

APPENDIX A

Application

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AQIP APPLICATION

Please print clearly or type all information on this application.

1. AQIP Project:		
2. Company Name/Air District/Organization Name/Individual Name:		
3. Business Type:		
4. Contact Name and Title:		
5. Person with Contract Signing Authority (if different from above)/Air Pollution Control Officer (APCO):		
6. Mailing Address and Contact Information:		
Street:		
City:	State:	Zip Code:
Phone: ()		Fax: ()
E-mail:		

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

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

Third Party Certification (if applicable)

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

Printed Name of Third Party:	Title:
Signature of Third Party:	Date:
Amount Being Paid for Application Completion in Whole or Part:	Source of Funding to Third Party:

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Attachment I-A:

PROJECT IMPLEMENTATION PLAN FOR HYBRID EQUIPMENT DEPLOYMENT

Please provide your Project Implementation Plan for completing key tasks required to successfully implement the equipment deployment element of the Off-Road Pilot Project. This Project Implementation Plan must include proposed hybrid equipment information (use Attachment I-A1 on Page A-4 and A-5), as well as any written commitments from end users for purchase or lease of project equipment. The Project Implementation Plan must also describe:

- The proposed funding amount requested per piece off project equipment.
- The population (number) of project equipment to be funded by the project. Include fleet commitments for equipment purchase, where possible. The proposed equipment funding amount multiplied by the proposed funded equipment population should equal the total equipment funding request.
- Proposed or estimated timelines for ordering, delivery, and deployment of project equipment.

Attachment I-A1 must be completed once for each hybrid equipment make/model proposed for funding (for example, if the application is for a hybrid excavator and a hybrid dozer). An example of the Terms and Conditions to which Hybrid Equipment End-Users will be required to adhere is included in Attachment I-A2 (additional conditions will apply for equipment which is to be used for data collection or emissions testing).

The Off-Road Pilot Project Solicitation provides guidance on what should be included in this Project Implementation Plan. Be specific regarding task initiation and completion timelines and who is responsible for task completion. Where applicable, applicants should also provide examples of past experiences in successfully completing similar tasks.

Attachment I-A1: Hybrid Equipment Information

Original Equipment Manufacturer Information

1. Company Name/Organization Name/Individual Name:		
2. Contact Name and Title:		
3. Business Mailing Address and Contact Information Street:		
City:	State:	Zip Code:
Phone: ()	E-mail:	

Vehicle Description

Please identify the proposed hybrid equipment and its baseline (non-hybrid) equivalent in Tables A-1 and A-2 (below). These vehicles must be of the same make, model, configuration, size, and after-treatment strategy. If they are of significantly differing horsepower or use different engine models, justify these differences in an attachment.

Table A-1: Hybrid Equipment Information

Equipment MY	Hybrid Equipment Description (equipment name, hybrid system, engine model, MY and Tier)	Equipment Horsepower

Table A-2: Baseline Equipment Information

Equipment MY	Equivalent Non-Hybrid Equipment Description (equipment name, hybrid system, engine model, MY and Tier)	Equipment Horsepower

What is the typical California pre-tax cost of the hybrid equipment identified in Table A-1 with normal dealer profit?

\$ _____

What is the typical California pre-tax cost of the equivalent baseline equipment identified in Table A-2 with normal dealer profit?

\$ _____

What is the incentive amount per piece of equipment the applicant proposes to help participating fleets purchase or lease the hybrid equipment identified in Table A-1? This amount may not exceed one-half of the difference between the cost of the baseline and hybrid equipment (i.e. one-half the incremental cost) identified above, and must be the same as identified in Attachment I-B (Proposed Budget).

\$ _____

Briefly describe the how this equipment’s hybrid system works and why it is likely to reduce emissions (add attachments if needed).

Briefly describe this equipment’s after-treatment strategy (baseline vehicle described in Table A-2 must utilize the same strategy).

Self-Certification of Hybrid Equipment and Engine Parameters

Please check the box next to each statement if the statement is correct. Do not check the box if the statement is not correct.

