report on Ongoing and Upcoming Projects for  
Information Management

<b>Carl Moyer Program GMS Phase III</b>	
Brief description:	Develop Contracting, Invoicing, and Annual Reporting modules for Carl Moyer Program web application. This system will include integration with internal South Coast AQMD systems.
Estimated project cost	\$200,000
Overall project status	In Progress
Percentage complete	85%
LAST 30 days	<ul style="list-style-type: none"> <li>• User Acceptance Testing</li> </ul>
NEXT 30 days	<ul style="list-style-type: none"> <li>• Post-Production Support</li> </ul>
Original estimated go-live date	4/10/25
Current estimated go-live date	11/11/25
Go-live date	N/A
Notes	Schedule extended to accommodate adjustments related to dependent software.

<b>Air Quality Data Platform Phase 3</b>	
Brief description:	Integrate individual data systems into a cloud-based platform for efficient data management and the creation of interactive visualizations and dashboards for web access.
Estimated project cost	\$386,800
Overall project status	In Progress
Percentage complete	40%
LAST 30 days	<ul style="list-style-type: none"> <li>• System Development in progress</li> </ul>
NEXT 30 days	<ul style="list-style-type: none"> <li>• System Development in progress</li> </ul>
Original estimated go-live date	4/22/26
Current estimated go-live date	4/22/26
Go-live date	N/A
Notes	Project is on schedule.

ATTACHMENT  
 November 7, 2025 Board Meeting  
 Status Report on Ongoing and Upcoming Projects for  
 Information Management

<b>Title V Modernization</b>	
Brief description:	Expedite and expand Title V data gathering and reporting to ICIS-Air by reusing EPA's VES service and use Shared CROMERR Services to enable a CROMERR compliant e-submittal portal.
Estimated project cost	\$75,700
Overall project status	In Progress
Percentage complete	25%
LAST 30 days	<ul style="list-style-type: none"> <li>System Development in progress</li> </ul>
NEXT 30 days	<ul style="list-style-type: none"> <li>System Development in progress</li> </ul>
Original estimated go-live date	8/4/26
Current estimated go-live date	8/4/26
Go-live date	N/A
Notes	Project is on schedule.

<b>Zoom for Government</b>	
Brief description:	Transitioning Zoom Commercial subscription to Zoom for Government for better security and compliance with federal standards.
Estimated project cost	\$110,000
Overall project status	In Progress
Percentage complete	80%
LAST 30 days	<ul style="list-style-type: none"> <li>Implementation In Progress</li> </ul>
NEXT 30 days	<ul style="list-style-type: none"> <li>Post-Production Support</li> </ul>
Original estimated go-live date	10/31/25
Current estimated go-live date	10/31/25
Go-live date	N/A
Notes	

ATTACHMENT  
November 7, 2025 Board Meeting  
Status Report on Ongoing and Upcoming Projects for  
Information Management

Projects that have been completed within the last 12 months are shown below	
COMPLETED PROJECTS	
PROJECT	DATE COMPLETED
AirNet Upgrade	August 17, 2025
ELECTRIC - Clean Heavy-Duty Vehicles (CHDV) Grant Program Phase 1	August 15, 2025
Invest Clean	August 15, 2025
New Timecard	July 23, 2025
WAIRE POP Phase V	June 26, 2025
Methyl Bromide Web Application	June 6, 2025
Digiforms	May 13, 2025
IDF Network Switch Refresh Phase 5	May 4, 2025
South Coast AQMD Mobile Application Phase 6	April 30, 2025
South Coast AQMD Telephone Directory	March 28, 2025
Website Upgrade	March 24, 2025
Forms Approval Workflow	March 11, 2025
Position Management	March 4, 2025
Rideshare Matching Application	February 26, 2025
Wildfire Monitoring	February 21, 2025
School Bus GMS	February 5, 2025
West KM	January 24, 2025
Rule 1109.1 - B-Cap Reporting	January 16, 2025
AB2766 for reporting year 2024	December 31, 2024
Annual Emissions Reporting for reporting year 2024	December 31, 2024
Warehouse Indirect Source Rule Online Reporting Portal Phase 4	November 21, 2024

BOARD MEETING DATE: November 7, 2025

AGENDA NO.

**PROPOSAL:** Issue Purchase Order for Ingres Relational Database Management System Software Support and Appropriate Funds for Information Management

**SYNOPSIS:** The Ingres Relational Database Management System is used for the implementation of the Central Information Repository database. This database is used by most enterprise-level software applications at South Coast AQMD and currently supports a suite of client/server and web-based applications known collectively as the Clean Air Support System (CLASS). CLASS applications which are used to support South Coast AQMD's core activities. Licensing, maintenance, and support for this software expires on November 29, 2025. This action is to obtain approval for either a one or three year Purchase Order with Actian Corporation to renew Ingres licensing, maintenance and support. The final purchase cost will be determined through negotiations. In addition, this action is to appropriate funds to Information Management's FY 2025-26 budget to cover any necessary purchase shortage.

**COMMITTEE:** Administrative, October 10, 2025; Recommended for Approval

**RECOMMENDED ACTION:**

1. Authorize the Procurement Manager to issue a purchase order to Actian Corporation for either a one- or three -years Purchase Order for Ingres Relational Database Management System software licensing, maintenance and support; and
2. Authorize the appropriation of funds from the General Fund Undesignated (Unassigned) Fund Balance to the Information Management 2025-26 Budget (Org 27), Services & Supplies Major Object, Professional & Special Services account, in an amount not to exceed, \$XXX.

Wayne Natri  
Executive Officer

WN:RM:HL:jg

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**Background**

South Coast AQMD has used the Actian Ingres Relational Database Management

System (RDBMS) software since 2000. On October 7, 2022, South Coast AQMD board approved to issue a purchase order for Ingres Relational Database Management System for a period of 3 years, from November 30, 2022 to November 29, 2025. The Ingres purchase includes software licensing for updates and enhancements, and maintenance support for technical assistance, troubleshooting, repairs for operating difficulties, system failures, Ingres-related problems, and other system issues. South Coast AQMD was presented with a proposed three-year renewal cost that is substantially higher than the existing three-year agreement, and the final purchase cost for a three-year or possibly a one-year agreement will be determined through negotiations.

The RDBMS software runs on three database servers for production, development and ad hoc reporting. The production server hosts the Central Information Repository database. This database supports a collection of more than 30 client/server and web-based applications known as the Clean Air Support System (CLASS). The CLASS application suite supports permit administration and processing of equipment-based and facility-based permits; emissions offsetting, monitoring and inventory management for NSR, RECLAIM and annual emission reporting operations; compliance-related complaint, inspection, assignment, notification, investigation and settlement operations; and financial accounts. The development server supports software development for CLASS and other applications accessing the Central Information Repository. The decision support server supports CLASS system ad-hoc query and reporting and web-based inquiry applications. These applications are an integral component of South Coast AQMD's day-to-day operations. Given this dependency, we are requesting Board approval to proceed with a renewal of the agreement at the new rate to ensure business continuity.

### **Sole Source Justification**

Section VIII.B.2 of the Procurement Policy and Procedure identifies circumstances under which a sole source purchase award may be justified. This request for a sole source award is made under provision VIII.B.2.c.(2) because the project involves the use of proprietary technology, and provision VIII.B.2.c.(3) because the contractor has ownership of key assets required for project performance. Actian Corporation is the sole manufacturer and provider of this software and therefore the only source for its maintenance and support licensing agreements.

### **Proposal**

This action is to authorize the Procurement Manager to issue a purchase order for Ingres Relational Database Management System software licensing, maintenance, and support to Actian Corporation and appropriate additional funds from the General Fund Undesignated (Unassigned) Fund Balance to Information Management FY 2025-26 Budget.

### **Resource Impacts**

The FY 2025-26 Information Management Budget includes \$792,000 under the

Services and Supplies Major Object, Professional and Special Services account. An appropriation of additional funds may be requested to address the remaining funding requirement for this purchase.



BOARD MEETING DATE: November 7, 2025

AGENDA NO.

**PROPOSAL:** Issue Purchase Order for Ingres Relational Database Management System Software Support and Appropriate Funds for Information Management

**SYNOPSIS:** The Ingres Relational Database Management System is used for the implementation of the Central Information Repository database. This database is used by most enterprise-level software applications at South Coast AQMD and currently supports a suite of client/server and web-based applications known collectively as the Clean Air Support System (CLASS). CLASS applications which are used to support South Coast AQMD's core activities. Licensing, maintenance, and support for this software expires on November 29, 2025. This action is to obtain approval for either a one or three year Purchase Order with Actian Corporation to renew Ingres licensing, maintenance and support. The final purchase cost will be determined through negotiations. In addition, this action is to appropriate funds to Information Management's FY 2025-26 budget to cover any necessary purchase shortage.

**COMMITTEE:** Administrative, October 10, 2025; Recommended for Approval

**RECOMMENDED ACTION:**

1. Authorize the Procurement Manager to issue a purchase order to Actian Corporation for either a one- or three -years Purchase Order for Ingres Relational Database Management System software licensing, maintenance and support; and
2. Authorize the appropriation of funds from the General Fund Undesignated (Unassigned) Fund Balance to the Information Management 2025-26 Budget (Org 27), Services & Supplies Major Object, Professional & Special Services account, in an amount not to exceed, \$XXX.

Wayne Natri  
Executive Officer

WN:RM:HL:jg

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**Background**

South Coast AQMD has used the Actian Ingres Relational Database Management

System (RDBMS) software since 2000. On October 7, 2022, South Coast AQMD board approved to issue a purchase order for Ingres Relational Database Management System for a period of 3 years, from November 30, 2022 to November 29, 2025. The Ingres purchase includes software licensing for updates and enhancements, and maintenance support for technical assistance, troubleshooting, repairs for operating difficulties, system failures, Ingres-related problems, and other system issues. South Coast AQMD was presented with a proposed three-year renewal cost that is substantially higher than the existing three-year agreement, and the final purchase cost for a three-year or possibly a one-year agreement will be determined through negotiations.

The RDBMS software runs on three database servers for production, development and ad hoc reporting. The production server hosts the Central Information Repository database. This database supports a collection of more than 30 client/server and web-based applications known as the Clean Air Support System (CLASS). The CLASS application suite supports permit administration and processing of equipment-based and facility-based permits; emissions offsetting, monitoring and inventory management for NSR, RECLAIM and annual emission reporting operations; compliance-related complaint, inspection, assignment, notification, investigation and settlement operations; and financial accounts. The development server supports software development for CLASS and other applications accessing the Central Information Repository. The decision support server supports CLASS system ad-hoc query and reporting and web-based inquiry applications. These applications are an integral component of South Coast AQMD's day-to-day operations. Given this dependency, we are requesting Board approval to proceed with a renewal of the agreement at the new rate to ensure business continuity.

### **Sole Source Justification**

Section VIII.B.2 of the Procurement Policy and Procedure identifies circumstances under which a sole source purchase award may be justified. This request for a sole source award is made under provision VIII.B.2.c.(2) because the project involves the use of proprietary technology, and provision VIII.B.2.c.(3) because the contractor has ownership of key assets required for project performance. Actian Corporation is the sole manufacturer and provider of this software and therefore the only source for its maintenance and support licensing agreements.

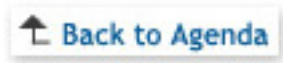
### **Proposal**

This action is to authorize the Procurement Manager to issue a purchase order for Ingres Relational Database Management System software licensing, maintenance, and support to Actian Corporation and appropriate additional funds from the General Fund Undesignated (Unassigned) Fund Balance to Information Management FY 2025-26 Budget.

### **Resource Impacts**

The FY 2025-26 Information Management Budget includes \$792,000 under the

Services and Supplies Major Object, Professional and Special Services account. An appropriation of additional funds may be requested to address the remaining funding requirement for this purchase.



BOARD MEETING DATE: November 7, 2025

AGENDA NO.

PROPOSAL: Authorize Purchase of CrowdStrike Protection Services

SYNOPSIS: South Coast AQMD currently utilizes CrowdStrike Protection Services to safeguard agency systems against viruses, malware, identity threats, and other modern cyber threats, thereby reducing the likelihood of costly data breaches. This action is to obtain approval for a one-year period with CrowdStrike for a total amount not to exceed \$108,000. Funding for this purchase is included in the FY 2025-26 Budget for Information Management.

COMMITTEE: Administrative, Oct 10, 2025; Reviewed

**RECOMMENDED ACTION:**

Authorize the Procurement Manager to purchase CrowdStrike Services and execute all necessary documents for this purchase for a one-year period at an estimated cost of \$108,000.

Wayne Natri  
Executive Officer

RMM:CW:tm

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**Background**

CrowdStrike is a global cybersecurity leader that provides a cloud-native platform for protecting critical areas of enterprise risk. Since August 2018, South Coast AQMD has utilized CrowdStrike’s protection services to safeguard agency systems against viruses, malware, and other modern cyber threats, thereby reducing the likelihood of costly computer system breaches.

Today’s dynamic and expansive Information Technology (IT) environment, including cloud adoption, remote work, and third-party access, has significantly expanded the agency’s digital boundaries, increasing exposure to emerging cyber threats. Maintaining CrowdStrike protection services is essential to safeguard South Coast AQMD’s computer systems and accounts, strengthen agency resilience against cyberattacks, enable faster responses to real-time threats, automate remediation to reduce the risk of

data breaches, and improve operational efficiency while reducing compliance and support costs.

The estimated annual subscription cost for CrowdStrike protection services is \$108,000. Funding for this purchase is included in the FY 2025-26 Budget for Information Management.

**Proposal**

In accordance with South Coast AQMD’s Administrative Policies and Procedures Number 35, bids were solicited from firms on the List of Prequalified Vendors to provide computer, network, printer hardware and software, and desktop computer hardware upgrades. Bids were also sought through vendor master agreements, cooperative agreements, and other interagency agreements with governmental entities to ensure the best available pricing. The prequalified vendor list was approved by the Board on February 2, 2024, and remains in effect through February 2, 2026.

This action is to authorize the Procurement Manager to execute a purchase order for CrowdStrike Protection Services with the vendor offering the lowest-cost bid for the annual subscription fee.

**Resource Impacts**

Sufficient funds are included in the FY 2025-26 Budget.



BOARD MEETING DATE: November 7, 2025

AGENDA NO.

**PROPOSAL:** Appropriate Funding for Permitting Enhancement Program (PEP) Legacy System Replacement

**SYNOPSIS:** In April 2023, Chair Delgado introduced the Permitting Enhancement Program (PEP) with the goal of reducing the permit inventory and modernizing the permitting process platform to improve application processing and issuance timelines. The current legacy permitting software systems, which are more than 25 years old, require replacement. The initial phase of this effort, focused on developing a modern workflow framework, is near completion and was presented to the Board as part of the PEP update on October 3, 2025. As outlined in that presentation, additional funding is needed to move into the next phase to replace and integrate three legacy applications into the computer infrastructure. This action is to transfer and appropriate up to \$750,000 from the General Fund Undesignated (Unassigned) to Information Management’s FY 2025-26 and/or FY 2026-27 Budgets for the replacement of legacy applications.

**COMMITTEE:** Administrative, October 10, 2025; Recommended for Approval

**RECOMMENDED ACTION:**

1. Appropriate \$750,000 from the General Fund Undesignated (Unassigned) Fund Balance to Information Management’s FY 2025-26 and/or FY 2026-27 Budget for Services & Supplies and/or Capital Outlays Major Objects for the replacement of legacy applications.

Wayne Nastri  
Executive Officer

WN:RM:XC:jg

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**Background**

In April 2023, Chair Delgado introduced the Permitting Enhancement Program (PEP)

with the goal of reducing the permit inventory and modernizing the permitting process platform to improve application processing and issuance timelines. The current legacy permitting software systems, which are more than 25 years old, lack the ability to track workflow throughout the entire permit application lifecycle, are inflexible to changing requirements, require printing and scanning of documents, and do not integrate with existing programs easily. South Coast AQMD's Information Management team has been working on the initial phase of modernizing the permit processing platform through the development of a modern workflow framework which is near completion and was presented to the Board as part of the PEP update on October 3, 2025. As outlined in that presentation, additional funding is needed to move into the next phase to replace and integrate three legacy applications into the computer infrastructure.

The first legacy system identified for replacement is the New Source Review (NSR) system. South Coast AQMD's New Source Review rules, outlined in Regulation XIII, ensure that as new or modified equipment come into the Basin, they do not adversely impact progress towards attainment of National Ambient Air Quality Standards. New Source Review requires the installation of Best Available Control Technology (BACT) for projects that increase emissions and mandates emission offsets through Emission Reduction Credits to balance pollution. The current legacy system tracks the steps, data, and compliance activities required under New Source Review.

The second legacy system slated for replacement is the Facility Permit (FP) system. South Coast AQMD's RECLAIM (Regional Clean Air Incentives Market) program is a market-based emissions trading system established in 1994 to reduce nitrogen oxides (NOx) and sulfur oxides (SOx) from large industrial sources in the South Coast Air Basin. Under RECLAIM, facilities have an allocation of emissions that decline over time and facilities must reconcile actual emissions with their allocation of emissions or RECLAIM Trading Credits. To support RECLAIM, the FP system was developed to implement a single Facility Permit that consolidates all equipment and emissions into one document, streamlining compliance and recordkeeping. The Facility Permit is also utilized by certain Title V facilities.

The third legacy system slated for replacement is the Permit Processing System (PPS). PPS was developed to manage the creation of air quality permits by capturing information related to emission sources, generating permit conditions, applying standardized wording templates, and facilitating the issuance and printing of permits.

These three legacy systems were developed more than 25 years ago using technologies that are now obsolete and increasingly difficult to use, maintain, and enhance. The next phase will involve analyzing the existing systems to identify functionalities that must be migrated and integrated into the new Permit Engineering Portal (PEP) framework, as well as those that require enhancement before integration. The goal is to build a centralized digital platform to manage the intake, evaluation, and issuance of air quality permits. This platform will allow applicants to submit permit applications, engineering

data, and emission calculations online, while enabling agency staff to review technical details, apply regulatory requirements (e.g., BACT, NSR), and track application status. The system will support automated workflows, emissions modeling, fee calculation, and document management. It will also ensure consistency in permit conditions, facilitate public notifications when required, and maintain a permanent record of all permit actions. Post-permit, the system will track compliance deadlines, renewals, inspections, and modifications. Ultimately, the new platform will improve efficiency, transparency, and accountability in the permitting process while supporting the agency's mission to reduce air pollution.

### **Proposal**

Staff recommends the transfer and appropriation of \$750,000 from the General Fund Undesignated (Unassigned) Fund Balance to Information Management 2025-26 and/or 2026-2027 Budget for Services & Supplies and/or Capital Outlays Major Objects to initiate work on the next phase to update and then integrate these three key programs into the new platform. This effort will be designed and managed internally and built using third-party resources; importantly, the final product will be fully owned by South Coast AQMD, ensuring long-term control, flexibility for future enhancements, and the elimination of ongoing licensing fees or vendor lock-in.

### **Resource Impacts**

Sufficient funding will be available in Information Management's FY 2025-26 and/or FY 2026-27 Budget upon approval of the transfer and appropriation of \$750,000 from the General Fund Undesignated (Unassigned) Fund Balance. It is anticipated that the total cost for the next phase will be approximately \$1,500,000. Additional funds will be included in future fiscal year budgets, if needed.

### **Benefits**

Modernizing the permitting computer system is critical to increasing permit processing production rates and to achieve the goals set out to enhance South Coast AQMD's existing permitting program. When completed, the new system will be paperless, incorporate workflow, include internal and external facing dashboards, add the ability to conduct data analytics to identify bottlenecks and ensure cost recovery, be more agile and flexible to changing regulatory needs, and increase permit processing production rates.

BOARD MEETING DATE: November 7, 2025

AGENDA NO.

**PROPOSAL:** Transfer and Appropriate Funds and Issue Solicitation and Purchase Orders for Community Air Monitoring Near Refineries and Related Facilities

**SYNOPSIS:** In January 2024, the Board amended Rule 1180 and adopted Rule 1180.1, which requires petroleum refineries, other refineries, and related facilities to fund the installation and operation of fence-line and community air monitoring systems. For this purpose, in October 2024, the Board recognized revenue of up to \$5,227,692 and up to \$2,309,469 for Rules 1180 and 1180.1, respectively, into the Rule 1180 Special Revenue Fund (78). These actions are to transfer and appropriate up to \$2,900,800, subject to the availability of funds, from the Rule 1180 Special Revenue Fund (78) and appropriate up to \$471,000 from the General Fund Undesignated (Unassigned) to the Monitoring and Analysis FY 2025-26 and/or FY 2026-27 Budgets, and also to issue a solicitation and purchase orders for air monitoring equipment to meet the operational needs of the community air monitoring systems.

