

BOARD MEETING DATE: November 4, 2022

AGENDA NO. 3

PROPOSAL: Issue RFP, Execute Contracts, and Program Announcement for Residential Air Filtration Program Within East Los Angeles, Boyle Heights, West Commerce and Eastern Coachella Valley AB 617 Communities

SYNOPSIS: Through a participatory budget process, the East Los Angeles, Boyle Heights, West Commerce (ELABHWC) Community Steering Committee (CSC) prioritized \$1.8 million, and the Eastern Coachella Valley (ECV) CSC prioritized \$1 million, in Community Air Protection Program funding for a Residential Air Filtration Program. These actions are to: 1) issue RFP #P2023-04 and Execute Contracts for air filtration units to offer through the Residential Air Filtration Program; 2) issue Program Announcement #PA2023-03 in an amount up to \$2,625,000 from the Community Air Protection AB 134 Fund (77) to solicit applications from residents within ELABHWC and ECV for the Residential Air Filtration Program; 3) reimburse the General Fund for administrative costs of up to \$167,000 from the Community Air Protection AB 134 Fund (77); and, 4) transfer and appropriate up to \$8,000 from the administrative portion of Community Air Protection AB 134 Fund (77) into Technology Advancement's FYs 2022-23 and/or 2023-24 Budgets, Services and Supplies Major Object, Public Notice and Advertisement account for administrative costs to implement the Residential Air Filtration Program.

COMMITTEE: Technology, October 21, 2022; Recommended for Approval

RECOMMENDED ACTIONS:

1. Authorize the Procurement Manager, in accordance with South Coast AQMD Procurement Policy and Procedure, to issue RFP #P2023-04 to establish a list of eligible filtration units and replacement filters, and based on the results of the RFP, authorize Executive Officer to execute subsequent contracts with filtration company vendors to provide portable air filtration units and replacement filters requested by applicants to the Residential Air Filtration Program;

2. Issue #PA2023-03 in an amount up to \$2,625,000 from the Community Air Protection AB 134 Fund (77) to solicit applications for the Residential Air Filtration Program, which will provide air filtration units and replacement filters to residents in:
 - a) ELABHWC in an amount not to exceed \$1,687,500 from the Community Air Protection AB 134 Fund (77); and
 - b) ECV in an amount not to exceed \$937,500 from the Community Air Protection AB 134 Fund (77).
3. Reimburse the General Fund for administrative costs of up to \$167,000 from Community Air Protection AB 134 Fund (77); and
4. Transfer and appropriate up to \$8,000 from the administrative portion of Community Air Protection AB 134 Fund (77) into Technology Advancement's FYs 2022-23 and/or 2023-24 Budgets, Services and Supplies Major Object, Public Notice and Advertisement account for administrative costs to implement the Residential Air Filtration Program.

Wayne Natri
Executive Officer

AK:DG:KTG:FM:VT

Background

Assembly Bill (AB) 617 was signed into state law in July 2017 and focuses on improving air quality and reducing exposure to criteria air pollutants and toxic air contaminants in communities most impacted by air pollution. AB 617 recognizes the disproportionate impacts environmental justice (EJ) communities experience from sources of air pollution near residences and seeks to address these impacts through community-driven actions focused on developing and implementing community emissions reduction plans (CERPs) and community air monitoring plans (CAMPs).

In 2021 through a participatory budgeting process to allocate \$36 million for Year 3 Community Air Protection (CAP) incentive funds to AB 617 communities, the ELABHWC and ECV Community Steering Committees (CSCs) prioritized \$1.8 million and \$1 million, respectively, for residential air filtration units. The CSCs are comprised of stakeholders (e.g., residents and local community groups) with community knowledge that provide input and guidance for implementation of the CERP and CAMP. The ELABHWC and ECV CERPs include measures to reduce

residential exposure to particulate matter (PM) by installing and maintaining air filtration units.

In June 2022, CARB approved the AB 617 Project Plan for Residential Air Filtration. This plan allows South Coast AQMD to allocate CAP incentive funds to portable residential air filtration units and replacement filters in the ELABHWC and ECV communities.

Proposal

South Coast AQMD staff proposes releasing RFP #P2023-04 to develop a list of eligible manufacturers to supply portable air filtration units and replacement filters to residents in the ELABHWC and ECV Community Boundaries through the Residential Air Filtration Program. Bidders selected through the RFP process will supply air filtration units that meet the unit qualifications set forth within the approved AB 617 Project Plan for Residential Air Filtration available at http://www.aqmd.gov/docs/default-source/tao-capp-incentives/project-plan-residential-air-filtration_6-28-2022.pdf?sfvrsn=6.

Following the results of the RFP, staff anticipates the release of the Residential Air Filtration Program, #PA2023-03, within the first half of 2023. Further, the solicitation will remain open to residents within the ELABHWC and ECV Community Boundaries until funds are exhausted.

Outreach

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

Benefits to South Coast AQMD

Health studies have determined that fine and ultrafine PM, including diesel PM, present the most significant air pollution health risk to sensitive receptors in EJ communities. Therefore, the Residential Air Filtration Program within ELABHWC and ECV communities will reduce exposure to diesel PM.

Resource Impacts

Up to \$2,625,000 from the Community Air Protection AB 134 Fund (77) Year 3 CAPP funds will be used to provide air filtration units and replacement filters to residents within ELABHWC and ECV for the Residential Air Filtration Program, and reimbursement of administrative costs will not exceed \$167,000. Transfer and appropriation to FYs 2022-23 and 2023-24 Budgets, Services and Supplies Major Object, Public Notice and Advertisement account will not exceed \$8,000. Any funds not expended after the budget cycles will be returned to the Community Air Protection AB 134 Fund (77). The Residential Air Filtration Program in future years will be included as part of the annual budget process. Sufficient funds are available in Community Air Protection AB 134 Fund (77).

