

**SAN JOAQUIN VALLEY  
AIR POLLUTION CONTROL DISTRICT**

**HEAVY-DUTY  
ENGINE PROGRAM**

**OFF-ROAD VEHICLE COMPONENT**

**ENGINE REPOWER AND RETROFIT OPTION**

**ELIGIBILITY CRITERIA AND APPLICATION GUIDELINES**

The San Joaquin Valley Air Pollution Control District (SJVAPCD) is currently accepting applications requesting monetary incentives to replace existing off-road vehicle compression-ignition engines with new reduced-emission certified engines and CARB Verified Diesel Emission Control Systems (VDECS), according to the terms and conditions described in these guidelines. For additional information, assistance or to receive application materials, please contact:

**San Joaquin Valley Air Pollution Control District  
Emission Reduction Incentive Program  
1990 East Gettysburg Avenue  
Fresno, CA 93726-0244**

You may also contact us by phone, email, or visit our website:

**(559) 230-5800**  
**[weberip@valleyair.org](mailto:weberip@valleyair.org)**  
**[www.valleyair.org](http://www.valleyair.org)**

## ELIGIBILITY CRITERIA

Replacement of an existing engine in an off-road vehicle with a new engine and a CARB VDECS (retrofit).

- ❖ The **existing engine** must
  - Be rated greater than twenty-five (25) horsepower.
    - Provide motive power for a self-propelled off road-vehicle.
- ❖ The **existing vehicle** must:
  - Have operated in the state of California under the applicant/organization name for at least twelve (12) months prior to the application submission date.
    - The only forklifts eligible for funding are class 7 diesel forklifts. Documentation verifying the classification must be submitted.
  - Be in operating condition at the time of application submission **and** SJVAPCD inspection.
    - Operating condition is determined through an inspection process conducted by SJVAPCD staff prior to agreement execution.
- ❖ The **new engine** must:
  - Be rated greater than twenty-five (25) horsepower.
  - Be certified by the California Air Resources Board (ARB) for sale in California **and** must comply with durability and warranty requirements.
  - Be a new Original Equipment Manufacturer (OEM) off-road engine, ARB certified to:
    - The current applicable emission standard, **or**
    - A FEL NOx or NOx+NMHC level that is lower than the required emission standard.
  - Meet the most current practicable, previously applicable emission standard if repowering with an engine meeting the current applicable standard is technically unfeasible, unsafe, or cost-prohibitive to develop at the time of obligation of funds. The District shall determine eligibility of a repower project using an engine certified to a previous emission standard by one of the following methods:
    - Applicant must submit to the District a written statement of reason(s) provided by the engine manufacturer verifying that a particular piece of equipment cannot accommodate an engine meeting current standards without major modifications, safety risks, or exorbitant cost, **or**
    - The engine manufacturer must provide ARB with sufficient information on engine and/or equipment models for which Tier 2/Tier 3 repowers are available, and engine and/or equipment models for which Tier 2/Tier 3 repowers are not available or feasible.
  - Demonstrate at least a 15% reduction of Nitrogen Oxides (NOx) emissions from the existing engine and no net increase of Particulate Matter (PM) emissions.
  - Also include the installation of the highest available ARB VDECS (retrofit) as part of the project, if technically feasible.

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❖ The VDECS (**retrofit**) must:

- Be verified by the California Air Resources Board (ARB) **and** must comply with warranty requirements. Information on retrofits, including a list of currently verified retrofits is available at: <http://www.arb.ca.gov/diesel/verdev/verdev.htm>
- Be a new Original Equipment Manufacturer (OEM) ARB verified retrofit.
  - Retrofits that reduce NOx emissions must be verified by ARB to a NOx reduction level of at least 15% from the baseline engine.
  - Retrofits that reduce PM emissions must use the highest level technically feasible technology available for the equipment being retrofitted.
  - Retrofit devices that reduce both NOx and PM emissions being installed to comply with PM requirements are **only** eligible for the cost of the NOx reductions.