**COMMITTEE:** Administrative, October 10, 2025; Recommended for Approval

**RECOMMENDED ACTIONS:**

1. Transfer and appropriate up to \$1,500,000 from the Rule 1180 Special Revenue Fund (78) to the Monitoring and Analysis (MAD) FY 2025-26 and/or 2026-27 Budgets (Org 42), Capital Outlays Major Object, as shown in Table 1;
2. Upon receipt of funds, transfer and appropriate up to \$1,400,800 from the Rule 1180 Special Revenue Fund (78) to the Monitoring and Analysis (MAD) FY 2025-26 and/or 2026-27 Budgets (Org 42), Capital Outlays (up to \$945,000) and Services & Supplies (up to \$455,800) Major Object, as shown in Tables 1 and 2;
3. Appropriate up to \$471,000 from the General Fund Undesignated (Unassigned) fund balance for Rule 1180 activities to MAD's FY 2025-26 and/or 2026-27 Budgets (Org 42), Capital Outlays Major Object (up to \$300,000) and Services and Supplies (up to \$171,000), as indicated in Tables 1 and 2;

4. Authorize the Procurement Manager, in accordance with South Coast AQMD's Procurement Policy and Procedure, to issue a solicitation, and based on the results of this solicitation, execute a purchase order for the development and installation of full station power back-up systems in an amount not to exceed \$300,000, as listed in Table 1 and as described in this Board letter; and
5. Authorize the Procurement Manager, in accordance with South Coast AQMD's Procurement Policy and Procedure, to issue sole source purchase orders for the equipment listed in Tables 1 and 2 in this Board letter:

Wayne Nastri  
Executive Officer

JCL:AP:OP:ld:ir:kdl

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### **Background**

Rule 1180 - Refinery Fenceline and Community Air Monitoring was adopted by the Board in December 2017 and requires all seven major petroleum refineries in the South Coast Air Basin (Basin) to measure the ambient levels of various air pollutants at their fenceline and notify the public if the concentration of any measured pollutant is above predetermined threshold levels. Rule 1180 also establishes a fee schedule for these refineries to fund the installation, operation, and maintenance of community air monitoring stations that are operated by South Coast AQMD, to provide air quality information and notifications to the public. The requirements of Rule 1180 apply to the following seven refineries:

- Tesoro Refining & Marketing Company, LLC, Carson;
- Tesoro Refining & Marketing Company, LLC, Wilmington;
- Torrance Refining Company, LLC, Torrance;
- Chevron Products Company, El Segundo;
- Phillips 66 Company, Los Angeles Refinery, Carson;
- Phillips 66 Company, Los Angeles Refinery, Wilmington; and
- Valero Wilmington Refinery (permitted as Ultramar, Inc.), Wilmington.

The Rule 1180 refinery fenceline and community air monitoring network has been in operation since January 2020. Novel optical remote sensing (ORS), automated gas chromatography, and traditional analyzers have been installed at multiple fenceline and community air monitoring sites, making this network the first of its kind in terms of complexity and technology deployed.

In January 2024, the Board approved amendments to Rule 1180, which includes additional air monitoring requirements for air toxic metals and particulate matter at the

fenceline of the original seven Rule 1180 facilities. The amended rule also requires the development and installation of new fenceline air monitoring systems at the following refinery-related facilities (related facilities):

- Air Products and Chemicals, Inc., Carson;
- Air Products and Chemicals, Inc., Wilmington;
- Tesoro Refining and Marketing Co., LLC (Sulfur Recovery Plant);
- Kinder Morgan Liquids Terminals, LLC; and
- Tesoro Logistics, Carson Crude Terminal.

Also, in January 2024, the Board adopted Rule 1180.1, which requires fenceline air monitoring for three other refineries in the Basin, namely:

- AltAir Paramount, LLC;
- LTR dba World Oil Refining; and
- Valero Wilmington Asphalt Plant.

Rules 1180 and 1180.1 establish fee schedules to fund the addition of air toxic metals and particulate matter monitoring at community sites near the original seven Rule 1180 refineries, and the planning and implementation of community air monitoring stations near new facilities. Rule 1180 payments totaling \$3,765,960 from the seven major petroleum refineries for the implementation of metals and particulate matter monitoring were received in January 2025. Rule 1180 and 1180.1 payments totaling \$1,461,732 and \$2,309,469, respectively, from related facilities and other refineries for the planning and implementation of additional community air monitoring stations are to be received in two installments (the first installment totaling \$1,131,359 was received in January 2025, and the second installment totaling \$2,639,842 will be received by January 31, 2026). The facilities subject to Rules 1180 and 1180.1 will also fund ongoing operation and maintenance of community air monitoring through future amendments to Rule 301 – Fees.

### **Proposal**

These actions are to transfer and appropriate up to \$2,900,800 in aggregate from the Rule 1180 Special Revenue Fund (78) for Rule 1180 and 1180.1, subject to the availability of funds, and appropriate up to \$471,000 from the General Fund Undesignated (Unassigned) fund balance for Rule 1180 to MAD’s FY 2025-26 and/or FY 2026-27 Budgets (Org 42) Capital Outlays and Services & Supplies Major Object, as shown in Tables 1 and 2. These actions are also to authorize the Procurement Manager to issue a solicitation and purchase orders as described below and listed in Tables 1 and 2.

### Proposed Purchase Through Solicitation

#### *Battery Back-up Systems*

The Rule 1180 community air monitoring stations are equipped with advanced air monitoring equipment for monitoring over 20 air pollutants in near real-time and for issuing community air quality notifications. These stations are also air-conditioned to maintain optimal operating temperatures for air monitoring equipment and to protect each equipment from excessive heat. Comprehensive full station battery power back-up systems will ensure continued operation of these community air monitoring stations in case of prolonged power outages and will protect each instrumentation from possible damage due to extreme heat or sudden loss of power. Additionally, a large area-wide power outage could potentially impact fenceline air monitoring systems and also refinery operations, resulting in unplanned emissions. Battery back-up systems will allow continued air quality measurements during these crucial times. The battery back-up system will also allow the stations to shift electrical usage from peak hours to off-peak hours which can create savings of up to \$5,000 per year on electricity costs across the Rule 1180 community air monitoring network. This action is to issue a solicitation for the development and installation of up to 10 full station battery power back-up systems for the existing Rule 1180 community air monitoring stations. This action is also to execute a purchase order in an amount not to exceed \$300,000, based on the results of the solicitation, as listed in Table 1

### Proposed Purchase Through Sole Source

New air monitoring equipment listed below is needed to conduct community air monitoring at up to five new community air monitoring stations, as required by Rules 1180 and 1180.1. The equipment technical specifications are consistent with those already in operation within the existing South Coast AQMD community network for Rule 1180 monitoring.

#### *Optical Multi-Pollutant Analyzers*

Optical multi-pollutant analyzers will be used for continuous real-time monitoring of a suite of VOCs and air toxics required by Rules 1180 and 1180.1. This data will also be used to issue community air quality notifications. This purchase of up to five optical multi-pollutant analyzers from FluxSense will not exceed \$1,500,000, as listed in Table 1.

#### *Auto-GCs*

Auto-GCs will be used to measure hourly concentrations of VOCs and air toxics to track community air quality trends. This purchase of up to five Auto-GCs from Tricorntech will not exceed \$500,000, as listed in Table 1.

### *H2S Analyzers*

H2S analyzers will be used for continuous real-time monitoring of H2S. Data will also be used to issue community air quality notifications. This purchase of up to five H2S analyzers from Teledyne will not exceed \$120,000, as listed in Table 1.

### *PM Monitors*

PM monitors will be used for continuous real-time monitoring of PM2.5 and PM10, and issuance of community air quality notifications at Rule 1180.1 community air monitoring stations. This purchase of up to three PM monitors from Teledyne will not exceed \$105,000, as listed in Table 1.

### *Zero Air Generators*

Zero air generators will be used to supply clean air to the analyzers installed at the new Rules 1180 and 1180.1 community air monitoring stations. This purchase of up to five zero air generators from Teledyne will not exceed \$60,000, as listed in Table 1.

### *Gas Dilution Systems*

Gas dilution systems will be used for automated quality control of the analyzers installed at the new Rules 1180 and 1180.1 community air monitoring stations. This purchase of up to five gas dilution systems from Teledyne will not exceed \$85,000, as listed in Table 1.

### *Data Loggers*

Specialized data loggers will be used to store and transmit data at air monitoring stations. This purchase of up to five data loggers from Agilaire will not exceed \$75,000, as listed in Table 1.

### *Services and Supplies*

These funds will be used for costs associated with Services and Supplies needed to establish five new community air monitoring stations, as required by Rules 1180 and 1180.1. These costs include leases, permits, power installation, communication setup for these new sites, and also includes other costs for services such as acceptance testing, installation and commissioning of air monitoring equipment, and also staff training. The cost of these services and supplies will not exceed \$455,800, as listed in Table 2.

### *Annual Consumable Supplies, Quality Assurance Service, and Software License*

Optical multi-pollutant analyzers manufactured by FluxSense are deployed at all Rule 1180 community air monitoring sites for measuring a comprehensive array of VOCs and other air toxics, and also for providing real-time community air quality notifications. The consumables, consisting of specialized light sources, are required to ensure routine uninterrupted performance of the optical multi-pollutant analyzers. Quality assurance services and software licenses are also required to ensure timely review and verification of real-time data and community air quality notifications

provided to the communities near the refineries and facilities subject to Rules 1180 and 1180.1. FluxSense is the sole source provider of these items due to the use of proprietary technology and their unique qualifications. The cost of annual consumable supplies, including installation, quality assurance services, and software license purchased from FluxSense will not exceed \$49,000, \$70,000, and \$52,000 respectively, as shown in Table 2.

**Sole Source Justification**

Section VIII.B.2 of the Procurement Policy and Procedure identifies four major provisions under which a sole source award may be justified. The request for sole source purchases from FluxSense, Tricorntech, Teledyne, and Agilaire are made under Sections VIII.B.2.c (1): The unique experience and capabilities of the proposed contractor; VIII.B.2.c (2): The project involves the use of proprietary technology; and VIII.B.2.d (6): Projects requiring compatibility with existing specialized equipment. There are no other vendors who can provide the equipment, supplies, software, and services that fully meet all required specifications to satisfy Rule 1180 air monitoring requirements, and that are compatible with existing specialized equipment already in operation.

**Benefits to South Coast AQMD**

The expansion of community air monitoring stations will allow South Coast AQMD to fulfill the new requirements in the amended Rule 1180 and newly adopted Rule 1180.1. This will result in benefits to the communities and people working and residing in the Basin near refineries and related facilities. California Health and Safety Code § 42705.6 requires petroleum refineries to fund the costs of refinery-related community air monitoring.

**Resource Impacts**

Initial and final payments are required from petroleum and other refineries, and related facilities under Rule 1180 and Rule 1180.1 to provide sufficient funding for additional community air monitoring in properly implementing these rules. Amendments to Rule 301 will provide resources for ongoing community air monitoring operation and maintenance near facilities subject to Rule 1180 and 1180.1. The most recent Rule 301 amendment has been presented to the Board for approval in October 2025.

**Attachments**

- Table 1: Proposed Capital Outlays Expenditures for Rules 1180 and 1180.1 for FY 2025-26 and/or FY 2026-27
- Table 2: Proposed Services & Supplies Expenditures for Rules 1180 and 1180.1 for FY 2025-26 and/or 2026-27

**Table 1**  
**Proposed Capital Outlays Expenditures for Rules 1180 and 1180.1**  
**for FY 2025-26 and/or 2026-27**

Description	Qty	Appropriation from Rule 1180 Special Revenue Fund (78) First Installment	Appropriation from Rule 1180 Special Revenue Fund (78) Second Installment	Appropriation from Prior Years Budget Savings	Rule	Procurement Method
Battery Back-up Systems*	10			\$300,000	1180: refineries	Solicitation
Optical Multi-Pollutant Analyzer*	2	\$600,000			1180: related facilities	Sole Source
	3	900,000			1180.1	
Auto-GC	2		\$200,000		1180: related facilities	Sole Source
	3		300,000		1180.1	
H2S Analyzer	2		48,000		1180: related facilities	Sole Source
	3		72,000		1180.1	
PM Monitors	3		105,000		1180.1	Sole Source
Zero Air Generator	2		24,000		1180: related facilities	Sole Source
	3		36,000		1180.1	
Gas Dilution System	2		34,000		1180: related facilities	Sole Source
	3		51,000		1180.1	
Data Logger	2		30,000		1180: related facilities	Sole Source
	3		45,000		1180.1	
<b>Total</b>		<b>Up to \$1,500,000</b>	<b>Up to \$945,000</b>	<b>Up to \$300,000</b>		

\*Expenditures may be appropriated to Services & Supplies or Capital Outlays Major Object, as warranted.

**Table 2**  
**Proposed Services & Supplies Expenditures for Rules 1180 and 1180.1**  
**for FY 2025-26 and/or 2026-27**

Description	Appropriation from Rule 1180 Special Revenue Fund (78) Second Installment	Appropriation from Prior Years Budget Savings	Rule
Various Services & Supplies Categories*	\$182,320		1180: related facilities
	273,480		1180.1
Annual Consumables for Optical Multi-Pollutant Analyzers**		\$49,000	1180: refineries
Annual Quality Assurance Services for Optical Multi-Pollutant Analyzers**		70,000	1180: refineries
Annual Software License Renewal for Optical Multi-Pollutant Analyzers**		52,000	1180: refineries
<b>Total</b>	<b>Up to \$455,800</b>	<b>Up to \$171,000</b>	

\*Expenditures may be appropriated to Services & Supplies or Capital Outlays Major Object, as warranted.

\*\*Sole Source Procurement.

BOARD MEETING DATE: November 7, 2025

AGENDA NO.

PROPOSAL: Issue Purchase Orders for Air Monitoring Equipment

SYNOPSIS: South Coast AQMD received \$676,000 from U.S. EPA for the PM2.5 Monitoring Program to meet federal monitoring requirements. This ongoing program provides for the operation of the PM2.5 monitoring network within the boundaries of South Coast AQMD. The amount provided by U.S. EPA is less than what was previously anticipated and recognized by the Board. This action supersedes that earlier recognition and adjusts how the funds are spent by authorizing purchase orders for air monitoring equipment based on the final award amount.

COMMITTEE: Administrative, October 10, 2025; Recommended for Approval

**RECOMMENDED ACTION:**

Authorize the Procurement Manager, in accordance with South Coast AQMD's Procurement Policy and Procedure, to issue a sole source purchase order for up to five Met One Speciated PM2.5 SASS samplers not to exceed \$115,000 as listed in Table 1.

Wayne Nastri  
Executive Officer

JCL:AP:RMB:ld:ir

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**Background**

Since 1998, U.S. EPA has provided funds under Section 103 for a comprehensive PM2.5 Air Monitoring Program. This Program includes the operation of 22 Federal Reference Method (FRM) PM2.5 monitors along with 20 Federal Equivalent Method (FEM/Non-FEM) PM2.5 continuous monitors located within 19 ambient air monitoring stations. In addition, U.S. EPA supports the ongoing collection of PM2.5 mass and chemical speciation data at four sites within the Basin. Chemical speciation of PM2.5 provides critical information to characterize particle sources, assess air quality conditions, and health impacts.

On June 6, 2025, the Board recognized and appropriated an anticipated amount of \$760,000 for the annual PM2.5 program. Subsequently, South Coast AQMD received \$676,000 from U.S. EPA for the continuation of the PM2.5 program through March 31, 2026. The new allocation, which is included as Attachment 1, supersedes the June 2025 Board letter.

**Proposal**

*Met One Speciated PM2.5 SASS Samplers*

The current Met One Speciated PM2.5 SASS samplers, which are more than 15 years old, measure fine particulate matter (PM2.5) and identify its chemical components (such as sulfates, nitrates, organic carbon, and metals). Replacing these units with newer flow-controlled units will improve the accuracy and completeness needed to continue meeting U.S. EPA PM2.5 Chemical Speciation Network (CSN) program requirements. The estimated cost for up to five Met One Speciated PM2.5 SASS samplers is \$115,000 (see Table 1). The purchase will be made through a sole source purchase process.

**Sole Source Justification**

Sole Source Justification Section VIII.B.3 of South Coast AQMD’s Procurement Policy and Procedure identifies four major provisions under which a sole source award funded in whole or in part with federal funds may be justified. Specifically, this request for sole source award is made under provision VIII.B.3.a., the item is available only from a single source. The Met One Speciated PM2.5 SASS Sampler is the only instrument utilized as part of the CSN program that satisfies U.S. EPA collocation requirements.

**Resource Impacts**

U.S. EPA Section 103 Grant funding will support the continuation of the PM2.5 Program, including equipment, and services and supplies necessary to meet the program objectives.

**Table 1  
Proposed Purchase through Sole Source Purchase Order**

<b>Description</b>	<b>Qty</b>	<b>Funding Source</b>	<b>Estimated Amount</b>
Met One Speciated PM2.5 SASS Samplers	Up to five	PM2.5 FY 2025-26	\$115,000
<b>Total</b>			<b>\$115,000</b>

**Attachment**

Proposed PM2.5 Expenditures for FY 2024-25 and/or FY 2025-26

**Attachment 1**

**Proposed PM2.5 Expenditures for FY 2024-25 and/or FY 2025-26**

<b>Account Description</b>	<b>Account Number</b>	<b>Program Code</b>	<b>Estimated Expenditures</b>
<b>Services &amp; Supplies Major Object:</b>			
Rents and Leases Structure	67350	47500	\$3,000
Maintenance of Equipment	67600	47500	\$40,000
Building Maintenance Operation	67650	47500	\$1,000
Laboratory Supplies	68050	47500	\$33,500
Office Expense	68100	47500	\$2,500
Small Tools, Instruments, Equipment	68300	47500	\$20,000
<b>Total Services &amp; Supplies Major Object:</b>			<b>\$100,000</b>
<b>Capital Outlay Major Object:</b>			
Met One Speciated PM2.5 SASS Samplers (up to five)	77000	47500	\$115,000
<b>Total Capital Outlay Major Object:</b>	77000	47500	<b>\$115,000</b>
<b>Total Appropriations</b>			<b>\$215,000</b>

Note: Salaries and Benefits in the amount of \$461,000 are already included in the FY 2024-25 and/or FY 2025-26 Budget.

BOARD MEETING DATE: November 7, 2025

AGENDA NO.

**PROPOSAL:** Authorize Executive Officer to Enter Into Grant Services Agreement With Placer County Air Pollution Control District and Recognize Revenue

**SYNOPSIS:** Under AB 102, CARB was allocated \$10,000,000 to provide incentive funds to assist with the transition from the use of hexavalent chromium in plating operations to non-toxic alternatives. CARB has subsequently contracted with Placer County Air Pollution Control District (APCD) to assist with implementing a Statewide incentive program for this transition. Under the CARB grant, Placer County APCD can contract with local air districts for local outreach and support services. Based on the number of South Coast AQMD eligible facilities, the contract amount can be up to \$198,113 for South Coast AQMD staff to outreach and support services.

**COMMITTEE:** Administrative Committee, October 10, 2025; Recommended for Approval

**RECOMMENDED ACTIONS:**

1. Authorize the Executive Officer to accept the terms and conditions and fulfill the requirements of the Hexavalent Chromium Funding Program and execute a contract with Placer County Air Pollution Control District (APCD) to assist with implementation of a statewide chrome plating facility incentive program in an amount not to exceed \$198,113 for staff time from the General Fund (01); and
2. Recognize revenue, upon receipt, up to \$198,113 from Placer County APCD to the General Fund (01).

Wayne Natri  
Executive Officer

SR:MK:KC:ML:TT

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**Background**

Under Assembly Bill 102 (AB 102) the California legislature has appropriated \$10,000,000 to CARB to eliminate hexavalent chromium emissions from plating

operations by assisting with the transition away from the use of hexavalent chromium. CARB has subsequently contracted with the Placer County APCD to administer the program, including contracting with local facilities to fund eligible projects that reduce hexavalent chromium emissions. Under the CARB contract with Placer County APCD, local air districts can provide local outreach and support services and be reimbursed for staff time and other costs. A contract is needed between South Coast AQMD and Placer County APCD to allow for reimbursement of staff time and other costs. Based on the number of South Coast AQMD eligible facilities, the contract amount for staff time can be up to \$198,113.

**Proposal**

Staff recommends the Board authorize the Executive Officer to enter into a grant services agreement with Placer County APCD in an amount not to exceed \$198,113 and to recognize revenue. Under this contract, South Coast AQMD will work with Placer County APCD and local facilities to assist with program outreach and implementation.

**Benefits to South Coast AQMD**

The successful implementation of this program would result in the early phase-out of hexavalent chromium use in chrome plating facilities.

**Resource Impacts**

This contract is to reimburse staff time for implementation of the incentive grant and will not require additional budget resources. Reimbursement from Placer County APCD will be placed in General Fund (01).

BOARD MEETING DATE: November 7, 2025

AGENDA NO.

**PROPOSAL:** Issue RFP for Office Data Cable Infrastructure and RFQ for Modular Furniture Systems Moving Services

**SYNOPSIS:** South Coast AQMD's headquarters requires a significant upgrade to the third floor-South section of the building to implement the modernization and reorganization of the Engineering and Permitting office space. The third floor upgrade includes: replacing carpeting for the floor, restructuring the cubicle layout, and upgrading office data and network infrastructure. This action is to also issue an RFP to solicit proposals for the upgrade and installation of the office data cable infrastructure, and to issue an RFQ to solicit quotations for modular furniture systems moving services. The total cost will be based on the proposals submitted. Board approval of proposed vendors and funding will be requested upon conclusion of the RFP and RFQ processes.

**COMMITTEE:** Administrative, October 10, 2025; Recommended for Approval

**RECOMMENDED ACTION:**

1. Issue RFP #P2026-04 to upgrade and install the office data cabling infrastructure at South Coast AQMD headquarters.
2. Issue RFQ #Q2026-01 to provide modular furniture systems moving services at South Coast AQMD headquarters.