Attachments

RFP #P2023-04

PA #PA2023-03



SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT

REQUEST FOR PROPOSALS

FOR RESIDENTIAL AIR FILTRATION UNIT AND THREE (3) YEAR SUPPLY OF FILTERS P2023-04

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

PURPOSE

The South Coast AQMD is pleased to announce a Request for Proposals (RFP) to solicit qualified firms or sole practitioners to supply bulk-purchase pricing for a package containing a minimum of one air filtration unit and a three (3) year supply of associated replacement filter(s) per unit. The purpose of the Residential Air Filtration Program is to supply portable residential air filtration units to the Assembly Bill (AB) 617 East Los Angeles, Boyle Heights, West Commerce (ELABHWC), and Eastern Coachella Valley (ECV) communities. The program aims to reduce exposure to criteria air pollutants and toxic air contaminants in these AB 617 communities.

Work will be on an as needed basis. Due to the indefinite nature of the work, the actual contract amount cannot be determined at this time.

INDEX - The following are contained in this RFP:

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

Attachment A - Participation in the Procurement Process

Attachment B - Certifications and Representations

SECTION I: BACKGROUND/INFORMATION

The South Coast AQMD is the air pollution control agency for the South Coast Air Basin, which is comprised of all of Orange County and the urban portions of Los Angeles, Riverside, and San Bernardino counties. This area of 10,743 square miles is home to approximately 17 million people and is the second most populated area in the United States.

Assembly Bill (AB) 617 addresses air pollution in environmental justice (EJ) communities. Since 2018 the California Air Resources Board (CARB) has selected six communities in the South Coast Air Quality Management District (South Coast AQMD) to participate in the AB 617 program. Each AB 617 Community has a Community Steering Committee (CSC). The CSCs advise South Coast AQMD on developing and implementing a Community Emissions Reduction Plan (CERP) for their respective community. Further, the CERP sets forth strategies, actions, and goals to reduce emissions and exposure to air pollution in the community.

Through a participatory budgeting process, the CSCs for two of the six AB 617 communities prioritized Community Air Protection Program (CAPP) Incentive funds for residential air filtration projects to reduce residential exposure to particulate matter and diesel particulate matter. These two communities are East Los Angeles, Boyle Heights, West Commerce (ELABHWC) and Eastern Coachella Valley (ECV). The ELABHWC and ECV CSCs prioritized \$1,800,000 and \$1,000,000 respectively in CAPP incentives for residential air filtration projects. As a result, South Coast AQMD anticipates allocating \$2,625,000 to purchase residential air filtration units and three years of replacement filters for these two communities. The units selected from this Request for Proposal (RFP) will support the Residential Air Filtration Project Plan (available at <http://www.aqmd.gov/docs/default-source/tao-capp-incentives/project-plan-residential-air-filtration-6-28-2022.pdf?sfvrsn=6>) and supply air filtration units for communities within the ELABHWC and ECV Communities.

All air filtration units must meet the specifications detailed in Section VI of this RFP. This is an RFP only and is not an issue of award or purchase. Funding allocation is subject to change at South Coast AQMD's discretion. All air filtration units must meet the specifications detailed in Section III of this RFP. The bidder must provide pricing based on quantity price breaks per package as detailed in Attachment C of this RFP. Quotes shall be valid until *March 31, 2025*. South Coast AQMD may place recurring orders at varying frequencies and quantities until March 31, 2025.

SECTION II: CONTACT PERSON:

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

Frances Maes
Staff Specialist
South Coast AQMD
21865 Copley Drive
Diamond Bar, CA 91765-4178
(909) 396-2473

SECTION III: SCHEDULE OF EVENTS

| Date | Event |
|------------------------|-----------------------------------------------------------------|
| November 4, 2022 | RFP Released |
| January 10, 2023 | Proposals Due to South Coast AQMD - No Later Than 2:00PM |
| Beginning Jan 20, 2023 | Proposal Evaluations |
| April 2023 | Anticipated Contract Execution |

SECTION IV: PARTICIPATION IN THE PROCUREMENT PROCESS

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

SECTION V: STATEMENT OF WORK/SCHEDULE OF DELIVERABLES

The purpose of the Residential Air Filtration Program is to supply portable air filtration units and filters to households within AB 617 Environmental Justice Communities, thereby reducing exposure to particulate matter, including diesel particulate matter (a known carcinogen).

This project requires the following tasks:

1. Quarterly meetings with South Coast AQMD staff to discuss program logistics and implementation
2. Guaranteed delivery services
3. Warranty services

Potential bidders should address all tasks based on their background and expertise in their proposal based on the format provided in Section VII – Proposal Submittal Requirements. The three tasks listed below are integral to maximizing program participation and providing a streamlined and positive consumer experience. Proposals submitted may separately address Tasks 1 through 3.

Statement of Work

The selected contractor(s) shall perform assignments on an as-needed basis upon receiving written notification from the South Coast AQMD. Each assignment will have specific tasks to be conducted and resources to be utilized. No work can be implemented without South Coast AQMD authorization. Tasks include the following:

Task 1 – Quarterly meetings with South Coast AQMD staff to discuss program logistics and implementation

All contracting parties shall meet with South Coast AQMD staff at the beginning of project implementation to discuss and establish program coordination details, including training, chain of command, responsibilities, contacts, timelines, and other logistics before working on Tasks 2 through 3. South Coast AQMD staff will guide contractor staff, including all written materials and procedures necessary to meet program goals. Additionally, all contracting parties shall meet with South Coast AQMD staff quarterly throughout project implementation (i.e., until funds are fully liquidated). At these quarterly meetings, the contractor shall provide a verbal

and written report of program implementation (e.g., number of packages delivered and warranty issues), discuss matters impacting program implementation (e.g., logistical issues), and suggest improvements.

