

BOARD MEETING DATE: October 3, 2014

AGENDA NO. 3

PROPOSAL: Execute Contracts for FY 2013-14 “Year 16” Carl Moyer Program and Issue Program Announcement for SOON Provision

SYNOPSIS: On June 4, 2014, proposals were received in response to the Program Announcements issued for the “Year 16” Carl Moyer Program and the SOON Provision. These actions are to execute contracts for the “Year 16” Carl Moyer Program and the SOON Provision in an amount not to exceed \$32,125,909, comprised of \$24,979,524 from the SB 1107 Fund (32), \$6,532,403 from the AB 923 Fund (80) and \$613,982 in accrued interest from the Carl Moyer Program Fund (32). Furthermore, this action is to issue a Program Announcement for the SOON Provision.

COMMITTEE: Technology, September 19, 2014; Less than a quorum participated in this item, the remaining Committee Member recommended this item go directly to the full Board for consideration.

RECOMMENDED ACTIONS:

- A. Authorize the Chairman to execute the following Carl Moyer Program contracts with funds from the Carl Moyer Program SB 1107 Fund (32) for a total of up to \$21,087,452:
1. Inter-Rail Transport for the repower of 2 switcher locomotives in an amount not to exceed \$3,607,400;
 2. Amtrak for the repower of 1 switcher locomotive in an amount not to exceed \$1,785,000;
 3. Mike Drews Construction for the replacement of 1 off-road vehicle in an amount not to exceed \$154,421;
 4. A-G Sod Farms for the replacement of 9 off-road vehicles in an amount not to exceed \$339,335;
 5. P & D Dairy for the replacement of 3 off-road vehicles in an amount not to exceed \$285,747;
 6. T & M Construction (T & M Projects, Inc.) for the replacement of 1 off-road vehicle in an amount not to exceed \$207,731;
 7. Alta Nursery, Inc. for the replacement of 15 off-road vehicles in an amount not to exceed \$187,125;

8. Southern California Landscape Supply for the replacement of 1 off-road vehicle in an amount not to exceed \$219,456;
9. Wood Bros Trucking & Equipment Rental, Inc. for the repower of 1 off-road vehicle in an amount not to exceed \$116,017;
10. Bootsma Silva Farms for the replacement of 7 off-road vehicles in an amount not to exceed \$181,333;
11. Baumann Heavy Equipment for the repower of 1 off-road vehicle in an amount not to exceed \$34,560;
12. City of Moreno Valley for the replacement of 3 off-road vehicles in an amount not to exceed \$49,412;
13. Fernando Fuentes for the replacement of 2 off-road vehicles in an amount not to exceed \$251,640;
14. North County Sand and Gravel for the replacement of 2 off-road vehicles in an amount not to exceed \$423,347;
15. C&R Farms, Inc. for the replacement of 5 off-road vehicles in an amount not to exceed \$722,128;
16. RRM Properties Ltd. for the repower of 14 and the repower and retrofit of 10 off-road vehicles in an amount not to exceed \$2,464,484;
17. SA Recycling for the retrofit of 12 off-road vehicles in an amount not to exceed \$234,320;
18. City of Whittier for the replacement of 1 off-road vehicle in an amount not to exceed \$150,319;
19. Progressive Land Clearing A Corporation dba Thomas Demolition for the replacement of 2 off-road vehicles in an amount not to exceed \$143,996;
20. Whittier Fertilizer Company for the replacement of 2 off-road vehicles in an amount not to exceed \$392,593;
21. Dustin Smith Equipment, Inc. for the repower of 1 off-road vehicle in an amount not to exceed \$48,089;
22. Dakeno, Inc. for the replacement of 1 off-road vehicle in an amount not to exceed \$52,624;
23. Allan Company for the replacement of 8 off-road vehicles in an amount not to exceed \$339,321;
24. Dependable Highway Express, Inc. for the replacement of 7 off-road vehicles in an amount not to exceed \$596,408;
25. L&S Construction for the replacement of 2 off-road vehicles in an amount not to exceed \$179,270;
26. West End Material Supply for the replacement of 2 off-road vehicles in an amount not to exceed \$37,341;
27. Daylight Transport LLC for the replacement of 3 off-road vehicles in an amount not to exceed \$236,286;
28. San-Mar Construction for the replacement of 3 off-road vehicles in an amount not to exceed \$54,549;
29. Earth Tek Engineering for the repower of 1 off-road vehicle in an amount not to exceed \$121,037;

30. APM Terminals for the replacement of 1 off-road vehicle in an amount not to exceed \$202,726;
31. Mario Bujas for the repower of 1 main and 1 auxiliary engines of a marine vessel in an amount not to exceed \$192,950;
32. Igor Mamin for the repower of 2 main and 1 auxiliary engines of a marine vessel in an amount not to exceed \$253,300;
33. Meo Nguyen for the repower of 1 main and 1 auxiliary engines of a marine vessel in an amount not to exceed \$135,150;
34. J Deluca Fish Company for the repower of 1 main and 1 auxiliary engines of a marine vessel in an amount not to exceed \$291,550;
35. Steve Mardesich for the repower of 1 main and 1 auxiliary engines of a marine vessel in an amount not to exceed \$146,200;
36. Seaway Company of Catalina for the repower of 2 main engines of a marine vessel in an amount not to exceed \$261,800;
37. Endeavor Ocean Adventures for the repower of 2 main engines of a marine vessel in an amount not to exceed \$214,200;
38. F/V Triton for the repower of 2 main and 1 auxiliary engines of a marine vessel in an amount not to exceed \$242,250;
39. Nancy Brkic for the repower of 1 main engine of a marine vessel in an amount not to exceed \$104,550;
40. Kent Jacobs for the repower of 1 main engine of a marine vessel in an amount not to exceed \$135,297;
41. Mountain & Sea Educational Adventures for the repower of 2 main and 2 auxiliary engines of a marine vessel in an amount not to exceed \$442,000;
42. Johnathan Batts for the repower of 2 main and 1 auxiliary engines of a marine vessel in an amount not to exceed \$245,650;
43. Marc Rosati for the repower of 1 main engine of a marine vessel in an amount not to exceed \$97,750;
44. Darrel Wilson for the repower of 1 main and 1 auxiliary engines of a marine vessel in an amount not to exceed \$146,096;
45. Warren Diving for the repower of 2 main engines of a marine vessel in an amount not to exceed \$162,350;
46. California Blu for the repower of 2 main and 1 auxiliary engines of a marine vessel in an amount not to exceed \$153,850;
47. Scott Howell for the repower of 1 main engine of a marine vessel in an amount not to exceed \$109,650;
48. Sea Bass Charters for the repower of 2 main engines of a marine vessel in an amount not to exceed \$226,100;
49. Pursuit Sportfishing for the repower of 2 main engines of a marine vessel in an amount not to exceed \$238,000;
50. Christie Doan for the repower of 2 main and 2 auxiliary engines of a marine vessel in an amount not to exceed \$243,100;
51. Cal Crystal Sea for the repower of 2 main and 1 auxiliary engines of two marine vessels in an amount not to exceed \$420,817;

52. Joel Harrison for the repower of 1 main engine of a marine vessel in an amount not to exceed \$47,238;
53. Freelance Sportfishing for the repower of 1 main engine of a marine vessel in an amount not to exceed \$62,738;
54. Jose Cesena for the repower of 1 main engine of a marine vessel in an amount not to exceed \$85,850;
55. Thanh Nguyen for the repower of 1 main and 2 auxiliary engines of a marine vessel in an amount not to exceed \$255,850;
56. Gene Stivers for the repower of 1 main engine of a marine vessel in an amount not to exceed \$107,813;
57. Tommy Lee Brooks dba Fresh Fishall for the repower of 2 main engines of a marine vessel in an amount not to exceed \$240,550;
58. Frank Sardegna for the repower of 2 main engines of a marine vessel in an amount not to exceed \$195,500;
59. Richard Harper for the repower of 1 main engine of a marine vessel in an amount not to exceed \$107,100;
60. Mark Heritage for the repower of 2 main and 1 auxiliary engines of a marine vessel in an amount not to exceed \$123,964;
61. Steve Summers for the repower of 2 main engines of a marine vessel in an amount not to exceed \$185,300;
62. Brian Shafer for the repower of 1 main engine of a marine vessel in an amount not to exceed \$136,224;
63. Weynands, Inc. for the repower of 1 main and 1 auxiliary engines of a marine vessel in an amount not to exceed \$283,050;
64. Harbor Dockside, Inc. for the repower of 6 main engines of three marine vessel in an amount not to exceed \$333,678;
65. James Kingsmill for the repower of 1 main engine of a marine vessel in an amount not to exceed \$122,375;
66. Pflieger Institute of Environmental Research for the repower of 2 main and 1 auxiliary engines of a marine vessel in an amount not to exceed \$245,889;
67. Jason Krol for the repower of 1 main engine of a marine vessel in an amount not to exceed \$94,350;
68. Kenton Efhan for the repower of 1 main engine of a marine vessel in an amount not to exceed \$115,654; and
69. F/V Aspiration for the repower of 1 main and 1 auxiliary engines of a marine vessel in an amount not to exceed \$63,704.

B. Authorize the Chairman to execute a contract with Orange County Transportation Authority for the repower of 189 transit buses, subject to CARB final approval under the Carl Moyer Program, in an amount not to exceed \$4,116,452, comprised of \$3,502,470 from the Carl Moyer Program SB 1107 Fund (32), and \$613,982 from interest funds accrued in the Carl Moyer Program Fund (32).

- C. Authorize the Chairman to amend the following awards with additional funds from the Carl Moyer Program SB 1107 Fund (32) for a total of up to \$389,602:
1. North County Sand and Gravel for the repower of 1 and replacement of 3 off-road vehicles instead of replacing 2 and repowering 2 off-road vehicles, with a funding increase of \$186,265 for a new total amount of \$1,106,371; and
 2. Fine Grade Equipment, Inc. for the replacement of 5 from the total of 8 off-road vehicles, instead of repowering them all, with a funding increase of \$203,337 for a new total amount of \$762,233.
 3. Sanitation Districts of Los Angeles County for the replacement of 2 off-road vehicles with two new off-road vehicles, one with a Final Tier 4 engine and one with an Interim Tier 4 engine, with no change in the award amount.
- D. Authorize the Chairman to execute the following Carl Moyer Program contracts with funds from the Carl Moyer Program AB 923 Fund (80) for a total of up to \$5,274,888:
1. Adelante Grading for the replacement of 1 off-road vehicle in an amount not to exceed \$64,843;
 2. T&W Parks Construction, Inc. for the replacement of 2 and the repower of 3 off-road vehicles in an amount not to exceed \$1,340,171;
 3. Mountain Top Quarries, LLC for the replacement of 7 off-road vehicles in an amount not to exceed \$2,255,953;
 4. Sage Green for the replacement of 2 and the repower of 3 off-road vehicles in an amount not to exceed \$1,569,685; and
 5. J&C Tractor, Inc. for the replacement of 1 off-road vehicle in an amount not to exceed \$44,236.
- E. Authorize the Chairman to execute the following SOON Provision contracts with funds from the Carl Moyer Program AB 923 Fund (80) for a total of up to \$1,257,515:
1. Peed Equipment Company for the repower of 4 off-road vehicles in an amount not to exceed \$1,065,516; and
 2. Power Move for the repower of 4 off-road vehicles in an amount not to exceed \$191,999.
- F. Approve issuance of Program Announcement #PA2015-05 to solicit projects for the SOON Provision.