This equipment utilizes an ARB-certified off-road engine.
Engine Model Year: _____ Engine Family: _____
ARB Executive Order Number: _____

The vehicle draws energy from both of the following on-vehicle sources of stored energy: 1) consumable fuel, and 2) a rechargeable energy storage system.

The vehicle complies with applicable air quality provisions of California and federal law.

The equipment meets the original engine manufacturer’s build requirements.

No modifications have been made to the engine hardware or after-treatment device(s).

No modifications have been made to the engine’s original software calibrations.

The hybrid equipment operation does not change the engine’s certified regeneration cycles/events for emission control devices such as filters.

The emission control sensors or signals to or from the engine control module haven’t been modified.

There is at least one service provider for the hybrid equipment in California. Please provide name and city of primary service provider:

If any of the above boxes is not checked, please explain why in an attachment.

Attachment I-A2: Example Equipment End-User Terms and Conditions

This attachment is not intended or required to be completed as part of the Off-Road Pilot Project Solicitation.

Equipment End-User Agrees to the Following Terms and Conditions:

- I agree to maintain insurance as required by law.
- I agree to operate this equipment 100 percent in California for a minimum of three years from the date of purchase or lease.
- I agree to have the vehicle available for follow-up inspection by ARB or its designee, if requested.
- I agree to never modify this equipment's emission control system, engine software calibrations, or hybrid system, unless it is manufacturer-authorized, and the ARB is notified in writing prior to such modification.
- I agree to keep (or maintain access to) equipment's purchase or lease records for at least three years from equipment purchase or lease date, and to make these records available to ARB or its designee, if requested. These records may include, but are not limited to, equipment invoice, lease agreement, proof of purchase, and payment information, and related bank records.

I certify under penalty of perjury that all information provided on this attachment is true and correct

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

**Attachment I-B:
PROPOSED BUDGET FOR HYBRID EQUIPMENT DEPLOYMENT**

Please provide your proposed budget for completing the deployment element of Off-Road Pilot Project Grantee, consistent with the Draft Implementation Manual, your Project Implementation Plan and the requirements of the project solicitation. Your budget must include all estimated labor and material costs, administrative funds requested, and a description of any applicable commitments for in-kind services and match funding. The total administrative and outreach costs ARB shall reimburse to the Grantee for outreach and administration of the both deployment and testing elements of the Off-Road Pilot Project shall not exceed ten percent of the total project cost. Applicants may use the Sample Proposed Budget (Attachment I-B1 on page A-8) to summarize their proposed budget. Section 4.2 of the Draft Implementation Manual (Appendix B) provides details regarding allowable administration expenses for each element of the Off-Road Pilot Project.

In-kind services refer to resources or services contributed by the Grantee to manage the project but not charged to the Off-Road Pilot Project. Be as specific as possible when describing in-kind services (i.e. itemize staff time, infrastructure, or other costs that are being committed). In-kind services committed in this application must be documented by the Grantee in the Off-Road Pilot Project Final Report (See Section 4.3.1 of the Draft Implementation Manual). In-kind services do not include services already committed to another project (such as a similar federally-funded project).

Match funding refers to funds contributed by the Grantee to the Off-Road Pilot Project to fund additional eligible equipment or testing/data collection. Match funding does not include in-kind match (i.e. funding provided by the applicant for other similar projects or programs). An applicant may propose that match funding be used to fund only equipment in a specific region (such as a county or air district). The applicant must include a letter describing and authorizing any proposed match funding commitment as part of this application. External projects or project elements, such as a federally funded project, proposed as match must be central to the applicant proposal and be included in the proposed project budget.