❖ The **participant** must:

- Operate at least 50% of the vehicle's annual hours of operation within SJVAPCD boundaries (see page 13) and 75% within California.
- Remain the owner of the repowered and retrofitted vehicle through the full term of the agreement. Agreement terms range from three (3) to seven (7) years. Projects with an agreement term of less than three (3) years may be considered on a case-by-case basis.
  - If the repowered and retrofitted vehicle is sold during the agreement term, then the new owner of the vehicle must assume the agreement obligations with the SJVAPCD and comply with the terms and conditions outlined in the original agreement. The SJVAPCD must approve the vehicle ownership change **prior** to its sale.
- Maintain replacement value insurance for the new reduced emission engine and retrofit through the full term of the agreement.
- Submit annual reports to the SJVAPCD through the full term of the agreement.
- **Not purchase or install equipment under funding consideration prior to agreement execution.**
- Destroy or render useless the replaced existing engine, consistent with the requirements of the SJVAPCD.
- Install and maintain a functioning hour meter to measure the hours of equipment operation through the full term of the agreement. If the equipment does not have a functioning hour meter at the time of the project, the meter must be installed, repaired, or replaced. If during the agreement term the hour meter fails for any reason, the hour meter must be repaired or replaced as soon as possible at the owner's cost.
  - The cost of an hour meter is eligible for incentive funding and should be included in the quoted price if the equipment does not have a functioning meter at the time of the project.

❖ Equipment/engines **ineligible** for funding:

- Engines participating in the AB&T program that are certified to FELs higher than the applicable emission standards.
- Equipment manufactured under the “Flexibility Provisions for Equipment Manufacturers.”
- Engines that are participating in the “Tier 4 Early Introduction Incentive for Engine Manufacturers” program.
- Tier 1 engines as replacement engines in repower projects for equipment in medium and large fleets which are subject to the statewide In-Use Off-Road Diesel Vehicles Regulation.
- Existing engines which are spark-ignited (i.e., natural gas, gasoline, etc.).
- Auxiliary engines on mobile equipment.
- Portable engines.

## COMPLIANCE CRITERIA

**Projects that may be eligible for funding provide emission reductions that are surplus to any regulatory requirements. However, due to varying compliance timelines, opportunities for funding may be limited.**

### ❖ ARB's In-Use Off-Road Diesel Vehicles Regulation

ARB's Off-Road Regulation requires vehicles to apply exhaust retrofits and to accelerate turnover of fleets to newer, cleaner engines. This regulation applies to self-propelled diesel-fueled vehicles with engines 25 horsepower and greater that cannot be registered and licensed to drive on-road. These vehicles are commonly used in construction, mining, rental, airport ground support, and other industries. Exemptions to this control measure may apply. For more information, please visit: <http://arb.ca.gov/msprog/ordiesel/ordiesel.htm>

### ❖ ARB's Cargo Handling Equipment at Ports and Intermodal Rail Yards Regulation

This regulation establishes best available control technology (BACT) requirements for new and in-use cargo handling equipment that operate at California's ports and intermodal rail yards. The regulation requires in-use yard trucks to meet BACT performance standards primarily through accelerated turnover of older yard trucks to those equipped with 2007 model year and later on-road engines. For more information, please visit: <http://www.arb.ca.gov/ports/cargo/cargo.htm>.

## APPLICANT RESOURCE WEB PAGE

To assist applicants participating in the SJVAPCD's Heavy-Duty Engine Emission Reduction Incentive Program, the SJVAPCD has developed an Applicant Resource Web Page. This page contains links to engine manufacturers, distributors, and local dealers familiar with the requirements of the program. The information and contacts within these links can assist you in obtaining all of the information necessary to fulfill the requirements of the program. Additionally, this page contains links to the California Air Resources Board website where you can obtain a list of eligible engines, vehicles, associated Executive Orders and other technical information.