Barry R. Wallerstein, D.Env.
Executive Officer

Background

This is the 16th year of the Carl Moyer Program and is the 10th year of the program with a long-term source of funding generated under SB 1107 and AB 923. For FY 2013-14, CARB has allocated \$24,296,352 in SB 1107 funds to the SCAQMD, comprised of \$23,081,534 in project funds and \$1,214,818 in administrative funds. In addition, \$3,097,785 is required from the SCAQMD as its local match. Table 1 shows a summary of the total available funds including accumulated interest and returned funds.

On June 4, 2014, proposals were received in response to the Program Announcements that were issued for the “Year 16” Carl Moyer Program and the SOON Provision. A total of 97 proposals were received requesting over \$151 million in funding. However, a large portion of the funding requests were for locomotive repower projects with engines of lower than Tier 4 certification. Staff will work with these applicants regarding the availability of Tier 4 certified engines and will coordinate the implementation schedule of these projects in line with the expenditure schedule of the Carl Moyer Program funds and will present them to the Board for consideration in the near future.

Outreach

In accordance with SCAQMD’s Procurement Policy and Procedure, a public notice advertising the RFP/RFQ and inviting bids was/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 have been/will be notified utilizing SCAQMD’s own electronic listing of certified minority vendors. Notice of the RFP/RFQ has been/will be e-mailed to the Black and Latino Legislative Caucuses and various minority chambers of commerce and business associations, and placed on the Internet at SCAQMD’s website (<http://www.aqmd.gov>).

Proposal

This action is to approve the recommended projects as outlined in Table 2 under the Carl Moyer Program in an amount not to exceed \$30,868,394, comprised of \$24,979,524 from the SB 1107 Fund (32), \$5,274,888 from the AB 923 Fund (80) and \$613,982 in accrued interest from the Carl Moyer Program Fund (32). This action is also to approve the recommended projects as outlined in Table 3 under the SOON Provision in an amount not to exceed \$1,257,515 from the Carl Moyer Program AB 923 Fund (80).

The applications have been evaluated according to CARB’s Carl Moyer Program guidelines released on June 6, 2011. All the marine vessel projects will be equipped with GPS units for which funding has been approved by the Board and set aside under a separate contract. The cost of the GPS units has been considered in the overall cost-effectiveness calculations of the marine vessel projects. The transit bus repower project

with the Orange County Transportation Authority is subject to and will be implemented after obtaining a case-by-case approval from CARB.

Total NO_x, PM and ROG emissions reductions from the recommended Carl Moyer Program projects are approximately 218.1 tons/year, 6.8 tons/year and 27.7 tons/year, respectively. Total NO_x emission reductions from the recommended SOON Provision projects are approximately 13.0 tons/year.

Table 4 summarizes staff's recommendation for the Carl Moyer Program and the SOON Provision awards in disproportionately impacted areas under the requirements of AB 1390. The total amount of projects funded in disproportionately impacted areas is \$16,966,970, while the total amount of projects funded solely based on cost-effectiveness is \$15,158,939. In summary, 52.8% of the projects are in disproportionately impacted areas.

This action is also to approve the release of the attached Program Announcement #PA2015-05 to provide funding assistance for off-road diesel vehicle projects to achieve additional NO_x emission reductions under the SOON Provision. The PA is issued based on the current Carl Moyer Program guidelines approved by CARB on July 11, 2014. Proposals will be due by 1:00 pm on Wednesday, February 4, 2015. Staff expects to finalize review and evaluation of the proposals and recommend awards for Board consideration at the June 5, 2015 Board meeting.

In addition, Sanitation Districts of Los Angeles County was previously awarded Moyer funds to replace two off-road vehicles with new vehicles. In March 2014, the Board approved a funding increase of \$18,858 for a new total amount of \$312,046. This action clarifies that the additional funds were to provide for the increased cost of one Final Tier 4 replacement vehicle, which will achieve additional NO_x emission reductions of 0.107 tons/year. The other replacement vehicle will have an Interim Tier 4 engine.

Funding Distribution

Funding for projects has been recommended based on the priorities of the "Carl Moyer Program Guideline under SB 1107 & AB 923" adopted by the Board on July 8, 2005. The priorities of the guideline are:

- Goods Movement (no less than 40%)
- Environmental Justice (no less than 50%)
- Cost Effectiveness
- Low-Emission Engine/Vehicle Preference
- Early Commercialization of Advanced Technologies/Fuels
- Fleet Rules
- School Buses

The Board's allocation of funds for the implementation of the Proposition 1B-Goods Movement Program by far exceeds the goods movement objective. About 52.8% of the award dollars are recommended for projects under the Environmental Justice category in disproportionately impacted areas.

Disproportionate Impact Point Ranking

The requirements of AB 1390 are implemented according to the following criteria:

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

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

Benefits to SCAQMD

The successful implementation of the Carl Moyer Program will provide direct emissions reductions for both NO_x and PM as required by the programs. Since the vehicles and equipment funded under this program will operate for many years, the emissions reductions will provide long-term benefits.

Resource Impacts

Funding for the Carl Moyer Program and the SOON Provision projects shall not exceed \$32,125,909, comprised of \$24,979,524 from the SB 1107 Fund (32), \$6,532,403 from the AB 923 Fund (80) and \$613,982 in accrued interest from the Carl Moyer Program Fund (32).

Attachments

1. Table 1 – Carl Moyer Program Available Funds
2. Table 2 – Recommended Carl Moyer Program Awards
3. Table 3 – Recommended SOON Provision Awards
4. Table 4 – Funding Distribution of Recommended Awards
5. Program Announcement #PA2015-05 for the SOON Provision

Table 1: Carl Moyer Program Available Funds

Funding Source	Funds Required to be Encumbered	Comment
SB 1107	\$24,993,963	From \$24,296,352 “Year 16” funds allocated by CARB: less \$1,214,818 in administration funds; plus \$1,912,429 in returned projects.
Carl Moyer Fund Interest	\$613,982	Total unobligated interest funds in Fund 32 by 6/30/14.
Match Funds	\$3,097,785	This is the required match amount for “Year 16”, which the SCAQMD has already met. However, in case of increased demand, projects can be funded with AB 923 funds that can be used either towards future match requirements or as backup for canceled or partially completed projects.
Total	\$28,705,730	

Table 2: Recommended Carl Moyer Program Awards

SB 1107 Awards (Fund 32)			
Inter-Rail Transport	\$3,607,400		Amtrak \$1,785,000
Mike Drews Construction	\$154,421		A-G Sod Farms \$339,335
P & D Dairy	\$285,747		T & M Construction \$207,731
Alta Nursery	\$187,125		Southern Ca. Landscape Supply \$219,456
Wood Bros Trucking & Equipment	116,017		Bootsma Silva Farms \$181,333
Baumann Heavy Equipment	\$34,560		City of Moreno Valley \$49,412
Fernando Fuentes	\$251,640		North County Sand & Gravel \$609,612
C & R Farms	\$722,128		RRM Properties \$2,464,484
SA Recycling	\$234,320		City of Whittier \$150,319
Progressive Land Clearing Corp.	\$143,996		Whittier Fertilizer Company \$392,593
Dustin Smith Equipment	\$48,089		Dakeno, Inc. \$52,624
Allan Company	\$339,321		Dependable Highway Express \$596,408
L&S Construction	\$179,270		West End Material Supply \$37,341
San-Mar Construction	\$54,549		Daylight Transport LLC \$236,286
APM Terminals	\$202,726		Earth Tek Engineering \$121,037
Igor Mamin	\$253,300		Mario Bujas \$192,950
J Deluca Fish Company	\$291,550		Meo Nguyen \$135,150
Seaway Company of Catalina	\$261,800		Steve Mardesich \$146,200
F/V Triton	\$242,250		Endeavor Ocean Adventures \$214,200
Kent Jacobs	\$135,297		Nancy Brkic \$104,550
Johnathan Batts	\$245,650		Mountain & Sea Edu. Adventures \$442,000
Darrel Wilson	\$146,096		Marc Rosati \$97,750
California Blu	\$153,850		Warren Diving \$162,350
Sea Bass Charters	\$226,100		Scott Howell \$109,650
Christie Doan	\$243,100		Pursuit Sportfishing \$238,000
Joel Harrison	\$47,238		Cal Crystal Sea \$420,817
Jose Cesena	\$85,850		Freelance Sportfishing \$62,738
Gene Stivers	\$107,813		Thanh Nguyen \$255,850
Frank Sardegna	\$195,500		Tommy Lee Brooks \$240,550
Mark Heritage	\$123,964		Richard Harper \$107,100
Brian Shafer	\$136,224		Steve Summers \$185,300
Harbor Dockside	\$333,678		Weynands, Inc. \$283,050
Pfleger Inst. Of Env. Research	\$245,889		James Kingsmill \$122,375
Kenton Eghan	\$115,654		Jason Krol \$94,350
Orange County Transp. Authority	\$3,502,470		F/V Aspiration \$63,704
Fine Grade Equipment	\$203,337		
Total: \$24,979,524			
AB 923 Awards (Fund 80)			
Adelante Grading	\$64,843		T & W Parks Construction 1,340,171
Mountain Top Quarries	\$2,255,953		Sage Green \$1,569,685
J&C Tractor	\$44,236		
Total: \$5,274,888			
Carl Moyer Interest Awards (Fund 32)			
Orange County Transp. Authority	\$613,982		
Total: \$613,982			
Grand Total \$30,868,394			

Table 3: Recommended SOON Provision Awards

AB 923 Awards (Fund 80)				
Power Move	\$191,999		Peed Equipment Company	\$1,065,516
Total:		\$1,257,515		