Task 2 – Guaranteed delivery services

Selected contractor(s) will be responsible for the timely delivery of air filtration units to multiple applicants within the Los Angeles and Riverside Counties. In addition, the contractor shall provide updated information regarding the status, timing, and confirmation of deliveries to each program participant and resolve any issues with shipping delays. Section VII, paragraph (a) of this RFP further outlines requirements for delivery services.

Task 3 Warranty services

The selected contractor(s) shall honor manufacturer warranties and resolve to replace defective air filtration units in a timely manner for the duration of the manufacturer warranty. All warranty replacements must be documented and reported to the South Coast AQMD. Section VII, paragraph (e) of this RFP further outlines requirements for delivery services.

Schedule of Deliverables

The South Coast AQMD will establish deliverables and schedules for task completion in writing when each task is authorized. Deliverables include preparing quarterly reports detailing the number of packages delivered, documentation of issues encountered, warranty replacements, and other program implementation measures.

SECTION VI: REQUIRED QUALIFICATIONS

- A. An interested bidder shall provide Attachment C, a proposed pricing quote for bulk pricing for a package containing a minimum of one air filtration unit and a three (3) year supply of associated replacement filters per unit. If multiple packages are submitted for consideration, a copy of Attachment C is required for each package.

The air filtration unit must meet the following specifications to be considered under this RFP. If a proposed air filtration unit does not meet these specifications, it is not eligible under this RFP and will not be evaluated. The specifications below are the minimum acceptable by the South Coast AQMD.

B. Minimum Specifications:

1. The unit must use a certified true high-efficiency particulate air (HEPA) filter rated to remove 99.97% of particles measuring 0.3 micrometers or greater; air filtration units using HEPA-like, HEPA-type or non-HEPA filters are not eligible.
2. The unit must be a CARB-certified air cleaning device. The list of CARB-certified air cleaning devices is available at: <https://ww2.arb.ca.gov/list-carb-certified-air-cleaning-devices>.
3. The unit must be ENERGY STAR certified to ensure energy-efficient operation.
4. The unit's Clean Air Delivery Rating (CADR) must be certified by the Association of Home Appliance Manufacturers (AHAM) through AHAM's Portable Electric Room Air Cleaner Certification Program.
5. The unit must have an AHAM-certified CADR value of at least 97 for tobacco smoke (0.09-1.0 µM) or CADR equivalent manufacturer's rating.

C. **Additional Features:** South Coast AQMD will also consider the following features in the evaluation of the product:

1. Life of filter(s) with normal/daily use
2. Presence of other filters (i.e., pre-filter, carbon filter, etc.) in addition to HEPA filter
3. Portability of unit (size and weight)
4. Maneuverability of unit (e.g., unit has wheels)
5. Operating noise level of unit on high
6. AHAM-certified CADR value for smoke and dust
7. Affordability of the air filtration unit and replacement HEPA filter (and other filter[s] if applicable)

D. **Warranty:** Manufacturer warranties will be provided directly from the air filtration unit manufacturer, South Coast AQMD does not provide any additional warranty for the air filtration unit or the replacement filters.

SECTION VII: PROPOSAL SUBMITTAL REQUIREMENTS

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

Each proposal must be submitted in three separate volumes:

- **Volume I** - Technical Proposal
- **Volume II** - Cost Proposal, including Attachment C
 - Bidder must submit Attachment C for a package containing a minimum of one air filtration unit and a three (3) year supply of associated replacement filters per unit. In addition to the primary submission, a bidder may submit up to five (5) alternate packages (Attachment C) for consideration. All submissions that meet the minimum specification will be evaluated on the same criteria.
- **Volume III** - Certifications and Representations included in Attachment B to this RFP, must be completed and executed by an authorized official of the Contractor.

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

A separate cover letter should accompany the proposal submission. The cover letter should include the following:

- a. Name, address and telephone number of the company and must be signed by the person(s) authorized to represent the firm. Also include the name and contact information, including email address of the firm's representative designated as the main contact.
- b. *Quote Validity:* Acknowledgement that the pricing for the proposed packages will be valid

through March 31, 2025. Section III Subsection 2 of this RFP details pricing requirements and product specifications.

- c. *Delivery Guarantee*: include a guarantee that in-stock products will be delivered within thirty (30) days of the order date. Acknowledge that the vendor will incur a 10 percent (%) late delivery penalty and will reduce the unit price by 10% for each unit arriving after forty-five (45) days past the order date. Also, provide a detailed description of how issues encountered with the delivery of air filtration units and replacement filters to recipients would be resolved, including damaged units, incorrect address, returns, replacements, and other potential issues
- d. *Order Cancellations*: Acknowledge that the South Coast AQMD reserves the right to cancel an order at no charge within three business days after it is placed.
- e. *Warranty*: South Coast AQMD requires a minimum 2-year manufacturer warranty for air filtration units. Additionally, replacement filters must have a minimum lifespan of six months and be provided directly to the recipients of air filtration units upon delivery. Each proposed package must cover three years of replacement filters per air filtration unit (e.g., for replacement filters with a lifespan of six months, the package must include six replacement filters per air filtration unit). South Coast AQMD does not offer an additional warranty for the air filtration unit or the replacement filters. Also, describe how complaints and issues about defective units will be addressed during the lifetime of the unit warranty.
- f. *Additional Data*: Provide other essential data that may assist in the evaluation of the quote (e.g., small business certification, etc.).