When preparing an application, we ask that you utilize the information presented within the links on this page. By submitting complete application packets with accurate information, we can reduce the amount of time and resources necessary to process your application.

Please note that the manufacturers, distributors, and dealers represented on this page have not been "approved" by the SJVAPCD nor do they represent an exhaustive list of available resources. If you are an engine manufacturer, distributor, or dealer and you wish to be included on the Applicant Resource Web Page, please contact the SJVAPCD's Emission Reduction Incentive Program.

**The Applicant Resource Web Page can be found at [www.valleyair.org](http://www.valleyair.org) under the "Grants and Incentives" tab.**

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## APPLICATION GUIDELINES

- ❖ Fill out the application completely and as accurately as possible. Do not leave any fields blank, as it lengthens the processing timeframe associated with the application and delays funding. All fields are required unless otherwise indicated.
- ❖ All required signatures must be in **blue ink**, as a way to identify them as original.
  - If a third party filled out any part of the application on your behalf, ensure that the Third Party Information section is completely filled out and signed.
- ❖ A copy of the following items must be submitted in order for the application to be deemed **complete**:
  - Completed Application.
  - Completed Certifications section.
  - IRS Form W-9.
  - Entire applicable ARB Executive Order (EO) for the new reduced-emission engine **and** the verified retrofit device.
  - Dated and itemized dealer quote for the new reduced-emission engine **and** the verified retrofit device.
  - If applicable, completed Third Party Information section.
  - If applicable, an Engine Manufacturer Letter, stating the reason(s) and verifying that a particular piece of equipment cannot accommodate an engine meeting current standards without major modifications, safety risks, or exorbitant cost.
  - If applicable, a CARB Verified Diesel Emissions Control System (Retrofit) Exemption Letter, as posted on ARB's website.
  - If available, manufacturer's Engine Specification Data Sheet **and** Retrofit Specification Data Sheet.
  - For fleet owners subject to the In-Use Off-Road Diesel Vehicles Regulation, a copy of your Compliance Plan to meet the Regulation requirements using ARB's online fleet average calculator.
  - Completed and signed Fleet Information Certification Form, certifying fleet information submitted is accurate and correct.
  - For applicants who are municipalities, a copy of the Board Resolution which approves participation in the program.

Located in the **Application** packet (pages 7 and 8) is a comprehensive detailed checklist of the above mentioned items. For guidance purposes, please refer to the checklist in the Application packet when submitting all required items.

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## STEP-BY-STEP APPLICATION GUIDANCE

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This section outlines the information requirements for each field of the application. If you need additional assistance, please contact the Emission Reduction Incentive Program and a staff member will assist you.

### SECTION 1 – APPLICANT INFORMATION

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#### ORGANIZATION INFORMATION

**1. Organization, Company, or Proprietor's Name**

The legal name of the organization that will enter into agreement with the SJVAPCD. The information entered into Section 1 of the application must be **identical** to the information on Form W-9, as this information will be used to generate all binding documents and be used to report incentive funding to the IRS.

**2. Business Type**

The classification of the organization that appears in the "Organization, Company, or Proprietor's Name" field of the application. Check the appropriate box.

**3. Tax ID**

The Taxpayer Identification Number (TIN) or Social Security Number (SSN) entered in the Form W-9. **The organization's name and tax ID will be used to report incentive funding to the IRS.** The SJVAPCD cannot give tax advice, as such, please contact a tax professional or the IRS to determine the tax consequences associated with receiving incentive funding.

**4. - 7. Address**

The physical address where the organization is located, including: number and street name, city, state, and zip code.

**8. - 11. Mailing Address**

The mailing address used by the organization. If the physical and mailing addresses are the same, write "Same." All correspondence generated by the SJVAPCD, including the agreement, checks, and annual reports, will be sent to the mailing address.