Table 4: Funding Distribution of Recommended Awards

Awards in Disproportionately Impacted Areas				
Inter-Rail Transport	\$3,607,400		Amtrak	\$1,785,000
City of Whittier	\$150,319		Whittier Fertilizer Company	\$392,593
Progressive Land Clearing Corp.	\$143,996		Dakeno, Inc.	\$52,624
Dustin Smith Equipment	\$48,089		Dependable Highway Express	\$596,408
Allan Company	\$339,321		West End Material Supply	\$37,341
L&S Construction	\$179,270		Daylight Transport LLC	\$236,286
San-Mar Construction	\$54,549		Earth Tek Engineering	\$121,037
Power Move	\$191,999		Orange County Transp. Authority	\$4,116,452
Igor Mamin	\$253,300		Meo Nguyen	\$135,150
J Deluca Fish Company	\$291,550		Steve Mardesich	\$146,200
Seaway Company of Catalina	\$261,800		Endeavor Ocean Adventures	\$214,200
F/V Triton	\$242,250		Nancy Brkic	\$104,550
Kent Jacobs	\$135,297		Mountain & Sea Edu. Adventures	\$442,000
Johnathan Batts	\$245,650		Marc Rosati	\$97,750
Darrel Wilson	\$146,096		Warren Diving	\$162,350
California Blu	\$153,850		Scott Howell	\$109,650
Sea Bass Charters	\$226,100		Pursuit Sportfishing	\$238,000
Christie Doan	\$243,100		Cal Crystal Sea	\$420,817
Joel Harrison	\$47,238		Freelance Sportfishing	\$62,738
Jose Cesena	\$85,850		Thanh Nguyen	\$255,850
Mario Bujas	\$192,950			
Total:				\$16,966,970
Awards Solely Based on Cost Effectiveness				
Mike Drews Construction	\$154,421		A-G Sod Farms	\$339,335
P & D Dairy	\$285,747		T & M Construction	\$207,731
Alta Nursery	\$187,125		Southern Ca. Landscape Supply	\$219,456
Wood Bros Trucking & Equipment	116,017		Bootsma Silva Farms	\$181,333
Baumann Heavy Equipment	\$34,560		City of Moreno Valley	\$49,412
Fernando Fuentes	\$251,640		North County Sand & Gravel	\$609,612
C & R Farms	\$722,128		RRM Properties	\$2,464,484
SA Recycling	\$234,320		Adelante Grading	\$64,843
T & W Parks Construction	\$1,340,171		Mountain Top Quarries	\$2,255,953
Sage Green	\$1,569,685		J&C Tractor	\$44,236
Fine Grade Equipment	\$203,337		Gene Stivers	\$107,813
Peed Equipment Company	\$1,065,516		Frank Sardegna	\$195,500
Tommy Lee Brooks	\$240,550		Mark Heritage	\$123,964
Richard Harper	\$107,100		Brian Shafer	\$136,224
Steve Summers	\$185,300		Harbor Dockside	\$333,678
Weynands, Inc.	\$283,050		Pfleger Inst. Of Env. Research	\$245,889
James Kingsmill	\$122,375		Kenton Ephan	\$115,654
Jason Krol	\$94,350		APM Terminals	\$202,726
F/V Aspiration	\$63,704			
Total:				\$15,158,939

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

SCAQMD PROGRAM ANNOUNCEMENT #PA2015-05

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

SECTION I – OVERVIEW

PURPOSE

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

INTRODUCTION

The SOON Program is designed to achieve additional NOx reductions above those that would be obtained from the State In-Use Off-Road Vehicle Regulation. These reductions are critical to meeting the PM_{2.5} and ozone ambient air quality standards in the South Coast Air Basin.

Funding for #PA2015-05 is from state SB 1107 and AB 923 funds. Project awards are contingent upon receiving these funds from CARB. Additional sources of funding may become available and added to this program.

Desirable projects must strive to meet a maximum cost-effectiveness limit of \$17,720 per ton of NOx emissions reduced and any additional SCAQMD criteria as stated in this PA (the cost-effectiveness limit may be changed depending on the demand for program funds). Projects exceeding the cost-effectiveness limit may receive partial funding. Except where otherwise stated, projects must meet the requirements of the CMP program guidelines.

The current Program Announcement was prepared using the Approved Revision of the Carl Moyer Program Guidelines released on July 11, 2014. It is the applicant’s responsibility to ensure that the most current information and requirements are reflected in a submitted application. Applicants should check the CARB website for updates and advisories to the guidelines (www.arb.ca.gov/msprog/moyer/moyer.htm).

SCAQMD SOON requirements may sometimes be more stringent than CARB guidelines. For example, SCAQMD may have a lower cost-effectiveness ceiling for a particular category. In case there are any conflicts between CARB guidelines and SCAQMD criteria, the more stringent criteria will prevail. SCAQMD will post any new information and requirements on its

SOON web page at <http://www.aqmd.gov/tao/implementation/soonprogram.htm>. It is the responsibility of the applicant to ensure that the most current information and requirements are reflected in a submitted application.

GENERAL PROGRAM INFORMATION

The primary focus of the SOON Program is to achieve emission reductions from heavy-duty vehicles and equipment operating in California as early and as cost-effectively as possible. The SOON Program is intended to achieve additional NO_x reductions which are needed to meet the PM_{2.5} and ozone ambient air quality standards in the South Coast Air Basin. The emission reductions expected through the deployment of low-emission engines or retrofit technologies under this program must be real, surplus, and quantifiable. To avoid double counting of emission reductions, project vehicles and/or equipment may not receive funding from any other government grant program that is designed to reduce mobile source emissions. Specifically, these programs include, but are not limited to:

- All Mobile Source Air Pollution Reduction Review Committee (MSRC) Programs
- All CARB Emission Reduction Credit Programs
- SCAQMD Rule 2202 Air Quality Investment Program
- SCAQMD RECLAIM Air Quality Investment Program for NO_x
- Emission Credit Programs encompassed in the SCAQMD Rule 1600-series and 1309.1
- 1B Bond Program
- AB 118 Funding Program

Both alternative fuel and diesel to diesel projects are eligible. **All projects must meet the program's cost-effectiveness limits and be operational no later than May 31, 2016.** No administrative or vehicle operational costs are eligible.

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

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

DEFINITIONS

Alternative Fuel

Alternative fuels include compressed natural gas (CNG), liquefied natural gas (LNG), methanol, ethanol, propane (LPG), and electric technologies. Dual-fuel technologies such as CNG/diesel, LNG/diesel and electric hybrids are also eligible, as long as they are CARB-certified. Experimental technologies and fuels will be referred to CARB for evaluation and possible eligibility in the program.

Base Rule

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

Repower

Vehicle repower refers to replacing an existing engine in an existing vehicle with a newer engine certified to lower emission standards. The replacement engine must be certified for sale in California to the current NOx emission standard or to at least 15 percent lower than the original NOx certification level for the engine being replaced.

For vehicle repower projects, the portion of the cost for a vehicle repower project eligible to be funded through the SOON is up to 85% of the total cost of purchasing and installing the new emission-certified Tier 4 or Interim Tier 4 engine. If a Tier 4 or Interim Tier 4 engine is not available or cannot be installed in the equipment, a new Tier 3 Replacement Engine rated at 175 hp or higher and certified by CARB may be used. A Tier 3 Replacement Engine rated at less than 175 hp is certified by EPA and cannot be used for a repower project if the equipment is 40 years old or older.

Replacement

Fleets may also apply for funding for replacement of a new or used vehicle in lieu of repowering the vehicle. In some cases, funding for vehicle replacement may be less than for vehicle repower due to limitations on remaining useful life of the old vehicle. Replacement projects can include 'two-for-one' replacements of two old vehicles by one new vehicle. Replacement vehicles must be equipped with engines meeting the current (Tier 4 final) emission standard.

Retrofit

Retrofit devices may be eligible for SOON provided they obtain NOx reductions. All retrofit devices will be evaluated on a case by case basis. Add-on after-treatment devices reducing NOx or NOx plus PM emissions are considered retrofit devices. The retrofit device must be CARB-verified to achieve specific emission reductions. CARB guidance requires the applicant to select the highest level technology that provides the most emission reductions. In order to be eligible for SOON funding, the retrofit device must be verified for the specific engine family found on the equipment and achieve the highest level emission reductions when compared to other verified retrofit devices. In case a combined NOx plus PM retrofit system is installed, #PA2015-05 will only pay for the NOx portion of the retrofit device.

IMPORTANT PROGRAM INFORMATION

- Fleets with a total statewide equipment horsepower over 20,000 hp and with 40 percent or more of their vehicles at Tier 0 and Tier 1 emission levels as of January 1, 2008 are subject to the SOON Program and are required to apply for funding. Fleets not meeting both of the above criteria on January 1, 2008 may voluntarily participate in this program and apply for funding.
- For this program cycle, all projects will be eligible for a maximum seven year operational requirement within the South Coast Air District. Shorter project life will be considered on a case-by-case basis and may be required by the CMP Guidelines.

However, a shorter project life may affect the project's ranking relative to other project applicants and the amount of funding that can be provided.

- The annual hours used to calculate cost-effectiveness will be included in the contract. An extension of the contract or partial payback of funds may be required if the annual proposed annual hours are not achieved.
- For all repower projects, fleets are **not** required to, but may install the highest level verified diesel emission control system (VDECS) at their own cost. Retrofits which can achieve NOx reductions may be funded on a case-by-case basis. Repowers or NOx retrofits funded under SOON are ineligible for compliance with the base rule until the end of the contract period.
- Applicants **must** provide vendor quotes with their application to document the cost of implementing the proposed technology. **All quotes must have been obtained within 90 days of application submittal. Applicants may be required to submit quotes from more than one technology provider.**
- Applicants must demonstrate that they are in full compliance with all CARB applicable regulations and that vehicle/equipment funding requests under this program provide surplus emissions reductions. **Applicants are required to submit a compliance plan showing how they will comply with the targets of CARB's In-Use Off-Road Vehicle regulation throughout the Contract term, as well as the new projects under this PA that meet SOON NOx targets in 2017 and 2020.**
- Applicants must ensure that the vehicle/equipment to be purchased or installed is in compliance with all applicable federal, state, and local air quality rules and regulations and that it will maintain compliance for the full Contract term.
- Any associated tax obligation with the award is the responsibility of the grantee.
- No third party contracts will be executed.
- Pre- and post-inspection of all vehicles/engines/equipment approved for funding will be conducted by SCAQMD.
- Destruction of the engine/equipment being replaced is required.
- To avoid double dipping, applicants shall not apply for funding of the same equipment in any other air district.

POTENTIAL PROJECTS

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

Off-road projects fall into three distinct categories: 1) repower with an emission certified engine, 2) retrofit with a verified diesel emission control strategy (VDECS), and 3) replacement by a vehicle with an engine certified as meeting the current off-road emission standards.