VOLUME I - TECHNICAL PROPOSAL

DO NOT INCLUDE ANY COST INFORMATION IN THE TECHNICAL VOLUME

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

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

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

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

1. List all key personnel assigned to the project by level, name and location. Provide a resume or similar statement describing the background, qualifications and experience of the lead person and all persons assigned to the project. Substitution of project manager or lead personnel will not be permitted without prior written approval of South Coast AQMD.
2. Provide a statement indicating whether 90% of the work will be performed within the geographical boundaries of South Coast AQMD.
3. Provide a summary of your Firm's general qualifications to meet required qualifications and fulfill statement of work, including additional Firm personnel and resources beyond those who may be assigned to the project.

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

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

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

VOLUME II - COST PROPOSAL

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

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

1. **Product Specifications and Pricing** - Complete a separate form, Attachment C, for each proposed package. A package must include a minimum of one air filtration unit and three years of replacement filter(s) for each unit.
 - a. *Product Specifications* – Complete *Section A* of Attachment C, with details of the proposed products for each package. A package must include a minimum of one air filtration unit and three years of replacement filter(s) for each unit. Bidder may include a copy of the manufacturer’s brochure for the product, if available.
 - b. *Product Pricing* - Complete *Section B* of Attachment C with proposed pricing for each package. A package must include a minimum of one air filtration unit and three years of replacement filter(s) per unit. The bidder must offer a discounted price from the retail price for the bulk purchase of the air filtration unit and the replacement filter(s) for this unit. **Each residence will not receive over \$1,000 in air filtration units and replacement filters. Submitted packages should be tailored so that air filtration units can adequately cover different square footage rooms to ensure proper air filtration within a residence.** Bidder shall provide quantities at which price breaks will occur. Also, the proposed pricing must include shipping costs (including insurance for lost, stolen, or damaged products), and taxes.
 - c. *Product Availability* – Complete *Section C* of Attachment C to demonstrate all air filtration units and replacement filters would be available on demand. Specify the lead time from order placement to delivery for stock and non-stock units.

2. It is the policy of the South Coast AQMD to receive at least as favorable pricing, warranties, conditions, benefits and terms as other customers or clients making similar purchases or receiving similar services. South Coast AQMD will give preference, where appropriate, to

vendors who certify that they will provide “most favored customer” status to the South Coast AQMD. To receive preference points, Proposer shall certify that South Coast AQMD is receiving “most favored customer” pricing in the Business Status Certifications page of Volume III, Attachment B – Certifications and Representations.

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

SECTION VIII: PROPOSAL SUBMISSION

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

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

Due Date - **All proposals are due no later than 2:00pm January 10, 2023, and should be directed to:**

Procurement Unit
South Coast Air Quality Management District
21865 Copley Drive
Diamond Bar, CA 91765-4178
(909) 396-3520

Submittal – Submit two (2) complete copies of the proposal along with a USB flash drive containing a digital copy of the proposal in a sealed envelope, plainly marked in the upper left-hand corner with the name and address of the Proposer and the words "Request for Proposals P2023-04."

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

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

- It is not prepared in the format described, or
- It is signed by an individual not authorized to represent the Firm, or
- An air filtration unit quoted does not use a true high-efficiency particulate air (HEPA) filter rated to remove 99.97% of particles measuring 0.3 micrometers or greater (air filtration units using HEPA-like, HEPA-type or non-HEPA filters are not eligible), or
- Air filtration units quoted are not California Air Resources Board (CARB)-certified air cleaning devices (the list of CARB-certified air cleaning devices is available at: <https://ww2.arb.ca.gov/list-carb-certified-air-cleaning-devices>), or
- Air filtration units quoted do not have an AHAM-certified CADR value of at least 97 for tobacco smoke (0.09-1.0 µM) or CADR equivalent manufacturer’s rating for air filtration that is appropriate for residences within AB 617 Communities.

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

SECTION IX: PROPOSAL EVALUATION/CONTRACTOR SELECTION CRITERIA

A. Each member of the evaluation panel shall be accorded equal weight in his or her rating of proposals. The evaluation panel members shall evaluate the proposals according to the specified criteria and numerical weightings set forth below.

1. (a) Standardized Services:

| Criteria | Description | Points |
|-------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
| Cost | Total Cost per package including a minimum of one air filtration unit, shipping to residence, and three years' worth of replacement filters per unit | 60 |
| CADR-Smoke | The CADR smoke rating of the unit (more points for higher CADR rating) | 10 |
| CADR-Dust | The CADR dust rating of the unit (more points for higher CADR rating) | 10 |
| Product Specifications | Additional features such as unit operation noise on high (dba rating), size, weight and maneuverability and life expectancy of filters | 20 |
| Total | | 100 |