Wayne Nastri  
Executive Officer

AJO:RM

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### **Background**

The Engineering and Permitting division are currently located on multiple floors throughout the South Coast AQMD headquarters. As part of ongoing efforts to increase

operational efficiency and productivity, staff has developed a reconfiguration plan to move staff from the fifth to the third floor, where most of the Engineering and Permitting division are located. The updates to the third floor include replacing the carpet, reconfiguring the cubicle layout, and upgrading office data and network infrastructure.

The third floor-south section of the building is approximately 19,000 sq. ft., housing offices, conference rooms, and approximately 130 cubicles. The carpet was originally installed in 1992, and will be replaced as part of the upgrade. This work is in progress, with the new office and conference room carpeting already in place.

After the floor carpet replacement, approximately 140 work cubicles will be installed. The reconfigured cubicle layout for the third floor will better align work units with teams closer to their supervisors.

Information Management staff has determined that the current data cabling and network infrastructure will not sustain and support the reconfigured floor layout. The data cabling system was installed in 2001 and an upgrade is required to increase capacity and to update the technology.

The modernization and reorganization of the third floor will be completed over multiple phases to minimize the disruption to staff. The anticipated timeline for completion is 60 to 90 days.

### **Proposal**

Staff requests Board approval to issue RFP #P2026-04, to solicit qualified firms to upgrade and install the office data cable infrastructure. Proposals will be due January 9, 2026, at 1:00 p.m. The proposals will be evaluated and scored as described in RFP #P2026-04 (Attachment 1).

Staff also requests approval to issue RFQ #Q2026-01, to solicit qualified firms to provide quotations for modular furniture systems moving services (teardown and building of cubicle structures and workstation components) for the third floor of the South Coast AQMD headquarters building. Quotations will be due January 9, 2026, at 2:00 p.m. The quotations will be evaluated as described in RFQ #Q2026-01 (Attachment 2).

At the conclusion of the RFP and RFQ processes, staff will bring recommendations to the Board requesting approval to enter into a contract and a purchase order with the recommended vendors.

### **Outreach**

In accordance with South Coast AQMD's Procurement Policy and Procedure, a public notice advertising the RFP and RFQ 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 Basin. Additionally, potential bidders may be notified utilizing South Coast AQMD's own electronic listing.

**Resource Impacts**

The total cost for these services will be based on the proposals submitted. Sufficient funds are available in the General Fund Undesignated (Unassigned) Fund Balance and will be requested as part of the Board's contract and purchase order approval process.

**Attachments**

Attachment 1 – RFP #P2026-04 – Office Data Cable Infrastructure

Attachment 2 – RFQ #Q2026-01 – Modular Furniture Systems Moving Services

ATTACHMENT 1

**SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT**

**REQUEST FOR PROPOSALS**

**OFFICE DATA CABLE INFRASTRUCTURE**

**P2026-04**

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

**PURPOSE**

The purpose of this RFP is to identify and select the vendor(s) capable of providing the South Coast AQMD with the most cost-effective data cabling infrastructure upgrade.

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

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

Attachment A - Participation in the Procurement Process

Attachment B - Certifications and Representations

Attachment C - Parts List

Attachment D – Floor Plan

**SECTION I: BACKGROUND/INFORMATION**

The South Coast AQMD is a regional governmental agency responsible for the regulation of sources of air contaminants in the South Coast Air Basin.

South Coast AQMD personnel includes scientists, engineers, chemists, planners, inspectors, attorneys, technicians, and administrative support staff. South Coast AQMD functions include permit issuance, compliance, planning, air monitoring, and administration.

The South Coast AQMD maintains staff responsible for the administration, maintenance, and repair of the South Coast AQMD's computer infrastructure. This includes personal computers, servers, local and network printers, Audio Visual Equipment, and the telecommunications networks (i.e. voice-data network backbone, local area network, and wide area network).

As the South Coast AQMD's computer applications have grown, so have the demands on local area network bandwidth.

ATTACHMENT 1

In certain areas of South Coast AQMD’s Headquarters building, the data cabling infrastructure is outdated or non-existent. The 3rd floor of the South Coast AQMD’s HQ building is in need of replacing the current non-working data cabling infrastructure to the latest Industry specifications. Part of this RFP is the removal of all old cabling and equipment from the 3rd-floor. Attachment C is the required parts list and our preferred vendors for this project are APC, Cisco, and Panduit.

**SECTION II: CONTACT PERSON:**

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

**De Groeneveld – Information Management**  
South Coast AQMD  
21865 Copley Drive  
Diamond Bar, CA 91765-4178  
(909) 396-2907  
e-mail: [dgroeneveld@aqmd.gov](mailto:dgroeneveld@aqmd.gov)

**SECTION III: SCHEDULE OF EVENTS**

Date	Event
November 7, 2025	RFP Released
December 2, 2025	Bidder’s Conference*
January 9, 2026	Proposals Due to South Coast AQMD - <b>No Later Than 1:00 pm</b>
January 23, 2026	Proposal Evaluations
April 3, 2026	Governing Board Approval
April 21, 2026	Anticipated Contract Execution

A Mandatory Bidder’s Conference will be held to present additional information, answer questions and provide a tour of the facility. All prospective bidders that will be acting as a prime contractor on the contract should attend this conference. The Bidder’s Conference will be held in Room CC-6 at South Coast AQMD Headquarters in Diamond Bar, California at 9:00 am on Tuesday, December 2, 2025. Please contact De Groeneveld at (909) 396-2907 by close of business on Wednesday, November 26, 2025, if you plan to attend.

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

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

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

**A. Project Goals and Objectives**

## ATTACHMENT 1

The South Coast AQMD's strategic initiative with respect to information management is toward open systems, interoperability, application portability, hardware scalability, and client-server architecture. The primary means adopted by the South Coast AQMD for fulfilling this overall objective is through integrated networks and platforms using the TCP/IP protocol suite.

The foremost goal of this procurement is to upgrade the South Coast AQMD's data cabling infrastructure to a level that will meet both current and future needs. The upgrade must be compatible with South Coast AQMD's current operating environment and provide flexibility for technological evolution.

Specific goals for the data cabling infrastructure upgrade include the following:

- Panduit certified installers
- The expected life span of minimum 10 years;
- Easily integrated with the current network infrastructure;
- Minimize staff impact during normal work hours (Tuesday – Friday, 7:00am – 5:30pm);
- Must coexist with current data wiring infrastructure;
- Turn-key solution;
- Each data cable must have a unique permanent identification at both ends (clear, legible, and permanent);
- Each data plate/panel must identify the unique associated cable identification (clear, legible, and permanent);
- Designed to facilitate normal adds/moves/changes and identification;
- Cables shall run parallel or at right angles to the building structure, and shall not be looped diagonally across the ceiling space.
- Cables shall run in existing cable tray/runways.
- Cables should avoid all sources of EMI (electromagnetic interference).
- Cables must avoid all sources of heat such as heating ducts and hot water pipes.
- Do not lay cables on suspended ceilings.
- Cables must never exceed a 90-degree bend radius.
- Must leave some slack (minimum 6 feet) on each end of cable run in the event of servicing or other requirements.
- Cat-6a patch cables must be provided for any patch panel installations.
- Provide J-Hooks or equivalent for cable support. Cable shall be supported at 5-6 foot span intervals.
- All components shall be factory new, not reconditioned or refurbished.
- All components shall be an available commodity and vendor supportable at the time of award;

### **B. Statement of Work/Deliverables**

1. The following tasks are associated with this RFP:

- Installation of Category 6a (ANSI/TIA/EIA 568 B.2-1 & ISO/IEC 11801 Ed. 2.0) plenum (NFPA 262) cabling for data locations with a 6 ft. service loop at the designated zone cabling enclosure;
- Vendor must verify and confirm the length of all data cables run between the data closet, the assigned zone cabling enclosure locations, cubicle/office and, conference rooms;
- Vendor must verify and confirm the quantity of all materials that are needed to finish the project;
- All data cables and connectors must be installed in accordance with good engineering practices as approved by the TIA/EIA, NEC, and all applicable local building codes;
- All data cables run must have a permanent unique identification at each end;
- Data cables should be in available cable tray, suspended every 5-6 feet in drop ceilings using J or D style hooks or in enclosed conduit;

- All data cables must be properly terminated in the data closet and newly installed zone cabling enclosure and assigned office/conference rooms, per Panduit specifications;
  - All data cables must be properly terminated and ready to be patched to the Cisco 9300 network switch in the data closet;
  - All data cables must be properly terminated and ready to be patched from the zone cabling enclosure to the cubicle wall plate;
  - The vendor is responsible for all materials, labor, and all other associated apparatus necessary to completely install, test, and turnover the wiring infrastructure;
  - Vendor must test and provide associated reports for all data cable runs according to industry standard.
  - Install 6 zone cabling enclosures in specified locations on the 3rd floor south office building;
  - Install 120 CAT6a data cables from the closet (3 West) to 3 zone cabling enclosures; 1x24 and 2x48.
  - Install 24 CAT6a data cables from the closet (3 West) to offices, conference rooms break rooms and spares;
  - Install 120 CAT6a data cables from closet (3 East) to 3 zone cabling enclosures: 1x24 and 2x48.
  - Install 24 CAT6a data cables from the closet (3 East) to offices, conference rooms break rooms and spares;
  - Install 40 access points (CW9176I-CFG);
  - Removing outdated data cabling from all the network trays to the offices, open office and conference rooms; (CAT3 and CAT5e)
  - Removing outdated 2 post network rack and installing new Panduit network cabinet in data closet (3 West and 3East);
  - Relocate existing fiber to the new Panduit network cabinet;
  - Install Cisco network switches;
  - Install rackmount APC Uninterruptable Power Supplies;
  - Install rackmount Panduit Power Distribution Units;
  - Labeling patch panels and wall plate jacks with indelible labels/ink indicating closet location and unique identified port number;
  - Attachment D reference the floorplan with IDF closet location, cable tray/raceway, and zone enclosure locations;
  - Attachment C reference required parts list and descriptions.
2. Under this RFP vendor must submit detailed proposals for the South Coast AQMD's data wiring infrastructure upgrade. The proposals must include, but are not limited to, the following:
- A proposed methodology for the cabling, testing and delivering the products according to Industry Standard;
  - Work Schedule;
  - Project timeline;
  - A detailed list of materials and supplies;
  - The approximate number of staff that will be working on the job;
  - Total project cost with itemized cost breakdown (e.g. labor, materials, permits, etc.);
3. The data wiring infrastructure delivered under this RFP must include the following at a minimum:
- Materials and workmanship specified and furnished must: be fully guaranteed by the vendor for a twenty-five (25) year extended product warranty period; meet all Plenum, TIA, ETL and UL specifications, physically tested according to

the acceptable standard; and be tested to deliver Ethernet connection between the closet patch panel, zone cabling enclosure, cubicle/office and, conference rooms . The vendor shall promptly, and at no cost to the South Coast AQMD, correct any nonconforming or defective work within the warranty period. The supplying vendor must be the single point of contact for all warranty service.

- Vendors shall not be allowed to substitute cable components after the award of the contract without written approval from the South Coast AQMD.
- All work shall conform to the latest edition of the National Electrical Code, the building code, and all local codes and ordinances, as applicable. All installation activities shall adhere to all standards. Methodologies outlined in the latest edition of BICSI Telecommunications Distribution Methods Manual shall also be used during all installation activities.

#### 4. Inspection and Acceptance:

Inspections –

On-going inspections shall be performed during construction by the vendor project manager and South Coast AQMD staff. All work shall be performed in a high-quality manner and the overall appearance shall be clean, neat and orderly. The following points will be examined and must be complied with satisfactorily:

- All cables are properly labeled from end-to-end.
- All terminated cables properly tested in accordance with the specifications for the specific category as well as tested for open, shorts, and damage.
- All cable installations are installed per Panduit installation guidelines
- The pathway manufacturer's guidelines have been followed.
- All cable penetrations installed properly and fire stopped according to code.
- Have the contractors avoided excessive cable bending.
- Hanging supports are within 1.5-2 meters (5 -6 feet).
- Hanging cable does not exhibit sag.
- Telecommunications closet terminations are compatible with applications equipment.
- Patch Panel instructions have been followed.
- Termination positions are correct.
- All pair terminations are tight with minimal pair distortion.
- Cable dressing has been done.
- The correct outlet connectors are used.
- All identification markings are uniform, permanent and readable.

#### 5. Acceptance:

- Test Report - The vendor must test all cable pairs, after they have been terminated, according to standards and business practice. The cabling vendor must provide a full copy of all test results in both hard copy and electronic form, with the following information:
  - Cable identification
  - Date of test
  - Cable distance
  - Name of the tester
  - Pass/fail condition and cable map
- All field testing shall be performed with an approved level IIIe field test device by a known Major manufacturer and also by standards of the American National Standards Institute (ANSI) and the Telecommunications Industry Association (TIA). All installed cables shall

- perform equal to or better than the minimum requirements by the industry standard.
- All field testers shall be factory calibrated each calendar year by the field test equipment manufacturer as stipulated by the manuals provided with the field test unit. The calibration certificate shall be provided for review prior to the start of testing.
  - Autotest settings provided in the field tester for testing the installed cabling shall be set to the default parameters.

### C. Schedule of Deliverables

All hardware and services purchased under this RFP must be available for delivery to the SOUTH COAST AQMD within 90 days of receipt of the purchase order and/or a signed contract.

SOUTH COAST AQMD reserves the right to place orders through master agreements, cooperative agreements, or other interagency agreements with governmental entities in order to achieve the best available prices. Therefore, bidders must provide a list of their current agreements with the federal government, the State of California, Los Angeles, Riverside, San Bernardino, and Orange Counties, or other government agencies.

## SECTION VI: REQUIRED QUALIFICATIONS

### A. Qualifications

The selected vendor must be fully capable and experienced in the cabling infrastructure system specified. To ensure the system has continued support, the South Coast AQMD will contract only with vendors having a successful history of sales, installation, service, and support. During the evaluation process, the South Coast AQMD may, with the full cooperation of the vendors, visit the vendors; places of business, observe operations and inspect records.

The South Coast AQMD may, with the full cooperation of the vendors, visit client installations to consult with references. Specified visits and discussions shall be arranged through the vendors, but the vendor will not be present during the discussions.

#### 1. General

- a. Contractor/s (sub-contractors included) shall be a current Panduit One<sup>SM</sup> Partner, Silver and above that has completed the Structured Cabling Deployment training (Panduit Certified Installer). A copy of the corporate Panduit manufacturer certification shall be included with all quotes.
- b. Contractor shall have at least 5 years documented experience installing and testing structured cabling systems of similar type and size.
- c. Contractor shall employ at least one BICSI Registered Communication Distribution Designer (RCDD) to sign-off on all designs offered, including stamping the design with their current BICSI/RCDD stamp.
- d. Contractor shall have all necessary permits, licenses, and inspections required for the performance of data, voice, and fiber optic cable installations.
- e. At least 30 percent of the technicians installing low-voltage copper systems on the job shall have a current Panduit Certified Copper Technicians certificate.
- f. At least 30 percent of the technicians installing any Fiber Distribution Systems shall have a current Panduit Certified Fiber Technicians certificate.

- g. The Telecommunications contractor shall provide a Project Manager to serve as the single point of contact to manage the installation, speak for the contractor and provide the following functions:
- Initiate and coordinate tasks with the AQMD Project Manager and others as specified by the project schedule.
  - Provide day-to-day direction and-site supervision of Contractor personnel.
  - Ensure conformance with all contract and warranty provisions.
  - Acknowledge and remediate findings of AQMD weekly site project meetings.
  - This individual will remain Project Manager for the duration of the project. The contractor may change Project Manager only with the written approval of AQMD.
- h. Contractor Project Manager on site shall have completed the Panduit Structured Cabling Deployment training and hold certificates for both copper and fiber.
2. References and Response Times
- a. Communication Contractor shall provide with bid, a list of four (4) reference accounts where similar Data, Voice, Fiber Optic Cable, and related equipment installation work was performed within the last year (twelve-month period).
3. Termination of Services
- a. AQMD reserves the right to terminate the Communication Contractor's services if at any time it is determined the Communication Contractor is not fulfilling their responsibilities as defined within this document and all associated project documentation.
- b. Upon termination, the Communications Contractor shall be restricted from the premises and compensated for the percentage of work completed satisfactorily.
- c. Contractor's appearance and work ethic shall be of a professional manner. Dress shall be appropriate to the work being performed.
- d. Conduct on AQMD property will be professional in nature.
- e. Any person in the Contractor's employ working on a AQMD project considered by AQMD to be incompetent, disorderly, or for any other reason unsatisfactory or undesirable to Information Technologies, such person shall be removed from the AQMD project.
4. Other Contractor Responsibilities
- a. Confirmation of Pathway and Cable Manager sizing:
- Wherever cabling pathways or managers are installed, it is the Contractor's responsibility to confirm pathway or manager sizing to represent no more than 25% fill upon installation according to manufacturer's fill tables.
  - Pathways deemed overfilled upon installation will not be accepted and shall be remedied at Contractor expense.
- b. Contractor is responsible for the removal and disposal of all installation and construction debris created in the process of the job.
- c. All work areas will be cleaned at the conclusion of the workday and no tools or materials shall be left in a manner as to pose a safety hazard.
- d. Projects are not considered finished and will not be paid by AQMD until all debris, dust, etc. has been cleaned and removed to the satisfaction of AQMD.
- e. Contractor shall remove all abandoned cable per Article 800 of the National Electrical Code and per TIA and BICSI standards, recycling these materials where possible. Removal of orphaned cable is mandatory. Contractors shall consider this when placing bids.

- f. Contractor shall abide by all AQMD Security Policies pertaining to access and conduct while on AQMD property.
- g. Contractor shall obey all posted speed limits and parking regulations at the AQMD facilities where the work is being performed.
- h. Contractor understands that illegally parked vehicles will be towed and Contractor is responsible for and will assume all costs associated with towing.

B. Vendor must submit the following:

1. A copy of the vendor's annual report or a certified financial statement. Copies of certified financial statements will be kept confidential.
2. A list of at least three reference accounts at which similar work, both in scope and design, have been completed by the vendor within the last three years. A government agency reference is highly desirable.
3. A summary of the vendor's general qualifications to meet the required qualifications and fulfill the statement of work.

**SECTION VII: WARRANTY**

- A. This data cabling warranty will need to be provided to assure that the network infrastructure will deliver consistent, reliable performance in support of critical operations. It is intended to safeguard the Agency's investment by ensuring long-term stability, secure connectivity, and readiness to support future technology requirements. The following warranty provisions outline the specific coverage and commitments included.
  1. Contractor shall provide a 25-year Panduit Certification Plus<sup>SM</sup> System Warranty on all copper and fiber links and/or channels.
  2. Panduit<sup>®</sup> Certification Plus<sup>SM</sup> warranty shall meet the following criteria.
    - a. A 25-year guarantee that the installed cabling system will pass the Commercial Building Telecommunications Standards cited in this document.
    - b. This warranty will cover all registered links and/or channels.
    - c. Contractor shall indicate in warranty documentation whether registered links are to be link or channel.
      - If links are covered, this warranty may be invoked only if the links are comprised entirely of Panduit components and cable.
      - If channels are covered, this warranty may be invoked only if entire channel links are comprised of continuous Panduit components and cable, including patch cords.
    - d. The communications Contractor will correct any problems and malfunctions that are warranty-related issues without charge for the entire warranty period.
    - e. If the Certification Plus<sup>SM</sup> warranty is needed by AQMD within the warranted period and the original installer is no longer in business, Panduit shall find a substitute Panduit ONE<sup>SM</sup> certified contractor and assume costs to fulfill the obligations of the warranty.
    - f. Upon acceptance of the warranty paperwork and test results from the Contractor, Panduit will mail a notification letter to the installer and a notification letter with warranty certificate to AQMD

- g. The warranty period shall commence following the final acceptance of the project AQMD and written confirmation of warranty from Panduit.

## **SECTION VIII: PROPOSAL SUBMITTAL REQUIREMENTS**

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

Each proposal must be submitted in three separate volumes:

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

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

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

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

### **VOLUME I - TECHNICAL PROPOSAL**

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

Program Schedule (Section B) - Provide projected milestones or benchmarks for completing the project (to include reports) within the total time allowed.

Project Organization (Section C) - Describe the proposed management structure, program monitoring procedures, and organization of the proposed team. Provide a statement detailing your approach to the project, specifically address the Firm's ability and willingness to commit and maintain staffing to successfully complete the project on the proposed schedule.

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

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

1. List all key personnel assigned to the project by level, name, and location. Provide a resume or similar statement describing the background, qualifications, and experience of the lead person and all persons assigned to the project. Substitution of project manager or lead personnel will not be permitted without prior written approval of South Coast AQMD.
2. Provide a spreadsheet of the labor hours proposed for each labor category at the task level.
3. Provide a statement indicating whether or not 90% of the work will be performed within the geographical boundaries of South Coast AQMD.
4. Provide a statement of education and training programs provided to, or required of, the staff identified for participation in the project, particularly with reference to management consulting, governmental practices and procedures, and technical matters.
5. Provide a summary of your Firm's general qualifications to meet required qualifications and fulfill statement of work, including additional Firm personnel and resources beyond those who may be assigned to the project.