Repower

A repower is the replacement of the in-use engine with an emission certified engine meeting current emission standards instead of rebuilding the existing engine to its original specifications. If an engine meeting a current emission standard (Tier 4 or Interim Tier 4) is not available or cannot be installed, a Tier 3 Replacement Engine can be used if it is rated at 175 hp or higher. A Tier 3 Replacement Engine which is rated at less than 175 horsepower

cannot be used for repower projects unless it complies with the US EPA requirements related to replacing in-use engines contained in the Code of Federal Regulations, Title 40, Section 1068.240. Although a repower is commonly diesel-to-diesel engine replacement, significant NOx and PM benefits are achieved due to the high emission levels of the older in-use engine being replaced. For off-road equipment with similar modes of operation to on-road vehicles, other possible options include the replacement of an older diesel off-road engine with a new on-road engine certified to an emission standard equal to or cleaner than the Tier 4 off-road emission standard or a newer emission certified alternative fuel engine.

Funding is not available for projects where a spark-ignition engine (i.e., natural gas, gasoline, etc.) is replaced with a diesel engine.

Retrofit

Retrofit refers to modifications made to an engine and/or fuel system such that the specifications of the retrofitted engine are different from the original engine. The most straightforward retrofit projects are add-on after treatments. To qualify for SOON Program funding, the retrofit technology must be verified for sale in California, must comply with established durability and warranty requirements and cost effectiveness criteria and must be designed to reduce NOx only or NOx and PM. Retrofit technology options for off-road diesel engines are increasing and the applicant will find more information on VDECS, including a list of currently verified DECS, at <http://www.arb.ca.gov/diesel/verdev/verdev.htm>.

Replacement

Fleets may voluntarily apply for replacement funding in lieu of repowering their vehicle. The amount of funding will be equivalent to that of repowering the vehicle and will be calculated using a Tier 4 repower quote, or if no Tier 4 repower solution is available, the replacement funding will be calculated at \$420/hp (this value may change as more information becomes available and is contingent on CARB approval). This means that a 100 hp vehicle would receive funding up to 85% of \$42,000 (or \$35,700) toward purchase of a new or used Interim Tier 4 or Tier 4 vehicle. If equipment with a Tier 4 engine will not be available within 6 months of the application submittal, equipment with an Interim Tier 4 engine may be purchased. All applicable Moyer Guidelines for Off-Road Equipment Replacement must be met, including project life, maximum funding cap not to exceed 80% of purchase price, and the cost effectiveness limit. Funding under this SOON option may only be 10-15% of the vehicle replacement cost. Applicants interested in equipment replacement are encouraged to apply for traditional Carl Moyer Program funding.

Maximum project life for off-road diesel powered replacement vehicle projects is five years with the following exceptions:

- Three year life for excavators, skid steer loaders, and rough terrain forklifts.
- Seven years for crawler tractors, off-highway tractors, rubber tired dozers and workover rigs.

PROJECT CRITERIA

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

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

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

COST-EFFECTIVENESS EVALUATION DISCUSSION

Cost-effectiveness calculations are based on oxides of nitrogen (NOx) only. SCAQMD staff will calculate the NOx emissions reductions from the difference between the average annual emissions from the old and new engine. The methodology for determining cost-effectiveness is developed by (CARB) and can be found in Appendix E of The Carl Moyer Program Guidelines (see <http://www.arb.ca.gov/msprog/moyer/guidelines/current.htm>). Typically the formula for determining the tons per year emission reduction is:

$$\text{Annual NOx Emission Reduction} = (ER_{\text{NOx-old}} - ER_{\text{NOx-new}}) * LF * AAHours * HP * CF$$

where

$ER_{\text{NOx-old}}$	=	NOx emission rate of old engine (g/bhp-hr)
$ER_{\text{NOx-new}}$	=	NOx emission rate of new engine (g/bhp-hr)
LF	=	Load factor (unit less)
AAHours	=	Annual average vehicle operational hours
HP	=	Maximum horsepower rating of engine
CF	=	Conversion factor from grams to tons

Only SOON funds are to be used in determining cost-effectiveness¹. The one-time incentive grant amount is to be amortized over the project life (which is also the contract term) at a discount rate of 1 percent. The amortization formula (given below) yields a capital recovery factor (CRF), which, when multiplied by the initial capital cost, gives the annual cost of a project over its project term.

$$CRF = [(1 + i)^n (i)] / [(1 + i)^n - 1]$$

where

i	=	discount rate (1 percent)
n	=	project life

Table 1 lists the CRF for different project lives using a discount rate of 1 percent. Cost-effectiveness is determined by dividing the annualized costs of a project by the annual NOx emission reductions offered by the project.

¹ Unless the SCAQMD “buys down” the cost of the project by adding additional funding, in which case the total grant funding amount should be used for the cost-effectiveness calculation.

**Table 1 – Capital Recovery Factors (CRF) for Various Project Lives
at 1 Percent Discount Rate**

Project Life	CRF
1	1.010
2	0.508
3	0.340
4	0.256
5	0.206
6	0.173
7	0.149

REPORTING AND MONITORING

All participants in the SOON Program are required to keep appropriate records during the full contract period. Project life is the number of years used to determine the cost-effectiveness and is equivalent to the contract life. All equipment must operate in the SCAQMD for this full project life. The SCAQMD shall conduct periodic reviews of each project's operating records to ensure that the engine is operated as stated in the program application. Annual records must contain the following, at a minimum:

- Total Hours of Operation
- Total Hours of Operation in the South Coast Air District
- Annual Fuel Consumed (if cost-effectiveness was determined on fuel basis)
- Annual Maintenance and Repair Information

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

PROGRAM ADMINISTRATION

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

FUNDING CATEGORIES

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

PROJECT EVALUATION/AWARDS

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

SCHEDULE OF EVENTS

Release of #PA2015-05	October 3, 2014
All Applications due by 1:00 p.m.	Wednesday, February 4, 2015
Anticipated Award Consideration by the Board	June 5, 2015

**ALL PROPOSALS MUST BE RECEIVED AT THE SCAQMD HEADQUARTERS
NO LATER THAN 1:00 P.M. ON WEDNESDAY, FEBRUARY 4, 2015**

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

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

STATEMENT OF COMPLIANCE

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

SECTION II: WORK STATEMENT/SCHEDULE OF DELIVERABLES

All applicants that are selected for funding awards must complete the Work Statement and Schedule of Deliverables described below as part of the contracting process. Development of these materials for the initial application is NOT required; however, applicants must sign the application form indicating their understanding of the requirements for submittal of additional project information to finalize a contract and that all vehicles, engines, or equipment must be in operation no later than May 31, 2016.

WORK STATEMENT

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

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

- Provide emission reductions that are real, quantifiable, enforceable, and surplus in accordance with CARB and SCAQMD guidelines.
- Cost-effectiveness of the project must meet the minimum requirement of the Carl Moyer guidelines.

- Commit project engines or equipment to operate in-service for the full project life. Project life is the number of years used to determine the cost-effectiveness.
- Commit all vehicles/engines/equipment to be in operation no later than May 31, 2016.
- Provide for appropriate record-keeping during the project life (i.e., annual hours of operation).
- Provide a compliance plan that demonstrates compliance with the off-road regulation throughout the contract period.
- Ensure that the project complies with other local, state, and federal programs, and resulting emission reductions from a specific project are not required as a mitigation measure to reduce adverse environmental impacts that are identified in an environmental document prepared in accordance with the California Environmental Quality Act or the National Environmental Policy Act.
- If requested, a contractor must provide a financial statement and bank reference, or other evidence of financial ability to fulfill contract requirements.

DELIVERABLES

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

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

SECTION III: PROPOSAL SUBMITTAL REQUIREMENTS

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

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

CONFLICT OF INTEREST

Applicant must address any potential conflicts of interest with other clients affected by actions performed by the firm on behalf of the SCAQMD. Although the proposer will not be automatically disqualified by reason of work performed for such firms, the SCAQMD reserves the right to consider the nature and extent of such work in evaluating the proposal. Conflicts of interest will be screened on a case-by-case basis by the SCAQMD District Counsel's

Office. Conflict of interest provisions of the state law, including the Political Reform Act, may apply to work performed pursuant to this contract. Please discuss potential conflicts of interest on the application form entitled "Contracting Statements".

PROJECT COST

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

The SOON Program funds only the differential cost between existing technology and low-emission technology. The proposed low-emission technology must be CARB-certified in most cases.² Proposals will be ranked by cost-effectiveness on a vehicle/equipment-by-vehicle/equipment basis. The cost-effectiveness limit has been established at \$17,720/ton of NOx emissions reduced. The cost-effectiveness may be changed depending on the demand for program funds. No fueling infrastructure, administrative or operational costs will be funded.

All project costs must be clearly indicated in the application. In addition, applicants must include any sources of co-funding and the amount of each co-funding source in the application. **Applicants are cautioned that the project life period used in calculating emissions reductions will be used to determine the length of their data reporting obligation and the length of their contract. In other words, a project applicant using a seven year life for the emissions reduction calculations will be required to operate and track activity for the project vehicle for the full seven years.** A seven year life (shorter project life will be considered on a case-by-case basis and may be required for replacement projects) will be used for all projects subject to #PA2015-05.

PROPOSAL SUBMISSION

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

Application Forms

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

Certifications and Representations

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

² Note that non-CARB certified engines/devices requiring an experimental permit from CARB may be considered, but the project will require special CARB approval.

Compliance Plan

Projects funded by SOON monies must result in emission reductions that are surplus to those that would be realized by fleets complying with the base rule. Fleets are required to submit a compliance plan in electronic format to demonstrate how they comply with both the base rule as well as the SOON provision of the rule. Fleet owners, at a minimum, must provide the following information for each year, 2010 through 2022 inclusive:

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

SOON Compliance Plan documents and the Microsoft Excel SOON fleet calculator can be downloaded at the SCAQMD SOON website
<http://www.aqmd.gov/tao/Implementation/SOONProgram.htm>.

Due Date

The proposer shall submit **four (4) complete paper copies of the application and an electronic copy (CD or flash drive) of the compliance plan and completed application** in a sealed envelope, plainly marked in the upper left-hand corner with the name and address of the proposer and the words "**Program Announcement #PA2015-05**". Paper applications shall be submitted in an eco-friendly format: stapled, not bound, black and white print; no three-ring, spiral, or plastic binders, and no card stock or colored paper. All proposals must be received no later than **1:00 p.m., on Wednesday, February 4, 2015**. Postmarks are not accepted as proof of deadline compliance. **Faxed or emailed proposals will not be accepted.** Proposals must be directed to:

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

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

Grounds for Rejection

A proposal may be immediately rejected if:

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

Disposition of Proposals

The SCAQMD reserves the right to reject any or all proposals. All responses become the property of the SCAQMD. One copy of the proposal shall be retained for SCAQMD files. Additional copies and materials will be returned only if requested and at the proposer's expense.