Attachment I-B1: Sample Proposed Budget

(Applicant may modify this sample budget to meet their specific needs. This page may also be edited, or deleted if not used)

<u>DIRECT LABOR</u>	<u>HOURS</u>	<u>RATE</u>	<u>TOTAL</u>	<u>IN-KIND MATCH</u>
Program Manager	_____ @	_____	_____	
Staff Assistant	_____ @	_____	_____	
Technician	_____ @	_____	_____	
Clerical	_____ @	_____	_____	
			\$ _____	\$ _____
SUBCONTRACTOR(S) COST ITEMIZED			\$ _____	\$ _____
INDIRECT COSTS (OVERHEAD AND FRINGE BENEFITS)				
Overhead Rate		_____	_____	
Fringe Benefits		_____	_____	
			\$ _____	\$ _____
DIRECT COSTS (EXCEPT LABOR)				
Travel Costs			_____	
Equipment and Supplies (Itemized)			_____	
Other Direct Costs (Itemized)			_____	
			\$ _____	\$ _____
			Total	Total
TOTAL COSTS			TOTAL \$ _____	
				APPLICANT MATCH \$ _____

**Attachment I-C:
 APPLICANT QUALIFICATIONS FOR HYBRID EQUIPMENT DEPLOYMENT**

1. Qualifications Narrative: Please provide attachments describing your experience/expertise developing, implementing, and/or administering similar projects to accelerate deployment of advanced technology or low-emissions vehicle or equipment and working with hybrid equipment manufacturers, vendors, users, and other stakeholders. Identify how this background will enable you to efficiently and effectively implement the deployment element of the Off-Road Pilot Project.

2. Staff Information: Include information for each staff member to be involved in implementing the deployment element of the Off-Road Pilot Project. Attach resumes.

Name:	Hourly rate:
Phone:	E-mail:
Title:	
Expected duties:	
Name:	Hourly rate:
Phone:	E-mail:
Title:	
Expected duties:	
Name:	Hourly rate:
Phone:	E-mail:
Title:	
Expected duties:	

If more room is needed, this form may be copied or recreated.

3. Resources: Please succinctly identify the resources and infrastructure available to successfully implement the deployment element of project.

4. Subcontractor Information: Applicants may partner with other entities. Responsibility for deliverables lies with the primary applicant. Provide the names and information for any and all subcontractors and partners associated with the deployment element of this project. Attach resumes and letters of commitment.

Name:	Hourly rate:
Phone:	E-mail:
Title:	
Expected duties:	
Name:	Hourly rate:
Phone:	E-mail:
Title:	
Expected duties:	
Name:	Hourly rate:
Phone:	E-mail:
Title:	
Expected duties:	

If more room is needed, this form may be copied or recreated.

**Attachment II-A:
PROJECT IMPLEMENTATION PLAN FOR HYBRID EQUIPMENT TESTING**

Please provide your Project Implementation Plan for completing the following tasks required to successfully implement the equipment testing element:

Hybrid Equipment Testing Element Tasks

- 1) Characterize Equipment Activity
- 2) Develop Equipment Test Cycles/Sequences of Operations
- 3) Perform In-Use Emissions Testing
- 4) Perform Data Analysis and Reporting of Results

Specify data collection and testing protocols to be used, identify partners or key staff to complete key work, and provide specific timelines for deliverables. The Emissions Testing Guidance included in *APPENDIX B: Draft Off-Road Equipment Pilot Project Implementation Manual – Attachment 1* provides minimum requirements for completion of each of these four tasks, and guidelines for submission of a strong emissions testing proposal. Project applications exceeding these minimum requirements will generally score higher and those which do not.

**Attachment II-B:
PROPOSED BUDGET FOR HYBRID EQUIPMENT TESTING**

Please provide your proposed budgets for completing the equipment testing element of the Off-Road Pilot Project, consistent with the Draft Implementation Manual, your Project Implementation Plan and the requirements of the project solicitation. Your budget must include all estimated labor and material costs, administrative funds requested, and a description of any applicable commitments for in-kind services and match funding. The total administrative and outreach costs ARB shall reimburse to the Grantee for outreach and administration of the both the deployment and testing elements of the Off-Road Pilot Project shall not exceed ten percent of total project cost. Applicants may use the Sample Proposed Budget (Attachment II-B1) to summarize their proposed budget for the testing element. Section 4.2 of the Draft Implementation Manual (Appendix B) provides details regarding allowable administration funds for each element of the Off-Road Pilot Project.