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

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

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

## **VOLUME II - COST PROPOSAL**

Name and Address - The Cost Proposal must list the name and complete address of the Proposer in the upper left-hand corner.

Cost Proposal – South Coast AQMD anticipates awarding a fixed price contract. Cost information must be provided as listed below:

1. Detail must be provided by the following categories:
  - A. Labor – The Cost Proposal must list the fully-burdened hourly rates and the total number of hours estimated for each level of professional and administrative staff to be used to perform the tasks required by this RFP. Costs should be estimated for each of the components of the work plan.

- B. Subcontractor Costs - List subcontractor costs and identify subcontractors by name. Itemize subcontractor charges per hour or per day.
  - C. Travel Costs - Indicate amount of travel cost and basis of estimate to include trip destination, purpose of trip, length of trip, airline fare or mileage expense, per diem costs, lodging and car rental.
  - D. Other Direct Costs -This category may include such items as postage and mailing expense, printing and reproduction costs, etc. Provide a basis of estimate for these costs.
2. It is the policy of the South Coast AQMD to receive at least as favorable pricing, warranties, conditions, benefits and terms as other customers or clients making similar purchases or receiving similar services. South Coast AQMD will give preference, where appropriate, to vendors who certify that they will provide “most favored customer” status to the South Coast AQMD. To receive preference points, Proposer shall certify that South Cosat AQMD is receiving “most favored customer” pricing in the Business Status Certifications page of Volume III, Attachment B – Certifications and Representations.

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

**SECTION IX: PROPOSAL SUBMISSION**

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

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

Due Date - **All proposals are due no later than 1:00 p.m., January 9, 2026, and should be directed to:**

Procurement Unit  
 South Coast AQMD  
 21865 Copley Drive  
 Diamond Bar, CA 91765-4178  
 (909) 396-3520

Submittal - Submit five (5) complete copies of the proposal in a sealed envelope, plainly marked in the upper left-hand corner with the name and address of the Proposer and the words "Request for Proposals P2026-04."

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

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

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

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

**SECTION X: PROPOSAL EVALUATION/CONTRACTOR SELECTION CRITERIA**

- A. Proposals will be evaluated by a panel of three to five South Coast AQMD staff members familiar with the subject matter of the project. The panel shall be appointed by the Executive Officer or his designee. In addition, the evaluation panel may include such outside public sector or academic community expertise as deemed desirable by the Executive Officer. The panel will make a recommendation to the Executive Officer and/or the Governing Board of South Coast AQMD for final selection of a contractor and negotiation of a contract.
- B. Each member of the evaluation panel shall be accorded equal weight in his or her rating of proposals. The evaluation panel members shall evaluate the proposals according to the specified criteria and numerical weightings set forth below.

1.

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

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

Additional Points

Small Business or Small Business Joint Venture	10
DVBE or DVBE Joint Venture	10
Use of DVBE or Small Business Subcontractors	7
Zero or Near-Zero Emission Vehicle Business	5
Local Business (Non-Federally Funded Projects Only)	5
Off-Peak Hours Delivery Business	2
Most Favored Customer	2

**The cumulative points awarded for small business, DVBE, use of small business or DVBE subcontractors, zero or near-zero emission vehicle business, local business, and off-peak hours delivery business shall not exceed 15 points. Most Favored Customer status incentive points shall be added, as applicable for a total of 17 points.**

**Self-Certification for Additional Points**

**The award of these additional points shall be contingent upon Proposer completing the Self-Certification section of Attachment B – Certifications and Representations and/or inclusion of a statement in the proposal self-certifying that Proposer qualifies for additional points as detailed above.**

2. To receive additional points in the evaluation process for the categories of Small Business or Small Business Joint Venture, DVBE or DVBE Joint Venture or Local Business (for non-federally funded projects), the proposer must submit a self-certification or certification from the State of California Office of Small Business Certification and Resources at the time of proposal submission certifying that the proposer meets the requirements set forth in Section IV. To receive points for the use of DVBE and/or Small Business subcontractors, at least 25 percent of the total contract value must be subcontracted to DVBEs and/or Small Businesses. To receive points as a Zero or Near-Zero Emission Vehicle Business, the proposer must demonstrate to the Executive Officer, or designee, that supplies and materials delivered to South Coast AQMD are delivered in vehicles that operate on clean-fuels. To receive points as a Local Business, the proposer must affirm that it has an ongoing business within the South Coast AQMD at the time of bid/proposal submittal and that 90% of the work related to the contract will be performed within the South Coast AQMD. Proposals for legislative representation, such as in Sacramento, California or Washington D.C. are not eligible for local business incentive points. Federally funded projects are not eligible for local business incentive points. To receive points as an Off-Peak Hours Delivery Business, the proposer must submit, at proposal submission, certification of its commitment to delivering supplies and materials to South Coast AQMD between the hours of 10:00 a.m. and 3:00 p.m. To receive points for Most Favored Customer status, the proposer must submit, at proposal submission, certification of its commitment to provide most favored customer status to the South Coast AQMD. The cumulative points awarded for Small Business, DVBE, use of Small Business or DVBE Subcontractors, Local Business, Zero or Near-Zero Emission Vehicle Business, Off-Peak Hour Delivery Business and Most Favored Customer shall not exceed 17 points.
3. For procurement of Research and Development (R & D) projects or projects requiring technical or scientific expertise or special projects requiring unique knowledge and abilities, technical factors including past experience shall be weighted at 70 points and cost shall be weighted at 30 points. A proposal must receive at least 56 out of 70 points on R & D projects and projects requiring technical or scientific expertise or special projects requiring unique knowledge and abilities, in order to be deemed qualified for award.
4. The lowest cost proposal will be awarded the maximum cost points available and all other cost proposals will receive points on a prorated basis. For example if the lowest cost proposal is \$1,000 and the maximum points available are 30 points, this proposal would receive the full 30 points. If the next lowest cost proposal is \$1,100 it would receive 27 points reflecting the fact that it is 10% higher than the lowest cost (90% of 30 points = 27 points).

- C. During the selection process the evaluation panel may wish to interview some proposers for clarification purposes only. No new material will be permitted at this time. Additional information provided during the bid review process is limited to clarification by the Proposer of information presented in his/her proposal, upon request by South Coast AQMD.
- D. The Executive Officer or Governing Board may award the contract to a Proposer other than the Proposer receiving the highest rating in the event the Governing Board determines that another Proposer from among those technically qualified would provide the best value to South Coast AQMD considering cost and technical factors. The determination shall be based solely on the Evaluation Criteria contained in the Request for Proposal (RFP), on evidence provided in the proposal and on any other evidence provided during the bid review process.
- E. Selection will be made based on the above-described criteria and rating factors. The selection will be made by and is subject to Executive Officer or Governing Board approval. Proposers may be notified of the results by letter.
- F. The Governing Board has approved a Bid Protest Procedure which provides a process for a Bidder or prospective Bidder to submit a written protest to South Coast AQMD Procurement Manager in recognition of two types of protests: Protest Regarding Solicitation and Protest Regarding Award of a Contract. Copies of the Bid Protest Policy can be secured through a request to South Coast AQMD Procurement Department.
- G. The Executive Officer or Governing Board may award contracts to more than one proposer if in (his or their) sole judgment the purposes of the (contract or award) would best be served by selecting multiple proposers.
- H. If additional funds become available, the Executive Officer or Governing Board may increase the amount awarded. The Executive Officer or Governing Board may also select additional proposers for a grant or contract if additional funds become available.
- I. Disposition of Proposals – Pursuant to South Coast AQMD’s Procurement Policy and Procedure, South Coast AQMD reserves the right to reject any or all proposals. All proposals become the property of South Coast AQMD, and are subject to the California Public Records Act. One copy of the proposal shall be retained for South Coast AQMD files. Additional copies and materials will be returned only if requested and at the proposer's expense.
- J. If proposal submittal is for a Public Works project as defined by State of California Labor Code Section 1720, Proposer is required to include Contractor Registration No. in Attachment B. Proposal submittal will be deemed as non-responsive and Bidder may be disqualified if Contractor Registration No. is not included in Attachment B. Proposer is alerted to changes to California Prevailing Wage compliance requirements as defined in Senate Bill 854 (Stat. 2014, Chapter 28), and California Labor Code Sections 1770, 1771 and 1725.**
- K. PERFORMANCE AND PAYMENT BONDS  
Before execution of the Contract, the Contractor shall file surety bonds in the amounts and for the purpose specified in the Request for Proposal (RFP). Bonds shall be issued by a surety who is listed in the latest version of U.S. Department of Treasury Circular 570, who is authorized to issue bonds in California, and whose bonding limitation shown in said circular is sufficient to provide bonds in the amount required by the Contract shall be approved by South Coast AQMD. Bonds from all other sureties shall be

accompanied by all of the documents enumerated in the Code of Civil Procedure, Section 995.660a).

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

### PERFORMANCE BOND

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

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

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

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

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

### PAYMENT BOND

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

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

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

no way release the Contractor or the Surety from their obligations under the bond. Notice of such changes or extensions shall be waived by the Surety.

**SECTION XI: SAMPLE CONTRACT**

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

## ATTACHMENT A

### PARTICIPATION IN THE PROCUREMENT PROCESS

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

B. Definitions:

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

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

- c. is a sole proprietorship, corporation, or partnership with its primary headquarters office located in the United States, which is not a branch or subsidiary of a foreign corporation, firm, or other foreign-based business.
4. "Local business" as used in this policy means a company that has an ongoing business within geographical boundaries of South Coast AQMD at the time of bid or proposal submittal and performs 90% of the work related to the contract within the geographical boundaries of South Coast and AQMD and satisfies the requirements of subparagraph H below. Proposals for legislative representation, such as in Sacramento, California or Washington D.C. are not eligible for local business incentive points.
5. "Small business" as used in this policy means a business that meets the following criteria:
  - a. 1) an independently owned and operated business; 2) not dominant in its field of operation; 3) together with affiliates is either:
    - A service, construction, or non-manufacturer with 100 or fewer employees, and average annual gross receipts of ten million dollars (\$10,000,000) or less over the previous three years, or
    - A manufacturer with 100 or fewer employees.
  - b. Manufacturer means a business that is both of the following:
    - 1) Primarily engaged in the chemical or mechanical transformation of raw materials or processed substances into new products.
    - 2) Classified between Codes 311000 and 339000, inclusive, of the North American Industrial Classification System (NAICS) Manual published by the United States Office of Management and Budget, 2007 edition.
6. "Joint ventures" as defined in this policy pertaining to certification means that one party to the joint venture is a DVBE or small business and owns at least 51 percent of the joint venture.
7. "Zero or Near-Zero Emission Vehicle Business" as used in this policy means a company or contractor that uses low-emission vehicles in conducting deliveries to South Coast AQMD. Zero or Near-Zero emission vehicles include vehicles powered by electric, compressed natural gas (CNG), liquefied natural gas (LNG), liquefied petroleum gas (LPG), ethanol, methanol and hydrogen and are certified to 90% or lower of the existing standard. .
8. "Off-Peak Hours Delivery Business" as used in this policy means a company or contractor that commits to conducting deliveries to South Coast AQMD during off-peak traffic hours defined as between 10:00 a.m. and 3:00 p.m.
9. "Benefits Incentive Business" as used in this policy means a company or contractor that provides janitorial, security guard or landscaping services to South Coast AQMD

and commits to providing employee health benefits (as defined below in Section VIII.D.2.d) for full time workers with affordable deductible and co-payment terms.

10. "Minority Business Enterprise" as used in this policy means a business that is at least 51 percent owned by one or more minority person(s), or in the case of any business whose stock is publicly held, at least 51 percent of the stock is owned by one or more or minority persons.

a. a business whose management and daily business operations are controlled by one or more minority persons.

b. a business which is a sole proprietorship, corporation, or partnership with its primary headquarters office located in the United States, which is not a branch or subsidiary of a foreign corporation, foreign firm, or other foreign-based business.

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

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

12. "Disadvantaged Business Enterprise" as used in this policy means a business that is an entity owned and/or controlled by a socially and economically disadvantaged individual(s) as described by Title X of the Clean Air Act Amendments of 1990 (42 U.S.C. 7601 note) (10% statute), and Public Law 102-389 (42 U.S.C. 4370d)(8% statute), respectively;

a Small Business Enterprise (SBE);

a Small Business in a Rural Area (SBRA);

a Labor Surplus Area Firm (LSAF); or

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

C. Under Request for Quotations (RFQ), DVBEs, DVBE business joint ventures, small businesses, and small business joint ventures shall be granted a preference in an amount equal to 5% of the lowest cost responsive bid. Low-Emission Vehicle Businesses shall be granted a preference in an amount equal to 5 percent of the lowest cost responsive bid. Off-Peak Hours Delivery Businesses shall be granted a preference in an amount equal to 2 percent of the lowest cost responsive bid. Local businesses (if the procurement is not funded in whole or in part by federal grant funds) shall be granted a preference in an amount equal to 2% of the lowest cost responsive bid. Businesses offering Most Favored Customer status shall be granted a preference in an amount equal to 2 percent of the lowest cost responsive bid.

D. Under Request for Proposals, DVBEs, DVBE joint ventures, small businesses, and small business joint ventures shall be awarded ten (10) points in the evaluation process. A non-DVBE or large business shall receive seven (7) points for subcontracting at least

twenty-five (25%) of the total contract value to a DVBE and/or small business. Zero or Near-Zero Emission Vehicle Businesses shall be awarded five (5) points in the evaluation process. On procurements which are not funded in whole or in part by federal grant funds local businesses shall receive five (5) points. Off-Peak Hours Delivery Businesses shall be awarded two (2) points in the evaluation process. Businesses offering Most Favored Customer status shall be awarded two (2) points in the evaluation process.

- E. South Coast AQMD will ensure that discrimination in the award and performance of contracts does not occur on the basis of race, color, sex, national origin, marital status, sexual preference, creed, ancestry, medical condition, or retaliation for having filed a discrimination complaint in the performance of South Coast AQMD contractual obligations.
- F. South Coast AQMD requires Contractor to be in compliance with all state and federal laws and regulations with respect to its employees throughout the term of any awarded contract, including state minimum wage laws and OSHA requirements.
- G. When contracts are funded in whole or in part by federal funds, and if subcontracts are to be let, the Contractor must comply with the following, evidencing a good faith effort to solicit disadvantaged businesses. Contractor shall submit a certification signed by an authorized official affirming its status as a MBE or WBE, as applicable, at the time of contract execution. South Coast AQMD reserves the right to request documentation demonstrating compliance with the following good faith efforts prior to contract execution.
  - 1. Ensure Disadvantaged Business Enterprises (DBEs) are made aware of contracting opportunities to the fullest extent practicable through outreach and recruitment activities. For Indian Tribal, State and Local Government recipients, this will include placing DBEs on solicitation lists and soliciting them whenever they are potential sources.
  - 2. Make information on forthcoming opportunities available to DBEs and arrange time frames for contracts and establish delivery schedules, where the requirements permit, in a way that encourages and facilitates participation by DBEs in the competitive process. This includes, whenever possible, posting solicitations for bids or proposals for a minimum of 30 calendar days before the bid or proposal closing date.
  - 3. Consider in the contracting process whether firms competing for large contracts could subcontract with DBEs. For Indian Tribal, State and Local Government recipients, this will include dividing total requirements when economically feasible into smaller tasks or quantities to permit maximum participation by DBEs in the competitive process.
  - 4. Encourage contracting with a consortium of DBEs when a contract is too large for one of these firms to handle individually.
  - 5. Using the services and assistance of the Small Business Administration and the Minority Business Development Agency of the Department of Commerce.
  - 6. If the prime contractor awards subcontracts, require the prime contractor to take the above steps.
- H. To the extent that any conflict exists between this policy and any requirements imposed by federal and state law relating to participation in a contract by a certified

MBE/WBE/DVBE as a condition of receipt of federal or state funds, the federal or state requirements shall prevail.

- I. When contracts are not funded in whole or in part by federal grant funds, a local business preference will be awarded. For such contracts that involve the purchase of commercial off-the-shelf products, local business preference will be given to suppliers or distributors of commercial off-the-shelf products who maintain an ongoing business within the geographical boundaries of South Coast AQMD. However, if the subject matter of the RFP or RFQ calls for the fabrication or manufacture of custom products, only companies performing 90% of the manufacturing or fabrication effort within the geographical boundaries of South Coast AQMD shall be entitled to the local business preference. Proposals for legislative representation, such as in Sacramento, California or Washington D.C. are not eligible for local business incentive points.
- J. In compliance with federal fair share requirements set forth in 40 CFR Part 33, South Coast AQMD shall establish a fair share goal annually for expenditures with federal funds covered by its procurement policy.

## ATTACHMENT B



# South Coast Air Quality Management District

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

### **Business Information Request**

Dear South Coast AQMD Contractor/Supplier:

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

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

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

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

Sincerely,

Sujata Jain  
Chief Financial Officer

AP:kb

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



# South Coast Air Quality Management District

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

## BUSINESS INFORMATION REQUEST

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

## REMITTING ADDRESS INFORMATION

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

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

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

**BUSINESS STATUS CERTIFICATIONS**

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

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

Statements of certification:

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

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

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

Check all that apply:

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

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

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

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

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

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

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

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

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

## Definitions

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

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

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

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

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

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

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

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

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

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

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

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

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

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

# Request for Taxpayer Identification Number and Certification

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

<sup>a</sup> Go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9) for instructions and the latest information.

<b>Print or type.</b> <b>See Specific Instructions on page 3.</b>	<p><b>1</b> Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.</p> <hr/> <p><b>2</b> Business name/disregarded entity name, if different from above</p> <hr/> <p><b>3</b> Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only <b>one</b> of the following seven boxes.</p> <table style="width: 100%; text-align: center;"> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>Individual/sole proprietor or single-member LLC</td> <td>C Corporation</td> <td>S Corporation</td> <td>Partnership</td> <td>Trust/estate</td> </tr> </table> <p>Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership)<sup>a</sup> _____</p> <p><b>Note:</b> Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is <b>not</b> disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.</p> <p><input type="checkbox"/> Other (see instructions)<sup>a</sup></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Individual/sole proprietor or single-member LLC	C Corporation	S Corporation	Partnership	Trust/estate	<p><b>4</b> Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):</p> <p>Exempt payee code (if any) _____</p> <p>Exemption from FATCA reporting code (if any) _____</p> <p><small>(Applies to accounts maintained outside the U.S.)</small></p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>								
Individual/sole proprietor or single-member LLC	C Corporation	S Corporation	Partnership	Trust/estate								
	<p><b>5</b> Address (number, street, and apt. or suite no.) See instructions.</p> <hr/> <p><b>6</b> City, state, and ZIP code</p> <hr/> <p><b>7</b> List account number(s) here (optional)</p>	<p>Requester's name and address (optional)</p> <hr/>										

## Part I Taxpayer Identification Number (TIN)

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

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

<b>Social security number</b>									
				-					
<b>or</b>									
<b>Employer identification number</b>									

## Part II Certification

Under penalties of perjury, I certify that:

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

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

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

## General Instructions

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

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

### Purpose of Form

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

- Form 1099-INT (interest earned or paid)

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

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

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



By signing the filled-out form, you:

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

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

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

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

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

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

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

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

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

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

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

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

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

## Backup Withholding

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

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

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

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

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

Also see *Special rules for partnerships*, earlier.

## What is FATCA Reporting?

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

## Updating Your Information

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

## Penalties

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

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

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

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

## Specific Instructions

### Line 1

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

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

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

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

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

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

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

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

### Line 2

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

### Line 3

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

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

### Line 4, Exemptions

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

#### Exempt payee code.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

G—A real estate investment trust

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

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

A bank as defined in section 581

K—A broker

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

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

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

## Line 5

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

## Line 6

Enter your city, state, and ZIP code.

## Part I. Taxpayer Identification Number (TIN)

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

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

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

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

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

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

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

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

## Part II. Certification

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

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

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

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

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

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

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

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

**What Name and Number To Give the Requester**

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

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

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

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

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

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

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

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

**Secure Your Tax Records From Identity Theft**

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

To reduce your risk:

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

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

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

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

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

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

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

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

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

## Privacy Act Notice

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

# 2024 Withholding Exemption Certificate

**590**

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

**Withholding Agent Information**

Name \_\_\_\_\_

**Payee Information**

Name \_\_\_\_\_  SSN or ITIN  FEIN  CA Corp no.  CA SOS file no.