Modification or Withdrawal

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

SECTION IV: PROPOSAL EVALUATION/CONTRACTOR SELECTION CRITERIA

SCAQMD staff will evaluate all submitted proposals and make recommendations to the Governing Board for final selection of project(s) to be funded. Proposals will be evaluated based on the cost-effectiveness of NOx reduced on a vehicle/equipment-by-vehicle/equipment basis. Be aware that there is a possibility that due to program priorities, cost-effectiveness and/or funding limitations, project applicants may be offered only partial funding, and not all proposals that meet minimum cost-effectiveness criteria may be funded.

Funding will be awarded based on the cost-effectiveness of each piece of equipment. .
Distribution will be as follows:

1. 75% of total project funding will be awarded to the most cost-effective projects. No individual company shall receive more than 10% of this portion of the funding.
2. The remaining 25% of funding will be distributed so that at least one piece of equipment per applicant is funded, until funding is expended. If funds are still remaining after this distribution, they will be distributed according to cost-effectiveness.

In addition, at least 50 percent of the CMP funds must be spent in areas that are most significantly impacted by air pollution and are low income or communities of color, or both (i.e., receive a disproportionate impact from these factors). CARB issued broad goals and left the details of how to implement this requirement to each air agency. SCAQMD uses the following method to meet these requirements.

1. All projects must qualify for the CMP by meeting the cost-effectiveness limit of \$17,460 per ton of NOx controlled.
2. All projects will be evaluated according to the following criteria to qualify for disproportionate impact funding:
 - a. Poverty Level: All projects in areas where at least 10 percent of the population falls below the Federal poverty level, based on the year 2000 census data, will be eligible to be included in this category
 - b. PM Exposure: All projects in areas with the highest 15 percent of PM concentration will be eligible to be ranked in this category. The highest 15 percent of PM concentration is 46 micrograms per cubic meter and above, on an annual average
 - c. Toxic Exposure: All projects in areas with a cancer risk of 1,000 in a million and above (based on Mates II estimates) will be eligible to be ranked in this category.

3. 50 percent of the available funding from this PA will be allocated among proposals located in disproportionately impacted areas. If available funding is not exhausted with the outlined methodology, then staff will return to the Governing Board for direction. If on the other hand, funding requests exceed the available funding levels, then all qualified projects will be ranked for poverty level, PM and toxic exposures. The maximum score will be comprised of 40 percent for poverty level, and 30 percent each for PM and toxic exposures
4. All the proposals not awarded under the 50 percent disproportional impact funding will then be ranked according to cost-effectiveness, with the most cost-effective project funded first and then in descending order for each funding category until the remainder of the CMP funds are exhausted.

SECTION V: PAYMENT TERMS

For all projects, payment will be made upon installation and commencement of operation of the funded equipment for 85% of the submitted invoice or the contract maximum amount, whichever is less.

CONTACT FOR ADDITIONAL INFORMATION

Questions regarding the content or intent of this PA, procedural matters, sample contract, or locations of workshops can be found at the SOON website (<http://www.aqmd.gov/tao/Implementation/SOONProgram.htm>), or can be addressed to:

Adewale Oshinuga
Science and Technology Advancement
South Coast Air Quality Management District
21865 Copley Drive
Diamond Bar, CA 91765
Phone: (909) 396-2599 Fax: (909) 396-3324

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Application Forms

FORM A-1 - GENERAL PROJECT INFORMATION APPLICATION

All Sections of Form A-1 must be submitted for an application to be deemed complete. If information does not pertain to your project, please write "NA" on the form and sign it. In addition, supplemental forms are required for each piece of requested equipment.

I. APPLICANT INFORMATION

Company name/ Organization name/ Individual name:		
Business address (Mailing address): Street:		
City:	State:	Zip code:
Contact name and title:		
E-mail:		
Phone: ()		Fax: ()
Person with contract signing authority (if different from above):		

I hereby certify that all information provided in this application and any attachments are true and correct.

Printed Name of Responsible Party:	Title:
Signature of Responsible Party:	Date:

Complete this section if application was prepared by another person

I have completed the application, in whole or in part, on behalf of the applicant.

Printed Name:	Title:
Signature:	Date:
Amount Being Paid for Application Completion in Whole or Part:	Source of funding to 3rd party:

II. FUNDING INFORMATION

Total Number of Equipment Included in Project:	
Total Number of Engines Included in Project:	
Total Amount of Funding Requested: \$	Total Applicant Co-Funding Amount (if any): \$

III. GENERAL PROJECT INFORMATION

There are three types of emission reduction projects:

New Purchase - Purchasing a new vehicle or piece of equipment with an engine that is cleaner than the current year standard.

Repower - Replacing an existing engine with a new reduced-emission engine.

Retrofit – Installing an ARB-verified emission control system on an in-use engine.

IMPORTANT REMINDER: Only projects that are demonstrated to be surplus to California Air Resources Board (ARB) regulations are eligible for Carl Moyer Program (CMP) funding. Please ensure your proposed project is eligible prior to submitting an application.

Check the appropriate box(es) below for each type of project and indicate the total number of equipment/engines included in your project.

B. Off-Road Diesel - SOON

(Please Circle Fleet Size)

Diesel Fleet Size (Total hp): **Small** \leq 2,500 **Medium** 2,501-5,000 **Large** $>$ 5,000

Equipment Replacement – Total pieces of equipment: _____

A supplemental application (Form B-1) must be completed for each piece of new equipment

Repower Only– Total engines to be repowered: _____

A supplemental application (Form B-2) must be completed for each engine repower

Repower with NOx Retrofit – Total engines to be repowered/retrofit: _____

A supplemental application (Form B-2) must be completed for each engine repower

NOx Retrofit Only – Total engines to be retrofit: _____

A supplemental application (Form B-3) must be completed for each retrofit

IV. FUNDING DISCLOSURE

Have any engines or vehicles listed in this application been awarded funding from the Air Resources Board or another public agency or are any being considered for funding?

- Yes
- No

If "yes", complete the following for each engine or vehicle:

Agency applied to:
Date/Number of Agency Solicitation:
Total Funding Amount Requested or Awarded: \$
Amount per Unit Requested or Awarded: \$
Status:
Do you plan to claim a tax credit or deduction for the project vehicle? <input type="checkbox"/> Yes <input type="checkbox"/> No If "yes", please indicate the estimated tax credit amount to be claimed per vehicle: _____.

Application Statement – Please Read and Sign

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

- ◆ I certify to the best of my knowledge that the information contained in this application is true and accurate.
- ◆ I understand that, if awarded funding under the CMP, development and submittal of a detailed work statement, with deliverables and schedule is a requirement of the contracting process.
- ◆ I understand that it is my responsibility to ensure that all technologies are either verified or certified by the California Air Resources Board (CARB) to reduce NOx and/or PM pollutants. CARB Verification Letters and/or Executive Orders are attached, as applicable.
- ◆ I understand that it is my responsibility to ensure that the vehicle/equipment to be purchased or installed is in compliance with all applicable federal, state, and local air quality rules and regulations and that it will maintain compliance for the full Contract term.
- ◆ I understand that for SOON repower projects, I am **not** required to install the highest level available verified diesel emission control device (VDECS).
- ◆ I understand that there may be conditions placed upon receiving a grant and agree to refund the grant (or pro-rated portion thereof) if it is found that at any time I do not meet those conditions and if directed by the AQMD in accordance with the contract agreement.
- ◆ I understand that, for this equipment, I will be prohibited from applying for any other form of emission reduction credits for Moyer-funded vehicles/engines, including: Emission Reduction Credit (ERC); Mobile Source Emission Reduction Credit (MSERC) and/or Certificate of Advanced Placement (CAP), for all time, from the AQMD, CARB or any other Air Quality Management or Air Pollution Control District.
- ◆ The proposed project has not been funded and is not being considered for Carl Moyer Program funds by another air district, CARB, or any other public agency.
- ◆ In the event that the vehicle(s)/equipment do not complete the minimum term of any agreement eventually reached from this application, I agree to ensure the equivalent project emissions reductions, or to return grant funds to the AQMD as required by the contract.
- ◆ I have the legal authority to apply for grant funding for the entity described in this application.
- ◆ Disclosure of that value of any current financial incentive that directly reduces the project price, including tax credits or deductions, grants, or other public financial assistance for the same engine is required. To avoid double counting of incentives, all tax credits or deductions,

grants, or other public financial assistance must be deducted from the CMP request. I understand that third party contracts are not permitted. A third party may, however complete an application on an owner's behalf. Third parties are required to list how much compensation, if any, they are receiving to prepare the application(s), and to certify that no CMP funds are being used for this compensation. (see below)

- ◆ I understand that additional project information must be submitted to finalize a contract. This information may be found under Section II: Work Statements/Schedule of Deliverables in the PA.
- ◆ I understand that all vehicles, engines or equipment funded by this program must be operational within eighteen (18) months of contract execution, or by May 31, 2016, whichever is earlier.
- ◆ I have initialed this bullet to indicate that there are no potential conflicts of interest with other clients affected by actions performed by the firm on behalf of the AQMD. If this bullet is not initialed, I have attached a description to this application of the potential conflict of interest, which will be screened on a case-by-case basis by the AQMD District Counsel's Office. There is no potential conflict of interest: _____ (Please Initial if applicable, otherwise attach separate sheet describing the potential conflict)

Applicant's Signature

Applicant's Name (please print)

Date

Title

Please initial each section.

(See #PA2015-05 for additional information and requirements.):

The purchase of this low-emission technology is NOT required by any other local, state, and/or federal rule or regulation.

The definitions of qualifying projects are described in #PA2015-05. These definitions have been reviewed and this application is consistent with those definitions.