In-kind services refer to resources or services contributed by the Grantee to manage the project but not charged to the Off-Road Pilot Project. Please be as specific as possible when describing in-kind services (i.e. itemize staff time, infrastructure, or other costs that are being committed). In-kind services committed in this application must be documented by the Grantee in the Off-Road Pilot Project Final Report (See Section 4.3.1 of the Draft Implementation Manual). In-kind services do not include services already committed to another project (such as a similar federally-funded project).

Match funding refers to funds contributed by the Grantee to the Off-Road Pilot Project to fund additional eligible equipment or testing/data collection. The applicant must include a letter describing and authorizing any proposed match funding commitment as part of this application. External projects or project elements, such as federally funded project, proposed as match must be central to the applicant proposal and be included in the proposed project budget.

Attachment II-B1: Sample Proposed Budget

(Applicant may modify this sample budget to meet their specific needs. This page may also be edited, or deleted if not used)

<u>DIRECT LABOR</u>	<u>HOURS</u>	<u>RATE</u>	<u>TOTAL</u>	<u>IN-KIND MATCH</u>
Program Manager	_____ @	_____	_____	
Staff Assistant	_____ @	_____	_____	
Technician	_____ @	_____	_____	
Clerical	_____ @	_____	_____	
			\$ _____	\$ _____
SUBCONTRACTOR(S) COST ITEMIZED			\$ _____	\$ _____
INDIRECT COSTS (OVERHEAD AND FRINGE BENEFITS)				
Overhead Rate		_____	_____	
Fringe Benefits		_____	_____	
			\$ _____	\$ _____
DIRECT COSTS (EXCEPT LABOR)				
Travel Costs			_____	
Equipment and Supplies (Itemized)			_____	
Other Direct Costs (Itemized)			_____	
			\$ _____	\$ _____
			Total	Total
TOTAL COSTS			TOTAL \$ _____	
				APPLICANT MATCH \$ _____

**Attachment II-C:
 APPLICANT QUALIFICATIONS FOR HYBRID EQUIPMENT TESTING**

1. Qualifications Narrative: Please provide attachments describing your experience/expertise developing, implementing, and/or administering similar equipment data logging or emissions testing projects. Identify how this background will enable you to efficiently and effectively implement the testing element of the Off-Road Pilot Project.
2. Staff Information: Include information for each staff member to be involved in implementing the testing element of the Off-Road Pilot Project. Attach resumes.

Name:	Hourly rate:
Phone:	E-mail:
Title:	
Expected duties:	
Name:	Hourly rate:
Phone:	E-mail:
Title:	
Expected duties:	
Name:	Hourly rate:
Phone:	E-mail:
Title:	
Expected duties:	

If more room is needed, this form may be copied or recreated.

3. Resources: Please succinctly identify the resources and infrastructure available to successfully implement the testing element of the project.

4. Subcontractor Information: Applicants may partner with other entities. Responsibility for deliverables lies with the primary applicant. Provide the names and information for any and all subcontractors and partners for the testing element of the project. Attach resumes and letters of commitment.

Name:	Hourly rate:
Phone:	E-mail:
Title:	
Expected duties:	
Name:	Hourly rate:
Phone:	E-mail:
Title:	
Expected duties:	
Name:	Hourly rate:
Phone:	E-mail:
Title:	
Expected duties:	

If more room is needed, this form may be copied or recreated.

ATTACHMENT III: CONFLICT OF INTEREST DECLARATION

Please summarize any current, ongoing, or pending direct or indirect interest your organization (or any subcontractor identified in this application) has which poses an actual, apparent, or potential conflict of interest with your ability to fulfill the duties of Off-Road Pilot Project Grantee. These may include but are not limited to financial arrangements with or interest in hybrid equipment manufacturers, dealers, fleets, or related organizations. ARB may consider the nature and extent of any potential or apparent conflict of interest in evaluating, considering, or scoring the application and may disqualify the applicant at ARB's sole discretion.