(b) Additional Points

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

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

Self-Certification for Additional Points

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

2. To receive additional points in the evaluation process for the categories of Small Business or Small Business Joint Venture, DVBE or DVBE Joint Venture or Local Business (for non-federally funded projects), the proposer must submit a self-certification at the time of proposal submission certifying that the proposer meets the requirements set forth in Attachments A and B. To receive points for the use of DVBE and/or Small Business subcontractors, at least 25 percent of the total contract value must be subcontracted to DVBEs and/or Small Businesses. To receive points as a Zero or Near-Zero Emission Vehicle Business, the proposer must demonstrate to the Executive Officer, or designee, that supplies and materials delivered to South Coast AQMD are delivered in vehicles that operate on clean-fuels. To receive points as a Local Business, the proposer must affirm that it has an ongoing business within the South Coast AQMD at the time of bid/proposal submittal and that 90% of the work related to the contract will be performed within the South Coast AQMD. Proposals for legislative representation, such as in Sacramento, California or Washington D.C. are not eligible for local business incentive points. Federally funded projects are not eligible for local business incentive points. To receive points as an Off-Peak Hours Delivery Business, the proposer must submit, at proposal submission, certification of its commitment to delivering supplies and materials to South Coast AQMD between the hours of 10:00 a.m. and 3:00 p.m. To receive points for Most Favored Customer status, the proposer must submit, at proposal submission, certification of its commitment to provide most favored customer status to the South Coast AQMD. The cumulative points awarded for Small Business, DVBE, use of Small Business or DVBE Subcontractors, Local Business, Zero or Near- Zero Emission Vehicle Business, Off-Peak Hour Delivery Business and Most Favored Customer shall not exceed 17 points.
 3. The lowest cost proposal will be awarded the maximum cost points available and all other cost proposals will receive points on a prorated basis. For example, if the lowest cost proposal is \$100 and the maximum points available are 30 points, this proposal would receive the full 30 points. If the next lowest cost proposal is \$300 it would receive 27 points reflecting the fact that it is 10% higher than the lowest cost (90% of 30 points = 27 points).
- B. During the selection process the evaluation panel may wish to interview some proposers for clarification purposes only. No new material will be permitted at this time. Additional information provided during the bid review process is limited to clarification by the Proposer of information presented in his/her proposal, upon request by South Coast AQMD.
- C. The Executive Officer or Governing Board may award the contract to a Proposer other than the Proposer receiving the highest rating in the event the Governing Board determines that another Proposer from among those technically qualified would provide the best value to South Coast AQMD considering cost and technical factors. The determination shall be based solely on the Evaluation Criteria contained in the Request for

Proposal (RFP), on evidence provided in the proposal and on any other evidence provided during the bid review process.

- D. Selection will be made based on the above-described criteria and rating factors. The selection will be made by and is subject to Executive Officer or Governing Board approval. Proposers may be notified of the results by letter.
- E. The Governing Board has approved a Bid Protest Procedure which provides a process for a Bidder or prospective Bidder to submit a written protest to South Coast AQMD Procurement Manager in recognition of two types of protests: Protest Regarding Solicitation and Protest Regarding Award of a Contract. Copies of the Bid Protest Policy can be secured through a request to South Coast AQMD Procurement Department.
- F. The Executive Officer or Governing Board may award contracts to more than one proposer if in (his or their) sole judgment the purposes of the (contract or award) would best be served by selecting multiple proposers.
- G. If additional funds become available, the Executive Officer or Governing Board may increase the amount awarded. The Executive Officer or Governing Board may also select additional proposers for a grant or contract if additional funds become available.
- H. Disposition of Proposals – Pursuant to South Coast AQMD’s Procurement Policy and Procedure, South Coast AQMD reserves the right to reject any or all proposals. All proposals become the property of South Coast AQMD and are subject to the California Public Records Act. One copy of the proposal shall be retained for South Coast AQMD files. Additional copies and materials will be returned only if requested and at the proposer's expense.
- I. **If proposal submittal is for a Public Works project as defined by State of California Labor Code Section 1720, Proposer is required to include Contractor Registration No. in Attachment B. Proposal submittal will be deemed as non-responsive and Bidder may be disqualified if Contractor Registration No. is not included in Attachment B. Proposer is alerted to changes to California Prevailing Wage compliance requirements as defined in Senate Bill 854 (Stat. 2014, Chapter 28), and California Labor Code Sections 1770, 1771, 1725, 1777, 1813 and 1815.**

SECTION X: SAMPLE CONTRACT

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

ATTACHMENT A

PARTICIPATION IN THE PROCUREMENT PROCESS

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

B. Definitions:

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

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

venture's management and control and earnings are held by one or more disabled veterans.

- b. the management and control of the daily business operations are by one or more disabled veterans. The disabled veterans who exercise management and control are not required to be the same disabled veterans as the owners of the business.
 - c. is a sole proprietorship, corporation, or partnership with its primary headquarters office located in the United States, which is not a branch or subsidiary of a foreign corporation, firm, or other foreign-based business.
4. "Local business" as used in this policy means a company that has an ongoing business within geographical boundaries of South Coast AQMD at the time of bid or proposal submittal and performs 90% of the work related to the contract within the geographical boundaries of South Coast AQMD and satisfies the requirements of subparagraph H below. Proposals for legislative representation, such as in Sacramento, California or Washington D.C. are not eligible for local business incentive points.
5. "Small business" as used in this policy means a business that meets the following criteria:
- a. 1) an independently owned and operated business; 2) not dominant in its field of operation; 3) together with affiliates is either:
 - A service, construction, or non-manufacturer with 100 or fewer employees, and average annual gross receipts of ten million dollars (\$10,000,000) or less over the previous three years, or
 - A manufacturer with 100 or fewer employees.
 - b. Manufacturer means a business that is both of the following:
 - 1) Primarily engaged in the chemical or mechanical transformation of raw materials or processed substances into new products.
 - 2) Classified between Codes 311000 and 339000, inclusive, of the North American Industrial Classification System (NAICS) Manual published by the United States Office of Management and Budget, 2007 edition.
6. "Joint ventures" as defined in this policy pertaining to certification means that one party to the joint venture is a DVBE or small business and owns at least 51 percent of the joint venture.
7. "Zero or Near-Zero Emission Vehicle Business" as used in this policy means a company or contractor that uses Zero or Near-Zero emission vehicles in conducting deliveries to South Coast AQMD. Zero or Near-Zero emission vehicles

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

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

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

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

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

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



South Coast Air Quality Management District

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

Business Information Request

Dear South Coast AQMD Contractor/Supplier:

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

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

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

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

Sincerely,

Sujata Jain
Chief Financial Officer

DH:jn

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



South Coast Air Quality Management District

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

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

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

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

BUSINESS STATUS CERTIFICATIONS

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

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

Statements of certification:

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

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

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

Check all that apply:

- | | |
|--------------------------------------------------------|---------------------------------------------------------------|
| Small Business Enterprise/Small Business Joint Venture | Women-owned Business Enterprise |
| Local business | Disabled Veteran-owned Business Enterprise/DVBE Joint Venture |
| Minority-owned Business Enterprise | Most Favored Customer Pricing Certification |

Percent of ownership: _____%

Name of Qualifying Owner(s): _____

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

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

| | |
|-------------------------|--------------|
| _____ | _____ |
| <i>NAME</i> | <i>TITLE</i> |
| _____ | _____ |
| <i>TELEPHONE NUMBER</i> | <i>DATE</i> |

Definitions

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Request for Taxpayer
Identification Number and Certification**

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

▶ Go to www.irs.gov/FormW9 for instructions and the latest information.