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

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

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

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

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

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

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

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

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

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

I do plan to claim a tax credit or deduction for costs funded by the CMP.
If so, please indicate amount here: \$ _____

I plan to claim a tax credit or deduction only for the portion of incremental costs not funded by the CMP. If so, please indicate amount here: \$ _____



South Coast Air Quality Management District

21865 Copley Drive, Diamond Bar, CA 91765-4178

(909) 396-2000 • www.aqmd.gov

Business Information Request

Dear SCAQMD Contractor/Supplier:

The South Coast Air Quality Management District (SCAQMD) is committed to ensuring that our contractor/supplier records are current and accurate. If your firm is selected for award of a purchase order or contract, it is imperative that the information requested herein be supplied in a timely manner to facilitate payment of invoices. In order to process your payments, we need the enclosed information regarding your account. **Please review and complete the information identified on the following pages, complete the enclosed W-9 form, remember to sign both documents for our files, and return them as soon as possible to the address below:**

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

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

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

Sincerely,

Michael B. O'Kelly
Chief Financial Officer

DH:tm

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

REV 3/13



South Coast Air Quality Management District

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

BUSINESS INFORMATION REQUEST

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

REMITTING ADDRESS INFORMATION

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

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

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

DISADVANTAGED BUSINESS CERTIFICATION

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

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

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

Check all that apply:

- Small Business Enterprise/Small Business Joint Venture Women-owned Business Enterprise
 Local business Disabled Veteran-owned Business Enterprise/DVBE Joint Venture
 Minority-owned Business Enterprise

Percent of ownership: _____ %

Name of Qualifying Owner(s): _____

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 the SCAQMD at the time of bid application.
- performs 90 percent of the work within SCAQMD's jurisdiction.

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

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

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

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

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

- 2) Classified between Codes 311000 to 339000, inclusive, of the North American Industrial Classification System (NAICS) Manual published by the United States Office of Management and Budget, 2007 edition.

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

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

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

Request for Taxpayer Identification Number and Certification

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

Print or type See Specific Instructions on page 2.	Name (as shown on your income tax return)	
	Business name/disregarded entity name, if different from above	
	Check appropriate box for federal tax classification: <input type="checkbox"/> Individual/sole proprietor <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____ <input type="checkbox"/> Other (see instructions) ▶ _____	
	<input type="checkbox"/> Exempt payee	
	Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
City, state, and ZIP code		
List account number(s) here (optional)		

Part I Taxpayer Identification Number (TIN)

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

Social security number									

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

Employer identification number									

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).

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 4.

Sign Here	Signature of U.S. person ▶	Date ▶
------------------	----------------------------	--------

General Instructions

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

Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

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.

Note. If 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 on any foreign partners' share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the 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 withholding on your share of partnership income.

The person who gives 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 is in the following cases:

- The U.S. owner of a disregarded entity and not the entity,
- The U.S. grantor or other owner of a grantor trust and not the trust, and
- The U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

Foreign person. If you are a foreign person, do not use Form W-9. Instead, use the appropriate Form W-8 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

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

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

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

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

If you are a nonresident alien or a foreign entity not subject to backup withholding, give the requester the appropriate completed Form W-8.

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS a percentage 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, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

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

Payments you receive will be subject to backup withholding if:

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

Certain payees and payments are exempt from backup withholding. See the instructions below and the separate Instructions for the Requester of Form W-9.

Also see *Special rules for partnerships* on page 1.

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

Name

If you are an individual, you must generally enter the name shown on your income tax return. However, if you have changed your last name, for instance, due to marriage without informing the Social Security Administration of the name change, enter your first name, the last name shown on your social security card, and your new last name.

If the account is in joint names, list first, and then circle, the name of the person or entity whose number you entered in Part I of the form.

Sole proprietor. Enter your individual name as shown on your income tax return on the “Name” line. You may enter your business, trade, or “doing business as (DBA)” name on the “Business name/disregarded entity name” line.

Partnership, C Corporation, or S Corporation. Enter the entity’s name on the “Name” line and any business, trade, or “doing business as (DBA) name” on the “Business name/disregarded entity name” line.

Disregarded entity. Enter the owner’s name on the “Name” line. The name of the entity entered on the “Name” line should never be a disregarded entity. The name on the “Name” line must be the name shown on the income tax return on which the income will be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a domestic owner, the domestic owner’s name is required to be provided on the “Name” line. 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 the “Business name/disregarded entity name” line. If the owner of the disregarded entity is a foreign person, you must complete an appropriate Form W-8.

Note. Check the appropriate box for the federal tax classification of the person whose name is entered on the “Name” line (Individual/sole proprietor, Partnership, C Corporation, S Corporation, Trust/estate).

Limited Liability Company (LLC). If the person identified on the “Name” line is an LLC, check the “Limited liability company” box only and enter the appropriate code for the tax classification in the space provided. If you are an LLC that is treated as a partnership for federal tax purposes, enter “P” for partnership. If you are an LLC that has filed a Form 8832 or a Form 2553 to be taxed as a corporation, enter “C” for C corporation or “S” for S corporation. If you are an LLC that is disregarded as an entity separate from its owner under Regulation section 301.7701-3 (except for employment and excise tax), do not check the LLC box unless the owner of the LLC (required to be identified on the “Name” line) is another LLC that is not disregarded for federal tax purposes. If the LLC is disregarded as an entity separate from its owner, enter the appropriate tax classification of the owner identified on the “Name” line.

Other entities. Enter your business name as shown on required federal tax documents on the "Name" line. 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 the "Business name/disregarded entity name" line.

Exempt Payee

If you are exempt from backup withholding, enter your name as described above and check the appropriate box for your status, then check the "Exempt payee" box in the line following the "Business name/disregarded entity name," sign and date the form.

Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends.

Note. If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding.

The following payees are exempt from backup withholding:

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 possession of the United States, or any of their political subdivisions or instrumentalities,
 4. A foreign government or any of its political subdivisions, agencies, or instrumentalities, or
 5. An international organization or any of its agencies or instrumentalities.
- Other payees that may be exempt from backup withholding include:
6. A corporation,
 7. A foreign central bank of issue,
 8. A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States,
 9. A futures commission merchant registered with the Commodity Futures Trading Commission,
 10. A real estate investment trust,
 11. An entity registered at all times during the tax year under the Investment Company Act of 1940,
 12. A common trust fund operated by a bank under section 584(a),
 13. A financial institution,
 14. A middleman known in the investment community as a nominee or custodian, or
 15. 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 15.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 9
Broker transactions	Exempt payees 1 through 5 and 7 through 13. Also, C corporations.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 5
Payments over \$600 required to be reported and direct sales over \$5,000 ¹	Generally, exempt payees 1 through 7 ²

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

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

Part I. Taxpayer Identification Number (TIN)

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

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see *Limited Liability Company (LLC)* on page 2), enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

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

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

If you are asked to complete Form W-9 but do not have a TIN, 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 domestic 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, below, and items 4 and 5 on page 4 indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on the "Name" line must sign. Exempt payees, see *Exempt Payee* on page 3.

Signature requirements. Complete the certification as indicated in items 1 through 3, below, and items 4 and 5 on page 4.

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 to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

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

What Name and Number To Give the Requester

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

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

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

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

⁴ List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships* on page 1.

*Note. Grantor also must provide a Form W-9 to trustee of trust.

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

Secure Your Tax Records from Identity Theft

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

To reduce your risk:

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

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

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

For more information, see Publication 4535, Identity Theft Prevention and Victim Assistance.

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

Protect yourself from suspicious emails or phishing schemes.

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

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

If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: spam@uce.gov or contact them at www.ftc.gov/idtheft or 1-877-IDTHEFT (1-877-438-4338).

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

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. 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.

2013 Withholding Exemption Certificate

590

This form can only be used to certify exemption from nonresident withholding under California Revenue and Taxation Code (R&TC) Section 18662. Do not use this form for exemption from wage withholding.

File this form with your withholding agent. (Please type or print)

Withholding agent's name _____

Payee's name _____

Payee's SSN or ITIN FEIN
 CA corp. no. CA SOS file no.

Address (number and street, PO Box, or PMB no.) _____

Apt. no./ Ste. no. _____

City _____

State _____ ZIP Code _____

Read the following carefully and check the box that applies to the payee.

I certify that for the reasons checked below, the payee named on this form is exempt from the California income tax withholding requirement 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, Who is a Resident, for the definition of a resident.

Corporations:

The above-named 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 and withhold on payments of California source income to nonresidents when required. 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 F, What is a Permanent Place of Business, for the definition of permanent place of business.

Partnerships or limited liability companies (LLC):

The above-named 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 and will withhold on foreign and domestic nonresident partners or members when required. 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 above-named 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). The tax-exempt entity will withhold on payments of California source income to nonresidents when required. 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 above-named 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 and will withhold on foreign and domestic nonresident beneficiaries when required. If the trustee 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. The decedent was a California resident at the time of death. The estate will file a California fiduciary tax return and will withhold on foreign and domestic nonresident beneficiaries when required.

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: Please complete and sign below.

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

Payee's name and title (type or print) _____ Daytime telephone no. _____

Payee's signature _____ Date _____

Instructions for Form 590

Withholding Exemption Certificate

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

General Information

For purposes of California income tax, references to a spouse, husband, or wife also refer to a Registered Domestic Partner (RDP) unless otherwise specified. For more information on RDPs, get FTB Pub. 737, Tax Information for Registered Domestic Partners. **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 – Enter the information in the following order: City, Country, Province/Region, and Postal Code. Follow the country’s practice for entering the postal code. Do not abbreviate the country’s name.

A Purpose

Use Form 590, Withholding Exemption Certificate, to certify an exemption from nonresident withholding. California residents or entities should complete and present Form 590 to the withholding agent. 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 told by the Franchise Tax Board (FTB) that the form should not be relied upon.

Important – This form cannot be used for exemption from wage and real estate withholding.

- If you are an employee, any wage withholding questions should be directed to the FTB General Information number, 800.852.5711. Employers should call 888.745.3886 or go to edd.ca.gov.
- Sellers of California real estate use Form 593-C, Real Estate Withholding Certificate, to claim an exemption from real estate withholding.

B Requirement

R&TC Section 18662 requires withholding of income or franchise tax on payments of California source income made to nonresidents of California.

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

- Payments to nonresidents for services rendered in California.
- Distributions of California source income made to domestic nonresident S corporation shareholders, partners and members 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 with activities in California.

- Distributions of California source income to nonresident beneficiaries from an estate or trust.
- 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 General Information H, Publications, Forms, and Additional Information.

Backup Withholding – Beginning on or after January 1, 2010, with certain limited exceptions, payers that are required to withhold and remit backup withholding to the Internal Revenue Service (IRS) are also required to withhold and remit to the FTB. The California backup withholding rate is 7% of the payment. For California purposes, dividends, interests, and any financial institutions release of loan funds made in the normal course of business are exempt from backup withholding. For additional information on California backup withholding, go to ftb.ca.gov and search for **backup withholding**.

If a payee has backup withholding, the payee must contact the FTB to provide a valid Taxpayer Identification Number (TIN) before filing a tax return. 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 California Secretary of State (SOS) file number. Failure to provide a valid TIN will result in the denial of the backup withholding credit. For more information go to ftb.ca.gov and search for **backup withholding**.