**12. Total Off-Road Fleet Horsepower for fleets subject to the Off-Road Regulation**

The sum of the maximum horsepower of each off-road vehicle in the fleet subject to ARB's In-Use Off-Road Diesel Vehicles Regulation. Please visit ARB's website, <http://www.arb.ca.gov/msprog/ordiesel/ordiesel.htm>, to verify if any of your vehicles are subject to the Regulation. Check the appropriate box.

**13. Number of Vehicles to be Repowered/Retrofit**

Provide the number of vehicles to be repowered and retrofit as part this project.

**14. Have you applied to any other grant programs for any vehicles in this project?**

Check whether additional grant funding was applied for any vehicle in this project other than grant funding through this program. If yes, please contact ERIP Staff at (559) 230-5800 before completing this application.

**PRIMARY CONTACT INFORMATION****15. First and Last Name**

The first and last name of the person who will serve as the primary contact to the SJVAPCD through the full term of the agreement. All questions related to your project will go to this individual.

**16. Title**

The job title of the primary contact.

**17. Phone Number**

The main phone number, including area code, for the primary contact.

**18. Fax Number**

The fax number, including area code, for the primary contact.

**19. Alternate Contact Number**

The alternate phone number, including area code, where the primary contact can be reached.

**20. Email**

The email address of the primary contact.

**CONTRACT SIGNING AUTHORITY INFORMATION****21. First and Last Name**

The first and last name of the person, designated by the organization that will enter into binding agreement with the SJVAPCD, to sign on the organization's behalf.

**22. Title**

The job title of the person designated to sign on the organization's behalf.

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**SECTION 2 – ACTIVITY INFORMATION**

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**1. - 3. Vehicle Address**

The physical location (street address, city, and zip code) where the vehicle is domiciled.

**4. Vehicle #**

Identify the vehicle by unit number if one has been assigned to it by your organization (i.e., Scraper #10, Dozer #25, etc.). If a unit number has not been assigned, note N/A.

**5. County of Operation**

Check in which county or counties the vehicle will be operated.

**6. Vehicle Type**

Check the type of the vehicle: agricultural, construction, dredging, industrial, logging, or other. If "other" is checked, please specify.

**7. Vehicle Usage**

Explain the usage for the specific type of vehicle listed in this application.



- 8. Annual Operation**

The engine's annual operation in hours.
- 9. Annual Fuel Usage**

The amount of annual fuel usage, in gallons, by the vehicle.
- 10. Is the Vehicle Operated Seasonally?**

Check whether or not the vehicle is operated seasonally. If the vehicle is operated seasonally, provide an explanation.
- 11. Percentage Use in SJVAPCD**

The percentage of annual operational hours within the SJVAPCD boundaries (see page 13).
- 12. Percentage Use in California**

The percentage of annual operational hours within California.
- 13. Number of Vehicles in Fleet**

Provide the total number of vehicles in your fleet.
- 14. Is this Vehicle Operational?**

Check whether or not the vehicle is currently operational. Non-operational vehicles are ineligible for funding. The vehicle must be operational at the time of inspection.
- 15. When would this Vehicle be available for operational inspection?**

Check the time(s) and day(s) the vehicle will be available for inspection by SJVAPCD staff. This information may be used for scheduling purposes; however it does not guarantee your inspection on a specific day or time. SJVAPCD staff will contact you to set up an inspection appointment.

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### SECTION 3 – EQUIPMENT INFORMATION

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#### CURRENT VEHICLE

- 1. - 2. Vehicle Make and Model**

Provide the make and model of the vehicle. For example, Case (manufacturer) 721 (model).
- 3. Vehicle Model Year**

The OEM model year in which the current vehicle chassis was manufactured.
- 4. Vehicle Identification Number**

The VIN listed on the vehicle.
- 5. - 6. Engine Make and Model**

Provide the make and model of the existing engine. For example, Cummins (make) 6BTA5.9C (model).
- 7. Engine Model Year**

The year the engine model was manufactured.

**8. Horsepower Rating**

The brake horsepower of the engine.