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

Part I Taxpayer Identification Number (TIN)

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

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

| | |
|---------------------------------------|--|
| Social security number | |
| | |
| | |
| | |
| or | |
| Employer identification number | |
| | |
| | |
| | |

Part II Certification

Under penalties of perjury, I certify that:

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

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

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

General Instructions

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

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

Purpose of Form

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

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

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

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

By signing the filled-out form, you:

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

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

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

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

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

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

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

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

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

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

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

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

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

Backup Withholding

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

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

Payments you receive will be subject to backup withholding if:

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

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

Also see *Special rules for partnerships*, earlier.

What is FATCA Reporting?

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

Updating Your Information

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

Penalties

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

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

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

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

Specific Instructions

Line 1

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

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

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

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

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

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

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

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

Line 2

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

Line 3

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

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

Line 4, Exemptions

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

Exempt payee code.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

G—A real estate investment trust

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

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

J—A bank as defined in section 581

K—A broker

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

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

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

Line 5

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

Line 6

Enter your city, state, and ZIP code.

Part I. Taxpayer Identification Number (TIN)

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

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

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

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

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at www.SSA.gov. 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. Go to www.irs.gov/Forms to view, download, or print Form W-7 and/or Form SS-4. Or, you can go to www.irs.gov/OrderForms to place an order and have Form W-7 and/or SS-4 mailed to you within 10 business days.

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

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

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

Part II. Certification

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

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

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

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

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

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

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

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

What Name and Number To Give the Requester

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

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

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*, earlier.

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

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

Secure Your Tax Records From Identity Theft

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

To reduce your risk:

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

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

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

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

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

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

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

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

Visit www.irs.gov/IdentityTheft to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

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

TAXABLE YEAR

CALIFORNIA FORM

2021 Withholding Exemption Certificate

590

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

Withholding Agent Information

Name

Payee Information

Name

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

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

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

State ZIP code

Exemption Reason

Check only one box.

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

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

CERTIFICATE OF PAYEE: Payee must complete and sign below.

To learn about your privacy rights, how we may use your information, and the consequences for not providing the requested information, go to ftb.ca.gov/forms and search for 1131. To request this notice by mail, call 800.852.5711.

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

Type or print payee's name and title _____ Telephone _____

Payee's signature ► _____ Date _____

2021 Instructions for Form 590

Withholding Exemption Certificate

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

General Information

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

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

A Purpose

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

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

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

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

The following are excluded from withholding and completing this form:

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

B Income Subject to Withholding

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

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

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

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

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

C Who Certifies this Form

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

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

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

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

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

D Definitions

For California nonwage withholding purposes:

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

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

Permanent Place of Business:

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

E Military Spouse Residency Relief Act (MSRRA)

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

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

Domicile is defined as the one place:

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

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

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

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

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

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

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 disability
 711 or 800.735.2929 California relay service

Asistencia Por Internet y Teléfono

Sitio web: ftb.ca.gov
 Teléfono: 800.852.5711 dentro de los Estados Unidos
 916.845.6500 fuera de los Estados Unidos
 TTY/TDD: 800.822.6268 para personas con discapacidades auditivas o del habla
 711 ó 800.735.2929 servicio de relevo de California

Specific Instructions

Payee Instructions

Enter the withholding agent's name.
 Enter the payee's information, including the TIN and check the appropriate TIN box.
 You must provide a valid TIN as requested on this form. The following are acceptable TINs: social security number (SSN); individual taxpayer identification number (ITIN); federal employer identification number (FEIN); California corporation number (CA Corp no.); or CA SOS file number.
Private Mail Box (PMB) – Include the PMB in the address field. Write "PMB" first, then the box number. Example: 111 Main Street PMB 123.
Foreign Address – Follow the country's practice for entering the city, county, province, state, country, and postal code, as applicable, in the appropriate boxes. Do not abbreviate the country name.
Exemption Reason – Check the box that reflects the reason why the payee is exempt from the California income tax withholding requirement.

Withholding Agent Instructions

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

Additional Information

Website: For more information, go to ftb.ca.gov and search for nonwage.
MyFTB offers secure online tax account information and services. For more information, go to ftb.ca.gov and login or register for **MyFTB**.
 Telephone: 888.792.4900 or 916.845.4900, Withholding Services and Compliance phone service
 Fax: 916.845.9512
 Mail: WITHHOLDING SERVICES AND COMPLIANCE MS F182
 FRANCHISE TAXBOARD
 PO BOX 942867
 SACRAMENTO CA 94267-0651
 For questions unrelated to withholding, or to download, view, and print California tax forms and publications, or to access the TTY/TDD numbers, see the Internet and Telephone Assistance section.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters

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

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

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

Typed Name & Title of Authorized Representative

Signature of Authorized Representative Date

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



CAMPAIGN CONTRIBUTIONS DISCLOSURE

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

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

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

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

SECTION I.

Contractor (Legal Name): _____

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

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

SECTION II.

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

The information provided on this form does not, and is not intended to, constitute legal advice. To the extent that you may have questions regarding any case law, citations, or legal interpretations provided above please seek the guidance of your own independent counsel.