Who is Excluded from Withholding – 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

C Who Certifies this Form

Form 590 is certified by the payee. 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 certificate on the preprinted form, the

withholding agent may accept as a substitute certificate a letter from the payee explaining why the payee is not subject to withholding. The letter must contain all the information required on the certificate in similar language, including the under penalty of perjury statement and the payee’s taxpayer identification number. The withholding agent must retain a copy of the certificate or substitute for at least four years after the last payment to which the certificate applies, and provide it upon request to the FTB.

For example, 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 Who is a Resident

A California resident is any individual who is in California for other than a temporary or transitory purpose or any individual domiciled in California who is absent for a temporary or transitory purpose.

An individual domiciled in California who is absent from California for an uninterrupted period of at least 546 consecutive days under an employment-related contract is considered outside California for other than a temporary or transitory purpose.

An individual is still considered outside California for other than a temporary or transitory purpose if return visits to California do not total more than 45 days during any taxable year covered by an employment contract.

This provision does not apply if an individual has income from stocks, bonds, notes, or other intangible personal property in excess of \$200,000 in any taxable year in which the employment-related contract is in effect.

A spouse/RDP absent from California for an uninterrupted period of at least 546 days to accompany a spouse/RDP under an employment-related contract is considered outside of California for other than a temporary or transitory purpose.

Generally, an individual who comes to California for a purpose which will extend over a long or indefinite period will be considered a resident. However, an individual who comes to perform a particular contract of short duration will be considered a nonresident.

For assistance in determining resident status, get FTB Pub. 1031, Guidelines for Determining Resident Status, and FTB Pub. 1032, Tax Information for Military Personnel, or call the FTB at 800.852.5711 or 916.845.6500.

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. 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 servicemember and spouse have the same domicile in a state other than California.

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

F What is a 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 if it is a foreign corporation qualified to transact intrastate business by the California SOS. 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.

G Withholding Agent

Keep Form 590 for your records. Do not send this form to the FTB unless it has been specifically requested.

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

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.

The withholding agent must then withhold and report the withholding using Form 592, Resident and Nonresident Withholding Statement, and remit the withholding using Form 592-V, Payment Voucher for Resident and Nonresident Withholding. Form 592-B, Resident and Nonresident Withholding Tax Statement, is retained by the withholding agent and a copy is given to the payee.

H Additional Information

To get additional nonresident withholding information, contact the Withholding Services and Compliance.

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

Telephone: 888.792.4900
916.845.4900

Fax: 916.845.9512

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

OR to get forms by mail write to:

TAX FORMS REQUEST UNIT MS F284
FRANCHISE TAX BOARD
PO BOX 307
RANCHO CORDOVA CA 95741-0307

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

Internet and Telephone Assistance

Website: ftb.ca.gov

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

TTY/TDD: 800.822.6268 for persons with hearing or speech impairments

Asistencia Por Internet y Teléfono

Sitio web: ftb.ca.gov

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

TTY/TDD: 800.822.6268 personas con discapacidades auditivas y del habla



United State Environmental Protection Agency
Washington, DC 20460

Certification Regarding Debarment, Suspension, and Other Responsibility Matters

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

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

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

Typed Name & Title of Authorized Representative

Signature of Authorized Representative Date

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

EPA Form 5700-49 (11-88)



CAMPAIGN CONTRIBUTIONS DISCLOSURE

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

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

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

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

SECTION I.

Contractor (Legal Name): _____

<input type="checkbox"/> DBA, Name _____, County Filed in _____ <input type="checkbox"/> Corporation, ID No. _____ <input type="checkbox"/> LLC/LLP, ID No. _____

List any parent, subsidiaries, or otherwise affiliated business entities of Contractor:
(See definition below).

SECTION II.

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

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

Campaign Contributions Disclosure, *continued*:

Name of Contributor _____

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

Name of Contributor _____

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

Name of Contributor _____

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

Name of Contributor _____

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

I declare the foregoing disclosures to be true and correct.

By: _____

Title: _____

Date: _____

DEFINITIONS

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

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



Direct Deposit Authorization

STEP 1: Please check all the appropriate boxes

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

STEP 2: Payee Information

Last Name		First Name		Middle Initial	Title
Vendor/Contractor Business Name (if applicable)					
Address				Apartment or P.O. Box Number	
City		State	Zip	Country	
Taxpayer ID Number		Telephone Number		Email Address	

Authorization

- I authorize South Coast Air Quality Management District (SCAQMD) to direct deposit funds to my account in the financial institution as indicated below. I understand that the authorization may be rejected or discontinued by SCAQMD at any time. If any of the above information changes, I will promptly complete a new authorization agreement. If the direct deposit is not stopped before closing an account, funds payable to me will be returned to SCAQMD for distribution. This will delay my payment.
- This authorization remains in effect until SCAQMD receives written notification of changes or cancellation from you.
- I hereby release and hold harmless SCAQMD for any claims or liability to pay for any losses or costs related to insufficient fund transactions that result from failure within the Automated Clearing House network to correctly and timely deposit monies into my account.

STEP 3:

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

To be Completed by your Bank

Staple Voided Check Here	Name of Bank/Institution		
	Account Holder Name(s)		
	<input type="checkbox"/> Saving <input type="checkbox"/> Checking	Account Number	Routing Number
	Bank Representative Printed Name	Bank Representative Signature	Date
	ACCOUNT HOLDER SIGNATURE:		Date

For SCAQMD Use
Only

Input By _____

Date _____



SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT

21865 Copley Drive, Diamond Bar, CA 91765
Off-Road Mobile Source (909) 396-2903
<http://www.aqmd.gov/tao/implementation/soonprogram.htm>

FORM 2449-CP
Revised 02/06/09

RULE 2449 FLEET COMPLIANCE PLAN

1. COMPANY NAME:
2. MAILING ADDRESS:
3. CONTACT PERSON, TITLE, TELEPHONE, EMAIL:
4. ALTERNATE CONTACT, TITLE, TELEPHONE, EMAIL:
5. FLEET SUMMARY PLEASE PROVIDE DESCRIPTION OF YOUR FLEET AND TYPE OF BUSINESS IT IS IN. FLEET DESCRIPTION: _____ # OF VEHICLES: _____ # OF ENGINES: _____ DOORS FLEET # _____ TOTAL HORSEPOWER OF FLEET: _____
6. SIGNATURE OF PERSON RESPONSIBLE FOR RULE 2449 COMPLIANCE I HEREBY CERTIFY, UNDER PENALTY OF PERJURY UNDER THE LAWS OF THE STATE OF CALIFORNIA, THAT ALL INFORMATION CONTAINED HEREIN AND INFORMATION SUBMITTED WITH THIS COMPLIANCE PLAN IS TRUE AND CORRECT. I ALSO ACKNOWLEDGE THAT THIS PLAN IS BEING PROVIDED TO THE AQMD EXECUTIVE OFFICER IN COMPLIANCE WITH THE AQMD RULE 2449. APPROVAL OF THIS COMPLIANCE PLAN IS SUBJECT TO VERIFICATION OF INFORMATION SUBMITTED. I UNDERSTAND THAT AQMD STAFF MAY REQUIRE ADDITIONAL INFORMATION TO PROCESS THIS COMPLIANCE PLAN, AND AGREE TO PROVIDE SUCH INFORMATION. SIGNATURE: _____ NAME: _____ TITLE: _____ SIGNED THIS _____ DAY OF _____ IN _____, CALIFORNIA

If you need assistance in preparing the compliance plan,
please call the Off-Road Mobile Source Section at (909) 396-2903.



AQMD Use Only: App. # _____ Project Type: _____

**SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT
SOON PROGRAM (FY 14/15)**

**FORM B-1 - OFF-ROAD HEAVY-DUTY
EQUIPMENT REPLACEMENT**

Please complete one form for each piece of equipment. For multiple unit requests, you may submit a spreadsheet that provides all requested information below, in the order presented below.

Company name/ Organization name/ Individual name:	
Equipment Identifier (Unit # or Company ID):	EIN
Is the vehicle location address the same as the applicant address? <input type="checkbox"/> Yes <input type="checkbox"/> No, (please provide vehicle address below)	
Street Address:	
City:	
Zip Code:	

I. BASELINE (EXISTING) EQUIPMENT INFORMATION

Equipment Type/Function (Diesel): _____ (Backhoe, baler, cargo container handling unit, combine, crane, crawler tractor, crushing/processing, excavator, forklift, grader, ground support equipment, hydro-power unit, loader, mower, off-highway tractor, off-highway truck, paver, paving equipment, roller, rubber-tired dozer, rubber-tired loader, scraper, signal board, skid steer loader, sprayer, surfacing equipment, swather, tractor, tiller, trencher, or other.)

Equipment Make:	Equipment Model:
Equipment Model Year:	Equipment Serial Number or VIN:
Number of Engines on this Equipment: _____ Main (Front) _____ Auxiliary	

II. USAGE/ACTIVITY INFORMATION

Note: Please provide projected annual usage for the new equipment over the proposed life of the project. This projection should be based on actual usage data for the baseline equipment. You MUST attach documentation supporting the projected annual usage and operation within the District and within California. Supporting documentation may be in the form of maintenance records, fuel receipts, hour-meter reports, logs, or other paperwork for each piece of baseline equipment covering at least the past 24 months.	
Total Annual Hours of Operation: _____ or Gallons of Fuel Used: _____	
If Hours, Does the Equipment Have a Functioning Hour Meter? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Percent Operation within CA: _____%	Percent Operation within District: _____%
Project Life: _____ years. Equipment must operate for this full life; this life is equivalent to the contract and the reporting term.	

III. BASELINE (EXISTING) ENGINE INFORMATION (for each engine)

<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Fuel Type:	Baseline Engine Make:		
Baseline Engine Model:	Baseline Engine Year:		
Engine Serial No.:	Baseline Engine Horsepower:		
Baseline Engine Tier:	Baseline Engine Family:		
<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Fuel Type:	Baseline Engine Make:		
Baseline Engine Model:	Baseline Engine Year:		
Engine Serial No.:	Baseline Engine Horsepower:		
Baseline Engine Tier:	Baseline Engine Family:		
Method proposed for rendering the baseline engine(s) inoperable:			

IV. NEW REPLACEMENT EQUIPMENT INFORMATION

Equipment Type/Function:	Equipment Make:		
Equipment Model:	Equipment Model Year:		
Equipment Serial Number or VIN (If available):	Number of Engines on this Equipment: _____ Main (Front) _____ Auxiliary (Rear)		

V. NEW REPLACEMENT EQUIPMENT ENGINE INFORMATION (for each engine)

<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Fuel Type:	New Engine Make:		
New Engine Model:	New Engine Year:		
Engine Serial No:	New Engine Horsepower:		
New Engine Tier:	New Engine Family:		
New Engine ARB Executive Order Number (Attach a copy):			
<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Fuel Type:	New Engine Make:		
New Engine Model:	New Engine Year:		
Engine Serial No:	New Engine Horsepower:		
New Engine Tier:	New Engine Family:		
New Engine ARB Executive Order Number (Attach a copy):			

VI. FUNDING INFORMATION

New Equipment Cost (incl. tax): \$_____
NOTE: You MUST attach a written estimate or quotation from the equipment vendor documenting the cost of the new equipment. This quote must be obtained within 90 days of prior to the closing date of the Program Announcement.
Applicant Co-Funding Amount (if any): \$
Funds Requested: \$
New Equipment Vendor:



AQMD Use Only: App. # _____ Project Type: _____

**SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT
SOON PROGRAM (FY 14/15)
FORM B-2 - OFF-ROAD HEAVY-DUTY EQUIPMENT
Repower Only or Repower/Retrofit**

Please complete one form for each piece of equipment. For multiple unit requests, you may submit a spreadsheet that provides all requested information below, in the order presented below.