**9. Engine Serial Number**

The serial number listed on the engine.

**10. US EPA Engine Family Name**

The engine family name assigned by EPA (if available). This information would typically be listed on the engine date plate or can be made available through your engine dealer. You may also visit ARB's website at <http://www.arb.ca.gov/msprog/offroad/cert/cert.php> to obtain the information. If this information is not available, write "N/A".

**11. Engine Tier**

Check the tier level of the engine.

**12. Engine Type**

Check whether the engine is compression-ignition or spark-ignited. Spark-ignited engines are ineligible for funding.

**NEW REDUCED-EMISSION ENGINE****13. - 14. Engine Make and Model**

Provide the make and model of the new reduced-emission engine. For example, Caterpillar (make) C-15 (model).

**15. Model Year**

The year the engine model was manufactured.

**16. Horsepower Rating**

The brake horsepower rating of the new engine.

**17. Engine Type**

Check whether the new engine is compression-ignited or spark-ignited.

**18. Fuel Type**

Check the type of fuel used by the new engine.

**19. US EPA Engine Family Name**

The engine family name assigned by EPA. This information would typically be listed on the engine date plate or can be made available through your engine dealer. You may also visit ARB's website at <http://www.arb.ca.gov/msprog/offroad/cert/cert.php> to obtain the information. If this information is not available, write "N/A".

**20. Engine Tier**

Check the tier level of the new engine.

**21. Total Cost of New Engine**

The total cost of the new reduced-emission engine. The cost includes: new engine, hardware, installation labor, and sales tax. This cost should match the cost from the quote being provided with this application.

**RETROFIT****22. - 23. Retrofit Make and Model**

The make is the manufacturer of the retrofit, and the model is the type of retrofit. For example, Huss (make) FS 100 MKL (model). Provide the make and model of the retrofit.

**24. Retrofit Verification Level**

Check the level of emission reduction benefit associated with the retrofit device as assigned and verified by ARB.

**25. Verified Emission Reductions**

Provide the emission reductions obtained by the retrofit as a percentage.

**26. ARB Retrofit Family Name**

ARB assigns each retrofit, otherwise known as a VDECS, a family name. This information should be available through your retrofit dealer, or you may visit ARB's website at, <http://www.arb.ca.gov/diesel/verdev/verdev.htm>, to obtain the information.

**27. Total Cost of Retrofit**

The total cost of the retrofit device. The cost includes: retrofit device, hardware, installation labor, and sales tax. This cost should match the cost from the quote being provided with this application.

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**SECTION 4 –DEALER/INSTALLER INFORMATION**

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**DEALER****1. Engine/Retrofit Dealer Name**

The name of the business where you will be purchasing the certified engine and verified retrofit device associated with this application.

**2. - 5. Address**

The physical address where the engine/retrofit dealer is located, including: number and street name, city, state, and zip code.

**6. Contact Name**

The first and last name of the person the SJVAPCD can contact regarding the purchase of the ARB certified engine and verified retrofit device.

**7. Phone Number**

The phone number, including area code, of the contact person.

**8. Fax Number**

The fax number, including area code, of the contact person.

**9. Email**

The email address of the contact person.

**INSTALLER** (complete only if different from engine/retrofit dealer)

**10. Engine/Retrofit Installer Name**

The name of the business that will be installing the ARB certified engine and verified retrofit device associated with this project, if different from the engine/retrofit dealer information.

**11. - 14. Address**

The physical address where the engine/retrofit installer is located, including: number and street name, city, state, and zip code.

**15. Contact Name**

The first and last name of the person the SJVAPCD can contact regarding the installation of the engine/retrofit device.

**16. Phone Number**

The phone number, including area code, of the contact person.

**17. Fax Number**

The fax number, including area code, of the contact person.

**18. Email**

The email address of the contact person.

### MAP OF THE SAN JOAQUIN VALLEY AIR POLLUTION CONTROL DISTRICT BOUNDARIES