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

Campaign Contributions Disclosure, *continued*:

Name of Contributor _____

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

Name of Contributor _____

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

Name of Contributor _____

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

Name of Contributor _____

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

I declare the foregoing disclosures to be true and correct.

By: _____

Title: _____

Date: _____

DEFINITIONS

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

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

**REQUEST FOR PROPOSAL (RFP) FOR
RESIDENTIAL AIR FILTRATION UNIT
AND THREE (3) YEAR SUPPLY OF FILTERS**

P2023-04- ATTACHMENT C: Product Specifications and Pricing

January 10, 2023

| SECTION A: PRODUCT FEATURES AND SPECIFICATIONS | |
|-----------------------------------------------------------------------------|----------------------------------------------------------|
| Manufacturer | |
| Brand Name | |
| Model Number | |
| CARB Certification Executive Order Number | |
| ENERGY STAR Unique ID Number | |
| AHAM-Verified CADR Value for Smoke | |
| AHAM-Verified CADR Value for Dust | |
| Recommended room size or area filtered (sq.ft.) | |
| Filters Included with Unit: | |
| <i>Filter description (e.g., all 3 filter types combined into 1 filter)</i> | |
| <i>Certified HEPA filter (REQUIRED)</i> | Model #: |
| <i>Carbon filter (if applicable)</i> | Model #: |
| <i>Pre-filter (if applicable)</i> | Model #: |
| Recommended Frequency of Filter Changeout with Normal/Daily Use: | |
| <i>HEPA filter</i> | |
| <i>Carbon filter (if applicable)</i> | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| <i>Pre-filter (if applicable)</i> | |
| Product Specifications: | |
| <i>Operating Noise on high (dB)</i> | |
| <i>Wheels/Casters?</i> | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| <i>Filter Changeout Indicator?</i> | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| <i>Dimensions (in.) of unit</i> | |
| <i>Dimensions (in.) of box</i> | |
| <i>Weight of unit (lbs.)</i> | |
| <i>Other (e.g., UV-C)</i> | |
| Retail Price (\$) of: | |
| <i>Air filtration unit</i> | |
| <i>HEPA replacement filter</i> | |
| <i>Carbon replacement filter (if applicable)</i> | |
| <i>Pre-filter replacement (if applicable)</i> | |

| SECTION B: PRODUCT PRICING | | | | |
|-------------------------------------------------------------------------------|--------------------------------------------|-------------------------------------------------|--------------------------|---------------------------------|
| Quantity Price Breaks (up to 1000 units) | Cost (\$) – Not to Exceed \$1,000 | Shipping and Delivery Fees (if not free)* | Other Fees (if any)** | Description for Other Fees** |
| 1. Air Filtration Unit and Three Years of Replacement Filters Per Unit | | | | |
| 1 - 50 units | | | | |
| 51 - 150 units | | | | |
| 151 - 200 units | | | | |
| > 201 units | | | | |
| <i>If price-break categories other than above, specify:</i> | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

Notes:

*Orders may be shipped to Los Angeles and Riverside Counties.

**Any additional fees (excluding sales tax) and a description (i.e., stocking, processing, or handling fees)

Sales tax will be added and calculated based on current tax rate of the ship-to location.

| SECTION C: PRODUCT AVAILABILITY*** |
|------------------------------------|
| |

Notes:

***Indicate the quantity of air filtration unit and replacement filter(s) in stock. Specify the lead time from order placement to delivery for both stock and non-stock units once an order is placed.

Residential Air Filtration Program

Residential Air Filtration Program for the AB 617 Community of East Los Angeles, Boyle Heights, West Commerce (ELABHWC) and Eastern Coachella Valley (ECV)

Program Announcement & Application PA 2023-03



PROGRAM INTRODUCTION

The East Los Angeles, Boyle Heights, West Commerce (ELABHWC), and Eastern Coachella Valley (ECV) AB 617 communities have prioritized \$1,800,000 and \$1,000,000, respectively, in Community Air Protection Program Incentives for residential air filtration projects. These air filtration projects will reduce residential exposure to Particulate Matter (PM) and diesel particulate matter (DPM), consistent with the goals of their Community Emission Reduction Plans. As a result, South Coast AQMD is allocating \$2,625,000 to purchase residential air filtration units and three years of replacement filters within ELABHWC and ECV communities.

In November 2022, the South Coast AQMD Board authorized the release of this program announcement to solicit applications from residents within the ELABHWC and ECV communities for air filtration units. This program aims to reduce exposure to PM and DPM from sources of air pollution near residences in the ELABHWC and ECV communities. Health studies have determined that fine and ultrafine PM, including DPM, present the most significant air pollution health risk to sensitive receptors in Environmental Justice communities. The Residential Air Filtration Program focuses on portable air filtration units available as small tabletop units and larger console units. These units clean the air within a single room or enclosed space. Studies have reported reductions in PM exposures using high-efficiency portable air cleaners on the order of approximately 50 percent or higher.

PROGRAM ELIGIBILITY GUIDELINES AND CRITERIA

Eligible Applicants – Residents within the AB 617 ELABHWC and ECV community and emissions boundaries are eligible to apply for air filtration units. Eligible residents will receive one or more air filtration units and three years of replacement filters.

Eligible Air Filtration Units - A list of qualifying air filtration units will be provided for residents to choose from. All air filtration units will be CARB and Energy Star certified and must include a high-efficiency particulate air (HEPA) filter rated to remove 99.97% of particles measuring 0.3 micrometers or greater. Additionally, the air filtration units must have a clean air delivery rate (CADR) for tobacco smoke (0.09-1.0 µM) or CADR equivalent manufacturer's rating for air filtration that is appropriate for a room or residence.