Company name/ Organization name/ Individual name:	
Equipment Identifier (Unit # or Company ID):	EIN
Is the vehicle location address the same as the applicant address? <input type="checkbox"/> Yes <input type="checkbox"/> No, (please provide vehicle address below)	
Street Address:	
City:	
Zip Code:	

I. BASELINE (EXISTING) EQUIPMENT INFORMATION

Equipment Type/Function (Diesel): _____ (Backhoe, baler, cargo container handling unit, combine, crane, crawler tractor, crushing/processing, excavator, forklift, grader, ground support equipment, hydro-power unit, loader, mower, off-highway tractor, off-highway truck, paver, paving equipment, roller, rubber-tired dozer, rubber-tired loader, scraper, signal board, skid steer loader, sprayer, surfacing equipment, swather, tractor, tiller, trencher, or other.)

Equipment Make:	Equipment Model:
Equipment Model Year:	Equipment Serial Number or VIN:
Number of Engines on this Equipment: _____ Main (Front) _____ Auxiliary	

II. USAGE/ACTIVITY INFORMATION

Note: Please provide projected annual usage for the new equipment over the proposed life of the project. This projection should be based on actual usage data for the baseline equipment. You MUST attach documentation supporting the projected annual usage and operation within the District and within California. Supporting documentation may be in the form of maintenance records, fuel receipts, hour-meter reports, logs, or other paperwork for each piece of baseline equipment covering at least the past 24 months.	
Total Annual Hours of Operation: _____ or Gallons of Fuel Used: _____	
If Hours, Does the Equipment Have a Functioning Hour Meter? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Percent Operation within CA: _____%	Percent Operation within District: _____%
Project Life: _____ years. Equipment must operate for this full life; this life is equivalent to the contract and the reporting term.	

III. BASELINE (EXISTING) ENGINE INFORMATION (for each engine)

<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Fuel Type:		Baseline Engine Make:	
Baseline Engine Model:		Baseline Engine Year:	
Engine Serial No.:		Baseline Engine Horsepower:	
Baseline Engine Tier:		Baseline Engine Family:	
<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Fuel Type:		Baseline Engine Make:	
Baseline Engine Model:		Baseline Engine Year:	
Engine Serial No.:		Baseline Engine Horsepower:	
Baseline Engine Tier:		Baseline Engine Family:	
Method proposed for rendering the baseline engine(s) inoperable:			

IV. NEW ENGINE INFORMATION (for each engine)

<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Fuel Type:		New Engine Make:	
New Engine Model:		New Engine Year:	
New Engine Tier:		New Engine Horsepower:	
New Engine ARB Executive Order Number (Attach a copy):		New Engine Family:	
<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Fuel Type:		New Engine Make:	
New Engine Model:		New Engine Year:	
New Engine Tier:		New Engine Horsepower:	
New Engine ARB Executive Order Number (Attach a copy):		New Engine Family:	

V. RETROFIT INFORMATION (If Applicable)

NOTE: You **MUST** attach a copy of the ARB Executive Order for the retrofit device and indicate (circle) on the Executive Order Attachment the engine family name for the engine on which the device will be installed.

<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Retrofit Device Make:	Verified NOx Reduction:	%	
Retrofit Device Model:	Verified PM Reduction:	%	
Retrofit Family Name:	Verified ROG Reduction:	%	
Verification Level:			
<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Retrofit Device Make:	Verified NOx Reduction:	%	
Retrofit Device Model:	Verified PM Reduction:	%	
Retrofit Family Name:	Verified ROG Reduction:	%	
Verification Level:			

VI. FUNDING INFORMATION (ENGINE REPOWER)

<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
New Engine Cost (incl. tax): \$		Installation Cost: \$	
<p>NOTE: You MUST attach a written estimate or quotation from the equipment vendor documenting the cost of the new engine. This quote must be obtained within 90 days of prior to the closing date of the Program Announcement.</p>			
Applicant Co-Funding Amount (if any): \$			
Applicant Grant Request Amount: \$			
New Equipment Vendor:			
<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
New Engine Cost (incl. tax): \$		Installation Cost: \$	
<p>NOTE: You MUST attach a written estimate or quotation from the equipment vendor documenting the cost of the new engine. This quote must be obtained within 90 days of prior to the closing date of the Program Announcement.</p>			
Applicant Co-Funding Amount (if any): \$			
Applicant Grant Request Amount: \$			
New Equipment Vendor:			

VII. FUNDING INFORMATION (RETROFIT)

<input type="checkbox"/> Main (Front) Engine _____ <input type="checkbox"/> Auxiliary (Rear) Engine _____
Retrofit Device Cost (including tax): \$
NOTE: You MUST attach a written estimate from the equipment vendor documenting the cost of the device; this quote must be obtained within 90 days prior to the closing date of the Program Announcement.
Retrofit Device Installation Cost:
Retrofit Device Maintenance Cost:
Applicant Grant Request: \$
Retrofit Device Vendor and Installer:
<input type="checkbox"/> Main (Front) Engine <input type="checkbox"/> Auxiliary (Rear) Engine
Retrofit Device Cost (including tax): \$
NOTE: You MUST attach a written estimate from the equipment vendor documenting the cost of the device; this quote must be obtained within 90 days prior to the closing date of the Program Announcement.
Retrofit Device Installation Cost:
Retrofit Device Maintenance Cost:
Applicant Grant Request: \$
Retrofit Device Vendor and Installer:



AQMD Use Only: App. # _____ Project Type: _____

**SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT
SOON PROGRAM (FY 14/15)
FORM B-3 - OFF-ROAD HEAVY-DUTY EQUIPMENT
NOx Retrofit Only**

Please complete one form for each piece of equipment. For multiple unit requests, you may submit a spreadsheet that provides all requested information below, in the order presented below.

Company name/ Organization name/ Individual name:	
Equipment Identifier (Unit # or Company ID):	EIN
Is the vehicle location address the same as the applicant address? <input type="checkbox"/> Yes <input type="checkbox"/> No, (please provide vehicle address below)	
Street Address:	
City:	
Zip Code:	

I. BASELINE (EXISTING) EQUIPMENT INFORMATION

Equipment Type/Function (Diesel): _____ <small>(Backhoe, baler, cargo container handling unit, combine, crane, crawler tractor, crushing/processing, excavator, forklift, grader, ground support equipment, hydro-power unit, loader, mower, off-highway tractor, off-highway truck, paver, paving equipment, roller, rubber-tired dozer, rubber-tired loader, scraper, signal board, skid steer loader, sprayer, surfacing equipment, swather, tractor, tiller, trencher, or other.)</small>
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Equipment Make:	Equipment Model:
Equipment Model Year:	Equipment Serial Number or VIN:
Number of Engines on this Equipment: _____ Main (Front) _____ Auxiliary	

II. USAGE/ACTIVITY INFORMATION

Note: Please provide projected annual usage for the new equipment over the proposed life of the project. This projection should be based on actual usage data for the baseline equipment. You MUST attach documentation supporting the projected annual usage and operation within the District and within California. Supporting documentation may be in the form of maintenance records, fuel receipts, hour-meter reports, logs, or other paperwork for each piece of baseline equipment covering at least the past 24 months.	
Total Annual Hours of Operation: _____ or Gallons of Fuel Used: _____	
If Hours, Does the Equipment Have a Functioning Hour Meter? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Percent Operation within CA: _____%	Percent Operation within District: _____%
Project Life: _____ years. Equipment must operate for this full life; this life is equivalent to the contract and the reporting term.	

III. BASELINE (EXISTING) ENGINE INFORMATION (for each engine)

<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Fuel Type:		Baseline Engine Make:	
Baseline Engine Model:		Baseline Engine Year:	
Engine Serial No.:		Baseline Engine Horsepower:	
Baseline Engine Tier:		Baseline Engine Family:	
<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Fuel Type:		Baseline Engine Make:	
Baseline Engine Model:		Baseline Engine Year:	
Engine Serial No.:		Baseline Engine Horsepower:	
Baseline Engine Tier:		Baseline Engine Family:	
Method proposed for rendering the baseline engine(s) inoperable:			

IV. RETROFIT INFORMATION (for each engine)

NOTE: You **MUST** attach a copy of the ARB Executive Order for the retrofit device and indicate (circle) on the Executive Order Attachment the engine family name for the engine on which the device will be installed.

<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Retrofit Device Make:		Verified NOx Reduction: %	
Retrofit Device Model:			
Retrofit Family Name:			
Verification Level:			
Retrofit Device Serial #:			
<input type="checkbox"/> Main (Front) Engine		<input type="checkbox"/> Auxiliary (Rear) Engine	
Retrofit Device Make:			
Retrofit Device Model:			
Retrofit Family Name:			
Verification Level:			
Retrofit Device Serial #:			

V. FUNDING INFORMATION

<input type="checkbox"/> Main (Front) Engine	<input type="checkbox"/> Auxiliary (Rear) Engine
Retrofit Device Cost (including tax): \$	
NOTE: You MUST attach a written estimate from the equipment vendor documenting the cost of the device; this quote must be obtained within 90 days prior to the closing date of the Program Announcement.	
Retrofit Device Installation Cost:	
Retrofit Device Maintenance Cost:	
Applicant Grant Request: \$	
Retrofit Device Vendor and Installer:	
<input type="checkbox"/> Main (Front) Engine	<input type="checkbox"/> Auxiliary (Rear) Engine
Retrofit Device Cost (including tax): \$	
NOTE: You MUST attach a written estimate from the equipment vendor documenting the cost of the device; this quote must be obtained within 90 days prior to the closing date of the Program Announcement.	
Retrofit Device Installation Cost:	
Retrofit Device Maintenance Cost:	
Applicant Grant Request: \$	
Retrofit Device Vendor and Installer:	