Address (apt./ste., room) \_\_\_\_\_

City (If you have a foreign address, see instructions.) _____	State _____	ZIP code _____
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**Exemption Reason**

**Check only one box.**

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

- Individuals — Certification of Residency:**  
I am a resident of California and I reside at the address shown above. If I become a nonresident at any time, I will promptly notify the withholding agent. See instructions for General Information D, Definitions.
- Corporations:**  
The corporation has a permanent place of business in California at the address shown above or is qualified through the California Secretary of State (SOS) to do business in California. The corporation will file a California tax return. If this corporation ceases to have a permanent place of business in California or ceases to do any of the above, I will promptly notify the withholding agent. See instructions for General Information D, Definitions.
- Partnerships or Limited Liability Companies (LLCs):**  
The partnership or LLC has a permanent place of business in California at the address shown above or is registered with the California SOS, and is subject to the laws of California. The partnership or LLC will file a California tax return. If the partnership or LLC ceases to do any of the above, I will promptly inform the withholding agent. For withholding purposes, a limited liability partnership (LLP) is treated like any other partnership.
- Tax-Exempt Entities:**  
The entity is exempt from tax under California Revenue and Taxation Code (R&TC) Section 23701\_\_\_\_\_(insert letter) or Internal Revenue Code Section 501(c)\_\_\_\_\_(insert number). If this entity ceases to be exempt from tax, I will promptly notify the withholding agent. Individuals cannot be tax-exempt entities.
- Insurance Companies, Individual Retirement Arrangements (IRAs), or Qualified Pension/Profit-Sharing Plans:**  
The entity is an insurance company, IRA, or a federally qualified pension or profit-sharing plan.
- California Trusts:**  
At least one trustee and one noncontingent beneficiary of the above-named trust is a California resident. The trust will file a California fiduciary tax return. If the trustee or noncontingent beneficiary becomes a nonresident at any time, I will promptly notify the withholding agent.
- Estates — Certification of Residency of Deceased Person:**  
I am the executor of the above-named person's estate or trust. The decedent was a California resident at the time of death. The estate will file a California fiduciary tax return.
- Nonmilitary Spouse of a Military Servicemember:**  
I am a nonmilitary spouse of a military servicemember and I meet the Military Spouse Residency Relief Act (MSRRA) requirements. See instructions for General Information E, MSRRA.

**CERTIFICATE OF PAYEE:** Payee must complete and sign below.

Our privacy notice can be found in annual tax booklets or online. Go to [ftb.ca.gov/privacy](https://ftb.ca.gov/privacy) to learn about our privacy policy statement, or go to [ftb.ca.gov/forms](https://ftb.ca.gov/forms) and search for **1131** to locate FTB 1131 EN-SP, Franchise Tax Board Privacy Notice on Collection. To request this notice by mail, call 800.338.0505 and enter form code **948** when instructed.

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

\_\_\_\_\_  
Type or print payee's name and title

Form 590 2023

\_\_\_\_\_  
Payee's signature

Telephone \_\_\_\_\_

Date \_\_\_\_\_

# 2024 Instructions for Form 590

## Withholding Exemption Certificate

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

### General Information

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

**Registered Domestic Partners (RDPs)**—For purposes of California income tax, references

to a spouse, husband, or wife also refer to a California RDP unless otherwise specified. For more information on RDPs, get FTB Pub. 737, Tax Information for Registered Domestic Partners.

### A Purpose

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

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

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

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

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

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

### B Income Subject to Withholding

Withholding is required on the following, but is

not limited to:

- Payments to nonresidents for services

rendered in California.

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

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

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

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

### C Who Certifies this Form

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

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

payee's taxpayer identification number (TIN). The certification does not need to be renewed

annually. The certification on Form 590 remains valid until the payee's status changes. The withholding agent must retain a copy of the certification or substitute for at least five years after the last payment to which the certification applies. The agent must provide it to the FTB upon request. If an entertainer (or the entertainer's business

entity) is paid for a performance, the entertainer's information must be provided.

- withholding agent's business.
- Payments to nonresidents for royalties from activities sourced to California.

### D Definitions

For California nonwage withholding purposes:

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

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

#### Permanent Place of Business:

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

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

Generally, for tax purposes you are considered to maintain your existing residence or domicile. 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

**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.”

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

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Form 590 Instructions 2023

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purposes if the spouse is domiciled 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. (Note: 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 spouse is domiciled outside of California.

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

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## Specific Instructions

### Payee Instructions

Enter the withholding agent's name.

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

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

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

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

### Withholding Agent Instructions

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

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

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

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

Withholding Tax Statement, Form 592-PTE,

Pass-Through Entity Annual Withholding Return, Form 592-Q, Payment Voucher for Pass-Through Entity Withholding, and Form 592-V, Payment Voucher for Resident or Nonresident Withholding.

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## Additional Information

**Website:** For more information, go to **ftb.ca.gov** and search for **nonwage**. **MyFTB** offers secure online tax account information and services. For more information, go to **ftb.ca.gov** and login or register for MyFTB.

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

**Fax:** **916.845.9512**

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

For questions unrelated to withholding, or to download, view, and print California tax forms and publications, or to access the California Relay Service, see the Internet and Telephone Assistance section.

### 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

California

Relay

**Service:** **711** or **800.735.2929** for persons with hearing or speaking limitations.

### 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

Servicio de

Retransmisión

de California: **711** o **800.735.2929** para personas con limitaciones auditivas o del habla.



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

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

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

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

Typed Name & Title of Authorized Representative

Signature of Authorized Representative Date



## 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 Mobile Source Air Pollution Reduction Review Committee (MSRC) or MSRC Technical Advisory Committee (TAC), including: the name of the party making the contribution (which includes any parent, subsidiary or otherwise related business entity, as defined below), the amount of the contribution, and the date the contribution was made. 2 C.C.R. §18438.8(b). Where a proposed or proposed amended rule impacts three or fewer facilities, those facilities will be treated in much the same manner as contracting parties and so must also complete this form, disclosing information relating to any campaign contributions made to any SCAQMD Board Members. *See* Quadri Advice Letter (2002) A-02.096.<sup>1</sup> In the event that a qualifying campaign contribution is made, the Board Member to whom it was made may be disqualified from participating in the actions involving that donor.

California law prohibits a party, or an agent, from making campaign contributions to SCAQMD Governing Board Members or members/alternates of the MSRC or TAC of more than \$250 while their contract or permit is pending before the SCAQMD; and further prohibits a campaign contribution from being made for twelve (12) months following the date of the final decision by the Governing Board or the MSRC or TAC 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 or TAC must abstain from voting on a contract or permit if they have received a campaign contribution from a party or participant<sup>2</sup> to the proceeding, or agent, totaling more than \$250 in the 12-month period prior to the consideration of the item by the Governing Board or the MSRC. Gov’t Code §84308(c).

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

### **SECTION I.**

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

<input type="checkbox"/> DBA, Name _____, County Filed in _____ <input type="checkbox"/> Corporation, ID No. _____ <input type="checkbox"/> LLC/LLP, ID No. _____
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**List any parent, subsidiaries, or otherwise affiliated business entities of Contractor or Participant:**  
*(See definition below).*

\_\_\_\_\_  
\_\_\_\_\_

<sup>1</sup> The information provided on this form does not, and is not intended to, constitute legal advice. To the extent that you may have questions regarding any case law, citations, or legal interpretations provided above please seek the guidance of your own independent counsel.

<sup>2</sup> In accordance with California law, a person or entity with a financial interest in a proceeding or particular governmental decision, who is not a party but who actively supports or opposes a particular decision, qualifies as a “participant” in that proceeding for purposes of California Code of Regulations Section 84308. A participant has both a financial interest in the proceeding and communicates with the agency or an officer of the agency for purposes of influencing the proceeding.

**SECTION II.**

Has Contractor or Participant and/or any parent, subsidiary, or affiliated company, or agent thereof, or persons who direct or control campaign contributions for these entities, 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 or TAC 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.**

Name(s) of Contributor(s) or Person(s) who Directed or Controlled this Contribution:

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

Name(s) of Contributor(s) or Person(s) who Directed or Controlled this Contribution:

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

Name(s) of Contributor(s) or Person(s) who Directed or Controlled this Contribution:

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Name(s) of Contributor(s) or Person(s) who Directed or Controlled this Contribution:

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

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

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

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

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

**DEFINITIONS**

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

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



# South Coast Air Quality Management District

21865 Copley Drive, Diamond Bar, CA 91765-4178

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

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

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

**STEP 2: Payee Information**

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

**Authorization**

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

**STEP 3:**

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

**To be Completed by your Bank**

<b>Staple Voided Check Here</b>	Name of Bank/Institution				
	Account Holder Name(s)				
	<input type="checkbox"/> Saving <input type="checkbox"/> Checking		Account Number	Routing Number	
	Bank Representative Printed Name		Bank Representative Signature		Date
	ACCOUNT HOLDER SIGNATURE:				Date

For South Coast AQMD Use Only

Input By \_\_\_\_\_

Date \_\_\_\_\_

## ATTACHMENT C

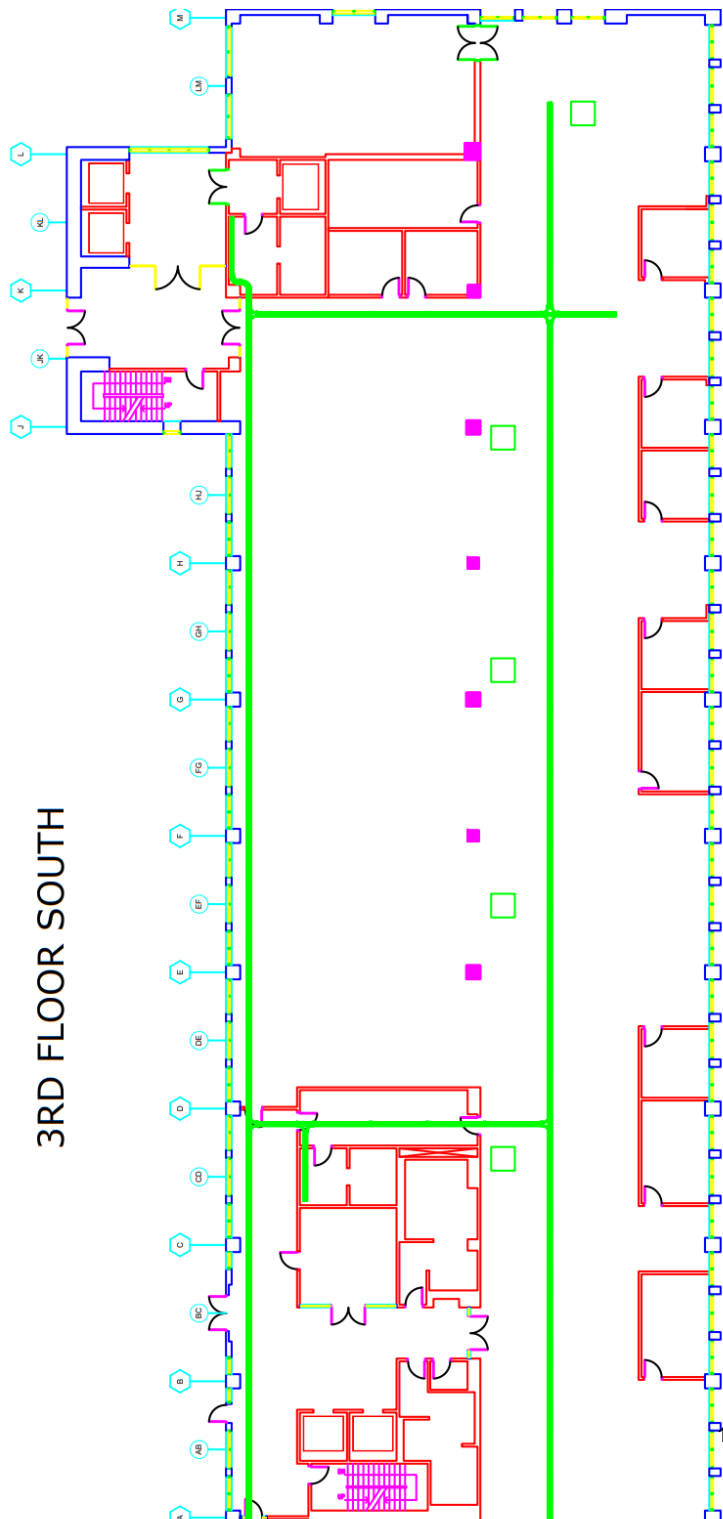
The part quantities in Attachment C, are estimated quantities only. The vendor is responsible for confirming part quantities and cable lengths between the data closet, the assigned zone cabling enclosure locations, cubicle/office and conference rooms.

Mfr-Part No.	Est. Qty	Description
PUP6AHD04BU-G	90000	Panduit - 6A Plenum rated BLUE
FP6X88MTG-X	30	CAT6A UTP Field Term Plug, 10 Pack
CJ6X88TGBU	800	MiniCom Category 6A RJ45 Jack
CPP24FMWBLY	8	Panduit MiniCom – 24 Port Patch Panel
CPP48HDWBLY	16	Panduit MiniCom – 48 Port High Density Patch Panel
SRB19ED5BL	40	Panduit Strain Relief Bar
UTP28X8INBU	900	Panduit 8" (8 inch) CAT 6A Patch Cable.
UTP28X8BU	400	Panduit 8' (8 feet) CAT 6A Patch Cable.
UTP28X10BU	400	Panduit 10' (10 feet) CAT 6A Patch Cable.
UTP28X5BU	400	Panduit 5' (5 feet) CAT 6A Patch Cable.
CFLP1WH	200	Single gang, flush mount vertical faceplate w/ label, accepts one MiniCom module. White
CFLP2WH	100	Single gang, flush mount vertical faceplate w/ label, accepts two MiniCom module. White
TLBP1S-V	75	Tool-less Blanking Panel
TLBP2S-V	75	Tool-less Blanking Panel
PZICEA	6	Panduit - PanZone® In-Ceiling Enclosure
6G-0601-04	1000	Green Ground Cable
XG64212BS0001	2	FlexFusion™ XG Series Cabinet 42 (600x1070) BLACK
ACF20	2	Smart Rack Security Handle Harness
P12E20G	4	G6 MS PDU, 15AMP, (12)5-20R, NEMA 5-15P
CFPE2WH-X	20	Mini-Com® Executive Style Faceplate with Label Pocket (10)
CFPE1WHY	250	Mini-Com® Executive Style Faceplate with Label Pocket
ACF06	2	Smart Rack Handle with Humidity Sensor and Keypad
CISCO-NETWORK- SUB	1	Cisco Networking Subscription
SVS-L0SPT-CN	1	Cisco Network Product Support
LIC-CW-E	40	Cisco Wireless License - Essentials
LIC-SPACES-ESS	40	Cisco Spaces Extend for Unified Licensing Essentials
CW9176I-CFG	40	Cisco Wireless 9176I(W7,3 radio,3 band 4x4,UWB),Global
CON-ROB-CW9176IC	40	RMA UPGRADE 8X5XNBD Cisco Wireless 9176I (12 Month)
AIR-AP-BRACKET-2	40	802.11 AP Universal Mounting Bracket
AIR-AP-NO-CLIP	40	No AP Ceiling Grid Clip Required
CW9176-MULTI	40	Multi-AP packaging, minimum order qty is 6 APs
C9800-CL-K9	2	Cisco Catalyst 9800-CL Wireless Controller for Cloud
C9300-48UN-E	2	Cisco Catalyst 9300 - Network Essentials - switch - 48 ports
PWR-C1-1100WAC-P	2	1100W AC CONFIG 1 SECONDARY POWER SUPPLY
STACK-T1-50CM	2	Cisco StackWise 480 - stacking cable - 1.6 ft
CAB-SPWR-30CM	2	Cisco StackPower - power cable - 1 ft
SC9800CLGCPK9-173	2	Cisco Catalyst 9800-CL Wireless Controllers - GCP

CON-ECMUSC9800CLC	2	Cisco Smart Net Total Care Software Support Service - 1 Year
LIC-ENT-1YR	40	Meraki MR Enterprise License, 1YR
C9300-DNA-E-48	2	Cisco Digital Network Architecture Essentials
NETWORK-PNP-LIC	2	Cisco Network Plug-n-Play Connect - license - 1 license
CON-SNT-C93004UN	2	Cisco Smart Net Total Care - extended service agreement
C9300-NM-8X	2	CATALYST 9300 NETWORK MODULE 8 X 10G
SFP-10G-SR=	8	10GBASE-SR SFP MODULE
10506-706	2	CHATSWORTH Cable runway Elevation kit for racks 4" – 6" High.
14304-718	4	CHATSWORTH Tool-less Cross member radius drop 18" W (457mm)
	TBD	Misc. Installation parts for Ceiling Enclosures.
	TBD	Misc. parts J-Hook with clip (cable support).
	TBD	Misc. parts concrete anchors for cabinet.

## ATTACHMENT D

3RD FLOOR SOUTH



ATTACHMENT 2

**SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT  
REQUEST FOR QUOTATION (RFQ) FOR MODULAR FURNITURE  
SYSTEMS MOVING SERVICES**

**Q2026-01**

**PURPOSE**

South Coast Air Quality Management District (South Coast AQMD) invites sealed quotes from qualified firms interested in providing modular furniture systems moving services at the Diamond Bar headquarters. In the preparation of this Request for Quotes (RFQ), the word "Proposer," "Contractor," "Vendor," and "Consultant" are used interchangeably.

INDEX - The following are contained in this RFQ.

Section I	Background/Information/Schedule of Events
Section II	Participation in the Procurement Process
Section III	Scope of Work
Section IV	Response Submittal Requirements
Section V	Evaluation and Selection Criteria
Section VI	Request for Quotation/Title Page
Section VII	References
Section VIII	Company Information Questionnaire
Attachment A	Terms and Conditions
Attachment B	Participation in the Procurement Process
Attachment C	Certifications and Representations

**SECTION I: BACKGROUND/INFORMATION/SCHEDULE OF EVENTS**

South Coast AQMD is a regional governmental agency responsible for meeting air quality health standards in Orange County and parts of Los Angeles, Riverside and San Bernardino counties.

The object of this RFQ is to obtain quotations from qualified vendors to provide the disassembly and reassembly of existing modular furniture systems at South Coast AQMD Diamond Bar headquarters' third floor. This project may include, but not limited to, the procurement of moving supplies, coordination with South Coast AQMD's Business Services Manager or designated staff, and removal and disposal or recycling of outdated or surplus items.

**SOUTH COAST AQMD CONTACT PERSONS:**

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

<b>Administrative:</b>	<b>Technical:</b>
Procurement Unit	Victoria Leung, Business Services Manager
South Coast Air Quality Management District	South Coast Air Quality Management District
21865 Copley Drive	21865 Copley Drive
Diamond Bar, CA 91765	Diamond Bar, CA 91765
909-396-3520	909-396-3027
	<a href="mailto:vleung@aqmd.gov">vleung@aqmd.gov</a>

## ATTACHMENT 2

### SCHEDULE OF EVENTS

November 7, 2025	Release of RFQ
<b><u>December 4, 2025</u></b>	<b><u>Mandatory Zoom Bidder's Conference*</u></b>
<b>January 9, 2026</b>	<b>RFQ Closes at 2:00 P.M.</b>
January 10-23, 2026	Quotation Evaluation
April 3, 2026	Anticipated Governing Board Approval
April 17, 2026	Anticipated Issue Purchase Order

*Please note that South Coast AQMD is closed on Monday and cannot receive bid submittals accordingly.*

#### **\*MANDATORY ZOOM BIDDER'S CONFERENCE**

**A bidder's conference will be held on:**

**Date: December 4, 2025**  
**Time: 11:00 a.m.**

Participation in the Zoom bidder's conference is mandatory. Questions may be asked and answered at that time. Additional information or amendments may also be provided. Those interested in participating will need to contact Jacqueline Gonzalez at [jgonzalez1@aqmd.gov](mailto:jgonzalez1@aqmd.gov) no later than December 2, 2025, at 5:00 p.m. for the Zoom ID/link.

**Proposals will not be accepted from business(es) that do not send an authorized representative to the mandatory Zoom bidder's conference.**

An OPTIONAL walkthrough may be requested for those who are interested. Please contact Jacqueline Gonzalez at [jgonzalez1@aqmd.gov](mailto:jgonzalez1@aqmd.gov) to set up an in-person walkthrough after the Zoom Bidder's Conference on December 4, 2025.

### **SECTION II: PARTICIPATION IN THE PROCUREMENT PROCESS**

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

### **SECTION III: SCOPE OF WORK**

The request for modular furniture systems moving services is located at South Coast AQMD Diamond Bar headquarters' third floor of approximately 19,000 sq. ft. South Coast AQMD currently uses a Haworth modular office furniture system. The disassembly and reassembly will cover approximately 140 workstations, including, but not limited to, cubicle panels, overhead shelves, pedestals, cabinets, worksurfaces, chairs, keyboards, and moving boxes. The current and proposed floor plans for this project will be presented during the Mandatory Zoom Bidder's Conference to be held on December 4, 2025, at 11:00 a.m.

South Coast AQMD's business hours are Tuesday through Friday, 7:00 a.m. to 5:30 p.m. All services shall be performed during these hours unless prior written approval is obtained for work outside of this schedule.

This project will be completed in multiple phases to align with renovation and infrastructure upgrades being

## ATTACHMENT 2

managed by other departments. The schedule for moving services will be contingent upon coordination with the Building Maintenance division and Information Management department.

The awarded vendor will be required to remain flexible and responsive to project scheduling needs. Precise dates for each phase will be communicated as they are confirmed, and vendors should be prepared to adjust for minimal lead time.

Contractor must provide all necessary labor, materials, and equipment for the modular furniture system moving services. Contractor must provide reusable keyboard bags for the disassembly and reassembly of the Haworth modular office furniture system.

Contractor must ensure that all personnel assigned to this project are trained and qualified to safely reconnect power to modular furniture systems in accordance with manufacturer specifications and applicable safety standards. Contractor is also responsible for testing each connect to confirm that power is functioning properly upon reassembly. Any issues identified during testing must be promptly addressed before the area is considered complete.