Funding Availability – A funding amount of \$1,687,500 is available for residents within the East Los Angeles, Boyle Heights, and West Commerce designated 617 community from Year 3 CAPP Incentive Funds. For the first 30 days, air filtration units will be provided to residents of ELABHWC based upon household addresses closest to emission sources. After that, air filtration units will be available to applicants on a first-come, first-served basis for eligible residents of the ELABHWC designated 617 community area ([ELABHWC Community Map](#)). Funding is limited and may be revised at any time.

A funding amount of \$937,500 is available for the ECV from their Year 3 CAPP Incentive Funds. Funding is available to applicants on a first-come, first-served basis for eligible residents of ECV. Funding is limited and may be revised at any time ([ECV Community Map](#)).

Funding Limits – Project funding is limited to the purchase price, sales tax, and shipping costs of new equipment and three years of new replacement filters. Funding will cover up to a maximum total of \$1,000 per residence (i.e., home address) for one or more air filtration units and three years of new replacement filters. Funds remaining from residences that consume less than \$1,000 for one or more air filtration units and three years of new replacement filters will not be distributed to the applicant(s) of the residence. Instead, South Coast AQMD will disburse these funds toward subsequent applications for air filtration units under this program. Applicants and program participants are responsible for ongoing operation and maintenance, replacement filter storage costs, and any reporting during the project life. Ineligible costs are all costs outside the purchase price plus sales tax of the equipment and three years of replacement filters. The program will not pay for the cost of installation, electricity to operate units, repairs and replacement expenses, extended warranties, accessories, and other equipment. Manufacturer warranties will be provided directly from the air filtration unit manufacturer and program participants needing replacement units or repairs under warranty must reach out directly to the manufacturer.

South Coast AQMD may modify the funding limit for each applicant based on the number of applications to this program announcement. South Coast AQMD retains the discretion to make full, partial or no awards. If the program is undersubscribed, the South Coast AQMD may choose to re-open this Program Announcement. South Coast AQMD will retain a wait list if selected projects drop out of the program.

Program Schedule – Implementation schedule for the Residential Air Filtration Program Announcement PA

2023-03 is shown in Table 1 below.

Table 1: Schedule

| | |
|----------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Spring 2023 | <ul style="list-style-type: none"> • Conduct outreach to residents in qualifying communities • Issue Program Announcement and begin accepting applications for PA 2023-03 • South Coast AQMD will begin accepting applications until funds are exhausted. For ECV, funding will be available to applicants on a first-come, first-served basis. For ELABHWC, applications received within 30 days of releasing this program announcement, South Coast AQMD will prioritize funding for residences near sources of DPM. After this period, funding will be available to applicants on a first-come, first-served basis. |
| Beginning July 2023 | Delivery of Air Filtration Units and replacement filters |

APPLICATION REQUIREMENTS

Eligible applicants must complete and submit an online application to receive the air filtration unit and three years of replacement filters. At a minimum the online application form will request the information below.

- Applicant's contact information (e.g., name, address, email, etc.)
- Residence information (e.g., residence address where unit will be used and square footage of home)
- Utility information (e.g., name of electricity utility provider and upload a recent copy of electricity utility bill)
- Air Filtration Unit(s) Selected – applicant to identify the type of unit(s) preferred
- Applicant agreement to program terms and conditions

Applications must be submitted in accordance with the instructions outlined below, and all requested information on the application must be provided.

Applicants can only participate in one residential air filtration program. Applicants that receive an air filtration unit through another program (e.g., a program administered by a local city or utility service provider), is ineligible to participate in the Residential Air Filtration Program in this program announcement. Applicants can only apply once to this program and only one application can be provided per residential address.

APPLICATION SUBMITTAL INSTRUCTIONS

Applications will only be accepted via the South Coast AQMD's online application link at:

<http://www.aqmd.gov/home/programs/business/community-air-protection-incentives/residential-air-filtration-incentives>

Faxed applications will not be accepted. Applications will be accepted on a first-come first-served basis. The Program Announcement and application link PA 2023-03 can also be accessed by visiting South Coast AQMD's website at: <http://www.aqmd.gov/nav/grants-bids>

APPLICATION EVALUATION AND APPROVAL PROCESS

Applicants are subject to a maximum total of \$1,000 per residence (i.e., home address) for one or more air filtration units and three years of new replacement filters. South Coast AQMD may modify the funding limit based on the number of applications to this Program Announcement with the intent to provide air filtration units to residents of the ELABHWC and ECV communities. If there are more applications than available

funding under this Program Announcement, each application will undergo additional evaluation with consideration to criteria for prioritization or ranking of applications listed below.

1. For applications from the ELABHWC Community received within 30 days of releasing this program announcement, South Coast AQMD will consider the applicant's residence (i.e., home address) proximity to sources of DPM and prioritize funding for applicants near these sources. After this period, funding will be available to applicants on a first-come, first-served basis.
2. For applications from the ECV Community, South Coast AQMD will prioritize applications on a first-come, first-served basis.

Upon application approval, eligible applicants will receive notice by email whether they qualified for an air filtration unit. South Coast AQMD staff will submit an order for the selected air filtration unit and three years of replacement filters directly to the manufacturer and have the unit sent to the applicant's residence.

ADDITIONAL INFORMATION & ASSISTANCE

This Program Announcement can be accessed at the South Coast AQMD website at <http://www.aqmd.gov/nav/grants-bids>. South Coast AQMD staff members are available to answer questions during the Program Announcement acceptance period.

For General, Administrative, or Technical Assistance, please contact:

Frances Maes

Staff Specialist

Technology Advancement

Office Phone: 909-396-2473

Fax: 909-396-3252

fmaes@aqmd.gov

Veronica Tejada

Assistant Air Quality Specialist

Technology Advancement

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vtejada@aqmd.gov