### **SECTION IV: RESPONSE SUBMITTAL REQUIREMENTS**

QUOTES - All quotes must be submitted according to specifications set forth in this RFQ.

SIGNATURE- Quotes must be signed by an authorized representative of the vendor.

DUE DATE - **Four (4) complete copies of the quotes must be submitted.** Quotes must be typewritten and submitted in a sealed envelope, plainly marked in the upper, left-hand corner with the name and address of the vendor with the words, "Request for Quotation Q2026-01". It should be addressed to:

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

**Quotes are due no later than 2:00 p.m. on January 9, 2026.** Any corrections or resubmissions of the quote will not be sufficient reason to extend the deadline.

**No late quotations will be accepted under any circumstances.**

Grounds for rejection: A quote may be rejected if:

1. It is not prepared in the format described, or
2. It is signed by an individual not authorized to represent the firm.

FORMAT - the content and format of the quote will adhere to the specifications listed below. Failure to follow this format may result in quote disqualification.

1. A typed cover letter must be included, with the name, address, telephone number, e-mail address, and face number (if available) of the vendor. The letter must also include the name, title, and telephone number of the vendor's designated contact person and must be signed by the person authorized to submit a response for the vendor.

## ATTACHMENT 2

2. The proposal must be completed as indicated in the RFQ and submitted in its entirety, including:
  - a. Section VI – RFQ/Title Page
  - b. Section VII – References
  - c. Section VIII – Company Information Questionnaire
  - d. Attachment C – Certification and Representations
3. Submit four (4) complete copies of the RFQ response.

### **SECTION V: EVALUATION AND SELECTION CRITERIA**

**Award will be made to the vendor submitting the lowest cost quotation which is fully responsive to the specifications set forth in the RFQ, and/or providing the best value to the South Coast AQMD in accordance with the South Coast AQMD Procurement Policy and Procedure.**

It is the policy of the South Coast AQMD to receive at least as favorable pricing, warranties, conditions, benefits and terms as other customers or clients making similar purchases or receiving similar services. To this purpose, formal bidding procedures, sole source awards, and RFP/RFQ processes will include a certification for “most favored customer” status. South Coast AQMD will give preference, where appropriate, to vendors who certify that they will provide “most favored customer” status to the South Coast AQMD.

Disabled Veteran Business Enterprises (DVBE’s), Small Businesses, Zero or Near-Zero Emission Vehicle Businesses, Off-Peak Hours Delivery Businesses, Local Businesses and businesses offering the South Coast AQMD most favored customer pricing status, meeting the definitions contained in Attachments B and C of this RFQ shall be granted a preference in an amount equal to the percentage listed below of the lowest cost responsive quote (preference percentage points):

Small Business or Small Business Joint Venture	5%
DVBE or DVBE Joint Venture	5%
Zero or Near-Zero Emission Vehicle Business	5%
Local Business (Non-EPA Funded Projects only)	2%
Off-Peak Hours Delivery Business	2%
Most Favored Customer Pricing Status	2%

To receive additional preference percentage points in the evaluation process for the categories of Small Business or Small Business Joint Venture, DVBE or DVBE Joint Venture or Local Business (for non-EPA funded projects), the bidder must submit a self-certification at the time of quotation submission certifying that the bidder meets the requirements set forth Attachments B and C. To receive preference percentage points for the use of DVBE and/or Small Business subcontractors, at least 25 percent of the total contract value must be subcontracted to DVBEs and/or Small Businesses. To receive preference percentage points as a Zero or Near-Zero Emission Vehicle Business, the bidder must demonstrate to the Executive Officer, or designee, that supplies and materials delivered to South Coast AQMD are delivered in vehicles that operate on clean-fuels. To receive percentage points as a Local Business, the bidder must affirm that it has an ongoing business within the South Coast AQMD at the time of the bid/quotation submittal and that 90% of the work related to the contract/purchase order will be performed in the South Coast AQMD. Federally funded projects are not eligible for local business percentage points. To receive preference percentage points as an Off-Peak Hours Delivery Business, the proposer must submit, at quotation submission, certification of its commitment to delivering supplies and materials to South Coast AQMD between the hours of 10:00 a.m. and 3:00 p.m. Businesses offering Most Favored Customer status shall be granted a preference in an amount equal to 2 percent of the lowest cost responsive bid. The cumulative preference percentage points awarded for Small Business, DVBE, use of Small Business or DVBE Subcontractors, Local Business, Zero or Near-Zero Vehicle Business and Off-Peak Hour Delivery Business shall not exceed

**ATTACHMENT 2**

15 preference percentage points.

**Specify Yes/No next to the applicable categories as they pertain to price and delivery of the item(s) on this RFQ only. In order to receive eligible business preference/percentage points, vendor must complete this section:**

Disabled Veteran Business Enterprise	___	Local Business*	_____
Disabled Veteran Business Enterprise		Zero or Near-Zero Emission Vehicle	
Joint Venture	___	Business**	_____
		Off-Peak Hours Delivery	
Small Business	___	Business	_____
		Most Favored Customer Pricing	
Small Business Joint Venture	___	Status	_____

\*Local business preference will be awarded to eligible vendors when procurements are not funded in whole or in part by federal grant funds.

\*\*If you answered “yes” for above Zero or Near-Zero Emission Vehicle Business, complete section below. Check the type of vehicle that qualifies your business as a Zero or Near-Zero Emission Vehicle Business in conducting deliveries to South Coast AQMD. If a common carrier is used, please list the carrier name. This information is subject to verification.

Type of Zero or Near-Zero Emission Vehicle:	Check Vehicle Type	Name of Common Carrier (if applicable)
Electric Powered Vehicle		
Compressed Natural Gas (CNG) Powered Vehicle		
Liquefied Natural Gas (LNG) Powered Vehicle		
Liquefied Petroleum (LPG) Powered Vehicle		
Ethanol Powered Vehicle		
Methanol Powered Vehicle		
Hydrogen Powered Vehicle		

The Procurement Section will be responsible for monitoring compliance of suppliers awarded purchase orders based upon use of low-emission vehicles or off-peak traffic hour delivery commitments through the use of vendor logs which will identify the contractor awarded the incentive. The purchase order shall incorporate terms which obligate the supplier to deliver materials in low-emission vehicles or deliver during off-peak traffic hours. The Receiving department will monitor those qualified supplier deliveries to ensure compliance to the purchase order requirements. Suppliers in non-compliance will be subject to a two percent of total purchase order value penalty. The Procurement Manager will adjudicate any disputes regarding either low-emission vehicle or off-peak hour deliveries.

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

**If quotations submittal is for a Public Works project as defined by State of California Labor Code**

## ATTACHMENT 2

**Section 1720, bidder is required to include Contractor Registration No. in Attachment C. Quotation submittal will be deemed as non-responsive and bidder may be disqualified if Contractor Registration No. is not included in Attachment C. Bidder is alerted to changes to California Prevailing Wage compliance requirements as defined in Senate Bill 854 (Stat. 2014, Chapter 28) and California Labor Code Sections 1770, 1771, 1725, 1777, 1813 and 1815.**

### PERFORMANCE AND PAYMENT BONDS

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

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

#### PERFORMANCE BOND

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

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

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

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

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

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

**DISPOSITION: South Coast AQMD reserves the right to reject any or all quotations. All materials and documents submitted with the quote will become the property of South Coast AQMD.**

**REQUEST FOR QUOTATION (RFQ) FOR MODULAR FURNITURE  
SYSTEMS MOVING SERVICES**

TO: South Coast Air Quality Management District  
21865 Copley Drive  
Diamond Bar, CA 91765  
Attention: Procurement Manager

The undersigned, having carefully examined South Coast AQMD's specifications attached hereto, hereby proposed and agrees to the conditions stated in this quotation. If this quote is accepted by South Coast AQMD, the undersigned agrees to the conditions as stated.

Company Name \_\_\_\_\_

Company Address \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Authorized by \_\_\_\_\_  
(print name)

Authorized Signature \_\_\_\_\_

Title \_\_\_\_\_

Telephone No. \_\_\_\_\_

Contact Email Address: \_\_\_\_\_

**NOTE: FOUR (4) COMPLETE COPIES OF RFQ RESPONSE MUST BE SUBMITTED.  
REQUEST FOR QUOTATION Q2026-01  
SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT**

**SECTION VII:**

**REFERENCES**

**Q2026-01**

1 Company Name \_\_\_\_\_  
Address \_\_\_\_\_  
\_\_\_\_\_  
Contact Person \_\_\_\_\_  
Phone Number \_\_\_\_\_  
Cell Phone \_\_\_\_\_  
E-mail Address \_\_\_\_\_

2 Company Name \_\_\_\_\_  
Address \_\_\_\_\_  
\_\_\_\_\_  
Contact Person \_\_\_\_\_  
Phone Number \_\_\_\_\_  
Cell Phone \_\_\_\_\_  
E-mail Address \_\_\_\_\_

3 Company Name \_\_\_\_\_  
Address \_\_\_\_\_  
\_\_\_\_\_  
Contact Person \_\_\_\_\_  
Phone Number \_\_\_\_\_  
Cell Phone \_\_\_\_\_  
E-mail Address \_\_\_\_\_

4 Company Name \_\_\_\_\_  
Address \_\_\_\_\_  
\_\_\_\_\_  
Contact Person \_\_\_\_\_  
Phone Number \_\_\_\_\_  
Cell Phone \_\_\_\_\_  
E-mail Address \_\_\_\_\_

5 Company Name \_\_\_\_\_  
Address \_\_\_\_\_  
\_\_\_\_\_  
Contact Person \_\_\_\_\_  
Phone Number \_\_\_\_\_  
Cell Phone \_\_\_\_\_  
E-mail Address \_\_\_\_\_

**SECTION VIII: COMPANY INFORMATION QUESTIONNAIRE****Q2026-01**

Please provide the following information regarding your company:

1. How many years has your company been providing modular furniture moving services?
2. Have you worked with specific modular furniture systems (e.g., Haworth, Herman Miller, Steelcase)? Please specify.
3. Describe your approach to scheduling and coordination with South Coast AQMD's Business Services Manager or designated staff.
4. What is your process for labeling, tracking, disassembly, and reassembly of modular furniture systems?
5. What is the anticipated crew size per phase?
6. What are the anticipated working hours per day? What are the anticipated working days per week?
7. Describe the anticipated timeline for each phase as described and presented in the Mandatory Zoom Bidder's Conference.
8. Will your company be able to provide flexibility in scheduling to align with the renovation and infrastructure upgrades being managed by other departments within the building?
9. Indicate the typical amount of lead time your company requires for scheduling for each project phase.
10. Will subcontractors be used for any portion of the work? If yes, please list them and describe their roles.
11. How do you ensure proper handling of power and data components during disassembly and reconnection?
12. Describe in detail how you handle unanticipated issues or last-minute floor plan or schedule changes.
13. Describe your safety protocols and any compliance procedures.
14. Is the crew trained and qualified to safely reconnect power to modular office furniture systems in accordance with manufacturer specifications and applicable safety standards?
15. Can you meet the required insurance and performance bond requirements?
16. Provide a detailed pricing breakdown, including labor rates, supplies (i.e., keyboard bags), and any additional charges.

## ATTACHMENT A

### TERMS AND CONDITIONS

1. Cash Discount Cash discount period will be computed either from the date of delivery and acceptance of the goods ordered or the date of receipt of correct and proper invoices, prepared in accordance with the terms of the purchase order, whichever is later.
2. Sales or Use Taxes Unless otherwise definitely specified, the prices quoted herein do not include sales or use taxes.
3. Transportation Charges No charges for transportation, unloading, containers, packing, etc., will be allowed unless specified in vendor's quotation.
4. Infringement Indemnity Vendor shall defend at its expense any suit against South Coast Air Quality Management District (South Coast AQMD) based on a claim that any item furnished under this agreement or the normal sale thereof infringes any United States Letters Patent or copyright and shall pay costs and damages finally awarded in any such suit provided Vendor is notified in writing of the suit and given authority, information, and assistance at Vendor's expense for defense of same if the use of said item is enjoined as a result of such suit. Vendor at no expense to District shall obtain for South Coast AQMD the right to use and sell said item or shall substitute an equivalent item acceptable to South Coast AQMD and extend this patent indemnity thereto.
5. Force Majeure Neither South Coast AQMD nor Vendor shall be liable or deemed to be in default for any delay or failure in performance under this agreement or interruption of services resulting, directly or indirectly, from acts of God, civil or military authority, acts of public enemy, war, strikes, labor disputes, shortages of suitable parts, materials, labor or transportation, or any similar cause beyond the reasonable control of South Coast AQMD or Vendor.
6. Non-Discrimination In the performance of this agreement, Vendor shall not discriminate in recruiting, hiring, promotion, demotion, or termination practices on the basis of race, religious creed, color, national origin, ancestry, sex, age, or physical or mental disability and shall comply with the provisions of the California Fair Employment & Housing Act (Government Code Section 12900 et. seq.), the Federal Civil Rights Act of 1964 (P.L. 88-352) and all amendments thereto, Executive Order no. 11246 (30 Federal Register 12319), and all administrative rules and regulations issued pursuant to said Acts and Order. Vendor shall likewise require each subcontractor to comply with this paragraph and shall include in each subcontract language similar to this paragraph.
7. Federal, State, and Local Laws Vendor warrants that in the performance of this agreement it shall comply with all applicable Federal, State and local laws and ordinances and all lawful orders, rules and regulations hereunder.
8. Assignments and Subcontractors Neither this agreement or any interest herein nor claim hereunder may be assigned by Vendor voluntarily or by operation of law, nor may all or substantially all of this agreement be further subcontracted by Vendor without the prior written consent of South AQMD. Consent by South Coast AQMD shall not be deemed to relieve Vendor of its obligations to comply with the requirements hereof.
9. Indemnification Vendor agrees to hold harmless, indemnify, and defend South Coast AQMD, its officers, employees, agents, representatives, and successors-in-interest against any and all loss, damage, cost, or expenses which South Coast AQMD, its officers, employees, agents, representatives,

and successors-in-interest may incur or be required to pay by reason of any injury or property damage caused or incurred by Vendor, its employees, contractors, or agents in the performance of this agreement.

10. Termination In the event Vendor fails to comply with any term or condition of this agreement, or fails to provide the supplies or services in the manner agreed upon by the parties, this failure shall constitute a breach

of the agreement. South Coast AQMD at its sole discretion shall either notify the Vendor that it must cure this breach within fifteen (15) days of notice of breach or provide written notification of its intention to terminate this agreement. South Coast AQMD reserves the right to terminate this agreement for its convenience and will reimburse Vendor for actual costs incurred in performance of this agreement through the effective date of termination. Upon receipt of notice of termination, Vendor shall immediately take action not to incur any further obligations, cost, or expenses except as may be reasonably necessary to termination activities. All finished or unfinished materials procured or produced by Vendor hereunder shall, at the option of South Coast AQMD, become South Coast AQMD property upon the date of such termination.

11. Changes By written notice, South Coast AQMD may, from time to time, order work suspension or make changes in quantities, drawings, specifications, place of delivery or delivery schedules, methods of shipment and packaging and/or property and services to be furnished by South Coast AQMD. If a change causes an increase or decrease in the price of this agreement or in the time required for its performance, Vendor shall promptly notify South Coast AQMD and assert its claim for adjustment within thirty (30) days after the change is ordered and an equitable adjustment shall be made to the agreement. However, nothing in this clause shall excuse Vendor from proceedings immediately with the agreement as changed.

12. Title and Risk of Loss Unless otherwise provided in this agreement, Vendor shall have title to and bear the risk of any loss of or damage to items purchased hereunder until they are delivered in conformity with this agreement at the F.O. B. point specified herein. Upon such delivery, title shall pass from Vendor to South Coast AQMD and Vendor's responsibility for loss or damage shall cease, except for loss or damage resulting from Vendor's negligence. Passing of title upon such delivery shall not constitute acceptance of the item by South Coast AQMD.

13. Inspection and Acceptance All items are subject to final inspection and acceptance by South Coast AQMD at destination notwithstanding any payment or prior inspection at Vendor's facilities. Final inspection will be made within a reasonable time after receipt of items hereunder.

14. Payment Unless otherwise provided in this agreement, terms are net 30 days.

15. Most Favored Customer It is the policy of the South Coast AQMD to receive at least as favorable pricing, warranties, conditions, benefits and terms as other customers or clients making similar purchases or receiving similar services. To this purpose, formal bidding procedures, sole source awards, and RFP/RFQ processes will include a certification for "most favored customer" status. South Coast AQMD will give preference, where appropriate, to vendors who certify that they will provide "most favored customer" status to the South Coast AQMD.

## ATTACHMENT B

### PARTICIPATION IN THE PROCUREMENT PROCESS

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

B. Definitions:

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

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

firm, or other foreign-based business.

4. "Local business" as used in this policy means a company that has an ongoing business within geographical boundaries of South Coast AQMD at the time of bid or proposal submittal and performs 90% of the work related to the contract within the geographical boundaries of South Coast AQMD and satisfies

the requirements of subparagraph H below. Proposals for legislative representation, such as in Sacramento, California or Washington D.C. are not eligible for local business incentive points.

5. "Small business" as used in this policy means a business that meets the following criteria:
  - a. 1) an independently owned and operated business; 2) not dominant in its field of operation; 3) together with affiliates is either:
    - A service, construction, or non-manufacturer with 100 or fewer employees, and average annual gross receipts of ten million dollars (\$10,000,000) or less over the previous three years, or
    - A manufacturer with 100 or fewer employees.
  - b. Manufacturer means a business that is both of the following:
    - 1) Primarily engaged in the chemical or mechanical transformation of raw materials or processed substances into new products.
    - 2) Classified between Codes 311000 and 339000, inclusive, of the North American Industrial Classification System (NAICS) Manual published by the United States Office of Management and Budget, 2007 edition.
6. "Joint ventures" as defined in this policy pertaining to certification means that one party to the joint venture is a DVBE or small business and owns at least 51 percent of the joint venture.
7. "Zero or Near-Zero Vehicle Business" as used in this policy means a company or contractor that uses zero or near-zero emission vehicles in conducting deliveries to South Coast AQMD. Zero or near-zero emission vehicles include vehicles powered by electric, compressed natural gas (CNG), liquefied natural gas (LNG), liquefied petroleum gas (LPG), ethanol, methanol, hydrogen and are certified to 90% or lower than the existing standard.
8. "Off-Peak Hours Delivery Business" as used in this policy means a company or contractor that commits to conducting deliveries to South Coast AQMD during off-peak traffic hours defined as between 10:00 a.m. and 3:00 p.m.
9. "Benefits Incentive Business" as used in this policy means a company or contractor that provides janitorial, security guard or landscaping services to South Coast AQMD and commits to providing employee health benefits (as defined below in Section VIII.D.2.d) for full time workers with affordable deductible and co-payment terms.
10. "Minority Business Enterprise" as used in this policy means a business that is at least 51 percent owned by one or more minority person(s), or in the case of any business whose stock is publicly held, at least 51 percent of the stock is owned by one or more or minority persons.
  - a. a business whose management and daily business operations are controlled by one or more minority persons.

- b. a business which is a sole proprietorship, corporation, or partnership with its primary headquarters office located in the United States, which is not a branch or subsidiary of a foreign corporation, foreign firm, or other foreign-based business.
  - c. "Minority person" for purposes of this policy, means a Black American, Hispanic American, Native- American (including American Indian, Eskimo, Aleut, and Native Hawaiian), Asian-Indian (including a person whose origins are from India, Pakistan, and Bangladesh), Asian-Pacific-American (including a person whose origins are from Japan, China, the Philippines, Vietnam, Korea, Samoa, Guam, the United States Trust Territories of the Pacific, Northern Marianas, Laos, Cambodia, and Taiwan).
11. "Most Favored Customer" as used in this policy means that the South Coast AQMD will receive at least as favorable pricing, warranties, conditions, benefits and terms as other customers or clients making similar purchases or receiving similar services.
  12. "Disadvantaged Business Enterprise" as used in this policy means a business that is an entity owned and/or controlled by a socially and economically disadvantaged individual(s) as described by Title X of the Clean Air Act Amendments of 1990 (42 U.S.C. 7601 note) (10% statute), and Public Law 102-389 (42 U.S.C. 4370d)(8% statute), respectively; a Small Business Enterprise (SBE); a Small Business in a Rural Area (SBRA); a Labor Surplus Area Firm (LSAF); or a Historically Underutilized Business (HUB) Zone Small Business Concern, or a concern under a successor program.
- C. Under Request for Quotations (RFQ), DVBEs, DVBE business joint ventures, small businesses, and small business joint ventures shall be granted a preference in an amount equal to 5% of the lowest cost responsive bid. Zero or Near-Zero Emission Vehicle Businesses shall be granted a preference in an amount equal to 5 percent of the lowest cost responsive bid. Off-Peak Hours Delivery Businesses shall be granted a preference in an amount equal to 2 percent of the lowest cost responsive bid. Local businesses (if the procurement is not funded in whole or in part by federal grant funds) shall be granted a preference in an amount equal to 2% of the lowest cost responsive bid. Businesses offering Most Favored Customer status shall be granted a preference in an amount equal to 2 percent of the lowest cost responsive bid.
  - D. Under Request for Proposals, DVBEs, DVBE joint ventures, small businesses, and small business joint ventures shall be awarded ten (10) points in the evaluation process. A non-DVBE or large business shall receive seven (7) points for subcontracting at least twenty-five (25%) of the total contract value to a DVBE and/or small business. Zero or Near-Zero Emission Vehicle Businesses shall be awarded five (5) points in the evaluation process. On procurements which are not funded in whole or in part by federal grant funds local businesses shall receive five (5) points. Off-Peak Hours Delivery Businesses shall be awarded two (2) points in the evaluation process. Businesses offering Most Favored Customer status shall be awarded two (2) points in the evaluation process.
  - E. South Coast AQMD will ensure that discrimination in the award and performance of contracts does not occur on the basis of race, color, sex, national origin, marital status, sexual preference, creed, ancestry, medical condition, or retaliation for having filed a discrimination complaint in the performance of South Coast AQMD contractual obligations.
  - F. South Coast AQMD requires Contractor to be in compliance with all state and federal laws and regulations with respect to its employees throughout the term of any awarded contract, including state minimum wage laws and OSHA requirements.
  - G. When contracts are funded in whole or in part by federal funds, and if subcontracts are to be let, the Contractor must comply with the following, evidencing a good faith effort to solicit disadvantaged businesses. Contractor shall submit a certification signed by an authorized official affirming its status

as a MBE or WBE, as applicable, at the time of contract execution. South Coast AQMD reserves the right to request documentation demonstrating compliance with the following good faith efforts prior to contract execution.

1. Ensure Disadvantaged Business Enterprises (DBEs) are made aware of contracting opportunities to the fullest extent practicable through outreach and recruitment activities. For Indian Tribal, State and Local Government recipients, this will include placing DBEs on solicitation lists and soliciting them whenever they are potential sources.
  2. Make information on forthcoming opportunities available to DBEs and arrange time frames for contracts and establish delivery schedules, where the requirements permit, in a way that encourages and facilitates participation by DBEs in the competitive process. This includes, whenever possible, posting solicitations for bids or proposals for a minimum of 30 calendar days before the bid or proposal closing date.
  3. Consider in the contracting process whether firms competing for large contracts could subcontract with DBEs. For Indian Tribal, State and Local Government recipients, this will include dividing total requirements when economically feasible into smaller tasks or quantities to permit maximum participation by DBEs in the competitive process.
  4. Encourage contracting with a consortium of DBEs when a contract is too large for one of these firms to handle individually.
  5. Using the services and assistance of the Small Business Administration and the Minority Business Development Agency of the Department of Commerce.
  6. If the prime contractor awards subcontracts, require the prime contractor to take the above steps.
- H. To the extent that any conflict exists between this policy and any requirements imposed by federal and state law relating to participation in a contract by a certified MBE/WBE/DVBE as a condition of receipt of federal or state funds, the federal or state requirements shall prevail.
- I. When contracts are not funded in whole or in part by federal grant funds, a local business preference will be awarded. For such contracts that involve the purchase of commercial off-the-shelf products, local business preference will be given to suppliers or distributors of commercial off-the-shelf products who maintain an ongoing business within the geographical boundaries of South Coast AQMD. However, if the subject matter of the RFP or RFQ calls for the fabrication or manufacture of custom products, only companies performing 90% of the manufacturing or fabrication effort within the geographical boundaries of South Coast AQMD shall be entitled to the local business preference. Proposals for legislative representation, such as in Sacramento, California or Washington D.C. are not eligible for local business incentive points.
- J. In compliance with federal fair share requirements set forth in 40 CFR Part 33, South Coast AQMD shall establish a fair share goal annually for expenditures with federal funds covered by its procurement policy.

ATTACHMENT C

**CERTIFICATIONS AND REPRESENTATIONS**



**South Coast  
Air Quality Management District**

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

**Business Information Request**

Dear South Coast AQMD Contractor/Supplier:

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

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

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

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

Sincerely,

Sujata Jain  
Chief Financial Officer

DH;jn

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



# South Coast Air Quality Management District

21865 Copley Drive, Diamond Bar, CA

91765-4178 (909) 396-2000 •

[www.aqmd.gov](http://www.aqmd.gov)

## BUSINESS INFORMATION REQUEST

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

## REMITTING ADDRESS INFORMATION

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

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

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

**BUSINESS STATUS CERTIFICATIONS**

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

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

Statements of certification:

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

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

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

Check all that apply:

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

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.

_____	_____
<i>NAME</i>	<i>TITLE</i>
_____	_____
<i>TELEPHONE NUMBER</i>	<i>DATE</i>

## Definitions

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

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

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

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

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

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

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

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

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

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

- 2) Classified between Codes 311000 to 339000, inclusive, of the North American Industrial Classification System (NAICS) Manual published by the United States Office of Management and Budget, 2007 edition.

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

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

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

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



By signing the filled-out form, you:

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

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

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

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

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

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

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

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

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

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

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

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

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

## Backup Withholding

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

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

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

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

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

Also see *Special rules for partnerships*, earlier.

## What is FATCA Reporting?

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

## Updating Your Information

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

## Penalties

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

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

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

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

## Specific Instructions

### Line 1

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

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

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

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

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

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

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

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

### Line 2

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

### Line 3

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

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

### Line 4, Exemptions

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

#### Exempt payee code.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

G—A real estate investment trust

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

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

J—A bank as defined in section 581

K—A broker

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

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

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

### Line 5

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

### Line 6

Enter your city, state, and ZIP code.

## Part I. Taxpayer Identification Number (TIN)

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

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

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

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

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

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

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

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

## Part II. Certification

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

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

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

- 1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.** You must give your correct TIN, but you do not have to sign the certification.
- 2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.** You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.
- 3. Real estate transactions.** You must sign the certification. You may cross out item 2 of the certification.
- 4. Other payments.** You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).
- 5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), ABLE accounts (under section 529A), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions.** You must give your correct TIN, but you do not have to sign the certification.

**What Name and Number To Give the Requester**

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

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

- <sup>1</sup> List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.
  - <sup>2</sup> Circle the minor's name and furnish the minor's SSN.
  - <sup>3</sup> You must show your individual name and you may also enter your business or DBA name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.
  - <sup>4</sup> List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships*, earlier.
- \*Note:** The grantor also must provide a Form W-9 to trustee of trust.  
**Note:** If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

**Secure Your Tax Records From Identity Theft**

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

To reduce your risk:

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

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

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

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

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

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

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

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

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

## Privacy Act Notice

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

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

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

**Withholding Agent Information**

Name

**Payee Information**

Name

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

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

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

State

ZIP code

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

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

 **Individuals — Certification of Residency:**

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

 **Corporations:**

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

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

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

 **Tax-Exempt Entities:**

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

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

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

 **California Trusts:**

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

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

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

 **Nonmilitary Spouse of a Military Servicemember:**

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

**CERTIFICATE OF PAYEE:** Payee must complete and sign below.

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

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

Type or print payee's name and title

Telephone

Payee's signature ►

Date

# 2021 Instructions for Form 590

## Withholding Exemption Certificate

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

### General Information

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

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

### A Purpose

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

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

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

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

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

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

### B Income Subject to Withholding

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

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

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

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

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

### C Who Certifies this Form

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

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

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

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

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

### D Definitions

For California nonwage withholding purposes:

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

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

#### Permanent Place of Business:

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

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

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

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

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

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

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

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

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

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

## Specific Instructions

### Payee Instructions

Enter the withholding agent's name.

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

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

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

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

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

### Withholding Agent Instructions

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

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

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

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

## Additional Information

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

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

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

**Fax:** 916.845.9512

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

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

## Internet and Telephone Assistance

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

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

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

### Asistencia Por Internet y Teléfono

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

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

**TTY/TDD:** 800.822.6268 para personas con discapacidades auditivas o del habla

711 ó 800.735.2929 servicio de relevo de California

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

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

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

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

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Typed Name & Title of Authorized Representative

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Signature of Authorized Representative Date

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



## CAMPAIGN CONTRIBUTIONS DISCLOSURE

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

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

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

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

### **SECTION I.**

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

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

**List any parent, subsidiaries, or otherwise affiliated business entities of Contractor:**  
*(See definition below).*

\_\_\_\_\_  
\_\_\_\_\_

### **SECTION II.**

Has Contractor and/or any parent, subsidiary, or affiliated company, or agent thereof, made a

campaign contribution(s) totaling \$250 or more in the aggregate to a current member of the South Coast Air Quality Management Governing Board or member/alternate of the MSRC in the 12 months preceding the date of execution of this disclosure?

The information provided on this form does not, and is not intended to, constitute legal advice. To the extent that you may have questions regarding any case law, citations, or legal interpretations provided above please seek the guidance of your own independent counsel.

Yes  No **If YES, complete Section II below and then sign and date the form.**

**If NO, sign and date below. Include this form with your submittal.**

**Campaign Contributions Disclosure, *continued*:**

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

Governing Board Member or MSRC Member/Alternate Contribution	Amount of Contribution	Date of
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Name of Contributor \_\_\_\_\_

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

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

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

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

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

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

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

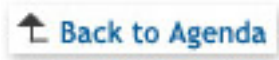
Title: \_\_\_\_\_

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.



BOARD MEETING DATE: November 7, 2025

AGENDA NO:

REPORT: Establish Board Meeting Schedule for Calendar Year 2026

SYNOPSIS: The proposed Board Meeting Schedule for Calendar Year 2026 is submitted for Board consideration. The meeting schedule for the Administrative Committee meeting, (second Friday of the month), as well as the other standing committees is included for information only.

COMMITTEE: Administrative, October 10, 2025; Recommended for Approval

**RECOMMENDED ACTION:**

Adopt the attached Resolution establishing the 2026 Board Meeting Schedule.

Vanessa Delgado, Chair  
Administrative Committee

cb

**Calendar Year 2025 Board Meeting Schedule**

<u>MONTH</u>	<u>DATE</u>	<u>START TIME</u>
January:.....	January 9* .....	9:00 a.m.
February:.....	February 6.....	9:00 a.m.
March:.....	March 6.....	9:00 a.m.
April:.....	April 3.....	9:00 a.m.
May:.....	May 1.....	9:00 a.m.
June:.....	June 5.....	9:00 a.m.
July: .....	No Meeting	
August:.....	August 7.....	9:00 a.m.
September: .....	September 4 .....	9:00 a.m.
October: .....	October 2 .....	9:00 a.m.
November: .....	November 6 .....	9:00 a.m.
December:.....	December 4.....	9:00 a.m.

**Attachments**

1. Resolution
2. Proposed 2026 Meeting Schedule for Governing Board and Standing Committees

\* The January Board meeting has been moved to accommodate the New Years Day holiday. Consequently, the Administrative Committee meeting for January has been moved to January 16,2025.

RESOLUTION NO. 25-\_\_\_\_\_

A Resolution of the South Coast Air Quality Management District Governing (South Coast AQMD) Board setting the time and place of regular meetings.

**WHEREAS**, the regular meetings of the South Coast Air Quality Management District Governing Board have been established by Resolution in the past, and

**WHEREAS**, the Governing Board is establishing the regularly scheduled meetings for Calendar Year 2026.

**NOW, THEREFORE, BE IT RESOLVED** that, effective January 2026, the regular meetings of the Governing Board shall be held at 9:00 a.m. on the first Friday of each month, except for January where the regular meeting of the Governing Board will be January 9, 2025 to accommodate the New Years Day holiday and July when there is no meeting scheduled, in the Dr. William A. Burke Auditorium at South Coast AQMD Headquarters, 21865 Copley Dr., Diamond Bar, California.

Dated: \_\_\_\_\_

\_\_\_\_\_  
Faye Thomas, Clerk of the Boards

## South Coast AQMD Governing Board & Standing Committees Proposed 2026 Meeting Schedule

GOVERNING BOARD	STANDING COMMITTEES				
Time – 9:00 a.m.	Legislative Time – 9:00 a.m.	Administrative Time – 10:00 a.m.	Mobile Source Time – 9:00 a.m.	Stationary Source Time – 10:30 a.m.	Technology Time – 12:00 p.m.
January 9	January 16	January 16	January 23	January 23	January 23
February 6	February 13	February 13	February 20	February 20	February 20
March 6	March 13	March 13	March 20	March 20	March 20
April 3	April 10	April 10	April 17	April 17	April 17
May 1	May 8	May 8	May 15	May 15	May 15
June 5	June 12	June 12	June 26	June 26	June 26
No Board Meeting in July	<b>No Standing Committees in July</b>				
August 7	August 14	August 14	August 21	August 21	August 21
September 4	September 11	September 11	September 18	September 18	September 18
October 2	October 9	October 9	October 16	October 16	October 16
November 6	November 13	November 13	November 20	November 20	November 20
December 4	December 11	December 11	No Meeting	No Meeting	No Meeting



# South Coast Air Quality Management District

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

## YOUNG LEADERS ADVISORY COUNCIL WEDNESDAY, MAY 21, 2025 MEETING MINUTES

### **Members Present:**

Gabriela Ballesteros  
Emanuel De Jesús Cruz  
Alexander Goytia Fajardo  
Shirley Mariel Rivera  
Elizabeth Zamora  
Silvestre Lopez  
Roxana Marina Barrera  
Andres Coronel  
Jose Marquez Cuevas  
Heaven Denham  
Maiah Itzel Rivas  
Jai Lin Alise Salas  
Joshua Scheel  
Gilbert Sebastian Sanchez

### **Members Absent:**

Leslie Helen Garcia  
Mark Jimenez  
Vanessa Melesio  
Dominick Rodriguez  
Jordan Ashley Salcido  
Emanuel Jeffery Alcantar Rodriguez  
Jessica Santos  
Linh Tran  
Tai Nguyen  
Eric Tomas

**South Coast AQMD Staff:**

Chair Vanessa Delgado

Dr. Anissa Heard-Johnson, Deputy Executive Officer, Community, Engagement and Air Programs

Josephine Lee, Senior Deputy Counsel, Legal Community, Engagement and Air Programs

Dr. Alexis Thrower, Senior Public Affairs Specialist

Cassandra Johnson, Senior Public Affairs Specialist

Carolina Vargas, Staff Assistant

Heather Pomeroy, Senior Administrative Assistant

Paola Servas, Senior Office Assistant

**Call To Order**

Dr. Heard-Johnson called the meeting to order at 12:33 p.m.

**Roll Call**

**Agenda Item #1: Staff Introductions and Agenda Overview**

Dr. Heard-Johnson welcomed the attendees and reviewed the agenda. Dr. Heard-Johnson provided some opening remarks the importance of the environment and community engagement For additional information, please refer to the [webcast](#) beginning 1:27.

**Agenda Item #2: Introductions**

Roundtable introductions were done, with special introductions for new YLAC Members, Jai Lin Alise Salas, Maiah Itzel Rivas, and Elizabeth Zamora, were introduced. For additional information please refer to the [webcast](#) beginning at 11:50.

**Agenda Item #3: Review and Approve Minutes**

Motion: Emanuel De Jesús Cruz

Seconded: Gabriela Ballesteros

Aye: Gabriela Ballesteros

Emanuel De Jesús Cruz

Alexander Goytia Fajardo

Shirley Mariel Rivera

Elizabeth Zamora

Silvestre Lopez

Roxana Marina Barrera

Andres Coronel

Jose Marquez Cuevas

Heaven Denham  
Maiah Itzel Rivas  
Jai Lin Alise Salas  
Joshua Scheel  
Gilbert Sebastian Sanchez

Nay: None

Absent: Leslie Helen Garcia  
Mark Jimenez  
Vanessa Melesio  
Dominick Rodriguez  
Jordan Ashley Salcido  
Emanuel Jeffery Alcantar Rodriguez  
Jessica Santos  
Linh Tran  
Tai Nguyen  
Eric Tomas

For additional information please refer to the [webcast](#) at 24:00.

**Agenda Item #4: Expense and Mileage Claim**

Ms. Pomeroy spoke on the importance of getting the expense and mileage claims returned in a timely manner and that expense claims must be submitted within 120 days of the meeting. For more information please refer to the [webcast](#) at 26:37.

**Agenda Item #5: Engagement Opportunities**

Dr. Heard-Johnson spoke about AB 617 and shared updates from the CEAP team and explained that some AB 617 communities are entering their fifth year, and South Coast AQMD recognizes that COVID-19 caused delays and roadblocks. CEAP team members are out in the community every Friday.

The Governing Board Interns will begin next week. Cassandra Johnson mentioned that the EPA Region 9 meeting was canceled due to recent impacts. Alexis spoke about the AAPI+ Heritage Celebration, which had 221 participants. A Military Appreciation Event was also held, where Board Member Hagman, a Lieutenant Colonel, shared his experiences. Lastly, the Joy Booth Project aimed to reduce workplace stress and anxiety by fostering connection and joy among coworkers. For additional information please refer to the [webcast](#) at 30:11.

**Agenda Item #6: Speaker Spotlight Governing Board Chair Vanessa Delgado**

The Governing Board Chair, Vanessa Delgado joined YLAC members to share her experiences and answer questions. Emanuel De Jesús Cruz asked about her experiences related to housing. Silvestre Lopez asked about providing education in a format that was culturally relevant. Joshua Scheel asked about potentially proposing infrastructural support plans through AB617 communities. Heaven Denham asked about challenges related to having to interact with other agencies and the public. For additional information please refer to the [webcast](#) at 56:17.

**Agenda Item #7: Community Spotlight**

Gilbert Sanchez talked about the connection of intelligent transportation engineers. It's a local chapter that focuses on transportation looking at sustainability. Shirley Mariel Rivera said there was an AAPI Forward movement and wanting Johnathan Pacheco Bell for a speaker. Shirley also mentioned community conversation connections along our corridors on Thursday May 29 from 1:00-2:30 pm. Heaven Denham talked about issues in academia and a researcher at USC that does work related to air quality and epidemiology. Roxana Marina Barrera invited the group to a community event occurring on May 31<sup>st</sup> in San Bernardino. Shirley Mariel Rivera asked if information on events can be shared with the membership. If information is shared with Heather Pomeroy, she can share with all YLAC members. Gabriella Ballesteros mentioned the possibility of a quarterly newsletter. Jose Cuevas wanted to know who to contact so they could have action items ready to go for agendas. That information would be relayed to Heather so she can add items to the agenda. Alexander Goytia Fajardo talked about CBE partnering with UCI using photographic data to record land surface temperatures and air quality. For additional information please refer to the [webcast](#) at 49:54.

**Agenda Item #8: Other Business**

There were no items for other business. For additional information please refer to the [webcast](#) at 01:52:08

**Agenda Item #9: Public Comment Period**

There was public comment related to EV Charging and the lack of infrastructure. For additional information please refer to the [webcast](#) at 01:29:16

**Agenda Item #10: Next Meeting Date**

The next regular YLAC meeting is scheduled for Wednesday, August 20, 2025 at 12:30 p.m.

**Adjournment**

The meeting was adjourned the meeting at 2:28 p.m.



# South Coast Air Quality Management District

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

## LOCAL GOVERNMENT & SMALL BUSINESS ASSISTANCE (LGSBA) ADVISORY GROUP FRIDAY, JANUARY 17, 2025 MEETING MINUTES

### MEMBERS PRESENT:

South Coast AQMD Board Members:

Mayor Pro Tem Carlos Rodriguez, LGSBA Chair

Public Members:

Paul Avila, P.B.A. & Associates

Geoffrey Blake, Metal Finishers of Southern California

Councilmember James Breitling, City of Upland

Mayor Ted Bui, City of Fountain Valley

LaVaughn Daniel, Danco EN

John DeWitt, JE DeWitt, Inc.

Bill LaMarr, California Small Business Alliance

Rita Loof, RadTech International

Eddie Marquez, Roofing Contractors Association

David Rothbart, Los Angeles County Sanitation Districts

Mayor Blair Stewart, City of Brea

### MEMBERS ABSENT:

South Coast AQMD Board Members:

Mayor Patricia Lock Dawson

Public Members:

Felipe Aguirre

Rachelle Arizmendi

Todd Campbell, Clean Energy

### OTHERS PRESENT:

Tom Gross, Board Member Consultant (*Lock Dawson*)

Debra Mendelsohn, Board Member Consultant (*Rodriguez*)

Andrew Silva, Board Member Consultant (*Lock Dawson*)

Maria Isabel Arias

Justin Braasch

Beau Caouette

Isabel Carpio

Marissa Chagolla

Rudy Correa  
Harvey Eder  
Elizabeth Hall  
Jenne Hand  
Margaret Hanscom  
Karen Harris  
Moses Huerta  
Dana Jiron  
Debra Kamm  
Beth Kuttner  
Joe Lisuzzo  
Kristin Marchillo  
Shannan Maust  
Hadley Nolan  
Dave Palmer  
Rubi Perez  
Jocelyn Rubio-Melendrez  
Adrienne Russell  
Nathalie Ruttkay  
Lani Siakisini  
Chander Singh  
Eric Stalter  
Alex Villanueva  
Nick Wilson  
Andrea Woore  
Denise Young

**SOUTH COAST AQMD STAFF:**

Susan Nakamura, Chief Operating Officer  
Jason Aspell, Deputy Executive Officer  
Dr. Anissa Cessa Heard-Johnson, Deputy Executive Officer  
Ron Moskowitz, Deputy Executive Officer  
Lisa Tanaka, Deputy Executive Officer  
Daphne Hsu, Principal Deputy District Counsel  
Mitch Haimov, Sr. Air Quality Engineering Manager  
Michael Morris, Planning & Rules Manager  
Elaine-Joy Hills, Senior Staff Specialist  
De Groeneveld, Information Technology Supervisor  
Chhai Chorn, Air Quality Engineer II  
Marvin Ignacio, Air Quality Engineer II  
Van Doan, Air Quality Specialist  
Jen Vinh, Air Quality Specialist

Debra Ashby, Sr. Public Affairs Specialist  
Brandee Keith, Sr. Public Affairs Specialist  
Aisha Reyes, Sr. Public Affairs Specialist  
Matthey Ceja, Legislative Analyst  
Ghislain Muberwa, Information Technology Specialist I  
Cindy Bustillos, Executive Secretary  
Brisa Lopez, Administrative Assistant I

**Agenda Item #1 – Roll Call/Call to Order/Opening Remarks**

LGSBA Chair Carlos Rodriguez called the meeting to order at 11:30 a.m., roll call was taken, and a quorum was present.

For additional details of the LGSBA Advisory Group Meeting, please refer to the [Webcast](#).

**Agenda Items #2– Approval of November 8, 2024 Meeting Minutes**

LGSBA Chair Rodriguez called for approval of the November 8, 2024 meeting minutes.

Harvey Eder made public comment regarding difficulties in downloading the agenda and minutes.

Motion to approve minutes made by David Rothbart; seconded by Mayor Ted Bui; approved.

Ayes: Avila, Blake, Breitling, Bui, Daniel, DeWitt, LaMarr, Loof, Marquez, Rodriguez, Rothbart

Noes: None

Abstained: Stewart

Absent: Aguirre, Arizmendi, Campbell, Lock Dawson

For additional details, please refer to the [Webcast](#), beginning at 0:05:10.

**Agenda Items #3 – Review of Follow-up and Action Items**

Lisa Tanaka, Deputy Executive Officer, Legislative, Public Affairs and Media, reported that Daphne Hsu, Principal Deputy District Counsel, communicated with Bill LaMarr per his inquiry regarding the Blue-Ribbon Committee and she provided a copy of the most recent LGSBA Charter.

Mr. LaMarr recommended that any proposed changes to the charter should be reviewed and approved by the Advisory Group.

**Follow-up Item:** *Provide the Advisory Group clarification on the process to amend the charter.*

For additional details, please refer to the [Webcast](#), beginning at 0:07:15.

#### **Agenda Item #4 – Overview of 2025 Rule Forecast**

Michael Morris, Planning & Rules Manager, Planning, Rule Development & Implementation provided a summary of Rules activities in 2024 and a forecast of Rules in 2025.

David Rothbart asked how rules are prioritized for rulemaking. Mr. Morris responded on rulemaking process including that selection could be based on new technology availability or industry interests.

Mayor Ted Bui asked if business impacts are considered. Mr. Morris replied that there are opportunities for businesses to provide input and impacts on businesses are taken into consideration, particularly cost-effectiveness and competitiveness.

LGSBA Chair Rodriguez commented that rule requirements are driven by federal requirements.

Susan Nakamura, Chief Operating Officer, commented that South Coast AQMD modifies proposed rule provisions to ensure that concerns are addressed, and a socioeconomic impact study is part of the rulemaking process.

Paul Avila and Mr. Morris discussed fence line and community monitoring.

Mr. LaMarr expressed support for Rule 1151 amendments.

Rita Loof commented that recordkeeping requirements are unnecessary for electron beam and ultraviolet coatings, which do not contain toxic chemicals.

For additional details on the presentation and discussions, please refer to the [Webcast](#), beginning at 1:23:40.

#### **Agenda Item #5 – 2025 Compliance Deadlines and Training**

Item has been moved to a future meeting.

#### **Agenda Item #6 – Update on Outreach for Proposed Amended Rules 1111 & 1121**

Ms. Tanaka presented an update on outreach activities for Proposed Amended Rules (PARs) 1111 and 1121 and the Go Zero Incentive Program.

Councilmember James Breitling asked if a rule had ever impacted all 17 million South Coast Air Basin residents. Ms. Nakamura responded that these two rules are existing ones that are being amended. The current rules include standards for nitrogen oxides (NOx) and this current effort proposes to transition to zero-NOx technologies. Ms. Nakamura added that consumer-type rules are implemented through manufacturers, distributors and installers and not enforced in individual households.

Ms. Nakamura advised the group that the presentation and discussion focused on outreach activities related to PARs 1111 and 1121 in alignment with LGSBA's mission and to prevent potential issues related to serial meetings under the Brown Act. Mr. Breitling commented on focusing outreach on highly populated cities to engage more members of the public.

Mayor Bui commented he was not aware of PARs 1111 and 1121 until he was appointed as a LGSBA member. Mayor Bui expressed concerns with residents and stakeholders not being properly informed.

Mr. Rothbart suggested South Coast AQMD hold a press conference for PARs 1111 and 1121.

Ms. Hsu indicated there are opportunities during the working group meetings and Stationary Source Committee meetings to provide formal comments.

Mr. LaMarr recommended using news outlets, such as LA Times, OC Register, and Enterprise to provide detailed information on PARs 1111 and 1121.

Ms. Loof recommended outreach to City Councils and suggested clarifications on the fact sheet including information on emissions reduction from replacing a water heater versus emissions during a Public Safety Power Shutoff (PSPS) event when back-up emergency generators are utilized.

Geoffrey Blake provided an example on costs to upgrade an electrical system.

Chair Rodriguez recommended South Coast AQMD staff to collaborate with City Council representatives to disseminate information on Rules 1111 and 1121.

After discussion among the Advisory Group, Chair Rodriguez requested staff to report back on a pathway to agendaize PARs 1111 and 1121 so LGSBA could adopt a position to advise the Board including holding a special meeting.

For additional details, please refer to the [Webcast](#), beginning at 0:16:10.

### **Public Comments**

Nick Wilson provided public comment describing the impacts to businesses and the community.

Eric Stalter provided public comment regarding the data on the fact sheet and environmental impact.

Debra Kamm, Andrea, Dave Palmer, Maria Isabel Arias and an anonymous attendee provided public comments regarding the effectiveness of the outreach efforts.

Ms. Kamm recommended a communication plan including communication in multiple languages.

Mr. Palmer indicated that information about gas water heater emissions testing should be available and recommended using expanded acronyms in the presentation.

Ms. Arias discussed impacts on disadvantaged and special needs communities.

For additional details, please refer to the [Webcast](#), beginning at 0:16:10.

**Agenda Item #8 – Public Comment**

Harvey Eder provided public comment regarding solar hot water and heat. For additional details on the presentation and discussions, please refer to the [Webcast](#), beginning at 1:48:35.

**Agenda Item #9 – Next Meeting Date**

The next regular LGSBA Advisory Group meeting is scheduled for Friday, June 13, 2025, at 11:30 a.m.

**Adjournment**

The meeting was adjourned at 1:25 p.m.



# South Coast Air Quality Management District

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

## **LOCAL GOVERNMENT & SMALL BUSINESS ASSISTANCE (LGSBA) ADVISORY GROUP FRIDAY, MARCH 21, 2025 MEETING MINUTES**

### **MEMBERS PRESENT:**

#### Public Members:

Rachelle Arizmendi  
Paul Avila, P.B.A. & Associates  
Geoffrey Blake, Metal Finishers of Southern California  
Councilmember James Breitling, City of Upland  
Mayor Ted Bui, City of Fountain Valley  
LaVaughn Daniel, Danco EN  
Bill LaMarr, California Small Business Alliance  
Rita Loof, RadTech International  
David Rothbart, Los Angeles County Sanitation Districts

### **MEMBERS ABSENT:**

#### South Coast AQMD Board Members:

Mayor Pro Tem Carlos Rodriguez, LGSBA Chair  
Mayor Patricia Lock Dawson

#### Public Members:

Felipe Aguirre  
Todd Campbell, Clean Energy  
John DeWitt, JE DeWitt, Inc.  
Eddie Marquez, Roofing Contractors Association  
Mayor Blair Stewart, City of Brea

### **OTHERS PRESENT:**

Chris Chavez  
Riley Desmarais  
Ken Domer  
Harvey Eder  
Fernando Gaytan  
Jed Holtzman  
Yassi Kavezade  
Michelle Keldorf

Pete Marsh  
Jessica Martinez  
Sonja Shaw  
John Shipman  
Andrea Worre  
Carlos Zamano

**SOUTH COAST AQMD STAFF:**

Wayne Nastri, Executive Officer  
Susan Nakamura, Chief Operating Officer  
Dr. Anissa Cessa Heard-Johnson, Deputy Executive Officer  
Sarah Rees, Deputy Executive Officer  
Lisa Tanaka, Deputy Executive Officer  
Michael Krause, Assistant Deputy Executive Officer  
Daphne Hsu, Principal Deputy District Counsel  
Heather Farr, Planning & Rules Manager  
Yanrong Zhu, Program Supervisor  
Elaine-Joy Hills, Senior Staff Specialist  
De Groeneveld, Information Technology Supervisor  
Chhai Chorn, Air Quality Engineer II  
Van Doan, Air Quality Specialist  
Matthew Ceja, Legislative Analyst  
Cristina Lopez, Sr. Public Information Specialist  
Alberto Silva, Sr. Information Technology Specialist  
Ghislain Muberwa, Information Technology Specialist I  
Cindy Bustillos, Executive Secretary  
Lara Brown, Sr. Administrative Assistant  
Maria Corralejo, Sr. Administrative Assistant  
Brisa Lopez, Administrative Assistant I  
Marissa Poon, Administrative Assistant I

### **Agenda Item #1 – Roll Call/Call to Order/Opening Remarks**

Lisa Tanaka, Deputy Executive Officer, Legislative, Public Affairs and Media, called the meeting to order at 12:00 p.m. Geoffrey Blake joined meeting at 12:07 p.m. Roll call was taken, and a quorum was present.

There was a discussion as to who should facilitate meetings when the LGSBA Chair is not present. Mayor Ted Bui requested that Legal send a copy of the policies that allow staff to Chair LGSBA.

*Action Item: Send LGSBA policy regarding chairing of meetings.*

For additional details of the LGSBA Advisory Group Meeting, please refer to the [Webcast](#).

### **Agenda Item #2 – Update on Proposed Amended Rules 1111 & 1121**

Ms. Heather Farr, Planning & Rules Manager of Planning, Rule Development & Implementation presented updates on proposed amendments to Rules 1111 and 1121.

There were several key discussion items:

- **Market Trends:** Paul Avila inquired about manufacturer reductions; Ms. Farr noted increased sales of heat pump units. Rita Loof sought confirmation on manufacturer distribution and larger afterburners.
- **Compliance & Regulation:** Bill LaMarr asked if targets were set by staff or manufacturers. Ms. Farr confirmed staff set them in consultation with manufacturers. Susan Nakamura noted new building codes will require electric appliances by 2026.
- **Public Outreach & Affordability:** Mayor Bui expressed concerns that outreach efforts haven't reached the broader public. Councilmember James Breitling emphasized the need for improved communication, given ongoing regulatory changes.
- **Cost & Infrastructure Concerns:** Geoffrey Blake and others raised concerns about upgrade costs for older homes and the electrical grid. Ms. Farr explained that heat pumps are more efficient, and funding is allocated for rebates.
- **Mitigation & Implementation:** Ms. Farr outlined categories of stakeholder feedback: mitigation fees, compliance targets, and rule adoption. A technology review is planned for 2028. Concerns were raised about inventory management, consumer costs, and potential power shutdowns.
- Rebate allocations include:
  - \$1,000 – \$3,000 per unit for single-family homes
  - \$1,000 – \$4,000 per unit for multi-family residences (with a \$300,000 cap)
  - \$4,000 per unit for small businesses

Other key points raised during the Advisory Group discussion:

- South Coast AQMD is working to meet AQMP goals, but mobile source reductions are also necessary.
- The pilot program will be adjusted over time.
- Some cities prefer outreach via mailed memos instead of email, especially for senior residents.

Rachelle Arizmendi asked if other Air Districts have implemented such changes. Ms. Nakamura explained that Bay Area AQMD has a rule in place.

For additional details, please refer to the [Webcast](#), beginning at 15:50:00.

### **Public Comments**

Chris Chavez provided public comment in support of the proposed amendments to Rules 1111 & 1121, in which all feasible measures should be taken into account.

Jessica Martinez, John Shipman, Sonja Shaw, Harvey Eder, Andrea, and Jed Holtzman provided public comments regarding the effectiveness of the outreach efforts.

For additional details, please refer to the [Webcast](#), beginning at 1:33:45.

Mr. Bui motioned to table the agenda item to a later meeting so that he may address the changes in proposed amendments to constituents. There was not a second to the motion.

There was discussion about the timeline of the proposed amendments to Rule 1111 & 1121 that are scheduled to be presented to the Governing Board in May 2025 and may be moved to June 2025 due to scheduling of the SCAG General Assembly. The draft preliminary rule language presentation for amendments to Rules 1111 & 1121 was made available to the public on February 28, 2025, as part of the Public Consultation Meeting.

Mr. Rothbart made a **motion to make the recommendation to the Governing Board that LGSBA Advisory Members oppose Proposed Amended Rules 1111 and 1121 with the recommendation (from Rachelle Arizmendi) for more outreach as the rules evolve.**

Ms. Loof seconded the motion.

Vote was taken for motion. **Motion passed.**

Ayes: Arizmendi, Avila, Blake, Breitling, Bui, Daniel, LaMarr, Loof, Rothbart

Noes: None

Abstained: None

Absent: Aguirre, Campbell, DeWitt, Lock Dawson, Marquez, Rodriguez, Stewart

Ms. Nakamura mentioned that LGSBA can draft a letter that captures this motion. Mr. Breitling presented an Opposition Letter for the Advisory Group's consideration.

Daphne Hsu, Principal Deputy District Counsel mentioned that the draft letter can be conveyed as written communication to the Administrative Committee provided there is a motion and vote.

Mr. Avila **motioned to advance this draft letter to the Administrative Committee.** Ms. Loof seconded the motion and read the draft letter into the record. Staff received the draft letter via email and shared it on Zoom during the meeting.

Ms. Nakamura asked Mr. Breitling if the draft letter had been written prior to the shift in approach to the draft preliminary language for PARs 1111 and 1121. Mr. Breitling clarified that he had updated the letter, considering the changes in the rule language.

Vote was taken for motion. **Motion passed.**

Ayes: Arizmendi, Avila, Blake, Breitling, Bui, Daniel, LaMarr, Loof, Rothbart

Noes: None

Abstained: None

Absent: Aguirre, Campbell, DeWitt, Lock Dawson, Marquez, Rodriguez, Stewart

For additional details, please refer to the [Webcast](#), beginning at 2:35:09.

#### **Agenda Item #4 – Public Comment**

Harvey Eder provided public comment regarding heat pumps and the ozone layer. For additional details, please refer to the [Webcast](#), beginning at 2:45:00.

#### **Agenda Item #5 – Next Meeting Date**

The next regular LGSBA Advisory Group meeting is scheduled for Friday, June 13, 2025, at 11:30 a.m.

#### **Adjournment**

The meeting was adjourned at 2:50 p.m.



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## LOCAL GOVERNMENT & SMALL BUSINESS ASSISTANCE (LGSBA) ADVISORY GROUP FRIDAY, JUNE 27, 2025 MEETING MINUTES

### MEMBERS PRESENT:

South Coast AQMD Board Members:

Mayor Pro Tem Carlos Rodriguez, LGSBA Chair

Public Members:

Paul Avila, P.B.A. & Associates

Councilmember James Breitling, City of Upland

LaVaughn Daniel, Danco EN

Bill LaMarr, California Small Business Alliance

Rita Loof, RadTech International

David Rothbart, Clean Water SoCal

### MEMBERS ABSENT:

South Coast AQMD Board Members:

Mayor Patricia Lock Dawson

Vice Mayor Brenda Olmos

Public Members:

Felipe Aguirre

Rachelle Arizmendi

Geoffrey Blake, Metal Finishers of Southern California

Mayor Ted Bui, City of Fountain Valley

Todd Campbell, Clean Energy

John DeWitt, JE DeWitt, Inc.

Eddie Marquez, Roofing Contractors Association

Mayor Blair Stewart, City of Brea

### OTHERS PRESENT:

Debra Mendelsohn, Board Member Consultant (*Rodriguez*)

Andrew Silva, Board Member Consultant (*Lock Dawson*)

**SOUTH COAST AQMD STAFF:**

Susan Nakamura, Chief Operating Officer  
Aaron Katzenstein, Deputy Executive Officer  
Sarah Rees, Deputy Executive Officer  
Lisa Tanaka, Deputy Executive Officer  
Ian MacMillan, Assistant Deputy Executive Officer  
Daphne Hsu, Principal Deputy District Counsel  
Vasileios Papapostolou, Planning & Rules Manager  
Lane Garcia, Program Supervisor  
De Groeneveld, Information Technology Supervisor  
Chhai Chorn, Air Quality Engineer II  
Van Doan, Air Quality Specialist  
Paul Macias, Air Quality Specialist  
Albertos Silva, Sr. Information Technology Specialist  
Ghislain Muberwa, Information Technology Specialist I  
Cindy Bustillos, Executive Secretary  
Lara Brown, Sr. Administrative Assistant  
Giselle Herrera, Governing Board Intern  
Nicole Vera, Governing Board Intern

**Agenda Item #1 – Roll Call/Call to Order/Opening Remarks**

Chair Rodriguez called the meeting to order at 11:30 a.m. Geoffrey Blake was not at a noticed location and was unable to participate in the meeting as an LGSBA member. Roll call was taken, and a quorum was not present.

There were remarks highlighting the collaborative process and input for a communication letter for Rules 1111 and 1121.

For additional details of the LGSBA Advisory Group Meeting, please refer to the [Webcast](#).

**Agenda Item #4 – Review of Follow-up and Action Items**

Lisa Tanaka, Deputy Executive Officer, Legislative, Public Affairs & Media, reviewed follow-up/action items from the previous meeting. The process on how the LGSBA Advisory Group Charter can be amended will be presented at a future meeting. An email was sent to LGSBA members with information on the policy for chairing meetings. The policy will be discussed further at a future meeting.

**Agenda Item #5 – Update on AB 2766**

Lane Garcia, Program Supervisor, Planning, Rule Development & Implementation provided an update on AB 2766. For more information, please refer to the [Webcast](#) at 31:20:00.

Chair Rodriguez asked for confirmation that 121 tons of emissions reduced correlates to the \$22 million in AB 2766 project spending. Mr. Garcia confirmed the emissions reductions and spending

Councilmember James Breitling asked about requirements for electric vehicle (EV) replacements. Mr. Garcia clarified that the program does not require vehicle scrapping to obtain an EV.

David Rothbart asked about the funding breakdowns in other air districts. Mr. Garcia responded that the \$1.20 collected from each vehicle within South Coast AQMD jurisdiction does not go to other air districts.

Rita Loof asked if the AB 2766 projects had to be related to a mobile source activity. Mr. Garcia stated that projects must be motor vehicle-related to qualify for program funding.

Bill LaMarr asked whether cities are allowed an extended the timeline to implement projects under the program. Mr. Garcia responded that there is no sunset date for using the funds; however, funds are placed in a dedicated city account and are subject to audits. He added that cities receive quarterly distributions and can plan for long-term projects accordingly.

There were no public comments.

For additional details, please refer to the [Webcast](#), beginning at 31:20:00.

**Agenda Item #6 – Update on Clean Fuels Annual Report**

Vasileios Papapostolou, Planning & Rules Manager, Technology Advancement Office (TAO) presented updates on the Clean Fuels Annual Report. which summarizes the previous year’s activities and is submitted annually to the State Legislature. For more information, please refer to the [Webcast](#) at 05:00:00.

Paul Avila asked about long-term funding considering budget cuts and impacts to workforce. Aaron Katzenstein, Deputy Executive Officer, TAO, elaborated that part of the grant awarded is for job creation and the funds do not necessarily stay within Southern California but will go towards manufacturing in other states.

Mr. Rothbart inquired about incentives for private fleets to adopt near zero-emission vehicles. Dr. Katzenstein responded that the Carl Moyer Program supports near zero-emission projects, though some program aspects may be subject to future changes.

Mr. LaMarr asked for examples and details regarding truck trade-ins under the VW Mitigation program. Dr. Katzenstein explained that South Coast AQMD administers funding for scrapping 2010-2012 model year trucks, with funds provided to the purchasers of replacement trucks.

Ms. Loof inquired about locomotives and CARB regulations. Dr. Papapostolou noted that the mobile hydrogen refueler can service marine vessels and locomotives. Ms. Loof also asked about the timeline for INVEST CLEAN; Dr. Papapostolou stated TAO is working on program announcements. Ms. Loof sought clarification on whether air filtration units are only for AB 617 communities. Dr. Katzenstein confirmed that two AB 617 communities used participatory budgeting to request residential air filtration units.

Mr. Breitling asked about the Residential Electric Lawn and Garden program. Dr. Katzenstein noted that the Lawn and Garden exchange program is ongoing and available online.

There were no public comments.

For additional details, please refer to the [Webcast](#), beginning at 05:00:00.

**Agenda Item #8 – Public Comment**

There were no public comments.

**Agenda Item #9 – Next Meeting Date**

The next regular LGSBA Advisory Group meeting is scheduled for Friday, August 8, 2025, at 11:30 a.m.

**Adjournment**

The meeting was adjourned at 12:30 p.m.